Swift Checklist

Before you submit your request, complete the following:

☐ Prime Award or current NGA was completed by SPSS and is in Oculus
  • We cannot move forward with a subaward until the prime award was sent to SPSS and uploaded in Oculus

☐ Subsite is on the risk rating FRC subrecipient dashboard
  • Click the link for the risk rating dashboard, then click on Subrecipient Dashboard.
  • If not on the dashboard, complete the Subrecipient Financial Questionnaire

☐ Send an invitation to the subsite for New Vendor Creation through PaymentWorks to create a vendor number
  • PaymentWorks User guide is available for assistance

☐ If we're working with a new Subsite and it is a Federal award, a Welcome Packet must be sent to the subsite

Required Documentation for New Subawards:

☐ Sub Determination Form: Completed and signed by the JHU PI

☐ Scope of Work

☐ Detailed Budget

☐ Budget Justification

☐ Indirect Cost & Fringe Rate Agreement: If Federal and if fringe and F&A are on the budget
  • Make sure that the indirect cost rate and fringe rate match the rate agreement
  • If the subsite does not have a rate agreement or if they are using a different rate, please provide documentation

☐ Significant Financial Interest Form (If Federal and the subsite is not on the FDP clearinghouse website)

☐ Subrecipient Financial Questionnaire (If the subsite is not on the risk rating FRC subrecipient dashboard or the FDP Clearinghouse website)

☐ Subsite IRB or IACUC Approvals (if applicable)
Subsite must have a Unique Entity Identifier (UEI) if receiving Federal funding

- If the subsite doesn't have a UEI, see instructions.

**Required Documentation for Modified Subawards:**

- Scope of Work: If scope is changing
- **Detailed Budget:** If adding new money or revising the budget
- Budget Justification
- Indirect Cost & Fringe Rate Agreement: If Federal and if fringe and F&A are on the budget
- Updated subsite IRB or IACUC Approvals (if applicable)
- Updated **Significant Financial Interest Form** - to report any changes; if Federal (Required for every award year)

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**Tips for submitting a New Subaward in Swift**
If there are questions about what information to submit in swift, please contact ORASUBCONTRACTS@jhmi.edu before submitting incorrect information.

It is important that the correct information is added in swift, since the subawards team uses this information to draft the agreement.

**Basic Information Tab**

- Original IPN
- SAP Grant # or Discretionary account # (only one)
  - Only enter an 800# or fund # in the discretionary account space. If it has an SAP Grant #, do not enter information here
  - If incorrect information is entered, the finance tab will not be accessible
- Responsible Cost Center # - must be associated with the PI's unit
- JHU PI name
- JHU's Sponsor Name - type in the name and choose from the pull down menu
  - The Prime Sponsor field is only used if it's a two tiered Prime Award
  - The Full Sub Legal Name is used to show the correct name of the subsite
  - Full Sub Vendor # must start with a "1"

**Finance Tab: information on this tab is used to generate the purchase order number**

- IO# to reduce (Master IO#)
- The indirect cost rate and fringe rate indicated must match the budget and rate agreement
  - If the rates do not match, provide an explanation for why the rates don't match and how it was calculated in the budget

**JHU Contacts Tab**
- PI name, unit and contact information
- Invoice contact
- Financial project/other contact
- Additional contacts- only enter email addresses, no names or numbers

**Subrecipient Contacts Tab**
- Domestic or Foreign
- Sub UEI - if the prime award is **federally** funded, the subsite must have UEI in SAMS.gov
- Organization Type
- Risk Rating- High or Low
- Sub PI and place of performance (include sub PI's credentials)
- Research Administration contact

**Subagreement Details Tab**
- If approval for the sub is required from the sponsor, an email or document with approval must be attached
- Subaward Period of Performance (Obligated Budget) start and end dates- information referring to this specific subaward
- Estimated Total Project Period start and end dates- information referring to the whole project
- The start and end dates on the obligated budget must be within the total project period
- F&A Rate and Fringe Rates (if Federal) - rates used in swift should match the rates on the budget
  - Any deviation from the federally negotiated rates can be added to the verify and submit tab
- Subaward Type
  - **Cost Reimbursement**- reimbursing the subsite for incurred costs associated with work performed
  - **Fixed Price w/milestones and deliverables**- subsite will be paid by per patient costs, milestone payment schedule and specific deliverables
- Select Carryover allowed if there is automatic carryover **AND** the JHU PI would like carryover to be automatic
Other Study Data Tab

☐ If JHU holds the IND, add IND approval from FDA to the attachments

- For clinical trials, if a field says "how many" or "how much," that field must be filled with a number

Compliance Tab

☐ If JHU PI has a relationship or role with the subsite that could be a potential conflict of interest, please email ORASUBCONTRACTS@jhmi.edu

☐ IRB protocol information should reflect the subsite protocol information.

- Only enter the JHU IRB information if JHU will act as the single IRB for a multi-center study, OR if the subsite is KKI

☐ If Human Subjects will be included in this project and you’re waiting for approval, select "pending"

☐ We will need the subsite IRB approval date before we can send the Fully Executed Agreement to the subsite

Deliverables Tab

- Write out the deliverables. Do not state that the information is provided in the Scope of Work

Reports Tab

- Include reports if there are specific reports and formats required

Attachments Tab

- All required documentation must be attached to the record and labeled accordingly

Verify & Submit Tab

- Any additional information or direction to draft an agreement should be added here

Tips for submitting a Modified Subaward in Swift
*When creating a modification, select the modification option. Before you submit, double check ALL fields*

**Modification Tab**
- ☐ Funding - if money/budget has changed
  - If de-obligating total funds, the amount can be entered as a negative
  - The period of performance checkbox must also be completed
- ☐ Carry Forward - is funding carried over from a previous budget
  - ☐ Include what budget year the funding is coming from and the amount of funds
  - ☐ If there is carryforward from additional years, provide information in other change checkbox
- ☐ Budget Revision - changing the budget in any way
- ☐ Sub Period of Performance - only need the new end date
- ☐ No Cost Extension Only - only changing the end date to extend the project
- ☐ Change in Scope - only changing the scope of work details including deliverables
- ☐ Change in Key Personnel - only changing personnel involved in the project
- ☐ Other Change - any other change (ex: changes to contact information, terms in subagreement, etc.)

**JHU Contacts Tab and Subrecipient Contacts Tab**
- ☐ Double check to make sure the information is correct and has not changed