

e-Services
Portal
User
Guide

APPLICATION FOR SEISMIC COMPLIANCE PLAN

VERSION 1.0

Section 21

Office of Statewide Hospital Planning and Development
March 2025



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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 <u>3. Facility Authorization</u>.
- After the application is submitted to HCAI, your eSP user account must be associated to the application to interact with it. For further information refer to user guide <u>4. Account Management</u>, <u>Association and Delegation</u>.

For eSP technical support, contact eserv@hcai.ca.gov or (916) 440-8400.

For eSP User Registration and Account Management, contact <u>eCA.AccessManager@hcai.ca.gov</u> or call (916) 440-8400.

For questions regarding Compliance Plan Applications contact SeismicComplianceUnit@hcai.ca.gov.



Remember: Help is available throughout the application. Wherever you see a help on the question mark to open help and instructions for that item in the application.



icon, click

2 Enforcement Applications

2.1 Page Flow Overview

The predefined steps to create and submit an application for Seismic Compliance Plan are detailed in this guide. Below is an illustration of 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).
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 of page flow

Below are some basic rules of submitting an application using the eServices Portal:

- ✓ When creating an application, follow the page flow in order to avoid errors or missed data.
- ✓ When resuming an existing in-progress application, you will be given the option to start from the beginning or continue where the application was left off. Always choose "Start from the Beginning".
- ✓ You can navigate back and forth within the completed pages.
- ✓ You must click on **Continue Application** or **Save and resume later** button to save the data entered on the page.
- ✓ It is recommended that you click the **Save and resume later** button as needed to prevent data loss due to data entry errors or system time-out.
- ✓ If any required data is missing from the page, when the **Continue Application** button is clicked, an error message is displayed on the top of the page. You must correct any errors before continuing to the next page flow screen.

3 Creating and Submitting an Application for Seismic Compliance Plan

3.1 Creating the Application

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

Navigate to the **Enforcement** tab and begin by clicking **Create an Application**.

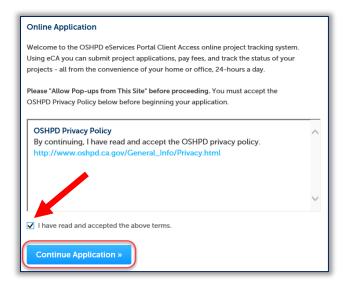






3.1.1 Accept HCAI Privacy Policy

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.



3.1.2 Select person to create application as

If you have been delegated permissions, you can select who to create the application as. Selecting yourself does not grant the person delegating permission access. Selecting the person delegating to you will give access to him/her and yourself.

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



3.1.3 Select a License

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.



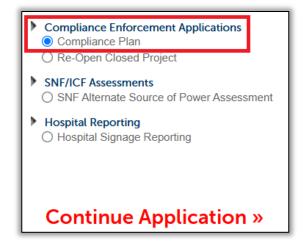




3.1.4 Select Record Type

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

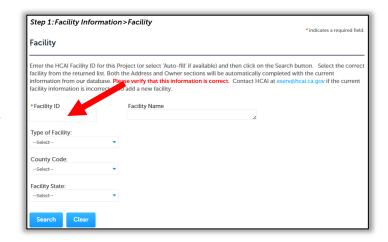
Click **Continue Application** to proceed with application.



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**.



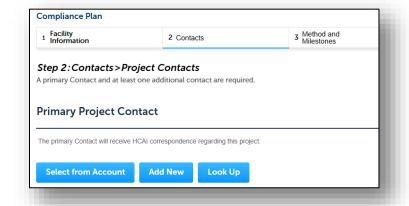
3.3 Add Contacts & Licensed Professionals

3.3.1 Contacts

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.

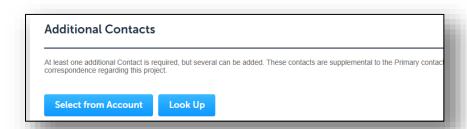






Additional Contacts (Required)

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



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

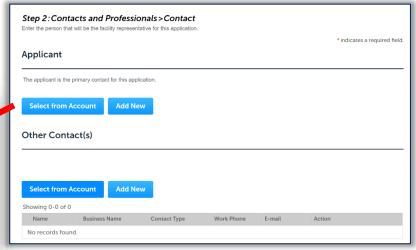
If choosing **Add New** you will be prompted to enter new contact information. When all required fields are entered, click **Continue** to save the contact.

Contact added successfully!

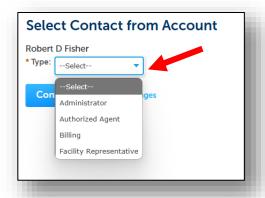


If choosing **Select from Account**, you will be able to choose a contact associated with your eSP user account. Select the contact and click **Continue** to save.









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.



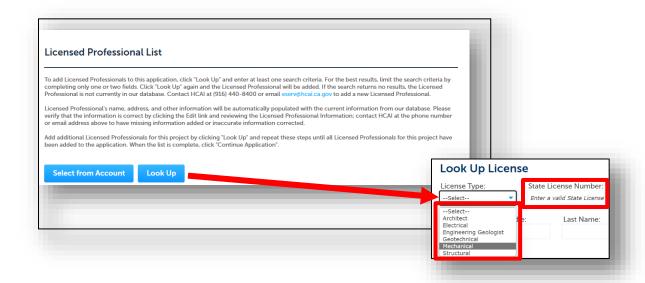
<u>Fees and Invoices</u>: You can designate a billing contact to receive invoices for review fees associated with this project. To designate a billing contact, select **Billing** from the *Contact Type* drop-down option when selecting from account or adding new contacts.

3.3.2 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.



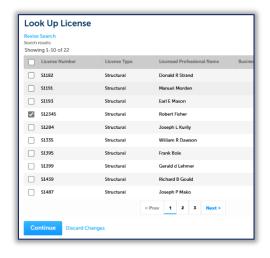






To obtain the best search results, limit the number of fields in the search. For instance, enter only the license number and leave all other fields empty. If you do not know the license number, enter the License Type or Last Name only, then click **Look Up**. If the search returns no results, the Licensed 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**.





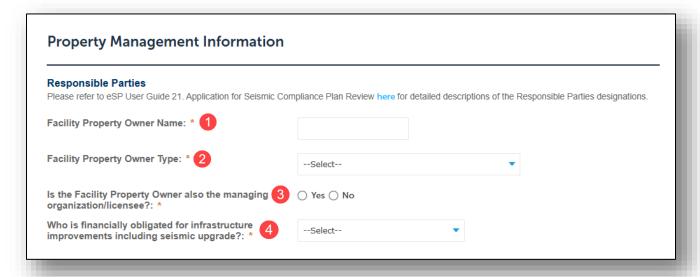
To add additional Licensed Professionals, repeat the steps above. Click the **Edit** link for each licensed professional to indicate his or her role on the project – Alternate or Delegate. Delegates should include the area of responsibility, such as 'Structural' or 'Anchorage & Bracing', etc.

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

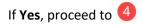
In this section you will submit information regarding the **Facility Property Owner** and the **Managing Organization/Licensee** (also known as the Operator). For some facilities the owner and operator will be the same, for others they will be separate organizations. If the owner/operator are separate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



- Facility Property Owner Name
 - Type the name of the Facility Property Owner.
- Pacility Property Owner Type

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

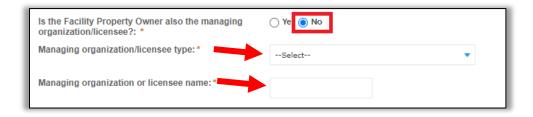
3 <u>Is the Facility Property Owner also the managing organization/licensee?</u>



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 Who is financially obligated for infrastructure improvements, including seismic upgrades?

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

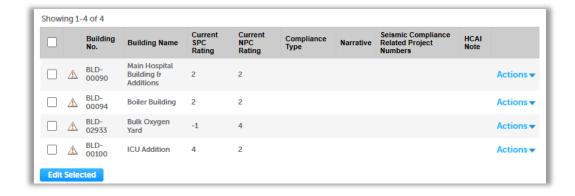


To advance to the next page, click Continue Application.

3.5 Compliance Method and Building Milestones

3.5.1 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.



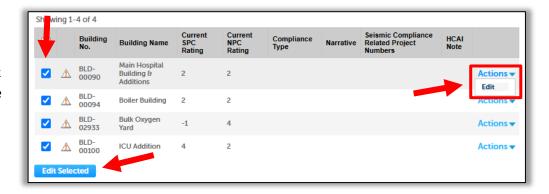


If there are any discrepancies in the building name, number, or SPC/NPC ratings, please contact SeismicComplianceUnit@hcai.ca.gov.





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**.

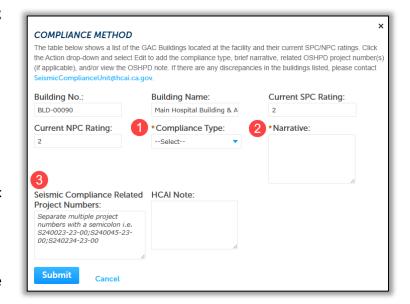


A separate window will pop up. The Building Number, Building Name, and Current SPC and NPC ratings will auto-populate.

Required fields:

- Compliance Type
- 2 Narrative
- **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.

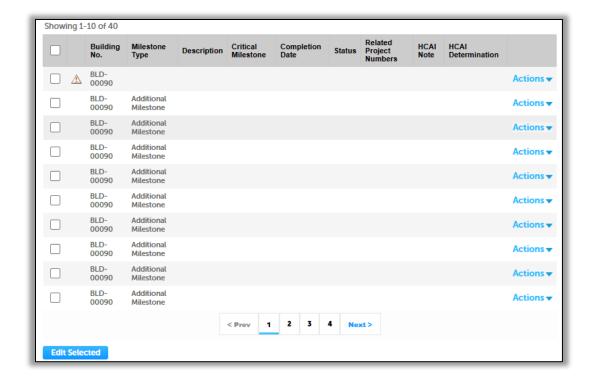
3.5.2 Building Milestones

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.







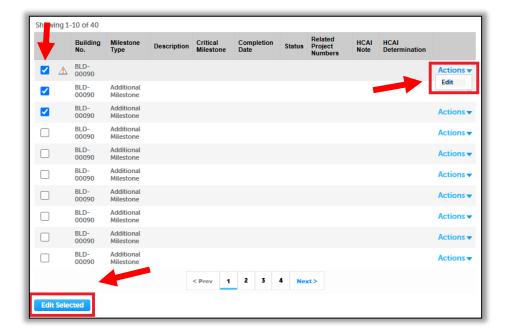




Each page displays milestones for a single building, use the page navigation at the bottom of the table to find and edit milestones for other buildings.

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**.

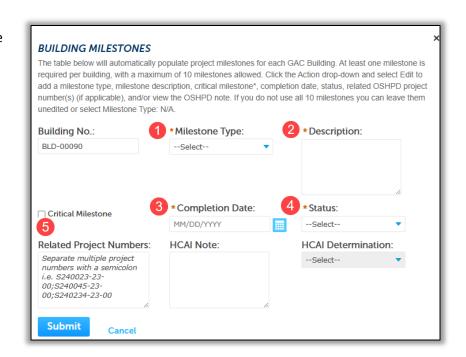




A separate window will pop up. The Building Number will autopopulate.

Required fields:

- **1** Milestone Type
- 2 Description
- Completion Date
- Status
- 5 Related Project Numbers (if known).





Critical Milestone: If a milestone has been designated as a "critical milestone", this box should be checked (see <u>PIN 80</u> 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

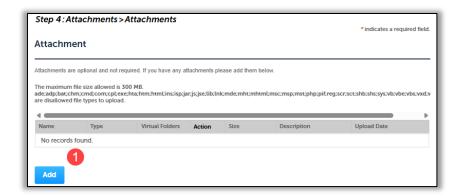
Attachments are optional and not required. If there are no attachments to upload, click **Continue Application**.

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.





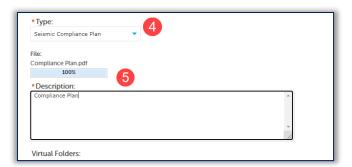
1 Start by clicking the Add button.





- 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.
 - Click **Add** as many times as needed to locate all supporting documents.
- When the document appears in File Upload as 100% complete, click the **Continue** button.

- 4 Type: Select a file type from the dropdown menu (Financial, Owner, Other)
- **Description:** Add a brief description in the description text box.



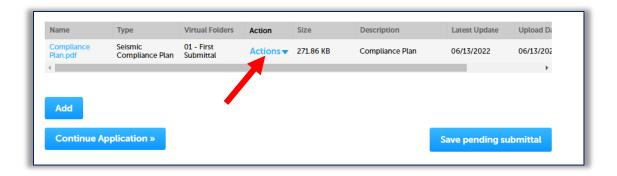
Click the **Save** button. eSP will upload the files to the HCAI database. An acknowledgement of the upload will appear at the top of the page and you will receive a confirmation email.







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.

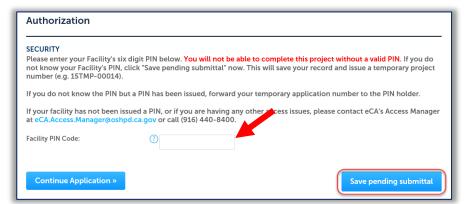
3.7 Facility Authorization – PIN



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 flow screen.

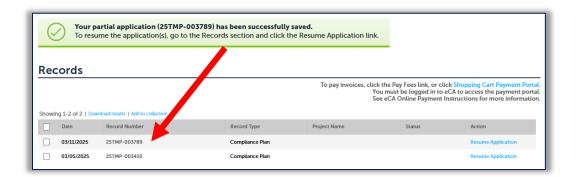
If you do not have a valid Facility PIN code, click the **Save and resume later** button to save the record.







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) and displays it in the Records list. You will receive an email message with the temporary record number. You, or other authorized users, can click the **Resume Application** link to finish the application at a later time.



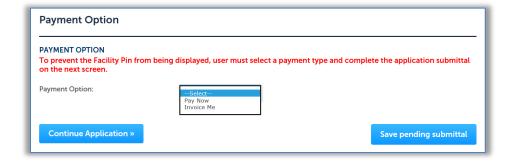


If you enter an invalid Facility PIN on the *Facility Authorization* page, the *Review* page will display an error message which prevents you from submitting the application. If this happens, click **Save and resume later** to save your work, then locate your application in the Records list and click **Resume Application**. In the pop-up window, choose **Start from the beginning**, then navigate through the screens to return to the *Facility Authorization* page and re-enter the correct PIN. The application will be locked after entering an incorrect PIN three (3) times.



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.

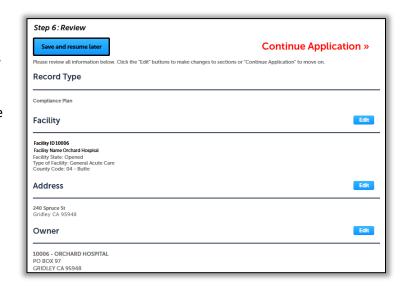
Click **Continue Application** to proceed to the next page.

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.

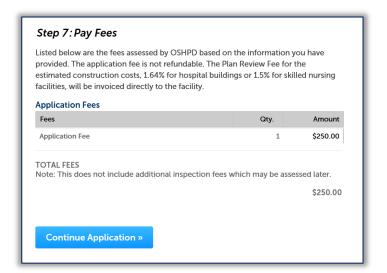


If you selected the "Invoice Me" option, skip to step 3.12 below.

3.10 Pay Fees

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

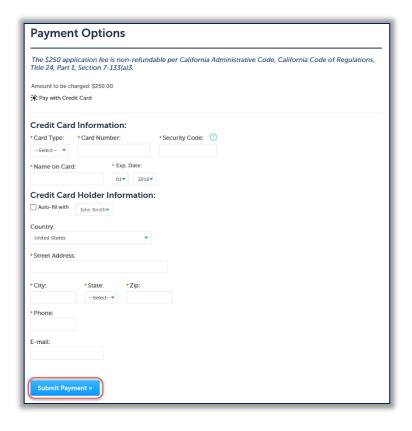
Click on **Continue Application** to proceed to the payment screen.





3.11 Submit Online Payment

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

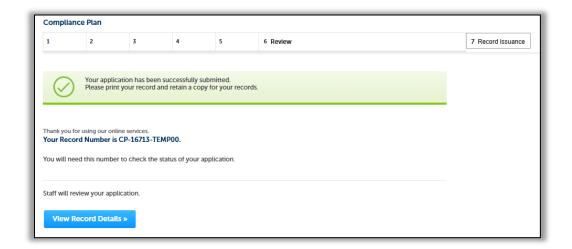


3.12 Project Submittal Confirmation

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

Email confirmation is automatically sent to the Public User that started the application and to the Public User that approved the application by entering the PIN.

Congratulations! You have successfully submitted an application to HCAI!







4 Amending an Application for Seismic Compliance Plan

Coming soon!

