



**Center for Clinical Standards and Quality/ Quality, Safety & Oversight Group**

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**Admin Info: 19-09-CLIA**

**DATE:** August 15, 2019

**TO:** State Survey Agency Directors

**FROM:** Director  
Quality, Safety & Oversight Group

**SUBJECT:** Fiscal Year (FY) 2020 Clinical Laboratory Improvement Amendments (CLIA)  
Budget Call Letter

**Memorandum Summary**

- **FY 2020 CLIA Budget Call Letter:** Enclosed is a copy of the FY 2020 CLIA Budget Call Letter.
- State staffing targets are determined based on the workload required to survey each State's laboratory population. **State budgets should reflect the cost to perform the workload shown in this budget call.**
- State Budget submittals are due to the Centers for Medicare & Medicaid Services (CMS) Central Office (CO) by **September 27, 2019.**

**Background**

CMS is providing information and guidelines for determining FY 2020 State Survey Agency (SA) CLIA budgets and projected workloads. While CLIA is a self-funded program, the authority to obligate funds is subject to an annual apportionment from the Office of Management and Budget (OMB). Although we have not received an apportionment for FY 2020 from OMB, all States should prepare FY 2020 budgets to reflect the workload and funding levels provided in this package. The State budget submissions should cover the period from October 1, 2019 through September 30, 2020. All budget documents must be prepared, transmitted, and certified utilizing the Automated Survey and Certification/CLIA Reporting System (ASCCRS). **Hardcopy budget forms should not be utilized.**

For FY 2020, CMS will continue to monitor survey activity closely and provide periodic summary reports of national and State survey levels and statistics. Each State should continue to work toward meeting the negotiated workload targets, as well as the minimum national productivity standard of 120 surveys per surveyor full-time equivalents (FTEs) per year (112 initial/recertification and eight follow-up surveys).

Proposed funding level for each State is based, in part, on the premise that the State is performing at the minimum national productivity standard. Those States indicating that they cannot perform the targeted workload within the suggested budget levels are encouraged to bring productivity up to the minimum national standards. The CMS Regional Offices (ROs) should address continued under performance by any State(s) prior to budget approval.

### **Key Points for FY 2020**

- State plans should provide assurance that proposed **CLIA FTE charges and all other CLIA funds allotted to SA's are used only for CLIA-related tasks as required by CLIA Law.**
- State hourly rate change: Hourly rates are computed by dividing the FY 2019 State award by the individual State FY 2019 budgeted hours.
- The State staffing ratio for clerical support is maintained at one clerical FTE to every three surveyor FTEs.
- The requirement for State validation surveys of accredited labs remains at the level of five percent per survey cycle.
- The supervisory ratio for FY 2020 remains unchanged at one supervisory FTE to every seven surveyor FTEs.
- The allowable level of non-surveyor professional support staffing is one support FTE to every six surveyor FTEs (unchanged from FY 2019).
- The average number of survey hours should not exceed 14 per survey.
- The target number of initial/recertification surveys remains at a minimum of 112 per surveyor.
- The nationwide target FTE ceiling for surveyors will decrease from 82.6 to 81.1.
- State budget submissions should reflect the number of positions (supervisory, surveyor, non-surveyor professional and clerical staff) currently authorized as well as planned new hires/attrition including data/justification for the additions. This should be stated as both the number of employees and the number of FTEs.
- The budget submission should address the State's plan for training surveyors and monitoring their performance.
- All cost estimates should be based on State specific hourly rates (notify the RO if SA salaries increase during the year, so that the State budget can be adjusted accordingly).
- Laboratory programs in Washington State and New York State (non-physician office laboratories) are exempt from CLIA. Workloads for these States have been either fully or partially excluded from the budget call and State funding has been adjusted to reflect the cessation of all or part of their surveys.

### **Budget Process**

Each State is required to submit a CLIA annual activity plan. This plan should build upon the FY 2020 budget and detail how the State expects to structure its laboratory surveyor program to complete the designated workload. For FY 2020, we project a workload of approximately 8,702 compliance initial and recertification surveys, 609 complaint/follow-up onsite laboratory surveys (we estimate approximately 207 of the 609 will be complaint surveys), and 420 validations of accredited laboratories surveys.

We will continue to utilize the ASCCRS for our FY 2020 budget development and certification processes. CLIA budget reporting formats CMS 102, CMS 105, 1465A, and 1466 are part of the complete CLIA budget package. Using ASCCRS States will electronically prepare and certify budgets and, subsequent to RO and CO review, re-certify final budget approval packages. For those States where the proposed budget is approved as submitted, no re-certification will be necessary.

**The following development and reporting process steps must be followed, on a State by State basis:**

- State develops, inputs and certifies its proposed FY 2020 budget into the ASCCRS;
- State notifies the region that its budget has been certified and is ready for review;
- RO reviews State's electronic budget submission and negotiates with the State, as necessary, to reach agreement on final budget amounts;
- Following the State and RO budget negotiations (but prior to RO approval), the region notifies CO that the State's budget proposal is ready for review;
- CO reviews and concurs/non-concurs with the proposed budget;
- CO notifies the RO of the approved funding level; and,
- RO approves budget (or notifies the State to recertify in the event of non-concurrence with requested funding levels).

The above process will be followed for each State within each RO. Please note that the ASCCRS includes report features which enable each RO to easily track (by year) the dates that the CMS-102 has been certified and approved.

All State budget packages must be prepared electronically using the ASCCRS – **no hard copy documents will be accepted**. The RO will be responsible for notifying CO when the State and the RO have come to agreement on the State proposals. Notification should take place on or before the due date for budget submissions and directed to the attention of Herb Goodrich of the Division of Survey & Certification and CLIA Budget (DSCB). Once we have received notice, the proposals entered into the ASCCRS will be considered the official State budget-funding request for FY 2020.

The instructions and guidelines in this package are to be used as the basis for negotiation of FY 2020 CLIA workloads and funding levels with State agencies within each region. Please continue to maintain close contact with us to address States' questions that may arise during budget negotiations.

Attachment G (**Guidelines and Program Emphases to be followed by States in Preparing FY 2020 CLIA Budgets**) provides detailed information on budget preparation for the States.

**Additional References:**

The State Operations Manual (SOM) contains information relevant to the budgetary process. You may also refer to the Code of Federal Regulations (CFR) Title 2, Part 200 "Uniform Requirements, Cost Principles and Audit Requirements for Federal Awards" which provides direction in determining the allowable costs of programs administered by State Governments under grants from, and contracts with, the Federal Government.

**Contact:** If you have any questions or need further clarification pertaining to information provided in the budget call letter, please contact the Director, DSCB, Jeffrey Pleines at (410) 786-0684, Herb Goodrich (410) 786-3234, Jessica Shih (410) 786-0627 or Angela Thorne-Stancil (410) 786-4876.

**Effective Date:** Immediately. This policy should be communicated with all survey and certification staff, their managers and the State/Regional Office training coordinators within 5 days of this memorandum.

/s/  
David R. Wright

Attachment (s):

Attachments A-I (except G): FY 2020 Budget Information, Workload and Funding (multiple Tabs)

Attachment G: Guidelines and Program Emphases to be followed by States in Preparing FY 2020 CLIA Budgets

cc: Survey and Certification Regional Office Management

NON-ACCREDITED LABORATORIES  
INITIAL AND FOLLOW-UP SURVEY COUNTS

Attachment A-1

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL
CT	63	14	2	10	1	5	4	2	5	2	0	108
ME	12	5	0	1	0	3	3	1	8	1	0	34
MA	57	48	2	21	1	8	6	3	18	5	6	175
NH	21	7	1	1	1	2	1	0	3	2	1	38
RI	16	4	0	2	1	2	2	1	1	0	0	27
VT	5	2	0	2	0	1	1	1	2	0	0	13
TOT. REG. I	174	81	5	37	2	22	15	7	37	10	7	396
NJ	142	60	2	20	2	19	7	5	8	1	4	269
NY *	246	121	5	48	2	24	18	7	19	1	4	495
PR	23	61	16	72	28	82	48	38	97	6	2	473
TOT. REG. II	411	242	23	140	32	125	73	50	124	7	10	1238
DE	13	6	1	1	0	2	1	0	1	0	0	24
DC	6	3	0	1	0	0	0	0	1	0	0	11
MD	75	44	2	15	1	13	11	4	11	1	1	178
PA	102	57	1	28	1	25	10	3	23	4	2	257
VA	81	63	2	28	1	27	6	5	15	2	2	231
WV	15	11	1	4	1	7	2	2	11	1	1	54
TOT. REG. III	293	185	6	76	3	74	29	14	63	8	5	756
AL	42	64	3	49	4	37	15	8	28	2	2	253
FL	334	143	5	62	4	24	10	10	25	6	7	631
GA	121	100	3	41	3	27	11	8	33	4	4	355
KY	48	53	2	36	2	18	12	7	24	2	4	206
MS	37	68	1	50	3	25	12	10	32	3	1	242
NC	118	102	9	56	8	29	13	8	22	3	2	369
SC	71	60	4	16	1	7	3	5	11	3	3	184
TN	67	95	5	53	5	39	19	11	30	4	7	336
TOT. REG. IV	838	686	31	363	30	205	95	67	205	27	30	2576
IL	109	46	1	11	1	16	7	4	15	3	4	216
IN	40	23	2	10	2	11	10	3	8	1	2	109
MI	67	37	0	23	2	16	9	5	10	2	1	172
MN	42	22	7	6	1	6	9	7	15	1	0	118
OH	58	33	1	10	1	14	5	4	11	0	1	137
WI	44	24	5	27	4	22	8	7	28	3	1	172
TOT. REG. V	360	186	15	87	10	84	48	30	87	10	8	925
AR	48	46	1	33	2	16	7	5	27	3	2	189
LA	33	27	1	15	1	8	5	5	16	3	0	114
NM	13	8	1	1	1	1	2	1	2	1	0	32
OK	32	29	2	13	3	8	11	10	19	1	0	126
TX	210	163	7	75	9	54	21	15	51	5	6	617
TOT. REG. VI	336	273	12	136	16	87	46	37	114	13	7	1078
IA	37	31	2	17	5	10	8	12	39	2	1	164
KS	29	24	3	10	3	18	14	4	29	1	2	136
MO	64	38	1	13	0	9	6	6	25	4	2	168
NE	32	27	1	14	2	12	10	7	19	2	1	125
TOT. REG. VII	162	120	7	55	9	48	39	29	113	8	5	593
CO	73	48	1	13	0	9	6	4	9	2	0	166
MT	11	7	2	2	3	7	6	3	9	0	1	51
ND	2	3	1	2	1	7	6	5	4	0	0	30
SD	16	8	4	4	1	4	6	3	8	0	0	54
UT	47	33	2	10	1	5	2	2	11	3	1	115
WY	6	5	0	2	2	5	1	2	5	0	0	27
TOT. REG. VIII	156	103	9	33	7	37	28	19	46	5	1	443
AZ	82	31	0	13	2	12	5	4	13	3	3	167
CA	409	156	2	54	2	43	23	12	65	11	13	789
HI	15	7	1	3	1	3	2	1	2	0	0	33
HI (PACIFIC)	2	2	0	0	1	0	0	1	1	1	1	7
NV	27	13	1	5	0	6	4	3	8	0	2	69
TOT. REG. IX	534	209	4	75	5	64	34	20	88	14	19	1065
AK	10	5	1	2	2	4	3	1	2	0	0	29
ID	32	16	1	6	1	4	2	2	13	1	0	77
OR	46	29	1	16	2	9	6	2	19	4	2	135
TOT. REG. X*	88	50	2	24	4	16	10	5	35	4	2	241
TOTAL	3352	2135	113	1025	118	763	417	278	910	105	94	9311

\* Washington State Exempt, New York Partially Exempt.

**NON-ACCREDITED LABORATORIES**  
INITIAL AND FOLLOW-UP SURVEY HOURS + COSTS

Attachment A-2

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL HOURS	ADJUSTED HOURS	HOURLY RATE	TOTAL COST
CT	707	172	29	126	7	76	57	37	97	36	0	1,344	1,283	\$92.51	\$118,686
ME	131	63	0	14	0	45	41	19	154	23	0	490	495	\$74.89	\$37,069
MA	636	579	29	259	7	120	89	47	328	118	206	2,418	2,297	\$70.25	\$161,362
NH	238	89	7	14	7	30	8	0	48	36	17	494	471	\$146.94	\$69,211
RI	178	51	0	26	7	22	24	9	9	0	0	326	282	\$155.59	\$43,878
VT	60	19	0	20	0	15	8	9	39	0	0	170	200	\$146.94	\$29,389
TOT. REG. I	1,950	973	65	459	28	308	227	121	675	213	223	5,242	5,028		\$459,595
NJ	1,586	718	21	253	29	263	105	84	154	23	120	3,356	3,310	\$95.44	\$315,907
NY *	2,758	1,450	72	606	29	346	266	130	337	12	120	6,126	5,813	\$149.98	\$871,835
PR	261	731	214	898	386	1,158	736	670	1,762	130	69	7,015	6,931	\$39.37	\$272,889
TOT. REG. II	4,605	2,899	307	1,757	444	1,767	1,107	884	2,253	165	309	16,497	16,054		\$1,460,631
DE	148	76	7	6	0	22	8	0	19	0	0	286	263	\$88.63	\$23,309
DC	65	38	0	6	0	0	0	0	19	0	0	128	113	\$281.72	\$31,834
MD	844	527	21	193	7	187	170	66	203	23	34	2,275	2,212	\$90.77	\$200,784
PA	1,147	687	14	346	7	361	153	56	423	94	69	3,357	3,352	\$95.84	\$321,249
VA	909	756	29	353	15	376	89	84	279	36	51	2,977	3,093	\$91.38	\$282,634
WV	166	128	7	47	15	105	24	37	192	23	17	761	802	\$89.04	\$71,413
TOT. REG. III	3,279	2,212	78	951	44	1,051	444	243	1,135	176	171	9,784	9,835		\$931,223
AL	469	770	35	612	58	519	227	149	501	47	51	3,438	3,343	\$68.87	\$230,228
FL	3,744	1,717	64	772	58	346	153	167	462	142	223	7,848	7,626	\$79.52	\$606,407
GA	1,355	1,203	35	519	37	376	162	139	607	95	138	4,666	4,628	\$68.18	\$315,553
KY	541	630	21	452	22	248	186	121	434	36	120	2,811	2,727	\$69.76	\$190,237
MS	410	814	14	632	37	361	186	167	587	59	34	3,301	3,189	\$60.79	\$193,854
NC	1,320	1,228	121	698	109	406	203	140	395	59	69	4,748	4,866	\$56.57	\$275,267
SC	790	718	57	207	15	98	41	93	192	59	103	2,373	2,260	\$59.25	\$133,902
TN	749	1,138	72	659	73	556	291	196	539	95	240	4,608	4,451	\$71.60	\$318,687
TOT. REG. IV	9,378	8,218	419	4,551	409	2,910	1,449	1,172	3,717	592	978	33,793	33,090		\$2,264,135
IL	1,218	547	14	140	7	226	113	66	270	59	138	2,798	2,793	\$153.59	\$428,978
IN	446	273	21	126	22	150	146	47	145	23	51	1,450	1,445	\$65.99	\$95,354
MI	754	445	0	292	29	226	137	84	173	47	17	2,204	2,249	\$95.84	\$215,540
MN	476	267	93	79	15	83	138	130	279	23	0	1,583	1,639	\$79.69	\$130,610
OH	648	401	7	120	7	203	72	75	203	0	34	1,770	1,718	\$105.02	\$180,426
WI	493	292	64	332	51	308	129	130	501	59	17	2,376	2,387	\$86.19	\$205,725
TOT. REG. V	4,035	2,225	199	1,089	131	1,196	735	532	1,571	211	257	12,181	12,231		\$1,256,633
AR	541	547	14	412	29	233	105	84	481	70	51	2,567	2,648	\$89.80	\$237,796
LA	368	324	7	186	15	113	81	93	289	59	0	1,535	1,644	\$147.93	\$243,205
NM	148	101	14	14	15	15	33	19	39	12	0	410	422	\$172.18	\$72,659
OK	356	344	29	160	37	113	162	177	337	23	0	1,738	1,881	\$108.95	\$204,936
TX	2,347	1,959	99	938	124	760	323	271	924	118	189	8,052	8,156	\$104.90	\$855,573
TOT. REG. VI	3,760	3,275	163	1,710	220	1,234	704	644	2,070	282	240	14,302	14,751		\$1,614,169
IA	416	375	29	213	65	135	129	205	712	47	17	2,343	2,289	\$69.64	\$159,403
KS	321	286	43	126	37	248	218	75	529	12	69	1,964	2,033	\$105.34	\$214,157
MO	713	458	7	166	0	128	89	102	462	83	69	2,277	2,607	\$87.72	\$228,693
NE	363	318	14	180	22	165	153	121	337	36	17	1,726	1,755	\$61.03	\$107,107
TOT. REG. VII	1,813	1,437	93	685	124	676	589	503	2,040	178	172	8,310	8,684		\$709,360
CO	820	573	14	166	0	128	97	75	164	36	0	2,073	2,010	\$73.93	\$148,606
MT	125	89	21	26	44	105	89	56	164	0	17	736	805	\$70.64	\$56,864
ND	18	32	14	20	15	105	97	84	67	0	0	452	462	\$74.04	\$34,205
SD	178	95	50	53	15	52	97	47	154	0	0	741	784	\$59.17	\$46,389
UT	529	394	21	120	7	68	32	37	192	70	18	1,488	1,345	\$66.19	\$89,023
WY	71	57	0	26	22	68	8	28	87	0	0	367	395	\$89.02	\$35,162
TOT. REG. VIII	1,741	1,240	120	411	103	526	420	327	828	106	35	5,857	5,801		\$410,249
AZ	915	369	0	166	22	173	81	66	231	59	103	2,185	2,098	\$73.62	\$154,464
CA	4,576	1,864	29	671	30	610	347	205	1,174	248	429	10,183	10,902	\$90.48	\$986,455
HI	173	89	7	33	7	37	24	19	29	0	0	418	405	\$172.79	\$69,982
HI (PACIFIC)	23	19	0	0	7	0	0	19	9	12	17	106	91	\$0.00	\$0
NV	298	159	14	67	0	91	65	47	145	0	51	937	870	\$84.98	\$73,931
TOT. REG. IX	5,985	2,500	50	937	66	911	517	356	1,588	319	600	13,829	14,366		\$1,284,832
AK	107	63	7	26	29	52	41	19	39	0	0	383	373	\$161.45	\$60,222
ID	363	197	7	73	7	52	24	37	240	12	0	1,012	950	\$93.79	\$89,098
OR	517	344	7	198	22	126	89	37	342	81	68	1,831	1,808	\$105.63	\$190,983
TOT. REG. X*	987	604	21	297	58	230	154	93	621	93	68	3,226	3,131		\$340,303
TOTAL	37,533	25,583	1,515	12,847	1,627	10,809	6,346	4,875	16,498	2,335	3,053	123,021	122,971		\$10,731,130

\* Washington State Exempt, New York Partially Exempt.

**ACCREDITED LABORATORIES  
VALIDATION AND FOLLOW-UP SURVEY COUNTS**

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL SURVEYS
CT	0.43	0.32	0.00	0.40	0.03	0.24	0.16	0.11	0.56	0.24	0.59	3
ME	0.08	0.11	0.00	0.03	0.00	0.11	0.03	0.03	0.32	0.16	0.27	1
MA	1.26	1.02	0.24	0.38	0.19	0.75	0.24	0.22	1.58	0.38	1.48	8
NH	0.13	0.16	0.00	0.13	0.05	0.05	0.03	0.00	0.35	0.11	0.19	1
RI	0.03	0.11	0.03	0.11	0.00	0.08	0.03	0.00	0.13	0.11	0.24	1
VT	0.16	0.08	0.00	0.03	0.03	0.11	0.08	0.00	0.16	0.11	0.11	1
TOT. REG. I	2.09	1.80	0.27	1.07	0.29	1.34	0.56	0.35	3.12	1.10	2.87	15
NJ	1.12	1.00	0.05	0.80	0.05	0.86	0.11	0.29	0.78	0.37	1.72	7
NY	0.75	1.15	0.02	0.88	0.00	0.54	0.32	0.16	0.97	0.16	0.02	5
PR	0.11	0.11	0.00	0.11	0.00	0.11	0.00	0.08	0.56	0.35	0.46	2
TOT. REG. II	1.99	2.26	0.08	1.79	0.05	1.51	0.43	0.53	2.31	0.88	2.20	14
DE	0.05	0.03	0.00	0.19	0.00	0.05	0.05	0.00	0.16	0.00	0.21	1
DC	0.08	0.13	0.00	0.08	0.00	0.19	0.05	0.00	0.11	0.00	0.13	1
MD	1.34	1.02	0.03	0.78	0.05	0.62	0.16	0.14	1.28	0.35	0.99	7
PA	1.77	1.56	0.00	0.83	0.02	0.99	0.59	0.24	1.53	1.21	2.79	12
VA	1.43	1.80	0.06	1.55	0.02	1.18	0.45	0.43	2.68	0.70	1.02	11
WV	0.11	0.14	0.03	0.08	0.00	0.11	0.16	0.16	0.59	0.35	0.43	2
TOT. REG. III	4.77	4.67	0.11	3.51	0.10	3.13	1.47	0.97	6.36	2.61	5.58	33
AL	0.99	1.34	0.16	1.21	0.60	1.37	0.60	0.35	1.86	0.62	1.02	10
FL	4.26	4.36	0.28	3.84	0.17	3.45	3.07	1.78	6.77	2.34	4.50	35
GA	1.10	1.56	0.22	1.19	0.33	1.45	0.73	0.48	2.69	0.88	1.50	12
KY	0.43	0.65	0.00	0.51	0.00	0.62	0.29	0.24	1.48	0.67	0.88	6
MS	0.32	0.75	0.03	0.57	0.03	0.43	0.24	0.27	0.94	0.51	0.37	4
NC	2.28	3.25	0.14	2.36	0.19	2.79	1.30	0.68	3.66	1.06	1.66	19
SC	1.50	1.77	0.05	1.77	0.13	0.83	0.51	0.35	1.85	0.43	0.80	10
TN	0.84	1.10	0.32	0.67	0.10	0.88	0.43	0.38	2.28	1.02	1.37	9
TOT. REG. IV	11.71	14.78	1.19	12.10	1.55	11.82	7.16	4.53	21.51	7.53	12.11	106
IL	2.37	2.07	0.22	1.24	0.24	1.24	0.40	0.53	3.16	1.10	2.15	15
IN	1.69	1.13	0.03	1.02	0.16	0.91	0.40	0.54	1.77	0.94	1.40	10
MI	1.74	2.03	0.03	1.37	0.17	1.02	0.51	0.64	2.35	1.23	1.69	13
MN	1.67	3.19	0.41	2.95	0.67	2.14	1.12	0.27	2.05	0.52	0.64	16
OH	2.41	2.41	0.14	1.50	0.25	1.76	1.08	0.67	3.81	1.23	2.36	18
WI	0.59	1.34	0.13	1.26	0.19	0.85	0.48	0.38	2.57	0.85	0.72	9
TOT. REG. V	10.47	12.18	0.95	9.33	1.67	7.92	3.99	3.02	15.71	5.87	8.96	80
AR	0.59	0.86	0.00	0.29	0.05	0.43	0.29	0.21	1.07	0.40	0.46	5
LA	1.80	2.02	0.02	1.19	0.11	0.85	0.51	0.34	2.30	0.81	1.13	11
NM	0.27	0.22	0.03	0.08	0.03	0.24	0.27	0.19	0.73	0.27	0.35	3
OK	0.75	1.29	0.06	0.88	0.08	0.88	0.54	0.40	1.50	0.65	0.86	8
TX	8.56	15.54	0.55	8.32	0.61	5.89	3.16	2.55	8.26	3.10	4.25	61
TOT. REG. VI	11.96	19.92	0.65	10.76	0.87	8.30	4.77	3.70	13.86	5.22	7.05	87
IA	0.81	0.64	0.11	0.70	0.00	0.21	0.19	0.14	0.94	0.46	0.35	5
KS	0.40	0.48	0.05	0.29	0.11	0.27	0.19	0.13	1.18	0.19	0.43	4
MO	1.02	0.89	0.03	0.57	0.08	0.69	0.40	0.21	1.34	0.62	1.23	7
NE	0.13	0.38	0.03	0.30	0.00	0.13	0.08	0.19	0.75	0.30	0.19	2
TOT. REG. VII	2.36	2.39	0.22	1.86	0.19	1.31	0.86	0.67	4.21	1.56	2.20	18
CO	0.70	0.94	0.00	0.48	0.05	0.64	0.35	0.27	1.29	0.54	0.70	6
MT	0.08	0.05	0.00	0.11	0.05	0.11	0.03	0.05	0.35	0.03	0.16	1
ND	0.16	0.32	0.00	0.32	0.05	0.19	0.19	0.03	0.40	0.05	0.16	2
SD	0.05	0.43	0.03	0.35	0.05	0.35	0.24	0.08	0.83	0.08	0.08	3
UT	0.80	0.48	0.00	0.21	0.05	0.27	0.43	0.13	0.78	0.19	0.35	4
WY	0.03	0.19	0.00	0.13	0.05	0.13	0.03	0.00	0.35	0.03	0.08	1
TOT. REG. VIII	1.82	2.42	0.03	1.61	0.32	1.69	1.26	0.56	4.00	0.91	1.53	16
AZ	1.07	1.50	0.00	0.62	0.11	0.77	0.62	0.45	1.42	0.64	1.02	8
CA	4.06	3.74	0.18	2.94	0.38	2.62	1.74	0.85	5.73	2.93	5.51	31
HI	0.19	0.18	0.00	0.13	0.05	0.03	0.05	0.08	0.27	0.08	0.16	1
HI (PACIFIC)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
NV	0.32	0.35	0.05	0.43	0.08	0.32	0.30	0.23	0.56	0.21	0.43	3
TOT. REG. IX	5.64	5.76	0.23	4.11	0.62	3.74	2.71	1.61	7.99	3.87	7.12	43
AK	0.08	0.30	0.00	0.27	0.00	0.05	0.13	0.03	0.43	0.08	0.05	1
ID	0.21	0.21	0.00	0.19	0.03	0.08	0.16	0.16	0.32	0.05	0.24	2
OR	0.59	0.35	0.00	0.48	0.08	0.38	0.35	0.22	1.15	0.32	0.56	4
TOT. REG. X	0.89	0.86	0.00	0.94	0.11	0.51	0.64	0.40	1.90	0.46	0.86	8
TOTAL	54	67	4	47	6	41	24	16	81	30	50	420

Lab classes reflect less than full surveys due to sample size. Surveys should be conducted in Laboratory classes with highest Numerics.

For example, Connecticut will conduct the 3 surveys shown in "Total Survey" column as follows: One A lab, one C lab and one J lab.

Total survey column reflects total workload.

ACCREDITED LABORATORIES  
VALIDATION AND FOLLOW-UP SURVEY HOURS + COSTS

Attachment A-4

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL HOURS	TOTAL ADJUSTED HOURS	HOURLY RATES	TOTAL COSTS
CT	5	4	0	5	0	3	2	2	10	5	19	56	54	\$92.51	\$5,035
ME	1	1	0	0	0	2	0	0	6	4	9	23	24	\$74.89	\$1,791
MA	14	11	3	5	3	11	4	4	29	8	48	139	138	\$70.25	\$9,683
NH	2	2	0	2	1	1	0	0	6	2	6	22	21	\$146.94	\$3,035
RI	0	1	0	1	0	1	0	0	2	2	8	17	16	\$155.59	\$2,544
VT	2	1	0	0	0	2	1	0	3	2	3	15	17	\$146.94	\$2,488
TOT. REG. I	23	20	4	13	4	19	9	6	57	25	93	272	270		\$24,576
NJ	13	11	1	10	1	12	2	5	14	8	56	132	131	\$95.44	\$12,506
NY	8	13	0	11	0	8	5	3	18	4	1	70	67	\$149.98	\$10,040
PR	1	1	0	1	0	2	0	1	10	8	15	39	39	\$39.37	\$1,551
TOT. REG. II	22	25	1	22	1	21	7	9	42	20	71	241	237		\$24,097
DE	1	0	0	2	0	1	1	0	3	0	7	15	14	\$88.63	\$1,212
DC	1	1	0	1	0	3	1	0	2	0	4	13	12	\$281.72	\$3,419
MD	15	11	0	10	1	9	2	2	23	8	32	114	112	\$90.77	\$10,164
PA	20	17	0	10	0	14	9	4	28	27	90	220	220	\$95.84	\$21,088
VA	16	20	1	19	0	17	7	8	49	16	33	185	190	\$91.38	\$17,345
WV	1	2	0	1	0	2	2	3	11	8	14	43	45	\$89.04	\$4,029
TOT. REG. III	53	52	1	44	1	44	22	17	115	58	180	590	593		\$57,257
AL	11	15	2	15	8	19	9	6	34	14	33	166	162	\$68.87	\$11,187
FL	48	48	4	48	2	49	47	31	123	52	145	597	584	\$79.52	\$46,457
GA	12	17	3	15	4	21	11	8	49	20	48	209	208	\$68.18	\$14,175
KY	5	7	0	6	0	9	4	4	27	15	29	106	104	\$69.76	\$7,253
MS	4	8	0	7	0	6	4	5	17	11	12	75	73	\$60.79	\$4,413
NC	26	36	2	30	3	39	20	12	66	24	54	311	318	\$56.57	\$17,961
SC	17	20	1	22	2	12	8	6	34	10	26	156	150	\$59.25	\$8,878
TN	9	12	4	8	1	13	7	7	41	23	44	170	166	\$71.60	\$11,866
TOT. REG. IV	131	164	16	152	21	167	109	79	390	167	391	1789	1764		\$122,190
IL	27	23	3	15	3	17	6	9	57	25	69	255	255	\$153.59	\$39,201
IN	19	13	0	13	2	13	6	9	32	21	45	173	173	\$65.99	\$11,430
MI	19	23	0	17	2	15	8	11	43	27	55	220	223	\$95.84	\$21,374
MN	19	35	5	37	9	30	17	5	37	11	21	227	235	\$79.69	\$18,733
OH	27	27	2	19	3	25	16	12	69	27	76	304	298	\$105.02	\$31,279
WI	7	15	2	16	3	12	7	7	47	19	23	157	158	\$86.19	\$13,589
TOT. REG. V	117	135	13	117	23	112	61	53	285	131	289	1336	1342		\$135,606
AR	7	10	0	4	1	6	4	4	19	9	15	78	80	\$89.80	\$7,187
LA	20	22	0	15	2	12	8	6	42	18	37	181	191	\$147.93	\$28,310
NM	3	2	0	1	0	3	4	3	13	6	11	48	49	\$172.18	\$8,487
OK	8	14	1	11	1	13	8	7	27	14	28	133	142	\$108.95	\$15,433
TX	96	173	7	104	8	83	48	45	150	69	137	921	931	\$104.90	\$97,629
TOT. REG. VI	134	221	9	135	12	118	73	65	251	116	228	1361	1393		\$157,046
IA	9	7	1	9	0	3	3	2	17	10	11	73	72	\$69.64	\$5,022
KS	5	5	1	4	1	4	3	2	21	4	14	64	66	\$105.34	\$6,971
MO	11	10	0	7	1	10	6	4	24	14	40	127	141	\$87.72	\$12,397
NE	1	4	0	4	0	2	1	3	14	7	6	42	43	\$61.03	\$2,650
TOT. REG. VII	26	27	3	23	3	19	13	12	76	35	71	307	323		\$27,040
CO	8	10	0	6	1	9	5	5	23	12	23	102	100	\$73.93	\$7,392
MT	1	1	0	1	1	2	0	1	6	1	5	19	20	\$70.64	\$1,382
ND	2	4	0	4	1	3	3	0	7	1	5	30	31	\$74.04	\$2,284
SD	1	5	0	4	1	5	4	1	15	2	3	40	42	\$59.17	\$2,502
UT	9	5	0	3	1	4	7	2	14	4	11	60	55	\$66.19	\$3,637
WY	0	2	0	2	1	2	0	0	6	1	3	17	18	\$89.02	\$1,570
TOT. REG. VIII	20	27	0	20	4	24	19	10	72	20	49	267	265		\$18,767
AZ	12	17	0	8	1	11	9	8	26	14	33	139	135	\$73.62	\$9,962
CA	45	42	2	37	5	37	27	15	104	65	178	559	588	\$90.48	\$53,225
HI	2	2	0	2	1	0	1	1	5	2	5	21	21	\$172.79	\$3,573
HI(PACIFIC)	0	0	0	0	0	0	0	0	0	0	0	0	0	\$0.00	\$0
NV	4	4	1	5	1	5	5	4	10	5	14	57	54	\$84.98	\$4,580
TOT. REG. IX	63	65	3	52	9	53	42	29	145	86	230	776	798		\$71,340
AK	1	3	0	3	0	1	2	0	8	2	2	22	22	\$161.45	\$3,580
ID	2	2	0	2	0	1	2	3	6	1	8	29	28	\$93.79	\$2,603
OR	7	4	0	5	1	4	4	2	13	4	6	50	49	\$105.63	\$5,166
TOT. REG. X	10	10	0	11	1	6	8	6	26	7	16	101	99		\$11,349
TOTAL	601	746	50	590	79	584	362	286	1461	663	1619	7041	7085		\$649,268



# SUPPORT HOURS AND FUNDING

Attachment B

REGION STATE	TOTAL SURVEY HOURS	SUPERV. HOURS	UNIT COST	TOTAL SUPERVISORY	CLERICAL HOURS	UNIT COST	TOTAL CLERICAL	TOTAL SUPERV. + CLERICAL	NON SURVEYOR PROF. [1]	TOTAL SUPPORT
CT	1,337	191	\$92.51	\$17,669	445	\$92.51	\$41,166	\$58,835	\$20,620	\$79,455
ME	635	91	\$74.89	\$6,815	211	\$74.89	\$15,801	\$22,616	\$7,923	\$30,539
MA	2,319	331	\$70.25	\$23,252	772	\$70.25	\$54,232	\$77,484	\$27,150	\$104,634
NH	492	70	\$146.94	\$10,286	164	\$146.94	\$24,099	\$34,385	\$12,041	\$46,426
RI	298	43	\$155.59	\$6,691	99	\$155.59	\$15,404	\$22,095	\$7,737	\$29,832
VT	217	31	\$146.94	\$4,555	72	\$146.94	\$10,580	\$15,135	\$5,313	\$20,448
TOT. REC	5,298	757		\$69,268	1,763		\$161,281	\$230,549	\$80,785	\$311,334
NJ	3,441	491	\$95.44	\$46,861	1,146	\$95.44	\$109,374	\$156,235	\$54,736	\$210,971
NY	5,880	840	\$149.98	\$125,983	1,958	\$149.98	\$293,661	\$419,644	\$146,979	\$566,623
PR	6,970	995	\$39.37	\$39,175	2,321	\$39.37	\$91,383	\$130,558	\$45,740	\$176,298
TOT. REC	16,291	2,326		\$212,019	5,425		\$494,419	\$706,438	\$247,455	\$953,892
DE	277	40	\$88.63	\$3,545	92	\$88.63	\$8,154	\$11,699	\$4,087	\$15,786
DC	125	18	\$281.72	\$5,071	42	\$281.72	\$11,832	\$16,903	\$5,876	\$22,779
MD	2,324	332	\$90.77	\$30,136	774	\$90.77	\$70,256	\$100,392	\$35,158	\$135,550
PA	3,572	510	\$95.84	\$48,877	1,189	\$95.84	\$113,951	\$162,828	\$57,056	\$219,885
VA	3,283	469	\$91.38	\$42,857	1,093	\$91.38	\$99,877	\$142,734	\$49,997	\$192,730
WV	847	121	\$89.04	\$10,774	282	\$89.04	\$25,110	\$35,884	\$12,574	\$48,458
TOT. REC	10,428	1,490		\$141,260	3,472		\$329,181	\$470,441	\$164,747	\$635,187
AL	3,505	501	\$68.87	\$34,503	1,167	\$68.87	\$80,370	\$114,873	\$40,236	\$155,108
FL	8,210	1,172	\$79.52	\$93,195	2,734	\$79.52	\$217,403	\$310,598	\$108,811	\$419,409
GA	4,836	691	\$68.18	\$47,115	1,610	\$68.18	\$109,775	\$156,890	\$54,955	\$211,845
KY	2,831	404	\$69.76	\$28,183	943	\$69.76	\$65,784	\$93,967	\$32,915	\$126,882
MS	3,262	466	\$60.79	\$28,327	1,086	\$60.79	\$66,016	\$94,343	\$33,045	\$127,388
NC	5,184	740	\$56.57	\$41,861	1,726	\$56.57	\$97,639	\$139,500	\$48,871	\$188,371
SC	2,410	344	\$59.25	\$20,382	802	\$59.25	\$47,518	\$67,900	\$23,797	\$91,696
TN	4,617	659	\$71.60	\$47,184	1,537	\$71.60	\$110,048	\$157,232	\$55,092	\$212,324
TOT. REC	34,854	4,977		\$340,750	11,605		\$794,553	\$1,135,303	\$397,721	\$1,533,023
IL	3,048	435	\$153.59	\$66,812	1,015	\$153.59	\$155,894	\$222,706	\$78,030	\$300,736
IN	1,618	231	\$65.99	\$15,243	539	\$65.99	\$35,568	\$50,811	\$17,797	\$68,608
MI	2,472	353	\$95.84	\$33,831	823	\$95.84	\$78,875	\$112,706	\$39,486	\$152,192
MN	1,874	268	\$79.69	\$21,357	624	\$79.69	\$49,726	\$71,083	\$24,891	\$95,973
OH	2,016	288	\$105.02	\$30,246	671	\$105.02	\$70,469	\$100,715	\$35,284	\$135,999
WI	2,545	363	\$86.19	\$31,285	847	\$86.19	\$72,999	\$104,284	\$36,552	\$140,837
TOT. REC	13,573	1,938		\$198,774	4,519		\$463,531	\$662,305	\$232,040	\$894,345
AR	2,728	390	\$89.80	\$35,023	908	\$89.80	\$81,540	\$116,563	\$40,831	\$157,394
LA	1,835	262	\$147.93	\$38,759	611	\$147.93	\$90,388	\$129,147	\$45,253	\$174,400
NM	471	67	\$172.18	\$11,536	157	\$172.18	\$27,032	\$38,568	\$13,524	\$52,092
OK	2,023	289	\$108.95	\$31,487	674	\$108.95	\$73,433	\$104,920	\$36,728	\$141,648
TX	9,087	1,298	\$104.90	\$136,162	3,026	\$104.90	\$317,431	\$453,593	\$158,867	\$612,460
TOT. REC	16,144	2,306		\$252,967	5,376		\$589,824	\$842,791	\$295,203	\$1,137,993
IA	2,361	337	\$69.64	\$23,468	786	\$69.64	\$54,736	\$78,204	\$27,404	\$105,608
KS	2,099	300	\$105.34	\$31,602	699	\$105.34	\$73,633	\$105,235	\$36,855	\$142,090
MO	2,748	392	\$87.72	\$34,387	915	\$87.72	\$80,266	\$114,653	\$40,182	\$154,835
NE	1,798	257	\$61.03	\$15,685	599	\$61.03	\$36,557	\$52,242	\$18,293	\$70,534
TOT. REC	9,007	1,286		\$105,142	2,999		\$245,192	\$350,334	\$122,733	\$473,067
CO	2,110	301	\$73.93	\$22,254	703	\$73.93	\$51,975	\$74,229	\$26,000	\$100,229
MT	825	118	\$70.64	\$8,335	275	\$70.64	\$19,426	\$27,761	\$9,708	\$37,468
ND	493	70	\$74.04	\$5,183	164	\$74.04	\$12,142	\$17,325	\$6,082	\$23,407
SD	826	118	\$59.17	\$6,982	275	\$59.17	\$16,272	\$23,254	\$8,148	\$31,402
UT	1,400	200	\$66.19	\$13,238	466	\$66.19	\$30,844	\$44,082	\$15,443	\$59,525
WY	413	59	\$89.02	\$5,252	137	\$89.02	\$12,195	\$17,447	\$6,122	\$23,569
TOT. REC	6,066	866		\$61,244	2,020		\$142,854	\$204,098	\$71,503	\$275,601
AZ	2,233	319	\$73.62	\$23,486	744	\$73.62	\$54,777	\$78,263	\$27,404	\$105,667
CA	11,490	1,641	\$90.48	\$148,484	3,826	\$90.48	\$346,191	\$494,675	\$173,280	\$667,955
HI	426	61	\$172.79	\$10,540	142	\$172.79	\$24,537	\$35,077	\$12,259	\$47,336
HI (PACIFI	91	13	\$0.00	\$0	30	\$0.00	\$0	\$0	\$0	\$0
NV	924	132	\$84.98	\$11,217	308	\$84.98	\$26,173	\$37,390	\$13,085	\$50,476
TOT. REC	15,164	2,166		\$193,727	5,050		\$451,678	\$645,405	\$226,029	\$871,434
AK	395	56	\$161.45	\$9,041	132	\$161.45	\$21,312	\$30,353	\$10,634	\$40,986
ID	978	140	\$93.79	\$13,130	326	\$93.79	\$30,575	\$43,705	\$15,284	\$58,988
OR	1,857	265	\$105.63	\$27,992	618	\$105.63	\$65,281	\$93,273	\$32,691	\$125,964
TOT. REC	3,230	461		\$50,163	1,076		\$117,167	\$167,330	\$58,609	\$225,939
TOTAL	130,056	18,573		\$1,625,314	43,305		\$3,789,679	\$5,414,993	\$1,896,823	\$7,311,816

[1] FOR EVERY 6 SURVEYORS, THE STATE IS AUTHORIZED ONE NON-SURVEYOR PROFESSIONAL FTE.

Attachment C					
REGION STATE	NUMBER OF LABS THAT FAILED	UNSUCCESSFUL PT EVENTS	REVIEW TIME (2HRSEACH)	UNIT COST	ESTIMATED TOTAL COST
CT	1	1	2	\$92.51	\$ 185
ME	5	13	26	\$74.89	\$ 1,947
MA	3	4	8	\$70.25	\$ 562
NH	0	0	0	\$146.94	\$ -
RI	1	2	4	\$155.59	\$ 622
VT	0	0	0	\$146.94	\$ -
TOT. REG. I	10	20	40		\$ 3,316
NJ	7	43	86	\$95.44	\$ 8,208
NY	51	179	358	\$149.98	\$ 53,693
PR	64	405	810	\$39.37	\$ 31,892
TOT. REG. II	122	627	1,254		\$ 93,793
DE	1	1	2	\$88.63	\$ 177
DC	0	0	0	\$281.72	\$ -
MD	8	16	32	\$90.77	\$ 2,905
PA	12	34	68	\$95.84	\$ 6,517
VA	11	13	26	\$91.38	\$ 2,376
WV	2	2	4	\$89.04	\$ 356
TOT. REG. III	34	66	132		\$ 12,331
AL	23	76	152	\$68.87	\$ 10,468
FL	25	54	108	\$79.52	\$ 8,588
GA	28	49	98	\$68.18	\$ 6,682
KY	21	27	54	\$69.76	\$ 3,767
MS	27	81	162	\$60.79	\$ 9,848
NC	13	39	78	\$56.57	\$ 4,412
SC	16	57	114	\$59.25	\$ 6,754
TN	23	58	116	\$71.60	\$ 8,305
TOT. REG. IV	176	441	882		\$ 58,824
IL	7	11	22	\$153.59	\$ 3,379
IN	3	16	32	\$65.99	\$ 2,112
MI	18	40	80	\$95.84	\$ 7,667
MN	8	17	34	\$79.69	\$ 2,709
OH	0	0	0	\$105.02	\$ -
WI	6	7	14	\$86.19	\$ 1,207
TOT. REG. V	42	91	182		\$ 17,074
AR	9	11	22	\$89.80	\$ 1,976
LA	7	11	22	\$147.93	\$ 3,255
NM	2	2	4	\$172.18	\$ 689
OK	10	21	42	\$108.95	\$ 4,576
TX	37	102	204	\$104.90	\$ 21,400
TOT. REG. VI	65	147	294		\$ 31,896
IA	16	46	92	\$69.64	\$ 6,407
KS	5	6	12	\$105.34	\$ 1,264
MO	10	24	48	\$87.72	\$ 4,211
NE	8	11	22	\$61.03	\$ 1,343
TOT. REG. VII	39	87	174		\$ 13,225
CO	10	35	70	\$73.93	\$ 5,175
MT	5	9	18	\$70.64	\$ 1,271
ND	1	1	2	\$74.04	\$ 148
SD	4	5	10	\$59.17	\$ 592
UT	5	5	10	\$66.19	\$ 662
WY	4	5	10	\$89.02	\$ 890
TOT. REG. VIII	29	60	120		\$ 8,738
AZ	7	15	30	\$73.62	\$ 2,209
CA	51	140	280	\$90.48	\$ 25,335
HI	0	0	0	\$172.79	\$ -
HI (PACIFIC)	1	2	4	\$0.00	\$ -
NV	4	20	40	\$84.98	\$ 3,399
TOT. REG. IX	63	177	354		\$ 30,943
AK	3	7	14	\$161.45	\$ 2,260
ID	11	34	68	\$93.79	\$ 6,378
OR	9	12	24	\$105.63	\$ 2,535
TOT. REG. X	23	53	106		\$ 11,173
TOTALS	603	1,769	3,538		\$ 281,313

NOTE: NATIONAL AVERAGE LABORATORY FAILURE RATE IS 3.47% (603 LABS THAT FAILED / 17404 TOTAL LABS)  
NOTE: AVERAGE TEST FAILURE RATE IS 2.93 PER FAILED LAB (1,769 UNSUCCESSFUL EVENTS / 603 LABS THAT FAILED)

**ALL COUNTS FROM OSCAR REPORT 163**

**\$96.03**

**TOTAL FY 2020 FUNDING**

REGION STATE	TOTAL COST NONACCREDITED SURVEYS	TOTAL COST ACCREDITED SURVEYS	TOTAL SUPPORT COSTS	TOTAL PROFICIENCY	TOTAL BUDGET
CT	\$118,686	\$5,035	\$79,455	\$185	\$203,361
ME	\$37,069	\$1,791	\$30,539	\$1,947	\$71,346
MA	\$161,362	\$9,683	\$104,634	\$562	\$276,241
NH	\$69,211	\$3,035	\$46,426	\$0	\$118,672
RI	\$43,878	\$2,544	\$29,832	\$622	\$76,876
VT	\$29,389	\$2,488	\$20,448	\$0	\$52,325
<b>TOT. REG. I</b>	<b>\$459,595</b>	<b>\$24,576</b>	<b>\$311,334</b>	<b>\$3,316</b>	<b>\$798,821</b>
NJ	\$315,907	\$12,506	\$210,971	\$8,208	\$547,592
NY	\$871,835	\$10,040	\$566,623	\$53,693	\$1,502,191
PR	\$272,889	\$1,551	\$176,298	\$31,892	\$482,630
<b>TOT. REG. II</b>	<b>\$1,460,631</b>	<b>\$24,097</b>	<b>\$953,892</b>	<b>\$93,793</b>	<b>\$2,532,413</b>
DE	\$23,309	\$1,212	\$15,786	\$177	\$40,484
DC	\$31,834	\$3,419	\$22,779	\$0	\$58,032
MD	\$200,784	\$10,164	\$135,550	\$2,905	\$349,403
PA	\$321,249	\$21,088	\$219,885	\$6,517	\$568,739
VA	\$282,634	\$17,345	\$192,730	\$2,376	\$495,085
WV	\$71,413	\$4,029	\$48,458	\$356	\$124,256
<b>TOT. REG. III</b>	<b>\$931,223</b>	<b>\$57,257</b>	<b>\$635,187</b>	<b>\$12,331</b>	<b>\$1,635,998</b>
AL	\$230,228	\$11,187	\$155,108	\$10,468	\$406,991
FL	\$606,407	\$46,457	\$419,409	\$8,588	\$1,080,861
GA	\$315,553	\$14,175	\$211,845	\$6,682	\$548,255
KY	\$190,237	\$7,253	\$126,882	\$3,767	\$328,139
MS	\$193,854	\$4,413	\$127,388	\$9,848	\$335,503
NC	\$275,267	\$17,961	\$188,371	\$4,412	\$486,011
SC	\$133,902	\$8,878	\$91,696	\$6,754	\$241,230
TN	\$318,687	\$11,866	\$212,324	\$8,305	\$551,182
<b>TOT. REG. IV</b>	<b>\$2,264,135</b>	<b>\$122,190</b>	<b>\$1,533,023</b>	<b>\$58,824</b>	<b>\$3,978,172</b>
IL	\$428,978	\$39,201	\$300,736	\$3,379	\$772,294
IN	\$95,354	\$11,430	\$68,608	\$2,112	\$177,504
MI	\$215,540	\$21,374	\$152,192	\$7,667	\$396,773
MN	\$130,610	\$18,733	\$95,973	\$2,709	\$248,025
OH	\$180,426	\$31,279	\$135,999	\$0	\$347,704
WI	\$205,725	\$13,589	\$140,837	\$1,207	\$361,358
<b>TOT. REG. V</b>	<b>\$1,256,633</b>	<b>\$135,606</b>	<b>\$894,345</b>	<b>\$17,074</b>	<b>\$2,303,658</b>
AR	\$237,796	\$7,187	\$157,394	\$1,976	\$404,353
LA	\$243,205	\$28,310	\$174,400	\$3,255	\$449,170
NM	\$72,659	\$8,487	\$52,092	\$689	\$133,927
OK	\$204,936	\$15,433	\$141,648	\$4,576	\$366,593
TX	\$855,573	\$97,629	\$612,460	\$21,400	\$1,587,062
<b>TOT. REG. VI</b>	<b>\$1,614,169</b>	<b>\$157,046</b>	<b>\$1,137,993</b>	<b>\$31,896</b>	<b>\$2,941,104</b>
IA	\$159,403	\$5,022	\$105,608	\$6,407	\$276,440
KS	\$214,157	\$6,971	\$142,090	\$1,264	\$364,482
MO	\$228,693	\$12,397	\$154,835	\$4,211	\$400,136
NE	\$107,107	\$2,650	\$70,534	\$1,343	\$181,634
<b>TOT. REG. VII</b>	<b>\$709,360</b>	<b>\$27,040</b>	<b>\$473,067</b>	<b>\$13,225</b>	<b>\$1,222,692</b>
CO	\$148,606	\$7,392	\$100,229	\$5,175	\$261,402
MT	\$56,864	\$1,382	\$37,468	\$1,271	\$96,985
ND	\$34,205	\$2,284	\$23,407	\$148	\$60,044
SD	\$46,389	\$2,502	\$31,402	\$592	\$80,885
UT	\$89,023	\$3,637	\$59,525	\$662	\$152,847
WY	\$35,162	\$1,570	\$23,569	\$890	\$61,191
<b>TOT. REG. VIII</b>	<b>\$410,249</b>	<b>\$18,767</b>	<b>\$275,601</b>	<b>\$8,738</b>	<b>\$713,355</b>
AZ	\$154,464	\$9,962	\$105,667	\$2,209	\$272,302
CA	\$986,455	\$53,225	\$667,955	\$25,335	\$1,732,970
HI	\$69,982	\$3,573	\$47,336	\$0	\$120,891
HI (PACIFIC)	\$0	\$0	\$0	\$0	\$0
NV	\$73,931	\$4,580	\$50,476	\$3,399	\$132,386
<b>TOT. REG. IX</b>	<b>\$1,284,832</b>	<b>\$71,340</b>	<b>\$871,434</b>	<b>\$30,943</b>	<b>\$2,258,549</b>
AK	\$60,222	\$3,580	\$40,986	\$2,260	\$107,048
ID	\$89,098	\$2,603	\$58,988	\$6,378	\$157,067
OR	\$190,983	\$5,166	\$125,964	\$2,535	\$324,648
<b>TOT. REG. X</b>	<b>\$340,303</b>	<b>\$11,349</b>	<b>\$225,939</b>	<b>\$11,173</b>	<b>\$588,764</b>
<b>TOTAL</b>	<b>\$10,731,130</b>	<b>\$649,268</b>	<b>\$7,311,816</b>	<b>\$281,313</b>	<b>\$18,973,527</b>

\$18,973,527

## STATE STAFFING LEVELS - SURVEYORS

## ATTACHMENT E

	NON ACCR. SURVEYS (1 YR CYCLE)	VALIDATION WORKLOAD (1 YR)	COMPLAINTS FOLLOWUPS (1 YR)	TOTAL SURVEYS (1 YR)	TOTAL ONSITE FTE's
CT	101	3	7	111	0.9
ME	164	1	11	176	1.5
MA	32	8	2	42	0.4
NH	36	1	3	39	0.3
RI	25	1	2	28	0.2
VT	12	1	1	14	0.1
<b>TOT.REG.1</b>	<b>370</b>	<b>15</b>	<b>26</b>	<b>411</b>	<b>3.4</b>
NJ	251	7	18	276	2.3
NY	463	5	32	500	4.2
PR	442	2	31	475	4.0
<b>TOT.REG.2</b>	<b>1157</b>	<b>14</b>	<b>81</b>	<b>1252</b>	<b>30.6</b>
DE	22	1	2	25	0.2
DC	10	1	1	11	0.1
MD	167	7	12	185	1.5
PA	241	12	17	269	2.2
VA	216	11	15	243	2.0
WV	51	2	4	56	0.5
<b>TOT.REG.3</b>	<b>706</b>	<b>33</b>	<b>49</b>	<b>789</b>	<b>6.6</b>
AL	237	10	17	263	2.2
FL	590	35	41	666	5.5
GA	332	12	23	367	3.1
KY	192	6	13	212	1.8
MS	226	4	16	246	2.1
NC	345	19	24	389	3.2
SC	172	10	12	194	1.6
TN	314	9	22	345	2.9
<b>TOT.REG.4</b>	<b>2408</b>	<b>106</b>	<b>169</b>	<b>2682</b>	<b>22.4</b>
IL	202	15	14	231	1.9
IN	102	10	7	119	1.0
MI	161	13	11	185	1.5
MN	110	16	8	133	1.1
OH	128	18	9	155	1.3
WI	161	9	11	181	1.5
<b>TOT.REG.5</b>	<b>864</b>	<b>80</b>	<b>60</b>	<b>1005</b>	<b>8.4</b>
AR	177	5	12	194	1.6
LA	106	11	7	125	1.0
NM	30	3	2	35	0.3
OK	118	8	8	134	1.1
TX	576	61	40	678	5.6
<b>TOT.REG.6</b>	<b>1007</b>	<b>87</b>	<b>71</b>	<b>1165</b>	<b>9.7</b>
IA	153	5	11	169	1.4
KS	127	4	9	140	1.2
MO	157	7	11	175	1.5
NE	117	2	8	128	1.1
<b>TOT.REG.7</b>	<b>555</b>	<b>18</b>	<b>39</b>	<b>611</b>	<b>5.1</b>
CO	155	6	11	172	1.4
MT	48	1	3	52	0.4
ND	28	2	2	32	0.3
SD	51	3	4	57	0.5
UT	108	4	8	119	1.0
WY	25	1	2	28	0.2
<b>TOT.REG.8</b>	<b>414</b>	<b>16</b>	<b>29</b>	<b>459</b>	<b>3.8</b>
AZ	156	8	11	175	1.5
CA	737	31	52	819	6.8
HI	31	1	2	35	0.3
HI (Pacific)	6	0	0	7	0.1
NV	64	3	5	72	0.6
<b>TOT.REG.9</b>	<b>996</b>	<b>43</b>	<b>70</b>	<b>1109</b>	<b>9.2</b>
AK	27	1	2	31	0.3
ID	72	2	5	79	0.7
OR	126	4	9	139	1.2
<b>TOT.REG.10</b>	<b>225</b>	<b>8</b>	<b>16</b>	<b>249</b>	<b>2.1</b>
<b>TOTAL</b>	<b>8702</b>	<b>420</b>	<b>609</b>	<b>9731</b>	<b>81.1</b>

Note: Staff set at that level consistent with the minimum performance level of 120 surveys per surveyor.

ATTACHMENT F

***ALTERNATIVE QUALITY ASSESSMENT SURVEYS (AQAS)  
(POTENTIAL UNIVERSE)***

Publication of the Final Rule, CMS - 2226 -F makes it necessary to conduct on-site surveys of all eligible laboratories during the current two year survey cycle. As a result, AQAS surveys will not be performed during FY 2020.

**AVERAGE HOURS PER SURVEY  
10/1/16 THROUGH 9/30/18**

	LVA	A	B	C	D	E	F	G	H	I	J	AVERAGE HOURS PER SURVEY	INITIAL SURVEY COUNTS
CT	7.11	8.75	13.31	8.14	15.00	12.47	10.12	12.50	26.81	21.68	0.00	8.94	217
MA	6.80	7.39	7.14	7.68	7.50	7.66	8.55	8.85	10.64	11.13	15.56	8.11	315
ME	6.91	9.00	0.00	5.50	4.50	21.10	6.80	9.00	10.13	7.25	0.00	9.23	59
NH	6.99	8.00	12.25	8.75	25.12	9.05	8.25	0.00	23.50	22.62	22.75	9.96	72
RI	7.46	8.10	0.00	7.41	7.00	5.87	8.00	51.00	24.50	0.00	0.00	8.89	44
VT	11.27	12.25	12.75	18.25	0.00	20.25	0.00	12.25	25.43	0.00	0.00	15.63	25
REG 1	<b>7.15</b>	<b>7.91</b>	<b>9.86</b>	<b>8.26</b>	<b>14.04</b>	<b>11.65</b>	<b>8.62</b>	<b>13.58</b>	<b>14.26</b>	<b>14.96</b>	<b>16.11</b>	<b>8.93</b>	<b>732</b>
NJ	9.50	10.65	19.25	12.10	17.75	13.45	11.84	15.08	26.96	32.91	59.83	12.12	496
NY	12.86	14.28	14.21	14.28	15.06	14.91	15.69	15.89	19.68	14.75	29.85	13.99	957
PR	10.39	11.26	12.03	11.46	11.60	11.86	11.98	11.75	12.99	21.54	34.12	12.14	869
VI *	18.20	19.16	14.50	17.50	0.00	0.00	0.00	21.00	24.75	0.00	0.00	19.30	13
REG 2	<b>12.13</b>	<b>12.85</b>	<b>13.28</b>	<b>12.87</b>	<b>12.18</b>	<b>12.69</b>	<b>12.86</b>	<b>12.72</b>	<b>14.80</b>	<b>23.25</b>	<b>44.20</b>	<b>13.11</b>	<b>2,353</b>
DC	19.83	18.29	0.00	38.00	0.00	0.00	0.00	0.00	34.75	0.00	0.00	21.67	21
DE	6.32	6.20	6.00	6.50	0.00	6.50	37.00	0.00	6.50	0.00	0.00	7.02	42
MD	10.49	12.85	18.30	13.48	9.25	9.46	9.98	14.29	12.21	18.75	63.50	12.17	318
PA	7.32	7.47	7.12	6.68	7.92	9.41	6.82	8.34	14.93	18.69	13.43	8.50	602
VA	11.22	11.90	13.17	12.40	9.33	12.46	10.18	14.20	16.59	27.58	52.87	12.61	433
WV	13.69	15.02	20.50	13.17	16.50	13.01	13.50	15.33	23.77	24.58	16.00	16.38	99
REG 3	<b>9.54</b>	<b>10.64</b>	<b>12.43</b>	<b>10.40</b>	<b>8.76</b>	<b>10.71</b>	<b>9.50</b>	<b>12.61</b>	<b>16.53</b>	<b>20.80</b>	<b>41.17</b>	<b>11.10</b>	<b>1,515</b>
AL	10.96	11.91	10.95	12.54	11.37	12.60	13.63	13.34	17.27	18.00	65.25	13.10	464
FL	9.44	9.55	13.06	10.68	9.35	11.78	9.88	11.07	13.55	16.12	25.21	10.14	1,175
GA	9.59	11.05	8.53	10.15	10.91	10.34	11.53	9.37	13.09	16.50	42.03	11.01	668
KY	9.39	9.64	7.20	9.00	10.16	9.20	9.48	8.47	14.26	12.83	20.62	10.12	372
MS	9.86	9.96	9.62	9.64	12.65	11.70	13.65	16.51	20.20	28.95	69.00	12.70	457
NC	9.71	9.68	11.25	10.46	15.79	12.95	15.77	15.04	22.47	17.00	89.68	12.04	549
SC	6.48	6.62	7.87	7.10	8.00	7.31	7.00	7.15	8.73	10.16	29.10	7.39	309
TN	13.17	14.40	14.39	13.83	12.75	14.67	14.87	18.71	16.45	10.75	28.30	14.74	594
REG 4	<b>9.66</b>	<b>10.48</b>	<b>10.87</b>	<b>10.83</b>	<b>12.24</b>	<b>12.05</b>	<b>12.65</b>	<b>13.03</b>	<b>16.31</b>	<b>17.08</b>	<b>35.82</b>	<b>11.46</b>	<b>4,588</b>
IL	10.82	11.80	9.93	12.05	8.75	13.77	17.08	20.79	13.58	14.00	17.57	12.08	369
IN	10.07	10.88	14.00	12.84	10.08	9.93	11.23	8.85	12.73	17.62	15.00	10.94	208
MI	9.76	10.09	0.00	10.63	15.31	12.96	11.07	9.86	12.97	26.00	0.00	10.84	263
MN	9.95	13.05	12.75	13.10	16.25	16.25	19.64	21.66	19.83	31.50	0.00	14.26	242
OH	9.39	11.30	0.00	11.58	35.00	11.56	11.11	10.90	12.34	0.00	21.62	10.77	258
WI	10.41	12.07	13.47	12.16	11.91	12.13	13.48	15.41	16.52	21.55	14.75	12.84	303
REG 5	<b>10.13</b>	<b>11.51</b>	<b>12.71</b>	<b>11.85</b>	<b>13.62</b>	<b>12.55</b>	<b>14.15</b>	<b>15.53</b>	<b>15.51</b>	<b>21.27</b>	<b>17.58</b>	<b>11.99</b>	<b>1,643</b>
AR	13.12	12.75	14.60	12.83	12.95	14.38	16.35	20.77	25.90	39.92	73.08	16.26	393
LA	11.11	11.90	16.25	13.34	9.75	12.98	15.64	49.07	40.67	30.50	0.00	18.68	256
NM	7.00	10.28	13.25	17.50	12.12	22.25	23.25	33.12	34.50	39.00	0.00	13.26	49
OK	12.04	15.05	26.66	15.82	30.50	35.86	35.86	28.08	51.68	68.75	0.00	26.27	228
TX	9.40	9.34	10.43	12.10	11.42	15.53	19.65	25.70	33.24	26.40	32.88	13.67	915
REG 6	<b>10.49</b>	<b>11.03</b>	<b>14.09</b>	<b>12.84</b>	<b>14.57</b>	<b>16.88</b>	<b>22.64</b>	<b>30.25</b>	<b>36.12</b>	<b>35.64</b>	<b>42.93</b>	<b>16.47</b>	<b>1,841</b>
IA	8.77	9.14	8.56	9.83	8.87	10.31	11.06	13.61	14.42	12.45	11.50	10.88	299
KS	12.63	11.44	16.71	12.28	14.08	18.33	19.71	21.70	19.00	18.00	25.85	15.82	210
MO	13.71	14.53	14.50	15.02	0.00	14.70	19.72	28.38	24.99	28.85	35.56	17.19	303
NE	8.64	9.13	8.58	9.03	10.05	11.98	15.41	12.40	12.35	12.75	11.25	10.45	229
REG 7	<b>11.28</b>	<b>11.39</b>	<b>11.30</b>	<b>11.41</b>	<b>10.64</b>	<b>14.19</b>	<b>16.54</b>	<b>17.21</b>	<b>17.67</b>	<b>20.03</b>	<b>26.75</b>	<b>13.62</b>	<b>1,041</b>
CO	10.48	11.24	10.06	11.25	9.25	13.40	13.23	16.45	33.52	23.66	0.00	12.57	301
MT	10.81	15.08	13.56	10.31	18.03	20.44	18.15	20.04	21.04	0.00	0.00	16.29	101
ND	7.33	8.10	7.75	8.16	14.25	12.65	11.46	17.62	18.75	0.00	0.00	12.85	59
SD	7.82	7.57	9.53	9.69	12.37	15.65	13.37	16.90	17.90	0.00	0.00	11.38	104
UT	6.95	7.50	6.20	7.54	7.37	7.55	8.20	8.81	12.68	22.16	16.50	8.18	219
WY	10.97	10.71	11.50	21.50	14.83	16.16	19.75	18.66	20.90	0.00	0.00	15.57	50
REG 8	<b>9.13</b>	<b>9.92</b>	<b>9.53</b>	<b>10.44</b>	<b>14.58</b>	<b>14.39</b>	<b>13.48</b>	<b>16.79</b>	<b>20.90</b>	<b>16.50</b>	<b>16.50</b>	<b>11.92</b>	<b>834</b>
AS	21.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	39.50	0.00	30.50	2
AZ	7.22	7.86	6.50	8.53	9.50	10.26	7.63	11.10	13.01	13.00	16.66	8.50	270
CA	11.69	13.44	27.37	13.36	21.62	13.64	15.26	15.23	15.74	16.03	19.79	13.02	1,264
HI	7.16	7.11	7.75	6.75	12.25	23.25	6.12	7.37	6.91	0.00	0.00	8.35	55
NV	7.44	8.84	29.75	10.87	0.00	8.72	14.72	11.16	13.25	0.00	11.00	9.89	124
GU	9.50	7.62	0.00	0.00	8.00	0.00	0.00	10.50	7.50	0.00	18.00	9.78	8
MP	9.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	14.00	2
REG 9	<b>10.62</b>	<b>12.08</b>	<b>21.08</b>	<b>12.17</b>	<b>15.02</b>	<b>12.96</b>	<b>13.58</b>	<b>13.73</b>	<b>14.84</b>	<b>16.40</b>	<b>18.32</b>	<b>11.94</b>	<b>1,725</b>
AK	8.95	11.20	7.25	15.16	14.45	14.80	12.00	12.00	13.12	0.00	0.00	11.86	52
ID	11.30	11.29	12.62	13.08	39.25	15.41	14.58	20.75	16.42	9.50	0.00	13.23	140
OR	10.95	11.86	9.70	11.59	13.37	11.80	12.55	11.50	14.05	14.00	12.60	11.91	253
WA	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
REG 10	<b>10.87</b>	<b>11.63</b>	<b>10.12</b>	<b>12.27</b>	<b>16.31</b>	<b>13.28</b>	<b>12.79</b>	<b>15.79</b>	<b>14.94</b>	<b>13.43</b>	<b>12.60</b>	<b>12.32</b>	<b>445</b>
NATION	<b>10.19</b>	<b>11.03</b>	<b>12.18</b>	<b>11.49</b>	<b>12.69</b>	<b>12.91</b>	<b>14.09</b>	<b>16.37</b>	<b>18.77</b>	<b>20.55</b>	<b>30.53</b>	<b>12.38</b>	<b>16,717</b>

Note: Total survey counts exclude terminated labs as well as all prior surveys.

\* Federal Workload

**FOLLOWUP SURVEYS  
AVERAGE HOURS PER SURVEY  
10/1/16 THROUGH 9/30/18**

**Attachment H-2**

	LVA	A	B	C	D	E	F	G	H	I	J	AVERAGE HOURS PER REVISIT	FOLLOW-UP SURVEY COUNTS
CT	19.00	0.00	8.25	0.00	0.00	0.00	0.00	12.50	0.00	0.00	0.00	13.25	3
MA	0.00	5.00	0.00	0.00	0.00	0.00	0.00	0.00	5.50	6.75	0.00	5.75	3
ME	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3.75	0.00	0.00	3.75	2
NH	4.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4.50	1
RI	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
VT	0.00	0.00	0.00	0.00	0.00	32.75	0.00	0.00	0.00	0.00	0.00	32.75	1
REG 1	<b>11.75</b>	<b>5.00</b>	<b>8.25</b>	<b>0.00</b>	<b>0.00</b>	<b>32.75</b>	<b>0.00</b>	<b>12.50</b>	<b>4.33</b>	<b>6.75</b>	<b>0.00</b>	<b>10.17</b>	<b>10</b>
NJ	0.00	0.00	0.00	24.25	0.00	0.00	7.50	0.00	0.00	0.00	0.00	15.87	2
NY	16.00	15.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	15.50	2
PR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
VI	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
REG 2	<b>16.00</b>	<b>15.00</b>	<b>0.00</b>	<b>24.25</b>	<b>0.00</b>	<b>0.00</b>	<b>7.50</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>15.68</b>	<b>4</b>
DC	13.87	11.00	0.00	0.00	0.00	0.00	0.00	0.00	23.50	0.00	0.00	15.56	4
DE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
MD	15.87	8.20	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	45.00	13.96	14
PA	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
VA	8.25	7.25	0.00	6.60	0.00	14.12	0.00	8.75	5.87	18.50	9.00	8.33	32
WV	7.00	7.50	0.00	6.25	0.00	3.00	0.00	0.00	5.33	0.00	0.00	5.9	8
REG 3	<b>11.03</b>	<b>7.83</b>	<b>6.00</b>	<b>6.54</b>	<b>0.00</b>	<b>10.41</b>	<b>0.00</b>	<b>8.75</b>	<b>8.54</b>	<b>18.50</b>	<b>27.00</b>	<b>9.85</b>	<b>58</b>
AL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
FL	9.66	0.00	0.00	11.00	0.00	18.00	0.00	0.00	0.00	0.00	0.00	11.60	5
GA	7.75	10.25	0.00	0.00	0.00	0.00	15.50	0.00	9.25	0.00	15.62	11.81	8
KY	4.00	5.18	0.00	0.00	0.00	5.75	4.00	0.00	0.00	0.00	0.00	4.92	7
MS	7.25	12.87	0.00	9.25	0.00	0.00	0.00	0.00	7.50	0.00	0.00	9.95	5
NC	10.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	1
SC	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
TN	13.25	14.50	0.00	9.87	0.00	8.50	16.37	11.50	9.25	0.00	10.50	13.08	28
REG 4	<b>10.09</b>	<b>11.83</b>	<b>0.00</b>	<b>9.95</b>	<b>0.00</b>	<b>10.75</b>	<b>14.16</b>	<b>11.50</b>	<b>8.81</b>	<b>0.00</b>	<b>13.91</b>	<b>11.35</b>	<b>54</b>
IL	14.25	10.50	0.00	0.00	0.00	0.00	11.00	24.00	0.00	0.00	0.00	14.12	8
IN	7.75	0.00	0.00	19.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	13.37	2
MI	11.33	9.00	0.00	0.00	0.00	19.25	0.00	0.00	10.75	0.00	0.00	12.16	6
MN	0.00	11.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	11.25	1
OH	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
WI	0.00	5.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	5.25	1
REG 5	<b>12.34</b>	<b>9.30</b>	<b>0.00</b>	<b>19.00</b>	<b>0.00</b>	<b>19.25</b>	<b>11.00</b>	<b>24.00</b>	<b>10.75</b>	<b>0.00</b>	<b>0.00</b>	<b>12.73</b>	<b>18</b>
AR	10.50	9.00	21.00	11.50	0.00	0.00	4.50	0.00	15.56	32.50	0.00	14.05	13
LA	8.22	8.31	0.00	8.26	5.75	8.25	11.00	11.25	10.83	12.16	0.00	9.25	66
NM	0.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	4.75	0.00	0.00	3.37	2
OK	9.37	8.00	0.00	0.00	19.75	14.16	14.70	0.00	14.62	15.75	0.00	13.69	27
TX	9.24	5.91	0.00	11.25	12.00	12.52	10.20	8.70	15.30	11.25	0.00	10.86	119
REG 6	<b>9.12</b>	<b>7.16</b>	<b>21.00</b>	<b>10.20</b>	<b>12.50</b>	<b>12.36</b>	<b>11.21</b>	<b>9.55</b>	<b>13.67</b>	<b>15.32</b>	<b>0.00</b>	<b>10.84</b>	<b>227</b>
IA	0.00	4.75	0.00	0.00	0.00	0.00	0.00	2.00	11.50	0.00	0.00	6.08	3
KS	6.90	4.69	7.00	6.25	4.00	9.70	6.14	5.66	9.21	4.00	3.58	7.17	97
MO	10.00	10.25	0.00	9.00	0.00	11.50	10.50	0.00	16.87	20.00	2.75	13.84	18
NE	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	13.25	0.00	0.00	13.25	1
REG 7	<b>7.41</b>	<b>5.39</b>	<b>7.00</b>	<b>6.59</b>	<b>4.00</b>	<b>9.84</b>	<b>6.43</b>	<b>4.75</b>	<b>10.99</b>	<b>14.66</b>	<b>3.37</b>	<b>8.20</b>	<b>119</b>
CO	8.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	25.50	0.00	0.00	16.75	2
MT	0.00	19.00	0.00	0.00	14.37	0.00	0.00	0.00	13.25	0.00	0.00	16.00	5
ND	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
SD	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	11.25	0.00	0.00	11.25	1
UT	3.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3.25	2
WY	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
REG 8	<b>4.83</b>	<b>19.00</b>	<b>0.00</b>	<b>0.00</b>	<b>14.37</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>16.66</b>	<b>0.00</b>	<b>0.00</b>	<b>13.12</b>	<b>10</b>
AS	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
AZ	10.00	0.00	0.00	0.00	0.00	9.75	0.00	0.00	0.00	0.00	0.00	9.87	2
CA	0.00	34.75	0.00	7.50	0.00	16.50	0.00	0.00	0.00	0.00	0.00	19.58	3
HI	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
NV	0.00	0.00	21.50	0.00	0.00	0.00	16.00	0.00	12.25	0.00	0.00	15.50	4
GU	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
MP	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
REG 9	<b>10.00</b>	<b>34.75</b>	<b>21.50</b>	<b>7.50</b>	<b>0.00</b>	<b>13.12</b>	<b>16.00</b>	<b>0.00</b>	<b>12.25</b>	<b>0.00</b>	<b>0.00</b>	<b>15.61</b>	<b>9</b>
AK	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
ID	12.26	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	11.75	3
OR	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
WA	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0
REG 10	<b>12.62</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>11.75</b>	<b>3</b>
NATION	<b>9.73</b>	<b>8.63</b>	<b>11.79</b>	<b>9.67</b>	<b>9.13</b>	<b>12.04</b>	<b>9.97</b>	<b>9.47</b>	<b>12.03</b>	<b>14.70</b>	<b>12.13</b>	<b>10.40</b>	<b>512</b>

\* National Average time reflects on-site follow-up activity only.

**NATIONAL AVERAGE TRAVEL TIMES**  
09/30/16 Through 10/01/18

STATE	INITIAL & VALIDATION			FOLLOW-UP/COMPLAINT			
	AVG. TRAVEL HRS. PER SURVEY (STD.)*	NAT AVG TRAVEL HRS	VARIANCE- HRS. PER SURVEY	AVG. TRAVEL HRS. PER RE SURVEY**	NAT AVG TRAVEL HRS	VARIANCE- HRS. PER RE SURVEY	
REG I	CT	2.36	2.95	-0.59	0.13	0.28	-0.15
	ME	3.10	2.95	0.15	0.15	0.28	-0.13
	MA	2.23	2.95	-0.72	0.06	0.28	-0.22
	NH	2.31	2.95	-0.64	0.15	0.28	-0.13
	RI	1.23	2.95	-1.72	0.06	0.28	-0.22
	VT	5.47	2.95	2.52	0.00	0.28	-0.28
REG II	NJ	2.75	2.95	-0.20	0.50	0.28	0.22
	NY	2.29	2.95	-0.66	0.02	0.28	-0.26
	PR	2.78	2.95	-0.17	0.00	0.28	-0.28
REG III	DE	1.90	2.95	-1.05	0.00	0.28	-0.28
	DC	1.46	2.95	-1.49	0.46	0.28	0.18
	MD	2.58	2.95	-0.37	0.21	0.28	-0.07
	PA	2.95	2.95	0.00	0.00	0.28	-0.28
	VA	3.37	2.95	0.42	1.94	0.28	1.66
	WV	3.76	2.95	0.81	0.16	0.28	-0.12
REG IV	AL	2.57	2.95	-0.38	0.00	0.28	-0.28
	FL	2.59	2.95	-0.36	0.03	0.28	-0.25
	GA	2.85	2.95	-0.10	0.08	0.28	-0.20
	KY	2.53	2.95	-0.42	0.07	0.28	-0.21
	MS	2.46	2.95	-0.49	0.19	0.28	-0.09
	NC	3.31	2.95	0.36	0.03	0.28	-0.25
	SC	2.31	2.95	-0.64	0.00	0.28	-0.28
	TN	2.45	2.95	-0.50	0.26	0.28	-0.02
REG V	IL	2.94	2.95	-0.01	0.08	0.28	-0.20
	IN	2.90	2.95	-0.05	0.28	0.28	0.00
	MI	3.24	2.95	0.29	0.12	0.28	-0.16
	MN	3.48	2.95	0.53	0.02	0.28	-0.26
	OH	2.57	2.95	-0.38	0.00	0.28	-0.28
	WI	3.04	2.95	0.09	0.00	0.28	-0.28
REG VI	AR	3.41	2.95	0.46	0.27	0.28	-0.01
	LA	3.86	2.95	0.91	1.88	0.28	1.60
	NM	3.34	2.95	0.39	0.36	0.28	0.08
	OK	4.14	2.95	1.19	0.63	0.28	0.35
	TX	3.09	2.95	0.14	0.84	0.28	0.56
REG VII	IA	2.62	2.95	-0.33	0.03	0.28	-0.25
	KS	3.45	2.95	0.50	0.80	0.28	0.52
	MO	5.02	2.95	2.07	0.80	0.28	0.52
	NE	3.21	2.95	0.26	0.13	0.28	-0.15
REG VIII	CO	2.56	2.95	-0.39	0.02	0.28	-0.26
	MT	4.37	2.95	1.42	0.72	0.28	0.44
	ND	3.35	2.95	0.40	0.00	0.28	-0.28
	SD	3.82	2.95	0.87	0.08	0.28	-0.20
	UT	1.64	2.95	-1.31	0.01	0.28	-0.27
	WY	4.09	2.95	1.14	0.00	0.28	-0.28
REG IX	AZ	2.37	2.95	-0.58	0.67	0.28	0.39
	CA	3.92	2.95	0.97	0.35	0.28	0.07
	HI	2.58	2.95	-0.37	0.00	0.28	-0.28
	AS	14.00	2.95	11.05	0.00	0.28	-0.28
	GU	2.48	2.95	-0.47	0.00	0.28	-0.28
	MP	4.75	2.95	1.80	0.00	0.28	-0.28
REG X	NV	1.65	2.95	-1.30	3.95	0.28	3.67
	AK	2.63	2.95	-0.32	0.00	0.28	-0.28
	ID	2.10	2.95	-0.85	0.15	0.28	-0.13
	OR	2.78	2.95	-0.17	0.00	0.28	-0.28
WA	0.00	2.95	-2.95	0.00	0.28	-0.28	



**CHANGES IN TYPE 1 LAB POPULATIONS**  
(FOR ONE YEAR PERIOD -02/1/18 THRU 01/31/19)

REGION/STATE	INITIALS *	TERMINATIONS**	CHANGE	PENDING***
<b>I CT</b>	2	-7	-5	5
ME	1	-1	0	4
MA	3	-10	-7	10
NH	1	-1	0	3
RI	1	-2	-1	1
VT	0	-1	-1	0
<b>TOTAL</b>	<b>8</b>	<b>-22</b>	<b>-14</b>	<b>23</b>
<b>II NJ</b>	<b>8</b>	<b>-28</b>	<b>-20</b>	<b>15</b>
NY	44	-72	-28	14
PR	0	-13	-13	8
VI	0	0	0	0
Foreign	4	-2	2	0
<b>TOTAL</b>	<b>56</b>	<b>-115</b>	<b>-59</b>	<b>37</b>
<b>III DE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>
DC	0	0	0	0
MD	1	-22	-21	16
PA	7	-21	-14	3
VA	6	-24	-18	13
WV	0	-3	-3	6
<b>TOTAL</b>	<b>14</b>	<b>-70</b>	<b>-56</b>	<b>39</b>
<b>IV AL</b>	<b>6</b>	<b>-19</b>	<b>-13</b>	<b>14</b>
FL	22	-49	-27	52
GA	0	-29	-29	27
KY	5	-13	-8	13
MS	2	-7	-5	9
NC	0	-41	-41	48
SC	0	-6	-6	10
TN	6	-20	-14	10
<b>TOTAL</b>	<b>41</b>	<b>-184</b>	<b>-143</b>	<b>183</b>
<b>V IL</b>	<b>15</b>	<b>-32</b>	<b>-17</b>	<b>19</b>
IN	4	-3	1	7
MI	0	-16	-16	12
MN	0	-5	-5	4
OH	7	-12	-5	7
WI	2	-11	-9	7
<b>TOTAL</b>	<b>28</b>	<b>-79</b>	<b>-51</b>	<b>56</b>
<b>VI AR</b>	<b>0</b>	<b>-13</b>	<b>-13</b>	<b>14</b>
LA	1	-7	-6	7
NM	0	-4	-4	3
OK	0	-14	-14	10
TX	0	-59	-59	75
<b>TOTAL</b>	<b>1</b>	<b>-97</b>	<b>-96</b>	<b>109</b>
<b>VII IA</b>	<b>1</b>	<b>-7</b>	<b>-6</b>	<b>4</b>
KS	3	-10	-7	4
MO	2	-20	-18	7
NE	4	-3	1	2
<b>TOTAL</b>	<b>10</b>	<b>-40</b>	<b>-30</b>	<b>17</b>
<b>VIII CO</b>	<b>5</b>	<b>-8</b>	<b>-3</b>	<b>13</b>
MT	0	-5	-5	1
ND	0	0	0	1
SD	0	-2	-2	0
UT	3	-7	-4	6
WY	1	0	1	0
<b>TOTAL</b>	<b>9</b>	<b>-22</b>	<b>-13</b>	<b>21</b>
<b>IX AZ</b>	<b>0</b>	<b>-17</b>	<b>-17</b>	<b>16</b>
CA	10	-77	-67	55
HI	0	-1	-1	0
<b>HI (PACIFIC)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
NV	2	-5	-3	2
<b>TOTAL</b>	<b>12</b>	<b>-100</b>	<b>-88</b>	<b>73</b>
<b>X AK</b>	<b>0</b>	<b>-2</b>	<b>-2</b>	<b>1</b>
ID	0	-6	-6	8
OR	9	-5	4	3
WA	11	-23	-12	0
<b>TOTAL</b>	<b>20</b>	<b>-36</b>	<b>-16</b>	<b>12</b>
<b>GRAND TOTAL</b>	<b>199</b>	<b>-765</b>	<b>-566</b>	<b>570</b>

**NOTE: TYPE 1 LABS SWITCHING FROM TYPE 1 TO WAIVED OR PPMP NOT SHOWN**

\*INITIALS: Excludes pending ( i.e. Includes only new labs issued a certificate of compliance)

\*\* TERMINATIONS: Note surveys may have been performed prior to termination

\*\*\*PENDING SURVEY: Includes laboratories holding registration certificates -  
i.e. registration and compliance fees paid - awaiting survey.

## **ATTACHMENT G**

### **Guidelines and Program Emphases to be Followed by States In Preparing FY 2020 Clinical Laboratory Improvement Amendment (CLIA) Budgets**

#### **I. OVERVIEW**

The State budget submissions should cover the period October 1, 2019 through September 30, 2020.

The State Operations Manual (SOM), Part VI-Special Procedures for [CLIA] Labs, is the technical guide to be used in the preparation of the State's FY 2020 budget submittal. Sections 6420 through 6426, "The SA Annual Activity Plan," should be carefully reviewed and followed in conjunction with these guidelines. States should also refer to the instructions in the "State CLIA Training Guide" (Version 1.1) for assistance in budget form data entry.

#### **II. PROGRAM EMPHASES**

This section summarizes the program emphases that States should refer to as they prepare their FY 2020 budget request.

##### **CLIA Functions in FY 2020**

In FY 2020 workloads will continue to fluctuate. States should not budget for any major changes to their basic administrative functions. The Centers for Medicare & Medicaid Services (CMS) Regional Offices (ROs) and State Agencies (SAs) need to continue to monitor activities to maintain awareness of current practices. The CMS Central Office (CO) will continue to provide ongoing information, guidance and training on policies and procedures as needed.

The CLIA State Agency Performance Review (SAPR) continues as an annual activity aimed at promoting optimal SA performance by recognizing sustained proficiency and facilitating improvement as needed. States are expected to have mechanisms in place for ensuring the complete and accurate fulfillment of their CLIA program responsibilities. For FY 2020, States should continue to monitor their operations for fulfillment of program responsibilities and evaluate the effectiveness of corrective actions taken in response to their SAPR reviews. The Division of Clinical Laboratory Improvement and Quality (DCLIQ) may make modifications to the structure or content of the SAPR from time to time based on operational experience and will communicate them as appropriate. DCLIQ will utilize the aggregate findings of the reviews to update and clarify policy, as needed, and to determine national training needs.

## **Proficiency Testing (PT)**

We have provided each State with funding for PT monitoring and a corresponding policy and procedure. States should continue ongoing full-scale PT reviews and follow-ups, including:

- Reviewing the PT data reports for all non-accredited laboratories within the State on an ongoing basis, i.e. at least every 45 days and during on-site surveys;
- Initiating requests for PT results from PT programs for unsuccessful performance determinations (including review of the results); comparing PT performance to other lab performance indicators, complaints and performance history;
- Recommending enforcement actions including technical assistance to the CMS RO according to current S&C letter PT policies;
- Conducting follow-up to ensure correction activities of unsuccessful PT with the laboratory;
- Reporting to RO (to be forwarded to CO) any real or suspected PT referral cases and gathering all relevant corresponding information on a timely basis;

State workloads are based on PT failure rates and test score review times. PT workload for Test Year 2018 decreased from Test Year 2017 (**approximately 136 less lab failures; 196 less unsuccessful test scores**). Based on national data, a State can anticipate that approximately 3.47 percent of its labs will receive one or more unsuccessful ratings in FY 2020, with 2.93 failures per laboratory being the norm. We have provided funding based on these assumptions and will continue to adjust future budgets to reflect actual PT performance nationwide.

## **Laboratory Inquiries and Data Systems Processing**

During FY 2020 States should anticipate a continued high level of inquiries from CLIA laboratories and continue to adjust to the Quality Improvement and Evaluation System (QIES), as specified below:

### **QIES/ASPEN for CLIA**

The States complete their CLIA data entry workload and report retrievals in the QIES/ASPEN data environment. The CLIA users now create, update and run CLIA reports in QIES Business Intelligence Center (QBIC) for CLIA. A series of pre-recorded Webinars are posted to the QTSO Website and they describe the various features and functionality of QBIC for CLIA. In addition, the monthly QIES CLIA Technical calls provide a forum for the State agencies and the developers to communicate any issues or technical questions that may occur, and-with the addition of QBIC for CLIA- allow for Web Ex demonstrations on building and processing reports in this reporting environment. The CLIA users in the State agencies are encouraged to attend these CLIA Technical calls and to utilize the pre-recorded Webinars. The QBIC for CLIA

webinars are available to authorized CLIA users on <https://qtso.cms.gov/training-materials/qbic-and-qarm-videos>

### Certificate Status Changes

The data system processes nearly all status changes as they are entered into the data system. The process may require obtaining additional information from the laboratories such as verifying laboratory director qualifications. In addition, the process may generate new fees and/or certificates to the laboratories and could result in follow-up phone calls. This is an ongoing activity.

### Accredited Laboratories

The data system continuously receives and updates a significant amount of data from the accrediting organizations. The data collected covers all areas of a laboratory's operations (including dates of inspection) and is used to generate fees and certificates and to measure timeliness of inspections. This process may cause a change in information previously provided and laboratories may inquire with the State to validate the accuracy of fees and certificate information. In addition, on a weekly basis, a letter is sent to any accredited laboratory that does not have current accreditation affiliation information. In the letter we ask the laboratory to notify its local State agency in order to make any necessary corrections to its CLIA information. This is an ongoing activity.

### Validation Surveys

The SA conducts validation surveys and enters the findings into ASPEN CO. The States are required to track deficiency data and produce relevant reports and, when necessary, refer to CMS ROs for appropriate actions. Also, the SAs identify and report differences between an accredited laboratory's (sub) specialties and test volume reported to CMS by the accrediting organizations and the information verified at the time of the survey. The discrepancies are noted and tracked in ACO. This is an ongoing activity.

## **CLIA Policies and Procedures**

### *Biennial Inspections*

Laboratories will continue to be subject to surveys every two years. States should be performing surveys at the minimum rate of 10 surveys per surveyor per month, which includes 9.3 initial/recertification surveys. Recertification surveys should occur 6 to 9 months prior to certificate expiration.

Initial surveys of new compliance laboratories should not be conducted until 3 months following testing start up to allow the laboratory to compile data, unless SA requirements indicate otherwise.

Selection for survey of non-waived, compliance laboratories should continue to be made only after verification of payment of compliance fees. "**CASPER REPORT 80**" is available to assist States with validating these payments and enables any State to identify those compliance laboratories, application type 1, that have paid their compliance fees, whether initial or recertification.

### Announced Surveys

Budget projections continue to be based on the premise of announcing certification surveys up to two weeks prior to the survey date at all CLIA laboratories (complaint and follow-up surveys will not be announced). Validation surveys may be announced except for simultaneous validation surveys of laboratories accredited by American Association of Blood Banks (AABB), College of American Pathologists (CAP), the Joint Commission (TJC) and in limited instances (COLA) (see Admin Info: 07-23) which must be unannounced.

### Surveyor Productivity

Based on approximately 16,717 total initial/recertification and 512 follow-up surveys logged into the CLIA database during the period October 1, 2016 through September 30, 2018, States required approximately 12.38 hours to conduct the average **onsite** CLIA certification survey and 10.40 hours to conduct the average **onsite** follow-up survey. However, progress remains variable depending on each State's circumstances.

Ten surveys per surveyor per month (13.3 average hours per survey) will remain the **minimum** standard for FY 2020. Surveyors should expect to meet the target of 120 surveys (112 initial/recertification and 8 follow-up surveys) per surveyor per year. **Any State performing below the FY 2020 target should identify in its budget submission what steps will be taken to increase surveyor productivity.** We recommend that you contact other State agencies/CMS regional offices that have lower 670 times and higher productivity to identify potential best practices that can be used to increase productivity.

### Training

Training budgets should reflect each State's determination of need for attendance at the following **mandatory** courses:

- In FY 2020, consortia training will be held in Baltimore, MD and attended by all four consortium). **State CLIA surveyor attendance is required.** (late April to early May. Actual date to be provided when hotel booking is complete)
- Basic Surveyor State Agency Training (on-line, Winter 2019)

The costs associated with this training should be included in each State's budget submission. **Once approved, funds for these mandatory course selections may not be reprogrammed by the State for other training courses without prior approval from the regional office; in no case may training funds be reprogrammed to non-training, non-CLIA categories.**

Budgets for SAs attendance at non-mandatory training (i.e. CMS ROs (non-Consortia) and/or State sponsored training events or professional meetings) should include projected costs for attendance at **no more than one** such course per year. (State attendance at mandated CO and Consortia meeting functions will be separately funded and controlled at that level). **Requests for training at more than one event will require prior approval of the CLIA program director in CO.** Within budget constraints, States are encouraged to make every effort to ensure that they are adequately represented at these events. However, while there is no current limit on

the number of staff you may send to these training events, it is anticipated that States will carefully evaluate the number of attendees and their need to participate. **States should be properly classifying training costs when filling out their quarterly expenditure reports in the automated system. Accommodations, per diems and travel costs should be included in the training cost category along with miscellaneous expenditures incurred. ROs should give special attention to travel costs when reviewing the quarterly expenditure reports.**

#### Accredited/CLIA Exempt Laboratories

In preparing your budget please note that the following accrediting organizations are currently recognized as meeting CLIA requirements for approved accrediting organizations: The American Osteopathic Association (AOA), AABB, COLA, CAP, TJC, The American Society for Histocompatibility and Immunogenetics (ASHI) and A2LA. Together these organizations oversee the entire CLIA accredited laboratory population. Only Washington State and New York State (non-physician office laboratories) have been granted CLIA exempt status at this time.

Approximately **five** percent of the laboratories accredited by the approved laboratory accreditation organizations are surveyed as part of the validation survey process conducted during each two year cycle. States are expected to survey accredited facilities no more than 90 days after the accrediting organization inspection and must ensure that laboratories within each schedule type are included to the extent possible. Actual workloads may vary from the level projected as we continue to reconcile the CLIA database to accrediting organizations. SAs should follow the validation survey process for selection and survey of these labs.

#### Enforcement Process

We continue to focus on promoting an educational approach to facilitate survey deficiency corrections. However, State agencies must cite deficiencies, when identified, per State agency training outcome oriented survey process protocol. During CY 2018, proposed sanctions for labs with conditions out of compliance totaled approximately 1.42 percent of laboratory surveys performed with 56.9 percent of the proposed adverse actions actually being imposed. This compares to CY 2017 enforcement of 1.55 percent and 52.3 percent respectively. States are required to enter enforcement data into the ACTS system timely.

#### Waived Laboratories

For the 2020 Budget Cycle the Waived Laboratory Survey Initiative has been discontinued.

#### Provider Performed Microscopy (PPM)

Laboratories holding a preferred provider microscopy (PPM) certificate will not be subject to routine inspection. Laboratories meeting the requirements for the PPM Certificate will be subject to a survey where complaints are filed or if there is reason to believe the laboratory is conducting tests beyond its certificate. PPM tests conducted in laboratories with a compliance certificate may have PPM tests included in the survey sample.

#### Survey Priorities

Unless otherwise specified in this instruction States should follow the SOM, Part VI-Special Procedures for Laboratories, in developing survey schedule priorities.

### Hiring

ROs will provide guidelines to their States with regard to authorized surveyor full time equivalent (FTE) levels and projected survey workloads. Since surveyor FTE ceilings are primarily based on minimum performance standards States are encouraged to operate within productivity standards.

In FY 2020, the ROs will closely review State budget supervisor staffing ratios to ensure that excessive supervisory time is not charged to the CLIA program. States must continue to identify efficiencies in this area.

For FY 2020, CMS is maintaining the clerical to surveyor ratio. Strong justifications including, but not limited to, work measurement reports of time expended on CLIA functions must accompany all budget approvals where the clerical/surveyor FTE ratio is greater than 1 to 3. All budget submissions must clearly document the number of supervisory, surveyor, non-surveyor professional and clerical staff, as well as, the FTE equivalents for these categories.

### Computer Support

During FY 2020, States are authorized to procure necessary computer support for effective CLIA operations. In prior years we have maintained strict fiscal controls over equipment purchases. For FY 2020, we will continue to closely monitor this area. In those States with a large number of computers in use, equipment purchases and/or upgrades should be scheduled sequentially to avoid large single year procurements in favor of even scheduling of purchases over a multi-year period. States should continue to work closely with their specific regional office to reach agreement on what equipment is necessary to meet their information technology requirements. State procurement plans should encompass computer needs, together with software requirements, both for users working on-site within the SA office, as well as, surveyors working off-site. States should use their on-site systems to the fullest extent possible before adding equipment. A SA sharing equipment charged to the CLIA program with another State program(s) must ensure that appropriate cost allocation methodologies are applied to ensure proper expensing of equipment.

The ROs will closely evaluate each request for equipment and propose approval for those items that are necessary for maintaining adequate access to QIES needed to process reports and browse CLIA payments. A State's request for computer equipment and related software will be given first priority. All other non-computer equipment requests should be adequately justified, reviewed and prioritized.

The ROs will ensure that State planned computer procurements meet ASPEN software processing requirements and QIES interface specifications. This includes tablet/laptop/notebook systems used mainly for operation of the ASPEN Survey Explorer–Quality (ASE-Q). While a Pentium Class (as described below) is the minimum standard, each State should work closely with its regional office to identify the cost-benefit of an upgrade vs. a new purchase. Planned purchases of computer and peripheral items with processing capabilities substantially in excess of the QIES requirements should not be approved.

Encryption Policy:

CMS' encryption policy requires all agency data be protected from unauthorized access. There may be various levels of protection for agency data, but for personally identifiable information (PII), the policy states that dissemination of such data using any portable devices or recordable media, (e.g., CDs, DVDs, Cartridges, Diskettes, Laptops, External Hard Drives, USB Memory Sticks or thumb drives, etc.), requires encryption. Whole disk encryption of the hard-drive for Laptops or Tablet PCs must be employed. Encryption is the process of protecting stored or transmitted information with a password (key) so that it is indecipherable until the intended recipient uses the password to access it.

In accordance with the CMS encryption policy, all workstations with installed QIES components must have encryption software installed that meets or exceeds the standards set forth in the "CMS Information Security Acceptable Risk Safeguards (ARS)". This includes all QIES components installed on Laptop/Tablet PCs as well as any removable media and/or cloud computing used to disseminate PII/PHI. Specifically, the following sections of the ARS should be referenced:

- IA-7 Cryptographic Module Authentication (Specifies acceptable encryption type – FIPS 140-2 compliant (<https://nvd.nist.gov/800-53/Rev4/control/IA-7>) NIST validated module. (<https://csrc.nist.gov/projects/cryptographic-module-validation-program/module-validation-lists>)
- IA-2 User Identification and Authentication
- AC-3 Access Enforcement
- AC-4 Information Flow; specifically CMS-2
- AC-19 Access Control for Portable and Mobile Systems (encryption requirement only)
- MP-5 Media Transport
- SC-8 Transmission Integrity
- SC-12 Cryptological Key Establishment and Management

*Please note, in addition to these encryption sections, agencies are encouraged to review the entire ARS as a guideline for enterprise-wide security practices. States are responsible for ensuring that encryption software has the capability of creating encrypted files that are self-extracting with a password key.*

Additionally, many agencies have home-based staff using QIES software installed on home workstations. Such home-based systems must be protected with encryption software as described above and comply with CMS controls as defined in the ARS.



<b>Minimum and Recommended Client Requirements: EXISTING or NEW EQUIPMENT</b>		
<b>Component</b>	<b>Minimum</b>	<b>Minimum or Higher Required for LTC Survey Process Implementation Recommended for Other</b>
<i>Processor</i>	Pentium Class (or equivalent) @ 1.8 GHz	Pentium Class (or equivalent) @ 2.2 GHz
<i>Memory (RAM)</i>	4GB	8 GB
<i>Available Disk Space</i>	4GB	10 GB on SATA 2 drive at 7200 RPM
<a href="https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/CIO-Directives-and-Policies/CIO-IT-Policy-Library-Items/STANDARD-ARS-Acceptable-Risk-Safeguards.html">https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/CIO-Directives-and-Policies/CIO-IT-Policy-Library-Items/STANDARD-ARS-Acceptable-Risk-Safeguards.html</a>	<a href="https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/CIO-Directives-and-Policies/CIO-IT-Policy-Library-Items/STANDARD-ARS-Acceptable-Risk-Safeguards.html">https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/CIO-Directives-and-Policies/CIO-IT-Policy-Library-Items/STANDARD-ARS-Acceptable-Risk-Safeguards.html</a>	<a href="https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/CIO-Directives-and-Policies/CIO-IT-Policy-Library-Items/STANDARD-ARS-Acceptable-Risk-Safeguards.html">https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/CIO-Directives-and-Policies/CIO-IT-Policy-Library-Items/STANDARD-ARS-Acceptable-Risk-Safeguards.html</a>
<i>Operating System*</i>	Windows 8.1 – 32 bit Windows 8.1 – 64 bit	Windows 8.1 – 32 bit Windows 8.1 – 64 bit Windows 10 – 32 bit Windows 10 – 64 bit
<i>Secure Access/Encryption (See Encryption Policy)</i>	Required – See Encryption Policy	Required – See Encryption Policy
<i>Anti-virus</i>	Current License	Current License
<i>Universal Serial Bus Port</i>	One	Two
<i>Removable Media (see Encryption Policy)</i>	USB Drive 2.0	USB Drive 3.0
<i>Pointing Device</i>	Mouse or equivalent (e.g. trackball or touchpad)	Mouse or equivalent (e.g. trackball or touchpad) and Pen/Stylus for tablet
<i>Network Interface Card (See CMS ARS security guidelines for acceptable wireless configurations)</i>	Wired for network connectivity; and Wireless network cards must support WPA-2 level encryption	Wired for network connectivity; and Wireless network cards must support WPA-2 level encryption
<i>External USB Hub</i>	2 external USB sockets	3 external USB sockets

<b>Minimum and Recommended Client Requirements: EXISTING or NEW EQUIPMENT</b>		
<b>Component</b>	<b>Minimum</b>	<b>Minimum or Higher Required for LTC Survey Process Implementation Recommended for Other</b>
<i>Audio</i>	Standard built-in speakers	Attachable microphone and standard built-in speakers
<i>Battery (laptop or tablet)</i>	6-cell lithium-ion	6-cell lithium-ion
<i>QIES Browser**</i>	Internet Explorer v 11.0 compatibility mode with TLS 1.2 settings	Internet Explorer v 11.0 compatibility mode with TLS 1.2 settings
<i>iQIES Browser**</i>	Chrome Safari Internet Explorer v 11.0 compatibility mode with TLS 1.2 settings Microsoft Edge	Chrome Safari Internet Explorer v 11.0 compatibility mode with TLS 1.2 settings Microsoft Edge

**Note:** Operating systems need to be current with all Windows security updates.

\*\*Internet Explorer v 11 will need to operate in compatibility mode in order for the software to operate properly.

Per the Internet Explorer Support Lifecycle Policy FAQ (<https://support.microsoft.com/en-us/gp/microsoft-internet-explorer>), only the most current version of Internet Explorer available for a supported operating system will receive technical support and security updates.

Internet Explorer v 9.0 and v 10.0 is no longer supported as of January 1<sup>st</sup> 2016. Only Internet Explorer v 11.0 running in compatibility mode is currently supported.

Due to new CMS security requirements, all browsers must have the TLS 1.2 setting enabled.

### **III. CONCLUSION**

All FY 2020 budget proposals must be submitted using the Automated Survey and Certification/CLIA Reporting System (ASCCRS). Each State should work closely with the CMS regional budget coordinator as part of this process. All State budget proposals must be developed, entered into ASCCRS, certified and agreed to by the region in time to meet the due date for submission to CO.

The RO will advise each State as to its staff levels and budget resources.