



Board of Dentistry

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Board of Dentistry. **Government records in Kentucky can only be disposed of with the approval of the State Archives and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by Board of Dentistry personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Board of Dentistry to destroy the records listed, after the appropriate retention periods have passed.

Board of Dentistry personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for the Board of Dentistry.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

This retention schedule covers the content of records created by the Board of Dentistry, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or

investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Board of Dentistry

The Kentucky Board of Dentistry is responsible for licensing dentists and dental hygienists and administering the Dental Practice Act, which involves investigating complaints and litigating complaints against dentists and dental hygienists. The Board answers questions regarding the Dental Practice Act and promotes dentistry in general. The Board is a separate and distinct entity from any professional association. The main purpose of the Board is to protect the public by administering the Dental Practice Act and regulating the dental profession.

The Board is self-supporting and receives no general fund tax appropriation. It is funded through fees assessed for licensing its professionals.

RECORDS RETENTION SCHEDULE

Signature Page

Board of Dentistry
Agency

March 11, 2010
Schedule Date

Unit

Change Date

March 11, 2010
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

[Signature]
Agency Head

3/30/10
Date of Approval

[Signature]
Agency Records Officer

3/30/10
Date of Approval

Barbara Teague
State Archivist and Records Administrator
Director, Public Records Division

3/11/10
Date of Approval

Walter Onkitt
Chairman, State Archives and Records Commission

3/4/2010
Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

[Signature]
Records Analyst/Regional Administrator

3/11/10
Date of Approval

[Signature]
Appraisal Archivist

3/11/2010
Date of Approval

[Signature]
State/Local Records Branch Manager

11 Mar 10
Date of Approval

The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

3-11-10
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

General Government
Dentistry, Board of

Record Group
Number
0720

Series	Records Title and Description	Function and Use
00904	Master Folder - Dentists	This series documents activity of dentists while licensed in Kentucky. It documents the activity of renewal of licensure, may document the activity of continuing education audit and any disciplinary action. Pursuant to KRS 313.020, every practicing dentist in the Commonwealth must be licensed by the Kentucky Board of Dentistry. The initial registration fee for a General Practice License is \$280, with a renewal fee of \$230 every other year. The Specialty License fee is \$60 with no renewal fee. The anesthesia permit fee is \$30 with a renewal fee of \$30 every other year. The license must be renewed by December 31st of the odd-numbered prior year.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: Single record, Original application, National board score card, Dental transcript, Evidence of county registration, Jurisprudence exam, Annual license renewal application: Verification of licensure in another state, Proof of an HIV/Aids course, National practitioners data bank report, Specialty licensure application and exam, Anesthesia application and proof of training, copy of CPR card, Resumes, Regional test scores, Investigative material, related correspondence, photos, test grade reports, examination work sheets and disciplinary action.
	Retention and Disposition	Transfer to the State Archives Center five (5) years after becoming inactive. State Archives retains Permanently.
00905	Register of Licensed Dentists	This series documents the register for assigning license numbers to dentists. This information is used to document annual license renewal date, cancellation of license date and documents the date of death for a deceased dentist. Each dentist is given a unique license number (KRS 313.090) and these numbers are never used again.
	Access Restrictions	None
	Contents	May contain: Name, Licensure date, School and date of graduation, DOB, Application by Exam or Credentials and Original application.
	Retention and Disposition	Retain Permanently.
00906	Register of Licensed Dental Hygienists	This series documents the creation of a register for assigning license numbers to dental hygienists. It documents annual license renewal dates, date of cancellation of license and documents the date of death of deceased dental hygienists. Each hygienist is given a unique license number (KRS 313.320) and these numbers are never used again.
	Access Restrictions	None
	Contents	Series may contain: Name, Licensure date, School and date of graduation, DOB, Application by Exam or Credentials and Original application.
	Retention and Disposition	Retain Permanently.
00914	Dental Laboratory Technician Registration File	This series documents the activities of Dental Laboratory Technicians while actively registered in Kentucky (KRS 313.530). This includes any individual who performs or offers to perform, dental laboratory technology and who is classified as such by regulations of the Board of Dentistry. Each dental laboratory technician must register each year. The registration and renewal fee are the same, \$10 each year. This file documents the activity of annual renewal of registration and may also contain disciplinary actions taken. This is only a register file and not a license file.
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: original application, Annual renewal applications and any disciplinary action.
	Retention and Disposition	Destroy five (5) years after last renewal.

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Number
0720

Series	Records Title and Description	Function and Use
00915	Dental Laboratory Registration File	<p>This series documents the activities of Dental Laboratories while actively registered in Kentucky (KRS 313.520). Dental Laboratories include firms or corporations who directly or through an agent, supply or manufacture artificial substitutes for natural teeth or unfinished substitutes that are not normally available through dental supply houses. Each Dental Laboratory must register each year and is given a unique registration number that does not change even if the Laboratory changes its name. The registration and renewal fee are the same, \$50 every year. If a Laboratory fails to renew within a five year period, the registration process starts anew. If the laboratory registers anytime within this five year period it is handled as a reinstatement and the original registration number is reassigned. Each Dental Laboratory must have a Certified Dental Technician, unless the laboratory was in business prior to 1976 and covered under a "Grandfather Clause." This series documents the activity of annual registration, renewal and may contain any disciplinary actions taken. This is only a registration file, not a license file.</p> <p>Access Restrictions None</p> <p>Contents Series may contain: Original application, Annual renewal application and any disciplinary action.</p> <p>Retention and Disposition Destroy five (5) years after last renewal.</p>
04600	Master Folder - Hygienists	<p>This series documents the activities of dental hygienists while actively licensed in Kentucky. Pursuant to KRS 313.310, every practicing dental hygienist must be licensed by the KY Board of Dentistry. A hygienist is someone who assists the dentist in cleaning teeth, making recommendations to the dentist and in advising patients of preventive measures to ensure protection from diseases and other unsanitary conditions. The initial license fee is \$105 and a renewal fee of \$80 every other year, an application fee for certification to administer block and infiltration anesthesia and nitrous oxide is \$30 with no renewal fee. All renewal fees must be paid by December 31st of the even-numbered prior year.</p> <p>Access Restrictions KRS 61.878 (1)(a) Personal Information</p> <p>Contents Series may contain: Single record, photos, related correspondence, test grade, reports, exam work sheets, Original application, National Board score card, Transcript, Evidence of county registration, Jurisprudence exam, an application for certification to administer block and infiltration anesthesia and nitrous oxide and Annual license renewal application, Verification of licensure in other states, Proof of HIV/Aids course, National Practitioners data bank report, Copy of CPR card, Resumes, Regional test scores, and Investigative materials and Disciplinary actions.</p> <p>Retention and Disposition Transfer to the State Archives Center five (5) years after becoming inactive. State Archives retains Permanently.</p>
04601	Register of Licensed Specialists	<p>This series documents the register for assigning license numbers to Specialty Dentists. Pursuant to KRS 313.410, every specialist dentist must be licensed by the Board. Some of these specialties include: oral surgery, orthodontia and periodontia among others. The Board first began issuing these licenses on June 19, 1952. Any dentist who was practicing specialties before this date did not have to pass specialty exams to become licensed, but did have to show that they had been practicing these specialties. Presently, a dentist has to pass exams for each specialty desired and pay the appropriate fees. Each exam and license costs \$60 and a specialty dentist must renew every other year, with no renewal fee. All subsequent renewals are filed in the Master Folder of Dentists.</p> <p>Access Restrictions None</p> <p>Contents Series may contain: Name, School and graduation date, General practice number, specialty, Date of issuance of license.</p> <p>Retention and Disposition Retain Permanently.</p>

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Series	Records Title and Description	Function and Use
04602	Applications for Licenses (Not Accepted)	This series documents applications for dental licenses not granted/accepted. Typically, licenses are not granted due to qualifications not being met and/or applicant has had disciplinary issues while licensed in other states, which are documented on the National Practitioners Data Bank Report. The Board makes the decision whether to accept or deny. These results are recorded in the Board Minutes (M0008)
	Access Restrictions	KRS 61.878 (1)(a) Personal Information
	Contents	Series may contain: Original application, Board scores, Verification of licensure from other states, Letters of reference, Proof of HIV/Aids courses, Transcripts, National practitioners data bank report, Resumes, and Regional test scores
	Retention and Disposition	Retain for two (2) years.

Electronic System With Included Records Series

General Government Cabinet

Board of Dentistry

System Description: This database documents, tracks and houses all dental professional information pertinent to the issuance, maintenance and cancellation of licenses. Licenses are issued to dentists, specialists, and hygienists. Specialists are licensed in the areas of Endodontics, Oral and Maxillofacial Surgery, Orthodontics, Pedodontics, Periodontics, Prosthodontics.

System Contents: The database includes initial licensure data, renewals, and disciplinary actions to be entered by licensees via online applications and maintained and managed by office staff.

General Schedule Items:

System Title:	Dentistry Microsoft Access Database	Alternate Title:	
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Series #:	Series Title:	Disposition Instructions:	Total Retention:
00904	Master Folder - Dentists	Transfer to the State Archives Center five [5] years after becoming inactive. State Archives retains Permanently.	P
00905	Register of Licensed Dentists	Retain Permanently.	P
00906	Register of Licensed Dental Hygienists	Retain Permanently.	P
00914	Dental Laboratory Technician Registration File	Destroy five [5] years after last renewal.	I
00915	Dental Laboratory Registration File	Destroy five [5] years after last renewal.	I
04600	Master Folder - Hygienists	Transfer to the State Archives Center five [5] years after becoming inactive. State Archives retains Permanently.	P
04601	Register of Licensed Specialists	Retain Permanently.	P
04602	Applications for Licenses (Not Accepted)	Retain for two [2] years.	2
