



Policy Name	PGME Trainee Records
Application/ Scope	All Post Graduate Medical Education Programs
Approved (Date)	PGME Executive Committee: October 20, 2020
Review Date	Five (5) years from approved date
Revised (Date)	
Approved By	College Executive Council: April 27, 2021

BACKGROUND

The Max Rady College of Medicine recognizes that in order to track and record the progress of Postgraduate Medical Education (PGME) trainees and to administer their education and work, records are created in multiple offices. Furthermore, it is recognized that there is a requirement to create and maintain a permanent record containing the essential details of a trainee's academic history, which can be used to generate an official transcript or to provide degree verification services.

DEFINITIONS

AFC Program – Area of Focused Competence (Diploma) Program

Active File – is a group of records that is in use while the trainee is enrolled in one of the PGME Programs, parts of which will be added to the Permanent File

CFPC – College of Family Physicians of Canada

CPSM – College of Physicians and Surgeons of Manitoba

Home Residency Program – the Residency Program in which the Resident is based

Permanent File – is a group of records that must be retained permanently, that provide the key history of a trainee's academic association with the University of Manitoba, containing key elements of their admission, academic history, program assessments, dates of participation, grades, awards and honours, and discipline. Also, the Permanent File contains program completion status, date of completion and any supporting documentation provided by or required by the relevant governing medical licensing body and credentialing body such as CFPC and RCPSC. The Permanent File includes, without limitation, the following:

- Assessment reports required by the relevant accrediting body (RCPSC, CFPC or equivalent)
- Records, such as reports, memos or correspondence communicating the final results of reviews or investigations undertaken regarding professionalism issues, disciplinary actions, and appeals
- Relevant correspondence with licencing bodies pertaining to the trainee;

- Mandatory course and exam results, where relevant and required
- Leaves of Absence documentation (requests, approvals, denials)
- Copies of immigration documents and work permits, where relevant and required
- Copies of verification requests that have been completed

PGME – means Postgraduate Medical Education and refers to the Office of Postgraduate Medical Education, which operates within the Max Rady College of Medicine. It represents postgraduate medical education at the University of Manitoba through residency, fellowship, Areas of Focused Competence, post-doctoral and other training programs. The programs which PGME oversees are those accredited by the Royal College of Physicians and Surgeons of Canada (RCPSC), the College of Family Physicians of Canada (CFPC), the Canadian Psychological Association (CPA), the Canadian Academy of Clinical Biochemistry (CACB), the Canadian College of Microbiology (CCM) and the Canadian College of Medical Geneticists (CCMG). Applicable to all of its training programs, PGME develops and administers policies and governs through the PGME committees. The PGME Office is overseen by the Associate Dean, PGME, Max Rady College of Medicine

RCPSC – Royal College of Physicians and Surgeons of Canada

Trainee – in the case of PGME, is any PGME Program learner who is appropriately registered with and licensed by CPSM or other applicable licensing authority and who is fulfilling the certification requirements for a primary discipline, subspecialty, certification of special competence or enrolled in a program designated as “Accreditation without Certification” or enrolled in a program to gain an educational experience beyond certification requirements

1. PURPOSE

To provide guidelines for the creation, management, and retention of the Permanent Files and Active Files of Trainees within the PGME Program at the University of Manitoba

2. POLICY STATEMENTS

2.1 The PGME Office and all Home Residency Programs, AFC Programs and Fellowship Programs will comply with all relevant University of Manitoba policies on records management

2.2 All trainee requests for access to their own records will be handled in accordance with the University of Manitoba’s Access and Privacy Policy and associated procedures and in compliance with *The Freedom of Information and Protection of Privacy Act* (Manitoba)

Trainee Permanent File

2.3 The PGME office, and the trainee’s Home Residency Program, AFC Program or Fellowship Program must maintain the paper and digital records in the trainee’s Permanent File

2.4 Where it is possible to retain all paper and digital records for the trainee’s Permanent File in one centralized hard copy or electronic file, the PGME Office will be considered the primary owner and custodian of the Permanent File

2.5 The trainee’s Home Residency Program, AFC Program or Fellowship Program will grant access to the records in their Permanent File to PGME employees when it is required for a legitimate purpose and will ensure that the use of the information is consistent with its

purpose, and that all access is based on the principles of “minimum amount” and “need to know”

2.5.1 Where both units retain legacy paper files containing documents relevant to the Permanent File, both units will retain these documents in the Trainee’s Permanent File at their respective offices

2.6 The records in the trainee’s Permanent File shall be retained permanently

2.6.1 The Permanent Files may be transferred for archiving after two (2) years, to the approved secure storage facility authorized to manage these records

2.7 Additional files and records may be created and maintained relating to a trainee’s progress and activities within other units of the Max Rady College of Medicine, the Rady Faculty of Health Sciences, the University of Manitoba and other affiliated universities and health organizations

Trainee Active File

2.8 During the course of the Program, additional documents pertaining to the trainee’s educational history or employment are created or maintained in order to manage the relationship. This may include, but is not limited to the following:

- Records such as documentation about citizenship or work permits
- General correspondence about the Home Residency, AFC or Fellowship Programs, including the following:
 - Course schedule management
 - Authorized absences
 - Application for financial aid
 - Past contact details
 - Employment contracts with relevant health organizations
 - Work schedules
 - Schedule requests
 - Other records relevant to employment

2.9 The records in the Trainee’s Active File shall be retained for six (6) years after graduation or cessation of study, and then may be destroyed

3. PROCEDURES

3.1 The PGME Office and the relevant Home Residency Program, AFC Program or Fellowship Program will work with all relevant educational units to ensure that any final documentation relevant to the academic history of the trainee that would be required to provide a full verification of the trainee’s successful completion of postgraduate training is provided to the Home Residency Program and/or PGME for retention within the Permanent File

3.2 The destruction of Trainee’s Active File will be accomplished by completing the Requisition to Destroy Records Form through the Access and Privacy Office, University of Manitoba

POLICY CONTACT: Associate Dean, PGME

REFERENCES

Access and Privacy Policy, University of Manitoba
<https://umanitoba.ca/access-and-privacy/#policies-and-procedures->

Access and Privacy Procedures, University of Manitoba
<https://umanitoba.ca/access-and-privacy/#policies-and-procedures->

Records Management Policy, University of Manitoba
<https://umanitoba.ca/access-and-privacy/#policies-and-procedures->