

Baylor University  
Outside Activity & Interests  
Reviewer Experience

# Agenda

1. Introduction
2. Reviewing a Certification
3. Navigating the new CARA System

# Introduction

# 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:

- Outlined 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
- Named 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

# Who is required to submit disclosures?

## Faculty

- All faculty members who are eligible to receive benefits from Baylor University are required to complete an annual disclosure.

1

## Staff

- All staff members who are eligible to receive benefits from Baylor University are required to complete an annual disclosure.

2

## Researchers

- Individuals who are involved in the design, conduct, or reporting of research must complete and/or update the disclosure when engaging in research studies.

3

## What is CARA?

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

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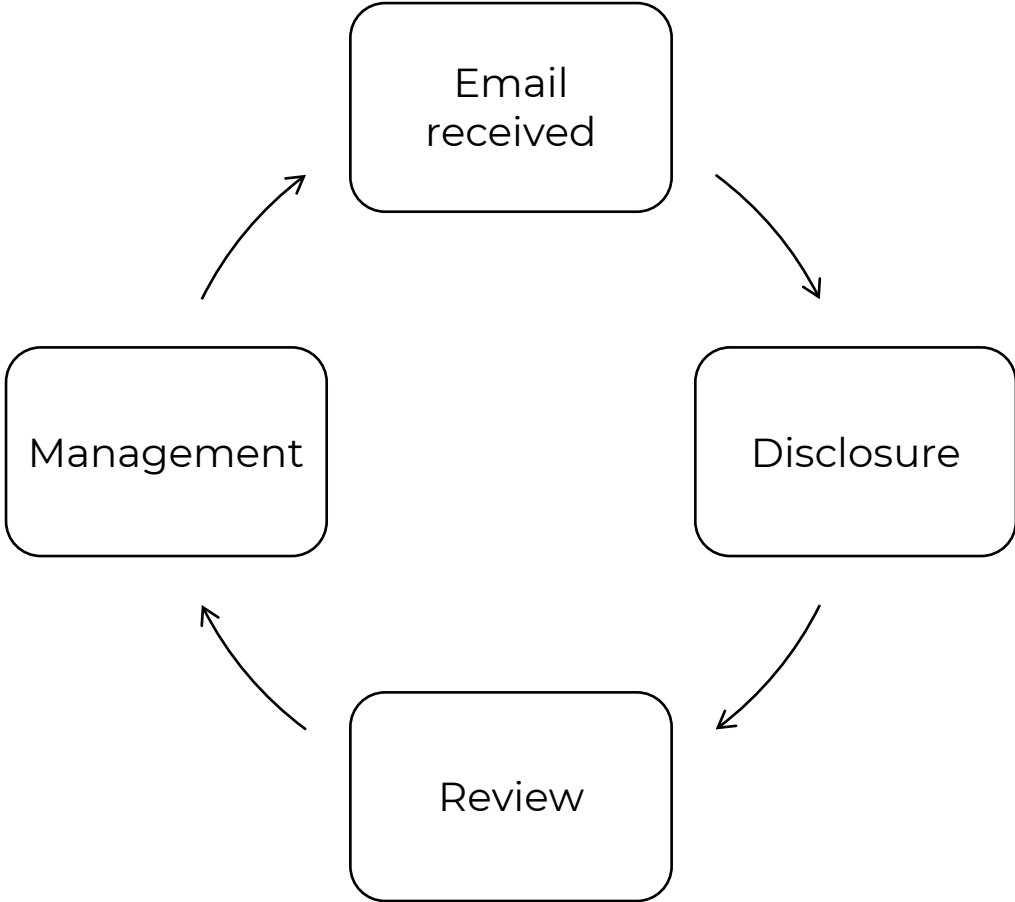
Each discloser has 1 disclosure profile to maintain for all Outside Activities and Interests.

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Reviewers will receive email notifications when an action that requires their review is needed.

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# How does the OAI process work?





# Reviewing a Certification

# What to Expect: Reviewers



# Disclosure Types: Faculty & Staff

As a reviewer of a faculty or staff certification, you'll review disclosed outside activities and interests in relation to the individual's institutional responsibilities and make a recommendation regarding whether the activity or interest creates a conflict. Please read **BUPP-800 Outside Activities and Interests** before conducting reviews.

Reviewers will be provided with a checklist that will assist in conducting reviews. General outside activities and interests that might entail a conflict include:

- Employment outside Baylor, including part-time employment
- Teaching or other instructional activities at other educational institutions
- Service on outside Boards, Councils, or Committees
- Using non-public or privileged Baylor information for personal gain
- Accepting a gift or favor from an outside entity participating in a foreign talent program
- Utilizing students for personal gain

# Disclosure Types: Researchers

As a reviewer of a research certification, you'll review disclosed outside activities and interests in relation to the individual's research activities. Please read **OVPR-02: Policy for Conflicts of Interest in Research and Technology Transfer** before conducting reviews.

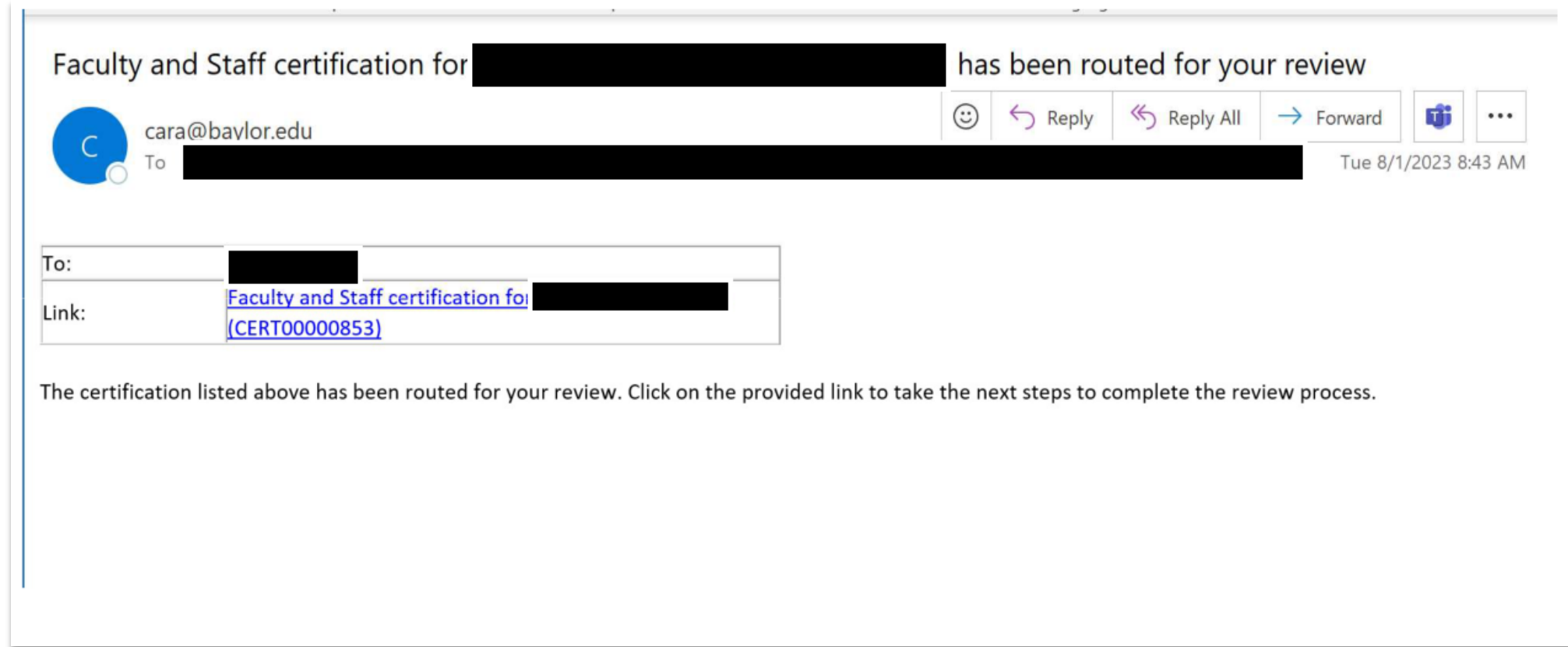
Reviewers will be provided with a checklist that will assist in conducting reviews. General outside activities and interests that might entail a conflict include:

- Equity
- Consulting or Other Professional Services
- Editorial Services
- Intellectual Property Rights
- Divestiture and Cash Pay-out
- Sponsored Travel
- Board Service
- Outside Employment
- Other Appointments
- Prizes and honoraria
- Business Relationships with Baylor
- Family Members at Baylor
- Gifts
- Venture Capital
- Teaching or conducting research outside of Baylor


# Navigating CARA







# Notification

You will receive an email notification that will link you directly to the certification.



Faculty and Staff certification for [REDACTED] has been routed for your review

 cara@baylor.edu  
To: [REDACTED]

  Reply  Reply All  Forward  

Tue 8/1/2023 8:43 AM

To:	[REDACTED]
Link:	<a href="#">Faculty and Staff certification fo [REDACTED] (CERT00000853)</a>

The certification listed above has been routed for your review. Click on the provided link to take the next steps to complete the review process.

# Your Dashboard

Alternatively, you can log directly into CARA to access your Dashboard “To Do” list. Navigate to the certification requiring review.

The screenshot shows the CARA STAGE dashboard interface. The navigation menu at the top includes 'Dashboard', 'Agreements', 'COI' (highlighted with a green box), 'Grants', and 'Settings'. The 'COI' tab is active, displaying a 'My Inbox' section. On the left, there is a 'Recently Viewed' sidebar with a list of items. The main table lists the following items:

ID	Name	Date Created	Date Modified	State	Coordinator
CERT00000831	Research certification for [redacted]-TE00000013	7/20/2023 12:48 PM	7/28/2023 11:47 AM	Committee Review	Amanda Wallace
CERT00000829	Research certification for [redacted]-TE00000013	7/20/2023 10:59 AM	7/24/2023 9:33 AM	Committee Review	April Swindell
CERT00000026	Research certification for [redacted]AWD00000012	5/11/2023 9:05 AM	7/18/2023 12:10 PM	Committee Review	April Swindell
DP00000019	Disclosure Profile for [redacted]	5/1/2023 11:20 AM	7/18/2023 2:00 AM	Action Required	[redacted]
RETRO00000005	Test	5/24/2023 12:03 PM	5/24/2023 12:03 PM	In Review	
CERT00000538	Research certification for [redacted]-TE00000008	5/23/2023 5:04 AM	5/24/2023 11:19 AM	Committee Review	April Swindell
CERT00000053	Legacy Cert for AWD00000012 - [redacted]	5/16/2023 11:58 PM	5/19/2023 12:17 PM	Committee Review	April Swindell
CERT00000010	Research certification for [redacted]FP00000007-Con1	5/1/2023 10:42 AM	5/11/2023 4:46 PM	Committee Review	April Swindell
RETRO00000003	test	5/8/2023 12:40 PM	5/8/2023 12:40 PM	In Review	

# Certification Workspace

Navigate to **Review Certification** to view the discloser's activities and/or interests.

The screenshot displays the CARA STAGE interface for reviewing a certification. The top navigation bar includes 'Dashboard', 'Agreements', 'COI', 'Grants', and 'Settings'. The 'COI' section is active, with sub-links for 'Disclosures', 'Requests', 'Certifications', 'Plans', 'Triggering Events', 'Reports', 'Meetings', 'Central Actions', and 'Help Center'. The breadcrumb trail shows 'COI > Certifications > Faculty and Staff certification for [redacted]'. The main content area features a 'Under Review' status box, a 'Review Certification' button (highlighted with a green border), and a list of actions: 'Submit My Review', 'Request Clarifications', 'Assign Reviewer', 'Manage Ancillary Reviews', 'Reset Review Stages', and 'Add Comment'. A workflow diagram shows the process: 'Awaiting Profile Update' leads to 'Review' (highlighted in orange), which can lead to 'Committee Review' or 'Clarification Requested'. 'Committee Review' leads to 'Review Complete', and 'Clarification Requested' loops back to 'Review'. Metadata includes: 'Certification created date: 8/1/2023 9:42 AM', 'Profile last submitted date: 8/1/2023', 'Training is expired', 'Certification type: Faculty and Staff', 'Assigned reviewer: [redacted]', 'Current review stage: Supervisor', 'Review stage: 1 of 2', 'Discloser: [redacted]', 'Discloser's employer: Bear Foundation', and 'Has significant financial interest: Yes'. The bottom section has tabs for 'History', 'Review Information', and 'Snapshots', with a search filter set to 'Activity'.



# Research Certification Review

When reviewing a **Research Certification**, you can link directly to the association between the disclosure and research activities.

The screenshot displays the CARA STAGE web application interface. At the top, the 'Stage' logo and 'CARA STAGE' text are visible, along with a user greeting 'Hello, [redacted]' and a 'Switch User' button. A navigation menu includes 'Dashboard', 'Agreements', 'COI', 'Grants', and 'Settings'. Below this, a secondary menu lists 'Disclosures', 'Requests', 'Certifications', 'Plans', 'Triggering Events', 'Reports', 'Meetings', 'Central Actions', and 'Help Center'. The main content area shows the path 'COI > Certifications > Research certification for [redacted]-TE00000016'. A 'Help' icon is present in the top right of the content area.

**Under Review**

**CERT00000857: Research certification for [redacted]-TE00000016**

**Certification created date:** 8/3/2023 11:54 AM  
**Profile last submitted date:** 8/3/2023  
**Training is expired**

**Next Steps**

- Review Certification
- Submit My Review
- Request Clarifications
- Assign Reviewer
- Manage Ancillary Reviews
- Reset Review Stages
- Add Comment
- Withdraw

**Certification type:** Research  
**Assigned reviewer:** Keith Schubert  
**Current review stage:** Department Chair  
**Review stage:** 1 of 2

**Discloser:** [redacted]  
**Discloser's employer:** Electrical and Computer Engineering  
**Has significant financial interest:** Yes  
**Research project:** TE00000016  
**Research project name:** Test Submission 2

**Flowchart:**

```
graph LR; A[Awaiting Profile Update] --> B[Review]; B --> C[Committee Review]; C --> D[Review Complete]; B --> E[Clarification Requested]; E --> B; C --> F[Clarification Requested]; F --> C;
```

**History** | Review Information | Snapshots

**Filter by** Activity | Enter text to search | + Add Filter | X Clear All

Activity	Author	Activity Date
Profile Updated	[redacted]	8/3/2023 1:51 PM

# Review the Certification

Once the Certification has been reviewed, select **Exit** to navigate back to the workspace.

The screenshot displays the CARA STAGE interface. At the top left is the logo and 'CARA STAGE' text. The top right shows a user greeting 'Hello, [redacted]'. The main header indicates 'Reviewing: CERT00000853' with links for 'Go to forms menu', 'Print', and 'Help'. Below this is a instruction: 'Please review the disclosure and determine whether the activity adheres to the requirements outlined in BU-PP 800. If the activity does not adhere to BU-PP 800, determine whether the activity will be disapproved or will require a management plan and committee review.'

### Disclosure Profile Information

- 1. Discloser:** [redacted]
- 2. Has significant financial interest:** Yes
- 3. Last submitted date of disclosure profile:** 8/1/2023
- 4. Training expiration date:**

External training:

Training Type	Course Title	Date Completed	Next Training Due Date
There are no items to display			

Above section has been reviewed:

**Exit**

# Request Clarification

If you have questions for the discloser, **Request Clarifications** will return the certification to the Discloser with a request to provide additional information.

**CARA STAGE**

Dashboard | Agreements | **COI** | Grants | Settings

Disclosures | Requests | Certifications | Plans | Triggering Events | Reports | Meetings | Central Actions | Help Center

COI > Certifications > Research certification for [redacted]-TE00000016

### Under Review

**CERT00000857: Research certification for [redacted]-TE00000016**

**Certification created date:** 8/3/2023 11:54 AM  
**Profile last submitted date:** 8/3/2023  
**Training is expired**

**Certification type:** Research  
**Assigned reviewer:** Keith Schubert  
**Current review stage:** Department Chair  
**Review stage:** 1 of 2

**Discloser:** [redacted]  
**Discloser's employer:** Electrical and Computer Engineering  
**Has significant financial interest:** Yes  
**Research project:** TE00000016  
**Research project name:** Test Submission 2

**Next Steps**

- Review Certification
- Submit My Review
- Request Clarifications**
- Assign Reviewer
- Manage Ancillary Reviews
- Reset Review Stages
- Add Comment
- Withdraw

**Review Process Flowchart:**

```
graph LR; A[Awaiting Profile Update] --> B[Review]; B --> C[Committee Review]; C --> D[Review Complete]; B --> E[Clarification Requested]; E --> B; C --> F[Clarification Requested]; F --> C;
```

**History** | Review Information | Snapshots

Filter by: Activity | Enter text to search | + Add Filter | X Clear All

Activity	Author	Activity Date
Profile Updated	[redacted]	8/3/2023 1:51 PM

# Ancillary Review

If you would like to receive an additional opinion on the disclosure, you can invite an ancillary reviewer to see the disclosure. Select **Manage Ancillary Reviews or Assign Reviewer**.

COI > Certifications > Research certification for [REDACTED]-AWDC00000177 Help

**Under Review**

**Certification created date:** 8/1/2023 9:16 AM  
**Profile last submitted date:** 8/1/2023  
**Training expiration date:** 3/22/2026

**Next Steps**

- Review Certification
- Submit My Review
- Submit Ancillary Review
- Request Clarifications
- Assign Reviewer
- Manage Ancillary Reviews
- Reset Review Stages

## CERT00000851: Research certification for [REDACTED]-AWDC00000177

**Certification type:** Research  
**Related certification:** Research Portfolio Review for [REDACTED]  
**Assigned reviewer:** Jon Singletary  
**Current review stage:** Department Chair  
**Review stage:** 1 of 2

**Discloser:** [REDACTED]  
**Discloser's employer:** Diana R. Garland School of Social Work  
**Has significant financial interest:** Yes  
**Research project:** AWDC00000177  
**Research project name:** USA-JTF-Mental Health-[REDACTED]  
**Additional information provided by discloser:** [REDACTED]

```
graph LR; A[Awaiting Profile Update] --> B[Review]; B --> C[Committee Review]; B --> D[Clarification Requested]; D --> B; D --> C; C --> E[Review Complete];
```

History | Review Information | Management Plans | Snapshots

Filter by Activity

# Ancillary Review

Selecting **Manage Ancillary Reviews** allows you to select which individual or department should review the disclosure and indicate if the review is required.

The screenshot displays the 'Manage Ancillary Reviews' interface. On the left, a sidebar contains a navigation menu with 'Manage Ancillary Reviews' highlighted. The main content area is divided into two panels. The left panel, titled '1. Identify each organization or person', features a '+ Add' button and a dropdown menu for 'Review Type' with options: Organization, Person, and Required. Below this, it states 'There are no items to display'. The right panel, titled 'Add Ancillary Review', contains three steps: 1. 'Select an organization as reviewer:' with a search input field; 2. 'Review type:' with a list of radio button options including Department, Export Control, Faculty Affairs, Human Resources, IT Security, Legal, Other, Procurement, Risk Management, Sponsored Programs, Technology Transfer, and University Compliance; and 3. '\* Is a response required?' with radio buttons for Yes and No, and a 'Clear' link. A right-hand pane shows a document ID 'hi-TE00000016' and a search bar.

# Submit Your Review

Once ancillary reviews are complete, navigate to **Submit My Review** to document your review determination.

The screenshot shows the CARA STAGE web application interface. At the top, there is a navigation bar with tabs for Dashboard, Agreements, COI, Grants, and Settings. Below this is a sub-navigation bar with links for Disclosures, Requests, Certifications, Plans, Triggering Events, Reports, Meetings, Central Actions, and Help Center. The main content area is titled 'Under Review' and displays details for a research certification (CERT00000857). Key information includes the certification type (Research), assigned reviewer (Keith Schubert), current review stage (Department Chair), and review stage (1 of 2). A flowchart illustrates the review process: Awaiting Profile Update -> Review -> Committee Review -> Review Complete. Below the flowchart is a 'History' section with a search filter and a table of activities. The 'Submit My Review' option in the left sidebar is highlighted with a green box.

The screenshot shows the 'Submit My Review' form. It features a dark blue header with the title 'Submit My Review'. The form contains three main sections:

- Warning:** You may not have marked all certification pages as reviewed, or the disclosure information may have changed since your review. Be sure to review the latest information in the certification SmartForm before submitting your review.
- Submitting this review will move the certification to the next stage of the review process.**
- 1. \* Do you recommend additional action, such as assigning this certification to a management plan?** This section includes radio buttons for 'Yes' and 'No', and a 'Clear' link.
- 2. Comments:** A large text area for entering comments.
- 3. Supporting documents:** A section for adding supporting documents, featuring a '+ Add' button and a table with columns for 'Name' and 'Description'. The table currently displays 'There are no items to display'.

At the bottom right of the form, there are 'OK' and 'Cancel' buttons. The 'OK' button is highlighted with a green box.

# Review Stage 1 Complete

The Certification is now routed to the Stage 2 reviewer to review for relatedness and potential conflict.

The screenshot displays the CARA STAGE web application interface. At the top, the navigation bar includes 'Dashboard', 'Agreements', 'COI', 'Grants', and 'Settings'. Below this, a secondary navigation bar lists 'Disclosures', 'Requests', 'Certifications', 'Plans', 'Triggering Events', 'Reports', 'Meetings', 'Central Actions', and 'Help Center'. The main content area is titled 'CERT00000853: Faculty and Staff certification for [redacted]'. On the left, a sidebar shows 'Under Review' with details: 'Certification created date: 8/1/2023 9:42 AM', 'Profile last submitted date: 8/1/2023', and 'Training is expired'. Below this are 'Next Steps' including 'Review Certification', 'Submit Review', 'Request Clarifications', 'Assign to Committee Review', 'Return for Review', 'Assign Reviewer', 'Manage Ancillary Reviews', 'Reset Review Stages', and 'Add Comment'. The main content area features a flowchart with stages: 'Awaiting Profile Update', 'Review' (highlighted in orange), 'Committee Review', and 'Review Complete'. There are also 'Clarification Requested' boxes. To the right, details include 'Assigned reviewer: Amanda Wallace', 'Current review stage: Internal Audit', 'Review stage: 2 of 2', 'Discloser: [redacted]', 'Discloser's employer: Bear Foundation', and 'Has significant financial interest: Yes'. At the bottom, a 'History' table shows recent activities:

Activity	Author	Activity Date
Intermediate Review Completed	[redacted]	8/5/2023 4:31 PM
Review Stages Reset	[redacted]	8/5/2023 4:05 PM

# Pre-Approval Request

As a reviewer, you may also see Pre-Approval Requests (PAR's) to review. Select **View Pre-Approval Request** to see the request, and then **Submit My Review**.

Dashboard	Agreements	COI	Grants	Settings				
Disclosures	Requests	Certifications	Plans	Triggering Events	Reports	Meetings	Central Actions	Help Center

COI > Disclosures > Disclosure Profile for [redacted] > Test 2

**Under Review**

## PAR00000034: Test 2

**Date created:** 8/4/2023 9:50 AM  
**Date submitted:** 8/4/2023

**Request type:** Scientific Advisory Board  
**Assigned reviewer:** [redacted]  
**Current review stage:** Supervisor  
**Review stage:** 1 of 2

**Discloser:** [redacted]  
**Discloser's employer:** Electrical and Computer Engineering

**Next Steps**

- 1 View Pre-Approval Request
- 2 Submit My Review
- Request Clarifications
- Assign Reviewer
- Manage Ancillary Reviews

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

History | Review Information





# Questions?

Thank you!

**CARA**