RESEARCH AT BRIGHAM YOUNG UNIVERSITY

prepared by

The Research Division

January 24, 1972
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1. RESEARCH AT BRIGHAM YOUNG UNIVERSITY

Scholarly research is an integral and important part of any outstanding University. This includes research in the areas of basic science and technology as well as new and significant creations in the arts. The research and artistic creations of the faculty and students at Brigham Young University are essential parts of the academic program of the University, and will make an even more valuable contribution to the success of the University in the future. In addition to its role in the academic program, the research performed by the faculty contributes to the fund of basic knowledge and technology in all areas, allowing Brigham Young University to take its place with other universities as a prime source of new information and knowledge concerning mankind and the world in which we live.

Excellence in research must be a goal of the Brigham Young University in order to:

A. Attract and keep faculty members of the highest possible quality.

B. Produce students of the highest quality who, through their creativity, objectivity and dedication will make significant contributions in their chosen professional fields.

C. Enhance the reputation of Brigham Young University internationally. This will materially aid in the recruitment of quality faculty and students and will accurately reflect the commitment of the church to quality education and the pursuit of truth.

D. Make the greatest possible contribution in the areas of scientific knowledge, technological achievement, human relationships and the arts, thereby encouraging the maximal development of individual
potential among our own staff and the members of society.
II. GOALS OF THE RESEARCH OFFICE

A. To help the individual faculty member and student achieve their maximum potential in the pursuit of knowledge and research achievement within their chosen areas, thereby assisting BYU to become eminent in those areas where faculty and student research is appropriate to the academic program.

B. To stimulate new individual and interdisciplinary research programs by the faculty.

C. To strengthen the teaching function of the University.

D. To make the results of BYU research available to the general public and, to the extent possible, use these results to further the goals of the University and promote the welfare of society.

E. To provide the necessary administrative services as required to support the conduct of all categories of research at the University.

F. To assist faculty members to obtain research funds for grants, contracts and fellowships from governmental, institutional and industrial sponsors.
III. POLICIES

A. Research programs approved through the Research Division must be in accord with the general goals and purposes of the University and such of its departments and colleges as are involved in the program.

B. University research should contribute to the well being and progress of the University through (1) increasing the effectiveness of the individual faculty member to teach in his chosen area, or the individual student to achieve in his discipline, (2) increasing the general fund of knowledge in one of the academic areas of interest to the University, and (3) improving the quality of life for the individual or society.

C. The University requires an amount for overhead in budgets of research projects. The overhead is usually calculated as a percentage of the total salaries and wages requested for the research project. Where appropriate with private contractors, this standard overhead charge may be adjusted to accurately reflect necessary expenses associated with the administration and operation of a particular grant.

D. University funds made available to the Research Division will be used primarily to stimulate research by the faculty members and research organizations of the University. Allocation of available funds will be made on the basis of their anticipated effectiveness in furthering the professional development of faculty members and departments, as well as the probability that the funds will be effectively used in each case.
E. The creation of specialized research organizations will be encouraged, but it must be shown that creation of each such research organization is needed either to capitalize on some unique research facility within the university or to expand a research capability in areas which may fall entirely within one college or may extend across traditional college boundaries.

The name assigned to a research organization will reflect its size and scope. Those research organizations which are small and involve only a few individuals within a department, or within a college, may be designated as a Research Unit, a Group, a Laboratory or some other appropriate name. Those research organizations which are moderate in scope, and whose activities fall mostly within one college, will be designated Research Centers, while those research organizations which are either of larger scope, or whose programs clearly involve more than one college in a major way, will be designated Research Institutes. The Directors of the Research Centers will normally be responsible to the Dean of the college which contains the whole or major portion of the research activity, while the Directors of Research Institutes may be responsible to one of the Deans involved or to the Director of Research, whichever is appropriate.

Approval to form new Research Units will reside with the Dean of the college involved. Recommendations to form a Research Center or a Research Institute will be given the Academic Vice-President by the Director of Research, who will receive guidance from the Research Council, which will
review each application and recommend approval for those which meet
the necessary criteria. In addition, the Research Council will review
the programs of each Research Center and Research Institute at five year
intervals.

F. All proposals for external funding of research grants or research con-
tracts will be processed through the Research Division, which must approve
each such proposal before it is submitted to the Academic Vice-President
for University approval.

G. A Research Council exists to serve as an advisory body to the Director
of Research on matters pertaining to research. The Council has an execu-
tive body of seven members appointed by the President, including the
Director of Research as Chairman and six members in the university repre-
senting the major areas of research activity. The complete Research
Council contains the Executive Committee plus research coordinators from
the various colleges.

H. The Research work performed at the University should be reported to the
scientific community, other members of the faculty, and to the general
public when it is of general interest.

I. The regular academic year salary for a faculty member may be augmented
by summer employment on a research grant, through a University fellowship
or some other sponsored research program which is appropriate to the
faculty member's training and discipline. A faculty member may receive
from regular University funds up to twenty percent of his annual salary
for summer employment. He may also receive additional pay for summer
research on research grants and contracts during three of the summer months (the NSF allows only two months of summer research). The total summer commitment for teaching and research cannot exceed three months. Compensation for research work performed on the sixth day of the week, which is additional to the usual weekly assignment, may not come from University funds. Under unusual circumstances, faculty members may be compensated from University-administered external funds for research performed on the sixth day if approvals from the Dean, Director of Research and the Academic Vice-President are obtained.

J. Patent rights for appropriate discoveries resulting from research programs in which patent rights are not assumed by the granting agency are assigned to the University, according to a patent agreement signed by each faculty member. The agreement provides for sharing of royalties between the inventor and the University.

K. Travel to professional meetings and travel for professional purposes are an integral part of a viable research program. Travel funds should be requested in research proposals where appropriate.

L. It will be the policy of the Research Division to help, to such extent as may be possible, the individual faculty member who performs research work on a grant or a contract to meet in an exemplary fashion all the requirements stipulated in the award. Only by outstanding performance on the part of our research staff can the total research effort and output of the University continue to grow.
M. The Research Division will work closely with University Development to obtain funding for research projects from sources other than governmental agencies and research departments of industries. All research proposals for such funding will be submitted to the Research Division, which will then coordinate further activities with University Development.
IV. PROCEDURES

A. Proposals for external funding of research programs.

All research proposals, including both grants and contracts, must be submitted through the Research Division for formal University approval. Those which are appropriate for action by University Development will be subsequently coordinated with that organization.

1. Agency for funding - The Research Division will maintain a file of information concerning government and private sources for funding of research programs. University Development also maintains a file of information on Foundations and other prospective donors. If a faculty member has questions concerning an appropriate agency or organization for submission of a research proposal, he should discuss this matter with personnel at the Research Division.

2. Format of proposal - Some granting agencies and organizations have a prepared format for the submission of research proposals. In cases where the format is not prescribed, a standard University cover sheet should be used and the body of the proposal developed according to the general outline given below. Appendix A contains a sample of the cover sheet.

3. Preparation of proposal - The cover sheet contains the vital summary information concerning the grant or contract. Appropriate subsequent sections are listed below:

a. A Summary section, which clearly states the general goals of the project, the significance of the proposed research and a
brief technical abstract. This should be carefully prepared, since the person receiving the proposal will form his first impression from this section.

b. An Introduction which states the need for the proposed research and relates the proposed project to the state of research in the field.

c. A description of the proposed research, clearly stating the goals and the research plan to be used to achieve these goals.

d. A clear statement of the significance of the proposed research. More detail would be given here than in the summary.

e. Necessary biographical information, publications of the project personnel and other data indicating the qualifications of the applicant.

f. A proposed budget. This should include salaries and wages of professional personnel and supporting personnel, major equipment, supplies, travel, computer expenses, other direct costs and University overhead.

g. Any other information requested by the agency to which the proposal is sent.

The description of the proposed research is most important, and should receive the utmost attention. The research goals of the proposal should be specified concisely and related to the present state of the art. Appropriate publications of the applicant and others who have worked in the field should be cited. The person reviewing the contract will ask himself the following questions:
Does the proposal show clearly that the applicant has knowledge of the present state and recent developments in the field plus an appreciation of the important unsolved problems?
Does the proposal present a well-defined and reasonable approach to solve the proposed problem?
Is the applicant qualified to do the proposed research?

The length of the technical portion of the proposal will vary depending upon the nature of the program and the previous history of the applicant. A person who has not previously received a contract or a grant in the field should pay special attention to the development of the pertinent literature and state of the art, since this must be his substitute for his own personal contributions in the area. The budget should be prepared carefully with a view to including in the budget that which is realistic and necessary for the successful completion of the program. The skilled reviewer of contract and grant proposals can easily determine whether a proposed budget is realistic or inflated. Some governmental agencies (NSF and NIH) require cost sharing. Present arrangements are that this is accommodated through an annual report prepared by the Research Division for these agencies. The budget must include overhead costs which are calculated as a percentage of salaries and wages for projects performed on campus and off campus. A lower rate applies to off campus projects. This rate changes periodically as the result of negotiations with the government. The Research Division should be contacted for information on the current rate.
4. Review and approvals - A research proposal will represent a vital interest of one or a group of faculty members, and must also be appropriate to the goals and objectives of the department and college involved. Adequate provisions for space and facilities must be made. Provisions must also be made for a proper allocation of the faculty member's time. These matters should be resolved by consultation of the faculty member with his Department Chairman, and approval of such conditions noted by signatures on the BYU Grants and Contracts Summary Sheet. The signatures needed are those of the Department Chairman, Dean and when required, the Director of Space Utilization.

Before preparation of a completed proposal for submission to governmental agencies, the following information should be submitted to the Research Division on a form provided for this purpose:

a) Name of principal investigator and other professional personnel.

b) Title of proposal

c) Agency to which the proposal will be submitted

d) Period covered by proposal

d) Money requested

This information is necessary to obtain Presidential approval for government grants and contracts. Appendix B represents the form to be used, (Form P-3).
After the proposal has been prepared and the budget prepared in collaboration with the Research Division, it should go through some review process within the department or college and then circulated for approval to the Department Chairman, the Dean of the college, and then to the Director of Research who will obtain the approval of the Academic Vice-President. The applicant should be aware that this process can take from one to two weeks, and this should be considered in light of any deadlines for submission of applications. The completed proposal and Form P-1 (BYU Grants and Contracts Summary Sheet) containing summary information and approvals by the Department Chairman and the Dean should be submitted to the Research Division at least one week in advance of desired mailing time, otherwise they should be accompanied by a request from the Dean for rapid processing. Appendix C contains a sample of Form P-1, The BYU Grants and Contracts Summary Sheet.

Preliminary proposals which are sent to agencies for informational purposes, and which in no way obligate the University, need not go through the Research Division, but the Research Division should be informed.

5. Typing and reproduction of proposal - The Research Division does have secretarial help which can be utilized in the preparation of some research proposals. The office will also be responsible for reproducing the final copy of the proposal. It is not the policy of the research office to employ professional writers for the preparation of research proposals; this will be the responsibility
of the individual faculty member. The University Publications Department of the University Press can provide editorial service, which can be used to improve the literary (not scientific) quality of a proposal. The Research Division will offer assistance in the construction of the proposal and will offer suggestions for improvement of proposals submitted to the office in draft form. Appendix D is a flow chart containing the various steps and actions to be taken in the preparation and submission of a research proposal.

6. Coordination with University Development - Those proposals which are suitable for submission to Foundations, individuals or other private organizations (other than proposals which are submitted to the research departments of such organizations) will also be processed through the Research Division, which will coordinate further activities with University Development personnel. All contacts between the faculty member and the Foundation organization or individual must be cleared in advance with University Development in order that such approaches can be coordinated with other university programs which may involve the prospective donor. Also, the faculty member should provide University Development with a written report of any such contact with the prospective donor.

7. Activation of research programs - The applicant will usually be notified directly by the funding agency concerning disposition of the proposal. Ordinarily, the research office will receive an information copy of the notification. To insure that all involved
personnel and units are advised of research programs which are funded and activated, the principal investigator much contact the Research Division to sign the BYU Grants and Contracts Summary Sheet, indicating that he accepts the responsibility to direct the program.

B. Fiscal and other controls during the active period of a grant.

1. Expenditures - It is the responsibility of the awardee to insure that the funds obtained through the grant are expended according to the original budget specifications. The flexibility of budget variance will depend upon the institution awarding the grant. The awardee should be aware of limitations on variations in budget when he authorizes expenditure from the grant. The University does not allow transfer of funds from other categories into salaries and wages unless provisions are made to reimburse the University for extra overhead. Any exception to this rule must be recommended by the Director of Research.

Each grant will be given an account number by the Research Division after notification of activation of the grant. The awardee will receive from the accounting department monthly statements concerning the financial status of the grant. Under no circumstances should any financial commitment be made prior to the activation date of the grant. Special consideration, such as adherence to the Buy American Act, conflict of interest, security regulations, animal care, and protection of human rights, must be known by the awardee.
and strictly adhered to. If there are any special restrictions concerning purchasing procedures to be used in relation to the grant, the awardee should be aware of these and comply with them.

2. Research positions - There are four research positions for personnel employed for and paid through externally funded research projects: Staff Research Technician, Staff Research Assistant, Research Associate, Postdoctoral Fellow and Visiting Scientist. The descriptions for these positions are given in Appendix E.

3. Benefits for research personnel - University benefits are provided for personnel who are employed on externally funded research projects which contain the necessary overhead to accommodate such benefits. Staff Research Technicians and Staff Research Assistants are considered the equivalent to University staff personnel in terms of benefits, with the usual provisions for long term employment to qualify for retirement and some insurance benefits. Research Associates are considered the equivalent of University faculty in terms of benefits, with the exception that employment for longer than one year is necessary for the retirement and disability benefits. A physical examination is needed before disability benefits can be provided. Postdoctoral Fellows and Visiting Professors are extended the usual benefits given to faculty with the exception of retirement and disability insurance, which are not provided. Limited benefits are available to Research Associates, Postdoctoral Fellows and Visiting Professors who are paid with University funds or external sources which do not provide for the usual benefits.
Further specific information on the benefits available to research personnel is available from the Benefits Office.

4. Hiring of Research Personnel - The hiring of Staff Research Assistants is carried out in the usual fashion with Placement Services. Approvals of the Department Chairman, Dean and the Director of Research are required. Research Associates, Postdoctoral Fellows and Visiting Professors are employed through the office of the Associate Academic Vice-President and the procedure outlined in Appendix F should be followed in each case. In all cases, federal civil rights regulations must be satisfied.

5. Property control - The Research Division will maintain an inventory of equipment purchased through the grant funds given to the University. The final disposal of such equipment following termination of a grant will vary depending upon the requirements of the granting institution. It will be the responsibility of the investigator and those using the equipment so purchased to maintain and care for the equipment in a careful manner so that it will give the greatest possible utility.

6. Security - If the research program involves in any way the security of federally classified information, the procedures to be employed should be governed by the University's Facility Security Manual. This manual is maintained in the Research Division and must be read and understood by those working in classified areas.

7. Animal care - Those investigations involving the use of animals should be carried out in accordance with the established procedures
of the University Committee which is charged with this responsibility. Applicable research subject to federal regulations (dogs, cats, guinea pigs, etc.) will be governed by standard federal manuals. Contact the Research Division for information.

8. Radioactive materials - Those investigators who handle radioactive materials during the course of their research must comply with the safety requirements set forth by the University Committee on Radiation Safety.

9. Protection of human rights - Any investigation directly involving human subjects or a danger possible to human subjects not directly related to the research must comply with the requirements for the protection of human rights during the progress of such investigation. Approval of a committee set up for this purpose is required before the proposal is submitted. Appendix C gives the requirements as approved by the National Institutes of Health.

10. Conflict of interest - In some cases, there may be a possible conflict of interest on the part of the investigator as he develops his research program. A federally approved BYU policy and procedures statement is found in Appendix H.

11. Effort reports - It is the responsibility of the individual investigator to supply any information needed for effort reports relating to his project. Wherever possible, the research office will facilitate the submission of such reports by standard administrative procedures.

12. Scientific reports - It is the responsibility of the individual investigator to supply the reports required under the conditions
of the grant or contract. Such reports will be administratively facilitated by the research office wherever possible. In addition, the research office will prepare suitable reports for submission to the University and the general public. The aid of the individual investigator will be sought for the preparation of such reports.

13. Publications - Where the investigation carried out through a grant or contract results in information and data which are suitable for publication, the awardee should take the necessary initiative to prepare appropriate publications. The research office encourages such publications and also public presentations of data obtained through the various research programs at the University. In all publications, the University and the source of supporting funds should be acknowledged.

C. Application for University funds by faculty members.

Some funds are made available by the University to support research projects. In addition, Summer and Academic Year Fellowships are available. The research projects supported in this manner are those selected and proposed by the faculty member. The individual faculty member may request such funds in one of the three categories listed below:

1. Faculty fellowships - These are designed to provide faculty the time to participate in research projects during the academic year or the summer months. The summer fellowships are intended to be commensurate with a summer teaching position and will pay a stipend for one or two summer terms. The academic year fellowship will normally be for one semester full time or for two semesters at half
time for research. In the awarding of such fellowships, special consideration will be given (1) new faculty members who need the funds to establish an individual research program and (2) those requests where the awarding of such funds would have a high probability of stimulating increased research productivity on the part of the faculty member or his department, (3) requests which support high priority departmental objectives. A written report will be made to the research office concerning the results of the research carried on under funded programs. An ad hoc committee will be appointed each year to distribute these funds. Appendix I shows the application forms to be used in applying for these fellowships, and Appendix J shows the forms used in reporting the results of the project.

2. Research Project Funds - Some University funds will be available for equipment, supplies, wages and travel which are needed for approved research projects. The same general criteria listed above for the awarding of faculty fellowships will apply to the awarding of University funds for these purposes. The form shown in Appendix I is used to apply for such funds.

3. Special projects - There are cases in which it will be appropriate to use University funds for the purchase of more expensive items of equipment or for the support of some other special project which will be of general utility to a department or faculty members. These funds are not administered by the Research Division.
D. Research Council

The Research Division must represent fairly the faculty members, the departments, and the colleges of the University. To help achieve this purpose, a Research Council is constituted. This Research Council will have two main purposes, as follows:

1. To serve as an advisory council to the Director of Research in all matters pertaining to research at the University.
2. To perform upon assignment specified duties and functions relating to the research programs of the University.

The Research Council will include the Director of Research as Chairman, and he and six representatives appointed by the President from the major academic areas of the University which are active in research constitute the Executive Committee. Other members on the council are the research coordinators from the colleges which are involved in research in a major way. The usual term of office for members of the Executive Committee is three years.

The following are the specific responsibilities of the Research Council:

1. To counsel with the Director of Research on matters of research affecting the University, and make recommendations to the Director of Research upon his request.
2. To perform specified tasks upon assignment by the Director of Research.
3. To consider applications for the creation of new Research Centers and Research Institutes and to evaluate at five year intervals the research centers and institutes currently in
existence at the University. The experience of selected faculty will also be utilized in these evaluations.

4. To assist in long-term planning for research at Brigham Young University.

5. To recommend revision of research policies from time to time as seems appropriate.

6. To be alert at all times to the research needs of the University as a whole and to consider ways in which the stature of the University can be increased through more effective research by the individual faculty members.

7. The research council will schedule meetings once each month. Additional meetings will be called as needed. If a member of the research council is unable to attend an appointed meeting, he should appoint a representative who has full power to act for him in any decision required of the council. From time to time, additional people will be invited to attend the meeting if items pertaining to their responsibilities are under consideration. This would include University personnel responsible for space allocation, buildings, safety, etc.

E. The creation of special research organizations will be encouraged, but it must be shown that the creation of such research organizations represent a real need either to capitalize on some unique research facility within the University or to expand a research capability which is peculiar to one college or may extend across traditional college boundaries.
A research organization which is small and involves only a few individuals will be designated a Research Unit, Research Laboratory, Research Group, or given some other appropriate name. These research organizations will be responsible to the dean of the college. Organizations which are moderate in size and scope, and whose activities fall mostly within one college will be designated Research Centers. Organizations which are larger in scope or which involve more than one college in a major way will be designated Research Institutes.

The following procedural information describes Research Institutes, but would also apply for Research Centers except that the organization of a Research Center may be simpler than that suggested for a Research Institute.

1. **Formation of new Research Institutes** - The Research Division will consider requests from individual faculty members, heads of departments, or deans for the formation of Research Institutes. Before a formal proposal is submitted, however, those initiating the action should first meet informally with the deans of the colleges involved and then with the Director of Research to discuss the possible formation of such an Institute. This informal discussion will allow for an exchange of ideas, and will provide the opportunity for a dialogue between the deans and the Director of Research and those contemplating the formation of the new research organization. The formal request for formation of a Research Institute should include the following items:

   a. The rationale for the formation of the Research Institute,
including an explicit statement concerning the goals and the mechanism whereby the operation of the Institute will increase the research capability of the University.

b. The organizational structure of the Research Institute, with a designation of the responsible officers.

c. A five-year program, including a description of the work to be undertaken, a listing of the staff who will be involved in the Institute during this period and also a budget indicating how the program will be supported financially and major equipment and facilities needed.

d. The proposal should also have approval of the heads of departments and deans of colleges for the individuals who will be involved in the Research Institute. These approvals will indicate support by the departments and the colleges involved, with specific emphasis upon the approval of released time of individual faculty members from their regular assignments in the departments.

e. Some indication of the research capability of the faculty and staff to be involved in the new Institute, including a summary of research accomplishments and potential of proposed Institute members.

If the proposal for formation of a new Research Institute is approved by the Director of Research after consultation with the University Research Council, the proposal will be forwarded to the Academic Vice-President for administrative approval at the University level.
The suggested organization of a Research Institute will include an Advisory Committee which would be constituted as follows: The Director of Research, deans of those colleges whose faculty would be involved in a significant way in the Research Institute, chairmen of departments in which the major focus of the research would fall (if such be the case), and other members as would be appropriate. Usually the Director of Research or the dean of the major college will serve as chairman and will form the Advisory Committee. The function of this committee will be to advise the Director of the Institute who will be administratively accountable to either a dean or the Director of Research as appropriate. A simpler organization may be appropriate for Research centers.

2. Operation of Research Institutes

a. Control of personnel - The director of a Research Institute will supervise and be administratively responsible for all personnel whose primary University appointment is with the Institute. For personnel whose appointments are in a department of the University, the director will supervise the research they do in association with the Institute and will confer with Department Chairmen on performance evaluations for such personnel. It is anticipated that professional personnel in a Research Institute would of necessity be coordinated with the respective Department Chairmen and dean of the college involved. This will help insure that Research Institutes are sensitive to the needs and goals of the University and its program.
b. Funds which are assigned specifically to the Research Institute may be expended under the authority of the Director of the Institute. Such expenditures should be in accordance with budgets which have been submitted to and approved by the Dean or Director of Research, whichever one has responsibility for the Institute. Institute budgets will be available to the Advisory Committee.

c. Solicitation of funds - Any activity involving the solicitation of funds for a Research Institute must be coordinated with the Research Division, in order that the solicitation procedures shall be most effective and also coordinated with other fund raising programs of the Research Division and the University in general. All proposals for outside funding of research programs by Research Institutes must be submitted through the Research Division.

d. Relationship to departments and colleges - Each Research Institute will have its own goals, programs, and perhaps organizational structure. In the overall operation of each Research Institute, it is necessary that maximal interaction be obtained between the Research Institute and the related departments within the University. Through such close cooperation, the goals of both the Research Institute and the departments will be furthered.

3. Review of Research Institutes - Each newly-founded Research Institute will be reviewed after two years and thereafter at five year intervals. Established Institutes will be reviewed at five year intervals.
intervals. The review will be performed by the Research Division and Advisory Committee which may seek outside advice and help in order to evaluate the effectiveness of the Research Institute and the degree to which the Research Institute has been able to meet its goals and fulfill the program which was set forth in the original proposal. A summary report of the Institute activities will be prepared by the Institute Director for this purpose. Such reviews will allow for expansion or modification of existing Research Institutes to enable them to adjust to changing climates and needs in their areas of endeavor, and will also allow for the phasing out of those Research Institutes whose particular needs and functions have been realized.

F. Patent Policy - The patent policy of the University is given in Appendix K. This policy provides for the assignment of patent rights to the University, which will do all that is necessary to obtain patents on appropriate discoveries and creations. Royalties received for such patents will be shared by the inventor and the University, according to the provisions set forth in the patent policy.
Appendix A

Format for Cover Sheet of Proposals (unless otherwise specified by Granting Agency)

A Research Proposal Submitted to

(The Agency)

by

Brigham Young University

Provo, Utah 84601

1. Title:

2. Principal Investigator: Phone:

3. Period: (Beginning Date) to (Termination Date)

4. New (or Renewal) Request:

5. Amount Requested:

6. Financial Officer to whom check should be sent:

7. Department and location where program will be performed:

8. Endorsements:

(Typed Name)
Principal Investigator

(Typed Name)
Director of Research or Responsible Administrator

(Typed Name)
Academic Vice-President
For Brigham Young University
Appendix B

Approval to Apply for Government Research Support

Date:
Principal Investigator:

Title of Project:

Agency:
Period of Program:
Amount Requested:

(Typed Name)  
Director of Research  

Date

(Typed Name)  
President  

Date
**SUMMARY SHEET**  
**BYU GRANTS AND CONTRACTS**

**SECTION I**  
(To Be Completed by Principal Investigator)  
See Reverse Side for Instructions.

<table>
<thead>
<tr>
<th>Principal Investigator(s)</th>
<th>Latest Postmark Date</th>
</tr>
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<tr>
<td>College</td>
<td></td>
</tr>
<tr>
<td>Dept.</td>
<td></td>
</tr>
</tbody>
</table>

Project Title

**Human Subjects Review Required?**  
☐ Yes  ☐ No

**Additional Faculty Required?**  
☐ Yes  ☐ No  
**Number:**

**Additional Space Required?**  
☐ Yes  ☐ No

**Conversion of Existing Space?**  
☐ Yes  ☐ No

**Classified Material Involved?**  
☐ Yes  ☐ No

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<th>Source of Funds</th>
<th>Type of Project</th>
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<td>☐ Foundation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Attention:**

1. **Narrative Description** (Briefly describe the project):

2. Briefly describe how the project will improve the academic program of the University.

---

### BUDGET

<table>
<thead>
<tr>
<th>Budget Item</th>
<th>First Period To</th>
<th>Total Period To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wages &amp; Salaries</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Cap. Equip.</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Oper. Equip.</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Travel</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Supplies</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Other Costs</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Indirect Costs</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td><strong>Total Costs</strong></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

### FACULTY COMMITMENT

<table>
<thead>
<tr>
<th>Name</th>
<th>% of Time</th>
<th>Fall</th>
<th>Winter</th>
<th>Spring</th>
<th>Summer</th>
<th>Agency Funds</th>
<th>BYU Funds</th>
</tr>
</thead>
</table>

**Cost Sharing:**

Wages & Salaries: $  
Supplies: $  
Equipment: $  
Other: $  

---

**DEPARTMENT AND COLLEGE APPROVALS**

We approve the project, including faculty commitment, and certify that space, equipment, computer time, etc., required for this project are available and/or budgeted herein.

Principal Inv.:  
Phone:  
Dept. Chairman:  
Dept.:  
Dean:  
Director Space Utilization:

---

**SECTION II**  
(To Be Completed by Research Division)

Proposal Review and Approvals:

|--------------|-----------------|------------------|------------------|------------------|-----------|

Reports:

☐ Financial Dates:

☐ Technical Dates:

☐ Property Dates:

☐ Other Dates:

Remarks:

---

**SECTION III**  
(To Be Completed When Final Contract or Agreement Is Processed)

<table>
<thead>
<tr>
<th>Date Contract Received</th>
<th>Contract Period of Performance 19 to 19</th>
<th>Contract Number</th>
<th>Amount</th>
</tr>
</thead>
</table>

I have reviewed this contract and recommend that it be accepted. To the best of my knowledge, the requirements and terms set forth therein can be fulfilled in the time and under the conditions specified. I am aware of any security regulations, conflict of interest policy, and other special requirements which apply to the contract, and will follow BYU policies in fulfilling this contract.

**Date:**  
**Signature of Principal Investigator/Director:**  

---

Form P-1 11-71
Appendix D

FLOWSHEET FOR SUBMITTING PROPOSALS

All proposals for outside research funds, including federal and private grants and contracts, NIH Career Development Awards etc. must be initiated through the Research Division unless specifically exempted by the Academic Vice President.

A. Preliminary Approval for Proposals Submitted to Governmental Agencies

Approval by the President of BYU is required for research proposals sent to governmental agencies. If there is a question about the proposal meeting board requirements, the President takes the proposal to the executive committee of the Board, whose agenda is prepared on the second Thursday of each month. Renewal proposals and proposals sent to private agencies do not require the approval of the President or the Board.

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Action Needed</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Investigator</td>
<td>1. After discussion with Department Chairman, submits Approval Sheet (Form P-3) indicating: Investigator's Name, Title of Project, Agency, Period of Program, Dollar Amount Requested.</td>
<td>Six weeks before submission if board approval is required; otherwise, two weeks before mailing date.</td>
</tr>
<tr>
<td>2 Research Division</td>
<td>2. Transmits</td>
<td>Each Wednesday afternoon</td>
</tr>
<tr>
<td>3 Academic Vice President</td>
<td>3. Transmits</td>
<td>Each Friday morning</td>
</tr>
<tr>
<td>4 President</td>
<td>4. President approves, disapproves or refers to Board for action.</td>
<td>Immediate decision if not taken to the Board</td>
</tr>
<tr>
<td>Board</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Academic Vice President</td>
<td>5. Notification of decision</td>
<td>As soon as possible</td>
</tr>
<tr>
<td>6 Research Division</td>
<td>6. Notification of decision</td>
<td>As soon as possible</td>
</tr>
<tr>
<td>7 Investigator</td>
<td>7. Prepares proposal</td>
<td></td>
</tr>
</tbody>
</table>
8. Preparation, Approval, and Submission of all research proposals

All proposals for governmental funds will be submitted for approval beyond the office of the Research Director only after the President's approval, as indicated in section A above. Research proposals to foundations, corporations, and other non-governmental sources must also be initiated through the Research Division. Research proposals which request gifts or grants from corporations and from some foundations must also be approved by University Development.

<table>
<thead>
<tr>
<th>Personnel</th>
<th>Action</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Investigator</td>
<td>1. After discussion with department chairman, investigator consults with Research Division concerning special agency and university requirements, then submits one copy of completed proposal and BYU Grants and Contracts Summary Sheet (Form P-1) with necessary signatures.</td>
<td>No later than one week before mailing date.</td>
</tr>
<tr>
<td>2. Research Division</td>
<td>2. Reviews and approves on check sheet (Form P-2). Prepares master copies for duplication if needed. Investigator proofs copy and obtains signatures as needed.</td>
<td>As soon as possible</td>
</tr>
<tr>
<td>3. Press</td>
<td>3. Prepares copies and delivers to Research Division</td>
<td>Usually three days</td>
</tr>
<tr>
<td>4. Research Division</td>
<td>4. Transmits</td>
<td>Weekly on Wednesday</td>
</tr>
<tr>
<td>5. Academic Vice-President</td>
<td>5. Signs and transmits</td>
<td>As soon as possible</td>
</tr>
<tr>
<td>5. Executive Vice-President</td>
<td>6. Approves unusual budgets</td>
<td>As soon as possible</td>
</tr>
</tbody>
</table>
7. Reviews unusual type contracts for legal approval. Not necessary for renewals.
   As soon as possible

8. Research Division mails proposals. Copies are sent to investigator
   As soon as possible

After notification of award the investigator will contact the Research Division to complete the BYU Grants and Contracts Summary Sheet, which will then be distributed to the appropriate persons.
Appendix E

DESCRIPTION OF RESEARCH POSITIONS

Staff Research Technician - A person who has some university or college training but does not have a bachelors degree. His duties would include technical assistance to other professional persons on a research project and other duties as assigned.

Staff Research Assistant - A person who has a bachelors or a masters degree. His assignment on a research project would be determined by his training and level of experience. He would ordinarily be responsible to a faculty member, but could be responsible to a research associate. He would not be expected to perform independent research work.

Research Associate - A person with a Ph.D. or equivalent in experience who is hired to actively participate in and also to supervise a portion of a University research project. He would normally be responsible to the principal investigator of the project, but could himself be a principal investigator in some cases. Persons in this category would have a high degree of independence in carrying out research work of the project, and could supervise research assistants and students as appropriate.

Postdoctoral Fellow - A person with a recent Ph.D. who works under the direction of a faculty member. It is the intent of this position to provide the fellow with research experience beyond the Ph.D. and further prepare him for his profession. He normally would not supervise other personnel on the research project.

Visiting Professor - The title would apply to faculty members from other universities who visit BYU and participate in either teaching or research activities of BYU. Normally a visiting professor who is involved in research would be located in one department and would work closely with a BYU faculty member on a research project of common interest.
Appendix F

PROCEDURE FOR EMPLOYMENT OF RESEARCH ASSOCIATES AND POSTDOCTORAL FELLOWS

When it is desired to employ a research associate or postdoctoral fellow at Brigham Young University, the following procedure should be followed:

1. A file should be prepared by the Department Chairman or the Director of the Research Institute or Center with assistance from the faculty member initiating the action and sent to the Dean of the academic college or the appropriate Director. This file should include the following items as a minimum:
   a. A completed faculty data sheet.
   b. Three professional references. These may be from BYU personnel acquainted with the proposed employee.
   c. A memorandum outlining the following points:
      (1) nature and length of proposed appointment
      (2) nature of the work to be done
      (3) source of funding, either BYU funds or outside sources
      (4) if funding is from outside sources, the amount of funding for salary and the amount of funding for overhead to BYU.

2. After the Dean receives this file, he should determine whether the proposed fellow will meet BYU standards. This may be done by interview, by correspondence with him, and/or by correspondence with the Bishop and/or Stake President.

3. The Dean will forward the original of the documents in the file, together with his recommendation relative to the appointment to the Associate Academic Vice-President.

4. The Office of the Academic Vice-President will review the request and qualifications.

5. If the request for appointment is approved, notification will be sent to the Dean, the recommending Department Chairman, and the Director of Research.

6. The Director of Research will prepare the forms authorizing compensation for research and forward all copies to the Associate Academic Vice-President.

7. Approved forms will be distributed by the Associate Academic Vice-President's office through the Director of Research. The Benefits Office and other appropriate offices will be notified relative to benefits to be accorded the employee. If disability benefits are desired, a physical examination is necessary.
Appendix G

POLICY AND PROCEDURE OF BRIGHAM YOUNG UNIVERSITY
WITH REGARD TO
INVESTIGATIONS INVOLVING HUMAN SUBJECTS

I. A permanent committee known as the Human Subject Investigations Committee has been appointed and has the following general responsibilities:

A. Determine any changes in policies and procedures regarding human subject investigations.

B. Provide information, advice, and counsel to monitoring committees.

II. A committee composed of at least three appropriate faculty members is appointed by the Director of Research to monitor research involving human subjects. The committee will include members who possess the professional competence to understand the scientific content of the investigation reviewed and other procedures pertinent to the judgment to be made.

A. The monitoring committee will meet with the researcher prior to the use of human subjects in the investigation. The purposes of the meeting shall be:

(1) to review the procedures proposed by the investigator. The following items will be specifically determined:

(a) Informed consent of all human subjects will be obtained before the investigation is commenced. Documentary evidence of informed consent will be kept on file in the Research Division.

(b) Every human subject will be informed that his identity will be confidential. The University will then adhere to the confidential use of all names and identifying information.

(c) All laws of the community, state and federal government will be adhered to.

(2) to formulate experimental conditions and make suggestions as appropriate, and to receive assurance from the investigator that the policies and procedures of the University regarding the use of human subjects are adhered to.

B. Any changes in protocol of the investigation must be approved by the monitoring committee before such changes are undertaken. It will be the responsibility of the investigator to notify the monitoring committee of any proposed changes in protocol.

C. Brief reports from the principal investigator will be required semi-annually, or more frequently if necessary. The report will include the following information: (a) status of the research (b) assurance that requirements of the monitoring committee are being adhered to.
D. The monitoring committee will be available for counsel and advice on problems which arise during the course of the investigation. Before the publication of information regarding the investigation, a review of the policies and procedures will be made by the monitoring committee to determine if policies and procedures have been adhered to and to determine if the proposed publications adhere to the same policies and procedures.

E. Written copies of all monitoring committee meetings will be filed in the Research Division office.

III. The University has the usual University facilities and professional personnel. Included in the facilities and personnel are a state licensed hospital with an appropriate staff of professional medical doctors, nurses and technicians; staff members having doctorates in psychology, sociology, zoology, bacteriology and other related disciplines, and facilities for the operation of these staffs.
Appendix II

CONFLICT OF INTEREST

As approved by the Deans' Council February 5, 1968

I. Applicable Personnel -- The policy applies to university personnel (faculty, administrators, professional staff members, or employees) who undertake or engage in sponsored research (supported by external funds or university funds) or work and also have a significant financial interest in or a consulting or employment arrangement with a private business concern.

II. Purpose -- University personnel are to avoid actual or apparent conflicts of interest between sponsored university research or work obligations and other outside interests and obligations.

III. Policy

A. Situations in or from which conflicts of interest may arise and which are to be avoided are:

1. Undertaking or orientation of the staff member's University research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the University and to the sponsoring agency.

2. Purchase of major equipment, instruments, materials, or other items for University research from a private firm in which the staff member has a significant interest without disclosure of such interest.

3. Transmission for personal use of products, results, materials, records, or information that are not made generally available to an organization other than the one sponsoring the work.

4. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for government or other organizations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements.)

5. Negotiation or influence upon the negotiation of contracts between the University, state or federal government, and other organizations with which he has a consulting or other significant relationship.

6. Acceptance of gratuities or special favors from private organizations with which the University does or may conduct business in connection with a sponsored research project, under circumstances which might reasonably be interpreted as an attempt to influence the recipient in the conduct of his duties.
B. The Director of Research shall be contacted for guidance on problems that may develop as a result of outside financial or consulting interest as they relate to participation in government-sponsored research or work.

C. Applicable personnel must report in writing to the department chairman and dean as a part of the application prior to engaging in sponsored research or work. This report must be submitted on the University form entitled "University Personnel Outside Activity Report". One copy shall be maintained in the dean's office and one copy shall be forwarded to the Director of Research who will maintain a central University file. Deans shall rule whether a conflict of interest will result. Appeal may be made to the University legal counsel, whose decision will be final.
Appendix I

APPLICATION FOR RESEARCH GRANT
BYU Research Division
673 Widtsoe Building
Feb. 18, 1972

Type of Support Requested:

☐ Fellowship, Summer 1973
☐ Research Project, Sept., 1972-Aug., 1973

To: Dept. Chairman: April 3, 1972
Dean: April 10, 1972
Research Division: April 24, 1972
Notification: May 24, 1972

Name: ___________________________________________ Dept: ________________________

BYU Address: ________________________ Tel.: _________ Highest Degree: ________ Rank: _________

Have you been awarded an Academic Year Research Fellowship for 1972-73________

I. PROGRAM

Title:

Objectives:

Significance:

1Applications for Academic Year Faculty Fellowships for 1973-74 will be distributed Sept. 1, 1972
2Submit one copy and retain one copy
3See back page for further directions
II. COMPLETE FOR FELLOWSHIP AND RESEARCH PROJECT FUNDS REQUESTS:

If you are applying for a summer fellowship, will you accept the research project funds without a fellowship?  
How much other funding will you have for the period of this request?  
Will your proposed research support student research?  How?  
Are you now the chairman of a student thesis advisory committee?  
Do you expect to be next year?  
Do you expect to write a proposal for outside funds based upon this proposed research?  
Indicate the agency and program:  
Do you expect to publish the results of your research? Where?  
When was your last sabbatical leave? When is your next sabbatical leave?  
Write in or attach a list of your publications for the past five years:  

III. CHAIRMAN'S SECTION

If an academic year Faculty Research Fellowship is requested, satisfactory adjustments can be made in the department with the following:

<table>
<thead>
<tr>
<th>Check</th>
<th>Credit</th>
</tr>
</thead>
<tbody>
<tr>
<td>One</td>
<td>Hours</td>
</tr>
</tbody>
</table>

1. No additional teaching help
2. Graduate student assistants
3. Additional faculty

Chairman's recommendation and reasons for the recommendation. Describe any unusual features pertaining to this proposal.

Signature of Dept. Chairman
Appendix J

Report on Research Grant from B.Y.U.

Name:

Title of Project:

Type and period of grant:

Was additional support received or is it pending from other sources?

If so, how much, $_________. What period does it cover?___________.

Time spent on project.___________. to ______.___________.

Approximate days spent on this project.___________.

Report of Progress. Include significant observations and accomplishments and list any publications resulting from this project.