

VALLEYCARE
**OLIVE VIEW-UCLA MEDICAL CENTER/HEALTH CENTERS
POLICY & PROCEDURE**

**NUMBER: 1794
VERSION: 1**

SUBJECT/TITLE: PRIMARY SOURCE VERIFICATION - LICENSURE, CERTIFICATION, REGISTRATION AND PERMIT OF WORKFORCE MEMBERS

POLICY: Any workforce member whose position requires a current valid license, certificate, registration, and/or permit to perform the duties of his or her position shall produce evidence of license, certificate, registration and/or permit to DHS Human Resources (HR) upon entering County service or assignment. Primary source verification will be conducted during in-processing, upon new assignment, licensing renewal, contract renewal, transfer, and during the performance evaluation process. Primary source verification is conducted to ensure the workforce member's license, certificate, registration and/or permit is current and in good standing with the issuing board or agency.

Note: Some positions require secondary or additional licenses to fulfill regulatory/legal requirements. All licenses or other requirements for licensure, certification, registration or permit must be validated through primary source verification.

If the primary source verification indicates the license, certificate, registration or permit contains restrictive conditions, DHS HR Regulatory Compliance must be consulted prior to processing the prospective workforce member. DHS HR Regulatory Compliance will initiate consultation with the appropriate stakeholders. DHS will not consider prospective workforce members with an expired, revoked or suspended license, certificate, registration, or permit for employment/assignment.

Primary source verifications conducted more than five (5) working days prior to the date of hire/assignment (start date) are considered invalid. Primary source verification must be conducted no later than the date of hire/assignment as a part of in-processing and prior to issuance of a County identification badge.

Managers/supervisors are responsible for ensuring the workforce member has a current and valid license, certificate, registration and/or permit. The manager/supervisor must immediately contact DHS HR Regulatory Compliance to report any workforce member who does not have a license, certificate, registration and/or permit that is current and in good standing with the issuing board or agency or has restrictive conditions, and/or if the workforce member has reported such to

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the manager/supervisor.

PURPOSE: To establish procedures and to delineate responsibility for the conduct of primary source verification for workforce members whose job classification requires a license, certificate, registration, and/or permit.

DEPARTMENTS: All

DEFINITIONS: *Workforce member* means employees, contract staff, affiliates, volunteers, trainees, and other persons whose conduct, in the performance of work for DHS/ValleyCare, is under its direct control, whether or not they receive compensation from the County.

PROCEDURE: DHS HR Regulatory Compliance will provide a listing of all issuing boards and agencies and contact information for primary source verifications. The listing will be posted on the DHS Intranet <http://www.dhs.lacounty.gov>. Questions regarding the issuing board and agencies or the listing may be referred to DHS HR Regulatory Compliance - Infomatics.

IN-PROCESSING – HUMAN RESOURCES

DHS HR will:

(ValleyCare HR will complete in-processing for prospective non-County staff)

1. Obtain a copy of the prospective workforce member's actual license, certificate, registration, and/or permit and appropriate identification (state issued identification card, driver license, or passport).
2. Immediately prior to issuing badge and official hiring/assignment, conduct primary source verification by contacting the appropriate issuing board or agency by website to verify if the license, certificate, registration or permit is:
 - a. Current
 - b. Does not list any past or current disciplinary actions
 - c. Is not suspended, revoked or has any restrictive conditions

NOTE: Under no circumstance shall primary source verification be delayed/postponed past the initial hire/assignment date.

3. Print out the verification from the website. Ensure the printout date is visible on the printed verification.
4. If website is not available, contact the board/agency by telephone, and complete the "Primary Source Verification" form (attached).
5. File a copy of the printout or verification in the official personnel/human

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resources folder.

6. Proceed with in-processing (background check, health clearance, etc.) if license, certificate, registration, and/or permit is valid and unrestricted.
7. Issue DHS identification badge.

County workforce members who terminate County service and begin work as non-County staff or non-County staff who terminate their contract and begin work as County workforce members must undergo a new in-processing which includes new primary source verifications.

MANAGER/SUPERVISOR RESPONSIBILITY

1. On the day of workforce member hire/assignment, conduct primary source verification, print out verification document and file the document in the workforce member's area file.
2. Notify DHS HR Regulatory Compliance if the primary source verification indicates the workforce member's license, certificate, registration or permit has restrictive conditions.
3. Ensure workforce member works within the scope of their license, certificate, registration and/or permit or within the restrictive conditions, as applicable.
4. Ensure workforce member is not allowed to work with an expired, suspended or revoked license, certificate, registration or permit.
5. Immediately notify DHS HR Regulatory Compliance if the workforce member's license, certificate, registration or permit has expired or has been revoked or suspended.
6. Track expiration dates of licenses, certificates, registrations and/or permits of all workforce members under his/her purview and notify workforce members of pending expiration dates.
7. Review renewed licenses, certificates, registrations and/or permits and conduct primary source verification upon renewal.
8. Conduct primary source verification during the performance evaluation process.
9. Ensure a copy of every primary source verification is placed in the workforce member's area file (i.e. secondary or additional licenses, etc).

WORKFORCE MEMBER RESPONSIBILITY

1. Any workforce member whose position requires a current valid license, certificate, registration and/or permit to perform the duties of his or her position shall produce evidence of license, certificate, registration and/or permit to DHS Human Resources upon entering County service or assignment.

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2. Ensure that his or her license, certificate, registration or permit is kept current and in good standing with the appropriate licensing board or agency.
3. Provide a copy of a renewal license, certificate, registration or permit to his or her supervisor and/or DHS Human Resources prior to the expiration date. Failure to maintain appropriate licensure, certification, registration or and/or permit may result in appropriate disciplinary action or immediate release from assignment.
4. Notify his or her supervisor within 24 hours of being notified by the licensing, certification, registration, or permit board/agency that a disciplinary action or restrictive condition is being brought against the license, certificate, registration and/or permit.
5. Work within the scope of the license, certificate, registration and/or permit or within the restrictive conditions, as applicable.

CONTRACT MONITOR/FACILITY LIAISON RESPONSIBILITY

Prospective Non-County Workforce Members

1. **Individual Contracts (Independent Contractors):** ValleyCare's Contract Monitor/Liaison must perform primary source verification prior to contracting with an independent contractor. Independent contractors must meet all eligibility requirements including possessing a license, certificate, registration, and/or permit that is current and in good standing with the issuing board/agency, if applicable.
2. ValleyCare's Contract Monitor/Liaison will provide DHS Contracts and Grants with a copy of the primary source verification printout.
3. Independent contractor must report to the applicable DHS HR office for in-processing in accordance with the "In-processing" section above.
4. Primary source verification must be conducted prior to renewing a contract and/or upon expiration of licensure, certification, registration or permit.
5. **Agency staffing contracts/agreements:** ValleyCare's Contract Monitor/Liaison must perform primary source verification for each individual provided through the contract/agreement prior to sending the individuals to HR for in-processing.
6. ValleyCare's Contract Monitor/Liaison shall obtain and maintain the original primary source verification printouts in an area file.
7. Obtain a copy of the new license, etc. upon renewal and maintain in the area file.

Special provisions will be made in circumstances where ValleyCare requires immediate staffing due to an emergent need, or where ValleyCare may be placed

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in a legally compromising position. If an emergent need arises for a non-County workforce member to begin assignment outside of regular business hours (when ValleyCare's HR Office is closed), the requesting supervisor/manager must complete an affidavit attesting to the emergent need (DHS Procedure 703.1) and complete all primary verification requirements. The prospective non-County workforce member must also complete the affidavit attesting that he/she has never been convicted of a crime and their licensure status is current and unrestricted. The prospective non-County workforce member may then be permitted to begin work pending in-processing and clearance with HR. On the first business day following completion of the affidavit, the non-County workforce member must report to ValleyCare's HR office with a copy of the affidavit and attached primary source verification document for in-processing. **This measure should be taken only as a means of mitigating the negative impact to patient care.** Where there is no emergent need, and no patient jeopardy or immediate liability concern, the non-County workforce member must be scheduled to complete in-processing before beginning their assignment.

RENEWALS (License, Certificate, Registration, Permit)

Licenses, certificates, registrations, and permits may expire at any time during the year. It is the responsibility of the workforce member to ensure it is renewed in a timely manner and received prior to the expiration date. Managers/supervisors are responsible to ensure all applicable staff have renewed their license. Workforce members must not be allowed to work with an expired, suspended or revoked license, certificate, registration or permit.

1. DHS HR Regulatory Compliance will monitor licenses, certification, registration, and permit expiration dates for compliance and provide final notification to the manager/supervisor when the workforce member must be precluded from the assigned responsibilities.
2. DHS HR Performance Management will effect disciplinary measures and/or provide consultation relative to the release of non-County staff, as appropriate.

TRANSFERS

On the occasion that a workforce member transfers from ValleyCare to another DHS facility, the new manager/supervisor must conduct a new primary source verification. This must be completed on the first day of the new assignment. The original primary source verification printout must be filed into the workforce member's new area file with a copy sent to DHS HR.

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PERFORMANCE EVALUATION PROCESS

Managers/supervisors are responsible for conducting primary source verification during the performance evaluation process. A copy of the primary source verification document must be attached to the performance evaluation as well as noted on the HS-1025 form, as appropriate.

Non-County workforce members do not receive the HS-1025 form. The original printout of the verification document must be forwarded to HR with the performance evaluation and Comprehensive Policy Statement (CPS) acknowledgment. A copy of the performance evaluation, primary source verification and CPS acknowledgment must be filed in the area file.

A copy of the performance evaluation form, HS-1025 and CPS can be printed from the DHS intranet website www.dhs.lacounty.gov under the “Forms” link.

References: Joint Commission Standards, HR 01.02.05, MS 06.01.03 & 06.01.05, EM 02.02.13 & 02.02.15 Centers for Medicare and Medicaid Services (CMS) Standards, A0023	
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