Office of Research and Sponsored Programs
University Massachusetts Boston
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Investigator Application Guide

I. PURPOSE

Kuali Build Forms Guide for using the Investigator Application

II. SCOPE

The Investigator Application is used for any investigator new to UMass Boston, and for all proposals where an investigator is eligible with approval (see below for definitions and related resources). This document provides guidance on how to complete the investigator application.

III. Related Resources

See the Investigator Eligibility section of the Forms, Policies & Procedures page of the ORSP website for the following:

- ORSP Investigator Eligibility Policy
- Investigator Handbook
- Investigator Application
- Kuali Build Investigator Application Guide

Roles and Responsibilities Matrix
Conflict of Interest
Responsible Conduct of Research (RCR)
Research Safety & Security
Required Training section of the Training page on the ORSP website
CITI Training
ORSP Team Assignments on the About Us page of the ORSP Website
DRA/Unit Administrator Investigator Onboarding Checklist

IV. Definitions

See the Investigator Handbook referenced above for more acronyms and definitions.

Investigator

- Anyone with an investigator role at UMass Boston
  - See Investigator Handbook referenced above for more detailed definitions
- Including
  - Principal Investigator (PI)
  - Co-Principal Investigator (Co-PI)
  - Co-Investigator (Co-I)

Eligible with Approval

- Eligible with Approval investigators are considered when there is a funding opportunity the applicant wishes to submit for, but the position held by the applicant is not typically involved with sponsored programs. In these instances, approval is granted on a case-by-case basis and for each specific proposal the applicant would like to submit. The Investigator Application may be completed multiple times by the same applicant, one for every proposal they are interested in submitting.

V. Form Guidance

The Investigator Application includes information at the beginning of the form to help orient applicants. This document walks through all components of the form, providing guidance on how to complete each section. For general Kuali Build navigation and use, see the Kuali Build guide referenced above. For Investigator specific policies and procedures, see the Investigator Handbook linked above.

Using the Application Form

All new investigators and investigators that are eligible with approval must complete the application.

- New Investigators
  - Complete the application as part of their onboarding process or at the time of their first proposal if they have not applied already
- Eligible with Approval Investigators
  - Are eligible on a case-by-case basis for each funding opportunity
  - Complete the application for any sponsored funding they are interested in applying for
  - Upload the approved application to their proposal in Kuali Proposal Development

Applicant Information

This section automatically populates the applicant's details as captured in HR Direct, including the following fields:

- Name
- Email
- Employee ID
- Primary (Home) Department Code and Description

An Investigator Application must be completed by the applicant. Form completion cannot be delegated to anyone as the applicant completes required attestations for investigator eligibility.

Action Needed: None, these fields auto populate

Required Trainings

In this section, you will upload certificates of completion for the following required trainings in CITI:

- Responsible Conduct of Research
- Conflict of Interest
- Research Security

Applications will not be approved unless required trainings are completed. Training certificates will be reviewed by ORSP Research Integrity and Compliance as part of the workflow approval for each application.

Action Needed: Upload CITI Training Certificates

Policies and Procedures Attestation

Investigators are responsible for adhering to all required policies and procedures associated with sponsored funding. See the Investigator Handbook linked above for more information.

Action Needed: Review and Click I Agree

Add Contacts

DRA Team Lead

Select the Department Research Administrator (DRA) Lead associated with your home department or center. See the ORSP Contacts by Department linked above to reference your DRA Lead.

Action Needed: Select DRA Lead

GCA ORSP Contact

Select the Grants and Contracts Administrator (GCA) associated with your home department or center. See the ORSP Contacts by Department linked above to reference your GCA.

Action Needed: Select GCA

Associate Dean of Research (ADR)

Select the Associate Dean of Research (ADR) associated with your home department or center. See the Department Chairs and Administrators webpage linked above to reference your ADR.

This lookup list is unrestricted, containing all Kuali contacts, please use care when making your selections to ensure you have selected the correct ADR for your area. Not all areas have an ADR, therefore, this field is not required for form submission.

Action Needed: Select ADR, or skip if not applicable

Appointment Information

Select your appointment type, see matrix below for guidance on eligibility by appointment. Eligibility is reviewed and confirmed by ORSP. See the Investigator Handbook linked above for more information on eligibility.

Action Needed: Select your appointment type

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Investigator Eligibility Matrix

The Matrix below contains investigator eligibility levels associated with various HR appointment types and positions at UMass Boston. The table has three main sections: Eligible, Eligible with Approval, and Not Eligible. Each of these sections is categorized with examples below the category headers.

Sponsor level eligibility guidelines may be different than the university's. In cases where the sponsor's published eligibility requirements include appointments or positions that are deemed ineligible in this policy, ORSP may allow proposal submissions in accordance with the sponsor's eligibility criteria. Upon notification of award, UMB will assign an eligible PI in accordance with the university policy (i.e. graduate research programs, post-doc training grants, student fellowships with faculty mentors listed as PI and reference the student).

Status:	**Eligible**			**Eligible With Approval**		**Not Eligible**	
Appointment Type:	**Tenure & Tenure-Track Faculty**	**Research Faculty**	**Professional Staff***	**Non-Tenure Track Faculty**	**Other**	**Students**	**Non-Faculty & Other Staff**
HR Position Titles:	Tenure-track Assistant, Associate, & Full Professors	Research Assistant Professors	Senior Research Fellows	Lecturers	Post Docs	Undergraduate Students	Contingent Workers**
	Tenured Associate, & Full Professors	Research Associate Professors	Research Scientists	Clinical Professors	Emeritus	Graduate Students	Classified Staff
	Chairs, Deans Provosts, & Directors	Research Professors	Center/Institute & Program Directors		Visiting Professors		
	Incoming Faculty		Research Associates				
			Librarians				

*Excluding Temporary Professional Staff.

**Contingent workers who will be appointed to an award as Faculty or Staff are eligible for proposal submissions, the appointment must be completed to hold an award.

Eligible

Eligible investigators have a streamlined process for review and approval. If your appointment type falls within this category, you may skip ahead to the Attestations section.

Eligible with Approval

Eligible with approval applications are considered only in conjunction with a funding opportunity. You will be prompted to provide additional information as noted in the Proposal Information section.

Not Eligible

Appointment types that are not eligible to serve as investigators at UMass Boston will be prompted to reach out to ORSP with any questions they may have about their eligibility status and the DRA Lead selected on the form will be notified as an FYI.

Proposal Information

You will be prompted to:

- Upload a copy of the abstract or proposal summary
- Identify your role on the proposal
- Select your home unit/department from the dropdown menu
- Provide a link to the proposal funding opportunity or application
- Capture the Kuali Proposal Development (PD) Proposal Number if a PD record exists

Action Needed: Complete all proposal information on the form

Attestations

The Attestations section includes a series of statements each investigator must review and agree to as part of the investigator eligibility process.

Action Needed: Carefully review and agree to each attestation

Submission

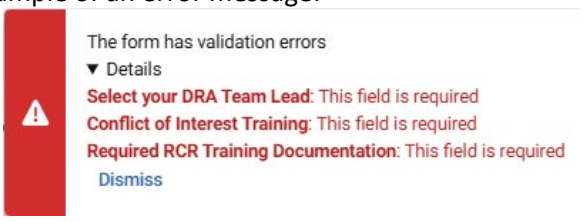
Once all form components are completed the form may be submitted.

Action Needed: Click the Submit button in the upper right corner of the form

Validation Errors

An error message will appear if the required fields on the form are incomplete. If this happens, review the form and complete any field you may have missed. Required fields are marked with a red asterisk.

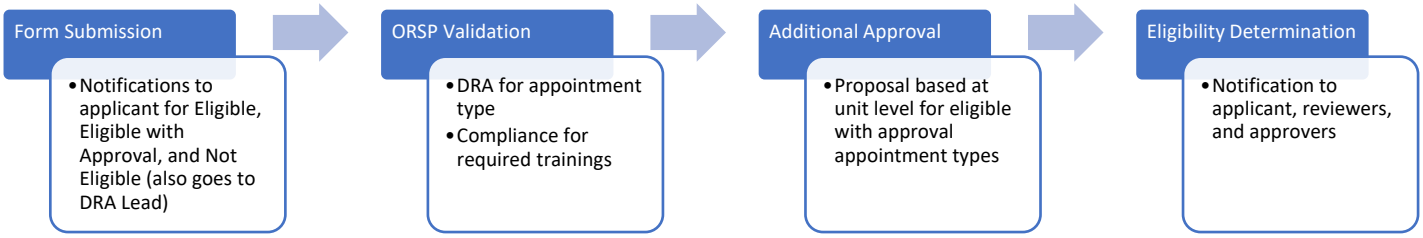
Example of an error message:



Once all required fields have been completed, you should be able to complete the submit action.

Workflow

Below is an overview of the worfklow steps for investigator applications. Notifications are sent by the system as each step is reached. The applicant will receive confirmation of the form submission as well as a notification of determination when the review process is completed.



Approving – Unit Level

For applications where the applicant has an appointment type that is eligible with approval, unit level approval is required. See the Investigator Eligibility Policy and the Investigator Handbook referenced above for more information.

For additional instructions on how to complete approvals within Kuali Build, please see the Kuali Build Guide linked above.

Approval Notifications

Unit level approvers receive an automated email from Kuali Build when they have an approval task to complete for an Investigator Application. A reminder email will be sent by the system every 4 days until their approval task is completed. The email includes instructions and an attestation.

Approval Considerations

Carefully review the application and approve only if the applicant and the proposal identified support your unit's strategic initiatives and you are willing to accept full fiscal and administrative liability and responsibility for the actions of the investigator on the proposal related to the attached funding opportunity for the application you are approving and as outlined in the policy document referenced above.

ORSP Workflow Tasks

ORSP Review and Verification of Eligibility Status, Unit Approver, and Required Training

1. DRAs validate the eligibility status, and the Unit/Department Approver selected
2. Compliance validates the required training

DRA Validations

The purpose of the DRA review is to ensure the Unit/Department Approver is accurate and the eligibility returned on the form is consistent with the applicant's eligibility status based on their appointment details in HR. The DRAs use a query available in HR Direct to make these validations.

- HR query: ORSP_ELIGIBILITY
- DRA looks up the applicant's employee ID to determine eligibility status and view their home department assignment to validate against the Unit/Department Approver selected

Compliance Validations

ORSP Compliance validates the applicant's required training certificates and verifies the applicant is not suspended or debarred.

Postaward Tasks

The ORSP Postaward Sponsored Research Administrator (SRA) manages the eligibility indicators in PeopleSoft and retains records of the investigator eligibility applications.

DRA/Unit Administrator Investigator Onboarding Checklist

1. Confirm the Investigator has a claimed UMB email address, and has an active and currently effective dated appointment (lookup in Job Data in HR Direct)
    - Confirming this means Kuali Build and CITI should be accessible to them
2. Advise the Investigator to complete all required training, see the Required Trainings section of the Training page on the ORSP website
3. Once training is complete, advise the Investigator to launch the Build Form-Investigator Application and submit into workflow
    - Form is available in the Investigator Eligibility section of the Forms, Policies, & Processes page of the ORSP website
4. Follow the guidance in Investigator Eligibility, Policies-Procedures-Resources in the ORSP Shared Drive and complete required tasks.
    - DRA Lead validates eligibility status in ORSP_ELIGIBILITY Query and form is routed as:
    - Eligible Status: Investigator applications are automatically approved, and a notification is sent to the SRA mailbox ORSPInternalactions@umb.edu
    - Eligible w/Approval Status: Investigator Applications require GCA review and unit approval. Attach completed Application to Kuali PD Attachments: Internal Tab, attachment type "Investigator Application"
5. Complete the CON-15-Investigator Template to allow the Investigator to gain access to the Kuali Research Environment

Troubleshooting/Questions

Technical questions involving how to complete the form or viewing the status of your application – Please review the Kuali Build guide linked above or reach out to ORSP Training and Education at ORSPTraining@umb.edu

Policy or process questions, please review the Investigator Handbook linked above or reach out to your ORSP Preaward contact (GCA). See the Team Assignments section of the ORSP About Us website to find your GCA contact.