

**RCFE RATING SYSTEM (RRS)  
CONFIGURATION CONTROL PLAN  
Revision 2.2**

**For:**

**County of San Diego**



**Prepared Under: Contract  
550801, Amendment 4**

**Phase II – Year 2**

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**DOCUMENT CONFIGURATION  
CONTROL**

<b>Change Control Revision Sequence</b>	<b>Date</b>	<b>Summary</b>
Original	3/8/2017	Original issue with RRS Scoring Device at Baseline 3/16/2017, including Attachment A defining Version 1.1
Revision 1 <i>Version 2.1 in use as of 1/15/2018</i>	3/16/2018	<p>Revision reflecting Enhancements to RRS Scoring Device authorized by the County via email on 18 September 2017, Willis to Murphy. Enhancements include modification to both structural and operational elements of the RRS Scoring Device.</p> <p>Changed RRS Scoring Device (CWSD) to RCFE Rating System (RRS) Scoring Device, at the direction of the County's Program Manager.</p> <p>Changes Version number from 1.1 to 2.0 based on roll of 1.0 to 2.0 based on structural change to algorithm, and role of 2.0 to 2.1 resulting from changes to operational elements of the scoring device. Components and attributes of the roll to RRS Scoring Device, Version 2.1 are stated in Attachment B hereof.</p>
Revision 2.2	2/19/2020	<p>Revision Author: Sarsis</p> <p>Revision reflecting the addition of the Star Data Visualization System.</p>

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# RRS SCORING DEVICE (RRS) CONFIGURATION CONTROL PLAN

## Article I. Introduction

The RCFE Rating System (RRS) Scoring Device Configuration Control Plan addresses configuration management including naming conventions, protocols and approvals for the RRS Scoring Device algorithm.

### Section 1.1 Purpose

The purpose of the RRS Scoring Device (RRS) Configuration Control Plan is to maintain the integrity of the RRS Scoring Device algorithm by methodically tracking modifications to the algorithm. This purpose will be achieved by tracking and verifying County-approved changes to assure the produced RRS scores are correct and consistently applied for display on the County of San Diego's RRS website ([www.choosewellsandiego.org](http://www.choosewellsandiego.org)).

### Section 1.2 Objective

This Plan defines the configuration management methods of the RRS program. This Plan has been developed to ensure changes to the RRS Scoring Device are methodically tracked and implemented. As the project progresses from experimental to sustainable, this plan may be expanded to reflect the program's evolution.

## Article II. RRS Scoring Device (RRS)

The RRS Scoring Device consists of Structural Components and Operational Elements.

### Section 2.1 Definition of RRS Structural Components

Structural Components are those which form the framework of the algorithm and are stipulated to be

- II Quality Measures & Definitions
- Title 22 Regulations mapped into II Quality Measures
- Algorithm Formula

### Section 2.2 Definition of RRS Operational Elements

Operational Elements are those which reside within the Structural Components of the algorithm and are stipulated to be

- Weights on Quality Measures
- Weights on Title 22 Regulations
- Look Back Period
- Incentive Points for Facility Provided Documents and receipt of an outcome of Substantial Compliance resulting from a required state inspection (5-year, 3-year, 2-year, annual, or annual random).

## Article III. RRS Identifier

### Section 3.1 RRS Identifier: Version/Revision

The RRS Identifier will label the specific Version or Revision of the RRS in use on the website. The version or revision will be posted in the website's Frequently Asked Questions for Facilities.

The identification scheme below sets forth the protocol for assigning the version or revision used on the RRS site. Once a new version or revision of the RRS algorithm is approved by the County of San Diego for implementation and site-wide re-scoring, it will replace the prior RRS algorithm. Individual elements of the prior RRS will be retained in hardcopy form, by version or revision number, as attachments to this Plan.

RRS Scoring Device Identifier	
<b>Version</b>	<i>Version</i> number refers to the number before the '.' The Version number will roll to the next consecutive number when a change to a Structural Component is approved by the County of San Diego. (Ex: 1.0 to 2.0)
<b>Revision</b>	<i>Revision</i> number refers to the number after the '.' The Revision number will roll to the next consecutive number when a change to an Operational Element is approved by the County of San Diego. (Ex. 1.0 to 1.1)

Table 1: RRS Scoring Device Identifier

## Article IV. Baseline Definition

### Section 4.1 Original RRS Baseline is 1.1

The RRS Baseline Version is 1.1, as identified in the RRS Phase I – Pilot Final Report. The algorithm used for scoring RRS provider, as of the date of public (non-media) launch of the website on 21 November 2016 is known as the Baseline Version 1.1. The Version 1.1 is documented as Attachment A to this Plan.

### Section 4.2 Subsequent Baselines

Following the roll of Version and/or Revision numbers based on the approval processes defined herein, the Version and/or Revision number implemented on the Choose Well site will become the new then-current Baseline, and will be the basis of the next iteration of Version and/or Revision.

### Section 4.3 2018 Baseline is known as Version 2.1

The enhancements approved by the County changes the RRS Version number from 1.1 to 2.0 based on roll of 1.0 to 2.0 based on structural change to algorithm; and roll of 2.0 to 2.1 resulting from two changes to operational elements of the scoring device as documented in Attachment B hereto.

## Article V. Procedures for Change in Version or Revision

### Section 5.1 Procedures for Changing the RRS

The Contractor will present to the County of San Diego a Change Request Proposal supporting any proposed change/s to the RRS, to include

- Definition of the change/s required to the Structural Component or Operational Element;



- Rationale on how the change will benefit the RRS program, its consumers and the volunteer providers;
- Demonstration of the need for the proposed change/s.

### Section 5.2 Change Requests and Approvals

Once the Contractor has identified a beneficial reason to modify the RRS, a Change Request Proposal will be prepared, and shall include the requirements stated in 4.1 supra, along with the recommended Version/Revision number. The request will be submitted to the Choose Well Program Manager at the County of San Diego, Health and Human Services Agency, Aging and Independence Services (COSD/HHSA/AIS – hereinafter ‘the County’). The County will review the proposal and will provide its written determination/approval to the Contractor within 30 days following receipt of the Change Request Proposal.

### Section 5.3 Implementation of a RRS Change

If the County disapproves the Change Request Proposal to modify the RRS, the request will be quashed, and no change will issue.

If the County approves the Change Request Proposal, the Contractor will implement the changes to the RRS on all published scores, to be effective 120 days from receipt date of County approval, or such other date as has been mutually agreed to by the parties.

### Section 5.4 Documentation of Version/Revision Content

For each Version/Revision number agreed to between the parties, Contractor shall provide detail, by Structural Component and Operational Element to include:

- Effective date of revised algorithm implemented on RRS website
- Structural Components in the algorithm
- Changes to Structural Components identified in detail
- Operational Elements in the algorithm
- Changes to Operational Elements identified in detail
- Changes to the RRS Dictionary as a result of Structural Components or Operational Elements
- Earliest date for compiling compliance history

The document memorializing the above information shall be attached to this Plan, identified on the Document Configuration Control form supra.

### Section 5.5 Release Information to Website

Upon implementation of a change (Version/Revision) to the RRS, the website will be updated in the Frequently Asked Questions for Providers, indicating the effective date of the latest Version/Revision release date implemented on site.

## Article VI. Configuration Maintenance



The then-current Contractor for Choose Well agrees to maintain the RRS Configuration Control Plan (this document) identified herein for the life of the project.

## Article VII. RRS Algorithm

### Section 7.1 Original Phase I Algorithm

The RRS as approved by the County includes an Objective Score based on a facility's compliance history with the state's licensing agency (Department of Social Services, Community Care Licensing), and Incentive Points described in Section 7.05 herein.

Overall Score The algorithm for calculating the RRS Score is:

$$\Psi = 100 - \sum_{T22} (\text{Count}_{T22} * W_{T22} * W_{QM} * \varsigma) + T$$

Where  $\Psi$  is the Objective Data Score,

Where  $\text{Count}_{T22}$  is the count of citations by T22,

Where  $W_{T22}$  is the weight by T22,

Where  $W_{QM}$  is the weight by Quality Measure excluding , Where  $\varsigma$  is the Scale Factor used to normalize to 100

Where (T-symbol) is the bonus points added from the Transparency Program

#### **Notes:**

- a. QM 5 – Non-Compliance Conference Summary Status is only weighted as a Quality Measure
- b. QM 8 – Civil Penalties is not included in the T22 count, or in the Quality Measure weight. It is a standalone measure equal to the accumulated dollar value of the total assessments documented in the public record.
- c. Scale Factor used to adjust scores to 100 was .68

### Section 7.2 Phase II Algorithm with Enhancements

The Phase II RRS includes Enhancements approved by the County. It includes an Objective Score based on a facility's compliance history with the state's licensing agency (Department of Social Services, Community Care Licensing), and Incentive Points described in Sections 7.05 and 7.06 herein.

Enhancements approved by the County and incorporated into the Phase II RRS Algorithm were:

- Incorporation of 14 new Health & Safety Codes (identified in the Choose Well Quality Measure Dictionary CS 4.0 dated 10 January 2018), weighted, and mapped to the existing 11 Quality Measures.
- Limiting the scoring device to recognizing citations received during a 5-year look back period, and an accumulating 6<sup>th</sup> year. For the first rescore using the Phase II RRS Algorithm, citations received during 2010, 2011 and 2012 were not recognized by the scoring device.
- Introduction of 2 points for each Required Inspection finding of "Substantial Compliance"

documented on the state's LIC 809 form. Substantial Compliance is defined as a statement of 'substantial compliance' or of 'No deficiencies found.' Required Inspection is defined as a 5-year, 3-year, 2-year, Annual, or Annual Random inspection. Providers earn 2 points for each Substantial Compliance earned during the Look-Back period.

**Overall Score:** The algorithm for calculating the RRS Score is:

$$\Psi = 100 - \sum_{T22} (\text{Count}_{T22} * W_{T22} * W_{QM} * \varsigma) + T + SC$$

Where  $\Psi$  is the Objective Data Score,

Where  $\text{Count}_{T22}$  is the count of citations by T22,

Where  $W_{T22}$  is the weight by T22,

Where  $W_{QM}$  is the weight by Quality Measure excluding , Where  $\varsigma$  is the Scale Factor used to normalize to 100

Where (T-symbol) is the bonus points added from the Transparency Program

Where SC is bonus points (2) assigned for each Substantial Compliance earned by a facility during a state-required inspection (5-year, 3-year, 2-year, Annual, or Annual Random) during the look-back period.

**Notes:**

- a. QM 5 – Non-Compliance Conference Summary Status is only weighted as a Quality Measure; it does not have a T22 weight.
- b. QM 8 – Civil Penalties is not included in the T22 count, or in the Quality Measure weight. It is a standalone measure equal to the accumulated dollar value of the total assessments documented in the public record.
- c. Scale Factor used to adjust scores to 100 was .665

**Section 7.3 Comprehensive Weight Table**

The Comprehensive Weight Table, Table 2 below, includes Title 22 Regulation weights as well as the weighted Health & Safety Codes incorporated following the County’s 2017 approval of the Enhancements implemented in January 2018.

QUALITY MEASURES	MAPPED TITLE 22 REGULATIONS	WT Scale 1-3
<b>QM 1: Activities &amp; Socialization</b>	87219 Planned Activities	3
	87462 Social Factors	1
<b>QM 2: Emergency Disaster Planning</b>	87212 Emergency Disaster Plan	3
	87705(k)(3) Care of Persons with Dementia – Fire Drills	2
	87705 (l)(8) Care of Persons with Dementia – Fire Drills	2
	87606 (f)(A) Care of Bedridden Residents - Evacuation	1

<b>QM 3: Facility Maintenance &amp; Safety</b>	87202 Fire Clearance	1
	87203 Fire Safety	1
	87204 Limitations – Capacity and Ambulatory Status	2
	87303 Maintenance & Operations	3

	87307 Personal Accommodations and Services	3
	87308 Resident and Support Services	1
	87309 Storage Space	2
	87311 Telephones	1
	87312 Motor Vehicles Used in Transporting Residents	1
	H&SC 1569.311 Carbon Monoxide Detectors	3
<b>QM 4: Food &amp; Nutrition</b>	87555 General Food Service Requirements	1
<b>QM 5: Noncompliance Conference Summary Status</b>	This measure does not have a Title 22 designator	n/a
<b>QM 6: Resident Rights</b>	87468 Personal Rights	3
	87221 Resident Councils	1
	87207 False Claims	1
	87217 Safeguards for Resident Cash, Personal Property and Valuables	1
	87218 Theft and Loss	1
	87224 Eviction Procedures	2
	87469 Advanced Health Care Directives, Requests to Forego Resuscitative Measures, and Do-Not- Resuscitate Forms	1
	87223 Relocation of Resident	1
	H&SC 1569.157 Resident Councils	1
	H&SC 1569.158 Family Councils	1
	H&SC 1569.33(h)2 Licensing Complaint Poster	1
	H&SC 1569.267 Notice of Statutory Residents' Bill of Rights	2
	H&SC 1569.269 Statutory Residents' Bill of Rights	3
<b>QM 7: Staffing</b>	87355 Criminal Record Clearance	3
	87405 Administrator – Qualifications and Duties	2
	87406 Administrator Certification Requirements	1
	87407 Administrator Recertification Requirements	1
	87411 Personnel Requirements - General	3
	87412 (c)(d)&(e) Personnel Records	1
	87413 Personnel - Operations	1
	87415 Night Supervision	3
	87611 (b)(1)(E)& (c) General Requirements for Allowable Health Conditions	1
	87613(a)&(b) General Requirements for Restricted Health Conditions	1
	H&SC 1569.618 Staffing Requirements	3
	H&SC 1569.625 Resident's Civil Rights Protections	2
	H&SC 1569.626 General Direct Care Staff Training	2



	on Dementia Requirements	
	H&SC 1569.69 Training for Assistance with Self-Administration of Medications	2
	H&SC 1569.616 Administrator Training	2
	H&SC 1569.696(a)/(b) General Direct Care Staff Training on Postural Supports, Restricted Conditions on Hospice Care Requirements	2
<b>QM 8: Civil Penalties</b>	This measure is a stand-alone indicator	n/a
<b>QM 9: Specialty Care</b>	87705 Care of Persons with Dementia (Exclusive of QM2 mapped regulations of the same Title number)	3
	87706 Advertising Dementia Special Care, Programming and Environments	2
	87707 Training Requirements if Advertising Dementia Special Care, Programming and Environments	2
	87632 Hospice Care Waiver	1
	87633 Hospice Care for Terminally Ill Residents	3
	87606 Care of Bedridden Residents (Exclusive of QM2 mapped regulations of the same Title number)	3
	87616 Exceptions for Health Conditions	1
	87615 Prohibited Health Conditions	3
<b>QM 10: Basic Resident Care &amp; Supervision</b>	H&SC 1569.39 Skilled Care for Prohibited or Restricted Health Conditions	3
	87507 Admission Agreements	2
	87211 Reporting Requirements	1
	87455 Acceptance and Retention Limitations	2
	87456 Evaluation of Suitability for Admission	1
	87457 Pre-Admission Appraisal	1
	87458 Medical Assessment	2
	87459 Functional Capabilities	1
	87461 Mental Conditions	1
	87463 Reappraisals	2
	87464 Basic Services	3
	87466 Observation of the Resident	3
	87467 Resident Participation in Decision-making	1
	87505 Documentation and Support	1
87506 Resident Records	1	
<b>QM 11: Medical Needs &amp; Responsiveness</b>	87465 Incidental Medical and Dental Services	3
	87607 Automated External Defibrillators (AEDs)	1
	87608 Postural Supports	2
	87609 Allowable Health Conditions and the Use of Home Health Agencies	1





	87611 General Requirements for Allowable Health Conditions (Exclusive of QM 7 mapped regulations of the same Title number)	3
	87612 Restricted Health Conditions	1
	87613 General Requirements for Restricted Health Conditions (Exclusive of QM 7 mapped regulations of the same Title number)	3
	87618 Oxygen Administration – Gas & Liquid	3
	87625 Managed Incontinence	3
	87628 Diabetes	3
	87629 Injections	3
	87631 Healing Wounds	3
	87621 Colostomy/Ileostomy	3
	87626 Contractures	3
	87622 Fecal Removal, Enemas, and/or Suppositories	3
	87623 Indwelling Urinary Catheter	3
	H&SC 1569.371 911 Retaliation/Discrimination	3

Table 2: Comprehensive Weight Table  
 RRS Title 22 Regulations & Health & Safety Codes

Section 7.4 Weights by Quality Measure

The weights by Quality Measure are shown in Table 3:

QUALITY MEASURES	WT Scale 1-5
QM 1: Activities & Socialization	1
QM 2: Emergency Disaster Planning	1
QM 3: Facility Maintenance & Safety	2
QM 4: Food & Nutrition	1
QM 5: Noncompliance Conference Summary Status	5
QM 6: Resident Rights	2
QM 7: Staffing	2
QM 8: Civil Penalties	0
QM 9: Specialty Care	4
QM 10: Basic Resident Care & Supervision	2
QM 11: Medical Needs & Responsiveness	4

Table 3: RSS Weights by Quality Measure

Section 7.5 Incentive Points – Provider-Supplied Documents

The 5 documents qualifying a provider for incentive points are shown in Table 4 below. Once a qualifying document is uploaded to the Facility Profile, the RRS Score for that facility will be increased by the requisite

number of incentive points warranted by the conforming document.  
Providers will not be IO-noticed on the *increased* score.

FACILITY PROVIDED DOCUMENT LIST	
Document	Points Awarded to Score
Price List	2
Fall Mitigation Program	1
Infectious Disease Control Policy	1
License, Approvals & Waivers for Specialty Care	.5
Dementia Plan of Operation	.5

Table 4: Facility Provided Document List

### Section 7.6 Incentive Points – Substantial Compliance

A facility will receive 2 incentive points for each Substantial Compliance, or No deficiencies found received and documented on the state’s LIC809 for a required inspection (5-year, 3-year, 2-year, Annual or Annual Random). Providers will be 10-noticed for a revised score which includes one or more Substantial Compliance incentive points.

### Section 7.71 Scoring Designations

To understand the scores posted on the Choose Well site, the RRS Designations are shown in Table 5.

RRS DESIGNATIONS	
Designation	Basis
<b>100 to 70</b>	RRS scores based on compliance histories.
<b>Newly Licensed</b>	A recently licensed facility that has not received a post-licensing inspection. Once a post-licensing inspection occurs, the facility's Newly Licensed designation will move to a score based on the then-in-use RRS Scoring Algorithm.
<b>Participant</b>	A Choose Well Member whose facility receives an RRS score of 69 or below.
<b>Not Rated</b>	A facility that is not a Choose Well Member.

Table 5: Designation Type

## Article VIII. Star Data Visualization

The Star Data Visualization provides the consumer with an at-a-glance view of the different quality measures. Each quality measure has a 1 to 5 star rating. The star rating is determined based on the number and severity of citations. "Type A" citations remove one full star. "Type B" citations remove half a star. The lowest possible score a facility can receive for a quality measure is 1 star.

For example, if a facility has five stars in Quality Measure 1 – Activities and Socialization, that means the facility has not been cited by the state for any deficiencies related to Activities and Socialization.

Another example is that a facility has three and a half stars in Quality Measure 6 – Resident Rights. That means that the facility has received three Type B citations related to violating resident rights, or one Type B and one Type A citation.

Choose Well also supplements each star rating with the details of the citation, including the code that was violated, citation type, inspection date, code number, and a plan of correction.

ATTACHMENT A - RRS Algorithm Version 1.1 Baseline

The RSS Algorithm Version 1.1 Baseline, shown in Table 6 below, was used to calculate Choose Well scores commencing with the public launch of the website on 11/21/2016.

Descriptions	Statement of Content/Source
Effective date of revised algorithm implemented on RRS website	<ul style="list-style-type: none"> <li>11/21/16</li> </ul>
Structural Components in the Algorithm	<ul style="list-style-type: none"> <li>11 Quality Measures as identified in the Refine Data/Quality Measure Dictionary Pilot – End, PV3.0 dated 9/4/2015</li> <li>Weights presented on page 31 of the Phase I – Pilot Final Report under Frozen Rating System are those used in Version 1.1</li> </ul>
Changes to Structural Components	<ul style="list-style-type: none"> <li>None</li> </ul>
Operational Elements in the Algorithm	<ul style="list-style-type: none"> <li>Operational Elements are as identified in the Refine Data/Quality Measure Dictionary Pilot – End, PV3.0 dated 9/4/2015</li> <li>Weights presented on page 28 of the Phase I – Pilot Final Report under Frozen Rating System are those used in Version 1.1</li> </ul>
Changes to Operational Elements	<ul style="list-style-type: none"> <li>None</li> </ul>
Changes to the RRS Dictionary as a result of Structural Components or Operational Elements	<ul style="list-style-type: none"> <li>None</li> </ul>
Earliest Date for compiling compliance history	<ul style="list-style-type: none"> <li>Written authorization from the County to eliminate compliance histories from 2008 and 2009. Compliance history included in RRS scores begins 1/1/2010.</li> </ul>

Table 6: RRS Algorithm Version 1.1 Baseline

The Baseline Version used in Phase II – Year I was Version 1.0

Upon approval by the County, changing the earliest date compliance history was compiled and fed into algorithm, constituted a change to an Operational Element moving the Version from 1.0 to 1.1.

Algorithm for Objective Data – Presented on page 25 and 26 of the Phase I – Pilot under Frozen Rating System is the formula used in Version 1.1.



**ATTACHMENT B - RRS Version 2.1 Baseline**

The RRS Algorithm Version 2.1 Baseline, shown in Table 7 below, was used to calculate Choose Well scores commencing with the public launch of the website on 1/15/2018.

Descriptions	Statement of Content/Source
Effective date of revised algorithm implemented on RRS website	<ul style="list-style-type: none"> <li>1/15/2018</li> </ul>
Structural Components in the Algorithm	<ul style="list-style-type: none"> <li>11 Quality Measures as identified in the Refine Data/Quality Measure Dictionary Pilot – End, PV3.0 dated 9/4/2015</li> <li>Weights presented on page 31 of the Phase I – Pilot Final Report under Frozen Rating System are those used in Version 1.1</li> <li>RRS Algorithm</li> </ul>
Changes to Structural Components	<ul style="list-style-type: none"> <li>Modifications resulting from the Enhancements approved by the County of San Diego (added H&amp;SCs).</li> </ul>
Operational Elements in the Algorithm	<ul style="list-style-type: none"> <li>Operational Elements</li> <li>Modifications resulting from the Enhancements approved by the County of San Diego (Data Drop- off for citations earned during 2010, 2011, 2012, and addition of incentive points for Substantial Compliance inspection finding.)</li> <li>Look-Back Period</li> <li>Incentive Points for Documents and Substantial Compliance</li> </ul>
Changes to Operational Elements identified in detail	<ul style="list-style-type: none"> <li>Look back period is a five-year history, and an accumulating 6<sup>th</sup> year. For the 2018 RRS enhancement, the scoring device ignored citations received in 2010, 2011, and 2012.</li> <li>Incentive Points for Substantial Compliance outcomes received on a state required inspection (5-year, 3-year, 2-year, annual, or annual random).</li> </ul>
Changes to the RRS Data Dictionary as a result of Structural Components or Operational Elements	The CW Data Dictionary was modified to include, by Quality Measure, the additional 14 regulations added to the scoring device.
Earliest date for compiling compliance history	Earliest date for compiling compliance history is 1/1/2013.

Table 7: RRS Algorithm Version 1.1 Baseline