Adult Care Facility

New York State

Electronic Certificate of Need

Companion Guide

New York State Department of Health

Center for Healthcare Provider Services and Oversight

Division of Adult Care Facility and Assisted Living Surveillance

Contents

The New York State Electronic Certificate-of-Need (NYSE-CON) is a web-based, electronic application system developed to streamline the processing of submitting the Adult Care Facility Common Application.

This manual was designed to provide step-by-step information on a variety of useful topics for applicants who have a designated role in NYSE-CON.

Accessing NYSE-CON:

There are two ways to access NYSE-CON: via the Public Authenticated NYSE-CON System or the Health Commerce System (HCS).

For the Public Authenticated system, you will need to use a **NY.gov** account. If you need to create a new NY.gov account select the **Don't have an Account** on the NY.gov sign in page: https://my.ny.gov/.

For HCS access, a facility's HCS Coordinator will need to grant one access for one's organization. To use a HCS account to access NYSECON, log on to the HCS page: https://commerce.health.state.ny.us/public/hcs_login.html.

Select **My Content** from the top menu bar. Scroll down and select **All Applications** and then select "**N"**. On this list, scroll down and select **NYS Electronic Certificate of Need**. You may add a shortcut to your main screen for ease of future access by selecting the green "+" sign next to NYSE-CON.

NYSE-CON Training resources are available on the internet at: https://www.health.ny.gov/facilities/cons/nysecon/

Home page - Public Authenticated and HCS View

After logging into NYSE-CON via the Public Authenticated system using your NY.gov account, the initial screen appears as shown in Figure 1.

Menu Selection	Via the Quick link option, choose Create New Submission **or** Find a Project located on the Home page (Figure 1) or in the NYSE-CON Tool bar (Figure 1.1).

Figure 1: Sample Home Page

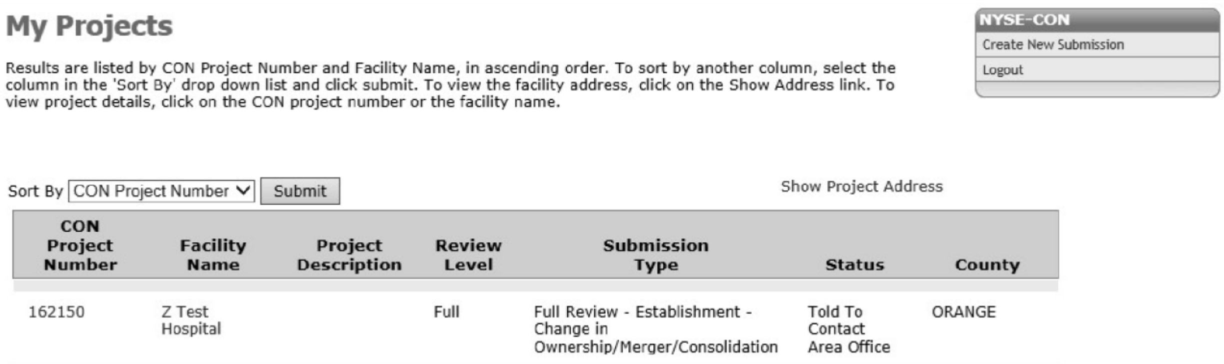
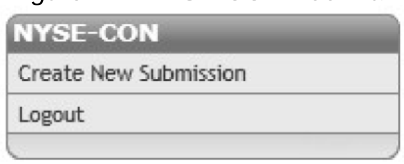


Figure 1.1: NYSE-CON Tool Bar



Conversely, after logging into NYSE-CON using your HCS account, the initial screen will appear as shown below in Figure 2. Choose Create New Submission **or** Find a Project.

Figure 2

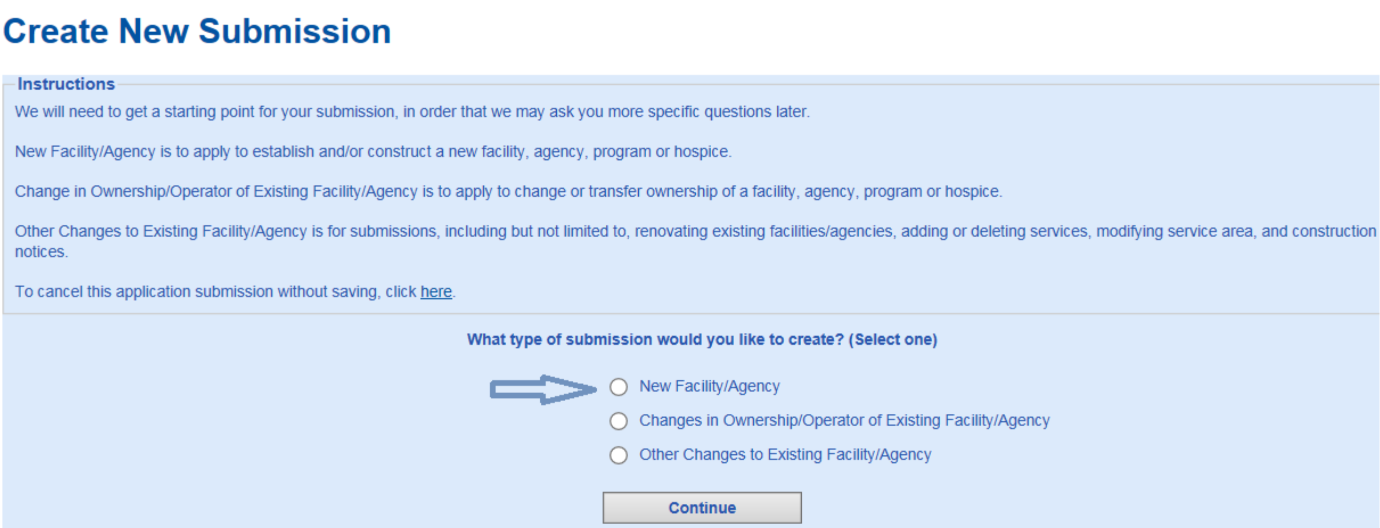
Creating a New Submission

This process is for Applicants who have a CON submitter role in NYSE-CON and who need to submit an application for Establishment of a New Facility **or** Changes to an Existing Facility.

NOTE: Refer to New York State Social Services Law (SSL)- Article 7, Title 2, and 18 NYCRR section 487.2 and 488.2 for information on the two types of adult care facilities: adult home or enriched housing program. Prior to starting the process of submitting an application, the facility type must be selected.

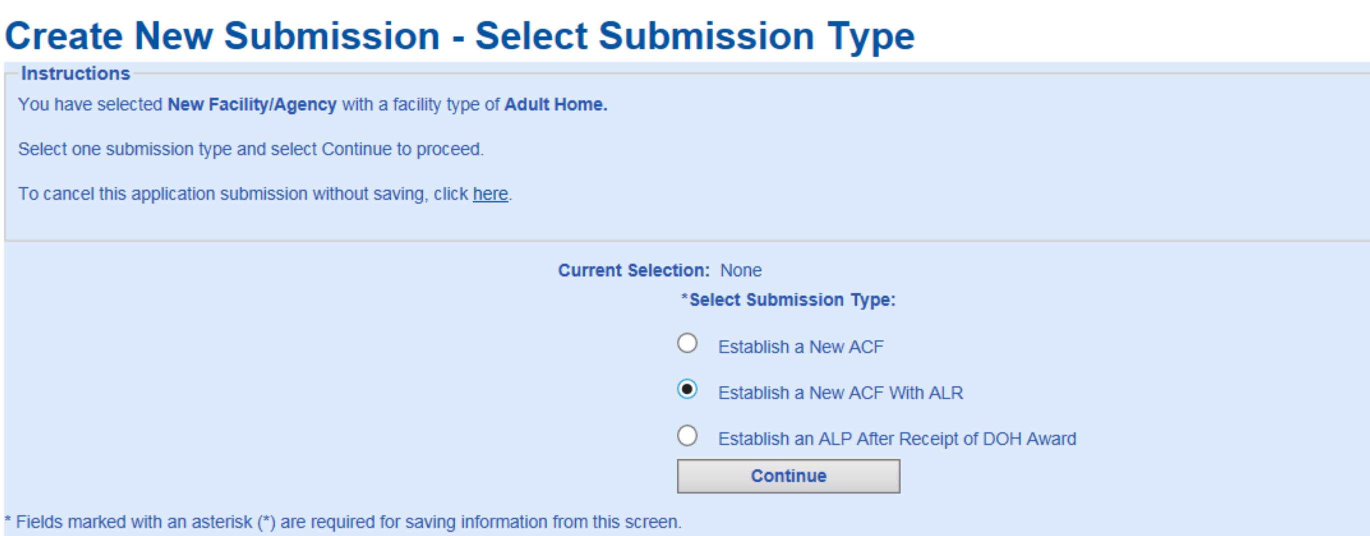
Create New Submission – Etablishment of a New Facility/Agency

Selecting the “Create New Submission” option opens the Submission Type screen below. The following screens will apply to all users submitting ACF applications.



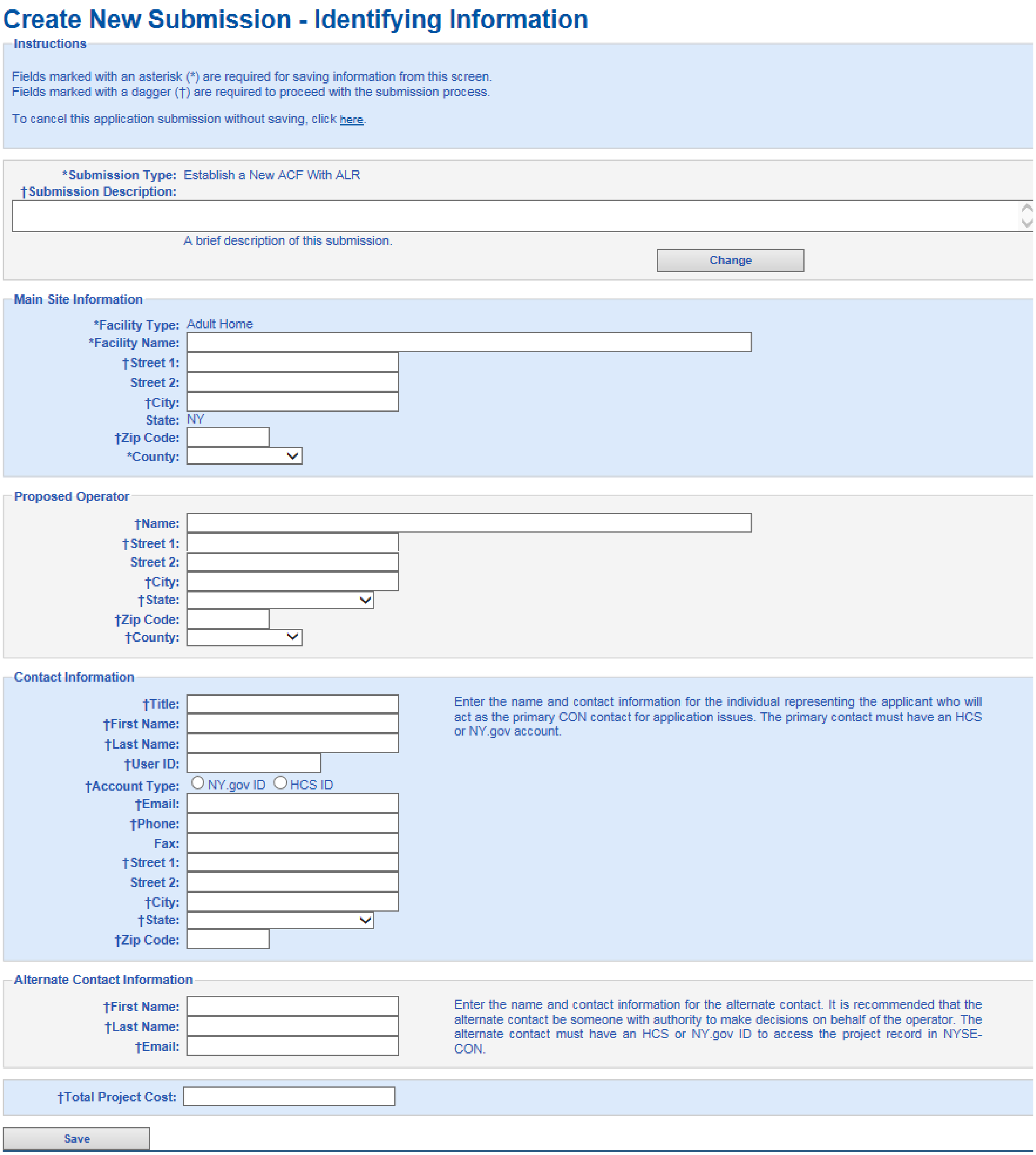
Create New Submission – Facility/Agency Type Selection

Create New Submission – Select Submission Type



Create New Submission – Identifying Information

Complete the identifying information. Fields marked with an (*) must be completed or the data will not be saved. Fields marked with a dagger (†) are required to proceed with the submission process. Select “Save” to proceed to next screen.



Create New Submission - Identifying Information

Instructions

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.

To cancel this application submission without saving, click here.

***Submission Type:** Establish a New ACF With ALR
†Submission Description:

A brief description of this submission.

Change

Main Site Information

***Facility Type:** Adult Home
***Facility Name:**
†Street 1:
Street 2:
†City:
State: NY
†Zip Code:
***County:**

Proposed Operator

†Name:
†Street 1:
Street 2:
†City:
†State:
†Zip Code:
†County:

Contact Information

†Title:
†First Name:
†Last Name:
†User ID:
†Account Type: NY.gov ID HCS ID
†Email:
†Phone:
Fax:
†Street 1:
Street 2:
†City:
†State:
†Zip Code:

Enter the name and contact information for the individual representing the applicant who will act as the primary CON contact for application issues. The primary contact must have an HCS or NY.gov account.

Alternate Contact Information

†First Name:
†Last Name:
†Email:

Enter the name and contact information for the alternate contact. It is recommended that the alternate contact be someone with authority to make decisions on behalf of the operator. The alternate contact must have an HCS or NY.gov ID to access the project record in NYSE-CON.

†Total Project Cost:

Save

General Information

The submission identifying information has been saved. Please select the Executive Summary tab to enter a project proposal summary, the Sites tab to add project sites, beds and/or services, and the Application tab to upload schedules to the system. Your submission will not be sent until you click "Submit", located at the bottom of the screen.

General Information

General | Executive Summary | Sites | Application | Correspondence | Decision | Access | Summary

Application Number:			
Facility Name:	The Adult Home		
Project Description:	Establishment of a new Adult Home (AH) and Assisted Living Residence (ALR).		
Submission Type:	Application - Establish a New ACF With ALR		
Type Description:	Establishment of a new Adult Home (AH) and Assisted Living Residence (ALR).		
Project Status:		**Project Status Date:**	
Review Level:		**Received Date:**	
Total Project Cost:	$15,000,000.00	**Initial Review Date:**	
		Acknowledgment Date:	
Main Site Information			
Facility Name:	The Adult Home		
Physical Address:	1 Union Street Albany, NY 12209	**Facility ID:**	
		Facility Type:	Adult Home
County:	ALBANY	**Region:**	
Current Operator:		**Operating Certificate Number:**	
		Current Operator County:	
Proposed Operator:	XYZAB, LL 1 Union Street Albany, NY 12209	**Proposed Operator County:**	ALBANY
Contact Information			
Name:	Nan Nedd	**Title:**	Ms.
Email:	[redacted]	**Address:**	1 Union Street Albany, NY 12209
User ID:	[redacted]		
Phone:	(518) 408-1624		
Fax:	(518) 408-1249		
Alternate Contact Information			
Name:	Sis Sei	**Email:**	sas@xyzab.com

Modify | Submit

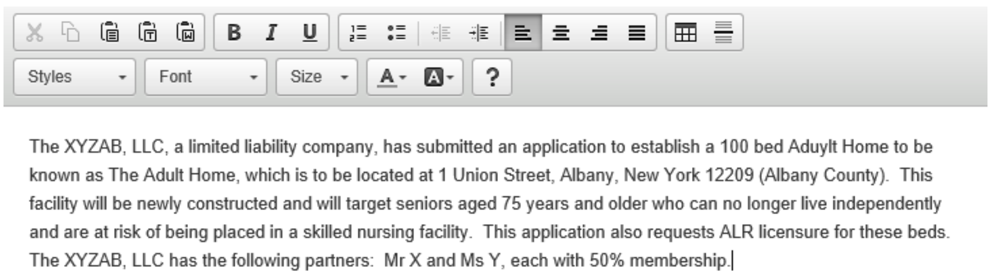
My NYSE-CON Tool Bar
Create New Submission

Selected Projects
The Adult Home

Related Projects

"The submission identifying information has been saved. Please select the Executive Summary tab to enter a project proposal summary, the Sites tab to add project sites, beds and/or services, and the Application tab to upload schedules to the system. Your submission will not be sent until you click "Submit", located at the bottom of the screen."

Create New Submission – Executive Summary

Step	Action
1	Select the Executive Summary tab.  *Figure 1.1: Available tabs*
2	Enter the overview of the project proposal in the text box. This summary should include the proposed operator's entity name, the proposed facility name and also the project information, number and type of beds. Figure 1.2.  *Figure 1.2: Executive Summary text box*
3	When finished, click the Save button at the bottom of the form.

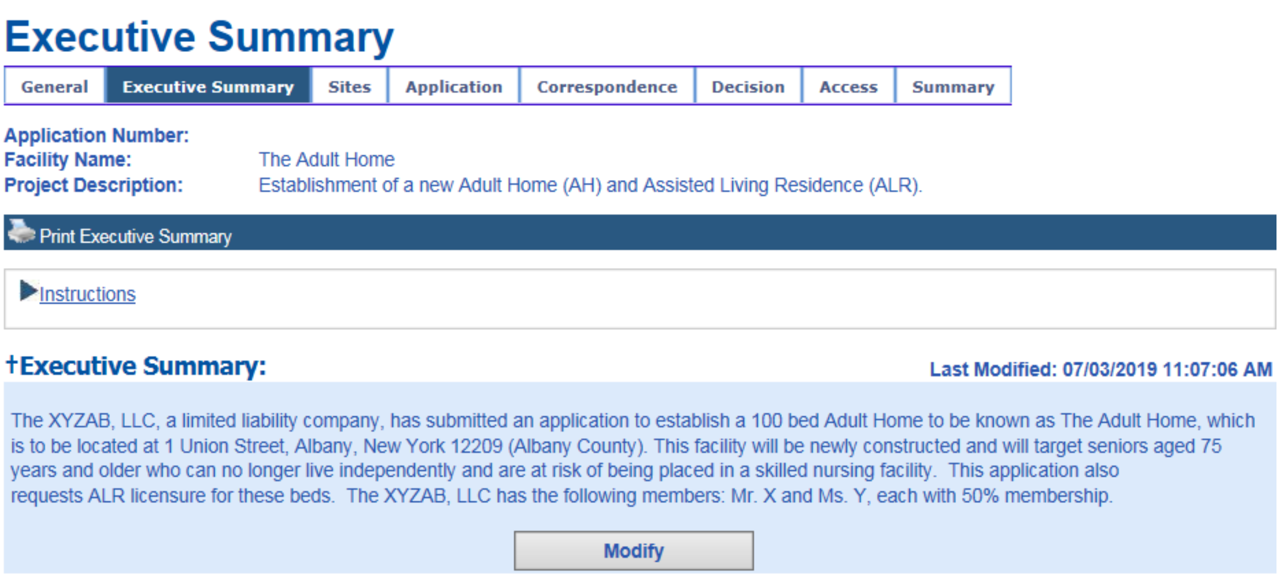


Figure 2: Sample Completed Executive Summary screen

Modify Submission - Executive Summary

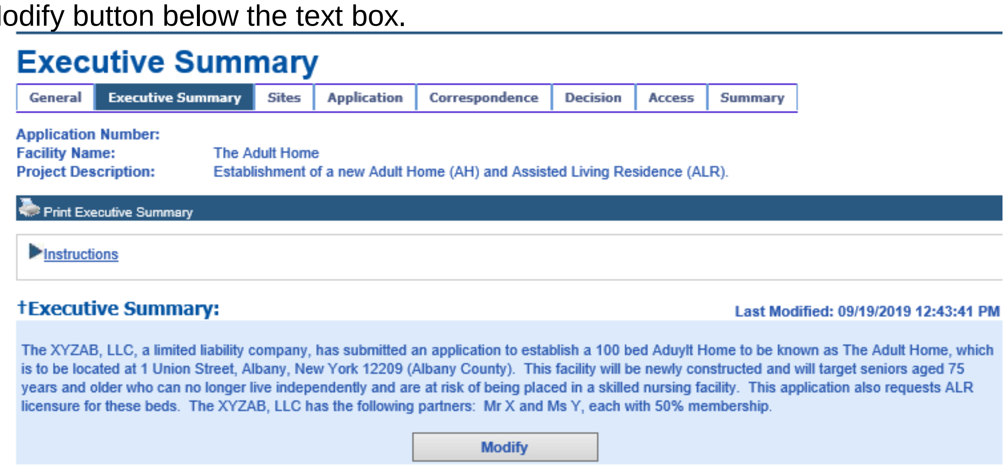
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Select Modify button below the text box.


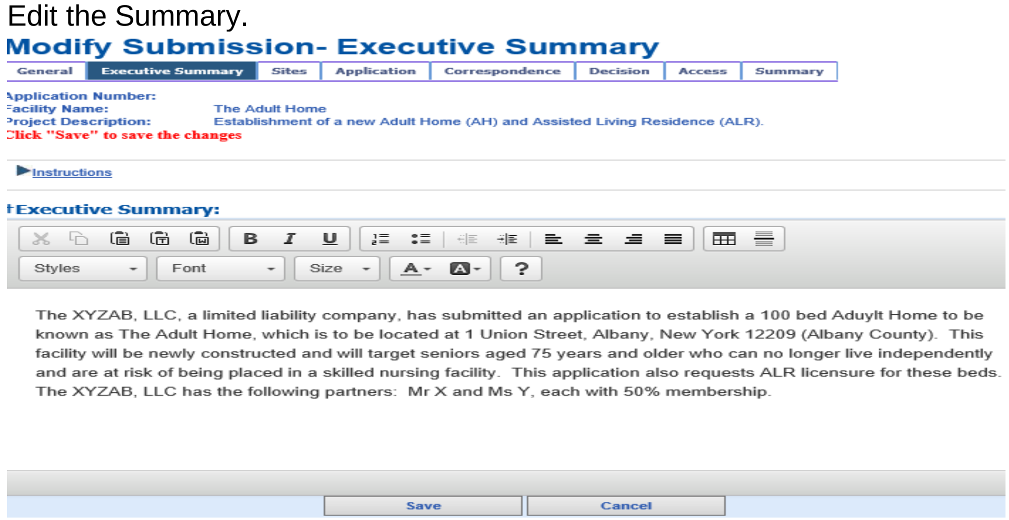
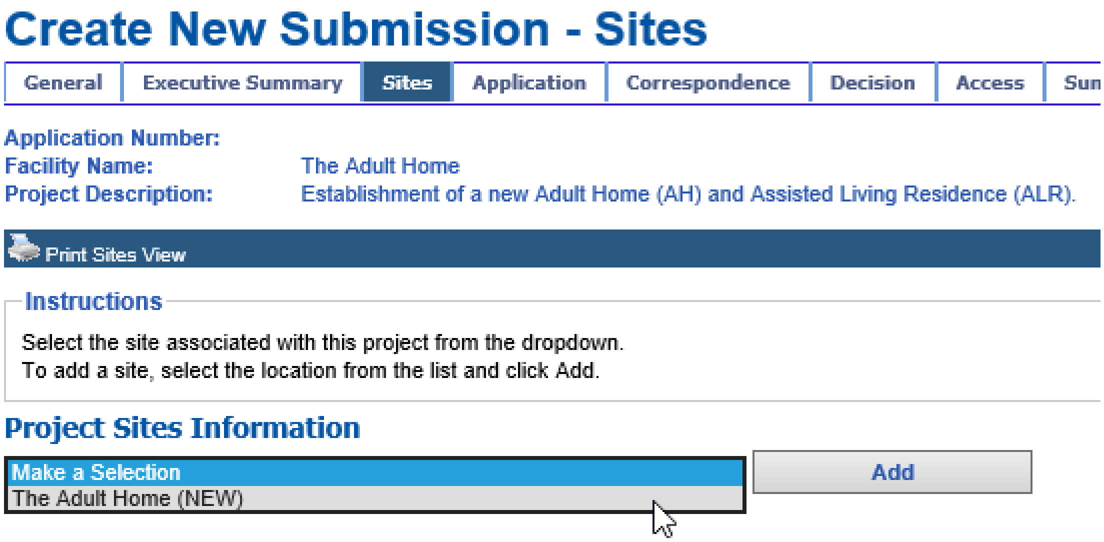
Figure 3.1: Modification screen</td></tr>
<tr><td>2</td><td>Edit the Summary.


Figure 3.2: Screen with Save button.</td></tr>
<tr><td>3</td><td>Select the Save button.</td></tr>
</table>

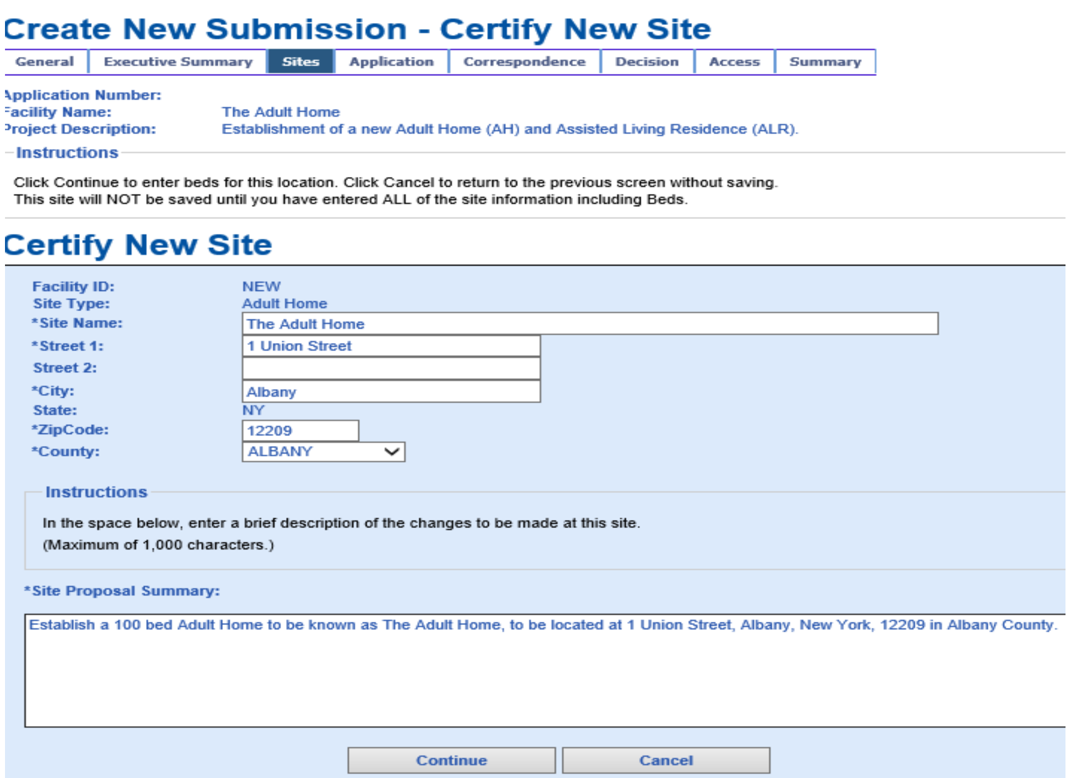
Create New Submission – Sites

Select drop-down window to highlight your facility, then select “Add”.



Create New Submission – Certify New Site

Enter a brief proposal summary and select Continue.



Create New Submission – Add Beds

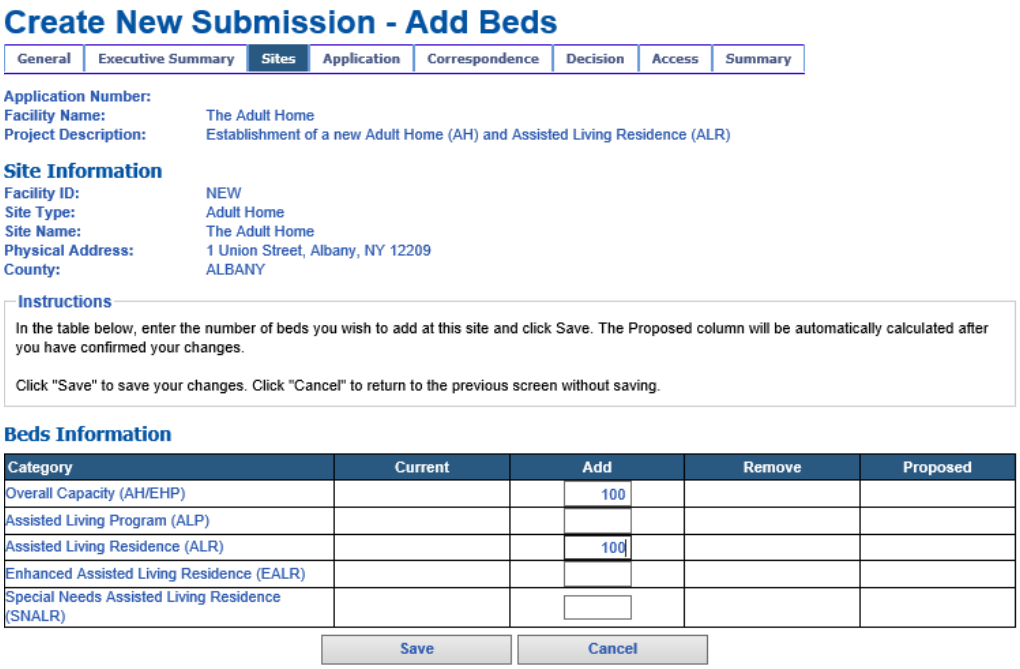
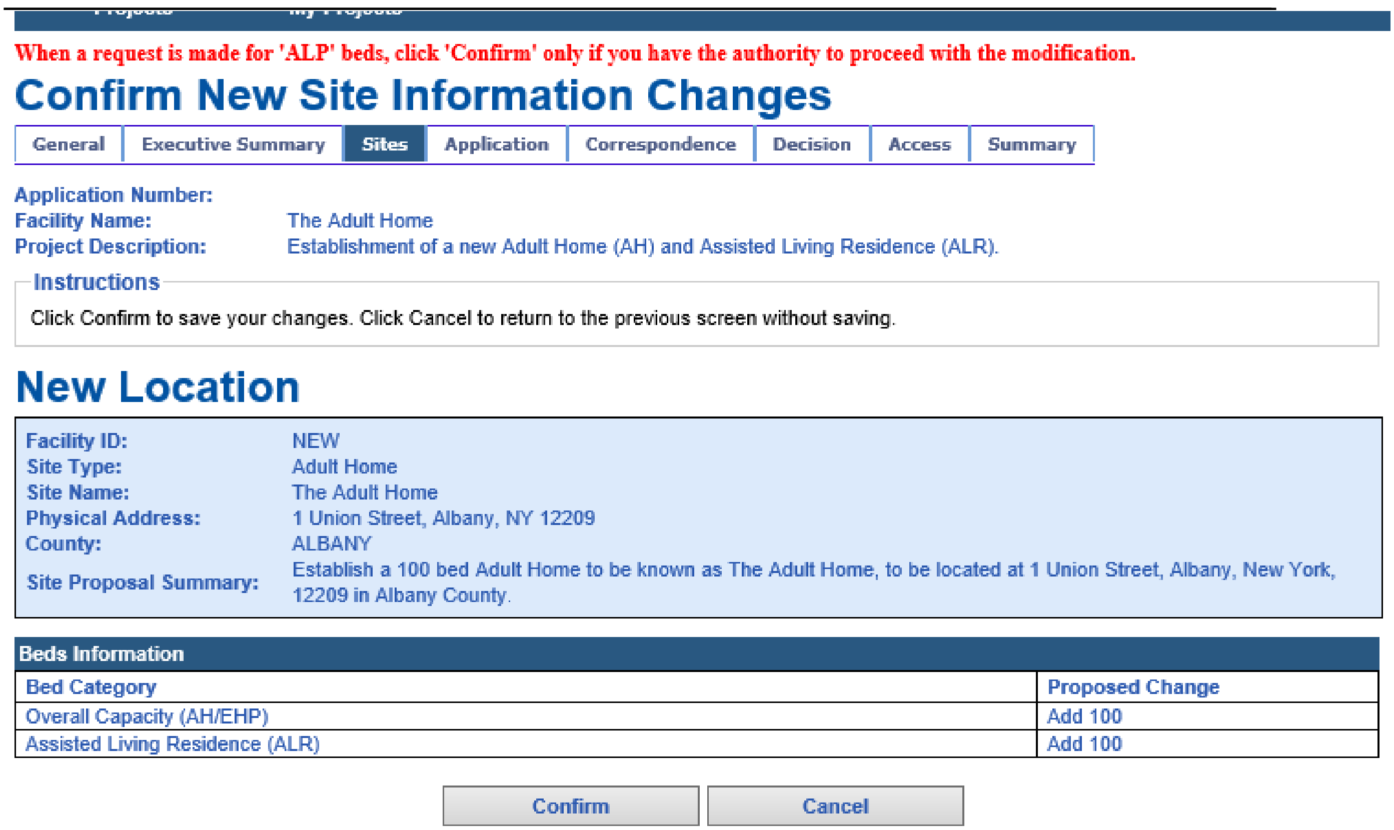


Figure 4

Note: Do not enter “0” in any fields that **do not apply** to your project, or it will result in an error. If this happens, you may “Cancel” the screen and proceed again with adding a number greater than “0” where applicable. Enter “Save” when finished. Figure 4.



When a request is made for 'ALP' beds, click 'Confirm' only if you have the authority to proceed with the modification.

Confirm New Site Information Changes

General | Executive Summary | Sites | Application | Correspondence | Decision | Access | Summary

Application Number:
Facility Name: The Adult Home
Project Description: Establishment of a new Adult Home (AH) and Assisted Living Residence (ALR).

Instructions

Click Confirm to save your changes. Click Cancel to return to the previous screen without saving.

New Location

Facility ID: NEW
Site Type: Adult Home
Site Name: The Adult Home
Physical Address: 1 Union Street, Albany, NY 12209
County: ALBANY
Site Proposal Summary: Establish a 100 bed Adult Home to be known as The Adult Home, to be located at 1 Union Street, Albany, New York, 12209 in Albany County.

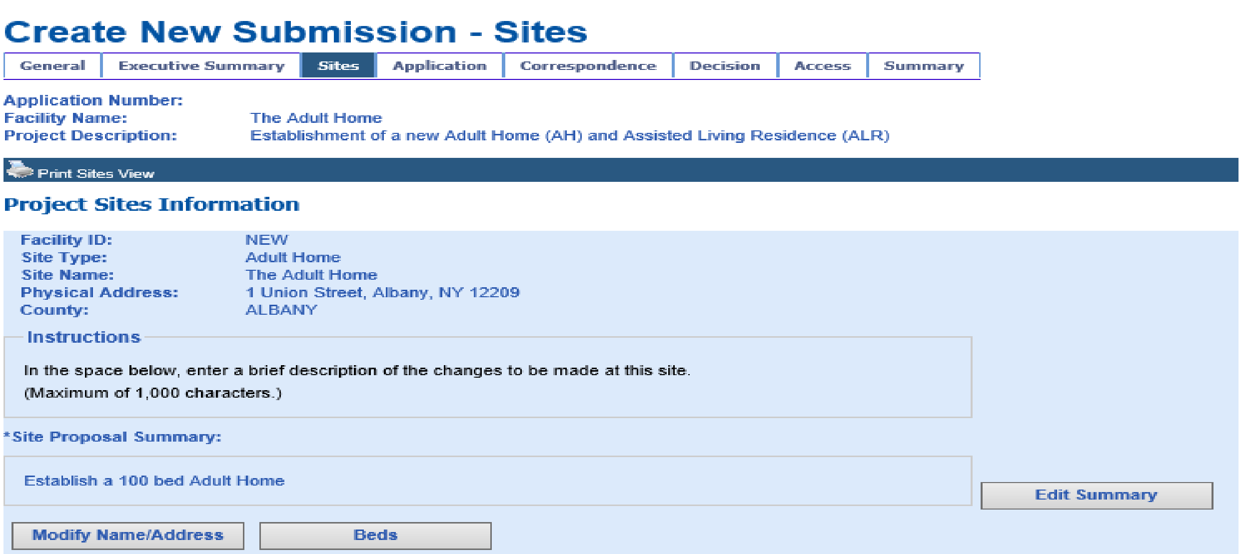
Beds Information

Bed Category	Proposed Change
Overall Capacity (AH/EHP)	Add 100
Assisted Living Residence (ALR)	Add 100

Confirm | Cancel

Figure 5.1: Sample "Beds Information" screen

Select "Confirm" to save your changes. *Figure 5.1.* You will have a chance to make additional modifications. *Figure 5.2.*



Create New Submission - Sites

General | Executive Summary | Sites | Application | Correspondence | Decision | Access | Summary

Application Number:
Facility Name: The Adult Home
Project Description: Establishment of a new Adult Home (AH) and Assisted Living Residence (ALR)

Print Sites View

Project Sites Information

Facility ID: NEW
Site Type: Adult Home
Site Name: The Adult Home
Physical Address: 1 Union Street, Albany, NY 12209
County: ALBANY

Instructions

In the space below, enter a brief description of the changes to be made at this site.
(Maximum of 1,000 characters.)

***Site Proposal Summary:**

Establish a 100 bed Adult Home

Edit Summary

Modify Name/Address | Beds

Figure 5.2

Application

The header (printed in red font) will appear, listing the application schedules that are required, based on the type of application being submitted. Figure 6.1. You will not be allowed to submit an application without uploading the required schedules.

Figure 6.1

New Application Document

Step	Action
1	Select Add Document to Submission, then select Document Type Drop-down.
2	Enter a description. Please use meaningful file names and descriptions.

<table>
<tr><td>3</td><td>Select the Browse button.

Note depending on your browser you will see different windows - locate the file you want to add. You must still download the schedules from the Public website and complete them prior to uploading them.

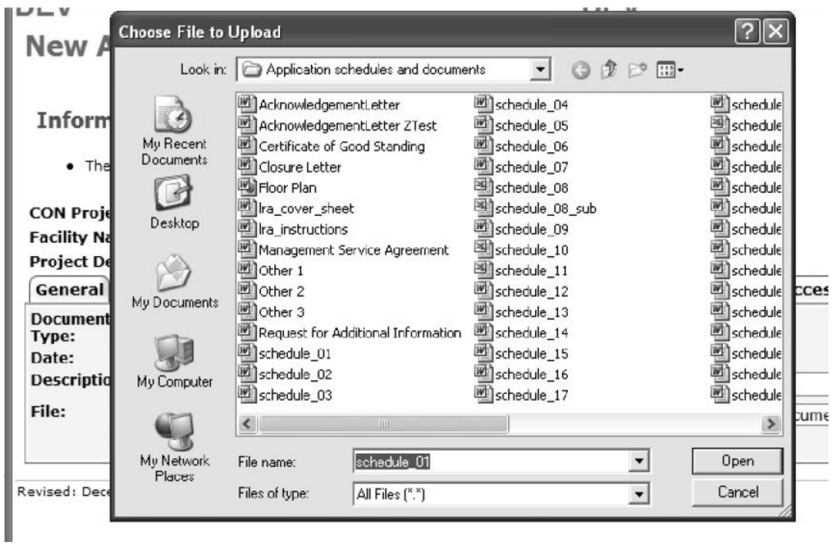


Figure 6: Sample Browse window</td></tr>
<tr><td>4</td><td>Select the document and then the Open button.</td></tr>
<tr><td>5</td><td>Select Add Document to Submission button. Repeat steps until all required schedules are uploaded. Figure 6.2</td></tr>
</table>

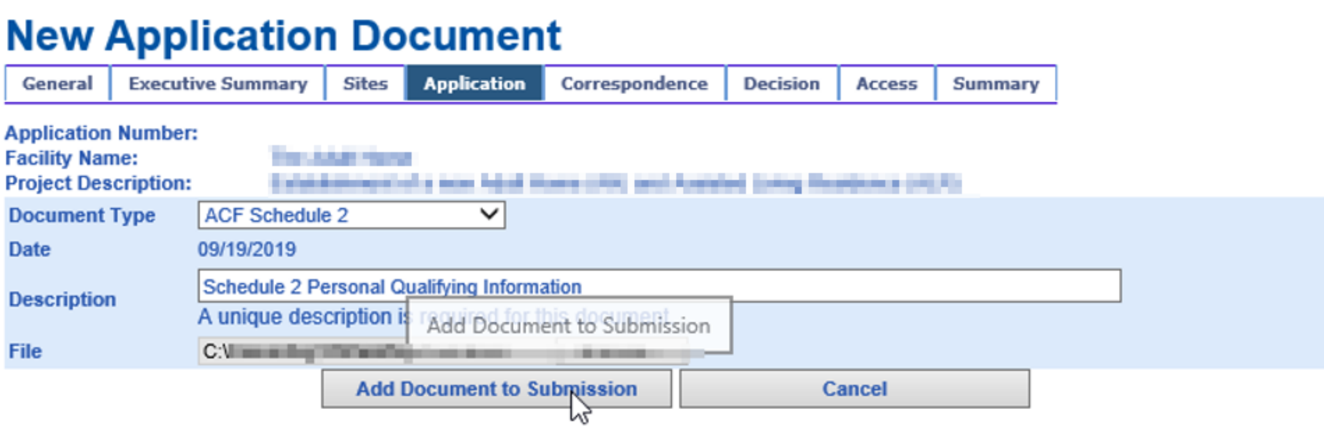


Figure 6.2

Update Application Documents

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Select the Application tab.
Result: Application page contains all Application documents and any items added through the Correspondence tab.</td></tr>
<tr><td>2</td><td>Select Update button next to the document you want to update.

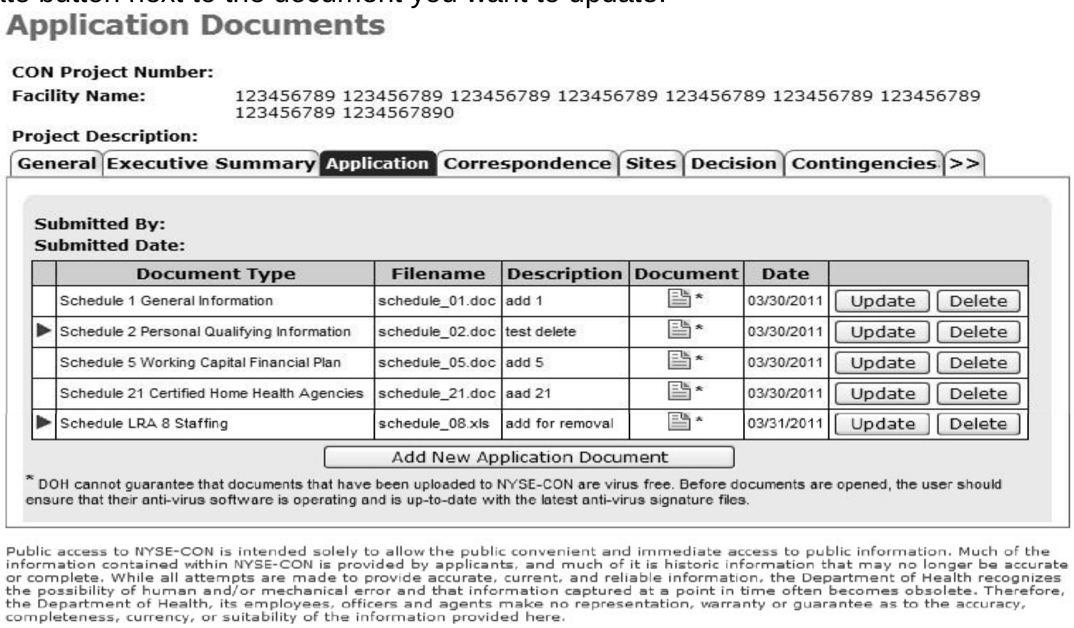


Figure 7.1: Sample Application Document screen</td></tr>
<tr><td>3</td><td>Enter a description.</td></tr>
<tr><td>4</td><td>Select the Browse button.
Note: depending on your browser you see different windows locate the file you want to add. Select the file that matches the Document Type you selected.</td></tr>
<tr><td>5</td><td>Select Update Document button.</td></tr>
</table>

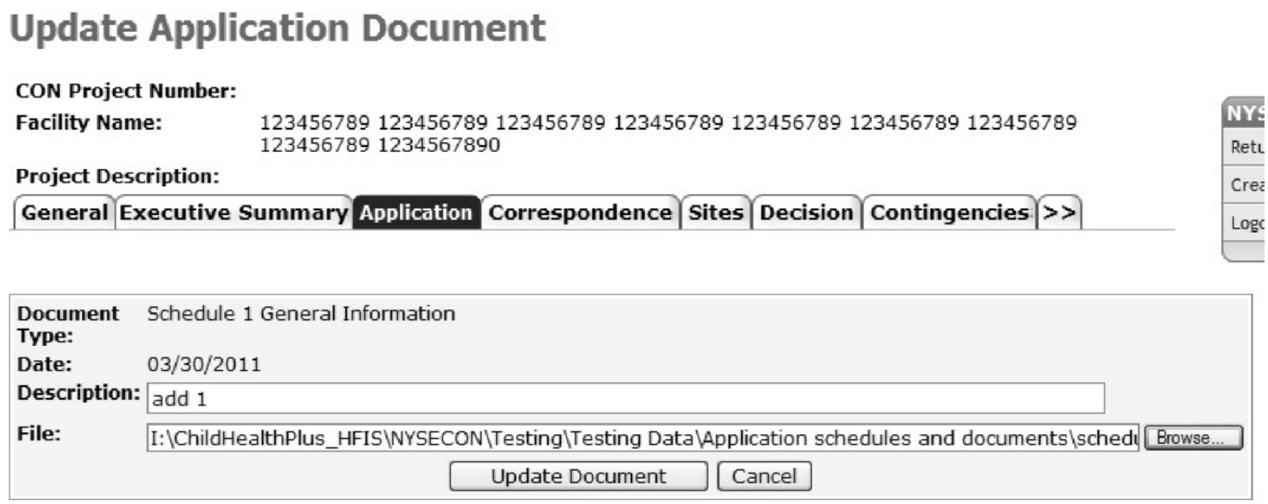
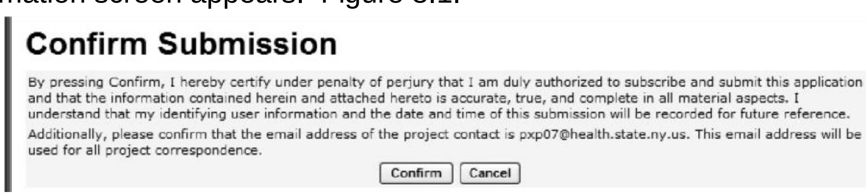


Figure 7.2: Sample Update Application Document screen

Confirm Submission

Step	Action
1	Select the General Information tab.
2	Select the Submit button. Note: only when all required application documents have been added to the project, will you be allowed to proceed. Result: The Confirmation screen appears. Figure 8.1.  *Figure 8.1: Sample Application Submission screen*
3	Select the Confirm button. *Figure 8.2* Result: The Application now has a CON Project #, an email notification has been sent to PMU and the Applicant. *Figure 8.3*

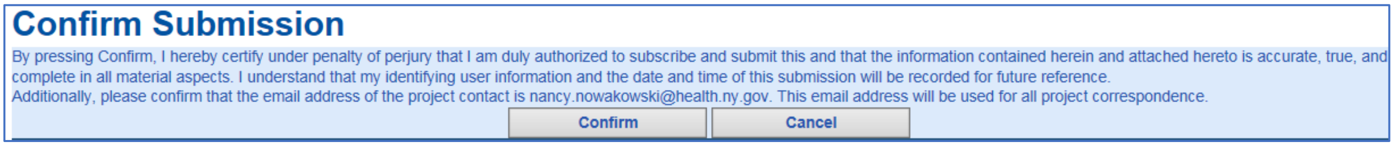


Figure 8.2

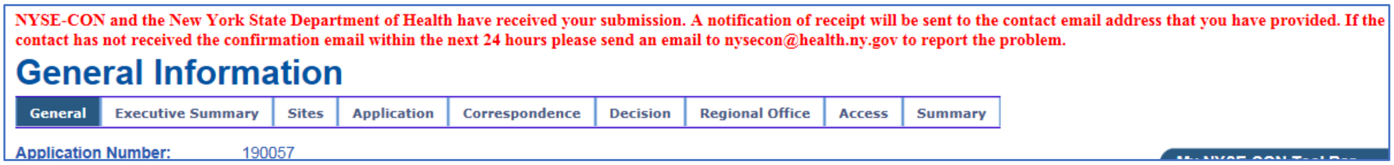


Figure 8.3

Create New Submission – Changes to an Existing ACF - Change of Operator

Processing Applications for Changes of Operator to an existing licensed facility requires the NYSECON user to search for and select the facility for which changes are being proposed.

After logging into NYSE-CON, use the Quick Links selection “Create New Submission”.

Create New Submission - Submission Type Selection

Step	Action
1	Select the desired Submission Type. In this example, select Changes in Ownership/Operator of Existing Facility/Agency. (Figure 9.1)
2	Click the **Continue** button. Result: The *Create New Submission – Facility/Agency Search* screen appears (Figure 9.2).

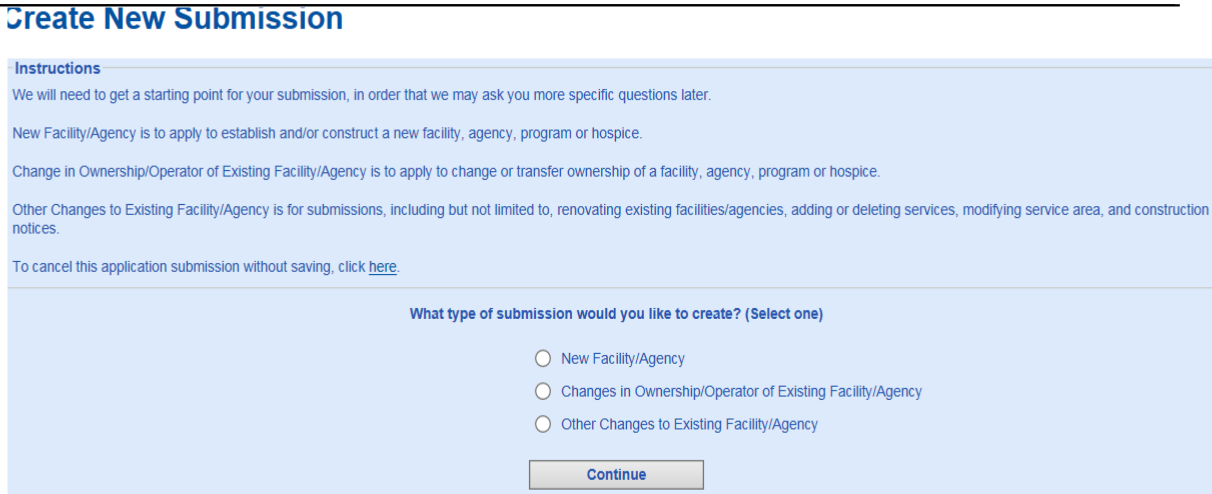


Figure 9.1: Sample Submission Type Selection

Create New Submission – Facility/Agency Search

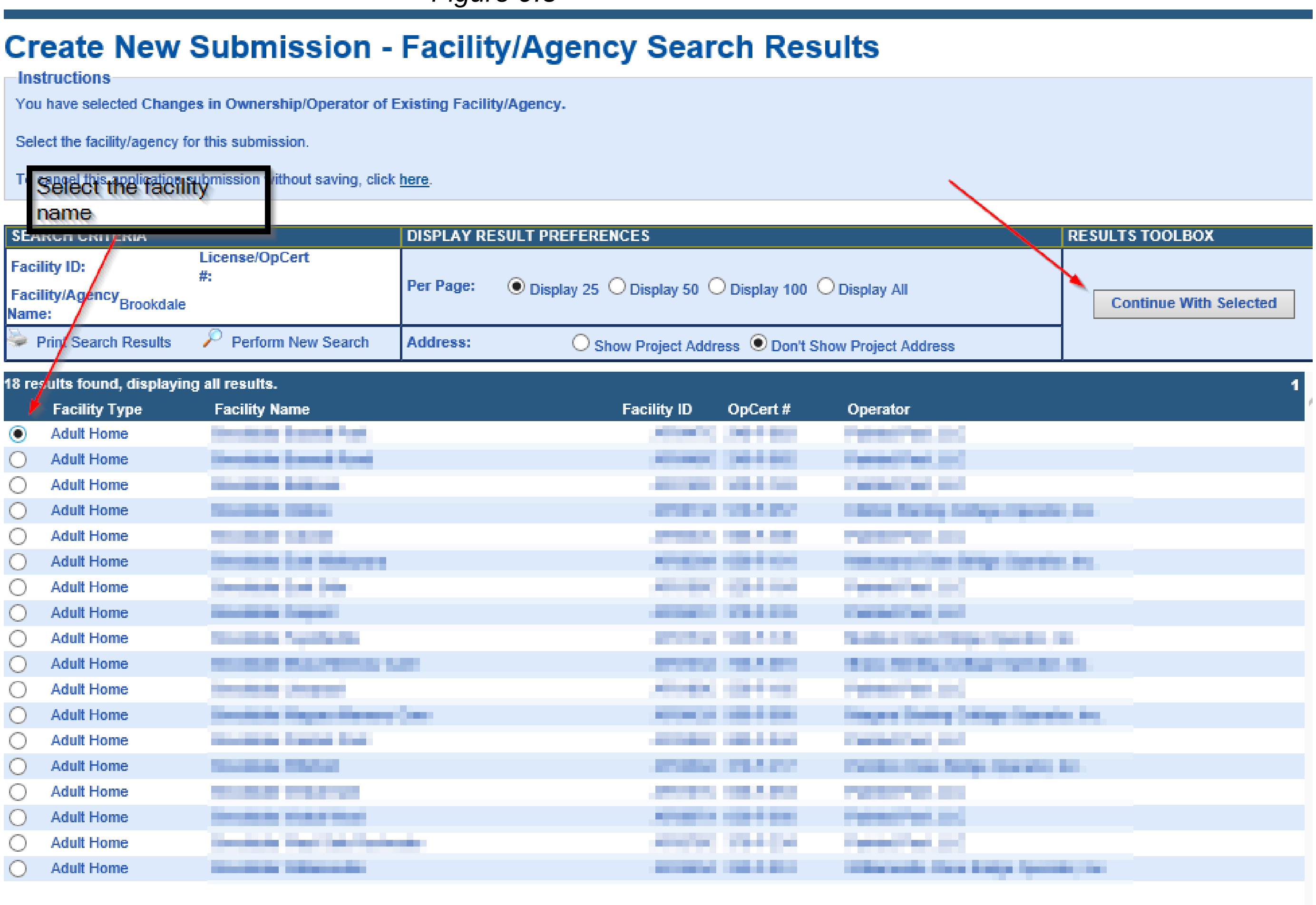
For Changes in Operator of an Existing Adult Care Facility, you may search for the applicable facility using the Facility/Agency Search menu. If searching on facility name, a fragment of the name may be used. If using identifying numbers, the ID must be an exact match. Figure 9.2

Figure 9.2: Sample Facility/Agency Search

Create New Submission – Facility/Agency Search Results

Step	Action
1	Select the Facility Name Link, then select Continue With Selected. Figure 9.3

Figure 9.3



Create New Submission – Select Submission Type

Step	Action
1	Select the desired Submission Type that reflects the type of change that will be made to the selected facility. In this example, we will select Change of Operator of an Existing ACF. (Figure 10)
2	Click the **Continue** button. Result: The Create New Submission-Identifying Information screen appears (Figure 11).

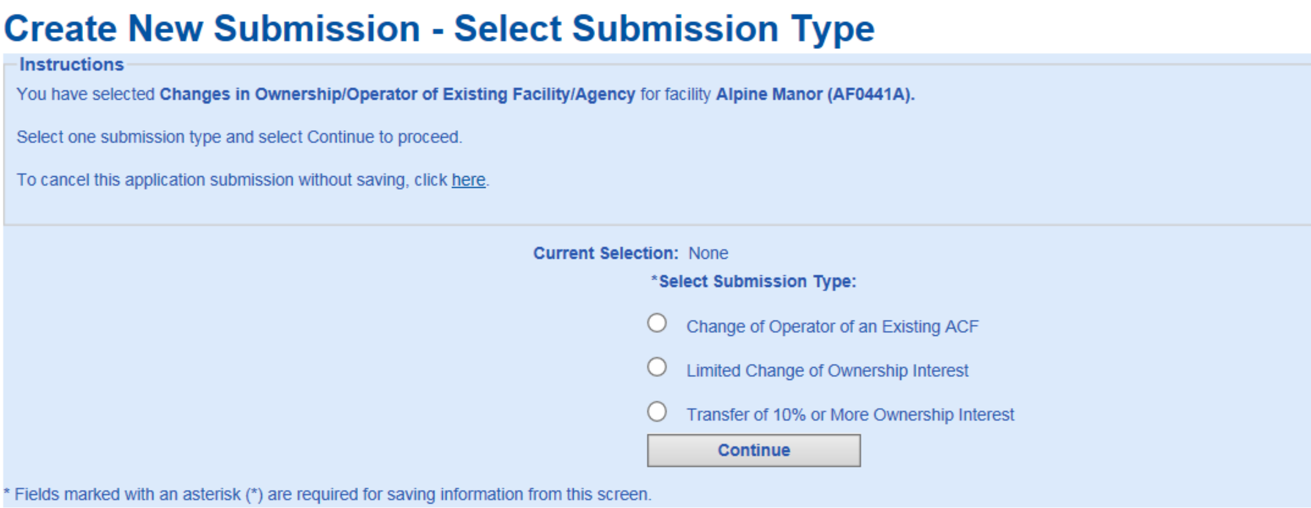
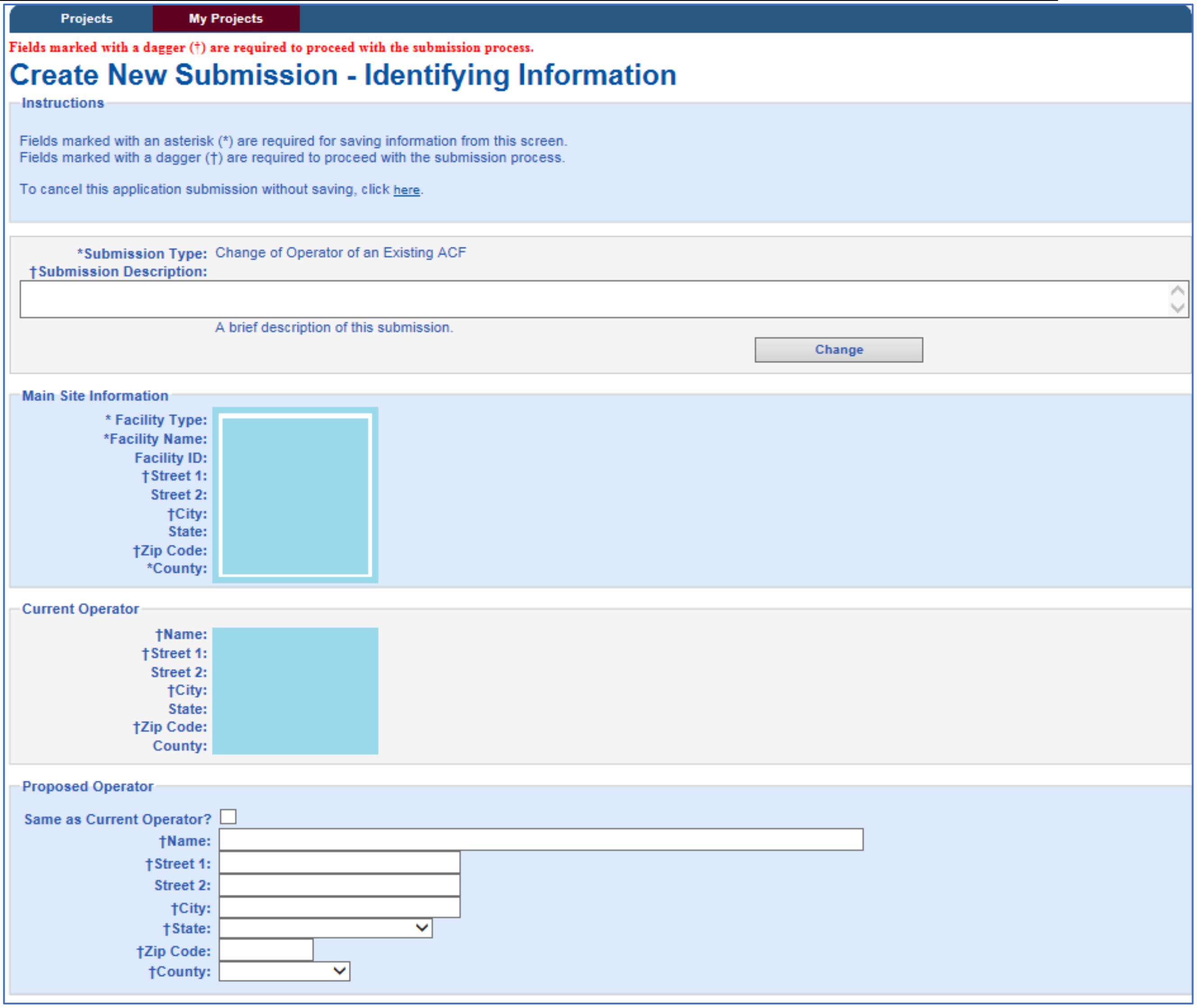


Figure 10: Sample “Changes in Ownership/Operator Submission Type Selection”

Create New Submission – Identifying Information – Change of Operator

Step	Action
1	Main Site Information will auto fill from ACF Facility.
2	Current Operator Information will display and auto fill from the ACF Facility database.
3	Enter Proposed Operator Information data as required. If applicable you can select the “Same as Current Operator?” checkbox.
4	Enter the Principal Applicant Member/Contact Information as required.
5	Enter Alternate Contact information as required.
6	Enter the Total Project Cost amount (also known as the Submitted Capital Cost).
7	Select the Save button. Result: If all the data required is entered, the General Information page will appear with the entered information displayed, along with instructions of next steps. (Figure 12.1.)



Projects | My Projects

Fields marked with a dagger (†) are required to proceed with the submission process.

Create New Submission - Identifying Information

Instructions

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.

To cancel this application submission without saving, click here.

*Submission Type: Change of Operator of an Existing ACF
†Submission Description:
A brief description of this submission.
Change

Main Site Information
* Facility Type:
*Facility Name:
Facility ID:
†Street 1:
Street 2:
†City:
State:
†Zip Code:
*County:

Current Operator
†Name:
†Street 1:
Street 2:
†City:
State:
†Zip Code:
County:

Proposed Operator
Same as Current Operator?
†Name:
†Street 1:
Street 2:
†City:
†State:
†Zip Code:
†County:

Figure 11: Sample Create New Submission – Change of Operator (Figure 1 of 2)

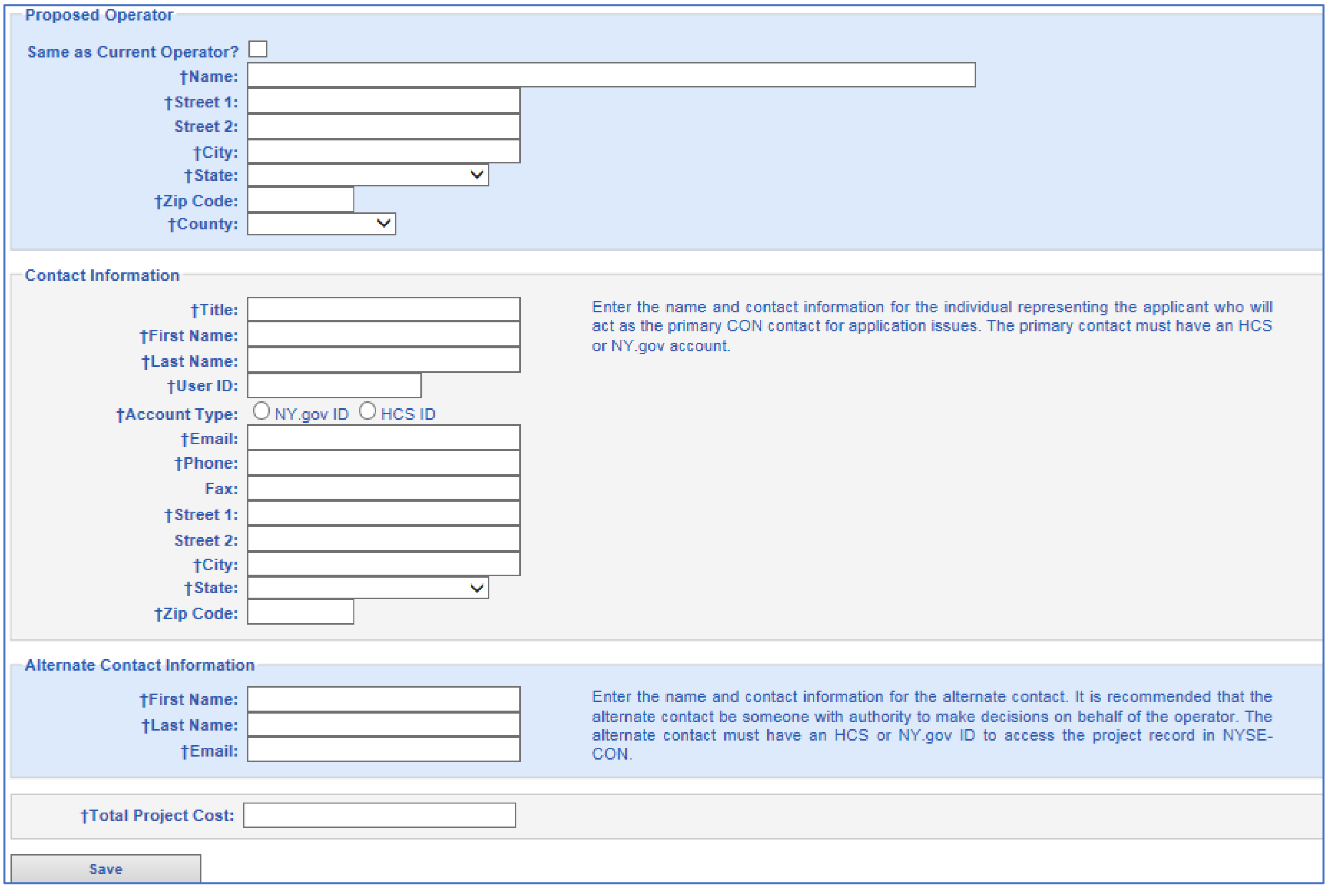
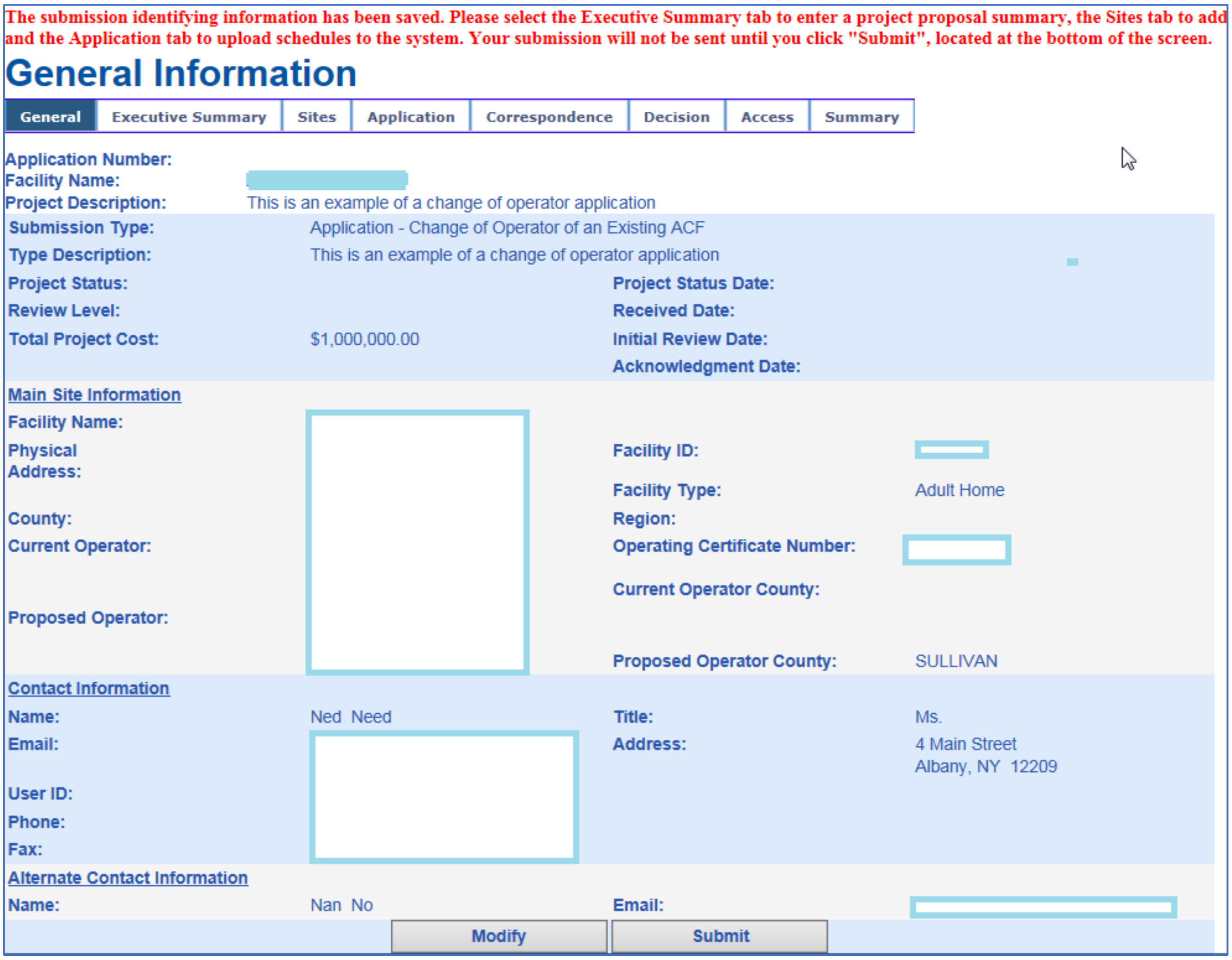


Figure 11: Sample Create New Submission – Change of Operator (Figure 2 of 2)

Select “Save”.

After clicking the Save button, the data appears as shown below:


The submission identifying information has been saved. Please select the Executive Summary tab to enter a project proposal summary, the Sites tab to add and the Application tab to upload schedules to the system. Your submission will not be sent until you click "Submit", located at the bottom of the screen.

General Information

General | Executive Summary | Sites | Application | Correspondence | Decision | Access | Summary

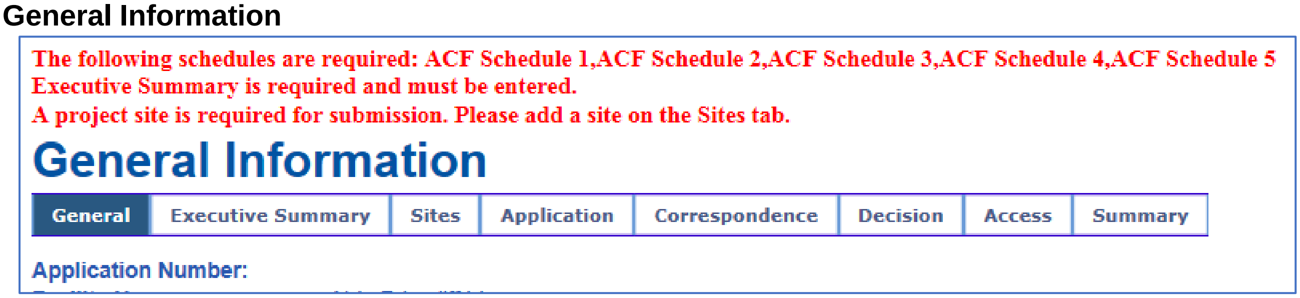
Application Number:			
Facility Name:			
Project Description:	This is an example of a change of operator application		
Submission Type:	Application - Change of Operator of an Existing ACF		
Type Description:	This is an example of a change of operator application		
Project Status:		Project Status Date:	
Review Level:		Received Date:	
Total Project Cost:	$1,000,000.00	Initial Review Date:	
		Acknowledgment Date:	
Main Site Information			
Facility Name:			
Physical Address:		Facility ID:	
		Facility Type:	Adult Home
County:		Region:	
Current Operator:		Operating Certificate Number:	
		Current Operator County:	
Proposed Operator:			
		Proposed Operator County:	SULLIVAN
Contact Information			
Name:	Ned Need	Title:	Ms.
Email:		Address:	4 Main Street Albany, NY 12209
User ID:			
Phone:			
Fax:			
Alternate Contact Information			
Name:	Nan No	Email:	

Modify | Submit

Figure 12.1: Sample Create New Submission – Change of Operator

After selecting the "Submit" button, the General Information will appear again. The header (printed in red font) will appear, listing the application schedules that are required based on the type of application being submitted. (Figure 12.2). This information will also direct the user to the next tabs to complete: the Executive Summary, the Sites and Application tab information.

General Information


The following schedules are required: ACF Schedule 1,ACF Schedule 2,ACF Schedule 3,ACF Schedule 4,ACF Schedule 5
Executive Summary is required and must be entered.
A project site is required for submission. Please add a site on the Sites tab.

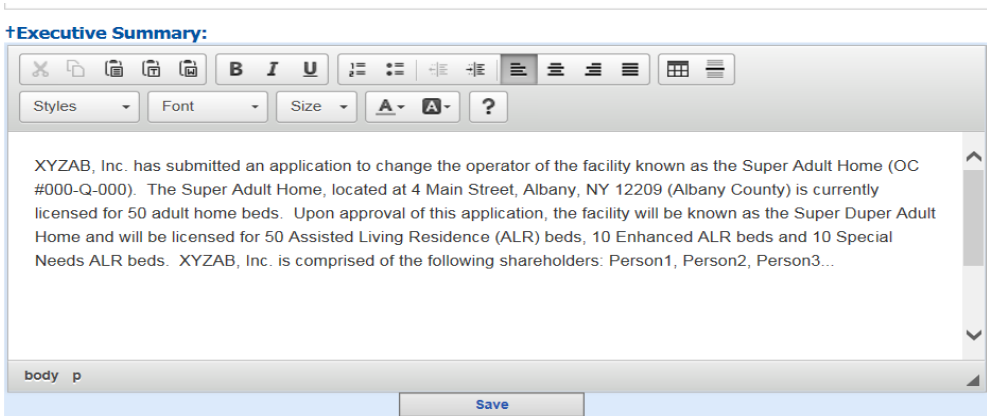
General Information

General | Executive Summary | Sites | Application | Correspondence | Decision | Access | Summary

Application Number:

Figure 12.2: General Information – Header instructions

New Submission - Executive Summary

Step	Action
1	Select the Executive Summary tab.  *Figure 13.1: Available tabs*
2	Enter the overview of the project proposal in the text box. This summary should include the current operator's entity name and the facility name and also the proposed changes to that information. The current license information should also be included, such as number and type of beds. All proposed changes should be summarized here. When finished, click the Save button at the bottom of the form. Figure 13.2.  *Figure 13.2: Executive Summary text box*

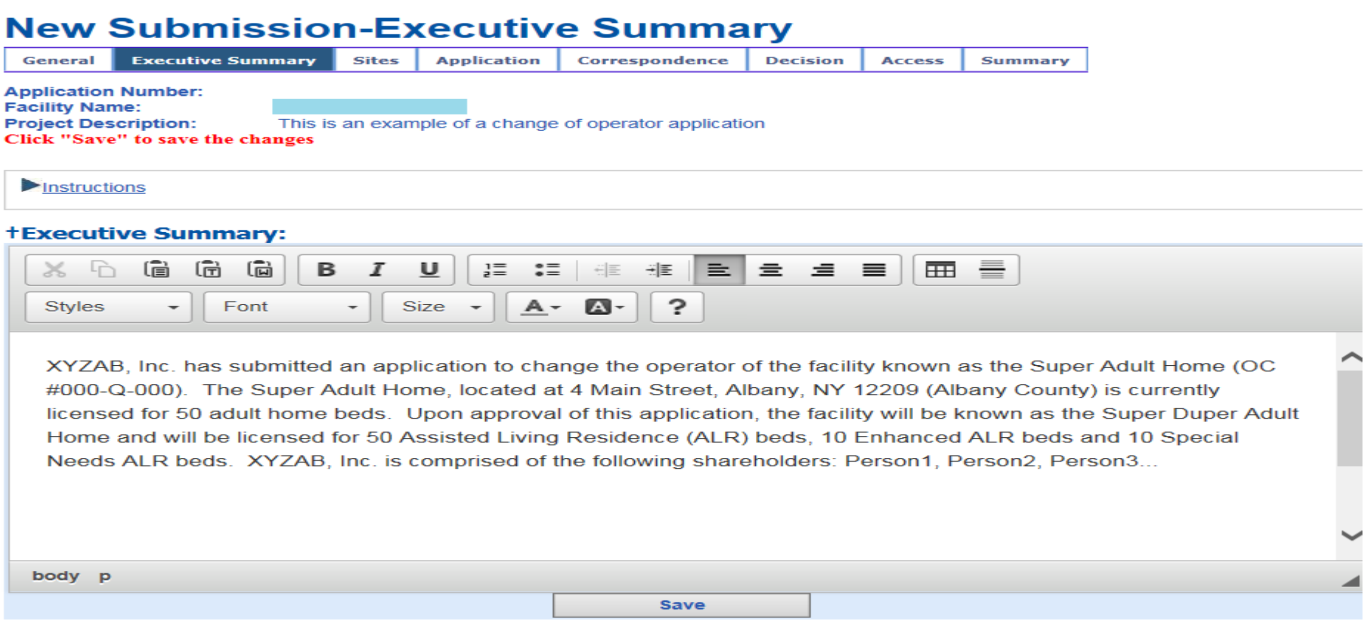


Figure 13.3: Sample Executive Summary screen

Modify Submission - Executive Summary

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Select the Executive Summary tab.</td></tr>
<tr><td>2</td><td>Select Modify button below the text box.

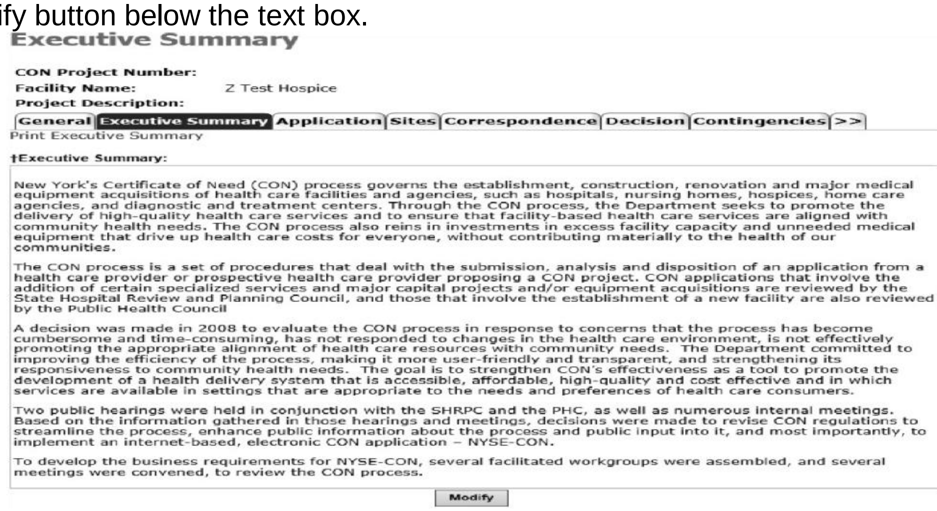


Figure 14.1: Modification screen after submitting</td></tr>
<tr><td>3

4</td><td>Edit the Summary.

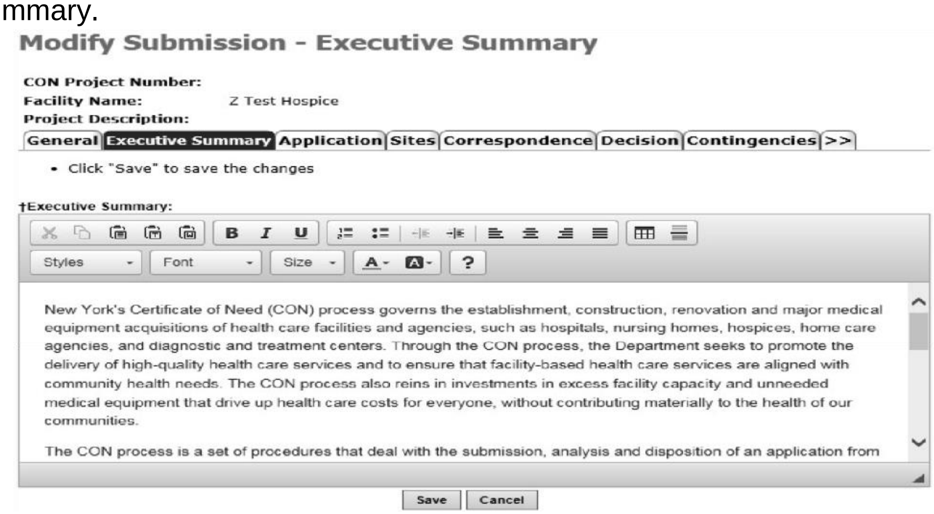


*Figure 14.2: Screen with **Save** button.*

Select the “Save” button.


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

Create New Submission – Sites

Select the site associated with the project from the dropdown and select Add. Select Continue when you are finished.

Select drop-down window to highlight your facility, then select "Add".

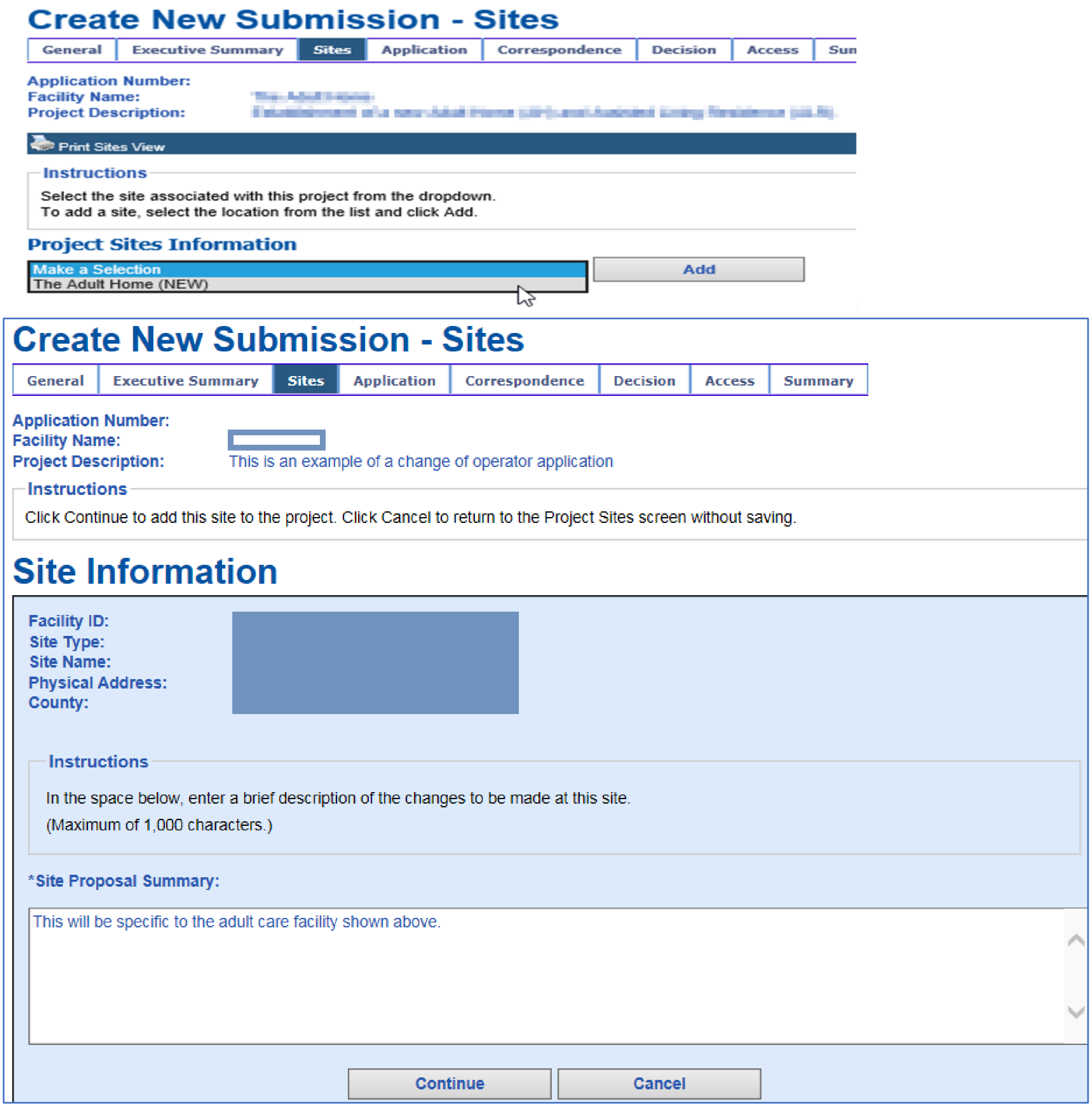


Figure 15.1: Sample Sites screen

You will now be brought to the Sites Information screen, where you should enter a brief proposal and select "Continue". *Figure 15.1.* You will have a chance to modify the site proposal summary, site name, and bed information depending on the submission type you selected. *Figure 15.2.*

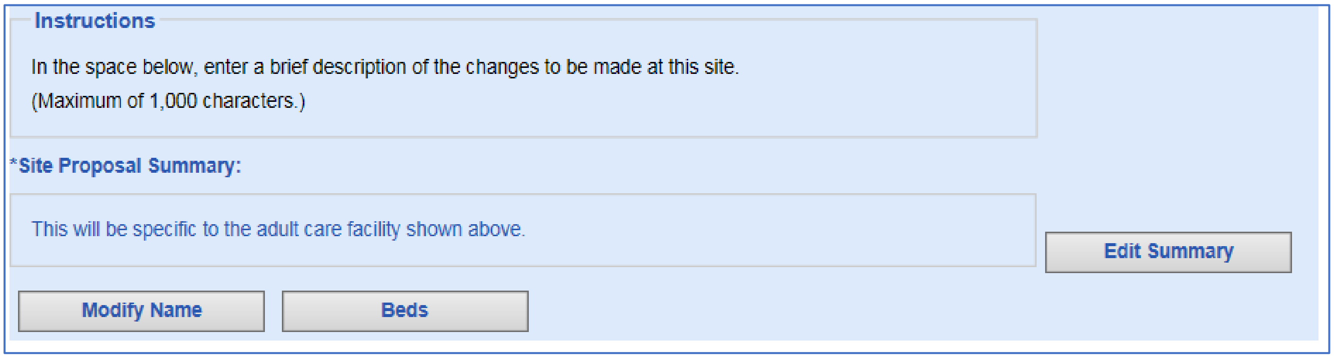


Figure 15.2: Sample "Sites – Beds" screen

Create New Submission - Beds Information

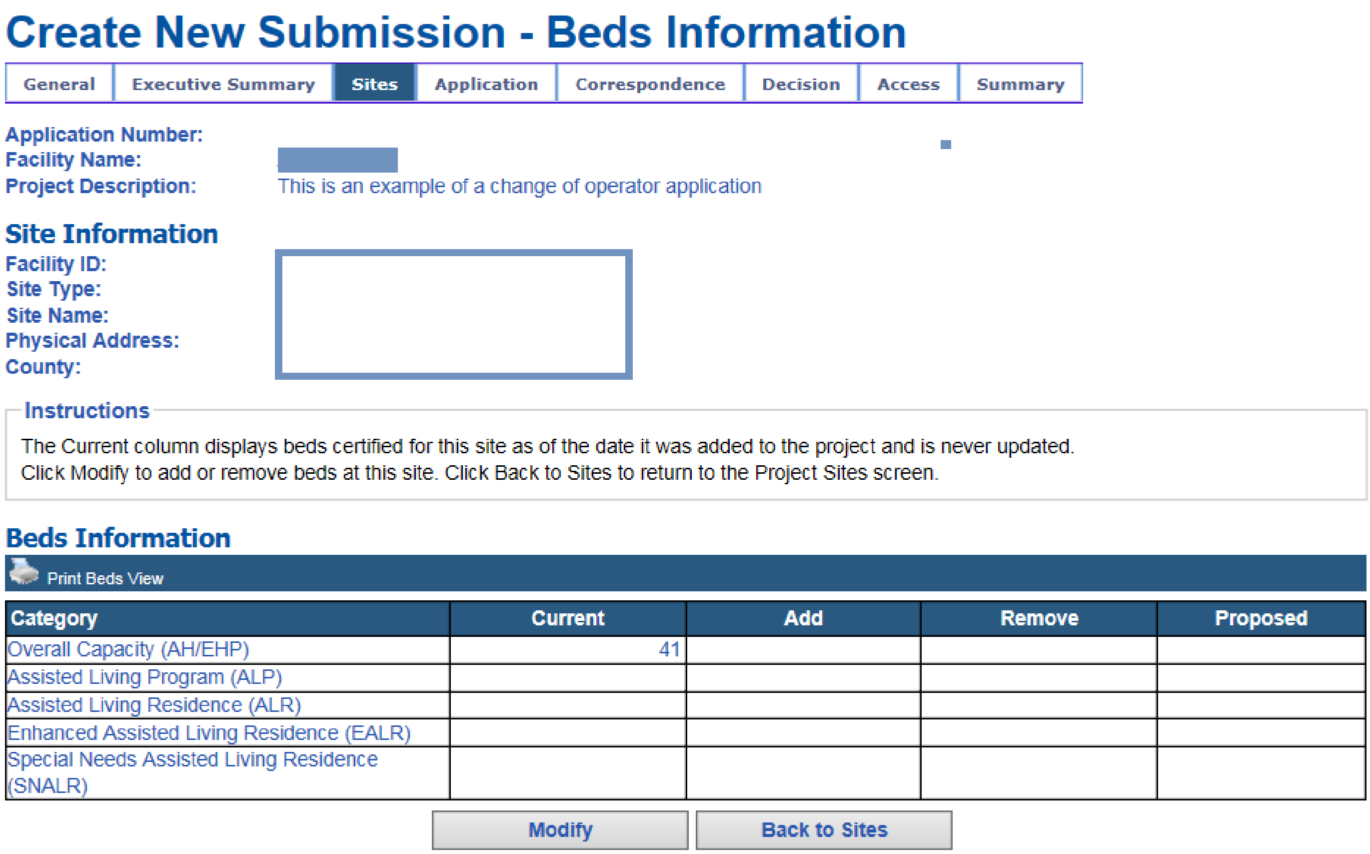
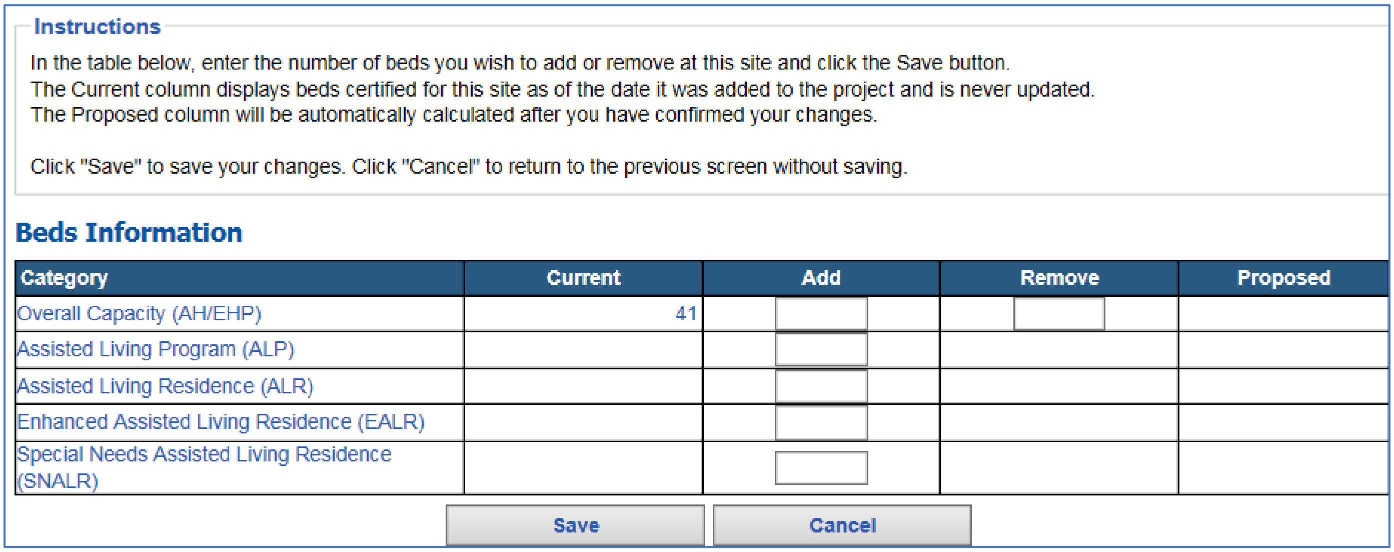


Figure 15.3: Sample "Beds Information" screen

Select "Beds" and then "Modify" to add/remove beds at this site. **Note**: Do not enter "0" in any fields that **do not apply** to your project, or it will result in an error. If this happens, you may "Cancel" the screen and proceed again with adding a number greater than "0" where applicable. Enter "Save" when finished. Figures 15.3, 15.4



Instructions

In the table below, enter the number of beds you wish to add or remove at this site and click the Save button.
The Current column displays beds certified for this site as of the date it was added to the project and is never updated.
The Proposed column will be automatically calculated after you have confirmed your changes.

Click "Save" to save your changes. Click "Cancel" to return to the previous screen without saving.

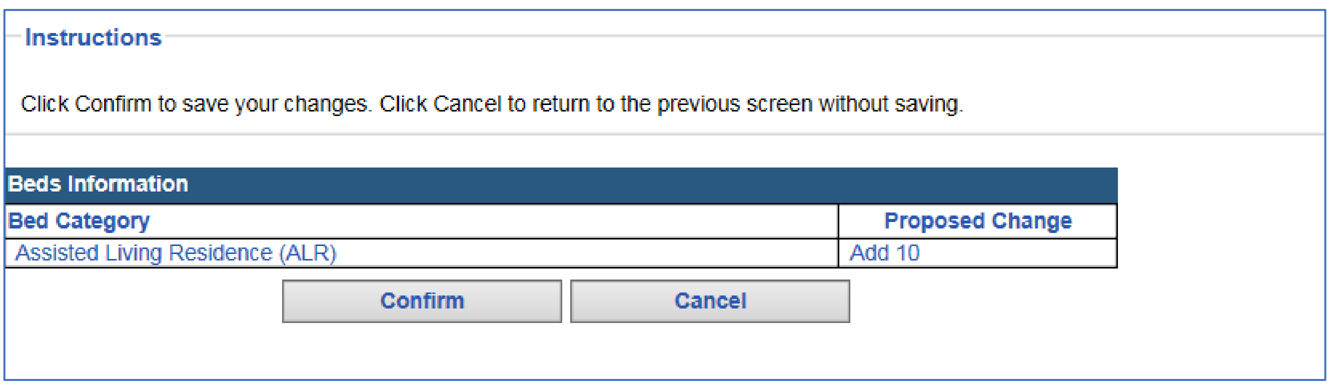
Beds Information

Category	Current	Add	Remove	Proposed
Overall Capacity (AH/EHP)	41			
Assisted Living Program (ALP)				
Assisted Living Residence (ALR)				
Enhanced Assisted Living Residence (EALR)				
Special Needs Assisted Living Residence (SNALR)				

Save Cancel

Figure 15.4: Sample "Beds – Add/Remove" screen

Select "Confirm" to confirm your changes. *Figure 15.5.* You will have a chance to make additional modifications. *Figure 15.6.*



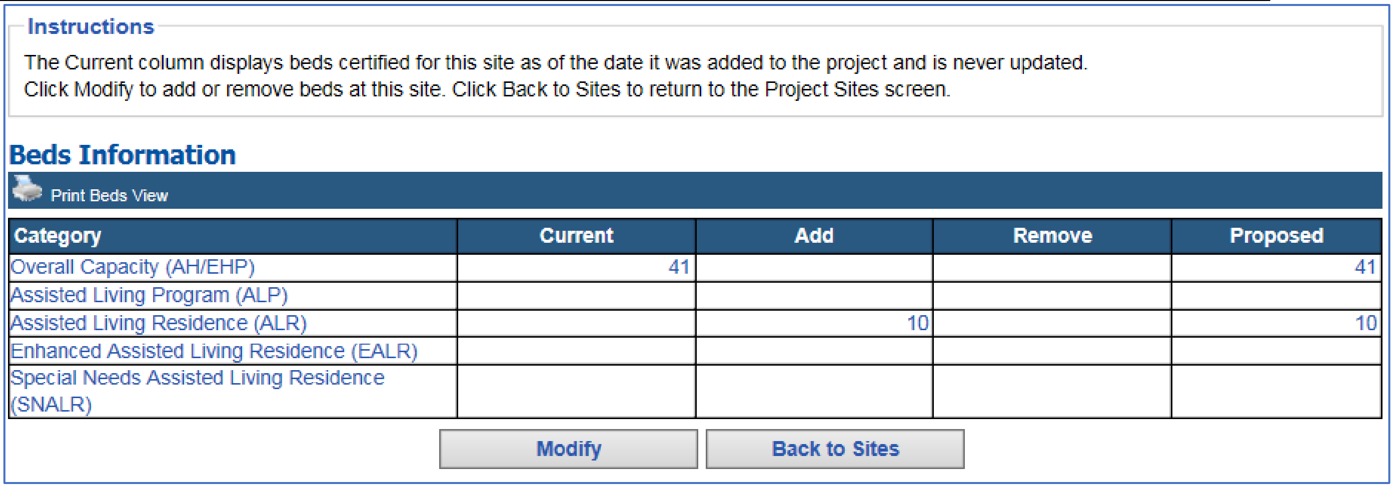
Instructions

Click Confirm to save your changes. Click Cancel to return to the previous screen without saving.

Beds Information	
Bed Category	**Proposed Change**
Assisted Living Residence (ALR)	Add 10

Confirm Cancel

Figure 15.5: Sample "Confirm Beds" screen


Instructions

The Current column displays beds certified for this site as of the date it was added to the project and is never updated.
Click Modify to add or remove beds at this site. Click Back to Sites to return to the Project Sites screen.

Beds Information

Print Beds View

Category	Current	Add	Remove	Proposed
Overall Capacity (AH/EHP)	41			41
Assisted Living Program (ALP)				
Assisted Living Residence (ALR)		10		10
Enhanced Assisted Living Residence (EALR)				
Special Needs Assisted Living Residence (SNALR)				

Modify Back to Sites

Figure 15.6: Sample "Modify Beds" screen

Application

Step	Action
1	Select the Application tab. Result: The Application page will appear - it will display a message listing the schedules that are required, based on the type of application being filed. Figure 16.1.
2	Select Add Document to Submission button.

The header (printed in red font) will appear, listing the application schedules that are required, based on the type of application being submitted. You will not be allowed to submit an application without uploading the required schedules.

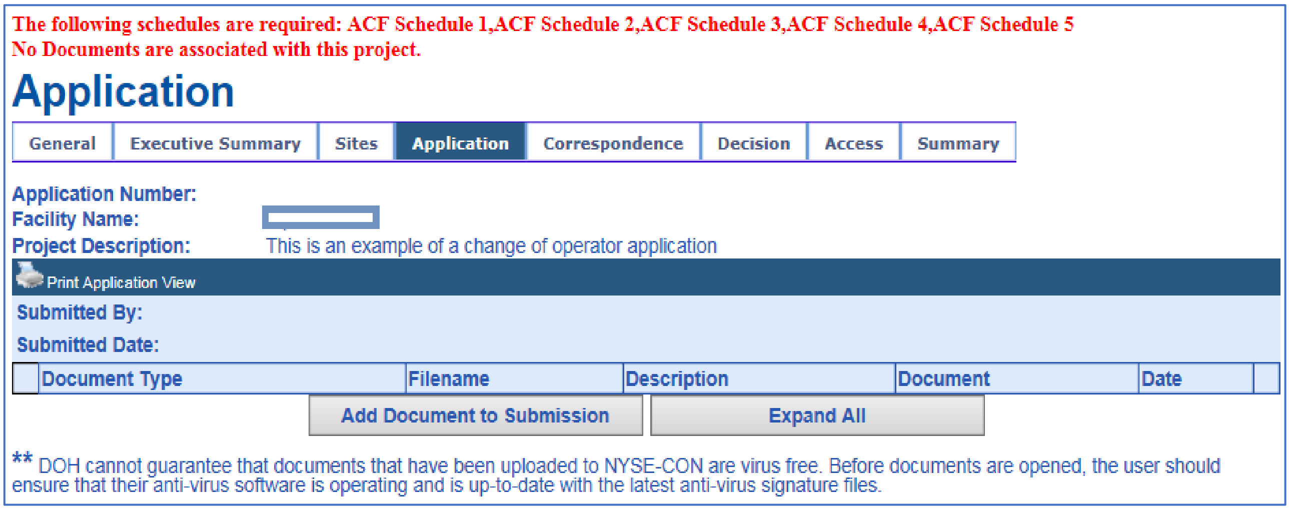


Figure 16.1: Sample "Application – Add Documents" screen

Repeat these steps until all schedules and attachments are uploaded. Please use meaningful file names and descriptions. Figure 16.2.

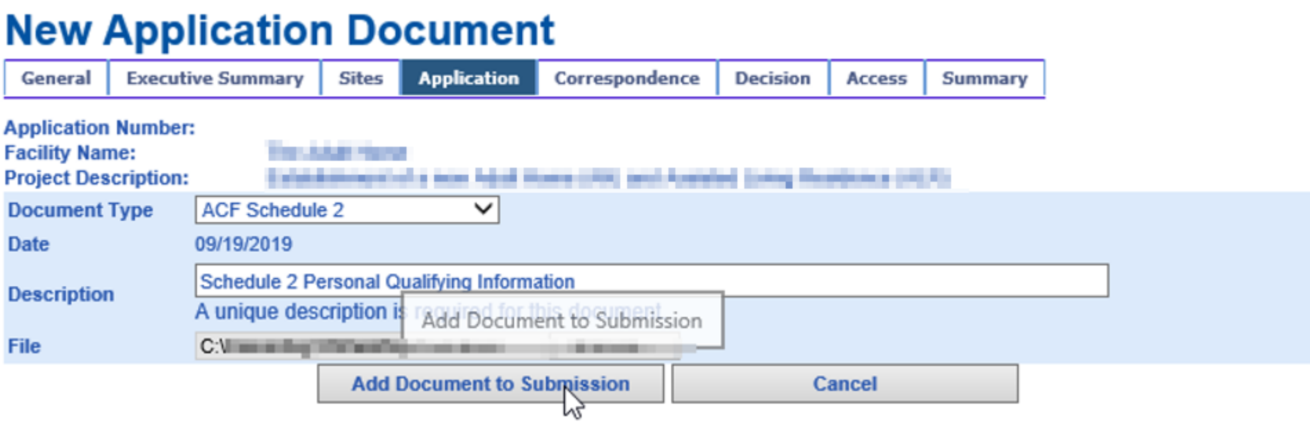
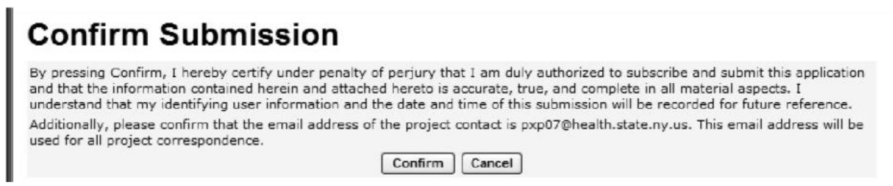


Figure 16.2: Sample "Application – Add Documents" screen

Confirm Submission

Step	Action
1	Select the General Information tab.
2	Select the Submit button. Note only when all required application documents have been added to the project will you be allowed to proceed. Result: The Confirmation screen appears. Figure 17.  *Figure 17: Sample Application Submission screen*
3	Select the Confirm button. Result: The Application now has a CON Project #, and an email notification has been sent to PMU and the Applicant.

APPENDIX I - Update Application Documents

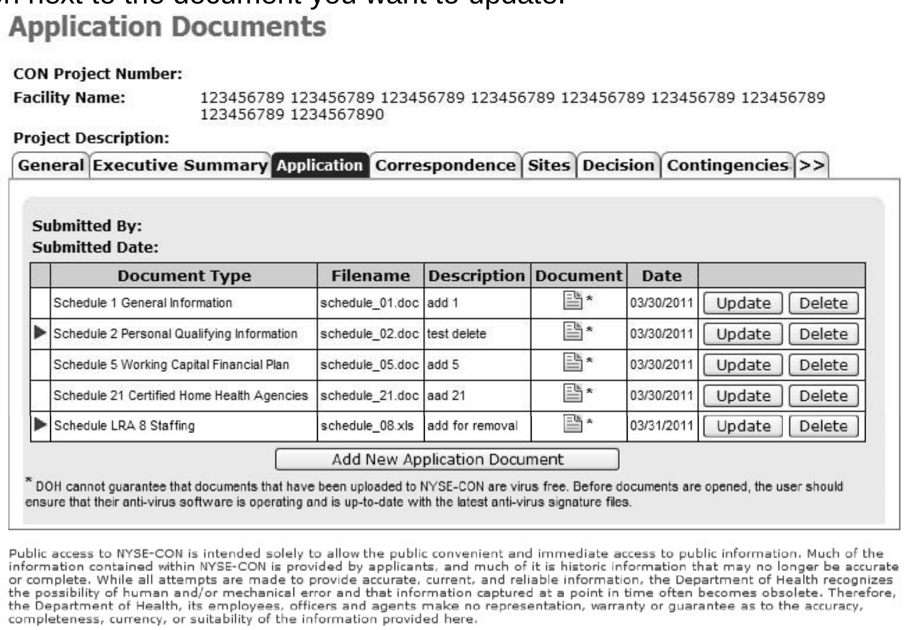
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Select the Application tab.
Result: Application page contains all Application documents and any items added through the Correspondence tab.</td></tr>
<tr><td>2</td><td>Select Update button next to the document you want to update.


Figure 1.1: Sample Application Document screen</td></tr>
<tr><td>3</td><td>Enter a description.</td></tr>
<tr><td>4</td><td>Select the Browse button.
Note: depending on your browser you see different windows locate the file you want to add. Select the file that matches the Document Type you selected.</td></tr>
<tr><td>5</td><td>Select Update Document button. Figure 1.2.</td></tr>
</table>

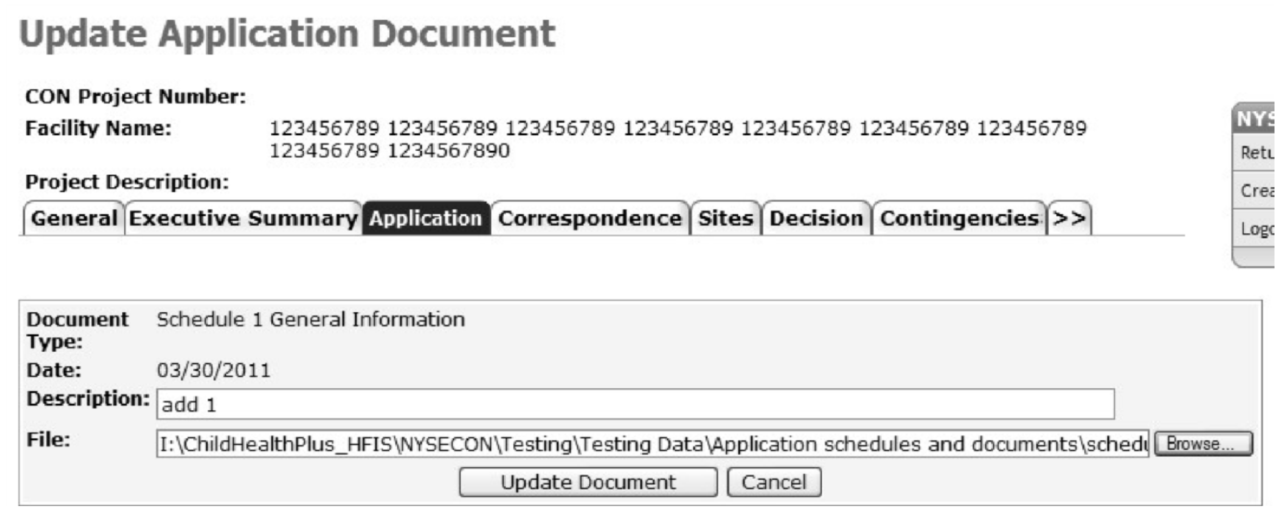
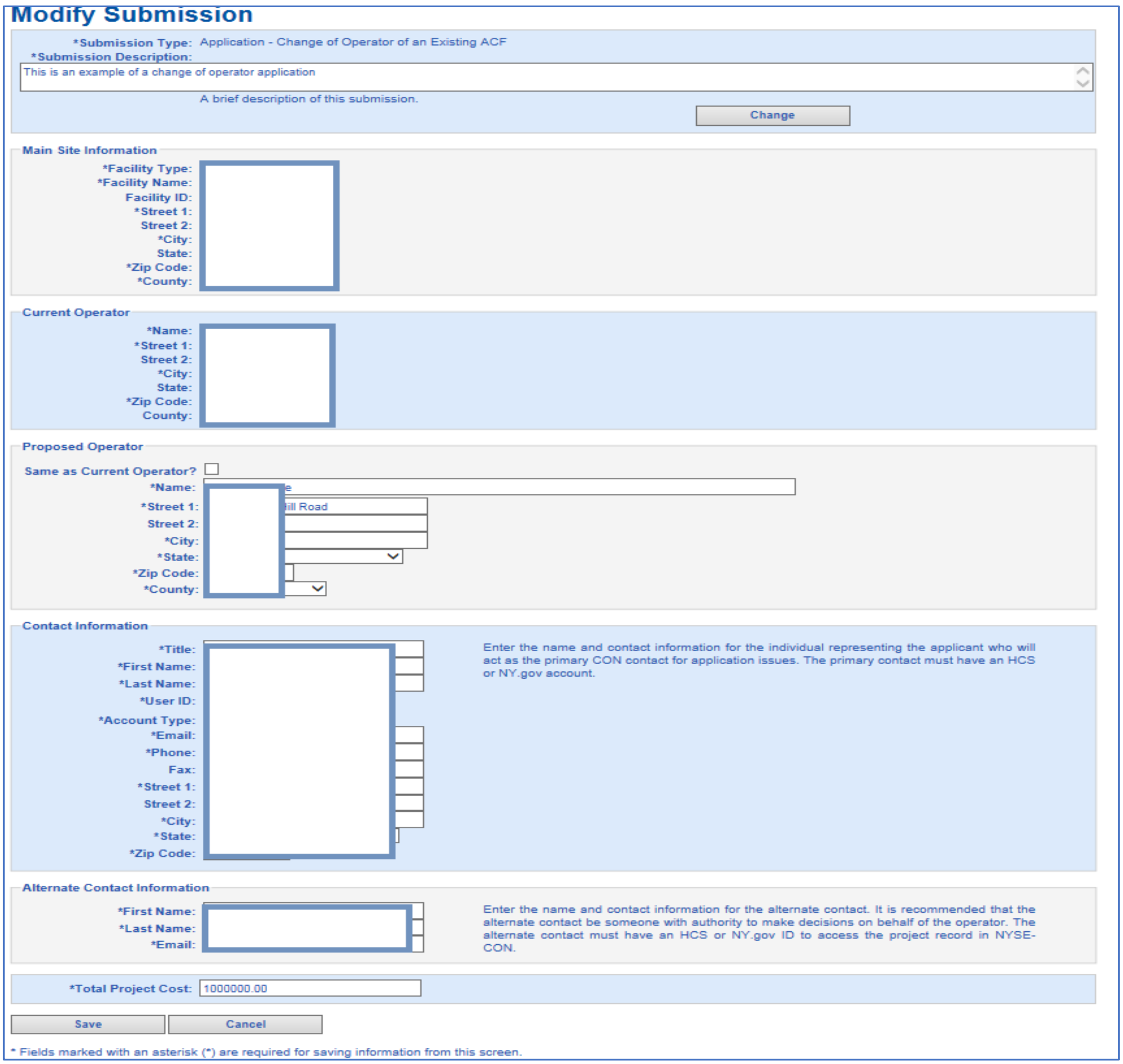


Figure 1.2: Sample Update Application Document screen

APPENDIX II – Modify Submission

Step	Action
1	Select a Modify button on the General Information page. Result: Modify Submission page will appear with the information entered (modifications can be made only until an application is Submitted.
2	Enter/Change any of the information.
3	Select Save button. *Figure 1.1.*



Submission Screen

After saving changes, the following General Information screen will allow you to make further modifications or you can Submit your changes. Figure 1.2.

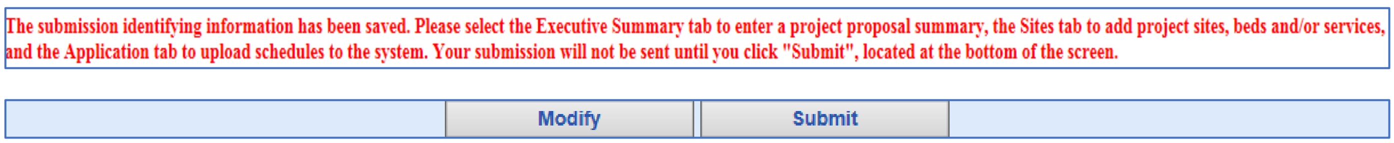


Figure 1.2

APPENDIX III - Delete Application Document

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1</td><td>Select the Application tab.
Result: Application page contain all Application documents and any item added through the Correspondence tab.</td></tr>
<tr><td>2</td><td>Select Delete button next to the document you want to delete.

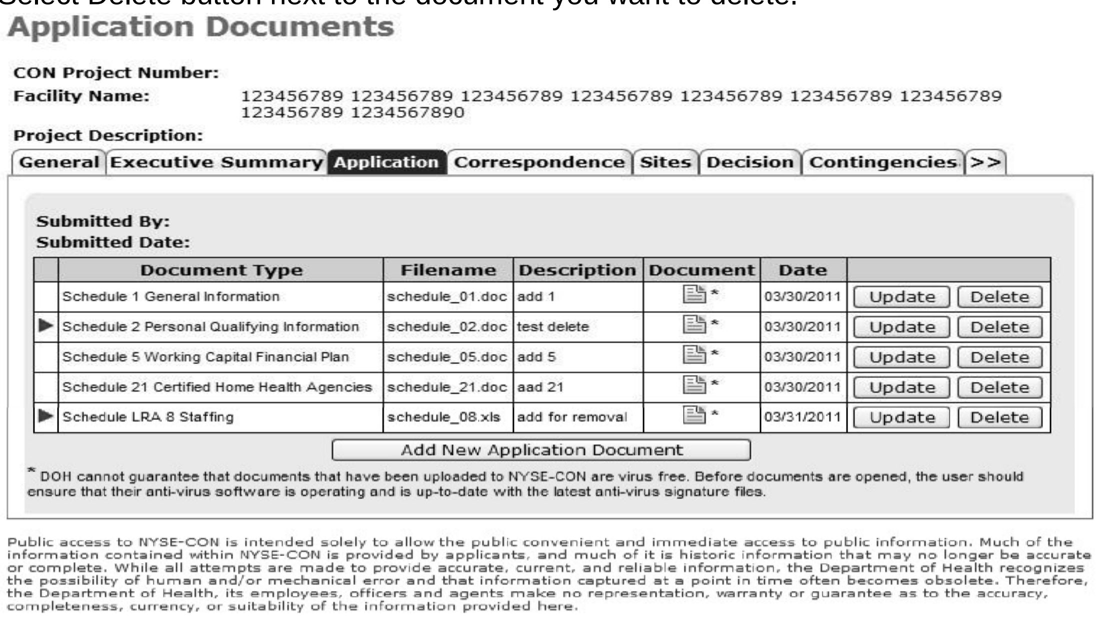


Figure 1.1: Sample Application Document screen</td></tr>
<tr><td>3</td><td>Select the Yes button. Figure 1.2.
Note: the button will only be available until the application is submitted.</td></tr>
</table>

APPENDIX IV - Access

Step	Action
1	Select the Access tab.
2	Enter the User ID of the person you want to grant/revoke access to. Note: The ID must have been created prior to you entering it here.
3	Select the Grant Access or Revoke Access button. *Figure 1*.

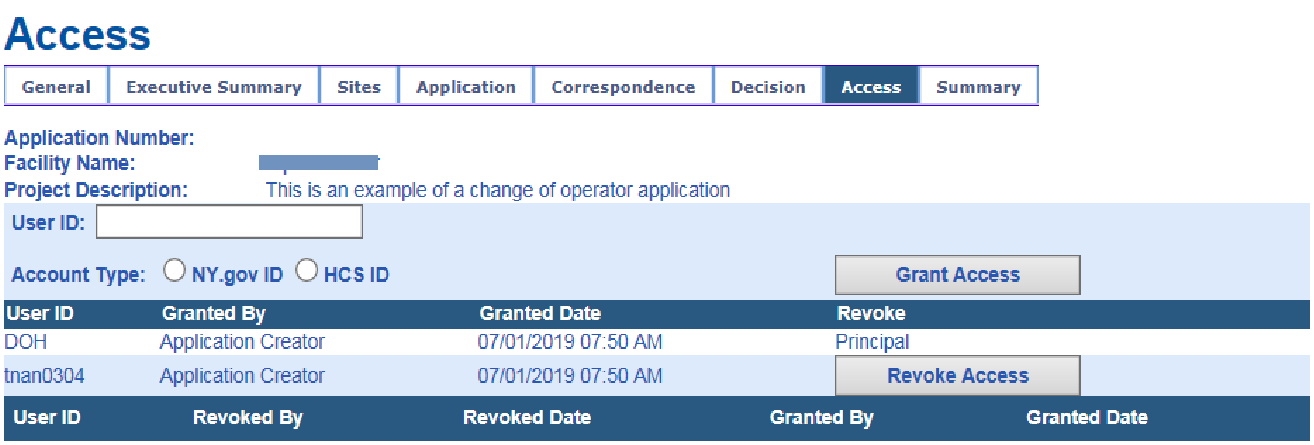


Figure 1: Sample "Grant / Revoke Access" screen

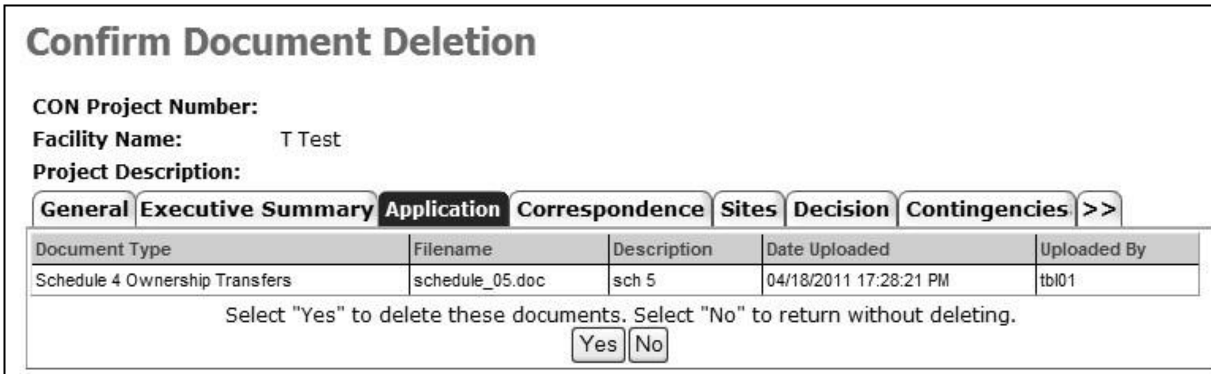


Figure 1.2: Sample Confirm Document Deletion screen

APPENDIX V - Correspondence

Menu selection: The Correspondence module is reached via the **Correspondence** tab on the Navigation bar.

Correspondence Field Descriptions

Correspondence Field Descriptions	
Field Name	**Description**
Correspondence	
Date	Date the correspondence was added to the system.
Time	Time the correspondence was added to the system.
DOH Office	The DOH Office who initiated the correspondence.
Recipient	The recipient will display ‘Applicant’, ‘Multiple’ or ‘Review Unit’.
Type of Correspondence	The type of correspondence added to the project.
Date of last reply	The date of the latest reply to a correspondence.
Time of last reply	The time of the latest reply to correspondence.
Response	
Date	Date the response was added to the system.
Time	Time the response was added to the system.
Sender	Name or Unit of the person replying
Type of Correspondence	The type of correspondence added to the project.

Correspondence

Link Selection: Each line displayed in the Correspondence tab is a link that will open the detailed information for that correspondence.

View Correspondence Field Descriptions

View Correspondence Field Descriptions	
Field Name	**Description**
Created by	Will display the DOH Review unit.
On Date	The date the correspondence was entered into the system.
Correspondence Type	The type of correspondence. Note: the Waiting for Information will display when the Department of Health has requested that additional information is required.
Recipient	Will display who the recipient is.
Message	Area for entering pertinent reference information.
Attachments	The file name and link to attached documents.
Buttons	
Reply	When selected the Reply to Correspondence page opens. **When Revision folders exist, replying to correspondence can only be done in the Current folder.**
Return	When selected the Correspondence tab page opens.

View Details of a Correspondence

Step	Action
1	On the Correspondence tab Select the link. The View Correspondence page is displayed. **Note**: Each line displayed in the correspondence tab is a link that will open the detailed information for that correspondence
2	The View Correspondence page is displayed.
3	Select the document icon  in the attachment area to see the correspondence.
4	Depending on the browser the file download window will open. Select Open to view the file or Save to download to a local directory and then view the file.

Reply to Correspondence

Button Selection: To reply to a correspondence, the correspondence must be opened to view and the **Reply** button selected.

Reply to Correspondence Field Descriptions

Reply to Correspondence Field Descriptions	
Field Name	**Description**
Created by	Auto filled with logged in user name will only display the DOH Review unit if the logged in user is DOH.
On Date	Auto filled with today's date.
Correspondence Type	The type of correspondence. When replying it will auto-fill with the original correspondence type but the system does allow the type to be changed.
Recipient	Auto filled with the sending DOH Review unit.
Message	Rich text area for entering pertinent reference information.
Attachments	The file name and link to attached documents.
In Response To	View of correspondence the user is responding to.
Created By	Correspondence created by.
On Date	Auto filled with today's date.
Correspondence Type	Type of Correspondence can be chosen from the list.
Recipient	Recipient of correspondence.
Message	The information entered when the correspondence was added to the system.
Attachment	Displays the name of the file attached to the correspondence.
Buttons	
Add Attachment	When selected the Add Attachment page opens
Send Reply	When selected the Correspondence is saved to the system, notifications are sent out and the Correspondence page opens.
Cancel	When selected the View Correspondence page reopens.

Reply to Correspondence

Step	Action
1	On the Correspondence tab select a Correspondence link to view the desired correspondence.
2	Select the **Reply** button.
3	**Select** the Correspondence Type from the drop down list.
4	Enter the message you would like to add.

How to Add an Attachment to a Correspondence

Step	Action
1	Click the **Add Attachment button** The Add Correspondence Attachment screen displays.
2	Select the File Type from the list.
3	Enter a description
4	Select the **Browse** button and select the file. Depending on the browser the file upload window will open. Select the file and then Select **Open**
5	Select the **Add Attachment** button.

How to Send Reply to Correspondence

Step	Action
1	Return to Reply to Correspondence page after adding attachment with all data filled in.
2	Select the **Send Reply** button.
3	The Correspondence page displays with the new correspondence displayed.

Filter Correspondence

Apply Filter: The system displays the Correspondence screen with the entered filtering criteria shown. Only correspondence that corresponds with the entered filtering criteria and that the user has access to will display.

How to Apply a Filter to Correspondence

Step	Action
1	On the Correspondence tab selecting the arrow opens the filter option allowing filtering criteria to be selected.
2	Select the down arrow to see the filtering criteria. The data displayed is unique to each project and user.
3	Select **Apply Filter** the correspondence page is redrawn displaying only correspondence that corresponds with the entered filtering criteria and that the user has access to.

View Correspondence Field Descriptions

View Correspondence Field Descriptions	
Field Name	**Description**
Sender	Allows selection of a specific sender.
Correspondence Type	Allows selection of a specific type.
Recipient	Allows selection of a specific recipient
Answered	Always checked only applies when the type Request for Additional Information is selected.
Unanswered	Always checked only applies when the type Request for Additional Information is selected.
Buttons	
Apply Filter	When selected the Correspondence page redisplays. Only correspondence that corresponds with the entered filtering criteria and that the user has access to is displayed.
Clear Filter	When selected the Correspondence tab page redisplays showing all correspondence that the user has access to.

Email Notifications

Email notifications will be sent to the primary and alternate contact on an application under the following conditions:

- Application Submitted/Received by the Department
- Acknowledgement Letter
- New Correspondence other than an acknowledgement
- Response to a Correspondence
- Application Documents added/updated after submission

APPENDIX VI – Regional Office

Request Regional Office Survey

Step	Description	Result
1	Log into the NYSE-CON via HCS as an **<u>Applicant</u>**.	The system displays the NYSE-CON "**Welcome**" page.
2	From the "**NYSE-CON**" home page, select the following Quick link: "**Find a Project**".	The system displays the "**Project Search**" page.
3	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the entered Project in "**Project Search Results**" page.
4	Click on the "**View Selected Result(s)**" button.	The system displays "**General Information**" page.
5	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" page.
6	Enter a "**Phase Description**".	The system allows the user to enter a phase description.
7	Enter a future date for the "**Target Opening Date**".	The system allows the user to enter a future date for the "**Target Opening Date**"
8	Enter a future date range for the "**Request Survey Dates**".	The system allows the user to enter a future date range for the "**Request Survey Dates**"
9	Click on the "**Add Contact**" button.	The system displays the "**New Contact Information**".
10	Verify the "**Type**" contains the following options: • Primary • Additional Contact **Note**: For the first contact only "Primary" option will be available.	The "**Type**" field displaying the following options: • Primary • Additional Contact
11	Selects "**Primary**" as the Contact "**Type**"	The system should allow the user to select "**Primary**".
12	Enter all the required fields Click on the "**Save**" button.	The system displays the "**Regional Office General Information**" page.
13	Verify the newly added contact is listed in the Contacts section	The system displays the contact information.

Step	Description	Result
14	Click on the “**Submit**” button.	The system executes the phase.
15	End of Process	

Request Regional Office Survey using the Public Authenticated my.ny.gov portal

Step	Description	Result
1	Log into the NYSE-CON at my.ny.gov as an **Applicant**.	The system displays the my.ny.gov Login Page.
2	Search for a project by Submission #. Click on the "Search" button or select “Enter”.	The system displays the **“General Information”** page.
3	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" page.
4	Enter a “**Phase Description**”.	The system allows the user to enter a phase description.
5	Enter a future date for the “**Target Opening Date**”.	The system allows the user to enter a future date for the “**Target Opening Date**”
6	Enter a future date range for the “**Request Survey Dates**”.	The system allows the user to enter a future date range for the “**Request Survey Dates**”
7	Click on the “**Add Contact**” button.	The system displays the “**New Contact Information**”.
8	Verify the “**Type**” contains the following options: • Primary • Additional Contact **Note**: For the first contact only “Primary” option will be available.	The “**Type**” field displaying the following options: • Primary • Additional Contact
9	Selects “**Primary**” as the Contact “**Type**”	The system allows the user to select “**Primary**”.
10	Enter all the required fields. Click on the “**Save**” button.	The system displays the “**Regional Office General Information**” page.
11	Verify the newly added contact is listed in the Contacts section	The system displays the contact information.
12	Click on the “**Submit**” button.	The system submits the phase.
13	End of Process	

Regional Office – Reply to Correspondence

Step	Description	Result
1	Login into the NYSE-CON via HCS as an **Applicant**.	The system displays the NYSE-CON "**Welcome**" page.
2	From the **'NYSE-CON'** home page, select the following Quick link. **"Find a project"**.	The system displays the **"Project Search"** page.
3	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the entered Project in "**Project Search Results**" page.
4	Click on the "**View Selected Result(s)**" button.	The system displays "**General Information**" page.
5	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" page.
6	Click the "**Correspondence**" tab.	The system displays the "**Regional Office Correspondence**" page.
7	Click the Regional Office correspondence that was initiated.	The system displays the "**Regional Office View Correspondence**" page.
8	Verify the following: • **Created By**: Displaying the creator Regional Office • **On**: Displaying create date • **Correspondence Type**: Regional Office • **Recipient**: Applicant • **Message**: the previously entered message • The same document attached exists	The system provides the same information with the information provided when initiating the Correspondence.
9	Click the "**Reply**" button.	The system displays the "**Regional Office Reply Correspondence**" page.
10	Enter a message in the "**Message**" text area.	The system allows the user to enter a message in the "**Message**" text area.

Step	Description	Result
11	Click the "**Add Attachment**" button.	The system displays the "**Regional Office Add Correspondence Attachment**" page.
12	Enter a description in the "**Description**" field.	The system allows the user to enter a description in the "**Description**" field.
13	Navigate through the local drive to attach a document and click on the "**Add Attachment**" button.	The system displays the "**Regional Office Reply Correspondence**" page with the attachment displayed in the attachment section.
14	Click the "**Send Reply**" button.	The system displays the "**Regional Office Correspondence**" page.
15	Verify the reply to the correspondence exists by expanding it. **Note**: Click the + icon on the correspondence or click the "**Expand All**" button to expand the correspondence.	The system expands the correspondence to reveal the reply to the correspondence.
16	Select the reply to the correspondence to open it.	The system displays the "**Regional Office View Correspondence**" page.
17	Verify the following: • **Created By**: Applicant • **On**: Displaying reply date • **Correspondence Type**: Regional Office • **Recipient:** displaying the Regional Office initiating the correspondence • **Message**: displaying the previously entered message • The same document attached exists	The system provides the same information with the information provided when replying the Checklist Correspondence.
18	End of Process	

Regional Office – Reply Correspondence Public Authenticated site: my.ny.gov

Step	Description	Result
1	Log into the NYSE-CON Public Authenticated my.ny.gov as an **Applicant**.	The system displays the NY.gov Login Page.
2	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the entered Project in " **General Information**" page.
3	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" page.
4	Click the "**Correspondence**" tab.	The system displays the "**Regional Office Correspondence**" page.
5	Click the Regional Office correspondence that is available from the correspondence section.	The system displays the "**Regional Office View Correspondence**" page.
6	Verify the following: **Created By**: Displaying the creator Regional Office **On**: Displaying create date **Correspondence Type**: Regional office **Recipient**: Applicant **Message**: the previously entered message The same document attached exists	The system provides the same information with the information provided when initiating the Correspondence.
7	Click the "**Reply**" button.	The system displays the "**Regional Office Reply Correspondence**" page.
8	Enter a message in the "**Message**" text area.	The system allows the user to enter a message in the "**Message**" text area.
9	Click the "**Add Attachment**" button.	The system displays the "**Regional Office Add Correspondence Attachment**" page.
10	Enter a description in the "**Description**" field.	The system allows the user to enter a description in the "**Description**" field.
11	Navigate through the local drive to attach a document and click on the "**Add Attachment**" button.	The system displays the "**Regional Office New Checklist Correspondence**" page with the attachment displayed in the attachment section.
12	Click the "**Send Reply**" button.	The system displays the "**Regional Office Correspondence**" page.

Step	Description	Result
13	Verify the reply to the reply correspondence exists by expanding it. **Note**: Click the + icon on the correspondence or click the "**Expand All**" button to expand the correspondence.	The system expands the correspondence to reveal the reply to the correspondence.
14	Select the reply to the correspondence to open it.	The system displays the "**Regional Office View Correspondence**" page.
15	Verify the following: **Created By**: Applicant **On**: Displaying reply date **Correspondence Type**: Regional Office **Recipient:** displaying the Regional Office initiating the correspondence **Message**: displaying the previously entered message The same document attached exists	The system provides the same information with the information provided when replying the Checklist Correspondence.
16	End of Process	

Regional Office – Submit Checklist Items

Step	Description	Result
1	Log into the NYSE-CON via HCS as an **Applicant**.	The system displays the NYSE-CON "Welcome" page.
2	From the **'NYSE-CON'** home page, select the following Quick link: **"Find a project"**.	The system displays the **"Project Search"** page.
3	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the entered Project in "**Project Search Results**" page.
4	Click on the "**View Selected Result(s)**" button.	The system displays "**General Information**" page.
5	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" Page.
6	Click the "**Environmental Checklist**" tab.	The system displays the "**Regional Office Environmental Checklist**" page.
7	Verify the Environmental Checklist listed are as per requirement.	The system displays the Environmental Checklist as per requirement.

Step	Description	Result
8	Click the "**Upload**" button on any of the checklist items.	The system displays the "**Add Checklist Attachment**" page.
9	Locate the attachment document and click the "**Add Attachment**" button.	The system displays the "**Regional Office Environmental Checklist**" page.
10	Verify the document attachment associated with the checklist item is present and verify the "**Delete**" option is available for the attachment.	The system displays the attachment that was just added and provide the option to delete the attachment.
11	Repeat step 9 to 11 to upload several more checklist items.	The system allows the user to upload multiple checklist items.
12	Set a checklist status to "**N/A"** and enter "**Comments".** Note: Select a checklist item that has not been attached with a document.	The system allows the user to set a checklist status to "**N/A**" and enter a comment.
13	Click the "**Submit**" button.	The system displays the "**Regional Office Confirm Submission of Documents**" page.
14	Click the "**Confirm**" button.	The system displays the "**Regional Office Environmental Checklist**" page.
15	Verify the "**Date Submitted**" is displaying the current date on the checklist items that received any updates.	The system displays the "**Date Submitted**" for the checklist items.
16	End of Process	

Regional Office – Resubmit Rejected Checklist Items

Step	Description	Result
1	Log into the NYSE-CON as an **Applicant**.	The system displays the NYSE-CON "Welcome" page.
2	From the **'NYSE-CON'** home page, select the following Quick link. **"Find a project"**.	The system displays the **"Project Search"** page.
3	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the entered Project in "**Project Search Results**" page.
4	Click on the "**View Selected Result(s)**" button.	The system displays "**General Information**" page.

Step	Description	Result
5	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" Page.
6	Click the "**Environmental Checklist**" tab.	The system displays the "**Regional Office Environmental Checklist**" page.
7	Verify the Environmental Checklist listed are as per requirement.	The system displays the Environmental Checklist as per requirement.
8	Click on the "**Upload**" button on the rejected checklist item.	The system displays the "**Add Checklist Attachment**" page.
9	Locate the attachment document and click the "**Add Attachment**" button.	The system displays the "**Regional Office Environmental Checklist**" page.
10	Repeat step 9 and 10 until all the rejected checklist items have been resubmitted. Click the "**Submit**" button.	The system displays the "**Regional Office Confirm Submission of Documents**" page.
11	Click the "**Confirm**" button.	The system displays the "**Regional Office Environmental Checklist**" page.
12	Verify the checklist items that were previously rejected have been changed to "**Resubmitted**" as their "**Current Status**".	The system changes the status of the checklist items to "**Resubmitted**".
13	Verify the history for the selected checklist items have been recorded by clicking the ▶ Icon.	The system displays the history of the checklist item.
14	End of Process	

Regional Office – Submit Environmental Checklist Items

Step	Description	Result
1	Log into the NYSE-CON through Public Authenticated my.ny.gov as an **Applicant**.	The system displays the NY.gov Login Page.
2	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the "**General Information**" page.
3	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" Page.
4	Click the "**Environmental Checklist**" tab.	The system displays the "**Regional Office Environmental Checklist**" page.

Step	Description	Result
5	Verify the Environmental Checklist listed are as per requirement.	The system displays the Environmental Checklist as per requirement.
6	Click the “**Upload**” button on any of the checklist items.	The system displays the “**Add Checklist Attachment**” page.
7	Locate the attachment document and click the “**Add Attachment**” button.	The system displays the “**Regional Office Environmental Checklist**” page.
8	Verify the document attachment associated with the checklist item is present and verify the “**Delete**” option is available for the attachment.	The system displays the attachment that was just added and provide the option to delete the attachment.
9	Repeat step 7 to 9 to upload several more checklist items.	The system allows the user to upload the checklist items.
10	Set a checklist status to “**N/A”** and enter “**Comments”.** Note: Select a checklist item that has not been attached with a document.	The system allows the user to set a checklist status to “**N/A**” and enter a comment.
11	Click the “**Submit**” button.	The system displays the “**Regional Office Confirm Submission of Documents**” page.
12	Click the “**Confirm**” button.	The system displays the “**Regional Office Environmental Checklist**” page.
13	Verify the “**Date Submitted**” is displaying the current date on the checklist items that received any updates.	The system displays the “**Date Submitted**” for the checklist items.
14	Log into the NYSE-CON as an **Assigned Regional Office Reviewer**.	The system displays the NYSE-CON “**Welcome**” page.
15	From the “**NYSE-CON**” home page, select the following Quick link: "**Find a Project**".	The system displays the "**Project Search**" page.
16	Search for the same project from the **step 5**. Click on the "**Search**" button.	The system displays the entered Project in "**Project Search Results**" page.
17	Click on the "**View Selected Result(s)**" button.	The system displays "**General Information**" page.
18	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" Page.
19	Click the “**Environmental Checklist**” tab.	The system displays the “**Regional Office Environmental Checklist**” page.
20	Verify the Applicant Checklist submissions are available.	The system displays the submitted checklist items made by the applicant.

Step	Description	Result
21	End of Process	

Regional Office – Submit CAPs

Step	Description	Expected Result
1	Login into the NYSE-CON via HCS as an **Applicant**.	The system displays the NYSE-CON "**Welcome**" page.
2	From the home page, select the following quick link: "**Find a Project".**	The system displays the "**Project Search"** page.
3	Search for a project by Submission #. Click on the "**Search**" button or select "Enter".	The system displays the entered Project in "**Project Search Results**" page.
4	Click on the "**View Selected Result(s)**" button.	The system displays "**General Information**" page.
5	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" Page.
6	Click the "**Environmental F&C**" tab.	The system displays the "**Regional Office Environmental Findings**" page.
7	Click the "**CAP/Ext. Request**" button associated with the finding.	The system displays the "**Regional Office Add Corrective Action Plan**" page.
8	Enter a description in the "**Description**" field.	The system allows the user to enter a description.
9	Click the "**Add Attachment**" button.	The system displays the "**Regional Office Add CAP Attachment**" page.
10	Select "**Environmental Finding and CAP**" from the "**Document Type**" dropdown menu. Enter a description in the "**Description**" field.	The system allows the user to select a "**Document Type**" and enter a "**Description**".

Step	Description	Expected Result
11	Navigate through the local drive to attach a document and click on the "**Add Attachment**" button.	The system allows the user to add an attachment and displays the "**Regional Office Add Corrective Action Plan**"
12	Verify that the newly attached document is available in the attachment section with the option to delete the attachment.	The system displays the newly attached document in the attachment section with the option to delete the attachment.
13	Click the "**Save**" button.	The system displays the "**Regional Office Environmental Findings**" page.
14	Verify the Finding has a CAP associated with it that the user just saved. Verify the delete option is available for the Finding CAP.	The system displays the CAP for the finding with the delete option for the CAP.
15	Click the "**CAP/Ext. Request**" button associated with a finding.	The system displays the "**Regional Office Add Corrective Action Plan**" page.
16	Select "**Extension**" radio button for the "**CAP Type**".	The system allows the user to select "**Extension**" as the "**CAP Type**".
17	Enter a future date in the "**Extension Date**" field.	The system allows a future date in the "**Extension Date**" field.
18	Enter a description in the "**Description**" field.	The system allows the user to enter a description in the "**Description**" field.
19	Click the "**Request Extension**" button.	The system displays the "Regional Office Environmental Findings" page.
20	Verify the CAP Extension associated with the finding is available with the option to delete the CAP extension.	The system displays the requested CAP extension for the finding.

Step	Description	Expected Result
21	Click the “**Submit**” button.	The system submits the CAP, CAP extension and the finding comment.
22	End of Process	

Regional Office – Submit CAPs through my.ny.gov

Step	Description	Expected Result
1	Log into the NYSE-CON through my.ny.gov portal as an **Applicant**.	The system should display the NY.gov Login Page.
2	Search for a project by Submission #. Click on the "**Search**" button or select “Enter”.	The system displays the entered Project in " **General Information**" page.
3	Click on the "**Regional Office**" Tab.	The system displays Regional Office "**General Information**" Page.
4	Click the “**Environmental F&C**” tab.	The system displays the “**Regional Office Environmental Findings**” page.
5	Click the “**CAP/Ext. Request**” button, associated with the submitted finding.	The system displays the “**Regional Office Add Corrective Action Plan**” page.
6	Enter a description in the “**Description**” field.	The system should allow the user to enter a description.
7	Click the “**Add Attachment**” button.	The system displays the “**Regional Office Add CAP Attachment**” page.
8	Select a “**Document Type**” from the dropdown menu. Enter a description in the “**Description**” field.	The system allows the user to select a “**Document Type**” and enter a “**Description**”.

Step	Description	Expected Result
9	Navigate through the local drive to attach a document and click on the “**Add Attachment**” button.	The system allows the user to add an attachment and displays the “**Regional Office Add Corrective Action Plan**”
10	Verify that the newly attached document is available in the attachment section with the option to delete the attachment.	The system displays the newly attached document in the attachment section with the option to delete the attachment.
11	Click the “**Save**” button.	The system displays the “**Regional Office Environmental Findings**” page.
12	Verify that the Finding has a CAP associated with it. Verify the delete option is available for the CAP that was just saved.	The system displays the CAP with the option to delete.
13	Click the “**CAP/Ext. Request**” button associated with a finding that does not have any CAP yet.	The system displays the “**Regional Office Add Corrective Action Plan**” page.
14	Select “**Extension**” radio button for the “**CAP Type**”.	The system allows the user to select “**Extension**” as the “**CAP Type**”.
15	Enter an extension date 20 days from today’s date in the “**Extension Date**” field.	The system will allow any future date in the “**Extension Date**” field.
16	Enter a description in the “**Description**” field.	The system allows the user to enter a description in the “**Description**” field.
17	Click the “**Request Extension**” button.	The system displays the “Regional Office Environmental Findings” page.
18	Verify the CAP Extension is available with the option to delete the CAP extension.	The system displays the CAP extension for the finding.

19	Enter a comment in the “**Comment**” section associated with any finding.	The system allows the user to enter a comment for the finding.
20	Click the “**Submit**” button.	The system executes the CAP, CAP extension and the finding comment.
21	Verify the following: • The CAP Status is “**Submitted**” • The CAP extension status is “**Ext. Submitted**” • The finding’s comment is present.	The system should display the following: • The CAP Status is “**Submitted**” • The CAP extension status is “**Ext. Submitted**” • Finding(s) with comment.
22	End of Process	

This document is provided only as a guide. Please direct specific questions to our Shared Mailbox: acfcon@health.ny.gov.

For error messages and other errors within NYSECON, please include screen shots and other defining information.

The Bureau of Adult Care Facility Licensure and Certification can also be contacted by calling 518-408-1624.