WESTERN AND WAS AN UNIVERSITY COMPLIANCE MATERY	NUTIVADO FACINO (FOA) COMPUNANCE				
WESTERN MICHIGAN UNIVERSITY COMPLIANCE MATRIX - C					
Office of Research and Innovation					
2018 - 2019 (now academic year 2019-2020)					
2020 2025 (1101) deductinic year 2025 2020)					
COMPLIANCE STANDARD	SUMMARY OF REQUIREMENT	UNIVERSITY COMPLIANCE SOURCE	STATUTORY CITATION	COMPLIANCE DATE	PERIODIC REVIEW DATE
Pre-2018 COMMON RULE	Protections of Human Subjects participating in research	OVPR/WMU IRB	45 CFR 46 Pre-2018	Studies approved prior to	
	activities			01/21/2019 and for federal	
				agencies not signators on the	
				revised (e.g., FDA, DOI, etc.)	
New Revised COMMON RULE	Protections of Human Subjects participating in research	OVPR/WMU IRB	45 CFR 46 New Revised	Studies approved on or after	
	activities			01/21/2019	
FDA Research Involving Humans	Protections of Human Subjects participating in research	OVPR/WMU IRB (use of external	21 CFR 50		
	activities	biomedical IRB)		4/1/2012	
FDA Institutional Review Board (IRB)	Institutional Review Boards (IRB) - Human Subjects	OVPR/WMU IRB (use of external	21 CFR 56		
		biomedical IRB)		Revised 04/01/2018	
				++	
	+++	+		++	
	+++	+	+	++	
ANIMAL WELFARE ACT	HUMANE TREATMENT OF ANIMALS	OVPR/IACUC	 	++	
ANIMAE WELLAND ACT	Humane Treatment of Animals: Governs the treatment of	OVPR/IACUC OVPR/IACUC		++	
Animal Welfare Act 7 U.S.C. §§ 2131-2159	animals used in research	OVINIACOC			
Office of Laboratory Animal Welfare (OLAW	Animal Welfare Assurance	OVPR/IACUC	9 C.F.R. §§ 1-4	8/31/1989	+
Public Health Service Policy on Humane Care and Use of	Application Guide for the Care and Use of Laboratory	OVPR/IACUC	Health Research Extension Act of 1985	0,51,1505	
Laboratory Animals	Animals 8th Edition (The GUIDE)		Public Law 99-158		
Edbordtor y Arimidis	Animals our Edition (The Golde)		I done law 33 130		
Dual Use Research of Concern (DURC) (Policy Required)	Potential to enhance the pathogenicity or transmissibility of	OVPR/IBC	42 CFR Part 73, 9 CFR Part 121 and 7 CFR Part 331	(requires BL3 or 4 lab) WMU does	
	potential pandemic pathogens			not have a lab above BL2)	
RESEARCH EXPORT CONTROL	RESTRICTION OF EXPORT OF	OVPR-EXPORT CONTROLS			
			15 CFR 730-780, EXPORT ADMINISTRATION REGULATIONS (EAR)		
			BUREAU OF INDUSTRY AND SECURITY (BIS), DEPARTMENT OF		
(ITAR, EAR and OFAC)	ITEMS OR INFORMATION		COMMERCE	1/1/2012	JUST APPROVED BY UPC - CONTINUOUS - NEXT FORMAL REVIEW IS 01/2022
			22 CFR 120-130, INTERNATIONAL TRAFFIC IN ARMS (ITAR),	. / . /	
			DEPARTMENT OF STATE	4/1/2016	
			31 CFR 500-599, OFFICE OF FOREIGN ASSETS CONTROL (OFAC),	7/1/2004	
			DEPARTMENT OF TREASURY	7/1/2004	
			10 CFR 810, ASSISTANCE TO FOREIGN ATOMIC ENERGY ACTIVITIES,	3/25/2015	
			DEPARTMENT OF ENERGY 21 CFR 1312, IMPORTATION AND EXPORTATION OF CONTROLLED	3/23/2013	
			SUBSTANCES, DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT		
			OF JUSTICE	12/30/2016	
			O JOSTICE	12,55,2010	
RADIATION/HARZARDOUS	NRC/MIOSHA/DOT	OVPR/EHS/HR			
			MIOSHA: PUBLIC HEALTH CODE ACT 368 OF 1978, PART 135		
MATERIAL			RADIATION CONTROL	9/30/1978	REVIEWED & APPROVED UPC 8/2017; REVIEW DUE DATE 5/2021
			MIOSHA: IONIZING RADIATION RULES GOVERNING THE USE OF		
			RADIATION MACHINES		
			NRC: NUREG 1556 VOL. 7, PROGRAM-SPECIFIC GUIDANCE ABOUT		
			ACADEMIC, RESEARCH AND DEVELOPMENT, AND OTHER LICENSES OF		
			LIMITED SCOPE	Feb-18	
			NRC: NUREG 1556 VOL. 11, PROGRAM-SPECIFIC GUIDANCE ABOUT		
			LICENSES OF BROAD SCOPE	Feb-17	
			NRC MATERIAL LICENSE NO. 21-03336-09 ISSUED TO WESTERN		
	+++	+	MICHIGAN UNIVERSITY ON JULY 07, 2017.	7-Jul-17	
			NRC MATERIAL LICENSE NO. 21-03336-10 ISSUED TO WESTERN	24.44	
		+	MICHIGAN UNIVERSITY ON MAY 24, 2012.	24-May-12	
			NRC: 10CFR19, NOTICES, INSTRUCTIONS AND REPORTS TO WORKERS:	1954 and 1974	
	+++	+	INSPECTION AND INVESTIGATIONS NRC: 10CFR20, STANDARDS FOR PROTECTION AGAINST RADIATION	1534 aliu 1574	+
			INIC. 10CFN20, STANDANDS FOR FROTECTION AGAINST RADIATION	1954 and 1974	
		1 1		1255 . 00 257 .	1 1

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				NRC: 10CFR30, RULES OF GENERAL APPLICABILITY TO DOMESTIC		
				ICENSING OF BYPRODUCT MATERIAL	1954 and 1974	
				NRC: 10CFR33, SPECIFIC DOMESTIC LICENSES OF BROAD SCOPE FOR	1954 and 1974	
				BYPRODUCT MATERIAL NRC: 10CFR37, PHYSICAL PROTECTION OF CATEGORY 1 AND CATEGORY	1954 and 1974	
				QUANTITIES OF RADIOACTIVE MATERIAL	1954 and 1974	
				NRC: 10CFR40, DOMESTIC LICENSING OF SOURCE MATERIAL	1954 and 1974	
				NRC: 10CFR61, LICENSING REQUIREMENTS FOR LAND DISPOSAL OF		
				RADIOACTIVE WASTE	1954 and 1974	
				NRC: 10CFR71, PACKAGING AND TRANSPORTATION OF RADIOACTIVE		
				MATERIAL	1954 and 1974	
				OOT: 49CFR172, HAZARDOUS MATERIALS TABLE, SPECIAL PROVISIONS,		
				HAZARDOUS MATERIALS COMMUNICATIONS, EMERGENCY RESPONSE		
				NFORMATION, TRAINING REQUIREMENTS, AND SECURITY PLANS	10/1/2006	
			- 	DOT: 40CEP473 CHIPPERS CENERAL REQUIREMENTS FOR CHIPMENTS	10/1/2006	
				DOT: 49CFR173, SHIPPERS—GENERAL REQUIREMENTS FOR SHIPMENTS AND PACKAGINGS	10/1/2011	
			- '	AND FACKAGINGS	10/1/2011	
	NIH guidelines for exclusion from Federal programs and			NIH 2CFR Part 376 (2CFR Part 180) Debarment and Suspension		
DEBARMENT AND SUSPENSION	activities	OVPR			3/1/2007	
			9	Subpart C of 2 CFR part 180 as adopted by the Arts Endowment in 2 CFR		
				32.3254		
	+++			WI 4205D 2 450 C 1 45 D 45		
	Docian conduct and reporting of foderally funded research			NIH 42CFR Part 50, Subpart F - Promoting Objectivity in Research		
CONFLICT OF INTEREST	Design, conduct, and reporting of federally funded research is free from bias resulting from financial conflicts of interest				8/24/2012	
CONFLICT OF INTEREST	is free from bias resulting from financial conflicts of litterest				8/24/2012	
	own, patent, and commercialize inventions developed under			Bayh-Dole Act Pub. L. 96-517		
PATENTS AND TRADEMARKS	federally funded research programs	OVPR			12-Dec-80	3 years
FEDERAL CRANTS & CONTRACTS	CDANT MAANA CEMENT	OVER	- 	000 000 11 16 00 11	12/25/2012	
FEDERAL GRANTS & CONTRACTS	GRANT MANAGEMENT	OVPR	- '	2 CFR 200, Uniform Guidance	12/26/2013	
NIH Guidelines for Research Involving Recombinant or	Recombinant and Synthetic DNA Research	OVPR/IBC				
Synthetic Nucleic Acid Molecules (NIH Guidelines)						
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NSF Training in Responsible Conduct of Research (RCR)	NSF RCR Training Requirement	OVPR/Research Compliance		NSF's Implementation of Section 7009 of the America COMPETES		
				Act	8/9/2007	
NIH Training in Responsible Conduct of Research (RCR)	NIH RCR Training for certain grants	OVPR/Research Compliance		see Notice NOT-RR-11-005 This Notice updates the requirement for		
				raining in the Responsible Conduct of Research (RCR) with respect to		
				NCRR Science Education Partnership Award (SEPA) (R25) applications.	4/10/2011	
					4/19/2011	
	+++				10/1/2010	
				P.L. 110-252 section 6202(a) Federal Funding Accountability and	10, 1, 2010	
SUBAWARD REPORTING	GRANT MANAGEMENT	OVPR		ransparency Act	9/26/2006	
				FAR 52.204-10 Reporting Executive Compensation and First-Tier		
				Subcontract Awards	8/27/2012	
	Disability disasimination with		-HH			
Section FOA of the Rehabilitation Act of 1072	Disability discrimination with respect to Federally funded			29 U.S.C. 794)	1/2/2012	
Section 504 of the Rehabilitation Act of 1973	programs/activities		-HH		1/3/2012	
Section 504 Self-Evaluation and Additional Resources	Self-evaluation of compliance with Section 504					
Section 304 Sen-Evaluation and Additional Resources	Title 1: employment disability discrimination. Title II; state &		- 	42 U.S.C. 12101-12213)	++	
	local government services disability discrimination. Title III;			42 0.3.C. 12101-12213)		
Americans with Disabilities Act of 1990	Public accommodation				1990, 2008, 2011	
Title VI of the Civil Rights Act of 1964	Discrimination based on race, color, or national origin			42 U.S.C 2000d et seq	7/2/1964	
Improving Access to Services for Persons with Limited	and the state of t			executive order 13166	7,2,1504	
English Proficiency	Discrimination based on english language proficiency				8/11/2000	
	,				5,, 2000	

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Title IX of the Education Amendments of 1972	Education program or activity discrimination based on sex	20 U.S.C. 1681 et seq	6/23/1972	
THE IX OF THE EUGCATION AMERICANIES OF 1372	Age-based discrimination with respect to Federally funded	42 U.S.C. 6101 et seg	0/23/1972	
Age Discrimination Act of 1975	programs/activities	42 U.S.C. 0101 et Seq	11/28/1975	
rige Sistemmation Net of 1979	programs/ activities		11/20/19/3	
 	Environmental implications of activity supported by federal	42 U.S.C. Section 4332		
National Environmental Policy Act of 1969	funds		1969 and amendments	
,		16 U.S.C. 470		
National Historic Preservation Act of 1966	Federally funded projects tthat impact historic structures		1966 and amendments	
	Certification that organization is not delinquent in repaying	OMB Circular A-129		
FEDERAL DEBT STATUS	federal debt		Revised 1/1/2013	
	Program to certify drug-free work place where federal	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	+ + +	
Drug Free Werkplace Act	funded work carried out	41 U.S.C. 701 et seq. and 45 CFR Part 1155	02/01/2010 and 06/11/2015	
Drug-Free Workplace Act	Tunided work carried out		02/01/2010 and 06/11/2015	
			+ + +	
	Restrictions related to funds appropriated by an act of	2 CFR 200.450	 	
Lobbying	Congress		12/26/2013	
Certification Regarding Lobbying to Obtain Awards	Prohibition of federal funds for lobbying activities	Section 319 of Public Law 101-121, codified at 31; U.S.C. 1352	10/23/1989	
The Native American Graves Protection and Repatriation	Regulation related to organizations that control or possess	25 U.S.C. 3001 et seq		
Act of 1990	Native American human remains		11/16/1990	
	Requirement to provide a U.S. Constitution education	P.L. 108-447, Division J, Sec. 11(b)		
U.S. Constitution Education Program	program		12/8/2014	
	Association of Community Organization for Reform Now or	P.L. 111-88 Sec. 427		
Prohibition of use of funds to ACORN or its subsidiaries	subsidiaries	P.L. 111-88 Sec. 427	10/30/2009	
Trombition of use of fullus to Aconti of its substituties	Substitution		10/30/2009	
	Applies to professional performers and personnel employed	Part 505 of Title 29 of the Code of Regulations		
Regulations Relating to Labor	on federally funded project	The same and the s	1/9/2017	
		Uniform Guidance Subpart E – Cost Principles		
Cost Principles	Allowable costs in accordance with the Uniform Guidance		12/26/2013	
Cost Sharing or Match Requirements	Requirements related to cost sharing	20 U.S.C. 954(e) and 2 CFR 200.306	10/1/1990 and 12/26/2013	
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Indirect (Facilities & Administration) Costs	Guidelines for indirect costs	2 CFR 200.414	12/26/2013	
		2 CFR 200.430 (i)	+ + +	
Standards for Documentation of Personnel Expenses	Records related to internal controls and accounting policies		12/26/2013	
Standards for Documentation of Fersonner Expenses	necords related to internal controls and accounting policies		12/20/2013	
Record Retention and Access	Requirements for retaining financial records	2 CFR 200.333	12/26/2013	
			22/20/2013	
Audit requirements	Audit requirements for expenditures of federal funds	2 CFR 200.501	12/26/2013	