

Ontario Lottery and Gaming Corporation  
**Directory of Records**

**December 2016**

**Contents**

**Audit Services..... 2**

**Board of Directors ..... 3**

**Charitable Gaming..... 4**

**Corporate Affairs ..... 6**

**iGaming ..... 7**

**Finance and Administration..... 11**

**Gaming ..... 18**

**Human Resources ..... 25**

**Information Technology..... 31**

**Legal Services..... 32**

**Lottery..... 37**

**Office of the President and Chief Executive Officer..... 44**

# Audit Services

## ***General Records***

Audit and Risk Management Committee Submissions  
Audit and Risk Management Committee Reports  
Integrity Matters Communication Material  
Audit Records  
Meeting Materials

## ***Manuals***

Audit Manual

# Board of Directors

## ***Common Records***

Correspondence

## ***General Records***

Agendas, Minutes and Meeting Materials

Directors' Register and Files

Administrative Files

Chair's Correspondence

Chair's Briefing Materials

Chair's Reports

## ***Personal Information Bank***

<b>Personal Information Bank Title:</b>	Directors' Register and Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Data relating to individual Director's appointment, personal data
<b>Uses:</b>	Corporate Secretariat
<b>Users:</b>	Corporate Secretariat
<b>Individuals in Bank:</b>	Members of Board of Directors
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 5; EVENT = Termination of Corporation

# Charitable Gaming

## ***Common Records***

Meeting Agendas & Minutes  
Policies & Procedures  
Briefing Notes  
Correspondence

## ***General Records***

Project files  
Game Technical and Testing Documentation  
Marketing/Public Relations Records  
Issue/Risk Management Reports  
Rules and Regulations  
Financial Records  
AGCO Records  
Compliance Reports  
Facility Records  
Access and Key Logs

## ***Manuals***

Marketing Toolbox User Guide  
Responsible Gaming Awareness Training Manual  
eQube Manual  
MGAM Manual  
Go Live Binder (for Charitable Gaming Centres)  
Toolbox Training Reference Guide  
Ready set Go Manual

**Personal Information Bank**

<b>Personal Information Bank Title:</b>	Charitable Gaming Self-Exclusion Program
<b>Legal Authority to collect:</b>	Personal information contained on the forms and facial images are collected and retained pursuant to the Ontario Lottery and Gaming Corporation Act, 1999 (Ontario) as well as Gaming Control Act, 1992 (Ontario).
<b>Information Maintained:</b>	Registered individuals, Breaches, Reinstatements (Requests from individuals, Responses from OLG, Signed Reinstatement document)
<b>Uses:</b>	To provide a program for individuals to self-exclude from Charitable Gaming Centres: registration, monitoring at the CGC, breach penalties for re-entry and the ability to not award prize if a self-excluded individual enters a centre and wins a prize greater than \$1000, the ability for individuals to request to be removed from the self-exclusion list based on meeting set criteria
<b>Users:</b>	Charitable Gaming Self-Exclusion Coordinators, Business Relationship Managers, OLG Support Centre for Dis-entitlement, Charitable Gaming Centre Managers and monitoring employee
<b>Individuals in Bank:</b>	Individuals at all stages of the self-exclusion process
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 15 EVENT = Last re-instatement

## Corporate Affairs

### **General Records**

Business Performance Reports (quarterly)  
 Communications Plans  
 Corporate Marketing Promotion Database  
 Fact Sheets  
 FLS Service Guidelines and Policy  
 "In Your Community" brochures (annual)  
 Issue Notes  
 Key Messages & Questions and Answers  
 Media Contact Reports  
 News releases (winners and corporate)  
 OLG Annual Report  
 Responsible Gaming Reports and Research  
 Translation Requests  
 Corporate Return on Marketing Investment Results and Recommendations  
 Corporate Market Tracking Reports  
 Corporate Research Records  
 Marketing, Reputation Tracking and Performance Reports  
 Planning and Strategy Records

### **Personal Information Bank**

<b>Personal Information Bank Title:</b>	Corporate Marketing Promotions Database Responsible Gambling email database
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Customer name and contact information
<b>Uses:</b>	Email communications for promotions
<b>Users:</b>	Third party vendor
<b>Individuals in Bank:</b>	Contest Entrants
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Termination of Corporation

# iGaming

## ***General Records***

Marketing records  
Administrative records  
Research  
Meeting Minutes  
Contract Management records  
Investigative records

## **Manuals**

Anti-Fraud Playbook  
Marketing Playbook  
Assurance Playbook  
Product Management Playbook  
Privacy Protection Playbook  
Operations Playbook  
Player Support Playbook  
Release Management Playbook



**Personal Information Bank**

<b>Personal Information Bank Title:</b>	Gaming Management System (GMS) <i>GMS owned and operated by Service Provider. Data owned by OLG.</i>
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Information related to iGaming Customers including name, DOB, banking, contact information and details regarding customer interactions. Customer Information related to Responsible Gambling Bonus/Rewards/Promotions, and Transactions including enquiries, email communication from iGaming, complaints and offences
<b>Uses:</b>	Maintenance of Player information Bonus, Rewards Eligibility
<b>Users:</b>	Customer Retention Marketing iGaming Finance Data Analytics iGaming Anti-Fraud Service Provider
<b>Individuals in Bank:</b>	iGaming Players
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = membership withdrawn or qualifying period of inactivity as per policy achieved

<b>Personal Information Bank Title:</b>	iGaming Anti-Fraud Lotus Notes Database
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Details related to iGaming Player
<b>Uses:</b>	iGaming related investigation files
<b>Users:</b>	OLG iGaming Anti-Fraud
<b>Individuals in Bank:</b>	iGaming Players
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = investigation completed or claimant decision made not to pursue

<b>Personal Information Bank Title:</b>	AFM Tracker Database
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	iGaming Player Information OLG Employees
<b>Uses:</b>	Player Eligibility Verification  Player Information will be queried against the OLG iTrak database during the online registration Process to help prevent Self-Excluded individuals from creating a PlayOLG account.  Employee information will be queried against the GMS to players list
<b>Users:</b>	OLG iGaming Anti –Fraud
<b>Individuals In Bank:</b>	iGaming Players OLG Employees
<b>Retention &amp; Disposal Period</b>	EVENT + CCY + 15 EVENT = Last reinstatement

<b>Personal Information Bank Title:</b>	Network Folder: Lists of Prize Winners/Promotions/Bonus/Rewards
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Data is maintained in a network folder and the information includes: Player Identification Number (PID#) Reports Bonus/Promotions/Rewards/Winners Information
<b>Uses:</b>	Public accountability
<b>Users:</b>	Customer Retention Marketing
<b>Individuals in Bank</b>	Players who were eligible for promotions, rewards or have claimed a prize
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Termination of Corporation

<b>Personal Information Bank Title:</b>	Email Communication  <i>Owned and maintained by Service Provider. OLG owns the data</i>
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	iGaming Player Email Communication
<b>Uses:</b>	e-mail communication with iGaming Players
<b>Users:</b>	Customer Retention Marketing
<b>Individuals in Bank:</b>	iGaming Players
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Unsubscribe or email bounce-back

<b>Personal Information Bank Title:</b>	Case Management  <i>Owned and operated by Service Provider. OLG owns the data</i>
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Case Management records
<b>Uses:</b>	Case Management
<b>Users:</b>	IGT Support, Fraud and Security OLG Support, iGaming Support, Player Protection, CRM
<b>Individuals in Bank:</b>	iGaming Players
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 30 EVENT = File closed or case decided and appeals exhausted

## Finance and Administration

**Description:** Finance and Administration is responsible for providing acquisitions, financial, payroll and office administration services and governance of same to the Corporation.

### **Common Records**

Identipass Records  
Payroll for Employees and Board of Directors

### **General Records**

Accounting, Financial Records and Related Records  
Asset Disposal Records  
Audited Financial Statements and Related Records  
AGCO Registered Vendor Records and related records  
AGCO NGRS Due Diligence Assessments  
Analytical Models  
Audit and Risk Management Committee Reports  
Board Notes  
Budget and Forecast Reports and Related Records  
Contracts  
Business Continuity Plans  
Capital Asset Transfers/ Disposals  
Committee Agendas, Minutes and Meeting Materials  
Corporate Travel Related Reports  
Counterfeit Seizure Form  
Corporate Fleet Related Reports  
Crisis Manager Quick Reference Guide  
Customer (Ad Hoc) Invoices  
Financial Analyses  
Financial Reports and Related Records  
Fraud Risk Assessments  
Insurance Applications  
Insurance Records  
Insurance Policies  
Letters/Memos of Direction  
Mail Services and Courier Information  
Pandemic Contingency Plans  
Policy Documentation and Related Analysis  
Policy and Procedures  
Process Documentation  
Procurement Records (competitive and non-competitive)  
Purchase Orders and Related Records  
Procurement Related Reports  
Record Retention Schedules  
Records Management Inventory  
Self-Exclusion/Reinstatement Records  
Tax Returns and Related Records

Valuation Reports  
 Vendor Contractor Health and Safety Records  
 Vendor Invoices and Related Records  
 Vendor Payment Information and Related Reports

**Personal Information Banks**

<b>Personal Information Bank Title:</b>	Expense report, travel profiles and supporting documentation
<b>Legal Authority to collect:</b>	<i>Public Sector Expenses Review Act, 2010</i>
<b>Information Maintained:</b>	Employee/Appointees name, position/titles
<b>Uses:</b>	For internet publishing
<b>Users:</b>	Finance, Corporate Communications, Public
<b>Individuals in Bank:</b>	Executives, Appointees, and Top 5 Claimants
<b>Retention &amp; Disposal Period:</b>	CFY + 7

<b>Personal Information Bank Title:</b>	Board of Directors, Employees Payroll Information
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Employee/Appointee names, addresses, positions/titles
<b>Uses:</b>	Payroll and T4 issuance
<b>Users:</b>	Finance and Human Resources
<b>Individuals in Bank:</b>	Employees and appointees
<b>Retention &amp; Disposal Period:</b>	CFY + 7

<b>Personal Information Bank Title:</b>	Fleet vehicle records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	List of vehicle assignments, driver abstracts, employee name, address
<b>Uses:</b>	For fleet vehicle management purposes
<b>Users:</b>	Administration
<b>Individuals in Bank:</b>	Employees with OLG-issued fleet vehicles
<b>Retention and Disposal Period</b>	EVENT+ CFY + 7 EVENT = Disposed of or returned to lessor

<b>Personal Information Bank Title:</b>	Cellular/ Blackberry Database
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	List of hardware, user's name, budget code and home address.
<b>Uses:</b>	For cell phone bill reconciliation
<b>Users:</b>	Administration and Information Technology Services staff
<b>Individuals in Bank:</b>	Employees with OLG-issued cell phones
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = Asset sold, lost, returned to lessor or disposed of

<b>Personal Information Bank Title:</b>	Crisis Management Procedures and Reference Guide
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Personal contact information of employees in call trees
<b>Uses:</b>	Contact Crisis Management Team Members in the event of a crisis
<b>Users:</b>	Crisis Management Team
<b>Individuals in Bank:</b>	Crisis Management Team
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = superseded or cancelled

<b>Personal Information Bank Title:</b>	Business Continuity Plans
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Personal contact information of employees in call trees
<b>Uses:</b>	Maintain business continuity during disaster
<b>Users:</b>	Team Leads in each area with a Business Continuity Plan, Divisional Business Continuity Coordinators and Risk Management
<b>Individuals in Bank:</b>	Team Leads and their alternates in areas with business continuity plans
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = superseded or obsolete

<b>Personal Information Bank Title:</b>	Insurance Claim files
<b>Legal Authority to collect:</b>	Ontario Lottery and Gaming Act Insurance Act RSO 1990
<b>Information Maintained:</b>	Claims management documentation
<b>Uses:</b>	Claims management administration
<b>Users:</b>	OLG Insurance Analysts
<b>Individuals in Bank:</b>	Claimants
<b>Retention &amp; Disposal Period:</b>	30 years for claims in litigation 2 years after settlement for a standard claim

<b>Personal Information Bank Title:</b>	Pandemic Contingency Plans
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Personal contact information of employees in call trees
<b>Uses:</b>	Maintain business continuity during pandemic
<b>Users:</b>	Team Leads and their alternates
<b>Individuals in Bank:</b>	Team Leads and their alternates
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = superseded or obsolete



<b>Personal Information Bank Title:</b>	Identipass Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact, vehicle information, department information of individuals with security card. History of every access request at locked doors.
<b>Uses:</b>	Track cards issued and access control
<b>Users:</b>	Security staff, OLG department managers
<b>Individuals in Bank:</b>	Individuals who are issued a security card
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = superseded or obsolete

<b>Personal Information Bank Title:</b>	Visitor Log
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name and signature of visitor, card issued information about their visit.
<b>Uses:</b>	Track building visitors
<b>Users:</b>	Security staff
<b>Individuals in Bank:</b>	Visitors
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 7 EVENT = final log entry or report completion

<b>Personal Information Bank Title:</b>	Self-Exclusion/ Reinstatement Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact information of patron enrolled in self exclusion program
<b>Uses:</b>	Records of patrons enrolled in voluntary Self Exclusion program
<b>Users:</b>	Security, Surveillance and Cage staff
<b>Individuals in Bank:</b>	Individuals enrolled in Self Exclusion program
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 15 EVENT = last reinstatement

## Gaming

**Description:** The Gaming Division is responsible for the operation and management of First Nations casinos, Slots at Racetracks facilities, OLG Casinos and the oversight of Resort Casinos in Ontario.

### **Common Records**

Correspondence

### **General Records**

Advertising  
Business Continuity Plans  
Business Planning and Operational Reports  
Capital Project Files  
Complementary Items/Services Records (Comp 2000)  
Customer Service Records  
Customer Service System  
Development and Resort Casinos Steering Committee Meeting Materials  
Development and Resort Casinos Issues Management Records  
Development and Resort Casinos Project Files  
EMR Reports  
EMR Statistics Report  
Facility Maintenance Files  
Field Services Operations Projects  
Field Services Refresh Projects  
Field Services Decommissioning Projects  
Gaming Distribution Centre – Product Development Monthly Operating Reports  
Gaming Distribution Centre – Supply Chain Operational Reports  
Gaming Program Managers Meeting Agendas and Minutes  
Gaming Site Drawings  
Gaming Transformation Project Files  
Gaming Transformation Portfolio Management Committee Action Items  
Group Sales Contracts and Bookings  
Marketing Meeting Minutes and Materials  
Marketing Promotions System  
Mystery Shop Results  
OLG Patron Photo Identification Database  
OLG/Responsible Gambling Council Meeting Minutes Project Files  
Operational Excellence Committee Agendas and Minutes  
Patron Information Repository  
Player Rating Cards  
Promotions  
Research  
Records of AGCO Proposals  
Team meeting materials

Security Officer Notebooks  
 Security Reports  
 Site Audit Reports  
 Slot Files Refresh + Redeployed Games  
 Surveillance Equipment Records  
 Surveillance Records  
 Table Games Management System  
 Web Participant Records

### **Manuals**

Common Area Maintenance (CAM) and Capital Renewal Manual  
 Facility Design Standards Manual  
 Facility Maintenance Standards Manual  
 Front Service Standards Manual  
 Gaming Facilities Manuals – Design Criteria  
 Patron Information Repository Manual  
 Procedures Manual – Slots  
 Procedures Manual – Cage  
 Procedures Manual – Site  
 Procedures Manual – Site Audit  
 Procedures Manual – Food and Beverage  
 Procedures Manual – Security  
 Procedures Manual – Surveillance  
 Procedures Manual – Table Games  
 Table Games – Rules of Play

### **Personal Information Banks**

<b>Personal Information Bank Title:</b>	Customer Service Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Customer service issues, name and contact information
<b>Uses:</b>	Customer service and follow up
<b>Users:</b>	Site management staff
<b>Individuals in Bank:</b>	Patrons with customer service issues
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Inquiry or complaint concluded

<b>Personal Information Bank Title:</b>	Table Games Management System
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Patron name and table games play information
<b>Uses:</b>	Record table game play for the purposes of assessing eligibility for complimentary items or services
<b>Users:</b>	Table games staff
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 7 EVENT = Membership withdrawn or qualifying period of inactivity as per policy achieved

<b>Personal Information Bank Title:</b>	Web Participant Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, address, date of birth and email address of patrons
<b>Uses:</b>	Email blasts and contest fulfillment
<b>Users:</b>	Advertising and Promotions teams
<b>Individuals in Bank:</b>	Participants in web contests
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = EVT =Membership withdrawn or continuous period of inactivity achieved

<b>Personal Information Bank Title:</b>	Patron Information Repository
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Member contact details, play activity, redemption details, patron status details and remarks
<b>Uses:</b>	Member verification, to issue redemptions, member communication and administration of member benefit transactions (i.e. cash back)
<b>Users:</b>	Gaming site staff, Customer Relationship Management, OLG Support Centre, Corporate users, Information Technology
<b>Individuals in Bank:</b>	Members of Winners Circle Rewards loyalty program.
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = Subscription ended

<b>Personal Information Bank Title:</b>	Marketing Promotions System
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Member information and promotion redemption data.
<b>Uses:</b>	To issue redemptions to qualified members and report on promotions
<b>Users:</b>	Gaming Marketing, Customer Relationship Management, site marketing, Information Technology, Business Planning and Operations, and Audit
<b>Individuals in Bank:</b>	Members eligible for and/ or redeeming promotions
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = Subscription ended

<b>Personal Information Bank Title:</b>	Customer Service System
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Customer name, contact information, complaint information and comment card information
<b>Uses:</b>	Track comments and complaints
<b>Users:</b>	Member Services, Supervisors and above
<b>Individuals in Bank:</b>	Patrons making comments or complaints
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Inquiry or complaint concluded.

<b>Personal Information Bank Title:</b>	OLG Patron Photo Identification Database (Program has ended)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Applicant and Guarantor name and contact information.
<b>Uses:</b>	Processing and issuing OLG Patron Photo Identification Card
<b>Users:</b>	Customer Relationship Management, Gaming
<b>Individuals in Bank:</b>	Patrons with cards, pending applicants and their guarantor
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = Subscription ended

<b>Personal Information Bank Title:</b>	Casino Marketplace (CMP)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Member contact details, play activity, redemption details, patron status details and remarks
<b>Uses:</b>	Member verification, to issue redemptions, member communication and administration of member benefit transactions (i.e. promo dollars)
<b>Users:</b>	Gaming site staff, Customer Relationship Management. OLG Support Centre, Corporate users, Information Technology
<b>Individuals in Bank:</b>	Members of Player Plus loyalty program.
<b>Retention and Disposal Period:</b>	EVENT + CFY + 7 EVENT = Membership withdrawn or qualifying period of inactivity as per policy achieved.

<b>Personal Information Bank Title:</b>	Security Reports
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Details of incident, personal information of patrons involved and witness statements.
<b>Uses:</b>	Report on incidents that security was involved in
<b>Users:</b>	Security and Surveillance staff
<b>Individuals in Bank:</b>	Individuals involved in incident or witnessing incident.
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 7 EVENT = Investigation terminated



<b>Personal Information Bank Title:</b>	EMR Reports
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact, incident, medical and witness information
<b>Uses:</b>	Document medical incidents for legal and insurance purposes
<b>Users:</b>	EMR Security staff, OLG Medical Director
<b>Individuals in Bank:</b>	Individuals involved in medical incident
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 30 EVENT = Last EMR treatment of an individual patient.

<b>Personal Information Bank Title:</b>	Surveillance Reports
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name and contact information of patrons
<b>Uses:</b>	Monitor gaming sites for security purposes
<b>Users:</b>	Surveillance staff
<b>Individuals in Bank:</b>	Gaming patrons
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 7 EVENT = final log entry or report completion

# Human Resources

## **Common Records**

Labour Relations Files  
Grievance and Arbitration Files  
Collective Agreements

## **Public Records**

Public Sector Salary Disclosure

## **Personal Information Banks**

<b>Personal Information Bank Title:</b>	Human Resources Information System (PeopleSoft)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Services of Ontario Act, 2006; Public Service Pension Act, 1990</i>
<b>Information Maintained:</b>	Employee personal data (age, SIN, marital status, dependent information, address, telephone number, banking information, Court Orders, CRA Tax Levies), job data, training, benefit plans, pension plan, grievance tracking and injury or illness data
<b>Uses:</b>	To complete business transactions for employees
<b>Users:</b>	Human Resources, Finance/Payroll, Department Representatives (limited to leave plan information only)
<b>Individuals in Bank:</b>	Employees, Dependents/ Beneficiaries
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 50 EVENT = Employment terminated

<b>Personal Information Bank Title:</b>	Human Resources Talent Management System (CornerStone)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Services of Ontario Act, 2006; Public Service Pension Act, 1990</i>
<b>Information Maintained:</b>	Candidate personal data (resumes, address, telephone number), employee resumes, employee training records, employee succession records, employee performance records.
<b>Uses:</b>	To support employee development programs, support employment planning, and support recruiting processes
<b>Users:</b>	Human Resources, Managers, (limited access to manage reporting employee files), All employees (limited access to manage own file)
<b>Individuals in Bank:</b>	Employees, Candidates
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 50 EVENT = employment terminated  Staffing Competitions - EVENT + CCY + 6 EVENT = competition ended

<b>Personal Information Bank Title:</b>	Employee Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Services of Ontario Act, 2006; Public Service Pension Act, 1990</i>
<b>Information Maintained:</b>	Employee personal data (age, marital status, dependent information, address, telephone number, banking information, TD1), job data, training, benefit and pension plan enrollment documents, resume, reference checks, security screening results, general employee correspondence, performance reviews and correspondence.
<b>Uses:</b>	To maintain current employee data for business-related purposes
<b>Users:</b>	Human Resources
<b>Individuals in Bank:</b>	Employees, Dependents/ Beneficiaries
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 50 EVENT = employment terminated

<b>Personal Information Bank Title:</b>	Workplace Safety and Insurance Board (WSIB) Files
<b>Legal Authority to collect:</b>	<i>Workplace Safety and Insurance Act, 1997; Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Employer forms, correspondence between WSIB and Human Resources, may have medical information obtained through Workplace Safety and Insurance Board
<b>Uses:</b>	Claims administration
<b>Users:</b>	Human Resources
<b>Individuals in Bank:</b>	Employees making WSIB claim
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 50 EVENT = employment terminated

<b>Personal Information Bank Title:</b>	Legal and Investigation Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Investigation Reports and Documentation (may contain employee name, witness name, complainant and respondent's statements, witness statements, findings of facts and recommendations). Investigation types include: Ministry of Labour Complaints, Human Rights Claims, Workplace Violence & Workplace Harassment investigations under OHSA and Statements of Claim
<b>Uses:</b>	To determine whether human rights violation has occurred and appropriate discipline.
<b>Users:</b>	Human Resources Investigator, Department Manager, Executive Director, Human Resources
<b>Individuals in Bank:</b>	Employees making Human Rights complaint and third parties involved in matter
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 15 EVENT = complaint resolved or dropped

<b>Personal Information Bank Title:</b>	Competition files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Posting, staffing requisition, resume, interview questions, notes and test results, associated tracking sheet, candidates' correspondence
<b>Uses:</b>	Recruitment
<b>Users:</b>	Human Resources
<b>Individuals in Bank:</b>	Applicants
<b>Retention &amp; Disposal Period:</b>	Staffing Competitions - EVENT + CCY + 6 EVENT = competition ended

<b>Personal Information Bank Title:</b>	Short Term/ Long Term Disability Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Employee information such as employee number, name and contact information; Correspondence with third party service provider.
<b>Uses:</b>	Claims administration
<b>Users:</b>	Human Resources
<b>Individuals in Bank:</b>	Employees using short term/long term disability benefits
<b>Retention &amp; Disposal Period:</b>	CFY + 5

<b>Personal Information Bank Title:</b>	Attendance Management Database
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Employee name, employee identification number, job data, attendance information
<b>Uses:</b>	Automated leave approval
<b>Users:</b>	Employees (own record), Human Resources, Payroll
<b>Individuals in Bank:</b>	Employees involved in the pilot of Attendance Management Database
<b>Retention &amp; Disposal Period:</b>	CCY + 3

<b>Personal Information Bank Title:</b>	Labour Relations Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Original signed documents, other labour relations records, Memorandums of Settlements
<b>Uses:</b>	Grievance and Arbitration Hearings, legal proceedings
<b>Users:</b>	Human Resources, Labour Relations
<b>Individuals in Bank:</b>	Employees
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 21 EVENT = relationship with Union ended and all grievances closed

<b>Personal Information Bank Title:</b>	Grievance and Arbitration files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999; Public Service of Ontario Act, 2006</i>
<b>Information Maintained:</b>	Grievance form (employee id, name, specifics of grievance) and supporting documentation
<b>Uses:</b>	Respond to arbitration and hearings
<b>Users:</b>	Human Resources, Labour Relations
<b>Individuals in Bank:</b>	Employees filing grievances, third parties involved in matter
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 6 EVENT = administrative actions completed

**Public Record**

<b>Public Record Title:</b>	Public Sector Salary Disclosure File
<b>Legal Authority to collect:</b>	<i>Public Sector Salary Disclosure Act, 1996</i>
<b>Purpose:</b>	To comply with <i>Public Sector Salary Disclosure Act</i>
<b>Information Maintained:</b>	Employees' name, title, earnings and taxable benefits.
<b>Retrievability:</b>	Information published annually on <a href="http://www.fin.gov.on.ca">www.fin.gov.on.ca</a> and in media section of <a href="http://www.OLG.ca">www.OLG.ca</a>
<b>Access Procedure:</b>	Information published annually on <a href="http://www.fin.gov.on.ca">www.fin.gov.on.ca</a> and in media section of <a href="http://www.OLG.ca">www.OLG.ca</a>
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 3 EVENT = Termination of Corporation

## Information Technology

**Description:** The Information Technology division manages, plans, develops and supports information technology resources at Ontario Lottery and Gaming. These resources include a retail network, ticket redemption machines at gaming sites, eBingo machines, OLG.ca and two data centres.

### **General Records**

Architecture and Emerging Technology Research Briefs  
Architecture and Emerging Technology Standards Records  
Corporate Services Process Documentation Records  
Enterprise Application Strategies and Roadmaps  
Gaming Projects Product Documents  
Gaming IT Weekly Updates  
Gaming System Application Documentation  
Gaming Service Incident Reports  
Lottery Systems Documentation  
Project Documents  
Senior Team Meeting Minutes and Materials



## Legal Services

**Description:** The Legal division provides legal services and legal advice on a wide range of corporate and business issues and litigation management to the Ontario Lottery and Gaming Corporation.

### **General Records**

Alcohol and Gaming Commission Letters of Incident  
 AODA records and reports  
 Case Management System - Investigations  
 Compliance Verification Reports  
 Contracts  
 Correspondence  
 Freedom of Information and Protection of Privacy Act Requests  
 Forensic Audit Reports  
 Gaming – Pressing Issues Tracker  
 Investigation Files  
 Legal Opinions  
 Legislative and Regulatory Compliance Records Person Identification Datastore  
 Litigation Files/Reports  
 Privacy Impact Assessments  
 Privacy Complaints  
 Prize Claims Investigative Files

### **Personal Information Banks**

<b>Personal Information Bank Title:</b>	Legislative and Regulatory Compliance Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Details of incidents and involved patrons and/or employees
<b>Uses:</b>	Record incidents where regulations are breached.
<b>Users:</b>	Compliance, Gaming Managers
<b>Individuals in Bank:</b>	Employees and/ or Patrons who have breached regulations
<b>Retention &amp; Disposal Period:</b>	Patrons: EVENT + CCY + 7 EVENT = Investigation terminated Employees : EVENT + CFY + 5 EVENT = Investigation completed

<b>Personal Information Bank Title:</b>	Case Management System Investigations (Corporate Investigations owns the investigative portion)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Details of Investigation
<b>Uses:</b>	Investigations: 1. Lottery 2. Public Complaints 3. Employee Conduct 4. Prize Claims 5. Police Information Requests
<b>Users:</b>	Corporate Investigations
<b>Individuals in Bank:</b>	Store owners and employees, customers, prize claimants, OLG employees
<b>Retention &amp; Disposal Period:</b>	Depending upon type of investigation:  Police Information Requests: CCY+15  Employee Conduct: EVENT +CFY+5 EVENT = Investigation completed  Prize Claims: EVENT+CFY+7 EVENT = Investigation completed or claimant decision made not to pursue/verified  Public Complaints: EVENT+CFY+7 EVENT= Investigation terminated

<b>Personal Information Bank Title:</b>	Investigation Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Details of Investigation
<b>Uses:</b>	Investigations: 1. Lottery 2. Public Complaints 3. Employee Conduct
<b>Users:</b>	Corporate Investigations
<b>Individuals in Bank:</b>	Store owners and employees customers, prize claimants, OLG employees
<b>Retention &amp; Disposal Period:</b>	Depending upon type of investigation: Employee Conduct: EVENT +CFY+5 EVENT = Investigation completed  Prize Claims: EVENT+CFY+7 EVENT = Investigation completed or claimant decision made not to pursue/verified  Public Complaints: EVENT+CFY+7 EVENT= Investigation terminated

<b>Personal Information Bank Title:</b>	Prize Claim Investigative Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name and contact information of prize claimants and individuals with an interest in the ticket, information and documents pertaining to the claim, including retailer information
<b>Uses:</b>	Prize Claim Investigations
<b>Users:</b>	Corporate Investigations
<b>Individuals in Bank:</b>	Prize claimants and individuals with an interest in the claim
<b>Retention &amp; Disposal Period:</b>	Prize Claims: EVENT+CFY+7 EVENT = Investigation completed or claimant decision made not to pursue/verified

<b>Personal Information Bank Title:</b>	Records required under the Proceeds of Crime (Money Laundering) and Terrorist Financing Act
<b>Legal Authority to collect:</b>	<i>Proceeds of Crime (Money Laundering) and Terrorist Financing Act the (Act), 2000</i>
<b>Information Maintained:</b>	Information stipulated by the <i>Act</i>
<b>Uses:</b>	Required by the <i>Act</i>
<b>Users:</b>	Anti-Money Laundering Unit and Gaming staff involved in financial transactions
<b>Individuals in Bank:</b>	Individuals involved in transactions as described by the <i>Act</i>
<b>Retention &amp; Disposal Period:</b>	CCY+5

<b>Personal Information Bank Title:</b>	Freedom of Information Requests
<b>Legal Authority to collect:</b>	<i>Freedom of Information and Protection of Privacy Act, 1990</i>
<b>Information Maintained:</b>	Name of requester and contact information, correspondence, notes about requests and records related to request.
<b>Uses:</b>	Responding to FOI requests
<b>Users:</b>	Information Access and Privacy Services
<b>Individuals in Bank:</b>	Requesters, individuals whose information is contained in related records.
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 15 EVENT = Appeal period and judicial review period expired or notification sent

<b>Personal Information Bank Title:</b>	Privacy Complaints
<b>Legal Authority to collect:</b>	<i>Freedom of Information and Protection of Privacy Act, 1990</i>
<b>Information Maintained:</b>	Contact information, correspondence and notes about complaint
<b>Uses:</b>	Respond to privacy complaints
<b>Users:</b>	Information Access and Privacy Services staff
<b>Individuals in Bank:</b>	Complainants
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 15 EVENT = Appeal period and judicial review period expired or notification sent

# Lottery

**Description:** The Lottery division is responsible for conducting and managing all lottery games. The division conducts market research and uses this information to develop new games and game modifications. The Lottery division also develops and directs advertising, promotions and bonuses to draw attention to new and existing lottery products.

## **General Records**

Advertising Records  
 Administrative Records  
 Business Development Records  
 Cancelled and Adjusted Tickets  
 Creative Services Records  
 Customer Insights and Analytics Status Reports  
 Draws Audit Records  
 Family Responsibility Office (FRO) (Prize claim FRO matches)  
 Historical Prize Claim Records (COGNOS)  
 ID 25 Results  
 Internal Communications  
 Instant Ticket Records  
 Lottery Administrative Reports  
 Lottery Business Continuity Plans  
 Lottery Customer Relationship Management  
 Lottery Draw Recordings  
 Lottery Draw Operations Records  
 Lottery Data Analytics  
 Lottery General Rules and Game Conditions  
 Lottery Marketing Records  
 Lottery Planning Records  
 Lottery Risk Management Records  
 Lottery – Pressing Issues Tracker  
 Lottery Product Design and Development Records  
 Lottery Retailer Records for Promotions, Assets and Events  
 Lottery Sales Reports  
 Lottery Product Inventory Records  
 Market Research Records  
 Meeting Minutes  
 Mystery Shop Results  
 OLG Support Centre Quality Performance/Training Records  
 Customer Relationship Management System Records  
 Policies, Processes and Procedures  
 Prize Centre Under \$10,000 Prize Claim Files  
 Prize Centre Web Posting Lists of Prize Winners  
 Prize Centre Cheque Registers  
 Prize Centre Major Win Prize Claim Files  
 Prize Redemption Records (NRS)

Prize Centre Records of Correspondence  
Project Management Files  
Program Management Records  
Promotions and Sponsorship Records  
Regulatory Compliance Records  
Reference Database Materials  
Retailer Compliance Review Results  
Retailer Inspections Sports Lottery Games Operations and Development Records  
Status Reports  
Strategy Records  
Ticket Security Game File (for each game)  
Training and Reference Materials  
Vendor Management Records

**Manuals**

Distribution Operations Manual  
Imaging Payment Procedures  
Internal Courier Manual  
Lottery Draws Procedure Manual  
Lottery Instant Ticket Production Procedure Manual  
Lottery Instant Ticket Security Procedure Manual  
Lottery Internal Control Manual  
Lottery Online Gaming – Draws Audit Procedure Manual  
Lottery System Manuals  
OLG Support Centre Reference Guide  
OLG Support Centre Training Manuals  
Prize Centre Procedure Manual  
Prize Approval System Procedure Manual  
Promotions Procedure Manual  
RAMS Manual Cheque Register Procedure Manual  
Retailer Policy Manual  
Sales Force Procedure Manual  
Sports Operations Manual  
Terminal Messaging System Manual

**Personal Information Banks**

<b>Personal Information Bank Title:</b>	Lottery Customer Relationship Management Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Information related to E-marketing to registered customers
<b>Uses:</b>	Managing relationships and communicating with registered customers
<b>Users:</b>	Lottery Services
<b>Individuals in Bank:</b>	Registered customers
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Unsubscribe or email bounce-back

<b>Personal Information Bank Title:</b>	Customer Relationship Management System Records
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Information related to OLG Customers, including name and contact information and details regarding customer interactions with OLG. Information related to Retailer interactions with OLG, including enquiries, complaints and offences.
<b>Uses:</b>	Record all aspects of customer/retailer interactions with OLG
<b>Users:</b>	OLG staff who interact with individuals outside the company as well as staff who require records of these interactions
<b>Individuals in Bank:</b>	Prize claimants, employees, retailers, general public
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT = Membership withdrawn or qualifying period of inactivity as per policy achieved



<b>Personal Information Bank Title:</b>	Under \$10,000 Prize Claim Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact information, prize claim details
<b>Uses:</b>	Document prize claims less than \$10,000
<b>Users:</b>	Prize Claim Staff, Investigative Services
<b>Individuals in Bank:</b>	Prize Claimants
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 7 EVENT= Verification completed.

<b>Personal Information Bank Title:</b>	Web Posting Lists of Prize Winners
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Prize claimants, place of residence, amount of lottery win, game name, draw date/game number
<b>Uses:</b>	Public accountability
<b>Users:</b>	Public
<b>Individuals in Bank:</b>	Prize claimants
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Termination of Corporation

<b>Personal Information Bank Title:</b>	Cheque Registers
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact information, prize claim details
<b>Uses:</b>	Reconciliation and audit of cheques
<b>Users:</b>	Price Claim staff, Investigative Services
<b>Individuals in Bank:</b>	Prize Claimants
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 5 EVENT = Life of Corporation

<b>Personal Information Bank Title:</b>	Major Win Prize Claim Files
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact information and prize claim details
<b>Uses:</b>	Document major win prize, retail and claimant information
<b>Users:</b>	Prize Claim staff, Investigative Services
<b>Individuals in Bank:</b>	Claimants redeeming prize claims \$10,000 or more
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY +3 EVENT = Life of Corporation

<b>Personal Information Bank Title:</b>	Prize Redemption Records (NRS)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact information, prize claim details
<b>Uses:</b>	Redeem winning tickets, record claimant status, generate prize payments, check for FRO match
<b>Users:</b>	Prize Claim staff, Investigative Services
<b>Individuals in Bank:</b>	Prize Claimants
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Termination of Corporation

<b>Personal Information Bank Title:</b>	Historical Prize Claim Records (COGNOS)
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Name, contact information, prize claim details
<b>Uses:</b>	Retain and access Maintain historical information about prize claims \$10,000 or more
<b>Users:</b>	Prize Claim, Media Relations staff, Investigative Services
<b>Individuals in Bank:</b>	Prize Claimants
<b>Retention &amp; Disposal Period:</b>	EVENT + CCY + 3 EVENT = Termination of Corporation

<b>Personal Information Bank Title:</b>	Family Responsibility Office (FRO) Prize Claim FRO Matches
<b>Legal Authority to collect:</b>	<i>Family Responsibility and Support Arrears Enforcement Act, 1996</i>
<b>Information Maintained:</b>	Name, address, prize claim details, amount paid to FRO
<b>Uses:</b>	Document details of claimants who have had funds forwarded to the Family Responsibility Office
<b>Users:</b>	Prize Claim staff, OLG Support Centre staff, Investigative Services
<b>Individuals in Bank:</b>	Prize Claimants who owed money to the Family Responsibility Office at the time of the prize claim
<b>Retention &amp; Disposal Period:</b>	CFY + 7

<b>Personal Information Bank Title:</b>	Retailer Inspections
<b>Legal Authority to collect:</b>	<i>Ontario Lottery and Gaming Corporation Act, 1999</i>
<b>Information Maintained:</b>	Details of Compliance Inspection
<b>Uses:</b>	Enforcement of Retail Policy Manual
<b>Users:</b>	General Investigations, Retail Complaint Review
<b>Individuals in Bank:</b>	Retailer location, Identification of store employee working at the time of inspection
<b>Retention &amp; Disposal Period:</b>	EVENT + CFY + 3 EVENT = Resolution of last incident plus rolling history period, where applicable

## **Office of the President and Chief Executive Officer**

### ***Common Records***

Correspondence

Meeting Agendas and Action Items

Policy and Government Relations Briefing Notes