Submitting an Invention Disclosure Form
Lauren MacLanahan, Esq.

When you have created a new invention, software, or other type of intellectual property at Georgia Tech, an accurate and complete invention disclosure form is an essential part of Georgia Tech’s Office of Technology Licensing’s process in protecting and commercializing the technology. The disclosure form represents a hard-copy record of the invention that facilitates the filing of any patent application, reporting to the appropriate interested parties, and marketing of the technology to prospective licensees. Here is some of the key information that is requested in the form:

• A list of all of the inventors, true and accurate contact information and percentage of contribution to the invention
• Accurate sponsorship information including the name of the sponsor and project number
• A detailed description of the invention that one of skill in your field could read and allow duplication of the invention without undue experimentation
• A list of any publications, presentations, dissertations, or other publications or talks outside of Georgia Tech regarding the invention and the exact dates those occurred or will occur

If one of the inventors of the invention is an employee of another university or company, then that invention will be owned by both Georgia Tech and the university or company. Even if you notify or submit an invention disclosure to that other owner, an invention disclosure is still required by Georgia Tech’s Office of Technology Licensing in order to properly record the invention and to ensure any of the Institute’s contractual obligations are met. Doing so also enables us to engage the other owner so formal cooperation between both parties in the filing and maintenance of any intellectual property protection, as well as licensing of the technology, can be established.

A copy of the invention disclosure form can be found at the Office of Technology’s website: http://otl.gtrc.gatech.edu/. If you should have any questions about completing or submitting the form, please feel free to call the Office of Technology Licensing at 404-894-6287.

Georgia Tech’s Laser Safety Program
Mark Demyanek, Asst Vice President, Environmental Health & Safety

Due to the increasing number of Class 3B and 4 lasers being used in research at Georgia Tech and the potential safety hazards they pose to personnel and property, a new institute-wide Laser Safety Program is being developed under the auspices of the Environmental Health and Safety (EHS) Office of Radiation Safety (ORS). Class 3B and 4 lasers have significant potential to cause serious personal injuries and facility fires. An initial inventory indicates that there are nearly 500 such lasers now in use on-campus. Important safety measures such as engineering controls, user training and personal protective equipment

NIH Announces New Stem Cell Lines for Use with Federal Research Funds

The NIH Guidelines for Human Stem Cell Research published in July 2009 implemented the Executive Order 13505 Removing Barriers to Responsible Scientific Research Involving Human Stem Cells, as it pertains to extramural NIH-funded stem cell research, establish policy and procedures under which the NIH will fund such research, and help ensure that NIH-funded research in this area is ethically responsible, scientifically worthy, and conducted in accordance with applicable law.

The first human embryonic stem cell lines (hESCs) to be approved under the NIH Guidelines for Human Stem Cell Research now appear on the NIH Human Embryonic Stem Cell Registry http://grants.nih.gov/stem_cells/registry/current.htm.
The Pitfalls of Public Disclosure
Patrick Reed, Office of Technology Licensing

Disclosing your invention to the Office of Technology Licensing (OTL) is an important step in protecting your innovation, but it isn’t the first step. A common pitfall that could preclude OTL from seeking patent protection is publicly disclosing your invention before submitting an Invention Disclosure Form to OTL.

Public disclosure takes many forms—an online abstract, a poster presentation, a proposal to a potential industry sponsor of work already in a semi-advanced stage, a dissertation. A public disclosure is any description of your invention that enables someone skilled in the art (i.e., the field of the invention) to duplicate or practice it.

Technology transfer is accomplished in many ways—publications, graduating students being hired by industry sponsors; however, licensing a patented invention to industry is the one most impacted by public disclosure. A successful commercialization effort often requires adequate intellectual property protection. This can best be accomplished by appropriately filing the necessary documents such as invention disclosure forms and patent applications prior to disclosing the technology to any outside parties.

The timely submission of an Invention Disclosure Form to OTL is essential and the first step on the commercialization path. Accurately noting the dates and details of upcoming public disclosures will ensure that OTL may take appropriate action in protecting your invention. If necessary, these details will allow OTL to prepare and file a provisional patent application or execute a non-disclosure agreement with the party to whom you will be disclosing the invention. It is important to mention that the disclosure document itself does not afford any sort of protection for your invention, the steps taken by OTL after a disclosure is received do.

The Invention Disclosure Form may be found at http://otl.gatech.edu/.

Georgia Tech’s Training in Responsible Conduct of Research Policy

Georgia Tech students and trainees engaged in research at the undergraduate, graduate and post-doctoral levels shall receive formal instruction in ethical considerations and decision-making in Responsible Conduct of Research that is appropriate for their disciplines and for the stages of their research careers. This policy is intended to comply with the requirements of the National Science Foundation’s (NSF) implementation of the requirements of Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science Act (42 U.S.C. 1862o–1) found in the NSF Award and Administration Guide, Chapter IV, and National Institutes of Health (NIH) requirements found in NOT-OD-10-019*. Responsible Conduct of Research (RCR) is defined as the practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research.

It is the policy of Georgia Institute of Technology that all graduate students, all students who participate in Georgia Tech’s, Undergraduate Research Program and any student receiving research funds or who participates in research activities funded by NIH or NSF, shall engage in a program of study in the Responsible Conduct of Research that includes, at a minimum, the following elements:

- Conflicts of interest (personal, professional, and financial)
- Policies regarding the use of human subjects in research
- Policies regarding the use of vertebrate animals in research
- Laboratory safety, biohazard management, chemical safety, and polices regarding the use of radioisotopes and radiation sources in research
- The responsibilities and relationships of mentors and mentees
- Collaborative research
- The peer review process Data acquisition and laboratory tools; management, sharing and ownership of data and research tools

Continued on page 4

GT Collaborations with HBCUs

Georgia Tech has created a website to assist its faculty members in undertaking research collaborations with their counterparts at Historically Black Colleges and Universities and Minority Institutions (HBCUs/MIs). This website, at http://hbcumii.itl.gtri.org, identifies the research programs and faculty at HBCU/MI institutions available to participate in joint proposals on a broad cross-section of research topics. The website also offers information about services and resources available to Georgia Tech faculty seeking research collaborations with HBCU/MI faculty. The website will continue to update collaborators and resources for the GT community. Please address comments and questions to Margie Brown, margie.brown@gtri.gatech.edu or (404) 407-6069.
Federal Lobbying Disclosure Compliance
Robert Knotts, Office of Federal Relations

The Honest Leadership & Open Government Act of 2007 which took effect on January 1, 2008 requires more-stringent quarterly disclosure of federal lobbying activities and semiannual disclosure of certain political contributions by lobbyists and certification of compliance with rules that govern gifts to and travel by covered federal officials. Failure to comply with the new laws could result in criminal penalties.

Lobbying activities means lobbying contacts AND efforts in support of such contacts including preparation and planning activities, research and other background work that is intended, at the time it is performed, for use in contacts, and coordination with the lobbying activities of others. Each quarter, Georgia Tech must make a good faith estimate of the total amount spent on lobbying activity by the organization and its employees to the nearest $10,000.

A Federal Lobbying Contact is oral, written or electronic communications to a covered Legislative or Executive Branch Official in an attempt to influence:

1. the formulation, modification, or adoption of Federal legislation;
2. the administration or execution of a Federal program or policy;
3. formulation, modification, or adoption of a Federal rule, regulation, Executive order, policy or position of the United States Government;
4. the nomination or confirmation of a person subject to confirmation by the Senate.

Examples of Lobbying Contact
Example 1: Institute Employee “A” travels to Washington in his/her official capacity as an employee of the Institute and arranges Capitol Hill meetings to advocate for specific funding levels for nanotechnology research. The meetings with staff are considered lobbying contacts and should be reported to the Institute for its quarterly reporting.

Example 2: Institute Employee “A” has a contract to provide technical assistance to Agency “B” on an ongoing basis. Technical communications between Employee “A” and covered officials at Agency “B” would be required by the contract and therefore would NOT constitute “lobbying contacts.”

Illustrative Example of Lobbying Activity
Example 3: Institute Employee “A” travels to Washington to meet with a covered (senior) DOD official regarding the renewal of a government contract. Employee “A” does not meet the definition of a “lobbyist,” because he/she does not spend 20 percent of his time on “lobbying activities” during a quarterly period. Nonetheless, the expenses reasonably allocable to “A’s” lobbying activities (e.g., plane ticket to Washington, costs, time spent preparing materials, etc.) will be reportable. Employee “A” must report the trip to the Institute.

It is the responsibility of all Georgia Tech employees to understand and abide by Congressional rules regarding gifts to and travel by covered federal officials. Georgia Tech’s Office of Federal Relations is available to answer any questions that you may have.

See the website (http://www.compliance.gatech.edu/federal-lobbying-disclosure-compliance-background/) for more details and reporting forms.

Annual Conflict of Interest Disclosure

Each Georgia Tech employee is required to submit an Annual Conflict of Interest (COI) Disclosure. The Annual Disclosure is available via a web-based system which can be accessed at https://coi.research.gatech.edu/. As circumstances change, you can easily update your COI disclosure using the online system. An online tutorial is available at www.compliance.gatech.edu/training/AnnualCOI/AnnualCOI.htm.

Detailed information and policy resources about conflict of interest are available at: www.compliance.gatech.edu/conflicts-of-interest-gt/

If you have any questions, please contact:

Anita L. McKinney
(404) 385-8102
anita.mckinney@osp.gatech.edu
• Research misconduct and policies for handling research misconduct
• Authorship and publication
• Science and Engineering in Society: the scientist and engineer as responsible members of society
  and ethical issues in research and the environmental and societal impacts of scientific research

It is the responsibility of the Principal Investigators of NSF and NIH-funded projects (see Applicability below)*
to ensure that all students engaged in research are informed of the requirement and to ensure that the requirement
has been met. Moreover, it is the responsibility of the Principal Investigator to provide mentoring in RCR
through discussions of RCR topics and through oversight of students’ research.

Applicability and Implementation:
This policy applies to all undergraduate students, graduate students, and post-doctoral trainees performing
research, whether as an employee, GRA, or other trainee, on projects funded by NSF on or after January 4, 2010
and to all students funded by or performing research funded by NIH (see Applicability below)*.

This policy shall apply to undergraduate students participating in the Georgia Tech Undergraduate Research
Program for the semester beginning August 2010 and thereafter.

This policy shall apply to all graduate and undergraduate students at Georgia Tech for the semester beginning
August 2012 and thereafter.

[*NIH training, career development award (individual or institutional), research education grant, and dissertation
research grant must receive instruction in responsible conduct of research. This applies to the following programs:
D43, D71, F05, F30, F31, F32, F33, F34, F37, F38, K01, K02, K05, K07, K12, K18, K22, K23, K24, K25,
K26, K30, K99/R00, KL1, KL2, R25, R36, T15, T32, T34, T35, T36, T37, T90/R90, TL1, TU2, and U2R.]

Procedure:
A. The PI for covered NSF and NIH proposals shall complete the RCR Addendum to the Proposal
Routing sheet which shall become a part of the project file in the Office of Sponsored Programs. In
the Addendum, the PI acknowledges the requirement for RCR training which is accomplished through
a combination of Institute-wide on-line training that every covered student receives plus one or more
of the in-person methods described below. The training requirement will be flagged “Yes” in the OSP
Oracle Database under Research Ethics Training.
B. All undergraduate students, graduate students, and post-doctoral trainees paid in whole or in part from
projects funded by NSF or covered projects funded by NIH shall meet the requirements for continuing
instruction in the Responsible Conduct of Research in the following manner:
1. Students and trainees shall complete the RCR modules in CITI during the first semester in which
they are appointed to NSF or NIH-funded projects. Students and trainees will be required to earn an
acceptable score on the exam given as part of this instruction. Documentation will be provided to
Georgia Tech by CITI and records will be maintained by the e-Commerce and Training Office in the
Office of Sponsored Programs (OSP). Training must be completed within 90 days of appointment to a
covered NSF or NIH-funded project or by the end of the semester, whichever is later; and
2. At the discretion of the School and Principal Investigator, students and trainees shall, either:
   a. Participate in a class, seminar, or other interactive program developed by the School that
      address ethical issues relevant to the discipline as well as broader issues of research integrity;
      or
   b. Participate in regularly scheduled laboratory meetings or discussions that address ethical issues
      relevant to the discipline as well as broader issues of research integrity; or
   c. Successfully completes the Research Methods Course required by the School for all majors
      (provided that course includes at least eight hours of instruction in ethical issues relevant to the
discipline as well as broader issues of research integrity); or
   d. Successfully completes the Research Ethics Course offered by the Ivan Allen College; or
   e. Participates in the Research Ethics Webinar offered two times per semester by OSP’s
e-Commerce Office.
Compliance with the requirements for providing instruction in Responsible Conduct of Research is a responsibility of the Principal Investigator. The PI for each NSF and each covered NIH project will complete a form, the RCR Project Plan, at the time a proposal is submitted that indicates which instruction method beyond CITI will be used for students appointed to the project. The form will become part of the project file in the Office of Sponsored Programs.

The Office of Grants & Contracts Accounting will prepare a report of students and trainees who are paid from NSF and covered NIH-funded projects each semester which will be matched against CITI records. Principal Investigators and Schools will be notified of any non-compliance.

Willful non-compliance on the part of any student shall result in termination of the student’s funding and referral to the Dean of Students for appropriate disciplinary action.

1. All students participating in Georgia Tech’s Undergraduate Research Program and all graduate students who do not participate in research funded by NSF or applicable NIH project shall receive instruction in the Responsible Conduct of Research in the following manner:

2. Students shall complete the RCR modules in CITI when they enter the program. Students will be expected to earn an acceptable score on the exam given as part of this instruction. Documentation will be provided to Georgia Tech by CITI and records maintained by the Office of Sponsored Programs e-Commerce and Training Office; and

3. Student researchers are encouraged to participate in one or more of the following:
   a. A class, seminar, or other interactive program developed by the School that address ethical issues relevant to the discipline as well as broader issues of research integrity; Regularly scheduled laboratory meetings or discussions that address ethical issues relevant to the discipline as well as broader issues of research integrity;
   b. The Research Ethics Course offered by the Ivan Allen College; and
   c. The Research Ethics Webinar offered two times per semester by OSP’s e-Commerce Office.

**Georgia Tech’s Laser Safety Program, continued from page 1**

are necessary to ensure that risks are minimized. The Georgia Tech Laser Safety Program will be guided by the industry-standard ANSI Z136.1 (National Standard for Safe Use of Lasers). In doing so, the goal will be to achieve the necessary level of safety, while minimizing any adverse impacts on research activities. Initial efforts will be focused on:

- Appointing a faculty-led Laser Safety Committee (LSC) to oversee, guide and monitor the program. Electrical and Computer Engineering (ECE), Physics, Chemistry, Materials Science and Engineering (MSE) and Georgia Tech Research Institute (GTRI) have appointed LSC representatives.
- Developing a general institute-wide laser safety policy
- Completing an accurate inventory of all class 3B and 4 lasers
- Developing an on-line laser safety training module that will be accessible through the EHS web site and Georgia Tech’s Office of Organizational Development (OOD)
- Performing initial assessments of higher-risk laser labs

The charter of the LSC will be as follows:

- Adopt a laser safety policy for the Institute and provide guidance/recommendations to EHS regarding implementation, oversight and monitoring of the laser safety program.
- Meet periodically (quarterly and as-needed) to review issues related to priorities, procurement, configuration and use of class 3B and 4 lasers at Georgia Tech.
- Serve as a forum to assist in addressing laser hazards/non-compliance issues, and bringing about appropriate corrective actions, where necessary.

For more information on the Georgia Tech Laser Safety Program, please contact Mr. Gary Spichiger, EHS Laser Safety Officer, at (404)894-3605 gary.spichiger@ehs.gatech.edu or visit the EHS-ORS laser safety web site at http://www.ors.gatech.edu/laser/.

**ARRA Awards Update**

Georgia Tech reported having received 59 awards totaling $22,406,181 as part of the America Recovery and Reinvestment Act (ARRA). In addition to funding from the National Institutes of Health (14 projects) and National Science Foundation (42 projects), three Georgia Tech projects were funded by the Department of Energy using ARRA funds. (This number does not include subawards and is of January 14th).
The lines were approved by the NIH Director on December 2, 2009 and are eligible for use by NIH grantees in NIH funded research. It is expected that additional lines will become eligible and posted on the Registry as they are reviewed and approved.

Only hESC lines that have been submitted to and approved by NIH will appear on the Registry and may be used in NIH-funded research.

This Notice provides information concerning currently restricted awards, applications pending NIH review, new applications proposing to use hESCs, ongoing awards, and hESC Challenge ARRA applications.

New Applications Proposing the Use of hESCs
Applicants should review the list of approved hESCs on the NIH Registry and determine if any hESCs are scientifically appropriate for use in their proposed research, and if so, identify the specific line(s) from the Registry using the NIH Registration Number (e.g., 0001), in the specified location in the application:

• For grant applications using the SF424(R&R) electronic application packages, section 4 of the PHS398 Cover Page Supplement component provides fields in which to identify approved cell lines.
• For grant applications using the SF424(R&R) Individual Fellowship electronic application packages, section C of the PHS Fellowship Supplemental Form component provides fields in which to identify approved cell lines.
• For grant applications using the PHS 398 paper application form, the Human Embryonic Stem Cells section on page 3 pro-
NIH Announces New Stem Cell Lines, continued from page 6
vides a location in which to identify approved cell lines.
If there are not lines on the Registry that are appropriate for use in the proposed research at the time of application, the applicant should follow the instructions specified in NIH Guide NOT-OD-09-123 under “New Applications Proposing to Use hESCs.”

Ongoing Awards
As indicated in NIH Guide NOT-OD-09-123, ongoing NIH-supported research involving hESC lines approved before April 17, 2009 may continue through the remainder of the currently approved competitive segment of the award. No new uses of hESCs may be initiated in ongoing funded studies unless hESCs are on the new Registry, and the grantee notifies NIH which stem cell line(s) from the Registry are available to the grantee and will be used in the research. When these projects are competitively renewed or submitted for any competing revision, they must use only approved cell lines listed in the new Registry.

On Wednesday, April 14, the Office of Research Compliance and GTRC will host “IRB 250”, a one-day course on the ethics, history, and federal regulations related to the conduct of biomedical and social science, behavioral, and educational research involving human subjects. This course is sponsored by Public Responsibility in Medicine and Research (PRIM&R), a professional association of more than 3,000 members including professionals representing human and animal research oversight programs and institutional biosafety programs, researchers, institutional officials, government personnel, subject advocates, ethicists, policy makers, pharmaceutical and biotechnology leaders, and attorneys.

Faculty for the course will be PRIM&R members Don Workman, Ph.D., founder and CEO of Workman & Associates Consulting Group and David A. Borasky, Jr., IRB Manager with RTI International.

Dr. Workman has been providing consultative services including program review and training in human subject protections and animal welfare requirements since 2003. He also provides executive coaching for Institutional Review Board (IRB) professionals. Dr. Workman recently served as the Associate Vice President for Research Operations at Northwestern University, where he was responsible for the operating units within the Office for Research including the Office for the Protection of Research Subjects, the Office for Sponsored Research, the Office for Research Safety, the Center for Comparative Medicine, and the Office for Research Information Systems. He was also an assistant professor in the Department of Psychiatry and Behavioral Sciences at Northwestern University.

Prior to his service at Northwestern, Dr. Workman was the Executive Director of the Office for the Protection of Research Subjects. Formerly Director of the Office of International Research Ethics at Family Health International, David Borasky has over 12 years of experience managing institutional review boards, as well as facilitating training activities on basic research ethics and IRB operations and function for research staff and their collaborators worldwide. He is a co-author of the award-winning Research Ethics Training Curriculum and the Research Ethics Training Curriculum for Community Representatives, which together have been used to train individuals in over 70 countries. He is a contributing author of Institutional Review Board: Management and Function (Amdur and Bankert, eds.). In addition, David has provided hands-on assistance to IRBs throughout North America, Africa and Asia, specializing in capacity building activities for IRBs in low-resource settings. He has served as a consultant for the WHO, the US Department of Energy, the Fogarty International Center and numerous other institutions. David is a Certified IRB Professional® and member of the PRIM&R Board of Directors. He frequently lectures on the challenges of the review of research in developing country settings, and has published articles on research ethics training and international perspectives on informed consent.

Starting at 9:00 AM, the course will be held in the GTRI Conference Center at 250 14th Street, NW. Seating is limited, so faculty and students are encouraged to register early at http://www.osp.gatech.edu/workshops/. Questions may be directed to Barbara Henry, Office of Research Compliance, at 404 / 894-6949 or barbara.henry@gtrc.gatech.edu.
Changes to NIH Applications

The National Institutes of Health (NIH) have made significant changes to the proposal application process beginning with the release of their much anticipated SF424 Adobe Forms B. In addition, implementation of the requirements of the Federal Funding Accountability and Transparency Act led to changes in the SF424 (R&R) form’s instructions and the application package has been restructured in response to the Enhancing Peer Review initiative. These changes which will be in place for due dates on or after January 25, 2010. Using incorrect forms or following old instructions will lead to delays and non-conforming proposals may not be reviewed. Principal investigators should verify that they are using the correct version of the forms and instructions before beginning any application.

Some of the changes are:

- **Research Plan is now Research Strategy:** The Research Plan has been restructured and aligned with peer review criteria. Three sections of the current Research Plan (Background and Significance, Preliminary Studies/Progress Report, and Research Design and Methods) have been consolidated into a new single section within the Research Plan entitled Research Strategy. The new Research Strategy section will be sub-divided into three parts: Significance, Innovation, and Approach.

- **Lower Page Limits:** The page limit for the new Research Strategy section will be either 6 pages or 12 pages. If the program previously had a page limit for Sections 2-5 of less than 25 pages, the new page limit is 6 pages. If the former limit for Sections 2-5 was 25 pages, the new limit is 12 pages. One additional page will be allowed for Specific Aims. If a Funding Opportunity Announcement (FOA) requires page limits that differ from the application instructions, the FOA page limits should be followed. For resubmission and revision applications for most programs, the Introduction will be limited to one page.

- **Biographical Sketch:** The Biographical Sketch now requires a Personal Statement and NIH encourages applicants to limit the number of publications listed to 15.

- **Research Resources:** Instructions for describing research resources have been modified to address the scientific environment and the institutional investment in early stage investigators.

Please remember the NIH policy on resubmission applications are limited to a single Amendment (A1) for proposal and competing renewals that were submitted beginning Jan. 25, 2009. Applications submitted before that date are “grandfathered” and may submit a second (A2) resubmission application; however, this window of opportunity will end January 7, 2011.

Please also note that the newly revised Continuation Progress Report for a DHHS Public Health Service Grant (PHS 2590, rev. 06/09) now requires a Commons ID for all individuals with a postdoctoral role who participate in a project for at least one person month or more. Use of the revised PHS 2590 is required for all progress reports (electronic or hardcopy) due on or after October 1, 2009. Contact Garrett Steed or Chris Doyle to obtain the necessary Commons ID.

**Resources:**

Additional information on the changes can be found on the NIH’s website at:
http://enhancing-peer-review.nih.gov/restructured_applications.html

Chris Doyle is the Contracting Officer for the National Institutes of Health. His email is christopher.doyle@osp.gatech.edu and phone is 404-385-2077.

Garrett Steed or Michelle Powell can offer training on the Cayuse system and can assist with questions on the preparation of the proposal. Garrett can be reached via email at garrett.steed@osp.gatech.edu and Michelle can be reached via email at michelle.powell@osp.gatech.edu.
NSF ARRA Awards Stay at Initial Institution if Expenditures Have Been Charged.

While standard National Science Foundation policies and procedures permit the transfer of a grant from one organization to another, the ARRA quarterly reporting system is not designed to handle award transfers. Given the complications with this process for Recovery Act awards, transfers only will be allowed under the circumstances noted below.

If an award has been made but no funds have been expended, then a grant transfer can be completed. Awardees should follow the normal procedure described in the NSF Award and Administration Guide (AAG) Chapter II.B.2.h. Given that grant transfers can take some time to process, awardees should submit the transfer request via FastLane as soon as possible after learning that the PI will be moving to another organization.

If an ARRA award has been made and funds have been expended, then no transfer of the grant will be permitted. It may be possible to utilize other options, however, such as subawards described in AAG Chapter II.B.3.

New Account for FY2010 – Human Subjects

Carol Gibson, CPA-Controller

Senate Bill 300, the Transparency in Government Act, was passed during the 2008 legislative session and signed by Governor Perdue in May 2008. This bill requires State Agencies and State Institutions to extract all trade vendor payment data (vendor ID, vendor name, amount & number of payments) to the Department of Audits and Accounts (DOAA). The DOAA will then make this data available to be viewed by the public via a searchable website.

Georgia Tech currently processes some payments related to the Health Insurance Portability and Accountability Act (HIPAA) and Human Subjects the same as trade vendor payments. The DOAA has approved for all State Agencies and State Institutions to exclude any payments related to the HIPAA and Human Subjects from this extraction. During a review of these types of payments, it was noted that Georgia Tech does not consistently use the same Account to process these payments. In response to this, the Institute has elected to create a new account to use for these types of payments. This account will help to better identify these payments and ensure that this private information is not made available on any searchable public websites. As of July 1, 2009, please use the following Account to process payments related to HIPAA and Human Subjects:

Account: 751510 Description: Services - Human Subjects

Please direct all questions related to HIPAA and Human Subjects payments to ap.ask@business.gatech.edu.

the actions of these individuals as documented using manual/electronic signatures and/or a system password is normally considered sufficient documentation to support standard workload allocation changes.

Special Documentation Requirements and Limitations – Externally-funded Sponsored Projects**

In addition to the standard documentation requirements noted above, retroactive salary distribution changes that add salary charges to externally-funded sponsored projects must be accompanied by a written (or system-recorded) justification statement at an appropriate level of detail. Specific reasons for the transfer must be provided in the explanation.

Effective December 21, 2009, a system-recorded cost transfer justification statement must accompany all retroactive cost transfers of this type. The justification statements (“Reason Codes”) listed below will be provided as part of the SPD system redistribution panels. The authorized user must select the most appropriate reason code from the following list:

1) Correction of labor charges based on review by employee, PD/PI, or authorized delegate.
2) Correction of clerical error or data input error identified by authorized unit financial personnel.
3) New Award costs incurred during the award period charged temporarily to other allowable funds pending establishment of new award/fund.
4) Allowable pre-award costs (incurred prior to the award period) initially charged to other allowable funds.
5) Renewal award costs charged originally to prior sponsored increment or to other allowable funds.
6) Other: Specific reason or justification must be entered in the text box provided

System-recorded justification statements will be monitored by Grants and Contracts Accounting. Transfer requests that are not properly documented with an acceptable justification statement will be moved to the unit’s sponsored undesignated project number by SPD Center staff. Retroactive salary cost transfers to externally-funded sponsored projects beyond 120 days of the original expense posting are not allowed under normal circumstances.

** Excludes sponsored projects funded by Georgia Tech Foundation and Georgia Tech Research Corporation. Transfers between projects associated with the same sponsored fund (award) are not subject to special documentation requirements or the 120 day limitation.
Know Your Rights
Under the Recovery Act!

Did you know?

The American Recovery and Reinvestment Act of 2009 provides protections for certain employees of non-federal employers who make specified disclosures relating to possible fraud, waste and/or abuse or Recovery Act funds.

Who is protected?

Employees of non-federal employers receiving recovery funds. This includes State and local governments, contractors, subcontractors, grantees or professional membership organizations acting in the interest of recovery fund recipients.

How are Whistleblowers Protected?

You cannot be discharged, demoted or otherwise discriminated against as a reprisal for making a protected disclosure.

What types of disclosures are protected?

The disclosure must be made by the employee to the Recovery Accountability and Transparency Board, an Inspector General, the Comptroller General, a member of Congress, a state or federal regulatory or law enforcement agency, a person with supervisory authority over the employee, a court or grand jury, or the head of a federal agency or his/her representatives.

The disclosure must involve information that the employee believes is evidence of:

- gross mismanagement of an agency contract or grant relating to recovery funds;
- a gross waste of recovery funds;
- a substantial and specific danger to public health or safety related to the implementation or use of recovery funds;
- an abuse of authority related to the implementation or use of recovery funds; or
- a violation of law, rule, or regulation related to an agency contract or grant awarded or issued relating to recovery funds.

Take Action!

Log on to Recovery.gov for more information about your rights and details on how to report at www.recovery.gov.

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NSF Revises Proposal & Award Policies & Procedures Guide

The National Science Foundation has published its Proposal & Award Policies & Procedures (PAPP) Guide NSF 10-1. It is effective as of Jan. 4, 2010. Significant changes in the PAPP Guide include the following:

- Required Institutional plans for Responsible Conduct of Research (RCR) for undergraduate and graduate students as well as postdoctoral fellows to address the RCR requirements of the America Competes Act (see Article on GT’s RCR Policy)

- Project Outcomes Reporting (deliverables) for PIs on Research.gov is a new section which describes the project outcomes report PIs will need to produce and which is to be written for and will be accessible by the general public. Within 90 days following expiration of the grant, a project outcomes report must be submitted electronically via Research.gov. This report serves as a brief summary, prepared specifically for the public, of the nature and outcomes of the project. Information about the content of the report and what is to be included are contained in this section.

Other changes include:

- Proposals Involving Human Subjects, has been updated to reflect that if a certification of exemption is provided after submission of the proposal and before the award is issued, the exemption number corresponding to one or more of the exemption categories must be included in the documentation provided to NSF.

- Proposal Preparation Checklist, has been updated with a reminder that all proposals that include support for a postdoctoral researcher must include a mentoring plan in the Supplementary Documentation section of the proposal. Failure to do so will result in the return of the proposal without review. Additional guidance regarding the mentoring requirement and collaborative proposals also is included.

- Conflict of Interest Policies, been supplemented with language on applicability of such policies to subawardees and the like, who must either have their own policy that complies with NSF’s conflict of interest policy or they must follow the prime institution’s policies.

Details can be found at:
Grant Proposal Guide Changes

Award & Administration Changes