Compliance Guide for Clinical & Field Students
Master's of Social Work

Compliance Questions? – Contact OCPC anytime!

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Introduction

Compliance requirements are designed to keep everyone safe in a clinical or field setting—patients or clients, visitors, providers, technicians, and student trainees. They can include things like immunizations and screenings, background checks, required trainings, forms and attestations, and more. Requirements may come from UConn policies, clinical site policies, and/or clinical affiliation agreements between UConn and clinical sites. These requirements can change during your time in the program, and they apply to every student in a clinical or field placement, regardless of discipline. Compliance ensures your personal health and safety, promotes public health, and allows you to proceed with your clinical or field placement on schedule. Fulfilling these requirements is your responsibility as are any associated costs.

> **Remember: You cannot participate in a clinical or field placement**
> **if you are not compliant in all required categories!**

First Steps

1. Review the information in this guide and the full Compliance Overview for Clinical & Field Students training video playlist for your program at http://ocpc.office.uconn.edu/students.
2. Review all requirements and ask any questions you may have. Mark your calendar with deadlines and make a plan to fulfill all requirements by your program's deadlines.
3. Set up your ADB/Complio account (instructions below) and begin working on requirements.
4. Make any necessary healthcare provider appointments as soon as possible.

Setting Up Your ADB/Complio Account

complio by American DataBank

Complio by American DataBank is the online platform used by all UConn clinical and field placement programs for criminal background checks, drug screens, and compliance requirement tracking. It's your one-stop site to check compliance in all areas, complete some requirements, and receive reminders and expirations. You'll retain access to your documents even after graduation.

To get started, follow these steps:

1. Visit http://adb.uconn.edu and log in with your UConn NetID and password. Please do not register using other credentials as you will not be within the UConn environment.
2. Click "Get Started" to begin setting up your ADB/Complio profile with your basic information.
3. Add any aliases that may appear on your documents to ease the review process.

After saving your profile details, you'll be taken to your ADB/Complio home screen where you can place your order, check your overall compliance status, access individual requirements, share your profile, view video tutorials, and much more!

A Note About Deadlines

Due to the nature of the MSW admission cycle and the possibility of completing the program on a part-time basis, students may be beginning to work on their compliance requirements at slightly different times. To accommodate this, we have set deadlines for three distinct groups:

1) Continuing MSW students preparing to begin their first year of field placement **[Continuing Student Deadlines]**
2) Incoming MSW students admitted by 4/15 who plan to begin their first year of field placement the following fall **[Incoming Admitted by 4/15]**
3) Incoming MSW students admitted by 7/15 who plan to begin their first year of field placement the following fall **[Incoming Admitted by 7/15]**

If you have any questions about which deadline group you fall into, please reach out to the School of Social Work or OCPC as soon as possible for clarification. The School of Social Work cannot begin the process of placing you with your field agency until you are fully compliant.

Purchasing Your Initial ADB/Complio Tracking Package

WHEN: For *Continuing Students* - *Winter/Spring prior to starting first year of field placement; for Incoming Admitted by 4/15 and Incoming Admitted by 7/15 – as soon as possible after matriculation; For all students: renew subscription as needed to remain current throughout remainder of program*

Once you've set up your ADB/Complio profile, you're ready to place your order! Follow these steps to ensure that you select the appropriate options for your program:

1. Click "Place Order," select "Social Work" as your program, then "Graduate."
2. Click "Load Packages."
3. Unless otherwise instructed, locate "University of Connecticut Tracking Package" under the Immunization Package(s) heading. Note that you are required to maintain an active ADB/Complio subscription through the remainder of your program so you may have to renew your subscription prior to finishing your program.
4. Complete remaining order and account set-up steps as required. Now you're ready to start working on your compliance requirements and uploading your documents (more on that below)!

Purchasing Your Background Check

WHEN: For *Continuing Students* – *May 1-15 prior to first year of field placement, annually thereafter; for Incoming Admitted by 4/15 – as soon as possible after matriculation, but by June 1, annually thereafter; for Incoming Admitted by 7/15 – as soon as possible after matriculation, but no later than August 1, annually thereafter.*

1. Do not order until instructed or you will have to purchase another package!
2. When instructed, you'll repeat the order process to order the "Basic Background Check" item under the Screening heading. The base price is $28.40, but actual cost varies based on the state(s) in which you have lived in the last seven years.
3. If you have lived internationally for 90+ consecutive days in the past 7 years, you must also purchase an International Background Check as a separate item (base price $20.00, actual cost varies based on the countries in which you lived).
4. For background check purposes, make sure the primary name on your ADB/Complio account exactly matches the name on your social security card. You'll find more specific details about the background check later in this guide.
5. If you have questions or concerns about a flag or potential flag on your background check, please reach out immediately to clinicalcasemanager@uconn.edu.
6. You will repeat your background check for your second year of field placement, but please wait to order until instructed so you don't have to purchase a duplicate package!

What happens next?

Once you place your *Tracking Package order*, you can begin working on your compliance requirements and submitting your documents for review. **Remember that you are responsible for collecting and uploading all required documentation so that it can be verified by ADB/Complio staff** (e.g., forms, lab reports, and more). You will not be allowed to participate in clinical rotations if you are not compliant in all categories. Please plan ahead and be proactive in seeking healthcare provider appointments and documentation to meet your compliance requirements.

For Background Check orders, you don't need to do anything more once you've placed your order and supplied all required information. ADB/Complio will complete your background check within a few days and port the results into your compliance profile. Be sure to check your UConn email frequently because you will be notified of any flags, and it is your responsibility to reach out to clinicalcasemanager@uconn.edu as quickly as possible to begin the resolution process.

Compliance Requirements Checklist & Due Dates
See later pages of this guide for important details about each requirement.

denotes requirements that expire and will need to be kept current during your program

Remember to look for your deadlines by group!

Continuing Students   **Incoming Admitted by 4/15**   **Incoming Admitted by 7/15**

Due by April 1/June 1/August 1 – in preparation for fall field placement
- □ Immunization Requirements
    - □ Measles, Mumps & Rubella (MMR) – positive quantitative IgG titers
    - □ Varicella – positive quantitative IgG titer
- □ Tuberculosis*
- □ Other Requirements
    - □ Information Release Form – complete within ADB/Complio

Due May 1-15/June 1/August 1 – in preparation for fall field placement
- □ Basic Criminal Background Check
- □ International Background Check if you have lived internationally for 90+ consecutive days in the last seven years
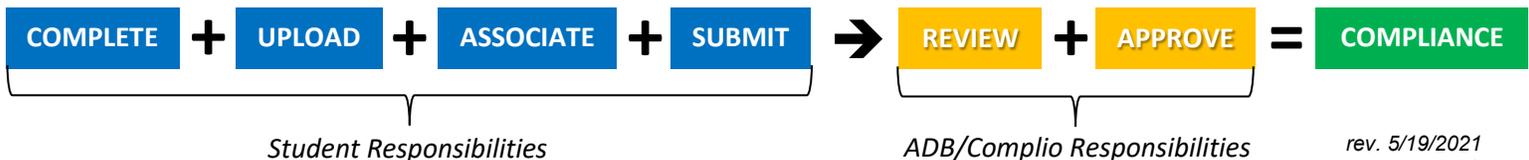
Due by October 1 (all students) – to continue fall field placement
- □ Updated Seasonal Influenza Vaccine*

> **Note: Your specific placement agency may have additional requirements that you will have to complete prior to beginning your placement. Your program will notify you of these requirements as soon as possible after your placement assignment has been made.**

Pathway to Compliance

Remember: It isn't enough to complete the above requirements…you must also upload appropriate documentation into ADB/Complio and associate the document(s) to the correct requirement so they can be reviewed!

COMPLETE **+** UPLOAD **+** ASSOCIATE **+** SUBMIT **➔** REVIEW **+** APPROVE **=** COMPLIANCE

Student Responsibilities   *ADB/Complio Responsibilities*

Key Symbols You'll See in ADB/Complio

Not Compliant
This could mean that you haven't yet submitted anything for the category, that you have additional steps before you can achieve compliance for this category, and/or that one or more submitted documents were rejected.

Under Review
One or more documents you've submitted are in the ADB/Complio review queue.

Compliant
Congratulations! Be sure to pay attention to any expiration dates so you can keep your compliance status.

Gathering Documents

As you complete requirements, you'll need to make sure you're gathering the appropriate documents for submission to ADB/Complio. You might obtain these documents from your healthcare provider, a patient portal, your Student Health & Wellness portal, or other sources. Please be aware that not all standard reports will contain all required information for compliance so make sure to double check before you submit your documents to ADB/Complio. Be proactive and advocate for yourself throughout this process—remember that you are ultimately responsible for your own compliance!

What's required on your documents?

In general, all submitted documents must include your full name (must match at least one name in your ADB/Complio profile), the date the service was performed, and the provider name/details. For titers, your lab report should include the quantitative result and interpretive reference ranges. Additionally, make sure your documents are clear and legible. You can scan to JPG or PDF, download/print to PDF, or even take photos with your smartphone. Just be sure to make your documents as professional as possible—sometimes we have to provide your actual documents to a site so don't submit something you'd be embarrassed to use professionally! We recommend that you name your files so that you'll know which document goes with which requirement (e.g., "MeaslesTiter.jpg" vs. a default "IMG8675309.jpg").

Uploading Documents & Associating with Requirements

When you've gathered some documents and you're ready to submit them to ADB/Complio, simply follow these steps:

1. Log into your account at http://adb.uconn.edu
2. Use your ADB/Complio home screen to find the category you want to work on and click "Enter Requirement"
3. If you're completing a form within ADB/Complio, follow the prompts to review and sign electronically
4. Otherwise, select the individual component requirement from the dropdown (e.g., Measles Titer)
5. Enter pertinent details (date, titer result, expiration, etc.) as applicable
6. Upload file or select from previously uploaded files
7. Click "Submit"
8. Repeat for each requirement in the category or for other categories as desired

Remember that you can attach multiple documents to the same requirement and/or attach the same document to multiple requirements. Once submitted, your documents will go into the ADB/Complio review queue, which typically takes 2-3 business days. Watch your UConn email during this time as you will receive a notification if your submission was rejected. The ADB/Complio admin will include comments with the reason for the rejection so you can address the issues. If you have any questions, please reach out to OCPC for assistance.

General Notes on Immunization Requirements

For some immunization requirements (MMR and Varicella), documentation of prior vaccination is not sufficient for compliance. Instead, you must demonstrate immunity through a positive titer, a blood test that checks for the antibodies produced by the vaccines. Titer results may be positive (indicating immunity), negative (indicating a lack of immunity), or equivocal (indicating a lack of immunity). Any negative or equivocal results will require boosters and repeat titers so please plan ahead for possible wait times between steps.

For immunizations that require titers, your healthcare provider will order the labwork for you and then you will go to the designated lab site to have your blood drawn. After the sample has been processed, you should obtain a copy of the lab report showing the quantitative result and reference range and upload that lab report to ADB/Complio under the appropriate category/requirement.

If one of your primary titers is negative or equivocal and you require boosters, you will have ***temporary compliance*** while you complete the additional next steps required for compliance. Please be sure to stay on schedule for boosters and repeat titers and submit all steps to ADB/Complio as you go so that you can remain compliant while you wait.

If you complete all recommended boosters and your repeat titer is negative or equivocal, you will be considered a "Non-Responder" for that immunization, meaning that your body will not convert the vaccine to detectable immunity. In this case, your provider will complete a Non-Responder Form, which you will submit to ADB/Complio.

Immunization Requirement Details

The following explanations should aid you in completing your immunization requirements for compliance. Please reach out to OCPC if you have any questions about next steps.

Measles, Mumps & Rubella (MMR) – Documentation of prior vaccination is not sufficient for compliance. Instead, you must demonstrate immunity to Measles, Mumps, and Rubella via positive quantitative IgG titers. Follow these steps:

1. Have your healthcare provider perform a **quantitative IgG titer** for Measles, Mumps, and Rubella. Obtain and upload lab report(s) with quantitative results and reference ranges to ADB/Complio. Note that you must enter data for Measles, Mumps, and Rubella titer items separately, even if all information is contained in a single document.
2. If all three titers are positive, you'll be compliant!
3. If one or more of your titers are negative or equivocal, you should immediately have an MMR booster and then 6-8 weeks later a repeat titer. Your healthcare provider may recommend two boosters 28 days apart prior to your repeat titer. Submit documentation of each step as you go so you can receive/retain temporary compliance.
4. If your repeat titer is negative or equivocal, you'll be considered a "Non-Responder," and your provider will complete a non-responder form, which you will submit to ADB/Complio.

Varicella – Documentation of prior vaccination or history of disease is not sufficient for compliance. Instead, you must demonstrate immunity to Varicella via a positive quantitative IgG titer. Follow these steps:

1. Have your healthcare provider perform a **quantitative IgG titer** for Varicella. Obtain and upload lab report with quantitative results and reference ranges to ADB/Complio.
2. If your titer is positive, you'll be compliant!
3. If your titer is negative or equivocal, you should immediately have a Varicella booster and then 6-8 weeks later a repeat titer. Your healthcare provider may recommend two boosters 28 days apart prior to your repeat titer. Submit documentation of each step as you go so you can receive/retain temporary compliance.
4. If your repeat titer is also negative or equivocal, you'll be considered a "Non-Responder," and your provider will complete a non-responder form, which you will submit to ADB/Complio.

Seasonal Influenza Vaccine – You are required to have an annual flu shot between August 1 and October 1. Obtain appropriate documentation including the date of vaccination, manufacturer, product name, lot number, expiration, dose, injection site, and name/title/etc. of healthcare provider administering the vaccination.

Tuberculosis Requirement Details

Each year, your program requires that you fulfill compliance for the Tuberculosis category to demonstrate that you are free from active TB infection. Note that you may see "Institutional Exemption" listed on your Student Health & Wellness report under TB. This only applies for UConn on-campus purposes and is not sufficient for compliance.

You have two options for fulfilling this requirement:

1. **QuantiFERON or T-Spot Blood Test (Preferred)** – Single provider visit for bloodwork that will check for TB infection. Obtain and submit lab report to ADB/Complio.
2. **Mantoux PPD Skin Test** – Two provider visits, one to have the PPD planted and then, 48-72 hours later, a second visit to have the PPD result read. Submit plant and read information to ADB/Complio.

Other Requirement Details

Information Release – You must submit a signed copy of the Student Authorization & Consent for Review & Disclosure form, which allows your program and OCPC to review your records and submit required information to your clinical or field placement site. Complete this form directly within ADB/Complio by clicking "Enter Requirements" next to the category and following the prompts.

Background Check Requirement – Order only when instructed

Criminal Background Check
- When instructed, purchase the "Basic Background Check" item in ADB/Complio.
- Background checks include SSN trace, national sex offender search, OIG/GSA searches, state and/or county criminal search in all states of residence for the past seven years, and a FACIS Level 3 screening.
- Ensure that your primary name in ADB/Complio matches *exactly* the name on your social security card. If there is a mismatch, you'll have to order and pay for a new background check at your own expense.
- International Background Check - If you've lived internationally for 90+ consecutive days in the past seven years, you'll also purchase an international criminal background check (separate order).
- Watch your UConn email for results (usually within a week) and reach out to clinicalcasemanager@uconn.edu ASAP to resolve any flags. It is your responsibility to follow-up and take any required next steps.
- Background check results will automatically port into your compliance profile with no additional action needed.

Remember: You cannot participate in a clinical or field placement experiences if you are not compliant in all required categories!

Questions? Reach out to ocpc.compliance@uconn.edu