



Caltech

Institute Business
Systems | IMSS

Electronic Outside Activity Form

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Electronic Outside Activity Form

Each row entered in questions 3 and 4 of your disclosure will, typically, require the additional step of submitting an electronic Outside Activity (OA) form by using the **Create or Associate OA Form** link in column 5. This is a dynamic link and will change to Draft or Submitted depending upon which button you have selected from within the OA form. All OA forms are tied to their specific disclosure form.

If you believe the activity you are reporting on a particular row does not require the filing of an OA, we recommend that you first **confirm this with your Supervisor before proceeding** with the rest of the disclosure as once you submit the disclosure form you will need to resubmit another one if you need to fill out an OA.

Once your disclosure has gone through the entire review process the link will change to either Approved or Denied and your reviewed OA form(s) will be viewable via the Conflict of Interest Welcome Page.

Creating an Electronic Outside Activity Form

Attachments

Question #3 of 8

During the last 12 months, have you received compensation from your own business or any third party for services that are similar to or relate to your work for the Institute, including JPL or that, to the best of your knowledge, relate to the work of the Institute, including JPL?

Note: The Outside Employment, Consulting and Business Activity Policy constitutes a separate approval process that employees are required to comply with prior to engaging in covered outside employment, consulting and business activities.

(You may exclude consulting for U.S. Government entities.)

[Caltech Policy](#)

EXAMPLES

Describe the Role for Which You Receive(d) Compensation from Your Business or the Third Party	Name of Your Business or Third Party	Describe Relationship Between Your Work for the Institute/JPL and Your Business or the Third Party	Do you have a current and approved Outside Activity Form? If NO, you must create one using the Create or Associate OA Form link .	Outside Activity Form
Example 1: I consult for ABC Company.	ABC Company	ABC company builds robotic devices and my research at Caltech involves building of robotic devices.	NO	Create Or Associate OA Form
Example 2: I own a tax preparation business.	My Company	I perform tax preparation services for My Company and I am an accountant at JPL.	YES	Submitted

YES NO

ANSWERS SECTION (EACH FIELD HAS A MAXIMUM OF 3700 CHARACTERS. CLICK "ADD ROWS" TO MAKE ADDITIONAL ENTRIES).

Describe the Role for Which You Receive(d) Compensation from Your Business or the Third Party	Name of Your Business or Third Party	Describe Relationship Between Your Work for the Institute/JPL and Your Business or the Third Party	Do you have a current and approved Outside Activity Form? If NO, you must create one using the Create or Associate OA Form link .	Outside Activity Form
<input type="text" value="I consult for ABC Company"/>	<input type="text" value="ABC Company"/>	<input type="text" value="ABC company builds robotic devices and my research at Caltech involves building of robotic devices."/>	<input type="text" value="NO"/>	Create Or Associate OA Form

1

- 1) Enter the applicable information in columns 1 through 4 and then click on the **Create or Associate OA Form** link.

The *Outside Activity Forms* window will open

Outside Activity Forms

OUTSIDE ACTIVITY FORMS SUBMITTED FOR CURRENT

2

- 2) Click on **Add a New Outside Activity Form** button.

The Request for Outside Activity form will open

3) In order to submit the (OA) form you will need to do the following;

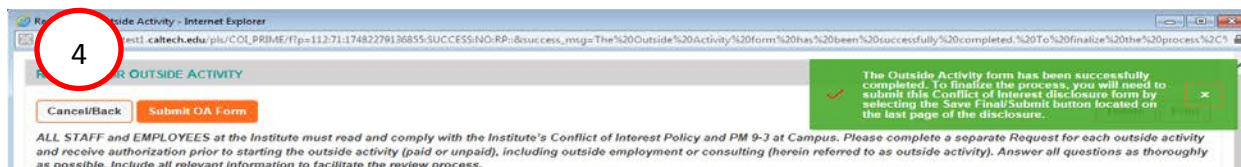
- a. enter information in all of the required fields
- b. click on the checkbox at the bottom of the form (this is your electronic signature)
- c. Click on the **Submit OA Form** button (you may also select **Save Draft** however you will need return to it and use the **Submit OA** button before you may submit your disclosure).

NOTE:

- *Supervisor's Name field* - If the person listed in the field is not your supervisor, please use the Other Supervisor list of values to select the correct person.
- *OA End Date* - If the End Date is unknown, please enter a date one year past the Start Date.

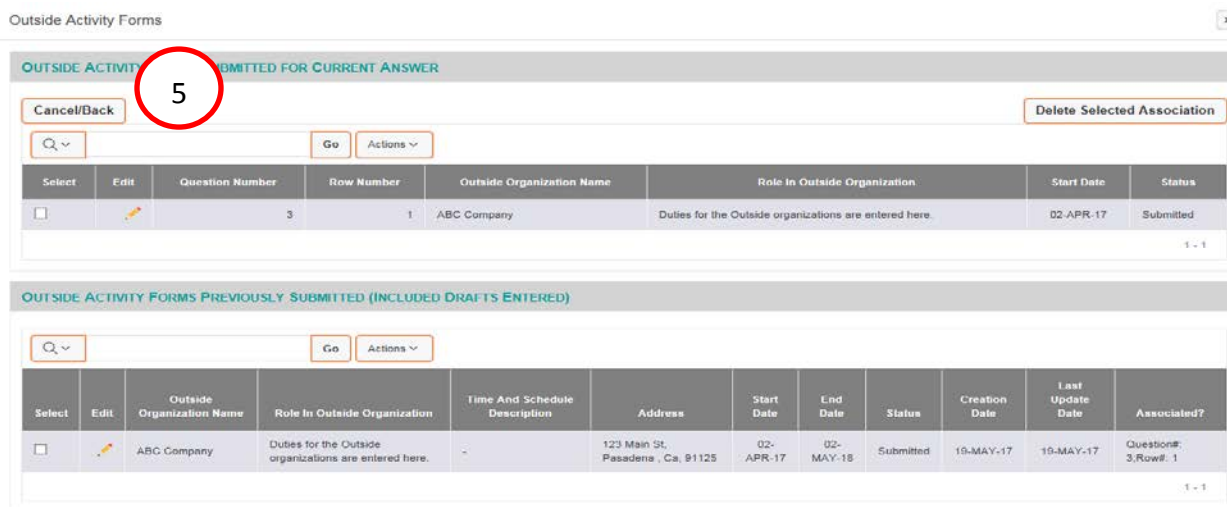
Reminder: We recommend that you print the OA form and review it with your supervisor before submitting your Conflict of Interest form. Once you have submitted your disclosure, you can no longer make changes to this Outside Activity form. You will need to resubmit a new one and it will have to go through entire approval process again.

The confirmation message will appear



4) Click on the **Cancel/Back** button.

The *Outside Activity Forms* summary window will open



5) Click on the **Cancel/Back** button to return to Question on the COI disclosure form.



If you selected the **Submit OA** button, the link in column 5 will have changed to *Submitted* and you are ready to add additional rows for this question (and submit another OA for that new row) or proceed through the remainder of the disclosure questions in order to finalize the Conflict of Interest process.

If you selected the **Save Draft** button, the link will have changed to *Draft*. You cannot submit your Conflict of Interest disclosure form if you have an OA with a status of *Draft*.

6) If you have other activities to report for this question, add another row and follow steps 1 through 6. If not, you may move to the next question.

Associating an Existing Outside Activity Form to another Row

It is possible that you will report the same activity on both questions 3 and 4. If you have already submitted an electronic OA on question 3, and the activity you are reporting on question 4 is the same, you may use this feature to associate this new row with the existing OA form.

Note: We recommend confirming this with your supervisor before associating an existing online OA form with another row.

Caltech Conflict Of Interest Disclosure

Question #4 of 8

During the last 12 months, have you served in any capacity (compensated or uncompensated) for any person or entity that, to the best of your knowledge, engages in transactions with the Institute including JPL? Transactions with the Institute include transactions with an entity that:

- is a third party company or an Institute startup company in which you have an advisory, ownership, board membership, or other management interest
- sponsors research at the Institute in which you are directly involved
- has made gifts to the Institute that benefit you, your work, your research or your teaching at the Institute
- has products or research interests that could reasonably appear to be related to your work or research at the Institute
- licenses Institute intellectual property in which you have an interest as an inventor
- sells goods or services to the Institute that you use in your work, research, or teaching
- uses Institute facilities to conduct work or research
- has entered into a materials transfer or non-disclosure agreement with you in your capacity as an employee or researcher at the Institute

EXAMPLES

Describe the Role in Which You Serve(s)	Name of Person or Entity	Describe Transactions Between the Person or Entity and the Institute	Do you have a current and approved Outside Activity Form? If NO, you must create one using the Create or Associate OA Form link .	Outside Activity Form
Example 1: I am an advisor to XYZ Company.	XYZ Company	XYZ Company is a startup company from Caltech and an exclusive licensee.	NO	Create Or Associate OA Form
Example 2: I serve on the Board of the Caltech Employees Federal Credit Union (CEFCU)	CEFCU	CEFCU provides services to the Institute.	YES	Submitted

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

Describe the Role in Which You Serve(s)	Name of Person or Entity	Describe Transactions Between the Person or Entity and the Institute	Do you have a current and approved Outside Activity Form? If NO, you must create one using the Create or Associate OA Form link .	Outside Activity Form
<input type="text" value="I am an advisor to ABC Company"/>	<input type="text" value="ABC Company"/>	<input type="text" value="ABC Company is a startup company from Caltech and an exclusive licensee."/>	<input type="text" value="NO"/>	Create or Associate OA Form

1) Enter the applicable information in columns 1 through 4 and then click on the **Create or Associate OA Form** link.

The *Outside Activity Forms* summary window will open

Notice that the **Outside Activity Forms** summary window now has 2 sections:

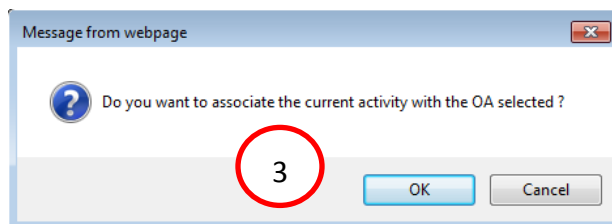
Outside Activity Forms Submitted for Current Answers (top section)

This section will display the OA form related to the current row you are on (the row from which you selected the Create or Associate OA Form link). In this example, it will remain empty until you create an OA or use the association feature.

Outside Activity Forms Previously Submitted (Includes Drafts Entered) (bottom section)

This section will display all of the OA’s that you have entered (both submitted and draft OA’s) for either questions 3 or 4 for that specific disclosure form. In this example an OA was previously created for Question 3 row 1.

- 2) Check the box for the OA you would like to associate for the new row and click on the **Associate Selected OA With Current Answer** button.



3) Click on the **OK** button.

Outside Activity Forms

OUTSIDE ACTIVITY FORMS SUBMITTED FOR CURRENT ANSWER

Cancel/Back 4 Delete Selected Association

Q v Go Actions v

Select	Edit	Question Number	Row Number	Outside Organization Name	Role In Outside Organization	Start Date	Status
<input type="checkbox"/>		4	1	ABC Company	Duties for the Outside organizations are entered here.	02-APR-17	Submitted

1 - 1

OUTSIDE ACTIVITY FORMS PREVIOUSLY SUBMITTED (INCLUDED DRAFTS ENTERED)

Q v Go Actions v

Select	Edit	Outside Organization Name	Role In Outside Organization	Time And Schedule Description	Address	Start Date	End Date	Status	Creation Date	Last Update Date	Associated?
<input type="checkbox"/>		ABC Company	Duties for the Outside organizations are entered here.	-	123 Main St, Pasadena , Ca, 91125	02-APR-17	02-MAY-18	Submitted	19-MAY-17	19-MAY-17	Question#: 3,Row#: 1; and Question#: 4,Row#: 1

1 - 1

The OA form is now associated with Question 3 row 1 and Question 4 Row 1 and it is now listed in the Outside Activity Forms Submitted for Current Answer (which is Question 4 row 1).

4) Click on the **Cancel/Back** button to be returned to Question 4 of the disclosure.

Viewing an Electronic Outside Activity Form for a Submitted Disclosure

Once you have submitted your Conflict of Interest disclosure form a *View OA* link will be available on the Welcome page. The Supervisor/Pre-Reviewer and the Campus Human Resources Approval sections will not have any information in them until the Outside Activity form has been reviewed by those individuals.

Caltech Conflict Of Interest Disclosure

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.

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](#)

SUBMITTED DISCLOSURES

Disclosure	Disclosure Status	Reviewer Status	Reviewer Attachments	Outside activity disclosures
15-MAY-2017 06:05PM	Submitted - Yes	Reviewed		View OA
15-MAY-2017 02:40PM	Submitted - Yes	Reviewed		View OA

- 1) Click on the **View OA** link next to a disclosure within the Submitted Disclosures section of the Welcome page.

The *Outside Activity Agreements Summary* window will open

OUTSIDE ACTIVITY AGREEMENTS SUMMARY							
View	Outside Organization	OA Start Date	Role In OA	Supervisor	Applies To Question	Row #	
 1	ABC Company	02-APR-17	Duties for the Outside organizations are entered here.	Lin, Peter P	3	1	
	Approved ABC Company	02-APR-17	Duties for the Outside organizations are entered here.	Lin, Peter P	4	1	
	Denied CEFCU	06-MAR-17	Description of role in the outside organization.	Lin, Peter P	4	2	

1 - 3

There are 3 Outside Activity forms associated with this disclosure.

- 1) Click on the **Magnifying glass** icon next to the OA you would like to view.

NOTE: Once you have opened the OA you may scroll down to the bottom of the form to view/print the comments and decisions entered by your Supervisor/Reviewer and the Human Resources Reviewer.

The *Outside Activity* form will open

SUPERVISOR/PRE-REVIEWER SECTION

8. The SUPERVISOR of the employee seeking approval for an outside activity must answer all questions listed below and recommends approval as appropriate. If at Campus, forward the completed application to Human Resources or if at JPL to the JPL Ethics Office.

a. How does the proposed outside activity relate to current/future work assignments of the employee? Is there an overlap or potential overlap between the proposed work and Institute work?
Supervisor Comments

b. Will the outside activity enhance the value of the employee to the Institute?
 No Yes
 If yes, please identify.

c. Will the outside activity relate to or be used on any ongoing or anticipated Campus, JPL, NASA, or other sponsor projects, programs, or applicable?
 No Yes
 If yes, please identify.

Approved

To the best of my knowledge, this outside activity will not constitute a conflict of interest, nor will it interfere with the employee's required time at and commitment to the Institute. I have reviewed and discussed the Application for Outside Activity with the employee and I recommend that this application be approved, subject to the conditions, limitations and restrictions listed here:

Denied

Date
19-MAY-2017

Supervisor/Pre-Reviewer

CAMPUS HUMAN RESOURCES APPROVAL

Deleting an Outside Activity Form

An OA form may be deleted if a previously reported Outside Activity no longer applies or if you have previously submitted an OA form that was later not approved by HR (the link will have the status of Denied).

Deleting an OA form is a 3-step process;

- You must first delete the row association and then delete the OA itself (both done via the Outside Activity Form summary window)
- You must delete the row on the disclosure form (assuming the activity no longer applies)

- From the COI Welcome page, click on the **New Disclosure** (or **Resume Disclosure**) button.
- Scroll to the question that has the OA form you would like to delete. For this example I will delete an OA (and the row associated with it) that has been denied.

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

	Describe the Role in Which You Serve(d)	Name of Person or Entity	Describe Transactions Between the Person or Entity and the Institute	Do you have a current and approved Outside Activity Form? If NO, you must create one using the Create or Associate OA Form link.	Outside Activity Form
1	I am an advisor to ABC Company.	ABC Company	ABC Company is a start-up company from Caltech and an exclusive licensee.	YES	
2	I serve on the Board of the Caltech Employees Federal Credit Union (CEFCU)	CEFCU	CEFCU provides services to the institute.	NO	Denied

1 row Add Row(s)

- Click on the **Denied** link.

The *Outside Activity Forms* summary window will open

Outside Activity Forms

OUTSIDE ACTIVITY FORMS SUBMITTED FOR CURRENT ANSWER

Cancel/Back

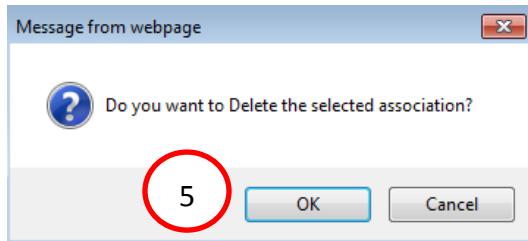
Go Actions

Select	Question Number	Row Number	Outside Organization Name	Role In Outside Organization	Start Date	Status
<input checked="" type="checkbox"/>	4	2	CEFCU	Outside role	01-MAY-17	

1 - 1

Delete Selected Association

- Select the row within the Outside Activity Forms Submitted for Current Answer section (top section of window) and click on the **Delete Selected Association** button.



5) Click on the **OK** button.

Outside Activity Forms x

OUTSIDE ACTIVITY FORMS SUBMITTED FOR CURRENT ANSWER


Cancel/Back Add A New Outside Activity Form

Q v Go Actions v **6**

OUTSIDE ACTIVITY FORMS PREVIOUSLY SUBMITTED (INCLUDED DRAFTS ENTERED)

Associate Selected OA With Current Answer

Q v Go Actions v

Select	Edit	Outside Organization Name	Role In Outside Organization	Time And Schedule Description	Address	Start Date	End Date	Status	Creation Date	Last Update Date	Associated?
<input type="checkbox"/>		7	Outside role	-	123 Main St, Pasadena, Ca, 91125	01-MAY-17	01-MAY-18	Approved	21-MAY-17	21-MAY-17	6

6) Notice that the row no longer appears in the upper section and the associated row information no longer has data.

7) Click on the **Edit** icon in the row of the OA you would like to delete.

The *Request For Outside Activity* form will open

REQUEST FOR OUTSIDE ACTIVITY

Cancel/Back Submit OA Form **8** Delete Print

ALL STAFF and EMPLOYEES at the Institute must read and comply with the Institute's Conflict of Interest Policy and PM 9-3 at Campus. Please complete a *Separate Request for each outside activity and receive authorization prior to starting the outside activity (paid or unpaid), including outside employment or consulting (herein referred to as outside activity). Answer all questions as thoroughly as possible. Include all relevant information to facilitate the review process.*

OA Status: Denied

1a. Name: Ryan, Christine Employee Number: 1181609

Job Title: Business Systems Consulting-IC Work Phone: 626-395-4298 Mail Code: MC 1-10

Supervisor's Name: Lin, Peter P Supervisor's Phone: 626-395-8685 Supervisor's Mail Code: MC 1-10

Other Supervisor: (If the person listed above is not your Supervisor, please select your Supervisor using the List of Values below)

b. Describe your assigned Campus duties and responsibilities: Campus duties entered here.

Reminder: You cannot delete an OA form if it is associated with any rows on your disclosure form. You must first remove all associations.

8) Click on the **Delete** button.

Message from webpage

Do you want to Delete this Outside Activity Form?

9 OK Cancel

9) Click on the **OK** button.

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

	Describe the Role in Which You Serve(d)	Name of Person or Entity	Describe Transactions Between the Person or Entity and the Institute	Do you have a current and approved Outside Activity Form? If NO, you must create one using the Create or Associate OA Form link.	Outside Activity Form
Delete	I am an advisor to ABC Company.	ABC Company	ABC Company is a start-up company from Caltech and an exclusive licensee.	YES	Approved
Delete	I am an advisor to CEFCU.	CEFCU	CEFCU provides services to the Institute.	YES	Create or Associate OA Form

10

10) Click on the **Delete** button.

Notice that the link has now changed from *Denied* to *Create or Associate OA Form*.

Additional Information for the Outside Activity Form

Submitting a Disclosure to Report Newly Acquired Interests during the same COI Cycle

As the case with the Conflict of Interest disclosure form, if you create a new disclosure during the same COI cycle, the answers entered on your previously submitted disclosure along with your reviewed Outside Activity forms (with a status of Approved or Denied) will be auto-populated in the disclosure.

If you are reporting newly acquired interests, and nothing has changed for the activities that were previously reported and reviewed for questions 3 and 4, the OA approvals are still applicable and you only need to enter your new interests.

Changes to a previously Submitted and Approved OA

If you create a new disclosure and make a change to an existing Approved OA, the link will automatically reset to Submitted and the OA will have to go through the entire review again. The only exception is if the change is to enter a supervisor in the **Other Supervisor** field.

An OA Form that has been Denied

If you have an OA form that has been denied, we recommend that you speak with your supervisor to discuss how to resolve the matter. You can either click on the link, make the necessary changes to the OA and then resubmit your disclosure form or you can delete the OA entirely, and the corresponding row, and resubmit your disclosure form.

Annual Outside Activity Reporting Requirement

A new Outside Activity form must be submitted annually. At the beginning of every new COI cycle, OA's that previously had the status of either Approved (or Denied) will be reverted back to the status of Submitted. If the activity listed is still ongoing, and all of the information previously entered is still applicable, you will need to extend the Activity End Date to a new one (if unknown, enter a date one year past the previously submitted OA) and check on the box at the bottom of the page to acknowledge your new electronic signature.