

## 025\_GMEC\_Resident Records Content, Access and Retention Policy

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| Title:                | <b>Resident Records Content, Access and Retention Policy</b> | Index Number:    | <b>FM-GMEC-025</b> |                   |  |
| Scope of application: | <b>All Graduate Medical Education (GME) Programs</b>         | Original Date:   | Reviewed on:       | Next Review Date: |  |
|                       |  | <b>25.6.2014</b> | <b>15.01.2024</b>  | <b>15.01.2027</b> |  |

### 1. Purpose

- 1.1. To protect and preserve the privacy of residents' files
- 1.2. To outline the responsibilities of the GME training programs and the GME Office with regards to maintaining accurate and up-to-date records on all AUB residents
- 1.3. To standardize records retention practices in order to adhere to minimum standard guidelines of the ACGME-I and the AUB regulations.

### 2. Policy

The GME Office and GME Training Programs at the Department level will each maintain a file on each resident in training at the Faculty of Medicine and Medical Center at the American University of Beirut.

The resident file at the GME Office and the Department level can be in paper and electronic format and is the property of the Faculty of Medicine and Medical Center at the American University of Beirut.

#### 2.1. Content of the Resident's File:

- 2.1.1. Upon signature of the resident agreement:
  - 2.1.1.1. The GME Office and the program coordinator at departmental level shall initiate, create and maintain a file for each resident.
  - 2.1.1.2. Original documents are sent to the Human Resources (HR) Department at AUB Campus to process the resident's appointment. The documents include but are not limited to application, required papers for selection, resident agreement and pre-employment paperwork.
  - 2.1.1.3. Copies of all papers sent to the HR for appointment will be available at the GME Office.
- 2.1.2. During the academic year:
  - 2.1.2.1. It is the responsibility of the resident and/or program coordinator to inform the GME Office of any personal changes to be made the

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resident file such as change of telephone number or address, marital status, dependents, scholastic achievements, individuals to notify in case of emergency, licensure from the Lebanese Ministry of Public Health or registration at Lebanese Order of Physicians (LOP). The GME will notify the Department of the HR-Campus of any change made in the resident file.

2.1.2.2. All information received or verified will be filed in the resident file at the Department level and/or GME Office

2.1.3. The resident's file will include the following:

| <b>Resident File Components</b>                | <b>Detailed Documents</b>  | <b>Level</b>                      |
|--|--|-----------------------------------|
| Application                                    | Certification of identification form<br>Photocopy of the identification card &/or passport<br>Curriculum vitae (CV)<br>Personal statement (if applicable)  | Department<br>Level<br>GME Office |
| Required papers for selection                  | Copy of the medical degree (md)<br>Copy of the medical school transcript of record<br>Copy of the residency training diploma (if applicable)<br>Letters of recommendation (at least three letters including the Dean's letter from the medical school)<br>Score reports of the medical exams like USMLE steps 1 & 2 CK or IFOM BSE & CSE Score reports of the English language proficiency examination for the non-AUB graduates   | Department<br>Level<br>GME Office |
| Pre-employment paper work                      | Valid Judicial/Police Record (within 6 months)<br>Conflict of interest form<br>Emergency call address form<br>Ministry of finance form R4<br>Citizenship declaration form<br>Information & computer resources use form<br>Release information regarding academic credentials forms<br>HIP excerpts & enrollment request & authorization or waiver<br>Confidentiality statement<br>Personal legal information form<br>Statement of compliance with business ethics<br>Primary source verification<br>Review Acknowledgement Form of AUB Policies and Procedures Concerning Sexual and Other Discriminatory Harassment<br>AUBHealth / Epic Use & Security Agreement<br>IT Information & Computer Resources Acceptable Use Policy | GME Office                        |
| Resident agreement (for each year of training) | Letter of intent<br>Resident agreement   | Department<br>Level<br>GME Office |

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| Required sessions, courses & licenses for appointment & re-appointment                                    | Orientation<br>Resuscitation certification (BLS, ACLS/PALS, Trauma,..)<br>CVC Course<br>Moodle courses (infection control, waste management, fire safety, sharps safety, infant/child abduction, documentation in the medical record, AUBMC core policies, & conscious sedation)<br>License to practice Medicine from the Lebanese Ministry of Public Health (if applicable and required only from Lebanese residents)             | Department Level<br>GME Office |
| Leave of absence  | Leave requests (annual, sick, maternity, paternity...)   | Department Level<br>GME Office |
| Moonlighting forms  | Annually approved moonlighting forms   | Department Level<br>GME Office |
| Resident's rotation schedules, training experience and logs   | Yearly & monthly schedules per PGY level<br>Procedure logs<br>Duty hour logs (Time sheets)<br>Examination results (Arab Board, in-service, OSCE, mini-CEX...)<br>Resident rotation associated evaluations (by faculty members, fellows, peers, medical students, nurses, patients & self...)<br>Conference attendance (M&M, GME lectures,...)<br>Projects (research, PI, & patient safety involvement)<br>PowerPoint Presentations | Department Level               |
| Signed mid & end of year evaluation forms   | Conference attendance & participation<br>Procedure logs<br>Summary of competency based evaluations (retrieved from Myevaluations.com)<br>Examination scores<br>Compliance with duty hours, medical records<br>Required courses (ACLS/BLS...)<br>Projects<br>Other information like career development  | Department Level<br>GME Office |
| Summative evaluation & certificate of completion  | Summative evaluation upon the successful completion of the program as required by ACGME-I<br>Copy of the residency/fellowship diploma with dates of training   | Department Level<br>GME Office |
| Any record of honors or awards or disciplinary actions, probation, suspension, termination or remediation |  | Department Level<br>GME Office |
| Grievance filing (if applicable)  |  | GME Office                     |
| Any other document judged important by the GME Director & Program Director or                             |  | Department Level<br>GME Office |

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| required by accreditation bodies |  |  |
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### 2.2. Access to the Resident's File:



- 2.2.1. The resident file is regarded as strictly confidential and access to it is limited to those who have a job-related need to know the information.
- 2.2.2. The resident file is available only to the Associate Dean for Medical Education, DIO/Assistant Dean for GME, Program Director, the Programs' Committees (the Clinical Competency Committee and Program Evaluation Committee) and designated administrative staff in the GME Office and in the applicable residency and fellowship offices.
- 2.2.3. The Program Director and the DIO/Assistant Dean for GME may disclose the file, or portions thereof, to others whom they judge have a legitimate need for the information. Legitimate need can be, but not limited to, matters relating to the education of the program and the quality of patient care in the program. The Program Director and the DIO/Assistant Dean for GME may disclose the file, or portions thereof, to others as authorized in writing by the resident.
- 2.2.4. On reasonable request and upon approval of the Program Director or the DIO/ Assistant Dean for GME, the resident shall have access to his/her file under direct supervision of a designated staff member. The resident will have full access to file and may have a copy of his/her file. The resident shall not take or alter documents found in the file.
- 2.2.5. Documents can only be removed from the file as authorized by the Program Director and DIO/Assistant Dean for GME.

### 2.3. Retention of the Resident's File:

- 2.3.1. The resident file is regarded as confidential and will be maintained in a secure location.
- 2.3.2. The resident file is to be maintained at the GME Office and the Department level as a permanent record.
- 2.3.3. Discretion over records about referral for psychiatric evaluations, drug counseling or health problems must be observed by the Program Director and the DIO/ Assistant Dean for GME. If the consultation is important to the educational process of the resident, then it should be included in the file. If the condition is successfully resolved during training, then it is not necessary to maintain documentation in the permanent record unless condition or incident was reportable to the authorities or the Program Director and the DIO/Assistant Dean for GME feel that the information may be needed in the future to substantiate the summary or exit evaluation of the resident.

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3. Signatures

| Reviewed and Approved by   | Name                 | Signature  | Date       |
|--|----------------------|--|------------|
| Assistant Dean for Graduate Medical Education (GME) & Chair of Graduate Medical Education Committee (GMEC) | Salah Zeineldine, MD |  | 05.02.2024 |
| Executive Associate Dean for Medical Education   | Kamal Badr, MD       |  | 05.02.2024 |