Swift Checklist

Submit a subaward through Swift

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)

Tips for submitting a New Subaward in Swift

View the Swift User Guide

- 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