## Table of Contents

1. **Introduction**............................................................................................................. 3
2. **How to Initiate an Ancillary Review**................................................................. 4
3. **How to Complete an Assigned Ancillary Review**........................................ 7
   - 3.1 How to Access a Record and Review an Assigned Review........ 7
   - 3.2 How to Complete and Submit an Ancillary Review ......................... 9
4. **Ancillary Review Requirements**......................................................................... 11
   - 4.1 Abbreviations Used in This Section.......................................................... 12
   - 4.2 Grants Module Ancillary Review Requirements.................................. 12
   - 4.3 Agreements Module Ancillary Review Requirements....................... 14
   - 4.4 Ancillary Review Requirements Appendix.......................................... 15
     - 4.4.1 MPI Screenshot.................................................................................. 16
     - 4.4.2 PI Certification Statement ............................................................... 17
1 Introduction

UW-Madison departments, divisions, and/or other offices may need to review and approve details of a proposal, award, award modification, award modification request, agreement, or export control record. This UW-Madison review process will be fulfilled using Research Administration Management Portal’s (RAMP’s) Manage Ancillary Review functionality. An ancillary review can be initiated by members of the University of Wisconsin – Madison (UW-Madison) Research Administration Community 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 Administration Community members will initiate and manage ancillary reviews within RAMP 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 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 RSP Specialists may add Ancillary Reviews from the Draft state through the Pending Sponsor Review state. Ancillary review is also available on Complex Proposals.
  - **Award** – The Administrative Contact, RSP Specialists and Award Approvers may add Ancillary Reviews through the Final Review – Response Pending state and in the subsequent Advance Account state.
  - **Award Modification** – Award Editors, RSP Specialists and Award Approvers may add Ancillary Reviews through the Final Review – Response Pending state.
  - **Award Modification Request** – The modification requestor and assigned RSP Specialists may add Ancillary Reviews in the Draft, Review, Clarification Requested, and Pending Sponsor Approval states.
  - **Agreement** – Agreement Editors may add Ancillary Reviews until they submit the agreement to the RSP Contracts Team. The RSP Contracts
Team may add Ancillary Reviewers from the Pre-Submission state through the External Review state.

- **Export Control** – Request Submitters may add Ancillary Reviews in the Pre-Submission state. Export Control Assigned Reviewers may add Ancillary Reviewers in the Pre-Submission and Export Control Review states.

- 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 RAMP, reference the Grants and Agreements Overview Guide on the RAMP 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, Administrative/Primary Contact, or appropriate RSP team member.
- This Guide covers the Grants, Agreements, and Export Control modules. There are slight differences between ancillary reviews in the 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, Agreements, or Export Control module. Select the **project name** to display the project Workspace.

2. On the Workspace page, select the **Manage Ancillary Reviews** activity.
3. In the Manage Ancillary Reviews window, select Add.

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

   a. **Q1. Select either an organization or person as a reviewer** – Select the **ellipsis button** (three dots “…”) next to the “Organization” or “Person” field to select the appropriate reviewer.
      
      i. The [Ancillary Review Requirements](#) section of this reference guide includes details on UW-Madison’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 or No as appropriate based on the ancillary review requirements outlined in this guide. Some ancillary reviews are required and should be completed before the record is finalized while others are informational only and will not cause workflow to stop.

   d. **Q4. Comments** – Add comments as necessary. **Note:** This question is not on the Manage Ancillary Reviews window in Export Control.

   e. **Q5. Supporting Documents** – Add supporting documents as necessary. The ancillary reviewer will have access to all Grants,
Agreements, and Export Control records and documents, so project records do not need to be added here. **Note:** This question is not on the Manage Ancillary Reviews window in Export Control.

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, select **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 (respond to) 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 two ways:
   a. From the system generated email, select the **project link**.

   ![Ancillary review notification](image)

   **Notification of Ancillary Review**
   - To: Test Ancillary Rev 1
   - Link: [Managed Ancillary Reviews](#)
   - Title: need to change PI
   - Required: Yes
   - Description: This Award Mod Request has been assigned to you for ancillary review. Use the link above to navigate to the Award Mod Request and submit your review.

   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. Select the **project name** to display the Workspace.

2. From the Workspace, select the **History** tab to review the comments and/or documents from the requestor.
   a. On the History tab, select the **Managed Ancillary Reviews** (Agreements module) or **Ancillary Reviews Updated** (Grants and Export Control modules) activity name.

![Ancillary Review Activity Log](image)
b. To review added documents (if applicable) from the Summary of Managed Ancillary Reviews window, select **View More Details**.

c. Select the **Documents** tab and then the **attachment name** link to view the attachment. Select **Return to Workspace** to return to the Workspace.
3.2 How to Complete and Submit an Ancillary Review

1. On the Workspace page, select 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, Agreements, and Export Control modules. Screenshots of all modules 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) **Q2. Do you accept the proposed submission?** (Export Control 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 and Agreements modules, this question is not included in the Export Control module). This will remove the Ancillary Review from your Dashboard.
ii. To request changes on an Ancillary Review, select No to question 2 (also select No to question 3 in the Grants and Agreements modules, this request is not included in the Export Control module). This will allow the Ancillary Review to remain in your personal Dashboard so that you can re-review once updates are made to the record under review.

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. Select **OK** to continue and submit (respond to) the ancillary review request.
Important: The status of ancillary reviews can be found on the Reviewers tab of the Workspace in the Grants and Export Control modules and on the Ancillary Reviews tab of the Workspace in the Agreements module.

4 Ancillary Review Requirements

The tables below outline UW-Madison’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 Abbreviations Used in This Section

- FP – Funding Proposal
- AWD - Award
- AWD-MOD – Award Modification /Award Modification Request

4.2 Grants Module Ancillary Review Requirements

<table>
<thead>
<tr>
<th>Ancillary Review Type</th>
<th>Required for FP, AWD, or AWD-MOD?</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional Department Review</td>
<td>FP</td>
<td>Responsible /Owning department’s Research Administrator</td>
<td>Collaborating department’s Research Administrator</td>
<td>Acknowledge that personnel from collaborating department(s) have been added as Key on a proposal.</td>
</tr>
<tr>
<td>Chair Approval</td>
<td>FP AWD AWD-MOD</td>
<td>Department Administrator</td>
<td>Chair or proxy</td>
<td>Varies based on department.</td>
</tr>
<tr>
<td>COI Office Review</td>
<td>AWD AWD-MOD</td>
<td>RSP Setup Team</td>
<td>COI Office</td>
<td>Review non-standard COI provisions.</td>
</tr>
<tr>
<td>Contract Team Review</td>
<td>FP AWD AWD-MOD</td>
<td>FPs: RSP Proposal Team (FPs)</td>
<td>RSP Contracts Team</td>
<td>Review exceptional award terms.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>AWDs &amp; AWD-MODs: RSP Setup/Post-Award Team</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Export Controls</td>
<td>FP AWD AWD-MOD</td>
<td>RSP</td>
<td>Export Control Office</td>
<td>Request review of export control items in either</td>
</tr>
</tbody>
</table>
## Ancillary Review Type

<table>
<thead>
<tr>
<th>Ancillary Review Type</th>
<th>Required for FP, AWD, or AWD-MOD?</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indirect Cost Waiver</td>
<td>FP, AWD, AWD-MOD</td>
<td>Dean/Division office</td>
<td>Director of RSP</td>
<td>Document institutional waiver of reduced IDC.</td>
</tr>
<tr>
<td>Limited PI Status</td>
<td>FP</td>
<td>Department Administrator</td>
<td>Dean/Division leader</td>
<td>Track the submission, review, and approval of UW institutional forms.</td>
</tr>
<tr>
<td>Multi-PI Certification</td>
<td>FP</td>
<td>Department Administrator</td>
<td>Non-Contact PI(s)</td>
<td>Certify proposal prior to submission.</td>
</tr>
<tr>
<td>Other</td>
<td>FP, AWD, AWD-MOD</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies, used for other reviews not</td>
</tr>
</tbody>
</table>

**Important:**
Refer to the [appendix](#) for detailed instructions for this ancillary review type.
### Ancillary Review Type

<table>
<thead>
<tr>
<th>Ancillary Review Type / Approval From</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ancillary Review Type</td>
<td>Required for FP, AWD, or AWD-MOD?</td>
<td>Requestor</td>
<td>Approver (Person or Organization)</td>
</tr>
<tr>
<td>PI Approve Terms</td>
<td>AWD</td>
<td>RSP Setup Team</td>
<td>PI</td>
</tr>
</tbody>
</table>

**4.3 Agreements Module Ancillary Review Requirements**

<table>
<thead>
<tr>
<th>Ancillary Review Type / Approval From</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Additional Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional Department Review</td>
<td>Responsible /Owning department’s Research Administrator</td>
<td>Collaborating department’s Research Administrator</td>
<td>Acknowledge collaborating personnel outside of responsible department.</td>
</tr>
<tr>
<td>Chair Approval</td>
<td>Department Administrator</td>
<td>Chair or proxy</td>
<td>Capture approval for departments that require chair-level approval.</td>
</tr>
<tr>
<td>COI Office Review</td>
<td>RSP Setup Team</td>
<td>COI Office</td>
<td>Review non-standard COI provisions.</td>
</tr>
<tr>
<td>Dean/Division Signoff</td>
<td>Department Administrator</td>
<td>Dean/Division</td>
<td>Obtain Dean/Division signoff on non-funded agreements which would otherwise not have Division involvement on a funded agreement. The Agreements Guide provides more details on the approval workflow for non-funded agreements.</td>
</tr>
</tbody>
</table>
### Ancillary Review Requirements

<table>
<thead>
<tr>
<th>Ancillary Review Type / Approval From</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Additional Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Export Control</td>
<td>RSP Contracts</td>
<td>Export Control Office</td>
<td>Initiate outgoing international MTA review.</td>
</tr>
<tr>
<td>Other</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies, used for other reviews not captured under a specific type.</td>
</tr>
<tr>
<td>PI Review Terms</td>
<td>RSP Contracts</td>
<td>PI</td>
<td>Acknowledge and approve non-standard contract terms.</td>
</tr>
</tbody>
</table>

**Export Control Module Ancillary Review Requirements**

*Note:* The Export Control module will primarily use the Other ancillary review type as noted below. The requester should use sufficient details in the ancillary review request to allow the approver to respond to the assigned ancillary review.

<table>
<thead>
<tr>
<th>Ancillary Review Type / Approval From</th>
<th>Requestor</th>
<th>Approver (Person or Organization)</th>
<th>Additional Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other</td>
<td>Varies</td>
<td>Varies</td>
<td>Varies, the requester should use sufficient details in the ancillary review request to allow the approver to respond to the assigned ancillary review</td>
</tr>
</tbody>
</table>

### 4.4 Ancillary Review Requirements Appendix

The funding proposal Multi-PI Certification ancillary review type has requirements that differ from the other RAMP ancillary review types. Follow the steps below to add a Multi-PI Certification ancillary review to a funding proposal record:

1. Create an ancillary review for all personnel who have the Principal Investigator role, except the Contact PI. The Contact PI will certify using the Certify activity in RAMP.
2. Complete steps 1-3 of the [How to Initiate an Ancillary Review](#) directions as outlined in this guide.
3. When completing step 4, add the UW-Madison PI Certification statement to the comments box and complete the remaining steps as outlined in this guide.
   a. The screenshot below illustrates how to complete the comment box.
   b. The PI certification statement is included below and can be copied and pasted into RAMP.

4. When the other Principal Investigator(s) certify, their certification confers agreement with the UW-Madison PI Certification statement.

4.4.1 MPI Screenshot

![MPI Screenshot](image-url)
4.4.2 PI Certification Statement

I certify that I am the Principal Investigator (PI) on the above-referenced proposal/award and I understand that, notwithstanding any comments or attachments inserted when submitting this ancillary review, by clicking on the OK button to submit and accept the ancillary review, I certify compliance with the following obligations.

I certify that I have identified all space, personnel, equipment, and budgetary needs associated with the proposal, and that the proposal/award and this record are accurate and complete in all regards, including technical matters, adherence to the sponsor’s guidelines, budget, and required clearances.

I certify (1) that all the information submitted within the proposal/award is true, current, complete, and accurate to the best of my knowledge; (2) that any false, fictitious, or fraudulent statements or claims in the proposal may subject me to criminal, civil, or administrative penalties; and (3) that I accept responsibility for the scientific conduct and overall oversight of the project and to provide the required progress reports or other deliverables if an award is received as a result of the proposal.

I certify that I and all persons participating in the project, other than clerical or nontechnical persons, prior to commencing work will become familiar with the terms and conditions in the resulting agreement between the extramural sponsor and the University and will have executed the University’s intellectual property certification form: http://go.wisc.edu/bayhdole. I certify that I have not entered, and will not in the future enter, into any agreement or other obligation to another person, company, or extramural sponsor with respect to any rights in inventions, discoveries, or copyrightable material which are in conflict with the obligations contained in the resulting agreement.

I agree that any IRB application(s) identified in this record accurately and fully describes the subject populations, subject interventions, collaborators, performance sites, and general scope of work supported by the award resulting from the above-referenced proposal and that I will not initiate any human subjects research until IRB approval is received.

I agree that I will comply with the provisions of the resulting agreement with the extramural sponsor and will cooperate in assuring that the University's obligations to fulfill those terms are met.