

NEW YORK STATE OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES
REPORTING REQUIREMENTS FOR OASAS REPORTING ENTITIES
(SERVICE PROVIDERS AND LOCAL GOVERNMENT ENTITIES, AS APPROPRIATE)

REPORTING DOCUMENTS	REPORTING ENTITY	SUBMIT TO	DUE DATE
Changes in Board of Directors	All Service Providers	Field Office	Notification 60-90 days in advance of planned changes. In addition, a copy of the current board of directors with addresses and terms of office should be submitted with the annual prospective budget package.
Client Data System, Chemical Dependence - Client Admission Report (PAS-44N) - Client Discharge Report (PAS-45N) - Client Admission/Discharge Report (PAS-46N) - Client Transfer Report (PAS-47N) - Monthly PRU Service Delivery Report (PAS-48N) - Waiting List Applicant Data Report (PAS-51N) - Methadone Client Annual Status Update Report (PAS-26N)	All Chemical Dependence Treatment Service Providers	Direct web-based Client Data and Monthly Service Delivery System client data entry or File Transfer	<ul style="list-style-type: none"> PAS-44N, 45N, 46N, 47N, and 51N must be submitted electronically any time during the report month, <u>but no later than</u> by the 5th day of the month following the report month. PAS-48N is due by the 10th day of the month following the report month. PAS-26N is due on the anniversary of the patient's admission date
Gambling Patient Data System - Gambling Treatment Admission Report (PAS-44G) - Gambling Treatment Discharge Report (PAS-45G) - Monthly Gambling Service Delivery Report (PAS-48G)	All Pathological Gambling Treatment Service Providers	Direct web-based Gambling Data and Monthly Service Delivery System client data entry or File Transfer	<ul style="list-style-type: none"> PAS-44G and 45G must be submitted electronically any time during the report month, <u>but no later than</u> by the 5th day of the month following the report month. PAS-48G is due by the 10th day of the month following the report month
Site Review Corrective Action Plans	All Service Providers	Field Office	30 days from date of transmittal
Corrective Action Plans for: - Recertification Reviews - Interim Regulatory Compliance Reviews - Limited Scope Reviews - Other Site Reviews - Fiscal Reviews - Fiscal Audits	All Certified Service Providers (Recertification Reviews, Interim Regulatory Compliance Reviews, Limited Scope Reviews and Other Site Reviews) Funded Service Providers (Fiscal Reviews and Audits)	Bureau of Quality Assurance (cc: LGU, Field Office)	<ul style="list-style-type: none"> 30 days from issuance of report or as otherwise specified (Recertification Reviews, Interim Regulatory Compliance Reviews, Limited Scope Reviews, Other Site Reviews, and Fiscal Reviews) 30 days from the exit conference, scheduled subsequent to the issuance of the draft audit report (Fiscal Audits)
Corrective Action Plans for: - Facility Inspections	All Certified Service Providers	Bureau of Capital Management, Facilities Evaluation & Inspection (cc: LGU, Field Office)	<ul style="list-style-type: none"> 15 days from issuance of report (Facility Inspections)
Federal Grant Sub-Recipient Single Audit Report *	Funded Service Providers	Bureau of Quality Assurance	9 months from end of provider's last fiscal year.

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EXHIBIT A

REPORTING DOCUMENTS	REPORTING ENTITY	SUBMIT TO	DUE DATE
Annual Consolidated Fiscal Report (CFR)	<p>All funded service providers</p> <p style="text-align: center;">AND</p> <p>All unfunded service providers operating OASAS certified programs receiving Medicaid except physician operated methadone programs and unfunded Article 28 hospitals.</p>	<ul style="list-style-type: none"> • Signed CFR certification schedules and CFR attachments (Schedules CFR-i and, where applicable, Schedule CFR-ii/CFR-iiA, Schedule CFR-iii and service provider audited financial statements) to the Bureau of Health Care Financing and Third Party Reimbursement • Electronic submission of CFR data files to the designated CFRS upload website. 	<p>120 days after the end of the applicable fiscal reporting period</p> <p style="text-align: center;">OR</p> <p>150 days after the end of the applicable fiscal reporting period with an OASAS approved Extension Request.</p>
Final Expenditure and Revenue Report - CFR Schedules CFR-i, CFR-iii, DMH-2.1, DMH-2.2, DMH-2A, & DMH-3	Allocated Service Providers and Direct Contract Agencies	<ul style="list-style-type: none"> • Allocated Service Providers are to submit to their LGU, which then submits to Bureau of Financial and Emergency Management • Direct Contract Agencies are to submit directly to Bureau of Financial and Emergency Management 	<ul style="list-style-type: none"> • May 1st for counties/allocated service providers and direct contract agencies on the Calendar Year reporting cycle • November 1st for NYC LGU/allocated service providers and direct contract agencies on the July/June reporting cycle • No later than four (4) months after the end of the claiming period unless otherwise stated in the Direct Contract

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<p>IPMES/Workscope</p> <ul style="list-style-type: none"> - Prospective Mandatory and Program Specific Objectives - Program Specific Objectives Achievements - Index Response and Clarification Sheets 	<p>Only funded programs are required to submit Prospective Workscopes, Mandatory and Program Specific Objectives and Achievements</p> <p>All Treatment Service Providers “flagged” on any index on IPMES must submit the Index Response and Clarification Sheets</p>	<p>LGU Field Office</p>	<ul style="list-style-type: none"> • Prospective Mandatory and Program Specific Objective Sheets are due to the LGU within 30 days from receipt (with the exception of Direct Contract Agencies that are due to the Field Office within 60 days); the LGU has an additional 30 days to review, approve and submit to OASAS • Program Specific Objective Achievements are to be submitted to the Field Office after the full IPMES/Workscope report is sent to the programs (approximately 3 months into the fiscal year). • Index Response and Clarification Sheets are due to LGU within 30 days from receipt of IPMES Reports; the LGU has an additional 30 days to review, approve and submit to OASAS. Direct Contract Agencies and nonfunded programs have 60 days from receipt of IPMES Reports to submit these directly to the Field Office
<p>Program Profile and Services Inventory (PAS-7) (PPSI)</p>	<p>All Chemical Dependence and Pathological Gambling Treatment Providers</p>	<p>Web-Based completion within OASAS Applications</p>	<ul style="list-style-type: none"> • Providers are required to update their PPSI annually, each January, using the on-line Provider Directory System. • New providers are required to enter their initial PPSI within 45 days after receiving notification that their new program is registered.
<p>Local Services Plan</p>	<p>Local Governmental Units</p>	<p>Web-Based submission to the Bureau of Planning and Applications Development through the Online County Planning System (CPS) or by mail as directed.</p>	<p>90 days from Issuance of OASAS Local Services Plan Guidelines.</p>

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EXHIBIT A

REPORTING DOCUMENTS	REPORTING ENTITY	SUBMIT TO	DUE DATE
<p>Mid-Year Expenditure and Revenue Report</p> <ul style="list-style-type: none"> ▪ Quarterly Fiscal Summary (CQR-1) and ▪ NYC Fiscal Quarterly Fiscal Summary (CQR-2) or ▪ LGU Fiscal Report (CQR-3) 	<p>Allocated Service Providers and Direct Contract Agencies</p>	<ul style="list-style-type: none"> • Allocated Service Providers are to submit to their LGU, which then submits to Bureau of Financial and Emergency Management • Direct Contract Agencies are to submit directly to Bureau of Financial and Emergency Management 	<ul style="list-style-type: none"> • August 15th for counties/allocated service providers and direct contract agencies outside of NYC (Calendar Year Reporting cycle) • February 15th for NYC LGU/allocated service providers and NYC direct contract agencies (July/June Reporting cycle) • 45 days from the end of the second fiscal quarter unless otherwise stated
<p>Prevention Services Reports:</p> <ul style="list-style-type: none"> - Participant Roster - Counseling Services (PR-2) - Prevention Services Summary Report (PR-3) - Quarterly Milestone Reports 	<p>Funded Service Providers</p>	<ul style="list-style-type: none"> • Retain on site (PR-2) • Field Office (PR-3 and Milestone Reports) 	<ul style="list-style-type: none"> • PR-2 is completed quarterly and retained on site for inspection by OASAS. • PR-3 is aggregated quarterly and due 15 days after the close of each quarter • Quarterly Milestone Report is due 15 days after the close of each quarter
<p>Prospective Budget: - Consolidated Budget Report (CBR)</p>	<p>Allocated Service Providers and Direct Contract Agencies</p>	<p>LGU, which then submits to Field Office (Allocated Service Providers)</p> <p>Directly to Field Office (Direct Contract Agencies)</p>	<p>60 days from date of transmittal</p>
<p>Report of Death (PAS-23)</p>	<p>All Service Providers</p>	<p>Bureau of Quality Assurance (cc: Field Office)</p>	<p>Within 72 hours of discovery</p>
<p>Results Focused Prevention Workplan (Annual Prevention Program Progress Report and Workplan) (PAS-18B)</p>	<p>Allocated Prevention Service Providers and Direct Contract Agencies</p>	<ul style="list-style-type: none"> • LGU, which then submits to Field Office (Allocated Service Providers) • Directly to Field Office (Direct Contract Agencies) 	<ul style="list-style-type: none"> • 60 days from date of transmittal (Annual Prevention Program Progress Report and Workplan)

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Willard Drug Treatment Program - Willard Releasee Monthly Status Report - Quarterly Willard Verification Voucher	All upstate Service Providers (excluding the five NYC boroughs) who have agreed to service Willard Drug Treatment Center clients	<ul style="list-style-type: none"> • Both the central and local/regional offices of the New York State Division of Parole (Willard Releasee Monthly Status Report) • Buffalo Field Office (Quarterly Willard Verification Voucher) 	<ul style="list-style-type: none"> • Willard Releasee Monthly Status Report is due by the 10th day of the month following the month of activity. • Quarterly Willard Verification Voucher is submitted once every three months, within 15 business days after receipt.

* In compliance with the Federal Single State Audit Act of 1984 and the Single Audit Act Amendments of 1996, applicable to federal block grant recipients.

NOTE: **Funded Service Providers:** receive funds from OASAS (as Direct Contract Agencies or Allocated Service Providers) for the delivery of services.
Allocated Service Providers: receive OASAS funding through Local Governmental Units (LGUs).
Direct Contract Agencies: receive OASAS funding through contracts with OASAS.