

Long Term Care Policy Q & A: Formal & Informal Methods for Providing Post-Survey Feedback

Q: What is the purpose of the policy?

A: The purpose of the policy is to improve the survey process by encouraging facilities to submit candid post-survey feedback. The policy accomplishes this by establishing a confidential procedure for processing post-survey feedback evaluations.

Q: How can the Division ensure my post-survey feedback responses will remain confidential?

A: A Division employee who is independent of the survey process has been appointed to receive and process all FSE Forms. The "Independent FSE Designee" is responsible for:

- Receiving all FSE Forms
- Maintaining and ensuring confidentiality when requested
- Managing a confidential FSE database
- Preparing reports and analysis

Q: How can I let the Division know that I want my responses to remain confidential?

A: The revised FSE Form (*which will be included in the NHA folder provided to the NHA on the date of initial survey entrance*) allows a facility to elect either "Confidential" or "Confidentiality Waived" in response to the "Confidentiality Election" question on Page 1 of the form. A facility that elects to have its FSE Form responses remain confidential should return the form in a confidential envelope, addressed as indicated on the top of the FSE Form. If confidentiality is waived, a facility may mail, fax or hand deliver the form.

Q: How will my FSE Form be processed?

A: FSE Forms will be processed as follows:

- All FSE Forms will go directly to the Independent FSE Designee for entry into a confidential database. For FSE forms marked "Confidential" the entries will not reflect any identifying information.
- After database entry, the Independent FSE Designee will deliver all FSE Forms marked "Confidentiality Waived" to the LTC Program Manager. Those marked "Confidential" will be maintained in a confidential manner until destroyed in accordance with the Division's record retention schedule.

Q: Will I receive a follow-up call from the Division?

A: Because the Division's goal is to improve the survey process, the Division will continue to contact a facility if: there is a numerical rating below a minimum score; there are negative or concerning written comments; or, the facility requests a telephone follow-up call. However, depending on the facility's confidentiality election, the process will differ:

- For FSE Forms marked "Confidential" follow-up will be conducted by the Independent FSE Designee. Unless the facility subsequently changes its confidentiality election to "Confidentiality Waived" neither the LTC Program Manager nor any surveyor will have access to or knowledge of the facility responses.
- For FSE Forms marked "Confidentiality Waived" follow-up will be continue to be conducted by the LTC Program Manager.

Q: What will happen if I file a report concerning a potential employee disciplinary matter?

A: If confidentiality is waived and discipline is indicated, the Division will proceed in accordance with laws, regulations and policies governing employee disciplinary matters. If confidentiality is not waived, the Division is restricted from investigating, pursuing or otherwise considering the report.

Q: Will the reports and analysis prepared by the Independent FSE Designee include identifying information?

A: Except where confidentiality is waived, all reports and analysis prepared by the Independent FSE Designee will be in summary, aggregate format, exclusive of all facility and surveyor identifying information. Reports and analysis will be used by management to determine trends and the prepare surveyor education and training. All such use will be documented in LTC meeting minutes.

Q: How can I file an informal report concerning the survey process?

A: A facility may file an informal report by contacting the Division Director, Deputy Division Director or LTC Program Manager directly. Contact information is provided as an attachment to the policy.

Q: Is the policy available for review?

A: Yes. The policy is accessible online at www.healthfacilities.info