



**Research Integrity and Compliance  
Office of Research and Sponsored Programs**

**Kuali Protocol Training Exercises  
IACUC Researcher**

## Exercise 1 – Logging In

### Step No. Instructions

1 Navigate to: <https://txstate.kuali.co/protocols>

2 **Username:** <enter your Net ID>  
**Password:** <enter your password>



#### Login to Kuali Protocols

**NetID**

> [Forgot your password?](#)

> [Activate your NetID](#)

**Password**

Login


Kuali Software as a Service

Use of computer and network facilities owned or operated by Texas State University requires prior authorization. Unauthorized access is prohibited. Usage may be subject to security testing and monitoring, and affords no privacy guarantees or expectations except as otherwise provided by applicable privacy laws. Abuse is subject to criminal prosecution. Use of these facilities implies agreement to comply with the policies of Texas State University.

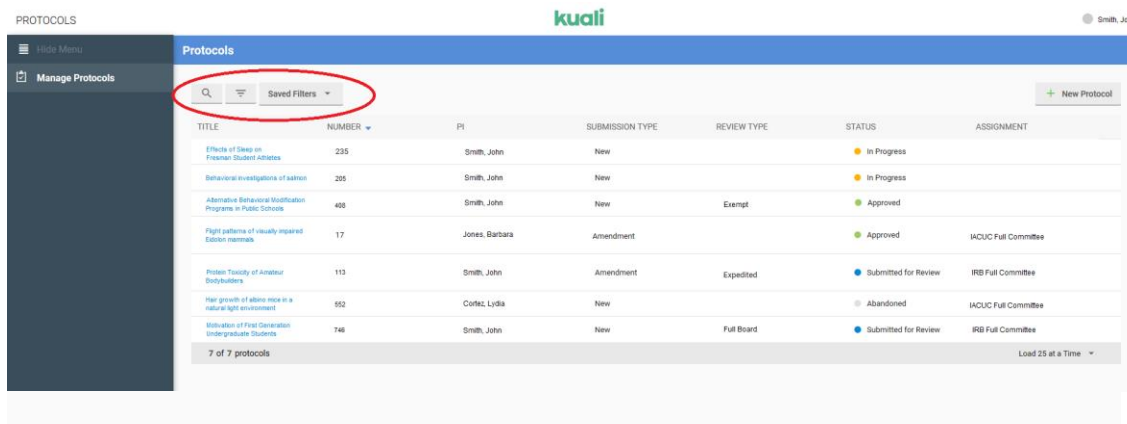
## Exercise 2 – Researcher Portal

As a researcher, student, or administrator acting on behalf of a researcher, you can prepare and manage your IRB protocols throughout their life cycle to ensure compliance with regulations and policies.

Upon logging into Kualii Protocols, the researcher will see all current protocols for that given individual Protocol Type. This list allows researchers to track all past, present, and in progress protocols so they are aware of their status and can ensure compliance.

The **Filter**  functionality can be used to hone down the list to your desired results or views. These filters can also be saved for future use. To access the filters, click on the arrow at the top of the page.

Also, within the **Filter** section, you can configure the **'Table Column Visibility'**. This allows you to configure the columns that suits your needs.



PROTOCOLS Smith, John

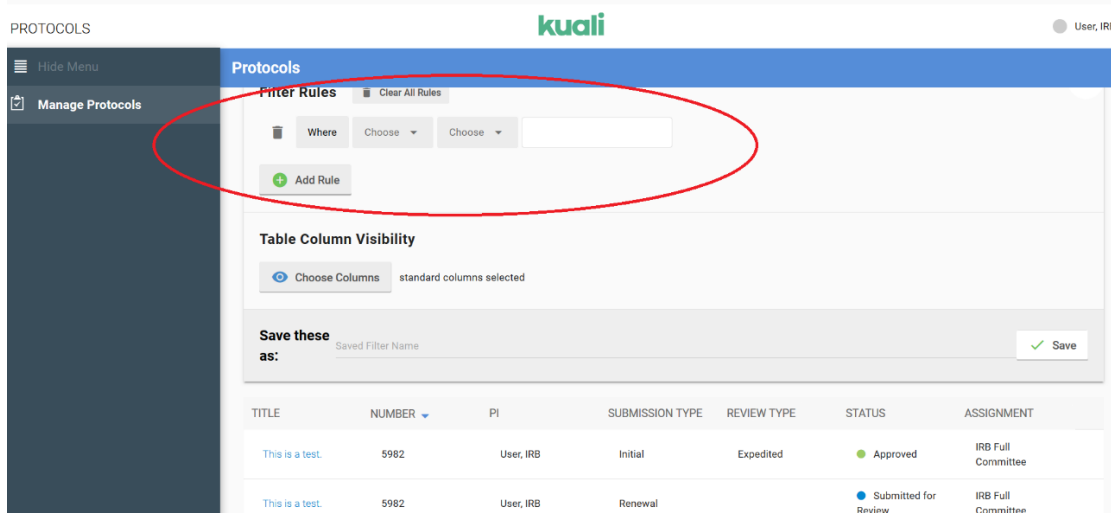
Protocols

Manage Protocols

Search Filter Saved Filters New Protocol

TITLE	NUMBER	PI	SUBMISSION TYPE	REVIEW TYPE	STATUS	ASSIGNMENT
Effects of Sleep on Freshman Student Athletes	235	Smith, John	New		In Progress	
Behavioral Investigations of eSalon	205	Smith, John	New		In Progress	
Alternative Behavioral Modification Programs in Public Schools	408	Smith, John	New	Exempt	Approved	
Ripit patterns of visually impaired fashion retailers	17	Jones, Barbara	Amendment		Approved	IACUC Full Committee
Protein Toxicity of Anabolic Bodybuilders	113	Smith, John	Amendment	Expedited	Submitted for Review	IRB Full Committee
Hair growth of albino mice in a natural light environment	952	Cortez, Lydia	New		Abandoned	IACUC Full Committee
Utilization of First Generation Undergraduate Students	748	Smith, John	New	Full Board	Submitted for Review	IRB Full Committee

7 of 7 protocols Load 25 at a Time



PROTOCOLS User, IRB

Protocols

Manage Protocols

Filter Rules Clear All Rules

Where Choose Choose

Add Rule

Table Column Visibility

Choose Columns standard columns selected

Save these as: Saved Filter Name Save

TITLE	NUMBER	PI	SUBMISSION TYPE	REVIEW TYPE	STATUS	ASSIGNMENT
This is a test.	5982	User, IRB	Initial	Expedited	Approved	IRB Full Committee
This is a test.	5982	User, IRB	Renewal		Submitted for Review	IRB Full Committee

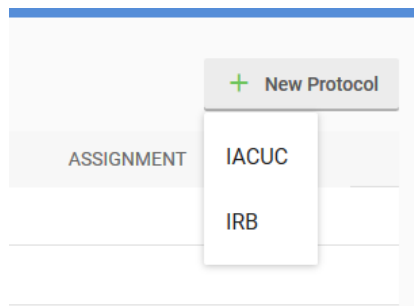
## Exercise 3 – Creating a Protocol

### Step No. Instructions

Navigate to the **Manage Protocols** section.

1

To start a new protocol simply click the **'New Protocol'** button in the top right-hand corner of the Manage Protocols screen and select IACUC.



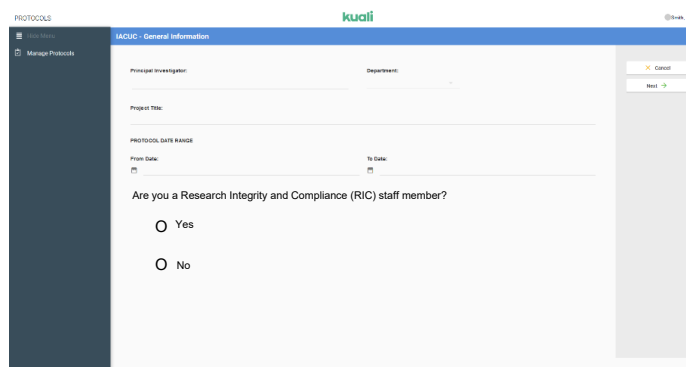
Once initiated, the system will guide you through protocol creation, starting with **General Information**.

2

In the **General Information** section, complete the following:

- Are you a Research Integrity and Compliance staff member?  
**ANSWER as NO**
- Answer the following questions regarding the researcher.

Click below the heading and begin to type the last name of the principal investigator. A drop down menu will appear. Highlight and click the last name of the principal investigator. *Only faculty and staff are eligible to be principal investigator.*

A screenshot of the 'IACUC - General Information' form in the kuall system. The form includes fields for 'Principal Investigator', 'Department', 'Project Title', and 'PROTOCOL DATE RANGE' (with 'From Date' and 'To Date' sub-fields). Below these is a question: 'Are you a Research Integrity and Compliance (RIC) staff member?' with radio buttons for 'Yes' and 'No'. The 'No' option is selected. The form also has 'Cancel' and 'Next ->' buttons on the right side.

Click below the heading. A drop down menu containing department names. Highlight and click the appropriate department.

3

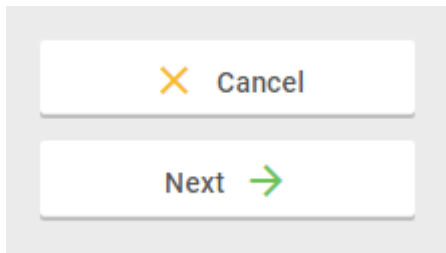
The screenshot shows the 'IACUC - General Information' form in the 'kuali' system. The form includes fields for 'Principal Investigator' (Smith, John), 'Project Title', and 'PROTOCOL DATE RANGE' with a 'From Date' field. A dropdown menu for 'Department' is open, displaying a list of departments including ALERRT Center, AVP, Academic Services, Academic Development & Assessment, Academic Lab/Server Support, Accounting Office, Advancement Information Services, Advancement Services, Aerospace Studies (ROTC), Alumni Relations, Annual Giving, Anthropology, Applied Arts Academic Advising Center, Assistant to the President, and Assoc VP for Financial Services. The 'Next' button is highlighted in green. The user 'Smith, John' is logged in.

Complete the Project Title and Protocol Date Ranges.

4

The screenshot shows the 'IACUC - General Information' form with a date picker open for the 'From Date' field. The date picker displays '2018' and 'April 2018'. The selected date is 'Tue, Apr 10'. The 'OK' button is highlighted in green. The 'Next' button in the background is also highlighted in green. The user 'Smith, John' is logged in.

Clicking the **'Next'** button saves your protocol and sends you to the next part of the application. If you choose **'Cancel'**, the protocol will not be saved and the system will return you to the Researcher portal.



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## General Questionnaire

6 The system will take you to the **General Questionnaire** to answer questions required for your questionnaire.

Click the appropriate answer and provide the necessary information regarding your protocol.

A screenshot of a web application interface. At the top left, the word 'PROTOCOLS' is visible. At the top right, the 'kuali' logo is displayed. Below the logo, there is a blue navigation bar with a 'Back' button and the text 'Manage Protocols → IACUC: #243 Pupil restriction of visually impaired mice.' On the left side, there is a dark blue sidebar with a 'Manage Protocols' button. The main content area is white and contains two sections of radio button options. The first section is titled 'This project is for:' and includes options for 'Teaching', 'Research', 'Outreach', and 'Other'. The second section is titled 'Animals will be:' and includes options for 'Commercially or externally sourced and laboratory housed', 'Used in agricultural setting', 'Wild caught and laboratory housed', and 'Used only in the field'.

- 7 After the initial information is collected, the system will provide you with an entire protocol view. During this portion, you may provide the names of co-investigators and other key personnel associated with the protocol, study objectives, and other protocol relevant information.

The **Jump to...** area on the left-hand side of the screen allows users to easily navigate to the desired sections in the protocol. This quick navigation allows you to move freely throughout the multiple sections of the application.

The screenshot shows a web application interface for managing protocols. At the top, there is a blue navigation bar with a 'Back' button and the text 'Manage Protocols → IACUC: #243 Pupil restriction of visually impaired mice.' Below this, the page is titled 'PROTOCOL' and 'ACTIVITY U'. On the left side, there is a 'Jump to...' sidebar with a list of protocol sections, each with a checkmark: GENERAL INFORMATION, GENERAL QUESTIONNAIRE, FUNDING SOURCES, PROTOCOL PERSONNEL, ARE YOU USING?, STUDY OBJECTIVES, RATIONALE FOR USE OF ANIMALS, SPECIES, PAIN/STRESS CATEGORY, PERMIT INFORMATION, PROCEDURES USING ANIMALS, SURGERY, EUTHANASIA, TRAPPING INFORMATION, HOUSING LOCATION, NON-STANDARD EXPERIMENTAL PROCEDURES, and EMERGENCY CONTACT INFORMATION. The main content area shows the 'Version: 1 (In Progress)' and a table with columns for 'Submission Type' (New) and 'Status' (In Progress). Below this, the 'GENERAL INFORMATION' section is displayed, including fields for 'Principal Investigator' (Smith, John), 'Department' (Biology), 'Project Title' (Pupil restriction of visually impaired mice), and 'PROTOCOL DATE RANGE' (From Date: April 10, 2018; To Date: April 10, 2018).

## Funding Source

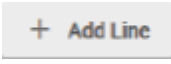
Provide the necessary information regarding the funding source. Enter N/A if not applicable. Do not leave this portion blank.

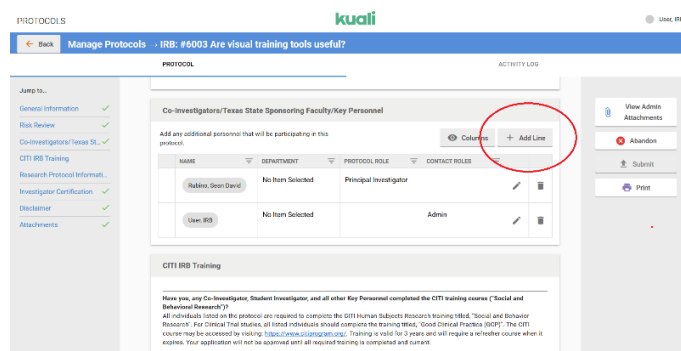
8

The screenshot shows the 'FUNDING SOURCES' section of the application. It contains three main input areas: 'Sponsored Project Source' with a sub-instruction 'Enter N/A if not applicable. Do not leave blank.', 'Other Source' with a sub-instruction 'Enter N/A if not applicable. Do not leave blank.', and 'No Funding:' with a sub-instruction 'Please explain'. Each area has a text input field and a small icon (a magnifying glass for the first two, and a document for the last).

## Protocol Personnel

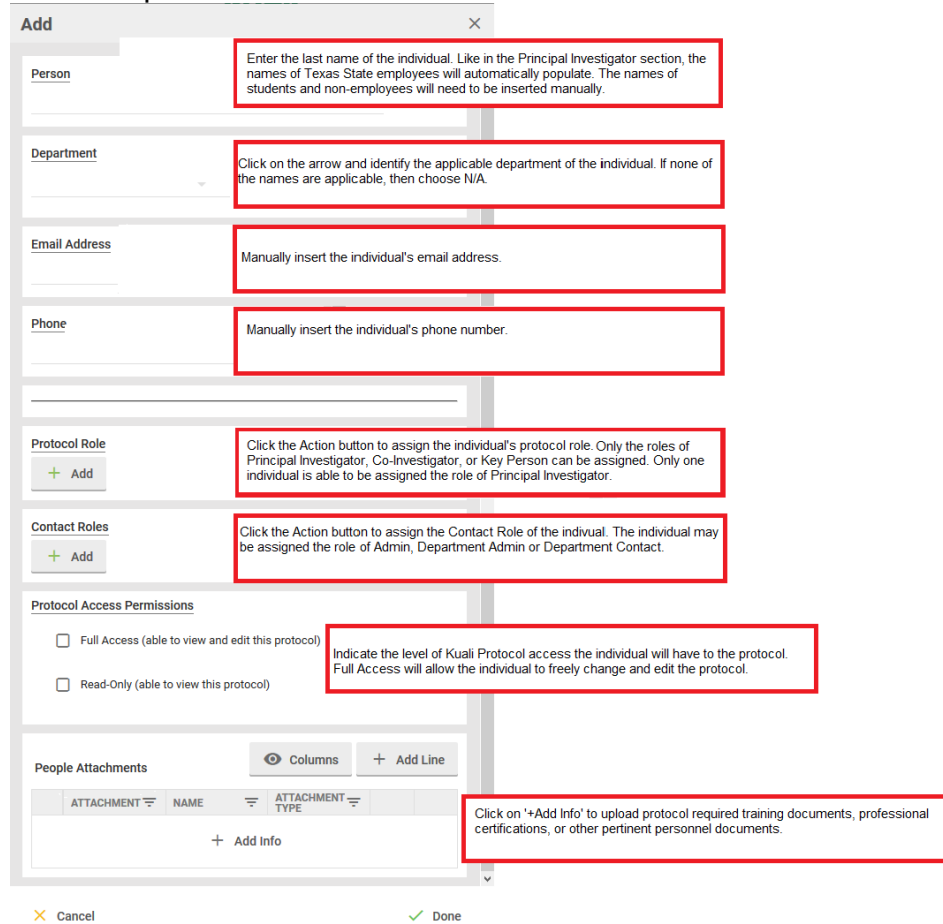
Scroll down or click on the section titled **'Protocol Personnel'**. This section allows you to add co-investigators and key personnel and assign their protocol role and access to the protocol in Kuali. The principal investigator

will click on the  button to add individuals to the protocol.



Once you click the button, the following box will appear. Provide the names, roles, contact and training information of the individuals working on the research protocol.

9



The 'Add' form is a modal window for adding new personnel to a protocol. It contains several sections with input fields and instructions:

- Person:** A text input field. Instruction: "Enter the last name of the individual. Like in the Principal Investigator section, the names of Texas State employees will automatically populate. The names of students and non-employees will need to be inserted manually."
- Department:** A dropdown menu. Instruction: "Click on the arrow and identify the applicable department of the individual. If none of the names are applicable, then choose N/A."
- Email Address:** A text input field. Instruction: "Manually insert the individual's email address."
- Phone:** A text input field. Instruction: "Manually insert the individual's phone number."
- Protocol Role:** A section with a '+ Add' button. Instruction: "Click the Action button to assign the individual's protocol role. Only the roles of Principal Investigator, Co-Investigator, or Key Person can be assigned. Only one individual is able to be assigned the role of Principal Investigator."
- Contact Roles:** A section with a '+ Add' button. Instruction: "Click the Action button to assign the Contact Role of the individual. The individual may be assigned the role of Admin, Department Admin or Department Contact."
- Protocol Access Permissions:** Two radio button options: 'Full Access (able to view and edit this protocol)' and 'Read-Only (able to view this protocol)'. Instruction: "Indicate the level of Kuali Protocol access the individual will have to the protocol. Full Access will allow the individual to freely change and edit the protocol."
- People Attachments:** A table with columns for ATTACHMENT, NAME, and ATTACHMENT TYPE. Below the table is a '+ Add Info' button. Instruction: "Click on '+Add Info' to upload protocol required training documents, professional certifications, or other pertinent personnel documents."

At the bottom of the form, there are 'Cancel' and 'Done' buttons.



## Exercise 4 – Submitting a Protocol

Step No.	Instructions
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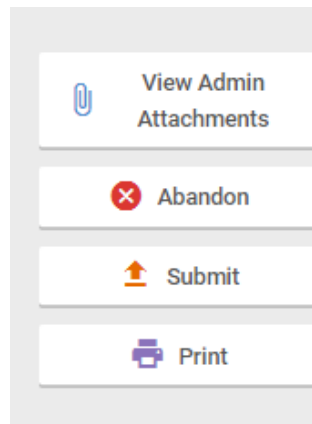
Upon completion of your protocol, you may choose one of the following:

- |   |  |
|---|--|
| 1 | <ul style="list-style-type: none"><li>• The option to '<b>View Admin Attachments</b>' is available. If you have been working with RIC while developing your Protocol, there may be attachments in this section for your review. In most cases this section will be empty until the Protocol has been submitted for review.</li><li>• As the initiator, you can '<b>Abandon</b>' this Protocol until it is submitted for re you decide not to proceed with this document.</li><li>• You can submit for review using the appropriate '<b>Submit</b>' action button in right-hand corner.</li><li>• A '<b>Print</b>' option allows you to print the entirety of your protocol to PDF for your review.</li></ul> |
|---|--|

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To submit the protocol to the appropriate protocol administrator for review, click '**Submit**' button.

2



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After you click the '**Submit**' button, the following actions will be available in the right corner of the protocol:

- |   |  |
|---|--|
| 3 | <ul style="list-style-type: none"><li>• The '<b>View Admin Attachments</b>' will be available for the life of the protocol.</li><li>• A '<b>Withdraw</b>' option allows you to pull the protocol from review if you need to make additional edits prior to review. Once RIC assigns your protocol to a committee, the '<b>Withdraw</b>' action is no longer available.</li><li>• The '<b>Print</b>' option will be available for the life of the protocol.</li></ul> |
|---|--|
-

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After submission, you can track the progress of your protocol in the researcher **Manage Protocols** portal, which will display the current Status, Assignment, Assigned Reviewers, Approval Date, Expiration Date, etc.

4

TITLE	NUMBER ▾	PI	SUBMISSION TYPE	STATUS	
<a href="#">Research Protocol Title</a>	41	McGregor, Geoff	New	● Submitted for Review	

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## Exercise 5 – Returned Protocols Requiring Action

Upon review of a given protocol, RIC may send it back to the principal investigator for additional information or other requested changes. When a protocol is returned, the status of the protocol will be either **'Returned to PI'** or **'Requires Revision'** in your researcher portal. Protocols are returned to the PI when they are incomplete or not ready for review or when they have been reviewed but need some sort of edit or additional information prior to approval.

### Step No. Instructions

Click on the protocol title to open a returned protocol.

1

TITLE	NUMBER ▾	PI	SUBMISSION TYPE	STATUS
<a href="#">Research Protocol Title</a>	41	McGregor, Geoff	New	

2

Upon opening the protocol, you will see either general comments or section specific comments highlighted with orange text boxes.

Click on the **'General Comment'** or **'Comment'** icons to review comments and specific items requiring action.

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1 GENERAL COMMENT

### General Information

Principal Investigator + COMMENT Smith, John	Lead Unit + COMMENT University	Title 1 COMMENT JF testing .....
Description		+ COMMENT

If needed, click the **'Show Latest Changes'** checkbox to see any changes that have occurred on the protocol since the last version. This helps better identify items that have changed since the last submission.

3

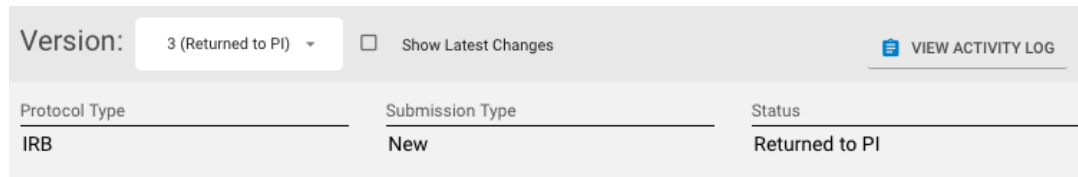
### General Information

Principal Investigator EDIT Smith, John	Lead Unit EDIT University	Title EDIT <del>Research Protocol Title</del> Old <u>The Impact of Good Nutrition and Exercise on the Success of High School Students</u> New
Description		EDIT

~~Lay abstract for this research...~~ Old Lay abstract for this research...I will be working with a number of high school students to see the impacts of healthy diets and exercise have on their success in school. New

- 4 Also, when a protocol is returned, the top section provides a history of the versions and a summary of the current protocol status and information.

The '**Version**' dropdown allows you to view prior version information, and the '**View Activity Log**' gives you a history of the series of actions that have taken place on this protocol.

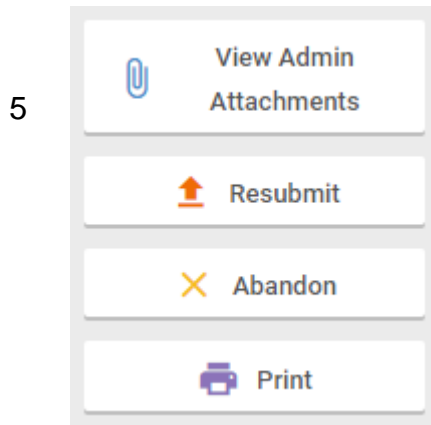


The screenshot shows a header section for a protocol. On the left, there is a 'Version:' dropdown menu currently set to '3 (Returned to PI)'. To its right is a checkbox labeled 'Show Latest Changes' which is unchecked. Further right is a blue button with a document icon and the text 'VIEW ACTIVITY LOG'. Below this header is a table with three columns: 'Protocol Type', 'Submission Type', and 'Status'. The values in the table are 'IRB', 'New', and 'Returned to PI' respectively.

Protocol Type	Submission Type	Status
IRB	New	Returned to PI

Once all comments have been addressed, you can resubmit the protocol to RIC using the '**Resubmit**' action button in the right-hand corner.

Also, if you decided to cancel or permanently discard this protocol for any reason, you can utilize the '**Abandon**' button.



## Exercise 6 – Amending or Renewing (Continuation) an Approved Protocol

Once a protocol is approved, the PI (if granted full access on the protocol) or Admin can initiate an Amendment or Renewal on the protocol if needed.

Within these actions, you can update information and attach necessary updated documents for review.

When an Amendment or Renewal is initiated, a separate request under the same protocol number is created and, once approved, the changes merge back into the original protocol.

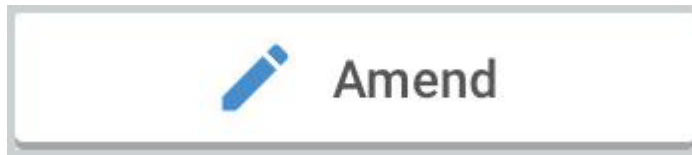
Please note, only one outstanding action can be taken on a given protocol. If an amendment or renewal has already been initiated on a protocol, the **'Amend'** and **'Renew'** buttons will be greyed out in the existing approved protocol.

## Amending an Approved Protocol

### Step No. Instructions

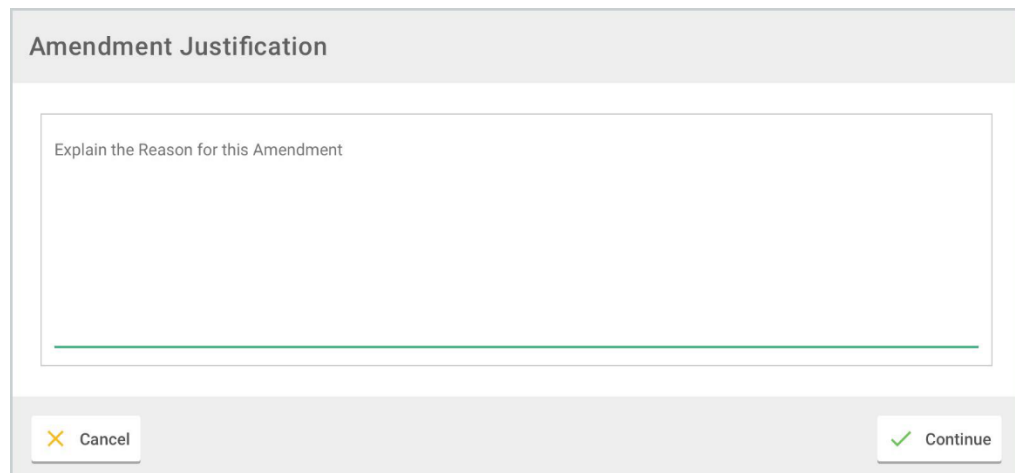
On an approved protocol, the **'Amend'** button will be available if you need to make a change, modification, or addition to something on the protocol.

- 1 This button will only be available to those granted full access to the protocol or an admin can initiate.




Upon clicking **'Amend'** you will be required to fill out more detail on the reason for the Amendment.

2

A form titled "Amendment Justification" with a light grey header. Below the header is a large white text area with a thin grey border. Inside the text area, the text "Explain the Reason for this Amendment" is displayed. At the bottom of the form, there are two buttons: "Cancel" on the left, which has a yellow 'X' icon, and "Continue" on the right, which has a green checkmark icon.

Once you click **'Continue'** you will be prompted to add the necessary information.

3 Once the protocol is complete, you can submit for review/approval and the same available actions and functionality are available as when you initially submitted your protocol.

You may scroll down or click the name of the section on the menu that requires amending. Click the  **Edit** button and insert the appropriate information.

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## Renewing an Approved Protocol

Step No.	Instructions
1	<p>On an approved protocol, the <b>'Renew'</b> button will be available if you need to submit a continuing review request.</p> <p>This button will only be available to those granted full access to the protocol or an admin can initiate.</p>
2	<p>Upon clicking the <b>'Renew'</b> button, you will be required to fill out/complete the necessary information as applicable.</p> <div data-bbox="428 1031 1122 1182" data-label="Image"></div>
3	<p>Once the protocol is complete, you can submit for review/approval and the same available actions and functionality are available as when you initially submitted your protocol.</p>

## Other Actions

In addition to the **'Amend'** and **'Renew'** buttons, the **'View Admin Attachments'** and **'Print'** buttons are available to the right. The **'View Admin Attachments'** allows you to see the attachments associated with the protocol for review. The **'Print'** button opens the protocol in new browser window so it can be easily saved and printed from your computer.

