



RETENTION OF RECORDS RELATING TO INTERNS, RESIDENTS AND CLINICAL FELLOWS

I. STATEMENT OF POLICY

It is the policy of the Johns Hopkins University School of Medicine that each Graduate Medical Education program sponsored by Johns Hopkins will maintain appropriate records concerning each intern, resident, or subspecialty resident or clinical fellow that document dates of attendance [enrollment] in the program, required and elective rotations, periods of absence, progress toward program completion, evaluation of the resident's/clinical fellow's performance in the program, periods of academic probation, disciplinary action, whether or not the resident/clinical fellow satisfactorily completed program requirements and whether or not the resident/clinical fellow is provided certification, as well as such other information related to the resident's/clinical fellow's attendance in the program.

II. EVALUATIVE FILE

A. Contents of File. During the period of a resident's/clinical fellow's attendance in a program, the program shall maintain all written evaluative information concerning the resident/clinical fellow, including required periodic evaluations of the resident's/clinical fellow's performance in all required and elective rotations/training experiences/procedures; interim written evaluations of any kind; official action taken to address academic or training deficiencies or difficulties, including remedial recommendations or academic probation; disciplinary action; leaves of absence and any other documentation relating to a resident's/clinical fellow's performance and conduct in the program. All documents in this file should be shared with the resident/clinical fellow who may then submit a written response that will be included in the evaluative file. The file should contain only documents that are directed to or submitted by the resident/clinical fellow or that contain accurate summaries of meetings with the resident/clinical fellow.

B. Confidentiality of File. The Evaluative File is confidential and will be kept in a secure location. It will state clearly on the outside of the file "Confidential Training Evaluative File—Refer to Policy on Retention of Records Relating to Interns, Residents and Clinical Fellows for permitted access.



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C. Access to the File.

1. Resident/Clinical Fellow. The resident/clinical fellow shall have access to his/her Evaluative File under the direct supervision of a designated staff member of the program office. The resident/clinical fellow is not entitled to copies of the contents of the file.

2. Others. Only the following will have access:

- a. Program director
- b. Associate Dean for Graduate Medical Education
- c. Evaluation committee
- d. Others whom the program director or Associate Dean for GME deems to have a legitimate need for the information
- e. Administrative staff carrying out their assigned responsibilities
- f. Others as authorized in writing by the trainee.

D. Retention of File. The Evaluative File will be retained for a period of five years following the resident's/clinical fellow's completion of the program or earlier termination from the program, unless the program has been directed otherwise by the Office of General Counsel to retain the file for a longer period of time. Thereafter, the Evaluative File will be disposed of in a manner that safeguards the privacy of the resident/clinical fellow.

III. PERSONNEL FILE

A. Contents of File. The program will maintain a file that includes documents relating to the resident's/clinical fellow's application, acceptance and attendance in the program, including the trainee's application, correspondence, contract, records of rotations, training experiences and procedures, records of disciplinary actions, and documents reflecting satisfactory completion of program requirements or non-completion of the program, periods of leave, and other records required by the residency director and any materials required by the Residency Review Committee or ACGME.



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- B. Access to the File. The following will have access to the file:
1. Resident/Clinical Fellow. The resident/clinical fellow shall have access to his/her File of Attendance, except items in the file for which the trainee has waived the right to review, under the direct supervision of a designated staff member of the program office. The resident/clinical fellow is entitled to copies of the contents of the file except those items for which he/she has waived the right of review.
 2. Others.
 - a. Institutional officials having a need to know the contents of the file
 - b. Others as authorized in writing by the trainee
- C. Retention of the File. The File of Attendance will be retained permanently by the program.