

<p><b>TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER AT EL PASO</b>  <b>Paul L. Foster School of Medicine</b>  <b>GRADUATE MEDICAL EDUCATION</b>  <b>Standard Policy and/or Procedure</b></p>
---

**TITLE:** Requests for Resident/Fellow Files or Documents

**APPROVED:** 1/29/2018

**REVISED:**

**EFFECTIVE DATE:** 1/29/2018

**PURPOSE:** To provide guidance to programs for responding to requests for resident/fellow files or documents.

**POLICY STATEMENT:** Each residency/fellowship program is responsible for maintaining a program file for each of its resident trainees. The program file itself may include three separate files for each trainee: **Academic, Non-Academic, and an Americans with Disabilities Act (“ADA”) File** (if applicable). Below is a table that includes a non-exhaustive list of the most common documents considered part of the trainee’s *Academic, Non-Academic, and ADA program file*.

<b>ACADEMIC FILE</b> <b>(Separate File)</b> <i>(Authorized for release)</i>	1-Annual Performance Evaluation	7-Official Disciplinary Action
	2-Any written recommendations issued by the CCC post-review & deliberation	8-Official Remediation Plan
	3-Compliance with Remediation Plans	9-Official Outcomes or Action Plans
	4-Contracts	10-Payroll documents
	5-ERAS File Documents <i>(except MSPE/Dean’s Letter)</i>	11-Professional Liability Insurance
	6-End of Training Summative Evaluation	12-Rotation Evaluations
<b>NON-ACADEMIC</b> <b>(Separate File)</b> <i>(Not authorized for release)</i>	Candidate documents, to include the following: <ul style="list-style-type: none"> <li>1. Interview evaluations prepared during the resident's/fellow's interview process</li> <li>2. Medical Student Performance Evaluation (MSPE) / Dean's Letter</li> <li>3. Any other documents related to candidate interviews</li> </ul>	
	CCC Deliberations and/or minutes of meetings are considered peer-reviewed documents and should not be released.	
	Any Patient Health Information (PHI) Medical Peer Review investigations and related documentation	
<b>ADA File</b> <b>(Separate File)</b> <i>(Not authorized for release)</i>	Any documents pertaining to any ADA issues, to include medical documentation pertaining to trainee	

Before copies of documents can be released, the program must obtain a current Authorization for Release of Information signed by the resident/fellow and follow the procedure below. Upon receipt of a current authorization for release and in accordance with this policy, copies will be provided **within 30 working days**.

## **PROCEDURE:**

1. If an institution or employer contacts the department *directly* and requests a copy of the resident's/fellow's file, the department must request and obtain a current Authorization for Release of Information signed by the resident/fellow.
2. If a former or current Resident/Fellow requests document(s) from their training file *for themselves*, he/she must submit a written request to the Residency/Fellowship Program indicating specific documents or information needed from their file.
3. If former/current Resident/Fellow requests document(s) from their training file *on behalf of an institution or employer*, he/she must ask the institution or employer to submit a written request to the Residency/Fellowship Program indicating specific documents or information needed from their file.
4. If the Residency or Fellowship Program receives a subpoena for a training file, forward a copy of the request to legal counsel and the GME office. Legal counsel, the program, and the GME office will work together to assemble the requested documentation.
5. If the GME office receives a request for a training file from an institution, employer, resident/fellow, or attorney, the GME office staff will follow Steps 1 through 4 above. The GME staff will work together with the resident's/fellow's respective program in securing the documentation responsive to the requests.
6. Training program/GME must strike/black-out social security numbers associated with the resident/fellow before releasing copies.
7. Training program/GME must strike/black-out any PHI pertaining to patients that the resident/fellow may have seen and that is included as part of the Academic File before releasing copies.
8. If there are any questions about responding to a request, contact legal counsel for assistance before releasing copies.