

Original Approval Date: December 12, 2022

Effective Date: December 12, 2022

Editorial Revision: October 11, 2024

Approximate Review Date: December 2026

Parent Policy: PGME Information and Records Management Policy

PGME Records Destruction and Archiving Procedure

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.

Purpose

Effective and timely destruction of postgraduate medical education information and records at the University of Alberta promotes improved and reliable access to information, and reduces current and ongoing costs for storing and protecting records.

Records destruction also reduces reputational and information risk to the University whereby expired, obsolete information is reduced and prevented from being included in audit and information request purposes. Records destruction should be treated as an ongoing program within a University Unit, with regular and systematic disposal activities for eligible records.

This procedure embodies the principles in the parent policy and aligns with the General Standards of Accreditation for Institutions with Residency Programs as set by the Canadian Residency Accreditation Consortium (CanRAC).

PROCEDURE

1. IDENTIFY RECORDS ELIGIBLE FOR DESTRUCTION

Retention periods and outcomes for PGME records are identified on the [PGME Data Source List](#). Units should use this list to support the identification of records in their holdings that are ready for destruction or permanent preservation with the University Archives.

2. AUTHORIZE AND SELECT ACTIVITY

- a. Records to be transferred to Archives
 - i. Please follow [Transfer University Records to the Archives](#).



b. Records that are eligible for destruction

Records eligible for destruction are those that:

- Have met their minimum records retention requirements (minimum retention timeframe) to meet identified legal and administrative obligations, and
- Are not subject to FOIP Requests, Personal Information Requests, Legal Hold, Investigations (including Audit, Reviews and Information Requests), and/or Litigation.
- Have been approved for destruction by the PGME Associate Dean at the recommendation of the PGME Team Lead, Education

3. PERFORM AND CAPTURE EVIDENCE OF DESTRUCTION PROCESS

- a. When the records destruction process has been authorized and is ready to be performed, the following evidence must be retained by the authorizing Unit:
- i. What records were destroyed or transferred?
 - ii. Who authorized destruction or transfer of the records?
 - iii. Why were they destroyed or transferred (e.g. the retention schedule item)?
 - iv. When were the records destroyed or transferred?
 - v. Who destroyed or transferred the records, and how?
- b. If a commercial vendor conducts the records destruction, a certificate of destruction must be obtained from the vendor and this certificate must be retained with the List of Records and Authorization for Destruction Form.

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).
Certificate of Destruction	Formal documentation demonstrating that certain records have been destroyed. A certificate of destruction must be retained by the Unit as evidence for the destruction activity performed.
Unit(s)	Administrative and/or organizational entities including faculties, departments, centres, institutes, administrative units and non-departmental units.
Responsive	Information that is reasonably related to pending litigation, audit or access to information request.
PGME Record(s)	A PGME record means recorded information in any format within the custody or under the control of the PGME relating to the operation and administration of the PGME.
Transitory Record(s)	Records of a routine nature having short-term or limited value with no records retention requirement.