Listed below by subject matter are records, as defined by the Public Officers Law, which are maintained at the Central Office for the Office of Mental Health as required by Public Officers Law §87(3)(c). This is not intended to be an exhaustive list, but rather a reasonably detailed list by subject matter of the records possessed by the Agency, whether subject to the Freedom of Information Law (FOIL) or not.

Audit

External financial, management, operational or program audits. These reports have been prepared by OMH, the Office of the State Comptroller, the Commission on Quality of Care for the Mentally Disabled, Federal Health and Human Services, etc.

Budget and Fiscal

2013-2014 Office of Mental Health Budget Requests
2014-2015 Office of Mental Health Budget Requests
2015-2016 Office of Mental Health Budget Requests
Aid to Localities Spending Plan Allocations: Guidelines and Instructions
Annual State Psychiatric Center Non-Personal Service Spending Plan Allocations
Comprehensive Outpatient Billing System Manual
Consolidated Claims Reporting Manual
Consolidated Financial Reporting and Claiming Manual
Finance Information System User Guide
Medicaid Rates Promulgated by OMH for Mental Health Ambulatory Programs
OMH Shelter Plus Care Program Management Guide

General

OMH Newsletter (monthly)
OMH press releases
OMH advisories
Emergency Management Plan
OMH Official Policy Manual
OMH Quarterly
PAR Application Process
NY SAFE Act (Guidance for Mental Health Providers)
Behavioral Health Organizations Implementation

Human Resource Management

Central Office Employee Handbook
Employee Records-Central Office Employee Personal History Folders
Exam Files-Canvasses, Eligible Lists, and Certifications
HRMS User’s Guide
Recruitment Materials
Subject Files
Title Files – Classification and Exam Planning Folders
Training Materials

Diversity Planning and Compliance

OMH Affirmative Action Plan
All related policies
Procedure for Investigating Complaint of Discrimination
Resource Guide for AAA

State Operations Financial Group

Agent Policy and Procedure Manual
Central Revenue Operations Manual
Comprehensive Outpatient Billing System Manual
Finance Information System (FIS) User Guide and FIS2 Help
Medicare Cost Requests
Numbered Resource Letters and Memoranda
Senior Agent Manual
Social Security Administration On-Site Reviews
Support Staff Manual
Senior Steno Manual
Service Recording Manual

Consolidated Business Office

Contracts
OMH Procurement Lobbying Act Guidelines and Forms
Requests for Proposals/Requests for Information

ISO

MHARS User Guide
OMH Web Site Content

Legal

Final Opinions and Orders made in adjudicatory proceedings and an index thereof
Final Opinions and Orders made in site selection proceedings
New York Codes, Rules and Regulations, Title 14
OMH Privacy Policy Manual
Minutes

Interagency Geriatric Mental Health Planning Council Meeting Minutes
Mental Health Services Council minutes (consolidated into Behavioral Health Services Advisory Council in 2012)
Mental Hygiene Family Advisory minutes
MH PAC minutes (consolidated into Behavioral Health Services Advisory Council in 2012)
Minutes of Board of Visitors’ meetings and public hearings
Multicultural Advisory Committee minutes
Recipient Advisory Committee minutes

Operations and Support Services

ACT Institute Annual Reports
ACT Certification Manual
Administrative Support Procedure Manual
Annual Reports to DOH on Medical Case Management Services
Assertive Community Treatment (ACT) Guidelines and Training Material
Assisted Outpatient Treatment Program
Guidance for AOT Program Operation Reissued February 2014
Guidelines for Initial Reporting by Local Governmental Units LGUs on Assisted Outpatient Treatment (AOT)
AOT Guidance For Reporting Significant Events
CPEP Annual Report (2012 is the last required report)
Cultural Competence FACT sheets
Cultural Competence Performance Measures for Managed Behavioral Healthcare Programs (1998 Evidence-Based Practice (EBP) Curriculum for MSW Programs and Guidelines for EBP Field Placements
Geriatric Mental Health Annual Report
Housing Development Manual NYC
Interim and Final Reports to the Legislature on Assisted Outpatient Treatment (AOT)
Interstate Compact Manual for Mental Health and Mental Retardation/Developmental Disabilities
OMH Family Care Policy and Procedure Manual
OMH Home and Community Based Services Waiver for Children
OMH Supported Housing Guidelines
OMH Bed Chart
New Directions in Social Work Masters Education: Evidence Based Practice in Mental Health Course & Field Placement
Personal Care Manual
Psychotherapeutic Drug Manual
Rural Reports to the NYS Legislature
Residential Program Indicators Report (issued quarterly)
Targeted Case Management (TCM) to Health Homes (HH)
Uniform Case Record Manual
Planning

Center for Mental Health Services Block Grant Application and Compliance Report
Chart book of Mental Health Information
Statewide Comprehensive Plan for Mental Health Services
OMH Transformation Plan

Research and Evaluation

Final reports of evaluation and research projects.
OMH developed survey and research instruments.
Patient Characteristics Survey Summary Tables

Quality Management

ECT Guidelines
Inspection of Care Survey Reports
Licensing Reports (including Monitoring Outcome Report and License)
New York State Incident Management and Reporting System
OMH Management Reports
Prior Approval Review (PAR) Applications and Determinations
Tiered Certification Manuals

OMH Mandated Reports

Annual Inter-Office Coordinating Council (IOCC) - Section 5.05 (2) of the Mental Hygiene Law (through 2007)
Statewide Comprehensive 5-year Plan - Section 5.07 of the Mental Hygiene Law
Three year Capital Plan - Section 5.07 (4) (c) of the Mental Hygiene Law
Annual Geriatric Mental Health Report - Chapter 568 of the Laws of 2005 (Note: Jointly prepared with State Office of the Aging)
Children's Mental Health Plan - Section 483 (f) of the Social Services Law (Note: The report is prepared in collaboration with the Council on Children and Families (CCF) and submitted by the CCF).
Annual Report on Implementation of the Sex Offender Management Treatment (SOMTA) Act - Section 10.10 (i) of the Mental Hygiene Law.
Annual Report detailing how persons' federal benefits are being utilized (Representative Payee) - Section 33.07 (i) of the Mental Hygiene Law.
Annual Rural Report - Section 164-b of the Executive Law

Binders

2009 Aid to Localities Funding Summary
2010 Aid to Localities Funding Summary
Briefing Involuntary River Search and Recovery Effort in Westchester Co.
Camp Get-A-Way
Communications Briefings
Data book for SPEAK Campaign
Evidence-Based Practices in Mental Health: Course and Field Placements
Family Support Services Report
Final Audit: Training of Direct Care Staff
Human Resources Management Briefing Material
In Their Own Words Families in Crisis (NKI)
Land Book
Medicaid Institute for State Mental Health Agencies
Mental Health Medicaid Case Management
Mental Health Weekly Issues
New York State Standard Multi-Hazard Mitigation Plan (State Mitigation Plan) 2014
Next Circle of Care: New York State Public School Region 10
NYAPRS Training Collective: June 2003-October 2004 Program Report
Profiles of New York State Psychiatric Centers: January 2004
Project Hope Regular Services Program – Final Report
Rehabilitation Support Services Briefing Book
Saving Lives in NY
Staten Island Mental Health Society
SPEAK Kits
SPEAK Up, Save Lives pamphlets
State Estimates of Substance Use from the 2002-2003 National Surveys on Drug Use and Health
Suicide Statistics/New York vs. Other States
Testimony - Adult Homes
Timothy’s Law Campaign
TRAAY - Treatment Recommendations for the Use of Antipsychotic for Aggressive Youth
Treatment of Bipolar Disorder 2004
Turning Knowledge into Practice (EBP)
Unmasked (Odyssey House Art Project)
Using Medicaid to Support Working Age Adults with Serious Mental Illnesses in the Community: A Handbook
Your Child’s Mental Health

Health and Recovery Plans (HARPS)/Managed Care

Adult Home and Community Based Services Manual
Online Records and Publications

The Office of Mental Health (OMH) has a number of publications available. The listing below is the publications that can be downloaded and printed from the Internet. To view or print PDF files, Adobe Acrobat Reader must be installed on your computer. Download Adobe Acrobat Reader.

There are also some publications available for a fee. These are listed in the Printing & Design Services Catalog or call the Design Center at (518) 473–3574.

Booklets

- **Anxiety Disorders** (中文 | PyCCКИЙ | Kreyòl Ayisyen)
  A booklet to help you identify the symptoms and causes of anxiety disorders. It will also explain how to obtain treatment and suggest ways to make such treatment more effective.

- **Attention Deficit Hyperactivity Disorder**
  A variety of medications, behavior-changing therapies, and educational options are available to help people with ADHD focus their attention, build self-esteem, and function in new ways.

- **Bipolar Disorder** (中文 | PyCCКИЙ | Kreyòl Ayisyen)
  Bipolar disorder, also known as manic-depressive illness, is a brain disorder that causes unusual shifts in a person's mood, energy, and ability to function. Bipolar disorder can be treated, and people with this illness can lead full and productive lives.

- **Comfort Rooms**
  Provides information for service providers that are interested in developing comfort rooms and calming spaces. It has been compiled to assist in the planning and implementation process.

- **Depression** (中文 | PyCCКИЙ | Kreyòl Ayisyen)
  Depressive illnesses often interfere with normal functioning and cause pain and suffering not only to those who have the disorder, but also to those who care about them. There are now medications and psychosocial therapies that ease the pain of depression.

- **Eating Disorders**
  Facts about eating disorders and the search for solutions.

- **Human Trafficking**
  Description of New York State's Human Trafficking Law and the Interagency Taskforce, and a listing of services victims are entitled to receive.

- **Medications**
  A booklet to help people with mental illness and their families understand how and why medications can be used as part of the treatment of mental health problems.
Post–Traumatic Stress Disorder Information (中文 | PyССКИЙ | Kreyòl Ayisyen)
Post–Traumatic Stress Disorder is a normal reaction to seriously disturbing events. This booklet examines the signs, symptoms and steps you can take to treat PTSD.

Schizophrenia (中文 | PyССКИЙ | Kreyòl Ayisyen)
Schizophrenia is a chronic, severe, and disabling brain disease. However, this is a time of hope for people with schizophrenia and their families. Research is gradually leading to new and safer medications and unraveling the complex causes of the disease.

Treatment of Children with Mental Disorders
Children are in a state of rapid change and growth during their developmental years. Diagnosis and treatment of mental disorders must be viewed with these changes in mind.

Child And Adolescent Needs And Strengths - NY (CANS-NY)

- CANS-NY Manual 📖(479kb)
- CANS-NY Rating Sheet 📖(120kb)

Children

- Adolescents with Co–occurring Disorders: Task Force Report

- A Primer on the NYS Children’s Mental Health System for Local Education Leaders 📖(May 2015)

- Children with Mental Disorders: Treatment of, (May 2015)
Children are in a state of rapid change and growth during their developmental years. Diagnosis and treatment of mental disorders must be viewed with these changes in mind.

- The New York State Children’s Plan 📖

- Comfort Rooms
Provides information for service providers that are interested in developing comfort rooms and calming spaces. It has been compiled to assist in the planning and implementation process.

- Pan Flu Resources Information For Children

- Violence Prevention: Creating Safer Schools in New York State (May 2015)

- Education 101 for Mental Health Leaders 📖(May 2015)

- Improving School and Community Outcomes for Children and Adolescents with Emotional and Behavioral Challenges 📖(May 2015)
Emergency Preparedness and Response

- Emergency Evacuation & Fire Plan
- OMH Emergency Management Plan 2014
- Emergency Evacuation & Fire Safety Plan
- Disaster Planning Handbook for Behavioral Health Treatment Programs (SAMHSA Publication)
- Emergency Planning Guide for Community Officials
- Empire County Comprehensive Emergency Management Plan (Sample Plan)
- OMH Emergency Management Resource Guide

Financial Information

- 2014 – 2015 Enacted Budget
- 2013 – 2014 Enacted Budget
- 2012 – 2013 Enacted Budget
- 2011 – 2012 Enacted Budget
- 2010 – 2011 Executive Budget Recommendation and Enacted Budget Update
- 2009 – 2010 Executive Budget Recommendation and Enacted Budget Update
- 2008 – 2009 Executive Budget Recommendation and Enacted Budget Update
- 2007 – 2008 Executive Budget Recommendation
- 2006 – 2007 Executive Budget Recommendation

Guides

- Comfort Rooms
  Provides information for service providers that are interested in developing comfort rooms and calming spaces. It has been compiled to assist in the planning and implementation process.
- **Grief Counseling Resource Guide**
  A Field Manual. This manual has been developed as a guide for those who encounter individuals reacting to trauma related grief reactions in the course of their outreach work.

- **Guide, New York State County Disaster Mental Health Planning and Response**

- **Guidelines, Inpatient Safety Standards: Materials and Systems**
The purpose of these guidelines is to provide a selection of materials, fixtures, furniture and hardware that OMH has reviewed and supports for use within psychiatric inpatient units in order to further the agency’s goal of reducing the risk of harm to individuals. Utilization of any of these products is not mandatory. Please take a moment to read the [Introduction to Physical Plant Guidelines](#) before using the guidelines.

- **HIPAA Privacy Rules for the Protection of Health and Mental Health Information**
This document provides guidance about key elements of the requirements of the Health Insurance Portability and Accountability Act (HIPAA), federal legislation passed in 1996 which requires providers of health care (including mental health care) to ensure the privacy of patient records and health information.

- **Wellness Guide for Parents of Youth in Day Treatment and Outpatient Programs**

**Handbooks/Manuals**

- **Home and Community–Based Services Guidance Documents** (HCBS Waiver Manual)

- **Mental Health Resources Handbook**

**Illnesses Information**

- **Anxiety Disorders**
A booklet to help you identify the symptoms and causes of anxiety disorders. It will also explain how to obtain treatment and suggest ways to make such treatment more effective.

- **Attention Deficit Hyperactivity Disorder**
A variety of medications, behavior–changing therapies, and educational options are available to help people with ADHD focus their attention, build self–esteem, and function in new ways.

- **Bipolar Disorder**
Bipolar disorder, also known as manic–depressive illness, is a brain disorder that causes unusual shifts in a person's mood, energy, and ability to function. Bipolar disorder can be treated, and people with this illness can lead full and productive lives.

- **Children with Mental Disorders: Treatment of**
Children are in a state of rapid change and growth during their developmental years. Diagnosis and treatment of mental disorders must be viewed with these changes in mind.
• Cognitive Dysfunction, Dealing with

• Communication Needs of Persons Who Are Non–English Speaking, Deaf or Hard of Hearing

• Depression (Chinese | Русский | Kreyòl Ayisyen)
  Depressive illnesses often interfere with normal functioning and cause pain and suffering not only to those who have the disorder, but also to those who care about them. There are now medications and psychosocial therapies that ease the pain of depression.

• Eating Disorders – Facts about eating disorders and the search for solutions.

• Electroconvulsive Therapy Clinical Indications

• Heat Illness (Español | العربية | 中文 | ПУССКИЙ | Kreyòl Ayisyen | Ìtàliànà | 한국어)

• Medications
  A booklet to help people with mental illness and their families understand how and why medications can be used as part of the treatment of mental health problems.

• Schizophrenia (Chinese | Русский | Kreyòl Ayisyen)
  Schizophrenia is a chronic, severe, and disabling brain disease. However, this is a time of hope for people with schizophrenia and their families. Research is gradually leading to new and safer medications and unraveling the complex causes of the disease.

Mental Health Programs

• Administrative Practices Advice for Mental Health Programs

• Medicaid Requirements for OMH–Licensed Outpatient Programs

Military

• Anxiety Disorders (Chinese | Русский | Kreyòl Ayisyen)
  A booklet to help you identify the symptoms and causes of anxiety disorders. It will also explain how to obtain treatment and suggest ways to make such treatment more effective.

• Attention Deficit Hyperactivity Disorder
  A variety of medications, behavior–changing therapies, and educational options are available to help people with ADHD focus their attention, build self–esteem, and function in new ways.

• Bipolar Disorder (Chinese | Русский | Kreyòl Ayisyen)
  Bipolar disorder, also known as manic–depressive illness, is a brain disorder that causes unusual shifts in a person's mood, energy, and ability to function. Bipolar disorder can be treated, and people with this illness can lead full and productive lives.
Depression (中文 | PyCCКИЙ | Kreyòl Ayisyen)
Depressive illnesses often interfere with normal functioning and cause pain and suffering not only to those who have the disorder, but also to those who care about them. There are now medications and psychosocial therapies that ease the pain of depression.

Eating Disorders
Facts about eating disorders and the search for solutions.

Medications
A booklet to help people with mental illness and their families understand how and why medications can be used as part of the treatment of mental health problems.

Mental Health Resources Available for Veterans in New York State

Post–Traumatic Stress Disorder Information (中文 | PyCCКИЙ | Kreyòl Ayisyen)
Post–Traumatic Stress Disorder is a normal reaction to seriously disturbing events. This booklet examines the signs, symptoms and steps you can take to treat PTSD.

Schizophrenia (中文 | PyCCКИЙ | Kreyòl Ayisyen)
Schizophrenia is a chronic, severe, and disabling brain disease. However, this is a time of hope for people with schizophrenia and their families. Research is gradually leading to new and safer medications and unraveling the complex causes of the disease.

Treatment of Children with Mental Disorders
Children are in a state of rapid change and growth during their developmental years. Diagnosis and treatment of mental disorders must be viewed with these changes in mind.

Reports

OMH Appendix H- Appendix to Unified Statement Response to SED Report
This document contains the Office of Mental Health (OMH) recommendations & response to the New York State Education Departments Report pursuant to Chapter 57 of the Laws of 2013. The OMH Response provides an overview of how OMH programs are regulated and administered to provide high quality, cost effective services, assesses the current shortage of licensed practitioners throughout the state of New York, the expected declining number against the expected increased demand occasioned by current health care reforms and offers the foreseeable consequences that will result by the elimination of the current exemption in the Education Law as it relates to the practice of identified licensed behavioral health professions in New York.

2013 Annual Representative Report (110kb)
This report is provided pursuant to Section 33.07 (i) of the Mental Hygiene Law (MHL) which requires the submission of an annual report by the Office of Mental Health (OMH) detailing the handling of funds received by a facility director as representative payee for approximately 2,600 individuals.
• **2012 Annual Representative Report** *(110kb)*
  This report is provided pursuant to Section 33.07 (i) of the Mental Hygiene Law (MHL) which requires the submission of an annual report by the Office of Mental Health (OMH) detailing the handling of funds received by a facility director as representative payee for approximately 2,400 individuals.

• **2011 Annual Family Care Program Report** *(30kb)*
  This report is provided pursuant to Section 7.15(c) of the Mental Hygiene Law which requires that Commissioner prepare this report for the Governor, the Legislature, and the Commission on Quality of Care and Advocacy for Persons with Disabilities on an annual basis.

• **2011 Annual Representative Report** *(89kb)*
  This report is provided pursuant to Section 33.07 (i) of the Mental Hygiene Law (MHL) which requires the submission of an annual report by the Office of Mental Health (OMH) detailing the handling of funds received by a facility director as representative payee for approximately 2,400 individuals.

• **2013 Annual Report on the Implementation of Mental Hygiene Law Article 10**

• **2012 Annual Report on the Implementation of Mental Hygiene Law Article 10** *(223kb)*

• **2011 Annual Report on the Implementation of Mental Hygiene Law Article 10** *(306kb)*

• **An OMH Assessment of Clinical Care, Professional Workforce, Research, and Local Government Opportunities (2007)**

• **Assisted Outpatient Treatment Program Evaluation**
  The 2005 reauthorization of New York State’s Assisted Outpatient Treatment required an independent evaluation of the program’s implementation and effectiveness. That evaluation was completed by the Duke University School of Medicine, Department of Psychiatry and Behavioral Sciences; the MacArthur Foundation and Policy Research Associates and was released June 30, 2009.

• **Clinic Restructuring Implementation Plan**
  This publication provides an overview of OMH’s plan for restructuring OMH–licensed mental health clinic services. The transition to the new clinic model is slated to begin January 2010.

• **Ensuring Cultural Competency in New York State Health Care Reform** *(229kb)*
  The paper provides an excellent briefing on changes underway in health care and behavioral healthcare, as well as an expert summary of key issues and recommendations in Cultural Competence. These perspectives are integrated in a report that leaders at every level can use to improve care (Michael Hogan, Commissioner, 2012).

• **Geriatric Mental Health & Chemical Dependence: Annual Report**
  The Annual Report on Geriatric Mental Health and Chemical Dependence presents a
long–term plan regarding the geriatric and chemical dependence needs of New Yorkers and recommendations to address those needs. It is jointly submitted to the Governor and Legislature of New York State each year by the Commissioner of Mental Health, the Commissioner of Alcoholism and Substance Abuse Services, the Director of the Division of Veteran's Affairs, the Adjutant General and the Director of the State Office for Aging.


- **Mental Health Outpatient Reimbursement Study**

- **New York State/New York City Mental Health–Criminal Justice Panel Report and Recommendations**

- **Provider Reimbursement System**

- **Report to the Governor and Legislature Pursuant to Article 10 of New York State Mental Health Law** (2.7mb)

- **Unmet Needs Assessment Report** (660kb)
The overall goal of this report is to identify unmet needs in New York State (NYS) populations at high risk of needing mental health services. This report focuses on disparities for several high–risk groups: racial and ethnic minorities, children, rural populations, and gay, lesbian, bisexual and transgender (LGBT) individuals. The report was produced by The Centers of Excellence for Cultural Competence (CECC) at the Nathan Kline Institute and the New York State Psychiatric Institute. Additional data was provided by the NYS Office of Mental Health The Psychiatric Services and Clinical Knowledge Enhancement System for Medicaid and The Office of Performance Measurement and Evaluation.

**Requirements/Policy Statements**

- **Administrative Practices and Medicaid Requirements**

- **HIPAA Privacy Rules for the Protection of Health and Mental Health Information** (中文 | Russian | Kreyòl Ayisyen)
This document provides guidance about key elements of the requirements of the Health Insurance Portability and Accountability Act (HIPAA), federal legislation passed in 1996 which requires providers of health care (including mental health care) to ensure the privacy of patient records and health information.

**Statewide Planning Documentation**

- **2011–2015 Statewide Comprehensive Plan for Mental Health Services**

- **Strategic Framework – October 2010** (505kb)

- **2014 Interim Report**

- **2013 Interim Report**
2012–2016 Statewide Comprehensive Plan for Mental Health Services

2012 Interim Report

2011 Interim Report

2010–2014 Statewide Comprehensive Plan for Mental Health Services

2009–2013 Statewide Comprehensive Plan for Mental Health Services

2009 Interim Report

2008 October Update to the 2006–2010 Statewide Comprehensive Plan for Mental Health Services

2008 Interim Report


2006 Interim Report

2006–2010 Statewide Comprehensive Plan for Mental Health Services

2005–2009 Statewide Comprehensive Plan for Mental Health Services

2005 Interim Report

2004–2008 Statewide Comprehensive Plan

2004 Interim Report

**Suicide Prevention**

- Saving Lives Volume 1, Saving Lives Volume 2, Saving Lives Volume 3

- Suicide Prevention Education and Awareness Kit (中文 | English | Español | РУССКИЙ)

**Treatment Information**

- Assertive Community Treatment

Adult Housing – The Adult Housing web page presents the Residential Program Indicators (RPI) report. The RPI is a performance measurement reporting tool for adult housing programs in New York State. Viewers can use indicators in the report to evaluate agency residential programs, based on county, regional, and statewide averages.

Assertive Community Treatment Reports - The ACT web page provides an overview of the ACT program, and up-to-date statistical data on program operations, the demographic and diagnostic characteristics of ACT recipients, and recipient outcomes. Statewide, regional, county and program-level data are available.

Assisted Outpatient Treatment (AOT) Reports - Up-to-date statistical data on AOT program operations, the demographic and diagnostic characteristics of AOT recipients, and outcomes for AOT recipients. Statewide, regional and county-level data are available.

Balanced Scorecard - The OMH Balanced Scorecard allows anyone to view and assess the agency's progress toward achieving its strategic goals. The Scorecard uses up-to-date quantitative data to compare actual performance against specific measurable targets. Content areas include outcomes experienced by individuals served in the NYS public mental health system, results of public mental health efforts undertaken by OMH, and critical indicators of organizational performance. The OMH Balanced Scorecard is updated quarterly.

BHO Performance Metrics Portal
The Behavioral Health Organization (BHO) initiative oversees the transition to managed care for Medicaid recipients who receive mental health and substance use disorder services in New York State. The BHO Performance Metrics Portal includes reports that track performance measures derived from aggregated Medicaid claims data pertaining to the provision of mental health and substance use disorder services. The metrics emphasize improving rates of timely follow-up treatment post discharge, timely filling of appropriate medication prescriptions post discharge, and reducing rates of readmission. The reports in the BHO Portal contain measures of performance across these domains that are calculated quarterly showing data for the given calendar quarter and year-to-date (2010 to the present).

The Children, Teens and Families Indicators Portal expands the availability of data driven measures on youth and family services in New York State. This Portal includes provider level dynamic reports using information that providers report into CAIRS, and information that youth and families submit to OMH through the NYS OMH Youth and Family Assessment of Care surveys. The CAIRS reports compare each indicator by program type and program unit and over time (2002 to the present). The NYS OMH Youth and Family Assessment of Care reports are updated annually and include survey results from 2007 forward.

Statistics and Reports
Link to Archived Statistics and Reports
The Consumer Assessment of Care Survey (CACS) web page displays reports compiled from data collected annually from adults in state-operated outpatient, non-residential programs. These reports provide an assessment of consumer perceptions of various dimensions of care and quality of life. Data are presented at the state, region, facility and program/site level.

County Profiles Portal – The County Profiles Home Page offers consolidated, at-a-glance, and comparative views of key county community characteristics, mental health services expenditures, and outcomes. Its purpose is to enable planners and others to identify service gaps and disparities and plan improved service delivery.

Behavioral Health Planning Data for Delivery System Reform Incentive Payment (DSRIP) Project - This Web Page contains relevant behavioral health data sources compiled by the New York State Office of Mental Health. DSRIP applicants may find these resources helpful when conducting their community needs assessment for behavioral health services.

The New York Employment Services System (NYESS) is a single point of access for all New Yorkers seeking employment and employment supports, regardless of an individual’s abilities or disabilities and irrespective of the state agency from which they receive employment services and supports. NYESS consists of the NYS Department of Labor's One-Stop Operating System, which connects job seekers with employment opportunities in the NYS Job Bank, as well as a data warehouse of employment-related information operated by OMH. NYESS is designed to enhance New York State’s ability to improve employment outcomes for New Yorkers with disabilities, and to create an inclusive workforce across New York State.

Patient Characteristics Survey (PCS) Portal - The PCS provides a comprehensive one–week "snapshot" of the population served by New York State's public mental health system. View demographic, clinical, and social characteristics for each person who receives a mental health service during the specified one–week period using the dynamic Portal Summary or Planning Reports. The Summary reports describe client characteristics and the Planning reports present penetration rates and national outcome measures. Historic reports provide data from surveys extending back to 1999.

Assisted Outpatient Treatment (AOT) Program Evaluation – The 2005 reauthorization of New York State’s Assisted Outpatient Treatment program required an independent evaluation of the program’s implementation and effectiveness. The evaluation was released June 30, 2009 and was completed by the Duke University School of Medicine, Department of Psychiatry and Behavioral Sciences; the MacArthur Foundation; and Policy Research Associates.

An OMH Assessment of Clinical Care, Professional Workforce, Research, and Local Government Opportunities (2007) - This report is an assessment of key opportunities and challenges that New York State faces with regard to quality clinical mental health care. The report's themes and recommendations will be used as a clinical policy guidepost by OMH Medical Director Lloyd I. Sederer, M.D. in his work with OMH staff, facilities and institutes, with OMH constituents and community colleagues, and with sister government agencies at the county and state level.
2012–2016 Statewide Comprehensive Plan for Mental Health Services - 2012–2016 Statewide Comprehensive Plan for Mental Health Services Required under Mental Hygiene Law, the Statewide Comprehensive Plan this year focuses on the strategic direction toward transformation premised upon recovery and resiliency principles. Profiles of programs and initiatives people say are making a difference in their lives are included to illustrate some efforts at different levels of the mental health system to build empowering, person-centered, family-driven, and youth-guided services and supports.

2014 Interim Report - The OMH Statewide Comprehensive Plan Interim Report for 2014 highlights the transformational reforms currently underway in the mental health system - reforms that will fundamentally improve the quality of mental health services and significantly improve the lives of New Yorkers with mental illness. Premised upon principles of recovery and resiliency, this report outlines how these reforms further the ability of individuals with mental illness the opportunity to live as part of society and to contribute meaningfully to their community.

2013 Annual Report on the Implementation of Mental Hygiene Law Article 10 – Mental Hygiene Law Article 10 became effective in April 2007, and was enacted as part of New York's Sex Offender Management and Treatment Act (SOMTA). The 2013 Report is the seventh annual report and provides an overview of SOMTA and presents data on related assessment, litigation and treatment issues.

The Children's Plan: Improving the Social and Emotional Well Being of New York's Children and Their Families - The Children's Plan is intended to communicate the collective vision of families, youth, providers, teachers, child care workers and caring adults promoting the social and emotional development of all of New York's young people. The information and recommendations contained in the Plan are both visionary and practical. The Plan is designed to engage all New Yorkers in supporting the social and emotional development of children, including both the promotion of mental health and the treatment of children with emotional disturbance.

Geriatric Mental Health & Chemical Dependence: 2012 Annual Report - The Annual Report on Geriatric Mental Health and Chemical Dependence presents a long-term plan regarding the geriatric and chemical dependence needs of New Yorkers and recommendations to address those needs. It is jointly submitted to the Governor and Legislature of New York State each year by the Commissioner of Mental Health, the Commissioner of Alcoholism and Substance Abuse Services, the Director of the Division of Veteran's Affairs, the Adjutant General and the Director of the State Office for Aging.

Annual Report To The Governor and Legislature of New York State On Comprehensive Psychiatric Emergency Programs – Psychiatric emergency care in New York State was historically provided primarily in the emergency rooms of general hospitals and often resulted in overcrowded emergency rooms and over-utilized acute inpatient hospitalization services.

Incident Reports and Root Cause Analyses 2002-2008: What They Reveal About Suicides
OMH holds a wealth of information provided by programs it licenses and operates, describing how they responded to serious incidents. In this report we share the responses programs shared with us in their root cause analyses and recommendations for improvement as they looked back on
inpatient suicides and suicides within 72 hours of discharge—among the most distressing events faced by mental health clinicians.

**Mental Health Outpatient Reimbursement Study** - This report reviews the financing and reimbursement of mental health services provided by outpatient clinic, continuing day treatment, and day treatment programs licensed under Article 31 of the Mental Hygiene Law. The report was commissioned by the Legislature in the 2006-07 state budget. Work on the report was carried out by Public Consulting Group (PCG), under contract with the Office of Mental Health.

**Unmet Needs Assessment Report** (660kb)

The overall goal of this report is to identify unmet needs in New York State (NYS) populations at high risk of needing mental health services. This report focuses on disparities for several high-risk groups: racial and ethnic minorities, children, rural populations, and gay, lesbian, bisexual and transgender (LGBT) individuals. The report was produced by The Centers of Excellence for Cultural Competence (CECC) at the Nathan Kline Institute and the New York State Psychiatric Institute. Additional data was provided by the NYS Office of Mental Health The Psychiatric Services and Clinical Knowledge Enhancement System for Medicaid and The Office of Performance Measurement and Evaluation.

**Clinical Advisories and Guidelines**

OMH has issued a Health Advisory-Clozapine: Managing Constipation and GI Hypomotility in an effort to raise awareness of the approaches for preventing, monitoring and treating constipation and gastrointestinal (GI) hypomotility associated with the use of clozapine.

OMH issues a Health Alert for the 2013-2014 Flu Season. [letter from Dr. Sederer](#)

**Update - Clinical Advisory Regarding Adult Homes Previously Issued to Psychiatric Inpatient Programs on June 12, 2012**

On June 12, 2012, OMH issued a Clinical Advisory regarding discharges from hospitals licensed or operated by the Office of Mental Health (OMH) to certain Adult Homes licensed by the State Department of Health (DOH). After receiving comments regarding the Clinical Advisory, OMH has amended that Clinical Advisory to clarify several issues.

**Clinical Advisory** Mixed use, larger scale congregate housing is an important and viable form of community living. However, there are times when the numbers of individuals with serious mental illness residing in certain types of housing result in housing experiences that are not clinically appropriate to the needs of such persons.

**During hot weather, people who take certain medications at risk** People who are receiving antipsychotic medications are at increased risk for heat stroke and neuroleptic malignant syndrome.
OMH Releases Guidance Memo on the Use of PRN Medications

The Office of Mental Health recently released guidance for all hospitals under its jurisdiction, on the use of PRN medications. It is intended to replace all previous guidance and policy on this topic, including OMH Official Policy PC-530, "PRN for Agitation." It is effective immediately.

OMH Issues Practice Advisory Addressing the use of ECT for Individuals under Age 18

This OMH Practice Advisory addresses the use of Electroconvulsive Therapy (ECT) for individuals under the age of 18 years. The Office of Mental Health is distributing it as a directive for all State-operated psychiatric facilities, and as a practice advisory to other mental health care providers in New York State. (Letter | Advisory)

OMH Letter to Families on the Use of Antidepressants in Children and Adolescents

In 2004, the U.S. Food and Drug Administration (FDA) announced a warning and precautions to strengthen safeguards for children and adolescents because of an increased risk of suicidality in those treated with antidepressant medications. In response to subsequent news reports, OMH developed a letter that could be used with parents and families to explain the FDA warning that now has been extended to young adults aged 24 or less. In light of the continuing need for information in this area, the original OMH letter has been revised.

OMH Issues Clinical Advisory on Antipsychotic Medication Use in Adults

With the increasing controversy surrounding the prescription of antipsychotic medications, the Office of Mental Health has issued a clinical advisory in an effort to raise awareness of benefits, risks, side effects and best practices for these medications.

OMH Issues Advisory on Antipsychotic Medications

OMH Releases Clinical Advisory, Cautions Against the Use of Antipsychotic Medication for Treatment of Dementia

While antipsychotics are the treatment of choice for positive symptoms like hallucinations and delusions in patients with schizophrenia, antipsychotics are not approved by the FDA for the treatment of dementia-related psychosis. OMH cautions against the use of both first and second generation antipsychotics in elderly patients treated for dementia-related psychosis or dementia-related behavioral disturbances.

OMH Issues Clinical Advisory Regarding Cardiovascular Monitoring of Children and Adolescents Receiving Medication for Attention Deficit Hyperactivity Disorder (ADHD)

OMH Guidance on Electroconvulsive Therapy presents a quality review process for State-operated psychiatric centers.

Long Acting Atypical Anti-Psychotic Injections

The New York State Office of Mental Health provides the attached Advisory on the treatment of children and adolescents with second generation (SGA) (or novel or atypical) antipsychotic medications.

The FDA has issued a Public Health Advisory for Adderall and Adderall XR.

Electroconvulsive Therapy Review Guidelines are for use by provider hospitals and facilities, based on the APA recommendations.

Survey Process for Clinics

- 2010 Clinic Licensing Survey Process
- 2010 Clinic Recertification Letter Appendix A
- Clinic Licensing Toolkit
- Clinic Satellite Protocol
- Clinic Standards of Care Anchor Element (Updated 3/13)
- Clinic Standards of Care - Resources, References and Tools (64kb)
- Family Questionnaire
- Recipient Questionnaire
- Report on Pilot Surveys
- Standards of Care Anchor Elements Guidance (Draft)
- Tracer Flowing Questions

PROS Standards of Care and Survey Protocol

- PROS Standards of Care (65kb)
- Recertification Scoring
- Recertification Letter
- Employment Services Information Form (21kb)
- Agency Self Assessment (27kb)
- Program Assessment by Participant (51kb)
Guidance Documents

The Office of Mental Health makes available, through this page, the full text of all guidance documents on which the agency currently relies. As defined in section 202-e of the State Administrative Procedure Act, a guidance document is any guideline, memorandum or similar document, prepared by an agency, that provides general information or guidance to assist regulated parties in complying with any statute, rule or other legal requirement. The term does not include documents that concern only the internal management of the agency, such as a policy that applies only to an OMH operated facility or program.

Adult Services

- Assertive Community Treatment (ACT) Certification Manual
- ACT - Health Home Transition: Interim Instruction February 19, 2014
- ACT in Health Homes: Joining Health Home Networks
- ACT Program Guidelines
- Administrative Practices and Medicaid Requirements
- AOT Guidance for Reporting Significant Events *(Note: This form best viewed using Internet Explorer)*
- Assisted Outpatient Treatment Program - Guidance for AOT Program Operation
- Clinical Advisories - Adult Homes
- Guidelines for Initial Reporting by Local Governmental Unit on Assisted Outpatient Treatment
- NYS Office of Mental Health (OMH) Policy Statement Regarding Electronic Signatures, September 2007
- OMH Approval of Disposition of Real Property Acquired through State Aid
- Personalized Recovery Oriented Services (PROS) Finance Handbook
- PROS Person Centered Planning Workbook
- Prohibited Related-Party Transactions, Self-Dealing, and Waste of State Funds
- Serious & Persistent Mental Illness
- Supported Housing Program Implementation Guidelines
Waiver of Competitive Bidding Requirements for General Contractors

Behavioral Health Organizations (BHO) Implementation

- BHO Implementation
- Comprehensive Psychiatric Emergency Program (CPEP) Emergency Observation Beds (EOBs)
- Confidentiality
- Court-Ordered Treatment
- Medicaid Eligibility
- OMH-Designated Child Serious Emotional Disturbance (SED) Specialty Clinics
- SED Children
- Task 2 Children/Youth SED
- Youth Admissions to OMH State-Operated Psychiatric Centers

Bureau of Criminal History Information

- Criminal History Background Check

Bureau of Cultural Competence

- Agency Cultural Competence Plan Format

Children and Family Services

- Home and Community-Based Services (HCBS) Guidance Documents (Waiver Manual)

Clinic and Ambulatory Restructuring

- Part 599 Guidance (375kb)
- Telepsychiatry Standards Guidance

Community Budget and Fiscal Management

- Aid to Localities Spending Plan Guidelines
- Consolidated Fiscal Reporting Information for Residential Treatment Facility Providers: Prescription Medications
- Long Acting Atypical Anti-Psychotic Injections
Medicaid Fraud and Abuse Notification

New York State Consolidated Budget Reporting and Claiming Manual

Office of Mental Health Finance Consolidated Fiscal Reporting

OMH Procurement Lobbying Act Guidelines and Forms

Forensic Services

Mental Health Resources Handbook

Health Services

Important Information Regarding the Medicaid Pharmacy Benefit

Medicaid Self-Disclosure Guidance

Medicare Part D

Medical Alert - Increased Risk of Heat Illness to Persons Taking Antipsychotic Medications

Inspection and Certification

Comfort Room Guide

Electroconvulsive Therapy Review Guidelines

Implementation Guidelines - 14 NYCRR Section 526.4 - Restraint and Seclusion

Inpatient Safety Standards

Standards of Care Anchor Elements

Use of PRN Medications

Office of Financial Management

Federal Medical Assistance Percentage (FMAP) Reductions
The 2010-11 FMAP "Contingency Allocation Plan" requires the Office of Mental Health (OMH) to reduce individual payments by 1.1 percent for the period between September 16, 2010 and March 31, 2011.

Office of Performance Management and Evaluation

Mental Health Provider Data Exchange
Public Affairs and Planning

- **New York State County Disaster Mental Health Planning and Response Guide: A Guide for County Directors of Mental Health and Community Services**

- **Statewide Comprehensive Plan**

Public Information Office

- **Communication Needs of Persons Who Are Non–English Speaking, Deaf or Hard of Hearing (中文 | РУССКИЙ | Kreyòl Ayisyen)**

- **HIPAA Privacy Rules for the Protection of Health and Mental Health Information (中文 | РУССКИЙ | Kreyòl Ayisyen)**

- **Inpatient Rights (中文 | РУССКИЙ | Español | Kreyòl Ayisyen)**

- **Outpatient Rights (中文 | РУССКИЙ | Español | Kreyòl Ayisyen)**
Office of Mental Health (OMH) Forms

OMH has a number of forms available. The listing below is the forms that can be downloaded and printed from the Internet. There are also some forms available for a fee. These are listed in the Printing & Design Services Catalog or call the Design Center at (518) 473-3574.

Application for Prior Approval Review

- Form OMH 167 (859kb) - Application for Prior Approval Review 14 NYCRR 551 Personalized Recovery Oriented Services (PROS) Program (Part 512)
- Prior Approval Review (PAR) Application Status

Continuous Quality Improvement (CQI) Initiative

- CQI Plan Template (165kb) (HTML | Word Version)
- NYC Instructions for First Year Evaluation (92kb) (HTML)
- NYC Template for First Year Evaluation (428kb) (HTML | Word Version)
- Instructions for First Year Evaluation for Central, Hudson River, Long Island, and Western Regions (1mb) (HTML)
- Template for First Year Evaluation for Central, Hudson River, Long Island, and Western Regions (68kb) (HTML | Word Version)
- Instructions and Template for Second Year Evaluation (616kb) (HTML)

Consolidated Fiscal Reporting System (CFRS)

- Calendar Year 2012 (January - December) Schedules & Forms
- Fiscal Year 2011/12 (July - June) Schedules & Forms

Employment Forms

- Form OMH 80 ADM - OMH Application for Employment Form (25kb)

Health Insurance Portability and Accountability Act (HIPAA)

- Authorization for Patient Interview – OMH – 445
- Authorization for Patient Photograph – OMH – 446
- Notice of Privacy Practices - Standard (35kb)
- OMH Sample Agreement – QA – 530
- Standard Authorization Form – OMH – 11 (127kb)
- Status of OMH as Covered Entity

Home and Community Based Services Waiver Program Forms

- Administrative Review (329kb) (HTML)
- Aftercare Follow-Up Plan (498kb) (HTML)
- Application for Participation & Freedom of Choice (46kb) (HTML)
- CANS MH (1.6mb) (HTML)
- Children Notice to LDSS Regarding Loss of Waiver Eligibility (498kb)
- Children's Waiver Financial Information Form (411kb) (HTML)
- Children's Waiver Transmittal Form with Instructions to Complete/Submit (437kb) (HTML)
- Discharge Plan (229kb) (HTML)
- HCBS Waiver Qualification Form: ICC Provider (37kb) (HTML)
- HCBS Waiver Qualification Form: Subcontractor (37kb) (HTML)
- Initial Service Plan Narrative (ISPN) (626kb)
- Level of Care (LOC) (92kb) (HTML)
- Medicaid Application Cover Letter (495kb)
- Plan of Corrective Actions (POCA) (494kb) (HTML)
- Progress Notes (55kb)
- Release of Information (27kb)
- Safety Alert Plan (643kb) (HTML)
- Safety Plan Contract (354kb) (HTML)
- Screening Results Letter (41kb) (HTML)
- Service Plan/Goals and Objectives (650kb)
30 Days Review Narrative (737kb)
90 Days Review Narrative (739kb)
Site-Visit Summary Form (703kb)
Transmittal Form for New Enrollments (40kb)
Universal Referral Screening Form (URF) (512kb) (HTML)

Licensing
- Request for Amendment to Operating Certificate (644kb) (HTML)
- Request for Apartment Addition or Deletion and Waivers (668kb)
- Request for Approval - Infrared Portable Space Heater (501kb)

OMH Procurement Lobbying Act Forms For Vendors
- Offerer's Affirmation of Understanding Attachment J1 (13kb)
- OMH Offerer Disclosure of Prior Non Responsibility Determinations Attachment J2 (15kb)
- Notification of Restricted Period Under Procurement Lobbying Act For Sole, Single or Preferred Vendors Attachment J4 (488kb)

Regulations
- Part 501 of Title 14 NYCRR grants the Commissioner the ability to waive regulatory requirements for purposes of testing innovative programs that may increase the efficiency and effectiveness of operations or providing additional flexibility to better meet local service needs while maintaining program quality and integrity.
Instructions | Waiver Request Form (568kb)