

JOHNS HOPKINS UNIVERSITY  
SCHOOL OF MEDICINE

POLICY ON 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 fellow (trainee) that document dates of attendance [enrollment] in the program, required and elective rotations, periods of absence, progress toward program completion, evaluation of the trainee's performance in the program, periods of academic probation, disciplinary action, whether or not the trainee satisfactorily completed program requirements and whether or not the trainee is provided certification, as well as such other information related to the trainee's attendance in the program.

II. Evaluative File

A. Contents of File. During the period of a trainee's attendance in a program, the program shall maintain all written evaluative information concerning the trainee, including required periodic evaluations of the trainee'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 trainee's performance and conduct in the program. All documents in this file should be shared with the trainee 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 trainee or that contain accurate summaries of meetings with the trainee.

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.

C. Access to the File.

1. Trainee. The trainee shall have access to his/her Evaluative File under the direct supervision of a designated staff member of the program office. At the completion of his/her training, the trainee will be required to document that s/he has been given the opportunity to review the evaluative file and to submit a written response. The trainee 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 trainee'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 trainee.

III. Personnel File

A. Contents of File. The program will maintain a file that includes documents relating to the trainee'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 noncompletion 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.

B. Access to the File. The following will have access to the file:

1. Trainee. The trainee 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 trainee 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.