



Post Graduate Medical Education Office – Records Management Best Practices

1. Purpose

Purpose of this document is to define the records handling Resident Records that may be held in geographically distributed program offices throughout British Columbia.

2. Authority

The Records Management Office and the PGME Working Group developed this document including the retention schedules under the authority of Board of Governors’ [Policy #117](#) ensuring that UBC business records are managed according to section 2.2 and 2.3 of the policy.

3. Description of Records

This document describes records retention best practices for Resident Records Management distributed across programs and offices with a dotted line reporting relationship with the PGME office.

4. Download and retention of CaRMS records

EV = Event trigger Y = year

Record Type	Matched (Program Offices)	Unmatched
CaRMS records	EV+1Y then securely destroy EV = at completion of residence	Do Not download from CaRMS

NOTE: The PGME office will not retain records downloaded from CaRMS. All matched CaRMS records will be retained in the program offices for the duration of the residence plus 1 year. After the completion of the retention, the Program Offices will securely destroy the CaRMS information as per section 5 and 8 of this document.

5. Disposition & Disposal

Destroy paper records securely (i.e. via cross shredder or bonded shredding company). Digital records should be removed from the drives (or wherever they reside electronically including email) as described in section 8 below. Staff should ensure their “recycling bin” and “deleted folders” are also emptied.

6. Transferring Archival Records

Contact the University’s Records Management Department for transferring archival records.

7. Quality Assurance and Continuous Improvement

As part of the RMO’s continuous improvement framework this document along with schedules and procedures described will be assessed and reviewed by the RMO on an annual basis commencing once year after implementation (Dec 2020) . This process identifies areas for improvement.

8. Records Retention Schedule

UBC PGME Deans office and PGME programs maintain both paper and digital records. This includes, but is not limited to, records related to the admission of residents/trainees, the administration of program committees, the planning and organization of program events and workshops, Policies and Procedures, the management of residents/trainees, and the creation of reports based on resident data or for accreditation and review purposes. The table below describes records that both PGME Deans Office and PGME programs have on site. Where the table refers to PGME programs only, those record series are marked with a star.

Abbreviation Key

- C Current year
- Y Year
- EV Event trigger
- SR Selective Retention
- A Archives
- D Destroy
- ★ Files applicable to PGME programs only

Office	Records Function	Retention
Accreditation		
	Accreditation and Planning (includes pre-surveys, planning records, accreditation packages from sites, final reports, report responses, etc.)	Process or working files, C+8Y, Destroy. Final reports and responses: Permanent Retention send to Archives
	Internal and external reviews and reports (includes reports related to Postgraduate for the strategic plan, and/or reports created for the Department Chair, Program Chair, and Assistant Chair’s)	Process or working files, C+8Y, Destroy. Final reports and responses: Permanent Retention send to Archives when the reiew

Academic / Examination & Evaluation [Teaching]

- | | |
|---|--|
| ★ Examinations (including individual resident assessments in which the resident is provided a copy of their results). | C+1Y Destroy.
Examination summaries.
C+1Y, Destroy. |
| ★ Exam materials (case materials) | EV+ Destroy
EV=when case is no longer valid for examination |
| ★ Sessions/Seminar Evaluation and reviews (Includes evaluations and reviews of seminars/sessions for the purpose of speaker feedback) | C+3Y, Destroy. |
| ★ Core Days, Rounds, and Teaching Sessions (Includes planning records, booking records, correspondence, materials, and speaker content). | C+5Y, Destroy. |

Governance

- | | |
|--|---|
| Policies, Guidelines, Best Practices, Manuals, Needs Assessments, Learning Modules, Departmental Templates and Forms | C+1Y, Selective Retention by Archives. |
| Committees (Minutes, agendas, ToRs) | C+5Y, send to Archives if Committee is high-level/ program-wide otherwise Destroy |
| ★ Program Director Files (includes research and materials, correspondence, reports, media, and records related to involvement in task forces, working groups, and projects. For letters that are part of either HR or the Resident File, retain up to 2Y for convenience then destroy) | EV+2Y, Selective Retention

EV= at end of term
SR= Review for committee or high level decision-making records send to archives |

Legal

- | | |
|--|---|
| Agreements and Contracts (includes affiliation agreements with other universities, Triparty funders or medical departments, but also other kinds of agreements) | EV+7Y, Destroy
EV = at the completion of the agreement or contract |
| FOI Requests (includes request information and <u>copies</u> of requested documents) | EV+5Y, Destroy
EV= when the request is closed, all avenues of appeals are complete and the documents are no longer needed for reference. |

Trainee Management

Unsolicited Information (Includes any unsolicited documents or records that contain the personal information of the sender, such as resumes, cover letters, transcripts, photos etc)

EV+ Destroy.
EV = Once reviewed

- ★ **Admissions and Recruitment Assessments** (Includes Rank order Lists, interview notes and forms, file review forms, checklists, etc.)

EV+1Y, Destroy

EV=At completion of admission or recruitment cycle

- **Applications** (non-CaRMS)

Unsuccessful = C+1Y, Destroy.
Successful = Retain in resident file

- **Certificates of graduating trainees**

C+8Y, Destroy

Applications for CaRMS - Matched for CMGs, IMGs and Sub-Specialty

Matched = Retain for duration of residence + 1Y, Destroy.

Unmatched for CMGs, IMGs and Sub-Specialty Matches of residents who did NOT match

Do not download from CaRMS

Resident Files (paper and digital files)

(includes application records, certificates, AVPs, CCTs, EPA's, field notes, ITERs, CITERs, OSCEs, FITER, Transfers, Waiving, Training Verifications, PEAPs, Electives, leave and vacation management records, letters of good standing, letters of award, correspondence with sites and trainees. Final summative judgement records such as **FITER, remediation plans, disciplinary actions and correspondence should be retained for the full retention**. Field notes and periodic reviews are less important and could be weeded from the file once the summative record exists.

C+50Y, Destroy.
Individual records to be transferred to resident file once process copies are no longer active or once information is entered into an information system

Postgraduate Visiting Electives

EV+7Y, Destroy

EV=when courses are complete

Postgraduate Fellows Records of attendance and grades are sent to home school.)

EV+7Y, Destroy

EV=when courses are complete

Verification of Training (Includes verification letters that past residents request to verify their training, which are only retained for internal reference, and corresponding invoice)

C+50Y, Destroy.

Note: A digital version of verification letters and corresponding invoices may serve as convenience copies for internal reference. This information should be part of the

resident file.

Tracking Documents (Includes any documents used to track entities such as resident contact information, sponsors, community or teaching site information, progress, budget expenditure, etc).

EV+ Destroy.

EV = When tracking document is no longer required

Human Resources

Unsolicited Information (Includes any unsolicited documents or records that contain the personal information of the sender, such as resumes, cover letters, transcripts, photos etc.)

EV+ Destroy.

EV = Once reviewed

Faculty Appointment Support (includes records related to the decision making process, candidate dossiers kept for reference, working drafts of appointment letters and contracts

C+2Y Destroy.

Final letter of appointment and/or contracts to be filed in the individual's personnel file along with records of the decision-making process.

Finance

Expense Reimbursements and Stipends (includes convenience copies of financial files, invoices, budget tracking records)

Keep until sent to Finance, +1Y, Destroy.

Tracking documents, EV+1, Destroy.

EV=when superseded

PGME Program Management

★ **Rotation Scheduling** (Includes correspondence, drafts of schedules, final schedules, etc.

Final Versions: C+2Y, Destroy.
Working Files: Until final is approved, Destroy.

★ **Program Division Files** (Includes contracts, curriculum documents, program/division requirements, alterations to the structure of the program/division, and program/division descriptions)

C+8Y, Selective Retention. SR= Archives will retain curriculum documents, alterations to the structure of the program/division, and program/division descriptions. Destroy remainder.

★ **Program Awards, and Grants** (Includes all process records such as award packages, candidate lists, nominations for all awards such as program awards, Faculty of Medicine awards).

EV+2Y, Selection Retention.

EV= At end of term or Director or Assistant Program Director
SR= review for committee

records or other high-level decision-making record send those records to archives, destroy the remainder.

Systems

System Development and maintenance

EV+ Destroy.
EV = when system and information contained is no longer required

Communications and Events

General inquiries and announcements

Until resolved or distributed, Destroy.

Communications, Newsletters / Publications - Final versions (incl. brochures, pamphlets, abstracts, listserv content, newsletters)

C+3Y, Destroy

Events and Workshops (certificate issued)

Agenda/Schedule, and attendance records, C+1Y, Destroy. Certificate goes into Faculty /Resident File

Events and Workshops (no certificate issued)

C+ 6Y, Destroy
Agenda/ Schedule, and attendance records, C+3Y, Destroy

★ **Journal Club** (includes planning and attendance related records)

C+ 6Y, Destroy

Orientation and information sessions (presentation materials, attendance sheets, handouts, agenda)

EV+ Destroy
EV= when website content is superseded

Website content

EV+ Destroy
EV= when website content is superseded

DOCUMENT CONTROL

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0	Issued for Use	20190705