

Please clearly summarize the incident resulting in hospitalization or mortality. Enclose copies of all records in your possession related to this patient. See the attached records checklist for further detail. ****Please note if we are unable to read your report, processing will be delayed.**** A separate narrative and/or additional pages may be attached if preferred.

You may attach additional sheets if needed.

I certify the above information is true and correct.

**Send to:
State Board of Dental Examiners
333 Guadalupe, Tower 3, Suite 800
Austin, TX 78701-3942
Selfreports@tsbde.texas.gov**

Signature: _____

For information on filing a self-reporting email: selfreports@tsbde.texas.gov

Date: _____

Checklist of **REQUIRED** Documents

INSTRUCTIONS (Please follow carefully. Not following instructions may delay the case and possibly add violations):

- All patient records related to evaluation or treatment of the identified patient must be submitted to the Board, including but not limited to, the items listed below.
- Note which records you are submitting and which records you are not submitting. Return the records and this form to the State Board of Dental Examiners with the records.
- All photocopied documents must be legible, complete, and printed on one side of the paper only.
- Any document using color-coded text or labels must be submitted in color.
- A typed transcript must accompany any illegible handwritten notes.
- English translation of non-English forms must be provided.

FOR ANY ITEM YOU MARK "NO" BELOW INCLUDE AN EXPLANATION ON PAGE 2 AS TO WHY ITEM WAS NOT INCLUDED IN SUBMISSION

- | INCLUDED? | ITEM |
|---|--|
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 1. BUSINESS RECORDS AFFIDAVIT – Form is attached. Must be completed by the dentist/custodian of records AND notarized. Number of pages must be entered. Required by Board rule §107.105(c). |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 2. PATIENT INFORMATION SHEET |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 3. MEDICAL HISTORY SHEET |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 4. TREATMENT PLAN - Include all alternate treatment plans presented. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 5. SIGNED CONSENT FORMS – For all treatment rendered. Include both general and treatment specific consent forms. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 6. HIPAA Acknowledgement Form |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 7. PROGRESS/TREATMENT NOTES – Must be legible and include identification of provider. If illegible, provide typed transcription of records and copies of original records. If records are altered or modified, provide unaltered version as well. Include electronic or handwritten notes detailing diagnosis and treatment rendered, medicines administered or prescribed, labels, sticky notes, or other notations. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 8. RADIOGRAPHS – Must be INDIVIDUAL and DIAGNOSTIC QUALITY duplicates. No printed images or DEX files. Digital radiographs (.jpg or .tiff) must be emailed to records@tsbde.texas.gov mailed on a flash drive or emailed. X-rays must indicate the date taken. **files may need to be renamed as the date taken** Film x-rays must be mounted |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 9. DIAGNOSTIC IMAGES, IMAGING, AND/OR PHOTOGRAPHS – Identify patient name and date for each image. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 10. CBCT Scans or any additional Scans completed will need to be provided with the viewer . |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 11. PATIENT ACCOUNT HISTORY – LEDGER/JOURNAL NOTES/BILLING/INSURANCE INFORMATION |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 12. EOBs (Explanation of Benefits) |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 13. RESTORATION CHARTING |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 14. PERIODONTAL CHARTING |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 15. MODELS, CASTS, AND/OR DRAWINGS – INITIAL AND FINAL – Required for all orthodontia cases. Diagnostic quality images of models may be submitted as long as they include a maxillary and mandibular occlusal view, left and right lateral views and an anterior view. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 16. LAB PRESCRIPTIONS – If illegible, provide typed transcription. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 17. DRUG PRESCRIPTIONS - If illegible, provide typed transcription. |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 18. REFERRAL FORMS/LETTERS |
| <input type="checkbox"/> YES <input type="checkbox"/> NO* | 19. CORRESPONDENCE – Includes notes of telephone calls, e-mails, text messages, letters to patient, insurance companies, and other providers. |

Texas Administrative Code

TITLE 22	EXAMINING BOARDS
PART 5	STATE BOARD OF DENTAL EXAMINERS
CHAPTER 107	DENTAL BOARD PROCEDURES
SUBCHAPTER B	COMPLAINTS AND INVESTIGATIONS
RULE §107.105	Collection of information and Records

(a) Dental Records. Upon request by board staff, a dental custodian of records shall provide copies of dental records or original records. Board staff may require a dental custodian of records to submit records immediately if required by the urgency of the situation or the possibility that the records may be lost, damaged, or destroyed.

(b) Response to Board Requests. In addition to the requirements of responding or reporting to the board under this section, a licensee/registrant shall respond in writing to all written board requests for information within ten days of receipt of such request.

(c) Business Records Affidavits. Dental records must be provided under a business records affidavit or as otherwise required by board staff.

(d) Failure to Comply.

(1) Administrative Penalty. Failure to comply with board staff's request for records or information may be grounds for the issuance of an administrative penalty citation pursuant to § 254.0115 of the Act.

(2) Disciplinary Action. Failure to comply with board staff's request for records or information may be unprofessional and dishonorable conduct that is subject to disciplinary action by the board pursuant to §263.002 of the Act.

(3) Civil Penalty. Failure to comply with board staff's request for records and other evidence or failure to comply with other law regulating dental patient records may be subject to a civil penalty pursuant to §258.0511 and §264.101 of the Act.

(4) Criminal Penalty. Failure to comply with board staff's request for records and other evidence or failure to comply with other law regulating dental patient records, in violation of §258.0511, is a criminal offense pursuant to §264.152 of the Act.

Source Note: The provisions of this §107.105 adopted to be effective September 6, 2016, 41 TexReg6694

AFFIDAVIT FOR DENTAL RECORDS/BUSINESS RECORDS

Relating to dental records/business records of _____ (patient name/dental provider).

Before me, the undersigned authority, personally appeared _____ (records custodian), who, being by me duly sworn, deposed as follows:

My name is _____ (records custodian). I am of sound mind, capable of making this Affidavit, and personally acquainted with the facts herein stated:

I am Custodian of Records of _____ (business name). Attached hereto are _____ page(s) of dental/business records from _____ (business name). These records are kept by said Custodian of Records in the regular course of business, and it was in the regular course of business of _____ (business name) for an employee or representative of said business with the knowledge of the act, event, condition, opinion or diagnosis, recorded to make the record or to transmit information thereof to be included in such record. The record was made at or near the time or reasonably soon thereafter. The records attached hereto are the original or exact duplicates of the original(s).

Affiant

_____/_____
Affiant's telephone and fax contact numbers

Affiant's e-mail address

SWORN TO AND SUBSCRIBED before me on the _____ day of _____, 20_____.

Notary Public, State of Texas

My Commission expires: _____

AFFIDAVIT FOR PHOTOGRAPHIC/VIDEOGRAPHY RECORDING RECORDS

Relating to photographic/videographic of _____ (patient name/dental provider).

Before me, the undersigned authority, personally appeared _____ (records custodian), who, being by me duly sworn, deposed as follows:

My name is _____ (records custodian). I am of sound mind, capable of making this Affidavit, and personally acquainted with the facts herein stated:

I am Custodian of Records of _____ (business name). Attached hereto are _____ images(s) of photographic/videography from _____ (business name). These records are kept by said Custodian of Records in the regular course of business, and it was in the regular course of business of _____ (business name) for an employee or representative of said business with the knowledge of the act, event, condition, opinion or diagnosis, recorded to make the record or to transmit information thereof to be included in such record. The record was made at or near the time or reasonably soon thereafter. The records attached hereto are the original or exact duplicates of the original(s).

Affiant

_____/_____
Affiant's telephone and fax contact numbers

Affiant's e-mail address

SWORN TO AND SUBSCRIBED before me on the _____ day of _____, 20_____.

Notary Public, State of Texas

My Commission expires: _____

AFFIDAVIT FOR RADIOGRAPHIC STUDIES

Relating to radiograph studies of _____ (patient name/dental provider).

Before me, the undersigned authority, personally appeared _____ (records custodian), who, being by me duly sworn, deposed as follows:

My name is _____ (records custodian). I am of sound mind, capable of making this Affidavit, and personally acquainted with the facts herein stated:

I am Custodian of Records of _____ (business name). Attached hereto are _____ image(s) of radiographic studies from _____ (business name). These records are kept by said Custodian of Records in the regular course of business, and it was in the regular course of business of _____ (business name) for an employee or representative of said business with the knowledge of the act, event, condition, opinion or diagnosis, recorded to make the record or to transmit information thereof to be included in such record. The record was made at or near the time or reasonably soon thereafter. The records attached hereto are the original or exact duplicates of the original(s).

Affiant

_____/_____
Affiant's telephone and fax contact numbers

Affiant's e-mail address

SWORN TO AND SUBSCRIBED before me on the _____ day of _____, 20_____.

Notary Public, State of Texas

My Commission expires: _____