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/

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 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.

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

5) Click on the name of the individual you would like to review.
6) In the List of Questions page, scroll down to the Current Disclosure Information section.
7) Click on the **#3 of 8** hyperlink.

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

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

Question 4 Responses

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.