

Grants & Agreements Compliance Review Page Actions (Ancillary Reviews, Deliverables, Reports)

Presenter: Rosemary Casteel

Trainer: Joseph Nyachae

Research Office Administrators

Subject Matter Experts (SMEs)

Agenda

- Welcome
- Session Guidelines & Housekeeping
- Upcoming Training Schedule
- Demo
- Questions and Answers

Session Guidelines & Housekeeping

- If you would like to follow along with the training, please **log in to WRAP** at this time. I will provide login information in the next few slides.
- Please **hold all verbal questions until the end** of the session.
- Feel free to **use the chat** to ask questions at any time. We will monitor the chat and address questions as they come up or at designated Q&A points.
- A **recording of this session** and any relevant materials will be shared afterward.
- If you experience any technical issues, please send a message in the chat, and we will assist as soon as possible.

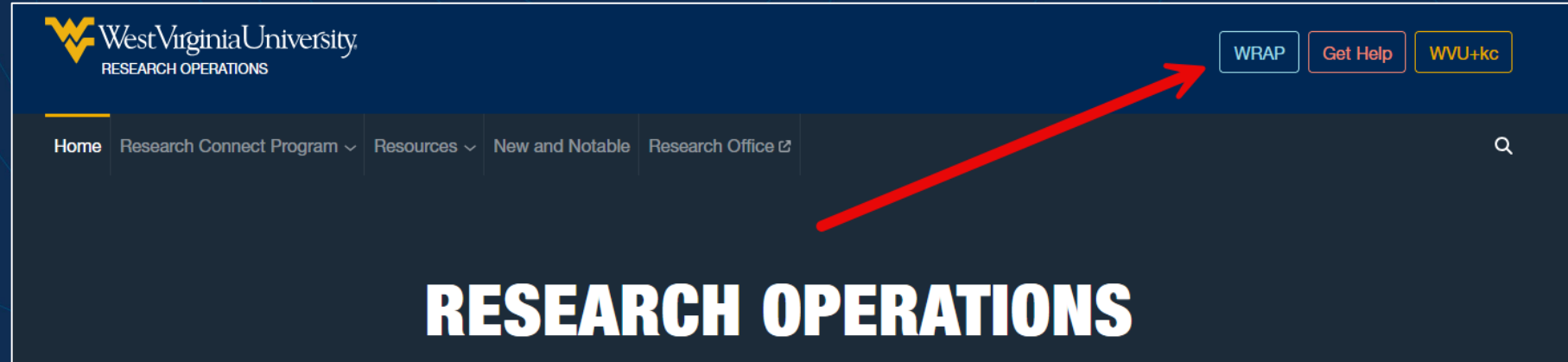
Upcoming Training Schedule

Training Sessions	Date	Time
Create a Funding Proposal, Budget Entry & SF424 (Research Community)	November 26, 2024	10:00 AM – 12:00 PM
Agreements Overview (Research Community)	December 2, 2024	9:30 AM – 10:30 AM
COI Disclosures	December 2, 2024	1:30 PM – 2:30 PM
College, Department, or Unit Review	December 3, 2024	1:00 PM – 2:00 PM
Ancillary Reviews	December 5, 2024	2:00 PM - 3:30 PM

Research Community WRAP Training Registration

<https://researchoperations.wvu.edu/research-connect-program/training>

Access



Login

1. Navigate to WVU Research Operations Website:
<https://researchoperations.wvu.edu/home>
2. Click the **WRAP** button.
3. If prompted sign in with your SSO credentials



Type your Login username and password.

LOGIN

Forgot your password? Go to <https://login.wvu.edu/> to create a new one.

Please check if you have logged into the WRAP system.
(@wvumedicine credentials will not work for the last step; you will need @hsc or @wvu credentials)

Grants & Agreements Compliance Functions

Introduction – WRAP Compliance

WRAP Compliance Review Pages

Grants (Proposal and Award) and Agreements

- Compliance is managed automatically in the system.
- Compliance is transparent through system functionality and real-time reports.
- The Compliance Review page supports the Proposal at the submission and award stages.
- The Compliance Review page supports the negotiation and processing of the non-PI-initiated Agreements.
- The Compliance Review pages are different for Grants and Agreements.

Compliance Functions – General Information

Function	Use Case	Module	Automated/Manual
Ancillary Review	Use for compliance approvals.	Proposals, Awards, Agreements - Anyone with access to the record.	Automated (in draft phase) and manual
Deliverable	Use to add required actions to an Award	Award – Only OSP AIM	Manual
Reports	Use for notification than a compliance action may be needed.	Proposals, Award, Agreements – Anyone with access to the record.	Report is automated updated in real-time when an item is checked.
In System Email	Use for correspondence and questions. Do not use to obtain approvals.	Proposals, Awards, Agreements – Anyone with access to the record.	N/A

Grants Module (Proposal And Award)

Grants Module (Proposal And Award)

Grants Compliance Review Page Overview

- Contains questions related to regulatory, institutional, and Sponsor compliance requirements.
- Completed by the PI and reviewed by the Department & OSP.
- Compliance Page Actions:
 - Ancillary Review (Proposal or Award)
 - Award Deliverable (Award)
 - Reports provided to the compliance department.
- The Compliance Review Page responses are carried over to the Award automatically.

Grants Ancillary Review

Automatic Reviews:

- Triggered by select questions on the Proposal Compliance Review page. (e.g., data management, IBC, Radiation, EH&S).
- Only available during the Draft state of a Proposal
- Automated reviews are **sent immediately** to the compliance offices for review and approval. As soon as the item is checked.

Manual Reviews:

- Initiated by OSP, PI, department/college, or compliance department as needed, especially when approval is required to address compliance matters.
- All Ancillary reviews during the Award stage are manual.

Grants Module Ancillary Reviews (AR) Standard Operating Procedures

- An open or unapproved ancillary review does not stop the proposal submission to the Sponsor.
- Reviews with REQUIRED selected do not stop the submission workflow. (this occurs only in Agreements)
- OSP will submit proposals to the Sponsor regardless of AR status.
- Department/college business processes can stop a proposal from submission.
- Open reviews are revisited if the Proposal is awarded and must be completed before the budget is released (in most cases).

Guidance For Compliance Offices

- Proposal Phase – If sufficient time is not provided to complete the review, state this in the **comments**. The Department Reviewers, OSP and others can easily see the status.
- WVU has a 30% award rate for proposals. Use your judgment if sufficient time was not provided. Budgets can be adjusted at Award.
- Award Phase – SLAs of 3-5 business days will be important during this phase as, in most cases, the budget cannot be released until the AR is complete.
- Agreements – SLAs of 3-5 business days are important during the negotiation phase to ensure contracts are signed in a timely manner.

Grants - Award Deliverables

- Provide a way to add and track a required action for an Award.
- The action is either required by the Sponsor, a regulation, or an institutional policy.
- Added by OSP AIM during award initiation and setup.
- Reminders sent to required parties listed on the Deliverable.

Agreements Module (Non-PI Initiated Agreements)

Agreements Module (Non-PI Initiated Agreements)

Agreement Compliance Overview

- Contains questions related to regulatory, institutional, and compliance requirements.
- Compliance review and approval may result from:
 - Ancillary Review
 - Reports provided to the compliance department.
- Agreements Ancillary Review Process
 - Ensure compliance requirements are met.
 - Can be added by anyone with edit access to the submission.
- Always select "Yes" to "Send Notification" when creating an Ancillary Review (AR).
- **ARs where "Required" is selected will halt the Agreement workflow at the "Approve Language" stage, preventing signing.**

Real-Time Reports

- Available on the Dashboard for the compliance departments and OSP.
- Go-Live reports were requested during system design.
- Can be requested at any time by submitting an ITS Service Desk ticket.
- Related to proposals, awards, and agreements.
- Enable monitoring to ensure compliance is achieved.
- Can be used to initiate a manual ancillary review and to monitor proposal and award activity.

WRAP Compliance Review Page Actions Summary

<p>Proposal – Draft State <i>Automated & Manual</i></p>	<ul style="list-style-type: none"> • Compliance Page should be completed ASAP when the NOFO is received as reviews can start as soon as the item is checked. • Most ancillary reviews (AR) are automated during the Draft proposal and are immediately initiated when the item is checked. • The type of review (automated or manual) is indicated on the Compliance Review Page.
<p>Proposal – Workflow <i>Manual Only</i></p>	<ul style="list-style-type: none"> • ARs can be initiated manually by anyone with access to the record after the proposal is out of the draft stage. • Department Review – Responsible for ensuring applicable ARs are complete. • OSP will submit proposals with incomplete ARs.
<p>Award <i>Manual Only – ARs and Deliverables</i></p>	<ul style="list-style-type: none"> • Proposal responses from the Compliance Review Page are copied to the Award record. • AIM initiates deliverables and ancillary reviews. • AIM will not release the budget until all required compliance ARs are complete.
<p>Agreements <i>Manual Only</i></p>	<ul style="list-style-type: none"> • The Compliance Review Page is different than in the Grants module. • The Compliance Review Page does not display for agreements that the PI can initiate. • Ancillary Reviews are all manual in Agreements and are initiated by the Negotiator. • Ancillary Reviews where REQUIRED is selected will stop Agreement workflow at the Approve Language phase.

Demo

Manually Submitting Ancillary Reviews

1. Open the Submission
2. Manage Ancillary Reviews
3. Add Reviews and select Organization/Review Type
4. Indicate if a response is required and add comments
5. Attach supporting documents
6. Notifications sent to reviewers automatically

Reviewing Ancillary Reviews

Notifications:

- Email notifications sent to individual or organizational email.
- Access reviews via the email link
- Alternatively, click the **My Reviews** tab in WRAP.

Steps to Review:

- Open the funding proposal, agreement, or award and review for compliance issues.

Submitting Ancillary Reviews:

1. In the workspace, click **Submit Ancillary Review**.
2. Complete the form:
 1. Select the review to submit.
 2. Select whether the reviewed project is acceptable as-is.
 3. Select **Yes** if the ancillary review is complete, and **No** if the ancillary review is not complete and requires corrections or clarifications in the Is the ancillary review complete?
 4. Add any comments and supporting documents you think necessary
 5. Enter any specific observations, suggestions, or compliance concerns.
 6. Attach any additional documentation as needed to support your review.
 7. Click **OK**.

Reviewing/Approving Ancillary Reviews

- **Full Approval:**
 - All required actions are completed and no issues are flagged.
 - Supporting documents attached if necessary.
- **Not Approved:**
 - Review is rejected with reasons documented in comments.
 - Explanation provided, such as policy conflicts or budget constraints.
- **Approval for Proposal Phase (Pending Award):**
 - Review approved for the proposal stage but pending actions for award phase.
 - Budget and policy impacts noted in comments for follow-up post-award.
- **- Insufficient Time for Review:**
 - Review incomplete due to limited time before submission. Note in comments
 - Actions required and estimated timelines documented.

Best Practices

- When declining an approval, add comments to provide transparency and inform central offices about compliance issues.
- Stay alert for automated notifications indicating tasks assigned to you or your office, ensuring timely responses.
- SLA is 3-5 business days.

Notifications – Manage Ancillary Review

Activity or Transition	<u>__FundingProposal_ManageAncillaryReiview</u>
Context Name	Manage Ancillary Reviews
Subject Line	Ancillary Review Notification
Recipient	Ancillary Reviewer(s)
Description	<u>ClickFundingProposal_AncillaryReview</u>
To:	User(s) First Name Last Name
Link:	AWD00000042
PI:	Rebecca Simms
Title:	Short Title Test
Required:	No
Description:	A Funding Proposal has been assigned to you for ancillary review. Click the link above to access and review the submission.
Comments:	<u><context.notesAsStr ></u>
Supporting Documents:	<u><context.documents></u>

Notifications – Submit Ancillary Review

Activity or Transition	<u>FundingProposal_SubmitAncillaryReview</u>
Context Name	Submit Ancillary Review activity. and review is marked complete
Subject Line	[ID]: Notification of Ancillary Review Completion
Recipient	Specialist
Description	<u>AncillaryReview_Submitted</u>
<p>To: User(s) First Name Last Name</p> <p>Link: AWD00000042</p> <p>PI: Rebecca Simms</p> <p>Title: Short Title Test</p> <p>Ancillary review has been completed for the Funding proposal. Click the link above to access and review the submission details.</p> <p>Comments: <u><context.notesAsStr></u></p> <p>Supporting Documents: <u><context.documents></u></p>	

Action 1: Full approval and all needed actions for the review are complete

- **Action 1:** Full approval and all needed actions for the review are complete
 - Q2 = Yes
 - Q3 = Yes
 - Q4 = No Issues or concerns, With Issues or Concerns – Specify, Budget Impact, estimate provided to PI
 - Q5. Attach any supporting documents such as budget estimates, product information, policy, etc.

Action 2: Not approved, and all needed actions for the review are complete

- **Action 2:** Not approved, and all needed actions for the review are complete
 - Q2 = No
 - Q3 = Yes
 - Q4 = Indicate why the review was not approved; indicate if the research cannot be supported at WVU and why.
 - Q5. Attach any supporting documents such as budget estimates, product information, policy, etc.

Action 3: Not approved, all needed actions for the review are not complete

- **Action 3:** Not approved, and all needed actions for the review are not complete
 - Q2 = No
 - Q3 = No
 - Q4 = Indicate why the review was not approved, the actions remaining to complete the review, and the time needed to complete the review (i.e., three days, 5 Days, etc).
 - Q5. Attach any supporting documents such as budget estimates, product information, policy, etc.

Action 4: Approval for Proposal Phase, Complete the AR if Awarded

- **Action 4:** Approval for Proposal Phase, Complete the AR if Awarded
 - Q2 = Yes
 - Q3 = No
 - Q4 = Specify the steps left for the review, and if any are related to a budget impact complete the AR if awarded.
 - Q5. Attach any supporting documents such as budget estimates, product information, policy, etc.

Action 5: Not Approved, Not Complete – Due to insufficient time to complete the review

- **Action 5:** Not Approved, Not Complete – Due to insufficient time to complete the review
 - Q2 = No
 - Q3 = No
 - Q4 = Insufficient time to complete review for Sponsor submission due date and the actions that remain to complete the review along with the time needed to complete the review (i.e., three days, 5 Days, etc).
 - Q5. Attach any supporting documents such as budget estimates, product information, policy, etc.