



Caltech

Institute Business  
Systems | IMSS

---

# Pre-Review Process of the OA

## Table of Contents

Logging into the COI Reviewer Application.....	3
Reviewing the Outside Activity Form within the COI Application.....	4
Question 3 Responses.....	8
Question 4 Responses.....	8
Outside Agreement Facts.....	9
Pre-Reviewer section.....	9
Completed by the Pre-Reviewer when .....	9
Completed by HR/Campus Reviewer when .....	9
OA Final Decision.....	9
Outside Activity Form Review Requirements.....	10
Multiple Disclosures by the Same Employee in the Review Queues .....	10

## Logging into the COI Reviewer 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](mailto: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 Reviewer** 3  
*Review Conflict of Interest submissions*



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

## Reviewing the Outside Activity Form within the COI Application

If an employee has submitted an Outside Activity form, on Question 3 and/or Question 4 of the Conflict of Interest disclosure form, it must be reviewed by the Pre-Reviewer in order to complete their review process of the disclosure by selecting the Route to Final Reviewer button.

Caltech Conflict Of Interest Disclosure

Things To Do | Advanced Search | Travel Expenses | Email Notifications

THINGS TO DO

SUMMARY

Person Type	Total Population	Total Disclosures Not Submitted	Pre-Review Queue	Final Review Queue
Staff	115	0	1	2

NIH Disclosures In Final Reviewers Queue (0)  
 NIH Disclosures In Pre-Reviewers Queue (0)  
 NIH Travel Related Expenses (0)

PRIORITY REVIEW **4**

NIH OR NSF DISCLOSURES THAT REQUIRE IMMEDIATE REVIEW - PRE-REVIEWER QUEUE

[Top](#)  
no data found

4) Click on the **numbered hyperlink** in the *Pre-Review Queue*.

Caltech Conflict Of Interest Disclosure

Things To Do | Advanced Search | Travel Expenses | Email Notifications

THINGS TO DO

SUMMARY

Person Type	Total Population	Total Disclosures Not Submitted	Pre-Review Queue	Final Review Queue
Staff	115	0	1	2

NIH Disclosures In Final Reviewers Queue (0)  
 NIH Disclosures In Pre-Reviewers Queue (0)  
 NIH Travel Related Expenses (0)

PRE-REVIEW QUEUE: STAFF

[Top](#) [Close](#)

row(s) 1 - 1 of 1

Full Name	UID	Email Address	Notification Date	Submitted Date	Review Status	Last Modified/Viewed	Disclosure Status	Person Type	Organization	Employee Status
<b>Ryan, Christine</b>			01-JUN-2017 09:17AM	01-JUN-2017 09:17AM	Pending Pre-Review		Submitted - Yes	Staff	Information Management Systems And Services (Imss) Group	Active Assignment

5) Click on the **name** of the individual you would like to review.

## Caltech Conflict Of Interest Disclosure

Things To Do

Advanced Search

**Reviewer**

Travel Expenses

Email Notifications

[Things To Do](#) /

### List of Questions

#### REVIEWER NOTES

Close

Route to Final Reviewer

Send Email

Please review the responses below and route to the Final Reviewer. Decision(s) required by the Final Reviewer

No Email History

Employee Name: **Ryan, Christine**

Current Disclosure: **01-JUN-2017 09:17AM-Submitted - Yes**

Current Role: **Pre-Reviewer**

Review Date: **01-JUN-2017 09:33AM**

Final Reviewer:

Review Status: **Being Pre-Reviewed**

Pre-Reviewers:

Final Reviewer Comments (maximum of 3700 characters):

Reviewer Attachments

6) In the *List of Questions* page, scroll down to the **Current Disclosure Information** section.

Things To Do | [Advanced Search](#) | **Reviewer** | [Travel Expenses](#) | [Email Notifications](#)

**HISTORICAL DISCLOSURE INFORMATION**

To view previous disclosures in a separate window, select the date the disclosure was submitted below, and click the View Disclosure button.

30-SEP-2016 03:32PM-Submitted - Yes

[View Disclosure](#)

**CURRENT DISCLOSURE INFORMATION**

Question#	Response	Decision(s)	Action Required	Question
<a href="#">View All</a>				
<a href="#">#1 of 8</a>	NO (unchanged)		No decision required	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)?
<a href="#">#2 of 8</a>	NO (previously YES)		No decision required	To the best of your knowledge, do you or any immediate family member (spouse, domestic partner, or children) have any Significant Financial Interest (SFI) or have any material financial interest (MFI) in any entity that directly or indirectly sponsors your work or research or provides the Institute, or JPL, with goods or services related to your Institutional Responsibilities (i.e. your work teaching or research for the Institute)?
<a href="#">#3 of 8</a>	<b>7</b>		<b>Decision(s) required</b>	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?
<a href="#">#4 of 8</a>	(modified)		<b>Decision(s) required</b>	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? Trans
<a href="#">#5 of 8</a>	NO (unchanged)		No decision required	During the last 12 months, have you engaged in any activity, paid or unpaid, that resulted in, or could appear to an independent observer to have resulted in, an actual or possible conflict of your commitment to the Institute?
<a href="#">#6 of 8</a>	NO (unchanged)		No decision required	Are you involved in any other activities that could appear to be a conflict of interest or commitment?
<a href="#">#7 of 8</a>	NO (unchanged)		No decision required	Is your research funded by PHS (e.g. NIH) and do you meet the definition of <a href="#">Investigator</a> under the <a href="#">Caltech Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors</a> ?
<a href="#">#8 of 8</a>	(first submission)		No decision required	

7) Click on the #3 of 8 hyperlink.

[Things To Do](#) / [List of Questions](#) /

Answers/Notes

[Close](#)

Employee Name: **Ryan, Christine**

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.)

Response: YES

Comments:

---

**RESPONSES**

	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 <a href="#">Create or Associate OA Form link</a> .	Outside Activity Form <a href="#">Instructions</a>				
<a href="#">Open</a>	Modified	<b>Decision required</b>	1	I consult for ABC Company.	ABC Company	ABC company builds robotic devices and my research at Caltech involves building of robotic devices.	NO	<b>8</b>	<b>Decision required</b>

8) Click on the **Decision required** hyperlink in the *Outside Activity Form* column.

## The *Outside Activity* form will open

**REQUEST FOR OUTSIDE ACTIVITY**

[Cancel/Back](#) [Print](#)

ALL STAFF and EMPLOYEES of the Institute must read and comply with the Institute's Conflict of Interest Policy and PM 9-2 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: Submitted

1a. Name: Ajen, Corinae  
 Job Title: [Redacted]  
 Supervisor's Name: [Redacted]

Employee Number: [Redacted]  
 Work Phone: [Redacted]  
 Supervisor's Phone: [Redacted]

State Code: [Redacted]  
 Supervisor's State Code: [Redacted]

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

1b. Describe your assigned Campus duties and responsibilities:  
 Assigned Campus duties: [Redacted]

2a. Outside Organization Name (name after outside organization): [Redacted]  
 Outside Org Name: [Redacted]  Non-US entity  US entity

3. Outside Organization Address: [Redacted]

City: [Redacted] State: [Redacted] Zip: [Redacted]  
 Residence:  (Check all that apply)  Teaching  Research  Working  Spouse Engagement  Other Activity

4. Start Date: 01-APR-2017  
 5. End Date: [Redacted] (If the End Date is unknown, please enter a date one year past the start date)

6. Will the work be performed entirely outside of working hours?  No  Yes

7a. Describe estimated time and schedule for outside activity:  
 8. Hours per week: [Redacted] Hours per month: [Redacted]

9. Describe your role in the outside organization and provide a brief description of the activity:  
 Role in outside organization: [Redacted]

10. Will you or the outside organization be a recipient of awards or interests, any government funding (including National Science Foundation)?  No  Yes

11. Yes, please describe and identify the funding source:  
 Description and identity of funding source: [Redacted]

12. Describe any of your Campus duties that relate in any way to the proposed outside activity, (teaching, advising, programs or applicable research or technologies). If none, explain why:  
 Campus duties relating to outside activity: [Redacted]

(Check box required) Acknowledgment Date: 01-JUN-2017 Employee Name: Ajen, Corinae

To the best of my knowledge the information on this form is accurate and complete. I agree to abide by the above conditions and requirements in performing my outside activity. I have carefully read and understand the Caltech Conflict of Interest Policy and PM 9-2 at Campus.

[Cancel/Back](#) [Print](#)

**SUPERVISOR/PRE-REVIEWER SECTION**

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

14. 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?  
 Yes, does the activity relate to work assignments: [Redacted]

15. Will the outside activity enhance the value of the employee to the Institute?  
 No  Yes  
 If yes, please identify: [Redacted]

16. Will the outside activity relate to or be used on any ongoing or anticipated Campus, JPL, NISL, or other sponsor projects, programs, or applicable?  
 No  Yes  
 If yes, please identify: [Redacted]

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

Supervisor/Pre-Reviewer: [Redacted] Supervisor/Pre-Reviewer Employee Number: [Redacted]

[Cancel/Back](#) [Apply Changes](#)

**CAMPUS HUMAN RESOURCES APPROVAL**

Comments/Notes: [Redacted]

Approved  Denied

9

9) Complete the *Supervisor/Pre-Reviewer Section* and click on the **Apply Changes** button.

10) Use the **x** (in the upper right hand corner of the window) or the **Cancel/Back** button to close the window.

## Question 3 Responses

Close

Employee Name: **Ryan, Christine**

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.)

**Response: YES**

Comments:

RESPONSES								
				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? <b>If NO, you must create one using the Create or Associate OA Form link.</b>	Outside Activity Form <a href="#">Instructions</a>
<a href="#">Open</a>	Modified	Decision required	1	I consult for ABC Company.	ABC Company	ABC company builds robotic devices and my research at Caltech involves building of robotic devices.	NO	<a href="#">Pre-Reviewed</a>

Once the Outside Activity form has been reviewed by the Pre-Reviewer the link will change to *Pre-Reviewed*.

## Question 4 Responses

RESPONSES								
				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? <b>If NO, you must create one using the Create or Associate OA Form link.</b>	Outside Activity Form <a href="#">Instructions</a>
<a href="#">Open</a>	Modified	Decision required	1	I serve on the Board of the Caltech Employees Federal Credit Union (CEFCU)	CEFCU	CEFCU provides services to the Institute.	NO	<a href="#">Pre-Reviewed</a>
<a href="#">Open</a>	Added	Decision required	2	I am an advisor to XYZ Company.	XYZ Company	XYZ Company is a start-up company from Caltech and an exclusive licensee.	NO	<a href="#">Decision required</a>

In this example, the individual also answered Yes to Question 4. The first row automatically updated to *Pre-Reviewed* because it is the associated Outside Activity form from Question 3 that was just reviewed in step 9. The second row is a separate Outside Activity form that also requires a review.



## Outside Agreement Facts

The Outside Agreement form requires a decision to be entered in both the Pre-Reviewer and HR/Campus Reviewer sections in order to complete the Conflict of Interest review process.

### Pre-Reviewer section

#### *Completed by the Pre-Reviewer when*

This section must be completed by a Pre-Reviewer, if there is one, and the Review Status is Pending Pre-Review or Being Pre-Reviewed. Once they enter a decision on the OA, they will have the ability to use the Route to Final Reviewer button. If they have not entered a decision, they will not be able to route it.

#### *Completed by HR/Campus Reviewer when*

The Pre-Review section must be completed by the HR/Campus Reviewer (along with their HR/Campus Reviewer section) when the employee has no assigned Pre-Reviewer. In which case, once an employee's disclosure is submitted, it goes directly to the Final Reviewer's queue with the Review Status of **Pending Final Review** or **Being Reviewed**.

#### **Or**

There is an actual Pre-Reviewer but the Final Reviewer uses the ByPass Pre-Review function which places the disclosure in their queue with the Review Status of **Pending Final Review** or **Being Reviewed** (and the Pre-Reviewer had not entered a decision).

**NOTE:** If the Final Reviewer uses the Bypass feature and a Pre-Reviewer has already entered their comments and a decision, that information will remain and cannot be changed by the Final Reviewer.

Once both sections have a decision entered and the Final Reviewer has entered decisions on the COI disclosure items, they can then select the Review Completed button to complete review process.

### OA Final Decision

The decision entered by the HR/Campus reviewer will supersede the decision entered by a Pre-Reviewer. The information entered by the Pre-Reviewer will remain on the form.

## Outside Activity Form Review Requirements

Once an OA form has been reviewed (and the disclosure has been reviewed), if the employee submits a new disclosure and has not made any changes to the OA's previously submitted, those forms will not have to be reviewed again. However, if the employee makes a change to an existing, reviewed OA form, the links will revert back to "Decision Required" and it will require another review.

## Multiple Disclosures by the Same Employee in the Review Queues

If an employee submits a new disclosure, while a previously entered one is still in one of the reviewer's queues, the links on the OA form will be reverted back to "Submitted" and it will require another review. This means that the OA form will need to be reviewed on both of the disclosures.

**Reminder:** If there are multiple disclosures, for the same employee, to be reviewed always review the oldest ones first.