

STATE OF CONNECTICUT  
DEPARTMENT OF SOCIAL SERVICES  
OFFICE OF LEGAL COUNSEL, REGULATIONS, AND ADMINISTRATIVE HEARINGS  
55 FARMINGTON AVENUE  
HARTFORD, CT 06105-3725

██████████ 2016  
Signature Confirmation

Client ID # ██████████  
Request # 748251

NOTICE OF DECISION

PARTY

██████████  
██████████  
██████████  
██████████

PROCEDURAL BACKGROUND

On ██████████, 2015, Connecticut Dental Health Partnership (“CTDHP”) sent ██████████ (the “Appellant”) a notice of action (“NOA”) denying a request for prior authorization of interceptive orthodontic treatment for ██████████, her minor child, indicating that the severity of ██████████ malocclusion did not meet the medical necessity requirement to approve the proposed treatment.

On ██████████ 2016, the Appellant requested an administrative hearing to contest the Department’s denial of prior authorization of interceptive orthodontic treatment.

On ██████████, 2016, the Office of Legal Counsel, Regulations, and Administrative Hearings (“OLCRAH”) issued a Notice scheduling the administrative hearing for ██████████ 2016.

On ██████████ 2016, the Appellant requested to reschedule the administrative hearing.

On ██████████ 2016, the OLCRAH issued a Notice scheduling the administrative hearing for ██████████, 2016.

On ██████████ 2016, in accordance with sections 17b-60, 17b-61 and 4-176e to 4-189, inclusive, of the Connecticut General Statutes, OLCRAH held an administrative hearing.

The following individuals were present at the hearing:

██████████, Appellant  
Kate Nadeau, Grievance and Appeals Specialist, CTDHP’s representative  
Dr. Vincent Fazzino, Dental Consultant, CTDHP’s representative  
Judy Shek, interpreter  
Roberta Gould, Hearing Officer

## **STATEMENT OF THE ISSUE**

The issue is whether CTDHP's denial of prior authorization through the Medicaid program for the Appellant's child's orthodontic services was in accordance with state law.

## **FINDINGS OF FACT**

1. The Appellant is the mother of the minor child, [REDACTED] [REDACTED] (Hearing Record)
2. [REDACTED] is 9 years old (D.O.B. [REDACTED]/2007) and is a participant in the Medicaid program, as administered by the Department of Social Services (the "Department"). (Hearing Record)
3. CTDHP is the Department's contractor for reviewing dental providers' requests for prior authorization of orthodontic treatment. (Hearing Record)
4. [REDACTED] Orthodontics is [REDACTED] treating orthodontist (the "treating orthodontist"). (Exhibit 1: Prior Authorization Dental Claim Form and Hearing summary)
5. On [REDACTED] 2015, the treating orthodontist requested prior authorization to complete interceptive orthodontic treatment for [REDACTED] (Exhibit 1 and Hearing summary)
6. The proposed treatment for [REDACTED] is interceptive orthodontic treatment to correct his anterior crossbite. (Exhibit 1 and Dr. Fazzino's testimony)
7. On [REDACTED] 2015, CTDHP received from the treating orthodontist a Preliminary Handicapping Malocclusion Assessment Record with a score of 20 points, Dental models and panoramic x-ray films of [REDACTED] mouth. The treating orthodontist commented that [REDACTED] has an anterior crossbite, and that phase one treatment is needed. (Exhibit 2: Preliminary Handicapping Malocclusion Assessment Record and Hearing summary)
8. On [REDACTED] 2015, Dr. Benson Monastersky, D.M.D., CTDHP's orthodontic dental consultant, independently reviewed [REDACTED] models and panoramic x-rays of his teeth, and arrived at a score of 19 points on a completed Preliminary Handicapping Malocclusion Assessment Record. Dr. Monastersky found no evidence of severe irregular placement of [REDACTED] teeth within the dental arches and no irregular growth or development of the jawbones. There was no evidence of emotional issues directly related to his mouth. Dr. Monastersky commented that [REDACTED] does not meet Phase One treatment guidelines. (Exhibit 3: Preliminary Handicapping Malocclusion Assessment Record and Hearing summary)

9. On [REDACTED] 2015, CTDHP sent a Notice of Action letter to the Appellant explaining that [REDACTED] did not qualify for orthodontic services because it was not medically necessary. (Exhibit 4: Notice of Action for Denied Services and Hearing summary)
10. On [REDACTED] 2016, the Department received the Appellant's request for an administrative hearing. (Exhibit 5: Appeal and Administrative Hearing request form)
11. On [REDACTED] 2016, Dr. Geoffrey Drawbridge, D.M.D., CTDHP's orthodontic dental consultant, conducted an appeal review of [REDACTED] models and panoramic x-rays and arrived at a score of 21 points on a completed Preliminary Handicapping Malocclusion Assessment Record. Dr. Drawbridge found no evidence of severe irregular placement of [REDACTED] teeth within the dental arches and no irregular growth or development of the jawbones. Dr. Drawbridge commented that [REDACTED] does not meet criteria for D8020. (Exhibit 6: Preliminary Handicapping Malocclusion Assessment Record and Hearing Summary)
12. On [REDACTED] 2016, CTDHP notified the Appellant that an appeal review has determined that interceptive orthodontic treatment is not medically necessary for [REDACTED] (Exhibit 7: Appeal Review Letter and Hearing summary)
13. In order for interceptive orthodontic treatment to be considered medically necessary, there would need to be evidence that the anterior crossbite is causing gum recession in the child's mouth. (Dr. Fazzino's testimony)
14. [REDACTED] has not received treatment by a qualified psychiatrist or psychologist for mental emotional or behavior problems, disturbances or dysfunctions related to her teeth or mouth. (Appellant's testimony)

### **CONCLUSIONS OF LAW**

1. Connecticut General Statutes §17b-262 provides that the Department may make such regulations as are necessary to administer the medical assistance program.
2. Connecticut Agencies Regulations §17-134d-35(a) provide that orthodontic services provided for individuals less than 21 years of age will be paid for when provided by a qualified dentist and deemed medically necessary as described in these regulations.
3. Connecticut General Statutes §17b-259b provides (a) For purposes of the administration of the medical assistance programs by the Department of Social Services, "medically necessary" and "medical necessity" mean those health services required to prevent, identify, diagnose, treat, rehabilitate or ameliorate an individual's medical condition, including mental illness, or its effects, in order to attain or maintain the individual's achievable health and independent

functioning provided such services are: (1) Consistent with generally-accepted standards of medical practice that are defined as standards that are based on (A) credible scientific evidence published in peer-reviewed medical literature that is generally recognized by the relevant medical community, (B) recommendations of a physician-specialty society, (C) the views of physicians practicing in relevant clinical areas, and (D) any other relevant factors; (2) clinically appropriate in terms of type, frequency, timing, site, extent and duration and considered effective for the individual's illness, injury or disease; (3) not primarily for the convenience of the individual, the individual's health care provider or other health care providers; (4) not more costly than an alternative service or sequence of services at least as likely to produce equivalent therapeutic or diagnostic results as to the diagnosis or treatment of the individual's illness, injury or disease; and (5) based on an assessment of the individual and his or her medical condition.

4. Public Act 15-5 (June Sp. Session, section 390) provides, in relevant part, as follows: "The Department of Social Services shall cover orthodontic services for a Medicaid recipient under twenty-one years of age when the Salzman Handicapping Malocclusion Index indicates a correctly scored assessment for the recipient of twenty-six points or greater, subject to prior authorization requirements. If a recipient's score on the Salzman Handicapping Malocclusion Index is less than twenty-six points, the Department of Social Services shall consider additional substantive information when determining the need for orthodontic services, including (1) documentation of the presence of other severe deviations affecting the oral facial structure; and (2) the presence of severe mental, emotional or behavioral problems or disturbances, as defined in the most current edition of the Diagnostic and Statistical Manual of Mental Disorders, published by the American Psychiatric Association, that affects the individual's daily functioning."
5. Connecticut Agencies Regulations §17-134d-35(f) provide that the study models submitted for prior authorization must clearly show the occlusal deviations and support the total point score of the preliminary assessment.
7. In ██████ case, study models submitted for prior authorization do not show severe deviations affecting the mouth and underlying structures; and do not meet the requirement of a 26 point score on the preliminary assessment.
8. In the Appellant's case, a licensed psychiatrist or licensed psychologist who has limited his or her practice to child psychiatry or child psychology has not recommended that ██████ receive orthodontic treatment to significantly ameliorate his mental, emotional, and or behavior problems, disturbances or dysfunctions.
9. CTDHP was correct to find that ██████ malocclusion did not meet the criteria for severity, or 26 points, as established in state regulations, and was correct to find

that there were no other severe deviations affecting the mouth which would make interceptive orthodontic treatment medically necessary.

10. CTDHP was correct to deny prior authorization because [REDACTED] does not meet the medical necessity criteria for interceptive orthodontic services, in accordance with state statute and regulations.

### **DISCUSSION**

State regulations provide that when a person is correctly scored with at least 26 points on a Preliminary Handicapping Malocclusion Assessment Record, a test measuring severity of malocclusion and dentofacial deformity, the Medicaid program will authorize and pay for orthodontic treatment. The treating orthodontist scored the malocclusion of [REDACTED] teeth to equal 20 points. Two dentists in blind reviews independently assessed his models and scored the malocclusion to equal 19 points and 21 points. It is reasonable to conclude that the models do not support the severity of malocclusions and dentofacial deformity. In [REDACTED] case, his treating orthodontist is proposing interceptive treatment to correct an anterior crossbite with phase one treatment. There is no evidence that interceptive orthodontic treatment is medically necessary to treat [REDACTED] condition.

The undersigned hearing officer finds that [REDACTED] malocclusion did not meet the criteria for severity, or 26 points, and is not considered medically necessary as established in state regulations to allow the Medicaid program to pay for orthodontic services.

### **DECISION**

The Appellant's appeal is **DENIED**.

*Roberta Gould*

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Roberta Gould  
Hearing Officer

cc: Diane D'Ambrosio, Connecticut Dental Health Partnership  
Rita LaRosa, Connecticut Dental Health Partnership

## **RIGHT TO REQUEST RECONSIDERATION**

The appellant has the right to file a written reconsideration request within **15** days of the mailing date of the decision on the grounds there was an error of fact or law, new evidence has been discovered or other good cause exists. If the request for reconsideration is granted, the appellant will be notified within 25 days of the request date. No response within **25** days means that the request for reconsideration has been denied. The right to request a reconsideration is based on §4-181a(a) of the Connecticut General Statutes.

Reconsideration requests should include specific grounds for the request: for example, indicate what error of fact or law, what new evidence, or what other good cause exists.

Reconsideration requests should be sent to: Department of Social Services, Director, Office of Legal Counsel, Regulations, and Administrative Hearings, 55 Farmington Avenue, Hartford, CT 06105.

## **RIGHT TO APPEAL**

The appellant has the right to appeal this decision to Superior Court within 45 days of the mailing of this decision, or 45 days after the agency denies a petition for reconsideration of this decision, provided that the petition for reconsideration was filed timely with the Department. The right to appeal is based on §4-183 of the Connecticut General Statutes. To appeal, a petition must be filed at Superior Court. A copy of the petition must be served upon the Office of the Attorney General, 55 Elm Street, Hartford, CT 06106 or the Commissioner of the Department of Social Services, 55 Farmington Avenue, Hartford, CT 06105. A copy of the petition must also be served on all parties to the hearing.

The **45** day appeal period may be extended in certain instances if there is good cause. The extension request must be filed with the Commissioner of the Department of Social Services in writing no later than **90** days from the mailing of the decision. Good cause circumstances are evaluated by the Commissioner or his designee in accordance with §17b-61 of the Connecticut General Statutes. The Agency's decision to grant an extension is final and is not subject to review or appeal.

The appeal should be filed with the clerk of the Superior Court in the Judicial District of New Britain or the Judicial District in which the appellant resides.