OFFICE OF GRADUATE MEDICAL EDUCATION

RESIDENT RECORDS MANAGEMENT POLICY

GMEC approved February 26, 2026

Purpose: To establish a uniform policy and procedures for the Graduate Medical Education ("GME") Office, Residency Programs ("Programs"), and the Residency Program Directors to follow in the management of all Resident Records.

Scope: This "Resident Records Management Policy" applies to all GME accredited and non-accredited Programs sponsored by UMKC School of Medicine. Each Program may have additional procedures provided that they are not inconsistent with this Policy or less restrictive.

Background: Resident Records serve as both records of employment and Program records. They are the primary source used for verification of the training received during the Program by Residents. As such, it is necessary that they are accurate and contain all information needed for licensure and clinical privileges. Resident Records also serve as a record of a Resident's performance and competency. To ensure all Residents trained in Programs have training records that support their future needs, this Policy of minimal standards for Resident Records is implemented.

This Policy applies to the following:

1. Residents who are accepted into and complete their Program;
2. Residents who are accepted into but do not complete their Program;
3. Individuals who apply and are interviewed for a Program but do not enroll in a Program; or
4. Individuals who apply for a Program but are not interviewed for a Program position.

Program Applicants: It is important that an accurate description of the applicant pool is maintained for a minimum of three years. This can be most effectively accomplished by maintaining each application (either electronically or in hard copy). The application includes the standard application form plus all supporting documents (e.g., personal statement, exam scores, letters of recommendation). In addition, the criteria used to deny an applicant an interview must be recorded. In lieu of individual comments on each application, a Resident Selection Policy outlining the criteria used to select Residents for the Program is acceptable.

Interviewed Applicants: All records pertaining to interviewed applicants must be maintained for at least three years. In addition to the full application and supporting documents, this includes, but is not limited to, interview evaluation forms used by the Program to obtain feedback from Program faculty and Residents about each applicant. The application portal used by most ACGME programs, ERAS Program Director's Workstation

(PDWS), archives Program applications for 7 years, and Thalamus (residency program interviewing software) archives all applications indefinitely.

Resident Records: Resident Records include the following:

1. Employment records maintained by University of Missouri Human Resources;
2. Resident Agreements, licenses, and related Program information maintained by the GME Office; and
3. Academic records maintained by the Program.

Resident Records shall be maintained as follows:

1. Employment records (7 years)
2. State license (7 years)
3. BNDD/DEA Certification (7 years)
4. ECFMG certificate (7 years)
5. Visa (7 years)
6. Completion/Graduation letter or certificate (permanently)
7. Consent for release of information (permanently)

Academic Records: The Program will be responsible for maintaining academic records. For current Residents, the minimum content of the academic record includes:

1. Written performance evaluations from faculty and others;
2. Semi-annual summary evaluations from the Program Director or selected faculty;
3. Record of the Resident's rotations and other training experiences;
4. Record of surgical and procedural training;
5. Records relating to academic deficiencies;
6. Moonlighting approval form in New Innovations>Files & Notes>Attached Files>Moonlighting;
7. Documentation of prior training and performance evaluation (for transferring Residents, including any advanced credit);
8. Any other information specifically required by the applicable Program accrediting body; and
9. Graduation certificates in New Innovations>Files & Notes>UMKC GME>Completion certificates.

Once a Resident leaves a Program, it is necessary to maintain sufficient records to document the training experience and competency of the Resident. The content of the permanent academic record shall include the following:

1. Rotation schedule or other documents that detail the entire educational curriculum of the Resident and the dates that the Resident was enrolled in the Program;
2. Procedure or surgical case log;
3. Patient case log, if required by the specialty;

4. Summative comprehensive reports of the Resident's performance (e.g., semi-annual interview reports), including the final document that confirms the Resident's ability to practice competently and independently; and
5. Any documentation related to academic deficiencies.

For Residents terminated from the Program (for any reason), the entire academic record must be kept permanently.

Resident Records Management: Resident Records may be maintained in paper or electronic form. Regardless of the format, a process must provide ongoing access to the Resident Records in case of natural disaster, Program closure, or other Program changes resulting in significant changes or disruptions in the usual course of business. The GME Office can work with each individual Program to develop a process that provides for continued availability of Resident Records.

Revisions to Policy: November 1, 2010; December 18, 2025

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