Matrix for determining HCBS Validation visits, Provider Self-Assessment (PSA) data through September 11, 2015 (The deadline for submitting PSAs)

Returned PSAs = 448\(^1,2\)

<table>
<thead>
<tr>
<th>Category</th>
<th>Category A</th>
<th>Category B</th>
<th>Category C</th>
<th>Category D</th>
<th>Category E</th>
<th>Category F</th>
<th>Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria(^a)</td>
<td>Youth Settings (^3)</td>
<td>90%-100% compliant</td>
<td>80%-89% compliant</td>
<td>70%-79% compliant</td>
<td>69% or less compliant</td>
<td>PSA Non-responders</td>
<td></td>
</tr>
<tr>
<td>PSA Survey results (% compliant)</td>
<td>29</td>
<td>244</td>
<td>144</td>
<td>24</td>
<td>7</td>
<td>33</td>
<td>481</td>
</tr>
<tr>
<td>Heightened Scrutiny(^6,7) (&quot;Yes&quot;)</td>
<td>0</td>
<td>3</td>
<td>8</td>
<td>2</td>
<td>0</td>
<td>N/A</td>
<td>13</td>
</tr>
<tr>
<td>On-site review (total on-site reviews = 95)(^5)</td>
<td>10% Random sample of returned PSA surveys = approx 3 site visits to Cat A</td>
<td>10% Random sample of returned PSA surveys = approx 24 site visits to Cat B</td>
<td>15% Random sample of returned PSA surveys = approx 22 site visits to Cat C</td>
<td>25% Random sample of returned PSA surveys = approx 6 site visits to Cat D</td>
<td>100% of returned PSA surveys = 7 site visits to Cat E</td>
<td>100% of PSA Non-responders = 33 site visits to Cat F</td>
<td>95</td>
</tr>
</tbody>
</table>

\(^1\) PSA response rate is 93% (448/481).

\(^2\) 79% (353) of PSA respondents are Residential settings. 21% (95) are Non-Residential settings.

\(^3\) Youth Settings (Category A) refer to settings that serve children under the age of 18 only.

\(^4\) Validation site selection process:
   A) Site visit to 100% of PSA non-responders (Category F).
   B) Site visit to 10% (randomly sampled) of “Youth Settings” (Category A).
   C) Using the remaining PSA data, sites are selected for a visit according to PSA compliance. (I.e., higher PSA setting compliance scores equal a lower chance of being selected for a site visit.) See details in above matrix.

\(^5\) Validation site visits:
   10% of Category A sites = 3
   10% of Category B sites = 24
   15% of Category C sites = 22
   25% of Category D sites = 6
   100% of Category E sites = 7
   100% of Category F sites = 33
   Total Site visits = 95
For 1915i State plan home and community based services, CFR sections 441.301(c)(5)(v) and 441.710(a)(2)(v) specify that the following settings are presumed to have the qualities of an institution:

- any setting that is located in a building that is also a publicly or privately operated facility that provides inpatient institutional treatment;
- any setting that is located in a building on the grounds of, or immediately adjacent to, a public institution; or
- any setting that has the effect of isolating individuals receiving Medicaid HCBS from the broader community of individuals not receiving Medicaid HCBS.

Heightened Scrutiny settings (n=13) are broken out in data row two of above matrix. Heightened Scrutiny status was informed by CMS guidance (directly above) and determined by provider responses to items in Provider Self-Assessment. Specifically, a setting was determined to meet Heightened Scrutiny if the setting was noncompliant on item B1 ("Is the setting located in or attached to a building that is also a nursing home/facility or hospital?"), OR Item B2 ("Is the setting located in a building on the grounds of, or immediately adjacent to, a public institution?") Also, a setting was determined to meet Heightened Scrutiny if the setting was noncompliant on item B3 ("Is this setting or dwelling in a gated/secured ‘community’?"), AND item C1 ("In addition to onsite activities, does the setting provide opportunities for members to participate in community events, activities and services?") AND item C3 ("Can the member attend community activities and services when he/she chooses such as shopping, religious services, scheduled appointments, lunch with family and friends?").