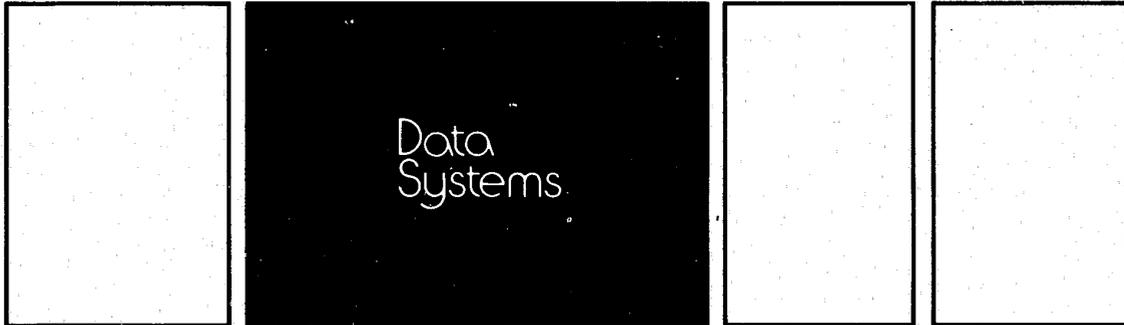


National Institute on Drug Abuse

Statistical Series

Overview and Description of the Financial Management Information System (FMIS)



Series A, Number 3

65216

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
PUBLIC HEALTH SERVICE
Alcohol, Drug Abuse, and Mental Health Administration

National Institute on Drug Abuse

STATISTICAL SERIES

Series A

Number 3

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/ ~~X~~ OVERVIEW AND DESCRIPTION OF THE
FINANCIAL MANAGEMENT INFORMATION SYSTEM (FMIS)

NCJRS

FEB 13 1980

ACQUISITIONS

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Public Health Service
Alcohol, Drug Abuse, and Mental Health Administration

National Institute on Drug Abuse
Division of Scientific and Program Information
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I. INTRODUCTION

The drug abuse industry -- a phrase heard increasingly often but whose implications are little understood. Drug abuse treatment has progressed to a high level of awareness and, although public support appears to be stable and strong, drug abuse no longer reaps the benefits of public hysteria. Drug abuse treatment programs can no longer operate on the adage that some treatment is better than no treatment; that some response to the problem is better than no response. The emphasis in drug abuse treatment is not on growth, but on making the large network of prevention, outreach, treatment, rehabilitation and research programs work efficiently, cooperatively, in a cost effective manner toward realistic treatment and rehabilitation goals.

To meet the challenges, drug abuse treatment programs and the public agencies that fund and oversee their operations must adopt a business-oriented approach to program operations. They must begin to emphasize management techniques such as planning and budgeting, cost accounting, financial management, recordkeeping, and monitoring, to answer a host of daily management questions such as those shown in Exhibit I:

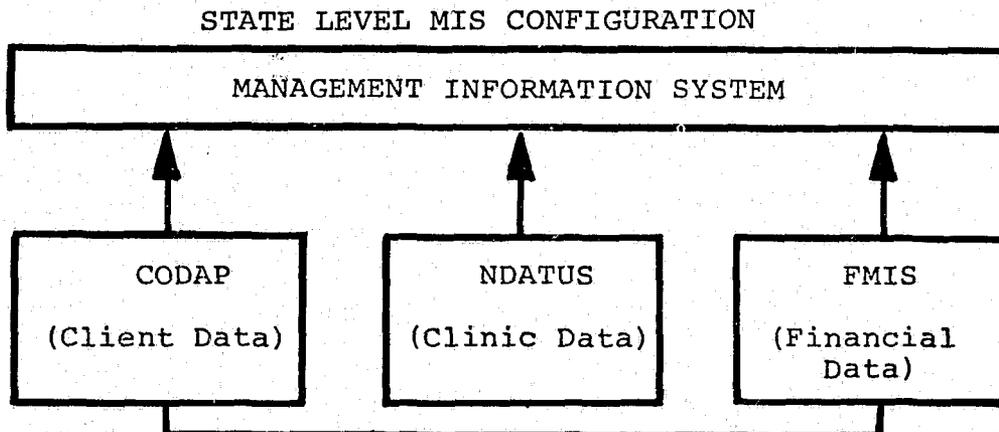
Exhibit I

THE INFORMATION DILEMMA

FEDERAL GOVERNMENT	STATE SINGLE STATE AGENCIES
<ul style="list-style-type: none"> • How much is the total drug abuse funding for a specific state? • What are the various sources of funding for a specific state? • What are the cumulative expenditures for a particular modality in a given state? • What are the average client costs, client census and program costs by environment and modality for a specific state? • What are the aggregate unit costs per session of service by modality and environment for a specific state? 	<ul style="list-style-type: none"> • What is the average client cost of operating a project in a specific modality and environment? • How much is the total funding to a local program from all award sources? • What is the unit cost per client served in each modality? • What is the aggregate (State total) service costs for each environment and modality? • How many clients received services in a specific modality? • How much income was realized for a specific program during the current reporting period?
UMBRELLA/COORDINATING AGENCIES	LOCAL PROGRAMS/CLINICS
<ul style="list-style-type: none"> • What were the total expenditures by account category for a particular month? • How much aggregate income did the programs receive this month? • What is the unit cost per client serviced in each modality by program? • What are the program service costs by environment and modality? • Is one program more cost efficient than another? 	<ul style="list-style-type: none"> • How do our costs per client compare with other similar programs, environments, and modalities? • What is the total income from all sources for the current reporting period? • What percentage of budgeted funds for a line item have already been spent?

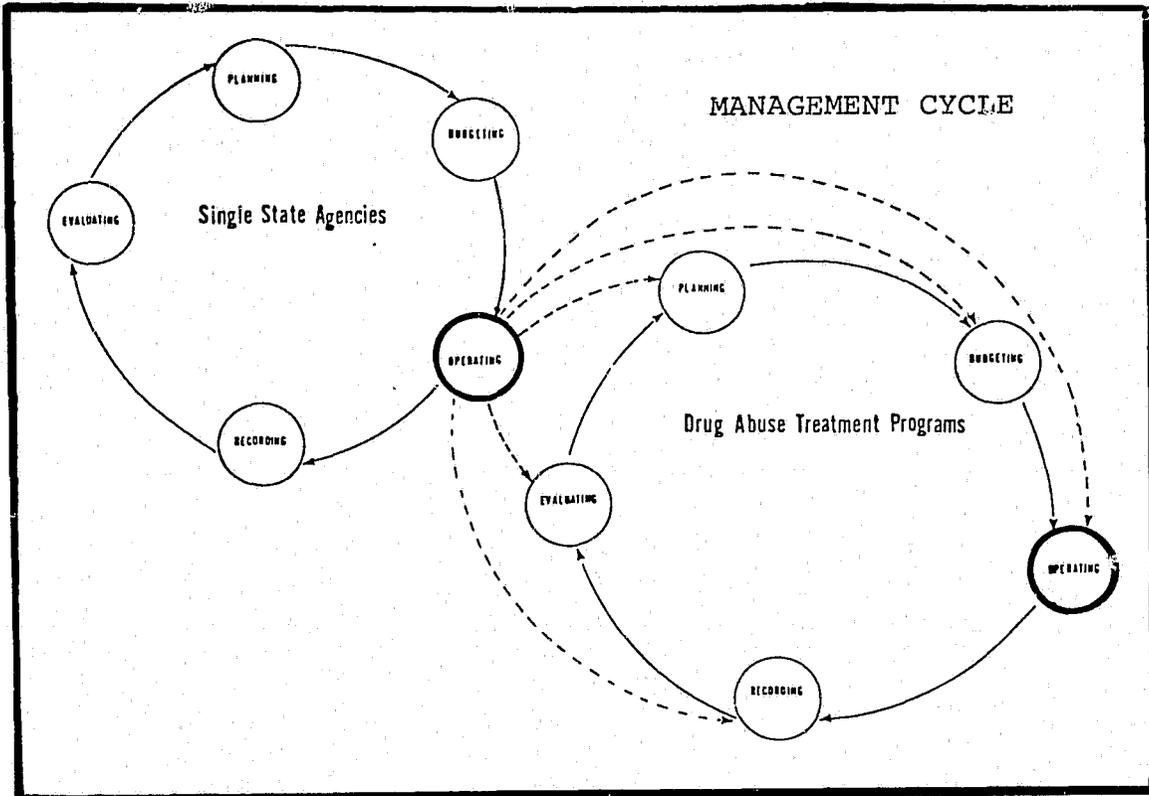
The responsibility for addressing these management information needs is focused sharply on the State and Federal levels, which must coordinate a melange of umbrella agencies and local programs. To assist States in meeting this obligation, the National Institute on Drug Abuse has developed a management information system composed of three major components. The components collect essential management data dealing with all aspects of drug abuse treatment. The Client-Oriented Data Acquisition Process (CODAP) collects data on all clients admitted or discharged from treatment; the National Drug Abuse Treatment Utilization Survey (NDATUS) collects facility information; and the Financial Management Information System (FMIS) collects fiscal data in program types (including treatment, prevention, education, and research programs). CODAP is an ongoing reporting requirement for all federally-supported treatment programs. NDATUS is conducted annually in all treatment programs regardless of funding sources. The third component, FMIS, differs from CODAP and NDATUS. It is designed solely to meet State needs, is optional for States, and is not a reporting requirement for NIDA. Together the three components form the basis for a comprehensive management information system (MIS) at the State level, providing a more extensive information base for planning and monitoring resources. Exhibit II, illustrates the MIS configuration.

Exhibit II



FMIS, the focus of this monograph, was developed as a response to the increasing demand for comprehensive management information. Essentially, FMIS provides financial information which, when interfaced with client and facility data, provides necessary information to make decisions throughout the management cycle. Exhibit III, following this page, illustrates this cycle and the interrelationships between the SSA and the treatment programs.

SSA/TREATMENT PROGRAMS MANAGEMENT CYCLE



- Phase I -- Planning: Establishing program goals and objectives and identifying the staff and other resources required to attain them.
- Phase II -- Budgeting: Determining the expenses that will be incurred in meeting program goals and objectives and the money that can be earned/procured as a result.
- Phase III -- Operating: Providing the service or the product that is described in the goals and objectives.
- Phase IV -- Recording: Reviewing the record of program operations to determine if goals and objectives have been met and, in so doing, providing information for subsequent planning phases.

The primary purpose of FMIS is to support the capability of the SSAs to effectively manage bloc and discretionary grants and contract funds. The system is designed to support each phase of the management cycle. Specific FMIS functions include:

	<u>Management Cycle Phase</u>
● Planning and Programming	(Phase I)
● Budgeting	(Phase II)
● Cost Finding	(Phase V)
● Program Monitoring and Financial Control, including grants and contract management	(Phases III, IV, and V)

FMIS is a model system that can be adapted to the individual SSAs. FMIS is designed to be (1) relatively simple to install and maintain and (2) modular in design so that individual elements or modules can be implemented according to the desires of the SSAs. This is discussed in greater detail in Part II.

Few State-level agencies have the time or resources to develop a system similar to FMIS. In fact, independent development of such a system by each State would be an arduous and costly process. As FMIS responds to State needs, it is intended to supplement, rather than replace in entirety, existing financial management systems maintained by the SSAs. In addition, FMIS is designed to interface with program-related data systems (i.e., CODAP and NDATUS) to collectively provide the programmatic and financial information required to support Federal and State management.

Examples of potential improvements and benefits of the FMIS system at the SSA level are presented in Exhibit IV. Local programs will also benefit from FMIS in the following manner:

- Local programs will receive feedback in terms of how their costs per client compare with other similar programs, environments, and modalities. Such information can serve as a useful management tool in self-assessment by the programs.
- Documented records on program expenditures and costs can provide justification for budget requests.
- Information on program unit costs can assist local programs in providing the documentation required for reimbursement by third party payers.
- Information on total income received from third party and other secondary sources can point out potential assistance needs for local programs to take better advantage of available reimbursement mechanisms.

Exhibit IV

FMIS BENEFITS FOR SSAs

IMPROVED GRANTS/CONTRACT MANAGEMENT	IMPROVED FINANCIAL MANAGEMENT OF STATE-FUNDED GRANTS AND CONTRACTS
<ul style="list-style-type: none"> • Assists in monitoring program performance by comparing actual activities and expenditures with program plans. • Allows SSAs to sort or aggregate grant and contract data in a variety of ways to respond to ad hoc inquiries, such as the total State funding for drug abuse in different geographic regions. • Facilitates identification of the flow of funds received at the state level from Federal or State sources through the disbursement of such funds to local programs. 	<ul style="list-style-type: none"> • Assists in monitoring expenditures against each State supported grant and contract to evaluate program performance. • Facilitates identification of problem areas, such as very rapid or slow rates of expenditure in individual programs which require immediate attention. • Provides information to determine potential unexpended balances to identify future funding needs and support decisions on refunding and reallocation of funds among individual programs.
ENHANCED UNDERSTANDING AND KNOWLEDGE OF THE UTILIZATION OF VARIOUS FUNDING SOURCES BY LOCAL PROGRAMS	IMPROVED COST-FINDING AND ANALYTICAL SUPPORT
<ul style="list-style-type: none"> • Allows SSAs to determine the total funding directed to drug abuse and the relative contributions from various sources--Federal, State, local, private, and third party sources. • Allows SSAs to respond to inquiries on total funding for drug abuse in particular cities, counties, or other geographic regions. • Assists in determining future funding needs at the Federal and State levels by identifying the relative level of support by various sources. • Provides information to assess the extent to which local programs are taking advantage of available third party reimbursement mechanisms. • Provides a comparison of planned and actual income to determine if local programs are complying with their plans for obtaining income from various sources. 	<ul style="list-style-type: none"> • Allows SSAs to determine cost/modality and cost/service averages for different environments and modalities. • Assists in monitoring actual costs to budgeted costs if such averages are realized. • Facilitates identifying regional variations in program costs for use in program planning and budgeting. • Assists in identifying potential problem areas in programs where functional costs deviate significantly from such indicators. • Assists in determining actual total program costs as supported by all funding sources.

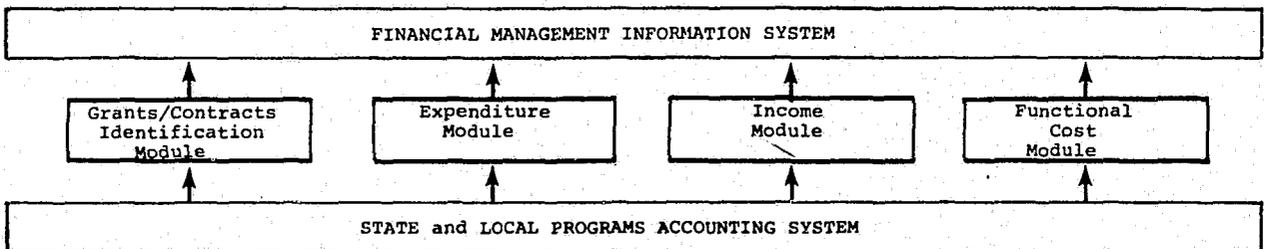
II. KEY TECHNICAL FEATURES

FMIS was developed with the needs of SSA managers and their limited resources in mind, therefore, FMIS was developed as a complete software package, designed to be easy to use and install without sacrificing benefits. Key technical system features include:

- Simple to install and operate -- FMIS is programmed in standard COBOL and requires a minimum of manual intervention in production mode.
- Modular -- All or only individual portions of specified subsystems may be implemented according to the needs of the SSA.
- Flexible -- Each SSA can, on a one-time basis, supply a few simple coded parameters describing the specific environment and implementation options, and choose from a variety of regular or on demand report options.
- Complete -- FMIS controls accurate and valid reporting, because it applies comprehensive edits to all reported information and automatically produces an audit trail delinquency list.
- Reliable -- FMIS has been tested both at the Federal level and in several pilot demonstration States, thus documenting that the system is dependable.

III. FMIS MODULE

FMIS is composed of four processing modules that produce program management reports which provide key financial information to SSA managers. The FMIS modular configuration is presented below:



Reports produced by these modules enable SSAs to answer such diverse questions as:

- What is the authorized funded amount and funding source for each grantee/contractor?
- What are the expenditures to date for each granted contractor?
- What amount of program income is derived from third party reimbursement?
- What are the unit costs for the various treatment modalities?

The balance of this section describes the functional modules. The description includes a short discussion of the key features, capabilities, functions, and data output.

1. GRANTS/CONTRACTS IDENTIFICATION MODULE

- Key Features -- provides a SSA with a grant/contract award information data base
- Capability -- relates the grant/contract award to the original source of funds received by the SSA
- Functions -- primarily processes basic reference data regarding the award and identifies funded award amounts by detailed budget account

- Data Outputs -- lists active grants and contracts and lists program grants by funding source, specific reports:

- Report of Active Grants and Contracts
- Grant File Record Listing

Exhibit V presents the coding form and sample output reports.

2. EXPENDITURE MODULE

- Key Features -- provides a SSA with information essential for monitoring program budgetary control and funds utilization
- Capability -- reports both detailed and aggregate expenditures
- Functions -- processes all expenditure data and assists in monitoring expenditures to the grant award account, assists in determining potential unexpended balances and identifying funding needs
- Data Outputs -- lists expenditures by funding source program, and budget account, specific reports:
 - Report of Grantees Requiring Report of Expenditures
 - Expenditures by Award Number and Line Item
 - Expenditures by Program and Line Item
 - Expenditures by Umbrella Agency and Line Item
 - Report of Expenditures by Umbrella Agency
 - Report of Expenditures by Program
 - Report of Expenditures by Funding Source

Exhibit VI presents the reporting form and sample output reports

- Options -- SSAs have the option of monitoring match expenditures if required. The FMIS software offers two versions of the expenditures module:
 - (1) the "match" version reports expenditure data by funded amount, match requirement, and total expenditures by current period, cumulative to date, and balance remaining by funded amount and match requirement.
 - (2) the "non-match" version reports aggregate expenditures without separating funded expenditures and the matching requirement.

Exhibit VII illustrates the two report options.

MATCH EXPENDITURE OPTIONAL REPORTS

RUN DATA: XX/XX/XX PAGE: XXXXX

**FINANCIAL MANAGEMENT INFORMATION SYSTEM
REPORT OF EXPENDITURES BY BUDGET ACCOUNT
FOR THE PERIOD ENDING XX/XX**

SOURCE: XXXXXXXXXXXXXXXXXXXXXXXXXXXX
 AWARD NO. XXXXXXXXXXXXXXXXXXXX
 PROGRAM: XXXXXXXXXXXXXXXXXXXX

ACCT NO	ACCOUNT NAME	BUDGET	CURR PERIOD	CUMULA-TIVE	BALANCE	PERCENT EXP	PROJECTED EXP BALANCE
XX	RECORDS CLERK—	\$ X,XXX,XXX	\$ XXX,XXX				
XX	BOOKKEEPER—	\$ X,XXX,XXX	\$ XXX,XXX				
XX	FICA—	\$ X,XXX,XXX	\$ XXX,XXX				
XX	XEROX RENT—	\$ X,XXX,XXX	\$ XXX,XXX				
	TOTALS	\$XX,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX

RUN DATE: XX/XX/XX PAGE: XXXXX

**FINANCIAL MANAGEMENT INFORMATION SYSTEM
EXPENDITURES BY AWARD NUMBER AND LINE ITEM
FOR PERIOD ENDING XX/XX**

SOURCE: XXXXXXXXXXXXXXXXXXXXXXXX
 AWARD NO: XXXXXXXXXXXXXXXX
 PROGRAM: XXXXXXXX REHABILITATION SERVICES INCORPORATED—

ACCT NO	ACCOUNT NAME	TOTALS BUDGET	—CURRENT EXPENDITURES—		TOTAL	—CUMULATIVE EXPENDITURES—		—BALANCE REMAINING—		
			FUNDED	MATCH		FUNDED	MATCH	FUNDED	MATCH	
XX	RECORDS CLERK—	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX
XX	BOOKKEEPER—	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX
XX	FICA	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX
XX	XEROX RENT—	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX	\$ X,XXX,XXX	\$ XXX,XXX	\$ XXX,XXX
	TOTALS	\$XX,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX	\$XX,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX	\$XX,XXX,XXX	\$X,XXX,XXX	\$X,XXX,XXX

3. INCOME MODULE

- Key Features -- provides a SSA with comprehensive information regarding all sources of income received by the local programs within the State, including third party reimbursements, patient fees, and cash donations
- Capability -- processing of income data from 1) local programs that receive non-SSA state funds, 2) State-funded local programs that also receive funds from NIDA, 3) local programs that receive funds only from NIDA, 4) local programs that receive funds from other Federal agencies, and 5) local programs that receive funds from an "umbrella" entity that funds many local programs directly
- Functions -- determines the total funding directed to drug abuse and related contributions from various sources, responds to inquiries on total funding in particular geographic locales within a State, assesses the extent to which programs are generating third party reimbursements, and provides a comparison of planned vs. actual income
- Data Outputs -- lists program income by source, specific reports:
 - Report of Programs Requiring Report of Income Sources
 - Report on Income Sources by Program
 - Report on Income Sources for SSA
 - Report on Income Sources-Grand Total

Exhibit VIII presents the reporting form input and sample output reports.

PROCESS Grants/Contracts Identification Module

Maintains a grant/contract award information data base

ANSWERS THE FOLLOWING QUESTIONS:

• Grant File Record Listing

- (1) What is the basic program ID, funding source/level, award number, and award description for each grant and/or contract?
- (2) What is the grant/contract award date and start and end dates?
- (3) What is the grant type and current status?
- (4) What is the total funded static capacity for each funded program?
- (5) What is the contact person's name, position and phone number for each funded program?
- (6) What is the authorized funding by funding source?
- (7) What are the expenditure categories (account code description) for each funded program?
- (8) What is the budgeted amount for each expenditure category?
- (9) What is the match requirement for each expenditure category?
- (10) What is the total budget for each expenditure category?
- (11) What are the cumulative expenditures for each report period?
- (12) What is the remaining balance (total and expenditure category)?
- (13) What is the Projected balance for each expenditure category?

• Report of Active Grants and Contracts

- (1) For each funded program, what is the funding source, authorized funding, number of funded slots, and start and end dates?
- (2) What is the total authorized funding for the State?

OUTPUTS

Exhibit V

RUN DATE: XX/XX/XX

PAGE: XXXXX

SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM GRANT FILE RECORD LISTING

(1) PROGRAM ID: XXXXXXXX	(2) DATES	AWARD ISSUED	XX/XX/XX	(3) GRANT TYPE	XXX (DRUG TREATMENT-)					
FUNDING LEVEL X	START	XX/XX/XX		STATUS CODE	XX (AWARDED-)					
FUNDING SOURCE NID	END	XX/XX/XX		LAST ACTION	X					
(1) AWARD NUMBER XXXXXXXXXXXXXXXX	LAST UPDATE	XX/XX/XX		(4) TOTAL FUNDED STATIC CAPACITY	XXXXXXXX					
UMBRELLA ID: XXXXXXXX										
RELATED FED AWARD XXXXXXXXXXXXXXXX										
AWARD DESCRIPTION RESIDENTIAL DRUG TREATMENT-										
	OTHER FUNDING SOURCES	LEVEL	SOURCE CODE	FUNDED DOLLARS	MATCH DOLLARS	TOTAL DOLLARS				
(5) CONTACT		1	X	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX			
NAME GOODCASTLE- WILBUR- B		2	X	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX			
POSITION CLINICAL SUPERVISOR-		3	X	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX			
PHONE NO. XXX-XXX-XXXX EXT XXXXX										
(7) ACCT CODE	ACCOUNT NAME	(8) FUNDED BUDGET	(9) MATCH BUDGET	(10) TOTAL BUDGET	(11) - CUMULATIVE EXPENDITURES- FUNDED	MATCH	TOTAL	(12) BALANCE REMAINING	(13) PRO- JECTED BALANCE	DATE OF LAST EXPEND
XX RECORDS CLERK-		\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	XX/XX
XX BOOKKEEPER-		\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	XX/XX
XX FICA-		\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	XX/XX
XX XEROX RENT-		\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	\$ XX,XXX,XXX	\$ X,XXX,XXX	\$ X,XXX,XXX	XX/XX
TOTALS		\$XX,XXX,XXX	\$XX,XXX,XXX	\$XXX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XXX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	

GRANT FILE RECORD LISTING

RUN DATE: XX/XX/XX

PAGE: XXXXX

FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT OF ACTIVE GRANTS AND CONTRACTS FOR THE PERIOD ENDING XX/XX

(1) PROGRAM NAME: ASSISTANCE AND INFORMATION ON DRUGS-	UNIT ID: XXXXXXXX	REGION: X	COUNTY: XXX	SMSA: XXXX				
AWARD NUMBER	FUNDING SOURCE	GRANT TYPE	FUNDED	MATCH	TOTAL	FUNDED SLOTS	START DATE	END DATE
XXXXXXXXXXXXXXXXXX	NID	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
XXXXXXXXXXXXXXXXXX	AAA	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
XXXXXXXXXXXXXXXXXX	UMB	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
XXXXXXXXXXXXXXXXXX	BLC	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
***PROGRAM TOTAL: \$XX,XXX,XXX								
PROGRAM NAME: THE CONNECTION-	UNIT ID: XXXXXXXX	REGION: X	COUNTY: XXX	SMSA: XXXX				
AWARD NUMBER	FUNDING SOURCE	GRANT TYPE	FUNDED	MATCH	TOTAL	FUNDED SLOTS	START DATE	END DATE
XXXXXXXXXXXXXXXXXX	LEA	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
XXXXXXXXXXXXXXXXXX	FDS	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
***PROGRAM TOTAL: \$XX,XXX,XXX								
PROGRAM NAME: REHABILITATION SERVICES INCORPORATED-	UNIT ID: XXXXXXXX	REGION: X	COUNTY: XXX	SMSA: XXXX				
AWARD NUMBER	FUNDING SOURCE	GRANT TYPE	FUNDED	MATCH	TOTAL	FUNDED SLOTS	START DATE	END DATE
XXXXXXXXXXXXXXXXXX	NMH	XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	\$XX,XXX,XXX	XXXXXXXXXX	XX/XX/XX	XX/XX/XX
***PROGRAM TOTAL: \$XX,XXX,XXX								

REPORT OF ACTIVE GRANTS AND CONTRACTS

4. FUNCTIONAL COST MODULE

- Key Features -- provides functional cost information on total and unit costs per client for various environment, modality, and service categories
- Capability -- establishes cost/modality and cost/service for different environments and modalities, monitors actual cost to budgeted costs, identifies regional variations in program costs, and identifies functional cost deviations
- Functions -- determines the cost of treatment projects for various services, modalities, and environments
- Data Outputs -- lists program costs by environments and modality, lists service costs by environment and modality and lists program unit service costs
 - Report of Programs Requiring Report of Costs
 - Report of Program Environment and Modality Costs-Program
 - Report on Program Unit Service Costs-Program
 - Report of Program Environment and Modality Costs-State
 - Report on Program Service Costs by Environment and Modality-State

Exhibit IX presents input form and sample output reports.

Complete system documentation is available from NIDA covering such areas as installation, maintenance and operation of the system.

INPUT

FMIS Salary Expense Allocation Form — B

Program Identifier	Period Ending	Employee Number																																																																																
Columns 4-24 (above) Remain Constant and Must Be Punched on All Cards on This Page			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="15">Codes</th> </tr> <tr> <th colspan="5">Service Categories</th> <th colspan="5">Modality</th> <th colspan="5">Environment</th> </tr> <tr> <td>a. Diag Interv</td><td>h. Voc Coun</td><td>o.</td><td>1. Detox</td><td>1. Prison</td> <td>b. Med Exam</td><td>i. Voc Job Plac</td><td>p.</td><td>2. Maint</td><td>2. Hosp (Inpat)</td> <td>c. Group Coun</td><td>j. Follow-up</td><td>q.</td><td>3. Drug Free</td><td>3. Residential</td> <td>d. Indiv Coun</td><td>k.</td><td>r.</td><td>4. Other</td><td>4. Daycare</td> <td>e. Family Coun</td><td>l.</td><td>s.</td><td></td><td>5. Outpatient</td> <td>f. Med Visits</td><td>m.</td><td>t.</td><td></td><td></td> <td>g. Voc Training</td><td>n.</td><td>u. Other</td><td></td><td></td> </tr> </table>															Codes															Service Categories					Modality					Environment					a. Diag Interv	h. Voc Coun	o.	1. Detox	1. Prison	b. Med Exam	i. Voc Job Plac	p.	2. Maint	2. Hosp (Inpat)	c. Group Coun	j. Follow-up	q.	3. Drug Free	3. Residential	d. Indiv Coun	k.	r.	4. Other	4. Daycare	e. Family Coun	l.	s.		5. Outpatient	f. Med Visits	m.	t.			g. Voc Training	n.	u. Other		
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Action	Session Number	Day 1			Day 2			Day 3			Day 4			Day 5			Day 6			Total																																																														
		Minutes/Time %	Service	Modality	Environ.	Minutes/Time %	Service	Modality	Environ.	Minutes/Time %	Service	Modality	Environ.	Minutes/Time %	Service	Modality	Environ.	Minutes/Time %	Service		Modality	Environ.																																																												
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Subtotal																																																																																		
Admin																																																																																		
Total																																																																																		

PROCESS

Functional Cost Module

Determines the cost of treatment projects for various services, modalities, and environments.

FMIS Functional Cost Cover Control Sheet — B

Program Identifier		Period Ending																						
Columns 4-15 (above) Remain Constant and Must Be Keypunched on All Cards on This Page																								
Client Period Census Summary																								
Action	Card No.	Environment	Modality	Detoxification Total Clients	Maintenance Total Clients	Drug Free Total Clients	Other Total Clients	Grand Total																
									16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
2 2		Prison	Columns 4-15 (above) Should Be Punched Here for Each Card																					
2 3		Hospital																						
2 4		Residential																						
2 5		Daycare																						
2 6		Outpatient																						
2 7		Total																						

FMIS Functional Cost Cover Control Sheet — C

Program Identifier		Period Ending																												
Columns 4-15 (above) Remain Constant and Must Be Keypunched on All Cards on This Page																														
Services Provided Period Summary																														
Act.	Card No.	Services	SVC	No. of Sessions	No. of Clients																									
2	8	Diagnostic Interviews	A			16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40
2	8	Medical Exams	B																											
2	8	Group Counseling	C																											
2	8	Individual Counseling	D																											
2	8	Family Counseling	E																											
2	8	Medical Visits	F																											
2	8	Vocational Training	G																											
2	8	Vocational Counseling	H																											
2	8	Vocational Job Placement	I																											
2	8	Post Treatment Follow-up	J																											
2	8	Other	U																											
2	8	Total	V																											

ANSWERS THE FOLLOWING QUESTIONS:

• Report of Program Environment and Modality Costs

- (1) What are the total program costs for this period for each funded program?
- (2) How many clients received services for this period (client census)?
- (3) What is the average cost per client for this period?
- (4) What are the total program costs for a particular environment (i.e., Outpatient)?

• Report of Program Environment and Modality Costs — State Totals

- (1) What are the aggregate State total program costs?
- (3) What is the State average cost per client served?

• Report of Program Service Costs by Environment and Modality

- (1) What are the individual service costs for each environment and modality?
- (2) What are the total service costs by environment and modality?

• Report of Program Service Costs by Environment and Modality — State Totals

- (1) What is the aggregate (State total) service costs for each environment and modality?

• Report of Program Unit Service Costs

- (1) What are the total costs of service by program?
- (2) How many clients (client census) received services?
- (3) What is the cost per client?
- (4) What is the number of sessions per service category?
- (5) What is the cost per session?

• Report of Program Unit Service Costs — State Totals

- (1) What are the aggregate (State total) service costs?
- (2) What is the aggregate number of clients receiving service, number of sessions, and the average cost per client and session?

OUTPUTS

Exhibit IX

RUN DATE: XX/XX/XX	SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT OF PROGRAM ENVIRONMENT AND MODALITY COSTS FOR THE PERIOD ENDING XX/XX	PAGE: XXXXX
PROGRAM: TENTH STREET TREATMENT CENTER PRISON ENVIRONMENT	(1) TOTAL PROGRAM COSTS	(2) CLIENT CENSUS
MODALITIES:	(3) AVERAGE COST PER CLIENT	
DETOXIFICATION	\$ XX,XXX,XXX	\$ XX,XXX
MAINTENANCE	\$ XX,XXX,XXX	\$ XX,XXX,XX
OUTPATIENT ENVIRONMENT	MODALITIES:	
DETOXIFICATION	\$ XX,XXX,XXX	\$ XX,XXX,XX
MAINTENANCE	\$ XX,XXX,XXX	\$ XX,XXX,XX
DRUG FREE	\$ XX,XXX,XXX	\$ XX,XXX,XX
OTHER	\$ XX,XXX,XXX	\$ XX,XXX,XX
TOTAL	\$ XX,XXX,XXX	\$ XX,XXX,XX
TOTAL	\$XXX,XXX,XXX	\$XXX,XXX

RUN DATE: XX/XX/XX	SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT OF PROGRAM ENVIRONMENT AND MODALITY COSTS FOR THE PERIOD ENDING XX/XX	PAGE: XXXXX
STATE: _____ (STATE NAME)	TOTAL PROGRAM COSTS	CLIENT CENSUS
PRISON ENVIRONMENT	AVERAGE COST PER CLIENT	
MODALITIES:		
DETOXIFICATION	\$ XX,XXX,XXX	\$ XX,XXX
MAINTENANCE	\$ XX,XXX,XXX	\$ XX,XXX,XX
OUTPATIENT ENVIRONMENT	MODALITIES:	
DETOXIFICATION	\$ XX,XXX,XXX	\$ XX,XXX,XX
MAINTENANCE	\$ XX,XXX,XXX	\$ XX,XXX,XX
DRUG FREE	\$ XX,XXX,XXX	\$ XX,XXX,XX
OTHER	\$ XX,XXX,XXX	\$ XX,XXX,XX
TOTAL	\$ XX,XXX,XXX	\$ XX,XXX,XX
TOTAL	\$XXX,XXX,XXX	\$XXX,XXX

RUN DATE: XX/XX/XX	SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT ON PROGRAM SERVICE COSTS BY ENVIRONMENT AND MODALITY FOR THE PERIOD ENDING XX/XX	PAGE: XXXXX
PROGRAM: TENTH STREET TREATMENT CENTER	DETOXIFICATION	MAINTENANCE
A DIAGNOSTIC INTERVIEWS	PRISON DRUG FREE	OTHER
U OTHER CLIENT SERVICE	TOTAL	
- ADMINISTRATIVE SUPPORT	\$ XX,XXX,XXX	XX,XXX
TOTAL	\$ XX,XXX,XXX	XX,XXX,XX
	\$XXX,XXX,XXX	\$XXX,XXX,XX

RUN DATE: XX/XX/XX	SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT ON PROGRAM SERVICE COSTS BY ENVIRONMENT AND MODALITY FOR THE PERIOD ENDING XX/XX	PAGE: XXXXX
STATE: _____ (STATE NAME)	DETOXIFICATION	MAINTENANCE
A DIAGNOSTIC INTERVIEWS	PRISON DRUG FREE	OTHER
U OTHER CLIENT SERVICE	TOTAL	
- ADMINISTRATIVE SUPPORT	\$ XX,XXX,XXX	XX,XXX
TOTAL	\$ XX,XXX,XXX	XX,XXX,XX
	\$ XX,XXX,XXX	XX,XXX,XX
	\$ XX,XXX,XXX	XX,XXX,XX
	\$XXX,XXX,XXX	\$XXX,XXX,XX

RUN DATE: XX/XX/XX	SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT ON PROGRAM UNIT SERVICE COSTS FOR THE PERIOD ENDING XX/XX	PAGE: XXXXX
STATE: _____ (STATE NAME)	TOTAL COST	NO. OF CLIENTS RECEIVING SERVICE
A DIAGNOSTIC INTERVIEWS	COST PER CLIENT	NO. OF SESSIONS
U OTHER CLIENT SERVICE	COST PER SESSION	
- ADMINISTRATIVE SUPPORT	\$ XX,XXX,XXX	XX,XXX
TOTAL	\$ XX,XXX,XXX	XX,XXX,XX
	\$ XX,XXX,XXX	XX,XXX,XX
	\$ XX,XXX,XXX	XX,XXX,XX
	\$XXX,XXX,XXX	XXX,XXX

RUN DATE: XX/XX/XX	SINGLE STATE AGENCY FINANCIAL MANAGEMENT INFORMATION SYSTEM REPORT ON PROGRAM UNIT SERVICE COSTS FOR THE PERIOD ENDING XX/XX	PAGE: XXXXX
STATE: _____ (STATE NAME)	TOTAL COST	NO. OF CLIENTS RECEIVING SERVICE
A DIAGNOSTIC INTERVIEWS	COST PER CLIENT	NO. OF SESSIONS
U OTHER CLIENT SERVICE	COST PER SESSION	
- ADMINISTRATIVE SUPPORT	\$ XX,XXX,XXX	XX,XXX
TOTAL	\$ XX,XXX,XXX	XX,XXX,XX
	\$ XX,XXX,XXX	XX,XXX,XX
	\$ XX,XXX,XXX	XX,XXX,XX
	\$XXX,XXX,XXX	XXX,XXX

IV. FMIS SUPPORT DOCUMENTS

FMIS Support Documents developed under the aegis of NIDA are available free of charge to SSAs. A brief explanation of each document is presented below:

- Computer Software -- All the computer programs needed to implement FMIS. There are six to twelve such programs available, depending on the FMIS option an SSA chooses to implement. The full system consists of approximately 30,000 lines of debugged ANS (American National Standard) COBOL Code, compatible with a wide range of computer configurations.
- Input Forms -- All forms needed to capture data for FMIS processing.
- Manual System Procedures -- Describes all the procedures for preparing FMIS reports when a computer is not used.
- System Documentation -- User-oriented documents which are necessary for the installation, maintenance, and operation of the system for all levels of users, including:
 - Data Collection Procedures Manual
 - FMIS-Output Reports Manual
 - Computer Program Documentation Manual (automated)
 - Systems Overview Manual (automated)
 - Implementation Case Study Documentation
 - Overview Monograph
 - FMIS-Training Manual

V. IMPLEMENTATION OF FMIS

The previous sections discussed the benefits that FMIS may offer to a SSA, briefly described the systems technical features, and discussed the FMIS modular configuration. However, a SSA should not enter into the FMIS project without considering the resource requirements necessary to bring the system to an operational level. The remainder of this section discusses this issue from two points of view: tasks to be completed and resources necessary (both internally and externally) to assure a smooth implementation.

Prior to a discussion of the implementation tasks, it is important to highlight what FMIS is and is not.

- FMIS is a financial management information system that represents a method of collection, summarization and display of financial events in a common format.
- FMIS is not an accounting system for either the treatment programs or the Single State Agency.
- FMIS will not improve the financial management process in the State, however, it can improve and enhance the control and maintenance process.
- FMIS will not force programs to report in a standard or consistent manner.

Thus, FMIS can provide an effective mechanism to collect, summarize and report information. However, unless the programs submit accurate, timely, and consistent financial data, FMIS will not enhance the financial management process. Thus, it is essential that treatment programs be provided with adequate training and guidance in the form of user support manuals if they are to provide accurate, timely, and consistent financial data.

1. WHAT TASKS MUST BE COMPLETED TO IMPLEMENT FMIS?

Several discrete tasks must be performed as part of implementing FMIS. A suggested timeframe for implementation by task is illustrated in Exhibit X, following this page.

Exhibit X

IMPLEMENTATION TASKS AND TIMEFRAME

TASK DESCRIPTION	FMIS IMPLEMENTATION SCHEDULE					
	1	2	3	4	5	6
TASK 1 -- Convene a Project Planning Meeting	▲					
TASK 2 -- Develop Systems Framework	■					
TASK 3 -- Develop Systems Support Documentation		■				
TASK 4 -- Install and Test the FMIS Software		■				
TASK 5 -- Train State and Program Personnel			■	■		
TASK 6 -- Convert Current Financial Records			■			
TASK 7 -- Fully Implement the System				■	■	
TASK 8 -- Ongoing Systems Operations						■

Each task is discussed and illustrated based on actual experience in the "FMIS - AN IMPLEMENTATION CASE STUDY." However, two key points should be made at this time:

- FMIS will require a concerted effort by SSA personnel which may extend over a six month period of time
- FMIS implementation activities, although fairly straightforward, must be approached in a logistical sequence to ensure a smooth implementation

2. WHAT TYPES OF RESOURCES MUST BE COMMITTED TO THE IMPLEMENTATION EFFORT?

Implementation of FMIS is a major technical effort. Although the documentation is complete and user-oriented, the implementing agency may need to expend additional resources on the project. The FMIS documentation, "AN IMPLEMENTATION CASE STUDY", discusses these resources in detail; however, at a minimum the SSAs should consider the following resource requirements, both internally and externally.

(1) Internal Staff Requirements

The first and most important step in system implementation is the selection of staff members for the team. The word "team" is used here in a deliberate sense; the project will span a minimum of six months, create numerous political and technical hurdles, and influence most functional areas of the SSA. Thus, the project staff must be strong and comprised only of carefully selected individuals.

Key considerations for selecting team members and assigning roles are:

- **TEAM LEADER:** The team leader roles involves coordinating, planning and directing the implementation effort, and, usually, operating the system when completed. The role--and the individual in it--must be heartily supported by top management and must carry the authority (not just the responsibility) for getting the job done. The team leader should have practical expertise in systems design and implementation and in financial management and, more important, must have a broad understanding of SSA's operations. The FMIS effort will probably involve about fifty (50) percent of this individual's time for at least six months.

- TEAM MEMBERS: Because FMIS will affect all SSA operations, it is important that team members represent the major disciplines and functions within the organization, e.g. planning, budgeting, program operation, and evaluation.

(2) External Assistance

In addition to the internal requirements, NIDA provides technical assistance for portions of the implementation effort. This assistance, although limited, should enable SSAs to overcome some of the technical barriers to successful implementation.

* * * * *

For additional information concerning FMIS documentation and technical assistance, contact:

Division of Scientific and Program Information
National Institute on Drug Abuse
5600 Fishers Lane
Room 11A-55
Rockville, Maryland 20857

* * * * *

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- Series A* *Data Systems* -- Reports which describe data systems operated by NIDA in terms of history and development, data collection procedures, data items and definitions, and intended applications.
- Series D* *CODAP Quarterly Reports* -- Statistics on client characteristics, drug abuse patterns, and treatment experience based on national data collected from federally-funded treatment facilities by the Client Oriented Data Acquisition Process (CODAP) and aggregated for a quarter. (Note: The Series D designation for CODAP Quarterly Reports was used first for the October-December 1976 report. Prior to that issue Quarterly Reports were published as Series 1 through 6.)
- Series E* *CODAP Annual Reports* -- Statistics on client characteristics, drug abuse patterns, and treatment experience based on CODAP data aggregated at national, State, and SMSA levels.
- Series F* *NDATUS Reports* -- Statistics on treatment capacity, utilization, funding, staffing, and services based on data collected by the National Drug Abuse Treatment Utilization Survey (NDATUS), a periodic survey of all treatment facilities in the United States, Puerto Rico, and the Virgin Islands.

For further information about these reports, write to:

Division of Scientific and Program Information
National Institute on Drug Abuse
5600 Fishers Lane
Rockville, Maryland 20857

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