NEW YORK STATE OF OPPORTUNITY. | Department of Health

KATHY HOCHUL	MARY T. BASSETT, M.D., M.P.H.	KRISTIN M. PROUD
Governor	Commissioner	Acting Executive Deputy Commissioner

April 11, 2022

DAL: DHCBS 22-07
Subject: Verification of Training and Certificate
          Validity for Personal Care Aides, Home
          Health Aides, Advanced Home Health
          Aides

Dear Administrator:

This information is for Licensed Home Care Service Agencies (LHCSAs), Licensed Home Care Service Agencies serving Assisted Living Residences only (ALP LHCSAs), Certified Home Health Agencies (CHHAs), Long-Term Home Health Care Programs (LTHHCPs), Enhanced Assisted Living Residences (EALRs) and Hospices.

The purpose of this letter is to provide updated information regarding verification of training and certificate validity for the hiring of Personal Care Aides (PCAs), Home Health Aides (HHAs), and Advanced Home Health Aides (AHHAs). This letter also provides additional guidance on training documentation verification for hiring PCAs, HHAs, and 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.

As indicated in the March 23, 2022 Home Care Registry (HCR) Advisory, 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 in 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.

If an individual is not listed in the HCR as a PCA, HHA, or AHHA they cannot be considered for employment and would need to attend an approved training program to become certified prior to obtaining employment.

In addition to verifying the PCA, HHA, or AHHA training of a potential employee, the hiring agency must also verify the validity of the certificate. Please note that there are differing requirements for each certification type.

- PCA certificates do not have an expiration date and they do not lapse.

- HHA certificates do not have an expiration date, but they will lapse if the HHA has not worked for an Article 36 or Article 40 agency within a 24 consecutive month period (Per Federal Regulation 42 CFR 484.80).

- AHHA certificates do not have an expiration date, but to maintain the AHHA certification the individual is required to maintain their HHA certificate (as indicated above) and is required to complete 18 hours of in-service annually in order to maintain his/her AHHA certification status on the HCR.

For PCA and HHA certificates, annual in-service requirements do not impact the certificate status, completion of in-services is a condition of employment only.

Agencies are reminded that they should not add an aide to their HCR roster until they have verified the certificate and checked the certificate validity.

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

Sincerely,

Carol A. Rodat
Director
Division of Home and Community Based Services

Attachments

- PCA-HHA-AHHA Verification of Training and Certificate Validity, March 17, 2022
- Home Care Registry (HCR) Advisory: Using the Home Care Registry (HCR) to Verify Successful Completion of Training and Status of Certification, March 23, 2022

NEW YORK STATE OF OPPORTUNITY. | **Department of Health**

KATHY HOCHUL
Governor

HOWARD A. ZUCKER, M.D., J.D.
Commissioner

KRISTIN M. PROUD
Acting Executive Deputy Commissioner

Home Care Registry (HCR) Advisory

Using the Home Care Registry (HCR) to Verify Successful Completion of Training and Status of Certification

March 23, 2022

This Advisory affects Licensed Home Care Service Agencies (LHCSAs), Licensed Home Care Service Agencies serving Assisted Living Residences only (ALP LHCSAs), Certified Home Health Agencies (CHHAs), Long-Term Home Health Care Programs (LTHHCPs), Enhanced Assisted Living Residences (EALRs) and Hospices.

Chapter 594 of the Laws of 2008 prohibits home care agencies from using anyone not listed in the Home Care Registry (HCR) to provide home care services. Agencies are required to verify that a potential employee is listed in the HCR. Individuals who are listed in the public view in the HCR are not required to provide a potential employer with a certificate as proof that they have completed an approved training program.

If an individual is not listed in the HCR as a PCA, HHA, or AHHA they cannot be considered for employment and would need to attend an approved training program to become certified prior to obtaining employment.

Once the certification of the potential employee has been verified (via listing in the HCR), the hiring agency must also verify the status of the certificate. Please note that there are differing requirements for each certification type:

- PCA certificates do not have an expiration date and they do not lapse.

- HHA certificates do not have an expiration date, however they will lapse if the HHA has not worked for an Article 36 or Article 40 agency within a 24 consecutive month period (Per Federal Regulation 42 CFR 484.80).

- AHHA certificates do not have an expiration date, but to maintain the AHHA certification the individual is required to maintain their HHA certificate (as indicated above) and is required to complete 18 hours of in-service annually in order to maintain his/her AHHA certification status on the HCR.

For PCA and HHA certificates, annual in-service requirements do not impact the certificate status, completion of in-services is a condition of employment only.

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.

Any questions regarding this Advisory should be sent to hcreg@health.ny.gov.

NYS Department of Health
Division of Home and Community Based Services

Revision Dates: **January 30, 2020**
March 17, 2022

PCA-HHA-AHHA Verification of Training and Certificate Validity

Purpose

This information has been adapted from the January 6, 2011 Home Care Registry (HCR) Advisory and prepared for surveyors of Licensed Home Care Service Agencies (LHCSAs), Licensed Home Care Service Agencies serving Assisted Living Residences only (ALP LHCSAs), Certified Home Health Agencies (CHHAs), Long-Term Home Health Care Programs (LTHHCPs), Enhanced Assisted Living Residences (EALRs) and Hospices. This information is for the review of agency personnel files and HCR roster for verification of training and certificate validity 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
42 CFR 484.80
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.

In addition to verifying the PCA, HHA, or AHHA training of a potential employee, the hiring agency must also verify the validity of the certificate. Please note that there are differing requirements for each certification type.

- PCA certificates do not have an expiration date and they do not lapse.

- HHA certificates do not have an expiration date, but they will lapse if the HHA has not worked for an Article 36 or Article 40 agency within a 24 consecutive month period (Per Federal Regulation 42 CFR 484.80).

- AHHA certificates do not have an expiration date, but to maintain the AHHA certification the individual is required to maintain their HHA certificate (as indicated above) and is required to complete 18 hours of in-service annually in order to maintain his/her AHHA certification status on the HCR.

For PCA and HHA certificates, annual in-service requirements do not impact the certificate status, completion of in-services is a condition of employment only.

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 HCR 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 verify the certificates or training of aides already listed in the public view of the HCR.

- Steps to verify training and certificates for those trained prior to the HCR (September 25, 2009):

- o The hiring agency must access the HCR and search for a record of the individual's training and/or employment.

- o If the individual cannot be found in the HCR, the hiring agency must advise the individual to attend an approved training program and repeat the training.

Note: If the agency **was not** able to verify the training and certificate validity, 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.

3. Documentation that the agency confirmed the validity of the certificate (that it was not lapsed at the time of hire).

Note (for HHAs and AHHAs only): If the agency finds that the certificate was not valid, 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 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.

- o A duplicate copy of a certificate is printed by the HCR and sent to the aide upon their request.

- o A duplicate copy of the certificate will say "Duplicate" and will not be signed (Attachment D).

- o 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.

4. Documentation that the agency confirmed the validity of the certificate (that it was not lapsed at the time of hire).

Note (for HHAs and AHHAs only): If the agency finds that the certificate was not valid, 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.

Attachment A

Attachment B

Agency Aide Information

| General | Training | **Aides** | History |

- Aide added successfully.

Z Test HHA   OpCert # 8888888

| Status | Active Aides ▾ | Show |

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

New York State
Home Care Registry

Welcome

Home Page | Contact OLTC | FAQs | Rules & Regulations | Help

Training Entities | Registrants | Agencies | Reports | Administration

Home --> Search Registrant

Registrant Search Results

SEARCH CRITERIA		DISPLAY RESULT PREFERENCES		RESULTS TOOLBOX
Registry #: 644097	Certificate #:	Per Page: ⦿ Display 25 ◯ Display 50 ◯ Display 100 ◯ Display All		
First Name:	Last Name:	Selection: ◯ Checked Only ⦿ Show All		View Selected Result(s)
🔍 View All Search Criteria 🔍 Perform New Search		Address: ◯ Show Address ⦿ Don't Show Address		
🖨 Print Search Results				

One Registrant found.   1

	Registry #	Name	DOB	Gender	Approved for Employment
☑	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

				Tool Bar
Certification:	Home Health Aide	Certificate Status:		🖨 Print Registrant Profile
Training Entity:	INTERNATIONAL DEVELOPMENT INSTITUTE	Certificate Status Date:	06/25/2018	🔍 Search Registrant
Address:	157 WILLIAM STREET NEW YORK, NY, 10038	Certificate #:		**Selected Registrants**
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	

© 2009 NYS Department of Health - Home Care Registry   System Information

Attachment D

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