

Center for Health Care Quality  
Licensing and Certification (L&C) Program  
Provider and Consumer Engagement Expectations

1. CDPH L&C staff will demonstrate professional conduct at all times, including demonstrating mutual respect and cooperation between staff, consumers, and providers.
2. CDPH L&C staff will treat residents/patients, consumers, and providers with dignity and respect their privacy and confidentiality within the limits of statute and regulation. Some circumstances require CDPH to share information with other enforcement agencies. To the extent permitted by law, CDPH L&C staff will inform consumers and providers when that occurs.
3. CDPH L&C staff will be trained and knowledgeable in conducting surveys and investigations and will adhere to the principles of investigation to include interviews, record reviews, and observations.
4. CDPH L&C staff will conduct surveys and investigations in an unbiased and nondiscriminatory manner, in accordance with L&C policies and procedures.
5. CDPH L&C Program will ensure, to the best of our ability, that there is no conflict of interest between L&C staff and provider staff and will investigate any allegations of conflict of interest.
6. CDPH L&C staff will not accept gifts, food and drinks, or transportation from consumers or providers.
7. After receiving a consumer complaint and valid complainant contact information (i.e., an operational telephone number, fax number, or mailing or email address), CDPH L&C staff will make at least two attempts to contact the complainant prior to conducting an onsite inspection of the facility. CDPH L&C staff will provide the consumer with information regarding the investigation process including timelines for initiation and completion of the investigation.
8. CDPH L&C staff will accept information from residents/patients and their representatives and provide them private, confidential opportunities to discuss those concerns.
9. Upon entering a facility, the CDPH L&C team leader will:
  - introduce the team,
  - discuss expectations,
  - outline the survey/investigation process,
  - provide a checklist of needed documents, and
  - request ongoing cooperation from facility management and staff
  - follow the facility's infection control policies when in patient care areas and adhere to CDPH guidance regarding influenza vaccination outlined in All Facilities Letters.

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10. While in a facility, CDPH L&C staff will wear photo identification at all times. CDPH L&C staff will work to ensure ongoing communication with the provider and will allow facility scribes and/or escorts to accompany the survey team to the extent permitted by the Centers for Medicare and Medicaid Services. CDPH L&C staff will not conduct daily exit conferences. However, if CDPH L&C staff identify an issue of significant concern, they will share that concern with the provider as soon as possible.
11. At the conclusion of a survey/investigation, CDPH L&C staff will conduct an exit conference with the provider. CDPH L&C staff will provide a summary of preliminary findings, which are subject to L&C supervisory review, and provide an opportunity for the provider to ask questions and present additional information.
12. CDPH L&C staff will issue recertification survey results to the provider within 10 business days of the exit conference. This timeline does not apply to surveys that require CMS consultation prior to issuing findings.
13. CDPH L&C staff will provide consumers a letter summarizing complaint investigation outcomes, describing any deficiencies cited, and providing appeal information if applicable.
14. CDPH L&C staff will hold health care facilities accountable for violations of state and/or federal laws and regulations and take appropriate enforcement actions.
15. CDPH L&C staff will not retaliate against a consumer or provider that raises concerns regarding staff behavior. We encourage consumers or providers with concerns to provide specific information so that we may timely investigate and address those concerns and improve performance.
16. CDPH L&C staff will investigate reports of retaliation against residents/patients.
17. CDPH L&C staff will work to address providers' or consumers' concerns or questions about a survey/investigation or a surveyor's conduct at the lowest possible level, beginning with the district office supervisor. If the district office supervisor does not resolve the issue, the provider or consumer should elevate the issue in the following order:
  - District Manager or District Administrator
  - Field Operations Branch Chief
  - Chief of Field Operations.