

WESTERN MICHIGAN UNIVERSITY COMPLIANCE MATRIX - OUTWARD FACING LEGAL COMPLIANCE						
Office of Research and Innovation 2018 - 2019 (now academic year 2019-2020)						
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 activities	OVPR/WMU IRB	45 CFR 46 Pre-2018	Studies approved prior to 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 activities	OVPR/WMU IRB	45 CFR 46 New Revised	Studies approved on or after 01/21/2019		
FDA Research Involving Humans	Protections of Human Subjects participating in research activities	OVPR/WMU IRB (use of external biomedical IRB)	21 CFR 50	4/1/2012		
FDA Institutional Review Board (IRB)	Institutional Review Boards (IRB) - Human Subjects	OVPR/WMU IRB (use of external biomedical IRB)	21 CFR 56	Revised 04/01/2018		
ANIMAL WELFARE ACT	HUMANE TREATMENT OF ANIMALS	OVPR/IACUC				
Animal Welfare Act 7 U.S.C. §§ 2131-2159	Humane Treatment of Animals: Governs the treatment of animals used in research	OVPR/IACUC				
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 Laboratory Animals	Application Guide for the Care and Use of Laboratory Animals 8th Edition (The GUIDE)	OVPR/IACUC	Health Research Extension Act of 1985 Public Law 99-158			
Dual Use Research of Concern (DURC) (Policy Required)	Potential to enhance the pathogenicity or transmissibility of potential pandemic pathogens	OVPR/IBC	42 CFR Part 73, 9 CFR Part 121 and 7 CFR Part 331	(requires BL3 or 4 lab) WMU does not have a lab above BL2)		
RESEARCH EXPORT CONTROL	RESTRICTION OF EXPORT OF	OVPR-EXPORT CONTROLS				
(ITAR, EAR and OFAC)	ITEMS OR INFORMATION		15 CFR 730-780, EXPORT ADMINISTRATION REGULATIONS (EAR) BUREAU OF INDUSTRY AND SECURITY (BIS), DEPARTMENT OF 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), DEPARTMENT OF TREASURY	7/1/2004		
			10 CFR 810, ASSISTANCE TO FOREIGN ATOMIC ENERGY ACTIVITIES, DEPARTMENT OF ENERGY	3/25/2015		
			21 CFR 1312, IMPORTATION AND EXPORTATION OF CONTROLLED SUBSTANCES, DRUG ENFORCEMENT ADMINISTRATION, DEPARTMENT OF JUSTICE	12/30/2016		
RADIATION/HARZARDOUS	NRC/MIOSHA/DOT	OVPR/EHS/HR				
MATERIAL			MIOSHA: PUBLIC HEALTH CODE ACT 368 OF 1978, PART 135 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 MICHIGAN UNIVERSITY ON MAY 24, 2012.	24-May-12		
			NRC: 10CFR19, NOTICES, INSTRUCTIONS AND REPORTS TO WORKERS: INSPECTION AND INVESTIGATIONS	1954 and 1974		
			NRC: 10CFR20, STANDARDS FOR PROTECTION AGAINST RADIATION	1954 and 1974		

						NRC: 10CFR30, RULES OF GENERAL APPLICABILITY TO DOMESTIC LICENSING OF BYPRODUCT MATERIAL		1954 and 1974	
						NRC: 10CFR33, SPECIFIC DOMESTIC LICENSES OF BROAD SCOPE FOR BYPRODUCT MATERIAL		1954 and 1974	
						NRC: 10CFR37, PHYSICAL PROTECTION OF CATEGORY 1 AND CATEGORY 2 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	
						DOT: 49CFR172, HAZARDOUS MATERIALS TABLE, SPECIAL PROVISIONS, HAZARDOUS MATERIALS COMMUNICATIONS, EMERGENCY RESPONSE INFORMATION, TRAINING REQUIREMENTS, AND SECURITY PLANS		10/1/2006	
						DOT: 49CFR173, SHIPPERS—GENERAL REQUIREMENTS FOR SHIPMENTS AND PACKAGINGS		10/1/2011	
DEBARMENT AND SUSPENSION			NIH guidelines for exclusion from Federal programs and activities		OVPR	NIH 2CFR Part 376 (2CFR Part 180) Debarment and Suspension		3/1/2007	
						Subpart C of 2 CFR part 180 as adopted by the Arts Endowment in 2 CFR 32.3254			
CONFLICT OF INTEREST			Design, conduct, and reporting of federally funded research is free from bias resulting from financial conflicts of interest			NIH 42CFR Part 50, Subpart F - Promoting Objectivity in Research		8/24/2012	
PATENTS AND TRADEMARKS			own, patent, and commercialize inventions developed under federally funded research programs		OVPR	Bayh-Dole Act Pub. L. 96-517		12-Dec-80	3 years
FEDERAL GRANTS & CONTRACTS			GRANT MANAGEMENT		OVPR	2 CFR 200, Uniform Guidance		12/26/2013	
NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules (NIH Guidelines)			Recombinant and Synthetic DNA Research		OVPR/IBC				
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 Training in the Responsible Conduct of Research (RCR) with respect to NCCR Science Education Partnership Award (SEPA) (R25) applications.		4/19/2011	
								10/1/2010	
SUBAWARD REPORTING			GRANT MANAGEMENT		OVPR	P.L. 110-252 section 6202(a) Federal Funding Accountability and Transparency Act		9/26/2006	
						FAR 52.204-10 Reporting Executive Compensation and First-Tier Subcontract Awards		8/27/2012	
Section 504 of the Rehabilitation Act of 1973			Disability discrimination with respect to Federally funded programs/activities			(29 U.S.C. 794)		1/3/2012	
Section 504 Self-Evaluation and Additional Resources			Self-evaluation of compliance with Section 504						
Americans with Disabilities Act of 1990			Title 1: employment disability discrimination. Title II; state & local government services disability discrimination. Title III; Public accommodation			(42 U.S.C. 12101-12213)		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 English Proficiency			Discrimination based on english language proficiency			Executive order 13166		8/11/2000	

