

Resident and Fellow Files Policy

Scope: All residents and fellows participating in University of Washington (UW) graduate medical education (GME) training programs accredited by the Accreditation Council for Graduate Medical Education (ACGME), Council on Dental Accreditation (CODA), or recognized by the American Board of Medical Specialties (ABMS) Specialty Board. Residents and Fellows are hereafter referred to as “residents”.

Policy: Resident files provide a comprehensive record of educational activities in a residency or fellowship program. They are also used to verify completion of or participation in residency or fellowship education requirements. The resident file will consist of the file maintained by the respective department/program 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 MedHub (web-based secure residency management system) or in other GME/department network files.

File Contents: Resident files will contain a record of a resident’s application and appointment information, curricular activities, certifications, awards, evaluations, disciplinary actions, graduate records, and any other information concerning the resident that the program director judges appropriate to maintain in the file.

ACGME Site Visits: In preparation for an ACGME site visit, programs must review the [ACGME Expectations for Content of Resident and Fellow Files](#) for a list of required file contents. Programs are advised to ask their Site Visitor how this information should be provided during the site visit.

Refer to the *Resident/Fellow File Content* checklist at the end of this policy for a list of documents maintained in these files.

File Access: The file will be available only to the program director, department chair and/or Vice Chair for Education, the program’s Clinical Competency Committee (CCC), designated program administrative staff and the GME Office. The program director and the Designated Institutional Official (DIO) or designee may disclose the file, or portions thereof, to individuals with a business need for the information; this may include matters relating to the education in the program, the quality of patient care in the program, hospital site visits, or ACGME site visits. The program director and the DIO or designee may also disclose the file, or portions thereof, to others as authorized in writing by the resident for credentialing purposes. See attached *Consent to Release Information by UW School of Medicine for Credentialing and Privileging Form*.

Resident Access to Files: Upon request a resident or graduate shall be provided with timely access to their 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 resident is responsible for the cost of printing and postage of documents, as applicable.

Final Evaluation and Training Verifications: The final evaluation must become part of the resident’s permanent record maintained by the institution, and must be accessible for review by the resident in accordance with institutional policy [*CPR V.A.2.a).(2).a(a)*]. A

program must provide verification of an individual resident's program completion within 30 days of a request [*CPR II.A.4a).(15)*].

Public Records Requests: UW School of Medicine (SOM) is a state agency and therefore resident files are subject to disclosure under Washington's Public Records Act. If the SOM receives a public records request, the applicable department contacts will be notified. Information specific to the request will be included in the notice, and all questions must be directed to the SOM Records Manager.

Scanning: Programs may scan paper documents to create electronic resident files; however, the paper documents may not be destroyed unless the program develops its own scanning policy that complies with [UW Scanning Requirements](#). Programs/departments must schedule a consultation with UW Records Management Services at urc@uw.edu before starting the scanning process.

Retention Schedules: The following retention schedules are posted on the UW Records Management Services website. Schedules are further defined by the ACGME:

[Resident and Fellow Files](#): Provides a comprehensive record of accepted applicants to a residency or fellowship program. Documents the completion of residency or fellowship education requirements (or early departure from program prior to completion), and may include evaluations, letters of recommendation, application, correspondence, certifications, etc. 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 transferred to and maintained by UW Records Management Services for the remaining years of the retention period of 45 years.

NOTE: Per ACGME guidelines, the Sponsoring Institution should keep the following documents indefinitely: final summative evaluation, letter from program director indicating readiness for unsupervised practice, records of rotations, training experiences, procedures applicable to the specialty, and documentation of disciplinary action, if any. For residents/fellows who do not complete the program or who are not recommended for Board certification, programs should keep the entire file for a minimum of seven years in case of subsequent legal action.

These documents should be maintained separately from the rest of the resident file.

It is recommended that two files/folders are set up for each resident to maintain the records according to retention value. With the ACGME guidelines for keeping records past the stated schedule, a *Business Need Retention Schedule* should be created for the records to be kept according to these guidelines after their retention period has been met. All records kept per ACGME guidelines under the established Business Need Retention Schedule will need to be maintained within the program and cannot be sent to UW Records Management Services. Programs will need to save the completed template in a shared program location for future reference. The Business Need Retention Schedule template is attached to this policy. Definitions needed can be found following the template.

- [Resident Physician/Medical Student Evaluation--Raw Data](#): Data used to evaluate the resident's performance will be summarized and merged into Department Resident Files. Raw evaluation data will be retained for six (6) years after the resident has completed the program or until any dispute involving the resident has been resolved, whichever occurs later.

- [Resident/Physician/Medical Student Evaluation--Summaries](#): Evaluations completed by attending physicians, peer physicians, supervising physicians, residents, or medical students. Includes evaluative comments regarding clinical knowledge, skills, interpersonal relationships, and personal/professional characteristic. The evaluations are merged into Department Resident Files. Retention is 45 years after completion of training.
- [Admission Applications—Not Accepted, Not Entered, or Application Incomplete](#): 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.

Certain documents are considered to have no administrative, legal, fiscal or archival requirements for their retention and can be disposed of as soon as they have served their reference purpose. A [full list of documents](#) is on the UW Records Management Services website.

Contacts: **Courtney Ng** (public records requests, records retention, records schedules)
Records Manager
Dean's Office, UW School of Medicine
206.221.8584
ccrocker@uw.edu

Barbara Benson (scanning policy approval, unstructured data management, records storage)
Director
UW Records Management Services
206.543.7950
bbenson@uw.edu
<https://finance.uw.edu/recmgt/home>

Attachments: Resident/Fellow File Content Checklist
Consent to Release Information by UW School of Medicine for Credentialing and Privileging Form

Resource: Business Need Retention Schedule

Resident/Fellow File Content Checklist

Resident and files may be contained in an electronic system (e.g., MedHub) or in a combination of paper and electronic records. Programs should develop and document internal processes for management of resident files.

Application

- Program Application (ERAS application or other)
- Curriculum Vitae
- Letters of recommendation
- Copy of medical school diploma
- ECFMG Certification¹
- Summative competency-based evaluation(s) of previous GME experience(s)
- Other appointment documentation required by program

Appointment and Certification

- GME Onboarding Form
- Residency/Fellowship Position Appointment (RFPA) Signature Page(s)
- UW Conviction Criminal History Form
- Washington State Patrol Request Form
- UW Medicine Privacy, Confidentiality, and Information Security Agreement (PCISA)
- Program required training (e.g., ACLS)¹
- USMLE Scores
- Medical/Dental License¹
- DEA Registration
- Visa applications and sponsorship approvals (DS2019, I-797)
- Employment Authorization Document (EAD) Card

Curriculum

- Rotation and training experiences^{1,2}
- Case/procedure logs^{1,2}
- Conference and journal club attendance
- Scholarly activity and quality improvement projects¹
- Local and national presentations

Evaluation & Remediation

- End of rotation/quarterly faculty evaluations
- Summative Evaluation (end of year)
- Self-Evaluations¹
- Final Evaluation²
- 360 evaluations¹
- Mini-CEXs
- Patient satisfaction surveys
- Self-assessments
- Presentations evaluations
- In-training exam scores
- Individualized Learning Plans (ILPs)
- Semiannual evaluations
- Board scores and progress reports
- Milestones Reports to ACGME
- Correspondence regarding disciplinary actions and followup (remediation, probation, non-renewal, or dismissal, as applicable)¹

Other

- Correspondence to and from the ACGME, Board, etc.
- Leaves of absence requests and related documentation
- Outside Work Requests and approvals¹
- Volunteer requests and approvals
- Documentation of approvals for additional compensation
- Local and/or national awards

Graduate Records

- Final summative evaluations signed by program director and resident/fellow
- Graduation certificate(s) from UW programs
- Final Milestones Report to ACGME
- Final report to Board
- Summative competency-based evaluation of UW GME experience to other programs
- Hospital privileging and credentialing documents, training verification requests

¹ Must be available for review by the Accreditation Field Representative at the time of a Site Visit

² Documents to be retained indefinitely per ACGME guidelines

Consent to Release Information By UW School of Medicine for Credentialing and Privileging

I, <<insert first and last name>>, authorize University of Washington and its employees and agents, including the School of Medicine Department of <<insert Department name>> and its faculty and staff, ("the UW") to release and disclose to <<insert name of organization>> all documentation and information, in any form including but not limited to oral, the UW may have relevant to my professional qualifications and competency to practice medicine, in general and as a member of my specialty; my performance and ethics as a medical student, resident, fellow, or faculty member at the UW, including copies of formal evaluations, informal evaluations such as patient letters or attending emails to the residency or fellowship program, and any documents or information related to probation, non-renewal, or termination; and my mental and physical health status. I understand that <<insert name of organization>> is requesting information included in the description above as part of an investigation related to my application for credentialing and privileging.

I understand that fax transmissions of documents are not encrypted or secure. I agree that the UW's sole responsibility related to fax transmission of these documents is to fax them to a number provided by <<insert name of organization>>, taking reasonable care to ensure that number is dialed correctly, with a cover sheet indicating the documents are confidential.

I extend absolute immunity to, release from any liability, and agree not to sue the UW, including its employees or agents, in relation to (1) disclosing the above documentation and information to <<insert name of organization>>, or (2) any action taken by <<insert name of organization>> or other persons, agencies, or entities in relation to, in connection with, or as a result of the disclosure of the above documentation and information.

SIGNATURE DATE

PRINT NAME

SIGNED FORMS MAY BE RETURNED TO THE PROGRAM VIA FAX OR PDF PROVIDED THAT THE ORIGINAL SIGNED FORM IS PLACED IN US MAIL TO THE PROGRAM (AND POST-MARKED) THE SAME DAY. PAPER COPIES OF THE ABOVE DOCUMENTATION WILL NOT BE SENT UNTIL THE ORIGINAL OF THIS FORM IS RECEIVED BY THE PROGRAM.

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For UW Use

DISCLOSURE(S) MADE TO <<insert name of organization>>

DISCLOSURE MADE TO _____ BY _____ ON _____
NAME, TITLE NAME, TITLE DATE

DISCLOSURE MADE TO _____ BY _____ ON _____
NAME, TITLE NAME, TITLE DATE

DISCLOSURE MADE TO _____ BY _____ ON _____
NAME, TITLE NAME, TITLE DATE

Business Need Retention Schedule

Purpose: This schedule is designed to document retention requirements imposed on documents, after they have reached their set retention from the state schedule, based on business needs. This business need is being documented for the future maintenance of these records for consistency and to justify the liability created through retaining them past their disposition date.

Scope: This schedule applies to XX (i.e. original and working copies of records created or maintained by employees holding the position of XX.)

Date of Adoption:

Date of Revision:

Created by:

Description of Records	Retention	Business Need (specific date)	Disposition Date	Document Format P- Paper E - Electronic	Recommended Custody & Location	Comments & References	Disposal Action D - Destroy [Date] R – Retain
Record Category: <i>[Describe the types of documents that are kept past their minimum requirement established by the state.]</i>							
Record Title							
Record Title							
Record Category: <i>[Describe the types of documents that are kept past their minimum requirement established by the state.]</i>							
Record Title							
Record Title							

Retention: State assigned value (i.e. – 6 years after completion of program)

Business Need: Must be an assigned date so that this need can be reassessed to see if it is still applicable. CANNOT BE INDEFINITE.

Disposition Date: The date the record has met its State assigned retention value.

Recommended Custody & Location: Program/position that will manage the record during the business need retention period and record location