Student Records Policy

Category: Administrative

Responsibility: Associate Dean, Undergraduate Medical Education

Approval: Student Academic Management Committee

Date initially approved: Nov. 15, 2016

Date(s) reformatted or revised: Oct. 2019; June 2021; Dec. 2021; Oct. 11, 2022; Oct. 15, 2024; April 1, 2025; Aug. 25, 2025

Contents

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: Medical student academic records, unless released by or with the consent of the student, are confidential and available only to the student and duly authorized persons or organizations. A medical school follows procedures based on relevant privacy legislation for the collection, storage, disclosure, disposal, and retrieval of student academic records, and makes these procedures known to medical students.

11.6 Student Access to Academic Records: A medical school has policies and procedures in place that permit medical students to review and to challenge their academic records, including the Medical Student Performance Record, if the student considers the information contained therein to be inaccurate, misleading, or inappropriate.

Scope:

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.

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.

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. It houses individual student files for all College of Medicine undergraduate students.

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.

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.

Policy

A. **Student File**

A.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 all applicants to the College of Medicine will have a file within RMS Recruit and Banner Document Management. Documentation related

to an accepted student will be manually uploaded to the secure folders of Banner Document Management system each year following the start of classes.

A.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.

B. 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.

> **B.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.

B.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.

C. 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. Access to RMS Recruit is restricted to admissions team staff and is granted and removed upon request by the Associate Dean, UGME.

D. One45 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)
- Access is restricted to academic leadership, Pre-Clerkship and clerkship course/module/rotation directors, student services leadership, and administrative staff involved in curriculum management and program evaluation. Access is granted and removed upon request, by appropriate UGME staff/faculty who work with a dedicated ICT staff person assigned to support One45.

E. 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'.

- Access is restricted to relevant administrative staff involved in assessment, promotion, and graduation. Access is granted and removed upon request by appropriate UGME staff. The Curriculum Integration and Evaluation staff member has oversight and manages access of the Grade Workbook.

F. 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 administrative staff and faculty involved in student promotion and graduation activities, including SAMC committee members. The SharePoint stores all documentation and motions related to student promotion. Access is granted and removed upon request, by a dedicated UGME administrative staff that supports SAMC.

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 High School Transcript *Proof of Canadian Citizenship or Permanent Resident Status Proof of Indigenous Citizenship/Membership (*if applicable*) *UAA *CASPer Score *MCAT Scores *Personal Statement *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*) Criminal Record Check Review Committee Documentation (*if applicable*)
	Application Records College of Medicine Admission File (contains the *items) Offer Letter of Admission to UGME Program Deferral Approvals **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*)

Appendix 2:

SOP Title: Document Management Procedure (Student Records Policy)

	NAME	TITLE	DATE
Author	**Sherry Pederson**	**Manager, UGME**	**August, 2019**
Reviewer	**CDSC**		
Authoriser	**Patricia Blakley** **Meredith McKague**	**Associate Dean, UGME** **Associate Dean, UGME**	**Original** **June 1, 2021**
Authoriser	**Meredith McKague**	**Associate Dean, UGME**	**October 11, 2022**

Effective Date:	
Review Date:	**June 1, 2021**
Reviewed	**October 11, 2022**
Reviewed	**April 1, 2025**

Consultation		
NAME	**TITLE**	**DATE**
Dr. Meredith McKague	Associate Dean, UGME	July 2022
Vanessa Hindmarsh	Project Specialist	July 2022
Sherrill Bueckert	Admissions, CoM	October 2024
Mark Drapak	ICT	July 2022
Cheryl Pfeifer	Pre-Clerkship Administrator	July 2022

Purpose:

The College of Medicine has chosen to move all student paper files to the student information system, Banner; Document Management. This document is to outline where documents are to be accurately stored within this electronic document management system.

Introduction:

This system will replace the current practice of storing hard copies within paper files, compiling student files from across the campus' and sites, and negate the need for outsourcing permanent storage of student files.

Scope:

Document Management will be accessible by administration at both campus' sites by the staff that support the program in those locations. This will ensure that student information is easily accessible for staff and faculty.

Definitions:

B-S-ID; Student file;

Type of file	Document Stored
Admission related documents	College of Medicine Admission File Offer Letter of Admission to UGME Program
Academic Accommodation	Accommodations in Place for a Student
Appeals	Appeal/Legal Documentation
Clinical Documentation (before students start school/go on placement)	Clinical Placement Agreements WCB; Consent and Waiver Forms Certifications (CPR, WHMIS, ACLS, First-Aid, Immunizations, N95 Fit-Testing) CPSS License OCSE and other Exam Confidentiality Forms SHA Forms
College Letters	Medical Student Performance Record,

	Notices of awards, research abstracts, publications Year Committee Promotion letters SAMC letters
Criminal Record Check	Criminal Record Check and Vulnerable Sector Screen
Evaluations	
Exams	
Leaves of Absence	Leaves of Absence Documents and correspondence
Post-Secondary Transcript	Academic Transcripts from Previous Post-Secondary Education (incl U of S)
Safety Certification	
Student Contact	Student Data Sheet
Student Information	Obituary Verification of Training to Licensing Authorities
Student Interaction	Correspondence (emails sent to students, notes from students, miscellaneous letters, appreciation from patients, commendations from faculty)

Responsibilities:

How to Access Document Management

Access: Manager, UGME, College of Medicine, University of Saskatchewan requests access and removal of access to Banner Document Management. The Student Records Policy outlines individual access for both BSID and BSZID files

B-S-ID; Student file;

Associate Dean, Undergraduate Medical Education
Academic Director
Manager, Undergraduate Medical Education
Manager, Finance and Administration (Regina)

Administrative Support Staff

Specific Procedure:

Document Management:

Type of files: All documents must be in PDF format and uploaded

Email communication:

- Email cut and paste into Word Document and save as PDF
- Timeline – approximately 14 days for one PDF document. Begin new document labelled by the beginning of the next conversation at that time.
- Documents may be requested deleted and that process requires approval by the Manager, UGME
- Routing status is required for all documents uploaded; ME

Naming Documents: Student Last Name, DD, Month (first 3 letters ie. NOV) YYYY one word describing content (ie. absence) (no spaces)

Words describing content:

- Remediation
- Attendance
- Academic
- Professionalism
- Meeting Record
- Accommodations

Effective Date	Significant Changes
Nov 15 2016	**Created**
AUG 2019	**Revised**
June 2021	**Revised**
2022	**Revised**