

---

**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 <ul style="list-style-type: none"> <li>• Screen layout changed</li> <li>• Phase ID can be manually changed</li> <li>• Federal 855 does not default to yes or no.</li> <li>• Federal 855 expiration date field added</li> <li>• Data can be modified after submission</li> </ul> Reviewer Schedules surveys- <ul style="list-style-type: none"> <li>• Schedule, reschedule and confirm functionality provided</li> </ul> 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

## Table of Contents

Revision History .....	2
Applicant initiates Regional Office review .....	- 6 -
<b>SUBMITTING A REQUEST FOR REVIEW .....</b>	<b>- 8 -</b>
<b>Create a Phase .....</b>	<b>- 8 -</b>
<b>Add Contacts .....</b>	<b>- 11 -</b>
<b>Attach / Delete Notice of Appearance (NOA) for contacts .....</b>	<b>- 13 -</b>
<b>Modify contact information .....</b>	<b>- 15 -</b>
<b>Change Primary contact .....</b>	<b>- 16 -</b>
<b>Expire a Contact .....</b>	<b>- 17 -</b>
<b>Reactivate a Contact .....</b>	<b>- 18 -</b>
<b>Submit a Request to Regional Office .....</b>	<b>- 19 -</b>
<b>Modify the general information after submitting the request to RO. ....</b>	<b>- 20 -</b>
<b>Modify Target opening date .....</b>	<b>- 20 -</b>
<b>Modify Requested Survey Date range .....</b>	<b>- 23 -</b>
<b>Modify Federal 855 expiration date .....</b>	<b>- 24 -</b>
<b>Modify Federal Tax ID # .....</b>	<b>- 26 -</b>
<b>Add, Cancel, Delete a new phase .....</b>	<b>- 28 -</b>
<b>CHECKLIST DOCUMENTS .....</b>	<b>- 31 -</b>
<b>Uploading, Deleting, Saving and Submitting Checklist Documents .....</b>	<b>- 31 -</b>
<b>Changing status of a checklist item to N/A .....</b>	<b>- 36 -</b>
<b>CORRECTIVE ACTION PLAN (CAP) .....</b>	<b>- 37 -</b>
<b>Add, Save and Submit CAP .....</b>	<b>- 37 -</b>
<b>Modify CAP .....</b>	<b>- 40 -</b>
<b>Request Extension for CAP submission .....</b>	<b>- 43 -</b>
<b>Delete CAP .....</b>	<b>- 44 -</b>
<b>COMMENT ON FINDING .....</b>	<b>- 44 -</b>
<b>NOTIFICATIONS .....</b>	<b>- 45 -</b>
<b>Schedule Survey correspondence .....</b>	<b>- 45 -</b>
<b>VIEW CORRESPONDENCE .....</b>	<b>- 46 -</b>
<b>REPLY TO CORRESPONDENCE .....</b>	<b>- 47 -</b>
<b>APPENDIX _1 .....</b>	<b>- 49 -</b>
<b>Referencing the Survey Schedule History Table .....</b>	<b>- 49 -</b>
<b>Adding an Attachment .....</b>	<b>- 50 -</b>

## Table of Figures

Figure 1: Regional office: General Information page.....	- 6 -
Figure 2: Creating a Phase.....	- 9 -
Figure 3: Saving a Phase.....	- 10 -
Figure 4: Add Contact –General Information page.....	- 11 -
Figure 5: New Contact Information.....	- 12 -
Figure 6: Contact type.....	- 12 -
Figure 7 Contacts have been added.....	- 13 -
Figure 8: Add NOA Attachment.....	- 13 -
Figure 9: Add NOA Attachment.....	- 14 -
Figure 10: Browse for document.....	- 14 -
Figure 11: Attachment path is reflected in the File.....	- 14 -
Figure 12: Attachment Added and ‘Delete’ button visible.....	- 15 -
Figure 13: Name link in contact table on General Information page.....	- 15 -
Figure 14: Modify Contact Information.....	- 15 -
Figure 15: Modified Contact Information.....	- 16 -
Figure 16: Name link in contact table on General Information page.....	- 16 -
Figure 17: Select Primary in ‘Type’.....	- 16 -
Figure 18: Type Changed: Changes reflected in contact table.....	- 17 -
Figure 19: ‘Name hyperlink - Expire the contact.....	- 17 -
Figure 20: Contact Table- Contact Expired.....	- 17 -
Figure 21: Contact Table- Contact Expired.....	- 18 -
Figure 22: Click name marked ‘Expire’.....	- 18 -
Figure 23: Reactivate contact information screen.....	- 18 -
Figure 24: Reactivated contact: Expire marking removed.....	- 19 -
Figure 25: Requested Survey Dates.....	- 19 -
Figure 26: Federal 855 Information.....	- 19 -
Figure 27: Screen To Submit.....	- 20 -
Figure 28a: Modification.....	- 21 -
Figure 28b: Screen to Modify.....	- 22 -
Figure 29: Select cell to modify Target opening date.....	- 22 -
Figure 30a: New date Saved- Toggle on the side.....	- 23 -
Figure 30b: New date Saved- Showing History toggle down.....	- 23 -
Figure 31: Modify Survey date From.....	- 23 -
Figure 32: Modify Survey Date TO.....	- 23 -
Figure 33: New survey dates saved.....	- 24 -
Figure 34: On clicking Modify Fed 855 expiration date allows editing.....	- 24 -
Figure 35a: Save.....	- 25 -
Figure 35b: New Date Saved.....	- 25 -
Figure 35c: History accessible by toggle.....	- 25 -
Figure 36a: Clearing the earlier entry.....	- 26 -
Figure 36b: Enter New Tax ID #.....	- 26 -
Figure 37: Click Save.....	- 27 -
Figure 38: Adding new phase.....	- 28 -
Figure 39: New phase –General Information screen.....	- 30 -
Figure 40: New phase –General Information screen- Delete Phase.....	- 31 -
Figure 41: Selecting the Survey Checklist Tab.....	- 32 -
Figure 42: Environmental checklist table on the Environmental checklist page.....	- 32 -
Figure 43: Uploading document for building construction type.....	- 32 -
Figure 44: Add Checklist Attachment.....	- 33 -
Figure 45: Add Checklist Attachment.....	- 33 -
Figure 46: Add Attachment.....	- 33 -
Figure 47: Document uploaded can be deleted before saving.....	- 34 -
Figure 48: Saving the Uploaded document.....	- 35 -
Figure 49: Submission confirmation.....	- 35 -

Figure 50: Drop down list of Status_ Selecting N/A.....	- 36 -
Figure 51: Providing comments for N/A.....	- 36 -
Figure 52: Survey F&C tab.....	- 37 -
Figure 53: Add CAP page.....	- 38 -
Figure 54a: F&C table After Saving the CAP.....	- 39 -
Figure 54b: F&C table After Submitting the CAP.....	- 39 -
Figure 55: Survey F&C tab, Showing CAP hyperlink.....	- 40 -
Figure 56: Modify CAP.....	- 41 -
Figure 57: Survey F&C Table recording Modification Submission, with history.....	- 42 -
Figure 58: Survey F&C tab.....	- 43 -
Figure 59: Survey F&C tab- Delete after Save.....	- 44 -
Figure 60: Comment for Finding.....	- 44 -
Figure 61: Sample Notification Email for Schedule Survey correspondence.....	- 45 -
Figure 61: Correspondence Screen.....	- 46 -
Figure 62: View Survey Correspondence Screen.....	- 46 -
Figure 63: Reply Button on View correspondence screen.....	- 47 -
Figure 64: Reply Correspondence screen.....	- 48 -
Figure 65: Survey table.....	- 49 -
Figure 66: Records created for Surveys Scheduled.....	- 49 -
Figure 67: Add Attachment button.....	- 50 -
Figure 68: Drop down selection of Document Type.....	- 50 -
Figure 69: Description of attachment.....	- 50 -
Figure 70: Browser Window for Attachments.....	- 51 -
Figure 71: Attachment add to system.....	- 51 -

### 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:**  (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
<input type="button" value="Add Contact"/>						

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
<input type="text"/>	From: <input type="text"/> To: <input type="text"/>	<input type="text"/>

†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				

\* 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

<b>General Information Page - Field Descriptions</b>	
<b>Field Name</b>	<b>Description</b>
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.
<b>Buttons</b>	
Add Contact Button	Button used for navigating the Applicant to the <b>Add New Contact Information</b> screen.
Submit	Sends a notification to the Regional Office that the Applicant is requesting regional office review. Information must be <b>SUBMITTED</b> for the Regional Office reviewer to take <u>ANY</u> action on a request. Once the <b>Submit</b> button is clicked, the only functionality available to the Applicant would be <b>Add contact</b> .
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.
<b>Tables</b>	

Contacts	Table listing the details of the <b>Primary</b> and <b>Additional</b> 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

<p><b>Submitting a review request to the Regional office</b></p>	<p>Only an Applicant can initiate the request for regional office review</p> <p>Having received a “Contact the Regional Office” direction, the Applicant will access the <b>Regional Office General Information</b> page by selecting the <b>Regional Office</b> tab for the project.</p> <p>In order to submit a request for review, the Applicant must do the following:</p> <ul style="list-style-type: none"> <li>• Create a phase</li> <li>• Provide contact details for the project</li> <li>• Provide Survey date range</li> <li>• Indicate Federal 855 requirement and provide the related information.</li> </ul> <p>Refer to Figure 1 above for the screen and table above for the field descriptions</p>
--	---

### Create a Phase

Learning Objective	Step	Action
--------------------	------	--------



**How to Create and Save a Phase**

**1** On the Regional Office tab, find the **Phase 1** tab containing the **General Information** and **Correspondence** tabs.

The screenshot shows a web application interface for a nursing home company. At the top, there is a navigation bar with tabs: << Correspondence, Decision, Contingencies, Post Approval, **Regional Office**, Access, and Summary. Below this, the 'Phase 1' section is active, with sub-tabs for 'General Information' and 'Correspondence'. The 'General Information' section contains three input fields: '\*Phase ID:' with the value '1' and a note '(e.g: 1a, 1(a),1(i) ,2b)', '\*Phase Description:' with a dropdown arrow, and 'Federal Tax Id #:' with a note '(If Applicable)'. Below this is a 'Contacts' section with a table header: Name, Title, Company, Office Phone, Mobile Phone, Email, NOA. An 'Add Contact' button is positioned below the table. At the bottom, there is a section for dates: '\*Target Opening Date' (input field), '†Requested Survey Dates' (From: input field, To: input field), and '†Applicant's Name/Date' (input field). A note above the date fields states '\*\*All Dates in MM/DD/YYYY format'.

*Figure 2: Creating a Phase*

- 2**
- 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**.

	<p>3</p>	<p>Click <b>Save</b> button to save the phase</p> <p><b>General Information</b></p> <p><b>Phase 1</b></p> <p><b>General Information</b> <b>Correspondence</b></p> <p>*Phase ID: <input type="text" value="1A"/> (e.g: 1a, 1(a),1(i) ,.2b)</p> <p>*Phase Description: <input type="text" value="Project phase created for training purposes"/></p> <p>Federal Tax Id #: <input type="text" value="123456789"/> (If Applicable)</p> <p><b>Contacts</b></p> <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Company</th> <th>Office Phone</th> <th>Mobile Phone</th> <th>Email</th> <th>NOA</th> </tr> </thead> <tbody> <tr> <td colspan="7" style="text-align: center;"><input type="button" value="Add Contact"/></td> </tr> </tbody> </table> <p>**All Dates in MM/DD/YYYY format</p> <table border="1"> <thead> <tr> <th>*Target Opening Date</th> <th colspan="2">†Requested Survey Dates</th> <th>†Applicant's Name/Date</th> </tr> </thead> <tbody> <tr> <td><input type="text" value="02142019"/></td> <td>From: <input type="text"/></td> <td>To: <input type="text"/></td> <td></td> </tr> </tbody> </table> <p>†Federal 855 required? <input type="radio"/> Yes <input type="radio"/> No    Approved Date: <input type="text"/>    Expiration Date: <input type="text"/></p> <p style="text-align: right;">**Date as provided by CMS</p> <p><b>Survey</b></p> <table border="1"> <thead> <tr> <th>Type</th> <th>Required</th> <th>Scheduled Date</th> <th>Confirm Date</th> <th>Reviewer</th> </tr> </thead> <tbody> <tr> <td>Environmental</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Clinical</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Administrative</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p style="text-align: center;"><input type="button" value="Save"/> <input type="button" value="Clear"/> <input type="button" value="Submit"/></p> <p style="text-align: center;"><i>Figure 3: Saving a Phase</i></p> <p>*Alternatively, clicking <b>Add Contact</b> button will also save the phase and navigate to the <b>New Contact Information</b> screen at the same time.</p> <p>The Applicant can then add the contacts associated with the project.</p> <p>On clicking <b>Save</b>, the functionality to <b>Add Phase</b> will be activated.</p> <p><u>Conditions that apply:</u></p> <p>The Phase Description, and Target Opening Dates are mandatory fields and must be completed in order to create another phase and save it.</p> <p>Once a phase has been created, the Applicant can save the information without submitting it to the Regional Office.</p>	Name	Title	Company	Office Phone	Mobile Phone	Email	NOA	<input type="button" value="Add Contact"/>							*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date	<input type="text" value="02142019"/>	From: <input type="text"/>	To: <input type="text"/>		Type	Required	Scheduled Date	Confirm Date	Reviewer	Environmental					Clinical					Administrative				
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA																																						
<input type="button" value="Add Contact"/>																																												
*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date																																									
<input type="text" value="02142019"/>	From: <input type="text"/>	To: <input type="text"/>																																										
Type	Required	Scheduled Date	Confirm Date	Reviewer																																								
Environmental																																												
Clinical																																												
Administrative																																												
	<p>4</p>	<p>To clear any unsaved data Click <b>Clear</b></p> <p>Note:</p> <p>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.</p>																																										

### Add Contacts

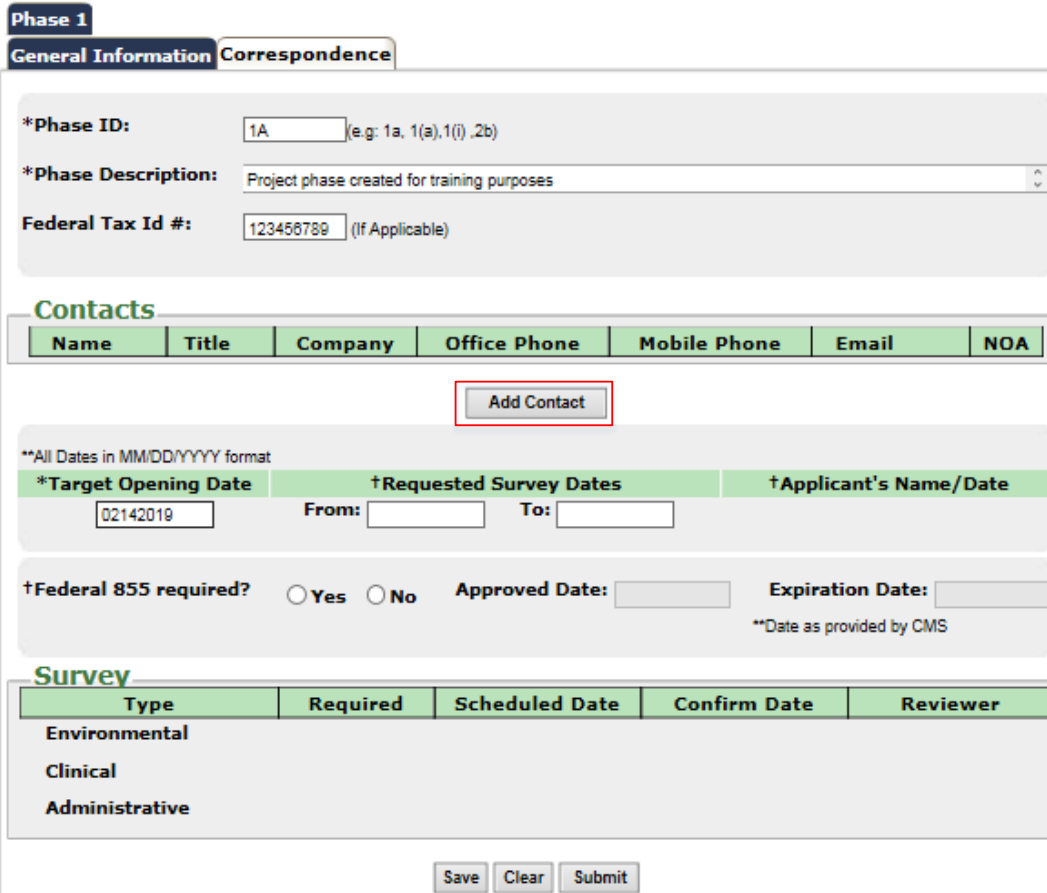
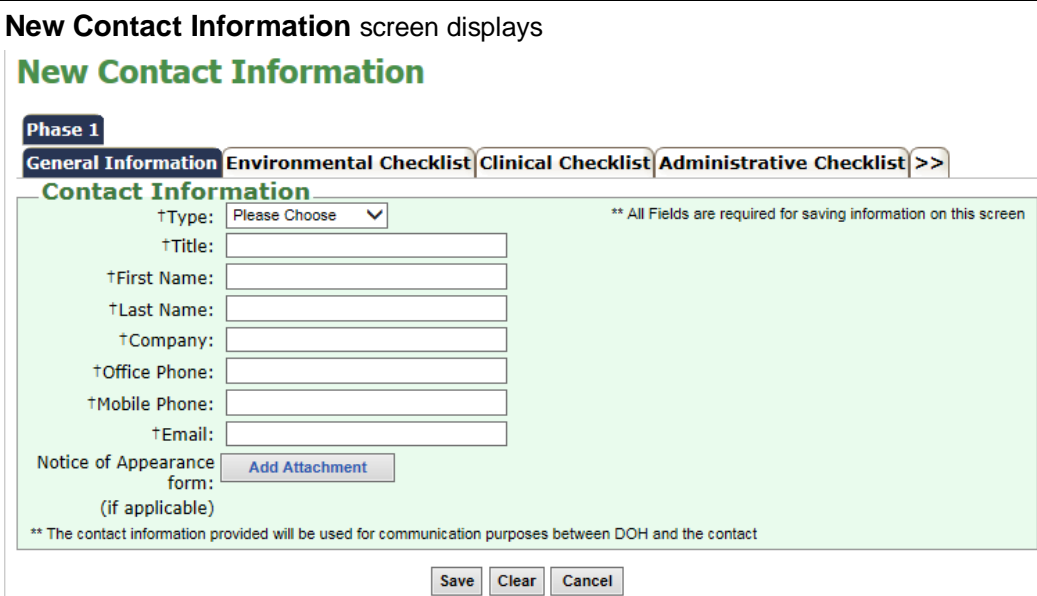
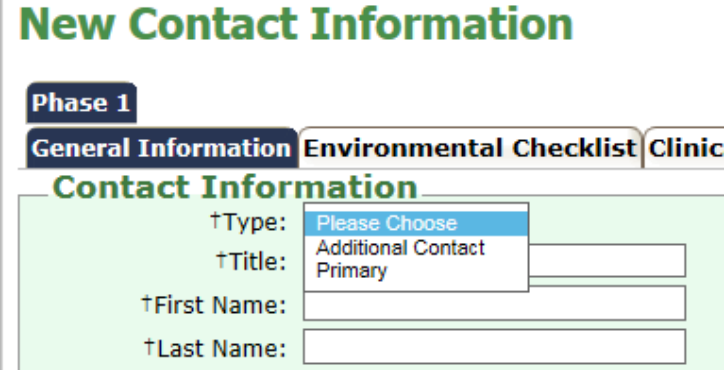

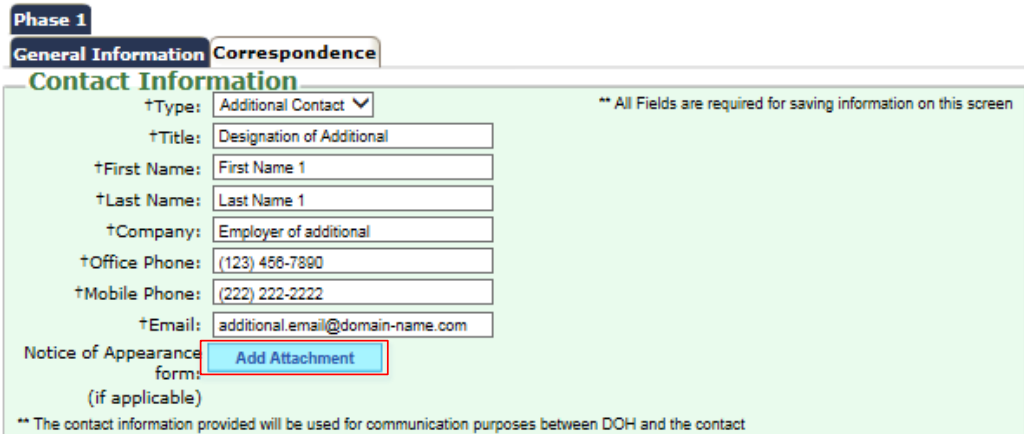
Add Contacts Learning Objective	Step	Action																																		
How to Add a contact	1	<p>On the Regional Office <b>General Information</b> page, Click the <b>Add Contact</b> button</p>  <p><b>General Information</b></p> <p><b>Phase 1</b></p> <p><b>General Information</b> <b>Correspondence</b></p> <p>*Phase ID: <input type="text" value="1A"/> (e.g: 1a, 1(a),1(i) ,2b)</p> <p>*Phase Description: <input type="text" value="Project phase created for training purposes"/></p> <p>Federal Tax Id #: <input type="text" value="123456789"/> (If Applicable)</p> <p><b>Contacts</b></p> <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Company</th> <th>Office Phone</th> <th>Mobile Phone</th> <th>Email</th> <th>NOA</th> </tr> </thead> <tbody> <tr> <td colspan="7" style="text-align: center;"><input type="button" value="Add Contact"/></td> </tr> </tbody> </table> <p>**All Dates in MM/DD/YYYY format</p> <p>*Target Opening Date: <input type="text" value="02142019"/> †Requested Survey Dates: From: <input type="text"/> To: <input type="text"/> †Applicant's Name/Date</p> <p>†Federal 855 required? <input type="radio"/> Yes <input type="radio"/> No Approved Date: <input type="text"/> Expiration Date: <input type="text"/>  <small>**Date as provided by CMS</small></p> <p><b>Survey</b></p> <table border="1"> <thead> <tr> <th>Type</th> <th>Required</th> <th>Scheduled Date</th> <th>Confirm Date</th> <th>Reviewer</th> </tr> </thead> <tbody> <tr> <td>Environmental</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Clinical</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Administrative</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p style="text-align: center;"><input type="button" value="Save"/> <input type="button" value="Clear"/> <input type="button" value="Submit"/></p>	Name	Title	Company	Office Phone	Mobile Phone	Email	NOA	<input type="button" value="Add Contact"/>							Type	Required	Scheduled Date	Confirm Date	Reviewer	Environmental					Clinical					Administrative				
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA																														
<input type="button" value="Add Contact"/>																																				
Type	Required	Scheduled Date	Confirm Date	Reviewer																																
Environmental																																				
Clinical																																				
Administrative																																				

Figure 4: Add Contact –General Information page

	<p><b>New Contact Information</b> screen displays</p>  <p style="text-align: center;"><i>Figure 5: New Contact Information</i></p>
<p><b>2</b></p>	<p>On the New Contact Information page, from the contact <b>Type</b> drop down list, select <b>Primary</b> in type.</p> <p><i>**When the first contact is added, the only contact designation option available is 'Primary', 'Additional' will be available when additional contacts are added.</i></p>  <p style="text-align: center;"><i>Figure 6: Contact type</i></p> <p><u>Conditions that Apply:</u></p> <ul style="list-style-type: none"> <li>• There must be at least one contact designated as <b>Primary</b>.</li> </ul>
<p><b>3</b></p>	<p>Enter <b>First Name</b> of the contact</p>
<p><b>4</b></p>	<p>Enter <b>Last Name</b> of the contact</p>
<p><b>5</b></p>	<p>Enter <b>Company</b> name</p>
<p><b>6</b></p>	<p>Enter <b>Office Phone</b> number</p> <p><i>* Entered phone numbers must be a valid 10-digit phone number format: (###) ###-####.</i></p>

	7	Enter <b>Mobile Phone</b> number (*As above) <i>*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.</i>
	8	Enter <b>E-mail</b> address
	9	<b>Notice of Appearance</b> must be provided for a contact who is not an employee of the applicant. Refer to <i>Attach Notice of Appearance [NOA] for contact</i> section 2.1 below. Contact the Regional Office for questions regarding the NOA form.
	10	Click <b>Save</b> .  The <b>General information</b> page is displayed. The new contact information will be displayed in the contact table.   <p style="text-align: center;"><i>Figure 7 Contacts have been added</i></p> <p><i>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.</i></p>

### Attach / Delete Notice of Appearance (NOA) for contacts

Learning Objective	Step	Action
Attach NOA for a contact	1	On the New Contact Information page, click <b>Add Attachment</b>   <p style="text-align: center;"><i>Figure 8: Add NOA Attachment</i></p>

2 On the Add NOA Attachments page, select **Browse / Choose File** (*Browser dependent label*)

**Add NOA Attachment**

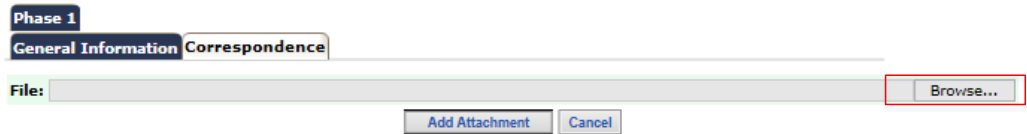


Figure 9: Add NOA Attachment

3 Choose the attachment from the local workstation.  
Click **Open**

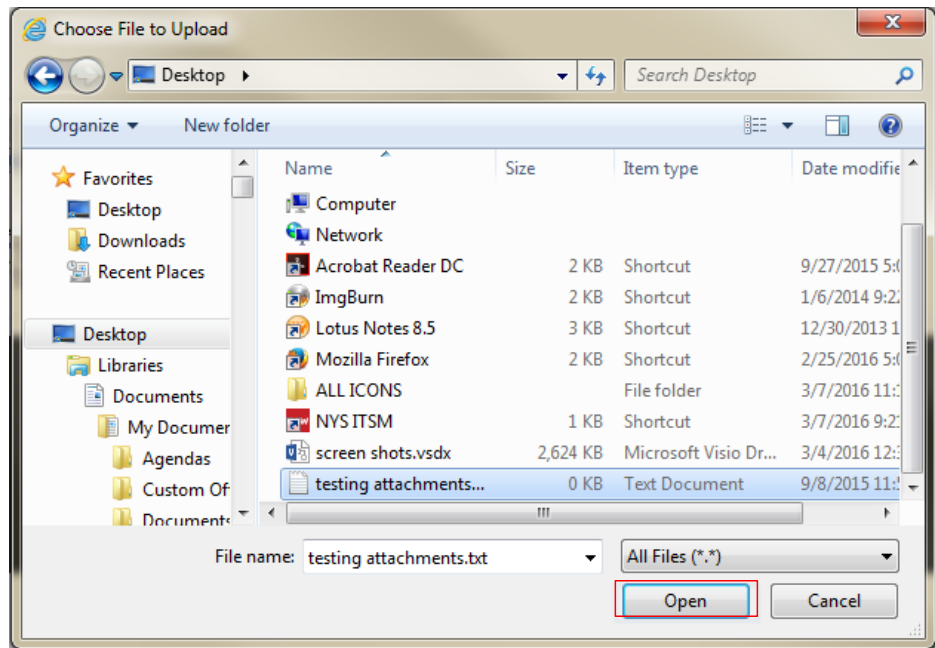


Figure 10: Browse for document

4 Click **Add Attachment**

**Add NOA Attachment**

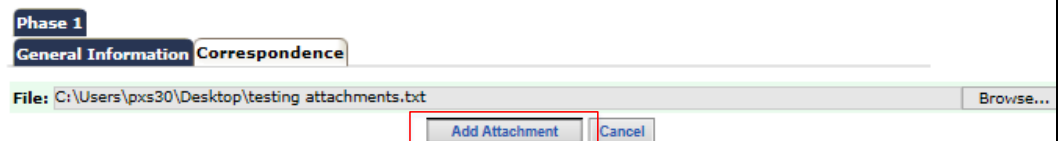
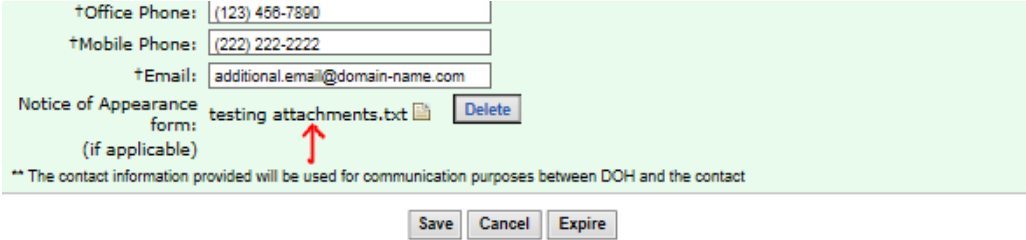

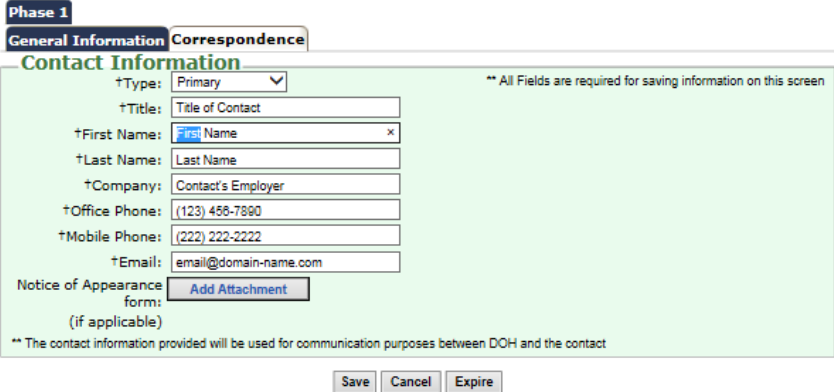



Figure 11: Attachment path is reflected in the File

<p><b>5</b></p>	<p>The <b>New Contact Information</b> screen is displayed</p> <p>Note: The attachment has been added and the <b>Add Attachment</b> button changes to <b>Delete</b> button.</p>  <p style="text-align: center;"><i>Figure 12: Attachment Added and 'Delete' button visible.</i></p>
<p><b>6</b></p>	<p>To Delete the Attachment, click <b>Delete</b>.</p> <p>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.</p>
<p><b>7</b></p>	<p>To Save the attachment click <b>Save</b></p>

### Modify contact information


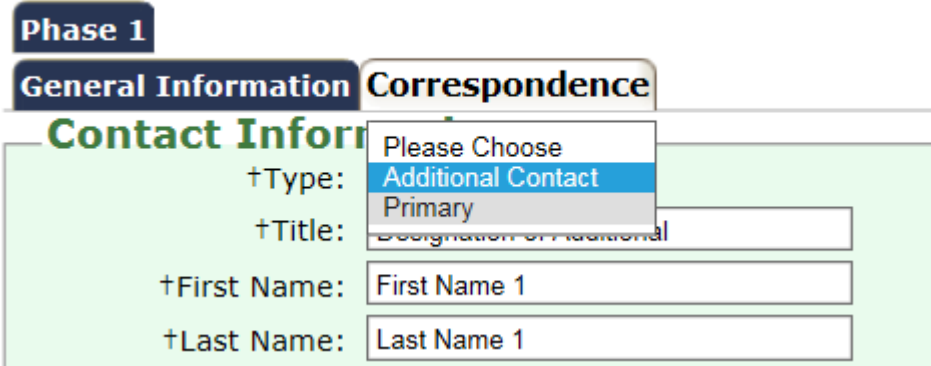
Learning Objective	Step	Action
<p><b>How to Modify a Contact</b></p>	<p><b>1</b></p>	<p>On the General Information page, click the <b>Name</b> link of the contact to be modified.</p>  <p style="text-align: center;"><i>Figure 13: Name link in contact table on General Information page</i></p>
	<p><b>2</b></p>	<p>The <b>Modify Contact Information</b> page will display.</p> <p>The information previously entered is enabled for modifying.</p>  <p style="text-align: center;"><i>Figure 14: Modify Contact Information</i></p>

	<b>3</b>	Enter information in the textboxes that require modification.
	<b>4</b>	The <b>Delete or Backspace</b> buttons may be used to clear the previously entered information
	<b>5</b>	Enter the new information
	<b>6</b>	Click <b>Save</b> button on the screen. <b>General information</b> 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	<b>1</b>	<p>On the <b>General Information</b> page, click the <b>Name</b> link of the contact, to be assigned as <b>Primary</b>.</p> <div style="text-align: center; margin-top: 10px;">  <p><i>Figure 16: Name link in contact table on General Information page</i></p> </div>
	<b>2</b>	<p>Select <b>Primary</b> from the contact <b>Type</b> drop down list</p> <div style="text-align: center; margin-top: 10px;">  <p><i>Figure 17: Select Primary in 'Type'</i></p> </div>



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

**Contacts**

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

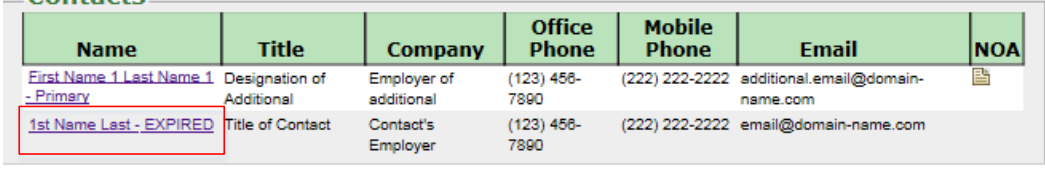
*Figure 18: Type Changed: Changes reflected in contact table*

*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	<p>On the <b>General Information</b> page, click the <b>Name</b> link for the contact to expire. <b>Modify Contact Information</b> screen is displayed.</p> <div style="border: 1px solid gray; padding: 5px;"> <p><b>Contacts</b></p> <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Company</th> <th>Office Phone</th> <th>Mobile Phone</th> <th>Email</th> <th>NOA</th> </tr> </thead> <tbody> <tr> <td><a href="#">First Name 1 Last Name 1 - Primary</a></td> <td>Designation of Additional</td> <td>Employer of additional</td> <td>(123) 456-7890</td> <td>(222) 222-2222</td> <td>additional.email@domain-name.com</td> <td></td> </tr> <tr> <td><a href="#">1st Name Last</a></td> <td>Title of Contact</td> <td>Contact's Employer</td> <td>(123) 456-7890</td> <td>(222) 222-2222</td> <td>email@domain-name.com</td> <td></td> </tr> </tbody> </table> </div> <p style="text-align: center;"><i>Figure 19: 'Name hyperlink - Expire the contact</i></p>	Name	Title	Company	Office Phone	Mobile Phone	Email	NOA	<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com		<a href="#">1st Name Last</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com	
	Name	Title	Company	Office Phone	Mobile Phone	Email	NOA																
<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com																		
<a href="#">1st Name Last</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com																		
2	<p>Click <b>Expire</b> button on the lower right</p> <div style="border: 1px solid gray; padding: 5px;"> <p><b>Modify Contact Information</b></p> <p><b>Phase 1A</b></p> <p><b>General Information</b> <b>Correspondence</b></p> <p><b>Contact Information</b></p> <p>†Type: Additional Contact <input type="button" value="v"/> <span style="float: right;">** All Fields are required for saving information on this screen</span></p> <p>†Title: <input type="text" value="Title of Contact"/></p> <p>†First Name: <input type="text" value="1st Name"/></p> <p>†Last Name: <input type="text" value="Last"/></p> <p>†Company: <input type="text" value="Contact's Employer"/></p> <p>†Office Phone: <input type="text" value="(123) 456-7890"/></p> <p>†Mobile Phone: <input type="text" value="(222) 222-2222"/></p> <p>†Email: <input type="text" value="email@domain-name.com"/></p> <p>Notice of Appearance form: <input type="button" value="Add Attachment"/> (if applicable)</p> <p><small>** The contact information provided will be used for communication purposes between DOH and the contact</small></p> <p style="text-align: right;"> <input type="button" value="Save"/> <input type="button" value="Cancel"/> <input style="border: 2px solid red;" type="button" value="Expire"/> </p> </div> <p style="text-align: center;"><i>Figure 20: Contact Table- Contact Expired</i></p>																						

**3** The **General information** page will display with the contact marked as **Expired** in the **Name** field in the **Contact Table**.



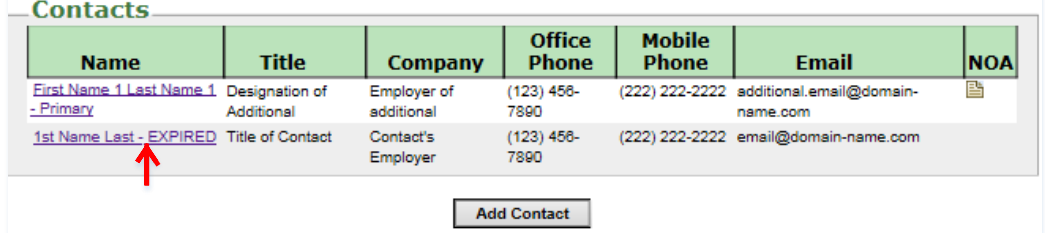
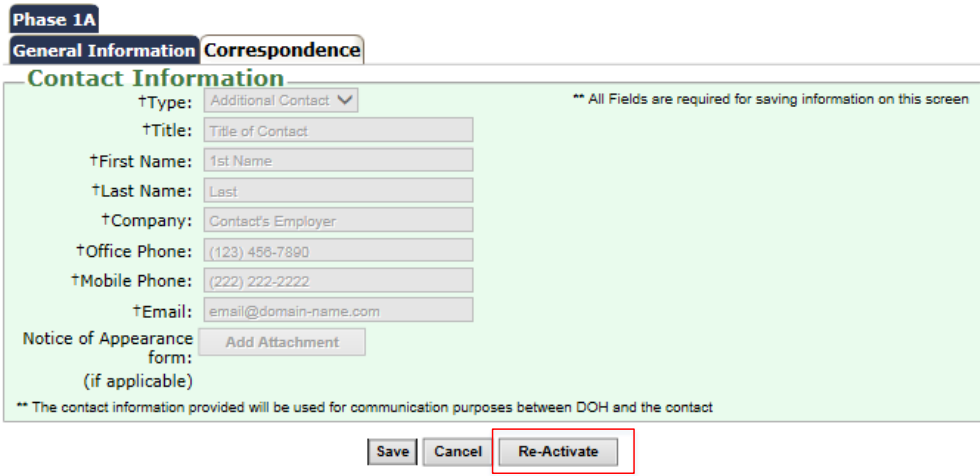
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA
<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com	
<a href="#">1st Name Last - EXPIRED</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com	

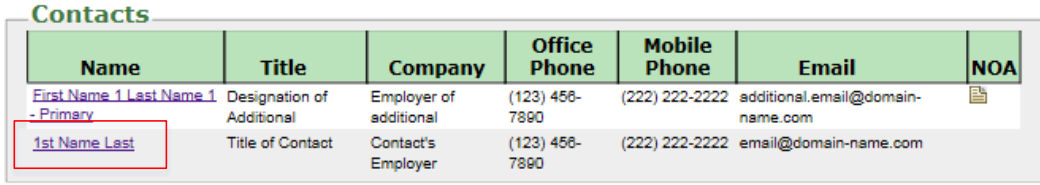
**Add Contact**

*Figure 21: Contact Table- Contact Expired*

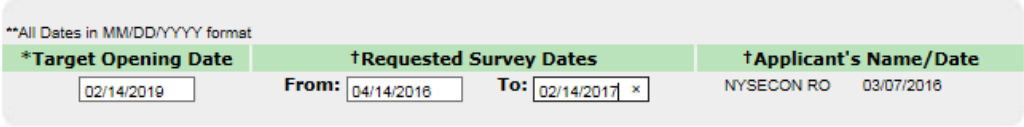
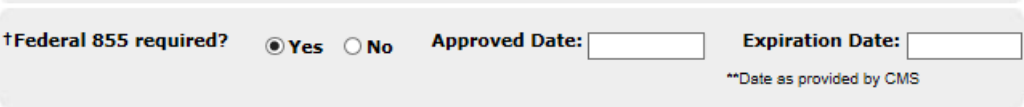
Note: A 'Primary' contact cannot be 'Expired' until another contact has been designated as 'Primary'.

### Reactivate a Contact

Learning Objective	Step	Action
How to Reactivate an Expired Contact	1	<p>On the <b>General Information</b> page, click the checkbox to expand the contacts table to view expired contacts. Click the expired contact <b>Name</b> link in the Contacts table.</p>  <p style="text-align: center;"><i>Figure 22: Click name marked 'Expire'</i></p>
	2	<p>The <b>Reactivate Contact Information</b> screen gets displayed</p> <p>Click the <b>Reactivate</b> button</p>  <p style="text-align: center;"><i>Figure 23: Reactivate contact information screen</i></p>

	<b>3</b>	If any information has to be updated, follow steps in section 2.2 to modify the contact.
	<b>4</b>	<p>Click <b>Save</b>, the contact is re-activated in the Contact Table.</p>  <p style="text-align: center;"><i>Figure 24: Reactivated contact: Expire marking removed</i></p> <p>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</p>

### Submit a Request to Regional Office

Learning Objective	Step	Action
How to Submit a Request to the Regional Office	<b>1</b>	On the <b>General Information</b> page, refer figure 1. Perform the steps to Create a Phase
	<b>2</b>	Follow the steps to Add Contacts To attach NOA for a contact, refer to Attach/Delete NOA.
	<b>3</b>	<p>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.</p> <p>Enter date in the <b>From</b> textbox.</p> <p>Enter date in the <b>To</b> textbox.</p>  <p style="text-align: center;"><i>Figure 25: Requested Survey Dates</i></p>
	<b>4</b>	<p>Indicate if the <b>Federal 855</b> is required for the project (Radio button: Yes / No).</p>  <p style="text-align: center;"><i>Figure 26: Federal 855 Information</i></p>
	<b>5</b>	Enter the <b>Approval Date</b> for Federal 855, as provided by CMS. <i>*This is not a mandatory field.</i>

<p><b>6</b></p>	<p>Enter the <b>Expiration Date</b> for Federal 855 as provided by CMS, if Yes is selected and date is known</p> <p><i>*This is not a mandatory field. However, if the Approval date has been entered the submission will not be accepted without the expiration date.</i></p>																																									
<p><b>7</b></p>	<p>Click <b>Submit</b>.</p> <p><b>General Information</b></p> <p><b>Phase 1A</b></p> <p><b>General Information</b> <b>Correspondence</b></p> <p><b>*Phase ID:</b> <input type="text" value="1A"/> (e.g: 1a, 1(a),1(f),2b)</p> <p><b>*Phase Description:</b> <input type="text" value="Project phase created for training purposes"/></p> <p><b>Federal Tax Id #:</b> <input type="text" value="123456789"/> (If Applicable)</p> <p><b>Contacts</b></p> <table border="1"> <thead> <tr> <th>Name</th> <th>Title</th> <th>Company</th> <th>Office Phone</th> <th>Mobile Phone</th> <th>Email</th> <th>NOA</th> </tr> </thead> <tbody> <tr> <td><a href="#">First Name 1 Last Name 1 - Primary</a></td> <td>Designation of Additional</td> <td>Employer of additional</td> <td>(123) 456-7890</td> <td>(222) 222-2222</td> <td>additional.email@domain-name.com</td> <td></td> </tr> <tr> <td><a href="#">1st Name Last</a></td> <td>Title of Contact</td> <td>Contact's Employer</td> <td>(123) 456-7890</td> <td>(222) 222-2222</td> <td>email@domain-name.com</td> <td></td> </tr> </tbody> </table> <p><input type="button" value="Add Contact"/></p> <p><small>**All Dates in MM/DD/YYYY format</small></p> <p><b>*Target Opening Date</b> <input type="text" value="02/14/2019"/> <b>†Requested Survey Dates</b> <b>From:</b> <input type="text" value="04/14/2016"/> <b>To:</b> <input type="text" value="02/14/2017"/> <b>†Applicant's Name/Date</b> NYSECON RO 03/07/2016</p> <p><b>†Federal 855 required?</b> <input checked="" type="radio"/> Yes <input type="radio"/> No <b>Approved Date:</b> <input type="text"/> <b>Expiration Date:</b> <input type="text"/></p> <p><small>**Date as provided by CMS</small></p> <p><b>Survey</b></p> <table border="1"> <thead> <tr> <th>Type</th> <th>Required</th> <th>Scheduled Date</th> <th>Confirm Date</th> <th>Reviewer</th> </tr> </thead> <tbody> <tr> <td>Environmental</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Clinical</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Administrative</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p><input type="button" value="Add Phase"/> <input type="button" value="Save"/> <input type="button" value="Clear"/> <input type="button" value="Submit"/></p> <p><small>* 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.</small></p> <p><input type="button" value="Submit General Information"/></p>	Name	Title	Company	Office Phone	Mobile Phone	Email	NOA	<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com		<a href="#">1st Name Last</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com		Type	Required	Scheduled Date	Confirm Date	Reviewer	Environmental					Clinical					Administrative				
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA																																				
<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com																																					
<a href="#">1st Name Last</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com																																					
Type	Required	Scheduled Date	Confirm Date	Reviewer																																						
Environmental																																										
Clinical																																										
Administrative																																										

Figure 27: Screen To Submit

**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 <b>Modify</b> button is displayed on the General Information page.

opening date on the General Information page

2

Click **Modify**. The Modification screen is displayed.

### General Information

Phase 1A

General Information Correspondence

**\*Phase ID:** 1A  
**\*Phase Description:** Project phase created for training purposes  
**Federal Tax Id #:** 123456789

### Contacts

View All Contacts

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

Add Contact

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
02/14/2019	From: 04/14/2016 To: 02/14/2017	NYSECON RO 03/07/2016

†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				

Add Phase    **Modify**



Figure 28a: Modification

The Federal Tax ID, Target Opening date, the Requested Survey Date range, and the Federal 855 information can be modified.

\*Phase ID: 1A  
 \*Phase Description: Project phase created for training purposes  
 \*Federal Tax Id #:  (If Applicable)

**Contacts**  
 View All Contacts

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

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date
<input type="text" value="02/14/2019"/>	From: <input type="text" value="04/14/2016"/>	To: <input type="text" value="02/14/2017"/>	NYSECON RO 03/07/2016

†Federal 855 required?  Yes  No    Approved Date:     Expiration Date:   
\*\*Date as provided by CMS

Figure 28b: Screen to Modify

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

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date
<input type="text" value="03/10/2017"/>	From: <input type="text" value="04/14/2016"/>	To: <input type="text" value="02/14/2017"/>	NYSECON RO 03/07/2016

†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				

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.

**\*\*All Dates in MM/DD/YYYY format**

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
03/10/2017	From: 04/14/2016 To: 02/14/2017	NYSECON RO 03/08/2016

*Figure 30a: New date Saved- Toggle on the side.*

**\*\*All Dates in MM/DD/YYYY format**

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
03/10/2017	From: 04/14/2016 To: 02/14/2017	NYSECON RO 03/08/2016
02/14/2019	From: 04/14/2016 To: 02/14/2017	NYSECON RO 03/08/2016

*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 <b>Modify</b> on the General information page <i>Refer figure 28 (a and b)</i>						
	2	Enter the new date in the <b>Requested Survey Date From:</b> textbox.  <div style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p><b>**All Dates in MM/DD/YYYY format</b></p> <table border="1"> <thead> <tr> <th>*Target Opening Date</th> <th>†Requested Survey Dates</th> <th>†Applicant's Name/Date</th> </tr> </thead> <tbody> <tr> <td>03/10/2017</td> <td>From: <input type="text"/> To: 02/14/2017</td> <td>NYSECON RO 03/08/2016</td> </tr> </tbody> </table> </div> <p><i>Figure 31: Modify Survey date From</i></p>	*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date	03/10/2017	From: <input type="text"/> To: 02/14/2017	NYSECON RO 03/08/2016
	*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date					
03/10/2017	From: <input type="text"/> To: 02/14/2017	NYSECON RO 03/08/2016						
3	Enter the new date in the <b>Requested Survey Date To:</b> textbox.  <div style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;"> <p><b>**All Dates in MM/DD/YYYY format</b></p> <table border="1"> <thead> <tr> <th>*Target Opening Date</th> <th>†Requested Survey Dates</th> <th>†Applicant's Name/Date</th> </tr> </thead> <tbody> <tr> <td>03/10/2017</td> <td>From: 06/27/2016 To: <input type="text"/></td> <td>NYSECON RO 03/08/2016</td> </tr> </tbody> </table> </div> <p><i>Figure 32: Modify Survey Date TO</i></p>	*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date	03/10/2017	From: 06/27/2016 To: <input type="text"/>	NYSECON RO 03/08/2016	
*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date						
03/10/2017	From: 06/27/2016 To: <input type="text"/>	NYSECON RO 03/08/2016						

**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.

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date	
▼ 03/10/2017	<b>From:</b> 06/27/2016	<b>To:</b> 12/15/2016	NYSECON RO	03/08/2016
03/10/2017	<b>From:</b> 04/14/2016	<b>To:</b> 02/14/2017	NYSECON RO	03/08/2016
02/14/2019	<b>From:</b> 04/14/2016	<b>To:</b> 02/14/2017	NYSECON RO	03/08/2016

†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				

\* 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 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 <b>Modify</b> on the General Information Page <i>Refer figure 28 (a and b)</i>
	2	Enter the new date in the <b>Expiration Date</b> textbox.

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

\*\*Date as provided by CMS ↑

*Figure 34: On clicking Modify Fed 855 expiration date allows editing*



**3** Click **Save**.

†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				

*Figure 35a: Save.*

†Federal 855 required?  Yes  No Approved Date:  Expiration Date:   
\*\*Date as provided by CMS

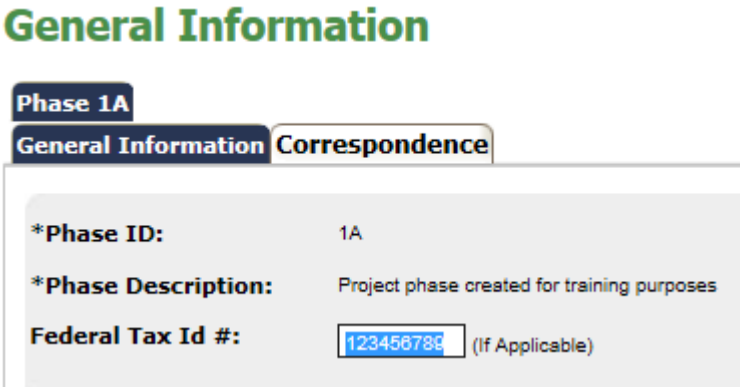
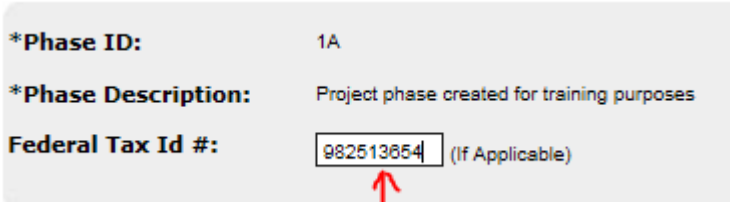
*Figure 35b: New Date Saved.*

†Federal 855 required?  Yes  No Approved Date:   Expiration Date:   
02/26/2018  
 \*\*Date as provided by CMS

*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
<p>To modify the Federal Tax ID# on the general information page</p>	<p>1</p>	<p>Click <b>Modify</b> on the <b>General Information</b> page <i>Refer figure 28 (a and b)</i></p>
	<p>2</p>	<p>Enter the new or modified Federal Tax ID number in the <b>Federal Tax ID # textbox</b>.</p>  <p style="text-align: center;"><i>Figure 36a: Clearing the earlier entry</i></p> <p>(To clear select and Delete/ Backspace)</p>  <p style="text-align: center;"><i>Figure 36b: Enter New Tax ID #</i></p>

Click **Save**

**\*Phase ID:** 1A  
**\*Phase Description:** Project phase created for training purposes  
**Federal Tax Id #:**  (If Applicable)

**Contacts**

View All Contacts

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

\*\*All Dates in MM/DD/YYYY format

**\*Target Opening Date**  **†Requested Survey Dates** **From:**  **To:**  **†Applicant's Name/Date** NYSECON RO 03/08/2016

**†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				

Figure 37: Click Save

**\*Phase ID:** 1A  
**\*Phase Description:** Project phase created for training purposes  
**Federal Tax Id #:** 982513654

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

### Add, Cancel, Delete a new phase

<p><b>Add new phase</b></p>	<p>1</p>	<p>Once a phase has been saved, another phase can be created. To create another phase: Click <b>Add Phase</b>.</p> <p>* Note: Add Phase button is <b>ONLY</b> available on the <b>General Information</b> page of the first Phase.</p> <div style="border: 1px solid #ccc; padding: 10px; margin-top: 10px;"> <h4 style="color: #2e7d32; margin: 0;">General Information</h4> <p><b>Phase 1A</b></p> <p><b>General Information</b> <span style="border: 1px solid #ccc; padding: 2px;">Correspondence</span></p> <div style="background-color: #f5f5f5; padding: 5px; margin: 5px 0;"> <p><b>*Phase ID:</b> 1A</p> <p><b>*Phase Description:</b> Project phase created for training purposes</p> <p><b>Federal Tax Id #:</b> 082513854</p> </div> <h4 style="color: #2e7d32; margin: 0;">Contacts</h4> <p><input type="checkbox"/> View All Contacts</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #c8e6c9;"> <th>Name</th> <th>Title</th> <th>Company</th> <th>Office Phone</th> <th>Mobile Phone</th> <th>Email</th> <th>NOA</th> </tr> </thead> <tbody> <tr> <td><a href="#">First Name 1 Last Name 1 - Primary</a></td> <td>Designation of Additional</td> <td>Employer of additional</td> <td>(123) 456-7890</td> <td>(222) 222-2222</td> <td>additional.email@domain-name.com</td> <td></td> </tr> <tr> <td><a href="#">1st Name Last</a></td> <td>Title of Contact</td> <td>Contact's Employer</td> <td>(123) 456-7890</td> <td>(222) 222-2222</td> <td>email@domain-name.com</td> <td></td> </tr> </tbody> </table> <p style="text-align: center; margin: 5px 0;"><input type="button" value="Add Contact"/></p> <p><small>**All Dates in MM/DD/YYYY format</small></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #c8e6c9;"> <th>*Target Opening Date</th> <th colspan="2">†Requested Survey Dates</th> <th>†Applicant's Name/Date</th> </tr> </thead> <tbody> <tr> <td>03/10/2017</td> <td>From: 08/27/2016</td> <td>To: 12/15/2016</td> <td>NYSECON RO 03/08/2016</td> </tr> </tbody> </table> <p>†Federal 855 required? <input checked="" type="radio"/> Yes <input type="radio"/> No    Approved Date:    ▶ Expiration Date: 03/26/2019 <small>**Date as provided by CMS</small></p> <h4 style="color: #2e7d32; margin: 0;">Survey</h4> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #c8e6c9;"> <th>Type</th> <th>Required</th> <th>Scheduled Date</th> <th>Confirm Date</th> <th>Reviewer</th> </tr> </thead> <tbody> <tr> <td>Environmental</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Clinical</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>Administrative</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p style="text-align: center; margin-top: 10px;"> <input style="border: 2px solid red;" type="button" value="Add Phase"/>    <input type="button" value="Modify"/> </p> </div>	Name	Title	Company	Office Phone	Mobile Phone	Email	NOA	<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com		<a href="#">1st Name Last</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com		*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date	03/10/2017	From: 08/27/2016	To: 12/15/2016	NYSECON RO 03/08/2016	Type	Required	Scheduled Date	Confirm Date	Reviewer	Environmental					Clinical					Administrative				
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA																																													
<a href="#">First Name 1 Last Name 1 - Primary</a>	Designation of Additional	Employer of additional	(123) 456-7890	(222) 222-2222	additional.email@domain-name.com																																														
<a href="#">1st Name Last</a>	Title of Contact	Contact's Employer	(123) 456-7890	(222) 222-2222	email@domain-name.com																																														
*Target Opening Date	†Requested Survey Dates		†Applicant's Name/Date																																																
03/10/2017	From: 08/27/2016	To: 12/15/2016	NYSECON RO 03/08/2016																																																
Type	Required	Scheduled Date	Confirm Date	Reviewer																																															
Environmental																																																			
Clinical																																																			
Administrative																																																			

Figure 38: Adding new phase

	<p><b>2</b></p>	<p>Enter or modify the <b>Phase ID</b> if changing from default.  Enter the <b>Phase Description</b> (required).  Enter the <b>Target Opening Date</b>.</p> <p>*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:</p> <p><b>Phase ID:</b> 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.</p> <p><b>Federal Tax ID #:</b> Any change made to this number will be reflected across phases.</p> <p><b>Contacts:</b> Any changes made on the contacts table will be reflected in the earlier created phase(s).</p> <p><b>Federal 855 information-</b> Any change made to this information will be reflected across phases.</p>
--	-----------------	---

### General Information

Phase 1A
Phase 2

#### General Information

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

\*Phase Description:

\*Federal Tax Id #:  (If Applicable)

#### Contacts

View All Contacts

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

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
<input type="text"/>	From: <input type="text"/> To: <input type="text"/>	

†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				

\* 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 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.

### General Information

Phase 1A Phase 2

General Information Correspondence

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

\*Phase Description:

Federal Tax Id #:  (If Applicable)

### Contacts

View All Contacts

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

Add Contact

\*\*All Dates in MM/DD/YYYY format

*Target Opening Date	†Requested Survey Dates	†Applicant's Name/Date
<input type="text" value="03/20/2018"/>	From: <input type="text"/> To: <input type="text"/>	NYSECON RO 03/08/2016

†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				

Delete Phase Save Clear Submit



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.

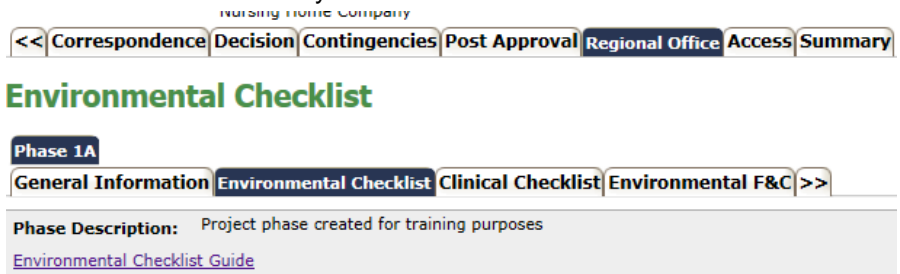


Figure 41: Selecting the Survey Checklist Tab

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)

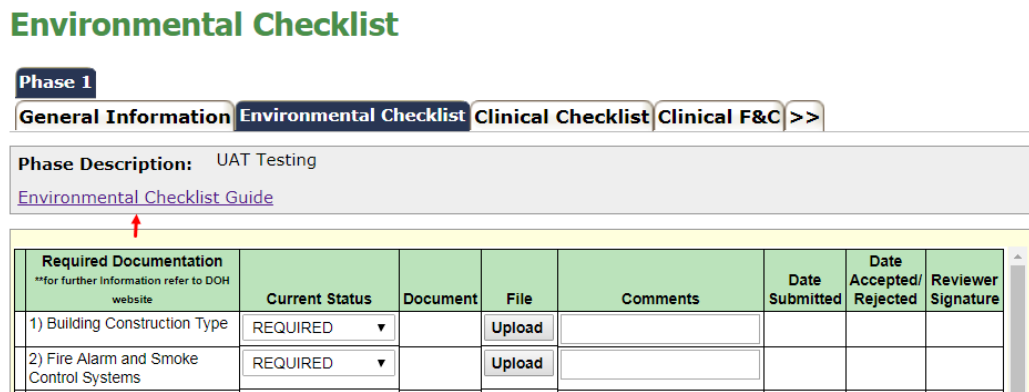


Figure 42: Environmental checklist table on the Environmental checklist page

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

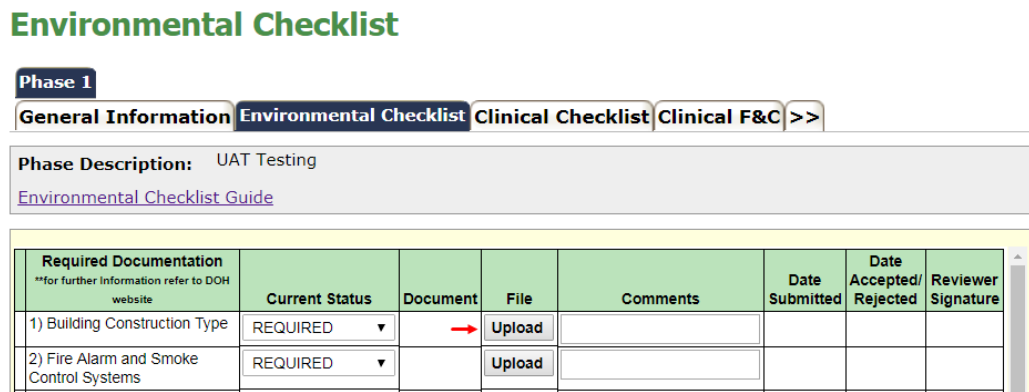


Figure 43: Uploading document for building construction type.



**4** **Add Checklist Attachment** page displays. Click **Browse**.  
**Add Checklist Attachment**

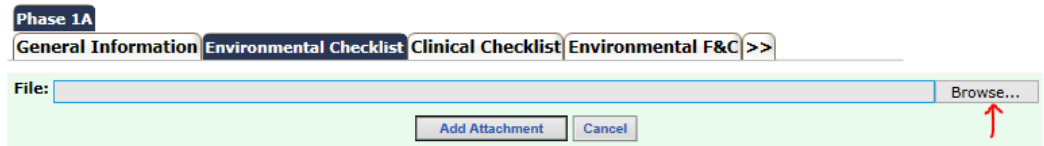


Figure 44: Add Checklist Attachment.

**5** The File upload browser displays. Select the file to be uploaded and click **Open**

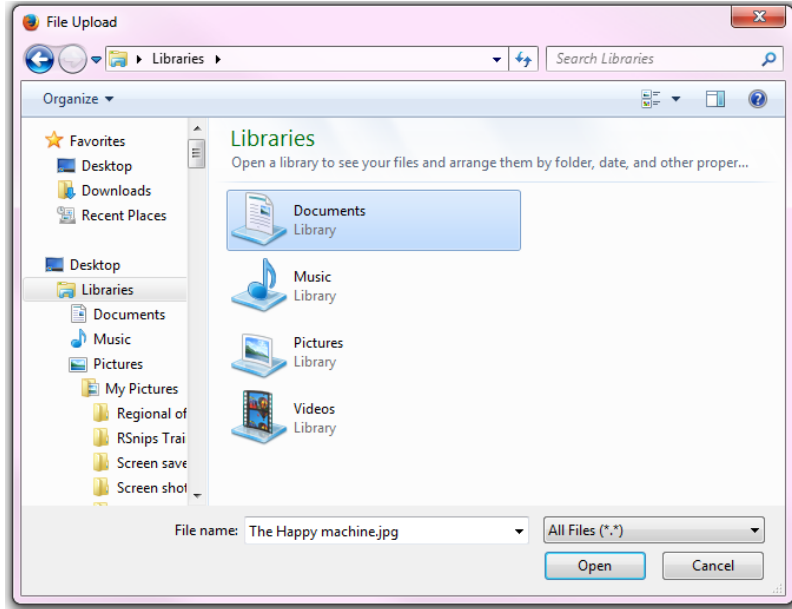


Figure 45: Add Checklist Attachment.

**6** Click **Add Attachment**

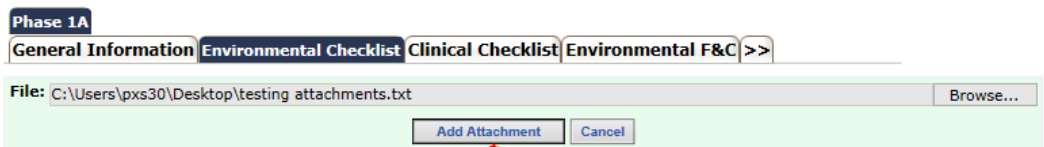


Figure 46: Add Attachment.

- 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.


**Environmental Checklist**

**Phase 1**

General Information **Environmental Checklist** Clinical Checklist Clinical F&C >>

Phase Description: UAT Testing

[Environmental Checklist Guide](#)

Required Documentation <small>**for further information refer to DOH website</small>	Current Status	Document	File	Comments	Date Submitted	Date Accepted/Rejected	Reviewer Signature
1) Building Construction Type	REQUIRED ▼	 Testing Attachment.txt	Delete ↑				
2) Fire Alarm and Smoke Control Systems	REQUIRED ▼		Upload				

*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 individual checklist item, each document must be saved after every upload.*

[Environmental Checklist Guide](#)

Required Documentation <small>**for further information refer to DOH website</small>	Current Status	Document	File	Comments	Date Submitted	Date Accepted/Rejected	Reviewer Signature
1) Building Construction Type	REQUIRED ▼	Testing Attachment.txt	Delete				
2) Fire Alarm and Smoke Control Systems	REQUIRED ▼		Upload				
3) Fire Alarm System Record of Completion	REQUIRED ▼		Upload				
4) Sprinkler System Installation	REQUIRED ▼		Upload				
5) Sprinkler System Test Report	REQUIRED ▼		Upload				
6) Stand-pipe System	REQUIRED ▼		Upload				
7) Fire Pumps	REQUIRED ▼		Upload				
8) Ventilation Control and fire protection for commercial cooking equipment	REQUIRED ▼		Upload				
9) Fire Response Procedures	REQUIRED ▼		Upload				
10) Emergency Preparedness Plans	REQUIRED ▼		Upload				
11) Fire Safety and Evacuation Training	REQUIRED ▼		Upload				
12) Smoking Signs	REQUIRED ▼		Upload				
13) Furnishings and Decorations	REQUIRED ▼		Upload				
14) Classification of interior finishes materials	REQUIRED ▼		Upload				
15) Fire Stopping	REQUIRED ▼		Upload				

→ Save Clear Submit Expand All

Figure 48: Saving the Uploaded document

**11** To submit the uploaded documents: Click **Submit**. (Refer fig 48)  
The submission confirmation screen displays. Click **Confirm**.

### Confirm Submission of Documents

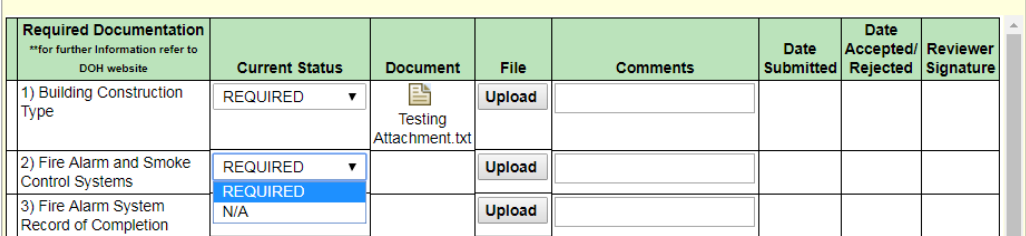
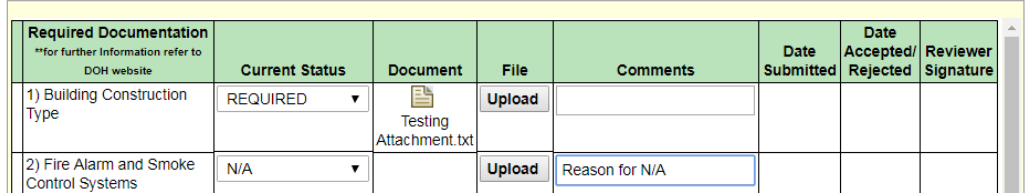
**Phase 1A**

Please be sure all the documentation has been added or explanation provided before submitting this notice to the Department of Health. Do you want to proceed?

Confirm Cancel

Figure 49: Submission confirmation

### Changing status of a checklist item to N/A

Learning Objective	Step	Action
<p><b>How to change the Status of the Checklist item from Required to N/A</b></p>	<p><b>1</b></p>	<p>The default status for all items on the checklist table is set as <b>Required</b>. Select <b>N/A</b> if the item is not applicable to the phase.</p>  <p><i>Figure 50: Drop down list of Status_ Selecting N/A</i></p>
	<p><b>2</b></p>	<p>Provide the reason the checklist item is not applicable to the project phase in the <b>Comments</b> column. *Note: Providing a <u>comment</u> is required if the status is set to <u>N/A</u>, to submit the checklist. <a href="#">Environmental Checklist Guide</a></p>  <p><i>Figure 51: Providing comments for N/A</i></p>
	<p><b>3</b></p>	<p>Click <b>Save</b> to save the information or <b>Submit</b> to notify the Regional Office that the required information has been provided.</p>

## Corrective Action Plan (CAP)

### Add, Save and Submit CAP

Learning Objective	Step	Action																														
<p><b>How to Add and Submit CAP</b></p>	<p>1</p>	<p>On the F&amp;C (Findings and CAP) tab, click <b>CAP/ Ext Request</b>  <b>DO NOT ENTER CAPs</b> in the <b>Comments</b> field.</p> <p><b>Environmental Findings</b></p> <p><b>Phase 1A</b></p> <p><b>General Information</b> <b>Environmental Checklist</b> <b>Environmental F&amp;C</b> <b>Correspondence</b></p> <p><b>Phase Description:</b> Project phase created for training purposes</p> <p><a href="#">Print</a></p> <table border="1"> <thead> <tr> <th>Environmental Findings</th> <th>Comments</th> <th>Status</th> <th>Date</th> <th>Name</th> </tr> </thead> <tbody> <tr> <td> <p>CAP Due Date: 03/24/2016</p> <p>1) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a></p> <p>Example 1 of Finding</p> <p><input type="button" value="CAP/Ext. Request"/></p> </td> <td></td> <td></td> <td>03/10/2016</td> <td>Review ECON-MARO-NYC</td> </tr> <tr> <td> <p>CAP Due Date: 03/24/2016</p> <p>2) <a href="#">Fire Safety Electrical and Emergency Power</a></p> <p>Example 2 of finding</p> <p><input type="button" value="CAP/Ext. Request"/></p> </td> <td></td> <td></td> <td>03/10/2016</td> <td>Review ECON-MARO-NYC</td> </tr> <tr> <td> <p>CAP Due Date: 03/24/2016</p> <p>3) <a href="#">Swimming Pools Part 6-1 of NYCRR (Sanitary Code)</a></p> <p>Example 3 of finding</p> <p><input type="button" value="CAP/Ext. Request"/></p> </td> <td></td> <td></td> <td>03/10/2016</td> <td>Review ECON-MARO-NYC</td> </tr> <tr> <th>Other Environmental Findings</th> <th>Comments</th> <th>Status</th> <th>Date</th> <th>Name</th> </tr> <tr> <td> <p>CAP Due Date: 03/24/2016</p> <p>4) <a href="#">New category New finding</a></p> <p>Example of others</p> <p><input type="button" value="CAP/Ext. Request"/></p> </td> <td></td> <td></td> <td>03/10/2016</td> <td>Review ECON-MARO-NYC</td> </tr> </tbody> </table> <p><input type="button" value="Save"/> <input type="button" value="Submit"/></p>	Environmental Findings	Comments	Status	Date	Name	<p>CAP Due Date: 03/24/2016</p> <p>1) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a></p> <p>Example 1 of Finding</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC	<p>CAP Due Date: 03/24/2016</p> <p>2) <a href="#">Fire Safety Electrical and Emergency Power</a></p> <p>Example 2 of finding</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC	<p>CAP Due Date: 03/24/2016</p> <p>3) <a href="#">Swimming Pools Part 6-1 of NYCRR (Sanitary Code)</a></p> <p>Example 3 of finding</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC	Other Environmental Findings	Comments	Status	Date	Name	<p>CAP Due Date: 03/24/2016</p> <p>4) <a href="#">New category New finding</a></p> <p>Example of others</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC
Environmental Findings	Comments	Status	Date	Name																												
<p>CAP Due Date: 03/24/2016</p> <p>1) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a></p> <p>Example 1 of Finding</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC																												
<p>CAP Due Date: 03/24/2016</p> <p>2) <a href="#">Fire Safety Electrical and Emergency Power</a></p> <p>Example 2 of finding</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC																												
<p>CAP Due Date: 03/24/2016</p> <p>3) <a href="#">Swimming Pools Part 6-1 of NYCRR (Sanitary Code)</a></p> <p>Example 3 of finding</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC																												
Other Environmental Findings	Comments	Status	Date	Name																												
<p>CAP Due Date: 03/24/2016</p> <p>4) <a href="#">New category New finding</a></p> <p>Example of others</p> <p><input type="button" value="CAP/Ext. Request"/></p>			03/10/2016	Review ECON-MARO-NYC																												

Figure 52: Survey F&C tab

2 The **Add Corrective Action Plan** screen is displayed

### Add Corrective Action Plan

**Phase 1A**

**General Information** | **Environmental Checklist** | **Environmental F&C** | **Correspondence**

**Phase Description:** Project phase created for training purposes  
**Finding Type:** Environmental  
**\*CAP Type:**  CAP  Extension  
**Extension Date:**   
mm/dd/yyyy

**1) American Institute of Architects 9.9 Endoscopy Suite:**

**Example 1 of Finding**

**\*Description:**

[Style] [Font] [Size]

**B** *I* U

**Attachments:** [Add Attachment](#)

Figure 53: Add CAP page

3 Leave CAP type as **CAP**, (Default value).

4 Enter a **Description**

5 Click **Save**. The Survey F&C screen appears with the added CAP

### Environmental Findings And CAPs

Phase 1A

General Information Environmental Checklist **Environmental F&C** Correspondence

Phase Description: Project phase created for training purposes

Print

Environmental Findings	Comments	Status	Date	Name
CAP Due Date: 03/24/2016 <a href="#">1) American Institute of Architects 9.9 Endoscopy Suite;</a> Example 1 of Finding			03/10/2016	Review ECON-MARO-NYC
<a href="#">1) CAP- American Institute of Architects 9.9 Endoscopy Suite;</a> Example of adding a CAP <input type="button" value="Delete"/>		Under Modification		
CAP Due Date: 03/24/2016 <a href="#">2) Fire Safety Electrical and Emergency Power;</a>			03/10/2016	Review ECON-MARO-NYC

Figure 54a: F&C table After Saving the CAP

6 Click **Submit** to notify the Regional Office a CAP has been entered for review

Environmental Findings	Comments	Status	Date	Name
CAP Due Date: 03/24/2016 <a href="#">1) American Institute of Architects 9.9 Endoscopy Suite;</a> Example 1 of Finding			03/10/2016	Review ECON-MARO-NYC
<a href="#">1) CAP- American Institute of Architects 9.9 Endoscopy Suite;</a> Example of adding a CAP		SUBMITTED	03/10/2016	NYSECON RO

Figure 54b: F&C table After Submitting the CAP.

### Modify CAP

Learning Objective	Step	Action																				
<p><b>How to Modify CAP</b></p>	<p>1</p>	<p>CAPs can be modified before submission, or when rejected by the Regional Office reviewer.</p> <p>On the <b>Survey F&amp;C</b> tab, click on the Hyperlink of the CAP</p> <p><b>Environmental Findings And CAPs</b></p> <p><b>Phase 1A</b></p> <p>General Information   Environmental Checklist   <b>Environmental F&amp;C</b>   Correspondence</p> <p>Phase Description: Project phase created for training purposes</p> <p><a href="#">Print</a></p> <table border="1"> <thead> <tr> <th>Environmental Findings</th> <th>Comments</th> <th>Status</th> <th>Date</th> <th>Name</th> </tr> </thead> <tbody> <tr> <td>                     CAP Due Date: 03/24/2016                      1) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a>                      Example 1 of Finding                 </td> <td></td> <td></td> <td>03/10/2016</td> <td>Review ECON-MARO-NYC</td> </tr> <tr> <td>                     1) <a href="#">CAP- American Institute of Architects 9.9 Endoscopy Suite</a>: Example of adding a CAP                 </td> <td></td> <td>SUBMITTED</td> <td>03/10/2016</td> <td>NYSECON RO</td> </tr> <tr> <td colspan="2">CAP Due Date: 03/24/2016</td> <td></td> <td>03/10/2016</td> <td>Review ECON-</td> </tr> </tbody> </table> <p><i>Figure 55: Survey F&amp;C tab, Showing CAP hyperlink</i></p>	Environmental Findings	Comments	Status	Date	Name	CAP Due Date: 03/24/2016 1) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a> Example 1 of Finding			03/10/2016	Review ECON-MARO-NYC	1) <a href="#">CAP- American Institute of Architects 9.9 Endoscopy Suite</a> : Example of adding a CAP		SUBMITTED	03/10/2016	NYSECON RO	CAP Due Date: 03/24/2016			03/10/2016	Review ECON-
Environmental Findings	Comments	Status	Date	Name																		
CAP Due Date: 03/24/2016 1) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a> Example 1 of Finding			03/10/2016	Review ECON-MARO-NYC																		
1) <a href="#">CAP- American Institute of Architects 9.9 Endoscopy Suite</a> : Example of adding a CAP		SUBMITTED	03/10/2016	NYSECON RO																		
CAP Due Date: 03/24/2016			03/10/2016	Review ECON-																		



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

### Modify Corrective Action Plan

**Phase 1A**

General Information | Environmental Checklist | **Environmental F&C** | Correspondence

**Phase Description:** Project phase created for training purposes  
**Finding Type:** Environmental

**\*CAP Type:**  CAP  Extension  
**Extension Date:**   
 mm/dd/yyyy

**1) American Institute of Architects 9.9 Endoscopy Suite:**  
**Example 1 of Finding**

**Corrective action plan: Example of adding a CAP**

**\*Description:**

[Style] [Font] [Size]

**B** *I* U [List Icons] [Color Icon] [Image Icon]

Example of adding a CAP\_Editing description

**Attachments:**

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) <a href="#">American Institute of Architects 9.9 Endoscopy Suite</a> Example 1 of Finding			03/10/2016	Review ECON-MARO-NYC
1) <a href="#">CAP- American Institute of Architects 9.9 Endoscopy Suite</a> : Example of adding a CAP_Editing description <input type="button" value="Delete"/>		Under Modification	03/10/2016	NYSECON RO
1) <a href="#">CAP- American Institute of Architects 9.9 Endoscopy Suite</a> : Example of adding a CAP		SUBMITTED	03/10/2016	NYSECON RO

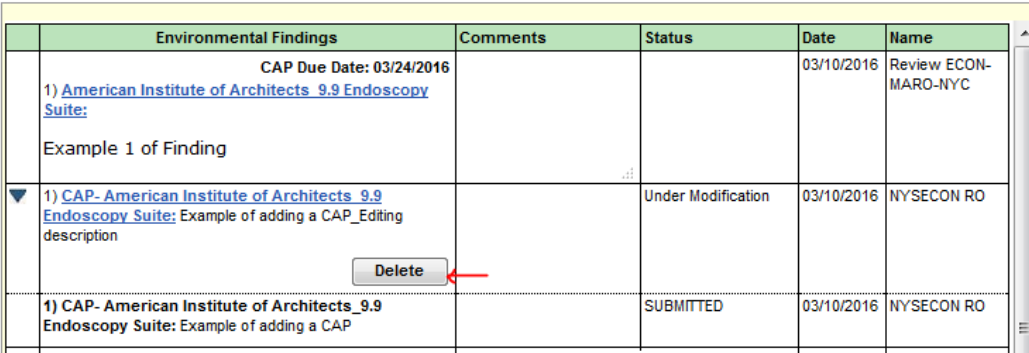
Figure 57: Survey F&C Table recording Modification Submission, with history

### Request Extension for CAP submission

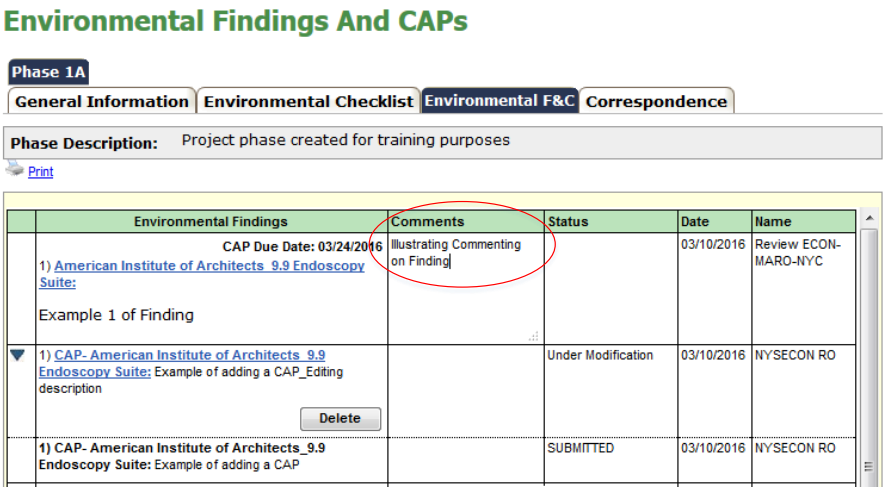
Learning Objective	Step	Action
<p><b>How to request an Extension</b></p>	<p>1</p>	<p>On the <b>Add Corrective Action plan</b> page, or <b>Modify Corrective Action Plan</b> page, select <b>CAP type</b> as <b>Extension</b></p> <p><b>Modify Corrective Action Plan</b></p> <p><b>Phase 1A</b></p> <p><b>General Information</b>   <b>Environmental Checklist</b>   <b>Environmental F&amp;C</b>   <b>Correspondence</b></p> <p><b>Phase Description:</b> Project phase created for training purposes  <b>Finding Type:</b> Environmental  <b>*CAP Type:</b> <input type="radio"/> CAP <input checked="" type="radio"/> Extension  <b>Extension Date:</b> 05/23/2016                      mm/dd/yyyy</p> <p><b>1) American Institute of Architects 9.9 Endoscopy Suite:</b>                      Example 1 of Finding</p> <p><b>Corrective action plan: Example of requesting an Extension</b></p> <p><b>*Description:</b></p> <p>[Style] [Font] [Size]</p> <p><b>B</b> <i>I</i> <u>U</u> [List Icons] [Link Icon] [Image Icon]</p> <p>Example of requesting an Extension</p> <p><b>Attachments:</b> <span style="float: right;">Add Attachment</span></p> <p style="text-align: center;">Request Extension Clear Cancel</p>
	<p>2</p>	<p>Enter the <b>Extension Date</b></p>
	<p>3</p>	<p>Enter / edit the <b>Description</b></p>
	<p>4</p>	<p>Click <b>Request Extension</b></p>

Figure 58: Survey F&C tab

### Delete CAP

Learning Objective	Step	Action
<p><b>How to Delete a CAP</b></p>	<p>1</p>	<p>On the <b>Survey F&amp;C</b> tab, after the CAP has been saved (but not submitted), click <b>Delete</b>, to delete the saved CAP.</p>  <p style="text-align: center;"><i>Figure 59: Survey F&amp;C tab- Delete after Save</i></p> <p><i>Note: CAP once submitted cannot be deleted.</i></p>

### Comment on Finding

Learning Objective	Step	Action
<p><b>How to Comment on Findings</b></p>	<p>1</p>	<p>On the <b>Survey F&amp;C</b> tab, select the <b>Comments</b> box, and type the text message (maximum 1000 character length). <b>Comments</b> are for supplemental information <u>ONLY</u>. CAPs can not be accepted in the <b>Comments</b> column.</p>  <p style="text-align: center;"><i>Figure 60: Comment for Finding.</i></p>

<b>2</b>	Click <b>Save</b> , to save the comment for later submission or Click <b>Submit</b> to submit the comment and notify the Reviewer of the submission. <i>Note: Applicant can comment on the findings only.</i>
----------	--

## Notifications

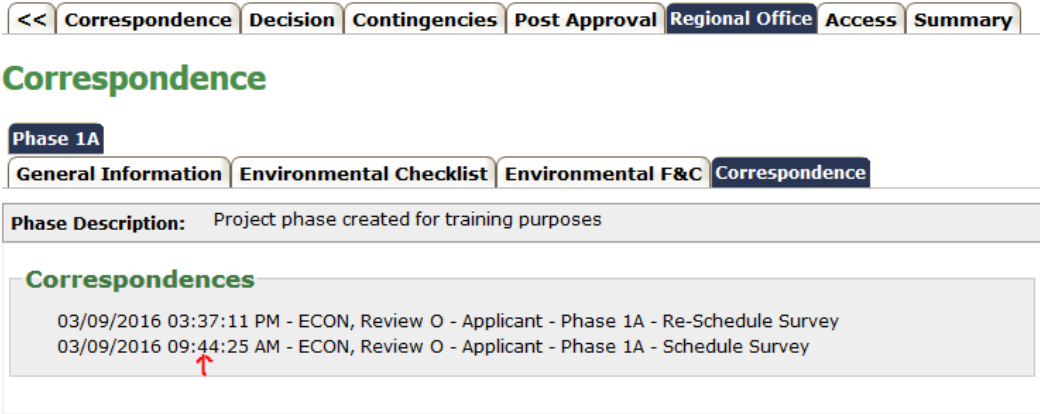
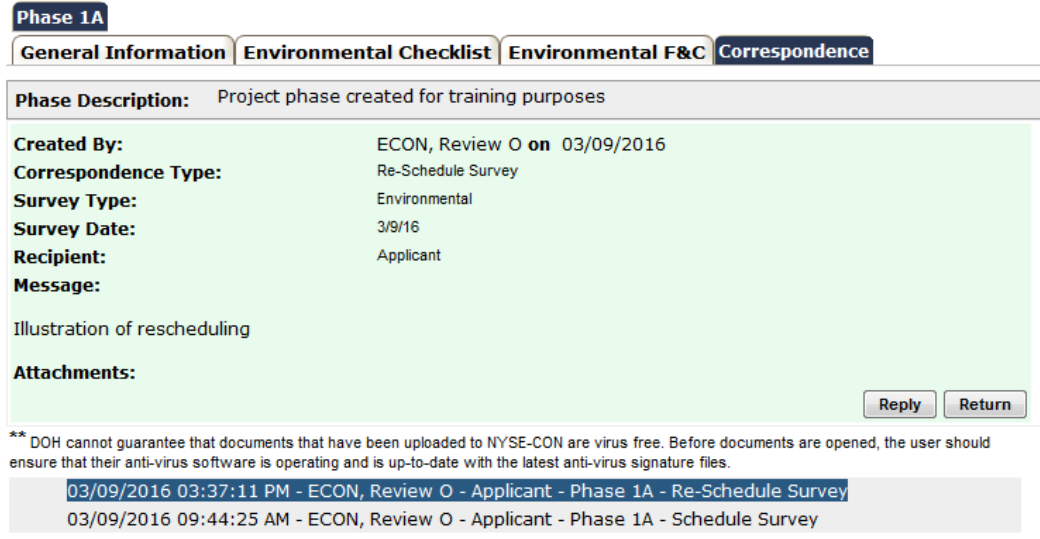
### Schedule Survey correspondence

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
<p>From: NYS Department of Health [<a href="mailto:nysecon@health.ny.gov">mailto:nysecon@health.ny.gov</a>]            Sent: Thursday, January 28, 2016 12:04 PM            To: Das, Sagarnil (TTS) &lt;<a href="mailto:SagarnilDas@its.ny.gov">SagarnilDas@its.ny.gov</a>&gt;            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</p> <p>Notification Date: 01/28/2016</p> <p>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).</p> <p>***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.</p> <p>If you are using NYSE-CON via the Health Commerce System (HCS) use this link  <a href="https://devcommerce.health.state.ny.us/doh2/applinks/nysecon/ro/referenceCorrespondenceRo?id=22086">https://devcommerce.health.state.ny.us/doh2/applinks/nysecon/ro/referenceCorrespondenceRo?id=22086</a></p> <p>If you are not logged into the NYSE-CON system you will be redirected to the Login page.</p> <p style="text-align: center;"><i>Figure 61: Sample Notification Email for Schedule Survey correspondence</i></p>	

## View Correspondence

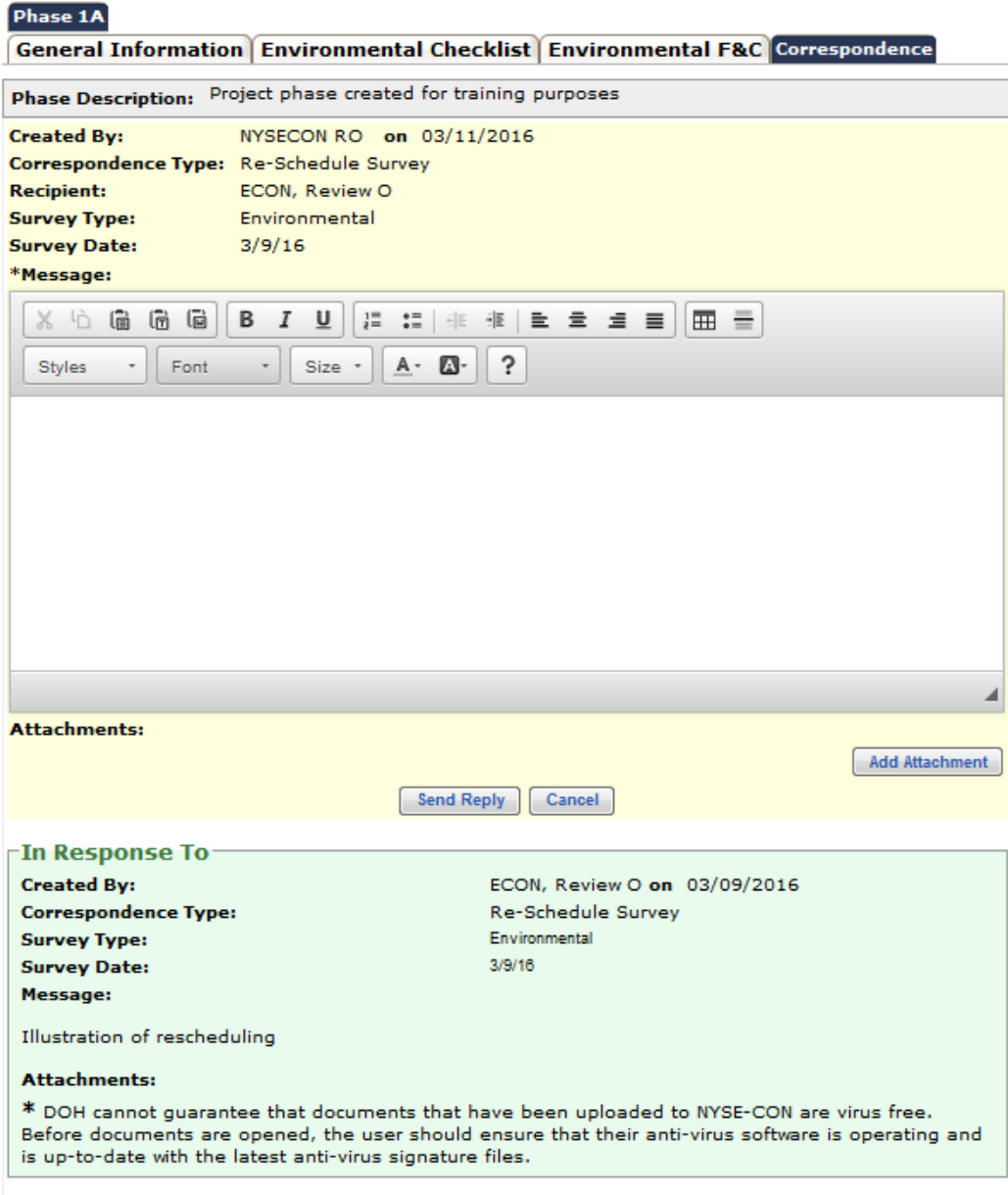
(Survey, General, Checklist, Findings and CAP, Email Log and Phone Log)

Learning Objective	Step	Action
<p><b>How to view a correspondence</b></p>	<p>1</p>	<p>Select the 'Regional Office' tab.                      Select the <b>Correspondence</b> tab.</p>  <p style="text-align: center;"><i>Figure 61: Correspondence Screen</i></p>
	<p>2</p>	<p>The screen contains the hyperlinks to the correspondence created in chronological order of occurrence.                      Click on the <b>hyperlink</b> to access the content of the correspondence.</p>
	<p>3</p>	<p>The <b>View Survey Correspondence</b> screen is now displayed.</p>  <p style="text-align: center;"><i>Figure 62: View Survey Correspondence Screen</i></p>

## Reply to Correspondence

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

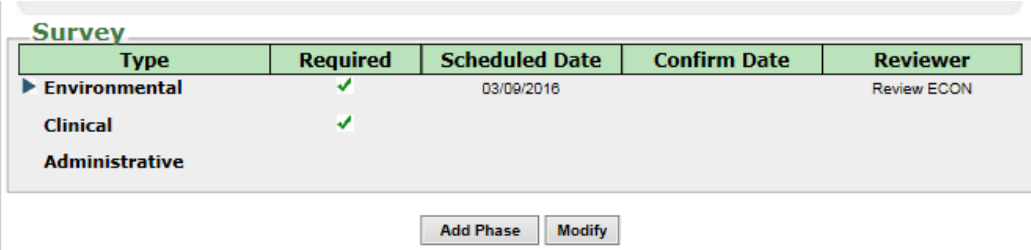
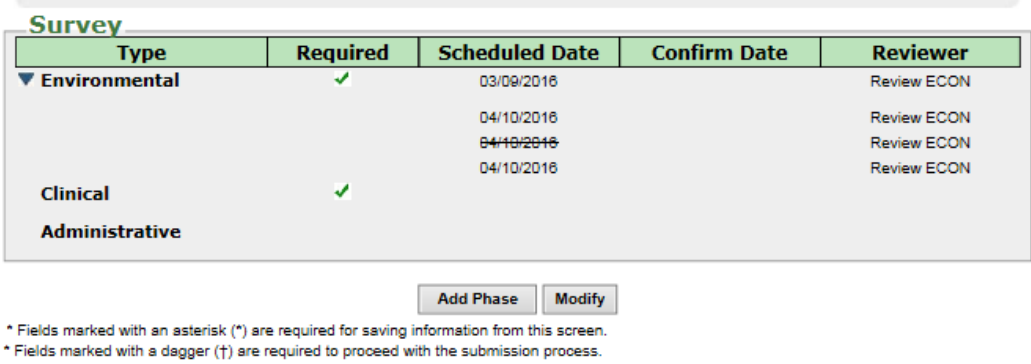
Learning Objective	Step	Action
How to reply to correspondence	1	<p>On the <b>View Correspondence</b> page, click <b>Reply</b></p> <p><b>View Survey Correspondence</b></p> <p><b>Phase 1A</b></p> <p><b>General Information</b> <b>Environmental Checklist</b> <b>Environmental F&amp;C</b> <b>Correspondence</b></p> <p><b>Phase Description:</b> Project phase created for training purposes</p> <p><b>Created By:</b> ECON, Review O on 03/09/2016  <b>Correspondence Type:</b> Re-Schedule Survey  <b>Survey Type:</b> Environmental  <b>Survey Date:</b> 3/9/16  <b>Recipient:</b> Applicant  <b>Message:</b>                      Illustration of rescheduling</p> <p><b>Attachments:</b></p> <p style="text-align: right;"><input type="button" value="Reply"/> <input type="button" value="Return"/></p> <p><small>** DOH cannot guarantee that documents that have been uploaded to NYSE-CON are virus free. Before documents are opened, the user should ensure that their anti-virus software is operating and is up-to-date with the latest anti-virus signature files.</small></p> <p>03/09/2016 03:37:11 PM - ECON, Review O - Applicant - Phase 1A - Re-Schedule Survey                      03/09/2016 09:44:25 AM - ECON, Review O - Applicant - Phase 1A - Schedule Survey</p> <p style="text-align: center;"><i>Figure 63: Reply Button on View correspondence screen</i></p>

<p>2</p>	<p>Enter the <b>message</b> in the text area provided.</p> <p><b>Reply to Survey Correspondence</b></p>  <p><i>Figure 64: Reply Correspondence screen</i></p>
<p>3</p>	<p>Add Attachment if required.</p>
<p>4</p>	<p>Click <b>Send Reply</b></p>

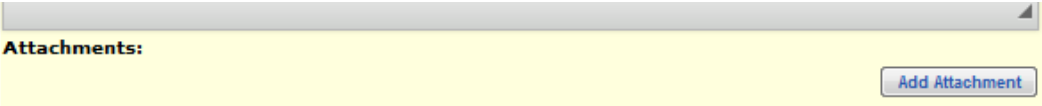
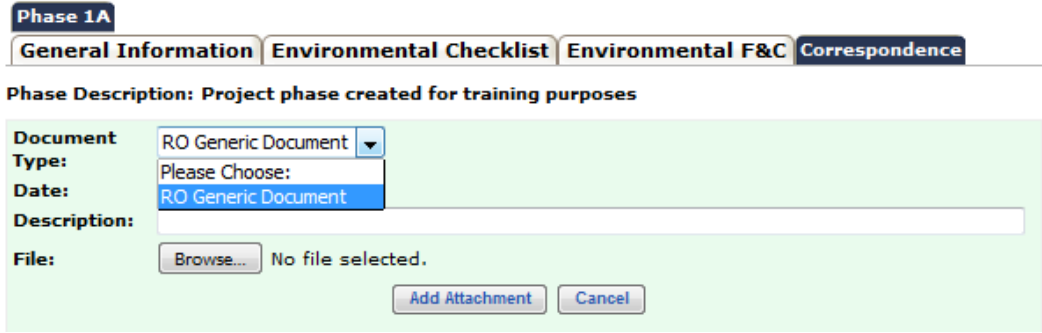
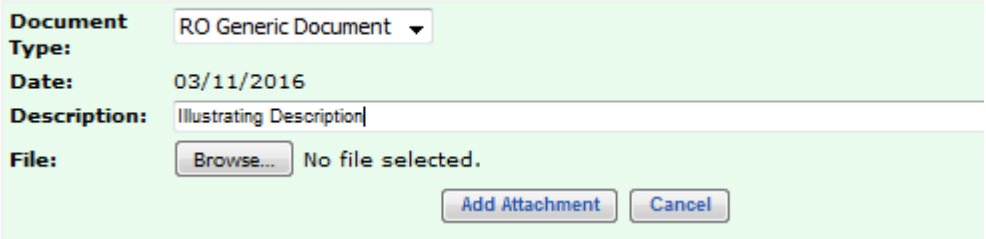


## Appendix \_1

### Referencing the Survey Schedule History Table

Learning Objective	Step	Action
<p><b>How to View the History of survey activity</b></p>	<p>1</p>	<p>The <b>Survey</b> table (containing the history of schedules specific to each survey) is located in the bottom frame of the <b>General Information</b> page.</p>  <p style="text-align: center;"><i>Figure 65: Survey table</i></p>
	<p>2</p>	<p>All survey activity (schedule, confirm, re-schedule, and cancel) appears in the survey table. The history of survey activity is maintained.</p> <p>The survey information appears as follows:</p> <ul style="list-style-type: none"> <li>Type of survey(s) selected by the Regional Office for the project (Marked with ✓) <i>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.</i></li> <li>The Scheduled date - the date is created when the Reviewer first schedules the survey and is updated every time the survey is rescheduled.</li> <li>Name of the Reviewer</li> </ul> <p>*Note: A toggle {▶} button is provided so, when clicked, the survey history will be expanded.</p>  <p style="text-align: center;"><i>Figure 66: Records created for Surveys Scheduled</i></p>

## Adding an Attachment

Learning Objective	Step	Action
<b>How to Add an Attachment</b>	<b>1</b>	Click <b>Add Attachment</b> on the screen  <p style="text-align: center;"><i>Figure 67: Add Attachment button</i></p>
	<b>2</b>	Select <b>Document Type</b> <b>Add Correspondence Attachment</b>  <p style="text-align: center;"><i>Figure 68: Drop down selection of Document Type</i></p>
	<b>3</b>	Enter the document <b>Description</b>  <p style="text-align: center;"><i>Figure 69: Description of attachment</i></p>
	<b>4</b>	Click <b>Choose file / Browse</b> (As displayed on the browser)

**5** Browser window pops up. Select the file to be attached. Click **Open**.

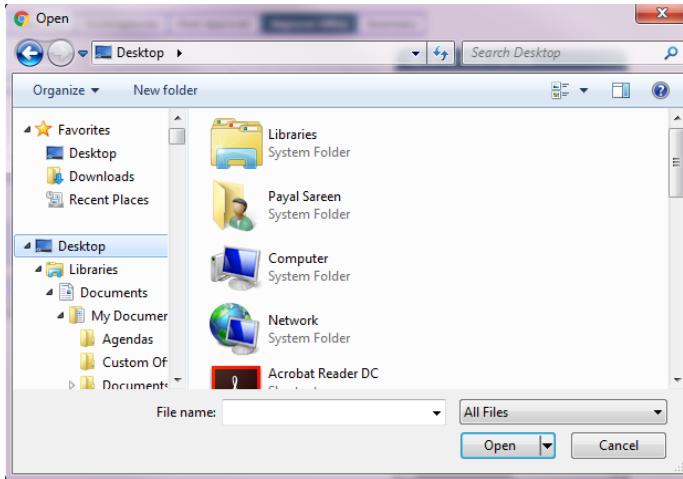


Figure 70: Browser Window for Attachments

**6** The filename is shown as attachment on screen.

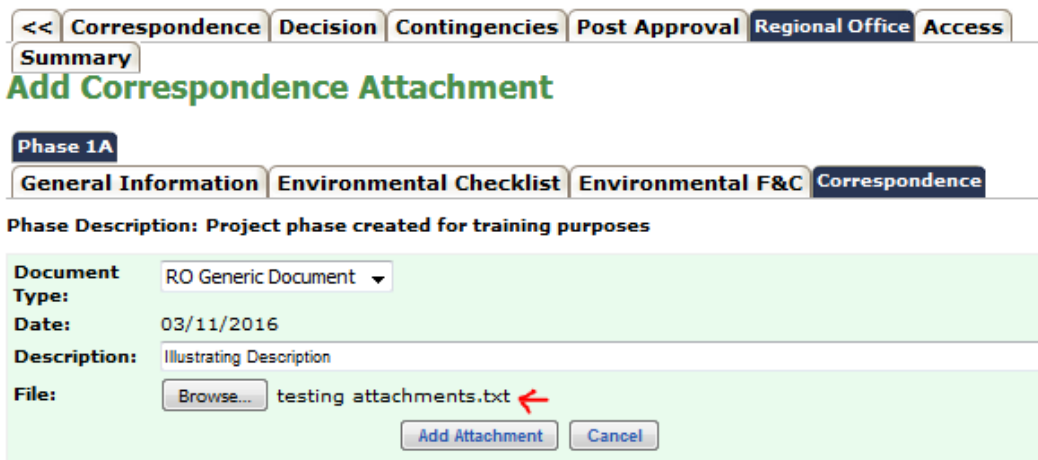


Figure 71: Attachment add to system

Click **Add Attachment**