NEW YORK STATE | Office of Alcoholism and Substance Abuse Services

SUBJECT MATTER CATEGORIES
Revised February 2018

Please note this list of records is not meant to be exhaustive. Further, the Office is prohibited from releasing certain information under FOIL, HIPAA, 42 CFR Part 2, the Personal Privacy Protection law, and other laws, rules and regulations. Some records listed within this index may be prohibited from disclosure under relevant law.

For information that is already public please visit the following sites:

- Open NY
- Open NY – Office of Alcoholism and Substance Abuse Services
- Committee on Open Government

Certification

Certification Applications

- Completed Applications
- Copies of Applications returned

Provider Files

- Operating Certificates

    o Establishment
    o Amendment (if applicable)
    o Renewal
    o Conditional (if applicable)
    o Emergency (if applicable)

- Medical Protocols (if applicable)
- Termination Plans/Termination Cover Letter (if applicable)
- General Correspondence
- Facility Inspection Reports
- Miscellaneous Information (if not part of the complete application)

Incorporation Papers

- Prospective Incorporation Papers
- Changes to Incorporation Papers

Deeming Files

- Operating Certificate and Cover Letter
- The Joint Commission Survey
- Applicant's Request to participate in Deeming

Advisory Council Files

- Quarterly - Copies of all Summaries presented to Advisory Council
- Voting Grids
- Sign-In Sheets
- Meeting Minutes

Uncertified Services Investigation Files

- Website information regarding the uncertified services
- Letter of Inquiry
- Provider Response
- Cease and Desist Letter
- Miscellaneous Correspondence

Confidential Investigator

* Please note not all investigation files contain the documents enumerated below. This list is not meant to be exclusive or exhaustive.

- OASAS investigation reports
- Phone and or text records
- Provider internal investigation reports
- E-mails
- Statements
- Social media records
- Clinical records
- Face Book accounts
- Medical records
- Performance Evaluations
- Justice Center complaints
- Supervision note
- Disciplinary write-ups
- Resignation letters
- Termination notices
- Letters
- Time Sheets
- Photos
- Recordings

Office of Counsel

Regulations

- Drafts & background notes
- Final adopted Word versions
- Q/A for regulatory interpretation
- Draft Guidance documents

Legislation

- Drafts & background notes from 2007
- Final submissions
- Submissions from other agencies
- Memos re. statutory interpretation and construction

Capital

- DASNY contract files
  - Project proposals and determination of need
  - Contracts
- Related due diligence documents for approved projects (corporate identity, title, surveys, inventories, insurance policies

- State Aid Grant Liens
- DASNY Bond funding notices and OASAS authorizations
- Final mortgage/loan documents for completed projects
- Memos, forms, templates
- Notes re. litigation involving bonded providers
Various documents prepared for recording: lien releases, liens, mortgages, loans, subordination agreements

FOIL

- Requests
- Subject matter index
- FOIL request log
- Completed files

Credentialing

- Initial credentialing applications and supporting documentation
- Renewal applications and supporting documentation
- Criminal background check status.
- Outcomes of the complaint processes for all applicants and Credentialed individuals who have a complaint filed against them.
- Files for all OASAS approved Clinical Screeners and Assessors of Impaired Driving Services

Criminal Background Check Unit

- Criminal History Information
- general processing forms
- requests to court
- Evidence of Rehabilitation
- Requests to applicants
- Waiver requests,
- Article 23-A Analyses, and
- Agency Determination

Facility Evaluation and Inspection Unit

- Facility evaluation/inspection reports for OASAS certified programs, including:

    1. architectural drawings,
    2. photographs,
    3. Certificate of Occupancy,
    4. fire safety certifications,
    5. elevator inspections,
    6. boiler documents,
    7. Corrective Action Plans (CAP's),
    8. SEQRA reviews,
    9. sprinkler reports, etc.

Division of Fiscal Administration

Budget Management

Bureau

- OASAS Annual Budget Request
- Appropriation and Segregation Budget Journal Back-up

Aid to Localities

- Approved line-item budgets for all funded local programs
    - Information can be aggregated by region, county or statewide
    - Information can be aggregated by provider, program category, or program type
    - Information can be aggregated by fund source

- Annual Budget Call Letter to Local Providers and Counties
    - Local Fiscal Year Program Code Listing by Program Category
    - List of State Aid Funding Authorization Codes
    - State Aid Timeline

- Aid to Localities overall spending by appropriation, State and Federal

State Operations

- OASAS budget and spending
- Executive Direction
    - Bureau NPS spending plans and spending
    - Credentialing revenue

- Institutional Services
    - Overtime spending & temporary service spending
    - Extra Service spending
    - Nursing Services' spending
    - ATC Utilization and census
    - ATC demographics
    - ATC revenue

- Full-Time-Equivalent (FTE) tracking/reporting
- PS waiver requests
- Prompt payment interest
- Chemical Dependence Services' deposits and expenditures

Capital Management Bureau

- Files related to minor and major capital grants to voluntary providers
- Files related capital improvements at the ATCs.

    Note: Reports can also include; architectural drawings, photographs, Certificate of Occupancy, fire safety certifications, contracts, payments, bond files.

Facility Evaluation and Inspection

- Facility evaluation/inspection reports for OASAS certified programs

  Note: Reports can also include; architectural drawings, photographs, Certificate of Occupancy, fire safety certifications, elevator inspections, boiler documents, Corrective Action Plans (CAP's), SEQRA reviews, sprinkler reports, etc.

Finance Bureau

Contracts - State Operations

- Original copies of executed agreements covering state operations commodities or services and related documents including: procurement record, work papers, and correspondence, etc.

Contracts - Aid-To-Localities

- Original copies of executed agreements covering Aid-to-Localities services and related documents including: procurement record, work papers, and correspondence, etc.

Contracts - MOU's

- Original and/or copies of executed inter-agency agreements covering inter agency services and/or funding terms and supporting documents including: work papers and correspondence.

Contracts - State Aid Funding Authorizations

- Original and/or copies of agreements with Local Government Units covering funding of services and supporting documents including: work papers and correspondence, etc.

Purchasing - Purchase Requisitions

- Purchase Requisitions for goods and/or services which require processing in the Statewide Financial System (SFS) to generate a Purchase Order and/or processing as a

Travel Card/Procurement Card

- Transaction and all supporting documentation including: justifications, internal approvals, specifications, quotes, selection methodology, etc.

Purchasing - Purchase Orders

- Purchase Orders for goods and/or services and all supporting documentation including: external approvals, specifications, quotes, selection methodology, etc.

Payments – Merchandise

- Payment records for merchandise and all supporting documentation including: invoices, receiving reports, adjustments, ledgers, etc.

Payments - Misc.

- Payment records for items other than merchandise and all supporting documentation including: claims/invoices, receiving reports, adjustments, ledgers, etc.

Reports – MWBE

- Quarterly reports of MWBE Utilization relative to overall expenditures.

Reports - Prompt Contracting

- Annual report of contracts execution dates relative to legislated timeframes for contract execution.

Outcome Management and System Information

Synar

- Digital records of Synar-related interagency and intra-agency email correspondence (dating back to our involvement beginning in late Feb. 2011)
- Digital and hard copies of Synar design and methodology
- Digital and hard copies of Synar instructional protocols
- Digital copies of Synar list frame data received yearly from NYS Dept. of Tax and Finance (from 2011 to present)
- Digital copies of SPSS data cleaning and sampling files (from 2012 to present)
- Digital and hard copies of sampled lists of tobacco outlets to be inspected for Synar, which are sent to NYS DOH for distribution
- Hard copies of completed Synar data forms from inspected Synar outlets, kept on-site for at least 3 years (currently have forms for FFY 2012-2015)
- Digital and hard copies of data processing coordination files, from 2011 (FFY2012) to present
- Digital copies of final Synar sample data (i.e., data entered from reviewed Synar data forms), from 2010 (FFY2011) to present
- Digital and hard copies of Annual Synar Reports and data analyses results

County Planning System (CPS) (Stored on CPS Application server and/or hps2k server)

- Digital copies of all local services plan forms and surveys (2006-2014)
- Data from all local services plan surveys conducted in CPS (2003-2014)
- Digital copies of all completed Local Services Plans (2006-2014)
- Digital copies of LSP survey analyses conducted (2009-2014)
- Digital copies of selected planning data resources (not original source)
- CPS user account data (current)
- Digital copy of contact information for Directors of Community Services (current)

Service Need Methodology

- Data and Excel files containing need methodology calculations and analyses (1998-2013)
- SPSS files that pull utilization data from Client Data and Monthly Service Delivery Reporting Systems (current)
- Digital copies of all Service Need Profiles (1998-2013)
- Digital copies of need methodology narrative descriptions and guidance

OASAS Client Data System

- Treatment Episode Data Set (TEDS) – Monthly submission data sets (subset of OASAS CDS) sent to Substance Abuse and Mental Health Services Administration (SAMHSA)

Program Operations/Field Offices-Regional Coordinators, Program Specialists

- Employee/Personal History Files
- Employee Travel Payments Files
- Mail Logs
- General Subject and Correspondence Files
- Administrative Files
- Program Files (Separated by Fiscal Period)

    o Correspondence
    o Program Review Books
    o Site Visits
    o Licensing/Certification Reviews
    o Capital Requests-Minor Maintenance/Capital Rehabilitation
    o Federal Grant Applications (CSAT, CSAP)

Provider Monitoring and Funding

- Contract payments for Local Assistance Grants, utilizing either state Local Assistance appropriations or Federal funds, to providers and LGUs for advance payments as well as documentation relating to actual expenditure claims from providers and LGUs used in reconciling grants
- Contract payments for capital projects, either major rehab or minor maintenance
- Contract payments for Shelter Plus Care contract reimbursements utilizing Federal funds
- Contract documentation including grant award letters from HUD as well as the corresponding contract documentation with providers of housing services for the Shelter Plus Care program
- Access to electronic CFR submissions from entities required to submit

Epidemiology and Survey Management

- OASAS School Survey

    o SPSS Data files for 1990, 1994, 1998, 2002, and 2006 surveys;
    o Statewide Reports for 1990, 1994, 1998, 2002, and 2006 surveys;
    o Regional (i.e. Western New York, Finger Lakes, Central New York, Northeastern New York, Hudson Valley, New York City, and Long Island) Reports for 1990, 1994, and 1998 surveys.

OASAS Household Survey

    o SPSS Data files for 1994, 2002 and 2006 surveys;
    o Statewide Reports for the 1986 survey and 2006 surveys

- NIDA Community Epidemiology Work Group (CEWG)

    o Reports and Power point presentations produced semi-annually from 2001 through 2014 which summarize archival indicator data primarily from New York City.

- Youth Development Survey

    o SPSS Data files for 2008 Survey
    o Statewide Report for 2008 Survey

Housing Bureau

- Applications submitted in response to RFPs
- Evaluation sheets/scoring matrix for RFPs
- Monthly program data reports submitted by housing providers
- Monthly program data tracking spreadsheet
- Monthly statement of expenses
- Monthly rental statement [newly implemented October 2014]
- Site visit reports prepared by Housing Bureau Associates
- Annual project renewal applications for HUD grants [Continuum of Care program/a.k.a. Shelter Plus Care (S+C)
- Annual progress reports for HUD grants
- Medicaid tracking with tenant status for MRT DOH housing initiative
- Contracts for Housing Programs (primary responsibility for contracts is with Contracts Unit)

Internal Controls

- Annual Internal Control Summary Submissions to the Division of Budget and all related supported documentation

Learning and Development

- OASAS approved Education and Training Providers and approved curricula
- All training OASAS Learning and Development Staff administers to provider staff and other interested individuals.

- Personnel Records
- Grant Application
- ET Files

Past Bureau Business Previously Supervised

- Recovery
- Internal Audit
- Internal Controls
- Affirmative Action
- Office Services
- Management Services
- Emergency Services
- Human Services
- Technology

Patient Advocacy

- records of all contacts received by phone, letter, email or in person visit made to Patient Advocacy
- records of all follow-up actions in response to Patient Advocacy contacts

  ** Contact can be from patients, their family members, program and OASAS staff, other professionals, and the public. Contact issues range from simple informational requests to reports of ethical and regulatory transgressions.

Prevention Bureau

General Prevention

- TA forms that liaison submit monthly
- All the RFP submissions, and scoring
- FASD Strategic Plan report gets updated
- Gambling prevention program budget and Workplans
- SBIRT in SBHCs individual data entry forms
- Teen Intervene monthly data summaries for pilot
- EUDL records

Prevention Resource Center (PRC)

- Monthly reports
- Annual reports
- Annual plans
- Site visit notes

Strategic Prevention Framework – State Incentive Grant (SPF SIG)

- Procurement/RFP processes for any contracts (PIRE, Sub-recipients, KIT)
- Budgets, vouchers and contracts for sub recipients
- Purchase requisitions
- Learning institute information (agendas, contracts, materials distributed)
- Sub recipient "products" (examples of media campaigns etc.)

PARIS Data related

- IT Procurement and Contracting documents
- IT support, guidance docs (User manual, PARIS TA documents)
- AD HOC provider activity data files
- AD HOC provider planning data files
- Annual reporting data files (SAPT-BG, Performance Review, 5 Year Plan Update, Metrics)

Other

- Prevention Registry of Evidence-based Programs and Strategies (Registry listing and supporting docs)
- EBP Panel Review Process and Results documents
- Outcome research studies, reports
- Policy Guidance reports and Provider technical assistance materials

Program Review Unit

Recertification Review files

- Site review instrument
- Personnel qualification worksheet
- Copies of physician licenses (DEA registration, Accreditation, CSAT certification, Federal Data 2000 waiver)
- Copies of onsite medical coverage
- Patient interview worksheet
- Data entry sheet
- Provider contact sheet

- Program review report
- Corrective action plan
- Other correspondence, if applicable

Focused Review files

- Site review instrument
- Personnel qualification worksheet
- Data entry sheet
- Provider contact sheet
- Patient interview worksheet
- Follow-up correspondence, if applicable
- Corrective action plan, if applicable
- Other correspondence, if applicable

Interim Review files

- Site review instrument
- Personnel qualification worksheet
- Data entry sheet
- Provider contact sheet
- Follow-up correspondence
- Corrective action plan, if applicable
- Other correspondence, if applicable

Investigation files

- Identification of the issues to be investigated
- Work plan
- Copies of documentation based on work plan
- Interview worksheets (staff/patients)
- Data entry sheet
- Provider contact sheet
- Follow-up correspondence
- Correction action plan, if applicable
- Other correspondence, if applicable