New York State

Electronic Certificate of Need

Applicant Training:

Request Regional Office Review

Version 4.0

Health Commerce System

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 in Checklist Documents

Table of Contents

Table of Figures

Applicant initiates request for 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. To be able to login to NYSE-CON, the user must have a Health Commerce System (HCS) account. 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.

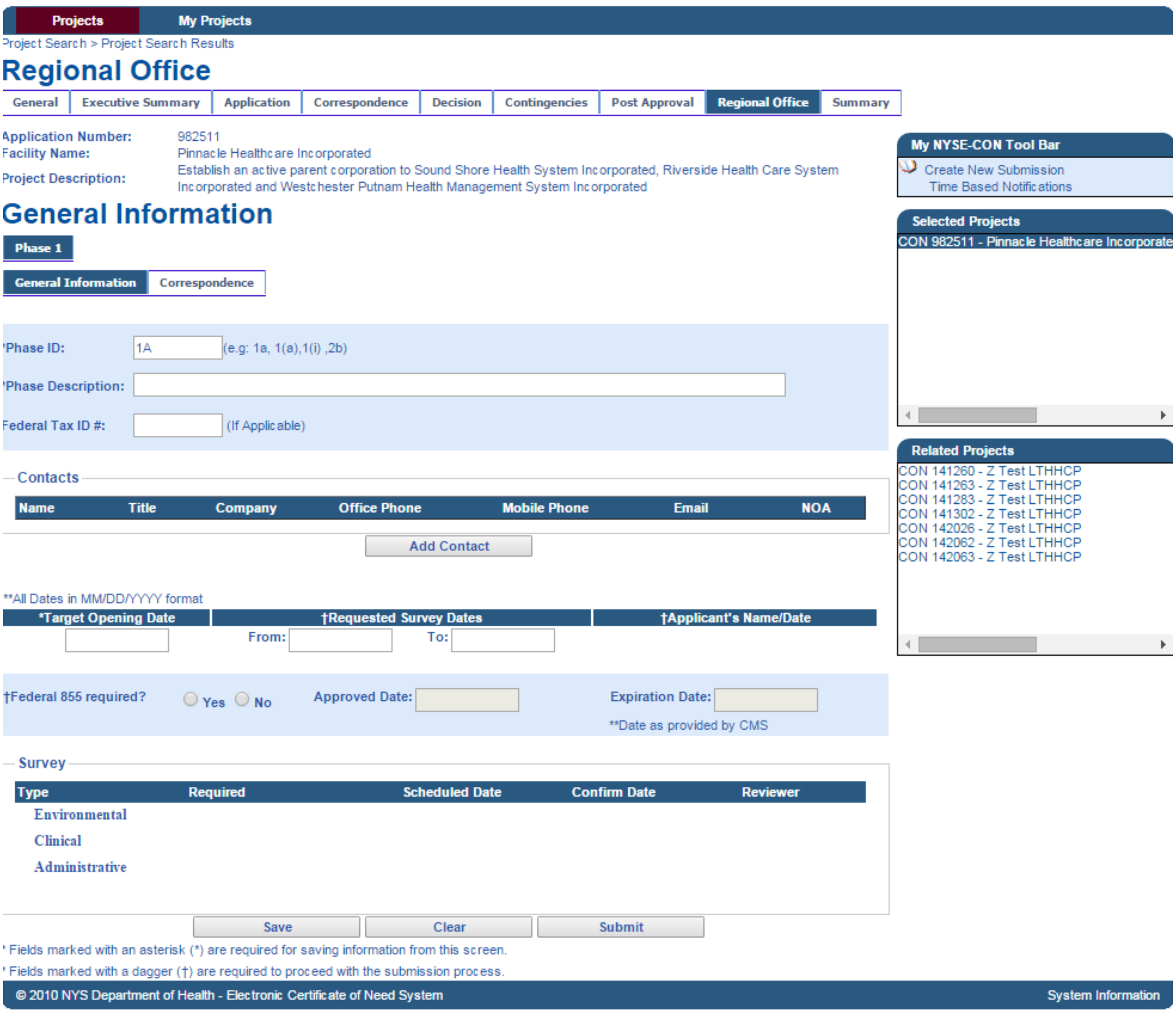


Figure 1: Regional office: General Information page

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 one phase, but more phases may be added by Applicant. Surveys, Checklists Findings and Corrective Action Plans (CAPs) and Correspondences 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 by 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 functionalities available to the Applicant would be '**Add contact'**, 'Modify' and 'Add Phase'.
Clear	Clears any unsaved data
Save	Entered and selected data is saved. Saved information may be modified. The regional office cannot 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 (the date when the surveys were assigned by the Reviewer) and the Reviewer's name. Also includes the date the survey was confirmed with the Applicant..

**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
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.

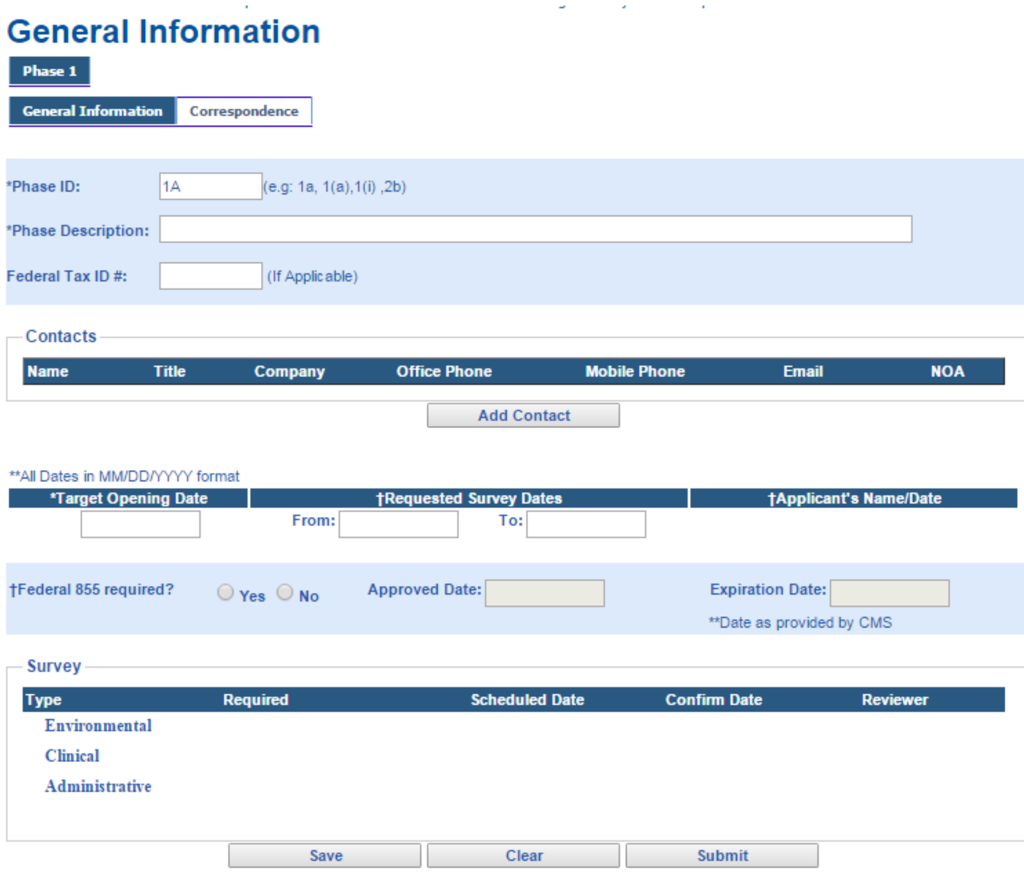


Figure 2a: Creating a Phase

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.**

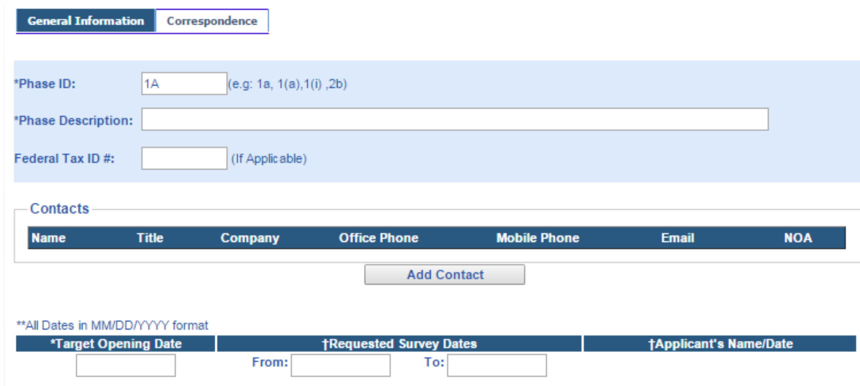


Figure 2b: Creating a Phase

3

Click **Save** button to save the phase

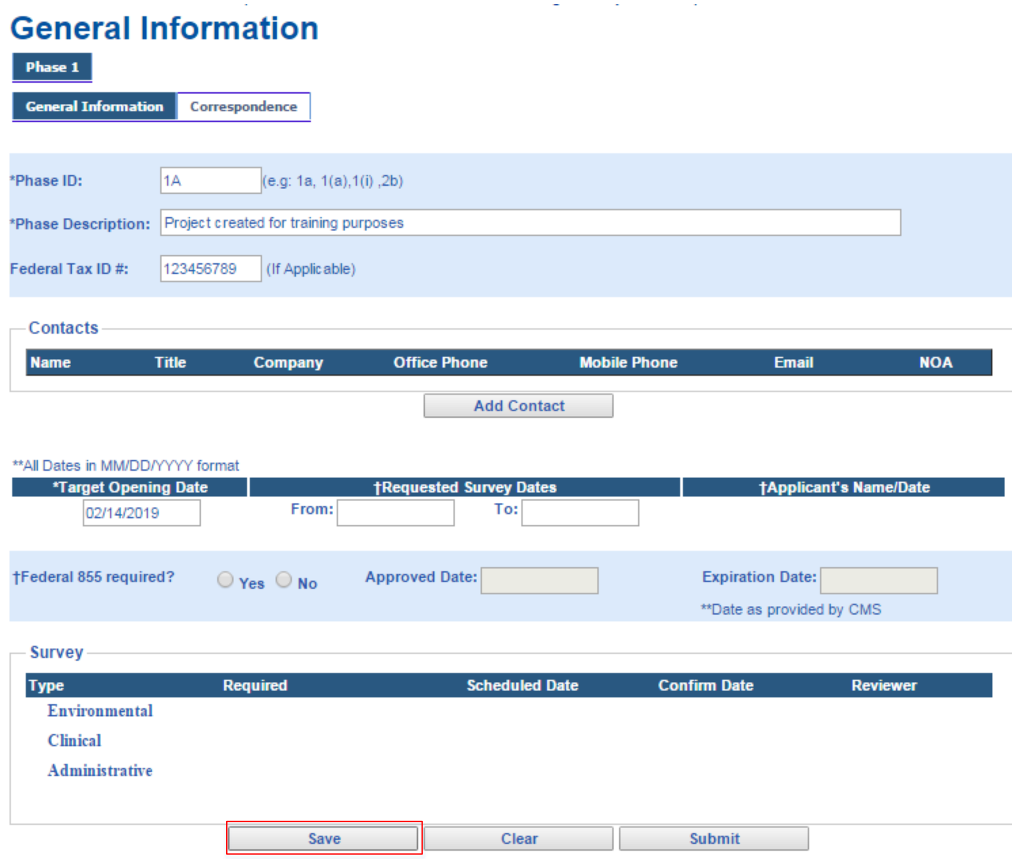


Figure 3: Saving a Phase

*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.

Conditions that apply:

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

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

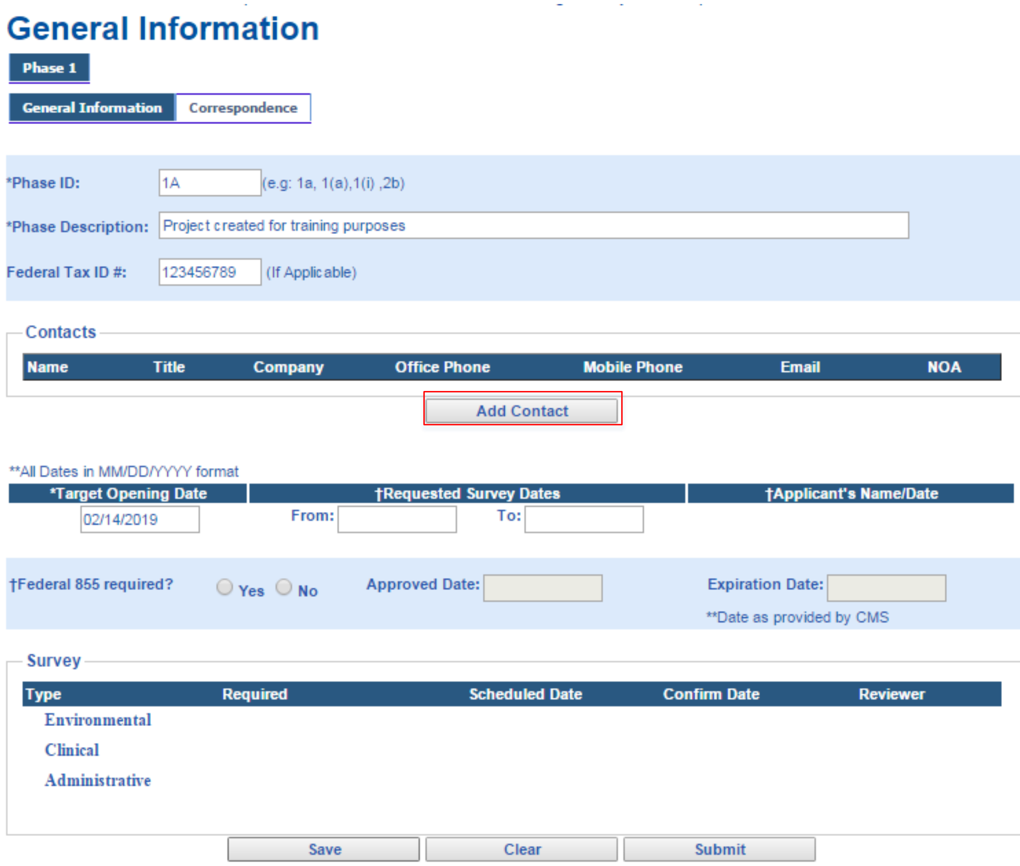
4

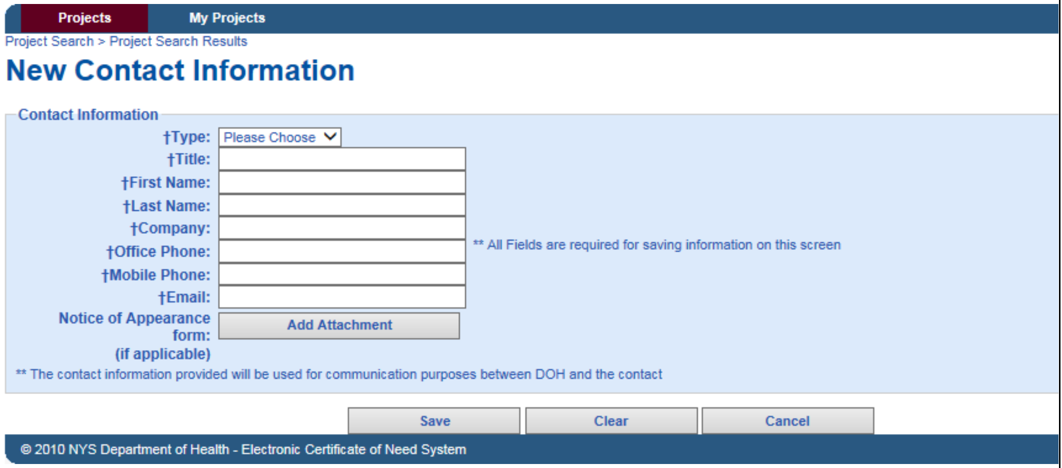
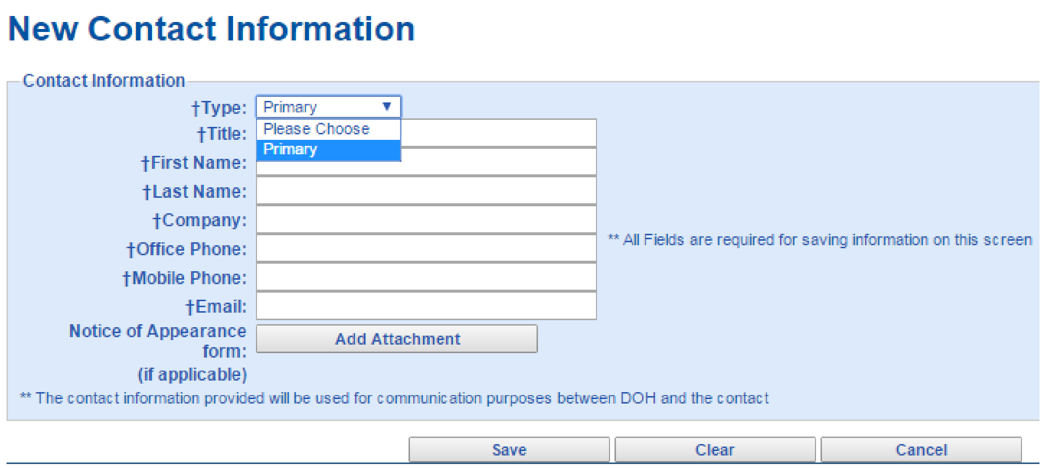
To clear any unsaved data Click **Clear**

Note:

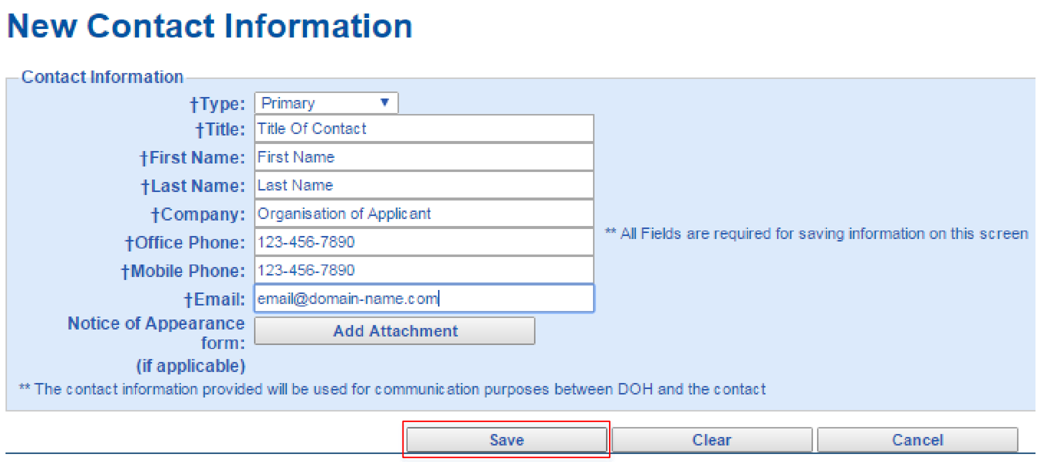
If information has been 'Saved' then the entered data can be cleared by placing the cursor in the field and clearing the information using the Backspace/ Delete keys from the keyboard.

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*

		New Contact Information screen displays  *Figure 5: New Contact Information*
	2	On the New Contact Information page, from the contact **Type** drop down list, select **Primary** in type. ***When the first contact is being added, the only contact designation option available is 'Primary', 'Additional' will be available when additional contacts are added.*  *Figure 6: Contact type* Conditions that Apply: • There must be at least one contact designated as '**Primary**'.
	3	Enter **First Name** of the contact
	4	Enter **Last Name** of the contact
	5	Enter **Company** name
	6	Enter **Office Phone** number ** Entered phone numbers must be a valid 10-digit phone number format: (###) ###-####.*

	7	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.*
	8	Enter **E-mail** address
	9	**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.
	10	Click **Save**.



New Contact Information

Contact Information

†Type:	Primary
†Title:	Title Of Contact
†First Name:	First Name
†Last Name:	Last Name
†Company:	Organisation of Applicant
†Office Phone:	123-456-7890
†Mobile Phone:	123-456-7890
†Email:	email@domain-name.com
Notice of Appearance form: (if applicable)	Add Attachment

** All Fields are required for saving information on this screen

** The contact information provided will be used for communication purposes between DOH and the contact

Save | Clear | Cancel

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

Contacts

Name	Title	Company	Office Phone	Mobile Phone	Email	NOA
First Name Last Name - Primary	Title Of Contact	Contact's Employer	(123) 456-7890	(123) 456-7890	email@domain-name.com	
First Name1 Last Name1	Designation of Additional	Employer of Additional	(123) 456-7890	(222) 222-2222	additional.email@Domain-name.com	

Add Contact

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.

Attach / Delete Notice of Appearance (NOA) for contacts

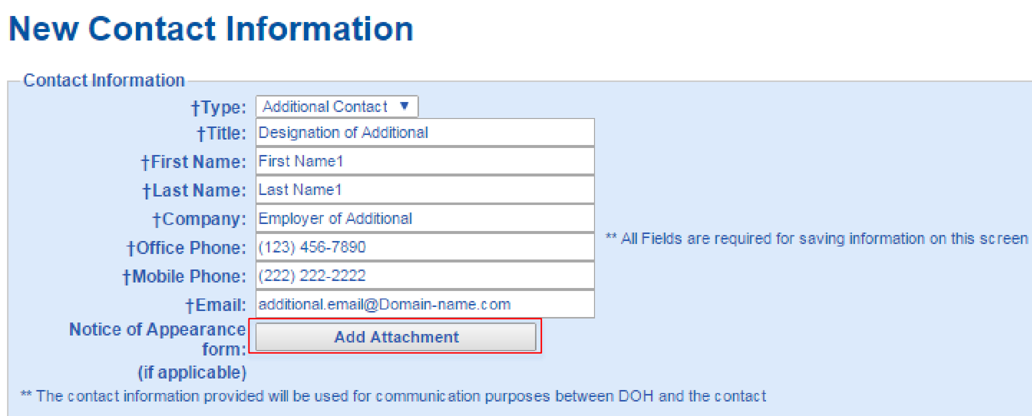
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="3">Attach NOA for a contact</td><td>1</td><td>On the New Contact Information page, click Add Attachment


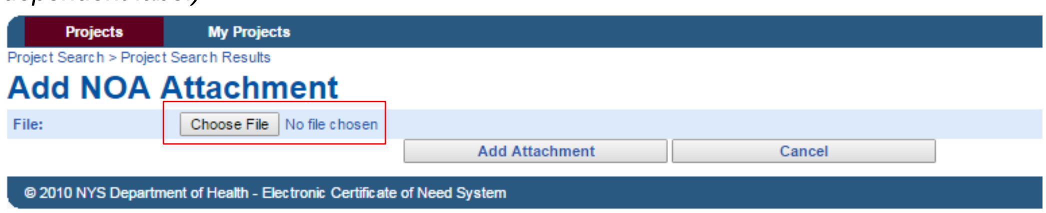
Figure 8: Add NOA Attachment</td></tr>
<tr><td>2</td><td>On the Add NOA Attachments page, select Choose File / Browse (Browser dependent label)


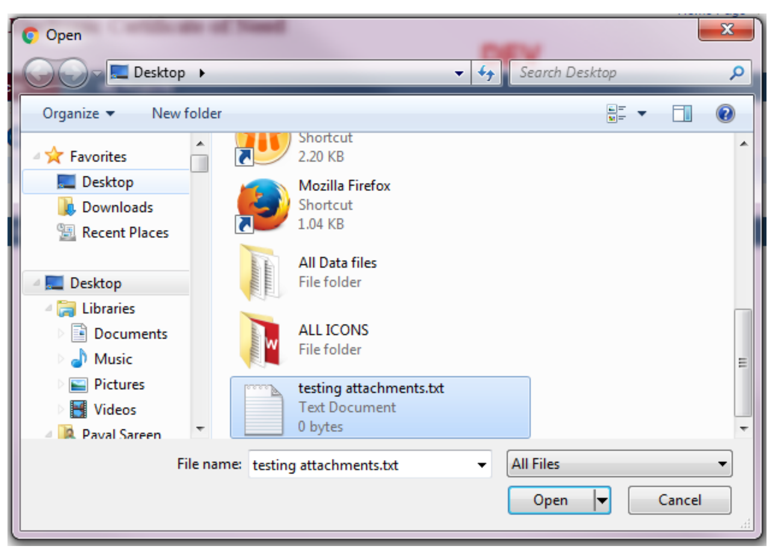
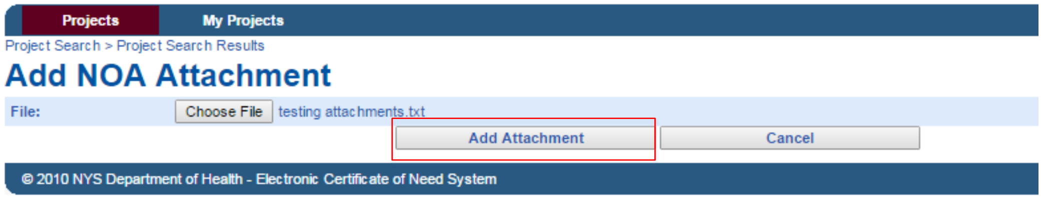
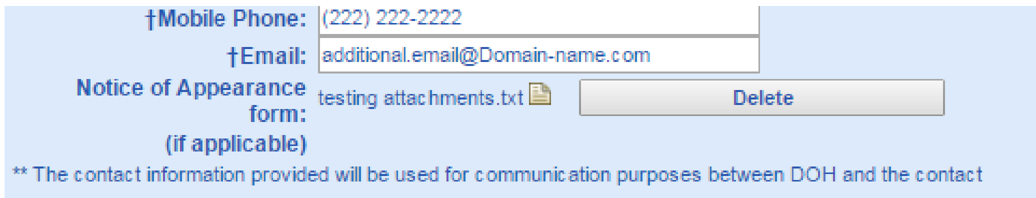
Figure 9: Add NOA Attachment</td></tr>
<tr><td>3</td><td>Choose the attachment from the local workstation.
Click Open


Figure 10: Browse for document</td></tr>
</table>

	4	Click **Add Attachment**  *Figure 11: Attachment path is reflected in the File*
	5	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.*
	6	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.*

Modify contact information

Learning Objective	Step	Action
How to Modify a Contact	**1**	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*

<table>
<tr><td></td><td>2</td><td>The Modify Contact Information page will display.
The information previously entered is enabled for modifying.

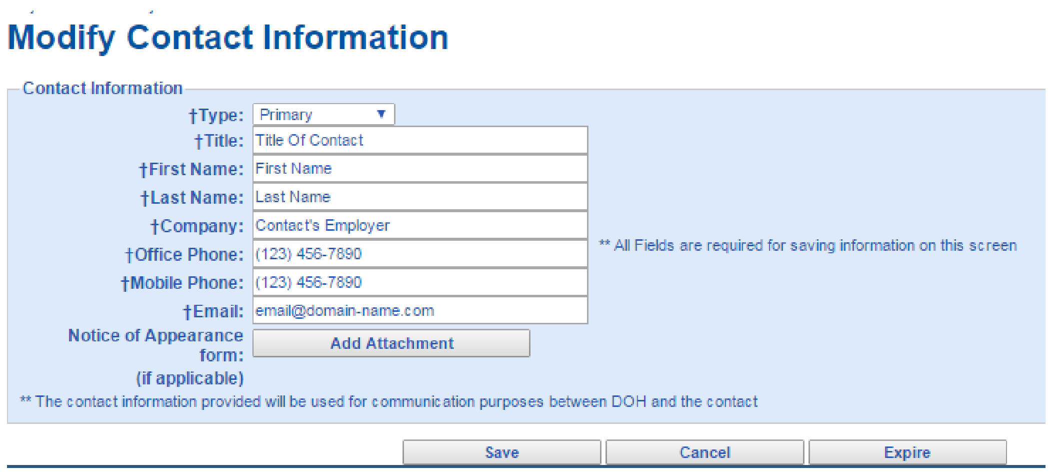


Figure 14: Modify Contact Information</td></tr>
<tr><td></td><td>3</td><td>Enter information in the textboxes that require modification.</td></tr>
<tr><td></td><td>4</td><td>The Delete or Backspace buttons may be used to clear the previously entered information</td></tr>
<tr><td></td><td>5</td><td>Enter the new information</td></tr>
<tr><td></td><td>6</td><td>Click Save button on the screen. "General information" is now displayed with updates to the Contact Table.

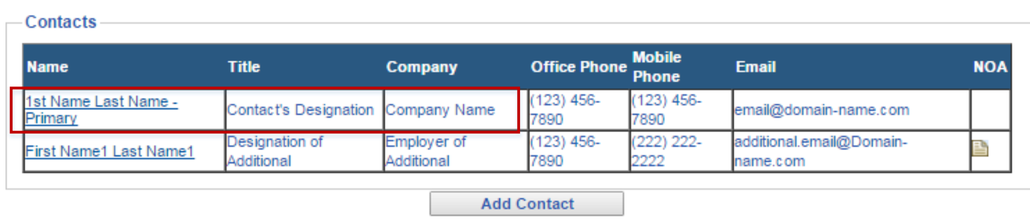


Figure 15: Modified Contact Information</td></tr>
</table>

Change Primary contact

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to Change the Primary Contact</td><td>1</td><td>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</td></tr>
</table>

2 Select **Primary** from the contact **Type** drop down list

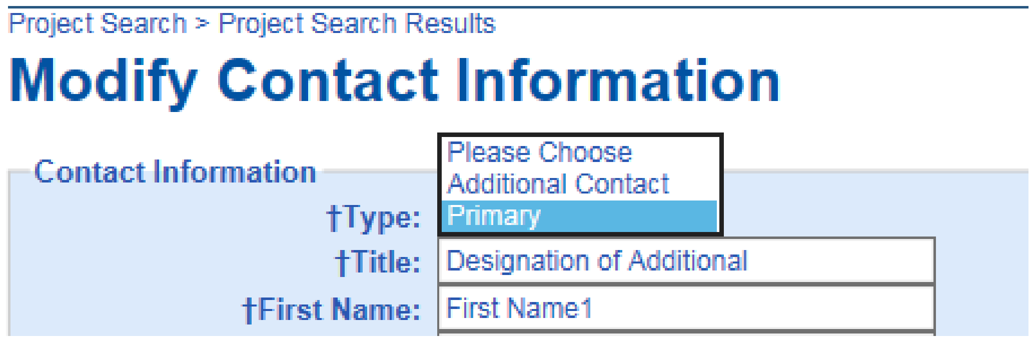


Figure 17: Select Primary in 'Type'

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

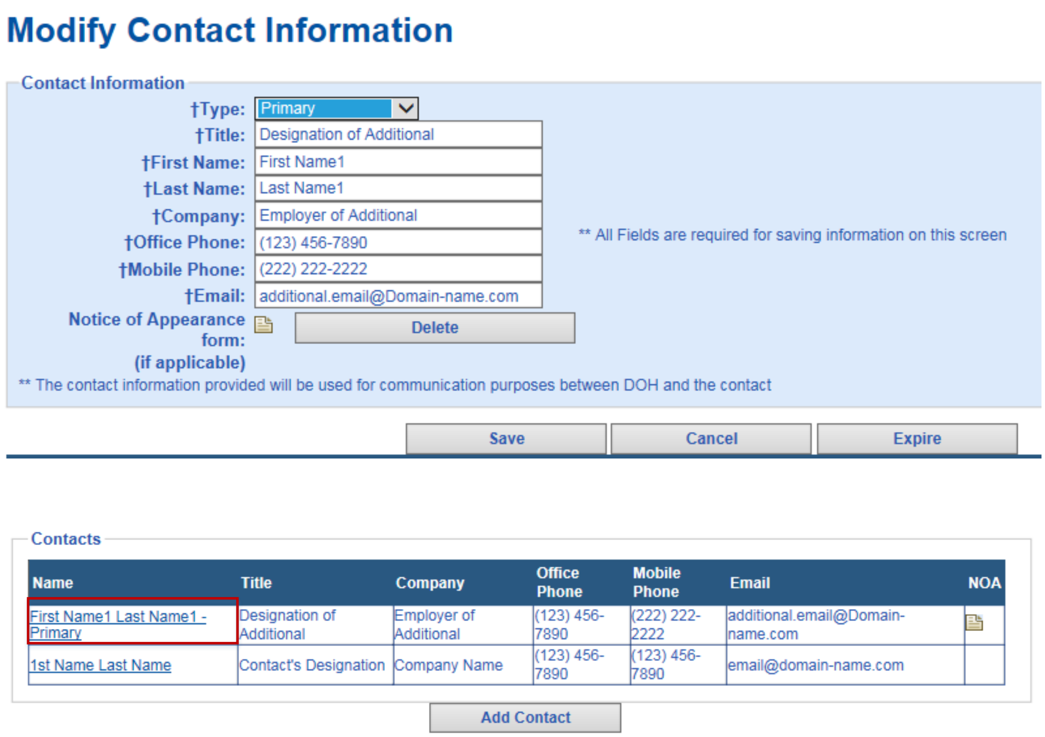


Figure 18: Type Changed: Changes reflected in contact table

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

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">How to Expire a Contact</td><td>1</td><td>

On the **General Information** page, click the **Name** link for the contact to expire. **Modify Contact Information** screen is displayed.

Figure 19: 'Name hyperlink - Expire the contact

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

Click **Expire** button on the lower right

Figure 20: Contact Table- Contact Expired

</td></tr>
<tr><td></td><td>3</td><td>

Select the **View All Contacts** check box on the upper left. 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

Learning Objective	Step	Action
How to Reactivate an Expired Contact	**1**	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.

Contacts

Name	Title	Company	Office Phone	Mobile Phone	Email	NOA
First Name1 Last Name1 - Primary	Designation of Additional	Employer of Additional	(123) 456-7890	(222) 222-2222	additional.email@Domain-name.com	
ABC LXD	Temporary	DOH	(333) 444-5555	(222) 222-2222	abc.lxd@doh.com	
1st Name Last Name - EXPIRED	Contact's Designation	Company Name	(123) 456-7890	(123) 456-7890	email@domain-name.com	

Figure 22: Click name marked 'Expire'

2

The **Reactivate Contact Information** screen gets displayed

Click the **Reactivate** button

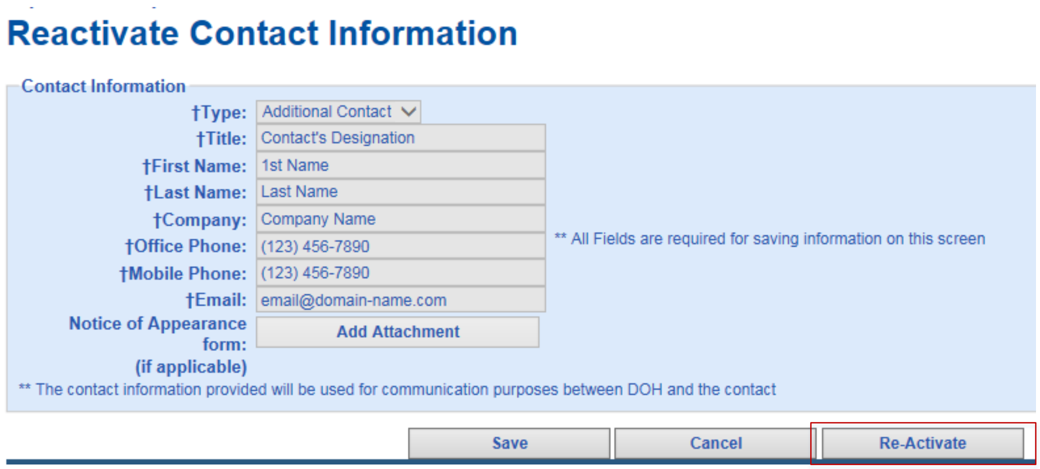


Figure 23: Reactivate contact information screen

3

If any information has to be updated, follow steps in section 2.2 to modify the contact.

4

Click **Save**, the contact is re-activated in the Contact Table.

Contacts

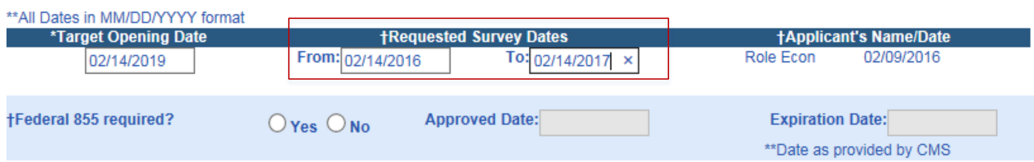
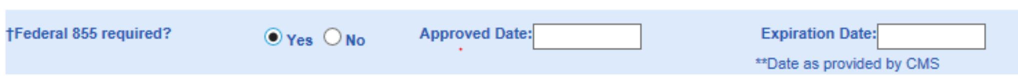
Name	Title	Company	Office Phone	Mobile Phone	Email	NOA
First Name1 Last Name1 - Primary	Designation of Additional	Employer of Additional	(123) 456-7890	(222) 222-2222	additional.email@Domain-name.com	
ABC LXD	Temporary	DOH	(333) 444-5555	(222) 222-2222	abc.lxd@doh.com	
1st Name Last Name	Contact's Designation	Company Name	(123) 456-7890	(123) 456-7890	email@domain-name.com	

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

Submit a Request to Regional Office

Learning Objective	Step	Action
How to Submit a Request to the Regional Office	**1**	On the **General Information** page, refer figure 1. Perform the steps to Create a Phase
	2	Perform the steps to Add Contacts To attach NOA for a contact, refer to Attach/Delete NOA.
	3	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*
	4	Indicate if the **Federal 855** is required for the project (Radio button: Yes / No).  *Figure 26: Federal 855 Information*
	5	Enter the **Approval Date** for Federal 855, as provided by CMS. **This is not a mandatory field.*
	6	Enter the **Expiration Date** for Federal 855, as provided by CMS. **This is not a mandatory field. However, if the Approval date has been entered the submission will not be accepted without the expiration date.*

<table>
<tr><td></td><td>7</td><td>

Click **Submit**.

Figure 27: Screen after submission

</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 (Refer to figure 27).

opening date on the general information page	2	Click **Modify,** refer figure 27. The Modification screen is displayed.

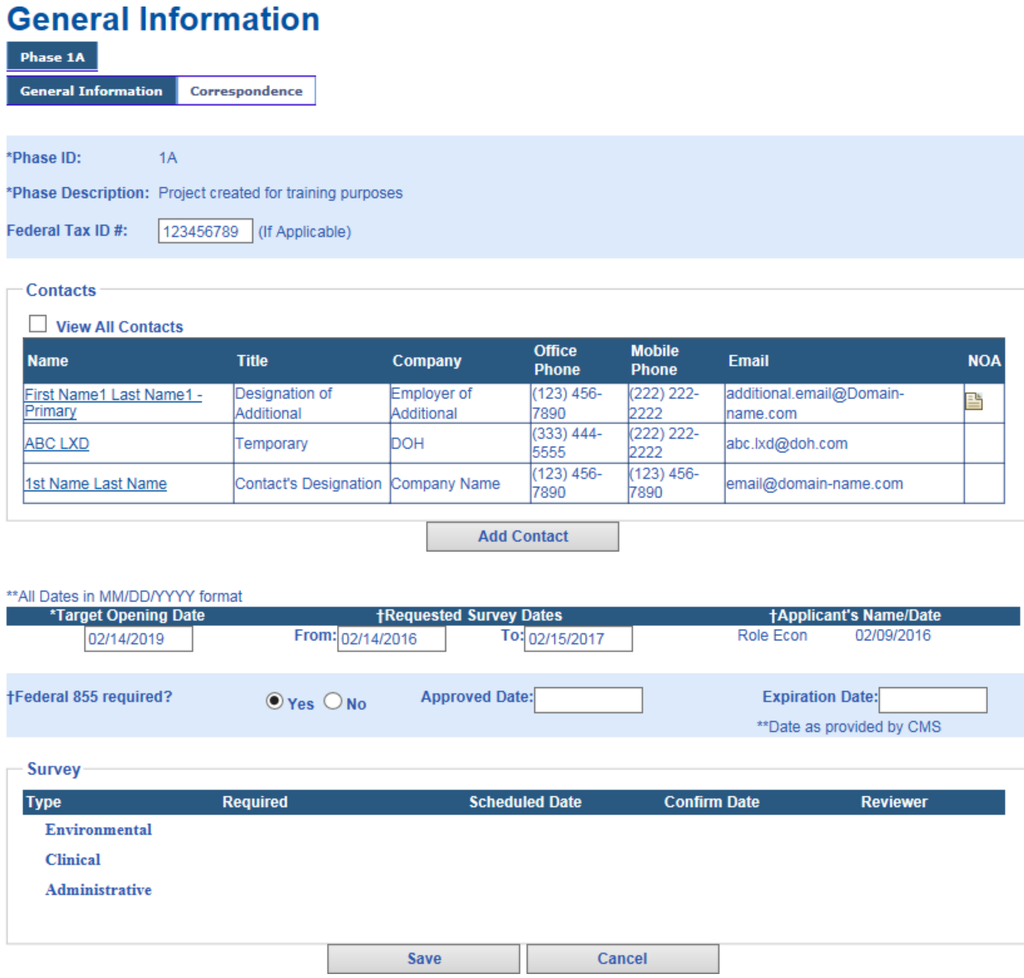


Figure 28: Screen to Modify

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

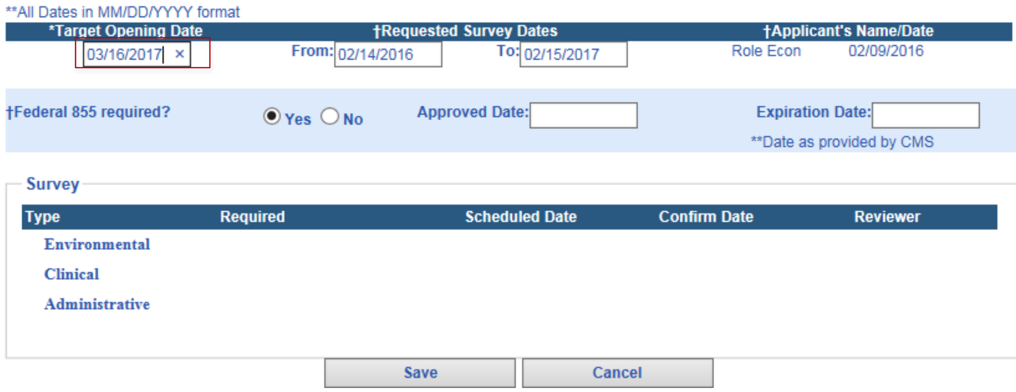
<table>
<tr><td rowspan="2"></td><td>3</td><td>Clear the Target Opening Date and enter the new date in the provided textbox.


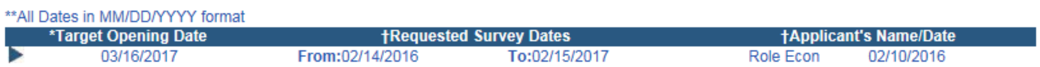
Figure 29: Select cell to modify Target opening date</td></tr>
<tr><td>4</td><td>Click Save, refer figure 29 above. On saving, the toggle appears next to the row. Clicking the toggle will show previous survey and confirmation dates.


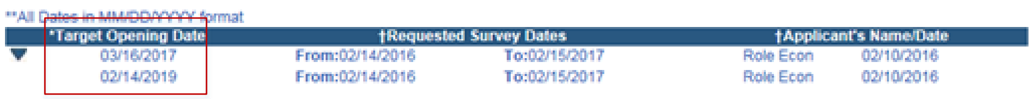
Figure 30a: New date Saved- Toggle on the side.


Figure 30b: New date Saved- Showing History toggle down.</td></tr>
</table>

Modify Requested Survey Date range

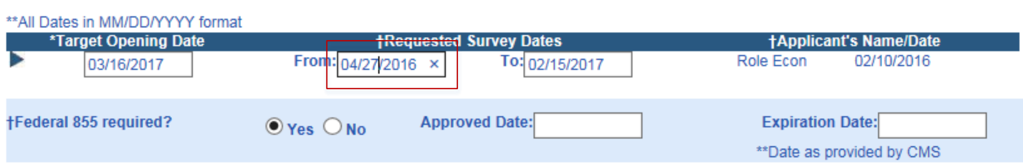
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">To modify the requested survey date range on the general information page</td><td>1</td><td>Click Modify on the General information page
Refer figure 27,28</td></tr>
<tr><td>2</td><td>Enter the new date in the Requested Survey Date From: textbox.


Figure 31: Modify Survey date From</td></tr>
</table>

<table>
<tr><td></td><td>3</td><td>Enter the new date in the Requested Survey Date To: textbox.

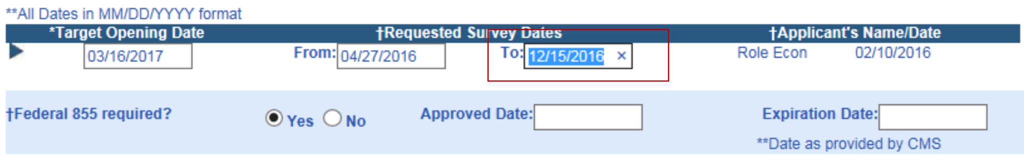


Figure 32: Modify Survey Date TO</td></tr>
<tr><td></td><td>4</td><td>Click Save. Refer figure 29.

* On saving, the toggle appears next to the row. Clicking the toggle expands to show the history of date changes.

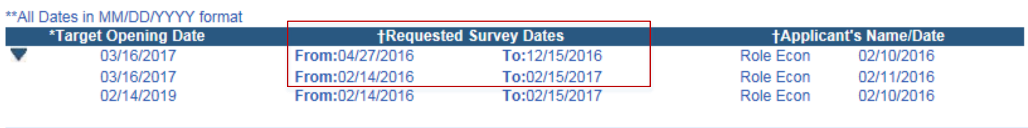


Figure 33: New survey dates saved</td></tr>
</table>

Modify Federal 855 expiration date

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">To modify the Federal 855 Expiration date on the general information page</td><td>1</td><td>Click Modify on the General Information Page

Refer figure 27,28</td></tr>
<tr><td>2</td><td>Enter the new date in the Expiration Date textbox.

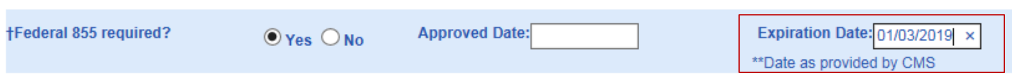


Figure 34: On clicking Modify Fed 855 expiration date allows editing</td></tr>
</table>

<table>
<tr><td></td><td>3</td><td>Click Save.

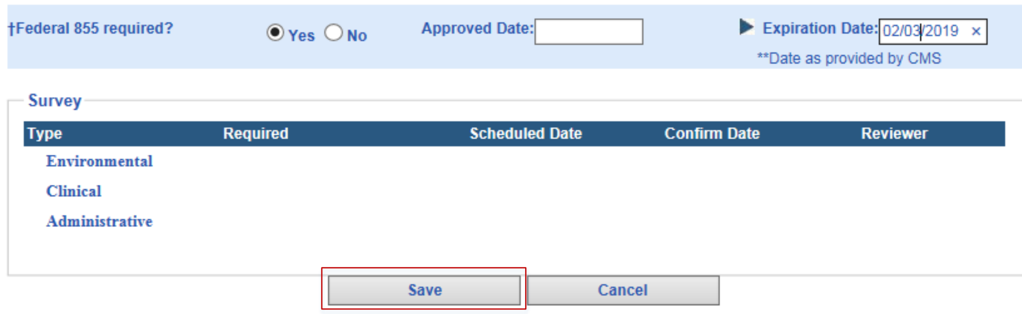


Figure 35a: Save.

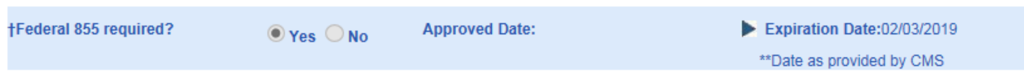


Figure 35b: New Date Saved.

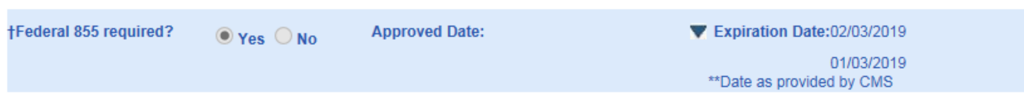


Figure 35c: History accessible by toggle.

* 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.</td></tr>
</table>

Modify Federal Tax ID

Learning Objective	Step	Action
To modify the Federal	**1**	Click **Modify** on the **General Information** page *Refer figures 27and 28.*

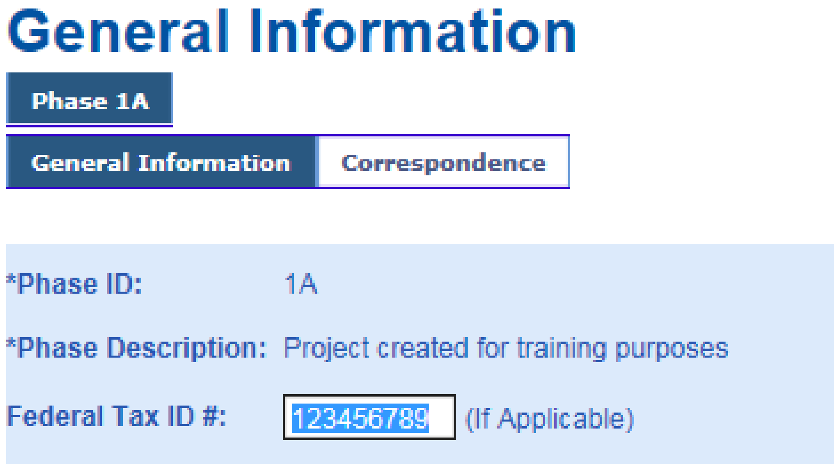
<table>
<tr>
<td>Tax ID# on the general information page</td>
<td>2</td>
<td>Enter the new or modified Federal Tax ID number in the Federal Tax ID # textbox.


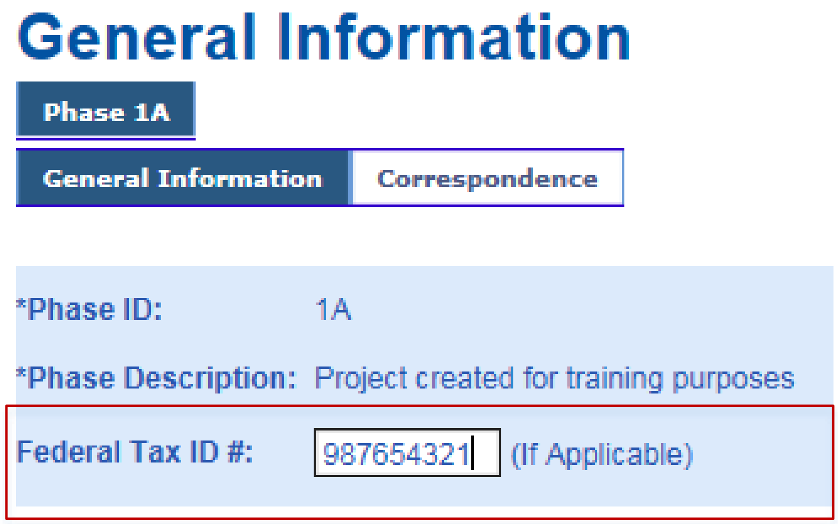
Figure 36a: Clearing the earlier entry
(To clear select and Delete/ Backspace)


Figure 36b: Enter New Tax ID #</td>
</tr>
</table>

Click **Save**

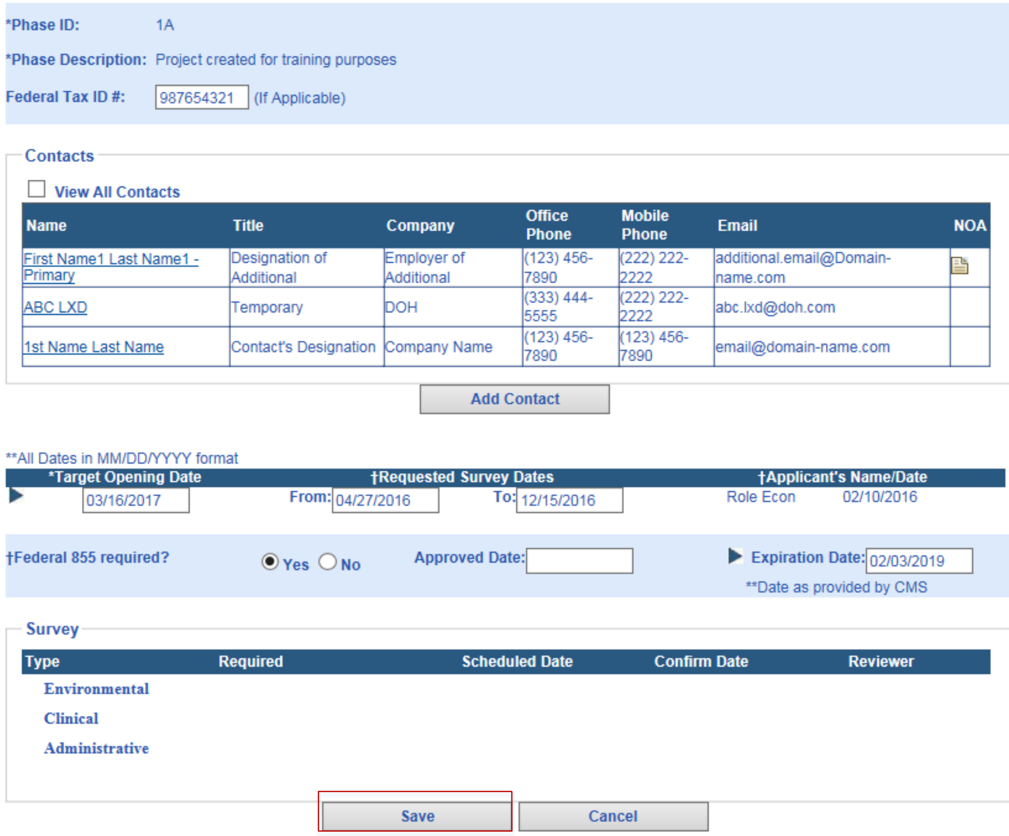
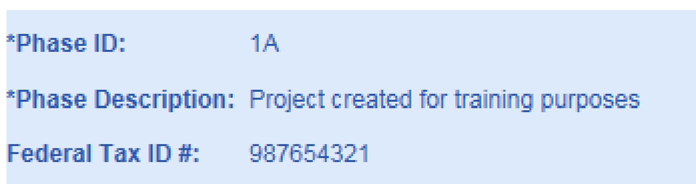


Figure 37: Click Save



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.

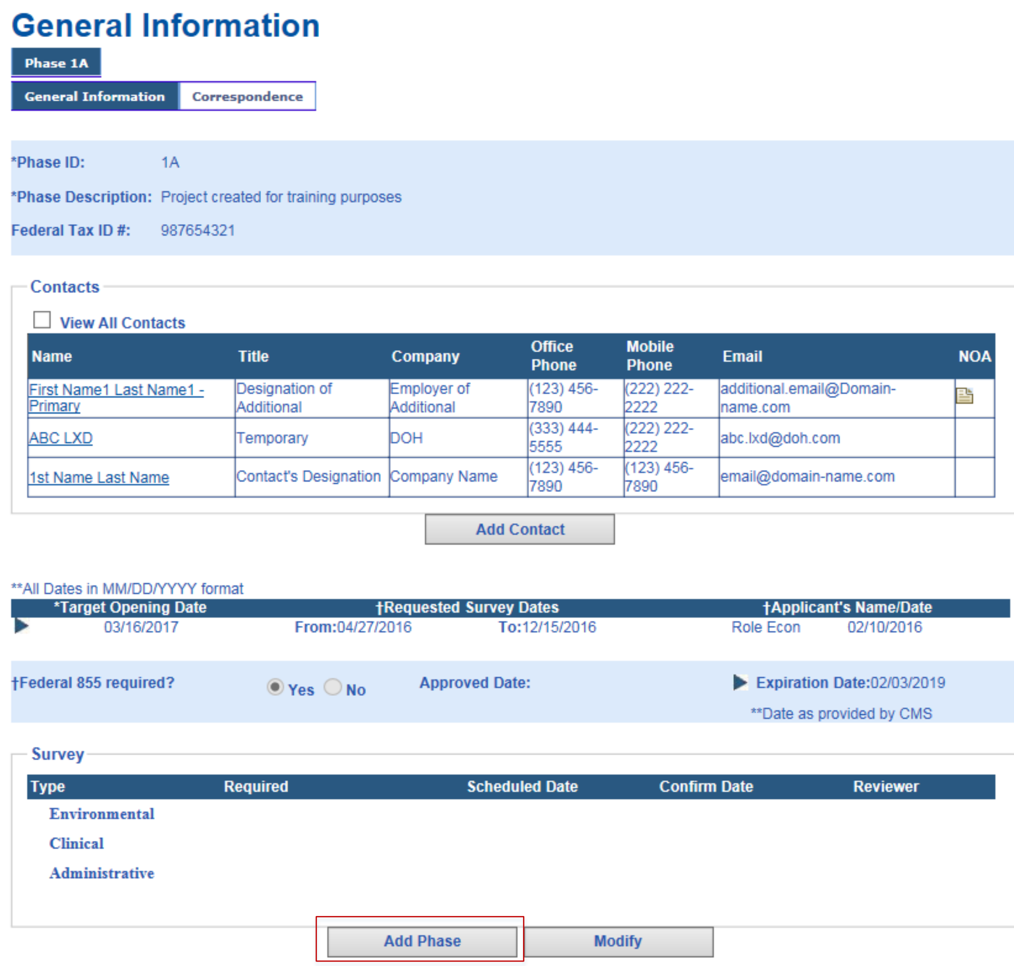


Figure 38: Adding new phase

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 (Not applicable for the first phase). 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.

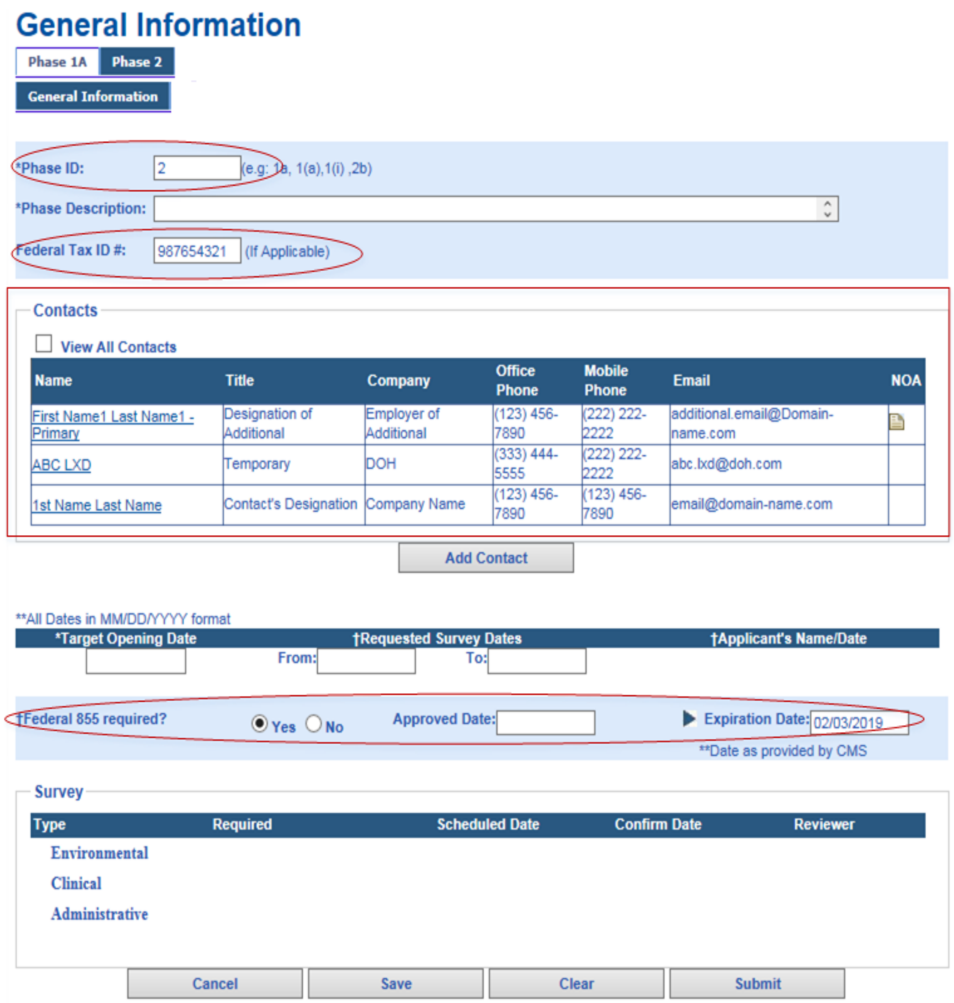


Figure 39: New phase –General Information screen

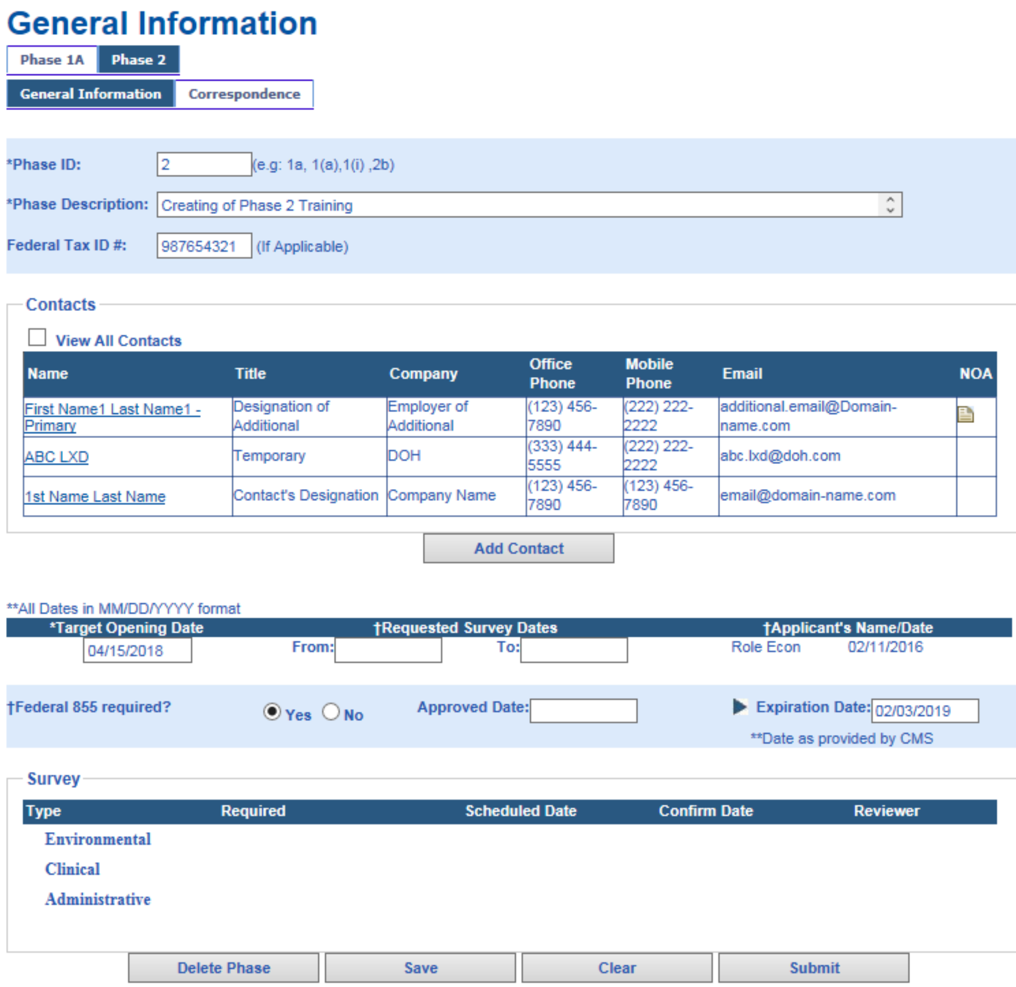
<table>
<tr><td></td><td>3</td><td>To Cancel the creation of phase, click Cancel. (Creation of phase can be cancelled before saving)
To Save the Phase, click Save.
*Note: The new phase can only be cancelled before the Phase is saved.</td></tr>
<tr><td></td><td>4</td><td>To delete a Phase: Click Delete 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</td></tr>
</table>

Checklist Documents

Uploading, Deleting, Saving and Submitting Checklist Documents

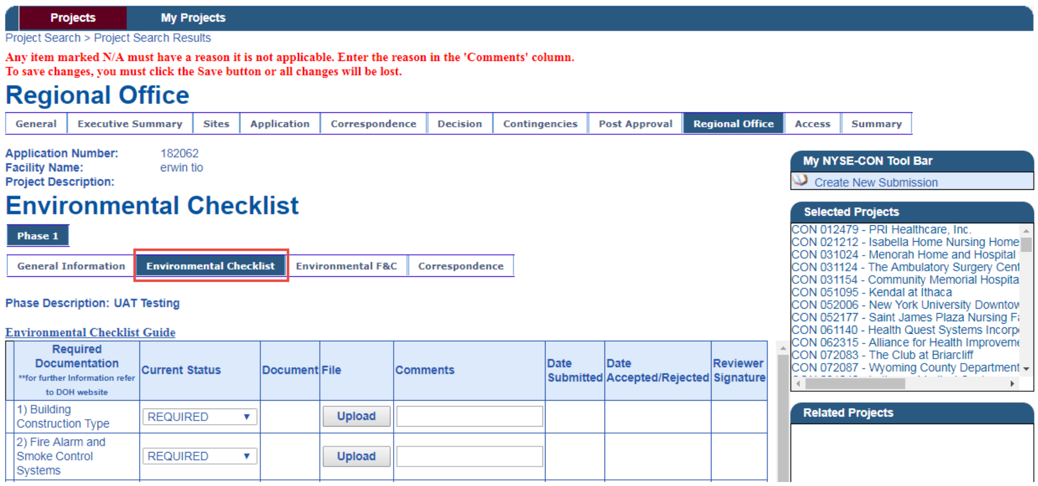
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">How to upload a checklist document</td><td>1</td><td>On the Regional Office tab, select the Checklist Tab(s) to view the list of documents needed for the survey.


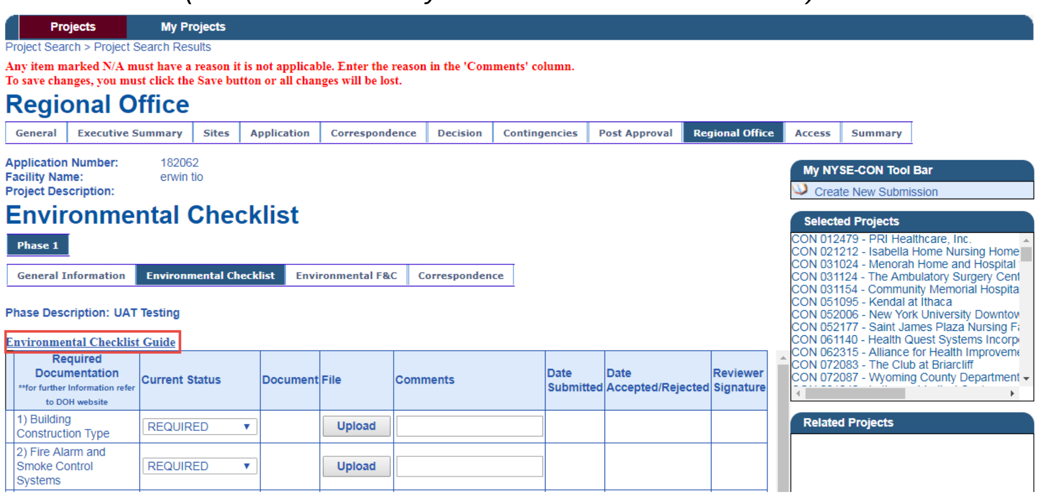
Figure 41: Selecting the Survey Checklist Tab</td></tr>
<tr><td>2</td><td>On the checklist tab, the checklist items are listed in the table format.
*Note: The hyperlink to the Environmental checklist guide is located above the table on the Environmental checklist page. Clicking the hyperlink opens the description of the checklist items (This is available only for the environmental checklist)


Figure 42: Environmental checklist table on the Environmental checklist page</td></tr>
</table>

<table>
<tr><td></td><td>3</td><td>Click the Upload Button in the row of the checklist item to upload document(s).

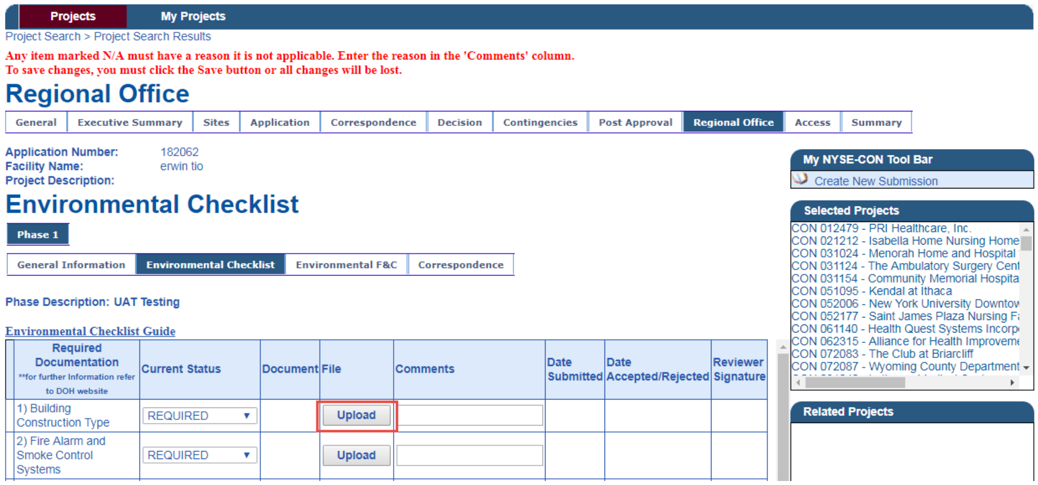


Figure 43: Uploading document for building construction type.</td></tr>
<tr><td></td><td>4</td><td>Add Checklist Attachment page displays. Click Browse.

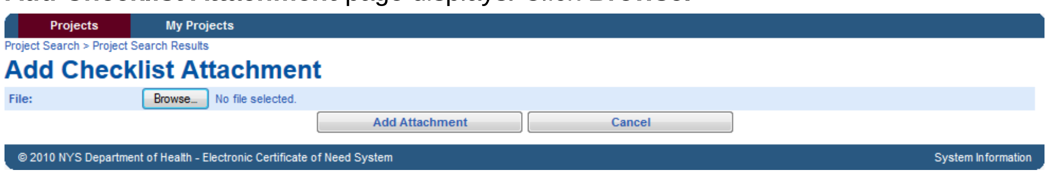


Figure 44: Add Checklist Attachment.</td></tr>
<tr><td></td><td>5</td><td>The File upload browser displays. Select the file to be uploaded and click Open

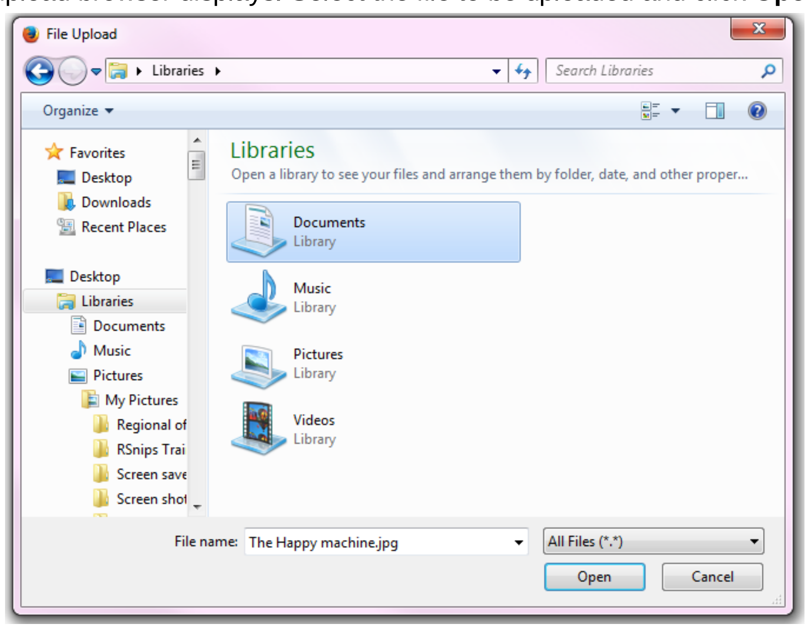


Figure 45: Add Checklist Attachment.</td></tr>
</table>

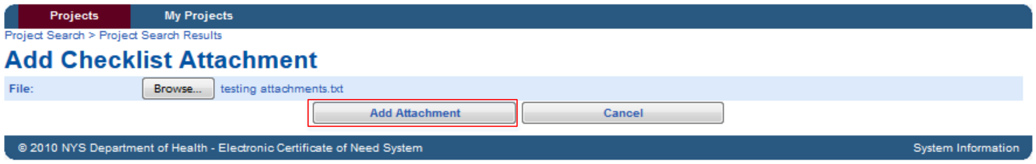
<table>
<tr><td></td><td>6</td><td>Click Add Attachment


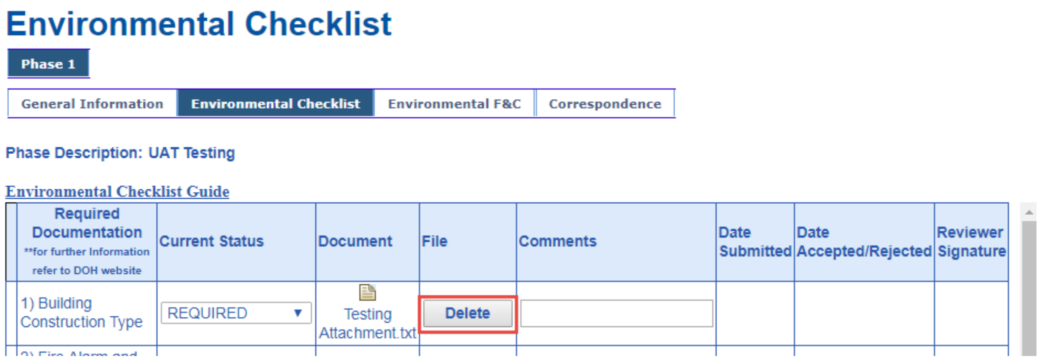
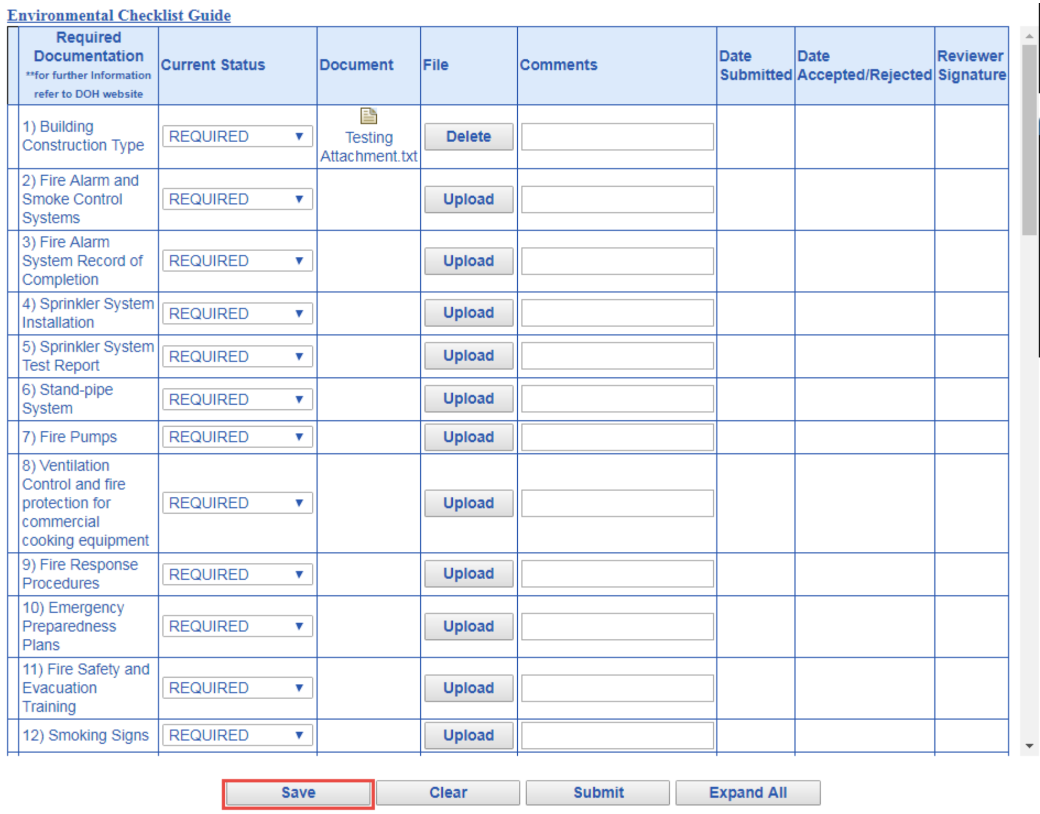
Figure 46: Add Attachment.</td></tr>
<tr><td></td><td>7</td><td>The added attachment is indicated by the document icon on the table.
*Note: The upload button changes to a Delete button to accommodate correction.


Figure 47: Document uploaded can be deleted before saving</td></tr>
<tr><td></td><td>8</td><td>To add any comments about the uploaded document, make entries in the Comments textbox in the corresponding row (Optional).</td></tr>
</table>

9

Click **Save** to save all work when complete. Checklist items may be saved as entered or saved when all have been entered.

*Note: *<u>HOWEVER</u>, If multiple documents must be added for an <u>individual checklist item</u>, each document must be <u>saved after every upload.</u>*


Environmental Checklist Guide

Required Documentation **for further Information refer to DOH website	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				

Save Clear Submit Expand All

Figure 48: Saving the Uploaded document

10

To submit the uploaded documents: Click **Submit.** (Refer fig 48)

The submission confirmation screen displays. Click **Confirm.**

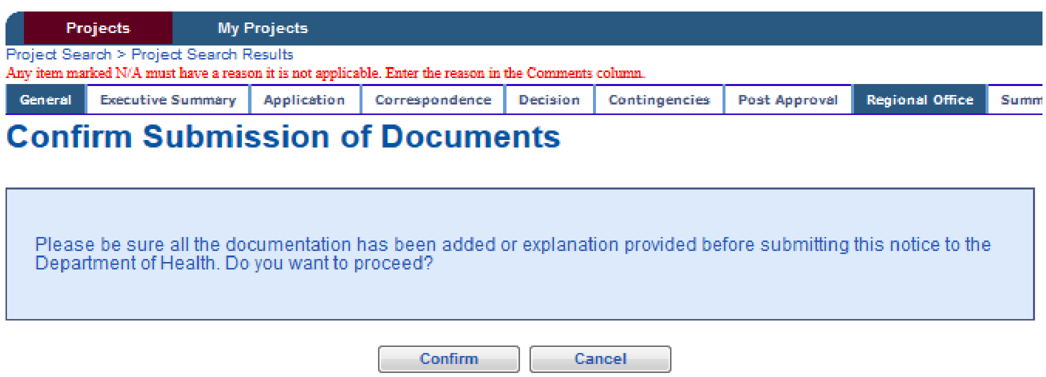
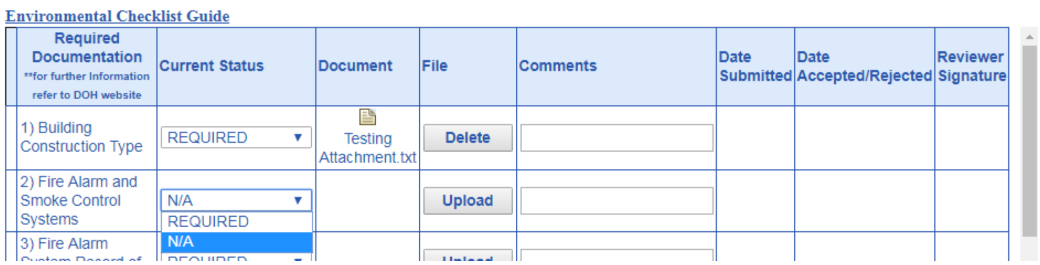
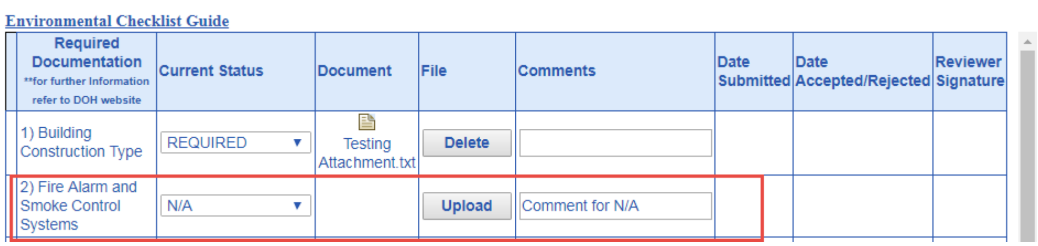


Figure 49: Submission confirmation

Changing status of a checklist item to N/A

Learning Objective	Step	Action
How to change the Status of the Checklist item from Required to N/A	**1**	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*
	2	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*
	3	Click **Save** to save the information or **Submit** to notify the Regional Office that the required information has been provided.

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
DO NOT ENTER CAPs in the Comments field.

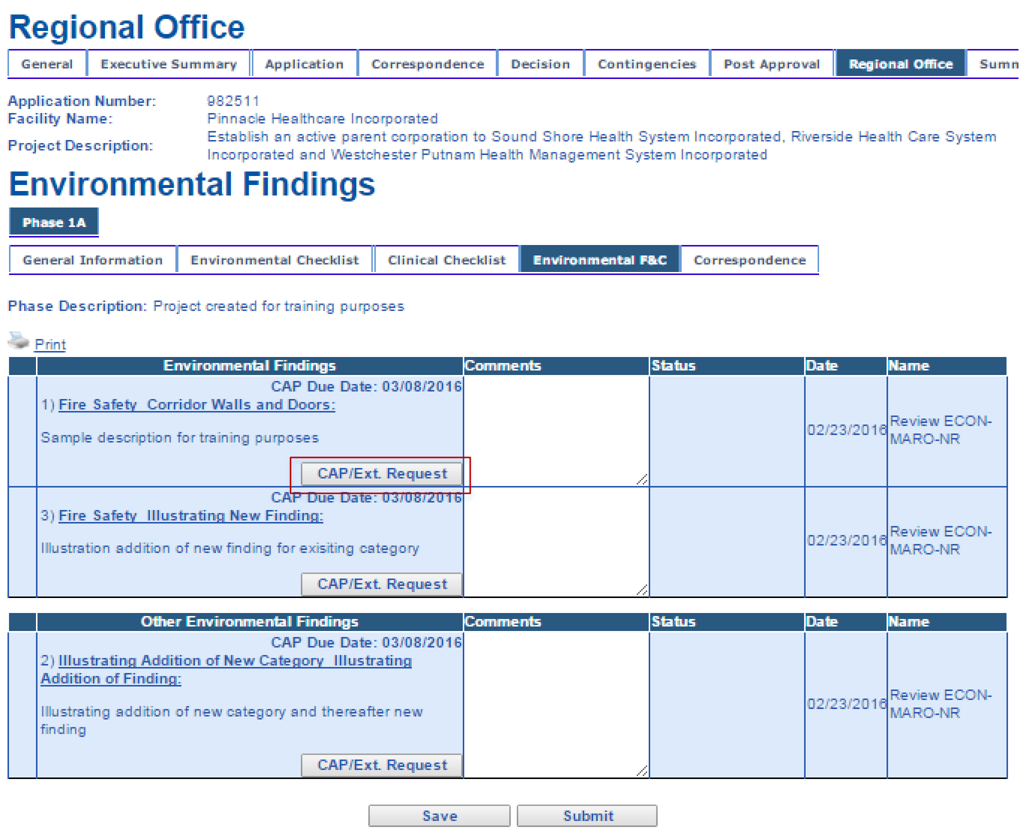


Figure 52: Survey F&C tab</td></tr>
</table>

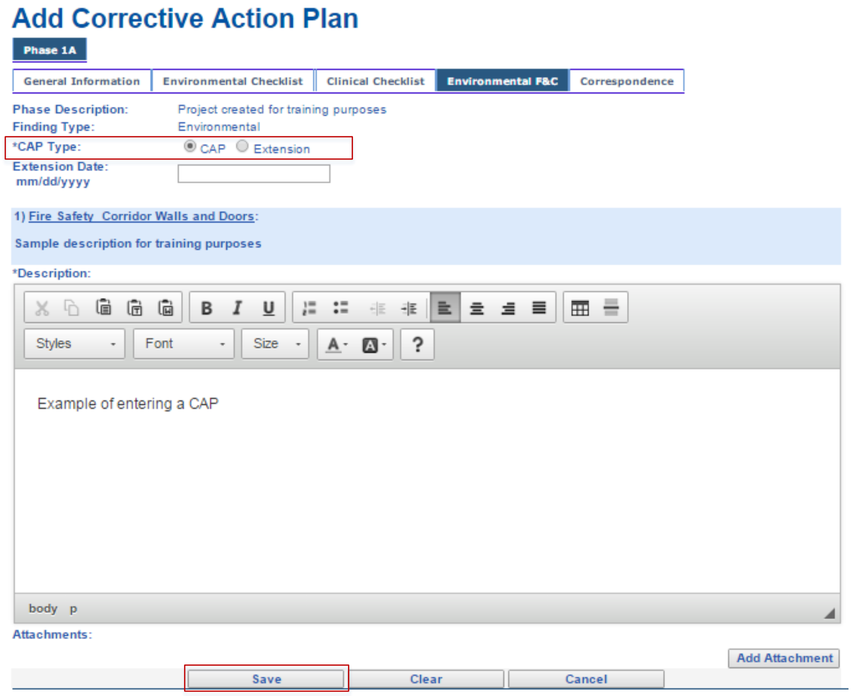
<table>
<tr><td></td><td>2</td><td>The Add Corrective Action Plan screen is displayed


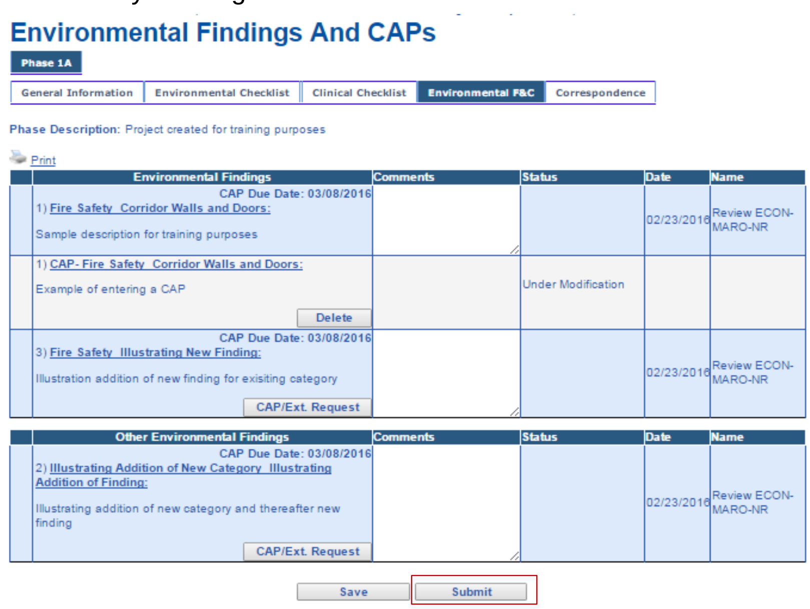
Figure 53: Add CAP page</td></tr>
<tr><td></td><td>3</td><td>Leave CAP type as “CAP”, (Default value).</td></tr>
<tr><td></td><td>4</td><td>Enter a Description</td></tr>
<tr><td></td><td>5</td><td>Click Save. The Survey F&C screen appears with the added CAP</td></tr>
<tr><td></td><td>6</td><td>Click Submit to notify the Regional Office a CAP has been entered for review.


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

Modify CAP

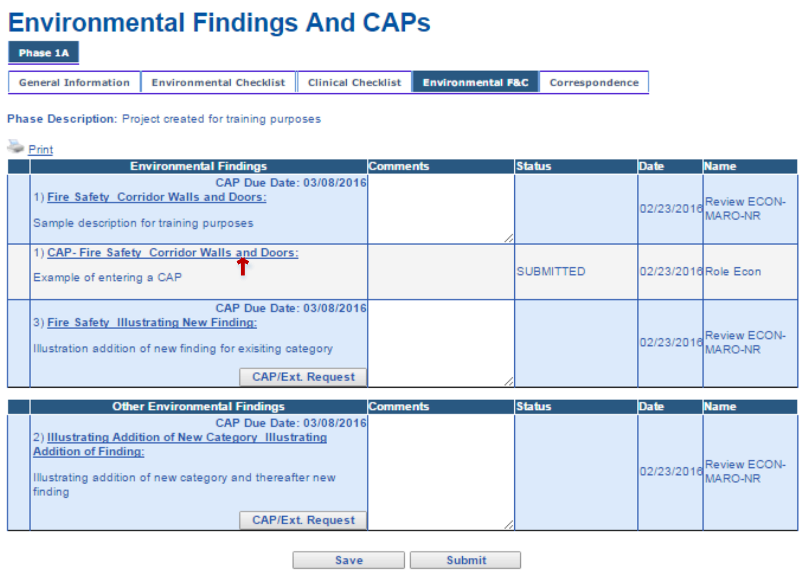
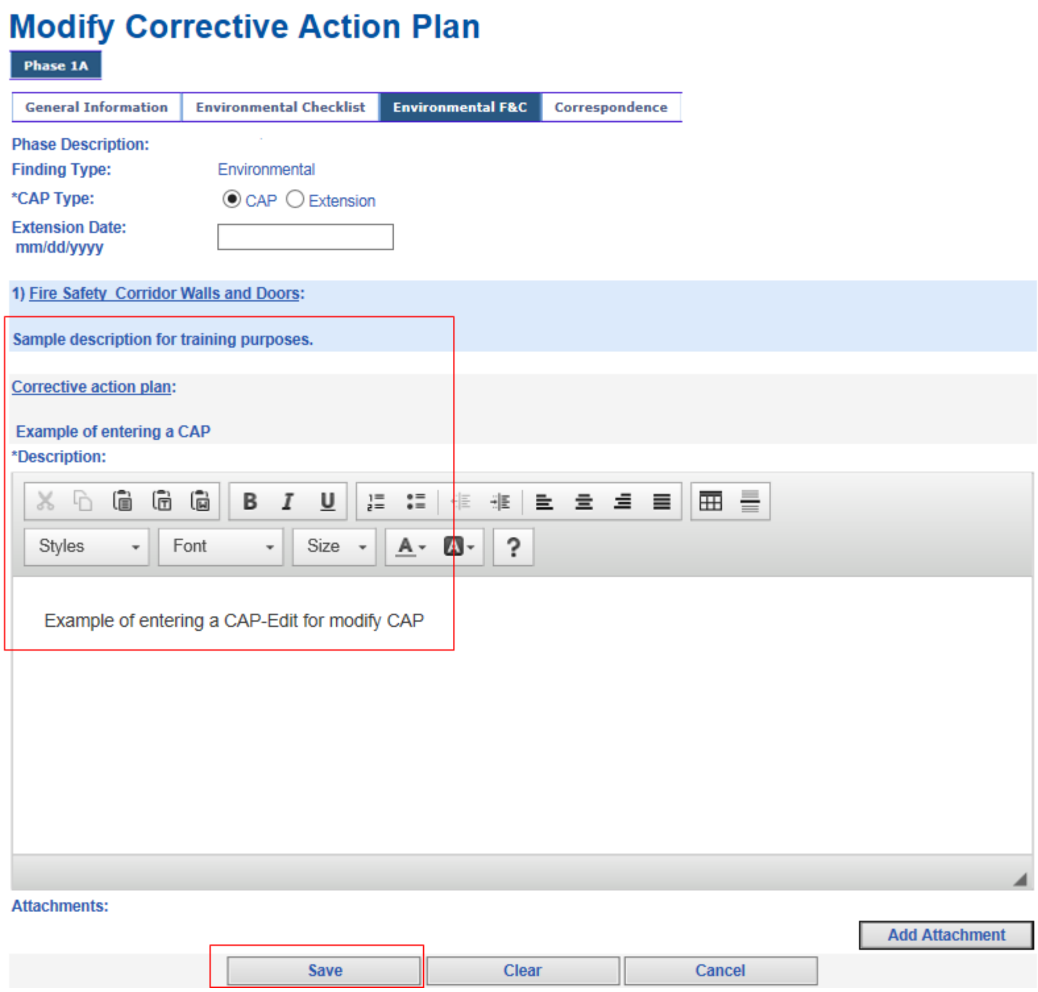
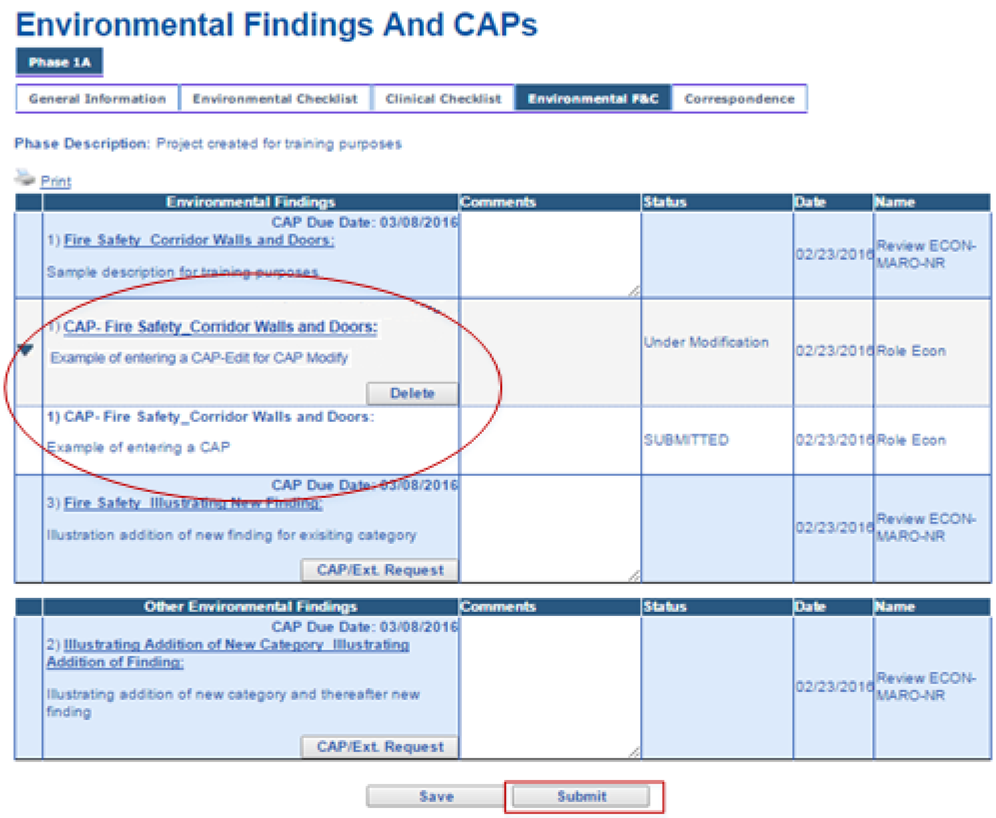
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to Modify CAP</td><td>1</td><td>
CAPs can be modified before submission, or when rejected by the Regional Office reviewer.
On the Survey F&C tab, click on the Hyperlink of the CAP


Figure 55: Survey F&C tab
</td></tr>
</table>

	2	**Modify Corrective Action Plan** screen is displayed.  *Figure 56: Modify CAP*
	5	Modify the **Description**
	6	Add Attachments, if any.
	7	Click **Save**

	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 satisfactorily saved, click **Submit** to notify the Reviewer of the Modification(s). *Note: A modification can only be deleted before submission*  *Figure 57: Survey F&C Table recording Modification Submission, with history*

Request Extension for CAP submission

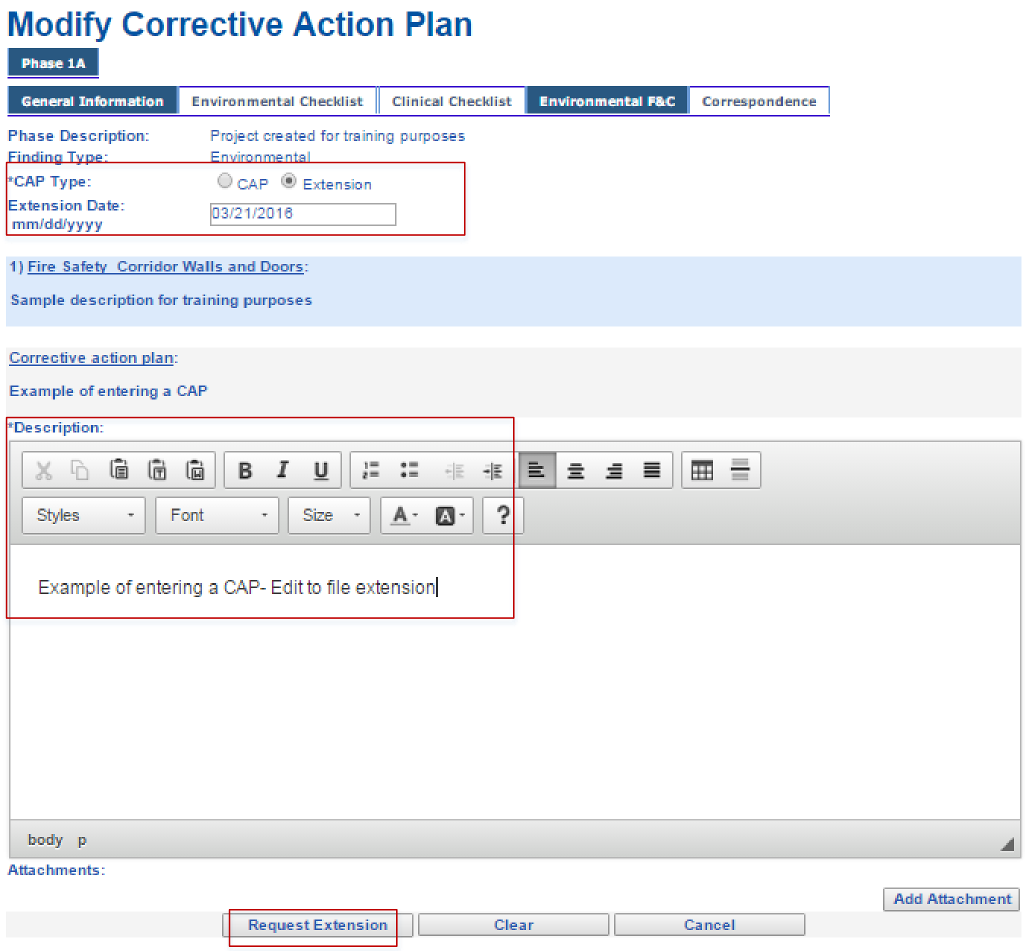
<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="4">How to request an Extension</td><td>1</td><td>On the Add Corrective Action plan page, or Modify Corrective action plan page, select CAP type as Extension


Figure 58: Survey F&C tab</td></tr>
<tr><td>2</td><td>Enter the Extension Date</td></tr>
<tr><td>3</td><td>Enter / edit the Description</td></tr>
<tr><td>4</td><td>Click Request Extension</td></tr>
</table>

Delete CAP

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td>How to Delete a CAP</td><td>1</td><td>On the Survey F&C tab, after the CAP has been saved (but not submitted), click Delete, to delete the saved CAP.

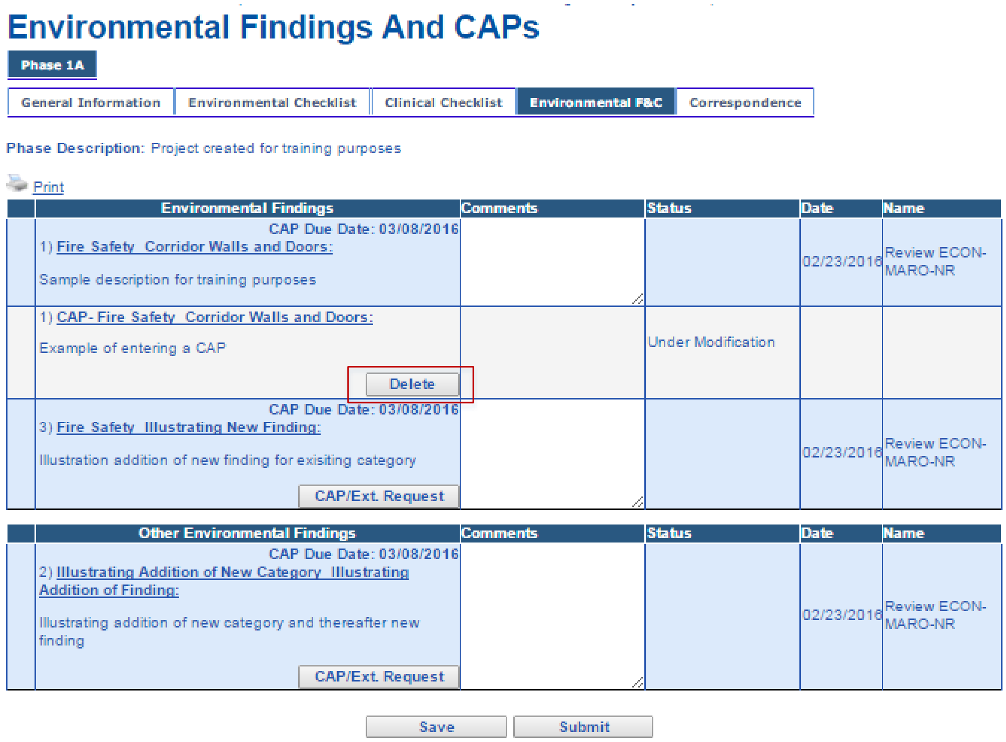


Figure 59: Survey F&C tab- Delete after Save

Note: CAP once submitted cannot be deleted.</td></tr>
</table>

Comment on Finding

<table>
<tr><th>Learning Objective</th><th>Step</th><th>Action</th></tr>
<tr><td rowspan="2">How to Comment on Findings</td><td>1</td><td>On the Survey F&C tab, select the Comments box, and type the text message (maximum 1000 character length). <u>Comments</u> are for supplemental information <u>ONLY</u>. CAPs cannot be accepted in the Comments column.

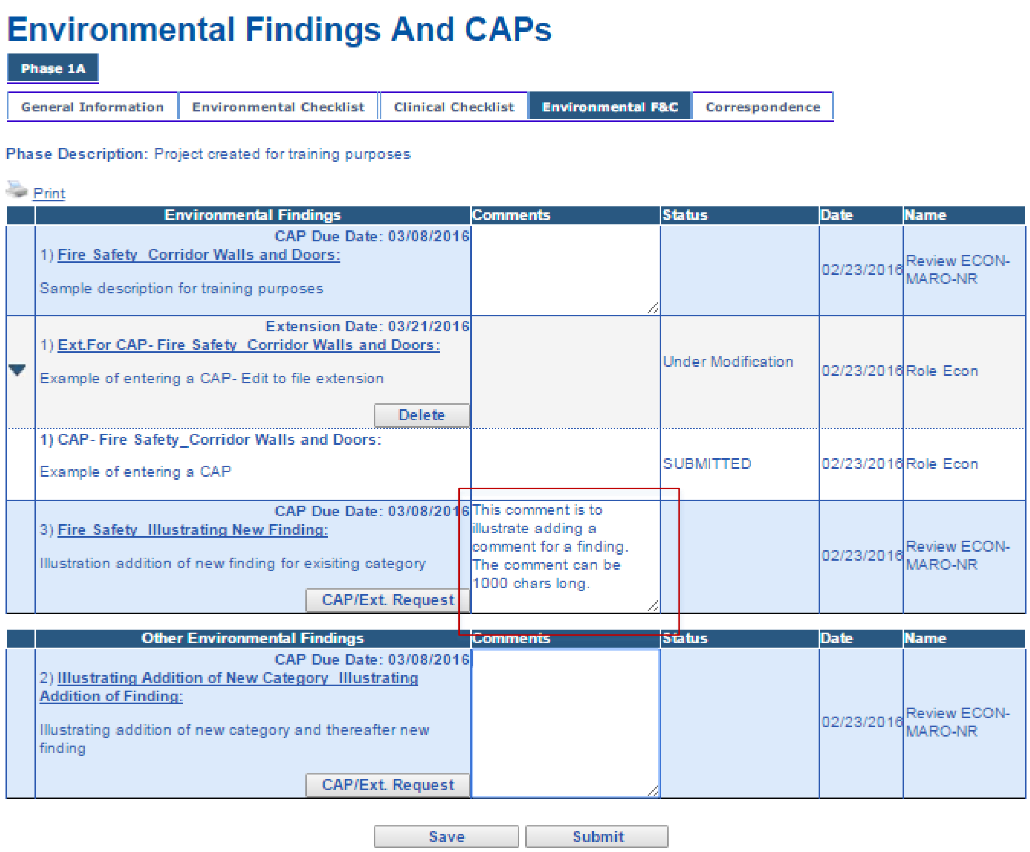


Figure 60: Comment for Finding.</td></tr>
<tr><td>2</td><td>Click Save to save the comment for later submission, or Click Submit to submit the comment and notify the Reviewer of the submission.
Note: Applicant can comment on the findings only.</td></tr>
</table>

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 62: 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.

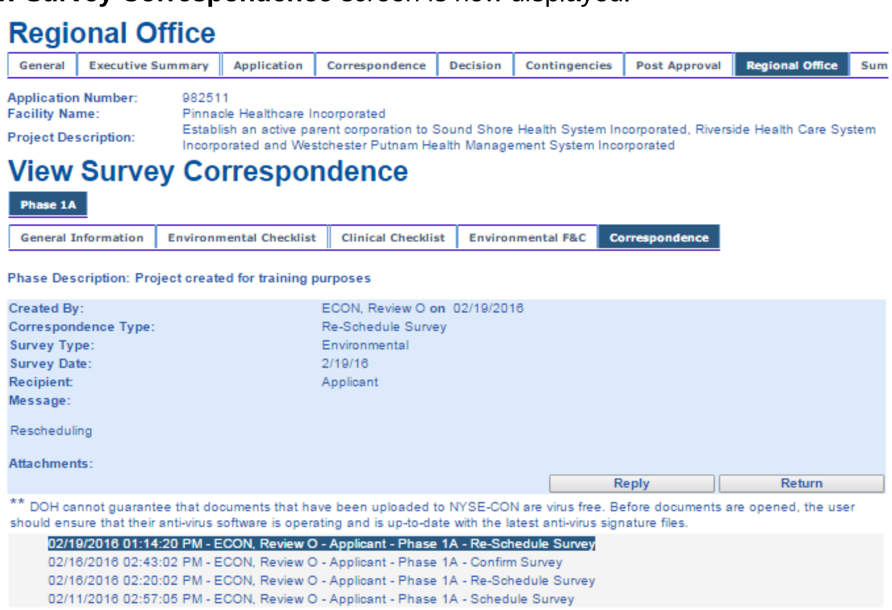


Figure 63: View Survey Correspondence Screen
</td></tr>
</table>

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 64: 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.

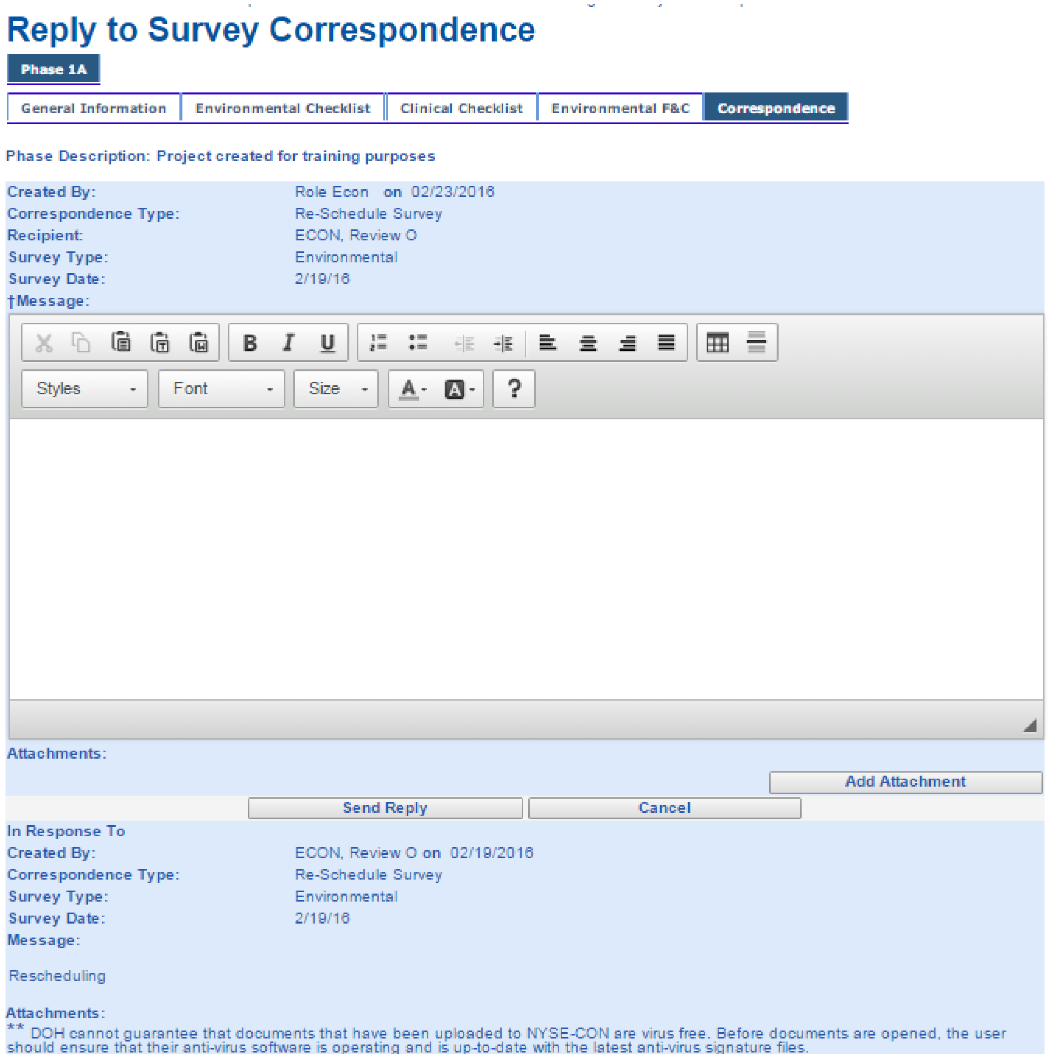


Figure 65: Reply Correspondence screen</td></tr>
<tr><td></td><td>3</td><td>Add Attachment if required.</td></tr>
<tr><td></td><td>4</td><td>Click Send Reply</td></tr>
</table>

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.

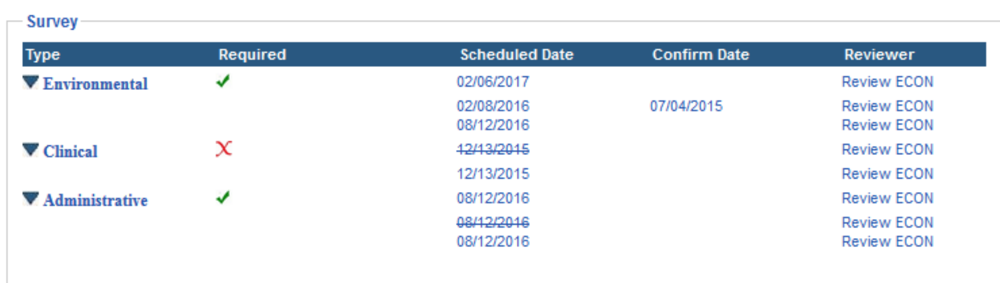
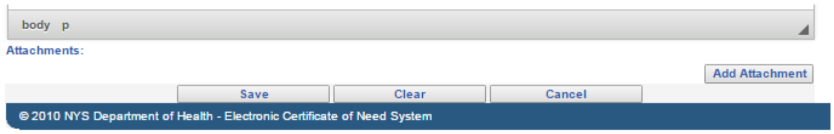
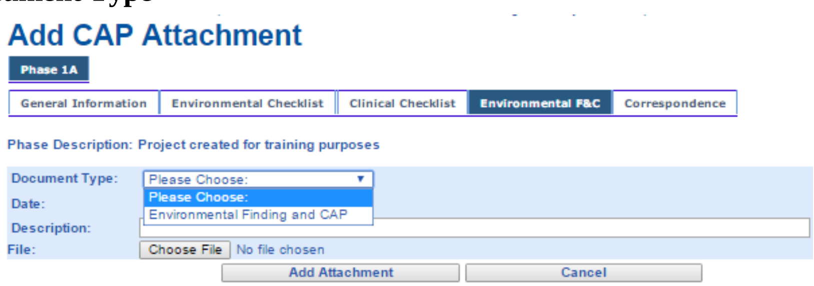
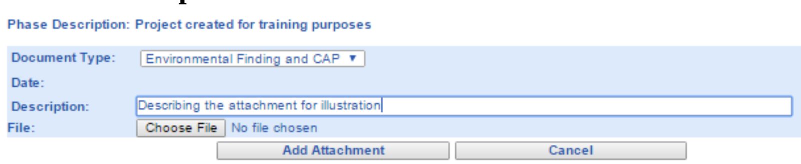
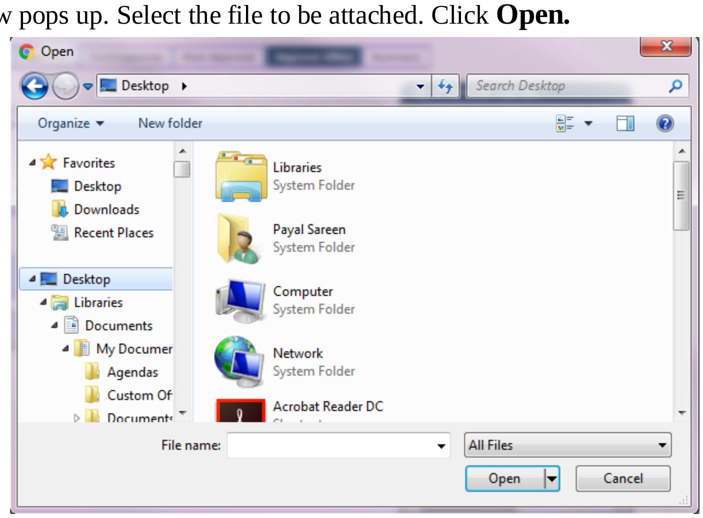

Figure 66: Survey table</td></tr>
<tr><td></td><td>2</td><td>All survey activity (schedule, confirm, re-schedule, and cancel) appears in the survey table. The history of survey activity is maintained.
The survey information appears as follows:
Type of survey(s) selected by the Regional Office for the 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.


Figure 67: 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 68: Add attachment*
	2	Select **Document Type**  *Figure 69: Drop down selection of Document Type*
	3	Enter the document **Description**  *Figure 70: Description of attachment*
	4	Click **Choose file / Browse** (As displayed on the browser)
	5	Browser window pops up. Select the file to be attached. Click **Open.**  *Figure 71: Browser Window for Attachments*

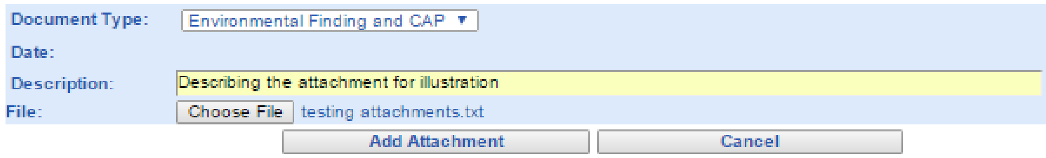
<table>
<tr>
<td></td>
<td>6</td>
<td>The filename is shown as attachment on screen.


Figure 72: Attachment add to system
Click Add Attachment</td>
</tr>
</table>