

Figure 1 – Components for Proposed Action(s)

Action Category	Specific Action Requiring OASAS Approval	Part of Application to be Completed											
		Summary	Part I	Part II	Part III	Part IV	Part V	Appendix I	Appendix II	Appendix III	Appendix IV	Appendix V	
New OASAS Provider	Newly created entity or an existing Non-OASAS entity to provide treatment services.												
	To assume ownership of an existing OASAS-certified treatment service by a non-OASAS certified entity.	X	X	X	X	X		X			X	X	
New Treatment Service	Existing OASAS-certified provider opening a new treatment service or services at a site that is not dependent on or subordinate to another site.	X		X	X	X							
Capacity Increase	An existing OASAS-certified provider increasing the capacity of treatment services at a site where such services are currently authorized.	X		X		X	X						
Minor Relocation	An existing OASAS-certified provider relocating certified treatment services to a new site in accordance with stipulated criteria in Appendix III in these instructions.	X		X						X			
* Relocation	An existing OASAS-certified provider relocating certified treatment services to a new site, that does not meet the criteria for a "minor relocation" as defined in Appendix III in these instructions.	X		X									
Space Expansion	Adding space to a certified site.	X		X		X							
Additional Location	An existing OASAS-certified provider opening an additional location that is dependent on and subordinate to a site that provides certified outpatient treatment services. The additional location must be contiguous to the main site.	X		X	X	X			X				
Transfer of Ownership	Transfer ownership of existing certified treatment services to another existing OASAS-certified provider of certified services.	X			X	X	X						
Capital Project	Approval to make a capital investment in a facility where certified treatment services are (or will be) provided.	X		X									

Action Category	Specific Action Requiring OASAS Approval	Part of Application to be Completed										
		Summary	Part I	Part II	Part III	Part IV	Part V	Appendix I	Appendix II	Appendix III	Appendix IV	Appendix V
Change in Ownership	<p>Approval for an existing OASAS provider of certified services to change its ownership by:</p> <p>a transfer, assignment or other disposition of 10% or more of the stock, voting rights or membership interest in a business corporation or limited liability company, as appropriate,</p> <p>or</p> <p>a transfer, assignment or other disposition of stock, voting rights or membership interest in a business corporation or limited liability company, as appropriate, that results in a change in the ownership of more than 10% of the stock, voting rights or membership interest,</p> <p>or</p> <p>a change in the principals involved in the ownership of an individual proprietorship, partnership or limited liability partnership.</p>	X	X					X			X	X

X - Mandatory completion required in accordance with instructions for the specific action for which the applicant is seeking approval.

NOTE: In cases involving multiple actions, the action that requires completion of the largest number of mandatory components governs application completion requirements.

* If the proposed relocation affects the current operating budget or capacity, the applicant **must** include Part IV Resource Allocation with the application. If the proposed relocation does not affect the current operating budget or capacity, the applicant should attach a statement to that effect.