Office of the Vice President for Research
Research Administration Services

Overview:

Individuals listed on the Key Persons/Personnel screen, with few exceptions, are required to complete Certification in Kuali Coeus before a proposal may be routed for approval.

To allow Investigators and Key Personnel to complete the required Certification for a proposal, you must complete the steps below:

Procedure:

Adding NIH/PHS Investigators and Key Personnel

Create a new proposal by entering the required information on the **General Info** screen and any additional information the Investigators/Key Persons may require for certification [see: KC Minimum Requirements for Routing Quick Reference Card or the KC User Guide on kc.mit.edu].

1. From the left navigation menu, click the **Key Personnel** panel. This will open the Key Personnel subpanel, click on the **Personnel** link.

Figure 1 – Key Personnel Subpanel/ Personnel Link

KUALI COEUS

Use the chart below for general guidance on who should be listed as Investigators/Key Persons and whether certification is required. MIT guidance and more detailed information on identifying PHS investigators may be found here at http://coi.mit.edu/sponsor-specific-guidelines/national-institutes-health-nih/who-investigator.

MIT Person?	PI/Multiple indicated?	KC Proposal Role	Grants.Gov form Proposal Role	MIT KC Required Certification?	Description
Yes	Either	**PI/Contact**	PD/PI	**Yes**	An "Investigator" means the project director/principal investigator and any other person who is responsible for the design, conduct, or reporting of research or instructional activities.
Yes	Yes	**PI/Multiple (MIT Employee)**	PD/PI	**Yes**	
No	Yes	**PI/Multiple (Non MIT Employee, often Subaward Investigator)**	PD/PI	**No -** Managed by Subaward Organization	
Yes	No	**Co-Investigator (MIT Employee)**	Co-Investigator	**Yes**	
Yes	N/A	**Key Person** **Key Person Role**: enter role on the project i.e., Senior PostDoc Associate, Research Scientist, etc.	**Other** **Other Project Role Category:** [Key Person Role as entered]	**Yes**	Individuals who commit to contribute to the scientific development or execution of the project, and DO commit specified measurable effort (i.e., person months) to the project.
No	N/A	**Key Person** **Key Person Role**: enter role on the project i.e., Senior PostDoc Associate, Research Scientist, etc.	**Other** **Other Project Role Category:** [Key Person Role as entered]	**Yes** (requires DLC to Sponsor Non MIT individual by obtaining an MIT Kerberos ID, which creates an entry in the employee search - see under "To Add Key Persons" below)	
Either	N/A	**Key Person** **Other Significant Contributor** **Key Person Role**: enter **Other Significant Contributor** (use exact spelling).	**Other Project Role Category:** Other Significant Contributor	**No** – this role does not meet qualifications of certification and disclosure requirements	Individuals who commit to contribute to the scientific development or execution of the project, but do not commit any specified measurable effort (i.e., person months) to the project.
No	N/A	**Key Person** **Consultant** **Key Person Role**: enter **Consultant** (use exact spelling).	Other Other Project Role Category	**No** – this role does not meet qualifications of certification and disclosure requirements	Individuals who generally provide a 'fee for service' and do not typically conduct research. They may provide insight and expertise to the PI but independently are

IIiI Office of the Vice President for Research
Research Administration Services
QC PD 7-27-17 V3 Adding PHS Investigators Key Person Certification for Proposals   Page 2

					not responsible for the design, conduct or reporting of research.
No	N/A	**Key Person** **Subaward Investigator** **Key Person Role**: enter **Subaward Investigator** (use exact spelling).	**Other** **Other Project Role Category:** Subaward Investigator	**No** - Managed by Subaward Organization	Individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they request salaries or compensation.

Table 1 – General Guidance

Note: If a Certification is required in KC (per these PHS rules), the person must **NOT** be entered into the proposal using the Non-Employee lookup. See pages 9 and 10 for more info.

2. Click the **Add Personnel** button.
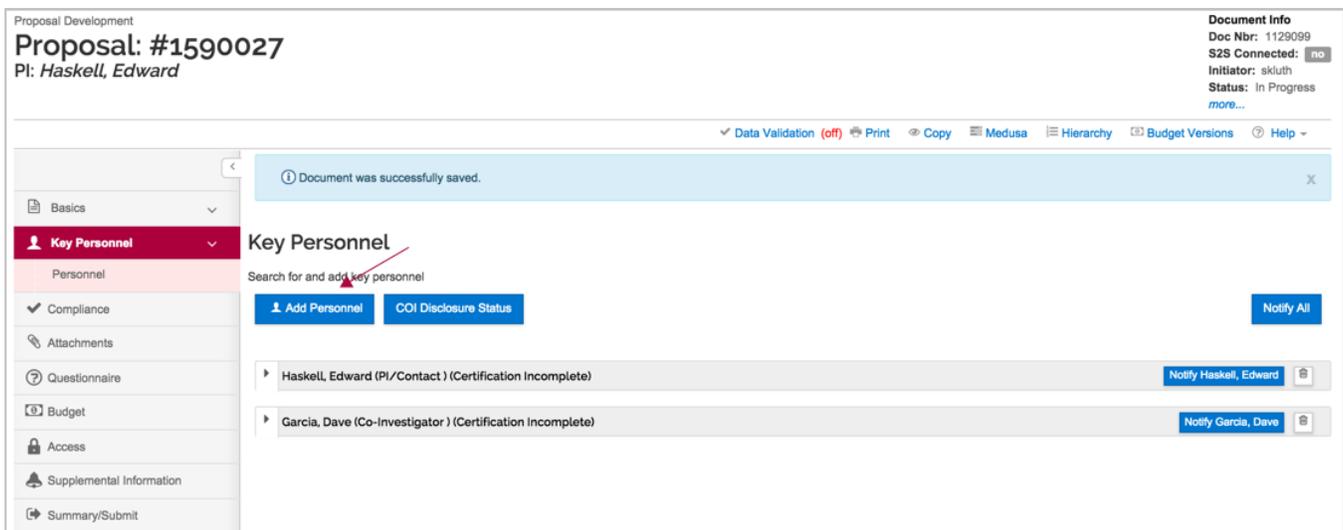
Figure 2- Add Personnel Button

3. The **Add Personnel** screen will display with the list of the available search criteria fields. To add an MIT Employee, enter the Individuals first name, last name, username, or email and click the **Continue...** button.

4. The **Add Personnel** window will now display the list of employees, Select the individual you want to add, and then click the **Continue...** button.
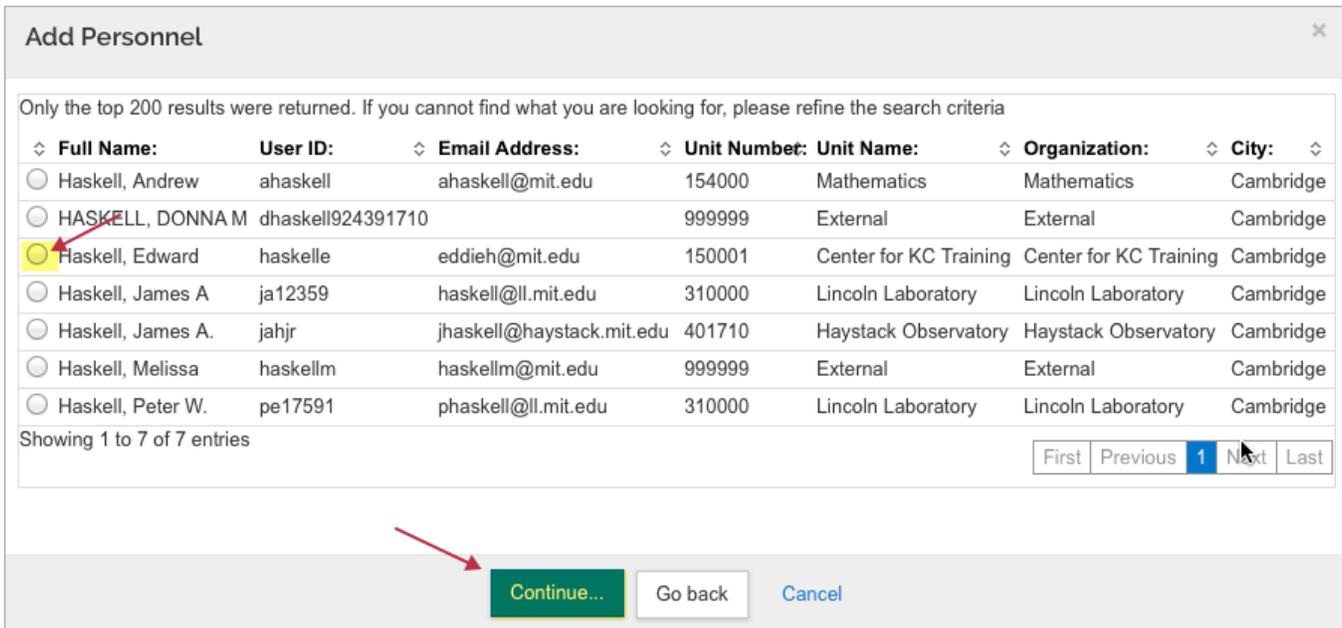
Figure 3 –Add Personnel Window

5. The **Add Personnel** window will now display a list of assigned roles with Principal Investigator selected as default. Select the correct role and click the **Add Person** button.
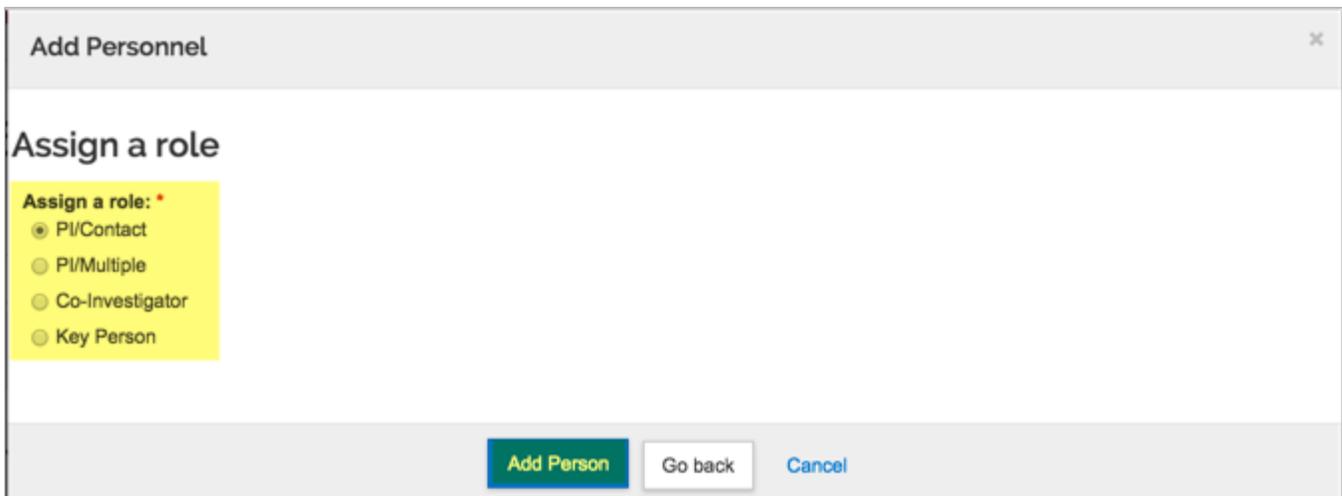
Figure 4 – Assign Role

6. If you select Key Person, additional field "Role" will be required. Those **not given** an **exempt role of** either **Consultant**, **Other Significant Contributor** or **Subaward Investigato**r must complete certification questions and disclose if responses indicate a conflict of interest.

7. Click the **arrow** next to the Name of the individual that was just added.
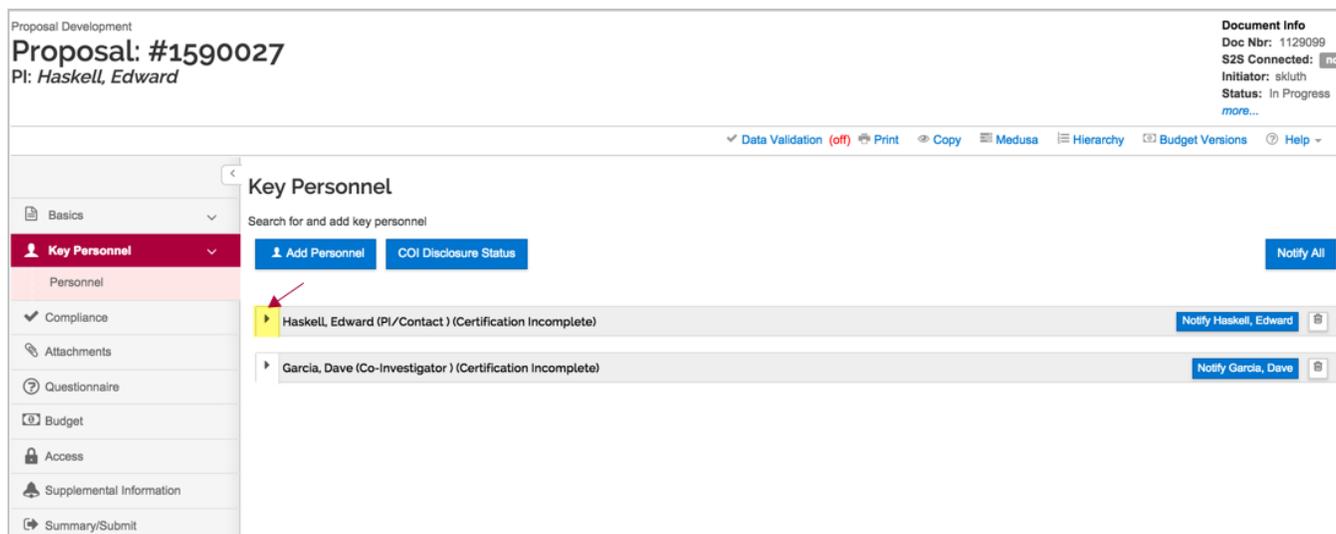
Figure 5 - Key Personnel Screen

The **Details** tab displays the Full Name, User Names, and Proposal Person Role ID.

8. If the proposal should route to an additional unit for approval, click the **Unit Details** tab.
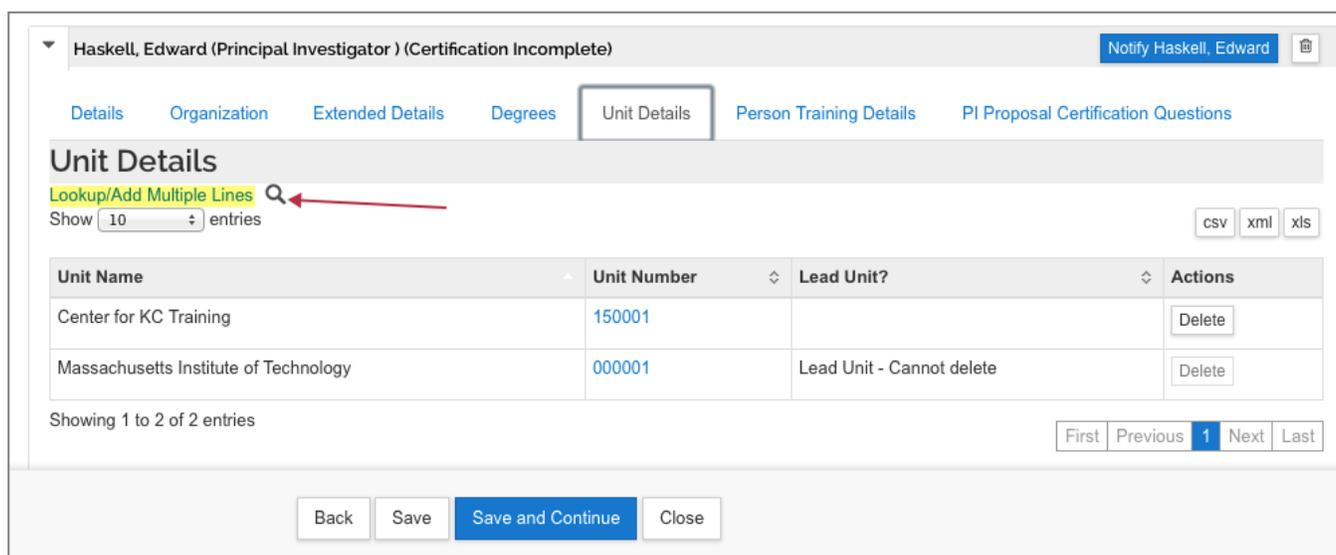
Figure 6 – Unit Details Tab

9. Click on **Lookup/Add Multiple Lines** link.

10. Enter the desired search criteria into the desired fields and click the **Search** button.

11. Select the desired unit you wish to add, and then select the **Return Value** button at the bottom of the screen.

Figure 7 - Unit Lookup

12. Once you have selected your unit, click the **return selected** button.

13. Click the **Details** tab to confirm Units for Routing. **If the proposal should route to an additional unit for approval,** follow the same steps as above.

14. To **remove a Unit from routing**, click the **delete** button in the **Actions** column for the given unit.
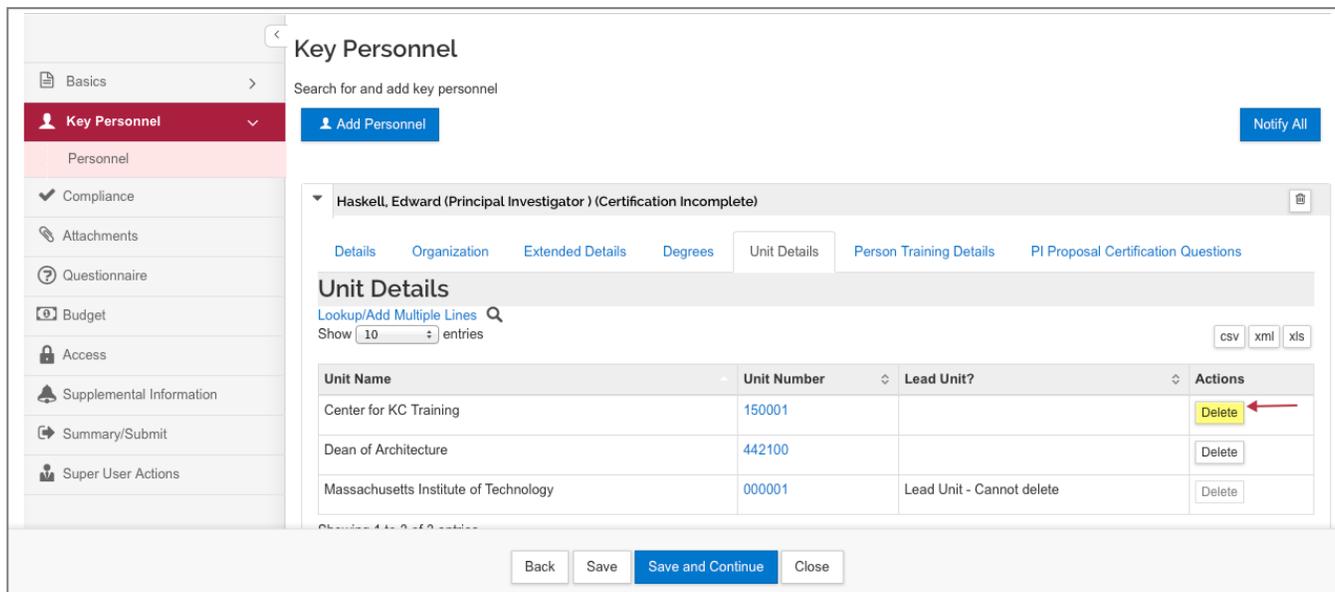
Figure 8 - Unit Details

To add Key Persons (Multi/PI)

1. Click the **Add Personnel** button.
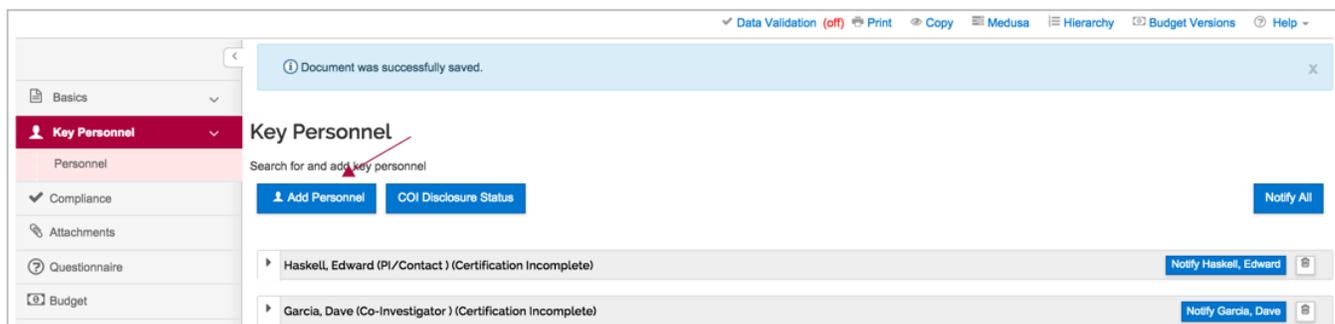
Figure 9- Add Personnel Button

2. The **Add Personnel** screen will display with the list of the available search criteria fields. To add an *MIT Employee*, enter the Individuals first name, last name, username, or email and click the **Continue…** button. To add a *Non MIT person* select the Non-Employee radio button and enter the Individuals first name, last name, username and click the **Continue…** button.

3. The **Add Personnel** window will now display the list of employees, Select the individual you want to add, and then click the **Continue…** button.

Figure 10 –Add Personnel Window

📌**Note**: If you are unable to find a non MIT employee person, please submit a **Request a New Address Book Entry/Non-MIT Employee** on-line Form, found here
http://kc.mit.edu/forms

4. The **Add Personnel** window will now display a list of roles available to be assigned
    Select the **PI/Multiple** option and click the **Add Person** button.

Figure 11 - Add Person

5. Continue adding personnel.

    📌**Note**: Unit Detail information must be added for Non MIT, PI/Multiple -use "999999".

To add Non-MIT Key Persons

Note: Adding Key Persons to a proposal requires the additional field of "**Key Person Role**" be entered. When that Key Person Role for a non-MIT Key Person is not exempt from certification (i.e. **Consultant**, **Other Significant Contributor** or **Subaward Investigator**) stop. You will need to get that person an MIT Kerberos ID through IS&T through their online system (ist.mit.edu, select "MIT Affiliate in Directory" Option). Requests can take a full business day before being processed. You will then use the Employee Search to add them to the proposal (see page 3 for instructions).

1. While in the **Personnel** subpanel, click the **Add Personnel** button. An **Add Personnel** window will open.

2. In the **Add Personnel** window, in the **Search for** section, select the **Non Employee** radio button.

3. Enter the search criteria for the Non-MIT person and click the **Continue** button.

Figure 12 – Adding Personnel Window

4. Select the **Non-MIT Person** from the search results by clicking the **radio button** next to the Full Name and click the **Continue** button.

Figure 13 – Search Results

5. In the **Assign a role** window, select the radio button next to the role you want to assign. In the case of adding Subaward Investigator, you should select the **Key Person** radio button, enter **Subaward Investigator** in the '**Key Person's role will be'** field, and click the **Add Person** button.

Figure 14 – Assigning Role

The selected individual is added to the **Key Personnel** screen with six tabs across the top (**Details**, **Organization**, **Extended Details**, **Degrees**, **Unit Details**, and **Person Training Details**) that displays the additional information about the individual.

6. Click the **Save** button.

Note: *Subaward Investigators* are __not__ required to certify the proposal nor do they have to complete the COI disclosure (that is managed by the Subaward Organization) therefore you will not see the Proposal Certification Questions tab appear when the Subaward Investigator are added to the proposal. Also, *Consultants* and *Other Significant Contributors* are not required to certify or disclose.

Note: For two or more Key Persons, use the **Up** and **Down** arrows ⬆⬇ to sort. KC will print the names listed on the forms in the order in which they appear on this panel.

Send Certification Request/Notify

MIT policy requires that all Principal Investigators and Co-investigators disclose potential financial conflicts of interest when submitting proposals. Kuali Coeus supports this requirement through the PI Certification process during which PIs and Co-Is complete the conflict of interest screening questions and, if required, complete a full disclosure.

PHS (Public Health Service) sponsors, including NIH, have adopted COI regulations that extend to Investigators and Key Persons requiring completion of Certification prior to submission of a proposal to route for approval and annual disclosure if awarded.

For more information, see the Certification Quick Reference Cards.

The PI and Co-I(s) listed in your proposal **MUST** complete the self-certification in KC before the proposal may be routed for approval (NIH and other PHS sponsors also require Key Study Persons to Certify *– see exempt key person roles in **NOTE** on previous page*). Certification questions include COI screening questions. If an investigator responds **YES** to one or more of the COI questions, they will be directed to complete a full Proposal Disclosure.

📌**Note**: Good practice is to send the certification request early in the proposal preparation process to ensure that all Investigators have sufficient time to complete the certification.

To send Certification Request/Notify:

1. While in the **Key Personnel** screen, click the **Notify All** button, to send an email notification to one or all Investigators regarding required certification. (You can also click the individual **Notify _____** buttons located next to each individual's name.)
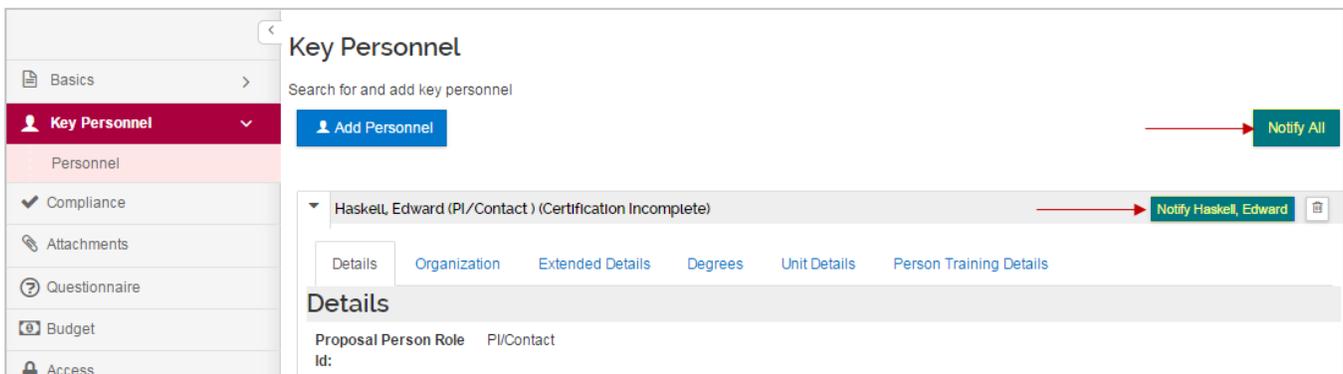
Figure 15 – Notify All or Notify Specific Individual

2. The **Notify All** window will open. Select the individuals to whom you want to send the Certification Notification to, by selecting the appropriate **checkbox** next to the person's name, and then click the **Notify** button.

3. You may repeat the notification process to send repeated reminders to the Investigator(s). You will see a timestamp for the last time each individual was notified via email.
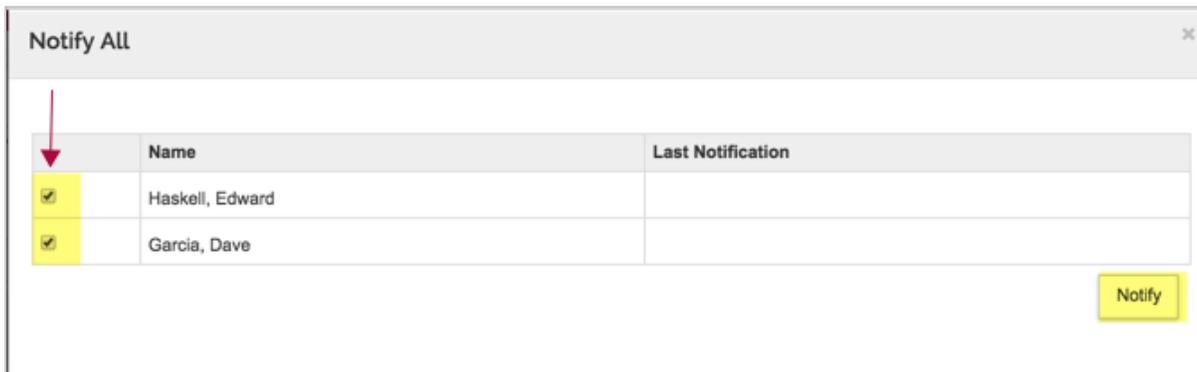
Figure 16 – Notify All Window

📌 **Note**: Investigators selected for notification will receive an email requesting they complete the certification for the proposal. The email contains a direct link to certify the proposal in KC. Once they have been notified, the **Last Notification** will be updated.
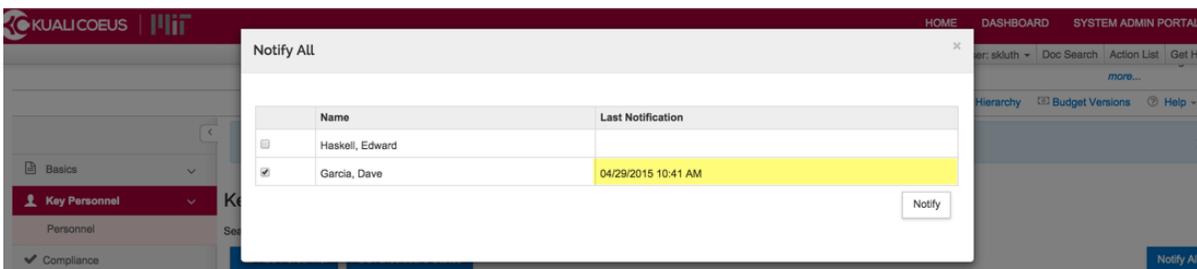
Figure 17 - Updated Last Notification

Additionally, PIs will receive an email similar to the example below:

Figure 18 - PI Email Notification

Based on answers to the certification questions, Investigators and PHS Key Persons may be directed to complete a required full COI disclosure in My COI. Their certification disclosure status will also change, as indicated in the table below:

COI Disclosure Status	Description
Not Disclosed	Person has not completed or submitted a Proposal Disclosure or are not required to certify/disclose
Review in Progress	Person has completed/submitted a proposal disclosure.
COI External	Person is not an MIT employee (e.g., consultant or Subaward Investigator) and COI is managed externally.
Disclosure Not Required	Person did not indicate any Potential conflict of interest in the COI screening questions and is therefore not required to certify.

Table 2-COI Disclosure Status

If a disclosure is required, it must be complete prior to submitting proposal for approval.
Return to **Key Personnel** screen, **COI Disclosure Status** window to monitor progress.

Getting Help:

Your RAS Contract Administrator
Proposal preparation and routing and approval questions Applicability of new COI regulations

Conflict of Interest Officer
COI-help@mit.edu
Questions about the Conflict of Interest Policy

FCOI website and resources:
FCOI website **http://coi.mit.edu**
MIT/RAS Guidance for Identifying PHS Investigators **http://coi.mit.edu/sponsor-specific-guidelines/national-institutes-health-nih/who-investigator**
New PHS Regulations and to whom they apply **http://coi.mit.edu/sponsor-specific-guidelines/national-institutes-health-nih**

MIT IS&T to Request Kerberos ID
accounts@mit.edu
Phone: 617.253.1325

Research Administration Education & Support Team
ra-help@mit.edu
For questions or problems using this Kuali Quick Reference Card or the procedure it describes, please email the Research Administration Education & Support team at
Include your **Name**, **Contact Information**, and the **Proposal, Award, or IP Number**.