Library and Archives Canada
Bibliothèque et Archives Canada

Manitoba Region Federal Records Centre

Guidelines for Transfer of Civilian Personnel Files

Effective: January 2004

Table of Contents

1. INTRODUCTION 3

2. POLICY AND GUIDELINES 3

3. LISTING THE FILES 4

- a. General Information 4
- b. Box Number (Field #1) 5
- c. Family Name (Field #s 2, 6, 9, 12, and 15) 5
- d. Given Names (Field #s 3, 7, 10, 13, and 16) 5
- e. Identification Number (Field #s 4, 8, 11, 14, and 17) 6
- f. Birth Date (Field #5) 6
- g. Release Year (Field #18) 6

4. BOXING THE FILES 6

- a. General Information 6
- b. Information on Box 6
- c. Box Size and Type 7

5. SHIPPING 8

6. FILE REQUESTS 8

- a. General Information 8
- b.. Authorized Person Able to Request Files 8
- c. Request for File 9
- d. Important Conditions for Files on Loan 9
- e. Returning of Files 9
- f. Interfiles 10
- g. Shipping Your Requests 10

7. FREQUENTLY ASKED QUESTIONS AND ANSWERS 11

APPENDIX A: Spreadsheet for New Accessions 12

APPENDIX B: Request Form 14

APPENDIX C: Common Interfiles 15

APPENDIX D: Picture - Front of Box 16

APPENDIX E: Picture - Top of Box 17

APPENDIX F: Pictures - Refiles and Interfiles 18

1. INTRODUCTION

Library and Archives Canada, Manitoba Region - Federal Records Centre (MRFRC) will only accept personnel SOS files that are two years dormant (current year and previous year must be kept within the client institution). Beginning, January 1, 2004 we will accept personnel files for employees SOS 2002 or prior.

These guidelines and detailed procedures must be followed in order to prepare all files for transfer to the Manitoba Region FRC. All files/accessions must be accompanied with an electronic list in the format approved by Library and Archives Canada (LAC), in order to facilitate access to all files being stored at the MRFRC. If using a different format call us for approval (204) 983-4495.

The procedures outlined below must be followed to ensure the efficient transfer and integration of these files into the central Personnel file system.

2. POLICY AND GUIDELINES

- Some documents must not be included with the transfer of the personnel files. The Multi-Institutional Disposition Authorities (**MIDA**) and the **Info Source Sources of Federal Employee Information 2002-2003 Standard Bank Descriptions** contain information on what should be included in an employee's personnel file.

- The MIDA is an information management tool to be used in conjunction with the Info Source for the effective disposition of common administrative records for federal departments, agencies, and crown corporations. If you have any questions or concerns please consult your information management section for further clarification.
  The MIDAs can be located at the following LAC Internet site:
  http://www.collectionscanada.ca/information-management/0604_e.html

- The Info Source Sources of Federal Employee Information 2002-2003 Standard Bank Descriptions lists personal information banks on federal employees for all government institutions subject to the *Privacy Act and the retention periods.*
  The Info Source can be located at the following TB Internet site:
  http://www.tbs-sct.gc.ca/pubs_pol/gospubs/infosource/2002/infosource_pdf_e.asp
  A hard copy of the document can be ordered at:
  http://infosource.gc.ca/index-e.html

- **IMPORTANT:** According to the Treasury Board of Canada Secretariat, changes on the use of the SIN (Social Insurance Number) took effect in 1989. The SIN Policy was approved by TB Ministers and limited the collection, use, and disclosure of the SIN for administrative purposes. There are specific "Authorized Uses of the SIN" under the TB Policy. As well, the TB SIN policy was integrated with the Treasury Board Policy on Privacy and Data Protection. As a result, the use of SIN **MUST NOT** be used at any time in the Spreadsheet. Below are two website links containing this information:

  Use of the Social Insurance Number:
  http://www.tbs-sct.gc.ca/pubs_pol/gospubs/TBM_128/CHAP3_4_e.html

Privacy and Data Protection:
http://www.tbs-sct.gc.ca/pubs_pol/gospubs/TBM_128/CHAP1_1_e.html

- Please note that personnel records must be reviewed and culled prior to accessioning at the Manitoba Region FRC to ensure the criteria are met and information that does not pertain to the personnel records program should be accessioned or destroyed using the proper MIDA or Institutional Specific Disposition Authority (ISDA).

- The Manitoba Region FRC reserves the right to send back any files that have not been accessioned properly according to this Communiqué, the MIDA, and the Info Source.

3. LISTING THE FILES

A detailed listing of the files must be saved on a 3½ Floppy Diskette (A:) or in CD-ROM format and placed inside the **FIRST** box of the accession. The outside of the Diskette/CD-ROM must be labelled with:

- Department name
- Address
- Name and telephone number of the person responsible for transferring the records

The data must be entered in a special **Excel spreadsheet** developed by LAC for the use of the Manitoba Region FRC and its clients. Questions about this service may be directed to 1-204-983-4495 or by e-mail at supciv@lac-bac.gc.ca.

No alterations or reconfigurations of the spreadsheet are permitted without consultation.

A copy of the Diskette/CD-ROM containing the spreadsheet should be retained in your records office should we have any problems opening your disk.

NOTE: The spreadsheet is to be used for **new** accession files only. Files that are being returned for refiling are not to be included on the spreadsheet. Refiles (previously accessioned files) have a sticker on the front of the file cover with a location number, bar code, and department code. These are to be boxed separately. (**See Section 6e**)

The following is a description of the Spreadsheet's entry fields (**See Appendix A**):

a. General Information

- All characters must be UPPER CASE.
- French character sets are accepted.
- All dashes, commas, apostrophes, spaces and periods (-, ‘.) must be eliminated.

As well, the following information **must** appear on the front cover of each file:

- Family Name(s)
- Full given name(s) (or use initial(s) only if full given name(s) not known)
- Date of birth (DOB)
- Year of release from service (SOS)
- Personal Record Identifier (PRI)

b. Box Number (Field #1)

This field is used to record the sequential box number in which each particular personnel record will be transferred in.

c. Family Name (Field #s 2, 6, 9, 12, and 15)

There are several fields for the recording of family names as individuals may have more than one family name as a result of marriage, aliases or legal name change:

- Each name must be entered in a separate family name field, that is, one family name per field.

- Hyphenated family names are treated as separate names and must therefore, be recorded in separate fields (e.g. Smith-Jones would be entered as “SMITH” in Family Name 1, and “JONES” in Family Name 2).

- Family names separated by prepositions such as “de,” “de la,” “van” and “von” are to be recorded without the spaces (e.g. PONTDELAMONTAGNE or VANBEETHOVEN). In the same way, for names, which include an apostrophe (‘) such as “Prud’homme” or a dash (-) such as St-Laurent, you must eliminate the apostrophe or dash and enter the name as one word (e.g. PRUDHOMME or STLAURENT).

d. Given Names (Field #s 3, 7, 10, 13, and 16)

There are several fields for the recording of given names as individuals may have more than one set of given names through aliases or legal name change:

- Each given name must be entered in a separate given name field, that is, one given name per field.

- At least one given name should be entered in full on the spreadsheet.

- Hyphenated given names are treated as separate names and must therefore, be recorded in separate fields (e.g. “Marc-André” would be entered as “MARC” in Given Name 1, and as “ANDRÉ” in Given Name 2).

- Initials are to be treated as a given name and recorded in a separate name field. No abbreviations are to be recorded C.S. (e.g. **C.S.** must be in two separate given name columns without the periods).

e. Identification Number (Field #s 4, 8, 11, 14, and 17)

- The **PRI** should always be entered in Field #4.

- To enter the identifier on the Spreadsheet correctly, always place a "P" before the 8-digit PRI number. If a PRI contains a "0" (zero) in front of the 8 digits you must replace the "0" for a P (e.g. if the PRI is 099999999, it must be entered as **P99999999**).

- In cases where the employee has more than one PRI identifier, the last or latest PRI will be entered in Field #4 and the older PRI should be entered in Field #8.

- **Additional Numerical Identifiers** such as Superannuation or any other identifying numbers should be entered in fields #8, 11, 14, or 17.

f. Birth Date (Field #5)

The **DAY**, **MONTH** and **YEAR** (DD/MM/YYYY) of birth must be recorded in this order. For example, the birth date of a person born on 8 February 1944 must be entered as **08/02/1944**.
If the file contains no reference to a birth date, subtract 16 years from the date ot the earliest recorded information in the file, use December 31 as the birth date. The number obtained as a result of the subtraction shall be used to serve as an approximate date of birth. For example the, if the earliest recorded date on file is 15 September 1988, the birth date to be recorded is 1972/12/31.

g. Release Year (Field #18)

This field is to record the year of release or S.O.S. (Struck Off Strength) date. All four digits of the release year (YYYY) are to be recorded (for example, "2002"). Please note that the day and month of the release date ARE NOT to be entered.

4. BOXING THE FILES

a. General Information

- Accessions (record groups being transferred in each shipment) must be arranged in alphabetical order.
- All documents must be placed in the appropriate file before transfer.
- Ensure that Refiles are not to be included with new accessions. They are to be shipped in separate boxes. (**See Section 6e**)

b. Information on Box

- The information on the **FRONT** of the box should contain (**See Appendix D**):

  (A) Department code (e.g. Library and Archives Canada is ARC)
  (B) Number of box /total of boxes (e.g. 1/10, 2/10…9/10, 10/10)
  (C) Name of first file and last file in the box (e.g. Atwell, Joe – Smith, Tina)

- The information on the **TOP** of the box should contain the address of (**See Appendix E:**):

  (A) Receiver: Library and Archives Canada
  1700 Inkster Blvd.
  Winnipeg, MB
  R2X 2T1

  (B) Sender: Your Department Name
  Your Street Number and Name
  Your City, Province
  Your Postal Code

  NOTE: Address labels can be computer generated if preferred.

- The information on boxes of **REFILES** should contain (**See Appendix F**):

  (A) The department code
  (B) The box number/total of boxes
  (C) **REFILES** (specifying that the box contains only refiles)

c. Box Size and Type

- The standard archives box is "top opening", 11-1/2 inches wide, 15-1/4 inches long, and 10-1/4 inches high (1.0 cubic ft.).

- It is imperative this size box is used in order to fit on our shelves.

- Contact your Records Manager in your department on how to obtain these boxes.

- The boxes are also available from:

  Smurfit-MBI
  1360 Inkster Blvd.
  Winnipeg, MB R3C 3J4
  Ph: (204) 697-5353
  Fax: (204) 633-9655

  Or call your local Smurfit-MBI representative. The stock number is #8115-21-901-7400.

5. SHIPPING

- The information contained in federal civilian personnel files is regarded as “sensitive” and is security classified as Protected “B.”

- Any major bonded courier, or transport company will provide both proof-of-delivery and sufficient security for the transfer of these files to the Manitoba Region FRC (e.g. Canada Post “Xpresspost”)

- All records must be shipped pre-paid to the following address:

  Library and Archives Canada
  1700 Inkster Blvd.
  Winnipeg MB
  R2X 2T1

6. FILE REQUESTS

a. General Information

All requests for files should be directed to the Manitoba Region FRC, as follows:
By mail: Library and Archives Canada
1700 Inkster Blvd.
Winnipeg MB
R2X 2T1

By Phone: (204) 983-4495
By FAX: (204) 983-4649
By E-mail: supciv@lac-bac.gc.ca

b. Authorized Person Able to Request Files

It is imperative that the Manitoba Region FRC know whom the Authorized Person/Custodian (e.g. Supervisor or Records Manager) is when a request is being made, as we are only able to charge out files on our system to this person. For new clients please specify **ONE** Authorized Person/Custodian for your department. If there are any changes to the Authorized Person/Custodian in your department, the FRC must be notified in **writing**. These changes can be:

- Faxed: (204) 983-4649
- Emailed: supciv@lac-bac.gc.ca,
- Mailed: Library and Archives Canada
  1700 Inkster Blvd
  Winnipeg, MB
  R2X 2T1

c. Request for File

When requesting a file the following information must be provided on a standard Request Form (**See Appendix B**):

- Full name (Surname(s), Given name(s)).
- PRI or another identification number (such as a Superannuation number).
- Date of birth of the individual of the file for which you are requesting.
- SOS Year.
- Specify if you wish to retain or review (90-day loan period) the file(s).
- Your department and a contact number.
- The name of the Authorized Person /Custodian. **NOTE**: It is very important that the Custodian is indicated on all correspondences to expedite the delivery of the request.

d. Important Conditions for Files on Loan

- When requesting a file, please specify if you wish to retain it permanently. All files have a 90-day borrowing time; however if you should require the documents beyond this time, please contact the Manitoba Region FRC. If the file is not returned before 90 days, a follow-up notice will be sent out to which a prompt response in regards to the status of the file is expected.

- All files on loan must not be altered. Therefore, the file must be left in original file cover and must not be amalgamated with any other files. All our files have a Bar Code sticker on the front cover when sent out to the clients. If a file were amalgamated into another file, the sticker on the amalgamated file would not be visible therefore our records would show that the file is still charged out to the client. Any alterations can cause problems with future transactions of the files.

- Transfer of documents between institutions is prohibited. These documents must be returned to the Manitoba Region FRC, in their original state. The requesting institution will then be responsible for requesting the files from Library and Archives Canada.

e. Returning of Files (Re-files)

- Any files that have been loaned to your office and are being returned to Manitoba Region FRC for refiling can simply be put in a box in an orderly fashion, labelled "**REFILES**", and sent to the FRC (**See Appendix F – Figure #1**). The FRC does not need a list of these records.

- Refiles are files that have already been archived at the FRC and will have a bar code sticker on the front cover.

f. Interfiles

- Any papers that need to be put away into a file already archived at FRC are called **interfiles,** and should be sent separately from Refiles and New Accessions.

- The box containing these papers must be labelled "**INTERFILES**" on the outside.
  (**See Appendix F - Figure #2)**.

- The papers being sent for interfiling must contain the following information:
  - Family and Given name
  - Date of birth
  - PRI and/or other identification numbers
  - Department name the interfile is associated with (e.g. DND file). A Civilian can have several different files therefore; it is necessary to identify which department file the papers must be interfiled to.

- If the papers are not likely to fit in a file, please place in a file jacket and send it to us as a new file following the correct procedures.

- Manitoba Region FRC cannot accept certain interfiles (listed in **Appendix C**) since these interfiles have shorter retention periods than Civilian files. Appendix C only lists a few common examples therefore, the Multi-Institutional Disposition Authorities must be consulted before any interfiles are sent to the FRC.

g. Shipping Your Requests

- When files are requested from the Manitoba Region FRC, the files are generally shipped using the client's courier account such as Purolator, Canada Post, Loomis, and FedEx. Some research has been done on the cost comparison of shipping by air versus ground. Shipping by ground takes an extra one to two days but is more cost effective.

- We encourage the use of a national courier that has a presence in Winnipeg. Please consult the Manitoba Region FRC for various courier options.

- If you do decide to make any changes regarding your shipping account (e.g. switching from one courier to another, switching from air to ground, address change, or account number change, etc.) you must notify the Manitoba Region FRC in writing. These changes can be:
  - Faxed: (204) 983-4649
  - Emailed: supciv@lac-bac.gc.ca
  - Mailed: Library and Archives Canada
    1700 Inkster Blvd.
    Winnipeg, MB
    R2X 2T1

7. FREQUENTLY ASKED QUESTIONS AND ANSWERS

1. **Q**. Can T4s and Performance Appraisals be included in the files?
   A. No, T4s and Performance Appraisals are **NOT** to be included in the files. They have shorter retention periods and therefore cannot be included in a civilian file. The Info Source and MIDAs (Multi-Institutional Disposition Authorities and Supporting Documentation) give descriptions on what can be included in the files.

2. **Q**. Can I amalgamate the files that I have received from Library and Archives Canada with the files from our office?
   A. No, the files should remain the way they were sent for consistent transactions and service. The file must be left in the original file cover and must not be amalgamated with any other files. All our files have a Bar Code sticker on the front cover when sent out to the clients. If a file were amalgamated into another file, the sticker on the amalgamated file would not be visible therefore our records would show that the file is still charged out to the client. Any alterations can cause problems with future transactions of the files.

3. **Q**. Another department wants the files that I have requested on loan; can I send them the files?
   A. No, transferring of documents between institutions is prohibited. The files must be returned to Manitoba Region FRC, in their original state. The requesting institution will then be responsible for requesting the files from Library and Archives Canada.

4. **Q.** I have received a follow-up notice, what should I do?
   A. Inform the Manitoba Region FRC if you will be returning it or if you require the file longer, so we can amend our system accordingly.

5. **Q.** Can I replace the old file cover with a new one?
   A. Even if the file cover is old and ripped it should never be replaced. There is important information that you could be destroying if you replace the cover. Library and Archives Canada will replace the covers of the files.

6. **Q.** I have loose papers that belong in files that are already at the Manitoba Region FRC, what should I do with them?
   A. Send the loose papers to the Manitoba Region FRC indicating that the papers need to be interfiled with existing files. Please ensure the interfiles have the employee name, PRI, date of birth, and the name of the department it belongs to, so that we can correctly match it with the file.

7. **Q.** Can I ship refiles back with new accessions?
   A. Yes, however refiles must be shipped in separate boxes, marked **REFILES** on the box and should not be included in the same sequence of boxes as the accession. (**See Appendix F - Figure #1**)
   EXAMPLE:
   You are shipping 4 boxes of new files and 3 boxes of refiles. The accession should be numbered 1-4 and the refiles should be numbered 1-3.

8. **Q.** Can different S.O.S. dates be shipped in the same accession?
   A. Yes, but you must ensure the files are in alphabetical order and that each file has an S.O.S year listed.

9. **Q.** What is a Custodian?
   A. A Custodian is an authorized person in your office, usually a Supervisor or Records Manager, who is preauthorized to receive files.

APPENDIX A: Spreadsheet for new Accessions

FIELD / CHAMP #1	**FIELD / CHAMP #2**	**FIELD / CHAMP #3**	**FIELD / CHAMP #4**	**FIELD / CHAMP #5**	**FIELD / CHAMP #6**	**FIELD / CHAMP #7**	**FIELD / CHAMP #8**	**FIELD / CHAMP #9**	**FIELD / CHAMP #10**
Box number / Numéro de boîte	**Family Name / Nom de famille**	**Given Name / Prénom**	**Identification Number / Numéro d'identification**	**Date of Birth dd/mm/yyyy / Date de naissance jj/mm/aaaa**	**Family Name 2 / 2e Nom de famille**	**Given Name 2 / 2e Prénom**	**Identification Number 2 / 2e Numéro d'identification**	**Family Name 3 / 3e Nom de famille**	**Given Name 3 / 3e Prénom**

Appendix A cont'd

FIELD / CHAMP #11	FIELD / CHAMP #12	FIELD / CHAMP # 13	FIELD / CHAMP #14	FIELD / CHAMP #15	FIELD / CHAMP #16	FIELD / CHAMP # 17	FIELD / CHAMP # 18
Identification Number 3 / 3e Identification	Family Name 4 / 4e Nom de famille	Given Name 4 / 4e Prénom	Identification Number4 / 4e Identification	Family Name 5 / 5e Nom de famille	Given Name 5 / 5e Prénom	Identification Number 5 / 5e Identification	Release Year yyyy / Année de fin de service aaaa

APPENDIX B: Request Form

CIVILIAN FILE REQUEST FORM/DÉMANDES DES DOSSIERS PERSONNELS

To: Library and Archives Canada/BAC
1700 Inkster Blvd./1700 Boul. Inkster
Winnipeg, Manitoba R2X 2T1
Phone no./No.tél: (204) 983-4495
Fax no./No. télécopieur: (204) 983-4649
Email/Courriel: supciv@lac-bac.gc.ca

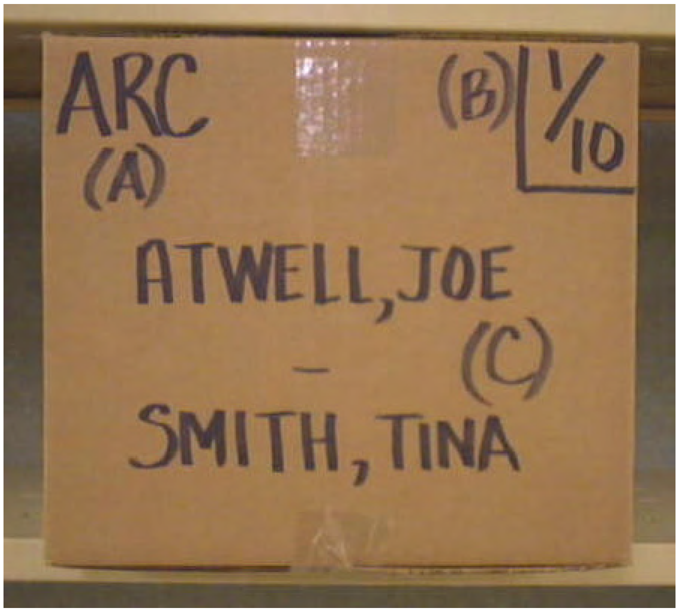
From: Department/Ministère: ______________________
City/Ville: ______________________
Phone no./No.de téléphone: ______________________
Fax no./No. de télécopieur: ______________________
Requested by/Démandé par: ______________________
Authorized by/Authorizé par: ______________________

Surname(s)/Nom de Famille(s)	Given Name(s)/Prénom(s)	D.O.B./D.D.N	Identification # (I.e. PRI)	Permanent (X)	Comments

APPENDIX C: Common Interfiles

DOCUMENT	INTERFILE: YES/NO	RETENTION PERIOD	MIDA PAGE #
T4, TP4	NO	6 years	Part 4, Page 17
ROE Record of Employment	NO	6 years	Bottom of document
Performance Reviews & Appraisals	NO	5 years	Part 5, Pages 5 - 6
Leave forms	NO	2 years after fiscal year expiry	Part 5, Page 8
Security Clearances & Reliability checks	NO	2 years after individual leaves department	Part 1, Page 12
Exams/Competition	NO	2 years after expiry of eligibility list	Part 5, Page 18
Hours of Work & Overtime	NO	2 years	Part 5, Page 4
Safety Training & Instruction	NO	2 years after requirement ceases	Part 5, Page 10
Language course application, enrollment, attendance, qualifications, etc.	NO	2 years after date of last document	Part 5, Page 11
Cheques	NO		Part 4, Page 8 - 9
Participation and Achievement awards	YES		Part 5, Page11
Language exam, exemption, & training records	YES		
Workers Compensation papers	YES		

APPENDIX D: Front of Box


ARC
(A)
(B)
1/10
ATWELL, JOE
–
(C)
SMITH, TINA

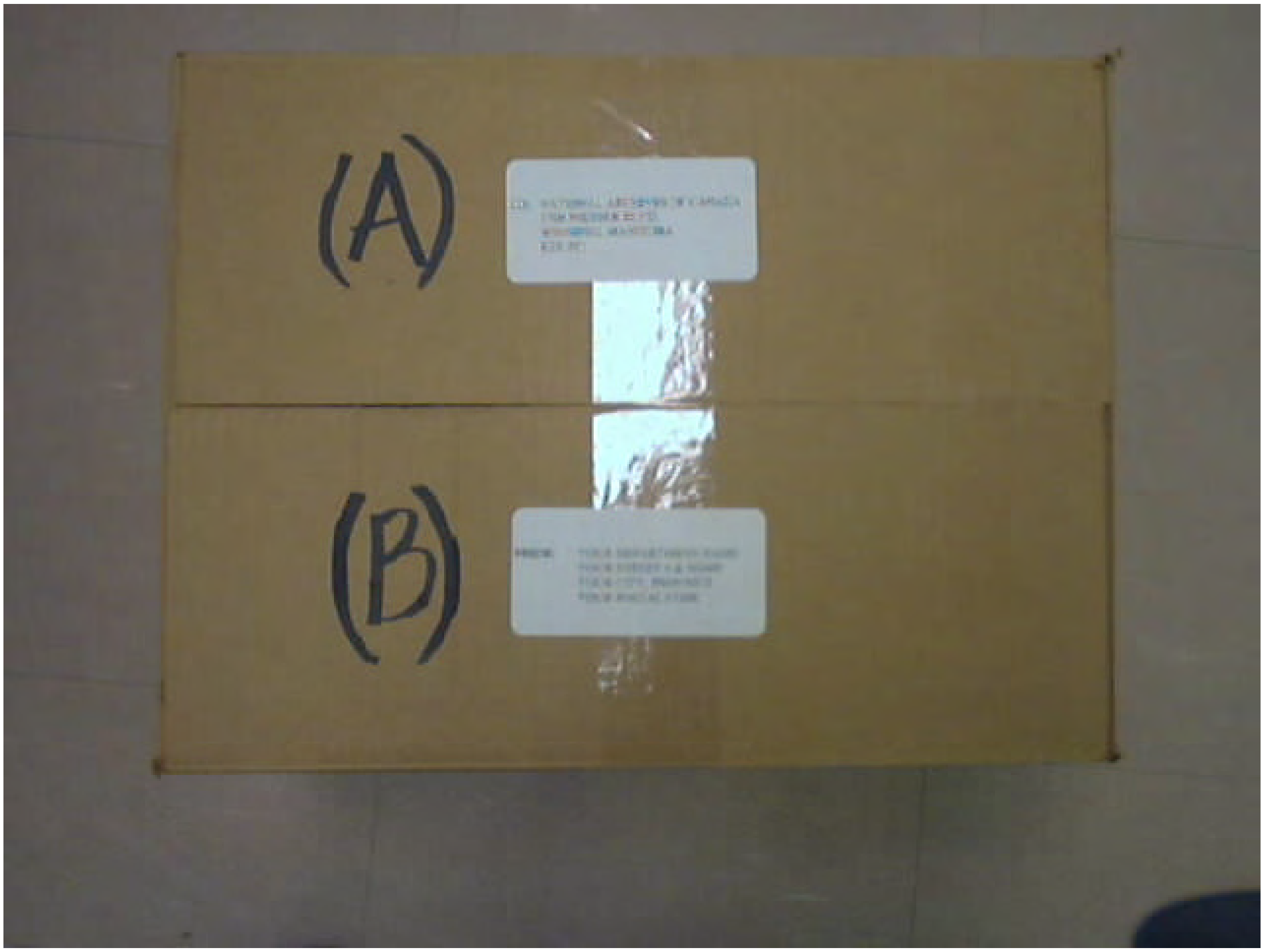
LEGEND:

(A) The Department Code

(B) Box number/Total of boxes

(C) Name of first file and last file in the box

APPENDIX E: Top of Box



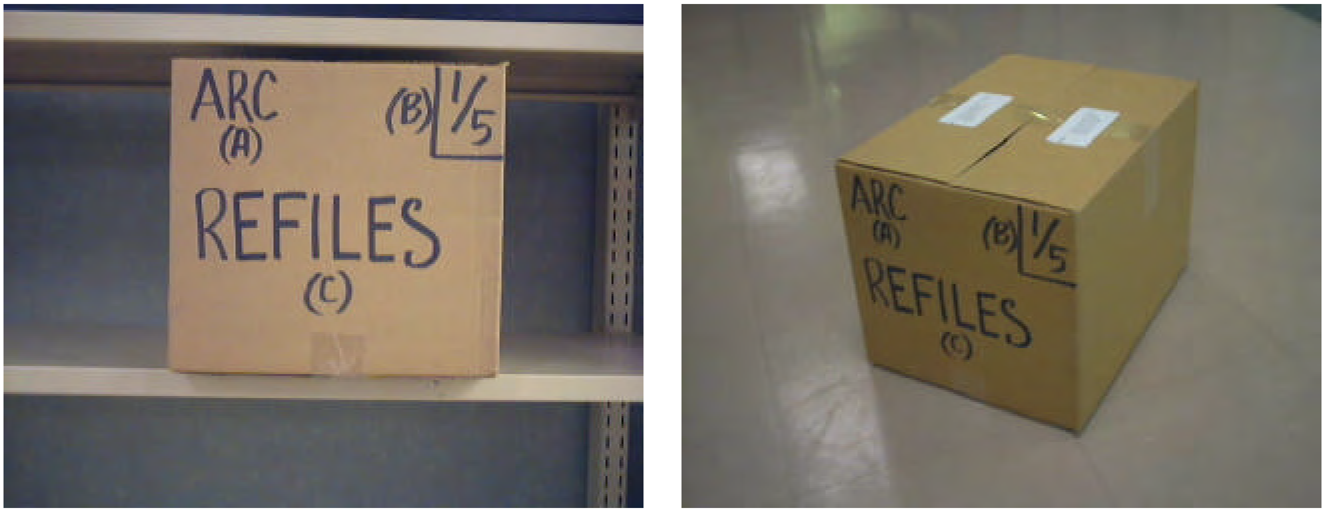
LEGEND:

(A) Receiver: **Library and Archives Canada**
1700 Inkster Blvd.
Winnipeg, Manitoba
R2X 2T1

(B) Sender: **Your Department Name**
Your Street Number and Street Name
Your City, Province
Your Postal Code

APPENDIX F: Refiles and Interfiles

FIGURE #1:

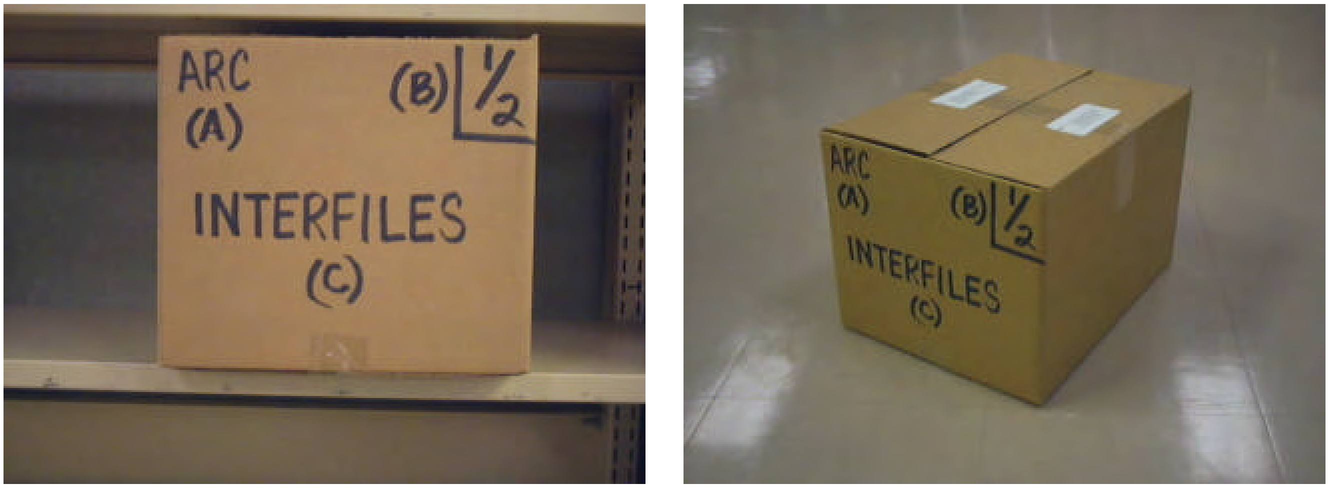

ARC
(A)
(B) 1/5
REFILES
(C)

LEGEND:
(A) The Department Code

(B) Box number/Total of boxes

(C) REFILES (specifying the box contains ONLY refiles)

FIGURE #2:


ARC
(A)
(B) 1/2
INTERFILES
(C)

LEGEND:
(A) The Department Code

(B) Box number/Total of boxes

(C) INTERFILES (specifying the box contains ONLY interfiles)