Unfunded Collaborations

Compliance 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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| **Personnel Certification** | | |
| **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/ | 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.** | 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.** | 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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| **MIQ Mandatory 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.** | 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 |
| 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, or  b) the inclusion of foreign nationals in some or all project activities?  **If no, advance to the next shaded question.** | 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.  Click or tap here to enter text. | | |
| 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. | |
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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 | |
| Opening a bank account  Sponsor | |
| Subagreement work performed by a foreign university or other foreign entity. | |
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| 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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| 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 |
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| Leasing space | |
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| 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 |
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| Leasing space | |
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| Other. Please describe: Click or tap here to enter text. | |
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| 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 |
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| Leasing space | |
| Opening a bank account  Sponsor | |
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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 * 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 * 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 |
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