



The Regional Municipality of Durham
Corporate Services Department
Legislative Services Division

Directory of Records and Personal Information Banks



About the directory

The Directory of General Records and Personal Information Banks help people in finding general records and personal information maintained by the Region of Durham.

The Head of the Corporation of the Region of Durham is the Regional Chair.

Telephone: 905-668-7711, Ext. 2000

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The Municipal Freedom of Information and Protection of Privacy Coordinator is the Regional Clerk/Director of Legislative Services.

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Records common to some or all departments

GENERAL CLASS OF RECORDS

Accessibility Program (A24)

Accountability Program (C24)

Annexation/Amalgamation/Restructuring (D09)

Associations and Organizations (A01)

Boards and Authorities (C12)

Books and Reports (O26)

Building and Property Maintenance (O05)

By-law Infractions (P01)

By-laws - Other Municipalities (C03)

By-laws - Working Papers (C02)

Charitable Campaigns/Fund Raising (M02)

Commendations (M04)

Community Improvement Projects (D19)

Computers - General (A06)

Conferences and Seminars (A10)

Construction Projects (O04)

Contracts and Agreements - Simple (Not Under Seal) (L05)

County of Ontario (Up to and including 1973) (C15)

Court Exhibits/Evidence (L24)

Emergency Management Program (P02)

Environmental Compliance Reporting (E05)

Equipment, Furniture and Supplies (A12)

Event Management (M01) includes official openings

Event Management - Planning (M13)

External Publications (M05)
Facilities Bookings (A22)
Financial Studies (D22)
Fixed Assets (F08)
Forms Management (A13)
Hazardous Materials/Waste (E06)
Information Disposition (A16)
Information Management Program (A15)
Inspection Reports - Building and Structural (O06)
Inspection Reports - Site and Environmental (E04)
Instruction Manuals (A05)
Inventory Control (F30)
News Releases (M06)
Organization Charts (H25)
Policies and Procedures (A14)
Printing and Mailing (A11)
Provincial/Federal Legislation (L14)
Publications/Advertising - Final Version (M12)
Publications/Advertising - Working Papers (M07)
Revenues (F32)
Security (A21)
Speeches and Presentations (M08)
Staff Committees and Meetings (A04)
Strategic and Operational Policy and Planning (C13) includes benchmarking
Surveys/Questionnaires (A02)
Travel and Accommodation (A17)
Uniforms and Clothing (A18)
Vendors and Suppliers (A19)
Visual Identity and Insignia (M10)
Waste Disposal (E08)
Work Orders (O03)

SUBJECT HEADINGS

Departments may also have general files under the following subject headings:

Administration (A00)
Council and By-laws (C00)
Development and Planning (D00)
Environment and Public Safety (E00)
Finance and Accounting (F00)
Human Resources (H00)
Legal Affairs (L00)

Marketing and Public Relations (M00)
Operations (O00)
Public Health, Protection and Enforcement Services (P00)
Social Services (S00)
Transportation (T00)
Vehicles and Equipment (V00)

PERSONAL INFORMATION BANKS (PIB)

Departments may also have files, under the following record series, that contain a PIB:

Biographical Collections (M11)
Claims by/Against the Region and Clients (L02)
Complaints and Inquiries (M03)
Office Guest Sign In Sheets (A23)
Operational Licences (L06)
Regulatory Approvals (L08)
Training and Development - Courses (H21)

BIOGRAPHICAL COLLECTIONS (M11)

Legal Authority:

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56

Information Maintained:

Name and photos of individual, education, former positions

Uses:

Used for reference when delivering speeches or for introductions at event

Users:

Internal staff or external individuals

Individuals in Bank:

Current and former Regional Chair, CAO, Commissioners, Directors and Councillors

Retention and Disposal:

Permanent - All collections to be transferred to the Regional Archives

CLAIMS BY/AGAINST THE REGION AND CLIENTS (L02)

Legal Authority:

Construction Lien Act, R.S.O. 1990 C.30
Insurance Act, R.S.O. 1990, c. 1.8, s. 31
Limitations Act, 2002, c.24
Municipal Act, 2001, S.O. 2001, c.25
Occupiers' Liability Act, R.S.O. 1990 c.O.2

Information Maintained:

Name, address, telephone number(s), age, medical, financial, and employment information, claim/damage details, vehicle insurance information (if automobile involved), nature of injury, other involved persons, physician's name and address, police accident reports, court orders, legal opinions and decisions, interoffice correspondence

Uses:

Provide basis in contemplation of litigation and for on-going litigation; document and maintain insurance claim information for insurance adjusters

Users:

All departments; insurance adjusters

Individuals in Bank:

Individuals involved in possible litigations against or with the Region i.e. involved Individuals, 3rd parties involved, physicians and lien claimants

Retention and Disposal:

E+15 years; E=resolution of claim and all appeals

COMPLAINTS AND INQUIRIES (M03)

Legal Authority:

Municipal Act, 2001, c.25

Personal Health Information Protection Act, 2004, c. 3

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56

Information Maintained:

Concerns about services, written complaints relating to any subject, requests for information and inquiries such as homeowner letters

Uses:

To respond to complaints and inquiries; For MFIPPA and PHIPA complaints see A20
Freedom of Information

Users:

Departmental staff

Individuals in Bank:

Correspondence from the public and employees

Retention and Disposal:

C+6 years

OFFICE GUEST SIGN IN SHEETS (A23)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Guest name, department/name of business, phone number, time in/out

Uses:

To ensure office secured by tracking length of time guest at office and reason for visit.

Users:

Departmental staff

Individuals in Bank:

Guests/visitors

Retention and Disposal:

Current year

OPERATIONAL LICENSES (L06)

Legal Authority:

Various depending upon type of license

Information Maintained:

Licences required by the Region to operate facilities, equipment, drive vehicles, etc. Examples are facility licence applications, nuclear density meters, operators and electricians.

Uses:

To ensure permits are acquired to operate Regional facilities and equipment etc.

Users:

Departmental staff

Individuals in Bank:

Operators and electricians

Retention and Disposal:

E+1; E=expiry of license

REGULATORY APPROVALS (L08)

Legal Authority:

Conservation Authorities Act, R.S.O. 1990, c. C.27

Environmental Protection Act, R.S.O. 1990, c. E.19

Ontario Water Resources Act, R.S.O. 1990, c. O.40

Ministry of Energy Act 2011, c. 9, Schedule 25

Ministry of Natural Resources Act, R.S.O. 1990, c. M.31

Ministry of the Environment Act, R.S.O. 1990, c. M.24

Waste Diversion Act, 2002, c. 6

Waste Management Act, S. O. 1992, c. 1

Information Maintained:

Name and address of owner/company, name of municipality, Certificate of Approval No., site location, description of what the application for approval is for, terms and conditions

Air: Approval of generators, boilers, cooling towers to supply power, etc. for use in facilities.

Sewage: Approval of construction of sanitary and storm sewers, stormwater management facilities, drain collector systems, etc.

Waste: Approval for use and operation of Waste Disposal Sites and Waste Management System Facilities.

Water: Approval of construction of watermains.

Uses:

To protect the public and environment from pollution and contamination; to ensure that design criteria from the Ministry of the Environment and Energy (MOEE) have been met.

Users:

Corporate Services Department, Legislative Services Division; Works Department

Individuals in Bank:

Owner/company, municipality

Retention and Disposal:

E+10; E=renewed or replaced

TRAINING AND DEVELOPMENT - COURSES (H21)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, department, training course applied for and training course attended

Uses:

For control of training course size, keeping training records, determination of training needs and reporting and evaluating program effectiveness.

Users:

OSD and Departmental Human Resources staff, supervisor

Individuals in Bank:

Employees who have applied for training courses

Retention and Disposal:

E+2 years; E=after date course last offered unless legislation dictates a different retention; file copy of course certificate in employee file.

Office of the Regional Chair & Chief Administrative Officer

ADMINISTRATION

General Class of Records

See Pages 1-3

CHIEF ADMINISTRATIVE OFFICER'S OFFICE

General Class of Records

Annexation/Amalgamation/Restructuring (D09)
Security (A21)

REGIONAL CHAIR

General Class of Records

See pages 1-3

CORPORATE COMMUNICATIONS OFFICE

General Class of Records

See pages 1-3

CORPORATE POLICY UNIT

General Class of Records

Legislation/Regulation Review (L38)
Strategic Policy Analysis and Development (L35)

Personal Information Banks (PIB)

Appointments (C14) see Legislative Services, Council Services

Corporate Services Department

HUMAN RESOURCES DIVISION

COMMISSIONER'S OFFICE

Personal Information Banks (PIB)

Employee Records (H01)

Commissioner's Office retains employee records for Human Resources Department staff; see Human Resources, Departmental Services for PIB info

ADMINISTRATION

General Class of Records

Boards and Authorities (C12)

COMPENSATION

General Class of Records

Job Evaluations (H09)

Compensation Research (H17) (Discontinued)

DEPARTMENTAL SERVICES

General Class of Records

Compensation (H09)

Job Vacancies (H23)

Staffing (H08)

PERSONAL INFORMATION BANKS (PIB)

Applications for Employment (H20) unsolicited job applications, electronic

Employee Records (H01)

Job Vacancies (H23)

Performance Management (H07)

APPLICATIONS FOR EMPLOYMENT (H20)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, address, telephone no.(s), prior position(s) within the Region, type of position interested in, education history, apprenticeship information, skills inventory, employment

history, confirmation of legal right to work in Canada, resume, reference letters, reference check approval, and related correspondence.

Uses:

Maintain unsolicited job application documents for reference and to identify potential candidates for job competitions.

Users:

Recruitment staff and supervisors/managers of potential hiring departments

Individuals in Bank:

Individuals who have submitted general applications, electronically for employment with the Region

Retention and Disposal:

Current year

EMPLOYEE RECORDS (H01)

Legal Authority:

Employment Standards Act, 2000, c.41

Employment Standards Act Regulations (Successor Employers), O. Reg. 138/96, s.2
Limitations Act, 2002, c.24

Information Maintained:

Name, address, telephone no.(s), gender, DOB, marital status, language, SIN, prior levels and credentials, resume, recruitment/ interview reference employment history, special skills, education information classification, union status/seniority, benefits, pension plan, start date, department position, salary, grade, information and beneficiary name, visual and special testing reports (as appropriate to job), probationary evaluations, salary increases/promotions/job changes history, absenteeism information, sick time accrual, consents (information release and pay deductions), correspondence (if applicable: Region sponsored education/training taken, awards/honours received), disciplinary actions information, letters of counsel, performance management, employment termination information, correspondence. Also includes Cessation of Employment form.

Uses:

Maintain cumulative master employee information and reports repository for reference and history.

Users:

Human Resources staff, employee, supervisors, managers

Individuals in Bank:

Employees, spouses, beneficiaries and lawyers

Retention and Disposal:

E+7 years; E=termination of employment

JOB VACANCIES (H23)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, address, telephone numbers(s), vacancy posting and posting number, resume information, education history, skills inventory, other information as outlined in the application files PIB, screening information/ evaluation criteria results, test results and related correspondence.

Uses:

To determine eligibility for interview and for vacant position suitability and maintain collection of applications and screening/evaluation results for non-successful applicants for future reference and inquiries

Users:

Recruitment and hiring department staff, supervisors, managers

Individuals in Bank:

Persons who have applied for identified and numbered job vacancies with the Region and have been unsuccessful; successful applicants (prior to their selection only)

Retention and Disposal:

C+1 year

PERFORMANCE MANAGEMENT (H07)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, performance review details

Uses:

Provide review of employee performance at work and identify training needs.

Users:

Employee Services staff; supervisors, managers

Individuals in Bank:

Employees

Retention and Disposal:

C+2 years

Employee Services

GENERAL RECORDS:

Benefit Plans (H03)

PERSONAL INFORMATION BANKS:

Employee Retirement (H26)

Incident and Accident Reports - Regional Employees (H06)

Pension Plans (H18)

Short and Long Term Disability Absences (H11)

EMPLOYEE RETIREMENT (H26)

Legal Authority:

Employment Standards Act, S.O. 2000, c.41

Employment Standards Act Regulations (Successor Employers), O. Reg. 138/96, s. 2

Ontario Municipal Employees Retirement System Act 2006

Limitations Act, 2002, c.24

Information Maintained:

OMERS pension documents, pension quotes, paid-up life, continuation of benefit information and a copy of cessation name, performance review details

Uses:

Record of employee's retirement and beneficiaries; used to calculate pension

Users:

Human Resources staff, employee and supervisory staff

Individuals in Bank:

Employees, spouses, beneficiaries and lawyers

Retention and Disposal:

E+100 years; E=date of employee retirement

INCIDENT AND ACCIDENT REPORTS - REGIONAL EMPLOYEES (H06)

Legal Authority:

Ambulance Act Regulations (General), O. Reg. 501/97, s.25

Information Maintained:

Name, address, telephone number(s), employee number, SIN

Uses:

Maintain originals of all incident and accident reports. Also includes incident logs.

Users:

Human Resources staff, employees and supervisors, Manager of Health and Safety, Joint Health and Safety representatives

Individuals in Bank:

Persons who have submitted an incident or accident report and witnesses, supervisors or designate

Retention and Disposal:

C+6 years

PENSION PLANS (H18)

Legal Authority:

Income Tax Act (Canada) R.S.C. 1985, c.1, s. 230; Income Tax Regulations, CRC, c 945

Pension Benefits Act – R.R.O.1990, Reg. 909
Ontario Municipal Employees Retirement System Act 2006

Information Maintained:

Name, department, start date, retirement date

Uses:

Maintain pension policies, valuations, contribution reports, adjustments and administrator reports.

Users:

Human Resources staff, OMERS staff and employees

Individuals in Bank:

Employees

Retention and Disposal:

Permanent

SHORT AND LONG TERM DISABILITY ABSENCES (H11)

Legal Authority:

Occupational Health and Safety Act, R.S.O. 1990, c.O.1, ss. 12, 51, 52
Municipal Act, 2001, c.25

Information Maintained:

Name, address, telephone no., gender, DOB, marital status, no. of dependent children, SIN, attending physicians names, addresses and telephone numbers, family, education, employment, health/hospitalization history, disability related limitations, prior disability claims, community and health care agencies and benefits history, last date worked, job classification, earnings, benefits and positions history, sick-time history, current illness/accident history, labs, x-rays, physician and therapists assessments/treatment reports, interview summaries, physical/psychological impairments, prognosis, rehabilitation and modified work program assessments/ plans, progress reports, benefits dispersal information, WSIB reports, CPP disability eligibility, Regional pension plan earnings and disability premium waiver, beneficiary name, consent forms (payment refunds, compensation assignments, information release), return to work certifications and related correspondence

Uses:

Document employee claims/eligibility for long and short term disability benefits, maintain cumulative record of rehabilitation planning and progress for reference, on-going rehabilitative care/modified work monitoring, for statistics

Users:

WSI and Disability staff, insurance carrier, employee, physicians, therapists, Finance Department staff and supervisors

Individuals in Bank:

Full-time Regional employees who are claiming short and long term disability benefits, attending physicians and beneficiaries, supervisors

Retention and Disposal:

E+100 years; E=completion of claim

Health, Safety and Wellness

GENERAL CLASS OF RECORDS

WHMIS/SDS (H04)

PERSONAL INFORMATION BANKS

Employee Health Record (H22)

Health and Safety (H05)

EMPLOYEE HEALTH RECORD (H22)

Legal Authority:

Occupational Health and Safety Act, R.S.O. 1990, c.O.1, ss.12, 51, 52

Information Maintained:

Name, gender, DOB, SIN, hire/enrolment date, beneficiary name, employee medical information including results of tests, attending doctors letters and certificates, and Regional employee vaccine consents.

Uses:

Maintain pre-employment medical information, any results of annual blood pressure and cholesterol screening tests, immunization records, audiometric testing results, any biological surveillance results, any consultation cards, etc.

Users:

Occupational Health Nurse; Social Services Department – Long Term Care and Services for Seniors and Health Department retain their employee Immunization records.

Individuals in Bank:

Employees and beneficiaries

Retention and Disposal:

E+100 years; E=termination or retirement

HEALTH AND SAFETY (H05)

Legal Authority:

Occupational Health and Safety Act, R.S.O. 1990, c. O.1, ss. 9 and 26

Workplace Safety and Insurance Act, 1997, c. 16, Schedule A

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56

Information Maintained:

Name, department, investigation details

Uses:

Maintain documentation regarding occupational health and safety programs, WHMIS, Material Safety Data Sheets (MSDS), investigations, safety bulletins, technical documents for research and audit reports and Joint Health and Safety Committee minutes. Also includes fire drill records.

Users:

Human Resources staff, Occupational Health Nurses, Social Services and Long Term Care, Joint Health and Safety Committee Worker Co-Chairs and Committee secretaries

Individuals in Bank:

Employees

Retention and Disposal:

C+5 years

Labour Relations and Compensation

GENERAL RECORDS

Collective Agreements (L04)

Strike Plans (H15)
Union Bargaining Records (H13)
Union Files (H14)

PERSONAL INFORMATION BANKS

Employee Cases/Harassment/Human Rights Files (H16)
Grievances and Arbitrations (H12)
Severance Programs (H24)

EMPLOYEE CASES/HARASSMENT/HUMAN RIGHTS FILES (H16)

Legal Authority:

Human Rights Code, R.S.O.1990; Municipal Act, 2001, c.25

Information Maintained:

Name, department, division, position, proceeding on complainant, alleged offender, witnesses and investigating management staff, nature of complaint, supporting documentation and resolution, remedial/disciplinary action.

Uses:

Document the complaint process through to resolution; provide documentation for use in the event of a grievance or an investigation under the Human Rights Act.

Users:

Labour Relations staff, investigating management staff and Human Rights Officer, Legal Department

Individuals in Bank:

Employees or persons who have filed a formal complaint, alleged offender, witnesses and investigating management staff

Retention and Disposal:

E+6 years; E=termination of employment

GRIEVANCES AND ARBITRATIONS (H12)

Legal Authority:

Limitations Act, 2002, c.24, ss. 4 & 15
CUPE Local 1764, Local 1785 & Local 182 Collective Agreements
Labour Relations Act, 1995, Chapter 1, Schedule A

Information Maintained:

Name, department, classification, employee no., nature of grievance, supporting documentation, settlement requested, correspondence, supervisor, other grievor or involved employee names, departments, positions, union status and numbers, grievance resolutions/awards and legal and union correspondence.

Uses:

Document the formal grievance process through to resolution.

Users:

Human Resources staff, supervisors, managers, Legal Department and union staff

Individuals in Bank:

Employees who have submitted a formal grievance, supervisors and involved employees, witnesses, union officials

Retention and Disposal:

Permanent

SEVERANCE PROGRAMS (H24)

Legal Authority:

Municipal Act, 2001, c. 24, ss. 4 & 15

CUPE Local 1764, 1785 and 182 Collective Agreements

Labour Relations Act, 1995, Chapter 1, Schedule A

Information Maintained:

Calculations, agreement and correspondence for employees considering/taking the Voluntary Severance Incentive Program (VSIP)

Uses:

Maintain all correspondence and agreements with the employee.

Users:

Human Resources staff

Individuals in Bank:

Employees

Retention and Disposal:

E+6; E=termination of employment

Organization and Staff Development

PERSONAL INFORMATION BANKS (PIB)

See pages 1-3

Workplace Safety and Insurance Board

PERSONAL INFORMATION BANKS (PIB)

WSIB Claims/Rehabilitation (H10)

WSIB CLAIMS/REHABILITATION (H10)

Legal Authority:

Occupational Health and Safety Act, R.S.O. 1990, c. O.1, ss. 5 and 51; O. Reg. 490/09

Workplace Safety and Insurance Act, S.O. 1997, c.16, Schedule A

Workplace Safety and Insurance Act, 1997 - O. Reg. 35/08 (Return to Work)

Workplace Safety and Insurance Act, 1997 - R.R.O.1990, Reg. 1101 (First Aid)

Information Maintained:

Name, address, telephone no., gender, DOB, marital status, no. of dependent children, SIN, language, family, education, employment and health history, attending physicians names, addresses and telephones, current job, last date worked, classification, earnings, benefits history, current injury/accident details, witnesses names, similar or related pre-existing conditions labs, x-rays, physicians and therapists assessments/treatments, medical information concerning exposure to designated substances as listed in the Occupational Health and Safety Act, O. Reg. 490/09, interview summaries, physical/psychological impairments, prognosis, rehabilitation, WSIB reports, pension awarded, benefits dispersals/reductions, worker's and employee's appeals information, consent forms (payment refunds, compensation assignments, information release), return to work certifications and related correspondence; hospitalizations history

Uses:

Document Regional employee claims/eligibility for Workplace Safety and Insurance Board (WSIB) benefits, maintain cumulative record of rehabilitation planning and progress for reference, on-going rehabilitative care/modified work monitoring and statistics.

Users:

WSI and Disability staff, Health and Safety staff, Occupational Health Nurse, employee, medical professionals, therapists, Finance Department staff, supervisors, Legal Department staff, WSIB, Ministry of Labour and insurance carrier if long-term disability claim related to WSIB

Individuals in Bank:

Employees who are claiming Workplace Safety and Insurance compensation benefits, witnesses and attending medical professionals, supervisors or designate

Retention and Disposal:

E+100 years; E=completion of claim

Information Technology Division

GENERAL CLASS OF RECORDS

Application Development/Implementation/Operations (A08)

Information Technology - Hardware/Software Administration (A07)

Information Technology - Standards (A09)

PERSONAL INFORMATION BANKS (PIB)

Video Surveillance Recorded Information (O28)

VIDEO SURVEILLANCE RECORDED INFORMATION (O28)

Legal Authority:

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56

Information Maintained:

Recorded information on individuals

Uses:

To monitor the safety and security of individuals, assets and property

Users:

CAO, Manager of Facilities Management, Security Coordinator, MFIPPA Coordinator, region solicitor(s), law enforcement authorities, specified site managers/supervisors, or their designate

Individuals in Bank:

Employees, public

Retention and Disposal:

E+2 years; E=from date of viewing; if not viewed for law enforcement or public safety purposes, then recorded information is erased and reused after thirty days.

Legal Services Division

GENERAL CLASS OF RECORDS

Contracts and Agreements - Under Seal - Working Papers (L30)

Land Acquisition, Sale and Easements (L10)

Land Acquisition, Sale and Easements for Purchases over \$10,000 (L39)

Opinions and Briefs (L11)

Precedents (L12)

*The Region has been advised by the MFIPPA Management Board of Cabinet that the Durham Region Non-Profit Housing Corporation (DRNPHC) records are not subject to the provisions of MFIPPA. The corporation is a separate legal entity; budget is the responsibility of DRNPHC and is approved by the Ministry of Housing.

PERSONAL INFORMATION BANKS (PIB)

Appeals and Hearings (L01) see Legislative Services

Claims By/Against the Region and Clients (L02) see page 3

Client Files (L13) e.g. Durham Region Non-Profit Housing Corporation

Notice of Trespass (L33)

Social Benefits Tribunal (SBT) (S07) - previously Social Assistance Review Board (SARB), see also Income and Employment Support Division, Includes Ontario Works

Client Files (L13)

Legal Authority:

Social Housing Reform Act, S.O. 2000, c.27

Information Maintained:

Name, address, telephone no., gender, DOB, marital status, SIN, financial information, legal opinions, interoffice correspondence

Uses:

Maintain records to facilitate administration of clients such as Durham Regional Local Housing Corporation

Users:

Durham Regional Local Housing Corporation; Legal Department staff

Individuals in Bank:

Clients

Retention and Disposal:

C+10 years

NOTICE OF TRESPASS (L33)

Legal Authority:

Trespass to Property Act, R.S.O. 1990, c.T.21

Information Maintained:

Name, address

Uses:

Provide written notices to individuals regarding prohibition of individuals to entry on property

Users:

Legal Department staff

Individuals in Bank:

Public; Employee

Retention and Disposal:

E+7 years; E=file closed

SOCIAL BENEFITS TRIBUNAL (SBT) (S07)

See also Income and Employment Support Division, Includes Ontario Works

Legal Authority:

Ontario Works Act, 1997, c.25, 1997, c.25

Information Maintained:

Name, address, telephone numbers(s), gender, DOB, marital status, language and SIN

Uses:

Maintain records regarding an appeal made by a client. Includes copy of submission, correspondence from SARB and review result

Users:

Social Services Department - Income/Employment Support staff; Legal Department staff

Individuals in Bank:

Clients

Retention and Disposal:

E+6 years; E=appeal finalized

Provincial Offences Office

GENERAL CLASS OF RECORDS

Bank Account Records and Reconciliations (F14)

Certificate of Control Sheets (L27)

Search Warrants (L29)

Transcript Orders (L20) prior to 2010; as of January 1, 2010 L15/L17

PERSONAL INFORMATION BANKS (PIB)

Accounts Payable (F01)

Audio of Court Proceedings (L28)

Cash Receipts (F29) see Finance, Accounting

Certificate of Parking Infraction (CRC) Non Opt In (L26)

Council Write-Off (CW) Tickets (L25)

Court Dockets (L18)

Intake Court/Justice (L21)

Office Guest Sign In Sheets (A23) see page 4

Part I and Part II with Trials (L15)

Part III with Part I Accidents (L17)

POA Accounting and RICO Reports (F36)

RICO Activity Reports (L22)

ACCOUNTS PAYABLE (F01)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Transaction number, case number, offender name, amount paid

Uses:

Refunds to defendants and amounts payable to other court locations and province

Users:

POA, Finance Department

Individuals in Bank:

Defendant

Retention and Disposal:

C+6 years

AUDIO OF COURT PROCEEDINGS (L28)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Name, date, trial proceedings, information number

Uses:

Transcripts

Users:

POA

Individuals in Bank:

Defendants

Retention and Disposal:

C+3 years

CERTIFICATE OF PARKING INFRACTION (CRC) NON OPT IN (L26)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Defendant name, address, DOB, driver's license, plate

Uses:

Filing of tickets, payment of fines, enforcement

Users:

POA

Individuals in Bank:

Defendant

Retention and Disposal:

C+3 years

COUNCIL WRITE-OFF (CW) TICKETS (L25)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Client's name, DOB, driver's licence, details of charge and conviction

Uses:

Payment of fine if client inquires and pays but not an active collection

Users:

POA

Individuals in Bank:

Defendant

Retention and Disposal:

E+37 (E=notification from Ministry of the Attorney General)

COURT DOCKETS (L18)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Name, offence description and date, outcome of appearance, information number

Uses:

Payment of fines; enforcement

Users:

POA, prosecutors

Individuals in Bank:

List of defendants

Retention and Disposal:

C+40 years

INTAKE COURT/JUSTICE (L21)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Name, time signed in, service requested/provided, Justice of the Peace and extension sign in sheets

Uses:

Transcripts; tracking of tickets dealt with in Intake Court

Users:

POA

Individuals in Bank:

Defendants

Retention and Disposal:

C+7 years; retained electronically as of September 2005

PART I AND PART II WITH TRIALS (L15)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Certificate no., defendant name, address, DOB, driver's licence, plate, offence information, fine

Uses:

Payment of fines; enforcement

Users:

POA

Individuals in Bank:

Defendant

Retention and Disposal:

E+3 years (E=date of completion)

PART LLL WITH PART I ACCIDENTS (L17)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Certificate number, name, address, DOB, driver's license, plate, offence information, fine, Issuing Officer, Agency

Uses:

Payment of fines; enforcement

Users:

POA

Individuals in Bank:

Defendant

Retention and Disposal:

E+7 years (E=date of completion)

POA ACCOUNTING AND RICO REPORTS (F36)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Defendant name, case number, conviction date, amount, Operator ID

Uses:

Accounting purposes

Users:

POA, Finance Department

Individuals in Bank:

Defendant

Retention and Disposal:

E+7 years

RICO ACTIVITY REPORTS (L22)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Name, case number, conviction date, amount, Operator ID

Uses:

Case file management

Users:

POA

Individuals in Bank:

Defendant

Retention and Disposal:

C+3 years (Daily offence change journal and new offence register retained electronically as of fall 2010)

Legislative Services Division

Council Services

GENERAL CLASS OF RECORDS

Accountability Program (C24)
By-laws - Originals (C01)
Contracts and Agreements - Under Seal (L04)
Council Agendas (C05)
Council Minutes (C06)
Election - Administration (C20)
Motions (C11)
Official Plans and Amendment Applications - Area Municipalities (D13)
Official Plans and Amendment Applications - Region (D12)
Standing Committees Agendas (C07)
Standing Committees/Commissioners' or Staff Reports (C09)
Standing Committees Minutes (C08)
Subdivision/Condominium Plans/Part-Lot Control (D16) (appeals and OMB matters only)

PERSONAL INFORMATION BANKS (PIB)

Appointments (C14)
Accountability, Transparency and Governance (C17)
Decisions/Orders (L16)
Election - Appeals (C22)
Election - Results (C21)
Freedom of Information (A20)
Freedom of Information - Administration (A25)
Appeals and Hearings (L01)
Voters' Lists (C23)

APPOINTMENTS (C14)

Legal Authority:

Municipal Act, 2001, c.25

Municipal Conflict of Interest Act, R.S.O. 1990, c. M.50, s. 6

Information Maintained:

Name, title, mailing address of appointee; name of board, committee, authority, appointee with be representing; resolution from municipality concurring with appointment; remuneration/mileage of appointee; nominations and recommendations for appointments; term of appointment; letter of notification of appointment to appointee; thank you letter to applicants not appointed.

Uses:

Distribution of agendas, minutes and other information; verbal contact with Council Members

Users:

All departments

Individuals in Bank:

Appointees including members of Council, the public, weed inspectors, names of all applicants and nominees

Retention and Disposal:

C+6 years

ACCOUNTABILITY, TRANSPARENCY AND GOVERNANCE (C17)

Legal Authority:

The Municipal Act, Municipal Conflict of Interest Act, Municipal Freedom of Information and Protection of Privacy Act and the Public Sector and MPP Accountability and Transparency Act, 2014

Information Maintained:

Closed Meeting or Regional services complaints to be investigated, including date of meeting, name, address, telephone number, fax number, e-mail address of individual requesting investigation, reason(s) of requester.

Uses:

A record of complaint, investigation and results; to investigate complaint

Users:

Regional Clerk, Committee Secretary, Ombudsman, Integrity Commissioner

Individuals in Bank:

Individual(s) submitting investigation requests

Retention and Disposal:

E+6 years; E=completion of investigation

APPEALS AND HEARINGS (L01)

Legal Authority:

The Municipal Act, Sec. 239.1; Development Charges Act, 1997, S.O. 1997, c.27 as amended; Planning Act, R.S.O. 1990, c.P13, as amended

Information Maintained:

Applicant, Appellant, Plaintiff, Defendant Name, Address, Telephone Number and matter being appeals

Uses:

Appeals to the Ontario Municipal Board regarding the passing of a Regional Municipal of Durham Development Charges by-law; Appointments, Prehearings Conference, Hearings, Motions and supporting affidavit regarding issues in dispute, matters as license suspensions, etc. and decisions/orders.

Users:

Regional Clerk, Ontario Municipal Board, Ontario Superior Court of Justice, Environment and Land Tribunals Ontario, Legal, Finance and Legislative Services staff

Individuals in Bank:

Individual(s) submitting appeals and defendants

Retention and Disposal:

E+10; E=resolution of appeal

DECISIONS/ORDERS (L16)

Legal Authority:

The Municipal Act, Sec. 239.1

Information Maintained:

Applicant name, Respondent Name

Uses:

Order handed down by court

Users:

Regional Clerk, Ontario Municipal Boards, Ontario Court of Justice, Canadian Transportation Agency, Tribunals

Individuals in Bank:

Respondents

Retention and Disposal:

Permanent

ELECTION - APPEALS (C22)

Legal Authority:

Municipal Elections Act, 1996, S.O. 1996, c. 32 S. 88 (1) - (3)

Information Maintained:

Candidate name, address, telephone number(s)

Uses:

Candidates appeal results of election

Users:

Regional Clerk, Legislative Officer

Individuals in Bank:

Candidates

Retention and Disposal:

E+6; E=resolution of appeal

ELECTION - RESULTS (C21)

Legal Authority:

Municipal Elections Act, 1996, S.O. 1996, c. 32 S. 88 (1) - (3)

Information Maintained:

Elected candidate name, address, telephone number(s)

Uses:

Clerk's Certificate as to the appointment of a member of Regional Council; notification by Municipal Clerk to Regional Clerk / Director of Legislative Services advising of name of elected candidate; certified election results; declaration of office by elected candidates

Users:

Regional Clerk, Legislative Officer

Individuals in Bank:

Elected Candidates

Retention and Disposal:

Permanent

FREEDOM OF INFORMATION (A20)

Legal Authority:

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56
Personal Health Information Protection Act, 2004, c.3, Schedule A

Information Maintained:

Letter or Access/Correction Request Form with name, address and telephone no. of requester, description of requested records; also includes all correspondence between the requester and department(s), Index of Records and Records Holding Statement. Also includes privacy complaints, breaches, and investigations.

Uses:

Maintain a record of all requests, corrections, complaints, breaches and investigations; used to compile statistics

Users:

Regional Clerk, Manager, Records and Information Management, Records and Information Management Analysts, Regional Solicitor, Departmental Coordinators, IP Commissioner

Individuals in Bank:

Individuals submitting requests under the Act; third parties

Retention and Disposal:

E+6 years; E=request and all appeals completed

FREEDOM OF INFORMATION - ADMINISTRATION (A25)

Legal Authority:

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56
Personal Health Information Protection Act, 2004, c.3, Schedule A

Information Maintained:

Informal requests, third party notifications to the Region from other institutions. IPC reporting and other general correspondence

Uses:

Maintain a record of all informal requests and third party notifications to the Region from other institutions

Users:

Regional Clerk, Manager, Records and Information Management, Records and Information Management Analysts, Regional Solicitor, Departmental Coordinators

Individuals in Bank:

Individuals submitting informal requests; third parties

Retention and Disposal:

C+2 years

VOTERS' LISTS (C23)

Legal Authority:

Municipal Elections Act, 1996, S.O. 1996, c. 32 S. 88 (1) - (3)

Information Maintained:

Voter's lists from area municipalities; tabulation testing documentation

Uses:

Lists all eligible voters

Users:

Regional Clerk, Legislative Officer

Individuals in Bank:

Eligible voters

Retention and Disposal:

E+120 days; E=completion of election

Records and Information Management

GENERAL CLASS OF RECORDS

Directory of Records (A03)

Information Classification and Retention (A26)

Information Management Program (A15)

Information Management Projects (A28)

Regional Archives (A27)

PERSONAL INFORMATION BANKS (PIB)

Information Disposition (A16)

INFORMATION DISPOSITION (A16)

Legal Authority:

Municipal Act, 2001 S.O. 2001, c. 25, s. 253-255, 273 (5)

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M56

Information Maintained:

File Destruction listings may maintain client name, unique number, DOB and type of service.

Uses:

Approved listings of files that are eligible for destruction under the Region's Records Retention By-law.

Users:

Regional staff

Individuals in Bank:

Regional clients

Retention and Disposal:

Permanent

Durham Emergency Measures Office (Demo)

GENERAL CLASS OF RECORDS

Emergency Management Operations (P04)
Emergency Management Program (P02)
Public Alerting - Siren Design and Installation (P29)
Public Alerting - Siren Maintenance (P30)
Public Alerting - Telephone Dialing (P31)

PERSONAL INFORMATION BANKS (PIB)

Emergency Management Program (Emergency Plans) (P02)

EMERGENCY PLANS (P02)

Legal Authority:

Emergency Management and Civil Protection Act, R.S.O. 1990, c. E.9

Information Maintained:

Region staff names, agency/organization names, contact numbers (telephone, pagers, cell)

Uses:

Emergency contact or notification

Users:

Region staff, agency/organization representatives having roles and responsibilities within the Region's emergency plans

Individuals in Bank:

Key Individuals and specific agencies/organizations that have roles and responsibilities within the Region's emergency plans

Retention and Disposal:

C+4

Durham Region Transit

Headquarters

GENERAL CLASS OF RECORDS

Contracts and Agreements - Simple (L05)
Operational Licenses (L06)
Transit (T05)
Transportation/Traffic Planning (D21)

Raleigh and Westney

GENERAL CLASS OF RECORDS

Contracts and Agreements - Simple (L05)

Operational Licenses (L06)

Transit (T05)

Transportation/Traffic Planning (D21)

Vehicle History Files (V01)

PERSONAL INFORMATION BANKS (PIB)

Specialized Services Applicants (T08)

Transit Certification and Training (H19)

SPECIALIZED SERVICES APPLICANTS (T08)

Legal Authority:

Accessibility for Ontarians with Disabilities Act, 2005, O. Reg. 191/11 Integrated
Accessibility Standards

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56

Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Schedule A, Part II,
s. 13-14, Part V. S. 51-54

Information Maintained:

Applications and assessments of passengers with disabilities who are eligible for DRT
Specialized Services; Support person information who travels with the passenger;
contact and emergency contact information, mobility or assistive device requirements;
functional abilities, use of public transit health care professional information outlining
and certifying the passenger's disability and if support person required; Occupational
Therapist assessments, specialized service appeals, recommendations and decisions

Uses:

Used to assess passengers for eligibility for DRT Specialized Services

Users:

Durham Regional Transit management, staff and Occupational Therapist

Individuals in Bank:

Applicants

Retention and Disposal:

E+3 year; E=service is no longer required

TRANSIT CERTIFICATION AND TRAINING (H19)

Legal Authority:

Ministry of Transportation (MTO) - Commercial Motor Vehicle Operator's Safety Manual
– Module 7 Safety Programs, Record-Keeping and Driver Files
Occupational Health and Safety Act, R.S.O.1990, Chapter O.1
Public Vehicles Act, R.S.O. 1990, Chapter P.54
Highway Traffic Act, R.S.O. 1990, Chapter H.8

Information Maintained:

Transit staff history, driver orientation and fitness evaluations, including road and driver tests, progress reports, vision tests and renewal tests; certification records endorsed by MTO such as AODA, Bio Hazard, Violence in the Workplace and Airbrake Endorsement. WHMIS, fork lift and maintenance training records; copies of driver's license and abstracts, accident / incident / WSIB reports, collision and violation disclosures and corrective disciplinary actions. Also includes any record of convictions and administrative penalties relating to the operation of a commercial motor vehicle.

Uses:

Proof of certification and training of transit drivers and maintenance staff

Users:

Durham Regional Transit management and staff

Individuals in Bank:

Durham Regional Transit drivers and maintenance staff

Retention and Disposal:

E+3 year; E=3 years after driver ceases to be employed

Finance Department

Accounting

GENERAL CLASS OF RECORDS

Accounts Receivable (F03)

Bank Account Records and Reconciliations (F14)

Capital Expenditures (F11)

Durham Region Transit (DRT) Ridership Reports (F44)
Financial Statements and Audit (F15)
General Ledger (F20)
Inventory Control Computer Reports (F30)
Investments (F17)
Invoice Requisitions (F13)
Journal Vouchers (F18)
Letters of Credit (F06)
Monthly Program Financial Statements (F19)
Payables Reporting (F02)
Receivables Reporting (F04)
Reserve Funds (F31)
Returned Cheques (F09)
Subsidy Claims (F16)
Taxation (F33)

PERSONAL INFORMATION BANKS (PIB)

Accounts Payable (F01)
Cash Receipts (F29)
Cash Stubs and Receipts (F37)
Debentures and Bonds (F10)
Electronic Deposit Authorization (F25)
Expenses - Employee and Council (F12)
Long Term Care – Accommodation and Trust (F35)
Pre-Authorized Payments (PAP) (F38)
Time and Labour/Attendance/Absence Reporting (F21) see Finance, Payroll
Trust Accounts (F34)

ACCOUNTS PAYABLE (F01)

Legal Authority:

Municipal Act, 2001, c.25

Income Tax Act, R.S.O. 1990, c. I.2 s. 39 (1), (2)

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Name, address and telephone number of person or company the payment is made to.

Uses:

To account for monies paid out

Users:

Departmental staff

Individuals in Bank:

Customers

Retention and Disposal:

C+6 years

CASH RECEIPTS (F29)

Legal Authority:

Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230

Municipal Act, 2001, c.25

Information Maintained:

Name of customer/client, department issuing receipt, date of transaction, particulars, account credited, amount of cash/cheque, name of cashier

Uses:

Receipt for transaction

Users:

Finance Department - Accounting, POA Collections, Utility Finance

Individuals in Bank:

Customer/client

Retention and Disposal:

C+6 years

CASH STUBS AND RECEIPTS (F37)

Legal Authority:

Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230

Municipal Act, 2001, c.25

Information Maintained:

Name of customer/client, amount of cash and name of cashier

Uses:

Transactions for Water billing payments

Users:

Finance Department

Individuals in Bank:

Customer/client

Retention and Disposal:

C+2 years

DEBENTURES AND BONDS (F10)

Legal Authority:

Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230

Municipal Act, 2001, c.25

Information Maintained:

Name of debenture holder, address of holder, value and amount of certificates owned, maturity date and registration dates

Uses:

To maintain a register of debenture owners for income tax and interest payment purposes

Users:

Finance Department

Individuals in Bank:

Holders of Region of Durham debenture certificates

Retention and Disposal:

E+6 years; E=debentures surrendered for exchange/cancellation

ELECTRONIC DEPOSIT AUTHORIZATION (F25)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, ID number, financial Institution information, account type and account number

Uses:

To authorize the direct deposit of employee earnings and expense reimbursements

Users:

Finance Department, Payroll

Individuals in Bank:

Employees

Retention and Disposal:

E+6 years; E=DDI cancelled

EXPENSES - EMPLOYEE AND COUNCIL (F12)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, employee number, general and vehicle expenses

Uses:

For reimbursing employees/councillors for expenses and mileage

Users:

Finance Department – Accounting/Payroll, Social Services – Long Term Care and Services for Seniors, Employees, Councillors

Individuals in Bank:

Employees and Councillors

Retention and Disposal:

C+6 years

LONG TERM CARE - ACCOMMODATION AND TRUST (F35)

Legal Authority:

Long Term Care Homes Act, 2007, S.O. 2007, c. 8; O. Reg. 79/10 General, s. 231-238 and 262-264.

Information Maintained:

Resident days, charges, accounts receivables, resident name, bank statements, reconciliations, month end reports

Uses:

For subsidy, revenue collections, deposits, accounts receivable ledger, bank deposits

Users:

Finance Department, Social Services – Long Term Care and Services for Seniors

Individuals in Bank:

Residents, and or billing contacts

Retention and Disposal:

C+7 years

PRE-AUTHORIZED PAYMENTS (PAP) (F38)

Legal Authority:

None

Information Maintained:

Customer name and address, bank account information, authorization form, void cheques, change request forms and supporting documents.

Uses:

Authorization to automatically debit a specific bank account for the purpose of payment for goods/services provided by the Region, including water and sewer services, Long-term care accommodation and housing unit rentals.

Users:

Financial Services - Collections and Customer Service staff

Individuals in Bank:

Customers

Retention and Disposal:

E+2; E=cancellation or no longer owner of specified property or a resident of long-term care home or tenant in a social/affordable housing unit

TRUST ACCOUNTS (F34)

Legal Authority:

Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230

Information Maintained:

Client name, address, telephone number, banking information

Uses:

Managing trust account for residents

Users:

Finance Department, Social Services Department - Long Term Care and Services for Seniors, Auditor

Individuals in Bank:

Clients

Retention and Disposal:

C+7 years

Budgets and Economic Studies

GENERAL CLASS OF RECORDS

Budgets and Estimates (F07)

Reserve Funds (F31)

Financial Housing Services

PERSONAL INFORMATION BANKS (PIB)

Financial Housing Services (F46)

FINANCIAL HOUSING SERVICES (F46)

Legal Authority:

Municipal Act, 2001, c.25

Income Tax Act, R.S.O. 1990, c. I.

Housing Services Act, S.O. 2011, c. 6

Information Maintained:

Social Housing client name, address, telephone number and financial information.

Uses:

Social housing provider subsidy estimates, year-end settlements and financial statements, rent geared-to-income (RGI) and operational reviews.

Users:

Finance Department - Accounting/Housing Services

Individuals in Bank:

Social Housing clients

Retention and Disposal:

C+6

Insurance and Risk Management

GENERAL CLASS OF RECORDS

Insurance Policies (L09)

PERSONAL INFORMATION BANKS (PIB)

Claims By/Against the Region and Clients (L02) - Insurance Claims see Legal Vehicle Accident Report (T02)

VEHICLE ACCIDENT REPORT (T02)

Legal Authority:

Highway Traffic Act, R.S.O. 1990, c. H.8

Information Maintained:

Vehicle information, driver information, other vehicle information, other driver information, insurance information, injured party information, accident information, witnesses

Uses:

For processing insurance claims

Users:

Finance Department - Risk Management, Legal Department, Works Department

Individuals in Bank:

Employees, passengers, Individuals in other vehicle, witnesses, insurance company

Retention and Disposal:

C+10 years - electronic copy; C+2 years - paper copy

Payroll

PERSONAL INFORMATION BANKS (PIB)

Electronic Deposit Authorizations (F25) see Finance, Accounting

Employee Record/Position Requisitions and Changes (F24)

Expenses - Employee and Council (F12) see Finance, Accounting

Non-Statutory Deductions/Authorizations and Special Pays (F22)

Payroll Reporting (F26)

Tax Exemption Forms (F23)

Time and Labour/Attendance/Absence Reporting (F21)

EMPLOYEE RECORD/POSITION REQUISITIONS AND CHANGES (F24)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Employee name and ID no., position title, department, work location, job information, salary information, date and reason for change, affiliation, employment data, supervisor/authorizing signatures.

Uses:

Tracks changes to employee position/job data and entitlements.

Users:

Departmental staff that enters changes to payroll system

Individuals in Bank:

Employees

Retention and Disposal:

C+6 years

NON-STATUTORY DEDUCTIONS/AUTHORIZATIONS & SPECIAL PAYS (F22)

Legal Authority:

Municipal Act, 2001, c.25

Income Tax Act, R.S.O. 1990, c. I.2 s. 39 (1), (2)

Information Maintained:

Employee name, department, affiliation, employee number

Uses:

Authorizations affecting employee pay for Canada Savings Bonds, United Way and credit union deductions. Also includes payments due to settlements, sub-plans, and pay-outs of accrued vacation/banks.

Users:

Payroll, department, and employees

Individuals in Bank:

Employees, elected/appointed officials

Retention and Disposal:

E+6 years; E=authorization cancelled

PAYROLL REPORTING (F26)

Legal Authority:

Canada Pension Plan, R.S.C. 1985, c. C-8, s. 24

Employment Insurance Act (Canada), 1996, c. 23, s. 87

Municipal Act, 2001, c.25

Pay Equity Act, R.S.O. 1990, c. P.7

Information Maintained:

Employee year to year earnings, deductions and payroll reporting from the Human Capital Management (HCM) System; also includes microfiche from legacy payroll systems.

Uses:

Confirm year to date earnings and deductions history for reference; generate data for financial statistics, pensions, T4's and budget information.

Users:

Payroll staff and auditors

Individuals in Bank:

Employees, elected/appointed officials

Retention and Disposal:

Permanent

TAX EXEMPTION FORMS (F23)

Legal Authority:

Excise Tax Act (Canada), R.S.C. 1985, c. E-15, s. 262, 286.

Fuel Tax Act, R.S.O. 1990, c. F.35, s. 6.1

Fuel Tax Act Regulations (General), R.R.O. 1990, Reg. 464, s. 9, 13

Information Maintained:

Employee name, department, affiliation, employee number

Uses:

For income tax purposes

Users:

Payroll, Revenue Canada and employees

Individuals in Bank:

Employees, elected/appointed officials

Retention and Disposal:

C+6 years

TIME AND LABOUR/ATTENDANCE/ABSENCE REPORTING (F21)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Employee name, department, affiliation, employee number, dates, time, hours worked

Uses:

Set up/maintain employees in the payroll system; record employee payroll/benefit transactions and employee benefits options; processing payroll transactions, and for statistical reports such as T4s, pension contribution

Users:

Payroll, departments, auditors, Revenue Canada, employees

Individuals in Bank:

Employees, elected/appointed officials

Retention and Disposal:

C+6 years; With the exception of vacation reporting, all paper records dated 2003 and prior, must be maintained by the originating department for C+6 years. Paper records dated later than 2003 can be destroyed, as the electronic version is now the official record. Vacation reporting records became electronic in 2007 and will be the official record as of that year. Paper records prior to 2007 must be retained by the originating department for C+6 years. Paper records dated later than 2007 can be destroyed.

Provincial Offences Collection Office

GENERAL CLASS OF RECORDS

Returned Cheques (F09)

PERSONAL INFORMATION BANKS (PIB)

Provincial Offences Collections (F45)

Cash Receipts (F29) see Finance, Accounting

PROVINCIAL OFFENCES COLLECTIONS (F45)

Legal Authority:

Provincial Offences Act, R.S.O. 1990, c. P.33

Information Maintained:

Applicant/appellant's name, address, telephone number, sex, date of birth, driver's licence number, and amount of outstanding fine.

Uses:

To collect outstanding fines

Users:

Finance Department - Financial Services - Collections and Customer Service staff

Individuals in Bank:

Defendant

Retention and Disposal:

E+7 years; E=no outstanding payment

Supplies and Services (Purchasing)

GENERAL CLASS OF RECORDS

Purchase Orders and Requisitions (F27)

PERSONAL INFORMATION BANKS (PIB)

Tenders and Quotations/Contracts - Vendor Master File (F28) (L05)

TENDERS AND QUOTATIONS/CONTRACTS - VENDOR MASTER FILE (F28) (L05)

Legal Authority:

Income Tax Act (Canada), R.S.C. 1985, c. 1 (5th Supp.), s. 230

Information Maintained:

Name, address, RFP, pricing information

Uses:

Establishing contract between Region and vendors/suppliers

Users:

Purchasing staff; departments

Individuals in Bank:

Vendors, suppliers, contractors who have provided goods and services

Retention and Disposal:

E+6 years; E=expiration of tender

Utility Finance

GENERAL CLASS OF RECORDS

Accounts Receivables (F03)

Bank Account Records and Reconciliations (F14)

Information Technology - Hardware/Software Administration (A07)

Journal Vouchers (F18)

Receivable Reporting (F04)

Returned Cheques (F09)

PERSONAL INFORMATION BANKS (PIB)

Cash Receipts (F29) see Finance, Accounting

Meter Readings (O16)

Sanitary Sewer Appeals (L31)

Utility Finance Customer Files (O17)

METER READINGS (O16)

Legal Authority:

Building Code Act, 1992, c.23

Public Utilities Act, R.S.O. 1990, c. P.52

Information Maintained:

Customer name, address, telephone no.

Uses:

To ensure that users are accurately billed for water and sewer usage.

Users:

Finance Department

Individuals in Bank:

Customers

Retention and Disposal:

9 months; Bill Register retained electronically C+6 years for audit purposes

SANITARY SEWER APPEALS (L31)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Applicant/appellant's name, address, telephone no., location of property for which appeal is being made, account number and status, water and sanitary sewer bill, consumption Information, reason for appeal, recommendation.

Uses:

To determine if a reduction will be granted in applicant's sewer rate.

Users:

Finance Department, Sanitary Sewer Appeal Committee

Individuals in Bank:

Applicant/appellant

Retention and Disposal:

Permanent

UTILITY FINANCE CUSTOMER FILES (O17)

Legal Authority:

Building Code Act, 1992, c. 23

Public Utilities Act, R.S.O. 1990, c. P52

Information Maintained:

Customer name, address, telephone number

Uses:

Bill each water and sewer user for their share of these services.

Users:

Finance Department

Individuals in Bank:

Customers

Retention and Disposal:

C+6 years

Health Department

Administration

PERSONAL INFORMATION BANKS (PIB)

Freedom of Information (A20) see Legislative Services, Council Services

Freedom of Information - Administration (A25) see Legislative Services, Council Services

Commissioner and Medical Officer of Health

GENERAL CLASS OF RECORDS

Health Programs and Committees (P20)

Environmental Health

GENERAL CLASS OF RECORDS

After Hours Calls (O22)

Environmental Help Line (P27)

Environmental Monitoring (E02)

Health Programs Statistics (P08)

Land Division Comments - Minor Applications (D29)

Land Division Comments - Complex Applications (D26)

Minor Variances (Committee of Adjustment) (D17)

Subdivision/Condominium Plans/Part-Lot Control (D16)

Vaccine/Medication Distribution (P16)

PERSONAL INFORMATION BANKS (PIB)

Appeals and Hearings (L01) see Legislative Services

Complaints/Service Requests (P15)

Food Handler Certification and Training (P28)

Infectious Diseases - Outbreak Management and Special Investigations (P22)

Infectious Diseases - Prevention and Control (P05)

Law Enforcement - Officer Notebooks (L23)

Property Reports and Assessments (P17)

Convictions/Prohibition Orders (P25)

Public Health Inspection - Premises (P13)

Rabies Prevention and Control (P14) includes Rabies/Animal Bites

Sewage Systems - Permits (P12)

Tobacco Enforcement and Inspections (P24)

COMPLAINTS/SERVICE REQUESTS (P15)

Legal Authority:

Municipal Freedom of Information and Protection of Privacy Act, R.S.O. 1990, c. M.56
Personal Health Information Protection Act, 2004, c. 3, Schedule A, Part II, s. 13014,
Part V, s. 51-54

Information Maintained:

Name, address and telephone number of individual making a complaint or request for service

Uses:

Record complaint/request; initiate investigation and follow-up

Users:

Public Health Inspectors, Medical Officer of Health, data entry operators

Individuals in Bank:

Individuals who make a complaint to the Health Department relating to private water supply, rodents, insects, garbage, sewage disposal, or housing

Retention and Disposal:

C+6 years

FOOD HANDLER CERTIFICATION AND TRAINING (P28)

Legal Authority:

Health Protection and Promotion Act, R.S.O. 1990, c. H.7; Ontario Public Health Standards

Information Maintained:

Name, address, telephone number, payment information and personal identification of person trained.

Uses:

Tracking of all training and certification of food handlers for the purpose of educating on the safe handling of food in order to prevent food borne illnesses

Users:

Public Health Inspectors, Administrative Support Clerks

Individuals in Bank:

Food handlers

Retention and Disposal:

C+6 years

INFECTIOUS DISEASES - OUTBREAK MANAGEMENT AND SPECIAL INVESTIGATIONS (P22)

Legal Authority:

Health Protection and Promotion Act, RSO 1990 c.H.7

Information Maintained:

Names, addresses, telephone numbers, medical test results

Uses:

Monitor Outbreaks and conduct provincially initiated special investigations

Users:

Public Health Inspectors

Individuals in Bank:

Individuals who have contracted or been exposed to diseases

Retention and Disposal:

E+10 years; E=end of outbreak or completion of investigation

INFECTIOUS DISEASES - PREVENTION AND CONTROL (P05)

Legal Authority:

Health Protection and Promotion Act, RSO 1990 c.H.7

Information Maintained:

Name, address, telephone number and D.O.B. of individuals that have come in contact with a communicable disease. Also includes information on symptoms of disease, test results and Point-of-Care Quality Assurance (QA).

Uses:

To monitor, prevent and control disease

Users:

Public Health Inspectors & PHNN

Individuals in Bank:

Individuals who have contracted or have been exposed to diseases

Retention and Disposal:

C+10 years

LAW ENFORCEMENT - OFFICER NOTEBOOKS (L23)

Legal Authority:

Memorandum of Understanding between the Attorney General and the Regional Municipality of Durham, Schedule 2, Operational Standards

Information Maintained:

Name, address, telephone number of offender, witness information, personal ID presented to officer belonging to offender (i.e. Health Card, Driver's Licence)

Uses:

Used to record information relating to law enforcement activities, to help in completing various investigation reports; reference source when testifying in court

Users:

Provincial Offences Officers; Test Shoppers

Individuals in Bank:

Offenders; Witnesses; Complainant

Retention and Disposal:

E+7; E=date the book is full or no longer used

PROPERTY REPORTS AND ASSESSMENTS (P17)

Legal Authority:

Building Code Act, 1992, S.O. 1992, c. 23 and O. Reg. 350/06, Division B, Part 8, Part 11 and Division C, Part 1

Information Maintained:

Name of property owner, address, telephone number, and lawyers' requests for property information, registries of all property information requests

Uses:

Responding to legal inquiries

Users:

Public Health Inspectors, Administrative Support Clerks

Individuals in Bank:

Property owner

Retention and Disposal:

C+3 years

CONVICTIONS/PROHIBITION ORDERS (P25)

Legal Authority:

Memorandum of Understanding between the Attorney General and the Regional Municipality of Durham, Schedule 2, Operational Standards, s. 2.8.3, 2.10.1, 2.10.3

Smoke-Free Ontario Act, S.O. 1994, c. 10, s. 16

Information Maintained:

Name, address, telephone number of person in contravention of the Smoke Free Ontario Act, 2006 (SFOA)

Uses:

To record, manage and enforce charges laid against Individuals and business owners

Users:

Public Health Inspectors, Administrative Support Clerks

Individuals in Bank:

Students, Members of the public, business owners

Retention and Disposal:

C+5 years

PUBLIC HEALTH INSPECTION - PREMISES (P13)

Legal Authority:

Health Protection and Promotion Act, RSO 1990 c.H.7

Municipal Act, 2001, S.O. 2001, c. 25 s. 23-255, 273 (5)

Personal Health Information Protection Act, 2004, c. 3, Schedule A, Part II, s. 13014, Part V. s. 51-54

Information Maintained:

Name, address and telephone number of food premises, name of operator, routine inspection reports on critical items and establishment sanitation, design and maintenance, plus food audit reports and food complaint forms; the latter would also contain name, address and telephone no. of complainant

Uses:

Routine inspection of food premises and response to food complaints and food-poisoning outbreaks; to monitor and evaluate the Food Safety Program and to prepare for litigation

Users:

Health Department staff

Individuals in Bank:

Food premises operators and complainants and victims of food-poisoning outbreaks

Retention and Disposal:

E+6 years; E=date of premise closure

RABIES PREVENTION AND CONTROL (P14)

Legal Authority:

Health Protection and Promotion Act, RRO 1990, Reg. 557, Communicable Diseases – General, Reg. 567 - Rabies Immunization

Municipal Act, 2001, S.O. 2001, c. 25 s. 23-255, 273 (5)

Personal Health Information Protection Act, 2004, c. 3, Schedule A, Part II, s. 13014, Part V. s. 51-54

Information Maintained:

Name of victim, address, telephone number, location of bite, description/condition of animal, quarantine data, name and address of attending physician and quantity of vaccine distributed, if any, and name and contact information of animal owner

Uses:

Investigate and ensure treatment and surveillance of all known/suspected and confirmed cases of rabies; to monitor and evaluate the rabies control program

Users:

Public Health Inspectors, Medical Officer of Health, Ministry of Health - Public Health Branch, family physicians, data entry operators

Individuals in Bank:

Animal owners and bite victims relating to all persons exposed to rabies, either suspected or confirmed

Retention and Disposal:

C+6 years

SEWAGE SYSTEMS - PERMITS (P12)

Legal Authority:

Building Code Act, 1992, S.O. 1992, c. 23 and O Reg. 350/06, Division B, Part 8, Part 11 and Division C, Part 1

Information Maintained:

Names, address, telephone numbers of property owners and applicants

Uses:

Inspection of land suitability for private sewage systems; Verify inspection of private sewage system, ensure the MOE guidelines are followed, order compliance (if required), maintain official record of inspection, and issue permits; and records that fall under the Re-inspection Programs (example: Lake Simcoe Mandatory Re-Inspection Program)

Users:

Public Health Inspectors, Medical Officer of Health; Administrative Support Clerks

Individuals in Bank:

Individuals applying for sewage permits and Building Applications and property owners

Retention and Disposal:

C+100

TOBACCO ENFORCEMENT AND INSPECTIONS (P24)

Legal Authority:

Smoke-Free Ontario Act, S.O. 1994, c.10 and O. Reg. 48/06

Information Maintained:

Name of business, operator of business, business address, telephone number, fax number (if applicable), premises type, sale permitted (Y/N), designated smoking area (Y/N), smoking in a prohibited place (Y/N), tobacco sales information, tobacco packaging information, TCA signs posted, actions/comments at inspection time, names, addresses and telephone no. of complainant, inspection of schools and workplaces

Uses:

Determine if tobacco is distributed and sold in packages according to the Act and regulations; prohibit the selling and dispensing of tobacco through vending machines; enforce the posting of signs about age restrictions and identification; monitor all premises

where tobacco is sold and update list of premises as required, monitor behaviour of employees at workplace and students at schools to ensure they are following current smoking by-law

Users:

Health Department staff and Ministry of Health

Individuals in Bank:

Premise owners and operators and persons charged with offences and complainants

Retention and Disposal:

C+5

Infant and Child Development

PERSONAL INFORMATION BANKS (PIB)

Infant and Child Development Client Files (P06)

INFANT AND CHILD DEVELOPMENT CLIENT FILES (P06)

Legal Authority:

Child and Family Services Act, R.S.O. 1990, c. C.11, s. 74, 74.1, 74.2 and R.R.O.1990, Reg. 70 General

Child Care and Early Years Act, 2014

College of Nurses of Ontario, Practice Standards (Revised 2008)

Medicine Act, 1991, S.O. 1991, c. 30, s.12 (b), and O. Reg. 114/94 General

Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Schedule A, Part II, s. 13-14, Part V, s. 51-54

Health Protection and Promotion Act, R.S.O. 1990, c. H.7

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions Procedural Code

Information Maintained:

Name, gender, DOB, parent/guardian name, address, telephone number, siblings names and birth dates, physician name, address, telephone no., birth medical and testing/screening history, current medications, referral source, telephone no. and reasons for referral, public health nurses or other agency names involved in care, correspondence, case conference meetings summaries, home visit reports, developmental history, assessments, progress notes, profiles and measurement scales/reports, family needs (support, community, financial, family functioning) survey, goals, recommendations and referrals, consents (information release, program participation), progress and discharge reports

Uses:

Maintain cumulative record of medical/developmental/social history of clients and families admitted to the program; monitor eligibility

Users:

Infant Development Program staff, parents, hospitals, physicians, and agencies

Individuals in Bank:

Infants at risk or identified as having a delay in development (i.e. motor, social-emotional, environmental cognitive, language); family members, physicians, public health nurses, staff of other agencies

Retention and Disposal:

E+10 years; E=date of last entry

Nursing and Nutrition

GENERAL CLASS OF RECORDS

Health Programs Planning and Evaluation (P21)

Health Program - Statistics (P08)

Vaccine/Medication Distribution (P16)

PERSONAL INFORMATION BANKS:

Client Files (P03)

Client Files - Under 18 with No Date of Birth (P26)

Health Information Lines (P23)

Immunization Program (P07)

CLIENT FILES (P03)

Legal Authority:

Child Care and Early Learning Act, 2014

College of Nurses of Ontario, Practice Standards, Revised 2008

Medicine Act, 1991, S.O. 1991, c. 30, s. 12(b), and O. Reg. 114/94

Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Schedule A, Part II, s. 13-14, Part V, ss. 51-54

Health Protection and Promotion Act, R.S.O. 1990, c. H.7

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions Procedural Code

Information Maintained:

Name, address, postal code, previous address, telephone no., DOB, gender, occupation/day care, employer/institution name, referral source, diagnosis, physician's name, address and telephone no. correspondence regarding suspected condition, laboratory results, onset date, symptoms, prior medications or treatment, international travel; contact names, ages, occupations, employers; pregnancy, language, marital status, allergies, country of birth, origin of birth, immigrant and date of arrival

Uses:

Identify communicable disease cases and their contacts, demonstrate and ensure adherence to established surveillance procedures for all sources treating client, provide communicable disease trend data and statistical data for the Ministry of Health

Users:

Health Dept. staff, referring physicians, health care facilities staff and Ministry of Health

Individuals in Bank:

Persons and contacts identified as being at risk or having a communicable disease

Retention and Disposal:

E+10 years; E=date of last activity; if the client was less than 18 years old at the time of his or her last date of activity, the record is to be retained 10 years from the day the client became or would have become 18 years old. (The electronic record shall be deemed deleted and destroyed as per the approved Health Department policy.)

CLIENT FILES - UNDER 18 WITH NO DATE OF BIRTH (P26)

Legal Authority:

Child Care and Early Years Act, 2014

College of Nurses of Ontario, Practice Standard, Documentation, Revised 2008

Medicine Act, 1991, S.O. 1991, c. 30, s. 12(b), and O. Reg. 114/94 General

Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Schedule A, Part II, s. 13-14, Part V. s. 51-54

Health Protection and Promotion Act, R.S.O. 1990, c. H.7

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions
Procedural Code

Information Maintained:

Name, address, postal code, previous address, telephone no., DOB, gender, occupation/day care, employer/institution name, referral source, diagnosis, physician's name, address and telephone no. correspondence regarding suspected condition, laboratory results, onset date, symptoms, prior medications or treatment, international travel; contact names, ages, occupations, employers; pregnancy, language, marital status, allergies, country of birth, origin of birth, immigrant and date of arrival

Uses:

Identify communicable disease cases and their contacts, demonstrate and ensure adherence to established surveillance procedures for all sources treating client, provide communicable disease trend data and statistical data for the Ministry of Health

Users:

Health Department staff, referring physicians, health care facilities staff and Ministry of Health

Individuals in Bank:

Persons identified as being at risk or having a communicable disease, contacts and family physicians

Retention and Disposal:

E+16 years; E=date of last activity (The electronic record shall be deemed deleted and destroyed as per the approved Health Department policy)

HEALTH INFORMATION LINES (P23)

Legal Authority:

Child Care and Early Years Act, 2014

College of Nurses of Ontario, Practice Standard, Documentation, Revised 2008

Medicine Act, 1991, S.O. 1991, c. 30, s. 12(b), and O. Reg. 114/94 General

Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Schedule A, Part II, s. 13-14, Part V. s. 51-54

Health Protection and Promotion Act, R.S.O. 1990, c. H.7

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions Procedural Code

Information Maintained:

Name, address, postal code, previous address, telephone no., DOB, gender, occupation/day care, employer/institution name, referral source, diagnosis, physician's name, address and telephone no. correspondence regarding suspected condition, laboratory results, onset date, symptoms, prior medications or treatment, international travel; contact names, ages, occupations, employers; pregnancy, language, marital status, allergies, country of birth, origin of birth, immigrant and date of arrival

Uses:

Identify communicable disease cases and their contacts, demonstrate and ensure adherence to established surveillance procedures for all sources treating client, provide communicable disease trend data and statistical data for the Ministry of Health

Users:

Health Department staff, referring physicians, health care facilities staff and Ministry of Health

Individuals in Bank:

Persons identified as being at risk or having a communicable disease, contacts and family physicians

Retention and Disposal:

E+10 years; E=date of call; if the client was less than 18 years old at the time of his or her last date of activity, the record is to be retained 10 years from the day the client became or would have become 18 years old.

IMMUNIZATION PROGRAM (P07)

Legal Authority:

College of Nurses of Ontario, Practice Standard, Documentation, Revised 2008
Medicine Act, 1991, S.O. 1991, c. 30, s. 12(b), and O. Reg. 114/94 General
Personal Health Information Protection Act, 2004, S.O. 2004, c. 3, Schedule A, Part II,
s. 13-14, Part V, s. 51-54

Health Protection and Promotion Act, R.S.O. 1990, c. H.7

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions
Procedural Code

Information Maintained:

Name, address, DOB, gender, health card no., telephone numbers and addresses,
school names, physician name and address, previous/current immunization, type,
dosage and date for vaccine administered and recipient signature

Uses:

Provide record of Individuals inoculated for the prevention of contagious disease in Canada or during international travel. Maintain cumulative immunization status of school-age children for the purposes of increasing the protection of the health of children against the diseases that are designated under the Act; identify students requiring immunization; provide data for planning, co-ordinating, monitoring, evaluating current services and future service allocation requirements.

Users:

Health Department staff, referring physicians, clients, Information Systems Resource Centre (ISRC) staff, parents/guardians, students, other health units in Canada and USA, hospital staff, IRIS (Immunization Record Information System) and Ministry of Health

Individuals in Bank:

Adults immunized by Health Department staff and all elementary and secondary school students up to age 18.

Retention and Disposal:

E+10 years; E=date of last activity; If the client was less than 18 years old at the time of his or her last activity, record is to be retained 10 years from the day the client became or would have become 18 years old. The electronic record shall be deemed deleted and destroyed as per the approved Health Department policy.

Oral Health

PERSONAL INFORMATION BANKS (PIB)

Oral Health Client Files (P09)

ORAL HEALTH CLIENT FILES (P09)

Legal Authority:

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions Procedural Code

Royal College of Dental Surgeons of Ontario (Guidelines issued February 2008, revised May 2008 - Dental Recordkeeping)

Information Maintained:

Name, address, telephone number, parents/guardians names and employers, medical/dental information, dental examination findings, Hygienist's progress notes, dental treatment follow up notes

Uses:

Identify children under 18 with dental neglect or abnormalities; provide information for referral, follow up diagnosis and treatment and data for reporting to the Ministry of Health

Users:

Health Department Dental staff and referring dentists

Individuals in Bank:

School children up to grade 12 and parents/guardians

Retention and Disposal:

E+10 years; E=last day of activity; if the client was less than 18 years old at the time of his or her last date of activity, record is to be retained 10 years from the day the client became or would have become 18 years old.

Paramedic Services

PERSONAL INFORMATION BANKS (PIB)

Ambulance Call Reports Client Files (P18)

Incident and Collision Reports Client Files (P19)

AMBULANCE CALL REPORTS CLIENT FILES (P18)

Legal Authority:

Ambulance Act, R.S.O. 1990, c. A. 19, s. 18 (2), (2.1), (2.2), and O. Reg. 257/00

Ontario Ministry of Health and Long Term Care Emergency Health Services Branch,

Ambulance Services Documentation Standards, April 2000

Personal Health Information Protection Act, 2004, c. 3, Schedule A, Part II, s. 13014, Part V.s. 51-54

Information Maintained:

Name, address, telephone number, DOB, gender, medical history, medical allergies, physical assessment, institution names, medical records

Uses:

Maintain statistics on ambulance calls

Users:

Paramedic Services administration, hospital staff, police, coroners, law firms

Individuals in Bank:

Individuals who are transported to hospital by ambulance/receiving care from Paramedics

Retention and Disposal:

E+5 years; E=date of incident

INCIDENT AND COLLISION REPORTS CLIENT FILES (P19)

Legal Authority:

Ambulance Act, R.S.O. 1990, c. A. 19, s. 18 (2), (2.1), (2.2), and O. Reg. 257/00

Information Maintained:

Name, address, telephone number, DOB, gender, medical history, medical allergies, physical assessment, institution names, medical records

Uses:

Maintain statistics on collisions

Users:

Paramedic Services administration, Legal Services, Fleet - Risk/Liability Division

Individuals in Bank:

Paramedic Services employees, bystanders, relatives, victims

Retention and Disposal:

E+5 years; E=date of incident/collision

Planning and Economic Development

Economic Development and Tourism

GENERAL CLASS OF RECORDS

Agriculture Development (D23)

Economic Development (D02)

Economic Development - Proposal Requests (D30)

Economic Studies (D03)

Tourism Development (D08)

Planning Division

GENERAL CLASS OF RECORDS

Agriculture Development (D23)

Development Applications - Outside of Region (D34)

Economic Studies (D03)

Environmental Assessments (E03)

Environmental Planning (D04)

Growth Management (D01)

Industrial/Commercial Development (D24)

Mapping (D25)

Minor Variances (Committee of Adjustment) (D17)
Natural Resources (D07)
Non-Potable Groundwater Requests (D15)
Official Plans and Amendment Applications - Area Municipalities (D13)
Official Plans and Amendment Applications - Region (D12)
Permanent Road and Lane Closures (T04)
Pit and Quarry Licences (D31)
Provincial Secondary Land Use Program (D14)
Registered Plans/Reference Plans/Aerial Photograph (D10)
Residential Development (D06)
Site Plan Applications/Servicing (O21)
Street Naming (D20)
Traffic (T02)
Transit (T05)
Transportation Master Plan (D28)
Transportation Monitoring (T03)
Transportation/Traffic Planning (D21)
Zoning (D18)

PERSONAL INFORMATION BANKS (PIB)

Appeals and Hearings (L01) see Legislative Services
Condominium Plans - Applications (D16)
Subdivision/Condominium Plans/Part-Lot Control (D16)
Subdivision Plans (Registered Plans) - Applications (D16)
Trees and Weed Control (E01)
Complaints/Notices to Destroy Noxious Weeds (E01)

CONDOMINIUM PLANS - APPLICATIONS (D16)

Legal Authority:

Planning Act, R.S.O. 1990, c. P.13, s. 51

Planning Act Regulations (Plans of Subdivisions), O. Reg. 196/96

Information Maintained:

Name, address, telephone no., agent, surveyor, intended use, assessment roll no., land use designation, servicing, access, legal description of land that will be used for condominium

Uses:

Allows Commissioner of Planning and staff to make a decision re condo applications

Users:

Corporate Services - Legislative Services, Legal, Planning and Works Departments staff; application also circulated to area municipalities, conservation authorities and other agencies, Ministry of Agriculture, Ministry of Municipal Affairs and Ontario Municipal Board

Individuals in Bank:

Property owners and agents who make application to construct a condominium, citizens and lawyers

Retention and Disposal:

Permanent; condominium agreements (L04) retained by the Corporate Services Department - Legislative Services Division

SUBDIVISION PLANS (REGISTERED PLANS) - APPLICATIONS (D16)

Legal Authority:

Planning Act, R.S.O. 1990, c. P.13, s. 51

Planning Act Regulations (Plans of Subdivision) O. Reg. 196/96

Information Maintained:

Name, address, telephone no., agent, surveyor, intended use, assessment roll no., land use designation, servicing, access, legal description of land that will be used for subdivision

Uses:

Process subdivision applications; grant or deny applications

Users:

Corporate Services - Legislative Services, Legal, Planning and Works Departments staff; application also circulated to area municipalities, conservation authorities and other agencies, Ministry of Agriculture, Ministry of Municipal Affairs and Ontario Municipal Board

Individuals in Bank:

Property owners and agents who make application to develop a subdivision, citizens and lawyers

Retention and Disposal:

E+20 years; E=last registration of plan, plan closed or denied; Final approved plan retained permanently; subdivision agreements (L04) retained by the Legislative Services Division of Corporate Services

COMPLAINTS/NOTICES TO DESTROY NOXIOUS WEEDS (E01)

Legal Authority:

Weed Control Act, R.S.O. 1990, c. W.5, s. 15

Information Maintained:

Name, address, telephone number, date, property location, description, registered owner, action taken, costs

Uses:

Historical record; future reference; invoicing

Users:

Technical Support staff

Individuals in Bank:

Property owners, tenants, mortgagees, complainants

Retention and Disposal:

C+6 years

Land Division

GENERAL CLASS OF RECORDS

Land Division Comments - Complex Applications (D26)

Land Division Comments - Minor Applications (D29)

Land Division Committee Minutes (C19)

PERSONAL INFORMATION BANKS (PIB)

Land Division (D11) includes severance applications

LAND DIVISION (D11)

Legal Authority:

Planning Act, R.S.O. 1990, c. P.13, s. 53

Planning Act Regulations (Consent Applications), O.Reg. 197/96, s.1-9

Information Maintained:

Name, address, telephone no., type of operation

Uses:

Process severance applications; grant or deny applications

Users:

Legal, Planning and Works Departments staff and Land Division Committee, area municipalities, conservation authorities and other agencies, Ministry of Agriculture and Ontario Municipal Board

Individuals in Bank:

Property owners and agents who make application for land severances, citizens and lawyers

Retention and Disposal:

E+10 years; E=file closed

SOCIAL SERVICES DEPARTMENT

Commissioner's Office

GENERAL CLASS OF RECORDS

Social Services Programs (S06)

PERSONAL INFORMATION BANKS (PIB)

Accounts Payable (F01) see page 3

Business Affairs and Financial Management

GENERAL CLASS OF RECORDS

Social Services Payments (F05)

PERSONAL INFORMATION BANKS (PIB)

Court Client Files (S09) see Income Support

Family Support Worker (FSW) Files (S09) see Income Support

Landlord Lease Agreements (L34) see Housing Services

Hostel Client Intake Forms (S17)

Income Support Case Files (S08) see Income Support

Trust Accounts (F34) see Finance, Accounting

HOSTEL CLIENT INTAKE FORMS (S17)

Legal Authority:

Ontario Works Act, 1997, c.25

Information Maintained:

Name, gender, marital status, DOB, SIN, health card no., status in Canada, whether or not sponsored, personal information on other family members - same as for applicant, signature of applicant and witness

Uses:

Assess initial and on-going hostel support and to refer clients to appropriate services. Physical verification (i.e. photocopied documents) of any of the above information may be required for enhanced verification (M.C.S.S.)

Users:

Hostel workers, case workers, administrative staff, supervisors, M.C.S.S

Individuals in Bank:

Client individual seeking shelter for themselves and family

Retention and Disposal:

C+6 years

Income and Employment Support Division

Includes Ontario Works

GENERAL CLASS OF RECORDS

Social Services Payments (F05)

Bank Account Records and Reconciliations (F14)

PERSONAL INFORMATION BANKS (PIB)

Employment Client Files (S11)

Family Support Worker (FSW) Files (S09)

Funeral Files (S08)

Homemakers and Nurses Records (S06)

Income Support Case Files (S08)

Ontario Works Client Psychological Assessments (S04)

Program Registration Cards/Forms (S06)

Social Benefits Tribunal (SBT) (S07)

Special Requests for Clients to the Ministry of Community and Social Services (M03)

EMPLOYMENT CLIENT FILES (S11)

Legal Authority:

Ontario Works Act, 1997, c.25

Child Care and Early Years Act, 2014

Regulated Health Professions Act, 1991 (RHPA); s.2 - Health Professions Procedural Code

Information Maintained:

Name, address, telephone no., DOB, no. of dependents, DOB of dependents, marital status, length of time on Ontario Works, family benefits allowance, child care requirements or present arrangements, source of referral, date of interview, SIN, education and employment history, description of barriers to employment and vocationally related plan(s) of action, description of referrals, payment reasons and action, various consents, correspondence to clients and language spoken\written. For participants receiving subsidized formal child care in addition to the above, a day care file includes the following: name, address, telephone no., DOB, marital status, birth place, dependents name, address, DOB and school, emergency contact, brief description of reasons child care is required, list of assets and income, debt, any special health and welfare concerns and notice of day care

Uses:

To assist participants and monitor progress in steps required to move towards re-entry to the labour force

Users:

Counsellors, Day Care Co-ordinator and supervisors

Individuals in Bank:

On-going recipients who are in receipt of Ontario Works

Retention and Disposal:

E+6 years; E=no longer client

FAMILY SUPPORT WORKER (FSW) FILES (S09)

Legal Authority:

Ontario Works Act, 1997, c.25

Information Maintained:

Name, address, telephone no., DOB, marital status, place of employment, respondent's relatives names, addresses and telephone numbers, comments and recommendations, case plan, types and amounts of income and expenses, respondent's SIN and health card numbers, respondent's vehicle type, school names, life insurance details, list of assets and present values, list of debts, consent to release information forms, lawyer's name, address and telephone no., letters to respondents, recommendations by a family counsellor as a result of a special investigation, Children's Aid Society involvement letters, lawyer's letters, court orders, domestic contracts, service notices, Support and Custody Enforcement confirmation letters, payment history, filing packages, statement of arrears (monies owing), assignments, directions, legal aid referrals and consents to release information, court applications, computer input forms and statutory declarations

Uses:

Used to assist Ontario Works financial assistance in obtaining support for a child/children such as court orders, enforcement activities, lawyers' letters, court case, support and financial records and notes. Also used to assess on-going eligibility for assistance.

Users:

Court workers and supervisory staff

Individuals in Bank:

Participants of Ontario Works financial assistance and FBA who require assistance in obtaining child and spousal support

Retention and Disposal:

E+6 years; E=case settled or FSW file closed

FUNERAL FILES (S08)

Legal Authority:

Cemeteries Act, O. Reg. 130/92

Ontario Works Act, 1997 Regulations (General), O. Reg. 134/98, s.59

Information Maintained:

Death and birth certificates, certificates for plot of land for client, deed of land and related forms and correspondence to/from funeral homes

Uses:

Subsidy or payment of funeral for indigent funeral at a cost of up to \$1,930.00 plus \$1000.00 for burial

Users:

Social Services - Income Support Division, funeral homes, cemeteries/crematoriums

Individuals in Bank:

Client

Retention and Disposal:

E+6 years; E=terminated without an active overpayment

HOMEMAKERS AND NURSES RECORDS (S06)

Legal Authority:

Homemakers and Nurses Services Act, R.S.O. 1990, c. H.10

Information Maintained:

Name, address, telephone no., marital status, SIN, health card no., medical examination information, consent to release information, immigration status, family members, gender, date and place of birth, health, reasons for need, type of income and assets, debts, living costs, family and individual circumstances, provider agency and rates

Uses:

To facilitate and monitor service delivery

Users:

Income Support Division and provider agencies

Individuals in Bank:

Applicants who apply for homemakers and nurses services

Retention and Disposal:

C+5 years

INCOME SUPPORT CASE FILES (S08)

Legal Authority:

Ontario Works Act, 1997, c.25

Information Maintained:

Client/spouse/dependents name, address, telephone no., health card no., SIN, DOB, previous application and amount received for education, health status, next of kin, reason for assistance, marital status, comments and recommendations, case plan, date, amount and type of last income/employment, type and cost of current housing, landlord's name, address and telephone no., list of assets and their utilization for last 3 years, residences for the last 12 months, immigration status, school and grade of dependents and name and relationship of renters/boarders, employment history, types and amounts of income/ revenue, life insurance details, special items, other financial resources, statutory declarations, job search referrals and reports, parents' name, address and telephone no., family functional assessments, recommendations by a family counsellor as a result of a special investigation, various consents, client/department agreements, letters of direction to clients, barriers to employment, direct payment reasons/ actions and medical exams.

Uses:

Assess initial and on-going eligibility for assistance and to refer clients to appropriate services. Physical verification (i.e. photocopied documents) of any of the above information may be required for enhanced verification (M.C.S.S.)

Users:

Case workers, administrative staff and supervisory staff

Individuals in Bank:

Applicants for assistance and other family members

Retention and Disposal:

E+6 years; E=terminated without an active overpayment

ONTARIO WORKS CLIENT PSYCHOLOGICAL ASSESSMENTS

Legal Authority:

OACCPP – An Association of Mental Health Professionals – Standards of Practice

The College of Psychologists of Ontario – Standards of Professional Conduct

Information Maintained:

Name, address, postal code, telephone no. for consent form. All correspondence and documentation received from community organizations such as Children Aid Society.

Uses:

Psychological Assessments Report of Ontario Works clients for the purpose of referring certain clients to Ontario Disability Support Program

Users:

Social Services Staff and referring Psychologist

Individuals in Bank:

Ontario Works Clients referred to Ontario Disability Support Program

Retention and Disposal:

E+10; E=date of report prepared by Psychologist

PROGRAM REGISTRATION CARDS/FORMS (S06)

Legal Authority:

Ontario Works Act, 1997, c.25

Information Maintained:

Name, address, postal code, telephone no., payment (when applicable) and summary of participation in program activities

Uses:

Provides statistical data for program planning and evaluation

Users:

Social Services staff

Individuals in Bank:

Individuals who have enrolled in various programs

Retention and Disposal:

C+5 years

SOCIAL BENEFITS TRIBUNAL (SBT) (S07)

Legal Authority:

Ontario Works Act, 1997, c.25

Information Maintained:

Name, address, telephone no., DOB, reason for assistance, marital status, comments and recommendations, case plan, date, amount and type of last income/employment, type and cost of current housing, list of assets and their utilization for last 3 years, health card no, SIN, residences for the last 12 months, immigration status, name, DOB, school and grade of dependants, name and relationship of renters/boarders, employment history, types and amounts of income/revenue, life insurance details, any special items, any other financial resources, statutory declarations, job search referrals and reports, parents name, address and telephone no., brief family functional assessments, recommendations by a family counsellor as a result of a special investigation, various consents, client/department agreements, letters of direction to clients, barriers to employment, direct payment reasons and actions, medical examination information, reports, letters and telephone messages concerning possible fraud, employer reports, assessment role information, voters' list information, driver's licence no., bank searches, credit checks and family court records

Uses:

Law Enforcement of Ontario Works

Users:

Case workers, eligibility review officers, police and Crown Attorney

Individuals in Bank:

Clients under investigation

Retention and Disposal:

E+6 years; E=appeal finalized

SPECIAL REQUESTS FOR CLIENTS TO THE MINISTRY OF COMMUNITY AND SOCIAL SERVICES (M03)

Legal Authority:

Ontario Works Act, 1997, c.25

Information Maintained:

Inquiries by clients regarding special requests; each one is different, although most contain a name, address and telephone no. of the client in addition to the unique issues

of each case. Responses by the department are by correspondence, outlining the unique circumstances of the case.

Uses:

Response to inquiries and claims

Users:

Income Support Administrator, assistant and secretary

Individuals in Bank:

Clients who have made a special request

Retention and Disposal:

C+6 years

Children's Services Division

GENERAL CLASS OF RECORDS

Child Care and Early Years Funding (F39)

Child Care and Early Years Provider Operations (S13)

Child Care Operator/Client Attendance Records (S18)

Personal Information Banks (PIB)

Behaviour Management Client Files (S14) includes video and audio tapes

Child Care Client Files (S12)

Child Care Placement and Subsidy Records (S12)

Computer Client Database (OCCMS)

Directly Operated Child Care Client Files (S03)

BEHAVIOUR MANAGEMENT CLIENT FILES (S14)

Includes video and audio tapes

Legal Authority:

Child and Family Services Act, R.S.O. 1990, c. C.11

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions

Procedural Code

Information Maintained:

Family Information: name, gender, DOB, home (or group home) address, parent/guardian's name, additional support in-home name, telephone numbers (home

and work, both parents if possible), siblings' names, gender(s), DOB, name of person/agency referring to our service, language of choice.

Service Information:

Whether service provided previously, was service received other agencies, agency name, contact person, complete address, date and whether there is a signed Form 14 on file.

Medical Information:

Recurring illness or medical problems, any major medical problems in the past, any further medical information required (Form 14), name of contact person, description of any handicaps client may have and medication recently taken and reason for taking medication

Domestic Environment:

Parent(s) client lives with, names of others aside from siblings living in the home (specify); If client lives under custody/supervision other than parental, describe school name and grade, name of daycare/nursery school attended by client, address and contact person, etc. if necessary.

Behaviour Description:

Where/When/How often do(es) behaviour(s) occur? What aspect of the behaviour concerns you the most? How do you manage it? Describe any factors/family events that may affect the behaviour; impact on each member of the family, developmental competencies and weaknesses (delays or deficits in sensory or motor abilities), speech problems, language problems, thinking disorders, emotional behaviours, learning disabilities, child's strengths, participation, etc. in clubs and social groups, friendships (strength of friendships), disturbances in habit patterns, developmental history, information related to pregnancy and delivery (complications, health problems) and summary of contact with non-custodial parent, parent's experience (as children) with discipline.

Family History:

Number of marriages (and their history), psychiatric, educational and employment history, stressors (environmental), siblings' problems (medical, educational, social, etc.), sources of support for family, summary of client's relationship with each family member and strengths of family

Uses:

To alleviate behavioural problems in Individuals between the ages of 2 and 21

Users:

Behaviour Management Services staff

Individuals in Bank:

Name of clients, parent/guardian(s) name, other in-home support names, name of person/agency making referral, other agency names and contact persons

Retention and Disposal:

E+7 years; E=discharge of client

CHILD CARE CLIENT FILES (S12)

Legal Authority:

Child Care and Early Years Act, 2014; O. Reg. 137/15 & 138/15

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions
Procedural Code

Information Maintained:

Children's files with parent name, address, emergency contacts, medical information including health card no., consent for field trips, consent for medical treatment, custody papers (if applicable), authorization for medication, signed parent policies, serious occurrence/accident reports, individual program plans (if applicable) and general correspondence/instructions from parents/doctors/agencies involved with the child and family

Uses:

Day-to-day operation of the centres

Users:

Supervisors and staff of child care centres, public health nurses and representatives of the Ministry of Community and Social Services

Individuals in Bank:

Individuals requiring child care services

Retention and Disposal:

E+7 years; E=child no longer under care and terminated without an active overpayment

CHILD CARE PLACEMENT AND SUBSIDY RECORDS (S12)

Legal Authority:

Child Care and Early Years Act, 2014; O. Reg. 137/15 & 138/15
Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions
Procedural Code

Information Maintained:

Signed advice notices, consent to disclose forms, (if applicable), child's and parent's names, address, telephone numbers, child's DOB, parent's workplace, child's school, emergency contacts, doctor's name and telephone no., any agencies involved, type and place of care and dates, parents' fee, special needs of child (if any), if child is toilet-trained, other family members, liquid assets, monthly income, monthly budgetary needs and consent to inspect assets

Uses:

To determine eligibility for child care placement and subsidy

Users:

Staff of Administrative Services, Income Support and Child Care Divisions

Individuals in Bank:

Applicants for child care placement and subsidy and other family members

Retention and Disposal:

E+7 years; E=child no longer under care and terminated without an active overpayment

COMPUTER CLIENT DATABASE (OCCMS)

Legal Authority:

Child Care and Early Years Act, 2014; O. Reg. 137/15 & 138/15

Information Maintained:

Child and parents name, address, telephone numbers, child's DOB, parents workplace, child's school, emergency contact, doctor's name and telephone no., agencies involved with family, start date, termination date, program/centre child attends, parents fee, date of application, special needs, ESI client and general comments and financial data

Uses:

Process billings and statistical information

Users:

Child Care Administration staff

Individuals in Bank:

Persons receiving subsidy

Retention and Disposal:

C+6 years

DIRECTLY OPERATED CHILD CARE CLIENT FILES (S03)

Legal Authority:

Child Care and Early Years Act, 2014; O. Reg. 137/15 & 138/15

Information Maintained:

Child and parents name, address, telephone numbers, child's DOB, parents workplace, child's school, emergency contact, doctor's name and telephone no., agencies involved with family, admission, consent and authorization forms, start date, termination date, program/centre child attends, parents fee, date of application, daily routine tracking, child accident reports, special needs, ESI client and general comments and financial data

Uses:

Maintain current information on children using the facility.

Users:

Child Care Administration staff

Individuals in Bank:

Persons receiving subsidy

Retention and Disposal:

E+2 years; E=child no longer under care

Family Services

Includes Employee Assistance Program (EAP)

GENERAL CLASS OF RECORDS

Accounts Receivable (F03)

PERSONAL INFORMATION BANKS (PIB)

Adult Protective Services Client Records (S10) Includes audio and video tapes

Family Counselling Files (S10) includes audio and video tapes

ADULT PROTECTIVE SERVICES CLIENT RECORDS (S10)

Includes audio and video tapes

Legal Authority:

Developmental Services Act, R.S.O. 1990, c. D.11

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions
Procedural Code

The College of Psychologists of Ontario – Standards of Professional Conduct
College of Registered Psychotherapists of Ontario (CRPO) - Professional Practice
Standards for Registered Psychotherapists

Information Maintained:

Name, address, telephone #, DOB, SIN, health card #, marital status, place of birth, next of kin, personal history, source of income, medical history, psychological assessments, life skills, education, financial information, agency information and case management plans

Uses:

Adult Protective Service Worker uses the information for advocating on behalf of the client and case management. Co-ordinator uses the information to evaluate and supervise the Adult Protective Service Worker's practice

Users:

Adult Protective Service Worker and co-ordinator

Individuals in Bank:

Adults over the age of 18 with the diagnosis of developmentally handicapped.

Retention and Disposal:

E+10 years; E=no longer client

FAMILY COUNSELLING FILES (S10)

Includes audio and video tapes

Legal Authority:

Ontario Works Act, 1997, c.25

Regulated Health Professions Act, 1991 (RHPA); Schedule 2 - Health Professions
Procedural Code

The College of Psychologists of Ontario – Standards of Professional Conduct
College of Registered Psychotherapists of Ontario (CRPO) - Professional Practice
Standards for Registered Psychotherapists

Information Maintained:

Family data: name, DOB, address, telephone no., marital status psychological/social
history; names and DOB of children and siblings, psychological/social history of
extended family, medical/ counselling history, financial data and employment history

Uses:

Assessment, case management, evaluation and intervention; Also used to supervise
and evaluate counsellor's practice

Users:

Co-ordinator, Family Counsellors and support staff

Individuals in Bank:

Adults and children

Retention and Disposal:

E+10 years; E=no longer client; If the client was less than 18 years old at the time of his
or her last date of activity, record is to be retained 10 years from the day the client
became or would have become 18 years old

Housing Services Division

GENERAL CLASS OF RECORDS

Residential Development (D06)

PERSONAL INFORMATION BANKS (PIB)

Applicant/Tenant Files (S15)

Eligibility Review Officer (ERO) Files (L19)

Landlord Lease Agreements (L34)

Provider Projects (S16)

Regional Review Panel Appeals and Hearings (L37)

APPLICANT/TENANT FILES (S15)

Legal Authority:

Housing Services Act, 2011, c.6

Residential Tenancies Act 2006, c.17

Information Maintained:

Applications, tenant and household member names, address, telephone no, DOB, SIN, status in Canada, income statements and information, asset statements and information, name/address/ telephone of next of kin, notes and correspondence and Durham Regional Local Housing Corporation (DRLHC) lease agreements.

Uses:

Eligibility for rent geared-to-income (RG), housing allowances, rent supplements, priority placement on the waiting list or special needs housing; DRLHC property management and tenancy agreements matters.

Users:

Social Services Department - Housing Services and Finance Department

Individuals in Bank:

Applicant, tenant and household members

Retention and Disposal:

E+7 years; E=no longer an applicant or until tenant vacates or deceased.

ELIGIBILITY REVIEW OFFICER (ERO) FILES (L19)

Legal Authority:

Housing Services Act, 2011, Chapter 6

Information Maintained:

Tenant and household member names, address, telephone no., DOB, SIN, status in Canada, income statements and information, asset statements and information, decisions, notes and correspondence pertaining to investigations of misrepresentation in relation to the receipt of rent-geared-to-income (RGI) assistance.

Uses:

To investigate alleged misrepresentation in relation to the receipt of rent-geared-to-income (RGI) assistance and possible referral to law enforcement

Users:

Social Services Department - Housing Services

Individuals in Bank:

Tenant and other household members

Retention and Disposal:

E+7 years; E=end of investigation

FAMILY SUPPORT WORKER (FSW) FILES (S09)

Legal Authority:

Housing Services Act, 2011, c.6

Information Maintained:

Tenant, payor and household member names, address, telephone number, DOB, SIN, Family Responsibility Office case number, income statements and information, decisions, court orders, enforcement activities, lawyers' letters, court case, support and financial records, notes and correspondence pertaining to pursuit of support income.

Uses:

To assist tenants to pursue support income in relation to eligibility for rent-geared-to-income (RGI) assistance.

Users:

Social Services Department - Housing Services

Individuals in Bank:

Tenants and other household members, support payor

Retention and Disposal:

E+7 years; E=case settled or FSW file closed

LANDLORD LEASE AGREEMENTS (L34)

Legal Authority:

Housing Services Act, 2011, c.6

Information Maintained:

Authorization to lease, signed rent supplement agreements and signed addendums to the agreements

Uses:

To authorize payment of rent supplement/housing allowances to landlords

Users:

Social Services Department - Housing Services and Finance Department

Individuals in Bank:

Landlord

Retention and Disposal:

E+7 years; E=end of agreement/payment of rent supplement

PROVIDER PROJECTS (S16)

Legal Authority:

Housing Services Act, 2011, c.6

Information Maintained:

Provider name, address, telephone no., service agreement, correspondence, mortgage and loan documentation, subsidy agreement, incorporation documents, operating agreements, statement of claims, operational review audits, and budget information

Uses:

Documentation required for housing providers.

Users:

Social Services Department - Housing Services, Finance Department, Corporate Services Department - Legislative Services and Ministry of Municipal Affairs and Housing

Individuals in Bank:

Provider

Retention and Disposal:

E+2 years; E= no longer a provider.

REGIONAL REVIEW PANEL APPEALS AND HEARINGS (L37)

Legal Authority:

Housing Services Act, 2011, c.6

Information Maintained:

Appellant name, address and telephone no., names of other household members, decisions, notes and correspondence pertaining to Regional Review requests and hearings. It may contain DOB, status in Canada, income statements/information and asset statements/information pertaining to appellant or other household members.

Uses:

To review eligibility decisions pertaining to rent geared-to-income (RGI), priority placement on the waiting list and special needs housing as requested by appellant.

Users:

Social Services Department - Housing Services and members of the Regional Review Panel

Individuals in Bank:

Appellant

Retention and Disposal:

C+6

Long Term Care and Services for Seniors

GENERAL CLASS OF RECORDS

Accounts Receivable (F03)

Receivables Reporting (F04)

Invoice Requisitions (F13)

Annual Compliance Reviews - Public Information

Annual Facility Review Report - Ministry of Health - Long Term Care

Long Term Care and Services for Seniors (S01)

Job Vacancies (H23)

Residents - Diet and Nutrition (P11)

PERSONAL INFORMATION BANKS (PIB)

Health and Safety (H05) see Human Resources

Resident Accounting Records (F03, F04)

Long Term Care - Accommodation and Trust (F35) See Finance, Accounting

Long Term Care and Services for Seniors; includes waiting list and resident activity (S01)

Residents - Permanently Discharged or Deceased (from July 1, 2005) (S02)

Residents - Permanently Discharged or Deceased (prior to July 1, 2005) (S99)

Residents Registers (S05)

Trust Accounts (F34) see Finance, Accounting

LONG TERM CARE AND SERVICES FOR SENIORS (S01)

Includes Waiting List and Resident Activity Records) (S01)

Legal Authority:

Long-Term Care Home Act, 2007 - O. Reg. 79/10

Information Maintained:

Name, marital status, contact (name, address, telephone no., relation), past occupation, education, religion, language, family information, diagnoses, physical/cognitive/social/emotional assessment, hobbies/activities, interests, volunteer services, barriers to recreation, religious/spiritual and diet needs, program goals, attendance notes and progress notes (therapy).

Uses:

Record resident personal information, interests and activities levels in order to develop an appropriate activities plan and to monitor attendance and progress

Users:

LTC Activity staff, nursing staff and contact

Individuals in Bank:

Residents who participate in activation programs and therapy and contacts

Retention and Disposal:

C+5 years

RESIDENT ACCOUNTING RECORDS (F03, F04)

Legal Authority:

Long-Term Care Home Act, 2007 - O. Reg. 79/10

Information Maintained:

Name, address, gender, DOB, place of birth, marital status, citizenship, parents (name birth place), income, assets, spouse name, address, income/file numbers, assets, settlements and court orders if applicable), children (name, address, age), family physician, religious advisor, person to be notified (name, address, telephone no.), occupation, recent residence information, current living arrangements, personal activities levels, income, income sources (name, amount, occupation if contributions from relatives, benefits and pensions file numbers), assets, debts, bank account, safety deposit box, health insurance information, funeral/cemetery and power of attorney information (if applicable), resident financial transactions, signed declaration, final maintenance statements, estate letters, income tax record, trust account records, extended care records and admission agreement

Uses:

Provide personal, family, financial background and on-going daily financial transactions updates on residents for reference and transaction processing and data for statistical (financial) reports

Users:

LTC accounting department staff, Finance Department staff, residents, person holding power of attorney and solicitors for the estate

Individuals in Bank:

Residents of LTC, family members, relatives, family physician, religious advisor and person holding power of attorney

Retention and Disposal:

C+6 years

RESIDENTS DIET AND NUTRITION (P11)

Legal Authority:

Long-Term Care Home Act, 2007 - O. Reg. 79/10

Regulated Health Professions Act, 1991 (RHPA); s.2 - Health Professions Procedural Code

Information Maintained:

Name, DOB, family physician, diagnosis, laboratory data, height, weight, physical condition, medications ordered, diet order, supplements required, nutritional plan/goals, special dietary requests, concerns and progress notes

Uses:

Record physical and diet needs, likes and dislikes and responses to diet to help formulate and monitor on-going diet plans and assure that changing needs are met

Users:

LTC food services staff and consulting dietician

Individuals in Bank:

Residents of LTC and family physician

Retention and Disposal:

E+10 years; E=permanently discharged or deceased

RESIDENTS - PERMANENTLY DISCHARGED OR DECEASED (FROM JULY 1, 2005) (S02)

Legal Authority:

Long-Term Care Home Act, 2007 - O. Reg. 79/10

Regulated Health Professions Act, 1991 (RHPA); s.2 - Health Professions Procedural Code

Information Maintained:

Resident file including application, admission agreement, trust authorization, health card no. copy of power of attorney, patient accident/incident reports and investigations, medical, nursing, activation, dietary, consultations, laboratory, therapies, medications, orders

Uses:

Complete resident profile for care planning

Users:

Administration, nursing, legal, physicians, other disciplines as required

Individuals in Bank:

Residents

Retention and Disposal:

E+10; E=permanently discharged or deceased (S02)

RESIDENTS REGISTERS (S05)

Legal Authority:

Long-Term Care Home Act, 2007 - O. Reg. 79/10

Information Maintained:

Information included under entry for resident accounting records personal information bank plus admission date, family members (telephone no, relationship), SIN, health card no., accommodation/ coverage details, drug eligibility no., language, transferring institution, referral information, religious affiliation, contacts (name, address, telephone no., relationship), functional assessment and care requirements, personal/social history, placement concerns (client, family), attending physician, name, medical certificate information, community agencies involvement, consents (information release, inspect assets), vehicle information and telephone numbers.

Uses:

Record resident admission information for reference and provide data for statistical reports

Users:

LTC admitting, accounting, social work and nursing staff, Ministry of Community and Social Services and Ministry of Health

Individuals in Bank:

Applicants and individuals admitted to LTC, contacts, family members, relatives, family physician, religious advisor and power of attorney

Retention and Disposal:

E; E=life of the home

Works Department

Commissioner's Office

GENERAL CLASS OF RECORDS

Emergency Management Program (P02)

Environmental Monitoring (E02)

Mapping (D25)
Strike Plans (H15)

PERSONAL INFORMATION BANKS (PIB)

Claims By/Against the Region and Clients (L02) see page 3

Environmental Services

Compliance
Engineering Planning and Studies
Environmental Services Design
Plant Operations
Technical Support

Compliance

GENERAL CLASS OF RECORDS

Regulatory Approvals – L08

Engineering Planning and Studies

GENERAL CLASS OF RECORDS

Engineering/Technical Studies (D05)
Engineering Planning and Studies - Development Review (D32)
Environmental Assessments (E03)
Environmental Monitoring (E02)
Environmental Planning (D04)
Groundwater Exploration Program (E17)
Hydrogeologic - General (E16)
Hydrogeological Modeling (E15)
Monthly Log Sheets and Plant Flows (O13)
Municipal Wells (E13)
Non-Potable Groundwater Requests (D15)
Official Plans and Amendment Applications - Area Municipalities (D13)
Official Plans and Amendment Applications - Region (D12)
Permits (L07)
Pit and Quarry Licences (D31)
Private Well Interference/Complaints (E07)
Sewage Treatment Facilities (O12)
Source Water Protection - Technical Studies and Information (E19)
Source Water Protection - Risk Assessments and Prescribed Instruments (E21)
Water Treatment Facilities (O11)

Environmental Services Design

GENERAL CLASS OF RECORDS

Design Projects (O02)

Engineering/Technical Studies (D05)

Plant Operations

GENERAL CLASS OF RECORDS

Monthly Log Sheets and Plant Flows (O13)

Sanitary/Storm Sewer Maintenance (O09)

Water Treatment Facilities (O11)

Sewage Treatment Facilities (O12)

Water Maintenance (O15)

Technical Support

Includes Environmental Lab

GENERAL CLASS OF RECORDS

Chemical Analytical and Engineering Reports (E11)

Drawings - System Maps (O01)

Energy Management Program (O14)

Engineering/Technical Studies (D05)

Environmental Monitoring (E02)

Fuel Pipelines (E23)

Monthly Log Sheets and Plant Flows (O13)

Microbiological Analytical Reports (E10)

NPRI/ONT Reg. 127/01 Reporting (E14)

Sanitary/Storm Sewer Maintenance (O09)

Sewer and Water Applications (O07)

Sewer Treatment Facilities (O12)

Sewer Use By-law Enforcement and Monitoring of Industry Discharges (E11)

Source Water Protection - Administration and Annual Reports (E18)

Source Water Protection - Notices and Orders (E22)

Source Water Protection - Risk Assessments and Prescribed Instruments (E21)

Source Water Protection - Risk Management Plans (E20)

Source Water Protection - Technical Studies and Information (E19)

Supervisor's Yearly Diaries (O27)

Water Treatment Facilities (O11)

Waterworks Compliance Monitoring (E12) includes annual reports

Water Maintenance (O15)

PERSONAL INFORMATION BANKS (PIB)

Basement Flooding Report/Exgratia Grant Payment (L02) or Risk Management (L09)
Road Occupancy Application/Permit (L07)
Sewer Connection Cleaning and Inspection Reports (O09)/or Plant Operations
Water Supply System Consumers Complaints (M03)

BASEMENT FLOODING REPORT/EXGRATIA GRANT PAYMENT (L02)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Owner's name, address, telephone no.

Uses:

Record of flooding events, grants paid

Users:

Technical Support, Design Division and Maintenance Operations Division staff, Finance Department (insurance) and Legal Services

Individuals in Bank:

Owners, tenants

Retention and Disposal:

E+15; E=resolution of claim and all appeals

ROAD OCCUPANCY APPLICATION/PERMIT (L07)

Legal Authority:

Conservation Authorities Act, R.S.O. 1990, c. C.27

Municipal Act, 2001, c.25

Information Maintained:

Name, address, telephone number, date, street to be occupied, times for road closure, sketch, height, width, moving firm

Uses:

Historical record, arrange for permits to take water, road occupancy, moving and closing, curb cuts, banner, vendor, special events and films

Users:

Works Department - Engineering Planning and Studies, Maintenance Operations Division, and Technical Support Division and staff

Individuals in Bank:

Applicants

Retention and Disposal:

E+6 years; E=expiry of permit

SEWER CONNECTION CLEANING AND INSPECTION REPORTS (O09)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, address, telephone no., date, time, type of work completed

Uses:

Historical information, future events, to determine need for replacement of connection

Users:

Technical Support and Maintenance Operations Division staff

Individuals in Bank:

Owners, tenants

Retention and Disposal:

Until service is replaced

WATER SUPPLY SYSTEM CONSUMERS COMPLAINT (M03)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Date, time, name, address, telephone no., nature of complaint, investigation, action taken

Uses:

Historical records, to determine future maintenance requirements

Users:

Technical Support, Maintenance Operations and Plant Operations staff

Individuals in Bank:

Owners, tenants

Retention and Disposal:

Until service is replaced

Support Services

Includes Administration, Real Estate, Development Approvals and Facilities Management

Administrative Services and Real Estate

GENERAL CLASS OF RECORDS

Contracts and Agreements – Under Seal – Working Papers (L30)

County Acquisitions (C15)

County Deeds (C15)

Journal Vouchers (F18)

Land Acquisition, Sale and Easements (L10)

Maintenance Management Activity Sheets (O20)

Maintenance Management Distribution Reports (O10)

Property History (18)

Development Approvals

GENERAL CLASS OF RECORDS

Land Division Comments - Complex Applications (D26)

Land Division Comments - Minor Applications (D29)

Site Plan Applications/Servicing (O21)

Subdivision Plans (Registered Plans) (D16)

Zoning (D18)

PERSONAL INFORMATION BANK

Local Improvement (D35)

LOCAL IMPROVEMENT (D35)

Legal Authority:

Municipal Act, 2001; O. Reg. 586/06 Local Improvement Charges

Information Maintained:

Owner name, address, telephone number

Uses:

Owner-initiated requests for services related to sewer, water, noise attenuation walls, etc. administered pursuant to the Municipal Act, 2001.

Users:

Works Department - Development Approvals staff; Corporate Services Department - Legislative Services - Council Services staff

Individuals in Bank:

Owners requesting services

Retention and Disposal:

E+5 years; E=closure of project/completion of project

Facilities Management

GENERAL CLASS OF RECORDS

Environmental Assessments (E03)

Mobile, Process, Protective and Transportable Equipment (V03)

Permits (L07)

Facility Design, Construction and Asset Management

GENERAL CLASS OF RECORDS

Building Condition Assessments (BCA) (O33)

Facility Design and Construction (O08)

Local Housing Capital Projects (O34)

Facility Maintenance & Operations

GENERAL CLASS OF RECORDS

After Hours Calls (O22)

PERSONAL INFORMATION BANKS (PIB)

Regulatory Approvals (L08) see page 5

Video Surveillance Recorded Information (O28) see Information Technology

Transportation & Field Services

Construction Management

GENERAL CLASS OF RECORDS

Drawings (O01)

Mapping (D25)

Road and Lane Closures (T04)

Maintenance Operations

Includes Fleet and Depots

GENERAL CLASS OF RECORDS

Call Out Report (O22)

Fuel Inventory (V05) daily and monthly inventory of gas/dispensing/daily dips

Ministry of Labour Trench Record Log (O20)

Operational Inspections (O29)

Road Maintenance (O19)

Sewer and Water Applications (O07)

Utilities - Locates (O32)

Vehicle History Files (V01) odometer/hour reading for each vehicle and fuel used for month

Vehicle Inspection Reports under Highway Traffic Act (V00) Daily Pre-trip Inspections

Water/Sewer Repairs or New Installation (O30)

Oshawa-Whitby Depot and Fleet

GENERAL CLASS OF RECORDS

Soil Reports (O31)

Vehicle History Files (V01)

Vehicles Inventory (V02)

Traffic Engineering and Operations

GENERAL CLASS OF RECORDS

Drawings (O01)

Permits (L07)

Traffic Development Review (D27)

Traffic Signals (T01)

Traffic Signal Drawings (Mylar) (T06)

PERSONAL INFORMATION BANKS (PIB)

Motor Vehicle Accident Reports (T02)

MOTOR VEHICLE ACCIDENT REPORTS (T02)

Legal Authority:

Highway Traffic Act, R.S.O. 1990, c. H.8

Information Maintained:

Driver and other involved persons (name, address, telephone no., gender, DOB, age), driver's licence information and status, breathalyser administration, witnesses names, insurance information, accident details/diagrams, name of person contacted, coroner's name and telephone no.

Uses:

Provide statistical information to improve safety on regional road system and for liability claims

Users:

Appropriate traffic staff, finance and risk management staff, solicitor and approved consultants

Individuals in Bank:

Drivers involved in motor vehicle collisions within the Region, involved persons, witnesses, contact, coroner

Retention and Disposal:

C+10 years paper copy retained C+2 years, electronic copy C+10 years

Transportation Design

GENERAL CLASS OF RECORDS

Design Projects (O02)

Traffic (T02)

Transportation Monitoring (T03)

Transportation Master Plan (D28)

Transportation Infrastructure

GENERAL CLASS OF RECORDS

Culvert and Bridge Inspection Report (O25)

Transportation/Traffic Planning (D21)
Utility Applications and Plans (D33)

PERSONAL INFORMATION BANKS (PIB)

Permits (L07) Property Access Application/Entrance Permits

PERMITS (L07) PROPERTY ACCESS APPLICATION/ENTRANCE PERMITS

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Owner's name, address, telephone no., date, type of entrance

Uses:

Historical record, obtain access to buildings

Users:

Traffic Operations, Maintenance Operations and Technical Support staff

Individuals in Bank:

Applicants

Retention and Disposal:

E+6; E=expiry of permit

PERSONAL INFORMATION BANKS (PIB)

Claims By/Against the Region and Clients (L02) see page 3

Waste Management

GENERAL CLASS OF RECORDS

By-law Infractions including Industrial Waste (P01)

Engineering/Technical Studies (D05)

Environmental Monitoring (E02)

Environmental Planning (D04)

NPRI/ONT Reg. 127/01 Reporting (E14)

Landfill Sites (E09)

Mobile, Process, Protective and Transportable Equipment (V03)

Waste Management Operations (O24)

Waste Reduction Programs (O23)

PERSONAL INFORMATION BANKS (PIB)

Compost Drum Distribution List (O23)

Inquiry Records (M03)

COMPOST DRUM DISTRIBUTION LIST (O23)

Legal Authority:

Environmental Protection Act, R.S.O. 1990, c. E19

Waste Diversion Act, 2002, S.O. 2002, c. 6

Information Maintained:

Name, address, telephone no.

Uses:

Follow-up correspondence, newsletters and questionnaires

Users:

Technical Support staff

Individuals in Bank:

Persons who have purchased a composter

Retention and Disposal:

C+5 years (Archival Review)

INQUIRY RECORDS (M03)

Legal Authority:

Municipal Act, 2001, c.25

Information Maintained:

Name, address and telephone no. of person inquiring, address, lot, plan no. of subject property, status of servicing (i.e. water and sanitary sewer), and outstanding charges where applicable.

Uses:

Records maintained to ensure consistent answers are provided to similar inquiries

Users:

Administrative Services Division

Individuals in Bank:

Persons making inquiry

Retention and Disposal:

Permanent