

March 22, 2010

RECEIVED

Commissioner of the Office of Health Care Access  
410 Capital Avenue  
MS#13HCA  
PO Box 340308  
Hartford, CT 06134-0308

2010 MAR 25 A 11: 53

CONNECTICUT OFFICE OF  
HEALTH CARE ACCESS

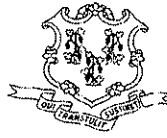
Dear Commissioner:

Please find attached Letter of Intent Form for Tollgate Residential Treatment Center which is proposed to be located in Litchfield, Connecticut. Please feel free to contact me at (845) 406-8479 with any questions that you may have. My mailing address is: 3 Sand Road New Milford, CT 06776.

Sincerely yours,

A handwritten signature in black ink, appearing to read "D. Palmer", with a long horizontal flourish extending to the right.

David Palmer- CEO Blue Sky Behavioral Health, LLC



# State of Connecticut Office of Health Care Access Letter of Intent Form Form 2030

All Applicants involved with the proposal must be listed for identification purposes. A proposal's Letter of Intent (LOI) form must be submitted prior to a Certificate of Need application submission to OHCA by the Applicant(s), pursuant to Sections 19a-638 and 19a-639 of the Connecticut General Statutes and Section 19a-643-79 of OHCA's Regulations. Please complete and submit Form 2030 to the Commissioner of the Office of Health Care Access, 410 Capitol Avenue, MS# 13HCA, P.O. Box 340308, Hartford, Connecticut 06134-0308.

## SECTION I. APPLICANT INFORMATION

If this proposal has more than two Applicants, please attach a separate sheet, supplying the same information for each additional Applicant in the format presented in the following table.

	Applicant One	Applicant Two
Full legal name	Blue Sky Behavioral Health, LLC	
Doing Business As	Tollgate Residential Treatment Center	
Name of Parent Corporation	N/A	
Applicant's Mailing Address, if Post Office (PO) Box, include a street mailing address for Certified Mail (Zip Code Required)	Blue Sky Behavioral Health, LLC C/O David Palmer 3 Sand Road New Milford, CT 06776	
Identify Applicant Status: P for Profit or NP for Nonprofit	P	
Does the Applicant have Tax Exempt Status?	No	N/A
Contact Person, including Title/Position: This Individual will be the Applicant Designee to receive all correspondence in this matter.	David Palmer- CEO/Manager	
Contact Person's Mailing Address, if PO Box, include a street mailing address for Certified Mail (Zip Code Required)	David Palmer 3 Sand Road New Milford, CT 06776	
Contact Person Telephone Number	(845) 406-8479	
Contact Person Fax Number	(845) 279-7678	

Contact Person e-mail Address

djpalmer@sbcglobal.net

**SECTION II. GENERAL APPLICATION INFORMATION**

- a. Project Title: Blue Sky Behavioral Health, LLC \_\_\_\_\_
- b. Project Proposal: \_Mental Health Residential Living facility and Outpatient Clinic\_\_\_\_\_
- c. Type of Project/Proposal, please check all that apply:

**Inpatient Service(s):**

- ☐ Medical/Surgical      ☐ Cardiac      ☐ Pediatric      ☐ Maternity
- ☐ Trauma Center      ☐ Transplantation Programs
- ☐ Rehabilitation (*specify type*) \_\_\_\_\_
- ☐ Behavioral Health (Psychiatric and/or Substance Abuse Services)
- ☐ Other Inpatient (*specify*) \_\_\_\_\_

**Outpatient Service(s):**

- ☐ Ambulatory Surgery Center      ☐ Primary Care      ☐ Oncology
- ☐ New Hospital Satellite Facility      ☐ Emergency      ☐ Urgent Care
- ☐ Rehabilitation (*specify type*) \_\_\_\_\_ ☐ Central Services Facility
- XX☐ Behavioral Health (Psychiatric and/or Substance Abuse Services)
- ☐ Other Outpatient (*specify*) \_\_\_\_\_

**Imaging:**

- ☐ MRI      ☐ CT Scanner      ☐ PET Scanner
- ☐ CT Simulator      ☐ PET/CT Scanner      ☐ Linear Accelerator
- ☐ Cineangiography Equipment      ☐ New Technology: \_\_\_\_\_

**Non-Clinical:**

- ☐ Facility Development      ☐ Non-Medical Equipment      xx☐ Renovations
- ☐ Change in Ownership or Control      XX☐ Land and/or Building Acquisitions
- ☐ Organizational Structure (Mergers, Acquisitions, & Affiliations)
- ☐ Other Non-Clinical: \_\_\_\_\_

- d. Does the proposal include a Change in Facility (F), Service (S)/Function (Fnc) pursuant to Section 19a-638, C.G.S.?

☐ YesXX☐ No

If you checked "Yes" above, please check the appropriate box below:

- ☐ New (F, S, Fnc)      ☐ Additional (F, S, Fnc)      ☐ Replacement  
☐ Expansion (F, S, Fnc)      ☐ Relocation      ☐ Termination of Service  
☐ Reduction      ☐ Change in Ownership/Control

- e. Will the Capital Expenditure/Cost of the proposal exceed \$3,000,000, pursuant to Section 19a-639, C.G.S.?

☐ Yes      xx☒ No

If you checked "Yes" above, please check the boxes below, as appropriate:

- ☐ New equipment acquisition and operation  
☐ Replacement equipment with disposal of existing equipment  
☐ Major medical equipment  
☐ Change in ownership or control

- f. Location of proposal, identifying Street Address, Town and Zip Code:

571 Torrington Road Litchfield, CT  
06759

- g. List each town this project is intended to serve:

All of Connecticut, and open to a potential admission to every state within the United States.

- h. Estimated starting date for the project: 10/1/2010

- i. If the proposal includes change in the number of beds provide the following information: N/A

Type	Existing Staffed	Existing Licensed	Proposed Increase or (Decrease)	Proposed Total Licensed

**SECTION III. ESTIMATED CAPITAL EXPENDITURE/COST INFORMATION**

- a. Estimated Total Project Expenditure/Cost: \$500K
- b. Please provide the following tentative capital expenditure/costs related to the proposal:

Major Medical Equipment Purchases*	
Medical Equipment Purchases*	
Non-Medical Equipment Purchases*	\$125,000
Land/Building Purchases-(lease)	\$180,000
Construction/Renovation	\$195,000
Other (Non-Construction) Specify: _____	
<b>Total Capital Expenditure</b>	
Major Medical Equipment – Fair Market Value of Leases Medical	
Equipment – Fair Market Value of Leases	
Non-Medical Equipment – Fair Market Value of Leases*	
Fair Market Value of Space – Capital Leases Only	
<b>Total Capital Cost</b>	
<b>Total Project Cost</b>	\$500,000
Capitalized Financing Costs (Informational Purpose Only)	

\* Provide an itemized list of all medical and non-medical equipment to be purchased and leased.

- c. If the proposal has a total capital expenditure/cost exceeding \$20,000,000 or if the proposal is for major medical equipment exceeding \$3,000,000, you may request a Waiver of Public Hearing pursuant to Section 19a-643-45 of OHCA's Regulations? Please check your preference.

☐ Yes

☐ No

1. If you checked "Yes" above: please check the appropriate box below indicating the basis of the projects eligibility for a waiver of hearing

☐ Energy Conservation

☐ Health, Fire, Building and Life Safety Code

☐ Non Substantive

2. Provide supporting documentation from elected town officials (i.e. letter from Mayor's Office).

- d. Major Medical and/or Imaging Equipment Acquisition:

Equipment Type	Name	Model	Number of Units	Cost per unit

Note: Provide a copy of the vendor contract or quotation for each major medical/imaging equipment.

e. Type of financing or funding source (more than one can be checked):

- ☒ Applicant's Equity      ☐ Capital Lease      ☐ Conventional Loan  
☐ Charitable Contributions      ☒ Operating Lease      ☐ CHEFA Financing  
☐ Funded Depreciation      ☐ Grant Funding  
☐ Other (specify) \_\_\_\_\_

#### SECTION IV. PROJECT DESCRIPTION

**In paragraph format**, please provide a description of the proposed project, highlighting each of its important aspects, on at least one, but not more than two separate 8.5" X 11" sheets of paper. At a minimum each of the following items need to be addressed, if applicable.

1. List the types of services are currently being provided. If applicable, provide a copy of each Department of Public Health (DPH) license held by the Applicant.
2. List the types of services being proposed and what DPH licensure categories will be sought, if applicable.
3. Identify the current population served and the target population to be served.
4. Identify any unmet need and describe how this project will fulfill that need.
5. Are there any similar existing service providers in the proposed geographic area?
6. Describe the anticipated effect of this proposal on the health care delivery system in the State of Connecticut.
7. Who will be responsible for providing the service?
8. Who are the current payers of this service and identify any anticipated payer changes when the proposed project becomes operational?

**AFFIDAVIT**

**To be completed by each Applicant**

Applicant: \_\_\_\_\_

Project Title: \_\_\_\_\_

I, \_\_\_\_\_, \_\_\_\_\_  
(Name) (Position – CEO or CFO)

of \_\_\_\_\_ being duly sworn, depose and state that the  
information provided in this CON Letter of Intent (Form 2030) is true and accurate to  
the best of my knowledge, and that \_\_\_\_\_ complies with the appropriate and  
(Facility Name)  
applicable criteria as set forth in the Sections 19a-630, 19a-637, 19a-638, 19a-639, 19a-486  
and/or 4-181 of the Connecticut General Statutes.

\_\_\_\_\_  
Signature Date

Subscribed and sworn to before me on \_\_\_\_\_

\_\_\_\_\_  
Notary Public/Commissioner of Superior Court

My commission expires: \_\_\_\_\_

#### Section IV. Tollgate Residential Treatment Center

1) The types of services that would be provided are as follows: Mental Health Residential Living, individual and group therapy services by licensed clinicians, daily living groups provided by direct care staff, nursing services, psychiatrist services, drug and alcohol counseling by certified CASAC staff, Educational support(including high school diploma and GED tracks) and vocational/volunteer support services.

2) The types of services being proposed are as follows: individual and group therapy by licensed clinicians, daily living skill groups by direct care staff, nursing services, psychiatrist services, drug and alcohol counseling by CASAC certified staff, Educational support, vocational/ volunteer support services.

Tollgate Residential Treatment Center would apply for the following Department of Public Health categories:Mental Health Living Facility, and Outpatient Clinic.

3) Population to be served would be individuals 18 years of age and older who have behavioral health disorder which may include a co-occurring substance abuse disorder. The program will provide specific treatments for individuals with personality disorders.

4)The unmet need in the State of Connecticut, is a private longer care treatment facility of individuals 18 years and older who have a behavioral health disorder which may often include a co-occurring substance abuse disorder. With a focus on DBT and CBT. A large number of facilities in the State of Connecticut are State funded, adolescent in nature and offer a much shorter duration of stay than the type of treatment that Tollgate would offer to its population. This longer term focus on therapy, group work and DBT will have a greater likelihood to lead to overall member improvement in a reduction of their respective symptoms at the time of discharge in comparison with the programs that are shorter term in nature.

5)There are a limited number of programs in the area, but none of these programs appears to offer the comprehensive longer term focus that Tollgate Residential Treatment Center would offer. Tollgate Residential Treatment Center would be an all-inclusive facility that has a variety of health care and support professionals under one roof.

6)The anticipated effect of this proposal(if approved) on the health care services in the State of Connecticut would be immediate, relevant and long lasting. The all inclusive nature of this proposed facility would include comprehensive treatment unlike any facility in this geographic area. All of the various services: therapy, psychiatry, nursing, DBT, CASAC counselors, teachers, and job coaches would be located in one location.

7)Tollgate Residential Treatment Center would be responsible for providing these services located on a spacious 10 acre compound in scenic Litchfield, Connecticut. David Palmer would be CEO/Manager of Tollgate Residential Treatment Center.



8)The current payers of services at Tollgate Residential Treatment Center are individuals and their families in need of comprehensive behavioral health services that hospitals and other treatment facilities in the areas do not currently provide on a longer term basis. Treatment would be paid privately(out of pocket) by member's and their families and by member's or their families insurance plans.

April 6, 2010

Commissioner of the Office of Health Care Access  
410 Capital Avenue  
MS#13HCA  
PO Box 340308  
Hartford, CT 06134-0308

RECEIVED

2010 APR -7 P 12:33

CONNECTICUT OFFICE OF  
HEALTH CARE ACCESS

Dear Commissioner:

Please find attached two attached affidavit for the (2) form 2030's that I sent to your office on March 22, 2010. When the 2 forms were sent to your office, I had forgotten to fill out the affidavit on each. One affidavit is for Tollgate Residential Treatment Center and the other affidavit is for Blue Sky Addictions Clinic. Please feel free to contact me at (845) 406-8479 with any questions.

Sincerely yours,

A handwritten signature in black ink, appearing to read "D. Palmer", with a long horizontal flourish extending to the right.

David Palmer- CEO Blue Sky Behavioral Health, LLC

## AFFIDAVIT

To be completed by each Applicant

Applicant: David PalmerProject Title: Tollgate Residential Treatment CenterI, David Palmer, CEO  
(Name) (Position – CEO or CFO)of Blue Sky Behavioral Health, LLC being duly sworn, depose and state that the information provided in this CON Letter of Intent (Form 2030) is true and accurate to the best of my knowledge, and that Tollgate Residential Treatment Center (Facility Name) complies with the appropriate and

applicable criteria as set forth in the Sections 19a-630, 19a-637, 19a-638, 19a-639, 19a-486 and/or 4-181 of the Connecticut General Statutes.

D J Pal 4/6/10  
Signature DateSubscribed and sworn to before me on April 6, 2010Betsy Bergman  
Notary Public/Commissioner of Superior CourtMy commission expires: 07/31/2013BETSY BERGMAN  
NOTARY PUBLIC  
REG. #01BE4736701  
VALID 7/31/09 - 7/31/13RECEIVED  
2010 APR -7 P 12:33  
CONNECTICUT OFFICE OF  
HEALTH CARE ACCESS



STATE OF CONNECTICUT  
DEPARTMENT OF PUBLIC HEALTH  
*Office of Health Care Access*

April 19, 2010

Facsimile Only

David Palmer  
Blue Sky Behavioral Health, LLC  
3 Sand Road  
New Milford, CT 06776

Re: Letter of Intent; Docket Number: 10-31575  
Blue Sky Behavioral Health, LLC  
Establish Tollgate Residential Treatment Center in Litchfield

Dear Mr. Palmer,

On April 7, 2010, the Office of Health Care Access ("OHCA") received the Letter of Intent ("LOI") Form of Blue Sky Behavioral Health, LLC ("Applicant") to establish Tollgate Residential Treatment Center in Litchfield, with a total associated capital expenditure of \$500,000.

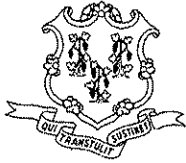
A notice to the public regarding OHCA's receipt of a LOI was published in *The Register Citizen* pursuant to Section 19a-638 of the Connecticut General Statutes. Enclosed for your information is a copy of the notice to the public.

Sincerely,

A handwritten signature in cursive script that reads "Kimberly Martone" followed by a circled set of initials "KRM".

Kimberly R. Martone  
Director of Operations

KRM:img



STATE OF CONNECTICUT  
DEPARTMENT OF PUBLIC HEALTH  
*Office of Health Care Access*

April 19, 2010

Requisition # 31099

The Register Citizen  
190 Water Street  
Torrington, CT 06790-0058

Gentlemen/Ladies:

Please make an insertion of the attached copy, in a single column space, set solid under legal notices, in the issue of your newspaper by no later than **Friday, April 24, 2010**.

Please provide the following **within 30 days** of publication:

- Proof of publication (copy of legal ad. acceptable) showing published date along with the invoice.

If there are any questions regarding this legal notice, please contact Paolo Fiducia or Carmen Cotto at 418-7001.

KINDLY RENDER BILL IN DUPLICATE ATTACHED TO THE TEAR SHEET.

Sincerely,

Kimberly Martone (KRM)

Kimberly R. Martone  
Director of Operations

Attachment

KRM:PF:CC:lmg

c: Danielle Pare, DPH

**PLEASE INSERT THE FOLLOWING:**

Statute Reference:	19a-638
Applicant:	Blue Sky Behavioral Health, LLC
Town:	Litchfield
Docket Number:	10-31575-LOI
Proposal:	Establish Tollgate Residential Treatment Center
Capital Expenditure:	\$500,000

The Applicant may file its Certificate of Need application between June 6, 2010 and August 5, 2010. Interested persons are invited to submit written comments to Cristine A. Vogel, Deputy Commissioner Office of Health Care Access, Division of Department of Public Health, 410 Capitol Avenue, MS13HCA, P.O. Box 340308 Hartford, CT 06134-0308.

The Letter of Intent is available at OHCA or on OHCA's website at [www.ct.gov/OHCA](http://www.ct.gov/OHCA). A copy of the Letter of Intent or a copy of Certificate of Need Application, when filed, may be obtained from OHCA at the standard charge. The Certificate of Need application will be made available for inspection at OHCA, when it is submitted by the Applicant.

\*\*\*\*\*  
\*\*\* TX REPORT \*\*\*  
\*\*\*\*\*

TRANSMISSION OK

TX/RX NO 1469  
RECIPIENT ADDRESS 918452797678  
DESTINATION ID  
ST. TIME 04/20 11:42  
TIME USE 00'28  
PAGES SENT 4  
RESULT OK



STATE OF CONNECTICUT  
DEPARTMENT OF PUBLIC HEALTH  
OFFICE OF HEALTH CARE ACCESS

FAX SHEET

TO: DAVID PALMER

FAX: (845) 279-7678

AGENCY: BLUE SKY BEHAVIORAL HEALTH, LLC

FROM: PAOLO FIDUCIA

DATE: 4/20/10 TIME: \_\_\_\_\_

NUMBER OF PAGES: 4  
*(including transmittal sheet)*

Comments: Docket 10-31575

***PLEASE PHONE IF THERE ARE ANY TRANSMISSION PROBLEMS.***

**Greer, Leslie**

---

**From:** ads [ads@graystoneadv.com]  
**Sent:** Tuesday, April 20, 2010 10:49 AM  
**To:** Greer, Leslie  
**Subject:** Re: Legal Ads10-31574 & 10-31575

Good day!

Thanks so much for your ad submission.  
We will be in touch shortly and look forward to serving you.

If you have any questions or concerns, please don't hesitate to contact us at the number below.

We sincerely appreciate your business.

Thank you,  
Graystone Group Advertising

2710 North Avenue  
Bridgeport, CT 06604  
Phone: 800-544-0005  
Fax: 203-549-0061  
E-mail: ads@graystoneadv.com  
<http://www.graystoneadv.com/>

On 4/20/10 10:38 AM, "Greer, Leslie" <Leslie.Greer@ct.gov> wrote:


To Whom It May Concern,  
Please run the attached public notices in following newspapers:

The News Times	10-31574
The Register Citizen	10-31575

For billing refer to requisition 31099 for both notices, if you have any questions feel free to call me.

Thank you,

Leslie M. Greer x  
Office of Health Care Access  
A Division of Department of Public Health  
State of Connecticut  
410 Capitol Avenue, MS#13HCA  
Hartford, CT 06134  
Phone: (860) 418-7001  
Fax: (860) 418-7053  
Website: [www.ct.gov/ohca](http://www.ct.gov/ohca) <<http://www.ct.gov/ohca>>

 Please consider the environment before printing this message



**Greer, Leslie**

---

**From:** Laurie [Laurie@graystoneadv.com]  
**Sent:** Tuesday, April 20, 2010 4:02 PM  
**To:** Greer, Leslie  
**Subject:** FW: Legal Ads10-31574 & 10-31575  
**Attachments:** 10-31574 News Times.doc; 10-31575 Register Citizen.doc

Your legal notices are all set to run as follows:

Danbury News Times (10-31574), 4/24 issue - \$283.83  
Torrington Register Citizen (10-31575), 4/24 issue - \$148.67

Thanks,  
Laurie Miller

Graystone Group Advertising  
2710 North Ave., Ste 200, Bridgeport, CT 06604  
Ph: 203-549-0060, Fax: 203-549-0061  
email: [laurie@graystoneadv.com](mailto:laurie@graystoneadv.com)  
[www.graystoneadv.com](http://www.graystoneadv.com)

----- Forwarded Message

**From:** "Greer, Leslie" <Leslie.Greer@ct.gov>  
**Date:** Tue, 20 Apr 2010 10:38:53 -0400  
**To:** ads <ads@graystoneadv.com>  
**Conversation:** Legal Ads10-31574 & 10-31575  
**Subject:** Legal Ads10-31574 & 10-31575


To Whom It May Concern,  
Please run the attached public notices in following newspapers:

The News Times	10-31574
The Register Citizen	10-31575

For billing refer to requisition 31099 for both notices, if you have any questions feel free to call me.

Thank you,

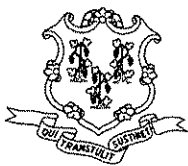
Leslie M. Greer x  
Office of Health Care Access  
A Division of Department of Public Health  
State of Connecticut  
410 Capitol Avenue, MS#13HCA  
Hartford, CT 06134  
Phone: (860) 418-7001  
Fax: (860) 418-7053  
Website: [www.ct.gov/ohca](http://www.ct.gov/ohca) <<http://www.ct.gov/ohca>>

 Please consider the environment before printing this message

----- End of Forwarded Message

----- End of Forwarded Message

4/20/2010



# STATE OF CONNECTICUT

DEPARTMENT OF PUBLIC HEALTH

*Office of Health Care Access*

April 23, 2010

via fax and email only

David Palmer  
Chief Executive Officer/Manager  
Blue Sky Behavioral Health, LLC  
3 Sand Road  
New Milford, CT 06776

RE: Certificate of Need Application Forms; Docket Number: 10-31575-CON  
Blue Sky Behavioral Health, LLC  
Establish Tollgate Residential Treatment Center in Litchfield

Dear Mr. Palmer:

Enclosed are the application forms for Blue Sky Behavioral Health, LLC Certificate of Need ("CON") proposal to establish Tollgate Residential Treatment Center in Litchfield, with a total associated capital expenditure of \$500,000. According to the parameters stated in Section 19a-638 of the Connecticut General Statutes, the CON application may be filed between June 6, 2010 and August 5, 2010.

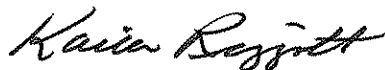
When submitting your CON application and any subsequent application information to this agency, you are obligated to observe the following procedural requirements. **Failure to observe these requirements will require follow-up work on your part to correct the filing.**

- Number and date each page, including cover letter and all attachments. Information filed after the initial CON application submission (i.e. completeness response letter, prefile testimony, late file submissions and the like) must be numbered sequentially from the Applicant's document immediately preceding it. For example, if the application concludes with page 100, your completeness response letter would begin with page 101.
- Submit one (1) original and six (6) hard copies of each submission in 3-ring binders.
- Submit a scanned copy of each submission in its entirety, including all attachments on CD, preferably in Adobe (.pdf) format.
- Submit an electronic copy of the documents in MS Word format with financial attachments and other data as appropriate in MS Excel format.

An Equal Opportunity Employer  
410 Capitol Ave., MS#13HCA, P.O.Box 340308, Hartford, CT 06134-0308  
Telephone: (860) 418-7001 Toll-Free: 1-800-797-9688  
Fax: (860) 418-7053

The OHCA analysts assigned to the CON application are Paolo Fiducia and Carmen Cotto.  
Please contact the analysts at (860) 418-7001 if you have questions.

Sincerely,

A handwritten signature in black ink, appearing to read "Kaila Riggott". The signature is fluid and cursive, with the first name "Kaila" being more prominent than the last name "Riggott".

Kaila Riggott  
Planning Specialist

Enclosures



**State of Connecticut  
Department of Public Health  
Office of Health Care Access  
Certificate of Need Application**

Please complete all questions. If any question is not relevant to your project, Not Applicable may be an acceptable response. Your Certificate of Need application will be eligible for submission no earlier than June 6, 2010, and may be submitted no later than and August 5, 2010. The Analysts assigned to your application are Paolo Fiducia and Carmen Cotto may be reached at the Office of Health Care Access at (860) 418-7001.

**Docket Number:** 10-31575-CON

**Applicant(s) Name:** Blue Sky Behavioral Health, LLC

**Contact Person:** David Palmer

**Contact Title:** Chief Executive Officer/manager

**Contact Address:** Blue Sky Behavioral Health, LLC  
3 Sand Road  
New Milford, CT 06776

**Project Location:** Litchfield

**Project Name:** Establish Tollgate Residential Treatment Center in  
Litchfield

**Type proposal:** Section(s) 19a-638, C.G.S.

**Est. Capital Expenditure:** \$500,000

## 1. Project Description and Need

- a. Provide a narrative detailing the proposal.
- b. Provide the following regarding the proposal's location:
  - i. The rationale for choosing the proposed service location;
  - ii. The service area towns and the basis for their selection;
  - iii. The population to be served, including specific evidence such as incidence, prevalence, or other demographic data that demonstrates need;
  - iv. How and where the proposed patient population is currently being served;
  - v. All existing providers (name, address, services provided) of the proposed service in the towns listed above and in nearby towns; and
  - vi. The effect of the proposal on existing providers.

## 2. Projected Volume

- a. Complete the following table for the first three fiscal years ("FY") of the proposed service.

**Table 1: Projected Volume**

	Projected Volume (First 3 Full Operational FYs)**			
	FY****	FY****	FY****	FY****
Service type***				
<b>Total</b>				

\*\* If the first year of the proposal is only a partial year, provide the first partial year and then the first three full FYs. Add columns as necessary.

\*\*\* Identify each service/procedure type and add lines as necessary.

\*\*\*\* Fill in years. In a footnote, identify the period covered by the Applicant's FY (e.g. July 1-June 30, calendar year, etc.).

- b. Provide a detailed explanation of all assumptions used in the derivation/ calculation of the projected volume.
- c. Provide historical volumes for three full years and the current year to date for any of the Applicant's existing services that support the need to implement the proposed service.
- d. Provide a copy of any articles, studies, or reports that support the statements made in this application justifying need for the proposal, along with a brief explanation

regarding the relevance of the selected articles.

### 3. Quality Measures

- a. Submit a list of all key professional, administrative, clinical, and direct service personnel related to the proposal. Attach a copy of their Curriculum Vitae.
- b. Explain how this proposal contributes to the quality of health care delivery in the region.
- c. Describe the impact of the proposal on the interests of consumers of health care services and the payers of such services
- d. Identify the Standard of Practice Guidelines that will be utilized in relation to the proposal. Attach copies of relevant sections and briefly describe how the Applicant proposes to meet each of the guidelines.

### 4. Organizational and Financial Information

- a. Identify the Applicant's ownership type(s) (e.g. Corporation, PC, LLC, etc.).
- b. Does the Applicant have non-profit status?  
☐ Yes (Provide documentation) ☐ No
- c. Provide a copy of the State of Connecticut, Department of Public Health license(s) currently held by the Applicant and indicate any additional licensure categories being sought in relation to the proposal.
- d. Financial Statements
  - i. If the Applicant is a Connecticut hospital: Pursuant to Section 19a-644, C.G.S., each hospital licensed by the Department of Public Health is required to file with OHCA copies of the hospital's audited financial statements. If the hospital has filed its most recently completed fiscal year audited financial statements, the hospital may reference that filing for this proposal.
  - ii. If the Applicant is not a Connecticut hospital (other health care facilities): Audited financial statements for the most recently completed fiscal year. If audited financial statements do not exist, in lieu of audited financial statements, provide other financial documentation (e.g. unaudited balance sheet, statement of operations, tax return, or other set of books.)
- e. Submit a final version of all capital expenditures/costs as follows:

**Table 2: Proposed Capital Expenditures/Costs**

Medical Equipment Purchase	\$
Imaging Equipment Purchase	
Non-Medical Equipment Purchase	
Land/Building Purchase *	
Construction/Renovation **	
Other Non-Construction (Specify)	
<b>Total Capital Expenditure</b>	\$
Medical Equipment Lease (Fair Market Value) ***	\$
Imaging Equipment Lease (Fair Market Value) ***	
Non-Medical Equipment Lease (Fair Market Value) ***	
Fair Market Value of Space ***	
<b>Total Capital Cost</b>	\$
Capitalized Financing Costs (Informational Purpose Only)	
<b>Total Capital Expenditure with Cap. Fin. Costs</b>	\$

\* If the proposal involves a land/building purchase, attach a real estate property appraisal including the amount; the useful life of the building; and a schedule of depreciation.

\*\* If the proposal involves construction/renovations, attach a description of the proposed building work, including the gross sq. feet; existing and proposed floor plans; commencement date for the construction/renovation; completion date of the construction/renovation; and commencement of operations date.

\*\*\* If the proposal involves a capital or operating equipment lease and/or purchase, attach a vendor quote or invoice; schedule of depreciation; useful life of the equipment; and anticipated residual value at the end of the lease or loan term.

- f. List all funding or financing sources for the proposal, and the dollar amount of each. Provide applicable details such as interest rate; term; monthly payment; pledges received to date; letter of interest or approval from a lending institution.

## 5. Revenues, Expenses, and Patient Population Projections

### a. Patient Population Mix

- i. Provide the current and projected patient population mix (based on the number of patients, not on revenue) for the proposed program.

**Table 3: Patient Population Mix**

	<b>Current** FY ***</b>	<b>Year 1 FY ***</b>	<b>Year 2 FY ***</b>	<b>Year 3 FY ***</b>
Medicare*				
Medicaid*				
CHAMPUS & TriCare				
<b>Total Government</b>				
Commercial Insurers*				
Uninsured				
Workers Compensation				
<b>Total Non-Government</b>				
<b>Total Payer Mix</b>				

\* Includes managed care activity.

\*\* New programs may leave the "current" column blank.

\*\*\* Fill in years. Ensure the period covered by this table corresponds to the period covered in the projections provided.

ii. Provide the basis for/assumptions used to project the patient population mix.

b. Financial Attachments I & II

- i. Provide a summary of revenue, expense, and volume statistics, without the CON project, incremental to the CON project, and with the CON project. **Complete Financial Attachment I.** (Note that the actual results for the fiscal year reported in the first column must agree with the Applicant's audited financial statements.) The projections must include the first three full fiscal years of the project.
- ii. Provide a three year projection of incremental revenue, expense, and volume statistics attributable to the proposal by payer. **Complete Financial Attachment II.** The projections must include the first three full fiscal years of the project.
- iii. Provide the assumptions utilized in developing **both Financial Attachments I and II** (e.g., full-time equivalents, volume statistics, other expenses, revenue and expense % increases, project commencement of operation date, etc.).
- iv. Provide documentation or the basis to support the proposed rates for each of the FYs as reported in Financial Attachment II. Provide a copy of the rate schedule for the proposed service(s).
- v. Provide the minimum number of units required to show an incremental gain from operations for each fiscal year.
- vi. Explain any projected incremental losses from operations contained in the financial projections that result from the implementation and operation of the CON proposal.
- vii. Describe how this proposal is cost effective.

**6. Other Review Criteria**

- a. Describe the proposal's relationship to the Applicant's long-range plans. Provide supporting documentation.
- b. Specify whether any of the following apply to the proposal. If so, provide an explanation and supporting documentation.
  - i. Voluntary efforts to improve productivity and contain costs;
  - ii. Changes to the Applicant's teaching or research responsibilities; and/or
  - iii. Special characteristics of the Applicant's patient or physician mix.



## GENERAL AFFIDAVIT

Applicant: \_\_\_\_\_

Project Title: \_\_\_\_\_

I, \_\_\_\_\_,  
(Name) (Position – CEO or CFO)

of \_\_\_\_\_ being duly sworn, depose and state that the (Facility Name) said facility complies with the appropriate and applicable criteria as set forth in the Sections 19a-630, 19a-637, 19a-638, 19a-639, 19a-486 and/or 4-181 of the Connecticut General Statutes.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Subscribed and sworn to before me on \_\_\_\_\_

\_\_\_\_\_  
Notary Public/Commissioner of Superior Court

My commission expires: \_\_\_\_\_

**OFFICE OF HEALTH CARE ACCESS**  
**REQUEST FOR NEW CERTIFICATE OF NEED**  
**FILING FEE COMPUTATION SCHEDULE**

APPLICANT: _____ PROJECT TITLE: _____ DATE: _____	FOR OHCA USE ONLY: <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 15%; text-align: center;">DATE</th> <th style="width: 15%; text-align: center;">INITIAL</th> </tr> </thead> <tbody> <tr> <td>1. Check logged (Front desk)</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>2. Check rec'd (Clerical/Cert.)</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>3. Check correct (Superv.)</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>4. Check logged (Clerical/Cert.)</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> </tbody> </table>		DATE	INITIAL	1. Check logged (Front desk)	_____	_____	2. Check rec'd (Clerical/Cert.)	_____	_____	3. Check correct (Superv.)	_____	_____	4. Check logged (Clerical/Cert.)	_____	_____
	DATE	INITIAL														
1. Check logged (Front desk)	_____	_____														
2. Check rec'd (Clerical/Cert.)	_____	_____														
3. Check correct (Superv.)	_____	_____														
4. Check logged (Clerical/Cert.)	_____	_____														

<b>SECTION A – NEW CERTIFICATE OF NEED APPLICATION</b>	
<p>1. Check statute reference as applicable to CON application (see statute for detail):</p> <p>_____ 19a-638. Additional function or service, change of ownership, service termination.  <b>No Fee Required.</b></p> <p>_____ 19a-639 Capital expenditure exceeding \$3,000,000, or capital expenditure exceeding \$3,000,000 for major medical equipment, or CT scanner, PET scanner, PET/CT scanner, MRI scanner, cineangiography equipment or linear accelerator.  <b>Fee Required.</b></p> <p>_____ 19a-638 and 19a-639.  <b>Fee Required.</b></p> <p>2. Enter \$0 on "Total Fee Due" line (SECTION B) if application is required pursuant to Section 19a-638 only, otherwise go on to line 3 of this section.</p> <p>3. Enter \$400 on "Total Fee Due" line (SECTION B) if application is for capital expenditure for major medical equipment, imaging equipment or linear accelerator less than \$3,000,000</p> <p>4. Section 19a-639 fee calculation (applicable if section 19a-639 capital expenditure for major medical equipment, imaging equipment or linear accelerator exceeding \$3,000,000 or other capital expenditure exceeding \$3,000,000 is checked above <u>OR</u> if both 19a-638 and 19a-639 are checked):</p> <p style="margin-left: 20px;">a. Base fee: _____</p> <p style="margin-left: 20px;">b. Additional Fee: (Capital Expenditure Assessment) _____</p> <p style="margin-left: 40px;">(To calculate: Total requested Capital Expenditure/Cost excluding capitalized financing costs multiplied times .0005 and round to nearest dollar.) (\$ _____ x .0005)</p> <p style="margin-left: 20px;">c. Sum of base fee plus additional fee: (Lines A4a + A4b) _____</p> <p style="margin-left: 20px;">d. Enter the amount shown on line A4c. on "Total Fee Due" line (SECTION B).</p>	<p>\$ 1,000.00</p> <p>\$ _____ .00</p> <p>\$ _____ .00</p>
<b>SECTION B TOTAL FEE DUE:</b> _____	\$ _____ .00

**ATTACH HERE CERTIFIED OR CASHIER'S CHECK ONLY** (Payable to: Treasurer, State of Connecticut)

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**13. B i.** Please provide one year of actual results and three years of projections of **Total Facility** revenue, expense and volume statistics without, incremental to and with the CON proposal in the following reporting format:

<u>Total Facility:</u>	<u>FY</u>	<u>FY</u>	<u>FY</u>	<u>FY</u>	<u>FY</u>	<u>FY</u>	<u>FY</u>
<u>Description</u>	<u>Actual</u>	<u>Projected</u>	<u>Projected</u>	<u>Projected</u>	<u>Projected</u>	<u>Projected</u>	<u>Projected</u>
	<u>Results</u>	<u>W/out CON</u>	<u>Incremental</u>	<u>With CON</u>	<u>W/out CON</u>	<u>Incremental</u>	<u>With CON</u>
<b>NET PATIENT REVENUE</b>							
Non-Government				\$0			\$0
Medicare				\$0			\$0
Medicaid and Other Medical Assistance				\$0			\$0
Other Government				\$0			\$0
Total Net Patient Revenue	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Operating Revenue							
Revenue from Operations	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>OPERATING EXPENSES</b>							
Salaries and Fringe Benefits				\$0			\$0
Professional / Contracted Services				\$0			\$0
Supplies and Drugs				\$0			\$0
Bad Debts				\$0			\$0
Other Operating Expense				\$0			\$0
Subtotal	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Depreciation/Amortization				\$0			\$0
Interest Expense				\$0			\$0
Lease Expense				\$0			\$0
Total Operating Expenses	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Income (Loss) from Operations	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Non-Operating Income							
Income before provision for income taxes	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Provision for income taxes							
Net Income	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Retained earnings, beginning of year							
Retained earnings, end of year	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTEs				0			0

\*Volume Statistics:

Provide projected inpatient and/or outpatient statistics for any new services and provide actual and projected inpatient and/or outpatient statistics for any existing services which will change due to the proposal.

\*\*\*\*\*  
\*\*\* TX REPORT \*\*\*  
\*\*\*\*\*

TRANSMISSION OK

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TIME USE 04'26  
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STATE OF CONNECTICUT  
DEPARTMENT OF PUBLIC HEALTH  
OFFICE OF HEALTH CARE ACCESS

FAX SHEET

TO: DAVID PALMER  
FAX: 845 279 7678  
AGENCY: BLUE SKY BEHAVIORAL HEALTH, LLC  
FROM: PAOLO FIDUCIA  
DATE: 4/23/10 TIME: 10:15 AM  
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