

97041 Report Procedure

(a)

Health facilities shall report to the Office as follows: (1) Health facilities shall prepare annual disclosure reports required by subsections (a) through (e) of Section 128735, Health & Safety Code, in a standard electronic format as approved by the Office pursuant to subsection (3) and file annual disclosure reports with the Office pursuant to subsection (4). Health facilities may file requests for modifications to this reporting requirement, as provided under Section 97050, where meeting this requirement would not be cost-effective for the facility. (2) To meet the requirement of subsection (1), health facilities shall use a program approved pursuant to subsection (3), which can be either a third-party program or their own program. Health facilities intending to use a third-party program are not required to notify the Office of that intent. The Office shall notify all health facilities and third-parties with Office-approved electronic reporting programs of any change in the electronic reporting requirements. The Office shall maintain and make available a list of all programs approved pursuant to subsection (3). (3) Programs to be used for preparing reports in a standard electronic format pursuant to subsection (1) must be approved by the Office in advance and must meet the Office's specifications for electronic reporting. To be approved, electronic report preparation programs must be able to apply Office-specified edits to the data being reported and must be able to produce a

standardized output file that meets the Office's specified electronic formats.

Specifications for preparing hospital annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the May 2019 issue of "Instructions and Specifications for Developing Approved Software to Prepare the California Hospital Annual Disclosure Report", and herein incorporated by reference in its entirety. For report periods ending prior to January 1, 2024, specifications for preparing LTC facility annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the October 2019 issue of "Instructions and Specifications for Developing Approved Software to Prepare the California Long-Term Care Facility Integrated Disclosure & Medi-Cal Cost Report", and incorporated by reference in its entirety. For report periods ending on or after January 1, 2024, specifications for preparing LTC facility annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the October 2023 issue of "Instructions and Specifications for Developing Approved Software to Prepare the California Long-Term Care Facility Integrated Disclosure & Medi-Cal Cost Report", and incorporated by reference in its entirety. To obtain approval for an electronic report preparation program, a request, together with the Office's specified test case and a signed statement certifying that the program includes all Office-specified edits, must be filed with the Office via email to financial@hcai.ca.gov, at least 90 days prior to the end of the reporting period to which the program applies. The Office shall review the test case and respond within 60 days by either approving or disapproving the request. The Office may

limit the approval of the electronic report preparation program to a specified period of time or reporting period(s). If disapproved, the Office shall set forth the basis of denial. The Office may seek additional information from the requestor in evaluating the request. Changes to the Office's electronic reporting specifications may require the programs used for preparing reports in a standard electronic format to be re-approved. (4) Health facilities must file annual disclosure reports with the Office using SIERA. (5) Hospitals shall prepare and file the quarterly reports required by Section 128740, Health & Safety Code, with the Office using SIERA. Hospitals may file requests for modifications to this requirement, as provided under Section 97050, where meeting this requirement would not be cost-effective for the hospital.

(1)

Health facilities shall prepare annual disclosure reports required by subsections (a) through (e) of Section 128735, Health & Safety Code, in a standard electronic format as approved by the Office pursuant to subsection (3) and file annual disclosure reports with the Office pursuant to subsection (4). Health facilities may file requests for modifications to this reporting requirement, as provided under Section 97050, where meeting this requirement would not be cost-effective for the facility.

(2)

To meet the requirement of subsection (1), health facilities shall use a program approved pursuant to subsection (3), which can be either a third-party program or their own program. Health facilities intending to use a third-party program are not required to notify the Office of that intent. The Office shall notify all health facilities and third-parties with Office-approved electronic reporting programs of any change in the electronic reporting requirements. The Office shall maintain and make available a list of all programs approved pursuant to subsection (3).

(3)

Programs to be used for preparing reports in a standard electronic format pursuant to subsection (1) must be approved by the Office in advance and must meet the Office's specifications for electronic reporting. To be approved, electronic report preparation programs must be able to apply Office-specified edits to the data being reported and must be able to produce a standardized output file that meets the Office's specified electronic formats. Specifications for preparing hospital annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the May 2019 issue of "Instructions and Specifications for Developing Approved Software to Prepare the California Hospital Annual Disclosure Report", and herein incorporated by reference in its entirety. For report periods ending prior to January 1, 2024, specifications for preparing LTC facility annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the October 2019 issue of "Instructions and Specifications for Developing Approved Software to Prepare the California Long-Term Care Facility Integrated Disclosure & Medi-Cal Cost Report", and incorporated by reference in its entirety. For report periods ending on or after January 1, 2024, specifications for preparing LTC facility annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the October 2023 issue of "Instructions and Specifications for Developing Approved Software to Prepare the California Long-Term Care Facility Integrated Disclosure & Medi-Cal Cost Report", and incorporated by reference in its entirety. To obtain approval for an electronic report preparation program, a request, together with the Office's specified test case and a signed statement certifying that the

program includes all Office-specified edits, must be filed with the Office via email to financial@hcai.ca.gov, at least 90 days prior to the end of the reporting period to which the program applies. The Office shall review the test case and respond within 60 days by either approving or disapproving the request. The Office may limit the approval of the electronic report preparation program to a specified period of time or reporting period(s). If disapproved, the Office shall set forth the basis of denial. The Office may seek additional information from the requestor in evaluating the request. Changes to the Office's electronic reporting specifications may require the programs used for preparing reports in a standard electronic format to be re-approved.

(4)

Health facilities must file annual disclosure reports with the Office using SIERA.

(5)

Hospitals shall prepare and file the quarterly reports required by Section 128740, Health & Safety Code, with the Office using SIERA. Hospitals may file requests for modifications to this requirement, as provided under Section 97050, where meeting this requirement would not be cost-effective for the hospital.

(b)

Health facilities shall use SIERA to revise reports that have been filed with the Office according to (a) of this Section.

(c)

Congregate living health facilities are exempt from the electronic reporting requirements of (a) and (b) of this Section. Congregate living health facilities may file annual disclosure reports using SIERA or using hard-copy report forms.