

## **Directory of Records and Personal Information Banks**

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The Kemptville District Hospital Directory of Records provides a listing of the types of records held by the hospital (as required by the Ontario Freedom of Information and Protection of Privacy Act). The Directory of Records is divided into eight (8) functional categories and includes an index of personal Information Banks (PIBs).

- Administrative and Governance
  - Clinical Programs/Patient Care Records
  - Communication and Public Relations
  - Facilities, Planning and Support
  - Finance
  - Human Resources
  - Information Services
  - Medical Affairs
- 
- **Administrative and Governance**  
Records related to the general administration and governance of the hospital, including records of the Board of Directors as well as those of the senior administration team. These records include but are not limited to Policies and Procedures, Agreements, Corporate correspondence, Hospital Annual Report, balanced score cards, fan out lists, Accreditation Report, minutes, leases, deeds, licenses.

### **Personal Information Banks**

#### **Register of Directors of the Corporation(PIB)**

**Location:** Executive Office

**KDH\_Shared\Board\Application**

**KDH\_Shared\Board\Lists**

**Legal Authority:** Corporations Act

**Information Maintained:** Name, address, telephone number, email address, facsimile number

**Uses:** Maintain a record of past and present board members

**Users:** Executive Office

**Individuals in Bank:** Directors of the Board

**Retention and Disposal:** Permanent

**Register of Members of the Corporation(PIB)**

**Location:** Executive Office –

**KDH\_Shared\Administration\Signatures & Photos**

**Legal Authority:** Corporations Act

**Information Maintained:** Photos and signatures

**Uses:** Electronic signatures

**Users:** Executive Office

**Individuals in Bank:** Members of the Corporation

**Retention and Disposal:** 10 years

**Legal Matters(PIB)**

**Location:** Chief Executive Office - **KDH\_Shared\Administration\Legal**

**Legal Authority:** N/A

**Information Maintained:** Legal Correspondence, Legal documentation (e.g. Claims, Statements, Judgments)

**Uses:** Maintain record of legal matters

**Users:** Chief Executive Officer and CEO Staff

**Individuals in Bank:** Plaintiffs, defendants, witnesses

**Retention and Disposal:** Permanent

**Contracts and Agreements(PIB)**

**Location:** Chief Executive Office

**KDH\_Shared\Administration\K:\ADMINISTRATION\  
CONTRACTS\_AGREEMENTS**

**Legal Authority:** N/A

**Information Maintained:** Draft and Final Service Agreements/contracts, Costs, Contract Expiry Date

**Uses:** Maintain copies and logs of agreements and contracts

**Users:** Chief Executive Officer, CEO Staff, Contract Manager

**Individuals in Bank:** Consultants, Contractors

**Retention and Disposal:** Permanent

**KDH Health Centre(PIB)**

**Location:** Chief Executive Office –

**K:\ADMINISTRATION\KDH HEALTH CENTRE**

**Legal Authority:** N/A

**Information Maintained:** Draft and Final Physician Letters of Understanding/Contracts

**Uses:** Maintain copies and agreements and contracts with physicians and Family Health Organization (FHO)

**Users:** Chief Executive Officer and CEO Staff

**Individuals in Bank:** FHO physician members

**Retention and Disposal:** Permanent

### **Leases(PIB)**

**Location:** Chief Executive Office - K:\ADMINISTRATION\LEASES

**Legal Authority:** N/A

**Information Maintained:** Correspondence and Lease information including lease details, costs and expiry/renewal date(s)

**Uses:** Maintain record of lease information

**Users:** Chief Executive Officer, CEO Staff and Finance Department

**Individuals in Bank:** Tenants

**Retention and Disposal:** Permanent

### **Patient Complaints Log (PIB)**

**Location:** Patient Relations Officer

**Legal Authority:** PHA

**Information Maintained:** Name and contact information of individual complaining about some aspect of their hospital experience: information relating to the nature of the complaint

**Uses:** Respond to concern or complaint

**Individuals in Bank:** Patient and visitors

**Retention and Disposal:** 3 years

### **Legal Records (PIB)**

**Location:** Administration-Director of Patient Services

**Legal Authority:** N/A

**Information Maintained:** Name and contact information of individual, status of case

**Uses:** Legal counsel

**Individuals in Bank:** Patients

**Retention and Disposal:** TBD

#### ○ **Clinical Programs/Patient Care Records**

Activities with regard to the day-to-day management of records related to the hospital and departmental offices including all inpatient and outpatient services.

### **Personal Information Banks**

#### **Correspondence Request Log (PIB)**

**Location:** Health Records

**Legal Authority:** PHIPA

**Information Maintained:** Date of request, Name of patient, CPI #, Requestor, Fee, Date information is sent

**Uses:** Medical Records for Release of Health Information

**Individuals in Bank:** Hospital patients

**Retention and Disposal:** according to retention for personal health information

### **FIPPA Requests(PIB)**

**Location:** Health Records, K: drive and paper

**Legal Authority:** Freedom of Information and Protection of Privacy Act

**Information Maintained:** Name, address, telephone number, email address, facsimile number, record of payment

**Uses:** To respond to Freedom of Information requests

**Users:** Freedom of Information Office/Chief Privacy Officer

**Individuals in Bank:** Requestors of information

**Retention and Disposal:** 5 years after final response to the request

### **Office charts log (PIB)**

**Location:** Health Records K: drive in Medical Records

**Legal Authority:** N/A

**Information Maintained:** DOB and Names of files(doctor's office) kept in storage at KDH and destroyed in November, 2011.

**Uses:** Search

**Individuals in Bank:** Doctors offices patient charts

**Retention and Disposal:** charts not required by doctors, therefore destroyed after 8 years of storage

### **Medical Records and Patient Registration Staff list (PIB)**

**Location:** Health Records K: drive in Medical Records

**Legal Authority:** N/A

**Information Maintained:** Names, addresses, distance from work and phone numbers of staff.

**Uses:** contacting staff for emergency or disaster fan out

**Individuals in Bank:** Staff from Medical Records and Patient Registration

**Retention and Disposal:** None

### **Clinic No Show List (PIB)**

**Location:** Health Records K: drive in Medical Records – Clinic Schedule folder

**Legal Authority:** N/A

**Information Maintained:** List by doctor and patient registration number and date of visit.

**Uses:** track no shows

**Individuals in Bank:** Registration numbers of patients by doctor's clinic

**Retention and Disposal:** None

**CPI #'s that have been merged (PIB)**

**Location:** Health Records K: drive in Medical Records – EMPI folder

**Legal Authority:** N/A

**Information Maintained:** List by CPI number and date of merged chart numbers.

**Uses:** track CPI #'s that have been merged

**Individuals in Bank:** CPI #'s of patients

**Retention and Disposal:** None

**Awaiting OR reports for Day Surgery (PIB)**

**Location:** Health Records K: drive in Medical Records

**Legal Authority:** N/A

**Information Maintained:** List by Registration and CPI number and doctor responsible for OR report.

**Uses:** track OR reports waiting to be dictated

**Individuals in Bank:** Patients

**Retention and Disposal:** None

**Files destroyed after 10 year retention period (PIB)**

**Location:** Health Records K: drive in Medical Records, Files destroyed

**Legal Authority:** PHA

**Information Maintained:** List by CPI number, patient name and date discharge.

**Uses:** track charts that have been destroyed

**Individuals in Bank:** patients

**Retention and Disposal:** 10 years

**Recoding Audit(PIB)**

**Location:** Health Records K: drive in Medical Records, Recoding Audit

**Legal Authority:** N/A

**Information Maintained:** List by CPI number, registration number and date of discharge.

**Uses:** track charts that have been recoded

**Individuals in Bank:** CPI and registration #'s of patients

**Retention and Disposal:** None

- **Communication and Public Relations**  
Includes records related to internal and external communication distributed to the media, on our website and to both external and internal stakeholders. Other records include presentations, signage and advertisements.
  
- **Facilities, Planning and Support**  
Records related to maintenance, operations and development of hospital facilities and grounds. These records include but are not limited to parking records, blueprints, building permits, preventative maintenance reports, medical gases certificates, specs, drawings, cleaning records, fire/safety tests, project files, tender and contract documents, building plans, capital development project documents, emergency response records include emergency code policies, procedures and test exercises.

### **Personal Information Banks**

#### **ID Card and Key Access Records(PIB)**

**Location:** Building Services Office

**Legal Authority:** Public Hospitals Act, R.S.O. 1990

**Information Maintained:** Name, email address, photo

**Uses:** Administer and maintain access control

**Users:** Building Operations

**Individuals in Bank:** Hospital staff, volunteers and professional staff

**Retention and Disposal:** Ten (10) year past termination of employment/relationship

#### **Building Services Admin Paper Files(PIB)**

**Location:** Building Services Office

**Legal Authority:** N/A

**Information Maintained:** Purchase orders, requests for quotes, receiving reports

**Uses:** Future queries

**Individuals in Bank:** Suppliers

**Retention and Disposal:** None

#### **Building Services Admin Electronic Files(PIB)**

**Location:** Building Services

**Legal Authority:** N/A

**Information Maintained:** Staff information, schedules

**Uses:** Inquiries

**Individuals in Bank:** Staff

**Retention and Disposal:** None

- **Finance**  
Records related to budgets, revenue and expenses. These records include but are not limited to source documents, bank information, invoices, credit and collection information, professional staff payments, books of account and accounting records, WSIB records, HOOP records, tax records, and department minutes.
  
- **Human Resources**  
Includes records related to activities that support our “People” by providing leadership and services, promoting personal and professional development and fostering a positive, safe and healthy environment.

**Personal Information Banks:**

**Grievances(PIB)**

**Location:** Human Resources, HR Consultant

**Legal Authority:** Labour Relations Act, 1995, c.1, s.48

**Information Maintained:** Name, nature of grievance, status

**Uses:** Mechanism to get an outcome or decision on a specific situation

**Users:** Human Resources, Management

**Individuals in Bank:** Employee with grievances

**Retention and Disposal:** 2 years, records become public information after a decision is finalized

**Employee Files (Employment Records)(PIB)**

**Location:** Human Resources Office/External Storage Shed – archived files

**Legal Authority:** Employment Standards Act 2000; Pay Equity Act; Public Salary Disclosure Act, Retirement Act; Income Tax Act; Long Term Care Act

**Information Maintained:** Name, address, phone, dependent and contact information, wage garnishment information, SIN, criminal background check, registration information, pay information, offer letters, benefit information, performance management information, education certificates, roles.

**Uses:** to maintain records of employees

**Users:** Human Resources, Management

**Individuals in Bank:** Staff

**Retention and Disposal:** Duration of employment – move to archives until death notification

### **Occupational Health Employee Files(PIB)**

**Location:** Occupational Health Office

**Legal Authority:** Long Term Care Act

**Information Maintained:** Name, address, phone, medical information, results of immunization, TB, medical information related to attendance management

**Uses:** To provide information for attendance management

**Users:** Occupational Health

**Individuals in Bank:** Staff

**Retention and Disposal:** Duration of employment and move to archives until death notification

### **Employee Status Information (Q-HR – Financial) – Payroll/ CPP(PIB)**

**Location:** Human Resources, Finance

**Legal Authority:** Employment Insurance Act, Canada Pension Plan

**Information Maintained:** Name, address, telephone, contact information, wage garnishment information, benefits information, pay, SIN, roles, hours worked, vacation accrual

**Uses:** Administer payroll and benefits package, as well as contact/reporting purposes

**Users:** Human Resources, Finance

**Individuals in Bank:** all hospital staff

**Retention and Disposal:** Current + 6 years

### **Hiring and Interview Notes(PIB)**

**Location:** Human Resources Office

**Legal Authority:** Ontario Human Rights Commission

**Information Maintained:** Name, interview team names, interview notes pertaining to interviewed candidates.

**Uses:** Administer competitions and hiring's.

**Users:** Human Resources staff, Management

**Individuals in Bank:** Persons seeking employment.

**Retention and Disposal:** 1 year after date of hire

### **Volunteers(PIB)**

**Location:** Volunteer Coordinator, Auxiliary Volunteer Coordinator

**Legal Authority:** Long Term Care Act

**Information Maintained:** Name, contact information, criminal background check

**Uses:** To administer volunteer services, maintain files

**Users:** Volunteer Coordinator, Auxiliary Volunteer Coordinator

**Individuals in Bank:** Volunteers

**Retention and Disposal:** Duration of Volunteer assignment + 3 years



### **Volunteers Health Files(PIB)**

**Location:** Occupational Health

**Legal Authority:** Long Term Care Act

**Information Maintained:** Name, address, phone, medical information, results of immunization, TB

**Uses:** Maintain files

**Users:** Occupational Health

**Individuals in Bank:** Volunteers

**Retention and Disposal:** Duration of employment + 3 years

### **Attendance Management Program(PIB)**

**Location:** Human Resources Office & Occupational Health Office

**Legal Authority:** Maintain in alignment with Occupational Health Employee Files and General Employee Files

**Information Maintained:** Name, address, phone, medical restrictions, prognosis, treatment information meeting notes

**Uses:** Attendance Management Program

**Users:** Occupational Health, Human Resources

**Individuals in Bank:** Staff

**Retention and Disposal:** Maintain in alignment with Occupational Health Employee Files and General Employee Files

### **Incident Reports(PIB)**

**Location:** Human Resources Office & Occupational Health Office

**Legal Authority:** OSHA

**Information Maintained:** Name, possible injury information, possible medical treatment, contact information, notes from observers/witnesses

**Uses:** Incident reporting

**Users:** Occupational Health, Human Resources, Management

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 14 years

### **WSIB Reports (Form 7)(PIB)**

**Location:** Human Resources Office, Occupational Health Office,

**Legal Authority:** OSHA: WSIB

**Information Maintained:** Name, address, phone, injury information, medical restriction information, pay information, prognosis, treatment information, investigation reports, correspondence with WSIB

**Uses:** WSIB reporting

**Users:** Occupational Health, Human Resources, Finance (payroll portion), Management

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 14 years

### **Training Records(PIB)**

**Location:** Human Resources Office

**Legal Authority:** Ministry of Labour, Ministry of Health and Long Term Care, Occupational Health and Safety Act

**Information Maintained:** Name, date of attendance at training

**Uses:** Training record

**Users:** Human Resources

**Individuals in Bank:** Staff

**Retention and Disposal:** 3 years post termination of employment

### **Hazard Reports(PIB)**

**Location:** JHSC File

**Legal Authority:** OHSA

**Information Maintained:** Name, contact information, possible medical information, costs, comments from observers/witnesses

**Uses:** Hazard reports

**Users:** JHSC, Human Resources, Managers

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 14 years

### **MOL Inspection Reports(PIB)**

**Location:** Human Resources Office

**Legal Authority:** N/A

**Information Maintained:** Name, contact information

**Uses:** Inspection reports tracking

**Users:** Human Resources

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 14 years

### **Workwell Audit(PIB)**

**Location:** Human Resources Office

**Legal Authority:** WSIB

**Information Maintained:** Name, contact information

**Uses:** Audit reports

**Users:** Human Resources

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 2 years

### **Minutes of JSHC(PIB)**

**Location:** JHSC File

**Legal Authority:** WSIB

**Information Maintained:** Name, contact information

**Uses:** JHSC information

**Users:** All employees (JHSC minutes reports are posted)

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 2 years

### **Inspection reports (JHSC)(PIB)**

**Location:** JHSC File

**Legal Authority:** WSIB

**Information Maintained:** Name, contact information

**Uses:** JHSC information

**Users:** All employees (inspection reports are posted)

**Individuals in Bank:** Staff

**Retention and Disposal:** Current + 2 years

### **Group Benefit Files(PIB)**

**Location:** Human Resources and Finance Offices

**Legal Authority:** N/A

**Information Maintained:** Names, wage, benefit information

**Uses:** Tracking group benefits

**Users:** Human Resources, Finance

**Individuals in Bank:** Staff

**Retention and Disposal:** 3 years post termination of employment

#### ○ **Information Services**

Records related to the management access to hospital and IT systems. These records include but are not limited to service contracts, back-up systems, email storage, package installation history, licenses, staff access requests, VPN access requests, testing documents and sign-off for software upgrades, troubleshooting documents e.g. error logs, text image capture.

- **Medical Affairs**  
These records include but are not limited to credentials, professional staff files, professional staff committee and departmental minutes.

### **Personal Information Banks:**

#### **Medical Staff Applications and Queries(PIB)**

**Location:** Medical Staff Office

**KDH\_Shared\Administration\Medical Staff\Credentialing**

**Legal Authority:** Public Hospitals Act

**Information Maintained:** Professional staff name, address, telephone number, resumes, application documentation, correspondence

**Uses:** Administer Professional Staff Appointments

**Users:** Medical Staff Office, Credentials Committee, Medical Advisory Committee, Board of Directors

**Individuals in Bank:** Professional staff who have applies to the hospital for privileges

**Retention and Disposal:** Appointed Professional Staff –Permanent  
Abandoned or Rejected Professional Staff Applications- Fifteen (15) years

#### **Professional Staff Personnel File(PIB)**

**Location:** Medical Staff Office

**KDH\_Shared\Administration\Medical Staff\Credentialing**

**Legal Authority:** Public Hospitals Act

**Information Maintained:** Professional Staff name, address, telephone number, email address, application, medical practice protection coverage, copy of Regulatory College certificate, resume, reference Letters

**Uses:** Administer Professional Staff Appointments

**Users:** Medical Staff Office, Credentials Committee, Medical Advisory Committee, Board of Directors

**Individuals in Bank:** Professional Staff who have been granted privileges

**Retention and Disposal:** Permanent