



Caltech

Institute Business
Systems | IMSS

COI Application Instructions

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Logging into the COI Application

- 1) Navigate to the access.caltech page at the following URL: <https://access.caltech.edu/>

Caltech access.caltech

Welcome to access.caltech

Username *

cryan

Password *

.....?

[\[forgot your password?\]](#)

Sign In >

First time logging in? [Click here](#) If you need assistance, please contact the IMSS Help Desk at 626.395.3500 (M-F, from 8AM to 5PM) or email us at help@caltech.edu.

IMPORTANT: Your browser must accept cookies to use access.caltech.

Links to other applications:

Admissions Visit Scheduler	?
AdvanceCaltech	?
Applicant Tracking System (PeopleAdmin)	?
Box	?
Caltech Card	?
Caltech Help	?
Caltech Ready	?
CardQuest	?
Course Management (Moodle)	?
Data Warehouse (Cognos)	?
Email & Calendar - IMSS Exchange	?
Email & Calendar - Office 365 Exchange	?
FAMIS Read-Only	?

- 2) Enter your **Username and Password** (this is the same as your IMSS/Kronos login credentials) and click the **Sign In** button.

Academic Services



Conflict of Interest

3

Disclose interests that may conflict with Caltech duties



- 3) Select *Conflict of Interest* from the “Administrative Services” list.

The *Conflict Of Interest* Welcome page will appear.

Welcome

Caltech's Conflict of Interest Policy applies to all employees, including faculty, to ensure compliance with Caltech's ethical standards as well as the laws, rules, and regulations that govern Institute activities, while fostering and sustaining an environment of openness and integrity. Your COI disclosure must be completed every year.

If you acquire new interests or interests change during the year (after your annual disclosure in June), you should submit a new disclosure within 30 days of the change.

Disclosure	Disclosure Status	Reviewer Status	Reviewer Attachments	Outside activity agreements
29-OCT-2013 11:40AM	Submitted - No	Review not Required		

4) Click on the **New Disclosure** button.

The *Disclosure Form* will appear.

Annual Conflict of Interest Disclosure

Trust, good faith and open discussion of issues arising among colleagues have always been central tenets of Caltech.

The outside activities of members of the Caltech community must be reviewed by thoughtful and shared consideration of individual circumstances, rather than rigid rules. Determination of whether a conflict of interest or commitment exists in a particular instance will always be a matter of judgment involving all the facts of the situation. Documented disclosure is the best preventive measure to avoid any real or apparent conflict between the obligations of employees to the Institute and to other competing commitments including their personal interests. Accordingly, members of the Caltech community, including both Campus and Jet Propulsion Laboratory (JPL), are required to promptly disclose on an ad hoc basis whenever a current or prospective relationship creates the potential for conflicts of interest.

Disclosures should be made using this Conflict of Interest Disclosure application. At Campus, disclosures are submitted to the Division Chair for faculty, investigators, post-docs, visitors doing research on campus or at JPL or research personnel or to HR for staff after supervisory review or, in the case of managerial personnel and Division Chairs to the Provost, General Counsel or appropriate Vice President of the Institute. At JPL, disclosures are submitted to the Ethics Office. Employees must complete a questionnaire whenever a new financial interest or potential conflict of interest or commitment arises, but not less than on an annual basis. Annually, employees will have to certify their understanding of and compliance with the Institute's Conflict of Interest Policy and the Conflict of Interest Policy for Covered Federal Awards ("Col Policy for Covered Federal Awards"). Finally, all members of the Caltech community should remember that if they are aware of any situation that they believe raises ethical concerns, they should promptly report their concerns to management or through the Caltech Hotline at 626-395-8787 or the Ethics Office at 818-354-6338 at JPL.



5) Review the *Annual Conflict of Interest Disclosure* information and click on the **Next** button when you are done.

The *Instructions for Annual Conflict Of Interest Disclosure Form* is displayed.

The screenshot shows the top navigation bar of the Caltech website with the logo and the text "Conflict Of Interest Disclosure". Navigation links include "FAQ", "Policy", "Help", "Exit", and "Logout All". A search icon is also present. A red circle highlights the number "6" in the top right corner. Below the navigation bar, there are two buttons: "< Previous" and "Next >". The main content area is titled "Instructions for Annual Conflict of Interest Disclosure Form" and contains several paragraphs of text. At the bottom of the content area, there are two more buttons: "< Previous" and "Next >".

Instructions for Annual Conflict of Interest Disclosure Form

It is always a better practice to disclose your interests or potential conflicts of interest or commitment even if you are not sure that they rise to the level of an actual conflict - that way you are protected and Caltech is fully informed. Determination of whether a conflict of interest or commitment exists in a particular instance and the appropriate steps to take in response will always be a matter of judgment involving all the facts of the situation.

Documenting disclosure is the best preventive measure to avoid any real or apparent conflict. However, the fact that a disclosure has been filed does not automatically mean that the activity or relationship constitutes an actual conflict. The Annual Conflict of Interest and Commitment Disclosure Form contains eight questions that you should answer to the best of your knowledge. Employees are required to complete this process by June 30, 2017.

The information you submit is considered confidential and will only be used to evaluate potential conflicts. The information will not be shared outside of Caltech unless required by law, regulation or contract.

An employee is credited with completion when all the questions are answered and the form is submitted. Confirmation of completion will be provided. Completed forms will be securely stored online so that you may verify that your disclosure is accurate and current.

You should read and understand Caltech's Conflicts of Interest [Policy](#); you may be surprised by the numerous ways a conflict can arise. If you have any technical questions on Campus, please contact IMSS at 626-395-3500, at JPL please call (818) 354-7054. For substantive questions, please contact either your Division Chair or Human Resources at Campus or the Ethics Office at JPL.

6) Review the instructions and click on the **Next** button when you are done.

Completing the Form


Conflict Of Interest Disclosure

[FAQ](#)
[Policy](#)
[Help](#)
[Exit](#)
[Logout All](#)

REMINDER: Closing this window without selecting the **Save Draft** or **Save Final/Submit** button first will cause the loss of any unsaved data.

[< Previous](#)
[Save Draft](#)
[View/Print](#)
[Next >](#)

Attachments

Question #1 of 8

During the last 12 months, have you accepted any gift including travel, services, or benefits of any kind from any person or entity that you are aware the Institute does business with and that might appear, to an independent observer, to influence your professional judgment, decisions or actions made on behalf of the Institute including the Jet Propulsion Laboratory (JPL)?

(You may exclude mementos having no intrinsic value and advertising and promotional items valued less than \$50 per source per calendar year.)

[Caltech Policy](#)

EXAMPLES

Type of Gift, Travel, Service or Benefit (Include Value, if Known)	Name of the Person/Entity that Gave Gift	Describe Relationship Between Entity and the Institute/JPL
<i>Example 1:</i> 2 NCAA tickets (\$1000)	XYZ Firm	XYZ firm sells scientific equipment to Caltech
<i>Example 2:</i> Conference Registration (\$500)	Vendor XYZ	Vendor XYZ sells products and services to Caltech.

YES
 NO

[< Previous](#)
[Save Draft](#)
[View/Print](#)
[Next >](#)

- 7) There are 8 questions on the *Disclosure Form*. Provide an answer to the question listed on each page by clicking on the applicable **Yes** or **No** radio button. If you responded “**Yes**” to any of the questions, a row will appear in the **Answers** section and you will need to provide an explanation. As necessary, you may add additional rows by clicking on the

Add Row(s)

button. You may add 1, 2 or 3 rows at a time.

Data entry in the **Comments** section is optional and is not required to complete the form. This field is only made available when you click the **Yes** radio button.

Note: If your response is a **Yes** you must enter at least one row of data. You will not be able to submit a form with only the Comments section completed.

< Previous Save Draft View/Print Next >

You may upload attachments to each question

Attachments [COI Attachments: COI Testna.pdf](#)

Question #1 of 8

During the last 12 months, have you accepted any gift including travel, services, or benefits of any kind from any person or entity that you are aware the Institute does business with and that might appear, to an independent observer, to influence your professional judgment, decisions or actions made on behalf of the Institute including the Jet Propulsion Laboratory (JPL)?
(You may exclude mementos having no intrinsic value and advertising and promotional items valued less than \$50 per source per calendar year.)

[Caution Policy](#)

EXAMPLES

Type of Gift, Travel, Service or Benefit (include Value, if Known)	Name of the Person/Entity that Gave Gift	Describe Relationship Between Entity and the Institute/JPL
Example 1: 2 NCAA tickets (\$1000)	XYZ Firm	XYZ firm sells scientific equipment to Caltech
Example 2: Conference Registration (\$50)	Vendor XYZ	Vendor XYZ sells products and services to Caltech.

Answer the question by selecting "Yes" or "No"

YES NO

ANSWERS SECTION (EACH FIELD HAS A MAXIMUM OF 3700 CHARACTERS. CLICK 'ADD ROW(S)' TO MAKE ADDITIONAL ENTRIES).

If you answered "Yes", provide an explanation.

Type of Gift, Travel, Service or Benefit (include Value, if Known)	Name of the Person/Entity that Gave Gift	Describe Relationship Between Entity and the Institute/JPL
2 tickets to the NHL Playoffs	XYZ Firm	XYZ Firm sells scientific equipment to Caltech

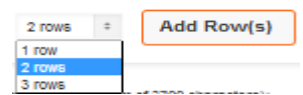
1 row Add Row(s)

Entry in this section is optional.

Comments (maximum of 3700 characters):
Additional comments if necessary but are not required

NOTE: You must enter information in all fields within a row. The system will allow you to **Save Draft** and progress through the form without doing so but you will receive an error once you click on the **Save Final/Submit** button.

Adding Additional Rows



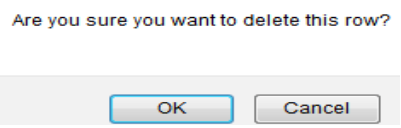
You may add rows by selecting the number from the drop down menu and clicking the Add Row(s) button.

Deleting Rows

You may add rows by clicking on the delete button of the applicable row.



Once you click the delete button, you will receive a prompt asking if you are sure you want to delete the row. If you answer **OK**, the row will be permanently deleted.



Attachments

Adding Attachments

FILE ATTACHMENT

You may upload the following file types: .pdf, .txt and .csv. The maximum size per attachment is 4MB.

File to Attach COI Testing.pdf

8

EMPLOYEE ATTACHMENT HISTORY

Delete	Filename	Creation Date
<input type="checkbox"/>	COI Testing.pdf	30-MAY-2017 18:18
<input type="checkbox"/>	COI Attachment.txt	30-MAY-2017 18:18

[Export to Excel!](#)

1 - 2

8) Browse for your file and then click on the **Attach File** button.

Note: You may upload the following file types: .pdf, .txt, and .csv. The maximum size per attachment is 4MB

Deleting Attachments

FILE ATTACHMENT

You may upload the following file types: .pdf, .txt and .csv. The maximum size per attachment is 4MB.

File to Attach No file selected.

EMPLOYEE ATTACHMENT HISTORY

9

Delete	Filename	Creation Date
<input type="checkbox"/>	COI Testing.pdf	30-MAY-2017 18:18
<input checked="" type="checkbox"/>	COI Attachment.txt	30-MAY-2017 18:18

[Export to Excel!](#)

1 - 2

9) Click in the box next to the file you would like to delete and click on the **Delete Attachment** button.

Question 2

EXAMPLES

Value of Interest	Describe Your (or Family Member) Interest	Describe the Relationship between your Interest and Institutional Responsibilities	Your Funding Source (Select all that Apply)	Is there any possible perceived overlap between the disclosed interest or related activity and the subject matter of your grant or sponsored research? If yes, describe the possible overlap, and list the pertinent grants or sponsored research agreements	Do you have an approved Research Management Plan? If yes, please attach a copy
Example 1: \$10,000 - \$49,999	I hold 10% equity in XYZ Corporation	XYZ Corporation manufactures novel solar cells. I research methods for developing better solar cells. XYZ Corporation is also a Caltech start-up.	NSF DOE	My NSF grant, NSF-1016290, is to study methods for developing better solar cells. XYZ Corporation is going to be a subcontractor, manufacturing novel solar cells, under this NSF grant. My research for DOE is in an unrelated field.	YES
Example 2: ≥\$50,000	My son owns an office supply store	The office supply store sells office supplies to my section at JPL.	NASA DARPA	While I use office supplies at work, my son's interest in an office supply store does not overlap with my research activities for NASA or DARPA.	NO
Example 3: \$5,000 - \$9,999	I am on the Board of Trustees for ABC Company and ABC Company pays me as a consultant from time to time.	ABC Company produces kits for purifying cardiac stem cells and has an active research department that studies use of stem cells to treat cardiac disease. I study cardiac disease.	NIH (PHS) NOT-FOR-PROFIT	I consult for ABC regarding properties of cardiac stem cells. ABC Company sponsors research in my lab to study use of cardiac stem cells to treat heart damage caused by heart attack. I also have an NIH (PHS) grant, NIH-1234567, to study methods to treat heart damage. Additionally, my lab purchases kits from ABC Company for use in research under both the ABC Co. and NIH awards.	YES

YES NO

ANSWERS SECTION (EACH FIELD HAS A MAXIMUM OF 3700 CHARACTERS. CLICK 'ADD ROW(S)' TO MAKE ADDITIONAL ENTRIES).

Value of Interest	Describe Your (or Family Member) Interest	Describe the Relationship between your Interest and Institutional Responsibilities	Your Funding Source (Select all that Apply)	Is there any possible perceived overlap between the disclosed interest or related activity and the subject matter of your grant or sponsored research? If yes, describe the possible overlap, and list the pertinent grants or sponsored research agreements
1			<input type="checkbox"/> NIH (PHS) <input type="checkbox"/> NSF <input type="checkbox"/> DOE <input type="checkbox"/> NOT-FOR-PROFIT <input type="checkbox"/> OTHER	

When answering question 2 you may select multiple **Funding Sources** per row.

Question 7

Question #7 of 8

Is your research funded by PHS (e.g. NIH) and do you meet the definition of [Investigator](#) under the [Caltech Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors](#)?

YES NO

You, as an [Investigator](#) should report any reimbursed or sponsored travel (i.e. sponsored travel is travel paid on your behalf and not reimbursed directly to you) related to your institutional responsibilities. You do not need to report travel reimbursed or sponsored by:

- a federal, state, or local government agency
- an Institution of higher education in the US or an affiliated academic teaching hospital
- a medical center, or
- a research institute that is affiliated with an Institution of higher education.

[Click Here](#) to enter your Travel Expense report.

If you do not have any travel to report at this time, you may do so via the Welcome page later.

When the Yes radio button is selected for question 7, you may enter your travel expense report information at that time or you may do so via the Welcome page later.

If you select the [Click Here](#) link the *Travel Expenses* window will open.

Travel Expenses Form

Close

Apply Changes

My Delegates

Question #7 of 7

You, as an **Investigator** should report any reimbursed or sponsored travel (i.e. sponsored travel is travel paid on your behalf and not reimbursed directly to you) related to your institutional responsibilities. You do not need to report travel reimbursed or sponsored by:

- a federal, state, or local government agency
- an institution of higher education in the US or an affiliated academic teaching hospital
- a medical center, or
- a research institute that is affiliated with an Institution of higher education.

Amount Could this travel be construed to be related to the research or any activity on any PHS (e.g. NIH) funding you may currently have? Yes No

Trip Start Date

Trip End Date

Destination

Sponsor

Purpose (maximum of 1000 characters)

13 of 2000

How does this expense meet the reporting requirements?

28 of 1000

Apply Changes

Delete

Delete	Created By	Creation Date	Amount	Amount Over	PHS related?	Trip Start Date	Trip End Date	Destination	Sponsor	Purpose	Explanation	Review Date	Decision
<input type="checkbox"/>		30-MAY-2017 06:50PM	\$160.23	N	Y	03-APR-2017 12:00AM	07-APR-2017 12:00AM	Enter Destination	Enter Sponsor	Enter Purpose	Enter Reporting Requirements	-	-

All fields are required in order to save travel expense information.

Previously entered travel expenses are visible in the bottom section of the form. You may only delete a travel expense line if it has not yet been reviewed.

Once you have entered your travel expense lines, the form will be available on the *Welcome page* and you will no longer need to access it via the Disclosure form. You will also be able to access it directly via access.caltech by selecting the *Conflict of Interest NIH Travel Expense Form* link located within the Administrative Services section.

Navigating Within the Disclosure Form

- **Next >:** This option will allow you to navigate to the next section. It also temporarily saves any data entered however, in order to save your changes you will need to select **Save Draft** before exiting the application.
- **< Previous:** This option will allow you to navigate to the previous section. It also temporarily saves any data entered however, in order to save your changes you will need to select **Save Draft** before exiting the application.
- **Save Draft:** This option will save the data as a draft so you can continue making changes before submitting it.
- **View/Print:** This option will allow you to view and/or print the form. Any unsaved changes will not be displayed on the printout. See section about Warning messages.
- **Save Final/Submit:** This option will save the data and submit it for review.
- **Caltech Policy hyperlink:** This option is available on the pages for Questions 1 through 6. Selecting this will open a pop up window with the Policy information pertinent to the specific question.

NOTE: In order to perform Save Final/Submit action, you must check the box at the bottom of the form within the “Before submitting, you must signify your understanding of the policy” section.

CERTIFICATION

Before submitting, you must signify your understanding of the [Policy](#) and accuracy of your disclosure by checking the box below.



I have read and agree to abide by Caltech's Conflict of Interest [Policy](#). In submitting this form, I certify that the information provided is true to the best of my knowledge. I supply this information for confidential review by Caltech and any further disclosure is limited to those required by law, regulation, or contract. I understand and agree that if, subsequent to submitting this form, situations arise that raise questions of conflict of commitment or interest, I will promptly disclose them in accordance with Caltech's Conflict of Interest [Policy](#).

Note: Submission of this form does not satisfy or relieve Campus or JPL staff who engage in outside business activities from compliance with the [Institute's Conflict of Interest - Outside Activity](#) requirements.

10) Select the **Exit** link to exit the application.



Additional Links within the Application



- The **Policy** link takes you to the Conflict of Interest Policy document.
- The **Help** link takes you to the application documentation.

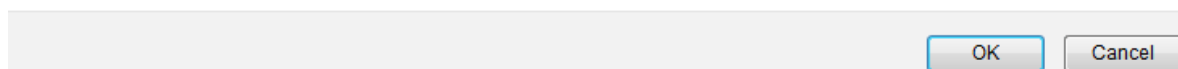
Warning Messages

While completing the Disclosure Form you may encounter the following warning messages.

Print Message

This reminder message, regarding saving changes, appears when you select the **View/Print** button.

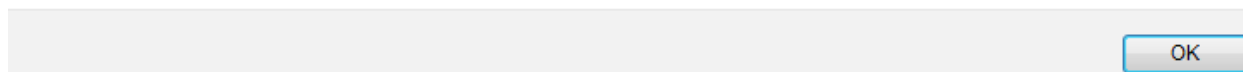
REMINDER: If you have made changes please save them before printing this document otherwise your printout will not include your unsaved data.



Information Entered When Response is No

This warning appears when you try to navigate away from a page (using the **Next** or **Previous** buttons) where you have responded **No** to the question but information has been entered in the Row or Comment area. Selecting the **Save Draft** button will also initiate this warning.

Information has been entered in a Row or Comment area for a Question where the response of "No" was selected or the response has not been provided. Please correct the issue to be able to continue.



Error Messages

Error Messages Displayed on Last Page

Error messages displayed in this section are related to the following scenarios:

- Not answering a question
- A question was answered as Yes but one or more columns are blank
- The “Before submitting...” Box has not been checked and **Save Final/Submit** was selected.

The screenshot shows the Caltech Conflict of Interest Disclosure form. At the top, there is a navigation bar with the Caltech logo and the text "Conflict Of Interest Disclosure". To the right, there are links for "cryan", "FAQ", "Policy", "Help", "Exit", and "Logout All". Below the navigation bar, a yellow error message box is highlighted with a red oval. The error message reads: "Error Message(s) • The check box on the bottom of the page must be checked before the disclosure can be saved and submitted. • Question #5 of 8. One or more fields are blank." Below the error message, there is a "REMINDER" section that states: "Closing this window without selecting the Save Draft or Save Final/Submit button first will cause the loss of any unsaved data." To the right of the reminder, there are four buttons: "< Previous", "Save Draft", "Save Final/Submit", and "View/Print". Below the reminder, there is an "Attachments" section. The main content area is titled "Question #8 of 8" and asks: "Please indicate whether you have a dual appointment at Campus and JPL: I have an additional appointment at JPL/Campus (either paid or unpaid)." Below this question, there is an "EXAMPLES" section with a table. The table has three columns: "Title", "JPL or Campus?", and "Describe what you do in that role?". The first example is: "I am a member of the Professional Staff." (Title), "JPL" (JPL or Campus?), "Support MER Mission" (Describe what you do in that role?). The second example is: "I am a Lecturer in Physics." (Title), "Campus" (JPL or Campus?), "I lecture in PHY 101" (Describe what you do in that role?). Below the examples, there are radio buttons for "YES" and "NO". At the bottom of the form, there is a "CERTIFICATION" section. A red oval highlights a checkbox that is currently unchecked. The text next to the checkbox reads: "Before submitting, you must signify your understanding of the Policy and accuracy of your disclosure by checking the box below." Below the checkbox, there is a paragraph of text: "I have read and agree to abide by Caltech's Conflict of Interest Policy. In submitting this form, I certify that the information provided is true to the best of my knowledge. I supply this information for confidential review by Caltech and any further disclosure is limited to those required by law, regulation, or contract. I understand and agree that if, subsequent to submitting this form, situations arise that raise questions of conflict of commitment or interest, I will promptly disclose them in accordance with Caltech's Conflict of Interest Policy."

Attachment Error Messages

Unsupported Media Type

Attachment file types are limited to the following; .pdf, .txt and .csv.

The screenshot shows a yellow error message box at the top with a warning icon and the text: "Error Message(s) • You can only upload the following file types: .pdf, .txt and .csv (Go to error)". Below this is a "FILE ATTACHMENT" section with a "Close" button. The text in this section reads: "You may upload the following file types: .pdf, .txt and .csv. The maximum size per attachment is 4MB." Below this text is a "File to Attach" label, a "Browse..." button, and the text "No file selected." To the right of this section is an "Attach File" button. Below the attachment section is an "EMPLOYEE ATTACHMENT HISTORY" section with a "Delete Attachments" button. The text in this section reads: "No attachments to display."

File Size Too Large

The maximum file size per attachment is 4MB.

Request Entity Too Large

The requested resource
/COI/www_flow.accept
does not allow request data with POST requests, or the amount of data provided in
the request exceeds the capacity limit.

Welcome Page

Welcome

Caltech's Conflict of Interest Policy applies to all employees, including faculty, to ensure compliance with Caltech's ethical standards as well as the laws, rules, and regulations that govern Institute activities, while fostering and sustaining an environment of openness and integrity. Your COI disclosure must be completed every year.

If you acquire new interests or interests change during the year (after your annual disclosure in June), you should submit a new disclosure within 30 days of the change.

CURRENT DISCLOSURE

[New Disclosure](#)

TRAVEL EXPENSES REPORTED PER PUBLIC HEALTH SERVICES/NIH REQUIREMENTS ONLY

[Travel Expenses](#)
[My Delegates](#)

SUBMITTED DISCLOSURES

Disclosure	Disclosure Status	Reviewer Status	Reviewer Attachments	Outside activity agreements
30-May-2017 07:58PM	Submitted - Yes	Pending Pre-Review		View OA
28-May-2017 02:32PM	Submitted - Yes	Reviewed	COI Reviewer Attachm	View OA

NOTE: If necessary, you may submit a new Disclosure form several times throughout the year.

Features of the Welcome page

- You may now access your previously submitted disclosures as well as track where your submitted disclosure is within the reviewing process (Being Pre-Reviewed, Being Reviewed, Reviewed, etc).
- By clicking on the date of the applicable disclosure, from within the Disclosure column, you may view your responses to the questions as well as the decisions entered by the Reviewer.
- You may view **Reviewers Attachments** by clicking on the applicable attachment name.
- You may view any electronic Outside Activity forms submitted on your disclosures by using the **View OA** link.
- If you have previously entered NIH/PHS related travel expense lines via question 7, the **Travel Expenses** button will appear on your *Welcome* page. Once you have submitted your disclosure form if you only need to enter additional travel expenses you may do so via this button.
- If you may use the My Delegates button to delegate the function of entering NIH/PHS travel expense lines to another person.