

Compliance Guide for Clinical & Field Students Master of Social Work

Compliance Questions? – Contact OCPC anytime!



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Questions about ADB/Complio, requirements, documents, deadlines, etc.



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Questions about flags or potential flags on background checks and drug screens

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.

Reminder: You will not be able to begin your placement if compliance requirements are not met and you will be removed from your placement if compliance lapses.

First Steps

1. Review the information in this guide and the full Compliance Overview Training video playlist for your program at <http://ocpc.office.uconn.edu/MSW>.
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 subscription (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 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 Student Deadlines]** Continuing MSW students preparing to begin their first year of field placement
- 2) **[Incoming Admitted by 4/15]** Incoming MSW students admitted by 4/15 who plan to begin their first year of field placement the following fall
- 3) **[Incoming Admitted after 4/15]** Incoming MSW students admitted after 4/15 who plan to begin their first year of field placement the following fall

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 after 4/15]** – 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 15/June 15/August 1** – in preparation for fall field placement

- Immunization Requirements
 - Measles, Mumps & Rubella (MMR) – positive quantitative IgG titers
 - Varicella – positive quantitative IgG titer
 - Hepatitis B – positive quantitative HBsAb titer
 - Tdap
 - COVID-19 Vaccine
- Tuberculosis*
- Other Requirements
 - Physical Exam* – using UConn’s form (<http://ocpc.office.uconn.edu/Physical>)
 - Student Consent & Attestation – complete within ADB/Complio
 - Health Insurance
 - HIPAA Training

Due **May 1-15/June 15/August 1** – in preparation for fall field placement (do not complete before May 1)

- Basic Criminal Background Check
- International Background Check if you have lived internationally for 90+ consecutive days in the last seven years

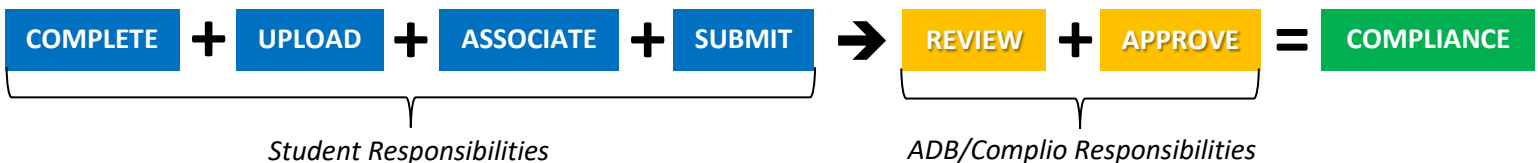
Due by **October 1 (all students)** – to continue fall field placement

- 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!



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 rationale for the rejection so you can address issues. Please reach out to OCPC with questions.

General Notes on Immunization Requirements

For some immunization requirements (MMR, Varicella, and Hepatitis B), 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 will aid you in fulfilling immunization requirements. Please reach out to OCPC with questions.

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 titers. Follow these steps:

1. Have your healthcare provider perform IgG titers for Measles, Mumps, and Rubella. Obtain and upload lab report(s) to ADB/Complio. Note that you must enter data for Measles, Mumps, and Rubella titers 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 provider may recommend two boosters 28 days apart prior to your repeat titer. Submit documentation of each step as you go to 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 titer. Follow these steps:

1. Have your healthcare provider perform a titer for Varicella. Obtain and upload lab report 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 provider may recommend two boosters 28 days apart prior to your repeat titer. Submit documentation of each step as you go to 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.

Hepatitis B – Documentation of prior vaccination is not sufficient for compliance. Instead, you must demonstrate immunity to Hepatitis B via a positive HbsAb (Surface Antibody) titer. Follow these steps:

1. Determine whether you have previously completed the Hepatitis B series.
2. **If you have not completed the series**, immediately begin either the three-shot or two-shot series, whichever is recommended by your provider. Submit documentation of each step as you go to receive/retain temporary compliance. Once you've completed the series, wait one month and have your provider perform an HBsAb titer. Obtain and upload lab report to ADB/Complio. If titer is positive, you'll be compliant. If not, skip to step 4 below.
3. **If you have completed the series**, have your provider perform an HBsAb titer. Obtain and upload lab report to ADB/Complio. If titer is positive, you'll be compliant.
4. If your titer is negative or equivocal, you should immediately start a repeat three-shot or two-shot Hepatitis B series, whichever is recommended by your provider. Submit documentation of each step as you go so that you will receive/retain temporary compliance. Three-shot series: Dose 1, wait 1 month, Dose 2, wait 5 months, Dose 3, wait 1 month, repeat titer. Two-shot series: Dose 1, wait 1 month, Dose 2, wait 1 month, repeat titer.
5. If your repeat titer is also negative or equivocal, you'll be considered a "Non-Responder," and your provider will need to complete a non-responder form, which you will submit to ADB/Complio.

Tdap – Your program requires documentation of a current Tetanus/Diphtheria/Pertussis (Tdap) vaccination. If your Tdap expires during your program, you will have to get a booster to retain compliance. No titer is required for Tdap.

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, and provider.

COVID-19 Vaccine – You must submit documentation of your primary COVID-19 vaccine dose(s)—two doses of Pfizer or Moderna or a single dose of Johnson & Johnson—and one booster dose. Note that current CDC guidelines define "full vaccination" as the primary series plus the bivalent booster (dated after 9/2/2022). Some agencies require adherence to CDC guidelines, and agency requirements are subject to change at any time. You will not be able to begin or continue a placement if you do not meet agency requirements. If approved by UConn for a medical or religious exemption, submit exemption approval to ADB/Complio. Note that declining the COVID-19 vaccine may limit the availability of clinical/field site placements.

Annual Tuberculosis Screening 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.

Positive TB test or history of TB? – Submit annual chest x-ray and Annual TB Screening Questionnaire from health requirements packet, including provider attestation that any recommended treatment is complete.

Other Requirement Details

Physical Exam – Your program requires an annual physical exam, completed by your healthcare provider using the UConn Physical Exam form (<http://ocpc.office.uconn.edu/Physical>). Note that all fields are required except where labeled optional. Color vision screening and Clearance for N95 Fit Testing are both required. Please make sure that your provider completes all sections and do not submit an incomplete form.

Student Consent & Attestation – Your program requires completion of the **Student Consent & Attestation**, which allows your program and OCPC to review your records and submit required information to your clinical or field placement site and reviews important information related to your placement. Complete this form directly within ADB/Complio by clicking “Enter Requirements” next to the category and then the name of the form next to the “Complete Form” field.

Health Insurance Card – For compliance, you are required to maintain health insurance coverage throughout your program. Submit scans/photos of both the front and back of your insurance card. Should your insurance coverage change after initial submission, please submit updated information ASAP.

HIPAA Training – You are required to complete HIPAA Training through HuskyCT. To access the training, please [log into HuskyCT](#) and follow these steps:

1. On your Institution Page, scroll down to the box labeled “Self-Enroll Courses & Organizations for Students.”
2. Locate “Office of Clinical Placement Coordination (OCPC)” and click the organization name to enter
3. Click the green “Enroll” button on the left and follow any prompts to complete enrollment
4. Click HIPAA Training content module and watch the video training, checking “Reviewed” once complete; advance to the next screen and complete the HIPAA quiz with a score of 90% or higher
5. Click “My Certificates of Completion” in the left menu to access your certificate, which you will need to download or screenshot and submit to Complio using the corresponding HIPAA Training requirement.

Annual Background Check Requirement – Order only when instructed

When instructed on May 1, purchase the “Basic Background Check” item in ADB/Complio. Background checks include SSN trace, national sex offender search, OIG/GSA searches, and state and/or county criminal search in all states of residence for the past seven years. If you’ve lived internationally for 90+ consecutive days in the past seven years, you’ll also purchase an international criminal background check. Once complete, results will automatically port into compliance profile with no additional action needed.

Key Tips:

- Ensure that your primary name in ADB/Complio matches **exactly** the name on your social security card (middle name/initial, suffix, hyphenation, etc). Double check that you’ve entered your social security number correctly. If there is a mismatch, you’ll have to order and pay for a new background check at your own expense.
- Watch UConn email for results (usually within a week) and reach out to clinicalcasemanager@uconn.edu ASAP to resolve any flags. It’s your responsibility to follow-up right away and take any required next steps.

Drug Screen – Order only if instructed for a specific agency placement

Your program does not require a drug screen for baseline compliance. However, one or more of your assigned placement agencies may require a drug screen prior to placement. If instructed to order a drug screen, follow instructions from your program about which drug screen item to purchase and when. Then go to selected lab (Quest or Labcorp) to provide urine sample. Once complete, drug screen results will automatically port into your compliance profile with no additional action needed.

Key Tips:

- Reach out to testing site to confirm hours, times drug screens are administered, appointment policies, etc.
- Your drug screen order will expire after 14 days. If it expires, you must order a new drug screen at your own expense. There's no possibility of adjusting the expiration date, so plan ahead.
- Flags – A “flag” on a drug screen alerts you to a problem that requires your immediate attention. It could result from the presence of a tested substance, an issue in the sample, etc. See how to avoid flags below.
 - If you have a concern about a potential flag, please reach out to clinicalcasemanager@uconn.edu before you place your order. The Clinical Case Manager will provide confidential guidance about how to proceed. This **does not** mean that any potentially flagged issues will be acceptable for your program.
 - If you have a flag on your completed drug screen, you must reach out to clinicalcasemanager@uconn.edu right away to begin the resolution process.
 - As the student, you have an affirmative responsibility to monitor the results of your drug screen and take necessary steps following any flags, including reaching out to clinicalcasemanager@uconn.edu.
- Drug Screens flagged as a negative dilute:
 - A negative dilute most often indicates overhydration. Do not overhydrate prior to your drug screen.
 - Under UConn policy, if your drug screen is flagged as a negative dilute, you must immediately complete a second drug screen within three days. You'll start by purchasing a new drug screen in ADB/Complio. If you are notified of the first test's flag before noon, that day counts as day one of the three-day re-test window. Sundays and state holidays are excluded.
- You have two attempts to pass the drug screen. If your second test is flagged, you will be deemed to have failed your required drug screen and you will not be able to proceed with placement.
- Avoiding Flags:
 - Don't use illegal drugs and notify clinicalcasemanager@uconn.edu of any prescription medications. This includes Marijuana (recreational or prescription). Please see the full Marijuana statement at <http://ocpc.office.uconn.edu/DS>.
 - Don't overhydrate as this can cause a diluted sample, which will result in a flagged drug screen.
 - Certain foods and medications (including but not limited to poppy seeds and antibiotics) may cause a false positive. Menstruation can sometimes also affect the result of a drug screen.
- Note that some contracts between UConn and agencies allow the agency to conduct random drug screens of students placed at the agency at any time without notifying UConn or the student. Please reach out to clinicalcasemanager@uconn.edu if you have any questions or concerns.

Your placement agency may have additional requirements you'll need to complete during your onboarding. These may include additional background check components, drug screen, required forms, etc. Your program will notify you of these requirements as soon as possible once assignment is made.