

Record Retention Policy #0.24

I. Purpose of Policy

The purpose of this policy is to delineate the way in which ACGME-accredited programs will maintain resident/fellow and applicant records.

II. Policy Statement

Resident/Fellow records provide a comprehensive record of trainee activities in a GME training program. Resident/Fellow records are learner/employee records and are used to verify completion of training requirements.

Programs must maintain resident/fellow records in New Innovations. Additional files may be kept in hospital or healthcare institution network files. Resident/Fellow case/procedure logs must be de-identified of any Protected Health Information (PHI) (e.g. patient names and medical record numbers).

Records may not be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of a retention period for the record until the completion of the action and the resolution of all issues that arise from it.

Programs are required to obtain and retain resident/fellow records for a minimum of seven (7) years after graduation from the program in case of subsequent legal action, if any, unless otherwise noted. For residents/fellows who do not complete the program or who are not recommended for Board certification, programs should keep the entire file.

Resident/Fellow records must be available for review by the ACGME Accreditation Field Representative at the time of a site visit.

Programs must follow record retention guidelines maintaining minimum content set by the ACGME and KCU-GME Consortium, and must minimally maintain the following in New Innovations at all times:

ACGME Required:

- evaluations from multiple evaluators, including self-evaluations, as specified in the ACGME program requirements. This also includes peer evaluations, patient evaluations, nurse evaluations, and faculty evaluations.
- periodic evaluations (every 6 months or more frequently if required by the specialty review committee) by the Clinical Competency Committee, and discussed with the resident by the program director and his/her designee. These are commonly referred to as the Milestone evaluations
- records of the resident's/fellow's rotations and other training experiences, including surgical and procedural training as applicable

- medical school graduation documentation, and Education Commission on Foreign Graduate Medical Education (ECFMG) certification for international medical graduates
- for residents engaged in moonlighting, a prospective, a written statement of permission from the Program Director
- documentation of training or permanent licensure
- documentation of required added training, such as , ACLS, PALS, etc.
- documentation of scholarly activity and quality improvement projects, including records of presentations, abstracts, and publications
- records of any educational disciplinary actions, as pertinent to the particular resident/fellow.
- other content as determined by the Program Director and/or Sponsoring Institution (KCU)

KCU Required

- resident agreement of appointments/contracts
- primary and preferred email
- current address
- phone number
- social security number
- date of birth
- malpractice certificate and expiration date
- previous training verification or certificate of completion of any previous GME training
- for transfer residents, a final Milestone report and list of completed rotations
- in-training exam scores
- board certification, including that for graduated residents/fellows, if applicable

The following files for all residents/fellows who successfully complete a program must be retained indefinitely in New Innovations, and accessible to KCU, in order to accommodate future requests for verification of program completion:

- final summative evaluation;
- final Milestone report;
- records of the resident's/fellow's rotations, training experiences, and procedures, as applicable to the specialty; and,
- documentation of disciplinary action, if any.

The following files for all residents/fellows who resign or withdraw from the program must be retained indefinitely in New Innovations, and accessible to KCU, in order to accommodate future requests for verification of program participation within 30 days of leaving the program:

- copy of resident's/fellow's resignation request from the program;
- final Milestone report;
- copy of final letter from the Program Director addressed to the resident/fellow listing training dates, resident's/fellow's rotations, training experiences trainee

received credit or successfully passed, number of continuity clinic visits-if applicable, list of procedures, as applicable to the specialty; and,

- documentation of any disciplinary action, if deemed to be within the residents/fellows permanent record.

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