RESEARCH ADMINISTRATION PORTAL (WRAP)

Grants & Agreements Compliance Review Page Actions Training Quick Guide

Contents

Overview

This quick guide provides step-by-step instructions for managing compliance for the Grants (Proposal and Award) and Agreements modules in the WRAP. 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 agreement types.

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Introduction - WRAP Compliance Review 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.

WRAP 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

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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 (AR) Process

- Ensure compliance requirements are met.
- A manual ancillary review can be added by anyone with edit access to the submission.
- An open or unapproved ancillary review does not stop submission to the Sponsor, but departmental/college business processes can.
- Open reviews are revisited if the Proposal is awarded.

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.

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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.

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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

Proposal – Draft State **Automated & Manual**	• 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.
Proposal – Workflow **Manual Only**	• 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.
Award **Manual Only – ARs and Deliverables**	• 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.
Agreements **Manual Only**	• 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.

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Access

Training (Staging) Access

1. Navigate to WRAP Electronic Research Administration Systems:
   https://researchoperations.wvu.edu/resources/administration-and-compliance-systems
2. Click the **WRAP Test** button.
3. Click the Client Login button.
4. Sign in with your SSO credentials

Production Access
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

Exercise#1: Automated Ancillary Reviews

- Automated Ancillary Reviews are triggered by certain selections on the Proposal Compliance Review Page.
- Automated Ancillary Reviews are the same as manual reviews, except they are automatically added to the draft proposal when a trigger question on the Compliance Review Page is answered or checked.

Exercise#2: Manually Submitting an Ancillary Review – Draft Proposal State

Follow these steps to manually submit an Ancillary Review in a draft proposal state:

1. In the funding proposal workspace, click the name of the project for which to assign an ancillary reviewer.
2. Manage Ancillary Reviews - In the Workspace, click **Manage Ancillary Reviews**.
3. In the Manage Ancillary Reviews form, click **Add**.
4. Select the Organization **Ancillary Office** from the list, or leave it blank to select a person.
5. Select the review type. Choose **OTHER** if an applicable review type is not listed.
6. If required, select **YES** for the response required (**this will not stop the system from submitting the Proposal**).
7. An open or unapproved ancillary review does not block submission to the Sponsor. However, departmental or college business processes may pause the submission. Any open reviews are revisited if the Proposal is awarded.

   Note: If the review is an institutional policy requirement, or has budget implications, and the review should be completed before the Proposal is submitted to OSP, select **YES** for response

required. This indicates that WVU requires this review to be completed before the Proposal is submitted to OSP. However, the system will allow the Proposal to be submitted without completing the review.

8. Add comments explaining the review's details, including time-sensitive budget estimates.

Note: Enter text that provides sufficient information to the compliance area or department that must quickly review the Proposal and provide a response. Note that budget estimates may take up to three weeks to get a response. Other reviews may take 1-5 business days, depending on the complexity of the review.

9. Supporting Documents – Attach documents needed to support decisions and budget estimates. Note that the reviewer will be able to view the Proposal. Attach any documents that are not included in the Proposal.
10. Click **OK** to add the review or **OK and Add Another** to add additional reviews.

You are returned to the project workspace. The assigned ancillary reviewers receive e-mail notifications and the project appears in My Inbox for each of them.

Note:

- Upon clicking **OK**, a notification **email is immediately sent to the Office** indicating that a review is in the queue. The sooner you complete the Compliance Review Page or add a needed review, the sooner the Office can complete the review. If you wait until the 5-day OSP window, the reviews most likely will not be completed. Click here for typical response times for the standard ancillary reviews.
- Upon adding the Ancillary Review, the review will appear in the **Reviewers** tab and be stored with the Proposal.
- The Organization will indicate whether or not the review is approved by a **Yes or No** in the **Accepted** field.

Exercise #3: Reviewing a Manual or Automated Ancillary Review

Staff members assigned to review and approve Ancillary Reviews will receive the following notifications when an AR is assigned:

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**.

Approving (Accepting) Reviews and Indicating Completion Status

- **Full Approval:**

    - All required actions are completed and no issues are flagged.

    - Supporting documents attached if necessary.

- **Not Approved (Complete):**

    - Review is rejected with reasons documented.

    - Explanation provided for unfeasibility, 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 for follow-up post-award.

- **- Insufficient Time for Review:**

  - Review incomplete due to limited time before submission.

  - 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.