

POLICY: **House Staff Record Retention and Academic File Policy**

Purpose: **Guideline for Access and Management of House Staff and Applicant Academic Records**

Policy:

The UCSF Fresno Medical Education Program upholds the highest standards regarding the management of house staff academic records and confidentiality. Faculty and administrative staff may have access to academic records on a need-to-know basis for the course of employment, performance improvement, research, or education/training. All such information is confidential in accordance with Civil Code Section 1798-1798.1 and 56.20-56.245 for medical information confidentiality laws, rules and regulations. A violation of this policy may result in corrective action up to and including termination of employment or training. A misuse of medical data and/or inappropriate release or disclosure of information may also result in penalties for violation of medical privacy, as covered under federal law (i.e. HIPAA).

Disclosure of employment/training information and requests from outside parties shall require an appropriate signed release form from the house staff specifying what information UCSF Fresno shall disclose. Exceptions to this policy may apply to requests from state and/or federal agencies where UCSF Fresno is required to respond to requests for information, inspections, or investigations.

House staff shall have access to their own academic records, both while employed and after termination of their academic training by request. House staff will not have access to Dean's letters or letters of recommendations within their files if they have previously waived their rights to view them. Requests to review an academic file shall be scheduled at a reasonable time, by appointment. House staff may request an appointment by contacting their training program, the GME office at (559) 499-6520 or via email to: gme@fresno.ucsf.edu. House staff may not remove any items from the academic record. Record review shall occur while in the presence of an appropriate individual as designated by GME or the Program Director. House staff may request a copy of their academic file; however, photocopying charges may be assessed. Requests to include as part of their academic record responses to evaluations or disciplinary actions, or to include any other relevant information will be considered after review by the Associate Dean. Items that are to be maintained in the house staff's academic file include:

- Application for residency/fellowship training and other related information;
- Hiring authorizations (contracts);
- Change orders in records;
- Notices of commendation, warning, discipline, probation, or termination;
- Notices of leave of absence;
- Education and training notices and records;
- Test results (USMLE, In Training Examinations, etc.);
- Evaluations including written from faculty and others and six month evaluations by the Program director, his/her designee and/or resident evaluation committee;
- House staff rotations and other training experiences including procedures as applicable;
- Promotion recommendations;
- Records of disciplinary actions and/or grievances affecting residency status
- If house staff are engaged in moonlighting, a prospective, written statement of permission from the Program Director must be included within the file;
- Final ACGME milestone evaluation;

- Copy of graduation certificate;
- Final evaluation signed by the Program Director (if trainee has left the program).

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 releases;
- Any physician report or lab results;
- Workers compensation records;
- Information about disabilities being accommodated under the Americans with Disabilities Act (ADA); and
- Other records that relate in any way to a trainee's medical history
- EEO Records
- 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.

The master house staff academic file shall be maintained and be the responsibility of the GME office. Specific detailed training records shall be maintained by the Program Director in the residency/fellowship training program. House staff academic records must not be destroyed and shall be maintained by the GME and training programs in a secure location.

Combined File Procedure:

1. Once house staff graduates, leave, or is terminated from a program, the program file is to be completed. All file documentation, including any outstanding evaluations, correspondence, or miscellaneous notes will be placed in the file.
2. All patient information within the file should be de-identified. De-identification includes removal of all patient names, geographic locations (city and state), telephone and fax numbers, e-mail addresses, social security numbers, medical record and account numbers, health plan beneficiary numbers, certificate or license numbers, facial photographic images, and any other unique identifying number, characteristic or code.
3. Completed, de-identified files will be provided to the GME by the program within 6 months of the resident/fellow's departure from the program.
4. The GME places the program house staff file along with the GME house staff file next to each other into one completed final area in alphabetical order within the GME file room.
5. The HR resident file is placed behind the resident's academic file in the appropriate file section.
6. The GME maintains all house staff files for utilization in responding to verifications and/or questions related to house staff that have graduated, left, or were terminated from the UCSF Fresno Medical Education program.
7. Programs may request files from the GME file room by contacting the GME office or emailing: gme@fresno.ucsf.edu. The GME office will notify the program once the requested file(s) is ready to be picked up.

Applicant Record Retention

Each program shall store all materials related to queries and applications, both complete and incomplete, in the program office or in a location immediately accessible to the office for the current year and the previous year. Applicants who are selected for a GME program will have their materials moved into their individual academic file (see above). Application documents prior to the previous year may be boxed, labeled, and stored in a secure UCSF Fresno storage area. Files will be stored categorically, then alphabetically, and appropriately labeled with the program, year, and stamped confidential. After four years (or the length of the program if it is longer than four years), the application materials will be destroyed in such a way as to preserve their confidential nature.

(Original signed Policy is available in the UCSF Fresno Office of Graduate Medical Education)

Michael Peterson, MD, Assoc. Dean, Co-Chair GMEC



HOUSE STAFF ACADEMIC FILE REQUEST

Date: _____

Full Name (please print): _____

REQUEST TO RECEIVE A COPY OF ACADEMIC FILE

*Fee paid ☐

My signature below acknowledges my request to receive a copy of my **resident/fellow** (circle one) academic file, and I understand that a fee of 10¢ per page must be paid prior to the release of such copies.

Signature

Date

REQUEST TO HAVE A COPY OF ACADEMIC FILE MAILED

*Fee paid ☐

Mailing Address:

My signature below acknowledges my request to have a copy of my **resident/fellow** (circle one) academic file mailed and I understand that a fee of 10¢ per page must be paid prior to the release of such copies.

Signature

Date

*Please make check payable to UC REGENTS and forward to the UCSF Fresno, Office of Graduate