Carryover – Prior Approval Questions

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| **Service Request #:** | # «$SR\_ID»  **Service Request Type:** «$SR\_TYPE» |
| **Lead Unit:** | «$DEPARTMENT» |
| **Investigator Signature:** |  | **Signature Date:** | Click or tap here to enter text. |

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| **Carryover Prior Approval** |
| **Q1393\_Is prior approval required?**[ ] I have confirmed that the sponsor requires prior approval for the carryover of funds. |
| **Q1394\_What is the carryover balance being requested?**  Click or tap here to enter text. |
| **Q1395\_By checking the statement below I confirm that it is true on behalf of the PI.**[ ]  I certify that the funds are needed to fulfill the stated aims/goals of the project as verified by the PI. I certify that the funds are needed to fulfill the stated aims/goals of the project as verified by the PI. |

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| **Personnel Certification** |
| **Q1076\_Have lobbying activities been conducted on behalf of this proposal?** | [ ] Yes | [ ] No |
| **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/.](https://jhura.jhu.edu/current-and-pending-or-other-support/) | [ ] Yes | [ ] No |
| **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.** | [ ] Yes | [ ] No |
| **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. | [ ] 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 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) link, and include such disclosure in the proposal or progress report (e.g. outside employment in your Biosketch). | [ ] Yes | [ ] No |
| **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.** | [ ] Yes | [ ] No |
| Q1116\_What country(ies)?  | Choose a Country |
| **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 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.htmIf 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 |

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| **Compliance Questionnaire for Service Requests** |
| **Q1122\_Will a new subaward or subcontracted effort to other organizations be required?**If yes, answer the shaded questions below: | [ ]  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? **If yes, answer Q1006.**  If no, skip Q1006. | [ ]  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? **If yes, answer Q1106. If no, skip Q1106** | [ ]  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 Q1124 is yes, Q1037\_Please identify the JHU disclosure number. Click or tap here to enter text.If Q1124 is yes, Q1038\_Has the proposed use been approved by Johns Hopkins Tech Transfer?[ ]  Yes [ ]  No | [ ]  Yes | [ ]  No |
| **Q1066\_Will any tangible item or information be 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 yes, Q1099\_Please provide a general explanation regarding the activities as defined in the OCI policy. Click or tap here to enter text. | [ ]  Yes | [ ]  No |

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|  **International Questionnaire** |
| **Q1055\_Will your project require the involvement of any foreign country, its citizens or organizations?** **If No, no further questions need to be answered. If Yes, continue answering the questions below.** | [ ]  Yes | [ ]  No |
| Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account☐ Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
| [ ]  Travel by project personnel to foreign countries or their facilitation of limited-duration activity in them (e.g., a conference or meeting) |
| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text.Q1060\_Click here to add additional countries [APPENDIX B](#_Appendix_B_–) |
| **Q1112\_During the project, will you provide foreign persons\* access to devices, materials, source code or while they are in the Unites states? \* Individuals who: a) are not U.S. citizens, b) are not lawful permanent residents or c) have not been assigned protected status by the U.S. Government (e.g., as refugees).** | [ ]  Yes | [ ]  No |
| If Q1112 is yes, 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:If yes, complete the fields below:* Full legal name: Enter full legal name here
* Country of citizenship (or an organization's home country): Choose a Country
* Connection to the proposed project (e.g., University employee, student-lab assistant, collaborator, vendor, independent contractor, subrecipient):

 Click or tap here to enter text.* The parts of the project in which they will be involved and what they are expected to contribute: Click or tap here to enter text.
* Location during project (US and/or named foreign country): Choose a Country

Click here to add additional foreign personnel – [APPENDIX C](#_Appendix_C_–_1) | [ ]  Yes | [ ]  No |
| 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, orb) the inclusion of foreign nationals in some or all project activities?**If yes, answer Q1065.**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.Click or tap here to enter text. | [ ]  Yes | [ ]  No |
| 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, visit the [OFAC Web page](https://home.treasury.gov/policy-issues/financial-sanctions/sanctions-programs-and-country-information) listing currently sanctioned countries. | [ ]  Yes | [ ]  No |

## Appendix B – International Questionnaire

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| Q1056\_Proposed project activity will take place within a foreign country [e.g., will members of the project team, subrecipients or subcontractors be present in the country or interact with persons in the country from a location in another country. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
| [ ]  Travel by project personnel to foreign countries or their facilitation of limited-duration activity in them (e.g., a conference or meeting) |
| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
| [ ]  Travel by project personnel to foreign countries or their facilitation of limited-duration activity in them (e.g., a conference or meeting) |
| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
| [ ]  Travel by project personnel to foreign countries or their facilitation of limited-duration activity in them (e.g., a conference or meeting) |
| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
| [ ]  Travel by project personnel to foreign countries or their facilitation of limited-duration activity in them (e.g., a conference or meeting) |
| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
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| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
| [ ]  Travel by project personnel to foreign countries or their facilitation of limited-duration activity in them (e.g., a conference or meeting) |
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| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
| **ADDITIONAL COUNTRY****Q1056\_Q1057\_Q1058\_Q1070\_Q1071\_**Please select foreign country and activity type where sponsored activity will take place. | Choose a Country |
| [ ]  Hiring employees |
| [ ]  Leasing space |
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| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |
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| [ ]  Hiring employees |
| [ ]  Leasing space |
| [ ]  Opening a bank account[ ]  Sponsor |
| [ ]  Subagreement work performed by a foreign university or other foreign entity. |
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| [ ]  U.S. or foreign persons sending or receiving international shipments of tangible items (e.g., equipment/materials, organic/inorganic) or information (e.g., technical data), sent supporting the project |
| [ ]  University employees or students working in a foreign country for more than ninety (90) days |
| [ ]  Other. Please describe: Click or tap here to enter text. |

## Appendix C – International Questionnaire

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| Q1112\_Additional foreign persons who have access to devices, materials, source code or while they are in the Unites states: Individuals who: a) are not U.S. citizens, b) are not lawful permanent residents or c) have not been assigned protected status by the U.S. Government (e.g., as refugees). |
| **Additional Foreign Personnel**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: Enter full legal name here
* Country of citizenship (or an organization's home country): Choose a Country
* Connection to the proposed project (e.g., University employee, student-lab assistant, collaborator, vendor, independent contractor, subrecipient): Click or tap here to enter text.
* The parts of the project in which they will be involved and what they are expected to contribute: Click or tap here to enter text.
* Location during project (US and/or named foreign country): Choose a Country
 |
| **Additional Foreign Personnel**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: Enter full legal name here
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 |