

Report of Compliance Holds

COMPLIANCE ISSUE	COMPLIANCE DESCRIPTION	DEPARTMENT ACTION, if applicable
COI Expired	PI and/or Key Personnel COI form(s) have not yet been submitted to the COI Office	PI/Key Personnel need to complete COI Form and submit to COI Office
COI Pending	PI and/or Key Personnel COI form(s) have been submitted to the COI Office but has not yet been finalized.	N/A
COI –TR	PI and/or Key Personnel COI form(s) have been submitted to the COI Office but has not yet been reviewed and/or finalized. <u>TR=Transaction Review Required</u>	The COI Office will advise Compliance Unit of their release/approval, and only at that point can ASU release the award for setup. No action needed from dept.
IACUC Dept	IACUC protocol information has not yet been received and/or finalized. Prosum indicates “Yes”, but there is not one listed on the prosum	Dept to ensure that IACUC protocol information is forwarded to Compliance Unit
IACUC Office	IACUC protocol congruency has not yet been received	Compliance Unit awaiting final approval from IACUC Office. No action needed from dept.
HIC-Dept	HIC protocol has not yet been received and/or finalized from department	Ensure that HIC protocol information is forwarded to ASU
HIC- Office	HIC protocol has not yet been reviewed for congruency	Compliance Unit awaiting final approval from HIC Office. No action needed from dept.
HST	Human Subjects Training is required for PI and/or Key Personnel	PI/Key Personnel need to complete HST training
Progress Report	Progress Report is required for set up but is not on file	Forward copy of Progress Report to Compliance Unit.
IDX GE Form	IDX GE Form required for new Clinical Trials but is not on file	Forward IDX GE Form to Compliance Unit
PPG Spreadshseet	Program Project spreadsheet is required for set up	Forward/fax PPG spreadsheet to ASU
PI Dept / Other Issue	Miscellaneous issue – see GPAS Log Comments	See GPAS