


**NYS Department of Health  
Home Care Registry (HCR) Worksheet  
Distributed June 2017**

**Agency:** \_\_\_\_\_ **Date:** \_\_\_\_/\_\_\_\_/\_\_\_\_

**Surveyor:** \_\_\_\_\_

**Purpose:** To determine agency compliance with Home Care Registry (HCR) regulations (10 NYCRR Part 403) requiring all Licensed Home Care Services Agencies (LHCSAs) and Certified Home Health Agencies (CHHAs) who employ aides to enter Home Health Aides (HHAs) and Personal Care Aides (PCAs) into or update information, in the registry within 10 business days after hiring, name change, or termination of an employee.

**Note:** If deficiencies are identified use the “Home Care Worker Registry” regulation set and tags found in ASPEN.  Home Care Worker Registry- 403-St -W-1.0

**Pre-Survey Preparation:**

1. **Obtain Agency Profile report from the Health Commerce System –**  
This report lists Active and Inactive Aides with date of birth, date of hire and date of separation. The Agency Profile report will be used for review onsite. To access the report:
  - Access Health Commerce System (HCS).
  - Click on MY CONTENT.
  - Click on ALL APPLICATIONS.
  - Scroll down to Home Care Registry.
  - Click on the GREEN PLUS SIGN.
  - Green Plus Sign will become RED minus sign.
  - Return to HOME, HCR will now be under MY APPLICATIONS and you can access it from
    - your home page.
    - Click on HOME CARE REGISTRY.
    - Click on SEARCH FOR HOME CARE AGENCY.
    - Enter agency name and license #, then Search.
    - Verify the correct agency and click on PRINT AGENCY PROFILE.
  
2. **Verify in the HCS, that the agency’s communication directory has the Home Care Agency Registry Updater & Home Care Agency Registry Viewer roles assigned on HCS.**

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**On-site Survey:**

**1. Request and review agency's Home Care Registry policy and procedure. Does the policy/procedure (P&P) contain the following elements:**

- Does the P&P reference one or more Home Care Agency Registry Updater to enter/update information in HCR? Yes  No
- Does the P&P reference obtaining the potential HHA's or PCA's training certificate issued by the state-approved training program? Yes  No
- Does the P&P reference checking HCR to determine if a potential employee has completed state approved education or training on or after September 25, 2009? Yes  No
- Does the P&P reference entering the required employee information within 10 business days of being employed or hire start date into HCR? Yes  No
- Does the P&P reference updating, adding, or correcting the HCR upon receiving information from the employee that the registry is incorrect within 10 business days? Yes  No
- Does the P&P reference updating the registry within 10 business days of the employee's termination date? Yes  No
- Does the P&P reference providing access to employee's HCR information and the employee's right to a printed report if requested? Yes  No

**2. Verify agency's HCS HCR Viewer and Updater staff assigned. Are the names the same as those listed on HCS Communication Directory?**

**3. Request agency's employee roster that includes, date of hire (start date) and job title.**

- Compare the employee roster to the Agency Profile. Are there any HHA or PCA names on the roster that do not appear on the profile? Yes  No   
(Note: use date registry was printed.) Negative findings:

\_\_\_\_\_  
\_\_\_\_\_

- Was employee data entered into registry within 10 business days of date of hire/start date? Yes  No   
(Note: use date registry was printed.) Negative findings: \_\_\_\_\_

\_\_\_\_\_

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- Are there any HHA or PCA names listed on the agency profile which are not on the employee roster? Yes  No  Negative findings: \_\_\_\_\_  
\_\_\_\_\_
- Interview Human Resource (HR) Manager or Administrator and request termination dates of employees listed on profile that are not on roster.
- Are any names on profile report that were terminated greater than 10 business days? Yes  No  Note: use date registry was printed.) Negative findings: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- Are there any names listed on the registry which the HR manager/Administrator state were changed (i.e. recently married, divorced, etc.)? Yes  No   
Negative findings: \_\_\_\_\_  
\_\_\_\_\_
- Interview the HR manager/Administrator and request the dates the manager was informed of the name change. Are the name changes within 10 business days of the printing of the profile? Yes  No  Negative findings: \_\_\_\_\_  
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**Notes:**

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