



**MENTAL HEALTH AND SUBSTANCE ABUSE
SERVICES BULLETIN
MENTAL RETARDATION BULLETIN**

COMMONWEALTH OF PENNSYLVANIA - DEPARTMENT OF PUBLIC WELFARE

DATE OF ISSUE
November 2, 1999

EFFECTIVE DATE
July 1, 1999

NUMBER
OMHSAS-99-10

SUBJECT:

Sanctions Policy for Noncompliance with Mental Health & Mental Retardation Income & Expenditure, Consolidated Waiver, and Cost Settlement Reporting Requirements

BY:

Deputy Secretary for Mental Health and
Substance Abuse Services

BY:

Deputy Secretary for Mental Retardation

SCOPE: County Commissioners
County MH/MR Administrators
County MH/MR Fiscal Officers

PURPOSE:

The purpose of this Bulletin is to transmit the Department's policy regarding the submission of the annual MH/MR Income and Expenditure Report, Consolidated MR Waiver Reports and Cost Settlement Reports. It applies to both the original submissions and any required revisions.

BACKGROUND:

The Department established in regulation, September 15th as the due date for the annual Income and Expenditure (I&E) report. For Fiscal Year 1994-95, the Department established a new due date through a statewide waiver of 4300.133(d). This waiver extended the due date for the submission of the annual I&E report from September 15th to September 30th. Counties/joinders are allowed to continue to submit the annual I&E report to the Department, by September 30th of each year, until such time the Department chooses to cease the waiver. Even with the extended submission period, there have been several counties/joinders who consistently do not meet the new due date. In addition, the Department has historically experienced extreme difficulty in obtaining corrections for incomplete and/or inaccurate reports. This bulletin establishes the policy and process under which a county/joinder will experience a delay in receiving their quarterly payments(s) due to the nonsubmission of an original and/or corrected report as requested by the Department.

DISCUSSION:

The Department will review requests for extensions to the due date of September 30th, if they meet the criteria under which a waiver will be considered as found in 4300.11 Waivers and if the request is submitted by August 1st of that year. Should the due date revert back to September 15th, the request for an extension must be submitted by July 15th of that year.

COMMENTS AND QUESTIONS REGARDING THIS BULLETIN SHOULD BE DIRECTED TO:

Albert M. Petrole or BethAnn Smetak at (717) 787-3760

If the county/joinder has not submitted a report by September 30th or if the report submitted does not pass the initial quality assurance check, the second quarter payment will be held until such time the Department receives a report that passes the initial quality assurance check. Regardless of the method of submission (i.e. diskette, bulletin board), a hard copy of the appropriate signature authority forms must be submitted to the Department by the due date.

The second quarter payment is usually made on the 20th day of the first month of the quarter. If the above criteria have not been met, the Public Health and Human Services (PHHS) Comptroller will be instructed to hold the payments for those counties/joinders who have not complied with the Department's submission requirements. Once the county/joinder's report has met the above criteria, the Bureau of Financial Operations will contact the PHHS Comptroller for release of the payment. Should the PHHS Comptroller be required to hold for payment for any extended period of time, they may choose to void the payment and require new payment documents to be submitted to effect payment.

There are instances when corrections are required by the Department in order to obtain an accurate reporting package. When this occurs, the county/joinder is expected to comply in a timely manner. In order to expedite this process, the Department will take the following steps. If a deficiency is noted upon review of a report, the Department staff will first call the agency's fiscal officer. The fiscal officer will be verbally advised of the necessary corrections and/or revisions. If the requested corrections and/or revisions are not received within three weeks, written correspondence will be sent to the agency MH/MR administrator informing him/her of the requested corrections and/or revisions. Additionally, it will advise him/her that the agency's third quarter payment will not be prepared until the agency has complied with the request. If the requested information is not received within three weeks from the date of that correspondence, written correspondence will be sent to the County Commissioners advising them that the third quarter and all future payments will be held until the agency has complied with the Department's request. The payment which will be held would be specific to the program, either OMHSAS or OMR or both, which is not in compliance.

In the event that a request for corrections and/or revisions has not been satisfied by the end of the fiscal year, payments will be held in the subsequent fiscal year, until the county provides the required revisions.