1. PURPOSE

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

2. POLICY

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.

3. SCOPE

This policy applies to all Indiana University School of Medicine (IUSM) GME resident physicians.

4. DEFINITIONS

4.1 ACGME is the Accreditation Council for Graduate Medical Education.

4.2 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.

5. PROCEDURE

The following guidelines for retention will apply to specific records and files.

5.1 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
5.2 **Rotations and Call Schedules**
Two Years

5.3 **Evaluations**
Monthly: Three to five years  
Biannually: Three to five years  
Summary at end of year: Indefinitely  
Summary at end of training: Indefinitely

5.4 **Disciplinary Cases**
Keep all records indefinitely.

5.5 **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

6. **IMPLEMENTATION**

The Designated Institutional Official (DIO) for Graduate Medical Education is responsible for implementation of this policy.

7. **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.

8. **REFERENCES**

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