

Section:	Sponsoring Institution
Document Number:	GME0023
Title:	Resident File and Retention Policy
Responsible Department:	Graduate Medical Education
Created:	01/25/2018
Revised:	09/28/2020
Superseded:	03/01/2018
GMEC Approved:	10/20/2020
Board of Directors Approved:	10/22/2020
Effective:	10/23/2020
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POLICY:

Resident File and Retention

SCOPE:

All Valley Health Team, Inc. (VHT) residencies and fellowships accredited by the Accreditation Council for Graduate Medical Education (ACGME).

PURPOSE:

Resident and fellow files provide a comprehensive record of trainee activities in a residency or fellowship program. They are also used to verify completion of residency or fellowship education requirements.

PROCEDURE:

The resident/fellow file will be a combination of the file maintained by the respective department and the file maintained by the GME Office. This record may be maintained in hardcopy and/or electronic formats. The hardcopy portion of the file will be maintained in a secure location, and the electronic portion of the file will be maintained in VHT's web-based secure residency management system and/or in other department network files.

The resident/fellow file will contain a record of the trainee's application and appointment information, curricular activities, certifications, awards, evaluations, disciplinary actions, graduate records and any other information concerning the trainee that the Program Director judges appropriate to maintain in the file for purposes of evaluation and training, including records required to be maintained by applicable institutional and program requirements of the Accreditation Council for Graduate Medical Education (ACGME). See **Resident/Fellow File Content section** for a list of typical documents maintained in these files.

The file will be available only to the Program Director, Designated Institutional Official (DIO), the program's Clinical Competency Committee, designated program administrative staff and the Office of Graduate Medical Education. The Program Director and the DIO or designee may disclose the file, or portions thereof, to individuals with a business need for the information (e.g., for matters relating to the education in the program, or the quality of patient care in the program).



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The Program Director and the DIO or designee may also disclose the file, or portions thereof, to others as authorized in writing by the trainee for credentialing purposes. See attached *Consent to Release Information by Valley Health Team for Credentialing and Privileging Form*.

Upon request, the trainee or graduate shall have timely access to review his or her file under direct supervision of the Program Director or designated program administrative staff, and may obtain a copy of his or her file, subject to redactions as required by applicable confidentiality, privacy and privilege protections under the law. The trainee is responsible for the cost of printing and postage of documents, as applicable.

Scanning:

Programs may scan paper documents to create electronic trainee files; however, the paper documents may not be destroyed unless the program develops its own scanning policy.

Retention:

Resident and Fellow Files: Files will be retained according to an agreed upon schedule. Upon successful completion of or withdrawal from a training program, the entire file will be maintained in the program office for a period of six (6) years. After six years, the file will be maintained by VHT Records Management Services for the remaining years of the retention period of 45 years after completion of residency or fellowship or withdrawal from the program.

Raw Evaluation Data:

Data used to evaluate the trainee's performance will be summarized and merged into the trainee's file maintained by the program office. Raw evaluation data will be retained for five (5) years after the trainee has completed the program or until any dispute involving the trainee has been resolved, whichever occurs later.

Formal Evaluation Summaries of Trainees:

Evaluations completed by attending physicians, peer physicians, supervising physicians, residents/fellows, or medical students will be merged into the trainee's file maintained by the program office. These evaluations will be retained according to variable departmental retention schedules for resident and fellow files.



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Admission Applications:

Files of applicants to a residency or fellowship program who did not match, were not accepted, withdrew from consideration or were not interviewed will be retained by the program office for one (1) year after completion of the admissions process.

Resident/Fellow File Content

Resident and fellow files should be organized by content area and labeled (e.g., tab dividers). If maintaining documentation electronically (e.g., in MedHub) include a checklist in the file noting

the document location
Application
☐ Application (ERAS application or other)
□ Curriculum Vitae
☐ Letters of recommendation
☐ Copy of medical school diploma
□ ECFMG Certificate
☐ Summative competency-based evaluation(s) of previous GME experience(s) for transfer residents/fellows
☐ Other appointment documentation required by program
Appointment ☐ Residency/Fellowship Position Appointments / Contracts signature pages
Curriculum
☐ Rotation schedules/educational experiences
□ Case/procedure logs
☐ Conference and journal club attendance
☐ Research and scholarly activity
☐ Local and national presentations
Certifications & Awards
□ Madical/dental licenses



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 □ DEA registrations □ USMLE scores □ Board scores □ Local and national awards Evaluation & Remediation		
Evaluation & Remediation End of rotation/quarterly faculty evaluations 360 evaluations Mini-CEXs Patient satisfaction surveys Self-assessments Presentations evaluations In-training exam scores Individualized Learning Plans (ILPs) Semiannual evaluations Progress reports to Board Milestones Reports to ACGME Correspondence regarding disciplinary actions (e.g., focus of concern, probation, termination)		
Other ☐ Correspondence to and from the ACGME, Board, etc. ☐ Moonlighting requests and approvals ☐ Volunteer requests and approvals ☐ Documentation of approvals for additional compensation		
Graduate Records ☐ Final summative evaluations signed by program director and resident/fellow ☐ Graduation certificate(s) from VHT training programs ☐ Final Milestones Report to ACGME ☐ Summative competency-based evaluation of VHTGME experience to other programs ☐ Hospital privileging and credentialing documents, training verification requests		



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A separate confidential file will be established for maintenance of records for the following: ☐ Medical restrictions ☐ Family and medical leave request forms if a resident/fellow voluntarily discloses the nature of his/her illness ☐ Return to work release ☐ Workers compensation records; ☐ Other records that relate in any way to a trainee's medical history ☐ VHT Application Form ☐ IRS Form W-2 ☐ I-9 files or any records that disclose ethnicity, national origin, or citizenship or other protected class information ☐ Other "confidential records" such as investigative files or reference checks. ☐ Conviction Criminal History Form □ VHT Medicine Privacy, Confidentiality, and Information Security Agreement forms Soyla A. Reyna-Griffin, CPA Chief Executive Officer 10/22/2020 maybe Pur ago Mary Ellen Pumarejo President, Board of Directors