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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:
  - **Proposal** – Proposal Editors and Specialists in the central office may add Ancillary Reviewers from the Draft state through the Pending Sponsor Review state.
  - **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.
  - **Award Modification** – Award Editors and Specialists and Award Approvers in the central office may add Ancillary Reviewers through the Final Review – Response Pending state.
  - **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.

   ![Managed Ancillary Reviews Table](image)

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

   ![Summary of Managed Ancillary Reviews](image)

   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
   - OTHER
   - yes

2. Do you accept this submission? 
   - Yes
   - No

3. Is the ancillary review complete? 
   - Yes
   - No

4. Comments:

   [输入框]

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

Grants Module

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

3. Comments:

   [输入框]

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

Agreements Module
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).

Ancillary Review
Reference
Guide

To: Alana Zbaren
Link: FP0000374
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:
AddlPersonnel_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

<table>
<thead>
<tr>
<th>Ancillary Review Type / Approval From</th>
<th>Required for FP, AWD, or AWD-MOD?</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Additional Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classified Research / Facility Security Officer (FSO)</td>
<td>FP AWD AWD-MOD</td>
<td>Specialist, PI/SS (if known)</td>
<td>Classified Research (FSO)</td>
<td>A Classified Research Request Letter</td>
</tr>
<tr>
<td>COI Relatedness Review / Designated Official</td>
<td>AWD AWD-MOD</td>
<td>Specialist</td>
<td></td>
<td>Substantially completed Research Plan or working draft and protocol</td>
</tr>
<tr>
<td>Collaborating Unit Verification / Dept. Admins</td>
<td>FP</td>
<td>PI/SS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cost Share / Chair or Dean</td>
<td>FP AWD AWD-MOD</td>
<td>PI/SS</td>
<td></td>
<td>Completed Cost Share Budget</td>
</tr>
<tr>
<td>Course Buyout / Designated Official</td>
<td>FP AWD AWD-MOD</td>
<td>PI/SS</td>
<td></td>
<td>Proposal Budget</td>
</tr>
<tr>
<td>Export Controls / Research Regulatory Affairs</td>
<td>FP AWD AWD-MOD</td>
<td>Specialist, PI/SS (if known)</td>
<td>Export Controls</td>
<td>Substantially completed Research Plan or</td>
</tr>
<tr>
<td><strong>Indirect Cost Waiver / Sr. Associate VP for Research</strong></td>
<td><strong>FP</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>PI/SS</strong></td>
</tr>
<tr>
<td><strong>Multi-PI Certification / Multiple PIs</strong></td>
<td><strong>FP</strong></td>
<td><strong>PI/SS</strong></td>
<td><strong>Copy the PI certification language when submitting the ancillary review</strong></td>
<td></td>
</tr>
<tr>
<td><strong>PI Eligibility / Executive Director, OSP</strong></td>
<td><strong>FP</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>PI/SS</strong></td>
</tr>
<tr>
<td><strong>Resources / Approval Varies</strong></td>
<td><strong>FP</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>PI/SS</strong></td>
</tr>
<tr>
<td><strong>Terms and Conditions / Approval Varies</strong></td>
<td><strong>FP</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>Specialist, PI/SS (if known)</strong></td>
</tr>
<tr>
<td><strong>Determination of Human Subjects Research / IRB</strong></td>
<td><strong>FP</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>Specialist, PI/SS (if known)</strong></td>
</tr>
<tr>
<td><strong>Animal Subjects / ACUC</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>Specialist</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Foreign Influence / Research Regulatory Affairs</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>Specialist</strong></td>
<td><strong>Classified Research (FSO) or Foreign Influence Org</strong></td>
</tr>
<tr>
<td><strong>Other / Approval Varies</strong></td>
<td><strong>Approval Requirements vary and are at the discretion of the requestor</strong></td>
<td><strong>Varies</strong></td>
<td><strong>Other review examples: Procurement, Information Security Review, Controlled Unclassified Information, Clinical Engineering, and Data Privacy Review</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Post Award Review / Post Award - Varies</strong></td>
<td><strong>AWD</strong></td>
<td><strong>AWD-MOD</strong></td>
<td><strong>Specialist</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Required Acceptance of Award Terms at Application Submission / OSP</strong></td>
<td><strong>FP</strong></td>
<td><strong>PI/SS</strong></td>
<td><strong>Stewart Craig or MaryBeth Spaulding</strong></td>
<td><strong>Award requirements</strong></td>
</tr>
</tbody>
</table>
### 4.2 Agreements Module Ancillary Review Requirements

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

### 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