

**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):

- 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 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.

- 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.
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



[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	<a href="#">View Selected Result(s)</a>
First Name:	Last Name: przybowitz	Selection:	<input type="radio"/> Checked Only <input checked="" type="radio"/> Show All	
<a href="#">View All Search Criteria</a>	<a href="#">Perform New Search</a>	Address:	<input type="radio"/> Show Address <input checked="" type="radio"/> Don't Show Address	
<a href="#">Print Search Results</a>				

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)	
<input type="text"/>	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>	<input type="text"/>	Add
716753	Jane Doe		PCA	01/20/1986	05/17/2019	<input type="text"/>	Save
716732	Mary Smith		HHA	09/25/1989	05/02/2019	<input type="text"/>	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		
<a href="#">View All Search Criteria</a>	<a href="#">Perform New Search</a>	Address: <input type="radio"/> Show Address <input checked="" type="radio"/> Don't Show Address		
<a href="#">Print Search Results</a>				

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

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

\_\_\_\_\_  
Official Agency Designee

\_\_\_\_\_  
RN Number

DOH-4478 (08/09)