

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

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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

My Projects

Results are listed by CON Project Number and Facility Name, in ascending order. To sort by another column, select the column in the 'Sort By' drop down list and click submit. To view the facility address, click on the Show Address link. To view project details, click on the CON project number or the facility name.

Sort By: Show Project Address

CON Project Number	Facility Name	Project Description	Review Level	Submission Type	Status	County
162150	Z Test Hospital		Full	Full Review - Establishment - Change in Ownership/Merger/Consolidation	Told To Contact Area Office	ORANGE

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.

New York State
NYSE-CON
Electronic Certificate of Need

Projects Administration Query

Welcome To The Electronic Certificate of Need System

Use this site to find information about pending and closed submissions to establish and/or construct health care facilities and/or submit or update CON applications and other submissions on behalf of a facility or home care agency, you may also use this site

Please note that much of the information contained within NYSE-CON is provided by applicants, and much of it is historic information made to provide accurate, current, and reliable information, the Department of Health recognizes the possibility of human and/or becomes obsolete. Therefore, the Department of Health, its employees, officers and agents make no representation, warranty or the information provided here.

Try These Quick Links To Get Started:

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 – Establishment 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

Instructions

We will need to get a starting point for your submission, in order that we may ask you more specific questions later.

New Facility/Agency is to apply to establish and/or construct a new facility, agency, program or hospice.

Change in Ownership/Operator of Existing Facility/Agency is to apply to change or transfer ownership of a facility, agency, program or hospice.

Other Changes to Existing Facility/Agency is for submissions, including but not limited to, renovating existing facilities/agencies, adding or deleting services, modifying service area, and construction notices.

To cancel this application submission without saving, click [here](#).

What type of submission would you like to create? (Select one)

 New Facility/Agency

Changes in Ownership/Operator of Existing Facility/Agency

Other Changes to Existing Facility/Agency

Create New Submission – Facility/Agency Type Selection

Create New Submission - Facility/Agency Type Selection

Instructions

You have selected **New Facility/Agency**.

Choose one facility or agency type and select Continue to proceed.

To cancel this application submission without saving, click [here](#).

*Select Facility or Agency Type:

-  Adult Home
- Certified Home Health Agency
- Diagnostic and Treatment Center
-  Enriched Housing Program
- Hospice
- Hospital
- Licensed Home Care Services Agency
- Long Term Home Health Care Program
- Residential Health Care Facility

Continue

* Fields marked with an asterisk (*) are required for saving information from this screen.

Create New Submission – Select Submission Type

Create New Submission - Select Submission Type

Instructions

You have selected **New Facility/Agency** with a facility type of **Adult Home**.

Select one submission type and select Continue to proceed.

To cancel this application submission without saving, click [here](#).

Current Selection: None

*Select Submission Type:

- Establish a New ACF
- Establish a New ACF With ALR
- Establish an ALP After Receipt of DOH Award

Continue

* Fields marked with an asterisk (*) are required for saving information from this screen.

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:
County: ALBANY
Facility Type: Adult Home
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

My NYSE-CON Tool Bar

Create New Submission

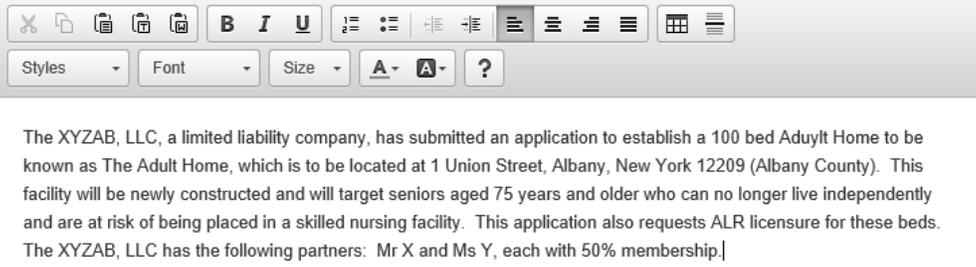
Selected Projects

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.  <i>Figure 1.1: Available tabs</i>
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.  <i>Figure 1.2: Executive Summary text box</i>
3	When finished, click the Save button at the bottom of the form.

Executive Summary

[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 Executive Summary](#)

[Instructions](#)

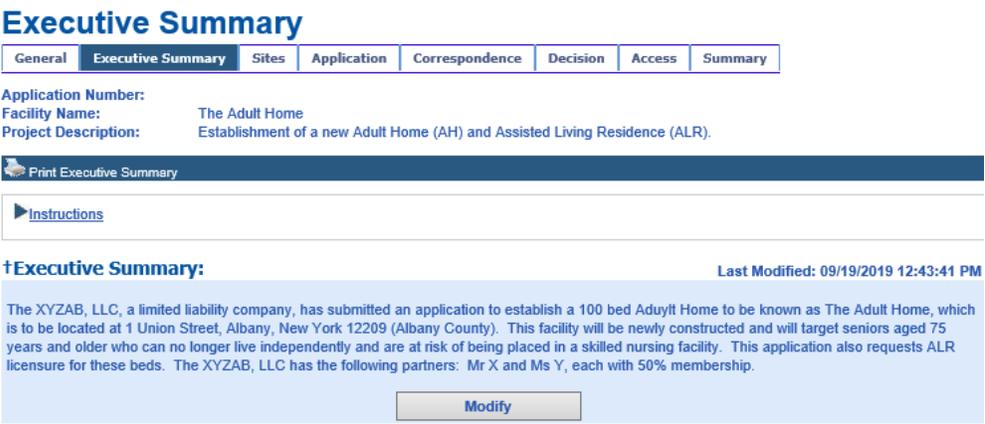
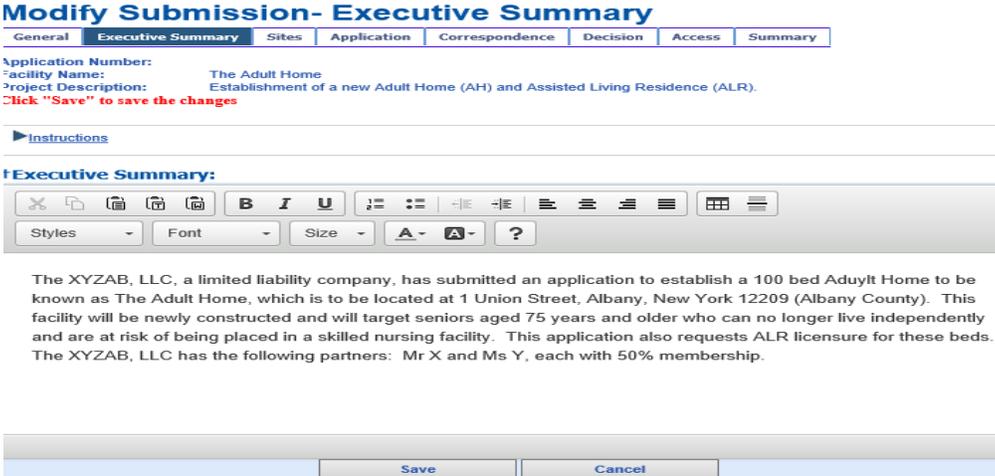
†Executive Summary: Last Modified: 07/03/2019 11:07:06 AM

The XYZAB, LLC, a limited liability company, has submitted an application to establish a 100 bed Adult Home to be known as The Adult Home, which is to be located at 1 Union Street, Albany, New York 12209 (Albany County). This facility will be newly constructed and will target seniors aged 75 years and older who can no longer live independently and are at risk of being placed in a skilled nursing facility. This application also requests ALR licensure for these beds. The XYZAB, LLC has the following members: Mr. X and Ms. Y, each with 50% membership.

[Modify](#)

Figure 2: Sample Completed Executive Summary screen

Modify Submission - Executive Summary

Step	Action
1	<p>Select Modify button below the text box.</p>  <p><i>Figure 3.1: Modification screen</i></p>
2	<p>Edit the Summary.</p>  <p><i>Figure 3.2: Screen with Save button.</i></p>
3	<p>Select the Save button.</p>

Create New Submission – Sites

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

Create New Submission - Sites

General	Executive Summary	Sites	Application	Correspondence	Decision	Access	Sun
---------	-------------------	--------------	-------------	----------------	----------	--------	-----

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

Print Sites View

Instructions
Select the site associated with this project from the dropdown.
To add a site, select the location from the list and click Add.

Project Sites Information

Make a Selection	Add
The Adult Home (NEW)	

Create New Submission – Certify New Site

Enter a brief proposal summary and select Continue.

Create New Submission - Certify New Site

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 Continue to enter beds for this location. Click Cancel to return to the previous screen without saving.
This site will NOT be saved until you have entered ALL of the site information including Beds.

Certify New Site

Facility ID:	NEW
Site Type:	Adult Home
*Site Name:	<input type="text" value="The Adult Home"/>
*Street 1:	<input type="text" value="1 Union Street"/>
Street 2:	<input type="text"/>
*City:	<input type="text" value="Albany"/>
State:	<input type="text" value="NY"/>
*ZipCode:	<input type="text" value="12209"/>
*County:	<input type="text" value="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:

Create New Submission – Add Beds

Create New Submission - Add Beds

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)

Site 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 table below, enter the number of beds you wish to add at this site and click Save. 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)		100		
Assisted Living Program (ALP)				
Assisted Living Residence (ALR)		100		
Enhanced Assisted Living Residence (EALR)				
Special Needs Assisted Living Residence (SNALR)				

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.

The following schedules are required: ACF Schedule 1,ACF Schedule 2,ACF Schedule 3,ACF Schedule 4,ACF Schedule 5
No Documents are associated with this project.

Application

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

Application Number:
 Facility Name:
 Project Description:

Print Application View

Submitted By:
 Submitted Date:

Document Type	Filename	Description	Document	Date
Add Document to Submission		Expand All		

** DOH cannot guarantee that documents that have been uploaded to NYSE-CON are virus free. Before documents are opened, the user should ensure that their anti-virus software is operating and is up-to-date with the latest anti-virus signature files.

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.

- 3 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.

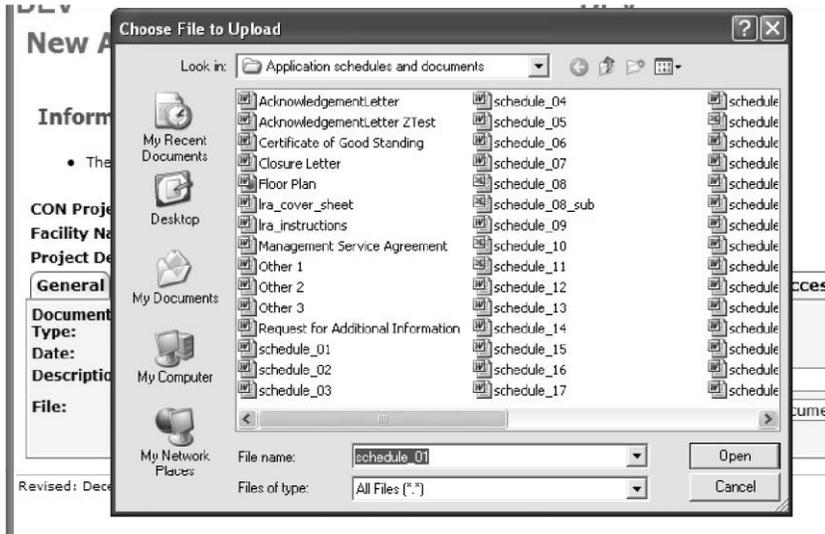


Figure 6: Sample Browse window

- 4 Select the document and then the Open button.
- 5 Select Add Document to Submission button. Repeat steps until all required schedules are uploaded. Figure 6.2

New Application Document

General	Executive Summary	Sites	Application	Correspondence	Decision	Access	Summary
<p>Application Number: <input type="text"/></p> <p>Facility Name: <input type="text"/></p> <p>Project Description: <input type="text"/></p> <p>Document Type: <input type="text" value="ACF Schedule 2"/></p> <p>Date: <input type="text" value="09/19/2019"/></p> <p>Description: <input type="text" value="Schedule 2 Personal Qualifying Information"/></p> <p>A unique description is required for this document.</p> <p>File: <input type="text" value="C:\..."/></p> <p><input type="button" value="Add Document to Submission"/> <input type="button" value="Cancel"/></p>							

Figure 6.2

Update Application Documents

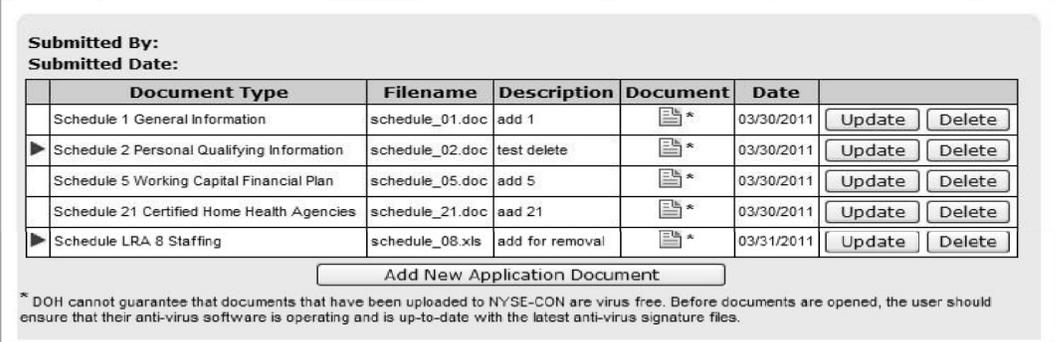
Step	Action																																				
1	Select the Application tab. Result: Application page contains all Application documents and any items added through the Correspondence tab.																																				
2	Select Update button next to the document you want to update.  <p>Application Documents</p> <p>CON Project Number: Facility Name: 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 1234567890</p> <p>Project Description:</p> <p>General Executive Summary Application Correspondence Sites Decision Contingencies >></p> <p>Submitted By: Submitted Date:</p> <table border="1"> <thead> <tr> <th>Document Type</th> <th>Filename</th> <th>Description</th> <th>Document</th> <th>Date</th> <th></th> </tr> </thead> <tbody> <tr> <td>Schedule 1 General Information</td> <td>schedule_01.doc</td> <td>add 1</td> <td>*</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule 2 Personal Qualifying Information</td> <td>schedule_02.doc</td> <td>test delete</td> <td>*</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule 5 Working Capital Financial Plan</td> <td>schedule_05.doc</td> <td>add 5</td> <td>*</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule 21 Certified Home Health Agencies</td> <td>schedule_21.doc</td> <td>aad 21</td> <td>*</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule LRA 8 Staffing</td> <td>schedule_08.xls</td> <td>add for removal</td> <td>*</td> <td>03/31/2011</td> <td>Update Delete</td> </tr> </tbody> </table> <p>Add New Application Document</p> <p>* DOH cannot guarantee that documents that have been uploaded to NYSE-CON are virus free. Before documents are opened, the user should ensure that their anti-virus software is operating and is up-to-date with the latest anti-virus signature files.</p> <p>Public access to NYSE-CON is intended solely to allow the public convenient and immediate access to public information. Much of the information contained within NYSE-CON is provided by applicants, and much of it is historic information that may no longer be accurate or complete. While all attempts are made to provide accurate, current, and reliable information, the Department of Health recognizes the possibility of human and/or mechanical error and that information captured at a point in time often becomes obsolete. Therefore, the Department of Health, its employees, officers and agents make no representation, warranty or guarantee as to the accuracy, completeness, currency, or suitability of the information provided here.</p>	Document Type	Filename	Description	Document	Date		Schedule 1 General Information	schedule_01.doc	add 1	*	03/30/2011	Update Delete	Schedule 2 Personal Qualifying Information	schedule_02.doc	test delete	*	03/30/2011	Update Delete	Schedule 5 Working Capital Financial Plan	schedule_05.doc	add 5	*	03/30/2011	Update Delete	Schedule 21 Certified Home Health Agencies	schedule_21.doc	aad 21	*	03/30/2011	Update Delete	Schedule LRA 8 Staffing	schedule_08.xls	add for removal	*	03/31/2011	Update Delete
Document Type	Filename	Description	Document	Date																																	
Schedule 1 General Information	schedule_01.doc	add 1	*	03/30/2011	Update Delete																																
Schedule 2 Personal Qualifying Information	schedule_02.doc	test delete	*	03/30/2011	Update Delete																																
Schedule 5 Working Capital Financial Plan	schedule_05.doc	add 5	*	03/30/2011	Update Delete																																
Schedule 21 Certified Home Health Agencies	schedule_21.doc	aad 21	*	03/30/2011	Update Delete																																
Schedule LRA 8 Staffing	schedule_08.xls	add for removal	*	03/31/2011	Update Delete																																
3	Enter a description.																																				
4	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.																																				
5	Select Update Document button.																																				

Figure 7.1: Sample Application Document screen

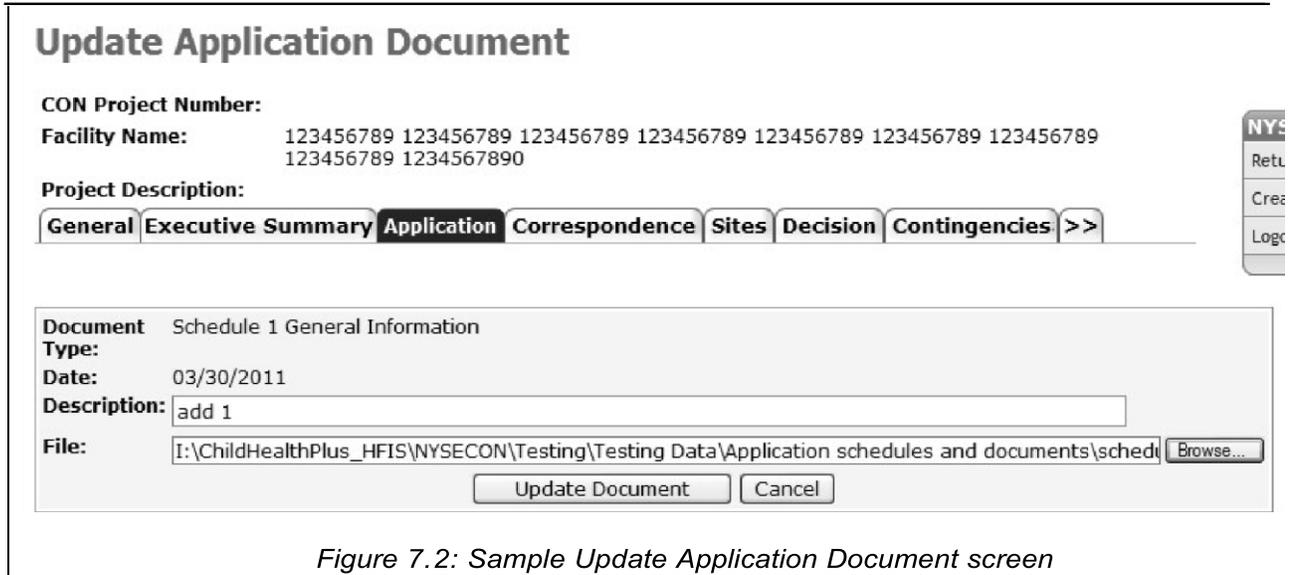


Figure 7.2: Sample Update Application Document screen

Confirm Submission

Step	Action
1	Select the General Information tab.
2	<p>Select the Submit button. Note: only when all required application documents have been added to the project, will you be allowed to proceed.</p> <p>Result: The Confirmation screen appears. Figure 8.1.</p> <div data-bbox="516 1339 1378 1507" style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Confirm Submission</p> <p><small>By pressing Confirm, I hereby certify under penalty of perjury that I am duly authorized to subscribe and submit this application and that the information contained herein and attached hereto is accurate, true, and complete in all material aspects. I understand that my identifying user information and the date and time of this submission will be recorded for future reference. Additionally, please confirm that the email address of the project contact is pxp07@health.state.ny.us. This email address will be used for all project correspondence.</small></p> <p style="text-align: center;"> <input type="button" value="Confirm"/> <input type="button" value="Cancel"/> </p> </div> <p>Figure 8.1: Sample Application Submission screen</p>
3	<p>Select the Confirm button. Figure 8.2</p> <p>Result: The Application now has a CON Project #, an email notification has been sent to PMU and the Applicant. Figure 8.3</p>

Confirm Submission

By pressing Confirm, I hereby certify under penalty of perjury that I am duly authorized to subscribe and submit this and that the information contained herein and attached hereto is accurate, true, and complete in all material aspects. I understand that my identifying user information and the date and time of this submission will be recorded for future reference. Additionally, please confirm that the email address of the project contact is nancy.nowakowski@health.ny.gov. This email address will be used for all project correspondence.

Figure 8.2

NYSE-CON and the New York State Department of Health have received your submission. A notification of receipt will be sent to the contact email address that you have provided. If the contact has not received the confirmation email within the next 24 hours please send an email to nysecon@health.ny.gov to report the problem.

General Information

Application Number: 190057

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 <i>Create New Submission – Facility/Agency Search</i> screen appears (Figure 9.2).

Create New Submission

Instructions

We will need to get a starting point for your submission, in order that we may ask you more specific questions later.

New Facility/Agency is to apply to establish and/or construct a new facility, agency, program or hospice.

Change in Ownership/Operator of Existing Facility/Agency is to apply to change or transfer ownership of a facility, agency, program or hospice.

Other Changes to Existing Facility/Agency is for submissions, including but not limited to, renovating existing facilities/agencies, adding or deleting services, modifying service area, and construction notices.

To cancel this application submission without saving, click [here](#).

What type of submission would you like to create? (Select one)

New Facility/Agency

Changes in Ownership/Operator of Existing Facility/Agency

Other Changes to Existing Facility/Agency

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

Create New Submission - Facility/Agency Search

Instructions

You have selected **Changes in Ownership/Operator of Existing Facility/Agency**.

Enter either the exact Facility ID or the exact Operating Certificate/License Number, or a combination of Facility Type and Facility/Agency Name.

Partial Facility or Agency Name may be entered.

To cancel this application submission without saving, click [here](#).

Facility Type:

Facility/Agency Name:

Facility ID:

Operating Certificate/License #:

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 - Facility/Agency Search Results

Instructions

You have selected Changes in Ownership/Operator of Existing Facility/Agency.

Select the facility/agency for this submission.

To cancel this application submission without saving, click [here](#).

Select the facility name

SEARCH CRITERIA	DISPLAY RESULT PREFERENCES	RESULTS TOOLBOX
Facility ID: _____ License/OpCert #: _____ Facility/Agency Name: Brookdale	Per Page: <input checked="" type="radio"/> Display 25 <input type="radio"/> Display 50 <input type="radio"/> Display 100 <input type="radio"/> Display All Address: <input type="radio"/> Show Project Address <input checked="" type="radio"/> Don't Show Project Address	<input type="button" value="Continue With Selected"/>
<input type="button" value="Print Search Results"/> <input type="button" value="Perform New Search"/>		

18 results found, displaying all results.

Facility Type	Facility Name	Facility ID	OpCert #	Operator
<input checked="" type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.
<input type="radio"/> Adult Home	Brookdale Grand Road	4000001	100-0-000	FacilityLink, Inc.

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).

Create New Submission - Select Submission Type

Instructions
You have selected **Changes in Ownership/Operator of Existing Facility/Agency** for facility **Alpine Manor (AF0441A)**.
Select one submission type and select Continue to proceed.
To cancel this application submission without saving, click [here](#).

Current Selection: None

***Select Submission Type:**

- Change of Operator of an Existing ACF
- Limited Change of Ownership Interest
- Transfer of 10% or More Ownership Interest

* Fields marked with an asterisk (*) are required for saving information from this screen.

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.

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)

New York State Electronic Certificate of Need (NYSE-CON)

Proposed Operator	
Same as Current Operator? <input type="checkbox"/>	
†Name:	<input type="text"/>
†Street 1:	<input type="text"/>
Street 2:	<input type="text"/>
†City:	<input type="text"/>
†State:	<input type="text" value="v"/>
†Zip Code:	<input type="text"/>
†County:	<input type="text" value="v"/>
Contact Information	
†Title:	<input type="text"/>
†First Name:	<input type="text"/>
†Last Name:	<input type="text"/>
†User ID:	<input type="text"/>
†Account Type:	<input type="radio"/> NY.gov ID <input type="radio"/> HCS ID
†Email:	<input type="text"/>
†Phone:	<input type="text"/>
Fax:	<input type="text"/>
†Street 1:	<input type="text"/>
Street 2:	<input type="text"/>
†City:	<input type="text"/>
†State:	<input type="text" value="v"/>
†Zip Code:	<input type="text"/>
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:	<input type="text"/>
†Last Name:	<input type="text"/>
†Email:	<input type="text"/>
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:	<input type="text"/>
<input type="button" value="Save"/>	

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:

County:

Current Operator:

Proposed Operator:

Facility ID:

Facility Type: Adult Home

Region:

Operating Certificate Number:

Current Operator County:

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:

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.**

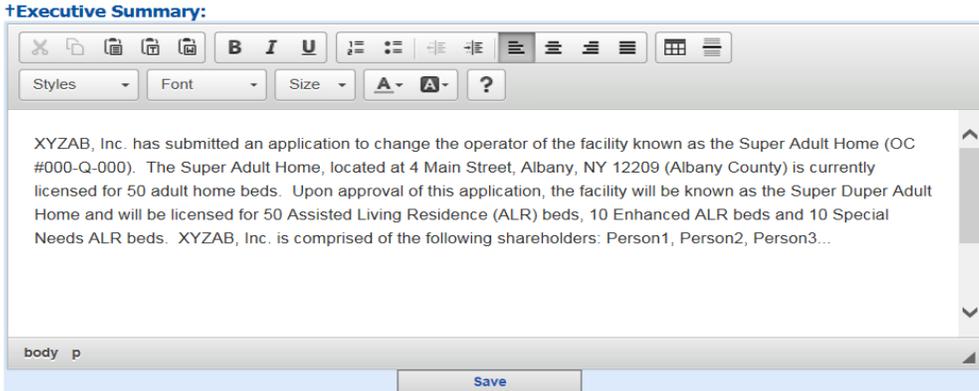
General Information

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.  <p>Figure 13.1: Available tabs</p>
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.  <p>Figure 13.2: Executive Summary text box</p>

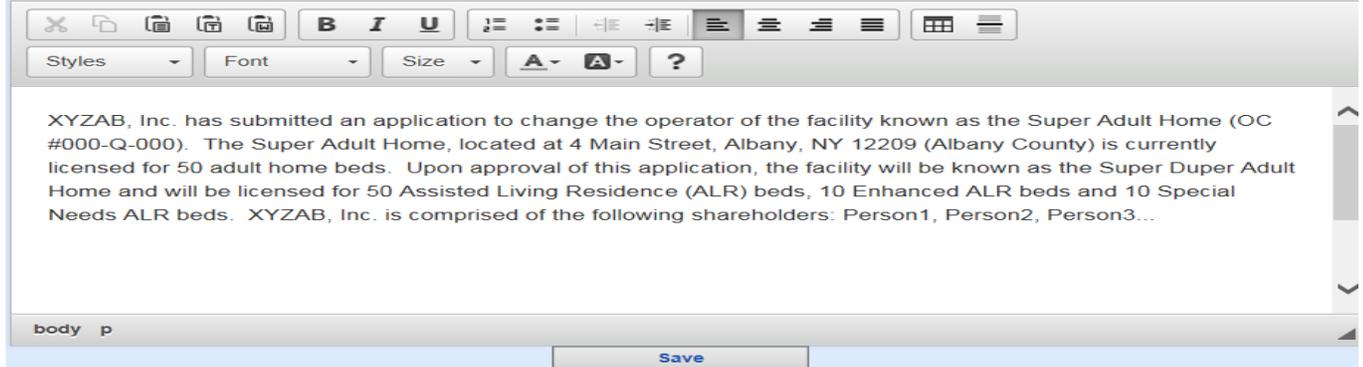
New Submission-Executive Summary

[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
 Click "Save" to save the changes

[▶ Instructions](#)

+Executive Summary:

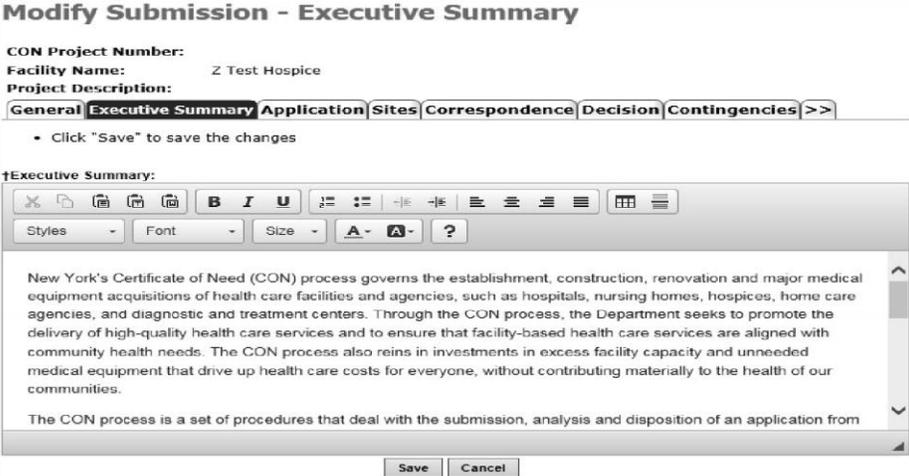


body p

Save

Figure 13.3: Sample Executive Summary screen

Modify Submission - Executive Summary

Step	Action
1	Select the Executive Summary tab.
2	<p>Select Modify button below the text box.</p>  <p><i>Figure 14.1: Modification screen after submitting</i></p>
3	<p>Edit the Summary.</p>  <p><i>Figure 14.2: Screen with Save button.</i></p>
4	<p>Select the "Save" button.</p> 

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”.

Create New Submission - Sites

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

Application Number: [Field]
Facility Name: [Field]
Project Description: [Field]

Print Sites View

Instructions
Select the site associated with this project from the dropdown.
To add a site, select the location from the list and click Add.

Project Sites Information

Make a Selection
The Adult Home (NEW) [Add]

Create New Submission - Sites

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

Application Number: [Field]
Facility Name: [Field]
Project Description: This is an example of a change of operator application

Instructions
Click Continue to add this site to the project. Click Cancel to return to the Project Sites screen without saving.

Site Information

Facility ID: [Field]
Site Type: [Field]
Site Name: [Field]
Physical Address: [Field]
County: [Field]

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:**

This will be specific to the adult care facility shown above.

[Continue] [Cancel]

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

Create New Submission - Beds 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

Site Information

Facility ID:
 Site Type:
 Site Name:
 Physical Address:
 County:

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			
Assisted Living Program (ALP)				
Assisted Living Residence (ALR)				
Enhanced Assisted Living Residence (EALR)				
Special Needs Assisted Living Residence (SNALR)				

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	<input type="text"/>	<input type="text"/>	
Assisted Living Program (ALP)		<input type="text"/>		
Assisted Living Residence (ALR)		<input type="text"/>		
Enhanced Assisted Living Residence (EALR)		<input type="text"/>		
Special Needs Assisted Living Residence (SNALR)		<input type="text"/>		

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

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.

The following schedules are required: ACF Schedule 1,ACF Schedule 2,ACF Schedule 3,ACF Schedule 4,ACF Schedule 5
No Documents are associated with this project.

Application

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

[Print Application View](#)

Submitted By:
Submitted Date:

Document Type	Filename	Description	Document	Date
Add Document to Submission		Expand All		

** DOH cannot guarantee that documents that have been uploaded to NYSE-CON are virus free. Before documents are opened, the user should ensure that their anti-virus software is operating and is up-to-date with the latest anti-virus signature files.

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.

New Application Document

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

Application Number:
Facility Name:
Project Description:

Document Type:
Date:
Description:
File:

A unique description is required for this document.

[Add Document to Submission](#) [Cancel](#)

Figure 16.2: Sample “Application – Add Documents” screen

Confirm Submission

Step	Action
1	Select the General Information tab.
2	<p>Select the Submit button. Note only when all required application documents have been added to the project will you be allowed to proceed.</p> <p>Result: The Confirmation screen appears. Figure 17.</p> <div data-bbox="500 835 1365 1010" style="border: 1px solid black; padding: 5px;"> <p>Confirm Submission</p> <p>By pressing Confirm, I hereby certify under penalty of perjury that I am duly authorized to subscribe and submit this application and that the information contained herein and attached hereto is accurate, true, and complete in all material aspects. I understand that my identifying user information and the date and time of this submission will be recorded for future reference. Additionally, please confirm that the email address of the project contact is pxp07@health.state.ny.us. This email address will be used for all project correspondence.</p> <p style="text-align: right;"> <input type="button" value="Confirm"/> <input type="button" value="Cancel"/> </p> </div> <p><i>Figure 17: Sample Application Submission screen</i></p>
3	<p>Select the Confirm button.</p> <p>Result: The Application now has a CON Project #, and an email notification has been sent to PMU and the Applicant.</p>

APPENDIX I - Update Application Documents

Step	Action																																				
1	Select the Application tab. Result: Application page contains all Application documents and any items added through the Correspondence tab.																																				
2	Select Update button next to the document you want to update. <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <p style="text-align: center;">Application Documents</p> <p>CON Project Number:</p> <p>Facility Name: 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 1234567890</p> <p>Project Description:</p> <p>General Executive Summary Application Correspondence Sites Decision Contingencies >></p> <hr/> <p>Submitted By:</p> <p>Submitted Date:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Document Type</th> <th>Filename</th> <th>Description</th> <th>Document</th> <th>Date</th> <th></th> </tr> </thead> <tbody> <tr> <td>Schedule 1 General Information</td> <td>schedule_01.doc</td> <td>add 1</td> <td>*</td> <td>03/30/2011</td> <td style="text-align: right;">Update Delete</td> </tr> <tr> <td>▶ Schedule 2 Personal Qualifying Information</td> <td>schedule_02.doc</td> <td>test delete</td> <td>*</td> <td>03/30/2011</td> <td style="text-align: right;">Update Delete</td> </tr> <tr> <td>Schedule 5 Working Capital Financial Plan</td> <td>schedule_05.doc</td> <td>add 5</td> <td>*</td> <td>03/30/2011</td> <td style="text-align: right;">Update Delete</td> </tr> <tr> <td>Schedule 21 Certified Home Health Agencies</td> <td>schedule_21.doc</td> <td>aad 21</td> <td>*</td> <td>03/30/2011</td> <td style="text-align: right;">Update Delete</td> </tr> <tr> <td>▶ Schedule LRA 8 Staffing</td> <td>schedule_08.xls</td> <td>add for removal</td> <td>*</td> <td>03/31/2011</td> <td style="text-align: right;">Update Delete</td> </tr> </tbody> </table> <p style="text-align: center; margin-top: 5px;"><input type="button" value="Add New Application Document"/></p> <p style="font-size: small; margin-top: 5px;">* DOH cannot guarantee that documents that have been uploaded to NYSE-CON are virus free. Before documents are opened, the user should ensure that their anti-virus software is operating and is up-to-date with the latest anti-virus signature files.</p> </div> <p style="font-style: italic; margin-top: 10px;">Figure 1.1: Sample Application Document screen</p>	Document Type	Filename	Description	Document	Date		Schedule 1 General Information	schedule_01.doc	add 1	*	03/30/2011	Update Delete	▶ Schedule 2 Personal Qualifying Information	schedule_02.doc	test delete	*	03/30/2011	Update Delete	Schedule 5 Working Capital Financial Plan	schedule_05.doc	add 5	*	03/30/2011	Update Delete	Schedule 21 Certified Home Health Agencies	schedule_21.doc	aad 21	*	03/30/2011	Update Delete	▶ Schedule LRA 8 Staffing	schedule_08.xls	add for removal	*	03/31/2011	Update Delete
Document Type	Filename	Description	Document	Date																																	
Schedule 1 General Information	schedule_01.doc	add 1	*	03/30/2011	Update Delete																																
▶ Schedule 2 Personal Qualifying Information	schedule_02.doc	test delete	*	03/30/2011	Update Delete																																
Schedule 5 Working Capital Financial Plan	schedule_05.doc	add 5	*	03/30/2011	Update Delete																																
Schedule 21 Certified Home Health Agencies	schedule_21.doc	aad 21	*	03/30/2011	Update Delete																																
▶ Schedule LRA 8 Staffing	schedule_08.xls	add for removal	*	03/31/2011	Update Delete																																
3	Enter a description.																																				
4	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.																																				
5	Select Update Document button. Figure 1.2.																																				

Update Application Document

CON Project Number:

Facility Name: 123456789 123456789 123456789 123456789 123456789 123456789 123456789
123456789 1234567890

Project Description:

General Executive Summary **Application** Correspondence Sites Decision Contingencies >>

NYSE
Retu
Crea
Logc

Document Type:	Schedule 1 General Information
Date:	03/30/2011
Description:	<input type="text" value="add 1"/>
File:	<input type="text" value="I:\ChildHealthPlus_HFIS\NYSECON\Testing\Testing Data\Application schedules and documents\sched"/> <input type="button" value="Browse..."/>
<input type="button" value="Update Document"/> <input type="button" value="Cancel"/>	

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. <i>Figure 1.1.</i>

Modify Submission

*Submission Type: Application - Change of Operator of an Existing ACF

*Submission Description:

A brief description of this submission.

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:

Contact Information

*Title:
 *First Name:
 *Last Name:
 *User ID:
 *Account Type:
 *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:

* Fields marked with an asterisk (*) are required for saving information from this screen.

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.

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.



Figure 1.2

APPENDIX III - Delete Application Document

Step	Action																																				
1	<p>Select the Application tab. Result: Application page contain all Application documents and any item added through the Correspondence tab.</p>																																				
2	<p>Select Delete button next to the document you want to delete.</p> <p>Application Documents</p> <p>CON Project Number: Facility Name: 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789 123456789</p> <p>Project Description:</p> <p>General Executive Summary Application Correspondence Sites Decision Contingencies >></p> <div style="border: 1px solid gray; padding: 5px;"> <p>Submitted By: Submitted Date:</p> <table border="1" data-bbox="305 898 1318 1073"> <thead> <tr> <th>Document Type</th> <th>Filename</th> <th>Description</th> <th>Document</th> <th>Date</th> <th></th> </tr> </thead> <tbody> <tr> <td>Schedule 1 General Information</td> <td>schedule_01.doc</td> <td>add 1</td> <td> *</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule 2 Personal Qualifying Information</td> <td>schedule_02.doc</td> <td>test delete</td> <td> *</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule 5 Working Capital Financial Plan</td> <td>schedule_05.doc</td> <td>add 5</td> <td> *</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule 21 Certified Home Health Agencies</td> <td>schedule_21.doc</td> <td>aad 21</td> <td> *</td> <td>03/30/2011</td> <td>Update Delete</td> </tr> <tr> <td>Schedule LRA 8 Staffing</td> <td>schedule_08.xls</td> <td>add for removal</td> <td> *</td> <td>03/31/2011</td> <td>Update Delete</td> </tr> </tbody> </table> <p style="text-align: center;">Add New Application Document</p> <p><small>* DOH cannot guarantee that documents that have been uploaded to NYSE-CON are virus free. Before documents are opened, the user should ensure that their anti-virus software is operating and is up-to-date with the latest anti-virus signature files.</small></p> </div> <p><small>Public access to NYSE-CON is intended solely to allow the public convenient and immediate access to public information. Much of the information contained within NYSE-CON is provided by applicants, and much of it is historic information that may no longer be accurate or complete. While all attempts are made to provide accurate, current, and reliable information, the Department of Health recognizes the possibility of human and/or mechanical error and that information captured at a point in time often becomes obsolete. Therefore, the Department of Health, its employees, officers and agents make no representation, warranty or guarantee as to the accuracy, completeness, currency, or suitability of the information provided here.</small></p>	Document Type	Filename	Description	Document	Date		Schedule 1 General Information	schedule_01.doc	add 1	*	03/30/2011	Update Delete	Schedule 2 Personal Qualifying Information	schedule_02.doc	test delete	*	03/30/2011	Update Delete	Schedule 5 Working Capital Financial Plan	schedule_05.doc	add 5	*	03/30/2011	Update Delete	Schedule 21 Certified Home Health Agencies	schedule_21.doc	aad 21	*	03/30/2011	Update Delete	Schedule LRA 8 Staffing	schedule_08.xls	add for removal	*	03/31/2011	Update Delete
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Schedule 5 Working Capital Financial Plan	schedule_05.doc	add 5	*	03/30/2011	Update Delete																																
Schedule 21 Certified Home Health Agencies	schedule_21.doc	aad 21	*	03/30/2011	Update Delete																																
Schedule LRA 8 Staffing	schedule_08.xls	add for removal	*	03/31/2011	Update Delete																																
3	<p>Select the Yes button. Figure 1.2. Note: the button will only be available until the application is submitted.</p>																																				

Figure 1.1: Sample Application Document screen

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. <i>Figure 1.</i>

Access

Application Number:
Facility Name: ██████████
Project Description: This is an example of a change of operator application
User ID:
Account Type: NY.gov ID HCS ID

User ID	Granted By	Granted Date	Revoke
DOH	Application Creator	07/01/2019 07:50 AM	Principal
tnan0304	Application Creator	07/01/2019 07:50 AM	<input type="button" value="Revoke Access"/>

User ID	Revoked By	Revoked Date	Granted By	Granted Date
---------	------------	--------------	------------	--------------

Figure 1: Sample "Grant / Revoke Access" screen

Confirm Document Deletion

CON Project Number:
Facility Name: T Test
Project Description:

>>

Document Type	Filename	Description	Date Uploaded	Uploaded By
Schedule 4 Ownership Transfers	schedule_05.doc	sch 5	04/18/2011 17:28:21 PM	tbi01

Select "Yes" to delete these documents. Select "No" to return without deleting.

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 redisplay. 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 redisplay 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: <ul style="list-style-type: none"> • Primary • Additional Contact Note: For the first contact only “Primary” option will be available.	The “Type” field displaying the following options: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • Primary • Additional Contact Note: For the first contact only “Primary” option will be available.	The “Type” field displaying the following options: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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.

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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.

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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: <ul style="list-style-type: none"> • The CAP Status is “Submitted” • The CAP extension status is “Ext. Submitted” • The finding’s comment is present. 	The system should display the following: <ul style="list-style-type: none"> • 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.