

Compliance Questions

Proposal Number:

Proposal Title:

Sponsor:

Unit:

Investigator Name:

Investigator Signature:

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

Creation Date: 05/26/2022

Personnel Certification Questionnaire

	Yes	No
Q1076_Have lobbying activities been conducted on behalf of this proposal?		
Q1077_Is the information submitted within this application 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 an Investigator (PI/Co-PI/Co-Investigator/Key Person) to criminal, civil or administrative penalties. Checking ?Yes? confirms that you have read, understand and are in compliance with the federal agency requirements listed here https://jhura.jhu.edu/current-and-pending-or-other-support/ .		
Q1119_Do you hold a paid or unpaid appointment, position or affiliation at any entity other than JHU This includes unpaid positions such as guest, adjunct, honorary, or visitor titles at other institutions. If yes, has the appointment been disclosed to and approved by your divisional dean's office? All outside appointments require prior approval by your divisional dean's office. If yes, please ensure that all appointments are listed in your Biosketch and are included in your eDisclose record. If no, please contact your divisional dean's office to identify next steps for obtaining approvals. See: https://research.jhu.edu/jhura/compliance/foreign-engagement/ If No, advance to the next non-shaded question		
Q1134_Are the paid or unpaid appointments, affiliations, or employment with a foreign institution? If yes, please remember that you must upload copies of contracts/agreements specific to any foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in your Other Support documents. If the contracts/agreements are not in English, recipients must provide translated copies. NOTE: The contracts, including the contract for appointments and any other contracts associated with any resources provided resource must first be approved by your divisional dean's office and then uploaded as a single file in Other Support document.		
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 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 your organization's disclosure system. For JHU Investigators, use eDisclose (http://edisclose.jhu.edu), and include such disclosure in the proposal or progress report (.eg.outside employment in your Biosketch).		
Q1115_Are you participating in any investigator program sponsored by a foreign government (e.g. Talent recruitment program)? NOTE: Many federal funders do not permit researchers participating in such programs from receiving any federal research support. NOTE: Foreign talent programs are defined as any foreign-state-sponsored attempt to acquire US scientific-funded research or technology through foreign government-run or funded recruitment programs that target scientists, engineers, academics, researchers, and entrepreneurs of all nationalities working or educated in the United States. If No, advance to the next non-shaded question		
Q1116_What country(ies)?		

Q1135_Do you have any visiting postdoctoral fellows, students or scholars involved in research for your lab supported in full or in part by any non-JHU organization, institution, company or government? All visitors must be approved according to the JHU Visitor?s Policy. If No, advance to the next non-shaded question	Yes	No
If yes, was this visitor approved according to the JHU?s Visitor?s Policy? Note: The visitor?s efforts, including the external funding support for the visitor, are considered ?Other Support? and must be disclosed to federal funders in your Other Support document. https://research.jhu.edu/jhura/current-and-pending-or-other-support/	Yes	No
Q1137_Do you have access to ?in-kind? research resources from any source outside of JHU? This includes resources obtained through a formal or informal collaboration, appointment, or relationship with an outside institution, organization or company. Examples include lab or office space, specialized equipment, research data or materials that are provided without charge to you. See: https://grants.nih.gov/grants/forms/othersupport.htm If yes, you must disclose the details of that resource in your Other Support. Identify any agreements under which you receive these resources. If the research resources are from a foreign institution and related to a foreign appointment or foreign employment (including consulting or research that has not been approved in eDisclose) , you must upload the associated contracts under which you received access to the resource.	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 all required progress reports?	Yes	No
Q1117_I have reviewed the proposal and certify that I have completely and accurately disclosed my current and pending support/other support (both domestic and foreign,) including the amount, type, and source of all support received, or expected to be received, as of the time of this disclosure or will do so at the Just in Time stage of the application process, as may be required by the funder. I understand I am obligated to report in a timely fashion any changes to such disclosures in accordance with University and sponsor policy, and that JHU is required to promptly relay such information to the sponsor.	Yes	No
Q1138_I have been made aware of the requirements under federal law to completely and accurately disclose my current and pending support/other support, and I am aware that any false, fictitious, or fraudulent statements or claims related to my current and pending/other support may subject me to criminal, civil, or administrative penalties under federal law.	Yes	No

Mandatory Compliance Questionnaire		
Q1121_Does this project involve human subjects? If this project includes any of the following, please answer "yes" and include the current approval protocol number and date under the Coeus special review tab.. - 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	Yes	No
Q1126_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/)? Please include your current approval date under the Coeus special review tab.	Yes	No
Q1125_Does this project involve use of live vertebrate animals? Please include your current approval date under the Coeus special review tab.	Yes	No
Q1122_Will a new subaward or subcontracted effort to other organizations be required? If No, advance to the next non-shaded question	Yes	No
Q1123_Are there or will there be new foreign subrecipients which were not included in the original award?	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
Q1006_Does this project involve disclosure/receipt of protected health information to/from sponsor or third parties?	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
Q1124_Does this project 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
Q1037_Please identify the JHU disclosure number.		

Q1038_Has the proposed use been approved by Johns Hopkins Tech Transfer?	Yes	No
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?	Yes	No
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
Q1109_Does this proposal involve funds coming from the Coronavirus Aid, Relief, and Economic Security (CARES) Act?	Yes	No
Q1110_Will your proposal include any studies exposing animals to SARS-CoV-2 (COVID-19) at JHU?	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

MIQ Mandatory International Questionnaire		
Q1127_Does your project involve any foreign country, its citizens or organizations? If No, advance to the next questionnaire	Yes	No
Please select foreign country and activity type where sponsored activity will take place.		
Additional Information		
Click here to add additional countries.		
Q1128_Has anything changed with respect to Foreign Component/Engagement since the original proposal or last progress report?	Yes	No
Q1129_Please specify the change.		
Q1130_Have you already obtained approval from the sponsor? Please include a copy of the approval in the PD record.	Yes	No
Q1132_Please provide as much of the following information as you can about any foreign national or foreign organization who has been or will be provided 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)		
Click here to add additional countries.		

<p>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?</p>	<p>Yes</p>	<p>No</p>
<p>Q1131_To the best of your knowledge, are there any restrictions upon: a) the publication of project results, or b) the inclusion of foreign nationals in some or all project activities?</p>	<p>Yes</p>	<p>No</p>
<p>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.</p> <div style="background-color: #e0f0ff; height: 60px; width: 100%;"></div>		
<p>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.</p> <p>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.</p>	<p>Yes</p>	<p>No</p>

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