

COMPLIANCE GUIDE FOR INSTITUTIONAL REQUIREMENTS
IN THE CONTEXT OF SINGLE PROGRAM SPONSORING INSTITUTIONS

Common PIF Question for Single-Program Institution	Institutional Requirements (IRs) or Common Program Requirements (CPRs)	Characteristics of Compliance
<p>Provide an institutional statement that commits the necessary financial, educational and human resources to support the GME program(s) and provide documentation that the statement has been approved by the governing body, the administration and the teaching staff.</p>	<p>IRs, I.B.2. A written statement must document the Sponsoring Institution's commitment to provide the necessary educational, financial, and human resources to support GME. It must be reviewed, dated, and signed by representatives of the Sponsoring Institution's governing body, administration, and GME leadership within at least one year prior to the institutional site visit.</p>	<p>Documentation for review by the site visitor:</p> <ul style="list-style-type: none"> • Statement should specifically mention financial support, education resources, and human resources (despite its length or brevity; length is not necessarily positive). • Statement should be signed within a year of the site visit by a representative of the governing body (e.g., the Chair of the BOD), the administration (e.g., CEO), and the faculty (e.g., could be the DIO or program director, but should not be the same individual as the previous two individuals). • If the RRC determines that a program is noncompliant and if any of these deficiencies relate to poor support from the Institution, the RRC will look back at the statement. <i>If all components are present</i>, the RRC can cite the Institution for failing to live up to its own commitment. If components are missing, the RRC will likely consider that their absence might account for the lack of support.
<p>Describe the formal method by which a periodic evaluation of the program's educational quality and compliance with the program requirements occurs. Explain how fellows and faculty in the program are involved in the evaluation process.</p>	<p>CPRs, V.C. Program Evaluation and Improvement</p> <p>V.C.1. The program must document formal, systematic evaluation of the curriculum at least annually. The program must monitor and track each of the following areas:</p> <p>V.C.1.a) resident performance;</p> <p>V.C.1.b) faculty development;</p>	<p>In addition to responses on the PIF, materials for review by the site visitor should include:</p> <ul style="list-style-type: none"> • Documentation of formal annual program evaluation. • Documentation of residents/fellows and faculty

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	<p>V.C.1.c) graduate performance, including performance of program graduates on the certification examination; and, program quality. Specifically:</p> <p>V.C.1.d)</p> <p>V.C.1.d).(1) Residents and faculty must have the opportunity to evaluate the program confidentially and in writing at least annually, and</p> <p>V.C.1.d).(2) The program must use the results of residents' assessments of the program together with other program evaluation results to improve the program.</p>	<p>participation in the evaluation.</p> <ul style="list-style-type: none"> Evidence of evaluation system characteristics as outlined in the Common Program Requirements (CPRs). <p>For additional assistance, see the "Program Director Guide to the Common Program Requirements," V. Evaluation, located on the ACGME website at: http://www.acgme.org/acWebsite/navPages/nav_commonpr.asp</p>
<p>Describe how the institution complies with the Institutional Requirements regarding "Resident Eligibility and Selection" and the development of appropriate criteria for the selection, evaluation, promotion and dismissal of fellows in accordance with the Program and Institutional Requirements.</p>	<p>IRs,</p> <p>II.A. Eligibility and Selection of Residents: The Sponsoring Institution must have written policies and procedures for resident recruitment and appointment and must monitor each program for compliance. These eligibility requirements must address the following:</p> <p>II.A.1. Resident eligibility: Applicants with one of the following qualifications are eligible for appointment to programs:</p> <p>II.A.1.a) Graduates of medical schools in the United States and Canada accredited by the Liaison Committee on Medical Education (LCME).</p> <p>II.A.1.b) Graduates of colleges of osteopathic medicine in the United States accredited by the American Osteopathic Association (AOA).</p> <p>II.A.1.c) Graduates of medical schools outside the United States and Canada who meet one of the following qualifications:</p> <p>II.A.1.c).(1) Have received a currently valid certificate from the Educational Commission for Foreign Medical Graduates prior to appointment, or,</p> <p>II.A.1.c).(2) Have a full and unrestricted license to practice medicine in a US licensing jurisdiction in which they are training.</p> <p>II.A.1.d) Graduates of medical schools outside the United States who have completed a Fifth Pathway** program provided by an LCME-accredited medical school.</p> <p>II.A.2. Resident selection</p> <p>II.A.2.a) The Sponsoring Institution must ensure that its ACGME-accredited programs select from among eligible applicants on the basis of residency program-related criteria such as their preparedness, ability, aptitude, academic credentials,</p>	<ul style="list-style-type: none"> Documentation for review by the site visitor of policies related to resident/fellow selection, evaluation, promotion, and dismissal

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	<p>II.A.2.b) communication skills, and personal qualities such as motivation and integrity. ACGME-accredited programs must not discriminate with regard to sex, race, age, religion, color, national origin, disability, or any other applicable legally protected status.</p> <p>In selecting from among qualified applicants, it is strongly suggested that the Sponsoring Institution and all of its programs participate in an organized matching program, such as the National Resident Matching Program (NRMP), where such is available.</p>	
<p>Summarize how the institution complies with the ACGME Institutional Requirements regarding fellow support, benefits and conditions of employment to include the details of the fellow contract or agreement as outlined in the ACGME Institutional Requirements. (Do not append the fellow contract/agreement to the PIF but state when it is given to the fellows and applicants. Have a copy available for verification by the site visitor on the day of the survey with the various items required by the ACGME numbered according to the Institutional Requirements.)</p>	<p>IRs,</p> <p>II.B. Financial Support for Residents: Sponsoring and participating sites must provide all residents with appropriate financial support and benefits to ensure that they are able to fulfill the responsibilities of their educational programs.</p> <p>II.C. Benefits and Conditions of Appointment: Candidates for programs (applicants who are invited for an interview) must be informed, in writing or by electronic means, of the terms, conditions, and benefits of their appointment, including financial support; vacations; parental, sick, and other leaves of absence; professional liability, hospitalization, health, disability and other insurance provided for the residents and their families; and the conditions under which the Sponsoring Institution provides call rooms, meals, laundry services, or their equivalents.</p> <p>II.D Agreement of Appointment</p> <p>II.D.1 The Sponsoring Institution and program directors must assure that residents are provided with a written agreement of appointment/contract outlining the terms and conditions of their appointment to a program.</p> <p>II.D.2 The Sponsoring Institution must monitor programs with regard to implementation of terms and conditions of appointment by program directors.</p> <p>II.D.3 The Sponsoring Institution and program directors must ensure that residents are informed of and adhere to established educational and clinical practices, policies, and procedures in all sites to which residents are assigned.</p> <p>II.D.4 The resident agreement/contract must contain or provide a reference to at least the following institutional policies:</p> <p>II.D.4.a) Residents' responsibilities;</p> <p>II.D.4.b) Duration of appointment;</p> <p>II.D.4.c) Financial support; and,</p> <p>II.D.4.d) Conditions for reappointment</p>	<p>Documentation for review by the site visitor to provide evidence that the following items (according to the Institutional Requirements [see center column]) are addressed in a formal resident/fellow contract/agreement or in the resident/fellow manual/handbook which is readily available to residents/fellows :</p> <ul style="list-style-type: none"> • Resident /fellow responsibilities (IRs, II.D.4.a) • Duration of appointment (IRs, II.D.4.b) • Financial support for residents/fellows (IRs, II.D.4.c) • Conditions for reappointment and promotion (II.D.4.d.1) • Resident's/fellow's ability to implement grievance procedure if not reappointed or promoted (IRs, II.D.4.d.2) • A fair, reasonable, and readily available grievance and due process policy that minimizes conflict of interest in the adjudication of issues (IRs, II.D.4.e.1-2) • Professional liability insurance, including a summary of pertinent information regarding the coverage (IRs, II.D.4.f.1-2) • Hospital and health insurance

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	<p>II.D.4.d).(1) Non-renewal of appointment or non-promotion: In instances where a resident’s agreement will not be renewed, or when a resident will not be promoted to the next level of training, the Sponsoring Institution must ensure that its programs provide the resident(s) with a written notice of intent no later than four months prior to the end of the resident’s current agreement. If the primary reason(s) for the non-renewal or non-promotion occurs within the four months prior to the end of the agreement, the Sponsoring Institution must ensure that its programs provide the resident(s) with as much written notice of the intent not to renew or not to promote as circumstances will reasonably allow, prior to the end of the agreement.</p> <p>II.D.4.d).(2) Residents must be allowed to implement the institution’s grievance procedures if they receive a written notice either of intent not to renew their agreement(s) or of intent to renew their agreement(s) but not to promote them to the next level of training.</p> <p><i>[see II.D.4.e—Grievance Procedures, for the following question]</i></p> <hr/> <p>II.D.4.f) Professional liability insurance</p> <p>II.D.4.f).(1) The Sponsoring Institution must provide residents with professional liability coverage and with a summary of pertinent II information regarding this coverage.</p> <p>II.D.4.f).(2) Liability coverage must include legal defense and protection against awards from claims reported or filed after the completion of the program(s) if the alleged acts or omissions of the residents are within the scope of the program(s).</p> <p>II.D.4.g) Health and disability insurance: The Sponsoring Institution must provide hospital and health insurance benefits for the residents and their families. Coverage for such benefits should begin upon the first recognized day of their respective programs, unless statute or regulation requires a later date to begin coverage. The Sponsoring Institution must also provide access to insurance to all residents for disabilities resulting from activities that are part of the educational program.</p> <p>II.D.4.h) Leaves of absence</p>	<p>benefits for residents/fellows and their families with coverage starting the first recognized day of their residency/fellowship programs (IRs, II.D.4.g)</p> <ul style="list-style-type: none"> • Disability insurance for residents/fellows (IRs, II.D.4.g) • Vacation, parental, sick or other leave for residents/fellows, compliant with applicable laws (IRs, II.D.4.h.1-2) • The effect of leave(s) on the ability of the resident/fellow to satisfy requirements to complete the program (IRs, II.D.4.h.1-2) • Access to information related to eligibility for specialty board examinations (IRs, II.D.4.h.1-2) • Policies and procedures regarding resident/fellow duty hours (IRs, II.D.4.i; see also CPRs, VI.A-G and any specialty-specific requirements that apply) • Moonlighting (IRs, II.D.4.j.1-2; see also CPRs, VI.F)

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	<p>II.D.4.h).(1) The Sponsoring Institution must provide written institutional policies on residents' vacation and other leaves of absence (with or without pay) to include parental and sick leave; these policies must comply with applicable laws.</p> <p>II.D.4.h).(2) The Sponsoring Institution must ensure that each program provides its residents with:</p> <p>II.D.4.(h).(2).(a) a written policy in compliance with its Program Requirements concerning the effect of leaves of absence, for any reason, on satisfying the criteria for completion of the residency program, and;</p> <p>II.D.4.(h).(2).(b) information relating to access to eligibility for certification by the relevant certifying board.</p> <p>II.D.4.i) Duty Hours: The Sponsoring Institution must have formal written policies and procedures governing resident duty hours. (See Common Program Requirements, VI.)</p> <p>II.D.4.j) Moonlighting</p> <p>II.D.4.j).(1) The Sponsoring Institution must have a written policy that addresses moonlighting. The policy must:</p> <p>II.D.4.j).(1).(a) Specify that residents must not be required to engage in moonlighting;</p> <p>II.D.4.j).(1).(b) Require a prospective, written statement of permission from the program director that is included in the resident's file; and,</p> <p>II.D.4.j).(1).(c) State that the residents' performance will be monitored for the effect of these activities and that adverse effects may lead to withdrawal of permission.</p> <p>II.D.4.j).(2) Sponsoring Institutions and program directors must closely monitor all moonlighting activities.</p> <p>II.D.4.k) Counseling services: The Sponsoring Institution should facilitate residents' access to confidential counseling, medical, and psychological support services.</p> <p>II.D.4.l) Physician impairment: The Sponsoring Institution must have written policies that describe how it will address physician impairment, including that due to substance abuse.</p> <p>II.D.4.m) Harassment: The Sponsoring Institution must have written policies covering sexual and other forms of harassment.</p> <p>II.D.4.n) Accommodation for disabilities: The Sponsoring Institution must have a written policy regarding</p>	

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	accommodation, which would apply to residents with disabilities. This policy need not be GME-specific.	
Describe in detail the grievance (due process) procedure(s) that is available to fellows, including the composition of the grievance committee, and mechanisms for handling complaints and grievances related to actions which could result in dismissal, non-renewal of a fellow's contract, or other actions that could significantly threaten a fellow's intended career development.	<p>IRs, II.D.4.e)</p> <p>Grievance procedures and due process: The Sponsoring Institution must provide residents with fair, reasonable, and readily available written institutional policies and procedures for grievance and due process. These policies and procedures must minimize conflict of interest by adjudicating parties in addressing:</p> <p>II.D.4.e).(1) Academic or other disciplinary actions taken against residents that could result in dismissal, non-renewal of a resident's agreement, non-promotion of a resident to the next level of training, or other actions that could significantly threaten a resident's intended career development; and,</p> <p>II.D.4.e).(2) Adjudication of resident complaints and grievances related to the work environment or issues related to the program or faculty.</p>	Documentation for review by the site visitor of a copy of a reasonable policy that outlines a basic grievance procedure, even in the smallest of programs. The policy must specifically avoid conflict of interest (e.g., program director should not be included on decision-making body).

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