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/

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

3) Select Conflict of Interest from the “Administrative Services” list.
The Conflict Of Interest Welcome page will appear.

4) Click on the New Disclosure button.

The Disclosure Form will appear.

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.

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

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 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.
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

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

9) Click in the box next to the file you would like to delete and click on the Delete Attachment button.
Question 2

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

Question 7

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

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.

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.
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.
Attachment Error Messages

Unsupported Media Type

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

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 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

My Delegates

Submitted Disclosures

Current Disclosure

Disclosure Status

Reviewer Status

Reviewer Attachments

Outside Activity Agreements

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 with 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.