



King County
Records and Elections Division
Records Management Section

Department of
Executive Administration

553 King County Administration Bldg.
500 Fourth Avenue
Seattle, WA 98104

(206) 296-1572

November 14, 1991

TO: Department Policy/Procedure Manual Stations

FM: King County Records Management Section

RE: Distribution of Administrative Policies
INF 15-2(AP) and INF 15-3 (AP)

This memo transmits Administrative Policies INF 15-2(AP), Using the King County Records Center to Store and Retrieve Records, and INF 15-3 (AP), Disposition of Records at the King County Records Center. These policies supersede Summary Sheets INF 15 (AP) and Form RM-2, and INF 15 (AP) and Form RM-3 respectively.

Please place the two policies in the Administrative Policies and Procedures binder (AP) of your Policy Procedure Manual Station behind the INF index tab, removing the superseding Summary Sheets at the same time.

Please note that the sample Records Transmittal Form (Appendix 9.1 of INF 15-2 (AP) and INF 15-3 (AP)) and the instructions for preparing transmittal forms (Appendix 9.2 of INF 15-2 (AP)) are revisions of the Records Transmittal Forms currently in use within

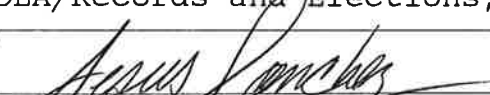
Distribution of Administrative Policies
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the County.

Due to a substantial back stock of the old transmittal forms at Central Stores, the old forms will continue to be used until the supply is eliminated. Until that time please follow the new instructions, as stated in the attached policies, when using the old forms.

Thank you for your cooperation. Please call Linda Grob at 296-1572 if you have any questions.



Title Using the King County Records Center to Store and Retrieve Records	Document Code No. INF 15-2 (AP)
Department/Issuing Agency DEA/Records and Elections, Records Management Section	Effective Date November 2, 1991
Approved  10/23/91	

1.0 SUBJECT TITLE: Using the King County Records Center to Store and Retrieve Records.

1.1 EFFECTIVE DATE: 10 days after signature.

1.2 TYPE OF ACTION: Supersedes Summary Sheet INF-15 (AP), and Form RM-2, Guidelines for Using the King County Records Center.

1.3 KEY WORDS: 1)Records storage; 2)Storage, inactive records; 3)Retrieval, records; 4)Records Center; 5)Records Retention Schedule.

2.0 PURPOSE: . To establish procedures for King County agencies wishing to use the King County Records Center for the storage of inactive records. To provide instructions for preparing records for transfer to the Records Center, transferring records, retrieving records from the Records Center, and returning records to the Records Center.

The purpose of the King County Records Center is to store records created by departments which have not reached their legal retention as established by King County Records Management and the State Archives, but for which the administrative use is so limited that off-site storage is warranted. The Records Center also has the function of ensuring that records which are due for destruction according to legal considerations are preserved if they have archival value.

3.0 ORGANIZATIONS AFFECTED:

3.1 All King County Agencies, Offices and Departments.

4.0 REFERENCES:

4.1. R.C.W. 40.14 Preservation and Destruction of Public Records.

4.2. King County Code 2.12 Retention of Records.

5.0 DEFINITIONS:

- 5.1 "Disposition Authority Number" means the number assigned by the Washington State Local Records Committee to an approved records retention schedule, indicating the authority to dispose of records on an ongoing basis at the end of retention periods. This number appears in the lower left hand corner of an approved retention schedule, and in the RRPD.
- 5.2 "Records Retention Schedule" means the document prepared by the Records Management Section of the Division of Records and Elections which lists records series, stipulates the length of time each must legally be retained, and by which the Washington State Local Records Committee authorizes the ongoing disposition of the records at the end of their retention periods. Though the state produces manuals for other jurisdictions, all county records must be listed on county schedules. Copies of a department's retention schedules are kept by the records coordinator.
- 5.3 "RRPD" means the King County Records Retention and Public Disclosure Manual prepared by Records Management, copies of which are held by department records coordinators. This three-ring binder is a list of all scheduled county records, their retentions, and their public disclosure designations. These records are grouped by functions, such as PERSONNEL, BUDGET, and PUBLIC RELATIONS, rather than by departments. The RRPD is intended to provide quick reference for correct records series title, retention, and public disclosure status. Updates to the RRPD will be distributed as needed by Records Management.

6.0 POLICIES:

- 6.1 All records stored at the King County Records Center must be placed in standard 12" x 10" x 15" boxes. Exceptions for oversized materials will be granted only by the Records Management Officer. Boxes are available through Purchasing Stores.

- 6.2 Boxes shall be labeled with a standard Records Center archive label placed on one end of the box under the handle openings. Labels are available through Purchasing Stores.
- 6.3 Records to be stored at the Records Center must be listed on a Records Transmittal Form. The records series titles on the form must match titles in the RRPD, or on approved records retention schedules. Transmittals are available through purchasing stores.
- 6.4 Boxes weighing more than 25 pounds will not be accepted for storage at the Records Center. Boxes should have at least two inches of free space. Computer printouts laid flat in a box should not be higher than the bottom of the handle openings, with the box no more than three-quarters full.
- 6.5 Boxes containing three-ring binders or hanging pendaflex folders will not be accepted.
- 6.6 Boxes being transferred to the Records Center from buildings served by the Facilities Management Division will be moved to the appropriate loading area by Facilities personnel.
- 6.7 Each box sent to the Records Center must contain records which will be due for destruction in the same year.
- 6.8 Records held at the Records Center are considered to remain in the custody of the originating department, unless custody of the records is formally transferred to Records Management.
- 6.9 All requests for access to records must be made through the originating department.
- 6.10 Boxes of records retrieved from the Records Center and not returned to the Records Center within six months will be deleted from their original transmittal forms, with custody transferred back to the department. These records may be returned to the Records Center only as part of a new accession.
- 6.11 Records requested for reference before 10 a.m. will generally be delivered on the next scheduled delivery day.

6.12 Deliveries will normally be made by Records Center staff on Tuesday and Thursday afternoons. Personnel approved by both the agency with custody of the records and Records Management may pick up records at the Records Center. Whenever possible, priority requests will receive same day delivery.

6.13 Records may be examined at the Records Center by appointment.

7.0 PROCEDURES:

Action By: Action:

PREPARING RECORDS FOR TRANSFER

- Department 7.1 Obtains Records Center boxes, labels and Records Transmittal Forms from Purchasing Stores. (See Appendix 9.1 for stock numbers).
- 7.1.1 Estimates number of boxes and labels needed for records to be transferred. For example:
- A) Two boxes will hold approximately one letter size file drawer.
- B) Three boxes will hold approximately one legal size file drawer.
- 7.2 Finds records series to be transferred in approved records retention schedules or in the Records Retention and Public Disclosure Manual (RRPD). Current copies of both will be maintained by department records coordinators.
- 7.2.1 If a record series is not on a records retention schedule, contacts Records Management at 296-1572 to request that a new schedule be prepared.

- 7.3 Boxes records so that each box contains records which are due for destruction at the same time. For example, payroll records from 1989 with a six year retention should not be boxed with payroll records from 1990.
 - 7.3.1 Records series should be boxed separately whenever possible.
 - 7.3.2 Boxes must not weigh more than 25 pounds.
 - 7.3.3 Records in three-ring binders must be removed from the binders and placed in folders.
 - 7.3.4 Hanging pendaflex folders must not be placed in boxes.
- 7.4 Prepares Records Transmittal Form(s) for records being transferred following directions on the back of the transmittal. (See Appendix 9.2.)
- 7.5 Prepares one label for each box. (See Appendix 9.3.)
 - 7.5.1 Includes the following information on the label:
 - A) Box Number: e.g., 1 of 10, 2 of 10, etc.
 - B) Department/Division: Self explanatory.
 - C) Records Series
Title/Description: Title must match the title on the retention schedule.
Description lists contents of box.
 - D) Inclusive Dates: Beginning and ending dates of records in the box.

E) Leaves other sections blank for Records Center use.

7.5.2 Places the label on one end of the box under the handle opening.

7.6 Sends completed Records Transmittal Forms to Records Management at mail stop 5A.

TRANSFERRING RECORDS TO THE RECORDS CENTER

Records Management

7.7 Inspects the Records Transmittal Form.

7.7.1 If acceptable, assigns a Records Center location to each box, and fills in the location section of the transmittal.

7.7.2 If not accepted, calls the department to explain that the boxes will not be picked up and why, and informs the department how to remedy the situation.

7.7.3 Calls the department to arrange a pick-up date.

Department

7.8 Contacts the Facilities Management Division to arrange the transfer of records to the pick-up location. (See Appendix 9.4 for pick-up locations.)

7.9 If Facilities is unable to move boxes on the scheduled date, calls the Records Center Supervisor to reschedule.

Facilities Management

7.10 Transfers boxes to the appropriate loading area.

Records Management

7.11 Picks up boxes and delivers them to the Records Center.

7.11.1 If boxes cannot be picked up due to discrepancies, leaves a Problem Pick-up Form, (see Appendix 9.5), on the pallet and calls the department records coordinator.

7.12 Places boxes in assigned locations at the Records Center.

7.12.1 Returns the yellow copy of the transmittal to the department with location numbers.

RETRIEVING RECORDS FROM THE RECORDS CENTER

- Department 7.13 Reviews the Records Transmittal Form used when records were sent to the Records Center.
- 7.14 To determine the location of the record, calls the Records Center recording at 296-1545 with the following information:
- 7.14.1 Department name, requestor name and phone #.
- 7.14.2 Box number.
- 7.14.3 Records Center location.
- 7.14.4 Name or number of file within the box.
- 7.15 If the records are to be examined at the Records Center, requests that time be scheduled for such examination.
- Records Center 7.16 Pulls requested records and delivers them to department staff at appropriate request delivery/pick-up locations. (See Appendix 9.6.)

7.16.1 For departments with their own couriers, places records at the front counter of the Records Center for pick up.

7.16.2 For requests to view records in the Records Center, schedules staff to be available and arranges the date and time with the department.

RETURNING RECORDS TO THE RECORDS CENTER

Department 7.17 For returning boxes, calls the Records Center to arrange pick-up or drops them off at their delivery/pick-up locations.

7.17.1 Department couriers return records directly to the Records Center.

Records Center 7.18 Picks up records and returns them to the Records Center staff to be refiled.

8.0 RESPONSIBILITIES:

- 8.1 Departments are responsible for designating one employee as the records coordinator for the department, correctly boxing records for storage at the Records Center, preparing transmittal documents, submitting transmittals to the Records Center, and providing the correct information when requesting records from the Records Center.
- 8.2 Records Coordinators are responsible for maintaining copies of department records retention schedules and the RRPD, and for clearing up discrepancies in records improperly boxed for transfer to the Records Center.
- 8.3 The Records Center Staff is responsible for inspecting transmittals and boxes to ensure compliance with this policy, transporting boxes to the Records Center, returning a copy of the transmittal with locations to departments, and retrieving and delivering requested records to the departments.

- 8.4 The Records Management Officer is responsible for examining unscheduled records submitted for storage at the Records Center, writing new retention schedules when appropriate, authorizing transfers of unscheduled records, and authorizing storage of non-standard sized materials.
- 8.5 The Facilities Management Division is responsible for moving boxes of records being transferred to the Records Center from department offices to the appropriate loading areas.

9.0 APPENDICES:

- 9.1 Standard box (12" x 10" x 15") Stock #340-05-10.
Archive Labels Stock #480-20-05.
Records Transmittal Forms Form RM-1.
- 9.2 Preparing Transmittal Forms.
- 9.3 Sample of Completed Archive Label.
- 9.4 Pick-Up Locations and Instructions for Boxes Sent to the Records Center.
- 9.5 Problem Pick-Up Form.
- 9.6 Request Pick-Up and Delivery Locations.

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INF 7-1



Records Transmittal
King County
Department of Executive Administration
 Record and Elections Division
 Records Management Program

INF 15-2 (AP)
 Appendix 9.1

FOR RECORDS CENTER USE ONLY				
Rec'd By	Date Rec'd	Accession Number	Inv By	Input By

Department or Agency	Office of Record	Dept. ID Code	Transmitted By	Phone No.	Date Prepared	
Records Center Location	Agency Box Number	Records Series Title		Inclusive Dates	Retention Period	Disposition Authority Number

PREPARING TRANSMITTAL FORMS


Transmittal forms are used to transfer boxes to the King County Archives and Records Center for inactive storage or direct destruction. Obtain Record Center transmittal (stock # 410-10-01) from Purchasing Stores. Complete a transmittal form for each group of records to be sent to the center. Send completed transmittal to Records Center (mail stop 5A). After form is processed, you will be contacted for a pickup date. Complete transmittal as follows:

1. Department: Enter your department.
2. Office of Record: Enter your division and office name and department code. Call your department records coordinator to obtain your department code number.
3. Transmitted by: Enter name and phone number of person responsible for information on transmittal and for notification for pickup of records.
4. Date Prepared:
5. Records Center Location: Please leave blank.
6. Agency Box Number: Begin with #1 and number consecutively for each box in the group. List each box on a separate line. You may list more than one box on a page but there should never be duplicate box #'s for the same pickup.
7. Records Series Title: List Official Records Series Titles. Records Coordinator in your department will have the information. Under title, list a brief description of information in box, with enough detail for retrieval purposes.
8. Inclusive Dates: Note beginning and ending dates of information in box.
9. Retention Period: Write total official retention time required (time in office plus time at records center), not the retention time remaining. All records must have a retention period.
10. Disposition Authority Number: List number as it appears in Records Retention Schedule. Consult your Records Coordinator.

NOTE: Records sent for Direct Destruction must be on a separate transmittal from records sent for storage. Boxes need not be listed separately, instead put # of boxes to be destroyed for each records series, and a brief description. Each box must have a label, box #, records series, inclusive dates, and a signature authorizing destruction. Mark transmittal "FOR DIRECT DESTRUCTION".

PREPARING BOXES

1. Obtain Records Center Labels (stock # 480-20-05) from Purchasing Stores. Before labelling boxes, be sure they weigh no more than 25 pounds. For boxes with files there should be about 2 inches of free space. For computer paper and other paper laid flat, box should be no more than 3/4 full, or no higher than bottom of handle holes.
2. Labels must be placed on either end of boxes under the handle holes. Use labels from Purchasing Stores. Please do not use photo copies.
3. Remove pendaflex folders from box before sending to Records Center. **OVERWEIGHT AND/OR MISLABELED BOXES WILL NOT BE PICKED UP.**

For Records Center Use Only Accession Number	Department / Division DEA / Records ?	Box Number 2 of 4
King County Archives and Records Center (Records Management Program)		
 Description of Records Absentee Ballots		
Inclusive Dates: mo./yr. From: 11/90 To: 12/90	For Records Center Use Only Destruction: mo./yr.	
For Records Center Use Only Location number		

PICK-UP LOCATIONS FOR BOXES SENT TO RECORDS CENTER

DEPARTMENT/DIVISION	PICK-UP LOCATION
ADULT DETENTION	Jail Loading Dock
ASSESSMENTS	Administration Building Loading Dock
COUNTY COUNCIL	Courthouse Loading Dock
COUNTY EXECUTIVE	Courthouse Loading Dock
DISTRICT COURT	Individual District Court, or Courthouse Loading Dock
EXECUTIVE ADMINISTRATION	Administration Building Loading Dock, or Courthouse Loading Dock
Safety & Workers' Compensation	Boeing Field - Call to arrange with individual
FINANCIAL MANAGEMENT	Administration Building Loading Dock, or Courthouse Loading Dock
HUMAN SERVICES	Smith Tower, 2nd Ave. Entrance
JUDICIAL ADMINISTRATION	Courthouse Loading Dock
PARKS, PLANNING AND RESOURCES	Smith tower, 2nd Ave. Entrance
Building and Land Development	Delivered by Courier
Parks	2040 84th Ave. S.E., Mercer Island
PRIVATE INDUSTRY COUNCIL	2001 Western Ave., Western Ave. Entrance
PROSECUTING ATTORNEY	Courthouse Loading Dock
Family Support	Prefontaine Building - Yesler Entrance
Fraud	Bank of California Building Loading Dock

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PICK-UP LOCATIONS FOR BOXES SENT TO RECORDS CENTER

DEPARTMENT/DIVISION	PICK-UP LOCATION
PUBLIC HEALTH	Prefontaine, 4th Ave. Entrance
Alcoholism	Smith Tower, 2nd Ave. Entrance
Environmental Health	Smith Tower, 2nd Ave. entrance
Regional Services	Public Safety Building, 4th & James Garage
Vital Statistics, District Clinics & Offices	Individual Offices
PUBLIC SAFETY	Courthouse Loading Dock, or Individual Sites
PUBLIC WORKS	
Roads Division	Administration Building Loading Dock
Administration	Yesler Building
Solid Waste Management	Yesler Building
STADIUM ADMINISTRATION	201 S. King Street
SUPERIOR COURT	Courthouse Loading Dock
YOUTH SERVICES	1211 E. Alder Street, Front of Building, North Side

NOTE: Pick-ups may be arranged at site other than regular pick-up location by special request.

PICK-UP INSTRUCTIONS
FOR BOXES SENT TO RECORDS CENTER

ADMINISTRATION BUILDING
500-4th Ave.

All boxes need to be on pallets
on loading dock on the south side
of building.

BANK OF CALIFORNIA BUILDING

All boxes need to be on pallets
on loading dock.

BOEING FIELD

COURTHOUSE
516-3rd Ave.

All boxes need to be on pallets
on loading dock on south side of
building.

DETOX
1421 Minor Ave.

Truck will park in alley on west
side of building.

JAIL
500-5th Ave.

Boxes need to be on pallets on
loading dock. Truck will enter on
6th Ave.

PARKS
2040 84th Ave. S.E.
Mercer Island

PREFONTAINE BUILDING
110 Prefontaine Pl. S.

Boxes need to be put at East
entrance on 4th Ave.

PRIVATE INDUSTRY COUNCIL
Market Place I
2001 Western Ave.

Boxes need to be put at Western
Ave. entrance.

PUBLIC SAFETY BUILDING
610-3rd Ave.

Boxes need to be put at garage
entrance on 4th & James.

SMITH TOWER
506-2nd Ave.

Boxes need to be on 2nd floor,
door by alley

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PICK-UP INSTRUCTIONS
FOR BOXES SENT TO RECORDS CENTER

STADIUM ADMINISTRATION

Unless specifically mentioned,
pallets are not needed due to lack
of space.

YESLER BUILDING

YOUTH SERVICES

Truck will park in front of building
on North side.

NOTE: Driver will not pick-up boxes unless they are correctly labeled, and
match transmittal that has previously been sent to Records Center.

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KING COUNTY ARCHIVES AND RECORDS CENTER
PROBLEM PICK-UP FORM

Records Center Staff _____
Date: _____
Dept. Contract: _____
Dept/Division: _____
Accession Number: _____

PROBLEMS

_____ Some or all boxes missing
_____ Too many boxes
_____ Labelled wrong

Problem: _____

_____ Overweight

Other: _____

Please contact Vicki Papajani, Records Center Supervisor, at 296-1539 if you have any questions and to schedule new pick-up.

REQUEST PICK-UP & DELIVERY LOCATIONS

FOR FILES & BOXES CHECKED OUT OF RECORDS CENTER

DEPARTMENT/DIVISION	PICK-UP/DELIVERY LOCATIONS
ADULT DETENTION	553 Administration Building - Individual Files Jail Loading Dock - Boxes
ASSESSMENTS	553 Administration Building
COUNTY COUNCIL	402 Courthouse Building
Auditor	402 Courthouse Building
Clerk of the Council	402 Courthouse Building
COUNTY EXECUTIVE	400 Courthouse Building
DISTRICT COURT & PROBATION	E340 Courthouse Building
EXECUTIVE ADMINISTRATION	553 Administration Building
Records Section	311 Administration Building
FINANCIAL MANAGEMENT	553 Administration Building
HUMAN SERVICES	553 Administration Building - Individual Files Smith Tower - Boxes
JUDICIAL ADMINISTRATION	By Courier
PARKS, PLANNING AND RESOURCES	553 Administration Building - Individual Files Smith Tower - Boxes
Building and Land Development	By Courier
PRIVATE INDUSTRY COUNCIL	U.S. Mail - Individual Files 2001 Western Ave. - Boxes

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REQUEST PICK-UP & DELIVERY LOCATIONS

FOR FILES & BOXES CHECKED OUT OF RECORDS CENTER

<u>DEPARTMENT/DIVISION</u>	<u>PICK-UP/DELIVERY LOCATIONS</u>
PROSECUTING ATTORNEY	W-554 Courthouse
Civil Division	E-550 Courthouse
Criminal Division	W-554 Courthouse
Family Support	Mail Slot, W-554 Courthouse - Individual Files Bank of California Building Loading Dock - Boxes
Fraud	Mail Slot, W-554 Courthouse - Individual Files Bank of California Building Loading Dock - Boxes
PUBLIC HEALTH	553 Administration Building
Detox	By Courier
PUBLIC SAFETY	W-116 Courthouse
PUBLIC WORKS	553 Administration Building
STADIUM ADMINISTRATION	553 Administration Building
SUPERIOR COURT	C-903 Courthouse
YOUTH SERVICES	By Courier

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