

Office of The Chancellor  
Formerly under Provost and Vice Chancellor for Academic Affairs  
School of Dental Medicine  
Dean's Office

Item #950.001 cancelled see 07-09 H item 950.008

950.01 Patient Records (Originals)

Dates: 1973-  
Volume: 950 Cubic Feet  
Annual Accumulation: 25 Cubic Feet  
Arrangement: Numeric by patient number

This record series consists of patient information including personal information, radiographs, treatment plans, informed consent forms, health histories, treatment notes, letters to patients, and charting of oral conditions.

Recommendation: Retain in office permanently in hardcopy or microfilm format. Hard copies may be disposed of in a secure manner upon completion of microfilming as required.

Disposition Approved as Amended 05/18/11

950.002 Student Files and Grades (Originals and Duplicates)

Dates: 1972-  
Volume: 30 Cubic Feet  
Annual Accumulation: 1 Cubic Feet  
Arrangement: Alphabetical by name

This record series consists of two sets of documentation: the Admission File and the Academic File. Within the Admission File are applications, transcripts, residency documentation, change of name documentation, acceptance letters, transcripts, residency documentation, transcript requests and change of address requests. The Academic File contains copies of progress reports, grade reports, grade changes, student record cores and sign-out cards.

Recommendation: Retain in office permanently in hardcopy or microfilm format. Hard copies may be disposed of in a secure manner upon completion of microfilming as required.

Disposition Approved as Amended 05/18/11

950.003 Student Application Files (Not Enrolled) (Originals)

Dates: 2005-  
Volume: 33 Cubic Feet  
Annual Accumulation: 5 Cubic Feet  
Arrangement: Alphabetical by name

This record series consists of applications, transcripts, residency documentation, change of name documentation, and acceptance letters.

Recommendation: Retain in office for three (3) years after the date of document submission, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved as Amended 05/18/11

950.004 Faculty Dental Licenses (Duplicates)

Dates: 1972-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Alphabetical by name

This record series consists of a dental license issued by the Illinois Department of Professional Regulations. The license expires every three (3) years. Originals are maintained in the official faculty personnel file.

Recommendation: Retain in office until superseded by new license, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved as Amended 05/18/11

950.005 Dean's Office and Faculty Committee Files (Originals)

Dates: 2000-  
Volume: Negligible  
Annual Accumulation: Negligible  
Arrangement: Chronological by year

This record series consists of original committee minutes and agendas, materials on ad-hoc committees appointed by the Dean, committee operating papers, student disciplinary files and annual reports.

**Recommendation:** Retain any routine documents in office for seven (7) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated. All remaining accumulations (including original minutes and agendas, committee operating papers and annual reports) are to be transferred to the University Archives for permanent retention.

Retain files dealing with student disciplinary matters in office for four (4) years from the date of the final decision of the committee, except under special circumstances as required by State or Federal law, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved as Amended 05/18/11

950.006 Patient Billing and Insurance Files and Related Reports (Originals)

**Dates:** 1973-  
**Volume:** 60 Cubic Feet  
**Annual Accumulation:** 2 Cubic Feet  
**Arrangement:** Alphabetical and Chronological

This record series consists of report of daily patient charges, listing of patient payments, listing of payments by mail including Medicaid and insurance payments, listing of all adjustments to patient accounts, copies of all checks or credit card receipts, copies of all collection reports, daily cash drawer counts and balancing sheets, patient correspondence, and claim forms.

**Recommendation:** Retain in office for six fiscal (6) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved 05/18/11

950.007 Foundation Account Files (Duplicates)

**Dates:** 2001-  
**Volume:** 6 Cubic Feet  
**Annual Accumulation:** ½ Cubic Feet  
**Arrangement:** By account and fiscal year

This record series consists of copies of records of foundation donations, deposits, monthly balance reports and payments. Original documents are

maintained by the SIUE Foundation, Bursar, and Accounts Payable offices.

Recommendation: Retain in office three fiscal (3) years, then destroy in a secure manner, provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved 05/18/11

Item # 950.008 no longer includes Radiographs

950.008 Patient Records

Dates: 1973-  
Volume: 950 Cubic Feet  
Annual Accumulation: 25 Cubic Feet  
Arrangement: Numerical by patient number

This record series consists of original patient records maintained by the School of Dental Medicine including; personal information, radiographs, treatment plans, informed consent forms, health histories, treatment notes, letters to patients, and chartings of oral conditions. The "Illinois Dental Practice Act" (225 ILCS 25/50) requires that dental records be maintained for a period of ten (10) years.

This item supersedes item 950.001 of State Records Application 07-09 in order to reduce the length of retention from "permanent" to ten (10) years for adult patients and eighteen (18) years for pediatric patients per agency request.

Recommendation: a) Retain adult dental records for ten (10) years following the date of last appointment, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.  
b) Retain pediatric dental records for eighteen (18) years from the last active visit, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved 12/19/12

950.009 Dental X-Ray Files

Dates: 1973-  
Volume: 390 Cubic Feet /21 GB  
Annual Accumulation: 10 Cubic Feet /300 MB  
Arrangement: Numeric by patient number

This record series consists of original X-rays that are generated by the School of Dental Medicine in the course of patient treatment. The X-rays were formerly maintained in hard copy format but are now created and maintained in electronic format since 2006.

This item partially supersedes State Records Application 07-09, item 950.008 (Patient Files) to remove “Radiographs” from the record series and create a new item titled “X-Rays” per agency request. In addition, a new recommendation that conforms to the requirements of the “Illinois Dental Practice Act” (225 ILCS 25/) is also requested.

- Recommendation:
- a) Retain adult X-rays for ten (10) years following the date of last appointment, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.
  - b) Retain pediatric X-rays for eighteen (18) years from the date of the patient’s last visit, then destroy in a secure manner or delete from the system provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Disposition Approved as Amended 05/15/13

950.10 Dental School Graduate Resident Files

Dates: 1984-  
Volume: 6 Cubic Feet  
Annual Accumulation: 1 Cubic Feet  
Arrangement: Chronological

This record series consists of the files of dental school graduates who have been accepted into the residency program. The resident files may include applications, licenses, diplomas, transcripts, production reports, stipend agreements, contracts, evaluations, audit forms, exams, and any related disciplinary information.

Recommendation: Retain in the office for seven (7) years after the date of acceptance into the dental school, then microfilm and destroy the hard copies in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated. Retain all record series microforms for fifty-eight (58) years after the date of acceptance into the dental school, then destroy in a secure manner provided all audits have been completed, if necessary, and no litigation is pending or anticipated.

Deferred  
2/19/14

Disposition approved as rewritten 3/19/14