



HLC Accreditation 2020-2021

Evidence Document

WSU Policies and Procedures Manual

Chapter 9 / Research and Sponsored Programs

Additional information: See the web page at:
https://www.wichita.edu/about/policy/ch_09/ (Accessed March 10, 2021).



WSU Policies and Procedures

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9.01 / Research Administration

Effective: July 01, 1997 Revised: May 13, 2010

I. Policy

The academic development of Wichita State University depends strongly on its ability to attract funding from external agencies, foundations, industries and individuals to support its research and educational programs, and the professional growth of its faculty and staff. The Vice President for Research and Technology Transfer is responsible for the development, management and support of the University's research and sponsored programs activities. The Office of Research and Technology Transfer (RTT) is the University office through which local, state and federal governmental units and other prospective funding agencies and organizations channel their requests for special assistance under grants and contracts, and through which most proposals for such support are processed by the University. In the development of research and other sponsored program proposals, faculty should use the office in making contacts with appropriate governmental, business and foundation officials. The office works to stimulate the interests of these agencies in appropriate University programs whenever possible, maintains communication between the faculty, University administration, and prospective funding agencies, provides information about grant programs to faculty, assists faculty in the preparation of proposals and budgets and maintains project records. Another important function of RTT is to coordinate requests to local entities such as school boards and the aviation industry to ensure maximum institutional support and the minimum of duplicated effort. This coordination typically involves a review of the project ideas and proposal by the appropriate dean or director of the unit involved.

RTT administers all grants and contracts prepared and awarded for research, training or other projects for which there are technical and/or fiscal reporting requirements, restrictions on the specific use of funds, and commitment of University facilities or personnel. Other grant requirements such as the review of the use of humans as subjects or oversight of animal care, and the retention and audit of financial records, are managed by RTT. Gifts that do not require institutional commitments as noted above for grants and contracts are received and accounted for by the WSU Foundation. Examples of such gifts include endowed chairs or professorships, endowed faculty development funds, student support, lectureships and program series.

Due to the varied and sometimes overlapping paths by which funding for sponsored projects and corporate and foundation giving are solicited and obtained, it can be unclear to those involved whether the awarded funds fall under the purview of the WSU



Foundation or RTT. While advance communication and good-faith discussion will serve to avoid most problems, in those situations where the possibility of confusion reasonably exists and/or where there is initial disagreement, the CEO/President of the WSU Foundation or the CEO/President's designee and the Vice President for Research and Technology Transfer or the Vice President's designee shall meet and concur on the appropriate handling of the awarded funds.

To obtain information from faculty and other administrators, the Vice President for Research and Technology Transfer convenes and chairs the University Research Council, which exists for the general advocacy, support and development of research and sponsored programs throughout the University community. The council advises and makes recommendations to the Vice President for Research and Technology Transfer on matters of policy that promote and support research, service and scholarly and creative activity within the University's mission. In addition to the Vice President for Research and Technology Transfer, membership of the Research Council includes members of the graduate faculty representing each college, the doctoral-granting departments, the National Institute for Aviation Research, and other units deemed to be important to the growth and development of research and creative activity at WSU. Appointments to the council are made by the Vice President for Research and Technology Transfer in consultation with the Provost and deans of the colleges. Members of the council are expected to represent their constituents and to report to them and their dean the activities of the council.

9.02 / Pre-Award and Post-Award Services

Effective: July 01, 1997

I. Policy

The Office of Research and Technology Transfer (RTT) through established contacts with governmental agencies, private foundations and professional associations maintains an extensive library of current information on funding sources. Information is provided to faculty members and administrators about (1) current sources of program support, both public and private, (2) project guidelines, (3) existing programs and deadlines, (4) new programs and funding trends and (5) pending legislation of institutional interest. RTT also provides a clearinghouse of information on faculty interests and University programs, capabilities and facilities.

Through the publication of a monthly newsletter, RTT provides descriptions and deadlines of upcoming programs supported by government and other sponsors. Specific information is also transmitted to deans and department chairpersons. Faculty desiring periodic information on particular programs or funding sources should make their general research or other program interests known to RTT.

University research and sponsored program proposals are initiated in most instances by faculty members with specific interests requiring external funding. To facilitate the preparation of such proposals, RTT assists with the development of proposals. Upon request, RTT can provide general University information that may be needed in institutional proposals and editorial services. RTT typically reviews proposals for completeness and format, assists with budget preparation (including coordination of institutional cost sharing and other commitments), validates compliance with University, state and federal regulations, and coordinates University review procedures (principal investigators are expected to obtain the approval of department chairpersons and college deans, required prior to the submission of all proposals). After proposals are submitted, RTT monitors pending proposals, attempts to expedite their review and approval, assists with obtaining reviews and evaluations of rejected proposals from the agency involved, and negotiates research and other sponsored program contracts, grants or other agreements on behalf of the institution.

Upon approval of a proposal, final negotiations of the grant or contractual agreement are made by the Vice President for Research and Technology Transfer in consultation with the principal investigator and department chairperson. After a grant or contract has been accepted by the University, the principal investigator will be provided all documents pertaining to the granting agency's fiscal and management policies that



permit the project to begin. While the University assumes certain legal responsibilities for externally funded projects, it is the policy of the University that the principal investigator is fully responsible for conducting the project, including meeting completion deadlines and filing all technical reports. Deans and department chairpersons must be informed of the progress of externally funded projects conducted by their faculty.

To manage a sponsored program effectively, the principal investigator must be cognizant of all applicable policies and procedures and give close attention to those grantor and University regulations pertaining to budgeting, purchasing, personnel, travel, rights of human subjects, safety and security, accounting for cost sharing, and patents and copyrights. Personnel in RTT will assist the principal investigator in interpreting regulations, establishing a budget and preparing financial reports. All program expenditures must be authorized by the principal investigator and forwarded to RTT for processing.



9.03 / Research and Sponsored Program Authorization

Effective: July 01, 1997

I. Purpose

To establish the authority to commit the University to the terms and conditions of externally funded grants and contracts, and to commit University resources to the performance of tasks proposed to external sponsors.

II. Policy

The Office of Research and Technology Transfer (RTT) is charged with the responsibility of approving proposals for externally funded programs, negotiating grants and contracts, and managing awards. No faculty member, nor any other official of the University, is authorized to commit University resources to the conduct of research, training or service without receipt of authorization from RTT.

RTT provides services to support the faculty and staff in seeking and managing externally funded programs. In most instances, University research and sponsored program proposals are initiated by faculty or staff members who have specific program interests that require outside funding. In order to facilitate submission of proposals, RTT aids faculty and staff members in identifying funding sources, and provides grant guidelines and other program information documents. RTT reviews proposal drafts for completeness and format, budget preparation, appropriate authorization of commitments including cost sharing, and compliance with University policy and other regulatory requirements. All proposals for external support must be authorized by the department chair, dean and Vice President for Research and Technology Transfer prior to submission to the funding agency or industry. University faculty who are co-principal investigators with faculty from other institutions must obtain the same approvals, even though the support may come to WSU in the form of a subcontract.



9.04 / Federal Anti-Lobbying Law

Effective: July 01, 1997

I. Policy

The University, as a recipient of federal funds, is subject to anti-lobbying rules that restrict contact by mail, telephone, or in person with employees of federal agencies or congressional offices, and with members of congress. The restrictions prohibit contacts between University and federal employees after proposals requesting federal funds have been submitted by the University, until action has been completed by the federal agency. University personnel may, however, respond to questions from federal employees, and may explain the content of a proposal. Contact the Office of Research and Technology Transfer or the Executive Director of Governmental Relations for further information about contacts with federal representatives.

9.05 / University-Supported Grants

Effective: July 01, 1997

I. Policy

The University supports faculty research, scholarship and creative activity with resources made available for allocation through the Faculty Support Committee, a committee of the Faculty Senate. This committee is composed of graduate faculty members representing each of the eight faculty divisions and Academic Services, the Provost and the Vice President for Research and Technology Transfer.

Two competitive grant programs are available for tenured and probationary faculty members. The University Research/Creative Projects Award (URCA) program is intended to assist new probationary faculty in initiating research and other faculty in re-establishing a productive research agenda. Up to \$4,500 may be granted for a successful proposal. Summer support is possible through the Award for Research/Creative Projects in Summer (ARCS) program, which provides a stipend of \$3,000 to enable faculty to devote full-time for two consecutive summer months to pursue research. Both grant programs are meant to stimulate the development of proposals for external funding in appropriate disciplines. Complete information on these programs, including material to be submitted and deadlines, can be obtained from the Office of Research and Technology Transfer (RTT). Awards are made by the Vice President for Research and Technology Transfer based on recommendations from the Faculty Support Committee and are subject to the availability of funds.

All University-supported research projects are administered in accordance with established fiscal procedures and research policies, including those relating to patents, animal care, hazardous materials and human subjects. RTT provides necessary management assistance and related services for University grant recipients.



9.06 / Research Sponsored Program Cost Sharing

Effective: July 01, 1997

I. Purpose

To establish the authority to commit the University to the sharing of indirect and direct costs of tasks to be performed under external grants and contracts.

II. Policy

A. Indirect Costs

Indirect costs are a reimbursement to the University for the expenses associated with research, training and service conducted under external grants and contracts. These expenses include the cost of administration, depreciation and financing costs for buildings and equipment, utilities, and maintenance and repairs. The indirect cost rate charged by the University is negotiated with and approved by agents of the federal government periodically and represents the real cost of providing services under grants and contracts. The Vice President for Research and Technology Transfer is the only University official authorized to reduce this rate through University cost sharing. Each University unit engaged in providing contractual services to businesses and external funding agencies will be expected to establish and maintain a printed fee structure that has been reviewed by the Office of Research and Technology Transfer and certified as consistent with the basis for rates negotiated with the federal government to establish the University's allowable costs.

B. Direct Costs

Although principal investigators may initiate requests for the sharing of University resources for direct costs such as salaries, equipment and supplies with the department chair and dean, the Vice President for Research and Technology Transfer is the only University official authorized to grant final approval for such cost sharing. The Vice President for Research and Technology Transfer will consult with the principal investigator, the chair and dean, if necessary, to establish the University's cost share. Principal investigators may not make commitments of salary funding to potential grant employees prior to official notification of the grant award. When a proposal is approved, any final negotiations of the grant or contractual arrangements are made by the Vice President for Research and Technology Transfer in consultation with the principal investigator and, as necessary, legal counsel.



9.07 / Direct and Indirect Costs

Effective: July 01, 1997

I. Policy

All grants and contracts are awarded to and received by Wichita State University. The conduct of sponsored research and other sponsored programs at the University involves both direct and indirect costs. The Office of Research and Technology Transfer is responsible for negotiating with the federal government to obtain approval of the indirect cost rate, which may vary from year to year.

Direct costs usually include the following: the salaries and wages of persons employed on the research or training project; personnel fringe benefits, such as FICA and retirement plan contributions; consumable supplies needed for the project; travel and communication charges for the project; the costs of equipment acquired for specific use in the project; and computer time and necessary supporting services, calculated in accordance with an approved rate schedule for the facility.

Indirect costs are actual costs incurred by the University in the fulfillment of sponsored research contracts and grants. These costs defray the following: depreciation on University-acquired furnishings and scientific equipment; partial recovery of depreciation of building costs; partial recovery of utilities, maintenance and janitorial expenses; partial recovery of administration costs at the department, college and university levels; and costs associated with research support services, property management, technical monitoring, radiation safety and hazardous materials oversight, and institutional review of human and animal experimentation.

Disbursements of indirect cost funds will be based on actual costs recovered during the previous fiscal year. Five percent of the indirect costs generated by a principal investigator will be allocated to the investigator for use in furthering his/her research program and scholarly/creative activities. Five percent of the indirect costs generated by persons within a department/unit will be allocated to the department/unit chairperson/director for use in promoting research, scholarly and/or creative activity among persons in the department/unit; ten percent of the indirect costs generated by persons in a college division will be allocated to the college dean/division vice president (for divisions without colleges) for use in promoting research, scholarly and/or creative activity among persons within the college/division; the remaining portion of the indirect costs generated will be allocated to central administration to cover costs associated with support of the University's research activities and mission.



9.08 / Cost Sharing on Grants and Contracts

Effective: July 01, 1997

I. Purpose

To establish University policy and procedures by which a department chairperson, college dean or University officer may authorize and meet an external agency's cost sharing or matching requirements on grants and/or contracts solicited by Wichita State University.

II. Policy

Wichita State University will solicit grant and contract funding from external agencies only when proposed projects or activities are consistent with its educational purpose and mission. When funding agencies require a match from resources available to the University, cost sharing may be authorized where it is clear that the best interests of the university are served.

Cost sharing may be authorized, upon recommendation of the principal investigator, at three levels:

- A. By a department chairperson from departmental funds;
- B. By a college dean from college funds; or
- C. By the cognizant university officer from funds under his/her purview.

The commitment of cost-sharing funds and source will be authorized on the proposal routing sheet at the time the proposal is submitted and confirmed by sequential authorizations through the administrative structure.

In instances where cost sharing emerges as an issue in negotiations with an agency over a previously submitted proposal, the Vice President for Research and Technology Transfer will consult with the concerned principal investigator, chairperson, dean and/or university officer to resolve the issue. Commitments for matching funds will be authorized as outlined above.

Cost-sharing commitments may be proposed in the form of unreimbursed salaries and related fringes, overhead on salaries and fringes, or other operating expenses directly applicable to the project effort, and will be evaluated on the basis of the availability of the department or college to absorb these costs from alternate sources of funds.



III. Procedures

To assure accuracy in reporting to funding agencies, cost-sharing expenditures will be recorded as research or service costs in separate accounts for each grant or contract.

Upon receiving an award involving University cost sharing, the Office of Research and Technology Transfer (RTT) will assign two accounts: one for the new grant account and one for the cost-sharing account.

When cost-sharing commitments involve general use funds, RTT will prepare a budget adjustment form for approval by the principal investigator and the authorizing budget officer to transfer salaries and/or other operating expenses to the cost sharing account.

When cost-sharing commitments involve restricted use funds, RTT will prepare a purchase requisition for approval by the principal investigator and the authorizing budget officer to transfer funds by interfund voucher to the cost-sharing account. A budget adjustment will also be prepared by RTT to increase income to the cost-sharing department and record the anticipated expenditure.

It will be the responsibility of the principal investigator to determine whether the funding of grant expenditures is to be charged to the grant account or the cost-sharing account.



9.09 / University Ownership

Effective: July 01, 1997

I. Policy

All books and materials purchased with grant or contract funds become the property of the University. These items should be held by the principal investigator during the operation of the project. At the conclusion of a project or if the principal investigator leaves the University, all books and materials purchased with grant and contract funds must be transferred to either the appropriate academic department or the University library.

Any equipment items purchased or acquired during an externally funded project must be inventoried as University property. In most cases, the equipment will become the property of WSU at the conclusion of the project, although some grants and contracts may include specific provision for the return of the equipment to the granting agency. If grant or contract-acquired equipment becomes University property, it is transferred to the inventory of the appropriate academic department and its use will be determined by normal department procedures. If a faculty or staff member leaves the employment of WSU, no equipment may be taken from the campus without prior approval of the Vice President for Finance and Administration.



9.10 / Intellectual Property Policy and Institutional Procedures

Effective: April 05, 2001 Revised: March 25, 2015

I. Intellectual Property

[Source: Kansas Board of Regents Policy Manual: Chapter II, Governance - State Universities, A.8](#)

II. Purpose

The purpose of the Intellectual Property policy is to foster the creation and dissemination of knowledge and to provide certainty in individual and institutional rights associated with ownership and with the distribution of benefits that may be derived from the creation of intellectual property.

III. Applicability

This policy applies to all full or part-time employees, including student employees, creating intellectual property related to the scope of their employment while under contract with the University. This policy also sets forth the rights of students in academic creations that are developed as a part of course requirements.

IV. Policy

When revenues are to be shared, the creator(s) shall obtain his/her share only after the University has recouped any direct costs borne by the University for equipment and materials and costs paid to third parties. The portion of the revenues to be shared among multiple creators shall be shared equally unless otherwise agreed in writing by the creators.

A. General Copyright Policy

The ownership of the various rights associated with copyright are dependent upon the specific type of intellectual property subject to copyright protection. The University shall assert limited ownership of some of the various rights as set forth below. Since the Kansas Board of Regents and the University have a fiduciary responsibility for the appropriate use of state funds, unless otherwise provided for under this policy, all rights associated with works produced as “work-for-hire” or other works that make “substantial use” of institutional



resources belong to the institution. For purposes of this policy, the definition of “work-for-hire” is “... work prepared by an employee within the scope of his or her employment or a work specially ordered or commissioned by the institution to be prepared by the creator...” “Substantial Use” means that the creator receives more than normal support for the project or receives time and/or resources from the University specifically dedicated to the project.

Note: the concepts of “substantial use” and “work-for-hire” are applicable to the General Copyright Policy and not to the Patent and Copyrightable Software Policy.

1. Mediated Courseware

The University shall have limited ownership or control rights for mediated courseware as specified below:

a. Self-Initiated Mediated Courseware

When employees develop mediated courseware without specific direction by the University, unless otherwise agreed, the ownership of the courseware shall remain with the employee. Normally, no royalty, rent or other consideration shall be paid to the employee when that mediated courseware is used for instruction at the University and such mediated courseware shall not be used or modified without the consent of the creator(s).

The mediated courseware shall not be sold, leased, rented or otherwise used in a manner that competes in a substantial way with the for-credit offering of the University unless that transaction has received approval of the Provost. Should approval be granted to offer the course outside of the institution, the creator(s) shall reimburse the institution for substantial use of institutional resources from revenues derived from the transaction offering the course.

As owner, the creator is responsible for obtaining copyright registration, if desired, and granting permission for use of copyrighted courseware materials, provided that such registration or permission is consistent with this policy.

b. University-Directed Mediated Courseware

When the University specifically directs the creation of mediated courseware by assigning one or more employees to develop the



mediated courseware and supplies them with materials and time to develop the mediated courseware, the resulting mediated courseware belongs to the University and the University shall have the right to revise and decide who will utilize the mediated courseware in instruction.

The University may specifically agree to share revenues and control rights with the employee. In the event that an agreement has been reached between the University and employee to share rights of the courseware prior to the development of such courseware, a written contract should be agreed to between the University and the employee(s) before the project begins. The contract should include details regarding revenue sharing, derivative works, licensing to external parties and control of the mediated courseware. The Office of Research and Technology Transfer will manage these contracts.

The University is responsible for obtaining copyright registration and granting permission for use of the copyrighted courseware materials. The employee will cooperate with the University to secure the copyright, at the University's expense, including, without limitation, disclosing such courseware to the University, providing copies thereof, and signing any documents necessary to perfect the University's rights in the courseware materials.

2. Scholarly and Artistic Works

Notwithstanding any use of University resources or "work-for-hire" principle, the ownership of textbooks, scholarly monographs, trade publications, maps, charts, articles in popular magazines and newspapers, novels, nonfiction works, supporting materials, artistic works, and like works shall reside with the creator(s) and any revenue derived from their work shall belong to the creator(s). Except for textbooks, the University shall have a royalty-free use of the work within the University, unless otherwise agreed to in writing.

3. Manuscripts for Academic Journals

- a. Notwithstanding any use of University resources or the "work-for-hire" principle, the ownership of manuscripts for publication in academic journals shall reside with the creator(s) and any revenue derived from their works shall belong to the creator(s).
- b. If the manuscript is to be published, the creator(s) shall request the right to provide the University with a royalty-free right to use the manuscript within the University in its teaching, research and



service programs, but not for external distribution, and, if successful, the creator(s) shall grant such right to the University.

- c. Upon the establishment of national governmental or nonprofit entities whose purpose is to maintain in an electronically accessible manner a publicly available copy of academic manuscripts, the creator(s) may be required to provide to the appropriate entity a limited license for the use of each manuscript upon determination by the Kansas Board of Regents that the provision of a license will not jeopardize the publication of articles or infringe upon academic freedom of a faculty member.

4. Copyrightable Software

The rights to copyrightable software with an actual or projected market value in excess of \$10,000 annually, except software included in mediated courseware, shall be determined pursuant to the Patent and Copyrightable Software Policy (Section B that follows below).

5. Student Academic Creations

The ownership of student works submitted in fulfillment of academic requirements shall be with the student. The student, by enrolling in the University, gives the University a nonexclusive royalty-free license to mark on, modify, and retain the work as may be required by the process of instruction, or otherwise handle the work as set out in the University's Intellectual Property Policy or in the course syllabus. The University shall not have the right to use the work in any other manner without the written consent of the creator(s).

In those cases where the work is created from research or developmental activities that are collaborative efforts involving students, faculty or staff, or span several semesters, the student creator(s) may assign ownership of the creation, and related rights, to the University.

If support from outside the University is provided for the student's project then the ownership of the creation will be determined by the agreement between the University and the other party.

B. Patent and Copyrightable Software Policy

All right, title, and interest, in and to any inventions, patents obtained on inventions, or the ownership of copyrightable software with an actual or projected market value in excess of \$10,000 annually resulting from University sponsored research shall be retained by the University or may be assigned to an organization (hereinafter called the "Organization") independent of the



University and created for the purpose of obtaining patents on inventions, receiving gifts, administering or disposing of such patents and promoting research and the development of intellectual property at the University by every proper means.

The following requirements shall be followed with respect to inventions or software:

1. Disclosure

Anyone who conceives an invention or who develops copyrightable software (that is not included in mediated courseware) resulting from a research project sponsored by the University shall report the matter to the Vice President for Research and Technology Transfer, or designee, who will recommend whether or not to pursue patent and/or copyright protections. Disclosure must be made by submission of an Intellectual Property Disclosure Form. Disclosure Forms are available online at <http://wsuventures.org/get-started/forms-agreements-policies>.

2. Disposition/Ownership

If the University or Organization decides that an invention does not warrant patenting, the inventor is free to patent it. In such case, however, the University does not relinquish its right to publish any of the data obtained in the research project, or use the data for teaching, research, or other educational and academic purposes.

If the University or the Organization decides not to further the use of the copyrightable software, it shall assign the rights therein to the creator(s), subject to the University's publication rights or reserved rights to use the software for educational purposes.

3. Revenue Sharing

a. When any revenue is obtained by or on behalf of the University from the development or assignment of any patent or from royalties, license fees, or other charges based on any patent or copyrightable software, the **net revenue**, if any, will be distributed as follows:

- 50% to the Contributor(s) (Contributor Share)
- 25% to the Center or Department or Lab in which the work was performed (WSU Share)
- 25% to WSU Ventures (WSU Share)



Revenue sharing shall begin only after the University recoups costs as set forth in this policy.

- b. All revenue shall be paid to the University. Non-cash consideration shall be calculated based upon the fair market value at the time of distribution. In the event that there is net revenue to distribute, net revenue will be distributed not more often than quarterly and no less often than annually and will be subject to the Terms and Conditions of the license agreement or like arrangement. Distribution, if any, will be based on the State of Kansas fiscal year. There is no guarantee of net revenue to distribute.

4. Sponsored Research

- a. In case of cooperative research sponsored in part by an outside corporation or individual, a written contract shall be made between the University and the cooperating agency. This contract should include a statement of policy substantially equivalent to that outlined below:

"It is agreed by the parties to this contract that all results of experimental work, including inventions, carried on under the direction of the scientific staff of the University, belong to the University and to the public and shall be used and controlled so as to produce the greatest benefit to the public. It is understood and agreed that if patentable inventions or copyrightable software grow out of the investigation and such inventions or software have commercial value, the cooperating agency shall receive preferential consideration as a prospective licensee, with a view to compensating said cooperating agency in part for the assistance rendered in the investigation.

It is further agreed that the name of the University shall not be used by the cooperating agency in any advertisement, whether with regard to the cooperative agreement or any other related matter without the advance and written authorization of the University."

- b. In case of a research project where it is proposed that all costs including overhead, salary of investigator, reasonable rent on the use of equipment, etc., are to be paid by an outside party, the University shall negotiate with the outside party the appropriate disposition of any resulting patent or copyrightable software



rights prior to the provision of any funding by the outside party. “Appropriate disposition” shall include an option to negotiate a license to any resulting intellectual property. The University shall reserve a royalty-free right to publish all data of fundamental value to science and technology and to use the patent or copyrightable software rights for teaching, research or other educational and academic purposes.

5. Changes

Changes in the above policies shall be made to conform to the requirements of the United States Government when contracting with the United States Government or a Federal Government Agency.

C. Trademark

The University reserves the right to control and protect the trademarks and service marks of the University.

IV. Institutional Procedures

The University shall establish procedures that require employment contracts and course catalogs or syllabi to state that the employee or student is subject to the Intellectual Property Policy of the University and to resolve questions concerning intellectual property and any disputes that develop under this policy. Final decisions on disputed matters will be made by the University President, or designee, and shall constitute final agency action.

The University procedures related to intellectual property and technology transfer are available online at <http://wsuventures.org/>.

V. Implementation

This policy shall be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies in the University.

The Provost shall have primary responsibility for publication and distribution of this University policy.



9.13 / Misconduct in Research

Effective: July 01, 1997 Revised: February 13, 2017

I. Preamble

It is mandatory that the University have a viable and current policy to address allegations of misconduct in research by University employees, students, and anyone else participating in a research or research training project supported by a federal, state or local government agency, private foundation, or business, or for which an application has been submitted.

For the purposes of this policy, the definition of "misconduct in research" means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data. Standards of scholarly and creative conduct in nonscientific areas will be based on commonly accepted standards of those areas. The WSU policy on misconduct in research applies to all faculty, university support staff, unclassified professional employees, students and anyone else who may be involved with a research or research training project supported by a federal, state, or local government agency, private foundation, or business, or for which an application has been submitted.

II. Policy

A. Misconduct in Research Procedures

All allegations and evidence of misconduct in research are to be presented to the Provost. The General Counsel, or designee, will serve as legal advisor, as needed to the Provost throughout the following process. When a specific allegation is made in good faith and set forth in writing with a complete description of the event or observation that prompted the allegation, or when evidence of possible misconduct in research is discovered, the Provost or designee shall immediately initiate an inquiry. Written notification of the allegation will be provided to the individual suspected and to the chief administrative officer in charge of research (henceforth referred to as the Research Officer). The Provost, with the assistance of the Research Officer, will take appropriate interim administrative action to protect federal funds provided by any sponsor, and endeavor to ensure that the purposes of the financial assistance are being carried out. Information will be



gathered to determine whether an allegation or apparent instance of misconduct warrants an investigation and persons with the appropriate expertise will be consulted to assure a thorough evaluation of the relevant evidence. To the maximum extent possible, the privacy of those who in good faith report apparent misconduct will be protected. The inquiry will be conducted in such a way as to provide the affected individual(s) confidential treatment, a prompt and thorough inquiry, and an opportunity to comment on all allegations and findings of the inquiry and/or allegations. All possible precautions will be taken to prevent real or apparent conflicts of interest on the part of those involved in the inquiry.

An inquiry must be completed within 60 days of its initiation unless circumstances clearly warrant a longer period. A written report shall be prepared by the Provost or designee that summarizes the evidence reviewed and relevant interviews, and states the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the report of the inquiry. If suspected individual(s) comment(s) on the report, those comments will be made part of the record. If the inquiry takes longer than 60 days to complete, the suspected individual and the Research Officer will be notified in writing and the record of the inquiry shall include documentation of the reasons for exceeding the 60 day period. If an inquiry of Department of Health and Human Services (DHHS)-funded research is terminated for any reason without completion of the requirements above, notification of the termination and the reasons for it must be reported to the DHHS Office of Research Integrity.

If the initial inquiry does not substantiate the allegation, the written report and supporting files will be kept for three years in a secure location designated by the Research Officer and then destroyed. For projects funded by DHHS, copies of the report will be given to authorized DHHS personnel upon their request.

If the initial inquiry does uphold the allegation, the Provost or designee will submit a written report on the inquiry to the Research Officer for initiation of an investigation. The investigation will commence within 30 days of the completion of the inquiry and will be completed in totality within 120 days of commencement of the investigation. If federally funded research is involved, a written report, including intent to begin an investigation, will be made to the appropriate federal agency and the Office of Research Integrity (ORI) on or before the date the investigation begins. During the investigation, the Research Officer will advise ORI of any developments that may affect current or potential DHHS funding for the individual(s) under investigation. Should it not be possible to complete the investigation in 120 days, a request for extension will be submitted to ORI. The request will include an explanation for the delay, an interim report on progress to date, an outline of what remains to be done, and



an estimated date of completion. All investigations of DHHS funded research or other federally funded research must comply with pertinent regulations issued by the respective federal agency.

The Research Officer, in consultation with the President of the Faculty Senate and the Provost, will appoint an ad hoc committee of not fewer than three members chosen for their objectivity and competence to conduct an investigation. The General Counsel, or designee, will be a legal advisor to the committee. The investigation shall provide for due process for the suspected individual. The ad hoc committee will be responsible for:

1. examining all documentation relevant to the allegation and conducting interviews with individuals involved in the allegation;
2. securing necessary expertise to carry out the evaluation of the relevant evidence;
3. taking precautions against real or apparent conflicts of interest on the part of those involved;
4. preparing and maintaining the documentation necessary to substantiate the investigation's findings;
5. insuring confidentiality of all proceedings, documentation and records of the investigation unless this confidentiality is waived in writing by the accused; and
6. making a final recommendation to the Research Officer as to validity of the allegation.

B. Misconduct in Research Resolution

If an investigation of DHHS-funded research is terminated for any reason without completion of the ORI requirements, notification of the termination and the reason for it must be reported to ORI.

If the investigation does not substantiate the allegation, no further action will take place and the suspected individual will be notified in writing of the findings. The suspected individual will also be given an opportunity to comment on the allegations and findings of the investigation. Records from the investigation will be retained in a secure location designated by the Research Officer for three years and then destroyed.

If the investigation supports the allegations, the Research Officer will notify the Provost who will make a determination as to whether the case should be the basis for dismissal for cause, or if other appropriate sanctions will be imposed. The final report will also be made available for comment to the subjects of the investigation, and appropriate parts of the report will be provided to those who raised the allegation. Documentation associated with a substantiated investigation will be retained by the University and a summary of the actions of



the Provost will be placed in the individual's personnel record. The University will undertake to protect, to the extent possible, and at all times, including both inquiry and investigation stages, the professional reputation of individuals accused of scientific misconduct and the positions and reputations of those persons who, in good faith, make allegations.

When DHHS-funded research is involved, a final report of the investigation will be sent to ORI, along with a description of policies and procedures governing the investigation, and the documentation relevant to the case. If, at either the inquiry stage or the investigation stage involving DHHS-funded research, any of the following conditions exist:

1. an immediate health hazard;
2. an immediate need to protect federal funds or equipment;
3. an immediate need to protect the interests of the person(s) making the allegations or of the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;
4. it is probable that the alleged incident is going to be reported publicly; or
5. a reasonable indication of possible criminal activity,

then this condition(s) will be reported to the University's President or the President's designee who will, as appropriate, report it to the ORI, and do so within 24 hours of receipt in the case of criminal activity. Other misconduct investigations concerning federally funded research will be reported as required by the granting agency.

III. Implementation

This policy shall be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies of the University.

The Provost shall have primary responsibility for publication, dissemination and implementation of this University policy.



9.16 / Depository for Representations and Certifications

Effective: August 08, 2017

I. Purpose

The purpose of this policy is to establish a Responsible Party for each Representation and Certification requirement, an index of Representations and Certifications to monitor renewals and facilitate audits, a list of Compliance Areas and compliance responsibilities as they relate to the Representations and Certifications, and a central depository of all such Representations and Certifications.

II. Applicability

This policy is applicable to any University employee who is asked to certify, assure or make a written or legally binding representation as to whether or not the University is in compliance with any federal, state or local law, regulation, or order.

III. Definitions

For purposes of this policy only, the following definitions shall apply:

- A. "Representations and Certifications" means a certification, assurance, verification, written representation, or any other attestation that is deemed a binding statement made on behalf of the University. Representations and Certifications may include such language as "I certify to," or "I attest, under perjury of law," or "By my signature, I verify that." Representations and Certifications may be requested to be completed in writing, by electronic communication, through online portals or any other means of recording.
- B. "Responsible Party" means a University employee authorized to certify that the University is in compliance with laws affecting the employee's designated Compliance Area.
- C. "Compliance Area" means a designated subunit within the University, or an affiliated entity. A Compliance Area may include one or more individuals, departments, divisions, institutes, centers, groups, and/or organizations based primarily on their responsibilities and expertise.

IV. Compliance Areas and Responsibilities

- A. The Research Compliance Office (RCO) is responsible for maintaining a list of Compliance Areas and all responsible compliance obligations as set forth in applicable laws, regulations, grants, contracts, policies or other mandates. This



list shall also identify the designated Responsible Party for the applicable Compliance Area or compliance responsibility. The identity of the Designated Responsible Party is provided to Research Compliance Office by the head of each compliance area.

- B. On or before January 1 of each year, the Responsible Party, or designee(s), must certify in writing that the University is in compliance with the designated compliance obligations for that Compliance Area.

V. Third Party Requests for Representations and Certifications

Third-party requests for Representations and Certifications must be forwarded to the Research Compliance Office and, if applicable, to the reviewing contract department. RCO or its designee shall work with the Office of the General Counsel to accurately complete all Representations and Certifications and complete any other tasks of the RCO.

VI. Record Retention

Completed Representations and Certifications shall be submitted to RCO at compliance@wichita.edu for indexing into the depository. The Office of the General Counsel shall serve as the custodian of records for all completed Representations and Certifications. Completed Representations and Certifications shall be kept a minimum of five years following the execution date.



9.17 / Research Involving Human Subjects

Effective: July 01, 1997 Revised: August 03, 2016

I. Purpose

To comply with federal regulations regarding the review and approval of research involving human subjects conducted by faculty, staff and students of Wichita State University.

II. Preamble

The purpose of advance review of research involving human subjects by an Institutional Review Board ("IRB") and the requirements of informed consent is to assure that the rights and welfare of subjects who participate in research at Wichita State University ("University") are protected and that the University is in compliance with the requirements of Title 45 **Code of Federal Regulations**, Part 46 ("45CFR46").

III. Policy

A. Establishment of University Institutional Review Board

1. The IRB shall be composed of at least seven and not more than eleven members. At least one member shall be from an area outside the sciences such as law, ethics or religion and at least one member shall not be otherwise affiliated with the University; other members should possess backgrounds related to the research activities of the University. All members of the IRB, except those representing nonscientific areas, shall be selected for their competence in research.
2. Members of the IRB are appointed by the Vice President for Research and Technology Transfer as the Institutional Official (IO) in consultation with the Deans of the Colleges and the Directors of RTT.
3. Candidates for membership representing the scientific areas will be nominated by the Deans of the Colleges. Candidates for membership representing the community and nonscientific areas will be nominated by the Vice President for Research and Technology Transfer, the Directors of RTT and other IRB members.
4. Members shall be appointed for one-year terms and may be reappointed.
5. The IRB shall consist of members of both genders. Membership selection criteria shall include considerations of racial and cultural backgrounds, areas of professional research competence and community attitudes.



6. The Vice President for Research and Technology Transfer, the Directors of RTT and a member of the Research Compliance Office shall be ex-officio, non-voting members of the IRB.

B. Chair and Vice-chair of the University Institutional Review Board

1. A Chair and Vice-chair of the IRB shall be elected annually by IRB members at the first meeting of the IRB in the fall semester of each academic year.
2. The Chair shall convene and preside over meetings of the IRB, work closely with the Office of Research and Technology Transfer (RTT), and conduct expedited reviews when assigned by Administrator.
3. The Vice-chair shall provide assistance to the Chair as needed and preside over the meetings of the IRB in the absence of the Chair.
4. If the Chair is unable to complete a one-year term, the Vice-chair will be elevated automatically to the position of Chair for the remainder of the term and a new Vice-chair will be elected by members of the IRB.

C. Responsibilities of the University Institutional Review Board

1. All research involving human subjects conducted by University faculty, staff and students must be submitted to the IRB for review or certification of exemption from 45CFR46 prior to the initiation of such research. For research conducted by a student, the application must be approved and signed by a faculty sponsor or director, with said faculty sponsor or director listed as principal investigator with the student as co-investigator. The IRB has the authority to approve, require modifications or disapprove the proposed research.
2. In its review, the IRB will seek to assure that risks to subjects are minimized; that the selection of subjects is equitable; that informed consent is obtained from each prospective subject and documented in appropriate form; that adequate provisions exist to protect, to the full extent permitted by law, the privacy of subjects and to maintain the confidentiality of research data; and that appropriate safeguards have been included in the research plan to protect the rights and welfare of subjects who are members of a particularly vulnerable group.

IV. Implementation

- A. This policy statement will be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies of the University.
- B. RTT shall provide administrative support to the IRB by processing applications for IRB review, maintaining records of all applications and actions of the Committee and attending all IRB meetings.
- C. A copy of this policy will be given to each member appointed to the IRB.



9.18 / Animal Use

Effective: July 01, 1997 Revised: July 25, 2001

I. Policy

The use of vertebrate animals (e.g., mice, rats, gerbils, guinea pigs, rabbits, hamsters, fish, etc.) other than humans in any activity by faculty, staff, or students must be in compliance with the provisions of the Animal Welfare Act and all amendments and applicable requirements of the U.S. Department of Agriculture and the Association for Assessment and Accreditation of Laboratory Animal Care, International. The Institutional Animal Care and Use Committee (IACUC) must receive, review, and authorize animal use prior to the start of a project. Information describing animal welfare regulations, the WSU Animal Welfare Assurance document, and the form for submission of an animal use protocol are available from the Office of Research and Technology Transfer.



9.19 / Service Center Indirect Cost

Effective: October 01, 1997

I. Purpose

To comply with federal indirect cost regulations and the Colleges and Universities Rate Agreement for Wichita State University.

II. Policy

In keeping with indirect cost recovery rates negotiated with the Department of Health and Human Services, acting on behalf of the federal government, and fiscal policies of the federal Office of Management and Budget, Wichita State University (WSU) is obligated to charge indirect costs on all University contracts where services are provided to external entities, individuals, agencies and businesses, including those negotiated on behalf of WSU laboratories, offices, and other facilities (WSU Service Centers) that provide such services for fees. The budgets of said WSU Service Center contracts for services should clearly indicate the indirect costs that are being charged at the federally negotiated rate and the amount of indirect costs that are being shared, if appropriate. The Office of Research and Technology Transfer (RTT), which monitors such budgets, is responsible for maintaining compliance with federal regulations relating to indirect costs.

Since indirect costs are charged in part to recover expenses associated with the use of WSU buildings, utilities, and equipment, WSU service centers are required to budget a minimum of 10% of direct costs in all research, service, and training programs for the recovery of indirect costs. These costs will be recovered by RTT and placed in the appropriate WSU accounts that support the development and management of WSU's research and sponsored program mission through the redistribution of such funds to project directors, department chairs, and deans in accordance with the WSU policy entitled Sponsored Programs: [Indirect Costs](#) (Revised), effective July 1, 1989. Exceptions to the Service Center Indirect Cost Policy when necessary will be determined by the Vice President for Research and Technology Transfer.

III. Implementation

This policy will be distributed to WSU Service Center directors for implementation.



9.20 / U.S. Government Property Management Procedures

Effective: October 01, 2000

I. Purpose

Establish procedures to be used when any award from an agency, department, bureau, or any similar operating entity of the United States (hereinafter "U.S. Government") to Wichita State University (hereinafter "University") includes provisions for the U.S. Government to provide property or the U.S. Government claims title to property acquired with award funds.

II. Preamble

U.S. Government property is that equipment and materials for which the U.S. Government retains title as specified in an award. The University, to the extent permitted by state law, is directly responsible and accountable for all U.S. Government property in its possession, including that which has been provided to subcontractors, in compliance with the requirements of the award. This includes loss, damage, theft, destruction and disposition, but does not include normal wear and tear in utilizing the property for its intended use. The University property record becomes the official U.S. Government accounting record for any U.S. Government property in the University's possession, or the possession of its subcontractors, and must comply with U.S. Government regulations.

Regulations for acquiring or using U.S. Government property are provided in Office of Management and Budget (OMB) Circular A-110, Grants and Agreements with Institutions of Higher Education, Hospitals, and other Nonprofit Organizations. U.S. Government awards may also include regulations specified in the Federal Acquisition Regulations (FAR) Part 45, Government Property; Department of Defense Manual 4161.2-M, Property Administration; NASA Grants Regulations, section 1260.27, other U.S. Government agency supplements, and specific property provisions included in U.S. Government awards.



III. Definitions

A. Award

Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money, or property in lieu of money, by the U.S. Government to an eligible recipient.

B. Equipment

Tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

C. Exempt Property

Tangible personal property acquired in whole or in part with U.S. Government funds, where the awarding entity has statutory authority to vest title in the recipient without further obligation to the U.S. Government.

D. Materials

All personal property excluding equipment as defined in this section.

E. Personal Property

Property of any kind except real property. As used in these procedures, property is limited to equipment and materials as defined above.

F. Special Test Equipment

Single or multipurpose integrated test units engineered, designed, fabricated, or modified to accomplish special purpose testing in performing a contract. It consists of items or assemblies of equipment including standard or general-purpose items or components that are interconnected and interdependent so as to become a new functional entity for special testing purposes.

IV. Procedures

G. Award Notification

Upon receipt of a U.S. Government award that includes provisions for the U.S. Government to provide property or the U.S. Government claims title to property



acquired with award funds, the Principal Investigator and/or Award Notice Recipient shall immediately notify the Office of Financial Operations and Business Technology Property Accountant, the Physical Plant Warehouse and the Office of Research Administration to provide the following information:

1. Award number and date of award.
2. Title of award and U.S. Government entity name.
3. List of property to be owned by the U.S. Government including:
 - a. Name, description and, if furnished in the award notice, manufacturer's serial number, model number, federal stock number, national stock number, or other identification number.
 - b. Quantity.
 - c. Unit price and unit of measure.
 - d. Whether U.S. Government provided or is to be acquired with award funds.
4. Campus location for the storage/use of the property.
5. Name and phone number of the University employee who is to be the custodian of the U.S. Government property as designated by the department chair or the manager of the University unit providing oversight.

H. Principal Investigator and/or Award Notice Recipient Responsibilities

1. Provide the award notification as set forth in Section A, above.
2. Enter onto purchase requisition forms the notation "U.S. Government Property" for each applicable item.
3. When designated the custodian of U.S. Government property, fulfill the responsibilities set forth in Section C, below.
4. When authorized by the Office of Research and Technology Transfer, bill for the use of U.S. Government property for purposes other than the award for which it was acquired.
5. Dispose of U.S. Government property in compliance with disposition instructions from the Office of Research and Technology Transfer as furnished by the U.S. Government.

I. Property Custodian Responsibilities

1. Verify the property has been tagged as "U.S. Government Property."
2. Verify the property is kept in the location designated in the University property record.
3. Verify the safekeeping of U.S. Government property is as secure or secured better than State of Kansas property in the same location. Take necessary actions to keep highly valued or non-anchored items in appropriately locked spaces.
4. Verify the property is used only for purposes authorized by the award unless authorization for other uses has been obtained from the Office of Research and Technology Transfer.



5. Verify routine maintenance requirements are met.
6. Prevent the removal of the property from the designated location.

Generate a property transfer document to relocate the property when instructed by the Principal Investigator, identifying the new Property Custodian (if applicable).

7. Keep U.S. Government property segregated from all other property.
8. Maintain receipt and issue records for material acquired by the University as provided in Department of Defense Manual 4161.2-M, Chapter 5, Part I Property at Non-Profit Contractors as outlined in a through c, below.
 - a. Maintain a file for each award of receiving notices, purchase requisitions, purchase orders and other records pertaining to U.S. Government property in their possession.
 - b. Maintain a record of the consumption of material as it is used in the execution of the statement of work of the award. Such record will identify the quantity, unit price, description, part number, "U.S. Government Property" tag number when applicable, with the "used on" identifier such as drawing number or identified project parts list. Note that equipment is not to be categorized as material in this record.
 - c. Obtain approval from the Office of Research and Technology Transfer for any consumption of U.S. Government property that is for a purpose other than specified by the award under which the U.S. Government retains title.
9. Maintain records of special test equipment. These records may consist of U.S. Government invoices, contractor purchase documents, or other documentation evidencing acquisition of issue or to end-use.

Any item of special test equipment built under the award shall be tagged separately as "U.S. Government Property."

10. Dispose of U.S. Government property based on disposition instructions provided by the Office of Research Administration.

J. Academic Departments and Other Units Responsibilities

1. Provide oversight to ensure the Principal Investigator and/or Award Notice Recipient and the Property Custodian fulfill their respective responsibilities.
2. Approve designation of the employee who will serve as Property Custodian.

K. Office of Research and Technology Transfer Responsibilities

1. Review U.S. Government awards and ensure the appropriate notifications required by these procedures are provided.



2. Review purchase requisitions to ensure “U.S. Government Property” identifier is entered for each applicable item.
3. Provide billing rate for use of U.S. Government property for other purposes when properly authorized under terms of the award. Initiate credit to the applicable award for the revenue from such billings.
4. Record and/or process requests for changes to U.S. Government property status.
5. Provide U.S. Government property reports required by awards.
6. Obtain disposition instructions from the overseeing U.S. Government entity.
 - a. Provide disposition instructions to the Principal Investigator and the Property Custodian.
 - b. Compile disposition information and submit the information to the Office of Financial Operations and Business Technology Property Accountant.

L. Office of Financial Operations and Business Technology Property Accountant Responsibilities

1. Upon receipt of U.S. Government provided property, affix a “U.S. Government Property” identification tag to each piece of equipment.
2. Affix a “U.S. Government Property” identification tag to each piece of property procured or produced by award funds.
3. Create a U.S. Government property record that includes the information specified in OMB Circular A-110, Subpart C, Section .34 (f)(1):
 - a. Description of the property.
 - b. Manufacturer's serial number, model number, federal stock number, national stock number, or other identification number.
 - c. Source of the property, including the award number.
 - d. Whether title vests in the recipient or the U.S. Government.
 - e. Acquisition date (or date received, if the equipment was furnished by the U.S. Government) and unit cost.
 - f. Information from which one can calculate the percentage of U.S. Government participation in the cost of the property (not applicable to equipment provided by the U.S. Government).
 - g. Location and condition of the property and the date the information was reported.
 - h. Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a recipient compensates the awarding entity for its share.
4. Provide for a physical inventory and reconciliation at least every two years as specified in OMB Circular A-110, Subpart C, Section .34(f)(3).
5. Record the disposition of U.S. Government property in accordance with federal entity disposition instructions provided by the Office of Research and Technology Transfer.



M. Purchasing Department Responsibilities

1. Flow-down to subcontractors the applicable U.S. Government property requirements of the award for property or property provided to the subcontractor or acquired by the subcontractor.
2. Pass-through the purchase requisition notation "U.S. Government Property" on procurement documents and requires it to be inserted into shipping documents by the supplier.

N. Physical Plant Warehouse Responsibilities

1. Upon receipt of U.S. Government Property, place the equipment in a segregated and secure holding area.
2. Immediately notify the Principal Investigator and/or the Award Notice Recipient and the Office of Financial Operations and Business Technology Property Accountant of the receipt of U.S. Government property.
3. Verify requests to move any items designated as U.S. Government property have the approval of the Principal Investigator and/or the Award Notice Recipient before moving the items.

V. Implementation

These procedures shall be included in the *WSU Policies and Procedures Manual* and shared with appropriate constituencies of the University.

The Vice President for Research and Technology Transfer shall have primary responsibility for publication, dissemination and implementation of these procedures.



9.21 / Compliance with Federal Export Regulations

Effective: October 15, 2005

I. Purpose

The purpose of this statement is to set forth University policy with regard to compliance with federal export regulations.

II. Preamble

The federal government has promulgated numerous regulations that directly affect University research conducted for federal and state agencies, industries and other clients. These regulations include the Export Administration Regulations (hereinafter "EAR") promulgated by the U.S. Department of Commerce and the International Traffic in Arms Regulations (hereinafter "ITAR") promulgated by the U.S. Department of State.

These regulations are intended to provide for governmental control and supervision of research involving technological, biological, chemical and military-related research when tangible items are exported or a non-U.S. citizen participates in any segment of a research project. Export regulations apply to all research activities, regardless of funding source (including unfunded research) and apply to both commercial contracts and to awards made under grants and cooperative agreements.

In the case of academic or research institutions, there is an exemption for fundamental research, results of which are or are about to be, in some cases, ordinarily are publicly available. Additional exemptions may be available and require review on a case-by-case basis. The regulations require in some circumstances that the University apply for a license with the appropriate government department or find and record an exception to the law which is allowed and/or develop processes that ensure compliance.

Non-compliance penalties are severe and include monetary and criminal punishment. University compliance with export regulations is required by law and they apply whether or not the regulations are referenced in research awards. Consequently, the University may never get a warning when there is a possible export situation and a violation may result if corrective measures are not applied.

III. Policy

1. Wichita State University will implement a compliance system to seek to prevent export law violations in the areas of funded research and testing and to ensure



that the University is in full compliance with federal export regulations in regard to research and testing conducted by faculty and staff.

2. Proposals for research or testing must be reviewed for export regulation compliance by the Office of Research and Technology Transfer (RTT) prior to submission to potential sponsors. A routing sheet providing a check-off system to determine whether a proposal may be subject to export regulations will be used.
3. RTT has the responsibility of reviewing any research proposal, grant or contract to determine whether a license is needed or an exception to the law exists (RTT may consult with the University's General Counsel). If it is determined that a license is needed, RTT will serve as the institutional office with the authority to secure a license on behalf of Wichita State University.
4. RTT will inform faculty and staff researchers as to their respective responsibilities to comply with export regulations through educational programs and flow-down requirements to sub-recipients and collaborators.
5. RTT will be responsible for conducting on-going educational programs to keep faculty and staff fully apprised of current export law and requirements.

IV. Implementation

This policy shall be included in the WSU Policy and Procedures Manual and shared with appropriate constituencies of the University.

The Vice President for Research and Technology Transfer shall have primary responsibility for publication, dissemination and implementation of this University policy.



9.22 / Disclosure of Financial Conflicts of Interests for Research Subject to Public Health Service Financial Conflict of Interest Regulations

Effective: April 04, 2013 Revised: January 30, 2018

I. Purpose

The purpose of this policy is to implement the 2011 Public Health Service (PHS) regulations related to the promotion of objectivity in research; the full set of regulations are published in the Federal Code of Regulations ([42 C.F.R. Part 50 Subpart F](#)).

II. Applicability

This policy applies to Wichita State University and any individual meeting the definition of Investigator, as defined by [42 C.F.R. Part 50 Subpart F](#), regardless of employment type or status. This policy also applies to Non-PHS agencies that use the PHS regulations for funded research.

III. Policy

The University is committed to ensuring the integrity of research conducted by its investigators, collaborators, consultants and sub-awardees. To that end, this policy in combination with [Section 3.04 Commitment of Time, Conflict of Interest, Consulting and Other Employment](#), strives to manage situations that create, may create or have the appearance of creating significant conflicts of interest.

IV. Reporting

Investigators are required to have a completed disclosure of Significant Financial Interests (SFI) on file:

- Prior to submission of an application to any agency subject to PHS FCOI (or Public Service Act, etc.)
- At least annually during the period of the award.
- Within thirty (30) days of discovering or acquiring a new SFI.



V. Training

Investigators are required to complete financial conflict of interest training when one or more of the following conditions are met:

- Prior to engaging in PHS related research;
- No less than every four (4) years;
- Immediately if University makes material changes to its FCOI policy, an Investigator is new to the University or an Investigator is not in compliance with this policy or a related management plan.

VI. Management Plans and Resolution of Conflicts

University will use the procedures outlined in [Section 3.04, Commitment of Time, Conflict of Interest, Consulting and Other Employment](#).

VII. Acknowledgement of University Policy

Employees who make application for external support for their research, educational, or service projects will be required to specify on the University Proposal Routing Form that they have read the conflict of interest policy and have filed a disclosure report before their application is sent to the potential sponsor.

VIII. Enforcement of University Policy

Failure to submit the required disclosure form will result in denial of the opportunity to submit research proposals to external funding agencies subject to PHS FCOI (or Public Service Act or CFR, etc.) until the form is submitted and may result in discipline in accordance with University procedures.

IX. Related Policies and References

A. Related WSU Policies

- Section 3.04 / [Commitment of Time, Conflict of Interest, Consulting and Other Employment](#)
- Section 3.16 / [Employment of Relatives](#)

B. Related WSU Training

- [CITI Program](#)

C. External Policies and Regulations

- Kansas Board of Regents [Board Policy Manual](#), Chapter II, Section C.12
- National Institutes of Health [Financial Conflict of Interest](#)
- National Institutes of Health [Research Integrity](#)



9.23 / Eligibility to Serve as Principal Investigator

Effective: February 13, 2017

I. Purpose

To establish who is eligible to serve as Principal Investigator on sponsored projects.

II. Policy

The Principal Investigator (PI) has primary institutional responsibility for providing scientific leadership and administrative/financial management of sponsored projects, and as such, must be an employee of WSU. For the purposes of this policy statement, the term PI shall encompass other sponsor-specific titles such as Project Director and Program Director that are commonly used for non-research sponsored projects.

All full-time WSU faculty, regardless of rank or tenure status, are eligible to serve as the PI on a sponsored project provided they meet sponsor qualifications. WSU staff and adjunct faculty may serve as the PI on a sponsored project with approval from their Chair and academic college Dean or Center Director provided they meet sponsor qualifications. Typical examples of full-time faculty positions that are eligible to be a PI include:

- Research Associate
- Postdoctoral Research Associate or Research Fellow
- Research Scientist
- Center Director
- Academic Professionals

Exceptions must be approved in writing by the Vice President for Research and Technology Transfer.



9.24 / Level of Effort on Sponsored Projects

Effective: February 13, 2017

I. Purpose

To establish the maximum and minimum levels of effort on sponsored projects.

II. Policy

At no time should the level of effort charged to a sponsored project exceed the level of effort expended within that project, meaning work that is not part of the sponsored project plan (i.e., research on a different project, proposal writing, etc.) cannot be charged to the grant. The scope of work on sponsored projects is defined by the proposal. However, all WSU faculty and staff have responsibilities that fall outside of the sponsored project (i.e. teaching, service, administration, proposal writing, etc.). As such, no individual can commit more than 95% effort in any period to external grants and contracts. Faculty holding academic year appointments should consider the impact of other non-research activities, such as vacations, when committing and charging effort to sponsored projects during the summer semester as these activities may prevent devotion of 100% effort.

The Principal Investigator (PI) and other senior level participants must commit at least 1% effort, or the minimum mandated by the project sponsor, for overseeing and guiding the proposed work. The effort may be expended during the academic year and/or summer semester. This requirement is only applicable for research grants and does not apply for infrastructure/equipment grants, conference grants, or limited purpose awards.

Approval from the Vice President of Research and Technology Transfer is required when personnel with other university responsibilities commit effort to sponsored projects that go outside the bounds established above.



9.25 / In-State Tuition Rates for Externally Supported Graduate Research Assistants

Effective: February 13, 2017

I. Purpose

Wichita State University aims to attract and retain high quality graduate students by offering competitive assistantships and tuition support to our research assistants. This policy establishes all externally funded sponsored projects that provide an assistantship or hourly compensation to WSU graduate students must also include in-state tuition for the student.

II. Background

OMB 2 CFR 200 – Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards, which sets the rules regarding eligibility and allowable costs in sponsored research, development, and related works for the Federal Government, specifically allows for tuition support.

III. Non-resident to Resident Tuition Waiver

Non-resident graduate assistants who have an appointment equal or greater than .40 EFT, which corresponds to approximately 16 hours per week, are eligible, pursuant to regulations promulgated by the Kansas Board of Regents, for waiver of non-resident tuition to resident tuition. This tuition waiver is for the actual semester of appointment and does not include waiver of student fees. Graduate assistants must provide service from the 20th day of the semester through the remainder of the semester to be eligible for the non-resident to resident tuition waiver. See [Section 8.04](#), Graduate Assistantships, for more detail regarding the non-resident to resident tuition benefit.

IV. Policy

All sponsored budget requests that include support for graduate students to carry out the proposed work must include the current in-state portion of tuition. This is applicable to both graduate research assistantships and hourly compensation, so long as they meet sponsor budget guidelines with respect to tuition charges. For Federal grants, this includes the requirement that the student activities are related to the degree program (the full set of requirements can be found in CFR section §200.466 - Scholarships and Student Aid Costs). Graduate student researchers with appointments corresponding to



0.40 EFT or greater will receive the full in-state tuition rate, whereas awards requesting appointments less than 0.40 EFT can prorate the in-state tuition accordingly.

V. Exceptions

This policy is applicable in all instances, regardless of funding source, unless specifically disallowed by the sponsoring agency. Exceptions must be formally requested to the Pre-Award Director, which should include a detailed accounting of the full project budget and why including the in-state tuition represents an undue burden. All exceptions requests will be decided on by the Dean of the Graduate School and Associate Vice President of Research and Technology Transfer.



9.26 / Responsible Conduct of Research (RCR) Training

Effective: May 21, 2018

I. Purpose

Wichita State University takes seriously its obligation to implement and support best practices in research and is committed to the highest standards of excellence and integrity in all research and scholarly endeavors. All members of the University community, including students, faculty, and staff, share responsibility for developing and maintaining standards to assure ethical conduct of research and detection of abuse of these standards. Federal law mandates that recipients of federal funding be properly trained in the responsible conduct of research.

II. Applicability

This policy applies to all University researchers, to include faculty, staff, and students, who receive and/or participate in research activities that are partially or fully funded by external sources ("Researchers"). Such research may include, but is not limited to, research activities performed under grants, contracts, or cooperative agreements. Individuals who participate in a research study or activity as a research or test subject shall not be deemed a "Researcher" for purposes of this policy.

III. Policy

The University has partnered with the Collaborative Institutional Training Initiative (CITI) program to allow Researchers the opportunity to participate in online ethics education. All Researchers participating in externally funded research activities are required to complete, at a minimum, the Responsible Conduct of Research course for externally funded Researchers in [CITI](#) prior to beginning work on any externally funded project.

Additionally, Researchers should be aware that their department, college, or external sponsor(s) may have additional requirements to which Researchers must adhere, including, but not limited to additional mandatory training. It is the responsibility of the Researcher(s) to be familiar and comply with any additional University or agency specific RCR requirements. More information on RCR requirements may be found on the University's [RCR page](#).



IV. Failure to Comply

Failure to fulfill RCR training requirements in accordance with this policy may subject Researchers to sanctions (such as prohibition from participation in research or scholarly activities), forfeiture of research funds, and/or University disciplinary actions.

The Research Compliance Office is responsible for compliance oversight of this policy.



9.27 / Service Centers

Effective: December 03, 2019

I. Initiating Authority

Financial Operations and Office of Research

II. Purpose

As a recipient of federal funding, Wichita State University (“University”) must comply with the U.S. Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 C.F.R. §200) (“Uniform Guidance”). Non-compliance with the Uniform Guidance could result in government-imposed fines or disallowed costs. This policy supports University compliance by providing consistent costing and administrative standards among the University’s Service Centers and is consistent with and supports University and Kansas Board of Regents policies and state and federal regulations, as applicable.

III. Application of Policy

This policy applies to all University employees, departments, laboratories, Centers, and institutes. This policy does not apply to the following income sources:

- Income generated from educational or academic activities (e.g., tuition)
- Income generated from auxiliary operations or University affiliates

This policy does not apply to University student organizations.

IV. Policy Statement

A. Definitions

For the purpose of this policy only, the following definitions shall apply:

1. Service Centers

Service Centers (referred to as “Centers” throughout this policy) are organizational units of the University that charge for research, testing,



and/or goods or other services that directly support the research or academic mission of the University and recover costs through charges to Internal and/or External Users. Centers are expected to recover no more than the aggregate costs of their operations through charges to users. All Centers must be able to demonstrate compliance with federal requirements and cannot use fee structures that discriminate against federal funding sources.

2. Internal Users

Internal Users are organizations or individuals whose funds are sourced from within the University or are otherwise managed within the University (i.e., sponsored grants and contracts managed by the University's Research Office). These include academic, research, administrative, and auxiliary units that purchase services in support of the University's mission.

3. External Users

External Users are organizations or individuals whose funds are sourced from outside the University and are not managed within the University, including but not limited to external organizations and companies as well as students or members of faculty or staff acting in a personal capacity.

B.

Establishing And Closing Service Centers

1. Establishing a New Center

A proposed Center should be able to justify an expected annual revenue of \$25,000 or more to be considered for establishment, though exceptions may be requested. The director of the proposed Center must fill out and submit a Request to Establish a New Center form to the Office of Research to initiate the process. The form can be found at the Office of Research's Financial Management website [here](#).

2. Closure of Centers

Centers that do not meet the threshold of expected annual revenue of \$25,000 in two consecutive years may be considered for closure due to inactivity. Further, significant deficits will be reviewed centrally and a resolution plan may be requested if the Center is not able to increase future year rates to recover the deficit. The department and/or college under which the Center is organized must cover any deficits remaining upon the closure of a Center. If the decision is made to not close the Center, further billing should be completed using actual costs for labor



and other expenses, as opposed to using a billing rate. Exceptions to this policy will only be allowed upon written approval of the Vice President for Research and Technology Transfer.

C. Center Billing Accounts

A Center will be provided at least two separate funds for accounting purposes. The first fund (“operating fund”) is established to record the direct operating expenses and revenue of the Center. The second fund (“reserve fund”) is established to record the Center’s revenue correlating to its F&A and depreciation expenses. The funds available in the reserve fund may only be used to further the mission of the Center.

D. Center Billing Rates

1. Calculating a “Billing Rate”

A “Billing Rate” is a rate at which a Center’s cost per unit of goods or services is sold. Billing Rates can be set based on hours, units, or any other metric that is the best approximation for utilization of resources to produce the good or service. It is calculated to recover the expenses of the Center and achieve a breakeven financial position over a set period of time (generally twelve months). Billing Rates are based on budgeted operating expenses, including the applicable prior period deficit or surplus, divided by projected levels of activity. Billing Rates are rounded to the nearest dollar. The general formula used to establish a Billing Rate is as follows:

$$\frac{\text{Budgeted Expenses + or - Carryforward Surplus or Deficit}}{\text{Projected Level of Sales of Goods/Services (Billable Units)}}$$

divided by

Projected Level of Sales of Goods/Services (Billable Units)

When like goods or services are offered by an organization outside of the University to principally the same customer base, the market price should be considered when setting the Center’s External User rate. It is not appropriate for a Center to charge substantially less than the market price for a like good or service.

2. Billing Rate Components

WSU’s financial system is the official financial database for the University and is the basis for financial related information used in setting Billing Rates. All operating costs included in a Center’s Billing Rate must be



related to the functions of the Center and must not be included in the University's institutional Facilities & Administration Rate calculation. Operating costs are included in setting the Center's Billing Rate insofar as they are allowable, reasonable, allocable, and consistent with general University practice. Costs are split into the following categories:

1. Payroll (Salaries, Wages, and Fringes)
 2. Non-Capital Expenses (Other Operating Expenses)
 3. Depreciation (2 CFR 200.436)
 4. Prior Period Net Surplus (less working capital allowance) / Deficit
3. Approval and Periodic Review of Billing Rates

All Center Billing Rates must be approved by the Office of Research prior to use. Per federal guidance, all rates must be re-calculated no less than every two years. However, it is recommended that a Center review its financial performance annually. Rates older than two years should not be used for new quotes or proposals unless approved in writing by the Vice President for Research and Technology Transfer.

If a Center provides distinctly different types of services to users, separate Billing Rates may be established for each service that represents a significant activity of the Center. Costs, revenues, surpluses and deficits must be separately identified for each service using separate accounting funds for each identified service.

4. Non-Discriminatory Billing Rates

Rates established for Centers must be non-discriminatory and all users of the Center should be billed for services provided. Non-discriminatory means all Internal Users must be charged at the same rate(s) for the same level of goods or services provided. External Users cannot be charged a rate less than the Internal Billing Rate established for the Center for the same good or service.

E. Center Billing Practices and Record Keeping

1. Billing

Billing must be based upon documented utilization. All billing must be processed on a timely basis (generally monthly but can vary depending on award terms) and must be based on established Center Billing Rates.



2. Tax Considerations

Sales tax, when applicable, must be charged to all External Users who do not provide their tax-exempt certificates. Any questions regarding Unrelated Business Income Tax (UBIT), sales tax, or other transactions with External Users should be directed to the Office of Financial Operations.

3. Record Retention

Centers must retain documentation to support all charges, expenses, and usage. The required documentation may vary depending on the award terms of the project. These records must be maintained for a minimum of three (3) years from the end of the fiscal year in which the project was completed. The records are subject to audit.