Records Retention

1. Each graduate medical education program will maintain a program file for each resident and fellow. The file will contain a record of the resident's specific rotations and other educational experiences (including procedural logs), evaluations, periodic summative reviews, any disciplinary actions, the final evaluation by the program director, and other information concerning the resident that the program director judges appropriate to maintain in the file for educational and/or credentialing purposes.

2. The employing hospital will maintain an employment file concerning employment and HR issues for each resident.

3. The Records Retention Worksheet contains specific guidelines for the management of documents within both the program and the employment files.

4. The resident's program file will be treated as a confidential document. Files will be maintained in a secure location and will be available only to the program director, the director of graduate medical education, the program's evaluation committee, designated staff, and the resident. The resident's access to his or her file should be under direct supervision of a designated staff member of the program or the medical education department.

5. The program director may disclose the program file, or portions thereof, to others judged to have a legitimate need for the information, for reasons relating to the accreditation of the program or of the program's participating institutions. The program director may also disclose the file, or portions thereof, to others, as authorized in writing by the resident.

Contents of Records

- ERAS application
- Copy of medical school diploma
- Written semiannual evaluation
- Program director's final evaluation which must include a review of the resident's performance during the final period of education and should verify that the resident has demonstrated sufficient professional ability to practice competently and independently.
- Any item specified by ACGME program requirements
- Any record of disciplinary action
- Any record of probation or remediation

Electronic File Retention

Electronic records on Residency Management Suite (RMS), a web based program, are kept permanently. After completion of residency, the file is placed in archive.

Records and Confidentiality

Residents may have access to all items of their files except for those items to which they waive their rights. Others who may have access to a resident's file are the following:

- Program director
- Faculty advisors
- Review board
- Anyone with written consent of the resident
- State or federal official with a subpoena (Residents will be notified of a subpoena on their file.)

Access to Records

Residents may inspect personnel documents that are used or have been used in determining qualifications for appointment, promotion, termination or other disciplinary action.

- Within seven days of a written request, residents are allowed to inspect their personnel records.
- The inspection should take place in the presence of the program director or designee.
- If the resident disagrees with any information contained in the personnel records, the program director and resident may mutually agree upon a removal or correction of that information. If an agreement cannot be reached, the resident may submit a written statement explaining his/her position. The statement shall be attached to the disputed portion of the personnel record. The statement shall be included whenever that portion of the record is released to a third party.
- This policy applies to current and former residents.
- Upon written request, copies of personnel records shall be mailed to former residents. A reasonable fee for providing copies may be charged.
- Reference to other residents must be blacked out on copies provided.

Records Retention Worksheet for Programs—Program

	Program (Educational) File	Retention Period
1	Application ERAS file	Retain permanently
2	BLS/ACLS Documentation (copy)	Retain until resident graduates or until accreditation expires, then destroy
3	Contract/House Officer Agreements	Retain until resident graduates, then destroy
4	Correspondence, Miscellaneous	Retain until resident graduates, then destroy
5	Correspondence regarding academic or disciplinary action	Retain until summative final evaluation is completed, then destroy
6	Credentialing Documents (Tests or Results, i.e. microscopy, restraints, moderate sedation, HIPAA)	Retain results until resident graduates, then destroy
7	ECFMG Documentation	Retain permanently
8	Evaluations	Retain until summative final evaluation is completed, then destroy
9	Family & Contact Info Sheet	Retain until resident graduates, then destroy
10	Final evaluation	Retain permanently
11	Interview Review Sheet(s)	Retain for five years post residency, then destroy
12	In-Training Exam Scores, filed by resident	Retain until resident graduates, then destroy
13	Letter of Offer	Retain until resident graduates, then destroy
14	Medical School Transcripts (copy)	Retain until resident graduates, then destroy
15	Medical School Diploma (copy)	Retain permanently
16	Moonlighting Requests	Retain until resident graduates, then destroy
17	Procedure Checklist/Log or Summary	Retain permanently
18	Recognition Letters	Retain until resident graduates, then destroy
19	Release Form for Verification Info (Used after graduation for releasing information about resident)	Retain permanently
20	Reimbursement/Expenses paid by program funds (travel, meetings, books, etc.)	Retain until resident graduates, then destroy
21	Residency Certificate	Retain permanently
22	State License(s) (copy)	Retain until resident graduates, then destroy
23	Student Loans/Deferments (copy)	Retain until resident graduates, then destroy
24	Vacation/Leave Requests	Retain until resident graduates, then destroy
25	Visa Information	Retain until resident graduates, then destroy

Records Retention Worksheet for Programs—Employment

	Employment File	Retention Period
1	BLS/ACLS Documentation (copy)	Retain until resident graduates or until accreditation expires, then destroy
2	Contract/House Officer Agreements	Retain permanently
3	Corporate Compliance Form--renewed annually	Retain until resident graduates, then destroy
4	Correspondence, Miscellaneous	Retain until resident graduates, then destroy
5	Credentialing Documents (Tests or Results, i.e. microscopy, restraints, moderate sedation, HIPAA)	Retain until resident graduates, then destroy
6	Family & Contact Info Sheet	Retain until resident graduates, then destroy
7	Hospital DEA Documentation	Retain until resident graduates or until accreditation expires, then destroy
8	Hospital Doctor Number (copy)	Retain until resident graduates, then destroy
9	Job Description	Retain for 5 years after graduation, then destroy
10	Malpractice Coverage Documentation	Retain permanently
11	Recognition Letters	Retain until resident graduates, then destroy
12	Reimbursement/Expenses paid by employer (travel, meetings, books, etc.)	Retain until resident graduates, then destroy
13	Release Form for Verification Info (Used after graduation for releasing information about resident)	Retain permanently
14	Safety Training—renewed annually	Retain until resident graduates, then destroy
15	State License(s)--copy	Retain until resident graduates, then destroy
16	Training Certificate(s)--copy	Retain until resident graduates, then destroy