

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

Due Dates

Please reference the Department Periodic Reports (DPR), 2024 Master List within the DBHDID Central Login web based application for the specific due dates of your Center's DPR. To access the Master List, log into Central Login, select the "Reports and Upload-Region XX" role, then select the report from the Reports dropdown menu. For more detailed instructions, please see the document titled *Department Periodic Reports Processing Instructions*, which is linked on the Department Periodic Reports Information Page at <https://dbhdid.ky.gov/cmhc/dpr.aspx>. Contact Tracey Mulder at Tracey.Mulder@ky.gov if you have any submission problems with DPR or need assistance accessing your region's Master List.

FY2024 Information

Deleted Forms

The following forms are not required for DPR FY2024:

- Form 101-PES-Stimulant (region 5)
- Form 178-RCC KORE Narrative Report (regions 1, 6, 7, 12)
- Form 213-iHOPE Clinical High Risk Grant Project Report Form (region 4)
- Form 501-SOC FIVE Safety Net and Targeted Services Budget Form (regions 1, 2, 3, 5, 6, 13, 15)
- Form 503-SOC FIVE 24/7 Mobile Crisis Project Report Form (regions 1, 3, 6, 15)
- Form 504-SOC FIVE HFW Project Report Form (regions 3, 6, 13, 15)
- Form 505-SOC FIVE IIH Project Report Form (regions 1, 3, 6)
- Form 506-SOC FIVE Respite Project Report Form (regions 1, 3, 6)

New Forms

The following forms are new for DPR FY2024:

- Form 101-Deaf and Hard of Hearing Services (regions 2, 7)
- Form 101-Homeless Initiative (regions 4, 6, 15)
- Form 102-Homeless Initiative (regions 4, 6, 15)
- Form 102B-BSCA FAIR Team School-Based Behavioral Health Report (all regions)
- Form 102D-DIVERTS Report (all regions)
- Form 102E-SMI Report (all regions)
- Form 150-ODCP Invoice Template and Report (regions receiving ODCP, KY-ASAP and/or NAS funds)
- Form 200-TAYLRD Project Budget and Financial Report (regions 6, 10)

New Updates for FY2024

- All forms except Form 140 have been updated to include a new heading and a cohesive appearance throughout. The structure and layout of the forms has primarily stayed the same.
 - The new layout includes a **Reporting Information** section at the top of the report. Please include the information of the person who completed the report as the submitter, should the approver of the form have any questions.
 - If you experience any issues with the functionality of any form, please contact Tracey Mulder at Tracey.Mulder@ky.gov.
- All Excel forms now include an *Instructions* worksheet/tab. If the form also has a coordinating *Instructions* document, it is embedded on this tab for more accessibility.
- All Funding codes have been updated to reflect the current codes, which changed due to the reorganization of the Division of Behavioral Health within DBHDID last year. The first two letters of all codes changed: Mental Health from TB to TP, and Substance Use from TA to TN.

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

- The two main financial report forms, **117–MH Financial Planning and Implementation Report** and **160–Substance Use Financial Planning and Implementation Report**, have undergone the most updates. New programs/services have been added and those that have expired have been deleted. Prior to completion of Forms 117 and 160, please review each form’s corresponding instructions document, **Forms 117A and 160A**, for more details about the updates and the reporting requirements for the forms.
 - On each form, funding columns that are not allowed for a particular program/service are now locked (and shaded dark blue) to help prevent users from applying expenses to an incorrect funding source.
 - Another feature that may assist users is that the merged cell located directly under the column headings (line 19) is now unlocked. This will allow the user to freeze this line so that the column headings are visible while completing the form. To freeze this cell, do the following:
 - After completing the **Submitter’s Phone Number** in the *Reporting Information* section, tab to the **next cell (line 19 on both forms)**.
 - Before freezing, **scroll the page up so that the funding column headings are visible at the top of the screen**, allowing more lines of the report to be visible instead of the *Reporting Information* section.
 - Select **View** from the menu at the top of the page.
 - Select the **Freeze Panes button**, then select **Freeze Panes**. The user should now be able to scroll up and down the page while the funding column headings are still visible.
 - Questions regarding Form 117 can be directed to Phyllis Millspaugh, Phyllis.Millspaugh@ky.gov.
 - Questions regarding Form 160 can be directed to Dr. Brittney Allen, Brittney.Allen@ky.gov.

Form 012 – Financial Statement

Form 012 is not a specific DBHDID form to be completed but should consist of a PDF or Excel file that contains both the Balance Sheet and the Revenue and Expense Report. **During the submission process, Form 012 will have monthly options to select for which month the report is due.** Please be sure to select the appropriate *due date* of the report, not the *date of the data* (i.e., July data has a due date of August 31st, therefore select August). Any questions concerning the Financial Statement can be directed to Larry Hacker at LarryR.Hacker@ky.gov.

Form 013 – A-133 Audit Report

The A-133 Audit Report will cover the period of July 1, 2022, to June 30, 2023. A PDF file of the center’s A-133 Audit Report should be submitted through Central Login for the Form 013 requirement. If the file is too large to submit through the system, then it can be emailed to Larry Hacker at LarryR.Hacker@ky.gov and cc: Tracey Mulder at Tracey.Mulder@ky.gov. Additionally, a paper copy needs to be mailed to Larry Hacker at the following address: DBHDID/AFM, 275 East Main Street, 4C-D, Frankfort, KY, 40621. This report is due December 31, 2023.

Form 015 – Audited Cost Report

The Audited Cost Report will cover the period of July 1, 2022, to June 30, 2023. A PDF file of the center’s Audited Cost Report should be submitted through Central Login for the Form 015 requirement. If the file is too large to submit through the system, then it can be emailed to Larry Hacker at LarryR.Hacker@ky.gov and cc: Tracey Mulder at Tracey.Mulder@ky.gov. Additionally, a paper copy needs to be mailed to Larry Hacker at the following address: DBHDID/AFM, 275 East Main Street, 4C-D, Frankfort, KY, 40621. This report is due December 31, 2023.

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

Form 016 – Unreimbursed Activities

DPR Form 016 should represent unreimbursed activity from July 1, 2022, to June 30, 2023. This report is due December 31, 2023.

Form 102B – BSCA FAIR Team School-Based Behavioral Health Report

New to FY 2024, Form 102B captures data related to services provided to FAIR Team youth by the 1.0 FTE Clinician and 1.0 FTE Youth Peer Support Specialist.

For information on this form, please contact Diane Gruen-Kidd at Diane.Gruen-Kidd@ky.gov for assistance.

Forms 102D – DIVERTS Report and 102E – SMI Report

New to FY 2024, Forms 102D and 102E capture DIVERTS and SMI data related to Person Centered Recovery Plans (PCRP) and Crisis Plans. *Form 102E-SMI Report* records additional data regarding the assignment of a Targeted Case Manager (TCM).

For further clarification or clarification, please contact Jason Bagley at Jason.Bagley@ky.gov for assistance.

Form 110 Series – Regional Prevention Center (RPC)

Form 110C-Regional Prevention Center focuses on Regional Prevention Centers (RPC) and is used for Plan & Budget, as well as quarterly reporting requirements. It reflects the budget, quarterly and YTD figures for State General funds, Block Grant funds, and SOR funds used by the RPC for services provided. *Form 110D-RPC Staffing Form* should be submitted quarterly and submitted to the Prevention Branch Manager or their designee by email within 30 days of a new hire. Per the contract, the Prevention Manager or their designee must be notified of all new hires prior to an official offer. *Form 110E – RPC Materials Form* is used to report new materials created by the RPC and should be submitted quarterly. For questions, clarification, or assistance on these forms, please contact Paula Brown at Paulab@ky.gov.

Form 113D-Crisis Services Planning and Implementation Report

Form 113D includes the following updates for SFY 2024:

- Day Treatment has been added to Section 2, Regional Array of Crisis Services and Components.
- Four new questions have been added related to mobile crisis services, medication assisted treatment, language access, and youth with high acuity (with three questions deleted).
- Three needed contract deliverables have been added to Section 4, Compliance with Contract Deliverables.

Please see the ***Crisis Services Instructions and Objectives*** for detailed information about Form 113D and Crisis Services.

For information on this form, please contact Christie Penn at Christie.Penn@ky.gov or Phyllis Millsbaugh at Phyllis.Millsbaugh@ky.gov.

Form 113E – Deaf and Hard of Hearing Services

This DPR form focuses on Deaf and Hard of Hearing Services (DHHS) and is to be submitted semi-annually. Part A can be completed by accounting or data staff. Part B must be completed by the DHHS Point Person. Part C is to be completed by the DHHS specialists at New Vista and Seven Counties only. Part D is required only for the DHHS

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

Targeted Case Managers at Cumberland River, New Vista, and Seven Counties. For further clarification or assistance please contact Michelle Niehaus at Michelle.Niehaus@ky.gov.

Form 113H – Early Interventions for First Episode Psychosis iHOPE Project Report Form

The Form 113H's PDF format has been updated for FY 2024. Detailed instructions for this form can be found on the DPR Information page of the DBHDID website under the section of Mental Health/Instructions. Form 113H captures information about first episode psychosis programming related to the iHOPE Program and is specific to the above regions. The report has become necessary due to specified funding for iHOPE. This DPR is due quarterly by Regions 1, 4, 5, 6, 10, 11, 13, and 15. Please contact Allison Paul at AllisonK.Paul@ky.gov with any questions.

Form 117 – MH Financial Planning and Implementation Report

Form 117 will be collected for Plan and Budget and quarterly thereafter and includes mental health related components. Report planned and actual expenditures on form 117 for SMI and SED, by service as indicated by row and by funding source indicated by column headings.

See Form **117A–MH Financial Planning and Implementation Report Instructions** for details specific to the latest updates to Form 117.

For further clarification or assistance, please contact Phyllis Millsbaugh at Phyllis.Millsbaugh@ky.gov.

Form 131 – IMPACT Region-Wide RIAC Funds

Form 131 is due with Plan and Budget and semi-annually thereafter. This form must be signed by the LRC signifying RIAC approval prior to submission. Form **131A–IMPACT Region-Wide RIAC Funds Instructions** includes detailed instructions for completing Form 131.

Please contact Vanessa Brewer at VanessaC.Brewer@ky.gov for additional assistance.

Form 140 – DID Financial Implementation Report

Form 140 shall be submitted during Plan and Budget and quarterly thereafter. Instructions for completing Form 140 can be found within the Start and Instruction tab of the spreadsheet as the Form 140 Overall Instructions PDF.

Information on the form includes restricted and crisis funds combined into a single restricted funding source, a Cumulative Client List sheet for each CMHC to enter a non-duplicative list of who they serve throughout the fiscal year, and to mark the quarter(s) they served them and what services were provided. The quarterly sheets have the distinct clients per service being auto calculated based on the entries into the Cumulative Client List sheet. The SGF client quarterly listing is within the form so that the separate DPR 201-SGF Client Service Listing is not needed. The PASRR specialized services report is now integrated into this report as a separate tab.

For clarification or assistance, please contact Crystal Adams at Crystal.Adams@ky.gov; or for assistance with the form, please contact James Kimble at James.Kimble@ky.gov.

Form 145 – PASRR

The DPR Form 145 reports PASRR expenditures on a quarterly basis and is cumulative for the fiscal year. Instructions for completion are now included on the form. For any additional assistance, please contact Crystal Adams at Crystal.Adams@ky.gov. (Please see PASRR reporting regarding additional reporting information.)

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

Form 150 – ODCP Invoice Template and Report

For CMHCs receiving an award from ODCP, KY-ASAP and/or NAS, please use Form 150-ODCP for quarterly reporting. This change has been made to the reporting process for your convenience and to better collect necessary data on the fiscal and programming updates of your programs being funded. Please note that for NAS invoicing Rhonda Riddle Rhonda.Riddle@ky.gov will also need to be emailed the NAS invoice form. For any questions regarding this change, please notify Mary Mosley Mary.Mosley@ky.gov.

Form 155B – KY-Moms MATR Prevention and Case Management Quarterly Report (Pregnant & Parenting Women Substance Use Services)

This form is for regions with KY-Moms MATR programs. This form serves as the quarterly update for substance use funds allocated to the region to support the KY-Moms MATR program (including Project Link). This form serves as a quarterly update tool and should represent the current status of prevention and case management services for pregnant individuals and individuals not greater than 60 days postpartum for prevention clients and 1-year postpartum for case management clients, within KY Moms MATR. Additional budget documents include forms *155A – KY-Moms MATR Application*, *155E – KY-Moms MATR Budget Justification and Proposed Expenditures*, and *155C- Pregnant and Parenting Women Substance Use Services Project Budget and Financial Report*. Forms 155A and 155B should correspond with one another. The 155B should also correspond with the Prevention Work Plan that is entered into the PDS. Form 155B is submitted 30 days following the close of each quarter. For further assistance, please contact Katie Stratton at Katie.Stratton@ky.gov or Maggie Schroeder at Maggie.Schroeder@ky.gov.

Form 155C Pregnant & Parenting Women Substance Use Services Project Budget and Financial Report

This form serves as the financial quarterly update for substance use funds allocated to the region to support the KY-Moms MATR program (including Project Link). This form serves as a financial quarterly update tool and should represent the current program status for prevention and case management services for pregnant individuals and individuals not greater than 60 days postpartum for prevention clients and 1-year postpartum for case management clients, within KY-Moms MATR. Requirements include timely submission of case management and prevention data within the PDS, CDAR CAT and CDAR CIS. Form 155C is submitted 30 days following the close of each quarter. For further assistance, please contact Katie Stratton at Katie.Stratton@ky.gov or Maggie Schroeder at Maggie.Schroeder@ky.gov.

Form 160 – Substance Use Financial Planning and Implementation Report

Form 160 includes a list of substance use treatment and prevention components to identify and report anticipated expenditures for Plan and Budget, and the actual expenditures quarterly thereafter. Instructions for completing this form can be found on the Plan and Budget Information page of the DBHDID website, Form **160A-Substance Use Financial Planning and Implementation Report Instructions**. Also see Form 160A for details specific to the latest updates to Form 160.

For further clarification, please contact Dr. Brittney Allen at Brittney.Allen@ky.gov.

Form 172-Assertive Community Treatment, Form 173-Adult Mental Health Peer Support, and Form 174-IPS Supported Employment

All regions must submit the following forms quarterly: *Form 172-Assertive Community Treatment*, *Form 173-Adult Mental Health Peer Support*, and *Form 174-IPS Supported Employment*. The actual funding allocation line has been removed from these forms. All expenses related to DIVERTS and Consumer Operated Services Programs must be included on Form 117, which is submitted quarterly.

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

When reporting outcomes on these forms for each Evidence Based Practice, please note the following guidelines: Individuals served as part of the Second Amended Settlement Agreement (SASA) are defined as the following: Adults with SMI who are transitioning from personal care homes or at risk of being admitted to a personal care home. Individuals served under DIVERTS are defined as the following: Adults with SMI who are transitioning from hospitals/other institutions not PCHs or at risk of being admitted to a hospital/other institution not PCHs.

When reporting outcomes on form *173-Adult Mental Health Peer Support*, please note the following guidelines: Individuals served or working in Consumer Operated Programs (COSP) should only be reported by regions who received Mental Health Block Grant funding from DBHDID to develop consumer run programs as described in the SAMHSA Consumer Operated Services Toolkit. Individuals working as peers on ACT teams should not be listed on Form 173 but should be listed on *Form 172-Assertive Community Treatment* as part of the ACT team. Peer Support Supervisors should be listed with their name, title (licensure status), location, and should include the schedule (frequency) and type (individual or group or both) of supervision. Objective Statement 1 requests specific names, FTE status and location by program/population for all hired Peer Specialists. (EX: 2.5 FTE at COSP in Mayfield; 2.5 FTE at COSP in Paducah; 2.75 FTE for DIVERTS; 6.0 FTE for outpatient.)

Please contact Nicole Cropper at Nicole.Cropper@ky.gov for assistance and additional clarification with *Form 172-Assertive Community Treatment*; Deb Davidson at DeborahT.Davidson@ky.gov for assistance with *Form 174-IPS Supported Employment*; or Jason Bagley at Jason.Bagley@ky.gov for assistance with *Form 173-Adult Mental Health Peer Support*.

Form 174B – Supported Employment Client Service Listing

The client level data table has been removed from 174 and is now its own form required by all Centers. The form is a data collection spreadsheet that is intended to identify individuals receiving Supported Employment, service dates and associated job starts per each quarterly reporting period.

Please contact Maranda Perkins at MarandaK.Perkins@ky.gov for assistance on completing form 174B.

Form 214 – Early Childhood Mental Health Program Budget Form

Form 214 reports the Early Childhood Mental Health (ECMH) budget and expenditures. The program description, deliverables, reporting, and monitoring requirements for ECMH can be found in Section 2.00.04 (Children/Youth and Families Services) of the CMHC contract.

If you have any questions about the completion of the form, please contact Brittany Barber at BrittanyA.Barber@ky.gov.

Guidance Documents

The Adult Services, Child Services, Crisis Services, and Substance Use Treatment Instructions and Objectives documents contain valuable information to assist with reporting throughout the year. Please refer to these documents prior to completing the required applications and reports. These along with other guidance documents are located on the DPR Information page of the DBHDID website at <https://dbhdid.ky.gov/cmhc/dpr.aspx>.

PASRR Reporting

Centers must submit to DBHDID accurate, complete, and timely client, event and human resources data according to the DBHDID Data Implementation Guide. Specific to PASRR, all clients receiving the PASRR services are to be reported in the Client file submitted monthly to BHDID and all PASRR services are to be reported in the Event file submitted monthly to BHDID. Details of the DBHDID Data Implementation Guide are at <http://dbhdid.ky.gov/DBHDIDReports/CMHCDataGuide.aspx>. For additional clarification or assistance, please contact

DEPARTMENT FOR BEHAVIORAL HEALTH,
DEVELOPMENTAL AND INTELLECTUAL DISABILITIES

Department Periodic Reports – General Information

Crystal Adams at Crystal.Adams@ky.gov. The monthly reports should not be confused with DPR *Form 145-PASRR*, which reports PASRR expenditures on a quarterly basis.

Revisions

If a revision/modification is made to a DPR form after an initial submission has been completed through the Central Login system, the revised report can be submitted through the system, as long as the revised report is submitted on a different day other than the date of the initial submission. The system attaches the date of a submission to the title of the file and prevents over-write of the previous submission. DBHDID staff can manually upload revised submissions to the appropriate folder, if needed, for same day revisions.

If you have any submission related issues, please contact Tracey Mulder at Tracey.Mulder@ky.gov.