Dear Fiscal Officer:

The *Consolidated Fiscal Reporting and Claiming Manual* (CFR Manual) and forms for the January 1, 2021 to December 31, 2021 reporting period are now available. A summary of notable changes and State Agency specific information can be found on page two of this letter. Other essential CFR information follows on subsequent pages.

**Acquisition of CFR Manuals and Forms**

CFR Manuals and forms are available for download from the CFR Manual Home Page as follows:


**Consolidated Fiscal Reporting System (CFRS) Software**

All service providers are required to use the CFRS software approved by the CFR Interagency Committee to create an appropriate CFR submission. Approved CFRS software can also be used to create Consolidated Budget Reports (CBRs) and intra-year State Aid claims (CQRs) for the Calendar Year 2021 reporting period. The New York State Office of Mental Health is the sole vendor for the Calendar Year 2021 reporting period.

Once the NYS issued CFRS software is approved, it will be available for download on the CFRS Home Page: [https://apps.omh.ny.gov/omhweb/cfrsweb/default.asp](https://apps.omh.ny.gov/omhweb/cfrsweb/default.asp). As of this date, software approval has not yet been issued for the Calendar Year 2021 reporting period.

Service providers should sign up for the CFRS Mailing List at [https://apps.omh.ny.gov/omhweb/listserv/cfr.htm](https://apps.omh.ny.gov/omhweb/listserv/cfr.htm) to be notified when the software is approved and available for download, of software issues and their solutions, and when software patches are released.

For assistance with the CFRS software, please refer to the Table of Contents on the CFRS Home Page or the CFRS Software Online HELP function. If further assistance is required, contact the Help Desk at 1-800-HELPNYS (1-800-435-7697) and select option #2, or email the Help Desk at healthhelp@its.ny.gov. If outside of New York State, please call 1-518-474-5554. Help Desk hours are 8:00 am to 5:00 pm, Monday through Friday. The certifying/funding State Agencies may also be of assistance (see pages 8.8 through 8.9 of the CFR Manual for the related telephone numbers).

**Calendar Year 2021 CFR Due Date(s) and Requests for Extensions**

For OMH and SED filers, the due date for the Calendar Year 2021 CFR is May 1, 2022. A thirty-day extension will be granted to OMH and SED providers who electronically complete and submit the Pre-Approved 30-Day Extension Request by May 1, 2022. The Pre-Approved 30-Day Extension Request must be electronically completed and submitted using Microsoft Forms. No response to this extension request will be sent, therefore, you should print a copy for your records prior to submitting the completed survey. The link to the Pre-Approved 30-Day Extension request will be available on the CFR Manual Home Page 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).

For OASAS, OPWDD, DOH or OCFS filers, the due date for the Calendar Year 2021 CFR is June 1, 2022. There are no extensions available for OASAS, OPWDD, DOH or OCFS filers.
Significant Changes in the CFR Manual, Software and/or Forms

- Section 2.0 (Submission Requirements) of the CFR Manual was updated as follows:
  - The Combination Matrix and OMH Only Matrix were revised to include Article 31 hospitals.
  - The general CFR submission requirements were revised for certification schedules with an electronic signature.
  - The general CFR Submission requirements were revised for providers submitting revised CFRs and certification schedules.

- Section 8.0 (General Instructions) of the CFR Manual was updated as follows:
  - An FAQ was added relating to Paycheck Protection Program (PPP) loan forgiveness.
  - In the CFR Resources section, the reference and link to the Consolidated Budget Reporting and Claiming Manual (CBR Manual) was removed.
  - General instructions related to 1:1 teacher aide were updated.

- Section 10.0 (CFR-i) of the CFR Manual was updated as follows:
  - Submission requirements for electronically signed certification schedule CFR-i were updated.

- Section 11.0 (CFR-ii/CFR-iiA) of the CFR Manual was updated as follows:
  - Submission requirements for electronically signed certification schedules CFR-ii/CFR-iiA were updated.
  - Certification language for CFR-ii & CFR-iiA schedules were revised to comply with the requirements of Statement of Auditing Standards (SAS) 134.

- Section 12.0 (CFR-iii/CFR-iv) of the CFR Manual was updated as follows:
  - Submission requirements for electronically signed certification schedule CFR-iii were updated.
  - Submission requirements for electronically signed certification schedule CFR-iv were updated.

- Section 33B (COVID-19) of the CFR Manual and Schedule COVID-19 were updated to differentiate between the Payroll Protection Program (PPP) first and second draw loans. In addition, updates were made to reflect that only Amount Paid can be entered on the Personal Services section of Schedule COVID-19.

- Section 33C (COVID-19S) of the CFR Manual and Schedule COVID-19S were updated to differentiate between the Payroll Protection Program (PPP) first and second draw loans.

- Section 44.0 (Appendix K) of the CFR Manual has been updated to remove references to OMB Circular A-87 and include new guidance issued under: 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Appendix V - State/Local Governmentwide Central Service Cost Allocation Plans.

- In Section 51.0 (Appendix R), the definition of Job Title Code 603 was revised to include Chief Financial Officer.
Instructions for OASAS Funded and/or Certified Service Providers

1. In Section 22.0 (DMH-2) of the CFR Manual, OASAS reporting guidance was updated stating that in the case of a Dual filer, (one who is required to submit an additional Mini-Abbreviated CFR using the reporting period specified by the county or direct contract), OASAS reserves the right to require an uncertified Full CFR in lieu of the additional Mini-Abbreviated CFR.

2. In Section 59.0 (In-Contract vs. Out-of-Contract (DMH)) of the CFR Manual, OASAS reporting guidance was updated stating that a provider that receives State Aid funding for any OASAS program must report all programs operated (funded or not) on the Claiming Schedules (DMH-2 and DMH-3). Further, if the provider does not operate any State Aid funded programs, they are not required to complete the Claiming schedules.

3. The following OASAS programs have had program titles, descriptions and/or units of service modified:
   - 2050-Outpatient Opioid Treatment
   - 2150-KEEP Units Outpatient
   - 3520-Medically Supervised Outpatient
   - 3530-Outpatient Rehabilitation Services
   - 4920-Children & Family Treatment & Support Services: (Youth Peer Support)

Instructions for OMH Funded and/or Certified Service Providers

1. Section 1.0 (Introduction) was updated as follows: Effective for periods beginning January 1, 2021 or later, OMH program code 2010 – Private Inpatient Psychiatric Hospital and/or OMH program code 3010 – Inpatient Psychiatric Unit of a General Hospital are no longer required to be reported on the CFR.

2. Section 2.0 (Submission Requirements): OMH’s reporting guidance was updated to add OMH’s acceptance of PDF certification and attestation schedules through email.

3. Section 27.0 OMH- 4 (Units of Service by Payor by Program/Site): The description and line instructions for Schedule OMH-4 Line 8 were updated to include the Essential Plan.

4. Section 39.0 (Appendix F):
   - The following OMH program codes were added:
     - 0780- Specialty Mental Health Care Management

   - The following OMH program codes were deleted:
     - 1810- Intensive Case Management
     - 2010- Private Inpatient Psychiatric Hospital
     - 3010- Inpatient Psychiatric Unit of a General Hospital

   - The following OMH program code (PC) names and/or descriptions were modified:
     - The program description of PC 0680- Mobile Crisis Services (Non-Licensed Program) was revised.
     - The name of PC 2980 was changed to RTF/Service Dollars.
     - The name of PC 4920 was changed to Children & Family Treatment & Support Services: Youth Peer Support (YPS)
     - The name of PC 5070 was changed to Supportive Single Room Occupancy (SSRO)
     - The name of PC 6060 was changed to Supportive Housing
5. Section 47.0 (Appendix N):
   • The following OMH only funding source codes were added:
     ▶ 041 H- Federal CMHS Adult COVID Relief Funds (OMH only)
     ▶ 041 Z- Federal CMHS Adult American Rescue Plan Funds (OMH Only)
     ▶ 044 C- Federal CMHS Kids COVID Relief Funds (OMH Only)
     ▶ 044 S- Federal CMHS Kids American Rescue Plan Funds (OMH Only)
   • The names of the following OMH only funding source codes were changed to:
     ▶ 078 Independent Apartment Supportive Housing
     ▶ 078-A Supportive Housing Stipend Increase
     ▶ 078-G New York/New York III Supportive Housing
     ▶ 200-C Supportive Housing Workforce RIV
     ▶ 580 Medicaid Redesign Team (MRT) Supportive Housing Beds
   • The description of the following OMH only funding source code was revised:
     ▶ 178 Adult Home Court Ordered

Instructions for OPWDD Funded and/or Certified Service Providers

1. OPWDD providers must use CFR@opwdd.ny.gov when submitting communications to the CFR Processing Unit. The CFR Processing Unit has discontinued use of the rate.setting@opwdd.ny.gov mailbox.

2. In Section 40.0 (Appendix G):
   • The following OPWDD programs have had program titles, descriptions and/or units of service modified:
     ▶ 0237 - HCBS Hourly Community Habilitation Service
     ▶ 0257 - HCBS Group Community Habilitation- Residential Service

3. In Section 47.0 (Appendix N):
   • The following OPWDD only funding source code was revised:
     ▶ 192 DSP - (OPWDD Only)
   • The following OPWDD program code was added:
     ▶ 590-OPWDD COLA (OPWDD only)

Instructions for DOH Funded and/or Certified Service Providers

Refer to Section 1.0 (Introduction) and Section 2.0 (Submission Requirements) of the CFR Manual for guidance on DOH CFR submission requirements.

Refer to Appendix HH for a list of DOH Child & Youth HCBS Consolidated Waiver and Palliative Care program codes and related descriptions.
Instructions for OCFS Funded and/or Certified Service Providers

Refer to Section 1.0 (Introduction) and Section 2.0 (Submission Requirements) of the CFR Manual for guidance on OCFS CFR submission requirements.

Refer to Appendix II for a list of OCFS Children & Family Treatment & Support Services program codes and related descriptions.

In section 68.0 (Appendix II):

- The following OCFS programs have had program titles, descriptions and/or units of service modified:
  - 4920 - Children & Family Treatment & Support Services: Youth Peer Support and Training (YPST)

Submission of the CFR Document

Service providers are required to submit their completed Calendar Year 2021 CFR via the Internet at https://apps.omh.ny.gov/omhweb/cfrsweb/default.asp. The CFR information received is distributed to the appropriate State Agency(ies) on a daily basis.

Submission of CFR Certification Pages

Certification schedules may now be electronically signed. An attestation will be required during the certification upload process to ensure that only the authorized individuals have signed the appropriate certification pages.


Signed and dated certification schedules for any CFR submission type, for any filing period, should be submitted through the OMH CFRS Upload page at: https://apps.omh.ny.gov/omhweb/cfrsweb/cfrsupload/. The submitted files are distributed to the appropriate State Agency(ies) on a daily basis.

DOH and OCFS require that signed certification schedules CFR-i, CFR-ii/CFR-iiA, and CFR-iv be uploaded. These agencies do not accept copies of the signed certification schedules via mail or email.

OASAS, OMH, OPWDD and SED will accept copies of the signed certification schedules via email. Refer to pages 2.12 through 2.14 of the CFR Manual for information regarding the specific requirements of each NYS agency accepting email copies of the signed certification schedules.

If mailing your agency’s CFR certification schedules, refer to page 2.15 of the CFR Manual for CFR Unit mailing addresses. Verify that the Document Control Number (DCN) of your agency’s internet submission matches the DCN that appears on the paper certification schedules mailed to each funding State Agency. Sending paper copies to the Local Governmental Unit (LGU) or the OMH Field Office does not fulfill the signed and dated certification schedule submission requirement.
Submission of Final State Aid Claim Schedules for OASAS

OASAS requires 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 email electronic copies of CFR Schedules CFR-i and CFR-iii to the Bureau of Provider Monitoring and Funding in Albany at: APStAid@oasas.ny.gov.

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 email electronic copies of the CFR-i, CFR-iii, and DMH-2 schedules for each service provider funded through a local contract to the Bureau of Provider Monitoring and Funding in Albany at: APStAid@oasas.ny.gov.

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. Paper copies of the claim schedules should not be sent to the OMH Contract and Claims Unit in Albany or any of the OMH Field Offices.

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 Developmental Disabilities Regional Office (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-3253S)
- A completed LGU Fiscal Summary (CQR-3)
- CFR-i, CFR-iii, DMH-2, and DMH-3 Schedules for each service provider funded through a local contract.
If you have any questions or concerns regarding the CFR or the contents of this letter, please contact the appropriate State Agency listed on page 8.8 through 8.9 of the CFR Manual or refer to the CFR Resources listed on page 8.10 of the CFR Manual.

Sincerely,

Kenneth Glindmyer
Kenneth Glindmyer (OPWDD)
Chairperson
CFR Interagency Committee

cc: Michelle Chilinski (OMH)
Jack Pitera (DOH)
Karen Williams (OCFS)
John Mackey (SED)
Paul Green (OASAS)