

Compliance Issue	Workday Type	Description	Penalty Fee
<b>Payroll</b>			
Manual Check	Payroll	Any On Demand Payment includes any off-cycle payment requested of BYU Payroll, including manual or special checks.	\$ 35.00
No Direct Deposit	Payroll	Employee has not successfully set up Direct Deposit for 3 pay periods.	\$ 0.00
Time Not Approved	Payroll	Time not approved by supervisor. Supervisors or Delegates are required to approve all hourly reported time for all non-exempt employees each pay period.	\$ 0.00
<b>Human Resources</b>			
Late I-9 - Student	HR	Federal regulation requires Section 1 of the Form I-9 be completed by the new employee on or before the first day of work and Section 2 within 3 business days of the start date. Departments will be assessed a \$500 fine for each late I-9 and could face Federal penalties ranging from \$288 - \$28,619.	\$ 500.00
Late I-9 - Full-time Staff exempt & non-exempt	HR	Federal regulation requires Section 1 of the Form I-9 be completed by the new employee on or before the first day of work and Section 2 within 3 business days of the start date. Departments will be assessed a \$500 fine for each late I-9 and could face Federal penalties ranging from \$288 - \$28,619.	\$ 500.00
Late I-9 - Part-time	HR	Federal regulation requires Section 1 of the Form I-9 be completed by the new employee on or before the first day of work and Section 2 within 3 business days of the start date. Departments will be assessed a \$500 fine for each late I-9 and could face Federal penalties ranging from \$288 - \$28,619.	\$ 500.00
Late I-9 - Faculty	HR	Federal regulation requires Section 1 of the Form I-9 be completed by the new employee on or before the first day of work and Section 2 within 3 business days of the start date. Departments will be assessed a \$500 fine for each late I-9 and could face Federal penalties ranging from \$288 - \$28,619.	\$ 500.00
Late Hire - Student	HR	A hire is considered late if a payment for completed work is missed. In order for a hire to not be considered late, hires must be executed in the system on or before the pay period in which the work is completed. Departments will be assessed a \$100 fine for each late hire.	\$ 100.00
Late Contract - Faculty	HR	Specifically Adjunct Faculty: All approvals must be completed by the 15th of the month (or the following work day if it lands on a weekend or holiday) from the beginning of the contracted term, block or semester. Departments will be assessed a \$100 late fee for each late contract.	\$ 100.00
Late Contract - Student	HR	Contracts are considered late if a payment for completed work is missed. In order to not be considered late, contracts must be received by the respective hiring office, and executed in the system, on or before the end date of the pay period in which work is completed. Departments will be assessed a \$100 fine for each late contract.	\$ 100.00
Late Contract - CE	HR	Contracts are considered late if a payment for completed work is missed. In order to not be considered late, contracts must be received by the respective hiring office, and executed in the system, on or before the end date of the pay period in which work is completed. Departments will be assessed a \$100 fine for each late contract.	\$ 100.00
Over 28 hours	HR	Per Church and University policy, 3/4 time employees may not work more than a twenty-eight hour weekly average during any ACA measurement period (varies by employment period). Departments will be assessed a \$1,000 fine for each occurrence.	\$ 1,000.00
<b>Purchasing &amp; Travel</b>			
After-the-Fact Purchase Requisition	Purchasing	A commitment has been made to a vendor committing BYU payment without prior involvement of the Purchasing Department for products or services greater than \$3,500. Only the Purchasing Department is authorized to commit the University to the purchase of goods and services greater than \$3,500. Campus departments may communicate with vendors to gather information, etc...but are not authorized to commit to a purchase or negotiate on behalf of the University.	\$ 20.00 ((\$20.00 for initial violation, \$100.00 for repeat violations)
Unexpensed Credit Card Charge	Expense	Credit card transactions must be fully reconciled in Workday within 30 days of the transaction date or travel return date. Transactions outstanding beyond 60 days, as determined by the Compliance Report preparation date (later than the period ending date), will be subject to penalty.	\$ 100.00 (After 60 days late)
Airfare Not Purchased Through BYU Travel	Expense	All airfare paid by BYU must be booked in consultation with BYU Purchasing & Travel.	\$ 100.00
Gift Cards Purchased with Credit Card	Expense	Gift cards must be purchased through or authorized by Treasury Services.	\$ 50.00
Missing Documentation	Expense	A detailed receipt is required for all non-travel transactions and for travel transactions of \$50 or more. Credit card sales slips or bank statements do not satisfy this requirement.	\$ 20.00
Misuse of Credit Card	Expense	University-issued credit cards must not be used for personal purposes, except for incidental purchases incurred while on travel status. A penalty will be assessed for repeated or intentional violations.	\$ 100.00 (For repeated or intentional violations)
P-Card Split Transaction	Expense	Transactions split into multiple purchases that collectively exceed the P-card transaction limit are not permitted.	\$ 50.00
Unpaid Cash Advance or Payment	Expense	Payment to BYU has not been received by My Financial Center and is now more than 7 days past due, or a Cash Advance has not been reconciled and it has been 30 days or more since the return date. A penalty will be assessed for any outstanding amount exceeding 60 days.	\$ 100.00
Miscellaneous	Expense		
<b>Treasury</b>			
Missing Distribution Documentation	Treasury	Cash or Gift Card distribution documentation or any unused cash or gift cards not returned by the due date. Can also include unauthorized purchases made outside of University Policy for gift card purchases required to go through Treasury Services and <a href="https://giftcards.byu.edu">https://giftcards.byu.edu</a> .	\$ 50.00