

# **Commission on Dental Accreditation**

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## **Documentation Guidelines for Selected Recommendations**

## DOCUMENTATION GUIDELINES FOR SELECTED RECOMMENDATIONS

This document has been prepared to assist programs and their sponsoring institutions in preparing the documentation needed when responding to recommendations after a Commission on Dental Accreditation site visit. “Recommendation Topics” present a number of topics common to all dental and dental-related disciplines, which are frequently cited as recommendations in site visit reports. Following each topic is a description of the “Documentation” which a program may submit in order to demonstrate compliance with the standards upon which the recommendations are based. Submission of items other than those recommended in this document may or may not be acceptable. Programs are strongly urged to follow the documentation listed in the Guidelines. Documentation must show how the intent of the recommendations has been met.

This document is to complement any guidance that the Commission’s specific accreditation standards and related documents may provide in the form of intent statements and examples of evidence or required documentation. Additionally, letters of transmittal, which are referenced from time to time throughout this document, provide the specific documentation requested to demonstrate compliance with the standards on which recommendations are based, as a result of Commission review.

This document is to be used by institutions/programs responding to preliminary draft site visit reports before Commission review or to formal reports of progress after Commission review. Commission site visitors may also find this document useful in their evaluation of, and discussion with, institutions/programs.

*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/>. Programs that fail to comply with CODA’s policy will be assessed an administrative fee of \$4000.*

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AND APPLICABLE STANDARD(S)**

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## **AFFILIATIONS**

### **Recommendation Topic**

Need for documentary evidence of arrangements between the sponsoring and relevant affiliated institutions, formalized by means of written agreements, which clearly define the roles and responsibilities of each institution involved

### **Documentation**

- Copy of current signed affiliation agreement(s), with addenda if applicable
- Several documents, both at the institution level and at the program level. At the institution level, a formal, legally binding inter-institutional agreement, that could cover in general the items of agreement as identified in the accreditation standard, attesting to the accountability of the institution for the arrangements, with signatures from the chief executive officers of each organization. At the program level, there could be several documents, standing free from the inter-institutional agreement, like Memoranda of Understanding (MOU), which would provide the specific documentary evidence of the items of agreement and be executed between appropriate personnel representing both parties of the agreement, including the dental school dean or chief of dental service. The MOU would reflect the current program for example, with names of program personnel and student assignment periods. In this fashion, the most current information regarding arrangements between the sponsoring and the affiliated organizations would be ensured in the MOU and the information in the inter-institutional agreement would not need to be revised unless arrangements are completely changed to warrant such a revision.

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## **EDUCATIONAL PROGRAM/CURRICULUM**

### **Recommendation Topic**

1. Increase in course content (contact hours/clock hours)
2. Increase scope/depth to specific area

### **Documentation**

- Specific increase in course content/scope and depth (refer to information specifically identified in the site visit report or transmittal letter)
- Documentation of approval of change, including authorization from curriculum committee, administration and/or either program director or chief administrative officer
- Syllabus documenting changes with modifications highlighted

## **EDUCATIONAL PROGRAM/CURRICULUM CONT.**

### **Recommendation Topic**

1. Need to demonstrate completeness/availability of course outlines and/or syllabi

#### **Documentation**

- Revised course outlines or syllabi (refer to information specifically identified in the site visit report or transmittal letter)
  - Date distributed to students/residents

### **Recommendation Topic**

1. Curriculum management plan is inadequate or incomplete.

#### **Documentation**

- Description of ongoing curriculum review and evaluation process (refer to information specifically identified in the site visit report or transmittal letter)
- Minutes of curriculum committee meetings (if applicable)
- Samples of course evaluation documents (do not send completed forms)

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## **FACILITIES/EQUIPMENT**

### **Recommendation Topic**

1. Program lacks adequate and/or appropriately maintained facilities

#### **Documentation**

- Description of specific facility changes
- Plans for improvements/changes (provide a schematic where appropriate)
- Implementation dates and anticipated completion date
- Administrative approval including financial commitment
- Purchase requisitions

## **FACILITIES/EQUIPMENT CONT.**

### **Recommendation Topic**

1. Lack of long- and short-range plans to replace equipment

### **Documentation**

- Long-range plans
  - Short-range plans
  - Administrative approval, including financial commitment
- 

## **INSTITUTIONAL COMMITMENT/PROGRAM EFFECTIVENESS**

### **Recommendation Topic**

1. Lack of institutional mission statement
2. Lack of program goals and objectives

### **Documentation**

- Written institutional mission statement/ measurable program goals and objectives
- Copies of catalog pages or website pages which show placement of the institution's mission statement, program goals, and objectives

## **INSTITUTIONAL COMMITMENT/PROGRAM EFFECTIVENESS CONT.**

### **Recommendation Topic**

1. Need for program to document its effectiveness using a formal and ongoing outcomes assessment process to include measures of student/resident achievement

#### **Documentation**

- Copy of formal plan, including measurable program goals and objectives
- Sample outcomes with specific measurements and plan(s) to address deficiency
- Schedule for data collection including identifying the party responsible for data collection
- Evidence of short-range data collected, in accord with data collection schedule
- Documentation of changes effected as a result of implementing outcomes assessment process, where applicable (for example: committee meeting minutes where program matters are considered, copies of policies and program changes)

### **Recommendation Topic**

1. Insufficient financial resources/support for the program

#### **Documentation**

- Copy of the budget changes needed to accomplish program goals/objectives and date of implementation
- Revised appropriations (refer to information specifically identified in the site visit report or transmittal letter).

## INSTITUTIONAL COMMITMENT/PROGRAM EFFECTIVENESS CONT.

### Recommendation Topic

1. Inappropriate course sequencing of instruction within the curriculum or for a specified course

#### Documentation

- Description of re-sequencing within the curriculum or specific course (refer to information specifically identified in the site visit report or transmittal letter)
- Date of implementation
- Documentation of approval of change (including authorization from curriculum committee, administration, and/or either program director or chief administrative officer, as applicable)
- Samples of revised course schedule or course outline/syllabi

### Recommendation Topic

1. Inadequate patient care experiences in specified areas

#### Documentation

- Log of patient care experiences since the site visit as noted by the student/resident and program to document sufficient variety and scope of experiences (refer to information specifically identified in the site visit report or transmittal letter). **All patient identification must be removed. See “Security Reminder: Patient Records.”**
  - Include specific details of the variety and types and quantity of cases treated
  - Numbers of patient experiences per class (before and after recommendation was cited)
  - Methods used to address the issue including a plan for improvement with anticipated completion date
-



## PATIENT CARE SERVICES

### Recommendation Topic

1. Need for a formal system of quality assurance

#### Documentation

- Protocol for audit of patient records, sample form and summary of results, if available (do not send completed forms)
- Protocol for review of patient case completion, sample form and summary of results, if available (do not send completed forms)
- Quality assurance policy and procedures
- Additional outcomes assessment information including corrective actions taken, if any
- Copy of Standards of Care used by program
- Refer to information specifically identified in the site visit report or transmittal letter

### Recommendation Topic

1. Need for patient records to be organized and legible

#### Documentation

- Documentation of record reviews. **All patient identification must be removed. See “Security Reminder: Patient Records.”**

### Recommendation Topic

1. Need for a structured system of continuous quality improvement

#### Documentation

- Quality improvement plan and reports
- Results of quality assurance plan and responses from the program

## PATIENT CARE SERVICES CONT.

### **Recommendation Topic**

1. Need for evidence that quantitative criteria for student/resident advancement and graduation do not compromise the delivery of comprehensive patient care

### **Documentation**

- Sample quantitative criteria for resident/student advancement
- Refer to information specifically identified in site visit report or transmittal letter

### **Recommendation Topic**

1. Need for a written statement of patients' rights that is distributed to all patients, appropriate students/residents, faculty, and staff

### **Documentation**

- Patients' Bill of Rights and implementation date
- Method of distribution

### **Recommendation Topic**

1. Need for patient access to professional services at all times for the management of dental emergencies

### **Documentation**

- Information provided to patients regarding emergency services and after-hours care
- After-hours dental emergency plan

## PATIENT CARE SERVICES CONT.

### Recommendation Topic

1. Need for all students/residents, faculty and support staff involved in the direct provision of patient care to be continuously recognized/certified in basic life support (B.L.S.)

#### Documentation

- Summary log of recognition (certification) records maintained by the program
- Exemption documentation for anyone who is medically or physically unable to perform such services

### Recommendation Topic

1. Need for the establishment and documentation of compliance with the institution's policy and applicable regulations of local, state and federal agencies, including, but not limited to, radiation hygiene and protection, ionizing radiation, hazardous materials, and bloodborne and infectious diseases.

#### Documentation

- Copy of new or revised cited policies
- Copy of new or revised cited procedures ensuring compliance

### Recommendation Topic

1. Need for patient confidentiality

#### Documentation

- Patient confidentiality policies
  - Monitoring mechanisms
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## **PROGRAM DIRECTOR/ADMINISTRATOR, FACULTY AND STAFF**

### **Recommendation Topic**

1. Need for revised program director/administrator appointment/commitment to program and/or institution

### **Documentation**

- Copy of institution/program's definition of full-time and part-time commitment
- Copy of program director/administrator's job description
- Copy of program director/administrator's schedule
- Letter from supervising administrator indicating approval and explaining institutional commitment to program director/administrator

### **Recommendation Topic**

1. Need for program director/administrator to assume specified administrative duties

### **Documentation**

- Copy of new or revised job description, with changed job responsibilities highlighted
- Copy of program director/administrator's schedule
- Letter from supervising administrator indicating approval and explaining institutional commitment to program director/administrator

### **Recommendation Topic**

1. Need for additional faculty commitment to ensure achievement of program goals

### **Documentation**

- List of faculty with appointment dates and/or new assignments highlighted; attach curriculum vitae
- Schedule of faculty commitments in the areas of teaching, research and service; i.e., general availability to the program
- Letter of offer and signed agreement of offer for new hires

**PROGRAM DIRECTOR/ADMINISTRATOR,  
FACULTY AND STAFF CONT.**

**Recommendation Topic**

1. Need for faculty to have additional qualifications (refer to information specifically identified in the site visit report or transmittal letter)

**Documentation**

- Documentation demonstrating degrees earned, with additional coursework highlighted, e.g., completed college courses, continuing education courses, in-service training
- Copies of credentials earned

**OR**

- Documentation demonstrating specific plans for faculty to achieve education including course titles, sponsoring institutions and anticipated schedule for completion

**Recommendation Topic**

1. Need for program director/administrator to hold specific credentials

**Documentation**

- Copies of credentials attained and current status of credential

**Recommendation Topic**

1. Need for opportunities for faculty professional development

**Documentation**

- Copy of program/institution's policy and plans relative to professional development
- Date of implementation
- Administrative approval
- Examples of professional development programs faculty have completed

**PROGRAM DIRECTOR/ADMINISTRATOR,  
FACULTY AND STAFF CONT.**

**Recommendation Topic**

1. Need for opportunities for faculty involvement in program development, institutional governance and/or promotion and tenure process equal to that of other institutional faculty

**Documentation**

- Copies of institution policies and procedures
- Examples of faculty participation
- Faculty meeting minutes

**Recommendation Topic**

1. Lack of formal faculty evaluation system

**Documentation**

- Copies of program/institution's policy and procedures on faculty evaluation, including mechanisms to implement and monitor the policy (do not send completed forms)

**Recommendation Topic**

1. Need for additional support staff commitment, e.g., clerical/secretarial/allied/technical
2. Need to demonstrate that students/residents performing support/clerical/technical duties is not to compensate for lack of support staff

**Documentation**

- If new hire: a) copy of position description and/or advertisement demonstrating duties and time commitment to specific program and b) employment date
  - If reassignment of existing staff: a) copy of revised duties; b) time commitment/schedule and c) effective date of reassignment
  - Letter of offer and signed agreement of offer for new hires
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## **RESEARCH**

### **Recommendation Topic**

1. Inadequate research and/or scholarly activities

#### **Documentation**

- Listing of all current faculty and student/resident research and scholarly activities since the site visit (e.g., listing of all active funded, submitted for funding and/or non-funded research projects; publications and/or submitted for publication; and presentations or lectures not normally associated with graduate or undergraduate courses)
  - Percentage of time allocated to research/scholarly activity
-

## **STUDENT/RESIDENT EVALUATIONS**

### **Recommendation Topic**

1. Lack of student/resident evaluation criteria/procedures/instruments

#### **Documentation**

- Criteria and procedures used to evaluate students/residents (refer to information specifically identified in the site visit report or transmittal letter)
- Samples of evaluation forms, including the date of implementation. (do not send completed forms)

### **Recommendation Topic**

1. Inadequate/incomplete evaluation of student/resident competency

#### **Documentation**

- Detailed description of specific competency evaluation method used, including process
- Samples of criteria/forms/etc. used to evaluate competency (do not send completed forms)
- Demonstration of outcomes of competency assessment