



INDIANA UNIVERSITY

SCHOOL OF MEDICINE

Record Retention for Residents' Files and Records

gme-adm-0023

About This Policy

Effective Dates:

06-12-2013

Last Updated:

03-02-2018

Responsible University Administrator:

Senior Associate Dean for GME

Policy Contact:

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Scope

This policy applies to all Indiana University School of Medicine (IUSM) Graduate Medical Education (GME) resident physicians.

Policy Statement

Residents and fellows are treated as employees of the University for the purposes of record keeping. Indiana Code 5-14-3-4 provides that employee records are generally confidential except for certain public information, as specifically outlined in the statute. Medical records of employees are required to be maintained in separate files, according to other laws, rules, and regulations.

Residents and fellows' records, like those for employees, can be shared within the institution for those who have a legitimate need to know, i.e., those who have a supervisory role over the trainee. Specifically this would include department chairs, program directors, and the department residency review committees or graduate medical education committees.

Reason For Policy

The purpose of this policy is to define guidelines and procedures for appropriate retention of residents' records and files.

Procedure

The following guidelines for retention will apply to specific records and files.

Applications and Letters of Reference

- Applications of individuals who apply for a position but are not interviewed: One Year
- Applications of individuals who apply, are interviewed, but are not hired: Two Years
- Applications of individuals interviewed and accepted: Indefinitely

Rotations and Call Schedules

Two Years

Evaluations

- Monthly: Three to five years
- Biannually: Three to five years
- Summary at end of year: Indefinitely
- Summary at end of training: Indefinitely

Disciplinary Cases

Keep all records indefinitely.

IUSM Office of Graduate Medical Education Files Include:

Keep all records indefinitely.

- Application
- Medical School Diploma
- Verification of Prior GME Training
- Letter of Appointment
- Licenses
- ECFMG Certificate
- Visa and I-9 Certification
- Fringe Benefit Enrollment Forms
- Copies of Loan Deferments/Malpractice Letters/Stipend Verifications
- Patent Agreement and Miscellaneous Employment Forms

Definitions

ACGME is the Accreditation Council for Graduate Medical Education.

A resident is an IUSM resident or fellow, or a non-IUSM resident or fellow electively rotating through IUSM and provides clinical care as part of a GME program.

Implementation

The Designated Institutional Official (DIO) for GME is responsible for implementation of this policy.

Oversight

Policy authority for this document resides with the Graduate Medical Education Committee. The DIO and the Graduate Medical Education Committee are responsible for oversight.

History

1. Policy gme-adm-0023 approved by GMEC and published on 05 June 2009.
2. Policy reviewed, updated, and approved by GMEC on 12 June 2013.
3. Policy updated for formatting 02 March 2018.
4. Policy reviewed, updated, and approved by GMEC on 28 March 2018.
5. Policy updated for formatting 27 June 2018.