

Original Approval Date: December 12, 2022

Effective Date: December 12, 2022

Editorial Revision: October 11, 2024

Approximate Review Date: December 2026

PGME Information and Records Management Policy

Office of Accountability:	Faculty of Medicine & Dentistry (FoMD)
Office of Administrative Responsibility:	Postgraduate Medical Education (PGME)
Approver:	Postgraduate Medical Education Committee (PGMEC)
Classification:	Governance and Administration
Scope:	Compliance with this policy extends to all members of the PGME community, including residency and Area of Focused Competence (AFC) programs.

Overview

Various stakeholders often ask questions related to record keeping within residency programs, including questions related to trainee files. Residency and Area of Focused Competence (AFC) programs, hereby referred to as training programs, and the PGME office need to ensure proper stewardship of the records they maintain. This is also enshrined in the General Standards of Accreditation for Institutions with Residency Programs set by the Canadian Residency Accreditation Consortium (CanRAC) where the following institutional accreditation standards apply:

2.2.3 A confidential system of resident and teacher information management is maintained.

2.2.3.1 There is an effective centralized policy for information management that addresses access, confidentiality, and information retention.

Purpose

This administrative policy outlines the principles and responsibilities of PGME's information and records management processes that apply to resident, teacher, program, and PGME records. This policy and any supporting procedures reflect the need and importance of documenting the following:

- a. The history of individual postgraduate medical education trainees including their admission, registration, and academic progress.
- b. The history of individual training programs including their accreditation review, curriculum alterations, continuous quality improvement, and other academic processes.
- c. PGME and program level decisions and interactions with internal and external stakeholders, agencies, committees, councils, organizations, and associations.
- d. The information gathering and decision making processes of PGME and program committees.

Supporting procedures of this policy should:

- a. Outline records management and retention expectations for PGME and training programs.
- b. Provide tools and guidance to understand and apply records management expectations as they relate to residents, teachers, programs, and PGME.
- c. Describe, organize, and support operational, procedural, and strategic decision-making.

POLICY

1. PRINCIPLES

PGME is committed to managing its records in accordance with operational needs and business risk, and adheres to all relevant laws and standards, the following principles apply to the management of PGME information and records:

- a. FoMD is committed to complying with the University of Alberta [Records Management Policy](#), [Access to Information and Protection of Privacy Policy](#) and other relevant policies for its University records (including records to support the PGME program such as resident records and teaching records).
 - i. This policy and any supporting procedures builds on University of Alberta Policies and Procedures. (including the Records Management Policy, Access to Information and Protection of Privacy Policy).
- b. Residency programs and PGME must follow the policies of the Canadian Resident Matching Service (CaRMS) as they relate to the retention and destruction of candidate records and applications.
- c. PGME and program records will be accessible to those who need them to operate or administer their programs.
- d. PGME records will be protected and access to records containing personal or sensitive information will be limited to those who need them.
- e. PGME records will be trusted to support operational and strategic decision making, and redundant, out of date or duplicate information will be routinely destroyed or preserved at the University Archives in alignment with University retention schedules.
- f. PGME and training programs will maintain and improve rules for managing records. Records will be regularly reviewed to ensure they are meeting department and University rules for managing records, and rules will be updated to reflect new or evolving practices
- g. PGME will maintain a source list to support management of PGME, training program, and trainee records.

2. RESPONSIBILITIES

The effective management of PGME information and records is a shared responsibility that will support accountability, compliance, operational effectiveness, and the protection of personal information in accordance with legislative and University expectations.

- a. PGME will:
 - i. Provide and/or facilitate educational materials and support to programs where there is an identified need regarding the implementation of this policy.
 - ii. Serve as the first point of contact for providing records management advice to training programs. PGME will consult with the University Records Office as needed.
 - iii. Ensure an effective process for the management, support, training, and maintenance of PGME records.



- iv. Provide assessment tools
 - 1. To training programs for the purpose of resident and program/rotation evaluations.
 - 2. To departments and training programs for the purposes of resident feedback of faculty teaching activities and performance, specifically to enable departmental academic leads to develop/maintain rules for managing teaching records.
- b. Training Programs will:
 - i. Ensure that records management principles identified in this policy are addressed and will consult with PGME when developing new processes or systems or changing the media of records.
 - ii. Adhere to the rules for managing PGME records, and develop and adhere to any rules unique to their program.
 - iii. Ensure an effective process for the management, support, training, and maintenance of program and resident records.
- c. Postgraduate Resident Trainees will:
 - i. Notify the training program and/or PGME of any changes in personal information.

DEFINITIONS

Definitions are listed in the sequence they occur in the document (i.e. not alphabetical).

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
Information and Record(s)	A record of information in any form and includes notes, images, audiovisual recordings, audio recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records.
General Standards of Accreditation for Institutions with Residency Programs	The General Standards of Accreditation for Institutions with Residency Programs are national standards that apply to the accreditation of institutions with residency programs. These standards are maintained by the Canadian Residency Accreditation Consortium which includes the Royal College of Physicians and Surgeons of Canada (RCPSC), College of Family Physicians of Canada (CFPC), and Collège des médecins du Québec (CMQ). The standards apply to faculties of medicine, postgraduate offices, and learning sites, written to provide a framework which aims to provide clarity of expectations, while maintaining flexibility for innovation.
Canadian Residency Accreditation Consortium or CanRAC	The Canadian Residency Accreditation Consortium is composed of the three residency education accrediting colleges in Canada: Royal College of Physicians and Surgeons of Canada (RCPSC), College of Family Physicians of Canada (CFPC) and Collège des médecins du Québec (CMQ).
Canadian Resident Matching Service or CaRMS	The Canadian Resident Matching Service is the national organization that provides a fair, objective, and transparent application and matching service for residency medical training throughout Canada.
Program Administrator	Refers to any position that supports any formal administration required for a residency or Area of Focused Competence (AFC) program to meet its educational requirements. These positions may be uniquely titled depending on the structure of the program's department under which it falls. Includes (but is not limited to): Program Administrator, Administrative Assistant, Program Coordinator, etc.
General Standards of Accreditation for Residency Programs	The General Standards of Accreditation for Residency Programs are national standards maintained by the Canadian Residency Accreditation Consortium which includes the Royal College of Physicians and Surgeons of Canada (RCPSC), College of Family Physicians of Canada (CFPC), and Collège des médecins du Québec (CMQ). The standards apply to faculties of medicine, postgraduate offices, and learning sites, written to provide a framework which aims to provide clarity of expectations, while maintaining flexibility for innovation.



<p>General Standards of Accreditation for Residency Programs in Family Medicine</p>	<p>The Standards of Accreditation for Residency Programs in Family Medicine are national standards maintained by the Canadian Residency Accreditation Consortium which includes the Royal College of Physicians and Surgeons of Canada (RCPSC), College of Family Physicians of Canada (CFPC), and Collège des médecins du Québec (CMQ). The standards apply to faculties of medicine, postgraduate offices, and learning sites, written to provide a framework which aims to provide clarity of expectations, while maintaining flexibility for innovation.</p>
--	--