



New York State Consolidated Fiscal Reporting Interagency Committee

June 2011

Dear Fiscal Officer:

The Consolidated Fiscal Reporting (CFR) Manual and forms for the July 1, 2010 to June 30, 2011 reporting period are now available. *A summary of notable changes to the 2010/2011 CFR Manual as well as State Agency specific special information can be found on pages 2, 3 and 4 of this letter;* other essential CFR information follows on the subsequent pages.

Acquisition of CFR Manuals and Forms

CFR manuals and forms are available for download from the NYS Education Department Rate Setting Unit's homepage at http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/CFR.html.

Consolidated Fiscal Reporting System (CFRS) Software

All service providers are expected to use CFRS software approved by the CFR Interagency Committee to create the appropriate CFR submission. Additionally, approved CFRS software can be used to create Consolidated Budget Reports (CBRs) and intra-year State Aid claims (CQRs) for the 2010/2011 reporting period. The New York State Office of Mental Health is the sole vendor for the 2010/2011 reporting period.

Service providers are expected to download the software via the Internet. When the NYS-issued CFRS software is approved, it will be available for download at the CFRS Home Page: <https://www.omh.ny.gov/omhweb/cfrsweb/default.asp>. As of this date, approval has not yet been issued for the 2010/2011 reporting period.

For assistance with the New York State software, please refer to the CFRS Home Page and its Table of Contents or the CFRS Software Online HELP function. If you need additional assistance, please call the Help Desk at 1-800-HELPNYS (if outside of New York State call 518-474-5554); or e-mail at helpdesk@omh.ny.gov. The certifying/funding State Agencies may also be of assistance (see Section 8 of the CFR Manual for the related telephone numbers).

2010/2011 CFR Due Date(s) and Requests for Extensions

The due date of the 2010/2011 CFR is November 1, 2011. A thirty-day extension will be granted to providers who electronically complete and submit the Pre-Approved 30-Day Extension Request by November 1, 2011. No response to this extension request will be sent; therefore, you should print a copy for your files prior to submitting the completed form. The pre-approved extension does not apply to the required claiming schedules for all OASAS funded service providers. Please refer to Section 4.0 of the CFR Manual.

The link to the Pre-Approved 30-Day Extension Request is available from the NYS Education Department at: http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/CFRManual/home.html

**NOTE: A PAPER COPY OF THE EXTENSION FORM WILL NOT BE ACCEPTED
BY ANY OF THE FUNDING STATE AGENCIES.**

<p><u>NYS Office of Alcoholism and Substance Abuse Services (OASAS)</u> 1450 Western Avenue Albany, NY 12203-3526 Health Care Financing and Third Party Reimbursement: (518) 485-2207 Financial Management: (518) 457-3562 Homepage: http://www.oasas.state.ny.us E-mail: CFRS@oasas.state.ny.us</p>	<p><u>NYS Office of Mental Health (OMH)</u> 44 Holland Avenue, 7th Floor Albany, NY 12229 CBFM – CFR Unit: (518) 473-3572 CBFM Group: (518) 473-7885 Homepage: http://www.omh.ny.gov E-mail: CFR@OMH.NY.GOV</p>	<p><u>NYS Office For People With Developmental Disabilities (OPWDD)</u> 44 Holland Avenue, 5th Floor Albany, NY 12229-0001 OPWDD Only: CFR Processing Unit: (518) 402-4275 Claims: (518) 402-4321 Homepage: http://www.opwdd.ny.gov</p>	<p><u>NYS Education Department (SED)</u> Rate Setting Unit Room 302 Education Building 89 Washington Avenue Albany, NY 12234 (518) 474-3227 Homepage: http://www.oms.nysed.gov/rsu/home.html E-Mail: RATEWEB@MAIL.NYSED.GOV</p>
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Significant Changes to the CFR Manual, Software and/or Forms for 2010/2011:

NOTE: Governor David A. Paterson signed into law a bill which changed the name of the New York State Office of Mental Retardation and Developmental Disabilities (OMRDD) to the New York State Office For People With Developmental Disabilities (OPWDD). The legislation removed the words "Mental Retardation" from the name of the State agency and from State statute and regulations.

- The NYS Consolidated Fiscal Report Pre-Approved 30-Day Extension Request will no longer be submitted on paper. Effective with the January 1, 2010 to December 31, 2010 reporting period, the Pre-Approved 30-Day Extension Request Form must be electronically completed and submitted using Survey Monkey. The link to this form is available from the NYS Education Department Rate Setting Unit at: http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/CFRManual/home.html
- For this July 1, 2010 through June 30, 2011 CFR reporting period, Section 57 (Appendix X) has been divided into two sections:
 - The first section (unchanged from the July 1, 2009 through June 30, 2010 CFR Manual) applies only to OPWDD funded/certified programs
 - The second section (revised) is applicable to programs funded/certified by OASAS and/or OMH.
- CFR-3, line 14 (Contracted Personal Services) includes a line detail box. See Section 15 for details.
- Section 51 (Appendix R) now includes Position Title Code 506, Accountant (Program Administration).

Special Instructions for OASAS Funded and/or Certified Service Providers

- In Section 38 (Appendix E):
 - Added Program Code 3980, Recovery Community Organizing Initiative
 - Revised the definition of Program Code 5550, Chemical Dependence Prevention Services
- Each time a CFR with a new DCN is uploaded, signed certification schedules with the new DCN must be mailed to OASAS. For Full CFR filers an attestation statement may be submitted in lieu of a signed CFR-ii or CFR-iiA. An Attestation Statement can only be used if a CPA signed CFR-ii or CFR-iiA schedule has been submitted with the original DCN.

Special Instructions for OMH Funded and/or Certified Service Providers

NOTE: The OMH website has changed to <http://www.omh.ny.gov>
The ending used in OMH email addresses has changed to @omh.ny.gov

1. Schedules OMH-1 and OMH-2 have been modified. Please refer to the revised Sections 24 and 25 of the CFR Manual for details.

Special Instructions for OMH Funded and/or Certified Service Providers (continued)

2. In Section 39 (Appendix F):

- These programs were added:
 - 0920 Blended Case Management Service Dollars
 - 1230 Flexible Recipient Service Dollars
 - 1910 ICM Service Dollars
 - 2300 HCBS Waiver
 - 2720 Non-Medicaid Care Coordination
 - 2750 Recovery Center
 - 2980 RTF/HCBS Service Dollars
 - 6820 Adult Home Supportive Case Management
 - 6910 SCM Service Dollars
 - 6920 Adult Home Service Dollars
- The program titles, descriptions and/or units of service were modified for program codes:
 - 1310 Continuing Day Treatment
 - 1510 School Based Mental Health
 - 2100 Clinic Treatment
 - 2810 Case Management Service Dollars Administration
 - 2880 Residential Treatment Facility (RTF) Transition Coordinator
 - 6810 Supportive Case Management
 - 8810 Assertive Community Treatment (ACT) Service Dollars
- Deleted Programs:
 - 0810, 1520, 1990, 2230, 2240, 2250, 2260, 2270, 2280, 2820 and 2830.

3. In Section 47 (Appendix N):

- Added these OMH Only Funding Source Codes:
 - 034J Adult Case Management
 - 034K Children and Family Case Management
 - 112 Outpatient State Aid
 - 119A Federal Forensic Initiatives
 - 178 Adult Home Court Ordered
- Deleted these OMH Only Funding Source Codes:
034A, 034B, 034C, 034E, 038, 038A, 038B, 038C, 038D, 038E, 038F, 038G, 038H, 038I, 038M,
038N, 038O, 039, 039B, 039E, 039F, 039H, 039V, 046K, 049A, 104, 104A, 105, 105A, 106,
140F, 140H, 140I, 140J, 140K, 140Y, 170A, 170E, 170F, 170K, 170L, 170M, 170N, 190, 550
and 550A.

4. In Section 51 (Appendix R), the following Position Title Codes were added:

- 327 Licensed Mental Health Counselor
- 328 Licensed Psychoanalyst
- 355 Student

5. The following are predefined entries in the CFRS software:

- Uncompensated Care Pool for schedules CFR-1, line 94 and DMH-2, line 29.

Special Instructions for OPWDD Funded and/or Certified Service Providers

NOTE: If your agency operated a program that was converted to an HCBS Waiver program or if your Medicaid, Mirrored Services or OPTS funding has increased, please be aware that your CFR reporting requirements may have changed. For example: if your agency filed an Abbreviated CFR prior to the conversion, you will now be required to complete a Full CFR; if your combined Medicaid, Mirrored Services or OPTS funding now exceeds \$250,000, you must have your CFR certified by a certified public accountant. Please refer to Section 2 of the CFR Manual to determine the type of CFR your agency is required to submit.

The OPWDD website has changed to <http://www.opwdd.ny.gov>
The ending used in OPWDD email addresses has changed to @opwdd.ny.gov

The following lists the significant changes for OPWDD providers:

1. In Section 40 (Appendix G):
 - These programs were added:
 - 0237 HCBS Community Habilitation
NOTE: Use Program Code 0236 for Pre 11/1/10 services
Use Program Code 0237 for services on or after 11/1/10
 - 0256 HCBS Assistive Technology Administration (Pilot)
 - 0418 Learning Institute
 - 0419 Portal-like
 - 0295 Residential Reserve for Replacement (RRR) – ICF/DD (30 Beds or Less)
 - 0296 Residential Reserve for Replacement (RRR) – ICF/DD (Over 30 Beds)
 - 0297 Residential Reserve for Replacement (RRR) – Supervised IRA
 - 0298 Residential Reserve for Replacement (RRR) – Supportive IRA
 - 0299 Residential Reserve for Replacement (RRR) – OPTS
 - The following service types were added to the OPTS program (0234):
 - 28 Community Habilitation
 - 29 Product Fee
 - 30 Intensive Behavioral
 - Deleted program codes: 0055, 1055
2. In Section 47 (Appendix N), these funding source codes were added:
 - 088 ISS Transition Stipend
 - 095 Federal Medical Assistance Percentage (FMAP) Reduction. OPWDD providers should refer to the attached letter from Eileen Bureau for FMAP reporting instructions.
 - 184 Health Care Adjustment VI – 2010

Special Instructions for SED Funded and/or Certified Service Providers

NOTE: *Special Instructions for SED Providers who use Program code 9300:* If your agency operated a NYS Early Intervention Program (Part C IDEA infant/toddler program), please be aware that your CFR reporting requirements may have changed. Please refer to Section 2 of the CFR Manual and Appendix H for the new reporting requirements.

1. In Section 41 (Appendix H):
 - The name and definition of program code 9300 were changed.

Special Instructions for SED Funded and/or Certified Service Providers (continued)

In Section 41 (Appendix H) (continued):

- The following program codes were added:

- 9301 Early Intervention Program Initial Service Coordination
- 9302 Early Intervention Program Ongoing Service Coordination
- 9310 Early Intervention Program Screenings
- 9311 Early Intervention Program Core Evaluations
- 9312 Early Intervention Program Physician Evaluations
- 9313 Early Intervention Program Supplemental Evaluations
- 9320 Early Intervention Program Home/Community Based Individual Collateral Services
- 9330 Early Intervention Program Office/Facility Based Individual Collateral Services
- 9341 Early Intervention Program Group Developmental Intervention Services
- 9342 Early Intervention Parent/Child Group Services
- 9343 Early Intervention Family/Caregiver Support Group Services

2. In Section 51 (Appendix R), the definitions of Supervising Teacher position title codes 215 and 518 were revised.

Submission of the CFR Document

Service providers are expected to submit their completed 2010/2011 CFR electronically via the Internet. Service providers will access the webpage at <http://www.omh.state.ny.us/omhweb/cfrsweb/default.asp> to upload their CFR submission. On a daily basis, the information received is distributed to the appropriate State Agency(ies).

Submission of CFR Certification Pages

Please note that OASAS, OMH, OPWDD and SED currently do not accept electronic certifications or signatures for CFR submissions. Therefore, in addition to transmitting the CFR via the Internet, service providers must also submit signed paper copies of the required certification schedules (CFR-i, CFR-ii/CFR-iiA and CFR-iii) and certified financial statements to each funding State Agency by the due date in the CFR Manual. Sending copies of the certification schedules to the County or local DDSO does not fulfill this requirement. Copies of the certification schedules MUST also be sent directly to the state agencies. To determine if Schedules CFR-ii, CFR-iiA, CFR-iii or certified financial statements are required, please refer to Sections 2.0, 6.0, 11.0 and 12.0 of the CFR Manual. Please refer to pages 2.11 and 2.12 of the CFR Manual for information on where to send your agency's CFR certification pages and certified financial statements. Additionally, the Document Control Number (DCN) of your agency's Internet submission must match the DCN that appears on the paper certification schedules mailed to each funding State Agency.

Submission of Final State Aid Claim Schedules for OASAS

OASAS expects all service providers to prepare State Aid claim schedules using approved Consolidated Fiscal Reporting System (CFRS) software and to file those schedules electronically via the Internet.

Service providers receiving State Aid through a direct contract with OASAS are required to submit paper copies of CFR schedules CFR-i, CFR-iii and DMH-2 to the Bureau of Financial Management in Albany.

Service providers receiving State Aid through a local contract with a county Local Governmental Unit (LGU) should contact the county for their specific county submission requirements.

LGUs are required to submit paper copies of the CFR-i, CFR-iii and DMH-2 schedules for each service provider funded through a local contract to the Bureau of Financial Management in Albany.

Submission of Final State Aid Claim Schedules for OMH

Service providers receiving State Aid through a direct contract with OMH or through a local contract with a county must submit the required claim schedules via the Internet. Service providers receiving State Aid through a local county contract should contact the county for additional county specific submission requirements. No paper copies are sent to the OMH Contract and Claims Unit in Albany, nor are paper copies sent to the OMH Field Office.

Submission of Final State Aid Claim Schedules for OPWDD

Service providers receiving State Aid through a direct contract with OPWDD are required to submit a paper copy of the entire CFR along with an original signature State Aid Voucher (AC-1171) to the OPWDD New York City Regional Office (NYCRO) or CFR schedules CFR-i, CFR-iii, DMH-2 and DMH-3 to their DDSO, as applicable.

Service providers receiving State Aid through a local county contract should contact the county for their specific county submission requirements.

Counties are required to submit paper copies of the following materials to the OPWDD Claims Unit in Albany:

- An original signature State Aid Voucher (AC-1171)
- A completed NYC Fiscal Summary (CQR-2)
- CFR-i, CFR-iii, DMH-2 and DMH-3 schedules for each service provider funded through a local contract.

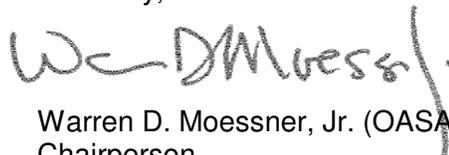
CFR Training

Notification of training dates has been sent to you under separate cover. If you have any questions regarding training dates, please access one of the following websites:

- The SED Rate Setting Unit homepage at <http://www.oms.nysed.gov/rsu/home.html> or;
- The OMH CFR Unit homepage at <http://www.omh.state.ny.us/omhweb/finance/train.htm>.

If you have any questions or concerns, please contact the appropriate State Agency listed on page 8.8 of the CFR Manual or refer to the CFR Resources listed on page 8.10 of the CFR Manual.

Sincerely,



Warren D. Moessner, Jr. (OASAS)
Chairperson
CFR Interagency Committee

cc: Don Berryann (OMH)
Eileen Bureau (OPWDD)
Peter LaPan (SED)