



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

Admin Info: 18-21-CLIA

DATE: September 28, 2018

TO: State Survey Agency Directors

FROM: Director
Quality, Safety & Oversight Group

SUBJECT: Fiscal Year (FY) 2019 Clinical Laboratory Improvement Amendments (CLIA)
Budget Call Letter

Memorandum Summary

- **FY 2019 CLIA Budget Call Letter:** Enclosed is a copy of the FY 2019 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 **October 5, 2018.**

Background

CMS is providing information and guidelines for determining FY 2019 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 2019 from OMB, all States should prepare FY 2019 budgets to reflect the workload and funding levels provided in this package. The State budget submissions should cover the period from October 1, 2018 through September 30, 2019. 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 2019, 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 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 2019

- 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 2019 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 2018).
- The average number of survey hours should not exceed 14 per survey.
- The number of initial/recertification surveys remains at a minimum of 112 per surveyor.
- The nationwide FTE ceiling for surveyors will decrease from 83.4 to 82.6.
- 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.
- 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.**
- 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 2019 budget and detail how the State expects to structure its laboratory surveyor program to complete the designated workload. For FY 2019, we project a workload of approximately 8,858 compliance initial and recertification surveys, 620 complaint/follow-up onsite laboratory surveys (we estimate approximately 229 of the 620 will be complaint surveys), and 428 validations of accredited laboratories surveys.

We will continue to utilize the ASCCRS for our FY 2019 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 2019 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 2019.

The instructions and guidelines in this package are to be used as the basis for negotiation of FY 2019 CLIA workloads and funding levels with State agencies within each region. Please continue to maintain close liaison 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 2019 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 Principals 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 or Herb Goodrich (410) 786-3234.

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 2019 Budget Information, Workload and Funding (multiple Tabs)

Attachment G: Guidelines and Program Emphases to be followed by States in Preparing FY 2019 CLIA Budgets

cc: Survey and Certification Regional Office Management

CHANGES IN TYPE 1 LAB POPULATIONS

(FOR ONE YEAR PERIOD -02/1/17 THRU 01/31/18)

REGION/STATE	INITIALS *	TERMINATIONS**	CHANGE	PENDING***
I CT	0	-8	-8	10
ME	0	-1	-1	2
MA	4	-19	-15	11
NH	1	-4	-3	0
RI	0	-4	-4	3
VT	0	0	0	1
TOTAL	5	-36	-31	27
II NJ	0	-18	-18	24
NY	29	-69	-40	23
PR	1	-17	-16	10
VI	0	0	0	0
Foreign	3	-2	1	0
TOTAL	33	-106	-73	57
III DE	0	-1	-1	2
DC	0	0	0	3
MD	4	-20	-16	16
PA	11	-17	-6	4
VA	5	-17	-12	10
WV	3	-5	-2	2
TOTAL	23	-60	-37	37
IV AL	4	-14	-10	11
FL	37	-56	-19	28
GA	0	-29	-29	41
KY	13	-21	-8	6
MS	2	-4	-2	7
NC	0	-18	-18	43
SC	1	-8	-7	8
TN	2	-18	-16	20
TOTAL	59	-168	-109	164
V IL	6	-13	-7	16
IN	3	-8	-5	7
MI	4	-15	-11	7
MN	2	-3	-1	4
OH	3	-16	-13	6
WI	2	-8	-6	11
TOTAL	20	-63	-43	51
VI AR	0	-11	-11	15
LA	2	-5	-3	11
NM	1	-7	-6	1
OK	0	-14	-14	5
TX	0	-60	-60	77
TOTAL	3	-97	-94	109
VII IA	4	-8	-4	6
KS	0	-7	-7	9
MO	3	-13	-10	7
NE	0	-5	-5	1
TOTAL	7	-33	-26	23
VIII CO	8	-11	-3	12
MT	0	-1	-1	2
ND	2	-1	1	0
SD	0	-1	-1	1
UT	0	-12	-12	4
WY	1	-2	-1	3
TOTAL	11	-28	-17	22
IX AZ	0	-14	-14	20
CA	5	-61	-56	33
HI	0	-2	-2	2
HI (PACIFIC)	0	-3	-3	2
NV	4	-11	-7	8
TOTAL	9	-91	-82	65
X AK	1	-2	-1	2
ID	0	-3	-3	2
OR	4	-9	-5	2
WA	35	-26	9	0
TOTAL	40	-40	0	6
GRAND TOTAL	210	-722	-512	561

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.

NON-ACCREDITED LABORATORIES

Attachment A-1

INITIAL AND FOLLOW-UP SURVEY COUNTS

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL
CT	64	18	2	7	0	7	4	3	4	1	1	110
ME	11	4	1	2	0	5	2	1	8	1	0	33
MA	66	41	1	22	1	9	5	2	17	6	6	176
NH	18	5	1	2	1	2	0	0	2	2	1	33
RI	16	4	0	2	1	1	2	1	1	0	0	27
VT	6	3	0	2	0	2	0	1	2	0	1	15
TOT. REG. I	181	74	4	37	3	26	12	6	34	11	7	395
NJ	139	65	2	24	1	16	8	3	11	0	3	273
NY *	257	128	4	52	4	27	14	6	16	3	3	513
PR	25	53	12	63	37	84	53	38	104	7	3	478
TOT. REG. II	421	246	17	139	41	127	75	47	131	10	9	1264
DE	13	7	0	1	0	2	0	0	1	0	0	23
DC	6	3	0	1	0	0	0	0	1	0	0	11
MD	84	45	1	15	1	12	11	3	12	2	1	186
PA	111	58	3	27	4	27	8	4	22	3	2	270
VA	86	69	2	30	2	23	10	4	17	1	1	245
WV	16	9	0	4	1	7	2	1	12	1	1	54
TOT. REG. III	316	192	6	76	7	71	32	13	65	7	5	788
AL	42	62	1	48	4	40	15	5	33	3	2	255
FL	324	153	3	57	4	27	12	7	21	8	9	625
GA	132	98	6	45	3	26	12	8	29	4	6	369
KY	49	55	1	39	1	20	10	6	24	2	3	209
MS	36	65	1	48	3	24	15	9	36	2	1	240
NC	128	105	15	54	7	26	12	8	21	3	3	380
SC	67	65	3	18	0	8	4	5	10	3	3	185
TN	66	108	3	59	4	40	18	14	28	5	7	352
TOT. REG. IV	844	710	32	368	26	210	97	64	201	29	33	2615
IL	97	48	0	13	1	11	8	3	14	3	3	201
IN	42	21	0	14	1	7	7	4	8	2	1	108
MI	72	38	0	22	2	18	6	5	9	2	0	173
MN	40	28	7	5	2	7	7	8	16	1	0	120
OH	60	32	0	11	1	14	6	5	9	1	1	140
WI	46	32	4	29	2	24	8	8	25	3	1	181
TOT. REG. V	357	198	11	94	7	81	42	34	83	12	5	923
AR	44	45	3	36	3	19	7	6	25	3	2	193
LA	32	27	0	18	2	11	5	6	14	3	0	117
NM	16	8	1	2	0	1	2	1	3	0	0	32
OK	32	27	2	12	2	12	12	8	21	2	0	131
TX	204	176	6	83	7	58	27	16	53	6	8	645
TOT. REG. VI	329	282	12	151	13	100	53	37	116	14	11	1118
IA	33	38	2	18	2	10	7	11	40	3	1	163
KS	29	27	2	8	3	16	17	7	29	1	2	142
MO	67	40	2	12	0	11	5	4	27	2	3	174
NE	32	27	2	14	2	13	9	5	19	2	0	124
TOT. REG. VII	162	132	7	53	6	50	38	27	114	7	5	602
CO	74	46	0	13	1	8	6	4	8	1	1	161
MT	13	7	2	3	2	8	6	3	8	0	0	53
ND	2	4	0	2	1	8	6	5	3	0	0	30
SD	20	6	4	4	2	3	8	3	8	0	0	58
UT	48	33	0	10	0	6	3	3	9	3	1	115
WY	8	4	0	2	3	5	1	2	4	0	0	28
TOT. REG. VIII	165	100	6	33	8	38	30	19	42	4	1	445
AZ	81	35	0	12	1	9	8	4	14	2	2	169
CA	422	154	3	55	2	39	23	13	66	11	11	800
HI	16	7	1	3	1	3	2	1	2	0	0	34
HI (PACIFIC)	2	1	1	0	1	0	0	1	1	1	1	7
NV	27	14	1	6	0	7	4	3	8	0	2	72
TOT. REG. IX	548	212	5	76	4	59	37	22	91	14	15	1083
AK	10	4	1	4	1	4	1	1	2	0	0	26
ID	33	13	2	6	2	4	2	4	12	1	0	79
OR	50	31	0	19	2	10	4	1	19	4	2	141
TOT. REG. X*	94	48	2	29	4	18	7	5	33	4	2	245
TOTAL	3416	2194	101	1056	120	781	423	273	909	112	93	9479

* Washington State Exempt, New York Partially Exempt.

NON-ACCREDITED LABORATORIES

Attachment A-2

INITIAL AND FOLLOW-UP SURVEY HOURS + COSTS

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL HOURS	ADJUSTED HOURS	HOURLY RATE	TOTAL COST
CT	716	217	27	86	0	99	57	47	83	24	21	1377	1324	\$69.16	\$91,568
ME	120	44	6	20	0	76	24	19	155	24	0	488	488	\$69.05	\$33,696
MA	745	492	6	281	14	129	81	28	332	146	222	2476	2411	\$70.25	\$169,373
NH	203	64	6	20	14	31	0	0	41	49	21	449	434	\$75.40	\$32,724
RI	185	44	0	26	7	15	24	10	10	0	0	321	277	\$63.24	\$17,517
VT	66	32	0	26	0	23	0	10	41	0	21	219	246	\$63.25	\$15,560
TOT. REG. I	2035	893	45	459	35	373	186	114	662	243	285	5330	5180		\$360,438
NJ	1563	786	20	307	14	237	120	47	218	0	121	3433	3512	\$88.75	\$311,690
NY *	2894	1540	47	655	49	381	208	112	311	60	121	6378	6010	\$126.43	\$759,844
PR	281	639	148	789	491	1212	803	675	2020	157	101	7316	7210	\$41.92	\$302,243
TOT. REG. II	4738	2965	215	1751	554	1830	1131	834	2549	217	343	17127	16732		\$1,373,777
DE	149	84	0	6	0	23	0	0	10	0	0	272	255	\$61.03	\$15,563
DC	66	38	0	6	0	0	0	0	21	0	0	131	125	\$103.25	\$12,906
MD	942	543	13	187	7	168	169	57	239	37	40	2402	2284	\$72.11	\$164,699
PA	1247	703	33	334	49	388	129	75	435	73	80	3546	3566	\$95.84	\$341,765
VA	967	831	27	374	29	328	153	75	332	24	40	3180	3146	\$56.00	\$176,176
WV	179	109	0	46	7	107	32	19	238	24	21	782	851	\$47.01	\$40,006
TOT. REG. III	3550	2308	73	953	92	1014	483	226	1275	158	181	10313	10227		\$751,115
AL	471	742	13	608	57	571	232	85	652	60	61	3552	3479	\$68.87	\$239,599
FL	3646	1846	40	715	57	381	177	132	415	183	323	7915	7710	\$79.52	\$613,099
GA	1479	1182	81	568	36	374	177	150	570	85	242	4944	5113	\$61.10	\$312,404
KY	549	658	6	494	14	282	153	103	466	49	121	2895	2651	\$67.08	\$177,829
MS	399	780	13	608	36	350	232	160	694	49	40	3361	3232	\$58.01	\$187,488
NC	1438	1259	188	675	93	374	177	150	404	61	101	4920	5191	\$51.74	\$268,582
SC	758	780	33	220	0	115	56	94	187	60	121	2424	2390	\$59.25	\$141,608
TN	746	1304	33	749	57	571	265	254	539	110	262	4890	4684	\$62.26	\$291,626
TOT. REG. IV	9486	8551	407	4637	350	3018	1469	1128	3927	657	1271	34901	34450		\$2,232,235
IL	1085	576	0	167	7	160	129	47	279	73	121	2644	2639	\$121.95	\$321,826
IN	477	250	0	174	14	107	105	65	166	49	40	1447	1430	\$65.99	\$94,366
MI	806	454	0	280	22	252	88	94	176	49	0	2221	2284	\$95.84	\$218,899
MN	448	332	87	60	22	99	105	150	321	24	0	1648	1696	\$63.66	\$107,967
OH	674	389	0	140	7	206	88	94	177	13	21	1809	1760	\$74.84	\$131,718
WI	519	383	47	361	22	343	120	150	497	61	21	2524	2471	\$81.95	\$202,498
TOT. REG. V	4009	2384	134	1182	94	1167	635	600	1616	269	203	12293	12280		\$1,077,274
AR	496	536	33	454	42	266	105	112	487	73	80	2684	2751	\$61.52	\$169,242
LA	358	326	0	227	22	153	72	103	279	73	0	1613	1698	\$74.10	\$125,822
NM	179	96	6	20	0	15	32	10	51	0	0	409	412	\$77.13	\$31,778
OK	364	326	27	154	22	175	184	150	404	37	0	1843	1909	\$63.42	\$121,069
TX	2297	2115	81	1043	93	831	409	282	1036	146	323	8656	8754	\$61.55	\$538,809
TOT. REG. VI	3694	3399	147	1898	179	1440	802	657	2257	329	403	15205	15524		\$986,720
IA	376	454	20	227	22	144	105	187	777	61	21	2394	2429	\$69.64	\$169,156
KS	328	326	27	107	36	228	256	132	560	24	80	2104	2175	\$72.88	\$158,514
MO	758	486	27	154	0	160	81	75	518	37	101	2397	2676	\$55.95	\$149,722
NE	358	320	20	174	29	190	136	84	373	49	0	1733	1754	\$60.50	\$106,117
TOT. REG. VII	1820	1586	94	662	87	722	578	478	2228	171	202	8628	9034		\$583,509
CO	829	549	0	167	7	115	96	65	166	24	21	2039	2015	\$64.82	\$130,612
MT	149	90	20	34	29	122	88	57	166	0	0	755	831	\$70.64	\$58,702
ND	18	44	0	26	7	115	88	85	62	0	0	445	457	\$74.04	\$33,836
SD	220	76	54	54	29	38	120	47	166	0	0	804	856	\$59.17	\$50,650
UT	543	396	0	120	0	91	40	47	176	73	21	1507	1378	\$66.19	\$91,210
WY	90	44	0	20	36	69	16	28	83	0	0	386	415	\$89.02	\$36,943
TOT. REG. VIII	1849	1199	74	421	108	550	448	329	819	97	42	5936	5952		\$401,953
AZ	913	422	0	154	14	129	129	65	269	49	80	2224	2116	\$60.06	\$127,087
CA	4749	1859	40	688	29	564	346	235	1285	255	403	10453	11083	\$88.44	\$980,181
HI	179	84	6	40	7	46	24	10	41	0	0	437	437	\$85.12	\$37,197
HI (PACIFIC)	24	13	6	0	7	0	0	19	10	24	21	124	92	\$85.12	\$7,824
NV	299	172	6	80	0	107	56	57	166	0	61	1004	918	\$84.98	\$78,012
TOT. REG. IX	6164	2550	58	962	57	846	555	386	1771	328	565	14242	14646		\$1,230,301
AK	113	44	6	46	14	53	16	10	31	0	0	333	356	\$93.83	\$33,403
ID	376	160	20	80	22	53	32	65	238	13	0	1059	1017	\$65.42	\$66,532
OR	566	370	0	241	22	143	56	9	368	83	60	1918	1940	\$101.10	\$196,134
TOT. REG. X*	1055	574	26	367	58	249	104	84	637	96	60	3310	3313		\$296,069
TOTAL	38400	26409	1273	13292	1614	11209	6391	4836	17741	2565	3555	127285	127338		\$9,293,391

* Washington State Exempt, New York Partially Exempt.

ACCREDITED LABORATORIES

Attachment A-3

VALIDATION AND FOLLOW-UP SURVEY COUNTS

REGION STATE	LVA	A	B	C	D	E	F	G	H	I	J	TOTAL
CT	0.51	0.32	0.00	0.35	0.03	0.27	0.16	0.06	0.64	0.27	0.64	3
ME	0.13	0.08	0.00	0.03	0.00	0.08	0.05	0.00	0.38	0.13	0.27	1
MA	1.21	0.99	0.24	0.40	0.21	0.69	0.35	0.16	1.74	0.43	1.45	8
NH	0.19	0.27	0.00	0.19	0.00	0.08	0.03	0.03	0.32	0.13	0.16	1
RI	0.11	0.05	0.03	0.11	0.00	0.08	0.03	0.00	0.13	0.11	0.27	1
VT	0.16	0.08	0.00	0.03	0.00	0.03	0.08	0.03	0.16	0.08	0.11	1
TOT. REG. I	2.31	1.80	0.27	1.10	0.24	1.23	0.70	0.27	3.38	1.15	2.90	15
NJ	1.18	1.23	0.05	0.80	0.05	0.80	0.24	0.27	0.83	0.46	1.58	8
NY*	0.94	1.32	0.03	0.96	0.00	0.67	0.49	0.19	0.96	0.19	0.11	6
PR	0.03	0.16	0.00	0.11	0.00	0.08	0.08	0.03	0.48	0.27	0.56	2
TOT. REG. II	2.15	2.71	0.08	1.88	0.05	1.56	0.81	0.48	2.28	0.91	2.25	15
DE	0.08	0.00	0.00	0.16	0.00	0.05	0.03	0.00	0.24	0.03	0.16	1
DC	0.08	0.11	0.00	0.08	0.00	0.13	0.08	0.00	0.16	0.03	0.13	1
MD	1.21	1.07	0.03	0.67	0.03	0.67	0.30	0.11	1.07	0.35	0.94	6
PA	1.71	1.50	0.00	1.16	0.02	0.99	0.62	0.24	1.56	1.23	2.79	12
VA	1.44	1.91	0.02	1.64	0.06	1.21	0.59	0.48	2.68	0.64	0.97	12
WV	0.24	0.16	0.03	0.08	0.00	0.21	0.16	0.03	0.70	0.29	0.43	2
TOT. REG. III	4.77	4.75	0.07	3.79	0.11	3.28	1.77	0.85	6.41	2.57	5.42	34
AL	1.15	1.21	0.18	1.18	0.62	1.34	0.59	0.38	1.80	0.67	1.05	10
FL	4.19	3.98	0.39	4.19	0.21	4.09	3.24	1.55	6.45	2.36	4.55	35
GA	0.97	1.51	0.24	1.21	0.35	1.32	0.86	0.37	2.81	0.86	1.47	12
KY	0.35	0.54	0.00	0.65	0.00	0.57	0.24	0.35	1.50	0.70	0.88	6
MS	0.46	0.80	0.05	0.62	0.00	0.46	0.27	0.21	1.02	0.46	0.38	5
NC	2.41	3.38	0.14	2.77	0.24	2.73	1.31	0.52	3.76	1.05	1.61	20
SC	1.50	1.91	0.05	1.79	0.13	0.84	0.62	0.46	1.71	0.40	0.77	10
TN	0.81	1.18	0.32	0.78	0.13	0.81	0.48	0.43	2.15	1.02	1.40	9
TOT. REG. IV	11.83	14.50	1.37	13.18	1.68	12.14	7.62	4.26	21.19	7.52	12.10	107
IL	2.58	2.47	0.16	1.42	0.27	1.31	0.53	0.48	3.14	1.17	2.09	16
IN	1.63	1.10	0.03	1.15	0.08	0.86	0.46	0.40	1.96	0.86	1.42	10
MI	1.77	2.12	0.05	1.50	0.13	1.31	0.67	0.56	2.25	1.29	1.74	13
MN	1.95	3.09	0.50	2.82	0.83	2.13	0.96	0.30	2.01	0.50	0.65	16
OH	2.53	2.70	0.13	1.63	0.27	1.77	0.99	0.72	3.71	1.07	2.38	18
WI	0.56	1.26	0.19	1.29	0.22	0.59	0.59	0.46	2.68	0.72	0.84	9
TOT. REG. V	11.02	12.74	1.06	9.81	1.80	7.97	4.20	2.92	15.76	5.62	9.12	82
AR	0.51	0.78	0.03	0.40	0.06	0.48	0.30	0.24	1.07	0.35	0.40	5
LA	1.85	1.85	0.02	1.23	0.11	0.99	0.59	0.35	2.38	0.78	1.13	11
NM	0.32	0.19	0.00	0.11	0.05	0.21	0.24	0.21	0.75	0.27	0.32	3
OK	0.51	1.29	0.08	0.89	0.05	0.91	0.37	0.51	1.53	0.70	0.75	8
TX	9.65	15.58	0.62	8.66	0.56	5.81	3.28	2.41	8.16	2.91	4.33	62
TOT. REG. VI	12.84	19.69	0.75	11.28	0.83	8.42	4.77	3.72	13.90	5.00	6.93	88
IA	0.86	0.65	0.13	0.73	0.00	0.27	0.21	0.16	0.99	0.40	0.35	5
KS	0.40	0.54	0.11	0.13	0.13	0.27	0.21	0.08	1.15	0.21	0.38	4
MO	1.05	0.89	0.05	0.56	0.08	0.81	0.37	0.16	1.50	0.62	1.23	7
NE	0.21	0.46	0.03	0.21	0.03	0.21	0.08	0.19	0.80	0.30	0.21	3
TOT. REG. VII	2.52	2.52	0.32	1.64	0.24	1.55	0.88	0.59	4.45	1.53	2.17	18
CO	0.86	1.12	0.03	0.61	0.03	0.67	0.35	0.30	1.31	0.48	0.70	6
MT	0.11	0.05	0.00	0.11	0.08	0.11	0.03	0.05	0.35	0.08	0.16	1
ND	0.16	0.27	0.00	0.35	0.05	0.19	0.16	0.03	0.43	0.05	0.19	2
SD	0.05	0.51	0.05	0.30	0.05	0.30	0.24	0.11	0.78	0.08	0.08	3
UT	0.75	0.40	0.00	0.24	0.03	0.40	0.35	0.11	0.83	0.19	0.32	4
WY	0.08	0.11	0.00	0.19	0.03	0.13	0.00	0.03	0.30	0.05	0.05	1
TOT. REG. VIII	2.01	2.47	0.08	1.80	0.27	1.80	1.13	0.62	4.00	0.94	1.50	17
AZ	0.91	1.71	0.00	0.51	0.13	0.75	0.62	0.51	1.28	0.75	1.05	8
CA	4.06	3.82	0.12	3.08	0.33	2.73	1.78	0.92	5.62	3.05	5.36	31
HI	0.19	0.20	0.00	0.18	0.08	0.00	0.03	0.08	0.27	0.11	0.13	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	0.08	0.38	0.10	0.28	0.17	0.28	0.56	0.19	0.40	3
TOT. REG. IX	5.48	6.09	0.19	4.15	0.63	3.75	2.60	1.78	7.73	4.09	6.94	43
AK	0.13	0.32	0.00	0.21	0.00	0.08	0.11	0.08	0.43	0.05	0.05	1
ID	0.27	0.30	0.00	0.13	0.03	0.08	0.13	0.19	0.27	0.05	0.24	2
OR	0.56	0.40	0.00	0.45	0.06	0.43	0.45	0.22	1.05	0.43	0.54	5
TOT. REG. X*	0.97	1.02	0.00	0.80	0.08	0.59	0.70	0.48	1.74	0.54	0.83	8
TOTAL	56	68	4	49	6	42	25	16	81	30	50	428

* Washington State Exempt, New York Partially Exempt.

**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	6	4	0	4	0	4	2	1	13	6	24	65	63	\$69.16	\$4,339
ME	2	1	0	0	0	1	1	0	7	3	10	25	25	\$69.05	\$1,750
MA	14	11	3	5	3	10	5	3	34	10	55	153	150	\$70.25	\$10,514
NH	2	3	0	2	0	1	0	0	6	3	6	25	24	\$75.40	\$1,808
RI	1	1	0	1	0	1	0	0	3	2	10	20	18	\$63.24	\$1,159
VT	2	1	0	0	0	0	1	0	3	2	4	14	15	\$63.25	\$961
TOT. REG. I	26	21	3	14	3	18	11	5	66	26	110	302	295		\$20,531
NJ	13	14	1	10	1	12	4	5	16	10	60	146	148	\$88.75	\$13,095
NY	11	15	0	12	0	10	7	3	19	4	4	85	81	\$126.43	\$10,282
PR	0	2	0	1	0	1	1	0	9	6	21	43	43	\$41.92	\$1,815
TOT. REG. II	24	31	1	24	1	22	12	9	45	21	86	274	272		\$25,192
DE	1	0	0	2	0	1	0	0	5	1	6	16	15	\$61.03	\$887
DC	1	1	0	1	0	2	1	0	3	1	5	15	15	\$103.25	\$1,562
MD	14	12	0	8	0	10	4	2	21	8	36	115	111	\$72.11	\$8,040
PA	19	17	0	15	0	14	9	4	30	28	106	244	245	\$95.84	\$23,442
VA	16	22	0	21	1	17	9	8	52	15	37	198	197	\$56.00	\$11,026
WV	3	2	0	1	0	3	2	0	14	7	16	48	51	\$47.01	\$2,420
TOT. REG. III	54	54	1	48	1	47	27	15	125	59	206	636	634		\$47,377
AL	13	14	2	15	8	19	9	7	35	15	40	177	174	\$68.87	\$11,990
FL	47	45	5	53	3	59	49	27	126	54	173	640	629	\$79.52	\$50,048
GA	11	17	3	15	5	19	13	7	55	20	56	220	226	\$61.10	\$13,792
KY	4	6	0	8	0	8	4	6	29	16	34	115	108	\$67.08	\$7,226
MS	5	9	1	8	0	7	4	4	20	10	14	82	80	\$58.01	\$4,627
NC	27	38	2	35	3	39	20	9	73	24	61	332	346	\$51.74	\$17,899
SC	17	21	1	23	2	12	9	8	33	9	29	165	163	\$59.25	\$9,644
TN	9	13	4	10	2	12	7	8	42	23	53	183	177	\$62.26	\$10,998
TOT. REG. IV	133	164	17	166	23	174	115	75	414	172	460	1913	1902		\$126,224
IL	29	28	2	18	4	19	8	9	61	27	80	284	284	\$121.95	\$34,583
IN	18	12	0	15	1	12	7	7	38	20	54	185	184	\$65.99	\$12,138
MI	20	24	1	19	2	19	10	10	44	29	66	244	249	\$95.84	\$23,847
MN	22	35	6	35	11	31	15	5	39	12	25	235	241	\$63.66	\$15,372
OH	28	31	2	21	4	25	15	13	72	25	91	325	319	\$74.84	\$23,888
WI	6	14	2	16	3	8	9	8	52	17	32	168	165	\$81.95	\$13,540
TOT. REG. V	124	144	13	123	24	114	63	52	308	129	347	1441	1442		\$123,368
AR	6	9	0	5	1	7	4	4	21	8	15	81	83	\$61.52	\$5,079
LA	21	21	0	15	2	14	9	6	47	18	43	196	204	\$74.10	\$15,084
NM	4	2	0	1	1	3	4	4	15	6	12	51	51	\$77.13	\$3,961
OK	6	15	1	11	1	13	6	9	30	16	29	135	139	\$63.42	\$8,829
TX	108	176	8	109	7	83	50	43	159	67	165	974	983	\$61.55	\$60,533
TOT. REG. VI	144	222	10	142	11	121	72	66	271	115	264	1437	1460		\$93,486
IA	10	7	2	9	0	4	3	3	19	9	13	79	80	\$69.64	\$5,601
KS	5	6	1	2	2	4	3	1	23	5	14	66	68	\$72.88	\$4,930
MO	12	10	1	7	1	12	6	3	29	14	47	141	153	\$55.95	\$8,547
NE	2	5	0	3	0	3	1	3	16	7	8	49	49	\$60.50	\$2,972
TOT. REG. VII	28	28	4	21	3	22	13	10	87	35	82	335	350		\$22,050
CO	10	13	0	8	0	10	5	5	26	11	27	114	113	\$64.82	\$7,335
MT	1	1	0	1	1	2	0	1	7	2	6	22	24	\$70.64	\$1,688
ND	2	3	0	4	1	3	2	0	8	1	7	32	33	\$74.04	\$2,469
SD	1	6	1	4	1	4	4	2	15	2	3	41	43	\$59.17	\$2,567
UT	8	5	0	3	0	6	5	2	16	4	12	62	58	\$66.19	\$3,846
WY	1	1	0	2	0	2	0	0	6	1	2	16	17	\$89.02	\$1,539
TOT. REG. VIII	23	28	1	23	4	26	17	11	78	22	57	288	289		\$19,444
AZ	10	19	0	6	2	11	9	9	25	17	40	149	144	\$60.06	\$8,640
CA	46	43	2	39	5	39	28	16	110	70	204	601	626	\$88.44	\$55,349
HI	2	2	0	2	1	0	0	1	5	2	5	22	22	\$85.12	\$1,890
HI(PACIFIC)	0	0	0	0	0	0	0	0	0	0	0	0	0	\$85.12	\$0
NV	4	4	1	5	1	4	3	5	11	4	15	57	53	\$84.98	\$4,500
TOT. REG. IX	62	69	3	53	9	54	40	31	151	94	264	829	845		\$70,379
AK	2	4	0	3	0	1	2	1	8	1	2	24	25	\$93.83	\$2,314
ID	3	3	0	2	0	1	2	3	5	1	9	31	30	\$65.42	\$1,934
OR	6	5	0	5	1	5	5	2	12	5	6	52	53	\$101.10	\$5,332
TOT. REG. X	11	12	0	9	1	7	9	7	25	7	17	106	107		\$9,580
TOTAL	628	771	53	622	80	606	380	281	1570	679	1893	7562	7597		\$557,631

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	1,387	198	\$69.16	\$13,694	462	\$69.16	\$31,952	\$45,646	\$15,984	\$61,630
ME	513	73	\$69.05	\$5,041	171	\$69.05	\$11,808	\$16,849	\$5,908	\$22,756
MA	2,561	366	\$70.25	\$25,712	853	\$70.25	\$59,923	\$85,635	\$29,981	\$115,616
NH	458	65	\$75.40	\$4,901	153	\$75.40	\$11,536	\$16,437	\$5,755	\$22,193
RI	295	42	\$63.24	\$2,656	98	\$63.24	\$6,198	\$8,854	\$3,113	\$11,966
VT	261	37	\$63.25	\$2,340	87	\$63.25	\$5,503	\$7,843	\$2,753	\$10,596
TOT. REG. I	5,475	781		\$54,344	1,824		\$126,919	\$181,263	\$63,495	\$244,758
NJ	3,660	523	\$88.75	\$46,416	1,219	\$88.75	\$108,186	\$154,602	\$54,131	\$208,733
NY	6,091	870	\$126.43	\$109,994	2,028	\$126.43	\$256,400	\$366,394	\$128,354	\$494,748
PR	7,253	1,036	\$41.92	\$43,429	2,415	\$41.92	\$101,237	\$144,666	\$50,676	\$195,342
TOT. REG. II	17,004	2,429		\$199,839	5,662		\$465,823	\$665,662	\$233,162	\$898,824
DE	270	38	\$61.03	\$2,319	90	\$61.03	\$5,493	\$7,812	\$2,742	\$10,553
DC	140	20	\$103.25	\$2,065	47	\$103.25	\$4,853	\$6,918	\$2,411	\$9,329
MD	2,395	342	\$72.11	\$24,662	798	\$72.11	\$57,544	\$82,206	\$28,790	\$110,996
PA	3,811	544	\$95.84	\$52,137	1,269	\$95.84	\$121,621	\$173,758	\$60,868	\$234,626
VA	3,343	477	\$56.00	\$26,712	1,113	\$56.00	\$62,328	\$89,040	\$31,200	\$120,240
WV	902	129	\$47.01	\$6,064	301	\$47.01	\$14,150	\$20,214	\$7,071	\$27,285
TOT. REG. III	10,861	1,550		\$113,959	3,618		\$265,988	\$379,947	\$133,082	\$513,029
AL	3,653	522	\$68.87	\$35,950	1,216	\$68.87	\$83,746	\$119,696	\$41,932	\$161,627
FL	8,339	1,191	\$79.52	\$94,708	2,777	\$79.52	\$220,827	\$315,535	\$110,525	\$426,060
GA	5,339	762	\$61.10	\$46,558	1,778	\$61.10	\$108,636	\$155,194	\$54,366	\$209,560
KY	2,759	394	\$67.08	\$26,430	919	\$67.08	\$61,647	\$88,077	\$30,842	\$118,919
MS	3,312	473	\$58.01	\$27,439	1,103	\$58.01	\$63,985	\$91,424	\$32,019	\$123,443
NC	5,537	791	\$51.74	\$40,926	1,844	\$51.74	\$95,409	\$136,335	\$47,747	\$184,082
SC	2,553	365	\$59.25	\$21,626	850	\$59.25	\$50,363	\$71,989	\$25,209	\$97,197
TN	4,861	694	\$62.26	\$43,208	1,619	\$62.26	\$100,799	\$144,007	\$50,437	\$194,444
TOT. REG. IV	36,352	5,192		\$336,845	12,106		\$785,410	\$1,122,255	\$393,077	\$1,515,332
IL	2,923	417	\$121.95	\$50,853	973	\$121.95	\$118,657	\$169,510	\$59,401	\$228,912
IN	1,614	230	\$65.99	\$15,178	537	\$65.99	\$35,437	\$50,615	\$17,751	\$68,365
MI	2,533	362	\$95.84	\$34,694	843	\$95.84	\$80,793	\$115,487	\$40,458	\$155,945
MN	1,937	277	\$63.66	\$17,634	645	\$63.66	\$41,061	\$58,695	\$20,557	\$79,251
OH	2,079	297	\$74.84	\$22,227	692	\$74.84	\$51,789	\$74,016	\$25,934	\$99,951
WI	2,636	376	\$81.95	\$30,813	878	\$81.95	\$71,952	\$102,765	\$36,006	\$138,772
TOT. REG. V	13,722	1,959		\$171,399	4,568		\$399,689	\$571,088	\$200,107	\$771,195
AR	2,834	405	\$61.52	\$24,916	944	\$61.52	\$58,075	\$82,991	\$29,053	\$112,044
LA	1,902	272	\$74.10	\$20,155	633	\$74.10	\$46,905	\$67,060	\$23,484	\$90,545
NM	463	66	\$77.13	\$5,091	154	\$77.13	\$11,878	\$16,969	\$5,956	\$22,925
OK	2,048	292	\$63.42	\$18,519	682	\$63.42	\$43,252	\$61,771	\$21,650	\$83,421
TX	9,737	1,391	\$61.55	\$85,616	3,243	\$61.55	\$199,607	\$285,223	\$99,890	\$385,113
TOT. REG. VI	16,984	2,426		\$154,297	5,656		\$359,717	\$514,014	\$180,034	\$694,048
IA	2,509	358	\$69.64	\$24,931	836	\$69.64	\$58,219	\$83,150	\$29,126	\$112,276
KS	2,243	320	\$72.88	\$23,322	747	\$72.88	\$54,441	\$77,763	\$27,241	\$105,004
MO	2,829	404	\$55.95	\$22,604	942	\$55.95	\$52,705	\$75,309	\$26,378	\$101,687
NE	1,803	257	\$60.50	\$15,549	600	\$60.50	\$36,300	\$51,849	\$18,181	\$70,030
TOT. REG. VII	9,384	1,339		\$86,406	3,125		\$201,665	\$288,071	\$100,926	\$388,998
CO	2,128	304	\$64.82	\$19,705	709	\$64.82	\$45,957	\$65,662	\$22,991	\$88,654
MT	855	122	\$70.64	\$8,618	285	\$70.64	\$20,132	\$28,750	\$10,065	\$38,815
ND	490	70	\$74.04	\$5,183	163	\$74.04	\$12,069	\$17,252	\$6,051	\$23,302
SD	899	128	\$59.17	\$7,574	299	\$59.17	\$17,692	\$25,266	\$8,869	\$34,135
UT	1,436	205	\$66.19	\$13,569	478	\$66.19	\$31,639	\$45,208	\$15,843	\$61,050
WY	432	62	\$89.02	\$5,519	144	\$89.02	\$12,819	\$18,338	\$6,414	\$24,752
TOT. REG. VIII	6,241	891		\$60,168	2,078		\$140,308	\$200,476	\$70,233	\$270,709
AZ	2,260	323	\$60.06	\$19,399	753	\$60.06	\$45,225	\$64,624	\$22,621	\$87,245
CA	11,709	1,672	\$88.44	\$147,872	3,899	\$88.44	\$344,828	\$492,700	\$172,588	\$665,288
HI	459	66	\$85.12	\$5,618	153	\$85.12	\$13,023	\$18,641	\$6,515	\$25,156
HI (PACIFIC)	92	13	\$85.12	\$1,107	31	\$85.12	\$2,639	\$3,746	\$1,304	\$5,050
NV	971	139	\$84.98	\$11,812	323	\$84.98	\$27,449	\$39,261	\$13,752	\$53,012
TOT. REG. IX	15,491	2,213		\$185,808	5,159		\$433,163	\$618,971	\$216,780	\$835,751
AK	381	54	\$93.83	\$5,067	127	\$93.83	\$11,916	\$16,983	\$5,953	\$22,936
ID	1,047	149	\$65.45	\$9,752	349	\$65.45	\$22,842	\$32,594	\$11,416	\$44,010
OR	1,993	285	\$101.10	\$28,814	664	\$101.10	\$67,130	\$95,944	\$33,578	\$129,522
TOT. REG. X	3,420	488		\$43,633	1,140		\$101,889	\$145,522	\$50,947	\$196,469
TOTAL	134,935	19,268		\$1,406,698	44,936		\$3,280,573	\$4,687,271	\$1,641,842	\$6,329,113

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

Attachment C

ATTACHMENT C

REGION STATE	NUMBER OF LABS THAT FAILED	UNSUCCESSFUL PT EVENTS	REVIEW TIME (2 HRSEACH)	UNIT COST	ESTIMATED TOTAL COST
CT	6	6	12	\$69.16	\$ 830
ME	8	9	18	\$69.05	\$ 1,243
MA	6	10	20	\$70.25	\$ 1,405
NH	1	1	2	\$75.40	\$ 151
RI	0	0	0	\$63.24	\$ -
VT	0	0	0	\$63.25	\$ -
TOT. REG. I	21	26	52		\$ 3,629
NJ	11	38	76	\$88.75	\$ 6,745
NY	76	133	266	\$126.43	\$ 33,630
PR	48	161	322	\$41.92	\$ 13,498
TOT. REG. II	135	332	664		\$ 53,873
DE	1	1	2	\$61.03	\$ 122
DC	0	0	0	\$103.25	\$ -
MD	14	29	58	\$72.11	\$ 4,182
PA	14	27	54	\$95.84	\$ 5,175
VA	10	23	46	\$56.00	\$ 2,576
WV	6	8	16	\$47.01	\$ 752
TOT. REG. III	45	88	176		\$ 12,807
AL	26	40	80	\$68.87	\$ 5,510
FL	27	87	174	\$79.52	\$ 13,836
GA	33	57	114	\$61.10	\$ 6,965
KY	19	51	102	\$67.08	\$ 6,842
MS	31	64	128	\$58.01	\$ 7,425
NC	20	43	86	\$51.74	\$ 4,450
SC	16	46	92	\$59.25	\$ 5,451
TN	37	79	158	\$62.26	\$ 9,837
TOT. REG. IV	209	467	934		\$ 60,316
IL	7	10	20	\$121.95	\$ 2,439
IN	3	3	6	\$65.99	\$ 396
MI	17	29	58	\$95.84	\$ 5,559
MN	8	8	16	\$63.66	\$ 1,019
OH	1	2	4	\$74.84	\$ 299
WI	6	7	14	\$81.95	\$ 1,147
TOT. REG. V	42	59	118		\$ 10,859
AR	21	50	100	\$61.52	\$ 6,152
LA	7	20	40	\$74.10	\$ 2,964
NM	4	6	12	\$77.13	\$ 926
OK	15	32	64	\$63.42	\$ 4,059
TX	41	98	196	\$61.55	\$ 12,064
TOT. REG. VI	88	206	412		\$ 26,165
IA	13	23	46	\$69.64	\$ 3,203
KS	11	13	26	\$72.88	\$ 1,895
MO	17	47	94	\$55.95	\$ 5,259
NE	9	12	24	\$60.50	\$ 1,452
TOT. REG. VII	50	95	190		\$ 11,809
CO	7	15	30	\$64.82	\$ 1,945
MT	7	9	18	\$70.64	\$ 1,272
ND	2	3	6	\$74.04	\$ 444
SD	8	34	68	\$59.17	\$ 4,024
UT	5	9	18	\$66.19	\$ 1,191
WY	4	4	8	\$89.02	\$ 712
TOT. REG. VIII	33	74	148		\$ 9,588
AZ	10	17	34	\$60.06	\$ 2,042
CA	38	93	186	\$88.44	\$ 16,450
HI	0	0	0	\$85.12	\$ -
HI (PACIFIC)	1	1	2	\$85.12	\$ 170
NV	4	7	14	\$84.98	\$ 1,190
TOT. REG. IX	53	118	236		\$ 19,852
AK	0	0	0	\$93.83	\$ -
ID	16	51	102	\$65.42	\$ 6,673
OR	17	71	142	\$101.10	\$ 14,356
TOT. REG. X	33	122	244		\$ 21,029
TOTALS	709	1,587	3,174		\$ 229,927

NOTE: NATIONAL AVERAGE LABORATORY FAILURE RATE IS 4.00% (709 LABS THAT FAILED / 17717 TOTAL LABS)
 NOTE: AVERAGE TEST FAILURE RATE IS 2.24 PER FAILED LAB (1,587 UNSUCCESSFUL EVENTS / 709 LABS THAT FAILED)

TOTAL FY 2019 FUNDING

REGION STATE	TOTAL COST NONACCREDITED SURVEYS	TOTAL COST ACCREDITED SURVEYS	TOTAL SUPPORT COSTS	TOTAL PROFICIENCY	TOTAL BUDGET
CT	\$91,568	\$4,339	\$61,630	\$830	\$158,367
ME	\$33,696	\$1,750	\$22,756	\$1,243	\$59,445
MA	\$169,373	\$10,514	\$115,616	\$1,405	\$296,908
NH	\$32,724	\$1,808	\$22,193	\$151	\$56,876
RI	\$17,517	\$1,159	\$11,966	\$0	\$30,642
VT	\$15,560	\$961	\$10,596	\$0	\$27,117
TOT. REG. I	\$360,438	\$20,531	\$244,758	\$3,629	\$629,356
NJ	\$311,690	\$13,095	\$208,733	\$6,745	\$540,263
NY	\$759,844	\$10,282	\$494,748	\$33,630	\$1,298,504
PR	\$302,243	\$1,815	\$195,342	\$13,498	\$512,898
TOT. REG. II	\$1,373,777	\$25,192	\$898,824	\$53,873	\$2,351,666
DE	\$15,563	\$887	\$10,553	\$122	\$27,125
DC	\$12,906	\$1,562	\$9,329	\$0	\$23,797
MD	\$164,699	\$8,040	\$110,996	\$4,182	\$287,917
PA	\$341,765	\$23,442	\$234,626	\$5,175	\$605,008
VA	\$176,176	\$11,026	\$120,240	\$2,576	\$310,018
WV	\$40,006	\$2,420	\$27,285	\$752	\$70,463
TOT. REG. III	\$751,115	\$47,377	\$513,029	\$12,807	\$1,324,328
AL	\$239,599	\$11,990	\$161,627	\$5,510	\$418,726
FL	\$613,099	\$50,048	\$426,060	\$13,836	\$1,103,043
GA	\$312,404	\$13,792	\$209,560	\$6,965	\$542,721
KY	\$177,829	\$7,226	\$118,919	\$6,842	\$310,816
MS	\$187,488	\$4,627	\$123,443	\$7,425	\$322,983
NC	\$268,582	\$17,899	\$184,082	\$4,450	\$475,013
SC	\$141,608	\$9,644	\$97,197	\$5,451	\$253,900
TN	\$291,626	\$10,998	\$194,444	\$9,837	\$506,905
TOT. REG. IV	\$2,232,235	\$126,224	\$1,515,332	\$60,316	\$3,934,107
IL	\$321,826	\$34,583	\$228,912	\$2,439	\$587,760
IN	\$94,366	\$12,138	\$68,365	\$396	\$175,265
MI	\$218,899	\$23,847	\$155,945	\$5,559	\$404,250
MN	\$107,967	\$15,372	\$79,251	\$1,019	\$203,609
OH	\$131,718	\$23,888	\$99,951	\$299	\$255,856
WI	\$202,498	\$13,540	\$138,772	\$1,147	\$355,957
TOT. REG. V	\$1,077,274	\$123,368	\$771,195	\$10,859	\$1,982,696
AR	\$169,242	\$5,079	\$112,044	\$6,152	\$292,517
LA	\$125,822	\$15,084	\$90,545	\$2,964	\$234,415
NM	\$31,778	\$3,961	\$22,925	\$926	\$59,590
OK	\$121,069	\$8,829	\$83,421	\$4,059	\$217,378
TX	\$538,809	\$60,533	\$385,113	\$12,064	\$996,519
TOT. REG. VI	\$986,720	\$93,486	\$694,048	\$26,165	\$1,800,419
IA	\$169,156	\$5,601	\$112,276	\$3,203	\$290,236
KS	\$158,514	\$4,930	\$105,004	\$1,895	\$270,343
MO	\$149,722	\$8,547	\$101,687	\$5,259	\$265,215
NE	\$106,117	\$2,972	\$70,030	\$1,452	\$180,571
TOT. REG. VII	\$583,509	\$22,050	\$388,998	\$11,809	\$1,006,366
CO	\$130,612	\$7,335	\$88,654	\$1,945	\$228,546
MT	\$58,702	\$1,688	\$38,815	\$1,272	\$100,477
ND	\$33,836	\$2,469	\$23,302	\$444	\$60,051
SD	\$50,650	\$2,567	\$34,135	\$4,024	\$91,376
UT	\$91,210	\$3,846	\$61,050	\$1,191	\$157,297
WY	\$36,943	\$1,539	\$24,752	\$712	\$63,946
TOT. REG. VIII	\$401,953	\$19,444	\$270,709	\$9,588	\$701,694
AZ	\$127,087	\$8,640	\$87,245	\$2,042	\$225,014
CA	\$980,181	\$55,349	\$665,288	\$16,450	\$1,717,268
HI	\$37,197	\$1,890	\$25,156	\$0	\$64,243
HI (PACIFIC)	\$7,824	\$0	\$5,050	\$170	\$13,044
NV	\$78,012	\$4,500	\$53,012	\$1,190	\$136,714
TOT. REG. IX	\$1,230,301	\$70,379	\$835,751	\$19,852	\$2,156,283
AK	\$33,403	\$2,314	\$22,936	\$0	\$58,653
ID	\$66,532	\$1,934	\$44,010	\$6,673	\$119,149
OR	\$196,134	\$5,332	\$129,522	\$14,356	\$345,344
TOT. REG. X	\$296,069	\$9,580	\$196,469	\$21,029	\$523,147
TOTAL	\$9,293,391	\$557,631	\$6,329,113	\$229,927	\$16,410,062

STATE STAFFING LEVELS - SURVEYORS

	NON ACCR. SURVEYS (1 YR CYCLE)	VALIDATION WORKLOAD (1 YR)	COMPLAINTS FOLLOWUPS (1 YR)	TOTAL SURVEYS (1 YR)	TOTAL ONSITE FTE's
CT	103	3	7	113	0.9
ME	31	1	2	35	0.3
MA	165	8	12	184	1.5
NH	31	1	2	35	0.3
RI	25	1	2	27	0.2
VT	14	1	1	16	0.1
TOT.REG.1	369	15	26	410	3.4
NJ	255	8	18	280	2.3
NY	480	6	34	519	4.3
PR	446	2	31	479	4.0
TOT.REG.2	1181	15	83	1279	30.6
DE	21	1	1	24	0.2
DC	10	1	1	11	0.1
MD	174	6	12	193	1.6
PA	252	12	18	281	2.3
VA	229	12	16	257	2.1
WV	50	2	4	56	0.5
TOT.REG.3	737	34	52	822	6.9
AL	238	10	17	265	2.2
FL	584	35	41	660	5.5
GA	345	12	24	381	3.2
KY	195	6	14	215	1.8
MS	224	5	16	245	2.0
NC	355	20	25	400	3.3
SC	173	10	12	195	1.6
TN	329	9	23	361	3.0
TOT.REG.4	2444	107	171	2723	22.7
IL	188	16	13	217	1.8
IN	101	10	7	118	1.0
MI	162	13	11	186	1.6
MN	113	16	8	136	1.1
OH	130	18	9	158	1.3
WI	169	9	12	190	1.6
TOT.REG.5	863	82	60	1005	8.4
AR	180	5	13	197	1.6
LA	110	11	8	129	1.1
NM	30	3	2	35	0.3
OK	122	8	9	138	1.2
TX	603	62	42	707	5.9
TOT.REG.6	1045	88	73	1206	10.0
IA	152	5	11	168	1.4
KS	132	4	9	145	1.2
MO	162	7	11	181	1.5
NE	116	3	8	127	1.1
TOT.REG.7	563	18	39	621	5.2
CO	151	6	11	168	1.4
MT	50	1	3	54	0.5
ND	28	2	2	32	0.3
SD	55	3	4	61	0.5
UT	108	4	8	119	1.0
WY	26	1	2	29	0.2
TOT.REG.8	416	17	29	462	3.8
AZ	158	8	11	177	1.5
CA	748	31	52	831	6.9
HI	32	1	2	36	0.3
HI (Pacific	7	0	0	7	0.1
NV	67	3	5	75	0.6
TOT.REG.9	1012	43	71	1126	9.4
AK	24	1	2	27	0.2
ID	73	2	5	80	0.7
OR	131	5	9	145	1.2
TOT.REG.10	229	8	16	253	2.1
TOTAL	8858	428	620	9907	82.6

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

***ALTERNATIVE QUALITY ASSESMENT 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 2019.

INITIAL SURVEYS

Attachment H-1

AVERAGE HOURS PER SURVEY
10/1/15 THROUGH 9/30/17

	LVA	A	B	C	D	E	F	G	H	I	J	AVERAGE HOURS PER SURVEY	INITIAL SURVEY COUNTS
CT	7.44	8.40	11.25	8.31	0.00	10.30	8.46	8.50	29.28	14.50	21.00	8.87	206
MA	8.12	8.01	7.33	9.81	12.18	8.52	10.43	7.66	11.81	12.97	16.60	9.28	317
ME	6.62	8.35	4.50	5.16	0.00	12.90	6.16	9.00	9.46	6.25	0.00	8.35	64
NH	8.15	8.72	12.25	11.08	25.12	10.75	0.00	0.00	27.12	22.12	22.75	11.47	63
RI	7.34	7.21	0.00	7.12	7.00	8.75	7.91	51.00	7.00	0.00	0.00	8.22	50
VT	11.02	11.50	0.00	21.16	0.00	20.66	0.00	15.25	33.37	0.00	26.75	16.93	29
REG 1	7.82	8.30	9.50	9.58	15.14	10.86	8.80	12.84	15.50	14.28	17.98	9.50	729
NJ	11.14	13.50	11.25	10.96	10.75	15.68	11.48	11.08	23.88	0.00	90.60	13.28	445
NY	12.68	13.76	14.83	14.15	16.40	15.33	15.12	15.09	19.33	20.00	38.25	13.76	928
PR	10.66	11.70	12.01	11.79	11.68	12.02	12.07	11.79	13.04	19.77	30.56	12.27	873
VI *	19.32	23.50	14.50	17.50	0.00	0.00	0.00	0.00	28.83	0.00	0.00	21.32	13
REG 2	12.52	13.50	12.34	12.58	12.17	13.20	12.55	12.27	14.74	19.82	56.01	13.28	2273
DC	18.66	25.87	0.00	20.00	0.00	61.75	0.00	0.00	39.00	0.00	0.00	26.8	14
DE	6.27	6.25	0.00	7.12	0.00	6.50	0.00	0.00	17.50	37.00	0.00	7.32	42
MD	10.08	11.10	13.87	13.53	9.37	9.25	8.94	14.45	13.35	22.50	47.83	11.2	319
PA	8.38	8.26	8.00	8.54	9.43	10.32	8.77	8.14	14.76	19.96	16.00	9.34	533
VA	10.22	11.06	10.10	12.21	9.12	12.56	10.27	12.75	13.89	14.66	56.87	11.45	424
WV	15.19	17.89	0.00	13.65	16.50	14.85	14.00	14.25	33.15	39.50	16.00	20.29	102
REG 3	9.68	10.57	9.17	11.14	9.70	11.58	9.64	11.92	18.45	24.11	33.72	11.27	1434
AL	10.52	11.57	11.87	12.10	13.31	12.50	12.45	13.72	16.31	18.25	70.33	12.9	450
FL	9.97	10.14	12.81	11.30	11.40	13.41	10.73	12.04	13.78	12.71	34.43	10.86	1072
GA	10.34	11.76	11.05	10.54	15.70	12.26	10.82	9.17	15.91	13.50	33.66	11.88	628
KY	9.50	8.32	7.58	7.81	6.87	7.99	9.01	8.50	12.95	9.75	10.68	9.11	379
MS	9.06	9.40	8.58	9.34	9.43	10.74	13.14	17.32	20.60	34.43	78.62	12.22	462
NC	9.29	9.93	10.34	11.43	19.28	13.46	18.23	17.30	23.41	25.83	74.00	12.18	537
SC	7.60	7.33	11.65	10.10	11.00	7.98	9.07	9.15	11.23	10.37	32.04	8.64	338
TN	12.64	13.05	15.15	13.00	10.87	13.22	13.12	15.35	15.06	14.93	46.83	13.96	601
REG 4	9.88	10.43	11.31	10.90	12.79	11.99	12.24	13.36	16.59	16.00	39.65	11.61	4467
IL	10.45	11.32	0.00	11.58	12.00	13.28	13.71	14.87	15.95	19.12	18.58	11.76	357
IN	10.34	11.17	0.00	11.82	10.37	9.98	10.91	16.59	13.63	15.62	15.12	11.41	189
MI	9.27	10.86	0.00	11.18	16.16	12.09	13.30	11.06	14.69	25.75	0.00	10.92	319
MN	10.68	12.47	13.08	11.65	17.50	17.00	25.51	24.48	18.85	46.12	0.00	15.23	200
OH	8.99	10.80	0.00	11.38	8.25	10.18	10.84	13.08	10.35	14.00	27.50	10.15	259
WI	9.20	11.04	12.34	10.23	12.35	11.72	12.45	14.89	13.88	23.93	14.75	11.45	333
REG 5	9.79	11.22	12.73	11.10	13.21	12.08	14.61	16.31	14.78	22.96	18.40	11.66	1657
AR	14.25	12.92	12.86	14.33	12.23	16.17	16.33	20.07	24.91	41.75	68.25	17.12	379
LA	12.35	16.40	0.00	16.69	0.00	17.57	23.75	47.05	46.72	63.04	0.00	21.94	188
NM	6.48	8.28	11.25	28.91	0.00	22.25	26.60	33.75	29.20	0.00	0.00	12.22	62
OK	11.32	15.86	23.12	14.86	18.33	28.97	32.05	37.83	42.55	74.41	0.00	24.25	222
TX	10.38	10.69	11.63	12.97	14.65	18.13	20.94	27.50	27.33	27.25	65.96	15.13	967
REG 6	11.07	12.10	14.58	14.03	13.83	18.89	23.17	31.40	31.34	44.20	66.53	17.26	1818
IA	9.65	10.11	11.65	10.25	9.33	10.55	13.04	14.84	17.74	18.95	11.50	12.61	296
KS	10.24	10.73	11.00	10.71	16.50	15.04	14.30	20.75	16.16	14.50	30.43	13.46	176
MO	12.92	13.85	17.83	15.16	0.00	15.35	20.16	19.38	27.17	23.33	31.00	16.53	325
NE	8.72	8.91	8.95	8.75	9.25	13.00	16.08	11.19	12.59	13.25	0.00	10.51	238
REG 7	10.96	11.21	12.69	11.10	10.98	13.46	15.80	15.58	18.96	17.71	28.82	13.50	1035
CO	11.03	11.00	11.33	10.55	12.50	13.55	14.80	15.21	19.72	27.00	11.00	11.99	305
MT	10.99	12.69	10.83	12.12	14.31	20.73	16.39	21.05	22.12	0.00	0.00	15.82	105
ND	7.33	7.82	11.25	9.55	12.75	13.63	13.61	18.63	18.12	0.00	0.00	13.43	58
SD	9.68	8.16	10.18	10.25	14.75	13.60	18.20	16.00	17.81	0.00	0.00	12.60	111
UT	7.25	8.15	10.75	7.60	8.00	7.46	8.62	8.95	15.59	13.62	13.25	8.53	221
WY	10.25	13.75	0.00	22.83	18.65	14.52	16.37	24.00	19.80	0.00	0.00	15.98	50
REG 8	9.65	10.03	10.77	10.36	14.75	14.18	15.29	16.70	18.81	16.96	12.12	11.97	850
AS	21.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	48.75	0.00	39.66	3
AZ	7.21	7.03	0.00	8.23	11.75	8.90	9.28	11.55	10.69	14.10	27.33	8.24	279
CA	12.05	13.53	20.50	15.18	16.14	14.78	17.07	16.13	16.34	17.16	22.45	13.53	1364
HI	7.28	9.02	7.75	6.75	17.00	20.75	6.00	0.00	6.16	0.00	0.00	9.42	52
NV	7.84	8.50	16.00	9.63	0.00	9.93	11.35	9.35	12.00	0.00	11.16	9.24	126
GU	9.50	8.00	7.25	0.00	8.00	0.00	0.00	10.50	7.50	12.50	18.00	10.08	9
MP	9.00	0.00	0.00	0.00	0.00	0.00	0.00	19.00	0.00	0.00	0.00	14.00	2
REG 9	11.04	11.95	16.14	13.34	14.68	13.77	14.30	14.13	14.82	18.65	21.57	12.34	1835
AK	10.32	12.05	0.00	12.25	20.62	12.56	16.41	16.50	13.00	0.00	0.00	12.16	49
ID	9.44	10.32	8.00	10.68	20.91	14.83	13.00	14.71	14.18	8.25	0.00	11.18	147
OR	12.26	12.44	13.00	11.59	14.92	11.40	11.81	12.50	15.53	13.85	13.66	12.77	282
WA	0.00	0.00	0.00	14.00	0.00	6.50	6.25	11.25	0.00	0.00	0.00	9.50	4
REG 10	11.02	11.86	9.00	11.51	17.37	12.08	12.50	14.32	15.01	13.15	13.66	12.20	482
NATION	10.43	11.18	12.00	11.73	12.80	13.29	14.20	16.22	18.26	21.55	36.32	12.58	16,580

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

* Federal Workload

**FOLLOWUP SURVEYS
AVERAGE HOURS PER SURVEY
10/1/15 THROUGH 9/30/17**

Attachment H-2

	LVA	A	B	C	D	E	F	G	H	I	J	AVERAGE	FOLLOW-UP
												HOURS PER	SURVEY
												REVISIT	COUNTS
CT	0.00	9.00	0.00	0.00	0.00	9.50	0.00	12.50	0.00	0.00	0.00	10.33	3
MA	5.68	7.50	0.00	0.00	0.00	0.00	0.00	0.00	5.50	6.75	0.00	6.07	7
ME	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
NH	4.50	18.50	0.00	0.00	0.00	0.00	0.00	0.00	17.00	0.00	0.00	13.33	3
RI	0.00	0.00	0.00	0.00	0.00	3.75	0.00	0.00	0.00	0.00	0.00	3.75	1
VT	18.12	0.00	0.00	0.00	0.00	32.75	0.00	0.00	16.00	0.00	0.00	20.2	5
REG 1	9.07	11.66	0.00	7.50	0.00	15.33	0.00	12.50	13.62	6.75	0.00	11.48	19
NJ	0.00	0.00	0.00	0.00	0.00	23.00	0.00	0.00	20.12	0.00	0.00	17.68	4
NY	0.00	16.50	0.00	0.00	0.00	0.00	25.50	0.00	0.00	0.00	0.00	19.50	3
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	0.00	16.50	0.00	7.50	0.00	23.00	25.50	0.00	20.12	0.00	0.00	18.46	7
DC	10.75	12.75	0.00	0.00	0.00	0.00	0.00	0.00	23.50	0.00	0.00	14.93	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	14.60	7.30	6.00	14.00	0.00	0.00	5.25	0.00	0.00	0.00	0.00	10.17	19
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	8.84	7.11	0.00	7.42	0.00	11.43	5.25	8.75	5.62	0.00	0.00	8.13	36
WV	5.50	7.33	0.00	6.25	0.00	7.00	0.00	0.00	21.62	0.00	0.00	13.53	13
REG 3	10.53	7.70	6.00	8.02	0.00	10.55	5.25	8.75	18.27	0.00	0.00	10.02	72
AL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	13.75	0.00	0.00	13.75	1
FL	3.75	18.37	0.00	0.00	0.00	18.00	0.00	0.00	18.00	0.00	12.00	14.35	7
GA	7.75	13.50	0.00	0.00	0.00	11.50	15.50	0.00	9.25	0.00	15.62	12.63	9
KY	6.25	6.91	0.00	6.00	0.00	5.75	4.00	0.00	0.00	0.00	0.00	6.12	8
MS	5.25	5.75	0.00	9.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.75	3
NC	5.25	8.05	0.00	0.00	0.00	0.00	9.50	0.00	7.50	0.00	0.00	7.32	13
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	11.50	12.56	0.00	8.64	0.00	9.62	11.00	18.16	10.83	0.00	10.50	11.64	41
REG 4	7.95	11.43	0.00	8.41	0.00	10.65	9.90	18.16	11.06	0.00	13.15	10.60	82
IL	14.00	8.50	0.00	0.00	0.00	0.00	0.00	0.00	11.00	0.00	0.00	12.30	5
IN	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
MI	0.00	9.16	0.00	15.25	0.00	19.25	0.00	0.00	0.00	0.00	0.00	12.87	6
MN	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
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	14.00	8.25	0.00	15.25	0.00	19.25	0.00	0.00	11.00	0.00	0.00	12.00	12
AR	19.00	8.50	0.00	10.16	14.50	10.00	0.00	0.00	15.37	32.50	0.00	14.09	13
LA	8.12	11.14	0.00	9.22	0.00	8.75	11.75	12.25	19.78	9.80	0.00	11.63	53
NM	0.00	4.75	0.00	0.00	0.00	0.00	4.50	0.00	5.12	0.00	0.00	4.87	4
OK	6.25	8.29	0.00	9.75	0.00	10.35	10.16	41.66	16.10	23.50	0.00	14.56	31
TX	7.76	7.90	0.00	10.00	0.00	9.31	13.53	15.83	14.37	13.10	25.37	11.47	119
REG 6	8.34	9.19	0.00	9.77	14.50	9.54	11.79	20.28	15.37	14.92	25.37	11.98	220
IA	0.00	4.75	0.00	0.00	0.00	0.00	0.00	2.00	7.50	0.00	0.00	4.75	3
KS	3.60	3.94	0.00	4.00	4.00	4.00	4.00	4.00	4.14	4.00	3.58	3.95	47
MO	21.00	6.00	0.00	9.00	0.00	11.50	10.50	0.00	13.28	21.00	4.12	12.01	15
NE	0.00	0.00	0.00	0.00	0.00	68.00	0.00	0.00	0.00	0.00	0.00	68.00	1
REG 7	6.50	4.20	0.00	5.66	4.00	21.87	4.92	3.33	7.51	9.66	3.80	6.79	66
CO	8.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8.00	1
MT	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
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	6.25	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.25	1
UT	4.16	3.75	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4.06	4
WY	4.50	0.00	0.00	0.00	0.00	0.00	0.00	6.25	0.00	0.00	0.00	5.08	3
REG 8	5.10	3.75	0.00	0.00	0.00	0.00	0.00	6.25	0.00	0.00	0.00	5.08	9
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	0.00	0.00	0.00	4.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	4.50	1
CA	11.62	20.75	0.00	0.00	2.00	16.50	6.12	0.00	4.50	0.00	0.00	11.20	11
HI	0.00	0.00	0.00	0.00	0.00	2.00	0.00	0.00	0.00	0.00	0.00	2.00	1
NV	7.50	0.00	0.00	0.00	0.00	0.00	0.00	0.00	12.25	0.00	0.00	10.66	3
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	10.80	20.75	0.00	4.50	2.00	9.25	6.12	0.00	9.66	0.00	0.00	10.10	16
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	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	0.00	0.00	10.00	1
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	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	10.00	0.00	0.00	10.00	1
NATION	8.76	9.28	6.00	9.10	5.41	11.69	9.43	16.20	13.18	13.51	14.81	10.68	504

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

NATIONAL AVERAGE TRAVEL TIMES
10/1/15 Through 9/30/17

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	2.39	2.99	-0.60	0.14	0.27	-0.13
	ME	2.93	2.99	-0.06	0.00	0.27	-0.27
	MA	2.52	2.99	-0.47	0.13	0.27	-0.14
	NH	2.43	2.99	-0.56	0.14	0.27	-0.13
	RI	1.09	2.99	-1.90	1.00	0.27	0.73
	VT	4.70	2.99	1.71	0.95	0.27	0.68
REG II	NJ	3.16	2.99	0.17	1.00	0.27	0.73
	NY	2.14	2.99	-0.85	0.19	0.27	-0.08
	PR	2.68	2.99	-0.31	0.00	0.27	-0.27
REG III	DE	2.10	2.99	-0.89	0.00	0.27	-0.27
	DC	2.25	2.99	-0.74	0.70	0.27	0.43
	MD	2.23	2.99	-0.76	0.22	0.27	-0.05
	PA	3.00	2.99	0.01	0.00	0.27	-0.27
	VA	2.60	2.99	-0.39	2.43	0.27	2.16
	WV	4.24	2.99	1.25	0.93	0.27	0.66
REG IV	AL	2.61	2.99	-0.38	0.01	0.27	-0.26
	FL	2.56	2.99	-0.43	0.12	0.27	-0.15
	GA	3.40	2.99	0.41	0.11	0.27	-0.16
	KY	1.66	2.99	-1.33	0.15	0.27	-0.12
	MS	2.34	2.99	-0.65	0.06	0.27	-0.22
	NC	3.67	2.99	0.68	0.20	0.27	-0.07
	SC	2.72	2.99	-0.27	0.00	0.27	-0.27
	TN	2.27	2.99	-0.72	0.31	0.27	0.04
REG V	IL	2.89	2.99	-0.10	0.04	0.27	-0.23
	IN	2.75	2.99	-0.24	0.00	0.27	-0.27
	MI	3.30	2.99	0.31	0.09	0.27	-0.18
	MN	3.34	2.99	0.35	0.00	0.27	-0.27
	OH	2.54	2.99	-0.45	0.00	0.27	-0.27
	WI	2.60	2.99	-0.39	0.10	0.27	-0.17
REG VI	AR	3.28	2.99	0.29	0.21	0.27	-0.06
	LA	3.56	2.99	0.57	1.93	0.27	1.66
	NM	2.99	2.99	0.00	0.42	0.27	0.15
	OK	3.41	2.99	0.42	0.77	0.27	0.50
	TX	3.04	2.99	0.05	0.59	0.27	0.32
REG VII	IA	3.15	2.99	0.16	0.03	0.27	-0.24
	KS	3.43	2.99	0.44	0.43	0.27	0.16
	MO	4.60	2.99	1.61	0.50	0.27	0.23
	NE	3.06	2.99	0.07	0.56	0.27	0.29
REG VIII	CO	2.76	2.99	-0.23	0.02	0.27	-0.25
	MT	4.46	2.99	1.47	0.00	0.27	-0.27
	ND	3.36	2.99	0.37	0.00	0.27	-0.27
	SD	3.87	2.99	0.88	0.04	0.27	-0.23
	UT	1.72	2.99	-1.27	0.03	0.27	-0.24
	WY	4.02	2.99	1.03	0.08	0.27	-0.20
REG IX	AZ	2.22	2.99	-0.77	0.14	0.27	-0.13
	CA	3.73	2.99	0.74	0.47	0.27	0.20
	HI	2.90	2.99	-0.09	0.13	0.27	-0.15
	AS	17.67	2.99	14.68	0.00	0.27	-0.27
	GU	2.48	2.99	-0.51	0.00	0.27	-0.27
	MP	4.75	2.99	1.76	0.00	0.27	-0.27
	NV	1.58	2.99	-1.41	0.92	0.27	0.65
REG X	AK	3.84	2.99	0.85	0.00	0.27	-0.27
	ID	2.33	2.99	-0.66	0.22	0.27	-0.05
	OR	3.08	2.99	0.09	0.00	0.27	-0.27
	WA	5.00	2.99	2.01	0.00	0.27	-0.27

ATTACHMENT G

Guidelines and Program Emphases to be Followed by States In Preparing FY 2019 Clinical Laboratory Improvement Amendment (CLIA) Budgets

I. OVERVIEW

The State budget submissions should cover the period October 1, 2018 through September 30, 2019.

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 2019 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 2019 budget request.

CLIA Functions in FY 2019

In FY 2019 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 2019, 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 2017 decreased from Test Year 2016 (**approximately 47 less lab failures; 4 less unsuccessful test scores**). Based on national data a State can anticipate that approximately 4.0 percent of its labs will receive one or more unsuccessful ratings in FY 2019, with 2.2 percent 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 2019 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 Workbench (QW) for CLIA. A series of pre-recorded Webinars are posted to the QTSO Website and they describe the various features and functionality of QW 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 QW 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 QW for CLIA webinars are available to authorized CLIA users on <https://www.qtso.com/webex/qiesclasses.php>.

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 Community on Laboratory Accreditation (COLA) (see Admin Info: 07-23) which must be unannounced.

Surveyor Productivity

Based on approximately 16,580 total initial/recertification and 504 follow-up surveys logged into the CLIA database during the period October 1, 2015 through September 30, 2017, States required approximately 12.58 hours to conduct the average **onsite** CLIA certification survey and 10.68 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 2019. 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 2019 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:

- Consortia sponsored training events (per schedules set by each consortium). **State CLIA surveyor attendance is required**
- Basic Surveyor State Agency Training (on-line, Winter 2018)

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 2017, proposed sanctions for labs with conditions out of compliance totaled approximately 1.55 percent of laboratory surveys performed with 52.3 percent of the proposed adverse actions actually being imposed. This compares to CY 2016 enforcement of 2.1 percent and 50.9 percent respectively. States are required to enter enforcement data into the ACTS system timely.

Waived Laboratories

For the 2019 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 based on minimum performance standards States are encouraged to operate within productivity standards.

In FY 2019, 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 2019, 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 2019, 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 2019, 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 (<http://csrc.nist.gov/groups/STM/cmvp/documents/140-1/140val-all.htm>) NIST validated module. (<http://csrc.nist.gov/groups/STM/cmvp/index.html>)
- 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.

Minimum and Recommended Client Requirements: EXISTING or NEW EQUIPMENT		
Component	Minimum	Minimum or Higher Required for Survey Recommended for Other
<i>Processor</i>	Pentium Class (or equivalent) @ 1.2 GHz	Pentium Class (or equivalent) @ 2.0 GHz
<i>Memory (RAM)</i>	2GB	4 GB
<i>Available Disk Space</i>	4GB	10 GB on SATA 2 drive at 7200 RPM
<i>Monitor</i>	13" Color	Desktop 19": Color Flat Panel ≥1024x768 screen resolution Flat Panel for laptop or tablet
<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
<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>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

* States considering implementing Windows 10 should carefully evaluate CMS software with this Operating System before full scale deployment.

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>), beginning January 12, 2016, 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 1st 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 2019 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.