

**CALIFORNIA CODE OF REGULATIONS**  
**TITLE 22, DIVISION 7, CHAPTER 10 – HEALTH FACILITY DATA**  
**Effective February 24, 2010**

**Article 7. CABG Data Reporting Requirements**

**97170. Definitions, as used in this Article**

- (a) California CABG Outcomes Reporting Program (CCORP). California CABG Outcomes Reporting Program means the Office's program charged with collecting coronary artery bypass graft (CABG) surgery data and publishing reports on the risk-adjusted outcomes for the procedure.
- (b) Cardiac Online Reporting for California (CORC). CORC means the OSHPD Cardiac Online Reporting for California system that is the online transmission system through which reports are submitted using an Internet web browser either by file transfer or data entry. It is a secure means of electronic transmission of data in an automated environment.
- (c) Computer system date. Computer system date means the date that exists on the computer system used for data automation at the time of data entry.
- (d) Coronary artery bypass graft (CABG) surgery. CABG surgery means a procedure performed to bypass blockages or obstructions of the coronary arteries, and includes both isolated CABG surgeries and non-isolated CABG surgeries, as defined by Subsection (a)(2) of Section 97174.
- (e) Days. Days are defined as calendar days unless otherwise specified.
- (e) Designee. Designee means the person authorized by the Chief Executive Officer of the hospital to sign the CCORP Hospital Certification Form (OSH-CCORP 416 (New 10/02)).
- (f) Discharge. A discharge means a person who was formally admitted to a hospital as an inpatient for observation, diagnosis, or treatment, with the expectation of remaining overnight or longer, and who is released from the hospital under one of the following circumstances:
  - (1) is formally released from the care of the hospital and leaves the hospital,
  - (2) transfers within the hospital from one type of care to another type of care, as defined in Section 97212 of Title 22 of the California Code of Regulations, or
  - (3) has died.
- (g) Facility identification number. Facility identification number means a unique six-digit number assigned to each hospital by CCORP -.

- (h) Licensee. Licensee means an entity that has been issued a license to operate a hospital, as defined in the Health and Safety Code Section 128700.
- (i) Record. Record means the set of data elements required to be reported for each CABG surgery, as set forth in Section 97174.
- (j) Report. Report means the collection of all required records filed by a hospital for a reporting period, pursuant to Section 97172.
- (k) Responsible surgeon. Responsible surgeon means the principle surgeon who performs a coronary artery bypass procedure. If a trainee performs this procedure, then the responsible surgeon is the physician responsible for supervising this procedure performed by the trainee. In situations in which a responsible surgeon cannot otherwise be determined, the responsible surgeon is the surgeon who bills for the coronary artery bypass procedure.
- (l) User Account Administrator. A hospital representative responsible for maintaining the hospital's CORC user accounts and user account contact information.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97172. Required reporting**

- (a) A hospital where coronary artery bypass graft (CABG) surgery is performed shall file a report semiannually with the Office. This Section shall not apply to a hospital where all CABG surgeries performed are on patients under 18 years of age on the date of surgery.
- (b) A report shall contain a record for each CABG surgery patient 18 years or older on the date of surgery who was discharged from the hospital during the reporting period, pursuant to Section 97176.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97174. Required data elements**

- (a) For patients discharged on or after January 01, 2008, a hospital shall submit the following data elements for each CABG surgery according to the format, valid value, category and definitions/descriptions listed herein. For all data elements categorized as complications, report only if the complication occurred during the hospitalization for CABG surgery.

- (1) Medical Record Number:

- (A) Format: Text, length 12 (alphanumeric)
  - (B) Valid Values: Free text
  - (C) Category: Demographics
  - (D) Definition/Description: Indicate the patient medical record number at the hospital where surgery occurred.
- (2) Isolated CABG:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = Yes; 2 = No
  - (C) Category: CCORP
  - (D) Definition/Description: Answer 'No' if any of the procedures listed in Subsection (a)(2)(D)(i) was performed during coronary artery bypass graft surgery.
    - (i) When any of the procedures listed in this Subsection is performed concurrently with the coronary artery bypass surgery, the surgery will be considered non-isolated and the data element coded 'No.' It is not possible to list all procedures because cases can be complex and clinical definitions are not always precise. When in doubt, the data abstractor should first seek an opinion from the responsible surgeon and then consult CCORP.
      - (a) Valve repairs or replacements
      - (b) Operations on structures adjacent to heart valves (papillary muscle, chordae tendineae, traebeculae carnae cordis, annuloplasty, infundibulectomy)
      - (c) Ventriculectomy when diagnosed preoperatively as a rupture, aneurysm or remodeling procedure. Excludes 1) sites intra-operatively diagnosed, 2) patch applications for site oozing discovered during surgery and 3) prophylactic patch applications to reduce chances of future rupture
      - (d) Repair of atrial and ventricular septa, excluding closure of patent foramen ovale
      - (e) Excision of aneurysm of heart
      - (f) Head and neck, intracranial endarterectomy

- (g) Other open heart surgeries, such as aortic arch repair, pulmonary endarterectomy
  - (h) Endarterectomy of aorta
  - (i) Thoracic endarterectomy (endarterectomy on an artery outside the heart)
  - (j) Heart transplantation
  - (k) Repair of certain congenital cardiac anomalies, excluding closure of patent foramen ovale (e.g., tetralogy of fallot, atrial septal defect (ASD), ventricular septal defect (VSD), valvular abnormality)
  - (l) Implantation of cardiomyostimulation system (Note: Refers to cardiomyoplasty systems only; not other heart-assist systems such as pacemakers or internal cardiac defibrillators)
  - (m) Any aortic aneurysm repair (abdominal or thoracic)
  - (n) Aorta-subclavian-carotid bypass
  - (o) Aorta-renal bypass
  - (p) Aorta-iliac-femoral bypass
  - (q) Caval-pulmonary artery anastomosis
  - (r) Extracranial-intracranial (EC-IC) vascular bypass
  - (s) Coronary artery fistula
  - (t) Resection of a lobe or segment of the lung (e.g., lobectomy or segmental resection of lung). Does not include simple biopsy of lung nodule in which surrounding lung is not resected, biopsy of a thoracic lymph node, or excision or stapling of an emphysematous bleb.
  - (u) Mastectomy for breast cancer (not simple breast biopsy)
  - (v) Amputation of any part of an extremity (e.g., foot or toe)
- (ii) If a procedure listed in this subsection is performed concurrently with the coronary artery bypass surgery, the surgery will be considered an isolated CABG and the data element coded 'Yes,'

unless a procedure listed in Subsection (a)(2)(D)(i) is performed during the same surgery. These particular procedures are listed because the Office has received frequent questions regarding their coding.

- (a) Transmyocardial laser revascularization (TMR)
- (b) Pericardiectomy and excision of lesions of heart
- (c) Repair/restoration of the heart or pericardium
- (d) Coronary endarterectomy
- (e) Pacemakers
- (f) Internal cardiac defibrillators (ICDs)
- (g) Fem-fem cardiopulmonary bypass (a form of cardiopulmonary bypass that should not be confused with aortofemoral bypass surgery listed in Subsection (a)(2)(D)(i))
- (h) Thymectomy
- (i) Thyroidectomy
- (j) All Maze procedures.

(3) Date of Surgery:

- (A) Format: Date, length 8 (numeric)
- (B) Valid Values: mm/dd/yyyy
- (C) Category: Hospitalization
- (D) Definition/Description: Indicate the date of surgery (the date the patient enters the operating room)

(4) Date of Birth:

- (A) Format: Date, length 8 (numeric)
- (B) Valid Values: mm/dd/yyyy
- (C) Category: Demographics

- (D) Definition/Description: Indicate the patient's date of birth using 4-digit format for year.
- (5) Patient Age:
- (A) Format: Numeric, length 3
  - (B) Valid Values: 18 - 100
  - (C) Category: Demographics
  - (D) Definition/Description: Indicate patient's age in years, at time of surgery. This should be calculated from the Date of Birth and the Date of Surgery, according to convention used in the USA (the number of birth date anniversaries reached by the date of surgery).
- (6) Sex:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = Male; 2 = Female
  - (C) Category: Demographics
  - (D) Definition/Description: Indicate patient's sex at birth as either male or female.
- (7) Race - White:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = Yes; 2 = No
  - (C) Category: Demographics
  - (D) Definition/Description: Indicate whether the patient's race, as determined by the patient or family, includes White. This includes a person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
- (8) Race – Black/African American:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = Yes; 2 = No
  - (C) Category: Demographics

(D) Definition/Description: Indicate whether the patient's race, as determined by the patient or family, includes Black/African American. This includes a person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or "Negro" can be used in addition to "Black or African American".

(9) Race – Asian:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Demographics

(D) Definition/Description: Indicate whether the patient's race, as determined by the patient or family, includes Asian. This includes a person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.

(10) Race – American Indian/Alaskan Native:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Demographics

(D) Definition/Description: Indicate whether the patient's race, as determined by the patient or family, includes American Indian/Alaskan Native. This includes a person having origins in any of the original peoples of North and South American (including Central America), and who maintains tribal affiliation or community attachment.

(11) Race – Native Hawaiian/Pacific Islander:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Demographics

(D) Definition/Description: Indicate whether the patient's race, as determined by the patient or family, includes Native Hawaiian/Pacific

Islander. This includes a person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

(12) Race – Other:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Demographics

(D) Definition/Description: Indicate whether the patient's race, as determined by the patient or family, includes any other race.

(13) Hispanic or Latino Ethnicity:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Demographics

(D) Definition/Description: Indicate if the patient is of Hispanic or Latino ethnicity as determined by the patient/family. Hispanic or Latino ethnicity includes patient report of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

(14) Date of Discharge:

(A) Format: Date, length 8 (numeric)

(B) Valid Values: mm/dd/yyyy

(C) Category: Hospitalization

(D) Definition/Description: Indicate the date the patient was discharged from the hospital. If the patient died in the hospital, the discharge date is the date of death.

(15) Discharge Status:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Alive; 2 = Dead

(C) Category: Mortality

(D) Definition/Description: Indicate whether the patient was alive or dead at discharge from the hospitalization in which surgery occurred.

(16) Date of Death:

(A) Format: Date, length 8 (numeric)

(B) Valid Values: mm/dd/yyyy

(C) Category: Mortality

(D) Definition/Description: Indicate the date the patient was declared dead.

(17) Responsible Surgeon Name (3 separate fields):

(A) Format: Surgeon Last Name text length 25 (alpha)  
Surgeon First Name text length 20 (alpha)  
Surgeon Middle Initial text length 1(alpha)

(B) Valid Values: Free Text.

(C) Category: CCORP

(D) Definition/Description: The responsible surgeon is the surgeon as defined in Section 97170 (k).

(18) Responsible Surgeon California License Number:

(A) Format: Text length 8 (alphanumeric)

(B) Valid Values: Free text

(C) Category: CCORP

(D) Definition/Description: California physician license number of responsible surgeon, assigned by the Medical Board of California of the Department of Consumer Affairs.

(19) Height (cm):

(A) Format: Numeric, length 4

(B) Valid Values: 20.0 – 251.0 cm

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate the height of the patient in centimeters.

(20) Weight (kg):

(A) Format: Numeric, length 4

(B) Valid Values: 10.0 – 250.0 kg

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate the weight of the patient in kilograms (closest to the date of surgery).

(21) Diabetes:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate whether the patient has a history of diabetes, regardless of duration of disease or need for anti-diabetic agents. Includes on admission or preoperative diagnosis. Does not include gestational diabetes.

(22) Hypertension:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate whether the patient has a diagnosis of hypertension, documented by one of the following:

- (i) Documented history of hypertension diagnosed and treated with, medication, diet and/or exercise
- (ii) Prior documentation of blood pressure >140 mmHg systolic or 90 mmHg diastolic for patients without diabetes or chronic kidney disease, or prior documentation of blood pressure >130 mmHg systolic or 80 mmHg diastolic on at least 2 occasions for patients with diabetes or chronic kidney disease
- (iii) Currently on pharmacologic therapy to control hypertension

(23) Infectious Endocarditis:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient has a history of infectious endocarditis documented by one of the following:
  - (i) positive blood cultures
  - (ii) vegetation on echocardiography and/or other diagnostic modality
  - (iii) documented history of infectious endocarditis

(24) Peripheral Arterial Disease:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient has a history of peripheral arterial disease (includes upper and lower extremity, renal, mesenteric, and abdominal aortic systems). This can include: 1) claudication, either with exertion or at rest, 2) amputation for arterial vascular insufficiency, 3) vascular reconstruction, bypass surgery, or percutaneous intervention to the extremities (excluding dialysis fistulas and vein stripping), 4) documented aortic aneurysm with or without repair, 5) positive noninvasive test (e.g., ankle brachial index  $\leq 0.9$ , ultrasound, magnetic resonance or computed tomography imaging of  $>50\%$  diameter stenosis in any peripheral artery, i.e. renal, subclavian, femoral, iliac). Peripheral arterial disease excludes disease in the carotid or cerebrovascular arteries.

(25) Cerebrovascular Disease:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors

- (D) Definition/Description: Indicate whether the patient has Cerebrovascular Disease (CVD), documented by any one of the following: Cerebrovascular Accident (CVA) (symptoms >24 hours after onset, presumed to be from vascular etiology); Transient Ischemic Attack (TIA) (recovery within 24 hours); non-invasive carotid test with >79% diameter occlusion; or prior carotid surgery. Does not include neurological disease processes such as metabolic and/or anoxic ischemic encephalopathy.
- (26) CVD Type – Unresponsive Coma:
- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient has a history of Unresponsive Coma greater than 24 hours: patient experienced complete mental unresponsiveness and no evidence of psychological or physiologically appropriate responses to stimulation.
- (27) CVD Type - TIA:
- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient has a history of a Transient Ischemic Attack (TIA): patient has a history of loss of neurological function that was abrupt in onset but with complete return of function within 24 hours.
- (28) CVD Type – Non Invasive >79%
- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient has a history of Non-invasive/invasive carotid test with greater than 79% occlusion.
- (29) CVD Type – Prior Carotid Surgery:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate whether the patient has a history of previous carotid artery surgery and/or stenting.

(30) Cerebrovascular Accident:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate whether the patient has a history of stroke (i.e. any confirmed neurological deficit of abrupt onset caused by a disturbance in cerebral blood supply) that did not resolve within 24 hours.

(31) Cerebrovascular Accident Timing:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Recent ( $\leq 2$  wk.); 2 = Remote ( $> 2$  wk.)

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate when the (most recent) event occurred. Events occurring within two weeks of the surgical procedure are considered recent ( $\leq 2$  weeks); all others are considered remote ( $> 2$  weeks).

(i) Recent ( $\leq 2$  weeks)

(ii) Remote ( $> 2$  weeks)

(32) Chronic Lung Disease:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = No; 2 = Mild; 3 = Moderate; 4 = Severe

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate whether the patient has chronic lung disease by use of the following severity level classifications:

- (i) No: No chronic lung disease present.
- (ii) Mild: Forced expiratory volume in one second (FEV1) 60% to 75% of predicted, and/or on chronic inhaled or oral bronchodilator therapy.
- (iii) Moderate: FEV1 50%-59% of predicted, and/or on chronic steroid therapy aimed at lung disease.
- (iv) Severe: FEV1 <50% predicted, and/or room air partial pressure of oxygen (pO<sub>2</sub>) < 60 or room air partial pressure of carbon dioxide (pCO<sub>2</sub>) > 50.

(33) Immunosuppressive Treatment:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient has used any form of immunosuppressive therapy within 30 days preceding the operative procedure. This includes, but is not limited to inhaled or systemic steroid therapy and chemotherapy. This does not include topical applications, one time systemic therapy, or preoperative protocol.

(34) Dialysis:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Risk Factors
- (D) Definition/Description: Indicate whether the patient is currently undergoing dialysis.

(35) Last Creatinine Level Preop (mg/dl):

- (A) Format: Numeric, length 3
- (B) Valid Values: 0.1 – 30.0

(C) Category: Preoperative Risk Factors

(D) Definition/Description: Indicate the creatinine level recorded closest to the date and time prior to surgery. A creatinine level should be collected on all patients for consistency, even if they have no prior history. A creatinine value is a high predictor of a patient's outcome and is used in the predicted risk models.

(36) Previous CABG

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Previous Cardiovascular Interventions

(D) Definition/Description: Indicate whether the patient had a previous Coronary Bypass Graft prior to the current admission.

(37) Previous Valve

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Previous Cardiovascular Interventions

(D) Definition/Description: Indicate whether the patient had a previous surgical replacement and/or surgical repair of a cardiac valve. This may also include percutaneous valve procedures.

(38) Prior Percutaneous Coronary Intervention (PCI):

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Previous Cardiovascular Interventions

(D) Definition/Description: Indicate whether a previous Percutaneous Cardiac Intervention (PCI) was performed any time prior to this surgical procedure. PCI refers to those treatment procedures that unblock narrowed coronary arteries without performing surgery. PCI may include, but is not limited to:

- (i) Balloon Catheter Angioplasty, Percutaneous Transluminal Coronary Angioplasty (PTCA)
- (ii) Rotational Atherectomy
- (iii) Directional Atherectomy
- (iv) Extraction Atherectomy
- (v) Laser Atherectomy
- (vi) Intracoronary Stent Placement

(39) PCI Interval:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = <= 6 Hours; 2 = > 6 Hours
- (C) Category: Previous Cardiovascular Interventions
- (D) Definition/Description: Indicate the interval of time between the previous PCI and the current surgical procedure:
  - (i) <= 6 Hours
  - (ii) > 6 Hours

(40) Previous Myocardial Infarction:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Preoperative Cardiac Status
- (D) Definition/Description: Indicate if the patient has had at least one documented previous myocardial infarction at any time prior to this surgery. An acute myocardial infarction is evidenced by any of the following:
  - (i) A rise and fall of cardiac biomarkers (preferably troponin) with at least one of the values in the abnormal range for that laboratory [typically above the 99th percentile of the upper reference limit (URL) for normal subjects] together with at least one of the following manifestations of myocardial ischemia:

- (a) Ischemic symptoms;
  - (b) ECG changes indicative of new ischemia (new ST-T changes, new left bundle branch block, or loss of R wave voltage),
  - (c) Development of pathological Q waves in 2 or more contiguous leads in the ECG (or equivalent findings for true posterior MI);
  - (d) Imaging evidence of new loss of viable myocardium or new regional wall motion abnormality;
  - (e) Documentation in the medical record of the diagnosis of acute myocardial infarction based on the cardiac biomarker pattern in the absence of any items enumerated in (a)-(d) due to conditions that may mask their appearance (e.g., peri-operative infarct when the patient cannot report ischemic symptoms; baseline left bundle branch block or ventricular pacing)
- (ii) Development of new pathological Q waves in 2 or more contiguous leads in the ECG, with or without symptoms.
  - (iii) Imaging evidence of a region with new loss of viable myocardium at rest in the absence of a non-ischemic cause. This can be manifest as:
    - a Echocardiographic, CT, MR, ventriculographic or nuclear imaging evidence of left ventricular thinning or scarring and failure to contract appropriately (i.e., hypokinesis, akinesis, or dyskinesis)
    - b Fixed (non-reversible) perfusion defects on nuclear radioisotope imaging (e.g., MIBI, thallium)
  - (iv) Medical records documentation of prior myocardial infarction.
- (41) Myocardial Infarction Timing:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 =  $\leq 6$  Hrs; 2 =  $> 6$  Hrs but  $< 24$  Hrs; 3 = 1 to 7 Days; 4 = 8 to 21 Days; 5 =  $> 21$  Days.
  - (C) Category: Preoperative Cardiac Status
  - (D) Definition/Description: Indicate the time period between the last documented myocardial infarction and the surgery (hours (Hrs) and days).
- (42) Heart Failure:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether, within 2 weeks prior to the initial surgical procedure, a physician has diagnosed that the patient is currently in heart failure (HF). HF can be diagnosed based on careful history and physical exam, or by one of the following criteria:

- (i) Paroxysmal nocturnal dyspnea (PND);
- (ii) Dyspnea on exertion (DOE) due to heart failure;
- (iii) Chest X-ray (CXR) showing pulmonary congestion;
- (iv) Pedal edema or dyspnea, and receiving diuretics;
- (v) Pulmonary edema.

(43) NYHA Classification:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Class I; 2 = Class II; 3 = Class III; 4 = Class IV

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate the patient's highest New York Heart Association (NYHA) classification within 2 weeks prior to surgery. NYHA classification represents the overall functional status of the patient in relationship to both heart failure and angina. Choose one of the following:

- (i) Class I: Patient has cardiac disease but without resulting limitations of ordinary physical activity. Ordinary physical activity (e.g., walking several blocks or climbing stairs) does not cause undue fatigue, palpitation, dyspnea, or anginal pain. Limiting symptoms may occur with marked exertion.
- (ii) Class II: Patient has cardiac disease resulting in slight limitation of ordinary physical activity. Patient is comfortable at rest. Ordinary physical activity such as walking more than two blocks or climbing more than one flight of stairs results in limiting symptoms (e.g., fatigue, palpitation, dyspnea, or anginal pain).

(iii) Class III: Patient has cardiac disease resulting in marked limitation of physical activity. Patient is comfortable at rest. Less than ordinary physical activity (e.g., walking one to two level blocks or climbing one flight of stairs) causes fatigue, palpitation, dyspnea, or anginal pain.

(iv) Class IV: Patient has dyspnea at rest that increases with any physical activity. Patient has cardiac disease resulting in inability to perform any physical activity without discomfort. Symptoms may be present even at rest. If any physical activity is undertaken, discomfort is increased

(44) STS Cardiogenic Shock:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether the patient was, at the time of procedure, in a clinical state of hypoperfusion sustained for greater than 30 minutes, according to either of the following Society of Thoracic Surgeons (STS) criteria:

(i) Systolic Blood Pressure (BP) < 80 and/or Cardiac Index (CI) < 1.8 despite maximal treatment;

(ii) Intravenous inotropes and/or Intra-Aortic Balloon Pump (IABP) necessary to maintain Systolic BP > 80 and/or CI > 1.8.

(45) Resuscitation

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether the patient required cardiopulmonary resuscitation within one hour before the start of the operative procedure.

(46) Arrhythmia:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether there is a history of preoperative arrhythmia (sustained ventricular tachycardia, ventricular fibrillation, atrial fibrillation, atrial flutter, third degree heart block) that has been treated with any of the following treatment modalities:

(i) Ablation therapy

(ii) Automatic Implanted Cardioverter Defibrillator (AICD)

(iii) Pacemaker

(iv) Pharmacological treatment

(v) Electrocadioversion

(47) Arrhythmia Type – Vtach/Vfib:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether sustained ventricular tachycardia or fibrillation is present within two weeks of the procedure.

(48) Arrhythmia Type – Third Degree Heart Block:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether third degree heart block is present within two weeks of the procedure.

(49) Arrhythmia Type – Afib/Aflutter:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Preoperative Cardiac Status

(D) Definition/Description: Indicate whether atrial fibrillation is present within two weeks of the procedure.

(50) Number of Diseased Coronary Vessels:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = None; 2 = One; 3 = Two; 4 = Three

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate the number of diseased major native coronary vessel systems: Left anterior descending (LAD) system, Circumflex system, and/or Right system with  $\geq 50\%$  narrowing of any vessel preoperatively.

(51) Left Main Disease (% Stenosis):

(A) Format: Numeric, length 3

(B) Valid Values: 0 – 100

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate the percentage of compromise of vessel diameter in any preoperative angiographic view.

(52) Ejection Fraction Done:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate whether the Ejection Fraction was measured prior to the induction of anesthesia.

(53) Ejection Fraction (%):

(A) Format: Numeric, length 3

(B) Valid Values: 1.0 – 99.0

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate the percentage of the blood emptied from the ventricle at the end of the contraction. Use the most recent determination prior to the surgical intervention documented on a diagnostic report.

(54) Ejection Fraction Method:

(A) Format: Numeric, length 1

(B) Valid Values: 2 = LV Gram; 3 = Radionucleotide; 4 = Estimate; 5 = ECHO; 6 = MRI/CT; 9 = Other

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate how the ejection fraction measurement information was obtained preoperatively:

(i) LV Gram: Left Ventriculogram

(ii) Radionucleotide: MUGA Scan

(iii) Estimate: From other calculations, based upon available clinical data.

(iv) ECHO: Echocardiogram

(v) MRI/CT

(vi) Other

(55) Mean PA Pressure Done:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate whether the mean pulmonary artery (PA) pressure in mmHg, was recorded from catheterization data or Swan-Ganz catheter BEFORE the induction of anesthesia.

(56) PA Mean (mm Hg):

(A) Format: Numeric, length 3

(B) Valid Values: 1.0 – 99.0

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate the mean pulmonary artery pressure (PA) in mmHg, recorded from catheterization data or Swan-Ganz catheter BEFORE the induction of anesthesia.

(57) Mitral Insufficiency:

(A) Format: Numeric, length 1

(B) Valid Values: 0 = None; 1 = Trivial; 2 = Mild; 3 = Moderate; 4 = Severe; 5 = N/A

(C) Category: Hemodynamics and Heart Catheterization

(D) Definition/Description: Indicate whether there is evidence of mitral valve regurgitation. Enter level of valve function associated with highest risk (i.e. worst performance). Enter highest level recorded in the chart preoperatively. If data not available or study suboptimal, enter N/A.

(58) Incidence:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = First cardiovascular surgery; 2 = First re-op cardiovascular surgery; 3 = Second re-op cardiovascular surgery; 4 = Third re-op cardiovascular surgery; 5 = Fourth or more re-op cardiovascular surgery

(C) Category: Operative

(D) Definition/Description: Indicate if this is the patient's:

(i) First cardiovascular surgery

(ii) First re-op cardiovascular surgery

(iii) Second re-op cardiovascular surgery

(iv) Third re-op cardiovascular surgery

(v) Fourth or more re-op cardiovascular surgery

(59) Status of the Procedure:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Elective; 2 = Urgent; 3 = Emergent; 4 = Emergent Salvage;

(C) Category: Operative

(D) Definition/Description: Indicate the clinical status of the patient prior to entering the operating room:

- (i) Elective: The patient's cardiac function has been stable in the days or weeks prior to the operation. The procedure could be deferred without increased risk of compromised cardiac outcome.
- (ii) Urgent: Procedure required during same hospitalization in order to minimize chance of further clinical deterioration. Examples include but are not limited to: Worsening, sudden chest pain, congestive heart failure (CHF), acute myocardial infarction (AMI), anatomy, IABP, unstable angina (USA) with intravenous (IV) nitroglycerin (NTG) or rest angina.
- (iii) Emergent: Patients requiring emergency operations will have ongoing, refractory (difficult, complicated, and/or unmanageable) unremitting cardiac compromise, with or without hemodynamic instability, and not responsive to any form of therapy except cardiac surgery. An emergency operation is one in which there should be no delay in providing operative intervention. The patient's clinical status includes any of the following:
  - (a) Ischemic dysfunction (any of the following):
    - (1) Ongoing ischemia including rest angina despite maximal medical therapy (medical and/or IABP));
    - (2) Acute Evolving Myocardial Infarction within 24 hours before surgery; or
    - (3) pulmonary edema requiring intubation.
  - (b) Mechanical dysfunction (either of the following):
    - (1) shock with circulatory support;

(2) shock without circulatory support.

(iv) Emergent Salvage: The patient is undergoing CPR en route to the OR or prior to anesthesia induction.

(60) Emergent Reason:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Shock Circ Support; 2 = Shock No Circ Support; 3 = Pulmonary Edema; 4 = AEMI; 5 = Ongoing Ischemia; 6 = Valve Dysfunction; 7 = Aortic Dissection; 8 = Angiographic Accident; 9 = Cardiac Trauma

(C) Category: Operative

(D) Definition/Description: Patients requiring emergency operations will have ongoing, refractory (difficult, complicated, and/or unmanageable), unrelenting cardiac compromise, with or without hemodynamic instability, and not responsive to any form of therapy except cardiac surgery. An emergency operation is one in which there should be no delay in providing operative intervention. Indicate which one of the following applies as the reason why the patient had Emergent Status? (Select one valid value):

(i) Shock with circulatory support

(ii) Shock without circulatory support

(iii) Pulmonary edema requiring intubation

(iv) Acute Evolving Myocardial Infarction (AEMI) within 24 hours before surgery

(v) Ongoing ischemia including rest angina despite maximal medical therapy (medical and/or intra-aortic balloon pump (IABP))

(vi) Valve Dysfunction - Acute Native or Prosthetic

(vii) Aortic Dissection

(viii) Angiographic Accident

(ix) Cardiac Trauma

(61) CPB Utilization:

- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = None; 2 = Combination; 3 = Full
  - (C) Category: Operative
  - (D) Definition/Description: Indicate the level of cardiopulmonary bypass (CPB) or coronary perfusion used during the procedure.
    - (i) None: no CPB or coronary perfusion used during the procedure
    - (ii) Combination: Either (a), (b), or (c) has to occur:
      - (a) At start of procedure: No CPB/No coronary perfusion; followed by CPB
      - (b) At start of procedure: No CPB/No coronary perfusion; followed by coronary perfusion
      - (c) At start of procedure: No CPB/No coronary perfusion; followed by coronary perfusion; then convert to CPB
    - (iii) Full: CPB or coronary perfusion was used for the entire procedure.
- (62) CPB Utilization-Combination:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = Planned; 2 = Unplanned
  - (C) Category: Operative
  - (D) Definition/Description: Indicate whether the combination procedure from off-pump to on-pump was a planned or an unplanned conversion.
    - (i) Planned: The surgeon intended to treat with any of the combination options described in "CPB utilization"
    - (ii) Unplanned: The surgeon did not intend to treat with any of the combination options described in "CPB utilization".
- (63) Cardioplegia:
- (A) Format: Numeric, length 1
  - (B) Valid Values: 1 = Yes; 2 = No

(C) Category: Operative

(D) Definition/Description: Indicate whether Cardioplegia was used.

(64) Internal Mammary Artery(ies) Used as Grafts:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Left IMA; 2 = Right IMA; 3 = Both IMAs; 4 = No IMA

(C) Category: Coronary Bypass

(D) Definition/Description: Indicate which, if any, Internal Mammary Artery(ies) (IMA) was/were used for grafts:

(i) Left IMA

(ii) Right IMA

(iii) Both IMAs

(iv) No IMA

(65) Radial Artery Used:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = No Radial; 2 = Left Radial; 3 = Right Radial; 4 = Both Radials

(C) Category: Coronary Bypass

(D) Definition/Description: Indicate which, if any, radial artery(ies) was/were used for grafts:

(i) No Radial artery

(ii) Left Radial artery

(iii) Right Radial artery

(iv) Other Radial arteries

(66) Left Anterior Descending Artery Bypassed:

(A) Format: Numeric

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Coronary Bypass

(D) Definition/Description: Indicate whether any part of the Left Anterior Descending artery (Proximal; Mid; Distal; Diagonal) was bypassed for this surgical intervention.

(67) Valve Procedure:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Operative

(D) Definition/Description: Indicate whether a surgical procedure was done on the Aortic, Mitral, Tricuspid or Pulmonic valves.

(68) Aortic Valve Procedure:

(A) Format: Numeric, length 2

(B) Valid Values: 1 = No; 2 = Replacement; 3 = Repair/Reconstruction; 4 = Root Reconstruction with Valve Conduit; 5 = Root Reconstruction with Valve Sparing; 6 = (no longer a valid value) 7 = Resection Sub-Aortic Stenosis; 8 = Replacement + Aortic Graft Conduit (not valve conduit); 9 = Resuspension Aortic Valve with Replacement of Ascending aorta; 10 = Resuspension Aortic Valve without Replacement of Ascending aorta.

(C) Category: Valve Surgery

(D) Definition/Description: Indicate whether a surgical procedure was done or not done on the Aortic Valve. Select one of the following valid values:

(i) 1 = No

(ii) 2 = Replacement

(iii) 3 = Repair/Reconstruction

(iv) 4 = Root Reconstruction with Valve Conduit

(v) 5 = Root Reconstruction with Valve Sparing

(vi) 6 = (no longer a valid value)

(vii) 7 = Resection Sub-Aortic Stenosis

(viii) 8 = Replacement + Aortic Graft Conduit (not valve conduit)

(ix) 9 = Resuspension Aortic Valve with Replacement of Ascending aorta

(x) 10 = Resuspension Aortic Valve without Replacement of Ascending aorta

(69) Mitral Valve Procedure:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = No; 2 = Annuloplasty Only; 3 = Replacement; 4 = Reconstruction with Annuloplasty; 5 = Reconstruction without Annuloplasty

(C) Category: Valve Surgery

(D) Definition/Description: Indicate whether a surgical procedure was done or not done on the Mitral Valve. Select one of the following valid values:

(i) No

(ii) Annuloplasty only

(iii) Replacement

(iv) Reconstruction with Annuloplasty

(v) Reconstruction without Annuloplasty

(70) Tricuspid Valve Procedure:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = No; 2 = Annuloplasty Only; 3 = Replacement; 4 = Reconstruction with Annuloplasty; 5 = Reconstruction without Annuloplasty; 6 = Valvectomy

(C) Category: Valve Surgery

(D) Definition/Description: Indicate whether a surgical procedure was done or not done on the Tricuspid Valve. Select one of the following valid values:

- (i) No
- (ii) Annuloplasty Only
- (iii) Replacement
- (iv) Reconstruction with Annuloplasty
- (v) Reconstruction without Annuloplasty
- (vi) Valvectomy

(71) Pulmonic Valve Procedure:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = No; 2 = Replacement; 3 = Reconstruction
- (C) Category: Valve Surgery
- (D) Definition/Description: Indicate whether a surgical procedure was done or not done on the Pulmonic Valve. Select one of the following valid values:
  - (i) No
  - (ii) Replacement

(iii) Reconstruction(72) Reoperation for Bleed/Tamponade:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Complications
- (D) Definition/Description: Indicate whether the patient returned to the operating room for mediastinal bleeding/tamponade.

(73) Reoperation for Graft Occlusion:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient returned to the operating room for coronary graft occlusion due to acute closure, thrombosis, technical or embolic origin.

(74) Deep Sternal Wound Infection

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient, within 30 days postoperatively, had a deep sternal infection involving muscle, bone, and/or mediastinum **REQUIRING OPERATIVE INTERVENTION**. Must have ALL of the following conditions:

(i) Wound was opened with excision of tissue (I&D) or re-exploration of mediastinum

(ii) Positive culture

(iii) Treatment with antibiotics

(75) Postoperative Stroke:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient had a postoperative stroke (i.e., any confirmed neurological deficit of abrupt onset caused by a disturbance in cerebral blood supply) that did not resolve within 24 hours.

(76) Continuous Coma  $\geq$ 24 hours:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient had a new postoperative coma that persisted for at least 24 hours secondary to anoxic/ischemic and/or metabolic encephalopathy, thromboembolic event or cerebral bleed.

(77) Prolonged Ventilation:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient had prolonged pulmonary ventilator > 24 hours. Include (but not limited to) causes such as Acute Respiratory Distress Syndrome, pulmonary edema, and/or any patient requiring mechanical ventilation > 24 hours postoperatively.

(78) Postoperative Renal Failure:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient had acute or worsening renal failure resulting in one or more of the following:

(i) Increase of serum creatinine to > 2.0 and 2x most recent preoperative creatinine level.

(ii) A new requirement of dialysis postoperatively.

(79) Postoperative Dialysis:

(A) Format: Numeric, length 1

(B) Valid Values: 1 = Yes; 2 = No

(C) Category: Complications

(D) Definition/Description: Indicate whether the patient had a new requirement for dialysis postoperatively, which may include hemodialysis, peritoneal dialysis, and any form of ultrafiltration.

(80) Postoperative Atrial Fibrillation:

- (A) Format: Numeric, length 1
- (B) Valid Values: 1 = Yes; 2 = No
- (C) Category: Complications
- (D) Definition/Description: Indicate whether the patient had a new onset of atrial fibrillation/flutter (AF) requiring treatment. Does not include recurrence of AF which had been present preoperatively.

(81) Facility Identification Number:

- (A) Format: Numeric, length 6
- (B) Valid Values: Free Text
- (C) Category: CCORP
- (D) Definition/Description: The six-digit facility identification number assigned by the Office, as defined in Section 97170.

(b) If a value for a data element, other than data elements specified in Subsection (b)(1), is unknown or not applicable, a hospital may submit the record without a value for that data element.

- (1) A valid value must be submitted for the following data elements: Facility Identification Number, Medical Record Number, Responsible Surgeon Name, Responsible Surgeon California License Number, Isolated CABG, Date of Surgery, Date of Discharge, Discharge Status, Sex, Status of the Procedure, Dialysis, Prior PCI, Reoperation for Bleed/Tamponade, Reoperation for Graft Occlusion, Deep Sternal Wound Infection, Postoperative Stroke, Continuous Coma  $\geq 24$  hours, Prolonged Ventilation, Postoperative Renal Failure, Postoperative Dialysis, and Postoperative Atrial Fibrillation.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97176. Reporting periods and due date**

- (a) During each calendar year there are two reporting periods. The first reporting period is January 1 through June 30; the second period is July 1 through December 31.

- (b) If there has been a change in the licensure of a hospital, the effective date of a change in licensee shall constitute the start of the reporting period for the new licensee, and this first reporting period shall end on June 30 or December 31, whichever occurs first. The final day of the reporting period for the previous licensee shall be the last day their licensure was effective.
- (c) A hospital shall file a report by the date the report is due. The due date is 90 days after the end of a reporting period. For 2009 only, the report for the first reporting period will not be due until the report for the second reporting period is due. The two reports will have the same due date but must be filed separately. Hospitals may file their reports for the first reporting period of 2009 earlier, based on system availability, but the reports will not be considered delinquent until after the due date.
- (d) When a report due date is a Saturday, Sunday, or a state observed holiday, a report shall be considered timely if filed on the next business day.
- (e) When a hospital has been granted an extension to submit a report, the ending date of the extension shall constitute the new due date for that report.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.10 Extensions to file report  
For discharges beginning January 1, 2009:**

- (a) Extensions for additional time are available to a hospital that is unable to file a report by the due date. The Office shall grant extensions no more than a cumulative total of 28 days per report.
- (b) Requests for extension shall be filed on or before the required due date of the report by using the extension request screen available through the CORC system to indicate the number of days requested or by submitting the Extension Request Form (OSH-CCORP 418 (Revised 06/09)) and hereby incorporated by reference.
- (c) If a hospital files a report before an extended due date, the days not used will be applied to the number of available extension days for the report.
- (d) The Office shall respond within 5 days of receipt of the extension request by either granting a hospital what is determined to be a reasonable extension or disapproving the request. Hospitals which are granted an extension shall be notified by the Office of the new due date for the report.
- (e) If a report is rejected on, or within 7 days before, or at any time after, any due date established by Subsections (c) or (d), of Section 97176, the Office shall

grant, if available, an extension of 7 days. If fewer than 7 days are available, all available extension days will be granted.

- (f) Notices regarding extension days and revised due dates will be e-mailed to the primary CCORP data contact person designated by the hospital. These notices will also be available to hospital CORC users on the CORC Data Status page.
- (g) If the Office determines that the CORC system was unavailable for data submission for one or more periods of 4 or more continuous supported hours during the 4 State working days before a due date established pursuant to Section 97176, the Office shall extend the due date by 7 days.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.15 Method of data transmission**

**For discharges beginning January 1, 2009:**

A hospital shall use the CORC system for transmitting reports, utilizing a Microsoft Internet Explorer web browser that supports a secure Internet connection utilizing the Secure Hypertext Transfer Protocol (HTTPS or https) and 128-bit cipher strength Secure Socket Layer (SSL) through either:

- (a) Online transmission of a report as an electronic data file, or
- (b) Online entry of individual records as a batch submission.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.20 CORC system training**

**For discharges beginning January 1, 2009:**

Hospitals shall ensure all CORC users have completed the Computer Based Training (CBT) for the CORC system provided on the OSHPD website prior to system use.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.25 Report format**

**For discharges beginning January 1, 2009:**

- (a) A hospital shall submit a report to the Office for discharges occurring on or after January 1, 2009 in compliance with the Office's Format and File Specifications for California Coronary Artery Bypass Graft (CABG) Outcomes

Reporting Program (CCORP) Version 4.0, dated July 20, 2009 and hereby incorporated by reference.

- (b) The Office's Format and File Specifications are available for download from the OSHPD website. The Office will make a hardcopy available to a hospital on request.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.30                    Data transmittal requirements**

**For discharges beginning January 1, 2009:**

Hospitals submitting a report shall include the following information to transmit each report: the hospital name, the facility identification number, the report period, the number of records in the report and the following statement of certification:

I certify under penalty of perjury that I am an official of this hospital and am duly authorized to transmit these data; and that, to the extent of my knowledge and information the accompanying records are true and correct, and that the applicable definitions of the data elements as set forth in Article 7, of Chapter 10 of Division 7 of Title 22 of the California Code of Regulations, have been followed by this hospital.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.35                    Report acceptance criteria**

**For discharges beginning January 1, 2009:**

The following requirements must be met for the Office to accept a report:

- (a) Complete transmittal information must be submitted with each report, as required by Section 97177.30.
- (b) The facility identification number in each of the records in the report must be consistent with the facility identification number stated in the transmittal information.
- (c) The patient discharge date in each of the records in the report is consistent with the report period.
- (d) The number of records stated in the transmittal information must be consistent with the number of records contained in the report.
- (e) All records required to be reported pursuant to 97172 must be reported.

(f) The data must be reported in compliance with the format and file specifications in Section 97177.25.

(g) All records must include valid values for the data elements specified in 97174(b)(1).

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.45                    Data testing**

**For discharges beginning January 1, 2009:**

Data entered through the CORC system for testing will not be accepted as a report.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.50                    Report acceptance or rejection**

**For discharges beginning January 1, 2009:**

(a) The Office shall accept or reject each report within 15 days of receipt. A report shall be considered not filed on the date that a hospital receives notice from the Office that a report has been rejected. Notification of acceptance or rejection of any report submitted online shall not take more than 15 days unless there is a documented CORC system failure.

(b) Notices regarding acceptance and rejection of a report will be emailed to the primary CCORP data contact person designated by the hospital. These notices will also be available to the hospital CORC users on the CORC Data Status page.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.55                    Report supplemental documents**

**For discharges beginning January 1, 2009:**

Hospitals shall provide documentation to support data element values as required by the office. Documentation shall be faxed to the Office.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.60                    Correction of data**

**For discharges beginning January 1, 2009:**

- (a) After OSHPD completes the initial processing of reports for each report period, hospitals will be allowed a 21 day period to make report revisions. Hospitals will be notified by email of the beginning and end dates of this period.
- (b) Hospitals shall use the CORC system for transmitting corrected reports. Each corrected report shall meet the acceptance criteria specified in section 97177.35.
- (c) If a hospital fails to provide a valid value, or provides no value, for a data element for which, pursuant to Section 97174(b)(1), a valid value is required, by the end of the 21-day period, the Office shall assign the data element in the record the lowest risk value as observed in the most current risk adjustment model. Hospitals shall provide documentation to support data element values as required by the office. Documentation shall be faxed to the Office.

Authority cited: Section 128810, Health and Safety Code.  
Reference: Section 128745, Health and Safety Code.

**97177.65                    Final correction**

**For discharges beginning January 1, 2009:**

- (a) After the 21 day data correction period and before the Office determines which hospitals are selected for audit, hospitals will be allowed a 30-day period to make final corrections. Hospitals will be notified by email of the beginning and end dates of this period.
- (b) Hospitals shall use the CORC system for transmitting corrected reports.
  - (1) Each corrected report shall meet the acceptance criteria specified in section 97177.35.
  - (2) If a hospital fails to provide a valid value or provides no value, for a data element for which, pursuant to Section 97174(b)(1), a valid value is required, by the end of the 30-day period, the Office shall assign the data element in the record the lowest risk value as observed in the most current risk adjustment model. Hospitals shall provide documentation to support data element values as required by the office. Documentation shall be faxed to the Office.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97177.67 Final report and surgeon certification**

**For discharges beginning January 1, 2009:**

- (a) Within the 30-day period specified in section 97177.65, each hospital shall complete correction of its report and notify CORC that its last accepted report is its final report. Once a report has been designated as final, no further changes may be made by the hospital.
- (b) Each surgeon identified as a responsible surgeon in a final hospital report shall attest to the accuracy of the data for his or her CABG surgeries in that report by completing a Surgeon Certification Form (OSH-CCORP 415 (Revised 06/09)) and hereby incorporated by reference.
  - (1) A hospital shall file with the Office, via fax, all completed and signed Surgeon Certification Forms (OSH-CCORP 415 (Revised 06/09)). These shall also be file within the 30-day period.
  - (2) The Surgeon Certification Form (OSH-CCORP 415 (Revised 06/09)) shall include the following information: the surgeon's name, the surgeon's California physician license number, the hospital name, the facility identification number, as defined in Section 97170, the reporting period's beginning and ending dates, the number of surgeon specific records in the report presented to them by the hospital. The statement portion of the certification is to be signed and dated by the surgeon prior to filing with the Office.
  - (3) The surgeon's name and physician license number specified on the Surgeon Certification Form (OSH-CCORP 415 (Revised 06/09)) shall be consistent with the surgeon's name and physician license number as provided in the submitted hospital records, and match the California Medical Board licensing information.
  - (4) If a surgeon does not sign a Surgeon Certification Form (OSH-CCORP 415 (Revised 06/09)), the hospitals shall submit an unsigned surgeon certification form that includes the information identified in subsection (2). The hospital shall include the reason the form was unsigned.
  - (5) A hospital may obtain copies of the Surgeon Certification Form (OSH-CCORP 415 (Revised 06/09)) from the CORC system or on the OSHPD website.
- (c) If a hospital does not designate a final report by the end of the 30-day period, the last accepted report for that hospital shall be considered the final report.

Authority cited: Section 128810, Health and Safety Code  
Reference: Section 128745, Health and Safety Code.

**97177.70 Hospital data contact person, User Account Administrator**

**For discharges beginning January 1, 2009:**

- (a) Each hospital at which CABG surgeries are performed shall designate a primary CCORP data contact person. A hospital shall notify CCORP of the designation in writing, by electronic mail or through the Cardiac Online Reporting for California (CORC) system within 30 days of the effective date of this regulation or within 30 days of beginning or resuming operation. A notification shall include the designated person's name, title, telephone number(s), mailing address, and electronic mail address.
- (b) A hospital shall notify CCORP in writing, by electronic mail or through the CORC system within 30 days after any change in the person designated as the primary CCORP data contact person, or in the title, telephone number(s), mailing address, or electronic mail address, of the individual.
- (c) Each hospital shall designate up to three User Account Administrators pursuant to Subsection (l) of Section 97170. For each User Account Administrator there must be an original signed CORC User Account Administrator Agreement Form (OSH-CCORP 757 (Rev: 04/30/09)) and hereby incorporated by reference, submitted to the Office. Each hospital shall notify CCORP in writing, by electronic mail or through the CORC system within 30 days after any change in a designated User Account Administrator's name, title, telephone number(s), mailing address, or electronic mail address.
- (d) Each hospital is responsible for submitting its own online data report to CCORP. The hospital shall be responsible for ensuring compliance with regulations and reporting requirements when a third party vendor assists a hospital with CCORP data.

Authority cited: Section 128810, Health and Safety Code.  
Reference: Section 128745, Health and Safety Code.

**97177.75 Failure to File a CABG Report**

**For discharges beginning January 1, 2009:**

- (a) A civil penalty of one hundred dollars (\$100) per day shall be assessed to a hospital that does not file an online report as required by this Article by the date it is due. No penalty shall be imposed during an extension period as provided in Section 97177.10.

- (b) Within 15 days after the date a report is due, unless an extension has been granted as specified in Section 97177.10, the Office shall notify a hospital that has not filed its online report of the penalties.
- (c) Assessed penalties may be appealed pursuant to Section 97052 of Title 22 of the California Code of Regulations.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745 and 128770, Health and Safety Code.

**97178. Extensions to File Report for discharges before 2009**

**For discharges beginning January 1, 2006 through December 31, 2008:**

- (a) Extensions are available to a hospital that is unable to file a report by the due date. The Office shall grant in extensions no more than a cumulative total of 30 days per report.
- (b) If a hospital files a report before the due date of an extension, the days not used will be applied to the number of remaining extension days for the report.
- (c) The Office shall grant to a hospital one automatic extension of 10 days for a report that has not been filed by a due date established pursuant to Section 97176 or Subsection (b) of Section 97186, to the extent that extension time is available.
- (d) In addition to the automatic extensions provided for in Subsection (c), a hospital may request extensions. A request for an extension shall be filed on or before the due date of a report and supported by a written justification that provides sufficient cause for the approval of the extension request. The Office may seek additional information from a requesting hospital. To provide the Office a basis to determine sufficient cause, a written justification shall include a factual statement indicating:
  - (1) the actions taken by the hospital to produce the report by the due date;
  - (2) those factors that prevent completion of the report by the due date; and
  - (3) the actions and the time (days) needed to accommodate those factors.
- (e) The Office shall respond in writing by either granting a hospital what is determined to be a reasonable extension or disapproving the request. If a hospital has been granted an extension, the Office shall notify the hospital of the new due date for the report.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97180. Method of data collection for discharges before 2009**

**For discharges beginning January 1, 2006 through December, 31 2008:**

- (a) A hospital shall use one of the following methods to collect the required data elements, as specified in Section 97174, for a report:
  - (1) The CCORP data collection tool for the report period,
  - (2) A National Society of Thoracic Surgeons (STS) approved software vendor tool developed for collection of CCORP data, or
  - (3) Another data collection system that generates an electronic report, which meets the data requirements in Section 97174 and the format specifications in Section 97182.
- (b) A hospital not using the CCORP data collection tool shall submit to the Office a test report before it files its first report using an alternate system if any of the following conditions are met:
  - (1) there is a change in the data requirements in Section 97174 or in the format specifications in Section 97182
  - (2) the data collection tool used by the hospital has been modified by the vendor or is different from the one used in the prior data collection period, or
  - (3) a hospital using an STS approved software changes to a different STS software program.
- (c) The test report should contain at least one record that meets the data requirements in Section 97174 and the format specifications in Section 97182. The hospital should provide the Office the test report 90 days prior to the due date for the hospital's next report. The Office will notify the hospital whether the submitted test report met the data requirements in Section 97174 and the format specifications in Section 97182.
- (d) The Office shall furnish each hospital, upon request and at no cost, a copy of the CCORP data collection tool.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97182. Report format for discharges before 2009**

**For discharges beginning January 1, 2006 through December 31, 2008:**

- (a) A hospital shall file a report to the Office on one of the following media:
  - (1) IBM PC-compatible diskette, or
  - (2) compact disk (CD).

(b) A hospital shall file a report in a comma-delimited ASCII file with the following format specifications:

- (1) Labels identifying each data element on the first data row, and
- (2) Data elements listed in the order set forth in Section 97174.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97184. Report acceptance criteria for discharges before 2009**

**For discharges beginning January 1, 2006 through December 31, 2008:**

The following requirements must be met for the Office to accept a report:

- (a) The Office is able to read the diskette or compact disk (CD) on which the report is submitted.
- (b) The diskette or CD contains data for only one hospital and one reporting period.
- (c) All required completed and signed CCORP Surgeon Certification Form(s) are included with the report, pursuant to Section 97188.
- (d) A completed and signed CCORP Hospital Certification Form is included with the report, pursuant to Section 97190.
- (e) The facility identification number on each of the records in the report is consistent with the facility identification number specified on the CCORP Hospital Certification Form.
- (f) The patient discharge date on each of the records in the report is consistent with the report period specified on the CCORP Hospital Certification Form.
- (g) The report contains data for the specified reporting period, and contains the number of records stated on the CCORP Hospital Certification Form.
- (h) Each record in the report contains data values for the data elements specified in Subsection (b)(1) of Section 97174.
- (i) The report complies with the format specifications set forth in Sections 97182.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97186. Report acceptance or rejection for discharges before 2009**

**For discharges beginning January 1, 2006 through December, 31 2008:**

- (a) The Office shall accept or reject each report within 60 days of receipt. A report shall be considered not filed on the date that a hospital receives notice from the Office that a report has been rejected.
- (b) When the Office rejects a report upon initial submission by a hospital, the Office shall provide a hospital 10 days to resubmit the report. The Office shall notify a hospital of the new due date for the report.
- (c) When the Office rejects a report a second or subsequent time, the Office may provide a hospital 5 days to resubmit the report. The Office shall notify a hospital of the new due date for the report.
- (d) For additional time to resubmit a report, a hospital also may request extensions, pursuant to Section 97178.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97188. Surgeon certification of data for discharges before 2009**

**For discharges beginning January 1, 2006 through December, 31 2008:**

- (a) Each surgeon identified as a responsible surgeon in a report shall attest to the accuracy of the reported data for his or her CABG surgeries using the CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)).
- (b) The CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)) shall include the following information: the surgeon's name, the surgeon's California physician license number, the hospital name, the facility identification number, as defined in Section 97170, the reporting period's beginning and ending dates, the number of records in the report, and the following Statement of Certification, to be signed by the surgeon:

I, (name of surgeon) , affirm that the cases assigned to me in this California CABG Outcomes Reporting Program report are accurate, and that I have reviewed these data for accuracy and completeness. I also understand that these data, after any corrections or revisions required by the Office of Statewide Health Planning and Development, will be used to compute my risk-adjusted mortality rate for coronary artery bypass graft surgery, and that the Office of Statewide Health Planning and Development will assign data elements with invalid or missing values the lowest risk value as observed in the most current risk-adjustment model for predicting mortality.

Name: .....  
Address: .....  
Telephone: .....  
Email: .....  
Signature: .....  
Dated: .....

- (c) The surgeon's name and physician license number specified on the CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)) shall be consistent with the surgeon's name and physician license number as provided in the submitted hospital records, and match the California Medical Board licensing information.
- (d) If a responsible surgeon does not complete and sign a CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)), a hospital shall provide the surgeon's name, physician license number, and number of cases reported for the surgeon as part of the CCORP Hospital Certification Form (OSH-CCORP 416 (Revised 05/05)), pursuant to Section 97190.
- (d) With a report, a hospital shall file with the Office all completed and signed CCORP Surgeon Certification Forms (OSH-CCORP 415 (Revised 05/05)).
- (e) A hospital may obtain copies of the CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)) on the Office's website or by contacting the Office.

Authority cited: Section 128810, Health and Safety Code.  
Reference: Section 128745, Health and Safety Code.

**97190. Hospital certification of data for discharges before 2009**

**For discharges beginning January 1, 2006 through December, 31 2008:**

- (a) With a report, a hospital shall file with the Office a completed CCORP Hospital Certification Form (OSH-CCORP 416 (Revised 05/05)), including the following information: the hospital name, the facility identification number, as defined in Section 97170, the reporting period's beginning and ending dates, the number of records in the report, the data collection tool used (CCORP, Society of Thoracic Surgeons (including name of vendor) or other), the number of signed and complete CCORP Surgeon Certification Forms (OSH-CCORP 415 (Revised 05/05)) included with the report, the number of responsible surgeons who did not sign and complete a CCORP Surgeon Certification Form for the report, and the Statement of Certification, to be signed by the hospital's Chief Executive Officer or designee, as defined in Subsection (e) of Section 97170.

- (b) If a responsible surgeon does not complete and sign a CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)) pursuant to Section 97188, a hospital shall provide the surgeon's name, physician license number, and number of cases reported for the surgeon on the CCORP Hospital Certification Form (OSH-CCORP 416 (Revised 05/05)), as part of the Statement of Certification. The surgeon's name and physician license number provided in the CCORP Hospital Certification Form (OSH-CCORP 416 (Revised 05/05)) shall be consistent with the surgeon's name and physician license number as submitted in the hospital report, and match the California Medical Board licensing information.
  
- (c) If all responsible surgeons complete and sign a CCORP Surgeon Certification Form (OSH-CCORP 415 (Revised 05/05)) pursuant to Section 97188, a hospital shall affirm that no surgeons failed to complete and sign a CCORP Surgeon Certification Form by writing 'none' on the CCORP Hospital Certification Form (OSH-CCORP 416 (Revised 05/05)), as part of the Statement of Certification.
  
- (d) The Statement of Certification, to be signed by the hospital's Chief Executive Officer (CEO) or designee shall state:

I, (name of CEO or designee), certify under penalty of perjury as follows: That I am an official of (name of hospital) and am duly authorized to submit this California CABG Outcomes Reporting Program report, and that, to the extent of my knowledge and information, the accompanying data are true and correct, and that the definitions of data elements as set forth in Section 97174 of Title 22 of the California Code of Regulations have been followed by this hospital.

I certify that the following surgeon(s), if any, did not complete a CCORP Surgeon Certification Form and that each was provided the data for the cases assigned to him or her in this California CABG Outcomes Reporting Program report and was given an opportunity to review the data for accuracy and completeness.

(Surgeon name) (California physician license number) (Number of cases reported)

I also certify that each surgeon(s) listed above was informed that the data for his or her cases, after any corrections or revisions required by the Office of Statewide Health Planning and Development, will be used to compute his or her risk-adjusted mortality rate for coronary artery bypass graft surgery, and that the Office of Statewide Health Planning and Development will assign data elements with invalid or missing values the lowest risk value as observed in the most current risk-adjustment model for predicting mortality.

Name: .....  
Title: .....  
Address: .....  
Telephone: .....  
Email: .....

Signature: .....  
Dated: .....

- (e) A hospital may obtain copies of the CCORP Hospital Certification Form (OSH-CCORP 416 (Revised 05/05)) on the Office's website or by contacting the Office.

Authority cited: Section 128810, Health and Safety Code.  
Reference: Section 128745, Health and Safety Code.

**97192. Correction of data for discharges before 2009**

**For discharges beginning January 1, 2006 through December, 31 2008:**

- (a) After a report has been accepted pursuant to Section 97186, a hospital may be required to provide the Office with data to replace invalid or missing data element values.
- (b) The Office shall notify each hospital of its final opportunity to make corrections and revisions to submitted data at least 60 days before the Office conducts analyses to identify hospitals and surgeons for possible audit. From the date of notification, a hospital shall have 30 days to submit all corrections and revisions to the Office. The Office may require documentation to support data changes requested by a hospital.
- (c) If a hospital fails to provide a valid value, as set forth in Section 97174, or provides no value for a data element in a record, by the end of the 30-day period, the Office shall assign the data element in the record the lowest risk value as observed in the most current risk adjustment model.

Authority cited: Section 128810, Health and Safety Code.  
Reference: Sections 128745 and 128748, Health and Safety Code.

**97196. Hospital data contact person for discharges before 2009**

**For discharges beginning January 1, 2006 through December, 31 2008:**

- (a) Each hospital at which CABG surgeries are performed shall designate a CCORP data contact person. A hospital shall notify CCORP in writing (hardcopy or electronic mail) within 30 days of the effective date of this regulation or within 30 days of beginning or resuming operation. A notification shall include the designated person's name, title, telephone number(s), mailing address, and electronic mail address.

- (b) A hospital shall notify CCORP in writing (hardcopy or electronic mail) within 30 days after any change in the person designated as the CCORP data contact person, or in the title, telephone number(s), mailing address, or electronic mail address, of the individual.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97198. Failure to file a CABG report for discharges before 2009**

**For discharges beginning January 1, 2006 through December 31, 2008:**

- (a) A civil penalty of one hundred dollars (\$100) per day shall be assessed to a hospital that does not file a report as required by this Article by the date it is due. No penalty shall be imposed during an extension period as provided in Section 97178 or a resubmission period as provided in Section 97186.
- (b) Within 15 days after the date a report is due, unless an extension has been granted as specified in Section 97178, the Office shall notify a hospital that has not filed its report of the penalties.
- (c) Assessed penalties may be appealed pursuant to Section 97052 of Title 22 of the California Code of Regulations.

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.

**97199. Audit procedure**

- (a) The Office may conduct periodic audits of a hospital's patient medical records for its CABG surgery patients. Audits may, at the Office's discretion, be performed at the hospital location.
- (b) The Office shall notify a hospital a minimum of 2 weeks before the date of an audit. Upon notification that an audit is planned, a hospital shall designate a person to serve as the audit contact person. A hospital shall provide to the Office the contact person's name, title, telephone number, and electronic mail address.
- (c) A hospital shall retrieve and make available the requested patient medical records for an audit, and if requested by the Office, provide a reasonable space in which the Office may conduct an audit.
- (d) Data abstracted during an audit may, at the Office's discretion, replace data for a given record submitted in a report filed by a hospital. Replacement data shall be used in calculating risk-adjusted mortality rates for hospitals and physicians.

Authority cited: Section 128810, Health and Safety Code.

Reference: Sections 128745 and 128748, Health and Safety Code.

**97199.50                   Hours of operation**

The CORC System is designed for use 24 hours a day. System maintenance may cause intermittent CORC system unavailability. Contact CCORP's Hotline to report possible CORC transmission problems.

Authority cited: Section 128810, Health and Safety Code.

Reference: Sections 128745 and 128748, Health and Safety Code.

**97200                    Contacts**

(a) Hospitals may use any of the following methods to communicate with CCORP:

- (1) Hotline: 916-326-3865
- (2) Email: [CCORP@oshpd.ca.gov](mailto:CCORP@oshpd.ca.gov)
- (3) Fax: 916-445-7534

(b) The OSHPD website address is [www.oshpd.ca.gov](http://www.oshpd.ca.gov)

Authority cited: Section 128810, Health and Safety Code.

Reference: Section 128745, Health and Safety Code.