Department of Health Care Access and Information

e-Services Portal User Guide

Section 21

APPLICATION FOR SEISMIC COMPLIANCE PLAN

VERSION 1.1

Office of Statewide Hospital Planning and Development
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Contents

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1 Introduction

Welcome to HCAI Electronic Services Portal (eSP) User Guides

This guide details the step-by-step instructions for creating and submitting an application for Seismic Compliance Plan using the HCAI eServices Portal.

Prerequisites:

- You must have an active eSP user account to create and submit a Compliance Plan application. For instruction on creating an eSP user account, refer to user guide 2. Account Registration.
- In order to submit the application, you will need the Facility Authorization (PIN) number. For further information refer to user guide 3. Facility Authorization.
- After the application is submitted to HCAI, your eSP user account must be associated to the application in order to interact with it. To learn more, refer to user guide 4. Account Management, Association and Delegation.

Who to Contact:

- For eSP technical support, contact eserv@hcai.ca.gov or (916) 440-8400.
- For eSP User Registration and Account Management, contact eCA.AccessManager@hcai.ca.gov or call (916) 440-8400.
- For questions regarding Seismic Compliance Plan applications, contact SeismicComplianceUnit@hcai.ca.gov.

2 Application Overview

2.1 Page Flow

The steps to create and submit an application for Seismic Compliance Plan are detailed in this section. The table below lists the page flow steps.

Table 1: eSP Pageflow

Step No.	Step Title	Description
Seismic Compliance Plan		
1	Record Type	Enforcement → Create an Application → Compliance Enforcement Applications → Compliance Plan
2	Facility Information	Look up and select the facility from HCAI's facility database. eSP auto-populates the facility, address, and facility owner information.
3	Contacts	(Required) Enter the project Applicant and at least one Additional Contact. The applicant is the primary contact. Communication will be sent to all contact(s).
4	Professional	(Optional) Look up and select Licensed Professional(s) from the eSP database. Communication will be sent to all License Professional(s).

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5	Property Management Information	Enter information about the facility Property Owner and the Managing Organization/Licensee.
6	Compliance Method and Milestones	Enter a Compliance Method and Building Milestones for each hospital building. A Compliance Method is required for each building, and at least one Milestone is required per building (with a maximum of 10).
7	Supporting Documents	(Optional) Attach the supporting documents.
8	Facility Authorization	Enter a valid Facility PIN code.
9	Payment Options	Select one of the application fee payment options: "Pay Now" or "Invoice Me"
9	Review	Final review of the application; edits can still be made if necessary.
10	Confirmation	Application is submitted to HCAI and eSP issues a project ID number.

2.2   Basic Rules and Tips

Below are some basic rules for using the eServices Portal:

- ✓ When creating an application, follow the page flow to avoid errors or missed data.
- ✓ You must click the **Continue Application** button at the bottom of each page to save your entries and move to the next page.
- ✓ You can navigate back and forth between saved pages.
- ✓ If you must exit the application for any reason, click **Save and resume later** to save your application. A temporary project number will be created, and an email with the project number and creation date will be sent to the email address associated with your eSP User Account.
- ✓ Once a temporary project number is created, you will have 30 days to submit the application or it will be automatically deleted. Once deleted, temporary projects cannot be restored.
- ✓ To resume an application, select the **Enforcement** tab and find the project in your **Records** list. Click the temporary project number and **choose "Start from the Beginning"**.
- ✓ It is recommended that you click the **Save and resume later** button as needed to prevent data loss due to system time-out.
- ✓ If any required data is missing from a page, an error message will be displayed at the top of the page when you click the **Continue Application** button. You must correct any errors before continuing to the next page.

3   Creating an Application for Seismic Compliance Plan
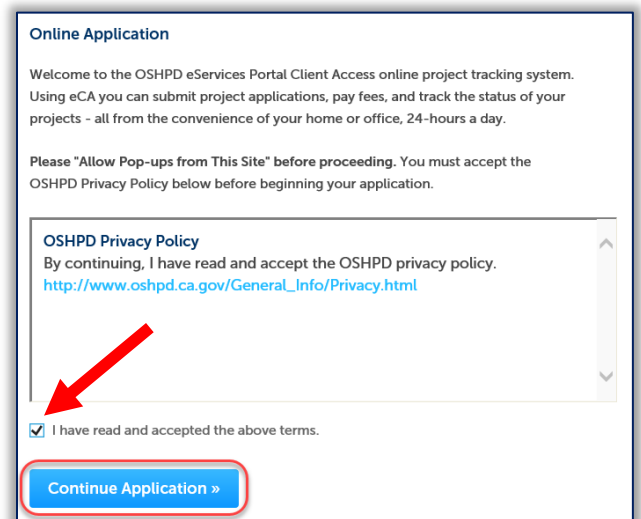
3.1   Creating an Application

The following information will guide you through the steps necessary to create the application.

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Navigate to the **Enforcement** tab and begin by clicking **Create an Application**.
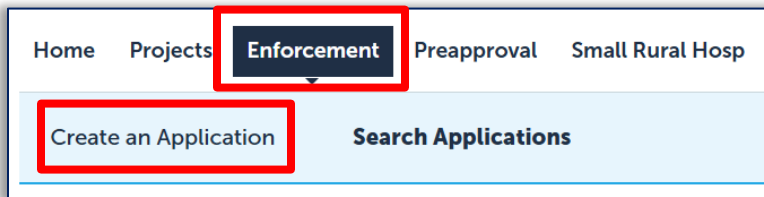
Accept HCAI Privacy Policy

Click on the link in the window to review the privacy policy. Check "*I have read and accepted the above terms*" then click the **Continue Application** button.

Delegation

If you have been delegated permissions, you can select who to create the application as. Selecting "Myself" creates the application under your eSP User Account. Selecting "Another Person" creates the application under their eSP User Account, and allows both you and the other person access to the record.

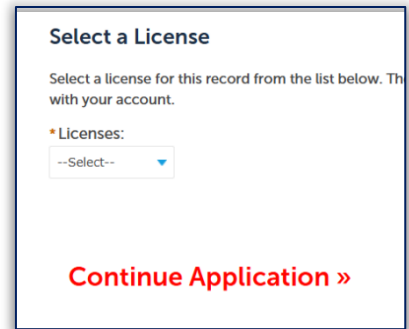Select **Continue Application** to display the next page.

Select a License

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If you are a Licensed Professional, you will be given the opportunity to select a license associated with your eSP user account. If you are not a Licensed Professional (or if your license has not been associated to your user account), this option will not be available.
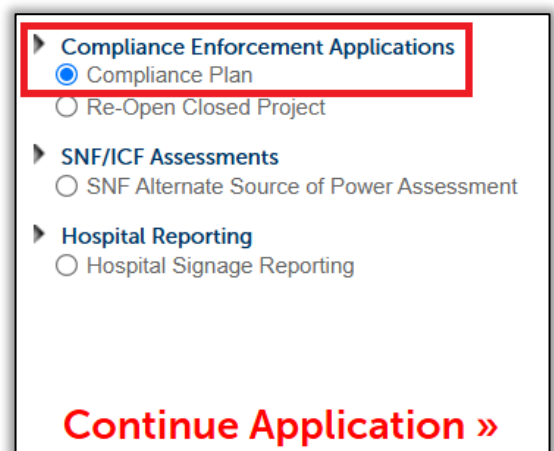
Select **Continue Application** to display the next page.

Select a Record Type

Under the **Compliance Enforcement Applications**, select **Compliance Plan**.

Click **Continue Application** to proceed with application.
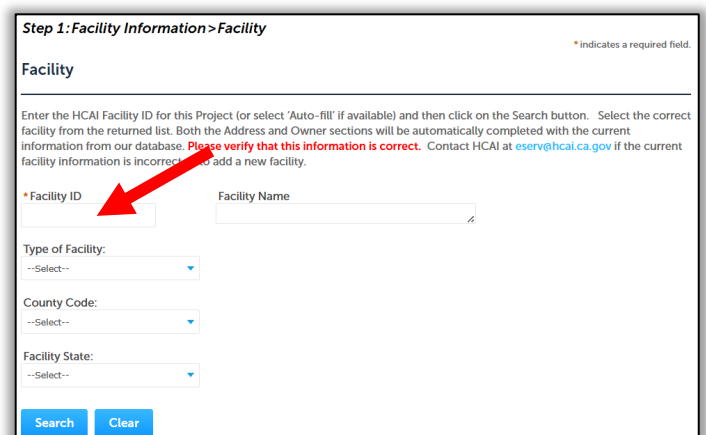
3.2 Search for the Facility

Enter the five-digit HCAI Facility ID or Facility Name, then click the **Search** button. If the facility ID is found, the facility information, address, and owner fields will be automatically populated. Notify HCAI of any errors. To re-start the search, click the **Clear** button in the Facility, Address, and Owner sections. This clears all previously entered data and allows you to start over.

To advance to the next page, click **Continue Application**.

3.3 Add Contacts & Licensed Professionals

Contacts

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A contact is the individual(s) representing the facility to whom HCAI communications will be delivered.

Primary Project Contact (Required)

The Primary Project Contact is also known as the Applicant.

Additional Contacts (Required)

At least one Additional Contact is required, but several additional contacts may be added.

Additional Contacts

At least one additional Contact is required, but several can be added. These contacts are supplemental to the Primary contact correspondence regarding this project.

Select from Account   **Look Up**

There are two options for adding contacts, **Add New** or **Select from Account**.

If choosing **Add New** you will be prompted to enter new contact information. When all required fields are entered, click **Continue** to save the contact.

Contact added successfully!

Contact Information

*First Name: Jane   Middle: *Last Name: Doe   Title: Project Manager

Name of Business: Project Management, Inc.

*Address Line 1: 123 Main Street   *City: Los Angeles   *State: CA   *Zip: 90000

Work Phone: 123-456-7890   Mobile Phone: 987-654-3210   Fax: E-mail: Jane.Doe@PMInc.com

Continue   **Clear**   Discard Changes

If choosing **Select from Account**, you will be able to choose a contact associated with your eSP user account. Select the contact and click **Continue** to save.

Select Contact from Account

Select a contact to attach to this application.
If the contact has multiple addresses, you can select which to use in the next step.
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	Category	Type	Name
●	Associated Contact	Individual	Robert D Fisher
○	Associated Owner		00000 - NO FACILITY - SYSTEM USE ONLY

Continue   Discard Changes

Step 2: Contacts and Professionals > Contact
Enter the person that will be the facility representative for this application.

*indicates a required field.

Applicant

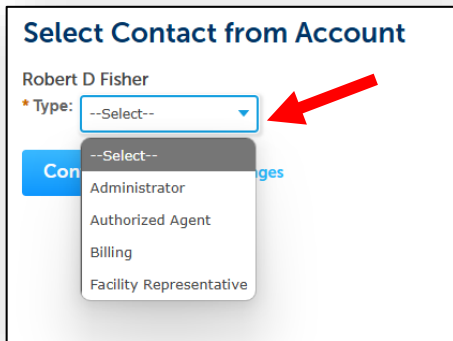The applicant is the primary contact for this application.

Select from Account   **Add New**

Other Contact(s)

Select from Account   **Add New**

Showing 0-0 of 0

Name	Business Name	Contact Type	Work Phone	E-mail	Action
No records found.					

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For each contact added to the Additional Contacts table you must select a **Contact Type**, such as Administrator, Authorized Agent, Billing, or Facility Representative, then click **Continue**. When you have finished adding a new contact or selecting one from account, click **Continue** again to copy the information to the Contacts table. Multiple Contacts may be added to the project by repeating these steps.
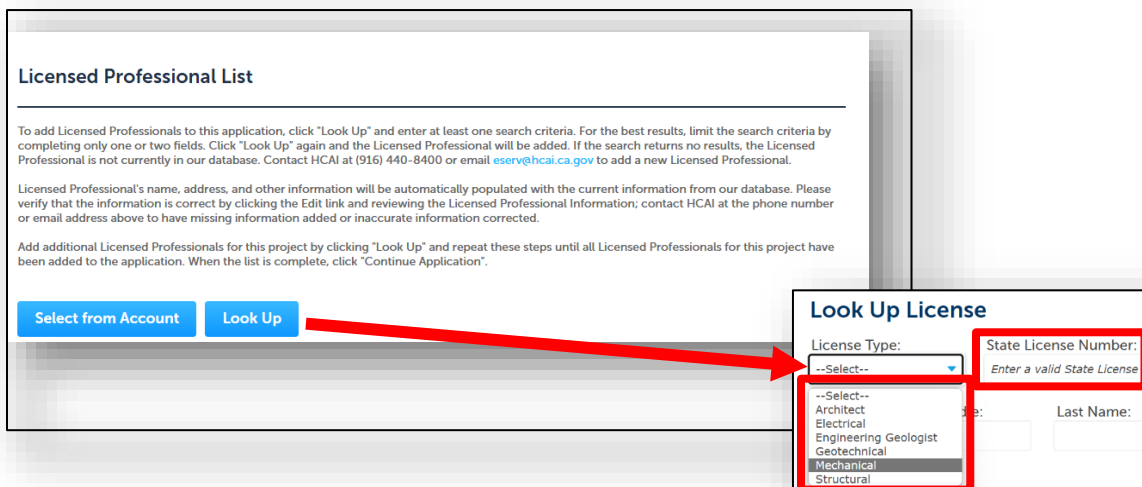
> ⚠️ **Fees and Invoices**: You can designate a billing contact to receive invoices for review fees associated with this project. To designate a billing contact, select **Billing** from the *Contact Type* drop-down option when selecting from account or adding new contacts.

Licensed Professionals (Optional)
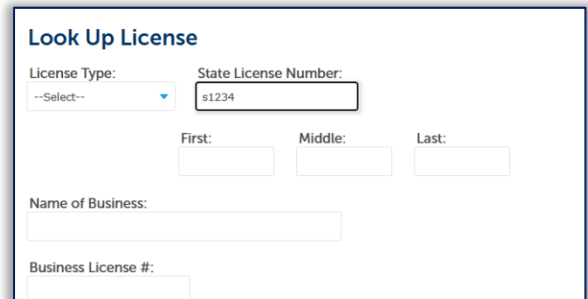
Search the HCAI database for Licensed Professionals to add to the application. There are two options for entering a licensed professional, **Select from Account** OR **Look Up.**

Select from Account: If your public user account is associated with a license, click "Select from Account", and select the appropriate professional.

Look Up: To search for a licensed professional in our database, click "Look Up" and enter at least one search criteria such as License Type, License Number, or Name. Then click **Look Up** again to search.

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To obtain the best search results, limit the number of fields in the search. For instance, enter only the license number and leave all other fields empty. If you do not know the license number, enter the License Type or Last Name only, then click **Look Up**. If the search returns no results, the Licensed Professional may not be in our database. Contact HCAI at eserv@hcai.ca.gov to add a new Licensed Professional to our database.
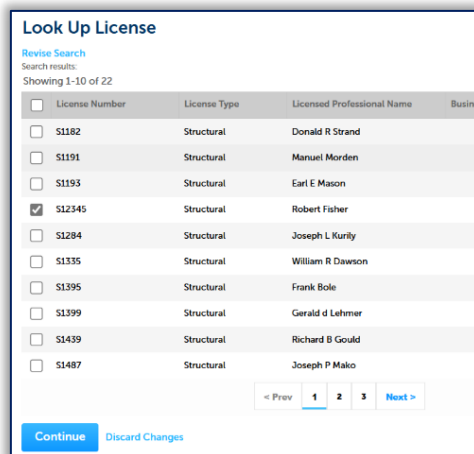
When searching by Last Name or License Type, locate the correct professional in the Look Up License list then check the box next to their license number and click **Continue**. The name, address, and other information will be automatically populated with the current information from our database.

Please verify that the information is correct. If there are errors, contact HCAI at eserv@hcai.ca.gov to update the Licensed Professional's information in our database.

To indicate which licensed professional is the primary, or 'Design Professional in Responsible Charge', click the **Edit** link in the Action column and set the "Responsible Primary (eCA)" button to **Yes**.
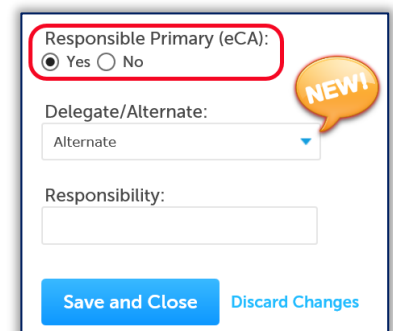
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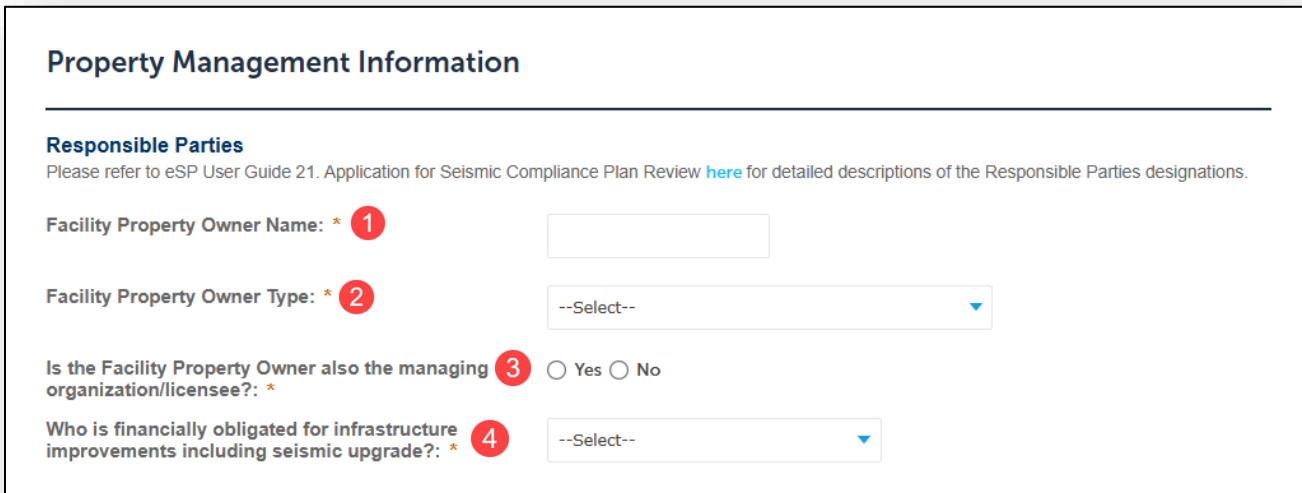eCA User Guide – Section 21: Application for Seismic Compliance Plan

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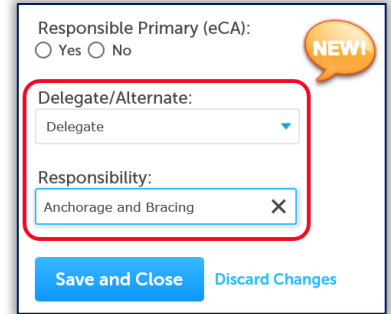
To add additional Licensed Professionals, repeat the steps above. Click the **Edit** link for each licensed professional to indicate his or her role on the project – Alternate or Delegate. Delegates should include the area of responsibility, such as 'Structural' or 'Anchorage & Bracing', etc.

You can always delete the Licensed Professional(s) by clicking on the **Delete** link at the end of the record line.

3.4   Property Management Information

In this section you will submit information regarding the **Facility Property Owner** and the **Managing Organization/Licensee** (also known as the Operator). For some facilities the owner and operator will be the same, for others they will be separate organizations. If the owner/operator are separate organizations, you will be asked to designate which one is financially responsible for the seismic compliance infrastructure improvements.

1. Facility Property Owner Name

   Type the name of the Facility Property Owner.

2. Facility Property Owner Type

   Select the option that best describes the facility property owner from the drop-down list.

3. Is the Facility Property Owner also the managing organization/licensee?

   If **Yes**, proceed to 4

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If **No**, you will be prompted to select the <u>Managing organization/licensee type</u> from the drop-down menu and enter the <u>Managing organization or licensee name</u> in the text field.

④ <u>Who is financially obligated for infrastructure improvements, including seismic upgrades?</u>

If you select **Other**, you will be prompted to define "Other" in the textbox

To advance to the next page, click **Continue Application.**

3.5   Compliance Method and Building Milestones

Compliance Method

The compliance method table displays a list of general acute care (GAC) buildings located at the facility, and their current SPC/NPC ratings. Here the user will detail the desired method of compliance for each building.

		Building No.	Building Name	Current SPC Rating	Current NPC Rating	Compliance Type	Narrative	Seismic Compliance Related Project Numbers	HCAI Note	
☐	⚠	BLD-00090	Main Hospital Building & Additions	2	2					Actions ▼
☐	⚠	BLD-00094	Boiler Building	2	2					Actions ▼
☐	⚠	BLD-02933	Bulk Oxygen Yard	-1	4					Actions ▼
☐	⚠	BLD-00100	ICU Addition	4	2					Actions ▼

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Edit Selected

⚠ If there are any discrepancies in the building name, number, or SPC/NPC ratings, please contact SeismicComplianceUnit@hcai.ca.gov.

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To edit buildings, check the box(es) next to the desired building and click **Edit Selected**, or click the **Action** drop-down and select **Edit**.

A separate window will pop up. The Building Number, Building Name, and Current SPC and NPC ratings will auto-populate.

Required fields:

1. **Compliance Type**

2. **Narrative**

3. **Seismic Compliance Related Project Numbers** (if known).

The **HCAI Note** is a read-only text box where HCAI can make comments, as needed.

If editing multiple buildings, continue to scroll down to enter the Compliance Method for each building. Click **Submit** to save your changes to the table.

Building Milestones

The Building Milestones table displays a list of 10 possible milestones for each general acute care (GAC) building located at the facility. At least one milestone is required per building, with a maximum of 10 milestones allowed.

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Each page displays milestones for a single building, use the page navigation at the bottom of the table to find and edit milestones for other buildings.

To edit milestones, check the box(es) next to the desired milestone and click **Edit Selected**, or click the **Action** drop-down and select **Edit**.

If you do not need all 10 milestones, you can leave them unedited or select **Milestone Type**: *N/A*.

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A separate window will pop up. The Building Number will auto-populate.

Required fields:

① **Milestone Type**

② **Description**

③ **Completion Date**

④ **Status**

⑤ **Related Project Numbers** (if known).

BUILDING MILESTONES

The table below will automatically populate project milestones for each GAC Building. At least one milestone is required per building, with a maximum of 10 milestones allowed. Click the Action drop-down and select Edit to add a milestone type, milestone description, critical milestone*, completion date, status, related OSHPD project number(s) (if applicable), and/or view the OSHPD note. If you do not use all 10 milestones you can leave them unedited or select Milestone Type: N/A.

Building No.: ① *Milestone Type: ② *Description:
BLD-00090 --Select--

☐ Critical Milestone ③ *Completion Date: ④ *Status:
⑤ MM/DD/YYYY --Select--

Related Project Numbers: HCAI Note: HCAI Determination:
Separate multiple project numbers with a semicolon i.e. S240023-23-00;S240045-23-00;S240234-23-00 --Select--

Submit   Cancel

☑ Critical Milestone

Critical Milestone: If a milestone has been designated as a "critical milestone", this box should be checked (see PIN 80 for more information about critical milestones).

The **HCAI Note** and **HCAI Determination** are read-only fields for HCAI to make comments as needed, and to indicate whether milestones are being "met" or "not met" throughout the life of the project.

If editing multiple milestones, continue to scroll down to enter the milestones for each building. Click **Submit** to save your changes to the table.

To advance to the next page, click **Continue Application**.

3.6   Uploading Supporting Documents as Attachments

Attachments are optional and not required. If there are no attachments to upload, click **Continue Application**.

The maximum file size for a single document is 300 MB. Oversized documents that are too large to be uploaded to eSP may be submitted using our Secure File Transfer (SFT) website. You can request an SFT link by contacting the SeismicComplianceUnit@hcai.ca.gov.

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Step 4 : Attachments > Attachments

1. Start by clicking the **Add** button.

2. Click the **Add** button again to browse and locate documents on your computer. Select multiple documents in the same folder by holding the 'Ctrl' key.

3. When the document appears in File Upload as 100% complete, click the **Continue** button.

   Click **Add** as many times as needed to locate all supporting documents.

4. **Type**: Select a file type from the drop-down menu (Financial, Owner, Other)

5. **Description:** Add a brief description in the description text box.

Click the **Save** button. eSP will upload the files to the HCAI database. An acknowledgement of the upload will appear at the top of the page and you will receive a confirmation email.

The attachment(s) has/have been successfully uploaded.
It may take a few minutes before changes are reflected.

It is important that you wait to see the **Actions** column populate before navigating away from this page; if you continue prior to the upload completing (Actions column is blank), your files may not upload to HCAI correctly.

Click **Continue Application** to proceed with application.

3.7 Facility Authorization – PIN

Before entering the Facility PIN Code, it is recommended that you have clicked on "Save and resume later" at least once!

If you are authorized by the facility and have obtained a valid Facility PIN, enter it on this screen, then click **Continue Application** to proceed to the next page.

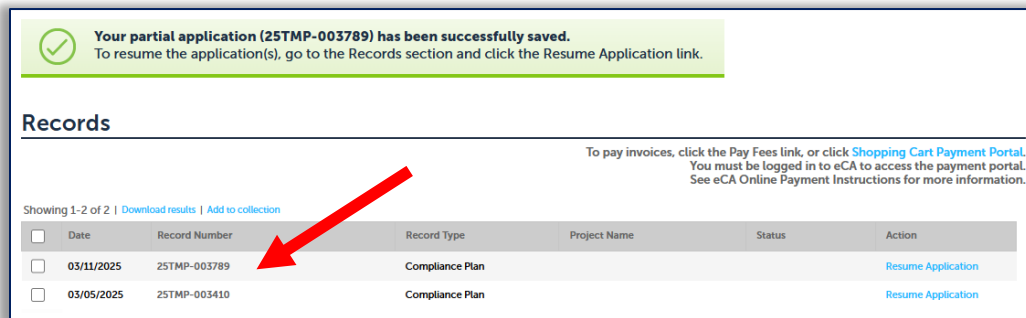If you do not have a valid Facility PIN code, click the **Save and resume later** button to save the record.

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If you click the **Save and resume later** button you will be redirected to the Records page. eSP issues a temporary record number (25TMP-XXXXXX) which will be displayed in the Records list. You will also receive an email message with the temporary record number. You, or another authorized user, can click the **Resume Application** link to finish the application at a later time.
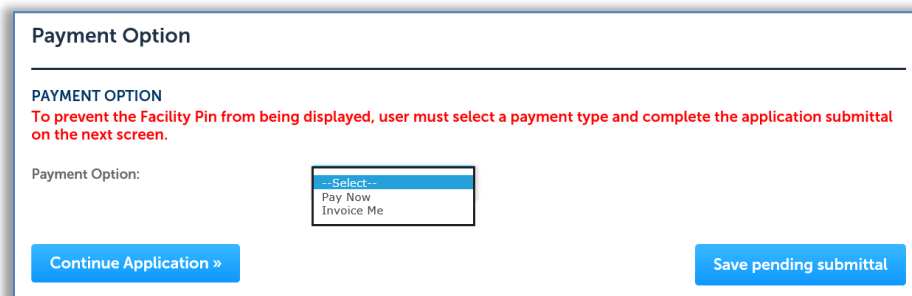

3.8   Select Payment Option

Select one of the payment options. The description of each payment options is as follows:

- **Invoice Me**: HCAI will mail an invoice to the facility billing address on file.
- **Pay Now**: facility intends to make an immediate online payment using a credit card on the next screen before the application is submitted.

Click **Continue Application** to proceed to the next page.

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3.9 Review

Review the data entered and make edits as needed.

Click the **Edit** button in any section to make changes, then click **Continue Application** to save your changes and return to the Review page.

Once all data is verified, click **Continue Application** to submit the application.

> *Step 6 : Review*
>
> [Save and resume later]   **Continue Application »**
>
> Please review all information below. Click the "Edit" buttons to make changes to sections or "Continue Application" to move on.
>
> **Record Type**
>
> Compliance Plan
>
> **Facility**   [Edit]
>
> Facility ID 10006
> Facility Name Orchard Hospital
> Facility State: Opened
> Type of Facility: General Acute Care
> County Code: 04 - Butte
>
> **Address**   [Edit]
>
> 240 Spruce St
> Gridley CA 95948
>
> **Owner**   [Edit]
>
> 10006 - ORCHARD HOSPITAL
> PO BOX 97
> GRIDLEY CA 95948

⚠️ If you entered an invalid Facility PIN an error message will prevent you from submitting the application. If this happens, click **Save and resume later**. On the Enforcement tab, locate your application in the Records list. Click **Resume Application** and choose **Start from the beginning**. Navigate through the pages to the *Facility Authorization* page and re-enter the correct PIN. The application will be locked after entering an incorrect PIN three (3) times.

> ⊗ **An error has occurred.**
> ACA52439-**Action Cancelled**
>
> You must correctly enter your facility's PIN code to create this project. Please select *Save Pending Submittal* to save your work, then go back into your temp record and proceed to the PIN entry screen.

3.10 Pay Fees

If you selected **Pay Now**, this screen displays the total fees to be paid with a credit card.

Click on **Continue Application** to proceed to the payment screen.

> *Step 7 : Pay Fees*
>
> Listed below are the fees assessed by OSHPD based on the information you have provided. The application fee is not refundable. The Plan Review Fee for the estimated construction costs, 1.64% for hospital buildings or 1.5% for skilled nursing facilities, will be invoiced directly to the facility.
>
> **Application Fees**
>
> | Fees | Qty. | Amount |
> |------|------|--------|
> | Application Fee | 1 | $250.00 |
>
> TOTAL FEES
> Note: This does not include additional inspection fees which may be assessed later.
>
> $250.00
>
> [Continue Application »]

3.11 Submit Payment

On this screen, enter the credit card information then click on **Submit Payment** button.

3.12 Project Submittal Confirmation

On the final screen, eSP will display an application submission confirmation.

The Seismic Compliance Plan project number, **CP-XXXXX-TEMP00**, will be displayed here.

Congratulations! You have successfully submitted an application to HCAI!

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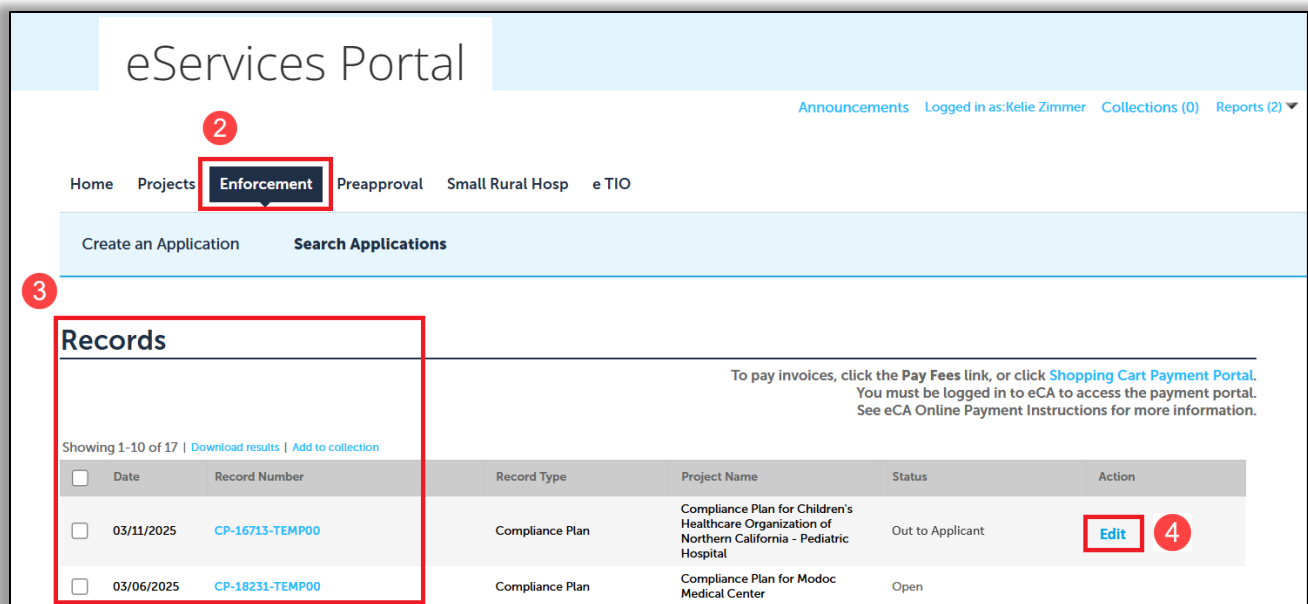## 4   Editing a Returned Seismic Compliance Plan

HCAI staff may notify the applicant that the submittal requires additional information in order to complete the review. The applicant will receive an email notification from HCAI which includes reasons for return and instructions to log into the eServices Portal to resolve any outstanding issues.

To edit and resubmit the application, applicants should edit the application by following these steps.

1 The applicant should log into the eServicesPortal at https://esp.hcai.ca.gov/citizenaccess.

2 Click the **Enforcement** tab.

3 Locate the Compliance Plan (CP) project number in the **Records** table.

- If your user account created the application, you should see the application. Remember, only the record creator can edit the application.

- If you do not see the CP project listed in the **Records** table, your account may not be associated with the project. Please contact SeismicComplianceUnit@hcai.ca.gov to have your user account take over the edit permissions.

4 Click the **Edit** link in the Action column.

- For the Edit link to be visible, the original CP project must have a status of Out to Applicant and the current user must be the application creator. If you do not see the edit link, please contact SeismicComplianceUnit@hcai.ca.gov.

This will open the application for editing. You can make revisions as necessary or upload supporting documents as requested. When you are finished, re-submit the application.

5   Amending an Application for Seismic Compliance Plan

After the submittal has been reviewed and approved or not approved, applicants may submit updates to the original application in order to amend the Contact(s), Property Management, Compliance Method or Building Milestone information.

> ⚠️ An amendment is not required to update the building milestone **Status** or **Related Project Numbers**. Updates to those fields ONLY can be made by emailing SeismicComplianceUnit@hcai.ca.gov. Provide the facility name and five-digit ID, building number, which milestone is being updated, and the revised Status and/or Related Project Number(s).

All other updates to an approved Seismic Compliance Plan should be submitted by following these steps.

1. The applicant should log into the eServicesPortal at https://esp.hcai.ca.gov/citizenaccess.

2. Click the **Enforcement** tab.

3. Search for the Compliance Plan (CP) project number in the **Records** table.

   - If you <u>do not</u> see the CP project listed in the Records table, your eSP user account may not be associated with the CP project. Please contact SeismicComplianceUnit@hcai.ca.gov to associate your user account to the CP project that you would like to amend.

4. Click the **Amendment** link in the Action column.

   - For the Amendment link to be visible, the original CP project must have been approved by HCAI and have a status of Active.

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5.1   Facility Information

The Facility, Address, and Owner information will pre-populate from the original Seismic Compliance Plan application. **THESE FIELDS SHOULD NOT BE EDITED.** Verify that the information is correct, and click **Continue Application.**

5.2   Contacts and Property Management Information

Contacts

Verify that the information is correct, or edit any field as desired.

3.3 – Add Contacts & Licensed Professionals

Property Management Information

Verify that the information is correct, or edit any field as desired, and click **Continue Application**.

3.4 – Property Management Information

5.3   Methods and Milestones

Verify that the information is correct, or edit any field as desired, and click **Continue Application**.

3.5 – Compliance Method & Building Milestones

5.4   Attachments

Attachments are optional and not required. If there are no attachments to upload, click **Continue Application**.

3.6 – Uploading Supporting Documents as Attachments

5.5   Facility Authorization (PIN), Payment Options, Review, and Pay Fees

Enter the Facility Authorization (PIN), Payment Options, Review, and Pay Fees. Please see the following sections for step-by-step instructions.

3.7 – Facility Authorization (PIN)
3.8 – Payment Option
3.9 – Review
3.10 – Pay Fees
3.11 – Submit Payment

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5.6   Project Submittal Confirmation

On the final screen, eSP will display an application submission confirmation.

The amended Seismic Compliance Plan project number, **CP-XXXXX-TEMP01**, will be displayed here.

Congratulations! You have successfully submitted an application to HCAI!

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