

# Table of Contents

	<u>Page</u>
I. General Information.....	1-1
Ethical Basis of the Peer Review System .....	1-2
<i>CDA Code of Ethics</i> .....	1-2
Section 1. Service to the Public .....	1-2
Section 3. Cooperation With Duly Constituted Committees .....	1-3
Lines of Responsibility .....	1-4
Board of Trustees.....	1-5
Council on Peer Review.....	1-7
CDA Central Office .....	1-7
Component Dental Societies and Specialty Organizations.....	1-8
Structure of the Component and Specialty Peer Review Committee .....	1-8
Appointing the Component and Specialty Peer Review Committee.....	1-9
Legal Protection of and Constraints Upon Peer Review Committees and	
Peer Review Records .....	1-11
Parameters of Peer Review .....	1-13
Who Can Initiate Cases.....	1-13
Types of Cases Accepted for Review .....	1-14
Quality.....	1-14
Appropriateness .....	1-14
Utilization .....	1-15
Irregular Billing .....	1-15
False or Fraudulent Insurance/Health Care Benefits Claims.....	1-16
Confidentiality .....	1-18
Definitions.....	1-18
Applicant.....	1-19
Billing Irregularities.....	1-19
Carrier .....	1-19
Dentist Practicing in a Mobil Clinic .....	1-19
Grossly Inadequate Treatment .....	1-19
Grossly Inappropriate Treatment .....	1-19
Indefinite Practice Address.....	1-20
Itinerant Dentists.....	1-20
Independent Contractor.....	1-20
Over-Utilization Review.....	1-20
Peer .....	1-20
Peer Review Committee .....	1-21
Quality Evaluation Manual.....	1-21
Records .....	1-21
Treatment .....	1-21
Utilization .....	1-21
II. Responsibilities of the Peer Review Staff.....	2-1
Receipt of Inquiry From Initiating Party .....	2-1
Patient-Initiated Requests .....	2-1
Telephone Requests .....	2-2

## Table of Contents (Cont.)

	<u>Page</u>
Written Requests.....	2-2
Dentist-Initiated Requests.....	2-3
Telephone Request.....	2-3
Written Request.....	2-4
Receipt of Incomplete and/or Altered Forms.....	2-4
Receipt of Completed Forms from Dentist and Patient.....	2-4
Carrier-Initiated Over-Utilization Cases.....	2-4
Receipt of Completed Forms.....	2-4
Screening Procedures.....	2-5
Type of Complaint.....	2-5
Is the Dentist a CDA Member.....	2-6
Is the Dentist a General Dentist.....	2-7
Time Limitation.....	2-8
Litigation/Arbitration.....	2-10
Notification of Review to Involved Parties.....	2-12
Patient –Initiated Requests.....	2-12
Dentist – Initiated Requests.....	2-17
Preparation and Contents of Case File.....	2-18
Contents of Case File.....	2-19
Appropriate for Review.....	2-21
Completion of Peer Review Checklist.....	2-22
Assignment to Component/Specialty Peer Review Committee and Set-Up of Clinical Examination.....	2-22
Distribution of Resolution Letter.....	2-24
Distribution of Refund Check(s).....	2-25
Non-Routine.....	2-26
Amicable Resolution.....	2-27
Communication from Attorney.....	2-27
Communication Problem.....	2-28
Complaint Regarding Treatment Rendered by Dental Student in a University Setting.....	2-29
Conflict of Interest.....	2-29
Dentist Against Whom Inquiry is Filed is No Longer Practicing.....	2-30
Dentist Dies After Review is Initiated.....	2-30
Dentist Drops CDA Membership During Review.....	2-31
Dentist is Deceased at Time Request for Review is Received.....	2-32
Dentist-to-Dentist Initiated Requests.....	2-32
Dispute Between Patient or Dentist and Peer Review Committee.....	2-32
Financial Responsibility Statement.....	2-33
Incomplete Treatment.....	2-33
Inquiries Beyond the Expertise of Component Peer Review Committee.....	2-35
Litigation and Arbitration.....	2-35
Litigation or Arbitration is Initiated after Peer Review Has Been Initiated.....	2-35
Miscellaneous Non-routine Inquiries.....	2-37
Outside Agency Initiated Requests.....	2-37
Patient Dies After Review Is Initiated.....	2-37
Patient in Pain.....	2-38

## Table of Contents (Cont.)

	<u>Page</u>
Patient Residing in Different State .....	2-38
Provisional/Temporary Treatment .....	2-38
Request to be Transferred to Neighboring Component .....	2-39
Request for Review of Completed but Altered Treatment .....	2-40
Request for Review when a Prosthesis or Crown has been Fabricated but not Delivered.....	2-41
Review of Dentist's Fees .....	2-41
Time Limitation Criteria .....	2-42
Unclear Inquiry .....	2-42
III. Responsibilities of the Component/Specialty Peer Review Committee.....	3-1
Clinical Examination .....	3-2
Conducting the Clinical Examination.....	3-3
Dentist Interview.....	3-6
Peer Review Committee Meeting .....	3-8
Use of the Clinical Examination Worksheet.....	3-10
Purpose of the Resolution Addendum .....	3-10
Preparation of Resolution Letter .....	3-12
Requirements of a Resolution Letter .....	3-13
Counseling the Dentist.....	3-17
IV. Appeals .....	4-1
General Overview .....	4-1
Non-Appealable Issues .....	4-2
Appeal Review Procedures .....	4-2
Corrective Treatment Plan and Cost Estimate Approval Letter .....	4-5
Corrective Treatment Plan and Cost Estimate Appeal Review Procedures .....	4-6
V. Over Utilization Review Procedures .....	5-1
Receipt of Request for Over-Utilization Review from Carrier.....	5-1
CDA .....	5-2
Appeals .....	5-4
VI. Referrals to the Judicial Council.....	6-1
Dentist Non-Compliance with the Final Decision .....	6-1
Patterns of Practice .....	6-2
Grossly Inadequate Treatment .....	6-2
Grossly Inappropriate Treatment .....	6-3
Alleged Fraud or Billing Irregularities .....	6-4
Dentist Drops Membership During Review .....	6-5
VII. Forms/Form Letters .....	7-1