



**Scope:**

All residents and fellows participating in KIMS training programs

**Purpose:**

1. To protect and preserve the privacy of residents/ fellows' files.
2. To outline the responsibility of the KIMS training programs and PGE office with regards to maintaining accurate and up-to-date records on all KIMS residents and fellows.
3. To standardize records retention practices.

**Policy:**

Resident files provide a comprehensive record of educational activities in a residency or fellowship program. They are also used to verify completion of or participation in residency or fellowship education requirements. The resident file will consist of the file maintained by the respective department/program and the file maintained by the PGE Office. This record may be maintained in hardcopy and/or electronic formats. The hardcopy portion of the file will be maintained in a secure location, and the electronic portion of the file will be passcode protected.

**File Contents:**

Resident files will contain a record of a resident's application and appointment information, curricular activities,



certifications, awards, evaluations, disciplinary actions, graduate records, and any other information concerning the resident that the program director judges appropriate to maintain in the file.

**Accreditation Site Visits:**

In preparation for an accreditation site visit, Programs are advised to ask their Site Visitor how this information should be provided during the site visit. Refer to the Resident/Fellow File Content checklist at the end of this policy for a list of documents maintained in these files.

**File Access:**

The file will be available only to the program director, chair of PGME office, the program' Competency Committee (CCC), and designated program administrative staff.

The program director and the KIMS Designated Official (DO) or designee may disclose the file, or portions thereof, to individuals with a business need for the information; this may include matters relating to the education in the program, the quality of patient care in the program, or Accreditation site visits. The program director and the DO or designee may also disclose the file, or portions thereof, to others as authorized in writing by the resident for credentialing purposes. See attached Consent to Release Information by KIMS for Credentialing and Privileging Form.



**Resident Access to Files:**

Upon request a resident or graduate shall be provided with timely access to their file under direct supervision of the program director or designated program administrative staff and may obtain a copy of his or her file, subject to redactions as required by applicable confidentiality, privacy and privilege protections under the law. The resident is responsible for the cost of printing of documents, as applicable.

**Final Evaluation and Training Verifications:** The final evaluation must become part of the resident's permanent record maintained by the institution and must be accessible for review by the resident in accordance with institutional policy.

**Retention Schedules:**

**Resident and Fellow Files:** Provides a comprehensive record of accepted applicants to a residency or fellowship program. Documents the completion of residency or fellowship education requirements (or early departure from program prior to completion), and may include evaluations, letters of recommendation, application, correspondence, certifications, etc. Upon successful completion of or withdrawal from a training program, the entire file will be



maintained in the program office for a period of five (5) years. After five years, the file will be transferred to and maintained by KIMS Records Management Services for the remaining years of the retention period of 45 years.

NOTE: the following documents should kept indefinitely: final summative evaluation, letter from program director indicating readiness for unsupervised practice (FITERS), records of rotations, training experiences, procedures 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 five years in case of subsequent legal action. These documents should be maintained separately from the rest of the resident file. It is recommended that two files/folders are set up for each resident to maintain the records according to retention value. Programs will need to save the completed template in a shared program location for future reference.

Admission Applications—Not Accepted, Not Entered, or Application Incomplete: Files of applicants to a residency or fellowship program who did not match, were not accepted, withdrew from consideration or were not interviewed will be retained by the program office for one (1) year after completion of the admissions process.



### **Resident/Fellow File Content Checklist**

Resident and files may be contained in an electronic system or in a combination of paper and electronic records.

Programs should develop and document internal processes for management of resident files.

#### **Application**

- ◆ Program Application
- ◆ Curriculum Vitae
- ◆ Letters of recommendation
- ◆ Copy of medical school certificate
- ◆ Other appointment documentation required by PGE office

#### **Appointment and Certification**

- ◆ Confidentiality Agreement
- ◆ Program required training (e.g., ACLS)

#### **Curriculum**

- ◆ Rotation and training experiences
- ◆ Case/procedure logs
- ◆ Conference and journal club attendance
- ◆ Scholarly activity and quality improvement projects
- ◆ Local and national presentations

#### **Evaluation & Remediation**

- ◆ End of rotation/quarterly faculty evaluations
- ◆ Summative Evaluation (end of year)
- ◆ Work based Assessment



- ◆ Final Evaluation (FITERs)
- ◆ 360 evaluations<sup>1</sup>
- ◆ Mini-CEXs
- ◆ Patient satisfaction surveys
- ◆ Self-assessments
- ◆ Presentations evaluations
- ◆ In-training exam scores
- ◆ Individualized Learning Plans (ILPs)
- ◆ Semiannual evaluations
- ◆ Progress reports
- ◆ Correspondence regarding disciplinary actions and follow-up (remediation, probation, nonrenewal, or dismissal, as applicable)

**Other**

- ◆ Leaves of absence requests and related documentation
- ◆ Outside Training
- ◆ Final summative evaluations signed by program director and resident/fellow
- ◆ Final Milestones Report/ competency-based evaluation to PGE office



**Consent to Release Information by KIMS for Credentialing and Accreditation**

I, \_\_\_\_\_, authorize Kuwait Institute For Medical Specialization and its <First and last name> employees to release and disclose to \_\_\_\_\_ all documentation and <Insert name of organization> information, in any form, including any documents or information related to probation, non-renewal, or termination.

I understand that \_\_\_\_\_ is requesting information included in the <Insert name of organization> description above as part of an investigation related to my application for credentialing and privileging or for accreditation.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

PRINT NAME \_\_\_\_\_

DISCLOSURE (S) MADE TO \_\_\_\_\_ <Insert name of organization>



# Kuwait Institute for Medical Specialization

## Resident and Fellow Files Protection Policy

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DISCLOSURE MADE

TO \_\_\_\_\_ BY \_\_\_\_\_  
ON \_\_\_\_\_ NAME, TITLE  
NAME, TITLE DATE

DISCLOSURE MADE

TO \_\_\_\_\_ BY \_\_\_\_\_  
\_\_\_\_\_ ON \_\_\_\_\_ NAME,  
TITLE NAME,  
TITLE DATE

DISCLOSURE MADE

TO \_\_\_\_\_ BY \_\_\_\_\_  
\_\_\_\_\_ ON \_\_\_\_\_ NAME,  
TITLE NAME,  
TITLE DATE