Overview:

Individuals listed as Principal Investigator or Co-Investigator on the Key Persons/Personnel screen are required to complete Certification in Kuali Coeus before a proposal may be routed for approval.

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

Procedure:

Adding 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 Hands On Training manual on the KC Kuali Coeus website http://kc.mit.edu/ under the Quick Reference Cards and Training menus].

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

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Proposal Details	(i) Document was successfully saved	i.					х
S2S Opportunity Search		-					
Delivery Info	Proposal Type: *	New					
Sponsor & Program Information	Lead Unit:	000001 - Massachusetts Institute of	Technology				
Organization and Location	Activity Type:	Other					
👤 Key Personnel 🛛 🗸 🗸	Project Dates: *	07/01/2016		to	07/29/2017		
Personnel	Project Title: *	Elevating Phenethylamine Concentra	ation in Food Grade	Cocoa Butt	er		
Compliance	Sponsor: *	000656				Food and Drug Adminis	stration Q
Attachments							
Questionnaire	Prime Sponsor Code:						Q
 Budget 							

Figure 1 – Key Personnel Subpanel/ Personnel Link



All individuals added as Investigators must have PI Status and meet the following description:

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.

Use the chart below for general guidance on who should be listed as Investigators/Key Persons

Role	Role	Required Certification
Based on Selections	Based on Sponsor/Opportunity	
PI (Option Chosen)	Project Director	Yes
	Principal Investigator	
No (option Chosen)	Co- Principal Investigator	Yes
	Co- Investigator	
	Investigator	

Table 1 – General Guidance

Note: Multi-PI is used for NIH **only**.

Adding Investigators and Key Personnel

- Click the Key Personnel subpanel. 1.
- 2. Click the Add Personnel button.

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🖹 Basics 🗸 🗸								
Proposal Details	Key Personnel							
S2S Opportunity Search	Search for and add key personnel							
Delivery Info	Add Personnel							
Sponsor & Program Information								
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Key Personnel 🗸 🗸 🗸								
Personnel								
Compliance								
& Attachments								

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.

Note: If an Investigator is currently not an employee of MIT, you must sponsor them to get MIT Certificates so they may complete the required Certification and COI. Refer to the MIT Information Services & Technology Sponsor a Guest Account on the Web at <u>ist.mit.edu/accounts/guest</u>.

A system message will appear indicating the certification requirement and either a different role or an MIT employee guest account may be required:



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 **Continue...** button.

Pl: Not yet assigned		Initiator: dgarcia
Add Personnel		× more
Assign a role		et Versions ⑦ Help +
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Proposal Details OCo-Investigator		
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Compliance		
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	Back Save and Continue Close	
Portions	Copyright 2005-2015 Kuali, Inc. All rights reserved. of Kuali are copyrighted by other parties as described in the <u>Acknowledgments</u> screen.	

Figure 4 – Assign Role

6. Click the arrow next to the Name of the individual that was just added.

Proposal Development Proposal: #2494 PI: Haskell, Edward	.0	Document Info Doc Nbr: 1112543 S2S Connected: no Initiator: dgarcia Status: In Progress more
	🛩 Data Validation (off) 🖶 Print 🗼 Copy 🔤 Medusa 🗦 Hierarchy 🗈 Budget Ve	rsions 🗇 Heip -
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Basics >		
👤 Key Personnel 🗸 🗸 🗸	Key Personnel	
Personnel	Search for and add key personnel	
✓ Compliance	Add Personnel	Notify All
N Attachments		
Questionnaire	Haskell, Edward (Principal Investigator) (Certification Incomplete)	Haskell, Edward
 Budget 		
Access		
Supplemental Information		
Summary/Submit		
	Back Save Save and Continue Close	



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

7. If the proposal should route to an additional unit for approval, click the **Unit Details** tab.

		HOME	DASHBOARD MAIN	ITENANCE SYSTEM	M ADMIN PORTAL
		kc6011-s16-20	150323-0016 User: dgan	cia 👻 Doc Search Ac	tion List GET H P
Basics >					
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Questionnaire	 Haskell, Edward (Principal Investigator) (Certification Incomplete Control of Certification Incomplete Control of Certification Incomplete Certification Incomplete Certification Certification Incomplete Certification Certification Incomplete Certification Certification Incomplete Certification Certificati Certification Certification Certification Certification Cer	ete)		Notify Ha	askell, Edward 🗊
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Access	Unit Details				
Supplemental Information	Lookup/Add Multiple Lines Q				csv xml xls
Summary/Submit	Unit Name	Unit Number 🗘	Lead Unit?	\$	Actions
Super User Actions	Center for KC Training	150001			Delete
	Massachusetts Institute of Technology	000001	Lead Unit - Cannot dele	te	Delete
	Showing 1 to 2 of 2 entries			First Previou	us 1 Next Last
	Back Save Save and Con	tinue Close			

Figure 6 – Unit Details Tab

- 8. Click on Lookup/Add Multiple Lines link.
- 9. Enter the desired search criteria into the desired fields and click the Search button.
- 10. Select the desired unit you wish to add, and then select the Return Value button at the bottom of the screen.

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Key Personnel	U	nit Lo	ookup		k			
Personnel Compliance	Sho	w 10	+) entries			CSV	ml xls	Notify /
Attachments	•	Unit Number $\hat{\circ}$	Parent Unit	≎ Organization	Unit Name	\$	Active	
Questionnaire		409000	VP Research	Massachusetts Institute of Technology	Human Resources		true	Notify Haskell, Edward
Budget		410000	Vice President For Resource Development	Massachusetts Institute of Technology	Vice Pres For Resource Development		true	ation Questions
Supplemental Informatic		422000	External	Massachusetts Institute of Technology	Vice President-Fiscal Relations		true	
Summary/Submit		031000	School of Architecture & Planning	Massachusetts Institute of Technology	Architecture		true	Csv xml
Super User Actions		442100	External	Massachusetts Institute of Technology	Dean of Architecture		true	Delete
		069300	School of Engineering	Massachusetts Institute of	Lab For Electromagnetic and Electroni	с	true	Delete
				Refine Search Close				Previous 1 Next I

Figure 7 - Unit Lookup

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



- 12. 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.
- 13. To remove a Unit from routing, click the delete button in the Actions column for the given unit.

	Key Personnel	
Basics	Search for and add key personnel	
👤 Key Personnel	X Add Personnel No	otify All
Personnel		
✓ Compliance	Haskell, Edward (Principal Investigator) (Certification Incomplete)	Û
Notachments	Details Organization Extended Details Degrees Unit Details Person Training Details PI Proposal Certification Questions	
Questionnaire	Unit Details	
Budget	Lookup/Add Multiple Lines Q	
Access		il xis
Supplemental Information	Unit Name Unit Number \diamond Lead Unit? \diamond Actions	
	Center for KC Training 150001	
Summary/Submit	Dean of Architecture 442100 Delete	
La Super User Actions	Massachusetts Institute of Technology 000001 Lead Unit - Cannot delete Delete	
	Back Save and Continue Close	

Figure 8 - Unit Details

- 14. Repeat the previous steps to add other Investigators or Key Personnel.
- 15. Click the **Save** button.

Required Field Name	Description
Person Name	Click the Add Personnel then search for an MIT employee by entering data into the search criteria fields.
PI	Select the PI radio button if the person is the Project Director/Principal Investigator.
Unit	Affiliated units for each Investigator will be automatically populated in the Unit Details screen. The proposal will route for approval to all units listed for each Investigator. Use Lookup/Add Multiple Lines link or Delete button to modify list of units for routing.

Table 2 – Required Fields

To send Certification Request/Notify:

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

Basics Key Personnel Personnel	< > ~	Key Personnel Search for and add key personnel Add Personnel	Notify All
✓ Compliance		Haskell, Edward (PI/Contact) (Certification Incomplete)	Notify Haskell, Edward
Note: Attachments		Details Organization Extended Details Degrees Unit Details Person Training Details	
Questionnaire		Details	
Budget		Proposal Person Role Pl/Contact	
Access		ld:	

Figure 9 – 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.

Notify All		×
show inactive		
Full Name		
Haskell, Edward	🛛 🦳	
Violet Rutherford		
		→ Notify



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.

Accessing Your Proposal Disclosure via Email

All Investigators named on a proposal must complete proposal Certification, which includes COI Screening Questions, before the proposal may be submitted into the routing workflow for approval.

2. You will receive an email notification with the Subject "Please Certify this Proposal."

The notification is triggered during proposal development in Kuali Coeus by the proposal Aggregator.

- The email contains basic information such as PI, Lead Unit, Proposal Number, Sponsor, Deadline Date, and Title. It also contains a direct link to Certify and view proposal details.
- 4. Click the link to go directly to the Kuali Coeus Certification screen.



Figure 11 - Searching for Award from Researcher View

Clicking on the link will launch your default web browser and takes you to the Certification page for the specific proposal. You will be authenticated with MIT Certificates. Based on your project role, the following Certification will be presented:

- PI Proposal Certification Questions (includes three COI Screening Questions).
- **Co-I Proposal Certification Questions** (includes three COI Screening Questions).
- Key Person COI Screening Questions (limited to three COI Screening Questions).

If an Investigator replies '**Yes**' to any of those questions, they will be directed to complete a full COI Proposal Disclosure in Coeus Lite, My COI.

 \mathcal{T} **Note**: All required Certifications **must** be complete prior to submitting the proposal for approval.

Monitoring Completion of Investigator/ Key Person Certification

1. Return to the **Key Personnel** screen to monitor progress, and send repeated notifications if necessary.

A **Certification Incomplete** message next to the person's name indicates the Investigator/Key Person has not completed the Certification.



Figure 12 – Certification Incomplete

A **Certification Complete** message next to the person's name indicates the Investigator/Key Person has completed the Certification.

Key Personnel	
Search for and add key personnel	
L Add Personnel	Notify All
Haskell, Edward (PI/Contact) (Certification Completed)	Î

Figure 13 – Certification Complete

Based on answers to the certification questions, Investigators and Key Persons may be directed to complete a required full COI disclosure in Coeus. If a disclosure is required, it must be complete prior to submitting proposal for approval. Return to **Key Personnel** screen to monitor progress.

Once all Investigators have completed the required Certification, and Investigators whose responses to Certification Questions indicate a potential conflict of interest have completed Proposal COI Disclosure, you will be notified via email. You may then submit your completed proposal to route for approval.

COI Disclosure Status	Description
Not Disclosed	Person has not completed or submitted a Proposal COI.
In-Progress	Investigator has started a Proposal Disclosure but has not completed or submitted it for review. Proposal may not route for approval until disclosure has been submitted.
Submitted for Review	Investigator has completed the full Proposal Disclosure. Proposal may route for approval.

Table 3 – COI Disclosure Statuses



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

Kuali Coeus Support Team

kc-help@mit.edu

KC system issues and authorizations include your Name, Contact information, and the Proposal Number of the proposal you are working on.

