New York State

Electronic Certificate of Need

Applicant Training:

Request Regional Office Review

Version 4.0

Public Authentication

Revision History

Date	Version	Description
04/20/2015	1.0	Initial Release
07/15/2015	2.0	Release 2: General information Functionality - with enhancements • Screen layout changed • Phase ID can be manually changed • Federal 855 does not default to yes or no. • Federal 855 expiration date field added • Data can be modified after submission Reviewer Schedules surveys- • Schedule, reschedule and confirm functionality provided Changes in Survey schedule history table Added Secure and Non- secure general correspondence Added checklist functionality and checklist correspondence Correspondence can be filtered for focused search
2/23/2016	3.0	Release 3: Findings and CAPs functionality
11/01/2016	3.1	Release 6.0.4.0.0: Updated Steps and screens for “Adding a Phase”. Correspondence tab will not be available for a phase which is not saved/submitted
8/16/2018	4.0	Release 7.0.0.0.0: Updated screens for Checklist Documents

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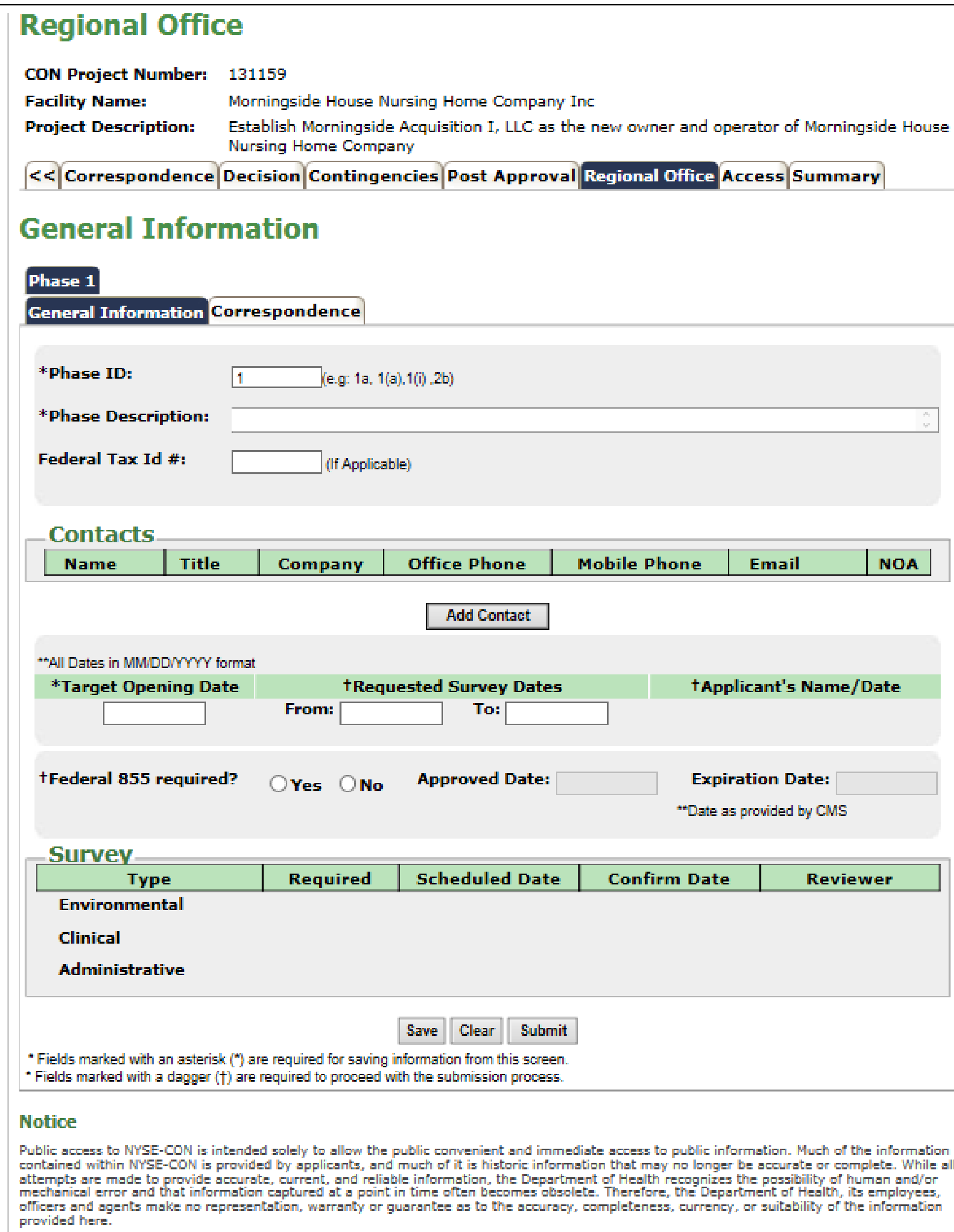
Applicant initiates Regional Office review

Regional office tab has been added to NYSE-CON to facilitate the Regional office review and approval. The views and actions available will depend on the user's role. The Regional Office module is reached via the **Regional office** tab. This tab opens the **General Information** page for the Regional Office (Figure 1).

The **Regional Office** tab will be displayed for a project only after the CON project has been Approved and all contingencies have been satisfied. The Applicant should initiate contact with the Regional Office **at least 60 days prior** to the facility's target opening date.

The **Regional Office** tab will be located between the **Post Approval** and **Summary** tabs.



Regional Office

CON Project Number: 131159
Facility Name: Morningside House Nursing Home Company Inc
Project Description: Establish Morningside Acquisition I, LLC as the new owner and operator of Morningside House Nursing Home Company

<< | Correspondence | Decision | Contingencies | Post Approval | Regional Office | Access | Summary

General Information

Phase 1

General Information | Correspondence

*Phase ID: 1 (e.g: 1a, 1(a),1(i) ,2b)

*Phase Description:

Federal Tax Id #: (If Applicable)

Contacts

Name	Title	Company	Office Phone	Mobile Phone	Email	NOA

Add Contact

**All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
	From: To:	

†Federal 855 required? Yes No Approved Date: Expiration Date:

**Date as provided by CMS

Survey

Type	Required	Scheduled Date	Confirm Date	Reviewer
Environmental				
Clinical				
Administrative				

Save Clear Submit

* Fields marked with an asterisk (*) are required for saving information from this screen.
* Fields marked with a dagger (†) are required to proceed with the submission process.

Notice

Public access to NYSE-CON is intended solely to allow the public convenient and immediate access to public information. Much of the information contained within NYSE-CON is provided by applicants, and much of it is historic information that may no longer be accurate or complete. While all attempts are made to provide accurate, current, and reliable information, the Department of Health recognizes the possibility of human and/or mechanical error and that information captured at a point in time often becomes obsolete. Therefore, the Department of Health, its employees, officers and agents make no representation, warranty or guarantee as to the accuracy, completeness, currency, or suitability of the information provided here.

Figure 1: Regional office: General Information page

General Information Page - Field Descriptions	
Field Name	**Description**
Application Number	CON number assigned to the application
Facility Name	Name of the facility
Project description	The description entered by Project Management Unit (PMU) during initial review
Phase Tab	Every project has at least one phase, but more phases may be added by the Applicant. Surveys, Checklists, and Findings and Caps are organized by phase.
General Information Tab	Tab Title
Phase ID	The phase number to identify the phase. A sequential number is assigned at creation. The Phase ID may be changed by the Applicant.
Phase Description	A general description of the phase entered by the Applicant.
Federal tax ID #	The 9 digit Federal Tax Identification number.
Contacts	Individuals identified by the Applicant who are authorized to take actions pertaining to the project.
*Target Opening date	The date on which the facility is expected to be open for services. Note: Target opening date must be greater than Requested Survey Date.
*Requested survey Date 'From' and 'To'	The date entered by the Applicant to provide the date range within which survey(s) should be scheduled. The date must be earlier than the 'Target opening date' entered
Federal 855 required?	Radio buttons to indicate if a Federal 855 is required.
*Approved Date	This field indicates the date on which the Federal 855 was approved by CMS.
Expiration date	This field indicates the date on which the Federal 855 will expire. The date is provided by CMS.
Buttons	
Add Contact Button	Button used for navigating the Applicant to the **Add New Contact Information** screen.
Submit	Sends a notification to the Regional Office that the Applicant is requesting regional office review. Information must be **SUBMITTED** for the Regional Office reviewer to take ANY action on a request. Once the **Submit** button is clicked, the only functionality available to the Applicant would be **Add contact**.
Clear	Clears any unsaved data
Save	Entered and selected data is saved. Saved information may be modified. The regional office can not take action and does not receive a notification.
Tables	

Contacts	Table listing the details of the **Primary** and **Additional** contacts entered by the Applicant. Contacts on this list may be contacted via phone or email to facilitate the regional office review. Contacts must have a HCS account to work in NYSECON.
Survey	Table indicating which surveys will be conducted for the phase. Includes types of surveys, dates of surveys, and the date surveys were assigned by the Reviewer. Also includes the date the survey was confirmed with the Applicant and the Reviewer's name.

**Dates must be entered in month-day-year order format. If entered dates are punctuated by slashes: The year must have either two or four digits (examples: 02/01/2011 or 02/01/11). – Entry of a two-digit year implies current century. – Month and day may be entered without leading zeros (example: 2/1/2011)*

Submitting a request for review

Submitting a review request to the Regional office	Only an Applicant can initiate the request for regional office review Having received a "Contact the Regional Office" direction, the Applicant will access the **Regional Office General Information** page by selecting the **Regional Office** tab for the project. In order to submit a request for review, the Applicant must do the following: • Create a phase • Provide contact details for the project • Provide Survey date range • Indicate Federal 855 requirement and provide the related information. Refer to Figure 1 above for the screen and table above for the field descriptions

Create a Phase

Learning Objective	Step	Action

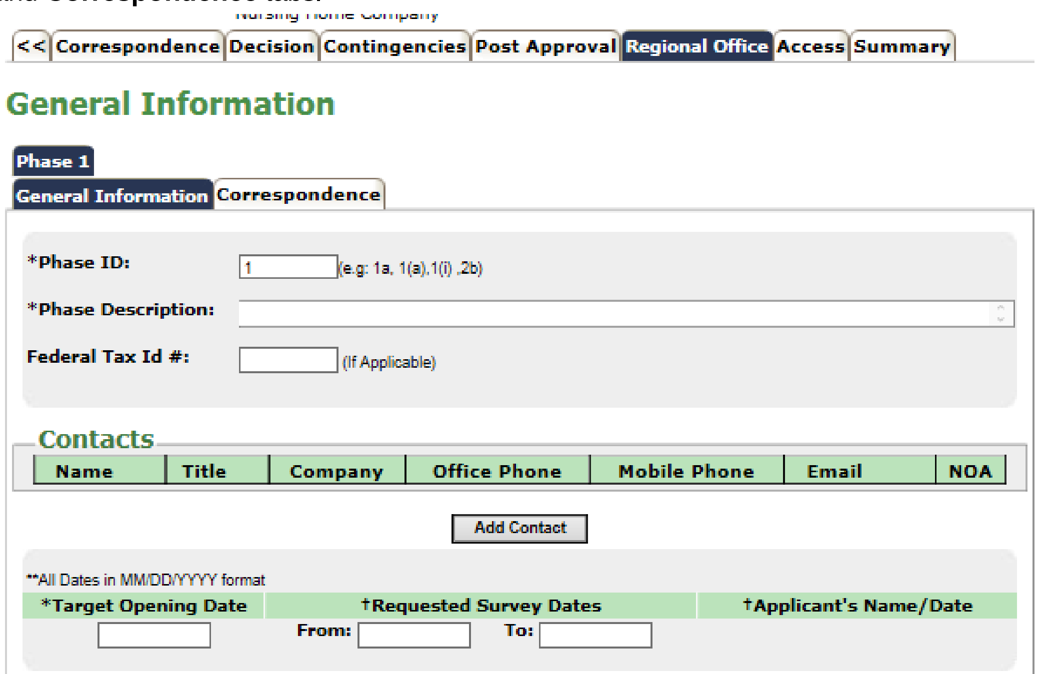
<table>
<tr><td rowspan="2">How to Create and Save a Phase</td><td>1</td><td>On the Regional Office tab, find the Phase 1 tab containing the General Information and Correspondence tabs.


Figure 2: Creating a Phase</td></tr>
<tr><td>2</td><td>1> Edit the Phase ID, if desired. The system will sequentially number the Phases if the Applicant chooses not to change the ID.
2> Enter the Phase Description.
3> Enter the Federal Tax ID # (If applicable).
4> Enter the Target Opening Date.</td></tr>
</table>

3

Click **Save** button to save the phase

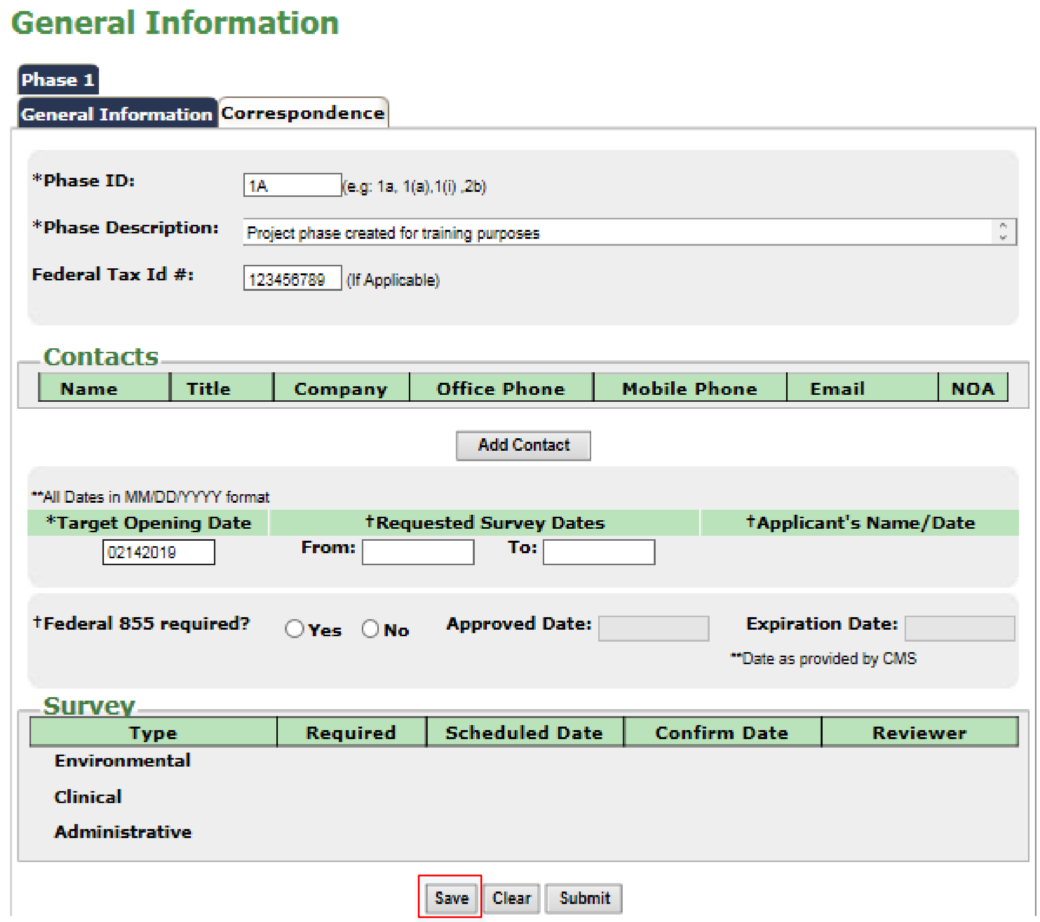


Figure 3: Saving a Phase

*Alternatively, clicking **Add Contact** button will also save the phase and navigate to the **New Contact Information** screen at the same time.

The Applicant can then add the contacts associated with the project.

On clicking **Save**, the functionality to **Add Phase** will be activated.

<u>Conditions that apply</u>:

The Phase Description, and Target Opening Dates are mandatory fields and must be completed in order to create another phase and save it.

Once a phase has been created, the Applicant can save the information without submitting it to the Regional Office.

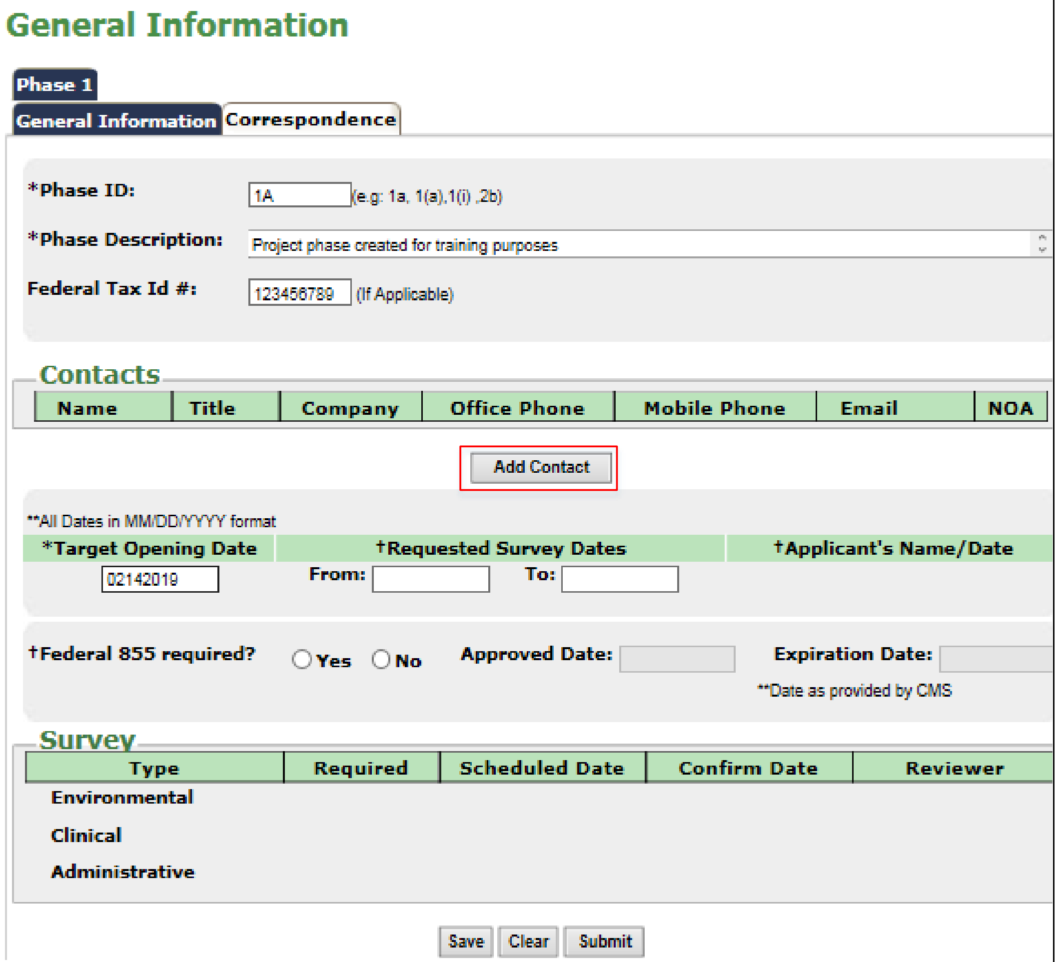
4

To clear any unsaved data Click **Clear**

Note:

If information has been 'Saved', then the entered data can be cleared by placing the cursor in the field and clearing the information using the Backspace/ Delete keys from the keyboard.

Add Contacts

Add Contacts Learning Objective	Step	Action
How to Add a contact	**1**	On the Regional Office **General Information** page, Click the **Add Contact** button  *Figure 4: Add Contact –General Information page*

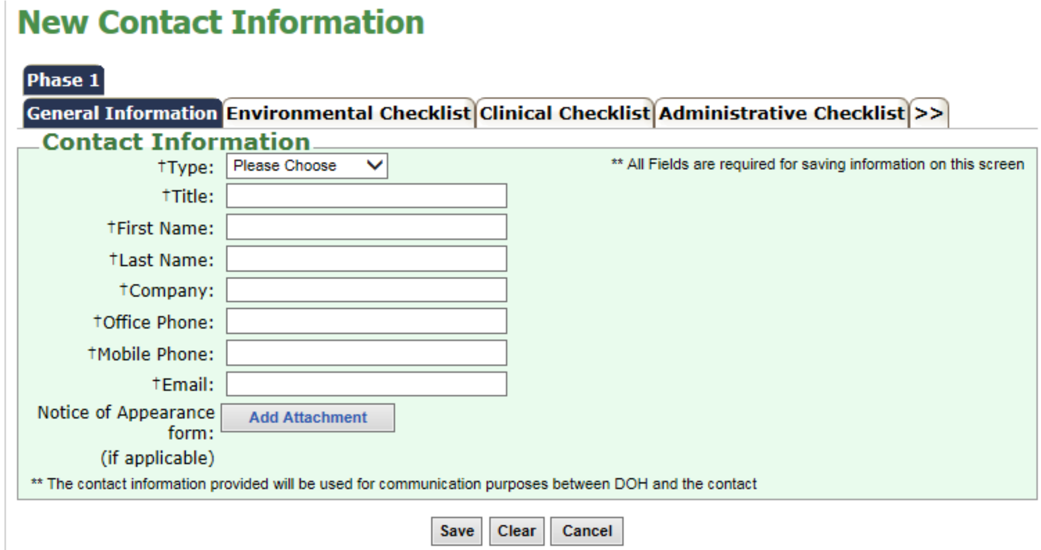
<table>
<tr><td></td><td></td><td>New Contact Information screen displays


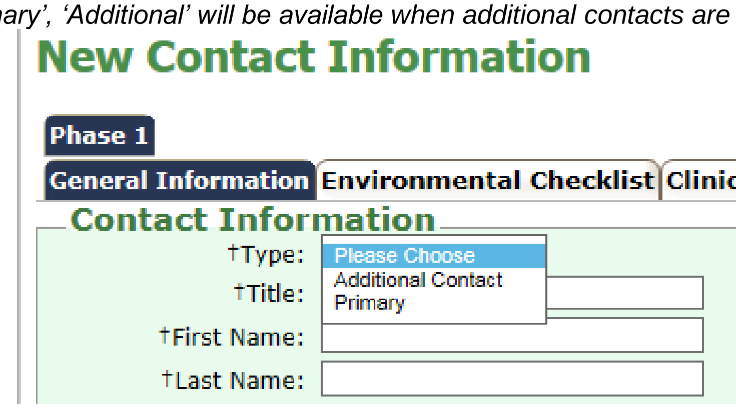
Figure 5: New Contact Information</td></tr>
<tr><td></td><td>2</td><td>On the New Contact Information page, from the contact Type drop down list, select Primary in type.
**When the first contact is added, the only contact designation option available is ‘Primary’, ‘Additional’ will be available when additional contacts are added.


Figure 6: Contact type
<u>Conditions that Apply</u>:
There must be at least one contact designated as Primary.</td></tr>
<tr><td></td><td>3</td><td>Enter First Name of the contact</td></tr>
<tr><td></td><td>4</td><td>Enter Last Name of the contact</td></tr>
<tr><td></td><td>5</td><td>Enter Company name</td></tr>
<tr><td></td><td>6</td><td>Enter Office Phone number
* Entered phone numbers must be a valid 10-digit phone number format: (###) ###-####.</td></tr>
</table>

<table>
<tr><td></td><td>7</td><td>Enter Mobile Phone number (*As above)
*If the contact chooses not to enter a mobile number- enter the same number as “Office Phone” or any digit repeated 10 times on any sequential numbers entry e.g.: 222-222-2222 the Reviewer will know that the mobile number is a random entry.</td></tr>
<tr><td></td><td>8</td><td>Enter E-mail address</td></tr>
<tr><td></td><td>9</td><td>Notice of Appearance must be provided for a contact who is not an employee of the applicant. Refer to Attach Notice of Appearance [NOA] for contact section 2.1 below. Contact the Regional Office for questions regarding the NOA form.</td></tr>
<tr><td></td><td>10</td><td>Click Save.

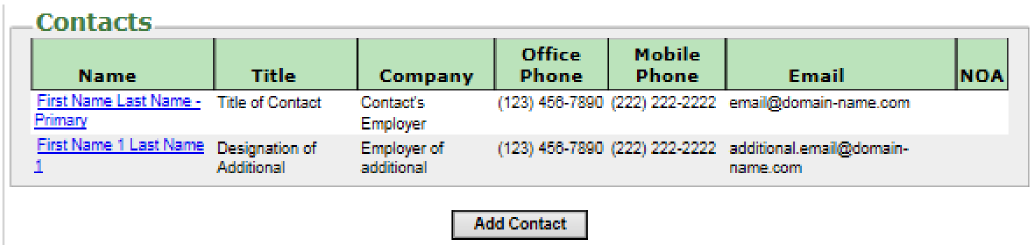
The General information page is displayed. The new contact information will be displayed in the contact table.


Figure 7 Contacts have been added

Note- The Primary contact is marked on the table –Suffixed as “Primary”.
If NOA has been attached, the document icon is displayed in the row of the contact name under the NOA column. The document can be accessed by clicking on the icon.</td></tr>
</table>

Attach / Delete Notice of Appearance (NOA) for contacts

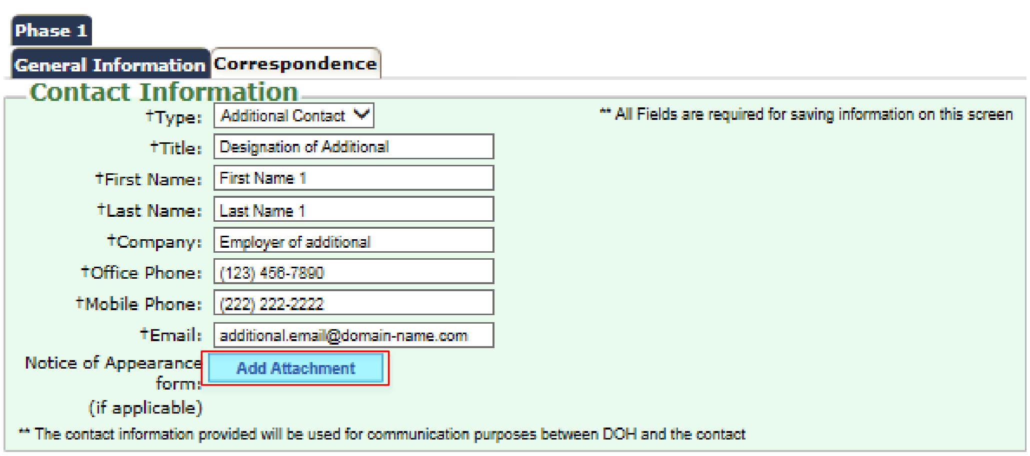
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>Attach NOA for a contact</td><td>1</td><td>On the New Contact Information page, click Add Attachment


Figure 8: Add NOA Attachment</td></tr>
</table>

<table>
<tr>
<td></td>
<td>2</td>
<td>
On the Add NOA Attachments page, select Browse / Choose File (Browser dependent label)

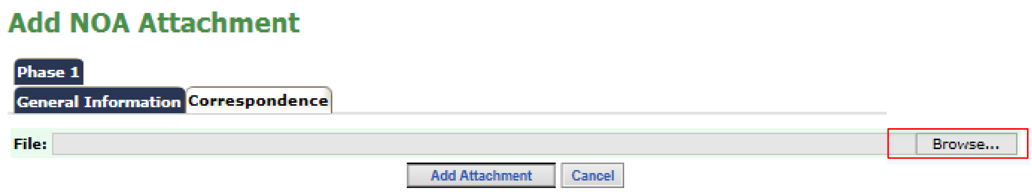


Figure 9: Add NOA Attachment
</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>
Choose the attachment from the local workstation.
Click Open

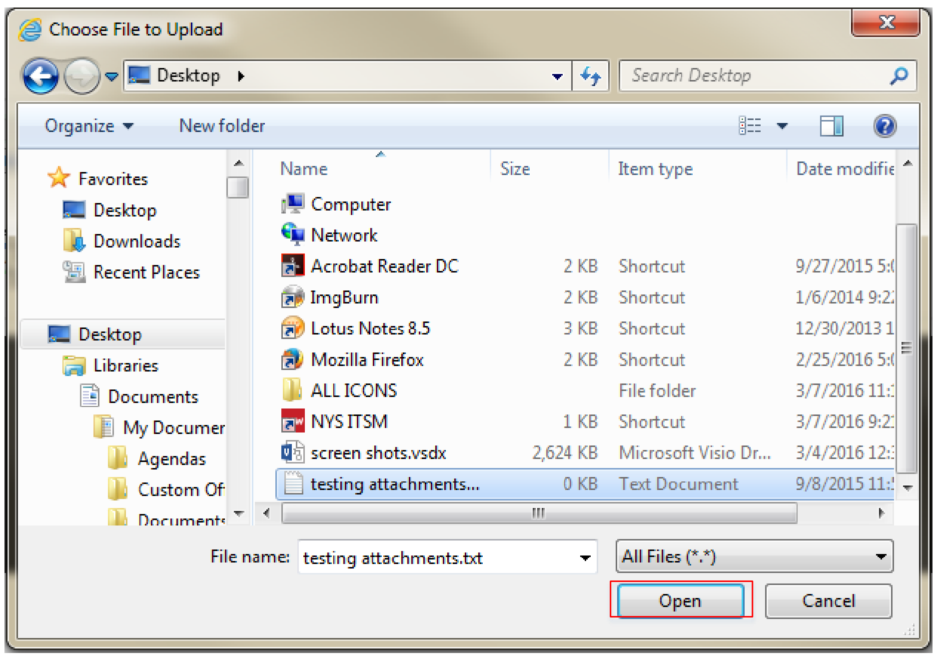


Figure 10: Browse for document
</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>
Click Add Attachment

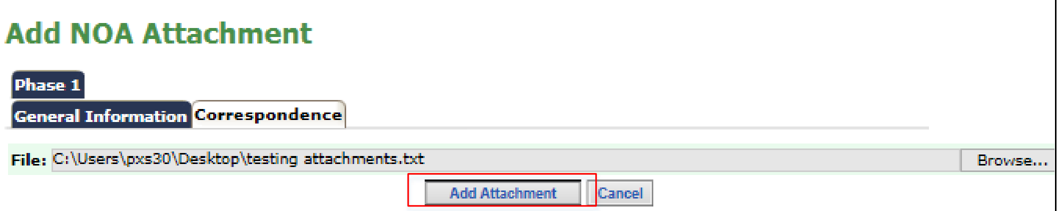


Figure 11: Attachment path is reflected in the File
</td>
</tr>
</table>

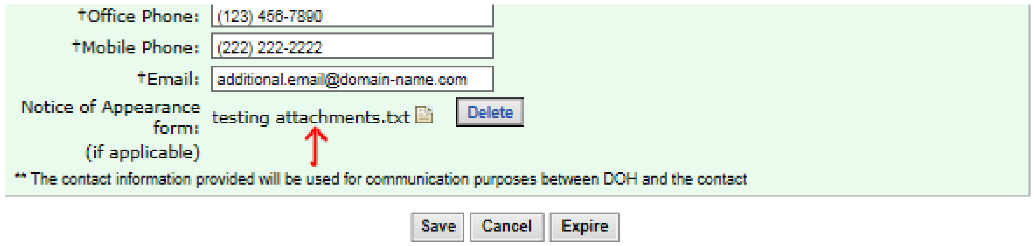
<table>
<tr><td></td><td>5</td><td>The New Contact Information screen is displayed
Note: The attachment has been added and the Add Attachment button changes to Delete button.


Figure 12: Attachment Added and 'Delete' button visible.</td></tr>
<tr><td></td><td>6</td><td>To Delete the Attachment, click Delete.
Note: NOA Attachment can be deleted even after saving the contact with the attachment. The Modify a Contact process must be used to delete attachments after saving or even after the Phase has been submitted.</td></tr>
<tr><td></td><td>7</td><td>To Save the attachment click Save</td></tr>
</table>

Modify contact information

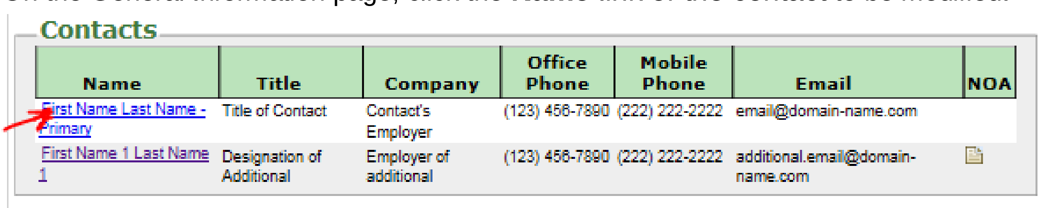
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to Modify a Contact</td><td>1</td><td>On the General Information page, click the Name link of the contact to be modified.


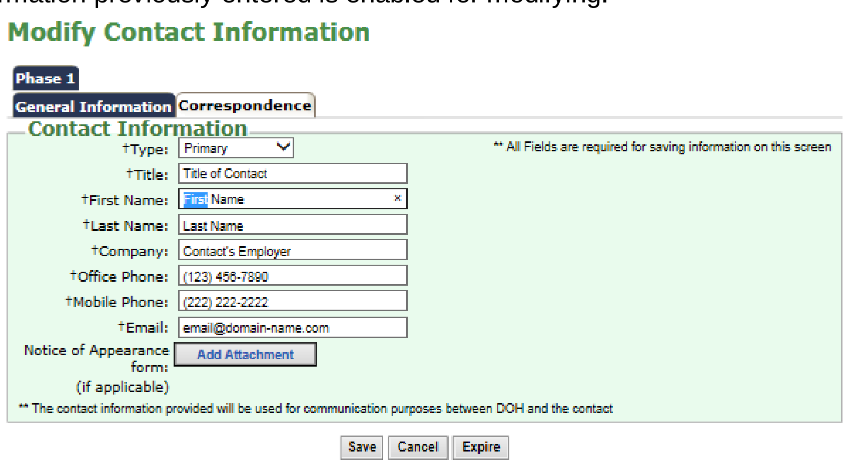
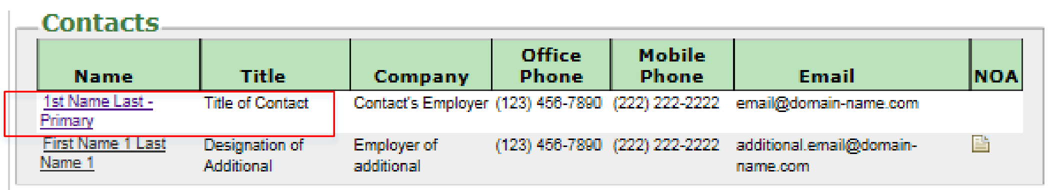
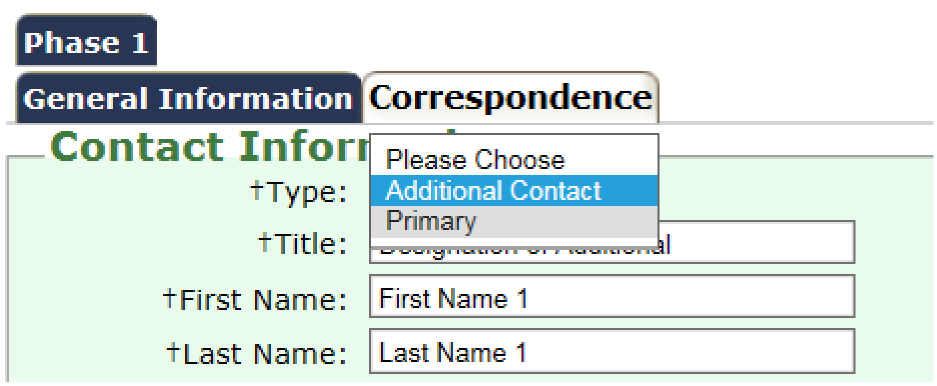
Figure 13: Name link in contact table on General Information page</td></tr>
<tr><td></td><td>2</td><td>The Modify Contact Information page will display.
The information previously entered is enabled for modifying.


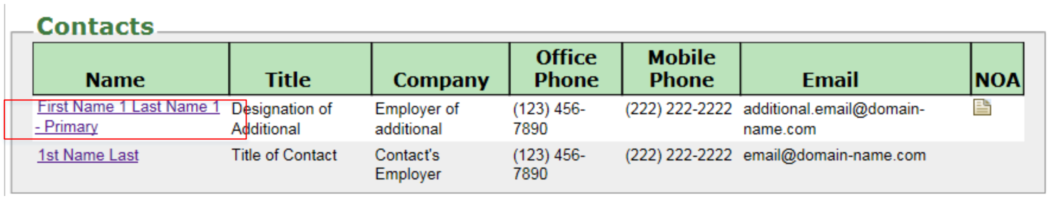
Figure 14: Modify Contact Information</td></tr>
</table>

	3	Enter information in the textboxes that require modification.
	4	The **Delete or Backspace** buttons may be used to clear the previously entered information
	5	Enter the new information
	6	Click **Save** button on the screen. **General information** is now displayed with updates to the Contact Table.  *Figure 15: Modified Contact Information*

Change Primary contact

Learning Objective	Step	Action
How to Change the Primary Contact	**1**	On the **General Information** page, click the **Name** link of the contact, to be assigned as **Primary**.  *Figure 16: Name link in contact table on General Information page*
	2	Select **Primary** from the contact **Type** drop down list  *Figure 17: Select Primary in 'Type'*

	Step	Action
	3	Click **Save. General information** is now displayed with updates to the Contact Table.



Contacts

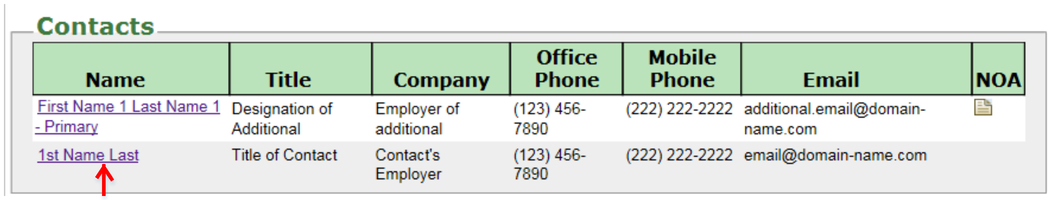
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA
First Name 1 Last Name 1 - Primary	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com	
1st Name Last	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com	

Figure 18: Type Changed: Changes reflected in contact table

Note: The Contact previously set to Primary will be assigned 'Additional' by the system.
Contact which has the 'Type' set to 'Primary' cannot be changed to 'Additional' unless another contact has been designated as "Primary" using the process above.

Expire a Contact

Learning Objective	Step	Action
How to Expire a Contact	1	On the **General Information** page, click the **Name** link for the contact to expire. **Modify Contact Information** screen is displayed.



Contacts

Name	Title	Company	Office Phone	Mobile Phone	Email	NOA
First Name 1 Last Name 1 - Primary	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com	
1st Name Last	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com	

Figure 19: 'Name hyperlink - Expire the contact

	Step	Action
	2	Click **Expire** button on the lower right

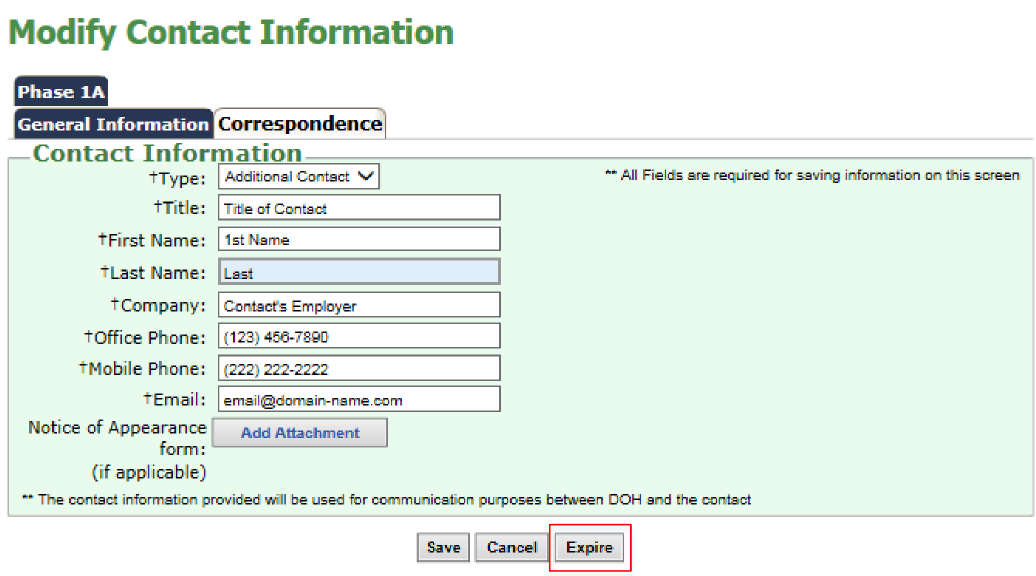


Figure 20: Contact Table- Contact Expired

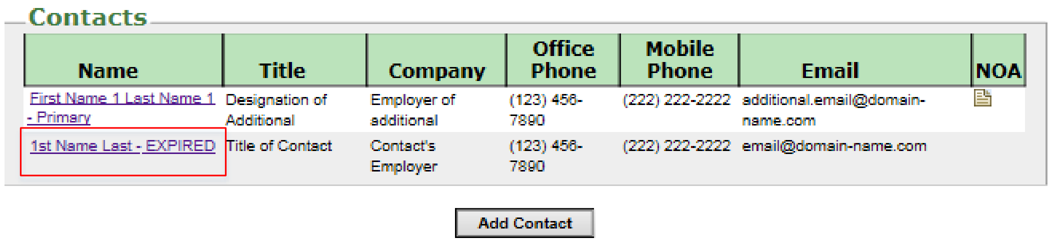
<table>
<tr><td></td><td>3</td><td>The General information page will display with the contact marked as Expired in the Name field in the Contact Table.


Figure 21: Contact Table- Contact Expired</td></tr>
</table>

Note: A 'Primary' contact cannot be 'Expired' until another contact has been designated as 'Primary'.

Reactivate a Contact

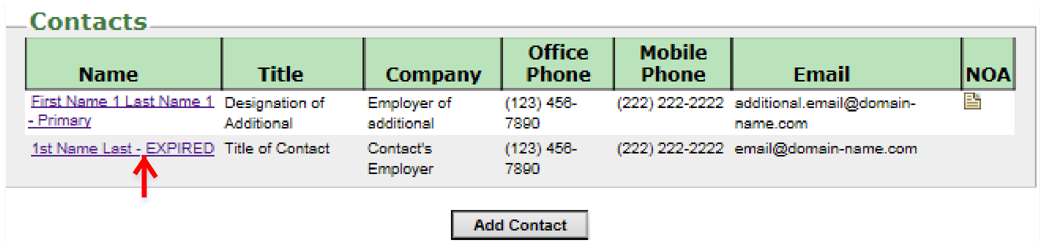
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">How to Reactivate an Expired Contact</td><td>1</td><td>On the General Information page, click the checkbox to expand the contacts table to view expired contacts. Click the expired contact Name link in the Contacts table.


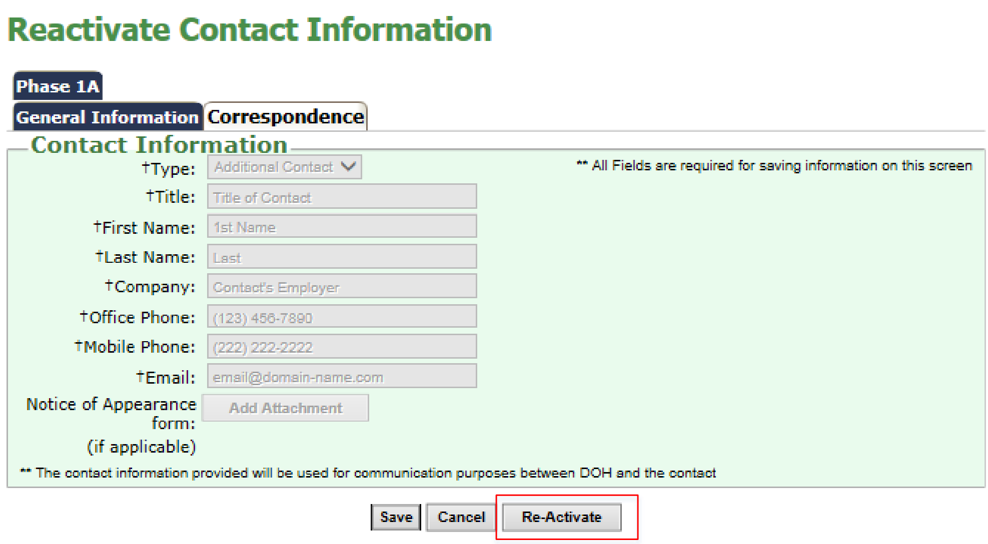
Figure 22: Click name marked 'Expire'</td></tr>
<tr><td>2</td><td>The Reactivate Contact Information screen gets displayed
Click the Reactivate button


Figure 23: Reactivate contact information screen</td></tr>
</table>

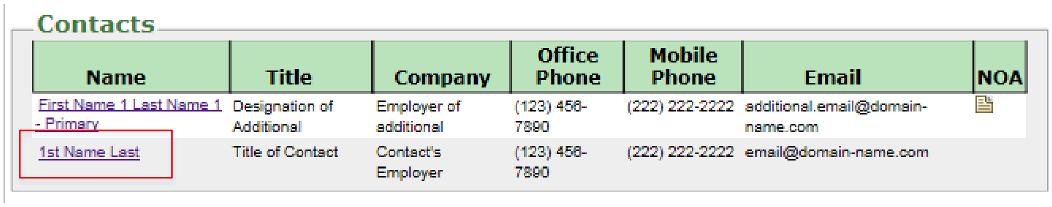
<table>
<tr><td></td><td>3</td><td>If any information has to be updated, follow steps in section 2.2 to modify the contact.</td></tr>
<tr><td></td><td>4</td><td>Click Save, the contact is re-activated in the Contact Table.


Figure 24: Reactivated contact: Expire marking removed
Note:
In the contact table, the ‘Expired’ marking next to the name of the contact will get removed and the Contact Table will show the updated information</td></tr>
</table>

Submit a Request to Regional Office

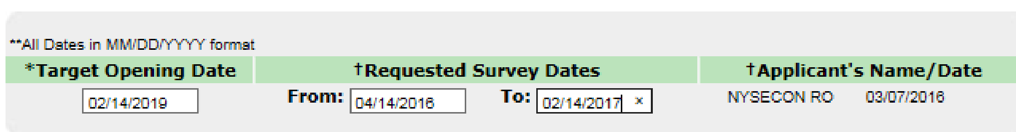
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="5">How to Submit a Request to the Regional Office</td><td>1</td><td>On the General Information page, refer figure 1. Perform the steps to Create a Phase</td></tr>
<tr><td>2</td><td>Follow the steps to Add Contacts
To attach NOA for a contact, refer to Attach/Delete NOA.</td></tr>
<tr><td>3</td><td>Enter a date range requested for the survey. Requested survey dates must be prior to the Target Opening Date. The system accepts dates in MMDDYYYY, MM/DD/YYYY or MM/DD/YY formats.
Enter date in the From textbox.
Enter date in the To textbox.


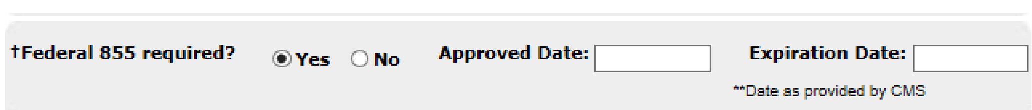
Figure 25: Requested Survey Dates</td></tr>
<tr><td>4</td><td>Indicate if the Federal 855 is required for the project (Radio button: Yes / No).


Figure 26: Federal 855 Information</td></tr>
<tr><td>5</td><td>Enter the Approval Date for Federal 855, as provided by CMS. *This is not a mandatory field.</td></tr>
</table>

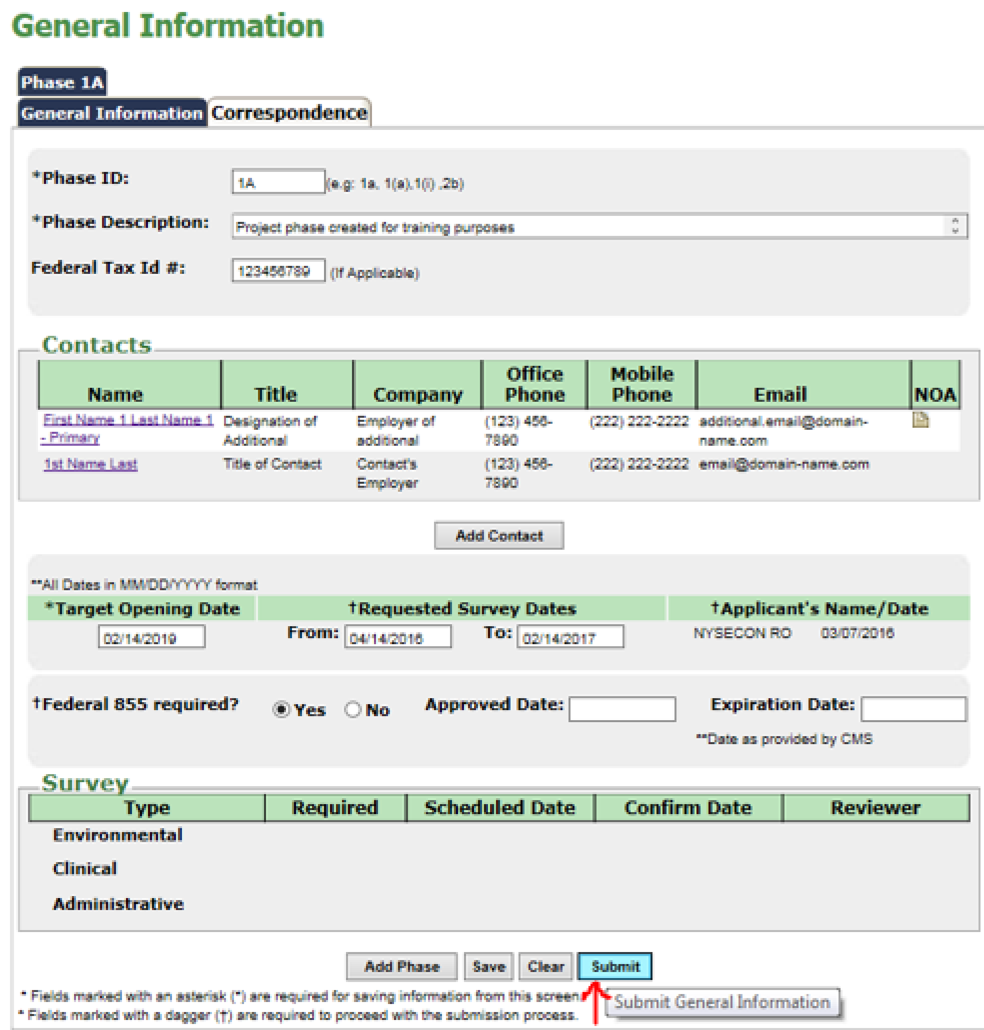
<table>
<tr><td></td><td>6</td><td>Enter the Expiration Date for Federal 855 as provided by CMS, if Yes is selected and date is known
*This is not a mandatory field. However, if the Approval date has been entered the submission will not be accepted without the expiration date.</td></tr>
<tr><td></td><td>7</td><td>Click Submit.


Figure 27: Screen To Submit</td></tr>
</table>

Modify the general information after submitting the request to RO.

Modify Target opening date

Learning Objective	Step	Action
To modify the target	1	After the request for review has been submitted, the **Modify** button is displayed on the General Information page.

<table>
<tr>
<td>opening date on the General Information page</td>
<td>2</td>
<td>
Click Modify. The Modification screen is displayed.

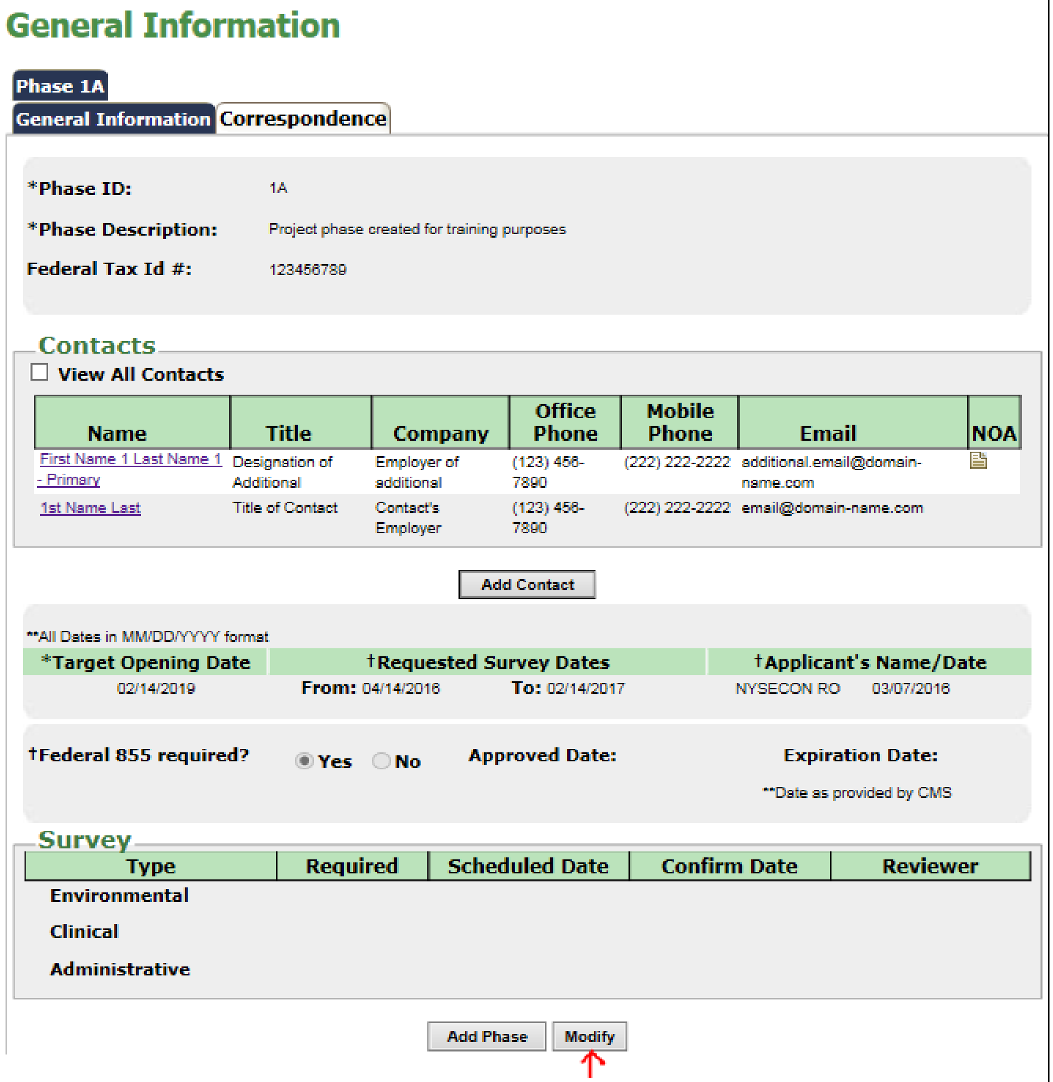


Figure 28a: Modification

The Federal Tax ID, Target Opening date, the Requested Survey Date range, and the Federal 855 information can be modified.
</td>
</tr>
</table>

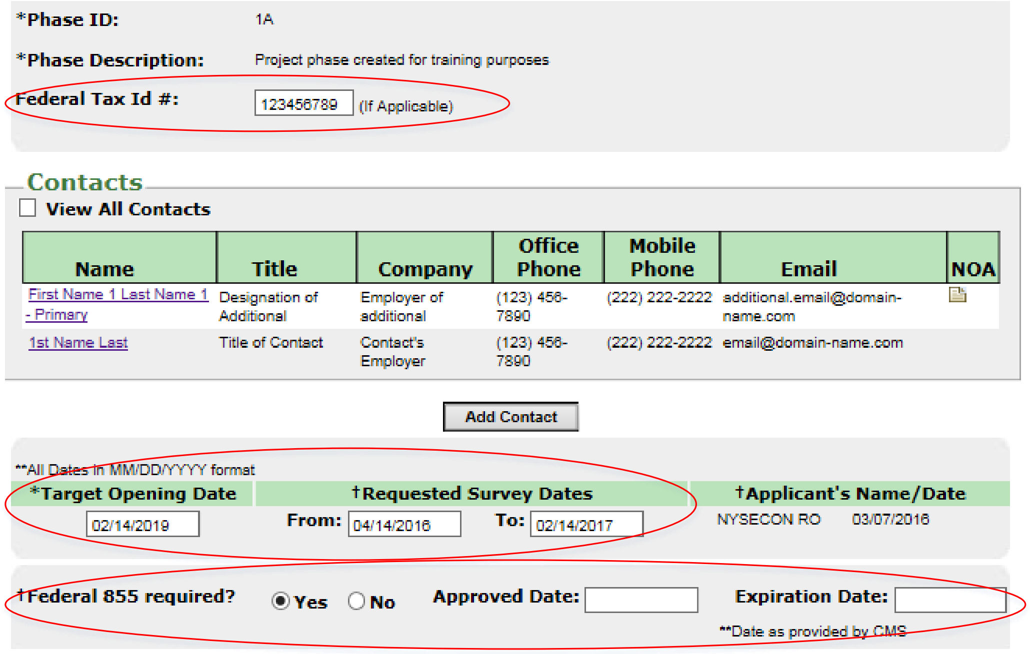


Figure 28b: Screen to Modify

3 Clear the **Target Opening Date** and enter the new date in the provided textbox.

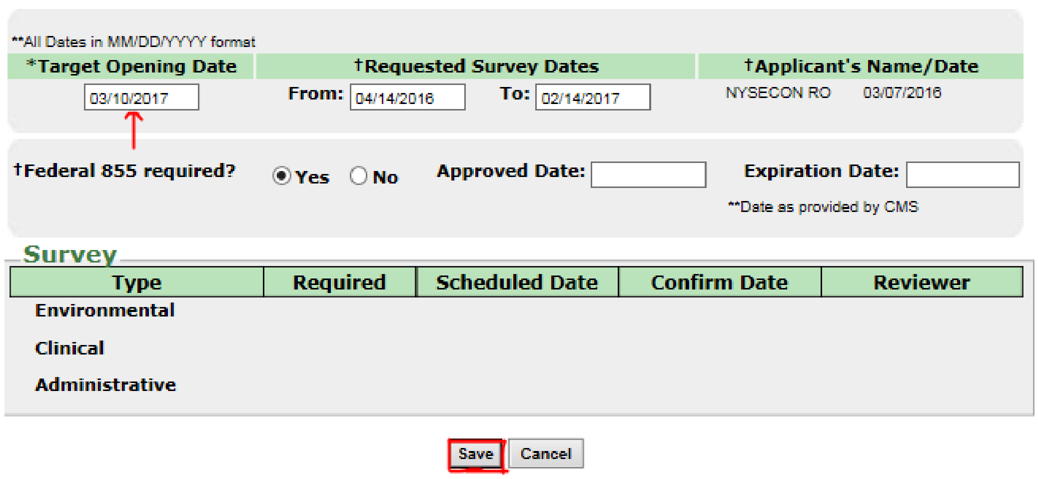
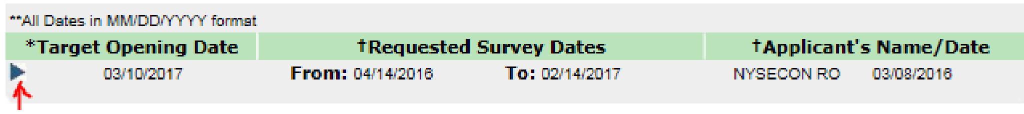
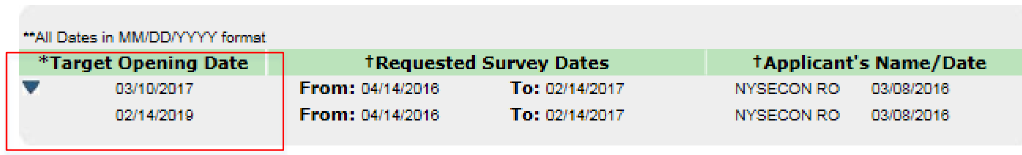
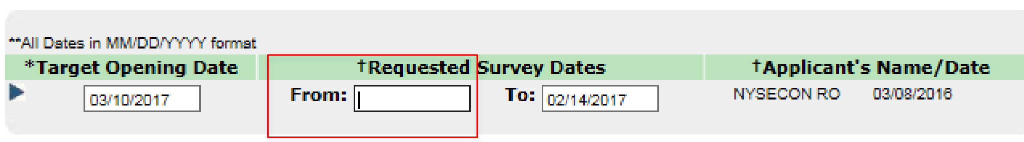
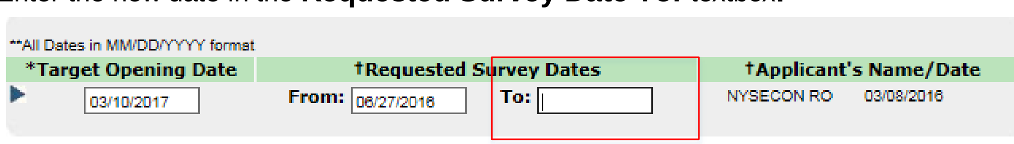
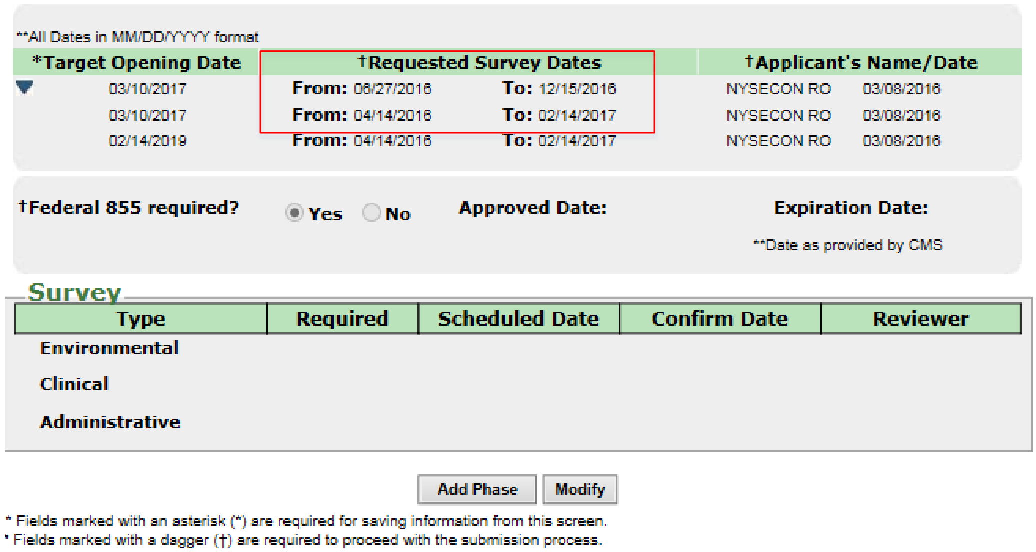


Figure 29: Select cell to modify Target opening date

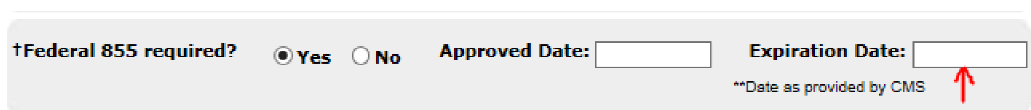
	4	Click **Save,** refer figure 29 above. On saving, the toggle appears next to the row. Clicking the toggle will show previous survey and confirmation dates.  *Figure 30a: New date Saved- Toggle on the side.*  *Figure 30b: New date Saved- Showing History toggle down.*

Modify Requested Survey Date range

Learning Objective	Step	Action
To modify the requested survey date range on the general information page	**1**	Click **Modify** on the General information page *Refer figure 28 (a and b)*
	2	Enter the new date in the **Requested Survey Date From:** textbox.  *Figure 31: Modify Survey date From*
	3	Enter the new date in the **Requested Survey Date To:** textbox**.**  *Figure 32: Modify Survey Date TO*

	4	Click **Save.** Refer figure 29. ***** *On saving the toggle appears next to the row. Clicking the toggle expands to show the history of date changes.*  *Figure 33: New survey dates saved*

Modify Federal 855 expiration date

Learning Objective	Step	Action
To modify the Federal 855 Expiration date on the general information page	**1**	Click **Modify** on the General Information Page *Refer figure 28 (a and b)*
	2	Enter the new date in the **Expiration Date** textbox.  *Figure 34: On clicking Modify Fed 855 expiration date allows editing*

3

Click **Save.**

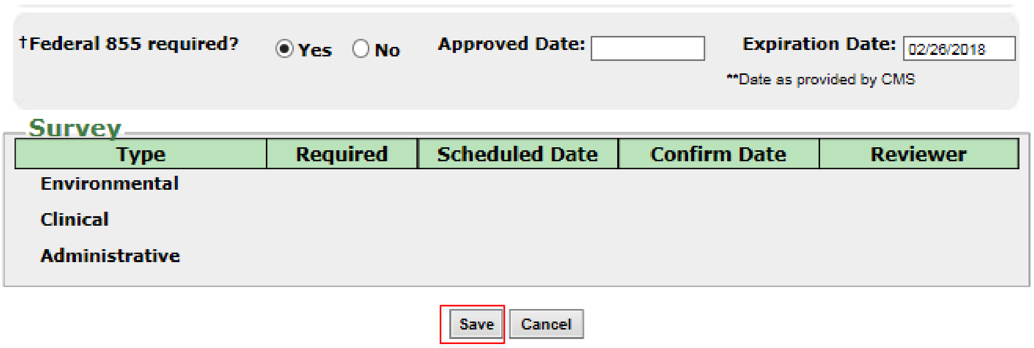


Figure 35a: Save.

Figure 35b: New Date Saved.

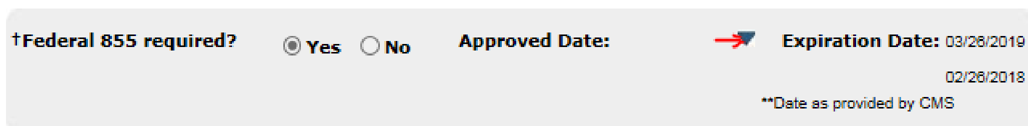
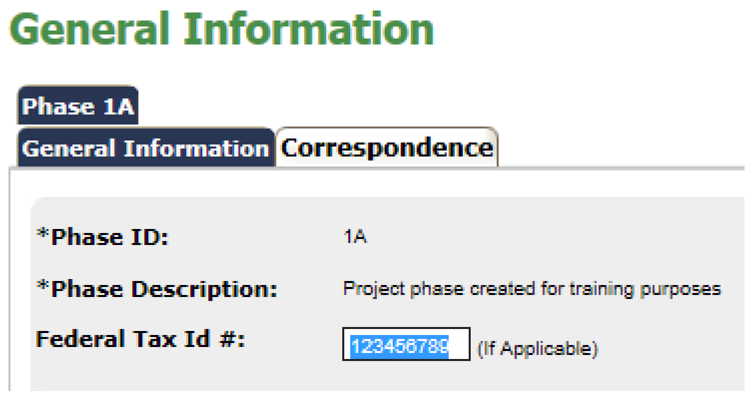
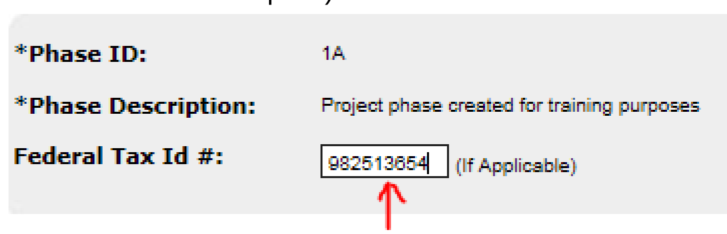


Figure 35c: History accessible by toggle.

** If there was a previous date submitted, a toggle will appear next to the row after saving. Clicking the toggle expands to show the history of date changes.*

Modify Federal Tax ID

Learning Objective	Step	Action
To modify the Federal Tax ID# on the general information page	**1**	Click **Modify** on the **General Information** page *Refer figure 28 (a and b)*
	2	Enter the new or modified Federal Tax ID number in the **Federal Tax ID # textbox**.  *Figure 36a: Clearing the earlier entry* (To clear select and Delete/ Backspace)  *Figure 36b: Enter New Tax ID #*

Click **Save**

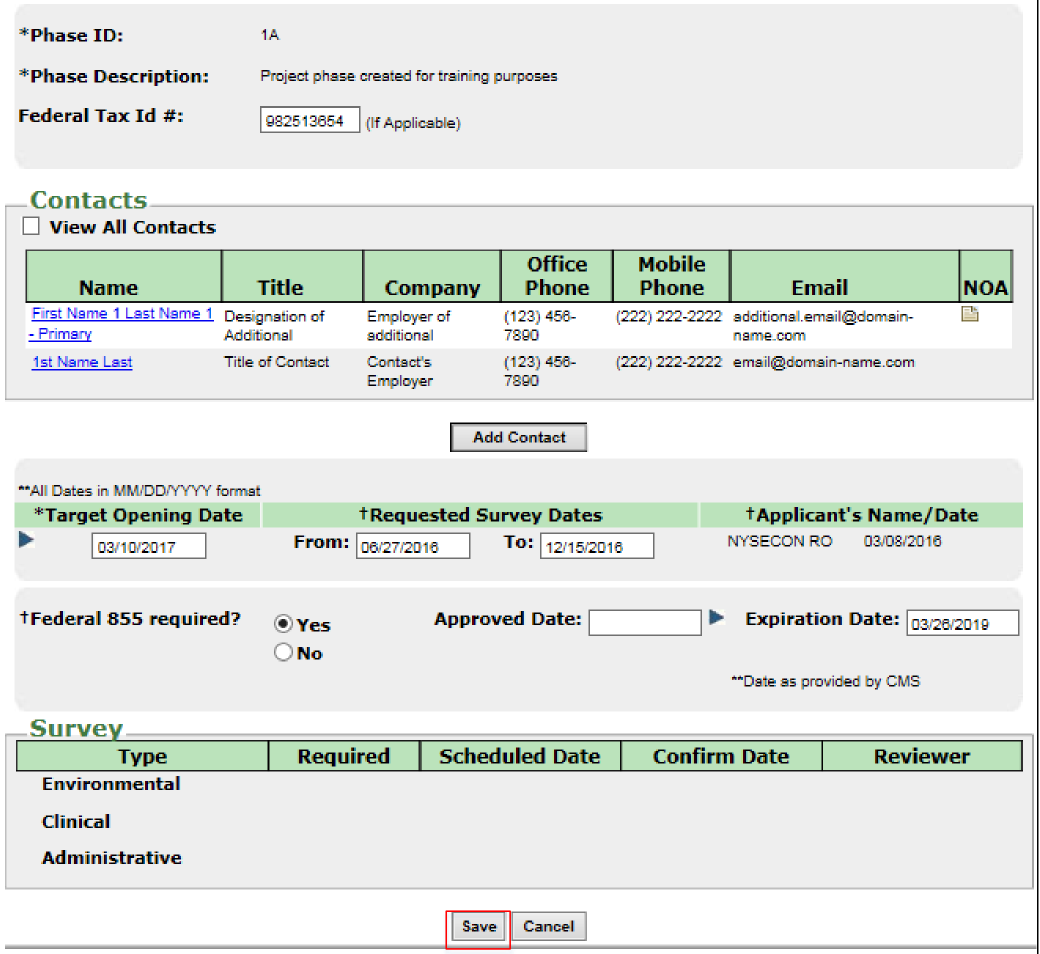
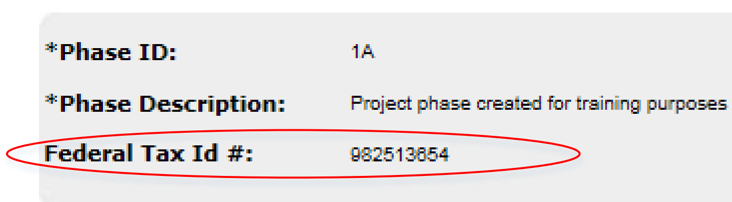


Figure 37: Click Save



Note:

The system does not record the history of changes for this field.

Add, Cancel, Delete a new phase

Add new phase	**1**	Once a phase has been saved, another phase can be created. To create another phase: Click **Add Phase.** ***** Note: Add Phase button is **<u>ONLY</u>** available on the **General Information** page of the first Phase.

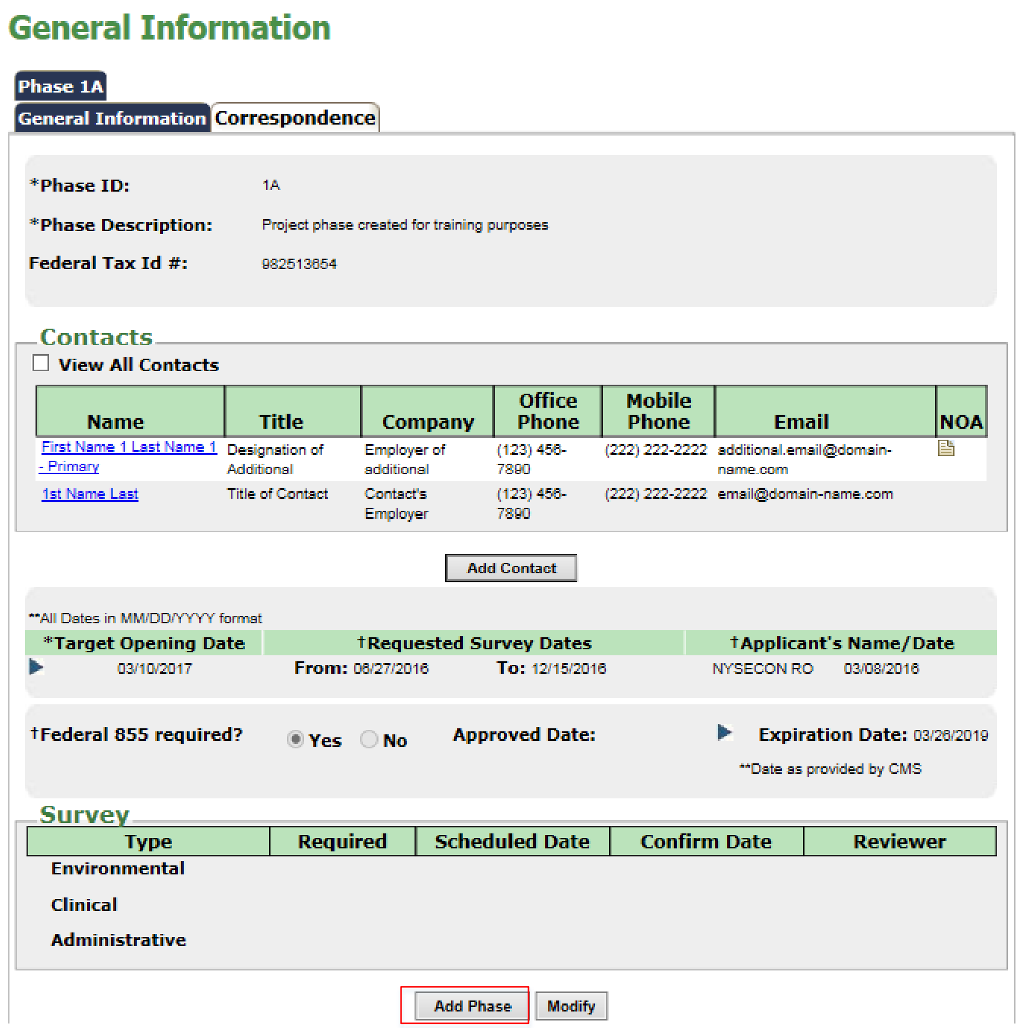
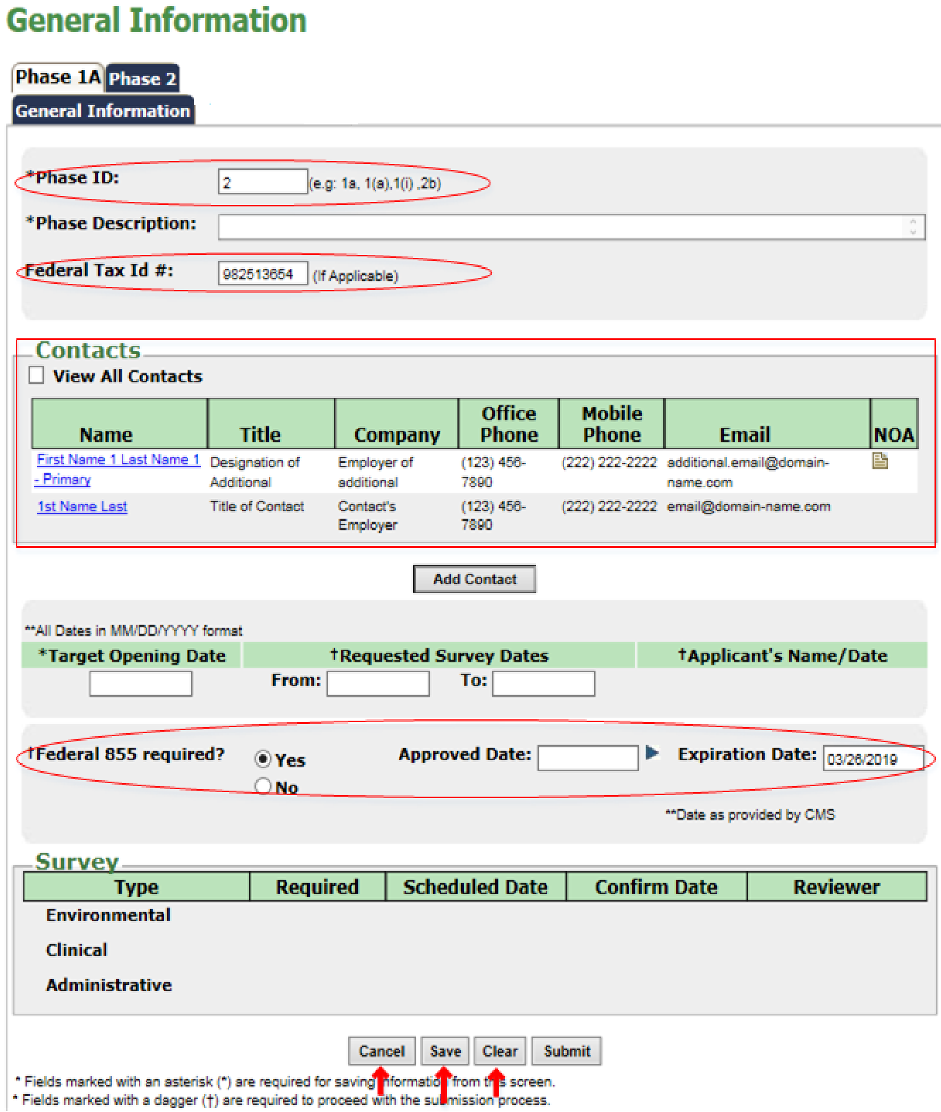


Figure 38: Adding new phase

	2	Enter or modify the **Phase ID** if changing from default. Enter the **Phase Description** (required). Enter the **Target Opening Date**. *Note: The Correspondence tab will not be visible for a phase that is not yet saved/submitted. The following information remains constant for all phases of a project: **Phase ID**: Can be altered for a specific phase numbering convention defined by the Applicant. Defaults to the next sequential number, if the Applicant does not change the Phase ID. **Federal Tax ID #:** Any change made to this number will be reflected across phases. **Contacts**: Any changes made on the contacts table will be reflected in the earlier created phase(s). **Federal 855 information**- Any change made to this information will be reflected across phases.

		 *Figure 39: New phase –General Information screen*
	3	To Cancel the creation of phase, click **Cancel.** *(Creation of phase can be cancelled before saving)* To Save the Phase- click **Save**. *Note: The new phase can only be cancelled before the Phase is saved.

	4	To delete a Phase: Click **Delete Phase.** The **Delete Phase** button displays only after the Phase has been **Saved**. *Note: A Phase cannot be deleted after Submission.*

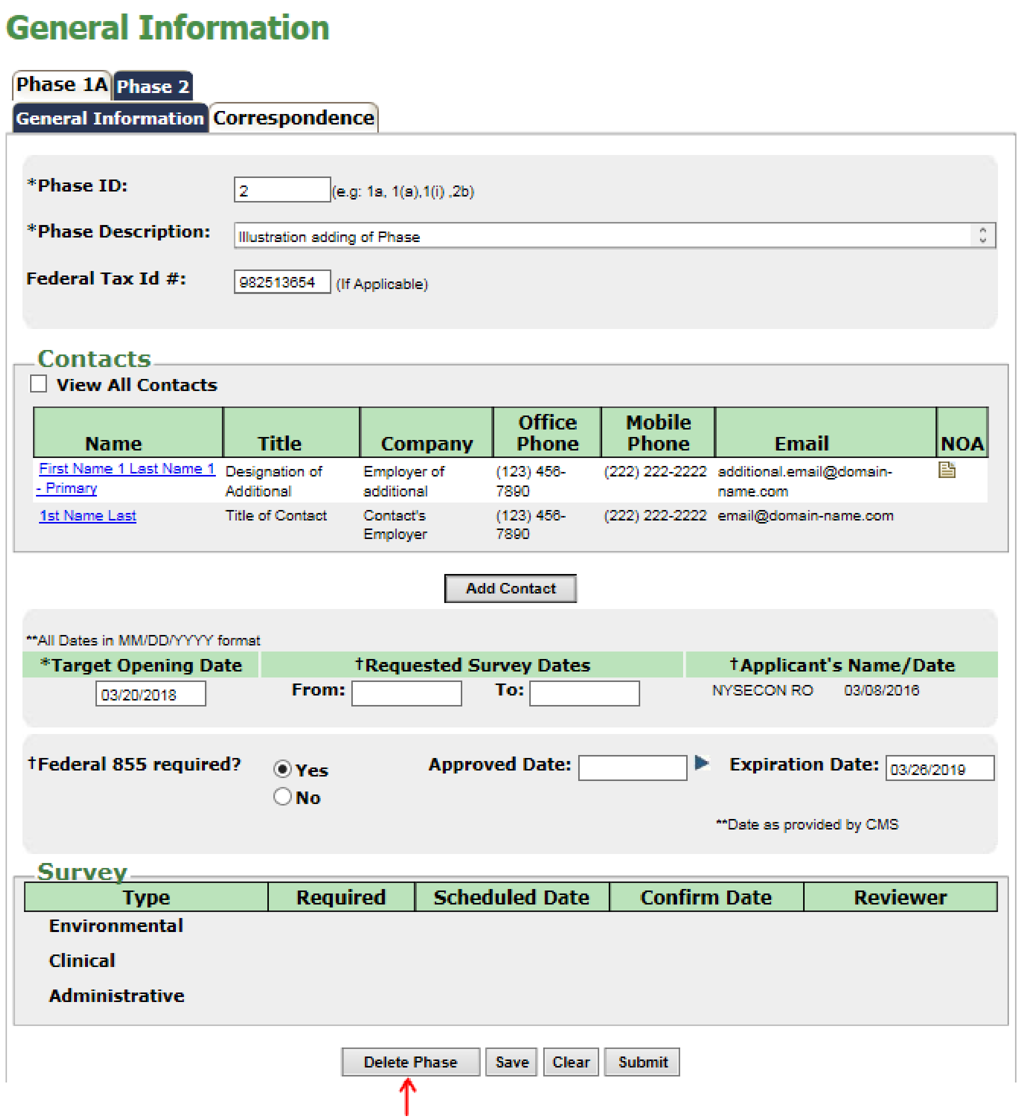


Figure 40: New phase –General Information screen- Delete Phase

Checklist Documents

Uploading, Deleting, Saving and Submitting Checklist Documents

Learning Objective	Step	Action

How to upload a checklist document

1

On the **Regional Office tab**, select the **Checklist Tab(s)** to view the list of documents needed for the survey.

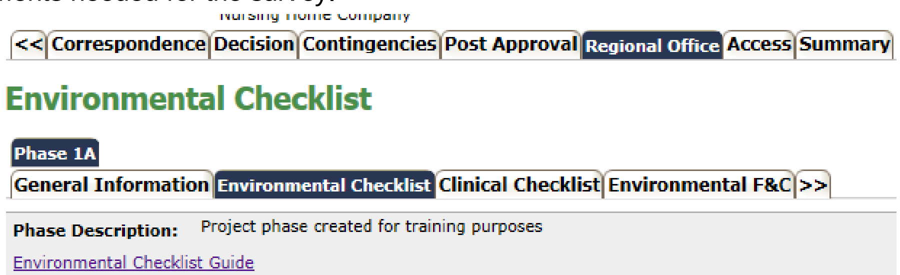


Figure 41: Selecting the Survey Checklist Tab

2

On the checklist tab, the checklist items are listed in the table format.

**Note: The hyperlink to the Environmental checklist guide is located above the table on the Environmental checklist page. Clicking the hyperlink opens the description of the checklist items (This is available only for the environmental checklist)*

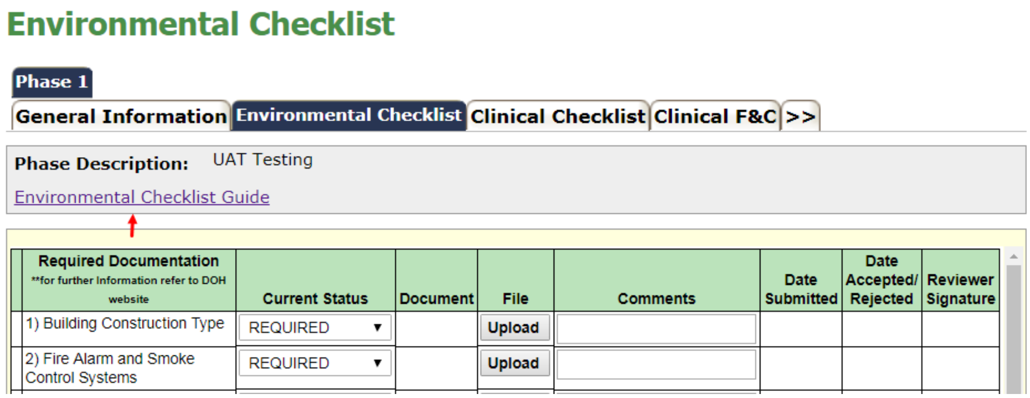


Figure 42: Environmental checklist table on the Environmental checklist page

3

Click the **Upload** Button in the row of the checklist item to upload document(s).

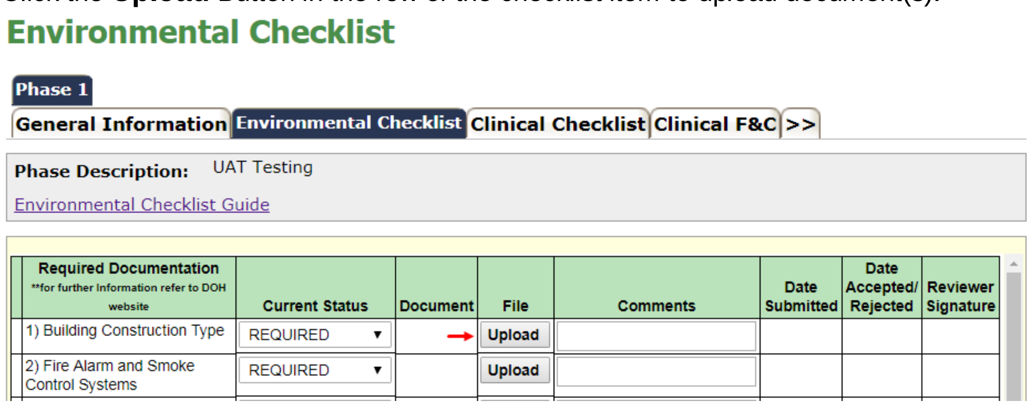


Figure 43: Uploading document for building construction type.

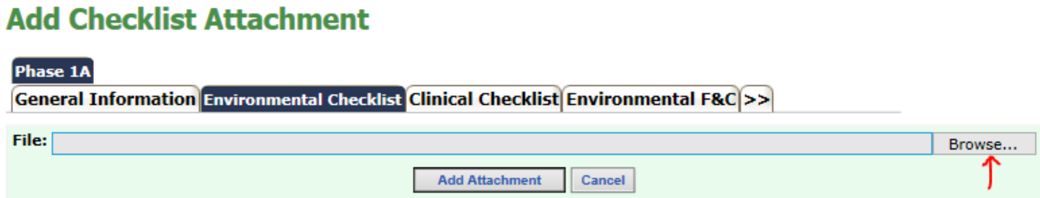
<table>
<tr><td></td><td>4</td><td>Add Checklist Attachment page displays. Click Browse.


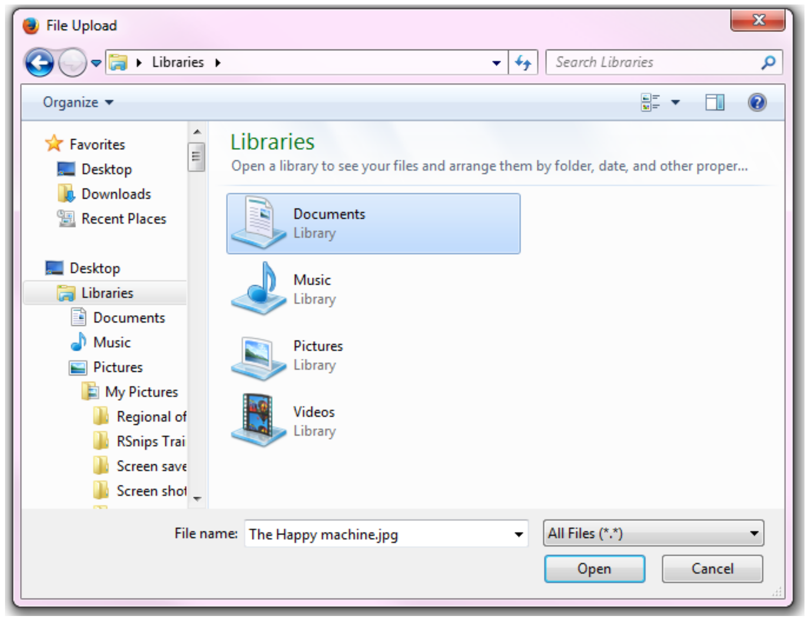
Figure 44: Add Checklist Attachment.</td></tr>
<tr><td></td><td>5</td><td>The File upload browser displays. Select the file to be uploaded and click Open


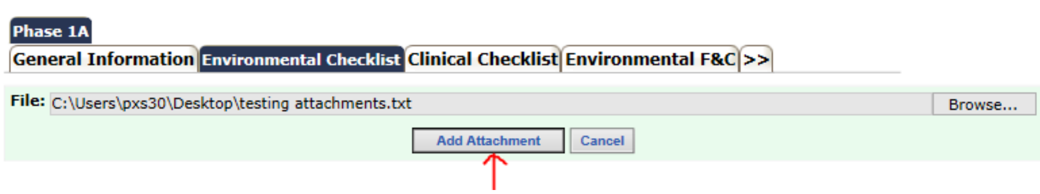
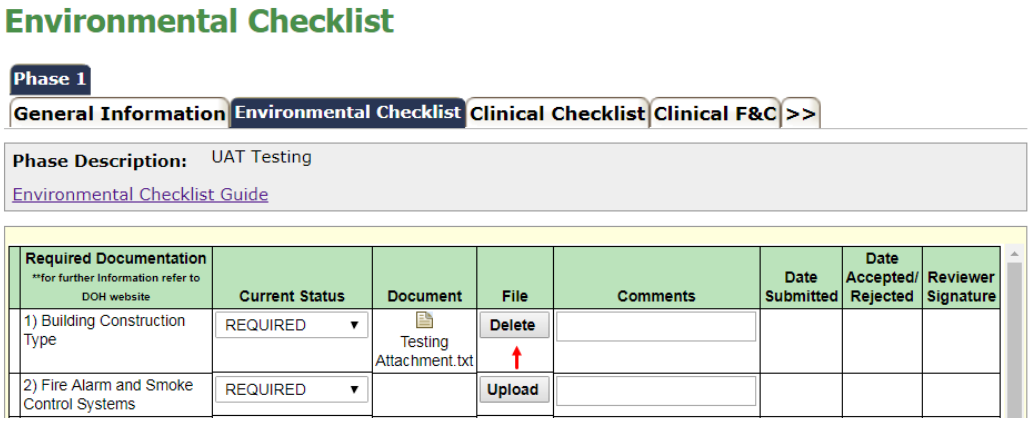
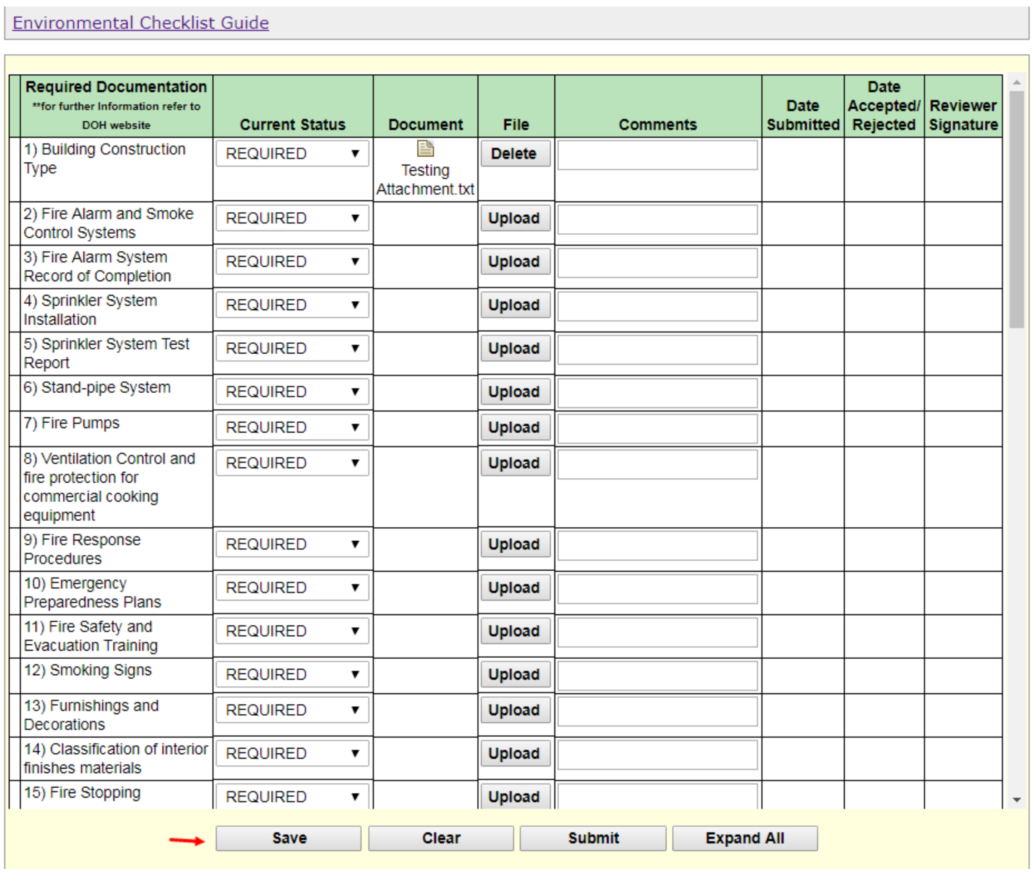
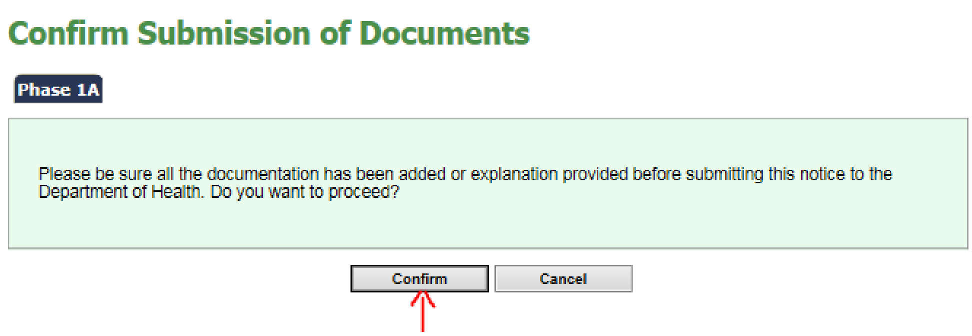
Figure 45: Add Checklist Attachment.</td></tr>
<tr><td></td><td>6</td><td>Click Add Attachment


Figure 46: Add Attachment.</td></tr>
</table>

	7	The added **attachment** is indicated by the document icon on the table. *Note: The upload button changes to a **Delete** button to accommodate correction.  *Figure 47: Document uploaded can be deleted before saving*
	8	To add any comments about the uploaded document, make entries in the **Comments** textbox in the corresponding row (Optional).

	9	Click **Save** to save all work when complete. Checklist items may be saved as entered or saved when all have been entered. **Note: HOWEVER, if multiple documents must be added for an <u>individual checklist item</u>, each document must be <u>saved after every upload.</u>*  *Figure 48: Saving the Uploaded document*
	11	To submit the uploaded documents: Click **Submit.** (Refer fig 48) The submission confirmation screen displays. Click **Confirm.**  *Figure 49: Submission confirmation*

Changing status of a checklist item to N/A

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="3">How to change the Status of the Checklist item from Required to N/A</td><td>1</td><td>

The default status for all items on the checklist table is set as **Required.**

Select **N/A** if the item is not applicable to the phase.

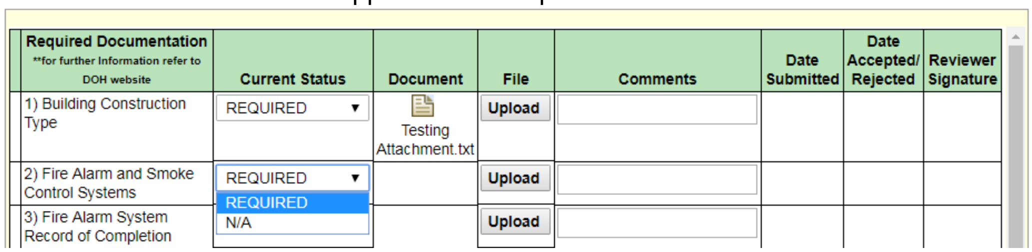


Figure 50: Drop down list of Status_ Selecting N/A

</td></tr>
<tr><td>2</td><td>

Provide the reason the checklist item is not applicable to the project phase in the **Comments** column.

*Note: Providing a <u>comment is required if the status is set to N/A</u>, to submit the checklist.

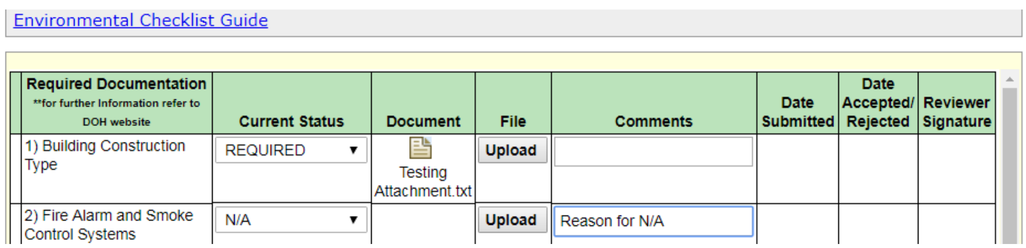


Figure 51: Providing comments for N/A

</td></tr>
<tr><td>3</td><td>Click Save to save the information or Submit to notify the Regional Office that the required information has been provided.</td></tr>
</table>

Corrective Action Plan (CAP)

Add, Save and Submit CAP

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to Add and Submit CAP</td><td>1</td><td>On the F&C (Findings and CAP) tab, click CAP/ Ext Request
<u>DO NOT ENTER CAPs</u> in the Comments field.

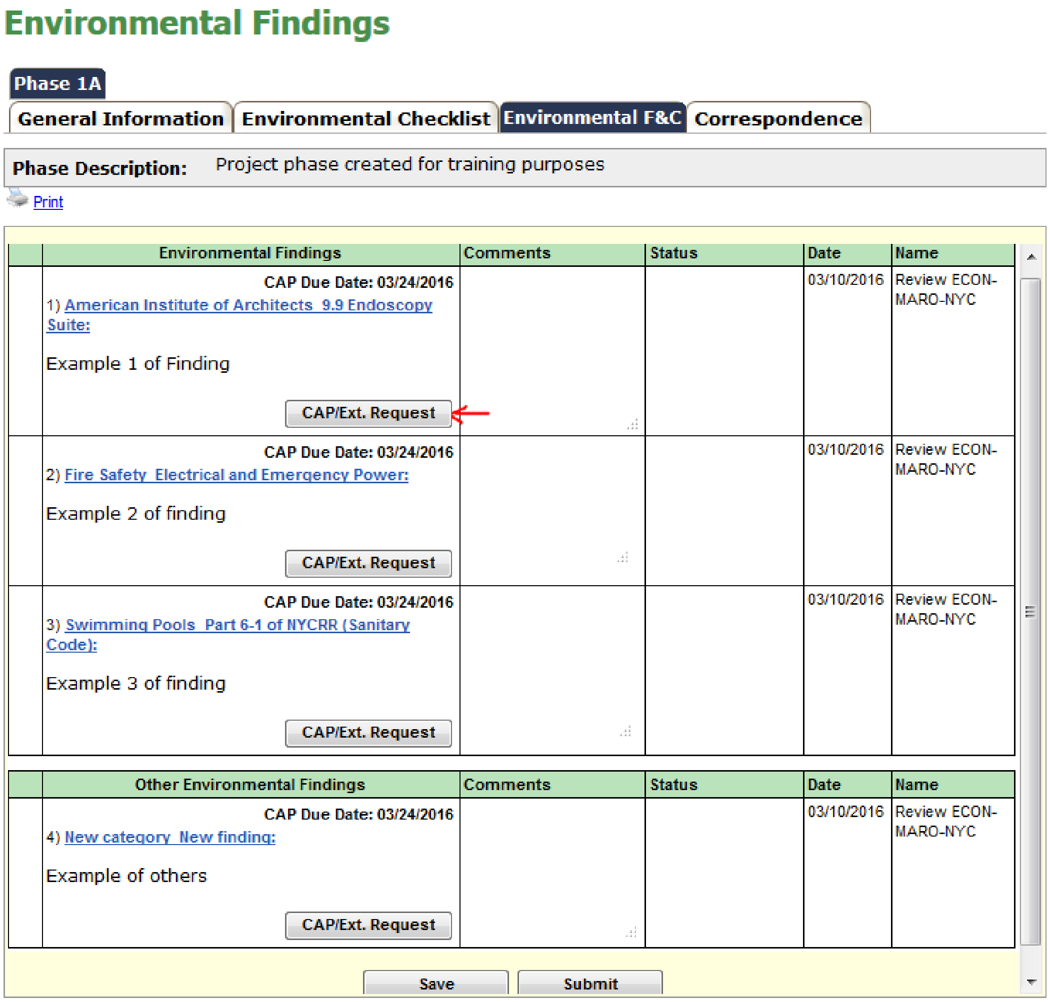
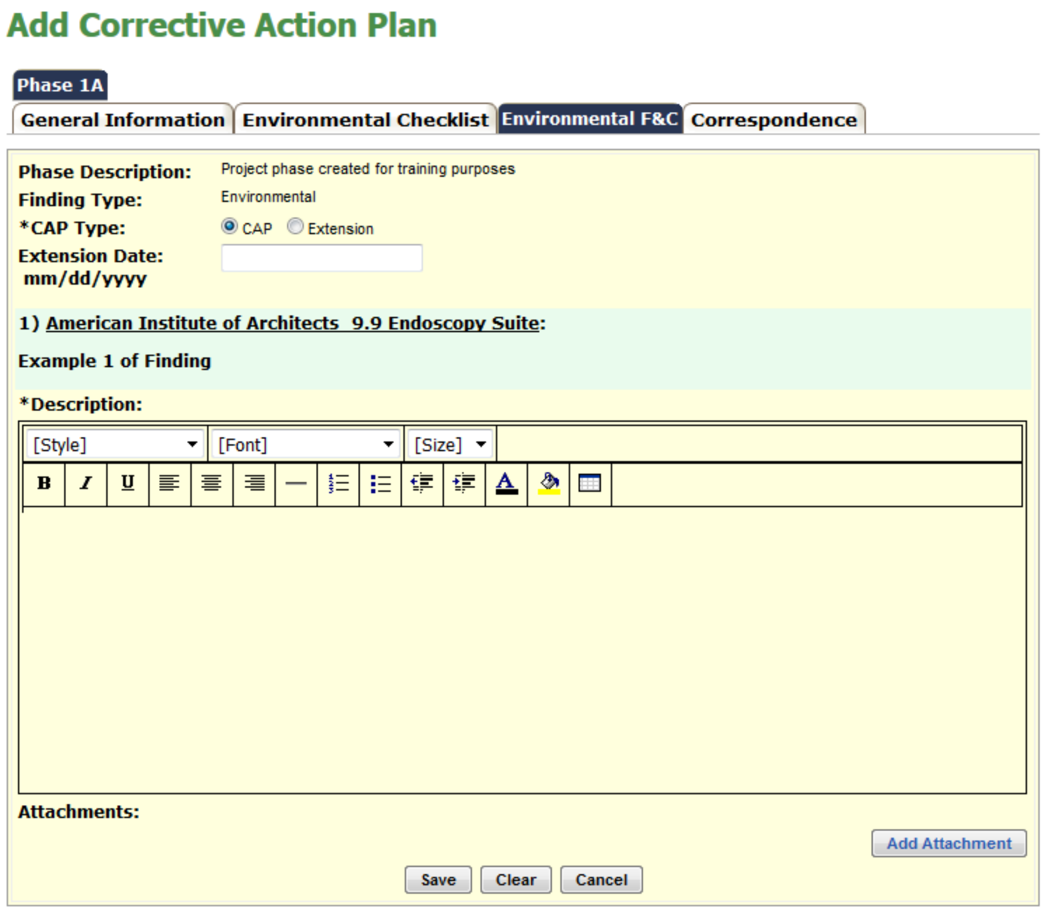


Figure 52: Survey F&C tab</td></tr>
</table>

	2	The **Add Corrective Action Plan** screen is displayed  *Figure 53: Add CAP page*
	3	Leave CAP type as **CAP,** (*Default value*).
	4	Enter a **Description**

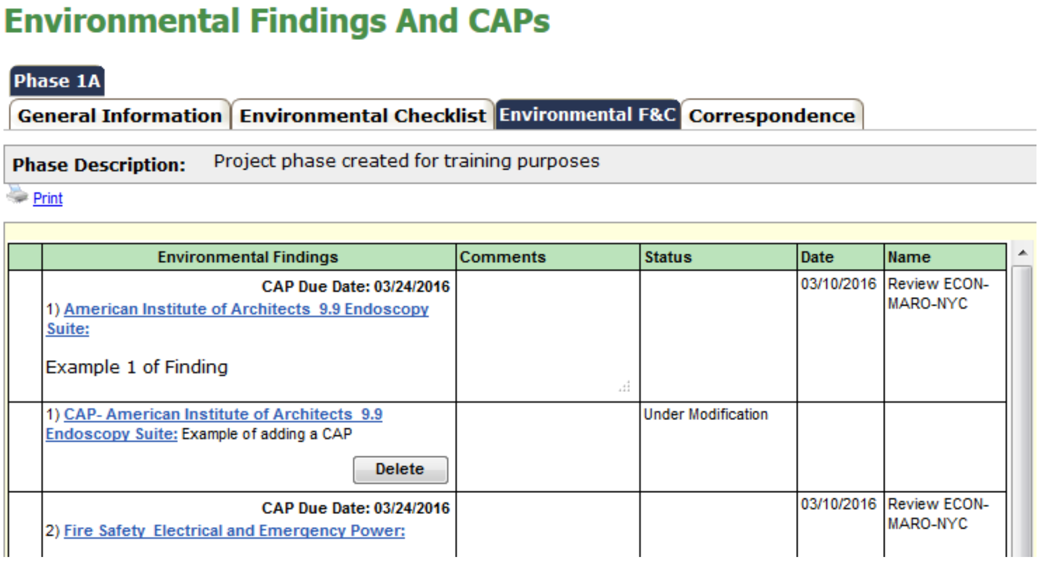
<table>
<tr>
<td></td>
<td>5</td>
<td>Click Save. The Survey F&C screen appears with the added CAP


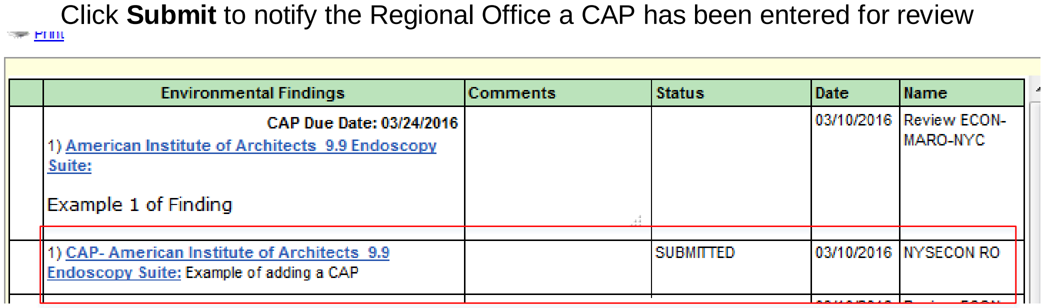
Figure 54a: F&C table After Saving the CAP</td>
</tr>
<tr>
<td></td>
<td>6</td>
<td>Click Submit to notify the Regional Office a CAP has been entered for review


Figure 54b: F&C table After Submitting the CAP.</td>
</tr>
</table>

Modify CAP

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to Modify CAP</td><td>1</td><td>
CAPs can be modified before submission, or when rejected by the Regional Office reviewer.

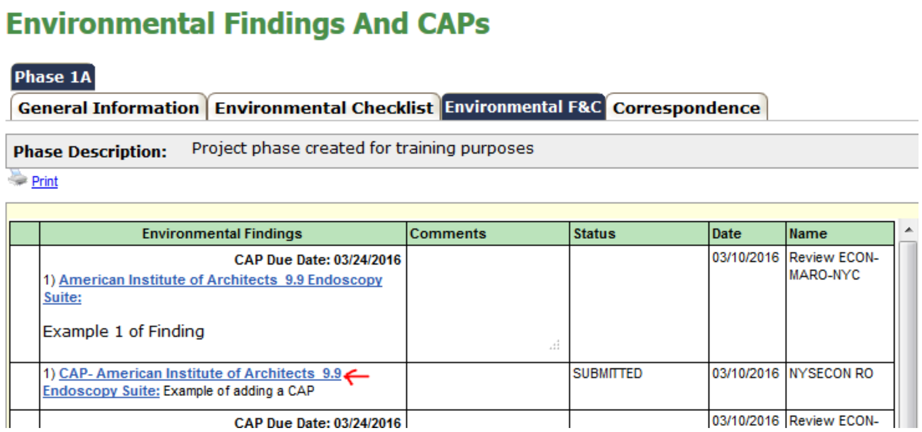
On the Survey F&C tab, click on the Hyperlink of the CAP


Figure 55: Survey F&C tab, Showing CAP hyperlink
</td></tr>
</table>

	2	**Modify Corrective Action Plan** screen is displayed.

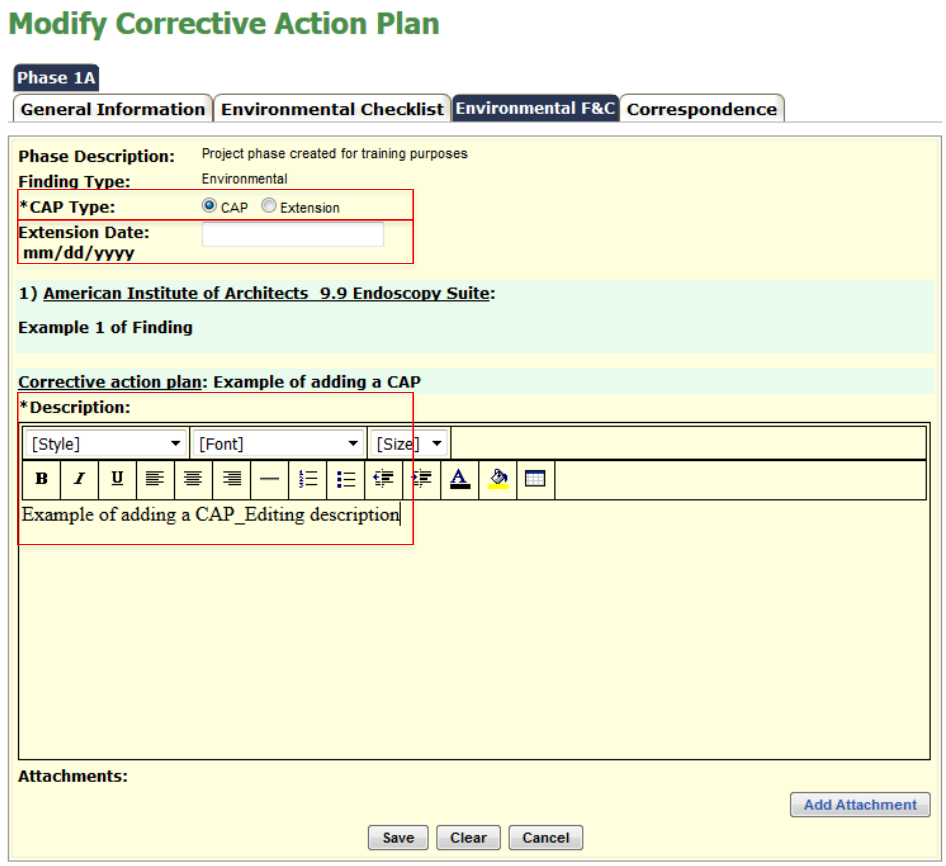


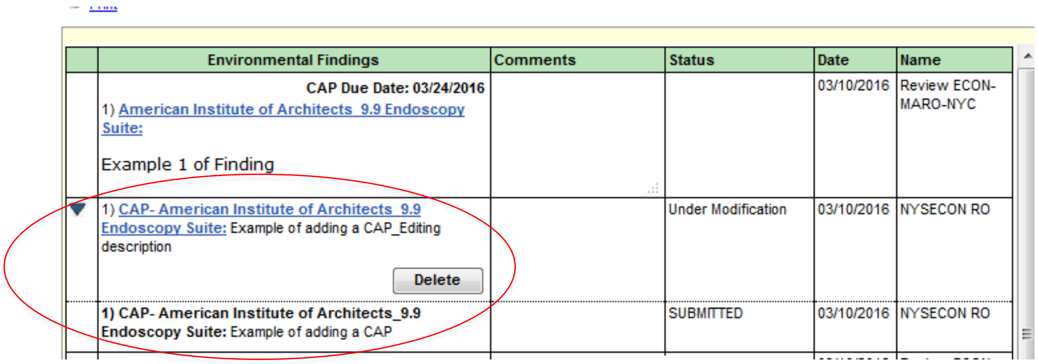
Figure 56: Modify CAP

	3	Change the **CAP Type** selection, from CAP to Extension if an extension request is necessary. If there was an extension filed which requires a CAP submission, change selection to CAP.
	4	Provide or modify the **Extension Date**, if applicable.
	5	Modify the **Description**
	6	Add Attachments, if any.
	7	Click **Save/ Request Extension**

8

The Survey Findings and CAPs screen is displayed. If another CAP has to be modified, repeat steps 1-7 on this section. After all the modifications have been made and saved, click **Submit** to notify the Reviewer of the Modification(s).

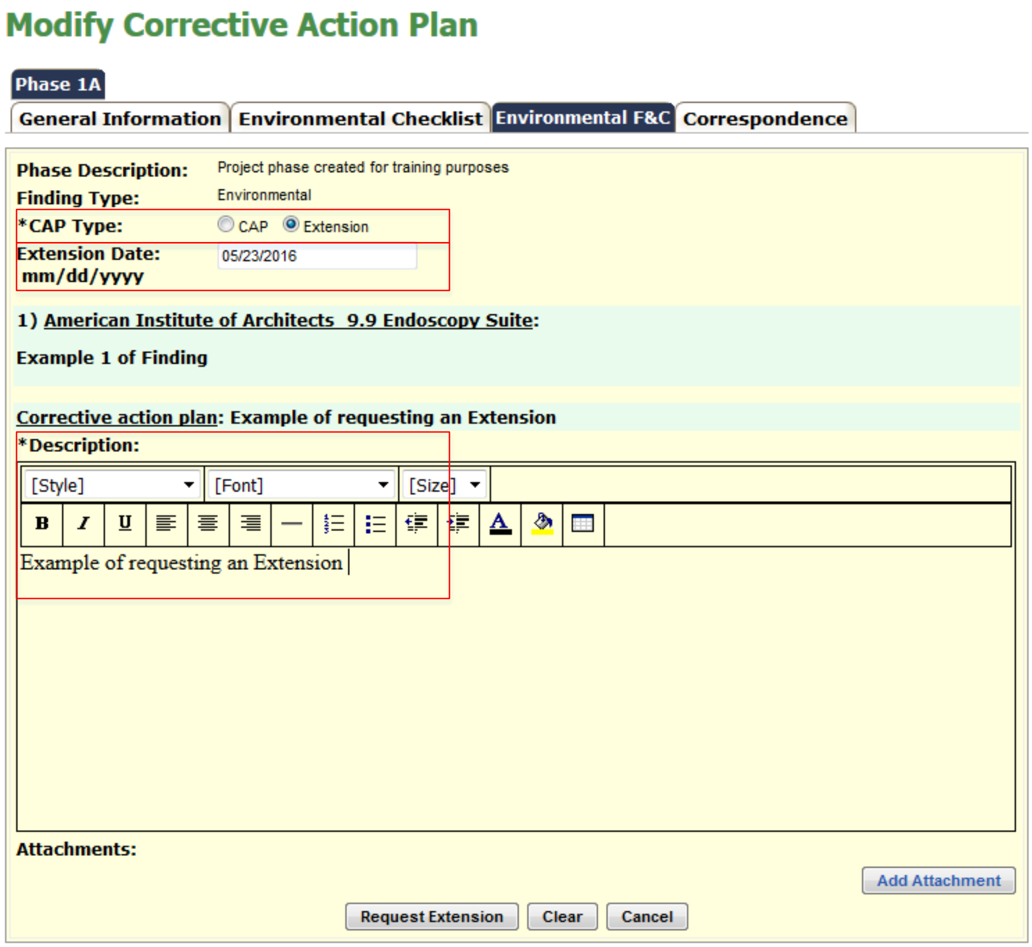
Note: A modification can only be deleted before submission



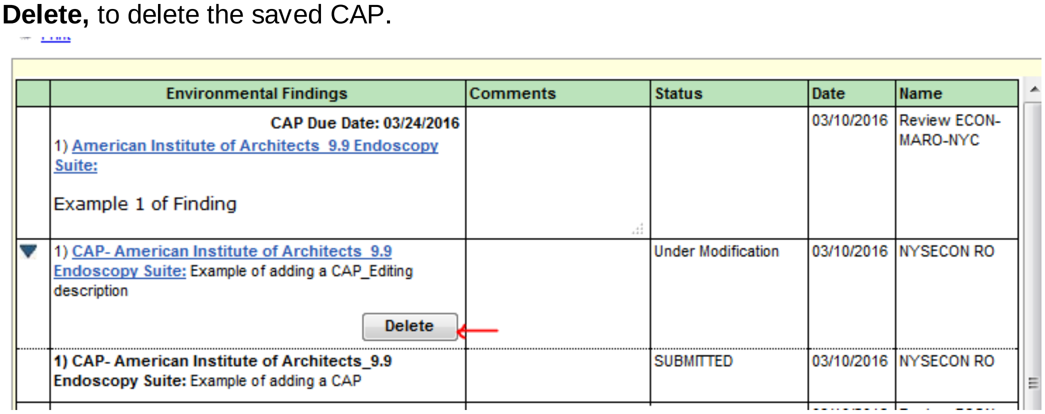
	Environmental Findings	Comments	Status	Date	Name
	CAP Due Date: 03/24/2016 1) American Institute of Architects 9.9 Endoscopy Suite: Example 1 of Finding			03/10/2016	Review ECON-MARO-NYC
	1) CAP- American Institute of Architects 9.9 Endoscopy Suite: Example of adding a CAP_Editing description Delete		Under Modification	03/10/2016	NYSECON RO
	1) CAP- American Institute of Architects_9.9 Endoscopy Suite: Example of adding a CAP		SUBMITTED	03/10/2016	NYSECON RO

Figure 57: Survey F&C Table recording Modification Submission, with history

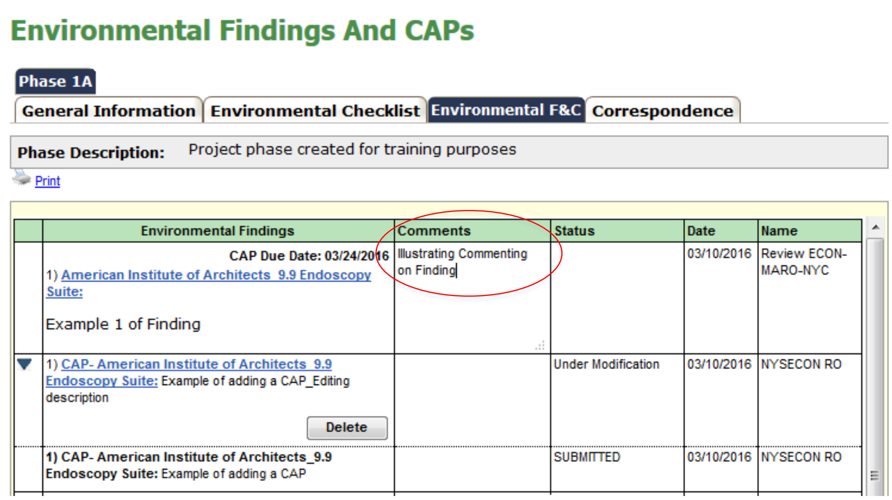
Request Extension for CAP submission

Learning Objective	Step	Action
How to request an Extension	**1**	On the **Add Corrective Action plan page, or Modify Corrective Action Plan** page, select **CAP type** as **Extension**  *Figure 58: Survey F&C tab*
	2	Enter the **Extension Date**
	3	Enter / edit the **Description**
	4	Click **Request Extension**

Delete CAP

Learning Objective	Step	Action
How to Delete a CAP	**1**	On the **Survey F&C** tab, after the CAP has been saved (but not submitted), click **Delete,** to delete the saved CAP.  *Figure 59: Survey F&C tab- Delete after Save* *Note: CAP once submitted cannot be deleted.*

Comment on Finding

Learning Objective	Step	Action
How to Comment on Findings	**1**	On the **Survey F&C** tab, select the **Comments** box, and type the text message (maximun 1000 character length). <u>**Comments**</u> are for supplemental information <u>ONLY</u>. CAPs can not be accepted in the **Comment**s column.  *Figure 60: Comment for Finding.*

	2	Click **Save**, to save the comment for later submission or Click **Submit** to submit the comment and notify the Reviewer of the submission. *Note: Applicant can comment on the findings only.*

Notifications

Schedule Survey correspondence

When the Reviewer schedules a survey for a regional office review, the following email notification is received. Select the link within the email notification to enter NYSE-CON and be directed to the Correspondence tab on the **Regional Office Tab**. If you are not logged into the system you will be redirected to the Login page. After you log in please select this link again to continue to the regional office information.

	Email Notification Sent
1	Regional office Applicants

From: NYS Department of Health [mailto:nysecon@health.ny.gov]
Sent: Thursday, January 28, 2016 12:04 PM
To: Das, Sagarnil (ITS) <Sagarnil.Das@its.ny.gov>
Subject: Sent from DEV Environment - CON Application No. 102473, Albany County Nursing Home , Facility ID 8888, Review ECON Schedule Survey multiple survey(s) for Phase 7

Notification Date: 01/28/2016

NYS Department of Health, NYSE-CON notification:
There is new correspondence created by Review ECON for CON Application No. 102473, submitted on behalf of Albany County Nursing Home , Facility ID 8888 to Schedule Survey survey(s).

***Log into the NYSE-CON system to view the correspondence. This correspondence hyperlink will be available in the Regional Office Correspondence tab. You may use the Reply functionality on the View Correspondence page to respond.
If you wish to respond to the correspondence more than once, please access the original message hyperlink created by the reviewer to Reply.
***To upload checklist documents please access the checklist tabs in the Regional Office module.

If you are using NYSE-CON via the Health Commerce System (HCS) use this link
https://devcommerce.health.state.ny.us/doh2/applinks/nysecon/ro/referenceCorrespondenceRo?id=22086

If you are not logged into the NYSE-CON system you will be redirected to the Login page.

Figure 61: Sample Notification Email for Schedule Survey correspondence

View Correspondence

(Survey, General, Checklist, Findings and CAP, Email Log and Phone Log)

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">How to view a correspond-ence</td><td>1</td><td>Select the ‘Regional Office’ tab.
Select the Correspondence tab.

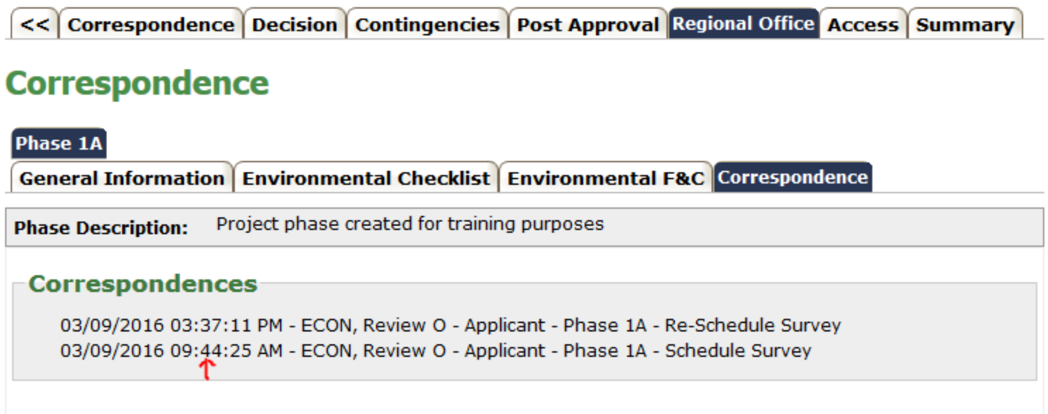


Figure 61: Correspondence Screen</td></tr>
<tr><td>2</td><td>The screen contains the hyperlinks to the correspondence created in chronological order of occurrence.
Click on the hyperlink to access the content of the correspondence.</td></tr>
<tr><td></td><td>3</td><td>The View Survey Correspondence screen is now displayed.

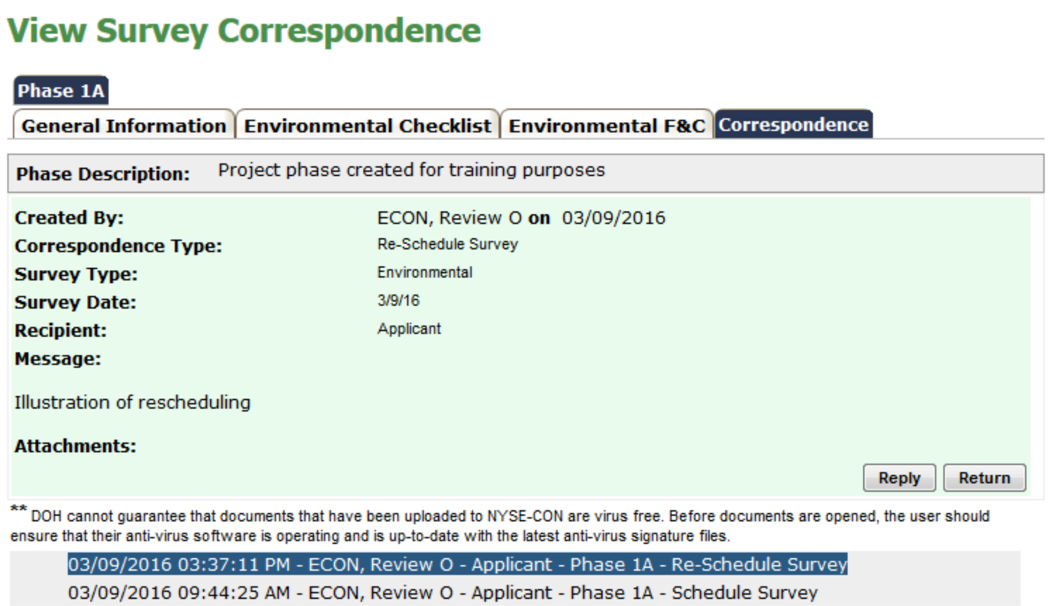


Figure 62: View Survey Correspondence Screen</td></tr>
</table>

Reply to Correspondence

(Applies to Survey, Checklist, General, Finding and CAPs correspondence)

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to reply to correspond-ence</td><td>1</td><td>
On the View Correspondence page, click Reply

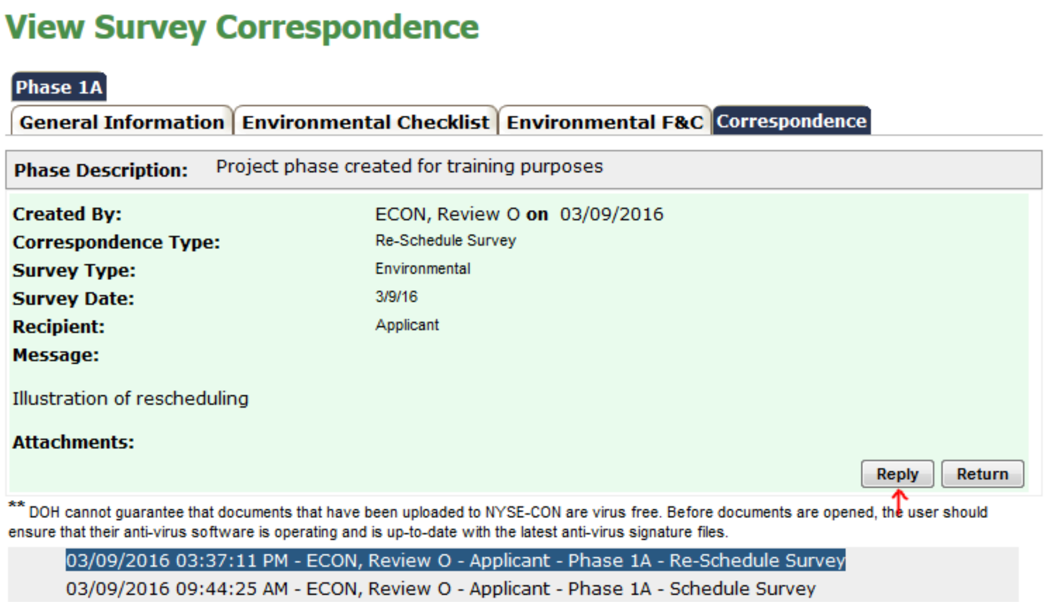


Figure 63: Reply Button on View correspondence screen
</td></tr>
</table>

<table>
<tr><td></td><td>2</td><td>Enter the message in the text area provided.

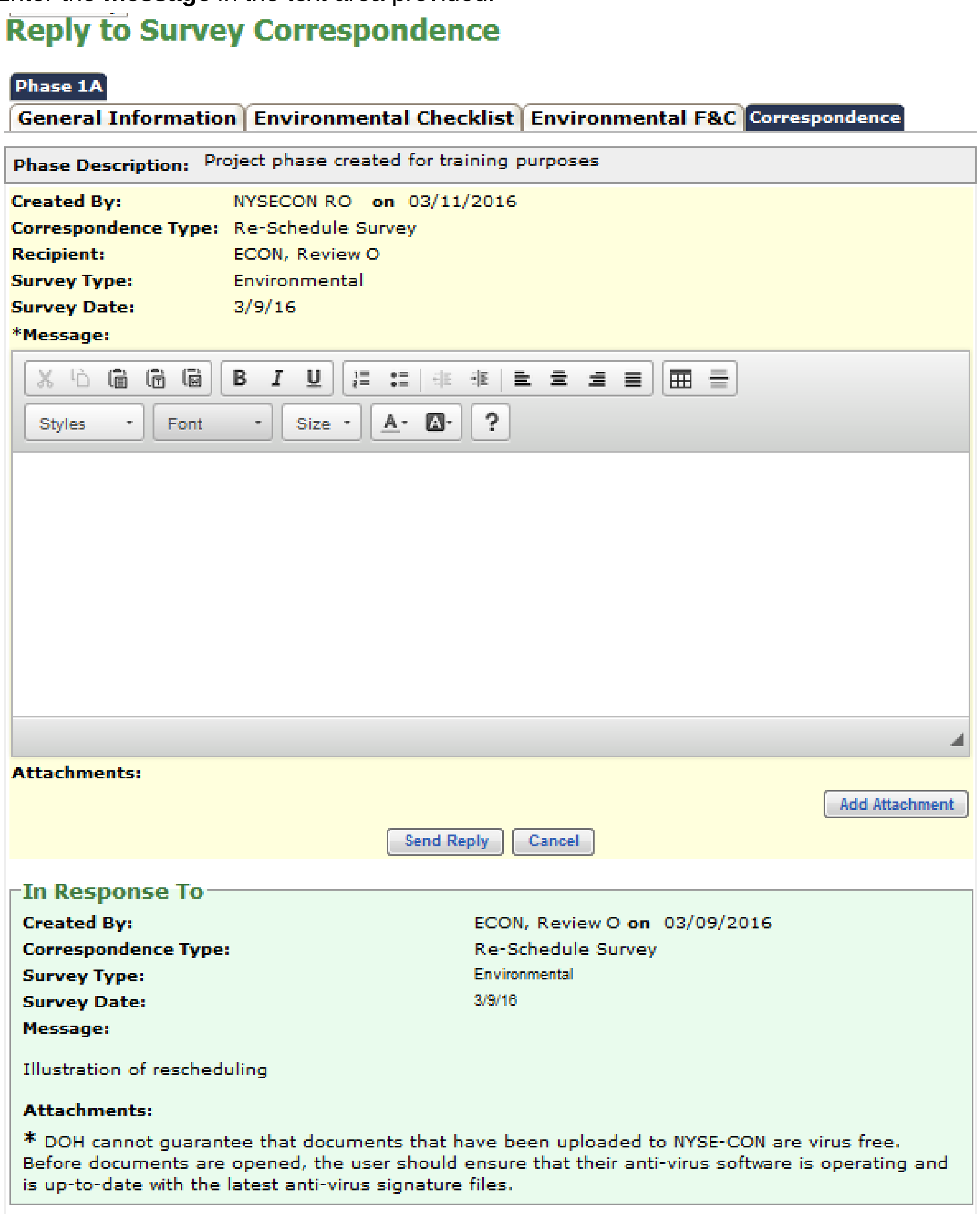


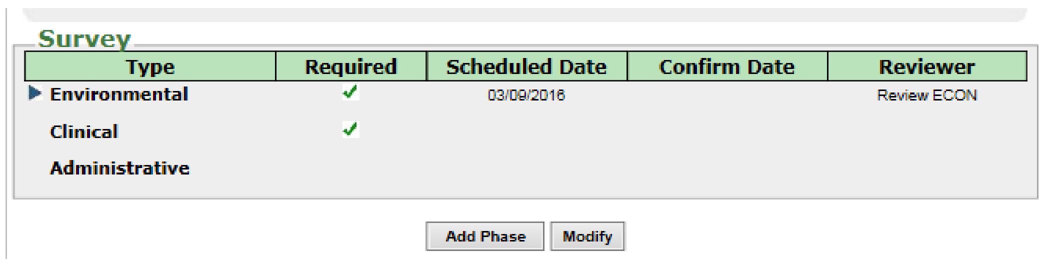
Figure 64: Reply Correspondence screen</td></tr>
<tr><td></td><td>3</td><td>Add Attachment if required.</td></tr>
<tr><td></td><td>4</td><td>Click Send Reply</td></tr>
</table>

Appendix _1

Referencing the Survey Schedule History Table

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to View the History of survey activity</td><td>1</td><td>

The **Survey** table (containing the history of schedules specific to each survey) is located in the bottom frame of the **General Information** page.



Survey

Type	Required	Scheduled Date	Confirm Date	Reviewer
Environmental	✓	03/09/2016		Review ECON
Clinical	✓			
Administrative				

Add Phase Modify

Figure 65: Survey table

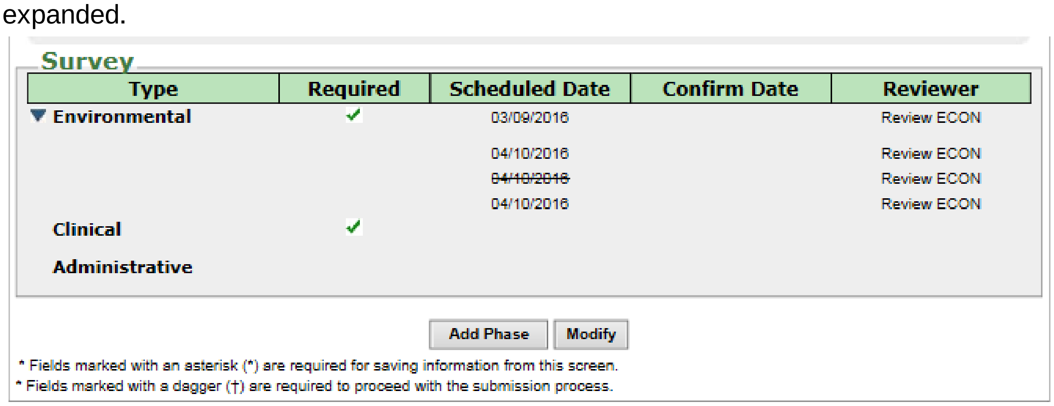
</td></tr>
<tr><td></td><td>2</td><td>

All survey activity (schedule, confirm, re-schedule, and cancel) appears in the survey table. The history of survey activity is maintained.

The survey information appears as follows:

- Type of survey(s) selected by the Regional Office for the project (Marked with ✓)
  This tick mark appears even if the survey(s) are not scheduled yet. They are indicative of the survey(s) that are selected for the project by the Regional Office staff.
- The Scheduled date - the date is created when the Reviewer first schedules the survey and is updated every time the survey is rescheduled.
- Name of the Reviewer

*Note: A toggle {▶} button is provided so, when clicked, the survey history will be expanded.



Survey

Type	Required	Scheduled Date	Confirm Date	Reviewer
Environmental	✓	03/09/2016		Review ECON
		04/10/2016		Review ECON
		~~04/10/2016~~		Review ECON
		04/10/2016		Review ECON
Clinical	✓			
Administrative				

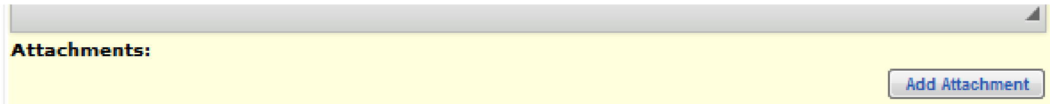
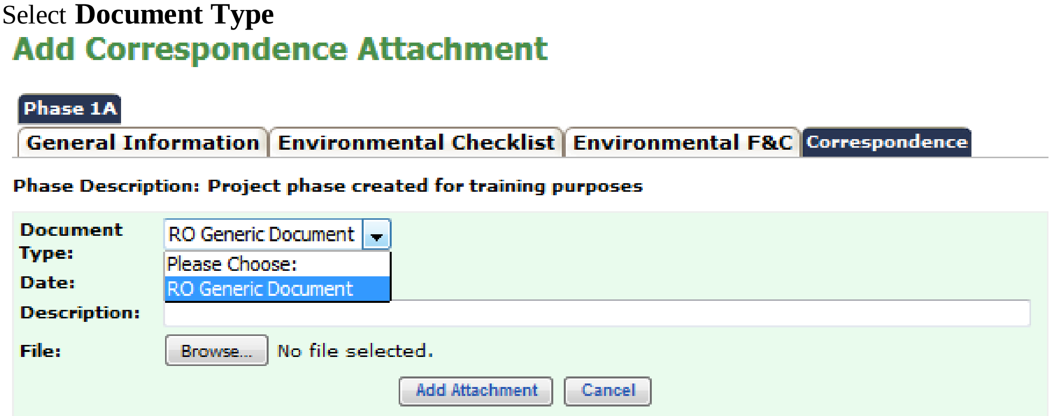
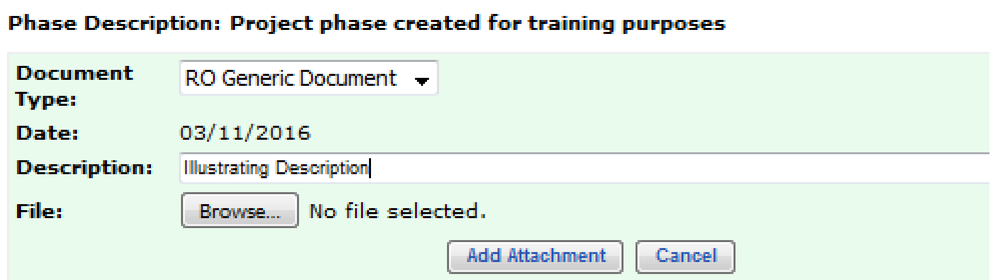
Add Phase Modify

* Fields marked with an asterisk (*) are required for saving information from this screen.
* Fields marked with a dagger (†) are required to proceed with the submission process.

Figure 66: Records created for Surveys Scheduled

</td></tr>
</table>

Adding an Attachment

Learning Objective	Step	Action
How to Add an Attachment	**1**	Click **Add Attachment** on the screen  *Figure 67: Add Attachment button*
	2	Select **Document Type**  *Figure 68: Drop down selection of Document Type*
	3	Enter the document **Description**  *Figure 69: Description of attachment*
	4	Click **Choose file / Browse** (As displayed on the browser)

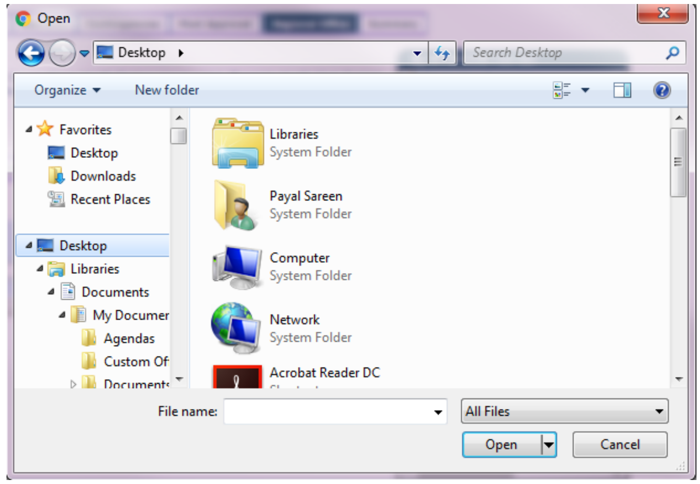
<table>
<tr><td></td><td>5</td><td>Browser window pops up. Select the file to be attached. Click Open.


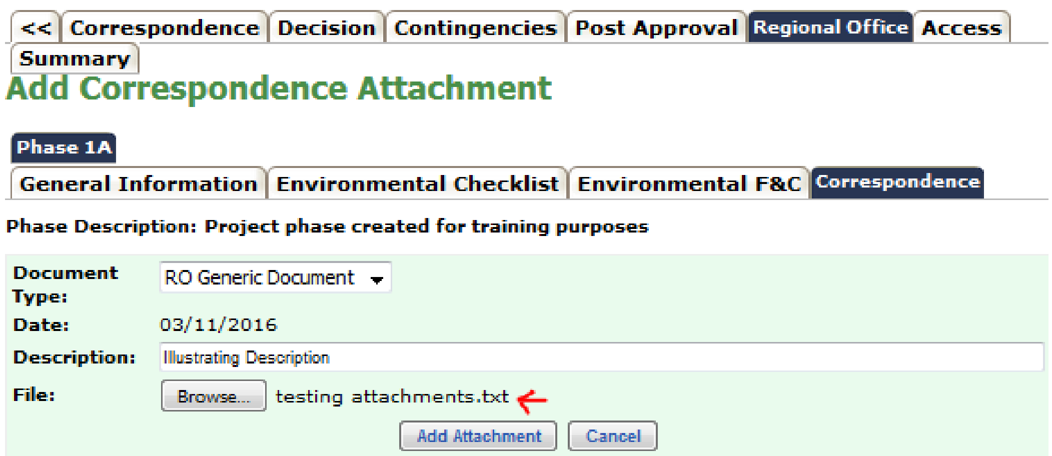
Figure 70: Browser Window for Attachments</td></tr>
<tr><td></td><td>6</td><td>The filename is shown as attachment on screen.


Figure 71: Attachment add to system

Click Add Attachment</td></tr>
</table>