

PROCEDURE FOR LICENSING AND CERTIFICATION

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Procedure Introduction

Certain employee positions are subject to license, certificate, or registration requirements based on their job classification and/or job duties. These procedures provide process flow and guidelines for the initial submission, renewal, or reinstatement of, a license, certificate, or registration required to perform professional responsibilities.

Responsibilities and Procedure Details

Employee.

A prospective employee must present proof of license, certification, or registration as requested by the department and before onboarding. Any license or other authorizing documents will become part of the personnel file. Proof of license includes but not limited to providing the original document, copy of the document, and/or personal information required for performing a license verification.

Employees in job classifications that require a license, certification, or registration are responsible for keeping said professional documents current in their Workday profile.

Employees must inform their department manager, via email, within 24 hours when an action is taken against their license or other authorizing documents. The email shall include the date and status and/or type of change to their license, certificate, or registration.

Departments.

Shall designate a responsible team member (department designated individual) to monitor and confirm that employees who are working meet the mandatory requirements for their job classification.

Departments will notify, via email, the respective HR Partner (HRP) should an employee no longer require a specific job-related license, certificate, or registration.

HR Partner/Department Designated Individual.

The HR Partner (HRP) or department designated individual shall request the original and/or copy of a license, certificate, registration according to the job description and classification from the potential employee during the pre-hiring process (prior to onboarding).

The HR Partner or department designated individual shall primary source verify the license, certificate, or registration received from the potential employee and upload the documents to the applicant file or employee personnel file in Workday. Verification results will be emailed to the hiring manager.

The HR Partner or department designated individual shall review and determine scope of practice for employee in which professional license status is restricted by their respective governing body. This includes the following license statuses: invalid, pending, revoked, suspended, etc.

The HR Partner or department designated individual will notify the compensation department if a job classification no longer requires a specific job-related license, certificate, or registration.

Licensing and Certification Department (L&C).

L&C will provide leadership with periodic reports measuring performance through data collection, assessing current practices, and utilizing the data to improve organizational processes, services, and overall performance of the licensing and certification program.

Verification.

Confirmation of the authenticity of licenses, certifications, or registrations, reported by the employee must be primary source verified prior to the hire date, at reappointment or renewal or any revision of job responsibilities or classification, and at the time of license, certificate, or registration expiration.

Primary source verification is accomplished through electronic or telephonic contact with the issuing agency (the primary source). The chain of transmission of the document or information must come from the issuing authority to be considered primary source verified. Copies of licenses or other authorizing documents are NOT considered PSV, even if one personally makes the copy from the original document. See below for the Primary Source Verification Process.

Pre-Hire Verification Process (Current).

During the screening process and before onboarding, the job candidate must present the HR Partner or department designated individual with proof of license, certificate, or registration as outlined in the job description. Except where prohibited by law, the HR Partner or department designated individual will make copies of all licenses and authorizing documents for the potential hire.

The HR Partner or department designated individual will upload, to the employee's Workday profile, proof of licensure via primary source verification procedures and include a time stamp confirming verification of information provided by the potential hire.

Pre-Hire Verification Process (Future).

Before onboarding, the job candidate provides license information to background screening vendor. Vendor performs primary source verification: contacts issuing agency to confirm the license type, status, designation, date of issuance/expiration and any sanctions/actions. After verification and prior to start date, the HR Partner or department designated individual uploads licensing details to the employee's Workday profile.

Renewal and Re-Verification Process.

Employees in job classifications that require a license, certification, or registration receive an automated Workday notification at 60/30/10/0 days prior to the license, certificate, or registration expiration date with an embedded task of Change My License. The employee uploads the requisite license, certification, or registration to their Workday profile.

The department manager and HR Partner/ HR Payroll Analyst (HRP/HRPA) receives copies of the 60/30/10/0 day notification sent to the employee. The department designated individual receives a notification after the employee completes the assigned task. The department designated individual verifies via primary source verification and approves or declines. The department designated individual may take action on behalf of the employee.

Monitoring.

The department designated individual receives an email notification of a weekly, system-generated report that tracks expiration dates and days until expiration for department employees in job classifications that require an active license, certificate, or registration. This Workday report arrives to the individual’s inbox and is available for immediate download, as needed, to review and/or take action before the deadlines.

Reporting Changes.

The department designated individual will notify the HRP/HRPA and L&C immediately if an employee’s license, certificate, or registration becomes inactive, invalid, or restricted. The email notification shall include the employee’s name, job code and title, license type, and status change date. In consultation with the HR Partner, the department shall implement corrective action in response to any change in status, including but not limited to the removal of the employee from the schedule until reinstatement of the license or other authorizing documents.

Primary Source Verification Process.

Verify a license, certificate, or registration renewal with the issuing Board or Agency.

Via the Board or Agency Website:

- Gather the employee’s data
- Identify issuing Board or Agency
- Visit the official Board or Agency website
- Perform a license, certificate, or registration search entering the employee’s information
- Once confirmed, download a copy to include the primary source URL and verification details
- If the URL does not contain the entity’s name, record the primary source on the document
- Add the verification documentation to the employee’s personnel file

Via telephone (unable to verify online):

- Gather the employee’s data
- Identify issuing Board or Agency telephone number
- Call the Board or Agency
- Provide the employee’s data to the Board or Agency
- Once confirmed, note the date, time, and name of the person providing the information on a copy of the license, certificate, or registration
- Add the source verification information to the employee’s personnel file

Via copy of license, certificate, or registration from the employee:

- The employee presents a copy of the license, certificate, or registration to the department manager
- The department manager performs a source verification (as outlined above)
- The department manager adds the source verification information to the employee’s personnel file

Definitions

Term	Definition
Active	Characterized by present activity, participation, practice, or use.
Current	Not revoked, suspended, or lapsed.
Other authorizing documents	Certification or registration granted by a US jurisdiction to provide services in a specified discipline; or in specialties not licensed.
Primary Source Verification (PSV)	Verification of license or other authorizing documents via electronic or telephonic contact with the issuing agency.

Reinstatement	The return of the employee’s responsibilities and privileges.
Restricted	Characterized by imposed stipulations or restrictions pertaining to the scope, location, or type of practice ordinarily granted to all other applicants for similar licensure in the granting jurisdiction. Includes but is not limited to cancelled, pending, limited, revoked, etc.
Valid	The issuing authority accepts and considers professional performance and conduct in determining continued licensure.
Verification	Confirmation of the authenticity of a license, certificate, or registration reported by the employee.

Compliance

Employees who fail to report changes or maintain the required license, certificate, or registration as defined by their job classification or job duties, may be subject to disciplinary action, up to and including termination as subject to the terms and conditions outlined by their specific department/unit/supervisory organization. Click or tap here to list all applicable monitoring, exceptions, enforcement, or sanctions for non-compliance. If there are no applicable sanctions, delete this section.

Relevant Forms and Tools

N/A

Contacts

Please direct any questions regarding this procedure to:

OFFICE	PHONE	EMAIL
USC HR Service Center	213-821-8100	uschr@usc.edu