

**Directory of Records and Personal Information Bank**

The *Directory of Records* provides information about the general types of records held at the Norfolk General Hospital. It is updated on an annual basis.

**Personal Information Bank (PIB):** Ontario’s Freedom of Information and Protection of Privacy Act (s. 45) requires the hospital to make available to the public an index of the personal information banks it maintains. A personal information bank is personal information under the control of the institution that is organized or intended to be retrieved by an individual’s name or other personal identifier. The index of personal information banks will be updated as necessary.

| Record Category                                       | Personal Information | Record Format        | Custodian                   | Legal Authority                         |
|---|----------------------|----------------------|-----------------------------|---|
| <b>CORPORATE</b>                                      |                      |                      |                             |   |
| Management/Board/Operational Policies & Procedures    | N                    | Electronic/Hard Copy | Executive Assistant         | Corporations Act/NGH Practice           |
| Agreements/Contracts                                  | N                    | Hard Copy            | Executive Assistant         | Record Retention (Non Clinical) Policy. |
| Corporate Records                                     | N                    | Hard Copy            | Executive Assistant         | Corporations Act                        |
| Administrative Bylaws                                 | N                    | Electronic           | President & CEO             | Corporations Act                        |
| Medical Staff Bylaws                                  | N                    | Electronic           | Chief of Staff              | Public Hospitals Act                    |
| Correspondence  | Y                    | Hard Copy            | Executive Assistant         | NGH Practice                            |
| Board of Directors Minutes                            | N                    | Hard Copy/Electronic | Executive Assistant         | Corporations Act                        |
| Executive Committee of the Board of Directors Minutes | N                    | Hard Copy            | President & CEO             | Corporations Act                        |
| Standing Committees of the Board of Directors Minutes | N                    | Hard Copy            | Executive Assistant         | Record Retention (Non Clinical) Policy  |
| Annual Reports  | N                    | Hard Copy/Electronic | Executive Assistant         |   |
| Medical Staff Credential Files                        | Y                    | Hard Copy/Electronic | Executive Assistant         | Public Hospitals Act, ECFAA QCIPA/PHIPA |
| Medical Advisory Committee Minutes                    | N                    | Hard Copy            | Executive Assistant         | Record Retention (Non Clinical) Policy  |
| Medical Advisory Committee Subcommittee Minutes       | N                    | Hard Copy            | Secretary of Subcommittee   | Record Retention (Non Clinical) Policy  |
| Management Forum Minutes                              | N                    | Electronic           | Executive Assistant         | Record Retention (Non Clinical) Policy  |
| Completed Capital Projects                            | N                    | Hard Copy            | Director, Building Services | Record Retention (Non Clinical) Policy  |
| Strategic Plan  | N                    | Hard Copy            | President & CEO             | NGH Practice                            |

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|---|----------------------|--------------------------|--|--|
| Master Plan   | N                    | Hard Copy                | President & CEO                              | NGH Practice   |
| Accessibility Plan  | N                    | Hard Copy                | President & CEO                              | Accessibility for Ontarians with Disabilities Act (AODA) |
| Patient Safety Report   | N                    | Electronic/Hard          | Director of Quality                          | NGH Practice   |
| Patient Satisfaction Report   | N                    | Electronic/Hard          | Director of Quality                          | NGH Practice   |
| Accreditation Recommendations   | N                    | Electronic/Hard          | Director of Quality                          | NGH Practice   |
| Nursing Practice Minutes  | N                    | Electronic/Hard          | Director of Quality                          | Record Retention (Non Clinical) Policy                   |
| Clinical Policies and Procedures                                      | N                    | Electronic/Hard          | Assistant to VP Patient Care Services        | NGH Practice   |
| Medical Quality Assurance Minutes                                     | N                    | Electronic/Hard          | Director of Quality                          | Record Retention (Non Clinical) Policy                   |
| Pandemic Plan   | N                    | Electronic/Hard          | Pandemic Team Leader                         | NGH Practice   |
| Waste Manifests   | N                    | Hard Copy                | Housekeeping Director                        | Transportation of Dangerous Goods                        |
| Housekeeping Audits   | N                    | Hard Copy                | Housekeeping Director                        | NGH Practice   |
| Infection Control P & P Manual  | N                    | Electronic & Hard Copy   | Infection Control Director/PCP Admin Assist. | NGH Practice   |
| Infection Control Meeting Minutes/Agendas/Documentation               | N                    | Electronic               | Infection Control Director                   | Record Retention (Non Clinical) Policy                   |
| Infection Control Rates (MRSA; VRE; ESBL; C. diff; Hand Hygiene; SSI) | N                    | Electronic               | Infection Control Director                   | Health Protection & Promotion Act, Public Hospitals Act  |
| ICU Committee Minutes   | N                    | electronic and hard copy | Director of Intensive Care                   | Record Retention (Non Clinical) Policy                   |
| General Practice Committee Minutes                                    | N                    | electronic and hard copy | Director of Medicine                         | Record Retention (Non Clinical) Policy                   |
| Patient Care Portfolio Minutes  | Y                    | Electronic and Hard Copy | Administrative Assistant Patient Care        | Record Retention (Non Clinical) Policy                   |
| Patient Safety Team Minutes   | Y                    | Electronic and Hard Copy | Administrative Assistant Patient Care        | Record Retention (Non Clinical) Policy                   |
| Ethics Committee Minutes  | Y                    | Electronic and Hard Copy | Administrative Assistant Patient Care        | Record Retention (Non Clinical) Policy                   |
| ED Committee Minutes  | N                    | Electronic/Hard Copy     | Clinical Director ED/RT                      | Record Retention (Non Clinical)                          |

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|--|----------------------|------------------------|---|---------------------------------------|
|  |                      |                        |   | Policy                                |
| Information Technology Service Level Agreements      | N                    | Hard Copy              | Director of IT                              | NGH Practice                          |
| Information Technology User Access Request Forms     | Y                    | Hard Copy              | Director of IT, Director of Human Resources | NGH Practice                          |
| Information Technology Audit and Back-up System Logs | Y                    | Electronic             | Director of IT                              | NGH Practice                          |
| Health Records Committee Minutes                     | N                    | Electronic/Hard Copy   | Director of Health Information Services     | Non clinical record retention policy. |
| Security Reports                                     | Y                    | Hard Copy              | Director-Plant Op                           | Norfolk General Hospital Practice     |
| Security Incident Reports                            | Y                    | Hard Copy              | Director-Plant Op                           | Norfolk General Hospital Practice     |
| Engineering Diaries                                  | N                    | Hard Copy              | Director-Plant Op                           | TSSA                                  |
| Maintenance Requisitions                             | N                    | Hard Copy              | Director-Plant Op                           | Norfolk General Hospital Practice     |
| Equipment Files                                      | N                    | Hard Copy              | Director-Plant Op                           | CSA                                   |
| Fire System Tests                                    | N                    | Hard Copy              | Director-Plant Op                           | Fire Code                             |
| Disaster Plans                                       | N                    | Hard Copy & Intranet   | Director-Plant Op/Occ Health                | CSA & Occ Health & Safety Act         |
| Project Files  | N                    | Hard Copy              | Director-Plant Op                           | Norfolk General Hospital Practice     |
| System Maintenance & Testing                         | N                    | Hard Copy              | Director-Plant Op                           | CSA & Other Applicable Standards      |
| Med Gas Verification & Testing                       | N                    | Hard Copy              | Director-Plant Op                           | CSA                                   |
| Video Security Tapes                                 | Y                    | Electronic             | Director-Plant Op                           | Norfolk General Hospital Practice     |
| Blueprints, Specifications & Drawings                | N                    | Electronic & Hard Copy | Director-Plant Op                           | Norfolk General Hospital Practice     |
| <b>FINANCE</b>                                       |                      |                        |   |                                       |
| Aging Analysis                                       | N                    | Hard Copy              | Director, Finance                           | Income Tax Act                        |
| Income Statement                                     | N                    | Hard Copy              | Director, Finance                           | Income Tax Act                        |
| Budget   | N                    | Hard Copy              | Director, Finance                           | Income Tax Act                        |
| Annual Financial Statements                          | N                    | Hard Copy              | Director, Finance                           | Income Tax Act                        |
| General Journal and supporting documents             | N                    | Hard Copy              | Director, Finance                           | Income Tax Act                        |
| General Ledger                                       | N                    | Hard Copy              | Director, Finance                           | Income Tax Act                        |

| Record Category  | Personal Information | Record Format   | Custodian                                     | Legal Authority |
|--|----------------------|-----------------|---|-----------------|
| Source Documents (i.e. records integral to the creation of financial statements and tax returns) | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Bank Reconciliations   | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Bank Statements  | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Cancelled Cheques  | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Cheque Register  | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Donation Records   | Y                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Payroll Register   | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| T4/T4A Reports and Canada Pension Plan Contributions   | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| Time Sheets  | Y                    | Electronic Copy | Department Director                           | Income Tax Act  |
| Deduction Register   | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| Employees' Earning Record cards  | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| Annual Returns   | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Payroll Deduction Authorization Forms  | Y                    | Hard Copy       | Director, Finance<br>Director Human Resources | Income Tax Act  |
| Payroll Journal Sheets   | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| EI Records   | Y                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Union Dues Deduction Sheets  | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| HOOPP Records Individual Contributions   | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| EHT Records/Billing Forms  | N                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| WSIB Forms   | Y                    | Hard Copy       | Director, Finance                             | NGH Practice    |
| Bond Forms   | Y                    | Hard Copy       | Director, Finance                             | NGH Practice    |
| Reconciliation for drug and dental   | N                    | Hard Copy       | Director, Finance                             | NGH Practice    |
| Patient Ledger   | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| Bank Deposits  | N                    | Hard Copy       | Director, Finance                             | Income Tax Act  |
| Cash Receipts  | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |
| Customer Invoices  | Y                    | Electronic Copy | Director, Finance                             | Income Tax Act  |

| Record Category                                    | Personal Information | Record Format        | Custodian   | Legal Authority  |
|--|----------------------|----------------------|---|--|
| Other Billing Invoices                             | N                    | Electronic/Hard Copy | Director, Finance   | Income Tax Act   |
| Accounts Receivable Revenue Reports and Worksheets | N                    | Hard Copy            | Director, Finance   | Income Tax Act   |
| Vendor Invoices                                    | N                    | Hard Copy            | Director, Finance   | NGH Practice   |
| Vendor Payments                                    | N                    | Electronic Copy      | Director, Finance   | NGH Practice   |
| Expense Claims/Payments                            | Y                    | Hard/Electronic Copy | Director, Finance   | NGH Practice   |
| Physician Payments                                 | Y                    | Electronic Copy      | Director, Finance   | NGH Practice   |
| Internal Analysis Documents                        | N                    | Electronic Copy      | Director, Finance   | NGH Practice   |
| Publicly Reported Documents                        | N                    | Electronic Copy      | Director, Finance   | NGH Practice   |
| Performance Indicators                             | N                    | Electronic Copy      | Director, Finance   | NGH Practice   |
| Purchasing and Receiving Documents                 | N                    | Electronic/Hard      | Director of Purchasing                                      | Broader Public Sector Accountability   |
| Cash Register Tapes                                | N                    | Hard Copy            | Director of Nutrition & Food Services                       | Income Tax Act   |
| Pricing Agreements                                 | N                    | Hard Copy            | Director of Nutrition & Food Services, Director of Pharmacy | Broader Public Sector Accountability   |
| <b>HUMAN RESOURCES</b>                             |                      |                      |   |  |
| Employment Files and Records                       | Y                    | Hard Copy            | Director of Human Resources                                 | Employment Standards Act s. 15(5)<br><br>Human Resources Policy 111-A-55 Personnel files |
| Litigation Files                                   | Y                    | Hard copy            | Director of Human Resources                                 | NGH Practice   |
| Human Resources Strategic Plan                     | N                    | Electronic           | Director of Human Resources                                 | NGH Practice   |
| Labour Relations Records                           | Y                    | Electronic/Hard Copy | Director of Human Resources                                 | NGH Practice   |
| Recruitment  | Y                    | Hard Copy            | Director of Human Resources                                 | NGH Practice, Human Rights Commission recommendation                                     |
| Student Records                                    | Y                    | Electronic/Hard Copy | Director of Human   |  |

| Record Category  | Personal Information | Record Format        | Custodian                                 | Legal Authority  |
|--|----------------------|----------------------|---|--|
|  |                      |                      | Resources                                 |  |
| Staff Schedules and/or Sign-in Sheets                        | Y                    | Electronic/Hard Copy | Department Directors                      | Income Tax Act / Employment Standards Act              |
| Employer's Report of Injury/<br>Disease (Form 7)             | Y                    | Hard Copy/Electronic | Manager of Occupational Health & Safety   | Workplace Safety and Insurance Act s. 80               |
| WSIB Invoices  | Y                    | Hard Copy            | Manager of Occupational Health & Safety   | NGH Practice   |
| Designated Substance Exposure Records                        | Y                    | Hard Copy            | Manager of Occupational Health & Safety   | Limitations Act s. 4 and s. 15<br>Ministry of Labour   |
| Occupational Health and Safety Records                       | Y                    | Hard Copy            | Manager of Occupational Health & Safety   | Limitations Act s. 4 and s. 15 and OHA recommendation  |
| Minutes of Joint Health and Safety Committee                 | N                    | Hard Copy/Electronic | Manager of Occupational Health & Safety   | Limitations Act s. 4 and s. 15                         |
| Material Safety Data Sheet                                   | N                    | Electronic           | Manager of Occupational Health & Safety   | Limitations Act s. 4 and s. 15                         |
| Staff Incident Reports                                       | Y                    | Electronic           | Manager of Occupational Health and Safety | Workplace Safety and Insurance Act                     |
| Staff flu shot records                                       | Y                    | Hard Copy            | Manager of Occupational Health and Safety | NGH Practice   |
| Nitrous Oxide Air Quality Testing Reports                    | Y                    | Hard Copy            | Manager of Occupational Health and Safety | NGH Practice   |
| Notice of accidents and records relating to confined spaces, | Y                    | Hard Copy            | Manager of Occupational Health            | Health Care and Residential Facilities Regulation, s.4 |

| Record Category   | Personal Information | Record Format        | Custodian                                 | Legal Authority  |
|---|----------------------|----------------------|---|--|
| lifting or self-propelled mobile equipment, autoclave/sterilization machinery and lifting equipment |                      |                      | and Safety                                | (Regulation 67/93 under the Occupational Health and Safety Act)  |
| Attendance Management Statistics  | Y                    | Hard Copy/Electronic | Manager of Occupational Health and Safety | NGH Practice   |
| N95 Fit Testing   | Y                    | Hard Copy            | Manager of Occupational Health and Safety |  |
| Volunteer Records   | Y                    | Hard Copy/Electronic | Director of Volunteers                    | NGH Practice   |
| <b>PATIENT CARE RECORDS</b>   |                      |                      |   |  |
| Narcotic Administration Record  | Y                    | Hard Copy            | Director of Pharmacy                      | Federal Narcotic Control Act   |
| Pass Medication Prescription  | Y                    | Hard Copy            | Director of Pharmacy                      | Ontario College of Pharmacists and Director of Pharmacy  |
| In - Patient Profiles   | Y                    | Hard Copy            | Director of Pharmacy                      | NGH Practice, PHIPA  |
| Patient Records - Inpatient/Outpatient/ Emergency/ Medical Daycare/Surgical Daycare                 | Y                    | Electronic/Hard Copy | Director of Health Information Services   | Public Hospitals Act Reg 965- adult inpatient, clause 20(3)(a), adult out-patient, clause 20(3)(b), patient less than 18 years of age, clause 20(3)(c) and (d) (inpatient and outpatient), PHIPA |
| Master Patient Index  | Y                    | Electronic           | Director of Health Information Services   | Public Hospitals Act, PHIPA  |
| Daily Inpatient Census  | Y                    | Electronic/Hard Copy | Director of Health Information Services   | Regulation 965 of the Public Hospitals Act does not expressly require the retention of the inpatient census for a specified period. Some records may be of enduring value. PHIPA                 |
| Nutrition Records   | Y                    | Hard Copy            | Director of Nutrition & Food Services     | Public Hospitals Act, PHIPA  |
| Diagnostic Imaging Records  | Y                    | Electronic/Hard Copy | Director of Diagnostic Imaging            | Public Hospitals Act, PHIPA  |