

# **QuickStart Guide Series**

## Skilled Nursing Facility Annual Consolidated Financial Report

### 4 – Starting a New Report



Login to SIERA at <u>https://siera.hcai.ca.gov</u>.



If not set as your default, select SNF ACFRs in the report type dropdown box on the top left corner of the page.

> If you do not see this option, please see the QuickStart Guide-1 Getting Started in SIERA.



#### **B** UPLOAD AND LINK DOCUMENTS:

Click the Upload and Link Documents tab to open the Link Consolidated Financial Documents to SNF ACFRs page which allows the user to upload documents and link those documents to one or more reports.

The user will see only associated facilities for the selected reporting year that are not yet complete.

If the reporting organization determines that none of the documents are applicable, proceed to Section ④ and follow the instructions for the "No Documents to Report" submission type.

| Link Consolidated Financial Documents to SNF ACFRs  |  |               |                    |          |           |       |             |         |  |  |
|---|--|---------------|--------------------|----------|-----------|-------|-------------|---------|--|--|
| To link your skilled nursing facility's annual consolidated financial report documents to one or more facility reports, follow these steps: |  |               |                    |          |           |       |             |         |  |  |
| Step 1: Select Reporting Year   | 2023 🗸 💡   |               |                    |          |           |       |             |         |  |  |
| Step 2: Upload Document into Doc Manager  | Select a document                                    |               |                    | ~ 😳      | View      | All 🕐 |             |         |  |  |
| Step 3: Select Facility Report(s) Below 🛛 👔   |  |               |                    |          |           | 0     | All Reports | CLinked |  |  |
| HCAI ID Facility Name   |  | RPE Date      | Status             | ACFR     | IFS       | OS-R  | OS-U        | ?       |  |  |
|   |  |               | All 🗸              | Apply Fi | ilter Cle | ar    |             |         |  |  |
| HCAI ID FACILITY NAME   |  | 12/31/2023    | Pending            | 0        | 0         | 0     | 0           |         |  |  |
| Step 4: Link/Unlink Document to Reports   | Step 4: Link/Unlink Document to Reports ? Link Clear |               |                    |          |           |       |             |         |  |  |
| Step 5: When ready to submit your report or re  | eports, proceed to the Sub                           | mit SNF ACFRs | page (Submit Repor | ts tab). |           |       |             |         |  |  |

Step 1: Select the Reporting Year (the fiscal year-end date of the report period).

Step 2: Upload a document by clicking the green icon 😳 to open the *Upload Document* window. Select the document type. Select a document from your device

| Upload Document  | × |
|--|---|
| Reporting year: 2023                                       |   |
| Select the type of document (required):                    |   |
| O Annual Consolidated Financial Report                     |   |
| ○ Individual Financial Statement                           |   |
| Organization's Structure that includes Related Parties     |   |
| ○ Organization's Structure that includes Unrelated Parties |   |
| Select a document to upload (only PDFs) (50MB Max): 👔      |   |
| Choose File No file chosen                                 |   |
| Upload Close   |   |

to upload (PDF only, 50 MB max). Then click the Upload button.

Document types are as follows:

- ACFR Annual Consolidated Financial Report
- IFS Individual Financial Statements of related parties
- OS-R Organizational Structure that includes related parties
- OS-U Organizational Structure that includes unrelated parties

Step 3: Once the document is uploaded, select the document so that the file name appears in the Document Manager box. Select each report you want to link to the document by clicking the checkbox to the left of the HCAI ID in the list of reports.

Step 4: Click the Link button.

Step 5: When all documents have been uploaded and linked to the appropriate reports, click the *Submit Reports* tab to open the *Submit SNF ACFRs* page.

#### **4** SUBMIT REPORTS:

The *Submit SNF ACFRs* page will allow the user to submit one or more reports. There are two types of submissions: 1) Regular submission includes one or more documents; and 2) NDR (No Documents to Report) submission.

Regular Submission:

| ubmit SNF ACFRs  |                           |                   |                   |                |            |            |                  |                            |            |
|--|---------------------------|-------------------|-------------------|----------------|------------|------------|------------------|----------------------------|------------|
| submit your skilled nursing facility's annual consolidated finan-          | ial report or repo        | orts, follow the  | steps below. T    | he submissio   | n is not o | omplete ur | itil the submiss | sion has been confirmed on | this page. |
| ep 1: For submissions of reports with linked documents, upload a           | signed <u>certificati</u> | on form for eac   | ch report. 👔      |                |            |            |                  |                            |            |
| ep 2: Select/check each facility that you want to submit.                  |                           |                   |                   |                |            |            |                  |                            |            |
| ach row displays counts of the doc types linked to the report (or a 'no d  |                           |                   |                   |                |            | _          |                  |                            |            |
| ORs: If a facility is submitting a "no documents to report" submission, cl | ck the NDR link on        | the facility repo | rt row and follow | the steps on t | he next pa | ge. 🕜      |                  |                            |            |
| HCAI ID Facility Name  | RPE Date                  | Status            | ACFR              | IFS OS-R       | OS-U       | 2          | Certification    | NDR Comments               |            |
|  |                           | All               | ✓ Apply F         | ilter Clear    |            |            | 73               |                            |            |
| HCAI ID FACILITY NAME  | 12/31/2023                | Pending           | 0                 | 1 0            | 1          | View Docs  | Upload Cert      | (III)                      |            |
|  |                           |                   |                   |                |            |            |                  |                            |            |
|  |                           |                   |                   |                |            |            |                  |                            |            |
|  |                           |                   |                   |                |            |            |                  |                            |            |
|  |                           |                   |                   |                |            |            |                  |                            |            |
|  |                           |                   |                   |                |            |            |                  |                            |            |
| ep 3: Click the Submit button and follow the steps on the next pa          | e. 🕜 Subi                 |                   |                   |                |            |            |                  |                            |            |

Step 1: Upload a signed certification for each facility report. You can download a recommended blank certification form by clicking either the "certification form" link or the PDF icon at the top of the Certification column. The certification must be signed by a duly authorized official of the health facility or of the health facility's home office.

Click the "Upload Cert" link which will open the Upload Certification Form window.

| Upload Certification Form   | ×        |
|---|----------|
| HCAI ID       FACILITY NAME         Choose a signed certification form to upload (only PDFs):       ?         Choose File       No file chosen         Upload       Close | RPE DATE |

Click the "Choose File" button to select the saved completed form from your device.

Click the Upload button. Once uploaded, a green checkmark  $\checkmark$  will be displayed in place of the "Upload Cert" link.

Step 2: Select each report you want to submit by clicking the checkbox to the left of the HCAI ID in the list of reports.

Step 3: Click the Submit button at the bottom of the Submit SNF ACFRs page. This will open the Confirm Submission page.

| onfirm Su           | ubmission                    |  |
|---------------------|------------------------------|--|
|                     |                              |  |
| The following re    | port or reports are included | in this submission. The submission is not complete until the submission has been confirmed on this page. 💡   |
|                     |                              | all the document types that are expected in SNF annual consolidated financial report submissions. Please review and confirm each missing document that will not be<br>all missing document types for a facility report, then the submission cannot be processed. |
| HCAI ID             | Facility Name                | RPE Date   |
| HCAI ID             | FACILITY NAME                | RPE DATE   |
| Annual Consolidat   | ted Financial Report         | Confirm  |
| Individual Financia | al Statement                 | Confirm  |
| Organizational Str  | ructure - Related            | Confirm  |
| Organizational Str  | ructure - Unrelated          | DOCUMENTITILE  |
|                     |                              |  |
| Confirm Submi       | ission Back to Submission    |  |
|                     |                              |  |
|                     |                              |  |

Step 4: For each document type that does not have a linked document, click the

<sup>Confirm</sup> button to add an explanation in the *Confirm No Document Type* window.

Explanations should indicate the following:

ACFR – That the reporting organization is not subject to consolidation and the reason for that determination.

IFS – That the operating entity, licenseholder, or any related party did not provide any service, supply, or facility to the SNF.

OS-R – That the reporting organization does not have any related party that provided any service, supply, or facility to the SNF.

OS-U – That no unrelated party was paid more than \$200,000 by the SNF.

| Confirm No Document Type  | X                        |
|---|--------------------------|
| HCAIID FACILITY NAME RPE DATE Enter explanation for missing DOCUMENT TYPE docum | ent (Min 10 characters). |
|   |                          |
|   |                          |
|   | <b>.</b>                 |
| Save Cancel   |                          |
|   |                          |

Step 5: Click the **Save** button. The explanation will be saved and can be viewed in the Report Comments. After a missing document is confirmed, a green checkmark will be displayed in place of the "Confirm" button.

Step 6: When all document types are confirmed, click the **Confirm Submission** button.

The submission is complete when you see "The report(s) were successfully submitted." above the report information box.

NDR Submission:

| submit your skilled nursing facility's annual consol          | dated financial report or repo          | orts, follow the s | steps below. 7   | he submiss     | ion is not | complete until the submis | sion ha | s been confirmed on this page. |
|---|---|--------------------|------------------|----------------|------------|---------------------------|---------|--------------------------------|
| ep 1: For submissions of reports with linked docume           | nts, upload a signed <u>certificati</u> | on form for eac    | h report. 👔      |                |            |                           |         |                                |
| ep 2: Select/check each facility that you want to subn        | it.                                     |                    |                  |                |            |                           |         |                                |
| ach row displays counts of the doc types linked to the rep    | rt (or a 'no document confirmed         | checkmark).        |                  |                |            |                           |         |                                |
| DRs: If a facility is submitting a "no documents to report" s | ubmission, click the NDR link or        | the facility repor | t row and follow | v the steps on | the next p | iage. 🕜                   |         |                                |
| HCAI ID Facility Name   | RPE Date                                | Status             | ACFR             | IFS OS-        | R OS-U     | Certification             | NDR     | Comments                       |
|   |   | All                | ~ Apply I        | ilter Clear    |            | 7                         |         |                                |
| 000000000 ABC SNF   | 12/31/2023                              | Extension          | 0                | 0 0            | 0          |                           | NDR     |                                |
|   |   |                    |                  |                |            |                           |         | -                              |
|   |   |                    |                  |                |            |                           |         |                                |
|   |   |                    |                  |                |            |                           |         |                                |
|   |   |                    |                  |                |            |                           |         |                                |
|   |   |                    |                  |                |            |                           |         |                                |

Step 1: Click the "NDR" link near the end of the row for the report to open the *No Documents to Report* page.

Step 2: Enter an explanation that indicates that 1) the reporting organization is not subject to consolidation and the basis for that determination, 2) no operating entity, licenseholder, or any related party provided any service, supply, or facility to the SNF, 3) the reporting organization has no related parties that provided any service, supply, or facility to the SNF, and 4) that no unrelated parties were paid more than \$200,000 by the SNF.

Step 3: Click the <sup>Submit</sup> button. The submission is complete when you see "NDR submission completed successfully." near the top left corner of the page. The explanation will be saved and can be viewed in the Report Comments. No further steps are necessary unless you are contacted by HCAI. (Note: the "NDR" link is only displayed if there are no documents linked to the report.)

#### **S** EXTENSION REQUESTS:

#### The Request Extensions page will allow the user to request a 90-day

extension for one or more reports.

| o request and | extension, click the check box for each report th | at needs an extension | n, select a rea | son for the e | xtension, and the     | en click the Submit button. 🕜  |        |
|---------------|---|-----------------------|-----------------|---------------|-----------------------|--|--------|
| All Reports ( | O Delinquent O Due <=10 Days O Due 11 to 45 Days  |                       |                 |               |                       |  | Submit |
| HCAI ID       | Facility  | RPE Date              | Status          | Due Date      |                       |  |        |
|               |   | Last 36 Months 🗸      | All 🗸           |               | Apply Filter          | Clear  |        |
|               | Facility  | RPE Date              | <u>Status</u>   | Due Date      | <u>Days Available</u> | Reason   |        |
| V HCAI ID     | FACILITY NAME                                     | 12/31/23              | Pending         | 04/30/24      | 90                    | Unknown<br>Uhrforseadele Events<br>Personnel Issues<br>Changes in Compliance Regs<br>Contractor Issues<br>Change of Commenship<br>Data Issues<br>Other |        |

Select the report(s) by clicking the checkbox to the left of the HCAI ID in the list of reports, select a reason for the extension, and click the **Submit** button.

#### **6** HCAI ANALYST REVIEW:

- An HCAI analyst will review the submission for completeness and for compliance with the requirements.
- The submitter will be notified if a document needs to be added, updated, or removed; or if the submission is being returned for non-compliance.

#### **COMPLETED REPORTS:**

The *Completed Reports* page allows the user to view all associated SNF ACFRs that have been submitted, reviewed by HCAI, and determined to be complete.

| Upload and Link Documents             | Submit Reports      | Request Extensions       | Completed Reports                 | User A     | dminist | ration <del>+</del> |                     |          |  |
|---------------------------------------|---------------------|--------------------------|-----------------------------------|------------|---------|---------------------|---------------------|----------|--|
| Completed Reports                     |                     |                          |                                   |            |         |                     |                     |          |  |
| The list below displays all associate | ed SNF ACFR reports | s that have been submitt | ed, reviewed by HCAI              | , and dete | rmined  | to be com           | nplete. 🕜           |          |  |
| HCAI ID Facility Name                 |                     | RPE Date                 | Completed Date Apply Filter Clear | ACFR       | IFS     | OS-R                | OS-U                | Comments |  |
| HCAI ID FACILITY NAME                 |                     | 05/31/2023               | 12/28/2023                        | 1          | 1       | 1                   | View Docs View Cert | ŧ        |  |

This page displays:

- Counts of each report's document types (or a green checkmark for documents confirmed not to be included).
- Links to download linked documents, certification forms, and NDR statements.
- Comment histories.



If you have any questions about how to use SIERA, you will find help information in the Help links found at the bottom of most pages. For inquiries related to reporting requirements or assistance with submitting, please contact us via email at <u>financial@hcai.ca.gov</u> or via phone at (916) 326-3240.