Iowa State University
Institutional Animal Care and Use Committee

IACUC Compliance Process for Contracts, Grants and Agreements

Background
University policy and federal regulations require that costs for research activities involving live vertebrate animals, humans, biohazards, etc., will be charged only when the appropriate compliance committee approval is in place and valid. For example, see the National Institute of Health (NIH) notice entitled “Guidance Addressing the NIH Policy on Allowable costs for Grant Activities Involving Animals when Terms and Conditions are Not Upheld.”

One of the methods employed to monitor institutional obligations in this regard is a post-award compliance check using the compliance information supplied on the GoldSheet.

Post-Award Compliance Check Process

1. Proposals submitted to the Office of Sponsored Programs Administration (OSPA) for review and approval via a GoldSheet or supplemental budget will be tracked for any of the compliance questions marked “Yes.”

2. For all proposals with “Yes” marked for any compliance area on the GoldSheet, the Office of Sponsored Programs Administration will generate reports to all respective compliance committees. Committee administrators will also receive a copy of the GoldSheet.

3. Compliance committee administrators should file the GoldSheets numerically. GoldSheets that are not funded will be kept for a period of two years.

4. Funded reports received from OSPA will indicate which GoldSheets should be pulled and placed with the appropriate study.

5. The IACUC compliance committee administrator should verify that any compliance committee information provided on the GoldSheet is correct. The information provided on the GoldSheet will be compared against the IACUC database for ID and approval date. This information will then be written onto OSPA’s generated report.

6. If no compliance committee information is provided, the IACUC compliance administrator will check the IACUC database for an approved IACUC protocol with the same title and PI. If one is found, the log number and date of approval will be indicated on the GoldSheet and OSPA’s generated report.

7. If no compliance committee information is provided and the protocol cannot be found in the IACUC database, the IACUC compliance committee administrator should contact the PI to obtain the necessary information. Once this information is provided by the PI, it will be indicated on the GoldSheet and OSPA’s generated report.

8. Administrators should perform these compliance checks on GoldSheets as time permits.

9. When PI submission of the application will be delayed, the administrator should check with the PI every couple of weeks on the status of the submission. The reports generated from OSPA should be used to assist the administrator in performing follow-up checks.