Compliance Checks

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Compliance checks are performed at all stages of the workflow process. Compliance approvers will receive an email at each stage with detailed information on the IAF status. The following list details each compliance check, when the checks are performed, what action is required, and which compliance office is responsible for each check:

1. **Personal Conflict of Interest (COI)** – investigator indicates a significant financial interest
   a. **Proposal IAF workflow**
      i. After investigator approval, an email notifying the COI Office is sent
   b. **Award IAF workflow**
      i. After IAF is submitted to central processing office an “ACTION REQUIRED” email is sent to COI Office staff for approval
   c. **AIAF workflow**
      i. After investigator approval, an email notifying the COI Office is sent
      ii. After IAF is submitted to central processing office an “ACTION REQUIRED” email is sent to COI Office staff for approval

2. **Export Review** – export issues are indicated
   a. **Proposal IAF workflow**
      i. After primary investigator approval, an email notifying the Export Control Office is sent
   b. **Award IAF workflow**
      i. After IAF is submitted to central processing office an “ACTION REQUIRED” email is sent to Export Control Office staff for approval
   c. **AIAF workflow**
      i. After primary investigator approval, an email notifying the Export Control Office is sent
      ii. After IAF is submitted to central processing office an “ACTION REQUIRED” email is sent to Export Control Office staff for approval

3. **Protocol study (Human, Animal, Biosafety, Radiation)** – protocol studies are indicated
   a. **Proposal IAF workflow**
      i. There are no notifications at this time
   b. **Award IAF and AIAF workflows**
      i. After IAF is submitted to central processing office an “ACTION REQUIRED” email is sent to the appropriate protocol office for approval

4. **Non-Profit Foundation**
   a. **Proposal IAF and AIAF workflow**
      i. After IAF is submitted to central processing office, an email notice is sent to the Office of Corporate and Foundation Relations.

5. **Duplicate Proposal**
   a. **Proposal IAF and AIAF workflow**
      i. After investigator approval, an email notice is sent to the Office of Sponsored Programs.

6. **Background IP**
   a. **Proposal IAF and AIAF workflow**
      i. After investigator approval, an email notice is sent to the Office of Technology Management.

7. **Subawards for PHS and NSF Proposals**
   a. **Proposal IAF and AIAF workflow**
      i. After IAF is submitted to central processing office, an email notice is sent to the Conflict of Interest Office.