



Department of Health

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Commissioner

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Executive Deputy Commissioner

January 30, 2020

DAL: DHCBS 20-05
Subject: PCA-HHA-AHHA Training
Documentation Verification

Dear Administrator:

The purpose of this letter is to refamiliarize you with the January 6, 2011 Home Care Registry (HCR) Advisory regarding using the HCR to verify successful completion of training.

The information contained in this letter also provides additional guidance on training documentation verification for hiring Personal Care Aides (PCAs), Home Health Aides (HHAs), and Advanced Home Health Aides (AHHAs).

Agencies who are reviewing individuals as potential employees as PCAs, HHAs, and AHHAs should review all available requisite materials to determine that the individual has received training from an approved New York State Department of Health (NYSDOH) or New York State Education Department (NYSED) training program. The requisite materials may include the certificate of completion (if available) but must include the Home Care Registry (HCR) aide profile.

The PCA, HHA, or AHHA is not required to provide the hiring agency with a copy of their certificate for employment purposes if they are listed in the public view on the HCR. All documentation that was reviewed for a position should be included in the aide's personnel file and be available to surveyors, upon request.

Any agency currently operating a Licensed Home Care Services Agency (LHCSA), Long Term Home Health Care Program (LTHHCP), Certified Home Health Agency (CHHA), Hospice, or Enhanced Assisted Living Residence (EALR) should familiarize themselves with this information.

This information is posted on the Health Commerce System. Any questions regarding this information should be sent to hcreg@health.ny.gov.

Sincerely,

Mark Hennessey, Acting Director
Division of Home and Community Based Services

Attachments

Home Care Registry (HCR) Advisory

Using the Home Care Registry (HCR) to Verify Successful Completion of Training January 6, 2011

This Advisory affects home care agencies that employ personal care and home health aides.

Chapter 594 of the Laws of 2008 prohibits home care agencies from using anyone not listed in the Home Care Registry to provide home care services. Individuals who are listed in the *public view* in the HCR do not need to provide a potential employer with a certificate as proof that they have completed an approved training program. Likewise, home care agencies are not required to validate the certificates or training of aides already listed in the public view of the HCR. The fact that they are listed in the public view is sufficient.

Agencies entering aides into the HCR who are not already listed in the HCR are required to verify that the individual completed an approved training program before they enter the aide. The Department has previously provided agencies with guidelines for verifying training and certificates.

Agencies should remember that from time to time, the Department will post on HCS/HPN training programs that have been found to be sufficiently deficient to render their training invalid. Individuals with certificates from such programs will not appear in the HCR public view, but will appear upon a search of the HCS/HPN view. These individuals are not aides and cannot be used to provide home care services until they successfully complete an approved training program, at which time they will again appear in the public view.

Agencies are also reminded that in addition to ensuring that any aide used to provide home care services is listed in the HCR, they must also ensure the aide's competence to undertake any task assigned to him/her. Presence in the HCR is not in all cases sufficient to demonstrate competence.

All questions regarding this Advisory should be directed to your Regional Office Home Care Program.

**NYS Department of Health
Division of Home and Community Based Services**

Revision Dates: January 30, 2020

PCA-HHA-AHHA Training Documentation Verification

Purpose

This information has been adapted from the January 6, 2011 Home Care Registry (HCR) Advisory and prepared for surveyors of Licensed Home Care Services Agencies (LHCSAs), Certified Home Health Agencies (CHHAs), and Hospices. This information is for the review of agency personnel files for verifications and certifications of Personal Care Aides (PCAs), Home Health Aides (HHAs), and Advanced Home Health Aides (AHHAs).

Authority

Article 36, Section 3613 of the Public Health Law
10 NYCRR 766.11– Personnel
Chapter 594 of the Laws of 2008
Home Care Registry (HCR) Advisory, January 6, 2011

Application

New York State Department of Health Surveyors
Agencies hiring PCAs, HHAs, and AHHAs

Terminology

Duplicate – This is a term used to reference a certificate that was printed by the Home Care Registry (HCR), upon the request of an aide, who was trained on or after September 25, 2009 and could not obtain a copy of their certificate from their training program or from a previous employer. These certificates will not be signed and will say “Duplicate” on them. (Attachment D)

Corrected Duplicate – This is the same as a Duplicate certificate, however, these certificates had a correction made on them (such as an incorrect spelling of a name). They will not be signed, and they will say “Corrected Duplicate” on them. (Attachment C)

Policy

Agencies who are reviewing individuals as potential employees as PCAs, HHAs, and AHHAs should review all available requisite materials to determine that the individual has received training from an approved New York State Department of Health (NYSDOH) or New York State Education Department (NYSED) training program. The requisite materials may include the certificate of completion (if available) but must include the Home Care Registry (HCR) aide profile.

The PCA, HHA, or AHHA is not required to provide the hiring agency with a copy of their certificate for employment purposes if they are listed in the public view on the HCR.

All documentation that was reviewed for a position should be included in the aide’s personnel file and be available to surveyors, upon request.

Outlined herein, are the procedures for the types of documentation that a surveyor could encounter when reviewing a personnel file.

Procedure

Pursuant to 10 NYCRR 766.11– Personnel:

- Personnel records are to include verifications of employment history and qualifications for the duties assigned and, as appropriate, signed and dated applications for employment.

Pursuant to Chapter 594 of the Laws of 2008 and the Home Care Registry (HCR) Advisory, January 6, 2011:

- For aides trained on or after September 25, 2009, the aide's certificate is generated by the Registry and based on information entered into the system by the training program.
- Home care agencies are prohibited from using anyone not listed in the HCR to provide home care services.
- Individuals who are listed in the public view of the HCR **do not** need to provide a potential employer with a certificate as proof that they have completed an approved training program.
- Home care agencies are not required to validate the certificates or training of aides already listed in the public view of the HCR.
- Home care agencies entering aides into the HCR, who are not already listed in the HCR, are required to verify that the individual completed an approved training program before they enter the aide.
- Steps to verify training and certificates for those trained prior to the HCR (September 25, 2009):
 - The hiring agency must access the HCR and search for a record of the individual's training and/or employment.
 - If the individual cannot be found in the HCR, the hiring agency must contact the previous employer, obtain a work reference, and verify that the applicant worked in compliance with regulation as a PCA or HHA (the previous employer may also have a copy of the original certificate on file that they verified at the start of employment).
 - If records are not available and/or the previous employer is not accessible to provide documentation, the agency must advise the individual to repeat the training.

Aides trained prior to September 25, 2009 and are not listed on the HCR:

The personnel file should contain:

1. A copy of the PCA and/or HHA certificate (if available).

2. If the certificate is not available:
 - a. Documentation that the agency verified the individual was **not** listed in the HCR (Attachment A);
 - b. Documentation that the previous employer was contacted (if applicable);
 - c. Documentation of work reference(s) (if applicable); and
 - d. Documentation stating that the certificate was not available and why it could not be obtained.
3. If the agency was able to verify the training and certificate:
 - Documentation that the hiring agency entered the individual into the HCR (Attachment B).

Note: If the agency **was not** able to verify the training and certificate, a personnel file will not exist at the agency for that individual. However, the agency has the responsibility to advise the individual that their training and certificate could not be verified and that the individual must complete training with an NYSDOH or NYSED approved training program.

Aides trained prior to September 25, 2009 and are listed on the HCR:

The personnel file should contain:

1. A copy of the PCA and/or HHA certificate (if available).
2. If the certificate was not available:
 - a. Documentation that the agency verified the training and certificate on the HCR (Attachment C); and
 - b. Documentation stating that the certificate was not available and why it could not be obtained.

Aides trained on or after September 25, 2009:

The personnel file should contain:

1. A copy of the PCA, HHA, and/or AHHA certificate (if available).
2. A duplicate copy of the PCA, HHA, and/or AHHA certificate (if available).
 - If an aide was trained within the last 6 years, they can contact the training program to obtain a duplicate certificate.
 - If they are unable to obtain a copy from the training program, they can contact the HCR. The HCR will contact the training entity to help them obtain a copy.

- If they cannot obtain a copy from the training entity, or if it has been more than 6 years since the individual was trained, the HCR can print the aide a duplicate certificate and send it to them.
 - A duplicate copy of a certificate is printed by the HCR and sent to the aide upon their request.
 - A duplicate copy of the certificate will say “Duplicate” and will not be signed (Attachment D).
 - A duplicate copy of the certificate may say “Corrected Duplicate” and will not be signed (Attachment E).

3. If the certificate was not available:

- a. Documentation that the agency verified the training and certificate on the HCR (Attachment C); and
- b. Documentation stating that the certificate was not available and why it is not in the personnel file.

Attachment A



[Home](#) --> [Search Registrant](#)

Registrant Search Results

SEARCH CRITERIA		DISPLAY RESULT PREFERENCES		RESULTS TOOLBOX
Registry #:	Certificate #:	Per Page:	<input checked="" type="radio"/> Display 25 <input type="radio"/> Display 50 <input type="radio"/> Display 100 <input type="radio"/> Display All	View Selected Result(s)
First Name:	Last Name: przybowitz	Selection:	<input type="radio"/> Checked Only <input checked="" type="radio"/> Show All	
View All Search Criteria	Perform New Search	Address:	<input type="radio"/> Show Address <input checked="" type="radio"/> Don't Show Address	
Print Search Results				

No Registrants are found.

Attachment B

[Home](#) --> [Return to Agency Aides](#)

Agency Aide Information

[General](#) [Training](#) [Aides](#) [History](#)

• Aide added successfully.

Z Test HHA

OpCert # 8888888

Registry Number	Name (Last)	(First)	Certificate Type	DOB (MM/DD/YYYY)	Hire Date (MM/DD/YYYY)	Separation Date (MM/DD/YYYY)	
							Add
716753	Jane Doe		PCA	01/20/1986	05/17/2019		Save
716732	Mary Smith		HHA	09/25/1989	05/02/2019		Save

Tool Bar
Print Agency Profile

Selected Agencies
Z Test HHA(Albany)
BESTCARE, INC.(Hempstead)
Z Test LHCSA(Albany)

Attachment C

[Home](#) -> [Search Registrant](#)

Registrant Search Results

SEARCH CRITERIA		DISPLAY RESULT PREFERENCES		RESULTS TOOLBOX
Registry #: 644097	Certificate #:	Per Page: <input checked="" type="radio"/> Display 25 <input type="radio"/> Display 50 <input type="radio"/> Display 100 <input type="radio"/> Display All		<input type="button" value="View Selected Result(s)"/>
First Name:	Last Name:	Selection: <input type="radio"/> Checked Only <input checked="" type="radio"/> Show All		
View All Search Criteria	Perform New Search	Address: <input type="radio"/> Show Address <input checked="" type="radio"/> Don't Show Address		
Print Search Results				



One Registrant found.

<input checked="" type="checkbox"/>	Registry #	Name	DOB	Gender	Approved for Employment
<input checked="" type="checkbox"/>	999999	Mary Smith	08/17/1954	Female	Y

[Home](#) -> [Search Registrant](#) -> [Search Registrant Results](#)

Registrant Training

[General](#) **[Training](#)** [Employment](#) [Employability/Determinations](#) [Matching](#)

Mary Smith

Registry Number 999999

Certification: Home Health Aide	Certificate Status:
Training Entity: INTERNATIONAL DEVELOPMENT INSTITUTE	Certificate Status Date: 06/25/2018
Address: 157 WILLIAM STREET NEW YORK, NY, 10038	Certificate #:
Program Name: INTERNATIONAL DEVELOPMENT INSTITUTE	Training Methodology: Training prior to HCR
Start Date:	State Department: SED - BPSS
Registered Nurse:	Instructor:
Senior Official:	Successful Completion Date: 08/10/2007
	Date Certificate Printed:
Certification: Personal Care Aide	Certificate Status:
Training Entity: INTERNATIONAL DEVELOPMENT INSTITUTE	Certificate Status Date: 10/01/2009
Address: 157 WILLIAM STREET NEW YORK, NY, 10038	Certificate #:
Program Name: INTERNATIONAL DEVELOPMENT INSTITUTE	Training Methodology: Training prior to HCR
Start Date:	State Department: SED - BPSS

Tool Bar

Print Registrant Profile

Search Registrant

Selected Registrants

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Attachment D

CERTIFICATE NUMBER: 9999 Duplicate

CERTIFICATE OF COMPLETION

This certifies that

Mary Smith

HOME CARE REGISTRY NUMBER: 9999

has successfully completed

Core Training

*program approved by the New York State Department of Health
and is qualified as a*

Home Health Aide

as of July 28, 2015

Certificate Awarded by:

ZTest LHCSA
Central Avenue
Albany, NY 12206

99999
RN Number

Joyce Smith
Supervising Nurse

Official Agency Designee

RN Number

DOH-4478 (08/09)

Attachment E

CERTIFICATE NUMBER: 99999

CORRECTED DUPLICATE

CERTIFICATE OF COMPLETION

This certifies that

Mary Louise Smith

HOME CARE REGISTRY NUMBER: 99999

has successfully completed

Personal Care Aide Upgrade

*program approved by the New York State Department of Health
and is qualified as a*

Home Health Aide

as of November 21, 2018

Certificate Awarded by:
Z Test LHCSA Training Entity
Test HHATP
South west Avenue, Block 100
Block 100
Albany, NY 12205

RN Number

Supervising Nurse

DOH-4478 (08/09)

Official Agency Designee

RN Number