

Baylor University Creating Pre-Approval Requests

Agenda

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2. Creating a Pre-Approval Request
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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.

CARA

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.

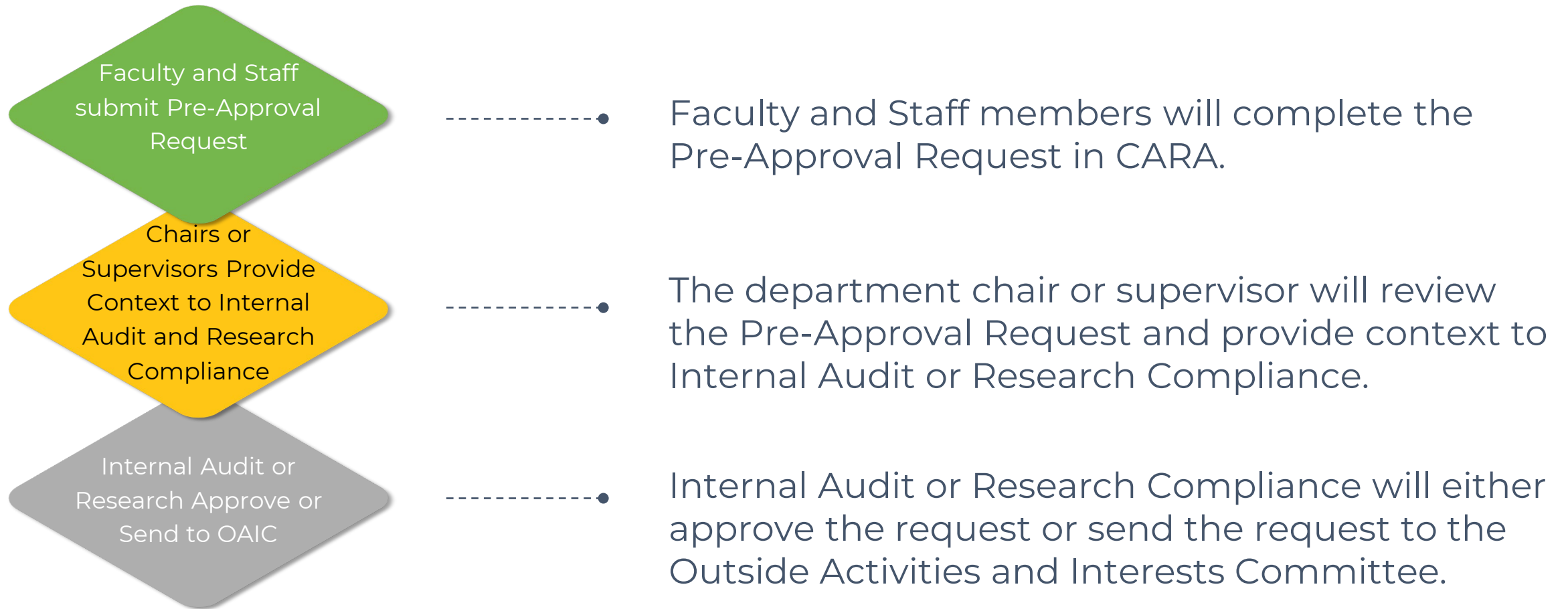
Example Pre-Approval Requests

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.

Pre-Approval Overview



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**.

The screenshot displays the CARA STAGE web application interface. At the top, the 'CARA STAGE' logo is visible on the left, and a user greeting 'Hello, [username]' is on the right. Below the logo, a navigation menu includes 'Dashboard', 'Agreements', 'COI', and 'Grants'. The 'COI' tab is selected, and its sub-menu is open, showing 'Disclosures', 'Requests', 'Certifications', 'Plans', 'Triggering Events', 'Reports', 'Meetings', and 'Help Center'. The 'Disclosures' subtab is active. The main content area shows a 'Disclosure Profile for [redacted]' page. On the left, an orange box states 'No Action Required' and 'Disclosure profile last completed: 5/22/2023'. Below this, a blue button labeled 'Request Pre-Approval' is highlighted with a green box. To the right, an 'Instruction Center' box contains an 'Action Required' section with the text 'No actions need to be taken at this time' and a 'Reason' section with the text 'Discloser's disclosure profile is up-to-date and requires no action'. Below the instruction center is an 'Edit Disclosure Profile' button. At the bottom of the page, a navigation bar includes 'Disclosures', 'Pre-Approval Requests', 'Training', and 'History'. A message at the bottom states: 'You have not disclosed any interests. Reference the Instruction Center to take the appropriate steps of completing a disclosure update.'

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.

The screenshot shows the 'Creating New: Pre-Approval Request' form in the CARA STAGE system. The form is titled 'Creating New: Pre-Approval Request' and includes a 'Request Information' sidebar. The main content area contains three sections:

- 1. Requestor:** A field for the requestor's name.
- 2. * Request name/title:** A required text input field.
- 3. * Type of request:** A list of request types with radio buttons and descriptions:

Name	Description
<input type="radio"/> Outside Academic Appointment	Academic and/or research appointments at an entity other than the institution (e.g. adjunct faculty)
<input type="radio"/> Consulting Activity and other Professional Services	Provision of professional expertise to an outside entity in a consulting or other professional services capacity
<input type="radio"/> Scientific Advisory Board	Provision of scientific expertise to outside entity (e.g., pharmaceutical or device manufacturer)
<input type="radio"/> Foreign Talent Program Participation	Participation in a talent program sponsored by a foreign government or organization
<input type="radio"/> Foreign Travel	Travel outside of the U.S. for non-recreational purposes
<input type="radio"/> Start Up Company	Taking a role at a start-up company

At the bottom right, there are buttons for 'Exit', 'Save', and 'Continue'.

The screenshot shows the 'Editing: PAR00000035' form in the CARA STAGE system. The form is titled 'Editing: PAR00000035' and includes a 'Request Information' sidebar. The main content area contains six sections:

- 1. Entity:** A dropdown menu for selecting an entity, with a note: 'If you cannot find the entity in the above list, enter the details here:'. The selected entity is 'State Government'.
- 2. * Describe the proposed activity:** A text area containing the text: 'I will provide consulting work to the Texas state government regarding water pathways.'
- 3. Start date:** A date picker showing '9/27/2023'.
- 4. End date:** A date picker showing '11/29/2023'.
- 5. Provide the estimated time that will be spent on this activity (days):** A text input field containing '10'.
- 6. Provide your anticipated compensation (dollars) for this activity:** A text input field containing '20,000'.

At the bottom right, there are buttons for 'Exit', 'Save', and 'Continue'.

Request Routes for Review

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

The screenshot displays the CARA STAGE web application interface. At the top, there is a navigation bar with the following tabs: Dashboard, Agreements, COI, Grants, Disclosures, Requests, Certifications, Plans, Triggering Events, Reports, Meetings, and Help Center. The current page is titled "Under Review" and shows details for a request with ID "PAR0000035: Consulting for State Government".

Request Details:

- Date created:** 8/7/2023 3:27 PM
- Date submitted:** 8/7/2023
- Request type:** Consulting Activity and other Professional Services
- Assigned reviewer:** [Redacted]
- Current review stage:** Supervisor
- Review stage:** 1 of 2
- Discloser:** [Redacted]
- Discloser's employer:** Vocal Studies

Next Steps:

- View Pre-Approval Request
- Add Comment
- Copy Request

Review Process Diagram:

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graph LR; A[Pre-Submission] --> B[Review]; B --> C[Review Complete]; B --> D[Clarification Requested]; D --> B;
```

History:

Activity	Author	Activity Date
Pre-Approval Request Submitted	[Redacted]	8/7/2023 3:45 PM

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: [redacted] cara@baylor.edu; [redacted] April_Swindell@baylor.edu; Wallace, Amanda <amanda_r_wallace@baylor.edu>; chris_mullaney@baylor.edu
Subject: Your Pre-Approval Request has been Approved

To:	[redacted]
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: [redacted] April_Swindell@baylor.edu; Wallace, Amanda <amanda_r_wallace@baylor.edu>; chris_mullaney@baylor.edu
Subject: Your Pre-Approval Request has been Disapproved

To:	[redacted]
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!