

NEW YORK STATE OFFICE OF ADDICTION SERVICES AND SUPPORTS
REPORTING REQUIREMENTS FOR OASAS REPORTING ENTITIES
(SERVICE PROVIDERS AND LOCAL GOVERNMENTAL UNITS, AS APPROPRIATE)

| REPORTING DOCUMENTS | REPORTING ENTITY | SUBMIT TO | DUE DATE |
|---|--|--|---|
| Changes in Board of Directors Changes in key personnel: CEO/Exec Director, CFO/Comptroller, COO, Clinical Director, Chief Administrator, Medical Director, Facility Director | All Service Providers | Regional Office | 60-90 days in advance of planned changes. Must submit a copy of the current board of directors with addresses and terms of office with the annual prospective budget package. |
| Changes in key personnel: CEO/Exec Director, Medical Director, Program Director/Program Contact | All Certified Programs | Certification Bureau. Email to: certification@oasas.ny.gov | Within 7 days of any applicable change. |
| Changes in key personnel: CEO/Exec Director, CFO/Comptroller, Medical Director, Program Director/Program Contact | All Service Providers | Provider Directory System https://apps.oasas.ny.gov/portal/page/portal/OASAS_APPS/Applications:ProviderDirectorySystem | Contact information, including names, e-mail addresses, roles, and phone numbers must be updated/entered in the Provider Directory System whenever the contact role or information changes. |
| Client Data System Client Admission Report (PAS-44N) Client Discharge Report (PAS-45N) Crisis Episode Report (PAS-46N) Client Transfer Report (PAS-47N) Client Transition Report (PAS-125) Monthly PRU Service Delivery Report (PAS-48N) Monthly PRU Service Delivery Report (PAS-48NC) Opioid Treatment Annual Update Report (PAS-26N) Child in Residence Report (PAS-91) PAS-51 Wait list Report | All Chemical Dependence Treatment Programs | Direct web-based Client Data System and Monthly Service Delivery System client data entry or batch submission https://apps.oasas.ny.gov/portal/page/portal/OASAS_APPS/Home | PAS-44N, 45N, 46N, 47N, and 125 must be submitted electronically any time during the report month, but no later than 30 days after the clinical transaction, except PAS-45N for Part 822 clients must be submitted no later than 65 days after the discharge. PAS-48N and PAS-48NC are due by the 10 th day of the month following the report month. PAS-26N is due within 30 days of the anniversary of the patient's admission date. PAS-51 per LSB 2012-01 |

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| Gambling Patient Data System Gambling Treatment Admission Report (PAS-44G) Gambling Treatment Discharge Report (PAS-45G) Monthly Gambling Service Delivery Report (PAS-48G) | All Gambling Disorders Treatment Programs | Direct web-based Gambling Data and Monthly Service Delivery System client data entry or File Transfer | PAS-44G and 45G may be submitted electronically any time during the report month, but no later than the 5 th day of the month following the report month. PAS-48G is due by the 10 th day of the month following the report month. |
| Corrective Action Plans for: Recertification Reviews (including facility inspections) Interim Regulatory Compliance Reviews Limited Scope Review Other Site Reviews | All Certified Service Providers | OASAS Program Review Unit (cc: LGU, Regional Office) | 10 days from issuance of report or as otherwise specified |
| Regional Office Site Visits | All Service Providers | Regional Office | 30 days from date of transmittal |
| Fiscal Reviews and Fiscal Audits | Funded Service Providers | Fiscal Audit and Review Unit (FARU) emailed to: FARU@oasas.ny.gov | 30 days from the issuance of the FARU draft report unless otherwise specified in the transmittal letter. |
| Justice Center incident reporting | All Service Providers | Regional Office | 60 days from date of transmittal |
| Federal Grant Sub-Recipient Single Audit Report * | Funded Service Providers | Fiscal Audit and Review Unit (FARU) emailed to: FARU@oasas.ny.gov | Within 30 days of the completion of the audit but no later than 9 months after the end of the provider's fiscal year. |
| Consolidated Fiscal Report (CFR) *Core Reports *Claiming Documents *Supplemental Reports *Financial Statements *Certification Schedules Note, for the filing periods of 17-18J fiscal year and 2018C calendar year and forward, the CFR-iv (formerly PAS-124) is now included in the CFRS Software and may be | All service providers who operate the following types of OASAS programs: *Funded, certified *Funded, non-certified *Un-funded, certified *Un-funded, non-certified | CFRS Software Homepage https://apps.omh.ny.gov/omhweb/cfrsweb/cfr_pages/download_current.htm | June 1 for service providers reporting on the January 1- December 31 cycle. December 1 for service providers reporting on the July1 – June 30 cycle. |

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| electronically uploaded along with the CFR-i, CFR-ii and CFR-iii (where applicable). | | | |
| Final State Aid Claim (CFR Schedules CFR-i, CFR-iii, DMH-2.1 & DMH- 2.2) | <p>Allocated service providers</p> <p>Local Governmental Units (LGU)</p> <p>Service providers with Direct Contracts have satisfied the Final State Aid Claiming with the submission of the CFR.</p> | <p>Allocated providers must submit the final State Aid Claim to their LGU for approval.</p> <p>Once the submission package for allocated providers is approved by the provider and the LGU/County, all required signed forms must be submitted via email to APSTAid@oasas.ny.gov</p> | <p>To comply with the stated due dates listed below, providers should determine how far in advance of the deadline they should submit the CFR information to the LGUs for their review and approval.</p> <p>June 1 (calendar) or December 1 (fiscal) per your reporting cycle.</p> <p>NYC Only: Certification pages and final claim submissions from the New York City Department of Health and Mental Hygiene for allocated providers are due by June 30th following the close of the prior fiscal year.</p> |
| State Aid Funding Authorization (SAFA) | Local Governmental Units (LGU) | SAFA must be signed by the LGU and returned to the OASAS Division of Fiscal Administration (Grants@oasas.ny.gov). | Within 30 days of the date of any SAFA sent to the LGU, the LGU must return a copy of the signed SAFA as acceptance of the funding amount and acceptance of the terms and conditions of the agreement. |
| State Aid Funding Authorization Funding Requirements Attestation | Local Governmental Units (LGU) | OASAS Division of Fiscal Administration at Grants@oasas.ny.gov | Within 90 days of the date of transmittal of each year's initial State Aid Funding Authorization package. Document indicates acceptance of the terms and conditions of the OASAS State Aid Funding Requirements document. |

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| Find Addiction Treatment system | All Chemical Dependence and Problem Gambling Treatment Providers | HERDS system operated by Department of Health https://commerce.health.state.ny.us | Outpatient treatment providers submit survey one time. Bedded treatment providers submit survey daily. |
| Program Profile and Services Inventory (PAS-7) (PPSI) | All Chemical Dependence and Problem Gambling Treatment Providers | Web-Based completion within OASAS Applications | Providers are required to update their PPSI at least twice each year within two weeks of January 1 and July 1 using the on-line Provider Directory System. However, the PPSI should be updated whenever program information changes. New providers are required to enter their initial PPSI within 45 days after receiving notification that their new program is registered. |
| Local Services Plan | Providers Local Governmental Units (LGU) | Web-based submission to the Bureau of State and Local Planning through the Online County Planning System (CPS). | Provider submissions are due 30 days from the issuance of the OASAS Local Services Plan Guidelines LGU submissions are due 90 days from the issuance of the OASAS Local Services Plan Guidelines. |
| Prevention monthly activity data – online in the Web Infrastructure for Technology (New York) Services (WITNYS) | Funded Prevention Service Providers | Data Collection Module in WITNYS | Monthly data is due in WITNYS by the 15 th day of the following month or by the next business day following the 15 th if the 15 th is a non-business day. Annually, all data for the prior Workplan cycle (which ends June 30 th) is due in WITNYS by Sept. 1 st . |

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| <p>Prospective Budget: Consolidated Budget Report (CBR)</p> <p>PAS-125 - additional attestations</p> <p>https://www.oasas.ny.gov/mis/forms/pas/documents/PAS-125Instructions.pdf</p> <p>https://www.oasas.ny.gov/mis/forms/pas/documents/PAS-125.pdf</p> | All funded providers | Budgets must be submitted electronically through the CFRS website. Allocated service providers must submit a copy to the LGU for approval, which will then be submitted to the Regional Office. PAS-125 must be submitted to your assigned Program Manager. | Approximately 90 days from date of the "budget call letter." Actual submission date will be specified in the letter. |
| Report of Death | All service providers | The Justice Center for the Protection of People with Special Needs | <p>Inpatient or residential: Immediately upon discovery of the death of any current patient or any patient within 30 days of discharge.</p> <p>Outpatient: Immediately upon discovery of death of any patient if death occurs while the patient is on program premises or engaged in program-related activities.</p> <p>Submit via the Justice Center Hotline (855-373-2124). Once reported using the hotline, complete and submit the Justice Center approved forms found at:</p> <p>http://www.justicecenter.ny.gov/investigations-prosecution/vpcr/report-death/form</p> |
| Prevention annual workplan – online in the Web Infrastructure for Technology (New York) Services (WITNYS). | Allocated Prevention Service Providers and Direct Contract Agencies | Local Governmental Unit (LGU), which then submits to Regional Office (Allocated Prevention Service Providers) or Regional Office (Direct Contract Agencies) | <p>April 15th to LGU</p> <p>May 15th to Regional Office, from LGU</p> <p>April 15th to Regional Office from Direct Contract Agencies</p> |

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| Impaired Driver System (IDS) - online reporting system | All service providers approved to provide Impaired Driver Clinical Services (to include private practitioners licensed by the New York State Education Department). | Submit electronically through web based Impaired Driver System | Within 3 business days of the following services: the start and/or completion of screening, iassessment or treatment. |

* In compliance with the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Guidance) 2014, 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.