



**Information, Privacy and Archives
Division**


**Government of Ontario Function-Based
Common Records Series: Occupational
Health and Safety**

December 2014

AUTHORIZATION

**Government of Ontario Function-Based Common Records Series:
Occupational Health and Safety (OHS)**

Approval under authority of the *Archives and Recordkeeping Act, 2006*:



James G. Hamilton, Archivist of Ontario

Date:

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Occupational Health and Safety

Function Acronym: OHS

Description

The function of implementing and coordinating occupational health and safety and associated legislation throughout the ministry. Includes safety policy and the monitoring of safe work practices, procedures and preventative measures. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

Activities Performed Under This Function

Acronym	Name
ACC	Accidents
CAS	Cases
CLA	Claims
CMM	Committees
CMP	Compliance
ISP	Inspections
PLA	Planning
PRO	Procedures
RPR	Representatives
RSK	Risk Management

For information about the function-based common records series and their use, please visit the [Function-Based Common Records Series](#) page on iNetwork.

Summary of Series

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
Accidents (ACC)				
OHS-ACC-001	Employee Workplace Accidents	CFY + 10 years	After investigation is completed or matters are resolved	Destroy
OHS-ACC-002	Public and Non-Employee Accidents	CFY + 10 years	After investigation is completed or matters are resolved	Destroy
Cases (CAS)				
OHS-CAS-001	Employee Workplace Violence	CCY + 10 years	After case is closed	Destroy
OHS-CAS-002	Employee Workplace Discrimination and Harassment	CCY + 10 years	After case is closed	Destroy
Claims (CLA)				
OHS-CLA-001	Workplace Safety and Insurance Board (WSIB) Cases	CFY + 50 years	After employment is terminated	Destroy
Committees (CMM)				
OHS-CMM-001	Joint Health and Safety Committee	CCY + 4 years	After actions are completed	Destroy
Compliance (CMP)				
OHS-CMP-001	Workplace Violence Prevention Program	CCY + 10 years	After program is terminated or replaced	Destroy
OHS-CMP-002	Workplace	CCY + 10 years	After program	Destroy

Series Number	Series Name	Retention Period	Closure Criteria	Final Disposition
	Discrimination and Harassment Program		is terminated or replaced	
OHS-CMP-003	Safe and Healthy Workplace Programs	CCY + 10 years	After program is terminated or replaced	Destroy
Inspections (ISP)				
OHS-ISP-001	Workplace Inspections	CCY + 7 years	After actions are completed	Destroy
Planning (PLA)				
OHS-PLA-001	Plans	CCY + 5 years	After plans are superseded	Destroy
Procedures (PRO)				
OHS-PRO-001	Operating Procedures	CCY + 5 years	After procedures are superseded or obsolete	Destroy
Representatives (RPR)				
OHS-RPR-001	Health and Safety Appointments	CCY + 2 years	After appointments lapse or representatives resign	Destroy
Risk Management (RSK)				
OHS-RSK-001	Health and Safety Assessments	CCY + 50 years	After actions are completed	Destroy

Activity: Accidents (ACC)

Description: The activities involved with dealing with mishaps causing injury or damage. Includes damage or injury to the ministry's property or to employees incurred while coming to, at, or leaving work, or to the general public or visitors while on the ministry's premises. Also includes processes relating to internal incident reports and reports to Workplace Safety and Insurance Board (WSIB) and other relevant authorities.

Series #: OHS-ACC-001	
Series Title: Occupational Health and Safety – Accidents – Employee Workplace Accidents	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-40 (Accident and Incident Reports) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After investigation is completed or matters are resolved
Total Retention	CFY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of recording, reporting, investigating and resolving matters related to medical treatment; lost time injury; disabling injury; critical injury / fatality or occupational diseases / illness.	
Contents:	
Records may include but are not limited to the Workplace Accident Report (incident / accident report) which is emailed by affected employee's manager to the Centre for Employee Health, Safety and Wellness (CEHSW), HROntario; and an email confirmation from the Regional Claims Coordinator indicating claim has been processed and submitted to the Workplace Safety and Insurance Board (WSIB) with an attached copy of the WSIB Form 7 and related correspondence.	
Records may also include copies of notifications to insurer; record of immediate notification to an inspector, health and safety committee, health and safety representative; details of notifications to the WSIB of the incident / accident; designation of Health and Safety Committee member to investigate the incident / accident and inspect the workplace location where the incident / accident occurred; written report of the circumstances of the incident / accident to a Director and to the Health and Safety Committee.	

Also may include copies of records of investigation by the ministry into incident; copies of investigation reports by law enforcement authorities, WSIB inspectors, etc. into the incident / accident; and health examination reports.

Also may include copies of orders and supporting documentation issued under the *Occupational Health and Safety Act (OHSA)*.

Notes:

An injury without medical treatment (first aid) is not submitted to the Centre for Employee Health, Safety and Wellness (CEHSW), but is kept by management as record of first aid treatment given to injured employee.

This series applies only in cases where ministries file these records separately from the individual employee files or Workplace Safety and Insurance Board (WSIB) files. (See Cross References below)

Cross References:

See Series EMP-ESH-002 (Employee Management – Employee Service History – Health and Wellness) for ministry records relating to employee accommodation and other health and wellness matters.

See Series OHS-CLA-001 (Occupational Health and Safety – Claims – Workplace Safety and Insurance Board [WSIB] Claims) for ministry records relating to claims filed to WSIB, investigations, etc.

Series #: OHS-ACC- 002	
Series Title: Occupational Health and Safety – Accidents – Public and Non-Employee Accidents	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-40 (Accident and Incident Reports) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After investigation is completed or matters are resolved
Total Retention	CFY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of recording, reporting, investigating and resolving matters related to accidents / incidents involving members of the public or other persons who are not employees of the OPS.	
Contents:	
Records may include but are not limited to incident / accident reports; notifications to insurer; records of investigation by the ministry into incident.	
Notes:	
Cross References:	

Activity: Cases (CAS)

Description: The activities associated with reporting, investigating and resolving incidents related to workplace violence, discrimination and harassment.

Series #: OHS-CAS-001	
Series Title: Occupational Health and Safety – Cases – Employee Workplace Violence	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1700 (Workplace Discrimination and Harassment and Human Rights Employee Case Files) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After case is closed
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of reporting, investigating and resolving a complaint related to workplace violence.	
Contents:	
Records may include but are not limited to official incident complaints by OPS staff, including background material and histories, union correspondence, legal correspondence, and investigation reports.	
Also may include copies of orders and supporting documentation issued under the <i>Occupational Health and Safety Act (OHSA)</i> .	
Notes:	
This series applies only in cases where ministries file these records separately from the individual employee files or Workplace Safety and Insurance Board (WSIB) files. (See Cross References below)	
Cross References:	
See Series EMP-ESH-002 (Employee Management – Employee Service History – Health and Wellness) for ministry records relating to employee accommodation and other health and wellness matters.	
See Series OHS-CLA-001 (Occupational Health and Safety – Claims – Workplace Safety and Insurance Board [WSIB] Claims) for ministry records relating to claims filed to WSIB, investigations, etc.	

Series #: OHS-CAS-002	
Series Title: Occupational Health and Safety – Cases – Employee Workplace Discrimination and Harassment	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1700 (Workplace Discrimination and Harassment and Human Rights Employee Case Files) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After case is closed
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in the process of reporting, investigating and resolving a complaint related to workplace discrimination and harassment.	
Contents:	
Records may include but are not limited to official incident complaints by OPS staff: the Workplace Discrimination and Harassment Complaint Form, including background material and histories, union correspondence, legal correspondence, and investigation reports and all other related correspondence with all ministry levels and Workplace Discrimination and Harassment Prevention section of the Centre for Employee Health, Safety and Wellness.	
Also may include copies of orders and supporting documentation issued under the <i>Occupational Health and Safety Act (OHSA)</i> .	
Notes:	
This series applies only in cases where ministries file these records separately from the individual employee files or Workplace Safety and Insurance Board (WSIB) files. (See Cross References below)	
Cross References:	
See Series EMP-ESH-002 (Employee Management – Employee Service History – Health and Wellness) for ministry records relating to employee accommodation and other health and wellness matters.	
See Series OHS-CLA-001 (Occupational Health and Safety – Claims – Workplace Safety and Insurance Board [WSIB] Claims) for ministry records relating to claims filed to WSIB, investigations, etc.	

Activity: Claims (CLA)

Description: The activity of dealing with the handling of claims for compensation and the rehabilitation of employees, or claims for the damage or destruction of personal property caused by an incident.

Series #: OHS-CLA-001	
Series Title: Occupational Health and Safety – Claims – Workplace Safety and Insurance Board (WSIB) Cases	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-50 (Individual Claims – WSIB) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After employment is terminated
Total Retention	CFY + 50 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used by the ministry in the process of making individual claims to the Workplace Safety and Insurance Board (WSIB).	
Contents:	
Records may include but are not limited to individual claims made to the WSIB by OPS employees. These include Form 7, attending physician reports, benefits history documentation, incident or injury / accident details, accident investigation reports, WSIB reports, Health Information Program forms, and other health information, correspondence, return to work plans/certifications, employment accommodation plans, and WSIB appeals.	
Notes:	
This series applies only in cases where ministries file these records separately from the individual employee files. (See Cross References below)	
Cross References:	
See Series EMP-ESH-002 (Employee Management – Employee Service History – Health and Wellness) for ministry records relating to employee accommodation and other health and wellness matters.	

Activity: Committees (CMM)

Description: The activities involved with managing committees including advisory committees and task forces (internal and external).

Series #: OHS-CMM-001	
Series Title: Occupational Health and Safety – Committees – Joint Health and Safety Committee	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-7050 (Committees – Internal Administration) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 4 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used to support the development and maintenance of healthy and safe workplaces within the OPS; and to document the formation, meetings and decisions of the Joint Health and Safety Committee (JHSC).</p>	
Contents:	
<p>Records may include but are not limited to records of the establishment of the committee, its terms of reference, memoranda of understanding, etc.; records of nomination, appointment, resignation or termination of committee members; meeting agendas and minutes; advice and briefing papers; submissions and reports; notifications to the Joint Health and Safety Committee (JHSC) of the results of the workplace violence risk assessments.</p> <p>Also includes copies of workplace violence risk assessments; recommendations to the employer and resulting responses; requests for information from the employer respecting potential or existing hazards, the conducting or taking of tests in or about the workplace for the purpose of occupational health and safety; employer responses to request for information; records of designation of committee members to be present at health and safety tests in or about the workplace; records of consultation with the employer regarding occupational health and tests in or about the workplace; health and safety test results and reports; schedule of workplace inspections; and listings of names and work locations of committee members to be posted in the workplace.</p>	

Notes:

Cross References:

Activity: Compliance (CMP)

Description: The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the ministry is subject. Includes compliance with legislation and with national and international standards.

Series #: OHS-CMP-001	
Series Title: Occupational Health and Safety – Compliance – Workplace Violence Prevention Program	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-20 (Programs and Prevention) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After program is terminated or replaced
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used in the process of a ministry implementing prevention and control measures to ensure compliance with the requirements under the Workplace Violence Prevention Policy (WVPP).</p> <p>Requirements include: training of managers on violence prevention; advising workers on the WVPP and potential workplace violence risks including individuals with violent behaviour; providing instruction on safe workplace practices and incident / complaint reporting procedures; responding to and documenting, investigating and reporting all workplace violence incidents; and conducting workplace violence risk assessments and developing violence prevention strategies.</p>	
Contents:	
<p>Records may include but are not limited to ministry educational and training materials / programs on violence prevention in workplace; confirmation of managers having completed training; notifications / disclosures of potential risks of workplace violence; documentation that employees know of or have received instruction on (e.g. workplace violence prevention policy; program and safe work procedures; incident, complaint and reporting procedures); and related correspondence.</p>	

Also includes Workplace-Specific Program Evaluation and resulting implementation plan detailing new control measures and related correspondence with the Joint Health and Safety Committee (JHSC) and the Health and Safety Representative (HSR) and completed Workplace Violence Risk Assessments (WVRAs) and related prevention strategies and related correspondence.

Notes:

Cross References:

Series #: OHS-CMP-002	
Series Title: Occupational Health and Safety – Compliance – Workplace Discrimination and Harassment Program	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-20 (Programs and Prevention) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After program is terminated or replaced
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose:	
<p>Information is created and/or received and used in the process of a ministry implementing prevention and control measures to ensure compliance with requirements under the Workplace Discrimination and Harassment Policy (WDHP).</p> <p>Requirements include: documenting the education and/or training of managers on discrimination and harassment; developing ministry-specific employee prevention and education strategies; managing the process of resolving allegations of discrimination and harassment; and evaluating and reporting on the ministry's program.</p>	
Contents:	
<p>Records may include but are not limited to ministry education and prevention strategies; evaluations and reports on the effectiveness of strategies; confirmation of managers and employees having completed education and/or training; documentation that remedial education or training was provided to employees who have violated the Workplace Discrimination and Harassment Policy (WDHP); notices to employees regarding their obligations under the WDHP; and related correspondence.</p> <p>Also includes ministry procedures on complaint reporting and related Workplace Discrimination and Harassment Complaint Form, and related correspondence.</p>	
Notes:	
Cross References:	

Series #: OHS-CMP-003

Series Title: Occupational Health and Safety – Compliance – Safe and Healthy Workplace Program

Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-50 (Programs and Prevention) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After program is terminated or replaced
Total Retention	CCY + 10 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the process of promoting, educating and advising on actual or potential workplace hazards and safe work practices, including detailing hazards associated with the use of materials; first aid instructions maintained for reference on safety instruction; safe workplace practices, necessary protective devices, measures and procedures; and routine immunization initiatives.	
Contents: Records may include but are not limited to posters and promotional materials; employee training and record of it; posters and promotional materials; information bulletins; instructions and notifications to workers about actual or potential workplace hazards, including the most recent and up-to-date versions of Material Safety Data Sheets and records of their distribution. Also includes ministry procedures on safe use and handling, storage and disposal of controlled products and documentation related to the review of workplace specific Workplace Hazardous Materials Information System (WHMIS) training program.	
Notes:	
Cross References:	

Activity: Inspections (ISP)

Description: The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

Series #: OHS-ISP-001	
Series Title: Occupational Health and Safety – Inspections – Workplace Inspections	
Rationale for Retention Period	Replicates retention period in Series 14.6.2 (Occupational Health and Safety – Inspections) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 7 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used to document routinely conducted inspections of the physical condition of the workplace undertaken by the ministry and employee representatives to identify and monitor occupational health and safety risks or hazards. Inspections may also be required by regulation or by an order by an inspector.	
Contents: Records may include but are not limited to schedule of inspections; inspection notes; monthly health and safety workplace inspection reports; annual health and safety workplace inspection reports; deficiency reports; details of remedial action taken; and records relating to complaints about the conduct of investigations / inspections.	
Notes:	
Cross References:	

Activity: Planning (PLA)

Description: The process of formulating ways in which objectives can be achieved.
Includes determination of services, needs and solutions to those needs.

Series #: OHS-PLA-001	
Series Title: Occupational Health and Safety – Planning – Plans	
Rationale for Retention Period	Replicates retention as found in Series 14.7.2 (Occupational Health and Safety – Planning) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After plans are superseded
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose: Information is created and/or received and used in the development, review and approval of the ministry's occupational health and safety plans, e.g. asbestos remediation, emergency evacuation and medical evacuation plans.	
Contents: Records may include but are not limited to background research, draft versions of plans, final approved plans, notes of meetings or reports analyzing issues and the outcomes of consultation with employees, unions, stakeholders etc. and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	
Notes:	
Cross References:	

Activity: Procedures (PRO)

Description: The activities involved with developing and adopting standard organizational methods of operating according to formulated policy.

Series #: OHS-PRO-001	
Series Title: Occupational Health and Safety – Procedures – Operating Procedures	
Rationale for Retention Period	Replicates retention as found in Series 14.9.2 (Occupational Health and Safety – Procedures) in the New South Wales <i>General Retention and Disposal Authority: Administrative Records</i>
Closure Criteria	After procedures are superseded or obsolete
Total Retention	CCY + 5 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to develop and review ministry procedures related to occupational health and safety.	
Contents:	
Records may include but are not limited to final versions of manuals, handbooks, guidelines, etc. detailing procedures for ministry occupational health, safety and wellness programs.	
Includes records relating to the development and review of procedures, including background research, draft versions of procedures containing significant changes / alterations or formally circulated for comment, reports analyzing issues, and the outcomes of consultation.	
Notes:	
Cross References:	
See Series OHS-CMP-001 (Occupational Health and Safety – Compliance – Workplace Violence Prevention Program) for procedures related to the Workplace Violence Prevention Program.	
See Series OHS-CMP-002 (Occupational Health and Safety – Compliance – Workplace Discrimination and Harassment Program) for procedures related to the Workplace Discrimination and Harassment Program.	

See Series OHS-CMP-003 (Occupational Health and Safety – Compliance – Safe and Healthy Workplace Program) for procedures related to the Safe and Healthy Workplace Program.

Activity: Representatives (RPR)

Description: The process of nomination, appointment or resignation of individuals or groups appointed as official representatives to organizations, offices, unions, workers participation committees, councils or groups. Includes organizational legal representatives.

Series #: OHS-RPR-001	
Series Title: Occupational Health and Safety – Representatives – Health and Safety Appointments	
Rationale for Retention Period	Replicates basic limitation period of 2 years as in the <i>Limitations Act, 2002</i>
Closure Criteria	After appointments lapse or representatives resign
Total Retention	CCY + 2 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used in relation to the nomination, appointment or resignation of individuals as delegates or representatives. Includes first aid officers, fire wardens and health and safety officers.	
Contents:	
Records may include but are not limited to letters of appointment, details of roles and responsibilities, letters of resignation and related correspondence.	
Notes:	
Cross References:	

Activity: Risk Management (RSK)

Description: The process involving the identification of risks and hazards, and the implementation of appropriate practices and procedures to reduce the number and/or severity of incidents and the impact of incidents on the ministry.

Series #: OHS-RSK-001	
Series Title: Occupational Health and Safety – Risk Management – Health and Safety Assessments	
Rationale for Retention Period	Replicates existing approved retention period in Series GOV-1600-50 (Individual Claims – WSIB) in the OPS <i>Common Records Series for Administrative Functions of the Government of Ontario</i>
Closure Criteria	After actions are completed
Total Retention	CCY + 50 years
Final Disposition	Destroy
Purpose:	
Information is created and/or received and used to respond to health and safety concerns raised by workers, where risk assessments indicate hazards or risk to employees and where monitoring of employees' health is necessary.	
Contents:	
Records may include but are not limited to notification of health and safety concerns by employees and related responses; records associated with a refusal of work, notifications to an inspector, investigation and decision of inspector, notifications to other workers, Ontario Labour Relations Board (OLRB) declarations and recommendations, and complaints to the OLRB and resulting decisions.	
Also includes records relating to identification of hazards and associated risks; health and safety testing strategies; health and safety test results and reports; risk assessments; hazard assessments; assessments for hazardous materials; reviews of relevant health and safety information related to hazards and risks; records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plan or substances used for work; reviews of hazards and risks; and records of consultation with committees / representatives and affected employees on hazards and risks.	

Notes:

Cross References:

See Series EMP-ESH-002 (Employee Management – Employee Service History – Health and Wellness) for ministry records relating to employee accommodation and other health and wellness matters.