

### **Type of Proposal:**

- **New**: Proposals submitted for the 1st time; new dollars to JHU.
- **Non-competing continuation**: A progress report and request for funding of a non-competing continuation award for the second or subsequent budget period within an approved competitive segment (NIH Type 5).
- **Revision**: an unfunded application that the applicant has modified following initial review and resubmitted for consideration. Change in budget of an application.
- **Supplement**: A request for an increase in support in a current budget period for expansion of the project's approved scope or research protocol. The request may specify budgetary changes required for the remainder of the project period as well as for the current budget period) (NIH Type 3. A Type 3 prefix also refers to a request/award for a non-competing administrative supplement).

### **Type of Project:**

- **Grants** are financial assistance instruments that provide the researcher with significant flexibility to determine spending categories and research direction. Grants are usually made in support of basic research, requiring technical and financial reports rather than specifying definite services or product deliverables. Unlike cooperative agreements, grants do not require substantial programmatic involvement between the parties. Federal grants are governed by the Office of Management and Budget (OMB) Cost and Accounting Circulars and by each individual agency's grants policy document.
- In **contracts**, one party is buying a service or product from the other in exchange for payment. Contracts assume the production and delivery of a specific product that can be an instrument, device, or technical report. Consequently, contract requirements are more specific and less flexible than grants and agency personnel tend to maintain stricter oversight. Federal contracts are governed by the Federal Acquisition Regulations, as well as specific terms and conditions in each contract document.
- A **cooperative agreement** is an arrangement where both parties are involved in carrying out a portion of the research. Cooperative agreements generally stipulate the responsibilities of both parties. Federal cooperative agreements are governed by the same regulations as Federal grants.

The following items are needed from JHU at the time of proposal submission for **sub contract**:

- A letter of intent from JHU indicating their willingness to collaborate on the project (signed by the PI and JHU rep)
- A budget specifying both direct and indirect costs.
- A statement of work.
- Bio-sketch
- Any relevant Human Subject IRB approval and Vertebrate Animal IACUC protocol approval.

### **Activity Type:**

- **Organized Research** is described as all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilize the same facilities as other research and development activities and where such activities are not included in the Instruction function.

Research activities include the rigorous inquiry, experiment or investigation to increase the scholarly understanding of the involved discipline. Examples of sponsored research include:

- Awards to JHU faculty to support research activities
  - External funding to maintain facilities or equipment and/or operation of a center or facility which will be used for research
  - External support for the writing of books, when the purpose of the writing is to publish research results
  - Data collection, evaluation, analysis and/or reporting
- **Sponsored Instruction** is defined as teaching and training activities at JHU funded by grants and contracts from Federal or non-Federal sponsors. Sponsored Instruction includes agreements which support curriculum development as well as all types of teaching/training activities, whether offered for credit toward a degree or certificate, on a non-credit basis, or through regular academic departments or by separate divisions, summer school or external division. Sponsored Instruction includes:
- Any project for which the purpose is to instruct any student at any location; recipients of this instruction may be JHU students or staff, teachers or students in elementary or secondary schools, or the general public
  - Curriculum development projects at any level, including projects which involve evaluation of curriculum or teaching methods. Note that such evaluation may be considered “research” when the preponderance of activity is data collection, evaluation and reporting
  - Projects which involve JHU students in community service activities for which they are receiving academic credit
  - Activities funded by awards to departments or schools for the support of students
  - Fellowship support for pre-doctoral and post-doctoral training activities, which may include grants to fund dissertation work and travel in relation to a dissertation
  - General support for the writing of textbooks or reference books, video or software to be used as instructional materials
- **Other Sponsored Activities** means programs and projects financed by Federal and non-Federal agencies and organizations which involve the performance of work other than Instruction and Organized Research. Since most projects in this category do not directly involve students and gain little, if any benefit from libraries, the F&A rate applicable to Other Sponsored Activities is less than the rate for Organized Research or Sponsored Instruction. Examples of Other Sponsored Activities include:
- Travel grants
  - Support for conferences, seminars or workshops
  - Support for University public events such as “lively arts”
  - Publications by JHU Press
  - Support for student participation in community service projects which do not result in academic credit
  - Support for projects pertaining to library collections, acquisitions, bibliographies or cataloging
  - Programs to enhance institutional resources, including computer enhancements, etc.
  - Health services projects

### **Special Provisions:**

- If the proposal submission is being done ***collaboratively*** please note the names of all institutions involved and contact information for whoever within their organization can provide the documents necessary.

Also note whether the submission is being done as a single institution submission wherein the primary organization would submit one proposal representing costs for themselves combined with costs for each collaborator and would receive all funding then subcontracting funds to collaborators once received or is it being done as a multi-institutional submission wherein each collaborative institution would submit their portion of a linked proposal and would receive their own funding directly from the agency.

- No ***cost sharing***, waiver or modification can be accepted without the approval of the appropriate Dean or Provost. The School of Engineering generally will not approve voluntary cost sharing, and requires that all cost sharing be approved in advance and documented through the use of the "Dean's Funds Required for Cost-Sharing" form.

Cost sharing may take the form of outright, in-kind or matching. Outright cost sharing generally constitutes a cash contribution coming from University sources. Matching usually refers to a third-party cash contribution through gifts or grants specifically earmarked for participation on a project. In-kind contributions may include University or third-party contributions of efforts, services or goods.

- A ***multi-departmental*** submission is any proposal being considered that involves PI's or Co-I's from departments other than Mechanical Engineering. Please be sure to include contact information for the participating investigators and their administrators.

- **Confidentiality and Material Transfer Agreements:**

Confidentiality agreements that relate to ongoing research at Johns Hopkins or potential research at Johns Hopkins should be sent to the Office of Research Administration.

Confidentiality agreements that relate to technology licensing should be sent to the Office of Licensing and Technology Development.

[NDA/Conf Agreement: http://www.ltd.jhu.edu/business\\_partners/nda.html](http://www.ltd.jhu.edu/business_partners/nda.html)

Material Transfer Agreement: Following link allows you to create an MTA, sign the agreement electronically, and then obtain the electronic signature of your institution's authorized representative (if needed). Hopkins MTAs are to be used only for transfers of materials to investigators at academic or non-profit institutions for internal, non-commercial research purposes. <http://webapps.jhu.edu/mtaonline/>

- **JHU Inventions or Intellectual Property:**

To report new intellectual property, a Report of Invention (ROI) must be completed which includes assignment of ownership interest to the University.

Mail your report of invention to:

Director

Johns Hopkins University

Licensing Technology and Development

100 North Charles Street, 5th Floor

- **Additional Space:** Approval for the use of new space must be obtained prior to submission of a proposal.
- **Federal License to Export Information or Technology:** If yes contact Marge Dolly (410-516-4093, [mdolly@jhu.edu](mailto:mdolly@jhu.edu)) to initiate transfer licensing.
- **US Embargoed Nations List:** If yes contact Marge Dolly (410-516-4093, [mdolly@jhu.edu](mailto:mdolly@jhu.edu)) to initiate licensing.

#### **Protocol information:**

- **Human Subjects or Tissue:** For assistance see the IRB website <http://irb.jhmi.edu>
- **Animals:** Protocol review and approval by SOM Animal Care and Use Committee is required. Please contact them at x7-3738.
- **Infectious Agents or Bio-Hazardous Materials:** Contact the Environmental Health Officer (EHO) of the Health, Safety and Environment office, 2024 East Monument Street, Ext. 5-5918
- **Radioactive or Highly Toxic Materials:** The Radiation Control Unit (RCU) administers the radiation control program at the Johns Hopkins Medical Institutions, procures radioactive materials, and provides for radioactive waste disposal. Forms for projects that involve radiation exposure to human subjects are available at <http://irb.jhmi.edu/Forms/index.html>

The manual may be obtained at <http://www.hopkinsmedicine.org/hse/manuals.htm>

Researchers who use toxic chemical agents or materials in quantities and procedures which may lead to environmental perturbation or which may have acute or chronic toxicity to workers by inhalation, skin absorption or ingestion exposure should notify the Environmental Health Officer (EHO) of the Health, Safety and Environment office, 2024 E. Monument St., Ext 5-5918. Forms for registration of Hazardous or Toxic Chemicals and the criteria for chemicals meeting HSE requirements for registration are available at <http://www.hopkinsmedicine.org/hse>

- **Recombinant DNA:** The Institutional Biosafety Committee, reviews research registrations involving recombinant DNA. The form and a copy of the latest NIH Guidelines for Research Involving Recombinant DNA molecules may be obtained from the Biosafety Officer, ext 5-5918 or downloaded from the HSE web site at <http://www.hopkinsmedice.or/hse>
- **Human Embryonic Stem Cells:** If Yes, have you obtained review and approval from the Embryonic Stem Cell Research Oversight Committee (JHU SOM ESCRO)? <http://www.hopkinsmedicine.org/research/escro/>

**Please note that: Use of human umbilical cord blood, human adult cells, human embryonic germ cells and human/non-human chimeras does not require such review.**