

Directory of Records

The Directory of Records which includes **Personal Information Banks** is divided into nine functional categories:

ADMINISTRATION & GOVERNANCE
MEDICAL AFFAIRS
HUMAN RESOURCES
FINANCIAL SERVICES
FACILITIES & ENVIRONMENTAL SERVICES
CLINICAL INFORMATION SERVICES
OTHER CORPORATE SERVICES
COMMUNICATIONS & FUND DEVELOPMENT
RESEARCH

Each category lists the major series or types of records contained within. Those with **Personal Information Banks** appear in **orange**. The corresponding **Personal Information Bank** list provides further detail on the type of personal information maintained, how it is used, to whom it is disclosed and where it is located, etc. Headings marked with an asterisk (*) indicate records that are available publicly on our website.

ADMINISTRATION & GOVERNANCE

Accessibility
Accreditation Records
Acute/Forensic Bed Registry
Administrative By-Laws
Agreements and Contracts

- Hospital Service Accountability Agreement*
- Individual Contracts for Executive Compensation*

Annual Reports and Audits*
Board of Directors By-Laws
Board of Directors Membership List*
Corporate Policies and Procedures
Corporate Projects

- TAY, Shared Care, BIRT, etc.

Documents of Incorporation
Emergency Planning

- Fan-Out List

Freedom of Information and Protection of Privacy
Insurance Policies
Leases/Deeds
Legal Matters
Library Collection

- Minutes of Board Committees and Standing Committees
- Minutes of External Committees
- Minutes of Hospital Committees
- Minutes of Programs and Departments
- Minutes of Senior Team
- Operational Reviews
- Organization Structure
 - Organizational Chart
- Program/Departmental Procedures
- Records Retention
- Redevelopment
- Senior Management List*
- Strategic Planning (e.g. IS, Clinical Services Plan*, etc.)
 - Strategic Plan*

MEDICAL AFFAIRS

- Annual Membership Fees
- Credentialing and Appointments
- Professional Staff By-Laws
- Professional Staff Files

HUMAN RESOURCES

Attendance Management Programs

- ShiftMaker
- SMART

Employee Competitions/Specs and Recruitment

- Human Rights Complaints and Investigations
- Labour Relations Records
- Orientation and Training Material

Pension Records

Personnel Records

- Employee Status Change
- Performance Management
- Police Reference Checks
- Record of Training
 - MedLearn
- Student Records

- Talent Management

Volunteer Application Records

FINANCIAL SERVICES

- Accounting and Finance Administration

Accounts Payable

- Accounts Receivable

- Audits and Reviews

- Bank Statements and Reconciliations

Benefit Plan Records

- GreatPlains Database

Budget Records

Expense Claims

- Hospital Executive and Board Member Expense Reporting*

Financial Reporting and Analysis

General Ledger

Grants/Funding

Payroll Records

- QHR

Pin Money

Procurement Records

T-4 Slips

Taxation

FACILITIES & ENVIRONMENTAL SERVICES

Building Technical Standards and Safety

Construction and Renovation

Emergency Management Plans

Engineering, Drawings, Blueprints

Maintenance Operational Records

Material Safety Data Sheets

Security Programs and Services

- Access Control (Cards, Keys, Codes, etc.)
- Equipment
- G4S - Security

Supplier Documentation

Tests and Inspection Reports

Transportation Records

Workplace Space Planning and Moves

CLINICAL INFORMATION SERVICES

Access and Privacy

Clinical Reports & Statistics

Master Patient Index

Patient Booking

Patient Health Records

- File Director
- RAI-MH

Patient Registration

Pharmacy Records

- CSAN Forms (Clozapine)
- Dispensing
- Pharmacy Management System
- Profiles
- Requisitions

Records under Personal Health Information Protection Act

Seclusion Peer Review

Wait Times

OTHER CORPORATE SERVICES

Information Technology

- Asset and Work Order Tracking Data

Occupational Health and Safety Records

Quality and Integrated Risk Management

- Infection Control Records
 - Hand Hygiene Compliance Rates*
 - Public Reporting of Healthcare Associated Infections (HAI's)*
 - *C. difficile**
 - MRSA Bacteraemia*
 - VRE Bacteraemia*
- Patient Safety/Quality Improvement Records
- Quality of Care and Patient Safety Reviews
- Research Ethics Board
- Risk Management Records
 - Risk Monitor Pro
- Workplace Compensation and Disability Management

COMMUNICATIONS & FUND DEVELOPMENT

Announcements

Awards

Events and Ceremonies

Images

Internal Communications

Media Relations

Presentations

Publications

Publicity and Marketing

Website

RESEARCH

Grants/Funding

Presentations and Articles

University Affiliation

Index of Personal Information Banks

Agreements and Contracts

Location: Corporate

Description: Agreements and contracts between the hospital and organizations or individuals

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: Name, contact information, details of financial arrangements between individual and hospital

Uses: Contract management

Users: Various departments within the hospital

Individuals in Bank: Individuals and organizations who enter into agreements with the hospital

Retention Period: Permanent

Attendance Management Programs

Location: Human Resources/Staffing Services

Description: Records relating to attendance and scheduling

Legal Authority: Employment Standards Act, s.15 (5)

Information Maintained: Leaves of absence, hours of work, overtime, statutory holidays, sick time taken, vacation days, attendance, and shift schedules

Uses: Document attendance, record and manage sick time

Users: Human Resources and appropriate directors

Individuals in Bank: Employees

Retention Period: SMART CCY + 10 years; on call schedule 2 years

Employee Competitions/Specs and Recruitment

Location: Human Resources

Description: Records relating to the recruitment of staff for classified and contract job postings. May include information on applicant screening and testing, conducting interviews, and acceptance and rejection of candidates

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40; Employment Standards Act, S.O. 2000, c. 41, s. 15

Information Maintained: Individuals' submitted resumes and/or job applications containing information on employment history, education, contact information, interview questions, scoring matrices and reference checks

Uses: Document competition and hiring processes

Users: Human Resources

Individuals in Bank: Employees and members of public applying for positions

Retention Period: Competitions & recruitment CCY + 2 years; job specs CCY + 10 years

Occupational Health and Safety Records

Location: Occupational Health and Safety

Description: Records relating to hospital staff's occupational health & safety requirements

Legal Authority: Occupational Health and Safety Act R.S.O. 1990, c.O.1, s.9; Occupational Health and Safety Act R.S.O. 1990, c.O.1, s.26; Workplace Safety and Insurance Act 1997

Information Maintained: Employee name, number, date of birth, contact information, test results, concerns about health, safety, accommodation needs

Uses: Manage and respond to health and safety concerns and issues

Users: Occupational Health and Safety

Individuals in Bank: Employees

Retention Period: 21 years

Pension Records

Location: Finance/Human Resources

Description: Records relating to deductions for pension plans

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40; Ontario Pension Benefit Act

Information Maintained: Pension contribution deduction amount, employee name, social insurance number, date of birth, spousal information, beneficiaries, retirement dates

Uses: Document individual employee deductions and provide to external pension plan administrators

Users: Human Resources and external pension plan administrators

Individuals in Bank: Employees

Retention Period: Permanent/7 years after termination

Personnel Records

Location: Human Resources/Finance

Description: Records relating to hospital employees

Legal Authority: Employment Standards Act S.O. 2000, c.41, s.15

Information Maintained: Employee number and name, application form, police reference checks, record of training, benefit plan records, education, work history, attendance and leave records, performance evaluations and disciplinary actions, student records

Uses: Document work history

Users: Human Resources and appropriate directors

Individuals in Bank: Employees

Retention Period: Permanent/7 years after termination

Volunteer Application Records

Location: Volunteer Services

Description: Records relating to being a volunteer at the hospital

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: Name and contact information of volunteers, length of service

Uses: Used to contact volunteers and to schedule volunteer work

Users: Volunteer services staff and appropriate volunteer leader

Individuals in Bank: Individuals who volunteer their time and expertise to the hospital

Retention Period: 5 years

Accounts Payable

Location: Finance

Individuals in Bank: Description: Records relating to processing payments made by the hospital to suppliers of goods and services

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: Supplier name and address, receipts, invoices, payment certificates, financial transactions

Uses: Maintain record of payments, budgeting

Users: Finance

Individuals in Bank: Employees and individuals providing goods or services to the hospital

Retention Period: 7 years

Expense Claims

Location: Finance

Description: Records relating to claims for reimbursement for financial expenses incurred in the course of performance of work duties including personal vehicle use, parking, conference attendance, and air travel

Legal Authority: In accordance with the Broader Public Sector Expenses Directive

Information Maintained: Name, department, location, credit card information

Uses: Document expense reports of staff in the hospital, budgeting purposes

Users: Finance and appropriate directors

Individuals in Bank: Employees

Retention Period: 7 years

Payroll Records

Location: Finance/HR

Description: Records relating administration and processing of employee salary and individual employees' pay history profiles. Includes information on rate of pay, hours of work, reported absences, garnishments, pay rate changes, elected and mandatory payroll deductions and T4 statements

Legal Authority: Employment Standards Act, 2000, c.41, s.15; Insurance Act, R.S.O. 1990, c. I.8, s.300; Employer Health Tax Act, R.S.O. 1990, c. E.11, s.12; Canada Pension Plan, R.S., 1985, c. C-8, s.24; Employment Insurance Act, 1996, c.23, s.87; Income Tax Act, S.C. 1970-71-72, c.63, s.230. & Regulation s.5800

Information Maintained: Employee number, name, social insurance number, gross pay, net pay, deductions, details of hours worked and hours paid, information relating to payroll generation, overriding deductions, year-end payroll reporting, payroll variance reporting, payroll registers, and timekeeping records

Uses: Calculate and administer payroll, benefits and pensions. Provide payroll information for Canada Customs and Revenue Agency and audit requirements

Users: Human Resources, Finance and appropriate directors

Individuals in Bank: Employees

Retention Period: 7 years

Pin Money

Location: Finance

Description: Records relating to patient trust information

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: Name, age, program/ward, registration and/or discharge date, daily financial transactions

Uses: Maintenance of patient trust information and daily financial transactions

Users: Finance

Individuals in Bank: Patients

Retention Period: 7 years

Access and Privacy

Location: Clinical Information Services

Description: Information related to Access to Information & Protection of Privacy

Legal Authority: Freedom of Information & Protection of Privacy Act

Information Maintained: Name and contact information of requesters, third parties, complainants

Uses: Respond to requests for access, correction, complaints

Users: Privacy Officer and appropriate CIS staff responding to request

Individuals in Bank: Requesters, affected parties to requests

Retention Period: Until made public or request closed

Master Patient Index

Description: Record of patient visits to the hospital

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: Patient name, contact information, casebook number, OHIP number, date of visit, attending physician, clinician, length of stay

Uses: Used to identify patients and maintain a complete record of patient visits

Users: Registration, Clinical Information Services and care providers as appropriate

Individuals in Bank: Patients

Retention Period: Permanent

Patient Health Records

Location: Clinical Information Services

Description: Record of the care and treatment provided to patients. Includes information from the Master Patient Index

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: See Master Patient Index. Medical condition, diagnostic information, test results, medications, records relating to interventions

Uses: Provision of care, document the history of patient care, evaluation of quality of care and service provision, and research approved by the Research Ethics Board

Users: Clinical Information Services and care providers as appropriate

Individuals in Bank: Patients

Retention Period: From discharge or death of patient: 10 years, or 10 years following 18th birthday

Patient Registration

Location: Clinical Information Services

Description: Records relating to registration of patients who visit the hospital for care and treatment

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40

Information Maintained: Patient name, demographic information, contact information, casebook number, OHIP number, date of visit, primary care provider, attending physician, clinician, next of kin and length of stay

Uses: Maintain a record of patient visits to hospital

Users: Registration, Clinical Information Services and care providers as appropriate

Individuals in Bank: Patients

Retention Period: 50 years

Pharmacy Records

Location: Pharmacy

Description: Records of inpatient and outpatient drug prescriptions

Legal Authority: Drugs & Pharmacies Regulations Act, R.S.O. 1990, c. H.4

Information Maintained: Patient name, drug prescribed, date of prescription and name of prescriber

Uses: Dispensing of prescribed drugs to patients

Users: Pharmacy staff and care providers as appropriate

Individuals in Bank: Patients who have been prescribed medication

Retention Period: Medication orders, prescriptions, ward requisitions CCY + 2 years; patient medication profiles permanent

Records under Personal Health Information Protection Act

Location: Clinical Information Services

Description: Records relating to requests for access to personal health information

Legal Authority: Personal Health Information Protection Act, 2004, S.O. 2004, c.3, Sched.A

Information Maintained: Name, date of birth, contact information, casebook number of individual to whom the personal health information (PHI) relates, the PHI requested, may include patient consent to disclose to another person or organization (name & contact)

Uses: To identify, locate and provide requested personal health information to patient/former patient or as directed by patient or substitute decision maker

Users: Privacy Officer and Clinical Information Services as appropriate

Individuals in Bank: Patients and substitute decision makers

Retention Period: From discharge or death of patient: 10 years, or 10 years following 18th birthday

Seclusion Peer Review

Location: Provincial Forensic Programs Division

Description: A quality improvement tool used to decrease seclusion incidence on the various provincial programs and to provide programs with data that could be used to evaluate IMP and program effectiveness for certain population

Legal Authority: Waypoint

Information Maintained: Patient name, casebook number, legal status, program/ward, information relating to seclusion

Uses: To decrease seclusion incidence on the various provincial programs and to provide programs with data that could be used to evaluate IMP and program effectiveness for certain population

Users: Auditors and appropriate directors

Individuals in Bank: Provincial Forensic patients with seclusion history

Retention Period: 7 years

Information Technology

Location: Information Systems

Description: Asset and work order tracking data

Legal Authority: TBC

Information Maintained: Requestor, classification/department, call back number, scheduling

Uses: To track an inventory of the computer related assets of the hospital, the staff assigned to them, the IT work orders issued for them, and to track the workload of the IT support technicians

Users: Information Systems

Individuals in Bank: Employees requesting/assigned to work orders

Retention Period: CCY + 7 years

Quality and Integrated Risk Management

Location: Quality and Integrated Risk Management

Description: Reports relating to incidents occurring in the hospital or on hospital property; records relating to patients or staff diagnosed with reportable disease; records relating to the assessment and evaluation of the quality of health care provided

Legal Authority: Public Hospitals Act R.S.O. 1990, c. P.40; Health Protection & Promotion Act; Quality of Care Information Protection Act 2004, S.O.2004, c.3, Sched.B

Information Maintained: Name and contact information of individual, casebook number, details of injury or possible injury (incl. related circumstances), type of disease, other patient health information, care and treatment provided, and adverse events

Uses: To improve safety, inform affected parties & respond to any issues related to the matter; disease management; to evaluate care and service delivery and to improve the quality of care and services provided to patients

Users: Risk Management, program director where incident may have taken place, infection control, laboratory, occupational health and safety, other individuals conducting reviews

Individuals in Bank: Patients, staff, volunteers, visitors

Retention Period: Incident reports (hardcopy) 10 years or 10 years following 18th birthday; incident reports (electronic) permanent; quality assurance infection control audits and indicator reporting 10 years (25 years individual cases); quality of care reviews 15 years