OCPC Compliance Guide for Health Research Program (HRP)

Welcome to your comprehensive compliance guide for the UConn Health Research Program! These pages provide a detailed step-by-step walkthrough of everything you need to do to be successful in the compliance process.

Training Resources & Key Contacts

In addition to the content in this guide, you'll find all the training resources relevant to your compliance process on your program's dedicated resource page. This page includes:

- Video library of episodes dedicated to each of your requirements and covering exactly what you need to do, the documents you need, and how to submit your documents to Complio with a live click-by-click demo
- Useful links to required forms and Complio
- Printable checklist of requirements and deadlines to help you stay on track

The training resources should answer most of your questions. But you may run into specific details or personal circumstances that you need to clarify. That's where your OCPC Compliance Specialist comes in! Reach out to your Compliance Specialist in one of two ways:

- Email ocpc.compliance@uconn.edu including your program and anticipated graduation year in the subject line
- Schedule a virtual meeting via Nexus – You'll find a Nexus link in the signature of each email you receive from OCPC. You'll also find the link on your program's resource page.

What is compliance & why should you care?

"Compliance" is the set of requirements you must fulfill to participate in the clinical or practicum placements required to complete your program. These include health requirements, background checks and drug screens, trainings, forms, and more. Most will be items that all students in your program will complete (these are monitored by OCPC) and some will be based on your agency placement assignment (these are monitored by your program). **The most important thing to keep in mind is that you will not be able to participate in any clinical or practicum placements if you have not met all compliance requirements.** This means meeting your deadlines and staying on top of expiring items at all times. You won't be allowed to begin a placement if you're out of compliance, and you'll be removed immediately from placement if your compliance lapses. This could disrupt your planned placement schedule or even delay your program completion date. Compliance is a serious process, and failure to maintain compliance leads to serious consequences. Note that working at your agency does not change your requirements.

Checklist of Requirements & Deadlines

The following is a checklist of your requirements and the deadlines for completing them. The expectation is that all requirements are completed, submitted, and approved by the deadline.

- **Deadline #1: May 1st**
  - MMR – childhood vaccine record or positive titers for Measles, Mumps, and Rubella
  - Varicella – childhood vaccine record or positive titer
  - Hepatitis B – positive Hepatitis B Surface Antibody titer
  - Tdap – vaccine record dated within 10 years
  - COVID-19 Vaccine – original series plus one booster
  - Tuberculosis (annual requirement) – QuantiFERON blood test or PPD
  - Student Consent & Attestation form – complete in Complio
- **Ongoing Maintenance**
  - Renew Complio subscription when needed
  - Complete agency requirements as assigned by program based on clinical schedule
  - Keep expiring items up to date at all times

My Upcoming Expiration Dates

Use this section to keep track of your own expiration dates based on your completion dates!

Requirement	Completion Date	Time to Add	New Due Date	Complete?
Tuberculosis		1 year		
Tdap		10 years		

What is Complio?

Complio (by American DataBank or ADB) is a web-based, third-party compliance platform that students in all clinical and practicum programs at UConn use to manage compliance. You'll purchase and maintain a Complio subscription, use the system to upload your documentation, receive reminders from Complio about expiring items, and order any required background check or drug screen items in Complio.

Goal #1 – Purchase your Complio subscription

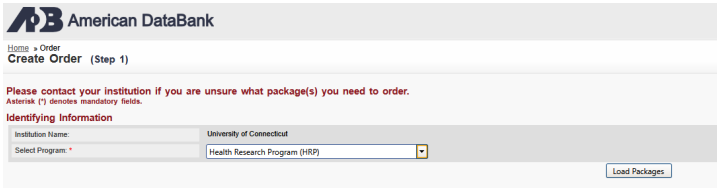
Prefer a video? You'll find a step-by-step tutorial on your program's dedicated resource page.

You won't be able to see requirements or submit any documents until you have an active Complio subscription (also called a "tracking package" since it's what you'll use to track your compliance). To purchase your Complio subscription, follow these steps:

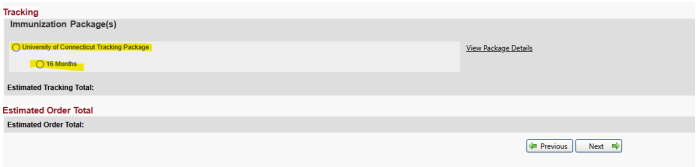
1. Go to http://adb.uconn.edu
2. Log in with your UConn NetID and password. If you have any log-in issues, reach out to ocpc.compliance@uconn.edu right away for assistance.
3. Click "I do not have an account with Complio" and follow the account creation steps, including email verification
4. From the Welcome screen, click "Get Started"



5. Use the dropdown menus to select Health Research Program (HRP)



6. Click "Load Packages"
7. Select "University of Connecticut Tracking Package" (program covers the cost)



8. Scroll to the bottom and click "Next" to complete your order

Goal #2 – Set up healthcare provider appointments

You'll need to see a healthcare provider to complete several compliance categories. Start early as some providers may be booking months in advance! If you don't have a primary care provider (PCP), you can complete items through UConn Student Health & Wellness (Storrs campus) or most urgent care and MinuteClinic locations. Items your healthcare provider will likely need to order or complete for you:

- Bloodwork
  - MMR titers
  - Varicella titer
  - Hepatitis B Surface Antibody titer
  - QuantiFERON or T-spot blood test for TB

You may also need documentation of past vaccinations for COVID-19 and Tdap from your provider if you don't have copies already. If you need to receive any new immunizations, you can receive those through your PCP, Student Health & Wellness, or any local pharmacy.

Important Note: It is your responsibility to complete all requirements on time and with appropriate documentation. If your regular healthcare provider cannot accommodate you, you may need to get creative!

Goal #3 – Achieve Compliance

Your overall goal is to achieve compliance in all required categories so that you're ready to start your clinical or practicum placements on schedule. You'll follow the same basic three-step process for each category:

1. **Complete** required steps – refer to step-by-step instructions
2. **Document** required steps – refer to details below for the documentation you'll need
3. **Submit** documentation – refer to step-by-step submission instructions

You can always check the status of any category from your Complio home screen. There, you'll see which items have been approved (green checkmark icon), which are incomplete (red X icon), and which are under review (yellow exclamation icon). You'll also see all your expiration dates, which will help you stay on track. (Pro Tip: Use the "My Upcoming Expiration Dates" table in your checklist of requirements and deadlines to record your expiration dates!)



Achieving compliance in a given category means that you've completed all steps required for the category, your documentation includes all required details, you've submitted your documentation correctly to Complio, and your submitted documentation has been approved.

When you complete a requirement, make sure to get the necessary documentation and submit it to Complio right away. Plan for 3-5 business days after submission for your documentation to be reviewed by the team at Complio. If an item is rejected, you'll receive an email with the rejection comment. Always read those comments as they will tell you what the problem is! If you need help understanding what you need to do to correct the issue, reach out to your Compliance Specialist at ocpc.compliance@uconn.edu.

What documentation is required?

Prefer a video? You'll find a tutorial on our documentation page.

After you've completed the steps required for compliance, it's time to move onto phase two of the compliance process: Documentation! Complete documentation for each requirement is essential for compliance, and it's your responsibility to obtain the documentation you need from your healthcare provider or other sources. Sometimes this means being persistent and insistent because not all standard documents include all the required information. Be particularly careful when taking screenshots from your patient portal.

Examples of the types of documents you'll need include but are not limited to lab reports for completed titer tests and documentation of immunizations. You may be able to access some of these documents from your patient portal. Others may come from your provider.

In general, all documents must include:

- Your name (first and last) and provider information
- Relevant date(s) and service performed (examples: type of test, immunization received)
- Results (if relevant)
- For MMR, Varicella, and Hepatitis B titers, documentation must include either:
    - Qualitative test results (examples: positive, negative, equivocal)
    - Quantitative test results with a reference range to interpret the numerical value

Download PDF documents from your patient portal, use your browser's Print to PDF option, scan or photograph printed documents, or take screenshots. **No matter how you prepare your documents, double check that all required datapoints are visible and legible. Incomplete documents will be rejected by Complio – no exceptions!** We strongly recommend creating a folder to collect all your compliance documents and giving each file a descriptive name that easily shows what it contains. This will help you stay organized and make the submission process easier!

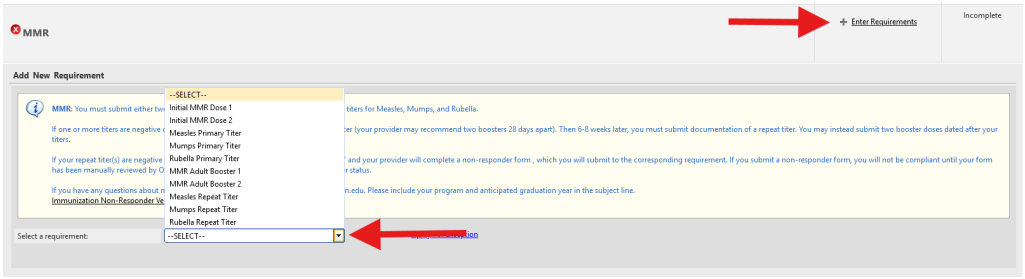
Submitting Documents to Complio

Prefer a video? You'll find a tutorial on our submission page.

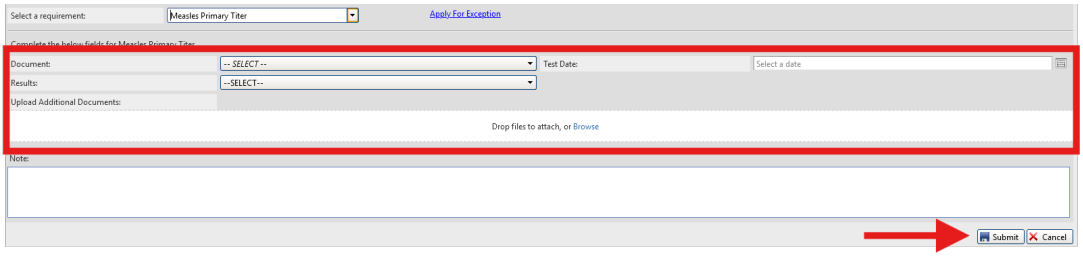
Nothing counts until you've correctly submitted your complete documentation to Complio! Once you get the hang of the submission process, it's straightforward. You'll follow the exact same steps to submit documents for each requirement. Documents are only reviewed for the requirement to which they are submitted. For categories that have multiple components, you must submit data and documentation to each requirement separately. For example: If you submit a lab report showing results for your Measles titer, Mumps titer, and Rubella titer to the Measles Primary Titer requirement, only your Measles titer result will be reviewed. You'll need to submit the same file to your Mumps Primary Titer and Rubella Primary Titer requirements as well so that those results will also be reviewed for the requirements they fulfill.

Follow these submission steps for each completed requirement:

1. Log into Complio at http://adb.uconn.edu
2. On your home screen, find the category you want to work on
3. Click "Enter Requirements" to expand the category
4. If applicable, select the individual requirement from the dropdown menu (for categories with only a single requirement, this step is not necessary)



5. Enter all required details (examples: date, type of test, result)
6. Select the file(s) you want to attach to document this requirement (drag and drop from your device, browse your device to select, or select files uploaded to your document library)
7. Click "Submit"



8. Watch for a category status change on your home screen – A yellow exclamation means you've submitted data for all components required for compliance in that category!
9. Repeat steps 1-8 for each required element in the category and for all required categories

Pro Tips – Avoiding Common Problems

Keep these tips in mind—they'll help you be successful!

1. **Take deadlines seriously!** Future you will be grateful that current you was proactive. Don't procrastinate! If you've received information from your Compliance Specialist, it's time to get started. Deadlines are there to ensure you're ready for your first placement.
2. **Follow instructions!** Compliance is all about details, and we give you very detailed instructions about what to do, what documents you need, and how to submit your documents to Complio. Many students waste time by not following provided instructions.
3. **Check your UConn email often!** All official communications will be sent there, and you are responsible for checking it even during breaks.
4. **Ask questions early and often!** Don't struggle on your own if there's something you don't understand. Definitely review the provided resources, but also don't wait to ask questions until you get close to a deadline.

Staying on Track

Prefer a video? You'll find a tutorial on our Stay on Track page.

Once you've achieved compliance, congratulate yourself on a job well done! But remember that you're not done thinking about compliance! You may have follow-up steps, and you'll likely have items that expire during your program. Planning is key to avoiding a disruption in your placement. You'll be reminded of upcoming expirations in multiple ways:

1. Use common sense – For example, if you complete your Annual TB requirement on July 15th this year, you know it'll be due again on July 15th next year. Due dates are not a mystery, so easily plan ahead for completing a new test! Always leave time for results to come back.
2. Auto-Reminders from Complio – You'll begin receiving reminders 60 days before a requirement expires. Reminders go out at 60, 30, 14, and 7 days before an expiration.
3. Reminders from OCPC – On the 1st and 15th of each month, OCPC sends email reminders to all students with items expiring within the following 30 days.

You'll receive at least five notices prior to an expiration date, so there's virtually no excuse for losing compliance! If you're out of compliance, you won't be able to start a placement. If you lose compliance during a placement, you'll be removed immediately and not able to return until you've regained compliance. OCPC will send a final warning email the day before a compliance lapse, and you'll have until noon the following day to take care of the item(s) to avoid a disruption.

Requirement Details – MMR (Measles, Mumps & Rubella)

Prefer a video? You'll find a tutorial covering this content on our MMR page.

Complete MMR

You have two options for fulfilling your MMR category. You can either document two past doses of MMR vaccine or immunity to Measles, Mumps, and Rubella through positive titers (blood tests that measure immunity). Complete these steps:

Past Vaccination Option

1. Locate documentation of two past doses of MMR vaccine

Titers Option

1. Have your healthcare provider order titers for Measles, Mumps, and Rubella
2. Complete bloodwork at provider's designated lab location
3. If all three titers are positive, you'll have no follow-up steps; proceed to documentation
4. If one or more titers are negative or equivocal, you'll have additional follow-up steps:
   - Receive at least one MMR booster (dose of MMR vaccine)
   - Have your healthcare provider order repeat MMR titer(s)
   - Complete repeat titer(s) 6-8 weeks after your booster
   - If any repeat titer(s) are negative or equivocal, you'll be considered a non-responder and will need to complete the Non-Responder Form with your provider

Document MMR

How to document your completed steps:

1. Obtain documentation of your past MMR vaccine doses – or – after you've completed your bloodwork, obtain a lab report for each titer
2. If you need to receive a booster, obtain documentation of the booster
3. If you need to complete a repeat titer, obtain documentation of the titer results
4. If you need to complete the Non-Responder Form, complete the form with your provider

Submit MMR

The key is to submit each step to its corresponding requirement in the MMR category:

Completed Step	Complio Requirement for Submission
First dose of MMR vaccine	Initial MMR Dose 1
Second dose of MMR vaccine	Initial MMR Dose 2
Measles Titer (regardless of result)	Measles Primary Titer
Mumps Titer (regardless of result)	Mumps Primary Titer
Rubella Titer (regardless of result)	Rubella Primary Titer
MMR Booster	MMR Adult Booster 1
Repeat Measles Titer	Measles Repeat Titer
Repeat Mumps Titer	Mumps Repeat Titer
Repeat Rubella Titer	Rubella Repeat Titer
Non-Responder Form	MMR Non-Responder Form

Requirement Details – Varicella

Prefer a video? You'll find a tutorial covering this content on our Varicella page.

Complete Varicella

You have two options for fulfilling your Varicella category. You can either document two past doses of Varicella vaccine or immunity to Varicella through a positive titer (blood test that measures immunity). Complete these steps:

Past Vaccination Option

1. Locate documentation of two past doses of Varicella vaccine

Titers Option

1. Have your healthcare provider order a titer for Varicella
2. Complete bloodwork at provider's designated lab location
3. If your titer is positive, you'll have no follow-up steps; proceed to documentation
4. If your titer is negative or equivocal, you'll have additional follow-up steps:
   - Receive at least one Varicella booster (dose of Varicella vaccine)
   - Have your healthcare provider order a repeat Varicella titer
   - Complete repeat titer 6-8 weeks after your booster
   - If your repeat titer is negative or equivocal, you'll be considered a non-responder and will need to complete the Non-Responder Form with your provider

Document Varicella

How to demonstrate completion of your completed steps:

1. Obtain documentation of your past Varicella vaccine doses – or – After you've completed your bloodwork, obtain a lab report for your titer
2. If you need to receive a booster, obtain documentation of the booster
3. If you need to complete a repeat titer, obtain documentation of the titer results
4. If you need to complete the Non-Responder Form, complete the form with your provider

Submit Varicella

The key is to submit each component to its corresponding requirement in the Varicella category:

Completed Step	Complio Requirement for Submission
First Varicella vaccine dose	Initial Varicella Dose 1
Second Varicella vaccine dose	Initial Varicella Dose 2
Varicella Titer (regardless of result)	Varicella Primary Titer
Varicella Booster	Varicella Adult Booster 1
Repeat Varicella Titer	Varicella Repeat Titer
Non-Responder Form	Varicella Non-Responder Form

Requirement Details – Hepatitis B

Prefer a video? You'll find a tutorial covering this content on our Hepatitis B page.

Complete Hepatitis B

You must document immunity to Hepatitis B through a positive titer (blood test that measures immunity). Complete these steps:

1. Have your healthcare provider order a Hepatitis B Surface Antibody Titer
2. Complete bloodwork at provider's designated lab location
3. If your titer is positive, you'll have no follow-up steps; proceed to documentation
4. If your titer is negative or equivocal, you'll have additional follow-up steps:
   - Receive your first Hepatitis B booster (dose of vaccine)
   - Wait 4-6 weeks
   - Receive your second Hepatitis B booster (dose of vaccine)
   - If you are completing the 3-shot series, wait 5 months and receive your third Hepatitis B booster (dose of vaccine)
   - Have your healthcare provider order a repeat Hepatitis B Surface Antibody titer
   - Complete repeat titer 4-6 weeks after your final booster
   - If your repeat titer is negative or equivocal, you'll be considered a non-responder and will need to complete the Non-Responder Form with your provider

Document Hepatitis B

How to demonstrate completion of your completed steps:

1. After you've completed your bloodwork, obtain a lab report for your titer
2. If you need to receive boosters, obtain documentation of each booster
3. If you need to complete a repeat titer, obtain documentation of the titer results.
4. If you need to complete the Non-Responder Form, complete the form with your provider

Submit Hepatitis B

The key is to submit each component to its corresponding requirement in the Hepatitis B category:

Completed Step	Complio Requirement for Submission
Hepatitis B Surface Antibody Titer (regardless of result)	Primary Hepatitis B Surface Antibody Titer
Hepatitis B Booster 1	Hepatitis B Booster 1
Hepatitis B Booster 2	Hepatitis B Booster 2
Hepatitis B Booster 3	Hepatitis B Booster 3
Repeat Hepatitis B Surface Antibody Titer	Repeat Hepatitis B Surface Antibody Titer
Non-Responder Form	Hepatitis B Non-Responder Form

Requirement Details – Tdap (Tetanus, Diphtheria & Pertussis)

Prefer a video? You'll find a tutorial covering this content on our Tdap page.

Complete Tdap

You must document a current Tdap vaccine dated within 10 years. Complete these steps:

1. Check your patient portal or with your provider for the date of your most recent Tdap
2. If Tdap is dated within 10 years, you'll have no follow-up steps; proceed to documentation
3. If you cannot document a Tdap vaccine dated within 10 years, receive a new Tdap vaccine through PCP, Student Health & Wellness, or any local pharmacy

Document Tdap

How to demonstrate completion of your completed steps:

1. Locate documentation of your current Tdap vaccine

Submit Tdap

1. Submit your Tdap documentation to the Tdap category in Complio

Requirement Details – COVID-19 Vaccine

Prefer a video? You'll find a tutorial covering this content on our COVID-19 page.

Complete COVID-19 Vaccine

You must document your original COVID-19 vaccine series and one booster. Alternatively, you can seek a medical or religious exemption for this requirement. Complete these steps:

1. Check patient portal, vaccine card, or with provider to find records of COVID-19 vaccine doses – if you can document all required doses, you'll have no follow-up steps
2. If you haven't received all required doses, you'll need to receive any that you're missing through your PCP, Student Health & Wellness, or any local pharmacy
3. To seek a medical or religious exemption, follow the appropriate process (remember that not all agencies will accept exemptions for this requirement):
   - Medical Exemptions – Have your provider complete the medical exemption form; submit completed exemption form to Student Health & Wellness for review
   - Religious Exemptions – Complete religious exemption request form

Document COVID-19 Vaccine

How to demonstrate completion of your completed steps:

1. Locate documentation of your required COVID-19 vaccine doses or approved exemption
2. Medical exemptions approved by Student Health & Wellness will appear on your SHaW immunization history report; religious exemption approvals come to you by email

Submit – See submission section above for step-by-step instructions

The key is to submit each component to its corresponding requirement in the COVID-19 category:

Completed Step	Complio Requirement for Submission
First Dose of Pfizer or Moderna	COVID-19 Dose 1
Second Dose of Pfizer or Moderna	COVID-19 Dose 2
Single-dose vaccine (Johnson & Johnson)	COVID-19 Single Dose
Most recent booster (regardless of manufacturer)	COVID-19 Booster 1
Approved medical or religious exemption	COVID-19 Exemption

Requirement Details – Annual Tuberculosis (TB)

Prefer a video? You'll find a tutorial covering this content on our TB page.

Complete Tuberculosis

Annual TB must remain updated at all times. You have two options for this requirement:

1. Option 1 – QuantiFERON/T-Spot Blood test
   - Have your provider order a QuantiFERON or T-spot blood test
   - Complete bloodwork at provider's designated lab location
   - If test is negative, you'll have no follow-up steps; proceed to documentation
   - If test is positive, you'll need to complete follow-up steps outlined below
2. Option 2 – PPD Skin Test (two total provider visits)
   - Visit 1 – Have your provider place PPD test and wait 48-72 hours
   - Visit 2 – Return to your provider to have PPD read
   - If test is negative, you'll have no follow-up steps; proceed to documentation
   - If test is positive, you'll need to complete follow-up steps outlined below
3. Follow-Up Steps – Chest X-Ray & Questionnaire (**only** for individuals with a current positive test or a history of TB!)
   - Have your provider order a chest x-ray
   - Complete chest x-ray at provider's designated location
   - Complete Annual TB Questionnaire with your provider

Document Tuberculosis

How to demonstrate completion of your completed steps:

1. For the blood test option, obtain a lab report for your test; for the PPD option, obtain documentation of PPD including placement and read dates
2. If you have completed a chest x-ray and questionnaire, obtain documentation of your chest x-ray result and annual questionnaire with all required signatures

Submit Tuberculosis

The key is to submit each item to its corresponding requirement in the Tuberculosis category:

Completed Step	Complio Requirement for Submission
QuantiFERON or T-spot blood test	Annual QuantiFERON/T-Spot Blood Test
PPD test	Annual PPD
Chest X-Ray	Annual Chest X-Ray
TB questionnaire	Annual TB Screening Questionnaire

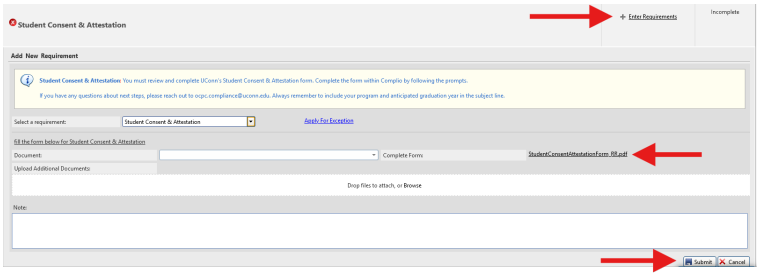
Requirement Details – Student Consent & Attestation

Prefer a video? You'll find a tutorial covering this content on our SCA page.

Complete, Document & Submit SCA (all in one!)

You must review, sign, and submit the Student Consent & Attestation form in Complio. Complete these steps:

1. Log into Complio at http://adb.uconn.edu
2. On your home screen, locate the Student Consent & Attestation category
3. Click "Enter Requirements" to expand the category
4. Click the link for the form next to the field labeled "Complete Form."



5. Review form and sign electronically
6. Click "Submit" to submit your form