

Student Records Policy

Category:	Administrative
Number:	TBA
Responsibility:	Associate Dean, Undergraduate Medical Education
Approval:	Student Academic Management Committee
Date:	Approved Nov 15 2016, Revision May 9 2017, Revision Oct 23 2017, Revision Feb 6 2018

Purpose:

The purpose of the *Student Records Policy* is to prescribe college-level requirements for the creation, management, storage, and archiving of all records for students who apply and/or are admitted to the Undergraduate Medical Education program at the University of Saskatchewan.

This policy does not govern information stored by offices such as the Office of Student Affairs (College of Medicine), the Office of Access and Equity Services (University of Saskatchewan) or other central offices at the University of Saskatchewan.

This policy ensures that the Undergraduate Medical Education program meets or exceeds the following Committee on Accreditation of Canadian Medical Schools (CACMS) and Liaison Committee on Medical Education (LCME) accreditation standards:

11.5 Confidentiality of Student Records: At a medical school, student educational records are confidential and available only to those members of the faculty and administration with a need to know, unless released by the student or as otherwise governed by relevant legislation. A medical school follows policy for the collection, storage, disclosure and retrieval of student records that is in compliance with relevant privacy legislation.

11.6 Student Access to Educational Records: A medical school has policies and procedures in place that permit a medical student to review and to challenge his or her educational records, including the Medical Student Performance Record, if he or she considers the information contained therein to be inaccurate, misleading, or inappropriate.

Principles:

Confidentiality: The College of Medicine is committed to maintaining the confidentiality and security of all undergraduate medical education student records.

Responsibility: The Student Records Policy establishes clear responsibilities for administrative officers involved with the handling of undergraduate medical education student records.

Transparency: The College of Medicine is committed to ensuring a transparent approach to the overall stewardship of undergraduate medical education student records.

Definitions:

Applicant File: Any documentation collected or compiled for a person currently applying or admitted to the Undergraduate Medical Education program at the University of Saskatchewan. Appendix 1 contains information on the types of documents included in such a record.

Active File: Any documentation collected or compiled for a student currently enrolled in the Undergraduate Medical Education program or who are on an approved leave of absence from the program, with the exception of documentation in the Professionalism File. The Active File is subcategorized into an academic file and a non-academic file. Appendix 1 contains information on the types of documents included in such a record.

Professionalism File: Any documentation collected or compiled for a student in response to a professionalism concern or the university-level student code of conduct.

Permanent File: Any documentation collected or compiled for a student who is no longer enrolled in the Undergraduate Medical Education program due to graduation, dismissal, withdrawal, or death. Appendix 1 contains information on the types of documents included in such a record.

Scope of this Policy:

This policy applies to all undergraduate students registered in the Doctor of Medicine (MD) program at the University of Saskatchewan irrespective of the geographically distributed site to which they are currently assigned.

Related policies include: [Management of University Records Policy](#), [Medical Student Performance Record Policy](#).

Policy:

1.0 Applicant File

The Office of Admissions within the College of Medicine is the custodian of all documentation contained within the Applicant File. This office provides oversight to the creation, and transfer, and is consulted, in regards to archiving, destruction, and release of information contained in each Applicant File.

1.1 Applicant Files are created when an applicant submits the first of all required application documents to the College of Medicine.

- 1.2 Applicant Files for those admitted to the College of Medicine will be transferred to the Undergraduate Medical Education (UGME), with the information separated by the Admissions Office into the two Active Files: Academic and Non-Academic Files as indicated in Appendix 1. The information placed into the Active Non-Academic File will be sealed in an envelope prior to transfer to the UGME.
- 1.3 Applicant Files will continue to exist for individuals who are unsuccessful in gaining admission to the College of Medicine. For in-province and out-of-province applicants, these Applicant Files will be retained for a minimum of three years and two years, respectively.

2.0 Active File

The Undergraduate Medical Education Office within the College of Medicine is the custodian of all documentation contained within the Active File. This office provides oversight to the creation, access, storage, transfer, archiving, destruction, and release of information contained in each Active File.

- 2.1 Active Files are created when an applicant is first admitted to the Undergraduate Medical Education program. There are two categories of Active Files: academic files and non-academic files. The Undergraduate Medical Education Office will house two separate files: an academic file and a non-academic file.
- 2.2 Active Files, both academic and non-academic, are securely stored in physical format within the Undergraduate Medical Education Offices in Saskatoon, Regina, and Prince Albert. Active Files are retained for the entire duration of a medical student's academic program and are converted to a Permanent File two years' after the point of graduation, dismissal, withdrawal, or death. Active Files are not to be removed from the Undergraduate Medical Education Offices.
- 2.3 Accessing Active Files, both academic and non-academic, require documentation on a written log; Record for Accessing Student Files. The date, name of staff or faculty accessing the record, student name and purpose of activity will be noted.
- 2.4 The academic component of Active Files can only be accessed by college personnel on a need to know basis. The Associate Dean, Undergraduate Medical Education; Associate Dean, Regina; Associate Dean, Rural and Remote Education; Assistant Dean Academic; Manager, Undergraduate Medical Education; Manager, Finance and Administration (Regina); Year Chairs; Year Coordinators, and administrative support staff in these offices are authorized to confidentially access these files for the purpose of administering the undergraduate medical education program.
- 2.5 The non-academic component of Active Files can only be accessed by college personnel on a need to know basis. The Associate Dean, Undergraduate Medical

Education; Associate Dean, Regina; Associate Dean, Rural and Remote Education; Assistant Dean Academic; Manager, Undergraduate Medical Education; Manager, Finance and Administration (Regina); Director of Admissions, Year Chairs; and administrative support staff in these offices are authorized to confidentially access these files for the purpose of administering the College admissions processes and the undergraduate medical education program.

2.6 Requests to view Active Files by personnel other than those listed above (2.3, 2.4) must be made in writing and be approved by the Associate Dean, Undergraduate Medical Education (in Saskatoon), or Associate Dean Regina (in Regina) or Associate Dean, Rural and Remote Education (in Prince Albert) before being released.

2.7 Medical students can request in writing that the Undergraduate Medical Education Office allow them to view the academic component of their Active File. Medical students are not permitted to view the non-academic component of their Active File. Student requests to view Active Files will be responded to by the Undergraduate Medical Education Office within five (5) business days.

2.8 Medical students can request in writing that the Undergraduate Medical Education Office provide them with copies of documents contained in the academic component of their Active File. Student requests for copies of documents in the Active Files will be responded to by the Undergraduate Medical Education Office within five (5) business days.

3.0 Permanent File

The Undergraduate Medical Education Office within the College of Medicine is the custodian of all documentation contained within the Permanent File. This office provides oversight to the creation, storage, transfer, archiving, destruction, and release of information contained in each Permanent File.

3.1 The Undergraduate Medical Education Office (Saskatoon) will facilitate the transfer of Active Files into Permanent Files two years' after the graduation, dismissal, withdrawal, or death of a medical student. At this point, the Undergraduate Medical Education Office (Regina) will transfer any Active Files to the Undergraduate Medical Education Office (Saskatoon). Administrative staff will be responsible for reviewing the Active Files, transferring relevant academic documentation to a Permanent File, and destroying any non-academic or professionalism documentation.

3.2 The Undergraduate Medical Education Office (Saskatoon) will arrange for Permanent Files to be transferred to a third-party records management company, pursuant to a contract with appropriate provisions regarding the protection of personal information, for archiving for a period of 40 years.

- 3.3 Previous medical students can request that the Undergraduate Medical Education Office allow them to view their Permanent Record. Such requests will be responded to by the Undergraduate Medical Education Office within five (5) business days.

4.0 Professionalism Files

The Associate Dean, Undergraduate Medical Education, is the custodian of all documentation contained within the Professionalism File. This office provides oversight to the creation, storage, transfer, archiving, destruction, and release of information contained in each Professionalism File.

- 4.1 Professionalism Files are created in response to incidents of professionalism concern or the student code of conduct by medical students. The Associate Dean, Undergraduate Medical Education (or designate) will create each file.
- 4.2 Professionalism Files are securely stored, in physical or electronic format, in the Office of the Associate Dean, Undergraduate Medical Education. Professionalism Files are retained for the entire duration of a medical student's academic program and are destroyed two years' after the point of graduation, dismissal, withdrawal, or death of a medical student.
- 4.3 Professionalism Files can only be accessed by the Dean, Vice-Dean Education, Associate Dean Undergraduate Medical Education, Associate Dean Regina, or Associate Dean, Rural and Remote Programs, medical students, and UGME Administrative Staff on a need-to-know basis. Professionalism Files are not to be removed from the Office of the Associate Dean, Undergraduate Medical Education unless authorized by the Dean, Vice-Dean Education, or Associate Dean, Undergraduate Medical Education.
- 4.4 Medical students can request that the Associate Dean, Undergraduate Medical Education, allow them to view their Professionalism File. Student requests to view Active Files will be responded to by the Associate Dean, Undergraduate Medical Education in a timely manner.

5.0 Student Affairs Files:

The Office of Student Affairs (OSA) offers confidential support and advocacy at "arm's length" from the academic/other offices of the UGME. The Student Affairs Officer is the custodian of all documentation contained within a student's case file and has oversight on the creation, storage, transfer, archiving, destruction, and release of information of said files.

- 5.1 The OSA records all applicant/student visits/encounters but only creates case files for students whose require ongoing support. There are two categories of files: active (currently registered) student case files and inactive (on leave of absences or graduated) student case files. The OSA houses both files.

- 5.2 Both active and inactive case files are securely stored in physical format within OSA offices in Saskatoon, Regina, and Prince Albert. Case files and other records are held for seven (7) years. This practice is informed by the recommended standard of the AFMC Student Affairs Group. Case files are not to be removed from the OSA office.
- 5.3 The OSA on occasion will share information contained in a student file with collaborators/partners such as the SMA-PHP, Access and Equity Services (AES), Student Health Services, Student Counselling Services, OSA team members and others involved in the care of the student. Information is shared on need to know basis and with the informed consent of the student.

Responsibilities

The Associate Dean, Undergraduate Medical Education, is responsible for providing oversight to the overall administration of the *Student Record Policy* at the College of Medicine campus in Saskatoon, Saskatchewan.

The Manager, Undergraduate Medical Education, with the assistance of the Undergraduate Medical Education Office and Office of Admissions, is responsible for the implementation, monitoring, maintenance, and evaluation of the *Student Record Policy* at the College of Medicine campus in Saskatoon, Saskatchewan. This includes the development and stewardship of the standard operating procedures associated with this policy.

The Manager, Finance and Administration, with the assistance of the Undergraduate Medical Education Office, is responsible for the implementation, monitoring, maintenance, and evaluation of the *Student Record Policy* at the College of Medicine campus in Regina, Saskatchewan. This includes the development and stewardship of the standard operating procedures associated with this policy.

The Student Academic Management Committee is responsible for evaluating, reviewing, and updating this policy every three years.

Non-compliance:

Instances or concerns of non-compliance with the *Student Record Policy* should be brought to the attention of the Vice-Dean, Education or the Associate Dean, Undergraduate Medical Education, within the College of Medicine.

Procedures:

The Manager, Undergraduate Medical Education, provides overall stewardship to the standard operating procedures associated with the *Student Record Policy* at the College of Medicine campus in Saskatoon, Saskatchewan.

The Manager, Finance and Administration, provides overall stewardship to the standard operating procedures associated with the *Student Record Policy* at the College of Medicine campus in Regina, Saskatchewan.

The Associate Dean, Rural and Remote Programs, provides overall stewardship to the standard operating procedures associated with the *Student Record Policy* at the College of Medicine site in Prince Albert, Saskatchewan.

Contact:

Manager, Undergraduate Medical Education

Phone: 306-966-6135

Email: medicine.ugme@usask.ca

Appendix 1: Student Records Policy

This appendix provides a non-exhaustive overview of the various forms of records which may be contained in a medical student’s Applicant File, Active File, Permanent File, and Professionalism File.

File Type	Contents
Applicant File	Application Records College of Medicine Application Admission Application Sheet (<i>including student number and NSID</i>) Academic Transcripts from Previous Post-Secondary Education (all copies) Proof of Saskatchewan Residency (if applicable) Proof of Canadian Citizenship or Permanent Resident Status (<i>if applicable</i>) Proof of Aboriginal Ancestry (<i>if applicable</i>) MCAT Scores MMI Statement of Confidentiality Admissions-Related Email Correspondence Telephone Reference Check Forms Criminal Record Check and Vulnerable Sector Screen Letter of Offer of Admission to UGME Program or Rejection Letter Acceptance Slip/Decline Slip Copy of Deposit Cheque Deferral Request and Approval/Decline (<i>if applicable</i>) Appeal of Admission Decision (<i>if applicable</i>) Receipt for Application Fee Professionalism Review – Area of Concern File Review (<i>if applicable</i>) Criminal Record Check Review Committee Documentation (<i>if applicable</i>) *DSAAP documents; survey information and supporting documents
Active File <i>(Academic)</i>	Application Records College of Medicine Application Offer Letter of Admission to UGME Program Acceptance Slip Criminal Record Check and Vulnerable Sector Screen Academic Transcripts from Previous Post-Secondary Education

	<p>Educational Records</p> <ul style="list-style-type: none"> Medical Student Performance Record Cumulative Grade Reports Official U of S Transcript (<i>Copy</i>) Clerkship and Elective Evaluations (<i>Copies</i>) Clinical Placement Agreements Summary of OSCE-type results (Including letters of Probationary/Monitored Status as required) Summary of National Board of Medical Examiners (NBME) results for each required core rotation Notices of awards, research abstracts, publications. Documentation related to: <ul style="list-style-type: none"> ○ Academic Failure ○ UGME Policies (Attendance, Immunization, etc.) ○ Accommodations in Place for a Student ○ Leaves ○ Examination deferrals, supplementary examinations ○ Final Grade Sheets / Summative Assessment Form (or equivalent documents). <p>Certifications, Waivers, and Consent Forms</p> <ul style="list-style-type: none"> Consent and Waiver Forms Certifications (CPR, WHMIS, ACLS, WCB, First-Aid, Immunizations, N95 Fit-Testing) CPSS OCSE and other Exam Confidentiality Forms SHR Forms <p>Correspondence</p> <ul style="list-style-type: none"> Non-Sensitive Correspondence (<i>emails sent to students, notes from students, miscellaneous letters, appreciation from patients, commendations from faculty</i>). Non-Sensitive Appeal/Legal Documentation <p>Career Advising Documentation</p> <ul style="list-style-type: none"> Chronological documentation of career planning and advice year 1-5 from the Office of Student Affairs; Office of Career Advising and Mentorship
<p>Active File (<i>Non-Academic</i>)</p>	<p>Application Records</p> <ul style="list-style-type: none"> Admission Application Sheet (<i>including student number and NSID</i>) Proof of Saskatchewan Residency (if applicable) Proof of Canadian Citizenship or Permanent Resident Status (<i>if applicable</i>)

	<p>Proof of Aboriginal Ancestry <i>(if applicable)</i> MCAT Scores MMI Statement of Confidentiality Admissions-Related Email Correspondence Telephone Reference Check Forms Rejection Letter <i>(if applicable)</i> Decline Slip <i>(if applicable)</i> Copy of Deposit Cheque Deferral Request and Approval/Decline <i>(if applicable)</i> Appeal of Admission Decision <i>(if applicable)</i> Receipt for Application Fee Professionalism Review – Area of Concern File Review <i>(if applicable)</i> Criminal Record Check Review Committee Documentation <i>(if applicable)</i> DSAAP documents; survey information and supporting documents. DSAAP information is to be permanently deleted upon graduation.</p> <p>Sensitive Documentation Sensitive Appeal Documentation Sensitive Legal Documentation Criminal Record Check Review Committee Documentation (if applicable)</p> <p>Sensitive Correspondence Sensitive Correspondence <i>(correspondence sent to or regarding students, miscellaneous notes, miscellaneous letters)</i></p>
<p>Permanent File</p>	<p>Educational Records Application package (compiled from Academic and Non-Academic File) Clerkship and Elective Evaluations Correspondence related to Leaves of Absence Medical Student Performance Record Official Transcript Summary of OSCE-type results (Including letters of Probationary/Monitored Status as required) Summary of National Board of Medical Examiners (NBME) results for each required core rotation Notices of awards, research abstracts, publications. Documentation related to:</p> <ul style="list-style-type: none"> ○ Academic Failure ○ UGME Policies (Attendance, Immunization, etc.) ○ Accommodations in Place for a Student

	<ul style="list-style-type: none"> ○ Leaves ○ Examination deferrals, supplementary examinations <p>Documentation of Dismissal or Withdrawal Non-Sensitive Appeal/Legal Documentation</p> <p>Relevant Sensitive Documentation</p> <p>Sensitive Appeal Documentation</p> <p>Sensitive Legal Documentation</p> <p>Criminal Record Check Review Committee Documentation (if applicable)</p> <p>Relevant Sensitive Correspondence</p> <p>Sensitive Correspondence (<i>correspondence sent to or regarding students, miscellaneous notes, miscellaneous letters</i>)</p> <p>Other</p> <p>Obituary</p> <p>Verification of Training to Licensing Authorities</p>
<p>Professionalism File</p>	<p>Professionalism Records</p> <p>Informal Discussion Form</p> <p>Professionalism Concern Form</p> <p>Other documentation related to incidents of concerns with unprofessional behavior.</p> <p>All documentation from the Professionalism Panel</p> <p>Professionalism Review – Area of Concern File Review (<i>if applicable</i>)</p>