Baylor University
Creating Pre-Approval Requests
Agenda

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Pre-Approval Overview
Overview

In the 2024 academic year, Baylor’s policy and processes around disclosing and managing outside activities and interests are changing.

**Key Drivers for Change**

- Disclosing in two systems is burdensome for our faculty
- Review of activities did not systematically include supervisors or other individuals with knowledge of the disclosure’s impact
- Appropriate disclosures help Baylor manage its business across missions

**Approach**

- **Summer 2022:** Assessed Baylor’s Approach to Managing Outside Activity and Financial Interests
- **2022 Academic Year:** Formed faculty and administrator working groups to recommend policy and process changes
- **2023 Academic Year:** Implementing changes based on working group recommendations
BUPP-800 Outside Activities and Interests

A faculty and staff work group made significant changes to this policy, including:

- Named a broader membership to the Outside Activities and Interests Committee to increase faculty and staff representation
- Increased disclosure reporting and pre-approval thresholds from $250 to $5,000
- Established an assumption that faculty are allotted one day per week to spend on outside activities
- Defined activities that do and do not require pre-approval
- Outlined an appeals process if the Outside Activities and Interests Committee does not approve the activity or interest
- Provided clearer definitions
- Established supervisory review of all disclosures
What is CARA?

CARA is an electronic solution that allows disclosers and reviewers to easily report and review Outside Activities and Interests.

Each discloser has 1 disclosure profile to maintain for all Outside Activities and Interests.

Reviewers will receive email notifications when an action that requires their attention is needed.
Pre-Approval at Baylor

• Baylor acknowledges that employee participation in outside activities is often appropriate and even beneficial to the University.

• Baylor may approve involvement in outside activities if the activities do not unreasonably interfere with the duties and responsibilities of the employee.

• In these circumstances, the employee is expected to submit a request to participate in outside activities to the appropriate unit leadership for approval.

• Requests for pre-approval should be submitted no less than five business days prior to the proposed outside activity or interest commencing.

*Please refer to BUPP-800 Outside Activities and Interests for policy details.
Pre-Approval Requests

• Requests are required for outside activities and interests from which you expect to earn more than $5,000 or that will exceed more than one day per week on average.

• Activities that do not require pre-approval include:
  • Performing a grant review (if under $5,000 from single entity)
  • Participation in a professional society
  • Reviewing a book, journal article, or other scholarly publication

*Please refer to BUPP-800 Outside Activities and Interests for a complete list.
Example Pre-Approval Requests

The activities listed below always require pre-approval:*

• Teaching or conducting research at another institution
• Activities involving a foreign entity
• Directing a program or lab outside of Baylor
• Running for public office
• Serving as an expert witness
• Taking a role at a start-up company

*Please refer to BUPP-800 Outside Activities and Interests for a complete list.
Faculty and Staff members will complete the Pre-Approval Request in CARA.

The department chair or supervisor will review the Pre-Approval Request and provide context to Internal Audit or Research Compliance.

Internal Audit or Research Compliance will either approve the request or send the request to the Outside Activities and Interests Committee.
Creating a Pre-Approval Request
Creating a Pre-Approval Request

Log in to CARA at cara-coi.baylor.edu and navigate to the COI tab and Disclosures subtab. From your disclosure workspace, select Request Pre-Approval.
Request Pre-Approval

Complete the required fields. Create a new pre-approval request if you have more than one activity to request, or if there is more than one entity involved.
Request Routes for Review

Once your request is complete, it will route for review and determination.
What to Expect

Your supervisor will review the request and will make recommendations to either Internal Audit or to Research Compliance.

Internal Audit or Research Compliance will review the request in five business days and determine if it needs to be reviewed by the Outside Activity and Interest Committee (OAIC).

If not, your request will be approved or denied.

If so, you may be asked to provide additional information to the OAIC.
Notification of Decision

When the review is complete you will receive an email notification.

From: cara@baylor.edu <cara@baylor.edu>
Sent: Thursday, August 3, 2023 10:03 AM
To: cara@baylor.edu; April_Swindell@baylor.edu; Wallace, Amanda <amanda_r_wallace@baylor.edu>
Subject: Your Pre-Approval Request has been Approved

To: 
Link: Sitting on a Board (PAR00000031)
Determination: Approved
Reviewer: Amanda Wallace

A determination has been made on the above pre-approval request. Follow the link included in this email to log in and access additional details of the request. If you do not have additional questions or concerns regarding the determination, there is no system action required at this time.

From: cara@baylor.edu <cara@baylor.edu>
Sent: Monday, July 31, 2023 5:54 PM
To: cara@baylor.edu; April_Swindell@baylor.edu; Wallace, Amanda <amanda_r_wallace@baylor.edu>
Subject: Your Pre-Approval Request has been Disapproved

To: 
Link: Test (PAR00000019)
Determination: Disapproved
Reviewer: Amanda Wallace

A determination has been made on the above pre-approval request. Follow the link included in this email to log in and access additional details of the request. If you do not have additional questions or concerns regarding the determination, there is no system action required at this time.
Making an Appeal

If your pre-approval request is denied, you may submit an appeal.

1. Gather additional documentation regarding your request.
2. Contact Internal Audit to request an appeal.
3. Provide additional documentation or answers to specific questions to the Outside Activities and Interests Committee (OAIC).
4. The OAIC will consider your appeal and send it to either the Provost or to Human Resources.
5. The Provost’s or Human Resources’ decision is final.
Questions?

Thank you!