University of Virginia

ResearchUVA Powered by Huron

Reference Guide: Ancillary Review Guide for the Research Community and Ancillary Reviewers

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1   Introduction

UVA departments and/or offices may need to review and approve details of a proposal, award, award modification, or agreement. This UVA review process will be fulfilled using ResearchUVA Powered by Huron's (ResearchUVA PBH's) Manage Ancillary Review functionality. An ancillary review can be initiated by the Research Community (Principal Investigators (PIs), Department Administrators, project team members, etc.) or the central office at various points throughout the workflow. The assigned Ancillary Reviewer may complete (or manage) an ancillary review after it has been initiated.

This guide describes how Research Community members will initiate and manage ancillary reviews within ResearchUVA PBH and how Ancillary Reviewers will complete and document their review. Multiple ancillary reviews can be completed in parallel and outstanding reviews may prevent the record (funding proposal, award, award modification, agreement) from moving forward in the workflow.
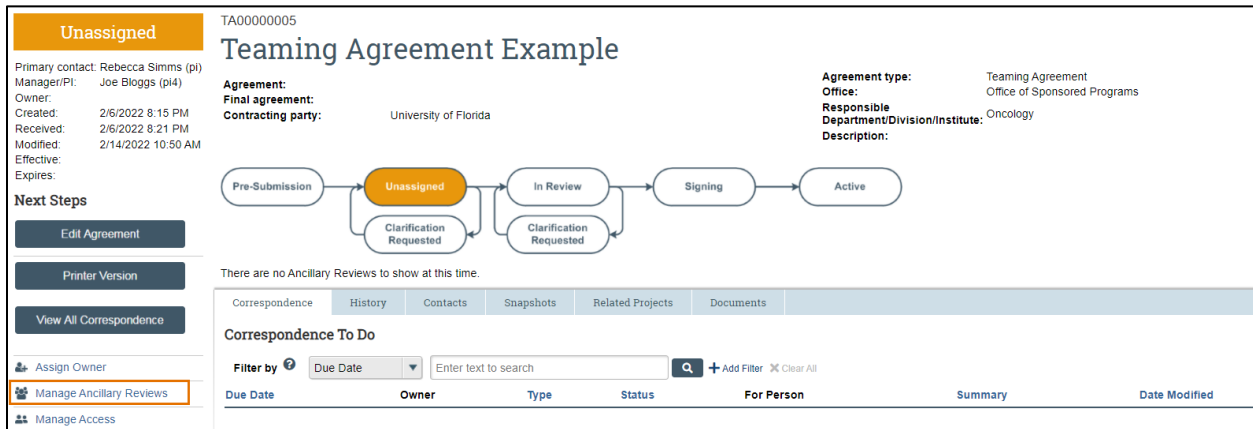
Important:

- *Ancillary reviews must be added manually by users. Users can add Ancillary Reviews during the following states:*

    o *Proposal – Proposal Editors and Specialists in the central office may add Ancillary Reviewers from the Draft state through the Pending Sponsor Review state.*

    o *Award – Award Editors and Specialists and Award Approvers in the central office may add Ancillary Reviewers through the Final Review – Response Pending state and in the subsequent Advance Account state.*

    o *Award Modification – Award Editors and Specialists and Award Approvers in the central office may add Ancillary Reviewers through the Final Review – Response Pending state.*

    o *Agreement – Agreement Editors may add Ancillary Reviewers until they submit the agreement to the central office. Agreement Staff in the central office may add Ancillary Reviewers from the Pre-Submission state through the External Review state.*

- *Ancillary Reviewers receive an email notification when the ancillary review is initiated, and multiple Ancillary Reviewers may perform their reviews in parallel.*

- *Ancillary Reviewers will have view only access to the entire record. For more information on how to navigate records in ResearchUVA PBH, see the Grants and Agreements Overview Guide on the ResearchUVA PBH website.*

- *Ancillary Reviewers do not have access to edit the record. If edits to a record are required, the Ancillary Reviewer will communicate necessary changes to the PI or appropriate central office outside of the system.*

- *Required ancillary reviews must be completed or they will prevent the record from advancing in the workflow. If ancillary reviews are not completed, proposals will be stopped at Specialist Review state. Awards and Award Mods will be stopped at Final Review state. Agreements will be stopped at the "Approve Language" activity.*

- *This Guide covers the Grants and Agreements modules. There are slight differences between ancillary reviews in the two modules, which have been highlighted as appropriate.*

2   How to Initiate an Ancillary Review

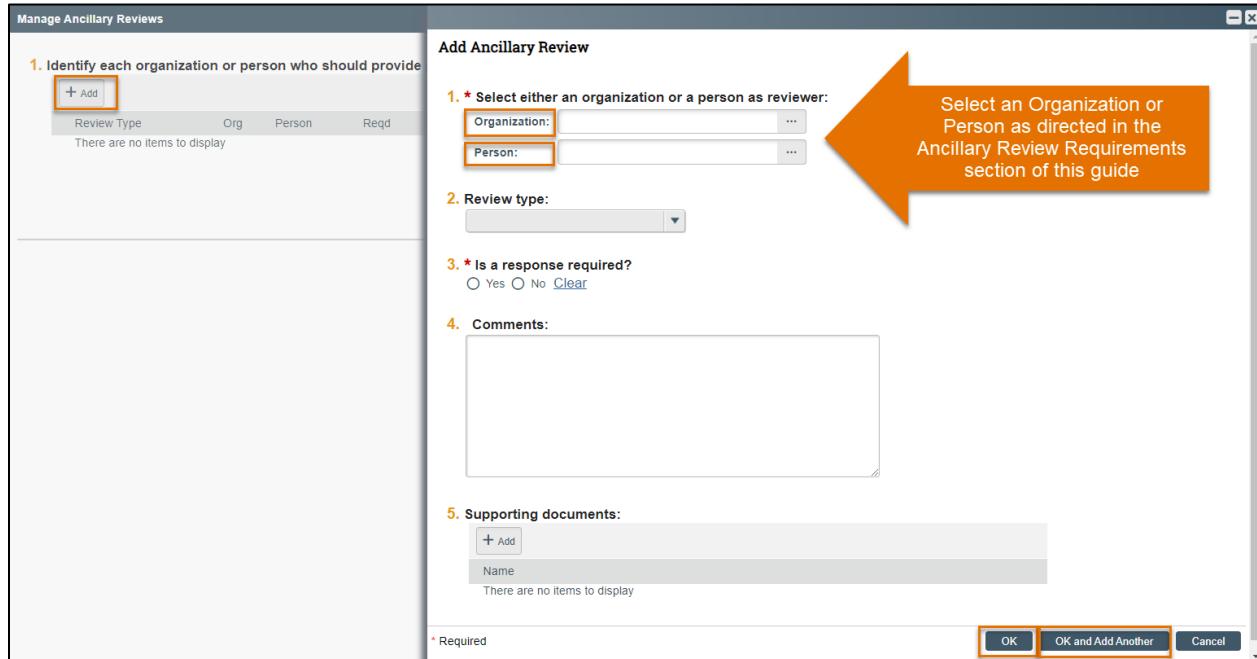Follow the steps below to add an ancillary review to a record:

1. Navigate to the *Workspace* of the record where the ancillary review is to be added. This can be done by accessing the record from the *Dashboard* or by searching for the appropriate record in the Grants or Agreements module. Click the **project name** or **project ID** to display the project *Workspace*.

2. On the *Workspace* page, click on the **Manage Ancillary Reviews** activity.

3. In the *Manage Ancillary Reviews* window, click **Add**.

4. In the *Add Ancillary Review* window, complete the questions and note the following. Click **OK** to continue.

   a. **Q1. Select either an organization or person as a reviewer** – Click the **ellipsis button** next to the "Organization" or "Person" field to select the appropriate reviewer.

      - The Ancillary Review Requirements section of this reference guide includes details on UVA's ancillary review requirements and provides guidance on the appropriate organization or individual to select by review type.

   b. **Q2. Review Type** – Select the applicable review type. Available review types are specific to the record. Select the "Other" review option for review types not included in the drop-down list.

   c. **Q3. Response Required** – Select **Yes** for all named ancillary review types (i.e., anything except Other). Requirements for "Other" ancillary reviews are at the requestor's discretion.

   d. **Q4. Comments** – Add comments as necessary.

   e. **Q5. Supporting Documents** – Add supporting documents as necessary. The ancillary reviewer will have access to all Grants and Agreements records and documents, so project records do not need to be added here.

5. In the *Manage Ancillary Reviews* window, repeat the steps above to change the ancillary reviewer/office, comments, or supporting documents as needed. When complete, click **OK**.

6. On the *Workspace*, the list of Ancillary Reviews and assigned Ancillary Reviewers displays on the Reviewers tab in the Grants module and on the *Agreement Workspace* in the Agreements module.

3   How to Complete an Assigned Ancillary Review

Follow the steps outlined in this section to access, review, and submit an assigned ancillary review.

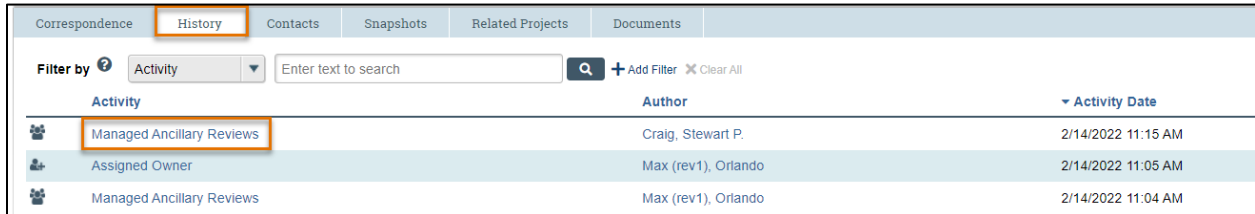### 3.1   How to Access a Record and Review an Assigned Review

1. The Ancillary Reviewer may access the record in one of two ways:

   a. From the system generated email, click on the **project link**.

   b. Navigate to the *Workspace* of the record where the ancillary review is to be submitted. This can be done by accessing the record from the *Dashboard* or searching for the

appropriate record in the Grants or Agreements module. Click the **project name** or **project ID** to display the *Workspace*.

2. From the *Workspace*, a user may click the **History** tab to review the comments and/or documents from the requestor.

   a. On the History tab, click the **Managed Ancillary Reviews** (Agreements module) or **Ancillary Reviews Updated** (Grants module) activity name.

Correspondence	History	Contacts	Snapshots	Related Projects	Documents

Filter by ⓘ Activity ▼ Enter text to search 🔍 + Add Filter ✕ Clear All

	Activity	Author	▼ Activity Date
👥	Managed Ancillary Reviews	Craig, Stewart P.	2/14/2022 11:15 AM
👤+	Assigned Owner	Max (rev1), Orlando	2/14/2022 11:05 AM
👥	Managed Ancillary Reviews	Max (rev1), Orlando	2/14/2022 11:04 AM

   b. To review added documents (if applicable) from the *Summary of Managed Ancillary Reviews* window, click **View More Details**.

Summary of Managed Ancillary Reviews   ✕

← Prev   1 / 20   Next →   🔍 View More Details

Managed Ancillary Reviews

――― Summary ―――

Feb 14 2022
Author: Stewart Craig (RS-VP for Research)
Logged For (Agreement):   Teaming Agreement Example
Activity Date: 2/14/2022 11:15 AM

――― Form ―――

1. Identify each organization or person who should provide additional review

	Review Type	Org	Person	Reqd	Accepted	Notify Now	Notified	Comments	Docs
View	Export Controls		Kelly Hochstetler	yes		yes	no		
View	Other		Stewart Craig	yes		yes	yes	Ancillary Review to provide an exception for agreement for incoming faculty member not already at UVA.	

   c. Click the **Documents** tab and then the **attachment name** link to view the attachment. Click **Return to Workspace** to return to the *Workspace*.

3.2 How to Complete and Submit an Ancillary Review

1. On the *Workspace* page, click the **Submit Ancillary Review** activity.

2. In the *Submit Ancillary Review* window, complete the questions as follows:

   Note: The language for the questions in this window varies slightly between the Grants and Agreements modules. Screenshots of both windows are included at the end of this section.

   a. **Q1. Select the Review you are submitting** – Check the box next to the review you are submitting.

   b. **Q2. Do you accept this submission?** (Grants module) or
   Q2. Do you accept the proposed agreement? (Agreements module)
   Enter Yes or No as appropriate to accept (approve) the ancillary review.

i. To approve an Ancillary Review, select **Yes** to question 2 (also select **Yes** to question 3 in the Grants module, this question is not included in the Agreements module). This will remove the Ancillary Review from your *Dashboard*.

ii. To request changes on an Ancillary Review, select **Yes** to question 2 (also select **No** to question 3 in the Grants module, this request is not included in the Agreements module). This will allow the Ancillary Review to remain in your personal *Dashboard* so that you can re-review once updates are made.

c. **Comments** – Add comments as necessary. If you are requesting changes, enter your requested changes in the Comments free text field.

d. **Supporting documents** – Add supporting documents as necessary.

e. Click **OK** to continue and submit the review.

Submit Ancillary Review

Unless you have permission to access the project, upon submitting your review, you will lose access to this project and be returned to your Inbox.

1. **Select the Review you are submitting:**

Organization	Person	Review Type	Required
☑	Stewart Craig	PI Eligibility	yes

2. * **Do you accept this submission?** ❔
   ○ Yes ○ No Clear

3. * **Is the ancillary review complete?** ❔
   ○ Yes ○ No Clear

4. **Comments:**

5. **Supporting documents:**
   + Add
Name
   There are no items to display

Grants Module

OK   Cancel

Submit Ancillary Review

1. * **Select the review you are submitting:**

Organization	Person	Review Type	Required
☐	Stewart Craig	Other	yes

2. * **Do you accept the proposed agreements?**
   ● Yes ○ No Clear

3. **Comments:**

4. **Supporting documents:**
   + Add
Name
   There are no items to display

Agreements Module

OK   Cancel

3. When the system returns to the *Workspace*, the History tab displays a "Submitted Ancillary Review" activity, and an email notification will be automatically sent to the Assigned Specialist (Grants) or Owner and Primary Contact (Agreements).

To:	Alana Zbaren
Link:	FP00000374
PI:	Lorenz Studer
Title:	Test alana

Ancillary review has been completed for the Funding proposal. Click the link above to access and review the submission details.

Comments:
The personnel budget looks great!

Supporting Documents:
Addl Personnel_BudgetYear1.pdf

🛈 *Important: The status of **Ancillary Reviews** can be found on the Reviewers tab of the Workspace in the Grants module and on the Agreements Workspace in the Agreements module.*

4 Ancillary Review Requirements

The tables below outline UVA's ancillary review requirements and outline the creator, approver, and other requirements for each ancillary review type. Table abbreviations are included at the end of this section.

4.1 Grants Module Ancillary Review Requirements

Ancillary Review Type / Approval From	Required for FP, AWD, or AWD-MOD?	Requestor	Approver (Person or Organization)	Additional Requirements
Classified Research / Facility Security Officer (FSO)	FP AWD AWD-MOD	Specialist, PI/SS (if known)	Classified Research (FSO)	A Classified Research Request Letter
COI Relatedness Review / Designated Official	AWD AWD-MOD	Specialist		Substantially completed Research Plan or working draft and protocol
Collaborating Unit Verification / Dept. Admins	FP	PI/SS		
Cost Share / Chair or Dean	FP AWD AWD-MOD	PI/SS		Completed Cost Share Budget
Course Buyout / Designated Official	FP AWD AWD-MOD	PI/SS		Proposal Budget
Export Controls / Research Regulatory Affairs	FP AWD AWD-MOD	Specialist, PI/SS (if known)	Export Controls	Substantially completed Research Plan or

				working draft and protocol
Indirect Cost Waiver / Sr. Associate VP for Research	FP AWD AWD-MOD	PI/SS	David Hudson	Justification for the waiver that describes the importance of the project and calculates foregone F&A
Multi-PI Certification / Multiple PIs	FP	PI/SS		Copy the PI certification language when submitting the ancillary review
PI Eligibility / Executive Director, OSP	FP AWD AWD-MOD	PI/SS	Stewart Craig	
Resources / Approval Varies	FP AWD AWD-MOD	PI/SS		
Terms and Conditions / Approval Varies	FP AWD AWD-MOD	Specialist, PI/SS (if known)		
Determination of Human Subjects Research / IRB	FP AWD AWD-MOD	Specialist, PI/SS (if known)	HRS -IRB or SBS- IRB Org	
Animal Subjects / ACUC	AWD AWD-MOD	Specialist		
Foreign Influence / Research Regulatory Affairs	AWD AWD-MOD	Specialist	Classified Research (FSO) or Foreign Influence Org	Up-to-date disclosures
Other / Approval Varies	Approval Requirements vary and are at the discretion of the requestor	Varies		Other review examples: Procurement, Information Security Review, Controlled Unclassified Information, Clinical Engineering, and Data Privacy Review
Post Award Review / Post Award - Varies	AWD AWD-MOD	Specialist		
Required Acceptance of Award Terms at Application Submission / OSP	FP	PI/SS	Stewart Craig or MaryBeth Spaulding	Award requirements

4.2   Agreements Module Ancillary Review Requirements

Ancillary Review Type / Approval From	Required?	Requestor	Approver (Person or Organization)	Additional Requirements
Clinical Trials Office / Clinical Trials Office	Yes	Agreement Owner	Jessica Morris	Protocol, budget, ICF
Human Subjects / IRB-HSR, IRB-SBS	Yes	Agreement Owner	HRS -IRB or SBS- IRB Org	Protocol, ICF
Determination of Human Subjects Research / IRB	Yes	Agreement Owner	HRS -IRB or SBS- IRB Org	
Foreign Influence / Research Regulatory Affairs	Yes	Agreement Owner	Classified Research (FSO) or Foreign Influence Org	Up-to-date disclosures
Export Controls / Research Regulatory Affairs	Yes	Agreement Owner	Export Controls	
Licensing and Ventures / Licensing and Ventures Team	Yes	Agreement Owner	Rob Merhige -or - Send to your Licensing & Ventures Manager	
Risk Management / Office of Property & Liability Risk Management	Yes	Agreement Owner	Gretchen Kriebel	If for Certificate of insurance, complete form
General Counsel / Office of the University Counsel	Yes	Agreement Owner	Rob Tyler	
Biosafety / Environmental Health and Safety	Yes	Agreement Owner	Biosafety Org	
Radiation Safety / Environmental Health and Safety	Yes	Agreement Owner	Radiation Org	
Animal Subjects	Yes	Agreement Owner	Animal Care Org	
Fixed Assets / Fixed Assets Accounting	Yes	Agreement Owner	Fixed Assets Accounting Org	
Comparative Medicine	Yes	Agreement Owner	Sanford (Sandy) Feldman	
Dean's Office	Yes	Agreement Owner	Subject to user discretion	
University Communications	Yes	Agreement Owner	University Communications Org	
PI Certification / Multiple PIs	Yes	Agreement Owner or PI/SS		Copy the PI certification language when submitting the ancillary review

PI Eligibility / Executive Director, OSP	Yes	PI/SS	Stewart Craig	
Other / Approver Varies	Yes	Agreement Owner or PI/SS		Other review examples: Procurement, Information Security Review, Controlled Unclassified Information, Clinical Engineering, and Data Privacy Review

4.3   Abbreviations used in this section

- FP – Funding Proposal

- AWD - Award

- AWD-MOD – Award Modification /Award Modification Request

- PI/SS – Principal Investigator and/or Study Staff