

**Technical Guide to the
CalQualityCare.org Ratings:**

**Intermediate Care Facilities for the Developmentally Disabled
(ICF/DD)**

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INTRODUCTION

Since 2002 the California HealthCare Foundation (CHCF) has partnered with the Department of Social and Behavioral Sciences at the University of California, San Francisco (UCSF-SBS) to develop a resource for consumers on long-term care providers throughout the state. CHCF sponsors the project and manages the website www.CalQualityCare.org on which data about long-term care facilities are displayed to improve quality and inform consumer decision-making. The UCSF-SBS team provides the data content for the website, including developing the ratings methods and scoring the facilities. The data are obtained from California and United States federal government sources, as well as from recognized accrediting organizations.

CalQualityCare.org provides “Performance Ratings” on important measures of the quality of long term care provided by nursing homes, home health care agencies, and hospice programs. The goal of these ratings is to provide clear, directional information to consumers about facilities (e.g., individuals in need of long-term care, family members, friends of individuals in need of long-term care, health care professionals needing to find long-term care resources for clients). The provider ratings are based on the most recent data from California and U.S. government sources. The data are updated quarterly with the most current information available.

The methodological foundation used to calculate the CalQualityCare.org provider ratings are based on existing algorithms, such as the procedures used by the Centers for Medicare and Medicaid Services (CMS) used for nursing homes; research literature; and expertise and knowledge in long-term care, research design, and program evaluation. In order to provide a common metric across all facility types rated, CalQualityCare.org has adopted the following five-level rating system CMS uses for nursing homes: Superior, Above Average, Average, Below Average, Poor, or not rated.

The number of ratings presented for each provider type depends on the available information. For example, nursing facilities have a significant amount of California state and U.S. government data available and receive performance ratings in four areas: Overall, Quality of Facility, Staffing, and Quality of Care. Intermediate care facilities for the developmentally disabled (ICF/DD) receive performance ratings in three domains: Overall, Quality of Facility, and Staffing. However, Home Health Care agencies have less data available and receive performance ratings in only two areas: Quality of Agency and Quality of Care. Hospice programs have information to provide a performance rating in only a single area: the Quality of Program. The website does not give performance ratings for assisted living, congregate living health facilities, continuing care retirement communities, adult day health care, or adult day care because these providers are subject to different standards that do not allow for collecting similar performance data. As data on these facilities become available, ratings will be developed for those providers.

OVERVIEW OF ICF/DD RATINGS

As noted above, CalQualityCare.org provides Performance Ratings for intermediate care facilities for the developmentally disabled (ICF/DD) programs in a three areas: Overall, Quality of Facility, and Staffing. All data for the ratings are obtained from federal and state public reports from official government sources. The ratings are updated on a quarterly basis using the

latest available public data. The following guide explains how each of the three component ratings are calculated and how the overall rating is calculated.

OVERALL ICF/DD RATING (COMPOSITE MEASURE)

The composite *ICF/DD Rating* is the *ICF/DD Quality of Facility Rating* adjusted by the *ICF/DD Staffing Rating*. Using this methodology for the composite score, the *ICF/DD Quality of Facility Rating* receives the greatest weight that is adjusted up or down based on the *ICF/DD Staffing Rating* as follows:

- Add a point to the *ICF/DD Quality of Facility Rating* if the *ICF/DD Staffing Rating* is 4 or 5 and greater than the deficiency score
- Subtract 1 point if staffing rating is one point
- If the *ICF/DD Staffing Rating* = 2 or 3, then the composite *ICF/DD Rating* = *ICF/DD Quality of Facility Rating*
- Resulting scores cannot be less than 1 or more than 5

This method resulted in the following distribution for the composite ICF/DD Rating:

ICF/DD Rating (Composite Measure)

ICF/DD Rating	Frequency	%	Cumulative %
Poor	176	15.16	15.16
Below Average	261	22.48	37.64
Average	307	26.44	64.08
Above Average	306	26.36	90.44
Superior	111	9.56	100.00

ICF/DD STAFFING RATING

The calculation of the staffing rating takes into consideration the staffing regulations that are applicable to each ICF/DD facility type. The direct care staffing regulations for ICF/DD and ICF/DD-Nursing (ICF/DD-N) facilities are the same, but the ICF/DD-Habilitative (ICF/DD-H) facilities abide by different direct care staffing regulations. Therefore, the ICF/DD Staffing Rating, using the sum of RN, LVN, and direct care hours per client per day, is calculated separately for the combined ICF/DD and the ICF/DD-Nursing (ICF/DD-N) facilities, and the ICF/DD-H facilities.

Since the Centers for Medicare and Medicaid Services (CMS) staffing data is reported in fulltime employee equivalents (FTEs) per week, the following formula was used to convert FTEs/week to hours/day per client:

- Total Staffing FTEs =RN + LVN+ Direct care staff FTEs
- Staffing Hours per day per client =([(total_staffing FTEs/7 days)*40 hours]/number of clients)

A staffing rating was categorized as missing if the staffing hours/day per client was less than 1 or greater than 20.

ICF Staffing Rating for ICF/DD and ICF/DD-N Facilities. The Federal staffing regulations establish minimum staffing ratios based on the level of mental retardation (MR) and behavioral characteristics for each resident. The federal regulation states that each resident should receive a minimum of: (a) 2.5 hours of direct care for those with severely-profound MR; (b) 2.0 hours per day for those with moderate MR; and (c) 1.25 hours per day for residents with mild MR. Since the public data available on residents do not indicate the specific needs of each resident, it is difficult to determine whether each facility meets the minimum standards, but it does appear that the majority of ICF/DD and ICF/DD-N facilities (96%) in California exceeded the federal staffing guidelines.

The *ICF/DD and ICF/DD-N staffing rating* was determined after reviewing the overall distribution of direct care hours per client per day for all facilities and establishing five groups. A facility’s staffing rating is relative to other ICF/DD and ICF/DD-N facilities within California. This method resulted in the following ICF/DD & ICF/DD-N staffing ratings:

ICF/DD and ICF/DD-N Direct Care Staff Rating

ICF/DD & ICF/DD-N Staffing Rating	Direct Care Staffing Hours/Client per Day	Frequency	%	Cumulative %
Poor	1.0 - 6.75	64	16.84	16.84
Below Average	6.751 - 7.5	74	19.47	36.32
Average	7.51 - 8.75	97	25.53	61.84
Above Average	8.751 - 10.5	100	26.32	88.16
Superior	>10.5	45	11.84	100

ICF Staffing Rating for ICF/DD-H Facilities. The California Code of Regulations Division 5, Chapter 8.5 establishes a minimum staffing ratio for ICF/DD-H facilities. The minimum hours of direct care is required to be approximately 4-5 hours/day per client for ICF/DD-H facility staffing. The majority of ICF/DD-H facilities (92%) exceeded these staffing regulations.

The *ICF/DD-H staffing rating* was determined after reviewing the overall distribution of direct care hours per client per day for all facilities and establishing five groups. A facility’s staffing rating is relative to other ICF/DD-H facilities within California. This method resulted in the following ICF/DD-H staffing ratings:

ICF/DD-H Direct Care Staff Rating

ICF/DD-H Staffing Rating	Direct Care Staffing Hours/Client per Day	Frequency	%	Cumulative %
Poor	1.0 - 6.0	170	23.04	23.04
Below Average	6.01 - 6.5	157	21.27	44.31
Average	6.51 - 7.25	137	18.58	62.87
Above Average	7.251 - 8.5	157	21.27	84.15
Superior	>8.51	117	15.85	100

Combining the *ICF/DD* and *ICF/DD-N* staffing rating with the *ICF/DD-H* staffing rating, yielded the *ICF/DD Staffing Rating* distribution as shown below:

Summary ICF/DD Staffing Rating: ICF/DD & ICF/DD-N, and ICF/DD-H Combined

ICF/DD Staffing Rating	Frequency	%	Cumulative %
Poor	234	20.93	20.93
Below Average	231	20.66	41.59
Average	234	20.93	62.52
Above Average	257	22.99	85.51
Superior	162	14.49	100

ICF/DD QUALITY OF FACILITY RATING

The ICF/DD Quality of Facility Rating is based on the number of deficiencies the facility receives during routine inspections and complaint investigations over the three most recent survey periods. Deficiencies are violations of federal regulations.

Due to ICF/DD facility type and size variability, deficiency data and complaint data were standardized by calculating deficiencies and complaints by the number of beds in each facility. The rating is based on the most recent three standard surveys for each ICF/DD facility and any complaint investigations during the corresponding year.

The number of complaints per bed and deficiencies per bed were calculated for each of three time periods: current, prior and third for the most recent, second recent and third recent survey period. The time periods included all deficiencies on that survey date plus any deficiencies received from complaints or any substantiated complaints received in the time period between surveys. For example:

current survey date= 2/10/10
 prior survey date=1/9/09
 third survey date=1/3/08
 fourth survey date 1/3/07

The deficiencies and complaints for the third time period include any deficiencies received on the third survey date (1/3/08) plus any deficiencies from complaints and substantiated complaints received between 1/4/07 and 1/3/08. For the prior time period it is any deficiencies received on the 1/9/09 survey plus any deficiencies from complaints or substantiated comps received between 1/4/08 and 1/9/09. For the current time period it is any deficiencies received on the 2/10/10 survey plus any deficiencies from comps or substantiated comps received on or after 1/9/09, including beyond the current survey date.

The number of deficiencies per bed and number of complaints per bed were weighted by giving the more recent surveys greater weight than earlier surveys: (a) the most recent survey received a weighting factor of one-half; (b) the second survey period received a weighting factor of one-third; and (c) the third survey period received a weighting factor of one-sixth.

These results were added and put into a five-point Quality of Facility Rating. The *ICF/DD Quality of Facility Rating* is based on the relative performance of facilities within California.

- The top 10% (lowest 10% in terms of the number of deficiencies per bed) of facilities received a five-point rating.
- The middle 70% of facilities received a rating of two, three, or four points, with an equal number (approximately 23.3%) in each rating category.
- The bottom 20% of facilities (those with the highest number of deficiencies per bed) received a one-point rating.

A facility's rating may change with each new update of data. The following shows the percent of ICF/DD facilities in each rating category:

ICF/DD Quality of Facility Rating

ICF/DD Quality of Facility Rating	Frequency	%	Cumulative %
Poor	229	19.72	19.72
Below Average	264	22.74	42.46
Average	274	23.60	66.06
Above Average	271	23.34	89.41
Superior	123	10.59	100.00