Research Policy & Compliance

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Topics

- Revised UCLA Policy 913
- National Institutes of Health Guidelines for Human Stem Cell Research
- Updated UCLA SBIR/STTR Guidance
UCLA Policy 913

- Disposition of Unexpended Balances in Fixed Rate and Fixed Contracts and Nonrefundable Grants
- Revision issued June 15, 2009
- Updated in response to concerns about appropriate charging and large balances
UCLA Policy 913

- Provides guidance regarding the conditions under which unexpended balances on fixed price and fixed rate contracts and nonrefundable grants may be converted into unrestricted funds

National Institutes of Health Guidelines for Human Stem Cell Research

- Guidelines issued on July 6, 2009
- Implements Executive Order 13505 issued by President Barack Obama on March 9, 2009
- Effective July 7, 2009
New National Institutes of Health Guidelines for Human Stem Cell Research

- Anticipate that the Guidelines will affect current UC and UCLA policies and procedures
- Reviewing the Guidelines.
- Will issue campus guidance as soon as possible
UCLA SBIR/STTR Guidance

- Released June 18, 2009
- Information in the guidance memo has been restated and reorganized for clarity
- The following sections of the document include new information:
  - Federal Guidelines
  - UCLA Guidance
  - Negotiation of Subcontract Agreements
SBIR/STTR Guidance

- Under *Federal Guidelines*:
  - Information on the percentage of research that must be conducted at the small business’s research facilities
SBIR/STTR Guidance

- Under *UCLA Guidance*:
  - Small business must have letter of intent, option, or license to use UCLA-developed technology
  - Postdoctoral fellows or graduate students should not be small business PI
  - Research at UCLA must be conducted under a subcontract
  - SBIR/STTR funds cannot be used to make a gift
  - Small business recipients must meet federal eligibility criteria
SBIR/STTR Guidance

- Under *Negotiation of Subcontract Agreements*:
  - Subcontracts with small business applicants negotiated by OIP-ISR
  - Checklists being finalized:
    - How to verify federal eligibility of small business applicant
    - How to verify eligibility of UCLA PI
    - Compliance with conflict of interest and commitment policies
Where to find SBIR/STTR Guidance