

## Overview:

Individuals listed on the Key Persons/Personnel screen, with few exceptions, are required to complete Certification in Quali 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](http://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.

The screenshot shows the 'Proposal Details' form in the Quali Coeus system. The left navigation menu is open, with 'Key Personnel' selected and 'Personnel' highlighted. The main form contains the following fields:

- Proposal Type: \* New
- Lead Unit: 000001 - Massachusetts Institute of Technology
- Activity Type: \* Other
- Project Dates: \* 07/01/2016 to 07/29/2017
- Project Title: \* Elevating Phenethylamine Concentration in Food Grade Cocoa Butter
- Sponsor: \* 000656 Food and Drug Administration
- Prime Sponsor Code: \*

A message at the top of the form states: "Document was successfully saved." At the bottom of the form, there are buttons for "Save", "Save and Continue", and "Close".

Figure 1 – Key Personnel Subpanel/ Personnel Link

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	<b>PI/Contact</b>	PD/PI	<b>Yes</b>	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	<b>PI/Multiple (MIT Employee)</b>	PD/PI	<b>Yes</b>	
No	Yes	<b>PI/Multiple (Non MIT Employee, often Subaward Investigator)</b>	PD/PI	<b>No</b> - Managed by Subaward Organization	
Yes	No	<b>Co-Investigator (MIT Employee)</b>	Co-Investigator	<b>Yes</b>	
Yes	N/A	<b>Key Person</b>  <b>Key Person Role:</b> enter role on the project i.e., Senior PostDoc Associate, Research Scientist, etc.	<b>Other</b>  <b>Other Project Role Category:</b> [Key Person Role as entered]	<b>Yes</b>	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	<b>Key Person</b>  <b>Key Person Role:</b> enter role on the project i.e., Senior PostDoc Associate, Research Scientist, etc.	<b>Other</b>  <b>Other Project Role Category:</b> [Key Person Role as entered]	<b>Yes</b> (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	<b>Key Person</b>  <b>Other Significant Contributor</b>  <b>Key Person Role:</b> enter <b>Other Significant Contributor</b> (use exact spelling).	<b>Other Project Role Category:</b> Other Significant Contributor	<b>No</b> - 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, <u>but do not commit any specified measurable effort</u> (i.e., person months) to the project.
No	N/A	<b>Key Person</b>  <b>Consultant</b>  <b>Key Person Role:</b> enter <b>Consultant</b> (use exact spelling).	Other  Other Project Role Category	<b>No</b> - 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

					not responsible for the design, conduct or reporting of research.
No	N/A	<p><b>Key Person</b></p> <p><b>Subaward Investigator</b></p> <p><b>Key Person Role:</b> enter <b>Subaward Investigator</b> (use exact spelling).</p>	<p><b>Other</b></p> <p><b>Other Project Role Category:</b> Subaward Investigator</p>	<p><b>No</b> - Managed by Subaward Organization</p>	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.

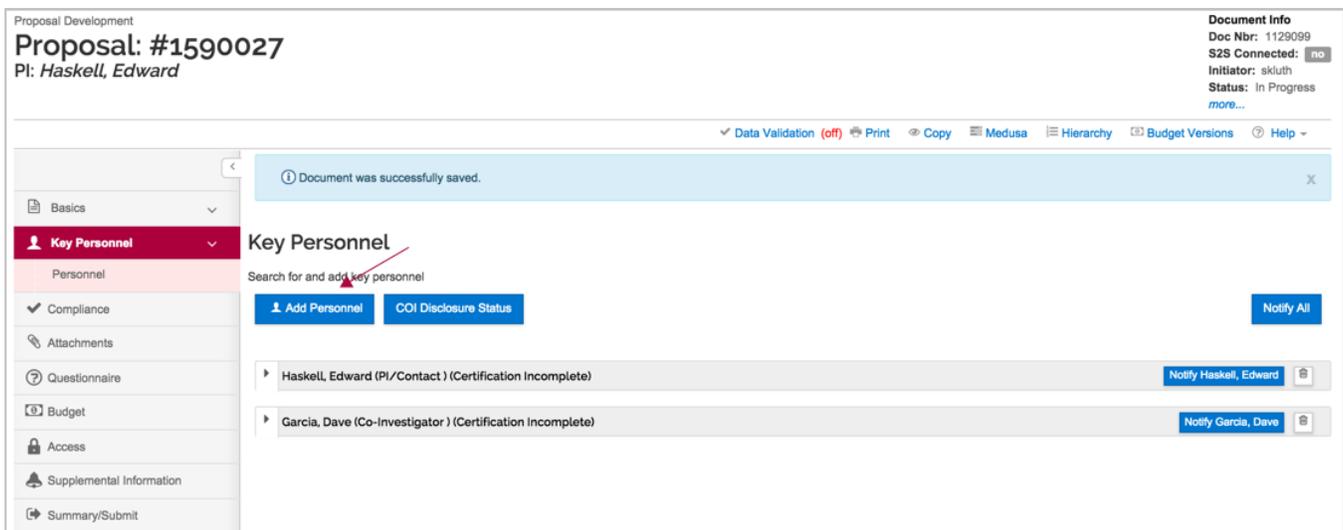


Figure 2- Add Personnel Button

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

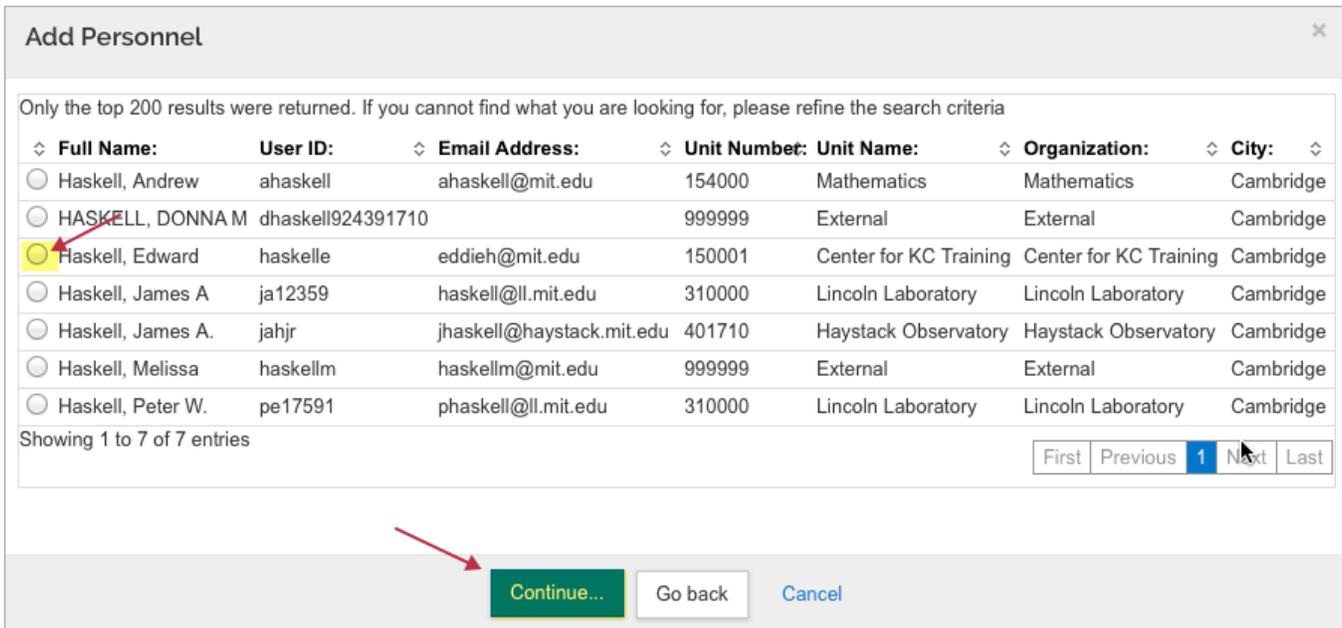


Figure 3 –Add Personnel Window

- 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.

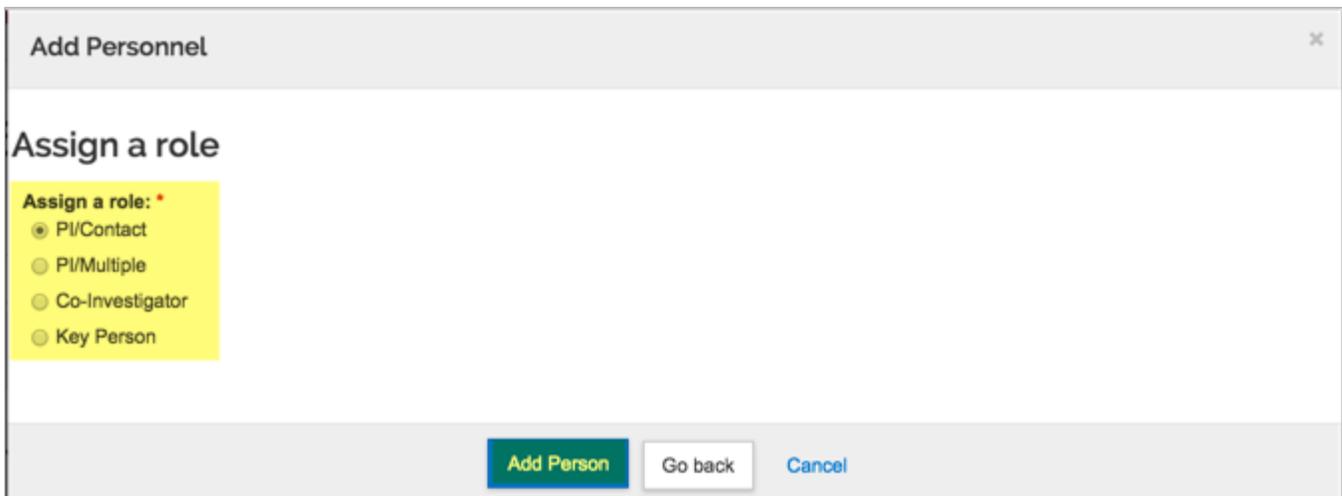


Figure 4 – Assign Role

- 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 Investigator** 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.

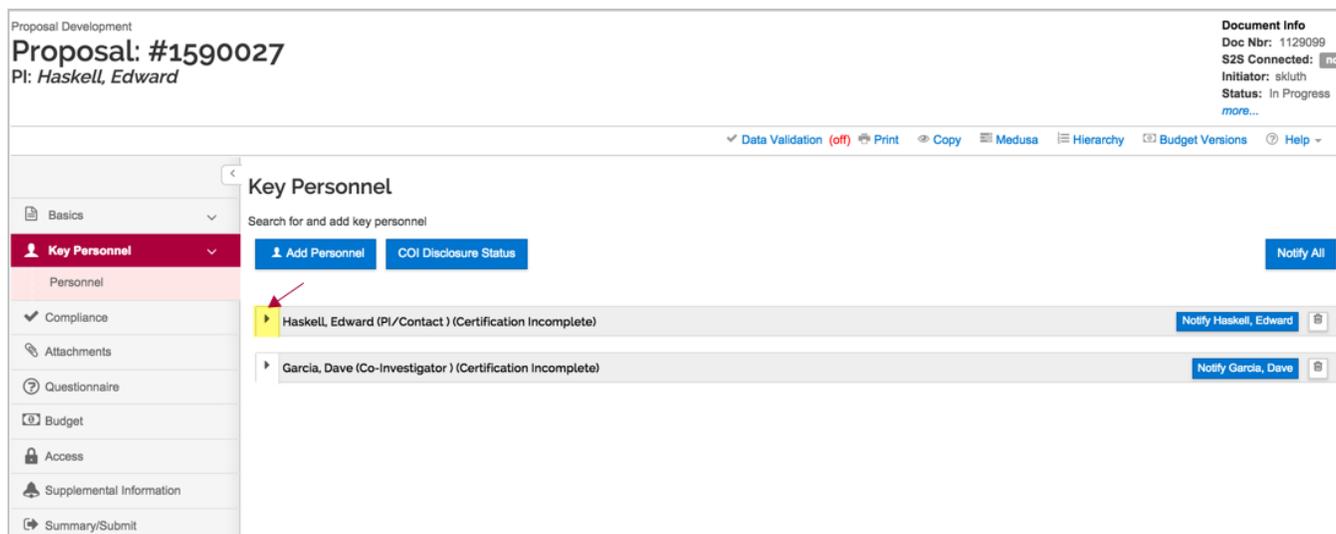


Figure 5 - Key Personnel Screen

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.

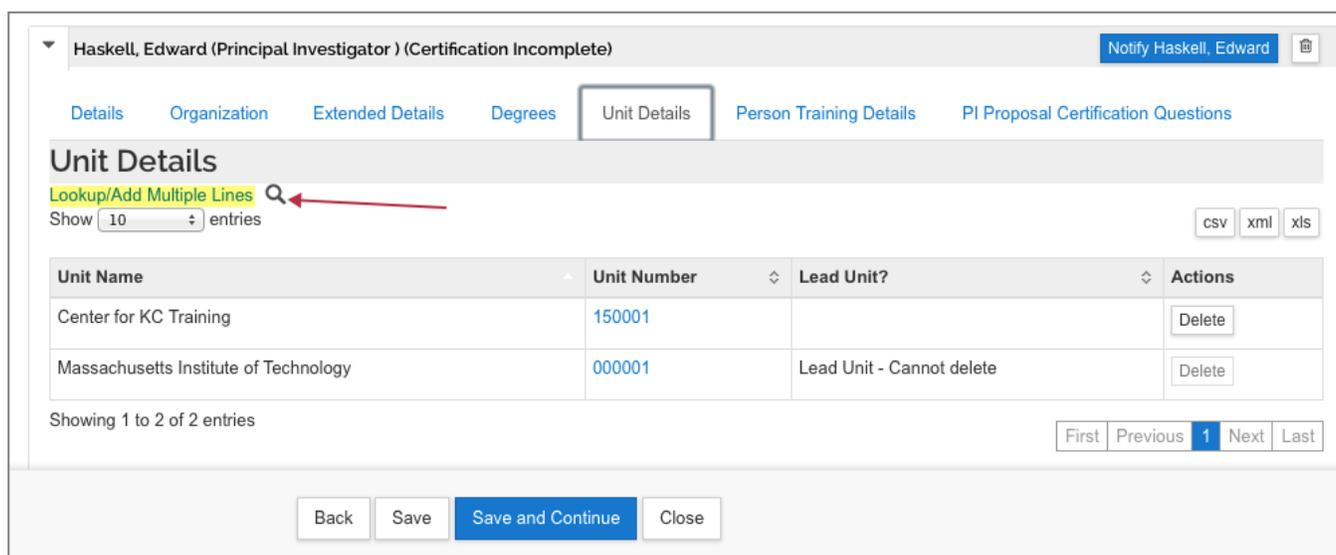


Figure 6 - Unit Details Tab

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.

Lookup ×

## Unit Lookup

Show  entries

Unit Number	Parent Unit	Organization	Unit Name	Active
<input type="checkbox"/> 409000	VP Research	Massachusetts Institute of Technology	Human Resources	true
<input type="checkbox"/> 410000	Vice President For Resource Development	Massachusetts Institute of Technology	Vice Pres For Resource Development	true
<input checked="" type="checkbox"/> 422000	External	Massachusetts Institute of Technology	Vice President-Fiscal Relations	true
<input type="checkbox"/> 031000	School of Architecture & Planning	Massachusetts Institute of Technology	Architecture	true
<input type="checkbox"/> 442100	External	Massachusetts Institute of Technology	Dean of Architecture	true
<input type="checkbox"/> 069300	School of Engineering	Massachusetts Institute of	Lab For Electromagnetic and Electronic	true

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.

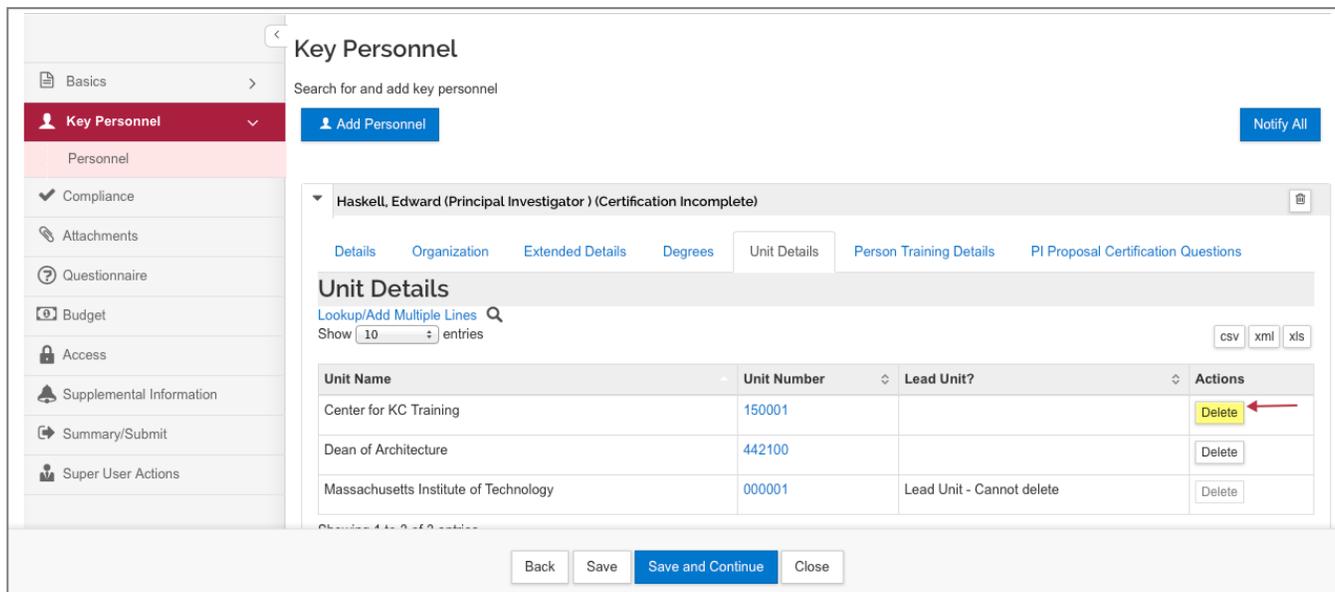


Figure 8 - Unit Details

## To add Key Persons (Multi/PI)

1. Click the **Add Personnel** button.

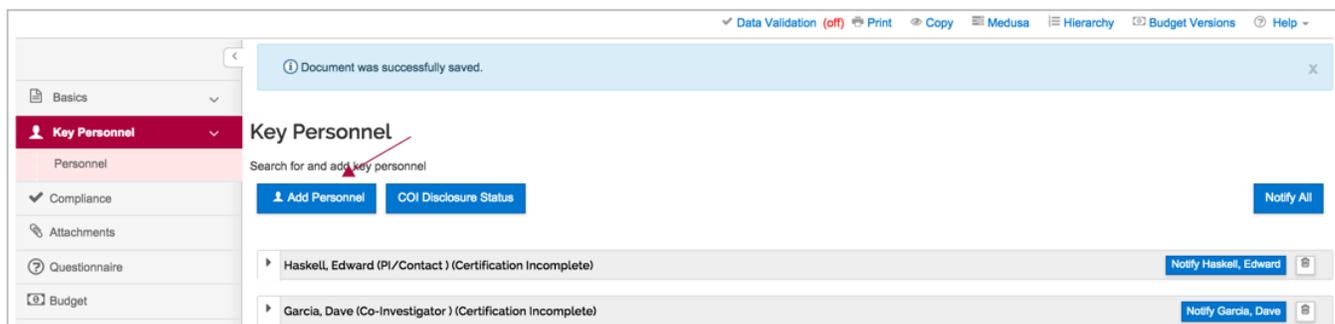


Figure 9- Add Personnel Button

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.

**Add Personnel** ✕

Only the top 200 results were returned. If you cannot find what you are looking for, please refine the search criteria

Full Name:	User ID:	Email Address:	Unit Number:	Unit Name:	Organization:	City:
<input type="radio"/> Haskell, Andrew	ahaskell	ahaskell@mit.edu	154000	Mathematics	Mathematics	Cambridge
<input type="radio"/> HASKELL, DONNA M	dhaskell924391710		999999	External	External	Cambridge
<input checked="" type="radio"/> Haskell, Edward	haskelle	eddieh@mit.edu	150001	Center for KC Training	Center for KC Training	Cambridge
<input type="radio"/> Haskell, James A	ja12359	haskell@ll.mit.edu	310000	Lincoln Laboratory	Lincoln Laboratory	Cambridge
<input type="radio"/> Haskell, James A.	jahjr	jhaskell@haystack.mit.edu	401710	Haystack Observatory	Haystack Observatory	Cambridge
<input type="radio"/> Haskell, Melissa	haskellm	haskellm@mit.edu	999999	External	External	Cambridge
<input type="radio"/> Haskell, Peter W.	pe17591	phaskell@ll.mit.edu	310000	Lincoln Laboratory	Lincoln Laboratory	Cambridge

Showing 1 to 7 of 7 entries

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>

- 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.

**Add Personnel** ✕

**Assign a role**

**Assign a role: \***

- PI/Contact
- PI/Multiple
- Co-Investigator
- Key Person

Figure 11 - Add Person

- 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.

The screenshot shows a window titled "Add Personnel" with a close button (X) in the top right corner. Below the title bar, there is a "Search for" section with two radio buttons: "Employee" and "Non Employee". The "Non Employee" radio button is selected. To the right of the radio buttons is a button labeled "Add New Address Book". Below this section are several text input fields: "First Name", "Middle Name", "Last Name" (with the text "rutherford" entered), "Email Address" (with the text "user@domain.com" entered), "Phone Number", "Organization", and "Title". At the bottom of the window, there are two buttons: "Continue..." and "Cancel". A red arrow points to 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.

Only the top 200 results were returned. If you cannot find what you are looking for, please refine the search criteria

Full Name:	Email Address:	Organization:	City:
<input type="radio"/> Rutherford, Gene	gene@jhu.edu	Johns Hopkins University	Baltimore
<input checked="" type="radio"/> Rutherford, Violet		Harvard	

Showing 1 to 2 of 2 entries

First Previous **1** Next Last

Continue... Go back Cancel

Figure 13 – Search Results

- 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.

Assign a role

Assign a role: \*

Co-Investigator

Key Person

Key Person's role will be: \*

Subaward Investigator

Add Person Go back Cancel

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.

- 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. Quali 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.)

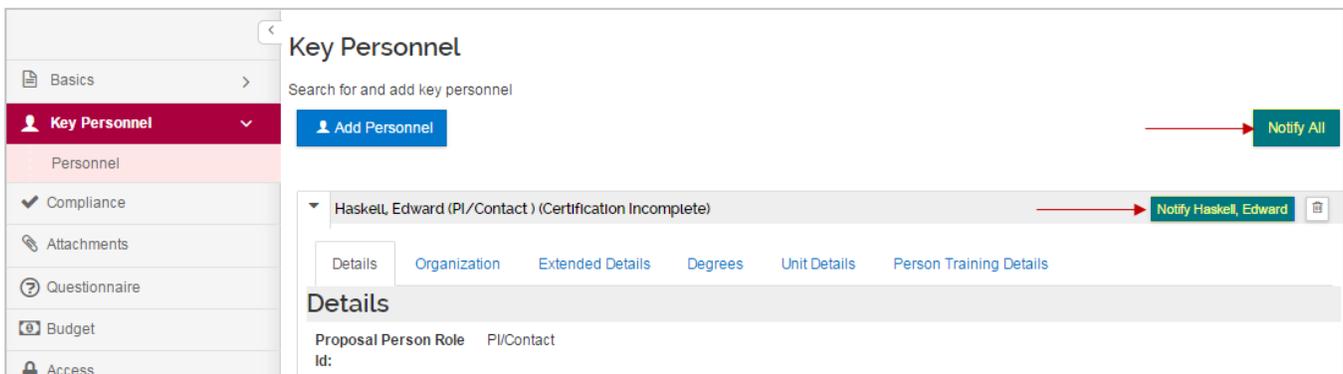


Figure 15 – Notify All or Notify Specific Individual

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.

- 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.

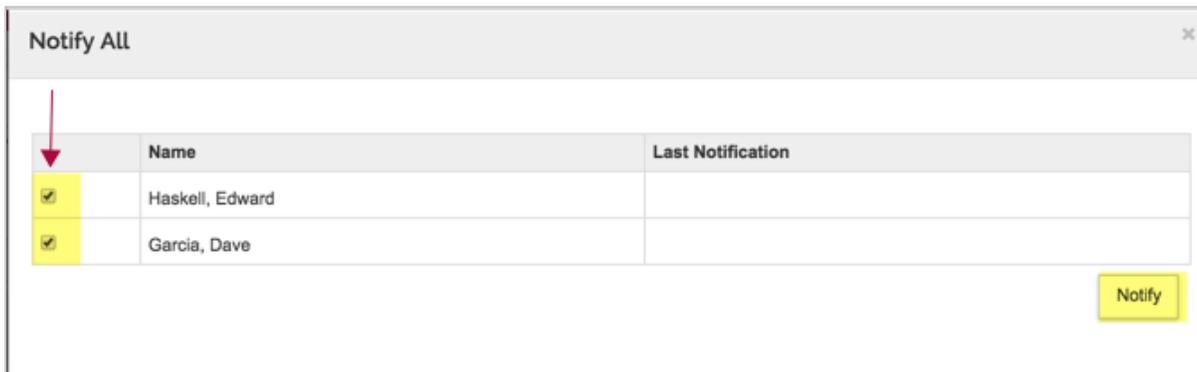


Figure 16 – Notify All Window

**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.

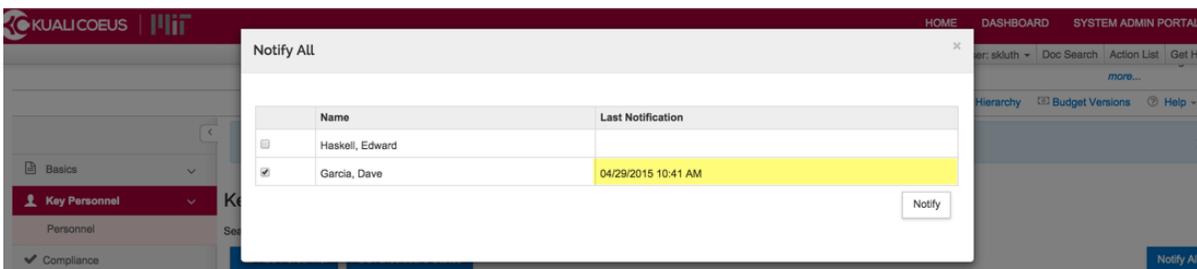


Figure 17 - Updated Last Notification

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:

<b>COI Disclosure Status</b>	<b>Description</b>
<b>Not Disclosed</b>	Person has not completed or submitted a Proposal Disclosure or are not required to certify/disclose
<b>Review in Progress</b>	Person has completed/submitted a proposal disclosure.
<b>COI External</b>	Person is not an MIT employee (e.g., consultant or Subaward Investigator) and COI is managed externally.
<b>Disclosure Not Required</b>	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](mailto:accounts@mit.edu)

Phone: 617.253.1325

### Research Administration Education & Support Team

[ra-help@mit.edu](mailto:ra-help@mit.edu)

For questions or problems using this Quali 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.**