Guidelines for Requesting an Increase in Authorized Enrollment in a Periodontics Advanced Education Program

POLICY ON ENROLLMENT INCREASES IN ADVANCED DENTAL SPECIALTY PROGRAMS

A program considering or planning an enrollment increase, or any other substantive change, should notify the Commission early in the program’s planning. Such notification will provide an opportunity for the program to seek consultation from Commission staff regarding the potential effect of the proposed change on the accreditation status and the procedures to be followed.

A request for an increase in enrollment with all supporting documentation must be submitted in writing to the Commission by June 1 or December 1. A program must receive Commission approval for an increase in enrollment prior to publishing or announcing the additional positions or accepting additional students/residents. Failure to comply with this policy will jeopardize the program’s accreditation status, up to and including withdrawal of accreditation.

The Commission may consider temporary or retroactive enrollment increases due to special circumstances on a case-by-case basis, including, but not limited to:

- Student/Resident extending program length due to illness, incomplete projects/clinical assignments, or concurrent enrollment in another program;
- Unexpected loss of an enrollee and need to maintain balance of manpower needs;
- Urgent manpower needs demanded by U.S. armed forces; and
- Natural disasters.

If a program has enrolled beyond the approved number of students/residents without prior approval by the Commission, the Commission may or may not retroactively approve the enrollment increase without a special focused site visit at the program’s expense.

If the focused visit determines that the program does not have the resources to support the additional student(s)/resident(s), the program will be placed on “intent to withdraw” status and no additional student(s)/resident(s) beyond the previously approved number may be admitted to the program until the deficiencies have been rectified and approved by the Commission. Student(s)/Resident(s) who have already been formally accepted or enrolled in the program will be allowed to continue.

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TIMING OF REQUESTS: Requests for and approval of an increase in authorized enrollment in an advanced specialty education program in periodontics must take place prior to the implementation of the increase. Programs should be cognizant of the impending need for enrollment increases (e.g., a training position for one of the uniformed services, grant applications for program expansion) and proactively request permission for the increase. The Commission will not consider inter-cycle requests. Reports must be submitted to the Commission by June 1 for review at its Summer meeting or December 1 for review at its Winter meeting.
Requests should be sent to the Commission on Dental Accreditation (211 E. Chicago Avenue, 19th Floor, Chicago, IL 60611-2678) for review by the Review Committee on Periodontics Education and subsequent review and approval by the Commission.

Programs/institutions must meet established deadlines to allow scheduling of regular or special site visits and for submission of requested information. Program information (i.e., self-studies, progress reports, annual surveys or other kinds of accreditation-related information requested by the Commission) is considered an integral part of the accreditation process. If an institution fails to comply with the Commission's request, or a prescribed deadline, it will be assumed that the institution no longer wishes to participate in the accreditation program. In this event, the Commission will immediately notify the chief executive officer of the institution of its intent to withdraw the accreditation of the program(s) at its next scheduled meeting.

**FORMAT:** The report must be clear and concise and must follow the “Required Documentation” and “Mechanics” sections illustrated within this guideline. Reports that fail to adhere to the stated guidelines may be returned to the program.

Institutions/Programs are expected to follow Commission policy and procedure on privacy and data security, including those related to compliance with the Health Insurance Portability and Accountability Act (HIPAA). The Commission’s statement on HIPAA, as well as the Privacy and Data Security Summary for Institutions/Programs (PDF), are found in the Policies/Guidelines section of the Commission’s website at [http://www.ada.org/en/coda/policies-and-guidelines/hipaa/](http://www.ada.org/en/coda/policies-and-guidelines/hipaa/). Programs that fail to comply with CODA’s policy will be assessed a penalty fee of $1000.

*If the program/institution submits documentation that does not comply with the directives on Privacy and Data Security (noted above), CODA will assess a penalty fee of $1000 to the institution; a resubmission that continues to contain PHI or PII will be assessed an additional $1000 fee.*

**REQUIRED DOCUMENTATION (10 areas):** Program directors must ensure that the proposed enrollment increase does not jeopardize the program’s ability to meet the Accreditation Standards.

The following documentation must be submitted with the request for enrollment increase:

1. The current enrollment in all years of the program
2. The proposed increase in enrollment, with an indication of whether this increase is of a one time only nature (and the number of years during which it will apply) or a permanent increase
3. The reason for the increase
4. The ratio of teaching staff to students/residents after the proposed increase
5. A copy of a proposed student/resident activity schedule (typical week or month) after the proposed increase is in effect
6. A copy of a proposed faculty clinic coverage schedule after the proposed increase is in effect
7. The number of and types of allied support staff available to students/residents after the proposed enrollment increase
8. The ratio and variety of periodontics procedures per periodontics student/resident
9. The sources and volume of patient availability
10. Clinical faculty/resources: operatories, student/resident work/study area, computer access, and so on.

Omission of any of these ten (10) documentation areas may postpone Commission action on the request for increase in enrollment.

**MECHANICS:** The following must be observed in preparing the request:

1. **COVER PAGE – Must** include the following information:
   a. name and address of the institution;
   b. program title;
   c. name, title, telephone number, e-mail address and signature of the program director;
   d. name, title, telephone number, e-mail address and signature of the department head/dean (this is the Chief Administrative Officer of the sponsoring institution)
   e. name, title, telephone number, e-mail address and signature of the chief executive officer (CEO) of the institution (typically the hospital CEO or university president)

   **NOTE:** The CEO of the institution sponsoring the program must be copied on the letter transmitting the request to the Commission.

2. If documentation is extensive, a list of what is provided should be included. The actual items can be provided in an appendix, coordinated with the list by tabs.

3. One (1) three-hole punched paper copy and one (1) electronic copy (on an IBM-compatible CD or travel USB drive) should be provided; copies should not be bound into book form.

**Electronic Submission:** In addition to a paper copy being requested, please be advised that effective January 1, 2008 the Commission requires that all accreditation correspondence/documents/reports and related materials submitted to the Commission for a program's permanent file be done so electronically. The attached Electronic Submission Guidelines will assist you in preparing your report. If the program is unable to provide a comprehensive electronic document, the Commission will accept a paper copy and assess a fee to the program for converting the document to an electronic version.

The program is responsible for assuring that the electronic copy submitted is an exact replica of the paper copy. Failure to comply with these guidelines will constitute an incomplete report.

**ANNOUNCEMENT OF REVIEW RESULTS:** The Commission’s actions to approve or deny the request for enrollment increases in advanced specialty education programs in periodontics, like other accreditation actions, will be transmitted to the institutions/programs within 30 days following the Winter (January/February) or Summer (July/August) meeting.

**DENIAL OF REQUESTS:** Requests may be denied if the program cannot ensure continued compliance with the Accreditation Standards as demonstrated by documentation of the major
program resource areas identified in the Policy on Enrollment Increases in Dental Specialty Programs.

**OTHER CHANGES IN ENROLLMENT:** Decreases in enrollment on a one-time-only basis or on a permanent basis must be reported to the Commission, but do not require prior authorization. In the case of one-time-only decreases, programs are advised to maintain clinical experiences for the enrollment number for which they are authorized.

**ASSISTANCE:** Commission staff is available to answer questions about request preparation. They may be contacted toll-free at (800) 621-8099, extension 2714.

Requests should be sent to: Commission on Dental Accreditation, 211 E. Chicago Avenue, 19th floor, Chicago, IL 60611-2678.

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Commission on Dental Accreditation  
Privacy and Data Security Reminders

*Protect sensitive personally identifiable information ("PII") such as social security numbers, drivers' license numbers, credit card numbers, account numbers, etc.*

Security Reminder: Personally Identifiable Information

Before submitting any documents to CODA or to a CODA site visitor consultant, an institution must:

- Review for PII and patient identifiers.
- Fully and appropriately redact any PII and patient identifiers.
- Make sure the redacted information is unreadable in hard copy and electronic form. You must use appropriate redaction methods to ensure personal information cannot be read or reconstructed.

CODA **does not accept** PII or patient identifiers in any materials submitted by a program.

Security Reminder: Patient Identifiers

Before submitting any information about a patient to CODA or to a CODA site visitor, you must **thoroughly redact all 18 patient identifiers listed on the next page.**

Examples of information about a patient:

- Dental records
- Rosters of procedures (procedure logs)
- Chart review records (chart audit records)
- Information from affiliated teaching institutions, to include items listed above
- Brochures with patient images and/or information
- Presentations with patient images and/or information
- Course materials (exams, lecture materials) with patient images and/or information

If **even one** identifier is readable, do not submit the information to CODA.

CODA **does not accept** documents containing PII or patient identifiers from institutions. Any PHI/PII that is necessary for CODA accreditation may only be reviewed by CODA site visitors when they are on-site at the institution.

When redacting identifiers, you must ensure that the information is unreadable and cannot be reconstructed in both hard copy and electronic form. For example, certain information redacted on a hard copy can become readable when the hard copy is scanned. Instead, it may be effective to use opaque cover-up tape on the hard copy, scan, and then ensure the redacted information on the scanned version is not visible/readable through the redaction.
1. **Sensitive Information.** To protect the privacy of individuals and to comply with applicable law, the Commission on Dental Accreditation ("CODA" or "the Commission") prohibits all programs/institutions from disclosing in electronic or hard copy documents provided to CODA other than on-site during a site visit, any of the following information ("Sensitive Information" or "PII"):

- Social Security number
- Credit or debit card number or other information (e.g., expiration date, security code)
- Drivers’ license number
- Account number with a pin or security code that permits access
- Health insurance information, such as policy number or subscriber I.D.
- Medical information, such as information about an individual’s condition or treatment
- Mother’s maiden name
- Taxpayer ID number
- Date of birth
- Any data protected by applicable law (e.g., HIPAA, state data security law)
- Biometric data, such as fingerprint or retina image
- Username or email address, in combination with a password or security question that permits access to an online account

2. **Patient Identifiers.** Before submitting information about a patient to CODA other than on-site during a site visit, a program/institution must remove the following data elements of the individual, and of relatives, household members, and employers of the individual (the “Patient Identifiers”):

1. Names, including initials
2. Address (including city, zip code, county, precinct)
3. Dates, including treatment date, admission date, age, date of birth, or date of death [a range of dates (e.g., May 1 – 31, 2015) is permitted provided such range cannot be used to identify the individual who is the subject of the information]
4. Telephone numbers
5. Fax numbers
6. E-mail addresses
7. Social Security numbers
8. Medical record numbers
9. Health plan beneficiary numbers
10. Account numbers
11. Certificate/license numbers
12. Vehicle identifiers and serial numbers, including license plate numbers
13. Device identifiers and serial numbers
14. Web Universal Resource Locators (URLs)
15. Internet Protocol (IP) address numbers
16. Biometric identifiers (e.g., finger and voice prints)
17. Full face photographic images and comparable images
18. Any other unique identifying number, characteristic, or code:
   • that is derived from information about the individual
   • that is capable of being translated so as to identify the individual, or
   • if the mechanism for re-identification (e.g., the key) is also disclosed

In addition, the information provided to CODA cannot be capable of being used alone or in
combination with other information to identify the individual.

3. **Redaction.** When removing any Sensitive Information or Patient Identifier from paper or
electronic documents disclosed to CODA, programs/institutions shall **fully and
appropriately** remove the data such that the data cannot be read or otherwise reconstructed.
Covering data with ink is not an appropriate means of removing data from a hard copy
document and may sometimes be viewable when such documents are scanned to an
electronic format.

4. **Penalty fee.** If the program/institution submits any documentation that does not
comply with the directives noted above, CODA will assess a penalty fee of $1000 to the
program/institution; a resubmission that continues to contain prohibited data will be
assessed an additional $1000 fee.
   • CODA Site Visitors and Commission volunteers are only authorized to access Sensitive
     Information and Patient Identifiers:
     o Onsite during a site visit, and
     o That are necessary for conducting the accreditation site visit
   • CODA Site Visitors and Commission volunteers may not download or make hard copies
     or electronic copies of Sensitive Information or Patient Identifiers.

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