

**New York State
Office of Alcoholism and Substance Abuse Services**

**QUICK REFERENCE GUIDE
TO THE OASAS CHEMICAL DEPENDENCE CERTIFICATION APPLICATION**

This “Quick Reference Guide” is intended to provide applicants with a brief overview of the completion requirements associated with the Office of Alcoholism and Substance Abuse Services (OASAS) Chemical Dependence [Certification Application](#) (application). The application is used to seek OASAS approval for specific actions related to (1) the certification of new chemical dependence services; or (2) changes in the circumstances under which current OASAS certified services are provided.

Applicants are strongly encouraged to read the [instructions](#) before completing the application. This is important because the particular action(s) sought by the applicant will determine the various components of the application which require completion. A copy of the [instructions](#) can be obtained by visiting the OASAS [Certification Application](#) web pages.

The application is used to request approval for the following action categories: (1) establish a new provider of chemical dependence treatment service; (2) implement a new chemical dependence treatment service; (3) increase the capacity of a particular chemical dependence treatment service at a specific site; (4) minor relocation; (5) relocate a service or services to another site; (6) add space to a certified site; (7) open an “additional location,” as defined in the instructions; (8) transfer ownership of certified services; (9) engage in a capital project; and (10) obtain approval for a change in the ownership of an OASAS provider for a variety of reasons.

The chart (Figure 1) below illustrates the specific components (X) of the application which require completion for the actions listed above.

Action Category	App. Summary	Part I	Part II	Part III	Part IV	Part V	Appendix I	Appendix II	Appendix III	Appendix IV	Appendix V
1. New OASAS Provider	X	X	X	X	X		X			X	X
2. New Sponsor	X	X					X			X	X
3. New Treatment Service	X		X	X	X						
4. Capacity Increase	X		X		X	X					
5. Minor Relocation	X		X						X		
6. * Relocation	X		X								
7. Space Expansion	X		X		X						
8. Additional Location	X		X	X	X			X			
9. Merger	X			X	X	X					
10. Transfer of Ownership	X			X	X	X					
11. Capital Project	X		X								
12. Change in Ownership	X	X					X			X	X

* 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.

Application Process

The first step in the application process is for prospective applicants to contact the Local Governmental Unit (LGU) and the [OASAS Field Office](#) (FO) in the jurisdiction where services are to be offered to arrange for a discussion of the conceptual basis for the application and its relationship to the service needs expressed in the LGU’s Local Services Plan. These discussions are required and prospective applicants must complete the Certification Proposal – Prior Consult Form

(Attachment 1A) and submit it with the application submission. At the conclusion of these discussions, the FO and LGU will render a recommendation on the applicant's proposal.

The only actions that do not require a Certification Proposal Prior Consult Form - Attachment #1A are:

- **Minor Relocations;**
- **Capital Projects;**
- **Add a Supportive Living Site (PPD-11); and,**
- **Changes to Prevention Sites (PPD-14).**

The instructions have been developed to assist applicants in the completion of the application. Applicants are strongly encouraged to read the instructions before completing the application. The instructions:

- explain the various parts of the application;
- identify the specific parts of the application to be completed based on the action(s) being pursued by the applicant;
- describe the appropriate response requirements for each item of information requested;
- describe the various items of documentation to be submitted as Attachments; and
- eliminate delays in the review process that result from incorrect, incomplete or unclear responses.

OASAS requires the applicant to submit one signed original application and one signed copy to the NYS OASAS, Bureau of Certification and Systems Management, 1450 Western Avenue, Albany, NY, 12203-3526. In addition, one signed copy of the application must be sent to the OASAS FO and one signed copy to the appropriate LGU.

Minor Relocations

OASAS has implemented an expedited process for certain relocation applications. If the proposed relocation meets the following criteria, it is considered to be a "Minor Relocation":

1. The request must not result in an increase in State Aid.
2. The request must be approved by the LGU (if applicable) and the OASAS Field Office.
3. The site proposed for the relocation must be in the same county or sub-county area, or in New York City, the same Community Board area, as the current site.
4. The provider must agree to treat the same target population at the proposed site.
5. The request must not propose an increase in capacity.
6. The request does not involve any type of construction and/or renovations to the new site.
7. The request must not propose services that are new or different from currently certified services.
8. The request must not be for a program regulated by another agency (e.g., DOH, DEA, OMH).

In addition to the applicant meeting with the LGU and FO for a prior consult (see Attachment 1A), and if the proposed relocation qualifies as a "Minor Relocation", the applicant must ensure that the Appendix III – Minor Relocation form is

completed, signed by all required parties and included with the application submission. Refer to Figure 1 to determine which components are required to be submitted for a "Minor Relocation". If the applicant does not submit a completed Appendix III with the application, the Certification Bureau will process the application as a standard "Relocation". If the criteria for a "Minor Relocation" are not met, then a "Relocation" application must be submitted; refer to Figure 1 to determine which components are required to be submitted for a proposed "Relocation".

If the applicant does not acquire the sign-off of both the LGU and FO, the application is processed like all other certification applications.

Chemical Dependence Treatment Services in Hospitals and Other Article 28 Facilities

Applicants subject to Article 28 of the New York State Public Health Law must utilize the Department of Health's (DOH) approval process as well as OASAS' to obtain approval to operate or to make changes to existing chemical dependence treatment services. The applications are reviewed concurrently, and the entity receives operating certificates from both DOH and OASAS.

For applications involving opioid treatment services, the applicant must also apply to the Substance Abuse and Mental Health Services Administration - Center for Substance Abuse Treatment (CSAT) and Drug Enforcement Administration (DEA) for approval to store opioid at the applicant's location.

Prevention Services Subject to OASAS Certification

Applicants seeking approval for prevention counseling services are directed to contact the OASAS Certification Bureau for appropriate application forms and instructions.