Student Records Policy

Category: Administrative

Responsibility: Associate Dean, Undergraduate Medical Education

Approval: Student Academic Management Committee

Date: Approved November 15, 2016; updated October 2019; June
                   2021; December 2021; October 11, 2022

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 are admitted to the Undergraduate Medical Education (UGME) program at the University of Saskatchewan.

This policy ensures that the UGME 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 their educational records, including the Medical Student Performance Record, if the student 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 UGME student records.

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

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

Definitions:

Student File: Information or documentation collected or compiled for a person currently applying or admitted to the UGME Doctor of Medicine program at the University of Saskatchewan. Includes information or documentation collected or compiled for a student currently enrolled in the UGME program or who are on an approved leave of absence from the program, with the exception of documentation in the Professionalism 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 academic or non-academic misconduct.

Relationship Management System (RMS) Recruit: RMS allows for relationship development through the entire student lifecycle, from prospective student to alumni. It consists of three applications: recruitment, student retention and success, and a module dedicated to university alumni and donors. RMS gathers and co-ordinates this information in one centralized system.

Banner Document Management Database: Document Management (DM) is an electronic document management system that integrates with SiRIUS Plus and UniFi Plus. It provides the ability to capture, view, archive, and share documents electronically to support business processes at the U of S. Undergraduate student files are permanently stored here.

One-45 Curriculum Management Tool: One45 is a medical curriculum management and delivery system used to manage rotation scheduling, evaluations/assessments, encounter logs, objective mapping, electronic portfolios, and preceptors associated with each. It is the authoritative source of the USask UGME program curriculum information and manages the data required to meet accreditation and quality standards for undergraduate medical education.

Grade Workbook: The UGME creates an excel grade book by academic graduation year that tracks the academic grades of all students admitted. This is the official record of all graded assessments within the College of Medicine's pass/fail system.

SAMC SharePoint: College of Medicine SharePoint site that stores the Student Academic Management Committee (SAMC) terms of reference, meeting documents, and meeting minutes. SAMC is a standing committee of the College of Medicine Faculty Council and will provide reports and/or advice to Faculty Council.

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: <u>Management of University Records Policy</u>, <u>Medical Student Performance Record Policy</u>.

Note: Files created in Student Services for the Office of Student Affairs or Career Advising and Mentoring Programs are managed independently of the UGME Student Records Policy.

Policy:

1.0 Student File

1.1 The Office of Admissions within the College of Medicine is the custodian of all information and documentation contained within the RMS Recruit Applicant File. This office provides oversight to the creation, and transfer of the file.

Applicant Files are created when an applicant submits an application for admission through RMS Recruit to the College of Medicine. Applicant Files for those admitted to the College of Medicine will have a file within RMS Recruit and Banner. Documentation related to an accepted student will be manually uploaded to the Banner Document Management system.

Applicant Files (hard copy files) for those applicants that applied prior to August 2021 (pre-RMS Recruit) will continue to exist for individuals who are unsuccessful in gaining admission to the College of Medicine. For Saskatchewan resident (including Indigenous Admissions Pathway) and non-Saskatchewan resident applicants, these Applicant Files will be retained until 2024 and 2023 respectively.

1.2 The UGME Office within the College of Medicine is the custodian of all documentation contained within the Student File. This office provides oversight to the creation, access, storage, transfer, archiving, destruction, and release of information contained in each Student File. Students that completed the program prior to 2018 have permanent hard copy files store at the local Iron Mountain (name). Those admitted in 2014 onward have undergrad files stored in Banner.

The undergrad file is created upon admission to the Doctor of Medicine, College of Medicine program.

The Student Files can only be accessed by college personnel that are granted access to BSID, Banner. The Associate Dean, Undergraduate Medical Education; Director Academic Manager, Undergraduate Medical Education; and administrative support staff in these offices are authorized to confidentially access these files for the purpose of administering the UGME program.

Requests to view Student Files by personnel other than those listed above (1.2) must be made in writing and be approved by the Associate Dean, UGME before being released. Appropriate documents may be printed for student reviewing upon request.

Medical students can make an informal request, in writing, that the UGME Office allow them to view the academic component of their Active File. Student requests to view Active Files will be responded to by the UGME Office within five (5) business days.

2.0 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.

2.1 Professionalism Files are created in response to professionalism concerns or the student code of conduct by medical students. The Associate Dean, UGME (or designate) will create each file. The file will contain correspondence with students related to professionalism incidents and processes, professionalism informal discussion and concern forms, Professional Conduct Committee decision letters, and Professional Conduct Committee hearing documents and decision reports.

As of the 2022-2023 academic year, Professionalism Files will be securely stored in Maxient. Professionalism Files, including Informal Discussion Forms, Professional Concern Forms, and other related documentation are retained for the longer of five years or until the student has completed their program, been dismissed, withdrawn or deceased. Formal hearing reports and related documentation are retained for ten years. At that point, the student file is deactivated in Maxient.

2.2 Professionalism Files can only be accessed by the Dean, Vice-Dean Education, Associate Dean Undergraduate Medical Education (or designate), and UGME Manager (or designate) on a need-to-know basis. Portions of the professionalism file may be shared by the Associate Dean Undergraduate Medical Education (or designate) with the Professional Conduct Committee to support relevant program procedures.

Medical students can request that the Associate Dean, Undergraduate Medical Education, allow them to view their Professionalism File. Student requests to view Professionalism Files will be responded to by the Associate Dean, UGME in a timely manner.

3.0 Relationship Management System (RMS) Recruit

RMS Recruit was implemented by the College of Medicine Admissions starting with the application 2021 for entry 2022. The College of Medicine Admissions is using RMS Recruit for prospect management, the admission application, and admissions processes. All applications and documentation related to an application for admission (whether successful or not) will be housed within RMS Recruit starting with the application 2021 for entry 2022.

4.0 One-45 Curriculum Management Tool

One45 is used by instructors, learners, and administrators of the College of Medicine and is the permanent home to/for:

- Manage curriculum database, course schedules, course content, and objectives
- Completed encounter logs, evaluations, and assessments.
- Centralized reporting
- Performance monitoring and flagging
- Communication with students
- Partial marks/grades (transferred to grade workbook)

5.0 Grade Workbook

Excel documents are created by graduation year (ie. Class of 2018) at the time of admission and consist of assessments for each course listed, each course has an individual tab. Students that change their year of completion are added to the appropriate year, their original information does remain in the year they were admitted. The grade book also contains spreadsheets designed to calculate grades for academic awards related to performance on assessments. This is where grades (cumulative, NBME, OSCE) and a record of supplemental exams are permanently stored; on Jade '2 + 2'.

6.0 SAMC SharePoint

SAMC's main function is to determine student promotions, supplementary examinations, and confer students for degrees within the MD program, in accordance with the promotion standards of the undergraduate program, and to provide information on student promotion and graduation to the University via the Teaching Learning and Support Units. Access is limited to those supporting this work and the SharePoint stores all documentation and motions related to student promotion.

Responsibilities:

The Associate Dean, UGME, is responsible for providing oversight to the overall administration of the *Student Records Policy of the* College of Medicine

The Manager, UGME, with the assistance of the UGME Office and Office of Admissions, is responsible for the implementation, monitoring, maintenance, and evaluation of the *Student Records Policy* at all College of Medicine campuses and sites in Saskatchewan. This includes the development and stewardship of the standard operating procedures associated with this policy.

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

Non-compliance:

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

Procedures:

The Manager, UGME, provides overall stewardship to the standard operating procedures associated with the *Student Records Policy* of the College of Medicine.

Contact:
Manager, Undergraduate Medical Education
Phone: 306-966-6142
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 (within RMS Recruit & Document Management), Student File (with in Banner BSID), and Professionalism File.

File Type	Contents

Student File; Document Management (*Academic*)	**Application Records**
	    College of Medicine Application
	    Academic Transcripts from Previous Post-Secondary Education
	    Proof of Saskatchewan Residency (if applicable)
	    Proof of Canadian Citizenship or Permanent Resident Status (*if applicable*)
	    Proof of Indigenous Ancestry (*if applicable*)
	    UAA
	    CASPer Score
	    MCAT Scores
	    MMI Statement of Confidentiality
	    Consent Form for Academic/Non-Academic Misconduct Check
	    Telephone Reference Check
	    Criminal Record Check and Vulnerable Sector Screen
	    Letter of Offer of Admission or Rejection Letter
	    Acceptance Form
	    Deferral Request and Approval/Decline (*if applicable*)
	    Appeal of Admission Decision (*if applicable*)
	    Professionalism Review – Area of Concern File Review (*if applicable*)
	    Criminal Record Check Review Committee Documentation (*if applicable*)

	Application Records
	    College of Medicine Application
	    Offer Letter of Admission to UGME Program
	    Acceptance Form
	    Criminal Record Check and Vulnerable Sector Screen
	    Academic Transcripts from Previous Post-Secondary Education
	Educational Records
	    Student Data Sheet (Contact Information)
	    Medical Student Performance Record
	    Probationary/Monitored Status (as required)

	Notices of awards, research abstracts, publications. Correspondence related to:
	o Academic Failure
	o Leaves of Absence
	o Examination deferrals, supplementary examinations
	Clinical Documentation, Certifications, Waivers, and Consent Forms
	Consent and Waiver Forms
	Certifications (CPR, WHMIS, ACLS, WCB, First-Aid, Immunizations, N95 Fit-Testing)
	CPSS
	OCSE Confidentiality Forms
	SHA Forms
	Correspondence
	Correspondence (*emails sent to students, notes from students, miscellaneous letters, appreciation from patients, commendations from faculty*).
	Appeal Information
	Legal Documentation
	Career Advising Documentation
	Chronological documentation of career planning and advice year 1-5 from the Office of Student Affairs; Career Services
Professionalism File	**Professionalism Records**
	Informal Discussion Form
	Professionalism Concern Form
	Other documentation related to incidents of concerns with unprofessional behavior.
	All documentation from Professionalism Conduct Committee such as letters and hearing reports (*if applicable*)