Record Retention for Residents’ Files and Records
IUSM-GME-PO-0023

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Effective: 06/12/2013
Last Updated: 03/02/2018

Responsible University Office:
Graduate Medical Education

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.

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

Policy Statement
Residents and fellows are treated as employees of the University for 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.

Procedures

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. This policy will be reviewed every three years or more often if deemed necessary.

Related Information

Indiana Code 5-14-3-4 can be found at:


History

1. Policy IUSM-GME-PO-0023 approved by GMEC and published on 05 June 2009.
2. Policy reviewed, updated, and approved by GMEC on 12 June 2013.