

**University of Washington
School of Dentistry General Records
Retention Schedule**



Revision 1
January 2008

This retention schedule is intended to provide a listing of records common throughout the School of Dentistry clinics. Although many of these records are now contained in CMS (or current database), the retention periods are still applicable to both the electronic and any remaining hardcopy records.

Please note if you do not have these records, you are not required to create them. Because the functions of clinics differ, you may also have a Departmental Retention Schedule for those records which are unique to your clinic.

If a record being created by your clinic is not found on this retention schedule or a Departmental Retention Schedule, please contact Records Management Services at 543.0573 or urc@u.washington.edu.

For all other records, please use the UW General Records Retention Schedule.

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Section 1 Clinic Operations

Clinic Appointment Calendars: Provides record of patient appointments. May now be found in CMS (or current database).

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Official Copy: Any Clinic

Retention: 6 years after end of calendar year

Disposition Method: Shred

Clinic Schedules: Tracks student and faculty assignment to individual clinics and provides clinic coverage information. May act as attendance record of students assigned to the clinic.

Official Copy: Any Clinic

Retention: zero retention after end of quarter

Disposition Method: Shred

Daily Script Journal: An auditable summary of prescriptions filed each day, listed by drug and by prescribing doctor. Signed by the day's attending pharmacist. Maintained as per RCW 69.41.042.

Official Copy: Any Clinic

Retention: 6 years after end of calendar year

Disposition Method: Shred

Gold Log: Provides a record of all gold dispensed to students. Includes student name, patient name, date and amount of gold used in procedure.

Official Copy: Any Clinic

Retention: 6 years after end of fiscal year

Disposition Method: Shred

Gold Slips: Provides a record of gold inventory and amount of gold used in dental procedures.

Official Copy: Any Clinic

Retention: 6 years after end of fiscal year

Disposition Method: Shred

Patient Charts: Provides complete documentation of examination, diagnosis and treatment for each patient receiving dental care including: periodontal, orthodontal, oral surgery, endodontic treatment, or procedures such as dental implants which require long

term tracking. Charts may include: Chart Routing Record, X-Rays logs, Admitting Record, Dental Insurance Questionnaire, Problem and Treatment Lists and Plans, Progress Notes/Treatment Record (UW-D-3), Health History Questionnaire, Fees Statement, Request for Radiographic Examination, etc.

Official Copy: Clinical Services: Patient Records
Retention: 30 years after last patient contact
Disposition Method: Shred

Other Copy: Any Clinic sending patient charts to Clinical Services: Patient Records
Retention: 0 years after last patient contact
Disposition Method: Transfer to Clinical Services: Patient Records

Patient Screening Records -- Not Accepted: Provides a record of questionnaires or preliminary screening examinations of patients not accepted for admittance to a clinic. May include Admitting Report, Health History Questionnaire, and Progress Notes. Screening records of accepted patients become part of Patient Chart.

Official Copy: Any Clinic
Retention: 1 year after patient not accepted
Disposition Method: Shred

Prescription Records: Provides record of each dispensed x-ray, prescription drug, set of dentures, etc. Maintained as per RCW 69.41.042.

Official Copy: Any Clinic
Retention: 6 years after end of calendar year
Disposition Method: Shred

Official Copy: Restorative Dentistry & Prosthodontics – Lab Work Request Form
Retention: 6 years after end of Calendar Year
Disposition Method: Shred

Request for Radiographic Examination: This form is a request for an x-ray to be performed on a patient.

Note - Once the x-ray is taken, the form should be placed in the patient chart.

Official Copy: Any Clinic
Retention: zero retention after x-ray is taken
Disposition Method: Place in Patient Chart

Treatment Contracts: Contract outlining the treatment plan between patient and clinician. Includes correspondence regarding treatment, payment plans, any notes, and all amendments to the contract.

Note – This record may also be filed with the Patient Chart.

Official Copy: Any Clinic

Retention: 6 years retention after termination of contract

Disposition Method: Shred

Unusual Incident/Accident Report: This series provides a record of incidents and accidents regarding employees, visitors, and patients within the School of Dentistry. Use of this form initiates the investigation/review process needed to improve workplace safety and health.

Note - Health Sciences Risk Management is responsible for maintaining the official copy for the University.

Other Copy: Office of Clinical Services: Clinic Operations

Retention: 5 years retention after end of calendar year

Disposition Method: Shred

Other Copy: Any Clinic: Supervisor of the reporter

Retention: 5 years retention after end of calendar year

Disposition Method: Shred

Section 2 Curriculum Records

Continuing Dental Education Course Files: Provides a record of each continuing dental education course. May include course outline, income received for course, registrant list, credits awarded, advertisements for course, course evaluation, development files, contract with instructor, and financial statistics.

Official Copy: Continuing Dental Education

Retention: 7 years after end of calendar year,

Disposition Method: Transfer to Archives for review

Other Copy: Any Clinic offering a continuing dental education course

Retention: 3 years after end of calendar year

Disposition Method: Shred

Section 3 Financial Records

Accounting Reports from Outside Vendors: Accounting reports produced for the School of Dentistry by outside agencies, such as ProData, Strand, etc. May include Accounts Receivable, Aging Reports, Delinquent Accounts Report, Production Reports, etc.

Official Copy: Clinical Services: Accounting and Patient Accounts Office

Retention: 6 years after end of calendar year

Disposition Method: Shred

Other Copy: Any Clinic

Retention: destroy when no longer needed

Disposition Method: Shred

Insurance Billing Records: A record of all requests for payment submitted to Medicaid, DSHS, or insurance companies. May include copies of applicable patient chart notes, procedure coding sheets, patient bill, etc.

Official Copy: Clinical Services: Accounting and Patient Accounts Office: –
Explanation of Benefits

Retention: 6 years after end of month

Disposition Method: Shred

Official Copy: Any Clinic receiving insurance payments

Retention: 6 years after end of fiscal year

Disposition Method: Shred

Patient Billing Records: A record of patient charges. Used to generate patient billing for individual payment. May include copies of applicable patient chart notes, procedure coding sheets, patient bill, etc.

Official Copy: CMS Management

Retention: 6 years after end of fiscal year

Disposition Method: Shred or Deletion

Official Copy: Pre-CMS: Any Clinic who mailed own billing information

Retention: 6 years after end of fiscal year

Disposition Method: Shred

Patient Payment Records: Provides a record of payment and adjustments for dental services. May include insurance statement, billing statement, photocopies of payment checks, credit card slips, write-off authorizations, etc. with all the backup attached to payments posted "batch."

Official Copy: Clinical Services: Accounting and Patient Accounts Office –
Cashier Check Out Reports

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Retention: 6 years after end of month

Disposition Method: Shred

Official Copy: Any Clinic posting a payment received directly from a patient

Retention: 6 years after end of fiscal year

Disposition Method: Shred

Refunds: A record of refunds made for overpayment by patients or insurance companies.

Official Copy: Clinical Services: Accounting and Patient Accounts Office

Retention: 6 years after end of fiscal year

Disposition Method: Shred

Official Copy: Any Clinic requesting patient funds

Retention: 6 years after end of fiscal year

Disposition Method: Shred

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