

**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}

Category	Category A	Category B	Category C	Category D	Category E	Category F	Totals
Criteria ⁴	Youth Settings ³	90%-100% compliant	80%-89% compliant	70%-79% compliant	69% or less compliant	PSA Non-responders	
PSA Survey results (% compliant)	29	244	144	24	7	33	481
Heightened Scrutiny ^{6,7} ("Yes")	0	3	8	2	0	N/A	13
On-site review (total on-site reviews = 95) ⁵	10% Random sample of returned PSA surveys = approx 3 site visits to Cat A	10% Random sample of returned PSA surveys = approx 24 site visits to Cat B	15% Random sample of returned PSA surveys = approx 22 site visits to Cat C	25% Random sample of returned PSA surveys = approx 6 site visits to Cat D	100% of returned PSA surveys = 7 site visits to Cat E	100% of PSA Non-responders = 33 site visits to Cat F	95

¹PSA response rate is 93% (448/481).

²79% (353) of PSA respondents are Residential settings. 21% (95) are Non-Residential settings.

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

⁴Validation 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.

⁵Validation 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

⁶For 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.

⁷Heightened 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?”).