

## **RESIDENT FILE CONTENT, ACCESS, AND RETENTION POLICY FOR FILES OF RESIDENTS**

### **A. Application**

This policy applies to all trainees, hereafter referred to as resident or subspecialty resident/fellow in graduate medical education programs (residency programs) sponsored by the University of North Dakota School of Medicine and Health Sciences (the institution).

### **B. Policy**

1. The Office of Record for the files of each resident or subspecialty resident/fellow will be the specific residency program sponsored by the institution.
2. The file will contain a record of the resident's specific rotations and other training experiences (including training procedures), written evaluations from the faculty and others, the periodic summative evaluations by the program director and evaluations committee, any institutional disciplinary actions, and other information concerning the resident 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.
3. The file 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, and designated administrative staff in the department of graduate medical education and in the applicable residency program offices. The file is subject to North Dakota's open record law and therefore subject to public review with appropriate written request.
4. The program director and the Designated Institutional Official (DIO) may disclose the file, or portions thereof, to others whom they judge have a legitimate need for the information (e.g., for matters relating to the education in the program, or the quality of patient care in the program). The program director and the director of graduate medical education may also disclose the file, or portions thereof, to others as authorized in writing by the trainee.
5. On reasonable request, the resident shall have access to his or her file under direct supervision of a designated staff member of the department of graduate medical education. The resident will have full access to his or her files and the resident may have a copy of his or her file, subject to the open record laws. Currently the cost of a paper copy is 25 cents per impression. Postage will also be charged prior to the release of the requested information.
6. Upon successful completion of a training program, the entire file will be kept for a period of six years. After six years, only the final summative evaluation of the resident, the record of the resident's specific rotations and other training experiences (including training procedures), and a record of any disciplinary actions will be retained in the file.

The file will then be maintained as a permanent record. The program director may exercise his or her discretion to retain other records for which there may be a need.

7. For residents who do not successfully complete the training program, the entire file will be maintained for a period of sixty years. This retention time applies to information necessary to verify their residency.

Approved by the full GMEC 6/12/12