Dear Fiscal Officer:

The Consolidated Fiscal Reporting and Claiming Manual (CFR) and forms for the July 1, 2013 to June 30, 2014 reporting period are now available. A summary of notable changes to the 2013/2014 CFR Manual as well as State Agency specific special information can be found on page 2 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/CFRManual/home.html](http://www.oms.nysed.gov/rsu/Manuals_Forms/Manuals/CFRManual/home.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 2013/2014 reporting period. The New York State Office of Mental Health is the sole vendor for the 2013/2014 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](https://www.omh.ny.gov/omhweb/cfrsweb/default.asp). As of this date, approval has not yet been issued for the 2013/2014 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 email 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).

**2013/2014 CFR Due Date(s) and Requests for Extensions**

The due date for the 2013/2014 CFR is November 1, 2014. A thirty day extension will be granted to providers which electronically complete and submit the Pre-Approved 30-Day Extension Request by November 1, 2014. The Pre-Approved 30-Day Extension Request Form must be electronically completed and submitted using Survey Monkey. 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](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.
Significant Changes in the CFR Manual, Software and/or Forms

- Instructions and guidance for completing the supplemental schedule, Reconciliation of Revenues and Expenses, have been added to end of Section 14 of the CFR Manual.

- “Food Stamps” was revised to “Supplemental Nutrition Assistance Program (SNAP).” This change is reflected on CFR-1, line 82; DMH-1, line 28 and DMH-2, line 27.

- The part of Section 2, titled “General CFR Submission Requirements,” was revised to reflect a new process to enable providers to upload financial statements and A-133 audit reports through CFRS. The section includes specific submission instructions. On an exception basis, providers may request permission or may be asked by the funding State Agency to submit financial statements by mail or email. The section also clarifies submission requirements when a revised CFR is submitted.

Special Instructions for OMH Funded and/or Certified Service Providers

1. In Section 39 (Appendix F):
   - The program titles, descriptions and/or units of service were modified for program codes:
     - 0890 Local Governmental Unit (LGU) Administration
     - 2620 Health Home Non-Medicaid Care Management
     - 2720 Non-Medicaid Care Coordination
     - 2730 Health Home Care Management
     - 6140 Transitional Business Model (now Transformed Business Model)
   - Deleted program code 1410-Geriatric Demo Gatekeeper

2. In Section 47 (Appendix N):
   - Added these OMH Only Funding Source Codes:
     - 039I Legislative – Member Items 001
     - 078A Supported Housing Stipend Increase
     - 142A Expanded Community Support Adult
     - 142B Expanded Community Support C&Y (Children & Youth)

Special Instructions for OPWDD Funded and/or Certified Service Providers

1. In Section 40 (Appendix G):
   - These program codes were added:
     - 0209 HCBS Pathway to Employment (effective 6/1/14)
     - 0260 HCBS Intensive Behavioral Services
   - Deleted program code 0120-Specialty Clinic.
   - Descriptions and/or units of service were modified for programs 0234, 0237, 0238, 0293, 0411, 0416, 7090 and 7091. For 0234, OPTS Service Types 29 & 30 will no longer be under OPTS as of October 1, 2013.
   - Position title code added: 357 Broker–Start-Up and Support
   - The drop down box for CFR-1 line 40 has been updated to include a hard-coded selection for Contracted Support Personal Services.
Submission of the CFR Document

Service providers are expected to submit their completed 2013/2014 CFR electronically via the Internet. Service providers will access the webpage at http://www.omh.ny.gov/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 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) to OMH, OPWDD and SED by the due date in the CFR Manual. Sending copies of the certification schedules to the County or local DDRO does not fulfill this requirement. To determine if Schedules CFR-ii, CFR-iiA and CFR-iii 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 Financial Statements

The part of Section 2, titled “General CFR Submission Requirements,” was revised to reflect a new process to enable providers to upload financial statements and A-133 audit reports through CFRS. The section includes specific submission instructions. On an exception basis, providers may request permission or may be asked by the funding State Agency to submit financial statements by mail or email.

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 the appropriate geographic office of the DDRO, 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 the following website:

- The SED Rate Setting Unit homepage at http://www.oms.nysed.gov/rsu/home.html

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,

Kathy Katz (OMH)
Chairperson
CFR Interagency Committee

cc: Peter LaPan (SED)
    Warren D. Moessner, Jr. (OASAS)
    Donna Noyes, Ph.D. (DOH)
    Susan Ivie Mahar (OPWDD)