



## Stony Brook Medicine Graduate Medical Education

<b>Subject:</b> GME0046 Record Retention	<b>Published Date:</b> 06/28/2018
Graduate Medical Education	<b>Next Review Date:</b> 06/28/2021
<b>Scope:</b> SBM Stony Brook Campus	<b>Original Creation Date:</b> 06/19/2018

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### **Responsible Department/Division/Committee:**

Graduate Medical Education Committee

### **Policy:**

The GME office has a process for the retention of resident records.

### **Definitions:**

None

### **Procedures:**

The GME office has determined that the following core files should be kept indefinitely for residents recommended for Board certification:

1. A summation of the resident's evaluations (final evaluation) and/or the final letter by the Program Director
2. Records of dates of training
3. Trainee's rotations
4. Training experience, and procedures
5. Records of disciplinary actions
6. Materials required by the ACGME/RRC
7. Other records judged important by the Program Director

Items 1 through 6 must be maintained on New Innovations. Item 7 may be maintained on New Innovations, or alternate means within the program.

For residents that have completed the program and are recommended for Board certification, the following files may be destroyed after 7 years:

- Rotational evaluations; Letters of recommendation
- Annual/Semi-Annual Evaluations; Self-Evaluations; 360-degree Evaluations, Resident Data Sheet
- License information; ERAS application
- Curriculum Vitae; ECFMG Certificate

For residents who do not complete the program or who are not recommended for Board certification, the entire file should be maintained as a permanent record for at least seven years (longest statute of limitations for legal challenge by affected resident). This may be a combination of New Innovations and alternate means.

### **Special consideration**

Records related to referrals or treatment for mental health, substance abuse/alcohol dependency, or other health issues should be retained if such issues resulted in gaps in the residency, delays or non-completion of the program.

### **Electronic Records**

An electronic record for residents should be stored in New Innovations as outlined above. Data in the electronic record should not be removed or replaced. Other records may be maintained on New Innovations, or alternate means (either paper or electronic), but must be maintained as outlined above.

### **Conversion of Paper Records to New Innovations Record**

Paper files may be scanned and uploaded to New Innovations. If a resident record does not exist on New Innovations for past residents, it can be created and added to New Innovations. The department is responsible for confirming all of the information required to be kept indefinitely is uploaded in its entirety with a clearly scanned copy. After any paper file is converted to electronic format the program is required to complete the "Records Disposition Log".

### **Forms: (Ctrl-Click form name to view)**

None

### **Policy Cross Reference: (Ctrl-Click policy name to view)**

None

**Relevant Standards/Codes/Rules/Regulations/Statutes:**

None

**References and Resources:**

None