



March 13, 2015

UPS GROUND

Mr. William S. Witherspoon, Jr.
Executive Director
Upper Manhattan Mental Health Center, Inc.
1727 Amsterdam Avenue
New York, New York 10031-4611

Re: Provider #70490
Operating Certificate #180310213
PRU #51809

Dear Mr. Witherspoon:

Operating Certificate #180310213 is issued by the Office of Alcoholism and Substance Abuse Services (OASAS) pursuant to the New York State Mental Hygiene Law. This Operating Certificate renews authorization for Upper Manhattan Mental Health Center, Inc. to operate a Part 819 chemical dependence community residential service at 2009 3rd Avenue, New York, effective April 1, 2015.

The three year term of the Operating Certificate is based on the scores identified on the attached *Operating Certificate Renewal Compliance Summary Sheet*.

Upper Manhattan Mental Health Center, Inc. is responsible for complying with applicable building occupancy limitations and securing any necessary approvals from other governmental entities.

This Operating Certificate is to be prominently displayed at the service site.

The Mental Hygiene Law requires services to be operated in accordance with the terms of the Operating Certificate. Therefore, please carefully examine this certificate and notify the Bureau of Certification immediately if it contains any inaccuracies.

Sincerely,

Janet L. Paloski
Director
Bureau of Certification and Systems Management

Enclosures

Mr. William S. Witherspoon, Jr.

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cc w/encs.: Charles W. Monson

Steven Rabinowitz

Ivan Garcia

Gail Keeler

Hillary Kunins, MD, MPH, MS (NYC Dept. of Health and Mental Hygiene)

Gail Goldstein (NYC Dept. of Health and Mental Hygiene)

Luke Bergmann (NYC Dept. of Health and Mental Hygiene)

Norma Carmona-Rodriguez (NYC Dept. of Health and Mental Hygiene)

Patricia C. Jordan (Chairperson, Upper Manhattan Mental Health Center, Inc.)

Maritza Senecharles (Resident Manager, Upper Manhattan Mental Health Center,
Inc.)

NEW YORK STATE OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES
DIVISION OF QUALITY ASSURANCE AND PERFORMANCE IMPROVEMENT -- BUREAU OF CERTIFICATION

OPERATING CERTIFICATE RENEWAL - COMPLIANCE SUMMARY SHEET

Provider Legal Name:	Upper Manhattan Mental Health Center, Inc.
Active Parent Corporation:	
Certified Program/Service Reviewed:	Community Residential

Building:	
Room/ Floor	
Street Address:	2009 3rd Avenue
City and Zip Code:	New York, 10029

Provider Number:	70490
Operating Certificate Number:	1803 10213
Recertification Review Number:	NY14104
Recertification Review Conducted:	1/30/2015 to: 2/4/2015

PRU Number(s): 51809 Capacity: 20

<u>RECERTIFICATION REVIEW COMPLIANCE RATING TABLE</u>		
<u>Compliance Scores</u>	<u>Compliance Ratings</u>	<u>Term of Renewed Operating Certificate</u>
---	Quality Services Review	9 months
---	Red Flag Deficiency(ies)	6 months
0 - 1.75	Noncompliance	6 months
1.76 - 2.50	Minimal Compliance	1 year
2.51 - 3.25	Partial Compliance	2 years
3.26 - 4.00	Substantial Compliance	3 years

RECERTIFICATION REVIEW RESULTS

COMPLIANCE STATUS

	<u>Quality Indicator</u>	<u>Overall</u>	<u>Yes/No</u>	<u>Renewal Term</u>
▶ Case Records	3.45	3.50		3 years
▶ Service Management	4.00	4.00		3 years
▶ Red Flag Deficiency(ies) (For specific Red Flag Deficiency(ies), please refer to Program Review Report issued at conclusion of Recertification Review)				n/a
▶ Quality Services Review				n/a

FACILITY INSPECTION RESULTS

Site#	Address	Site Type	Ins #	Date	Deficiency	Renewal Term
2696	2009 3rd Avenue, New York 10029	ML	20170	5/6/2014	None	3 years

Site Type Codes
ML - Main Location
AL - Additional Location
Apt - Apartment

Deficiency Code Examples
Red Flag - imminent structural failure; fire service sprinkler system disabled; or a required exit that is permanently blocked
Significant - pathways to exits blocked; fire alarm systems in trouble mode; or broken stair treads
Notable - any other OASAS or building code violation

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OPERATING CERTIFICATE RENEWAL - COMPLIANCE SUMMARY SHEET

FISCAL VIABILITY REVIEWS

- | | | |
|-------------------------------------|--|----------|
| <input type="checkbox"/> | Fiscal viability package not submitted. | 6 months |
| <input type="checkbox"/> | Data received insufficient to determine fiscal viability. | 6 months |
| <input type="checkbox"/> | Current financial position NOT viable; however, an acceptable financial recovery plan submitted. | 2 years |
| <input type="checkbox"/> | Current financial position viable; however, overall financial position NOT viable. | 2 years |
| <input checked="" type="checkbox"/> | Current and overall financial positions viable. | 3 years |
| <input type="checkbox"/> | Fiscal viability determination not applicable, given the service provider is a governmental entity or New York State Department of Health certified hospital (Article 28). | n/a |

CERTIFICATE TERM

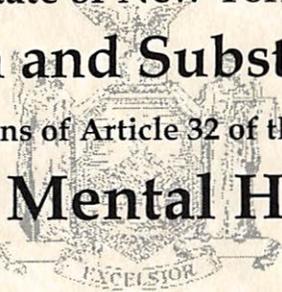
The term for the enclosed Operating Certificate is three years

State of New York

Office of Alcoholism and Substance Abuse Services

Pursuant to the provisions of Article 32 of the Mental Hygiene Law

Upper Manhattan Mental Health Center, Inc.



is hereby granted this

CHEMICAL DEPENDENCE OPERATING CERTIFICATE

authorizing the operation of Chemical Dependence Services, in compliance with the requirements of
14 NYCRR Parts 800 and 814 and the laws and regulations of the State of New York

Site

Program Name(s)

Service(s)

2009 3rd Avenue
New York, New York 10029-3208

- Part 819 Community Residential - 20 beds



Charles W. Monson

180310213

CHARLES W. MONSON
ASSOCIATE COMMISSIONER

CERTIFICATE NUMBER
Renewed

EFFECTIVE DATE: April 01, 2015
EXPIRATION DATE: March 31, 2018