

**Wright State University
Boonshoft School of Medicine
EDUCATIONAL PROGRAMS RETENTION SCHEDULE
January 2020**

WSU Records Series Number	Medium Code ¹	Records Series Title and Description	IUC Code ²	Retention Period
UNDERGRADUATE MEDICAL EDUCATION (UME)				
SMED19-01 (Formerly SMSA10-02)	P/E	Active and Permanent Student Records Boonshoft School of Medicine (BSOM) UME program complies with the American Association of Medical Education (AAMC) Guidelines for Maintaining Active and Permanent Individual Student Records [see <i>attached Appendix A</i>]	EDU1000	Per record type, retain for the duration of time stated in the AAMC Guidelines for Maintaining Active and Permanent Individual Student Records. <i>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</i>
SMED19-02 (Formerly INMD08-09)	P/E	Course Work and Examinations Course work and related documentation for classes administered by Office of Medical Education (OME) and departments (clerkships/electives) across all 4 years of the curriculum. Records include grade books, exams, worksheets, and projects completed by students.	EDU1000	Retain for one year after grade is issued. <i>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</i>
SMED19-03	P/E	Grades – Appeals Documentation of appeals submitted by students to course/clerkship directors or department chairpersons for any graded items.	ADM9000	Retain for 1 year after the final appeal decision is rendered. <i>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</i>
SMED19-04	P/E	Grades – Changes Documentation of any graded items that have been changed in a student's record. Grade changes may be a result of a student grade appeal, or an internal audit for accuracy of student grades.	ADM9000	Retain for 5 years after graduation or separation. <i>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</i>
SMED19-05 (formerly SMSA10-16)	P/E	Scholarships Includes applications, correspondence, and general information on scholarships (federal, Boonshoft School of Medicine, and external sources) awarded to Boonshoft School of Medicine students.	EDU2000	Retain while active plus six years, then destroy. Retain list of recipients and scholarship awarded permanently* <i>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</i>

SMED19-06 (formerly SMSA10-15)	P/E	<p><u>Student Loans-External/Internal</u> This series includes:</p> <ol style="list-style-type: none"> Internal: short-term loan promissory notes (all delinquent notes/accounts are sent to Student Loan Collections, Bursar's Office). Originals in Student Loan Collections, duplicates in SOM Financial Aid office. Internal campus-based loan programs. Originals in Student Loan Collections. No documentation held in SOM Financial Aid office. External: loan contracts between the students and the School of Medicine. Originals with the lender. Duplicates in SOM Financial Aid office. Student also maintains a copy. <p>Note: Loan files are arranged by academic year (graduating class) and last/first name</p>	EDU2000	<p>a) Retain duplicates until paid in full plus four years. b) Refer to Bursar's office records retention schedule, records series BURS99-22. c) Destroy duplicates after graduation.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>
GRADUATE MEDICAL EDUCATION (GME)				
SMED19-07 (formerly SMSA10-02)	P/E	<p><u>Current and Permanent Resident and Fellow Records</u> BSOM-sponsored residency and fellowship programs comply with the Accreditation Council for Graduate Medical Education (ACGME) Expectations for Content of Resident and Fellow Files [see attached Appendices B and C].</p>	EDU3000 PER3010	<p>Per record type, retain for the duration of time stated in the "Records Retention Guidelines" [see attached Appendix B].</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>
CONTINUING MEDICAL EDUCATION (CME)				
SMED19-08 (formerly SMFC15-12)	E	<p><u>Training Programs-CME</u> Includes information on Continuing Medical Education programs and attendance records.</p>	PER5000	<p>Retain attendance records six years after program date (per guidelines of accrediting body). Retain program files one year after accreditation visit date.</p>
POPULATION & PUBLIC HEALTH SCIENCES GRADUATE PROGRAMS				
SMED19-09 (formerly MDCH17-18)	P/E	<p><u>Programs- Division of Health Systems and Policy</u></p> <ul style="list-style-type: none"> • Certificate in Health Care Management • Certificate in Public Health Emergency Preparedness • Certificate in Public Health Leadership • Health Care Management Concentration • Medical Humanities 	EDU3000 EDU1010	<p>Retain student files for 6 years after student separates from program. Retain administrative files while current + 6 years, then review for continuing administrative or historical value. Transfer materials of historical value to University Archives.</p>
SMED19-10 (formerly MDCH17-19)	P/E	<p><u>Programs- Division of International and Environmental Health</u></p> <ul style="list-style-type: none"> • Center for Global Health 	EDU3000 LEG2000	<p>Retain administrative program files while current + 6 years, then review for continuing administrative or historical value. Transfer materials of historical value to University Archives.</p>

Guidelines for Maintaining Active and Permanent Individual Student Records in the Registrar's Office

AAMC Group on Student Affairs Committee on Student Records (2015)

The Guidelines for Maintaining Active and Permanent Individual Student Records, originally approved in February 2005 by the AAMC Executive Council, was written by the Committee on Student Records to assist medical school records officers in developing and implementing medical school policies relating to the maintenance and disposition of academic records for enrolled students, former students, and graduates.

This list below is not intended to be exhaustive; rather, it is designed to reference records that are most commonly maintained in the Registrar's Office by the medical school records officer. These records are often necessary to reflect a complete, unabridged account of a student's academic progress at an institution. Furthermore, they are frequently referenced during credentialing processes.

The American Association of College Registrars and Admissions Officers (AACRAO) Guide for the Retention and Disposal of Student Records was referenced while creating this document. Record custodians are encouraged to review the AACRAO's publication in full (www.aacrao.org). Additionally, records officers are well advised to consult (1) their institutional general counsel's office regarding institution-specific record-keeping requirements, (2) their state's Division of Archive and/or Department of Higher Education regarding student record-keeping laws and (3) their state medical licensing agency regarding specific state record-keeping requirements when developing school policies, as the requirements of these entities supersede these Guidelines.

	Type of Record	Active Record		Permanent Record		Notes
		Yes	No	Yes	No	
1	AMCAS application, including the personal statement, experience history, Medical College Admission Test (MCAT) scores, GPAs, grade point averages, etc.	√		√*		*Maintain AMCAS application for 5 years after graduation or separation. American Medical College Application Service (AMCAS) data is maintained in electronic format for 5 years after the year of application.
2	Transcript(s) for coursework completed at another educational institution.	√		√*		*Transcripts from previously attended institutions may be necessary for credentialing purposes. These transcripts are the property of the issuing institution and should not be distributed to other institutions on behalf of the student.
3	Transcript(s) of all medical school coursework.	√		√		
4	Dates of enrollment in medical school, including matriculation date, start and end dates of each academic year, dates of leaves of absence, withdrawal, dismissal and/or graduation date.	√		√		
5	Enrollment verifications and letters of good standing.	√			√	
6	United States Medical Licensing (USMLE) score(s), exam date and notation of pass/fail.	√		√*		*Scores should be maintained if passing the exam(s) is required for promotion and/or graduation. These scores are the property of the National Board of Medical Examiners (NBME). Scores may not be distributed to other agencies or institutions on behalf of the student.
7	Students final course performance evaluations	√		√*		*Maintain for 5 years after graduation or separation.
8	Medical Student Performance Evaluation (MSPE, formerly Dean's Letter), including appendices.	√		√		
9	Documentation of grade changes.	√		√*		*Maintain for 5 years after graduation or separation.
10	Documentation of grade appeals.	√		√*		*Maintain for 1 year after the final appeal decision is rendered.
11	Change of status forms and letters related to leaves of absence, extended academic schedule, academic remediation, name change, etc., as well as documentation of dismissal or withdrawal.	√		√*		*Optional in the permanent record if the change is documented in the database, on the transcript, or in the MSPE. Also available in AAMC Student Records System (SRS).
12	Final disposition of disciplinary action records (with or without sanctions).	√		√		
13	Documents signed by the student, such as those related to Health Insurance Portability and Accountability Act (HIPAA) compliance, universal precautions training, BLS training, MSPE release waiver, and any other documentation of training in specific areas.	√			√	
14	Institutional technical standard forms for admission and graduation.	√		√		
15	Personal identification such as the student's photograph and the student's signature.	√		√		
16	Copy of medical school diploma.	N/A		√		

Depending on the structure of the medical school, in addition to the paper and/or electronic records maintained in the medical school Registrar's Office, other school offices may maintain records that may or may not be considered permanent student records. It is recommended that institutions, in consultation with their general counsel, devise their own policies and procedures regarding the maintenance of these types of records, which may include, but are not limited to:

- Americans with Disabilities Act (ADA) documents and accommodation statements;
- Copies of class grade sheets held by departmental offices, copies of students' clinical clerkship performance evaluations written by faculty members, and narrative summaries held by clinical clerkship departmental offices;
- Criminal background checks or toxicology screenings conducted at admission and/or during periods of matriculation;
- Disciplinary action records (with or without sanctions);
- Financial Aid records;
- International student documentation (including I-20 forms);
- Letters of recommendation (LOR) for admission to medical school, residency application letters of application and other types of letters of recommendation;
- Minutes and other documentation from Promotion Committee meetings;
- Notes from Student Affairs Deans, Minority Affairs Officers, ADA Officers, Faculty Advisors;
- Notice of awards, research abstracts, publications, curriculum vitae (CV), Letters of appreciation from patients, commendation letters from faculty, etc.;
- Student health and immunization records.

Should you have any questions about the aforementioned guidelines, please contact the AAMC Committee on Student Records at cosr@aamc.org.

Approved by the GSA Steering Committee on 11/10/2015

Graduate Medical Education Records Retention Guidelines

1. Each graduate medical education program will maintain a program file for each resident and fellow. The file will contain a record of the resident's specific rotations and other educational experiences (including procedural logs), evaluations, periodic summative reviews, any disciplinary actions, the final evaluation by the program director, and other information concerning the resident that the program director judges appropriate to maintain in the file for educational and/or credentialing purposes.
2. The employing hospital will maintain an employment file concerning employment and HR issues for each resident.
3. The attached Records Retention Worksheet contains specific guidelines for the management of documents within both the program and the employment files.
4. The resident's program file will be treated as a confidential document. Files will be maintained in a secure location and will be available only to the Program Director, the Director of Graduate Medical Education, the program's evaluation committee, designated staff, and the resident. The resident's access to his or her file should be under direct supervision of a designated staff member of the program or the medical education department.
5. The Program Director may disclose the program file, or portions thereof, to others judged to have a legitimate need for the information, for reasons relating to the accreditation of the program or of the program's participating institutions. The Program Director may also disclose the file, or portions thereof, to others, as authorized in writing by the resident.

**Graduate Medical Education
RECORDS RETENTION WORKSHEET FOR PROGRAMS**

	Program (Educational) File	Retention Period
1	Application ERAS file	Retain permanently
2	BLS/ACLS Documentation (copy)	Retain until resident graduates or until accreditation expires, then destroy
3	Contract/House Officer Agreements	Retain until resident graduates, then destroy
4	Correspondence, Miscellaneous	Retain until resident graduates, then destroy
5	Correspondence regarding academic or disciplinary action	Retain until summative final evaluation is completed, then destroy
6	Credentialing Documents (Tests or Results, i.e. microscopy, restraints, moderate sedation, HIPAA)	Retain results until resident graduates, then destroy
7	ECFMG Documentation	Retain permanently
8	Evaluations	Retain until summative final evaluation is completed, then destroy
9	Family & Contact Info Sheet	Retain until resident graduates, then destroy
10	Final evaluation	Retain permanently
11	Interview Review Sheet(s)	Retain for five years post residency, then destroy
12	In-Training Exam Scores, filed by resident	Retain until resident graduates, then destroy
13	Letter of Offer	Retain until resident graduates, then destroy
14	Medical School Transcripts (copy)	Retain until resident graduates, then destroy
15	Medical School Diploma (copy)	Retain permanently
16	Moonlighting Requests	Retain until resident graduates, then destroy
17	Procedure Checklist/Log or Summary	Retain permanently
18	Recognition Letters	Retain until resident graduates, then destroy
19	Release Form for Verification Info (Used after graduation for releasing information about resident)	Retain permanently
20	Reimbursement/Expenses paid by program funds (travel, meetings, books, etc.)	Retain until resident graduates, then destroy
21	Residency Certificate	Retain permanently
22	State License(s) (copy)	Retain until resident graduates, then destroy
23	Student Loans/Deferments (copy)	Retain until resident graduates, then destroy
24	Vacation/Leave Requests	Retain until resident graduates, then destroy
25	Visa Information	Retain until resident graduates, then destroy

	Employment File	Retention Period
1	BLS/ACLS Documentation (copy)	Retain until resident graduates or until accreditation expires, then destroy
2	Contract/House Officer Agreements	Retain permanently
3	Corporate Compliance Form--renewed annually	Retain until resident graduates, then destroy
4	Correspondence, Miscellaneous	Retain until resident graduates, then destroy
5	Credentialing Documents (Tests or Results, i.e. microscopy, restraints, moderate sedation, HIPAA)	Retain until resident graduates, then destroy
6	Family & Contact Info Sheet	Retain until resident graduates, then destroy
7	Hospital DEA Documentation	Retain until resident graduates or until accreditation expires, then destroy
8	Hospital Doctor Number (copy)	Retain until resident graduates, then destroy
9	Job Description	Retain for 5 years after graduation, then destroy
10	Malpractice Coverage Documentation	Retain permanently
11	Recognition Letters	Retain until resident graduates, then destroy
12	Reimbursement/Expenses paid by employer (travel, meetings, books, etc.)	Retain until resident graduates, then destroy
13	Release Form for Verification Info (Used after graduation for releasing information about resident)	Retain permanently
14	Safety Training--renewed annually	Retain until resident graduates, then destroy
15	State License(s)--copy	Retain until resident graduates, then destroy
16	Training Certificate(s)--copy	Retain until resident graduates, then destroy

ACGME Expectations for Content of Resident and Fellow Files

Department of Field Activities

What are the expectations for content of resident and fellow files?

Minimum content in current residents'/fellows' educational files should include:

- written evaluations from multiple evaluators, including self-evaluations, as specified in the Program Requirements
- periodic evaluations (every six months or more frequently if required by the specialty Review Committee) by the Clinical Competency Committee, and discussed with the resident/fellow by the program director or his/her designee
- records of the resident's/fellow's rotations and other training experiences, including surgical and procedural training as applicable
- medical school graduation documentation, and Education Commission on Foreign Graduate Medical Education (ECFMG) certification for international medical graduates
- for residents/fellows engaged in moonlighting, a prospective, written statement of permission from the program director
- documentation of current training or permanent licensure
- documentation of required added training, such as ACLS, PALS, etc.
- documentation of scholarly activity and quality improvement projects, including records of presentations, abstracts, and publications
- records of any educational disciplinary actions, as pertinent to the particular resident/fellow
- other content as determined by the program director and/or the Sponsoring Institution

Resident and fellow files may be contained in an electronic system, or in a combination of paper and electronic records. Secure storage to prevent loss of records, and electronic file back-up and recovery protocols must be in place and consistently followed. These records must be available for review by the Accreditation Field Representative at the time of the site visit.

Are there expectations for retention of information in resident and fellow files?

The ACGME's standards for document retention and the period for which records need to be kept after a resident's or fellow's graduation defer to institutional document retention standards, which may be based on institutional, state, or other relevant requirements.

The Sponsoring Institution should indefinitely retain the following core files for all residents/fellows who successfully complete the program in order to accommodate future requests for primary source verification of program completion:

- a summation of the resident's/fellow's final summative evaluation, and the letter from the program director indicating readiness for unsupervised practice;
- records of the resident's/fellow's rotations, training experiences, and procedures, as 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.

Programs with specific questions about what documents to include in their residents'/fellows' files and for what period of time should consult their designated institutional official and, as needed, institutional legal counsel.