Compliance Checks - Protocol Approvals

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Award Review and Approval

Protocol compliance approval notices are sent to select protocol approvers of each protocol type: Human, Animal, Biosafety, and Radioactive Materials. An approval is required for each protocol type indicated on the IAF and is required for an award to be fully processed or receive advanced funds, when requested. This compliance approval is required before an Internal Order (IO) can be generated from SIMS to SIMBA (System for Integrated Management, Budgeting, and Accounting), Penn State’s financial accounting system.

Note that a protocol notice is not sent on Proposal IAF submission.

Each protocol approval notice (see below) will be sent from epiaf@psu.edu with the subject line “ACTION REQUIRED: Award Compliance Approval Notification” and is sent when an IAF is submitted to the central processing office by the unit or through an IAF match action.

If the submitting unit revises an Award IAF or AIAF and changes a protocol question from “No” to “Yes” or adds a new protocol study, the protocol approvers will be notified of the change with a new approval notice and any previous protocol approval will be cleared.

If all the protocol questions are set to “No” on a revision, the protocol approval will be removed.

Each compliance approval notice includes detailed information on the award with a link to the IAF record and includes the protocol type.

Approval Completion Notification

Once a compliance approval is completed, a completion notice is sent to the CPO staff and compliance offices. Each email notice (see below) will be sent from epiaf@psu.edu with a subject of “Compliance Approval Completion Notification” and is sent to assigned CPO staff (e-grants@hmc.psu.edu and econtracts@hmc.psu.edu for College of Medicine related IAFs).