

# AAMC Group on Resident Affairs

DISCUSSION DRAFT

Core Competencies for Institutional GME  
Leaders/Designated Institutional Officials

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## Preface

The AAMC Group on Resident Affairs (GRA) represents institutional GME leaders in AAMC member hospitals, medical schools, and academic societies. The GRA has developed this monograph to document:

- the extent and kind of responsibilities shouldered by its members and their institutional GME leader-colleagues nationwide; and
- the knowledge, skills, and abilities required to meet these responsibilities.

The original version of this monograph was central to the design of the first offering of its GME Leadership Development Course in 2004-2005. This revised version was developed from the experience gained from the course. The GRA will re-examine it after the second offering of the course in 2006-2007, or as warranted by the evolution of accreditation requirements or other factors that impact GME. We invite the comments of the GME community.

In the past decade, an upswing in institutional responsibility and accountability for resident education has increased the need for people who are able to provide effective institutional leadership in GME. The ACGME codified this role in 1997 when it began to require that each institutional sponsor of GME have a Designated Institutional Official “who has the authority and responsibility for the oversight and administration of the Sponsoring Institution's ACGME-accredited programs and who is responsible for assuring compliance with ACGME Institutional Requirements.”

In themselves, these are significant responsibilities. But, as described below, the role of the GME institutional leader/DIO goes beyond program oversight and compliance with ACGME Institutional Requirements to leading the institution's GME enterprise improvement. His or her scope of responsibility extends to the educational, fiscal, and administrative health of the institution's GME enterprise, its compliance with state and federal laws and regulations, the support and development of its residency program directors, and the wellbeing and development of its residents. He or she advocates for the GME enterprise both within and outside the institution.

The GRA believes that the future of GME and its interactions with undergraduate medical education, medical research, and quality patient care will rely even more on a cadre of committed, well-prepared institutional GME leaders. The multiple authors of this monograph hope that it informs the academic medical community about the roles and contributions of its institutional GME leaders and furthers the development of those who carry these responsibilities.

This monograph is the work of the GRA Steering Committee, the GME Leadership Development Course Design Team, and a committee of graduates of the GME Leadership Development Course 2004-2005 chaired by Steering Committee member Lois Bready, M.D., and the GRA Executive Secretary Sunny Yoder (see appendix for the names of contributors).

## Introduction - Competency Categories

The GRA defines these twelve core competencies of institutional GME leaders/ Designated Institutional Officials:

1. Maintaining the Institution's ACGME Accreditation
2. Maintaining the Institution's Residency Programs' ACGME Accreditation
3. Improving the Institution's Educational Program
4. Developing and Supporting Residency Program Directors
5. Managing the Institution's GME Budget and Advocating for Resources
6. Managing the Institution's GME Operations
7. Representing the Institution's GME Enterprise
8. Overseeing the Wellbeing of the Institution's Residents
9. Providing Guidance on GME Legal Matters
10. Functioning Effectively in the Larger Medical Context
11. Working in the Health Policy Context
12. Developing Further as a GME Leader.

For each competency, it defines three levels

1. Fundamental - knowledge and understanding of what needs to be done;
2. Proficient - the ability to translate that knowledge into effective action; and
3. Advanced - the ability to exercise creativity and leadership.

Each competency is discussed in turn below.

### 1. **Maintaining the Institution's ACGME Accreditation**

#### *A. Compliance in General*

- **Fundamental:** Knows and understands current ACGME Institutional Requirements, Common Program Requirements, and program requirements for the institution's sponsored programs
- **Proficient:** Sustains documented compliance with ACGME requirements and maintain ACGME institutional approval.
- **Advanced:** Builds upon accreditation requirements to improve individual residency programs and the quality of the institution's overall GME enterprise.

#### *B. Institutional Commitment*

- **Fundamental:** Knows and understands current ACGME requirements.
- **Proficient:** Maintains compliance by documenting institutional commitment, presence of organized administrative system, fulfillment of DIO responsibilities, adequacy of institutional resources, institutional and program agreements,

JCAHO accreditation/QA. Knowledge of HIPAA requirements regarding protected health information.

- **Advanced:** Advocates for GME in the institution, strengthens institutional commitment, and negotiates successfully for resources. Ensures that protected health information is maintained confidential, and that access is on a need-to-know basis only.

### *C. Residents and Programs*

- **Fundamental:** Knows and understands current ACGME requirements.
- **Proficient:** Manages and documents resident eligibility and selection (nondiscrimination), residents' stipends and benefits, conditions of resident appointment and written agreements of appointment, and resident wellness. Assists program directors in identifying and assisting residents with personal problems or physical/mental health issues that impact on their education. Works effectively with the "physician health" infrastructure within the institution to ensure adequate access for residents to necessary services. Develops and conducts effective resident orientation.
- **Advanced:** Assures that residency programs follow appropriate procedures in screening and selecting residents. Develops and supports appropriate resident benefits. Develops and modifies a compliant agreement of appointment. Develops programs to improve resident wellness within the institution through education of residents and program directors

### *D. Resident Duty Hours, Resident Fatigue, and Moonlighting*

- **Fundamental:** Knows and understands current ACGME requirements. Annually verifies programs' duty hours data.
- **Proficient:** Develops sound policies and procedures governing resident duty hours, resident fatigue, and moonlighting, and articulates the rationale. Oversees the monitoring of resident duty hours; communicates ACGME requirements and institutional policies to residents, faculty, and program directors, and to external entities. Oversees monitoring of resident moonlighting and compliance with ACGME requirements and institutional policies.
- **Advanced:** Ensures compliance with duty hours requirements by all accredited programs. Exercises leadership in achieving cultural change and program-level innovation in support of limits on resident duty hours/fatigue.

### *E. Resident Learning and Duty Environment*

- **Fundamental:** Knows the requirements for an environment in which residents can discuss resident issues, and individual residents' issues can be addressed confidentially. Knows the requirements for services and support systems to minimize resident work that is of marginal or no educational value.
- **Proficient:** Develops and sustains processes that assure residents' ability to confidentially raise and resolve personal and professional issues, without fear of intimidation or retaliation. Provides a mechanism for the residents' organization to regularly communicate and exchange information regarding the work environment and educational experience. Works with residents' organization to foster improvements. Works with hospitals and other resident clinical sites to achieve adequate food, resident call rooms, security, and patient care support services. Serves as a resource to residents for confidential discussion of personal or professional issues. Provides a mechanism for anonymous, confidential reporting by residents of Institutional, GMEC or program policy violations.
- **Advanced:** Creates an environment of mutual respect, in which residents feel safe to discuss issues and problems. Helps program directors identify instances of inadequate patient support services and find ways to improve the educational value of residents' clinical experiences. Enfranchises residents to contribute to improving education and patient care. Advocates for a culture of safety. Promotes patient safety initiatives in residency programs and institutions.

#### *F. GME Committee (GMEC)*

- **Fundamental:** Knows the requirements for GMEC structure and key responsibilities.
- **Proficient:** Meets ACGME requirements, working effectively with the GMEC to establish policies, oversee program directors, monitor program accreditation, orient and develop new program directors, and review and approve submissions to ACGME.
- **Advanced:** Positions the GMEC within the institution to ensure that its initiatives are implemented. Exercises leadership and provides guidance to the GMEC; maintains the energy and effectiveness of the committee through engaged key participants. Makes the committee an effective force for program improvement and an effective force for change in the institution overall.

#### *G. Internal Review*

- **Fundamental:** Knows and understands the requirements for conduct of internal program reviews by GMEC and their provision to the institutional site visitor during institutional review.

- **Proficient:** Meets ACGME requirements, documenting the internal review committee, its review protocol, the timing of the review, the materials used in the review, the review process including interviews conducted, and the review report. Assists programs with development of effective action plans for correction of identified deficiencies, and tracking improvements.
- **Advanced:** Enhances the value of the internal review process in program improvement and as an educational/professional development activity for program directors and others involved in GME.

## 2. **Maintaining the institution's Residency Programs' ACGME Accreditation**

- **Fundamental:** Knows and understands current ACGME Common Program Requirements and specialty-specific program requirements for the institution's sponsored programs
- **Proficient:** Sustains documented compliance with ACGME requirements and maintains ACGME program accreditation.
- **Advanced:** Maintains accreditation for all the institution's residency programs with few or no citations. Builds upon accreditation requirements to improve individual residency programs and the quality of the institution's overall GME enterprise.

## 3. **Improving the Institution's Educational Program**

- **Fundamental:** Knows the general competencies and requirements for education, outcome assessment, and improvement. Knows requirements with respect to resident evaluations of faculty and their educational experiences. Knows basic methods of applied research as used to assess educational interventions.
- **Proficient:** Assists program directors in developing curricula and assessment methods in the general competencies. Identifies and develops or assists others in developing tools to obtain resident evaluation of faculty and educational experience. Improves residents' participation in teaching medical students and others. Integrates clinical skills simulation and standardized patient interactions into GME training programs.
- **Advanced:** Leads the institution in understanding the core competencies and their relationship to the continued professional development of physicians. Develops and monitors measures of program quality to facilitate improvements in institutional and program educational outcomes. Leads faculty development initiatives that improve individual faculty members' teaching skills and understanding of GME core competencies.

#### 4. **Developing and Supporting Residency Program Directors**

- **Fundamental:** Knows ACGME requirements for program directors and ensures that all program directors appointed meet minimal applicable RRC standards. Advocates for sufficient financial support and protected time for program directors to meet the educational and administrative responsibilities of their programs.
- **Proficient:** Develops competencies and performance standards for program directors and identifies training needs that ensure that the competencies and performance standards are met. Disseminates information regarding professional developmental opportunities at a national level (AAMC, ACGME, Program Directors Associations). Advocates for funding of program directors to participate in professional developmental opportunities.
- **Advanced:** Provides leadership development programs and career counseling for program directors in order to advance their careers. Establishes a program of progressive faculty development which identifies potential institutional GME leaders. Serves as a resource for professional development including career counseling, organization of leadership development courses, and research development. Secures funding to enable program directors to participate in professional development opportunities. Fosters development of outstanding physician-educator faculty to assist program directors.

#### 5. **Managing the Institution's GME Budget and Advocating for Resources**

- **Fundamental:** Understands at a working level the Institution's process for budgeting. Understands Medicare Indirect GME and Direct GME funding. Understands key CMS regulations including CAPs, FTEs and redistribution of resources. Advocates for fairness in distribution. Reviews the budget at least annually with the GMEC and makes recommendations to the Sponsoring Institution on resident stipends, benefits, and funding for resident positions to assure that these are reasonable and fair.
- **Proficient:** Meets with administrative leadership and financial officers to provide input and recommendations during GME budget planning. Advocates for additional funding to meet changing ACGME requirements. Advises the GMEC and program directors of budgeting issues. Advocates for resources for the broad needs of all GME.
- **Advanced:** Develops and justifies the GME budget, sets the salaries of GME staff, and conducts strategic planning for GME resource acquisition and distribution. Advises Administration of the GME vision of financial needs.

## 6. Managing the Institution's GME Operations

- **Fundamental:** Oversees the functioning of the GME office, including hiring, supervision, and personnel evaluations. Maintains institutional accreditation files. Knows institutional policies and procedures as well as resources for residents with HIPAA, immigration and visa issues.
- **Proficient:** Communicates effectively with program-level administrative staff regarding institutional policies and procedures. Collects data through surveys and other methods regarding program and institutional operations to use in strategic planning and management. Serves as a resource to the institution's programs, as point of contact for training sites, regulatory bodies, etc. Oversees management of institutional electronic information management system, training, website, etc.
- **Advanced:** Serves as coordinating site for documentation of all required elements of GME within the institution. Employs website as internal and external educational resource, survey vehicle, etc. for the institution's programs. Develops a succession plan for program and institutional leadership in GME

## 7. Representing the Institution's GME Enterprise

- **Fundamental:** Knows the key people in the sponsoring institution and its participating institutions and clinical sites. Understands the institutional structure(s) and governance(s) as the context for GME.
- **Proficient:** Understands the goals and dynamic interactions among the key leaders in the institution and its GME participating institutions/clinical sites. Understands institutional decision making processes. Leads meetings effectively. Establishes and justifies the GME budget and advocates for necessary budgetary support. Works effectively with affiliated institutions in the development of master and program-level affiliation agreements. Works effectively with the institution's legal staff
- **Advanced:** Works persuasively and effectively with key leaders and the governance structure in setting organization values, direction, and performance expectations to further the improvement of GME within the institution. Knows sources of support for GME from institution, departments, outside grants, etc. and maximizes and manages financial resources. Communicates and "markets" the GME enterprise with institutional leadership, governing board, and the community. Interacts with the media on issues such as resident duty hours and patient safety (e.g. adverse events involving residents).



## 8. **Overseeing the Wellbeing of the Institution's Residents**

- **Fundamental:** Knows and understands ACGME requirements in support of resident well being. Knows of institutional resources in support of maintenance of resident well being. Knows and understands institutional and state policies for physician impairment. Knows institutional policy for due process. Works effectively with residents and institution's staff to effect referrals where appropriate.
- **Proficient:** Serves as a resource to residents for confidential discussion of personal or professional issues. Provides information regarding and facilitate referrals to the physician well-being committee. Effectively advocates for funding in support of resident centered support programs.
- **Advanced:** Develops measures to assess effectiveness of programs designed to promote resident well being. Educates appropriate institutional personal regarding professionalism, physician well-being, and recognition and reporting of potential resident impairment. Tracks issues related to resident well-being and assists appropriate institutional officials in developing proactive strategies to minimize the risk of repeat behaviors.

## 9. **Providing Guidance on GME Legal Matters** (the Group on Resident Affairs recognizes that legal matters vary by state and locale, and recommends that institutional GME leaders work closely with their local legal counsel.)

### A. *Legal issues*

- **Fundamental:** Knows and understands institutional policies and procedures as well as resources for residents with personal problems, non-succeeding residents, HIPAA, immigration and visas. Works effectively with the institution's legal staff.
- **Proficient:** Guides programs in seeking legal advice. Obtains legal review of policies, procedures, contracts, and other matters. Participates in EEO, other investigations.
- **Advanced:** Able to participate and support EEO, other investigations. Represents the institution at regional, state, and/or national levels on matters with legal implications.

### B. *Resident Discipline*

- **Fundamental:** Understands institutional and GMEC policies regarding due process. Knows state regulations regarding physician discipline.

- Proficient: Sustains effective mechanisms of communication with human resources and appropriate legal authorities regarding resident discipline.
- Advanced: Assists program directors and appropriate institutional officials with the academic disciplinary process including strategies for counseling, identification of impairment, writing evaluations that conform to policy and improvement plans for non-succeeding residents and identifying sources of assistance.

*C. Due process:*

- Fundamental: Knows ACGME requirements for complaint and due process procedures.
- Proficient: Works with institutional leaders, residents and legal counsel to develop complaint and due process procedure.
- Advanced: Works with program directors and residents to ensure consistent enforcement of complaint and due process procedures.

**10. Functioning Effectively in the Larger Medical Context**

*A. General*

- Fundamental: Knows and understands the educational leadership roles of AAMC and other organizations such as AMA Section on Medical Schools, ABMS, CMSS, NRMP, and FSMB vis-à-vis graduate medical education. Knowledge of educational theory, objectives, and outcomes. Knows sources of educational funding.
- Proficient: Accesses and understands current information about the educational policies and contributions of key organizations. Assists program directors in developing their educational objectives, curricula, and assessment methods. Obtains or helps program directors obtain funding for educational improvements.
- Advanced: Recognizes the significance of the policies and actions of leading educational organizations, appreciates how they can reinforce each other, and recognizes when they can help strengthen institutional support for and improve the quality of GME. Leads the improvement of the institution's educational program. Identifies and makes use of opportunities such as new funding streams for education, educational evaluation.

*B. NRMP*

- Fundamental: Knows and understands the NRMP process, timeline, and responsibilities of the institutional official and of the institution.
- Proficient: Monitors the match process and ensures that applicants and programs comply with requirements.
- Advanced: Exercises leadership and provides guidance to programs regarding their match participation.

*C. ECFMG*

- Fundamental: Knows and understands the ECFMG process, timeline, and responsibilities of the institution.
- Proficient: Monitors the institution's international medical graduates' performance.
- Advanced: Exercises leadership and provides guidance to programs regarding international medical graduates.

*D. USMLE*

- Fundamental: Knows and understands the USMLE process.
- Proficient: Monitors institution's residents' performance on USMLE examinations and progress toward licensure.
- Advanced: Exercises leadership and provides guidance to programs regarding licensing examinations.

*E. State Licensing Boards*

- Fundamental: Knows and understands the requirements of state licensing boards(s) governing residents in the institution's programs.
- Proficient: Maintains compliance and provides guidance to programs.
- Advanced: Advocates for rational licensing and disciplinary regulation at the state level.

**11. Working in the Health Policy Context**

- **Fundamental:** Knows the major policy issues and factors in GME financing, health care financing, health care workforce, patient safety, healthcare quality, immigration, information technology, etc. that intersect with and influence GME.
- **Proficient:** Knows key agencies and private organizations as state Medicaid departments, Center for Medicare and Medicaid Services (CMS), Health Resources and Services Administration (HRSA), Agency for Healthcare Research and Quality (AHRQ), Institute for Healthcare Improvement (IHI), Institute of Medicine (IOM). Awareness of current developments gained from their web sites, AAMC web site, professional society and GRA meetings.
- **Advanced:** Understands the implications of state and federal policies for GME. Contributes to policy discussions inside the institution, in professional organizations, and in state and federal legislative/regulatory venues.

## 12. **Developing Further as a GME Leader**

- **Fundamental:** Knows of personal/professional development opportunities offered by AAMC and other organizations.
- **Proficient:** Periodically assesses one's own professional development needs and identifies methods and alternatives for meeting those needs. Actively networks with other GME leaders to foster continuing awareness of challenges and opportunities.
- **Advanced:** Pursues professional development that furthers specific career goals and responsibilities. Secures institutional funding and support for participation in professional development. Contributes to the creation and implementation of leadership development courses provided by professional organizations.

## APPENDIX

### GRA Committee to Revise the Core Competencies for Institutional GME Leaders/DIOS

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