

Compliance Questions

Proposal Number:	
Proposal Title:	
Sponsor:	
Unit:	
Investigator Name:	
Investigator Signature:	

Included Questionnaires: Personnel Certification Questionnaire
 MIQ Mandatory International Questionnaire
 MCQ Mandatory Compliance Questionnaire

Creation Date: 09/14/2021

Personnel Certification Questionnaire

Q1076_Have lobbying activities been conducted on behalf of this proposal?	Yes	No
Q1077_Can you certify that the information submitted within this application is true, complete and accurate to the best of your knowledge? Please be aware that any false, fictitious, or fraudulent statements or claims may subject you, as the PI/Co-PI/Co-Investigator to criminal, civil or administrative penalties.	Yes	No
Q1078_Do you (or your spouse, domestic partner, or dependent children) have a financial interest or fiduciary relationship that 1) could be affected by the research or 2) is in an entity that could be affected by the research? This applies to current interests/relationships and those within the past 12 months. A financial interest or fiduciary relationship includes, for example, receipt or contractual entitlement to royalty, equity, or consulting remuneration, employment, and service as an officer or Board of Directors member. If you answer Yes to this question, you must disclose your financial interest or fiduciary relationship in the JHU online disclosure system, eDisclose (http://edisclose.jhu.edu).	Yes	No
Q1079_Are you currently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from current transactions by a federal department or agency?	Yes	No
Q1080_Do you agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports?	Yes	No

MIQ Mandatory International Questionnaire

Q1055_Will your project require the involvement of any foreign country, its citizens or organizations?	Yes	No
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If No, advance to the next questionnaire

Please select foreign country and activity type where sponsored activity will take place.

Additional Information	

[Click here to add additional countries.](#)

Q1063_Please provide as much of the following information as you can about any foreign national or foreign organization to which you expect to provide access to project-related devices, materials, source code or technical data during the course of the project:

- full legal name,
- country of citizenship (or an organization's home country),
- connection to the proposed project (e.g., University employee, student-lab assistant, collaborator, vendor, independent contractor, subrecipient),
- the parts of the project in which they will be involved and what they are expected to contribute, and
- location during project (US and/or named foreign country)

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[Click here to add additional countries.](#)

Q1090_In addition to the foreign persons whom you described above, do you reasonably expect that other, presently unknown foreign persons will also be provided with access to devices, materials, source code or technical know-how, while they are in the United States?	Yes	No
Q1064_To the best of your knowledge, will there be any restrictions upon: a) the publication of project results, or b) the inclusion of foreign nationals in some or all project activities?	Yes	No
Q1065_In the text box below, please describe the kind of restrictions that you believe will apply to the conduct of your project or to the publication of its results.		
Q1067_Are any foreign countries associated with your project subject to sanctions implemented by the Office of Foreign Assets Control (OFAC)? This includes any country that you have disclosed in prior Research Compliance Questions, either because project-related activities are expected to take place within the boundaries of a country, or because one of its citizens will contribute to the project. If you do not know if a particular country is subject to OFAC sanctions, click on the link at the right of this question. In the window that pops up, use the link provided in the Regulations section. This should instruct your browser to open the OFAC Web page that lists currently sanctioned countries.	Yes	No

MCQ Mandatory Compliance Questionnaire

Q1005_Does this proposal involve human subjects? If this proposal includes any of the following, please answer "yes" - Interventional clinical trial - Observational clinical studies - Social/Behavioral intervention - Collection of data by interview, survey, focus group, educational tests, observation of public behavior - Review of existing identifiable data including protected health information If No, advance to the next non-shaded question	Yes	No
Q1100_Is this a multi-site study?	Yes	No
Q1091_You have indicated that your proposal includes a multi-site study involving human subjects. A plan for use of a single IRB (sIRB) may be required for your federally-funded human subjects research. The sIRB is the selected IRB of record that conducts the ethical review for participating sites of the multi-site study. Does this proposal require use of a single IRB (sIRB) to review the human subjects research proposed? Please check with the appropriate JHU IRB if uncertain whether your study may require use of a sIRB.	Yes	No
Q1102_Will you use the JHM IRB or an External IRB as the sIRB?		
Q1006_Does this project involve disclosure/receipt of protected health information to/from sponsor or third parties?	Yes	No
Q1007_Does this project involve use of any of the following: human embryonic stem cells (hESCs), somatic cell nuclear transfer (SCNT) involving human cells or other human pluripotent stem cells (hPSCs) that are already subject to oversight by the JHU Institutional Stem Cell Research Oversight (ISCRO) Committee (http://www.hopkinsmedicine.org/Research/iscro/)? If No, advance to the next non-shaded question	Yes	No
Q1054_Have you obtained review and approval from the Stem Cell Research Oversight Committee (JHU ISCRO)?	Yes	No
Q1008_Does this project involve use of live vertebrate animals?	Yes	No
Q1017_Will the project include subawards or subcontracted effort to other organizations? If No, advance to the next non-shaded question	Yes	No
Q1105_Does any proposed subrecipient employ any immediate family member of a named JHU investigator?	Yes	No
Q1106_Has the relevant named JHU investigators disclosed, as required by JHU Policy, all financial interests and employment relationships between the named JHU investigator (and/or their immediate family member) and the proposed subrecipient?	Yes	No
Q1104_Does any named JHU investigator (or any immediate family member of a named JHU investigator) have an ownership or equity interest in any proposed subrecipient?	Yes	No
Q1106_Has the relevant named JHU investigators disclosed, as required by JHU Policy, all financial interests and employment relationships between the named JHU investigator (and/or their immediate family member) and the proposed subrecipient?	Yes	No
Q1107_Will there be any foreign subrecipients?	Yes	No
Q1020_Do you anticipate that this project will involve existing JHU intellectual property (yours or another investigator's), such as inventions, copyrights, etc? If No, advance to the next non-shaded question	Yes	No

Q1038_Has the proposed use been approved by Johns Hopkins Tech Transfer?	Yes	No
Q1037_Please identify the JHU disclosure number.		
Q1066_Will any tangible item or information used for, or likely to arise from, the proposed project a) be the product of defense funding, b) be designed, developed, configured, adapted, or modified for a military, space or intelligence application, or c) have potential, military, space or intelligence applications? If No, advance to the next non-shaded question	Yes	No
Q1092_Will the project include or anticipate a Johns Hopkins Clinical Research Network (JHCRN) as a sub site or participant in this study?	Yes	No
Q1094_Please provide comments on the Johns Hopkins Clinical Research Network (JHCRN) as a sub site or participant being used.		
Q1093_Please check the appropriate Johns Hopkins Clinical Research Network (JHCRN) as a sub site or participant.		
Q1098_Do you: - have access to non-public information, or - have you performed or do you expect to perform work for the federal government; that may provide you or another member of The Johns Hopkins University with an unfair competitive advantage in applying for federal funding or that could appear to bias its judgement? If No, advance to the next non-shaded question	Yes	No
Q1099_Please provide a general explanation regarding the activities as defined in the OCI policy.		
Q1108_Does this proposal relate to COVID-19 work? If No, advance to the next non-shaded question	Yes	No
Q1111_Does this proposal require that you use the resources of Johns Hopkins Medicine (JHM), such as access to patients and/or healthcare workers, biospecimens, or data?	Yes	No
Q1110_Will your proposal include any studies exposing animals to SARS-CoV-2 (COVID-19) at JHU?	Yes	No
Q1109_Does this proposal involve funds coming from the Coronavirus Aid, Relief, and Economic Security (CARES) Act?	Yes	No

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