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?

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

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

3. 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.
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 review is needed.
How does the OAI process work?

- Email received
- Management
- Disclosure
- Review
Reviewing a Certification
Chairs or Supervisors will review disclosures for faculty, staff, and researchers that exceed thresholds (usually $5,000 or more than one day per week).

Internal Audit or Research Compliance will perform a second level review to determine relatedness and conflict.

For conflicts that need to be managed, the certification will be assigned to the OAI Committee.
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 has been routed for your review

cara@baylor.edu

To: [redacted]

Link: Faculty and Staff certification fo: (CERT00000853)

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.
Certification Workspace

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

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

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

Once ancillary reviews are complete, navigate to **Submit My Review** to document your review determination.
Review Stage 1 Complete

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

PAR00000034: Test 2

Date created: 8/4/2023 9:59 AM
Date submitted: 8/4/2023

Next Steps

1. View Pre-Approval Request
2. Submit My Review

Request type: Scientific Advisory Board
Assigned reviewer: Supervisor
Review stage: 1 of 2

Discloser’s employer: Electrical and Computer Engineering
Questions?

Thank you!