

Brigham Young University



Year Six Standard Two Policies, Regulation, and Financial Evaluation Report (PRFR)

Northwest Commission on Colleges and Universities
March 1, 2021



Institutional Report Certification Form

On behalf of the Institution, I certify that:

- ☒ There was broad participation/review by the campus community in the preparation of this report.
- ☒ The Institution remains in compliance with NWCCU Eligibility Requirements.
- ☒ The Institution will continue to remain in compliance throughout the duration of the institution's cycle of accreditation.

I understand that information provided in this report may affect the continued Candidacy or Accreditation of my institution. I certify that the information and data provided in the report are true and correct to the best of my knowledge.

Brigham Young University

(Name of Institution)

Kevin J Worthen

(Name of Chief Executive Officer)

Kevin J Worthen

(Signature of Chief Executive Officer)

23 Feb 2021

(Date)

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Instructions to the Reviewer

Links in this document will take the reviewer to one of two places:

- 1) The university website.
All public-facing pages will display when the reader clicks the link. These are designated as hyperlinks with blue, underlined text.
- 2) A document bookmarked in the appendix.
These are designated as blue text with no underline.
To navigate between sections, please use the bookmarks provided in the PDF file.

Links to evidence referenced more than once within a Standard appear only with the first reference.

Eligibility Requirements

We attest that Brigham Young University (BYU, or the university) remains compliant with the Northwest Commission on Colleges and Universities (NWCCU) Eligibility Requirements. We include citations in this report as appropriate.

Mission Fulfillment

BYU was established in 1875. The Church of Jesus Christ of Latter-day Saints (Church) sponsors the university. The university has a [certificate of postsecondary state authorization](#) from the Utah Department of Commerce. BYU seeks to develop students of faith, intellect, and character who are prepared to continue learning and serving throughout their lives. The university is primarily an undergraduate institution, with graduate programs in several disciplines. It offers bachelor's degrees in 187 academic programs, master's degrees in 88, and doctoral degrees in 32. As of fall semester 2020, BYU has 33,511 daytime students, including 30,745 undergraduate students and 2,766 graduate students. The Northwest Association of Secondary and Higher Schools (predecessor to NWCCU) first accredited the university in 1923. (Eligibility Requirements 1, 2, 3)

The university engages in regular, systematic, participatory, self-reflective, and evidence-based assessment to determine the extent to which it achieves its mission and core themes. It uses the assessment results to direct improvement efforts. The university uses the following as principal assessment measures: (Eligibility Requirement 4)

Core themes matrix of achievement. The university's four core themes are the [aims of a BYU education](#): (1) spiritually strengthening, (2) intellectually enlarging, and (3) character building, leading to (4) lifelong learning and service. Each core theme has specific objectives and associated indicators. Annually, each indicator receives a measurement of excellent, good, fair, or poor (range 1–4) based on the average of the academic department's ratings of its program learning outcomes and other university-level data. The Office of Institutional Assessment and Analysis converts those data to a four-point scale. It then aggregates the data to the university level by averaging the ratings for all the learning outcomes linked to a core theme objective.

Annually, the university's [President's Council](#) reviews the matrix and determines quality, effectiveness, and mission fulfillment. The matrix is distributed to deans, directors, and department chairs. The matrix is also presented to and discussed with the [University Curriculum Council](#). The university posts [annual conclusions](#) on the university's website.

Learning outcomes. Each academic unit links each program learning outcome to one or more of the university's core theme objectives. Annually, the unit reviews the data and makes conclusions about student learning. Based on the findings, the unit rates the learning outcome achievement as excellent, good, fair, or poor. The unit posts that information on the [learning outcomes](#) website.

University strategic objectives indicators. The university has three [strategic objectives](#) for 2020–2025. Each objective includes specific actions and indicators to measure success.

Unit annual strategic resource planning reports. Academic unit and academic support unit leadership report their accomplishments for the previous year and plans for the upcoming year during the annual strategic resource planning process. University leadership asks units to align their strategic plans with the university's strategic priorities.

Academic unit and academic support unit reviews. The university reviews each academic unit and academic support unit every seven years. Each unit prepares a self-study report that is participatory and self-reflective. Committees of faculty members conduct the academic unit reviews, and committees of administrative and staff employees conduct the academic support unit reviews. Both processes include two subject-matter expert reviewers from outside the university.

Standard Two: Governance, Resources, and Capacity

Governance

(Eligibility Requirements 9, 10, 11)

Standard 2.A.1 The institution demonstrates an effective governance structure, with a board(s) or other governing body(ies) composed predominantly of members with no contractual, employment relationship, or personal financial interest with the institution. Such members shall also possess clearly defined authority, roles, and responsibilities. Institutions that are part of a complex system with multiple boards, a centralized board, or related entities shall have, with respect to such boards, written and clearly defined contractual authority, roles, and responsibilities for all entities. In addition, authority and responsibility between the system and the institution is clearly delineated in a written contract, described on its website and in its public documents, and provides the NWCCU accredited institution with sufficient autonomy to fulfill its mission.

BYU is supported by and affiliated with the Church. Education is the university's primary purpose, and it operates as an academic institution with appropriate autonomy. BYU has an effective governance structure with clearly defined authority, roles, and responsibilities. Nine general authorities and officers of the Church comprise the [board of trustees](#) (board) who provide broad direction and oversight (see [Governance of Brigham Young University Policy](#)). None of them has a contractual, employment, or financial interest in the university. The board meets monthly except for July. Board member [biographical information](#) is available in the appendix.

The board acts only as a committee of the whole; no member or subcommittee of the board acts on behalf of the board except by the governing board's formal delegation of authority. The board delegates authority and responsibility to the university president to implement and administer board-approved policies related to its operation. The [CES Board Approval Process document](#) describes actions or decisions that require board approval. The [Amended and Restated Bylaws of Brigham Young University](#) describe the board's authority and structure.

The university is not part of a complex system. Even though BYU, BYU–Hawaii, BYU–Idaho, and Ensign College coordinate through the [Church Educational System](#), these four schools are not legally or operationally a system. Each school is a distinct nonprofit organization with its own officers, assets and liabilities, students, and faculty. Each school also has its own separate and distinct mission.

Standard 2.A.2 The institution has an effective system of leadership, staffed by qualified administrators with appropriate levels of authority, responsibility, and accountability who are charged with planning, organizing, and managing the institution and assessing its achievements and effectiveness.

An 11-person [President's Council](#), composed of the president, vice presidents, and assistants to the president, lead the university:

- President: [Kevin J Worthen](#)
- Academic vice president: [Shane Reese](#)

- Administration vice president and chief financial officer: [Steve Hafen](#)
- Advancement vice president: [Keith Vorkink](#)
- Information technology vice president and chief information officer: [Tracy Flinders](#)
- International vice president: [Sandra Rogers](#)
- Student life vice president: [Julie Franklin](#)
- Assistant to the president, general counsel, and secretary: [Steve Sandberg](#)
- Assistant to the president for university communications: [Carri Jenkins](#)
- Assistant to the president for assessment and planning: [Rosemary Thackeray](#)
- Assistant to the president for student success and inclusion: [Vernon Heperi](#)

BYU's [academic units](#) include 10 colleges; Religious Education; Continuing Education; the Harold B. Lee Library; Undergraduate Education; the Office of Graduate Studies; the David M. Kennedy Center for International Studies; 58 academic departments; several university-wide centers, or institutes; and four museums. Deans, department chairs, or directors lead academic units and the Harold B. Lee Library. Directors lead centers and institutes and academic support units. Administrators have appropriate educational preparation and experience and have been selected through careful and deliberative processes. The [university organizational chart](#) (two levels deep) is available in the appendix. The undergraduate catalog lists all [university administrators](#), including deans, department chairs, and directors.

Members of the President's Council supervise all units. Each member meets regularly with leaders in their area. The university holds a university conference each August for all employees. Each April, the President's Leadership Summit provides communication with and direction to campus leaders from the president. A monthly [Dean's Council](#) meeting is held for all academic unit deans, the academic vice president, associate academic vice presidents, and the president. The Office of Assessment and Planning formally reviews all academic departments and academic support units every seven years to assess their effectiveness and provide recommendations for improvement (for more information, see <https://assessmentandplanning.byu.edu/academic-unit-reviews> and <https://assessmentandplanning.byu.edu/academic-support-unit-reviews>).

Standard 2.A.3 The institution employs an appropriately qualified chief executive officer with full-time responsibility to the institution. The chief executive may serve as an ex officio member of the governing board(s) but may not serve as its chair.

The university president, Kevin J Worthen, is an appropriately qualified chief executive officer. He has served as the university's advancement vice president and as dean and associate dean of the J. Reuben Clark Law School, where he is a Hugh W. Colton Professor of Law. He holds an AS degree from the College of Eastern Utah and BA and JD degrees from BYU. He clerked for Justice Byron R. White of the U.S. Supreme Court and Judge Malcolm R. Wilkey of the U.S. Court of Appeals for the DC Circuit, and he practiced law in Phoenix, Arizona. He was a Fulbright Scholar at the University of Chile Law School in Santiago, Chile. He has served as chair of the Membership Review Committee of the Association of American Law Schools and as chair and vice chair of the Utah State Constitutional Revision Commission. He is the author of

numerous scholarly publications. President Worthen has full-time responsibility for the university. He is not a member of the board.

Standard 2.A.4 The institution's decision-making structures and processes, which are documented and publicly available, must include provisions for the consideration of the views of faculty, staff, administrators, and students on matters in which each has a direct and reasonable interest.

The President's Council is the primary decision-making body for the university. It manages daily operations and generally meets weekly, except for in July.

The [Policy on University Policies](#), which is available to all BYU community members, details the university policy-making process. [This flowchart](#) illustrates the process. Policy owners, along with the Integrity and Compliance Office, “*identify areas, groups, and individuals within the campus community that have a direct and reasonable interest in reviewing and commenting on the policy, policy changes, or termination.*” The university neither creates nor revises policies without considering stakeholder feedback. Critical review bodies include the [Faculty Advisory Council](#), [Administrative Advisory Council](#), and [Student Advisory Council](#). These councils represent and communicate faculty, administrative and staff employee, and student views to university administration. The Integrity and Compliance Office may make nonmaterial changes such as correcting typographic errors or updating faculty information without going through the approval process.

Other decision-making processes also make provision for the consideration of the views of faculty, staff, administrators, and students on matters in which they have a direct and reasonable interest. The university has numerous committees and councils at the university, college, department, and academic support unit levels that address a wide variety of issues including faculty, administrative and staff employees, and students. Many colleges and degree programs also have student advisory committees. A list of university-level committees and councils is available at committee.byu.edu. Listed committees and their compositions have been approved by the President's Council, as outlined in the [University Committees Policy](#).

The [Faculty Hiring Policy](#) and [Rank and Status Policy](#) are examples of key decision-making processes. Hiring decisions for full-time faculty members must be approved by at least a majority vote of the department and approved by the department chair, dean, academic vice president, president, and board. Decisions regarding continuing faculty status (CFS; BYU's term for tenure) and rank advancement involve recommendations from the department review committee, voting faculty members in the department who have equal or higher rank plus CFS, department chair, college review committee, dean, [Faculty Council on Rank and Status—Professorial](#) or [Faculty Council on Rank and Status—Professional](#), and academic vice president. The president makes the final decision on rank and status advancement.

The [Budget Policy](#) (see discussion of Standard 2.E.3) and the [Physical Facilities Policy](#) (see discussion of Standard 2.I.1) are other examples of documented decision-making processes.

Academic Freedom

(Eligibility Requirement 16)

Standard 2.B.1 Within the context of its mission and values, the institution adheres to the principles of academic freedom and independence that protect its constituencies from inappropriate internal and external influences, pressures, and harassment.

The university has adopted and adheres to its [Academic Freedom Policy](#), which was approved by the board and is publicly available on the University Policies website. The policy addresses individual and institutional academic freedom and responsibility and protects the university's constituencies from inappropriate internal and external influences, pressures, and harassment. The associate academic vice president for faculty relations discusses the Academic Freedom Policy with each prospective faculty member during their interview.

Standard 2.B.2. Within the context of its mission and values, the institution defines and actively promotes an environment that supports independent thought in the pursuit and dissemination of knowledge. It affirms the freedom of faculty, staff, administrators, and students to share their scholarship and reasoned conclusions with others. While the institution and individuals within the institution may hold to a particular personal, social, or religious philosophy, its constituencies are intellectually free to test and examine all knowledge and theories, thought, reason, and perspectives of truth. Individuals within the institution allow others the freedom to do the same.

Within the context of its mission and values, and consistent with its [Academic Freedom Policy](#), the university defines and promotes an environment that supports independent thought in the pursuit and dissemination of knowledge. Individuals within the university are free and encouraged to examine thought, reason, and theories and perspectives of truth, including teaching and studying core theories and methodologies in the academic disciplines. Faculty and students publish in the leading journals in their fields, give presentations at national and international conferences, and serve in leadership positions in national and international academic and professional associations. The university sponsors university-wide [forum addresses](#) by prominent academic scholars and other individuals with broad political, educational, and social experience. It also contributes nearly \$310,000 annually to support colleges, departments, and centers in hosting academic conferences and national and international speakers, exposing faculty and students to a wide variety of viewpoints and enriching the intellectual environment.

As the university's mission is to provide education in an environment consistent with the Church's principles, its Academic Freedom Policy protects both individual academic freedom and the university's institutional academic freedom to pursue its mission. Consistent with Standard 2.B.2, which refers to academic freedom "[w]ithin the context of [the institution's] mission and values," the Academic Freedom Policy identifies limitations that protect the university's religious mission.

Policies and Procedures

(Eligibility Requirements 7, 17, 18)

The institution develops and widely publishes, including on its website, policies and procedures that are clearly stated, easily understandable, readily accessible, and administered in a fair, equitable, and timely manner.

Standard 2.C.1 The institution's transfer-of-credit policy maintains the integrity of its programs and facilitates the efficient mobility of students desirous of the completion of their educational credits, credentials, or degrees in furtherance of their academic goals.

The Registrar's Office determines the transferability of undergraduate credit. The [undergraduate catalog](#) and the [Enrollment Services](#) website prominently display the policies and procedures for evaluating credit transfer.

Students can fulfill [BYU general education requirements](#) at another college or university by completing the related courses or earning a qualifying associate of arts or sciences degree. The university publishes [transfer guides](#), which are institution-specific listings of transfer courses from primary feeder schools that meet BYU's general education requirements. The Registrar's Office annually updates the transfer guides. The student's major advisement center evaluates the equivalency of major requirements.

In evaluating transfer credits to fulfill degree requirements, the university ensures that credits are comparable to its courses. The university maintains articulation agreement integrity through regular collaborations between the university and those institutions with which the university retains formal agreements. For graduate students, the [program of study plan](#) includes a policy regarding the transfer of graduate credit (see section three).

The Registrar's Office sends a notification directing the student to [MyMAP](#), a student academic planning tool, once the university accepts the student for admission. When the university accepts transfer credit for a student, and there is an associated equivalency to BYU coursework, the credit will automatically show on the student's MyMAP "Plan Courses" tab and progress report (e.g., degree audit).

If an applicant or student requires additional assistance in clarifying information regarding the transferability of coursework from another institution, full-time advisors in advisement centers across campus or within enrollment services are available to conduct personal interview sessions to explain the university policies.

Standard 2.C.2 The institution's policies and procedures related to student rights and responsibilities should include, but not be limited to, provisions related to academic honesty, conduct, appeals, grievances, and accommodations for persons with disabilities.

BYU has established policies and procedures related to student rights and responsibilities. Policies and procedures are available to students on the [University Policies](#) website, in the [undergraduate catalog](#), and in the [Graduate Studies Policy Handbook](#). Official university policies

are approved by the President's Council and maintained by the Integrity and Compliance Office (see discussion of Standard 2.A.4 above).

Academic Honesty

The [Academic Honesty Policy](#) directs that students should be honest and avoid plagiarism, falsification, cheating, and other academic misconduct. The policy explains each of these terms in detail. The policy also lists applicable actions for the faculty member, department, college, or university. Faculty members have the primary responsibility for dealing with infractions.

Conduct

Students must commit to live the [Church Educational System Honor Code](#) at the time of application, and they renew this commitment annually. By being admitted, or continuing course enrollment, each member of the BYU community voluntarily commits to observe these standards regarding honor, integrity, morality, and respectful consideration of others.

Appeals

There are seven categories of [academic standing](#). The university expects students to resolve their academic success issues by working with counselors in the [Academic Support Office](#) and in their college advisement center, faculty, department mentors, and other resources. The [undergraduate catalog](#) and the University Policies website include the [academic standards procedures](#), including what is required to return to acceptable academic status and be readmitted to the university.

The [Enrollment Services](#) website and the [undergraduate catalog](#) contain the process for registration and academic records petitions.

The [Graduate Studies Policy Handbook](#) includes processes for admission (page 8), matriculation (page 19), student progress (page 22), termination of graduate status (page 30), and the academic grievance policy (page 53).

Grievances

The [Student Academic Grievance Policy](#) is available on the University Policies website. A student who “*believes her/his academic work or conduct has been unfairly or inadequately evaluated by the faculty*” has the right to have the work reviewed and evaluated by a panel appointed by the respective college dean or graduate school. The policy documents the student and university responsibilities in each case and outlines how grievances are presented and resolved.

Accommodations for Persons with Disabilities

The [Accommodation of Persons with Disabilities at BYU Policy](#) states, “*BYU is committed to providing a working and learning atmosphere which reasonably accommodates persons with disabilities who are otherwise qualified to participate in BYU's programs and activities. It is the policy of BYU to prohibit unlawful discrimination against persons with disabilities and to provide reasonable assistance in bringing them into the mainstream of campus life. To accomplish this, BYU complies with all applicable disability laws.*”

The [Accommodation of Persons with Disabilities at BYU Procedures](#) outlines the university's responsibilities under Section 504 of the Rehabilitation Act and the Americans with

Disabilities Act, funding for reasonable accommodation, policies regarding service and assistance animals, student disability grievance procedures, personnel disability grievance procedures, and parking accommodations. The [Animals on Campus Policy](#) outlines when animals are permitted on campus and in on-campus housing to accompany students and individuals with disabilities. The [University Accessibility Center](#) (UAC) is responsible for assisting students with the disability accommodation process. The UAC also provides students with information regarding rights and services, referrals to appropriate internal and external agencies, and consultation or intervention with faculty members. A licensed clinical psychologist with clinical training directs the UAC, and a university attorney advises him or her.

Additional Policies

Additional student policies and procedures found in the undergraduate catalog include the following: [admissions](#), [dates and deadlines](#), [final examination policy](#), [financial aid and scholarships](#), [housing](#), [nondiscrimination](#), [grading and records](#), [graduation](#), [petitions](#), [registration](#), and [tuition and fees](#). The University Policies website includes the [Internship Policy](#).

The student [Discontinuance Policy](#) is available to students in the undergraduate catalog. In the case of specific program removal, the college that supports the program has the responsibility to publish program requirements, penalties, and grievance policies in its materials and to inform students of available appeal processes. The undergraduate catalog contains a statement regarding the university [continuation or termination of academic or educational programs](#).

Standard 2.C.3 The institution's academic and administrative policies and procedures should include admission and placement policies that guide the enrollment of students in courses and programs through an evaluation of prerequisite knowledge, skills, and abilities to ensure a reasonable probability of student success at a level commensurate with the institution's expectations. Such policies should also include a policy regarding continuation in and termination from its educational programs, including its appeal and re-admission policy.

Admission Policies

BYU focuses on recruiting and admitting students whose preparation, educational aspirations, and personal goals are aligned with the [mission](#) and [aims of a BYU education](#). The university's recruiting efforts are focused on finding and encouraging applicants who would both benefit from and contribute to the BYU experience. Policies and procedures for admissions are located in the [undergraduate catalog](#) and on the [University Policies](#) website. Each year, a copy of the [admission's website is archived](#), along with the university catalog, to reference procedures for that year. The Admissions Office began making holistic admission decisions in 2018. The university is currently reviewing admission policies to add clarity and better reflect current practices. The university will finalize the policies in the near future.

Each applicant's holistic review includes reviewing their academic achievements, standardized test scores, and personal essays. Due to the limited availability of ACT and SAT exam options during the COVID-19 global pandemic, the university does not require most applicants for spring, summer, fall 2021, and winter 2022 to submit a standardized test score to be considered for admission. The exception is when the applicant has insufficient credit hours of high school work. An applicant may

choose to submit a test score if they feel it would strengthen their application; however, applicants who do not submit a test score will not be at a disadvantage.

Appeals, Readmissions, and Deferrals

The [Academic Standards Procedures](#) describe the process for appeals and readmissions. Each year thousands of BYU students defer admission to serve a mission for the Church. The university's policies regarding deferring enrollment or leaving school, including missionary deferments, are described in the [Leave of Absence](#) section on the Enrollment Services website (see section three) and the university [Admission Policy](#). According to published procedural guidelines, former graduate students who started but did not complete their course of study may submit an [Application to Resume Graduate Study](#). The student's prior coursework may be reevaluated and degree requirements modified to reflect current expectations.

Placement Policies

The university does not have placement policies that guide the enrollment of students in courses and programs upon admission. Many university courses require prerequisite courses that are either enforced (i.e., registration is blocked unless the prerequisite has been satisfied) or recommended for students to complete. A program may not require more than three enforced prerequisites to assure students' timely progression through their major curriculum. The [University Curriculum Council](#) approves all prerequisites. Programs are currently auditing their prerequisites; many are eliminating all but the essential, enforced prerequisites. These curricular changes have been and will continue to be encouraged and approved by the University Curriculum Council.

The undergraduate catalog contains major-specific guidance about enrollment and admissions requirements, where applicable. For example, programs that require an application to the major (i.e., [limited enrollment programs](#)) often have pre-major programs that include a bundle of no more than four courses that students must complete before applying and being admitted. These pre-majors exist to assess if students have acquired the knowledge, skills, and dispositions necessary for success before matriculation in the program. Examples of limited enrollment program requirements include all majors in the Marriott School of Management (e.g., [accounting](#)), nearly all Fine Arts majors (e.g., [vocal performance](#)), teaching majors (e.g., [elementary education](#), requirement 1), and the [Spanish translation BA](#) (requirement 2).

Standard 2.C.4 The institution's policies and procedures regarding the secure retention of student records must include provisions related to confidentiality, release, and the reliable backup and retrievability of such records.

The university posts official Family Educational Rights and Privacy Act (FERPA)–compliant policies and procedures on the [Registrar's](#) website. The university [Information and Records Retention Policy](#) describes provisions related to retention, access, disposal, and records archival. The [Information Use, Privacy, and Security Policy](#) describes university standards and practices for protecting institutional information according to legal, contractual, and ethical requirements for information security and use. The university maintains academic records in the following manner:

- Paper copy records. The university maintains in a secure vault many original documents from the mid-1930s to 1979. The university archives in the [Harold B. Lee](#)

[Library](#) preserve ledger books used before the mid-1930s. The university maintains paper copy transcripts for all students who completed a course between 1875 and 1979, when they switched to an electronic format.

- Electronic records. All official transcripts issued by the university are complete and represent all course credits earned at BYU. The university data center houses all electronic transcript data.

Access to electronic versions of transcripts and other student education records is limited to those university employees with a legitimate need to know. Following internal procedures, before employees receive access to student information within the electronic student information system, they must contact their department [information partner](#). Information partners are departmental employees who work closely with the Registrar's Office to assure compliance with FERPA requirements. The requesting employee must participate in an online [FERPA training experience](#) (see section two labeled "Training") and sign an agreement certifying an understanding of the FERPA regulations and indicating a willingness to comply. The information partner then determines what information access is necessary to meet the need(s). The information partner submits to the Registrar's Office an approval request for the appropriate access, along with the agreement. The Registrar's Office reviews the request and either approves it or seeks further information to ensure it gives access only when there is a legitimate educational interest.

A university employee [requesting other academic-related data](#) must identify what information they are requesting and the reason they need the information. A registrar reviews these requests for FERPA compliance and decides to approve or deny accordingly.

Individuals who are not university employees and request access to student education records must have formal authorization from the student. The request must fit within one of the allowable FERPA exceptions for the university to release any data.

Institutional Integrity

(Eligibility Requirements 7, 8, 18)

Standard 2.D.1 The institution represents itself clearly, accurately, and consistently through its announcements, statements, and publications. It communicates its academic intentions, programs, and services to students and to the public and demonstrates that its academic programs can be completed in a timely fashion. It regularly reviews its publications to ensure accuracy and integrity in all representations about its mission, programs, and services.

The [university's](#) website is the primary source of information about the institution. University Communications partners with the Office of Information Technology to provide [website management and hosting services](#) designed to improve and simplify campus web publishing. These two units are responsible for establishing [web accessibility guidelines](#) based on the [Web Accessibility Policy](#), providing information about and training for the guidelines, and conducting regular content audits to ensure that web content meets the guidelines.

University Communications issues regular announcements, statements, and publications to inform the university community and the public about the institution. This communication

includes regular social media posts, a daily email to employees, and bimonthly (or more frequent) emails to students. Before publication or email distribution, multiple individuals review each communication to ensure clarity, accuracy, and consistency.

The Admissions Office uses multiple channels to communicate with prospective students and their families, including the [Admissions Office](#) website, the [Admission Guide 2021](#), [Instagram](#), and [Facebook](#). The Admissions Office regularly reviews its websites, publications, and social media to ensure alignment with the mission and aims of a BYU education.

The [undergraduate catalog](#) and the [graduate studies catalog](#) are the definitive guides to programs, courses, and policies and procedures. These also state the [mission of BYU](#), as well as the [aims of a BYU education](#). The catalogs are reviewed and updated annually. The university follows consistent procedures to ensure that stakeholders can modify or affirm the accuracy of catalog information.

[Major academic plans \(MAPs\)](#) outline how a student can complete each academic program on time. Each undergraduate major provides a MAP that contains information on courses that the student must complete before graduation and a suggested course sequence. MAPs are reviewed and updated annually and are available online to any current or prospective student. The [university's six-year graduation rate is 83 percent](#) (see retention and graduation), compared to [the national average of 60 percent](#) (see page 5).

The university lists its accreditation by the Northwest Commission on Colleges and Universities and specialized accreditors in the [undergraduate catalog](#). The university accurately represents its current accreditation status and avoids speculation on future accreditation actions or status. It uses the terms *accreditation* and *candidacy* (and related terms) only when a legitimate accrediting agency confers such status.

Standard 2.D.2 The institution advocates, subscribes to, and exemplifies high ethical standards in its management and operations, including in its dealings with the public, NWCCU, and external organizations, including the fair and equitable treatment of students, faculty, administrators, staff, and other stakeholders and constituencies. The institution ensures that complaints and grievances are addressed in a fair, equitable, and timely manner.

The university is committed to high ethical standards in its conduct and relationships with the university community and others. Since 2005, the university has had a formal compliance program and university compliance office to coordinate compliance activities centrally. In 2019, the university created the Integrity and Compliance Office, which “*is designed to promote a culture of integrity and compliance at BYU*” and “*helps ensure that BYU activities adhere to the highest legal, professional, and ethical standards*” ([Integrity and Compliance Office Charter](#)). All employees and students agree to observe the [Church Educational System Honor Code](#), which requires them to, among other things, be honest, obey the law and all campus policies, and respect others. Additionally, the [Personnel Conduct Policy](#) provided to employees upon hire in the [new employee orientation handbook](#) (see page 2) is the code of ethics that governs employee conduct and sets high ethical behavior standards. The [Conflict of Interest and Conflict of Time Commitment Policy](#) and the [Financial Conflict of Interest in Sponsored Research Policy](#) apply to conflicts of interest. Fundraising practices follow the professional fundraising standards established by the National Association of Fundraising Professionals.

In September 2020, [the university announced](#) the creation of the David E. and Verla A. Sorensen Center for Moral and Ethical Leadership. Its mission is to “*encourage ethical and moral behavior by supporting the development of moral and ethical leaders through teaching, scholarship and policy engagement.*”

The university strives to ensure fair and equitable treatment for all. Also, it seeks to address complaints and grievances in an appropriate and timely manner. The Integrity and Compliance Office oversees and monitors the university’s compliance and ethics program, including administering its confidential [compliance hotline](#) (per [published compliance hotline procedures](#)). The hotline is available to all students, employees, and third parties. The Integrity and Compliance Office also manages the university policy-making process. Policies that address the handling of complaints and grievances include the following:

- [Academic Standards Procedures](#)
- [Accommodation of Persons with Disabilities at BYU Procedures](#)
- [Administrative and Staff Employee Grievance Policy](#)
- [Discrimination Complaint Procedures](#)
- [Disruptive Student Conduct Procedures](#)
- [Faculty Discipline and Termination Policy](#)
- [Faculty Grievance Policy](#)
- [Honor Code Investigation and Administrative Review Process](#)
- [Personnel Conduct Policy](#)
- [Rank and Status Policy](#)
- [Research Misconduct Policy](#)
- [Sex Offender Investigation and Review Process](#)
- [Sexual Harassment Grievance Procedures \(Title IX\)](#)
- [Sexual Harassment Grievance Procedures \(Non-Title IX Sexual Violence\)](#)
- [Sexual Harassment Policy](#)
- [Student Academic Grievance Policy](#)

Standard 2.D.3 The institution adheres to clearly defined policies that prohibit conflicts of interest on the part of members of the governing board(s), administration, faculty, and staff.

BYU’s [Conflict of Interest and Conflict of Time Commitment Policy](#) applies to all employees. The university expects all personnel to disclose any potential conflicts of interest and certify compliance with the policy each year connected with annual performance reviews. If an employee discloses a potential conflict, the employee’s supervisor must describe how the conflict will be reduced, managed, or eliminated; the supervisor documents a management plan in the online annual performance review system. The [Personnel Conduct Policy](#) reinforces and references the Conflict of Interest and Conflict of Time Commitment Policy and other policies that address conflicts of interest (e.g., [Nepotism Policy](#)). The university also has a [Financial Conflict of Interest in Sponsored Research Policy](#) and a [conflict of interest statement for procurement](#). Also, the board has adopted a [Conflict of Interest Policy](#) for its board members.

Financial Resources

(Eligibility Requirements 19, 20)

Standard 2.E.1 The institution utilizes relevant audit processes and regular reporting to demonstrate financial stability, including sufficient cash flow and reserves to achieve and fulfill its mission.

The board has assigned the Church Audit Committee (Audit Committee) to oversee the university's accounting and financial reporting processes, independent audits of its financial statements, and internal auditing activities. The Audit Committee engages the independent accounting firm of Deloitte & Touche LLP to audit the university's financial statements in accordance with generally accepted auditing standards. With approval from the board, the university engages the Church Auditing Department (CAD) to provide its internal auditing services, including internal audits of university departments. The planning and activities of the CAD are coordinated and guided through an appointed senior-level management representative, currently the director of the university's Integrity and Compliance Office. With guidance from the university, CAD auditors use both a rotating and judgmental approach to establish an annual audit plan to select departments to audit (see [Church audit plan dates 2020](#) and [2021](#)). Audit results are reported to the appropriate level of university administrative personnel and the Audit Committee.

The university provides accurate and timely financial reporting to campus units and university management. Updated financial statements are available on the third business day of each month. Managers can generate other reports on demand that give managers access to current financial and budget information.

The university is financially stable, with [assets seven times greater than liabilities](#) as of December 2019. Key components of revenue come from stable sources that are predictable and consistent from year to year. Revenues for 2019, exclusive of auxiliary businesses and investment income, included 65 percent provided by the Church, 21 percent by student tuition, 11 percent by contributions and sponsored research grants, and 3 percent by other revenue.

The university's financial assets are highly liquid, with \$___ available as of December 2019 to meet cash needs for general expenditures within one year. The university's investments exceeded \$___ as of December 2019 and were predominantly invested in marketable securities and debt instruments. Liquidation of investments may occur once monthly to address cash flow needs. Skilled professionals, [Ensign Peak Advisors](#), manage university investments. The university does not utilize external debt financing. In addition to modest vendor payables, debt is limited to loans extended from the Church at favorable interest rates to construct or renovate student housing buildings (see [Student Housing Loans](#)).

The following pieces of financial resources evidence are provided:

1. [Latest external financial audit, including the management letter](#)
2. [Audited financial statements, including statements of cash flow](#)
3. [Tuition and fees, educational and auxiliary revenue](#)
4. [Significant contracts and grants](#)
5. [Endowment report](#)
6. [Giving report](#)
7. [Investment revenue](#)

Standard 2.E.2 Financial planning includes meaningful opportunities for participation by stakeholders and ensures appropriate available funds, realistic development of financial resources, and comprehensive risk management to ensure short term financial health and long-term financial stability and sustainability.

The university has financial stability with sufficient cash flow and reserves to support its programs and services. Financial planning reflects available funds, realistic development of financial resources, and appropriate risk management to ensure short-term solvency and long-term financial sustainability. Academic revenues come primarily from Church appropriations and student tuition, which have a high degree of predictability.

Governed by policy, the financial planning and budgeting processes are well established and well understood by the board and university personnel responsible for budget development. These processes meet the board representatives' needs and instructions regarding the timeline, development, submission, and annual budget approval.

The university [Investment Committee](#) provides investment oversight, establishes and monitors investment strategies, and sets asset allocation guidelines. Investment management is governed by the [Investment Policy and Investment Committee Charter](#), which addresses the investment pool, including endowment investment and spending, and the investment of the available cash pool (claim on cash).

The university treasurer, who has day-to-day cash flow management responsibility, keeps monthly changes to investments within approved guidelines, and the committee reviews those decisions quarterly. [Ensign Peak Advisors](#) make specific investment choices within fund categories. Regular internal and independent audit oversight ensures that endowment management and investment comply with university policy and legal requirements.

Throughout the year, the Church Gift Review Committee, with representation from the university's advancement vice president, considers university donors' contributions. The committee's purpose is to assure the alignment of donor's desires to support programs with the long-term implications of accepting such support. Because the university's well-understood mission is in close alignment with most potential donor's wishes, conflicts in this area are infrequent and quickly resolved.

The university accomplishes financial planning through campus leaders' extensive involvement in the annual strategic resource planning process. This process begins with academic unit and academic support unit leadership outlining annual plan priorities and objectives. The President's Council reviews unit requests for resources after evaluating unit priorities and internal reallocation opportunities to ensure requests are aligned with the board's and administration's objectives. The university president then proposes the budget to the Commissioner of Education and the board. Next, the Council on the Disposition of Tithes and then the Church Budget and Appropriations Committee approve the budget. Upon receiving final approval, the university Budget Office notifies campus units of its budget for the coming year. The Budget Office compares approved budgets, including any revisions subsequently approved, to actual operating results quarterly using the university accounting system's financial reporting.

The university actively considers risks and design practices and protections to support its ongoing viability. The [Executive Risk Management and Compliance Committee](#) provides oversight and policy direction to ensure university compliance programs' effectiveness. It is

composed of senior university personnel whose responsibility is to coordinate compliance programs on the campus. Additionally, the university utilizes Church insurance programs to indemnify losses. The ongoing physical facilities safety inspections, [emergency operations plans](#), and [business continuity planning](#) also provide careful evaluation and mitigation of potential risks.

Standard 2.E.3 Financial resources are managed transparently in accordance with policies approved by the institution's governing board(s), governance structure(s), and applicable state and federal laws.

Policies for financial and administrative processes include the [Budget Policy](#), [Financial Accounting Policy](#), [Fraud Policy](#), [Cash and Cash Equivalents Policy](#), [Payroll Policy](#), [Purchasing Policy](#), [Travel Policy](#), and [University Fund Raising Policy](#) (currently undergoing revision to incorporate more recent guidelines [in the appendix](#)). The Budget Policy includes financial planning principles, budget approval and monitoring, debt management, inter-fund borrowing, and reserve carryovers. Policies and procedures surrounding budgeting, investment management, and other financial policies are also well developed and are consistent with policy direction and principles provided by the board. Links to other financial-related procedures are in the appendix: [cash equivalents](#), [payroll](#), and [purchasing-furnishings](#).

A qualified administration vice president and chief financial officer directs administrative processes and leads a campus-wide business and financial organization that integrates the elements of both a centralized and decentralized structure. Each college dean or division director is supported by a financial controller who, in turn, provides direction to department personnel responsible for unit finances. Centralized accounting management is led by qualified financial directors who report to the assistant administration vice president for finance. This financial leadership structure increases consistency and coordination throughout campus administrative functions.

Regular meetings are held with campus financial personnel to develop strategy, implement procedures, provide training, and strengthen compliance with processes and controls. Extensive in-person and online training that improves skills and increases awareness facilitates the university's ability to comply with financial policies and procedures. Online documentation of significant [internal control processes](#) has been completed and regularly updated to provide consistency and process continuity.

Responsibility for implementing compliance policies, procedures, and practices resides with unit-level management. Responsibility for complying with federal and state laws and regulations and university policies is distributed across campus—unit experts or compliance liaisons and compliance committees coordinate university compliance issues. Since 2005, the university has had a formal compliance program and university compliance office to coordinate compliance activities centrally. BYU's Integrity and Compliance Office was created as a standalone office in 2019 to provide further oversight, review regulatory risk, and assist management in facilitating institutional compliance.

Human Resources

(Eligibility Requirement 12)

Standard 2.F.1 Faculty, staff, and administrators are apprised of their conditions of employment, work assignments, rights and responsibilities, and criteria and procedures for evaluation, retention, promotion, and termination.

All faculty, staff, and administrative employee applicants are apprised of general conditions of employment as they begin the online application process through [YJobs](#). These conditions include agreeing to a background check and an ecclesiastical clearance, meeting position qualifications, abiding by the [Church Educational System Honor Code](#), [Dress and Grooming Standards](#), and [Personnel Conduct Policy](#).

Faculty

The [Faculty Hiring Policy](#) and the university [Rank and Status Policy](#) guide the CFS employment process. These policies define initial rank, initial contract terms, credit for previous experience, CFS review timetables, retention criteria, and other CFS-track employment conditions. Once faculty are approved for hire, faculty candidates are provided offer letters with the conditions of employment.

General performance expectations for teaching, scholarship or creative work, and citizenship and criteria and procedures for conducting CFS and rank advancement reviews and annual evaluations are outlined in the university Rank and Status Policy. College and department rank and status expectations documents detail discipline-specific faculty expectations.

The university Rank and Status Policy, the [Faculty Grievance Policy](#), and the [Faculty Discipline and Termination Policy](#), respectively, outline faculty and administrator's rights and responsibilities in connection with rank and status appeals, faculty grievances, and faculty discipline and termination proceedings.

Non-CFS-track faculty appointments (e.g., adjunct, affiliate, visiting faculty) are governed by the [Non-CFS Track Academic Appointments Policy](#), which outlines position titles, general degree qualifications, length of appointments, benefits, and so forth. The [Adjunct Faculty Policy](#) specifies teaching load and hour limits for part-time, non-CFS-track faculty.

Staff and Administrators

Several policies outline the conditions of employment for administrative and staff employees. These include the [Administrative and Staff Employment Policy](#), [Administrative and Staff Employee Discipline Policy](#), [Administrative and Staff Employee Grievance Policy](#), [Administrative and Staff Employee Leaves Policy](#), [Holidays Policy](#), [Administrative and Staff Employee Discipline Procedures](#), and [Employee Termination Policy](#).

During new employee orientation, employees receive the [new employee orientation handbook](#), a copy of the Personnel Conduct Policy, and information about accessing university policies and procedures online. A representative of the Equal Opportunity Office or Employee Relations also provides an overview of employee rights, responsibilities, and termination criteria. Also, the Equal Opportunity Office holds regular training for employees on sexual harassment, nondiscrimination, and other topics to promote a respectful campus for all.

The university maintains job descriptions for all full-time staff and administrative employees. Supervisors are expected to meet with new and existing employees to review their job descriptions, cover work assignments and responsibilities, and update job descriptions when work assignments change.

Supervisors meet annually with each employee to review and evaluate the employee's job performance. The [Performance and Development Plan \(PDP\) Procedures](#) outline the expectations for line management to follow when reviewing an administrative or staff employee's performance. The supervisor uses the PDP tool to evaluate and document performance and to identify ways to improve and set expectations for ongoing development and retention. During an annual performance review, the supervisor and employee review the [Conflict of Interest and Conflict of Time Commitment Policy](#), disclose any potential conflict of time and/or interest using the [Conflict of Time and Conflict of Interest disclosures](#) document, and create an action plan for managing, reducing, or eliminating these conflicts.

Standard 2.F.2 The institution provides faculty, staff, and administrators with appropriate opportunities and support for professional growth and development.

Faculty

The university places a high priority on professional development. The [Faculty Center](#) conducts an intensive 18-month faculty development series for new faculty. This program includes (1) a semester-long orientation, (2) formal mentoring by senior faculty (including training for both the new faculty and their mentor), (3) a faculty development plan, (4) a two-week new faculty development seminar, and (4) funded support for new faculty to engage in projects to help improve teaching, scholarship, and citizenship skills.

The Faculty Center provides ongoing professional development seminars for faculty members, focusing on teaching, writing, grant procurement, faculty governance, and topics such as time and stress management, planning for retirement, and financial planning. The [Center for Teaching and Learning](#) provides online and in-person consultant resources to assist faculty members in course development, teaching evaluation, and instructional design using multimedia technology. Other on-campus offerings include the annual general education conference, Writing Across the Curriculum workshops, curriculum improvement seminars (offered by the Office of Information Technology [OIT]), and various other department and college training sessions. BYU also provides generous support for travel to professional conferences.

The university encourages faculty to take regular professional development leaves (see [Faculty Leaves Policy](#)). Objectives for this leave program are like sabbaticals at other universities. Leaves are generally available on a seven-year cycle. Faculty members submit proposals identifying specific teaching- or scholarship-improvement goals and plans for accomplishing those objectives. These proposals are reviewed and approved by department chairs, deans, the associate academic vice president for faculty development, and the university president. The university fully funds the salary and benefits during a leave of up to six months.

The [University Faculty Development Council](#), chaired by the associate academic vice president for faculty development, coordinates faculty development support. An associate dean from each college serves on the council, as do representatives from the Faculty Center. The council's purpose is to identify obstacles to excellent faculty performance, craft potential solutions, share best practices among colleges, and develop recommendations and tools that

colleges can implement. Recent council initiatives have included strengthening the annual performance review and the rank and status review processes, improving peer reviews of teaching, and increasing racial and gender equity.

Staff and Administrators

As part of the annual performance review, supervisors and employees identify a development plan. The university provides employees with multiple opportunities to achieve their development goals. As a university benefit, full-time employees may take BYU courses tuition free. There is a wide range of classroom and online training offered through Human Resource Services, in which all employees are encouraged to participate. The university has purchased a university license to LinkedIn Learning, and all employees have access to this training resource. The university has also established professional communities for the primary purpose of career development for staff and administrators. The university's [professional communities webpage](#) provides more information. Finally, the university provides funding for administrative employees to attend professional conferences and pursue professional certifications in their fields.

Standard 2.F.3 Consistent with its mission, programs, and services, the institution employs faculty, staff, and administrators sufficient in role, number, and qualifications to achieve its organizational responsibilities, educational objectives, establish and oversee academic policies, and ensure the integrity and continuity of its academic programs.

Faculty

BYU has 1,580 full-time faculty positions. As of fall semester 2020, the university has 1,475 full-time faculty, including 1,259 full-time faculty primarily assigned to instruction or research, 216 other full-time faculty (i.e., librarians, counselors, vice presidents, associate vice presidents, deans, associate deans, department chairs), and 613 adjunct faculty. Approximately 89 percent of full-time faculty primarily assigned to instruction or research have doctoral degrees. Some others have terminal degrees recognized by their respective disciplines.

At the earliest stages of hiring, the relevant academic department specifies the qualifications and level of training expected of applicants. Advertisements and on-campus interviews with the candidates include a review of qualifications, expectations, and conduct-based standards. In most cases, candidates make separate scholarship and teaching presentations while on campus that are evaluated by department peers.

The university makes a concerted effort to incrementally and strategically recruit the best-qualified faculty who can assure academic programs' integrity and continuity. While all positions are within the academic vice president's stewardship, chairs and deans are asked to justify the retention of positions in their areas when vacancies occur. To that end, colleges are encouraged to develop strategic, flexible, long-term hiring plans for replenishing empty or visiting faculty positions. The Academic Vice President's Council reviews these plans in the annual strategic resource planning process. Departments and colleges consider factors such as the number of open faculty positions, current full-time equivalents, anticipated retirements, available hiring pools of exceptional candidates, specialized curriculum needs, seasonal hiring timelines, student enrollments and initiatives, faculty workloads, scholarship emphases, department and college goals, and potential position reallocation needs within each college.

Before a position is advertised, a position-justification memo focusing on these factors must be submitted for approval by the academic vice president in consultation with the Academic Vice President's Council.

Hiring and evaluating adjunct faculty is the responsibility of departments and colleges. The [Adjunct Faculty](#) website provides adjunct faculty a comprehensive orientation to campus resources. The Faculty Center invites them to a one-day seminar each year, including a keynote address by that year's recipient of the university's Adjunct Faculty Excellence Award. The Faculty Center also invites adjunct faculty to an annual resource fair. A 2019 survey of adjunct faculty revealed that improvement was needed to orient newly hired adjuncts (some were not aware of the Adjunct Faculty website) and provide a constructive evaluation of their work. Still, adjunct faculty job satisfaction was very high (83–100 percent across colleges). This information was shared with department chairs and deans.

Staff and Administrators

As of fall semester 2020, the university employs 1,725 full-time administrators and 910 full-time staff. Part-time employees include 1,457 staff and 13,798 students. The university is an equal opportunity employer and encourages and works toward employing a diverse workforce.

The university posts position vacancies on its hiring website, [YJobs](#), and other external recruiting sites. The postings include criteria, qualifications, and procedures for selecting personnel; eligibility to apply; position title; desired beginning date; the number of positions to be filled; qualifications; essential functions; approximate starting salary range; pay level; job posting open date; and job posting close date.

The university maintains a written job description for each university position and outlines its duties, responsibilities, and authority. As jobs change, job descriptions are updated. A committee comprised of human resource professionals meets weekly to reevaluate positions with updated job descriptions that reflect responsibility and function changes.

For staff and administrators, the university frequently reviews and compares job responsibilities and compensation with the College and University Professional Association for Human Resources (CUPA-HR) Salary Surveys, the Salt Lake Area Compensation Survey, and other national surveys through Mercer, Towers Watson, Radford, and IPAS. For faculty, the university uses the Oklahoma State University Faculty Salary Survey for comparative purposes.

Standard 2.F.4 Faculty, staff, and administrators are evaluated regularly and systematically in alignment with institutional mission and goals, educational objectives, and policies and procedures. Evaluations are based on written criteria that are published, easily accessible, and clearly communicated. Evaluations are applied equitably, fairly, and consistently in relation to responsibilities and duties. Personnel are assessed for effectiveness and are provided feedback and encouragement for improvement.

Faculty

Section 3.1.4 of the university [Rank and Status Policy](#) requires that each full-time faculty member undergo an annual stewardship review and interview with their department chair. The policy specifies that these reviews “*are the primary vehicle . . . through which the performance of faculty with continuing faculty status is monitored, and through which performance expectations are communicated.*”

Most departments have annual review committees that assist in the annual review of each

faculty member. The committee submits a summary report, including recommendations, to the department chair. The committee bases their report on a review of the faculty member's teaching performance data provided in student ratings reports, faculty research or creative works productivity, and citizenship contributions as provided in the faculty profile system.

Following an interview with each faculty member, the department chair writes a letter summarizing the assessment of the faculty member's past year's performance, feedback on progress, the faculty member's goals, and any concerns. The department chair also indicates their commitment to providing reasonable resources to help the faculty member accomplish their goals. The chair reviews these letters with the deans as they discuss each faculty member. The department and college offices keep copies for administrative access as needed. The dean meets annually with the academic vice president to discuss all faculty cases in which performance is extraordinary or deficient. The dean proposes to the academic vice president merit raise recommendations for each faculty member. These raises are determined based on resource availability and department and college performance criteria.

Departments evaluate most adjunct faculty either each semester or annually. Most evaluators use student ratings, classroom visits, and/or personal interviews in the process.

The university also has a formal review process for faculty with CFS who fall short of established performance criteria (see Rank and Status Policy sections 3.1.7, 3.1.8, and 3.1.9). The process parallels post-tenure review practices at other institutions. It is based on the principle of progressive discipline and the review process's escalation over three years if the faculty member does not resolve shortcomings. This process's overall goal is remediation, but the university may terminate employment if performance remains unacceptable. The Rank and Status Policy provides that termination need not be delayed for three years if there is adequate cause. The faculty member may appeal the decision to terminate as specified in the [Faculty Discipline and Termination Policy](#).

Peer review of teaching is an essential part of the rank and status review process, and the university has undertaken an effort to strengthen it. The taskforce leading this effort recently finalized its recommendations for a new approach to peer review of teaching that will begin implementation campus-wide in 2021. Its central feature is a teaching portfolio maintained by each faculty member that focuses on (1) student learning, (2) the learning environment, and (3) processes of improvement. Reviewers will focus on those same three categories, using the teaching portfolio, student ratings, and classroom visits as the basis for evaluation. A standard evaluation form will help reviewers focus on essential high-quality teaching elements.

The university implemented a new student ratings instrument in 2015. It focuses on three assessment areas: (1) course-specific learning outcomes, (2) instructor effectiveness, and (3) how well the instructor helped students achieve the aims of a BYU education. A statement from the university president was added to the [student ratings homepage](#) emphasizing the importance of student evaluations and urging students to be honest, fair, and constructive and to avoid comments based on appearance, race, ethnicity, or family status.

Staff and Administrators

Supervisors evaluate full-time administrative and staff employee performance at the end of each calendar year. They use the performance and development plan (PDP) tool available campus-wide on the Human Resource Services website. The process is a collaborative exercise. The supervisor writes the appraisal and then reviews it with the employee. The employee is

encouraged to respond in writing, and then the second-level supervisor provides final approval. Currently, 704 supervisors actively evaluate their direct reports.

Each employee is assessed according to their specific work duties and the university's mission and values. These values include competency, respect for sacred resources, integrity, teamwork, exceeding customer expectations, respect for all individuals, innovation, accountability, and results.

The evaluation is divided into three sections. The first section focuses on accomplishments and results as well as the application of values. In this section, the supervisor provides specific feedback on key responsibilities performed well, including details on how the employee demonstrated the university values during the previous year. The second section includes ways to improve performance. The final section establishes a development action plan wherein the supervisor provides specific feedback and outlines specific steps and actions intended to help the employee reach future goals or meet improvement needs, including any university values they need to develop.

A variety of training resources are available to supervisors, including short online videos and individual training from Human Resource Services personnel, when requested. These trainings cover writing and delivering an effective review and discussing poor performance. Additionally, a PDP coordinator is assigned to each department or office on campus to provide additional support.

Student Support Resources

(Eligibility Requirements 5, 6, 18)

Standard 2.G.1 Consistent with the nature of its educational programs and methods of delivery, and with a particular focus on equity and closure of equity gaps in achievement, the institution creates and maintains effective learning environments with appropriate programs and services to support student learning and success.

In 2020, a university-wide workgroup identified several academic student success indicators that the university will use to direct the efforts to reduce equity gaps in student achievement. The Office of Assessment and Planning is currently collaborating with OIT to develop dashboards to display disaggregated data for these indicators. These data will be the basis for developing a plan for allocating resources to mitigate perceived equity gaps in achievement.

Student learning and success is a collaborative enterprise that integrates work performed by multiple offices across campus. The Office of Student Success and Inclusion has direct oversight and responsibility for the retention, persistence, and graduation of students from at-risk, historically disadvantaged, low-income, first-generation, and underrepresented populations. As directed by the Office of Student Success and Inclusion, the Student Success and Inclusion Advisory Committee (SSIAC) identifies strategies to help students succeed. The SSIAC will focus on equity gaps, meaning disparities within specific student populations' educational achievement. Ensuring that equity is an institutional priority and not an afterthought or add-on to the university's educational services is essential.

The weekly Thriving and Early Alert Stakeholders Committee meeting brings together representatives from Enrollment Services (including Financial Aid), the Office of Student Success and Inclusion, the advisement community (academic and cocurricular), Residence Life, Counseling and Psychological Services, the Office of First-Year Experience, Student Life, Campus Life, Multicultural Student Services (MSS), International Student and Scholar Services, the University Accessibility Center, the Center for Teaching and Learning, BYU associate academic vice president for undergraduate education to discuss student learning and success. Specific examples of university-wide systems that support student learning and success include first-year mentoring, the BYU early alert tool, D-E-W dashboards, pulse surveys, and the student success initiative, each of which is discussed below.

The [first-year mentoring program](#) is a vital part of a university-wide initiative to strengthen undergraduate education. It reserves seats for first-year students in specific high-demand general education courses and provides all admitted first-year students the opportunity for peer mentor support. The program's mission is to lead students to greater success by encouraging learning, inspiring reflection, and building relationships through consistent and focused effort.

The [BYU early alert tool](#) grew out of a collaborative effort between the Office of First-Year Experience and Enrollment Services. The tool uses sophisticated analytics to identify students who are struggling academically and aims to provide early intervention and support to students—especially those who are vulnerable to equity gaps—who are beginning to show signs of struggle as early as the second week of the semester. When the model predicts that a student is experiencing an academic challenge, Enrollment Services sends a message to the student to remind them of campus resources that can help with their specific courses. Advisors can review the dashboards to see who needs their support (see examples of the [overview dashboard](#) in the appendix and [student-view dashboard](#) in the appendix).

Enrollment Services provides academic leaders dashboards that display students earning grades of D, E, or W in specific courses (see an [example in the appendix](#)). The dean of undergraduate education discusses these dashboards with the deans. These data allow departments and colleges to understand the D-E-W rate for every course (disaggregated by sex), first-generation status, and minority status. An example of how these data helped support student academic success is in the Marriott School of Business. The faculty redesigned the Accounting 200 course to reduce the equity gap for first-generation and minority students by providing second-chance exams.

Pulse surveys are conducted with students enrolled in Writing 150 and American Heritage (the courses with the highest first-year-student enrollments). These diagnostic surveys given multiple times during the semester assess student well-being across different university experience dimensions (e.g., academic, emotional, financial, physical). When students indicate a high degree of anxiety about a given theme, Enrollment Services sends a customized message to them, directing the students to campus resources. Additionally, the peer mentor program coordinator consults with the assigned peer mentor, who then reaches out to the student. The peer mentor coordinator can use the weekly Thriving and Early Alert Stakeholders Committee meeting to organize a response to address student needs. Examples of pulse survey questions can be seen [in the appendix](#).

Each year, the Admissions Office identifies between 100 and 200 admitted students who show evidence of academic vulnerability, using factors such as first-generation student status, financial need, and level of college preparation. Enrollment Services established the student

success initiative in 2017 as a bridge program to familiarize academically vulnerable students with the university and connect them with campus support services that they can use throughout their time at BYU. Enrollment Services assigns each of the students to an Enrollment Services counselor and sets up a robust on-boarding process. This process includes systematic outreach (through phone calls, texts, and emails); individual counseling appointments; and training modules in the learning management system, such as Learning Suite (LMS; see an [example in the appendix](#)). These training modules teach the students about BYU systems, including Learning Suite and MyMAP, for academic planning. The counselors also work with students to find financial aid, identify resources needed for success, and assist them in registering for courses. They provide ongoing support through the student's first semester and help them make contacts with other campus support systems.

MSS and the Student Athlete Life and Learning Center (SALLC) each provide additional academic student support. MSS annually hosts the [Summer of Academic Refinement](#) (SOAR) program. SOAR provides high school juniors from at-risk, historically disadvantaged, low-income, first-generation, and underrepresented populations with a week-long experience at BYU. It exposes potential students to the academic rigors associated with a college education and increased interactions with members of other minority groups. These efforts prepare students for the potential challenges related to learning in higher-education institutions. If admitted to BYU, MSS assigns each participant an MSS advisor who provides the student support before, during, and after graduation from BYU.

The athletic department has the highest concentration of at-risk minority students on campus. The SALLC provides support for newly admitted, at-risk student-athletes. The SALLC's Summer Bridge program seeks to maximize minority student-athletes' athletic, social, and academic experience. Included in this effort is the referral of student-athletes to all on-campus support services available. BYU Athletics provides a number of these services for athletes in-house (i.e., financial aid, tutoring, academic advisement, career advisement, learning specialists, and Counseling and Psychological Services).

During each semester and term, SALLC employees review each of the approximate 630 student-athlete's grades during a weekly professional learning community (PLC) meeting. The role of the PLC is to provide a holistic review of student needs. The PLC makes assessments, prescribes resources, and creates or modifies learning objectives. Students who demonstrate at-risk behaviors meet with a learning specialist each Monday to review and evaluate each objective. This process identifies equity and learning gaps in real-time and allows for adjustments to meet student needs.

In 2021, the university anticipates acquiring and implementing a student success management system (i.e., Salesforce Advisor Link). This system will complement existing advisement efforts (see discussion of Standard 2.G.6) to enable the university to expand and sustain a student care network.

Other campus resources to assist in student learning include

- [Research and Writing Center](#) (customized assistance from trained consultants who assist students with any part of the research and writing process)
- [Learn Anywhere](#) website (designed to help students succeed during the COVID-19 pandemic)
- [Office of Experiential Learning and Internships](#) (designed to connect students to internship and experiential learning opportunities)
- [University Accessibility Center](#) (a variety of services for students with disabilities)

- [BYU Tutoring Services](#) (free volunteer peer-to-peer tutoring)
- [Student Development Services](#) website (directs students to several additional resources)
- Drop-in academic tutoring. (This support is provided in dedicated spaces across campus every weekday for courses with the highest first-year-student enrollment [American Heritage; Physical Science; Statistics 121; Biology 100; Chemistry 101, 105, 106; Economics 110; and all math courses]. Course attendance is monitored, and reminder emails are sent to struggling students who have not yet used these drop-in tutoring resources.)

Standard 2.G.2 The institution publishes in a catalog, or provides in a manner available to students and other stakeholders, current and accurate information that includes institutional mission; admission requirements and procedures; grading policy; information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion based on normal student progress and the frequency of course offerings; names, titles, degrees held, and conferring institutions for administrators and full-time faculty; rules and regulations for conduct, rights, and responsibilities; tuition, fees, and other program costs; refund policies and procedures for students who withdraw from enrollment; opportunities and requirements for financial aid; and the academic calendar.

The university prepares an [undergraduate catalog](#) and [graduate catalog](#). The catalogs contain information about the university and its academic programs, student services that support the academic programs, and policies and procedures that govern student services administration.

The catalogs are updated annually. The university follows a consistent procedure to make sure that stakeholders can modify or reaffirm information accuracy. This process is to ensure that the official catalog contains the most current information. The online catalog functionality provides additional opportunity to update policies and procedures that change during the year at the time of enactment, without having to wait until a subsequent printing of the document. In some cases, information is inserted into the catalog based on future implementation timelines to provide advance notice to those for whom the changes will affect.

The undergraduate catalog provides current and accurate information about the following:

- [Mission](#) and [aims of a BYU education](#)
- [Admission requirements and procedures](#)
- [Grading policy](#)
- [Academic programs](#)
- [Academic courses](#)
- [Major Academic Plans](#) (MAPs; include projected timelines to completion based on typical student progress. MAPs provide, by major, an outline of the general education requirements and recommended curriculum of major courses over four years.)
- [Names and titles for administrators](#) (with links to pages showing degrees held and conferring institutions)
- Full-time faculty (Listed on each [department page](#)—see the gray button labeled “Faculty.” The [faculty search function](#) can also be used.)

- [Church Educational System Honor Code](#)
- [Academic conduct and responsibility](#)
- [Tuition, fees, and other program costs](#)
- [Refund policies and procedures for students who withdraw](#) (see section five labeled “Pro-Rate Charges for Dropped Classes”)
- [Financial aid opportunities](#)
- [Dates and deadlines](#)

Additional information is found on the BYU website, including:

- [Academic calendar](#)
- [Admissions](#)
- [Registrar’s Office](#)
- [Financial Aid Office](#)

The graduate catalog found on the Graduate Studies website provides current and accurate information about the following:

- [Graduate Studies mission and aims](#)
- [List of programs](#) (including degree and program completion requirements and expected program and course learning outcomes)
- [List of courses](#)
- [Admissions guide](#)
- Graduate faculty (Each [department page](#) lists the graduate faculty—see the gray button labeled “Faculty.” The [faculty search function](#) can also be used.)
- [Costs and financial aid](#)
- [Church Educational System Honor Code](#) (see section three)
- [Graduate Studies Policy Handbook](#)

Standard 2.G.3 Publications and other written materials that describe educational programs include accurate information on national and/or state legal eligibility requirements for licensure or entry into an occupation or profession for which education and training are offered. Descriptions of unique requirements for employment and advancement in the occupation or profession shall be included in such materials.

BYU offers [70 programs that lead to licensure](#). The [Major Academic Plans](#) outline requirements for the degree, specify licensure requirements, and summarize career opportunities.

Individual department and college websites also publish requirements. For example, the J. Reuben Clark Law School publishes information about bar licensing requirements in each state (see [Bar Qualifications](#)). Likewise, the College of Nursing publishes an [Undergraduate Student Handbook](#) that describes licensure requirements (see section X). The McKay School of Education also publishes information about licensure (see [Teacher Licensure](#)). Many licensure programs are associated with the educator preparation program that coordinates teacher preparation in the School of Education and the Colleges of Engineering, Fine Arts and

Communications, Humanities, Life Sciences, and Physical and Mathematical Sciences. For example, the Early Childhood Education MAP reads, in part:

Career Opportunities: Those who graduate in early childhood education are licensed to teach kindergarten through third grade in public and private schools in Utah ([see Utah State Office of Education licensing requirements](#)). Teaching job opportunities are available in many states through reciprocal agreements based upon national accreditation. Graduates are also qualified to teach preschool in public, private, and home settings. Other career opportunities include tutoring and private preschool administration. In addition, graduates are prepared to enter advanced-degree programs to continue their development as teachers of young children, pursue administrative positions in the public-school system, work with state agencies that support early learning, and teach at higher-education institutions.

Other examples of published requirements include the following:

- [Biological Science Education](#)
- [Chaplaincy](#)
- [Family and Consumer Science Education](#)
- [History Teaching](#)
- [Technology and Engineering Studies](#)

In accordance with the U.S. Department of Education regulations, BYU has published a [general statement about licensure requirements](#) on the Enrollment Services webpage. University leadership is currently exploring possibilities for facilitating a more centralized approach to collecting and posting licensure information for the various licensure programs.

Standard 2.G.4 The institution provides an effective and accountable program of financial aid consistent with its mission, student needs, and institutional resources. Information regarding the categories of financial assistance (such as scholarships, grants, and loans) is published and made available to prospective and enrolled students.

The Financial Aid Office administers and oversees federal student loans and grants; state scholarships and grants; NCAA grants-in-aid; institutional loans; Cougar Pell Promise (tuition guarantee); merit, need, and donor-funded scholarships; and third-party scholarships. Information about these programs is published in the university catalog or on the Financial Aid Office's website:

- [Financial aid and scholarships](#)
- [Regent's scholarships](#)
- [Types of aid](#)
- [Cougar Pell Promise](#)
- [Off-campus scholarships](#)

The university provides an online scholarship application designed to gather information from students to consider them for all institutional scholarships for which they qualify. The data

collected via the applications are shared with other campus granting offices, including academic units and Student Life offices.

The Financial Aid Office is committed to compliance and accountability. System and other controls mitigate error and abuse. Regular reviews by the U.S. Department of Education and the CAD and external auditors buttress these efforts to ensure strict compliance with federal and state regulations, NCAA rules, donor restrictions, and the university's [Undergraduate Financial Aid Policy](#). Institutional integrity for financial aid funds is maintained by separating awarding functions and disbursing functions between the Financial Aid Office and Student Financial Services, respectively.

Standard 2.G.5 Students receiving financial assistance are informed of any repayment obligations. The institution regularly monitors its student loan programs and publicizes the institution's loan default rate on its website.

The Financial Aid Office follows a direct loan quality assurance plan, directs borrowers to the required entrance and exit counseling, and monitors individual borrowing levels. It publishes the university's cohort default rate, which is currently 1.5 percent, on its [website](#) (see section four).

The Financial Aid Office informs students who receive [financial aid and scholarships](#) of conditions and terms, including [repayment obligations](#) for educational loans. The Financial Aid Office also directs students to the U.S. Department of Education's resources for more details about federal loan [repayment](#).

Even though the university has a consistently low cohort default rate, the university feels a moral obligation to educate its students, particularly borrowers, on personal financial literacy and debt management. The [Financial Fitness Center](#), an appendage of the Financial Aid Office, actively monitors borrowing levels and reaches out to students at risk of incurring excessive debt with potentially serious long-term consequences. The Financial Fitness Center provides online resources as well as in-person consultations.

Students who pursue borrowing options through private lenders may need to obtain [university certification](#). In these cases, to help the student make an educated, informed decision, the university engages the student in a careful evaluation of their current circumstances and future financial well-being. Specifically, if a student requests a private loan of more than \$6,000 for fall and winter semesters (or \$3,000 for a single enrollment period), Financial Services sends an electronic message informing them of the policy. At this point, the student can either reduce their request to the limit or appeal for an increased amount. In the latter case, they are directed to the Financial Fitness Center website to schedule a one-on-one appointment with the center's manager to discuss any extenuating circumstances that may warrant an exception.

Standard 2.G.6 The institution designs, maintains, and evaluates a systematic and effective program of academic advisement to support student development and success. Personnel responsible for advising students are knowledgeable of the curriculum, program and graduation requirements, and are adequately prepared to successfully fulfill their responsibilities. Advising requirements and responsibilities of advisors are defined, published, and made available to students.

The university has a systematic and effective program of academic advisement to support student development and success. The common goal across the advisement community is to help students thrive, not just survive. The academic vice president for undergraduate studies is responsible for convening campus-wide advisement conversations with the [Advisement Integration Council](#). The undergraduate [advisement community organizational chart](#) can be found in the appendix.

All students have access to academic advisement through the [University Advisement Center](#) and major advisement centers. Major advisement is decentralized. Each college or school hires, trains, and evaluates its advisement personnel and establishes local advisement priorities. Students can identify the advisors associated with their major programs by accessing their [college advisement center](#) website.

Cocurricular advisement includes [Multicultural Student Services](#), the [University Accessibility Center](#), [International Student and Scholar Services](#), [Pre-professional Advisement](#), and the [Academic Support Office](#). Furthermore, as noted in the discussion of Standard 2.G.1, the BYU early alert tool leverages the expertise and resources of academic and cocurricular advisors to respond to early signs that a student might be struggling.

Personnel responsible for advising students are knowledgeable about the curriculum, program, and graduation requirements and are adequately prepared to fulfill their responsibilities. During the last two decades, academic advisement at BYU has made great strides in professionalizing its personnel and practices. Many academic advisors have completed graduate work.

Academic advisors can advance in compensation and leadership opportunities, as described in the [academic advisor position descriptions](#). The National Academic Advising Association guidelines are the basis for these descriptions. The Advisement In-Service Committee is responsible for organizing monthly orientations and professional development activities for the advisement community. Further training is available through the [advisement handbook](#).

Advisement practices are transitioning from transactional contacts to ones that focus on the holistic development of students. In the most recent student advisement survey (2017), 89 percent of respondents agreed or strongly agreed that their advisor was readily available when they needed assistance. Likewise, 89 percent agreed or strongly agreed that the advisor was knowledgeable about students' questions, and 86 percent agreed or strongly agreed that the advisor was helpful.

Additionally, academic advisement has benefited from increased collaboration between advisement centers and [BYU Career Services](#). Many once-centralized career advisors are now embedded in college advisement offices while maintaining their line report to the director of careers and experiential learning.

Standard 2.G.7 The institution maintains an effective identity verification process for students enrolled in distance education courses and programs to establish that the student enrolled in such a course or program is the same person whose achievements are evaluated and credentialed. The institution ensures that the identity verification process for distance education students protects student privacy and that students are informed, in writing at the time of enrollment, of current and projected charges associated with the identity verification process.

The student identity verification process for enrollment in distance education courses is primarily controlled through the student's original admission as a matriculating student and subsequent use of their BYU account and authentication mechanisms as secured through the university OIT. Students registering for correspondence courses must also have established a BYU account before enrollment and subsequently use OIT authentication mechanisms. There are no current or projected charges to students associated with this identity verification process.

If a student is enrolled in a class with a learning management system (LMS), upon enrollment through a centralized student information system (SIS), the student is added to the class roster in the associated LMS. Faculty submit final grades directly to the SIS or through the LMS to the SIS upon semester completion. During the semester, online access by the student to distance-education and correspondence course content, assignments, and/or exams is controlled via BYU account authentication in the associated LMS. Instructors evaluate student achievements within the secure LMS, while earned credentials are maintained in the centralized SIS. Exams for distance education, including BYU Online courses and courses offered online during the COVID-19 pandemic, and correspondence courses are taken at a BYU campus testing center (see [BYU Testing Center](#) or [Continuing Education Testing Center](#)) or through an online proctoring service (e.g., Examity, Proctorio). The testing centers require a BYU or government-issued identification document.

All data for the authentication process are transmitted using up-to-date cryptographic communication adhering to industry-standard security practices to ensure student privacy. Authentication mechanisms are also protected by industry-standard security cryptographic practices. Only the individual knows or has access to the password. Authentication software processes the password and protects it from being compromised.

Library and Information Resources

(Eligibility Requirement 14)

Standard 2.H.1 Consistent with its mission, the institution employs qualified personnel and provides access to library and information resources with a level of currency, depth, and breadth sufficient to support and sustain the institution's mission, programs, and services.

The [Harold B. Lee Library](#) (library) is BYU's main academic library. The [Howard W. Hunter Law Library](#) (law library) is maintained separately by the J. Reuben Clark Law School.

The two libraries employ qualified personnel, with most employees having an advanced degree. Table 1 summarizes the academic qualifications of employees from the two libraries. For a complete list of employees, job titles, and subject specialties, see the [Lee Library directory](#) and the [Hunter Law Library directory](#).

Table 1: Library Employee Academic Qualifications

	Lee Library	Law Library
Total non-student employees, including 14 vacancies	166	16
Bachelor's degree	146	15
Master's degree	104	9
Master of library science degree	80	9
Juris doctor degree	1	8
Doctoral degree	13	0

The library maintains substantial collections in various formats and offers services supporting all university degree programs and research. The law library builds and maintains a robust collection of legal materials designed to meet law faculty and student teaching and research needs. Foundational goals for both libraries aim to select, organize, and preserve relevant collections and provide description and discovery tools designed to facilitate physical and online access to library resources. The 2020 collections budget for the library was \$13,466,695. The 2020 law library collections budget was \$1,471,032. The library's [statistics page](#) provides a detailed breakdown of collections. The following are links in the appendix to the library's [collection development philosophy](#), [special collections policy](#), and [service philosophy](#).

The selection of library materials falls under three collection levels: (1) advanced-study-level provides information resources to support the coursework of advanced undergraduate and master's degree programs and sustains independent study; (2) research-level provides published resource materials required for terminal degree programs; and (3) comprehensive-level consists of a few subject areas the library has identified in which published and manuscript materials are collected on an extensive basis.

Librarians with subject and collection expertise are responsible for selecting appropriate and sufficient library materials to support the university mission. Librarians work with publishers and information aggregators to identify and select the proper resources for each discipline. Simultaneously, the library welcomes and encourages input and recommendations from faculty and students in selecting materials. Librarians maintain active collaborative liaisons relationships with university teaching and research faculty and students to foster a clear understanding of curriculum and research needs. The library also maintains a patron-driven acquisition program that allows library users to access a wide range of electronic books before the library makes a purchase. Once patron use of an e-book reaches a specified threshold, the item is automatically purchased. This process is entirely invisible to the patron, who experiences unfettered access to an expanded selection of books.

Students and faculty have access to a vast array of print and electronic resources held at other libraries worldwide through interlibrary loans. In 2019, the library borrowed 20,357 items and filled 49,863 lending requests. To increase timely access and delivery of borrowed resources, the library participates in several consortia such as SHARES, RAPID, Greater Western Library Alliance, and Utah Academic Library Consortium.

The [library](#) website provides various ways to search and access the catalog, special collections finding aids, databases, journal articles, tutorials, and guides. The library's digital initiatives program provides access to primary resource materials and university-based scholarly communication content. These digitally reformatted materials are accessible through the [Digital Collections](#), [Internet Archive](#), and [ScholarsArchive](#) websites.

The library provides students and faculty with ongoing instruction. The instruction takes place in formal classrooms and individual settings, such as at help desks and in subject librarian offices. The law library faculty regularly teach legal research courses as well as an introduction to the law librarianship course. The full library instruction plan is available [in the appendix](#).

The library consistently seeks information to guide decision-making to provide appropriate library services and spaces and acquire relevant materials. The library has conducted more than 70 different assessments from 2013 to the present. It gathers information through various methods, including surveys, student focus groups, and engagement with the Library and Scholarly Communications Advisory Council.

Physical and Technology Infrastructure

(Eligibility Requirement 15)

Standard 2.1.1 Consistent with its mission, the institution creates and maintains physical facilities and information technology infrastructure that are accessible, safe, secure, and sufficient in quantity and quality to ensure healthful learning and working environments that support and sustain the institution's mission, academic programs, and services.

Physical Facilities

The university administration and the board are committed to maintaining high-quality physical facilities. BYU facilities are accessible, safe, secure, and sufficient in quantity and quality to ensure healthful learning and working environments that support the university's mission, academic programs, and services. The [Physical Facilities Policy](#) describes physical facilities-related processes.

To ensure that the university constructs safe buildings, it adheres to architect and engineer industry standards, designing only to meet or exceed all standard codebook requirements. It also requires all new-construction contractors to abide by the guidance provided in the [instructions to architects and engineers](#) and the [architect's agreement](#) (see the third bullet). The university conducts regular safety inspections for all existing buildings as part of the capital needs and utilities analysis (CNA) process described below.

The university works under a space-neutral policy. That is, square footage may not exceed the limits established by the board. As of October 2020, the main Provo campus includes 557.2 acres, 278 buildings, and 10,207,439 gross square feet of space:

Building Type	Number of Buildings	Gross Square Feet
Academic	82	5,420,947
Administrative	40	527,779
Auxiliary	26	1,550,206
Housing	130	2,708,507
TOTAL	278	10,207,439

A quarterly building inventory and current information regarding campus and university-affiliated buildings, rooms, and assets can be found on the [Physical Facilities website](#).

Capital Needs Analysis

BYU and the Church adhere to the principle of “total cost of ownership,” whereby stakeholders anticipate and budget for all costs related to any physical asset throughout that asset’s lifecycle. For years, physical resources have been exemplary due to the total cost of ownership philosophy and the preservation of a high standard in facilities maintenance.

The university uses the [capital needs and utilities analysis](#) to forecast facility funding requirements accurately. The annual CNA equipment inventory includes all facility infrastructure equipment, defined as portable items having a useful life of more than one year. The CNA inventory consists of an analysis of the remaining life of all items in the lifecycle file, including anticipated repair and potential emergency needs. The ongoing level of support for each facility is also documented in the CNA database (see the current CNA report in the Box file).

Any item may be considered for replacement based upon need, but every item is inspected as it nears its predetermined lifecycle. This annual inspection process maximizes the lifecycle of equipment, improves planning, and makes it possible to request replacement funds as soon as they are needed. The President’s Council reviews the highest priority items needing replacement during the annual strategic resource planning process. Funding for essential needs is approved annually by the board. Through this tightly controlled process, the university strategically manages replacement costs with virtually no unscheduled deferred maintenance.

Master Plan

In late 2020, the Physical Facilities Division was asked to conduct a thorough review of the university’s physical facilities planning process. The result of this initiative will be an updated and expanded physical facilities master plan (PFMP). The PFMP, expected to be complete in mid-2021, will provide short-term details as well as higher-level, longer-term overviews of academic and administration space, campus parking, pedestrian and vehicular traffic flow, bicycle parking and flow, city transit, campus shuttles, utility distribution, and other key physical facility components. The PFMP will be aligned with BYU’s mission and aims and will be revised annually to ensure ongoing alignment with evolving university strategic plans.

Physical Facilities personnel will continue to address the current and projected needs in an annual visit with each academic college or administrative division. In this setting, they discuss the CNA replacement needs and review any revisions to the PFMP as it impacts the college or division. This discussion will include past and present needs identified by the unit and remodeling and additional space. The college or division prioritizes its own needs in the context of the broader PFMP. These annual visits ensure appropriate planning and allow the sharing of information about current facilities and future needs.

Upon completing the annual reviews, the PFMP is updated, prioritized, and submitted for review by the [Campus Planning Use Committee](#) (CPUC). Before presenting to the President’s Council for review and ratification, the CPUC ensures that the revised plan reflects longer-term campus development, infrastructure expansions, future building sites, construction, remodeling, and the planned use of any campus facility.

The reader is directed to the following link in the appendix for more information about the [transit and bike paths](#). Copies of the emergency service and fire access map, master campus plan, campus utilities map, and the full campus map can be found in the Box file.

Other Efforts to Support Healthful Learning and Working Environments

Policies Regarding Hazardous and Toxic Materials. The university adopts, publishes, reviews regularly, and adheres to policies and procedures regarding the safe use, storage, and disposal of hazardous and toxic materials as described in the [Risk Management and Safety Policy](#). The [Purchasing Policy](#) addresses the acquisition of hazardous materials through the chemistry stores or purchasing and the requirement for approval by a chemical hygiene officer for acutely hazardous materials. Also, the Physical Facilities Policy prohibits using the storm drain system for the disposal of hazardous materials. The BYU Risk Management and Safety website contains implementing procedures for the [disposal of hazardous materials](#).

The CNA includes a category dedicated to compliance with seismic and hazardous material standards. The funded amount for this category from 2015 to 2020 was \$5,160,000. The CNA also includes funding projects to ensure compliance with laws and regulations, including safety, health, and accessibility for physically impaired persons. Between 2015 and 2020, the CNA provided funding for \$1,759,000 for this category.

BYU Police Department and BYU Security. The university maintains both a security and a police department. The managing director for the [BYU Police Department](#) (BYUPD) and the BYU Security Department reports to the administration vice president and chief financial officer. Three main units comprise the BYUPD: patrol, investigations, and emergency medical services. A lieutenant who reports to the police chief directs each of the patrol and investigations units. The BYUPD has a contingent of 17 full-time and 10 part-time officers. All officers are sworn officers, state-certified, and police academy trained. They have local and state police authority in all functions and carry weapons as authorized by the state. Each officer must complete 40 hours of annual training to maintain certification; additional training is encouraged and valued by the department. The officers practice all emergency contingencies, including active shooter scenarios, regularly.

BYUPD/BYU Security maintains a full-time radio dispatch office staffed by three trained dispatchers. It has an emergency number (801-422-2222), which is available 24 hours a day. Y Alert, an emergency notification system for all campus phones and employee and student cell phones, is managed through the BYUPD/BYU Security dispatch center and is regularly tested.

All federally required [Clery Act reports](#) are available on the BYUPD website. The campus community can also access the [crime and fire log](#) and the [annual campus security report](#) on the BYUPD website.

The chief of police serves as a standing member of the [Campus Threat Assessment Committee](#). The BYUPD has representatives on the [Disruptive Student Committee](#) and other university response-related committees.

The BYU Security Department has 24 full-time employees and more than 300 student employees. The security employees function similarly to employees in private security companies or non-sworn security personnel at other universities wherein they have specialized safety training. Still, they do not have the authority to make arrests like a sworn law enforcement officer. The department oversees campus parking and on-campus building security and has access to more than 2,100 security cameras. The department also provides education to students and employees to help ensure safety both on- and off-campus. One education program, [Rape Aggression Defense](#), teaches students and others how to avoid and respond to sexual assault.

Risk Management, Emergency Operations, and Business Continuity Plan. The university has a [Risk Management and Safety Policy](#) and an [Emergency Management and University Continuity Policy](#). The [Emergency Operations Plan](#) guides university officials to manage an emergency or disaster on campus. Risk Management leadership updated this plan in 2021. The university also has continuity plans for all units. The reader is directed to the [university continuity leadership and support plan](#) and [university continuity program policy and governance](#) document for more details.

Information Technology

Technology Master Plan and Planning Processes

The university follows an annual technology planning process called information technology infrastructure (ITI) planning. This process concentrates on adding or replacing physical hardware in four categories: network, audiovisual, server/storage, and access devices. Departmental units request additions through management lines, while OIT typically recommends replacements after a thorough inspection and review.

A similar planning process, information technology development (ITD) planning, funds the development and improvement of the enterprise information systems. ITD is typically used to finance in-house software development and outside contractor's services and to acquire software systems, all of which may be developed locally or in cloud computing platforms.

The university information technology software (ITS) planning provides long-term funding for software licensing, subscription, and maintenance. For licenses that have enterprise impact across multiple university departments (operating principles such as ITI and ITD), ITS is typically used.

The President's Council provides the final review of proposed ITI, ITD, and ITS funding levels before submitting requests to the board. Roles, responsibilities, and other details associated with the technology planning processes may be found [in the appendix](#).

In 2020, the university began a multi-year effort to evaluate and implement a new enterprise resource planning system (ERP). The ERP will impact every area on campus through the replacement and upgrade of an integrated system for human capital management, finance, and student services. The investigation will occur throughout 2021, with implementation in a staged approach beginning as early as 2022.

Technology Equipment Update and Replacement Plan

Both ITI and ITD programs include the concepts of replacement of aging technology on a given lifecycle. Upon acquisition, the hardware is assigned a replacement lifecycle that is recorded in a central database. The ITI process requires OIT personnel to inspect hardware as it approaches the end of its useful life to determine whether it is still functioning according to its specifications. Inspectors may recommend extending the life of the hardware or replacing the equipment as needed. Inspection recommendations are the basis for equipment replacement and/or update plans each year. Additional information about the technology asset inspections process may be found at the [CES Technology Planning Center Hub in the appendix](#).

The university reviews ITD systems to determine if they are still adequately meeting needs. Stakeholders and/or technology personnel may request these reviews. Investigative projects are occasionally utilized to determine the best strategy for the system. The study may yield a recommendation to enhance, replace, or otherwise modify systems. Like ITI, suggestions

of this nature are the foundation for system updates or replacement plans. University vice presidents play a substantial role in making prioritized recommendations for ITD enhancements and/or replacements.

Hardware inspections and system reviews are intended to produce recommendations. Inspectors and reviewers are asked to consider the following questions as they review the equipment and university systems:

- Is the technology reliable?
- Is it maintainable?
- Is it sufficient?

ITI and ITD replacement processes focus on projects and systems that have the most significant value and impact on the university information technology infrastructure and systems. If a project is not approved at the university level to use ITI/ITD funding, departments may still propose and pursue projects that use funding over which they have discretion. Departmentally funded technologies are inspected/reviewed and planned as needed to ensure appropriate resources are available for delivery.

Licenses, subscriptions, and maintenance efforts funded by ITS are reviewed during the annual planning cycle. ITS reviews also take place as contracts are up for renewal. The ITS request's submitting unit is contacted to ensure that the request meets the needs of stakeholders. Funding recommendations are made to the President's Council after the campus need is validated and the request is determined to be aligned with other university priorities. If the university does not fund a request with ITS funding, a department may use funds over which they have discretion.

Requests for new technology are also accepted during the planning process. ITI and ITD processes allow for the introduction of new equipment and new systems. Submissions require a clear understanding of the needs addressed, expected costs, and what (if any) other systems may be decommissioned in the process. Heavy scrutiny is given to new technology requests.

New technology and technology replacement proposals for the university receive final analysis and review by the President's Council before becoming a line item in the overall university IT budget. The President's Council determines each request's priority and provides final approval before IT may initiate work.

Moving Forward

The institution must provide its reflections on any additional efforts or initiatives it plans on undertaking as it prepares for the Year Seven Evaluation of Institutional Effectiveness Report.

In preparing for the Year Seven Evaluation of Institutional Effectiveness Report and site visit, the university is focusing its efforts on identifying gaps in academic student achievement and developing a plan to reduce those gaps. As discussed in Standard 2.G.1, in 2020, a university-wide workgroup identified 20 indicators of academic student success and 10 demographic variables for disaggregating those data. The Office of Assessment and Planning collaborated with OIT to develop dashboards to display these data. We published these data on the university website in February 2021. The disaggregated academic student success data dashboards will be the basis for developing a plan for allocating resources to mitigate perceived gaps in achievement and equity. The primary users of these data will be the units who work collaboratively to ensure student success, as identified in the discussion of Standard 2.G.1.

In 2021, the university anticipates acquiring and implementing a student success management system (i.e., Salesforce Advisor Link). This system will complement existing advisement efforts (see discussion of Standard 2.G.6) to enable the university to expand and sustain a student care network.

As discussed in Standard 2.F.4, peer review of teaching is an essential part of the rank and status review process, and the university has undertaken an effort to strengthen it. A new approach to peer review of teaching will begin campus-wide in 2021. Its central feature is a teaching portfolio maintained by each faculty member that focuses on (1) student learning, (2) the learning environment, and (3) processes of improvement.

Year Six, Standard Two, Policies, Regulations, and Financial Review Report

Steering and Self-Evaluation Committees

Steering Committee

Rosemary Thackeray, Assistant to the President for Assessment and Planning, Committee Chair

Christian Fox, Deputy General Counsel

Sarah Campbell, Chief Integrity and Compliance Officer

Jeff Bunker, Associate Executive Director, Enrollment Services

John Rosenberg, Associate Academic Vice President for Undergraduate Studies

Doug Belliston, Assistant Administration Vice President for Finance

Self-Evaluation Committee

Rosemary Thackeray, Assistant to the President for Assessment and Planning, Committee Chair
Barry Allred, University Registrar

Douglas Belliston, Assistant Administration Vice President for Finance

Laura Bridgewater, Associate Academic Vice President for Faculty Development

Sarah Campbell, Chief Integrity and Compliance Officer

Jim Dain, Managing Director, Building, Grounds and Transportation Services

Christian Fox, Deputy General Counsel

Lori Gardiner, Director, Admissions Services

Vern Heperi, Assistant to the President for Student Success and Inclusion

Steve Hill, Director of Financial Aid and Scholarships

Scott Hunt, Executive Director, IT Administration

Brian Rennick, Interim University Librarian (Jeff Belliston replaced Brian in December 2020)

John Rosenberg, Associate Academic Vice President for Undergraduate Studies

John Taylor, Associate Dean, Continuing Education

John Young, Director, Benefits Services

Additional Contributors

Matt Andrus, BYU Police Chief

Chris Autry, Managing Director, BYU Police and BYU Security

Ray Bernier, Managing Director, Planning and Construction

John Leatherwood, Director, Financial Accounting and Reporting

Kristine Manwaring, Manager, Enrollment Services Research

Appendix

Alphabetized list of bookmarks in PDF

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Adjunct Faculty Policy
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Administrative and Staff Employee Discipline Policy
Administrative and Staff Employee Discipline Procedures
Administrative and Staff Employee Grievance Policy
Administrative and Staff Employment Policy
Advisement Handbook
Advisement Integration Council
Accommodation of Persons with Disabilities at BYU Policy
Accommodation of Persons with Disabilities at BYU Procedures
Amended and Restated Bylaws of Brigham Young University
Board of Trustees Bios
Boards of Trustees Conflict of Interest Policy
Budget Policy
Business Continuity Planning
Campus Planning and Use Committee
Campus Threat Assessment Committee
Cash and Cash Equivalent Policy
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CES Board Approval
CES Technology Planning Center Hub
Church Audit Plan 2020
Church Audit Plan 2021
Collection Development Philosophy
Committee.byu.edu
Conflict of Interest and Conflict of Time Commitment Policy
Conflict of Time and Conflict of Interest disclosures
Deans' Council
DEW Rates
Discrimination Complaint Procedures
Disruptive Student Committee
Disruptive Student Conduct Procedures
Emergency Management and University Continuity Policy
Employee Termination Policy
Endowment Report
Ensign Peak Advisors
Executive Risk Management and Compliance Committee
Facebook BYU Admissions
Faculty Advisory Council

Faculty Council on Rank and Status-Professorial
Faculty Council on Rank and Status-Professional
Faculty Discipline and Termination Policy
Faculty Grievance Policy
Faculty Hiring Policy
Faculty Leaves Policy
Financial Accounting Policy
Financial Audit, statement of cashflow
Financial Conflict of Interest in Sponsored Research Policy
Financial Ratios 2019, assets/liabilities
Flowchart of Policy on University Policies
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Tuition and Fees

Undergraduate Advisement Community Org Chart

Undergraduate Financial Aid Policy

University Committee Policy

University Continuity Program Policy and Governance

University Curriculum Council

University Faculty Development Council



GARY R. HERBERT
Governor

SPENCER J. COX
Lieutenant Governor

State of Utah Department of Commerce

FRANCINE A. GIANI
Executive Director

THOMAS A. BRADY
Deputy Director

DANIEL O'BANNON
Director, Division of Consumer Protection

RECEIVED

JUN 30 14

BYU-OCC

June 26, 2014

BRIGHAM YOUNG UNIVERSITY
ATTN MICHAEL R. ORME
A-357 ASB
PROVO UT 84602

Re: Certificate of Postsecondary State Authorization No. 7523523-9986

Dear Michael R. Orme,

The Certificate of Postsecondary State Authorization verifies that **Brigham Young University** has met the requirements of Utah Code Ann. §13-34a-203 to be a registered postsecondary school required under 34 C.F.R 600.9 to be legally authorized by the State of Utah.

This Certificate confirms the Division's finding that **Brigham Young University** is a private, nonprofit postsecondary school that has been in continuous operation for at least 20 years. This finding is based solely on the information provided to the Division by **Brigham Young University**.

You must notify the Division in writing within thirty (30) days of any change in circumstance which may affect the postsecondary school's status.

Should you have any questions or concerns please contact our office 801-530-6601.

Sincerely,

Marla Winegar, Manager
Utah Division of Consumer Protection
mwinegar@utah.gov
www.dcp.utah.gov

STATE OF UTAH
DEPARTMENT OF COMMERCE
DIVISION OF CONSUMER PROTECTION
CERTIFICATE OF POSTSECONDARY STATE AUTHORIZATION
Nonprofit Private Postsecondary School

EFFECTIVE DATE: 06/26/2014

EXPIRATION DATE:

ISSUED TO: BRIGHAM YOUNG UNIVERSITY
UNIVERSITY HILL
PROVO UT 84602



REFERENCE NUMBER(S), CLASSIFICATION(S) & DETAIL(S)

Registration No. 7523523-9986

This Certificate of State Authorization verifies that the school has met the requirements of Utah Code Ann. §13-34a-203 to be a registered postsecondary school required under 34 C.F.R 600.9 to be legally authorized by the State of Utah.

Daniel R. O'Banion

Director, Division of Consumer Protection

**THIS AUTHORIZATION IS NOT AN ENDORSEMENT OF THE INSTITUTION BY EITHER
THE DIVISION OF CONSUMER PROTECTION OR THE STATE OF UTAH.**

University Curriculum Council

The University Curriculum Council advises the Academic Vice President in matters related to curriculum, learning, and teaching at Brigham Young University. This includes but is not limited to approval and oversight of undergraduate programs and courses, graduate courses, grade rules, examination policy, catalog content, limited enrollment programs, and the improvement of teaching and learning through appropriate and effective program and course objectives, outcomes, strategies, and assessments.

Responsible Officer:

John Rosenberg, Associate Academic Vice President–Undergraduate Studies

Chair:

John Rosenberg, Associate Academic Vice President–Undergraduate Studies

Co-Chair:

Janet Losser, Director, Center for Teaching and Learning

Executive Council Members:

- Taylor Adams, Manager, Registrar's Office
- Susan Rugh, Dean, Undergraduate Education

Members:

- Barry Allred, Registrar, Student Academic and Advisement Services
- Stan Benfell, Associate Director, Academic Programs and Research
- John Bingham, Associate Dean, Marriott School of Management
- Brent Chowen, Director, Educator Preparation Program
- Kjerste Christensen, Interim Associate University Librarian, Harold B. Lee Library
- James Crane, Associate Dean, Graduate Studies
- Lynnette Erickson, Associate Dean, McKay School of Education
- Susan Fullmer, Associate Dean, Life Sciences
- Jeremy Grimshaw, Associate Dean, Fine Arts and Communications
- Andrew Hedges, Associate Dean, Religious Education

- Jennifer Nielson, Associate Dean, Physical and Mathematical Sciences
- Carolina Núñez, Associate Dean, Law School
- Christopher (Chip) Oscarson, Associate Dean, Undergraduate Education
- Sam Otterstrom, Associate Dean, Family, Home and Social Sciences
- Tyler Pederson, Associate Director, Counseling and Career Center
- John Taylor, Associate Dean, Continuing Education
- Leslee Thorne-Murphy, Associate Dean, Humanities
- Julie Valentine, Associate Dean, Nursing
- Vincent Wilding, Associate Dean, Engineering and Technology

BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

801-422-4636

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[Privacy Notice](#)

BYU Colleges

Business
Education
Engineering
Family, Home, and Social
Sciences
Fine Arts and Communications
Humanities
International and Area Studies
Law School
Life Sciences
Nursing
Physical and Mathematical
Sciences
Religious Education
Student Life
Undergraduate Education

BYU Learning Outcomes

This web page links you to the expected learning outcomes for each major at BYU. Learning outcomes are statements that describe the knowledge, skills, and attitudes that learners should have after successfully completing a learning experience or program. By reviewing the published learning outcomes for a given major, students and instructors can keep in mind and discuss the larger picture of student learning within that major how the courses, projects, assessments, and other learning activities help students accomplish those outcomes.

To see the expected learning outcomes for any major, select the college and then the department and program.

Mid-Course Evaluations

One way to enhance student learning and to assist students in achieving the learning outcomes of a course is for instructors to use the [Mid-Course Evaluation Tool](#). This tool allows instructors to create a simple survey for students to provide feedback on their learning experience in a course. Based on the survey results, instructors can respond to the feedback and adjust their instruction and activities to improve the learning experience in their course.

Editing Access

To gain editing access to Learning Outcomes, your department chair or dean should send an email giving permission for you to edit to learningoutcomes@byu.edu.



Governance of Brigham Young University Policy



Brigham Young University is a church-related, very large, national, academically selective, teaching oriented, undergraduate university, offering both liberal arts and occupational degrees, with sufficiently strong graduate programs and research work to be a major university.

Brigham Young University is sponsored by The Church of Jesus Christ of Latter-day Saints. The Board of Trustees, consisting of the First Presidency, some members of the Council of the Twelve, and other General Authorities and officers of the Church, is the governing body of the University. The Board has entrusted the administration of the University to the President, who receives assistance from the faculty and administrators in handling this responsibility.

CONTACT

Brigham Young University
Integrity and Compliance
Office
C-289 ASB
Provo, UT 84602

[801-422-0032](tel:801-422-0032)

BOARD OF TRUSTEES
BRINGHAM YOUNG UNIVERSITY

2020

Board of Trustees

Russell M. Nelson, Chairman
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President Russell M. Nelson



President of The Church of Jesus Christ of Latter-day Saints

Prior to his service as head of the Church, President Nelson served as president of the Quorum of the Twelve Apostles from July 15, 2015, until his call as the Church's leader. He has served as a member of that quorum since April 7, 1984.

An internationally renowned surgeon and medical researcher, Dr. Nelson received his B.A. and M.D. degrees from the University of Utah (1945, 47). Honorary scholastic societies include Phi Beta Kappa and Alpha Omega Alpha. He served his residency in surgery at Massachusetts General Hospital in Boston and at the University of Minnesota, where he was awarded his Ph.D. Degree in 1954. He also received honorary degrees of Doctor of Science from Brigham Young University in 1970, Doctor of Medical Science from Utah State University in 1989, and Doctor of Humane Letters from Snow College in 1994.

His professional work included the positions of research professor of surgery and director of the Thoracic Surgery Residency at the University of Utah and chairman of the Division of Thoracic Surgery at LDS Hospital in Salt Lake City.

Author of numerous publications and chapters in medical textbooks, President Nelson lectured and visited professionally throughout the United States and in many other nations prior to his call as a General Authority. A host of awards and honors have come to him, including the Distinguished Alumni Award, University of Utah; the Heart of Gold Award from the American Heart Association; a citation for International Service from the American Heart Association; and the Golden Plate Award, presented by the American Academy of Achievement. He has been awarded honorary professorships from three universities in the People's Republic of China.

Dr. Nelson has served as president of the Society for Vascular Surgery, a director of the American Board of Thoracic Surgery, chairman of the Council on Cardiovascular Surgery for the American Heart Association, and president of the Utah State Medical Association.

He is listed in Who's Who in the World, Who's Who in America, and Who's Who in Religion.

President Nelson has held numerous positions of responsibility in the Church. He served as stake president of the Bonneville Stake from 1964 to June, 1971, when he was called as general president of the Sunday School. Prior to his call to the Quorum of the Twelve, he was serving as a Regional Representative assigned to the Kearns Utah Region. He had previously served as Regional Representative for Brigham Young University.

Born September 9, 1924, President Nelson is the son of Marion C. and Edna Anderson Nelson. He and his wife, the former Dantzel White, have ten children. Sister Nelson passed away in February 2005. In April 2006, he married Wendy L. Watson.

President Dallin H. Oaks



First Counselor in the First Presidency

President Dallin H. Oaks, first counselor in the First Presidency and president of the Quorum of the Twelve Apostles, has served as a member of the Quorum of the Twelve Apostles of The Church of Jesus Christ of Latter-day Saints since May 1984.

He is a native of Provo, Utah, and born August 12, 1932. He and his late wife, June Dixon Oaks, are the parents of six children. She died 21 July 1998. On 25 August 2000, he married Kristen M. McMain in the Salt Lake Temple.

Elder Oaks is a graduate of Brigham Young University (1954) and of the University of Chicago Law School (1957). He practiced law and taught law in Chicago. He was president of Brigham Young University from 1971 to 1980, and a justice of the Utah Supreme Court from 1980 until his resignation in 1984 to accept his calling to the apostleship.

He has been an officer or member of the board of many business, educational, and charitable organizations. He is the author or co-author of many books and articles on religious and legal subjects. In May, 2013, the Becket Fund for Religious Liberty awarded him the Canterbury Medal for “courage in the defense of religious liberty.”

President Henry B. Eyring



Second Counselor in the First Presidency

President Henry B. Eyring was sustained and set apart as second counselor in the First Presidency of The Church of Jesus Christ of Latter-day Saints on Sunday, January 14, 2018. Prior to this, he served as a counselor to President Thomas S. Monson from 2008 to 2018 and to President Gordon B. Hinckley from 2007 to 2008. He was sustained as a member of the Quorum of the Twelve Apostles on April 1, 1995. He has served as a General Authority since April 1985.

President Eyring previously served as first counselor in the Presiding Bishopric from April 1985 to September 1992 and as Church commissioner of education from September 1980 to April 1985 and also September 1992 to January 2005.

President Eyring was president of Ricks College in Rexburg, Idaho, from 1971 to 1977. He was on the faculty at the Graduate School of Business at Stanford University from 1962 to 1971.

He holds a B.S. degree in physics from the University of Utah and master of business administration and doctor of business administration degrees from Harvard University.

Born in Princeton, New Jersey, 31 May 1933, he has served the Church as a regional representative, a member of the general Sunday School board and a bishop.

President Eyring is married to the former Kathleen Johnson, and they are the parents of four sons and two daughters.

Elder Jeffrey R. Holland



Quorum of the Twelve Apostles

Elder Jeffrey R. Holland was ordained a member of the Quorum of the Twelve Apostles of The Church of Jesus Christ of Latter-day Saints on June 23, 1994. At the time of this call, Elder Holland was serving as a member of the First Quorum of the Seventy, to which he had been called on April 1, 1989.

From 1980 until his call as a General Authority in 1989, Jeffrey R. Holland served as the ninth president of Brigham Young University in Provo, Utah. He is a former Church commissioner of education and dean of the College of Religious Education at BYU.

A student leader and varsity athlete at Dixie High School and Dixie College in his native St. George, Utah, he received his bachelor and master degrees in English and religious education, respectively, from Brigham Young University. He obtained master and doctor of philosophy degrees in American Studies from Yale University.

Elder Holland was active in professional educational activity prior to his call to full-time Church service. He served as president of the American Association of Presidents of Independent Colleges and Universities (AAPICU), on the board of the National Association of Independent Colleges and Universities (NAICU) and as a member of the National Collegiate Athletic Association's (NCAA) Presidents Commission. For his work in improving understanding between Christians and Jews he was awarded the "Torch of Liberty" award by the Anti-Defamation League of B'nai B'rith.

He has served on the governing boards of a number of civic and business related corporations and has received the "Distinguished Eagle Scout" award from the Boy Scouts of America. He is the author of eight books, one of which he co-authored with his wife, Patricia.

Elder Holland was born December 3, 1940, to Frank D. and Alice Bentley Holland. In 1963, he married Patricia Terry. They are the parents of Matthew, Mary Alice, and David, the parents-in-law of Paige, Lee and Jeanne, and the grandparents of 13 beautiful grandchildren and two great-grandchildren.

Elder David A. Bednar



Quorum of the Twelve Apostles

David A. Bednar was ordained and set apart as a member of the Quorum of the Twelve Apostles of The Church of Jesus Christ of Latter-day Saints on October 7, 2004. Prior to his call to the Quorum of the Twelve, Elder Bednar served as an Area Seventy, Area Authority Seventy, Regional Representative, twice as a stake president, and as a bishop.

Elder Bednar was born on June 15, 1952, in Oakland, California. He served as a full-time missionary in Southern Germany and then attended Brigham Young University, where he received a bachelor's degree and a master's degree. He also received a doctoral degree in organizational behavior from Purdue University.

After completing his education, Elder Bednar was a professor of business management at Texas Tech University and at the University of Arkansas. He then served as the president of Brigham Young University–Idaho (formerly Ricks College) from 1997-2004.

Elder Bednar married Susan Kae Robinson in the Salt Lake Temple on March 20, 1975, and they are the parents of three sons.

Elder Quentin L. Cook



Quorum of the Twelve Apostles

Elder Quentin L. Cook was sustained as a member of the Quorum of the Twelve Apostles of The Church of Jesus Christ of Latter-day Saints on 6 October 2007. Called as a General Authority in April 1996, he served in the Second Quorum, the First Quorum, and the Presidency of the Seventy.

He previously served in the Area Presidency in the Philippines, as president of the Pacific Islands and the North America Northwest Areas, and as Executive Director of the Missionary Department.

At the time of his call to be a General Authority of the Church, he was vice chairman of Sutter Health System. He had previously served as president and chief executive officer of a California healthcare system. Prior to that, he was a business lawyer and managing partner of a San Francisco Bay Area law firm. He also served on the governing boards of a number of civic and business-related corporations.

He is a native of Logan, Utah, received a bachelor's degree in political science from Utah State University, with honors, and a Doctor of Jurisprudence from Stanford University. Utah State University awarded him an honorary Doctor of Laws degree.

He has served the Church as a full-time missionary in the British Mission and as a bishop, stake president in the San Francisco California Stake, Regional Representative, and Area Authority in the North America West Area.

He married Mary Gaddie on November 30, 1962. They are the parents of three children and have eleven grandchildren.

Elder Dale G. Renlund



Quorum of the Twelve Apostles

Elder Dale G. Renlund was named to the Quorum of the Twelve Apostles on October 3, 2015.

Elder Renlund had served as a General Authority Seventy since April 2009 prior to being named to the Quorum of the Twelve. He previously served in the presidency of the Africa Southeast Area.

After receiving B.A. and M.D. degrees from the University of Utah, Elder Renlund received further medical and research training at Johns Hopkins Hospital. He was a Professor of Medicine at the University of Utah and the Medical Director of the Utah Transplantation Affiliated Hospitals (UTAH) Cardiac Transplant Program.

Elder Renlund has served in numerous church callings including full-time missionary in Sweden, stake president, bishop, and Area Seventy.

Elder Renlund was born in Salt Lake City, Utah, in November 1952. He married Ruth Lybbert in 1977. They are the parents of one daughter.

Elder Robert C. Gay



Presidency of the Seventy

Elder Robert C. Gay was sustained as a General Authority Seventy of The Church of Jesus Christ of Latter-day Saints on March 31, 2012. Since becoming a General Authority, Elder Gay has served as Chairman of the Self-Reliance Services and Perpetual Education Fund Committee and as President of the Asia North Area. He currently serves as a member of the Missionary Executive Council, the Executive Committee of the Church Educational System, and as a member of the Presidency of the Seventy, where he assists in the supervision of the North America Northeast, Asia, and Asia North Areas.

Prior to becoming a General Authority, Elder Gay earned a bachelor of arts degree in economics with an emphasis in statistics from the University of Utah and a PhD in business economics from Harvard University. He spent his professional career working in business, education, and humanitarian relief. In this capacity, he cofounded or established private equity companies, worked at several leading global institutions as a management consultant, and worked as a university instructor. He has also established several humanitarian organizations that have built schools; provided clean water, medical clinics, and microenterprises; and protected children at

risk and trapped in modern slavery. His work in these areas is widely recognized and has impacted and lifted the lives of people across the world.

Elder Gay has served in numerous Church callings, including full-time missionary in Spain, high priests group leader, mission president in West Africa, and Area Seventy.

Robert Christopher Gay was born in Los Angeles, California, on September 1, 1951. He married Lynette Nielsen in April 1974. They are the parents of seven children.

Elder Michael T. Ringwood



General Authority Seventy

Elder Michael T. Ringwood was sustained as a General Authority Seventy of The Church of Jesus Christ of Latter-day Saints on April 4, 2009. He is currently serving at Church headquarters as Executive Director of the Priesthood and Family Department and as a member of the Priesthood and Family Executive Committee.

Elder Ringwood graduated with a bachelor of arts degree in accounting from Brigham Young University in 1983.

Elder Ringwood has served in a number of Church callings, including a full-time missionary in the Korea Seoul Mission, bishop, high councilor, high priests group leader, Scoutmaster, stake president, and mission president.

Michael Tally Ringwood was born in Provo, Utah, on February 14, 1958. He married Rosalie Nelson in December 1982. They are the parents of five children.

Elder Gérard Caussé



Presiding Bishop

Bishop Gérard Caussé was serving as a General Authority Seventy and as a counselor in the Europe Area Presidency when he accepted the call to be a counselor in the Presiding Bishopric at the April 2012 general conference. In October 2015, he became the 15th presiding bishop in the Church's history.

He is the third presiding bishop born outside the United States and the first for whom English is a second language.

Bishop Caussé received a master's degree in business from ESSEC in 1987. His career has been in the food industry, where he has worked with several supermarket chains and food distribution companies. At the time of his call as a General Authority Seventy, he was the general manager of Pomona, a food distribution company in France.

His Church service includes elders quorum president, bishop's counselor, stake president's counselor, stake president and Area Seventy.

Gérald Caussé was born in Bordeaux, France on May 20, 1963. He married Valérie Lucienne Babin in August 1986. They are the parents of five children.

Sister Jean B. Bingham



Relief Society General President

Sister Jean Barrus Bingham is the 17th general president of the Relief Society, one of the world's largest women's organizations. At the time of her call in April 2017 she was serving as first counselor in the Primary general presidency of The Church of Jesus Christ of Latter-day Saints. She also served on the general board of the Primary, the Church's organization for 1 million children who are 11 and younger.

The Provo, Utah, native is the third of Robert R. and Edith Joy Clark Barrus's nine children. Her childhood and youth were spent in Texas, Minnesota and New Jersey.

Sister Bingham met her husband, Bruce, while they were both students at Brigham Young University. They were married in the Provo Utah Temple December 22, 1972, and are the parents of two daughters and have five grandchildren. She and her husband were also foster parents to teens and children, many of whom have become part of their family.

While her children were in their later school years, Sister Bingham returned to college. She received a bachelor's degree and master's degree in teaching from National Louis University in Illinois. She also received associate degrees from Brigham Young University and Elgin Community College.

She taught English as a second language to elementary students at a private school, in addition to immigrants and others for nonprofit organizations. She also worked as a nurse's aide.

Sister Bingham worked as a volunteer aide in her children's schools and served in numerous teaching and leadership positions with the women, children and youth in her local congregation, serving as president of the Primary and Young Women and as counselor in the Relief Society. She taught teenagers in early-morning seminary for six years and served as a temple ordinance worker in the Chicago Illinois Temple.

She credits the "faithful examples" of her parents for her testimony of the gospel of Jesus Christ, in addition to personal church attendance and service. Participating in family history work and attending the temple have strengthened her commitment to becoming a disciple of Jesus Christ.

She enjoys reading, outdoor recreation such as hiking, camping and canoeing; traveling; cooking for her appreciative family; and spending any time available with grandchildren.

Sister Bonnie H. Cordon



Young Women General President

Sister Bonnie H. Cordon was named the Young Women general president on March 31, 2018. At the time of her call, Sister Cordon was serving as the first counselor in the Primary general presidency of The Church of Jesus Christ of Latter-day Saints.

Sister Cordon was born to Harold and Carol Hillam and was the third of seven children. She learned her work ethic growing up on the family's 80-acre farm in Idaho Falls, Idaho.

Sister Cordon met her husband, Derek, while they were both students at Brigham Young University. They were married in the Salt Lake Temple in April 1986 and are the parents of four children and have four grandsons. She loves spending time with her little grandsons.

Sister Cordon received a bachelor's degree in education from BYU. She worked in management in the software industry.

Sister Cordon was a working mother until she was expecting her third child and she and her husband relocated to Indiana. After a move to Boise, Idaho, she returned to the business world, starting her own business. She was a school volunteer in Idaho and Utah, serving in PTA, the classroom and community council.

Sister Cordon's faith has carried her through her life. She served a full-time mission in the Portugal Lisbon Mission. Her Portuguese language skills came in handy when she served with her husband, Derek, as he presided over the Brazil Curitiba Mission from 2010 to 2013. She has also served in her ward (local congregation) and stake (diocese) Primary, Young Women and Relief Society organizations. Sister Cordon also taught early-morning seminary.

She loves the outdoors, enjoying jogging, scuba diving, hiking and skiing. She enjoys being with her family and traveling. "I love people," she said. "We are children of Heavenly Father. He loves us."

Brother Steven J. Lund



Young Men General President

Brother Lund received an undergraduate degree in communications and a law degree, both from Brigham Young University. He worked as an attorney before becoming president and CEO of a large Utah-based cosmetics company. He is currently its executive chairman of the board of directors. He also serves as a regent of the Utah System of Higher Education.

His past Church assignments have included service as a full-time missionary in the Netherlands Amsterdam Mission, mission president in the Georgia Atlanta Mission, coordinator of the Provo City Center Temple Dedication Committee, member of the Young Men general board and Area Seventy.

Brother Lund and his wife, Kalleen, have four children and nine grandchildren.

CES Board Approval Process

	President's / Administrative Council	Commissioner	Executive Committee	Boards of Trustees / Education
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Policy Issues:

Significant institutional policy changes	X	X	X	X
Annual key policies review	X	X	X	X
Issues that impact the Church or broader community	X	X	X	X

Personnel Issues:

New Appointments:

Executive Officers (VPs, S&I Asst Administrators, Asst to the President, General Counsel)	X	X	X	X
Assoc & Asst VPs, Deans	X	X	X	X
S&I Area Directors	X	X	X	
Department Chairs	X	X	FYI after appointed	
Faculty (full-time professorial, professional)	X	X	X	X
Athletic Directors, Head Coaches	X	X	X	X
S&I Institute Directors, Assistant Coaches	X	X		

Financial and Budget Issues:

Funding Requests:

BAC 21 (>\$1,000,000)	X	X	X	X
BAC 21 (>\$100,000 but <\$1,000,000) (generally)	X	X	X	

Other:

Institutional annual budget	X	X	X	X
New FTE employee positions (excluding auxiliaries)	X	X	X	X
Increase in authorized gross square footage (excluding S&I)	X	X	X	X
Tuition Rates	X	X	X	X
N&E programs	X	X	X	X
Fundraising initiatives	X	X	X	X
Requests to surplus, buy, or sell properties/other assets (large dollar amount or sensitive properties/assets, would still go to the Board)	X	X	X	X

Awards and Major Recognitions:

Honorary doctorate nominations	X	X	X	X
Presidential citation nominations	X	X	X	X
Special awards	X	X		

CES Board Approval Process

	President's / Administrative Council	Commissioner	Executive Committee	Boards of Trustees / Education
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Speakers:

Campus-wide devotionals & forums (including Women's Conference and Education Week general sessions)	X	X	X	X
Women's Conference, Education Week, EFY, etc. (such as breakout or individual presentation sessions)	X			

Shared Services Issues:

Performing Groups and Tours	X	X	X	
Athletic team trips outside U.S.	X	X	X	

Naming Opportunities:

Buildings	Recommendations for the naming of buildings is not currently initiated by CES institutional leaders, but is under the purview of the Officers of the Board.			
Major portions of buildings or rooms	X	X	X	X
Endowed chairs, Centers, Professorships	X	X	X	X
Recognition plaques in buildings	X	X		

Unit Changes:

Creation / elimination of academic departments, schools, and centers	X	X	X	X
Structural revisions and name changes of academic departments, schools, centers and educational support units	X	X	X	
Structural revisions and name changes of academic departments, schools, centers and educational support units	X	X	X	
Creation/elimination of programs or degrees	X	X	X	X

Other Items:

5-year plans	X	X	X	X
Annual Research Report	X	X	X	X
Use of CES facilities by other entities/organizations	X	X	X	

AMENDED AND RESTATED
BYLAWS
OF
BRIGHAM YOUNG UNIVERSITY

a Utah nonprofit corporation

adopted December 20, 2002

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**AMENDED AND RESTATED BYLAWS
OF
BRIGHAM YOUNG UNIVERSITY**

a Utah nonprofit corporation

**ARTICLE I
CORPORATE OFFICES**

Section 1.01. Principal Office. The corporation's principal office shall be fixed and located at such place as the Board of Trustees (the "Board") shall determine. The Board is granted full power and authority to change said principal office from one location to another.

Section 1.02. Other Offices. Branch or subordinate offices may be established at any time by the Board at any place or places.

**ARTICLE II
MEMBERSHIP**

Section 2.01. Members. The corporation shall have no members. Any action which would otherwise require approval by a majority of all members or approval by the members shall require only approval of the Board. All rights which would otherwise vest in the members shall vest in the trustees.

Section 2.02. Associates. Nothing in this Article II shall be construed as limiting the right of the corporation to refer to persons associated with it as "members" even though such persons are not members within the meaning of the Utah Revised Nonprofit Corporation Act (the "Act"), and no such reference shall constitute anyone a member within the meaning of the Act. The corporation may confer by amendment of its Articles of Incorporation (the "Articles") or of these Bylaws some or all of the rights of a member, as set forth in the Act, upon any person or persons who do not have the right to vote for the election of trustees or on a disposition of substantially all of the assets of the corporation or on a merger or on a dissolution or on changes to the Articles or Bylaws, but no such person shall be a member within the meaning of the Act.

ARTICLE III TRUSTEES

Section 3.01. Powers. Subject to the limitations of the Articles and these Bylaws, the business, activities and affairs of the corporation shall be conducted and all corporate powers shall be exercised by, or under the direction and authority of, the Board. Subject to the limitations of the Act, the Board may delegate the management of the business and activities of the corporation to any person or persons, a management company or committees, however composed, provided that the business, activities and affairs of the corporation shall be managed and all corporate powers shall be exercised under the ultimate direction of the Board. Without prejudice to such general powers, but subject to the same limitations, it is hereby expressly declared that the Board shall have the following powers in addition to the other powers granted or permitted by law or enumerated in these Bylaws:

(a) Subject to Article V, to select and remove all officers, agents and employees of the corporation (but not officers of the Board), prescribe powers and duties for them as may not be inconsistent with law, the Articles or these Bylaws, fix their compensation and require from them such security, if any, for faithful service as the Board may deem appropriate.

(b) To conduct, manage and control the affairs and activities of the corporation, and to make such rules and regulations therefor not inconsistent with law, the Articles or these Bylaws, as they may deem appropriate.

(c) To adopt, make and use a corporate seal and to alter the form of such seal from time to time as they may deem appropriate.

(d) To borrow money and incur indebtedness for the purposes of the corporation, and to cause to be executed and delivered therefor, in the corporate name, promissory notes, bonds, debentures, deeds of trust, mortgages, pledges, hypothecations or other evidences of debt and securities therefor.

Section 3.02. Number of Trustees; Votes. The authorized number of trustees shall be not less than five (5) nor more than fifteen (15) until changed by amendment of the Articles or these Bylaws. The exact number of trustees shall be fixed, within the limits specified, by The First Presidency of The Church of Jesus Christ of Latter-day Saints (the "Church") in the course of appointment and removal of trustees pursuant to Section 3.03. Each trustee shall have one (1)

vote.

Section 3.03. Selection and Term of Office. Trustees shall be appointed, and at all times shall be subject to removal, by and upon written designation of The First Presidency delivered to the trustee so appointed or removed. A copy of all such designations shall be filed with the Secretary of the Board. The power of appointment and removal vested in The First Presidency under this Section 3.03 shall be personal to the members of The First Presidency, shall be exercised by the members of The First Presidency in accordance with the doctrines and polity of the Church and cannot be transferred or assigned.

As and to the extent required by Section 509(a)(3)(C) of the Internal Revenue Code of 1986, as amended (the "Code"), in order to maintain the corporation's qualification as a "supporting organization" with respect to the Church, the corporation shall not be controlled, directly or indirectly, by one or more "disqualified persons" (as defined in Section 4946(a) of the Code) other than (a) "foundation managers" (as defined in Section 4946(b) of the Code), (b) the Church and (c) organizations described in Section 509(a)(1) or Section 509(a)(2) of the Code and affiliated with the Church.

Section 3.04. Proxies. A trustee may exercise his voting rights either in person or by written proxy executed by the trustee (but not by a trustee's attorney-in-fact or agent) in favor of another trustee. Any such proxy shall be limited to a specific meeting, shall authorize the other trustee to cast the vote that is directed to be cast by such written proxy with respect to one or more particular proposals that are described with reasonable specificity in the proxy, shall be revocable at any time by the trustee giving such proxy, and shall be filed with the Secretary of the Board and in the minutes of the meetings of the Board. For purposes of these Bylaws, including the determination of the presence of a quorum, a trustee voting by written proxy pursuant to this Section 3.04 shall be counted as if present in person at the specific meeting to which such proxy relates.

Section 3.05. Vacancies. Subject to the provisions of the Act, any trustee may resign effective upon giving written notice to the Chairman of the Board, the Secretary of the Board or the Board, unless the notice specifies a later time for the effectiveness of such resignation. If the resignation is effective at a future time, a successor may be selected before such time, to take office when the resignation becomes effective.

A vacancy on the Board shall be deemed to exist in case of the death, resignation or removal of any trustee or an increase in the number of trustees.

Vacancies on the Board shall be filled by written designation of The First Presidency of the Church, as provided in Section 3.03.

No reduction of the authorized number of trustees shall have the effect of removing any trustee absent a written designation of The First Presidency of the Church.

Section 3.06. Place of Meeting. Meetings of the Board shall be held at any place within or without the State of Utah which has been designated from time to time by the Board. In the absence of such designation, regular meetings shall be held at the principal office of the corporation.

Section 3.07. Annual Meetings. The Board shall hold an annual meeting for the purposes of organization, selection of officers of the corporation and the transaction of other business. Annual meetings of the Board shall be held on such dates and at such times as may be fixed by the Board.

Section 3.08. Regular Meetings. Regular meetings of the Board may be held without call or notice on such dates and at such times as may be fixed by the Board.

Section 3.09. Special Meetings. Special meetings of the Board for any purpose or purposes may be called at any time by the Chairman of the Board, the First Vice Chairman of the Board, the Second Vice Chairman of the Board or the Secretary of the Board.

Section 3.10. Notice. Annual and special meetings of the Board shall be held upon at least four (4) days' notice by first-class mail or forty-eight (48) hours' notice given personally (orally or in writing) or by telephone, electronic mail, facsimile transmission or other similar means of prompt communication. Notice shall be in writing unless oral notice is reasonable under the applicable circumstances.

Any such notice shall be addressed or delivered to each trustee at such trustee's address as it is shown upon the records of the corporation or as may have been given to the corporation by the trustee for purposes of notice or, if such address is not shown on such records or is not readily ascertainable, at the place

where the meetings of the trustees are regularly held.

Notice by mail shall be deemed to have been given at the time a written notice is deposited in the United States mails, postage prepaid. Any other written notice shall be deemed to have been given at the time it is personally delivered to the recipient or is delivered to a common carrier for transmission, or actually transmitted by the person giving the notice by electronic means, to the recipient. Oral notice shall be deemed to have been given at the time it is communicated, in person or by telephone or wireless, to the recipient or to a person at the office of the recipient who the person giving the notice has reason to believe will promptly communicate it to the receiver.

Section 3.11. Quorum. A majority of trustees then in office shall constitute a quorum of the Board for the transaction of business, except to adjourn as provided in Section 3.14. Every act or decision done or made by a majority of the trustees present at a meeting duly held at which a quorum is present shall be regarded as the act of the Board, unless a greater number be required by law or by the Articles.

Section 3.12. Participation in Meetings by Telephone Conference Call. Trustees may participate in a meeting of the Board, or a committee meeting, through use of a conference telephone or similar communications equipment, so long as all members participating in such meeting can hear one another.

Section 3.13. Waiver of Notice. Notice of a meeting need not be given to any trustee who signs a waiver of notice or a written consent to holding the meeting or an approval of the minutes thereof, whether before or after the meeting, or who attends the meeting without protesting, prior thereto or at its commencement, the lack of notice to such trustee. All such waivers, consents and approvals shall be filed with the corporate records or made a part of the minutes of the meeting.

Section 3.14. Adjournment. A majority of the trustees present, whether or not a quorum is present, may adjourn any trustees' meeting to another time and place. Notice of the time and place of holding an adjourned meeting need not be given to absent trustees if the time and place be fixed at the meeting adjourned, except as provided in the next sentence. If the meeting is adjourned for more than twenty-four (24) hours, reasonable notice of any adjournment to another time or place shall be given prior to the time of the adjourned meeting to the trustees who were not present at the time of the adjournment.

Section 3.15. Action Without Meeting. Any action required or permitted to be taken by the Board may be taken without a meeting if all members of the Board shall individually or collectively consent in writing to such action. Such consent or consents shall have the same effect as a unanimous vote of the Board and shall be filed with the minutes of the proceedings of the Board.

Section 3.16. Board Officers Council There is established, as a committee of the Board, a Board Officers Council consisting of the Chairman of the Board, the First Vice Chairman of the Board and the Second Vice Chairman of the Board which, except (a) as provided in Section 3.18 and (b) when the Board is in session, shall have and may exercise the powers of the Board in the management of the business and affairs of the corporation and may authorize the seal of the corporation to be affixed to all papers which may require it.

The Board Officers Council shall also have the power of general supervision, management and control of the business of the corporation and over the several officers of the corporation.

Any action which under the provisions of the Act may be taken at a meeting of the Board Officers Council may be taken without a meeting if authorized by a writing signed by all members of the Board Officers Council who would be entitled to vote at a meeting for such purpose and filed with the Secretary of the Board.

Section 3.17. Standing or Special Committees. In the event that the Board determines that the management of the corporation would be benefitted by the establishment of one or more standing or special committees, such as an executive committee, in addition to the Board Officers Council, the Board may from time to time establish one or more such committees.

The establishment of a standing or special committee shall be effected by a resolution of the Board approved by the vote of the majority of the trustees then in office, which specifically sets forth the powers and duties delegated to such committee. Each such committee shall consist of two (2) or more trustees and shall be presided over by a trustee selected by the Board.

The term "standing committee" or "special committee" shall mean any committee appointed by the Board which is authorized by specific delegation, without further Board action, to make and implement decisions on behalf of the

Board, or to implement, with some degree of discretion, decisions of the Board pursuant to guidelines established by the Board. Notice of, and procedures for, meetings of standing or special committees shall be as prescribed by the chairman of each such standing or special committee, and meetings of standing or special committees may be called by the Board or the chairman of the standing or special committee.

Section 3.18. Limitations upon Committees of the Board. No committee of the Board, including the Board Officers Council and the executive committee, if established, shall have any of the authority of the Board with respect to:

- (a) the amendment, alteration or repeal of any Bylaw;
- (b) the appointment or removal of any member of a committee that has authority of the Board;
- (c) the amendment of the Articles;
- (d) the adoption of a plan of merger or consolidation with another corporation;
- (e) the authorization of the sale, lease, exchange, mortgage or pledge of all or substantially all of the corporation's property or assets;
- (f) the authorization of the corporation's voluntary dissolution, the revocation of proceedings therefor, or the adoption of a plan for the distribution of the corporation's assets on dissolution; or
- (g) the amendment, alteration or repeal of any resolution of the Board.

In addition, notwithstanding any other provision of these Bylaws, if any committee of the Board has one (1) or more members who are entitled to vote on committee matters and who are not then trustees, the committee may not exercise any power or authority reserved to the Board in the Act or these Bylaws.

Section 3.19. Advisory Commissions. The Chairman of the Board, the Board or the Board Officers Council may from time to time appoint such advisory commissions as deemed appropriate, consisting of trustees or persons who are not trustees, but such advisory commissions shall not be deemed

committees of the board and shall not exercise any powers of the Board. Notice of, and procedures for, meetings of advisory commissions shall be as prescribed by the chairman of each such advisory commission, and meetings of advisory commissions may be called by the Chairman of the Board, the Board, the Board Officers Council or the chairman of the advisory commission.

Section 3.20. Fees and Compensation; Loans and Advances. Trustees and members of committees or commissions may receive such reasonable compensation, if any, for their services, and such reimbursement for expenses, as may be fixed or determined by the Board.

Notwithstanding the foregoing, this corporation shall not make any loan of money or property to, or guarantee the obligation of, any trustee or officer, unless otherwise permitted by the Act; *provided, however*, that the corporation may advance money to a trustee or officer of the corporation for expenses reasonably anticipated to be incurred in the performance of the duties of such officer or trustee, provided that in the absence of any such advance, such trustee or officer would be entitled to be reimbursed for such expenses by the corporation. Nothing contained in this Section 3.20 shall be construed to preclude any trustee from serving the corporation in any other capacity as an officer, agent, employee or otherwise, and receiving compensation therefor.

Section 3.21. Emergency Powers. For purposes of this Section 3.21, an emergency shall be deemed to exist if a quorum of trustees cannot readily be obtained because of a catastrophic event. In the event of an emergency, notice of a meeting of the Board need be given only to those trustees that practically can be reached, and notice can be given by any practicable manner, including by radio. Officers of the corporation present at the meeting of the Board may be considered trustees, in order of rank and within the same rank of seniority, as necessary to achieve a quorum. During an emergency, the Board may modify seniority to accommodate the incapacity of any trustees, officers, employees or agents, adopt bylaws only to be effective during the emergency, relocate the corporation's principal offices and take such other action as is necessary in good faith to further the corporation's ordinary business.

ARTICLE IV OFFICERS OF THE BOARD

Section 4.01. Officers of the Board. The officers of the Board shall be a Chairman of the Board, a First Vice Chairman of the Board, a Second Vice

Chairman of the Board and a Secretary of the Board. No person shall hold more than one office as an officer of the Board. Any officer of the Board may serve successive terms without limitation. The Chairman of the Board, the First Vice Chairman of the Board and the Second Vice Chairman of the Board shall be trustees. The Secretary of the Board need not be a trustee.

Section 4.02. Appointment; Vacancies. The officers of the Board shall be appointed by and shall serve at the pleasure of The First Presidency of the Church. A vacancy in any office because of death, resignation, removal, disqualification or any other cause shall be filled by appointment by The First Presidency.

Section 4.03. Chairman of the Board. The Chairman of the Board shall, if present, preside at all meetings of the Board and shall exercise such other powers and perform such other duties as may be from time to time prescribed by the Board.

Section 4.04. First Vice Chairman of the Board. The First Vice Chairman of the Board shall preside at all meetings of the Board at which the Chairman of the Board is absent and shall exercise such other powers and perform such other duties as may be from time to time prescribed by the Board.

Section 4.05. Second Vice Chairman of the Board. The Second Vice Chairman of the Board shall preside at all meetings of the Board at which the Chairman of the Board and the First Vice Chairman of the Board are absent and shall exercise such other powers and perform such other duties as may be from time to time prescribed by the Board.

Section 4.06. Secretary of the Board. The Secretary of the Board shall keep or cause to be kept, at the principal office or such other place as the Board may order, a book of minutes of all meetings of the Board and its committees, with the time and place of holding, whether regular or special, and if special, how authorized, the notice thereof given, the names of those present at Board and committee meetings, and the proceedings thereof.

The Secretary of the Board shall give, or cause to be given, notice of all meetings of the Board and any committees thereof required by law or by these Bylaws to be given and shall exercise such other powers and perform such other duties as may be from time to time prescribed by the Board.

Section 4.07. Absence of Chairman and Vice Chairmen of the Board. In the absence of the Chairman of the Board, the First Vice Chairman of the Board and the Second Vice Chairman of the Board, trustees in order of seniority as established by The First Presidency of the Church shall preside at meetings of the Board.

ARTICLE V OFFICERS OF THE CORPORATION

Section 5.01. Officers of the Corporation. The officers of the corporation shall be a President, a Corporate Secretary and a Treasurer. The corporation may also have, at the discretion of the Board, one (1) or more Vice Presidents, one (1) or more Assistant Secretaries, one (1) or more Assistant Treasurers, and such other officers as may be elected or appointed in accordance with the provisions of Section 5.03. Any number of offices may be held by the same person except as may otherwise be required by the Act. Any officer of the corporation may be elected or appointed to serve successive terms without limitation. The officers of the corporation need not be trustees.

Section 5.02. Election. The officers of the corporation, except such officers as may be elected or appointed in accordance with the provisions of Section 5.03 or Section 5.05, shall be chosen annually by, and shall serve at the pleasure of, the Board, and shall hold their respective offices until their resignation, removal or other disqualification from service, or until their respective successors shall be elected.

Section 5.03. Subordinate Officers. The Board may elect, or the Board Officers Council, the Chairman of the Board or the President may appoint, such other officers of the corporation as the corporation's business may require, each of whom shall hold office for such period, have such authority and perform such duties as are provided in these Bylaws or as the Board, the Board Officers Council, the Chairman of the Board or the President may from time to time determine consistent with these Bylaws and any actions of the Board.

Section 5.04. Removal and Resignation. Any officer of the corporation may be removed, either with or without cause, by the Board or the Board Officers Council at any time or, except in the case of an officer chosen by the Board or the Board Officers Council, by any officer of the Board or officer of the corporation upon whom such power of removal may be conferred by the Board. Any such removal shall be without prejudice to the rights, if any, of the officer of the

corporation under any contract of employment of the officer.

Any officer of the corporation may resign at any time by giving written notice to the corporation, but without prejudice to the rights, if any, of the corporation under any contract to which the officer is a party. Any such resignation shall take effect at the date of the receipt of such notice or at any later time specified therein and, unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

Section 5.05. Vacancies. A vacancy in any office because of death, resignation, removal, disqualification or any other cause shall be filled in the manner prescribed in these Bylaws for regular election or appointment to such office, provided that such vacancies shall be filled as they occur and not on an annual basis.

Section 5.06. President. The President is the general manager and chief executive officer of the corporation and has, subject to the control of the Board, general supervision, direction and control of the business and officers of the corporation. The President has the general powers and duties of management, including but not limited to the power to execute written agreements and other instruments in writing to bind the corporation, as are usually vested in the office of president and general manager of a corporation and shall exercise such other powers and perform such other duties as may be from time to time prescribed by the Board.

Section 5.07. Vice Presidents. In the absence or disability of the President, the Vice Presidents, if any be appointed, in order of their rank as fixed by the Board or, if not ranked, the Vice President designated by the Board, shall perform all the duties of the President and, when so acting, shall have all the powers of, and be subject to all the restrictions upon, the President. The Vice Presidents shall exercise such other powers and perform such other duties as may be from time to time prescribed for them respectively by the Board or delegated from among the President's powers and duties by the President.

Section 5.08. Corporate Secretary. The Corporate Secretary shall assist the Secretary of the Board in the performance of his duties as set forth in Section 4.06, shall keep the seal of the corporation in safe custody, shall, in general, exercise such other powers and perform such other duties as are usually vested in the office of secretary of a corporation and shall perform such other duties as may be from time to time prescribed by the Board or delegated from among the

President's powers and duties by the President.

Section 5.09. Chief Financial Officer. The Board may designate a person to serve as the Chief Financial Officer of the corporation. In the absence of such a designation, the Treasurer shall serve as the Chief Financial Officer of the corporation.

Section 5.10. Treasurer. The Treasurer shall keep and maintain, or cause to be kept and maintained, adequate and correct accounts of the properties and business transactions of the corporation. The books of account shall at all times be open to inspection by any trustee.

The Treasurer shall deposit all moneys and other valuables in the name and to the credit of the corporation with such depositories as may be designated by the Board. The Treasurer shall disburse the funds of the corporation as may be ordered by the Board, shall render to the President and the trustees, whenever they request it, an account of all transactions as Treasurer and of the financial condition of the corporation, shall, in general, exercise such other powers and perform such other duties as are usually vested in the office of treasurer of a corporation and shall perform such other duties as may be from time to time prescribed by the Board or delegated from among the President's powers and duties by the President.

ARTICLE VI OTHER PROVISIONS

Section 6.01. Endorsement of Documents; Contracts. Subject to the provisions of applicable law, any check, draft, order for the payment of money, note, mortgage, evidence of indebtedness, contract, conveyance or other instrument in writing and any assignment or endorsement thereof executed or entered into between the corporation and any other person, when signed by the Chairman of the Board, any Vice Chairman of the Board, the President or any Vice President and the Secretary of the Board, the Corporate Secretary, any Assistant Secretary, the Treasurer or any Assistant Treasurer of the corporation shall be valid and binding on the corporation in the absence of actual knowledge on the part of the other person that the signing officers had no authority to execute the same. Any such instruments may be signed by any other person or persons and in such manner as from time to time shall be determined by the Board, and, unless so authorized by the Board, no other officer, agent or employee shall have any power or authority to bind the corporation by any

contract or engagement or to pledge its credit or to render it liable for any purpose or amount.

Section 6.02. Representation of Securities of Other Corporations. The Chairman of the Board, any Vice Chairman, the President and any other officer or officers authorized by the Board, the Board Officers Council, the Chairman of the Board or the President are each authorized to vote, represent and exercise on behalf of the corporation all rights incident to any and all shares and other securities of any other corporation or corporations or other issuer or issuers standing in the name of the corporation. The authority herein granted may be exercised either by such officer in person or by any other person authorized to do so by proxy or power of attorney duly executed by said officer.

Section 6.03. Construction and Definitions. Unless the context otherwise requires, the general provisions, rules of construction and definitions contained in the Act shall govern the construction of these Bylaws.

Section 6.04. Amendments. These Bylaws may be amended or repealed by the approval of the Board, provided, however, that the provisions of

(a) this Section 6.04, and

(b) Sections 3.02, 3.03, 3.05 and 4.02 relating to the right of The First Presidency of the Church in the appointment and removal of trustees and of officers of the Board

shall be amended or repealed only with the written consent of The First Presidency.

Section 6.05. Maintenance of Records. The corporation shall maintain its records in written form or another form capable of conversion into written form within a reasonable time. The corporation shall maintain appropriate accounting records and shall keep at such place or places designated by the Board, or, in the absence of such designation, at the principal business office of the corporation as permanent records the following:

(a) Minutes of all meetings of the Board;

(b) A record of all actions taken by the Board without a meeting;

(c) A record of all actions taken by a committee of the Board in place of the Board on behalf of the corporation; and

(d) A record of all waivers of notice of meetings of the Board and any committee of the Board.

The corporation shall also keep of copy of each of the following records at its principal office:

(i) The Articles, as amended to date;

(ii) The Bylaws, as amended to date;

(iii) A list of the names and business or home addresses of the

(iv) corporation's current trustees and officers; and

(iv) A copy of corporation's most recent report to the Utah Division of Corporations and Commercial Code pursuant to the Act.

Section 6.06. No Personal Liability; Indemnification. The trustees and officers shall not be liable for the debts and liabilities of the corporation. The personal liability of the trustees and officers for monetary damages of the corporation is eliminated to the fullest extent permitted by the Act and other applicable law.

The corporation shall, to the maximum extent permitted by the Act, indemnify each of its trustees and officers against expenses, judgments, fines, settlements and other amounts actually and reasonably incurred in connection with any proceeding arising by reason of the fact any such person is or was a trustee or officer of the corporation and shall advance to such trustee or officer expenses incurred in defending any such proceeding to the maximum extent permitted by the Act. For purposes of this Section 6.06, a "trustee" or "officer" of the corporation includes any person who is or was a trustee or officer of the corporation, or is or was serving at the request of the corporation as a trustee, director or officer of another corporation or other enterprise, or was a trustee, director or officer of a corporation which is or was a predecessor corporation of the corporation or of another corporation or other enterprise at the request of such predecessor corporation. The Board may, in its discretion, provide by

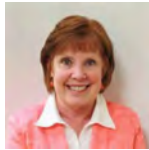
resolution for such indemnification of, or advance of expenses to, other agents of the corporation, and likewise may refuse to provide for such indemnification or advance of expenses except to the extent such indemnification is mandatory under the Act.

In its discretion, the Board may purchase and maintain insurance on behalf of the corporation's trustees, officers, employees and agents, or any of them, against any liability or settlement based upon asserted liability incurred by any of them by reason of being or having been the corporation's trustees, officers, employees or agents, whether or not the corporation would have the power to indemnify them against such liability or settlement under the provisions of applicable law.

2020 Organizational Chart (Two levels deep)



Kevin Worthen
President
President



Janet Heier
President's Office
Executive Assistant



Shane Reese
Academic VP
Academic Vice President



Steve Hafen
Administration VP and CFO
Administration Vice Pres & CFO



Keith Vorkink
Advancement VP
Advancement Vice President



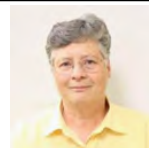
Rosemary Thackeray
Assessment & Planning
Asst to Pres Assmnt/Planning



Tracy Flinders
CIO/ Information Technology VP
Vice Pres Info Tech/CIO



Steve Sandberg
General Counsel
Asst to Pres Gen Counsel



Sandra Rogers
International VP
International Vice President



Julie Franklin
Student Life VP
Student Life Vice President



Vernon Heperi
Student Success & Inclusion
Assistant to the President SSI



Carri Jenkins
University Communications
Asst to the Pres Univ Comm



Shane Reese
Academic VP
Academic Vice President



Kris Nelson
Academic VP Office
Assistant to the Academic VP



John Tanner
Academic VP Office
Professor



Brad Neiger
Assoc Acad VP Faculty
Assoc Acad Vice Pres - Faculty



Laura Bridgewater
Assoc Acad VP Faculty
AAVP Faculty Development



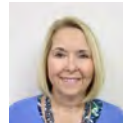
Larry Howell
Assoc Acad VP Grad, Res
Assoc Acad VP/Grad Studies



John Rosenberg
Assoc Acad VP Undergrad
Assoc Acad VP/Undgr Studies



Gordon Smith
Clark Law School
Dean, Law School



Jane Lassetter
College of Nursing
Dean, College of Nursing



Ben Ogles
Family, Home, Social Sci
Dean, Family Home & Soc Sc



Ed Adams
Fine Arts-Communications
Dean, Fine Arts & Communicatns



Michael Jensen
Fulton Engineering Tech
Dean, Engineering & Technology



Scott Miller
Humanities
Dean, Humanities



James Porter
Life Sciences
Dean, Life Sciences



Brigitte Madrian
Marriott School of Business
Dean, Marriott Sch of Business



Mary Anne Prater
McKay School of Education
Dean, School of Education



Gus Hart
Physical-Mathematical Sci
Dean, Physical & Math Sciences



Daniel Judd
Religious Education
Dean, Religious Education



Steve Hafen
Administration VP and CFO
Administration Vice Pres & CFO



Katy Clark
Administration VP and CFO Offi
Exec Asst to Admin VP & CFO



Carr Krueger
Asst Adm VP Auxiliary & Prg
AAVP-Auxiliaries and Programs



David Tueller
Asst Adm VP Human Resources
Asst Admin VP HRS



Ole Smith
Asst Adm VP Physical Facil
Asst Admin VP Phys Facil



Doug Belliston
Asst Administration VP Finance
Asst Administration VP Finance



Tim Hill
Supply & Logistics Management
Mng Dir Purchasing & Travel



Keith Vorkink
Advancement VP
Advancement Vice President



Holly Skelton
Advancement VP Office - Oper
Administrative Assistant IV



Michael Dunn
Advancement VP
Managing Director, BYUB



Chad Gwilliam
Athletics
Associate Athletic Director



Tom Holmoe
Athletics
Athletic Director



Justin Durfey
Special Events
Director Special Events



Rosemary Thackeray
Assessment & Planning
Asst to Pres Assmnt/Planning



Britni Extton
Assessment and Planning
Executive Assistant



Danny Olsen
Assessment and Planning
Director Assessment



Travis Blackwelder
Assessment and Planning
Dir Educ Support Unit Reviews



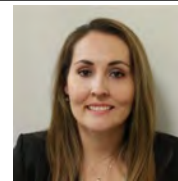
Tracy Flinders
CIO/ Information Technology VP
Vice Pres Info Tech/CIO



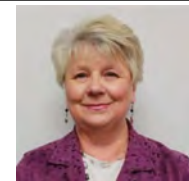
Joe Taylor
CES CTO - Office
Chief Technology Officer



Chris Williams
CIO-VP-Office
Executive Administrative Asst



Christina Travis
CIO-VP-Office
CIO, LDS Business College



Christine Tolman
CIO-VP-Office
Asst to CIO Enterprise Architect



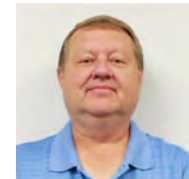
Phil Windley
CIO-VP-Office
Enterprise Architect



Nate Hatch
Office of Information Tech
Asst Vice President Technology



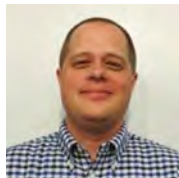
Ryan Cox
Office of Research Computing
Director of Research Computing



Douglas Maxwell
PMPC Administration
Mng Dir PMPC



Brad Stone
SOC - Office
Sr Director of Info Governance



John Payne
SOC - Office
Chief Information Security Officer



Nick Turley
SOC-Info Security
Mng Dir, CES IT Architecture



Michelle Bennett
TPC - Planning
Mng Dir, CES Tech Planning Ctr



Steve Sandberg
General Counsel
Asst to Pres Gen Counsel



Chris Autry
BYU Police
Mng Dir Chief Univ Police



Christian Fox
General Counsel Office
Deputy General Counsel



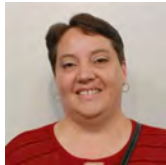
Sarah Campbell
Integrity & Compliance Office
Chief Integrity/Compliance Ofc



Branden Wilson
Risk Management and Safety
Mng Director Risk Mgmnt/Safety



Sandra Rogers
International VP
International Vice President



Linda Godfrey
International VP Office
Executive Assistant



Lee Glines
Continuing Education
Dean Continuing Education



Jeff Ringer
International VP
Assoc International VP



Kate Andreason
International VP Office
Exec Secretary V



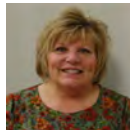
Landes Holbrook
International VP Office
Sr Mgr Global Sfty, Hlth & Sec



Renata Forste
Kennedy International Center
Assoc International VP



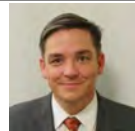
Julie Franklin
Student Life VP
Student Life Vice President



Betty Johnson
Student Life VP Office
Executive Assistant



Sarah Westerberg
Dean of Students
Assc Std Life VP & Dean of Std



Christian Faulconer
Enrollment Services Exec Direc
Exec Dir Enrollment Services



Paul Barton
Housing Administration
Director, Residence Life



Brad LeBaron
HSAdministration
Director Student Health Servcs



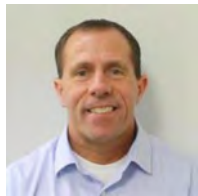
Steve Smith
Student Life VP Office
Director, Counseling & Career



Tiffany Turley Bowcut
Title IX
Title IX Coordinator



Vernon Heperi
Student Success & Inclusion
Assistant to the President SSI



Trevor Wilson
Athletic Academic Advisemen
Assoc Dean Student Life Athl



James Slaughter
Stdnt Success and Inclusion
Univ Chaplain & Mgr SS&I



Marissa Gilson
Stdnt Success and Inclusion
SS&I Admin Counselor / Coord



Carri Jenkins
University Communications
Asst to the Pres Univ Comm



Becky Sanderson
University Communications
Executive Assistant, Univ Comm



Brian Wilcox
University Communications
Videographer



Jaren Wilkey
University Communications
Manager Visual Communications



Jon McBride
University Communications
Director, Digital Communicatio



Julie Walker
University Communications
Broadcast Media Producer



Natalie Ipson
University Communications
Strategic Comm & Cmps News Mgr



Todd Hollingshead
University Communications
Media Rel Mgr/Natnl News Mgr

Deans' Council

The Deans' Council discusses and reviews academic matters as they affect and apply to the university community.

Responsible Officer:

Shane Reese, Academic Vice President

Chair:

Shane Reese, Academic Vice President

Members:

- Edward Adams, Fine Arts and Communications
- Rick Anderson, University Librarian
- Laura Bridgewater, Associate Academic Vice President–Faculty Development
- Christian Faulconer, Student Academic and Advisement Services
- Logan Gillette, Graduate Studies
- Larry Howell, Associate Academic Vice President – Research and Graduate Studies
- Grant Jensen, Physical and Mathematical Sciences
- Michael Jensen, Engineering and Technology
- Dan Judd, Religious Education
- Jane Lassetter, Nursing
- Brigitte Madrian, Marriott School of Management
- Scott Miller, Humanities
- Brad Neiger, Associate Academic Vice President–Faculty Relations
- Kris Nelson, Assistant to the Academic Vice President
- Benjamin Ogles, Family, Home and Social Sciences
- James Porter, Life Sciences
- Mary Anne Prater, McKay School of Education
- Sandra Rogers, International Vice President
- John Rosenberg, Associate Academic Vice President – Undergraduate Studies
- Susan Rugh, Undergraduate Education

- Gordon Smith, Law School
- Sarah Westerberg, Associate Student Life Vice President and Dean of Students

BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

801-422-4636

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Policy on University Policies



University policies are statements of principle that guide university affairs. All official university policies must be developed according to the standards and procedures stated in this policy. Only policies that are properly documented, approved by the President's Council, and posted on the university's policy website (policy.byu.edu) are official university policies. Individual campus units, including academic colleges and departments and educational support units, may implement their own internal policies and procedures so long as these do not conflict with official university policies. In the event that conflicts arise among any policies affecting the university or any of its colleges, departments, or other campus units, the policy enacted by the highest university body, up to and including the Board of Trustees, controls.

University personnel and students must comply with all university policies. (See [Personnel Conduct Policy](#); [Church Educational System Honor Code](#).) All university personnel and students should be aware that university policies may be changed from time to time in accordance with the process outlined in this policy. The approval date that appears on official university policies is the date the policy was approved by the President's Council and constitutes the effective date of the policy.

Policies may have substantive and procedural aspects. For example, the Rank and Status Policy establishes a process for faculty rank advancement. However, even though the Rank and Status Policy focuses on process, the processes described in that policy are substantive and merit inclusion in the policy. On the other hand, policies need not include routine administrative and management processes, such as forms, tables, contact information, office locations, or educational and training materials. These types of implementing procedures may be instituted by the President's Council member who has responsibility for the subject matter of the policy ("Policy Owner") and should be electronically linked to the relevant policy.

President's Council Policy Approval Process

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All official university policies must be submitted to the President's Council and approved in the following manner:

1. New policies, substantive changes to any policy, or termination of an existing policy must be officially sponsored by a Policy Owner. The general counsel is an ex officio Policy Owner of every university policy.
2. The director of the Integrity and Compliance Office and the Policy Owner may jointly appoint ad hoc university committees to assist with making policy recommendations in connection with any proposed policy, policy change, or termination.
3. Proposed drafts of, substantive changes to, or requests to terminate policies, together with an accompanying explanation, are delivered by the Policy Owner, or his or her designee, to a designated member of the Integrity and Compliance Office.
4. The member of the Integrity and Compliance Office and the Policy Owner, or his or her designee, collaborate on any proposed new policies or revisions to policies. The Integrity and Compliance Office has the responsibility to coordinate with the Office of the General Counsel on any necessary legal review of policies, to ensure compliance with the law, and the responsibility to ensure consistency and harmony among university policies.
5. The Policy Owner, or his or her designee, and the member of the Integrity and Compliance Office confer to identify areas, groups, and individuals within the campus community that have a direct and reasonable interest in reviewing and commenting on the policy, policy changes, or termination. The Integrity and Compliance Office coordinates the circulation of policy drafts for comment among those identified areas, groups, and individuals and

the presentation of drafts to committees or councils as determined necessary or requested by any member of the

President's Council.

6. Once the general counsel, chief integrity and compliance officer, and Policy Owner are satisfied regarding the content of a policy, policy change, or termination, the Policy Owner adds the policy item to the President's Council agenda and ensures the policy is submitted for review and comment to all of the members of the President's Council at least four business days prior to formal consideration by the President's Council.
7. The proposed policy, policy change, or termination is submitted with an accompanying explanatory memo by the Policy Owner or the member of the Integrity and Compliance Office for consideration by the President's Council.
8. The President's Council may approve the policy as submitted, approve the policy with changes adopted during the President's Council meeting, reject the policy, request changes to the draft, or request further review, comment, or research before resubmission of the policy to the President's Council for approval.
9. In the event that changes are requested, the Integrity and Compliance Office drafts language effecting the suggested changes and circulates any material changes to the President's Council for further review and approval.
10. Once the policy is approved by the President's Council, the Integrity and Compliance Office posts the policy to the university's policy website (policy.byu.edu).

Although substantive changes to policies must follow the approval process, non-material changes, such as correcting typographical errors, updating names or titles to reflect organizational restructuring, or minor word clarifications, may be made by the Integrity and Compliance Office without going through the approval process. These types of changes are noted in a file maintained by the Integrity and Compliance Office, and a new revision date is included on the published policy (in addition to the approval date).

Regular Policy Review

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All university policies must be regularly reviewed by the Policy Owner (or primary Policy Owner in the case of more than one) designated for each policy. The Policy Owner determines whether changes are needed in a policy and sends any proposed changes to the Integrity and Compliance Office to initiate the approval process. The Integrity and Compliance Office assists in managing input and review through the policy approval process as directed by the President's Council.

Posting of Policies

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Policies are intended to be internal to the university and should not be posted on the university's home page or other public access sites without the express approval of the President's Council. The President's Council may determine that a policy is appropriate for public access in any of the following situations:

- A federal, state, or local law requires the policy to be made available to the public or other groups outside the university community
- An accreditation standard requires the policy to be made available to the public or other groups outside the university community
- The policy applies to individuals outside the university community who should have notice of the policy requirements that apply to them
- Publicly posting the policy would be beneficial for the university

After policies have been approved by the President's Council, policies are posted on the university's policy website (policy.byu.edu) by the Integrity and Compliance Office. If the President's Council has determined that public access is appropriate, the policy is posted at the university's policy website without a login requirement to view. Individual colleges, departments, and offices on campus should not separately post their own copies of university policies on their websites. If it is necessary or appropriate for a college, department, or office website to refer to a university policy, the website should link to the official version of the policy at the university's policy website.

Archiving of Policies

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Approved policies, drafts of policies, rejected policies, and discontinued policies are kept in the records of the Integrity and Compliance Office, consistent with the university's document retention policy.

CONTACT

Brigham Young University
Integrity and Compliance
Office
C-289 ASB
Provo, UT 84602

[801-422-0032](tel:801-422-0032)

Policy on University Policies



¹ The Policy Owner is the member of the President's Council who has responsibility for the subject matter of the policy.

Faculty Advisory Council (FAC)

The Faculty Advisory Council (FAC) is the official voice of the faculty to the administration. The Council of itself may raise issues, consider issues raised by other faculty members, or respond to issues submitted to them by the administration. The standing committees of the FAC may create a liaison with other university committees as needed. Although FAC members are elected by their colleagues, they serve on the Council as university citizens with a university viewpoint and not as college representatives. FAC members serve for a term of three years, which expires at the end of winter semester.

Website:

Faculty Advisory Council (<https://fac.byu.edu/>)

Responsible Officer:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Co-Chair:

Eva Witesman, Marriott School (term expires April 2021)

Secretary:

Kelly Blazian, Kennedy Center

Members:

- Julie Allen, Comparative Arts & Letters (term expires April 2023)
- Greg Anderson, Information Systems Department (term expires April 2022)
- Byron Adams, Biology (term expires April 2021)
- Larry Baxter, Chemical Engineering (term expires April 2021)
- Randy Beard, Elec & Comp Engineering (term expires April 2023)
- Pamela Brubaker, School of Communications (term expires April 2023)
- Brad Bundy, Chemical Engineering (term expires April 2023)
- Lety Camacho, Library-Public Services (term expires April 2022)
- William Christensen, Statistics (term expires April 2023)
- Jon Cox, Student Development Services (term expires April 2023)
- Sarah Coyne, School of Family Life (term expires April 2021)

- Rebecca DeSchweinitz (term expires April 2023)
- John Dallon, Mathematics (term expires April 2022)
- Dean Duncan, Theatre and Media Arts (term expires April 2022)
- Mark Graham, Art (term expires April 2023)
- Marc Hansen, Physiology Developmental Bio (term expires April 2023)
- Jeff Hardy, History (term expires April 2022)
- John Hilton, Religious Education (term expires April 2022)
- Erin Holmes, School of Family Life (term expires April 2021)
- Jamie Horrocks, English (term expires April 2022)
- Brian Jackson, English (term expires April 2021)
- Eric Jensen, Law School (term expires August 2021)
- David Kryscynski, Management Department (term expires April 2022)
- Teresa Leavitt, McKay School (term expires April 2022)
- Brianna Magnusson, Department of Public Health (term expires April 2021)
- Kerry Muhlestein, Ancient Scripture (term expires April 2023)
- Jacob Rugh, Sociology (term expires April 2023)
- Rebecca Sansom, Chemistry & Bio Chemistry (term expires April 2023)
- Laura Smith, German & Russian (term expires April 2023)
- Denise Stephens, Physics and Astronomy (term expires April 2022)
- Evan Thacker, Public Health (term expires April 2021)
- Michael Whitchurch, Lee Library (term expires April 2023)
- Jennifer Wimmer, McKay School (term expires April 2022)
- Blaine Winters, Nursing (term expires April 2023)

BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

801-422-4636

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Administrative Advisory Council (AAC)

The Administrative Advisory Council (AAC) is a committee of full-time BYU administrative and staff employees whose purpose is to serve as a liaison between the university's administration and support staff.

Charter:

Administrative Advisory Council (AAC)
(<https://committee.byu.edu/system/files/Administrative%20Advisory%20Council%20Charter-Accessible.pdf>).

Website:

Administrative Advisory Council (<https://aac.byu.edu/officers-members>)

Responsible Officer:

David Tueller, Assistant Administrative Vice President-Human Resources

Chair:

Tamryn Barber, BYU Store

Vice Chair:

Coreena White, HBLL

Secretary:

Sandy Alger, School of Education

Members:

- Jared Bell, Athletics
- Memo Caldera, Student Life
- Shasta Hamilton, Humanities
- Steve Morley, Finance
- Jonathon Owen, Publications and Graphics
- Corrine Smith, Dining Services
- Lori Soza, Religious Studies
- James Speirs, OIT

- Carolyn Vermeulen, Life Sciences
- Shane Warby, Fine Arts and Communications
- Rick Worthen, Physical Facilities

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Student Advisory Council (SAC)

The Student Advisory Council (SAC) is a credible and sought after resource that represents the voice and sentiment of the BYU student body. SAC collaborates with BYU students and administration to improve the overall BYU student experience. A maximum of 50 total representatives from colleges, departments, and student organizations serve for a minimum of one semester.

Website:

Student Advisory Council (<https://byusa.byu.edu/council>)

Responsible Officer:

Julie Franklin, Student Life Vice President

Advisor:

Anthony Bates, Assistant Director Student Leadership

Chair:

Gabriel Melendez, BYUSA Vice President of Student Advisory Council

Members:

- COLLEGES (1-2 representatives)
 - Engineering
 - Family, Home, and Social Sciences
 - Fine Arts and Communications
 - Humanities
 - Kennedy Center
 - Life Sciences
 - Marriott School of Business
 - McKay School of Education
 - Nursing
 - Physical and Mathematical Sciences
 - Religious Education
- GRADUATE PROGRAMS (1 representative)

- Graduate Student Society
- Law
- Marriott School of Business
- Romney Institute
- DEPARTMENTS (1 representative)
 - Athletics
 - Ballard Center
 - Campus Security
 - Center for Service and Learning
 - Counseling and Psychological Services
 - Harold B. Lee Library
 - Honors
 - International Student Services
 - Multicultural Student Services
 - Office of First Year Experience
 - Office of First Year Experience-Freshman
 - Resident Halls Association
 - ROTC
 - Student Alumni
 - Student Employment
 - University Accessibility Center
 - Women's Services and Resources
- STUDENT ORGANIZATIONS (1 representative)
 - Clubs
 - Extramural Sports
 - Military Veterans
 - Non-Traditional Students
 - Student Honor
 - Students of Other Faiths

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University Committees

Committees (including councils and boards) are an important part of successfully administering an effective university. Contrary to their reputation, committees can be useful agents for improvement at the university and are a primary tool for making decisions. Committees generally operate at the top of the organizational pyramid, and their decisions and recommendations often affect the entire organization.

At BYU, committees are established under the authority of the president and the President's Council. Each university committee is responsible to and overseen by a designated university officer as more fully described in the [University Committees Policy \(http://policy.byu.edu/view/index.php?p=144\)](http://policy.byu.edu/view/index.php?p=144).

Click here for [University Committee Guidelines \(https://committee.byu.edu/committee-guidelines\)](https://committee.byu.edu/committee-guidelines).

Information on committee membership and roster changes should be provided to Holly Ferguson (holly_ferguson@byu.edu (mailto:holly_ferguson@byu.edu), (801) 422-6103 (Tel:801-422-6103)).

[A](#) | [B](#) | [C](#) | [D](#) | [E](#) | [F](#) | [G](#) | [H](#) | [I](#) | [J](#) | [K](#) | [L](#) | [M](#) | [N](#) | [O](#) | [P](#) | [Q](#) | [R](#) | [S](#) | [T](#) | [U](#) | [V](#) | [W](#) | [X](#) | [Y](#) | [Z](#)

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Responsible Officer

Committee Type

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- [Academic Advisement Leadership Council \(/committee/Academic%20Advisement%20Leadership%20Council\)](/committee/Academic%20Advisement%20Leadership%20Council)
- [Academic Safety, Health, and Environmental Committee \(/committee/Academic%20Safety%2C%20Health%2C%20and%20Environmental%20Committee\)](/committee/Academic%20Safety%2C%20Health%2C%20and%20Environmental%20Committee)
- [Academic Standards Committee \(/committee/Academic%20Standards%20Committee\)](/committee/Academic%20Standards%20Committee)
- [Academic Support Unit Review Committee \(/committee/Academic%20Support%20Unit%20Review%20Committee\)](/committee/Academic%20Support%20Unit%20Review%20Committee)
- [Administrative Advisory Council \(AAC\) \(/committee/Administrative%20Advisory%20Council%20%28AAC%29\)](/committee/Administrative%20Advisory%20Council%20%28AAC%29)

- [Advisement Integration Council \(/committee/Advisement%20Integration%20Council\)](/committee/Advisement%20Integration%20Council)
- [Athletics Compliance Committee \(/committee/Athletics%20Compliance%20Committee\)](/committee/Athletics%20Compliance%20Committee)

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- [Bachelor of General Studies Advisory Board \(/committee/Bachelor%20of%20General%20Studies%20Advisory%20Board\)](/committee/Bachelor%20of%20General%20Studies%20Advisory%20Board)
- [Background Checks Committee \(/committee/Background%20Checks%20Committee\)](/committee/Background%20Checks%20Committee)
- [Ban Review Committee \(/committee/Ban%20Review%20Committee\)](/committee/Ban%20Review%20Committee)
- [Banking Information Security Compliance Committee \(/committee/Banking%20Information%20Security%20Compliance%20Committee\)](/committee/Banking%20Information%20Security%20Compliance%20Committee)
- [Banning Committee \(/committee/Banning%20Committee\)](/committee/Banning%20Committee)
- [Bicycle Committee \(/committee/Bicycle%20Committee\)](/committee/Bicycle%20Committee)
- [BYU Trademark Review Committee \(/committee/BYU%20Trademark%20Review%20Committee\)](/committee/BYU%20Trademark%20Review%20Committee)
- [BYU Websites Steering Committee \(/committee/BYU%20Websites%20Steering%20Committee\)](/committee/BYU%20Websites%20Steering%20Committee)
- [BYU Women's Conference Committee \(/committee/BYU%20Women%27s%20Conference%20Committee\)](/committee/BYU%20Women%27s%20Conference%20Committee)
- [BYUB Sponsorship Review Committee \(/committee/BYUB%20Sponsorship%20Review%20Committee\)](/committee/BYUB%20Sponsorship%20Review%20Committee)

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- [Campus Communications Committee \(/committee/Campus%20Communications%20Committee\)](/committee/Campus%20Communications%20Committee)
- [Campus Planning and Use Committee \(/committee/Campus%20Planning%20and%20Use%20Committee\)](/committee/Campus%20Planning%20and%20Use%20Committee)
- [Campus Safety, Health, and Environmental Committee \(/committee/Campus%20Safety%2C%20Health%2C%20and%20Environmental%20Committee\)](/committee/Campus%20Safety%2C%20Health%2C%20and%20Environmental%20Committee)
- [Campus Threat Assessment Committee \(/committee/Campus%20Threat%20Assessment%20Committee\)](/committee/Campus%20Threat%20Assessment%20Committee)
- [Campus Traffic and Parking Committee \(/committee/Campus%20Traffic%20and%20Parking%20Committee\)](/committee/Campus%20Traffic%20and%20Parking%20Committee)
- [Campus Vehicle Committee \(/committee/Campus%20Vehicle%20Committee\)](/committee/Campus%20Vehicle%20Committee)
- [Center for Teaching and Learning Advisory Council \(/committee/Center%20for%20Teaching%20and%20Learning%20Advisory%20Council\)](/committee/Center%20for%20Teaching%20and%20Learning%20Advisory%20Council)
- [Child Protection Compliance Committee \(/committee/Child%20Protection%20Compliance%20Committee\)](/committee/Child%20Protection%20Compliance%20Committee)
- [Clery Act Compliance Committee \(/committee/Clery%20Act%20Compliance%20Committee\)](/committee/Clery%20Act%20Compliance%20Committee)
- [Commencement Committee \(/committee/Commencement%20Committee\)](/committee/Commencement%20Committee)
- [Community Relations Committee \(/committee/Community%20Relations%20Committee\)](/committee/Community%20Relations%20Committee)

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- [Data Governance Executive Committee \(/committee/Data%20Governance%20Executive%20Committee\)](/committee/Data%20Governance%20Executive%20Committee)
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- [Disruptive Student Committee \(/committee/Disruptive%20Student%20Committee\)](/committee/Disruptive%20Student%20Committee)
- [Drug Free Compliance Committee \(/committee/Drug%20Free%20Compliance%20Committee%20\)](/committee/Drug%20Free%20Compliance%20Committee%20)
- [Drug Testing Advisory Committee \(/committee/Drug%20Testing%20Advisory%20Committee%20\)](/committee/Drug%20Testing%20Advisory%20Committee%20)

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- [Executive Risk Management and Compliance Committee \(ERMCC\)](#)
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- [Faculty Advisory Council \(FAC\)](#) ([/committee/Faculty%20Advisory%20Council%20%28FAC%29](#)).
- [Faculty Awards Committee](#) ([/committee/Faculty%20Awards%20Committee](#)).
- [Faculty Council on Rank and Status–Professional](#)
([/committee/Faculty%20Council%20on%20Rank%20and%20Status%E2%80%93Professional](#)).
- [Faculty Council on Rank and Status–Professorial](#)
([/committee/Faculty%20Council%20on%20Rank%20and%20Status%E2%80%93Professorial](#)).
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- [FERPA Compliance Committee](#) ([/committee/FERPA%20Compliance%20Committee](#)).

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- [Homecoming Executive Committee](#) ([/committee/Homecoming%20Executive%20Committee](#)).
- [Honor Code Advisory Council](#) ([/committee/Honor%20Code%20Advisory%20Council%20](#)).
- [Human Resources Committee](#) ([/committee/Human%20Resources%20Committee](#)).

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- [Information Security and Privacy Committee \(ISPC\)](#)
([/committee/Information%20Security%20and%20Privacy%20Committee%20%28ISPC%29](#)).
- [Information Technology Policy Committee](#)
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- [Institutional Animal Care and Use Committee \(IACUC\)](#)
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- [Institutional Biosafety Committee \(IBC\)](#)
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- [Institutional Review Board for Human Subjects \(IRB\)](#)
([/committee/Institutional%20Review%20Board%20for%20Human%20Subjects%20%28IRB%29](#)).
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- [Jerusalem Center Academic Coordinating Committee](#)
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([/committee/Library%20and%20Scholarly%20Communications%20Advisory%20Council](#)).

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- [Online Course Review Committee \(/committee/Online%20Course%20Review%20Committee\)](/committee/Online%20Course%20Review%20Committee)
- [Operational Advisement Committee \(OAC\) \(/committee/Operational%20Advisement%20Committee%20%28OAC%29\)](/committee/Operational%20Advisement%20Committee%20%28OAC%29)

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BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

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University Committees Policy



University boards, committees, and councils are appointed by and subject to the executive authority of the university president and the President's Council. In this policy, the term "University Committee" or "committee" includes boards, committees, and councils.

Committees may be standing or ad hoc. The work of a standing committee goes forward from year-to-year. The work of an ad hoc committee is temporary and ends upon completion of the particular assignment.

The establishment of University Committees is by the university president upon approval of the President's Council. Only committees that are approved by the President's Council and posted at the university's committee website (committee.byu.edu) are official University Committees. The President's Council designates a university officer to whom the committee is responsible ("Responsible Officer"). Members of a University Committee are nominated by the Responsible Officer and appointed by the university president.

The Responsible Officer, or his or her designee, shall maintain each committee's working structure by doing the following:

- Selecting prospective members with help from the committee chair
- Clearing nominees with the person's dean or administrator
- Notifying the Integrity and Compliance Office of membership changes for letters of appointment or release and for website updates

Each University Committee has an appointed or elected chair and may also have a vice chair. The chair assigns the duties of the vice chair.

Ex officio members of University Committees have all privileges of appointed members. These appointments are job assignments with an indefinite duration. An ex officio member of a committee may appoint a person to act as a substitute when not available. The university president is an ex officio member of all University Committees. The Responsible Officer to whom a committee reports is also an ex officio member of that committee.

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Faculty Hiring Policy



This policy describes the university's standards and procedures for identifying, selecting and hiring continuing faculty status-track (CFS-track) full-time professorial and professional faculty. It also describes the process for issuing full-time faculty contracts. For forms, a worksheet outlining steps for hiring, and additional hiring procedural helps, click on this Faculty Center link: [Hiring & Recruiting](#).

NOTE: No employee or officer of the university, unless authorized in writing by the president, the academic vice president (AVP) or the associate academic vice president – faculty (AAVP-Faculty), may make a commitment to a person for full-time hire or continued employment, salary, benefits or exceptional accommodations in connection with a faculty position. Any oral or implied-in-fact contract or arrangement to this effect is not deemed valid unless authorized in writing by the president, AVP or the AAVP-Faculty.

1 Introduction

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1.1 Applying for Employment: To ensure compliance with federal and state guidelines, individuals seeking employment must complete a faculty application through YJobs.

1.2 Background Check: Brigham Young University strives to provide a secure environment for its students, employees, and visitors. To meet this objective, the university reserves the right to conduct background checks on prospective employees, current employees, volunteers, and affiliates.

1.3 Clearance: Before interviewing an applicant for a faculty position, the department must complete a Request for Ecclesiastical Endorsement form if the applicant is LDS. If the applicant is not LDS, the dean, or an appointed designee, must interview the applicant and complete a University Standards Compliance form. The department sends the YJobs faculty application, together with the Request for Ecclesiastical Endorsement form or the University Standards Compliance form, to the Ecclesiastical Clearance Office (ECO), A-242, ext. 2-3715. An applicant must be cleared by the ECO before the department notifies the applicant or proceeds with the hiring process.

1.4 Individual Responsibility: Fundamental to the purpose of this policy is the understanding that the individual applying for a faculty position bears the burden of presenting persuasive evidence to the university that he or she is appropriately qualified for hire. This includes having the requisite terminal degree, licensure, and any other professional credentials considered necessary for an individual to fully and successfully perform in the position for which he or she is applying.

1.5 Exceptions: The AVP, or an appointed designee, is authorized to approve exceptions to this policy to accommodate extenuating circumstances.

1.6 Nondiscrimination, Honor Code, and Dress and Grooming Standards: Brigham Young University, an equal opportunity employer, does not discriminate on the basis of race, color, gender, age, national origin, or veteran status, or against qualified individuals with disabilities. Because of the university's religious mission, strong preference is given to qualified applicants who are faithful members of The Church of Jesus Christ of Latter-day Saints.

It is a condition of employment that all personnel act in accordance with university policies, the [Church Educational System Honor Code](#), and the [Dress and Grooming Standards](#), and refrain from behavior or expression that seriously and adversely affects the university mission or The Church of Jesus Christ of Latter-day Saints. Latter-day Saint personnel also accept as a condition of employment the standards of conduct consistent with qualifying for temple privileges. All personnel are expected to be role models of a life that combines the quest for intellectual rigor with spiritual values and personal integrity, and to conduct their work in a professional manner consistent with the values espoused by the university and the Church. The university regularly contacts ecclesiastical leaders concerning the temple eligibility of all Latter-day Saint personnel.

NOTE: For more information regarding academic freedom standards, see the [Academic Freedom Policy](#).

2 All But Dissertation ("ABD")

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2.1 Definition: ABD is defined as "all but dissertation" meaning that an individual has completed the necessary

2.1 **Continuing ABD** is defined as an oral dissertation, meaning that an individual has completed the necessary coursework and that the individual's dissertation committee has accepted the dissertation proposal, but that the individual has not yet been awarded the terminal degree required for the rank of assistant professor. (See [Rank and Status Policy](#) sections 5.1.4 and 6.6.1.3.)

2.2 **Advertising:** When an advertised position requires a degree, only those who intend to complete their terminal degree by the contract start date should apply for that position. Individuals are strongly encouraged to remain at their doctoral degree-granting institutions while completing their dissertations in order to receive optimal mentoring from their advisory committees.

2.3 **Exception:** BYU prefers to hire faculty who have completed their terminal degree by the time of contract start date. The offer letter will lapse if an applicant fails to complete his/her terminal degree or obtain any required licensure or other professional credentials by the contract start date. Any exception must be approved by the academic vice president, or designee, and ratified by the president. If an applicant who indicated an intent to complete the terminal degree is hired ABD, he or she must complete all work on the degree and provide verification that the required degree and any required licensure or other professional credentials have been completed by no later than one year from the contract start date. Such requirements will be stated in the offer letter. An applicant hired ABD shall be appointed to the rank of Instructor with a reduction in salary of no less than 10%. When the instructor has met the conditions described in the offer letter, the dean should notify the AAVP-Faculty, who will authorize moving the person to a continuing faculty status track and grant immediate rank advancement to assistant professor.

NOTE: verification that an applicant has successfully defended his/her dissertation is not equivalent to verification that all degree requirements have been met.

3 Faculty – Professorial and Professional

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3.1 **Contracts:** Both the hiring of full-time faculty and the subsequent issuing of full-time faculty contracts must be approved by the AVP as authorized by the president and the Board of Trustees. Generally, full-time faculty contracts are one-year appointments, although non-CFS contracts of other lengths may be requested through Faculty Compensation, D-353 ASB, ext. 2-3569. Faculty appointments on a continuing faculty status track are renewable at the university's discretion (i.e., the university has discretion not to renew any annual appointment) for additional one-year terms until continuing faculty status is granted in the final review, unless the university decides to deny candidacy for CFS in the third-year review. (See [Rank and Status Policy](#) sections 7 and 8.)

3.2 **Vacancies:** The AVP Council authorizes the filling of full-time faculty vacancies. When a vacancy occurs, the chair and the dean should submit memos justifying the filling of the full-time vacancy to the AAVP-Faculty, D-387 ASB, ext. 2-3567 after completing a Faculty Position Vacancy Form in YJobs.

3.3 **Search Committee:** To fill a CFS-track position, the chair should refer the matter to a search committee composed of at least three faculty members. Departments are encouraged to begin the search process early in the academic year preceding the vacancy.

3.4 **Identifying Applicants:** The department should make a vigorous effort to identify the most qualified applicants for a faculty position. This effort may include tracking potential applicants, recruiting at conferences, advertising broadly in professional publications, etc.

3.5 **Clearance to Interview:** Following an appropriate search period, the department search committee will recommend which applicants to invite to campus for interviews. Invitations to campus for interviews must be approved by the chair, the dean, the AAVP-Faculty, and the Church Commissioner of Education. Clearance to interview must precede any express or implied invitation to interview. The AAVP-Faculty will pay for visits of up to two applicants for each approved position vacancy. The department may interview additional applicants at the department's expense, provided that proper clearance to interview is obtained prior to inviting the applicant. Departments are encouraged to interview at least two applicants for each position.

3.6 **Interviews:** Applicants invited to campus should make a formal presentation to the faculty and teach a class or make some other presentation in which they interact with students and are observed by department faculty. During the visit, all available department faculty should have the opportunity to meet individually or in small groups with the applicant. The applicant will also interview with the chair, the dean, the AAVP-Faculty, and a General Authority.

3.7 **Hiring Decision:** After the interviews, and following open discussion in a meeting of the department committee of the whole, department faculty who have CFS and faculty who are in CFS-track positions will vote by secret ballot on which applicant, if any, should be offered a position. To be hired, an applicant must be approved by at least a majority of voting faculty. The applicant must also be approved by the chair, the dean, the AVP (in consultation with the AAVP-Faculty), the president, and the Board of Trustees.

3.8 **Confidentiality:** Faculty and administrators shall maintain confidentiality about faculty votes and deliberations. Applicants should be informed that the hiring process includes review and decision by the department, chair, dean, university administration, and Board of Trustees. No implied or formal commitments to employment can be made until the multi-level review process is completed and approval is granted by the AVP or an authorized designee.

3.9 Offers: All offers must be in writing, with the terms and conditions specified in detail. Offer letters must be approved by the dean and the AAVP-Faculty before they are sent to the applicant. Those participating in the hiring process must

not make or imply any commitments regarding employment terms, including rank or salary, before the offer letter is approved. Deans and chairs may discuss academic rank, possible schedules for the Rank and Status review process, and salary ranges with applicants, but must not make commitments in addition to those approved in the offer letter. An offer letter is binding on the university only if it is approved by the AVP (in consultation with the AAVP-Faculty), or the president, and only if the required approvals have been obtained.

3.10 Initial Classification (Professorial Faculty): Classification as professorial faculty at BYU requires the completion of a terminal degree from an accredited institution of higher education that is appropriate to the applicant's discipline and position and any required licensure or other professional credentials (see section 2 of this policy). The university is committed to the general model of a professorial faculty that engages in both high quality teaching and scholarship/creative work that informs teaching and allows faculty to contribute to their disciplines. Professorial faculty positions should be filled by those whose scholarship is strong and will merit consideration and publication by the finest national presses and academic journals. This is in line with the university's emphasis on faculty publishing high quality scholarship in top-tier national and international outlets that has been critically peer-reviewed by academic disciplinary peers. This quality standard also applies to professorial faculty who produce academically peer-reviewed or juried creative works in venues appropriate to their disciplines. The appropriate degree and qualifications for professorial faculty ranks are described in section 5 of the [Rank and Status Policy](#) (see also section 3.16 of this policy).

3.11 Initial Classification (Professional Faculty): Departments sometimes have a limited need for teaching specialists who teach heavier loads and do less scholarly or creative work. These are classified as professional faculty. Professional faculty also include librarians, clinicians, research specialists, and others with specialized responsibilities. Professional faculty have preferably completed a terminal degree from an accredited institution of higher education that is appropriate to the applicant's discipline and position. At a minimum, the classification of professional faculty requires a bachelor's degree in a related field, some appropriate professional experience or training, and any required licensure or other professional credentials. (See this policy, [section 2](#), and [Rank and Status Policy](#) section 6.6.1.3). The appropriate degree and qualifications for professional faculty ranks are to be determined by the department (see [Rank and Status Policy](#) sections 6.6.1, 6.6.2, and 6.6.3). If the applicant does not meet the criteria for classification as professional faculty, the contract will be at the rank of Visiting Instructor (see the [Non-CFS Track Academic Appointments Policy](#)). CFS-track professional faculty positions should be limited in number and reserved for situations in which the positions can be justified (see [Rank and Status Policy](#) sections 6.1 and 6.2). To create a professional faculty position, the department and the dean must submit a written request to the academic vice president. The memorandum should justify the request and include a position description stating the specific responsibilities and expectations of the position and the ways in which performance will be evaluated (see [Rank and Status Policy](#) sections 6.3-6.5.2).

3.12 Appointments: Faculty members are appointed by the president as authorized by the Board of Trustees. Faculty appointments are generally for one year, except that some visiting appointments are for one semester. Faculty appointments on a continuing faculty status track are renewable at the university's discretion (i.e., the university has discretion not to renew any annual appointment) for additional one-year terms until continuing faculty status is granted in the final review, unless the university decides to deny candidacy for CFS in the third-year review. Continuing faculty status is awarded at the discretion of the president with the aid of recommendations generated in accordance with the [Rank and Status Policy](#). The appointments of faculty with continuing faculty status are automatically renewed each year unless they are terminated for adequate cause (see the [Faculty Discipline and Termination Policy](#)).

3.13 Graduate Faculty Status: Professorial faculty members hired into departments that have a graduate program must comply with the Graduate Faculty Status criteria appropriate for that department or college in order to have Graduate Faculty Status.

3.14 Starting the Timetable for CFS: Time spent as an Instructor does not count toward the time required for CFS. The timetable for the CFS process begins with the start of a Fall semester following the granting of a CFS-track contract at the rank of Assistant Professor or higher. The timetable for faculty hired midyear also begins the following Fall semester.

3.15 Designating Faculty as CFS Professorial and Professional Tracks: To change visiting, temporary, adjunct, or affiliate faculty to a CFS track, the procedures for hiring CFS-track faculty, as specified in this policy, must be followed. Departments must begin a new search, advertise the position, and interview qualified candidates, which could include an incumbent non-CFS-track faculty member. Transferring current professorial or professional CFS-track faculty from one track to another is generally not allowed.

3.16 Credit for Previous Work: Upon recommendation of the chair and dean, the university may count a period of non-CFS-track contract employment toward CFS if the contract employment was a visiting professorial or professional classification, and if all the requirements specified in sections 3.10 and 3.11 were satisfied at the time of hiring the non-

CFS-track faculty member. The university may also count time as a full-time faculty member at another university or college, or other related professional experience, toward initial rank, rank advancement, or CFS. In such cases, the final review for CFS may be held no earlier than the faculty member's third year at BYU, and a request for advancement in rank will not normally be considered prior to the CFS final review. Third-year reviews are generally not required for faculty who have received two or more years of credit toward CFS because of previous faculty or professional experience. The timetable for the CFS process must be determined at the time of hiring, approved by the dean and the AVP (in consultation with the AAVP-Faculty), and specified in the offer letter. The offer letter should also specify the schedule of review for rank advancement as approved by the AVP.

3.17 Retroactive Reclassification: Faculty hired in an excluded class (e.g., Visiting Faculty) are not eligible for university-funded retirement benefits (see the [Non-CFS Track Academic Appointments Policy](#)). Any such faculty who are subsequently hired in CFS-track appointments are not eligible to have time served in an excluded class retroactively count toward their retirement benefits.

3.18 Contracts with CFS: In very unusual cases, the university may award CFS to a faculty member at the time of hire. This action must be approved by the chair (after appropriate consultation with department faculty), the dean, and the AVP (in consultation with the AAVP-Faculty). The AVP will consult with the appropriate Faculty Council on Rank and Status before granting approval.

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Rank and Status Policy



Executive Summary

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This policy governs the retention, granting of continuing faculty status, and rank advancement of faculty. It establishes standards of performance in all three areas of faculty responsibility, citizenship, teaching, and scholarship, and criteria by which faculty performance is to be evaluated. The policy also establishes the procedures to be followed in evaluating faculty in the initial (third-year) review, the final (sixth- or seventh-year) review, and for rank advancement, along with the timetable for the scheduled reviews. The policy also specifies the responsibilities of faculty members for preparing materials to be used as the basis of evaluation in the reviews, as well as the responsibilities of department rank and status committees, department chairs, department faculty, college rank and status committees, deans, and the university council on rank and status. It also establishes the timetable for mandatory reviews. In its treatment of this process, the policy also deals with issues of confidentiality, the adding of materials to the file, procedures for delaying continuing status reviews, and support for the mission of the university. The policy also establishes the process of independent examination of rank and status decisions available to faculty members. Attached as appendices to the policy are checklists to be used in making sure all relevant materials are placed in the faculty members' files, and sample letters for use by chairs in soliciting external reviews of the faculty members' work.

1. Introduction

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1.1 Overview

This policy describes the university's standards and procedures for hiring faculty and for granting candidacy for continuing faculty status, continuing faculty status, and rank advancement. Continuing faculty status is defined at the university as "an automatically renewed appointment." The automatic renewal is accomplished by the issuance of a contract for the next academic year unless the faculty member is terminated for cause. A faculty member's rejection of a contract has the effect of indicating a withdrawal from the university and a relinquishment of continuing faculty status. Such an action ends the employment relationship with the university.

1.2 Individual Responsibility

Fundamental to the purpose of this policy is the understanding that the individual bears the burden of becoming familiar with the university's policies, procedures, and standards for review, and for presenting persuasive evidence to the university that he or she is appropriately qualified for hiring or for receiving candidacy, continuing faculty status, or rank advancement. While the university is not obligated to hire or to grant candidacy, continuing faculty status, or rank advancement to any individual, the university agrees to provide a fair review process as described in this policy.

1.3 Changes

These standards and procedures may be changed from time to time, and such changes apply to all faculty regardless of when they were hired or the standards and procedures that then prevailed.

1.4 Exceptions

The academic vice president may approve exceptions to this policy to accommodate particular needs.

1.5 College and Department Policies

Colleges and departments are encouraged to create their own rank and status policies and to review and update them periodically to reflect current expectations, department, college, and university needs, and disciplinary standards. College and department rank and status policies must be approved by the dean and the academic vice president. College and department rank and status policies may not contradict or waive any requirement of this policy or apply a lower standard. If there is a conflict between a college or department policy and this policy, this policy governs.

1.6 Nondiscrimination

The standards and procedures in this policy will be applied without illegal discrimination on the basis of sex, race, color, national origin, age, veteran status, or disability. Because of the university's religious mission, in hiring decisions strong

preference is given to members of The Church of Jesus Christ of Latter-day Saints.

2. Appointment of Faculty Members

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(Replaced by [Faculty Hiring Policy](#), October 1, 2012.)

3. Expectations of Faculty Members

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3.1 General Expectations

3.1.1 Faculty Standards

Brigham Young University is a private university with unique goals and aspirations that arise from the mission of The Church of Jesus Christ of Latter-day Saints. A faculty member's responsibility is to engage in high quality citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty) and to make affirmative contributions to the university mission. Faculty should provide students an education that is spiritually strengthening, intellectually enlarging, character building, and leading to lifelong learning and service. (See [The Aims of a BYU Education](#).) It is a condition of employment that faculty members act in accordance with university policies and, the [Church Educational System Honor Code](#), and the [Dress and Grooming Standards](#), and refrain from behavior or expression that seriously and adversely affects the university mission or The Church of Jesus Christ of Latter-day Saints. Faculty who are members of The Church of Jesus Christ of Latter-day Saints also accept as a condition of employment the standards of conduct consistent with qualifying for temple privileges. They are expected to live lives reflecting a love of God, a commitment to keeping his commandments, and loyalty to the Church. They are expected to be role models to students of people who are proficient in their discipline and faithful in the Church. All faculty are expected to be role models for a life that combines the quest for intellectual rigor with spiritual values and personal integrity. They are expected to engage in continuing faculty development, and to maintain high levels of performance throughout the course of their careers.

3.1.2 Faculty Development Plan

New faculty should meet with their department chair during their first year to develop a faculty development plan for the period of employment through their final continuing faculty status review. The faculty development plan should describe the faculty member's proposed activities in the areas of citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty). The faculty development plan should include a statement of:

- A. The faculty member's self-assessment of his or her strengths, skills, competencies, interests, opportunities, and areas in which the faculty member wishes to develop.
- B. The faculty member's professional goals in citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty) and the plan to accomplish these goals.
- C. The relationship between individual goals and department and university aspirations and needs.
- D. Resources needed to accomplish the professional goals, including budgetary support, equipment, time, etc.
- E. The faculty member's activities and accomplishments so far in achieving the goals.
- F. The faculty member's comments, if desired, on measures used to assess success in his or her professorial or professional responsibilities and in accomplishing the goals set forth in the plan.

Faculty are encouraged to use the Faculty Center's resources in developing the plan. Faculty members should update and review the plan with the department chair in their annual interviews. Parts of the faculty development plan may form the basis for the personal statement which the faculty member produces for the file at the time of the third-year and final continuing faculty reviews (Appendices A and B). The faculty development plan is a planning tool, and does not constitute a commitment that the university will employ the faculty member for the period covered by the plan or that the faculty member will receive continuing faculty status if the goals in the plan are met. Retention of faculty depends on the overall quality of their performance and on the university's evolving needs. Continuing faculty status reviews are performed at the department, college, and university levels, and continuing faculty status is granted only by the university president.

3.1.3 Effectiveness in All Areas of Responsibility

Faculty are expected to perform high quality work in citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty). Failure by faculty with continuing status to maintain acceptable performance constitutes adequate cause for termination. (See [Faculty Hiring Policy](#) and [Faculty Discipline and Termination Policy](#).) Faculty members have different strengths. However, the performance of faculty must be above acceptable minimum standards in all areas of responsibility. Most professorial faculty early in their careers should have a balance of teaching and scholarship, with lighter committee and other administrative assignments. The allocation of

time in these three areas may vary among faculty or over a faculty member's career, depending on changes in assignments due to legitimate university and department needs. Reviewers in the rank and status process will exercise

reasonable flexibility, balancing heavier responsibilities in one area against lighter responsibilities and performance in another.

3.1.4 Annual Performance Reviews and Interviews

Continuing performance evaluations will be carried out for all faculty. The department chair, dean or designee, will conduct an annual performance review of, and an annual stewardship interview with, each faculty member in the department, including faculty with continuing faculty status. These interviews are the primary vehicle for tracking and encouraging continuing faculty development, and through which the performance of faculty with continuing faculty status is monitored, and through which performance expectations are communicated. These interviews should identify performance problems early, implement progressive steps to help a faculty member be successful in all areas of professorial responsibility, and create a record of discussions about performance problems and attempts made to remedy them. Departments are encouraged to have a department committee assist in conducting the annual performance reviews. In the annual interview the chair and the faculty member will review performance and develop goals and strategies for development and improvement. A written summary of the department chair's evaluations should be given to the faculty member and a copy placed in his or her department personnel file. A copy of the letter will be sent to the dean. In addition to serving as a regular, systematic process for reviewing faculty members' past performance, the annual stewardship interview process should also contain a prospective, developmental component. It is the primary opportunity for department chairs to monitor and help encourage continuous faculty development. Faculty development needs and opportunities should be discussed in each annual interview, regardless of a faculty member's past performance. Faculty should include in the materials submitted for the annual review a statement of plans for faculty development. The interview should include discussion of time and other resource implications of the development plans. All faculty members are expected to engage in continuous development and improvement in scholarship and teaching. Department chairs should encourage efforts and support opportunities for faculty development.

3.1.5 Academic Freedom

Occasionally, evaluation of faculty for rank and status may involve issues of academic freedom. In such cases, BYU's principles of academic freedom should be respected. These issues, however, will be reviewed within the faculty rank and status process rather than under university procedures governing faculty discipline or academic freedom grievances. (See [Faculty Discipline and Termination Policy](#); [Faculty Grievance Policy](#)) Note that the faculty rank and status process considers academic freedom issues under a different standard than would apply in a disciplinary or academic freedom grievance proceeding. This is because disciplinary and academic freedom grievance proceedings are concerned with whether a faculty member has engaged in conduct or expression that seriously and adversely affects the university mission or the Church. A faculty rank and status review, on the other hand, focuses not merely on the presence or absence of harm, but on the quality of the faculty member's overall affirmative contribution to the University. Thus, the faculty rank and status process applies a higher standard for citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty) than would apply in a disciplinary or academic freedom grievance proceeding. For instance, assessments of teaching quality in a faculty rank and status review consider not just whether a teacher is incompetent or has harmed students or the university mission, but—far beyond the absence of harm—whether the teaching is affirmatively of high quality. The same approach applies to issues of citizenship and scholarship.

3.1.6 Annual Performance Reviews for Faculty with Continuing Status

All faculty are expected to perform at acceptable levels in all areas of their responsibility, citizenship, teaching, and scholarship, or professional service. (See 3.1.2) The standard for judging acceptable performance will depend in part on particular assignments and expectations formulated during the annual review process. Such assignments and expectations may vary over the course of a faculty member's career. If, in the annual performance interview, a faculty member's performance is evaluated as below acceptable levels it is the faculty member who bears the responsibility for achieving and maintaining acceptable performance. The department chair should take steps to see that reasonable efforts and resources are expended to assist the faculty member's efforts toward development and the maintenance of acceptable levels of performance. These efforts along with the chairs' evaluations should be documented on an ongoing basis. Development opportunities and activities should also be discussed in each annual interview. Generally, three consecutive annual reviews in which the faculty member's performance is judged to be below acceptable standards constitute adequate cause for termination of the faculty member's employment. Furthermore, a recurrent pattern of negative performance reviews over a period of years, even if they do not occur in consecutive years, may also constitute adequate cause for termination. These provisions do not mean that the university must wait three years or more before terminating a faculty member's employment. In some situations, immediate termination may be appropriate. In other situations, termination may be appropriate if the faculty member does not correct the problem within a reasonable period of time (See [Faculty Hiring Policy](#) and [Faculty Discipline and Termination Policy](#)).

3.1.7 Unacceptable Performance by Faculty with Continuing Status - First Year

Following an annual evaluation in which a faculty member's performance is judged to be unacceptable in any area, the faculty member and the chair will work together to produce a written improvement plan specifying in detail expectations and performance standards to be met, a reasonable time frame in which to meet the expectations and standards, criteria against which performance will be evaluated, methods by which satisfactory performance will be assessed, and specific efforts and resources that will be committed by the faculty member and by the department to the process. A copy of this plan will be included in the faculty member's file along with the department chair's written summary evaluation. These documents will be reviewed as part of the next year's annual evaluation. The chair will notify the dean of the results of the evaluation and the improvement plan. The dean should evaluate the thoroughness and reasonableness of the evaluation and improvement plan, and may suggest modifications to the conclusions of the annual review or the plan for improvement as well as next steps to be carried out in the development process.

3.1.8 Unacceptable Performance by Faculty with Continuing Status - Second Year

If, after following the procedures outlined in section 3.1.7, the next (a second) annual review also results in a judgment that the faculty member's performance, including the implementation of the improvement plan, is below acceptable levels, the chair will inform the dean, who will review the case and conduct a performance evaluation. The dean may enlist the participation of the College Rank and Status Committee in the evaluation. The faculty member may also request a performance review by the College Rank and Status Committee. The dean, the department chair, and the faculty member will meet to review the evaluation and the improvement plan, develop a strategy for addressing the below standard performance, and take steps determined by the dean to be necessary so that the faculty member has reasonable resources available to allow opportunity to achieve an acceptable level of performance. The dean will write a summary evaluation, provide a copy for the faculty member, and place a copy in the faculty member's file.

3.1.9 Unacceptable Performance by Faculty with Continuing Status - Third Year

Following the procedures specified in Sections 3.1.7 and 3.1.8, in the event of a negative performance evaluation in the following year's (a third) annual performance review by the chair, the file containing the record of the last three annual performance reviews will be sent to the Academic Vice President. The Academic Vice President, the dean, and the department chair will meet to discuss the performance record of the faculty member, along with the efforts expended toward improvement by the faculty member and the support provided by the department and college. The dean, in consultation with the department chair, will make a recommendation to the Academic Vice President as to whether the faculty member's appointment should be terminated for adequate cause (failure to maintain acceptable standards of performance) at the end of the current contract period. The Academic Vice President will consider the recommendation and decide whether to terminate the faculty member's employment, or propose other remedies.

3.1.10

Appeal of the Academic Vice President's decision to not renew the faculty member's appointment for adequate cause is governed by the Faculty Discipline and Termination Policy.

3.2 Citizenship

3.2.1 The Citizenship Standard

As a university owned by The Church of Jesus Christ of Latter-day Saints, Brigham Young University expects all faculty to adhere to the highest standards of personal behavior and to exemplify honor and integrity. Faculty who are members of The Church of Jesus Christ of Latter-day Saints should be loyal to the Church, and all faculty should support the university mission and work to further the principles stated in the Mission of Brigham Young University and The Aims of a BYU Education. Faculty should observe university policies. They should willingly serve on committees and in other department, college, and university assignments. They should mentor, encourage, advise, and collaborate with colleagues. Although professionalism requires rigorous review and critique, faculty should always interact with colleagues, students, and others with civility and respect. They should promote collegiality and harmony in their departments. They should not denigrate other faculty or students or engage in disruption, manipulation, or contention. They should not abuse the moral climate of discourse on the campus. Faculty should be involved in the discipline by serving as referees of scholarship and by providing service and leadership in professional associations. They are encouraged to use their professional expertise to give service to the community and the Church. They should actively participate in the life of the university community by attending department, college, and university meetings.

3.2.2 Assessment of Citizenship

The following citizenship criteria will be used in the assessment of all faculty members:

- A. For faculty who are members of The Church of Jesus Christ of Latter-day Saints, loyalty to the Church.
- B. Support for and affirmative contributions to the university mission and The Aims of a BYU Education.
- C. Behavior reflecting honor, integrity, collegiality, civility, respect, concern for others, adherence to the university Church Educational System Honor Code, and observance of university policies.

Although a faculty member may participate in only a portion of the following and other citizenship activities, evaluation

of citizenship should consider the following evidence:

- A. Participation in activities that strengthen the university, including administrative service, committee service, assignments in the Jerusalem Center and Study Abroad, and the teaching of General Education, Honors, Religious Education, and interdisciplinary courses.
- B. Active participation in the intellectual life of the department, college, and university.
- C. Willing participation in citizenship, leadership, and governance activities in the department, college, and the university, including service in rank and status reviews, curriculum review and development, hiring processes, student advising, etc.
- D. Collaboration with colleagues in citizenship, teaching, or scholarship (or citizenship and professional service, for professional faculty).
- E. Mentoring colleagues.
- F. Service to the profession, including holding offices and committee assignments in professional associations, organizing professional meetings and panels, editing journals and newsletters, serving on editorial boards, and serving as referees of scholarship. Such service may include, but should extend beyond, strictly local and regional venues over a faculty member's career.
- G. Employment of professional expertise in service to the community and the Church.
- H. Attendance at department and college meetings, devotionals, forums, convocations, etc.
- I. Collaborative participation in international and service-learning activities and other activities that enhance BYU's approved outreach efforts.

3.2.3 Review Letters of Citizenship Activities

Department chairs and department review committees may solicit review letters evaluating a faculty member's citizenship activities from those who have closely observed these activities. Review letters should address the quality, quantity, and significance of the service.

3.3 Teaching

3.3.1 The Teaching Standard

The high quality education of students is, and should be, the most important activity of Brigham Young University faculty. Good university teachers are themselves eager learners who imbue their teaching with the excitement of learning. They care about their students. They are enthusiastic about sharing their knowledge with students and helping them learn. They have high standards, set clear expectations, and hold students to high levels of academic performance. They are well prepared and well organized, and they make good use of class time. They prepare well-designed syllabi, course materials, assignments, and examinations. They provide helpful evaluations of student work in a timely manner. They are consistently available to help students at least during reasonable designated consultation hours outside class. They are always engaged in the process of improving their teaching. They master the content of their courses and stay current with the literature and techniques of their disciplines. They are mentors and role models to students. They provide an education that is spiritually strengthening, intellectually enlarging, character building, and leading to lifelong learning and service. (See The Aims of a BYU Education.)

3.3.2 Assessment of Teaching

In assessing a faculty member's overall performance, evaluators should be sensitive to teaching loads, the number of preparations required, extra time spent working with students individually, and similar factors. Although faculty may participate in only a portion of these and other teaching activities, evaluation of teaching should consider evidence such as:

- A. Description of teaching activities and quality, including:
 - 1. List of courses taught by semester, with enrollment numbers.
 - 2. New courses developed.
 - 3. Supervision of independent study and research.
 - 4. Supervision of academic internships and service-learning experiences.
 - 5. Supervision of graduate students as a committee chair or member.
- B. Student evaluations, including:

1. University student evaluation forms and students written comments.
2. Written or oral comments solicited by the department review committee from a representative sample of students.

C. Peer evaluations. Peer evaluation is as important for teaching as it is for scholarship. The department review committee will obtain at least two substantive confidential peer evaluations of teaching from BYU faculty members qualified to make evaluations of the faculty member's approach to pedagogy, teaching activities and materials. The faculty member will assemble a teaching portfolio containing syllabi, textbooks, handouts, multimedia materials, assignments, learning exercises, examinations, and other course materials. The peer evaluations should concentrate on a review of the teaching portfolio, but should also include classroom visits. Ideally, the classroom visits should be conducted over several semesters prior to the faculty member's third- and sixth-year reviews. Peer evaluations might best assess such areas as:

1. Whether the course reflects the current state of the discipline.
2. The faculty member's mastery of the course content.
3. The course objectives, including whether the course meets the objectives of the curriculum of which it is a part.
4. The course organization.
5. The methods used to foster and measure learning.
6. The materials in the teaching portfolio (syllabi, textbooks, handouts, multimedia materials, assignments, learning exercises, examinations, and other course materials).
7. The faculty member's general concern for and interest in teaching.
8. The overall quality of teaching.

Other examples of meaningful peer evaluation of teaching might include reports from graduate schools or employers regarding students' performance, and professional invitations based on a faculty member's reputation as a teacher.

D. Description of steps taken to evaluate and improve teaching, including:

1. Staying Current in one's discipline.
2. Performing self-evaluations of teaching.
3. Studying teaching techniques.
4. Obtaining assistance from the Faculty Center.
5. Presenting at, or attending seminars, workshops, and conferences on teaching.
6. Involving students or peers in improvement efforts.
7. Appropriately implementing instructional innovations, including technology.
8. Participating in course or curriculum development.
9. Writing textbooks, supplements, or other instructional materials.
10. Receiving grants aimed at improving teaching.
11. Taking professional development leaves to improve teaching.
12. Engaging in the scholarship of teaching and learning.

E. Other evidence of quality teaching, such as:

1. Teaching awards and honors received.
2. The quality of text materials used.
3. Information about the faculty member's availability to students.
4. Effectiveness in implementing innovative teaching methods, including technology.
5. Effectiveness in mentoring students.
6. Other evidence of positive impact on students, including working with students in mentored learning

environments.

F. Products of high quality teaching and mentoring, including:

1. Evidence of student achievement.
2. Student scores on standardized test when appropriate.
3. Student papers and examinations that evidence learning.
4. Students' scholarly or creative works.
5. Honors and masters theses and Ph.D. dissertations supervised.
6. Successful academic internship and service-learning programs.
7. Student placement in graduate school or meaningful employment.

G. Example of course materials, such as:

1. Course materials prepared for students, including syllabi, textbooks, handouts, multimedia materials, assignments, learning exercises, examinations, and other course materials.
2. Materials developed for on-campus, online, or distance education courses.

3.4 Scholarship

3.4.1 Purpose of Scholarship

The highest purpose of scholarly and creative work (collectively referred to in this policy as “scholarship”) is to serve God and humanity. Scholarship should contribute to the university mission. It should achieve one or more of the following objectives: improving the education of the minds and spirits of students, contributing to the expansion of truth throughout the world, facilitating the solution of pressing world problems, and enhancing the quality of people's lives. Scholarship extends the university's influence and reputation, which benefits our students, serves our local and worldwide communities, and makes friends for the university and the Church. Scholarship should infuse and inspire the faculty member's teaching both directly and indirectly. It must not interfere with or detract from teaching, but support and strengthen it. University faculty members must be learners in order to be teachers worthy of the name. They must be intellectually alive and current in their disciplines, not only through participating in the substantive developments of the discipline, but also through constantly honing the skills and tools of scholarship used in the discipline. In most disciplines this means that faculty will bring to their work the rigor of writing, subject the work to the criticism of scholarly peers, and share their insights with colleagues and students. A scholar is characterized by devotion to discovering and learning, by rigor and thoroughness in that learning, and by the determination to profess what is learned.

3.4.2 Forms of Scholarship

Because of diversity among the academic disciplines and because of the variety of intellectual tasks with which faculty are concerned, a faculty member's scholarship may take different forms, so long as the work is of high quality. Scholarship includes, among other things, the discovery of new knowledge and original insights that add to the world's body of knowledge and understanding; the application of existing knowledge to the solution of practical problems; the integration of existing knowledge through interdisciplinary work; studying and improving the presentation of existing knowledge; and aesthetic or intellectual expression reflecting achievement in creative or performing arts.

3.4.3 The Scholarship Standard

Professorial faculty (and professional faculty whose responsibilities include scholarship) are expected to demonstrate consistent productivity of high quality scholarship over their entire careers. The scholar's record shows a growing body of works that have stood the test of exposure to and evaluation by other scholars in the discipline. Each discipline has its own scholarly traditions and its own channels for communication among scholars, and therefore each department should establish criteria for defining and evaluating scholarship within its discipline. A faculty member's scholarship should then be measured against those criteria. Both quality and quantity are relevant in assessing a faculty member's scholarly record. It should be recognized that one truly exceptional scholarly or creative work may be more important than several others. It should also be recognized that a faculty member may choose to work in an area in which progress is exceptionally difficult and in which results submitted for peer review are necessarily few and infrequent. While the expected type and quantity of scholarship vary by discipline, subject area, and the fraction of a faculty member's assignment devoted to scholarship, the expected level of quality must always be high.

3.4.4 Assessment of Scholarship

3.4.4.1 Criteria

Within the context of the various disciplines, the following criteria are relevant in evaluating scholarship:

- A. Scholarship should be consistent with disciplinary norms and department, college, and university missions.

- B. It should contribute to a faculty member's overall effectiveness as a teacher.
- C. It should be of high quality and contain some element of originality, either in the form of new knowledge, new understanding, fresh insight, or unique skill or interpretation.
- D. It should be subject to peer review in any of several appropriate ways on this campus and elsewhere, for the purpose of verifying the nature and quality of its contribution by those competent to judge it. In some departments and colleges, a variety of situations may make on-campus reviews of scholarship the most appropriate means of evaluation. A decision by a department or college to regularly use on-campus reviews as a primary method of peer review must be approved by the dean and the academic vice president.
- E. The reputation and selectivity of scholarly presses and journals are relevant in evaluating the quality and impact of scholarship. Generally, faculty are encouraged to publish in nationally and internationally recognized peer-reviewed scholarly presses and journals in the discipline. The further removed that scholarship is from this format, the greater the responsibility of the faculty member and the department to provide for a critical evaluation that verifies the quality of the work.
- F. Generally, publications count in the rank and status process when they are accepted for publication.
- G. The same criteria that apply in evaluating scholarship published in paper formats (quality, peer review, publisher's reputation and selectivity, etc.) also apply to scholarship published in electronic formats.
- H. Generally, course materials that are used primarily inside the university and that are not disseminated in the wider discipline count in the category of teaching rather than in the category of scholarship.

3.4.4.2 Evidence of Scholarship

Evidence of scholarship includes but is not limited to the following, so long as the above criteria are satisfied. Evidence should emphasize work performed at BYU and since the last rank advancement.

- A. Refereed scholarly publications, including books, articles, refereed conference proceedings, etc.
- B. Other scholarly publications, including books, textbooks, monographs, book chapters, abstracts, translations which contribute to a body of knowledge or reflect significant scholarly activity and expertise, etc.
- C. Technical reports and similar publications that present new ideas or incorporate scholarly research, and which contribute to the professional literature, the advancement of professional practice, or the improvement of professional education.
- D. Peer-reviewed or juried creative works, such as paintings, public performances, exhibits, published poetry, and published essays.
- E. Other creative works.
- F. Grants for research or creative work, when resulting from a competitive process of peer review. Grants may evidence the quality of the prior body of work upon which the research proposal is based. Proposals which received high ratings but no funding may also be considered.
- G. Intellectual property developed, such as software or patents.
- H. Presentations at professional meetings and conferences. Although presentations are evidence of scholarly activity, they should be developed into publications.
- I. Awards or other recognition for scholarship.

4. Continuing Faculty Status Reviews

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4.1 Initial and Final Reviews

The first six years of service after appointment in a continuing faculty status track until continuing faculty status is granted are a probationary period during which a faculty member's performance is reviewed annually by the department chair. New faculty members should receive mentoring during this probationary period. To receive continuing faculty status, faculty members must pass two formal university reviews. During the winter semester of their third year, an initial review will occur to assess their progress and to decide whether to advance them to candidacy for continuing faculty status. If the candidate continues to meet expectations during the probationary period, a final continuing faculty status review will occur beginning fall semester of their sixth year. An exception to this six-year schedule of reviews may be granted to an individual college based on considerations unique to the nature of the disciplines represented in the college. Colleges may petition to extend the probationary period to seven years for all faculty within the college. Permission to extend the probationary period must be requested in writing by the dean, and

faculty, maintain the collegial connection to extend the probationary period must be requested in writing by the dean, and can be granted only in writing by the academic vice president. It is expected that the decision to extend the probationary period to seven years will reflect the individual nature of the disciplines and the best interests of the colleges and the university. Faculty members in colleges that have adopted a seven-year schedule for continuing

status reviews may, at their sole discretion, elect to undergo a final continuing status review in their sixth year of service. Each faculty member must declare in writing to the department chair his or her intention whether to undergo a final review in their sixth or seventh year by April 1 of his or her fifth year. The same criteria of evaluation will apply for a sixth- as for a seventh-year review. If a faculty member elects to undergo a final continuing status review in the sixth year, and if that review is negative, or if the faculty member withdraws at any point during the review process, he or she will not be permitted to subsequently elect to undergo review in the seventh year. The decision as to whether to undergo review in the sixth or the seventh year should be made after careful consultation with the department chair and the dean. Except as provided otherwise by this policy, the initial and final continuing faculty status reviews and their timing are mandatory. Requests to delay a scheduled review or to review a faculty member early for either continuing faculty status or rank advancement must be made in writing by the faculty member, and approved by the department chair, the dean and the Academic Vice President. A faculty member may withdraw from the process at any stage, but withdrawal constitutes a resignation from the university at the end of the contract year. The university, at its sole discretion, may grant such an individual a one-year temporary position while the person seeks employment elsewhere.

4.2 Purpose of the Reviews

The purpose of the continuing faculty status reviews is to assure the present and future fulfillment of promise sufficient to warrant a permanent commitment to a faculty member by the university. Granting continuing faculty status creates a long-term relationship that significantly affects the quality of the university, its ability to fulfill its mission, and the lives of its students over many years. The principal reasons for the continuing faculty status reviews are to provide the best education for our students, to assist in faculty development, and to establish ongoing expectations for faculty. Assessments and recommendations by reviewers at all levels should be as candid, honest, and complete as feasible within the guidelines specified in this policy. Strengths and weaknesses of faculty members should be fully discussed by reviewers, and specific reasons for positive or negative recommendations should be clearly stated.

4.3 Initial (Third-Year) Review

The initial review will include an assessment of the faculty member's performance and promise in citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty). Essentially the same procedures apply to initial and final continuing faculty status reviews, except that external reviews of scholarship are not required in initial (third-year) reviews. Faculty who are progressing satisfactorily will be granted candidacy for continuing faculty status. The Faculty Council on Rank and Status will draft comments to the faculty member indicating areas for praise and concern to help the faculty member prepare for the final review. The letter will be placed in the faculty member's personnel file and included in the final review file. Faculty who are not progressing satisfactorily and who do not become candidates for continuing faculty status will be notified that they will not receive another contract after the existing contract year ends. The university, at its sole discretion, may grant such an individual a one-year temporary position while the person seeks employment elsewhere. The normal calendar for initial reviews is:

Department reviews to colleges:	March 1
College reviews to university:	March 20
Final decisions to faculty:	June 1

4.4 Final (Sixth-Year) Review

The final continuing faculty status review will include an assessment of the faculty member's performance and promise in citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty). To receive continuing faculty status, faculty must clearly demonstrate by their performance that they meet or exceed the department, college, and university standards as set forth in their rank and status documents. The rationale for a negative decision will be communicated to the faculty member by the chair, the dean, or the Academic Vice President for Faculty. Faculty who are not granted continuing faculty status will be notified that they will not receive another contract after the existing contract year ends. The university, at its sole discretion, may grant such an individual a one-year temporary position while the person seeks employment elsewhere. The normal calendar for final reviews is:

Department reviews to colleges:	November 1
College reviews to university:	December 1
Final decisions to faculty:	April 30

4.5 Delay of the Continuing Faculty Status Reviews

Professional development leaves taken during the first six years count as part of the six-year probationary period. By contrast, personal leaves (including leaves for illness or other significant extenuating circumstances) do not count as part of the six-year probationary period, and therefore delay the continuing faculty status reviews. Any eligible time off

as defined by the Family and Medical Leave Act (FMLA) will run concurrently with a qualifying university leave (see [Faculty Leaves Policy](#)). A faculty member who is unable to work full-time should request a full-time or part-time personal leave. Extenuating personal or family circumstances may also justify postponing a review. During the probationary period, a faculty member may request a one-time, one-year delay in the schedule of rank and status reviews because of specific extenuating personal or family situations, such as, pregnancy, childbirth, special parenting needs, personal or family illness, or other similar personal or family circumstances without taking a personal leave if they are able to meet their normal full-time teaching or other professional assignments. Delays of continuing faculty status reviews are exceptional, and must be approved by the chair, the dean, and the academic vice president in writing before the rank and status review process begins.

5. Rank Advancement for Professorial Faculty

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The three academic ranks for professorial faculty are assistant professor, associate professor, and professor. The minimum university requirements for these ranks are:

5.1 Assistant Professor

- A. Understanding of the importance of citizenship and willingness to engage in high quality citizenship.
- B. Definite promise of high quality teaching.
- C. Interest in and evidence of ability to produce high quality scholarship.
- D. The doctoral degree or other appropriate terminal degree, such as the Master of Fine Arts (MFA) degree. In exceptional cases, when a master's degree, professional experience, or other training is considered sufficient by similar institutions of higher education, such degree, experience, or training may suffice.

5.2 Associate Professor

- A. A sufficient record of high quality university citizenship.
- B. A sufficient record of high quality teaching.
- C. A sufficient record of high quality scholarship since appointment as an assistant professor.
- D. A minimum of six years in service as an assistant professor to demonstrate over time the faculty member's proficiency in citizenship, teaching, and scholarship. Therefore, the review for rank advancement will normally occur during the faculty member's sixth year of service as an assistant professor, and rank advancement would take effect fall semester of the following year. (In rare and exceptional cases, extraordinary faculty members may be considered for advancement before the six-year minimum.)

5.3 Professor

- A. An established record of high quality university citizenship.
- B. An established record of high quality teaching.
- C. An established record of high quality scholarship since becoming an associate professor.
- D. At least five years in service as an associate professor to demonstrate over time the faculty member's proficiency in citizenship, teaching, and scholarship. Therefore, the earliest that a review for rank advancement could occur is during the faculty member's fifth year of service as an associate professor, and rank advancement would take effect fall semester of the following year. (In rare and exceptional cases, extraordinary faculty members may be considered for advancement before the five-year minimum.)

5.4 Calendar for Rank Advancement Reviews

The normal calendar for rank advancement reviews is the same as for final continuing faculty status reviews. (See 4.4.) A nomination for rank advancement, even though it accompanies a nomination for continuing faculty status at the time of the sixth-year review, must be considered and evaluated as a separate proposition. All reviewing bodies must make a recommendation regarding rank advancement separate from the recommendation regarding continuing faculty status.

6. Professional Faculty

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(For additional guidance on Professional Faculty, see [Faculty Hiring Policy](#).)

6.1 Definition of Professional Faculty

Professional faculty are faculty who have specialized responsibilities. Professional faculty include teaching faculty

Professional faculty are faculty who have specialized responsibilities. Professional faculty include teaching faculty, research faculty, clinical faculty, librarians, athletic professionals, and others. Professional faculty enjoy the same basic privileges as professorial faculty. They may receive continuing faculty status (except for athletic professionals, including trainers) and rank advancement. They may vote in departmental decisions regarding faculty appointments, continuing faculty status, rank advancement, and all other matters. They may serve as chairs or deans, on committees, and in other administrative assignments, and they are eligible for university awards.

6.2 Creating a Professional Faculty Position

To create a professional faculty position, the department and the dean must submit a written request to the academic vice president. The memorandum should justify the request and include a position description stating the specific responsibilities and expectations of the position and the ways in which performance will be evaluated. Transferring current faculty from one track to another should be done to meet university needs rather than to accommodate a faculty member who is not succeeding in his or her current track.

6.3 Evaluation of Professional Faculty

This rank and status policy applies to professional faculty, except that athletic professionals are not eligible for continuing faculty status. Professional faculty are evaluated in citizenship and professional service. The department review committee should solicit review letters of a faculty member's citizenship and professional service from those who have closely observed those activities. Except in third-year reviews, external review letters should also be sought when a faculty member's citizenship or professional service has extended beyond the university. A sample letter to external reviewers is attached as Appendix E. The department review committee needs to obtain external review letters of scholarship only if scholarship is a primary area of the faculty member's professional service.

6.4 Citizenship

The standards and assessment evidence for citizenship described in section 3.2 apply to professional faculty.

6.5 Professional Service

Professional service encompasses work in the specific university assignments given to a professional faculty member. Specific expectations regarding a professional faculty member's assignments should be set forth in the position description or in the department or college rank and status policy, and should be included in the file prepared for the rank and status review. Faculty should be evaluated according to those expectations and the standards in this policy. While there are many types of assignments, some of the more common assignments and the related standards and assessment evidence are listed below:

6.5.1 Teaching Faculty

The standards and assessment evidence for teaching described in section 3.3 apply to teaching faculty. They also apply to other professional faculty to the extent that their responsibilities include teaching.

6.5.2 Research Faculty

The standards, criteria, and assessment evidence for scholarship described in section 3.4 apply to research faculty. They also apply to other professional faculty to the extent that their responsibilities include scholarship.

6.5.3 Clinical Faculty

6.5.3.1 Standards for Clinicians

A clinician provides professional service to clients. Clinicians should possess a high degree of competence. They should be well prepared, able to demonstrate sound clinical skills in working with clients, and effective in assisting students to develop clinical skills. Effective clinicians are mentors and role models to students. They command the high respect of colleagues, clients, and students because they are not willing to compromise professional standards of practice. They are highly interested in the progress and welfare of both clients and students and are appropriately available to them.

6.5.3.2 Assessment of Clinicians

Evaluation of clinical service should consider the following evidence:

- A. The faculty development plan, which includes a statement of goals, description of past activities and accomplishments, and a plan for future professional development.
- B. Self-evaluations.
- C. Evaluations of clinical performance by supervisors, peers, and clients when applicable.
- D. List of journals regularly read.
- E. Seminars, workshops, and conferences attended.
- F. Participation in program development.
- G. Professional development leaves to improve clinical expertise.
- H. Presentations at professional meetings.
- I. Licensure or national certification. Documentation of attendance at meetings or number of practice or

recertification hours to maintain licensure or certification may be required, if applicable.

- J. Teaching. If clinicians are assigned to teach courses, the standards and assessment evidence that apply to teaching faculty apply to that part of their assignment.
- K. Scholarship. If clinicians are assigned to perform scholarship, the standards, criteria, and assessment evidence that apply to research faculty apply to that part of their assignment, unless their position description or the department or college rank and status policy sets forth different provisions to meet the needs of clinical activities in the department or college.
- L. Program leadership. Performance will be evaluated by supervisors, peers, and subordinates.

6.5.4 Librarian

6.5.4.1 Standards for Librarians

The library's mission is to gather and preserve collections of recorded information and literary art and to provide the means to access these collections. The library also teaches members of the university community how to locate such information so that it can be used to enhance scholarship and spiritual and intellectual development. Librarians' accomplishments must be judged according to their contributions to that mission. Librarians participate in a wide variety of assigned activities throughout their careers. Certain activities in every position involve the day to day provision of library services. The diligent fulfillment of such responsibilities is essential but not sufficient for effectiveness. True professionals possess a vision that enables them not only to adapt to changing circumstances, but also to foresee change and prepare for it. They are able to look critically at their own work and creatively expand and enhance library services. They accept responsibility for resolving problems and overcoming obstacles. Commitment, leadership, innovation, and creativity characterize the effective librarian. The skills needed for librarianship are constantly changing as the means of collecting and disseminating information change. Beyond formal training, every librarian needs to have a broad range of professional experiences in order to develop the necessary competency, commitment, vision, and creativity.

6.5.4.2 Assessment of Librarians

Evaluation of librarianship should consider the following evidence:

- A. The faculty development plan, which includes a statement of goals, description of past activities and accomplishments, and a plan for future professional development.
- B. A summary of accomplishments that addresses areas of library assignment such as:
 - 1. Setting and accomplishing significant goals.
 - 2. Achieving a satisfactory quantity and quality of work in each major responsibility.
 - 3. Using sound judgment in decision-making.
 - 4. Managing personnel and budgetary resources effectively.
 - 5. Participating on library committees that are directly related to assigned responsibilities.
 - 6. Cooperating with librarians, other faculty, and patrons to accomplish library and university goals.
 - 7. Demonstrating effectiveness in studying, evaluating, and building collections, and in selecting, acquiring, and providing access to materials.
 - 8. Demonstrating effectiveness in developing and maintaining bibliographic control by verifying, ordering, and processing materials; by classifying and cataloging materials; or by utilizing other bibliographic processes, resources, or systems.
 - 9. Demonstrating effectiveness in guiding and assisting students and faculty by satisfying reference needs, developing subject bibliographies, teaching research strategies both formally and informally, and promoting the effective use of the library.
 - 10. Demonstrating effectiveness in preserving or conserving the physical integrity and intellectual content of materials and in educating patrons in their careful use.
 - 11. Demonstrating effectiveness in administering and managing the university library, division, department, or other sub-unit.
- C. A description of steps taken to evaluate and improve the librarian's performance, including:
 - 1. Studying relevant literature in the field and incorporating new ideas and knowledge into one's professional assignment.
 - 2. Taking or teaching courses directly related to professional assignment (e.g., foreign languages, library science, computer science, business management, or subject specialty courses).

3. Attending seminars, workshops, and conferences.
4. Participating in professional development leaves to improve performance.

D. A description of scholarship that is an outgrowth of performance in one's professional assignment. Only scholarships directly focused on one's professional assignment will be considered. Examples include:

1. Researching, inventing, and implementing significant and effective library procedures, tools, or other innovative techniques, processes, or systems that result in the improvement of library services.
2. Presenting research or innovative or unique information at library conferences and professional meetings.
3. Publishing significant and original contributions that reflect the primary focus of one's professional assignment.

6.5.5 Athletic Professionals

6.5.5.1 Standards for Athletic Professionals

The athletic professional's primary focus is the education and development of individual student athletes. Good athletic professionals are experts in the technical knowledge relating to their sport. They also know how to teach this knowledge and to motivate their athletes to high achievement. They infuse their coaching with the excitement of learning, developing skill, and achieving excellence. Effective athletic professionals work hard and are well prepared for practices and games. They exemplify professional standards in their work and interpersonal relationships. They set high standards of moral and ethical behavior through both precept and example, and they help their athletes to observe these standards. They exemplify good sportsmanship and respect for opponents. They care about their athletes in all aspects of their lives. They become mentors and role models to their athletes both on and off the field, and they are available for individual discussion and counseling. They encourage athletes to be good students and to take advantage of opportunities on campus to develop spiritually, intellectually, and socially, as well as physically. Good athletic professionals are also good recruiters. They are effective in communicating the value of a BYU education. They recruit athletes who have the character and academic potential to be successful at BYU, and they are honest and open in communicating university standards.

6.5.5.2 Assessment of Athletic Professionals

Evaluation of an athletic professional's performance should consider the following evidence:

- A. The faculty development plan, which includes a statement of goals, description of past activities and accomplishments, and a plan for future professional development.
- B. Accomplishments, records, and recognitions of the program.
 - a. Record of wins, losses, and championships.
 - b. Rank in the conference and national rankings.
 - c. Coaching honors and awards.
 - d. Record off all-conference performers and all-Americans.
 - e. Record of academic achievements of athletes: GPA, Cougar Club scholar athletes, conference scholar athletes, all-American scholar athletes, Co-SIDA academic all-Americans, and academic all-American citations by the Coaches Association.
 - f. Graduation rate of athletes.
 - g. Selected articles about achievements of the team and athletes.
 - h. Accomplishments of former student athletes.
- C. Peer and Athlete Evaluations.
 - a. Review letters from other BYU athletic professionals and administrators.
 - b. Review letters from personnel of regional and national conferences or other organizations.
 - c. Review letters from peers outside the university.
 - d. Review letters from current and former athletes.
 - e. Review letters regarding relationships with parents and personnel.
 - f. Interview data from student athletes, including exit interviews conducted by or under the direction of the athletic director.
- D. Professional Activities.
 - a. Competence in performance of professional responsibilities such as coaching, athletic of training, and rehabilitation of athletes.
 - b. Staying current with developments in the profession, including advances in theory and technique.

- c. Adherence to conference and NCAA rules and regulations.
- d. Evidence of good sportsmanship, good behavior of athletic professionals and athletes, and ethical management of the program.
- e. Activities pursued to enhance expertise, including attendance and presentations at workshops, clinics, conferences, and program observations.
- f. Literature reviewed, including journals and other professional materials.
- g. Creative accomplishments related to coaching.
- h. Books or articles published.
- i. Evidence of counseling and mentoring for the development of student athletes.
- j. Program activities that further the university mission or that create positive public relations for the university.
- k. Fund raising and sports promotions.

6.6 Rank Advancement for Professional Faculty

Academic ranks for professional faculty include:

- A. Assistant teaching professor, associate teaching professor, and teaching professor.
- B. Assistant research professor, associate research professor, and research professor.
- C. Assistant clinical professor, associate clinical professor, and clinical professor.
- D. Assistant librarian, associate librarian, and senior librarian.
- E. Assistant athletic professional, associate athletic professional, and athletic professional.

To hold these ranks, faculty must meet department, college, and university standards in citizenship and professional service. Any other rank designations must be approved by the academic vice president.

6.6.1 Assistant Professional (Assistant Teaching, Research, or Clinical Professor; Assistant Librarian; and Assistant Athletic Professional)

- A. Understanding of the importance of citizenship and willingness to engage in high quality citizenship.
- B. Definite promise of high quality professional service.
- C. An appropriate degree, such as a doctor's degree, a master's degree, or other degree as determined by the department. When appropriate, equivalent professional training or experience may be considered sufficient.

6.6.2 Associate Professional (Associate Teaching, Research, or Clinical Professor; Associate Librarian; and Associate Athletic Professional)

- A. A sufficient record of high quality citizenship.
- B. A sufficient record of high quality professional service.
- C. An appropriate degree, such as a doctor's degree, a master's degree, or other degree as determined by the department. When appropriate, equivalent professional training or experience may be considered sufficient.
- D. A minimum of six years in service as an assistant professional that demonstrates over time the faculty member's proficiency in citizenship and professional service. Therefore, the review for promotion to associate professional will normally occur during the faculty member's sixth year of service as an assistant professional, and rank advancement would take effect fall semester of the following academic year. (In rare and exceptional cases, extraordinary faculty members may be considered for advancement before the six-year minimum.)

6.6.3 Full Professional (Teaching, Research or Clinical Professor; Senior Librarian; and Athletic Professional)

- A. An established record of high quality citizenship.
- B. An established record of high quality professional service.
- C. An appropriate degree, such as a doctor's degree, a master's degree, or other degree as determined by the department. When appropriate, equivalent professional training or experience may be considered sufficient.
- D. A minimum of five years in service as an associate professional to demonstrate over time the faculty member's proficiency in citizenship and professional service. Therefore, the review for promotion to full professional will normally occur during the faculty member's fifth year of service as an associate professional, and rank advancement would take effect fall semester of the following academic year. (In rare and exceptional cases, extraordinary faculty members may be considered for advancement before the five-year minimum.)

7. Procedures for Continuing Faculty Status and Rank Advancement Reviews

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7.1 Overview

Initial and final continuing faculty status reviews and rank advancement reviews include evaluations at the department, college, and university levels. Essentially the same procedures apply to initial and final continuing faculty status and rank advancement reviews, except that external review letters of scholarship are not required in initial (third-year) reviews. Faculty preparing for third- and final reviews are solely responsible for their preparation, including preparation of their files. Failure of others to communicate with or to assist the faculty member being reviewed is not an excuse for lack of preparation or grounds for requesting an independent examination of the academic vice president's recommendation.

7.2 Materials to Include in the File

The faculty member is responsible for developing a file that is professional and complete as defined in this document. Materials to include in the file for professorial faculty are described in sections 3.2.2 and 3.2.3 (citizenship); 3.3.2 and 7.9.4 (teaching); and 3.4.4.2 and 7.3 (scholarship); and are summarized in Appendix A. Materials to include in the file for professional faculty are described in sections 6.3 (evaluation of professional faculty); 3.2.2, 3.2.3, and 6.4 (citizenship); 6.5 (professional service); 3.3.2 and 6.5.1 (teaching faculty); 3.4.4.2, 6.5.2, and 7.3 (research faculty); 6.5.3.2 (clinical faculty); 6.5.4.2 (librarians); and 6.5.5.2 (athletic professionals); and are summarized in Appendix B. A copy of the file prepared for the third-year review should be retained by the department and made available if requested for review during the sixth-year review.

7.3 Examples of Scholarship

Only the best three examples of scholarship will be included in the file. The faculty member will include a brief explanation why they were selected. The faculty member will make available in the department office copies of all other written scholarship and evidence of all other creative work to be considered in the review. This work will be sent to subsequent review levels only if requested.

7.4 Size of the File

The faculty member should be selective about what to include in the file, because the file itself is an indication of professional maturity. A concise file that emphasizes the best evidence is more persuasive than a file cluttered with documents. Personal letters from students to the faculty member should not be included. Plastic page protectors should be avoided (copies of certificates should be used instead of originals). Generally, with the exception of books submitted as examples of scholarship, the file should fit in a two-inch binder.

7.5 Additional Information

Reviewers at any level may request, receive, or obtain additional information from the faculty member or others. If the college or university review committee adds documents to the file that materially affect the committee's recommendation, it is recommended that the documents be shared with the dean, the department chair, and the college and department review committees so that they can consider whether to change their recommendations. Such additions include but are not limited to documents indicating the acceptance of additional publications, additional student evaluations, and late-arriving external review letters. Documents that strengthen the file need not be shared with prior review levels that made positive recommendations, and documents that weaken the file need not be shared with prior review levels that made negative recommendations, since those documents would not change the recommendations.

7.6 Allegations of Violations of University Policy

If reviewers believe that a candidate may have violated university policy, the reviewers will advise the faculty member of the specific allegations, and give him or her an opportunity to respond in writing. The allegations and the response will be included in the file.

7.7 Confidential Information

In some cases, the candidate or reviewers may feel that certain information is sensitive or confidential and should not be shared broadly. Sometimes the problem may be resolved by including the information in the file in a redacted form which preserves confidentiality. Generally, the decision of what to include in the file should allow as many reviewers as possible to see the information on a need to know basis, while still maintaining confidentiality. In all cases the information will be shared with the department chair, the dean, the associate academic vice president for faculty, the academic vice president, and the president. If questions arise, reviewers should contact the associate academic vice president for faculty who will determine a course of action that takes these needs into account.

7.8 Departmental and Disciplinary Perspective

Because the department is most familiar with the faculty member's performance and the standards in the department and the discipline, the reports of the department review committee and the department chair should specifically

address the faculty member's performance in light of departmental and disciplinary standards to help guide reviewers at the college and university levels. Reviewers at the college and university levels should give appropriate deference to the department's perspective, although they should also conduct their own independent evaluation. College and university level reviews should reflect the perspective of the college and university at large.

7.9 Department Review

7.9.1 Department Review Committee

The department review committee is composed of at least three faculty members, all of whom have continuing faculty status. The department chair appoints the committee and the committee chair.

7.9.2 Waiver

The department review committee chair will request the faculty member to sign a waiver of access to reviews solicited from students, faculty, external peers, and others. The signed waiver letter should be included in the faculty member's file. (See Appendix C.)

7.9.3 Review Letters of Citizenship Activities

The department review committee may solicit review letters evaluating a faculty member's citizenship activities from those who have closely observed these activities. Review letters should address the quality, quantity, and significance of the service. (See 3.2.3.)

7.9.4 Student Evaluations of Teaching

In initial and final continuing faculty status reviews, the department review committee will include in the file a report of all student evaluations for each class taught and a compilation of all student comments from all classes. Similarly, in rank advancement reviews, the file will include all student evaluations conducted during the past several years and a typescript of all student comments from those classes. Trends in ratings as well as the types of classes (e.g., large or small, undergraduate or graduate) should be considered. The department review committee may also solicit written or oral comments from a representative sample of students. (See 3.3.2.B.)

7.9.5 Peer Evaluations of Teaching

The department review committee will obtain written peer evaluations of teaching and include them in the file. (See 3.3.2.C.)

7.9.6 External Reviews of Scholarship

In final continuing faculty status and rank advancement reviews, the department review committee will obtain external reviews of the body of the faculty member's scholarship from at least three faculty members at well regarded academic institutions who have achieved reputations in the relevant field. The faculty member may recommend reviewers, but the department review committee and the department chair are responsible for selecting the reviewers. Generally, reviewers should hold equal or higher rank to that being sought, and they should be persons whose personal association with the candidate would not be expected to bias the reviews. The committee report will describe how the reviewers were selected, the reasons they were chosen, their stature in the field, and any relationship they may have with the faculty member. The committee will send the reviewers the faculty member's curriculum vitae, information about the faculty member's teaching assignment, samples of scholarship from the file, and a summary of the university and department standards for assessing scholarship. Appendix D is a sample letter to external reviewers. For professional faculty, the department review committee needs to obtain external review letters of scholarship only if scholarship is a primary area of the faculty member's professional service. Department chairs and department review committees should allow adequate time for selecting and contacting potential reviewers, conveying materials, and receiving review letters.

7.9.7 Review Letters of Citizenship and Professional Service for Professional Faculty

For professional faculty, the department review committee should solicit review letters of a faculty member's citizenship and professional service from those who have closely observed those activities. Except in third-year reviews, external review letters should be sought when a faculty member's citizenship or professional service has extended beyond the university. (See Section 6.3.) A sample letter to external reviewers is attached as Appendix E.

7.9.8 Department Review Committee's Vote and Report

After evaluating the faculty member's performance, the department review committee will, by majority vote, recommend to grant or deny candidacy, continuing faculty status, or rank advancement. The committee will write a report to the department chair evaluating the faculty member's citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty), and reporting the committee's vote. A minority report may also be included in the file.

7.9.9 Availability of Committee Report and File

Before the department vote, the committee report and the file will be available to all continuing faculty status faculty and all continuing faculty status track faculty in the department except the faculty member being reviewed. Exceptions to this provision, allowing a department to restrict access to the file, or to parts of the file, must be approved by the dean and the academic vice president. The contents of the file and all recommendation letters are strictly confidential. Faculty may not make copies of documents in the file, and faculty should not discuss the contents of the file except in appropriate settings with other department faculty members.

7.9.10 Department Vote

The department review committee will report its evaluation and recommendations to the department. The committee will make its presentation in a meeting open to all continuing faculty status faculty. It is strongly recommended that

departments invite to this meeting all continuing faculty status track faculty in the department except the faculty member being reviewed, since this process broadens the discussion, helps communicate expectations, and assists faculty who will be evaluated in the future. Restrictions on the attendance of continuing faculty status track faculty must be approved by the dean and the academic vice president. Only faculty with continuing faculty status may vote in initial and final continuing faculty status decisions, and only faculty with equal or higher rank to that being sought may vote in rank advancement decisions. The voting will be by secret ballot and by majority vote of faculty eligible to vote. The department chair will report the vote in the file. The department discussions are strictly confidential. Only the department chair should inform the candidate of the status of the person's file following the department vote.

7.9.11 Department Chair's Report

After the department vote, the department chair will write an independent evaluation of the faculty member's citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty) and include it in the file. The report will also assess the faculty member's progress in addressing concerns raised in past annual and rank and status reviews. The chair will then forward the file to the college committee.

7.9.12 Informing the Faculty Member of a Negative Recommendation

If the department committee, the department faculty or the department chair recommends to deny candidacy, continuing faculty status, or rank advancement, the department chair will inform the faculty member, and explain the reasons for the recommendation, in order to allow the faculty member to withdraw the application. The withdrawal of an application for candidacy or continuing faculty status constitutes notice of resignation from the university at the end of the contract year. The university, at its sole discretion, may grant such an individual a one-year temporary position while the person seeks employment elsewhere. If the faculty member elects not to withdraw the application, it will be forwarded to the college review committee.

7.9.13 Colleges without Departments

In colleges without departments, the college review committee and the dean will perform the department review committee's and the department chair's functions described in this policy.

7.10 College Review

7.10.1 College Review Committee

The college review committee is composed of at least three faculty members, all of whom have continuing faculty status. The dean appoints the committee and the committee chair.

7.10.2 College Review Committee's Vote and Report

The college review committee will recommend by majority vote to grant or deny candidacy, continuing faculty status, or rank advancement. The committee will write an independent report evaluating the faculty member's citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty), and reporting the committee's vote. A minority report may also be included in the file.

7.10.3 Dean's Report

After the college review committee's vote, the dean will write an independent evaluation of the faculty member's citizenship, teaching, and scholarship (or citizenship and professional service, for professional faculty) and include it in the file. The dean will then forward the file to the appropriate Faculty Council on Rank and Status.

7.10.4 Informing the Faculty Member of a Negative Recommendation

If the college committee or the dean recommends to deny candidacy, continuing faculty status, or rank advancement, the department chair and the dean or an associate dean will inform the faculty member, and explain the reasons for the recommendation, in order to allow the faculty member to withdraw the application. The withdrawal of an application for candidacy or continuing faculty status constitutes notice of resignation from the university at the end of the contract year. The university, at its sole discretion, may grant such an individual a one-year temporary position while the person seeks employment elsewhere. If the faculty member elects not to withdraw the application, it will be forwarded to the appropriate Faculty Council on Rank and Status.

7.11 University Review

7.11.1 Professorial and Professional Faculty Councils on Rank and Status (updated September 30, 2013)

The Professorial Faculty Council on Rank and Status is composed of a minimum of eight and a maximum of twelve professorial faculty members, all of whom have continuing faculty status. It reviews the applications of professorial faculty. A quorum consists of at least three-fourths of the appointed members, rounded up to the nearest whole number of members. The Professional Faculty Council on Rank and Status is composed of six professional faculty members, all of whom have continuing faculty status. It reviews the applications of professional faculty. A quorum consists of four of the six members. The associate academic vice president for faculty serves ex officio as chair of each council, voting only in case of tie votes. The academic vice president appoints each council and the vice-chair of each council.

7.11.2 Faculty Council's Vote

The Faculty Council will recommend, by majority vote, to grant or deny candidacy, continuing faculty status, or rank advancement, and will forward its recommendations to the academic vice president.

7.11.3 Recommendations that Differ from College Recommendations

If the Faculty Council's recommendation differs from that of the dean or the college review committee, the Faculty Council may ask the dean for clarification or for additional information for the purpose of further consideration. The Faculty Council will then forward its recommendation to the academic vice president.

7.11.4 Academic Vice President's Recommendation

After considering the Faculty Council's recommendation, the academic vice president will make an independent recommendation to the university president. This recommendation, informed by the recommendations produced by the department, college, and university level review bodies, is the university's official recommendation to the president. If the academic vice president's recommendation is against candidacy for continuing faculty status, the granting of continuing faculty status, or rank advancement, the candidate will be informed of the recommendation by means of a letter prepared and delivered to him or her by the associate academic vice president for faculty. The letter will state the recommendation, and summarize the reasons upon which the recommendation is based. Upon receipt of the letter recommending denial of continuing faculty status, candidacy for continuing faculty status, or rank advancement, the candidate may withdraw his or her application, request an independent examination of the academic vice president's recommendation as specified in Section 8, or allow the recommendation to go forward for the president's final decision without comment. Withdrawal of an application for continuing faculty status or candidacy for continuing faculty status constitutes resigning employment at the university at the end of the current contract period (See Section 7.10.4).

7.11.5 President's Decision

The president, after receiving the recommendation of the academic vice president and the results of any independent examination (See Section 8), has the exclusive authority, in the exercise of the president's sole discretion, to decide whether to grant candidacy, continuing faculty status, or rank advancement. The president also has the exclusive authority, in the exercise of the president's sole discretion, to determine whether the relevant standards have been met and whether the university will need the faculty member's particular contributions on a continuing basis. All determinations in the Rank and Status process other than the president's decision are only recommendations. The president will give the faculty member written notice of the decision. Copies of the letter will be sent to the academic vice president, the associate academic vice president for faculty, the dean and the department chair.

8. Independent Examination of Academic Vice President's Recommendation

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8.1 Filing a Request for an Independent Examination

A faculty member may request an independent examination of the academic vice president's recommendation to deny candidacy, continuing faculty status, or rank advancement. A recommendation to delay a review for continuing faculty status or candidacy for continuing faculty status cannot receive an independent examination; however, a second recommendation to delay the same proposed action may be examined. A request for an independent examination may be based on either or both of two grounds: 1) that, given the information available in the file, the academic vice president's recommendation was unreasonable, or 2) that a substantial procedural error occurred in the rank and status process (see Section 8.9). To request an independent examination of the academic vice president's recommendation, the faculty member must, within ten calendar days after receiving the letter stating the academic vice president's decision, deliver written notice to the academic vice president of the request. The faculty member may select from the faculty an advocate to assist in the preparation and presentation of the materials to be presented to the examining panel.

8.2 Examining Panel

The president will appoint an examining panel composed of two members of the Academic Vice President's Council (but not the associate academic vice president for faculty) and three faculty members who have continuing faculty status. The president will designate one of the members of the Academic Vice President's Council to chair the panel. The faculty members of the examining panel will be drawn from a pool of faculty nominated by their college deans as potential panel members. The faculty pool will be refreshed as needed as members accept other assignments or leave the university. Any member of the pool may serve on one or more examining panels during an academic year.

8.3 Copy of the File

The associate academic vice president for faculty will give the faculty member and the university representative a copy of the file. The academic vice president shall appoint a faculty member or administrator to serve as university representative to prepare and present the university's response to the case presented in the independent examination. The names and other identifying elements will be removed from the review letters of citizenship, teaching, scholarship, and professional service. Other information which the associate academic vice president for faculty determines in his or her discretion to be confidential may be provided in summarized form with identifying elements removed, provided that the information fairly reflects the substance of the confidential matters.

8.4 Confidentiality

The information provided to the faculty member and the university representative will be held strictly confidential and will not be disclosed except as follows:

- A. The Faculty member may share the information with the faculty member's advocate, and the university representative may share the information with such university employees as are reasonably necessary in preparing a case for the independent examination.
- B. If the faculty member or the university representative determines that information must be disclosed to witnesses to adequately present the case or the response, the faculty member or the university representative will request permission from the chair of the panel. The number of witnesses should be kept to a minimum. Witnesses will submit their testimony only in writing. Violations of confidentiality may be considered in the independent examination and may be dealt with as the panel deems appropriate.

8.5 The Faculty Member's Statement

Within 30 calendar days after receiving the file, the faculty member will provide a written statement to the chair of the panel and university representative stating his or her case. The statement will:

- A. Outline all claims on which the request for the independent examination is based.
- B. Outline all arguments and information that the faculty member wishes to be considered.
- C. List all witnesses whose statements are to be included in the independent examination.
- D. Include copies of all documents (except those already in the file) included in the independent examination.

8.6 Response Statement

Within 30 calendar days after receiving the faculty member's statement, the university representative will provide a written response statement to the chair of the panel and the faculty member. The statement will:

- A. Outline all responses to the claims on which the case for requesting for the independent examination is based.
- B. Outline all arguments and information upon which the recommendation of the academic vice president was based.
- C. List all witnesses whose statements are to be included in the independent examination.
- D. Include copies of all documents included in the response to the faculty member's case.

8.7 Examination Meeting

The chair of the panel will provide to each member of the panel the complete rank and status file and the documents prepared by the faculty member and by the university representative. Only members of the panel will attend the meeting. The faculty member and the university representative will be invited to appear at the hearing to answer questions from the panel and to clarify the case they each prepared. The faculty member's advocate may attend during the faculty member's appearance before the panel. The faculty member will decide whether he or she, or the advocate, will take the lead in answering questions and clarifying for the panel. The amount of time allotted to the questions and clarifications will be limited, balanced for each side, and determined by the chair of the panel. Any exceptions to this process will be granted at the discretion of the chair of the panel. The panel's recommendation will be rendered on the basis of the documents provided and the case as clarified (See Section 8.9).

8.8 Additional Information

At the discretion of the chair the panel may request, receive, or obtain additional information from any source, including information not considered by other reviewers (See Section 7.5).

8.9 Presumptions

The panel will examine the academic vice president's recommendation with the following presumptions:

- A. In considering the substantive merits of the case, the panel will presume that the academic vice president's recommendation is reasonable and justifiable. Therefore, the faculty member has the burden of persuasion to demonstrate that the academic vice president's recommendation is without reasonable basis in light of all the information presented in the rank and status process.
- B. Within this policy and the independent examination, a procedural error is defined as a violation of this policy and the procedures it specifies. A procedural error occurs when a procedure required by policy is either not carried out, or is not carried out according to policy and is of such a severe nature as to cause substantial prejudice and deny a fair review. Intrusions into the process by persons external to the process may also constitute procedural errors. Disagreement about a decision or evaluation resulting from a procedure does not constitute grounds for claims of procedural error. If the case for requesting an independent examination is based on a claim of procedural error, the

faculty member has the burden of persuasion to demonstrate that:

- a. A procedural error occurred.
- b. Because of the procedural error the faculty member suffered substantial prejudice and was denied a fair review.
- c. Upon full consideration of the case, including any information that was excluded because of a procedural error, the granting of candidacy, continuing faculty status, or rank advancement would be warranted.

8.10 Examining Panel's Recommendation

After considering the faculty member's case and the university's response, the panel will recommend by majority vote that the academic vice president's recommendation be sustained or reversed. The panel may make other recommendations regarding the case. Within 10 calendar days of the meeting the panel will give its recommendation and its reasons in writing to the president, the academic vice president, the associate academic vice president for faculty, the faculty member, and the university representative, the dean, and the department chair.

8.11 President's Decision

After receiving the panel's recommendation, the president will decide whether to grant or deny candidacy, continuing faculty status, or rank advancement, or to delay the review. The president has the exclusive authority, in the exercise of the president's sole discretion, to make the decision. The president also has the exclusive authority, in the exercise of the president's sole discretion, to determine whether the relevant standards have been met and whether the university will need the faculty member's particular contributions on a continuing basis. All determinations in the Rank and Status process other than the president's decision are only recommendations. The president will give the faculty member written notice of the decision. Copies of the letter will be sent to the academic vice president, the associate academic vice president for faculty, the dean and the department chair.

8.12 Exhaustion of Remedies and Waiver of Claims

A faculty member may not initiate civil litigation or civil administrative remedies against the university or its employees, agents, officers, or trustees until all the remedies provided by these procedures have been exhausted. Failure to pursue an independent examination within the stated deadlines or to exhaust the remedies provided by these procedures will constitute a waiver of the faculty member's right to pursue any claim arising out of the university's actions in the matter, unless the right to pursue a statutory claim is preserved by law.

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CONTACT

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Faculty Council on Rank and Status– Professorial

The Professorial Faculty Council on Rank and Status recommends professorial university faculty for advancement in rank and continuing faculty status, and helps establish standards for promotion and retention. Members serve for a term of three years, which expires August 31.

Responsible Officer:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Chair:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Vice Chair:

Matthew K. Seeley, Exercise Sciences, (term expires August 2021)

Secretary:

Josh Leavitt, Faculty Development

Members:

- Barry Bickmore, Geological Sciences (term expires August 2022)
- Claudine Bigelow, School of Music (term expires August 2023)
- Clifton Fleming, Law School (term expires August 2023)
- Rollin Hotchkiss, Civil and Environmental Engineering (term expires August 2021)
- Lars Lefgren, Economics (term expires August 2021)
- Robert McFarland, German & Russian (term expires August 2023)
- Todd Mitton, Department of Finance (term expires August 2022)
- Lynn Williams, Spanish and Portuguese (term expires August 2021)
- Stephen Yanchar, Instructional Psychology & Technology (term expires August 2023)

Faculty Council on Rank and Status–Professional

The Professional Faculty Council on Rank and Status recommends professional faculty for advancement in rank and continuing faculty status, and helps establish standards for promotion and retention. Members serve for a term of three years, which expires August 31.

Responsible Officer:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Chair:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Vice Chair:

Jeff Parkin, Theatre & Media Arts (term expires August 2021)

Secretary:

Josh Leavitt, Faculty Development

Members:

- Cheryl Corbett, College of Nursing (term expires August 2022)
- Nieves Knapp, Spanish & Portuguese (term expires August 2023)
- Shawn Nevers, J. Reuben Clark Law School (term expires August 2022)
- Christiane Ramsey, HBLL (term expires August 2021)
- Randy Skinner, Geological Sciences (term expires August 2021)

BRIGHAM YOUNG UNIVERSITY

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Budget Policy



All funds and resources provided to the university are considered sacred, whether they are provided through appropriation of The Church of Jesus Christ of Latter-day Saints (Church), donor contribution, private or government grant or contract, or auxiliary operation. As such, they are to be used solely to further university purposes, as approved by the Board of Trustees of Brigham Young University.

Brigham Young University is a private university, and university budget information is private and confidential. Access to budget information must be restricted to authorized university employees only, and authorized employees may only use the information for authorized purposes. An employee's failure to keep budget information confidential may be the subject of university disciplinary action up to and including termination.

The budget year for the university is January 1 through December 31. Tuition and salaries are determined on an academic year from September 1 through August 31.

Each budget year, deans and directors must submit budget requests as part of the university's strategic resource planning process. Physical Facilities and the Office of Information Technology may also request funding for special projects through the university's strategic resource planning process. After reviewing the submitted budget requests, the President's Council proposes a budget that is then presented to the university's Board of Trustees, which considers and approves the budget.

Long-term external debt for capital projects shall be kept to a minimum, must be approved by the university's Board of Trustees, and is financed by the Church.

Church-appropriated operating funds must be spent within approved budget categories and may only be transferred between categories as approved by the Budget Office. No full-time faculty, administrative, or staff personnel may be hired in excess of approved full-time equivalent (FTE) positions. Hiring part-time faculty, part-time staff, and students is based on funds approved in the budget.

The Church-appropriated operating budget allows for specific potential carryovers (e.g., research, equipment) from one year to the next. Deficit budget amounts at year-end are taken out of that unit's funds for the following budget year.

The Church Educational System Commissioner's Office, which acts as a support staff for the university's Board of Trustees, reviews financial reports monthly to monitor the university's operating and project budgets.

All auxiliary operations are self-funding and should earn adequate revenues to cover all operating costs. Both annual and monthly budgets are required from these organizations. Appropriated funds should not be used to support the ancillary budget needs (e.g., equipment, supplies, travel) of FTE positions when salaries are funded with non-appropriated funds ("soft positions"). Also, no appropriated funds should be transferred to non-appropriated funds without approval from the university's Budget Office.

rev. 11/24/14

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Physical Facilities Policy



Administration

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The Physical Facilities Division is responsible for the design, construction, and maintenance of buildings, roads, utilities and grounds on the BYU campus. This is done to ensure building code compliance, to promote appropriate standards for all maintenance and construction work, to prevent mechanical, electrical and structural damage to buildings and other facilities, and to help prevent unsafe working conditions. Contact with architects, planners, engineers, designers and interior decorators is to be made ONLY through the Physical Facilities Division. The Physical Facilities Division is also responsible for maintaining the university vehicle fleet.

College/Division Representatives

All colleges and divisions should have a representative who serves as the key contact with Physical Facilities to coordinate any services requested or received.

Work Orders and Requests

All needed work not considered routine maintenance should be processed through Physical Facilities as a Work Request, after which preliminary planning and design can commence. A Work Request becomes a Work Order when approval to proceed is received and funding is authorized. If a project estimate is over \$5000 the requested work must be approved as a priority of the dean/director and vice president.

Storage

Permanent and temporary campus storage is available on campus for departments based on justification of need. Departments should refer all requests for storage space to the University Storage Committee, c/o Space Management. Any use of off-campus storage is discouraged and must be reported to Space Management.

Capital Needs Analysis (CNA)

CNA is a program designed to manage all capital replacements, retrofits, and improvements on campus. The objective of CNA is to maximize useful system or component life and provide analysis of future needs. Retrofits and improvements are managed as part of the CNA facilities master plan. All approved capital assets are in a replacement cycle that is reviewed annually to determine remaining life. This is an inspection process that also prioritizes needs.

Facilities Planning and Construction

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Cost Estimates and Approvals

Most work orders, and all projects, require approved scopes, cost estimates and customer and/or administrative approval to determine if final design and construction drawings will be completed. After final drawings are completed, a determination will be made if work is to be completed by physical plant shops or if the work is to be bid out through the construction department and completed by an outside contractor.

Negotiations and Bidding

Purchasing negotiates prices from any single source vendor/supplier. All projects that are the responsibility of the Construction Department will be competitively bid by three or more contractors unless arrangements are made to have purchasing negotiate a price from a single source supplier, or the CM/GC method is used, is authorized by the President's Council.

University Furnishings Committee

The University Furnishings Committee establishes all furnishings standards, which include typical room type setups and the quality levels. Furnishing requests must be cleared by the Facilities Planning Department and the University Furnishings Committee. The Campus Planning and Use Committee approves all standards.

New Buildings/Facilities

After recommendation by the Campus Planning and Use Committee, the President's Council and the Board of Trustees authorize work on new buildings/facilities. New buildings/facilities can be defined as replacement buildings/facilities, major renovation of buildings/facilities, or additional buildings/facilities. A group of selected individuals will serve on the ad hoc committee to assist with the preparation of a written program for a new building/facility or major renovation. The ad hoc committee will not direct the planning process, architects and engineers, contractors, or BYU Physical Plant shops.

Office Space Remodeling and Use

The open-office model will be given first consideration when remodeling of an existing office space requires modifications such as electrical, mechanical, furnishings, etc. As needs for privacy, security, and confidentiality are determined, some offices may be planned as closed offices. Closed offices will not be approved because of personal preference when an open office would provide space adequate to perform the work functions related to that position.

Construction Project

Construction projects on campus involving outside contractors are required to be managed by the Construction Department. Plans and specifications are provided by Facilities Planning. The Construction Department prepares project bid documents, bids the project and oversees the construction. During construction, a Project Coordinator conducts weekly meetings, closely monitors quality assurance, and observes project progress. A final inspection, project closeout, and occupancy permit are part of the completion process.

Moratorium on New Building/Facility Remodeling

When a new building/facility is constructed or major remodeling is completed on campus, there will be a one-year moratorium on any additional remodeling. This allows time for occupants to use the building as it was programmed and designed before requesting any changes.

Furniture, Carpeting, Wall Coverings, and Window Coverings

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Furniture

The university provides furniture for classrooms, offices, laboratories, and common areas in regular budgeted areas of the campus. The replacement of simple office furniture is the responsibility of the individual college or department unless agreed to by the Campus Planning and Use Committee. Other furniture is replaced by the CNA process. All furniture is university property and is assigned to specific buildings. Departments may not move furniture from one building to another without approval from Physical Facilities. The university is responsible for maintenance and repair of all academic furniture on campus purchased through a Work Request. The university discourages the use of personal furniture and will not replace or maintain it. Revenue producing areas provide the funds for any of those areas' furniture acquisitions.

New Construction and Space Remodels

A new construction project or major addition will include budgets for all office and academic/common area furniture. A project for a functional change of space, i.e., a conference room to an office area, may include furniture. Remodeling of existing offices is not a functional change and requires the use of existing furniture.

Additional Furniture

Departments needing additional furniture should submit a Work Request to Physical Facilities which will be evaluated according to the Furnishing Standards.

Common Areas

The Physical Facilities Division inspects and recommends replacement of academic/common area furniture in classrooms, laboratories, and common areas in budgeted areas of the campus.

Carpet

The university funds carpet for new or renovated buildings. Departments may not install carpet from operating budgets, gifts, or at its own expense unless approved by the Campus Planning and Use Committee. Appropriated funds are used to replace worn-out carpet in appropriated buildings/facilities. Carpet in revenue/designated buildings is funded from local sources. The Planning Department, with user input, specifies all carpet quality, style, and colors for all campus buildings. The Furnishings Committee will review and the Campus Planning and Use Committee will approve any exceptions to the carpet guidelines.

Window Coverings

The university funds window coverings for new or renovated buildings, as required. Window coverings will be considered in areas where it is essential to the function and part of an approved project. Departments may not install

considered in areas where it is essential to the function and part of an approved project. Departments may not install window coverings in offices or adjacent areas from operating budgets, gifts, or at its own expense unless approved by the Campus Planning and Use Committee. The Planning Department, with user input, specifies all window covering quality, style, and colors for all campus buildings. Window coverings will be installed and maintained in all campus buildings according to the guidelines set forth in the Furnishings Standards. The Furnishings Committee will review and the Campus Planning and Use Committee will approve any exceptions to the Window Coverings Policy.

Wall Coverings

The use of wall coverings is discouraged on campus. Departments may not install wall coverings in offices or other areas from operating budgets, gifts, or at its own expense unless approved by the Campus Planning and Use Committee. If an exception is approved, the Planning Department (with user input) will specify all wall covering quality, style, and colors for the approved area. The Furnishings Committee will review and the Campus Planning and Use Committee will approve any exceptions to the Wall Coverings Policy.

Hanging Pictures and Plaques

If requested due to size, wall type, weight constraints, or convenience, Physical Plant - Carpentry Shop will hang wall pictures and plaques. There is no charge for this service.

Storage of Furniture and Equipment

Moving Services coordinates all moves within buildings. Special Storage needs are requested and approved by the Storage Committee or the Campus Planning and Use Committee.

Setup and Delivery

Moving Services delivers and sets up equipment on campus for BYU departments and BYU wards and stakes. This equipment includes chairs, tables, easels, dividers, risers, and tents. Physical Facilities equipment may not be reserved for off-campus groups or non-BYU wards or stakes.

Deliveries for BYU departments, wards and stakes will be made on campus only. No off-campus deliveries will be made without written approval. Authorized groups that desire to utilize BYU equipment off campus may choose to pick up and return the scheduled equipment using their own transportation, only if the equipment is available.

Equipment damaged during the time that it is checked out, becomes the responsibility of the group in whose name the reservation is made for the full replacement value.

Pets on Campus

No pets shall be allowed in the buildings or on campus at any time. Students who use animals as guide dogs are an exception to this rule. Animals on campus should be registered with BYU Police. This policy does not apply to animals used for academic or research purposes.

Bicycles/Scooters/Motorcycles in Buildings and Facilities

Bicycle/scooter/motorcycle parking is provided across campus. They are not to be parked or stored inside offices, buildings, or other university facilities.

Grounds

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Gardening

Flower and shrub beds are designed for specific areas of campus and are approved by the Campus Planning and Use Committee. Department-sponsored plantings are not permitted without the approval of the Committee.

Interior Planting

Interior plantings in common areas of appropriated buildings are maintained by Plant and Floral Services. Interior plantings in offices or assigned areas of appropriated buildings are paid for by the requestor and maintained by the requestor and Plant and Floral Services. Interior plantings in revenue and designated account buildings are billed based on services provided.

Storm Drains and Hazardous Waste

The university storm drain system is engineered for natural runoff only. Laws prohibit the use of these drains for anything except run-off. Refer to the [Risk Management and Safety Policy](#) covering disposal of hazardous liquids/materials.

Metal Detectors

Except where required as a security scanning device, the university does not permit the use of metal detectors on

except where required as a security screening device, the university does not permit the use of metal detectors on campus. The Grounds Services Department will assist in recovering valuable items.

University Exterior Banners and Signs

The Campus Planning and Use Committee approves the placement of all exterior banners and signs throughout campus and authorizes their placement in pre-determined areas. Students and university personnel may not attach banners or signs in unauthorized areas or to trees, shrubbery, fences, poles or university facilities. All signs displayed in student activity areas must be scheduled through Campus Scheduling and be displayed on approved sign pedestals provided through BYUSA and the Grounds Department. Size and content of signs must be approved by the Wilkinson Student Center Administrative Services. Banners not approved will be removed from the campus at the owner's expense. The university prohibits any commercial banners or signs on campus except as outlined in the [Advertising, Selling, Soliciting Policy](#).

The Paint and Sign Shop, with assistance from the Planning Department, handles requests for all building signs, nameplates, room numbers, departmental identification signs, etc. Departments should submit a Work Request to Physical Facilities for all signs or sign changes. For a list of approved display areas for banners, kiosks, portable case and signs see Physical Facilities procedures.

The university Traffic Office is responsible for traffic sign requests.

Scheduling of Grounds

The Grounds Services Department provides support and maintenance for all approved activities on campus grounds except those held in housing areas. An "activity" is defined as six or more people gathered or meeting on the grounds. Scheduling is done through Campus Scheduling. (See [Scheduling and Use of BYU Facilities Policy](#).)

Grounds Services is to be informed of all scheduled use of the institutional grounds and university outdoor facilities. ALL events impacting Grounds Services are to be authorized, scheduled event. Those scheduling an event will be charged for services rendered.

Space, Buildings and Facilities

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Space

BYU works under a space neutral policy. That is, BYU square footage may not exceed the limits established by the Board of Trustees.

BYU buildings and facilities are considered an institutional resource. These resources are owned by the university and governed by the Campus Planning and Use Committee for specific university functions and purposes. Space Management allocates all institutional space and, in consultation with academic leadership, manages space for academic and Church use.

Church Use of University Facilities

The university has the opportunity and responsibility, within its available space limitations, to support the activities of BYU wards and stakes. It is the expectation of the university that faculty and administrators may be asked to cooperate in sharing arrangements with bishops and stake presidents.

The Office of Space Management (OSM) has the responsibility for arranging meeting locations for on-campus wards and stakes. This office works with college and department liaisons to find and arrange offices for bishops, stake presidents, etc.

Where university personnel are assigned to share space with bishops and stake presidents, they are expected to provide access during Sundays and the agreed-to weeknight. Access during the week is expected after 6:00 p.m.

Church leaders may expect access to desk space and their own files in faculty or academic administrative offices. Telephones may be used for church business only and all long distance calls must be charged to the ward or stake PIN. Church leaders are not to use faculty or department computers for any reason. They should also instruct their clerks, counselors, etc., to refrain from any such use of computers, printers, supplies, etc. Copiers may be used by specific agreement and by separate PIN numbers or other charging arrangements.

Custodial Services

Custodial Services is responsible for routine care, deep cleaning, building lockup, and security or other assistance at all appropriated buildings and some assigned revenue and designated account buildings and facilities. Departments should bring routine building maintenance matters to the attention of the building custodian.

Building Lockup

Academic and administrative buildings are locked on university approved holidays and at official university closing

times. On Sundays, buildings are open for approved scheduled church meetings only. Access to buildings during scheduled lockup times is allowed only to those authorized by key and/or card entry. Anyone allowed access after-

hours is responsible for building security and contents. (See [Scheduling and Use of BYU Facilities Procedures](#), Section entitled "Scheduling On-Campus Groups").

Keys

Keys used to secure the campus are university property. Duplicating, selling, and/or destroying keys is against university policy. Lost keys are the responsibility of the person or organization assigned.

Card Access

Card access is to provide increased building security and accurate key and/or card control by authorized personnel. Employee/student ID card access is granted and activated by the respective college/department assigned to manage the system.

ID cards for maintenance, support employees, contractors, ecclesiastical authorities, visitors and temporary employees are programmed by the Physical Facilities Key Office. (Areas pertaining to Auxiliary Maintenance and Residence Life Should be coordinated with those departments directly.)

Lockers

The university provides a limited number of lockers for general student use. Lockers can be rented online. Only students registered for classes may rent a locker.

Roof Access and Attachments

Roof access requires approval from Roofing Maintenance Services. Any attachments to be placed on a roof require an approved Work Order and written approval by the responsible vice president. The request should describe the reason and nature of the access requested, including the total cost and impact of installation, possible damage, and maintenance of the item.

Utilities

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Utility Design, Maintenance, and Usage

All campus buildings, facilities, general site or infrastructure utility designs, specifications, engineering, installations, maintenance, and replacements are under the direction of the Utilities Section of Physical Plant. Requests for utility work, require an approved Work Order by a vice president and the Campus Planning and Use Committee.

All outside utility companies coordinate their billings to campus through the Utilities Analyst of Physical Facilities. Negotiation for rate changes, discounts, or long-term contracts are accomplished through the Utilities Section.

Monthly Utility Billings: Monthly charges for utilities not covered by appropriations are allocated back to campus users based on their square footage or actual usage.

Outside Lighting

Outside lighting standards are established by the Utilities Section of Physical Facilities, campus police, and the administration. Requests for additional outside lighting must be approved by the Campus Planning and Use Committee and installed by Physical Facilities personnel.

Vehicle Services

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Emergency Assistance

Wrecker service is available for all university vehicles. A motorist assist program is also available for all university personnel, students and guests. For a nominal fee, assistance is available for lockouts, jump starts and flat tires (on campus only).

Auto Shop

The Auto Shop purchases, repairs, services, and resells all fleet vehicles on campus unless approval is given to have outside vendors provide the service. University vehicles are required to be properly serviced, have proper emissions testing, and state safety requirements. Transportation Services will register the vehicles, renew each registration annually, and provide other licensing needs (i.e., for trailers, specialized vehicles, etc.). The Auto Shop is a warranty dealer for most makes and models in the university fleet. Warranty work off-campus requires written approval from Transportation Services

Transportation Services.

Service Station

The university service station provides lube, oil, gasoline, and cleaning facilities for fleet vehicles. Those departments renting or having assigned fleet vehicles have the responsibility to properly maintain each assigned vehicle. Abuse of university property or services will be referred to the Campus Vehicle Committee. (See [University Vehicle Policy](#).)

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Academic Standards Procedures



The following outline shows the conditions and expectations according to the student's academic standing:

Academic Standing	Under these Conditions	Outcomes and Expectations
GOOD	Most recent semester/term GPA and BYU cumulative GPA are 2.0 or above, and student has <u>NOT</u> been on academic Probation or Suspension	Student continues to maintain a 2.0 semester/term and BYU cumulative GPA
PREVIOUS	Same as Good standing but indicates a student has previously been on academic Probation or Suspension	Student continues to maintain a 2.0 semester/term and BYU cumulative GPA. However, student goes directly to Probation if student has a semester/term GPA below 2.0.
WARNING <u>Includes</u> a Registration Block	Most recent semester/term GPA is below 2.0 and student was on Good academic standing or When the most recent semester/term GPA is 2.0 or higher but the BYU cumulative GPA is below 2.0 and student was on academic Warning.	Student is blocked from registrations beyond the subsequent semester/term until the student <u>EITHER</u> submits a complete Faculty/Mentor Support Form to the Academic Support Office by the appropriate deadline <u>OR</u> the student earns at least a 2.0 GPA for the subsequent enrollment and has at least a 2.0 cumulative GPA. Students with less than a 2.0 cumulative GPA must submit the Faculty/Mentor Support Form.
PROBATION <u>Includes</u> a Registration Block	Most recent semester/term GPA is below 2.0 and the student was on academic Warning or Most recent	Student is blocked from registrations beyond the subsequent semester/term until the student <u>EITHER</u> submits a complete Faculty/Mentor Support Form to the Academic Support Office by the appropriate deadline <u>OR</u> the student earns at least a 2.0 GPA for the subsequent enrollment and has at least a 2.0 cumulative GPA. Students with

most recent semester/term GPA is below 2.0 and the

student was on Previous standing.

or

Most recent semester/term GPA is 2.0 or higher but the BYU cumulative GPA is below 2.0 and student was on academic Probation.

at least a 2.0 cumulative GPA. Students with less than a 2.0 cumulative GPA must submit the Faculty/Mentor Support Form. Students

on Probation who earn less than a 2.0 GPA for a semester or term are suspended. **Note:** If a student is receiving university or federal financial aid, the student must also contact the Financial Aid Office, A-41 ASB, (801) 422-4104. Students on Probation may not be eligible for financial aid.

SUSPENSION

Most recent semester/term GPA is below 2.0 and student was on academic Probation.

or

Student fails to comply with the conditions prescribed by the Academic Standards Committee.

Student is dropped from all enrollments in day, evening, or extension classes (except Independent Study). Student may not enroll in BYU day, evening or extension classes (except Independent Study) for a minimum of 12 months. During this time, the student is expected to resolve all problems leading to the student's academic suspension. After 12 or more months, the student may apply for readmission. If the student completes any college level work while on Suspension, the student must receive an overall GPA of 3.0 or higher in that coursework to be allowed readmission. Student should contact the Admissions Office, D-155 ASB, (801) 422-4104 for details and pertinent information about deadlines and expectations for readmission. A student with extenuating circumstances—who has appropriate support and justification—may appeal the 12-month period out of BYU through the Academic Standards Committee. Student should contact the Academic Support Office, 2500 WSC, (801) 422-2723 for assistance. No other appeals will be considered.

DISMISSED

Student is academically Suspended a second time.

An academically dismissed student may not enroll in day, evening or extension classes (except independent study). After three years, a student is eligible to enroll in evening or extension classes. A student may seek an exception to be readmitted as a degree-seeking student after two years by petitioning the Academic Standards Committee.

NOTE: College advisement centers (CACs) may also set registration blocks on students not progressing toward timely graduation. In such cases, students must also meet with their CAC to have this block removed.

Readmission

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Students will be ACADEMICALLY SUSPENDED from BYU if they meet either of these conditions:

- When on academic Probation the student fails to receive a GPA of 2.0 or higher for the semester/term, and has taken at least 6.0 credits since his or her last academic standing calculation.
- When the student fails to comply with the conditions prescribed by the Academic Standards Committee.

Students who are academically suspended from BYU will be dropped from enrollment in all day, evening or extension classes (except Independent Study). Suspended students are denied continued enrollment at BYU in day, evening or extension classes (except Independent Study) for a minimum of 12 months. After staying out the designated time, students may apply for readmission to BYU. If students complete any college-level work while on suspension, they must receive an overall GPA of 3.0 or higher to be allowed readmission to BYU. Students wanting readmission to BYU must submit parts 1, 2 and 3 of the BYU admission forms and copies of any transcripts of classes completed while on suspension to the Admissions Office by the published deadlines. Students would be readmitted on Probation standing.

Students with extenuating circumstances and who have appropriate support and justification may appeal the twelve-month period out of BYU. The student should appeal to the Academic Standards Committee and submit appeals through the Academic Support Office. (See Appeals procedure below.)

Students suspended a second time from BYU are denied enrollment at BYU, except through Independent Study. After three years, an academically dismissed student may enroll in evening or extension courses. After two years, a student may petition the Academic Standards Committee for consideration of the student's degree-seeking status.

Students with a BYU cumulative GPA of 2.0 or higher when suspended may apply to be considered for a "Fast Track Back" readmission program. If successful, they may be readmitted on Previous standing after staying out six or more months. Students following this program qualify by completing 12 or more hours of general education classes at a 3.0 or higher GPA with no repeats, W, UW, WE, I, or IE grades. Classes may be completed through BYU Independent Study or at another college or university. Only general education classes will qualify unless the student is granted an exception by both the Admissions Office and his/her College Advisement Center (CAC) advisor. Exceptions are only granted if the student obtains approval prior to taking classes. Students wanting readmission to BYU must submit parts 1, 2 and 3 of the BYU admission forms along with copies of any transcripts of classes completed while on suspension to the BYU Admissions Office by the published deadlines.

Procedures

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Following grade processing each semester/term, the Academic Support Office informs students who are suspended or dismissed of their academic standing by sending a letter by U.S. mail. Students are informed they will be dropped from all current and future day, evening or extension classes (except Independent Study) at BYU. Students are also informed of any options they have for possible return to BYU. (See Regular Reinstatement and "Fast Track Back" Reinstatement below.)

Regular Reinstatement

Suspended students wanting readmission to BYU may be considered for readmission after they have spent a minimum of 12 months out of BYU day, evening or extension classes. Students, who complete college level classes while on suspension from BYU, must get a GPA of 3.0 or higher to be considered for readmission to BYU.

Parts 1, 2 and 3 of the BYU admission forms must be completed before the published deadlines: October 1 for winter semester or March 15 for spring or summer terms or fall semester. Students should contact the BYU Admissions Office, A-153 ASB, (801) 422-2507, for additional details, application forms, and help with the process.

A student readmitted after being suspended and staying out of BYU 12 or more months and who has completed any additional college-level classes with a GPA of 3.0 or higher would re-enter BYU on Probation as his/her current academic standing.

"Fast Track Back" Reinstatement

Students with a BYU cumulative GPA of 2.0 or higher may choose to qualify to be reinstated on Previous standing and return to BYU sooner than 12 months. To qualify, students who already have a BYU cumulative of 2.0 or more must complete a minimum of 12 hours of general education credits with a 3.0 GPA or higher with no repeats, W, UW, WE, I, IE grades and be out of BYU a minimum of six months. Students, who have completed all or most required general education classes, may obtain approval to complete other specified academic classes. Approval must be obtained from both a BYU Admissions Office counselor and the appropriate CAC advisor before enrolling in the classes. Classes may be completed through BYU Independent Study or through another college or university. Students must obtain approval from the Academic Support Office to pursue the "Fast Track Back" option.

from the Academic Support Office to pursue the "Fast Track Back" option.

Classes must be completed and transcripts submitted along with parts 1, 2 and 3 of the BYU admission application before the published deadlines: October 1 for winter semester or March 15 for spring or summer terms or fall semester.

Students should contact the BYU Admissions Office, A-153 ASB, (801) 422-2507, for additional details, application forms, and help with the readmission process.

A student readmitted after being suspended and staying out of BYU six or more months and who completes 12 or more hours of general education or other approved specified academic classes with a GPA of 3.0 or higher, will be admitted on Previous standing.

Faculty/Mentor Support and Academic Support Contract

All students who are readmitted after being suspended must negotiate a contract specifying expectations the University has for the student upon his/her return to BYU. Specifically required will be written faculty mentor support, a graduation plan approved by the student's faculty mentor and also the CAC supervisor, and a contract with an Academic Support Counselor. If the student's BYU cumulative GPA is below 2.0, the contract should also specify the needed GPA for the next enrollment(s) to bring the cumulative GPA to 2.0 or higher.

Before being cleared to register, students must submit to the Academic Support Office evidence of faculty mentor support including specific approval of classes the student will register to take upon return to BYU. The student will then be cleared to register. In addition, any enrollment beyond the current enrollment will be dropped unless the returning student signs a contract with a counselor in the Academic Support Office verifying that the student has department and college support. This support must include a graduation plan reviewed and approved by the supervisor of their CAC and their faculty mentor. Students should contact the Academic Support Office, 2500 WSC, (801) 422-2723, for instructions regarding carrying out these requirements in a timely way. Upon notification of a student's readmission to BYU, the Academic Support Office will inform students by letter of these and any other requirements.

GPA Expectation

All students who are readmitted after being suspended must get a 2.0 or higher GPA the semester/term they return. Failure to comply with this expectation may result in being academically dismissed from BYU.

Future Standing

Reinstated students who earn a semester/term GPA of 2.0 or higher in at least 6.0 credit hours upon return to BYU and who also have a BYU cumulative GPA of 2.0 or higher, will be returned to Previous standing. Students with a BYU cumulative GPA of less than 2.0 will continue on Probation if their semester/term GPA is 2.0 or higher. They will be continued on Probation until their BYU cumulative rises to 2.0 or more. Should a reinstated student be suspended in the future, his/her standing will be changed to Dismissal and he/she will be required to leave the university. Dismissed students are denied enrollment at BYU in day, evening or extension classes. After three years, they may enroll in evening or extension courses only. After two years, dismissed students may petition the Academic Standards Committee regarding admission as a degree-seeking student.

Appeals

Students are expected to work with counselors in the Academic Support Office, their CAC, faculty and department mentors, and other resources to resolve personal and/or academic problems when they are on Probation standing. Counselors and others may help students appeal to drop classes, reduce their loads, etc., through the Records Office as part of helping them while they are on Probation standing.

In rare and unusual circumstances, students who have been suspended may appeal staying out of BYU for the required 12 or more months. Students must persuade the University that they should be allowed to continue without staying out for a period of time and must have strong department support for an exception to the policy. They must adhere to the following petitioning guidelines.

Petitioning Guidelines for Exception to Time Period Away from BYU

Petitions must include the following:

- A statement of why the student would not benefit from staying out of the University 12 or more months. Part of this statement must be an explanation of the conditions that led to the academic Suspension. Students must explain the conditions or situations leading to each impacted enrollment. The statement must consider all recent semesters/terms below 2.0 GPA and also must demonstrate the resolution or successful management of the conditions or situations leading to the academic Suspension.
- The student must submit supportive information concerning the conditions or situations leading to his/her suspension. Such information should clearly show that the student has resolved all pertinent challenges. Statements or letters from doctors, counselors, ecclesiastical leaders, employers, faculty mentors, teachers, etc.

Statements of letters from advisors, counselors, ecclesiastical leaders, employers, faculty members, teachers, etc., will be helpful only if they verify that the student has resolved the condition that led to the suspension.

- If incomplete grades are part of the transcript, the student must include with the petition copies of any pending Incomplete Grade Contract accompanied by a written completion plan including date to be finished.
- A written graduation plan must specify all general education, University major and minor requirements, including semester/term and year they will take each class. The graduation plan must be current, that is, since the student's suspension, and must include only classes required for graduation.
- A memo from the Supervisor of the appropriate CAC supporting and approving the student's written graduation plan.
- A memo of support from the department chair. Prior to writing a memo, the chair should review thoroughly with the student and with the student's faculty mentor why the student did not perform as expected during his/her probationary semester/term and was therefore suspended. Having addressed this failure, the chair must then review the student's statement of why he/she would not benefit from staying out of BYU, supporting documentation, plans to complete incomplete grades, and the CAC approved graduation plan. If the chair believes the department is supportive of waiving the 12-month period out of BYU, the chair must write a memo on department letterhead affirming the department's support and specifically addressing the following questions:
 - Why did the student not perform as expected during the probationary semester/term and end up being suspended?
 - What has changed or is different now?
 - Since time away from BYU would generally be beneficial to resolving challenges leading to suspension, why are the department chair and the student convinced the student should be allowed to continue at BYU without time away?
- Written support from a faculty member in the department who is willing to help (mentor) the appealing student must be included. Specifically, the petition should include support that indicates the strong probability of the student's future academic success and should also address the three bulleted questions above. The department chair may act as mentor if he/she chooses and should so state in the letter of support.

Decisions of the Academic Standards Committee will follow the criteria outlined below:

Appeal Decisions

Denied. Petition is denied. The student will be informed that he/she must remain out of BYU for 12 or more months.

Approved. The petition is approved. The student will be allowed to enroll for the semester/term specified by the Academic Standards Committee. The student must meet with and sign an agreement with the administrator of the Academic Support Office. The agreement will cover the following:

- The student must get a 2.0 (C) or higher semester or term GPA his/her next semester/term.
- If the student fails to get a 2.0 or higher the next semester/term, he/she will be dismissed from the University.
- Other specific instructions, restrictions, and/or conditions set by the Academic Standards Committee.

Earning BYU Credit While on Suspension

See section on "Credit Hours Earned."

Academic Dismissal

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General Dismissal Policy

Students academically suspended from the university a second time are academically dismissed from the university for a minimum of three years, during which time they are not eligible to enroll in day, evening, or extension courses (except Independent Study courses). After the three-year period, academically dismissed students are *automatically* eligible to enroll in evening or extension courses. They must contact the Academic Support Office to have their academic hold removed.

Readmission to the University as an Undergraduate Student after Academic Dismissal

If, after two years, an academically dismissed student wishes readmission to the university as an undergraduate, degree-seeking student, the student must *first* petition the Academic Standards Committee. The student's petition must establish and document that the circumstances leading to the previous suspension and dismissal have been corrected

and that the student's major department supports, in writing, the readmission after dismissal. Written support from the student's major department chair must include a graduation plan, evidence of a review of the student's circumstances by the department chair, and an expressed confidence that given support from the department chair the student will successfully complete his or her program of study. Other appropriate documentation for the petition may include course work completed at another university or college by the student.

If an academically dismissed student's petition for readmission to the university is accepted by the Academic Standards Committee, his or her current academic standing becomes Probation. The student must, however complete the application process stipulated by the Admissions Office as a returning student to be admitted to the university. The Academic Standards Committee may limit the student's enrollment to Spring and Summer terms, as a condition of readmission.

Exceptions to General Dismissal Policy

Exceptions to the general policy for academic dismissal may be granted for the following circumstances:

- Students who are within 16 credits of graduation and have a cumulative GPA of at least 2.0 may petition the Academic Standards Committee to return to the university following an absence less than that prescribed by the general policy. The student's petition must include the same information required of students petitioning a return to the university after being academically dismissed.
- Students who are full-time employees of the university are still subject to the academic dismissal policy; however, they are eligible to continue enrollments in evening or extension courses without an absence.

Standing of Approved Petitions of Dismissed Students

Students whose petitions are accepted by the Academic Standards Committee will have their current academic standing changed to Probation.

Readmission Application Process

Students who petition readmission to the university following academic dismissal must first have their petition approved by the Academic Standards Committee. Following this approval, these students may then apply for readmission to the university. A copy of the decision of the Academic Standards Committee will become part of the readmission package.

Suspension Following Dismissal

Students who are again suspended following a return from dismissal are subject to the same provisions of the General Dismissal Policy.

Special Considerations and Provisions Under Dismissal Policy

In addition to the considerations outlined above for Dismissed Students, this policy covers the following circumstances:

- **Returning Graduate Students** – Students who have been academically dismissed from the university as undergraduate students but who have been accepted to one of the university's graduate programs will have their current academic standing removed upon notification of graduation to the Academic Support Office.
- **Graduation of Dismissed Students with Transfer Credit** – Students who have been academically dismissed from the university may be permitted to graduate with transfer credit under the provisions established for the graduation of suspended students with transfer credit.
- **Graduation of Dismissed Students Completing Degree at Time of Dismissal** – Students who are academically dismissed the same semester or term they complete their degree may be permitted to graduate under the provisions established for the graduation of suspended students.

Academic Standing at Graduation

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All students who graduate from the university will be listed with a current academic standing of Good, if the student notifies the Academic Support Office of his/her graduation.

CONTACT

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Student Academic Grievance Policy



There may be occasions when a student believes her/his academic work or conduct has been unfairly or inadequately evaluated¹ by the faculty². Usually such differences of opinion can be amicably resolved informally between the student and the faculty member. If not, the following procedures are intended to encourage satisfactory resolution of academic grievances with a minimum of formal procedure

1. The grievance must be initiated by the student no later than four months (120 days) from the last day of the examination period of the semester in which the alleged unfair or inadequate evaluation occurred. A grievance related to restrictions limiting participation in university academic programs must be initiated within 30 days of the decision in question.
2. The student should initially address the grievance in writing to the faculty member or administrator responsible, requesting review and resolution. If the faculty member or administrator is unavailable or if the student has a valid reason to believe the matter will not be dealt with fairly or that retribution may result, the student may submit the grievance directly to the applicable department chair. (The faculty member, administrator, or department chair shall have the right to consult others regarding the matter as reasonably necessary and with due regard for the student's right to privacy under the Family Educational Rights and Privacy Act.)
3. If the grievance is addressed initially to the faculty member, and it is not resolved satisfactorily, the student may submit a written request for further review to the department chair within 30 days of the faculty member's decision.
4. The department chair's decision shall be given in writing to both the student and the faculty member within 30 days after receiving the student's request and all supporting material for review.
5. If the matter is still unresolved, the student may submit a written request for formal review to the dean or director of the applicable college or school within 30 days of the department chair's written decision.
6. If a formal review is requested, the applicable dean or director shall be assisted in reviewing the grievance by a review panel, as described in the following paragraphs.

The dean or director will appoint several individuals associated with the university to serve as an ad hoc review panel. At least two of these individuals must be faculty with continuing faculty status from outside the area of study in which the grievance arose. One of these faculty members will be appointed to chair and conduct the proceedings, which should take place within 30 days after receiving the student's written request for formal review and all supporting materials. Faculty appointed to a panel reviewing a graduate student's grievance must have graduate faculty status.

In reviewing the grievance, the review panel, the affected student, and the affected faculty member are responsible to identify or provide relevant sources of information. The review is intended to be collegial and not adversarial. Accordingly, legal counsel is not allowed to attend nor advocate in the review process. Presentation of the issues should be concise and relevant. The chair of the review panel shall be responsible to conduct the review and establish applicable procedures if such are not available from the dean or director. Any formal presentation should be limited to pertinent issues, and panel members should be allowed sufficient time for questions. Following presentation and discussion of the grievance, the review panel will deliberate in closed session and submit its written recommendation to the dean or director.

The dean or director will determine the resolution of the grievance and give the decision in writing to the student and faculty member within ten days of receipt of the review panel's recommendation. This decision is final and not subject to further appeal, unless it involves termination of a graduate program or termination from the university.

If the matter involves termination of a graduate program and is not resolved to the graduate student's satisfaction, the student may submit a written request for review to the dean of Graduate Studies. The written request for review should contain an outline of the grievance and its disposition, and set forth facts supporting the student's request for review. The request for review must be made within 30 days of the date of the written decision by the dean or director. The dean of Graduate Studies will convene a formal administrative review of relevant matters that have not been resolved at the department or college level. Following the review, the dean of Graduate Studies will make the final

determination.

If the matter involves termination of an undergraduate student from the university for academic reasons or revocation of a degree, the student may submit a written request for review to the academic vice president. The written request for review must contain an outline of the grievance, its prior disposition, and set forth facts supporting the student's request for review. The request for review must be made within 30 days of the date of the written decision by the dean or director. The academic vice president may either make a decision on the matter or delegate the review to an associate academic vice president who will convene an ad hoc review panel to study the issues and prepare a written recommendation for the academic vice president. A written decision by the academic vice president will be sent to the student within 30 days of receipt of the written recommendation of the panel, unless an extension is necessary and all parties are notified of the extension in writing.

¹ Academic evaluations subject to this policy include grading, restrictions limiting participation in university academic programs, dismissal from the university or a university program for academic reasons, actions arising from incidents of academic dishonesty, the withholding and/or revocation of a diploma for academic reasons, and the withholding of or special notation on transcripts for academic reasons. Evaluations relating to admissions to the university, ecclesiastical endorsements, discipline administered by the Honor Code Office, or petitions are not covered by this policy. Persons who believe they have been unlawfully discriminated against or sexually harassed should contact the Equal Opportunity Office.

² For purposes of this policy, "faculty" means any teacher or other individual authorized by the university to academically evaluate students or who has a legitimate need to know regarding the processing and disposition of an academic grievance.

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Contents, Related Policies, Applicability ▾

Accommodation of Persons with Disabilities at BYU Policy ⬇

BYU is committed to providing a working and learning atmosphere which reasonably accommodates persons with disabilities who are otherwise qualified to participate in BYU's programs and activities. It is the policy of BYU to prohibit unlawful discrimination against persons with disabilities and to provide reasonable assistance in bringing them into the mainstream of campus life. To accomplish this, BYU complies with all applicable disability laws.

Please see [Accommodation of Persons with Disabilities at BYU Procedures](#) for details.

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Accommodation of Persons with Disabilities at BYU



Americans with Disabilities Act

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The Americans with Disabilities Act (commonly referred to as the “ADA”) was enacted into law in 1990 and was modeled after Section 504 of the Rehabilitation Act of 1973. The ADA attempts to establish a uniform national program to protect persons with disabilities from discrimination. One of the areas most significantly impacted by the ADA at Brigham Young University (“BYU”) is employment (Title I). While BYU is obligated to observe ADA provisions with respect to employment, the ADA exempts entities such as BYU, which are owned and controlled by religious organizations, from the provisions of the public accommodations (Title III) of the ADA. BYU will attempt in good faith to comply with those provisions of the ADA from which it is exempted to the extent reasonably practicable as determined at the sole discretion of BYU.

Disability law is generally enforced through the federal and state equal opportunity agencies, and unlawful discriminatory action by the university may result not only in litigation against the university, but in the possible loss of federal financial assistance. In view of the extensive legal regulation designed to assist persons with disabilities and to heighten public sensitivity to barriers faced by persons with disabilities, it is important the campus community be informed of its responsibilities under applicable disability law.

Section 504

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Section 504 of the Rehabilitation Act of 1973 (commonly referred to as “Section 504”) is a broad anti-discriminatory federal statute legally applicable to BYU as a recipient of federal financial assistance. This Act prohibits discrimination against otherwise qualified individuals with disabilities desiring to participate in BYU’s programs and activities and requires BYU to provide reasonable accommodations for them, provided such action does not place an undue hardship on the university. Section 504 is most generally applicable to BYU with respect to the accommodation of personnel and students with disabilities.

Section 504 contains extensive regulations that govern a number of BYU programs and activities, including, but not limited to, admissions, academic programs, auxiliary aids, student housing, financial aid, employment, career counseling and placement, physical education and athletics, extracurricular and social activities, health care and health insurance, and transportation services.

Funding Reasonable Accommodations for Students and Personnel with Disabilities

[Top](#)

A general fund to provide reasonable accommodations for students and personnel with disabilities is administered by the student life vice president. Colleges and departments that require financial assistance beyond their means to provide reasonable accommodations for students and personnel with disabilities will send their request to the Disability standards Compliance Committee (DSCC) for review. The DSCC will evaluate the request and make a recommendation, based upon legal and ethical considerations, to the student life vice president. The student life vice president will determine whether or not funds are to be disbursed from the general fund account to the college or department.

The University Accessibility Center should act as consultant to other university organizations in helping them carry out their responsibility to provide reasonable accommodations for students, but it will not be required to fund accommodations beyond its specific charge.

Service and Pet Therapy Animals

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BYU is committed to reasonably accommodate persons with disabilities who require the assistance of service or therapy/emotional animals. However, the university is also mindful of the health and safety concerns of the campus

community. Thus, the university must balance the need of the individual with the disability with the potential impact of service and therapy animals on other campus patrons. The University Accessibility Center (UAC) is responsible to oversee the use of service or therapy animals.

Student Disability Grievance Procedure

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Faculty members and individual campus administrative units are responsible to make reasonable accommodations for students with disabilities in order to remove barriers to the accessibility of university programs and activities resulting from a disability. They are encouraged to contact the University Accessibility Center (UAC), 2170 WSC, 801-422-2767, for general accommodation assistance for students with disabilities. While it is anticipated that most accommodation requests will be informally resolved at the lowest level of decision-making feasible, occasionally the effort of accommodation may be unsatisfactory to the student. In such cases, the student, whether or not currently enrolled, may initiate a grievance by following the university's [Discrimination Complaint Procedures](#).

Personnel Disability Grievance Procedures

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It is the policy of BYU not to discriminate in employment against qualified individuals with a disability who, with or without reasonable accommodation, can perform the essential functions of an employment position without creating an undue hardship on BYU. Reasonable accommodation is usually accomplished by joint and flexible problem solving between the employer and the individual with a disability. Essential functions are those fundamental job duties that are intrinsic to the employment position and that are not marginal, peripheral or incidental to the performance of the job. Undue hardship is any accommodation action which would be unduly costly or which would fundamentally alter the nature of a job.

Individuals who believe they have been unlawfully discriminated against on the basis of disability in employment may seek resolution through following the university's [Discrimination Complaint Procedures](#).

Disabled Personnel Parking Accommodation

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BYU is committed to complying with applicable disability law and has provided parking spaces specifically marked for use by persons with disabilities. Personnel with disabilities are urged to utilize these parking spaces. However, otherwise qualified personnel with disabilities may request reasonable accommodation in the form of an individual parking stall reserved for a particular individual if needed to make the work place accessible.

Any personnel requesting such accommodation are directed to obtain and complete an application form from the university's equal opportunity manager. As part of the application, the personnel must provide evidence of a disability special group license plate or placard issued from the State of Utah, medical documentation from a licensed physician concerning the applicant's physical limitations and the expected length of time the applicant will likely remain disabled, and a letter from his or her immediate supervisor indicating whether or not the supervisor supports the application.

Upon receiving the application, the equal opportunity manager will convene a meeting as soon as practical with the Disability Parking Committee (comprised of the equal opportunity manager, representatives of the Traffic Office, University Accessibility Center, and the Student Health Center) to consider the application. As needed, further investigation of the applicable facts and circumstances underlying the application will be conducted by a member of the Disability Parking Committee. At the conclusion of this process, a good faith attempt will be made to facilitate a parking arrangement that is mutually acceptable to the Disability Parking Committee and a qualifying applicant.

In the event that an arrangement acceptable to the committee and applicant is not reached, the matter will be referred to a three-person panel, appointed by the assistant administrative vice president-Human Resource Services (for university personnel) or the student life vice president (for students), consisting of a licensed physician from the Student Health Center, a member of the Risk Management and Safety Department, and any person employed by the university who is mobility impaired. This panel shall review the application, conduct such investigation to determine if it is reasonable and necessary, and make a recommendation as to the disposition of the application to the assistant administrative vice president-Human Resource Services (for university personnel) or the student life vice president (for students), who shall make the final determination.

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Internships Policy



An internship is an academic, curriculum-based practical work experience in a particular field of study that enhances student learning, and for which a student is enrolled. Internships may include externships, clerkships, student teaching, or similar work experience. While a qualified on-site supervisor in the workplace directs the larger part of learning, the student is also supervised by a discipline-specific faculty advisor or department administrator who monitors the student's progress and resolves any concerns of the student or the internship provider under department or school internship oversight.

Internship Enrollment and Experience

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The course numbers designated by the University Curriculum Council for internships are 199R, 299R, 399R, 496R, 599R and 688R. All students engaged in internships must be enrolled during the time they are participating in the internship in one of the designated course numbers (0.5-12 credits), and those numbers should not be used for any other purpose. The minimum number of internship hours for each hour of credit earned is 42 hours, but academic departments or schools determine the actual number of experience hours required for each earned credit hour. Credit for internship experience is not given retroactively; neither can credit be given in advance of the internship. All internship experience for which a student is enrolled must be preceded by the establishment of academic requirements, completion of contractual agreements, and pre-internship orientation of the student.

Suitability of the Internship Experience

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The department or school's faculty advisor or administrator must determine the suitability of internship experiences using guidelines established by the department or school's faculty oversight committee. Experiences should have material relevancy to the academic discipline. Students should be expected to use a variety of skills and knowledge and have an assigned on-site supervisor who is an experienced professional in the industry. Students may not receive grades or internship credit under the supervision of any immediate family members (spouse, parent, child, sibling, grandparent, aunt, uncle, first cousin, corresponding in-law, or "step" relation). In addition, students may not fulfill internships for organizations owned or managed by any immediate family members. Additionally, students may not intern as a self-on-site supervisor or intern for another student. They should be given quality experiences involving increasing responsibilities and learning opportunities to develop their skills as independent thinkers and to actively prepare for post-graduate opportunities.

International Internships

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The same principles expressed above regarding domestic internships also apply to international internships. In addition, the department or school that sponsors the international internship programs should discuss the international internship location and experience providers with International Study Programs (ISP) Office of the Kennedy Center for International Studies. The ISP Office will advise the academic units on the safety of the proposed internship location, on the professional quality of the internship provider, and on the legal documentation and requirements for doing internships in that location. ISP will also work with the sponsoring department or school to manage student payments and the program application process. The sponsoring department or school is responsible to ensure that the internship provider will give an experience that meets the department's internship learning outcomes.

The sponsoring department or school is also responsible for selection of students for international internships, preparation within their discipline, and making arrangements with ISP Office personnel in the Kennedy Center who will prepare students to cope with cultural, health, security, political, and social issues within the geographical area of their internships.

Department/School Commitment

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A department or school must establish an internship oversight committee, which shall be responsible for departmental policy and practice. The oversight committee will establish appropriate prerequisites and ensure proper student preparation. The department or school must also assign adequate supervision for the internship, including a faculty advisor or department administrator to help the student set learning objectives for the experience and to mentor, monitor student progress, resolve concerns, and provide feedback to the student on a regular basis. The department is also required to obtain an Internship Master Agreement or IMOU with each internship provider. Internship Master Agreements must be signed and filed with the Internship Office prior to the start of a student's internship unless granted prior approval for an exception by the Internship Office in consultation with the Office of the General Counsel and Risk Management.

Internship Provider Commitment

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The internship provider must agree to the learning objectives and to monitor student progress, making regular reports to the faculty advisor or department administrator. Progress reports should include attendance as well as qualitative assessments of student learning. The internship provider must agree to the Internship Master Agreement or IMOU.

Academic Standards

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Each course designating internship enrollment (0.5-12 credits) should provide a syllabus with the following instructions:

- Purpose or learning outcomes of the course
- Course outline
- Assignments and expectations
- Test, evaluation, and grading instructions

The assignments must include combinations or elements of the following:

- Text(s)
- Papers
- Projects or research
- Demonstrations or presentations

Administrative Standards

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During a pre-internship orientation, each student is to receive instructions regarding:

- Internship Registration & Management System (IRAMS) procedures
- Assignments and expectations
- Grading procedures
- Standards of personal conduct, including professional behavior in the workplace
- The nature and amount of supervisory contact between the faculty advisor or department administrator and the student
- Internship Master Agreement or IMOU that outlines the obligations of the student, the university, and the internship provider
- Procedures for unanticipated termination

Documentation

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The department or school must make available to the student and the internship provider copies of program documents and contracts describing the purpose and principles of the internship, including the activities and work involved.

Assessment and Feedback

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The department or school must provide scheduled contact with the internship provider for feedback and assessment of the student's performance. The department or school must also provide routine assessment of internship providers to ensure quality learning experiences. If the internship provider does not continue to meet the requirements of the department or school's written guidelines, then the department or school will make immediate efforts to correct the

department or school's written guidelines, then the department or school will make immediate efforts to correct the deficiencies or terminate the internship and the Internship Master Agreement or IMOU with the provider.

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University Curriculum Council

The University Curriculum Council advises the Academic Vice President in matters related to curriculum, learning, and teaching at Brigham Young University. This includes but is not limited to approval and oversight of undergraduate programs and courses, graduate courses, grade rules, examination policy, catalog content, limited enrollment programs, and the improvement of teaching and learning through appropriate and effective program and course objectives, outcomes, strategies, and assessments.

Responsible Officer:

John Rosenberg, Associate Academic Vice President–Undergraduate Studies

Chair:

John Rosenberg, Associate Academic Vice President–Undergraduate Studies

Co-Chair:

Janet Losser, Director, Center for Teaching and Learning

Executive Council Members:

- Taylor Adams, Manager, Registrar's Office
- Susan Rugh, Dean, Undergraduate Education

Members:

- Barry Allred, Registrar, Student Academic and Advisement Services
- Stan Benfell, Associate Director, Academic Programs and Research
- John Bingham, Associate Dean, Marriott School of Management
- Brent Chowen, Director, Educator Preparation Program
- Kjerste Christensen, Interim Associate University Librarian, Harold B. Lee Library
- James Crane, Associate Dean, Graduate Studies
- Lynnette Erickson, Associate Dean, McKay School of Education
- Susan Fullmer, Associate Dean, Life Sciences
- Jeremy Grimshaw, Associate Dean, Fine Arts and Communications
- Andrew Hedges, Associate Dean, Religious Education

- Jennifer Nielson, Associate Dean, Physical and Mathematical Sciences
- Carolina Núñez, Associate Dean, Law School
- Christopher (Chip) Oscarson, Associate Dean, Undergraduate Education
- Sam Otterstrom, Associate Dean, Family, Home and Social Sciences
- Tyler Pederson, Associate Director, Counseling and Career Center
- John Taylor, Associate Dean, Continuing Education
- Leslee Thorne-Murphy, Associate Dean, Humanities
- Julie Valentine, Associate Dean, Nursing
- Vincent Wilding, Associate Dean, Engineering and Technology

BRIGHAM YOUNG UNIVERSITY

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[Privacy Notice](#)



Information and Records Retention Policy



Records refer to information in any format, whether paper or electronic, that is created or received by university personnel or third-parties and is necessary to conduct university business, whether related to operations, research, legal, regulatory, or other similar purposes.

Retention of university records is coordinated by University Records and Information Management, which is the campus department that prepares the university's General Retention Schedule (GRS) and maintains university records submitted in paper or electronically by campus departments. University Archives is the separate campus department responsible for maintaining, for research purposes, those university records that have historical and continuing value and that are not highly confidential. (See [University Archives Policy](#).)

Information and Records Retention, Archival, and Disposal

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The GRS is a comprehensive list of multiple records categories that identifies university record types and the time period those records must be retained to comply with legal or regulatory requirements, or for business or historic needs.

Retention—Each university employee is responsible to retain records according to the GRS as it relates to his or her area of control. Records may be retained by the department in which the record originated or by University Records and Information Management. Each university employee should notify University Records and Information Management if a category of university records is missing from or not appropriately listed in the GRS.

Access—All records containing privileged, confidential, legally protected, or proprietary information must be securely maintained to prevent unauthorized access (e.g., employment records, health records, student records, financial records, counseling records, legal records).

Disposal—Records of the university should be disposed of in an appropriate manner according to the GRS, either by the department or by University Records and Information Management.

Archival—Department records may be sent to University Records and Information Management where they are managed for the duration of their respective retention periods. Records of historical and continuing value that are not classified as highly confidential are then transferred to University Archives to be available for research according to the University Archives Policy and related procedures.

Confidentiality

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All university records are classified as confidential unless otherwise designated by the department in which the record originated. Departments may designate records as highly confidential. If designated as highly confidential, a record may not be transferred to University Archives and may not be disclosed—except to the responsible vice president, the Office of the President, and the Office of the General Counsel—unless disclosure is required by law.

Litigation Holds

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A litigation hold is a written directive from the Office of the General Counsel to suspend the application of this policy for the destruction or alteration of information that is considered relevant to pending, threatened, or imminent litigation or government investigation. All personnel should comply with litigation holds received from the Office of the General Counsel.

Exclusions

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Unless subject to a litigation hold, the following information is specifically excluded from this policy:

- Books, periodicals, catalogs, and other publications or library materials acquired solely for reference purposes,

including memorabilia acquired for exhibition

- Unused copies of form letters
- Unsolicited brochures, flyers, advertisements, or mass mailings or e-mail messages
- Information unrelated to university business
- Personal information of university employees

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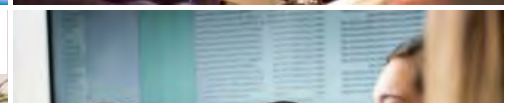
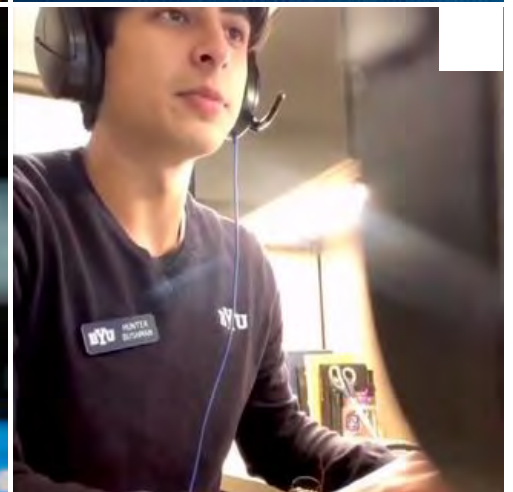
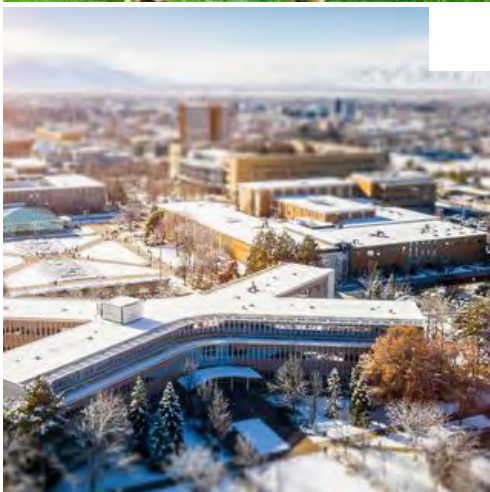
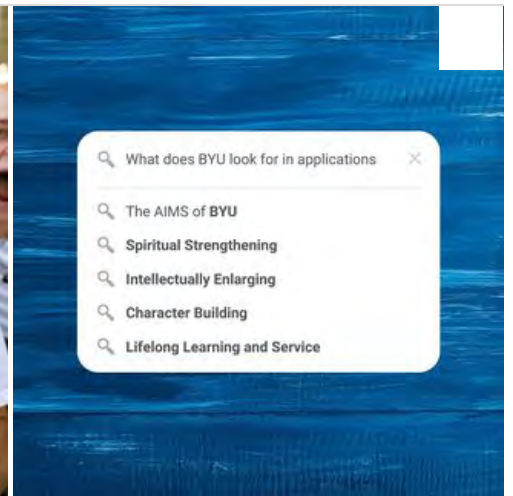
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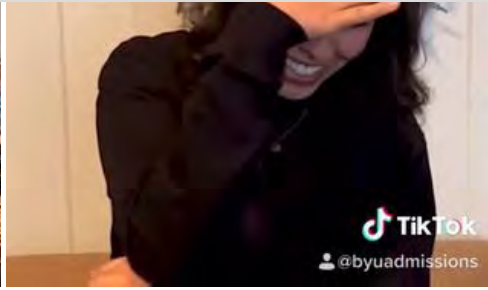
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BYU Admissions





Admission decisions are out NOW! Check your email for your letter. Good luck, congratulations, & go Cougs! 🐾💙

(Remember to DM us a video of your reaction to opening your acceptance letter! We are so proud of what you've accomplished and



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Nola Johnson Cockerham

With the huge number of applicants, there just isn't room for each of them anymore. Our son was accepted at BYU but chose Utah State because the scholarship \$\$\$\$ was so much better there. His sisters chose to go there, too. They each loved it!! The... [See More](#)



BYU Admissions

February 12 at 10:16 AM ·

We're tying up the final loose ends before welcoming our next class of Cougars!

Film yourself opening your acceptance letter and share it with us via direct message on social media, or use the hashtag [#BYUbound](#), for the chance to be featured on @BYUadmissions and @BrighamYoungUniversity. 🎉🐾

Admission notifications will be delivered via email by Monday, February 15th.



37

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Kylie Tucker

Do admissions usually come out in the morning or evening? So excited!



University Policies



Contents, Related Policies, Applicability ▾

Personnel Conduct Policy



Brigham Young University exists to “assist individuals in their quest for perfection and eternal life” by providing education in an atmosphere consistent with the ideals and principles of The Church of Jesus Christ of Latter-day Saints. (BYU [Mission Statement](#)). That atmosphere is created and preserved through commitment to conduct that reflects those ideals and principles. Members of the faculty, administration, staff, and student body are selected and retained from among individuals who voluntarily live the principles of the gospel of Jesus Christ. (See [Church Educational System Honor Code](#)).

It is a condition of employment that all personnel (including student employees) act in accordance with university policies, the [Church Educational System Honor Code](#), and the [Dress and Grooming Standards](#), and refrain from behavior or expression that seriously and adversely affects the university mission or The Church of Jesus Christ of Latter-day Saints. Examples include behavior or expression that

- contradicts or opposes, rather than analyzes or discusses, fundamental Church doctrine or policy;
- deliberately attacks or derides the Church or its general leaders; or
- violates the Church Educational System Honor Code.

All personnel are expected to be role models of a life that combines the quest for intellectual rigor with spiritual values and personal integrity, and to conduct their work in a professional manner consistent with the values espoused by the university and the Church. Members of the Church in nonstudent positions also accept as a condition of employment the standards of conduct consistent with qualifying for temple privileges. The university regularly contacts ecclesiastical leaders concerning the temple eligibility of all nonstudent personnel who are members of the Church.

“We Believe . . .”

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The cornerstone of the university’s personnel conduct standards is the [Church Educational System Honor Code](#), which states in part

By accepting appointment, continuing in employment, being admitted, or continuing class enrollment, each member of the BYU community personally commits to observe these Honor Code standards approved by the Board of Trustees “at all times and in all things, and in all places” (Mosiah 18:9):

- Be honest.
- Live a chaste and virtuous life, including abstaining from any sexual relations outside a marriage between a man and a woman.
- Respect others, including the avoidance of profane and vulgar language.
- Obey the law and follow campus policies.
- Abstain from alcoholic beverages, tobacco, tea, coffee, vaping, and substance abuse.
- Participate regularly in Church services (required only of Church members).
- Observe Brigham Young University’s [Dress and Grooming Standards](#).

The following paragraphs highlight some critical expectations of all BYU employees and are intended to provide a framework through which employees can more fully understand their responsibilities and commitment to the university.

Compliance with Laws and Policies

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BYU endeavors to provide personnel and students with educational, spiritual, and personal development opportunities in a safe and principled environment that is conducive to achieving the university’s mission. BYU, as a higher education institution, is a complex environment subject to many laws and regulations. BYU is committed to compliance with all regulatory requirements applicable to campus operations. BYU expects all personnel to be familiar with and comply with university policy and with relevant federal and state laws and regulations. Specific expectations and

policies can be found at policy.byu.edu and on the university's compliance website, compliance.byu.edu. Questions about the application of policies can be directed to the policy owner listed in the policy, to the university's Integrity and Compliance Office, or to the Office of the General Counsel.

Stewardship

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The resources used at BYU come from the tithing funds of the Church, student tuition, contributions from donors, purchases by customers, and funded research. Regardless of source, all resources given to BYU are considered sacred. This principle means that university personnel must be careful with the resources entrusted to their care. Funds allocated for one purpose are not to be diverted to another purpose without proper authorization. BYU strives to find the most effective way to accomplish a task. The university will evaluate university activities on a regular basis and fund only those activities that contribute to the mission of the university.

Related Policies: [Budget Policy](#), [Financial Accounting Policy](#), [Fraud Policy](#), [Legal Documents Policy](#)

In addition to its physical resources, BYU personnel are entrusted with intellectual property and with personal, confidential, privileged, and proprietary information. All personnel are responsible to protect the privacy of those who entrust this information to us and to use this information only for the purposes for which access is provided.

Related Policies: [Access to Student Records Policy](#), [Copyright Policy](#), [Information and Records Retention Policy](#), [Information Security and Appropriate Use Policy](#), [Intellectual Property Policy](#)

Respect for Others

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Workplace relationships at BYU must be characterized by absolute integrity. Each employee is expected to do his or her part to promote a respectful workplace environment “sustained by those moral virtues which characterize the life and teachings of the Son of God” that is free from harassment, threats, intimidation, verbal or physical abuse, abuse of power, or other unprofessional behavior, even if the behavior does not rise to the level of unlawful conduct. Respect for others means that university personnel must act with civility and refrain from intentional behavior that causes physical or emotional harm. Respect should guide all communications, whether written, verbal, or nonverbal. In order to meet the Aims of a BYU Education, all personnel, including student employees, must be treated with respect. ([Aims of a BYU Education](#)).

Unlawful Discrimination and Harassment

BYU prohibits all forms of unlawful discrimination, including unlawful harassment, in employment, education, and all programs and activities sponsored by the university. This prohibition applies to acts of unlawful discrimination by or against university employees, students, and campus visitors—including applicants for employment or admission—and it includes unlawful discrimination on the basis of race, color, national origin, religion, sex (including pregnancy), age, disability, genetic information, or veteran status. The university will not tolerate unlawful discrimination and will take immediate and appropriate steps to stop unlawful discrimination, prevent its recurrence, and address its effects. See the [Nondiscrimination and Equal Employment Opportunity Policy](#) for more information. Please contact the Equal Opportunity Office with any discrimination-related questions or visit hrs.byu.edu/equal-opportunity.

Sexual Harassment

All forms of sexual harassment, including sexual assault, dating violence, domestic violence, and stalking on the basis of sex, are contrary to the teachings of The Church of Jesus Christ of Latter-day Saints and the Church Educational System Honor Code. BYU prohibits sexual harassment by its personnel and students and in all its education programs or activities. See the [Sexual Harassment Policy](#) for more information. Please contact the Title IX Office with any questions related to Sexual Harassment or visit titleix.byu.edu.

Related Policies: [Child Protection Policy](#), [Sex Offender Policy](#)

Safe Work Environment

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BYU seeks to provide a work environment free from occupational injury and illness. The Department of Risk Management and Safety provides many written safety and health programs. BYU employees are expected to be familiar with and follow relevant health and safety policies, procedures, and programs and identify and report unsafe acts or conditions in the workplace to their supervisors. Please contact Risk Management and Safety with any safety-related questions or concerns, or visit risk.byu.edu.

Related Policies: [Drug-Free Workplace Policy](#), [Risk Management and Safety Policy](#)

Conflicts of Interest

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A conflict of interest situation may exist when personnel are in a position to influence the direction or decision of the university or one of its programs, or to inappropriately use university resources in such a way that may lead to the personal financial gain of the individual or of his or her immediate family members or other designee. A potential conflict of time commitment exists when activities external to the university exceed reasonable time limits or when primary professional responsibility is not to the university. All conflicts must be disclosed and must be reduced, eliminated, or appropriately managed.

All university personnel should meet annually with their supervisors to discuss and evaluate the potential of any activity or involvement for creating a conflict of interest. Line managers have the responsibility to understand the complete context of individual work assignments and must have ongoing awareness of all relevant factors that bear on any potential conflict of interest. Personnel are expected to understand the terms of their employment and give a full measure of time, talent, and loyalty to the university. See the [Conflict of Interest and Conflict of Time Commitment Policy](#) for more information.

Nepotism

Colleges and departments may not employ a person in a position within the administrative scope of control of a near relative except when certain conditions have been met. This policy applies to all full-time, part-time, on-call, and temporary personnel, faculty, administrators, and student employees. Exceptions to this policy may occur only with prior approval of the associate academic vice president – faculty relations, the assistant administrative vice president – Human Resource Services. Employees should refer to the [Nepotism Policy](#) for additional information.

Employee-Vendors

Whenever BYU personnel own or have a substantial interest in a commercial or private organization that does or seeks to do business with the university, the individual must first be approved as an employee-vendor through the Supply and Logistics Management, Compensation, and Regulatory Accounting and Reporting departments before being considered as a university vendor. See the [Employee-Vendor Policy](#) for more information.

Related Policies: [Business Gifts and Entertainment Policy](#), [Expectations of a Faculty Appointment Policy](#), [Financial Conflict of Interest in Sponsored Research Policy](#), [Intellectual Property Policy](#)

Reporting Noncompliance

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BYU is committed to providing a safe environment in which employees will, in good faith, report reasonable suspicions of unethical behavior and noncompliance with law or policy in the workplace.

Normal Reporting Lines

Employees are encouraged to attempt to resolve their concerns at the most local level by reporting their concerns to a supervisor or other appropriate contact person within their units. If employees feel uncomfortable addressing their concerns within their units or wish for any other reason to address their concerns elsewhere, they may make their reports directly to the university offices responsible for handling the subject area. The [Compliance Directory](#) provides a list of persons to whom university employees may direct compliance concerns and inquiries. The university is committed to investigating all reports of suspected noncompliance, from whatever source, and will implement corrective or disciplinary action when necessary. University employees are expected to fully cooperate with investigations.

BYU Compliance Hotline

If employees are uncomfortable reporting suspected compliance violations through normal reporting lines or if other internal resolution mechanisms have not resolved a compliance issue, employees can and should report suspected compliance violations by contacting the Integrity and Compliance Office or by using BYU's compliance hotline. Employees may use the hotline to make an anonymous report, and as permitted by applicable law and policy, BYU will strive to protect the reporter's identity and the confidentiality of the information provided. The compliance hotline is not intended for handling employee grievances that do not involve legal or policy violations. Nonetheless, good-faith reports of legal or policy noncompliance will be reviewed and, if appropriate, investigated and resolved. Reports submitted through the hotline are taken seriously and will be given careful attention with the goal of preventing, stopping, and remedying the reported noncompliance. Employees can access the BYU compliance hotline, provided by the third-party EthicsPoint, through an [online portal](#) or by calling 1-888-238-1062. Reports can also be submitted directly to the Integrity and Compliance Office by emailing compliance@byu.edu.

Protection from Retaliation

BYU will keep confidential the identity of the person making a report of noncompliance unless (1) the person consents to disclosure, (2) a governmental authority compels the disclosure (e.g., as per applicable law, lawfully issued subpoenas, warrants, court orders, or other investigatory documents issued by a court of competent jurisdiction), or (3) maintaining such confidentiality would interfere with conducting an investigation of the specific allegations or taking

by maintaining such confidentiality. Reports must be made only to university personnel or agents who have a legitimate need to know in order to perform their university responsibilities. No adverse employment action may be taken in knowing retaliation against any person who makes a good faith report of noncompliance; reports reasonable suspicions of noncompliance in the workplace to a governmental authority; or participates in a judicial, administrative, legislative, or university proceeding related to allegations. Adverse employment action is broadly defined as any employment-related act or decision, including a failure to take appropriate action, by a supervisor or higher level authority which might deter a reasonable employee from making or supporting an allegation of noncompliance in the workplace.

Related Policies: [Administrative and Staff Employee Discipline Procedures](#), [Campus Threat Assessment Committee Policy](#), [Child Protection Policy](#), [Discrimination Complaint Procedures](#), [Disruptive Student Conduct \(Procedures\)](#), [Faculty Discipline and Termination Policy](#), [Faculty Grievance Policy](#), [Fraud Policy](#), [Nondiscrimination and Equal Employment Opportunity Policy](#), [Sexual Harassment Policy](#), [Sexual Harassment Grievance Procedures \(Non-Title IX Sexual Violence\)](#), [Sexual Harassment Grievance Procedures \(Title IX\)](#)

“. . . We Seek After These Things”

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This Personnel Conduct Policy cannot address every situation or ethical dilemma that university personnel may face in the course of their employment at BYU. It is incumbent upon all university personnel to exercise good judgment, in addition to following the provisions of this policy and other policies and procedures. To the extent language in this policy conflicts with language in another university policy that addresses a specific subject matter or area, the language of the subject-specific policy will control over the more general language of this policy. If the appropriate course of action is not clear, employees are expected to seek counsel from the subject matter experts listed in the [Compliance Directory](#) to help clarify issues and guide appropriate behavior.

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University Policies



Contents, Related Policies, Applicability ▾

Conflict of Interest and Conflict of Time Commitment Policy



This policy is influenced by certain assumptions about its scope and purpose. It assumes that University personnel, faculty, administrative, and staff, are men and women of high personal standards. Thus, this policy is not designed to intrude into the personal affairs of personnel; rather, it is intended to promote open disclosure and appropriate management of potential conflicts of interest and conflicts of time commitment.

Purposes of a Conflict of Interest and Conflict of Time Commitment Policy [Top](#)

Conflicts of interest and conflicts of time commitment present an administrative challenge in the decentralized and complex environment of a university. Many of the conflicts encountered arise from natural overlaps between legitimate domains of personal and professional activities, which usually can be reconciled only on a case-by-case basis. Further, conflicts of interest often arise innocently during the normal course of employment rather than by deliberate choice. Therefore, in dealing with conflicts of interest, the underlying philosophy of this policy involves their disclosure and management; however, total elimination of the conflicts may not be possible. Moreover, the traditions and assumptions of professional practices may vary widely among various academic disciplines and other employment fields. This policy recognizes, for example, that faculty personnel will as a general rule enjoy greater flexibility and freedom in the manner in which they carry out their responsibilities than do administrative and staff personnel. With such limitations in mind, the purpose for having a conflict of interest and conflict of time commitment policy is to accomplish the following:

- Establish university employment as the primary work commitment of University personnel;
- Promote the achievement of primary or core activities of University employment;
- Assist personnel to maximize their unique contributions to the University;
- Promote self-disclosure and openness between personnel and line management concerning support and supplemental activities that might give rise to conflicts;
- Enhance professional attitude and increase the efficiency and productivity of personnel; and
- Manage to the extent possible both the fact and the appearance of conflicts among personnel.

It is believed that the accomplishment of these purposes will result primarily from relating economic incentives to actual productivity; from raising awareness of individual responsibility among personnel of their obligation not to become involved in support or supplemental activities which detract from their primary employment commitment to their University employment; and from implementing standardized disclosure and conflict management mechanisms for promoting individual accountability.

Conflict of Interest [Top](#)

A conflict of interest situation may exist when personnel are in a position to influence the direction or decision of the University or one of its programs, or to inappropriately use University resources, in such a way that may lead to the personal financial gain of the individual or of his or her immediate family or other designee.

Application

This policy is applicable to all full-time personnel. However, if special circumstances warrant, line management may need to apply some portion of this policy to part-time personnel on an individual basis.

Line Management Responsibility

Although rigid distinctions cannot be drawn among personnel levels, the more comprehensive a responsibility personnel are assigned in the University's administration structure, the more likely such personnel may encounter potential conflicts of interest. Such conflicts may arise from subjective aspects of administrative decisions, from increased visibility, from increased exposure of expanded decisional impact, and from risk that the acts of such administrators may be deemed official acts of the University. The existing organization provides line management for all personnel, and such line management should include a concern for conflicts of interest at any level of responsibility.

Implementation

Line management shall obtain on an annual basis a Faculty Conflict of Interest and Conflict of Time Commitment Disclosure Statement signed by each full-time faculty member, and an Administrative/Staff Conflict of Interest and Conflict of Time Commitment Disclosure Statement signed by each full-time employee. These documents are designed to reflect the nuances in application of this policy to the varying employment conditions of both faculty and of administrative/staff personnel. The disclosure statement is available in the office of the Associate Academic Vice President-Faculty Development for faculty and in the office of the Assistant Administrative Vice President-Human Resource Services for administrative and staff employees. Line management shall maintain a copy of the current disclosure statement.

The individual and line management should meet annually to discuss and evaluate the potential of any activity or involvement for creating a conflict of interest. This can occur in conjunction with a discussion regarding each individual's assignments, projects, and productivity. (See Joint Planning Process/Annual Performance Plan Policy and Faculty Rank and Status Professorial and Professional Policies.) If no conflict is noted, the disclosure is kept on file by line management. If a potential conflict of interest is identified, the individual and line management should collaborate to develop a written plan describing the manner in which the potential conflict will be reduced, eliminated or appropriately managed. The individual and line management must sign the plan, and a copy of the plan must be sent to the applicable dean or director and to the Associate Academic Vice President-Faculty Development or the Assistant Administrative Vice President-Human Resource Services, as the case may be, for approval. If any deficiencies in the plan are noted, line management may be directed to negotiate a revised plan with the individual.

If the individual and line management are unable to agree on a plan to resolve or manage a potential conflict of interest, the matter will be referred to the next level of line management for resolution. Deans and directors should confer with the Associate Academic Vice President-Faculty Development or the Assistant Administrative Vice President-Human Resource Services whenever the scope or sensitivity of particular activities or interests so dictate. No plan may be implemented without the approval of the Associate Academic Vice President – Faculty Development or the Assistant Administrative Vice President – Human Resource Services. An individual dissatisfied with the ultimate plan adopted may grieve the decision according to the applicable University grievance procedures. An individual who fails to disclose potential conflicts of interest or who fails to observe the adopted plan may be disciplined as would be the case for any other employment misconduct.

This policy should be administered at the lowest possible level and in the context of the overall employment relationship of the individual under the direction of his or her immediate line management.

Conflicts of interest represent one area in the total sphere of the individual's working relationship with the University. Line management should assume the affirmative responsibility of understanding the complete context of the individual's work assignment as well as a thorough ongoing awareness of all relevant factors that bear on any potential conflict of interest. As line management and the individual engage in the continuous process of sharing information, the employment responsibility with the University will be defined or redefined as required by the circumstances. The general questions of the propriety and judgment in the selection of outside activities and interests are the questions raised by most conflicts of interest. Line management should help answer those questions.

Within the framework of the employment responsibility, the following general guidelines are given:

- Primary responsibility for compliance with the objectives of the policy rests with the individual, who should take the initiative in disclosing all potentially conflicting activities and interests to line management.
- Line management should confer with applicable deans and directors on a regular basis and as dictated by the implications of personnel activities and interests.
- When other University personnel become aware of apparent conflicts of interest involving those who do not report directly to them, the matter should be communicated to the individual's immediate line management, rather than to others. This will assist in resolving questions at the lowest possible level and with due regard for the uniqueness of each college or administrative area.

- It is of critical importance that this entire process be conducted with a view toward helping, rather than merely policing, to support the individual in building a professional career in ways consistent with employment expectations.

General Conflict of Interest Standards

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The basic philosophy of this policy is that full disclosure is the most productive means of dealing with potential conflicts of interest. With respect to faculty, this policy is designed to complement and be in harmony with the "Expectations of a Faculty Appointment" document. The principles outlined in this section are intended to provide flexibility. They are intended to suggest situations in which there are likely to be conflicts of interest, in the absence of special circumstances. If such circumstances exist, line management has the authority to approve a management plan following the conflicts management plan process described in the policy.

Personal Monetary Benefit. Whenever an individual's University position or activities give an opportunity for significant personal or family monetary benefit beyond the compensation paid by the University, the circumstances of such potential benefit must be disclosed to the appropriate line management and an appropriate plan adopted. (See [Employee-Vendor Policy](#).)

Nominal Use of University Property. Nominal personal use of University property is generally not considered inappropriate. "Nominal" refers both to amount of use and to the nature of the equipment or facilities used. The use is to be on BYU's premises and of non-expendable items only. However, because of the expense involved, any personal use of a University vehicle or other major capital equipment is not considered nominal. No further definition of the term is supplied because it is believed that line management should be consulted in cases in which there may be doubt about the nature and extent of proposed use. When proposed personal use might reasonably be considered more than nominal, permission should be obtained from line management. It is not intended to encourage personal use of University property, but rather to bring what use is made into the open.

Extensive Substantial Use. Compensation to the University is appropriate when personal use is extensive substantial or when expendable supplies (including use of copy machines and postage) are consumed. Where extensive substantial use of University equipment is involved, arrangements should be made with line management for proper supervision of the use of the equipment. Such use of equipment and facilities should be covered by a reimbursement arrangement approved by the line management responsible for the equipment and by the dean or director of the individual's college or department. This arrangement should be in writing for the protection of all involved parties.

Use for Benefit of Private Organizations. Use for the benefit of a commercial or other private organization is inappropriate without approval from and compensation arrangements made with line management and the applicable dean or director.

Inappropriate Uses. Some proposed personal uses may be so extensive substantial that neither permission nor compensation can make such use appropriate.

Other circumstances, which often give rise to conflicts of interest that should be the subject of disclosure to line management include, but are not limited to, the following:

- **Influencing University Negotiations.** Except with express authorization to do so, negotiating, influencing or attempting to influence the negotiations of contracts or agreements between the University and a private or governmental organization. (See [Employee-Vendor Policy](#).)
- **Inside Information.** Use for personal gain or other unauthorized purpose of privileged information acquired in connection with University business, i.e., confidential personal records, knowledge of forthcoming programs, site selections, or the selection of contractors, etc., before public announcements.
- **Commercial Use of "Know-How."** Making beneficial commercial use of unpatentable or non-copyrightable information or other know-how or trade secrets developed on University time. (See Consulting or Moonlighting section of this policy.)
- **Personal Privileges.** Using a University position to obtain personal privileges or gain (except privileges available to all personnel) from persons or firms outside the University, or, without authorization, from the University itself. (See Gifts From Vendors or Other Outside Sources Policy.)

- **University Affiliation and Private Projects.** Permitting the inappropriate use of an individual's affiliation with the University to give credibility or other material support to a private undertaking. (See [Advertising, Selling, Soliciting Policy](#)--Use of University Name section)
- **Disclosure of Opportunities.** For the purpose of personal gain, failing to disclose to the University information acquired in connection with employment by the University regarding financial, scientific, research, or other opportunities in which the University might reasonably be expected to have an interest.
- **Sponsored Research.** Individuals involved with externally sponsored research must avoid or disclose any possible conflicts between interests of the sponsor and the university. In particular, any personal income outside the authorized salary payments must be disclosed and meet federal guidelines. (See Research Institutes with University Personnel Policy, Sponsored Research Activity Conflict of Interest Policy, and Research Projects for Church-Related Agencies/Services to Church Departments/Agencies Policy.)

Conflict of Time Commitment

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A potential conflict of time commitment exists when activities external to the University exceed reasonable time limits or when primary professional responsibility is not to the University.

Primary Employment Commitment

Personnel are expected to understand the terms of their employment and give full measure of time, talent, and loyalty to the University. Any activity or work pattern that lowers productivity is in conflict with basic obligations; thus, any significant reduction in productivity attributable to other activities may itself suggest a conflict of time commitment. Except with written permission from line management, no individual should engage in the following activities:

- Serve as a line officer (in title or in fact) in a private business;
- Maintain a business or professional telephone listing;
- Maintain an off-campus office (other than in an individual's home);
- Be employed to teach or provide instructional or administrative services for other academic or non-academic institutions. For acceptable non-employment consulting arrangements, see the "Expectations of a Faculty Appointment" Policy Statement;
- Be involved in significant government service other than jury duty, state legislature, or weekend national guard or reserve; or
- Be employed in selling products or services not produced by the University.

Time Commitment

Time is only one factor to be considered in evaluating productivity. However, a minimum time commitment is a basic element in any individual's obligation to the University. In most cases, that minimum will be approximately 40 hours per week.

Productivity Factors

Factors to be considered in evaluating productivity should include, in addition to time, the quality of work and the extent to which the terms of the employment agreement have been fulfilled. For faculty, the annual stewardship interview with the department chair should include a discussion and understanding of the assignments for teaching, counseling of students, administrative duties, creative activity, permissible outside activity, and such other projects or activities as may be agreed upon. The annual performance review of administrative/staff employees should include a similar discussion of primary responsibilities, professional development activities, committee involvement, etc.

Disclosure of Potential Conflicts of Time Commitment

All full-time personnel are responsible to inform line management of any outside professional or other activities that may constitute a conflict of time commitment on the Faculty Conflict of Interest and Conflict of Time Commitment Disclosure Statement for faculty and the Administrative/Staff Conflict of Interest and Conflict of Time Commitment Disclosure Statement for employees. When conflicts occur, the individual and line management will develop a plan to reduce, eliminate, or manage such conflicts (see Implementation Section of this policy. Also see [Faculty Professional Activities in Addition to Regular Assignment Policy](#).)

Evaluation of Outside Activity

Factors to be considered by the individual and line management together in evaluating the desirability and managing the risks of involvement in outside interests include the following:

- The degree to which an outside interest (including professional, business, church, and community service) materially and adversely affects an individual's performance at the University. Such adverse effects could include reduced productivity, divided loyalties, distraction of interest, or inappropriate appearances.
- Whether the activity is consistent with the goals of the University.
- Whether the nature of the activity is in competition with the activities of the University.
- Whether the activity enhances the individual's professional competence in a way that benefits the University.

Accommodation for Activities or Interests

When line management concludes that a certain activity is inappropriate because it reduces an individual's productivity below the level of expected job performance, but the individual nevertheless wishes to continue the activity, salary reduction and/or conversion from full-time to part-time status (if approved by the Associate Academic Vice President-Faculty Development or Assistant Administrative Vice President-Human Resource Services) may represent an appropriate temporary solution.

Other University Employment

No individual should be paid twice for performing the same service. Therefore, additional employment by an organizational unit of the University or the Church, other than the unit in which a person is regularly employed, should take place only with the consent of line management of the unit in which he or she is regularly employed. It also requires the approval of the Associate Academic Vice President-Faculty Development or the Assistant Administrative Vice President-Human Resource Services if the result would be more than full-time employment. The Fair Labor Standards Act and the restriction to 40 hours per week should be reviewed for non-exempt employees. Participation in BYU or Church Educational System Continuing Education programs will not be regarded as a conflict of time commitment, assuming compliance with existing policies governing participation by University personnel in such programs. (See [Supplemental Research Compensation for Externally Sponsored Work Policy](#), [Supplemental Compensation for Administrative Employees Policy](#), and [Supplemental Compensation for Faculty Policy](#).)

Consulting Restrictions

Consulting should be distinguished both from moonlighting and from acting as a principal. Consulting is defined to include only that outside activity that brings professional enrichment and benefit (financial or otherwise) both to the consultant and to the University, whereas moonlighting ordinarily benefits only the individual (See [Independent Contractors Policy](#)). Thus, while moonlighting is not prohibited, it is not encouraged, particularly in the case of faculty members. Examples of moonlighting include after-hours employment by other firms, farming, the operation of a part-time business, etc., under circumstances in which such additional income-producing activities are unrelated to or interfere with the University assignment.

A consultant often advises other professionals who may be trained in the same field as the consultant. The other professionals are usually principals who are responsible to third parties for the performance of a complete project. Frequently, a principal's commitment is so open-ended and so large that the principal cannot control the exact nature or extent of involvement in completing the project. Retention of control over one's involvement is not only possible but essential for a consultant whose principal open-ended professional commitment is to the University. An individual should avoid becoming more a principal than a consultant. Even then, consulting must not materially and adversely affect the consultant's primary or core obligations to the University.

No personnel may voluntarily testify as an expert witness adverse to the University, its affiliated sponsor, The Church of Jesus Christ of Latter-day Saints, or other institutions within the Church Education System or entities which are affiliated with, owned or controlled by the Church. University personnel are not precluded in any way from testifying as lay witnesses. For purposes of this policy, an expert witness is a witness testifying in an adversarial or administrative

proceeding, whether retained for compensation or acting as a volunteer, and qualified by knowledge, skill, experience, training, or education to provide a scientific, technical, or other specialized opinion that will assist the finder of fact. A lay witness is a witness testifying in an adversarial or administrative proceeding who is not retained for compensation

by a party, who is not testifying as an expert witness and who therefore only provides testimony concerning the facts of the case based upon firsthand knowledge.

Faculty members should carefully review the Expectations of a Faculty Appointment Policy Statement which outlines the primary/core activities of faculty employment, i.e., teaching, publishing, maintaining a presence on campus, accessibility to students and continual improvement and discussions of the manner in which consulting, as well as participation in other support and supplemental activities, may give rise to an impermissible conflict.

Extent of Permissible Activity

Whenever a faculty member spends more than the four days per month in outside activities from which personal compensation is received, a presumption arises that further outside activity would be excessive. The four days per month limitation on such outside activity is the provision made in Expectations of a Faculty Appointment Policy Statement.

Church Service Conflicts

In general, the Church sponsorship of the University does not justify any different attitudes about the use of University time or University property for Church service. At the same time, the University is sympathetic to the need for flexibility on this subject. The kinds of activities that would not ordinarily raise conflicts of interest or conflict of time commitment questions include use of an office during off-duty hours, working on Church assignments on a rare "emergency" basis during regular hours, or the compensated use of University property such as copying machines. Special circumstances should be discussed with line management when particular needs arise (See [Church Duties and University Obligations Policy](#)).

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Financial Conflict of Interest in Sponsored Research Policy ↓

I. Summary

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Brigham Young University (BYU) is committed to preserving public trust in the objectivity of research. In accordance with the [Church Educational System Honor Code](#), all research must be conducted with the highest ethical standards. Research programs should never be influenced by the existence of related opportunities for financial gain by principal investigators. The results of the funded research should never be biased by financial or other considerations available to the principal investigators.

Legal requirements arising from university research sponsored by the United States Public Health Service (PHS) and the National Science Foundation (NSF) provide that institutions must have in place a research-specific policy to eliminate, reduce, or manage conflicts of interest. While these legal requirements refer specifically to receipt of federal funding in the establishment of a policy governing financial or other conflicts of interest, compliance with the policy is expected of all university personnel involved in sponsored research activities, regardless of funding source.

This policy document constitutes a general policy by specifically addressing the PHS regulations entitled “Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service Funding is Sought” and “Responsible Prospective Contractors.” These rules are also known as the financial conflict of interest (FCOI) regulations. See 42 C.F.R. Part 50 and 45 C.F.R. Part 94.

The purpose of this policy is to provide guidance to university personnel regarding the disclosure, management, reduction, or elimination of FCOIs. Investigators are responsible for complying with the institution’s written FCOI policy and for disclosing any significant financial interest (SFI) as defined in the procedures.

II. Managing Conflict of Interest in Sponsored Research

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The effects of conflict of interest can be eliminated or substantially reduced by early and full disclosure of relevant or substantial personal financial interest in the potential outcomes of sponsored research. A consistently applied process allows for development of an effective management plan and administrative review. This policy is designed to safeguard individual and institutional reputations by defining and delineating the range of opportunities appropriate for university personnel under specified circumstances. The underlying presumption is that university personnel are well acquainted with and committed to the [Church Educational System Honor Code](#) and exhibit these personal standards in the execution of their duties as university employees.

III. Application of this Policy

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This policy is primarily applicable to all full-time faculty at the University engaged in scholarly activities funded in whole or in part either by internal University resources or externally by outside entities. While the policy is most directly relevant to faculty, other University personnel who do not direct, but are involved in research activities may also encounter conflicts of interest. These may include administrative or staff personnel providing some level of research support, research associates, post-doctoral fellows, and part-time personnel such as student assistants. This policy applies to these personnel as well.

As a general rule, the more comprehensive a responsibility to which an individual is assigned in the University's administrative structure, the more likely that individual may encounter situations presenting potential conflicts of interest. Existing organizational channels provide for supervision for all personnel, and the supervision should include a concern for conflict of interest at any level of responsibility.

This policy shall be publicly accessible on the website of the BYU Office of Research & Creative Activities (ORCA) and is in effect as of August 24, 2012.

Standards in this policy are to be administered with discretion and judgment based upon the facts and circumstances of any given case.

IV. Definitions

Awarding Sponsor—Agency, foundation, or institution that funds the research that is subject to this policy.

Conflict of Commitment—A situation in which the interests and efforts of university personnel are directed toward activities outside the university to the extent that an individual's ability to perform university responsibilities or duties is compromised. University personnel are required to devote their time and energy to assigned teaching, research, institutional citizenship, and administrative responsibilities. (See also [Conflict of Interest](#) and [Conflict of Time Commitment Policy](#).)

Disclosure—Formal, written reporting of all involvement or situations which constitute, or might appear to constitute, conflicts of interest relative to the assigned responsibilities of principal investigators. Such reporting must occur prior to the submission of a proposal for externally sponsored research and at any time during the conduct of the sponsored research in which a conflict arises. Federal law requires disclosure of the detailed financial aspects of the conflict if the amount of financial gain to the individual exceeds \$5,000.

Financial Conflict of Interest (FCOI)—An SFI that could directly and significantly affect the design, conduct, or reporting of research.

Institutional Responsibilities—An Investigator's professional responsibilities on behalf of the university, which include research, research consultation, teaching, professional practice, institutional committee memberships, and service on panels.

Investigator—Any person, regardless of title or position, who is responsible for the design, conduct, or reporting of research. This definition may include collaborators and consultants.

Significant Financial Interest (SFI)—Any equity interest in, or payment for services rendered to, a business, non-profit entity, or another institution that exceeds \$5,000 in a 12-month period. This definition includes any salary, consulting fees, honoraria, paid authorships, and any other payment of any kind for services rendered. This definition also includes any stock, stock options, or other ownership interests, and it includes any type of equity interest in non-publicly traded entities. Intellectual property rights and interests, such as patents and copyrights, also constitute SFIs upon receipt of income related to these rights or interests.

Once the dollar threshold is met by an individual for a single SFI, all SFIs must be disclosed.

SFIs excluded from disclosure include the following:

- Income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or research institute that is affiliated with an institution of higher education.
- Income from service on advisory or review panels for a federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or research institute that is affiliated with an institution of higher education.
- Income from investment vehicles, such as mutual funds and retirement accounts, as long as the investigator does not directly control the investment decisions made in these vehicles.

Public Health Service—The Public Health Service Act of 1944 created the PHS as the primary division of the Department of Health, Education and Welfare (HEW), which later became the United States Department of Health and Human Services. The PHS comprises all agency divisions of Health and Human Services and the Commissioned Corps.

Agencies within the PHS include the following:

- Administration for Children and Families (ACF)
- Administration on Aging (AoA)
- Agency for Healthcare Research and Quality (AHRQ)
- Agency for Toxic Substances and Disease Registry (ATSDR)
- Centers for Disease Control and Prevention (CDC) • Centers for Medicare & Medicaid Services (CMS)
- Federal Occupational Health (FOH)
- Food and Drug Administration (FDA)
- Health Resources and Services Administration (HRSA)
- Indian Health Service (IHS)
- National Institutes of Health (NIH)

- Substance Abuse and Mental Health Services Administration (SAMHSA)

V. Potential Financial Conflicts of Interest in Sponsored Research Activities [Top](#)

Financial conflicts of interest in sponsored research activities are most likely to occur when faculty and other personnel have commercial interests with outside entities. Such interests may include, but are not limited to, the following:

Serving Outside Interests—Conducting research when any of the participants in the externally- or university-sponsored activity, or their immediate families, have an equity ownership or a managerial, consulting, or other significant financial interest in the sponsoring outside entity whose product, process, or device is under study.

Accepting Gifts and Gratuities—Accepting gratuities, gifts of more than nominal value, or special favors from outside entities supporting sponsored research.

Consulting—Entering into paid consulting agreements with outside entities whose influence may affect in a material way (such as in direction, focus, timing, or reporting) research at the university sponsored either by the outside entity, or any other sponsor, institutional or external, of related work.

Use of University Employees—Using university employees (e.g., students or secretarial, clerical, or technical staff) to perform services for an outside entity in which the principal investigator, or his or her immediate family, has an equity ownership or a managerial, consulting, or other significant financial interest.

Use of University Resources—Using non-reimbursed or otherwise unauthorized substantial or continuing use or purchase of institutional resources such as equipment, supplies, facilities, or space to support the interests or activities of an outside entity in which a principal investigator, or his or her immediate family, has an equity ownership or a managerial, consulting, or other significant financial interest.

Access to Research Information—Providing privileged access to research information or other intellectual property that was developed with university resources or support from an external source to an outside entity in which the principal investigator, or his or her immediate family, has an equity ownership or a managerial, consulting, or other significant financial interest.

VI. Disclosure [Top](#)

Investigator Disclosures—Disclosure forms are available from ORCA. Investigators must disclose to the director of ORCA any SFI held by the investigator or the investigator's spouse or dependent children. Each investigator must make this disclosure through his or her department chair and dean's office to the director of ORCA by the time a research application is submitted to an external sponsor. Investigators must submit to the director of ORCA an updated disclosure statement at least annually and within thirty days of discovering or acquiring a new SFI.

Each investigator must also disclose the occurrence of any reimbursed travel or sponsored travel related to his or her institutional responsibilities (including purpose of trip, sponsor or organizer, destination, and duration). Individuals are not required to disclose travel that is reimbursed or sponsored by a federal, state, or local government agency; another institution of higher education; an academic teaching hospital; a medical center; or a research institute that is affiliated with an institution of higher education. The director of ORCA will determine if any travel requires further investigation, including determination or disclosure of the monetary value.

Following investigator disclosure of an SFI, the university, through the department chair, associate dean, dean, or director of ORCA, must review each disclosure and determine whether the SFI is related to externally-funded research and whether the SFI constitutes an FCOI. An SFI is related to externally-funded research if the department chair, associate dean, dean, or director of ORCA reasonably determines that the SFI could be affected by the externally-funded research or is in an entity whose financial interest could be affected by the research. An SFI constitutes an FCOI if the department chair, associate dean, dean, or director of ORCA reasonably determines that the SFI could directly and significantly affect the design, conduct, or reporting of the externally-funded research.

Investigator disclosures should include the following information:

- Grant/contract number
- Name of project director or principal investigator (PD/PI), or contact PD/PI if a multiple PD/PI model is used
- Name of investigator with SFI
- Name of the entity with which the investigator has an SFI
- Nature of the SFI (e.g., equity, consulting fees, travel reimbursement, honoraria)
- Approximate dollar value of the SFI or a statement that a value cannot be readily determined. The value may be stated within the following ranges: \$0–\$4,999; \$5,000–\$9,999; \$10,000–\$19,999; \$20,000–\$100,000 by

increments of \$20,000; \$100,000 and above by increments of \$50,000.

The university must maintain all records related to investigator disclosures of SFIs for at least three years from the date that the research is complete or the date that a final expenditures report is submitted to the external sponsor, whichever is later.

Management Plan—The department chair, associate dean, dean, or director of ORCA must review all investigator SFI disclosures and determine whether any SFI constitutes an FCOI. If the SFI is determined to be an FCOI, then, before any funds are spent, the department chair, associate dean, dean, or director of ORCA must review the FCOI with the investigator and develop a formal, written FCOI management plan. Conditions or restrictions that might be imposed to manage an FCOI include, but are not limited to:

- Public disclosure of the FCOI (e.g., when presenting or publishing the research)
- Disclosure of the FCOI directly to participants in research projects involving human subjects
- Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the FCOI
- Modification of the research plan
- Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research
- Reduction or elimination of the FCOI (e.g., sale of an equity interest)
- Severance of relationships that create the FCOI

Whenever, in the course of an ongoing research project, an investigator who is new to participating in the research project discloses an SFI or an existing investigator discloses a new SFI, the department chair will advise the college dean or associate dean and forward the disclosure to the director of ORCA, who shall within sixty days:

- Review the disclosure of the SFI
- Determine whether it is related to the proposed or existing funded research
- Determine whether an FCOI exists, and, if so, implement a management plan that specifies the actions that have been and will be taken to manage the FCOI

Depending on the nature of the SFI, the director of ORCA may determine that interim measures are necessary. These interim measures may limit the investigator's participation in funded research between the date of disclosure and the completion of the university's review of the SFI.

Whenever the university implements a management plan pursuant to this policy, the department chair shall monitor investigator compliance with the management plan on an ongoing basis until the completion of the research project.

Retrospective Review—Whenever an SFI is identified that was not disclosed in a timely fashion by an investigator or, for whatever reason, was not previously reviewed by the director of ORCA during an ongoing research project (e.g., an untimely report by a subrecipient), the director of ORCA shall within sixty days review the SFI with the investigator, chair, and associate dean or dean; determine whether it is related to the funded research; and determine whether an FCOI exists. If an FCOI exists, the director of ORCA shall implement, on at least an interim basis, a management plan that specifies the actions that have been and will be taken to manage the FCOI going forward.

Whenever an FCOI is not identified or managed in a timely manner—including failure by the investigator to disclose an SFI that is determined by the director of ORCA to constitute an FCOI, failure by the department chair to review or manage such FCOI, or failure by the investigator to comply with an FCOI management plan—the director of ORCA, the department chair, and the associate dean or dean shall within 120 days of the institution's determination of noncompliance complete a retrospective review of the investigator's activities and the research project. The purpose of the retrospective review is to determine whether any research, or portion thereof, conducted during the time period of the noncompliance was biased in the design, conduct, or reporting of such research.

ORCA will document the retrospective review. The documentation shall include, but not necessarily be limited to, all of the following key elements:

- Project number
- Project title
- Name of PD/PI, or contact PD/PI if a multiple PD/PI model is used
- Name of the investigator with the FCOI
- Name of the entity with which the investigator has the FCOI

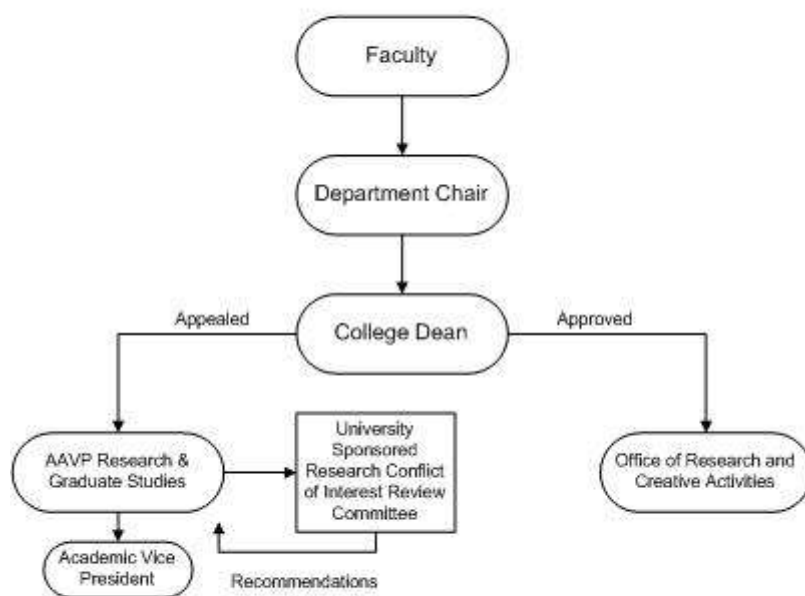
- Reason(s) for the retrospective review
- Detailed methodology used for the retrospective review (e.g., methodology of the review process, composition of the review panel, documents reviewed)
- Findings of the review
- Conclusions of the review

Based on the results of the retrospective review, if appropriate, the director of ORCA shall update the previously submitted FCOI report, specifying the actions that will be taken to manage the FCOI going forward. If bias is found in a PHS-funded project, the university, through the director of ORCA, will promptly notify and submit a mitigation report to the PHS awarding sponsor. The mitigation report must include, at a minimum, the key elements documented in the retrospective review above and a description of the impact of the bias on the research project. It must also include the institution's plan of action or actions taken to eliminate or mitigate the effect of the bias (e.g., impact on the research project; extent of harm done, including any qualitative and quantitative data to support any actual or future harm; analysis of whether the research project is salvageable). Thereafter, the director of ORCA will submit FCOI reports annually, as specified elsewhere in this policy. (See Part VIII below.) Depending on the nature of the FCOI, the university may determine that additional interim measures are necessary to limit the investigator's participation in the externally funded research project between the date that the FCOI or the investigator's noncompliance is identified and the completion of the institution's retrospective review.

Disagreement on Resolution of FCOI—In the event that the principal investigator, or other personnel involved, and direct line officers are unable to agree on resolution of an FCOI either prior to proposal submission during the approval request stage or during the execution of a research contract, the dean shall render a decision regarding strategy for managing the FCOI. The dean will notify the Associate Academic Vice President (AAVP) for Research and Graduate Studies of the FCOI and his or her decision regarding its management. The university will take steps necessary to safeguard the affected research and to protect the university and its personnel. In the event that the university finds university personnel to be out of compliance with this policy, the dean may also recommend appropriate sanctions to the AAVP for Research and Graduate Studies.

Appeal Process—Personnel may appeal the dean's decision or recommended sanctions in writing to the AAVP for Research and Graduate Studies. As shown in the following diagram, the AAVP will then empanel an ad hoc University Sponsored Research Conflict of Interest Review Committee. The committee will be chaired by the director of ORCA and will generally be composed of senior faculty. If the FCOI involves administrative or staff personnel engaged in the research activity, a representative of the administrative reporting line will also be appointed to the committee. Other university personnel with specific and relevant expertise or experience may also be invited to serve on the committee as the case warrants.

The committee will review the SFI disclosure and FCOI management plan and any recommendations of the academic supervisors to resolve the problem. The committee shall have authority to further investigate the applicable facts and circumstances as it deems advisable and will generally evaluate the matter in relation to the standards previously outlined for evaluation of conflicting activities. The committee's summary of findings and specific recommendations as to modifications of the management plan to eliminate, reduce, or more effectively manage conflicts of interest will be submitted to the AAVP for Research and Graduate Studies. If the aggrieved faculty member or non-faculty employee is appealing sanctions recommended as a result of noncompliance, the committee shall also comment on their appropriateness, given the nature and extent of the FCOI.



Final Determination—The AAVP for Research and Graduate Studies will review the decision of the dean and the findings and recommendations of the University Sponsored Research Conflict of Interest Review Committee and will then advise the Academic Vice President (AVP) as to an appropriate disposition of the matter, including possible sanctions. Recommended sanctions for failure to comply with this policy may include, but are not limited to, rescinding contracts involving the funds, freezing funds or accounts, prohibiting participation in future sponsored activities, written warning, formal reprimand, probation, suspension, salary reduction, and other corrective actions as deemed appropriate. The decision of the AVP regarding the resolution of the FCOI and sanctions shall be final. In the case of non-faculty personnel, the AAVP for Research and Graduate Studies will recommend the imposition of sanctions, as permitted, to be implemented in accordance with the applicable administrative and staff personnel policies and procedures of the university.

The AAVP for Research and Graduate Studies shall promptly notify any research sponsoring entity, including appropriate federal agencies, of instances of noncompliance and of corrective action taken. He or she will also advise the university's Office of the General Counsel. The AVP may advise the university president.

VII. Subrecipients

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The university must take reasonable steps to ensure that colleagues working for subrecipients comply with applicable federal regulations by requiring those investigators to comply with this policy or by requiring the subrecipient entities to provide assurances to the director of ORCA that will enable the university to comply with the federal rules. The university should incorporate as part of a written agreement with each subrecipient terms that establish whether the FCOI policy of the awardee institution or that of the subrecipient will apply to subrecipient investigators. The written agreement must also include time periods for subrecipients to meet disclosure and FCOI reporting requirements so that the university may report FCOIs on PHS-funded projects to the awarding sponsor before the expenditure of funds and within sixty days of any subsequently identified FCOI.

VIII. Reporting to the PHS

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Before spending any PHS funds, the university must report any FCOI to the agency awarding the PHS funds. ORCA must also submit an annual update report to the awarding sponsor until the FCOI no longer exists. In addition, the university must provide a report within sixty days of learning of any new FCOI on an existing PHS-funded contract or

grant.

Any FCOI report required under this section shall include sufficient information to enable the university and, if federally funded, the PHS awarding sponsor to understand the nature and extent of the FCOI and to assess the appropriateness of the university's management plan. Elements of the FCOI report shall include, but are not necessarily limited to, the following:

- Project number
- Name of PD/PI, or contact PD/PI if a multiple PD/PI model is used
- Name of the investigator with the FCOI
- Name of the entity with which the investigator has the FCOI
- Nature of the FCOI (e.g., equity, consulting fee, travel reimbursement, honorarium)
- Approximate dollar value of the FCOI or a statement that a value cannot be readily determined through reference to public prices or other reasonable measures of fair market value. The value may be stated within the following ranges: \$0–\$4,999; \$5,000–\$9,999; \$10,000–\$19,999; \$20,000–\$100,000 by increments of \$20,000; \$100,000 and above by increments of \$50,000.
- A description of how the FCOI relates to the PHS-funded research and the basis for the institution's determination that the SFI conflicts with such research
- A description of the key elements of the institution's management plan, including:
 - Role and principal duties of the conflicted investigator in the research project
 - Conditions of the management plan
 - How the management plan is designed to safeguard objectivity in the research project
 - Confirmation of the investigator's agreement to the management plan
 - How the management plan will be monitored to ensure investigator compliance
 - Other information as needed

For any FCOI previously reported by the university for an ongoing PHS-funded research project, ORCA shall provide to the PHS awarding sponsor an annual FCOI report that addresses the status of the FCOI and any changes to the management plan. The annual FCOI report shall specify whether the FCOI is still being managed or explain why the FCOI no longer exists. ORCA shall provide annual FCOI reports to the PHS awarding sponsor for the duration of the project period (including extensions with or without funds) in the time and manner specified by the PHS awarding sponsor.

IX. Disclosure to the Public

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Within five business days of a request, the university will provide a written disclosure to any requestor of disclosed SFIs held by senior or key personnel at the time of the request that the university has determined are related to PHS-funded research and are FCOIs. This disclosure will include the following information:

- Investigator's name, title, and role with respect to the research project
- Name of the entity in which the SFI is held
- Nature of the SFI
- Approximate dollar value of the SFI or a statement that a value cannot be readily determined through reference to public prices or other reasonable measures of fair market value. The value may be stated within the following ranges: \$0–\$4,999; \$5,000–\$9,999; \$10,000–\$19,999; \$20,000–\$100,000 by increments of \$20,000; \$100,000 and above by increments of \$50,000.

X. Investigator Training

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Each investigator doing externally sponsored research is required to complete training on this Financial Conflict of Interest in Sponsored Research Policy and the applicable federal regulations before engaging in any sponsored research. ORCA is responsible for providing this training. The training must also be provided to all investigators at least once every four years. Training must be provided immediately for any investigator new to the university, for any investigator found to be out of compliance with this policy or the applicable federal regulations, and for all investigators at any time that the university changes this policy.

CONTACT

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University Policies



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Administrative and Staff Employee Grievance Policy



"At Will" Employment

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In the absence of a written contract of employment signed by the president of the university, all administrative and staff employees are employees "at will" whose university employment may be terminated at any time and for any reason or for no reason, with or without cause, provided the grounds for termination are not illegal or in violation of university policy.

Grievance Policy

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The university provides full-time, "at will" administrative and staff employees an opportunity to meet and discuss with his or her department or division head any complaint involving demotion, pay reduction, reassignment or transfer. Employees who are terminated shall have an opportunity for an administrative review by the Human Resource Committee (the HRC).

Grievance Procedures

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Informal: The university urges each employee with a complaint regarding disciplinary action to discuss the matter first with his or her direct supervisor to attempt to reach an acceptable resolution. The employee may wish to contact Employee Relations for information and assistance at any time.

Formal: An employee with a complaint regarding a demotion, pay reduction, or reassignment or transfer, may file a written grievance no later than fifteen (15) calendar days after the disciplinary action occurs with his or her direct supervisor and the department or division head. If the department or division head is the employee's direct supervisor, the complaint must also be filed with the direct supervisor of the department or division head.

The written grievance must be signed by the employee and contain the following information:

- the employee's name, department or division, and position;
- a detailed outline of the specific circumstances and issues leading to the disciplinary action; and
- the requested resolution of the complaint.

The department or division head will discuss the complaint with the affected employee and will take appropriate action to investigate and resolve the complaint. The department or division head may consult with the employee's direct supervisor, Employee Relations, the Office of the General Counsel, and other appropriate university personnel as needed. The decision of a department or division head is final.

Termination

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Before action is taken to terminate an employee from employment, Employee Relations should be consulted, and the applicable vice president having line authority over the affected employee must approve the action. The decision to terminate employment is final unless the employee timely files an application for an administrative review by the HRC. To invoke an administrative review by the HRC of a termination, the employee must submit a signed, written memorandum to Employee Relations within thirty calendar days of being informed of the termination decision. This memorandum must describe the grievance, the efforts made to resolve the complaint, and the resolution sought by the employee, and must include supporting materials. Employee Relations will review the written memorandum and the supporting materials, conduct any further investigation it deems appropriate under the circumstances, and submit the employee's materials and a report generated by Employee Relations to the HRC. The HRC will review the submitted materials and may resolve the complaint in any way it deems appropriate and at its absolute discretion. The vice president of the area from which the complaint arose may participate in the HRC discussions concerning the review, but may not vote in the final resolution of the review. In making its determination, the HRC may consult with the employee, the employee's line management, Employee Relations, the Office of the General Counsel, and, with the

employee's consent, the employee's ecclesiastical leader. A written response will be provided to the employee within a reasonable period of time. The decision of the HRC is final in all cases.

Exception

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In the event a grievance is filed against the president of the university, or the president would be involved in the grievance process by application of this policy, the matter will be referred directly to the HRC, which will, in consultation with the Board of Trustees, determine the appropriate procedure for handling the matter.

CONTACT

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University Policies



Contents, Related Policies, Applicability ▾

Discrimination Complaint Procedures



These procedures are designed to provide for the prompt and equitable resolution of reports of violations of the [Nondiscrimination and Equal Opportunity Policy](#) and the [Accommodation of Persons with Disabilities at BYU Policy and Procedures](#) ("Discrimination"). Reports of discrimination resulting from unlawful sexual harassment, sexual violence, or gender-based criminal behavior should be resolved pursuant to the incident reporting and complaint resolution procedures set forth in the [Sexual Misconduct Policy](#).

I. REPORTING INCIDENTS

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A. DUTY TO REPORT

University employees, including faculty, staff, and administrative employees, who become aware of or reasonably suspect any incidents of Discrimination must report the information as directed in these procedures. A dean, director, department chair, manager, supervisor, professor, or any other university employee who receives a report of Discrimination must promptly refer the reporting individual to the Equal Opportunity Manager, and then promptly make his or her own report to the Equal Opportunity Manager. University employees with information regarding an incident of Discrimination who fail to report relevant information or to cooperate in an investigation may be subject to disciplinary action.

The only exceptions to this employee reporting obligation are those situations in which the university employee received the information as part of a confidential communication from another person in the context of a professional or otherwise privileged relationship (i.e., the university employee was the reporting person's doctor, therapist, lawyer, ecclesiastical leader, or spouse).

B. WHERE TO REPORT

Any person may submit a report of Discrimination ("Report") to the Equal Opportunity Manager, D-282 ASB, 801-422-5895, eo_manager@byu.edu. The name, office address, and telephone number of the Equal Opportunity Manager are also posted on the university's website. In addition, individuals may submit Reports, including anonymous Reports, through EthicsPoint, the university's 24-hour hotline provider, by telephone at 888-238-1062, or by submitting information online at https://secure.ethicspoint.com/domain/en/default_reporter.asp. A Report of Discrimination can be made verbally or in writing.

C. RETALIATION

Retaliation against an individual who has made a Report or otherwise opposed Discrimination, or who has provided information in connection with a Discrimination investigation or otherwise participated in such an investigation is strictly prohibited. Individuals who participate in a Discrimination investigation should be advised that university policy and federal law prohibit retaliation against them or against individuals closely associated with them and should be assured that the university will take steps to prevent retaliation and will take strong responsive action to any act of retaliation of which it becomes aware. See [Nondiscrimination and Equal Opportunity Policy](#). An individual who feels that he or she has been subjected to retaliation should report the incident to the Equal Opportunity Manager.

II. COMPLAINT RESOLUTION PROCEDURES

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The following procedures are designed to provide for the prompt and equitable resolution of reports of Discrimination perpetrated by or against university employees, students, or campus visitors.

A. INFORMAL RESOLUTION

Whenever it is reasonably possible and safe to do so, an individual who believes he or she has been subjected to Discrimination ("Complainant") may attempt to resolve the issue privately and constructively with the person responsible for the alleged Discrimination ("Respondent"). However, an attempt at informal resolution is not required and is not appropriate, even on a voluntary basis, when the misconduct involves violence or other criminal behavior, or when acts of Discrimination are severe or have become pervasive.

The goal of informal resolution is to conclude the matter to the satisfaction of both parties quickly and confidentially. Either party may enlist the assistance of the Equal Opportunity Manager in this effort. If satisfactory resolution is not reached after such informal efforts, or if the Complainant believes informal resolution is not possible or may be unsafe, he or she may forego the informal resolution process or discontinue it at any time and address the concern using the formal resolution process described below.

B. FORMAL RESOLUTION

The formal resolution process may be initiated by submitting a Report of Discrimination to the Equal Opportunity Manager. Anyone can submit a Report under this policy; however, the submission of such a Report does not prevent the Complainant from subsequently pursuing informal resolution with the Respondent in appropriate circumstances.

1. Selection of the Investigator

Upon receiving a Report, the Employee Relations Office will select a qualified employee to promptly investigate the allegations in the Report ("Investigator"). The Equal Opportunity Manager will, under most circumstances, serve as the Investigator. The Employee Relations Office will consider any conflict of interest, time constraints, or other relevant factors in selecting an Investigator.

2. Confidentiality

Given the sensitive nature of discrimination allegations and the potential for damage to the parties personal reputations, all Reports will be investigated as confidentially as reasonably possible. All participants in the investigation including the Complainant, the Respondent, the Investigator, and individuals interviewed by the Investigator—should keep the allegations and proceedings confidential and should provide information only to those university and governmental employees who are authorized to investigate the Report or who otherwise have a legitimate need to know.

Notwithstanding the foregoing confidentiality provisions, Complainants and any witnesses who participate in a Discrimination investigation should be advised that their confidentiality will be preserved only to the extent it does not interfere with the university's ability to investigate the Report and take corrective action, and that if the investigation results in litigation, the university may be legally required to disclose any information it has received.

If a Complainant requests that his or her identity be kept confidential or asks the university not to pursue an investigation, the Complainant should be notified that (1) the university's ability to investigate and respond to the Report may be limited by such a request, and (2) under some circumstances the university may not be able to honor such a request. The university will take all reasonable steps to investigate and respond to a Report consistent with the Complainant's request for confidentiality. However, without conducting a full investigation or disclosing the full nature of the Report (including its source) to the Respondent, the university may be unable to impose any discipline, and its corrective actions might be limited to informing the Respondent that allegations of discriminatory behavior have been made against him or her, preserving a record of the discrimination allegation in the Respondent's employment or student disciplinary file, and pursuing other steps to limit the effects of the alleged Discrimination and prevent its recurrence, such as training or surveys in the affected area or department. Complainants who require complete confidentiality may be advised that they can address their confidential concerns to ecclesiastical leaders, mental or physical health providers, or their own legal counsel.

The Complainant should also be advised that the university may not be able to honor a request for confidentiality or to forego an investigation if the university determines such a request would prevent the university from meeting its responsibility to provide students and employees with a safe and nondiscriminatory environment and to provide a thorough and impartial investigation and a prompt and equitable resolution of the Report.

The university will consider the following factors in determining whether to disclose the identity of a Complainant or pursue an investigation contrary to the Complainant's request:

- the seriousness of the allegedly discriminatory behavior
- the age or maturity of the Complainant
- the existence of any previous accusations against the alleged violator
- the existence of independent evidence to substantiate the allegations
- in the case of accusations against a student, the rights of the student under the [Access to Student Records Policy](#) and [Procedures](#) and corresponding federal and state privacy laws or laws mandating disclosure

If the university determines it cannot honor a Complainant's request for confidentiality or a Complainant's request to forego an investigation, it will inform the Complainant prior to commencing its investigation.

3. Preliminary Assessment

Upon receiving a Report of Discrimination, the Investigator will promptly perform a preliminary assessment based on

the facts reported to determine whether they provide reasonable cause to believe Discrimination or other inappropriate discriminatory behavior may have occurred. If there is no reasonable cause to believe Discrimination or another serious policy violation occurred, no further action will be taken and the Complainant will be informed that his or her

Report has been considered and will not be investigated. If reasonable cause is found, an investigation will proceed as provided below.

4. Interim Measures

Based on any information acquired in the course of the preliminary assessment or investigation, the Investigator may recommend that interim measures be taken to protect the Complainant or others from further acts of Discrimination or retaliation while the investigation is still pending. This recommendation should be submitted to the office or individual within the university administration authorized to impose discipline on the Respondent (the Responsible Administrator□). Such interim measures may include actions such as separating the Respondent and the Complainant, providing counseling for the Complainant or the Respondent, and, in situations deemed to be extreme or dangerous, taking interim disciplinary action against the Respondent up to and including a temporary suspension and ban from campus. Other remedial interim measures may also be appropriate, such as special training in the affected department or area, or the dissemination of information about how to report Discrimination.

5. The Complainant's Written Complaint, Supporting Documentation, and Evidence

If a Complainant has not already submitted a sufficient written statement in connection with the initial Report, the Investigator will ask the Complainant to prepare and sign a written statement of the facts alleged ("Complaint"). The Complaint should clearly and concisely describe the incident(s), including when and where the alleged Discrimination occurred. The Complaint may also include an explanation as to why the Complainant believes the Respondent's behavior was unlawful or in violation of university policy, corroborating facts and evidence, the names of other individuals who may have information relevant to the Complaint, other materials or evidence in support of the Complaint, and a proposal for an appropriate resolution. The Complaint may not exceed ten pages in length, exclusive of attached documents and supporting materials, and must be submitted within two weeks of receiving the Investigator's request.

If the Complainant refuses or fails to submit a timely Complaint, the Equal Opportunity Manager may terminate the investigation. However, if the Equal Opportunity Manager determines it is necessary to continue the investigation without a Complaint to determine what occurred and take appropriate remedial steps, the Investigator may prepare a summary of the facts reported and ask the Complainant to review the summary, make any necessary corrections, and affirm it with a signature. If the Complainant refuses to sign the Investigator's summary of the Report, the Investigator may either (a) note that the allegations have been withdrawn and terminate the investigation, or (b) note that the Complainant has refused to sign the summary of the allegations, but that the investigation will nevertheless proceed to determine what occurred and to protect the university's interest in maintaining an environment free from Discrimination. In such a case, the Investigator's summary of the allegations will be treated as the Complaint under these procedures, and a copy of the Investigator's summary with its notation will be delivered to the Complainant.

A copy of the Complaint will be provided to the Respondent at a point in the investigation when the Investigator deems it advisable. The Investigator may redact the Complaint copy before providing it to the Respondent to protect the identity or safety of the Complainant or any witnesses or for any other reason as the Investigator deems advisable.

6. The Respondent's Written Response, Supporting Documentation, and Evidence

The Respondent may prepare and submit a signed written statement in response to the Complaint ("Response"). The Response should indicate whether the Respondent admits or denies the allegations in the Complaint and should provide any exculpatory facts or evidence, including the names of other individuals who may have information relevant to the allegations, and other materials in response to the Complaint. The Response may also include an explanation as to why the Respondent believes any admitted conduct was lawful or was not in violation of university policy and whether any resolution proposed by the Complainant is or is not appropriate. The Response may not exceed ten pages in length, exclusive of attached documents and supporting materials, and must be submitted within two weeks of the Respondent receiving the Complaint.

A copy of the Response will be provided to the Complainant at a point in the investigation when the Investigator deems it advisable. The Investigator may redact the Response copy before providing it to the Complainant to protect the identity or safety of any witnesses or for any other reason as the Investigator deems advisable.

7. Concurrent Investigations or Processes

A Discrimination investigation conducted under these procedures will be conducted independent of any associated criminal investigation or any other university investigation or procedures. If the university determines the issues raised in the Discrimination investigation may be relevant to its determination in another non-criminal investigation or another process that is simultaneously pending at the university, it may direct that one of the investigations or processes be suspended until the other investigation and any appeals or administrative reviews are concluded. While the findings and conclusions of one investigation will not determine the outcome of any other, any evidence or findings developed

in any university or non-university investigation may be shared with and considered in any other university investigation.

8. Cooperation with University Investigations

Employees or students who fail to cooperate in the investigation, including those who knowingly or recklessly misrepresent any facts or who withhold pertinent information, may be subject to disciplinary action up to and including suspension or dismissal from the university or termination of university employment. The knowing or reckless reporting of false charges of Discrimination will be treated as a material breach of the [Church Educational System Honor Code](#), subjecting the individual making the false accusations to similar disciplinary action.

9. The Investigation

The investigation should be thorough, prompt, adequate, reliable, and impartial. The Investigator will, in good faith, attempt to conclude the investigation within sixty days of receiving the Complaint. If, as a result of the complexity of the case or other extenuating facts and circumstances, the investigation cannot reasonably be concluded within the sixty-day period, the Complainant and the Respondent will be provided periodic updates at reasonable intervals regarding the status of the investigation.

During the investigation, the Investigator will consider the Complaint and Response, conduct interviews, and review any other documents or evidence submitted by the parties or discovered during the investigation. A Discrimination investigation under these procedures is an internal university employment or student disciplinary matter. While any party is free to engage legal counsel or seek legal advice, attorneys for the parties will not be permitted to attend or otherwise participate in any employee or student interview, meeting, or other proceeding that may take place under these procedures.

At any time during the investigation, either of the parties or the Investigator may propose a resolution of the matter. If both the Complainant and the Respondent are satisfied with this proposed resolution, and if the Equal Opportunity Manager and the Responsible Administrator are also satisfied that the university's interests are protected, the matter may be resolved as proposed.

At the conclusion of the investigation, the Investigator will determine, based on the preponderance of the evidence (i.e., whether it is more likely than not), whether the Respondent has in fact engaged in Discrimination or other behavior in violation of university policy. The Investigator will promptly communicate this outcome simultaneously and in writing to the Complainant and the Respondent. The Investigator will also report the outcome to the Responsible Administrator and may provide the Responsible Administrator with a report of findings describing the evidence and reasoning supporting the Investigator's findings and the outcome.

10. Resolution and Disciplinary Sanctions

Within fourteen days of receiving the Investigator's determination of the outcome and any report of findings, the Responsible Administrator will determine the resolution of the Complaint, including the imposition of any disciplinary sanctions, as provided in the applicable disciplinary policy. Any person found in violation of the university's Discrimination policies may be subject to discipline up to and including termination of employment, suspension, dismissal, and a ban from campus, depending on the circumstances and the severity of the violation.

The Responsible Administrator(s) and the applicable disciplinary policy will be determined as follows:

- The Responsible Administrators for a Complaint against a faculty member are the faculty member's dean and chair or director, who shall administer any discipline consistent with the applicable provisions of the [Faculty Discipline and Termination Policy](#). If the dean and the chair or director conclude there may be adequate cause for involuntary termination of the faculty member's employment, the Academic Vice President will be consulted and must give final approval for the termination.
- The Responsible Administrator for a Complaint against a non-faculty employee is the director over the employee's area, who shall administer any discipline in consultation with the Manager of Employee Relations and consistent with the applicable provisions of the [Administrative and Staff Employee Discipline Policy](#) and procedures.
- The Responsible Administrator for a Complaint against a student is the Honor Code Office, which will administer any discipline consistent with the [Honor Code Investigation and Administrative Review Process](#). The Honor Code Office may conduct its own investigation of the Complaint, or it may accept part or all of the Investigator's outcome determination and any report of findings in lieu of an independent honor code investigation. If the student is also an employee of the university, the Investigator will provide a copy of the outcome and any report of findings to the student employee's manager, who will administer any discipline affecting the student's employment status in consultation with the Manager of Employee Relations and consistent with the applicable provisions of the [Administrative and Staff Employee Discipline Policy](#) and procedures.

- The Responsible Administrators for a Complaint against a visitor to campus who is neither a student nor an employee are the vice president over the university unit that originally invited the visitor to campus, or the vice

president's designee, and, if a violation is found, the University Banning Committee. If the visitor was not invited to campus, the Responsible Administrator is the University Banning Committee.

Complaint resolution shall include, in addition to any discipline imposed, reasonable steps designed to correct any discriminatory effects on the Complainant and on others who may have been affected, and to prevent the recurrence of any discriminatory or otherwise inappropriate actions.

The resolution will be communicated in writing to both the Complainant and the Respondent simultaneously. However, the Responsible Administrator may choose not to disclose the discipline imposed by the resolution, and will not disclose the discipline imposed on a student except under one of the following circumstances:

- the discipline directly affects the other party such as when the student is ordered to stay away from the other party, is transferred to another job, worksite, class, or residence hall, or is suspended or dismissed from the university;
- the Complainant alleged discriminatory conduct involving a crime of violence or a non-forcible sex offense; or
- the student gives his or her written permission to disclose the discipline.

The university may also report findings of criminal misconduct to the police and may report criminal or other serious misconduct to an individual's ecclesiastical leaders as it deems appropriate in its absolute discretion.

C. REVIEW PROCESS

A faculty member, full-time administrative or staff employee, or a student who remains unsatisfied with the resolution of the Complaint may request an administrative review or appeal ("Review") of the outcome, the resolution, or both, as provided in the applicable policy. A Review should be initiated and conducted pursuant to the applicable university policy or procedure, as follows:

- A faculty member may appeal the involuntary termination of his or her employment pursuant to the "Appeal of Disciplinary Action and Termination" provisions of the [Faculty Discipline and Termination Policy](#). A faculty member may appeal disciplinary sanctions short of termination to the Academic Vice President pursuant to the [Faculty Grievance Policy](#).
- Full-time administrative and staff employees may submit a grievance or, in the case of termination, a request for an administrative review, pursuant to the [Administrative and Staff Employee Grievance Policy](#).
- When the resolution includes disciplinary sanctions affecting a student's honor code standing, the student may seek a Review pursuant to the "Administrative Review" provisions of the [Honor Code Investigation and Administrative Review Process](#).

The party requesting a Review must identify at least one of the following grounds on which such a Review may be based:

- The outcome of the investigation is clearly contrary to the preponderance of the evidence.
- A procedural error occurred that significantly impacted the outcome or resolution of the investigation (for example, a substantiated bias or material deviation from these procedures).
- New evidence, unavailable to the party during the original investigation, has been discovered that could substantially impact the original outcome or resolution (this new evidence and an explanation of its potential impact must be included in the notice of appeal).
- The discipline imposed in the resolution is substantially disproportionate to the severity of the violation.

Both parties will have the same opportunity to be accompanied by another individual at any Review proceedings as permitted under the applicable appeal or review provisions. However, no attorneys will be permitted to attend or otherwise participate in any university meeting, hearing, or other proceeding of any kind that may take place under these Review procedures, except that attorneys from the university's Office of the General Counsel may participate for the purpose of advising the person or body hearing the Review on the applicable policy, procedures, and law governing the hearing. If requested by any party or by the university, an electronic recording of a hearing may be made, and a copy of the recording will be provided to both the Complainant and Respondent at the conclusion of the hearing.

Unless otherwise provided in the applicable policy or procedure, the original outcome and resolution will be presumed to have been decided reasonably and appropriately, and the party requesting appeal bears the burden of establishing, by clear and convincing evidence, that the outcome of the investigation or the resolution of the complaint was reached

in error.

D. EXHAUSTION OF REMEDIES

A student or employee may not initiate civil litigation or civil administrative remedies against the university or its employees, agents, officers, or trustees until all the remedies provided by these procedures have been exhausted.

E. WAIVER OF CLAIMS

Failure to submit a Complaint or to pursue a Review within the stated deadlines or to exhaust the remedies provided by these procedures within the time provided will constitute a waiver of the student's or employee's right to pursue any claim against the university in the matter, unless the right to pursue a statutory claim is preserved by law or the university waives this clause in writing.

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University Policies



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Disruptive Student Conduct Procedures



Institutional Authority

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The Utah Code provides the authority for institutions of higher education in the state to enforce regulations governing the conduct of students. The university has authority to “enforce rules and regulations in any reasonable manner, including...the imposition of probation, suspension, or expulsion from the institution, the revocation of privileges, the refusal to issue certificates, degrees, and diplomas, through judicial process or any reasonable combination of these alternatives.” *Utah Code Annotated* § 53B-3-103.

Definition of Disruptive Student Conduct

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Disruptive student conduct is conduct that significantly interferes with the educational process, the educational environment (including housing); or the administrative functions of the university. The determination of whether conduct rises to the level of disruptive student conduct is determined on an individual case-by-case basis with reference to the relevant facts and circumstances. Disruptive student conduct may include, but is not limited to intimidating, threatening, harassing, or violent behavior; abuse of administrative processes; abuse of university or individual resources; disregard or non-compliance with established policies and procedures or medical advice; or the probable likelihood of engaging in conduct or actions that may endanger the health, safety or welfare of any individual. Disruptive student conduct may also include physical acts, oral or written statements, gestures, or expressions that communicate direct or indirect threats of harm or disruption. Disruptive behaviors and actions are inconsistent with the values of BYU and may be in violation of the [Church Educational System Honor Code](#).

Examples of Disruptive Student Conduct

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The following list is not exhaustive, but is intended to provide examples of various types of disruptive behaviors that may result in university action:

- Conduct that is disruptive to the educational environment (e., *disruptions in housing, at university events, etc.*).
- Conduct that is disruptive to the educational process or administrative functions of the institution (*i.e., obstruction or disruption of normal university activities including, but not limited to, studying, teaching, research, administration, disciplinary procedures, grievance procedures, investigatory processes, emergency services; and/or abuse of institutional resources*).
- Conduct that is disruptive or inappropriate in a situation where the student is representing the university (*i.e., unprofessional conduct while participating in an interview with a recruiter, or while working in an internship or an externship capacity; or while participating in a competition or other public performance, etc.*)
- Conduct or threats that may pose a danger to the health, safety or welfare of any individual (*including, but not limited to, actual or threatened physical abuse, assault, battery, or attempted suicide*).
- Conduct that is intended to intimidate, harass or verbally abuse, haze, or degrade others. Repeated unwanted contact, including stalking, harassing telephone calls or email. (*Also includes threatening or harassing behavior directed toward a faculty member in response to grades issued or performance evaluated.*)
- Disorderly, lewd, indecent or obscene conduct or expressions (*as determined by the university*).
- Unauthorized entry or use of university facilities or property.
- Obstructing the movement of others on campus or access to campus facilities.
- Failure to comply with directions of university officials including law enforcement or security officers acting in good faith and in performance of their duties.
- Making accusations against a member of the campus community that are intentionally false, or made with reckless disregard for the truth.

disregard for the truth.

- Forgery, falsification, unauthorized alteration, or misuse of campus documents, records, or identification including, but not limited to electronic software and records.
- Breach of the peace (*i.e., unauthorized use of sound amplification equipment in a manner that disturbs the privacy of others and/or the instructional programs of the university*).
- Flagrant or repeated violations of university policy or process, rules and regulations.

For additional information, refer to the following institutional policies at policy.byu.edu:

- [Sexual Harassment Policy](#)
- [Sexual Harassment Grievance Procedures](#)
- [Discrimination Complaint Procedures](#)
- [Firearms and Weapons Policy](#)
- [Drug-Free School Policy](#)
- [Appropriate Use of Information Technology Resources Policy](#)
- [Physical Facilities Policy](#)
- [Human Research Protection Policy](#)
- [Use of Vertebrate Animals as Subjects in Teaching, Testing, or Research Policy](#)
- [Risk Management and Safety Policy](#)
- [Fraud Policy](#)

For information regarding disruptive behavior in the context of public expression, demonstrations or protests see the [Public Expression Policy](#).

Student Responsibilities

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To provide a secure, safe environment for all members of the campus community, students are responsible for ensuring that their personal conduct is appropriate and consistent with the [Church Educational System Honor Code](#). In all cases involving an individual with a disability, including mental disabilities, this policy will operate to make determinations based upon an individual's behavior rather than upon the individual's status of having a disability. Students have a personal obligation to obtain medical care for conditions that may affect their conduct, and to take any related medications as prescribed by their physicians. Under applicable disability law, students with disabilities are responsible for their disruptive conduct.

Abuse of Administrative Processes

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Occasionally, students conduct themselves in ways that disrupt, manipulate or abuse the administrative processes of the university, thereby placing an undue strain on institutional resources. For example, students who behave in any of the following ways are acting in a disruptive manner consistent with this policy:

1. students who make false accusations against other members of the campus community;
2. students who file frivolous grievances or appeals relating to the [Church Educational System Honor Code](#), academic misconduct violations, or in other areas where the university provides students an ordered process for review of university actions;
3. students who contact departments or offices in an attempt to resolve problems or questions that have been addressed;
4. students who file lawsuits or grievances against faculty members, other university personnel, or the institution that are without substantial merit; and/or
5. students who refuse to accept and comply with final outcomes of administrative proceedings, or continue to engage or circumvent the administrative process.

In situations where student conduct disrupts or abuses administrative processes in such a manner, the director of the Honor Code Office may review the events collectively, provide the affected student with a reasonable opportunity to respond, and make a recommendation to the dean of students who may take immediate, appropriate action without recourse to normally applicable policy and process. This action may range from dismissal of the applicable administrative procedures to the extraordinary action of immediate dismissal and expulsion of the student from the university by the dean of students. Appropriate cases involving restricted access to campus may be referred to the

University by the dean of students. Appropriate cases involving restricted access to campus may be referred to the Campus Access Committee for follow up.

Inappropriate Classroom Behavior

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Inappropriate classroom behavior is another form of disruptive student behavior that can be a significant impediment to the mission of the university, and can interfere with students' ability to learn and instructors' ability to teach. In some instances, the behavior may simply be rude, disrespectful, or thoughtless. It may include persistent disruptions, talking, yelling, arguing, etc. These behaviors can be frustrating and troublesome for teachers and other students because of the disruption to the learning process which results.

Many of these disruptive behaviors can be dealt with directly by faculty members or instructors, who can clearly state their expectations about the importance of respectful classroom behavior and who have responsibility for the control of their classrooms and the academic evaluation of their students. If a student does not respond appropriately at the classroom level or the behavior is egregious, the situation should be reported to the Honor Code Office. In addition, the incident may also be reported to any of the following administrators: the dean of students; the dean of Graduate Studies; and the applicable dean, associate dean or program director as appropriate.

Procedures for Reporting Disruptive Student Conduct

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All disruptive student conduct which does not pose an immediate threat of harm to any individual's health, safety or welfare, should be reported to the Honor Code Office, which will conduct a preliminary investigation.

Disruptive student conduct which poses an immediate threat of harm to any individual's health, safety or welfare, should be reported to the BYU Police immediately. The BYU Police will investigate the incident for possible violations of law and/or criminal prosecution. The incident should also be reported to the Honor Code Office which will conduct an investigation related to the student's disruptive conduct and utilize the information gathered to aid in determining the status of the student with the university.

Individuals reporting violations of disruptive student conduct should provide complete information regarding the allegation to the Honor Code Office. Any individual acting in good faith who reports disruptive student conduct should not be subject to retaliation or harassment based on his or her report. Anyone participating in such retaliation or harassment toward a reporting party will be subject to university discipline through the Honor Code Office, including temporary or permanent separation from the university and/or possible criminal prosecution.

Faculty members, instructors and/or deans are encouraged to report disruptive student conduct to the Honor Code Office even when the disruptive behavior is apparently resolved. This will help the institution to identify those students who exhibit a pattern of disruptive conduct. If such behavior is egregious or recurs at another setting within the university, the student may be subject to disciplinary action.

The disruptive conduct of student employees should be reported to the Honor Code Office who will coordinate with Employee Relations. The situation will be governed by the Honor Code Office Process and the [Personnel Conduct Policy](#).

Disciplinary Procedures

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The purpose of a disciplinary review is to discuss the facts of the incident(s), to hear the student's perspective, and if a violation of the [Disruptive Student Conduct Policy](#) has occurred, to determine an appropriate response from an institutional perspective.

These proceedings are administrative proceedings and do not follow formal rules of evidence applicable in judicial proceedings. The proceedings are to be conducted with fundamental fairness, and the university has the burden of proof to establish a violation by a preponderance of the evidence (that it was more probable than not that a violation occurred and the reported student committed it). Minor deviations from prescribed procedures will not invalidate a decision or proceeding, provided they do not significantly prejudice the student or the university.

In determining what sanction to impose, mitigating and aggravating factors may be considered, such as the individual's prior disciplinary record, the nature of the offense, the severity of the damage, injury or harm resulting from the violation, and any restitution made. Referrals for psychological counseling may also be made. Disciplinary decisions take into consideration the needs of the university, campus community and the student.

Except in cases of abuse of administrative process, or in those circumstances where there are significant health, safety or personal welfare issues, procedures for disciplinary reviews will be as outlined in the Brigham Young University [Honor Code Investigation and Administrative Review Process](#) document. Situations involving serious abuse of administrative processes or health, safety or personal welfare issues are subject to expedited review, determination and implementation by the dean of students upon the recommendation of the director of the Honor Code Office without

and implementation by the dean of students upon the recommendation of the director of the Honor Code Office without regard to normally applicable policy and process; provided, the student subjected to discipline is given a fair opportunity to respond within a reasonable period of time prior to the decision. In the extraordinary case where the behavior is deemed serious enough to immediately separate the student from the university, the Honor Code Office director will make a recommendation to the dean of students who will then review all available information, make a decision and advise the student. The student may request a review of the dean's decision. The request must be in writing and received by the Office of the Dean of Students, Brigham Young University, 3500 WSC, Provo, Utah 84602. The Dean of Students Office will process the request for review to the student life vice president. The vice president will review all available information, including the student's information. The vice president's decision is final with no further recourse. During each review, the reviewer(s) has the authority to modify or completely change the recommendation or decision, or allow the action to remain the same. To protect the confidential nature and privacy interests of students allegedly committing violations, all reviews will be closed proceedings.

During a disciplinary investigation or review, a student will not generally be restricted in, or excluded from, class attendance or participation in university functions and activities except where a student acts as a representative of BYU (such as performer or athlete participating in public performances or events, or a student working in an internship or externship capacity, etc.), or unless the university, upon recommendation of the director of the Honor Code Office and acting through the dean of students, determines that such attendance or participation is likely to be disruptive, pose a threat to the well-being or personal safety of the student and/or others, or believes that such attendance or participation is not in the best interest of the student or the university. The director of the Honor Code or the dean of students office may consult with any or all of the following administrators as appropriate or other administrators as needed: the dean of Graduate Studies; or the applicable dean, associate dean or program director. These individuals have full discretionary power to restrict the student's activities within the applicable program during an investigation or review, and will advise the student of any such restrictions and/or exclusions determined at the department level, pending the final outcome of the university action following the Honor Code Office process of investigation, the Honor Code Committee decision or recommendation, and the Administrative Review Process (or expedited process for immediate separation).

Ad Hoc Disruptive Student Conduct Committee

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To obtain advice concerning appropriate institutional actions in the case of disruptive students, the director of the Honor Code Office has the discretion to determine whether to convene an Ad Hoc Disruptive Student Behavior Committee comprised of representatives from any of the following entities or additional entities as needed: the Honor Code Office, the Office of the General Counsel, the Counseling and Career Center, Housing Services, the University Accessibility Center, the BYU Police, and the entity submitting the initial report of disruptive behavior (if a BYU department or office). The director of the Honor Code Office will chair the committee, or designate a chairman for the committee. The purpose of the committee will be to make recommendations to the Honor Code Office. The Honor Code Office will remain responsible for the implementation of this policy.

Grievance, Review and Appeal Process

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Individuals who are disciplined for violations of the [Disruptive Student Conduct Policy](#) have a right to a review, unless it is recommended by the director of the Honor Code Office and determined by the dean of students, in writing, that such a review is frivolous and without merit.

Access to Disciplinary Records

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BYU must comply with the Family Educational Rights and Privacy Act (FERPA), which governs access to student educational and disciplinary records. For details relating to this process, please refer to the [Access to Student Records Policy](#).

Institutional Rights to Modify or Amend Policy

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BYU reserves the right to modify these procedures at its discretion. Any departure from the administration of procedures outlined in these procedures will not act to invalidate the decisions made by the university, provided the procedures followed were fundamentally fair to the student and the institution, given the facts and circumstances of the case.

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University Policies



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Faculty Discipline and Termination Policy



Brigham Young University promotes a learning environment where faculty and students may pursue knowledge in the light of the restored gospel. High quality teaching, scholarship, and citizenship are all integral parts of that mission. The university values its personnel and desires that each one succeed in his or her respective assignment. Nevertheless, there may be occasions when disciplinary action becomes necessary. Disciplinary action should take into account such factors as the faculty member's status and the nature of the alleged offense, as well as the offense's frequency, recency, severity, and effect on others. Disciplinary action ranges from informal counseling to involuntary termination. In situations where it is determined that a faculty member's activities, behavior, or performance warrants immediate involuntary termination, the guidelines in the Progressive Discipline Guidelines section below are not applicable. The academic vice president, or an authorized designee, should be consulted when the possibility of an involuntary termination is being considered. If allegations of moral or religious misconduct are made against a faculty member who is a member of The Church of Jesus Christ of Latter-day Saints ("Church") (a faculty member who is a member of the Church is hereinafter referred to as a "Latter-day Saint faculty member"), the university may inform the faculty member's bishop and stake president.

The policy outlines the appeal processes for faculty termination or non-renewal of contract:

1. A faculty member with continuing faculty status (CFS) can appeal an involuntary termination under this policy.
2. A faculty member who is in a CFS-track position but who does not have CFS, and whose appointment is terminated before the expiration of his or her current contract (i.e., mid-year), may appeal under this policy.
3. A CFS-track faculty member whose contract is not renewed because of a negative decision in the rank and status process may appeal under the [Rank and Status Policy](#).
4. Except as provided above, a faculty member who is in a CFS-track position but who does not have CFS, and whose contract is not renewed, may grieve the decision under the [Faculty Grievance Policy](#).
5. A full-time or part-time faculty member who does not have CFS and who is not in a CFS-track position, and whose appointment is terminated before the expiration of his or her contract (e.g., mid-year or mid-semester), may grieve the decision under the [Faculty Grievance Policy](#).
6. A full-time or part-time faculty member whose contract is not renewed may file a claim under a nondiscrimination policy, when it is relevant: [Sexual Harassment Policy](#), [Sexual Harassment Grievance Procedures](#), [Accommodation of Persons with Disabilities at BYU Policy](#), [Accommodation of Persons with Disabilities at BYU Procedures](#), [Nondiscrimination and Equal Opportunity Policy](#), or [Discrimination Complaint Procedures](#).
7. Appeals of termination decisions based on the following grounds will be handled under the [Faculty Grievance Policy](#) rather than appealed under this policy: bona fide financial need (e.g., consolidation, downsizing, cost efficiency) or discontinuance of a university program, department, or college if the university is not reasonably able to reassign the faculty member to another suitable position at Brigham Young University that is in an appropriate academic discipline and for which the faculty member is suitably trained and experienced.

Definitions of Faculty Members

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For the definitions of faculty members and related information, see the [Non-CFS Track Academic Appointments Policy](#), the [Faculty Hiring Policy](#), and the [Rank and Status Policy](#).

Reasons for Discipline

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Violation of university policy or inappropriate activities, unacceptable behavior, or performance which fails to meet acceptable standards is subject to disciplinary action.

Generally, the responsibility to discipline a faculty member rests with the department chair, dean, director, academic vice president, or authorized designee. The associate academic vice president–faculty and the manager of faculty relations are available to assist, investigate the facts, and consult with these leaders in matters of discipline, and each may also act as the academic vice president’s designee when so authorized. In situations that may result in the involuntary termination of a faculty member’s employment, the academic vice president, or an authorized designee, must approve the termination.

Progressive Discipline Guidelines

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The following guidelines are suggested as possible interventions useful in resolving disciplinary matters. However, it is not required that these guidelines be implemented in any particular order. Generally, the nature and severity of the alleged misconduct or failure to meet acceptable performance standards (see the [Rank and Status Policy](#)), along with the faculty member’s history and the circumstances surrounding the issue, usually determine the level of intervention and the nature of the process employed in dealing with such matters.

Three principles typically govern disciplinary action: (1) generally, discipline is progressive, beginning with the lowest level of intervention that is deemed appropriate to effectively address the problem; (2) a faculty member whose behavior or performance is determined to be unacceptable according to policy or performance standards is given clear notice of the concerns, expectations, and possible consequences for noncompliance (see the [Rank and Status Policy](#)); and (3) except in situations where immediate involuntary termination is deemed appropriate, a faculty member thus notified is given a reasonable period of time to correct the problem.

Progressive discipline provides a faculty member the opportunity to demonstrate the ability to sustain requisite improvements in performance or comportment before further disciplinary action becomes necessary. If progressive discipline does not resolve the concerns, or if the faculty member fails or refuses to comply with the requirements specified by progressive discipline, the next step may be involuntary termination. The faculty member’s failure or refusal to meet and sustain the standards set forth as part of the disciplinary process constitutes adequate cause for involuntary termination.

These guidelines do not mean that the university must use progressive discipline before terminating a faculty member’s employment. The use of progressive discipline is within the university’s sole discretion. In some situations, immediate involuntary termination may be deemed appropriate.

Following are some recommended progressive discipline interventions:

Verbal Counseling

Unless a situation requires more serious and immediate action, the appropriate administrative leader (department chair, dean, etc.) may respond to inappropriate activities, unacceptable behavior, or unsatisfactory performance with verbal counseling. Preferably, a written follow-up contact (e.g., email, memorandum, etc.) should be sent the faculty member acknowledging the day and date of the meeting and outlining the concerns, expectations, and possible consequences for noncompliance. At a minimum, a record of the discussion should be written to the “File” and placed in the faculty member’s file for documentation purposes. Following verbal counseling, if the situation still is not sufficiently remedied, the administrative leader may attempt additional verbal counseling or proceed with a different disciplinary intervention. In some instances, a recommendation to the academic vice president, or authorized designee, for nonrenewal of contract or involuntary termination may be appropriate following verbal counseling.

Written Warning(s)

A written warning may be issued to a faculty member when the issue involved requires more serious or immediate action than verbal counseling, or if verbal counseling has not remedied the situation. When possible, a written warning should be discussed in person with the faculty member in a confidential setting. In cases where the concerns are not entirely resolved, but in which there appears to be substantial potential for resolution, additional written warnings may be appropriate.

A warning letter should be clearly labeled so that the nature of the document is fully understood. Usually, a warning letter describes the following:

1. Specific deficiencies, problems, or offenses
2. Specific changes expected
3. Immediate consequences, if applicable
4. Future consequences, if expected changes are not made and sustained
5. An evaluation date that allows the faculty member a reasonable amount of time to demonstrate an acceptable level of sustained change

The possibility of termination should be clearly and specifically articulated so that the faculty member understands that termination is one possible consequence for failure to comply with the provisions in the warning letter. The faculty

termination is one possible consequence for failure to comply with the provisions in the warning letter. The faculty member should sign and date the warning letter, signifying that there was a discussion as well as receipt of the warning letter. However, the faculty member's signature is not required for the warning letter to be in effect and binding upon the faculty member. If the faculty member refuses to sign the letter, the issuing authority (i.e., department chair, dean, etc.) should handwrite a statement to that effect on the signature page, dating and signing both the handwritten statement and the warning letter. A copy should be provided to the faculty member and the department chair or the dean. The original should be sent to the associate academic vice president–faculty or the manager of faculty relations to be sealed in a confidential envelope and placed in the faculty member's university personnel file.

Final Written Warning

In situations deemed serious or severe, or when the faculty member has failed to satisfactorily meet provisions in a written warning letter, termination of employment may be appropriate. However, if a resolution still seems possible, a final written warning may be more appropriate. When possible, the final written warning should be discussed in person with the faculty member in a confidential setting. A final written warning should contain all of the elements of a written warning, as described above, including a clear articulation of the possibility of termination as a consequence for failing to comply with the intent of the final warning. The final written warning should be signed and dated by the faculty member. However, the faculty member's signature is not required for the final written warning to be in effect and binding upon the faculty member. If the faculty member refuses to sign the letter, the issuing authority (i.e., department chair, dean, etc.) should handwrite a statement to that effect on the signature page, dating and signing both the handwritten statement and the final warning letter. A copy should be provided to the faculty member and the department chair or the dean. The original should be sent to the associate academic vice president–faculty, or the manager of faculty relations, to be sealed in a confidential envelope and placed in the faculty member's university personnel file.

Probation

Probation may be implemented any time during the disciplinary process. A faculty member whose activity, behavior, or performance is deemed inappropriate, unacceptable, or in violation of policies or procedures may be placed on probation. Generally, a probationary period allows the faculty member sufficient time to demonstrate that the requisite changes will be achieved and sustained. Probation may be rescinded or extended at any time, depending on the circumstances. A letter articulating the reason(s) for probationary status should be issued to the faculty member when he or she is placed on probation. Additional consequences may accompany probation, such as specific restrictions, reassignment, minimizing or withholding of an increase in pay, reduction in pay, or other consequences deemed to be appropriate.

Suspension

Suspension may be implemented any time during the disciplinary process. Generally, suspension is appropriate during a period of investigation in a situation where a faculty member should not return to some duties until an investigation is concluded. A faculty member may be suspended with or without pay, depending on the nature and severity of the alleged violation, and the possible consequences of his or her continuing to work. Examples of problems which might merit suspension include, but are not limited to, certain allegations such as theft, sexual harassment, threats, or conduct of a violent or disruptive nature (see the [Fraud Policy](#), [Sexual Harassment Policy](#), etc.). The academic vice president or an authorized designee may suspend a faculty member from teaching or other responsibilities pending the resolution of the investigation. Under certain circumstances, suspending a faculty member may be, in itself, an appropriate disciplinary action. However, a suspension is not required before terminating a faculty member's employment. The length of the suspension should be commensurate with such considerations as the nature of the alleged offense, time needed to conduct an investigation, and the implications of the alleged offense with respect to the university and its sponsoring institution.

Non-Renewal of Contract or Termination of Faculty Employment

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Non-Renewal of Contract

The university may choose not to renew the appointment of a full-time or part-time faculty member without CFS at the expiration of his or her contract for any reason as long as that reason does not violate a statutory right. If a faculty member whose contract is not renewed claims that the non-renewal violates a statutory right, the claim is handled under the applicable policy: [Sexual Harassment Policy](#), [Sexual Harassment Grievance Procedures](#), [Accommodation of Persons with Disabilities at BYU Policy](#), [Accommodation of Persons with Disabilities at BYU Procedures](#), [Nondiscrimination and Equal Opportunity Policy](#), [Discrimination Complaint Procedures](#). Unless a statute prescribes a different time period, such a claim must be submitted within thirty calendar days after the faculty member receives notice of the non-renewal. Non-renewal of a contract as a result of a decision in the rank and status process is appealed under the [Rank and Status Policy](#). Except as provided above, a faculty member who is in a CFS-track position but who does not have CFS, and whose contract is not renewed, may grieve the decision under the [Faculty Grievance Policy](#). A formal grievance statement must be submitted within thirty calendar days after the faculty member receives notice of the non-renewal.

Involuntary Termination

A full-time or part-time faculty appointment may be terminated for adequate cause, whether or not a faculty member's conduct occurs on or off campus, and whether or not the faculty member has CFS. The academic vice president must give final approval on any decision involving the involuntary termination of a faculty member's appointment. A decision not to terminate a faculty member's appointment does not preclude other disciplinary interventions. In the case of involuntary termination, the academic vice president or an authorized designee shall give the faculty member written notice of the decision and the specific grounds for termination. The notice shall state that the faculty member has a right to appeal or grieve the decision.

Faculty without CFS: Involuntary Termination

The university may terminate the appointment of a full-time or part-time faculty member without CFS before the expiration of his or her contract for adequate cause only. Such action is an involuntary termination. A faculty member who is in a CFS-track position but who does not have CFS, and whose appointment is terminated before the expiration of his or her contract, may appeal under this policy. A full-time or part-time faculty member who does not have CFS and who is not in a CFS-track position, and whose appointment is terminated before the expiration of his or her contract, may grieve the decision under the [Faculty Grievance Policy](#), and a formal grievance statement must be submitted within thirty calendar days after the faculty member receives notice of the termination.

Faculty with CFS: Involuntary Termination

The university may terminate the appointment of a faculty member with CFS for adequate cause only. Such action is an involuntary termination and is appealable under this policy.

Adequate Cause and Grounds for Termination

Reasons considered to be adequate cause for termination include, but are not limited to the following:

1. Bona fide financial need (e.g., consolidation, downsizing, cost efficiency); or discontinuance of a university program, department, or college if the university is not reasonably able to reassign the faculty member to another suitable position at Brigham Young University that is in an appropriate academic discipline and for which the faculty member is suitably trained and experienced
2. Material violation of the [Church Educational System Honor Code](#) or other university policies
3. Material breach of the employment contract or a failure to meet an express condition of employment
4. For Latter-day Saint faculty members, a change in Church membership status, including withdrawal of membership from the Church, formal membership restrictions in the Church, resignation of membership in the Church, or failure to meet the standards of conduct consistent with qualifying for temple privileges
5. Conviction of a criminal offense
6. Failure to maintain acceptable standards of performance as defined in the [Rank and Status Policy](#)
7. Material violation of professional standards or ethics directly related to the faculty member's discipline, including loss of licensure or certification
8. Conduct or expression that is in violation of the [Academic Freedom Policy](#)
9. Progressive discipline pursuant to this policy which has not resulted in satisfactory resolution of the issues leading to the disciplinary action
10. Refusal to cooperate in, or obstruction of, an official university investigation, including the misrepresentation of any facts or the withholding of pertinent information
11. Any other conduct or expression that displays a lack of fitness to hold a faculty position at the university, such as failure or refusal to follow a reasonable request or direction of university leadership. (See the [Academic Freedom Policy](#), [Rank and Status Policy](#), [Church Educational System Honor Code](#), [Personnel Conduct Policy](#), [Sexual Harassment Policy](#), [Conflict of Interest and Conflict of Time Commitment Policy](#), [Appropriate Use of Information Technology Resources Policy](#), [Computer and Electronic Communications General Use Policy](#), etc.)

Procedures for Involuntary Termination

The decision to involuntarily terminate the employment of a faculty member rests with the academic vice president. If allegations of moral or religious misconduct are made against a Latter-day Saint faculty member, the university may inform the faculty member's bishop and stake president.

Grievance or Appeal of Disciplinary Action or Involuntary Termination

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Grievance of Faculty Disciplinary Action Other than Involuntary Termination

A faculty member may grieve disciplinary action other than involuntary termination under the [Faculty Grievance Policy](#). A formal grievance statement must be submitted in accordance with that policy, and within thirty calendar days after the faculty member receives notice of the discipline. In addition, the faculty member may submit a letter of rebuttal for any disciplinary documentation (e.g., a warning letter) included in his or her file.

Appeal of Involuntary Termination

If the appointment of a faculty member with CFS is involuntarily terminated, or the appointment of a faculty member in a CFS-track position but who does not have CFS is terminated before the expiration of his or her contract (i.e., mid-year), he or she may choose to appeal the termination by submitting a written request to the academic vice president within thirty calendar days of receipt of the written notification of the termination decision. Failure to submit a request within the allotted time is a waiver of the right to pursue any claim arising out of the termination unless the right to pursue a claim is granted by statute.

Appeals of termination decisions based on the following grounds shall be handled under the [Faculty Grievance Policy](#) rather than appealed under this policy: bona fide financial need (e.g., consolidation, downsizing, cost efficiency) or discontinuance of a university program, department, or college if the university is not reasonably able to reassign the faculty member to another suitable position at Brigham Young University that is in an appropriate academic discipline and for which the faculty member is suitably trained and experienced. A formal grievance statement must be submitted within thirty calendar days after the faculty member receives notice of the termination.

Selection of Termination Hearing Committee Members

Except as provided above, appeals of decisions to terminate the appointment of faculty members who have CFS or who are in a CFS-track position based on grounds set forth in this policy are heard by the Termination Hearing Committee. The Termination Hearing Committee is an ad hoc committee composed of two members of the Academic Vice President's Council who were not directly involved in the decision to terminate the faculty member's appointment, and three faculty members selected by the academic vice president, or an authorized designee, from among currently elected members of the university's Faculty Advisory Council. The academic vice president and the appellant should attempt to reach agreement on the faculty members selected from the Faculty Advisory Council to sit on the Termination Hearing Committee. Where agreement cannot be reached as to any one of the three members of the committee, the slot(s) in question will be filled by a random selection process from among members of the Faculty Advisory Council.

If the appellant is a professional track faculty member, at least one member of the Termination Hearing Committee should be a professional faculty member. If no professional faculty member is available as a member of the Faculty Advisory Council, one may be appointed to the Termination Hearing Committee by the academic vice president from the faculty at large.

The academic vice president will designate one of the members of the Academic Vice President's Council to be chair of the Termination Hearing Committee. The associate academic vice president–faculty sits as an ex-officio member of the committee to advise the committee regarding matters of policy and process. The hearing will be conducted as outlined below.

Appeal before the Termination Hearing Committee

The hearing will be informal and will be conducted by the chair of the Termination Hearing Committee. The chair is responsible to schedule a hearing and to set a reasonable deadline before the date of the hearing so that the parties involved may exchange documents that will be presented and the names of witnesses who will testify. The Termination Hearing Committee shall reasonably cooperate with the faculty member in securing the attendance of witnesses. The Termination Hearing Committee shall have authority to grant reasonable access to documents within the parties' possession which contain facts pertinent to the appeal while preserving confidentiality. Documents may be redacted in order to present important information while preserving confidentiality. The associate academic vice president–faculty shall determine how sensitive information will be made available and how confidentiality will be preserved.

Other than the procedures set forth below, the chair of the Termination Hearing Committee will have discretion regarding the procedures to be followed. A ruling of the chair may be overturned by a simple majority vote of the Termination Hearing Committee. For example, the chair may determine the length of the hearing, the number of pages of material submitted, and the number of witnesses. The procedures should provide for the best interests of both the faculty member and the university and should ensure a fair consideration of the issues. The following procedures will be observed:

1. Both parties may be represented in the hearing, but not by a person acting in the capacity of legal counsel. The

academic vice president will appoint a representative, but not legal counsel, to represent the university.

2. Only the faculty member, the faculty member's representative, the university representative, and the Termination Hearing Committee will attend the hearing. Witnesses will appear only for the portion of the hearing necessary to present their statements.
3. At the hearing, both parties shall have a fair opportunity, within reasonable limits, to present witnesses, arguments, and supportive information, with a limited right to question witnesses as determined by the chair, and to deliver written and oral presentations. Ordinarily witnesses will appear in person, but a witness who is not available in person may communicate through a speaker phone or live audio/video connection. The formal rules of evidence shall not apply. However, the Termination Hearing Committee should give attention to such issues as relevance and the significance and reliability of information.
4. The faculty member or his or her representative and the university representative will have the right to question and respond to witnesses presented by the other. At the discretion of the chair, both sides may be asked to submit such questions through the chair.
5. All matters presented in the hearing will be held strictly confidential. No one shall disclose matters occurring in the hearing to those who are not part of the appeal process as set forth in this policy. Unauthorized disclosure by an individual is grounds for disciplinary action, including termination.

Appeal Statement

The faculty member must provide a written appeal statement to the chair of the Termination Hearing Committee and the university representative within thirty calendar days from the date of the written request to the academic vice president to appeal the termination. The appeal statement must

1. Outline all claims on which the appeal is based.
2. Outline all arguments and evidence that the faculty member will present in the appeal.
3. List all witnesses that the faculty member will present and outline the substance of each witness's statement.
4. Include copies of all documents that the faculty member will introduce during the appeal.

Response Statement

Within thirty calendar days after receiving the appeal statement, the university representative will provide a written response statement to the chair of the Termination Hearing Committee and the faculty member. The response statement will

1. Outline all responses to the claims on which the appeal is based.
2. Outline all arguments and evidence that the university representative will present in the appeal.
3. List all witnesses that the university representative will present and outline the substance of each witness's statement.
4. Include copies of all documents that the university representative will introduce during the appeal.

Pre-Hearing Conference

After receiving the appeal statement and the response statement, the chair of the Termination Hearing Committee will meet with the faculty member and his or her representative, the university representative, and the associate academic vice president–faculty to schedule and discuss the appeal hearing and resolve all preliminary matters.

Termination Hearing Committee's Recommendation

The Termination Hearing Committee will examine the written information, hear the presentations and statements of the witnesses, and reach a conclusion as to whether the decision to terminate the employment of the faculty member was reasonable in light of all the circumstances. If the Termination Hearing Committee determines that the decision to terminate was reasonable, it may recommend to the university president that the termination be upheld. If the Termination Hearing Committee determines that termination is not reasonable, it may recommend any number of alternative courses of action, including, but not limited to, the following: suspension, probation with conditions, the imposition of restrictions, reassignment, salary adjustments, formal reprimand, verbal or written warning, formal apology by either party, reinstatement, the awarding of back pay, the termination of restrictions or discipline previously imposed on the faculty member, no action, etc.

The Termination Hearing Committee's recommendation will be determined by a majority vote. The recommendation should include a written summary of the reasons for the recommendation. Any member of the Termination Hearing Committee may attach a dissenting opinion. The Termination Hearing Committee's recommendation and any attached

dissenting opinions should be delivered to the president and the faculty member within thirty calendar days of the hearing.

President's Decision

After receiving the Termination Hearing Committee's recommendation, the president will decide whether to uphold or overturn the termination decision, to follow any other recommendation made by the Termination Hearing Committee, to make an independent decision, or to hold a hearing at the president's level of accountability as determined by the president. The president has the exclusive authority, in the exercise of the president's sole discretion, to make the final decision.

If the president determines to hold a hearing, only the president, a representative of the Office of the General Counsel of the university to advise the president on policy and procedure, the faculty member and his or her representative, the university representative, and any witnesses whom the president deems necessary to help determine the merits of the dispute, may attend the hearing. Witnesses will appear only to give their testimony. No one shall disclose matters occurring in the hearing to those who are not part of the appeal process as set forth in this policy. Unauthorized disclosure by an individual is grounds for disciplinary action, including the possibility of termination.

The president will provide the faculty member written notice of the final decision within thirty calendar days. Copies of this written notice will be sent to the academic vice president, the associate academic vice president–faculty, the dean, and the department chair.

Non-Retaliation

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Retaliation by the university or its employees against a faculty member for seeking redress through these procedures is prohibited.

Exhaustion of Remedies

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To the extent permitted by law, a faculty member may not initiate civil litigation or civil administrative remedies against the university or its employees, agents, officers, or trustees until all the remedies provided by university policies and procedures have been exhausted.

Waiver of Claims

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Failure to pursue a claim, grievance, or appeal within the stated deadlines or to exhaust the remedies provided by university policies and procedures will constitute a waiver of the faculty member's right to pursue any claim arising out of the university's actions in the matter, unless the right to pursue a statutory claim is preserved by law or the university waives this clause.

Non-Faculty Personnel

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For non-faculty personnel (e.g., administrative, staff, student part-time, non-student part-time, on-call) see the [Administrative and Staff Employee Discipline Policy](#).

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University Policies



Contents, Related Policies, Applicability ▾

Faculty Grievance Policy



This policy is intended to help faculty members and university leadership work together to resolve grievances in harmony with the collegial nature and cooperative spirit of the university community. Experience indicates that almost all grievances may be resolved informally. The process should reflect mutual trust, respect, collegiality, and cooperation. All parties are encouraged to honor the integrity of the university and remember the virtues of persuasion, gentleness, meekness, kindness, charity, and love unfeigned (D&C 121:41-46).

All grievances of a faculty member against the university or its personnel are governed by this policy, except those governed by a more specific policy. Examples of such policies are given below. Faculty may grieve management decisions and resulting adverse action taken by the University Administration that affect the faculty member's employment status, remuneration or opportunities. Evaluations by a supervisor (includes vice president, associate vice president, dean, department chair, director, etc., or their designees) are not grievable, per se. In resolving grievances, a supervisor may act through an authorized designee. The office of Faculty Relations, ext. 2-9772, is available to assist faculty in the grievance process.

Grievances governed by this policy include, but are not limited to, those based on the following:

- Disciplinary action taken against a faculty member short of termination (see [Faculty Discipline and Termination Policy](#)),
- Infringement of individual academic freedom (see [Academic Freedom Policy](#)),
- Salaries and department/college privileges,
- Resource support,
- Teaching assignments,
- Office assignments, and
- Leave of absence applications.

Grievances based on actions covered by specific policies that have their own grievance or appeal procedures are governed exclusively by those policies. Those policies include, but are not limited to:

- [Sexual Misconduct Policy](#);
- [Accommodation of Persons with Disabilities at BYU Policy](#);
- [Intellectual Property Policy](#);
- [Faculty Discipline and Termination Policy](#);
- [Rank and Status Policy](#);
- [Financial Conflict of Interest in Sponsored Research Policy](#);
- [Misconduct in Federally-Funded Research Policy](#); and
- [Administrative and Staff Employee Grievance Policy](#).

Informal Procedure

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A faculty member shall first attempt to resolve the grievance informally with the person whose action is the basis for the grievance (Matthew 18:15). However, if in the faculty member's sole discretion it is not practicable to do so, the faculty member should then attempt to resolve the grievance informally with that person's immediate supervisor.

Formal Procedure

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If the informal procedures do not resolve the grievance, the faculty member may initiate the formal grievance procedure. To do so, the faculty member must submit a written grievance statement to the immediate supervisor of the person whose action is the basis for the grievance. The grievance statement must include the following:

- A concise statement of the grievance,
- The adverse action taken by the person whose action is being grieved,
- The effect of the action on the faculty member's employment status, remuneration, or opportunities,
- A description of actions taken thus far to resolve the grievance,
- A description of the responses received, and
- A proposed resolution of the grievance.

Upon receiving the grievance statement, the supervisor will take the steps he or she deems necessary to investigate the grievance and propose a reasonable resolution, or he or she may decide that the grievance is without merit. The supervisor will share with the grievant any relevant information obtained in the course of the investigation and allow the grievant to respond to this information. The information may be shared in redacted form in order to reasonably protect confidentiality. Judgment as to the need to protect confidentiality rests with the Associate Academic Vice President for Faculty. The supervisor will give the faculty member a written decision within 30 calendar days of receipt of the written grievance.

Appeals

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The faculty member may appeal a department chair's or another department-level decision to the dean. The faculty member may appeal a dean's decision (whether an original decision or a decision on an appeal) to the Academic Vice President (AVP). The faculty member must submit any appeal in writing within 20 days after receiving the decision to be appealed. Upon receiving the appeal, the dean or AVP will take the steps he or she deems necessary to investigate and resolve or dismiss the grievance. The dean or AVP will proceed with the investigation and resolution in accordance with the process outlined above (see FORMAL PROCEDURE). Upon completion of the investigation and deliberation by the dean or AVP, the dean or AVP will give the faculty member a written decision. Except when the original grievance is based on an action by the Academic Vice President, the Academic Vice President's decision is final.

Original Grievance Against the Academic Vice President

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If the original grievance is based on an action by the Academic Vice President and is not based on academic freedom, the faculty member must submit a formal grievance statement to the Chair of the Human Resources Committee. The Chair of the Human Resources Committee will proceed with the investigation and resolution of the grievance in the manner outlined above (see FORMAL PROCEDURE). The final decision on the merit of the grievance, and the determination of remedies if the grievance is found to have merit, will be made by majority vote by members of the Committee. The Academic Vice President and the Associate Academic Vice President for faculty will not participate in the decision. In the event the Academic Vice President is the Chair of the Human Resources Committee, the Committee will choose by majority vote a temporary chair to act in matters of the grievance. In such a case, the Human Resources Committee's decision is final.

If the original grievance is based on an action by the AVP and is based on academic freedom, the faculty member must submit the formal grievance statement to the President or the President's designee. In such a case, the decision of the President or the designee will proceed as outlined above (see FORMAL PROCEDURE). The decision of the President or the President's designee is final.

Advice and Assistance

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The faculty member and supervisors may request counsel and assistance from the office of the Associate Academic Vice President for Faculty, the Manager of Faculty Relations, or other trusted advisors or counselors on addressing a grievance. Grievances involving illegal discrimination (e.g., sex, age, religion, race, national origin, etc.) are reported and resolved through the Equal Employment Opportunity office (see the [Sexual Misconduct Policy](#)). The Academic Vice President, or authorized designee, may also request counsel and assistance from members of the Academic Vice President's Council in addressing the grievance.

Confidentiality

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Sensitive information disclosed during the proceedings shall be kept confidential. Except for general announcements about the status of the proceedings and similar matters, both the university and the faculty member shall avoid making public statements about the case to the extent possible until the proceedings have been completed.

Timeliness

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Reasonable efforts will be made to meet the time-lines specified in this policy and to promote timeliness in the process.

Exhaustion of Remedies

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A faculty member shall not initiate civil litigation or civil administrative remedies against the university or its personnel until all the process and remedies provided by this policy have been exhausted.

Non-Retalliation

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Retaliation by the university or its personnel against a faculty member for seeking redress through this policy is prohibited, and is a separate cause for grievance.

THE UNIVERSITY RESERVES THE RIGHT TO DEVIATE FROM THIS POLICY WHEN CIRCUMSTANCES WARRANT.

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University Policies



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Research Misconduct Policy



BYU seeks to foster for faculty and students an innovative environment that promotes responsible scholarly and scientific research. To ensure the integrity of research associated with the university, BYU will conduct an inquiry into all sufficiently credible and specific allegations of research misconduct. This policy identifies the administrative processes for responding to apparent scholarly or scientific research misconduct, regardless of the funding source.

Definitions

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Fabrication means making up data or results and recording or reporting them.

Falsification means manipulating research materials, equipment, or processes, or changing or omitting data or results so that the research is not accurately represented in the research record.

Inquiry means a preliminary information-gathering and fact-finding process.

Investigating Officer means the individual responsible for conducting an Inquiry or Investigation into possible Research Misconduct.

Investigation means formally developing a factual record and examining that record to reach a decision regarding a finding of Research Misconduct.

Plagiarism means appropriating another person's ideas, processes, results, or words without giving appropriate credit.

Reporter means a person who in good faith makes an allegation of Research Misconduct.

Research Misconduct means Fabrication, Falsification, or Plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research Misconduct does not include honest error or differences of opinion.

Respondent means the person against whom an allegation of Research Misconduct is directed or who is the subject of a Research Misconduct proceeding.

Retaliation means an adverse action against a Reporter, witness, or other individual who cooperates in good faith with an Inquiry or Investigation into possible Research Misconduct.

Standards for Conducting Inquiries and Investigations

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When the university becomes aware of possible Research Misconduct, either through a report or the receipt of sufficiently credible information, it will begin an objective and fair procedure to investigate and address the concern.

Confidentiality

Confidentiality is important to protect the professional reputations of those involved in an Inquiry or Investigation into possible Research Misconduct. Accordingly, the disclosure of the identity of Respondents and Reporters in Research Misconduct proceedings will be limited, to the extent possible, to those who need to know. Except as may otherwise be prescribed by law, confidentiality must be maintained for any records or evidence from which research subjects might be identified.

Cooperation

Respondents and other parties are expected to cooperate with Inquires and Investigations into possible Research Misconduct by providing information, research records, and relevant evidence when requested.

Appointment of Investigating Officer

The academic vice president (AVP), in consultation with the associate academic vice president – research and graduate studies (AAVP-R), will appoint an Investigating Officer to conduct the Inquiry and/or Investigation into Research Misconduct. The AVP, in consultation with the AAVP-R, may also appoint a committee to assist with the Inquiry and/or Investigation. The AAVP-R is the university's point of contact for the Investigating Officer.

Objectivity

Inquiries into allegations of Research Misconduct will be conducted fairly and objectively. Investigating Officers must not have any unresolved personal, professional, or financial conflicts of interest with the Reporter, Respondent, or witnesses.

Notices to and Cooperation with Federal Agencies

If an allegation of Research Misconduct involves research funded by a federal agency, the funding agency requires written notice at various points in the Inquiry and Investigation process. The AVP, in consultation with the AAVP-R, is responsible for providing required notices to federal agencies. The Office of the General Counsel will provide guidance on reporting requirements for allegations of Research Misconduct involving federal funds. The university will cooperate with any federal agency having oversight authority into allegations of Research Misconduct and will modify this policy at the direction of a federal agency with jurisdiction over the allegation of Research Misconduct.

Prohibition on Retaliation

Retaliation against an individual who makes a good faith allegation of Research Misconduct is prohibited. Retaliation is also prohibited against individuals participating in an Inquiry or an Investigation into allegations of Research Misconduct. Those responsible for responding to allegations of Research Misconduct will take reasonable steps to protect the positions and reputations of good faith Reporters, witnesses, and other individuals from retaliatory actions.

Standard of Proof

A finding of Research Misconduct requires establishing a significant intentional, knowing, or reckless departure from the accepted practices of the relevant research community by a preponderance of the evidence. The destruction, absence of, or failure to provide research records adequately documenting the questioned research may be evidence of Research Misconduct.

Time Limitation

BYU will investigate all allegations of Research Misconduct for alleged misconduct that occurred within six years of the date of the allegation. BYU may also investigate allegations of Research Misconduct that occurred more than six years before the date of the allegation if the research is continued, renewed, or republished or if the failure to investigate the allegation may have a substantial adverse effect on the health or safety of the public.

Inquiry into Research Misconduct Allegations

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An Inquiry is warranted if an allegation falls within the definition of Research Misconduct and is sufficiently credible and specific that possible evidence of Research Misconduct may be identified. The purpose of an Inquiry is to conduct an initial review of the evidence to determine whether an Investigation is necessary. As a result, an Inquiry does not require a full review of all the evidence related to the allegation. The AAVP-R determines if an Inquiry is warranted.

Notice of Inquiry

At the time of or before beginning an Inquiry, the Investigating Officer will make a good faith effort to notify the presumed Respondent in writing of the allegations and the initiation of the Inquiry. The Investigating Officer will also notify any additional Respondents identified during the Inquiry.

Research Records and Evidence

At the time of or before beginning an Inquiry, the Investigating Officer will take reasonable and practical steps to obtain custody of the research records and evidence needed to conduct the Inquiry. The Investigating Officer will inventory the records and evidence and store them securely. The Investigating Officer will make reasonable and practical efforts to take custody of additional relevant research records or evidence discovered during the Inquiry. The Investigating Officer will also identify any records that have been destroyed pursuant to applicable university retention schedules and are unavailable for purposes of the Inquiry.

When research records or evidence encompass data or materials shared by multiple users, the Investigating Officer may take copies of the data or evidence, so long as those copies have the equivalent evidentiary value as the originals. Where appropriate, the Investigating Officer will give the Respondent copies of—or reasonable, supervised access to—the research records.

Whenever possible, the Investigating Officer must take custody of the records before or at the time the Respondent is notified of the Inquiry or whenever additional records become known or relevant to the Inquiry.

Inquiry Report

At the conclusion of the Inquiry, the Investigating Officer will prepare a written report. The report must include the following information:

- Respondent's name and position
- description of the Research Misconduct allegations
- information regarding federal funding, if any, including grant numbers, grant applications, contracts, and publications listing funding agency support
- results of the Inquiry, including a review of the evidence that provides the basis for recommending or not recommending that the alleged actions warrant an Investigation
- any comments on the report by the Respondent or the Reporter

The Investigating Officer will provide the Respondent with an opportunity to review and comment on the Inquiry report after it has been completed and will attach any comments received from the Respondent to the report. The Investigating Officer may also provide the Reporter with an opportunity to review and comment on the Inquiry report and attach any comments received from the Reporter to the report. Comments from the Respondent and Reporter, if applicable, must be submitted within 10 calendar days of the date on which each received a copy of the Inquiry report.

Timeline for Completing an Inquiry

An Inquiry into a Research Misconduct allegation must be completed within 60 calendar days of its start. This period includes conducting the Inquiry, preparing the Inquiry report, and providing the Inquiry report for comment. If the Investigating Officer is unable to complete the Inquiry in 60 days and circumstances clearly warrant a longer period, the AAVP-R may approve an extension of time in writing after receiving a written request from the Investigating Officer. The Investigating Officer must document the reason for exceeding the 60-day period in the Inquiry record.

Notifications to Respondent and Reporter

After submitting the Inquiry report to the AVP and AAVP-R, the Investigating Officer will notify the Respondent in writing of the results of the Inquiry. The notice must include a copy of the Inquiry report and a copy of or reference to this policy. The Investigating Officer may also notify the Reporter of the results of the Inquiry.

Investigation into Research Misconduct Allegations

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An Investigation is warranted if there is a reasonable basis to conclude that the allegation falls within the definition of Research Misconduct and preliminary information-gathering and fact-finding from the Inquiry indicate that the allegation may have substance. The AVP, in consultation with the AAVP-R, will determine if an Investigation is warranted.

Timeline for Initiating an Investigation

An Investigating Officer will begin the Investigation within 30 calendar days after a determination is made that an Investigation is warranted.

Notice of Investigation

The Investigating Officer will notify the Respondent in writing of the allegations of Research Misconduct within a reasonable amount of time after determining that an Investigation is warranted but before the Investigation begins. The Investigating Officer will give the Respondent written notice of any new allegations of Research Misconduct within a reasonable amount of time after deciding to pursue allegations not addressed during the Inquiry or in the initial notice of Investigation.

Interim Actions

The Investigating Officer will take appropriate interim actions to protect public health, federal funds and equipment, and the integrity of the research process.

Research Records and Evidence

To the extent it has not been done at the Inquiry stage, the Investigating Officer will take reasonable and practical steps to obtain custody of the research records and evidence needed to conduct the Investigation. The Investigating Officer will inventory the records and evidence and store them securely. The Investigating Officer will also make reasonable and practical efforts to take custody of additional relevant research records or evidence discovered during the Investigation.

When research records or evidence encompass data or materials shared by multiple users, the Investigating Officer may take copies of the data or evidence, so long as those copies have the equivalent evidentiary value as the

originals. When appropriate, the Investigating Officer will give the Respondent copies of—or reasonable, supervised access to—the research records.

Whenever possible, the Investigating Officer must take custody of the records before or at the time the Respondent is notified of the Investigation or whenever additional records become known or relevant to the Investigation.

Investigation Process

The Investigating Officer will use diligent efforts to ensure that the Investigation into possible Research Misconduct is thorough, is sufficiently documented, and includes an examination of all research records and evidence relevant to reaching a decision on the merits of the allegations. The Investigating Officer will identify any records that have been destroyed pursuant to applicable university retention schedules and are unavailable for purposes of the Investigation. The Investigating Officer will take reasonable steps to ensure an impartial and unbiased Investigation to the maximum extent practicable, including the participation of persons with appropriate scientific expertise who do not have unresolved personal, professional, or financial conflicts of interest with those involved in the Investigation.

The Investigating Officer, or designee, will interview each Respondent, Reporter, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation, including witnesses identified by the Respondent. The Investigating Officer will record or transcribe each interview, provide the recording or transcript to the interviewee for correction, and include the recording or transcript in the Investigation record.

The Investigating Officer, or designee, will diligently pursue all significant issues and information discovered that are relevant to the Investigation, including any evidence of additional instances of possible Research Misconduct, and will continue the Investigation to completion.

Draft Investigation Report

The Investigating Officer must give the Respondent a copy of the draft Investigation report and, concurrently, a copy of, or supervised access to, the evidence on which the report is based. The Respondent's comments on the draft report, if any, must be submitted within 30 calendar days of the date on which the Respondent received the draft Investigation report. The Investigating Officer may provide the Reporter a copy of the draft Investigation report or relevant portions of that report.

Final Investigation Report

The final Investigation report must be written and include the following:

- description of the nature of the Research Misconduct allegations
- information on federal funding, if any, including any grant numbers, grant applications, contracts, and publications listing federal support
- curriculum vitae for each individual assisting with the Investigation
- policies and procedures under which the Investigation was conducted
- identification and summary of the evidence and records reviewed
- identification and summary of any evidence taken into custody but not reviewed
- identification of any evidence that was unavailable for review because it was destroyed pursuant to applicable university retention schedules
- finding as to whether Research Misconduct did or did not occur for each separate allegation of Research Misconduct identified during the Investigation
- if findings of Research Misconduct are made, additional information that
 - identifies whether the Research Misconduct constituted Falsification, Fabrication, or Plagiarism, and if it was intentional, knowing, or in reckless disregard
 - summarizes the facts and the analysis which support the conclusion and considers the merits of any reasonable explanation by the Respondent
 - identifies the specific federal funding
 - identifies whether any publications need correction or retraction
 - identifies all persons responsible for the misconduct
 - identifies any current support or known applications or proposals for support that the Respondent has pending with federal agencies
- any comments made by the Respondent and Reporter on the draft Investigation report and the consideration of

those comments

- description of any recommended corrective actions and sanctions

Timeline for Completing Investigation

An Investigation into possible Research Misconduct must be completed within 120 calendar days from its start. This period includes conducting the Investigation, preparing the report of findings, and providing the draft report for comment. If the Investigating Officer is unable to complete the Investigation in 120 days, the AAVP-R may approve an extension of time in writing after receiving a written request from the Investigating Officer.

Resolution

Except for research funded by the U.S. Department of Energy, the AVP, in consultation with the AAVP-R, will review the final Investigation report and investigative record (including recommended actions) and determine, in writing, the appropriate corrective actions and sanctions, if any. For research funded by the Department of Energy, the AVP, in consultation with the associate academic vice president for faculty development, will review the final Investigation report and investigative record (including recommended actions) and determine the appropriate corrective actions and sanctions, if any.

Following the conclusion of the Investigation, the AVP and AAVP-R will make reasonable and practical efforts, if requested and as appropriate, to protect or restore the reputation of persons alleged to have engaged in Research Misconduct but against whom no finding of Research Misconduct is made. The AVP and AAVP-R will also make reasonable and practical efforts to protect or restore the position and reputation of any Reporter, witness, or other individual participating in the Investigation and to counter potential or actual Retaliation against them.

Record Keeping

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The Investigating Officer will send the following to University Records and Information Management at the conclusion of an Inquiry or Investigation:

- records secured for the proceeding except to the extent the Investigating Officer determines and documents that those records are not relevant to the proceeding or that the records duplicate other records that are being retained
- documentation regarding the determination that certain records were irrelevant or duplicate
- Inquiry report and final documents (not drafts) produced in the course of preparing the Inquiry report, including the documentation of any decision not to conduct an Investigation
- Investigation report and all records (other than drafts of the report) in support of the Investigation report, including the recordings or transcriptions of each interview conducted

University Records and Information Management will maintain documents sent by an Investigating Officer for seven years.

CONTACT

Brigham Young University
Integrity and Compliance
Office
C-289 ASB
Provo, UT 84602

[801-422-0032](tel:801-422-0032)

University Policies



Contents, Related Policies, Applicability ▾

Sex Offender Investigation and Review Process



If the university becomes aware of facts involving any of its students or employees that would potentially place the student or employee within the ambit of the [Sex Offender Policy](#), the university will open an investigation and take action consistent with the [Sex Offender Policy](#). Investigations in the case of a potential student offender will be handled by the Honor Code Office and will follow the [Honor Code Investigation and Administrative Review Process](#). Investigations on potential administrative or staff employee offenders will be handled by Employee Relations in accordance with the [Administrative and Staff Employee Discipline Policy](#) and [Procedures](#). Investigations on potential faculty offenders will be conducted by Faculty Relations in accordance with the [Faculty Discipline and Termination Policy](#). If the investigating office determines that it is more likely than not that the alleged offender engaged in conduct falling within the [Sex Offender Policy](#), then the office will take the appropriate action as stated in the [Sex Offender Policy](#). Any request for administrative review of the actions taken under the [Sex Offender Policy](#) shall be in accordance with university policy, including the policies mentioned in this paragraph.

In the event that the university becomes aware that an applicant for employment or student admission is alleged to have engaged in conduct falling under the [Sex Offender Policy](#), the applicant's case will be evaluated by the Admissions Office (in the case of a student applicant), by the Employment Office (in the case of an employee applicant), or by Faculty Relations (in the case of a faculty applicant). The investigating office will evaluate the case based on available information and make a determination as to whether the applicant's application should be rejected or may go forward.

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Student Academic Grievance Policy



There may be occasions when a student believes her/his academic work or conduct has been unfairly or inadequately evaluated¹ by the faculty². Usually such differences of opinion can be amicably resolved informally between the student and the faculty member. If not, the following procedures are intended to encourage satisfactory resolution of academic grievances with a minimum of formal procedure

1. The grievance must be initiated by the student no later than four months (120 days) from the last day of the examination period of the semester in which the alleged unfair or inadequate evaluation occurred. A grievance related to restrictions limiting participation in university academic programs must be initiated within 30 days of the decision in question.
2. The student should initially address the grievance in writing to the faculty member or administrator responsible, requesting review and resolution. If the faculty member or administrator is unavailable or if the student has a valid reason to believe the matter will not be dealt with fairly or that retribution may result, the student may submit the grievance directly to the applicable department chair. (The faculty member, administrator, or department chair shall have the right to consult others regarding the matter as reasonably necessary and with due regard for the student's right to privacy under the Family Educational Rights and Privacy Act.)
3. If the grievance is addressed initially to the faculty member, and it is not resolved satisfactorily, the student may submit a written request for further review to the department chair within 30 days of the faculty member's decision.
4. The department chair's decision shall be given in writing to both the student and the faculty member within 30 days after receiving the student's request and all supporting material for review.
5. If the matter is still unresolved, the student may submit a written request for formal review to the dean or director of the applicable college or school within 30 days of the department chair's written decision.
6. If a formal review is requested, the applicable dean or director shall be assisted in reviewing the grievance by a review panel, as described in the following paragraphs.

The dean or director will appoint several individuals associated with the university to serve as an ad hoc review panel. At least two of these individuals must be faculty with continuing faculty status from outside the area of study in which the grievance arose. One of these faculty members will be appointed to chair and conduct the proceedings, which should take place within 30 days after receiving the student's written request for formal review and all supporting materials. Faculty appointed to a panel reviewing a graduate student's grievance must have graduate faculty status.

In reviewing the grievance, the review panel, the affected student, and the affected faculty member are responsible to identify or provide relevant sources of information. The review is intended to be collegial and not adversarial. Accordingly, legal counsel is not allowed to attend nor advocate in the review process. Presentation of the issues should be concise and relevant. The chair of the review panel shall be responsible to conduct the review and establish applicable procedures if such are not available from the dean or director. Any formal presentation should be limited to pertinent issues, and panel members should be allowed sufficient time for questions. Following presentation and discussion of the grievance, the review panel will deliberate in closed session and submit its written recommendation to the dean or director.

The dean or director will determine the resolution of the grievance and give the decision in writing to the student and faculty member within ten days of receipt of the review panel's recommendation. This decision is final and not subject to further appeal, unless it involves termination of a graduate program or termination from the university.

If the matter involves termination of a graduate program and is not resolved to the graduate student's satisfaction, the student may submit a written request for review to the dean of Graduate Studies. The written request for review should contain an outline of the grievance and its disposition, and set forth facts supporting the student's request for review. The request for review must be made within 30 days of the date of the written decision by the dean or director. The dean of Graduate Studies will convene a formal administrative review of relevant matters that have not been resolved at the department or college level. Following the review, the dean of Graduate Studies will make the final

determination.

If the matter involves termination of an undergraduate student from the university for academic reasons or revocation of a degree, the student may submit a written request for review to the academic vice president. The written request for review must contain an outline of the grievance, its prior disposition, and set forth facts supporting the student's request for review. The request for review must be made within 30 days of the date of the written decision by the dean or director. The academic vice president may either make a decision on the matter or delegate the review to an associate academic vice president who will convene an ad hoc review panel to study the issues and prepare a written recommendation for the academic vice president. A written decision by the academic vice president will be sent to the student within 30 days of receipt of the written recommendation of the panel, unless an extension is necessary and all parties are notified of the extension in writing.

¹ Academic evaluations subject to this policy include grading, restrictions limiting participation in university academic programs, dismissal from the university or a university program for academic reasons, actions arising from incidents of academic dishonesty, the withholding and/or revocation of a diploma for academic reasons, and the withholding of or special notation on transcripts for academic reasons. Evaluations relating to admissions to the university, ecclesiastical endorsements, discipline administered by the Honor Code Office, or petitions are not covered by this policy. Persons who believe they have been unlawfully discriminated against or sexually harassed should contact the Equal Opportunity Office.

² For purposes of this policy, "faculty" means any teacher or other individual authorized by the university to academically evaluate students or who has a legitimate need to know regarding the processing and disposition of an academic grievance.

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University Policies



Contents, Related Policies, Applicability ▾

Nepotism Policy



The university operates under a policy of equal opportunity in employment. Job openings are filled by recruiting and hiring qualified applicants without regard to sex, race, national origin, age, or disability. To assist in applying the Nepotism Policy on a fair and equitable basis, the hiring of relatives or near relatives must be carefully administered. In any instances involving potential nepotism, job openings must be listed with the appropriate employment office and be open to all qualified applicants.

Colleges/departments may not employ a person or contract for services with an individual in a position within the administrative scope of control of a near relative. This applies to full-time and part-time personnel (or special employees) (faculty, administrative, staff, temporary, on-call, etc.) including students.

Persons considered near relatives include:

- Parent
- Grandparent
- Spouse
- Child
- Grandchild
- Cousin
- Brother
- Sister
- Uncle
- Aunt
- Niece
- Nephew
- Father-in-law
- Mother-in-law
- Brother-in-law
- Sister-in-law
- Son-in-law
- Daughter-in-law

Near relatives also include those involving step and half relationships, such as stepbrother, stepfather, half brother, half sister, etc.

Hiring departments are urged to counsel with the appropriate university employment office to resolve any cases of possible nepotism before the hiring occurs.

Exceptions

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Some university positions may require several years of professional, technical or specialized training, and a person related to an employee may be the most qualified candidate. When this occurs, all persons involved in the hiring process must be made aware of the potential conflict. Under these circumstances, the appropriate employment office (faculty, staff, or student) may request approval to hire the near relative. If the approval is given, it must explicitly state that the relationship of the affected individuals in the department is recognized and allowed.

In the event one employee assumes a supervisory position over a near relative, the following actions must be followed:

- The next higher person in a line supervisory position must conduct the annual salary review of the near relative. The supervisory near relative should also be consulted.
- Any evaluation made by a supervisor of a near relative should explicitly be reviewed and countersigned by the next higher person in a line supervisory position.

A student may be employed within the administrative scope of control of a near relative if the student is a graduate or upperclassman and disallowing the employment opportunity may preclude the student from having an essential or valuable experience in support of his or her professional growth or major field of study. In cases where this exception is made, the student should not be directly supervised by the near relative.

Requests for any exception must have the prior approval of the department chair and dean or administrative unit director as well as the appropriate member of the President's Council. Exceptions involving full-time employees and student employees related to a member of the President's Council must be approved by the Human Resource Committee.

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BOARDS OF TRUSTEES

CONFLICT OF INTEREST POLICY

This policy is adopted by the Boards of Trustees of Brigham Young University, Brigham Young University-Hawaii, Brigham Young University-Idaho, and LDS Business College (the “educational institutions”).

The First Presidency of The Church of Jesus Christ of Latter-day Saints appoints the members of the Board. History has shown that Board members are men and women of the highest personal standards. Thus, this policy is not designed to intrude into their personal affairs; rather, it is intended to promote disclosure and appropriate management of conflicts of interest.

A conflict of interest arises when a Board member has a personal interest that conflicts with the interests of an educational institution. This includes situations in which a Board member is in a position to influence a decision regarding an educational institution, or to use an educational institution’s resources, in a way that personally and materially benefits the Board member or his or her immediate family. If a conflict of interest arises, the Board member will disclose it to the Board, which will decide how to address the situation. If an issue to be decided by the Board involves a conflict of interest for a Board member, the Board member will be excused from the discussion and will not vote on the issue.

2020 Audit plan per Richard Holt email 10/10/19

BYU				Expected	
Row				Start	Finish
1		December	NCAA Football Attendance - 2019	1/21/2020	1/24/2020
2	IT	January	IT - Patch Management and Versioning Audit	1/21/2020	2/28/2020
3		January	Audit Support - American Association of Presidents of Independent Colleges and Universities (AAPICU) - 2019	2/10/2020	2/21/2020
4	IT	February	Firewalls - Perimeter Network Security		
5	IT	February	CES-SOC (Including Abuse@byu.edu Response Procedures)	2/3/2020	3/31/2020
6		March	External Audit Support - Deloitte 2019 <i>Year-end/Final Student Financial Aid</i>	Nov-19	3/27/2020
7		April	College of Family, Home, and Social Sciences (FHSS) Audit	4/6/2020	5/15/2020
8		April	Athletics - NCAA - Agreed-upon Procedures - 2019	4/27/2020	5/25/2020
9		April	Athletics Financial Compliance Audit	4/13/2020	6/8/2020
10	IT	April	ChromeRiver/Y-Expense System Security Controls	8/24/2020	9/21/2020
11		May	BYU Broadcasting for 2019	5/18/2020	6/29/2020
12		May	BYU Store Cashiering Audit	6/1/2020	6/29/2020
13		June	External Audit Support - PBTk 2019 403(b) Audit	6/15/2020	7/12/2020
14		June	Museum of Art Operational Audit	6/29/2020	8/10/2020
15	IT	July	Infor Point-of-Sale System	Not yet determined	
16		September	BYU Budget Office Audit	9/21/2020	10/12/2020
17		September	Vehicle Fleet Audit	9/14/2020	10/19/2020
18		October	Purchasing Vendor Master File Maintenance Controls	10/12/2020	11/23/2020
19		November	External Audit Support - Deloitte 2020 Interim Student Financial Aid	11/2/2020	11/27/2020
20	IT	November	IT Asset Management & IT Surplus (e.g., \$1,000 - \$5,000)	11/30/2020	12/29/2020
21	IT	November	Y-MarketPlace System	11/16/2020	12/21/2020

		<u>Notes:</u>
Brigham Young University - AAPICU	January	This project needs to be done by the first week of Feb.
BYU-External Audit Assist	Feb/Nov	Deloitte will set the final schedule based on their needs
BYU-Jerusalem Center for Near East Studies	March 1-12	This is an attempt to be out of the way by May 1
* BYU Scholarship/Tuition waivers	May	This is set to be completed in order to have the report available by June.
* BYU-Heath Center Operations	May	
BYU-Fine Arts & Communications - Operational Audit	May	
BYU-Men's Intercollegiate Athletics (NCAA Audit) - AUP	May	
* Brigham Young University 403(b) assistance	June	This timing is set by the external firm (BDO)
BYU - Dining Services	June	
BYU-Housing Operations	June	
* BYU-Facilities Management/CNA	November	This is pushed away from the summer months in order to avoid the busiest work season
* BYU-Payroll	July	
* BYU-Purchasing Processes	July	
* BYU-Treasury Processes	October	
* BYU-Investment controls Review	October	
* BYU-International Student Services	November	
BYU-NCAA Football Ticket Compliance	December	this is intended to evaluate costs and processes used during the summer of 2021 activities
* BYU-Continuing Education/FSY	December	

BRIGHAM YOUNG UNIVERSITY
STATEMENTS OF FINANCIAL POSITION
December 31, 2019 and 2018
(in thousands of dollars)

2019

2018

ORIGINAL DATA REMOVED FOR THIS VERSION

BRIGHAM YOUNG UNIVERSITY
STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2019
(in thousands of dollars)

	Without Donor Restrictions	With Donor Restrictions	2019	2018	Change	Change exclusive of Auxiliary and Investment
Revenues and Other Support						
Tuition and fees, net of scholarships and grants						
Appropriations from a Church affiliate						
Contributions and grants						
Investment income, net						
Auxiliary sales						
Other						
Net assets released from restrictions						
Total Revenues and Other Support						
Expenses						
Education						
Auxiliary						
Administration						
Total Expenses						
Increase in Net Assets before Retirement and Postretirement Plans Adjustment						
Retirement and Postretirement Plans Adjustment						
Increase in Net Assets						
Net Assets Beginning of Year						
Net Assets End of Year						

BYU Accreditation Support Material

September 2, 2020

Role of Ensign Peak Advisors

Ensign Peak Advisors, Inc. (Ensign Peak) is a Utah non-profit corporation formed for religious, charitable and educational purposes to benefit, perform the functions of, and carry out the purposes of the Church of Jesus Christ of Latter-day Saints (the “Church”). Ensign Peak offers a selection of unitized investment funds (the “Funds”) for participation by selected corporations and organizations affiliated with the Church. Ensign Peak does not provide investment advisory, investment management or other services, or investment fund participation to the general public or to taxable affiliates. Furthermore, Ensign Peak is not registered with the Securities and Exchange Commission as an Investment Advisor, nor is it or any fund registered as an Investment Company.

Management of the BYU investments in the Funds is provided by Ensign Peak personnel and by outside, independent management firms and managers under contract with Ensign Peak. Ensign Peak’s employees are not compensated based on the value of or return on any investment or on the number of investments made by any Fund. Ensign Peak does not charge BYU or otherwise receive any brokerage, management, advisory or other fees or commissions in connection with investment activities or for other services performed by Ensign Peak on behalf of BYU.

Because returns are not guaranteed, BYU must be capable of bearing the inherent risk of investing. Accordingly, the BYU Investment Committee is expected to be comprised of qualified personnel who are capable of making sophisticated investment decisions.

BYU looks to Ensign Peak for information and advice regarding investment strategy, portfolio asset allocation and the positions taken by Ensign Peak on behalf of Church affiliates. Ensign Peak personnel are not members of the BYU Investment Committee and do not vote on matters for the committee’s consideration.

Investment Committee Responsibilities

Responsibilities of the Committee are as follows:

1. Establish a prudent investment strategy, including the establishment of asset allocation benchmarks with respective minimum and maximum ranges for each asset class as recommended by Ensign Peak Advisors.
2. Review and approve the execution of investment transactions since the last Committee Meeting.

3. Review and approve balances and transactions for investments not managed by Ensign Peak Advisors.
4. Review investment activity and performance reports provided by Ensign Peak Advisors.
5. Set the spendable income (payout) rate for university true and quasi-endowment accounts, and communicate rates to campus administrators for planning and budgeting purposes.
6. Set the interest rate to be paid on Claim on Cash and Plant Fund Claim on Cash for campus accounts not participating in the University investment pool.
7. Monitor compliance with this Policy and provide information requested by the Church Education System Investment Oversight Committee.
8. Ensure that internal controls are in place and functioning, and ensure that an internal audit is performed annually to test investment function controls.
9. The University encourages donors to make donations without placing investment restrictions on their gifts, so that funds can be invested and administered by Ensign Peak Advisors. When an exception is warranted, however, the Committee is authorized to approve other appropriate investments.
10. The Committee may not directly invest in instruments of companies having significant activities in tobacco, brewing, cola beverages, gambling or adult entertainment.

**LOANS PAYABLE TO
THE CHURCH OF JESUS CHRIST OF LATTER-DAY SAINTS
December 31, 2019**

Schedule A-2 Rollforward

Non-Construction Loans:
Total Investment in Plant Fund
Construction Loans:
Helaman Hall Renovation Phase VII, 3.0% payable monthly through January 2047
Helaman Hall - Subtotal
Heritage Housing Phase I, 2.0% payable monthly through March 2053
Heritage Housing Phase II, 2.0% payable monthly through January 2055
Heritage Housing Phase III, 2.0% payable monthly through December 2056
Heritage Housing Phase IV, 2.0% payable monthly through December 2059
Heritage Hall - Subtotal
Single Student Housing (construction in progress)
Total Investment in Plant Fund
Total Loans Payable to The Church (to Exhibit A)
Other Notes Payable - Endowment Strain Family
Total Notes Payable

INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Trustees
Brigham Young University

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of Brigham Young University (the "University"), which comprise the statement of financial position as of December 31, 2019, and the related statements of activities and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated April 21, 2020.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered the University's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we do not express an opinion on the effectiveness of the University's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

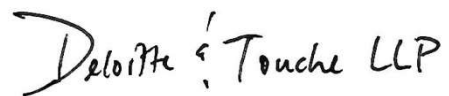
Compliance and Other Matters

As part of obtaining reasonable assurance about whether the University's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance

with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

A handwritten signature in black ink that reads "Deloitte & Touche LLP". The signature is written in a cursive, flowing style.

April 21, 2020

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM AND REPORT ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

Board of Trustees
Brigham Young University

Report on Compliance for Each Major Federal Program

We have audited Brigham Young University's (the "University") compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the University's major federal programs for the year ended December 31, 2019. The University's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditors' Responsibility

Our responsibility is to express an opinion on compliance for each of the University's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the University's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the University's compliance.

Opinion on Each Major Federal Program

In our opinion, the University complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended December 31, 2019.

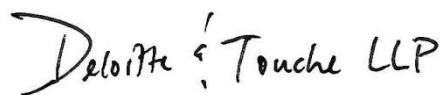
Report on Internal Control over Compliance

Management of the University is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the University's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the University's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

The image shows a handwritten signature in black ink that reads "Deloitte & Touche LLP". The signature is written in a cursive, flowing style.

April 21, 2020

BRIGHAM YOUNG UNIVERSITY

SCHEDULE OF FINDINGS AND QUESTIONED COSTS FOR THE YEAR ENDED DECEMBER 31, 2019

SECTION I—SUMMARY OF AUDITORS' RESULTS

Financial Statements

1. The independent auditors' report on the financial statements expressed an unmodified opinion.
2. No deficiencies were identified in internal control over financial reporting that were considered to be significant deficiencies or material weaknesses.
3. No instance of noncompliance considered material to the financial statements was disclosed by the audit.

Federal Awards

4. No deficiencies were identified in internal control over compliance with requirements applicable to major federal award programs that were considered to be significant deficiencies or material weaknesses.
5. The independent auditors' report on compliance for each major federal program expressed an unmodified opinion.
6. The audit disclosed no compliance findings required to be reported by Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance).
7. The University's major programs were:

Name of Federal Program or Cluster	CFDA Number
Student Financial Assistance Cluster:	
Federal Direct Student Loans	84.268
Pell Grant Program	84.063
8. A threshold of \$3,000,000 was used to distinguish between Type A and Type B programs as those terms are defined in the Uniform Guidance.	
9. The University did qualify as a low-risk auditee as that term is defined in the Uniform Guidance.	

PART II—FINANCIAL STATEMENT FINDINGS AND QUESTIONED COSTS SECTION

None.

PART III—FEDERAL AWARD FINDINGS AND QUESTIONED COSTS SECTION

None.

BRIGHAM YOUNG UNIVERSITY

**SCHEDULE OF PRIOR-YEAR FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED DECEMBER 31, 2019**

None.



BRIGHAM YOUNG
UNIVERSITY

Annual Financial Report

For the years ended
December 31, 2019 and 2018

INDEPENDENT AUDITORS' REPORT

Board of Trustees
Brigham Young University

Report on the Financial Statements

We have audited the accompanying financial statements of Brigham Young University (the "University"), which comprise the statements of financial position as of December 31, 2019 and 2018, and the related statements of activities and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

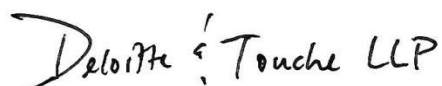
Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the University's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the University's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Brigham Young University as of December 31, 2019 and 2018, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.



April 21, 2020

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BRIGHAM YOUNG UNIVERSITY
STATEMENTS OF FINANCIAL POSITION
December 31, 2019 and 2018
(in thousands of dollars)

2019

2018

ORIGINAL DATA REMOVED FOR THIS VERSION

BRIGHAM YOUNG UNIVERSITY

STATEMENT OF ACTIVITIES

For the Year Ended December 31, 2019

(in thousands of dollars)

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>Total</u>
Revenues and Other Support			
Tuition and fees, net of scholarships and grants			
Appropriations from a Church affiliate			
Contributions and grants			
Investment income, net			
Auxiliary sales			
Other			
Net assets released from restrictions			
Total Revenues and Other Support	<u> </u>	<u> </u>	<u> </u>
 Expenses			
Education			
Auxiliary			
Administration			
Total Expenses	<u> </u>	<u> </u>	<u> </u>
 Increase in Net Assets before Retirement and Postretirement Plans Adjustment			
 Retirement and Postretirement Plans Adjustment	<u> </u>	<u> </u>	<u> </u>
 Increase in Net Assets			
 Net Assets Beginning of Year			
 Net Assets End of Year	<u> </u>	<u> </u>	<u> </u>

See notes to financial statements

BRIGHAM YOUNG UNIVERSITY
STATEMENT OF ACTIVITIES
For the Year Ended December 31, 2018
(in thousands of dollars)

	<u>Without Donor Restrictions</u>	<u>With Donor Restrictions</u>	<u>Total</u>
Revenues and Other Support			
Tuition and fees			
Less scholarships and grants			
Net tuition and fees			
Appropriations from a Church affiliate			
Contributions and grants			
Investment loss, net			
Auxiliary sales			
Other			
Net assets released from restrictions			
Total Revenues and Other Support			
 Expenses			
Education			
Auxiliary			
Administration			
Total Expenses			
 Increase (Decrease) in Net Assets before Retirement and Postretirement Plans Adjustment			
 Retirement and Postretirement Plans Adjustment			
 Increase (Decrease) in Net Assets			
 Net Assets Beginning of Year			
 Net Assets End of Year			

See notes to financial statements

BRIGHAM YOUNG UNIVERSITY
STATEMENTS OF CASH FLOWS
For the Years Ended December 31, 2019 and 2018
(in thousands of dollars)

Cash Flows from Operating Activities

Increase in net assets
Adjustments to reconcile increase in net assets to net cash provided by operating activities
 Depreciation
 Donated assets held as investments
 (Gain) loss on investments, net
 (Increase) decrease in beneficial interest in trusts and pledged contributions, net
 Loss on disposal of land, buildings, and equipment
 Donated and appropriated land, buildings, and equipment
 Contributions restricted for investment in buildings and equipment
 Contributions restricted for investment in donor-restricted endowments
 Investment income restricted for reinvestment
 Other adjustments, net
 Increase (decrease) due to changes in operating assets and liabilities
 Accounts receivable
 Inventories, prepaid expenses, and other assets
 Accounts payable, accrued liabilities, and deposits
 Deferred revenue
 Retirement and postretirement benefits obligation

Net Cash Provided by Operating Activities

Cash Flows from Investing Activities

Proceeds from sale of investments
Purchase of investments
Collection of notes receivable
Disbursement for notes receivable
Proceeds from disposal of land, buildings, and equipment
Purchase of land, buildings, and equipment
Purchase of collections

Net Cash Used by Investing Activities

Cash Flows from Financing Activities

Contributions restricted for investment in buildings and equipment
Contributions restricted for investment in donor-restricted endowments
Other financing activities
 Investment income restricted for reinvestment
 Proceeds from loans and notes payable
 Payments on loans and notes payable

Net Cash Provided (Used) by Financing Activities

Net Increase (Decrease) in Cash

Cash, Beginning of Year

Cash, End of Year

Supplemental Data

Interest paid
Purchases of land, buildings, and equipment in accounts payable

See notes to financial statements

BRIGHAM YOUNG UNIVERSITY

NOTES TO FINANCIAL STATEMENTS

(1) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Brigham Young University (the University), located in Provo, Utah, is a non-profit corporation affiliated with The Church of Jesus Christ of Latter-day Saints (the Church).

Basis of Accounting

The financial statements of the University have been prepared on the accrual basis of accounting in conformity with accounting principles generally accepted in the United States of America.

University net assets are classified into two categories: Without Donor Restrictions and With Donor Restrictions, based on the absence or existence of donor-imposed time or purpose restrictions upon resources provided to the University. When donor restrictions are satisfied, net assets with donor restrictions are reclassified to net assets without donor restrictions, and are reported in the Statement of Activities as net assets released from restrictions. However, if a restriction is fulfilled in the same period in which the contribution is received, the University reports the contribution as without donor restrictions.

Cash

Cash includes cash on hand, cash in depository institutions and cash in an interest bearing cash management account maintained with a Church affiliate (Note 7) that is available on demand and is not covered by federal depository insurance.

Inventories

Inventories are carried at the lower of cost (weighted-average method) or net realizable value.

Investments

Investments with readily determinable fair values are carried at fair value. Investments that have no readily determinable fair value are carried at either original cost or estimated fair value at the date of donation.

Beneficial Interest in Trusts and Pledged Contributions

The University is named as a beneficiary of certain irrevocable trusts. Donors have also made pledges to contribute to the University. Revenues and assets included in the financial statements are based on the net present value of expected proceeds from those trusts and pledged contributions.

Land, Buildings and Equipment

Land, buildings, and equipment are stated at acquisition cost or at estimated fair value at time of donation. Gifts of long-lived assets are treated as support without donor restrictions unless explicit donor restrictions specify otherwise. Depreciation is computed using the straight-line method and the following useful lives:

Buildings	50 years
Improvements	3-40 years
Furniture, fixtures, and equipment	2-25 years
Library books	25 years

Collections

The University maintains several collections, which are not reported for financial statement purposes. These collections include works of art, natural history (living and artifacts), and other similar objects. Collections are held for public exhibition, education and research in furtherance of the University's goal to provide public service. Proceeds from the sale of collection items are held and used to acquire other collection items that are expensed at the time of purchase. Various University departments have the responsibility to control, preserve, and protect these collections.

Revenue Recognition

Tuition and fees revenue is received from students enrolled in degree or continuing education programs. Revenue is recognized within the year in which educational services are provided and is recorded net of scholarships and grants. Payments received in advance of providing services are recorded as deferred revenue.

Appropriations revenue is provided from a Church affiliate (Note 7) to support education, auxiliary and administrative activities. Appropriations revenue is recorded when received, or as costs are incurred for Church affiliate-funded projects.

Contributions and grants revenue includes monetary gifts or gifts-in-kind to support university operations, student aid, and capital projects. Unconditional promises to give to the University are recognized when the promise is formally acknowledged. Conditional promises to give to the University are recognized when the conditions on which they depend are substantially met. Contributions are recorded at fair value at the time gifts are received. Amounts expected to be collected in future years are recorded at the present value of estimated future cash flows. Grants and contracts awarded by governmental and private entities are generally considered nonreciprocal transactions. Resources provided benefit the University, the funding entity's mission, or the public at large. Revenue is recognized according to the conditions of the agreement, usually as qualifying expenditures are incurred and conditions are met. Payments received in advance of conditions being met are recorded as deferred revenue.

Auxiliary sales revenue results from furnishing goods or services to students, faculty, staff, or to the general public. Auxiliary enterprises are managed to operate as self-supporting activities. Auxiliary sales revenue includes dining, housing, student medical services, store sales, event ticket sales, sponsorships, Church affiliate education services and other services. Goods and services revenues are recognized, equal to the applicable exchange consideration, at the time of sale or over the life of the contract as performance obligations are met. Amounts received in advance are recorded as deferred revenues. Auxiliary enterprises may also be supported by appropriations, contributions, and investment income.

Fair Value Measurements

Certain financial instruments and retirement and postretirement plan assets are carried at fair value, as discussed in Notes 9 and 10, respectively.

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. Fair value is based on assumptions that market participants would use, including consideration of non-performance risk.

In determining fair value, the University uses various valuation techniques and prioritizes the use of observable inputs. The availability of observable inputs varies from instrument to instrument and depends on a variety of factors, including the type of instrument, whether the instrument is traded in active markets, and other characteristics particular to the transaction. Equity and fixed income portfolio investments are valued at fair value, based upon the underlying investments, using the net asset values provided by a Church affiliate (Note 7). Equity securities are valued at the closing price reported on the active market on which the securities are traded. Fixed income securities are generally valued using pricing models maximizing the use of observable inputs. Real estate and limited partnership investments are valued at fair value, based upon the underlying investments, using either the published net asset value per unit or the net asset values provided by the general partners, updated as necessary using analytical tools to benchmark returns, appraisals, public market data, and/or inquiry of the general partners.

The University assesses the inputs used to measure fair value using a three-tier hierarchy based on the extent to which inputs used in measuring fair value are observable in the market. Level 1 inputs include quoted prices for identical assets or liabilities in an active market. Level 2 inputs include quoted prices for similar assets and observable inputs such as interest rates, currency exchange rates, commodity rates, and yield curves. Level 3 inputs are not observable in the market and include management's judgments about the assumptions market participants would use in pricing the asset or liability.

Transfers between levels occur when there is a change in the observability of significant inputs. This may occur between Level 1 and Level 2 when the availability of quoted prices changes, or when market activity significantly changes to active or inactive. A transfer between Level 2 and Level 3 generally occurs when the underlying inputs become, or can no longer be, corroborated with observable market data. The University's policy is to recognize all transfers at the end of each reporting period.

Accounting for Retirement and Postretirement Plans

The University recognizes the over/under funded status of retirement and postretirement plans in the statement of financial position. For retirement plans, funding status is measured as the difference between the fair value of plan assets and the projected benefit obligation. For postretirement plans, funding status is measured as the difference between the fair value of plan assets and the accumulated postretirement benefit obligation.

The University also recognizes all previously unrecognized actuarial gains and losses, prior service cost, and transition liability in net assets without donor restrictions and provides all required additional disclosure.

Income Tax Status

The University is exempt from federal and state income tax under Section 501(c)(3) of the Internal Revenue Code. Accordingly, no provision for income taxes is made in the financial statements.

Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, the disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

New Accounting Pronouncements

In May 2014, the Financial Accounting Standards Board (FASB) issued Accounting Standards Update (ASU) 2014-09, *Revenue from Contracts with Customers (Topic 606)*. This ASU implements a single framework for revenue recognition ensuring that revenue is recognized in a manner which reflects the consideration to which the entity is entitled in exchange for goods and services. The University adopted ASU 2014-09 in the current year. Adoption did not materially affect the University's financial statements, but did result in expanded disclosure about the University's sources of revenue in Note 1.

In June 2018, the FASB issued ASU 2018-08, *Not-for-Profit Entities (Topic 958), Clarifying the Scope and the Accounting Guidance for Contributions Received and Contributions Made*. This ASU provides additional guidance for evaluating whether transactions should be accounted for as contributions (nonreciprocal transactions) or as exchange (reciprocal) transactions subject to other guidance, and for determining whether a contribution is conditional or unconditional. The University adopted ASU 2018-08 in the current year. Adoption did not materially affect the University's financial statements.

In March 2017, the FASB issued ASU 2017-07, *Compensation - Retirement Benefits (Topic 715), Improving the Presentation of Net Periodic Pension Cost and Net Periodic Postretirement Benefit Cost*. This ASU requires the service cost component of net periodic benefit cost for pension and other postretirement benefits to be presented as a component of employee benefit expense. The other components of net periodic benefit cost, such as interest, expected return on plan assets, and amortization of other actuarially determined amounts, are required to be presented as a nonoperating change in net assets without donor restrictions or disclosed, if applicable. The University adopted ASU 2017-07 in the current fiscal year. Adoption did not affect the University's financial statements, but did result in expanded disclosure in Note 10.

In August 2018, the FASB issued ASU 2018-13, *Fair Value Measurement (Topic 820), Disclosure Framework - Changes to the Disclosure Requirements for Fair Value Measurement*. This ASU removes and modifies certain disclosures related to fair value measurement. The University early adopted ASU 2018-13 in the current year. Adoption resulted in simplified disclosure in Notes 9 and 10.

In August 2018, the FASB issued ASU 2018-14, *Compensation - Retirement Benefits - Defined Benefit Plans - General (Subtopic 715-20), Disclosure Framework - Changes to the Disclosure Requirements for Defined Benefit Plans*. This standard removes certain disclosures that no longer are considered cost beneficial, clarifies the specific requirements of disclosures, and adds disclosures related to defined benefit pension and other postretirement plans. The University early adopted ASU 2018-14 in the current year. Adoption resulted in simplified disclosure in Note 10.

(2) LIQUIDITY AND AVAILABILITY OF FINANCIAL ASSETS

The University's liquidity needs are met from the following sources: tuition received each semester, monthly Church appropriations for operations, reimbursements from the Church for operating expenses at the Missionary Training Center and Jerusalem Center, funding for Church-supported capital projects as costs are incurred, and contributions received by the University through Philanthropies, a Church affiliate (Note 7). In order to meet additional liquidity needs, the University may redeem investments from its investment portfolios on a monthly basis with a minimum notice period of 5 business days. Excess cash from daily operational needs is managed in cash accounts held by Church affiliates. Excess cash that is not projected to be needed for 90 days or greater is invested in the University's investment portfolios. The investment portfolios are invested with diversification as designated by the University's Investment Committee.

The following reflects the University's financial assets, reduced by amounts not available for general use within one year because of contractual or donor-imposed restrictions, or internal designations. Amounts not available include amounts set aside for long-term investing in the operating and capital reserves that could be drawn upon if the governing board approves that action. The following table presents the availability of financial assets as of December 31, 2019 and 2018 (in thousands of dollars):

Cash
Accounts and notes receivable, net, exchange transactions
Accounts and notes receivable, net, non-exchange transactions
Investments
Beneficial interest in trusts and pledged contributions, net
Total financial assets
Less those unavailable for general expenditure within one year:
Accounts and notes receivable, net
Other investments and other assets
Beneficial interest in trusts and pledged contributions, net
Board-designated endowments, net of projected payout
Endowments, net of projected payout
Reserved for capital projects
Other donor restrictions
Financial assets available to meet cash needs for general expenditures within one year

(3) INVESTMENTS

Investments primarily consist of unitized interests in investment pools managed by a Church affiliate (Note 7). Other investment instruments may range in liquidity from bank checking or certificate of deposit accounts to real property. Investments as of December 31, 2019 and 2018 are as follows (in thousands of dollars):

Investments at fair value:
Time deposits and cash equivalents
Equity portfolios, domestic
Equity portfolios, international
Fixed income portfolios, domestic
Other equity and fixed income investments
Total investments at fair value
Other investments carried at cost or estimated value
at the date of donation:
Equity securities
Real estate
Other assets
Total other investments
 Total investments

(4) BENEFICIAL INTEREST IN TRUSTS AND PLEDGED CONTRIBUTIONS

The University is named as a beneficiary or remainderman for a number of irrevocable charitable remainder trusts. Most of these trusts are administered by a Church affiliate (Note 7). Expected receipts from these trusts and unconditional promises to give, net of allowances for uncollectibility of \$____ and \$____ as of December 31, 2019 and 2018, respectively, determined using discount rates ranging from approximately 1.60 to 5.02 percent, are as follows (in thousands of dollars):

	2019	2018
Less than one year		
One to five years		
More than five years		
 Total beneficial interest in trusts and pledged contributions, net		

(5) LAND, BUILDINGS, AND EQUIPMENT

As of December 31, 2019 and 2018, land, buildings and equipment included (in thousands of dollars):

	2019	2018
Land, buildings, and improvements		
Furniture, fixtures, equipment, and other		
Library books		
Construction in progress		
 Less accumulated depreciation		
 Total land, buildings, and equipment, net		

(6) LOANS AND NOTES PAYABLE

Loans and notes payable consist primarily of unsecured loans extended by a Church affiliate (Note 7) to the University for the acquisition of housing-related facilities. The outstanding balance of loans from a Church affiliate totaled \$ _____ and \$ _____ at December 31, 2019 and 2018, respectively. These loans bear interest at rates ranging from 2.0 to 3.0 percent. Maturity dates range from 2047 to 2060.

The amounts of future principal payments as of December 31, 2019 are (in thousands of dollars):

Years ending December 31,
2020
2021
2022
2023
2024
2025 and thereafter

Total loans and notes payable

(7) RELATED PARTIES

The University operates under the direction of a Board of Trustees (the Board) composed of General Authorities and other officers of the Church. The University is provided certain accounting and other management services and is also included in the property and liability insurance programs of Church affiliates, all at no cost to the University.

The following table reflects balances due to and from or administered through Church affiliates, and activities with or processed by Church affiliates, included in the financial statements as of and for the years ended December 31, 2019 and 2018 (in thousands of dollars):

	<u>2019</u>	<u>2018</u>
Cash		
Accounts receivable		
Investments		
Beneficial interest in trusts and pledged contributions, net		
Accounts payable and accrued liabilities		
Retirement and postretirement benefits obligation		
Loans and notes payable		
Appropriations:		
Operations		
Capital expenditures		
Contributions processed from donors		
Investment income (loss), net		
Auxiliary enterprises sales		
Other revenue - interest		
Expenses:		
Benefit plans		
Products and services		
Interest		

(8) ENDOWMENTS

The University's endowment fund consists of individual donor-restricted endowment funds and funds designated by the Board to function as endowments (board-designated endowments). The net assets associated with endowment funds, including board-designated endowments, are classified and reported based on the existence or absence of donor-imposed restrictions.

The Board has interpreted the adopted Utah "Uniform Prudent Management of Institutional Funds Act" (UPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. As a result of this interpretation, the University classifies as net assets with donor restriction, (a) the original value of gifts donated to the endowment, (b) the original value of subsequent gifts to the endowment, (c) accumulations to the endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund, and (d) the remaining portion of the donor-restricted endowment fund, until those amounts are appropriated for expenditure by the University in a manner consistent with the standard of prudence prescribed by UPMIFA. In accordance with UPMIFA, the University considers the following factors in making a determination to appropriate or accumulate endowment funds:

- The duration and preservation of the fund
- The purposes of the University and the donor-restricted endowment fund
- General economic conditions
- The possible effect of inflation and deflation
- The expected total return from income and appreciation of investments
- Other resources of the University
- The investment policies of the University

Where the Board designates funds without donor restrictions to function as endowments, they remain classified as net assets without donor restrictions. Where the Board designates donor-restricted non-endowment funds to function as endowments, they are classified as net assets with donor restrictions. Board-designated endowments are used to fund management priorities as approved by the board.

The following tables present the University's endowment net asset composition, changes, and classifications as of and for the indicated years (in thousands of dollars):

Endowment Net Asset Composition by Type of Fund as of December 31, 2019

	Without Donor Restrictions	With Donor Restrictions	Total
Donor-restricted endowment funds			
Board-designated endowment funds			
Underwater endowment funds			
Total endowment funds			

Changes in Endowment Net Assets for the year ended December 31, 2019

Endowment net assets, beginning of year	
Investment income, net	
Contributions and other revenue	
Appropriation for expenditure	
Reclassifications	
Other changes:	
Transfers to/from board-designated endowment funds, net	
Endowment net assets, end of year	

Endowment Net Asset Composition by Type of Fund as of December 31, 2018

Donor-restricted endowment funds	
Board-designated endowment funds	
Underwater endowment funds	
Total endowment funds	

Changes in Endowment Net Assets for the year ended December 31, 2018

Endowment net assets, beginning of year	
Investment loss, net	
Contributions and other revenue	
Appropriation for expenditure	
Reclassifications	
Other changes:	
Transfers to/from board-designated endowment funds, net	
Endowment net assets, end of year	

Description of Endowment Net Assets With Donor Restriction

	2019	2018
The portion of perpetual endowment funds required to be retained permanently either by explicit donor stipulation or UPMIFA		
The portion of perpetual endowments subject to a time restriction under UPMIFA, net of underwater amount		
Without purpose restrictions		
With purpose restrictions		
Term endowment funds		
Total endowment funds classified as net assets with donor restriction		

Endowment Funds with Deficits

From time to time, the fair value of assets associated with individual donor endowment funds may fall below the value of the initial and subsequent donor gift amounts (deficit). When donor endowment deficits exist, they are classified as a reduction of net assets with donor restrictions. The following table presents total endowments with deficits, as reported in net assets with donor restriction, as of December 31, 2019 and 2018, respectively (in thousands of dollars):

Total original gift amount
Less total fair value
Total underwater amount

Return Objectives and Risk Parameters

The University has adopted endowment investment and spending policies that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of endowment assets. Under this policy endowment assets are invested in a manner that is intended to yield a long-term rate of return of approximately 6.0 to 7.0 percent annually, while assuming a moderate level of investment risk. Actual returns in any given year may vary from this amount.

Strategies Employed for Achieving Investment Objectives

To achieve its long-term rate of return objectives, the University relies on a total return strategy in which investment returns are achieved through both capital appreciation (realized and unrealized gains) and current yield (interest and dividends). The University targets a diversified asset allocation that places greater emphasis on equity-based investments to achieve its long-term objectives within prudent risk constraints.

Relationship of Spending Policy to Investment Objectives

The University's Investment Committee (the Committee) determines the method to be used to appropriate endowment funds for expenditure. The appropriation amount is determined as of the end of the year, one year prior to when it becomes available for expenditure, and is approved up to 5.0 percent of the preceding twelve quarters' average ending fair value. In establishing this method, the Committee considered the range of the expected long-term rate of return on the investment of the University's endowment funds. Accordingly, over the long-term, the University expects the current spending policy to allow its endowment to grow at an average of 2.0 to 2.5 percent annually, consistent with its intention to maintain the purchasing power of the endowment assets as well as to provide additional real growth through new gifts. Depending upon market conditions and the needs and available resources of the University, appropriations for expenditure from individual endowments may be temporarily suspended to facilitate preservation of the endowment.

(9) FINANCIAL INSTRUMENTS AT FAIR VALUE

Certain financial instruments of the University are reported at fair value and are either categorized into a three-level hierarchy based on the nature of the inputs to the valuation technique, or presented as investments measured at net asset value per share, as discussed in Note 1. The following tables present these financial instruments as of December 31, 2019 and 2018 (in thousands of dollars):

	Fair Value Measurements as of December 31, 2019			
	Level 1	Level 2	Level 3	Total
Time deposits and cash equivalents				
Equity and fixed income investments				
Investments measured at net asset value per share				
Total investments				
Beneficial interest in trusts				
Total assets carried at fair value				
Time deposits and cash equivalents				
Equity and fixed income investments				
Investments measured at net asset value per share				
Total investments				
Beneficial interest in trusts				
Total assets carried at fair value				

The following table summarizes selected changes in Level 3 financial instruments measured at fair value for the years ended December 31, 2019 and 2018 (in thousands of dollars):

	Fair Value Measurements Using Significant Unobservable Inputs	
	2019	2018
Purchases		
Transfers into (out of) Level 3		

The fair value of the beneficial interests in trusts is based upon the income approach. Significant inputs include the fair value of the trust assets, the discount rate, the annual amounts paid to the donor, and the estimated date of payout (Note 4).

Investments measured at net asset value per share consist of unitized interests in investment pools managed by a Church affiliate (Note 7). The University has no unfunded commitments, and may redeem these investments on a once monthly basis, at the month-end net asset value, with a minimum notice period of 5 business days, except for private equity funds of \$_____ and \$_____ as of December 31, 2019 and 2018, respectively, that have an indeterminate holding life and are considered illiquid. The following table presents the fair value of these investments, as of December 31, 2019 and 2018 (in thousands of dollars):

Fair Value Measurements of Investments
Measured at Net Asset Value Per Share

Equity portfolios, domestic
Equity portfolios, international
Fixed income portfolios, domestic
Total investments measured at net asset value per share

Domestic and international equity portfolios consist of funds that invest in the common stock of either large, mid, or small-cap companies and are generally designed to either replicate the performance of an index or outperform an index through active security selection. Domestic equity portfolios also include private equity funds, which invest in small developing firms with sizeable growth opportunities, carry substantial risk, and have liquidity limitations. Fixed income portfolios consist of funds that invest in either U.S. government or corporate debt securities, each with a targeted duration.

(10) RETIREMENT AND POSTRETIREMENT PLANS

The University is a participating employer within the Master Retirement Plan administered by a Church affiliate (Note 7). The retirement plan is a noncontributory defined benefit plan that covers substantially all full-time employees of the University.

The University is also a participating employer within the Retiree Medical and Life Plan, administered by a Church affiliate. Through this plan, the University provides a postretirement benefit plan that provides a fixed monthly dollar benefit toward the purchase of medical and life insurance for retired employees. Participating retirees pay the difference between the fixed amounts and the total premium rates. The University recognizes the estimated cost of these postretirement benefits during the years employees provide service. At the time it adopted this method, the University elected to recognize the cumulative effect of the postretirement benefit obligation over a period of twenty years.

Retirement and postretirement plan information presented below represents the University's proportionate share of the Master Retirement Plan and the Retiree Medical and Life Plan (the Plans), respectively.

The following table shows the funding status and the related amounts recognized in the Statements of Financial Position as of December 31, 2019 and 2018 (in thousands of dollars):

Retirement Plan		Postretirement Plan	
2019	2018	2019	2018

The following table provides information relating to the retirement and postretirement plans as of and for the years ended December 31, 2019 and 2018 (in thousands of dollars):

	Retirement Plan		Postretirement Plan	
	2019	2018	2019	2018
Selected changes in plan assets:				
Employer contributions				
Plan participants' contributions				
Benefits paid				
Accumulated amounts reflected in the Statements of Financial Position:				
Net loss				
Prior service cost				
Amount in net assets without donor restrictions				
(Prepaid) accrued retirement/postretirement cost				
Retirement/postretirement liability				
Periodic benefit cost and other amounts recognized in net assets without donor restrictions reflected in the Statements of Activities:				
Benefit cost*				
Net loss (gain)				
Prior service credit				
Other amounts recognized in net assets without donor restrictions				
Total benefit cost and other amounts recognized in net assets without donor restrictions				

The Plans experience demographic changes from assumptions used during the prior year and could have benefit obligation transfers between related entity participants in the Plans. The Plans also include assumptions for discount rate, mortality table, and salary scale which changed. For the postretirement plan, assumptions for base cost and trend, and Cadillac tax cost also changed. The table below shows the effect upon plan (gains) and losses for the year ended December 31, 2019 due to demographic and assumption changes:

	<u>Retirement Plan</u> <u>Effect on benefit obligation</u>	<u>Postretirement Plan</u> <u>Effect on benefit obligation</u>
Demographic changes		
Obligation transfer		
Demographic data		
Total demographic change		
Assumption changes		
Discount rate		
Mortality		
Salary scale		
Base cost and trend		
Cadillac tax cost		
Total assumption change		

For the years ended December 31, 2019 and 2018, the following weighted-average assumptions were used in accounting for the Plans:

	<u>Retirement Plan</u>	<u>Postretirement Plan</u>
	<u>2019</u>	<u>2018</u>
Benefit obligation:		
Discount rate		
Rate of compensation increase		
Net periodic benefit cost:		
Discount rate		
Expected return on plan assets		
Rate of compensation increase		

Postretirement benefits are fixed dollar amounts which might be adjusted in the future. For December 31, 2019 valuations, a 6.8% (6.5% for Medicare supplement) annual rate of increase in the per capita cost of covered health care benefits was assumed for 2020; the rate was assumed to decrease gradually going forward to 5.7% (6.0% for Medicare supplement) for 2029, and will continue to decrease until it reaches its ultimate level in 2076 at 3.9% (3.9% for Medicare supplement). For December 31, 2018 valuations, a 7.2% (6.0% for Medicare supplement) annual rate of increase in the per capita cost of covered health care benefits was assumed for 2019; the rate was assumed to decrease gradually going forward to 5.7% (6.2% for Medicare supplement) for 2028, and will continue to decrease until it reaches its ultimate level in 2075 at 3.8% (3.8% for Medicare supplement).

According to investment policy, the Plans have established long-term strategic asset allocation targets and ranges, as shown below.

For 2019 and 2018, the 5.0% expected long-term return assumption on plan assets, shown below, was based primarily on forecasted returns for the next ten years by asset category, weighted by the asset allocation target.

For the year 2019, the asset classes were defined as follows:

	Asset Allocation		Expected Return	
	Target	Range	Weighting	Category Return
Asset category:				
Domestic equity securities				
International equity securities				
Debt securities				
Real estate				
Private equities				
Non-investment grade debt				
Hybrid equities				
Real Assets				
Value from active management				
Weighted-average return				

For the year 2018, the asset classes were defined as follows:

Asset category:
Domestic equity securities
International equity securities
Debt securities
Real estate
Private equities
Non-investment grade debt
Hybrid equities
Value from active management
Weighted-average return

* This Weighting and Category Return includes Non-investment grade debt, and Hybrid equities

The Plans set long-term strategic asset allocation target ranges and then use tactical asset allocation and active management with the intent of providing additional return. The investment policies have been designed to provide for the potential of reasonable long-term performance, yet control the magnitude of risk by setting policy ranges for asset allocation, domestic equity capitalization weighting, domestic equity active management exposure, derivatives exposure, and fixed-income quality.

The financial instruments of the Plans are reported at fair value and are either categorized into a three-level hierarchy based on the nature of the inputs to the valuation technique, or presented as investments measured at net asset value per share, as described in Note 1.

The tables below present the fair value of the Master Retirement Plan assets as of December 31, 2019 and 2018 (in thousands of dollars), of which the University's share was 26.48% and 26.48% as of the respective dates:

	Fair Value Measurements as of December 31, 2019			
	Level 1	Level 2	Level 3	Total
Cash and cash equivalents, net of accruals				
Investments:				
U.S. government securities				
Corporate debt securities, domestic				
Corporate debt securities, international				
Mutual funds				
Common stocks, domestic				
Common stocks, international				
Preferred stocks				
Government agency mortgage-backed securities				
Private mortgage-backed securities				
Derivatives				
Investments measured at net asset value per share				
Net Master Retirement Plan assets				

Cash and cash equivalents, net of accruals

Investments:

 U.S. government securities

 Corporate debt securities, domestic

 Corporate debt securities, international

 Mutual funds

 Common stocks, domestic

 Common stocks, international

 Preferred stocks

 Government agency mortgage-backed securities

 Private mortgage-backed securities

 Derivatives

Investments measured at net asset value per share

Net Master Retirement Plan assets

The tables below present the fair value of the Retiree Medical and Life Plan assets as of December 31, 2019 and 2018 (in thousands of dollars), of which the University's postretirement plan's share was 25.85% and 25.99% as of the respective dates:

	Fair Value Measurements as of December 31, 2019			
	Level 1	Level 2	Level 3	Total
Cash and cash equivalents, net of accruals				
Investments:				
U.S. government securities				
Corporate debt securities, domestic				
Corporate debt securities, international				
Mutual funds				
Common stocks, domestic				
Preferred stocks				
Government agency mortgage-backed securities				
Derivatives				
Investments measured at net asset value per share				
Net Retiree Medical and Life Plan assets				

Cash and cash equivalents, net of accruals

Investments:

 U.S. government securities

 Corporate debt securities, domestic

 Corporate debt securities, international

 Mutual funds

 Common stocks, domestic

 Preferred stocks

 Government agency mortgage-backed securities

 Derivatives

Investments measured at net asset value per share

Net Retiree Medical and Life Plan assets

The following tables provide selected changes in the Level 3 Master Retirement Plan assets for the years ended December 31, 2019 and 2018 (in thousands of dollars):

Assets at fair value	Changes in Level 3 Financial Assets Year Ended December 31, 2019		
	Purchases	Transfers In	Transfers Out
Corporate debt securities, domestic			
Common stocks, international			
Government agency mortgage-backed securities			
Private mortgage-backed securities			
Derivatives			
Total Assets at fair value			

Assets at fair value
Corporate debt securities, domestic
Total Assets at fair value

The following table provides selected changes in the Level 3 Retiree Medical and Life Plan assets for the year ended December 31, 2019 (in thousands of dollars). There is no such table for 2018 as there were no Level 3 assets in 2018.

Assets at fair value
Corporate debt securities, domestic
Total Assets at fair value

The University expects to contribute \$ _____ to its retirement plan and \$ _____ to its postretirement plan during the year ending December 31, 2020.

As of December 31, 2019, the following benefit payments, which reflect expected future service, are expected to be paid (in thousands of dollars):

Years ending December 31,
2020
2021
2022
2023
2024
2025-2029

The University also participates in supplementary defined contribution retirement plans. The plans are qualified retirement savings money purchase 401(a), 401(k), or Tax Sheltered Annuity 403(b) plans. The plans cover substantially all full-time employees. These plans are provided through a Church affiliate and TIAA. Employees can contribute a portion of their salaries, not to exceed Internal Revenue Service limits, in qualified programs offered through these companies. For included classes of employees, the University contributes a percentage of employee salary to the Church affiliate, which during the years ended December 31, 2019 and 2018, totaled \$___ and \$____, respectively. Effective January 1, 2021, new-hire full-time employees will be eligible to participate in an expanded defined contribution retirement plan. For those employees, participation in the Master Retirement Plan will not be offered. Full-time employees hired prior to January 1, 2021 will continue to be eligible for participation in the current defined benefit and defined contribution plans.

(11) NATURAL CLASSIFICATION OF EXPENSES

The University presents expenses on its Statements of Activities by functional classification. Its primary function is to provide Education services, including instruction and academic support, research and creative work, and student support. Other functions include Auxiliary and Administration, which support the University's primary mission. Each functional classification includes expenses presented below by natural classification. Operation and maintenance costs are allocated to functional categories primarily on the basis of occupied square footage. The following tables present these expenses for the years ended December 31, 2019 and 2018 (in thousands of dollars):

	For the year ended December 31, 2019			
	<u>Education</u>	<u>Auxiliary</u>	<u>Administration</u>	<u>Total</u>
Salaries				
Benefits				
Total compensation				
Materials and supplies				
General and administrative				
Travel				
Media, software, equipment				
Physical facilities				
Depreciation				
Cost of sales				
Interest				
Other				
Total expenses				

	For the year ended December 31, 2018			
	Education	Auxiliary	Administration	Total
Salaries				
Benefits				
Total compensation				
Materials and supplies				
General and administrative				
Travel				
Media, software, equipment				
Physical facilities				
Depreciation				
Cost of sales				
Interest				
Other				
Total				

(12) COMMITMENTS AND CONTINGENCIES

The University has commitments for construction projects totaling \$ _____ as of December 31, 2019. Of this amount, \$ _____ has been approved to be reimbursed by a Church affiliate and is expected to be received as costs are incurred.

The University has been named as a defendant in certain lawsuits. Other potential claims are pending. While the University cannot predict the results of these actions, management believes, based in part on the advice of in-house legal counsel, that any contingent liability resulting from such litigation and claims will not have a material effect on the University's operations or financial position. Financial responsibility for liability losses is assumed by a Church affiliate.

(13) SUBSEQUENT EVENTS

The University has evaluated subsequent events for the period after December 31, 2019 through April 21, 2020, the date financial statements were available to be issued. On March 11, 2020, the World Health Organization declared the global outbreak of the novel corona virus (COVID-19) as a pandemic. The spread of COVID-19 has caused significant volatility in financial markets and the overall global economy. The resolution and impact of these ongoing events is highly uncertain. The University has implemented precautionary measures to continue its operations consistent with the guidance of local and national governmental leaders. Accordingly, the University is unable to predict to what extent the pandemic response may impact the subsequent financial results and operations of the University, or those of benefit plans in which it is a participating employer. No other events have been identified that would have a material effect on the financial statements.

2.E.1 5

Tuition and fees, educational, and auxiliary revenue for undergraduate and graduate enrollments

For the year ended December 31, 2019

(in thousands of dollars)

Revenue

ORIGINAL DATA REMOVED FOR THIS VERSION

Significant Grants and Contracts for 2019

Grant and Contract Revenue \$ *

*There were no grants or contracts in 2019 greater than 3% of total grant and contract revenue.

ORIGINAL DATA REMOVED FOR THIS VERSION

Brigham Young University
Endowment Payout Rates and Returns
For the Five Years Ending December 31, 2019
(\$ in Thousands)

	2019	2018	2017	2016	2015	2014
Expected long-term rate of return						
Less retention for inflation and growth						
Target payout rate						
Beginning endowment asset balance						
Donations & transfers						
Investment income						
Appropriated for expenditure						
Ending endowment asset balance						
Endowment investments rate of return						
Endowment payout rate						
Three-year moving average rate of return						
Three-year moving average payout rate						

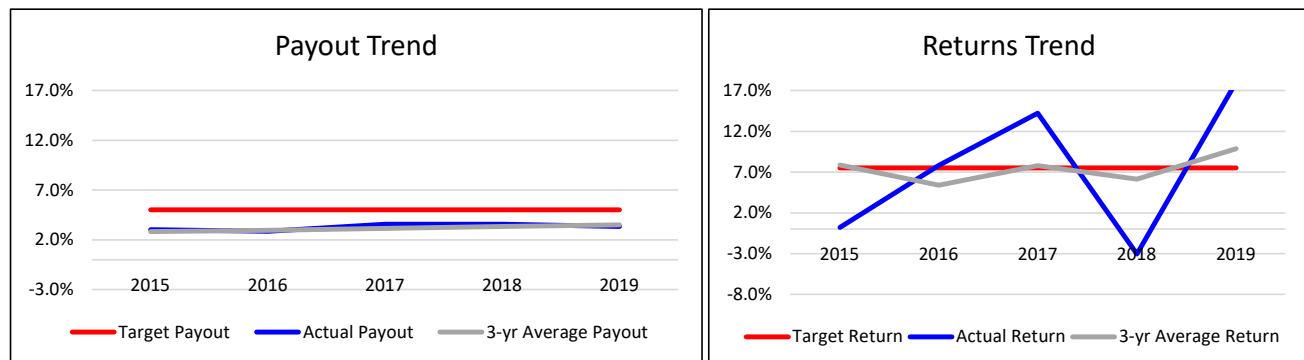
ORIGINAL DATA REMOVED
FOR THIS VERSION

Describe the methodology used to determine how much to pay out from endowments

Payout for existing endowments is calculated using a 12-consecutive-quarter average market value ending 5 quarters before spending is planned. This timing is required to coincide with the annual University Resource Planning (budgeting) cycle. In rare instances, consistent with the terms of the endowment, a new endowment may be granted by the University's President to allocate payout for the year immediately following its creation. Similarly, the payout for an existing endowment with a recent major capital addition may also be adjusted by permission of the University President. In either case, a payout should only be made if the market value of the endowment exceeds the original principal contribution. Under no conditions should the payout amount of a new endowment exceed the market appreciation or the payout rate.

Describe the methodology used to determine how much to pay out from underwater funds

Generally, underwater endowments are not permitted to have a payout until the market value of the principal investment assets is greater than the principal contribution. Exceptions may be approved only by the University President, consistent with the terms of the endowment agreement.



Total Philanthropies Gifts Breakdown

2019

	Other	Property	Securities	Deferred	Cash	Total
January	\$		\$		\$	
February	\$					
March	\$					
April	\$					
May	\$					
June	\$					
July	\$					
August	\$					
September	\$					
October	\$					
November	\$					
December	\$					
Philanthropies	\$					

Philanthropies Adjustments (Copy the formula from the previous months adjustment file and adjust the formula cell ranges) Watch Tender Changes

January Adjustments			\$			
February Adjustments						
March Adjustments						
April Adjustments						
May Adjustments	\$		\$			
June Adjustments						
July Adjustments						
August Adjustments						
September Adjustments						
October Adjustments						
November Adjustments						
Prior period adjustment 7/19						
December Adjustments						
Total Adjustments	\$					
Philanthropies Adjusted Total	\$					

Contribution and Grant Revenue Detail for the year ended December 31, 2019

(in thousands of dollars)

Grant and Contract Revenue	\$
Contributions	\$
Gift and Gift in Kind Reclass	\$
Other Adjustments	\$
Total Contributions and Grants	\$

From the Statement of Activities in the Financial Statements

Investment Income, net for the year ended December 31, 2019
(in thousands of dollars)

From Note 3 of the Financial Statements

Investments primarily consist of unitized interests in investment pools managed by a Church affiliate (Note 7). Other investment instruments may range in liquidity from bank checking or certificate of deposit accounts to real property. Investments as of December 31, 2019 and 2018 are as follows (in thousands of dollars):

	<u>2019</u>	<u>2018</u>
Investments at fair value:		
Time deposits and cash equivalents		
Equity portfolios, domestic		
Equity portfolios, international		
Fixed income portfolios, domestic		
Other equity and fixed income investments		
Total investments at fair value		
Other investments carried at cost or estimated value		
at the date of donation:		
Equity securities		
Real estate		
Other assets		
Total other investments		
Total investments		

ORIGINAL DATA REMOVED FOR THIS
VERSION

Investment Committee

The Investment Committee establishes the university's investment strategy and provides direction in managing the university's investable funds and other assets.

Charter:

[Investment Committee \(https://committee.byu.edu/system/files/2020-10-01%20Investment%20Policy%20and%20Investment%20Committee%20Charter.pdf\)](https://committee.byu.edu/system/files/2020-10-01%20Investment%20Policy%20and%20Investment%20Committee%20Charter.pdf)

Responsible Officer:

Steve Hafen, Administration Vice President and CFO

Chair:

Steve Hafen, Administration Vice President and CFO

Secretary:

Dane Larsen, Manager Treasury Services

Members:

- Doug Belliston, Assistant Administration VP Finance
- Brian H. Boyer, Faculty Representative
- Scott Condie, Faculty Representative
- David Paul, University Treasurer
- Kevin Worthen, University President

BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

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Brigham Young University
Investment Policy and Investment Committee Charter
Effective October 1, 2020

Investment Committee Authorization and Composition

On May 3, 1995, the Board of Trustees/Education approved the establishment of a CES Investment Oversight Committee “to review the ongoing investment operations of each organizational unit within the Church Educational System...” The Investment Oversight Charter authorized “the formation and operation of a unit investment committee at each (CES) institution to prudently invest resources to achieve investment objectives established by the unit investment committees.”

The BYU Investment Committee (Committee) consists of the following members:

- President of the University
- Administration Vice President and Chief Financial Officer, Chair of the Committee
- University Treasurer
- Assistant Administration Vice President, Finance
- Up to three (3) qualified Faculty Members, as appointed by the University President
- A non-voting Committee Secretary to take minutes of the meetings and assist with other administrative duties

The Committee conducts quarterly meetings, unless four members are not available to constitute a quorum. The Committee is required to meet at least twice per year.

Investment Committee Responsibilities

Responsibilities of the Committee are as follows:

1. Establish a prudent investment strategy, including the establishment of asset allocation benchmarks with respective minimum and maximum ranges for each asset class as recommended by Ensign Peak Advisors.
2. Review and approve the execution of investment transactions since the last Committee Meeting.
3. Review and approve balances and transactions for investments not managed by Ensign Peak Advisors.
4. Review investment activity and performance reports provided by Ensign Peak Advisors.
5. Set the spendable income (payout) rate for university true and quasi-endowment accounts, and communicate rates to campus administrators for planning and budgeting purposes.
6. Set the interest rate to be paid on Claim on Cash and Plant Fund Claim on Cash for campus accounts not participating in the University investment pool.

7. Monitor compliance with this Policy and provide information requested by the CES Investment Oversight Committee.
8. Ensure that internal controls are in place and functioning, and ensure that an internal audit is performed annually to test investment function controls.
9. The University encourages donors to make donations without placing investment restrictions on their gifts, so that funds can be invested and administered by Ensign Peak Advisors. When an exception is warranted, however, the Committee is authorized to approve other appropriate investments.
10. The Committee may not directly invest in instruments of companies having significant activities in tobacco, brewing, cola beverages, gambling or adult entertainment.

Role of Ensign Peak Advisors

Ensign Peak Advisors, Inc. (Ensign Peak) is a Utah non-profit corporation formed for religious, charitable and educational purposes to benefit, perform the functions of, and carry out the purposes of the Church of Jesus Christ of Latter-day Saints (the “Church”). Ensign Peak offers a selection of unitized investment funds (the “Funds”) for participation by selected corporations and organizations (“Selected Entities”) affiliated with the Church. Ensign Peak does not provide investment advisory, investment management or other services, or investment fund participation to the public or to taxable affiliates. Furthermore, Ensign Peak is not registered with the Securities and Exchange Commission as an Investment Advisor, nor is it or any fund registered as an Investment Company.

Management of the investments in the Funds is provided by Ensign Peak personnel and by outside, independent management firms and managers under contract with Ensign Peak. Ensign Peak’s employees are not compensated based on the value of or return on any investment or on the number of investments made by any Fund. Ensign Peak does not charge Fund participants or otherwise receive any brokerage, management, advisory or other fees or commissions in connection with investment activities or for other services performed by Ensign Peak on behalf of any Selected Entity.

As the manager of the Church investment portfolio, Ensign Peak reserves the right to modify or terminate specific funds based on changes to underlying economic or regulatory considerations. Because returns are not guaranteed, BYU must be capable of bearing the inherent risk of investing. Accordingly, the Committee is expected to be comprised of qualified personnel who are capable of making sophisticated investment decisions.

BYU looks to Ensign Peak for information and advice regarding investment strategy, portfolio asset allocation and the positions taken by Ensign Peak on behalf of Church affiliates. The performance of peer institutions in higher education is a helpful benchmark, while the strategy of the Church is important in understanding the Board of Trustees’ tolerance for risk.

Ensign Peak personnel are not members of the Committee and do not vote on matters for Committee consideration.

Asset Allocation and Ranges

Asset allocation for the BYU Investment Pool (the Pool) is made among fund options offered by Ensign Peak. They are based on a variety of conceptual and strategic considerations, including policies and practices of other institutions of higher education, the investment practices employed by Church affiliates, the perception of the Committee of the Board of Trustees' tolerance for risk, and the impact that allocations decisions might have on the University's ability to attract future donations and satisfy donor expectations.

Based on these considerations, the following percentages comprise the strategic asset allocations for the Pool. The allocations are long-term guidelines, with acceptable variations within the Min and Max bounds, as specified below, for normal market movements prior to re-balancing.

Asset Allocation	Category <u>Allocation</u>	<u>Range</u>	
		<u>Min</u>	<u>Max</u>
Cash	0%	0%	4%
Fixed Income	35%	30%	40%
Equity	<u>65%</u>	60%	70%
Total	100%		
Equity			
US Large Cap Equity	30%	27%	33%
Ensign Peak S&P 500 Index	20%	16%	24%
US Small/Mid Cap Equity	15%	12%	18%
International Equity	20%	17%	23%
Private Equity	<u>15%</u>	9%	21%
Total Equity	100%		
Fixed Income			
Short-term Bond Fund	30%	16%	44%
Intermediate-term Bond Fund	60%	54%	66%
Long-term Bond Fund	<u>10%</u>	0%	20%
Total Fixed Income	100%		

Allocation for Private Equity

The portfolio allocation percentage for private equity, above, represents the actual capital invested in private equity funds. Because commitments to private equity funds generally exceed actual capital calls, BYU's actual value plus unfunded commitments will usually exceed the mid-way point of the range.

Ensign Peak Advisors will provide a comprehensive report to the Investment Committee regarding the private equity investment program on an annual basis. In addition to performance, this report will include commitments entered into, capital calls made, unfunded commitments, and distributions received. This report will assist the Investment Committee in determining the strategic direction and participation levels desired for private equity for the coming year. Ensign Peak will then manage the private equity position for BYU in line with the Investment Committee direction and in harmony with the asset allocation targets established.

Because private equity assets are not marked-to-market as frequently as public markets, it is possible to have exposures fall outside of the target band when there are rapid and large moves in the public markets. This usually resolves itself within a year or two. Furthermore, because of the long-term commitments with this asset class, it can take longer to rebalance this segment of the portfolio. For this reason, we have a wider acceptable band than for other equity options.

Rebalancing

In the absence of tactical deviations, re-balancing to the strategic allocations will take place as actual market values approach the maximum or minimum range boundaries, or when directed by the Committee. The Committee may also direct that re-balancing take place on a periodic schedule, such as quarterly, and will delegate this rebalancing activity to Ensign Peak Advisors. By policy, additions to the Pool will be invested in asset classes as needed to bring the total portfolio closer to the stated benchmark allocations.

Benchmarks

The performance of the various funds will be measured on both an absolute and benchmark relative basis. The benchmark for the various asset classes are:

<u>Asset Class</u>	<u>Benchmark</u>
US Large Cap Equity	S&P 500
Ensign Peak S&P 500	S&P 500
US Small/Mid Cap Equity	S&P 1000
International Equity	MSCI ACWI ex-US IMI
Private Equity	Cambridge US Private Equity
Long-term Bond	B of A Corporate/Government 10+ Year
Intermediate-term Bond	B of A Corporate/Government

Risk and Expected Return

At least once per year, the Committee will review updated information comparing the relationship between the expected return of the Investment Pool and the risk of the underlying investment portfolio. This information should be prepared by Ensign Peak using well-established industry practices for determining risk forecasts, expected returns, and correlation of expected returns among asset classes.

Performance

The return performance of the various Ensign Peak Funds will be monitored and reported on both a total and benchmark-relative basis to determine if investment objectives are being met within an acceptable level of risk. Performance returns will be reported over a variety of time horizons, as requested.

True and Quasi-Endowment Spendable Income (Payout)

The Committee establishes the true and quasi-endowment spendable income (payout) rate for the University. The payout rate is used to determine the portion of an endowment's total return that is allocated as spendable income. The payout rate has two purposes: First, it provides a predictable income flow from endowment assets and helps to reduce spendable income volatility. Second, it protects the purchasing power of the endowment. Thus, the payout rate plus the rate of return needed to protect an endowment against inflation should not exceed the expected total rate of return for the portfolio underlying the endowment.

Spendable income for existing endowments is calculated using a 12-consecutive-quarter average market value ending five quarters before spending is planned. This timing is required to coincide with the annual University Resource Planning (budgeting) cycle. Calculations for standard endowments and for those in existence less than 17 quarters (12 quarters of measurement plus 5 quarters for budget lead-time) are illustrated in Attachment A.

In rare instances, the University President may authorize a supplemental allocation of spendable income for a standard endowment, consistent with the terms of the endowment.

Non-Standard Payouts

In rare instances, consistent with the terms of the endowment, a new endowment may be granted permission by the University's President to allocate spendable income for the year immediately following its creation. Similarly, the spendable income for an existing endowment with a recent major capital addition may also be adjusted by permission of the University President. In either case, a spendable income allocation should only be made if the market value of the endowment exceeds the original principal contribution. Under no conditions should the spendable income amount of a new endowment exceed the market appreciation or the payout rate, unless so specified in the agreement establishing the true endowment. The amount of spendable income requested by the campus "owner" of the endowment must also be approved by Regulatory

Accounting, who verifies that the payout is allowed under the endowment agreement, and by the University Treasurer.

True endowments with market values less than the original principal contribution are described as being “underwater.” Generally, underwater endowments are not permitted to have a spendable income allocation until the market value of the principal investment assets is greater than the principal contribution. Exceptions may be approved only by the University President, consistent with the terms of the endowment agreement.

Investment Restrictions for Specific Funds

Except as indicated below, no portion of funds 19 (University Designated), 23 (Donor Restricted, Satisfied), 31 (Endowment Income), and 51 (Donor Restricted) are included in the Investment Pool. Until these funds are spent, they are included in Claim on Cash and continue to earn the Claim on Cash interest rate.

Exceptions to this investment restriction are allowed only under unusual circumstances. For example, occasionally 19, 23, or 51 funds are raised over an extended period of time for a specific purpose, and are spent only when that fund-raising goal has been achieved. In these exceptional situations, no disbursements may be made from the fund until the fund-raising goal is achieved.

Colleges and departments may, however, convert funds 19, 23, and 51 to quasi-endowments that can be included in the Investment Pool. Because it is the administration’s position that quasi-endowments rarely transfer back to un-endowed funds, this option should be considered only if the transfer is intended to be permanent. Colleges and departments may also choose to reinvest surplus fund 31 amounts back to principal. Exceptions to these restrictions require approval from Regulatory Accounting and the University Treasurer.

Investment of the Claim on Cash

As indicated above, certain University accounts are treated as cash, subject to the University Claim on Cash interest rate, established by the Committee. This protects those funds from market fluctuations and ensures that campus units have immediate access to cash at a risk-free rate of return. To optimize University returns, though, these accounts are pooled together by the University Administration. The portion of the cash pool with a long-term investment horizon is included in the Investment Pool along with endowments and other long-term investments. The Administration manages the consolidated cash amount, guarantees the claim on cash to the campus units, and takes the institutional risk for market volatility. To manage the risk of market declines the Administration keeps investment balances well in excess of the Claim on Cash owed to individual campus units for their accounts.

Occasionally, when the Claim on Cash investment reserve reaches levels exceeding a safe buffer, the Committee may authorize a transfer of the surplus to the Trustees/President’s discretionary fund or the general endowment for use on University initiatives.

Authorization to Execute Investment Transactions

Two authorized approvals are required to buy, sell or transfer university investments, whether within the Ensign Peak family of funds, or outside. Transactions will be authorized by two of the following: the Treasurer, the Administration Vice President and Chief Financial Officer, and the Assistant Administration Vice President, Finance.

ATTACHMENT A

Illustration of the Calculation of Spendable Income for True and Quasi-Endowments, Including Those in Existence Less Than the Period Required by the Policy

Beginning with the spendable income calculation for the calendar year 2016, spendable income for existing endowments is calculated using the 12-quarter average market value ending 5 quarters earlier. Some endowments, however, have not been in existence long enough to use the standard methodology. This attachment illustrates the spendable income calculation in both the standard and abbreviated situations.

For example, spendable income for the calendar year 2016 would be calculated as follows.

1. Determine the 12-quarter average market value of the endowment principal assets for the period ending September 30, 2014 (5 quarters prior to January 1, 2016). Endowments created before the period ending September 30, 2014, but in existence for less than twelve consecutive quarters, use the average of the available quarters. If a new endowment were created between October 1 and December 31, 2014, the market value at December 31, 2014 would be used in place of the 12-quarter average market value at September 30, 2014.
2. Multiply the payout rate (e.g. 5%) by the value calculated in step one, above. The product is the spendable income available for the period January 1 to December 31, 2016. Notice the spendable income amount is calculated 5 quarters before it becomes available to spend for existing endowments, and 4 quarters if it was a new endowment created during the fourth quarter of 2014.

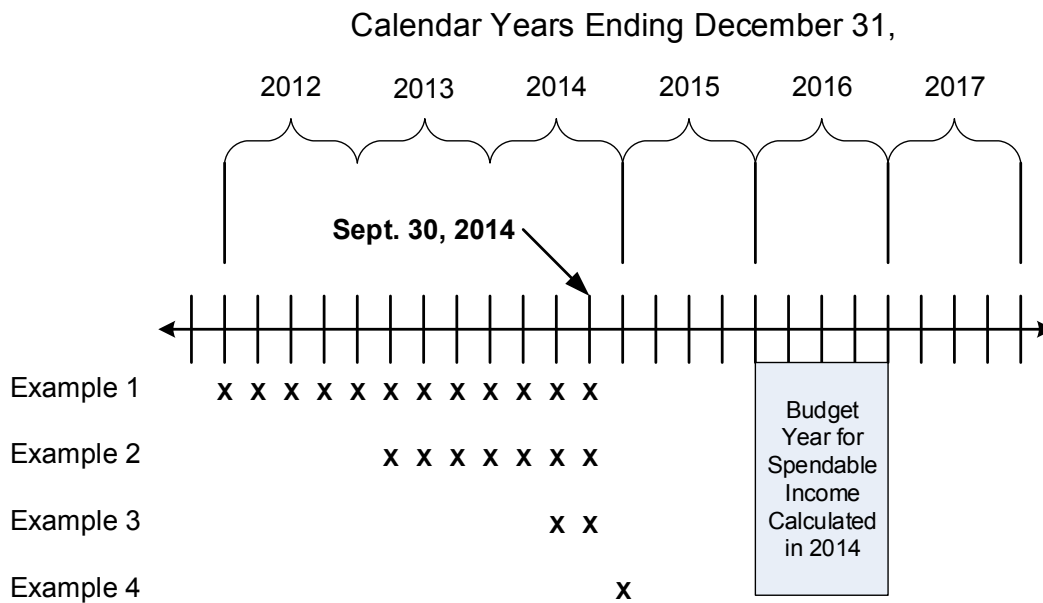
The following illustrates the comparison between the calculations for spendable income to the budget cycle it applies based on the creation date of the endowment.

Example 1 – Endowments in existence 12 or more quarters at September 30, 2014

Example 2 – Endowments in existence for 7 quarters at September 30, 2014

Example 3 – New endowments created during 2nd quarter of 2014

Example 4 – New endowments created during 4th quarter of 2014



“x” represents a calendar quarter used in calculating the average market value.

Executive Risk Management and Compliance Committee (ERMCC)

The Executive Risk Management and Compliance Committee provides direction and guidance to the BYU compliance program and assists the President's Council in their oversight of the BYU compliance program. The committee focuses on ensuring BYU complies with significant legal, ethical, and regulator requirements.

Charter:

[Executive Risk Management and Compliance Committee \(ERMCC\)](https://committee.byu.edu/system/files/Executive%20Risk%20Management%20and%20Compliance%20Committee%20Charter%20%28-2019%29-Accessible.pdf)
(<https://committee.byu.edu/system/files/Executive%20Risk%20Management%20and%20Compliance%20Committee%20Charter%20%28-2019%29-Accessible.pdf>)

Responsible Officer:

Kevin Worthen, University President

Chair:

Steve Sandberg, Assistant to the President and General Counsel

Members:

- Lisa Bohman, Associate University Counsel-Compliance
- Sarah Campbell, Chief Integrity and Compliance Officer
- Tracy Flinders, Information Technology Vice President and CIO
- Julie Franklin, Student Life Vice President
- Steve Hafen, Administration Vice President and CFO
- Rich Hatch, University Counsel
- Vern Heperi, Assistant to the President, Student Success and Inclusion
- Larry Howell, Associate Academic Vice President – Research and Graduate Studies
- Carri Jenkins, Assistant to the President, University Communications
- Shane Reese, Academic Vice President
- Sandra Rogers, International Vice President
- Rosemary Thackeray, Assistant to the President, Assessment and Planning
- Keith Vorkink, Advancement Vice President
- Branden Wilson, Managing Director, Risk Management and Safety
- Kevin Worthen, University President

BRIGHAM YOUNG UNIVERSITY

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UNIVERSITY CONTINUITY

Leadership and
Support Plan

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Plan History and Approvals

Plan Origination

July 20, 2018

Revision History

Date	Version	Description of Revision	Changed By
07/20/18	1.0	Initial Draft	Axiom Recovery with feedback from Carr Krueger, Ryan Rasmussen, and Tamie Harding
11/13/18	2.0	Revised Draft	Axiom Recovery with feedback from Brian Evans and Carr Krueger
01/13/21	3.0	Revised Draft (w/ personnel updates)	Bremen Leak

Plan Training and Exercise History

Date	Scope	Participants

Sign-off and Approval

Name/ Committee	Date of Approval
University Continuity Steering Committee (UCSC)	10/1/18

Statement of Confidentiality

The information contained in this document may not be disclosed to third parties without prior written consent from Brigham Young University and should neither be duplicated, used nor disclosed for any purpose other than originally intended. By receiving this information, you acknowledge its confidential nature and agree to abide by these terms.

1.0 Introduction

The University Continuity Leadership and Support Plan details communication and coordination procedures in response to an unplanned disruptive event affecting critical operations for one or more College, Division, or Department.

This University Continuity Leadership and Support Plan directly supports BYU's Emergency Operations Plan (EOP) and Incident Management Team. This plan does not address communication and coordination procedures for Emergency Management, IT Disaster Recovery, or Crisis Communication events.

How the Plan Works

Incident Command System

The format, nomenclature, organization, and structure of this plan follows the Incident Command System (ICS) standards. ICS standards are also used by Provo City, Utah County, and the State of Utah. By using the same standards, if outside support is needed or requested, BYU can quickly declare and/ or communicate their Classification Level and receive an equivalent response from community responders.

Unity of Command

Each faculty or staff member participating in University Continuity Leadership and Support reports to only one role. This unified reporting structure eliminates the potential for individuals to receive conflicting direction, thus improving the flow of information, enhancing the coordination of operational efforts, increasing accountability, and operational safety.

Role Activation

Not all University Continuity events will require the activation of all University Continuity Leadership and Support roles. The University Continuity Reporting Structure is designed to be scalable, in response to a spectrum of possible event types.

At a minimum the University Continuity Director will be activated when the decision is made to activate this plan. The University Continuity Director assumes all roles and responsibilities until additional roles have been activated and activities/ tasks are delegated. Roles will be activated and assigned according to the needs of the Planning Section and University Continuity.

Plan Activation

The University Continuity Leadership and Support Plan is activated when an event is determined to significantly disrupt or threaten to significantly disrupt critical College, Division, or Department operations tied to the Risk Management Goals. The degree and extent of activation depends on the Classification Level. Specific actions to be undertaken upon activation are detailed in Section 4.0 notification and Activation.

Plan Deactivation

The University Continuity Leadership and Support Plan can be partially or fully deactivated when affected Colleges, Divisions, and/ or Departments are sufficiently sustainable, such that they can reliably complete their critical operations. The University Continuity Leadership and Support Plan is considered to be fully deactivated and transitioned once all relevant participants have been debriefed and an After-Action Report has been prepared, reviewed by the University Continuity Steering Committee, filed with affected Colleges, Departments, and/ or Divisions, and filed with Risk Management.

Planning Scenarios and Assumptions

At this time the Leadership and Support Plan and associated University Continuity Plans address a Local event. Additional scenarios may be addressed over time as program maturity increases.

Event Type	Scenario(s)	Assumptions
Local	<p>Total loss of access to a primary work area, up to one week.</p> <p>Temporary outage of locally hosted IT services, up to one week.</p>	<p>At least two-thirds of faculty and staff specifically named in this plan have been trained to respond in University Continuity Leadership and Support Plan roles.</p> <p>At least two-thirds of College, Division and/ or Department faculty and staff are available to assist with continuity of critical operations.</p> <p>All vendors are accessible and available to support continuity.</p>
All Campus	<p>Total loss of access to primary work area in multiple (2+) campus buildings, up to two weeks.</p> <p>Temporary outage of IT services, up to two weeks.</p>	<p>At least two-thirds of faculty and staff specifically named in this plan have been trained to respond in University Continuity Leadership and Support Plan roles.</p> <p>At least two-thirds of College, Division and/ or Department faculty and staff are available to assist with continuity of critical operations.</p> <p>Key off-campus vendors are accessible and available to support continuity.</p>
Regional Geographic Event	<p>Total loss of access to primary work area in most or all campus buildings, up to one month.</p> <p>Temporary outage in IT services, up to two weeks.</p>	<p>At least one-third of faculty and staff specifically named in this plan have been trained to respond in University Continuity Leadership and Support Plan roles.</p> <p>At least one-third of College, Division and/ or Department faculty and staff are available to assist with continuity of critical operations.</p> <p>Key vendors, outside a fifty (50) mile radius of campus, are accessible and available to support continuity.</p> <p>Network and land-line phone connectivity may not be intact and cell phone usage may be limited.</p> <p>Community infrastructure, such as transportation, healthcare, public schools, hospice and childcare, etc. may be affected. BYU faculty and staff will prioritize ensuring health and safety of family and friends before supporting University Continuity efforts on campus.</p>

For all event types the University Continuity Leadership & Support Plan assumes the following:

- The Office of Information technology (OIT) is fully capable of recovering affected IT systems, applications, and data.
- Each College, Division, and Department maintains a University Continuity Plan addressing activities and tasks for how to recover their critical operations respectively.

Plan Sections

1.0 Introduction	Introduces planning assumptions, scenarios, plan activation and deactivation.	5.0 Response	Sets forth plans for initial coordination, communications, and team activation.
2.0 Classification Levels	A system of levels that aids in quickly defining 'how bad is it?'	6.0 Continuity Activities	Provides an overview of critical continuity activities and continued coordination tasks.
3.0 Roles and Responsibilities	Defines roles and responsibilities, establishes reporting structure, and coordination with Emergency Operations.	7.0 Work Area Relocation	Documents procedures for establishing and supporting relocated work space.
4.0 Notification and Activation	Establishes a communication system to be deployed when a Classification Level is declared.	8.0 Sustained Operations	Tasks to be completed upon conclusion of the event and transition to sustained operations.

Risk Management Goals

Brigham Young University (BYU) is committed to the resiliency of critical University operations, including those tied to:

- Delivering an Exceptional Academic Experience
 - Continuity of teaching, research, and student interaction
 - Continuity of student life programs and extracurricular activities
- Maintaining Auxiliary Support Services
- Maintaining Administrative Operations

Key Definitions

Activities:

A critical operation, process, or set of tasks to be recovered, achieving a specific objective.

Examples: Activate Team Members, Run Payroll, Teach Classes, Establish Work Area, etc.

Tasks:

Detailed step-by-step instructions for completing an Activity, to be executed at time of event.

Examples: Review Damage Assessment, Prepare Email for Distribution, Attend University Continuity Director Status Meeting, etc.

Critical Operations:

College, Division, and Department processes or functions that must resume within the first week following any type of interruption event to protect BYU's Risk Management Goals.

Examples: provide food supplies to dining entities on campus, provide religious education to BYU students, maintain financial records, approve students for graduation, etc.

Emergency Operations Plan:

Documented policies and procedures, maintained by BYU Risk Management, addressing events affecting life safety, incident stabilization, protection of property and the environment. This document guides emergency response based on best practice standards of ICS and NIMS. The Emergency Operations Plan will likely be activated prior to activation of this University Continuity Leadership and Support Plan.

IT Disaster Recovery:

A sub-discipline of University Continuity that addresses the recovery of IT services and critical datasets during an event. BYU's IT Disaster Recovery Program is managed and maintained within OIT.

Crisis Communications Plan:

Documented policies and procedures are managed and maintained by University Communications, and address internal and external communication during events. This plan aims to protect the BYU Brand through controlled messaging and effective communication and may be activated in parallel with the University Continuity Leadership and Support Plan.

Plan Change Management

Proposed changes to the University Continuity Leadership and Support Plan must be submitted in writing to the University Continuity Program Manager. The University Continuity Program Manager will review change requests on a quarterly basis. Items prioritized for change will adhere to the following change management process.

- Appropriate subject matter expert(s) will draft the requested content and/ or changes.
- The University Continuity Steering Committee approves new or revised draft content and will be asked to review or modify as needed. A final draft of changes will be sent back to the individual(s) who requested the change for review and approval.
- Upon approval, relevant training materials will be updated and the plan distributed and/ or published.

2.0 Classification Levels

Emergency Classification Levels

Classification Levels are designed to provide a readily understood characterization of the nature, extent, and effect of an event. Classification Levels are also used to facilitate quick and effective notification and activation of University Continuity Leadership and Support roles.

Classification Level	Buildings Affected	Scope	Example
5 Enhanced Monitoring	One	No disruption to critical operations.	Local water damage, such as a sprinkler head break near the main entrance.
4 Enhanced Monitoring	One	Critical operations are threatened or impacted in one campus building.	Localized interruption of power. Critical operations may continue at other campus buildings.
3 Partial Activation	One	Critical operations are severely impacted in one campus building.	After hours fire damages a campus building.
2 Partial Activation	Two or More	Critical operations are threatened or impacted in two or more campus buildings.	Region wide snow storm or flooding on the Provo River.
1 Full Activation	Two or More	Critical operations are severely impacted in two or more campus buildings.	Earthquake, Active Shooter, Pandemic, etc.

3.0 Roles & Responsibilities

Roles and Responsibilities Overview

University Continuity Leadership and Support roles for BYU are structured to facilitate coverage similar to the major ICS functional areas. The responsibilities associated with each role are described in the following section.

Policy Group

Policy Group meets to develop emergency policies and then as required by the disaster situation discuss the economic, political, legal, and social implications of both the threat and the response to determine the best general approach to the situation. Key roles within the Policy Group include:

- University President
- Executive Leadership Group
- University Risk & Compliance Officer

Incident Management Team

Incident Management Team members fulfill a number of critical administrative, operational, and fiscal responsibilities during and following an event. Key roles within the Incident Management Team include:

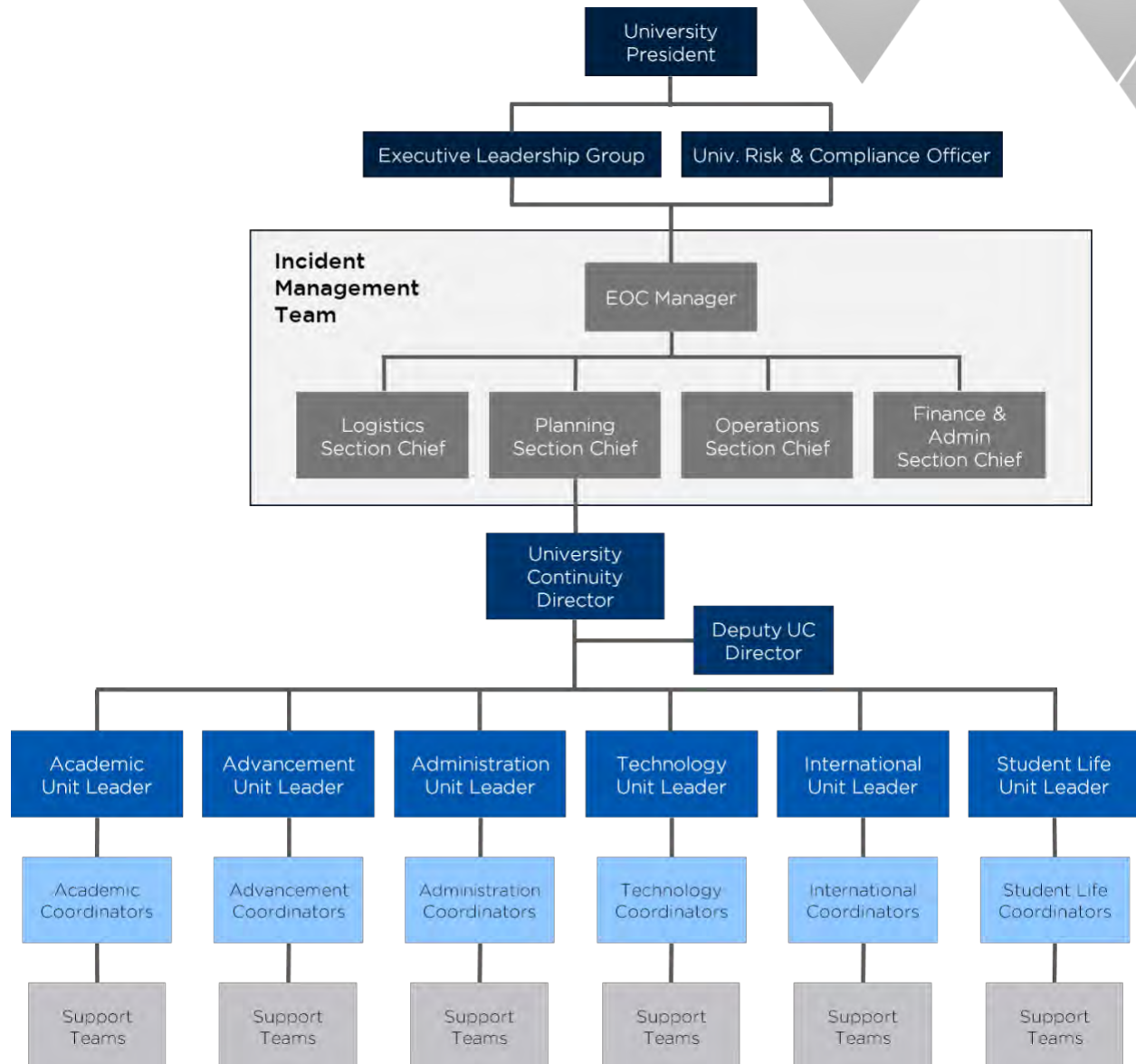
- Emergency Operations Center (EOC) Manager
- Planning Section Chief
- Operations Section Chief
- Logistics Section Chief
- Finance & Administration Section Chief

University Continuity

The University Continuity Director is responsible for directing University Continuity Leadership and Support activities during an event where critical operations are disrupted. Roles within University Continuity include:

- University Continuity Director
- Deputy University Continuity Director
- Continuity Unit Leaders

University Continuity Leadership & Support Reporting Structure



Policy Group

Advise

Report

Communicate

Strategize

University President

The University President is the chief executive officer for Brigham Young University. The University President remains informed of University Continuity Leadership and Support activities and may be required to make executive level decisions regarding risk acceptance or mitigation, resource acquisition, policy approvals, and public statements during and following an event.

Executive Leadership Group

The Executive Leadership Group is a committee formed by the University President. The primary responsibility of the Executive Leadership Group is to advise and support the University President in policy decision making and approvals, resource acquisition, risk acceptance or mitigation, and public statements during and following an event. The Executive Leadership Group includes:

- Academic Vice President
- Student Life Vice President
- Information Technology Vice President
- International Vice President
- Administrative Vice President & CFO
- Advancement Vice President
- Assistant to the President, Planning and Assessment
- Assistant to the President, General Counsel

University Risk & Compliance Officer

The University Risk & Compliance Officer considers compliance implications, tradeoffs, and the consequences of non-compliance. Providing recommendations to the University President and Executive Leadership Group in development of policies and decision making during the event. Additionally, the University Risk & Compliance Officer ensures all documents related to the event are properly prepared and completed for compliance purposes.

Incident Management Team

Evaluate

Declare

Assign

Triage

The Incident Management Team is comprised of the Emergency Operations Center Manager and four (4) section chiefs and activated, partially or in full, as needed according to the impact of an emergency or event.

Emergency Operations Center Manager

The Emergency Operations Center (EOC) Manager is responsible for activation and internal management of the Incident Command Center, both physical and virtual. During an event the EOC Manager coordinates efforts and the flow of information between the Policy Group and Incident Management Team via a designated Liaison.

Planning Section Chief

The Planning Section Chief is responsible for managing all aspects of the Planning Section covering the five mission areas: prevention, protection, mitigation, response, and recovery for all affected Colleges, Divisions, and Departments. Key responsibilities of the Planning Section Chief may include:

- Managing all event related strategy, situational, and resource status information.
- Collecting, evaluating, processing, disseminating, and/ or using all event information to develop the Action Plan.
- Managing all communication and coordination between the University Continuity Director, Incident Management Team, and EOC Manager.
- Informing the University Continuity Director of Policy Group needs.
- Reporting significant changes in event status to the EOC Manager.
- Providing periodic forecasts of event escalation or de-escalation potential, including potential course(s) of action.
- Establishing information requirements and reporting schedules for the University Continuity Director.
- Determining the need for any specialized communications resources.
- Planning, facilitating, and supporting Incident Command Center briefings.

Note: The Planning Section Chief may activate the University Continuity Director as an event transitions from Emergency Response into University Continuity.

Operations Section Chief

The Operations Section Chief activates and orchestrates a number of critical shared services support roles including those tied to EMS, Public Works, and Information Technology. The Operations Section Chief is responsible for:

- Providing tactical assignments and directing execution of the Action Plan developed by the Planning Section Chief, including a coordinated Information Technology response.
- Reporting significant changes in event status to the EOC Manager.
- Managing all response and recovery efforts related to life safety, the protection of property and the environment.
- Ensuring safety and wellness of University Continuity Leadership and Support roles.

Logistics Section Chief

The Logistics Section Chief coordinates and organizes facilities, scheduling, physical security, and logistics as it relates to the movement of people and resources during an event. The Logistics Section Chief is responsible for:

Facilities and Scheduling:

- Verifying the scope and impact of the event, as it relates to physical facilities.
- Collecting, evaluating, and disseminating damage assessment, and other essential information.
- Maintaining information on the status of resources, services, and scheduling.
- Support scheduling of shared/ common spaces, specialized facilities, and rooms available for workspace recovery.

Physical Security:

- Providing physical security for faculty, staff, students, visitors, and property in the affected site.
- Ensuring security of emergency supplies or equipment, as needed.
- Acting as the liaison between BYU's Incident Management Team and community law enforcement agencies assisting in Continuity Event Management.
- If additional security resources are needed, requesting additional resources from the Policy Group.

Logistics:

- Overseeing mobilization and management of logistics faculty and staff.
- Reporting event related traffic, public utility, and civil infrastructure updates to the EOC Manager.
- Deploying and/ or coordinating all required logistics support required by the event, including support related to transportation of people and resources, equipment, supplies, maintenance and fueling of equipment, and hygiene/ sanitation services.
- Requesting additional personnel and resources from Human Resources and Purchasing, as needed.

Purchasing and Travel:

- Coordinating and managing procurement of resources to support University Continuity operations.
- Additional Roles: activating and coordinating additional purchasing support with specific subject matter expertise, such as cell phones, technology, travel, etc.

Finance and Administration Section Chief

The Finance and Administration Section Chief is responsible for all financial, administrative, and auxiliary support services as it relates to University Continuity Leadership and Support. The Finance and Administration Section Chief is responsible for:

Financial Services:

- Supporting and/or managing all financial aspects of the event.
- Providing financial and cost-analysis information to the Incident Management Team.
- Advise the EOC Manager and Policy Group on financial and administrative matters.
- Ensuring that relevant compensation and claims functions are being addressed.
- Managing auxiliary support resources, such as food distribution, during an event.

Human Resources:

- Developing, updating, and/ or managing human resources and faculty & staff benefit policies as required by the event.
- Supporting event related faculty, staff, and student worker needs, including recruitment.
- Managing assistance from any cooperating agency representatives (e.g., Provo City, Utah County, State of Utah, etc.).
- Ensuring that event related time records are collected, complete, and accurate.

University Continuity

Activate

Manage

Allocate

Support

University Continuity Director

The University Continuity Director reports to the Planning Section Chief. When activated, the University Continuity Director is responsible for leading coordinated University Continuity response and recovery efforts across all affected Colleges, Divisions, and Departments, including:

- Contacting key personnel involved to identify the severity of the situation.
- Gathering all relevant and available information.
- Declaring the appropriate Classification Level.
- Activating the University Continuity Leadership and Support Plan according to the Communication Guidelines in Section 3.0.
- Identifying and mobilizing relevant leadership roles.
- Establishing coordinated University Continuity Leadership and Support priorities.
- Recommending and initiating a College, Division, or Department's transition into Sustained Operations.

Deputy University Continuity Director

Responsible for leading University Continuity response and recovery if the University Continuity Director is absent. Assists the University Continuity Director, as directed, during large scale events.

Continuity Unit Leaders

The Continuity Unit Leaders are informed during Classification Levels 5 and 4, and activated during Classification Levels 3, 2, and 1. When activated, a Continuity Unit Leader is responsible for managing coordinated response and recovery across all reporting Colleges, Divisions, or Departments with threatened or severely impacted critical operations. The Continuity Leader gathers and disseminates all status report information from and for their affected Colleges, Divisions, and/ or Departments and reports to the University Continuity Director. The Continuity Unit Leaders include:

- Academic Unit Leader
- Advancement Unit Leader
- Administration Unit Leader
- Technology Unit Leader
- International Unit Leader
- Student Life Unit Leader

4.0 Notification & Activation

Communication Levels

Upon plan activation, the following Communication Levels are used to notify and/ or activate faculty and/ or staff in relevant University Continuity Leadership and Support roles. Notification and Activation guidelines can be modified by the Planning Section Chief or University Continuity Director, as needed, to accommodate specific events not addressed in this plan.

Communication Level	Mode(s) of Communication
4 Notified	Email
3 Notified	Email + Everbridge
2 Activated	Email + Everbridge + In Person, During Business Hours
1 Activated	Email + Everbridge + In Person, All Hours

Communication Guidelines by Classification Level

Policy Group					
Classification Level:	5	4	3	2	1
University President	C4	C3	C2	C2	C1
Executive Leadership Group	C4	C3	C2	C2	C1
University Risk & Compliance Officer	C3	C2	C1	C1	C1
Incident Management Team					
Classification Level:	5	4	3	2	1
EOC Manager	C3	C1	C1	C1	C1
Planning Section Chief	--	C2	C1	C1	C1
Operations Section Chief	--	C3	C2	C1	C1
Logistics Section Chief	--	C3	C2	C1	C1
Finance & Administration Section Chief	--	C3	C2	C1	C1
University Continuity					
Classification Level:	5	4	3	2	1
University Continuity Director	C3	C2	C2	C1	C1
Deputy Univ. Continuity Director	C4	C4	C3	C2	C1
Continuity Unit Leaders	C4	C4	C2	C2	C1
College, Division, and Department Coordinators	Notified or activated by the University Continuity Director				

5.0 Response

RESPONSE PHASE: Up to the first 4 hours.

University Continuity Director Activities & Tasks

Notification & Activation

- ☐ Receive notification from University Leadership, Physical Facilities, University Police, or audible alarm.
- ☐ Alert the EOC Manager and/ or Planning Section Chief.
- ☐ Alert Unit Leads to stand-by.
- ☐ Request the Planning Section Chief send out additional alerts, notifications, and updates.

Immediate Activities

- ☐ If life and/ or safety of faculty and staff are impacted or at risk due to the event activate the Human Resources Coordinator.
- ☐ If physical facilities or property are impacted or at risk due to the event activate Physical Facilities Coordinator.
- ☐ Declare the initial Classification Level. Activate and establish the Command Center. Request support from the EOC Manager or Coordinator, as needed.
Note: EOC may already be activated.
- ☐ Notify and activate University Continuity Leadership and Support roles according to the Communication Guidelines.
- ☐ Distribute updated Command Center location information, physical and virtual, to activated roles.

Unit Leader Activation

- ☐ According to the Classification Level, activate University Continuity Leadership and Support roles.
- ☐ Activate affected College, Division, and Department Coordinators.
- ☐ Establish a work schedule, including rest periods if Unit Leaders and others will need to support 24x7 University Continuity efforts.
- ☐ Verify or obtain current contact information for all notified and activated roles.
- ☐ Notify the Planning Section Chief once all necessary University Continuity roles are notified or activated.

Provide Initial Direction

- ☐ Lead University Continuity Director Meeting with affected College, Division, and Department Coordinators.
- ☐ Provide Planning Section Chief with an Event Status Briefing [to share with the Incident Management Team].
- ☐ Provide initial direction to the activated Unit Leaders and request initial facilities and work area needs.
- ☐ Prioritize immediate actions and resource requests across all Colleges, Divisions, and Departments.
- ☐ Aggregate all facilities and alternate work area requests from the Unit Leaders.
- ☐ Submit resource requirements to the Planning Section Chief.
- ☐ Submit facilities and scheduling requirements to the Logistics Section Chief.
- ☐ Establish ongoing reporting, meeting, and coordination schedules for Unit Leaders.

Coordinate Vendor Support

- ☐ Direct the Unit Leads to assist activated College, Division, and Department Coordinators in alerting and/or coordinating vendors that may be required to support continuity operations.
- ☐ Track all alerted and activated vendors to mitigate overlap in outreach efforts.

Establish Communication

- ☐ Coordinate with the Planning Section Chief to determine primary modes of push and pull communications with Incident Command and the Policy Group.
- ☐ Determine, test, and distribute information for the primary mode for push and pull communications with Unit Leaders.
- ☐ Continue to communicate with the Incident Management Team to receive, process, and act upon information and resource requests as they are submitted.
- ☐ Reinforce University Continuity Leadership and Support communication processes, as needed.

6.0 Continuity Activities

CONTINUITY PHASE: After the first 4 hours.

University Continuity Director Activities & Tasks

Continuity Event Management

- ☐ Receive and review Damage Assessment Reports.
- ☐ Request support and/ resources from the Incident Management Team.
- ☐ Delegate activities and tasks to Unit Leaders, as needed.
- ☐ Update work schedules, as needed, for Unit Leaders and College, Division, and Department Coordinators.
- ☐ Meet with Unit Leaders and/ or Coordinators to gather information for a University Continuity Status Report.
- ☐ Prepare University Continuity Status Report and submit to the Planning Section Chief.
- ☐ Continue to receive, process, and act upon information and resource requests as they are submitted.
- ☐ Maintain detailed tracking of all Unit Leader and/ or Coordinator progress/ status.

Ongoing Communications

- ☐ Verify or obtain current contact and location information for all activated roles.
- ☐ Lead Continuity Event Status Meetings with Unit Leads and/ or Coordinators at regular intervals.
- ☐ Report current event status at each meeting and note current issues, planned actions, and offers/ requests.
- ☐ Identify needs for additional support from Incident Management and/ or external vendors.
- ☐ Request that the Planning Section Chief regularly update the Incident Management Team and Policy Group via status reports.

Maintenance

- ☐ Monitor and report any changes in continuity operations, as well as any service or support limitations, needs, or changes.
- ☐ Update the Classification Level, as needed, and notify and/ or activate University Continuity Leadership and Support roles according to the Communication Guidelines in Section 3.0.

7.0 Work Area Relocation

In the event that the primary work area becomes unavailable, this section supports relocation to an alternate work site for continuity operations. For detailed tasks associated with this effort, please refer to the University Continuity Plan for a College, Division, or Department.

Work Area Relocation Preparation

- ☐ Coordinate with Unit Leaders and/ or Coordinators to assess and aggregate alternate work area needs.
- ☐ Submit the list of Colleges, Divisions, and Departments requesting relocation resources to the Logistics Section Chief.
- ☐ Request support in work area relocation efforts.
- ☐ Request and review the Work Area Relocation Plan from the Logistics Section Chief.
- ☐ Distribute the Work Area Relocation Plan and work area assignments to the Unit Leaders and/ or Coordinators.

Work Area Relocation Support

- ☐ Request a briefing from each Unit Leader, following arrival of each College, Division, and Department's arrival at their new site.
- ☐ Obtain updated contact and location information for all activated roles and relocated Colleges, Divisions, and Departments.
- ☐ Continue to coordinate with the Logistics and Planning Section Chiefs and monitor work area relocation activities.
- ☐ Provide regular status updates to the EOC Manager.
- ☐ Update the Classification Level, as needed, and notify and/ or (de)activate University Continuity Leadership and Support roles according to the Communication Guidelines in Section 3.0.

8.0 Sustained Operations

The transition to Sustained Operations is considered when the following criteria have been met:

- All critical College, Division, and/ or Department operations are recovered and fully operational.
- Affected faculty, staff, and operations have been relocated to a temporary or permanent alternate work area.
- There is no longer serious or severe impact to critical university operations.

Transition to Sustained Operations

- ☐ Meet with Unit Leaders and/ or Coordinators and identify status of critical operations.
If critical operations are within normal parameters, as determined by the College, Division, or Department Coordinator - submit recommendation for transition to Sustained Operations to the Planning Section Chief.
- ☐ Receive confirmation from Planning Section Chief – the decision has been made to transition to Sustained Operations.
- ☐ Notify Unit Leaders and/ Coordinators to initiate transition.
- ☐ Continue to provide support to Unit Leaders until the transition of all Colleges, Divisions, and Departments has concluded.

Document Final Report

- ☐ Coordinate with Risk Management to define scope for the After-Action Report.
- ☐ Schedule meetings with all University Continuity Leadership and Support roles, as needed to develop and document required content.
- ☐ Draft the After-Action Report.
- ☐ Review the final After-Action Report and submit to the University Continuity Steering Committee per Plan Deactivation process.
- ☐ Closeout event and return to Classification Level 5.

9.0 Appendix

Leadership and Support Role Assignments

Policy Group

Role	Faculty & Staff Assignments
University President	Kevin Worthen
Executive Leadership Group	Academic Vice President: Shane Reese Advancement Vice President: Keith Vorkink CFO, Admin Vice President: Steve Hafen CIO, IT Vice President: Tracy Flinders Asst. to President, General Counsel: Steven Sandberg International Vice President: Sandra Rogers Asst. to President, Assessment: Rosemary Thackeray Student Life Vice President: Julie Franklin Asst. to President, Student Success: Vernon Heperi Asst. to President, Communications: Carri Jenkins

Incident Management Team

Role	Faculty & Staff Assignments
EOC Manager	Mng. Director, Risk Mgmt/Safety: Branden Wilson Assoc. Dir. Emergency Mgmt: Ryan Rasmussen
Planning Section Chief	Emergency Manager: Tamie Harding Mgr. Communications Center: Steve Goodman
Logistics Section Chief	Director, Space Management: Anne Schroeder Mng. Director, Purchasing & Travel: Tim Hill Asst. Admin. VP Phy Facilities: Ole Smith Mng. Dir. Bldg. Grnds. Trans. Serv.: Jim Dain
Operations Section Chief	Mng. Director, Risk Mgmt/Safety: Branden Wilson Risk Mgmt. Fire Marshal: Kevin Paxton Assoc. Dir. Emergency Mgmt: Ryan Rasmussen Mng. Dir. Delivery Engineering: Elaine Lauritzen
Finance & Administration Section Chief	Asst. Admin. VP Finance: Doug Belliston Asst. Admin. VP Human Resources: Dave Tueller

University Continuity

Role	Faculty & Staff Assignments
University Continuity Director	Assoc. AVP Auxiliaries & Programs: Carr Krueger Assoc. Director, UC: Bremen Leak
Deputy Univ. Continuity Director	Assoc. AVP Auxiliaries & Programs: Carr Krueger Assoc. Director, UC: Bremen Leak
Academic Unit Leader	Assoc. Acad. VP, Res. & Grad. Studies: Larry Howell Assoc. Acad. VP, Undergrad. Stud: John Rosenberg Assoc. Acad. VP, Faculty Dev: Laura Bridgewater Assoc. Acad. VP, Faculty: Brad Neiger
Advancement Unit Leader	Mng. Dir., Alumni & Ext. Relations: Mike Roberts Dir., Outreach & Communications: Michael Johanson
Administration Unit Leader	Asst. Admin. VP, Human Resources: David Tueller Director, Budget Office: Joel Christensen
Technology Unit Leader	Assistant VP, Information Technology: Nate Hatch Chief Information Security Officer: John Payne Managing Director, Client Services: Scott Hunt
International Unit Leader	Controller, International Studies: Kate Andreason Associate Dean, Continuing Education: Darin Oviatt Controller, David M. Kennedy Center: Ryan Zirker
Student Life Unit Leader	Director, Residence Life: Paul Barton Dean of Students: Sarah Westerberg

Units Reporting to the Academic Unit Leader

Unit Name
BYU Faculty Center
BYU Studies
Center for Teaching & Learning
Family, Home, and Social Sciences
Fine Arts & Communications
Ira A. Fulton Engineering
Graduate Studies
Humanities
J.R. Clark Law School
Harold B. Lee Library
Life Sciences
Marriott School of Business
Maxwell Institute
McKay School of Education
Microscopy Lab
MRI Facility
Nursing
Research Administration Office (RAO)
Physical and Mathematical Sciences
Religious Education
Undergraduate Education
Wheatley Institution

Units Reporting to the Advancement Unit Leader

Unit Name
Alumni and External Relations
Athletics
BYU Broadcasting
University Communications

Units Reporting to the Administration Unit Leader

Unit Name
Auxiliaries and Programs
Finance
Human Resources
Physical Facilities
Supply & Logistics Management
BYU Police & BYU Security Mgmt.

Units Reporting to the Technology Unit Leader

Unit Name
Office of Information Technology
Fulton Supercomputing Lab
Print and Mail Production Center

Units Reporting to the General Counsel

Unit Name
Integrity & Compliance Office
General Counsel Office
Risk Management and Safety

Units Reporting to the International Unit Leader

Unit Name
Continuing Education
David M. Kennedy Center
Performing Arts Management

Units Reporting to the Student Life Unit Leader

Unit Name
Counseling & Career Services
Campus Life
Enrollment Services
Residence Life
Student Health Services
Student Success and Inclusion
Title IX

Leadership and Support Contact List

At the beginning of each academic calendar year (September) a new Campus Directory, containing all faculty and staff contact information, is published, printed, and distributed. Please reference the Campus Directory or MyBYU for the Leadership & Support Contact List.

University Policies



Contents, Related Policies, Applicability ▾

Financial Accounting Policy



University financial accounting is maintained on the accrual basis of accounting and by resource restriction categories in accordance with generally accepted accounting principles. The financial accounting system summarizes the financial transactions of the university and is the official record of university financial activity.

It is the responsibility of the Financial Services staff and college and division controllers to ensure that university financial information is accurately accumulated and reported.

BYU is a private university, and university budget information is private and confidential. Access to budget information must be restricted to authorized university employees only, and authorized employees may only use the information for authorized purposes. An Employee's failure to keep budget information confidential may be the subject of university disciplinary action.

CONTACT

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University Policies



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Fraud Policy



Definition of Fraud

For purposes of this policy, fraud is the intentional use of deceit or dishonest means to deprive the university of its money, its property, or a legal right.

Fraud Deterrence

The university has adopted the [Church Educational System Honor Code](#), which applies to all its personnel and students. The university [Personnel Conduct Policy](#) also applies to all its personnel. Fraudulent activity at the university constitutes a serious violation of the [Church Educational System Honor Code](#) and the [Personnel Conduct Policy](#). Fraud deterrence at the university is the responsibility of all members of the campus community, particularly academic and administrative management. Effectively fulfilling this charge requires the establishment of and adherence to effective policies, procedures, and internal controls. Periodic audits, systems review, and other special analyses assist management in its responsibility. However, these aids are not a substitute for establishing and monitoring effective controls that ensure the integrity of day-to-day university processes and operations. The Church Auditing Department is available to perform audits in coordination with university management.

Duty to Report

The university is committed to providing an environment in which individuals will report reasonable suspicions of fraud. All university personnel have a duty to report reasonable suspicions of fraud in the workplace to their direct supervisor or to the Integrity and Compliance Office. Management and supervisors must promptly report all such concerns to the director of the Integrity and Compliance Office, who will coordinate with the Office of the General Counsel and the Church Auditing Department. Reports can be made to the Integrity and Compliance Office directly in person, by phone, or by email. Reports can also be made through [BYU's compliance hotline](#).

Directing the Investigation

University management will direct the Church Auditing Department to conduct necessary investigations of fraud unless an investigation is initiated and directed by the Office of the General Counsel or a case is initiated by or referred to government law enforcement agencies. When the director of the Integrity and Compliance Office receives an allegation of fraud, the director will notify the relevant vice president and the Church Auditing Department. If the Church Auditing Department receives an allegation of fraud at BYU, its appointed chief audit executive for BYU will notify the director of the Integrity and Compliance Office. When the Church Auditing Department determines there is a reasonable basis for the allegation, and at the request and direction of BYU, the Church Auditing Department will notify the appropriate supervisors of the allegation, including the dean, director, or equivalent manager with supervisory responsibility for the unit in which the alleged fraud occurred, the vice president of the university with responsibility for that unit, and the general counsel. However, if a relevant manager or university official with compliance or internal auditing oversight is the subject of a reasonable suspicion of fraud, the general counsel and director of the Church Auditing Department will together coordinate the investigation, including the determination of the parties who need to be notified.

Personnel who obstruct the reporting of or fail to report a potential fraud of which they become aware may be subject to disciplinary action up to and including termination of employment.

Protection for Reporting

The university will keep confidential the identity of the person making a report under this policy unless (1) the person consents to disclosure, (2) maintaining confidentiality would interfere with the university's ability to investigate specific allegations and take corrective action, or (3) a governmental authority compels disclosure (e.g., a subpoena lawfully issued by a court of competent jurisdiction). Confidentiality means that disclosure will be made only to university personnel or agents who have a legitimate need to know in order to fulfill their responsibilities to the university or contribute to the investigation.

Retaliation against an individual who has made a good faith report of suspected fraud is strictly prohibited. No adverse action or threat of action may be taken in retaliation against any person who makes a good faith report under this policy; who reports reasonable suspicions of fraud in the workplace to a governmental authority; or who participates in a judicial, administrative, legislative, or university proceeding related to such allegations. As used in this policy, adverse

action is broadly defined as any act or decision, including a failure to take appropriate action, by a supervisor or higher-level authority that might prevent or dissuade a reasonable person from making or supporting an allegation of fraud in the workplace. Violations of this section (Protection for Reporting) must be reported to the general counsel

Disciplinary Action for Violations

University personnel who violate the terms of this policy will be subject to disciplinary action up to and including termination of employment.

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University Policies



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Cash and Cash Equivalents Policy



BYU permits various departments, programs, and services on campus to use cash funds and cash equivalents for various purposes. Cash equivalents are financial instruments, such as gift cards, that are readily convertible into cash.

- Petty cash funds are primarily used to reimburse individuals for small, incidental, non-travel expenditures. Purchasing cards are the preferred method for covering these incidental expenditures. For this reason, requests for petty cash will only be approved in situations where the purchasing card cannot be used. Reimbursement of petty cash expenditures are made according to the University's established procedures.
- Change funds are used for the sole purpose of making change to customers in the normal course of business operations. The amount of the change fund is based on the average number and dollar amount of cash transactions.

- Department deposits should be made through the University's cashiering system when cash or checks are received directly by a department. Deposits should be made at least weekly or each day when funds collected exceed \$200. Cash or checks should not be held over the weekend. Gifts received by the university must be reported to LDS Philanthropies for proper receipting.

Departments are not to use monies collected to make purchases, cash checks, or extend loans.

- Research cash funds are used to pay research subjects or survey participants in connection with University approved research. An application must be submitted each time funds are requested.
- Gift cards include prepaid cards, merchant gift cards, gift certificates, coupons, or any other cash equivalent purchased with University funds. Gift cards may be an appropriate form of payment in the following instances: (1) research or survey participants, (2) Approved university, college or department faculty and employee recognition awards (e.g. service awards, retirement) and (3) special recognition when approved by the college dean or auxiliary unit director; not to exceed \$100 per occurrence.

An application must be submitted each time gift cards are requested. All gift cards are subject to the reporting requirements of the Internal Revenue Service, and those distributing the gift cards are responsible for collecting the required reporting information.

Purchasing gift cards using University procurement tools (e.g. purchasing, travel or department cards, Fast Track, purchase requisitions, etc.) is prohibited.

Petty cash and change funds must be kept separate from other funds, including reimbursements for personal photocopies, etc. Petty cash funds, department deposits and where reasonably possible, research cash funds, change funds and gift cards, must remain on the premises of the university in a secure location at all times. The fund custodian must consider it part of his or her personal stewardship to safeguard the funds and cards.

All department cash funds, including gift cards, are handled in accordance with the University's established procedures. These funds are subject to periodic audits. Discrepancies and poor documentation may result in the funds (or cards) being revoked.

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**CASH FUNDS****Open Section Menu*****Research Cash***

Research Petty Cash Funds are used to pay research subjects or survey participants in connection with University approved research.

[Research Cash Fund Application](#)

[Research Cash Fund Policies and Procedures](#)

[Research Cash and Gift Card Distribution Form](#)

Change Funds

Change Funds are used for the sole purpose of making change to customers in the normal course of business operations.

[Change Fund Application](#)

[Change Fund Policies and Procedures](#)

Petty Cash

Petty Cash Funds are primarily used to reimburse individuals for small, incidental, non-travel expenditures. Purchasing cards are the preferred method for covering these incidental expenditures. For this reason, requests for petty cash will only be approved in situations where the purchasing card cannot be used.

[Petty Cash Application](#)

[Petty Cash Reimbursement Form](#)

[Petty Cash Fund Policies and Procedures](#)

Contacts

Steve Morley
801-422-7648

Tammy Miner
801-422-2914

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GIFT CARDS

Open Section Menu

Treasury Services offers gift card services to the University as a payment mechanism for research and other needs. All gift card requests must be approved through Treasury Services. All other gift cards or cash equivalents are not allowed to be purchased or used on campus.

The four University approved gift card options are Campus Gift Cards (no fee), Cougar Cash Deposit (no fee), Prepaid Visa Gift Card (\$2.50 fee per card), and Amazon.com E-cards (no fee). When requesting gift cards for uses that are not research related, the request must have the approval of the College Dean or Auxiliary Unit Director. In addition, Amazon E-Cards may only be used for research related requests.

To request gift cards, fill out the Gift Card Request Form and send the completed form to giftcards@byu.edu. If you have any questions regarding gift cards, please view the [Frequently Asked Questions](#) page or call Steve Morley (801-422-7648).



Contacts

Steve Morley
801-422-7648

Tammy Miner
801-422-2914

Documents

[Gift Card Request Form](#)

[Distribution Documentation Form](#)

[Cougar Cash Deposit Request Form](#)

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University Policies



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Payroll Policy



Payroll payments for all faculty, administrative, staff and student personnel of the university are processed by the Payroll Office, which maintains applicable processing records. The Payroll Office may only process payroll for personnel of the university, or affiliates of The Church of Jesus Christ of Latter-day Saints, and will not process payroll for other entities even though the work of another employer may have taken place using university facilities. Other university personnel may not act as payroll agents for any entities, including those providing internships or scholarships to university students.

The Payroll Office is responsible to establish time collection procedures for all non-exempt employees (staff and students). Departments are responsible to assure timely process of hiring information for all university personnel and the accurate recordation of non-exempt employee time for payment. All time worked by non-exempt employees shall be approved by an appropriate supervisor. No university employee may approve his or her own time.

Applicable state and federal taxes, and other amounts directed by court or other lawful order, are deducted from payroll payments according to regulatory and legal requirements. Upon receiving authorization from employees, other authorized payroll deductions will also be processed by the Payroll Office.

All university personnel are required to designate a financial institution that accepts electronic direct deposit of their payroll payment.

The university will comply with state and federal regulations regarding payments and reporting of payments for the work and related expenses of independent contractors and non-U.S. citizens.

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University Policies



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Purchasing Policy



The Purchasing Department (“Purchasing”) is responsible for the acquisition of goods and services from vendors outside the university. In specific instances, procurement authority is delegated to university personnel. Purchases made in any way other than as outlined in this policy will be the responsibility of the individual and not the university.

The university offers certain sponsored discount programs with specific vendors that are available to personnel. Otherwise, university departments may not purchase goods or services for personal use. University personnel should not imply that they represent the university when making personal purchases from university suppliers nor in any way use their university affiliation to induce vendors to give special discounts or tax-exempt status. Personnel may not commingle personal and university purchases.

Purchase Requisitions

[Top](#)

Generally, campus purchases must be made by submitting a Purchase Requisition to Purchasing. A Purchase Requisition is an internal campus document used to advise Purchasing of a need to acquire goods or services. Purchase Requisitions do not have a minimum or maximum dollar limit. Although departments may authorize personnel to contact vendors to determine specifications or to obtain estimated costs, departments may not initiate a binding agreement or commit funds. Although items considered to be “single-source” might not be competitively bid, other opportunities exist for Purchasing to negotiate. Therefore, even “single-source” purchases are not exempt from this policy and must be made through Purchasing.

Purchasing may not alter specifications shown on the Purchase Requisition without the permission of the requesting department. However, Purchasing may discuss stated specifications, available alternatives, current market conditions, and quality considerations with the requesting department. Purchasing is not required to purchase from sources suggested by departments. Only Purchasing can make changes (specifications, quantities, delivery requirements, returns, cancellations) to purchase orders with the vendor.

Purchasing Card and Associated Checks

[Top](#)

A Purchasing Card is a bank-issued charge card that is made available to university personnel who demonstrate legitimate need. Except for unusual circumstances, the card limit is \$2,500 per transaction and \$20,000 per month. Purchasing Cards may only be used for appropriate university business, and are not to be used for personal purchases.

Purchasing Cards are generally issued to a specific individual, and each cardholder is responsible for making monthly reviews of each transaction involving his or her card.

Checks associated with Purchasing Cards may also be made available for transactions within the Purchasing Card limits where the vendor cannot accept a credit card. Checks are not to be used for any other purpose.

Accounting for purchasing card and associated checks must be completed within thirty calendar days from the transaction.

Fast Track Procurement

[Top](#)

University department personnel trained and designated as “Associate Buyers” may execute expedited procurement transactions through Fast Track in predetermined categories that bypass the traditional purchasing process. These transactions generally do not have a dollar limitation, but are intended to expedite low-risk or predetermined payments.

Travel Cards

[Top](#)

Travel Cards may only be used for approved travel-related purchases, not to acquire non-travel-related goods or services.

Petty Cash Fund

[Top](#)

An approved petty cash fund may be used to make small emergency purchases. Such funds are not to be used for cashing checks, making loans, or paying wages. Other monies (proceeds from copy machine use, change funds, departmental sales, etc.) should not be comingled with the petty cash fund.

On-Campus Purchases

[Top](#)

Products and services may be acquired from other university units without the assistance of Purchasing.

1099 Reporting

[Top](#)

Tax regulations require that the university report payments for services to non-corporate entities. In addition, the university must perform due diligence to determine whether individuals providing services to the university are independent contractors or employees.

Research Equipment

[Top](#)

Requests to purchase equipment with external research funds must be reviewed and approved by the Office of Research and Creative Work before a Purchase Requisition is sent to Purchasing.

Building Equipment

[Top](#)

Equipment that is considered part of a building (physically attached to it or that might require an alteration to the existing structure for installation) must be purchased and coordinated through Physical Facilities.

Furnishings

[Top](#)

Furnishings (desks, chairs, file cabinets, carpets, window and wall coverings, etc.) must be purchased and coordinated through Physical Facilities.

Vehicles

[Top](#)

University vehicles are purchased only with approval from the Campus Vehicle Committee and coordinated through Physical Facilities.

Printing

[Top](#)

All printing jobs estimated to cost in excess of \$1,000 and to be offered to off-campus printers must be competitively bid by Purchasing.

Acquisition or Receipt of Hazardous Materials

[Top](#)

Hazardous material is defined as any material that could result in a significant threat to the life or health of any individual. All hazardous materials for use on university property by students or personnel as part of their university function must be purchased through Chemistry Stores or Purchasing.

The purchase of certain acutely hazardous materials should also be approved by the university's chemical hygiene officer. Acutely hazardous materials are defined as substances that could result in a significant threat to the life or health of any individual away from the area of use.

CONTACT

2/4/2021

Purchasing Policy

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University Policies



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Travel Policy



The university reimburses faculty, staff, authorized students, and approved agents for legitimate, reasonable, and necessary expenses incurred while conducting approved university business in accordance with university policy. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement is claimed according to university policy and procedures. Under no circumstances shall expenses for personal travel be charged to, or be temporarily funded by, the university.

The university provides travel management, planning, booking, expense management, and other related services through Travel Management Services. Personnel traveling on university business are required to book travel reservations through this department. Any use of outside travel vendors for tours, cruises, ground packages, or other specialty travel must also be coordinated through Travel Management Services. Purchases, payments, or commitments made in any way other than outlined in this policy are not authorized by the university and will be the personal responsibility of the individual.

Any travel for university personnel or guests involving countries on the “Do Not Travel List” or the “State Supported Terrorist Country List” must be approved in advance by the International Vice President. (See [International Travel Policy](#).)

TRAVEL APPROVAL AND EXPENSE REPORTING

All personnel and groups traveling on university business that requires them to be away from home overnight or requires them to use any form of commercial transportation must submit an approved travel plan in advance of each trip.

Upon returning from a trip, all personnel and groups must submit an approved expense report within thirty calendar days of their return. In accounting for trip expenses, university personnel must submit original, itemized receipts for each expense exceeding fifty dollars claimed on the expense report.

TRAVEL COMPANIONS

Family, spouses, or other persons may accompany personnel traveling on university business. However, if such persons are to travel at university expense, advance authorization must be obtained and the express business purpose of the companion's travel must be documented.

Unrelated university colleagues of the opposite sex should exercise sensitivity and good judgment when traveling together on university business so as not to compromise the integrity of appropriate personnel relationships or to reflect poorly on the university or The Church of Jesus Christ of Latter-day Saints.

TRAVEL USING PRIVATELY OWNED AUTOMOBILES

The university authorizes reimbursement for transportation by private automobile when this alternative saves time or money.

Travelers driving privately owned vehicles on approved university business are eligible for business mileage reimbursement at the Internal Revenue Service (“IRS”) approved mileage rate. Personnel who have permanently assigned university vehicles, and who have the responsibility to provide fuel, may receive 35 percent of the IRS-specified mileage rate.

Damage to personal automobiles used on university business should be covered by private insurance. The university does not assume liability or responsibility for parking tickets, moving violation citations, repairs, deductibles, or other uninsured loss to the vehicle or its occupants.

Travelers who use privately owned vehicles on university business must ensure that a personal insurance policy is in force and provides at least the following insurance coverage for the vehicle:

- \$100,000 for personal injury to, or death of, one person
- \$300,000 for injury to, or death of, two or more persons in one accident
- \$100,000 for property damage

In the event university personnel are involved in an accident resulting in a loss, the traveler's liability insurance shall be primary to the full extent of its coverage limits.

AIR TRAVEL

Air travel accommodations must be tourist, coach, or special-fare-class only. University-paid first class air travel is not an allowable expense. Air carrier selection cannot be biased by any frequent flyer affiliation or benefits. The lowest cost air travel will take precedence over frequent flyer programs.

Frequent flyer miles earned on travel funded by the university are maintained and redeemed by university employees. However, the university will not reimburse personnel for the business use of their accumulated frequent flyer miles.

On occasion university personnel may travel by commuter aircraft, air taxi, corporate jet, or other small or private aircraft. Such occasions might arise when more conventional air carriers do not provide the needed service or when university personnel travel as invited guests at another's expense. All such travel must be approved in advance by the Director of Travel Services or by the Chief Financial Officer and Administrative Vice President.

TRAVEL INSURANCE

All personnel traveling on university business (including students) have some insurance coverage under the university's blanket travel insurance policy. Personnel choosing to purchase additional travel insurance must do so at their own expense.

RENTAL AUTOMOBILES

The university reimburses the cost of a mid-size rented automobile. In exceptional cases, the university will reimburse for the use of larger vehicles (several travelers in one vehicle, equipment transported, etc.). Rental vehicles should not be used if reasonable, less expensive transportation is available.

Personnel should decline all Collision Damage Waiver (CDW) and Personal Accident Insurance (PAI) coverage when traveling domestically on university business and should refuel the rental car before returning it. When renting a car internationally, travelers should purchase all available insurance.

TRAVEL SUBSISTENCE ALLOWANCE

Personnel in approved travel status and same-day travelers away from home for at least twelve hours are entitled to a meal per diem allowance. Per diem allowance amounts are set by the IRS and are updated annually. Per diem is allocated in the destination city time zone by meal period as follows:

6:01 a.m. to 12:00 noon	Breakfast
12:01 p.m. to 6:00 p.m.	Lunch
6:01 p.m. to 12:00 midnight	Dinner

(NOTE: The period of time from 12:01 a.m. to 6:00 a.m. may be used to extend either the breakfast or dinner meal period as needed.)

Traveling personnel electing to take a meal per diem are not additionally entitled to reimbursement for meal expenses and should not include meal charges in their expense reports.

EXTENDED TRIPS

Full-time personnel traveling for extended periods of time (at least thirty calendar days but not more than one year) may receive per-diem-only reimbursement to cover all expenses, not to exceed the maximum federal per diem rate for meals and lodging, as published by the IRS and State Department. Personnel traveling on per-diem-only allowances are not required to itemize expenses. When using the extended-trip per diem for trips longer than ninety calendar days, travelers must submit periodic time and lapsed-per-diem reports for each ninety calendar day period in travel status.

HOSTING AND ENTERTAINMENT WHILE IN TRAVEL STATUS

Occasionally, it may become necessary to host other individuals' meals or entertainment while traveling. The hosting employee must submit documentation regarding the business purpose of the hosting expense and the names of all participants. (See [Meals and Hosting Policy](#).) All university personnel who participate in a hosted or provided meal must reduce their meal period from any claimed per diem.

LODGING

Travelers should coordinate all hotel reservations through Travel Management Services.

In-room movies, mini-bar charges, and other in-room services are not reimbursable. Reasonable, business-related telephone calls, necessary calls associated with an ecclesiastical calling, and one personal call per day for the purpose

telephone calls, necessary calls associated with an educational calling, and one personal call per day for the purpose of communicating the traveler's safe arrival and continued well-being are reimbursable.

Travelers do not receive reimbursement for lodging costs when they stay with friends or relatives. However, when traveling away from home overnight, a ten-dollar amount is allowed for each day of housing provided by family or friends. Travelers may use this allowance along with the regular meal per diem allowance, if applicable, to provide a gratuity to the host.

PERSONAL VACATION WHILE IN TRAVEL STATUS

A traveler must deduct any personal expense on the expense report when business and personal vacation time are combined within the same trip.

SPECIAL TRAVEL

Official visitors to campus may receive reimbursement, if authorized, for travel expenses incurred within the business purpose of their university visit, consistent with this policy. Travel arrangements should be booked through Travel Management Services.

University personnel involved in making reimbursement commitments to incoming guests should be in compliance with all tax and immigration laws required in the reimbursement process. Departments should not make any payments or reimbursements to individuals from foreign countries who are not traveling on an approved working visa.

CORPORATE TRAVEL CARDS

Upon an approved application, the university provides a corporate travel card to qualifying full-time faculty and staff for the purpose of charging legitimate travel expenses to the university. Generally, personal charges should not be made on university corporate travel cards. At the conclusion of a trip, all card charges must be reported and reconciled within fifteen business days.

Cardholders should not use the corporate travel card to circumvent the university purchasing function by charging for other than approved travel-related expenses.

TRAVEL ADVANCES

The university functions under the IRS "Accountable Cash Advance Plan" rules. As a result, cash advances may be obtained and used only for business expenses by a university employee in active travel status.

An employee must document expenses related to the advance and return any unused portion of the advance within fifteen business days of returning or within sixty calendar days of issuance of the advance, whichever is earlier.

Travel advances left undocumented and unspent balances not returned within the required time frame will be recorded as taxable income to the employee.

NON-ALLOWABLE TRAVEL EXPENSES

Some expenses are the personal responsibility of the traveling employee and are not reimbursable. These expenses include but are not limited to:

- Personal and family expenses
- Gifts and souvenirs
- Personal medical and dental expenses
- Personal reading material, recreation, and entertainment
- Travel insurance in excess of that already provided
- Costs incurred by traveler's failure to cancel transportation or hotel reservations
- Commuting between home and work
- Corporate charge card delinquency or late charge assessments (there may be an exception if the delinquency assessment is not due to the actions of the traveler)
- Haircuts, newspapers, babysitting, shoe shines
- Parking and traffic citations
- Reimbursement or payment for frequent flyer benefits

CONTACT

Brigham Young University
Integrity and Compliance
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University Fund Raising Policy

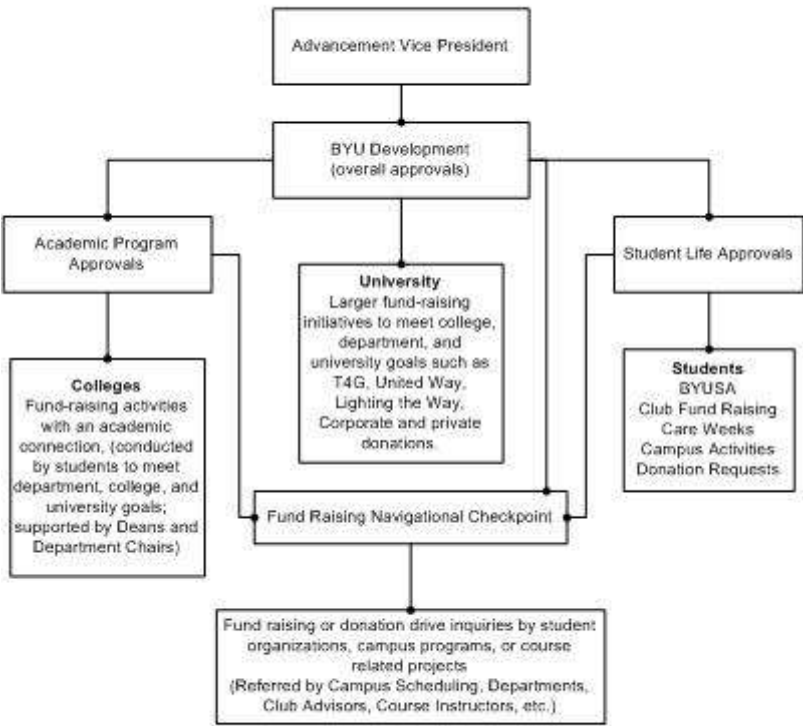


All fund-raising activity at Brigham Young University is supervised, coordinated, and directed by BYU Development, under the direction of the Advancement Vice President. Two areas work directly with the BYU Development Office in approving and coordinating fund-raising activities:

Academic Vice President - Under the direction of the Associate Academic Vice President, this office approves and monitors any fund-raising activities involving academic courses or programs, in conjunction with appropriate deans and directors (see Appendix A).

Dean of Students - Under the direction of the Dean of Students, this office approves, monitors, and correlates any fund-raising activities for student groups, organizations, and programs sponsored by Student Leadership (see Appendix B).

The integration of these three offices is depicted in the following diagram:



The University invites and encourages the campus community to emphasize service-oriented activities. Where appropriate, individuals may be asked to assist the BYU Development Office and its personnel with fund raising. A fully coordinated effort will eliminate multiple “asks” of individuals and organizations and will enhance the overall success of the University’s fund-raising effort.

Guiding Principles

In general, the following principles are applicable to fund raising at BYU:

- Fund raising is not the primary task or expectation of most faculty and staff. College deans have a responsibility for helping to raise funds for college and University priorities, and for authorizing and supervising, on an exception basis and in conjunction with the Associate Academic Vice President, any academic learning or course requirement(s) that involve fund raising. Faculty should assist in development activities by identifying potential donors to their deans and department chairs and by nurturing relationships with those prospects, in connection with Development personnel assigned to specific colleges and programs. BYU Development officers (donor liaisons) are assigned to various constituent units to lead and coordinate fund-raising efforts at the college level under the direction of the deans and the BYU Development Office.
- Students generally should not be involved in fund-raising activities. They are encouraged to provide service (time and energy) but not funds. Thus, academic courses, academic programs, and student groups, organizations, and programs sponsored by Student Leadership should not normally expect or require students to be involved in fund raising. Any exceptions must be approved through respective deans and the Academic Vice President's Office or the Dean of Students Office.
- The University experience should focus on learning and service, working through existing Church and community agencies, and not on special fund-raising activities.
- In general, only the BYU Development Office and deans should solicit funds, goods, or services from individuals or companies on behalf of BYU. Any exceptions should be cleared and coordinated with the BYU Development Office.
- Processing and official receipting of gifts as well as public announcement of gifts should be through the BYU Development Office.
- Solicitation of personal contributions from faculty and staff will be made only twice a year during the annual Together for Greatness campaign and the annual United Way drive. On an annual basis, students may be encouraged to participate in a University-wide fund-raising campaign coordinated by the BYU Development Office and during times designated as Care Week. Students should not be solicited for funds at other times during the school year. Exceptions must be approved through the Dean of Students Office.

Implementation

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Before proceeding with any fund raising, on or off campus, approval and coordination with the BYU Development Office is required. To receive approval, the following procedures should be followed:

Fund Raising as a Part of Academic Courses or Programs:

- Read the guidelines in Appendix A of this policy. Student fund-raising will be rare. However, if the proposed course work appears to qualify as an exception, the dean or department chair can submit a request to the Associate Academic Vice President-International, Distance, and Continuing Education.
- After the proposal has been reviewed and approved, the dean or department chair will be notified and a copy will be sent to the BYU Development Office.
- In the case of technology donations, BYU Development will review the donation with the Office of Information Technology.

Fund Raising by Student Clubs or Groups:

- Read the guidelines in Appendix B of this policy. If the activity meets these guidelines, fill out a Student Organization Fund-Raising Proposal or Request to Solicit Off-Campus Gifts or Sponsorships, available in the Dean of Students Office and the Jacobsen Center for Service and Learning.
- Review the completed form with the designated personnel at the Jacobsen Center. This individual will provide assistance and a preliminary judgment of feasibility against acceptance guidelines and will then refer proposals/recommendations to the appropriate area for consideration.

- After the proposal has been reviewed and signed, a copy of the signed activity form will be sent to the BYU Development Office.
- In the case of technology donations, BYU Development will review the donation with the Office of Information Technology.

Other Fund-Raising Activities:

- Meet with the development officer (donor liaison) assigned to the appropriate campus unit. Fill out the Request for Charitable Funding form available from the BYU Development Office.
- Obtain the necessary signatures from department chair and dean, and submit the form to the BYU Development Office.
- The BYU Development Office will review the form with the Academic Vice President's office and report to the requester to coordinate approved fund raising activity.

Establishing Fund-Raising Priorities

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There are hundreds of projects at BYU worthy of financial assistance. By prioritizing projects needing private funding, the University can concentrate its efforts on first completing those projects that will do the most to meet the institutional objectives outlined by the President and Board of Trustees. BYU's President selects several major projects each year to include on the fund-raising priority list. These priorities provide the main focus of the BYU Development Office fund-raising efforts and goals. *Individuals may not solicit or accept gifts not on the approved fund-raising list.*

Each dean should prepare a list of fund-raising priorities each year for the approval of the Academic Vice President. The approved priorities provide the focus for fund-raising efforts of the dean and BYU Development Office staff member assigned to work with each college.

Philanthropies and BYU Development Office

The BYU Development Office is a division of Philanthropies, the official agency of The Church of Jesus Christ of Latter-day Saints empowered by the First Presidency to cultivate, solicit, receive, and process charitable gifts (other than tithing, fast offerings, and funds raised for local ward and stake projects). Philanthropies functions under the direction of the Presiding Bishopric and a board that includes the President of BYU and other Church schools. The executive director of the BYU Development Office reports to both the managing director of Philanthropies and the BYU Advancement Vice President.

Name Clearance

The First Presidency has authorized Philanthropies to be responsible for assigning names of potential donors to the charity with whom that person might have a particular interest, to avoid having donors receive multiple solicitations from different Church charities or from different departments within the same institution. The spirit of name clearance activity is cooperation, consistency, and success—not exclusivity.

When University personnel identify a potential donor, they should contact the donor liaison assigned to the appropriate college, or the BYU Development Office, C-389 ASB. The name will then be taken to the Name Clearance Committee. The BYU Development Office will report to the requester whether the name has been cleared as requested or was already assigned elsewhere.

General Authorities of The Church of Jesus Christ of Latter-day Saints are NOT TO BE SOLICITED FOR FUNDS. However, if a General Authority already belongs to a fund-raising group or organization on campus, that organization may continue to correspond with the General Authority through its regular communication channels.

Soliciting/Accepting Gifts

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Mass solicitation: BYU Development through the Annual Giving Office coordinates the direct mail and telephone solicitations to multiple potential donors, including alumni.

Solicitation of University personnel: The Together for Greatness program seeks the continuing financial support of all personnel in behalf of the University through monthly or annual contributions. BYU Development through the Annual Giving Office operates this program.

Other Individuals: Solicitations of individuals is coordinated through the BYU Development Office or through the representative of that office assigned to the college/school.

Foundations/Corporations: Foundations and corporations that have internal funding mechanisms have established guidelines that must be followed in soliciting grants and contributions. Consequently, all contacts with corporations and

guidelines that must be followed in soliciting grants and contributions. Consequently, all contacts with corporations and private foundations with the intent to solicit funds are to be coordinated through the BYU Development Office's Directors of Foundation and Corporate Relations.

Non-Cash Gifts: Gifts-in-kind, securities, real estate gifts, gifts of trusts, and many other non-cash contributions require special handling and review. Prior to asking for or agreeing to accept any such gift, contact the BYU Development Office. Technology donations will be coordinated with the Office of Information Technology.

Restricted Donations Accounts: Funds received for endowment, sponsored research, and purposes designated by donors are placed in restricted accounts. All such accounts are subject to the contractual arrangements specified in the research agreements, the trust agreements, or the documents expressing the wishes of the donors. Even though such funds are not tithing and tuition funds, expenditures should be as carefully made as for budgeted funds. In some cases the restrictions are even more severe: legal fiduciary responsibilities are involved. Administrators and other personnel should not expect they can spend funds from restricted accounts with less accountability than for budgeted funds. Ordinarily, expenditures from restricted accounts will be subject to the same limits as those applying to unrestricted budgetary accounts, subject to the specific conditions of the gifts or contracts. For example, the same limits on expenditures for travel, food and refreshments would normally apply.

Because of possible conflicts of interest and possible tax problems, the University will not accept research funds or donated funds that will be administered by the donor.

Accounting/Recording Donated Gifts

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All gifts of cash, checks, securities or documentation on gifts-in-kind should be delivered to the BYU Development Office, C-389 ASB. Colleges/departments should not deposit cash or checks directly into a campus account. The BYU Development Office will work with The Church of Jesus Christ of Latter-day Saints and BYU Financial Services to ensure proper reporting, receipting and acknowledging of all donations.

Financial Services will notify the department when the funds have been placed in a new account. Financial Services will advise the department regarding any restrictions placed on the donation and the account code in which the funds have been placed. When additional funds are received for an existing account, the only notification will be an increase in the account balance on the monthly report.

In addition, Philanthropies will provide the dean's office of each college with a monthly "Select Account" report. This report will give the name, address, donation amount, and gift restriction (account number) of each donor for the reporting month. This is a confidential report and the deans should only share it with those who need to know.

Each department will be responsible for the expenditure of the funds and the compliance with all restrictions and other requirements in accordance with University policies and procedures.

Financial Services will make a periodic review to see that all funds are handled in compliance with the wishes of the donors and all restrictions and requirements are being followed.

Conditional gifts, where the donor expects to receive some special service or research in exchange for the gift, are contrary to University and tax regulations. They may place unrealistic demands on the University, and should not be accepted unless approved by the Advancement Vice President or Academic Vice President.

Appendix A

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Fund-Raising Guidelines for Academic Courses and Programs

Service is an important aspect of the BYU experience. Students are encouraged to participate in meaningful service through campus wards and stakes and through the Jacobsen Center for Service and Learning. In some instances, faculty have required students to participate in service projects as part of course requirements. In many cases these service projects have focused on fund raising: sometimes to benefit individual students, sometimes to benefit well-known charitable causes, and sometimes to benefit groups with whom faculty are personally associated.

These fund-raising initiatives can have unanticipated consequences:

- Resentment from the local community because of constant contact and requests for funds.
- Hindrance to the University's general development effort.
- Feeling of exploitation by faculty and other students.

The following guidelines have been adopted to avoid the unintended but sometimes negative consequences of fund-raising connected with academic assignments. These guidelines confirm and support the University Fund-Raising Policy.

- Faculty may not solicit, encourage, or require students to participate in fund-raising activities as donors or petitioners, including requirements or directions to participate in Care Week. Fund raising should not occupy classroom or student consultation time nor be part of academic course requirements or credits.
- Academic programs should not solicit, encourage, or require students to participate in fund-raising activities as donors or petitioners. Exceptions could include the annual University-sponsored student campaign or the “senior pledge.” Colleges and departments may unite students to participate in their priority development activities that are approved by the President’s Council and are coordinated with the BYU Development Office.
- Solicitation of non-monetary items (e.g., food, clothing, medical supplies, books, personal hygiene items, etc.) follows the principles expressed above.
- Student participation in Care Week is governed by the policies developed by Student Life.
- Guidelines for linking service experiences to academic course requirements can be found in the University Curriculum Handbook or through the office of the Associate Academic Vice President-Undergraduate Studies.
- Students may apply for funding from the Jacobsen Center for Service and Learning to support service-learning projects. Guidelines and policies for these funds can be obtained from the Jacobsen Center.
- Deans, Directors, or Department Chairs can make petitions for rare exceptions to this policy to the Associate Academic Vice President-International, Distance, and Continuing Education.

Appendix B

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Fund-Raising Guidelines for Student Clubs and Groups

The University recognizes and supports the many kinds of service contributions student organizations can make on campus, in the local community, and even around the world. Each year student clubs sponsor meaningful social activities, service projects, cultural events, and educational forums. In doing so, student groups are expected to emphasize giving service, versus the generating of revenue, as the main consideration for activity planning and charitable outreach.

The following guidelines and approval process has been adopted to: a) determine when a fund raising proposal by a student club is a reasonable option; b) ensure financial accountability for funds raised; and c) be considerate of the time and budgets of students who may be involved or targeted to participate in such activities.

These guidelines confirm and support the University Fund-Raising Policy:

- All student fund-raising activities, whether originating from a BYUSA club, a college- or department-sponsored organization, or a campus service area must be approved prior to scheduling facilities, advertising, or contracting for services.
- A fund-raising activity is one where revenue is generated, other than organization dues, whether or not a profit is made. Such activities should allow clubs or groups to earn operating monies to meet reasonable expenses during the year but not build up excessive reserves. Limited fund raising can also be done in support of charitable or humanitarian causes.
- Charitable drives to collect non-monetary contributions such as food, clothing, books, or supplies are subject to the same guidelines and approval process as fund-raising activities.
- Soliciting local businesses, national corporations, or individuals (alumni, friends of the University, etc.) by any student group for donations (money, sponsorships, gifts, premiums) to support campus fund raising must be approved by BYU Development before any contact can be made.
- Fund raising should be for the benefit of the collective organization or an approved charitable cause. Monies raised should not be for the specific benefit of individuals (within or outside the organization) and cannot be used to support student travel or scholarships.
- Fund raising that involves door-to-door contacting, telephone sales, cash collection boxes, soliciting loose change donations, sale of advertising, or furthering off-campus commercial or political interests will not be approved.
- The review of fund raising requests will be based on the following principles:
 - The activity is of benefit to the campus community. The nature and location of the activity must also be appropriate for involvement by students at BYU.

appropriate for involvement by students at BYU.

- The activity offers goods or services at a price that is economically reasonable and invites participation in a way that is non-coercive.
- The activity has been well planned and there is adequate assurance the group is risking only money that it is prepared to pay in case the activity does not prove to be commercially successful.
- There will be adequate supervision at the activity to be responsible for cash handling, participant safety, and compliance with University standards.
- Fund-raising activity should be for a defined and relatively short period of time.
- The defined period of time for fund-raising events or commodity drives in support of charitable or humanitarian causes is during a BYUSA-sponsored Care Week.
- Permission to raise funds on campus may be withheld if the proposal is deemed to be insufficiently related to broader University objectives, or if difficult precedents might be established.
- Funds raised by student groups can generally not be donated to University departments, performing groups, or other budgeted programs.

CONTACT

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BYU Fundraising Guidelines

I. Fundraising for Student Financial Aid

BYU may engage in fundraising for student financial aid. This includes scholarships, grants, fellowships, awards, loans, financial support, and student wages where appropriate; activities such as inspiring learning, experiential learning, mentored learning, teaching assistantships, student research, research assistantships, internships, study abroad, work-study, and travel; and participation in performing groups and competitions.

II. Fundraising for Non-Tithing-Based Activities

BYU may engage in fundraising for non-tithing-based activities, such as Athletics and BYU Broadcasting.

III. Other Fundraising Activities

Additional fundraising efforts at the university are permitted only as follows:

III.1. Significant Academic and Capital Projects

The president is permitted to bring significant academic or capital projects to the board for approval as fundraising projects.

- “Significant” means the project would require dedicated Philanthropies resources to accomplish the funding objective.
- This type of academic or capital project would typically involve raising multiple millions of dollars. Examples might include a new building or a major new academic center.
- A significant academic project might typically involve between \$2 and \$5 million per year in operating funds, thus requiring an endowment in the range of \$40 to \$100 million.

III.2. Annual Funds and Major Unrestricted Projects

Philanthropies may (1) raise unrestricted annual fund donations on behalf of the institutions and their colleges and departments and (2) accept unrestricted major gifts for the institutions. Except for Philanthropies' annual giving program, the institutions, colleges, and departments may not solicit unrestricted funds from prospective donors. Active fundraising for the Trustees'/President's Fund is discontinued.

III. 3. Major Restricted Gifts

The president may propose to the board acceptance of a specific major restricted gift for university priorities as an exception to the guidelines. These major restricted gifts would typically exceed \$1 million.

III.4. Donations in Kind

BYU may receive in-kind donations if approved by Philanthropies and the line vice president. BYU may not solicit in-kind donations.

III.5. Matching Gifts and Appropriated Agreements

BYU may not employ or accept matching donations where one donor proposes to match gifts from other donors. This limitation on matching applies to all gifts regardless of their purpose. This limitation does not apply to (1) programs of corporations (e.g., Exxon-Mobil or Shell) that agree to match donations from their own employees, nor does it apply to (2) appropriated funding that the board provides to match student financial aid gifts for certain endowments created before the new fundraising guidelines were adopted.



BIWEEKLY PAYROLL ACCRUAL MONTH-END PROCESS

Open Section Menu

Because many bi-weekly payrolls are processed after the month ends, an accrual (estimation) of the costs for each month's unpaid days will be made and recorded automatically for most areas of the campus. Faculty and administrative employee payrolls do not need an accrual since they are processed at the end of each month for that month's payments. **The accrual process will not affect the timing or actual amount of salaries and wages paid for any employee groups.**

Computation of Payroll Accruals

Accruals only occur each month for cost recovery type accounts. In December of each year, all accounts are charged with accruals based on the following:

The accrual for the salary of **full time employees** is determined at the end of the month/year based upon the number of weekdays unpaid at month-end multiplied by their pay rate X an 8 hour day.

The accrual for **students paid on a contract basis** is determined from the ratio of weekdays remaining unpaid at the end of each month divided by the number of week days in the contract period, multiplied by the contract amount.

The accrual for **student employees and part time non-student employees paid on an hourly basis** is determined by multiplying their hours worked, based on recorded hours in the Y-Time timekeeping system. These hours must be entered by Dec 31, by their hourly wage rate. Some campus areas record time for these employees via time cards.

Journal Information

Payroll accrual journals will be dated the last day of the month and have a Journal ID with the prefix "PYA", and a Journal Source of "264". An automatic reversal of the payroll accrual entry will be made on the first day of the following month (Journal Source "265").

Payroll benefit costs associated with both paid and accrued wages for the entire month will be automatically calculated and recorded by the accounting system as part of the month-end close process. The payroll benefit journal will be dated the last day of the month, have a 10 digit numeric Journal ID with leading zeros, a Journal Source of "ALO", and a Journal Header Ref of "BEN+ benefit rate? (e.g BEN 7.9%)". The reversal of the benefit accrual will be netted into the next month-end payroll benefit journal.

Computed expenses will post to the regular payroll and benefit account codes. A payroll accrual will also be recorded to the liability section of the balance sheet in account code 2210.

Questions? Please contact the Financial Services accountant responsible for your area.

Contacts

Payroll Office
801-422-8186
payroll1@byu.edu

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[801-422-4636](tel:8014224636)
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FURNISHING STANDARDS
FOR
BRIGHAM YOUNG UNIVERSITY

Prepared by
The Furnishings Committee
Revised
May 2008

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FURNISHINGS COMMITTEE MISSION STATEMENT

The Furnishings Committee is to 1) review and make recommendations to the University administration on furnishings standards for all campus buildings; 2) contact appropriate departments and/or individuals relative to suggestions made for improvement; 3) review exceptions to the Furnishings Policy and make recommendations to the Campus Planning and Use Committee; and 4) act on any other matters referred to it by the University administration.

... ..

Furnishings Committee Organization

The Furnishings Committee is comprised of individuals selected from various departments across campus, appointed to serve by the President of the University, and responsible to the Administrative Vice President.

FURNISHINGS COMMITTEE

Terry Hatch, Committee Chair

Physical Facilities

Purchasing

2-7001

Jim Dain

Physical Facilities

Director of Building Services

2-5520

Catherine Strange

Facilities Planning

Interior Design Supervisor

2-5556

Gene Libutti

Facilities Planning

Administrative Assistant-Special Projects

2-5404

Anne Schroeder

Physical Facilities

Director of Space Management

2-5409

Boyd LeeMaster

Auxiliary Maintenance

Furnishings and Facilities

2-1793

Ron Woods

College of Humanities

Assistant to the Dean

2-4622

Rixa Oman

Marriott School of Management

Assistant to the Dean

2-6824

Mary Asmus

Facilities Planning

Department Secretary

2-5446

Student Advisory Council Representative

2-7181

CAMPUS PLANNING & USE COMMITTEE

Brian K. Evans, Committee Chair
CFO and Administrative Vice President

John S. Tanner
Academic Vice President

Brent W. Webb
Associate Academic Vice President
Research and Graduate Studies

K. Fred Skousen
Advancement Vice President

Kelly Flanagan
Information Technology Vice President
C.I.O.

Jan Scharman
Student Life Vice President

Sandra Rogers
International Vice President

Ole M. Smith
Assistant Administrative Vice President
Physical Facilities

Anne Schroeder
Director of Space Management
Physical Facilities

Bob Ross
Assistant Director of Space Management
Physical Facilities

FURNISHING ACQUISITION PROCEDURES

Please note the following (which has been clarified) from the University Handbook: All furnishings, including keyboard trays, desks, chairs, file cabinets, carpets, window and wall coverings, etc., must be purchased using a Physical Facilities Work Request. Acquisition is to be coordinated through the Physical Facilities Planning Division, 240 BRWB, ext. 8-5556.

New Furniture: (New furniture includes aesthetic improvements, i.e. reupholsters, upgrades).

1. Requestor fills out Work Request form. (This form is available for electronic submission at “plantwo.byu.edu.”)
2. Physical Facilities routes approved work request to Facilities Planning for action.
3. After Planning meets with the requestor, the cost estimate is sent to the college representative (with a copy to the requestor) for approval.

Planning flags any requests that are not standard and routes them to the Furnishings Committee before returning the form to the college representative. Physical Facilities will notify the college representative of those requests sent to the Furnishings Committee for review.
4. College representative approves Cost Summary, including justification and possible sources of funding, then forwards it for necessary approvals.
5. Approved Cost Summary returned to Physical Facilities for order of furniture.
6. Purchase requisition written and furniture ordered through Purchasing Department. Furniture is **expected** to arrive 6-12 weeks from the order date.
7. Furniture arrives at BYU Physical Facilities (Moving), and is then delivered and installed to the requestor/department.
8. Department account charged and Work Order closed.

Furniture Replacements: (For replacing existing furniture that is worn out and not repairable).

1. Requestor fills out Work Request form, noting that the request is “**Replacement of Existing Furniture**” (that is worn out and not repairable).
2. Physical Facilities evaluates request and recommends appropriate source of funding.

Furniture Repairs: (Existing Academic furniture will be repaired at no cost to the department).

1. User contacts building custodian.

Used Furniture: (The University stocks a limited amount of used furniture available at no cost to departments).

1. Requestor contacts College Representative.
2. College Representative contacts Space Management (2-5408) for evaluation and action.

FURNISHING STANDARDS PRICE LIST

Building Standard Carpet Tile	Not to Exceed \$40.00/yd (installed)
Building Standard Draperies	Not to Exceed \$25.00/yd for fabric (not installed)
Standard for WallFinishes	Not to Exceed \$25.00/yd
Standard for Upholstery Fabric:	Not to Exceed \$65.00/yd maximum for all areas, except President's Area

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following positions:

**Student Assistant
Part-Time Faculty**

Floor Coverings

Carpet or vinyl tile flooring with carpet, wood, or rubber base
Floor covering to match the building standards
Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

Painted block or gypsum board or as is typical with building

Window Coverings

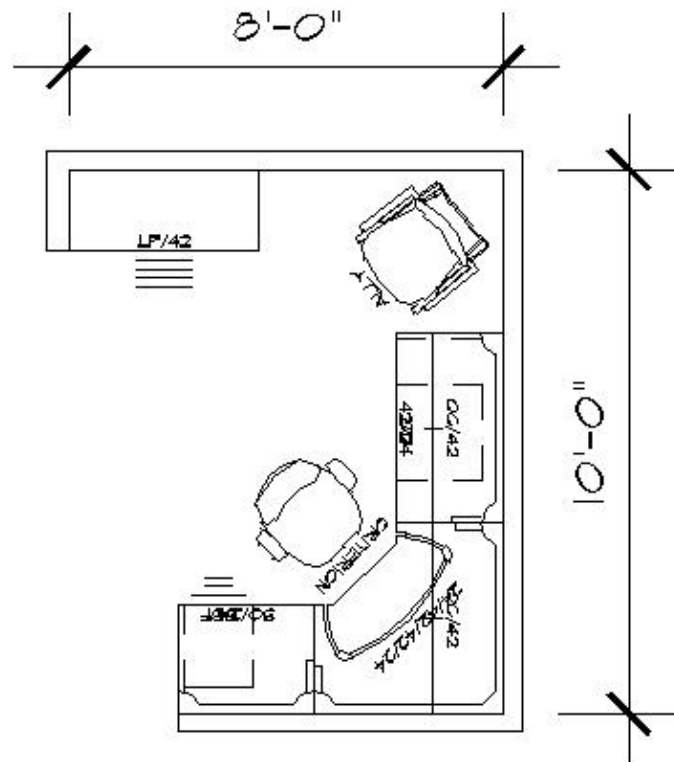
Building standard drapes or blinds

Systems Furniture (Metal furniture with laminate work surface)

- (8) Lineal feet of work surface
- (2) Binder bins or hang on shelf units with lights
- (1) Drawer pedestal
- (1) Desk chair with arms
- (1) Side chair
- (1) File cabinet (Lateral or Standard)
- (1) Articulated keyboard
- (1) Center drawer

Budget: Freestanding \$3,500 - \$5,300
With Powered Panels \$5,500 - \$7,300

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is complete.



THE OFFICE SIZE STANDARD IS 35-80 SQ FT,
DEPENDING ON FURNITURE NEEDED.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following position:

Secretarial Area

Floor Coverings

Carpet with carpet, wood, or rubber base

Carpet to match the building standards

Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

Painted block or gypsum board or as is typical with building. Accent walls are permitted in department office reception areas.

Window Coverings

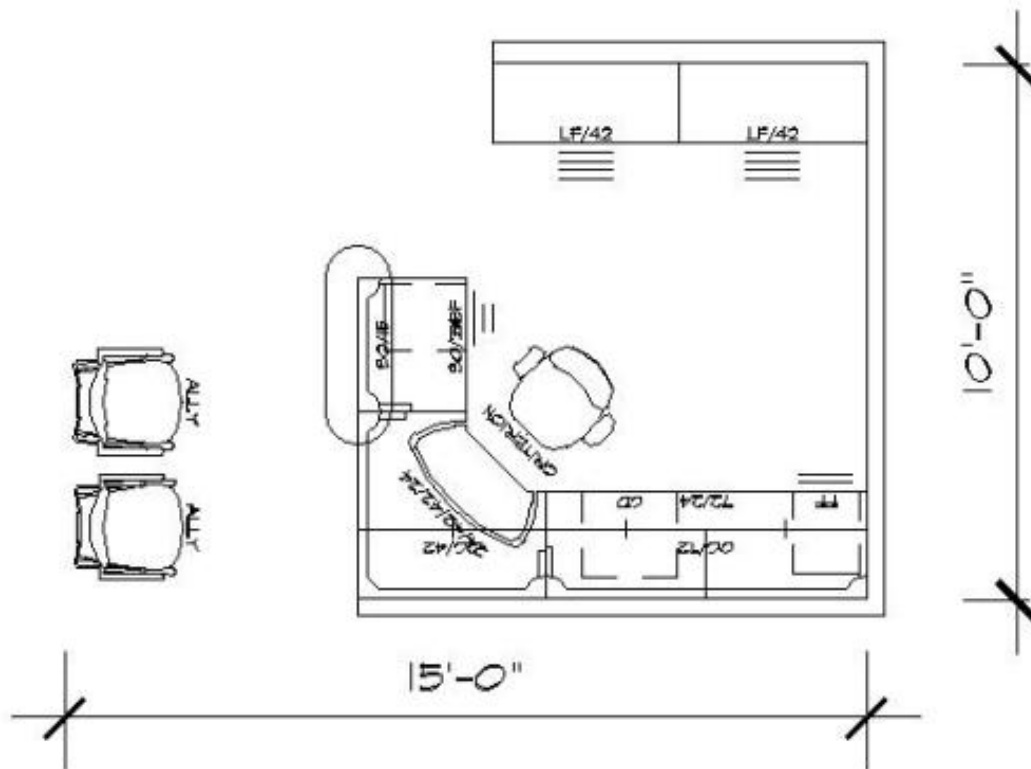
Building standard drapes or blinds

Systems Furniture (Metal furniture with laminate work surface)

- (12) Lineal ft of work surface including corner work surface
- (3) Binder bins or hang on shelf units with lights
- (2) Drawer pedestals
- (1) Desk chair with arms
- (2) Side chairs
- (2) File Cabinets (Lateral or Standard)
- (1) Center drawer
- (1) Articulated keyboard

Budget: Freestanding \$6,100 - \$7,700
With Powered Panels \$7,100 - \$8,700

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



THE OFFICE SIZE STANDARD IS 150 SQ FT, WHICH INCLUDES SPACE FOR ONE SECRETARY AND SEATING FOR 2-3 VISITORS.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following positions:

Staff Office
Administrative Staff Office
Faculty Office
Supervisor and Coordinator Office

Floor Coverings

Carpet with carpet, wood or rubber base

Carpet to match the building standards

Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

Painted block or gypsum board or as is typical with building

Window Coverings

Building standard drapes or blinds

Systems Furniture (Metal furniture with laminate work surface)

(12) Lineal ft of work surface including corner work surface

(2) Binder bins or hang-on shelf units with lights

(3) Drawer pedestals

(1) Desk chair with arms

(2) Side chairs with arms

(3) File cabinets (Lateral or Standard)

(2) Bookshelves (80 lin ft)

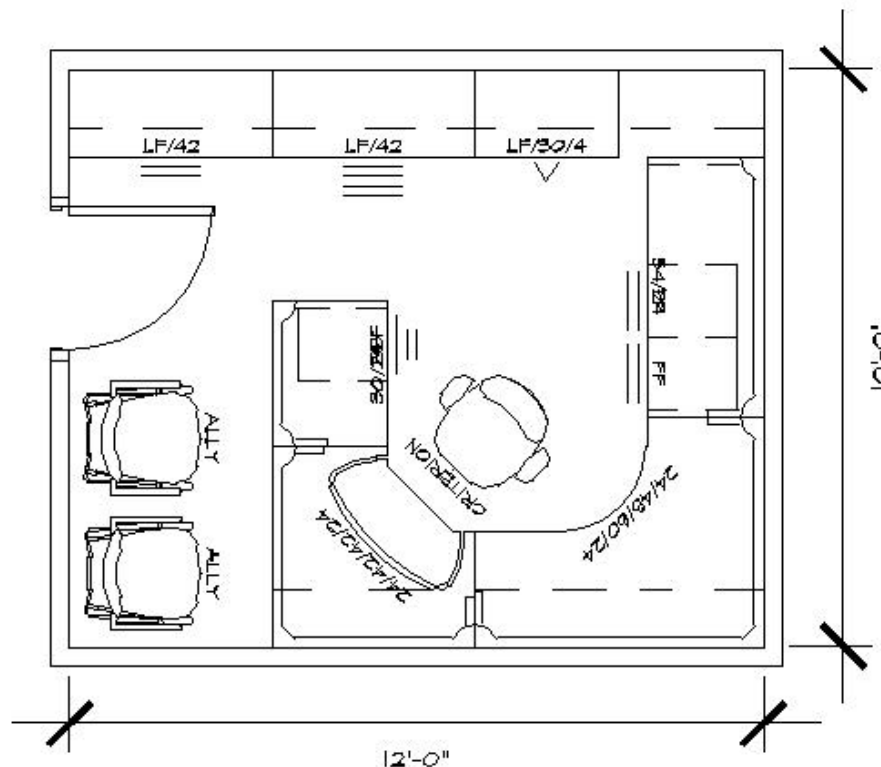
(1) Center drawer

(1) Articulated keyboard

Budget: Freestanding \$5,735 - \$ 8,850

With Powered Panels \$8,000 - \$10,000

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



THE OFFICE SIZE STANDARD IS 120 SQ. FT.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following positions:

Manager and Director Office
Managing Director Office
Associate Chair Office
Department Chair Office
Associate & Assistant Dean (see Dean's Suite)

Floor Coverings

- Carpet with carpet, wood or rubber base
- Carpet to match the building standards
- Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

- Wood Paneling (if existing in office)
- Painted block or gypsum board or as is typical with building.

Window Coverings

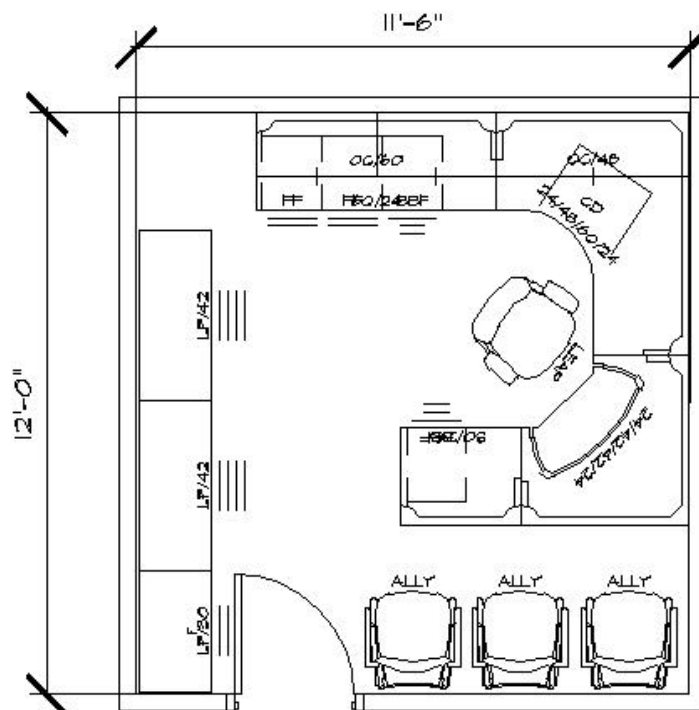
- Building standard drapes or blinds.

Systems Furniture (Metal furniture with laminate work surface or match wood, if existing)

- (17) Lineal ft of work surface, including corner work surface
- (2) Binder bins or hang on shelf units with lights
- (3) Drawer pedestals
- (1) Desk chair (high back with arms)
- (4) Side chairs with arms
- (1) Radius end table
- (3) File cabinets (Lateral or Standard); or 2 bookcases; or 80 lin ft of built-ins
- (1) Center drawer
- (1) Articulated keyboard

Budget: \$12,000

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



THE OFFICE SIZE STANDARD IS 140 SQ. FT.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following positions:

Executive Director Office and Suite
Dean Office and Suite

Floor Coverings

- Carpet with carpet or wood base
- Carpet to match the building standards
- Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

Textured paint or wood paneling. Accent walls (walls treated with other than standard paint colors).

Window Coverings

Building standard drapes or blinds

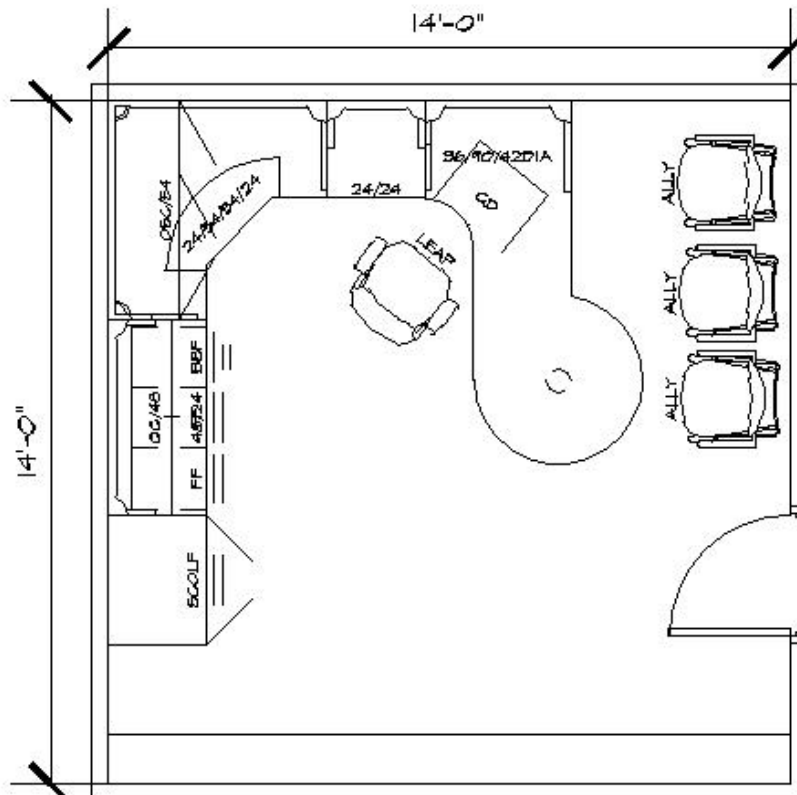
Freestanding Wood or Metal Furniture

- (18) Lineal feet of work surface
- (1) Desk chair (high back with arms)
- (4) Side chairs (with arms)
- (2) File cabinets (4 drawer lateral or equivalent)
- (1) Bookshelf (100 lineal ft) built-in or cabinets
- (1) Articulated keyboard
- (2) Drawer pedestals
- (2) Binder bins or hang-on shelf units with lights

Budget: \$12,000 - \$16,000

Occasional tables and lamps as dictated by the design layout are approved for this category.

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



THE OFFICE SIZE STANDARD IS 200 SQ FT.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following positions:

**Associate Vice-President
Assistant Vice-President**

Floor Coverings

Carpet with carpet or wood base

Carpet to match the building standards

Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

Textured paint or wood paneling. Accent walls (walls treated with other than standard paint colors).

Window Coverings

Building standard drapes or blinds

Freestanding Wood Furniture

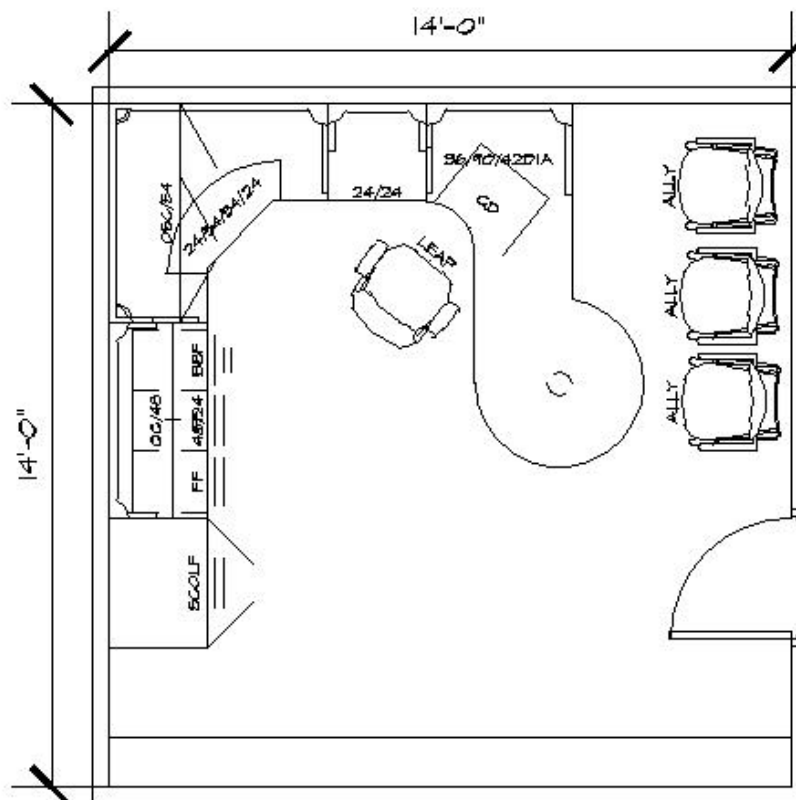
- (20) Lineal feet of work surface
 - (1) Desk chair (high back with arms)
 - (4) Side chairs (with arms)
 - (1) File cabinet (Lateral or equivalent in wood)
 - (1) 42" round table or computer table
- (60) Lineal feet of bookshelves built-in or cabinets
 - (1) Articulated keyboard
 - (3) Drawer pedestals and storage
 - (2) Binder bins or hang-on shelf units with lights

Budget: \$16,000

Occasional tables and lamps as dictated by the design layout are approved for this category.

Building design and function should determine the use of either freestanding furniture or power panel supported furniture.

This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



THE OFFICE SIZE STANDARD IS 200 SQ. FT.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following position:

Vice President

Floor Coverings

- Carpet with Carpet or Wood Base
- Carpet to match the building standards
- Carpet to be the building standard carpet tile - \$40.00/yd installed

Wall Finishes

Textured paint or wood paneling. Accent walls (walls treated with other than standard paint colors).

Window Coverings

Building standard drapes or blinds

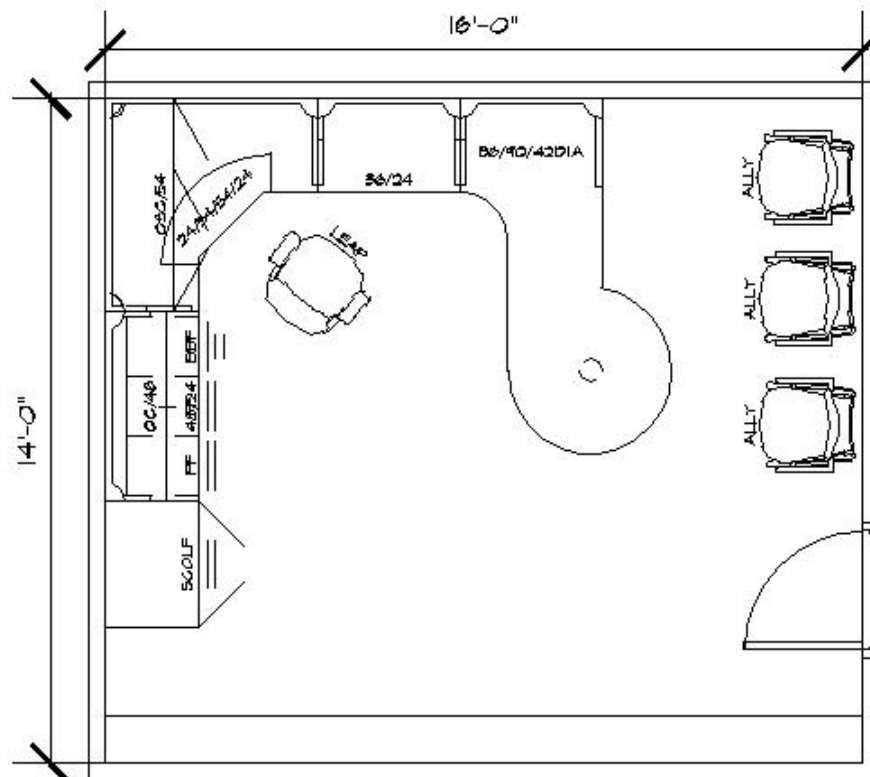
Freestanding Wood Furniture

- (20) Lineal feet of work surface
 - (1) Desk chair (high back with arms)
 - (6) Side chairs (with arms)
 - (1) File cabinet (lateral or equivalent in wood)
 - (1) Conference table
- (60) Lineal feet of bookshelves built-in or cabinets
 - (1) Articulated keyboard
 - (3) Pedestals and storage
 - (2) Binder bins or hang on shelf units with lights

Budget: \$18,000

Sofas, Occasional Tables and Lamps as dictated by the design layout are approved for this category.

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



THE OFFICE SIZE STANDARD IS 225 SQ FT.

DESCRIPTION

This standard is intended to include office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following position:

President

Floor Coverings

Carpet with carpet or wood base

Carpet as approved by the president

Wall Finishes

Textured paint or wood paneling. Accent walls (walls treated with other than standard paint colors).

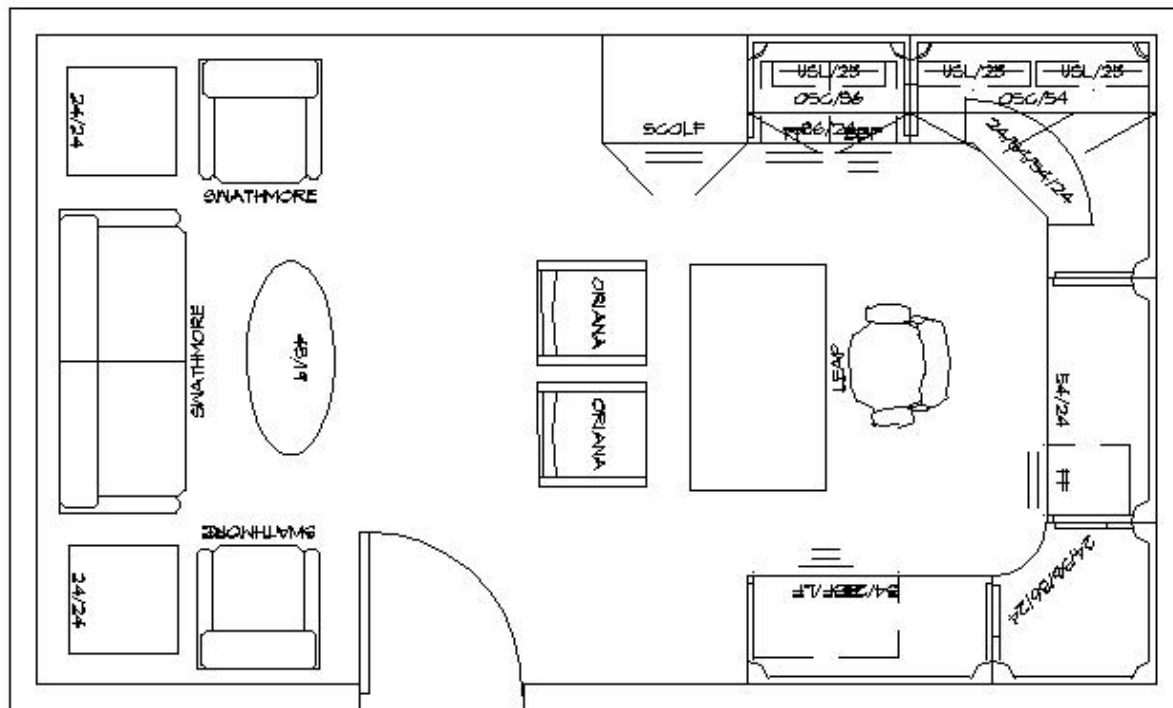
Window Coverings

Building standard drapes or blinds

Freestanding Wood Furniture

- (1) Executive desk (36 x72) with return (24x96), with pedestal and center drawer
- (1) Credenza (25x72) to match desk
- (1) Desk chair (high back with arms, fabric or leather)
- (6) Side chairs (with arms)
- (1) File cabinet (4 drawer lateral or equivalent)
- (1) Sofa (36x84)
- (60) Lineal feet of bookshelves built-in or cabinets
- (1) Articulated keyboard

Sofas, side chairs, occasional tables and lamps as dictated by the design layout are approved for this category. Building design and function should determine the use of either freestanding furniture or power panel supported furniture. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing offices. Existing office furnishings may vary from this guideline, and may remain until future moves or remodeling is completed.



DESCRIPTION

This standard is intended to include typical fixed seating, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Auditorium

Floor Coverings

Carpet with carpet or wood base (carpet to be building standard carpet tile)

Wall Finishes

Painted block or gypsum board

Acoustical wall covering or wood paneling to fit design of building

Window Coverings

Building standard drapes or blinds.

Furniture

Tele-odium

Stacking armchairs

Fixed auditorium seating w/ writing tablets (oversized tablets to be standard)

Tables as required for design and setup

4% Seating for ADA requirement

3% Seating to be left-hand tablet arms

Building design and function should determine the use of either freestanding furniture or power panel supported furniture. Wall hung or portable chalkboard, whiteboards and tack boards as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing auditorium furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical classroom furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Classroom

Floor Coverings

Vinyl tile flooring with rubber base

Carpet with carpet or wood base (carpet to be building standard carpet tile)

Wall Finishes

Painted block or gypsum board

Window Coverings

Building standard drapes or blinds

Furniture

Tele-cabinet

Stacking chairs with tablet arms (oversized tablet to be standard)

Tables as required for design and setup

4% Seating for ADA requirement

3% Seating to be left-hand tablet arms

Chalkboard, whiteboards and tackboards as dictated by the design layout are approved for this category.

This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing classroom furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical computer lab furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Computer Room

Floor Coverings

Vinyl tile flooring with rubber base

Carpet with carpet or wood base (carpet to be building standard carpet tile)

Wall Finishes

Painted block or gypsum board

Window Coverings

Building standard drapes or blinds.

Furniture

Computer chairs

Computer tables (size will vary with design layout)

4% Computer tables and seating for ADA requirement

Whiteboards and tack boards as dictated by the design layout are approved for this category.

This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Conference Room

Floor Coverings

Carpet with carpet or wood base (carpet to be building standard carpet tile)

Wall Finishes

Textured paint or wood paneling

Window Coverings

Building standard drapes or blinds

Furniture

Conference table (size to fit room)

Conference room chairs

Side table or credenza

Bookshelves are approved for installation in conference rooms. Design to be based on room size, use and layout that work best with function and department needs. Chalkboard, whiteboards and tackboards as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Corridor

Floor Coverings

Vinyl tile flooring with rubber base

Terrazzo with terrazzo base

Carpet with carpet, rubber or wood base (carpet to be building standard carpet tile)

Wall Finishes

Painted block or gypsum board (wall coverings are not permitted in corridors).

Window Coverings

Building standard drapes or blinds

Furniture

Benches

Planters

This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Gallery

Floor Coverings

Carpet with carpet or wood base (carpet to be building standard carpet tile)
Resilient or hard surface Flooring

Wall Finishes

Painted gypsum board

Window Coverings

Building standard drapes or blinds

Furniture

Benches
Sectional seating
Sofas
Armchairs to match sofa
Occasional tables and lamps

Built-in specialty lighting and display equipment as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Library

Floor Coverings

Carpet with carpet, rubber or wood base (carpet to be building standard carpet tile)

Wall Finishes

Painted gypsum board
Textured paint

Window Coverings

Building standard drapes or blinds

Furniture

Bookshelves
Seating
Benches
Carrels
4% Study tables and study chairs for ADA requirement

Specialized areas may include special seating, sofas, side chairs and tables as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Lobby

Floor Coverings

Carpet with carpet, rubber or wood base (carpet to be building standard carpet tile)

Wall Finishes

Painted gypsum board

Window Coverings

Building standard drapes or blinds

Furniture

- Sectional seating
- Benches
- Sofas
- Arm chairs
- Occasional tables
- Planters

Display cabinets, tack boards and counters as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Faculty Common and Lunch Room

Floor Coverings

Carpet with carpet, rubber or wood base (carpet to be building standard carpet tile)
Vinyl tile and rubber base

Wall Finishes

Painted gypsum board

Window Coverings

Building standard drapes or blinds

Furniture

Booths
Chairs (stacking)
Tables, collapsible (round, rectangular)

Cabinets, counters and plumbing as dictated by the design layout are approved for this category. Adjustable counter and sink segment to meet ADA requirements. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Reception Area

Floor Coverings

Carpet with carpet, rubber or wood base (carpet to be building standard carpet tile)
Vinyl tile and rubber base

Wall Finishes

Painted block or gypsum board. Accent walls are permitted in department office reception areas. Paint is recommended.

Window Coverings

Building standard drapes or blinds

Furniture

Arm Chairs
Sofas
Tables (round, rectangular)

Built-in display cabinets, counters and tack boards as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

DESCRIPTION

This standard is intended to include typical office furniture, floor coverings, wall finishes, window coverings and other special furnishing needs for the following area:

Student Common Area/Lounge

Floor Coverings

Carpet with carpet, rubber or wood base (carpet to be building standard carpet tile)
Vinyl tile and rubber base

Wall Finishes

Painted block or gypsum board

Window Coverings

Building standard drapes or blinds

Furniture

Sectional seating/benches
Chairs (stacking)
Study tables wired for data and electrical needs
Occasional tables
Planters

Display cabinets, counters and tack boards as dictated by the design layout are approved for this category. This standard is developed to be a guideline for the planning of new facilities and remodeling of existing buildings. Existing furnishings may vary from this guideline, and may remain until future changes or remodeling is completed.

Carpet Standards

Through the years, the number of carpet styles and colors has increased dramatically in our campus buildings. In an effort to better manage the variety of carpets that are used (and subsequently stored for future maintenance and replacements), the BYU administration has asked the Furnishings Committee and the Facilities Planning Interior Design Department, with input from various campus sources, to recommend a clarification to the campus carpet standard. The proposed standard was presented to the Campus Planning and Use Committee and subsequently approved by the President's Council.

The standard identifies seven basic carpet schemes which can be used. Each scheme includes colors, patterns and styles based on approved church contracts with manufacturers. When carpet is installed in a new space or existing carpet is replaced, the carpet standard already in use for that building is automatically the approved replacement scheme. Once the carpet in the entire building as a whole has reached the end of its useful life (usually 10-15 years) a new scheme can be considered by Physical Facilities to replace an existing standard. There are no exceptions to these standards. Any appeal to this policy must be made to line supervisors and administrators, who can take the request forward to their line Vice President if they deem it appropriate. Physical Facilities cannot make exceptions unless directed to do so by the administration.

Any member of the faculty or staff who would like additional information regarding this policy is invited to contact the Facilities Planning Interior Design department supervisor at 2-5556 for a detailed review of standards that apply to their area or building.

Accent Walls

Accent walls are walls treated with something other than standard paint colors. Accent walls could be complimentary paint or wood.

Accent walls are permitted in dean's level and above offices and suites and in department office reception areas. Paint is recommended. Accent walls with paint or wood are not permitted in individual faculty and staff offices.

Considerations When Choosing A Chair

Kind of Work Performed

- How do you spend your day at work?
- Do you sit down a little or a lot?
- If you typically sit for short periods at a time, or use a computer only occasionally, you can probably get along with a chair that offers basic adjustments.
- In general, the longer you sit in a chair at one stretch, and the more frequently you use a computer, the more important adjustability becomes.
- Adjustability is also important when a variety of people must use the same work chair, as in a reception area or team space.

User Comfort and Control

You can tell if a chair will provide comfort for prolonged sitting by asking yourself:

- Does the design support the way you move as you work?
- Are the controls easy for you to reach and adjust?
- Does it have the proper kind of adjustments to support the kinds of tasks you perform?
- Does it have enough adjustment range to accommodate different body types and sizes?

Cost of Ownership

Of course you need to choose a chair that fits your budget. But remember, there are typically other costs involved as well.

- Does the design minimize those aches, pains, and discomforts that tend to increase absences and boost healthcare costs?
- Will the chair help you increase productivity?

User-Centered Design

Good design is more than attractive styling. It must also support the needs and characteristics of the person using it.

- Does it help them work more effectively?
- Does the design balance style, comfort, performance and durability?

Seating and Chair Standards

Standard Classroom Seating

Company:	Virco	
Model:	Virtuoso	
	Plastic seat and back without arms	\$89.04
	Upholstered seat and back with arms	\$106.40
	Plastic seat and back with tab arms	\$166.00

Standard Fixed Seating

Company:	Irwin	
Model:	Marquee	
	BYU oversized tab arm	\$175.00

Standard for Desk Chairs

Company:	Steelcase	
Models:	a' la carte without arms	\$175.00
	a' la carte with arms	\$200.00
	Surprise with arms	\$250.00
	Criterion with arms	\$450.00
	Leap with arms	\$625.00

Company:	Herman Miller	
Model:	Aeron	\$750.00

Company:	Brayton	
Model:	Spinz	\$850.00

Standard for Conference Room Chairs

Company:	Gunlocke	
Model:	Monde (Vinyl (leather look-alike)	\$600.00

Company:	Cartwright	
Models:	Jake (Vinyl look-alike)	\$600.00
	"J J" (Vinyl look-alike)	\$475.00

Company:	Patrician	
Model:	Trinity (Vinyl look-alike)	\$400.00

Company:	Steelcase (Turnstone)	
Models:	Jacket (Only in leather in black, green, burgundy)	\$330.00
	319 Executive (Only in leather)	\$250.00

All prices will vary according to fabric and features on chair

VIRTUOSO®

The Virtuoso® Series elegantly unites comfort and durability. Designed by internationally renowned sculptor Charles Perry, Virtuoso features a patented articulating back mechanism that gently flexes to accommodate your position in the chair. Its tubular steel frame, buttressed by 7/16" solid steel rods and two underseat cross braces, makes Virtuoso more than tough enough for meeting halls, auditoriums, offices and educational environments.

Self-skinned urethane arms are standard on selected Virtuoso models. As an added convenience, Virtuoso chairs with or without arms can be stacked interchangeably. Four Virtuoso models also feature a fixed tablet arm for classroom and training applications.

Fourteen plastic seat and back colors and two standard frame finishes give you the freedom to coordinate the Virtuoso with your decor. If you'd like upholstered chairs, we offer an array of fabric patterns from which to choose.



Virtuoso - 2945 (shown with optional Sea Mist plastic color) and 2945P
A patented articulating back and a tubular steel sled base frame give the Virtuoso model 2945 a tasteful combination of comfort and strength. Shown with Chrome frame and Sea Mist plastic seat and back. Model 2945P units come with an upholstered seat and back.

Ganging Device - 2945G and 2945PG
An optional ganging device speeds and secures alignment of chairs in rows. The ganging device is available only on models 2945G and 2945PG.



Patented Articulating Back
Virtuoso's patented articulating back works in harmony with your body for enhanced seating comfort.

Virtuoso Model Selection



Plastic Seat and Back



2945, 2945G

2945A

2945TA

2945TALH

Upholstered Seat and Back

2945P, 2945PG

2945AP

2945AP

2945TAPLH

51526 MARQUEE

- 51 Plastic Back, Tufted Upholstery
- 5 Marquee Seat
- 26 Plastic Decorator Aisle Panel with Marquee Wood Armrests, and Number and Letter Plates



51566 TA MARQUEE

- 51 Plastic Back, Tufted Upholstery
- 5 Marquee Seat
- 66 Marquee Laminate Surfaced Decorator Aisle Panel, Laminate Armrests, Laminate Surfaced Tablet Arm, Number and Letter Plates, and Round Aisle Light Cove



STEELCASE 'A LA CARTE

- Pneumatic height
- Swivel mechanism
- Swivel-tilt mechanism
- Synchro-tilt mechanism
- Articulating mechanism
- Adjustable seat depth
- Three arm options (fixed T, height- and width-adjustable T, and C-arms)
- 10 year warranty on seating mechanisms, pneumatic cylinders

Statement of Line



Mid-back task
with modified
round back



Mid-back task
with round back



High-back task
with round back



Mid-back task with
square back



High-back task
with square back



Guest with
round back



Guest with
square back



3/4-Height side

STEELCASE SURPRISE!

- Pneumatic height
- Fixed or height-adjustable arms
- Stool has adjustable foot ring
- Swivel mechanism
- Swivel-tilt mechanism
- Articulating mechanism
- Variable back lock
- Back height
- Seat depth
- Tilt tension
- 10 year warranty on seating mechanisms, pneumatic cylinders

Statement of Line



Task
arm/armless



Stool
arm/armless



Guest



Manager

STEELCASE CRITERION

- Adjustable:
 - Back height
 - Back tension
 - Variable back stop
 - Pneumatic seat height
 - Seat angle
 - Seat depth
 - Height, width, and pivot arms
- Fixed arms
- Armless
- Posture-tilt
- Ideal if you sit for long periods of time
- 10 year warranty on seating mechanisms, pneumatic cylinders

Statement of Line



High-back



Mid-back



Criterion Plus



High-back stool



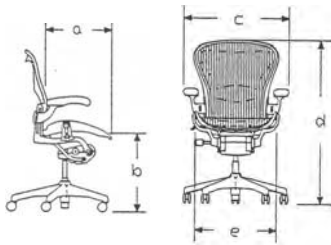
Mid-back stool

Herman Miller AERON

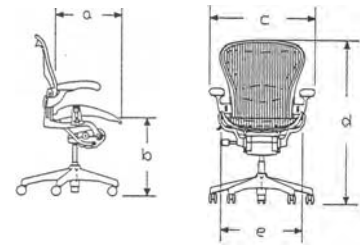
- Single-stage/two-stage pneumatic height adjustment
- Standard tilt, tilt limiter, tilt limiter and seat angle
- height-adjustable option that moves the arms 4" vertically and a fully adjustable option that moves the arms 4" vertically and pivots the arm pads 15° outward and 17 1/2° inward
- Adjustable lumbar
- Pellicle[®] material that conforms to the user's body and retains its original shape when unoccupied
- Tilt limiter that allows the user to set the tilt range to limit the amount of recline
- 12-year, 3-shift warranty

Statement of Line

Single-Stage
Pneumatic



Two-Stage
Pneumatic



STEELCASE SPINZ

- Stationary or adjustable arms
- Adjustable seat depth and angle
- 3-in-1 satellite control with tilt tension, back lockout, and pneumatic lift . black power-coat, polished aluminum, or wood base
- 1998 Best of NeoCon Award
- 10 year warranty on seating mechanisms, pneumatic cylinders

Statement of Line



Conference 780



Mid-back 781



High-back 782

STEELCASE LEAP

- Live Back changes shape to mimic your unique spinal motion
- Upper and lower back controls meet the different support needs of your upper and lower back
- Height, width, pivot arms provide natural support for your arms
- Natural Glide System lets you recline without pulling you away from your work
- Seat edge angle control lets front third of seat angle down for greater comfort
- 5-position back stop
- Labeled adjustment controls with Braille indicators
- Quick-change pillowed upholstery
- Rectilinear or see-through arms
- 10 year warranty on seating mechanisms, pneumatic cylinders

Statement of Line:



High-back



Full-back



Ribbon back frame available with standard or pillowed upholstery, bare-back, or bare-back with vest



Arch backframe available with standard upholstery



Full-back stool

STEELCASE (TURNSTONE) JACKET

- Available in leather only – 3 color options – black, green and burgundy
- Synchro-tilt mechanism
- Pneumatic seat height adjustments
- Tilt Tension adjustment
- Seat depth adjustable
- Height and width adjustable arms
- 10 year warranty on seating mechanisms, pneumatic cylinders



STEELCASE (TURNSTONE) 319 EXECUTIVE

- Available in leather only – 3 color options – black, green and burgundy
- Swivel – tilt mechanism
- Tilt tension
- Pneumatic seat height adjustment
- 10 year warranty on seating mechanisms, pneumatic cylinders



CARTWRIGHT “JAKE”

- Vinyl (Leather look alike)
- Base available in black, mirror cast aluminum or reinforced hardwood



CARTWRIGHT “J J”

- Vinyl (Leather look alike)
- Base available in black, mirror cast aluminum or reinforced hardwood



GUNLOCKE “MONDE”

- Vinyl (Leather look alike)
- Swivel tilt with tension adjustment or knee/tilt with tension adjustment and upright lockout
- Pneumatic or manual lift height adjustment
- High back or mid back



PATRICIAN “TRINITY”

- Vinyl (Leather look alike)
- Low or high back
- Tensioned swivel tilt and pneumatic lift
- Limited 5 year warranty



Internal Controls

Management and the Board of Trustees delegate authority, define responsibilities, and use appropriate processes and technology to assign responsibility and delegate duties as necessary at the various levels of the organization. Management monitors for changes in processes or controls and coordinates with the Church Auditing Department to assess the design and implementation of those controls.

The Church Audit Department reports to the Church Audit Committee and conducts a broad range of audits that contribute to the development and monitoring of the overall internal control structure of the university. The scope of these audits includes review of the processes designed to provide reasonable assurance of controls in the following categories:

- Effectiveness and efficiency of operations
- Compliance with applicable laws and regulations
- Safeguarding of assets
- Reliability of financial reporting

The results of Church Audit Department's engagements are promptly reported to the appropriate administrative personnel at the university, and significant issues are discussed with the Audit Committee. Management is responsible for seeing that corrective action is taken for reported deficient conditions. Additionally, BYU's Integrity and Compliance Office assures that management has developed and monitors processes and controls for compliance purposes.

Compliance with the university's policies and procedures are important to achieve an effective control environment. Some key activities that contribute to enabling strong internal controls include:

- Administrative emphasis upon ethical behavior and stewardship of sacred resources. In addition, a third-party administered whistleblower hotline allows individuals to openly or anonymously report inappropriate activities.
- Online access to university policies and procedures.
- Financial Services' 257 documented processes are regularly updated on a three year rotating basis.
- Regular process and control training is regularly provided to controllers and other financial personnel.
- Controls over vendor set up include using PaymentWorks, a third-party software which validates vendor identity and payment information, is utilized.
- Strong emphasis on segregation of duties, including
 - Two responsible people involved in requesting and approving purchase transactions; system inability to approve one's own transaction.
 - Cash and investment management by a dedicated treasury management department.
 - Regular bank reconciliation by central accounting.
 - Employment controlled by central human resources management.
 - Travel approval by employees' supervisors
 - Capital equipment verification process

- Regular review of purchasing card transaction compliance by Supply and Logistics Management.
- Monthly compliance report distribution to vice presidents, deans/directors and controllers.
- Monthly review of journal entries through judgmental sampling by university accountants.
- Central review of sponsored research activity by Research Accounting.
- Regular review of balance sheet account reconciliations.
- Funds expenditure are monitored to established budgetary limits
- Distribution to responsible managers of financial summaries and supporting detail information.

University Policies



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Non-CFS Track Academic Appointments Policy



Brigham Young University (BYU) may issue contracts for non-Continuing Faculty Status (non-CFS) track appointments of one year or less related to academic work. Benefits vary among non-CFS track academic appointments (see this policy and the [Faculty Hiring Policy](#)). Faculty with full-time appointments are expected to work a minimum of forty hours per week for eight months or more during an academic year. A person in a non-CFS track faculty appointment receives a contract outlining the terms of the appointment and its relationship to the university. A non-CFS track academic appointment does not carry with it or imply any promise or expectation of continuing employment or of additional appointments. The Office of the Academic Vice President may assign one of the non-CFS track academic appointments described in this policy when it is mutually advantageous for a formal relationship to exist between individuals and BYU. All faculty appointments require formal application through YJobs. However, Affiliate Professionals are exempt from the university's ecclesiastical clearance and compliance standards because they are not faculty appointments and therefore do not apply online through YJobs. Instead, appointment as an Affiliate Professional is requested by the respective department and college to the Office of the Academic Vice President. (See the definition of Affiliate Professional at the end of this policy under NON-CFS TRACK NON-FACULTY APPOINTMENTS.)

NOTE: No employee or officer of the university, unless authorized in writing by the president, the academic vice president (AVP), or the associate academic vice president – Faculty Relations (AAVP – Faculty Relations), may make a commitment to a person for full-time hire or continued employment, salary, benefits, or exceptional accommodations in connection with a faculty appointment. Any oral or implied-in-fact contract or arrangement to this effect is not deemed valid unless authorized in writing by the president, AVP, or the AAVP – Faculty Relations.

Non-CFS Track Faculty Appointments

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This section describes non-CFS track academic positions that are considered faculty at the university. All candidates for such appointments with faculty designation at the university are required to apply through the YJobs website and, if a member of The Church of Jesus Christ of Latter-day Saints, undergo an ecclesiastical clearance as part of the application process. Further, all such faculty who are members of The Church of Jesus Christ must comply with the university's ecclesiastical conduct requirement, and all non-Latter-day Saint faculty are required to comply with the university's non-Latter-day Saint compliance standard. (See the University Standards Compliance for non-Latter-day Saint Faculty Personnel form.)

Adjunct Faculty

Adjunct Faculty are hired part-time and only for the semester or term identified in the contract. However, the appointment may be renewed after appropriate review and approval by the department chair and the dean. Adjunct Faculty do not occupy a university FTE. For more information, such as the load and hour limits, see the [Adjunct Faculty Policy](#).

Adjunct Faculty are not listed in the university's catalogs.

Benefits: BYU ID card privileges; parking privileges, if available, per Traffic Office guidelines; no health insurance; no participation in university-funded retirement programs; no tuition benefits.

Affiliate Faculty

Affiliate Faculty participate in collaborative work within a department such as teaching on campus. Affiliate Faculty are not employed by BYU. They do not occupy a university FTE. Affiliate Faculty appointments are recommended by the department chair and dean and approved by the AVP or an authorized designee. Appointment is for one year or less but may be renewed annually after appropriate review and recommendation if there is a compelling reason and benefit to the university. The following titles apply to individuals whose background or role at BYU corresponds primarily to professorial appointments:

- Affiliate Professor
- Affiliate Associate Professor
- Affiliate Assistant Professor

- Affiliate Assistant Professor

- Affiliate Instructor
- Affiliate Collaborator

Affiliate Faculty are not listed in the university's catalogs.

Benefits: BYU ID card privileges; parking privileges, if available, per Traffic Office guidelines; no health insurance; no participation in university-funded retirement programs; no tuition benefits.

Fixed-Term Faculty Appointment

A person may be given a fixed-term appointment as a full-time, non-CFS track faculty member to participate in teaching and/or research/creative work. Appointment is for one year and renewable annually, generally for a fixed-term appointment not to exceed five consecutive years. These faculty occupy a university FTE, are hired in the same manner as CFS-track faculty, and are appointed by the president as authorized by the Board of Trustees (see the [Faculty Hiring Policy](#)). However, they are not granted CFS and are not placed on the CFS track. Renewal of additional terms must be justified by the dean based on the individual's solid record and strong Annual Stewardship Interviews and approved by the AVP or an authorized designee.

Benefits: full benefits, including health insurance, participation in university-funded retirement programs and tuition benefits; BYU ID card privileges; parking privileges.

Research Personnel

The following research personnel are hired by contract in full-time, non-CFS track appointments. Part-time research personnel can be hired as Adjunct, Category I, or Category II employees:

Research Associate – A person—typically with a PhD, other terminal degree, or equivalent experience—who is hired full-time to participate actively in and supervise a portion of a university research project. A Research Associate would normally be responsible to the principal investigator of the project but has independence in directing significant portions of the work. A Research Associate may serve as co-principal investigator on externally funded research but may not serve as principal investigator. While a Research Associate may supervise student research, he or she is without graduate faculty status (see the [Graduate Faculty Status Policy](#)) and, therefore, is not permitted to serve as advisor on graduate student theses or dissertations. With appropriate credentials and by petition to Graduate Studies, a Research Associate may serve as a member of a graduate student's advisory committee. Research Associates do not occupy a university FTE and may not be paid from appropriated (11-) funds.

Post-doctoral Research Fellow – A person with a recent PhD who is appointed to a full-time position and who works under the direction of a regular, full-time faculty member. The intent is to provide the Post-doctoral Research Fellow with research experience beyond the PhD and to further prepare the Post-doctoral Research Fellow for his or her profession. A Post-doctoral Research Fellow may serve as co-principal investigator on externally funded research, but may not serve as principal investigator. Normally, a Post-doctoral Research Fellow would not supervise other full-time personnel on the research project. Post-doctoral Research Fellows do not occupy a university FTE and may not be paid from appropriated (11-) funds.

Research Staff – A person with at least a bachelor's degree who is appointed to a full-time position to participate actively in a university research project. Research Staff are not expected to perform independent research work. Instead, they fill supporting roles in the project and are responsible to the principal investigator. Typically, they do not supervise other full-time personnel nor do they fill other functions reserved for faculty. They do not occupy a university FTE and may not be paid from appropriated (11-) funds.

Appointment of full-time research personnel is for one year or less. Additional appointments of up to one year each may be offered after appropriate review and recommendation, but such appointments are not to be offered in more than three consecutive years. A fourth one-year extension may be approved upon petition to the AAVP – Faculty Relations, who will grant such requests at his or her sole discretion. A Post-doctoral Research Fellow may transition to a Research Associate position to the extent he or she meets the relevant definition and receives such an appointment. However, in no case shall the cumulative time in service as Post-doctoral Research Fellow and Research Associate exceed six years. Research Staff may not transition to an appointment as a Post-doctoral Research Fellow or Research Associate.

Research personnel are not listed in the university's catalogs.

Benefits: health insurance (for full-time employees); tuition benefits (for full-time employees); BYU ID card privileges; parking privileges, if available, per Traffic Office guidelines; no participation in university-funded retirement programs.

Visiting Faculty

A Visiting Faculty member has a terminal degree, is hired full-time in a non-CFS track Visiting Faculty appointment, and may be on sabbatical from another university. Visiting Faculty can include post-doctoral fellows with primarily

teaching responsibilities. Appointment is limited cumulatively to three years through annual renewal of one-year contracts. Visiting Faculty occupy a university FTE, are hired in the same manner as CFS-track faculty, and are appointed by the president as authorized by the Board of Trustees (see the [Faculty Hiring Policy](#)).

Visiting Faculty are not listed in the university's catalogs.

Benefits: health insurance; BYU ID card privileges; tuition benefits; parking privileges, if available, per Traffic Office guidelines; no participation in university-funded retirement programs.

Visiting Instructor

A Visiting Instructor generally does not have a terminal degree, is hired into a full-time position in a non-CFS track Visiting Instructor appointment, and participates in teaching and/or research/creative work. Appointment is limited cumulatively to three years through annual renewal of one-year contracts. Visiting Instructors occupy a university FTE, are hired in the same manner as CFS-track faculty, and are appointed by the president as authorized by the Board of Trustees (see the [Faculty Hiring Policy](#)).

Visiting Instructors are not listed in the university's catalogs.

Benefits: health insurance; BYU ID card privileges; tuition benefits; parking privileges, if available, per Traffic Office guidelines; no participation in university-funded retirement programs.

Visiting Scholar

Visiting Scholars are typically on sabbatical from another institution and participate in teaching and/or research/creative work on campus. Visiting Scholars are ordinarily funded by their universities or institutions and receive no compensation from BYU. They do not occupy a university FTE. Visiting Scholar appointments are recommended by the department chair and dean and approved by the AVP or an authorized designee. Appointment is for one year or less but may be renewed annually after appropriate review and recommendation if there is a compelling reason and benefit to the university.

Visiting Scholars are not listed in the university's catalogs.

Benefits: BYU ID card privileges; parking privileges, if available, per Traffic Office guidelines; no health insurance; no participation in university-funded retirement programs; no tuition benefits.

Non-CFS Track Non-Faculty Appointments

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Affiliate Professional

Affiliate Professionals are non-faculty personnel who do not normally work on campus. They are not employed by BYU, they do not occupy a university FTE, and their appointment does not carry a faculty designation. Affiliate Professionals are exempt from the university's ecclesiastical clearance and compliance standards because they are not faculty appointments and therefore do not apply online through YJobs. Instead, a request for appointment as an Affiliate Professional is processed through the respective department or college to the Office of the Academic Vice President. Affiliate Professional appointments provide no benefits normally afforded to faculty positions.

The Affiliate Professional designation may be used to identify certain relationships with the university for which Affiliate Faculty appointments are neither necessary nor appropriate. These university relationships, such as cooperating teachers, principals, physicians and clinicians, and those who supervise students in internship programs, are significantly different from Affiliate Faculty relationships. For example, the teacher/clinician allows the student to enter the off-campus elementary or secondary school classroom, office, or laboratory for experience, but ordinarily does not have the preparation or provide the professional association expected for an Affiliate Faculty appointment. This category may also include professionals who may not derive direct compensation from the university (e.g., project managers and clinical professionals) but who contribute in various ways to fulfilling its academic mission. Affiliate Professional appointments are recommended by the department chair and dean and approved by the AVP or an authorized designee. Appointment is for one year or less but may be renewed annually after appropriate review and recommendation. Affiliate Professionals are not listed in the university's catalogs, and the designation may be withdrawn by the university at any time.

Change from a non-CFS track non-faculty Affiliate Professional appointment to any of the non-CFS track faculty appointments described in the foregoing sections of this policy requires formal application for a faculty position through YJobs, an ecclesiastical clearance for Latter-day Saint applicants, and compliance with the university's ecclesiastical conduct standard for Latter-day Saint or non-Latter-day Saint faculty, as appropriate.

Benefits: None

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University Policies



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Adjunct Faculty Policy



Adjunct Faculty Categories

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(to be effective September 1, 2010)

There are two categories of adjunct faculty at BYU.

1. **Teaching** – These are individuals who have a primary duty of teaching, tutoring, instructing or lecturing in the activity of imparting knowledge, though some teachers may spend a considerable amount of their time moderating, advising, or supervising students in educational experiences outside the classroom, such as student teaching, capstone teams, labs, etc., or in extracurricular activities that are a recognized part of the university's responsibility in contributing to the educational development of the student.^[1]
2. **Research/Creative** – These individuals are engaged primarily in research or creative work and are generally assigned no teaching responsibilities. They are compensated on a salary basis at a rate of not less than \$684 per week and have a primary duty of research requiring advanced knowledge—including the consistent exercise of discretion and judgment—and a degree in a field of science or learning, or creative work requiring invention, imagination, originality, or talent in a recognized field of artistic or creative endeavor.^[2]

Unlike most full-time regular faculty, adjunct faculty are not on a CFS track and are hired on a temporary basis, generally for one semester at a time, with no promise or expectation of additional contracts. They do not occupy a Board-authorized slot or position number and are not voting members of the department in which they are employed. Unlike regular full-time faculty who receive assignments and have specific expectations in the areas of citizenship, teaching, and (in the case of professorial faculty) scholarship, adjunct faculty generally do not have other duties beyond the primary teaching, research, or creative work for which they were hired. Adjunct faculty are "excluded" as a class from participation in any benefit plan and are therefore ineligible to receive retirement benefits.

All other part-time employees should be hired through the Staff and Administrative Employment Office.

Load and Hours Limits

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Adjunct faculty are part-time employees, and as such do not receive health benefits. Teaching assignments are thus limited to 10.5 credit hours per semester, or 5.25 hours per term (based on a full load of 15 credit hours per semester or 7.5 credit hours per term). Research or creative works contracts are limited to 28 hours per week. These 10.5 and 5.25 credit hour teaching maximums and 28-hour research/creative maximums are cumulative, and all assignments done for the University (including both adjunct research or creative employment and adjunct teaching appointments for day classes, evening classes, Independent Study, BYU Salt Lake Center, etc., as well as any salaried part-time administrative employment) will count toward these weekly maximums.

Adjunct Faculty Conduct

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It is a condition of employment that all adjunct faculty act in accordance with university policies, the [Church Educational System Honor Code](#), and the [Dress and Grooming Standards](#), and refrain from behavior or expression that seriously and adversely affects the university mission or The Church of Jesus Christ of Latter-day Saints. Latter-day Saint adjunct faculty also accept as a condition of employment the standards of conduct consistent with qualifying for temple privileges. All adjunct faculty are expected to be role models of a life that combines the quest for intellectual rigor with spiritual values and personal integrity, and to conduct their work in a professional manner consistent with the values espoused by the university and the Church. The university regularly contacts ecclesiastical leaders concerning the temple eligibility of all Latter-day Saint employees.

[1] See 29 C.F.R. § 541.303.

[2] See id., §§ 541.300 to 302.

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University Policies



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Administrative and Staff Employment Policy



Department heads have the responsibility to structure their organizations and design positions to achieve their objectives. Full-time, non-student part-time, and student employee classifications are available to give department heads various options in meeting their organizational needs.

The definitions for non-student employee classifications are as follows:

Administrative

- Full-time position
- Positions that meet an exemption test provided in the Fair Labor Standards Act (FLSA) (executive, professional, administrative, computer professional, or outside sales) and are exempt from the overtime provisions of the FLSA
- Eligible for full benefits
- Paid on a salaried basis

Staff

- Full-time position
- Position that is not exempt from the provisions of the FLSA
- Eligible for full benefits
- Paid on an hourly basis

$\frac{3}{4}$ Time (28 hours)

- Part-time non-student position
- May work an average of no more than twenty-eight hours per week for fifty-two weeks; weekly hours may be adjusted, provided the average hours per week during the applicable measurement period do not exceed twenty-eight, exclusive of breaks in service lasting between four and twenty-six weeks
- Eligible for savings plan
- May also be eligible for the master retirement plan and the Retirement Plus Plan (RPP)
- Not eligible for medical benefits
- Paid on an hourly basis

$\frac{1}{2}$ Time (17.5 hours)

- Part-time non-student employee
- May work up to 910 hours in the anniversary year and every calendar year thereafter (average 17.5 hours per week for fifty-two weeks; weekly hours may be adjusted, provided the average hours per week during the applicable measurement period do not exceed twenty-eight, exclusive of breaks in service lasting between four and twenty-six weeks)
- Not eligible for benefits
- Paid on an hourly basis
- For use when student employees are not practicable or available

$\frac{3}{4}$ Time Contract

- Part-time non-student position
- May be contracted for an average of no more than twenty-eight hours per week during the applicable measurement period, exclusive of breaks in service lasting between four and twenty-six weeks

- Positions that meet an exemption test provided in the FLSA (executive, professional, administrative, computer professional, or outside sales) and are exempt from the overtime provisions of the FLSA
- Eligible for savings plan
- May also be eligible for the master retirement plan and the RPP
- Not eligible for medical benefits
- Paid on a salaried basis

½ Time Contract

- Part-time non-student position
- May be contracted up to 910 hours per year, for an average of 17.5 hours per week for fifty-two weeks. Weekly hours may be adjusted, provided the average hours per week during the applicable measurement period do not exceed twenty-eight, exclusive of breaks in service lasting between four and twenty-six weeks
- Positions that meet an exemption test provided in the FLSA (executive, professional, administrative, computer professional, or outside sales) and are exempt from the overtime provisions of the FLSA
- Not eligible for benefits
- Paid on a salaried basis

Part-time MTC Teacher—Non-Student

- Part-time non-student employee hired as a teacher for the Missionary Training Center (MTC)
- May work up to 910 hours in the anniversary year and every calendar year thereafter (average 17.5 hours per week for fifty-two weeks; weekly hours may be adjusted, provided the average hours per week during the applicable measurement period do not exceed twenty-eight, exclusive of breaks in service lasting between four and twenty-six weeks)
- Not eligible for benefits
- Paid on an hourly basis
- For use when student employees are not available

Part-time Special Administrative/Staff Assignment

- Project-based employee hired in approved areas
- An employee in this category may not do any of the following:
 - Represent the university at conferences or official gatherings
 - Make decisions that impact the university or its resources
 - Attend educational or training conferences
 - Receive an annual performance evaluation or an annual pay raise
 - Serve on university committees
- May work an average of twenty-eight hours per week for fifty-two weeks; weekly hours may be adjusted, provided the average hours per week during the applicable measurement period do not exceed twenty-eight, exclusive of breaks in service lasting between four and twenty-six weeks
- Not eligible for benefits
- Paid on an hourly or contract basis

Part-time Special Staff Assignment—Post-retirement Employees

- Retired administrative, staff, ¾ time contract, and ¾ time (28 hours) employee hired part-time under the [Post-retirement Employment Policy](#)
- An employee in this category may not do any of the following:
 - Represent the university at conferences or official gatherings
 - Make decisions that impact the university or its resources
 - Attend educational or training conferences
 - Receive an annual performance evaluation or an annual pay raise

- Serve on university committees

- May work up to 910 hours per year for up to three consecutive years immediately following retirement, but may not work more than an average of twenty-eight hours per week during the applicable measurement period, exclusive of breaks in service lasting between four and twenty-six weeks
- Must wait twenty-six weeks after retirement to be rehired
- Not eligible for benefits
- Paid on an hourly basis

Cosmetologist—Non-Student

- Non-student employee hired as a barber, hairstylist, or esthetician at Salon 1030 or the MTC Barbershop.
- Not eligible for benefits
- May work an average of no more than twenty-eight hours per week for fifty-two weeks; weekly hours may be adjusted, provided the average hours per week during the applicable measurement period do not exceed twenty-eight, exclusive of breaks in service lasting between four and twenty-six weeks

As used in this policy, the term “measurement period” means the period of time lasting from three to twelve months, as determined by the university, exclusive of any breaks in service between four and twenty-six weeks, during which the university counts employee hours of service. Also, as used in this policy, the term “anniversary year” means the first year of employment for the university.

Staff and Administrative Employment assists departments in recruiting and selecting administrative, staff, and non-student part-time employees at Brigham Young University (BYU). Hiring personnel adhere to the university's [Nondiscrimination and Equal Opportunity Policy](#), federal laws, and state laws in hiring qualified persons for open positions. Reasonable accommodations for applicants will be provided under the guidelines in the university's [Accommodation of Persons with Disabilities at BYU Policy](#). BYU prefers qualified Latter-day Saint applicants.

Full- and part-time administrative and staff positions are generally advertised on the university job website, posted at designated locations on campus, and sent to several off-campus organizations. To be considered an applicant for a posted position, an individual must submit an electronic application in the online applicant tracking system before the job close date and meet the minimum qualifications. The university encourages promotion and recruitment from within the campus community. The recruitment process may be open to

- all qualified applicants inside and outside the university;
- qualified, full-time, $\frac{3}{4}$ time (28 hours), and $\frac{3}{4}$ time contract university employees only; or,
- qualified, full-time, $\frac{3}{4}$ time (28 hours), and $\frac{3}{4}$ time contract college/division employees only.

All other part-time non-student employees and student employees are only eligible to apply for positions opened to all qualified applicants.

It is a condition of employment that all employees act in accordance with university policies, the [Church Educational System \(CES\) Honor Code](#), and the [Dress and Grooming Standards](#), and refrain from behavior or expression that seriously and adversely affects the university mission or The Church of Jesus Christ of Latter-day Saints. Latter-day Saint employees also accept as a condition of employment the standards of conduct consistent with qualifying for temple privileges. All employees are expected to be role models of a life that combines the quest for intellectual rigor with spiritual values and personal integrity, and to conduct their work in a professional manner consistent with the values espoused by the university and the Church. The university regularly contacts ecclesiastical leaders concerning the temple eligibility of all Latter-day Saint employees.

Supervisors are assigned the responsibility to see that the [Dress and Grooming Standards](#) are maintained and to interpret the general intent of these guidelines. Departments may require a higher dress standard if desired.

All employees hired at the university must timely complete all employment eligibility documentation required by federal or state law and have their employment eligibility confirmed in accordance with law.

In the absence of a written contract of employment signed by the president of the university, all administrative and staff employees are employees-at-will whose university employment may be terminated at any time and for any reason or for no reason, with or without cause, provided the grounds for termination are not illegal or in violation of university policy.

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University Policies



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Administrative and Staff Employee Discipline Policy



The employment relationship between Brigham Young University and an administrative or staff employee exists at the will of either party and may be terminated at any time and for any cause whatsoever or no cause, other than for reasons prohibited by law. In addition, no employee or officer of the University, other than one authorized in writing by the President, can make a commitment to a person for employment in an administrative or staff position for a specified period of time or contrary to the University's policy of at-will employment. Those who act in a manner inconsistent with the University's at-will policy are not authorized to do so. Employees may not rely on an oral or implied-in-fact contract.

Disciplinary action may result from, but is not limited to, employee misconduct, insubordination, unsatisfactory performance, unacceptable behavior, or ecclesiastical action. Disciplinary action may include, but is not limited to, verbal counseling, written warning, suspension, and termination. The responsibility and decision to discipline or terminate an employee rest with line management in consultation with the Manager of Employee Relations (422-9065). Employees may also bring their concerns to the Employee Relations office at any point in the process.

See [Administrative and Staff Employee Discipline Procedures](#) for additional information.

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Administrative and Staff Employee Discipline Procedures

The employment relationship between Brigham Young University and an administrative or staff employee exists at the will of either party and may be terminated at any time and for any cause whatsoever or no cause, other than for reasons prohibited by law. In addition, no employee or officer of the university, other than one authorized in writing by the president, can make a commitment to a person for employment in an administrative or staff position for a specified period of time or contrary to the university's policy of at-will employment. Those who act in a manner inconsistent with the university's at-will policy are not authorized to do so. Employees may not rely on an oral or implied-in-fact contract.

The university values its employees and desires that each one succeed in his or her respective job responsibilities. Therefore, when discipline is required, the action to be taken should be determined with due regard to the nature of the alleged offense and the employee's previous employment record. Disciplinary actions, that may be taken, range from informal counseling to immediate termination. In situations where line management determines that employee behavior or performance warrants immediate termination, these disciplinary guidelines are not applicable. However, the employee relations manager should be consulted *before* proceeding with an involuntary termination.

Reasons for Discipline

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Some reasons that may lead to employee discipline include, but are not limited to, the following:

- Misconduct—Violation of the [Church Educational System Honor Code](#), [Personnel Conduct Policy](#), or other university policies.
- Insubordination—Refusal or failure to follow a reasonable directive of a superior.
- Unsatisfactory Performance—Unacceptable work, incompetence, or carelessness.
- Unacceptable Behavior—Unexcused absences, excessive tardiness, poor work ethic, unauthorized eating or sleeping on the job, leaving without permission, or excessive breaks.
- Ecclesiastical Action for Latter-day Saint Employees—Withdrawal of membership from The Church of Jesus Christ of Latter-day Saints, formal membership restrictions in the Church, resignation of membership in the Church, or failure to meet the standards of conduct consistent with qualifying for temple privileges for a reasonable period of time (determined solely by the administration of the university) are grounds for immediate termination.
- Misconduct in Investigation—Refusal to cooperate in an official university investigation, including the misrepresentation of any facts or the withholding of pertinent information.

The decision and responsibility to discipline or terminate an employee rest with line management. However, line management should generally consult with the employee relations manager *before* proceeding with serious discipline or termination procedures unless, in rare cases, the seriousness of the situation requires direct and immediate action.

Employees who believe they have been unfairly dealt with are encouraged to resolve their concerns directly with line management. If necessary they may bring concerns to the employee relations manager. Employees may also request an opportunity to appeal a disciplinary action (see the [Administrative and Staff Employee Grievance Procedures](#)).

Termination

Violation of the [Church Educational System Honor Code](#), the [Personnel Conduct Policy](#), the [Disruptive Student Conduct Policy](#) or other university policies, occurring on or off the job, could result in immediate termination without notice. For Latter-day Saint employees, withdrawal of membership from the Church, formal membership restrictions in the Church, resignation of membership in the Church, or failure to meet the standards of conduct consistent with qualifying for temple privileges for a significant period of time as determined by the university, are grounds for immediate termination. Exception to the application of these procedures may occur when circumstances surrounding the incident warrant a period of attempted correction. The process for terminating an employee is described in the [Employee Termination Policy](#). (Also see the [Administrative and Staff Employee Grievance Policy](#).)

Progressive Discipline Guidelines

Although the university provides guidelines for progressive discipline, administrative and staff employees may not rely upon progressive discipline being in effect. Immediate termination can be the result of fighting or inappropriate physical contact, the discovery of theft of monies or services, egregious disruptive insubordination, or other serious employee misconduct. For issues which are not deemed by line management to be serious enough to merit immediate termination, the following guidelines should generally be considered for administrative and staff employees:

Verbal Counseling

Unless a situation requires more serious and immediate action, the supervisor may respond to unsatisfactory performance or unacceptable behavior with verbal counseling. Following verbal counseling, if the situation still is not appropriately remedied, line management may accelerate the disciplinary process. In some instances, termination may be appropriate following verbal counseling. *Before* pursuing further disciplinary action after verbal counseling, a supervisor should generally consult with the employee relations manager. Documentation of verbal counseling is appropriate.

Written Warning

In the event of subsequent offenses or continued unsatisfactory performance, a written warning may be issued to the employee. It is permissible to initiate disciplinary action with a written warning if the issue involved requires more serious and immediate action than verbal counseling would accomplish or if the verbal counseling has not remedied the situation.

The warning letter should be clearly labeled so the nature of the document is fully understood. The contents of the letter should generally accomplish the following:

- Describe specific unacceptable behavior, problems, or offenses;
- Describe the specific changes expected (acceptable behavior) to meet expectations;
- Describe future possible consequences if expected changes are not met and sustained;
- When appropriate, indicate an evaluation date(s) that allows the employee a reasonable amount of time to demonstrate an acceptable level of sustained change.

The possibility of termination should be clearly and specifically articulated so the employee does not misunderstand the consequences of failing to comply with the intent of the warning letter. Preferably, the employee should sign and date the warning letter, signifying acknowledgement and receipt of the warning. A copy should be provided to the employee and the original sent to the employee relations manager.

Employees may also bring issues to the Employee Relations office if they feel their side of the situation is not being taken into consideration or would like counsel. There should be no retaliation by management should an employee determine it is in his or her best interest consult with a representative from Employee Relations or the Equal Opportunity Office.

Additional Warning(s)

In the event of continued offenses or unsatisfactory performance following a written warning, several actions may occur. In situations deemed serious or severe, termination may be appropriate. In the judgment of management, if a situation appears to have substantial potential for a remedy, an additional written warning may be given. This warning should contain all of the elements of the first written warning. The possibility of termination should be clearly and specifically articulated so the employee does not misunderstand the consequences of failing to comply with the intent of the warning. It should be clearly labeled as a warning letter or letter of understanding and preferably signed by the employee acknowledging receipt of the written warning. A signed copy should be provided to the employee and line management. The signed original should be sent to the employee relations manager.

Suspension

Generally, suspension (with or without pay, as determined by management) is appropriate during a period of investigation, that is, when a situation is such that an employee should not return to work until an investigation is concluded. For example, a suspension may be appropriate for the investigation of certain allegations such as theft, inappropriate behavior in relation to other employees, inappropriate gender-based behavior, unlawful sexual harassment, or threats of a violent nature (see [Disruptive Student Conduct Policy](#)). Under certain circumstances, suspending an employee may be an appropriate disciplinary action. However, a suspension is not required before terminating an employee. The length of the suspension should be commensurate with the nature of the alleged problem and the employee's past employment record.

Other Staff (temporary, student part-time, non-student part-time, on-call, etc.)

Generally, in employment-related situations, an employee within one of these categories should be alerted to unsatisfactory performance and provided with a reasonable opportunity to make the requisite changes. If management determines that sustained improvement has not occurred within a reasonable period of time, the employee may be terminated without further notice or process. A supervisor should generally consult with the employee relations manager before action is taken.

BRIGHAM YOUNG UNIVERSITY RESERVES THE ABSOLUTE RIGHT TO DEVIATE FROM THESE PROCEDURES.

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University Policies



Contents, Related Policies, Applicability ▾

Employee Termination Policy



Terminating personnel are expected to return all university property including but not limited to what is identified on the "Checkout Form" in order to finalize the checkout process and to initiate payment of the final check(s). The employing department or assignee is responsible for retrieving all university property checked out to terminating personnel, changing computer passwords/access codes, and other related checkout procedures (see the Checkout Form for the required DEPARTMENT CLEARANCE signature). In addition, for administrative or staff employees, the employing department should send a completed "Request for Personnel Action" form to Compensation Services, D-240B ASB, ext. 2-4092, as soon as the last day of work is determined. Questions regarding the checkout process may be answered by contacting the Benefits Office, ext. 2-4716.

BRIGHAM YOUNG UNIVERSITY RESERVES THE ABSOLUTE RIGHT TO DEVIATE FROM THIS POLICY.

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CONFLICT OF TIME OR CONFLICT OF INTEREST:

[Download the Conflict of Time and Interest Policy](#)

A potential **conflict of interest** situation exists when personnel are in a position to influence the direction or decision of one of its programs, or to inappropriately use University resources, for personal gain or advantage.

A potential **conflict of time** commitment exists when activities external to the University exceed reasonable time limits and professional responsibility is not to the University.

- ☐ I have reviewed the BYU Conflict of Time and Interest Policy with this employee and he/she is in compliance.
- ☒ This employee has a possible conflict of time or interest, which will be outlined below.

CONFLICT OF TIME AND INTEREST DISCLOSURE:

Description of possible conflict of interest(s) and/or conflict of time commitment(s) and description of the specific plan for the employee and immediate supervisor to manage, reduce, or eliminate the conflict(s):

the University or

or when primary

arranged between

University Policies



Contents, Related Policies, Applicability ▾

Faculty Leaves Policy



This Faculty Leaves Policy is intended as a reference to the various leaves available to faculty personnel and is subject to change. Leaves that are specific to faculty personnel are defined by this policy. Leaves that apply to university personnel, in general, are defined in the [Administrative and Staff Employee Leaves Policy](#).

Disability Leave

[Top](#)

The section of the [Administrative and Staff Employee Leaves Policy](#) regarding disability leave applies to faculty.

Family and Medical Leave Act (FMLA)

[Top](#)

The section of the [Administrative and Staff Employee Leaves Policy](#) regarding family and medical leave applies to faculty.

Funeral Leave

[Top](#)

The section of the [Administrative and Staff Employee Leaves Policy](#) regarding funeral leave applies to faculty. Faculty members should coordinate funeral attendance through their department chair.

Jury Duty Leave

[Top](#)

The section of the [Administrative and Staff Employee Leaves Policy](#) regarding jury duty leave applies to faculty.

Military Leave

[Top](#)

The section of the [Administrative and Staff Employee Leaves Policy](#) regarding military leave applies to faculty.

Mission President / Temple Presidency / MTC President / Visitors' Center Director Leave

[Top](#)

The section of the [Administrative and Staff Employee Leaves Policy](#) regarding mission president/temple presidency/MTC president/visitors' center director leave applies to faculty.

Personnel Transfer

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See the [Personnel Transfer Policy](#).

Parental Leave

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Parental leave accommodates eligible, full-time faculty while minimizing the impact on students, colleagues, and departments. When a full-time faculty member who has continuing faculty status (CFS), or is on-track for CFS, becomes the parent of a child, either by childbirth or by adoption of a child as defined by the Family and Medical Leave Act (FMLA), that faculty member usually will qualify for a parental leave of one semester for the purpose of serving as the child's primary caregiver (as used herein, "semester" is interchangeable with the combined "spring/summer terms"). If a faculty member and his or her spouse are both faculty and eligible for parental leave, either one, but not both, may take this leave. The other spouse not taking parental leave may request an unpaid leave in accordance with the university's policy on personal leaves or the FMLA. (See "Personal Leave" section below; [Administrative and Staff Employee Leaves Policy](#).) Non-CFS track faculty, who may also qualify for FMLA, may apply for parental leave

depending on the unique circumstances of their employment. The request will be evaluated on the basis of the department's ability to accommodate such a request.

Family and Medical Leave Act (FMLA)

Parental leave is intended to be consistent with the rights afforded under the FMLA. (See [Administrative and Staff Employee Leaves Policy](#).) If the faculty member is FMLA eligible, then any qualifying FMLA leave time shall be administered concurrently with parental and personal leaves.

Multiple Births/Adoptions

Multiple births (e.g., twins, triplets) or simultaneous adoption of multiple children shall count as one event. This means an eligible faculty member is entitled to only one semester of approved parental leave for such an event.

Salary, Benefits, and Responsibilities

A faculty member who takes parental leave shall receive the same salary and benefits that she or he would have received if not on parental leave. During parental leave the faculty member shall be relieved of her or his normal faculty duties and responsibilities.

A faculty member on parental leave is expected to continue compliance with the [Church Educational System Honor Code](#) and the [Dress and Grooming Standards](#). Latter-day Saint faculty also must maintain conduct consistent with qualifications for temple privileges. (See [Personnel Conduct Policy](#); [Rank and Status Policy](#).)

Timing

With approval, the faculty member may take parental leave during the semester in which the child is born or adopted, or during a subsequent semester that begins no later than six months after the birth or adoption. For purposes of this policy, a semester is defined as follows: fall semester (September–December); winter semester (January–April); spring/summer terms (May–August). A faculty member is expected to return to her or his normal faculty duties and responsibilities for at least one year immediately following parental leave or repay the salary and benefits used during the leave.

Effect on CFS Clock

The presumption is that a parental leave will result in a one-year extension of the CFS clock. (See [Rank and Status Policy](#).) However, this one-year extension is optional with the faculty member. A request to extend the CFS clock must be made at the time the leave request is submitted by marking the appropriate box on the Leave of Absence Application form. The maximum number of extensions to the CFS clock for parental leaves is two within the six- or seven-year period. An additional extension for other reasons may be possible under Section 4.5 of the [Rank and Status Policy](#).

Multiple or Additional Leaves

Generally, at least one year should pass from the end date of the last parental leave before an eligible faculty member qualifies for another parental leave. All other leaves are governed by university policy. (See [Administrative and Staff Employee Leaves Policy](#).)

Request for Parental Leave Form

An eligible faculty member desiring a parental leave must submit a completed Leave of Absence Application form to her or his department chair or dean. Approval for a parental leave includes the following:

1. Certification that the purpose of the parental leave is for the faculty member to serve as the primary caregiver for a qualifying child
2. Certification that parental leave will not be used for purposes other than serving as primary caregiver (e.g., to pursue other employment opportunities, to work full- or part-time for another employer)
3. Confirmation of the anticipated start and end dates of the parental leave
4. Concurrent use of FMLA with parental leave
5. A commitment to return to normal faculty duties and responsibilities for at least one year immediately following parental leave, or to repay the salary and benefits used during the leave
6. Other conditions mutually agreed upon by the faculty member and the department chair or dean

Notification Requirement

In order to minimize the administrative burden of ensuring adequate coverage of responsibilities, an eligible faculty member should give her or his department chair or dean at least three months written notice of her or his intention to take parental leave. If notification is less than three months, the request will be evaluated on the basis of the department's ability to reasonably facilitate such a request. Medical emergencies or the uncertainties of adoption that

prevent the giving of three months' notice will not disqualify an eligible faculty member from parental leave.

Availability of University Resources

When a parental leave would create an unavoidable overload for one or more faculty colleagues, the department chair may consider hiring additional temporary faculty to teach one or more courses, or teaching loads may be reassigned among department faculty. When appropriate, the department chair may request assistance from the dean, who may appeal to the academic vice president for additional resources.

Personal Leave

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Personal leaves are not funded by BYU and generally are not compensated. Personal leaves are not intended for the purpose of professional development, to enhance professional competence, or add value to the university. Also, it may be required that FMLA leave be taken concurrently with a personal leave. (See [Administrative and Staff Employee Leaves Policy](#).) Examples of purposes for taking a personal leave include the following:

1. Personal or health issues that require a faculty member's time, including the need to care for the health needs of family members
2. Legitimate family needs, including caring for children, parents, or other family members
3. Employment outside the university, including starting a business or consulting that does not qualify as professional development (See [Conflict of Interest and Conflict of Time Commitment Policy](#))
4. Exploring and accepting employment at other institutions of higher education
5. Missionary service (See [Administrative and Staff Employee Leaves Policy](#) if the calling is as a mission president, temple president, MTC president, or visitors' center director)

Granting of Personal Leaves

Personal leaves vary in length, but generally are not longer than one year. Requests for a personal leave require approval by the department chair and the dean. When approved, the dean forwards the request to the associate academic vice president–faculty development, who determines whether the request should be submitted for final approval in accordance with the same process governing approval of professional development leaves.

Benefits Implications of Personal Leaves

For the first three months of a personal leave, in order to continue full benefits (medical; dental; basic group life insurance; and occupational accidental death, dismemberment, and disability insurance), the faculty member must arrange to pay his or her share of the monthly premium contribution as normally deducted from his or her salary. The university will make its usual monthly premium contribution to the faculty member's benefits. After the third month, the faculty member will be responsible for both his or her normal monthly premium contribution to benefits, and the university's monthly premium contribution. Personal leaves have other significant benefits implications, for example, under the Master Retirement Plan (MRP). Thus, it is essential for faculty members to contact Benefits Services when considering a personal leave. (Benefits Services, D-240 ASB, ext. 2-4716.)

Rank and Status Implications of Personal Leaves

For faculty in a CFS track position, personal leave may stop the CFS clock for one year. (See [Rank and Status Policy](#), Section 4.5.)

Salary Implications of Personal Leaves

If a faculty member returns to full-time employment at BYU following a personal leave, the university may, at its discretion, offer a salary that includes the normal salary increase that the faculty member would have received had he or she not been on personal leave.

Subsequent Employment Following Personal Leaves

As part of the application process for a personal leave, the department chair and the dean should specify in writing whether the faculty member will be guaranteed employment after the leave. Whether employment is guaranteed will depend on the nature and purpose of the leave and legitimate university needs.

Conflict of Interest during Personal Leaves

A faculty member on personal leave remains an employee of BYU subject to university policy, including policy governing conflict of interest. A BYU faculty member shall not accept tenure nor agree to a continuing employment relationship with another academic institution while on leave from BYU unless written permission to do so is given by the faculty member's chair, the dean, and the academic vice president. Otherwise, such an arrangement constitutes a conflict of interest. (See [Conflict of Interest and Conflict of Time Commitment Policy](#).) To enter into such an agreement

conflict of interest. (See [Conflict of Interest and Conflict of Time Commitment Policy](#).) To enter into such an agreement with another university without such written permission voids the faculty member's continuing faculty status and exposes him or her to non-renewal of his or her employment contract with BYU.

Partial Personal Leave

Because full employee benefits accrue during a partial personal leave without a six-month separation, partial personal leaves will only be granted in extraordinary circumstances. A partial personal leave may be appropriate but should not generally exceed twenty-five percent time off, in order to maintain full benefits. Partial personal leaves should not generally exceed one year. Generally, a partial personal leave includes the concurrent use of FMLA if the purpose of the leave is FMLA qualified. (See [Administrative and Staff Employee Leaves Policy](#), Family Medical Leave Act (FMLA) section; Parental Leaves section above.) A partial personal leave involves a proportional reduction in salary and faculty assignments and follows the same approval process as a regular personal leave. A partial personal leave may allow a faculty member in a CFS track to stop the CFS clock for one year. (See [Rank and Status Policy](#), Section 4.5.)

Professional Development Leave

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The university recognizes the value to faculty members, students, and the university when faculty members pursue high-value professional development leave opportunities.

Eligibility for Professional Development Leaves

Professional development leaves are generally intended for full-time faculty members who have been granted CFS. Professional development leaves of a semester or more should not occur more frequently than once every seven academic years (six academic years in between leaves), except when the leave is requested for a rare and exceptional opportunity that is justified by the chair (or director) and the dean, and is approved by the academic vice president, with final approval by the university president. When a professional development leave is requested and granted before six academic years will have passed since the end of the faculty member's prior leave, it is presumed a subsequent leave request would require waiting a commensurately longer period of time. Final approval for professional development leaves submitted during the final CFS review year will not be granted until after a successful outcome of CFS review is known. Although rare, where there are compelling circumstances, faculty on fixed-term appointments may be considered for a professional development leave after six years of full-time employment, provided that their appointment has been renewed for an additional term. (See [Non-CFS Track Academic Appointments Policy](#).)

Purposes of Professional Development Leaves

Purposes that may justify the granting of a professional development leave include the following:

1. A significant extension of professional knowledge, experience, or skills beyond those already possessed in research, creative activities, informational competency, or teaching ability
2. A renewal of professional knowledge or skills in the faculty member's field
3. Publication of scholarly or creative work or other exposure to an appropriately critical audience
4. Attaining licensure, certifications, or an advanced degree recognized as the terminal degree in the faculty member's discipline, or one that would bring enhanced competence to the faculty member's assignment
5. Opportunities for collaboration with scholars at other institutions or for consultation or employment at agencies or institutions that would enhance the faculty member's professional skills, stature, or productivity
6. Opportunities for carrying out research or creative work at sites outside the university when this contributes to the quality of the work

Written justification for a professional development leave should include the following:

1. A description of the leave opportunity and its potential contribution to the expertise or productivity of the faculty member
2. A description of the scholarly or pedagogical products likely to result from the leave
3. A statement of likely benefits to the university
4. A detailed justification of any request for support funding

Professional Development Plan

Professional development involves an ongoing plan to enhance professional expertise, increase creativity, and produce more proficient scholars and teachers. Professional development includes a balanced program of professional leaves, reading, improvement of teaching technique, innovative course development, creative work, research, artistic production, involvement in community service, and/or activity in professional organizations. Upon returning from a

professional development leave, the faculty member is expected to provide a summary of his or her experience for the benefit of colleagues and other interested parties. Guidelines set forth by the department or college determine how and when this summary is to be presented.

Each faculty member should formulate a professional development plan. This plan may include professional development leaves. The department chair should review the professional development plan as part of the faculty member's Annual Stewardship Interview. (See [Rank and Status Policy](#), Section 3.1.4.)

Granting of Professional Development Leaves

Generally, a professional development leave may be approved for no longer than one year. Under special circumstances, a professional development leave may be extended. The faculty member is guaranteed employment at BYU at the conclusion of a professional development leave, unless terminated for cause. A request for professional development leave requires written justification for the leave and initial approvals at the department and college levels. (Refer to the Leave of Absence Application form.) After the initial approvals are obtained, the dean forwards the request along with the written justification to the associate academic vice president—faculty development, who determines if the request should be submitted for final approval. Final approval is granted by the university president.

Funding for Professional Development Leaves

University funding for professional development leaves generally comes from budgeted funds allocated by colleges and departments. Leaves may also be supported with non-budgeted funds as appropriate.

Generally, a professional development leave for one semester is funded by the university at full salary. Professional development leaves for one semester are for either fall semester or winter semester. When approved by the department chair, and if normal teaching needs can be covered, faculty may request a summer/fall or winter/spring, but not a spring/summer/fall or winter/spring/summer, leave with full pay. The pay for professional development leaves that are longer than one semester plus a term will be the equivalent of the salary for one semester and a term (i.e., six months) based on the value of the average monthly salary for a ten-month contract during the academic year of the leave. A leave involving both spring and summer terms for a faculty member who is on contract for both terms is considered to be for a single semester. Professional development activities that occur while a faculty member is off contract do not require university approval.

Professional development leaves for which a faculty member's salary is funded by an outside source should not also include salary funded by BYU. However, faculty may receive university support in addition to that provided by outside sources for salaries, travel, relocation, or project costs not funded by the outside source when such support will prevent financial loss to the faculty member. Occasionally, an arrangement may be considered where the university and the hiring institution share the cost of the salary for the faculty member. The university will make a reasonable attempt within policy and available resources to facilitate professional development leaves judged to have merit. The object is to make the leave possible as an investment in the faculty member's professional development and productivity, or to re-tool after an administrative period. It is inappropriate for the university to provide funding in addition to that available from outside sources if it results in a double salary or in an unusual financial gain for the faculty member. University funds, regardless of the source, should not be used to supplement salaries beyond limits stated in the policy.

Funding for Spouse and Family Travel during a Professional Development Leave

When a spouse and/or any eligible dependents under age nineteen accompany faculty members on professional development leaves and seek to travel at university expense, advance authorization must be requested on the professional development leave application when it is submitted for approval by the department chair and the dean. If the college or department chooses to fund any travel or reasonable living expenses for the spouse and eligible dependents accompanying the faculty member on the professional development leave, the faculty member should contact a qualified tax consultant to determine the tax liability associated with any funding (e.g., reimbursement, per diem). Colleges and departments should establish written guidelines within their resource parameters for costs associated with a spouse and eligible dependent(s) who wish to accompany faculty members on professional development leaves.

Benefits during a Professional Development Leave

Faculty members will qualify for full benefits during a professional development leave approved and funded by the university. In cases where a faculty member receives salary and benefits from another institution during a professional development leave, he or she should work with Benefits Services to make sure benefits can be fully reinstated without penalty upon return to the university. If a faculty member receives full or partial salary from another institution but not benefits, BYU benefits should be requested on the Leave of Absence Application form, and will normally be provided by the university. Time spent on professional development leave will be counted as benefit credit for retirement purposes. Faculty members going on a professional development leave should contact Benefits Services to confirm whether the leave may impact their DMBA benefits.

Evaluation and Reporting of a Professional Development Leave

Evaluation and reporting of professional development leaves are essential. Each faculty member returning from a

Evaluation and reporting of professional development leaves are essential. Each faculty member returning from a professional development leave should submit a written report to the department chair. This report should refer specifically to the proposed objectives that led to the granting of the leave and show how and to what extent the objectives were achieved. The department chair should review the report as part of the faculty member's annual stewardship interview. Preferably, time in department meetings or special meetings should be given to report to the entire faculty of the department and other interested parties on the scholarly products and faculty development achieved as a result of the leave. Nevertheless, how and when the summary is to be presented should be determined by the department or college.

Rank and Status Implications and Salary Increases during Professional Development Leaves

When extraordinary opportunities arise for pre-CFS faculty, professional development leaves during the probationary period may be granted upon approval by the academic vice president. As provided in the [Rank and Status Policy](#), Section 4.5, time spent on professional development leaves is counted as part of the probationary period leading up to the final review for CFS. Thus, a professional development leave does not "stop the clock," or alter the schedule of rank and status reviews. A CFS review will occur on schedule even if a faculty member is on professional development leave during the time of the review. The faculty member bears the responsibility to prepare and submit the required materials prior to or during the time of the leave. A review for rank advancement may occur while a faculty member is on leave. When a professional development leave is granted for the purpose of pursuing a graduate degree, consideration for promotion in rank will be given after, rather than before, the leave. A faculty member going on professional development leave will receive the same increase in salary base that would occur if the faculty member were not on leave.

Conflict of Interest during Professional Development Leaves

A faculty member on professional development leave remains an employee of BYU, and he or she is bound by university policy, including policy governing conflicts of interest. A BYU faculty member shall not accept tenure nor agree to a continuing employment relationship with another academic institution while on leave from BYU unless written permission to do so is given by the faculty member's chair, the dean, and the academic vice president. Otherwise, such an arrangement constitutes conflict of interest. (See [Conflict of Interest and Conflict of Time Commitment Policy](#).) To enter into such an agreement with another university without such written permission constitutes a resignation of the faculty member's continuing faculty status and his or her employment with BYU.

Subsequent Employment Requirement

A faculty member granted a professional development leave is required to return to the university for at least one year of regular employment immediately following the leave. Faculty members who choose not to return for a minimum of one year of employment immediately following such a leave will be required to reimburse BYU for all associated costs paid by the university during the professional development leave. Additionally, in such a case, the professional development leave will be counted as personal leave, and the period of the leave will not count as benefit credit for retirement purposes. The university, at its sole discretion, may elect to waive the subsequent employment requirement. Authorization to waive the subsequent employment requirement is granted, if at all, in writing by the academic vice president.

Professional Development Leaves to Work with Other Employers

Faculty members may request leaves to work with other employers within the Church Educational System ("CES") or with non-CES employers. Such leaves may be either professional development leaves or personal leaves.

If a faculty member is granted a professional development leave to work with another employer, double compensation will not be permitted. Arrangements for compensation and expense allowances should be made in advance with the hosting employer and the university.

If the approved leave with a CES employer exceeds eighteen months, the faculty member should be transferred to the hosting employer. During the leave, the faculty member becomes subject to the personnel policies, compensation, and benefit programs of the hosting employer.

Church Educational System and BYU Work Requests

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The university is not expected to fund projects that are requested by departments of The Church of Jesus Christ of Latter-day Saints (Church) or Church-related agencies. While it is possible to grant release time for a faculty member to work on a Church project, projects that require substantial time commitments from faculty members should entail an official leave. The funding for the leave should come from the Church department or agency sponsoring the project. Faculty should not be approached directly until the necessary clearances have been obtained from the faculty member's department chair, dean, and academic vice president or authorized designee.

If the project is to be carried out at BYU using university facilities, a contract should be arranged through the Faculty Compensation Office to cover salary, benefits, and the appropriate overhead for Church-related projects. If the project is to be carried out in the facilities of a Church department or Church-related agency with substantial expense of

is to be carried out in the facilities of a Church department or Church-related agency with only nominal or no use of university facilities, the Church department or agency will only be billed a prorated amount for the faculty member's salary and benefits.

Occasionally, BYU requests the services and expertise of CES personnel. Before such a request is made, approval must be obtained from the academic vice president or authorized designee and the office of the CES Administrator, and coordinated through Faculty Compensation Office.

Sick Leave

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Because of the responsibilities and necessity for continuity of assignments, a faculty member should promptly notify the department chair of any illness that precludes the faculty member from performing the essential duties of his or her employment. The department chair may be able to make arrangements with other faculty members to meet the assignments of the person who is ill. Unless the illness is protracted, the expectation is that colleagues of the ill faculty member will voluntarily assist with assignments. When the employment of a substitute becomes necessary because of a prolonged illness, the department chair, in consultation with the dean, will review the situation and resolve each case on its own facts. In cases of prolonged illness, disability options also should be explored.

Vacation

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Generally, faculty who have letters of appointment for less than twelve months use their non- contract month(s) for vacation purposes. Exceptions must be approved by the department chair (or director) and the dean. Faculty with twelve month letters of appointment are under agreement to render full service for twelve months, one month of which is specified as vacation time. It is strongly urged that vacation be arranged and taken to allow the personal renewal process to occur. Department chairs who have twelve-month letters of appointment are expected to be on full-time duty for a full ten months (two semesters plus one term), plus perform administrative duties necessary during the other term. This will ordinarily be the equivalent of one additional month. Vacation time may be spaced (if administrative duties require it) so that it is not taken all at once. The equivalent of one month should be taken as vacation, preferably in periods of at least a week at a time.

Honor Code, Dress and Grooming Standards, and Conduct During Leaves

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A faculty member on leave remains an employee of BYU. Therefore, it is a condition of employment that he or she act in accordance with university policies, the [Church Educational System Honor Code](#), and the [Dress and Grooming Standards](#), and refrain from behavior or expression that seriously and adversely affects the university mission or the Church. LDS faculty also continue to accept as a condition of employment the standards of conduct consistent with qualifying for temple privileges. All faculty are expected to be role models of a life that combines the quest for intellectual rigor with spiritual values and personal integrity, and to conduct their work in a professional manner consistent with the values espoused by the university and the Church. The university regularly contacts ecclesiastical leaders concerning the temple eligibility of all LDS personnel.

THE UNIVERSITY RESERVES THE RIGHT TO DEVIATE FROM THIS POLICY WHEN CIRCUMSTANCES WARRANT.

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University Faculty Development Council

The University Faculty Development Council considers and recommends policies and practices that promote faculty development in the areas of teaching, research, and citizenship.

Responsible Officer:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Co-Chair:

Laura Bridgewater, Associate Academic Vice President–Faculty Development

Members:

- Bonnie Anderson, Marriott School
- Jeff Belliston, Harold B. Lee Library
- Justin Collings, Law School
- Corry Cropper, Humanities
- JB Haws, Religious Education
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- Tina Taylor, McKay School of Education

Ex Officio:

- Jane Birch, Faculty Center
- George B. Handley, Faculty Center
- Craig Hart, Faculty Center
- Jenith Larsen, Faculty Center

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Logout

(<https://studentratings.byu.edu/Authenticate/logout?https%3A%2F%2Fstudentratings.byu.edu%2F>)

The Student Ratings system allows students to confidentially rate their BYU learning experience. Students are encouraged to provide feedback about their courses and instructors. After grades are submitted, reports of rating results are provided to BYU faculty and administrators. The student ratings are very important in helping instructors improve their teaching and in helping the University evaluate courses and faculty.

A message to students from President Worthen

- “ We need your input. Student evaluations of BYU faculty and courses are extremely important.
- Faculty are expected to review them to improve their courses and teaching methods.
 - Department chairs are expected to review them annually with faculty to assess teaching effectiveness.
 - University committees consider them carefully as part of faculty reviews to determine who is retained and promoted.

Without your responsible input, we cannot effectively assess and improve teaching performance and student learning. Please be honest, fair, and constructive as you complete your evaluations. And please remember, comments related to gender, age, appearance, race, ethnicity or family status are never appropriate.

Your evaluations really do matter.

Thank you,
President Worthen

Students

Submit your ratings (<https://studentratings.byu.edu/survey/list>)

Additional help (<https://srinfo.byu.edu/student-help>)

Faculty and Administrators

View Student Ratings reports (<https://studentratings.byu.edu/report>)

Manage your Student Ratings (<https://studentratings.byu.edu/management>)

Learn how to create a student ratings assignment in Learning Suite (<https://lsinfo.byu.edu/student-ratings-assignment>)

Student ratings schedule (<https://srinfo.byu.edu/student-ratings-schedule>)

Additional information and resources--faculty and administrators (<https://srinfo.byu.edu/instructor-help>)

Manage your legacy Student Ratings (<https://studentratings.byu.edu/management-legacy>)

Fall 2020 Reports

The reports for Fall 2020 are available for faculty and administrators.

EARLY ALERT OVERVIEW

214

152

154

98

737

2,739

59

FALL 2020

Data current as of 12/9/2020

To find a group of students,
use these filters ↓

Risk Level

(Multiple values) ↓

Risk Movement

(All) ↓

Engagement Overall

(All) ↓

Engagement Trend

(All) ↓

Remote Classes

(All) ↓

First Gen

Yes ↓

Enrolled Winter 2021

(All) ↓

To find a specific student, use these filters →

BYU ID

Net ID

Last Name

Select a student name to filter to student view

Student Name	Flag Groups	Risk Level	Engagement	Remote/Total Courses	Attempted Credits	Enrolled Credits	Student-Contacted	Academic Standing	Net ID
764BGG	ASO	!	★★	3/4	13	11	@	PROB	fakenetid
425MMA	Athlete	!	★★	3/6	13	13		GOOD	fakenetid
782CMR		!	★★★	3/4	12	12		GOOD	fakenetid
076BCR	ASO	●		1/2	10	4	@	WARN	fakenetid
409GDD	Athlete-Cut, ASO	●	★★	3/6	13.5	13.5	@	WARN	fakenetid
013BML		!	★	4/4	12	12	@	GOOD	fakenetid
791RGA	Athlete	!	★★	3/5	12.5	12.5		GOOD	fakenetid
143REB	MSS, First Year	!	★★	2/4	14	11	@	GOOD	fakenetid
606TCE	SOAR	●	★★	3/4	12	12	@	GOOD	fakenetid
339FON	ASO	●	★	2/2	6	6	@	PROB	fakenetid
752IWP	SOAR, First Year	!	★★	1/5	14	14	@	GOOD	fakenetid
176MAM	Athlete	●	★	4/6	13.5	13.5		GOOD	fakenetid
830YM	First Year, ASO, MSS	!	★★★	3/3	7	7	@	WARN	fakenetid
775FMS	SOAR, First Year	●	★	3/4	12	12	@	GOOD	fakenetid

Click arrow to return to Overview

604RK ⓘ

Current
Attempted
Credits

12

Current
Enrolled
Credits

12

BYU GPA 2.41

Total GPA 2.83

NetID & BYU ID

fakenetid #####

Email

reports@byu.edu

Phone

###-###-####

Primary Major

Pre-Business Program

Secondary Major

Special Interest Groups

ASO

Class Standing & Academic Standing

Junior WARN

Housing

Off-Campus

FYE Mentor

Mentor's Name

Multicultural Advisor

Advisor's Name

ES Counselor & Status

Counselor's Name COMPLETED

Go to YMessage

FALL 20



Risk: +

Engage & Trend: ★★★



Course	Term	Hrs	Inst Mode	Info	Risk	Engage	Engage Trend	Last Click
COMMS 101		3.0	ODR	ⓘ		★★★	↓	3
ECON 110		3.0	LR	ⓘ	●	?		5
GEOL 101		3.0	LR	ⓘ	●	★★★	?	1
MATH 116	1	1.0	LR	ⓘ	●	?		76
REL C 200		2.0	ODR	ⓘ	+	★★★	●	3

Select a course above to see the course risk trend (blue) vs. overall risk trend (black)


Early Alert Related Contacts
(Appointment = "Did Not Show")

12/3/2020	ES-AUTO	Contact Name	Filenote
	ES-AUTO	Contact Name	Filenote
11/11/2020	ES-AUTO	Contact Name	Filenote
11/9/2020	ASO	Contact Name	Filenote

Go to RECSUM

WIN 20



Risk: ●

Engage: ★★

Hover over ⓘ to see the course risk trend vs. overall risk trend

Course	Term	Hrs	Info	Grade	Risk	Engage
ACC 200		3.0	ⓘ	C+	●	★★★
DANCE 260		3.0	ⓘ	A	●	★★★
IS 110		1.0	ⓘ	E	+	★
IS 201		3.0	ⓘ	W	X	
MKTG 201		3.0	ⓘ	C	+	?
REL C 324		2.0	ⓘ	B+	●	★★
WRTG 150		3.0	ⓘ	A	●	?

SPR 20



Engage & Trend: ★★★



Course	Term	Hrs	Info	Grade	Engage	Engage Trend
FIN 201		3.0	ⓘ	D+	★★★	●
IS 110		1.0	ⓘ	C	★	↑
IS 201		3.0	ⓘ	C-	★★★	●

SUM 20



Risk: ●

Engage & Trend:

Course	Hrs	Info	Grade	Risk	Engage	Engage Trend
--------	-----	------	-------	------	--------	--------------

WIN 21



Risk: ●

ACC 241		3.0	LR	ⓘ	●	
GSCM 305	1	1.5	LR	ⓘ	●	?
GSCM 310	2	1.5	LR	ⓘ	●	?
M COM 320		3.0	LR	ⓘ	●	?
MKTG 201		3.0	ODR	ⓘ	●	
MSB 380		1.0	LR	ⓘ	●	
REL A 275		2.0	ODR	ⓘ	●	?
STDEV 109		2.0	LR	ⓘ	●	

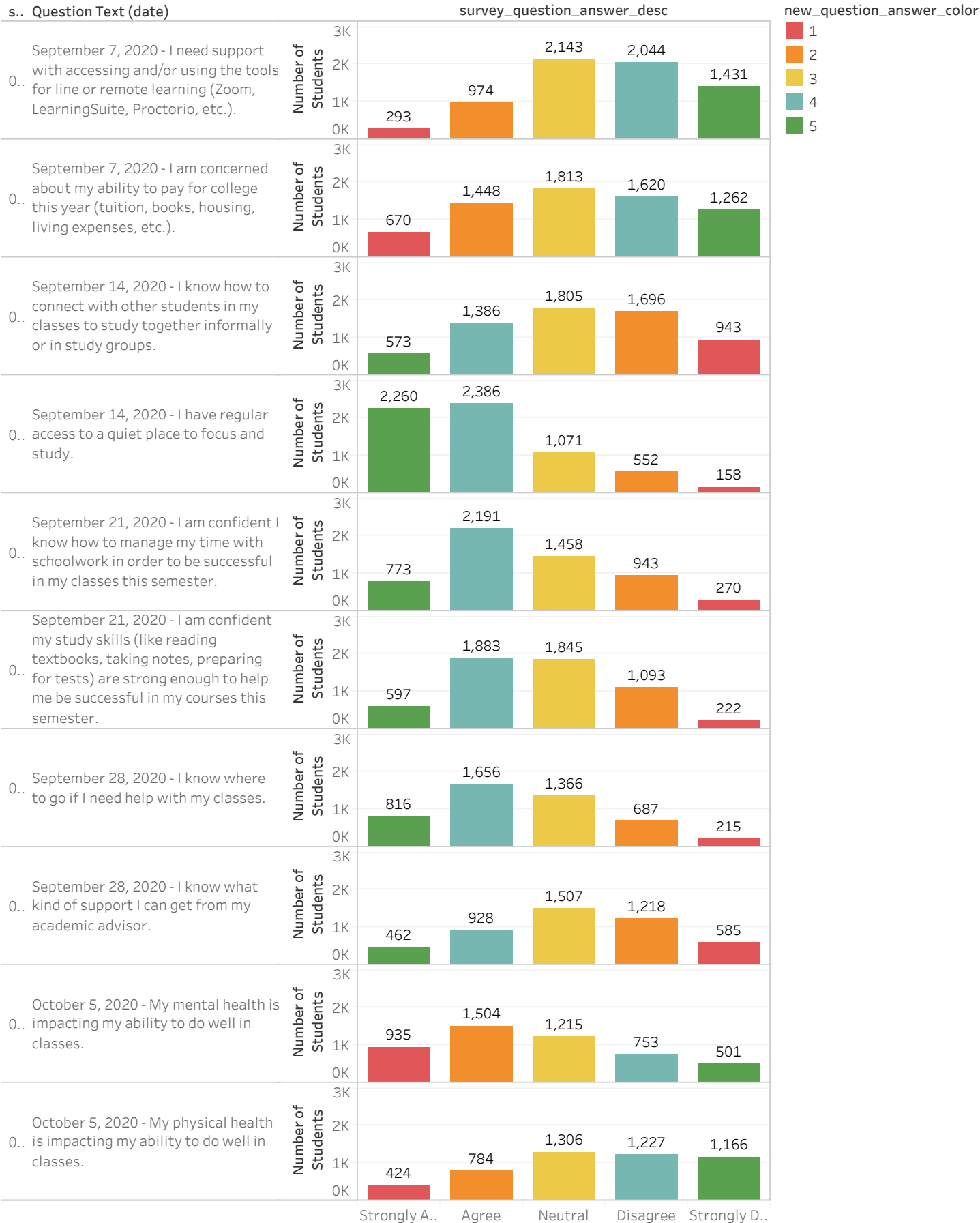
DEW RATES FOR UNDERGRADUATE COURSES BY COLLEGE

College	Academic Years	Section Types	Catalog Levels
Business	2018-2019	Multiple values	All

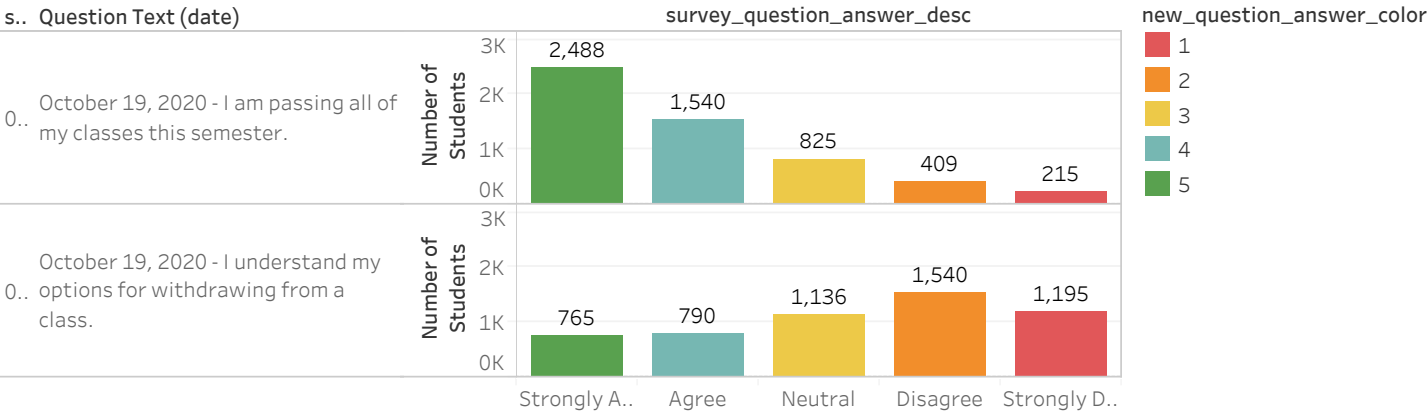
Only courses with 100 or more enrollments over all sections per academic year (except independent study) are included

Overall Top 10		First Generation Top 10		Not White or Asian Top 10		Men Top 10		Women Top 10	
ACC 310	18.3%	ACC 310	33.3%	ACC 200	26.5%	ACC 310	18.6%	ACC 200	19.5%
ACC 200	16.9%	IS 303	29.2%	ACC 310	26.0%	FIN 200	15.8%	FIN 201	18.5%
FIN 201	16.4%	ACC 200	29.0%	FIN 201	25.6%	ACC 200	15.5%	ACC 310	17.6%
FIN 200	12.7%	FIN 201	22.8%	HRM 300	23.8%	FIN 201	15.3%	IS 303	15.7%
ENT 301	12.7%	IS 201	22.8%	FIN 200	21.7%	ENT 301	14.3%	IS 201	11.8%
IS 201	12.4%	MSB 375	20.0%	IS 303	21.2%	MSB 375	13.5%	MSB 375	11.5%
MSB 375	12.4%	FIN 487R	17.6%	IS 201	18.9%	IS 201	12.7%	HRM 300	11.2%
HRM 300	10.1%	MSB 381R	14.3%	MSB 375	17.6%	MSB 331	10.0%	FIN 401	9.1%
IS 303	7.9%	MKTG 201	13.6%	ENT 382	13.6%	HRM 300	9.5%	ENT 301	8.8%
ENT 382	7.9%	EXDM 300	13.3%	MSB 381R	13.2%	EXDM 300	8.6%	FIN 200	7.8%
Teaching Area DEW Rate		Teaching Area DEW Rate for First Generation		Teaching Area DEW Rate for Not White or Asian		Teaching Area DEW Rate for Men		Teaching Area DEW Rate for Women	
FIN	9.9%	ACC	18.9%	ACC	16.3%	FIN	8.7%	FIN	12.8%
ACC	9.3%	FIN	14.9%	FIN	14.8%	ACC	8.4%	ACC	11.3%
IS	6.4%	IS	13.0%	IS	10.2%	EXDM	6.2%	IS	7.2%
EXDM	5.6%	MKTG	12.8%	HRM	9.9%	ENT	6.2%	EXDM	5.4%
ENT	5.6%	EXDM	10.1%	MKTG	8.7%	IS	6.0%	HRM	5.3%
MKTG	5.4%	M COM	7.3%	MIL S	7.4%	MKTG	5.8%	MKTG	4.6%
HRM	4.6%	MIL S	4.8%	EXDM	7.1%	M COM	5.1%	ENT	3.9%
M COM	4.6%	HRM	4.5%	ENT	6.2%	HRM	4.3%	M COM	3.6%
MIL S	3.5%	MSB	4.4%	M COM	5.3%	MIL S	3.8%	MSB	2.9%
MSB	3.1%	ENT	3.5%	MSB	4.2%	MSB	3.1%	GSCM	0.7%

Question Comparison



Question Comparison





Learning Path

- Home
- Welcome Page
- ▾ 1. Registering For...
- 1. Registering fo...
- Courses
- Courses
- Student Develop...
- Student Develop...
- Using MyMAP
- Progress Report
- Register for Clas...
- Registration Cart
- Using MyMAP
- Registering for ...
- 2. Financial Aid
- 3. Goals and Plan...
- 4. Campus Resou...
- Course Conclusion
- My Progress

▾ 1. Registering For Classes	None	
Unit objective:		
(11) Activities		
1. Registering for Classes <small>View</small>	None	
Courses <small>View</small>	None	
Courses	Dec 31 11:59PM	~~/5
Student Development Classes <small>View</small>	None	
Student Development Classes	Dec 31 11:59PM	~~/8
Using MyMAP <small>View</small>	None	
Progress Report <small>View</small>	None	
Register for Classes <small>View</small>	None	
Registration Cart <small>View</small>	None	
Using MyMAP	Dec 31 11:59PM	~~/7
Registering for Classes Conclusion <small>View</small>	None	
▸ 2. Financial Aid	None	
▸ 3. Goals and Planning	None	

Award(s)	BYU
BS	Accounting
Minor, Concentration, Emphasis, Option, Track	Accounting: Professional Accounting Emphasis
Minor, Concentration, Emphasis, Option, Track	Accounting: Tax Emphasis
MAcc	Professional Accountancy
MAcc	Tax
BS	Civil Engineering
BS	Mechanical Engineering
Minor, Concentration, Emphasis, Option, Track	Mechanical Engineering: Aerospace Emphasis
PhD	Mechanical Engineering
MS	Mechanical Engineering
PhD	Clinical Psychology
PhD	Marriage and Family Therapy
MS	Marriage and Family Therapy
MSW	Social Work
JD	Law
Master of Law (LLM)	Comparative Law
BS	Dietetics
BS	Medical Laboratory Science
Master of Athletic Training (MAT)	Athletic Training
BS	Nursing
MS	Nursing
	EDUCATION
BS	Early Childhood Education
BS	Elementary Education
Minor	Physical Education Teaching/Coaching
Minor, Concentration, Emphasis, Option, Track	Special Education: Mild/Moderate Disabilities Emphasis
Minor, Concentration, Emphasis, Option, Track	Special Education: Severe Disabilities Emphasis
PhD	Counseling Psychology
EdS	School Psychology
MS	Communication Disorders
Minor, Concentration, Emphasis, Option, Track	School Leadership
MS	Special Education

Minor, Concentration, Emphasis, Option, Track BS	Technology and Engineering Studies: Teaching Emphasis
Minor, Concentration, Emphasis, Option, Track BA	Family and Consumer Sciences Education
Minor, Concentration, Emphasis, Option, Track BS	Geography Teaching
BA	History Teaching
BA	History Teaching
Bachelor of Music (BM)	Social Science Teaching
Minor, Concentration, Emphasis, Option, Track	Art Education K-12
Minor, Concentration, Emphasis, Option, Track	Dance Education K-12
Minor, Concentration, Emphasis, Option, Track BA	Music Education
Minor, Concentration, Emphasis, Option, Track	Music Education: K-12 Choral Emphasis
BA	Music Education: K-12 General Music Emphasis
Minor, Concentration, Emphasis, Option, Track	Music Education: K-12 Instrumental Emphasis
BA	Theatre Arts Education K-12
Minor, Concentration, Emphasis, Option, Track	Chinese Teaching
Minor, Concentration, Emphasis, Option, Track BA	Dual-Language Immersion K-12 Teaching
Minor, Concentration, Emphasis, Option, Track BA	English Teaching
Minor, Concentration, Emphasis, Option, Track BA	English Teaching
Minor, Concentration, Emphasis, Option, Track BA	French Teaching
Minor, Concentration, Emphasis, Option, Track BA	French Teaching
Minor, Concentration, Emphasis, Option, Track	German Teaching
Minor, Concentration, Emphasis, Option, Track BA	German Teaching
Minor, Concentration, Emphasis, Option, Track	Japanese Teaching
BA	Latin Teaching
Minor, Concentration, Emphasis, Option, Track	Latin Teaching
Minor, Concentration, Emphasis, Option, Track	Portuguese Teaching
Minor, Concentration, Emphasis, Option, Track BA	Russian Teaching
Minor, Concentration, Emphasis, Option, Track	Spanish Teaching
BA	Spanish Teaching
Minor, Concentration, Emphasis, Option, Track	Teaching English to Students of Other Languages
Minor, Concentration, Emphasis, Option, Track BS	Biological Science Education
Minor, Concentration, Emphasis, Option, Track	School Health Education

BS	Chemistry Education
Minor, Concentration, Emphasis, Option, Track	Chemistry Education
Minor, Concentration, Emphasis, Option, Track	Computer Science Teaching
BS	Mathematics Education
Minor, Concentration, Emphasis, Option, Track	Mathematics Education
BS	Physical Science Education
BS	Physics Education
Minor, Concentration, Emphasis, Option, Track	Physics Education

last updated 2020-09-30

Please list Education programs separately from other programs leading to licensure

University Policies



Contents, Related Policies, Applicability ▾

Undergraduate Financial Aid Policy



Over the past decade the cost of obtaining a quality university education has increased considerably. As a result, many students and their families have found it more difficult to obtain the funds to pursue an education. The University is sensitive to this situation and to those students who are hard-pressed to finance their studies. Major changes have been made by the University to improve the delivery system through which students receive financial aid. There is a firm commitment to attempt to assist those who truly need additional resources to further their studies.

The Financial Aid Office also provides assistance to students and parents by making available accredited financial counselors to assist in long-term planning and in the development of individualized educational financing strategies.

Financial aid at BYU comes from various federal, state, and university programs in the form of loans, scholarships and grants. The Financial Aid Office and the Scholarship Office coordinate these financial aid programs and assist students in identifying the financial resources for which they might qualify. Because the number of students applying for financial assistance usually exceeds the funds available through university and federal programs, the distribution of financial aid at BYU is based on an assessment of the student's and family's financial need. There are some exceptions to need-based awarding: BYU academic scholarships, leadership, talent and athletic awards, and BYU short-term loans are not based on need.

The process of determining a student's eligibility for financial aid is called NEED ANALYSIS. In a need analysis, income and asset information from both students and parents or student and spouse is examined to determine the family's ability to contribute toward educational costs. This figure, called the EXPECTED FAMILY CONTRIBUTION, is subtracted from the estimated cost for a student to attend BYU for a specific length of time (typically, one academic year). If the cost of education is more than the family can contribute, the student has demonstrated FINANCIAL NEED.

BYU uses the Free Application for Federal Student Aid (FAFSA) in determining how much the student and family should contribute. All students applying for financial aid must complete this form in addition to the BYU Touch-tone Financial Aid Application. The application process is not complete until the BYU Financial Aid Office has received the results of the FAFSA.

Even though a standard formula is used to analyze a student's financial situation, the Financial Aid Office also carefully considers unusual circumstances of students applying for aid.

Applying for financial aid can be complicated and time consuming. Considerable delay and frustration can arise from filling out forms incorrectly or failing to submit proper documents in a timely manner. Students and parents are encouraged to read the instructions carefully and complete all forms correctly. Professional counselors in the Financial Aid Office are available to assist by answering questions and helping with the application process.

A detailed description and application instructions for each of the financial aid programs can be found in the BYU Financial Aid Bulletin, available upon request or at http://ar.byu.edu/dept_financial. Students with questions regarding financial aid at BYU are invited to contact the Financial Aid Office, A-41 ASB, P. O. Box 21009, Provo, Utah 84602-1009, telephone number 801-378-4104.

Financial Aid Eligibility Requirements

[Top](#)

Any student who is admitted to BYU, who is in a degree-seeking program, and who is making satisfactory academic progress is eligible to apply for financial aid. Students who have their baccalaureate degree and are returning to receive a teaching certificate may also apply for financial aid if they are admitted to the teacher certification program. Applicants for federal financial aid (Pell Grants, Stafford loans and PLUS loans) must be U.S. citizens or eligible non-citizens. Contact the Financial Aid Office if there are questions concerning eligibility.

BYU Short-Term Loan

[Top](#)

The BYU Short-term Loan is available to full or part-time day students or full-time evening students admitted to day school. A student may borrow up to the cost of tuition only, and because the loan is short-term, the loan must be repaid

school. A student may borrow up to the cost of tuition only, and because the loan is short term, the loan must be repaid during the same semester or term in which the money is borrowed. The loan is not available for Independent Study, Study Abroad, job interviewing, or debt payments.

Federal Financial Aid Programs

[Top](#)

Federal Pell Grant

A Federal Pell Grant is awarded by the U.S. Department of Education and is based on financial need. A Federal Pell Grant is not a loan and does not have to be repaid. Only undergraduate students who have not already earned a bachelor's degree are eligible for a Federal Pell Grant. (Students who pay graduate tuition are not eligible.) Students must also meet the eligibility requirements explained in Financial Aid Eligibility Requirements. Full-year Federal Pell Grant awards range between \$400 and \$ 3,300. Federal Pell Grant payments are disbursed to BYU students one semester at a time (spring and summer terms combined are considered one semester) and depend on the number of hours for which a student is enrolled per semester:

- 12.0 or more semester hours equal a full-time payment.
- 9.0-11.5 semester hours equal a $\frac{3}{4}$ time payment.
- 6.0-8.5 semester hours equal a $\frac{1}{2}$ time payment.
- Less than 6 hours equals a "less-than-half-time" payment.

In determining hours for Federal Pell Grant payments, please note that:

- Audit hours, hours through Conferences and Workshops, non-credit courses, or challenge credit are not eligible.
- Hours through Evening Classes, the BYU Salt Lake Center, Study Abroad, and the Jerusalem Center may be used only if the student is admitted to BYU as a degree-seeking student for a term or semester during the academic year.
- Independent Study courses MAY be used if the course is included in a Distance Education Enrollment Contract.

Federal Subsidized Stafford Load

A Federal Stafford Loan is a low-interest, federally-subsidized loan based on financial need. It is available to students from lenders such as banks or credit unions to assist in paying educational expenses. Students must meet the eligibility requirements defined in Financial Aid Eligibility Requirements as well as the federal government requirements for need as calculated by the Free Application for Federal Student Aid (FASFA). Federal Stafford Loan recipients must be enrolled in at least 6 credit hours per semester (or 3 credit hours per term) during the entire period of their loan. Neither audit hours, nor Conferences and Workshop hours may be used to meet the minimum hour requirement.

To avoid the burden of excessive debt, students should consider other forms of financial aid such as grants, scholarships, awards, part-time employment, employee tuition benefits, and family assistance. Students should also contact their state educational agency to apply for state grants and other state aid that may be available. High school counselors and employers can often provide information regarding sources of financial aid.

Federal Plus Loan

A Federal PLUS Loan is an educational loan parents may obtain to meet the educational expenses of their dependent children who meet eligibility requirements noted in Financial Aid Eligibility Requirements and are enrolled in at least 6 credit hours per semester (or 3 credit hours per term) for the entire loan period.

A Federal PLUS Loan is neither need based nor federally subsidized. It requires credit approval of the lender. Monthly payments generally begin sixty days after the loan is disbursed. The maximum PLUS loan is the student's cost of education minus other aid received.

Federal Unsubsidized Stafford Load

A Federal Unsubsidized Stafford Loan is an educational loan that students may obtain to meet their educational expenses. To be considered for a Federal Unsubsidized Stafford Loan, students must meet the eligibility requirements and be enrolled in at least 6 credit hours per semester (or 3 credit hours per term) for the entire loan period.

Although the Federal Unsubsidized Stafford Loan is neither need-based nor federally subsidized, a student must first complete the Free Application for Federal Student Aid (FASFA) to determine eligibility for a Federal Pell Grant or Federal Subsidized Stafford Loan. A student may receive a Federal Unsubsidized Stafford Loan in addition to a Federal Subsidized Stafford Loan.

Satisfactory Academic Progress

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Federal regulations require schools to establish, publish, and apply reasonable standards for measuring whether students receiving financial aid are maintaining satisfactory academic progress. In keeping with these regulations, BYU has established and will apply the following policy governing satisfactory academic progress for financial aid.

Two separate methods of measuring satisfactory academic progress are required by Federal regulations: one is based on academic grades and the other is the rate of progress toward a degree or certificate, by examining the percentage of coursework completed to determine if students are on track to graduate in a timely fashion.

Evaluation Measured

Newly admitted students (both entering freshmen and transfer students) are eligible for financial aid during their first academic year at BYU. At the end of the first academic year, and at the end of each Winter Semester thereafter, the academic standing of all applicants for financial aid will be evaluated to determine if they are making satisfactory academic progress toward a degree or certificate.

Rate of Progress

Students who fail to successfully complete 70% of the credits for which they register each academic year will not be eligible for financial aid for the following academic year. For purposes of this policy, the following are counted as non-progress grades: E, I, IE, NS, UW, W, and WE. Courses, which are repeated within the same academic year, are also counted as non-progress.

Completion percentages will be evaluated at the end of each Winter Semester. Students whose rate of progress is less than 70% for the regular academic year will not be eligible for aid until they either:

- Improve their completion rate for the academic year to 70%, or
- Successfully complete 12 hours or more (with no "non-progress" grades) during regular terms or semesters at BYU, by Independent Study, or at another college or university.

Undergraduate students with over 180 total credit hours are generally ineligible for financial aid.

Appeals and Re-qualifying for Aid

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Students determined to be ineligible for financial aid may appeal to receive aid when there were unusual, extenuating circumstances that prevented them from making satisfactory academic progress. Possible reasons for an appeal might be an accident or injury, a medical or family emergency, or other similar circumstance.

Students on academic probation may appeal for reinstatement of financial aid for future semesters or terms in the same academic year, after they return to good academic standing.

Students not meeting the 70% completion requirement may appeal for reinstatement of aid for future semesters or terms in the same academic year, after meeting the stipulations noted above.

Students requesting an override of the 180 credit hour limit must file a copy of their approved graduation plan along with their appeal.

Financial Aid Tax Information

[Top](#)

Under the Tax Reform Act of 1986 any money received from scholarships, benefits, fellowships, and grants from BYU or any other source, which combined exceeds the cost of tuition, fees, books, and required equipment and supplies, is considered taxable income. This includes Federal Pell Grants but not BYU or Federal student loans.

Since a student is required to report these awards as income to the Internal Revenue Service, it is vital to keep a detailed record (including canceled checks and/or receipts) of all expenditures for tuition, fees, books, and required equipment and supplies. Housing and food are considered non-exempt so money spent on these items is subject to income tax.

The University is not required to withhold any amounts from award payments, so the student is entirely responsible for any income taxes that may be due. The law concerning taxation of scholarships and fellowships is complex. For more detailed information, students should consult their personal tax advisor.

Exception to University Financial Aid Policy

[Top](#)

Students desiring an exception to University Financial Aid Policy must petition the Financial Aid Committee in writing, stating the reason for the requested exception. The committee meets on a regular basis to review petitions. Petition

stating the reason for the requested exception. The committee meets on a regular basis to review petitions. Petition forms may be obtained from the Financial Aid Office.

CONTACT

Brigham Young University
Integrity and Compliance
Office
C-289 ASB
Provo, UT 84602

[801-422-0032](tel:801-422-0032)

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Advisement Integration Council

The purpose of the Advisement Integration Council is to

1. identify and promote campus-wide themes, commitments, and competencies related to the advisement of students;
2. coordinate the efforts of the advisement community;
3. ensure that all members of the advisement community have the opportunity to think strategically about their work in the context of the wider university project, and to provide feedback for the improvement of practice; and
4. encourage an integrated approach to campus advisement that leverages the talents and resources of all members of the advisement community with the goal of helping all students thrive during their time and BYU, and beyond.

Responsible Officer:

John Rosenberg, Associate Academic Vice President-Undergraduate Studies

Chair:

John Rosenberg, Associate Academic Vice President-Undergraduate Studies

Vice Chair:

Tyler Pedersen, Student Academic Services

Members:

- Julee Braithwaite, Fine Arts and Communications
- Jodi Chowen, University Career Center
- Christian Faulconer, Campus Life/University Neighborhood Vice-Chair
- Vern Heperi, Assistant to the President, Student Success and Inclusion
- Anna Ortiz, Kennedy Center
- Heather Patterson, Academic VP Office
- Susan Rugh, Undergraduate Education
- Sarah Westerberg, Associate Student Life Vice President and Dean of Students

BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

801-422-4636

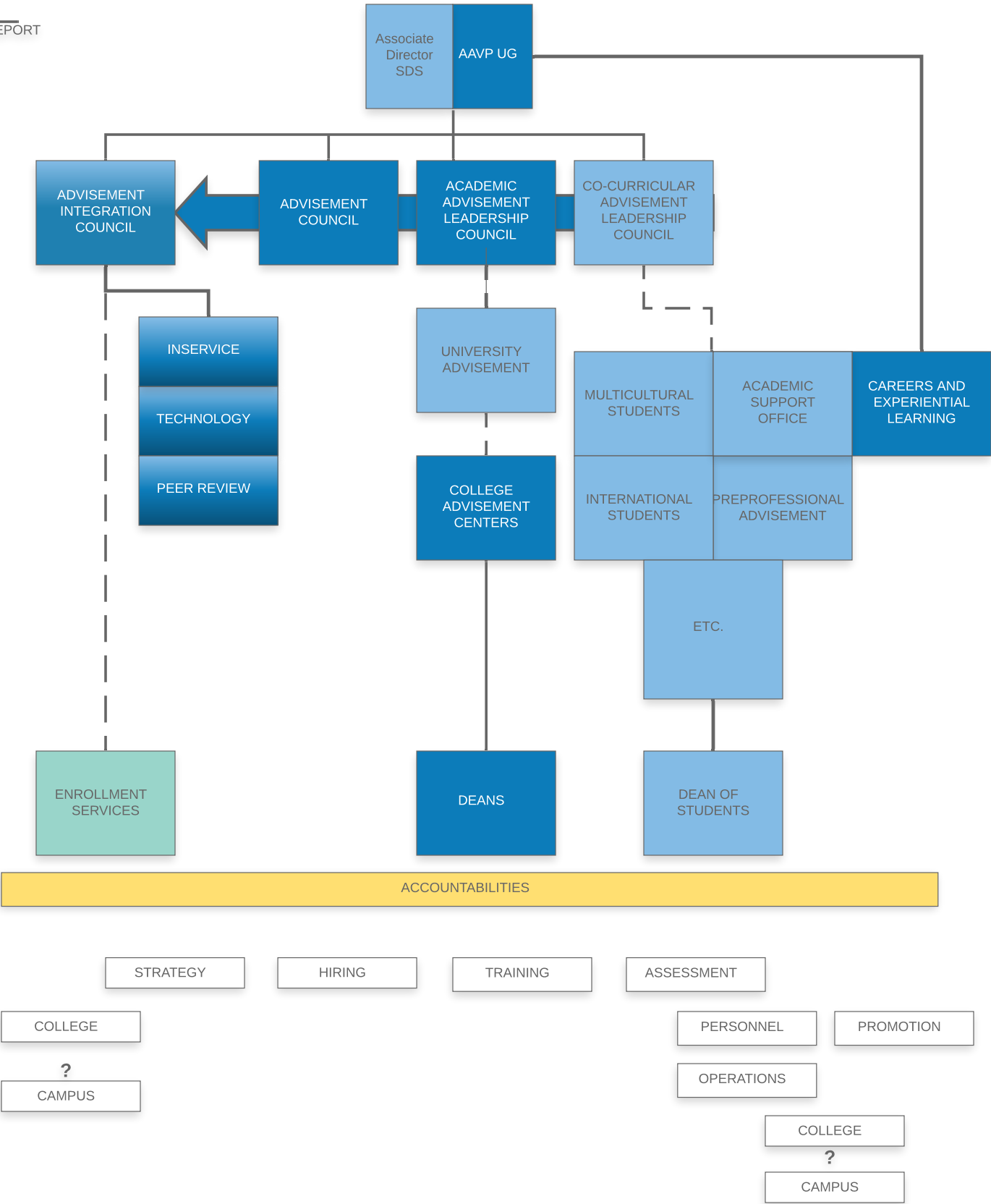
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DIRECT REPORT

Undergraduate Advisement Community

INDIRECT REPORT





Academic Advisor Job Family

Last Evaluated: July 2017

	Position/Level Associate Academic Advisor (Academic Advisor I) Level 50	Position/Level Academic Advisor (Academic Advisor II) Level 51	Position/Level Senior Academic Advisor (Academic Advisor III) OR Advisement Center Supervisor I Level 52	Position/Level Specialized Academic Advisor (Academic Advisor IV) OR Advisement Center Supervisor II Level 53
Key Duties	<p><i>Primary duty of academic advisement for either undergraduate and/or graduate students:</i></p> <ul style="list-style-type: none"> • Meet with students to provide academic assistance, instruction or to evaluate student need • Create and administer Academic Improvement Plans when required • Respond to informational requests • Create informational materials for students • Assist students with registration and graduation planning process • Access University-wide database (for example, AIM, MyMap) • Keep current on curriculum • Apply knowledge of University policies and procedures 	<p><i>See key duties outlined in level 50, plus:</i></p> <ul style="list-style-type: none"> • Counsel students regarding the development of educational plans consistent with their life and career goals • Engage students in career exploration and activities to meet career goals • Assist faculty and staff with issues related to advising • May interpret test scores and make recommendations for class placement • Work with department and/or college administration regarding individual student curriculum variances • Participate in college and University committees involving advisement and student issues • Conduct programmatic research to implement improvements to office services • Provide in-service training to advisors both internally and within the University community • Publish advising materials for use by the University Community and other professionals • Develop University-wide collaborative relationships • Research and provide information for students to aid them both within the college as well as the University (i.e. financial aid and scholarships) 	<p><i>See key duties listed in levels 50 and 51, plus:</i></p> <ul style="list-style-type: none"> • Present or publish on advisement issues within the University or externally in the professional community • Conduct research on advisement issues and approaches • Participate in special projects to assist in the development of new advisement initiatives • Participate in or sponsor college and University advisement fairs • May act as a teaching faculty member in areas of student development and personal growth • May hold office and/or participate in local, state or national professional organizations <p><i>As a College Advisement Center (CAC) Supervisor:</i></p> <ul style="list-style-type: none"> • Manage operations of a college advisement center • Develop new advisement programs for the college • Remain current on advisement national standards and trends • Assess college policies and procedures for improvement 	<p><i>See key duties listed in levels 50-52, plus:</i></p> <ul style="list-style-type: none"> • Primarily focus on advising students with specific learning or developmental challenges • Provide complex assessment required for individualized academic programs • May develop additional college programs, serve as an assistant to the associate dean on advisement issues, and/or have significant monetary or budgetary responsibilities

For purposes of posting and hiring, requirements at each level must be included in the online postings.
Letters of Understanding must be signed upon hire or advancement for level (50) academic advisors.

			<ul style="list-style-type: none"> • Supervise and mentor personnel assigned to the college advisement center • Ensure that advisement personnel participate in professional development and continuing education activities • Ensure collegial relationships both within the college advisement community and the University • Act as a consultant to University personnel • Serve on the University Operational Advisement Committee (OAC) 	
Education and Work Experience Required	<ul style="list-style-type: none"> • Bachelor's degree • 0-3 years experience in advisement 	<ul style="list-style-type: none"> • Bachelor's degree and 3 years advisement experience OR • Master's degree OR • Advisement certification (or equivalent graduate coursework) and 0-3 years of advisement experience 	<ul style="list-style-type: none"> • Master's degree in advisement or counseling and 4 years of advisement experience OR • Master's degree in relevant area and graduate coursework in counseling/advising and career theory and 4 years of advisement experience OR • Advisement certification (or equivalent graduate coursework) and 4 years of college advisement experience OR • Master's degree in relevant area, an advisement certification, and at least 5 years of management experience 	<ul style="list-style-type: none"> • Master's degree in advisement or counseling discipline and 6 years of advisement experience OR • Master's degree in relevant area and graduate coursework in counseling/advising and career theory and 6 years of advisement experience OR • Advisement certification (or equivalent graduate coursework) and 6 years of college advisement experience OR • PhD or specialized degree relevant to specialized area AND • Prefer evidence of contributions to the advising profession, such as (1) a record of publishing or presenting in professional advisement literature, (2) training and mentoring other advisors, and (3) participating in advising in-

For purposes of posting and hiring, requirements at each level must be included in the online postings. Letters of Understanding must be signed upon hire or advancement for level (50) academic advisors.

				service and professional development
Knowledge and Skills Required	<ul style="list-style-type: none"> • Skilled in the use of computers and databases • Ability to learn advising and/or general counseling skills, such as: (1) ability to assess student knowledge and provide recommendations and appropriate referrals, (2) stress management and conflict resolution skills, and (3) aptitude for assisting students in identifying obstacles and generating solutions/goals to overcome obstacles • Excellent writing skills • Excellent interpersonal skills • Ability to maintain confidentiality 	<p><i>See knowledge and skills outlined in level 50, plus:</i></p> <ul style="list-style-type: none"> • Ability to create an environment conducive to developmental advising • Technical ability to analyze and interpret data and to apply information to student advising processes • Knowledge of how to conduct surveys and ability to participate in research and surveys 	<p><i>See knowledge and skills outlined in level 50-51, plus:</i></p> <ul style="list-style-type: none"> • Ability to use knowledge of University, college, and department regulations and requirements related to advising • Demonstrate outstanding skills in advising and ability to apply various advisement paradigms • Ability to independently plan and implement research/surveys 	<p><i>See knowledge and skills outlined in level 50-52</i></p> <ul style="list-style-type: none"> • Extensive knowledge in all areas of advisement
Professional Development and Continuing Education Requirements	<ul style="list-style-type: none"> • Participate in a minimum of 15-hours (annually) of professional development directly related to advising practices. <i>(Professional development must be approved by supervisor. Professional development may be completed by attendance at UAOA or NACADA events, local in-service training, or other advising events.)</i> • Complete 2 graduate courses annually (sponsored by the University in areas of Career Development Theory, Learning Theory, College Student and College Environment, Foundations of Academic Advisement and Multicultural Advisement until Master's degree is completed) • Complete training in University advisement functions (such as: 	<ul style="list-style-type: none"> • Participate in a minimum of 15-hours (annually) of professional development directly related to advising practices. <i>(Professional development must be approved by supervisor. Professional development may be completed by attendance at UAOA, NACADA events, local in-service training, other advising events, or coursework.)</i> • Complete 2 graduate courses annually (sponsored by the University in areas of Career Development Theory, Learning Theory, College Student and College Environment, Foundations of Academic Advisement and Multicultural Advisement until Master's degree is completed) • Maintain a working knowledge of the profession and attend professional conferences 	<ul style="list-style-type: none"> • Participate in a minimum of 15-hours (annually) of professional development directly related to advising practices. <i>(Professional development must be approved by supervisor. Professional development may be completed by attendance at UAOA or NACADA events, local in-service training, other advising events, or coursework.)</i> • Complete 4 University sponsored graduate courses related to academic advising or complete advisement certificate (Course subject may be in counseling skills, student learning theory, career theory, etc.) 	<ul style="list-style-type: none"> • Participate in a minimum of 15-hours (annually) of professional development directly related to advising practices. <i>(Professional development must be approved by supervisor. Professional development may be completed by attendance at UAOA or NACADA events, local in-service training, other advising events or coursework)</i>

For purposes of posting and hiring, requirements at each level must be included in the online postings. Letters of Understanding must be signed upon hire or advancement for level (50) academic advisors.

	admissions, financial aid, transfer credit, student need assessment, effective student referral, advisement technology, and customer service)			
Supervisory Responsibilities	<ul style="list-style-type: none"> • May supervise student employees 	<ul style="list-style-type: none"> • May supervise student employees 	<ul style="list-style-type: none"> • Responsible for advisement within specialized program (specialized individual contributor) OR • Supervise operations of a <i>*small</i> college advisement center 	<ul style="list-style-type: none"> • Responsible for advisement within specialized program (specialized individual contributor) OR • Supervise operations of a <i>*large</i> college advisement center
Typically Reports To	Advisement Center Supervisor	Advisement Center Supervisor	Dean, Associate Dean, University Advisement Office Director, or Advisement Center Supervisor	Dean, Associate Dean, or University Advisement Office Director
Direction Received	<ul style="list-style-type: none"> • Guidance from supervisor or mentor required 	<ul style="list-style-type: none"> • Some guidance from supervisor or mentor may be required 	<ul style="list-style-type: none"> • Independent and autonomous • Responsible for operations of a college advisement center or significant programs within a college/university unit 	<ul style="list-style-type: none"> • Independent and autonomous • Responsible for operations of a college advisement center or significant programs within a college/university unit
Decision Making Authority	<ul style="list-style-type: none"> • Academic improvement plans • Content of materials produced 	<ul style="list-style-type: none"> • Graduation clearance, special program attendance and course substitution • Program improvement 	<ul style="list-style-type: none"> • Hiring, supervising and firing • Develop and implement programs 	<ul style="list-style-type: none"> • Hiring, supervising and firing • Develop and implement programs
Position Outreach/Impact	•College/Department	• College/Department	• University and Advisement Community	• University and Advisement Community
Department Size	Any	Any	<i>*Small CAC</i>	<i>*Large CAC</i>

*Determination of supervisory level (52, 53) will be made based on (1) faculty direction received, (2) number of advisors, (3) number of full-time employees in advisement center, and (4) number of students in college.

For purposes of posting and hiring, requirements at each level must be included in the online postings. Letters of Understanding must be signed upon hire or advancement for level (50) academic advisors.

Advisement at BYU

University Committees and Leadership

The Associate Academic Vice President for Undergraduate Studies, in collaboration with college deans, retains responsibility for advisement services at BYU. In order to execute this charge, three University-level committees have been established.

Academic Integration Council

The Academic Integration Council comprises administrators and leadership from Student Life, the Academic Advisement Leadership Council (AALC), the Co-curricular Leadership Council (CCALC), Enrollment Services, Undergraduate Education and the Office of Student Success and Inclusion. The AAVP for Undergraduate Studies chairs this committee with the director of Student Development Services as the co-chair. The role and responsibility of this committee is to develop the mission and vision of advisement services, enhance the capabilities and competencies of advisors, develop and execute campus-wide initiatives to meet students' advisement needs, and ensure the overall effectiveness and availability of advisement across campus.

Several subcommittees have been formed to assist in these responsibilities. They report to the AIC and AAVP for Undergraduate Education.

- The Inservice Committee: The AIC provides regular training and networking opportunities for the advisement community
- Assessment Committee: The Assessment Committee assists advisement centers and offices in their efforts to measure the outcomes and effectiveness of their services
- Technology Committee: The Technology Committee examines and identifies current technology needs and makes recommendations for the development and adoption of new technologies.
- Peer Review Committee: This committee evaluates advisors seeking a promotion through the development and submission of a
- Career Development Council: This committee is responsible for developing and maintaining the framework by which advisors across campus can receive promotion and/or commendation throughout their career.

College Advisement Centers

A supervisor, who reports directly to a college dean or designated associate dean, leads each College Advisement Center. College Advisement Centers are responsible to (1) assist students

seeking a major or minor in the college; (2) provide academic and career advisement to undergraduate students with declared majors or minors in the college; (3) collaborate and coordinate with other College Advisement Centers, the University Advisement Center, and other University advisement support functions; (4) consistently apply University-approved advisement policies and procedures; (5) participate as a member of the Academic Advisement Leadership Council (AALC) and assigned subcommittees; and (6) handle other duties as assigned by the college dean.

University Advisement Center

The University Advisement Center is responsible to (1) provide academic and career advisement to students seeking information on how to choose majors or careers, (2) serve as the authorized advisement center for open major students, (3) provide academic and career advisement to special populations including summer visiting students, newly enrolled international students, and students in transition, and (4) assist students who are seeking information about graduate programs not provided elsewhere on campus.

The University Advisement Center is led by a director who reports to the director of Student Development Services. The director participates as a member of the University Advisement Council, the Academic Advisement Leadership Council (AALC) and any subcommittees as assigned.

Advisement Policies and Procedures

College Advisement Centers and the University Advisement Center are expected to take an active role in shaping advisement-related policies and procedures. Proposals for new advisement policies and procedures or changes to those established are submitted to the Academic Advisement Leadership Council (AALC) for discussion. If viable and acceptable, they are submitted to the University Advisement Council for discussion, refinement, and approval or for submission to the appropriate governing body for review and approval.

Academic Advisement Leadership Council (AALC)

Operational Advisement Committee (OAC)

The Operational Advisement Committee (OAC) is a broad based institutional working group composed of personnel from across the University advisement community. Specifically, members of the OAC include the supervisors of the respective college advisement centers, the coordinator of the University Advisement Center, representatives from specialty advisement areas, representatives from University advisement support organizations, and selected members of the University administration. It is co-chaired by Associate Vice Presidents from Academics and Student Life who alternate conducting responsibilities on an annual basis.

The purpose of the OAC is to foster communication on advisement issues, increase awareness of University advisement policy, provide recommendations for modification of advisement policy, increase collaboration and exchange between organizations providing advisement, and

recommend and foster training and continuing education for advisement personnel. The OAC also encourages the continued development of advisement resources and seeks to ensure quality services are provided to students in a timely and beneficial fashion. The OAC functions under the direction of the University Advisement Council and University administration.

University Advisement Council (AC)

The University Advisement Council reports to the Academic Vice President and Vice President of Student Life through associate vice presidents who are its co-chairs. It is responsible to oversee consistent application of University-approved policies and related procedures within and among the University's advisement centers and advisement support units; discuss and take appropriate action on proposals from the Operational Advisement Committee; develop, refine, and propose viable changes to policies currently in force; discuss and approve procedures and practices that facilitate broad application of approved policies; and prepare and propose new policies for review and approval by appropriate governing bodies. Its members include the Dean of Students, the Dean of Undergraduate Education, and the Executive Director of Student Academic and Advisement Services; an associate dean from each college/school, Religious Education, and Undergraduate Education (First Year Experience); the Director of the Kennedy Center; Coordinator of the University Advisement Center; and a representative from the Counseling and Career Center, the Graduate Studies Office, and Career Placement Services.

University Vision, Mission, and Goals

Vision: Guide every student to academic success and personal development

Mission: Engage and educate individual students to define and achieve their academic, career, and life goals and to progress toward their eternal potential

Goals: Academic advisors collaborate as a professional advising community, provide a caring environment that facilitates and fosters student success, and commit their best efforts to:

- Encourage student self-exploration leading to personal development
- Promote student accountability
- Provide timely and accurate information and referrals
- Encourage educational planning for timely graduation
- Advocate for student success
- Follow the "Advising as Teaching" philosophy
- Engage in professional development

Service Philosophy

Harold B. Lee Library

The Harold B. Lee Library (HBLL) supports the mission and aims of Brigham Young University, which is “to assist individuals in their quest for perfection and eternal life” by developing students “of faith, intellect, and character who have the skills and the desire to continue learning and to serve others throughout their lives” (<http://aims.byu.edu/>). To this end, services provided by the HBLL seek to assist students and faculty in finding and using information resources to achieve their teaching, learning, and research goals, as well as to assist students in developing information literacy skills that will allow them to discover, access, and use information effectively in their university work and throughout their lives. The HBLL strives to tailor services to meet individual needs and determine appropriate kinds and levels of services and to enhance access to and discovery of a wide-range of information resources. HBLL services include physical spaces conducive to academic success, quality print and electronic information resources, trained information experts, effective information access points, and instruction in finding, accessing, and using information. These services are adjusted in anticipation of as well as in response to the changing information needs of students and faculty.

Spaces conducive to academic success

The HBLL’s physical spaces are designed to be conducive to study and research, and user consultations inform this design. Effective signage and directional tools support the self-sufficient use of physical spaces. Service points are easily discoverable and conveniently located throughout the building. Spaces are tailored to meet specific needs of students and faculty and are non-exclusive, open to all students and faculty desiring to use the spaces for the purposes for which they were designed. The HBLL’s IT infrastructure provides effective wireless access and electrical outlets for mobile devices, a limited number of wired computer stations, as well as access to technologies and equipment that supports campus-wide curricula and research. The HBLL accommodates the varying needs of users by providing adequate quiet spaces for individual study, non-quiet spaces for group study, and maker spaces for collaboration, creativity, innovation, and design. Pedagogical spaces are designed to facilitate a variety of teaching and learning styles. The HBLL provides a clean, inviting environment with well-maintained furnishings, as well as convenient hours for its services, personnel, resources, and collections. The HBLL provides effective educational spaces to create student learning experiences through programs, exhibits, and lectures. The HBLL partners with others in the use of library space when the partnership facilitates the discovery and use of information to support desired curricular outcomes. Space partnerships benefit the broadest possible range of students and faculty and are not limited to use by a single department or discipline.

Quality print and electronic resources

The HBLL provides, promotes and preserves relevant resources in print and electronic form, including scholarly and creative content produced by the university and unique collections available only at the Library. Collections are sufficient in quality, depth, diversity, format, and currency to support the teaching, learning, and research needs of the students and faculty (see the HBLL’s “Collection Development Philosophy” statement).

Trained information experts

The HBLL provides a sufficient number of personnel with education and experience necessary to support the diverse teaching, learning, and research needs of the university community. Library personnel include those who maintain the physical spaces; those who select acquire and maintain the physical and electronic information resources; those who describe and arrange the physical and electronic information resources to enhance access and discoverability and link users to needed resources; those who instruct, direct, and assist students in discovering and accessing the information resources; those responsible for enhancing and maintaining the library's IT infrastructure; and those who engage in planning, assessing, and administering the programs and resources of the library. Library employees are committed to providing focused, customized services that are centered on the current information needs of individual students and faculty. Library personnel seek to assist students in making the best use of available time and information resources to achieve the learning outcomes of their course work and to successfully complete their programs of study in a timely and efficient manner. They also seek to assist faculty in maximizing time and information resources for teaching and research in support of student learning. Librarians are assigned to each academic department to provide levels of service appropriate to the needs and inclinations of the faculty and disciplines within those departments. In providing services, library personnel respect the intellectual freedom of students and faculty, as well as privacy and confidentiality. They also support academic integrity and respect intellectual property rights and values.

Effective information access points

Effective information access points are where students and faculty interact with information experts and information resources in both physical and virtual environments to expand learning and facilitate the creation of new knowledge. Access points are easily discoverable and conveniently located, providing a welcoming, approachable, and collaborative presence. Access points are designed to optimize access to information resources, including information experts. Optimized access also includes reasonable and effective borrowing periods and methods for information resources, as well as reasonable and effective delivery services. Customization comes through access point specialization by discipline/topic, function, and/or format with support provided by experts associated with those specializations. Further customization may result from one-on-one consultations between information experts and students or faculty. Communication tools accommodate the changing information needs of students and faculty and recognize that use of information varies depending on the stages of the research process, the course levels, and the nature of the disciplines. These tools currently include personal interviews, telephone, email, chat, and text, as well as finding aids, research guides, and databases expertly designed to enhance discoverability. The HBLL also collaborates with campus partners to provide effective educational experiences for students through access to programs, exhibits, and lectures.

Instruction in finding, accessing, and using information

The HBLL collaborates with faculty in helping students gain confidence and skills in using information resources and research tools and in achieving information literacy competency. Information experts provide regular instruction in a variety of contexts and platforms, including office consultations, classroom instruction, and online tutorials. The HBLL partners with the faculty to embed information literacy into curricula, courses, and assignments. The library communicates regularly to keep the campus community educated and informed about library programs and services.

Collection Development Philosophy

The Collection Development Philosophy is guided by and supports the mission of the Harold B. Lee Library, which is to provide information resources and services that:

- *Support educational pursuits*
- *Promote information discovery*
- *Advance scholarship*
- *Nurture lifelong intellectual and spiritual growth*

The Harold B. Lee Library collects, organizes, preserves and provides access to a rich and unique record of human thought and creativity in a variety of formats, in support of the teaching, research and public missions of Brigham Young University. To the degree it is possible and appropriate, the library attempts to provide worldwide discovery and access to its collections. The library fosters peer relationships within the broader library community to better inform its faculty and staff and to contribute to the general discussion and advancement of academic and research library collection development best practice.

The library has limited resources to acquire materials at various collection levels for all subject areas and disciplines. Accordingly, the collection development philosophy embraces interlibrary borrowing and lending programs to supplement and complement its collections. The library accepts gifts on a limited basis and which are consistent with accepted collection development guidelines. The Lee Library participates in consortia arrangements such as the Consortium of Church Libraries and Archives (CCLA), Utah Academic Library Consortium (UALC) and the Greater Western Library Alliance (GWLA), where specific borrowing, lending, and acquisition agreements are formalized. Further, the Lee Library seeks collaboration with other libraries, publishers, information and data aggregators, open access entities, and digital initiatives in order to enhance discovery and access to resources.

Designated librarians and curators have the primary responsibility to collect, manage and maintain resources in designated subject areas and disciplines within the limits of acquisition budgets and other funding supplements. Librarians collect in appropriate and available formats by adapting strategies that provide for the anticipated needs and benefit of patrons. When digital content is available, affordable, and appropriate, it is the preferred resource format. It is recognized that the availability of digital content varies due to disciplinary and geographical circumstances, developments in the publishing marketplace, and technological advances. Librarians assess the Library's collections for quality and accessibility. Librarians use information aggregators, content reviews, professional recommendations, and other subject content specialists and evaluation tools to aid in selection and retention processes. The library invites recommendations for needed resources from students, faculty, and staff and incorporates patron demand driven and evidence based acquisition models into its resource selection process.

The library's first collection priority is to build and maintain strong collections to support university degree programs and faculty research. After this priority is satisfied, other collecting areas that have been established by history, special relationships, or formal agreements will be supported to the extent resources allow. The expanse and depth of collecting resources in the various subject areas and disciplines falls under four collection levels:

- **Representative Level:** Provides limited, essential materials for reference purposes and introduces and defines a subject in the minimum number of works which will serve the purpose
- **Teaching Level:** Provides adequate information resources to support the course work of advanced undergraduate and master's degree programs and sustain independent study
- **Research Level:** Provides published resource materials required for doctoral degree programs
- **Comprehensive Level:** Provides for the acquisition, so far as reasonable, all available significant works of recorded knowledge for a necessarily defined and limited field, *i.e.*, a comprehensive effort to acquire manuscript, archival and ephemeral materials, etc. in addition to published sources. This level creates or maintains a special collection. {See [Note 1.](#)}

The Collection Development Philosophy is intended to guide the work of subject librarians and curators as well as other library faculty and staff across the Lee Library. Creativity and collaboration among subject librarians is encouraged to enhance development of multidisciplinary collections and effectively leverage collection funds. Collection development statements for specific disciplines or departments describe priorities, operational approaches appropriate to those disciplines, and summary of collection activities. All collection development work is clearly aligned with the strategic goals and priorities of Brigham Young University and is intended to aid in achieving the goal of building, sustaining, and preserving a strong local collection in those areas that are central to the University's programs of teaching and research.

Note 1

At the present time the Library collects at the Comprehensive Level in the following areas:

- Mormonism
- Literature
 - William and Dorothy Wordsworth
 - Herman Melville
 - Louisa May Alcott
 - Robert Burns
 - Walt Whitman
 - Orson Scott Card

19th Century Mormon and Western Manuscripts Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

Collections of manuscripts related to 19th Century Mormon and Western America have been a part of BYU Special Collections since the department began in 1956, and have been known by different names, most recently The Archives of the Mormon Experience and Archives of Utah and the American West. These two collections have now been combined to make the 19th Century Mormon and Western manuscripts collection.

The collection provides a breadth of primary sources for BYU faculty and students, particularly those researching or who have an interest in early Mormon, Utah, and Western American history. The collection also supports research interests of general patrons with an interest in early Mormon, Utah, and Western American history, including genealogists and family historians.

II. Position Responsible for Collecting Decisions

Curator of 19th Century Mormon and Western Manuscripts

III. Scope and Focus of Collecting

History of The Church of Jesus Christ of Latter-day Saints, 1830-1930; 19th Century history and settlement of Utah, surrounding states, and the American West in general.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

1. LDS cultural, family, social, intellectual, mission and religious history
2. LDS ethnic and minority history
3. LDS women's history
4. Utah and Western American cultural, family, social, intellectual, and religious history
5. Utah political history
6. Utah and Western American business and labor history
7. Utah and Western American environmental history
8. Utah and Western American ethnic and minority history
9. Utah and Western American women's history

ii. Major Faculty Research Interests

All disciplines within the University concerned with the historical experience of the Latter-day Saints, the history of Utah, and the history of the American West make use of L. Tom Perry Special Collections manuscript and archival collections, with heaviest use coming from History, Religion, American Studies, Sociology, Anthropology, English, Communications, Political Science, and Humanities.

b. Limitations

Special Collections will not openly collect official LDS Church corporate records, but will recommend such records be submitted to the LDS Church History Department.

Specifically, by agreement with The Church of Jesus Christ of Latter-day Saints, the papers of all General Authorities who were living on January 1, 1976 and thereafter are to be preserved in the LDS Church History Department, except when extenuating circumstances make it impossible to follow this policy and the Church History Department executives and the University Librarian agree that a person's papers would be more appropriately preserved elsewhere.

V. General Selection Guidelines

a. Treatment of Subject Depth

19th Century manuscripts and records support research needs and requirements for undergraduate and graduate students, faculty and scholars, researchers, family historians and genealogists, and community members.

b. Specific Delimitations

i. Type

Historical, archival, and manuscript materials of any type will be collected.

ii. Physical Format

Primary source materials, and unique historical, archival, and manuscript materials will be collected, including, but not limited to, manuscripts, photographs, journals, diaries, scrapbooks, letters and correspondence, records and archives, printed ephemera, and electronic resources and assets with 19th Century content; and, selected artifacts for exhibition purposes.

iii. Date

Primary focus is 1830-1930, the first one hundred years of The Church of Jesus Christ of Latter-days Saints. See separate collection development policy for materials that are pre-1830.

iv. Geographical focus

1. Utah County: Collected extensively
2. Central Utah: Collected extensively
3. Southern Utah: Collected moderately

4. Utah (general): Collected moderately
5. The Great Basin: Collected moderately
6. The Colorado Plateau: Collected moderately
7. The Inter-Mountain West: Collected moderately
8. The United States (general): Collected selectively
9. The World, with a particular emphasis on “regions” or “pockets” of LDS membership: Collected selectively

v. Subject Emphasis

1. LDS cultural, family, social, intellectual, mission and religious history

Historical collections and materials that document the lives and careers of individual Latter-day Saints and Latter-day Saint families. Historical collections and materials that document the cultural and social history of The Church of Jesus Christ of Latter-day Saints. Historical collections and materials that document the religious experience of Latter-day Saints. Historical collections and materials that document the experiences of Latter-day Saint missionaries.

Collected extensively

2. LDS ethnic and minority history, including primarily the historical collections of LDS ethnic and minority groups in Utah, the West, the United States, but may also include international groups selectively.

Collected moderately

3. LDS women’s history, including primarily historical collections representative of LDS women in Utah, the American West, and the United States, but may also include international LDS women selectively.

Collected moderately

4. Utah and Western American cultural, family, social, intellectual, and religious history

Historical collections and materials that document the lives and careers of individuals and families from Utah and the American West. Historical collections and materials that document the cultural, social, and religious history of Utah and the American West.

Collected extensively

5. Utah political history, including the historical collections of Utah politicians, grass roots political movements, etc. Materials to be collected include manuscript and archives collections.

Collected moderately

6. Utah and Western American business and labor history, including the historical collections of Utah and Western American businesses and labor groups, particularly those historical materials that document or chronicle important trends or movements in Western American economic and labor history.

Collected moderately

7. Utah and Western American environmental history, including historical materials and collections that document environmental change; water use; environmental activism; and mining, ranching, and agriculture in Utah and the West.

Collected moderately

8. Utah and Western American ethnic and minority history, including the historical collections of ethnic and minority groups in Utah, the West, and the United States.

Collected moderately

9. Utah and Western American women's history, including historical collections representative of women in Utah and the American West.

Collected moderately

vi. Languages

1. English: Collected extensively.
2. Spanish: Collected moderately.
3. Other world languages: Collected selectively.

VI. Deaccessioning Guidelines

The Curator for 19th Century Mormon and Western Manuscripts may present a proposal to deaccession material to the L. Tom Perry Special Collections Board of Curators. Materials may be deaccessioned if they do not comply with the 19th Century Mormon and Western Manuscripts Collection Development Policy.

VII. Cooperation with other Institutions

Special Collections collaborates closely with our Harold B. Lee Library colleagues, and, in specific cases, allied subject specialists, including, but not limited to, American history, LDS Church history, Women's Studies, Engineering, Science, Anthropology, Latin American Studies, Maps, Film and Media, and Literature.

Special Collections collaborates and cooperates with other libraries and archives and we endorse and support collaborative and cooperative projects that promote access to shared cultural resources.

Special Collections will recommend donors and records creators to submit records to other institutions if they do not comply with the 19th Century Mormon and Western Manuscripts Collection Development Policy and more closely fit collecting policies of another institution.

VIII. Revisions

1. The collecting policies for The Archives of the Mormon Experience and Archives of Utah and the American West were combined to make this policy, by Ryan K. Lee, November 12, 2013.

20th and 21st Century Western and Mormon Americana

I. Purpose and Program Description

A. Historical collections and primary source materials that:

1. Document 20th and 21st Century local, regional, Utah, Western, and LDS history.
2. Support research and teaching at all academic levels, undergraduate through graduate, with an emphasis on providing the very best primary source materials for undergraduate education at Brigham Young University.

B. Curriculum Program Description

All disciplines within the University concerned with the history of Utah, the American West, the impact on history of the Church of Jesus Christ of Latter-day Saints, and American history, use our historical collections.

The number of historical collections held by the L. Tom Perry Special Collections is always growing, and we make every effort to anticipate future curriculum and research requirements, and to meet the demands and requirements of a diverse and large undergraduate and graduate student body.

C. New and Expanding Areas of Interest

Ethnic and minority history (as related to local history, LDS Church history, and Western American history).

LDS Women

Popular Culture

See “Subject Emphasis” below

D. Areas of Specialization

See “Subject Emphasis” below

II. General Selection Guidelines

A. Treatment of Subject Depth

Historical materials acquired are unique historical, archival, and manuscript collections necessary to create an Association for Research Libraries (ACRL) level repository.

B. Specific Delimitations

1. Type

Historical, archival, and manuscript materials of any type, including photographs, film, media and folklore/ethnographic materials. The proceeding four types of material (photographs, film, media, and folklore/ethnographic) will only be acquired in concert with the Curator for Photographic Archives; the Curator for Arts and Communications Archives, Film Music Archives, and Motion Picture Archives; and the Curator for Folklore Archives and LDS Literature Manuscripts.

2. Physical Format

Primary source materials including unique historical, archival, and manuscript materials.

3. Creation Date

Collected extensively: 1900 – present.

4. Geographical Focus

Utah County, Utah, the Great Basin, the Colorado Plateau, the Inter-Mountain West, and the United States, with a particular emphasis on “regions” or “pockets” of LDS membership.

5. Subject Emphasis

- I. “Utah political history,” including the historical collections of federal, state, and local politicians, grass roots political movements, etc. Materials to be collected include historically important manuscript and archives collections.

Collected Moderately

- II. “Western American business and labor history,” including the historical collections of Utah and Western American businesses, particularly those historical materials that document or chronicle important trends or movements in Western American economic and labor history. Materials

to be collected include historically important manuscript and archives collections.

Collected Moderately

- III. “LDS scholarship and historiography,” including the historical collections of leading LDS scholars, scientists, historians, etc. Materials to be collected include historically important manuscript and archives collections.

Collected Moderately

- IV. “Ethnic and minority history,” including the historical collections of ethnic and minority groups in Utah, the West, and the United States. Materials to be collected include historically important manuscript and archives collections.

Collected Moderately

- IV. “LDS, Utah, and Western American women,” including historical collections representative of LDS women and women in Utah, the American West, and the United States. Materials to be collected include historically important manuscript and archives collections.

Collected Moderately

- V. “Environmental history,” including historical materials and collections that document environmental change, environmental activism, mining, ranching, and agriculture in Utah and the West. Materials to be collected include historically important manuscript and archives collections.

Collected Moderately

- VI. “Utah and the American West and LDS cultural, social, and religious history,” including historical collections and materials that document the lives and careers of Utah/American West and LDS writers; historical collections and materials that document the cultural and social history of Utah and the American West, and historical collections and materials that document the history of Utah County and region. Materials to be collected include historically important manuscript and archives collections.

Collected Moderately

6. Languages

Most materials will be in English, but no language is excluded if other criteria are met.

C. Overlap with Other Subjects or Collections not in Special Collections but in the Harold B. Lee Library.

We collaborate closely with our Library colleagues, and, in specific cases, allied subject specialists, including Connie Lamb, Mark Grover, Gary Gillum, Michael Hunter, and Robert Means.

D. Cooperative Programs

By agreement with the LDS Church Historical Division, the papers of all LDS Church General Authorities are to be preserved in the LDS Church Archives, except when extenuating circumstances make it impossible to follow this policy and the Church Archivist and the University Librarian agree that a person's papers would be more appropriately preserved by BYU.

21st Century Mormon and Western Manuscripts Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The 21st Century Mormon and Western Manuscripts was a natural outgrowth of the 20th Century Mormon & Western Manuscripts collection. Materials in this collection have a similar focus as the 20th Century materials, documenting the social, cultural, religious, and intellectual history of the Church of Jesus Christ of Latter-day Saints; the history of Utah; and of the American West. Historical manuscripts and records found in these collections include journals, scrapbooks, correspondence, family papers, business records, congressional papers, photographs, oral histories, printed ephemera, and digital materials.

The collection provides a breadth of primary sources for BYU faculty and students, particularly those researching or who have an interest in early Mormons, Utah, and Western American history. The collection also supports research interests of general patrons including genealogists and family historians.

II. Position Responsible for Collecting Decisions

Curator of 21st Century Mormon and Western Manuscripts

III. Scope and Focus of Collecting

The main focus of collecting will be the history of the Church of Jesus Christ of Latter-day Saints, Utah, and the American West beginning in 2000 and continuing to the present. More broadly, the scope of collecting will also include Mormonism nationally and internationally.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

1. LDS cultural, including popular culture; LDS family; social; intellectual; and religious history
2. LDS ethnic and minority history
3. LDS women's history
4. LDS scholarship and historiography
5. Utah and Western American cultural, family, social, intellectual, and religious history
6. Utah and Western American ethnic and minority history
7. Utah and Western American women's history
8. Utah political history

9. Utah and Western American business and labor history
10. Utah and Western environmental history

ii. Major Faculty Research Interests

All disciplines within the University concerned with the historical experience of the Latter-day Saints, the history of Utah, and the history of the American West make use of the L. Tom Perry Special Collections manuscript and archival collections, with heaviest use coming from History, Religion, American Studies, Sociology, Anthropology, English, Communications, Political Science, and Humanities.

b. Limitations

Special Collections will not collect official LDS Church corporate records, but will recommend such records be submitted to the LDS Church History Department.

By agreement with the Church of Jesus Christ of Latter-day Saints, the papers of all General Authorities who were living on January 1, 1976 and thereafter are to be preserved in the LDS Church Archives, except when extenuating circumstances make it impossible to follow this policy and the LDS Church Archivist and the University Librarian agree that a person's papers would be more appropriately preserved in the L. Tom Perry Special Collections.

The focus of Utah Political History will be BYU alumni, Utah County and region, and the Third Congressional District.

V. General Selection Guidelines

a. Treatment of Subject Depth

21st Century manuscripts and records support research needs and requirements for undergraduate and graduate students, faculty and scholars, researchers, family historians and genealogists, and community members.

b. Specific Delimitations

i. Type

Historical, archival, and manuscript materials of any type will be collected.

ii. Physical Format

Primary source materials, and unique historical, archival, and manuscript materials will be collected, including, but not limited to, manuscripts, photographs, journals, diaries, scrapbooks, letters and correspondence, records and archives, printed ephemera, and digital resources and assets with 21st Century content, as well as selected artifacts for exhibition purposes.

iii. Date

2000 – present

iv. Geographical focus

1. Utah County: Collected at the research level
2. Utah: Collected at the research level
3. The Great Basin: Collected at the research level
4. The Colorado Plateau: Collected at the research level
5. The Inter-Mountain West: Collected at the research level
6. The United States: Collected at the research level
7. The World, with a particular emphasis on “regions” or “pockets” of LDS membership: Collected at the teaching level

v. Subject Emphasis

1. LDS cultural, including popular culture; LDS family; social; intellectual; and religious history

Historical collections and materials that document the lives and careers of individual Latter-day Saints and Latter-day Saint families. Historical collections and materials that document the cultural and social history of The Church of Jesus Christ of Latter-day Saints. Historical collections and materials that document the religious experience of Latter-day Saints. Historical collections and materials that document the experiences of Latter-day Saint missionaries.

Collected at the research level

2. LDS ethnic and minority history

Primarily historical collections of LDS ethnic and minority groups in Utah, the West, and the United States, but may also include international LDS groups selectively.

Collected at the research level

3. LDS women’s history

Primarily historical collections representative of LDS women in Utah, the American West, and the United States, but may also include international LDS women selectively.

Collected at the research level

4. LDS scholarship and historiography

Historical collections of leading LDS scholars, scientists, and historians, which would include Special Collections’s Professional Papers Project.

Collected at the teaching level

5. Utah and Western American cultural, family, social, intellectual, and religious history

Historical collections and materials that document the lives and careers of individuals and families from Utah and the American West. Historical collections and materials that document the cultural, social, and religious history of Utah and the American West.

Collected at the research level

6. Utah and Western American ethnic and minority history

Historical collections of ethnic and minority groups in Utah, the West, and the United States.

Collected at the research level

7. Utah and Western American women's history

Historical collections representative of women in Utah and the American West.

Collected at the research level

8. Utah political history

Historical collections of Utah politicians, grass roots political movements, etc. Materials to be collected include manuscript and archives collections.

Collected at the teaching level

9. Utah and Western American business and labor history

Historical collections of Utah and Western American businesses and labor groups, particularly those historical materials that document or chronicle important trends or movements in Western American economic and labor history.

Collected at the teaching level

10. Utah and Western environmental history

Historical collections and materials that document environmental change; water use; environmental activism; and mining, ranching, and agriculture in Utah and the West.

Collected at the teaching level

vi. Languages

1. English: Collected extensively
2. Spanish: Collected moderately
3. Other world languages: Collected selectively

VI. Deaccessioning Guidelines

The Curator for 21st Century Mormon and Western Manuscripts may present a proposal to deaccession material to the Harold B. Lee Library's Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Collection Development Policy for 21st Century Mormon and Western Manuscripts.

VII. Cooperation with other Institutions

Special Collections collaborates closely with our Harold B. Lee Library colleagues and, in specific cases, allied subject specialists, including, but not limited to, American history, LDS Church history, Women's Studies, Engineering, Science, Anthropology, Latin American Studies, Maps, Films and Media, and Literature.

Special Collections collaborates and cooperates with other libraries and archives and we endorse and support collaborative projects that promote access to shared cultural resources.

VIII. Revisions

This policy was created by Dainan M. Skeem, January 7, 2016, to complement and support the 19th and 20th Century Mormon and Western Manuscripts' Collection Development Policies.

Louisa May Alcott Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Louisa May Alcott Collection is a collection of primary and secondary works relating to the life and career of Louisa May Alcott. In the mid-1980s, the collection was developed with the acquisitions from the rare book dealer Leona Rostenberg and her associate, Alcott scholar Madeleine Stern. The collection contains printed works as well as a small amount of primary source manuscript material created by Alcott and her family.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Louisa May Alcott Collection.

III. Scope and Focus of Collecting

The Louisa May Collection is comprised of primary and secondary works relating to the life and career of Louisa May Alcott. The collection supports teaching and research through the Ph.D. level in 19th century American Literature and 19th century children's literature. Expanding areas of interest include modern adaptations of Alcott's novels, including adaptations in genres like graphic novels and theater.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The Louisa May Alcott Collection seeks to collect editions of Alcott's poetry, prose, and correspondence as well as secondary sources on Alcott's life and works, including criticism and reference works. The Alcott Collection also collects printed works by and about Louisa May Alcott's father, philosopher and educator Amos Bronson Alcott, as well as printed works by and about her immediate family members.

ii. Major Faculty Research Interests

19th Century American Literature
Juvenile literature

b. Limitations

Though the Louisa May Alcott Collection contains a number of manuscript items acquired from Stern and Rostenberg, the Alcott Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Louisa May Alcott Collection at a level which supports undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Collected at a comprehensive level: American and British editions of works by Louisa May Alcott

Collected at a research level: Adaptations of works by Louisa May Alcott (including plays, graphic novels, ephemera, artist's books, and parodies); first editions of works by Amos Bronson Alcott; secondary works about Louisa May Alcott, Amos Bronson Alcott, and the Alcott family, including biography, criticism, bibliography, and fictional representations.

Collected at a representative level: Translations of works by Louisa May Alcott

ii. Physical Format

Collected at a research level: Monographs, periodicals, ephemera.

Collected at a teaching level: Reprints of secondary works are added to the collection only if the original cannot be obtained for the collection. Audiovisual materials (film and television adaptations of Alcott's works).

Collected at a representative level: Artwork and illustration; print-on-demand editions; ebooks.

Excluded: Realia.

iii. Date

Subject to limitations outlined above, any imprint date is collected, but generally 1830-present.

iv. Geographical focus

Collected at a comprehensive level: United States, Great Britain

Collected at a representative level: Materials published elsewhere in the world

v. Subject Emphasis

Collected at a comprehensive level:

Louisa May Alcott: prose, poetry, correspondence, biography, criticism and interpretation, bibliography.

Collected at a research level:

Louisa May Alcott: adaptations of prose and poetry, homes and haunts

Bronson Alcott: prose, poetry, correspondence, biography, criticism and interpretation, bibliography.

New England Authors; Transcendentalism

vi. Languages

Collected at a research level: English.

Collected at a representative level: Languages other than English.

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Louisa May Alcott Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Individuals

The Curator of Rare Books is responsible for collecting the material contained in the Louisa May Alcott Collection. The English Language & Literature librarian is responsible for collecting duplicate copies of works by and about Louisa May Alcott for the general stacks. This is done with coordination and cooperation on the part of the two librarians.

Fine press editions of Alcott's works are acquired in consultation with the Curator of the Fine Press Collection. Manuscript material created by or related to Louisa May Alcott falls under the Literary Manuscripts Collection Development Policy and would be acquired by the Curator of 19th Century Mormon and Western Manuscripts in cooperation with the Curator of Rare Books.

VIII. Revisions

Alcott Collecting Policy, approved Nov. 2010
Louisa May Alcott Collection Collection Policy, no date

Americana Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Americana collection supports the study of Mormonism and the American West. Mormon-related books and other printed or published items are collected comprehensively. Western Americana is collected to emphasize the following areas: the History of Utah, the History of Western Expansion in North America, and the general History and Culture the West, especially the Intermountain states (including Utah, Colorado, Arizona, Idaho, Montana, Nevada, New Mexico and Wyoming) but also including California, Washington, Oregon, Hawaii and Alaska. Also included under the heading of “the West” are materials related to the history and settlement of Western Canada and Mexico. Due to their historical connections to Mormon and Utah history, materials related to the history and culture of various Pacific island nations may be collected selectively.

The central purpose of this collection is to support the mission of the university, the library, and L. Tom Perry Special Collections:

In keeping with the vision of Brigham Young University, all undergraduates are encouraged to have a graduate-level research experience at BYU. Special Collections wants to help in this mission by allowing all students the opportunity to research the vast collection of primary sources in its holdings (<https://sites.lib.byu.edu/sc/about-us/>).

Additionally:

The Harold B. Lee Library will actively participate in learning, teaching, and research by identifying and responding effectively to the information needs of students and faculty (<http://lib.byu.edu/about/mission-statements/>).

The following terms, taken verbatim from the HBLL Collection Development Philosophy Document (current as of Oct. 5, 2015), are used to describe collecting levels:

- **Comprehensive**—“Provides for the acquisition, so far as reasonable, all available significant works of recorded knowledge for a necessarily defined and limited field, i.e., a comprehensive effort to acquire manuscript, archival and ephemeral materials, etc. in addition to published sources. This level creates or maintains a special collection.”
- **Research**: “Provides published resource materials required for doctoral degree programs.”
- **Teaching**: “Provides adequate information resources to support the course work of advanced undergraduate and master’s degree programs and sustain independent study.”

- **Representative:** “Provides limited, essential materials for reference purposes and introduces and defines a subject in the minimum number of works which will serve the purpose.”

II. Positions Responsible for Collecting Decisions

The curators of 19th, 20th and 21st century Mormon and Western Americana Publications.

III. Scope and Focus of Collecting

- Mormon culture, history, doctrine and practice, 1830-Present (**Comprehensive level—for further discussion on specific collection points, see V.b.i).**
- The history of the American West in all its aspects, including works relevant to the history of Native Americans and accounts of the exploration and settlement of the West (**Research level— for further discussion on specific collection points, see V.b.ii).**

IV. Priorities and Limitations

- Priorities
 - We will collect material that enables undergraduates to have a graduate-level research experience in the study of Mormon-related or Western America-related topics.
 - Published and printed items related to faculty-specific interests will be collected at the discretion of the appropriate curator or committee if they are outside of the scope of the Americana collection.

b. Limitations:

Other policies govern the collection criteria of the following materials, and are thus not addressed here:

- Manuscript collecting is governed by subject-specific collecting policies.
- Photographs and other images also have their own collecting policy.
- Web content collecting has its own collection policy..
- Film-related materials have their own collection policy, but should be coordinated with the film curator if there is overlap due to subject matter.
- Yellowstone materials, when Yellowstone is the primary subject of the item, have their own collecting policy.
- The collection of BYU-produced materials will be coordinated with the University Archivist.
- The collection of Orson Scott Card publications is governed by the adjunct curator of Cardiana.
- The collection of fine press materials is coordinated with the curator(s) responsible for them.

V. General Selection Guidelines

a. Treatment of Subject Depth

- i. The study of Mormonism is supported to the fullest extent possible; see V.b.i.
- ii. Research into the history and culture of the West will be supported in line with specific delimitations; see V.b.ii.

b. Specific Delimitations

- i. Mormon history, culture and practice:
 1. Materials published prior to 1930 (**Comprehensive level**).
 2. Materials published after 1930 (**Research Level**).
 3. Materials published by The Church of Jesus Christ of Latter-day Saints or by individuals or groups closely affiliated with it will be collected with the following limitations (**Comprehensive level**):
 - a. Non-English language manuals, pamphlets, hymns and other items prepared by local Church areas (wards, branches, missions and stakes) (**Research Level**).
 - b. Periodicals produced by local units (branches, wards, stakes and missions) (**Comprehensive level**).
 - c. The *Liahona* and other official Church periodicals not published in English (**Representative level**).
 - d. Missionary tracts will be collected to document the activities of the Church and its members, especially when produced in or by local area units (**Research Level**).
 - e. Materials produced by Church Headquarters will be collected in a single copy, in English (**Research Level**). We do not accept 20th and 21st Century official Church-produced materials in other languages due to space considerations. Exceptions may be made on the basis of specific historical significance or specific research needs.
 - f. 19th and early 20th century ephemeral publications (up to 1930) in any language (**Comprehensive level**). Later ephemera will be collected due to its relationship to events such as a newly opened mission or temple (**Research level**).
 4. Family histories, autobiographies and biographies will be collected when they include information associated with members of The Church of Jesus Christ of Latter-day Saints at the discretion of the curator(s) (**Representative level**).
 5. Major publications of Mormon-related religious organizations other than The Church of Jesus Christ of Latter-day Saints (such as

Community of Christ) will be collected extensively but not comprehensively. Minor publications will be collected selectively. Major publications include significant doctrinal works, editions of the standard works, hymn books, missionary materials and periodicals (**Teaching level**).

6. Books or other items with variation in edition, binding, printing or other aspects will be acquired when emendations have occurred or where such items add to our understanding of Mormonism (**Representative level**).
7. Anti-Mormon works (**Research level**).
8. LDS-produced scriptures are collected in all available languages and codings, including all editions containing new copyright dates, revisions in text, or those published by trade or academic presses (**Research level**).
9. Editions of the LDS-produced scriptures on CD or DVD, reenactments, and select CD or Flash Drive editions (**Representative level**).
10. Works of literature which are published by LDS publishers; written by LDS authors; include some reference to the Mormon experience; or were inspired by Mormon history or culture (**Research level**).
11. Works of art related to Mormonism or by Mormon-related artists. This includes fine printing, film, music, traditional and nontraditional art forms, and creative works such as poetry and fiction (**Research level**).

ii. Western Americana

The purpose of the Western Americana portion of the Americana collection is to support research into Utah and other areas in the North American Continental West. Independent of Section V.b.i, materials from Western America with some relationship to Mormon culture, history and settlement (even if that relationship is not specifically noted in the text or item) will be collected with the following delimitations:

1. Utah-related materials published during the 19th century (**Comprehensive level**).
2. Post-statehood Utah-related materials (**Research level**).
3. Other Materials on the West
 - a. Works regarding Western migration and exploration of the West (**Research level**).
 - b. Works related to minority/ethnic communities and the refugee experience in Utah (**Research level**).
 - c. Materials related to the history and culture of Pacific Island nations will be collected when the place or people have

- some tie to Mormon history or culture (**Representative level**).
4. Works regarding American Indians will be collected if the work relates to the history and settlement of the West (**Research level**).
 5. Material related specifically to George Armstrong Custer (**Research level**).
 6. Publications from Caxton Printers, of Caldwell, Idaho (**Research level**).
 7. Materials related to Zane Grey (**Research level**).
 8. “Americana” typically refers to items which have some significance to the larger picture of American history. Americana will be added to the collection when the item is too rare to be housed in the regular stacks
 - a. In consultation with the curator(s) of the Fine Press collection, this may include books from fine presses (**Representative level**).
 - b. Also includes books printed before 1825, picture books, limited editions, and other items (**Representative level**).
 - c. Americana related to Mormonism (**Comprehensive level—see V.b.i**).
 - d. Americana related to the American West (**see V.b.ii—typically Research level**)
 - e. Works related to religion in America or elsewhere if they add to our understanding of Mormon or Western history and culture (**Teaching level**).
 9. Works of Western literature.
 - a. Works authored by major authors of the American West (from the West or about the West) (**Research level**).
 - b. Works by other authors of the American West (**Teaching level**).
 - c. Works that capture life in the West (**Representative level**).

iii. Type

The collection of LDS-related materials of any kind not included in the specific delimitations (such as games or graphic novels) is governed by the general collecting principles noted in V.b.i.1 & 2 (19th century Mormon-related materials are collected comprehensively and post-19th century materials are collected extensively). Printed, published or recorded items that document any aspect of Mormonism or life in the American West fall under this collecting policy, though they may not be collected due to exclusions mentioned above.

iv. Physical Format

Monographs, maps, audio-only items, movies, television shows, periodicals, printed ephemera, professional scholarship, electronic works, and literature related to Mormonism or the American West fall under this policy.

v. Date

To facilitate research into the early history of Mormonism, texts produced prior to 1830 may be collected selectively. However, this document is expected to apply to Mormon-related materials from 1830 to the present. Works that document the history or culture of the American West in any period will be collected according to the delimitations in V.b.ii.

vi. Geographical focus

1. Mormonism: Collected regardless of location of printing or publishing.
2. Western Americana: Materials related to the history or culture of the West will be collected as described in V.b.ii.

vii. Subject Emphasis

Mormon and Western Americana-related materials.

viii. Languages

1. 19th century Mormon-related materials will be acquired in all languages that an item was printed in (**Comprehensive level**).
2. 20th and 21st century Mormon-related materials in English will be preferred over translations in other languages. At the curator's discretion, a copy in another language may be acquired to support research (**Representative level**).
3. 19th century Western Americana in any language in which an item was published (**Research level**).
4. 20th and 21st century Western Americana in languages other than English (**Representative level**).

VI. Deaccessioning Guidelines

- a. Acting in accordance with donor expectations and institutional requirements, material may be brought to the Special Collections Coordinating Committee to be deaccessioned by proposal. Such material will typically include books that have never been used and do not meet the present or traditional Americana collecting policies.

VII. Cooperation with other Institutions

- a. Deaccessioned materials may be offered to other institutions.

VIII. Revisions

- a.

American Rare Literary Authors Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The core of the American Rare Literary Authors Collection was obtained in the 1960s from Fred A. Rosenstock, a Denver businessman, book collector, and bookseller. Acquisitions from the Arrington Collection of Early Americana also make up a significant portion of the American Rare Literary Authors Collection. The library actively seeks to purchase first editions of literary works by renowned American authors. In general, the Collection mirrors the types of material found in the Victorian and Edwardian Collections. The American Rare Literary Authors Collection is incorporated into the Rare Book Collection.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the American Rare Literary Authors Collection.

III. Scope and Focus of Collecting

The American Rare Literary Authors Collection is comprised of primary works by American fiction writers, poets, essayists, and playwrights of the 18th, 19th and early 20th centuries. The collection supports teaching and research through the Ph.D. level in American literature. Expanding areas of interest include literature by women, literature by persons of color, and transatlantic and travel literature.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The American Rare Literary Authors Collection seeks to collect first and important editions of major works of 19th and early 20th century American literary history. It also collects minor works of 19th and early 20th century American literary history and includes major works of late 18th century and mid-20th century American literary history.

ii. Major Faculty Research Interests

The American Rare Literary Authors Collection supports major faculty research interests in 18th-20th century American literature and American history as well as book history, women's literature, and comparative literature.

b. Limitations

The American Rare Literary Authors Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings only.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to maintain and collect for the American Rare Literary Authors Collection at a level which supports undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Collected at a research level: First editions and significant editions of major and minor American authors, including popular literature, fiction, poetry, and essays.

Collected at a teaching level: Literary periodicals and early American literary anthologies; children's literature.

Excluded: Secondary and reference works.

ii. Physical Format

Collected at a research level: Monographs

Collected at a teaching level: Serials; facsimiles of literary manuscripts

Excluded: Microforms, manuscripts, audiovisual material, ebooks, print-on-demand.

iii. Date

Collected at a research level: Materials published from 1800-1918.

Collected at a teaching level: Materials published just prior to or just after the above dates, especially by authors whose career falls during the period 1800-1918.

iv. Geographical focus

Collected at a research level: Materials published in the United States; first editions of American authors which may have been published elsewhere in the world (typically Great Britain).

v. Subject Emphasis

Collected at a research level: American literature (including fiction, drama, essays, poetry)

Collected at a teaching level: American literary author correspondence, memoirs, diaries

vi. Languages

Collected at a research level: English

Collected at a representative level: Languages other than English

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the American Rare Literary Authors Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Individuals

Works by American authors Louisa May Alcott, Herman Melville, and Walt Whitman are collected by the Curator of Rare Books into related but separate collections within Special Collections, rather than the American Rare Literary Authors Collection. Works by Mormon authors and authors of Western Americana for time period delineated above are collected for the Americana Collection by the Curator of 19th & 20th Century Mormon and Western Americana. Reprint editions and secondary and reference works that support the collection are acquired for the general stacks by the English Language & Literature librarian.

VIII. Revisions

American Rare Literary Authors Collection Development Policy, Jan. 2011

AMERICAN READER COLLECTION

I. Purpose and Program Description

A. Library's Collection Development Objectives

The American Reader Collection seeks to document, through the collecting of readers, the history and evolution of reading instruction in America. Our objective is to supplement, as opportunity presents itself, the existing collection of readers. This collection will support courses related to education history and scholarship in this area.

B. The selector for material to be included in the American Reader Collection shall be designated "Adjunct Curator" of the collection and will normally be the general library's education selector.

C. Areas of Specialization

1. McGuffey Readers and similar primers.
2. Dick and Jane readers and their contemporaries.
3. Noah Webster spellers and subsequent spelling books.

II. General Selection Guidelines

A. Treatment of Subject Depth

The adjunct curator will seek to maintain the collection depth at level 2.

B. Specific Delimitations

1. Sampling will be used (selections out of series, random books, etc.)
2. Whole series may be collected sparingly.
3. Readers are primary focus and not other curriculum subject areas.
4. Collection will include English language materials only.
5. Primary focus will be English North American readers with perhaps some British readers.
6. Materials should be at least twenty years old for inclusion.
7. Collection is limited to monographs.

Notes

- A. The initial collection consists of about ninety linear feet of books transferred from general stacks to the Rare Collections. Additional books will be added over time.
- B. BYU is a partner in Utah's "Textbook Adoption Program." This program supplies the HBLL with a yearly supply of educational textbooks, including reading books. Samples of these texts are added to the general collection before discarding the yearly inventory. Every two to three years the general library reader collection will be reviewed by adjunct curator for possible transfer to Special Collections "American Reader Collection" and must be approved by the Special Collections Board of Curators.
- C. Additions of over ten linear feet to the American Reader Collection by transfer from the general stack or by donation must be approved by the Special Collections Board of Curators.

Draft June 21, 2002

Amended 16 August 2002

Robert Burns Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Robert Burns Collection was acquired through the efforts of Alice Louise Reynolds from Mr. and Mrs. Robert Forrester in 1927. Mrs. Forrester, who was a retired librarian of the Salt Lake Public Library, gave this gift anonymously, requesting that her identity not be revealed until after her death. The original acquisition consisted of 521 volumes. Since that time, the Harold B. Lee Library has supplemented the collection by acquiring additional items by and about Robert Burns.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Robert Burns Collection.

III. Scope and Focus of Collecting

The Robert Burns Collection is comprised of primary and secondary works relating to the life and career of poet Robert Burns. The collection supports teaching and research through the Ph.D. level in 18th century British Literature, Romantic Literature, and Scottish Literature.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The Robert Burns Collection seeks to collect editions of Burns' poetry and correspondence and secondary sources on Burns, his life, and his works, including criticism and reference works. The Burns Collection also collects printed works which illustrate the poet's legacy in popular culture and the poet's relationship to Scottish national identity from Burns' death in 1796 to the present day.

ii. Major Faculty Research Interests

The Robert Burns Collection supports current faculty research interests in Romantic literature, and to a lesser extent, Scottish literature.

b. Limitations

The Robert Burns Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings only. For example, while the Robert Burns Collection contains song tunes and lyrics collected by Burns (*The Scots Musical Museum*), the collection excludes sound recordings.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Robert Burns Collection at a level which supports undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Collected at a comprehensive level: British and American editions of works by Robert Burns; facsimiles of Burns' manuscripts and first editions.

Collected at a research level: Secondary works about Robert Burns, including biography and criticism; adaptations and parodies; and depictions in popular culture. Artists' books and fine press editions of Burns' poems.

Collected selectively: Secondary works on contemporaries of Robert Burns which devote major portions to discussion of the life and work of Robert Burns; print works illustrating Burns' impact on Scottish tourism.

Collected minimally: Translations of Burns' works into languages other than English/Scots English, editions of works by predecessors and contemporaries of Burns (e.g., Ramsay, Sillar, Ferguson).

ii. Physical Format

Collected at a research level: Monographs, periodical issues. Ephemera.

Collected at a representative level: Musical settings of Burns' poems (*Scots' Musical Museum*; Thomson's *Select Collection of Original Scottish Airs*) are only collected in their earliest editions or in scholarly editions. Reprints (including print-on-demand editions) of secondary works are added to the collection only if the original cannot be obtained for the collection.

Excluded: Manuscripts, sound recordings, sheet music, realia, ebooks.

iii. Date

Subject to limitations outlined above, any imprint date is collected, but generally 1787-present.

iv. Geographical focus

Collected at a research level: Materials published in the United States and United Kingdom (especially Scotland).

Collected at a teaching level: Materials published elsewhere in the world.

v. Subject Emphasis

Collected at a research level:

Robert Burns: poetry, correspondence, biography, criticism and interpretation, sources, bibliography.

Collected at a teaching level:

Robert Burns: appreciation, contemporaries, homes and haunts, including the commercial appropriation and sentimentalization of Burns' legacy and writings. Ayrshire, Scotland tourism and "The land of Burns."
Contemporaries and imitators of Burns.

vi. Languages

Collected at a research level: English, Scots English.

Collected at a teaching level: Languages other than English or Scots English.

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Robert Burns Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Institutions

The Curator of Rare Books is responsible for collecting the material contained in the Robert Burns Collection. The English Language & Literature librarian is responsible for collecting duplicate copies of works by and about Robert Burns for the general stacks. This is done with coordination and cooperation on the part of the two librarians. Fine press editions of Burns's works are acquired in consultation with the Curator of the Fine Press Collection.

VIII. Revisions

Robert Burns Collection Development Policy, Nov. 2010

Modern Fine Printing Collection Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Modern Fine Printing Collection is a part of the History of Printing Collection. The collection provides support to BYU programs in history, graphic arts, English, editing, and related areas, as well as to researchers, faculty and visiting scholars. It also complements other portions of the History of Printing Collection by showing the modern application of earlier printing and publishing techniques.

Modern fine printing stands within the tradition of the best printing since earliest times, emphasizing high quality materials (often including handmade papers) and workmanship (often including hand binding and usually including hand presswork) and often including original artwork, in contrast to machine produced books. Fine press books and ephemera are usually issued in limited editions of 100-400 or less. The period covered by the modern fine press movement includes the late nineteenth century revival of fine printing (including William Morris and the Kelmscott Press, the Doves Press, and the Ashendene Press) and continues into the twenty-first century.

A complete list of presses that have been collected will be found at <https://sites.lib.byu.edu/cataloging/departments-manual/catalog-records/3-4-instructions-and-policies/3-4-5-special-collections-cataloging-policies/3-4-5b-list-of-presses-in-the-fine-print-collection/>

II. Position Responsible for Collecting Decisions

The Curator of Fine Presses; this position may be shared by more than one curator.

III. Scope and Focus of Collecting

The Modern Fine Printing Collection collects examples of the best modern fine printing of all types, but emphasizes:

- Literary works, especially works of new or little-known authors
- Works about books and book production
- Works produced by certain classes of presses
 - Utah or LDS printers, including
 - Tryst Press
 - Red Butte Press
 - Grant Dahlstrom
 - Presses in the Rocky Mountain and Pacific regions, including
 - Press of the Palace of Governors
 - Barbarian Press
 - Press at Colorado College

- Student programs, including
 - Scripps College Press
 - University of Alabama (Parallel Editions)
- Prominent North American fine presses and publishers of fine printing, including
 - Grabhorn, Hoyem, and Arion Press
 - Bird & Bull Press
 - Book Club of California
 - Limited Editions Club
- Works produced by or featuring the work of prominent artists working in book-related media (e.g., wood engraving, lithography), including the work of
 - Barry Moser
 - Gaylord Schanilec
- Presses important to the history of fine printing, including
 - Kelmscott Press
 - Doves Press
- Selected works produced in other parts of North America, in Western Europe (especially England), and elsewhere
- Works of regional interest, including those treating the West, and travel literature about Utah and surrounding states

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

- Utah and regional presses
- Works about books and book arts (such as wood engraving, etc.)
- Presses important to the history of fine printing from the late 19th century fine press revival to the present, including individual presses and artists as outlined above under Scope and Focus (III)

b. Limitations

Artists' books, or *livres d'artiste*, are books that tend to push the boundary of what a book is (at the extreme, they can sometimes only be described as "book-like objects"), and the emphasis is usually on "artist" rather than "book." While Special Collections does collect some examples of these in the Modern Fine Printing Collection, we do not collect them extensively.

V. General Selection Guidelines

a. Treatment of Subject Depth

The fine press collection seeks to support undergraduate and graduate-level teaching and research in history, graphic arts, English, editing, and related areas.

b. Specific Delimitations

i. Type

Collected at a research level: Fine printing.

ii. Physical Format

Collected at a research level: Monographs, serials, and ephemera.

iii. Date

Collected at a research level: Late 19th century to the present.

iv. Geographical focus

Collected at a research level: United States and Great Britain.

Collected at a representative level: Fine printing from other areas of the world.

v. Subject Emphasis

See above under Scope and Focus (III)

As delineated there, collected at the research level.

vi. Languages

Most fine printing is in English, but language is not a collection development consideration.

VI. Deaccessioning Guidelines

The Curator of Fine Presses may present a proposal to deaccession material to the Harold B. Lee Library's Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with this collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Individuals

The Curator of Fine Presses collaborates with other Special Collections curators to acquire fine printed materials which fall under the scope of their collecting areas.

VIII. Revisions

Collection Development Policy for the Modern Fine Printing Collection in Special Collections (Jan. 12, 2007)

Edwardian Literature Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Edwardian Literature Collection at BYU was purchased from San Francisco book dealer David Magee in the 1970s, comprising approximately 2,000 titles by all of the major and many of the minor authors of this period. The Harold B. Lee Library has continued to acquire additional items from this time period to supplement the Victorian Collection. The Edwardian Literature Collection is incorporated into the Rare Book Collection

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Edwardian Literature Collection.

III. Scope and Focus of Collecting

The collection seeks to support teaching and research through the Ph.D. level in early 20th century British literature, including popular literature, fiction, poetry, and essays, literary periodicals, and children's literature. Expanding areas of interest include modernist literature and post-Edwardian literature of the First World War.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The Edwardian Literature collection seeks to collect first editions of major and minor works of early 20th century British Literature.

ii. Major Faculty Research Interests

Current major faculty research interests in early 20th century British literature include Modernism and Modernist short fiction, women authors and readers, the intellectual and cultural history of Great Britain, and the literature of the First World War. Faculty teaching and research interests constantly change across authors and genres of the period.

b. Limitations

The Edwardian Literature Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings. Secondary and reference works

that support the Collection are acquired for the general stacks by the subject librarian for English Literature.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to maintain and collect for the Edwardian Literature Collection to support undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Collected at a research level: First editions and significant editions of major and minor literary authors; literary periodicals.

Collected at a representative level: First editions and significant editions of works related to British cultural history of the Edwardian period.

Excluded: Secondary and reference works.

ii. Physical Format

Collected at a research level: Monographs, serials.

Excluded: Manuscripts, ebooks, print-on-demand.

iii. Date

Collected at a research level: Materials published from 1901-1918 (the reign of Edward VII through the First World War).

Collected at a teaching level: Materials published just prior to or just after the above dates which have been identified by scholars as belonging to the Edwardian period.

iv. Geographical focus

Collected at a research level: Materials published in Great Britain. First editions of Edwardian-era authors which may have been published elsewhere (e.g., the United States, Europe, British colonies).

v. Subject Emphasis

Collected at a research level: Literature (including fiction, drama, poetry, and essays).

Collected at a representative level: Cultural and intellectual history; material culture and printing history.

vi. Languages

Materials in English will primarily be acquired for the Edwardian Collection. Other languages will be acquired if an Edwardian author first published a given text in a language other than English.

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Edwardian Literature Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Collections and Institutions

The Edwardian Collection shares a close relationship with the Victorian collection, which contains British literature published 1832-1901. The English Language & Literature librarian is responsible for collecting duplicate copies or modern editions of works of Edwardian literature.

VIII. Revisions

Edwardian Literature Collection Development Policy, 1/13/11

**Brigham Young University Film Music Archives
Special Collections and Manuscripts
Harold B. Lee Library
Mission Statement and Collections Policy Overview**

I. Mission Statement

The Film Music Archives (BYU/FMA) exists to acquire, preserve, catalog, and make available to scholars and other interested parties original motion picture music manuscripts and recordings that document the history of music composed and recorded for motion pictures.

The materials archived include personal and professional papers and other records of composers of motion picture music as well as similar materials of institutions that produce music for motion pictures. The materials suitable for acquisition include but are not limited to: original studio recordings on discs of various mediums, digital audio tape, open-reel audio tape, compact discs, and audio cassette tape; commercial releases of motion picture music soundtracks on vinyl, compact disc, laser disc, DVD, open-reel audio tape, and digital audio tape. Acquisition of film music materials is at Level 3. Those materials relating directly to extant manuscript collections will be acquired at a Level 5.

II. Administration & Funding

1. The BYU/FMA Curator is responsible for the day-to-day operations of matters involving FMA collections. The Curator is responsible for the acquisition, cataloging, preservation, and production of finding aids and publicity of FMA materials. The Curator is also responsible for the administration of the specialized funds described herein and, in connection with this responsibility, will have continual access to records of the activity in these funds. The Curator works under the direction of the Assistant Department Chair (supervisor of archives and manuscripts) and the Department Chair.

Revision of 8 February 1999

History of Printing Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The History of Printing Collection comprises examples of book technologies from antiquity to the present. It includes precursors of the printed book and non-Western book technologies, but is primarily focused on collecting high-quality examples of historical, technological, and artistic developments in book history and printing from the Middle Ages to the present. The Modern Fine Printing Collection and Rare Japanese Book Collection are two actively-collected subsets of the History of Printing Collection.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the History of Printing Collection.

III. Scope and Focus of Collecting

The History of Printing Collection provides support for teaching and research in the history of printing and book production, with emphasis toward supporting undergraduate education. The History of Printing Collection is focused around examples of developments in book technologies throughout history as well as examples of work by specific printers and movements in book history.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

Pre-printing technologies, particularly medieval manuscripts (original and in facsimile); incunabula and early printing, including the work of Aldus Manutius and his successors in Venice; the work of Parisian printers of the 16th century, including Simon de Colines and the Estienne family.

ii. Major Faculty Research Interests

The History of Printing Collection supports major faculty teaching and research interests in book history, art history, medieval and early modern history, the history of technology, typography and design, visual arts, Classics, and European literature.

b. Limitations

The Modern Fine Printing Collection Development Policy governs the collection of 19th-21st century printing technology in the fine press tradition, and the Rare Japanese Book Collection Development Policy governs collecting related to Japanese book history. These collections are considered subsets of the History of Printing Collection.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to maintain and collect for the History of Printing Collection at a level which supports undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Pre-Printing Period (Collected at a representative level): Original and facsimile Classical, European, Middle Eastern, and Asian manuscripts and artifacts from BCE to the 17th century CE.

Pre-Printing Period (Collected at a teaching level): Original and facsimile European manuscripts of the Middle Ages and Renaissance.

Incunabula (Collected at a teaching level): Examples of the work of major and minor 15th century printers and of developments in print technology of the period.

16th century printing (Collected at a research level): Examples from major and minor printers of the period, including Aldus Manutius and the Aldine Press, the Estienne family, Simon de Colines, Johann Froben, Badius Ascensius, Christopher Plantin, the Giuntas, and the Elzeviers.

17th-19th century printing (Collected at a teaching level): Examples of major printers of the period, including John Baskerville, Giambattista Bodoni, and Firmin Didot.

Developments in printing technology from the incunabula period to the present (Collected at a teaching level): Examples of innovation and developments not necessarily associated with any one particular printer, such as woodcuts, engraving, pochoir, lithography, type design, book design, etc. Examples of anomalies of the printing process and technologies, such as texts that include printing errors and mistakes, forgeries, and piracies.

ii. Physical Format

Collected at a teaching to research level: Printed books.

Collected at a teaching level: Book fragments; manuscript books (originals and facsimiles); pedagogical book structures; block books; prints and engravings.

iii. Date

Collected at a research level: Materials created prior to the late 19th century.

iv. Geographical focus

Collected at a research level: Materials created in Western Europe.

Collected at a representative level: Materials created outside Western Europe.

v. Subject Emphasis

The History of Printing Collection is not delimited by the subject of the items collected.

vi. Languages

The History of Printing Collection is not delimited by the language of the items collected (the bulk of the collection is in Western European languages, but also contains Hebrew, Coptic, Arabic, and other languages).

VI. Deaccessioning Guidelines

In accordance with current deaccession policies, the Curator of Rare Books will make proposals to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the History of Printing Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Individuals

Because the History of Printing Collection is focused on the history of book technologies rather than subject or content, the collection may at times overlap with other collecting areas in Special Collections (e.g., the Renaissance and Reformation Collection in regard to developments and major figures in early European printing or the Americana Collection in regard to developments and major figures in American printing). The Curator of the History of Printing Collection cooperates with curators of these collections when such cases arise. The Curator of the History of Printing Collection also cooperates with the subject selector for printing history in the Lee Library, who collects secondary materials that support the History of Printing Collection in Special Collections.

VIII. Revisions

History of Printing policy, n.d. [ca. 2006]

History of Science (Level 4)

- I. Original Works of Major and Minor Astronomers Collected extensively
 - A. Primarily vernacular works between 1576-1727 including comet tracts and prognostications.
 - B. Material related to Galileo and the Galileo Affair.
 - C. Heveliana; works by Hevelius's correspondents and copies of works that he owned in his own library (preferably) texts in the vernacular).
- II. Natural History Collected selectively
 - A. Kircheriana works by the correspondents of Athanasius Kircher, copies of works he owned in his private library (preferably texts in the vernacular) and works on subjects which Kircher wrote about (i.e., volcanoes, magnetism, history of creation, etc.)

International Harp Archives Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The International Harp Archives (IHA) originated with a substantial donation of harp related materials from Samuel O. and Rosalie R. Pratt in 1985. In 1986 and under the direction of A. Dean Larsen, Associate University Librarian, the decision was made to develop this collection as a major repository for harp related materials for research, teaching, and performance. The IHA was envisioned as a “sister collection” to the Primrose International Viola Archive (PIVA, founded in 1978). From their origins until 2010, both archives aimed to gather a near comprehensive collection of scores, recordings, papers, and other related ephemera. In 2010, the collecting scope was lowered to a research level (collected extensively rather than comprehensively). Prior to 2010, the IHA was considered one collection and administered by the Curator of Music Special Collections as part of the Music and Dance Library. In 2010 the HBLL administration disbanded the Music and Dance Library and divided the IHA into two units. The non-rare collection of scores and sound recordings was moved administratively to the Humanities Department of the HBLL, and the rare and archival materials were assigned to the Curator of Music Special Collections in the L. Tom Perry Special Collections. Development of these two collections is now specified in separate collection development policies.

The IHA was originally known as the Pratt Harp Collection, but with the formal relationships established with the World Harp Congress in 1994 and the American Harp Society in 1996, the title was changed to the International Harp Archives. The agreements with the World Harp Congress and American Harp Society were reviewed and revised in 2010 (see attached contracts).

The IHA supports the harp program of the BYU School of Music, which offers instruction to both music majors and non-majors. Because the collecting parameters of the IHA embrace all works that feature the harp, including works with other instruments and ensembles. It supports the entire curriculum of the School of Music at all levels. For example, duos for harp and flute are of equal importance to the flute program. Other chamber works and ensembles support a variety of research, analysis, pedagogy, and performance interests within the School of Music. IHA materials may also be useful to course work in the humanities. IHA materials are useful for the general cultural and recreational enrichment of the entire University campus.

The IHA further supports advanced research, pedagogy, and performance to a large and engaged international community of harpists. The IHA is well known as a center for harp scholars and performers, and requests to access its resources are frequently received from all around the world. In similar manner, the IHA is considered the international repository of choice for harpists and attracts donations from world-renown artists, pedagogues, and collectors.

II. Position Responsible for Collecting Decisions

Curator Music Special Collections

III. Scope and Focus of Collecting

The IHA collects musical works (in the form of scores and recordings) that feature the harp, but may include a wide variety of instrumentation. The IHA also collects materials related to the history of the harp, its construction, its repertory, pedagogy, and performance. It embraces all historical periods, genres, and musical styles, including early music (medieval through Baroque), other historical periods, folk, jazz, pop, Celtic, and other world music. The IHA supports the full curriculum of the BYU School of Music, including performance and pedagogy for other instruments and ensembles, musical analysis and composition, the study of music history, music reception, and music publishing. It also supports research in the Humanities Department and the general cultural and recreational enrichment of the BYU campus.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

Areas of specialization include rare printed editions and manuscript scores that feature the harp, commercial and non-commercial sound recordings that feature the harp, and archival materials including the personal papers of notable harpists or harp instructors, as well as the organizational records of selected harp associations. Document types collected in personal papers and organizational records may include methods, concert programs, press clippings, correspondence, conference planning documents, and photographs.

ii. Major Faculty Research Interests

Faculty research interests include the history of the harp and its repertory, performance of harp music, harp methods, and harp pedagogy. Performance and pedagogy for associated instruments and chamber ensembles are of interest broadly within the School of Music. Other related research interests include musical analysis and composition, the history of music, jazz, world music, music bibliography, and music publishing and dissemination.

b. Limitations

Individual archives that lack documentation of either an accomplished performance or pedagogical career or that lack significant documentation useful for research on the harp are excluded.

Commercial scores and recordings that match existing holdings beyond a second copy are excluded. Materials that are damaged beyond affordable preservation measures are excluded.

V. General Selection Guidelines

a. Treatment of Subject Depth

The IHA is developed at a research level. Most materials related to the harp are collected extensively.

b. Specific Delimitations

i. Type

Material types collected extensively include: scores, sound recordings, MIDI files, archives (including organizational records, photographs, correspondence, press clippings, and concert programs).

Material types accepted on exceptional basis include: musical instruments, iconography, clothing, statuary, and other ephemera.

ii. Physical Format

Scores are collected extensively in both print and manuscript.

Recordings are collected extensively in all historical and current formats.

MIDI files for scores are collected extensively.

Personal papers and organizational records are collected in manuscript, print, and electronic.

iii. Date

Generally printed scores should predate 1900, although exceptions may include rare scores and scores in fragile condition. Commercial recordings should predate the compact disc. Other appropriate materials are collected irrespective of date.

iv. Geographical Focus

Materials are selected primarily from North and South American, Europe, Russia, Japan, and Korea. Other geographical origins should not limit acquisitions provided other criteria are met.

v. Subject Emphasis

History of the harp, musical compositions for the harp, harp performance and pedagogy, harp manufacturing, and the harp in society. Administrative documents of the American Harp Society and World Harp Congress.

Scores and recordings collected extensively include works for solo harp and other works that feature the harp regardless of accompanying instrumentation.

Scores and recordings collected extensively include all genres, styles, and historical periods.

vi. Languages

Collected primarily: Western and Eastern European languages. Collected selectively Russian, Japanese, and Korean and other languages.

VI. Deaccessioning Guidelines

Because the research value of harp related materials is enhanced rather than diminished over time, once materials are accepted they should rarely be deaccessioned. Deaccessioning may result from revisions to this Collection Development Policy or changes to formal contracts with the American Harp Society and/or World Harp Congress.

Materials received from the American Harp Society and World Harp Congress should be offered for return if deaccessioned.

VII. Cooperation with Other Institutions

The IHA functions as the official archive of the American Harp Society and World Harp Congress (see attached contracts).

VIII. Revisions

This area of collecting was previously covered in the regular Music Collection Development Policy (1986).

LDS Music Archives

Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The LDS Music Archives (LDSMA) ~~were formally established in August 2010, bringing~~ together previously informally related manuscripts and papers of important LDS composers and musicians. This group of archives includes materials acquired by the BYU Special Collections from the mid twentieth century such as Crawford Gates and Ennio Bolognini. In the 1980s and 1990s noteworthy additions included major archives of Merrill Bradshaw, Richard P. Condie, Robert Manookin, Reginal Beales, Mack Wilberg, Don Earl among others. More recent additions include Robert Cundick, Murray Boren, Helen Taylor, Rowan Taylor, Sam Cardon, and Ralph Woodward.

LDSMA is maintained and developed ~~both as a service to the Church of Jesus Christ of Latter-day Saints,~~ to document our cultural accomplishments, and as an educational resource in support of the BYU School of Music. LDSMA materials are used for teaching, research, and performance, with the aim to preserve and promote the accomplishments of noteworthy LDS composers and performing artists. LDSMA further serves as a resource to inspire and encourage young aspiring LDS composers and musicians.

LDSMA focuses on classical art music and is distinguished from other music resources found in the Mormon Media Collection, which focuses more on popular music associated with the commercial LDS subculture.

II. Position Responsible for Collecting Decisions

Curator of Music Special Collections

III. Scope and Focus of Collecting

LDSMA supports many aspects of the School of Music curriculum and may also support teaching and research in the humanities and in religion courses. These archives include original compositions appropriate for performance and musical analysis. Other materials including personal papers, concert programs, press clippings, photographs, and non-commercial recordings are appropriate for teaching and research in a variety of music, humanities, and religion courses.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

Manuscript, computer notated, and published scores of works composed in the classical tradition by noteworthy LDS composers.

Commercial and non-commercial recordings of works written by LDS composers or works performed by LDS artists.

Personal papers including correspondence, photographs, press clippings, diaries, concert programs, and itineraries for noteworthy LDS composers, performing musicians, and music scholars.

ii. Major Faculty Research Interests

Music composed and performed by noteworthy LDS composers and artists.

b. Limitations

Acquisition of major archives is limited to composers and artists of noteworthy professional stature.

Popular commercial music associated with the LDS subculture is acquired for the Mormon Media Collection rather than the LDSMA.

V. General Selection Guidelines

a. Treatment of Subject Depth

LDSMA materials are acquired selectively by the choice of composer or artist. Once an LDS musician has been identified and approved, their materials are acquired in an extensive manner following the delimitations below.

b. Specific Delimitations

i. Type

Collected selectively:

Manuscript, computer notated, and published scores of works composed by LDS composers.

Commercial and non-commercial recordings of works written by LDS composers or works performed by LDS artists.

Personal papers including correspondence, photographs, press clippings, diaries, concert programs, and itineraries for noteworthy LDS composers, performing musicians, and music scholars.

ii. Physical Format

Collected selectively:

Scores, recordings, and personal papers are collected in all formats.

iii. Date

By default, LDSMA may include materials dating from the 1820s to the present.

iv. Geographical focus

There is no limitation by geographical focus, but by default most musicians included live in North America.

v. Subject Emphasis

Collected selectively:

Music composed and performed by professionally accomplished LDS musicians.

vi. Languages

There is no limitation by language, but at present most notable LDS musicians included speak and generate documents in English. Spanish materials may become more common in the foreseeable future.

VI. Deaccessioning Guidelines

Once selected and approved for inclusion in the LDSMA, materials should rarely be deaccessioned. AV media subject to deterioration may be discarded after appropriate digital preservation measures.

VII. Cooperation with other Institutions

LDSMA is developed in cooperation with the LDS Church History Archives. The Curator of Music Special Collections works in cooperation with other curators and librarians whose responsibilities involve LDS related collections.

VIII. Revisions

These archives were not specifically identified in previous policies.

Herman Melville Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Herman Melville Collection was initially acquired around 1958 when the Harold B. Lee Library purchased the personal collection of Tyrus Hillway, a book collector and Professor of Education at Colorado State College (now the University of Northern Colorado). Since that time, the Library has supplemented the collection by acquiring additional items by and about Herman Melville.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Herman Melville Collection.

III. Scope and Focus of Collecting

The Herman Melville Collection is comprised of primary and secondary works relating to the life and career of author Herman Melville. The collection supports teaching and research through the Ph.D. level in 19th century American literature and 19th century American history. Expanding areas of interest include modern adaptations of the works of Herman Melville in varying genres (e.g. children's literature, science fiction); abridgements of the works of Herman Melville; and original publications of Melville's work in serials.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The Herman Melville Collection seeks to collect editions of Melville's poetry and correspondence and secondary sources on Melville, his life, and his works, including criticism and reference works. The Herman Melville Collection also collects printed works related to Melville's source material and his influence on other literary writers.

ii. Major Faculty Research Interests

The Herman Melville Collection supports major faculty research interests in 19th century American literature and the American novel.

b. Limitations

The Herman Melville Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Herman Melville Collection at a level which supports undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Collected at a comprehensive level: British and American editions of works by Herman Melville.

Collected at a research level: Adaptations and abridgements of works by Herman Melville; secondary works about Herman Melville, including biography and criticism.

Collected at a teaching level: Secondary works on contemporaries of Herman Melville which devote major portions to discussion of the life and literature of Herman Melville; works which have been identified by the scholarly community as sources for Melville's works.

Collected at a representative level: Translations of works by Herman Melville; film and television adaptations of works by Melville.

ii. Physical Format

Collected at a research level: Monographs, periodicals

Collected at a teaching level: Ephemera, video recordings. Reprints of secondary works are added to the collection only if the original cannot be obtained for the collection.

Collected at a representative level: Print-on-demand editions, ebooks.

Excluded: Manuscripts, realia.

iii. Date

Subject to limitations outlined above, any imprint date is collected, but generally 1830-present.

iv. Geographical focus

Collected at a research level: United States, Great Britain

Collected at a representative level: Materials published elsewhere in the world

v. Subject Emphasis

Collected at a comprehensive level: Melville's prose and poetry, correspondence

Collected at a research level: Herman Melville – biography, criticism and interpretation, bibliography, influence, travels, homes and haunts

Collected at a teaching level: Melville's contemporaries, sources

vi. Languages

Collected at a research level: English

Collected at a representative level: Languages other than English

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Herman Melville Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Individuals

The Curator of Rare Books is responsible for collecting the material contained in the Herman Melville Collection. The English Language & Literature librarian is responsible for collecting duplicate copies of literature by and about Herman Melville for the general stacks. This is done with coordination and cooperation on the part of the two librarians.

Fine press editions of Melville's works are acquired in consultation with the Curator of the Fine Press Collection.

VIII. Revisions

Melville Collecting Policy, Nov. 2010

Mormonism, Utah, and Western Literary Manuscripts Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The number of Mormon authors is increasing rapidly. The Mormon Literature Manuscripts collecting area was established in the first decade of the 21st century to meet a need to collect from this growing area of Mormon materials. Beyond Mormon authors, we also wish to collect to a lesser degree the materials of authors from or related to Utah and the American West.

II. Position Responsible for Collecting Decisions

Curator, 19th Century Mormon & Western Manuscripts (1800-1899)
Curator, 20th Century Mormon & Western Manuscripts (1900-1999)
Curator, 21st Century Mormon & Western Manuscripts (2000-present)

Each curator will be responsible for an author's papers based on the century in which the bulk of their publications appeared. Curators and Subject Librarians will collaborate regarding the appraisal of potential acquisitions.

III. Scope and Focus of Collecting

- a. Literary manuscripts with a Mormon connection either by creator or by content in fiction and non-fiction, including:
 - i. Genre fiction
 - ii. Young adult fiction
 - iii. Literary fiction
 - iv. Devotional literature
 - v. Poetry
 - vi. Children's literature
 - vii. Literary criticism
 - viii. Short stories
 - ix. Biographies
- b. Literary manuscripts with a Utah focus, with an emphasis in the following areas:
 - i. Genre fiction
 - ii. Literary fiction
 - iii. Poetry
 - iv. Children's literature
 - v. Short stories
 - vi. Biographies

- c. Literary manuscripts with a Western focus, with an emphasis in the following areas:
 - i. Genre fiction
 - ii. Literary fiction
 - iii. Poetry
 - iv. Biographies
- IV. Priorities and Limitations
- a. Priorities
 - i. Areas of Specialization
 - 1. Mormon connection
 - 2. Utah
 - 3. Western
 - ii. Major Faculty Research Interests
 - 1. Creative writing
 - 2. Young adult fiction
 - 3. Religious education
 - 4. Children's literature
 - 5. Literary criticism
 - 6. Poetry
 - 7. Short stories
 - 8. Illustrations
 - b. Limitations

Literary manuscripts of works created by non-Mormon Western authors not featuring Mormonism, Utah, or the American West will generally not be collected.
- V. General Selection Guidelines
- a. Treatment of Subject Depth

The collection will provide support for both undergraduate and graduate courses.
 - b. Specific Delimitations
 - i. Type

Historical, archival, and manuscript materials of any type will be collected.
 - ii. Physical Format

Primary source materials, and unique historical, archival, and manuscript materials will be collected, including, but not limited to, manuscripts, photographs, journals, diaries, scrapbooks, letters and correspondence, records and archives, printed ephemera, digital resources and assets, and selected artifacts for exhibition purposes.

iii. Geographic Focus

United States will be collected at the research level.
All other locations will be collected at the teaching level.

iv. Subject Emphasis

Mormonism will be collected at the research level.
Utah and the West will be collected at the teaching level.

v. Languages

English language materials will be collected at the research level.
Other materials in their native language will be collected at the teaching level.

VI. Deaccessioning Guidelines

Deaccessioning will occur by proposal to, and approval from, the Special Collections Coordinating Committee.

VII. Cooperation with other Individuals

The curator of 19th and 20th Century Mormon and Western American and the curator of 21st Century Mormonism and Western Americana will be contacted to make sure that published works of authors are collected.

Other literary collections that are being curated separately include the Orson Scott Card papers and the Zane Gray papers.

VIII. Revisions

Mormon Literature Manuscripts Collection Policy approved 2 November 2009.
Mormon Literature Manuscripts Collection Policy revision approved 9 February 2012.
Mormonism, Utah, and Western Literary Manuscripts Collection policy revision approved 12 October 2017.

Music Recordings Archive Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Music Recordings Archive (MRA) comprises sound recordings in many formats that predate the compact disc introduced in the 1980s.

The MRA also supports (1) the BYU School of Music, (2) other departments and programs on the BYU Provo campus, especially within the College of Humanities, (3) advanced undergraduate and graduate research and performance in the BYU Honor's program and other BYU mentoring environments programs, and (4) the general cultural enrichment of the BYU campus and state and local communities.

II. Position Responsible for Collecting Decisions

The Curator of Music Special Collections

III. Scope and Focus of Collecting

The Music Recordings Archive provides support for teaching and research in music and the humanities at the undergraduate and graduate level.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

MRA holdings specialize in the following categories:

1. LPs, 78 rpm discs and a variety of tape formats of both mainstream and specialized music in the Western classical tradition from the Middle Ages to the late 20th century.
2. Popular American music of the mid 20th century
3. Recordings of jazz, rock and roll (in the mid to late 20th century), folk and world music.
4. Records of performances of the BYU School of Music.
5. Oral history interviews with notable musicians and broadcasts of musical performances and events.

ii. Major Faculty Research Interests

Performance and pedagogy of music in the mainstream Western classical tradition, jazz, folk and world music.

Historical musicology, music theory and analysis, the history of jazz and popular music.

LDS composers and musicians.
The history of ballet and other dance genres.

b. Limitations

See specific limitations of separate collection development policies for the International Harp Archives, Primrose International Viola Archive, and LDS Music Archives.

Acquisition of audio recordings for the MRA is primarily limited to gifts.

Sound recordings not related to music are limited.

V. **General Selection Guidelines**

c. Treatment of Subject Depth

The MRA supports the curriculum and research of the School of Music at a teaching level of collecting.

d. Specific Delimitations

i. Type

Collected at a teaching level:

Recordings of music from the mainstream classical Western tradition from the Middle Ages to the late 20th century.

Recordings of jazz, popular music, rock and roll, folk and world music.

Recordings of interviews with important musicians.

Other audio programs related to music.

ii. Physical Format

Collected at a teaching level:

LPs (long playing discs)

Collected at a representative level:

78 rpm discs in all sizes.

16-inch transcription discs.

Edison Diamond Discs.

Cylinders.

Reel-to-reel audiotapes.

Audiocassettes

Audio recorded on a variety of tape formats including: DAT, ADAT, VHS, and Beta.

Wire recordings.

iii. Date

Collected at a teaching level:

Recordings produced from the mid 20th century forward.
Musical compositions from ancient times to the present.

Collected at a representative level:

Recordings produced prior to the LP format and various tape formats.

iv. Geographical focus

Collected at a teaching level:

Materials originating in North America and Europe.

Collected at a representative level:

Materials originating in South America, the Middle East, and Asia.

v. Subject Emphasis

Collected at a teaching level:

Western classical music
Jazz and popular music of the 19th and 20th centuries

vi. Languages

Collected at a teaching level:

English and all other European languages

Collected at a representative level:

Middle Eastern and Asian languages.

VI. Deaccessioning Guidelines

In accordance with current deaccession policies, the Curator of Music Special Collections will make proposals to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Music Special Collections collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Collections and Individuals

The Curator of Music Special Collections works closely with the Performing Arts Subject Librarian

VIII. Revisions

Music Special Collections policy, Sep. 2010.

Music Special Collections Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

Music Special Collections (MSC) comprise holdings of scores (both print and manuscript), sound recordings (both commercial and non-commercial in all formats), historical treatises, pedagogical methods, and archives (personal papers, correspondence, photographs, concert programs, press clippings, annotated published scores and books, sound recordings, and other ephemera with direct relationship to a relevant individual, organization, or institution). Subsets of MSC include the International Harp Archives, the Primrose International Viola Archive, the LDS Music Archives, and the Music Recordings Archive. Each of these subsets are treated in separate collection development policies.

Music Special Collections are developed and maintained to support the curriculum and research needs of Brigham Young University's School of Music.

MSC also supports (1) other departments and programs on the BYU Provo campus, especially within the College of Humanities, (2) advanced undergraduate and graduate research and performance in the BYU Honor's program and other BYU mentoring environments and experiential learning programs, (3) national and international organizations and scholars associated with MSC areas of distinction such as music for the harp and viola, ballet, opera, and popular American music of the 20th Century, and (4) the general cultural enrichment of the BYU campus and state and local communities.

II. Position Responsible for Collecting Decisions

The Curator of Music Special Collections.

III. Scope and Focus of Collecting

Music Special Collections provides support for teaching and research in music and the humanities at the undergraduate and graduate level.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

MSC holdings used to support teaching and research specialize in the following categories:

1. Rare and manuscript music, sound recordings, and related documentation for the harp and viola (see separate collection development policies for the International Harp Archives and the Primrose International Viola Archive). The lives and works of LDS musicians, primarily from the 20th and 21st centuries (see separate collection

development policy for the LDS Music Archives). Sound recordings in various formats from the early 20th century to the mid 1980s (see separate collection development policy for the Music Recordings Archive).

2. Opera, ballet, and dance music, also libretti and related illustrative materials from the 17th through the early 20th century. Corresponding music related theatrical almanacs from the 19th century. Correspondence of opera and ballet composers and librettists.

3. Popular music of the 19th and 20th centuries, with special emphasis given to 19th- and 20th-century sheet music and popular orchestral and vocal arrangements of the mid 20th century.

4. Rare editions and manuscript scores for keyboard and major orchestral instruments of the Western classical tradition, primarily from the 18th, 19th, and early 20th centuries. Flute scores from the 18th and 19th centuries. Historical treatises on music theory and instrumental methods from the 18th and 19th centuries. Hymnals from the 18th, 19th, and early 20th centuries.

5. Archives of appropriate local, state, and national organizations and individuals with historical or working relations with Brigham Young University, for example, the Gina Bachauer Piano Foundation and Barlow Music Endowment.

ii. Major Faculty Research Interests

Performance and pedagogy for the mainstream Western classical tradition (all common instruments, voices, and ensembles).

Historical musicology.

Music theory and analysis.

Music education.

Opera.

Jazz and popular music.

Film music.

LDS composers and musicians.

World music.

b. Limitations

Music resources predating the 17th century are acquired only in exceptional circumstances. Expensive manuscripts and first editions of the most famous composers are limited. World and folk music resources are limited.

See specific limitations of separate collection development policies for the International Harp Archives, Primrose International Viola Archive, LDS Music Archives, and Music Recordings Archives.

V. General Selection Guidelines

c. Treatment of Subject Depth

Music Special Collections seeks to collect and maintain primary sources at a level which supports undergraduate and graduate teaching and research.

d. Specific Delimitations

i. Type

Collected at a teaching level:

Scores and orchestrations.

Treatises and pedagogical methods.

Sound recordings.

Libretti.

Theatrical almanacs.

Archives (personal papers, correspondence, photographs, concert programs, press clippings, annotated published scores and books, sound recordings and other ephemera with direct relationship to an individual, organization, or institution).

ii. Physical Format

Collected at a teaching level:

Printed scores, books, and librettos.

Manuscript scores, books, and librettos.

All forms of sound recordings (as may be found in archives or personal papers).

Archives (personal papers, correspondence, photographs, concert programs, press clippings, annotated published scores and books, sound recordings and other ephemera with direct relationship to an individual, organization, or institution).

Non-commercial microforms.

iii. Date

Collected at a teaching level: 16th-21st centuries.

iv. Geographical focus

Collected at a teaching level: Focus on Europe and North America

Collected at a representative level: Asia

v. Subject Emphasis

Collected at a teaching level:

Music and musical literature of the mainstream Western classical tradition.

Jazz.

Popular American Music.

Collected at a representative level:

World and folk music.

vi. Languages

Collected at a teaching level: English and Western and Eastern European

Collected at a representative level: Asian

VI. Deaccessioning Guidelines

In accordance with current deaccession policies, the Curator of Music Special Collections will make proposals to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Music Special Collections collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Collections and Individuals

The Curator of Music Special Collections works closely with the Performing Arts Subject Librarian

VIII. Revisions

Music Special Collections policy, Sep. 2010.

Orphaned Manuscripts Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

L. Tom Perry Special Collections has over time collected several manuscript collections that do not fit into the scope of other manuscript collecting policies. These collections are primarily non-literary manuscripts that date from the 20th Century or earlier; cover topics that are not directly related to Mormonism, Utah and the American West; and/or are not related to the history of science. This policy is intended to cover these orphaned collections of which L. Tom Perry Special Collections owns but will no longer actively acquire.

II. Position Responsible for Collecting Decisions

As assigned by the L. Tom Perry Special Collections department chair.

III. Scope and Focus of Collecting

Items in this collections may support a variety of curriculum in the university.

IV. General Selection Guidelines

a. Treatment of Subject Depth

Orphaned manuscripts and records may support some research needs and requirements for undergraduate and graduate students, faculty and scholars, researchers, family historians and genealogists, and community members.

b. Specific Delimitations

L. Tom Perry Special Collections will no longer actively acquire manuscript collections in these areas.

V. Deaccessioning Guidelines

The curator assigned to these collections may present a proposal to deaccession material to the L. Tom Perry Special Collections Board of Curators. Materials may be deaccessioned if there is no contractual obligation or other compelling reason to retain the collection.

VI. Cooperation with other Institutions

Special Collections will recommend donors and records creators to submit records to other institutions if they more closely fit collecting policies of another institution when deemed appropriate.

VII. Revisions

[Describe the different revisions of the collection development policy with the following information: date of policy and title of policy]

Orson Scott Card Print Collection Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Orson Scott Card Print Collection is a part of the Science Fiction Collection within the Literature Collection. The collection provides support to BYU literature programs, particularly English, as well as to researchers, faculty, and visiting scholars, and is a complementary collection to the Orson Scott Card papers, housed in Archives.

In terms of popularity and publication record Orson Scott Card is probably the most successful LDS author of the late 20th century/early 21st century. Card came to the attention of the science fiction world, where he is now best known, in August 1977, with the publication in *Analog* of the short story “Ender’s Game.” This evolved into the novel *Ender’s Game*, published in 1985 and winner of both the Nebula and the Hugo Awards, a feat accomplished by only one other book: *Speaker for the Dead*, the sequel to *Ender’s Game*. He has published over fifty novels, nearly a hundred short stories, as well as poetry, plays, graphic novels, and nonfiction works including reviews, social criticism, and columns. His works have been translated into more than 25 languages.

Card began sending his papers to the Library’s Archives in 1978 and continues to send two or three shipments per year. Among other things, the papers include correspondence, journals, and manuscripts of all his published work. By the mid-1980s it was clear that Card was becoming a very successful author and the Library decided to document his published works as a complement to the papers.

II. Position Responsible for Collecting Decisions

Orson Scott Card Curator

III. Scope and Focus of Collecting

Special Collections collects the published output of Orson Scott Card comprehensively. Card is currently the only LDS author being collected at this level.

- All published books (novels, graphic novels, collections, nonfiction)
 - All editions, including prepublication review copies [Note: we do not collect different printings of the same edition unless there is a significant difference between printings, e.g., new cover art]
 - All translations
- All published short stories and articles

Note: Special Collections attempts to obtain a copy of the publication (anthology or journal issue) in order to show the original context of the work. If we are unable to obtain a copy of the work as published, Special Collections keeps a photocopy or printout of the story or article.

- All published audiobooks and other AV resources
 - All editions
 - All translations
- Other resources authored by Card (including computer games, film versions of books, etc.)
- Print and AV publications about Card, including reviews and other criticism.

Note: Special Collections collects photocopies of article-length publications about Card and does not normally attempt to obtain a copy of the original publication.
- All Internet publications by Card, including
 - His websites (including www.hatrack.com, www.ornery.org)
 - His e-journal *Orson Scott Card's Intergalactic Medicine Show*
 - Novels and shorter works published electronically
- Selected Internet publications about Card

Note on electronic resources published on the Internet: Special Collections collects a printout of these resources and the Library catalog contains a link to the live resource. Special Collections also has permission to archive electronically Card's websites and e-journals, including *Intergalactic Medicine Show*. Some of this is being archived in Rosetta.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

Orson Scott Card.

ii. Major Faculty Research Interests

The collection supports the research interests of faculty *and* students in the BYU literature programs, particularly the English department.

b. Limitations

We do not collect different printings of the same edition unless there is a significant difference between printings, e.g., new cover art

V. General Selection Guidelines

a. Treatment of Subject Depth

Comprehensive.

b. Specific Delimitations

i. Type

All types, comprehensive.

ii. Physical Format

All formats, comprehensive.

iii. Date

All dates, comprehensive.

iv. Geographical focus

Materials from all parts of the world, comprehensive.

v. Subject Emphasis

Orson Scott Card

vi. Languages

All languages

VI. Deaccessioning Guidelines

Duplicates, if any, might be deaccessioned. When it is discovered that an item has been ordered that duplicates an item already in the collection it normally is put in the circulating collection.

VII. Cooperation with other Institutions

None.

VIII. Revisions

[Describe the different revisions of the collection development policy with the following information: date of policy and title of policy]

Photographic Archives

I. Purpose and Program Description

A. Library's Collection Development Objectives

The Photographic Archives seeks to support research and teaching in the subjects embraced in the archival programs in the Department of Archives and Manuscripts by preserving photographic materials transferred from those programs. The Photographic Archives also seeks to support research and teaching concerning photography in Utah and the American West and the history of photography in general. Research and teaching are supported at all academic levels, undergraduate through post-graduate.

B. Curriculum Program Descriptions

All disciplines at the undergraduate and post-graduate levels which make use of the holdings of the department are potential users of the Photographic Archives. Since the primary collecting rationale of the Photographic Archives is format based, the only subject limitations are those contained within each collection development policy statement of the archival programs within the Department of Archives and manuscripts.

II. General Selection Guidelines

A. Treatment of Subject Depth

Unique original materials are collected whenever possible; copies are also collected.

B. Specific Delimitations

1. Type and format

No formats or types of historical photographs are excluded. Emphasis is given to acquiring complete archives of original negatives and original prints of the work of individual photographers.

Generally speaking, only historical photographs are collected. However, when a general iconographic image, such as a lithograph, is available and is characteristic of the work of a photographer, a certain period of photography or a geographic area of subject in which we collect, and the lithograph may also be a reproduction of a photo print no longer readily obtainable in original format, then it also will be collected.

2. Creation dates

- a. Collected extensively: 1839-1930.
- b. Collected selectively: 1930-present.

3. Geographical areas

No limitations. However, the bulk of our holdings will always be concerned with Utah and the American West.

4. Subject emphasis

Photography in Utah and the American West, the history of photography, and all subjects collected in the Department of Archives and Manuscripts. The work of all Utah photographers, 1847 to the present, is especially sought.

C. Subject and Collection Overlap Within the Lee Library

See "General Introduction" above. Also, some overlap may appear to occur with the picture collections collected by various subject librarians. However, our holdings do not circulate and generally speaking, we collect only original negatives and prints.

Primrose International Viola Archive Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Primrose International Viola Archive (PIVA) originated with donation of the private library and papers of William Primrose in 1974. Under the direction of A. Dean Larsen, Associate University Librarian, and with the assistance of David Dalton, the decision was made to develop this collection as a major repository for viola related materials for research, teaching and performance. From its origin until 2010, PIVA aimed to gather a near comprehensive collection of scores, recordings, papers and other related ephemera. In 2010, the collecting scope was lowered to a research level (collected extensively rather than comprehensively). Prior to 2010, PIVA was considered one collection and administered by the Curator of Music Special Collections as part of the Music and Dance Library. In 2010 the HBLL administration disbanded the Music and Dance Library and divided the PIVA into two units. The non-rare collection of scores and sound recordings was moved administratively to the Humanities Department of the HBLL, and the rare and archival materials were assigned to the Curator of Music Special Collections in the L. Tom Perry Special Collections. Development of these two collections is now specified in separate collection development policies.

PIVA was originally called the Primrose Viola Library. After several years of systematic growth, the collection received a substantial boost when in 1981 the International Viola Society transferred its archive from the Mozarteum in Salzburg, Austria to the HBLL. At the time of transfer, the collection's name was changed to the Primrose International Viola Archive to reflect the archive's new character and scope. The acquisition of the International Viola Society's archive spurred an increased effort to expand BYU's holdings. In 1983, PIVA sent letters to hundreds of music publishers worldwide asking them to contribute viola music. In addition the library placed standing orders with a number of international library suppliers to send viola scores upon publication. During the decade of 1983 to 1993, PIVA was fortunate to acquire personal collections from violists, arrangers, and private collectors, including Ernst Wallfisch, Jan Albrect, Walter Lebermann, Rudolf Tretzch, and Franz Zeyringer. In 2009, the HBLL completed purchase of the private viola collection of Ulrich Drüner. This vast collection of rare editions and manuscripts ensured PIVA's status as the largest collection of viola music in the world.

PIVA supports the viola program of the BYU School of Music, which offers instruction to both music majors and non-majors. Because the collecting parameters of PIVA embrace all works that feature the viola, including works with other instruments and ensembles. It supports the entire curriculum of the School of Music at all levels. For example, duos for viola and violin are of equal importance to the violin program. Other chamber works and ensembles support a variety of research, analysis, pedagogy, and performance interests within the School of Music. PIVA materials may also be useful to course work in the humanities. PIVA materials are useful for the general cultural and recreational enrichment of the entire University campus.

PIVA further supports advanced research, pedagogy, and performance to a large and engaged international community of violists. PIVA is well known as a center for viola scholars and performers, and requests to access its resources are frequently received from all around the world. In similar manner, PIVA is considered the international repository of choice for violists and attracts donations from world-renown artists, pedagogues, and collectors.

II. Position Responsible for Collecting Decisions

Curator of Music Special Collections

III. Scope and Focus of Collecting

PIVA collects musical works (in the form of scores and recordings) that feature the viola, but may include a wide variety of instrumentation. PIVA also collects materials relate to the history of the viola, its construction, its repertory, pedagogy, and performance. It embraces all historical periods, genres, and musical styles. PIVA supports the full curriculum of the BYU School of Music, including performance and pedagogy for other instruments and ensembles, musical analysis and composition, the study of music history, music reception, and music publishing. It also supports research in the Humanities Department and the general cultural and recreational enrichment of the BYU campus.

IV. Priorities and Limitations

i. Areas of Specialization

Areas of specialization include rare printed editions and manuscript scores that feature the viola, commercial and non-commercial sound recordings that feature the viola, and archival materials including the personal papers of notable violists or harp instructors, as well as the organizational records of selected viola associations. Document types collected in personal papers and organizational records may include methods, concert programs, press clippings, correspondence, conference planning documents, and photographs.

ii. Major Faculty Research Interests

Faculty research interests include the history of the viola and its repertory, performance of viola music, viola methods, and viola pedagogy. Performance and pedagogy for associated instruments and chamber ensembles are of interest broadly within the School of Music. Other related research interests include musical analysis and composition, the history of music, music bibliography, and music publishing and dissemination.

b. Limitations

Individual archives that lack documentation of either an accomplished performance or pedagogical career or that lack significant documentation useful for research on the viola are excluded.

Commercial scores and recordings that match existing holdings beyond a second copy are excluded. Materials that are damaged beyond affordable preservation measures are excluded.

V. General Selection Guidelines

a. Treatment of Subject Depth

PIVA is developed at a research level. Most materials related to the viola are collected extensively.

b. Specific Delimitations

i. Type

Material types collected extensively include: scores, sound recordings, MIDI files, archives (including organizational records, photographs, correspondence, press clippings, and concert programs).

Material types accepted on exceptional basis include: musical instruments, iconography, clothing, statuary, and other ephemera.

ii. Physical Format

Scores are collected extensively in both print and manuscript.

Recordings are collected extensively in all historical and current formats.

MIDI files for scores are collected extensively.

Personal papers and organizational records are collected in manuscript, print, and electronic.

iii. Date

Generally printed scores should predate 1900, although exceptions may include rare scores and scores in fragile condition. Commercial recordings should predate the compact disc. Other appropriate materials are collected irrespective of date.

iv. Geographical focus

Materials are selected primarily from North American, Europe, Russia, and Japan. Other geographical origins should not limit acquisitions provided other criteria are met.

v. Subject Emphasis

History of the viola, musical compositions for the viola, viola performance and pedagogy, viola manufacturing, and the viola in society. Administrative documents of the American Viola Society and International Viola Society.

Scores and recordings collected extensively include works for solo viola and other works that feature the viola regardless of accompanying instrumentation.

Scores and recordings collected extensively include all genres, styles, and historical periods.

vi. Languages

Western and Eastern European languages, Russian, and Japanese, are collected extensively. Other languages are collected selectively.

VI. Deaccessioning Guidelines

Because the research value of viola related materials is enhanced rather than diminished over time, once materials are accepted they should rarely be deaccessioned. Deaccessioning may result from revisions to this Collection Development Policy or changes to formal contracts with the American Viola Society and/or International Viola Society.

Materials received from the American Viola Society and International Viola Society should be offered for return if deaccessioned.

VII. Cooperation with Other Institutions

PIVA functions as the official archive of the American Viola Society and International Viola Society (see attached contracts).

VIII. Revisions

This area of collecting was previously covered in the regular Music Collection Development Policy (1986).

Professional Papers Program Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Professional Papers Program of the L. Tom Perry Special Collections seeks to collect the personal papers of representative faculty, administrators, and staff of Brigham Young University to facilitate the documentation of the intellectual history of the university. Preference is given to those collections open to research.

Faculty papers contain significant information—including information on teaching, research and professional involvement—that allows researchers to gain insight into the intellectual vitality of Brigham Young University.

II. Position Responsible for Collecting Decisions

Coordinator of the Professional Papers Program

III. Scope and Focus of Collecting

The collection will provide general documentation (e.g., curriculum vitae, photographs) of as many faculty and administrators of the school as possible. In addition, the personal papers of select faculty, administrators, and staff will also be collected.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

Faculty, administrators, or staff who teach, conduct research, or participate on professional organizations that focus on the social, cultural, religious, and intellectual history of Brigham Young University, the Church of Jesus Christ of Latter-day Saints, the history of Utah, or of the American West.

ii. Major Faculty Research Interests

As we obtain the papers of faculty members in different departments across campus, other faculty members from within those departments may have an interest in using their colleague's papers to compliment and further their own research. Any faculty across campus that are interested in writing the history of their department, college, or the campus would be interested in looking at the personal papers of their colleagues. Also, faculty from all disciplines that are concerned with the historical experiences of the Latter-day Saints, the history of Utah, and the history of the American West will have interest in the materials, including History, Religion,

American Studies, Sociology, Anthropology, English, Communications, Political Science, and Humanities.

b. Limitations

Any materials that fall under University Records would be transferred to the University Archives. Such materials may include, but are not limited to, materials that document university administrative functions (e.g., official correspondence, reports, agendas, and minutes) and materials that document teaching functions (e.g., course outlines, syllabi, reading lists, and examinations).

The personal papers of faculty, administrators, or staff who do not have the same areas of specialization as outlined above will not be considered for acquisition into the Professional Papers Program. Exceptions to the selection criteria must be approved by the Special Collections Coordinating Committee. Out of scope collections may be acquired by the repository under other collection development policies (e.g., 20th Century Mormon and Western Manuscripts), or will be directed to other appropriate institutions that may be interested in their materials.

Special Collections will not collect official LDS Church corporate records, but will recommend such records be submitted to the LDS Church History Department.

By agreement with the Church of Jesus Christ of Latter-day Saints, the papers of all General Authorities who were living on January 1, 1976 and thereafter are to be preserved in the LDS Church Archives, except when extenuating circumstances make it impossible to follow this policy and the LDS Church Archivist and the University Librarian agree that a person's papers would be more appropriately preserved in the L. Tom Perry Special Collections.

V. General Selection Guidelines

a. Treatment of Subject Depth

The papers of faculty, administrators, and staff of Brigham Young University will support research needs and requirements for undergraduate and graduate students, faculty and scholars, researchers, family historians and genealogists, and community members.

b. Specific Delimitations

i. Type

Historical, archival, and manuscript materials of any type will be collected.

ii. Physical Format

Primary source materials and unique historical, archival, and manuscript materials will be collected, including, but not limited to, manuscripts, photographs, journals, diaries, scrapbooks, letters and correspondence, records and archives, printed ephemera, and digital resources and assets, as well as selected artifacts for exhibition purposes.

iii. Date

1875 – 1903: Collected at the Comprehensive Level

1904 – 1945: Collected at the Research Level

1946 – Present: Collected at the Teaching Level

iv. Geographical focus

1. Brigham Young University campus: Collected at the Teaching Level
2. Satellite campuses (i.e. Salt Lake Center, Study Abroad Centers): Collected at the Representative Level
3. Brigham Young University – Hawaii campus: Excluded
4. Brigham Young University – Idaho campus: Excluded

v. Subject Emphasis

1. Institutional history

Historical collections and materials that document the development and growth of Brigham Young University.

Collected at the Research Level.

2. LDS religion instruction and research

Collections that document the teaching and research activities of the religion faculty of the university.

Collected at the Teaching Level.

3. Teaching and research on LDS social, culture, religious history

Collections and materials that document the instruction and research by the university faculty on the cultural and social history of The Church of Jesus Christ of Latter-day Saints. Foci may include historical, religious, sociological, anthropological, literary, political, and humanistic approaches.

Collected at the Teaching Level.

4. Professional service

Collections and materials that document the professional service performed by faculty, administrators, and staff as employees of the university in organizations that focus on the social, cultural, religious, and intellectual history of Brigham Young University, the Church of Jesus Christ of Latter-day Saints, the history of Utah, or of the American West.

Collected at the Teaching Level.

vi. Languages

Historical, archival, and manuscript materials in any language will be collected.

VI. Deaccessioning Guidelines

The coordinator of the Professional Paper Program may present a proposal to deaccession material to the Harold B. Lee Library's Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Collection Development Policy for the Professional Papers Program.

VII. Cooperation with other Institutions

The coordinator of the Professional Papers Program will work closely with the other manuscript curators in Special Collections, including the 19th, 20th, and 21st Century Mormon & Western Manuscripts curators and the University Archivist.

The curator also collaborates and cooperates with other libraries and archives and endorses and supports collaborative projects that promote access to shared cultural resources.

VIII. Revisions

This policy was created by Dainan Skeem and Cory Nimer, July 18, 2016.

Rare Japanese Collection Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Harold B. Lee Library's collection of rare Japanese materials was originally assembled by Bay Area collector Harry F. Bruning, Jr. in the latter half of the 20th century. The collection was acquired by the Harold B. Lee Library through the auspices of dealer David Magee in the 1970s. The original acquisition consisted of approximately 250 items, including printed books, manuscripts, maps, and scrolls.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Rare Japanese Collection.

III. Scope and Focus of Collecting

The Rare Japanese Collection is comprised of pre-20th century primary source printed works from Japan. The collection supports teaching and research in Japanese language and literature and Japanese history, art history, and culture.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

Major areas of specialization within the collection include Japanese depictions of foreigners, visits to foreign nations, foreign relations, and foreign learning; warrior history and education; tourism and descriptions of ports and famous places in Japan; cartography; and Japanese illustrated books and early printing technologies.

ii. Major Faculty Research Interests

The Rare Japanese Collection supports current faculty research interests in Japanese history, culture, literature, and art.

b. Limitations

The Rare Japanese Collection is considered a subset of the History of Printing Collection and as such, consideration is given to acquiring items which exemplify developments in non-Western book history as well as meeting the general selection guidelines of this collection development policy.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Rare Japanese Collection at a level which supports undergraduate teaching and research.

b. Specific Delimitations

i. Type

Collected at a teaching level: Primary source works on foreign relations, especially portraying Japanese views of foreigners and the outside world; illustrated books and maps; primary source works on literati history and warrior history and education; primary source works on tourism and descriptions of famous places in Japan.

ii. Physical Format

Collected at a teaching level: Printed books, manuscripts, maps, scrolls.

Excluded: Microform, secondary works.

iii. Date

Collected at a teaching level: 16th-19th centuries.

iv. Geographical focus

Collected at a teaching level: Japan

v. Subject Emphasis

Collected at a teaching level: Japan – description and travel; foreign relations; history; cartography. Japanese art and literature.

vi. Languages

Collected at a teaching level: Japanese

VI. Deaccessioning Guidelines

In accordance with current deaccession policies, the Curator of Rare Books will make proposals to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Rare Japanese Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Collections and Individuals

The Curator of the Japanese Rare Books Collection works closely with the Curator of the History of Printing Collection and the Asian Studies Librarian to collect and maintain the Japanese Rare Books Collection.

VIII. Revisions

Rare Japanese Collection Collecting Policy, Nov. 2010.

Renaissance and Reformation Collection

Purpose and Program Description

1. Collection Development Objectives

The Renaissance and Reformation Collection developed from the Marco Heidner Collection of early printed books, acquired by Brigham Young University in 1966. Student and faculty expertise in Renaissance- and Reformation-related subjects prompted the library to collect material in this area.

The Renaissance and Reformation Collection is a collection of primary source works which document European scholarship, diplomacy, politics, and religion from 1450 to 1700. It supports teaching and research through the PhD level, with emphasis on supporting undergraduate education.

2. New and Expanding Areas of Interest

Spanish and Portuguese vernacular works (see section 3 under “General Selection Guidelines,” page 3)

Religious treaties and pamphlets dealing with topics of interest to the LDS community (see list on page 2)

General Selection Guidelines

1. Treatment of Subject Depth

The Renaissance and Reformation Collection is maintained at a level 4, or research level.

2. Specific Delimitations

A. Type and Physical Format

Printed works, especially association copies and texts with marginalia (see below).

B. Imprint Date

Collected extensively: 1450-1700.

C. Subject Emphases

I. Renaissance (Printed Works 1450-1700)

a. Travel and Voyage Literature (Collected selectively)

Accounts of the New World and selected accounts of travel to Africa and Asia that support faculty research.

b. Renaissance Literature (Collected selectively)

1. Translation and editions of Greek and Latin authors.
 2. Egyptology.
 3. Renaissance humanism.
 4. Vernacular dialogues.
- c. European Diplomacy, Political Treatises and Pamphlets (Collected selectively).
1. French political pamphlets (1550-1650).
 2. Political reform (Spain, Italy and German-speaking areas).

II. Reformation (Printed Works 1450-1700)

Materials to be acquired include texts in vernacular languages, especially association copies and texts with marginalia.

- a. Judeo-Christian Scriptures (Collected extensively)
1. Vernacular translation of scriptures into European languages (especially English).
 2. Tracts, pamphlets, treatises about translating scripture.
- b. Works of Major Religious Figures (Collected selectively)
- Including Luther, Melanchthon, Calvin, Savanarola, Erasmus.
- c. Religious Treatises and Pamphlets (collected extensively)

Reformation-era treatises and pamphlets that deal specifically with topics of particular interest to the LDS community such as:

Revelations	God's body
Visions of God, Christ & Angels	Three separate beings
Corruption of biblical texts	Plurality of Gods
Prophets and Prophecy	Mother in heaven
Liahona (spiritual compasses)	Temples
Tree of Life	Washings and anointings
Urim and Thummim; Seerstones	Eternal marriage
Elias, Elijah	Baptism for the dead
Enoch, Melchizedek	Plural marriage
False priesthoods, Priestcraft	Spirit matter
New Jerusalem, City of Zion	Spirit child of God
Consecration	Last Days/Second Coming/ Millennium/Judgment Day
Common property in the NT	Primitive Church
Patriarchal blessings	Apostasy
Lay priesthood and preaching	Restoration
Descent and basis of authority	Corruption of the churches
One true church	Infant baptism
Spirit world	Mode of baptism
Premortal existence	Plurality of Worlds
Three degrees of glory	

3. Languages

Materials in European vernacular languages are collected extensively, with a new focus on Spanish and Portuguese to support recent growth in the undergraduate curriculum. Materials in Latin and Greek collected selectively.

4. Overlap with Other Subjects or Collections

We collaborate with allied subject specialists throughout the Library.

Edward M. Rowe Collection of William Wordsworth Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Edward M. Rowe Collection of William Wordsworth takes its name from Edward M. Rowe, a BYU alumnus (BA, 1923) and former professor of English at Brigham Young University. Rowe donated his private collection of books, photographs, and ephemera related to the life and works of William Wordsworth to the Harold B. Lee Library. This donation makes up the core of the existing collection. The Library has supplemented the collection by acquiring additional items by and about Wordsworth.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Rowe Collection.

III. Scope and Focus of Collecting

The Edward M. Rowe Collection of William Wordsworth is comprised of primary and secondary works relating to the life and career of William Wordsworth. The collection supports teaching and research through the Ph.D. level in 19th century British Literature, Romantic Literature, and 19th century British history. Expanding areas of interest include Dorothy Wordsworth, transatlantic publishing of Wordsworth's works, and Wordsworth's influence on land preservation and literary tourism in the English Lake District.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The Rowe Collection seeks to collect editions of William Wordsworth's poetry, prose, and correspondence; secondary sources on Wordsworth's life and works, including criticism and reference works; and editions of the writings of Dorothy Wordsworth and secondary sources on her life and works.

ii. Major Faculty Research Interests

The Rowe Collection supports major faculty research interests in 19th century British literature, Romanticism in literature, and the history of the Romantic period.

b. Limitations

Though part of the initial donation which formed the Rowe Collection contains some photographic material, it is primarily a print collection and time and financial resources will be devoted to developing print holdings only.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Rowe Collection at a level which supports undergraduate and graduate-level teaching and research and postgraduate research.

b. Specific Delimitations

i. Type

Collected at a comprehensive level: British and American editions of works by William or Dorothy Wordsworth.

Collected at a research level: Adaptations of works by William or Dorothy Wordsworth (including ephemera, artist's books, and parodies); secondary works about William or Dorothy Wordsworth, including biography, criticism, bibliography, and fictional representations.

Collected at a teaching level: Print sources related to Wordsworth's impact on the Lake District and literary tourism. Translations or first editions of works by William Wordsworth not printed in Great Britain or America.

Collected at a representative level: Secondary works on contemporaries of the Wordsworths which devote major portions to discussion of the life and literature of William and Dorothy; first editions of works by contemporaries of the Wordsworths which is acknowledged by scholars to be influenced by William and Dorothy's writings.

ii. Physical Format

Collected at a research level: Monographs, periodicals, ephemera.

Collected at a representative level: Artwork, photographs, and illustration. Reprints of secondary works (including print-on demand editions) are added to the collection only if the original is not in the collection.

Excluded: Manuscripts, realia, ebooks.

iii. Date

Subject to limitations outlined above, any imprint date is collected, but generally 1790-present.

iv. Geographical focus

Collected at a research level: Great Britain, United States.

Collected at a teaching level: Materials published elsewhere in the world.

v. Subject Emphasis

Collected at a research level: Wordsworth's poetry and correspondence; biography, criticism and interpretation, bibliography, influence. Works by and about Dorothy Wordsworth. Adaptations of work by the Wordsworths.

Collected at a teaching level: Wordsworth's contemporaries, his homes and haunts; the English Lake District.

vi. Languages

Collected at a research level: English.

Collected at a representative level: Languages other than English.

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Edward M. Rowe Collection of William Wordsworth collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Institutions

The Curator of Rare Books is responsible for collecting the material contained in the Rowe Collection. The English Language & Literature librarian is responsible for collecting duplicate copies of works by and about William and Dorothy Wordsworth for the general stacks. This is done with coordination and cooperation of the part of the two librarians. Fine press editions of the Wordsworths' works are acquired in consultation with the Curator of the Fine Press Collection.

VIII. Revisions

Rowe Collection of William Wordsworth Collecting Policy, Nov. 2010

Scriptures of the Church of Jesus Christ of Latter-day Saints (Level 5)

All material, unless specifically noted, refer to the official LDS approved editions of the Holy Bible, Book of Mormon, Doctrine and Covenants, and Pearl of Great Price. Non-LDS editions of the Holy Bible either approved or conditionally approved for Church use will not be considered for collection.

- I. Editions printed in all available languages and codings Collected extensively
 - A. Editions of the scriptures featuring a new issued copyright date-full and selection printings
 - B. New editions containing revisions in the text-full and selection printings
 - C. All editions or iterations published by a trade or academic press of the Book of Mormon, Doctrine and Covenants, or Pearl of Great Price.
- II. Non-traditional editions Collected selectively
 - A. Editions of the scriptures featured on media formats such as CD or DVD
 - B. Reenactments of LDS scriptural based stories
 - C. Computerized editions such as CD-ROM or Flash Drive based
- III. Internet versions Excluded
 - A. Web and application based versions of the scriptures maintained by the LDS church or its affiliates.

University Archives Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Brigham Young University Archives is the repository of the non-current records and publications of Brigham Young University. The Archives also collects materials that document the activities of students, faculty, and staff at the university.

The Brigham Young University Archives was established in 1956 to document the history of the university and the people affiliated with it. The records begin with the founding of the university in 1875 and continue to the present.

The University Archives exists to create an institutional memory for Brigham Young University. It supports administrative and legal reference as well as research and teaching concerning the history of Brigham Young University. It documents the role that Brigham Young University has played in the worldwide growth of The Church of Jesus Christ of Latter-day Saints.

II. Position Responsible for Collecting Decisions

The University Archivist is responsible for selecting materials to be acquired by the Brigham Young University Archives.

III. Scope and Focus of Collecting

- a. The University Archives seeks to support administrative and legal reference in the historic records of the university.
- b. The University Archives seeks to support teaching and research through the graduate level in the following major areas of emphasis:
 - i. Brigham Young Academy history
 - ii. Brigham Young University history

IV. Priorities and Limitations

- a. Priorities
 - i. Areas of Specialization
 1. Administrative history
 2. Faculty
 3. Students
 4. Relationship with The Church of Jesus Christ of Latter-day Saints
 - ii. Major Faculty Research Interests
 1. History of Brigham Young University
 2. History of campus entities

3. History of student activities on campus

b. Limitations

- i. The University Archives is the corporate archives of Brigham Young University and its primary role is documenting the administrative history of the university. This leaves limited time and resources available to document other aspects of the university's history.
- ii. Does not include independently published materials about the university or its history (see Mormon Americana collection development policy).
- iii. Does not include non-university publications by university faculty.
- iv. Does not include non-university publications by the BYU Press or other on-campus publishers.

V. General Selection Guidelines

a. Treatment of Subject Depth

- i. The University Archives collects the administrative records necessary to document the roles and responsibilities of Brigham Young University. The Archives also attempts to collect enough records to support undergraduate and graduate research into the history of Brigham Young University.

b. Specific Delimitations

i. Type

1. Archives and manuscripts of any type (e.g., constitutions, bylaws, minutes, transcripts, officer lists, administrative correspondence, memoranda, subject files, project documentation, policy documents, historical files, reports, printed ephemera, photographs, recordings, electronic records): Comprehensive level
2. Published materials:
 - a. University periodicals (e.g., catalogs, class schedules, alumni publications and magazines, student and faculty directories, yearbooks): Comprehensive level
 - b. University publications (e.g., university histories, handbooks): Comprehensive level
 - c. Departmental periodicals (e.g., college magazines, bound newsletters): Research level
 - d. Departmental publications (e.g., College or departmental histories): Research level
 - e. Student organization periodicals (e.g., student newspapers, student journals): Research level
 - f. Student organization publications (e.g., social unit histories): Research level

ii. Physical Format

1. Paper-based records: Research level
2. Photographs: Research level
3. Film and audio-visual records: Teaching level
4. Electronic records: Representative level
5. Paper-based publications: Research level
6. Audio-visual publications: Teaching level

7. Electronic publications: Teaching level

iii. Date

1. University publications are collected from the founding of Brigham Young Academy in 1875 to the present.

iv. Geographical focus

1. Materials generated at the main campus in Provo, Utah: Research level
2. Materials generated in other locations related to Brigham Young University: Teaching level

v. Subject Emphasis

1. Brigham Young Academy: Research level
2. Brigham Young University
 - a. Administration: Research level
 - b. Faculty: Teaching level
 - c. Students and student organizations: Teaching level
 - d. Campus activities (performing arts, athletics, symposia, etc.): Teaching level
 - e. Campus wards: Representative level

vi. Languages

1. Materials in English: Research level
2. Materials in other languages: Representative level

VI. Deaccessioning Guidelines

The University Archivist may present a proposal to deaccession materials to the L. Tom Perry Special Collections Board of Curators. Materials may be deaccessioned if they do not comply with the Brigham Young University Archives collecting policy or if they are duplicative of material already in the archives.

VII. Cooperation with other Institutions

Brigham Young University works cooperatively with other institutions in Utah to ensure that the history of the university is adequately documented.

VIII. Cooperation with other Curators

The Brigham Young University Archivist works cooperatively with other curators in the L. Tom Perry Special Collections and the Harold B. Library to ensure that the history of Brigham Young University is adequately documented. The University Archives works closely with the curators of Mormon Americana in the management of published materials in the University Archives.

IX. Revisions

Previous policy: Brigham Young University Archives Collection Development Policy, February 25, 2010.

Veterans History Collection Development Policy

Objectives: Collect oral histories and written documents from World War I forward. Materials from the Saints at War program are currently the bulk of the archive. In 2007 Saints at War will end and incoming materials will be collected under the direction of the curator.

Trends: This collection contributes to the Library of Congress' Veteran History Project. Veteran's histories have received increasing attention as a result of the Veteran's History Project. Interviews and written collections add texture to the war experience. While the majority of work has focused on World War II, currently there is a move toward collecting items from later conflicts.

Responsible parties: Curator of William A. Wilson Folklore Archives

Level: 4/5

Geographical: The majority of the collection comes from residents of the Intermountain West. However, documents from other parts of the United States are welcome.

Core Topics and Sub-Topics: World War I, World War II, Korean War, Vietnam War, Gulf War, Afghanistan, and Iraq. Narratives include both military and related civilian materials.

Collection Development Strategies: Continuing accepting materials generated as part of Saints at War, bring in documents and oral histories done by fieldworkers approved by the curator, collect histories and documents related to the Gulf War, Afghanistan, and Iraq under the direction of the curator.

Victorian Collection Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

In 1969 the University administration approved the purchase of the Victorian Collection from bookseller David Magee. Magee's collection was the finest Victorian collection assembled since that of Michael Sadleir and included over 4,200 print and manuscript items. In addition to the Victorian collection, L. Tom Perry Special Collections also houses the private collection of J.F.C. Harrison, a British social historian, which contains several thousand books, pamphlets and serials published in England during the 19th century pertaining to social conditions, history, religion, politics, and government. The Harold B. Lee Library has continued to acquire additional items from this time period to supplement the Victorian Collection, including large donations of Trollopeana and Haggardana.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Victorian Collection.

III. Scope and Focus of Collecting

The collection seeks to support teaching and research through the Ph.D. level in the following areas of emphasis:

- 19th century British literature, including popular literature, fiction, poetry, and essays, literary periodicals, street literature, and children's literature.
- 19th century British history, including intellectual, social, and cultural history, material culture, and the history of the book trade.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The Victorian collection seeks to collect first editions of major and minor works of 19th century British literature and literary history and 19th century British intellectual, cultural, and social history.

ii. Major Faculty Research Interests

Current faculty teaching and research interests include:

- English literature of the Victorian period (faculty research interests constantly change from one author/genre to another)
- Victorian short fiction
- Women authors and readers
- Intellectual and cultural history of Great Britain, 1832-1901
- 19th century religion and religious movements in Great Britain

b. Limitations

Though the Victorian Collection contains numerous manuscript items acquired from David Magee, the Victorian Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings. Secondary and reference works that support the Victorian Collection are acquired for the general stacks by the liaison librarian for English Literature.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to maintain and collect for the Victorian Collection to support undergraduate and graduate-level teaching and research and postgraduate research.

b. Specific Delimitations

i. Type

Collected at a research level: First editions and significant editions of major and minor authors; literary periodicals. First and significant editions of major political, religious, scientific and historical figures in Victorian England; works by or about Queen Victoria.

Collected at a teaching level: Works related to Victorian print culture and the Victorian book; works related to Victorian material and cultural history.

Collected at a representative level: Works related to Victorian social movements.

Excluded: Secondary and reference works.

ii. Physical Format

Collected at a research level: Monographs and serials (including literary periodicals); printed ephemera; pamphlets.

Collected at a teaching level: Photographs; maps and charts; printed games and other items of Victorian material culture.

Collected at a representative level: Realia; original or proof drawings on paper by illustrators of printed books; manuscripts.

iii. Date

The Victorian Collection is comprised of materials published from 1832-1901. Materials published just prior to or just after the above dates which are considered by scholars as belonging to the Victorian period will also be added to the collection.

iv. Geographical focus

Collected at a research level: Materials published in Great Britain; the first editions of Victorian authors which may have been published elsewhere in the world (typically the United States, Germany, or the British Colonies).

v. Subject Emphasis

Collected at a research level: Literature (including fiction, drama, essays, poetry); history; cultural history; women's history.

Collected at a teaching level: Intellectual and social movements; industry; science; religion; material culture.

vi. Languages

Materials in English will primarily be acquired for the Victorian Collection. Other languages will be acquired if a Victorian author first published a given text in a language other than English.

VI. Deaccessioning Guidelines

In accordance with current deaccession policies, the Curator of Rare Books will make proposals to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Victorian Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Collections and Individuals

The Victorian Collection shares a close relationship with the Edwardian Collection, which covers British literature published in the early 20th century. Manuscripts by Victorian literary authors may be acquired for the Literary Manuscripts collection, in coordination with the Curator of 19th Century Mormon and Western Manuscripts, but these will not be added to the Victorian Collection. Secondary and reference works that support the collection are acquired for the general stacks by the English Language & Literature librarian. This is done with coordination and cooperation on the part of the two librarians.

VIII. Revisions

Victorian Collection Policy, 2011 [filename: Victorian Collection.doc]

**Brigham Young University
Harold B. Lee Library
L. Tom Perry Special Collections
Web Archive Guideline**

Purpose:

The mission of the L. Tom Perry Special Collections Web Archive at Brigham Young University is to enhance scholarship and learning by documenting, providing access to, and preserving the state of Mormonism in all of its variations, as they exist online. To accomplish this purpose the Web Archives will harvest websites and other Internet content through the use of a web archiving service.

Since its inception, the L. Tom Perry Special Collections has sought to document Mormonism to the fullest extent possible through the collection of personal and corporate documents, images, moving images, personal narratives, and primary and secondary source publications. The web archive seeks to build upon and complement these traditional collecting pathways. More and more creators of Mormon-themed works are turning to the Internet as the sole source in disseminating their efforts. Documenting this work through the capturing of Internet content is a natural and inevitable extension of the functions curators of Special Collections are already performing, and will ensure the relevance and authority the L. Tom Perry Special Collections presently enjoys in Mormon primary research.

It is estimated that in 2011, there were over 500 million websites¹ on the Internet; of that over 300 million² were created in 2011 alone. These large numbers begin to pale in comparison to Internet-generated content such as email (estimated over 3 billion email accounts registered by 2011³) and social media (Facebook alone reached 800 million users by the end of the year⁴). Media such as images and video, which have been traditionally collected by archival repositories around the nation, have also seen a virtual swell. In 2011, there was an average of forty-eight hours of video uploaded to YouTube every minute⁵ and 4.5 million images uploaded to

¹ Pingdom, "Websites", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

² Ibid

³ Pingdom, "Email", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

⁴ Pingdom, "Social media", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

⁵ Pingdom, "Videos", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

Flicker each day⁶. With new material becoming available on such a frequent basis it can cause content that is even just one-day old to become culturally irrelevant, and potentially lost in the wide array of superfluous material being published online. The fluidity of the Internet causes it to be ephemeral in nature; consequently the risk of losing material of enduring value is prodigious unless such material is purposely sought after, captured, and retained in perpetuity. Archiving selections of the Internet presents many challenges, yet equal to the challenge is the opportunity to play a role in documenting and preserving what has become an essential part of human life and experience. Without the deliberate and focused efforts of the L. Tom Perry Special Collections Web Archive, the present depth and knowledge of Mormonism being circulated online will be lost to history.

Terms used in Web Archiving:

Archive: A repository containing records, documents, or other materials of enduring, evidential, legal, or historical value that are preserved so as to provide continual access in accordance with user access policies.

Capture: The process of copying digital information from the web to a repository for collection or archival purposes.

Collection: A group of resources related by common ownership or a common theme or subject matter. A web collection consists of one or more crawls that harvest a group of related websites (e.g., candidate websites for state election campaigns). Collections are owned and/or maintained by an organization or institution.

Crawl: The content associated with a web capture operation that is conducted by a crawler.

Crawler: A software agent that captures information from the web. Our crawler starts with a list of URL's to visit. As it visits these URL's it captures the documents on these web pages.

Curators: persons responsible for building collections of web-based resources, and specify seed lists for specific crawls.

Digital Archive: A digital collection for which an institution has agreed to accept long-term responsibility for preserving the resources in the collection and for providing continual access to those resources in keeping with an archive's user access policies.

⁶ Pingdom, "Images", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

Digital Collection: A collection consisting entirely of born-digital or digitized materials.

Document: A document, or web document, is a resource on the World Wide Web that has a distinct web address. It could be an embedded image, whole web page, PDF, or any other component of a web page. A document can be any kind of MIME type.

Domain: A resource on the web that has a distinct web address. It could be an embedded image, whole web page, PDF file or any other component of a web page.

Harvest: Another name for the act of capturing web content as a part of crawling.

Host: A single networked machine, as usually designated by its Internet hostname (i.e. byu.edu). The hostname can be identical to an URL's domain name, but not always.

HTML: A markup language used to structure text and multimedia documents and to set up hypertext links between documents, used extensively on the web. It can be created and processed with a wide range of tools from simple text editors to sophisticated authoring software.

MIME: Stands for multipurpose Internet Mail Extensions. This is a specification for formatting non-text content to be sent over the Internet. A MIME file can be just about any kind of non-text file, i.e. gif, jpeg, html, etc.

Repository: The physical storage location and medium for one or more digital archives. A repository may contain an active copy of an archive (i.e. one that is accessed by end users) or a mirror copy of an archive for disaster recovery.

Robots.txt: A text file placed in the root directory of a website that prohibits crawlers from indexing all of specific pages of the site. The Robots Exclusion protocol provides a format for designating which directories and files are off limits to the crawler.

Robots.txt Query Exclusion Error: A message indicating that the requested information was not captured by the crawler because the site owner asked that the information be excluded from capture using a robots.txt file.

Seed: Any URL that tells the crawler you specifically want to capture. Seed can be an entire website, a specific part of a website or a specific URL of a document. Also called a targeted URL.

URL (Uniform Resource Locator) : A web address (for example: <http://lib.byu.edu/sites/sc/>), usually consisting of the access protocol

(http), the domain name (lib.byu.edu), and optionally the path to a file or resource residing on that server (/sites/sc/).

Web Archive: A collection of web-published materials that an institution has either made arrangements for or has accepted long-term responsibility for preservation and access in keeping with an archive's user access policies. Some of these materials may also exist in other forms but the web archive captures the web versions for posterity.

Web Archive Service: Enables curators to build collections of web-published materials that are stored in either local and/or remote repositories. The service includes a set of tools for selection, curation, and preservation of the archives. It also includes repositories for storage, preservation services (e.g., replication, emulation, and persistent naming), and administrative services (e.g., templates for collection strategies, content provider agreements, repository provider agreements.)

Web Page: A resource on the web, usually in HTML/XML format and with hypertext links to enable navigation from one page or section to another, displayed with a web browser. A web page can contain any of the following:

Text

Graphics (.gif, .jpeg, or .png)

Audio (.mid or .wav)

Interactive multimedia content that requires a plug-in such as Flash Shockwave or VML

Applets (subprograms that run inside the page) which often provide motion graphics, interaction, and sound

Website: A website is a collection of related web resources, usually as grouped by some common addressing – as when all resources on a single host, or group of related hosts, are considered a 'website'.

Collection Development:

The Archive will focus mainly on Mormonism as it relates to culture, expression, history, philosophy, ideology, society, and theology. Secondary focus will be given to areas of interest such areas as business, education, politics, activism, and philanthropy. In order for content to be collected in any of these areas there must be an established connection to Mormonism either through the content, the creator, or the subject matter.

The primary emphasis of the Web Archive will be to capture the previously emphasized priorities of Mormonism, as they exist online in a publicly accessible and freely available format. For Pay Sites will not be collected; examples of this include databases or news outlets such as the Salt Lake Tribune or the Daily Herald.

At present it is the intention of the Web Archive to honor any website featuring a robot.txt posted for bot exclusion in harvesting the site; in general such sites will not be automatically collected. Material types to be collected will consist of, websites, blogs, wiki's, news articles, videos channels (such as YouTube and Vimeo), PDF's, image files, audio files, and any other relevant Internet format that has either not been stated or has yet to be created.

The Web Archive will seek to capture, if possible, all sites under the <http://BYU.edu/> domain and other sites associated with Brigham Young University-Provo, such as <http://BYUCougars.com/>. If the harvesting of <http://BYU.edu/> in its entirety is not feasible due to volume or resource limitations then specific sites under the domain will be identified and a crawling rotation established for only those selected sites. The Web Archive will not seek to capture BYU affiliated institutions such as <http://BYUH.edu/>, or <http://BYUI.edu/> in their entirety. Specific sites or pages within those domains may be considered for capture depending on content related to the main areas of interest as stated in the collection development guideline.

Additionally, the Web Archive will not seek to capture any domain that is officially owned and operated by the Church of Jesus Christ of Latter-day Saints, such as the domain sites listed below:

http://ABrandNewYear.com/	http://Images.LDS.org/
http://FamilySearch.org/	http://Institute.LDS.org/
http://LDS.org/	http://Interpreter.LDS.org/
http://Mormon.org/	http://JesusChrist.LDS.org/
http://ProvidentLiving.org/	http://LDSAccount.LDS.org/
http://ChurchHistoryLibrary.org/	http://Letter.LDS.org/
http://ChurchHistoryMuseum.org/	http://Letters.LDS.org/
http://CombatingPornography.org/	http://Liahona.LDS.org/
http://CombatingPornography.LDS.org/	http://Maps.LDS.org/
http://GordonBHinckley.org/	http://MLS.LDS.org/
http://ItsAboutLove.org/	http://Music.LDS.org/
http://ItsAboutLove.LDS.org/	http://NewEra.LDS.org/
http://JosephSmith.net/	http://Newsroom.LDS.org/
http://JosephSmithPapers.org/	http://PEF.LDS.org/
http://LDSCatalog.com/	http://Podcasts.LDS.org/
http://LDSCES.org/	http://RSS.LDS.org/
http://LDSFS.org/	http://Radio.LDS.org/
http://FamilyServices.LDS.org/	http://ReliefSociety.LDS.org/
http://LDSJobs.org/	http://SantaBiblia.LDS.org/
http://Jobs.LDS.org/	http://Scriptures.LDS.org/
http://LDSMail.net/	http://Seminary.LDS.org/
http://LDSPhilanthropies.org/	http://Temples.LDS.org/
http://MormonTabernacleChoir.org/	http://Videos.LDS.org/

http://PreservingMarriage.org/ http://ThomasSMonson.org/ http://3SimpleWays.org/ http://FamilyAnswersVideo.org/ http://FamilyFirstVideo.org/ http://FindingFaithVideo.org/ http://FreeBookOfMormon.org/ http://FreeHolyBible.org/ http://LambOfGodVideo.org/ http://MTC.BYU.edu/ http://NativityVideo.org/ http://Referrals.LDS.org/ http://TogetherForeverVideo.org/ http://Allocation.LDS.org/ http://ASL.LDS.org/ http://Audio.LDS.org/ http://Braille.LDS.org/ http://Broadcast.LDS.org/ http://Calendar.LDS.org/ http://CDOL.LDS.org/ http://ChurchHistory.LDS.org/ http://Clerk.LDS.org/ http://Clerks.LDS.org/ http://StakeTech.LDS.org/ http://Countries.LDS.org/ http://Disabilities.LDS.org/ http://Education.LDS.org/ http://Employment.LDS.org/ http://Ensign.LDS.org/ http://Family.LDS.org/ http://Friend.LDS.org/ http://Gems.LDS.org/ http://GeneralConference.LDS.org/ http://GospelArt.LDS.org/ http://GospelLibrary.LDS.org/ http://GospelTopics.LDS.org/ http://Humanitarian.LDS.org/ http://Mormonsandgays.org/	http://YW.LDS.org/ http://YoungWomen.LDS.org/ http://BeSmart.com/ http://LDSBC.edu/ http://LDS.org/mss/ http://LDS.org/tes/login/ http://LDS.org/units/ http://Mail.LDSChurch.org/ http://Tech.LDS.org/ http://Tech.LDS.org/forum/ http://Tech.LDS.org/wiki/ https://Contact.FamilySearch.org/ http://FamilySearch.org/ http://FamilySearchIndexing.org http://FamilySearchLabs.org/ https://Missionary.FamilySearchSupport.org/ http://New.FamilySearch.org/ http://Priesthood.FamilySearch.org http://Remote.FamilySearch.org/ https://Research.FamilySearchSupport.org/ http://Search.Labs.FamilySearch.org/ http://Pilot.FamilySearch.org/recordsearch/ http://Wiki.FamilySearch.org/ http://Facebook.com/pages/Salt-Lake-City-UT/The-Church-of-Jesus-Christ-of-Latter-day-Saints/18523396549 http://Facebook.com/Ensign.Magazine http://Facebook.com/Friend.Magazine http://Facebook.com/LDSNewsroom http://Facebook.com/Liahona.Magazine http://Facebook.com/NewEra.Magazine https://LDSFSStaff.BlueStep.net/ http://Twitter.com/LDSNewsRoom http://Youtube.com/LDSPublicAffairs http://Youtube.com/MormonMessages http://Youtube.com/MormonNewEraMessages http://Youtube.com/MoTabChoir01
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The Archive will potentially seek to capture websites of other religious organizations that have a direct or in-direct association with Mormonism such as the site <http://www.churchofchrist-tl.org>, owned and operated by the Church of Christ (Temple Lot).

Acquisition:

The Web Archive will rely heavily on a curated approach to building the collection; meaning that it will be the responsibility of the curator(s) to actively seek material for inclusion into the archive. Web content will be selected based on the guidance of the collection development guideline stated above.

Unlike the traditional acquisition practices of archives in acquiring the physical material along with the ownership rights and copyright, The L. Tom Perry Special Collection Web Archive will not actively seek to acquire ownership or copyright of any collected web content. It is therefore expected that the creator or owner of web content captured by the Archive will retain full copyright and intellectual property rights of their content at all times, unless otherwise agreed upon. Furthermore, by only capturing web content for transformative purposes the Web Archive assumes no liability for direct, indirect, special, incidental, or consequential damages, that are in any way related to the content. Rather, the Web Archive will acquire web content based on the Best Practice Guide issued by the Association of Research Libraries (ARL)⁷ that the Harold B. Lee Library (of which the L. Tom Perry Special Collection is a division in) is a supporting member of. The standard, as put forth by the library community represented in the ARL Best Practice Guide states “It is fair use to create topically based collections of websites and other material from the Internet and to make them available for scholarly use.”⁸ ARL provided further explanation for archives and libraries to exercise fair use in building web collections:

Gathering impressions of ephemeral Internet material such as web pages, online video, and the like is a growth area in academic and research library collection-building, with activities typically focusing on areas in which the institution has an established specialty, or on sites specific to its local area. Such collections represent a unique contribution to knowledge and pose no significant risks for owners of either the sites in question or third-party material to which those sites refer. In the absence of such collections, important information is likely to be lost to scholarship.

Selecting and collecting material from the Internet in this way is highly transformative. The collecting library takes a historical snapshot of a dynamic and ephemeral object and places the collected impression of the site into a new context: a curated historical archive. Material posted to the Internet typically serves a time-limited purpose and targets a distinct network of users, while its library-held counterpart will document the site for a wide variety of patrons over time. A scholar perusing a collection of archived web pages on the Free Tibet movement, or examining the evolution of educational information on a communicable disease, seeks and encounters that material for a very different purpose than the creators originally intended. Preserving such work can also be considered strongly transformative in itself, separate from any way that future patrons may access it. Authors of online materials often have a specific objective and a particular audience in mind; libraries that collect this material serve a different and broader purpose and a different and broader network of

⁷ See Appendix One

⁸ EIGHT: Collecting Material Posted on the World Wide Web and Making It Available, “Principle”, arl.org. <http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml> (accessed on November 20, 2012)

users. Libraries collect not only for a wide range of purposes today, but also for unanticipated uses by future researchers.⁹

As demonstrated throughout this guideline, the intent of the L. Tom Perry Special Collection Web Archive is to align its practices to be congruent with ARL's Code of Best Practices in Fair Use for Academic and Research Libraries (<http://www.arl.org/pp/ppcopyright/codefairuse/index.shtml>), specifically principal Eight (<http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml>).

It is the nature of most websites to be constantly adding or augmenting content. It is therefore expected that acquisition of this content will be a continuous process. As a site or page is identified for capture it will also be assigned a capturing schedule.

The schedule will be based on a fixed rotation of crawls to be performed:

Daily: (depending on size and speed of the harvesting tool)

Weekly

Semi-weekly

Monthly

Semi-Annually: (based on a year rotation)

Annually: (based on a year rotation)

In addition to the schedule, a stop date will also be assigned at the time of the initial acquisition. For example, a web page may be assigned a daily crawl schedule but also be issued a stop date of one week, thus the web page will be crawled everyday for only one week. Reviews will be continually conducted to ensure that each URL intended for crawling will be matched with an appropriate schedule and stop date.

For Pay sites, or websites that require a fee in order to access the content of, will not be captured by the Web Archive. If content on the site is deemed significant, based on the standards of the collection guideline, the Web Archive will contact the site owner and seek formal permission through the Web Capturing and Archiving Agreement to archive such content.

The Internet content that the L. Tom Perry Special Collections Web Archive does capture will be archived as is without any changes purposely made to augment or diminish content. In essence, the Archive will strive to take a "snap-shot" of each page or item harvested.

Metadata:

Websites or web pages will be associated with corresponding metadata records that will be created by the Web Archive. At present, the standards used for creating

⁹ EIGHT: Collecting Material Posted on the World Wide Web and Making It Available, "Description", arl.org. <http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml> (accessed on November 20, 2012)

metadata will be based on Dublin Core (dublincore.org/) or on MARC (loc.gov/marc/bibliographic/) with local elements used as well. Unless specifically identified as a sole resource, individual web pages will not be given corresponding metadata. At minimum, the metadata that will be generated and displayed is:

URL: The current Uniform Resource Locator given to the resource.

Title: The name given to the resource.

Type: The nature or genre of the content of the resource, blog, wiki, webpage, website, etc.

Creator: An entity primarily responsible for making the content of the resource. Examples of a Creator include a person, an organization, or a service. Typically the name of the Creator should be used to indicate the entity.

Owner: the primary entity holding ownership of the content or resource, if different from the Creator.

Creation Date: Date associated with the creation or availability of the resource.

Harvest Date: Date associated with each web capture of the resource.

Harvest Method: The tool or system by which the resource was captured.

RightsHolder: A person or organization owning or managing rights over the resource.

Metadata is subject to change over time as new standards are developed and implemented.

Access:

The Web Archive of the L. Tom Perry Special Collections has been founded in part to serve the needs of current and future researches. It is expected that the majority of researchers utilizing the Web Archive will be doing so virtually however, it is intended that access still be limited only to those who seek the content for research purposes, as is consistent with the current practices and policies of the L. Tom Perry Special Collections. The following statement will be branded on all of the website and pages harvested by the Archive: "This website has been captured by the L. Tom Perry Special Collections Web Archive and is intended for research purposes only. By viewing this page you are agreeing to the term of use. Any deviation in usage will jeopardize your potential access to this material in the future."

Access may also be limited based on content. If deemed inappropriate for the average user, a site may still be captured for preservation but will be made publically unavailable and thus restricted. Restriction of web content will be made based on the same consideration given to the restricting of printed and manuscript material. Access to restricted web content will only be granted on an individual basis and in most cases will require the researcher to be physically present at the L. Tom Perry Special Collections and undergo the same process for accessing

restricted material as currently practiced with the printed and manuscript collections.

A mechanism will be established whereby researchers or content owners may issue a complaint to the Web Archive about the access being provided to any given website or web page. Until such a mechanism is implemented, please direct any concerns or complaints to BYU's Copyright Licensing Office by contacting them through phone: 801-422-9339, email: copyright@byu.edu, or visiting their webpage at: <http://lib.byu.edu/sites/copyright/>. If you are an owner of content that has been harvested by the Web Archive and wish your material not be included in the Web Archive please use the above information to contact the Copyright Licensing Office with your concerns.

Appendix One:

11/20/12

EIGHT: Collecting Material Posted on the World Wide Web and Making It Available

Association of Research Libraries (ARL)

<http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml>

Code of Best Practices in Fair Use for Academic and Research Libraries

Code of Best Practices

EIGHT: Collecting Material Posted on the World Wide Web and Making It Available

Description

Gathering impressions of ephemeral Internet material such as web pages, online video, and the like is a growth area in academic and research library collection-building, with activities typically focusing on areas in which the institution has an established specialty, or on sites specific to its local area. Such collections represent a unique contribution to knowledge and pose no significant risks for owners of either the sites in question or third-party material to which those sites refer. In the absence of such collections, important information is likely to be lost to scholarship.

Selecting and collecting material from the Internet in this way is highly transformative. The collecting library takes a historical snapshot of a dynamic and ephemeral object and places the collected impression of the site into a new context: a curated historical archive. Material posted to the Internet typically serves a time-limited purpose and targets a distinct network of users, while its library-held counterpart will document the site for a wide variety of patrons over time. A scholar perusing a collection of archived web pages on the Free Tibet movement, or examining the evolution of educational information on a communicable disease, seeks and encounters that material for a very different purpose than the creators originally intended. Preserving such work can also be considered strongly transformative in itself, separate from any way that future patrons may access it. Authors of online materials often have a specific objective and a particular audience in mind; libraries that collect this material serve a different and broader purpose and a different and broader network of users. Libraries collect not only for a wide range of purposes today, but also for unanticipated uses by future researchers.

Principle

It is fair use to create topically based collections of websites and other material from the Internet and to make them available for scholarly use.

Limitations

- Captured material should be represented as it was captured, with appropriate information on mode of harvesting and date.
- To the extent reasonably possible, the legal proprietors of the sites in question should be identified according to the prevailing conventions of attribution.
- Libraries should provide copyright owners with a simple tool for registering objections to making items from such a collection available online, and respond to such objections promptly.

Enhancements

- Claims of fair use relating to material posted with “bot exclusion” headers to ward off automatic harvesting may be stronger when the institution has adopted and follows a consistent policy on this issue, taking into account the possible rationales for collecting Internet material and the nature of the material in question.
- The more comprehensive a collection of web impressions in a given topic area is, the more persuasively the inclusion of any given item can be characterized as fair use.

[—> Next: Credits](#)

[<— Previous: SEVEN: Creating Databases to Facilitate Non Consumptive Research Uses \(Including Search\)](#)

Appendix Two:

Web Capturing and Archiving¹ Agreement (Draft)



Brigham Young University (BYU)
Harold B. Lee Library
L. Tom Perry Special Collections
1130 Harold B. Lee Library
Provo, Utah 84602

Agreement Date:

This Web Archiving Agreement ("Agreement") is entered into on the date set forth above between BYU, and:	
Web Content Owner's name(s) (collectively "Owner"):	
Telephone number(s):	
Address(es):	
E-mail address(es):	
Birth date(s) (dd/mm/yyyy):	
Website Name:	
Website URL:	
Detailed Description of Web Content Being Captured and Archived (collectively "Web Content"): Please include a description of the textual, visual, or aural content that is encountered as part of the user experience on the website to be Archived. The Web Content may include, among other things: text, images, animations, hyperlinks to third-party websites, and audio and video content.	

¹ Web Archiving is the capturing and preservation of selected websites that are of interest to the L. Tom Perry Special Collections Web Archive and that is of benefit and use to current and future researchers.

TERMS. Owner agrees to allow BYU to capture the Web Content as described above for archiving and distribution by the L. Tom Perry Special Collections Web Archive for education, private study, and research ("educational purposes"). The Owner agrees to allow the Web Archive to periodically capture Web Content to document changes.

This Agreement provides the legal permissions and warranties needed to allow BYU to capture, archive, preserve, and make accessible, in a variety of formats and media now known or later developed, Web Content maintained by the Owner. This agreement permits use of the captured and archived Web Content only for non-commercial purposes, research, private study, and educational purposes.

This is a non-exclusive agreement, which ensures that Owner rights are not transferred by this agreement. The Owner retains copyright and intellectual property rights and is free to use or publish the Web Content elsewhere.

Cataloging information and documentation can be publicly available but access to the captured and archived Web Content will only be available to authorized users who have agreed to abide by access conditions set by the L. Tom Perry Special Collections unless the Owner has stated that the Web Content can be available to any user.

It is understood that the Web Content may contain third-party copyrighted material and/or links.

MODIFICATIONS. BYU or its authorized users may not modify or change or create a derivative work of the captured and archived Web Content in any manner.

WARRANTIES. Web Content is captured and archived "as is" without warranty of any kind, either expressed or implied. In no event will BYU be liable for direct, indirect, special, incidental, or consequential damages that are in any way related to Web Content.

NO COMPENSATION. Owner acknowledges and agrees that Owner shall not receive any monetary compensation in exchange for the captured and archived Web Content.

In consideration of the mutual promises and covenants herein contained, and for other good and valuable consideration, Owner and BYU indicate their agreement with the descriptions and terms above, and with the Terms, by signing below:

Brigham Young University L. Tom Perry Special Collections Web Archive

Print Name: _____ Date: _____

Signature: _____

Web Content Owner

Print Name: _____ Date: _____

Signature: _____

For Internal Use Only

Item received by:	Date:
Acknowledged by:	Disposition:

**Brigham Young University
Harold B. Lee Library
L. Tom Perry Special Collections
Web Archive Guideline**

Purpose:

The mission of the L. Tom Perry Special Collections Web Archive at Brigham Young University is to enhance scholarship and learning by documenting, providing access to, and preserving the state of Mormonism in all of its variations, as they exist online. To accomplish this purpose the Web Archives will harvest websites and other Internet content through the use of a web archiving service.

Since its inception, the L. Tom Perry Special Collections has sought to document Mormonism to the fullest extent possible through the collection of personal and corporate documents, images, moving images, personal narratives, and primary and secondary source publications. The web archive seeks to build upon and complement these traditional collecting pathways. More and more creators of Mormon-themed works are turning to the Internet as the sole source in disseminating their efforts. Documenting this work through the capturing of Internet content is a natural and inevitable extension of the functions curators of Special Collections are already performing, and will ensure the relevance and authority the L. Tom Perry Special Collections presently enjoys in Mormon primary research.

It is estimated that in 2011, there were over 500 million websites¹ on the Internet; of that over 300 million² were created in 2011 alone. These large numbers begin to pale in comparison to Internet-generated content such as email (estimated over 3 billion email accounts registered by 2011³) and social media (Facebook alone reached 800 million users by the end of the year⁴). Media such as images and video, which have been traditionally collected by archival repositories around the nation, have also seen a virtual swell. In 2011, there was an average of forty-eight hours of video uploaded to YouTube every minute⁵ and 4.5 million images uploaded to

¹ Pingdom, "Websites", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

² Ibid

³ Pingdom, "Email", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

⁴ Pingdom, "Social media", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

⁵ Pingdom, "Videos", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

Flicker each day⁶. With new material becoming available on such a frequent basis it can cause content that is even just one-day old to become culturally irrelevant, and potentially lost in the wide array of superfluous material being published online. The fluidity of the Internet causes it to be ephemeral in nature; consequently the risk of losing material of enduring value is prodigious unless such material is purposely sought after, captured, and retained in perpetuity. Archiving selections of the Internet presents many challenges, yet equal to the challenge is the opportunity to play a role in documenting and preserving what has become an essential part of human life and experience. Without the deliberate and focused efforts of the L. Tom Perry Special Collections Web Archive, the present depth and knowledge of Mormonism being circulated online will be lost to history.

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Capture: The process of copying digital information from the web to a repository for collection or archival purposes.

Collection: A group of resources related by common ownership or a common theme or subject matter. A web collection consists of one or more crawls that harvest a group of related websites (e.g., candidate websites for state election campaigns). Collections are owned and/or maintained by an organization or institution.

Crawl: The content associated with a web capture operation that is conducted by a crawler.

Crawler: A software agent that captures information from the web. Our crawler starts with a list of URL's to visit. As it visits these URL's it captures the documents on these web pages.

Curators: persons responsible for building collections of web-based resources, and specify seed lists for specific crawls.

Digital Archive: A digital collection for which an institution has agreed to accept long-term responsibility for preserving the resources in the collection and for providing continual access to those resources in keeping with an archive's user access policies.

⁶ Pingdom, "Images", pingdom.com. <http://royal.pingdom.com/2012/01/17/internet-2011-in-numbers/> (accessed November 23, 2012)

Digital Collection: A collection consisting entirely of born-digital or digitized materials.

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Host: A single networked machine, as usually designated by its Internet hostname (i.e. byu.edu). The hostname can be identical to an URL's domain name, but not always.

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MIME: Stands for multipurpose Internet Mail Extensions. This is a specification for formatting non-text content to be sent over the Internet. A MIME file can be just about any kind of non-text file, i.e. gif, jpeg, html, etc.

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Robots.txt: A text file placed in the root directory of a website that prohibits crawlers from indexing all of specific pages of the site. The Robots Exclusion protocol provides a format for designating which directories and files are off limits to the crawler.

Robots.txt Query Exclusion Error: A message indicating that the requested information was not captured by the crawler because the site owner asked that the information be excluded from capture using a robots.txt file.

Seed: Any URL that tells the crawler you specifically want to capture. Seed can be an entire website, a specific part of a website or a specific URL of a document. Also called a targeted URL.

URL (Uniform Resource Locator) : A web address (for example: <http://lib.byu.edu/sites/sc/>), usually consisting of the access protocol

(http), the domain name (lib.byu.edu), and optionally the path to a file or resource residing on that server (/sites/sc/).

Web Archive: A collection of web-published materials that an institution has either made arrangements for or has accepted long-term responsibility for preservation and access in keeping with an archive's user access policies. Some of these materials may also exist in other forms but the web archive captures the web versions for posterity.

Web Archive Service: Enables curators to build collections of web-published materials that are stored in either local and/or remote repositories. The service includes a set of tools for selection, curation, and preservation of the archives. It also includes repositories for storage, preservation services (e.g., replication, emulation, and persistent naming), and administrative services (e.g., templates for collection strategies, content provider agreements, repository provider agreements.)

Web Page: A resource on the web, usually in HTML/XML format and with hypertext links to enable navigation from one page or section to another, displayed with a web browser. A web page can contain any of the following:

Text

Graphics (.gif, .jpeg, or .png)

Audio (.mid or .wav)

Interactive multimedia content that requires a plug-in such as Flash Shockwave or VML

Applets (subprograms that run inside the page) which often provide motion graphics, interaction, and sound

Website: A website is a collection of related web resources, usually as grouped by some common addressing – as when all resources on a single host, or group of related hosts, are considered a 'website'.

Collection Development:

The Archive will focus mainly on Mormonism as it relates to culture, expression, history, philosophy, ideology, society, and theology. Secondary focus will be given to areas of interest such areas as business, education, politics, activism, and philanthropy. In order for content to be collected in any of these areas there must be an established connection to Mormonism either through the content, the creator, or the subject matter.

The primary emphasis of the Web Archive will be to capture the previously emphasized priorities of Mormonism, as they exist online in a publicly accessible and freely available format. In general, for Pay Sites will not be collected; examples of this include databases or news outlets such as the Salt Lake Tribune or the Daily

Herald. Material types to be collected will consist of, websites, blogs, wiki's, social media, news articles, videos channels (such as YouTube and Vimeo), PDF's, image files, audio files, and any other relevant Internet format that has either not been stated or has yet to be created.

The Web Archive will seek to capture, if possible, all sites under the <http://BYU.edu/> domain and other sites associated with Brigham Young University-Provo, such as <https://byucougars.com/>. If the harvesting of <http://BYU.edu/> in its entirety is not feasible due to volume or resource limitations then specific sites under the domain will be identified and a crawling rotation established for only those selected sites. The Web Archive will not seek to capture the BYU affiliated institution <http://BYU.edu/> in its entirety. Specific sites or pages within that domains may be considered for capture depending on content related to the main areas of interest as stated in the collection development guideline.

Additionally, the Web Archive will not seek to capture any domain that is officially owned and operated by the Church of Jesus Christ of Latter-day Saints as Intellectual Reserve, Inc, Deseret Digital Media, or Deseret Book.

The Archive will potentially seek to capture websites of other religious organizations that have a direct or in-direct association with Mormonism such as the site <http://www.churchofchrist-tl.org>, owned and operated by the Church of Christ (Temple Lot).

Acquisition:

The Web Archive will rely heavily on a curated approach to building the collection; meaning that it will be the responsibility of the curator(s) to actively seek material for inclusion into the archive. Web content will be selected based on the guidance of the collection development guideline stated above.

Unlike the traditional acquisition practices of archives in acquiring the physical material along with the ownership rights and copyright, The L. Tom Perry Special Collection Web Archive will not actively seek to acquire ownership or copyright of any collected web content. It is therefore expected that the creator or owner of web content captured by the Archive will retain full copyright and intellectual property rights of their content at all times, unless otherwise agreed upon. Furthermore, by only capturing web content for transformative purposes the Web Archive assumes no liability for direct, indirect, special, incidental, or consequential damages, that are in any way related to the content. Rather, the Web Archive will acquire web content based on the Best Practice Guide issued by the Association of Research Libraries

(ARL)⁷ that the Harold B. Lee Library (of which the L. Tom Perry Special Collection is a division in) is a supporting member of. The standard, as put forth by the library community represented in the ARL Best Practice Guide states “It is fair use to create topically based collections of websites and other material from the Internet and to make them available for scholarly use.”⁸ ARL provided further explanation for archives and libraries to exercise fair use in building web collections:

Gathering impressions of ephemeral Internet material such as web pages, online video, and the like is a growth area in academic and research library collection-building, with activities typically focusing on areas in which the institution has an established specialty, or on sites specific to its local area. Such collections represent a unique contribution to knowledge and pose no significant risks for owners of either the sites in question or third-party material to which those sites refer. In the absence of such collections, important information is likely to be lost to scholarship.

Selecting and collecting material from the Internet in this way is highly transformative. The collecting library takes a historical snapshot of a dynamic and ephemeral object and places the collected impression of the site into a new context: a curated historical archive. Material posted to the Internet typically serves a time-limited purpose and targets a distinct network of users, while its library-held counterpart will document the site for a wide variety of patrons over time. A scholar perusing a collection of archived web pages on the Free Tibet movement, or examining the evolution of educational information on a communicable disease, seeks and encounters that material for a very different purpose than the creators originally intended. Preserving such work can also be considered strongly transformative in itself, separate from any way that future patrons may access it. Authors of online materials often have a specific objective and a particular audience in mind; libraries that collect this material serve a different and broader purpose and a different and broader network of users. Libraries collect not only for a wide range of purposes today, but also for unanticipated uses by future researchers.⁹

As demonstrated throughout this guideline, the intent of the L. Tom Perry Special Collection Web Archive is to align its practices to be congruent with ARL’s Code of Best Practices in Fair Use for Academic and Research Libraries (<http://www.arl.org/pp/ppcopyright/codefairuse/index.shtml>), specifically principal Eight (<http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml>).

It is the nature of most websites to be constantly adding or augmenting content. It is therefore expected that acquisition of this content will be a continuous process. As a site or page is identified for capture it will also be assigned a capturing schedule. The schedule will be based on a fixed rotation of crawls to be performed:
Daily: (depending on size and speed of the harvesting tool)

⁷ See Appendix One

⁸ EIGHT: Collecting Material Posted on the World Wide Web and Making It Available, “Principle”, arl.org. <http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml> (accessed on November 20, 2012)

⁹ EIGHT: Collecting Material Posted on the World Wide Web and Making It Available, “Description”, arl.org. <http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml> (accessed on November 20, 2012)

Weekly

Semi-weekly

Monthly

Semi-Annually: (based on a year rotation)

Annually: (based on a year rotation)

In addition to the schedule, a stop date will also be assigned at the time of the initial acquisition. For example, a web page may be assigned a daily crawl schedule but also be issued a stop date of one week, thus the web page will be crawled everyday for only one week. Reviews will be continually conducted to ensure that each URL intended for crawling will be matched with an appropriate schedule and stop date.

For Pay sites, or websites that require a fee in order to access the content of, will not be captured by the Web Archive. If content on the site is deemed significant, based on the standards of the collection guideline, the Web Archive will contact the site owner and seek formal permission through the Web Capturing and Archiving Agreement to archive such content.

The Internet content that the L. Tom Perry Special Collections Web Archive does capture will be archived as is without any changes purposely made to augment or diminish content. In essence, the Archive will strive to take a “snap-shot” of each page or item harvested.

Metadata:

Websites or web pages will be associated with corresponding metadata records that will be created by the Web Archive. At present, the standards used for creating metadata will be based on Dublin Core (dublincore.org/) or on MARC (loc.gov/marc/bibliographic/) with local elements used as well. Unless specifically identified as a sole resource, individual web pages will not be given corresponding metadata. At minimum, the metadata that will be generated and displayed is:

URL: The current Uniform Resource Locator given to the resource.

Title: The name given to the resource.

Type: The nature or genre of the content of the resource, blog, wiki, webpage, website, etc.

Creator: An entity primarily responsible for making the content of the resource. Examples of a Creator include a person, an organization, or a service. Typically the name of the Creator should be used to indicate the entity.

Owner: the primary entity holding ownership of the content or resource, if different from the Creator.

Creation Date: Date associated with the creation or availability of the resource.

Harvest Date: Date associated with each web capture of the resource.

Harvest Method: The tool or system by which the resource was captured.

RightsHolder: A person or organization owning or managing rights over the resource.

Metadata is subject to change over time as new standards are developed and implemented.

Access:

The Web Archive of the L. Tom Perry Special Collections has been founded in part to serve the needs of current and future researches. It is expected that the majority of researchers utilizing the Web Archive will be doing so virtually however, it is intended that access still be limited only to those who seek the content for research proposes, as is consistent with the current practices and policies of the L. Tom Perry Special Collections. The following statement will be branded on all of the website and pages harvested by the Archive: "This website has been captured by the L. Tom Perry Special Collections Web Archive and is intended for research purposes only. By viewing this page you are agreeing to the term of use. Any deviation in usage will jeopardize your potential access to this material in the future."

Access may also be limited based on content. If deemed inappropriate for the average user, a site may still be captured for preservation but will be made publically unavailable and thus restricted. Restriction of web content will be made based on the same consideration given to the restricting of printed and manuscript material. Access to restricted web content will only be granted on an individual basis and in most cases will require the researcher to be physically present at the L. Tom Perry Special Collections and undergo the same process for accessing restricted material as currently practiced with the printed and manuscript collections.

Please direct any concerns or complaints to BYU's Copyright Licensing Office by contacting them through phone: 801-422-9339, email: copyright@byu.edu, or visiting their webpage at: <http://lib.byu.edu/sites/copyright/>. If you are an owner of content that has been harvested by the Web Archive and wish your material not be included in the Web Archive please use the above information to contact the Copyright Licensing Office with your concerns.

Appendix One:

11/20/12

EIGHT: Collecting Material Posted on the World Wide Web and Making It Available

Association of Research Libraries (ARL)

<http://www.arl.org/pp/ppcopyright/codefairuse/code/eight-collecting.shtml>

Code of Best Practices in Fair Use for Academic and Research Libraries

Code of Best Practices

EIGHT: Collecting Material Posted on the World Wide Web and Making It Available

Description

Gathering impressions of ephemeral Internet material such as web pages, online video, and the like is a growth area in academic and research library collection-building, with activities typically focusing on areas in which the institution has an established specialty, or on sites specific to its local area. Such collections represent a unique contribution to knowledge and pose no significant risks for owners of either the sites in question or third-party material to which those sites refer. In the absence of such collections, important information is likely to be lost to scholarship.

Selecting and collecting material from the Internet in this way is highly transformative. The collecting library takes a historical snapshot of a dynamic and ephemeral object and places the collected impression of the site into a new context: a curated historical archive. Material posted to the Internet typically serves a time-limited purpose and targets a distinct network of users, while its library-held counterpart will document the site for a wide variety of patrons over time. A scholar perusing a collection of archived web pages on the Free Tibet movement, or examining the evolution of educational information on a communicable disease, seeks and encounters that material for a very different purpose than the creators originally intended. Preserving such work can also be considered strongly transformative in itself, separate from any way that future patrons may access it. Authors of online materials often have a specific objective and a particular audience in mind; libraries that collect this material serve a different and broader purpose and a different and broader network of users. Libraries collect not only for a wide range of purposes today, but also for unanticipated uses by future researchers.

Principle

It is fair use to create topically based collections of websites and other material from the Internet and to make them available for scholarly use.

Limitations

- Captured material should be represented as it was captured, with appropriate information on mode of harvesting and date.
- To the extent reasonably possible, the legal proprietors of the sites in question should be identified according to the prevailing conventions of attribution.
- Libraries should provide copyright owners with a simple tool for registering objections to making items from such a collection available online, and respond to such objections promptly.

Enhancements

- Claims of fair use relating to material posted with “bot exclusion” headers to ward off automatic harvesting may be stronger when the institution has adopted and follows a consistent policy on this issue, taking into account the possible rationales for collecting Internet material and the nature of the material in question.
- The more comprehensive a collection of web impressions in a given topic area is, the more persuasively the inclusion of any given item can be characterized as fair use.

[—> Next: Credits](#)

[<— Previous: SEVEN: Creating Databases to Facilitate Non Consumptive Research Uses \(Including Search\)](#)

Appendix Two:

Web Capturing and Archiving¹ Agreement (Draft)



Brigham Young University (BYU)
Harold B. Lee Library
L. Tom Perry Special Collections
1130 Harold B. Lee Library
Provo, Utah 84602

Agreement Date:

This Web Archiving Agreement ("Agreement") is entered into on the date set forth above between BYU, and:	
Web Content Owner's name(s) (collectively "Owner"):	
Telephone number(s):	
Address(es):	
E-mail address(es):	
Birth date(s) (dd/mm/yyyy):	
Website Name:	
Website URL:	
Detailed Description of Web Content Being Captured and Archived (collectively "Web Content"): Please include a description of the textual, visual, or aural content that is encountered as part of the user experience on the website to be Archived. The Web Content may include, among other things: text, images, animations, hyperlinks to third-party websites, and audio and video content.	

¹ Web Archiving is the capturing and preservation of selected websites that are of interest to the L. Tom Perry Special Collections Web Archive and that is of benefit and use to current and future researchers.

TERMS. Owner agrees to allow BYU to capture the Web Content as described above for archiving and distribution by the L. Tom Perry Special Collections Web Archive for education, private study, and research ("educational purposes"). The Owner agrees to allow the Web Archive to periodically capture Web Content to document changes.

This Agreement provides the legal permissions and warranties needed to allow BYU to capture, archive, preserve, and make accessible, in a variety of formats and media now known or later developed, Web Content maintained by the Owner. This agreement permits use of the captured and archived Web Content only for non-commercial purposes, research, private study, and educational purposes.

This is a non-exclusive agreement, which ensures that Owner rights are not transferred by this agreement. The Owner retains copyright and intellectual property rights and is free to use or publish the Web Content elsewhere.

Cataloging information and documentation can be publicly available but access to the captured and archived Web Content will only be available to authorized users who have agreed to abide by access conditions set by the L. Tom Perry Special Collections unless the Owner has stated that the Web Content can be available to any user.

It is understood that the Web Content may contain third-party copyrighted material and/or links.

MODIFICATIONS. BYU or its authorized users may not modify or change or create a derivative work of the captured and archived Web Content in any manner.

WARRANTIES. Web Content is captured and archived "as is" without warranty of any kind, either expressed or implied. In no event will BYU be liable for direct, indirect, special, incidental, or consequential damages that are in any way related to Web Content.

NO COMPENSATION. Owner acknowledges and agrees that Owner shall not receive any monetary compensation in exchange for the captured and archived Web Content.

In consideration of the mutual promises and covenants herein contained, and for other good and valuable consideration, Owner and BYU indicate their agreement with the descriptions and terms above, and with the Terms, by signing below:

Brigham Young University L. Tom Perry Special Collections Web Archive

Print Name: _____ Date: _____

Signature: _____

Web Content Owner

Print Name: _____ Date: _____

Signature: _____

For Internal Use Only

Item received by:	Date:
Acknowledged by:	Disposition:

Walt Whitman Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Walt Whitman Collection is one of five research collections covering a specific author housed in Special Collections. Whitman was the foremost American poet of the 19th century, and the Walt Whitman Collection complements Special Collections' other collections by major figures in 19th century American and British literature.

II. Position Responsible for Collecting Decisions

The Curator of Rare Books is responsible for collecting the material contained in the Walt Whitman Collection.

III. Scope and Focus of Collecting

The Walt Whitman Collection is comprised of primary and secondary works relating to the life and career of author Walt Whitman. The collection supports teaching and research through the Ph.D. level in 19th century American literature and 19th century American history.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

The collection seeks to collect editions of Whitman's poetry, prose, and correspondence and secondary sources on Whitman, his life, and his works, including criticism and reference works.

ii. Major Faculty Research Interests

The Walt Whitman Collection supports major faculty research interests in 19th century American literature and American history as well as book history.

b. Limitations

Though Special Collections owns manuscript material created by Whitman, the Walt Whitman Collection is primarily a print collection and time and financial resources will be devoted to developing print holdings only.

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Walt Whitman Collection at a level which supports undergraduate and graduate-level teaching and research.

b. Specific Delimitations

i. Type

Collected at a comprehensive level: American and British editions of works by Walt Whitman.

Collected at a research level: Secondary works about Walt Whitman, including biography and criticism; adaptations and parodies; and depictions in popular culture. Artists' books and children's books incorporating Whitman's poetry.

Collected at a teaching level: Secondary works on contemporaries of Walt Whitman which devote major portions to discussion of the life and literature of Whitman.

Collected at a representative level: Translations of works by Walt Whitman.

ii. Physical Format

Collected at a research level: Monographs, periodicals

Collected at a teaching level: Ephemera, video recordings. Reprints of secondary works are added to the collection only if the original cannot be obtained for the collection.

Collected at a representative level: Print-on-demand editions, ebooks.

Excluded: Realia.

iii. Date

Subject to limitations outlined above, any imprint date is collected, but generally 1830-present.

iv. Geographical focus

Collected at a research level: United States, Great Britain

Collected at a representative level: Materials published elsewhere in the world

v. Subject Emphasis

Collected comprehensive level: Whitman's prose and poetry, correspondence.

Collected at a research level: Walt Whitman – biography, criticism and interpretation, bibliography, influence, travels, homes and haunts

Collected at a teaching level: Whitman’s contemporaries, sources

vi. Languages

Collected at a research level: English

Collected at a representative level: Languages other than English

VI. Deaccessioning Guidelines

The Curator of Rare Books will make proposals to deaccession materials to the Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Walt Whitman Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Individuals

The Curator of Rare Books is responsible for collecting the material contained in the Walt Whitman Collection. The English Language & Literature librarian is responsible for collecting duplicate copies of literature by and about Whitman for the general stacks. This is done with coordination and cooperation on the part of the two librarians.

Fine press editions of Whitman’s works are acquired in consultation with the Curator of the Fine Press Collection. Manuscript material created by or related to Whitman falls under the Literary Manuscripts Collection Development Policy and would be acquired by the Curator of 19th Century Mormon and Western Manuscripts in cooperation with the Curator of Rare Books.

VIII. Revisions

Whitman Collecting Policy, Nov. 2010

William A. Wilson Folklore Archives Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. *Introduction*

The Wilson Folklore Archives is the repository of folklore primarily consisting of Brigham Young University student submissions. The initial donation came from folklore professor William A. Wilson. The donation consisted of student course assignments from folklore courses taught at Utah State University and Brigham Young University. As a part of the current folklore curriculum, students submit their work to the archives each year. Projects directed by the curator, faculty papers, and material acquired or donated by the public are also a part of the holding of the folklore archive.

Originally part of the English Department, the archives were donated to the library by William A. Wilson and became part of L. Tom Perry Special Collections in 1999. Wilson created the archives and was the original director. He also served as English Department Chair at Brigham Young University and the Director of the Charles Redd Center for Western Studies.

II. *Position Responsible for Collecting Decisions*

The curator of the Wilson Folklore Archives is responsible for selecting materials to be acquired by the Wilson Folklore Archives.

III. *Scope and Focus of Collecting*

The Wilson Folklore Archives seeks to support teaching and research in the following major areas of emphasis:

- a. BYU student-generated folklore
- b. Mormon folklore
- c. Western folklore
- d. Religious folklore
- e. Field research and personal papers of folklorists associated with Brigham Young University

IV. *Priorities and Limitations*

a. *Priorities*

i. *Areas of Specialization*

- 1. BYU student-generated folklore
- 2. Mormon folklore
- 3. Utah folklore

4. Field research and personal papers of folklorists associated with Brigham Young University

- ii. Major Faculty Research Interests

1. Mormon folklore
2. Western folklore

- b. *Limitations*

- i. Folklorist papers will be limited to those with ties to Brigham Young University

V. *General Selection Guidelines*

- a. *Treatment of Subject Depth*

1. BYU student-generated folklore: Comprehensive level
2. Mormon folklore: Research level
3. Western folklore: Teaching level
4. Religious folklore: Teaching level
5. Field research and personal papers of Folklorists associated with Brigham Young University: Teaching level

- b. *Specific Delimitations*

- i. *Type*

Manuscripts and related materials are collected.

- ii. *Physical Format*

Research level

Text-based manuscripts

Teaching level

Photographs and audio-visual records

Other related objects pertaining to the study of folklore selectively

- iii. *Date*

1960-present

- iv. *Geographical focus*

Students: Worldwide (Research level)

Curator: Worldwide (Teaching level)

v. *Subject Emphasis*

Comprehensive Level

BYU Student-generated folklore

Research level

Mormon folklore

Teaching level

Western folklore

Religious folklore

Field research and personal papers of Folklorists associated with
Brigham Young University

vi. *Languages*

English: Research level

Languages other than English: Representative level

VI. *Deaccessioning Guidelines*

The curator of the Wilson Folklore Archives may present a proposal to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Wilson Folklore Archive collecting policy.

VII. *Cooperation with other Institutions*

The Wilson Folklore Archives has a close working relationship with the Fife Folklore Archives at Utah State University.

VIII. *Revisions*

Collection policy of the William A. Wilson Folklore Archives, June 13, 2019.

19th Century Mormon and Western Manuscripts Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

Collections of manuscripts related to 19th Century Mormon and Western America have been a part of BYU Special Collections since the department began in 1956, and have been known by different names, most recently The Archives of the Mormon Experience and Archives of Utah and the American West. These two collections have now been combined to make the 19th Century Mormon and Western manuscripts collection.

The collection provides a breadth of primary sources for BYU faculty and students, particularly those researching or who have an interest in early Mormon, Utah, and Western American history. The collection also supports research interests of general patrons with an interest in early Mormon, Utah, and Western American history, including genealogists and family historians.

II. Position Responsible for Collecting Decisions

Curator of 19th Century Mormon and Western Manuscripts

III. Scope and Focus of Collecting

History of The Church of Jesus Christ of Latter-day Saints, 1830-1930; 19th Century history and settlement of Utah, surrounding states, and the American West in general.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

1. LDS cultural, family, social, intellectual, mission and religious history
2. LDS ethnic and minority history
3. LDS women's history
4. Utah and Western American cultural, family, social, intellectual, and religious history
5. Utah political history
6. Utah and Western American business and labor history
7. Utah and Western American environmental history
8. Utah and Western American ethnic and minority history
9. Utah and Western American women's history

ii. Major Faculty Research Interests

All disciplines within the University concerned with the historical experience of the Latter-day Saints, the history of Utah, and the history of the American West make use of L. Tom Perry Special Collections manuscript and archival collections, with heaviest use coming from History, Religion, American Studies, Sociology, Anthropology, English, Communications, Political Science, and Humanities.

b. Limitations

Special Collections will not openly collect official LDS Church corporate records, but will recommend such records be submitted to the LDS Church History Department.

Specifically, by agreement with The Church of Jesus Christ of Latter-day Saints, the papers of all General Authorities who were living on January 1, 1976 and thereafter are to be preserved in the LDS Church History Department, except when extenuating circumstances make it impossible to follow this policy and the Church History Department executives and the University Librarian agree that a person's papers would be more appropriately preserved elsewhere.

V. General Selection Guidelines

a. Treatment of Subject Depth

19th Century manuscripts and records support research needs and requirements for undergraduate and graduate students, faculty and scholars, researchers, family historians and genealogists, and community members.

b. Specific Delimitations

i. Type

Historical, archival, and manuscript materials of any type will be collected.

ii. Physical Format

Primary source materials, and unique historical, archival, and manuscript materials will be collected, including, but not limited to, manuscripts, photographs, journals, diaries, scrapbooks, letters and correspondence, records and archives, printed ephemera, and electronic resources and assets with 19th Century content; and, selected artifacts for exhibition purposes.

iii. Date

Primary focus is 1830-1930, the first one hundred years of The Church of Jesus Christ of Latter-days Saints. See separate collection development policy for materials that are pre-1830.

iv. Geographical focus

1. Utah County: Collected extensively
2. Central Utah: Collected extensively
3. Southern Utah: Collected moderately

4. Utah (general): Collected moderately
5. The Great Basin: Collected moderately
6. The Colorado Plateau: Collected moderately
7. The Inter-Mountain West: Collected moderately
8. The United States (general): Collected selectively
9. The World, with a particular emphasis on “regions” or “pockets” of LDS membership: Collected selectively

v. Subject Emphasis

1. LDS cultural, family, social, intellectual, mission and religious history

Historical collections and materials that document the lives and careers of individual Latter-day Saints and Latter-day Saint families. Historical collections and materials that document the cultural and social history of The Church of Jesus Christ of Latter-day Saints. Historical collections and materials that document the religious experience of Latter-day Saints. Historical collections and materials that document the experiences of Latter-day Saint missionaries.

Collected extensively

2. LDS ethnic and minority history, including primarily the historical collections of LDS ethnic and minority groups in Utah, the West, the United States, but may also include international groups selectively.

Collected moderately

3. LDS women’s history, including primarily historical collections representative of LDS women in Utah, the American West, and the United States, but may also include international LDS women selectively.

Collected moderately

4. Utah and Western American cultural, family, social, intellectual, and religious history

Historical collections and materials that document the lives and careers of individuals and families from Utah and the American West. Historical collections and materials that document the cultural, social, and religious history of Utah and the American West.

Collected extensively

5. Utah political history, including the historical collections of Utah politicians, grass roots political movements, etc. Materials to be collected include manuscript and archives collections.

Collected moderately

6. Utah and Western American business and labor history, including the historical collections of Utah and Western American businesses and labor groups, particularly those historical materials that document or chronicle important trends or movements in Western American economic and labor history.

Collected moderately

7. Utah and Western American environmental history, including historical materials and collections that document environmental change; water use; environmental activism; and mining, ranching, and agriculture in Utah and the West.

Collected moderately

8. Utah and Western American ethnic and minority history, including the historical collections of ethnic and minority groups in Utah, the West, and the United States.

Collected moderately

9. Utah and Western American women's history, including historical collections representative of women in Utah and the American West.

Collected moderately

vi. Languages

1. English: Collected extensively.
2. Spanish: Collected moderately.
3. Other world languages: Collected selectively.

VI. Deaccessioning Guidelines

The Curator for 19th Century Mormon and Western Manuscripts may present a proposal to deaccession material to the L. Tom Perry Special Collections Board of Curators. Materials may be deaccessioned if they do not comply with the 19th Century Mormon and Western Manuscripts Collection Development Policy.

VII. Cooperation with other Institutions

Special Collections collaborates closely with our Harold B. Lee Library colleagues, and, in specific cases, allied subject specialists, including, but not limited to, American history, LDS Church history, Women's Studies, Engineering, Science, Anthropology, Latin American Studies, Maps, Film and Media, and Literature.

Special Collections collaborates and cooperates with other libraries and archives and we endorse and support collaborative and cooperative projects that promote access to shared cultural resources.

Special Collections will recommend donors and records creators to submit records to other institutions if they do not comply with the 19th Century Mormon and Western Manuscripts Collection Development Policy and more closely fit collecting policies of another institution.

VIII. Revisions

1. The collecting policies for The Archives of the Mormon Experience and Archives of Utah and the American West were combined to make this policy, by Ryan K. Lee, November 12, 2013.

Yellowstone National Park Collection Development Policy

L. Tom Perry Special Collections
Harold B. Lee Library
Brigham Young University

I. Introduction

The Yellowstone Collection had its genesis as a gift from A. Dean Larsen and his wife, Jean in 2000. They donated their substantial collection of books, maps, photographs, and other materials related to Yellowstone National Park. Curators have continued to add to the collection making it one of the finest institutional collections related to the park in the western United States.

II. Position Responsible for Collecting Decisions

The curator of the Yellowstone National Park Collection

III. Scope and Focus of Collecting

History of Yellowstone National Park with an emphasis from its founding in 1872 until the present. Pre-history of the park is also collected.

IV. Priorities and Limitations

a. Priorities

i. Areas of Specialization

1. Transportation in the park
2. Tourism and the park
3. Wildlife and the park
4. Fur trade and the park
5. Geology of the park
6. Thermal features of the park
7. Geography of the park
8. Ecology of the park

ii. Major Faculty Research Interests

The Yellowstone National Park Collection supports faculty research in the history of the fur trade, early U.S. Western exploration, and the national park movement.

b. Limitations

V. General Selection Guidelines

a. Treatment of Subject Depth

Special Collections seeks to collect for and maintain the Yellowstone National Park Collection at a level which supports undergraduate teaching and research.

b. Specific Delimitations

i. Type

Collected at a teaching level: Primary and secondary sources documenting the history and pre-history of Yellowstone National Park.

ii. Physical Format

Collected at a teaching level: Monographs, manuscript and archival material, maps, photographs, ephemera, selected microforms

iii. Date

Collected at a teaching level: 1872 to the present

Collected at a representative level: pre-history of Yellowstone National Park

iv. Geographical focus

Collected at a teaching level: Yellowstone National Park

v. Subject Emphasis

Collected at a teaching level: Yellowstone National Park—description and travel; Yellowstone National Park—history; Yellowstone National Park—natural history; Yellowstone National Park—geology; Yellowstone National Park—geography; Yellowstone National Park—ecology; Yellowstone National Park—tourism.

vi. Languages

Collected at a teaching level: Primarily in English

VI. Deaccessioning Guidelines

In accordance with current deaccession policies, the Curator of the Yellowstone National Park Collection will make proposals to deaccession materials to the L. Tom Perry Special Collections Coordinating Committee. Materials may be deaccessioned if they do not comply with the Yellowstone National Park Collection collecting policy or if they are duplicates of material already in the collection.

VII. Cooperation with other Institutions

The Curator of the Yellowstone National Park Collection works collaboratively with the other curators and subject librarians in the Lee Library to collect and maintain the Yellowstone National Park Collection. The Curator also collaborates with professionals at other institutions collecting materials related to the park.

VIII. Revisions

2021 Accreditation Report
Library and Information Resources
Section on Library Instruction Plan

August 2020

Instruction is a significant role within the library services provided to students and faculty. The instruction takes place in formal classrooms and in individual settings such as at help desks and in subject expert offices. ARL Presentation stats highlight the variety of ways librarians integrate with the teaching faculty in helping students learn critical information literacy skills.

- https://files.lib.byu.edu/statistics/2019/library_stat_summaries_2019_presentations.pdf
- <https://lib.byu.edu/services/?categories=help-and-guidance>
- <https://lib.byu.edu/special-collections/>
- <https://lib.byu.edu/library-instruction/>
- <https://brightspotcdn.byu.edu/d4/00/1fdb417a4555a56625388ad53917/awoc.pdf>
- <https://brightspotcdn.byu.edu/f6/da/901f341d4991b0726c2951a52885/first-year-writing.pdf>

Online tutorials provide students with instruction on information literacy skills. The tutorials are used as a blended approach to formal class instruction in the First-Year Writing and Advanced Written and Oral Communications General Education classes. <https://ysearch.lib.byu.edu/>

The library has eight formal teaching spaces. Each provides technology and classroom design to enhance learning and encourage teachers to incorporate active learning in their lesson plans. (Find pictures of 2231 and 2232, 2210/2212). Our newest teaching space is the Experiential Studio. It is an interdisciplinary space where students and faculty can work together on solving problems through design thinking and interdisciplinary research. <https://lib.byu.edu/services/experiential-studio/>

Subject specialists provide research services and formal class instruction to students within their disciplines. Students learn how to navigate the information resources available for their major and professional interests. <https://lib.byu.edu/guides/>

The Research and Writing Center (RWC) is a collaborative service that partners with the College of Humanities and the Writing Center to provide students with peer tutoring in research and writing skills. Students come to the RWC for help on a particular assignment but the peer tutors focus on teaching students to recognize the gaps in their knowledge and build skills that will help them manage their own research and writing needs. <https://lib.byu.edu/services/research-and-writing-center/>

Assessment

Our instruction and curriculum are based on the professional library standards. We are currently teaching skills related to the ARCL Framework for Information Literacy for Higher Education (<http://www.ala.org/acrl/standards/ilframework>) We assess student satisfaction on a regular basis to improve our teaching and we participate in appropriate national research studies to see how our students compare to their peers at other academic institutions. In 2019 we participated in the HEDS

research project. This initial round of testing was used to assess if the test provide sufficient information to design a larger study. Less than 300 participants completed the survey and the Library Assessment Office's review of the results suggested that students performed at the same level whether they had library instruction or not. This would be an interesting line of research to pursue and plans are being developed to design a research study and participate in the HEDs research in Fall 2021. Report: https://intranet-lib-byu-edu.erl.lib.byu.edu/images/8/8f/2018_HEDS_RPS_summary_report.pdf

In 2017 we participated in the testing of a new national information literacy test called *Threshold Achievement Test for Information Literacy (TATIL)*. We used three tests: Evaluating Process and Authority, Strategic Searching, and Research and Scholarship. These tests were under development and only 17 students participated. However, we were able to see some trends in the data collected to make this a useful tool and worth repeating as the test improves. (See Appendix A for the three reports)

We use these assessments to provide teacher development training for those who teach information literacy skills. Teacher development is an important part of the successful library instruction programs offered at BYU. Students are trained on a weekly basis to improve their skills and provide important feedback on assisting students with their research. Once a month during fall and winter semesters a library-wide training is offered to all student employees providing service at a public desk. These trainings provide a way to improve a consistent patron experience.

Other teacher trainings are offered to assist faculty and staff as they prepare to teach their courses. Once a month during Fall and Winter semesters a topic, such as evaluating sources, is selected. All are invited to attend and participate. The format of the training includes a brief overview of the topic, an activity to apply the concept being taught, and time for discussion. These trainings are kept to 50 minutes and generally 20 teachers attend the session.

Training that is specific to a particular course is also offered. Writing 150 is one of the largest programs with approximately 120 sections in Fall, 90 in Winter, and 30 in Spring/Summer terms. Each semester a teacher training is arranged prior to the start of the library instruction sessions. The goal is to improve teaching performance and instill confidence in working with the students. Twenty to twenty-five teachers participate in the training. They receive updated information on procedures or curriculum, discuss the needs of the students enrolled in the freshman writing course, and assist each other in solving teaching struggles or providing new ideas for presenting a concept.

Campus Planning and Use Committee

The Campus Planning and Use Committee reviews, for recommendation to the President's Council, all matters pertaining to the long-range university facility planning and development, project prioritization, construction, remodeling, maintenance, funding issues, CNA, square footage, landscaping, utilization of any campus facility, signage, traffic, etc. This committee meets twice per month.

Charter:

Campus Planning and Use Committee

(<https://committee.byu.edu/system/files/Campus%20Planning%20and%20Use%20Committee%20Charter.pdf>)

Responsible Officer:

Steve Hafen, Administration Vice President and CFO

Chair:

Steve Hafen, Administration Vice President and CFO

Secretary:

Alecia Garzand, Secretary to Ole Smith

Members:

- Ray Bernier, Physical Facilities
- Tracy Flinders, Information Technology Vice President and CIO
- Julie Franklin, Student Life Vice President
- Larry Howell, Associate Academic VP – Research and Graduate Studies
- Shane Reese, Academic Vice President
- Sandra Rogers, International Vice President
- Steve Sandberg, Assistant to the President and General Counsel
- Ole M. Smith, Assistant Administrative Vice President – Physical Facilities
- Keith Vorkink, Advancement Vice President

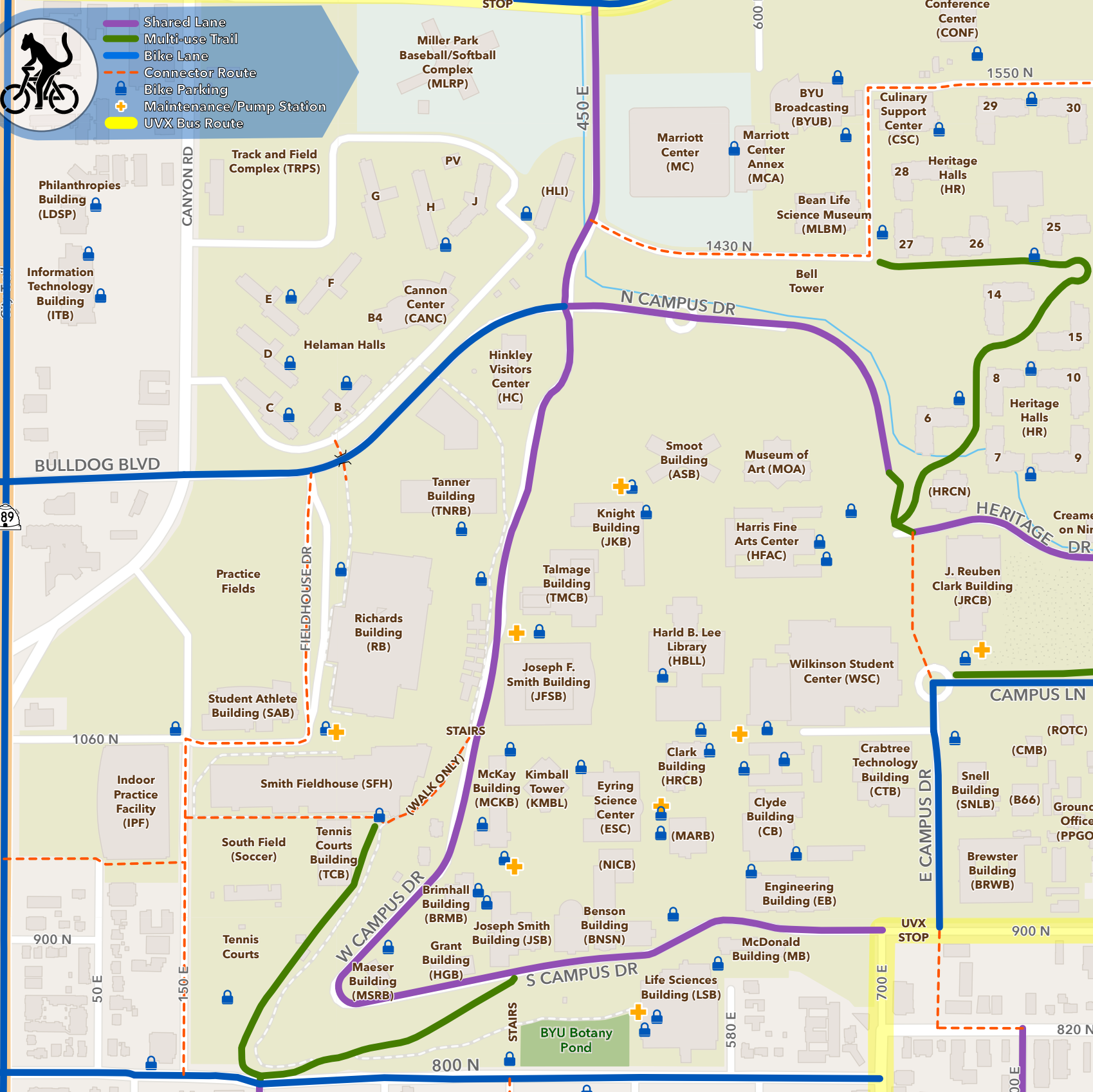
BRIGHAM YOUNG UNIVERSITY

Provo, UT 84602, USA

801-422-4636

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[Privacy Notice](#)





Risk Management and Safety Policy



The Risk Management and Safety Department has responsibilities in the following areas:

Air Quality	Noise Exposure
Asbestos	OSHA Compliance
Automobile Accidents	Pressure Vessels
Biological Safety	Property Loss
Bonds	Public/Employee Accidents
Environmental Protection	Radiation Safety
Fire and Laser Safety	Substance Abuse
Hazardous Materials	Waste Water
Insurance and Certificates	Water Quality
Liability Claims	Workers' Compensation
Workers' Safety	Workers' Compensation Eligibility for Work-Related Blood-Borne Exposures

For safety information or specialized safety training (Driver's Awareness Program, Respiratory Protection, Hearing Conservation, etc.), please contact the Risk Management and Safety Department, ext. 2-4468.

Air Quality

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The Risk Management and Safety Department is responsible to assist departments in meeting applicable indoor air quality standards and in monitoring air quality in campus buildings.

Asbestos Management

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The University has a program designed to eliminate or minimize possible exposure of students and personnel to asbestos fibers. Physical Facilities has an Asbestos Program Manager, who coordinates all asbestos removal projects. The Risk Management and Safety Department assists the Physical Facilities Department in asbestos management.

Automobile Accidents

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The Risk Management and Safety Department handles all BYU vehicle accident claims. Each department is responsible to have the driver of a University, personal or rental vehicle, being used in University business, and involved in an accident, notify the Risk Management and Safety Department within 24 hours and send to the department a completed "Driver's Accident Report" form within 72 hours. Call the Risk Management and Safety Department, ext. 2-4468, to obtain Drivers Accident Report forms. If the accident involves injuries, Risk Management and Safety should be notified immediately (after regular office hours call 372-3516). (See Motor Vehicle Accident Policy for further information.)

Repair of body damage on department vehicles being sold will be charged to the department, unless the damage has been reported to Risk Management and Safety within a reasonable length of time.

Biological Safety

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Infectious Waste Management

All personnel who work with infectious material (body fluids from humans or animals possibly infected with blood-borne diseases) shall be familiar with the safety precautions and required procedures contained in the Infection Control Plan. Following these procedures will help prevent occupational exposure to blood-borne diseases such as AIDS and Hepatitis B. This manual has application to medical activities in the Health Center, animal (veterinary) activities and other departments conducting blood assay work or research. The Bio-Safety Committee issues this publication which contains sections on:

Exposure reports	Labels and warning signs
Handling protocols	Sharp object disposal
Hepatitis vaccination	Training requirements
Infection Control Plan requirements	Waste disposal

Contact the Risk Management and Safety Department for answers to questions about the Infection Control Plan.

Bonds

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The Risk Management and Safety Department secures and centrally maintains all bonds requested by University departments. These bonds guarantee to the requestor(s) that specified parties will meet certain conditions or contractual obligations.

Requestors are to:

- Inform Risk Management and Safety of all requests for bonds or fidelity insurance, and provide:
 - A copy of the instrument that calls for the issuance of the bond.
 - The complete name and address of the department or person needing the bond, the type and amount of bond required, and the starting date.
 - Notification to Risk Management and Safety whenever existing bonds are no longer required.
- Notify Risk Management and Safety, ext. 2-4468, immediately of any suspected embezzlement, fraud or occurrence of other conditions covered by a bond.

Risk Management and Safety will:

- Order the bond.
- Confer with Legal Counsel on any bond request that represents a departure from accepted University principles and practices.
- Forward the original bond to the department or person named therein and send a copy of the transmittal letter to the ordering department.
- Handle all demands for settlement provided by a bond.

Please refer questions about bond management to ext. 2-4468.

Environmental Protection

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BYU's Environmental Management Program affirms its commitment to comply with all applicable federal, state and municipal environmental laws, and provides for appropriate management review to monitor that compliance. The President of the University is responsible for the program and has directed the University Environmental Safety Officer as the key environmental compliance officer (ESO). The ESO reports major environmental changes, concerns, and audit results directly to the applicable line vice president.

Fire Safety Management

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The University complies with all applicable fire and building safety laws.

Open Flame/Candles/Liquid Fuel/Fireworks/Sky Lanterns/Pyrotechnic Special Effects/Blank Shots on Campus (updated 17 June 2013)

Risk Management and Safety supervises the use of open flame on campus by any performing or touring group.

The University does not permit the use of liquid-fueled table decorations.

The burning of candles in places of assembly is not permitted. Groups may use electrical devices that closely simulate candles. The use of candles in approved containers as table decorations in established food-serving areas is acceptable. A protective container of non-combustible construction must completely encircle the flame. The surrounding decorations and table coverings must not be of a highly flammable material. Table decorations containing lighted candles may not be moved from the table for any purpose.

Open flame and flammable liquids are not permitted in residence hall buildings. The Fire Marshal must approve any temporary deviation from the fire codes.

The possession or use of fireworks, sky lanterns, pyrotechnic special effects, or blank shots is strictly prohibited on university property except as authorized by the university Fire Marshal. As used in this policy the term "fireworks" has

the meaning attributed to that term in Utah Code § 53-7-202(10). As used in this policy, the term "blank shots" refers to the use of a gun or gun facsimile to fire a gunpowder charge from a cartridge without discharging a bullet.

Fire and Laser Safety for Performance Groups

Non-BYU Performers

The University representative who contracts performing groups or entertainment activities at BYU is responsible to:

- Determine in advance of the formal contract if the group intends to use fire, open flame fireworks, lasers, or any combustion ("fire act") as part of the proposed performance or entertainment activity.
- Obtain and forward to the Risk Management and Safety Department at the earliest possible date a detailed, written description of the fire or laser act(s).
- Arrange a meeting with the performer's representative and a member of the Risk Management and Safety Department before the performance to review and evaluate the hazards involved.
- Inform the performer's agent when and where BYU permits fire or laser acts.
- Have the group representative sign an agreement with the University, which stipulates the group or its insurance carrier will indemnify the University for any personal injury or property damage resulting from the fire or laser act. Exception: The University may accept liability if such injury or damage results from the negligence of the University or if the University expressly and in writing agrees to assume responsibility for fire or laser acts performed at the invitation of the University.
- Notify the representative of the performing group that BYU does not permit storage of liquid fuels for performance apparatuses in its buildings. BYU requires proper security and fire prevention measures of performing group personnel.
- Inform the visiting group representative that the University does not permit smoking in buildings or within 25 feet of fueling operations or charged devices.

All fueling or charging of flaming devices must take place outside of buildings and at least 25 feet from the nearest building. Fueled devices must be placed in a covered metal container before taking them into the building. Immediately after using the devices, the performer must return them to the covered metal container and remove them from the building.

Risk Management and Safety will permit only those acts that follow standards.

Polynesian-Type Fire Acts

When permitted on campus, groups with Hawaiian-type fire acts will present them out-of-doors or in the Marriott Center only. The group must take the following precautions:

- The backdrop will be in the up or stowed position during the entire fire act.
- A suitable covering must be placed over the performance area to protect the floor from damage. The covering is to be of a flame retardant material or treated with an approved fire retardant solution.

BYU Performers

University performers must observe the same precautionary rules and regulations required of traveling groups. It is not necessary, however, for University performers to execute an indemnify agreement to the University for injuries and damages resulting from the use of fire during performances.

Hazardous Materials

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The University through Risk Management and Safety shall account for, identify, and instruct all personnel concerning the acquisition, use and disposal of all hazardous materials that could cause health and/or environmental problems because of ignitability, corrosivity, reactivity, and/or toxicity defined by the state and federal laws and regulations. The University shall comply with all applicable fire and building safety rules, laws, and regulations. Call the Risk Management and Safety Department, ext. 2-5779, for further information and training.

All personnel working with hazardous materials in areas where hazardous materials exist or where certain hazardous

conditions exist shall wear the appropriate personal protective equipment. Examples of personal protective equipment are, but are not limited to, eye and hearing protection, hard hats, protective clothing, respirators, etc.

All personnel are responsible to observe special procedures for obtaining acids, caustics, hazardous solvents, etc., from the Chemistry Central Stockroom. Users must place these materials in approved, securely covered plastic pails before transporting them to the place of work. Personnel must use approved safety pails and lids to move hazardous liquids from one building to another or from one floor to another within the same building.

The Chemistry Central Stockroom provides safety pails on a loan or purchase basis.

Acquisition/Receipt of Hazardous Material

See the [Purchasing Department Policy](#).

Dispensing/Storing Flammable/Hazardous Materials

Storage of flammable and combustible liquids (including those used in office equipment, maintenance, demonstration, treatment, and laboratory work) is limited to those amounts required for the day's operation. Personnel must keep all flammable liquids, not actually in use, in UL-approved flammable liquid containers and store these containers in approved flammable liquid storage cabinets.

The policy for flammable liquid handling, storage and disposal on all BYU properties is described in detail in the BYU Flammable Liquid pamphlet. This pamphlet is available from the Risk Management and Safety Department.

Mailing Hazardous Materials

All packages containing hazardous materials originating from BYU must follow Department of Transportation regulations. Departments desiring to mail hazardous materials must notify the Risk Management and Safety Department as soon as possible before the date of shipment. Notification must be no less than 24 hours before shipment.

Responsible departments/individuals shall notify the Risk Management and Safety Department of the name, quantity, physical state, unusual hazards or precautions concerning shipping hazardous material. In most cases a Material Safety Data sheet provides this information. Departments are responsible for completing the paperwork before shipment. The Risk Management and Safety Department will give assistance and check the packaging before shipping.

Disposal of Hazardous Materials & Wastes

Each laboratory/area supervisor, principal investigator, or department is responsible for monitoring, logging in, and correctly disposing of all hazardous chemical wastes through the Hazardous Waste Officer. Hazardous waste cannot be sent to the Provo transfer station.

Users must account for, correctly label, and coordinate the transportation of all chemical wastes, used solvents, reaction flask residues, etc., which can be burned, with the Chemical Management Officer, 101 CMB, ext. 2-6156, who ships to an EPA-approved incinerator. If burning is not an option, the Hazardous Waste Officer will ship it to an EPA-approved landfill. The individual or department does not pay the costs of disposing of chemical waste, but should handle its generation and disposal in a legal and responsible manner.

Users must acquire only minimum quantities of reactants to reduce resultant wastes and excessive storage in laboratories.

Wastes collected for disposal fall into several broad classes and are disposed of according to those classes as follows:

Acid/Bases

Users of acid bases must keep these in separate containers with contents noted on a log kept for each container. Mineral acids and bases should be kept separate from organic acids and bases. NOTE: Acetic acid is an organic acid - small amounts of acids and bases can be neutralized and flushed down the drain with plenty of water. Materials that may be handled this way CANNOT contain any heavy metals or organic materials. Materials with a pH less than 5.5 or greater than 8.5 cannot be disposed of in the sanitary waste system.

Biological Wastes

Biological waste CANNOT be shipped with chemical waste. Chemical waste that is contaminated with biological waste must be handled as biological waste through the Risk Management and Safety Department, ext. 2-4468. This material is usually burned or autoclaved.

Chlorinated Solvents

Chlorinated solvents or compounds that contain a halogen are to be disposed of separately in a chlorinated solvent

container with a notation in a log for that particular container. Because of the potential for hydrogen chloride formation, the incinerators that handle these materials must be equipped with scrubbers. Chlorinated solvents are suspected carcinogens and should be handled with extreme caution. Cancer risk reduction is achieved by substituting another

solvent, if possible, or avoiding inhalation of the vapors and skin contact through use of ventilation and protective equipment is required if substitution is impossible.

Flammable Solvents

Flammable include alcohols, ether, petroleum ether, hydrocarbons used as solvents, esters used as solvents, etc. These waste materials are bulked together into a flammable solvent container and are ultimately shipped for incineration. A log should be maintained to identify the contents of the container and amount of the contents. Three examples are:

- **ACETONE** - When acetone is used to rinse a residue from a reaction flask, it should be added to the flammable solvents container and noted in the log. When acetone is used to rinse wet glassware, as in cleaning glassware, it should be placed into a container as acetone/water or into a flammable solvents container. Acetone must not be allowed to go down the drains.
- **BENZENE AND TOLUENE** - Benzene and toluene are health hazards as well as flammables. If possible, it is advisable to substitute another solvent, particularly for benzene. When either solvent is used, it is disposed of as a flammable solvent along with the other flammable solvents and duly noted on the container log.

Radioactive Wastes

Radioactive materials are under the direct supervision of the Radiation Safety Officer of the Risk Management and Safety Department, ext. 2-4468 or 2-5779. Radioactive material CANNOT be disposed of by the Hazardous Waste Officer.

Reatives or Materials Requiring Special Handling

These include peroxides, strong oxidizers, stenchers, lacrymators, cyanides, water reactives, catalysts, alkali metals, certain carcinogens, etc. These materials must be handled with extreme caution as they are often incompatible with many of the other substances being disposed of or used in the laboratory. THEY SHOULD NOT BE MIXED WITH REGULAR FLAMMABLE WASTE.

Water Solubles

The Provo City Water & Waste Water Department has asked the University to not dispose of chemical waste through the local waste water system. Small quantities of neutralized mineral acids and bases are the ONLY exceptions.

CAUTION: WASTE CONTAINERS MUST BE LABELED AS TO CONTENT AND QUANTITY (MIXTURES NEED TO BE ITEMIZED), BE DATED, AND ACCOMPANIED BY A WASTE INFORMATION TAG WHEN THEY ARE SUBMITTED FOR DISPOSAL.

For any problem with a particular hazardous material, consult with the Chemicals Management Officer, ext. 2-6156, or the Risk Management and Safety Department. It is important that all hazardous material be handled in a responsible and legal manner.

Emergency Chemical Response

When a chemical spill or release occurs, the individual using the chemicals shall IMMEDIATELY notify the University Police, ext. 2-2222, or 911 (if there is immediate danger to life or health), and evacuate the affected area(s).

Hazard Communication

The purpose of the Hazard Communication Standard is to inform personnel about chemical hazards in the work place. The four major requirements of the Hazard Communication Standard include creating a written Hazard Communication Program, providing Material Safety Data Sheets (MSDS), providing training, and properly labeling containers.

All personnel who are and/or may become exposed to hazardous materials on the job shall complete a HAZCOM training course given by the University before doing any work which would potentially expose them to hazardous materials. Supervisors should complete both the Employee's and Supervisor's HAZCOM modules. This training is available in the Learning Resource Center located in the Lee Library, or is available by special arrangement with the Risk Management and Safety Department. The employee's department may perform this training subject to review and approval by the Risk Management and Safety Department.

In addition to the general training, each supervisor in charge of personnel working with hazardous materials shall provide these people with specific training before they undertake any assignment involving exposure to hazardous materials.

This specific training shall consist of educating the person in:

- The methods and observation techniques used to detect the presence or release of a hazardous material.
- The identification of physical and health hazards of the hazardous material.
- The use of MSDS available from Risk Management and Safety.
- The necessary protective measures, including but not limited to, safe work practices, emergency procedures, and personal protective equipment.

Laboratory Standard

The Laboratory Standard sets the safety policy and procedures for controlling and reducing the chemical hazards in laboratories. This Standard requires the University to have a Chemical Hygiene Plan which is managed by the Chemical Hygiene Officer. Contact the Risk Management and Safety Department for specific Laboratory Standard information.

Insurance and Certificates

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The Risk Management and Safety Department coordinates and purchases all insurance for BYU, BYU-Hawaii, Ricks College, and the BYU-Jerusalem Center. Colleges/departments should submit requests for insurance coverage to the Risk Management and Safety Department.

Certificates of Insurance

Certificates of Insurance are issued when requested by third parties furnishing facilities, equipment or services to BYU departments for University business, such as performance scheduling, research groups, etc. Certificates will not be issued for student projects or activities. Requests for Certificates of Insurance should be made to the Risk Management and Safety Department at least two weeks before the event date. Information should include: the name and complete address of the insured, the date and location of the activity, a description of the specified activity and the amount of insurance requested.

Field Trip Insurance

All participants of field trips must show proof of health and accident insurance or purchase field trip insurance through the Risk Management and Safety Department. Field trip insurance may also be required or desirable in addition to other insurance.

Automobile Insurance

University vehicles should be checked out and driven only by authorized individuals as outlined in the Vehicle Use Policy.

All employees with vehicles traveling into Mexico must acquire Mexican automobile insurance through the Risk Management and Safety Department.

Insurance Premiums

Premiums on policies that cover the total campus or broad sections of campus will be paid for by appropriations to Risk Management and Safety.

Premiums for policies approved by the Risk Management and Safety Department which cover individual positions, departments or sections will be charged to the department.

Insurance premiums for recreational or entertainment activities will be billed to the participants by the department or Risk Management and Safety.

Liability Claims

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The Risk Management and Safety Department receives and processes all liability claims for BYU. University personnel should refer all claim inquiries to the Risk Management and Safety Department. Personnel should avoid making ANY statements which would imply liability or payment responsibility.

Student projects, research and associated travel are the personal responsibility of the student, and the University is not responsible for injury or accident incurred in the completion of these activities.

Departments are responsible to immediately report serious accidents to the University Police and send a completed Student or Guest Report of Accident, if appropriate, to the Risk Management and Safety Department within 24 hours.

These forms are available from the Risk Management and Safety Department ext 2-4468. The University Police

These forms are available from the Risk Management and Safety Department, EXT. 2-1100. The University Police handles the initial accident investigation with support from the Risk Management and Safety Department.

The Risk Management and Safety Department will conduct further investigation to determine liability, processes appropriate payment, maintains claim information, and notifies General Counsel and the Administration of incidents having special conditions or litigation possibilities.

In general liability areas, BYU is self-insured to a specified limit, upon which excess liability insurance activates. BYU obtains other special insurance policies for approved activities and situations.

Noise Exposure

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The Risk Management and Safety Department oversees the Occupational Safety and Health Act (OSHA) Hearing Conservation Program, and, with the assistance of the Hearing and Speech Laboratory, monitors the noise exposure levels in campus buildings. Risk Management and Safety works with Media Services to monitor noise levels at special events.

Supervisors are required to ensure that proper hearing protection is used, where necessary. Call the Risk Management and Safety Department about the Hearing Conservation Program.

Occupational Safety and Health Act (OSHA) Compliance

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The Risk Management and Safety Department assists all departments in complying with OSHA safety regulations.

Pressure Vessels (Boilers, Autoclaves)

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The Risk Management and Safety Department coordinates with all departments the monitoring, licensing and insuring of pressure vessels.

Property Loss

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The Risk Management and Safety Department handles property loss for BYU in conjunction with the Church Risk Management Department's self-insurance program.

Colleges/departments should submit a written, detailed report of any loss of or damage to University property over \$100 to the Risk Management and Safety Department within one week. This report should contain information concerning the initial purchase and replacement information and costs. EXCEPTION: All incidents involving loss greater than \$5,000 should be reported immediately BY TELEPHONE, then by MEMO. Reimbursement is made on a replacement-cost basis.

All required documentation must be submitted within one year. *Claims for property losses submitted beyond one year after the date of the loss are considered expired and will not be paid.*

Upgrading costs will not be borne by Risk Management.

If the loss is due to carelessness on the part of the department or BYU personnel, the department may be assessed \$100 when the loss is less than \$500. If the loss is greater than \$500, the assessment will be \$200. If the loss is due to willful negligence, the assessments will be \$200 and \$300, respectively. Losses due to other causes will be reimbursed without any cost to the department.

Reimbursement of money, bonds, stocks, jewels, precious metals, and other like items will only be reimbursed if approved by the Property Reimbursement Exceptions Committee.

BYU will only pay for damage to the personal property of University personnel, students, and visitors, etc., when BYU is responsible for causing the damages or when one of the following applies:

The property of BYU personnel is damaged during the course and within the scope of employment and is used with the knowledge and approval of the supervisor or department chair, dean or director.

OR

The property of others is damaged during the course and scope of an officially approved activity or during activity-related transport in a University or University-rented vehicle, and used with the knowledge and approval of the director of the activity AND APPROVED BY RISK MANAGEMENT AND SAFETY PRIOR TO THE ACTIVITY.

In addition to the above, BYU will only pay for damage to the personal property of University personnel, students, and

In addition to the above, BYU will only pay for damage to the personal property of University personnel, students, and visitors, etc., when ALL of the following apply:

- Coverage is secondary to all other collectible insurance such as renter's and homeowner's.
- The owner of the property must have exercised reasonable care to protect the property before and after any loss.
- The property loss must be reported to Risk Management and Safety within 30 days.

Valuation will be at the actual cash (used) value of the property rather than what it would cost to replace it with a brand new item. Otherwise, coverage is based on the same coverage as BYU property.

Personal property used primarily for the pleasure, entertainment or convenience of personnel will not be covered by the University. Items that are typically worn, such as clothing, watches, eye wear, engagement and wedding rings, are generally not covered.

Public/Employee Accidents

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See the Workers' Compensation section for the proper procedures for reporting accidents and obtaining medical care for on-the-job injuries.

STUDENT/GUEST INCIDENT REPORTING - Supervisors are responsible to instruct their personnel to do the following when assisting in an accident involving a student or guest:

- Assess the injury regarding the need for medical care.
- If only minor care (first aid) is needed, dispense first aid kit supplies and record the incident on the first aid kit log.
- If medical care and/or transportation of the individual is needed, contact University Police for assistance (particularly for accidents involving neck or back injuries).
- Complete a BYU Accident Report for Students or Guests form. (These report forms can be obtained from Risk Management and Safety.)

PERSONNEL SHOULD NOT ADMIT LIABILITY FOR THE UNIVERSITY FOR ANY INCIDENT.

Radiation Safety

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The BYU Radiation Safety manual, specific licenses, and Utah Bureau of Radiation Control Regulations give requirements in handling radioactive materials. The Risk Management and Safety Department has all of the above documents as part of its information service. The following is a brief summary of those requirements for BYU:

Disposal

Very strict regulations govern the disposal of radioactive materials. Please refer to the Radiation Safety manual for details.

Dosimetry

Personnel using nuclides emitting high energy beta radiation, gamma radiation or neutrons MUST maintain an exposure history via personal dosimetry. Persons may obtain this service through the Radiation Safety Officer (RSO) or individually through their department. Departments are responsible for dosimetry fees.

Labeling

All containers of radioactive materials, including refrigerators, cabinets, and incubators, MUST have a standard radioactive material label. Laboratories or rooms approved by the RSO for the storage or manipulation of radioactive materials must have warning signs posted at entrances.

Purchasing

Radioactive materials MUST NOT be ordered without prior approval from the RSO or the Radiation Safety Committee.

Receiving

The RSO receives and checks all radioactive materials before delivery to the requesting department.

Security

Adequate security MUST be maintained by anyone who has radioactive materials. This requirement insures that radioactive materials are not transferred to an unauthorized person or location.

Training

The University does not permit the use of radioactive materials by untrained personnel. Please refer to the Radiation Safety manual for details.

Substance Abuse

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Drivers of vehicles weighing 26,000 pounds or more, carrying hazardous materials across state lines, or carrying 16 or more passengers must comply with the Substance Abuse Standards. Contact Risk Management and Safety for further information.

Waste Water

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Refer to the Hazardous Waste - Water Solubles section for additional information on handling waste water.

Water Quality

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The monitoring of water quality in University buildings is performed by the Physical Plant Department. The Risk Management and Safety Department assists the Physical Plant in complying with legal quality requirements.

Workers' Compensation

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BYU provides an approved Workers' Compensation program providing medical, lost work time, partial and permanent disability and burial expense benefits resulting from work-related injuries and illnesses.

The University provides this coverage to ALL UNIVERSITY PERSONNEL without cost, in compliance with the law.

See the Workers' Compensation/Campus Safety Program manual or call the Risk Management and Safety Department, ext. 2-2597, for Workers' Compensation benefit information.

Accident Reporting

The Risk Management and Safety Department must receive IMMEDIATE NOTIFICATION of all fatalities, serious injuries (hospitalization, amputation or major bone fractures), and occupational illnesses, (cumulative trauma disorders, respiratory disorders, dermatitis, etc.). Minor injuries must be reported within 24 hours.

The Dean of Student Life should receive immediate notification of serious injury to a student.

All personnel must IMMEDIATELY report any on-the-job injury/ illness to their full-time supervisor. The supervisor must investigate the cause of the accident, then prepare and submit a Supervisor's Report of Accident form to Risk Management and Safety within 24 hours.

Medical Care

Personnel who experience an injury or illness on the job should determine the extent of medical attention needed, then:

- If minor, obtain supplies from the department first aid kit and record accident information on the first aid kit log.
- If more than first aid is needed, report to the BYU Health Center Urgent Care.
- For serious injuries that require hospital care (or when the BYU Health Center is not open), go directly to the emergency room at the Utah Valley Regional Medical Center.
- If employed at the Spanish Fork Farm, report to Spanish Fork Clinic for minor injuries and Mountain View Hospital emergency room for serious injuries.
- For all injuries sustained away from campus, report to the nearest emergency facility.

Personnel should NOT go to their personal physician. Those who disregard this instruction may lose compensation benefits.

First Aid Kits

First aid kits are recommended for all work areas. Supervisors are responsible to determine and obtain the first aid kits and supplies needed by the personnel in their work areas. Only medication needed for on-the-job injuries/illnesses shall be included in University first aid kits. Supervisors should inspect first aid kit supplies and review the first aid kit accident log on a periodic basis.

Change of Doctor

Indiscriminate changing of doctors treating for on-the-job injuries/illnesses is NOT permitted. However, if a change in doctor is desired, personnel should contact the Risk Management and Safety Department.

Lost Work Time Compensation

Lost work time benefits for work-related injuries/illnesses are based on a full seven-day week versus a five-day work week.

Absence from work due to a work-related injury or illness is compensable only when supported by the treating doctor's report, which the doctor must submit in writing to the Risk Management and Safety Department.

The department will pay the wage/salary for time lost during the day of the injury. The injured/ill person becomes eligible for lost work time compensation benefits on the first day of lost work time following the accident.

The treating doctor may recommend that the employee lose less than 15 calendar days of work. In this case, the first three days of lost work time following the day of injury are considered a three-day waiting period and are NOT compensable. If, however, the treating doctor requires the employee lose 15 or more calendar days from work, compensation is paid for the three-day waiting period. Only one three-day waiting period is required for each injury/illness.

Lost work time compensation is paid on a 2/3 gross income basis. Qualifying full-time personnel who exceed the weekly maximum amount set annually by the Industrial Commission for payment of lost work time compensation will continue to receive a full 2/3 compensation until or unless they are accepted on the DMBA Disability program, or return to work. Any amount paid over the maximum weekly amount allowed is taxable.

Accrual of Sick Leave/Vacation

FULL-TIME personnel accrue sick leave and vacation days while they are receiving lost work time compensation until or unless accepted on the DMBA disability program. At that time, accrual of sick leave and vacation days stops until the employee returns to work. (See the Sick Leave Assistance Policy for additional details.)

Use of Sick Leave/Vacation

Accrued sick leave or vacation days may be used to receive income for the noncompensable three-day waiting period, if applicable, but sick leave or vacation days CANNOT be used to supplement the compensation payments.

Holiday Pay

Personnel do NOT receive holiday pay during convalescence since lost work time compensation is considered income for that time period.

Return to Work

All personnel who have received lost work time compensation will provide their supervisor with a return-to-work slip from the treating doctor upon their return to work.

It may become advisable not to return an employee to former job duties following a work-related injury or illness. When this occurs, management will review each situation to make a determination regarding continued employment. The University will take no action adverse to employment because an employee has filed a legitimate claim for Workers' Compensation benefits.

Time Taken for Medical Care

The department is responsible to pay an employee for time taken from work if the employee is unable to schedule medical treatment outside work hours for work-related injuries/illnesses. Supervisors may require a doctor's written verification for the work time taken.

Personnel Responsibilities

All personnel are responsible to:

- Immediately report any on-the-job injury/illness to their full-time supervisor.
- Determine the extent of medical care needed and, if necessary, obtain first aid kit supplies OR obtain medical treatment at an approved facility--BYU Health Center or Utah Valley Regional Medical Center.
- Inform their supervisor if the treating doctor has recommended they lose time from work.
- Follow the medical recommendations of the treating doctor regarding lost work time, exercise, medication, medical care, etc.
- If unable to perform work duties for an extended period of time, report to the full-time supervisor on a frequent

basis regarding health status and availability for work.

- Provide their supervisor with a return-to-work slip from the treating doctor upon their return to work.
- Report the use of prescription drugs which may impair their ability to perform their job duties.

Supervisor's Responsibilities

Supervisors are responsible to:

- Instruct personnel under their direction of the proper procedures for reporting on-the-job accidents and obtaining medical treatment.
- Inform personnel of their responsibilities under the Workers' Compensation program.
- Maintain the first aid kit supplies and log used for minor injuries.
- Investigate the cause of all accidents, document findings, and take corrective action to prevent reoccurrence.
- Determine the extent of medical care needed and, if necessary, that the injured person receives prompt medical attention.
- Immediately notify the Risk Management and Safety Department of all fatalities, serious injuries, and occupational illnesses.
- Complete and submit Supervisor's Report of Accident form for all reported on-the-job injuries/illnesses to the Risk Management and Safety Department within 24 hours.
- Make arrangements (i.e., use the department vehicle, call University Police, etc.) for transportation of injured personnel to the approved facility, if necessary.
- Record lost work time and report the information to Risk Management and Safety.
- Coordinate the individual's return to light duty work, as approved by the treating doctor.
- Send a copy of the return-to-work slip to Risk Management and Safety.

Workers' Compensation Eligibility for Work-Related Blood-Borne Exposures

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For purposes of Workers' Compensation eligibility for work-related blood-borne exposures, the following defines "significant blood-borne exposure:"

- Contact of any individual's non-intact skin or mucous membrane with a patient's blood or bodily fluids other than tears, perspiration or urine.
- A needle stick or scalpel or instrument wound has occurred in the process of caring for a patient or working with bodily fluids.
- Exposure that occurs by any other method of transmission defined by the State Department of Health as a significant exposure.

Contact the Environmental Safety Officer at the Risk Management and Safety Department for additional information about blood-borne exposures.

Eligibility Criteria

NOTE - ELIGIBILITY FOR EMERGENCY MEDICAL SERVICE PROVIDERS (EMS) IS DETERMINED BY STATE GUIDELINES (See Utah Code Ann. 26-6A). However, EMS personnel may have the prescribed testing performed at the BYU Health Center.

The following factors must be met in order for a non-EMS individual who has been exposed to contaminated bodily fluids during the course of his/her employment to be eligible for Workers' Compensation benefits:

- The exposed individual must have experienced a "significant exposure."
- The initial blood test must be negative upon exposure (and upon employment, if tested).
- Subsequent blood tests must reveal the exposed individual's blood has "sero-converted" within the first six months for Hepatitis B or within 90 days for HIV of the exposure.

Responsibilities

The exposed individual must:

- IMMEDIATELY report the exposure to his/her supervisor and assist in the completion of the "Supervisor's Report of Accident" within 72 hours of the exposure.
- Determine the medical care necessary to treat the wound, if applicable, and, if needed, report to an approved facility--BYU Health Center Urgent Care or Utah Valley Regional Medical Center emergency room. (NOTE: Exposed individuals are encouraged to report the name of the suspected source to the BYU Health Center.)
- Within three days (or 72 hours) of the exposure, report to the BYU Health Center for a blood serum sample to be drawn.
- Within 10-14 day of the HIV test, report in person to the BYU Health Center to privately obtain the test results.
- Within three months of the exposure, report to the BYU Health Center for a follow-up blood test.
- If the individual contracts the HIV infection (as indicated by the follow-up test), the individual must inform the Risk Management and Safety Department of this condition within six months from the first date of diagnosis or treatment.

The supervisor must:

- Investigate, then complete the "Supervisor's Report of Accident" form for all reported occupational exposures.
- Assist the individual in obtaining appropriate medical care, if applicable, at the BYU Health Center Urgent Care or Utah Valley Regional Medical Center emergency room.
- Transport the exposed individual and/or suspected source preferably in a department vehicle to the BYU Health Center to be tested for HIV and Hepatitis B. If a department vehicle is not available, call University Policy, ext. 2-2222, for assistance.
- The department is responsible to pay the individual for the work time taken for the diagnostic testing.

NOTE: In order to maintain the confidentiality of the test results, transportation will NOT be provided by the University for follow-up visits.

Workers' Safety

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Supervisors are responsible to monitor the safety of all personnel and any individuals whose duties place them in proximity to the areas, operations, equipment, etc. under their jurisdiction.

The Risk Management and Safety Department can assist supervisors with any safety concerns. See the Workers' Compensation/Campus Safety Program manual or call the Risk Management and Safety Department, ext. 2-4468, for safety information.

Accident Investigation

Supervisors are responsible for investigating the cause of every accident, whether or not it results in an injury, and determining how it could be avoided.

Confined Space Entry

Supervisors with personnel who work in areas with poor ventilation and limited openings for entry and exit must comply with the Confined Space Entry Safety Standards. Contact the Risk Management and Safety Department for specific Confined Space Entry information.

Emergency Preparedness

Supervisors are responsible to become familiar with the Emergency Preparedness program, assist in training their personnel and execute the procedures of the program in the event of an emergency.

Hazard Communication Standard

Supervisors are responsible to monitor the compliance of personnel who handle chemicals or hazardous materials comply with the guidelines for labeling, training and other provisions of the Hazard Communication Standard.

Housekeeping

Supervisors are responsible to provide and maintain a safe and healthful working environment.

Incident Reporting

FIRE/FIRE EQUIPMENT DAMAGE - Supervisors are responsible to immediately report BY TELEPHONE, and follow-up BY MEMO, to the Risk Management and Safety Department, any fire or alterations/ damage to fire suppression systems that occur in their work area(s).

UNSAFE CONDITIONS/PRACTICES - Personnel are responsible to report all unsafe conditions or practices as soon as possible to the immediate supervisor for corrective action.

Inspections

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Supervisors are responsible for organizing and conducting periodic safety inspections of all work areas, including equipment and material, for compliance with legal and safety standards.

Each supervisor is responsible to handle the timely completion of items noted during department safety inspections.

Government Agencies Inspections

Under government regulations, compliance officers may visit the campus at any time to conduct periodic inspections of work areas, and may request permission to inspect a general or specific area. University personnel receiving such requests should direct compliance officers to the Risk Management and Safety Department in the West Crandall House (CRWH), ext. 2-4468.

At least one representative of the Risk Management and Safety Department and a supervisory person from the work area will accompany the compliance officer. The officer may choose to consult with several University personnel about health and safety in the work place.

After completion of the inspection, Risk Management and Safety will send a copy of their notes and recommended corrections, and a copy of the compliance officer's report to the department.

The responsible supervisor will begin appropriate corrective measures to achieve compliance, and keep a detailed record of action taken and completion dates. A copy of this record should be sent to Risk Management and Safety at least ten days before the compliance deadline. The Risk Management and Safety Department will conduct a follow-up inspection to monitor compliance.

The Risk Management and Safety Department will prepare reports to the inspecting agencies as required by law, and will inform administration of the status of corrections.

Penalties

Financial penalties may be assessed by agencies performing inspections based on rules and regulations and the items of non-compliance that may be found. If a penalty is assessed, the responsible college/department may bear the cost of the penalty.

Loss Prevention Engineering Inspections

Risk Management and Safety personnel, in cooperation with insurance carriers, conduct annual inspections of buildings and grounds for loss prevention engineering purposes. These inspections also include routine examination of building sprinkler systems, fire extinguishers, fire alarms, etc., for performance readiness.

Lockout/Tagout Procedure

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Supervisors must comply with state and federal safety regulations for lockout/tagout procedures. See the Risk Management and Safety Department code manual for specific lockout/tagout procedures.

Safety Apparel/Equipment

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All personnel are responsible to wear the required protective apparel/equipment for their work area. Supervisors are responsible to establish, and in some cases provide, the types of protective apparel/equipment necessary to safely perform the work. In addition, they are responsible to monitor personnel wearing of the appropriate safety apparel/equipment.

The following should be used as a guideline for obtaining safety apparel/equipment:

- Where REQUIRED, the University will provide the following safety apparel items (the department obtains them at its expense and the items remain on University premises):
 - Aprons
 - Foot protection (slip-on)

- Foot protection (a slip-on)
- Hard hats
- Hearing protection devices
- Protective gloves (welding gloves, mesh gloves for cutting meat, rubber, gloves, etc.)
- Respiratory protection devices (these must be fit tested by a qualified person)
- Safety goggles and face shields

NOTE: This list is not all inclusive

- Personnel who prefer to use fitted safety apparel/equipment that is recommended BUT NOT REQUIRED are responsible to obtain the apparel/equipment at their own expense:
 - Safety glasses (prescription/non-prescription)
 - Safety shoes
 - Gloves (except those provided by the department)

NOTE: This list is not all inclusive.

If an individual does not wear or disables the required safety apparel/equipment, the supervisor is responsible to take appropriate disciplinary action. When disciplinary action is necessary, the supervisor should contact the Employee Relations Office for the proper procedures.

Supervisors who do NOT require and monitor personnel wear/use of the appropriate safety apparel, or do not discipline those who do NOT wear/use the appropriate safety apparel/equipment may also be subject to discipline.

Safety Awareness

Supervisors are responsible to know the hazards of their work area(s), both the obvious dangers and those that may be brought about by inexperienced workers.

Safety Discipline

Each employee is responsible to know and observe all established safety procedures and rules. If an employee does not comply with safety rules, the supervisor will take appropriate disciplinary action.

The following types of behavior are NOT acceptable and may warrant disciplinary action:

- Not using proper safety equipment, as required.
- Improperly and/or unsafely using equipment or tools.
- Disabling or failing to use machine guards.
- Disregarding or failing to follow established safety procedures.
- Participating in horseplay that could or does result in injury to self, fellow employee(s) and/or damage to property.

NOTE: This list is not all inclusive.

Supervisors are responsible to monitor compliance with established safety procedures and rules. When disciplinary action is necessary, the supervisor should contact the Employee Relations Office for the proper procedures. Each safety violation will be investigated and evaluated on its own merits.

Supervisors who do not fulfill this requirement or do not discipline personnel who disregard safety rules may also be subject to discipline.

Safety Education

Supervisors are responsible to teach their personnel their responsibilities in the Safety program, and safe working practices and safety rules for their jobs.

Personnel are responsible to:

- Know and observe accepted safety rules and procedures for their work area.
- Report any unsafe conditions or practices as soon as possible to the immediate supervisor for corrective action.
- Wear and/or use personal protective apparel/equipment, as required, in the performance of job duties. Personnel are responsible to inform their supervisor if the safety apparel/equipment is lost, stolen or becomes inoperable.
- Inspect work areas and equipment daily to keep them in proper operating condition.
- Report use of any drugs which may impair his/her ability to safely perform job duties.

- Develop and maintain a safe working attitude.
- Set a safe example for co-workers.
- Avoid taking chances or unnecessary risks.
- Encourage the safe way to do things.
- Know how to use a fire extinguisher.
- Know basic first aid.

Safety Meetings

Supervisors in high or potential accident areas are responsible to discuss safety issues in their regularly scheduled meetings. If regularly scheduled meetings are not held, supervisors are responsible to hold periodic safety meetings with their personnel.

Safety Performance

Safety performance shall be considered when determining a supervisor's quality of job performance.

CONTACT

Brigham Young University
Integrity and Compliance
Office
C-289 ASB
Provo, UT 84602

[801-422-0032](tel:801-422-0032)

Campus Threat Assessment Committee

The Campus Threat Assessment Committee assesses credible reports of potentially threatening conduct and considers measures to safeguard the campus community.

Responsible Officer:

Julie Franklin, Student Life Vice President

Chair:

Sarah Westerberg, Associate Student Life Vice President and Dean of Students

Members:

- Chris Autry, Managing Director, BYU Police & BYU Security
- Steve Smith, Director, Counseling & Career Center

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801-422-4636

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Disruptive Student Committee

The Disruptive Student Committee obtains advice and makes recommendations concerning institutional actions in the case of disruptive students.

Responsible Officer:

Julie Franklin, Student Life Vice President

Chair:

Casey Peterson, Associate Dean, Student Life

Members:

- Chris Autry, Managing Director, BYU Police & BYU Security
- Paul Barton, Director of Residence Life, Housing Administration
- Stephen Craig, University Counsel
- Clay Frandsen, Director, University Accessibility Center
- Brad LeBaron, Director, Student Health Services
- Steve Smith, Director, Counseling and Career Center
- Kevin Utt, Director, Honor Code Office

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Risk Management and Safety Policy



The Risk Management and Safety Department has responsibilities in the following areas:

Air Quality	Noise Exposure
Asbestos	OSHA Compliance
Automobile Accidents	Pressure Vessels
Biological Safety	Property Loss
Bonds	Public/Employee Accidents
Environmental Protection	Radiation Safety
Fire and Laser Safety	Substance Abuse
Hazardous Materials	Waste Water
Insurance and Certificates	Water Quality
Liability Claims	Workers' Compensation
Workers' Safety	Workers' Compensation Eligibility for Work-Related Blood-Borne Exposures

For safety information or specialized safety training (Driver's Awareness Program, Respiratory Protection, Hearing Conservation, etc.), please contact the Risk Management and Safety Department, ext. 2-4468.

Air Quality

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The Risk Management and Safety Department is responsible to assist departments in meeting applicable indoor air quality standards and in monitoring air quality in campus buildings.

Asbestos Management

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The University has a program designed to eliminate or minimize possible exposure of students and personnel to asbestos fibers. Physical Facilities has an Asbestos Program Manager, who coordinates all asbestos removal projects. The Risk Management and Safety Department assists the Physical Facilities Department in asbestos management.

Automobile Accidents

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The Risk Management and Safety Department handles all BYU vehicle accident claims. Each department is responsible to have the driver of a University, personal or rental vehicle, being used in University business, and involved in an accident, notify the Risk Management and Safety Department within 24 hours and send to the department a completed "Driver's Accident Report" form within 72 hours. Call the Risk Management and Safety Department, ext. 2-4468, to obtain Drivers Accident Report forms. If the accident involves injuries, Risk Management and Safety should be notified immediately (after regular office hours call 372-3516). (See Motor Vehicle Accident Policy for further information.)

Repair of body damage on department vehicles being sold will be charged to the department, unless the damage has been reported to Risk Management and Safety within a reasonable length of time.

Biological Safety

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Infectious Waste Management

All personnel who work with infectious material (body fluids from humans or animals possibly infected with blood-borne diseases) shall be familiar with the safety precautions and required procedures contained in the Infection Control Plan. Following these procedures will help prevent occupational exposure to blood-borne diseases such as AIDS and Hepatitis B. This manual has application to medical activities in the Health Center, animal (veterinary) activities and other departments conducting blood assay work or research. The Bio-Safety Committee issues this publication which contains sections on:

Exposure reports	Labels and warning signs
Handling protocols	Sharp object disposal
Hepatitis vaccination	Training requirements
Infection Control Plan requirements	Waste disposal

Contact the Risk Management and Safety Department for answers to questions about the Infection Control Plan.

Bonds

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The Risk Management and Safety Department secures and centrally maintains all bonds requested by University departments. These bonds guarantee to the requestor(s) that specified parties will meet certain conditions or contractual obligations.

Requestors are to:

- Inform Risk Management and Safety of all requests for bonds or fidelity insurance, and provide:
 - A copy of the instrument that calls for the issuance of the bond.
 - The complete name and address of the department or person needing the bond, the type and amount of bond required, and the starting date.
 - Notification to Risk Management and Safety whenever existing bonds are no longer required.
- Notify Risk Management and Safety, ext. 2-4468, immediately of any suspected embezzlement, fraud or occurrence of other conditions covered by a bond.

Risk Management and Safety will:

- Order the bond.
- Confer with Legal Counsel on any bond request that represents a departure from accepted University principles and practices.
- Forward the original bond to the department or person named therein and send a copy of the transmittal letter to the ordering department.
- Handle all demands for settlement provided by a bond.

Please refer questions about bond management to ext. 2-4468.

Environmental Protection

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BYU's Environmental Management Program affirms its commitment to comply with all applicable federal, state and municipal environmental laws, and provides for appropriate management review to monitor that compliance. The President of the University is responsible for the program and has directed the University Environmental Safety Officer as the key environmental compliance officer (ESO). The ESO reports major environmental changes, concerns, and audit results directly to the applicable line vice president.

Fire Safety Management

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The University complies with all applicable fire and building safety laws.

Open Flame/Candles/Liquid Fuel/Fireworks/Sky Lanterns/Pyrotechnic Special Effects/Blank Shots on Campus (updated 17 June 2013)

Risk Management and Safety supervises the use of open flame on campus by any performing or touring group.

The University does not permit the use of liquid-fueled table decorations.

The burning of candles in places of assembly is not permitted. Groups may use electrical devices that closely simulate candles. The use of candles in approved containers as table decorations in established food-serving areas is acceptable. A protective container of non-combustible construction must completely encircle the flame. The surrounding decorations and table coverings must not be of a highly flammable material. Table decorations containing lighted candles may not be moved from the table for any purpose.

Open flame and flammable liquids are not permitted in residence hall buildings. The Fire Marshal must approve any temporary deviation from the fire codes.

The possession or use of fireworks, sky lanterns, pyrotechnic special effects, or blank shots is strictly prohibited on university property except as authorized by the university Fire Marshal. As used in this policy the term "fireworks" has

the meaning attributed to that term in Utah Code § 53-7-202(10). As used in this policy, the term "blank shots" refers to the use of a gun or gun facsimile to fire a gunpowder charge from a cartridge without discharging a bullet.

Fire and Laser Safety for Performance Groups

Non-BYU Performers

The University representative who contracts performing groups or entertainment activities at BYU is responsible to:

- Determine in advance of the formal contract if the group intends to use fire, open flame fireworks, lasers, or any combustion ("fire act") as part of the proposed performance or entertainment activity.
- Obtain and forward to the Risk Management and Safety Department at the earliest possible date a detailed, written description of the fire or laser act(s).
- Arrange a meeting with the performer's representative and a member of the Risk Management and Safety Department before the performance to review and evaluate the hazards involved.
- Inform the performer's agent when and where BYU permits fire or laser acts.
- Have the group representative sign an agreement with the University, which stipulates the group or its insurance carrier will indemnify the University for any personal injury or property damage resulting from the fire or laser act. Exception: The University may accept liability if such injury or damage results from the negligence of the University or if the University expressly and in writing agrees to assume responsibility for fire or laser acts performed at the invitation of the University.
- Notify the representative of the performing group that BYU does not permit storage of liquid fuels for performance apparatuses in its buildings. BYU requires proper security and fire prevention measures of performing group personnel.
- Inform the visiting group representative that the University does not permit smoking in buildings or within 25 feet of fueling operations or charged devices.

All fueling or charging of flaming devices must take place outside of buildings and at least 25 feet from the nearest building. Fueled devices must be placed in a covered metal container before taking them into the building. Immediately after using the devices, the performer must return them to the covered metal container and remove them from the building.

Risk Management and Safety will permit only those acts that follow standards.

Polynesian-Type Fire Acts

When permitted on campus, groups with Hawaiian-type fire acts will present them out-of-doors or in the Marriott Center only. The group must take the following precautions:

- The backdrop will be in the up or stowed position during the entire fire act.
- A suitable covering must be placed over the performance area to protect the floor from damage. The covering is to be of a flame retardant material or treated with an approved fire retardant solution.

BYU Performers

University performers must observe the same precautionary rules and regulations required of traveling groups. It is not necessary, however, for University performers to execute an indemnify agreement to the University for injuries and damages resulting from the use of fire during performances.

Hazardous Materials

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The University through Risk Management and Safety shall account for, identify, and instruct all personnel concerning the acquisition, use and disposal of all hazardous materials that could cause health and/or environmental problems because of ignitability, corrosivity, reactivity, and/or toxicity defined by the state and federal laws and regulations. The University shall comply with all applicable fire and building safety rules, laws, and regulations. Call the Risk Management and Safety Department, ext. 2-5779, for further information and training.

All personnel working with hazardous materials in areas where hazardous materials exist or where certain hazardous

conditions exist shall wear the appropriate personal protective equipment. Examples of personal protective equipment are, but are not limited to, eye and hearing protection, hard hats, protective clothing, respirators, etc.

All personnel are responsible to observe special procedures for obtaining acids, caustics, hazardous solvents, etc., from the Chemistry Central Stockroom. Users must place these materials in approved, securely covered plastic pails before transporting them to the place of work. Personnel must use approved safety pails and lids to move hazardous liquids from one building to another or from one floor to another within the same building.

The Chemistry Central Stockroom provides safety pails on a loan or purchase basis.

Acquisition/Receipt of Hazardous Material

See the [Purchasing Department Policy](#).

Dispensing/Storing Flammable/Hazardous Materials

Storage of flammable and combustible liquids (including those used in office equipment, maintenance, demonstration, treatment, and laboratory work) is limited to those amounts required for the day's operation. Personnel must keep all flammable liquids, not actually in use, in UL-approved flammable liquid containers and store these containers in approved flammable liquid storage cabinets.

The policy for flammable liquid handling, storage and disposal on all BYU properties is described in detail in the BYU Flammable Liquid pamphlet. This pamphlet is available from the Risk Management and Safety Department.

Mailing Hazardous Materials

All packages containing hazardous materials originating from BYU must follow Department of Transportation regulations. Departments desiring to mail hazardous materials must notify the Risk Management and Safety Department as soon as possible before the date of shipment. Notification must be no less than 24 hours before shipment.

Responsible departments/individuals shall notify the Risk Management and Safety Department of the name, quantity, physical state, unusual hazards or precautions concerning shipping hazardous material. In most cases a Material Safety Data sheet provides this information. Departments are responsible for completing the paperwork before shipment. The Risk Management and Safety Department will give assistance and check the packaging before shipping.

Disposal of Hazardous Materials & Wastes

Each laboratory/area supervisor, principal investigator, or department is responsible for monitoring, logging in, and correctly disposing of all hazardous chemical wastes through the Hazardous Waste Officer. Hazardous waste cannot be sent to the Provo transfer station.

Users must account for, correctly label, and coordinate the transportation of all chemical wastes, used solvents, reaction flask residues, etc., which can be burned, with the Chemical Management Officer, 101 CMB, ext. 2-6156, who ships to an EPA-approved incinerator. If burning is not an option, the Hazardous Waste Officer will ship it to an EPA-approved landfill. The individual or department does not pay the costs of disposing of chemical waste, but should handle its generation and disposal in a legal and responsible manner.

Users must acquire only minimum quantities of reactants to reduce resultant wastes and excessive storage in laboratories.

Wastes collected for disposal fall into several broad classes and are disposed of according to those classes as follows:

Acid/Bases

Users of acid bases must keep these in separate containers with contents noted on a log kept for each container. Mineral acids and bases should be kept separate from organic acids and bases. NOTE: Acetic acid is an organic acid - small amounts of acids and bases can be neutralized and flushed down the drain with plenty of water. Materials that may be handled this way CANNOT contain any heavy metals or organic materials. Materials with a pH less than 5.5 or greater than 8.5 cannot be disposed of in the sanitary waste system.

Biological Wastes

Biological waste CANNOT be shipped with chemical waste. Chemical waste that is contaminated with biological waste must be handled as biological waste through the Risk Management and Safety Department, ext. 2-4468. This material is usually burned or autoclaved.

Chlorinated Solvents

Chlorinated solvents or compounds that contain a halogen are to be disposed of separately in a chlorinated solvent

container with a notation in a log for that particular container. Because of the potential for hydrogen chloride formation, the incinerators that handle these materials must be equipped with scrubbers. Chlorinated solvents are suspected carcinogens and should be handled with extreme caution. Cancer risk reduction is achieved by substituting another

solvent, if possible, or avoiding inhalation of the vapors and skin contact through use of ventilation and protective equipment is required if substitution is impossible.

Flammable Solvents

Flammable include alcohols, ether, petroleum ether, hydrocarbons used as solvents, esters used as solvents, etc. These waste materials are bulked together into a flammable solvent container and are ultimately shipped for incineration. A log should be maintained to identify the contents of the container and amount of the contents. Three examples are:

- **ACETONE** - When acetone is used to rinse a residue from a reaction flask, it should be added to the flammable solvents container and noted in the log. When acetone is used to rinse wet glassware, as in cleaning glassware, it should be placed into a container as acetone/water or into a flammable solvents container. Acetone must not be allowed to go down the drains.
- **BENZENE AND TOLUENE** - Benzene and toluene are health hazards as well as flammables. If possible, it is advisable to substitute another solvent, particularly for benzene. When either solvent is used, it is disposed of as a flammable solvent along with the other flammable solvents and duly noted on the container log.

Radioactive Wastes

Radioactive materials are under the direct supervision of the Radiation Safety Officer of the Risk Management and Safety Department, ext. 2-4468 or 2-5779. Radioactive material CANNOT be disposed of by the Hazardous Waste Officer.

Reatives or Materials Requiring Special Handling

These include peroxides, strong oxidizers, stenchers, lacrymators, cyanides, water reactives, catalysts, alkali metals, certain carcinogens, etc. These materials must be handled with extreme caution as they are often incompatible with many of the other substances being disposed of or used in the laboratory. THEY SHOULD NOT BE MIXED WITH REGULAR FLAMMABLE WASTE.

Water Solubles

The Provo City Water & Waste Water Department has asked the University to not dispose of chemical waste through the local waste water system. Small quantities of neutralized mineral acids and bases are the ONLY exceptions.

CAUTION: WASTE CONTAINERS MUST BE LABELED AS TO CONTENT AND QUANTITY (MIXTURES NEED TO BE ITEMIZED), BE DATED, AND ACCOMPANIED BY A WASTE INFORMATION TAG WHEN THEY ARE SUBMITTED FOR DISPOSAL.

For any problem with a particular hazardous material, consult with the Chemicals Management Officer, ext. 2-6156, or the Risk Management and Safety Department. It is important that all hazardous material be handled in a responsible and legal manner.

Emergency Chemical Response

When a chemical spill or release occurs, the individual using the chemicals shall IMMEDIATELY notify the University Police, ext. 2-2222, or 911 (if there is immediate danger to life or health), and evacuate the affected area(s).

Hazard Communication

The purpose of the Hazard Communication Standard is to inform personnel about chemical hazards in the work place. The four major requirements of the Hazard Communication Standard include creating a written Hazard Communication Program, providing Material Safety Data Sheets (MSDS), providing training, and properly labeling containers.

All personnel who are and/or may become exposed to hazardous materials on the job shall complete a HAZCOM training course given by the University before doing any work which would potentially expose them to hazardous materials. Supervisors should complete both the Employee's and Supervisor's HAZCOM modules. This training is available in the Learning Resource Center located in the Lee Library, or is available by special arrangement with the Risk Management and Safety Department. The employee's department may perform this training subject to review and approval by the Risk Management and Safety Department.

In addition to the general training, each supervisor in charge of personnel working with hazardous materials shall provide these people with specific training before they undertake any assignment involving exposure to hazardous materials.

This specific training shall consist of educating the person in:

- The methods and observation techniques used to detect the presence or release of a hazardous material.
- The identification of physical and health hazards of the hazardous material.
- The use of MSDS available from Risk Management and Safety.
- The necessary protective measures, including but not limited to, safe work practices, emergency procedures, and personal protective equipment.

Laboratory Standard

The Laboratory Standard sets the safety policy and procedures for controlling and reducing the chemical hazards in laboratories. This Standard requires the University to have a Chemical Hygiene Plan which is managed by the Chemical Hygiene Officer. Contact the Risk Management and Safety Department for specific Laboratory Standard information.

Insurance and Certificates

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The Risk Management and Safety Department coordinates and purchases all insurance for BYU, BYU-Hawaii, Ricks College, and the BYU-Jerusalem Center. Colleges/departments should submit requests for insurance coverage to the Risk Management and Safety Department.

Certificates of Insurance

Certificates of Insurance are issued when requested by third parties furnishing facilities, equipment or services to BYU departments for University business, such as performance scheduling, research groups, etc. Certificates will not be issued for student projects or activities. Requests for Certificates of Insurance should be made to the Risk Management and Safety Department at least two weeks before the event date. Information should include: the name and complete address of the insured, the date and location of the activity, a description of the specified activity and the amount of insurance requested.

Field Trip Insurance

All participants of field trips must show proof of health and accident insurance or purchase field trip insurance through the Risk Management and Safety Department. Field trip insurance may also be required or desirable in addition to other insurance.

Automobile Insurance

University vehicles should be checked out and driven only by authorized individuals as outlined in the Vehicle Use Policy.

All employees with vehicles traveling into Mexico must acquire Mexican automobile insurance through the Risk Management and Safety Department.

Insurance Premiums

Premiums on policies that cover the total campus or broad sections of campus will be paid for by appropriations to Risk Management and Safety.

Premiums for policies approved by the Risk Management and Safety Department which cover individual positions, departments or sections will be charged to the department.

Insurance premiums for recreational or entertainment activities will be billed to the participants by the department or Risk Management and Safety.

Liability Claims

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The Risk Management and Safety Department receives and processes all liability claims for BYU. University personnel should refer all claim inquiries to the Risk Management and Safety Department. Personnel should avoid making ANY statements which would imply liability or payment responsibility.

Student projects, research and associated travel are the personal responsibility of the student, and the University is not responsible for injury or accident incurred in the completion of these activities.

Departments are responsible to immediately report serious accidents to the University Police and send a completed Student or Guest Report of Accident, if appropriate, to the Risk Management and Safety Department within 24 hours.

These forms are available from the Risk Management and Safety Department ext 2-4468. The University Police

These forms are available from the Risk Management and Safety Department, ext. 2-1100. The University Police handles the initial accident investigation with support from the Risk Management and Safety Department.

The Risk Management and Safety Department will conduct further investigation to determine liability, processes appropriate payment, maintains claim information, and notifies General Counsel and the Administration of incidents having special conditions or litigation possibilities.

In general liability areas, BYU is self-insured to a specified limit, upon which excess liability insurance activates. BYU obtains other special insurance policies for approved activities and situations.

Noise Exposure

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The Risk Management and Safety Department oversees the Occupational Safety and Health Act (OSHA) Hearing Conservation Program, and, with the assistance of the Hearing and Speech Laboratory, monitors the noise exposure levels in campus buildings. Risk Management and Safety works with Media Services to monitor noise levels at special events.

Supervisors are required to ensure that proper hearing protection is used, where necessary. Call the Risk Management and Safety Department about the Hearing Conservation Program.

Occupational Safety and Health Act (OSHA) Compliance

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The Risk Management and Safety Department assists all departments in complying with OSHA safety regulations.

Pressure Vessels (Boilers, Autoclaves)

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The Risk Management and Safety Department coordinates with all departments the monitoring, licensing and insuring of pressure vessels.

Property Loss

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The Risk Management and Safety Department handles property loss for BYU in conjunction with the Church Risk Management Department's self-insurance program.

Colleges/departments should submit a written, detailed report of any loss of or damage to University property over \$100 to the Risk Management and Safety Department within one week. This report should contain information concerning the initial purchase and replacement information and costs. EXCEPTION: All incidents involving loss greater than \$5,000 should be reported immediately BY TELEPHONE, then by MEMO. Reimbursement is made on a replacement-cost basis.

All required documentation must be submitted within one year. *Claims for property losses submitted beyond one year after the date of the loss are considered expired and will not be paid.*

Upgrading costs will not be borne by Risk Management.

If the loss is due to carelessness on the part of the department or BYU personnel, the department may be assessed \$100 when the loss is less than \$500. If the loss is greater than \$500, the assessment will be \$200. If the loss is due to willful negligence, the assessments will be \$200 and \$300, respectively. Losses due to other causes will be reimbursed without any cost to the department.

Reimbursement of money, bonds, stocks, jewels, precious metals, and other like items will only be reimbursed if approved by the Property Reimbursement Exceptions Committee.

BYU will only pay for damage to the personal property of University personnel, students, and visitors, etc., when BYU is responsible for causing the damages or when one of the following applies:

The property of BYU personnel is damaged during the course and within the scope of employment and is used with the knowledge and approval of the supervisor or department chair, dean or director.

OR

The property of others is damaged during the course and scope of an officially approved activity or during activity-related transport in a University or University-rented vehicle, and used with the knowledge and approval of the director of the activity AND APPROVED BY RISK MANAGEMENT AND SAFETY PRIOR TO THE ACTIVITY.

In addition to the above, BYU will only pay for damage to the personal property of University personnel, students, and

In addition to the above, BYU will only pay for damage to the personal property of University personnel, students, and visitors, etc., when ALL of the following apply:

- Coverage is secondary to all other collectible insurance such as renter's and homeowner's.
- The owner of the property must have exercised reasonable care to protect the property before and after any loss.
- The property loss must be reported to Risk Management and Safety within 30 days.

Valuation will be at the actual cash (used) value of the property rather than what it would cost to replace it with a brand new item. Otherwise, coverage is based on the same coverage as BYU property.

Personal property used primarily for the pleasure, entertainment or convenience of personnel will not be covered by the University. Items that are typically worn, such as clothing, watches, eye wear, engagement and wedding rings, are generally not covered.

Public/Employee Accidents

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See the Workers' Compensation section for the proper procedures for reporting accidents and obtaining medical care for on-the-job injuries.

STUDENT/GUEST INCIDENT REPORTING - Supervisors are responsible to instruct their personnel to do the following when assisting in an accident involving a student or guest:

- Assess the injury regarding the need for medical care.
- If only minor care (first aid) is needed, dispense first aid kit supplies and record the incident on the first aid kit log.
- If medical care and/or transportation of the individual is needed, contact University Police for assistance (particularly for accidents involving neck or back injuries).
- Complete a BYU Accident Report for Students or Guests form. (These report forms can be obtained from Risk Management and Safety.)

PERSONNEL SHOULD NOT ADMIT LIABILITY FOR THE UNIVERSITY FOR ANY INCIDENT.

Radiation Safety

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The BYU Radiation Safety manual, specific licenses, and Utah Bureau of Radiation Control Regulations give requirements in handling radioactive materials. The Risk Management and Safety Department has all of the above documents as part of its information service. The following is a brief summary of those requirements for BYU:

Disposal

Very strict regulations govern the disposal of radioactive materials. Please refer to the Radiation Safety manual for details.

Dosimetry

Personnel using nuclides emitting high energy beta radiation, gamma radiation or neutrons MUST maintain an exposure history via personal dosimetry. Persons may obtain this service through the Radiation Safety Officer (RSO) or individually through their department. Departments are responsible for dosimetry fees.

Labeling

All containers of radioactive materials, including refrigerators, cabinets, and incubators, MUST have a standard radioactive material label. Laboratories or rooms approved by the RSO for the storage or manipulation of radioactive materials must have warning signs posted at entrances.

Purchasing

Radioactive materials MUST NOT be ordered without prior approval from the RSO or the Radiation Safety Committee.

Receiving

The RSO receives and checks all radioactive materials before delivery to the requesting department.

Security

Adequate security MUST be maintained by anyone who has radioactive materials. This requirement insures that radioactive materials are not transferred to an unauthorized person or location.

Training

The University does not permit the use of radioactive materials by untrained personnel. Please refer to the Radiation Safety manual for details.

Substance Abuse

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Drivers of vehicles weighing 26,000 pounds or more, carrying hazardous materials across state lines, or carrying 16 or more passengers must comply with the Substance Abuse Standards. Contact Risk Management and Safety for further information.

Waste Water

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Refer to the Hazardous Waste - Water Solubles section for additional information on handling waste water.

Water Quality

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The monitoring of water quality in University buildings is performed by the Physical Plant Department. The Risk Management and Safety Department assists the Physical Plant in complying with legal quality requirements.

Workers' Compensation

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BYU provides an approved Workers' Compensation program providing medical, lost work time, partial and permanent disability and burial expense benefits resulting from work-related injuries and illnesses.

The University provides this coverage to ALL UNIVERSITY PERSONNEL without cost, in compliance with the law.

See the Workers' Compensation/Campus Safety Program manual or call the Risk Management and Safety Department, ext. 2-2597, for Workers' Compensation benefit information.

Accident Reporting

The Risk Management and Safety Department must receive IMMEDIATE NOTIFICATION of all fatalities, serious injuries (hospitalization, amputation or major bone fractures), and occupational illnesses, (cumulative trauma disorders, respiratory disorders, dermatitis, etc.). Minor injuries must be reported within 24 hours.

The Dean of Student Life should receive immediate notification of serious injury to a student.

All personnel must IMMEDIATELY report any on-the-job injury/ illness to their full-time supervisor. The supervisor must investigate the cause of the accident, then prepare and submit a Supervisor's Report of Accident form to Risk Management and Safety within 24 hours.

Medical Care

Personnel who experience an injury or illness on the job should determine the extent of medical attention needed, then:

- If minor, obtain supplies from the department first aid kit and record accident information on the first aid kit log.
- If more than first aid is needed, report to the BYU Health Center Urgent Care.
- For serious injuries that require hospital care (or when the BYU Health Center is not open), go directly to the emergency room at the Utah Valley Regional Medical Center.
- If employed at the Spanish Fork Farm, report to Spanish Fork Clinic for minor injuries and Mountain View Hospital emergency room for serious injuries.
- For all injuries sustained away from campus, report to the nearest emergency facility.

Personnel should NOT go to their personal physician. Those who disregard this instruction may lose compensation benefits.

First Aid Kits

First aid kits are recommended for all work areas. Supervisors are responsible to determine and obtain the first aid kits and supplies needed by the personnel in their work areas. Only medication needed for on-the-job injuries/illnesses shall be included in University first aid kits. Supervisors should inspect first aid kit supplies and review the first aid kit accident log on a periodic basis.

Change of Doctor

Indiscriminate changing of doctors treating for on-the-job injuries/illnesses is NOT permitted. However, if a change in doctor is desired, personnel should contact the Risk Management and Safety Department.

Lost Work Time Compensation

Lost work time benefits for work-related injuries/illnesses are based on a full seven-day week versus a five-day work week.

Absence from work due to a work-related injury or illness is compensable only when supported by the treating doctor's report, which the doctor must submit in writing to the Risk Management and Safety Department.

The department will pay the wage/salary for time lost during the day of the injury. The injured/ill person becomes eligible for lost work time compensation benefits on the first day of lost work time following the accident.

The treating doctor may recommend that the employee lose less than 15 calendar days of work. In this case, the first three days of lost work time following the day of injury are considered a three-day waiting period and are NOT compensable. If, however, the treating doctor requires the employee lose 15 or more calendar days from work, compensation is paid for the three-day waiting period. Only one three-day waiting period is required for each injury/illness.

Lost work time compensation is paid on a 2/3 gross income basis. Qualifying full-time personnel who exceed the weekly maximum amount set annually by the Industrial Commission for payment of lost work time compensation will continue to receive a full 2/3 compensation until or unless they are accepted on the DMBA Disability program, or return to work. Any amount paid over the maximum weekly amount allowed is taxable.

Accrual of Sick Leave/Vacation

FULL-TIME personnel accrue sick leave and vacation days while they are receiving lost work time compensation until or unless accepted on the DMBA disability program. At that time, accrual of sick leave and vacation days stops until the employee returns to work. (See the Sick Leave Assistance Policy for additional details.)

Use of Sick Leave/Vacation

Accrued sick leave or vacation days may be used to receive income for the noncompensable three-day waiting period, if applicable, but sick leave or vacation days CANNOT be used to supplement the compensation payments.

Holiday Pay

Personnel do NOT receive holiday pay during convalescence since lost work time compensation is considered income for that time period.

Return to Work

All personnel who have received lost work time compensation will provide their supervisor with a return-to-work slip from the treating doctor upon their return to work.

It may become advisable not to return an employee to former job duties following a work-related injury or illness. When this occurs, management will review each situation to make a determination regarding continued employment. The University will take no action adverse to employment because an employee has filed a legitimate claim for Workers' Compensation benefits.

Time Taken for Medical Care

The department is responsible to pay an employee for time taken from work if the employee is unable to schedule medical treatment outside work hours for work-related injuries/illnesses. Supervisors may require a doctor's written verification for the work time taken.

Personnel Responsibilities

All personnel are responsible to:

- Immediately report any on-the-job injury/illness to their full-time supervisor.
- Determine the extent of medical care needed and, if necessary, obtain first aid kit supplies OR obtain medical treatment at an approved facility--BYU Health Center or Utah Valley Regional Medical Center.
- Inform their supervisor if the treating doctor has recommended they lose time from work.
- Follow the medical recommendations of the treating doctor regarding lost work time, exercise, medication, medical care, etc.
- If unable to perform work duties for an extended period of time, report to the full-time supervisor on a frequent

basis regarding health status and availability for work.

- Provide their supervisor with a return-to-work slip from the treating doctor upon their return to work.
- Report the use of prescription drugs which may impair their ability to perform their job duties.

Supervisor's Responsibilities

Supervisors are responsible to:

- Instruct personnel under their direction of the proper procedures for reporting on-the-job accidents and obtaining medical treatment.
- Inform personnel of their responsibilities under the Workers' Compensation program.
- Maintain the first aid kit supplies and log used for minor injuries.
- Investigate the cause of all accidents, document findings, and take corrective action to prevent reoccurrence.
- Determine the extent of medical care needed and, if necessary, that the injured person receives prompt medical attention.
- Immediately notify the Risk Management and Safety Department of all fatalities, serious injuries, and occupational illnesses.
- Complete and submit Supervisor's Report of Accident form for all reported on-the-job injuries/illnesses to the Risk Management and Safety Department within 24 hours.
- Make arrangements (i.e., use the department vehicle, call University Police, etc.) for transportation of injured personnel to the approved facility, if necessary.
- Record lost work time and report the information to Risk Management and Safety.
- Coordinate the individual's return to light duty work, as approved by the treating doctor.
- Send a copy of the return-to-work slip to Risk Management and Safety.

Workers' Compensation Eligibility for Work-Related Blood-Borne Exposures

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For purposes of Workers' Compensation eligibility for work-related blood-borne exposures, the following defines "significant blood-borne exposure:"

- Contact of any individual's non-intact skin or mucous membrane with a patient's blood or bodily fluids other than tears, perspiration or urine.
- A needle stick or scalpel or instrument wound has occurred in the process of caring for a patient or working with bodily fluids.
- Exposure that occurs by any other method of transmission defined by the State Department of Health as a significant exposure.

Contact the Environmental Safety Officer at the Risk Management and Safety Department for additional information about blood-borne exposures.

Eligibility Criteria

NOTE - ELIGIBILITY FOR EMERGENCY MEDICAL SERVICE PROVIDERS (EMS) IS DETERMINED BY STATE GUIDELINES (See Utah Code Ann. 26-6A). However, EMS personnel may have the prescribed testing performed at the BYU Health Center.

The following factors must be met in order for a non-EMS individual who has been exposed to contaminated bodily fluids during the course of his/her employment to be eligible for Workers' Compensation benefits:

- The exposed individual must have experienced a "significant exposure."
- The initial blood test must be negative upon exposure (and upon employment, if tested).
- Subsequent blood tests must reveal the exposed individual's blood has "sero-converted" within the first six months for Hepatitis B or within 90 days for HIV of the exposure.

Responsibilities

The exposed individual must:

- IMMEDIATELY report the exposure to his/her supervisor and assist in the completion of the "Supervisor's Report of Accident" within 72 hours of the exposure.
- Determine the medical care necessary to treat the wound, if applicable, and, if needed, report to an approved facility--BYU Health Center Urgent Care or Utah Valley Regional Medical Center emergency room. (NOTE: Exposed individuals are encouraged to report the name of the suspected source to the BYU Health Center.)
- Within three days (or 72 hours) of the exposure, report to the BYU Health Center for a blood serum sample to be drawn.
- Within 10-14 day of the HIV test, report in person to the BYU Health Center to privately obtain the test results.
- Within three months of the exposure, report to the BYU Health Center for a follow-up blood test.
- If the individual contracts the HIV infection (as indicated by the follow-up test), the individual must inform the Risk Management and Safety Department of this condition within six months from the first date of diagnosis or treatment.

The supervisor must:

- Investigate, then complete the "Supervisor's Report of Accident" form for all reported occupational exposures.
- Assist the individual in obtaining appropriate medical care, if applicable, at the BYU Health Center Urgent Care or Utah Valley Regional Medical Center emergency room.
- Transport the exposed individual and/or suspected source preferably in a department vehicle to the BYU Health Center to be tested for HIV and Hepatitis B. If a department vehicle is not available, call University Policy, ext. 2-2222, for assistance.
- The department is responsible to pay the individual for the work time taken for the diagnostic testing.

NOTE: In order to maintain the confidentiality of the test results, transportation will NOT be provided by the University for follow-up visits.

Workers' Safety

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Supervisors are responsible to monitor the safety of all personnel and any individuals whose duties place them in proximity to the areas, operations, equipment, etc. under their jurisdiction.

The Risk Management and Safety Department can assist supervisors with any safety concerns. See the Workers' Compensation/Campus Safety Program manual or call the Risk Management and Safety Department, ext. 2-4468, for safety information.

Accident Investigation

Supervisors are responsible for investigating the cause of every accident, whether or not it results in an injury, and determining how it could be avoided.

Confined Space Entry

Supervisors with personnel who work in areas with poor ventilation and limited openings for entry and exit must comply with the Confined Space Entry Safety Standards. Contact the Risk Management and Safety Department for specific Confined Space Entry information.

Emergency Preparedness

Supervisors are responsible to become familiar with the Emergency Preparedness program, assist in training their personnel and execute the procedures of the program in the event of an emergency.

Hazard Communication Standard

Supervisors are responsible to monitor the compliance of personnel who handle chemicals or hazardous materials comply with the guidelines for labeling, training and other provisions of the Hazard Communication Standard.

Housekeeping

Supervisors are responsible to provide and maintain a safe and healthful working environment.

Incident Reporting

FIRE/FIRE EQUIPMENT DAMAGE - Supervisors are responsible to immediately report BY TELEPHONE, and follow-up BY MEMO, to the Risk Management and Safety Department, any fire or alterations/ damage to fire suppression systems that occur in their work area(s).

UNSAFE CONDITIONS/PRACTICES - Personnel are responsible to report all unsafe conditions or practices as soon as possible to the immediate supervisor for corrective action.

Inspections

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Supervisors are responsible for organizing and conducting periodic safety inspections of all work areas, including equipment and material, for compliance with legal and safety standards.

Each supervisor is responsible to handle the timely completion of items noted during department safety inspections.

Government Agencies Inspections

Under government regulations, compliance officers may visit the campus at any time to conduct periodic inspections of work areas, and may request permission to inspect a general or specific area. University personnel receiving such requests should direct compliance officers to the Risk Management and Safety Department in the West Crandall House (CRWH), ext. 2-4468.

At least one representative of the Risk Management and Safety Department and a supervisory person from the work area will accompany the compliance officer. The officer may choose to consult with several University personnel about health and safety in the work place.

After completion of the inspection, Risk Management and Safety will send a copy of their notes and recommended corrections, and a copy of the compliance officer's report to the department.

The responsible supervisor will begin appropriate corrective measures to achieve compliance, and keep a detailed record of action taken and completion dates. A copy of this record should be sent to Risk Management and Safety at least ten days before the compliance deadline. The Risk Management and Safety Department will conduct a follow-up inspection to monitor compliance.

The Risk Management and Safety Department will prepare reports to the inspecting agencies as required by law, and will inform administration of the status of corrections.

Penalties

Financial penalties may be assessed by agencies performing inspections based on rules and regulations and the items of non-compliance that may be found. If a penalty is assessed, the responsible college/department may bear the cost of the penalty.

Loss Prevention Engineering Inspections

Risk Management and Safety personnel, in cooperation with insurance carriers, conduct annual inspections of buildings and grounds for loss prevention engineering purposes. These inspections also include routine examination of building sprinkler systems, fire extinguishers, fire alarms, etc., for performance readiness.

Lockout/Tagout Procedure

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Supervisors must comply with state and federal safety regulations for lockout/tagout procedures. See the Risk Management and Safety Department code manual for specific lockout/tagout procedures.

Safety Apparel/Equipment

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All personnel are responsible to wear the required protective apparel/equipment for their work area. Supervisors are responsible to establish, and in some cases provide, the types of protective apparel/equipment necessary to safely perform the work. In addition, they are responsible to monitor personnel wearing of the appropriate safety apparel/equipment.

The following should be used as a guideline for obtaining safety apparel/equipment:

- Where REQUIRED, the University will provide the following safety apparel items (the department obtains them at its expense and the items remain on University premises):
 - Aprons
 - Foot protection (slip-on)

- Foot protection (slip-on)
- Hard hats
- Hearing protection devices
- Protective gloves (welding gloves, mesh gloves for cutting meat, rubber, gloves, etc.)
- Respiratory protection devices (these must be fit tested by a qualified person)
- Safety goggles and face shields

NOTE: This list is not all inclusive

- Personnel who prefer to use fitted safety apparel/equipment that is recommended BUT NOT REQUIRED are responsible to obtain the apparel/equipment at their own expense:
 - Safety glasses (prescription/non-prescription)
 - Safety shoes
 - Gloves (except those provided by the department)

NOTE: This list is not all inclusive.

If an individual does not wear or disables the required safety apparel/equipment, the supervisor is responsible to take appropriate disciplinary action. When disciplinary action is necessary, the supervisor should contact the Employee Relations Office for the proper procedures.

Supervisors who do NOT require and monitor personnel wear/use of the appropriate safety apparel, or do not discipline those who do NOT wear/use the appropriate safety apparel/equipment may also be subject to discipline.

Safety Awareness

Supervisors are responsible to know the hazards of their work area(s), both the obvious dangers and those that may be brought about by inexperienced workers.

Safety Discipline

Each employee is responsible to know and observe all established safety procedures and rules. If an employee does not comply with safety rules, the supervisor will take appropriate disciplinary action.

The following types of behavior are NOT acceptable and may warrant disciplinary action:

- Not using proper safety equipment, as required.
- Improperly and/or unsafely using equipment or tools.
- Disabling or failing to use machine guards.
- Disregarding or failing to follow established safety procedures.
- Participating in horseplay that could or does result in injury to self, fellow employee(s) and/or damage to property.

NOTE: This list is not all inclusive.

Supervisors are responsible to monitor compliance with established safety procedures and rules. When disciplinary action is necessary, the supervisor should contact the Employee Relations Office for the proper procedures. Each safety violation will be investigated and evaluated on its own merits.

Supervisors who do not fulfill this requirement or do not discipline personnel who disregard safety rules may also be subject to discipline.

Safety Education

Supervisors are responsible to teach their personnel their responsibilities in the Safety program, and safe working practices and safety rules for their jobs.

Personnel are responsible to:

- Know and observe accepted safety rules and procedures for their work area.
- Report any unsafe conditions or practices as soon as possible to the immediate supervisor for corrective action.
- Wear and/or use personal protective apparel/equipment, as required, in the performance of job duties. Personnel are responsible to inform their supervisor if the safety apparel/equipment is lost, stolen or becomes inoperable.
- Inspect work areas and equipment daily to keep them in proper operating condition.
- Report use of any drugs which may impair his/her ability to safely perform job duties.

- Develop and maintain a safe working attitude.
- Set a safe example for co-workers.
- Avoid taking chances or unnecessary risks.
- Encourage the safe way to do things.
- Know how to use a fire extinguisher.
- Know basic first aid.

Safety Meetings

Supervisors in high or potential accident areas are responsible to discuss safety issues in their regularly scheduled meetings. If regularly scheduled meetings are not held, supervisors are responsible to hold periodic safety meetings with their personnel.

Safety Performance

Safety performance shall be considered when determining a supervisor's quality of job performance.

CONTACT

Brigham Young University
Integrity and Compliance
Office
C-289 ASB
Provo, UT 84602

[801-422-0032](tel:801-422-0032)

University Policies



[Contents, Related Policies, Applicability](#) ▾

Emergency Management and University Continuity Policy

Brigham Young University prepares for, responds to, and recovers from emergencies and disruptive events through two campus programs—emergency management and university continuity.

Authority

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The university's Emergency Management Authorization empowers BYU's associate director of emergency management (or designee) to direct and coordinate the response to and recovery from all emergencies, including disaster events, on campus. This includes the activation of both the Emergency Operations Plan and the [University Continuity Leadership and Support Plan](#).

Emergency Management

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The Emergency Management Authorization requires and establishes a campus Incident Management Team (IMT). Led by the associate director of emergency management (or designee), the IMT coordinates all efforts to effectively respond to and recover from emergencies on campus, including the efforts of the University Policy Group, as well as all other university entities and resources.

BYU's Emergency Operations Plan is maintained by the Office of Emergency Management. It includes immediate response and safety measures designed to minimize danger to students, faculty, staff, and visitors to campus during an emergency.

University Continuity

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University continuity is a discipline of disruptive event management addressing the restoration and recovery of critical university operations following an emergency or a disruptive event.

The University Continuity Steering Committee maintains a suite of university continuity plans for different areas of operation. The university continuity manager is responsible to provide guidance to all BYU academic and administrative units to assist them in complying with the University Continuity Leadership and Support Plan.

Expectations

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College deans, department chairs, and division directors are responsible for emergency management and university continuity issues unique to their respective organizations within the context of governance provided by the IMT and University Continuity Steering Committee.

Plan Review and Testing

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All emergency management and university continuity plans should be reviewed and updated at least biennially using change management processes to ensure understanding. Drills, exercises, and testing should be conducted periodically to ensure accuracy, effectiveness, and actionability of plan content and resource availability.

CONTACT

Brigham Young University
Integrity and Compliance

2/5/2021

Emergency Management and University Continuity Policy

Office

C-289 ASB

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UNIVERSITY CONTINUITY

Program Policy &
Governance

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Document History and Approvals

Document Origination

October 10, 2017

Revision History

Date	Version	Description of Revision	Changed By
10/10/17	1.0	Initial Draft	Carr Krueger and Doug Belliston
09/18/18	1.1	Update Activity Name	Lauren Bell
01/13/21	1.2	Update Key Personnel	Bremen Leak

Sign-off and Approval

Name/ Committee	Date of Approval
University Continuity Steering Committee (UCSC)	12/11/17

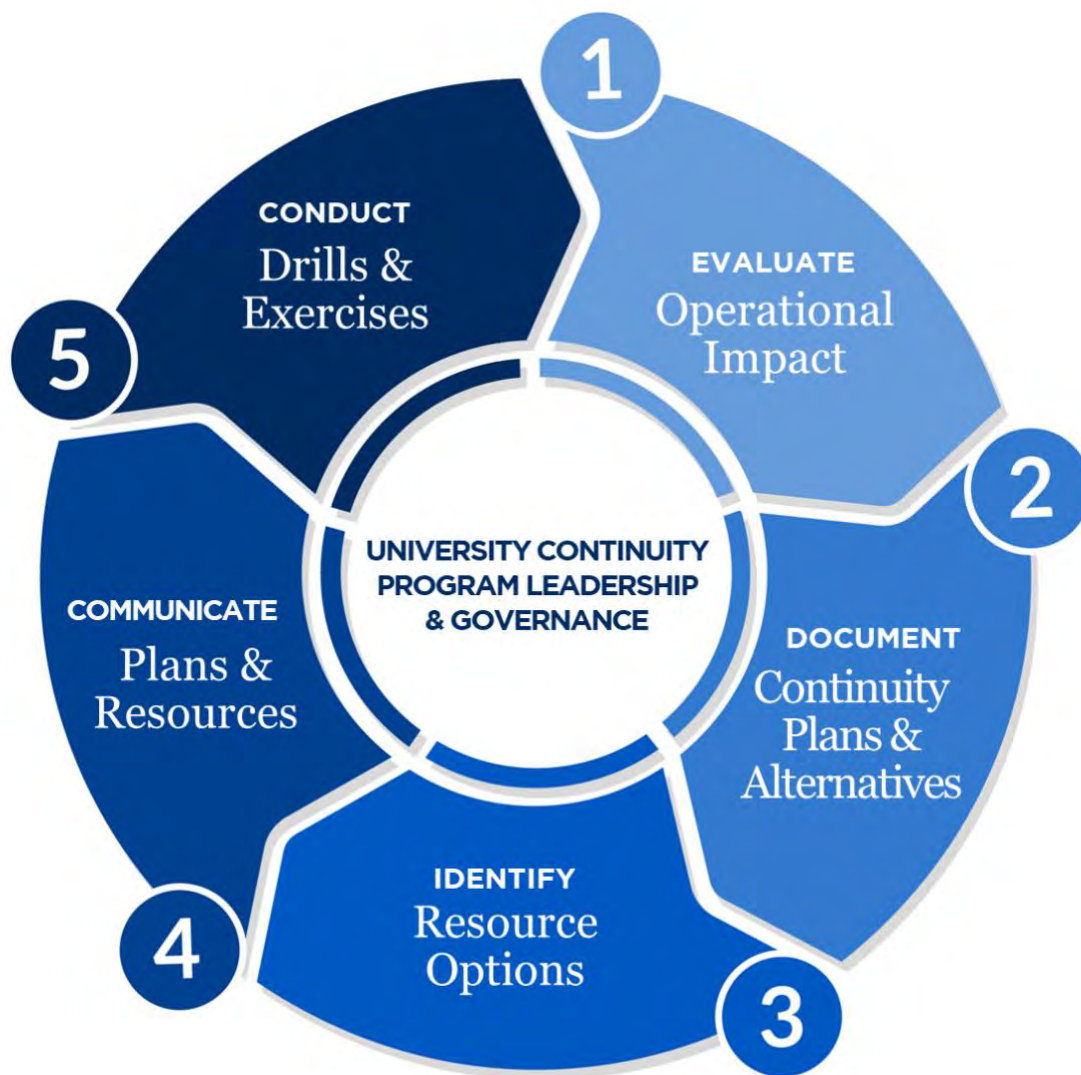
Statement of Confidentiality

The information contained in this document may not be disclosed to third parties without prior written consent from Brigham Young University and should neither be duplicated, used nor disclosed for any purpose other than originally intended. By receiving this information, you acknowledge its confidential nature and agree to abide by these terms.

1.0 Program Lifecycle

This University Continuity Program Policy and Governance document establishes strategic direction for the Brigham Young University (BYU) University Continuity Program (University Continuity Program) addressing identification, evaluation, documentation, and communication activities to ensure delivery of an Exceptional Academic Experience in the event of unplanned disruptive events. This is done through continuity of teaching, research, student interaction, student life programs, extracurricular activities; and the maintenance of auxiliary support services and administrative operations.

Each College and Division will be invited to participate in the development, implementation, and maintenance of the University Continuity Program based on standards set by the University Continuity Steering Committee (UCSC) and industry best practices.



2.0 Program Overview

The University Continuity Program Policy and Governance document details the recommended activities, deliverables, and associated accountabilities in support of meeting University Continuity Program standards. This Policy and Governance document is a constituent of – and should be reviewed in conjunction with – the suite of policies and procedures governing BYU's campus-wide programs.

Purpose

BYU aims to assist individuals in their quest for perfection and eternal life by providing an environment for intensive learning, in a stimulating setting, where a commitment to excellence is expected and the full realization of human potential is pursued. The University Continuity Program is designed to support BYU's Mission and Aims, by ensuring recovery and continuity of critical University operations, faculty and staff, physical resources, IT applications, and services following an unplanned interruption event.

The University Continuity Steering Committee (UCSC) provides this Policy and Governance document to assist Colleges, Divisions, and Departments in understanding standards for ensuring continuity of critical University operations.

BYU is committed to the resiliency of critical University operations, including those tied to:

- Delivering an Exceptional Academic Experience
 - Continuity of teaching, research, and student interaction
 - Continuity of student life programs and extracurricular activities
- Maintaining Auxiliary Support Services
- Maintaining Administrative Operations

Scope

This Policy and Governance document applies to faculty, contractors, consultants, temporary employees, and other staff members at BYU, including all personnel affiliated with third parties conducting business on University premises.

This Policy and Governance document sets forth requirements and standards for the University Continuity Program, including procedures and deliverables, which will necessitate periodic maintenance. The information embedded within this document identifies the responsibilities, processes, and procedures, actions/tasks, guidelines, and critical information necessary to effectively execute the University Continuity Program.

Emergency Management and University Continuity

In complement to the University Continuity Program, the Division of Risk Management, Safety, and Compliance maintains an Emergency Management Program. The Emergency Management Program addresses life, safety, and the protection of property during an event and is often associated with initial response. University Continuity may begin during Emergency Management activities and addresses the restoration, continuation, and recovery of University operations. Emergency Management and University Continuity share many common principles, and should work together to provide a holistic response to any disruptive event the University may encounter.

Program Is / Is Not

The scope of the University Continuity Program is comprehensive within the professional field of Business Continuity. Specific scope details are outlined in the table below.

The University Continuity Program is...	The University Continuity Program is Not...
A program addressing the resilience and continuation of critical University operations following a disruptive event.	Emergency Management, which addresses life, safety, and the protection of property.
A University-wide program meant to encompass all colleges and divisions.	Event Communications, which addresses internal and external communication and protection of brand and trust during disruptive events.
A program that extends beyond BYU's main campus boundaries, in cases where University operations are being conducted offsite.	Disaster Recovery, which addresses the recovery of OIT systems, applications, and datasets following a disruptive event affecting IT services.
	A program that extends to the scheduling and accommodation of Church functions.
	Extend to Church Data Center, MTC, or other non-university assets.

University Continuity Program Vision and Mission

Vision

College, Division, and Department faculty and staff are ready to effectively respond to and efficiently recover from unplanned disruptive events, thus minimizing threats to delivery of an exceptional academic experience through continuity of teaching, research, student interaction, student life programs, extracurricular activities; and the maintenance of auxiliary support services and administrative operations.

Mission

Promote University resilience through implementation of the University Continuity Program Lifecycle. Provide direction and guidance to BYU's leadership, faculty, and staff in planning, preparation, and recovery from unplanned disruptive events.

3.0 Governance

Executive Risk Management & Compliance Committee

Receives executive level program status briefings
Reviews recommendations from the University Continuity Steering Committee and UC Manager
Acts as an advisory board for University Continuity Program strategic discussions and decisions

University Continuity Steering Committee

Governs University Continuity Program initiatives, project work flows, and activities
Reviews, supports, and approves documents for all University Continuity Program initiatives
Reviews requests and supports funding for all University Continuity Program initiatives & staff
Approves organization risk management goals
Communicates direction to University Continuity Manager
Recommends level of risk acceptance/ aversion to the ERMCC on behalf of the University Continuity Program
Reviews gaps in resource availability and recommends review and investment to the ERMCC
Conducts an annual review of audit and compliance metrics
Recommends and approves University Continuity Program policies and compliance requirements

University Continuity Manager

Develops and delivers templates, tools, workshops, education and training
Leads coordination for all program planning and preparedness, implementation, and maintenance for college and division team leads
Coordinates exercise, drill and testing efforts
Facilitates training and awareness efforts, ensuring all BYU faculty and staff know and understand their roles and responsibilities during response and recovery
Communicates direction to college and division team leads, to achieve compliance
Communicates current gaps and investment options to the UCSC
Ensures regular reviews and audits of program practices and documentation
Ensures recovery infrastructure meets college and division requirements and supports recovery within the defined recovery time and point objectives
Oversees design, implementation, and management of alternate resource options
Attends quarterly University Continuity Steering Committee meetings

College & Division Team Leads

Attends and participates in program evaluation, planning, preparedness, and implementation activities
Develops Operational Impact and Continuity Plan content and communicates current capabilities and gaps
Coordinates Team Members to complete University Continuity Program activities
Executes University Continuity Plans during an interruption event

Key Stakeholders

Executive Risk and Compliance Committee

The Executive Risk Management and Compliance Committee (ERMCC) supports the University Continuity Program in an advisory capacity. ERMCC members who participate in University Continuity Program planning, policymaking, and governance include:

ERMCC Members

Title	Name
Associate VP Research and Graduate Studies	Larry Howell
Admin. VP and CFO	Steve Hafen
IT Vice President, Chief Information Officer	Tracy Flinders
Student Life Vice President	Julie Franklin
Academic Vice President	Shane Reese
Advancement Vice President	Keith Vorkink
General Counsel	Steven Sandberg
International Vice President	Sandra Rogers

Additional President's Council Attendees

Title	Name
President	Kevin Worthen
Assistant to the President, University Communications	Carri Jenkins
Assistant to the President, Planning and Assessment	Rosemary Thackeray

Support Attendees

Title	Name
Integrity and Compliance Officer	Sarah Campbell

Key Participants

University Continuity Steering Committee

The University President shall appoint a University Continuity Steering Committee (UCSC), who in turn shall appoint a University Continuity Manager to lead program development, implementation, and maintenance activities.

Title	Name
Asst. Admin. VP Auxiliaries and Programs	Carr Krueger
Asst. Admin. VP Finance	Douglas Belliston
Associate VP Research and Graduate Studies	Larry Howell
Director, Space Management	Anne Schroeder
Mng. Dir. Delivery Engineering	Elaine Lauritzen
Mng. Dir. Purchasing and Travel	Tim Hill
Assoc. Dir. of Emergency Mgmt.	Ryan Rasmussen

University Continuity Manager

The University Continuity Manager shall coordinate and lead the College, Division, and Department Team Leads in completing, developing, and maintaining the University Continuity Program according to the lifecycle activities.

Title	Name
University Continuity Manager	Bremen Leak

College and Division Team Leads

For an up to date list of College, Division, and Department Team Leads, please reference the file linked below.

[Insert link to [byu.box.com/ University Continuity/ University Continuity Contacts](https://byu.box.com/UniversityContinuity/UniversityContinuityContacts)]

4.0 Phases, Activities, and Deliverables

Phase 1 – Evaluate Operational Impact

The **Evaluate Operational Impact** phase of the University Continuity Program Lifecycle includes the following best practice activities at this time:

- Critical Operations and Resources Analysis
- OIT Current Recovery Capabilities Assessment
- Critical Resources Gap Matrix
- Critical Resources Recovery Priorities
- University Continuity Program Assessments and Audits
- University Continuity Program Implementation Plan

The following additional activity may be included in the future, but is not included in the University Continuity Program activities at this time:

- Facility Risk Assessment(s)

The following sections describe each activity of the **Evaluate Operational Impact** phase and detail required deliverables and frequency of updates.

Critical Operations and Resources Analysis

The Critical Operations and Resources Analysis (CORA), known as a Business Impact Analysis by industry standards, is structured to identify critical University operations and the resources (including applications and technology) required to execute those operations. Data used for analysis and decision-making is collected through the execution of CORA Workshops and/or Interviews with colleges and divisions. Each critical college and division will be asked to complete a CORA Workbook that includes, at a minimum, the following data elements:

- Critical University Operations
- Critical Applications and Data
- Critical Facilities, Infrastructure, and Equipment
- Critical Vendor Dependencies
- Staff Single Points of Failure (SPOF)
- Alternate Workarea Requirements
- Vital Records

Adhering to best practices, the University Continuity Manager will conduct regularly scheduled CORA updates. Consistent updates of the CORA data will ensure that Colleges, Divisions, and Departments have documented Recovery Objectives for applications and data, contributing to IT investment and strategy. Critical vendors are identified and vendor audits may be conducted at the organization's discretion. Risk is mitigated by identifying staff single points of failure and opportunities to cross-train staff. Facilities and Equipment needs at time of disrupting event are documented and strategy may be developed to provide alternate resources at time of event.

Deliverables: A CORA Workbook for each critical College, Division, and Department.

Frequency: Updates every twenty-four (24) months for critical Colleges, Divisions, and Departments that may impact delivery of an exceptional academic experience and the maintenance of auxiliary support services and administrative operations; updates at least every thirty-six (36) months for all other Colleges, Divisions, and Departments.

OIT Current Recovery Capabilities Assessment

In support of the University Continuity Program, BYU Office of Information Technology (OIT) will complete an OIT Current Recovery Capabilities Assessment, also known among industry professionals as IT Service Level Agreements. This activity includes, at a minimum, the following documentation:

- Recovery Time Objectives for Critical Infrastructure
- Recovery Time Objectives for Critical Applications
- Recovery Point Objectives for Critical Applications
- Infrastructure Dependency Mapping for Critical Applications

Required Deliverables: Documented OIT Current Recovery Capabilities Assessment for critical infrastructure, applications, systems, and datasets. Assessment results will be shared with colleges and divisions in the Critical Resource Recovery Priorities activity.

Required Frequency: Updates at least every twenty-four (24) months for infrastructure, systems, applications, and datasets that may impact delivery of an Exceptional Academic Experience and the maintenance of auxiliary support services & administrative operations; updates when major changes to infrastructure are completed and/ or following new application implementation; updates at least once every thirty-six (36) months for all other infrastructure, applications, systems, and datasets.

Critical Resources Gap Matrix

The University Continuity Manager will work with critical Colleges, Divisions, and Departments to complete a Critical Resources Gap Matrix that qualifies and quantifies the gaps between Recovery Objectives (i.e., RTOs and RPOs) and OIT Current Recovery Capabilities.

Adhering to best practice, the University Continuity Manager will conduct regularly scheduled Critical Resources Gap Matrix Interviews with Colleges, Divisions, and Departments, following the conclusion of the CORA and OIT Current Recovery Capabilities Assessment activities, to qualify any existing gaps (areas where OIT is not meeting or exceeding Recovery Objectives).

Deliverables: Critical Resources Gap Matrix for all BYU OIT hosted infrastructure, applications, systems, and datasets deemed critical by the Colleges, Divisions, and Departments. Note: this also includes hybrid applications, with a shared hosting model between OIT and a vendor, church, state, or federal agency.

Frequency: Update at least every twenty-four (24) months for infrastructure, applications, systems, and datasets that may affect delivery of an exceptional academic experience and the maintenance of auxiliary support services and administrative operations required; updates for all other infrastructure, applications, services, and datasets is completed as information becomes available.

Critical Resource Recovery Priorities

Following completion of the CORA and Critical Resources Gap Matrix, the University Continuity Manager will generate a consolidated list of applications, equipment, vendors, facilities, etc. sorted by lowest required Recovery Time Objective (RTO), and organize each resource type according to the pre-defined tiers. The University Continuity Tiers are defined as follows. University Continuity Tiers are used to convey acceptable downtime for a resource and recovery order should there be resource competition at time of event.

- Tier 0 – Mission Critical, $RTO \leq 30$ minutes
- Tier 1 – Mission Important, $30 \text{ minutes} < RTO \leq 1$ hour
- Tier 2 – University Critical, $1 \text{ hour} < RTO \leq 8$ hours
- Tier 3 – University Important, $8 \text{ hours} < RTO \leq 24$ hours
- Tier 4 – University Necessary, $24 \text{ hours} < RTO \leq 72$ hours
- Tier 5 – University Supported, $RTO > 72$ hours

Deliverables: Critical Resource Recovery Priorities list for all OIT hosted applications, BYU facilities, equipment, and vendors.

Frequency: Update at least every twenty-four (24) months for infrastructure, applications, systems, and datasets that may affect delivery of an exceptional academic experience and the maintenance of auxiliary support services and administrative operations required; updates for all other vendors, facilities, and equipment is required at least every thirty-six (36) months.

University Continuity Program Assessments and Audits

The University Continuity Manager will complete University Continuity Program Assessments and Audits providing a systematic way to evaluate whether University Continuity Program activities outlined in this document are in alignment with University objectives and meeting industry best practice. Conducting regular program assessments and audits against measurable benchmarks may reveal quarterly and annual progress in program development and help to identify opportunities for improvement.

Deliverables: Documented assessment and/or audit results for the University Continuity Program.

Frequency: Assessment or audit performed every twenty-four (24) months for University Continuity Program Lifecycle activities. Assessments and audits for other activities, not included in the University Continuity Program Lifecycle at this time, are optional.

University Continuity Program Implementation Plan

The University Continuity Program Implementation Plan provides a high level, overview outline and timeline of the phases, activities, and tasks required for full implementation of the University Continuity Program Lifecycle. A University Continuity Program Implementation Plan is most commonly used to communicate direction and Program progress to the UCSC and ERMCC by the University Continuity Manager. The University Continuity Program Implementation Plan may also be referred to as a “Program Roadmap” by industry professionals.

Deliverables: A single University Continuity Program Implementation Plan encompassing all BYU Colleges, Divisions, and Departments participating in program activities.

Frequency: The University Continuity Program Implementation Plan should be reviewed and updated by the University Continuity Manager at least quarterly and following any significant change to Program phases, activities, tasks or timeline.

Phase 2 – Document Continuity Plans and Alternatives

The **Document Continuity Plans and Alternatives** phase of the University Continuity Program Lifecycle includes the following best practice activities at this time:

- College, Division & Department Continuity Plan Development
- University Continuity Leadership & Support Plan Development

The following additional activities may be included in the future, but are not included in the University Continuity Program activities at this time:

- Emergency Response Plan Development
- Crisis Communications Plan Development
- IT Disaster Recovery Plan Development

The following sections describe each activity of the **Document Continuity Plans and Alternatives** phase and detail required deliverables and frequency of updates.

College, Division, and Department Continuity Plan Development

College, Division, and Department Continuity Plans document the activities and tasks required for the recovery of critical University Operations (within their college, division, or department) following an unplanned disruptive event. Each College, Division, and Department will be asked to develop a Continuity Plan that includes, at a minimum, the following:

- Planning Assumptions
- Team Roles and Responsibilities
- Authority
- Response Activities and Tasks
- Continuity Activities and Tasks
- Work Area Relocation Activities and Tasks
- Sustained Operations Activities and Tasks
- Critical Staff Contact List
- Critical Vendor Contact List

Maintaining up-to-date Continuity Plans helps to minimize the duration of an unplanned disruptive event. It is industry best practice to review and update College, Division, and Department Continuity Plans biennially and following any major changes to critical University operations, vendors, technologies, and manual procedures.

Deliverables: A Continuity Plan for each critical College, Division, and Department.

Frequency: Updates at least once every twenty-four (24) months for critical Colleges, Divisions, and Departments that may affect delivery of an exceptional academic experience and the maintenance of auxiliary support services and administrative operations. Updates at least once every thirty-six (36) months for all other Colleges, Divisions, and Departments.

New Colleges, Divisions, and Departments – documentation of a Continuity Plan within the first twelve (12) months if University operations may impact delivery of an exceptional academic experience and the maintenance of auxiliary support services and administrative operations required; development of a Continuity Plan within eighteen (18) months for all other new Colleges, Divisions, and Departments.

University Continuity Leadership & Support Plan Development

The University Continuity Leadership & Support Plan is a detailed, comprehensive document addressing the role of University Leadership, communication and coordination procedures at time of event, initiation of University Continuity Leadership & Support, and disaster declaration. The UC Manager will develop a University Continuity Leadership & Support Plan that includes, at a minimum, the following:

- Classification Levels
- Leadership & Support Roles and Responsibilities
- Communication Levels
- Communication and Coordination Guidelines
- Response Activities and Tasks
- Recovery Activities and Tasks
- Sustained Operations Activities and Tasks
- Role Assignments
- Critical Contact Lists

Maintaining an up-to-date University Continuity Leadership & Support Plan can expedite recovery by streamlining communication, distribution of information, and identification of facilities and resource needs during an event.

Deliverables: A single University Continuity Leadership & Support Plan encompassing University Leadership and all BYU colleges and divisions.

Frequency: Update at least once every twenty-four (24) months, and after any significant changes that may influence effectiveness of the University Continuity Leadership & Support Plan.

Phase 3 – Identify Resource Options

The **Identify Resource Options** phase of the University Continuity Program Lifecycle includes the following best practice activities at this time:

- Alternate Classroom and Work Area Planning
- Vendor Goods and Services Continuity Management

The following additional activities may be included in the future, but are not included in the University Continuity Program activities at this time:

- OIT Critical Application Availability
- OIT Data Backup, Retention and Archiving Strategy

The following sections describe each activity of the **Identify Resource Options** phase and detail required deliverables and frequency of updates.

Alternate Classroom and Work Area Planning

The University Continuity Manager, with direction from the University Continuity Steering Committee and ERMCC, will put in place mitigation measures to minimize downtime to University operations in the case where any or all University buildings become inaccessible or unavailable. Alternate work area options include, but are not limited to:

- Relocate to another Campus Building
- Work from Home
- Memorandum of Understanding (“Borrowed Space”)
- Relocate to Rented/ Temporary Space

Deliverables: An Alternate Classroom and Work Area and/or Work from Home Plan encompassing all BYU faculty, staff and students for the purpose of teaching, learning, and completing critical University operations functions. Training and drills ensuring work from home and alternate work area capabilities have been validated for critical faculty, staff, and students.

Frequency: Each College, Division, and Department will maintain an alternate classroom and work area and/or work from home plan and conduct appropriate training, drills, and exercises related to alternate classroom and work area at least once every twenty-four (24) months.

Vendor Goods and Services Continuity Management

BYU has made important investments in the selection and use of vendor provided products and services. Effective Continuity Management of vendor goods and services goes beyond managing contract terms, to encompass collaboration in effective University Continuity response, and vendor performance. Achievable goals for a best practice Vendor Goods and Services Continuity Management program, in support of University Continuity, include:

- Ensure critical vendors have a Business Continuity and/or IT Disaster Recovery Program that meets BYU requirements (i.e., risk reduction).
- Determine gaps and overlap in vendor responsibilities, products, and services.
- Organize and add process to vendor onboarding and off-boarding (e.g., RFP).
- Optimize spending through classification management (i.e., goods, services, etc.) and vendor controls.

Implementation of the aforementioned goals is completed through a combination of vendor assessments and in-depth, onsite vendor audits.

Deliverables: At a minimum, all vendor procurement contracts deemed to be critical to University Operations will be reviewed and amended, as needed, to include a Business Continuity and/or IT Disaster Recovery clause (SLA). Critical vendors will receive a Vendor Assessment questionnaire, evidence check, and follow-up call. Vendors deemed to be “mission critical” will be asked to comply with an onsite vendor audit conducted by qualified BYU administrative procurement and vendor qualification staff.

Frequency: Vendor assessment questionnaires, evidence checks, and follow-up interviews will be conducted biennially for critical vendors. Mission critical vendors will participate in a BYU lead onsite Vendor Audit at least once every thirty-six (36) months.

Phase 4 – Communicate Plans and Resources

The **Communicate Plans and Resources** phase of the University Continuity Program Lifecycle includes the following best practice activities at this time:

- University Continuity Program Training and Awareness

The following sections describe each activity of the **Communicate Plans and Resources** phase and detail required deliverables and frequency of updates.

University Continuity Program Training and Awareness

The intent of University Continuity Program Training and Awareness is to promote knowledge and awareness of efforts needed to conduct recovery in the event of an unplanned disruptive event. Training ensures critical faculty and staff resources are prepared to fulfill roles and responsibilities at time of the unplanned disruptive event. University Continuity Program Training and Awareness will include all levels of applicable training from basic introduction through specific and detailed training. College, Division, and Department faculty and staff resources may undergo periodic training to:

- Ensure familiarity with University Continuity Program activities, deliverables, and resources.
- Understand roles and responsibilities.
- Ensure familiarity with College, Division, or Department Continuity Plans and the University Continuity Leadership & Support Plan.
- Maintain capability to execute recovery procedures when needed.

This may include informative emails/posters, eLearning modules, webcast, or in-person training. Requirements and/or recommendations for attendance will be presented at time of the University Continuity Program Training and Awareness participation request.

Deliverables: NA

Frequency: Each college and division will be asked to participate in all Training and Awareness activities initiated by the University Continuity Manager. The University Continuity Manager will provide University Continuity Program training and awareness opportunities at least biannually.

Phase 5 – Conduct Drills and Exercises

The **Conduct Drills and Exercises** phase of the University Continuity Program Lifecycle includes the following best practice activities at this time:

- Practice University Continuity Skills
- Event Response Simulations

The following additional activities may be included in the future, but are not included in the University Continuity Program activities at this time:

- Complete OIT Testing of Infrastructure, Systems, and Applications

The following sections describe each activity of the **Conduct Drills and Exercises** phase and detail required deliverables and frequency of updates.

Practice University Continuity Skills

Regular Practice of University Continuity Skills, also known as Drills, is beneficial for those expected to act during a disruptive event and ensures critical faculty and staff practice specific skills relevant to executing their role(s) and responsibilities during an event. Drills are planned in advance, personnel are trained, and made aware there will be a 'test' to practice their response.

Deliverables: Drill supporting materials and an After Drill Assessment completed following the conclusion of each Drill. After Drill Assessments will include, at a minimum, a summary of the Continuity Skill practiced, lessons learned, and opportunities for improvement.

Frequency: Each college and division will be asked to participate and practice an appropriate University Continuity Skill at least annually.

Event Response Simulations

Event Response Simulations, also known as Exercises, ensure critical personnel practice fulfilling roles and responsibilities at time of unplanned event by acting out event response and recovery activities and tasks through implementation of scenario and inject methodologies. The following types of Event Response Simulation may be facilitated by the University Continuity Manager for BYU Colleges, Divisions, and Departments.

- Table Top
- Functional
- Full-Scale/ Multi-Site

Deliverables: Event Response Simulation supporting materials and an After Action Report completed following the conclusion of each Event Response Simulation. After Action Reports will include, at a minimum, a summary of the narrative and timeline, lessons learned, and opportunities for improvement.

Frequency: Each College, Division, and Department will conduct an appropriate University Continuity Event Response Simulation at least once every twenty-four (24) months. Continuity Event Management Team Members will participate in an Event Response Simulation at least once every twenty-four (24) months.

5.0 Leadership and Compliance

Program Leadership

At the leadership level, the University Continuity Program is vested in the University Continuity Steering Committee, with operational leadership falling to the University Continuity Manager. Within each College, Division, and Department, University Continuity Program participation is the responsibility of the designated Team Leads.

Program Certification

The University Continuity Manager may grant program certification for each College, Division, and Department per direction of the University Continuity Steering Committee. In order to be certified under the University Continuity Program, each College, Division, or Department would need to participate in and complete the deliverables recommended by this University Continuity Program Policy and Governance document. In order to ensure uniform certification across all Colleges, Divisions, and Departments, each College, Division, and Department is requested to adhere to the templates provided by the University Continuity Manager, or obtain written approval for an exception.

Exceptions

Exceptions to the University Continuity Program recommendations are available solely via an approved request. Any request to receive an exception not in alignment with the standard schedule for certification must be submitted via a detailed written request delivered to the University Continuity Manager, and approved by both the University Continuity Manager and the University Continuity Steering Committee.

Program Compliance Support

It is the responsibility of the University Continuity Manager to provide templates, tools, education, and guidance to each College, Division, and Department (i.e., assisting each college, division, and department to complete all activities required for University Continuity Program compliance). For information and guidance related to completing additional University Continuity Program Lifecycle activities, not currently required for compliance, team leads may submit a request for support to the University Continuity Manager.

Violations and Sanctions

At this time, adhering to the University Continuity Program certification requirements and recommendations are strongly encouraged, but optional, for all Colleges, Divisions, and Departments. Violations of the University Continuity Program certification process and sanctions resulting from these violations will not be evaluated or enforced at this time.

6.0 Appendix

Document Maintenance

The University Continuity Program Policy and Governance will be updated at least once every thirty-six (36) months to meet best practice and ensure alignment with the University Continuity Program mission and vision. Change management for this document is vested in the University Continuity Manager.

<input type="checkbox"/> Review Governance	Next update: October 10, 2020
<input type="checkbox"/> Update Best Practice Activities	Next update: October 10, 2020
<input type="checkbox"/> Update Required Deliverables and Frequency	Next update: October 10, 2020
<input type="checkbox"/> Review Program Leadership and Compliance	Next update: October 10, 2020

Critical Resources and Information

Document Repository

The University Continuity Program Document Repository will serve as BYU's system of record for all University Continuity Program documents, templates, checklists, presentations, and reports. Consistent document organization standards, in a central location, will promote document security and accessibility. All BYU University Continuity Program documents will be stored in byu.box.com (primary record).

Document File Structure

The following file structure can be applied to documents for further organization within the Document Repository. Additional files/ categories may be added, per the direction of the University Continuity Manager.

- University Continuity
 - Colleges, Divisions, and Departments
 - University Continuity – Advisement & Counseling Services
 - University Continuity – Alumni & External Relations
 - [One folder for each College, Division, and Department]
 - Steering Committee
 - Axiom Recovery MSA & Work Orders
 - ERMCC Presentation
 - Implementation Plan
 - Leadership & Support Plan
 - Past Program Documentation
 - Policy & Governance
 - Templates & Tools
 - [One folder per activity in this Policy & Governance document]

Document Naming Conventions

Document Naming Conventions help to name and organize documents relevant to the University Continuity program and ensure ease of access/ use and change management control.

All University Continuity Program documents should follow the explicit file naming conventions detailed below.

[Document Name] [Team Name, if applicable] [TEMPLATE/ DRAFT/ FINAL*] [Six Digit Date MMDDYY] [Version Number, if applicable]

Examples:

- Continuity Plan College of Science FINAL 120616
- CORA Workbook Chemistry FINAL 010417
- University Program Policy and Governance DRAFT 060117
- BYU Continuity Event Management Plan FINAL 053017 v3

*All documents that require review and signature for approval must include DRAFT or FINAL in the document name, as appropriate, to signify progress through/ status in the approval and/ or validation processes.



Technology Planning

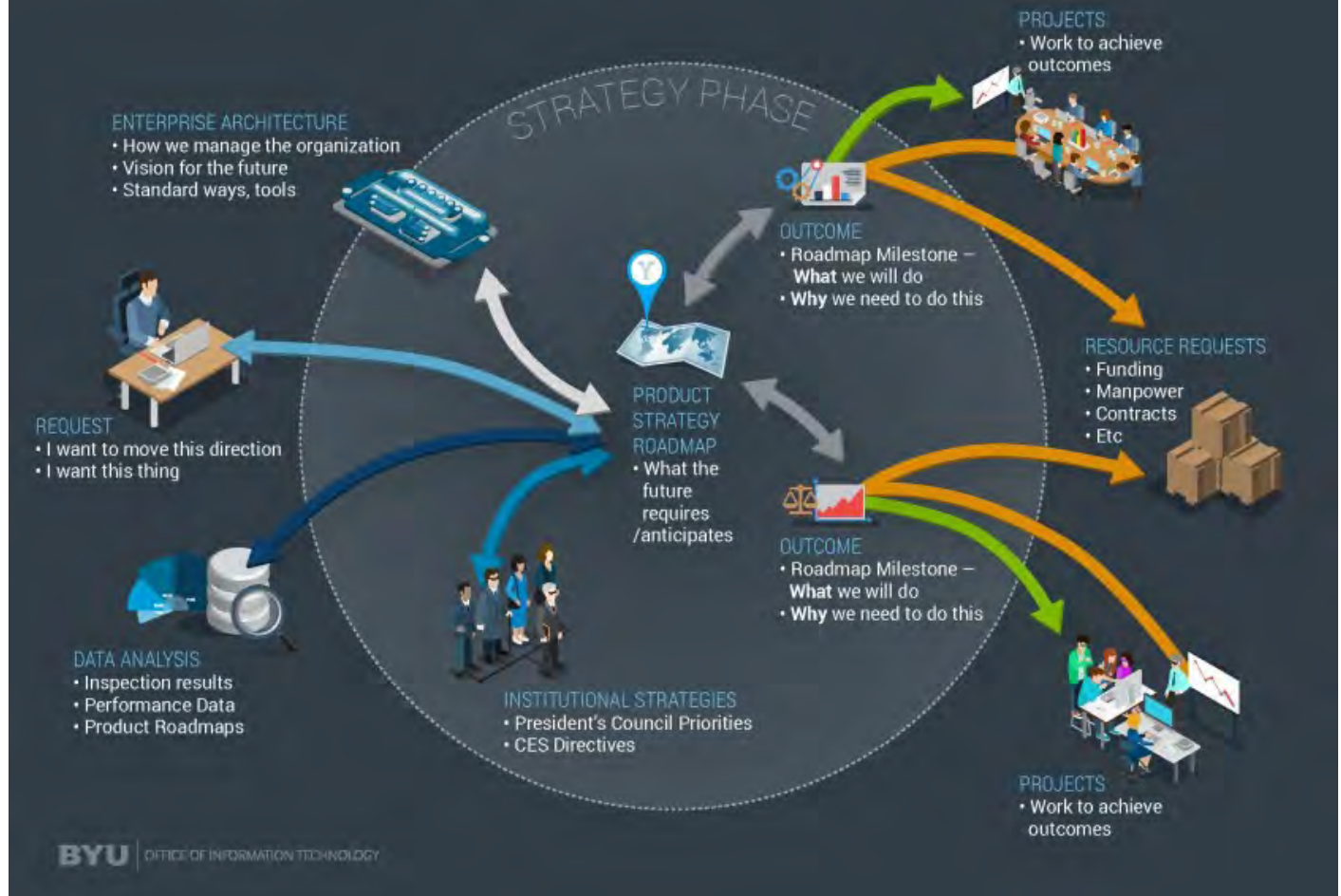
What is the purpose of technology planning?

The purpose of technology planning is to efficiently manage the sacred resources provided to CES for technology.

Technology planning supports the strategic direction of each campus with the needed technology resources. The process to manage the CES technology investment includes four parts:

1. **Develop Strategy:** Understand the campus's vision, mission, priorities and desired outcomes.
2. **Determine Position:** Identify and manage technology resources that are needed to support each campus's strategic direction and assess the state of the current technology footprint on each campus.
3. **Build the Plan:** Efficiently use the sacred funds through analyzing needs, prioritizing requests, identifying unneeded and duplicate technology that can be retire and remove.
4. **Manage Performance:** Keep our commitments and build trust by delivering transparent results.

Resource Planning Overview



How do we determine the state of our current investment?

Part of technology planning is understanding and managing the technology footprint on your campus. As technology experts, it is your responsibility to assess the state of technology across campus. To do this we have an asset life cycle management process for infrastructure items, product life cycle management for applications, and an annual review cycle for licensing/subscription requests.

These assessments inform management of the needs on campus and are used in assessing the priority of technology requests.

What are the different funding sources?

There are three different funding sources:

1. ITI (INFORMATION TECHNOLOGY INFRASTRUCTURE)- Funds available to CES higher education entities that includes the campus network, telephones, servers, data storage, computer labs, presentations systems in both small and large venues, and other technology hardware used in the academic units.
2. ITD (INFORMATION TECHNOLOGY DEVELOPMENT)-Funds available to CES higher education entities for software application or development requests that includes new, upgrade or replacement of systems on campus that have an enterprise or significant impact across campus.
3. ITS (INFORMATION TECHNOLOGY SOFTWARE/CONTRACTS)-Funds available to CES higher education entities to pay the licensing and maintenance costs of software that is considered "enterprise-wide" either at a local or CES-wide ("global") level.

4. DEPARTMENT - Department funding comes from the specific campus department and is not part of the separate Church technology funds allocated. This means that each department is responsible for acquiring the funding for the particular request. Most often department funding will be referenced when doing work for auxiliary organizations that fund their own services.

Regardless of funding source:

- All projects over \$100k need to be approved through the technology planning process.
- Technology projects under \$100k are requested to be part of the technology planning process to ensure appropriate personnel/contract resources are identified and planned for.

MORE DETAIL ON TECHNOLOGY PLANNING...

Start with the end in mind



3-5 Year Strategy Plan Proposal

We have been asked to put together a 3-5 year plan to share during the Information Technology (IT) Planning process. For this to occur from a campus perspective it is recommended to augment our current technology strategy process with ensuring our understanding of the university's business needs. Gathering this information should begin in October and continue through the January timeframe. This will allow time for other organizations to share their priorities and have technology support the campus goals and deliver a better student and faculty experience.



FIRST BEGIN WITH THE END IN MIND

Thinking of the end state allows you to focus on what you want to be and do. Building things twice is a good practice that has been followed for many years in the building industry as they first create blueprints and then use those to physically complete the building. Beginning with the end in mind is about seeing the end result before you act to get you there. Knowing the end result can help keep you on course.

Purpose - Starting with the end in mind requires the purpose of why you are here to be understood. The purpose or **mission** of why the organization exists is important as it is one of the guiding foundations for the strategy.

Future State - Future state is the **vision** of the organization and describes the end state. This is done by identifying what your organization will be in 5 years. Put yourself 5 years out from today and list what you have accomplished over the past 5 years. Now we can begin with the end in mind.

SECOND IDENTIFY THE STRATEGIC OBJECTIVE

Strategic objectives are long-term organizational goals that help to convert a mission statement from a broad vision into more specific plans and projects.

THIRD IDENTIFY THE TOP 3 KEY PRIORITIES

Priorities are key strategic initiatives that once accomplished will achieve the future state. Priorities are intended to help you identify what not to do just as much as what to do.

Key Priorities - The priorities are the overarching strategic initiatives that support the strategic objective/ what to accomplish. Once these are identified then we can identify supporting outcomes/goals based on these priorities. It is important to evaluate outcome/goals based on the key priorities so that you can ensure you are doing things that are aligned to the direction identified. Key priorities should also take into account new technology trends and their possible impact on the business.

FOURTH IDENTIFY THE OUTCOMES/GOALS

Outcomes/Goals are the way that we achieve our priorities and future state. They should be easy to understand, actionable, achievable, and measurable.

Outcome/Goals – These are the actions that will get us to achieve our priorities and future state. The goals/initiatives should be created and reviewed at the team, organization, and higher levels as applicable. Creating key performance indicators that are delivered as a monthly score card allows individuals as well as management to understand and feel ownership in the direction and progress of each goal or initiative.

SHARED VISION – EMPLOYEE OWNERSHIP

“A shared vision is not an idea. It is a force in people’s hearts, a force of impressive power. It may be inspired by an idea, but once it goes further, then it is no longer an abstraction. People begin to see it as if it exists.

Shared Vision – To be successful, the business/employees need to be part of the process, share in the vision and own the success or failure of the plan.

Ideas to involve and gain ownership from the business/employees:

- As our employees are the ones that work closest with the customers; explore the industry trends; and fix the issues; hearing our employee's thoughts are an important part of defining the 3-5 year plan. They can share what they know or ideas about what would make things better by answering the following questions:

- o What's so?
 - o What's missing?
 - o What are the blockages? What if we crossed organizational lines – what could we do?

- o What are the opportunities or influencers?

- Involve the business/organization in the defining discussions. Work with campus senior leadership and/or a mix of individuals from the organization to be involved in the discussions with management and take a hard look at the organization and provide ideas around what we want it to look like in 3-5 years. These discussions are to be guided by the campus mission and the organization's guiding principles.

- Hold an unconference/focus sessions with your organization and ask them to help identify strategic initiatives that would align to the key priorities of the organization. Capture actionable goals from these meetings to feed into the 5-year plan.

Summary

Creating a strategic plan for a campus can create an opportunity to bring together an enhanced experience for the students, faculty and employees if we share where we are going and what we want to be in 3-5 years early enough to ponder ideas of how to get there. Sharing information across organizations and campuses also allows us to identify areas where we can collaborate together; share knowledge and innovate together; increase our proficiency in processes to enhance efficiency and effectiveness which all results in an enhanced user experience for our students.

CES INFORMATION TECHNOLOGY

BYU IT

BYU-Idaho IT

BYU-Hawaii IT

CES TECHNOLOGY CENTERS

Security Operations Center

Technology Planning Center

IT Architecture

CES HOME



Technology Asset Inspections

WHY DO WE INSPECT?

Effective Stewardship

Inspections contribute to effective stewardship by helping us to:

Understand what technology assets we have on campus.

Evaluate the validity of the technology.

Find innovative ways to provide more with less.

Expert Advice

Inspectors provide expert advice on technology needs by:

Recommending timing for when infrastructure or systems need to be replaced.

Providing estimates on infrastructure or systems replaced or requested.

Discovering innovative ways to enhance the customer experience.

Sacred Resources

Inspections build trust around how we use sacred resources by:

Recommending replacements based on only the true needs of the campus.

Getting the most value out of the technology investments.

Being transparent in how we use sacred funds.

WHAT DO WE INSPECT?

Infrastructure Assets

For now, inspections focus on infrastructure assets which meet the following criteria:

Asset has less than a year of life left.

Asset was deferred through a prior inspection.

WHAT ARE INSPECTIONS?

Inspections evaluate technology based on the lifecycle of assets to determine:

Reliability

Will the technology continue to function for another funding cycle?

Maintainability

If the technology were to fail (considering vendor support), could we easily get it repaired or replaced?

Sufficiency

Does the technology (considering capacity, features, etc.) meet the needs it was intended to fill?

Recommendation

If the answer is "yes" to all three questions, then the inspection recommendation should be *Defer*. If the answer is "no" to one or more of these questions, the inspection recommendation should be *Fund*. (Do not defer for more than one year).

HOW DO WE RECORD INSPECTIONS?

Login



Login to itns.byu.edu using your NetID and password.

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CES TECHNOLOGY CENTERS

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