# User Guide

## for

## Subaward Workflow Information Tracking System (SWiFT)

## for

## JHU School of Medicine (SOM) Departments



## 2/18/2019

# Table of Contents

# 1    PURPOSE

The Subaward Workflow Information Tracking System (SWiFT) is used to input the information required by Johns Hopkins School of Medicine (SOM) Office of Research Administration (ORA) to write a complete subaward and subsequent modifications.

This *Subaward Workflow Information Tracking System User Guide for SOM Departments* provides an overview of the basic functions and usage of the Subaward Workflow Information Tracking System (SWiFT).

# 2    SYSTEM FUNCTIONS

The Subaward Workflow Information Tracking System (SWiFT) provides the ability to enter and submit subaward records to ORA, and to log and report on the stages of the subaward record creation and modification process.

# 3    GETTING STARTED

To use the Subaward Workflow Information Tracking System (SWiFT), go to https://jhurasystems.jhu.edu/swift.

*Note: Chrome or Firefox browsers are recommended for best SWiFT performance and user experience.*

Log on to the system using your JHED ID and password.  The *My Subawards in Progress* page will be displayed.
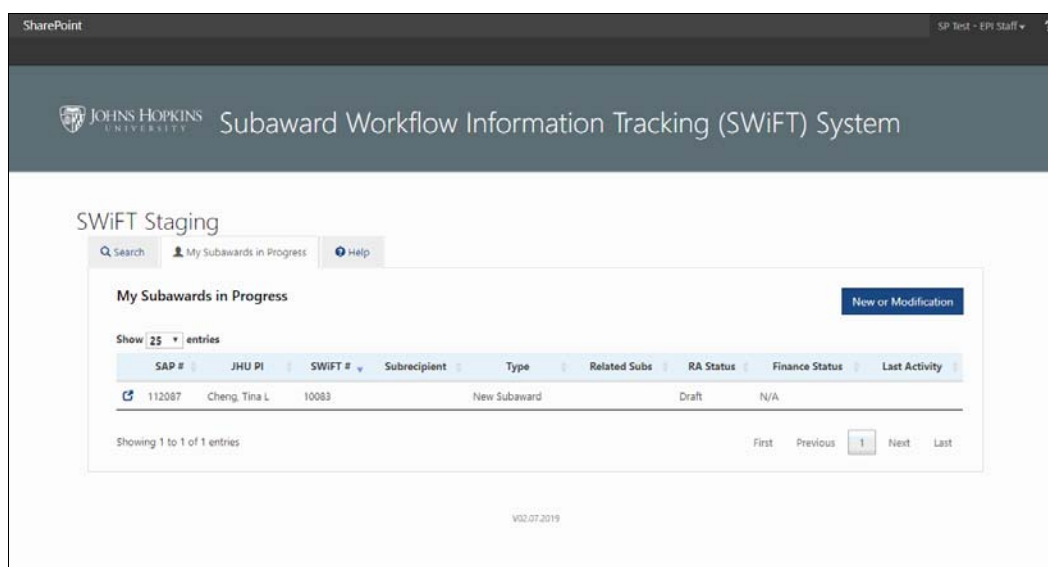


**Figure 1: Initial SWiFT Screen**

SWiFT allows you to search for an existing subaward record (Section 4), view a list of your subaward records that are in progress (Section 5), create a new subaward record (Section 7), or modify an existing subaward record (Section 9).

*Notes:*
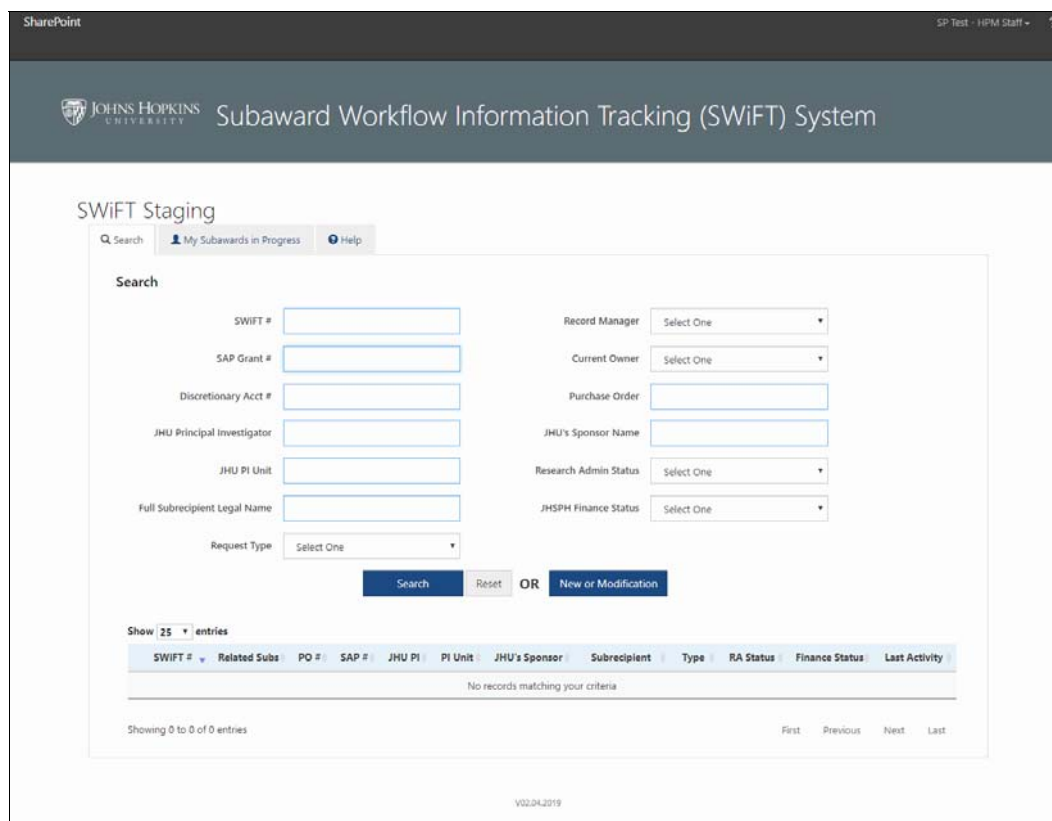
*Unless otherwise noted in the field description tables in this guide, the information in the subaward record forms must be entered manually by the requestor.*

*The Actions dropdown list appears on several pages in this system, and the available options are specific to those pages.  The Actions options available for each page and a description of these options are located in Section 10, Options for Actions Dropdown List*

*Several different emails are generated by the system and sent to the requestor during the subaward record approval process.  These emails are described in Section 11, Emails Generated by the System.*

# 4    SEARCHING FOR A SUBAWARD RECORD

To search for an existing SWiFT subaward record, click on the **Search** tab.  The *Search* page will be displayed, as shown below.



**Figure 2: Search**
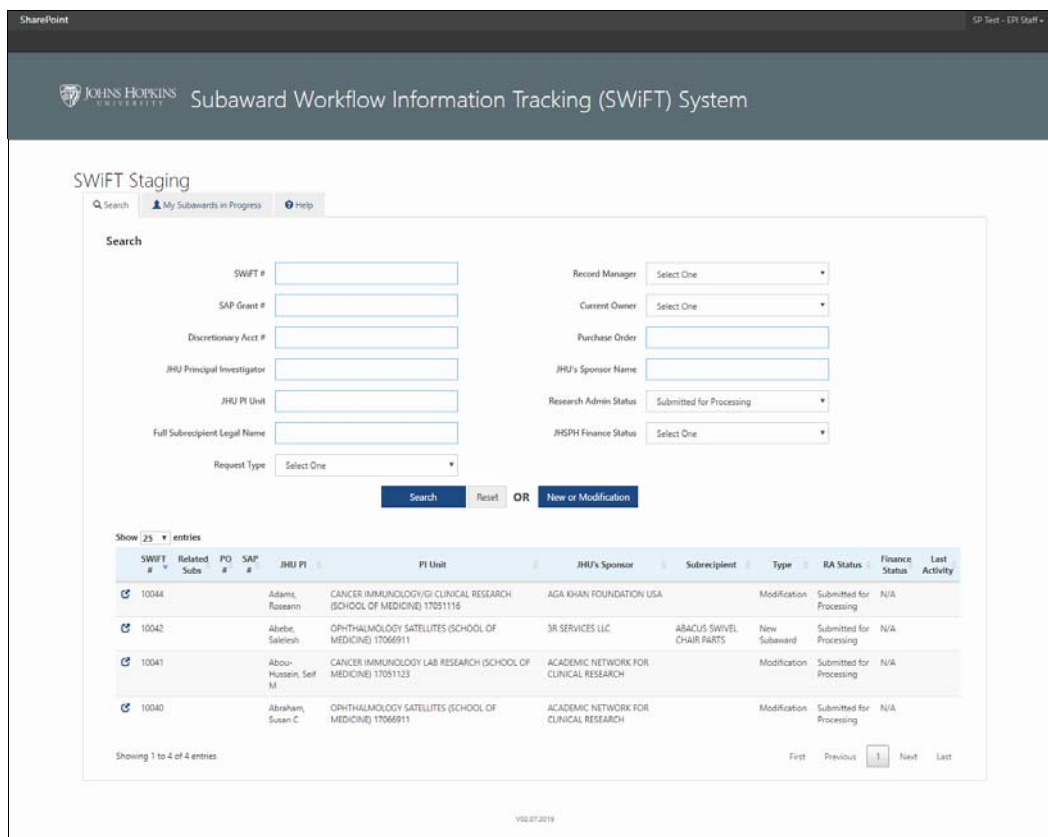
The search fields are listed and described in the table below.

| Search Field | Dropdown Choices |
|---|---|
| SWiFT # | |
| SAP Grant # | |
| Discretionary Acct # | |
| JHU Principal Investigator | |
| JHU PI Unit | |
| Full Subrecipient Legal Name | |
| Request Type | Modification<br>New Subaward<br>Vendor Services Agreement |
| Record Manager | All ORA record managers in system |
| Current Owner | All ORA current owners in system |

| Search Field | Dropdown Choices |
|---|---|
| Purchase Order | |
| JHU's Sponsor Name | |
| Research Admin Status | Submitted for Processing<br>Review in Progress<br>All Docs Received<br>Sent to Subrecipient<br>PEA Received<br>FEA Completed<br>Returned for Edit RA<br>On Hold<br>Subaward Complete<br>Withdrawn |
| JHSPH Finance Status | *This field is not used by SOM.* |

Select the search criteria and click on **Search**.

The search results will appear in the lower part of the page, as shown below.



**Figure 3: Search Results**

To open a subaward record from the search results, move the cursor anywhere over the row for that subaward record. It will become highlighted, as shown below.

**Figure 4: Highlighted Search Result**

Click on the highlighted subaward record to open it in a new window.  Click on the ⊗ in the upper right corner of the window to close it and return to the Search Results.

# 5    VIEWING YOUR SUBAWARD RECORDS IN PROGRESS

To see a list of your SWiFT subaward records that have been created but not yet approved, click on the **My Subawards in Progress** tab.  The following page will be displayed, listing all subaward records where you are the Requestor and the *RA Status* is Draft and/or the *Finance Status* is *Draft*.



**Figure 5: My Subawards In Progress**

To open a subaward record, click on the ⬚ corresponding to the subaward record.  If you edit the data, click on the Save button at the bottom of each page that you modify.  To exit without changing, click on the ⊗ in the upper right corner of the window.
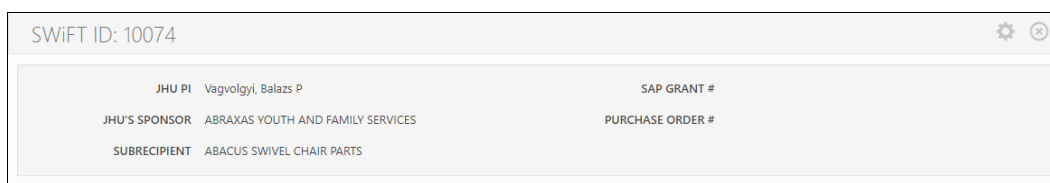
# 6 DISPLAYING A SWIFT SUBAWARD RECORD

SWiFT subaward records are displayed by the system in a popup window consisting of three parts: a header (top of the window), a series of tabs to display information pages (left side), and a status panel (right side).

## 6.1 Header

The SWiFT subaward record header contains basic information about the SWiFT subaward and is always visible in the window. The fields are automatically filled by the system.

| SWiFT ID: 10074 | | ⚙ ⊗ |
| --- | --- | --- |
| **JHU PI** Vagvolgyi, Balazs P | **SAP GRANT #** | |
| **JHU'S SPONSOR** ABRAXAS YOUTH AND FAMILY SERVICES | **PURCHASE ORDER #** | |
| **SUBRECIPIENT** ABACUS SWIVEL CHAIR PARTS | | |

**Figure 6: SWiFT Subaward Record Header**

## 6.2 Tabs

A SWiFT subaward record contains fourteen tabs that are used to access the different pages of the record. This structure is the same when creating a SWiFT subaward record and when viewing an existing SWiFT record. The tabs are described in Section 7.

## 6.3 Subaward Status Panel

The *Subaward Status* panel displays the current status of the SWiFT subaward and information about the subaward for the following areas:

- Requestor (automatically filled by system)
- Finance Review (entered by Research Administration)
- Research Admin Review (entered by Research Administration)
- FFATA Report (entered by Research Administration)
- Previous Checklists (automatically filled by system)

The *Subaward Status* panel is always visible in the window.

## Subaward Status

RA Status    Subaward Complete

### Requestor

Machavarapu, Laxmi    ANTERIOR SEGMENT
                      OPHTHALMOLOGY

lmachav1@jhu.edu    436342
Created    08/08/2018
Submitted for Processing    08/08/2018

### Finance Review

96 IO # Workflowed to SPSS

### Research Admin Review

Record Manager

Current Owner

Assigned To Current Owner

All Docs Received

Sent to Subrecipient

PEA Received

FEA Completed

FEA Sent to Subrecipient    08/09/2018

Purchase Order #

☐ High Risk
☐ Welcome Packet Sent
☐ Questionnaire Completed and Signed
☐ Sub VC Screening Complete

☐ F&A Rate Verified
   ○ Affirmed rate(s) on FDP Clearinghouse
   ○ Dept supplied current negotiated F&A rate agreement
   ○ Federal domestic de minimus at 10% or foreign at 8%
   ○ Sub did not charge F&A rate
   ○ Rate set by sponsor
   ○ Other

☐ Confirm Fringe Rate for Accuracy/Reasonableness
   ○ Subrecipient has a federally negotiated fringe benefits rate agreement
   ○ Individual costs (health insurance, life insurance, tuition assistance etc.) are reasonably direct charged as actual costs
   ○ A Cognizant Federal Agency, such as DCAA, reviewed and approved the rate
   ○ Subrecipient has received recent federal funding that included the same rate
   ○ Subrecipient has an independent audit approved financial statement with rates described

☐ Sub Determination Completed and Signed

### FFATA Report

Report Due    ☐

FAIN    214135

Subaward Fully Executed

FFATA Report Sent

### Previous Checklist(s)
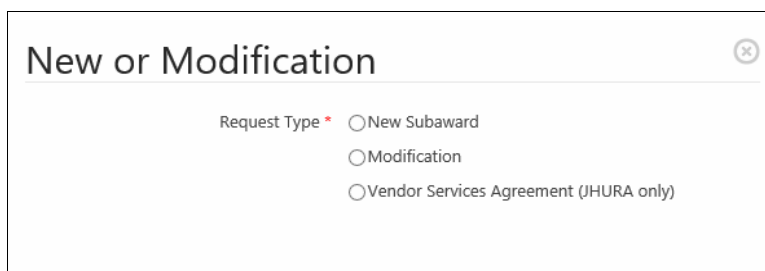
Related Record(s)

Created on 08/08/2018 by Machavarapu, Laxmi
Modified on 08/08/2018 by Machavarapu, Laxmi

**Figure 7: Subaward Status Panel**

# 7     CREATING A NEW SUBAWARD RECORD

To create a new SWiFT subaward record, click on the **New or Modification** button on the *Search* page.  The *New or Modification* popup window will appear.
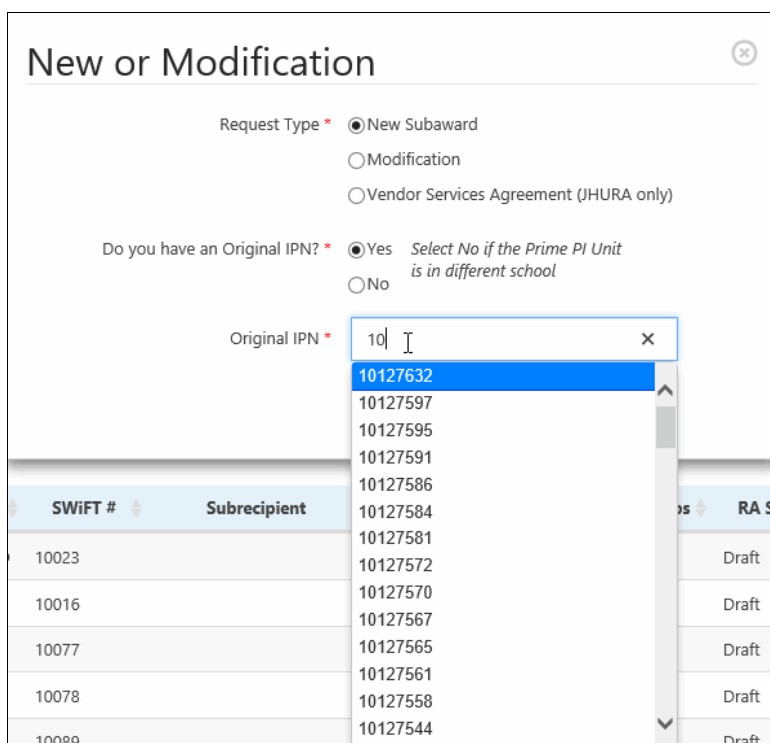


**Figure 8: New or Modification**

Select **New Subaward**.  You will be asked if you have an original IPN.

*Note: If you have an original IPN, SWiFT will automatically fill any applicable subaward and Principal Investigator fields with basic information from Coeus.  Otherwise, you will need to manually enter the information.*

- **If you have an original IPN:**

    Select **Yes** and begin typing the IPN in the text box that appears.  After you have entered two digits, the list of IPNs that begin with those two numbers will appear.



**Figure 9: Search for Original IPN**

As you enter more digits, any IPNs that do not match your input will be removed from the list.

Click on the correct IPN number in the list. If the record is not found in Coeus, an error message will be shown stating *Original IPN not found. Enter a Valid Original IPN or select No to "Do you have an Original IPN?"*.

If the record is found in Coeus, the following screen will appear.



**Figure 10: Original IPN Found in Coeus**

Click on **Create Record** to begin the new subaward record process. If you do not want to create the record, click on the ⊗ in the upper right corner of the popup window.

- **If you do not have an original IPN:**

Select **No** and begin entering the PI Unit in the text box. After you have entered two characters, a dropdown box will appe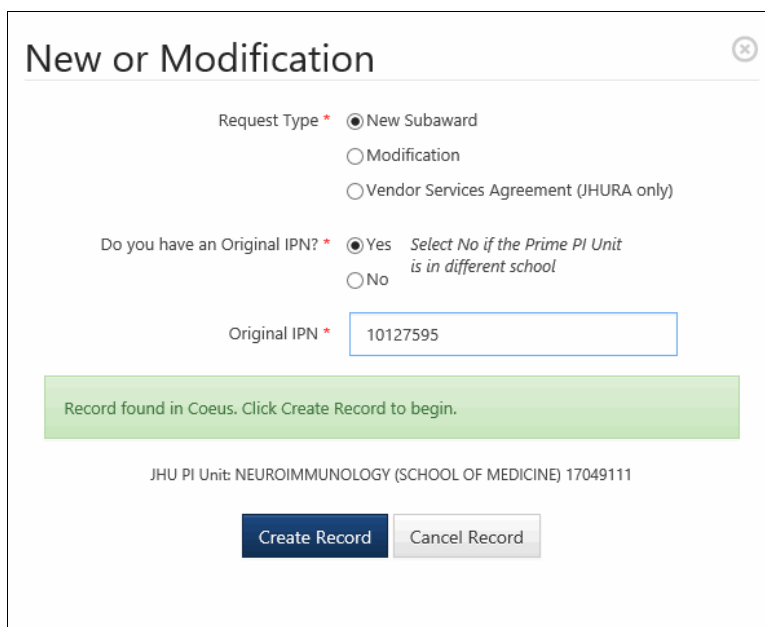ar containing all of the PI Units containing the letter and/or number combination that you have entered anywhere in their titles. As you enter more characters, titles that no longer match will disappear from the list.

*Notes:*
- *The characters must appear in the exact order in which you have entered them, with no spaces or other characters between them.*
- *You can scroll down the list at any time to find the PI Unit.*
- *JHURA PI units will also be listed. Be sure to only select an SOM unit.*

When you find the correct PI Unit, click on the title to select it.

**Figure 11: Select PI Unit**

Click on **Create Record** to begin the new subaward record process. If you do not want to create the record, click on the ⊗ in the corner of the popup window.

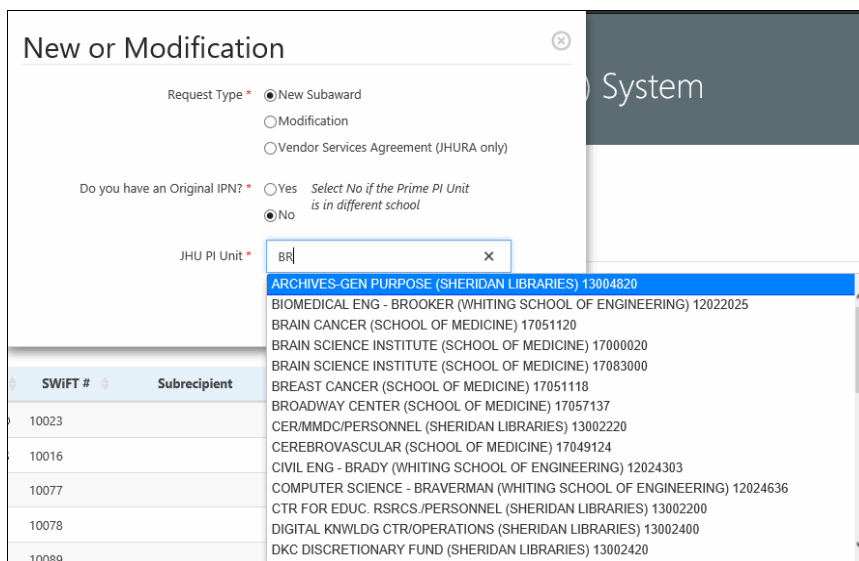From this point forward, all data that you enter can be saved as a draft until you are ready to submit the subaward record for processing.

*Notes:*

- *Fields marked with \* are required and must be filled in before saving the information on that page.*

- *For fields with the description **Enter text & select from results**, start typing some characters contained in the desired entry in the text box. After you have entered two characters, a dropdown box will appear with all of the results containing the letter and/or number combination that you have entered. As you enter more characters, results that no longer match will disappear from the list. Click on a result at any time to enter it into the field. (These fields are marked as **System assisted input** in the Notes column of the field description tables.)*

- *Fields marked in the Notes column of the field descriptions as **From Coeus** are imported directly from Coeus.*

- *Fields marked in the Notes column as **Automatically filled by system** are populated by SWiFT without additional user input.*

## 7.1  Basic Information

When **Create Record** is clicked, the *Basic Information* page will be displayed, as shown below.



**Figure 12: Basic Information**

The fields are listed and described in the table below.
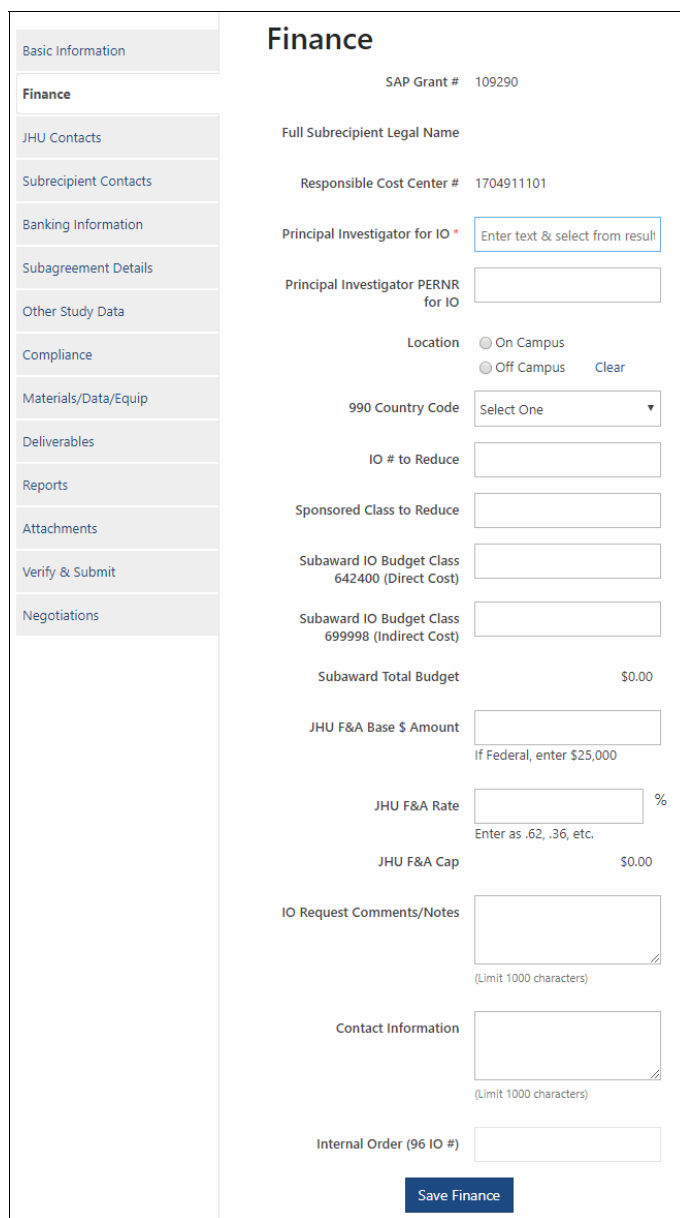
| Field | Notes |
|---|---|
| Request Type | Automatically filled by system |
| Original IPN | |
| COEUS PD # | From Coeus |
| SAP Grant # | From Coeus |
| JAWS Record # | *Not used - JHURA only* |
| Discretionary Acct. # | Enter the 10-digit discretionary or gift account number |
| Shopping Cart # | |
| Responsible Cost Center # | From Coeus |
| JHU Principal Investigator * | From Coeus (can be modified – system assisted input) |
| JHU PI Unit | Automatically filled by system |
| Prime Sponsor Name | If Prime Sponsor same as JHU's Sponsor, leave *Prime Sponsor Name*, *Org Type*, and *Award #* fields blank. |
| Prime Sponsor Org Type | From Coeus |
| Prime Sponsor Award # | |
| JHU's Sponsor Name | From Coeus (If Discretionary Acct # used, select *JOHNS HOPKINS UNIV)* |
| JHU's Sponsor Org Type | From Coeus (If Discretionary Acct # used, select *Private Non-Profit*) |
| JHU's Sponsor Award # | From Coeus |
| Full Subrecipient Legal Name | System assisted input <br> If the name is not on the list, select *Vendor Add to SAP* |
| Full Subrecipient Vendor # | |
| Requestor's JHED ID | Automatically filled by system |
| Requestor's First Name | Automatically filled by system |
| Requestor's Last Name | Automatically filled by system |
| Requestor's Unit | System assisted input |
| Requestor's Email | Automatically filled by system |
| Requestor's Phone | |
| Comments | Limit 1000 characters |

*Note: If a **Discretionary Acct. #** is entered, the Finance tab will be disabled.*

Enter the information for the subaward in the appropriate boxes and click on **Save Basic Information**.

## 7.2   Finance

To enter financial information for the subaward, click on the **Finance** tab.   The *Finance* page will be displayed, as shown below.



**Figure 13: Finance**

The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| SAP Grant # | |
| Full Subrecipient Legal Name | Automatically filled by system from Basic Information tab |

| Field | Notes |
|---|---|
| Responsible Cost Center # | From Coeus or automatically filled by system from Basic Information tab |
| Principal Investigator for IO * | System assisted input |
| Principal Investigator PERNR for IO | |
| Location | Choose **Off Campus** or **On Campus** |
| *If Off Campus:* | |
| Justification | |
| 990 Country Code | Select from dropdown list |
| IO # to Reduce | |
| Sponsored Class to Reduce | |
| Subaward IO Budget Class 642400 (Direct Cost) | |
| Subaward IO Budget Class 699998 (Indirect Cost) | |
| Subaward Total Budget | Calculated by system |
| JHU F&A Base $ Amount | If Federal, enter $25,000 |
| JHU F&A Rate | Enter as .62, .36, etc. |
| JHU F&A Cap | Calculated by system |
| IO Request Comments/Notes | Limit 1000 characters |
| Contact Information | Limit 1000 characters |
| Internal Order (96 IO #) | Only entered by ORA |

Enter the information and click on **Save Finance** to save your information as a draft.

## 7.3 JHU Contacts

To enter JHU contact details for the subaward, click on the **JHU Contacts** tab. The *JHU Contacts* page will be displayed, as shown below.



**Figure 14: JHU Contacts (Part 1 of 2)**

**Figure 15: JHU Contacts (Part 2 of 2)**

The fields are listed and described in the table below.

| Field | Notes |
| --- | --- |
| **JHU Principal Investigator** | |
| Principal Investigator | Automatically filled by system from Basic Information tab |
| PI Unit | From Coeus |
| PI Phone | From Coeus (can be modified) |
| PI Email | From Coeus (can be modified) |
| PI Address | From Coeus (can be modified) |
| PI Address 2 | From Coeus (can be modified) |
| PI City | From Coeus (can be modified) |
| PI Country | From Coeus (can be modified) |

| Field | Notes |
|---|---|
| PI State | From Coeus (can be modified) |
| PI Zip | From Coeus (can be modified) |
| **JHU Person to Receive Invoices** | |
| Invoice To Name | Person in the department who will receive and manage the subrecipient invoices |
| Invoice To Unit | System assisted input |
| Invoice To Phone | |
| Invoice To Email | |
| Invoice To Address | Department address |
| Invoice To Address 2 | |
| Invoice To City | |
| Invoice To Country | Select from dropdown list |
| Invoice To State | Select from dropdown list when *Country* = Canada or United States |
| Invoice To Zip | |
| **JHU Financial/Project/Other Contact** | |
| Contact Name | |
| Copy the JHU Person to Receive Invoices information. | Click on **Copy** to copy the information from the previous section to this section |
| Contact Unit | System assisted input |
| Contact Phone | |
| Contact Email | |
| Contact Address | |
| Contact Address 2 | |
| Contact City | |
| Contact Country | Select from dropdown list |
| Contact State | Select from dropdown list when *Country* = Canada or United States |
| Contact Zip | |
| **Unit personnel who will receive email notifications:** | |
| Additional Contacts | Unit personnel who will receive email notifications Limit 1000 characters |

Enter the information and click on **Save JHU Contacts** to save your information as a draft.

## 7.4   Subrecipient Contacts

To enter subrecipient details for the subaward, click on the **Subrecipient Contacts** tab. The *Subrecipient* page will be displayed, as shown below.



**Figure 16: Subrecipient Contacts**

JOHNS HOPKINS
U N I V E R S I T Y

The fields are listed and described in the table below.
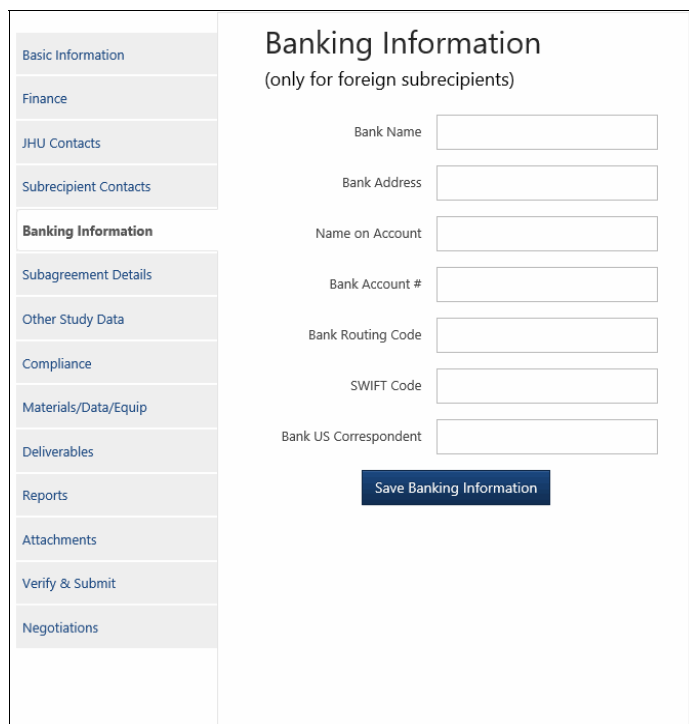
| Field | Notes |
|---|---|
| Full Subrecipient Legal name | Automatically filled by system from *Basic Information* |
| Domestic/Foreign | Select one<br>If *Foreign* is selected, then *Banking Information* tab must be filled in |
| *If **Foreign**:* | |
| Select country | Select from dropdown list |
| Subrecipient DUNS# | |
| Subrecipient EIN | |
| Subrecipient Organization Type | Select from dropdown list |
| Is the Subrecipient rated according to the Finance Research Compliance Risk Rating Sheet? | Select from dropdown list |
| **Subrecipient Principal Investigator** | |
| Full name and Credentials (e.g. MD/PhD) of Subrecipient Project Director/PI | |
| Subrecipient's PI Email | |
| **Principal Place of Performance**<br>**(predominant performance of work accomplished)** | |
| Subrecipient's Country | Select from dropdown list |
| Subrecipient's City | |
| Subrecipient's State | Select from dropdown list when *Country* = Canada or United States |
| Subrecipient's Zip | |
| **Research Administration Contact at Subrecipient Site** | |
| Research Administration Contact Name | |
| Copy the Subrecipient's information. | Click on **Copy** to copy the *Subrecipient Country*, *City*, *State* and *Zip* from above to this section |
| Admin Contact Country | Select from dropdown list |
| Admin Contact Address | |
| Admin Contact Address 2 | |
| Admin Contact City | |
| Admin Contact State | Select from dropdown list when *Country* = Canada or United States |
| Admin Contact Zip | |
| Admin Contact Phone | |
| Admin Contact Email | |

Enter the information and click on **Save Subrecipient Contacts** to save your information as a draft.

## 7.5   Banking Information

*Note: This section is only active when a foreign subrecipient has been indicated on the Subrecipient Contacts tab.*

To enter banking information, click on the **Banking Information** tab.  The *Banking Information* page will be displayed, as shown below.



**Figure 17: Banking Information**

The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| Bank Name | |
| Bank Address | |
| Name on Account | |
| Bank Account # | |
| Bank Routing Code | |
| SWIFT Code | |
| Bank US Correspondent | |

Enter the information and click on **Save Banking Information** to save your information as a draft.  *(The **Save Banking Information** button will not be visible if the subrecipient is domestic.)*

## 7.6   Subagreement Details

To enter subagreement details for the subaward, click on the **Subagreement Details** tab. The *Subagreement Details* page will be displayed, as shown below.



**Figure 18: Subagreement Details**

The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| Prime Project Title | |
| Is approval for Subrecipient required from Sponsor? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| Approval Date | |
| Upload File | Supported file types: PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx |
| Is approval of Subrecipient draft required from Sponsor? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| Submittal Date | |
| Approval Date | |
| Upload File | Supported file types: PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx |
| **Subagreement Period of Performance** | |
| Subagreement Period of Performance (Obligated Budget) Start Date | |
| Subagreement Period of Performance (Obligated Budget) End Date | |
| Estimated Total Project Period Start Date | Prime Period of Performance Start Date |
| Estimated Total Project Period End Date | Prime Period of Performance End Date |
| **Subagreement Budget** | |
| Subaward Type | Select from dropdown list |
| Total Amount Expected to be Obligated to Sub over full term of Prime ($) | |
| Direct Costs This Action ($) | |
| Indirect Costs This Action ($) | |
| Obligated Amount This Action ($) | Calculated by the system |
| Subrecipient F&A Rate | |
| Subrecipient Fringe Rate | |
| Subrecipient F&A Base | Select from dropdown list |
| Subrecipient Cost Share | Choose **Yes** or **No** |
| Carryforward Allowed | Choose **Yes** or **No** |
| Invoice Frequency | Select from dropdown list |

| Field | Notes |
|---|---|
| **FFATA Project Description** | |
| To meet Federal Funding Accounting and Transparency Act (FFATA) reporting requirements, please provide a brief narrative description of the Subrecipient's purpose | Only shown if *JHU's Sponsor Org Type* is *Federal* and *Obligated Amount This Action($)* is $25,000 or greater. |
| **Intellectual Property/Publication Restrictions** | |
| If there is any exception to standard items, contact Research Administration. | |
| **Confidential or Proprietary Information** | |
| Will JHU and/or Subrecipient share any confidential information? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| Describe | Limit 1000 characters |
| **Property/Equipment** | |
| Will Subrecipient be purchasing any equipment? | Choose **Yes** or **No** |

Enter the information and click on **Save Subagreement Details** to save your information as a draft.

## 7.7 Other Study Data

To enter additional study information for the subaward, click on the **Other Study Data** tab. The *Compliance* page will be displayed, as shown below.



**Figure 19: Other Study Data**

The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| Will the subsite be conducting a clinical trial or study? | Choose **Yes** or **No** |
| *If Yes:* | |
| Is the protocol investigator initiated? | Choose **Yes** or **No** |
| How many total subjects is the site expected to recruit? | |
| If the total is unknown, is there an enrollment cap? | Choose **Yes** or **No** |
| *If Yes:* | |
| What is the cap? | |
| Is there a minimum? | Choose **Yes** or **No** |
| *If Yes:* | |
| What is the minimum? | |

| Field | Notes |
|---|---|
| Will the site be paid a per-subject/per-sample amount? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| How much? | |
| Will the site be paid any startup or IRB costs? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| How much? | |
| Will the site be paid for a subject's partial completion of the study? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| How much? | |
| Define partial completion | |
| Is payment contingent upon submission of case report forms (*CRF*) or other data? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| Clarify what the submission is | Limit 1000 characters |
| When does the site submit CRF's/data? | Select from dropdown list |
| Is a study drug/device being supplied to the subsite? | Choose **Yes** or **No**. |
| *If **Yes**:* | |
| Where is it from? | |
| Who will send it? | Select from dropdown list |
| Does JHU have a fully executed agreement with the pharmaceutical company? | |

Enter the information and click on **Save Other Study Data** to save your information as a draft.

## 7.8   Compliance

To enter compliance information for the subaward, click on the **Compliance** tab.  The *Compliance* page will be displayed, as shown below.



**Figure 20: Compliance**

The fields are listed and described in the table below.
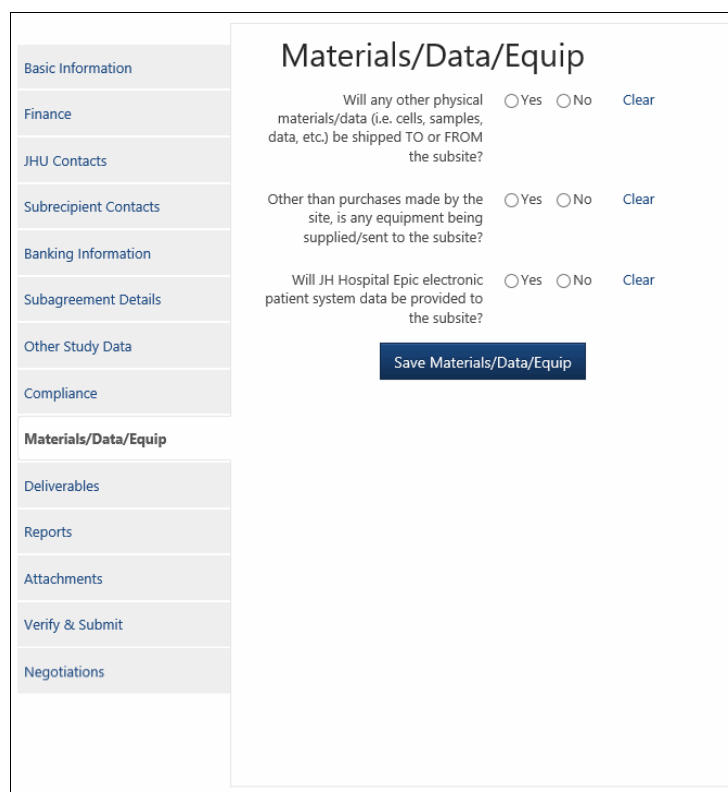
| Field | Notes |
|---|---|
| **Actual/Potential Conflict** | |
| Are there any actual or potential conflict of interest issues (real or perceived) regarding this Subagreement? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| Describe | Limit 1000 characters |
| Has JHU reported, in accordance with the JHU COI policy, all financial interests and fiduciary relationships key personnel, spouses/ domestic partners, and/or minor dependents have with this Subrecipient? | Choose **Yes** or **No** |
| *If **No**:* | |
| Describe | Limit 1000 characters |
| **Use of Animals** | |
| Will Subrecipient be using animal subjects on this project? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| List IACUC protocol # | Limit 1000 characters |
| **Use of Human Subjects** | |
| Will Subrecipient be using human subjects on this project? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| **Pending** or **Exempt** | Choose **Pending** or **Exempt** |
| Is JHU the single IRB (sIRB) for this project? | Choose **Yes** or **No** |
| IRB Protocol Number | |
| IRB Expiration Date | |
| IRB Approval Date | |
| **Use of Human Subjects Data** | |
| Will Human Subjects Data be exchanged under this subaward? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| From Subrecipient to PTE | Select if applicable |
| From PTE to Subrecipient | Select if applicable |
| **Lower-tier Consultants or Subrecipients?** | |
| Are there any lower-tier subcontractors and/or consultants? | Choose **Yes** or **No** |

| Field | Notes |
|---|---|
| *If **Yes***: | |
| List lower-tier subcontractor and/or consultants | Limit 1000 characters |
| **Foreign National Restrictions** | |
| Is there any restriction in your Prime Award on sharing project information with nationals of a country other than the United States? If unsure contact Research Administration. | Choose **Yes** or **No** |
| *If **Yes***: | |
| List restrictions | Limit 1000 characters |
| **Sponsor Certifications** | |
| Sponsor required certifications (i.e. Protecting life, Trafficking in Persons) upload on Attachments Tab | Choose **Yes**, **No**, or **N/A** |
| *If **Yes***: | |
| Describe | Limit 1000 characters |
| **Subrecipient Selection** | |
| Why Subrecipient Selected? | Select one |
| Subaward Cost/Price Basis | Select from dropdown list |

Enter the information and click on **Save Compliance** to save your information as a draft.

## 7.9 Materials/Data/Equipment

To enter information about materials, data, and equipment for the subaward, click on the **Materials/Data/Equip** tab.  The *Materials/Data/Equip* page will be displayed, as shown below.



**Figure 21: Materials/Data/Equip**

The fields are listed and described in the table below.

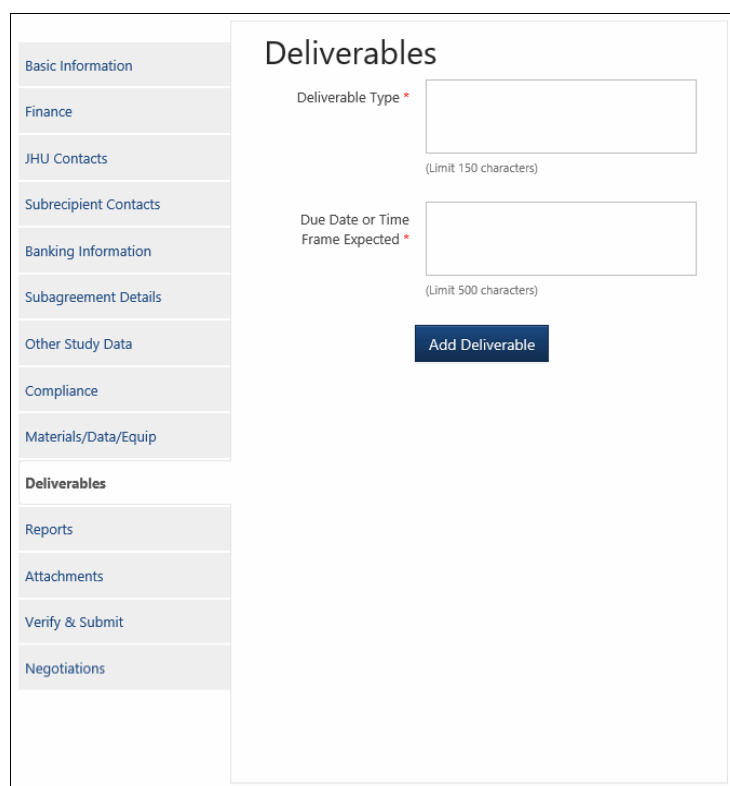| Field | Notes |
|---|---|
| Will any other physical materials/data (i.e. cells, samples, data, etc.) be shipped TO or FROM the subsite? | Choose **Yes** or **No** |
| *If **Yes**:* | |
| Where are the materials/data being sent? | Select from dropdown list |
| What are the materials? | Limit 1000 characters |
| Were the materials/data generated/invented/created under the work scope of the study/project? | Choose **Yes** or **No** |
| Who owns the materials/data (or have IP related to the materials)? | Select from dropdown list |
| How are the materials being disposed of/returned to the original sender? | Limit 1000 characters |

| Field | Notes |
|---|---|
| Who is paying for the material disposal or return? | Limit 150 characters |
| Other than purchases made by the site, is any equipment being supplied/sent to the subsite? | Choose **Yes** or **No** |
| *If Yes*: | |
| Where is it from? | Limit 150 characters |
| Who will own it when the study is over? | Limit 150 characters |
| If not owned by the site, what are the plans for the owner to remove it from the site? | Limit 1000 characters<br>Click on **N/A** checkbox if not applicable |
| Who is paying for the return or removal of the equipment? | Limit 150 characters |
| Will JH Hospital Epic electronic patient system data be provided to the subsite? | Choose **Yes** or **No** |
| *If Yes*: | |
| Does the JHU PI have Data Trust approval for the transmission of the data? | Choose **Yes** or **No** |

Enter the information and click on **Save Materials/Data/Equip** to save your information as a draft.

## 7.10 Deliverables

To enter information about the deliverables for the subaward, click on the **Deliverables** tab. The *Deliverables* page will be displayed, as shown below.
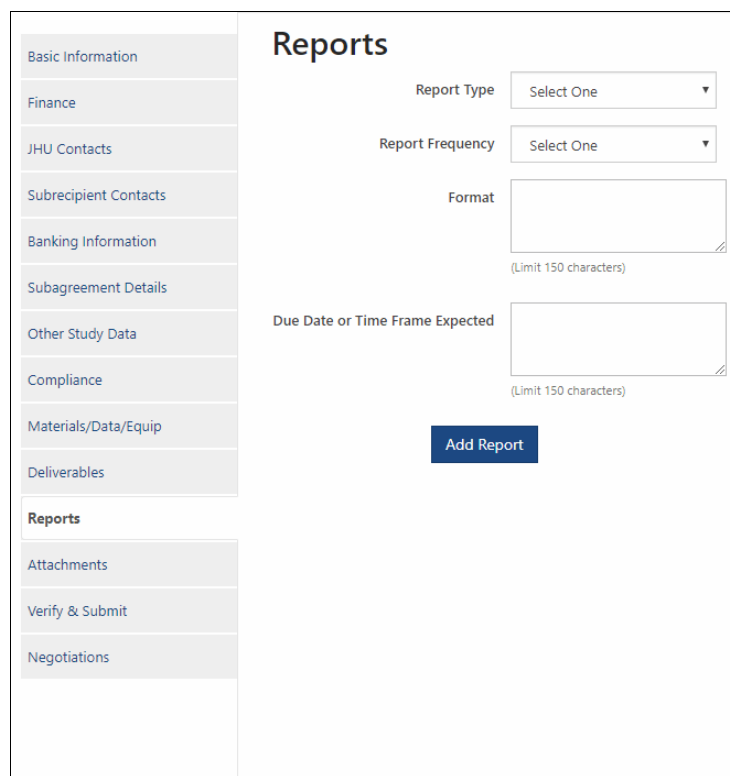


**Figure 22: Deliverables**

The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| Deliverable Type * | Limit 150 characters |
| Due Date or Time Frame Expected * | Limit 500 characters |

Enter the information and click on **Add Deliverables** to save your information as a draft. Multiple deliverables can be entered in a subaward record.

## 7.11 Reports

To generate and view reports, click on the **Reports** tab.  The *Reports* page will be displayed, as shown below.



**Figure 23: Reports**

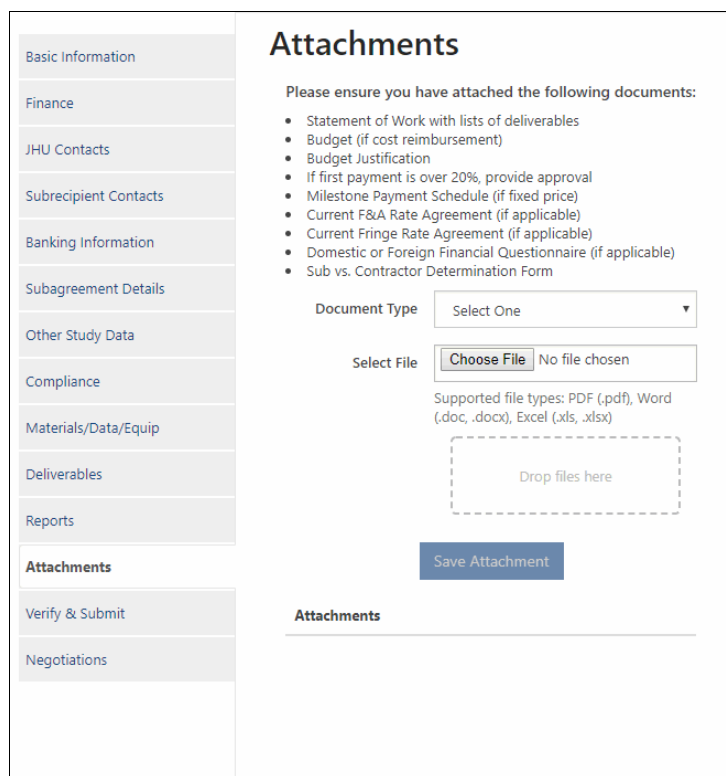The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| Report Type | Select from dropdown list |
| Report Frequency | Select from dropdown list |
| Format | Limit 150 characters |
| Due Date or Time Frame Expected | Limit 150 characters |

*Note: Although these fields are not marked with* *, *they are all required for each report and must be filled in before saving the information on the page.  You are not required to add any reports, but all fields must be filled out for each report that you add.*

Enter the information and click on **Add Report** to save your information as a draft.  Multiple reports can be added to a subaward record.

## 7.12 Attachments

To attach subaward documents, click on the **Attachments** tab.  The *Attachments* page will be displayed, as shown below.



**Figure 24: Attachments**

The following files are required:

- Statement of Work with lists of deliverables
- Budget (if cost reimbursement)
- Budget Justification
- If first payment is over 20%, provide approval (JHURA only)
- Milestone Payment Schedule (if fixed price)
- Current F&A Rate Agreement (if applicable)
- Current Fringe Rate Agreement (if applicable)
- Domestic or Foreign Financial Questionnaire (if applicable)
- Sub vs Contractor Determination Form

To attach a document, select the *Document Type* from the dropdown list, click on **Browse** and navigate to the file.  When you have located it, click on the file name and click on **Open**.  The path to the file will appear in the *Select File* box.  Click on **Save Attachment** to add the file to the subaward record.  A list of the files will appear below the **Save Attachment** button as they are added, as shown below.  To change the document type, select the new one from the dropdown list and click on the icon to save it.

**Figure 25: Attachments Added**

## 7.13 Verify and Submit

To submit the completed subaward record, click on the **Verify & Submit** tab.  The *Verify & Submit* page will be displayed, as shown below.



**Figure 26: Verify & Submit**

Enter any comments that you may have concerning the subaward record, and read the five statements and verify that you agree with them by clicking on the checkboxes.

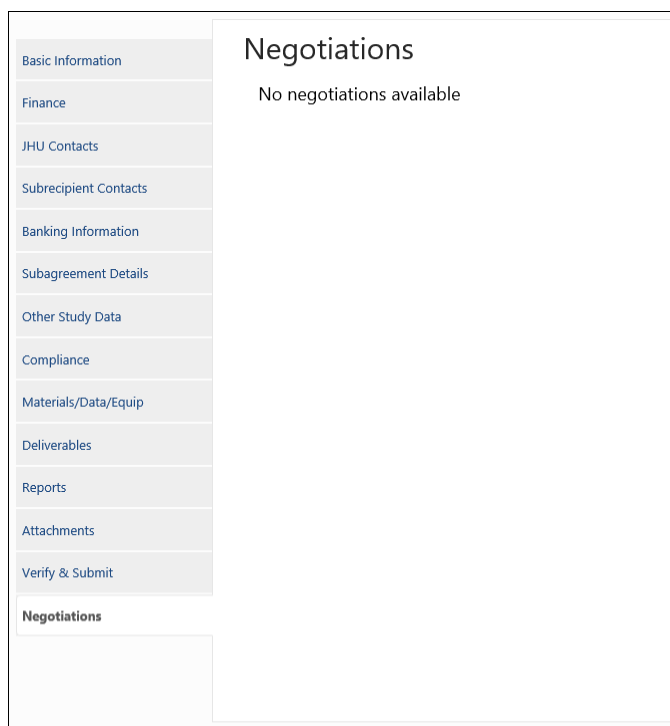- I certify that, to the best of my knowledge, all information furnished is accurate and complete.
- I certify that, to the best of my knowledge, that I have completed a cost or pricing analysis and all cost/prices appear to be reasonable.
- I certify that, to the best of my knowledge, no actual or potential conflict of interest exists related to this Subagreement.
- I certify that the JHU PI has reviewed and approved the information in this record.
- I confirm that I have attached all required documents.

If you would like to save the information as a draft, click on **Save Verify & Submit**.  To submit your subaward record for review, click on **Submit for Processing**.

## 7.14 Negotiations

To view negotiation notes entered by ORA for the subaward, click on the **Negotiations** tab. The *Negotiations* page will be displayed, as shown below.
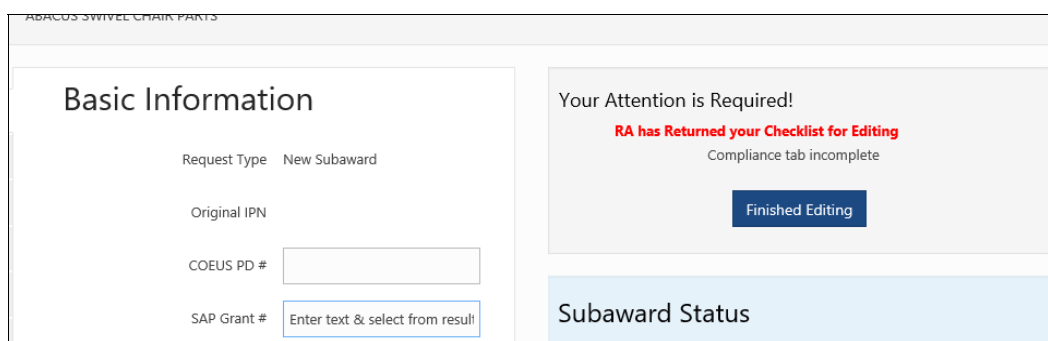


**Figure 27: Negotiations**

# 8     EDITING A RETURNED SUBAWARD RECORD

A SWiFT subaward record may be returned from SOM ORA for modification.  The system will send you an email when a subaward record that you submitted is returned for edit.  The subaward record will be indicated in your *My Subawards In Progress* list by a status of *Returned for Edit RA*.

*Note: The process for entering information when editing a returned subaward record is similar to the subaward record creation process, detailed in Section 7, Creating a New Subaward Record.*

When you open the returned record for editing, you will see a message above the *Subaward Status* panel on the right side of the page.
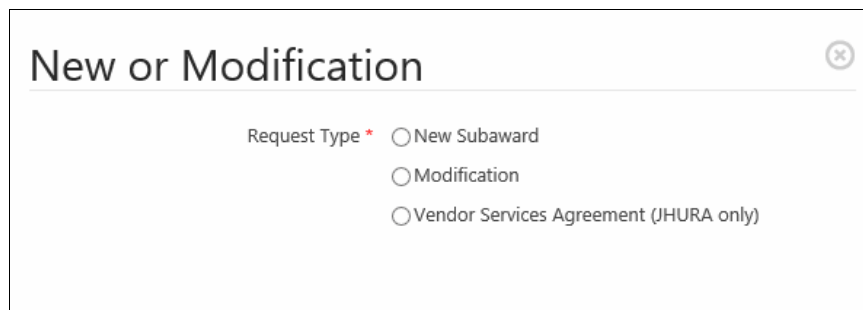


**Figure 28: Returned for Editing Message**

After making the necessary corrections, click on **Finished Editing** in the message area to return the record to ORA.  An email will be sent to ORA notifying them that you have made the requested edits.
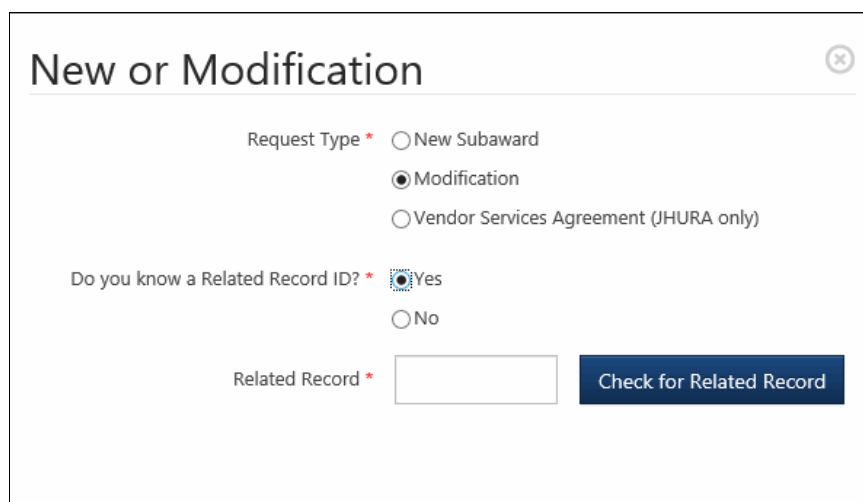
# 9   MODIFYING A SUBAWARD RECORD

To modify a SWiFT subaward record, click on the **New or Modification** button on the *Search* page.  The *New or Modification* popup window will appear.



**Figure 29: New or Modification**

Select **Modification**.  You will be asked if you know a related record ID.



**Figure 30: Related Record ID**

- **If you select Yes:**

    Enter the SWiFT ID of the record you wish to modify and click on **Check for Related Record**.

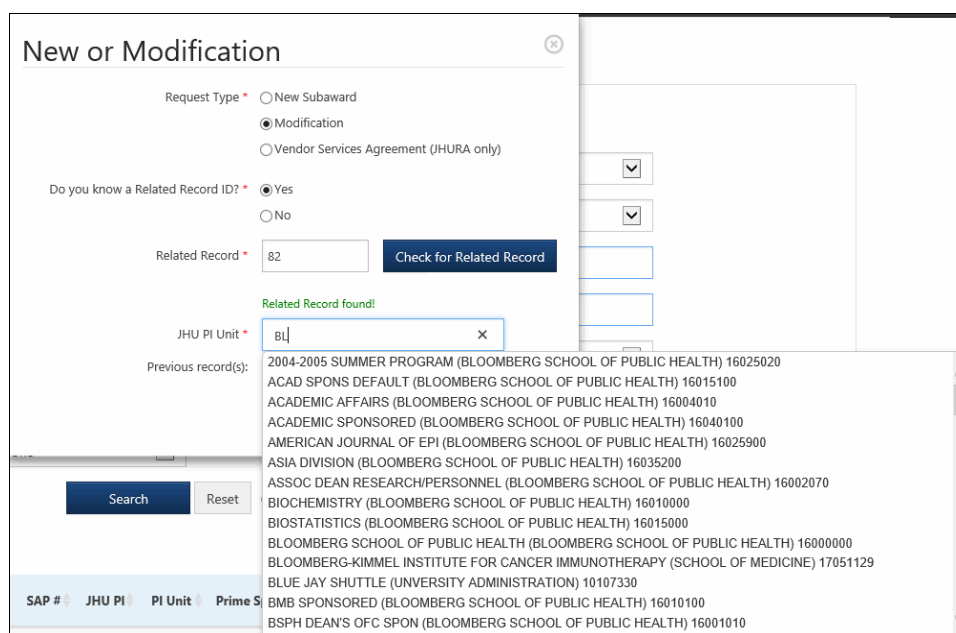    If the number is not found, you will see the following message:

    > Related Record not found! Please try another
    > related record ID or answer No for "Do you
    > know a related record ID?"

    If the number is found, a *PI Unit* text box will appear.  Begin entering the PI Unit in the text box.  After you have entered two characters, a dropdown box will appear containing all of the PI Units containing the letter combination that you have entered anywhere in their titles.  As you enter more characters, titles that no longer match will disappear from the list.

*Notes:*

- *The characters must appear in the exact order in which you have entered them, with no spaces or other characters between them.*
- *You can scroll down the list at any time to find the PI Unit.*
- *JHURA PI units will also be listed.  Be sure to only select an SOM unit.*

When you find the correct PI Unit, click on the title to select it.



**Figure 31: Select PI Unit**

Click on **Create Record** to begin the subaward record modification process.  If you do not want to create the record, click on the ⊗ in the corner of the popup window.
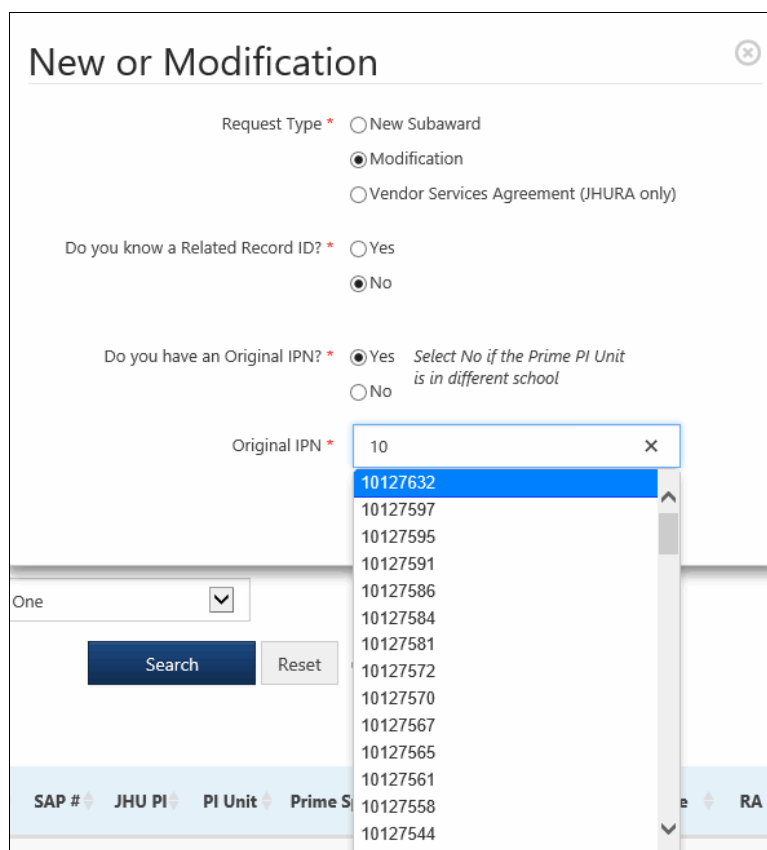
- **If you select No:**

You will be asked if you have an original IPN.

*Note: If you have an original IPN, SWiFT will automatically fill any applicable subaward and Principal Investigator fields with basic information from Coeus. Otherwise, you will need to manually enter the information.*

- **If you have an original IPN:**

Select **Yes** and begin typing the IPN in the text box that appears.  After you have entered two digits, the list of IPNs that begin with those two numbers will appear.
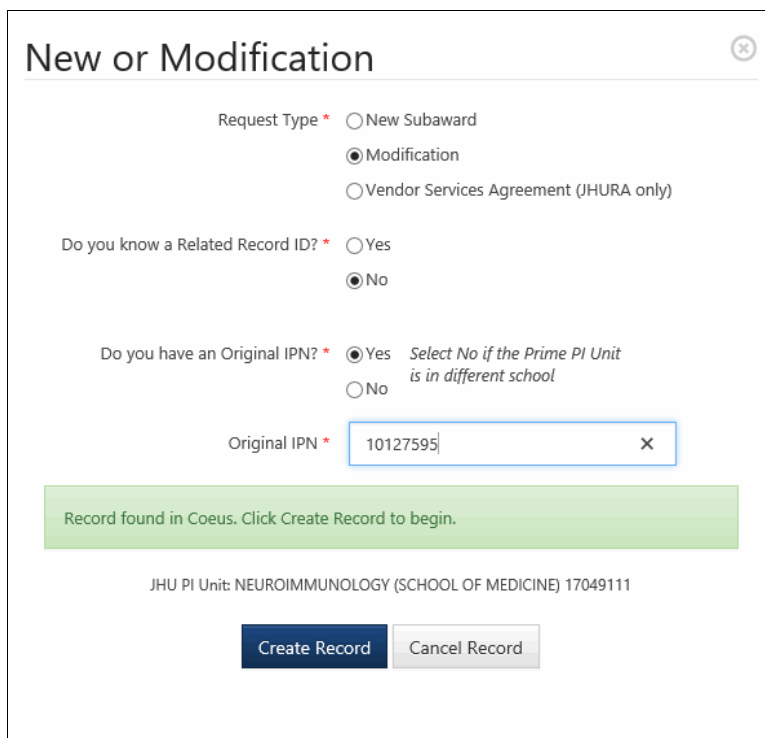
**Figure 32: Search for Original IPN**

As you enter more digits, any IPNs that do not match your input will be removed from the list.

Click on the correct IPN number in the list. If the record is not found in Coeus, an error message will be shown stating *Original IPN not found. Enter a Valid Original IPN or select No to "Do you have an Original IPN?".*

If the record is found in Coeus, the following screen will appear.

**Figure 33: Original IPN Found in Coeus**

Click on **Create Record** to begin the modification process.  If you do not want to create the record, click on the ⊗ in the upper right corner of the popup window.
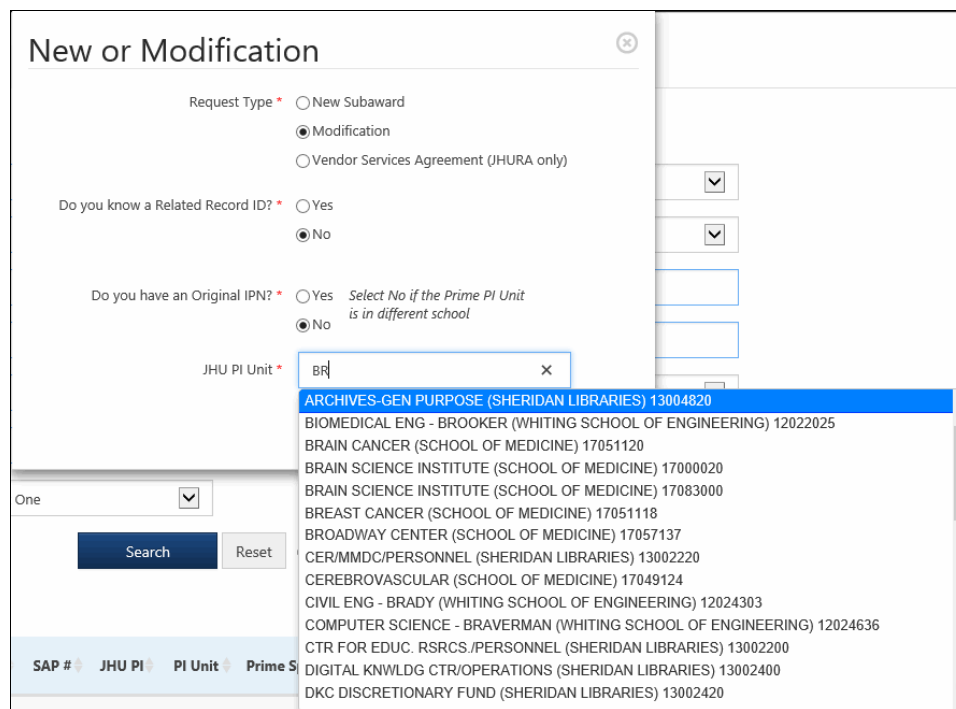
- **If you do not have an original IPN:**

Select **No** and begin entering the PI Unit in the text box.  After you have entered two characters, a dropdown box will appear containing all of the PI Units containing the letter and/or number combination that you have entered anywhere in their titles.  As you enter more characters, titles that no longer match will disappear from the list.

*Notes:*
- *The characters must appear in the exact order in which you have entered them, with no spaces or other characters between them.*
- *You can scroll down the list at any time to find the PI Unit.*
- *JHURA PI units will also be listed.  Be sure to only select an SOM unit.*

When you find the correct PI Unit, click on the title to select it.

**Figure 34: Select PI Unit**

Click on **Create Record** to begin the subaward record modification process.  If you do not want to create the record, click on the ⊗ in the corner of the popup window.

*Note: Only one modification form at a time can exist for each subaward record.  If you click on a subaward record that is already being modified, it will not be opened for your modifications, and an explanation including the name of the person who is modifying it will be displayed in a message.*

## 9.1   Tabs on Modification Screens

The subaward record modification screens contain the following six tabs:

- Basic Information
- Modifications
- Finance
- Compliance
- Attachments
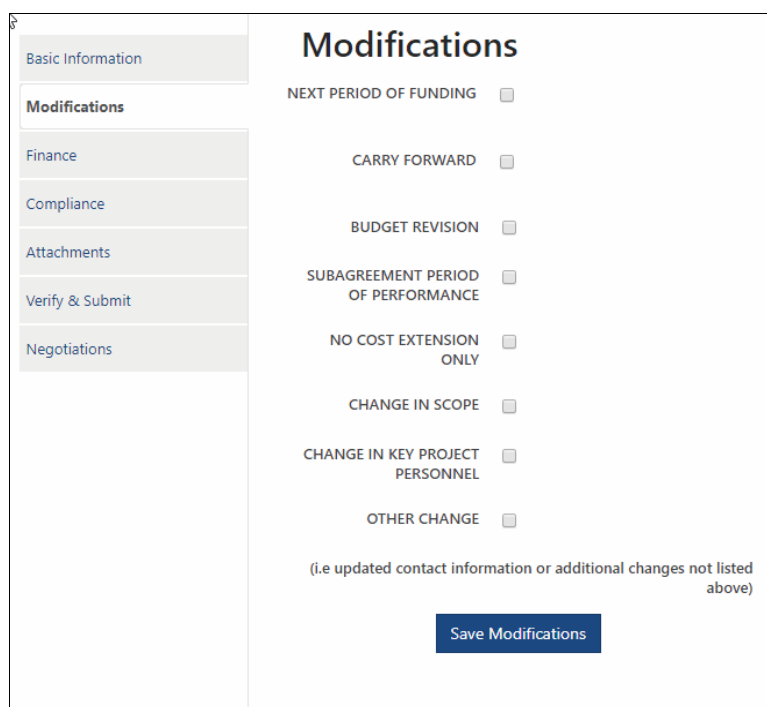- Verify & Submit
- Negotiations

The process for entering information when modifying a subaward record is similar to the subaward record creation process, detailed in Section 7, Creating a New Subaward Record.

The *Modifications* tab is unique to the subaward record modification process.  The other tabs are identical to those used in subaward creation with the exception of the following:

- *Basic Information* tab adds a *Purchase Order #* field, which is entered in the *Subaward Status* panel by ORA in the creation process.

## 9.2 Modifications Tab

To enter modification information for the modification, click on the **Modifications** tab.  The *Modifications* page will be displayed, as shown below.



**Figure 35: Modifications**

When certain boxes are checked, the *Modifications* page is expanded and additional fields are displayed.  The expanded *Modifications* page with all possible fields displayed is shown below.

# Modifications

**NEXT PERIOD OF FUNDING** ☑

Increased Obligated Amount for this Action ($)

New Total Amount Obligated to Sub to Date ($)

If Applicable, Increased Estimated Project Total

**CARRY FORWARD** ☑

Does this subaward include any funding carried over from a previous budget year?  ● Yes  ○ No    Clear

How much is being carried over? ($)

Budget year that the funding is coming from

Start Date

End Date

**BUDGET REVISION** ☑

Approval for revised budget, required to attach

**SUBAGREEMENT PERIOD OF PERFORMANCE** ☑

**New Obligated Budget End Date**

**If Applicable, New Estimated Total Project End Date**

**NO COST EXTENSION ONLY** ☑

**New Budget Termination Date**

**If Applicable, New Estimated Total Project End Date**

Basic Information
Modifications
Compliance
Attachments
Verify & Submit
Negotiations

**Figure 36: Modifications Expanded (Part 1 of 2)**

**Figure 37: Modifications Expanded (Part 2 of 2)**

The fields are listed and described in the table below.

| Field | Notes |
|---|---|
| NEXT PERIOD OF FUNDING | Check box if Yes |
| *If checked:* | |
| Increased Obligation Amount for this Action ($) | |
| New Total Amount Obligated to Sub to Date ($) | |
| If Applicable, Increased Estimated Project Total | Refers to Prime Award total |

| Field | Notes |
|---|---|
| CARRY FORWARD | Check box if Yes |
| *If checked:* | |
| Does this subaward include any funding carried over from a previous budget year? | Choose **Yes** or **No** (If you have additional carry over years, provide information in *Other Change* area below) |
| *If Yes:* | |
| How much is being carried over? ($) | |
| Budget year that the funding is coming from | |
| Start Date | |
| End Date | |
| BUDGET REVISION | Check box if Yes |
| *If checked:* | |
| Approval for revised budget, required to attach | |
| SUBAGREEMENT PERIOD OF PERFORMANCE | Check box if Yes (should be checked for all modifications) |
| *If checked:* | |
| New Obligated Budget End Date | |
| If Applicable, New Estimated Total Project End Date | |
| NO COST EXTENSION ONLY | Check box if Yes |
| *If checked:* | |
| New Budget Termination Date | |
| If Applicable, New Estimated Total Project End Date | |
| CHANGE IN SCOPE | Check box if Yes |
| *If checked:* | |
| Attach revised scope | |
| Explain why a change in project activities/scope is necessary | |
| CHANGE IN KEY PROJECT PERSONNEL | Check box if Yes |
| *If checked:* | |
| Attached qualifications of replacement The replacement of a project director, a co-director, or other project personnel who replacement is restricted, or substantial reduction in effort may require prior written approval by the JHU sponsor. | |
| Explain the change in key personnel | |

| Field | Notes |
|---|---|
| OTHER CHANGE<br>*(i.e. updated contact information or additional changes not listed above)* | Check box if Yes |
| *If checked:* | |
| Explain/justification of requested change | |

Enter the information and click on **Save Modifications** to save your information as a draft.

To submit your modification for review, complete the information on the *Verify & Submit* tab and click on **Submit for Processing**.

# 10   OPTIONS FOR ACTIONS DROPDOWN LIST

The Actions dropdown list can be accessed by clicking on the ⚙ in the upper right corner of the Subaward and Modification screens.  The options available for SWiFT users in the Actions dropdown list vary depending on the screen, the role of the user in SWiFT, and the record's state.

## 10.1  View History

Select **View History** to see a report containing the history of the status changes to the subaward record.  The *Status History* page will appear in a new tab, as shown below.



**Figure 38: View History**

Click on the *Actions* menu for options to print or export the status history.

## 10.2  View Full Subaward

Select **View Full Subaward** to generate a report containing the complete subaward record. The information on each tab will appear on a separate page.  An example of the first page of the report containing the data from the *Basic Information* tab is shown below.

**Figure 39: View Full Subaward**

Click on the *Actions* menu for options to print or export the full subaward report.

## 10.3 Change Requestor

Select **Change Requestor** to modify the Requestor's name in a subaward record or modification. The *Change Requestor* window will appear, as shown below.



**Figure 40: Change Requestor**

Enter the information for the new requestor and click on **Change Requestor**.

*NOTE: Verify that the JHED ID and Email are accurate before submitting the change. If they are incorrect, the requestor will not be able to see the SWiFT subaward record and will not receive emails from the system.*

## 10.4 Copy Into New Subaward

If you would like to create a subaward record using the information from an existing subaward record, you can create from one to ten copies of the existing subaward record. This will prevent having to manually enter the information in each new subaward record.

*Note: You cannot copy a modification into a new subaward record.*

To create copies of an existing subaward record, open it and Select **Copy Into New Subaward**. The *Copy Into New Subaward* window will appear, as shown below.
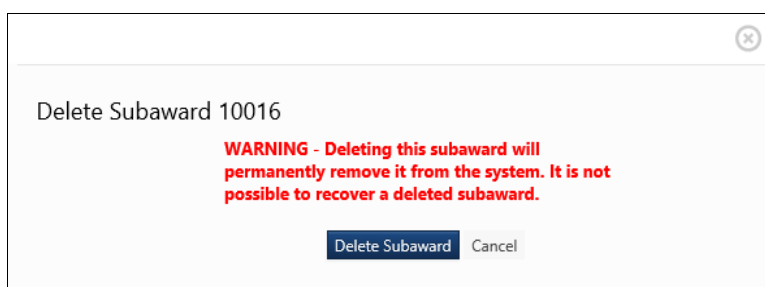
**Figure 41: Copy Into New Subaward**

Select the number of copies you wish to make and click on **Copy Into New Subaward**. The new subaward records will contain the information from the *Basic Information*, *Finance*, and *JHU Contacts* tabs of the existing subaward record.

## 10.5 Delete

*This action is only available for subaward records that are in Draft state.*

Select **Delete** to delete the subaward record that you are currently viewing. The *Delete Subaward* confirmation window will appear, as shown below.



**Figure 42: Delete Subaward**

If you would like to permanently delete the subaward record, click on **Delete Subaward**. To leave without deleting the subaward record, click on **Cancel**.

# 11   EMAILS GENERATED BY SWIFT

The following table describes the emails that are sent by SWiFT throughout the process. Italicized words in the *Subject* and *Body* column represent the fields that will populate the email with specific information for that message.

| | Title | Subject | Body | Recipients |
|---|---|---|---|---|
| 1 | Submitted for Processing | SWiFT *SWiFT ID* request has been submitted | SWiFT *SWiFT ID* has been submitted for processing by *RequestorName* and requires a new subaward IO.<br><br>SAP Grant #: *SAPGrantNumber*<br>Responsible Cost Center: *CostCenter* | Research Admin |
| 2 | Current Owner Assigned | SWiFT *SWiFT ID* has been assigned | SWiFT *SWiFT ID* has been assigned to *CurrentOwner*. Please direct all questions and issues regarding this issue to *Current Owner*. | Department, Additional Contacts, Invoice Contact, Requestor, Current Owner |
| 3 | Sent to Subrecipient | SWiFT *SWiFT ID* has been sent to Subrecipient | SWiFT *SWiFT ID* has been sent to the Subrecipient on *DateSentToSubrecipient* | Research Admin, Department, Additional Contacts, Invoice Contact, Requestor |
| 4 | PEA Received | Partially executed subagreement received for SWiFT *SWiFT ID* | The subrecipient has returned a partially executed copy of the subject subagreement. | Research Admin, Invoice Contact, Requestor, |
| 5 | Returned for Edit | SWiFT *SWiFT ID* has been returned for editing | SWiFT *SWiFT ID* has been returned to you by *SenderName* for editing for the following reason(s):<br><br>*Reason*<br><br>Please make the necessary corrections and re-submit for processing. | Research Admin, Department, Additional Contacts, Invoice Contact, Requestor |
| 6 | Edit Complete | SWiFT *SWiFT ID* has been resubmitted for processing | SWiFT *SWiFT ID* has been resubmitted by Requester for processing. | Research Admin |
| 7 | On Hold | SWiFT *SWiFTRecordNumber* on hold | Per discussions between department and Research Administration Subs, the completion of the subagreement for SWiFT *SwIft ID* has been put on hold.  Please contact Research Administration Subs if/when the situation changes.<br><br>Research Administration Comments: *Comment* | Research Admin, Department, Additional Contacts, Invoice Contact, Requestor |
| 8 | Withdrawn | Subaward has been withdrawn | Dear *RequestorName*:<br>At your request, SWiFT *SWiFT ID* has been withdrawn from the Subaward checklist system. It will no longer appear in the queue to be worked on.<br>Thank you. | Requestor |

| | Title | Subject | Body | Recipients |
|---|---|---|---|---|
| 9 | IO96 Workflowed | Your subaward IO request for SWiFT *SWiFT ID* has been sent | Your subaward IO request has been sent to Sponsored Shared Services for setup in SAP.  If you have any questions, please contact: ORASUBCONTRACTS@jhmi.edu | Research Admin, Department, Additional Contacts, Requestor |
| 10 | FEA Sent To Subrecipient | Subaward *SWiFT ID* has been fully executed | The Subaward has been fully executed.

SAP Grant #: *SAPGrantNumber*
Subrecipient: *SubrecipientLegalName*

Thank you,
The Subs team | Requestor |
| 11 | Remove Hold | Subaward *SWiFT ID* off hold | Per discussions between department and Research Administration, the completion of the subaward *SubawardID* has been taken off hold. | Research Admin, Department, Additional Contacts, Invoice Contact, Requestor |
| 12 | Mod Submitted for Processing | SWiFT *SWiFT ID* request has been submitted | SWiFT *SWiFT ID* has been submitted for processing by *RequestorName*.

SAP Grant #: *SAPGrantNumber* | Research Admin, Department, Additional Contacts |