

User Guide
for
Subaward Workflow Information Tracking System
(SWiFT)
for
JHU School of Medicine (SOM)
Departments



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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.

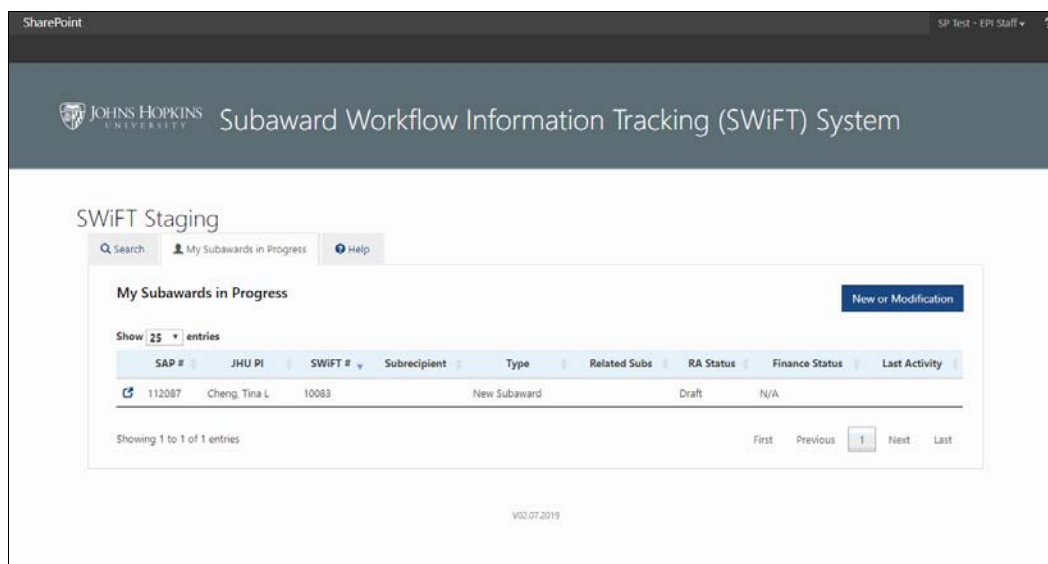


Figure 1: Initial SWiFT Screen

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.

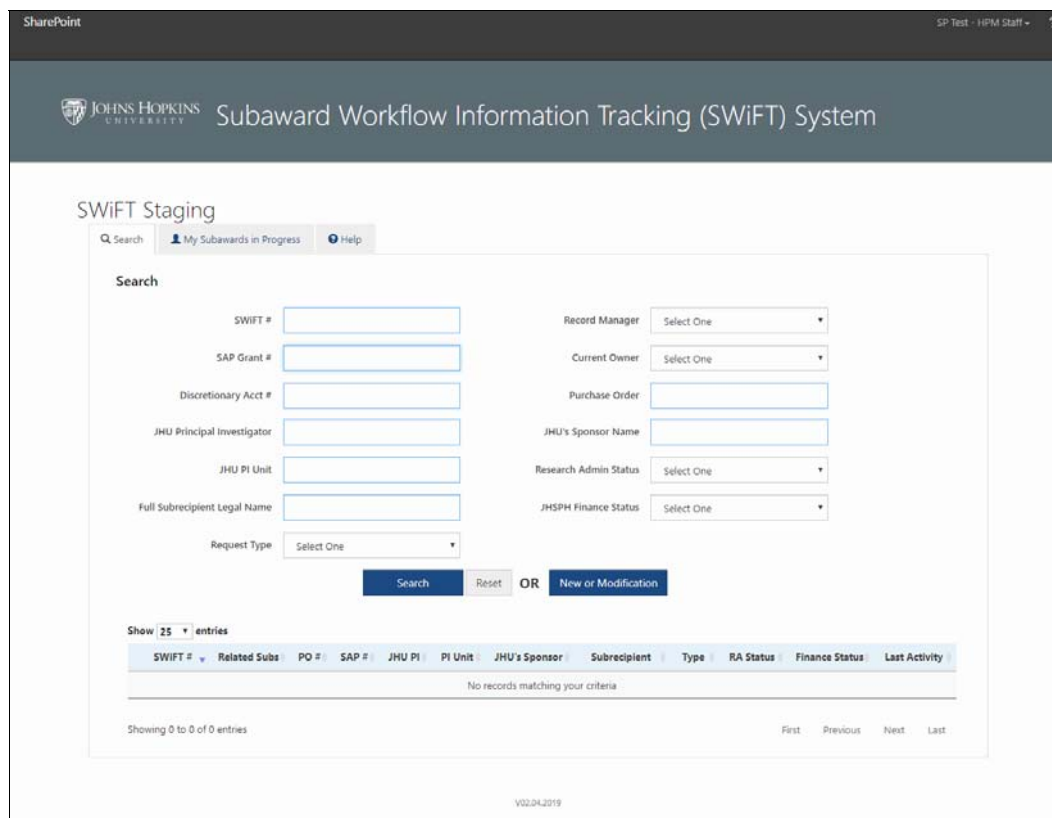


Figure 2: Search

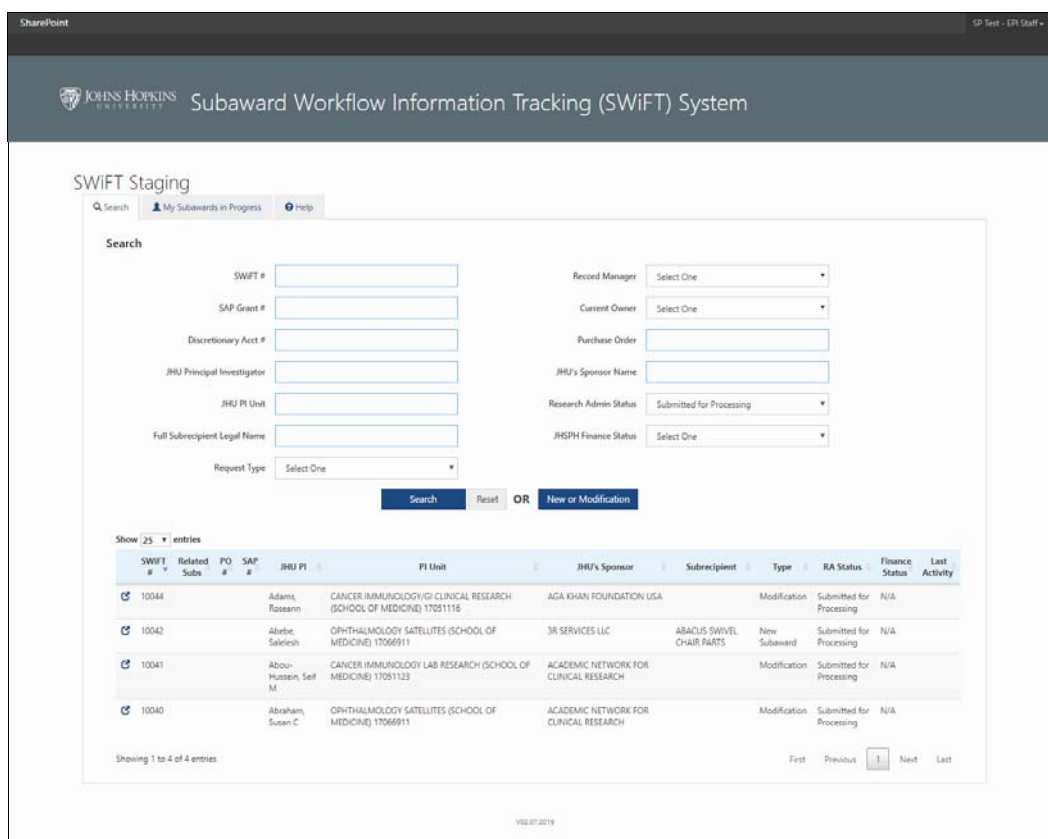
The search fields are listed and described in the table below.

Search Field	Dropdown Choices
SWIFT #	
SAP Grant #	
Discretionary Acct #	
JHU Principal Investigator	
JHU PI Unit	
Full Subrecipient Legal Name	
Request Type	Modification New Subaward Vendor Services Agreement
Record Manager	All ORA record managers in system
Current Owner	All ORA current owners in system
Purchase Order	
JHU's Sponsor Name	

Search Field	Dropdown Choices
Research Admin Status	Submitted for Processing Review in Progress All Docs Received Sent to Subrecipient PEA Received FEA Completed Returned for Edit RA On Hold Subaward Complete Withdrawn
JHSPH Finance Status	<i>This field is not used by SOM.</i>


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

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



SharePoint

SP Test - EPH Staff

 Subaward Workflow Information Tracking (SWiFT) System

SWiFT Staging

Search My Subawards in Progress Help

Search

SWIFT #

SAP Grant #

Discretionary Acct #

JHU Principal Investigator

JHU PI Unit

Full Subrecipient Legal Name

Request Type

Record Manager

Current Owner

Purchase Order

JHU's Sponsor Name

Research Admin Status

JHSPH Finance Status

Search Reset OR New or Modifications

Show 23 entries

SWIFT #	Related Subs	PO #	SAP #	JHU PI	PI Unit	JHU's Sponsor	Subrecipient	Type	RA Status	Finance Status	Last Activity
10044				Adams, Roseann	CANCER IMMUNOLOGY/CLINICAL RESEARCH (SCHOOL OF MEDICINE) 17051116	AGA KHAN FOUNDATION USA		Modification	Submitted for Processing	N/A	
10042				Albetie, Saleesh	OPHTHALMOLOGY SATELLITES (SCHOOL OF MEDICINE) 17066911	3R SERVICES LLC	ABACUS SWIVEL CHAIR PARTS	New Subaward	Submitted for Processing	N/A	
10041				Abou-Hussein, Seif M	CANCER IMMUNOLOGY LAB RESEARCH (SCHOOL OF MEDICINE) 17051123	ACADEMIC NETWORK FOR CLINICAL RESEARCH		Modification	Submitted for Processing	N/A	
10040				Abraham, Susan C	OPHTHALMOLOGY SATELLITES (SCHOOL OF MEDICINE) 17066911	ACADEMIC NETWORK FOR CLINICAL RESEARCH		Modification	Submitted for Processing	N/A	

Showing 1 to 4 of 4 entries

First Previous 1 Next Last

V02.07.2019


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.

Show 25 entries

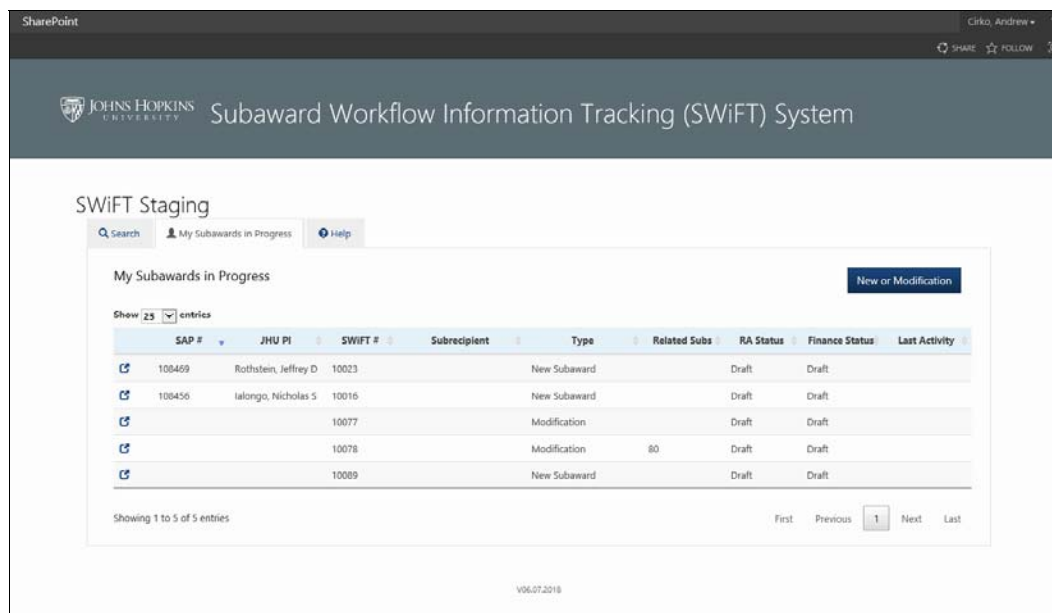
SWIFT #	Related Subs	PO #	SAP #	JHU PI	PI Unit	JHU's Sponsor	Subrecipient	Type	RA Status	Finance Status	Last Activity
 10044				Adams, Roseann	CANCER IMMUNOLOGY/GI CLINICAL RESEARCH (SCHOOL OF MEDICINE) 17051116	AGA KHAN FOUNDATION USA		Modification	Submitted for Processing	N/A	
 10042				Albebe, Saleesh	OPHTHALMOLOGY SATELLITES (SCHOOL OF MEDICINE) 17066911	3R SERVICES LLC	ABACUS SWIVEL CHAIR PARTS	New Subaward	Submitted for Processing	N/A	
 10041				Abou-Hussein, Seif	CANCER IMMUNOLOGY LAB RESEARCH (SCHOOL OF MEDICINE) 17051123	ACADEMIC NETWORK FOR CLINICAL RESEARCH		Modification	Submitted for	N/A	

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*.



SharePoint

JOHNS HOPKINS UNIVERSITY Subaward Workflow Information Tracking (SWiFT) System

SWiFT Staging

Search My Subawards in Progress Help

My Subawards in Progress [New or Modification](#)

Show 25 entries



SAP #	JHU PI	SWIFT #	Subrecipient	Type	Related Subs	RA Status	Finance Status	Last Activity
100469	Rothstein, Jeffrey D	10023		New Subaward		Draft	Draft	
100456	Ialongo, Nicholas S	10016		New Subaward		Draft	Draft	
		10077		Modification		Draft	Draft	
		10078		Modification	80	Draft	Draft	
		10009		New Subaward		Draft	Draft	

Showing 1 to 5 of 5 entries

First Previous 1 Next Last

V06.07.2018

Figure 5: My Subawards In Progress

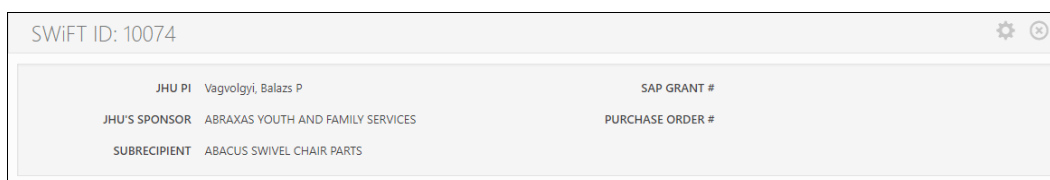
To open a subaward record, click on the  corresponding to the subaward record. If you edit the data, click on the Save button at the bottom of each page that you modify. To exit without changing, click on the  in the upper right corner of the window.

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.



The screenshot shows a header window for a SWiFT subaward record. At the top left, it displays 'SWiFT ID: 10074'. In the top right corner, there are icons for settings (a gear) and a close button (an 'X'). The main area of the header is a light gray box containing four fields arranged in a 2x2 grid:

JHU PI	Vagvolgyi, Balazs P	SAP GRANT #	
JHU'S SPONSOR	ABRAXAS YOUTH AND FAMILY SERVICES	PURCHASE ORDER #	

Below these fields, there is a single line of text: 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

Imachav1@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.

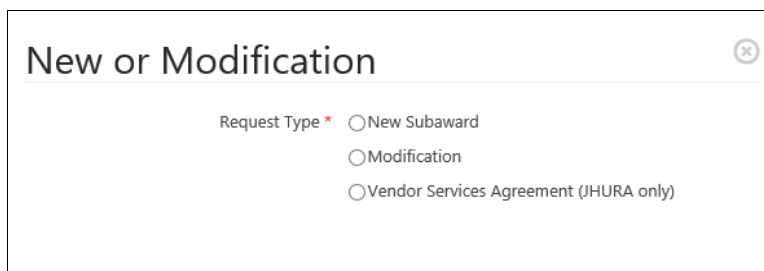


Figure 8: New or Modification

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.

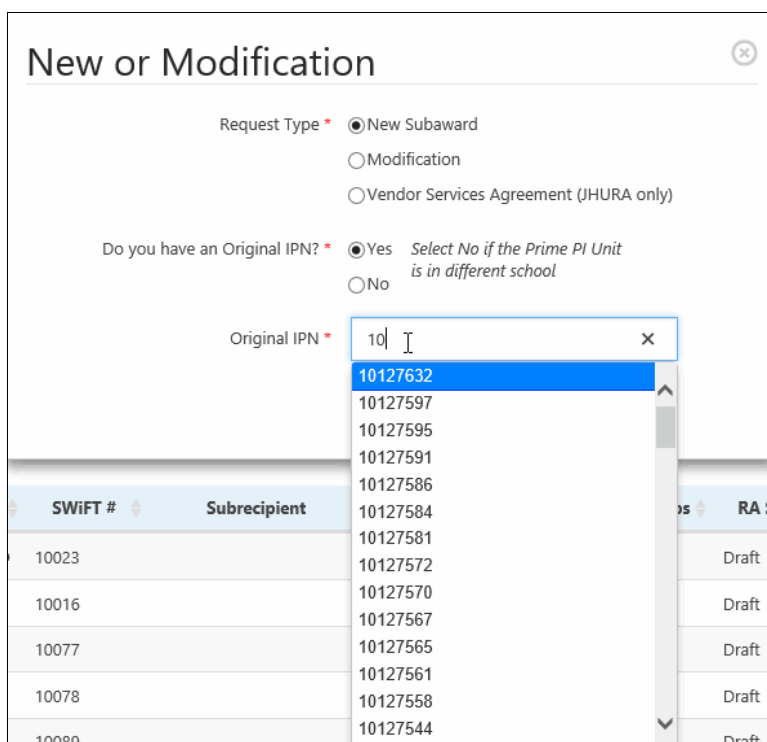


Figure 9: Search for Original IPN

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.

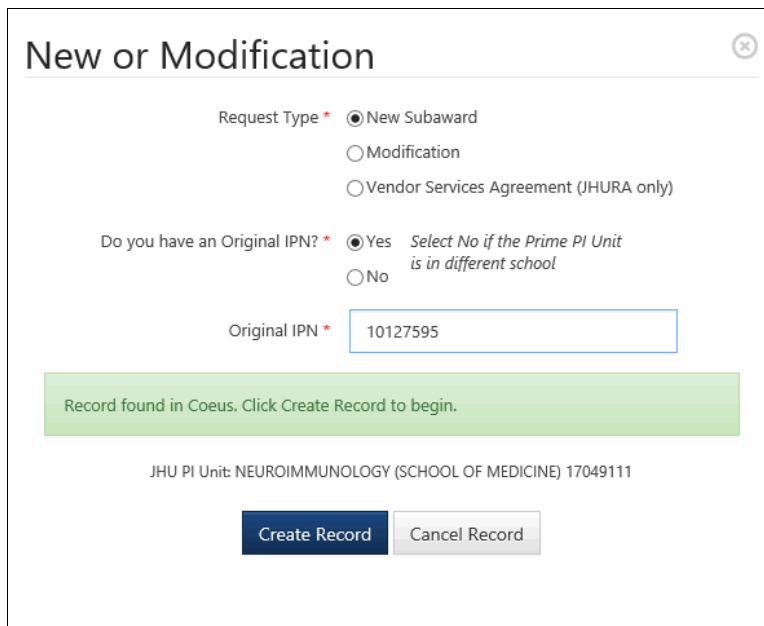


Figure 10: Original IPN Found in Coeus

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.

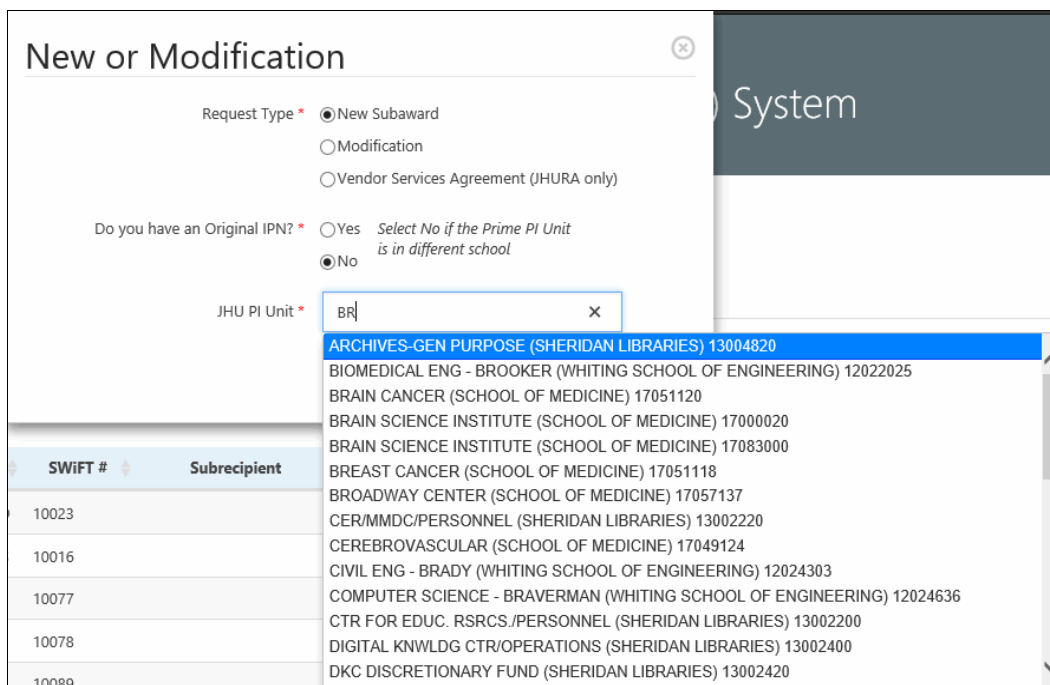
- **If you do not have an original IPN:**

Select **No** and begin entering the PI Unit in the text box. After you have entered two characters, a dropdown box will 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.



New or Modification

Request Type * ☒ New Subaward
☐ Modification
☐ Vendor Services Agreement (JHURA only)


Do you have an Original IPN? * ☐ Yes *Select No if the Prime PI Unit is in different school*
☒ No

JHU PI Unit * BR

ARCHIVES-GEN PURPOSE (SHERIDAN LIBRARIES) 13004820
 BIOMEDICAL ENG - BROOKER (WHITING SCHOOL OF ENGINEERING) 12022025
 BRAIN CANCER (SCHOOL OF MEDICINE) 17051120
 BRAIN SCIENCE INSTITUTE (SCHOOL OF MEDICINE) 17000020
 BRAIN SCIENCE INSTITUTE (SCHOOL OF MEDICINE) 17083000
 BREAST CANCER (SCHOOL OF MEDICINE) 17051118
 BROADWAY CENTER (SCHOOL OF MEDICINE) 17057137
 CER/MMDC/PERSONNEL (SHERIDAN LIBRARIES) 13002220
 CEREBROVASCULAR (SCHOOL OF MEDICINE) 17049124
 CIVIL ENG - BRADY (WHITING SCHOOL OF ENGINEERING) 12024303
 COMPUTER SCIENCE - BRAVERMAN (WHITING SCHOOL OF ENGINEERING) 12024636
 CTR FOR EDUC. RSRCS/PERSONNEL (SHERIDAN LIBRARIES) 13002200
 DIGITAL KNWLDG CTR/OPERATIONS (SHERIDAN LIBRARIES) 13002400
 DKC DISCRETIONARY FUND (SHERIDAN LIBRARIES) 13002420

SWiFT #	Subrecipient
10023	
10016	
10077	
10078	
10089	

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.

Basic Information	
Request Type	New Subaward
Original IPN	21054392
COEUS PD #	00145101
SAP Grant #	136962
JAWS Record #	<input type="text" value="Enter text & select from result"/>
Discretionary/Non-Sponsored Account number (ex. 800 number or Fund number)	<input type="text"/> <small>Leave this field blank if funded by SAP Grant #</small>
Shopping Cart #	<input type="text"/>
Responsible Cost Center #	1704911501
JHU Principal Investigator *	<input type="text" value="Enter text & select from result"/>
JHU PI Unit	NEURO CRITICAL CARE UNIT (SCHOOL OF MEDICINE) 17049115
Prime Sponsor Name	NATIONAL INSTITUTE ON AGING
Prime Sponsor Org Type	Federal
Prime Sponsor Award #	<input type="text"/>
JHU's Sponsor Name	MAYO CLINIC
JHU's Sponsor Org Type	Private Non-Profit
JHU's Sponsor Award #	HOP-263134
Full Subrecipient Legal Name	<input type="text" value="Enter text & select from result"/> <small>If the name is not on the list, select Pending Vendor Add to SAP</small>
Full Subrecipient Vendor # <small>Vendor # must start with a "1". If Subrecipient does not have a vendor # starting with a "1", please send a PaymentWorks invite to Subrecipient</small>	<input type="text"/>
Requestor's JHED ID	acirko1
Requestor's First Name	Andrew
Requestor's Last Name	
Requestor's Unit	<input type="text" value="Enter text & select from result"/>
Requestor's Email	
Requestor's Phone	<input type="text"/>
Comments	<input type="text"/> <small>(Limit 1000 characters)</small>
<input type="button" value="Save Basic Information"/>	

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 #	<i>Not used - JHURA only</i>
Discretionary/Non-Sponsored Account number (ex. 800 number or Fund number)	Enter the 10-digit discretionary or gift account number; leave blank if funded by SAP Grant #
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 <i>Prime Sponsor Name</i> , <i>Org Type</i> , and <i>Award #</i> fields blank.
Prime Sponsor Org Type	From Coeus
Prime Sponsor Award #	
JHU's Sponsor Name	From Coeus (If Discretionary Acct # used, select <i>JOHNS HOPKINS UNIV</i>)
JHU's Sponsor Org Type	From Coeus (If Discretionary Acct # used, select <i>Private Non-Profit</i>)
JHU's Sponsor Award #	From Coeus
Full Subrecipient Legal Name	System assisted input If the name is not on the list, select <i>Vendor Add to SAP</i>
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.

Basic Information	Finance
Finance	
JHU Contacts	
Subrecipient Contacts	
Banking Information	
Subagreement Details	
Other Study Data	
Compliance	
Materials/Data/Equip	
Deliverables	
Reports	
Attachments	
Verify & Submit	
Negotiations	

Finance

SAP Grant # 109290

Full Subrecipient Legal Name

Responsible Cost Center # 1704911101

Principal Investigator for IO *

Principal Investigator PERNR for IO

Location ☐ On Campus ☐ Off Campus [Clear](#)

990 Country Code

IO # to Reduce

Sponsored Class to Reduce

Subaward IO Budget Class 642400 (Direct Cost)

Subaward IO Budget Class 699998 (Indirect Cost)

Subaward Total Budget \$0.00

JHU F&A Base \$ Amount
If Federal, enter \$25,000

JHU F&A Rate %
Enter as .62, .36, etc.

JHU F&A Cap \$0.00

IO Request Comments/Notes
(Limit 1000 characters)

Contact Information
(Limit 1000 characters)

Internal Order (96 IO #)

[Save Finance](#)

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
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
<i>If Off Campus:</i>	
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.

Basic Information	JHU Contacts	
Finance	JHU Principal Investigator	
JHU Contacts	Principal Investigator	Rothstein, Jeffrey D
Subrecipient Contacts	PI Unit	NEUROGENETICS (SCHOOL OF MEDICINE) 17049120
Banking Information	PI Phone	4106145972
Subagreement Details	PI Email	jrothst1@johnshopkins.edu
Other Study Data	PI Address	855 N Wolfe St
Compliance	PI Address 2	Rangos 278
Materials/Data/Equip	PI City	Baltimore
Deliverables	PI Country	United States ▼
Reports	PI State	Maryland ▼
Attachments	PI Zip	21205-1503
Verify & Submit	JHU Person To Receive Invoices	
Negotiations	Invoice To Name	
	Invoice To Unit	Enter text & select from results
	Invoice To Phone	
	Invoice To Email	
	Invoice To Address	
	Invoice To Address 2	
	Invoice To City	
	Invoice To Country	Select One ▼
	Invoice To State	
	Invoice To Zip	

Figure 14: JHU Contacts (Part 1 of 2)

JHU Financial/Project/Other Contact

Contact Name

Copy the JHU Person to Receive Invoices information. Copy

Contact Unit

Contact Phone

Contact Email

Contact Address

Contact Address 2

Contact City

Contact Country

Contact State

Contact Zip

Unit NEUROIMMUNOLOGY (SCHOOL OF MEDICINE)
17049111 personnel who will receive email notifications:

Additional Contacts

(Limit 1000 characters)

List any additional people to receive email notifications that are intended for the Requestor's unit (enter email addresses separated by semicolons)

Save JHU Contacts

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)
PI State	From Coeus (can be modified)
PI Zip	From Coeus (can be modified)

Field	Notes
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 <i>Country</i> = 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 <i>Country</i> = 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.

Basic Information

Finance

JHU Contacts

Subrecipient Contacts

Banking Information

Subagreement Details

Other Study Data

Compliance

Materials/Data/Equip

Deliverables

Reports

Attachments

Verify & Submit

Negotiations

Subrecipient Contacts

Full Subrecipient Legal Name

Domestic/Foreign ☐ Domestic ☐ Foreign
Clear

Subrecipient DUNS #

Unique Entity Identifier (UEI)
FDP Clearinghouse
SAM.gov (login required)

Subrecipient EIN

Subrecipient Organization Type

Is the Subrecipient rated
according to the Finance
Research Compliance Risk
Rating Dashboard?

Subrecipient Principal Investigator

Full name and Credentials (eg,
MD/PhD) of Subrecipient
Project Director/PI

Subrecipient's PI Email

Principal Place of Performance (predominant performance of work accomplished)

Subrecipient's Country

Subrecipient's City

Subrecipient's State

Subrecipient's Zip

Research Administration Contact at Subrecipient Site

Research Administration
Contact Name

Copy the Subrecipient's
information.

Admin Contact Country

Admin Contact Address

Admin Contact Address 2

Admin Contact City

Admin Contact State

Admin Contact Zip

Admin Contact Phone

Admin Contact Email

Additional Contacts

(Limit 1000 characters)

List any additional people to
receive email
notifications (enter email
addresses separated by
semicolons)

Figure 16: Subrecipient Contacts

The fields are listed and described in the table below.

Field	Notes
Full Subrecipient Legal name	Automatically filled by system from <i>Basic Information</i>
Domestic/Foreign	Select one If <i>Foreign</i> is selected, then <i>Banking Information</i> tab must be filled in
If Foreign:	
Select country	Select from dropdown list
Subrecipient DUNS#	
Unique Entity Identifier (UEI)	Use provided links to look up UEI number. Required when FFATA Report is checked and when the criteria for a FFATA Report due are met.
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 (predominant performance of work accomplished)	
Subrecipient's Country	Select from dropdown list
Subrecipient's City	
Subrecipient's State	Select from dropdown list when <i>Country</i> = 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 <i>Subrecipient Country, City, State</i> and <i>Zip</i> 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 <i>Country</i> = Canada or United States
Admin Contact Zip	
Admin Contact Phone	
Admin Contact Email	

Enter the information and click on **Save Subrecipient Contacts** to save 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.

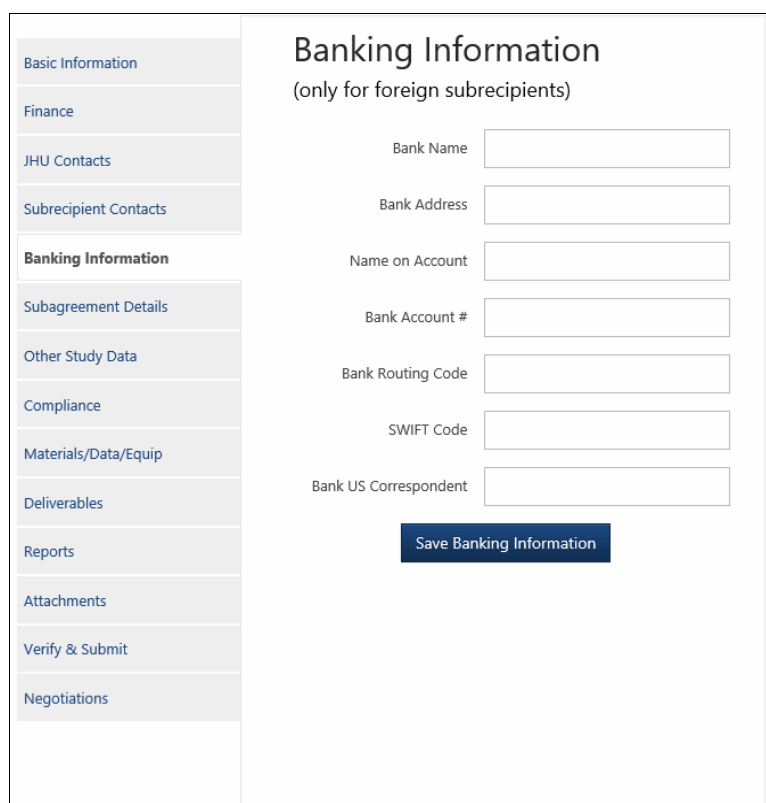


Figure 17: Banking Information

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.

<ul style="list-style-type: none"> Basic Information Finance JHU Contacts Subrecipient Contacts Banking Information Subagreement Details Other Study Data Compliance Materials/Data/Equip Deliverables Reports Attachments Verify & Submit Negotiations 	<h3>Subagreement Details</h3> <p>Prime Project Title <input type="text" value="HHSN271201000448P"/></p> <p>Is approval for Subrecipient required from Sponsor? <input type="radio"/> Yes <input type="radio"/> No Clear</p> <p>Is approval of Subagreement draft required from Sponsor? <input type="radio"/> Yes <input type="radio"/> No Clear</p> <h4>Subagreement Period of Performance</h4> <p>Subaward Period of Performance (Obligated Budget) Start Date <input type="text"/></p> <p>Subaward Period of Performance (Obligated Budget) End Date <input type="text"/></p> <p>Estimated Total Project Period Start Date <input type="text"/></p> <p>Estimated Total Project Period End Date <input type="text"/></p> <h4>Subagreement Budget</h4> <p>Subaward Type <input type="text" value="Select One"/></p> <p>Total Amount Expected to be Obligated to Sub over full term of Prime (\$) <input type="text"/></p> <p>Direct Costs This Action (\$) <input type="text"/></p> <p>Indirect Costs This Action (\$) <input type="text"/></p> <p>Obligated Amount This Action (\$) \$0.00</p> <p>Subrecipient F&A Rate <input type="text"/> %</p> <p>Subrecipient Fringe Rate <input type="text"/> %</p> <p>Subrecipient F&A Base <input type="text" value="Select One"/></p> <p>Subrecipient Cost Share <input type="radio"/> Yes <input type="radio"/> No Clear</p> <p>Carryforward Allowed <input type="radio"/> Yes <input type="radio"/> No Clear</p> <p>Invoice Frequency <input type="text" value="Select One"/></p> <h4>Intellectual Property / Publication Restrictions</h4> <p>If there is any exception to standard terms, contact Research Administration.</p> <h4>Confidential or Proprietary Information</h4> <p>Will JHU and/or Subrecipient share any confidential information? <input type="radio"/> Yes <input type="radio"/> No Clear</p> <h4>Property/Equipment</h4> <p>Will Subrecipient be purchasing any equipment? <input type="radio"/> Yes <input type="radio"/> No Clear</p> <p>Save Subagreement Details</p>
--	--

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
<i>If Yes:</i>	
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
<i>If Yes:</i>	
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
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 <i>JHU's Sponsor Org Type</i> is <i>Federal</i>
Intellectual Property/Publication Restrictions	
If there is any exception to standard items, contact Research Administration.	

Field	Notes
Confidential or Proprietary Information	
Will JHU and/or Subrecipient share any confidential information?	Choose Yes or No
<i>If Yes:</i>	
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.

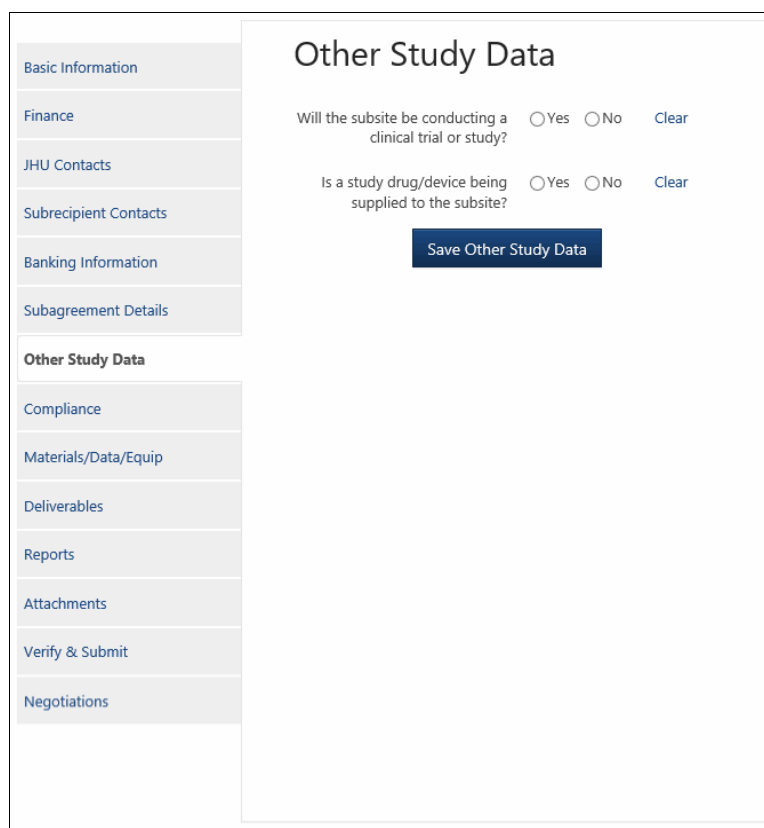


Figure 19: Other Study Data

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
<i>If Yes:</i>	
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
<i>If Yes:</i>	
What is the cap?	
Is there a minimum?	Choose Yes or No
<i>If Yes:</i>	
What is the minimum?	
Will the site be paid a per-subject/per-sample amount?	Choose Yes or No

Field	Notes
<i>If Yes:</i>	
How much?	
Will the site be paid any startup or IRB costs?	Choose Yes or No
<i>If Yes:</i>	
How much?	
Will the site be paid for a subject's partial completion of the study?	Choose Yes or No
<i>If Yes:</i>	
How much?	
Define partial completion	
Is payment contingent upon submission of case report forms (*CRF*) or other data?	Choose Yes or No
<i>If Yes:</i>	
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 .
<i>If Yes:</i>	
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.

Basic Information

Finance

JHU Contacts

Subrecipient Contacts

Banking Information

Subagreement Details

Other Study Data

Compliance

Materials/Data/Equip

Deliverables

Reports

Attachments

Verify & Submit

Negotiations

Compliance

Actual/Potential Conflict

Are there any actual or potential conflict of interest issues (real or perceived) regarding this Subagreement?

☐ Yes ☐ No [Clear](#)

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?

☐ Yes ☐ No [Clear](#)

Use of Animals

Will Subrecipient be using animal subjects on this project?

☐ Yes ☐ No [Clear](#)

Use of Human Subjects

Will Subrecipient be using human subjects on this project?

☐ Yes ☐ No [Clear](#)

Use of Human Subjects Data

Will Human Subjects Data be exchanged under this subaward?

☐ Yes ☐ No [Clear](#)

Lower-tier Consultants or Subrecipients?

Are there any lower-tier subcontractors and/or consultants?

☐ Yes ☐ No [Clear](#)

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.

☐ Yes ☐ No [Clear](#)

Sponsor Certifications

Sponsor required certifications (i.e. Protecting life, Trafficking in Persons) upload on Attachments Tab

☐ Yes ☐ No ☐ N/A [Clear](#)

Subrecipient Selection

Why Subrecipient selected?

☐ Collaborative Project as indicated on the proposal to sponsor

☐ Only one responsible source and no other company available to do such specialized work

☐ Competitive Bid

Subaward Cost/Price Basis

NOTE: Please ensure that all appropriate documentation concerning the negotiation of the cost or price of this work is kept on file for audit purposes.

By submitting this request, you certify that the costs and/or price of this subaward have been analyzed and determined to be fair and reasonable in accordance with applicable cost principles and federal regulations.

[Save Compliance](#)

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
<i>If Yes:</i>	
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
<i>If No:</i>	
Describe	Limit 1000 characters
Use of Animals	
Will Subrecipient be using animal subjects on this project?	Choose Yes or No
<i>If Yes:</i>	
List IACUC protocol #	Limit 1000 characters
Use of Human Subjects	
Will Subrecipient be using human subjects on this project?	Choose Yes or No
<i>If Yes:</i>	
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
<i>If Yes:</i>	
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
<i>If Yes:</i>	
List lower-tier subcontractor and/or consultants	Limit 1000 characters

Field	Notes
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
<i>If Yes:</i>	
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
<i>If Yes:</i>	
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.

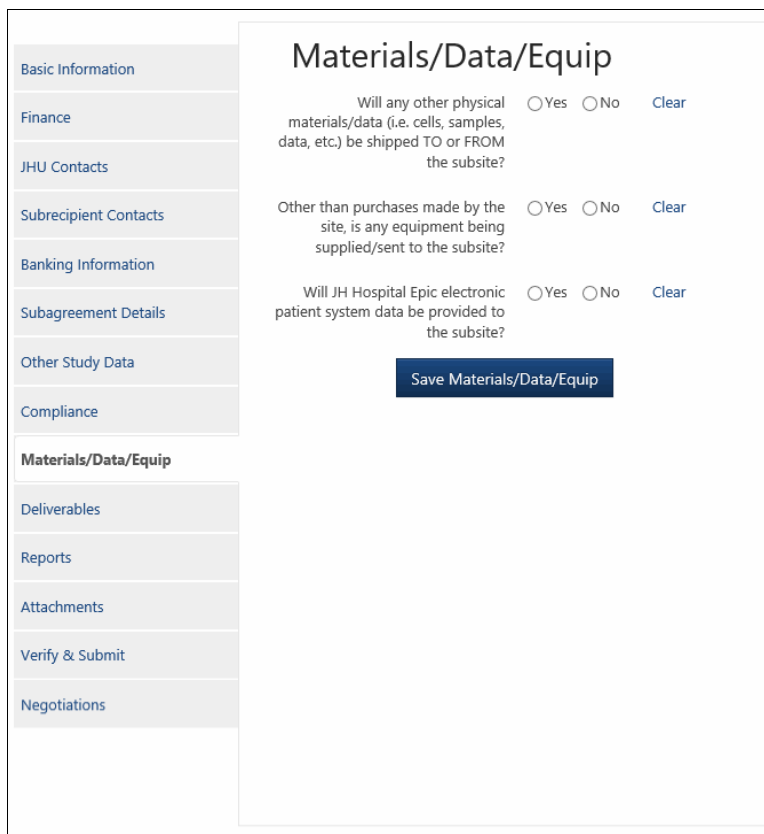


Figure 21: Materials/Data/Equip

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
<i>If Yes:</i>	
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
Who is paying for the material disposal or return?	Limit 150 characters

Field	Notes
Other than purchases made by the site, is any equipment being supplied/sent to the subsite?	Choose Yes or No
<i>If Yes:</i>	
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 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
<i>If Yes:</i>	
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.

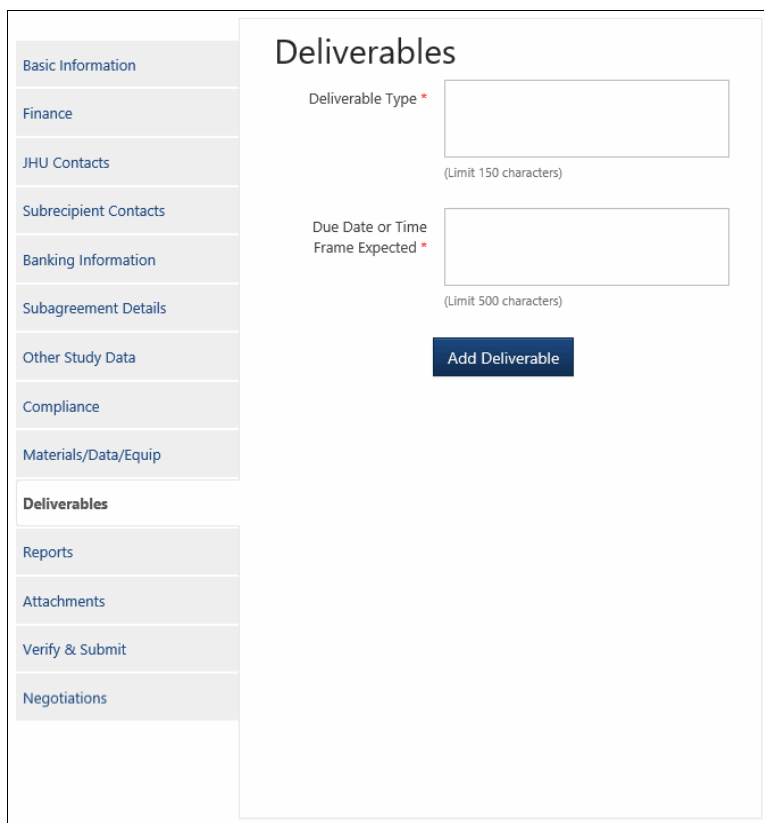


Figure 22: Deliverables

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.

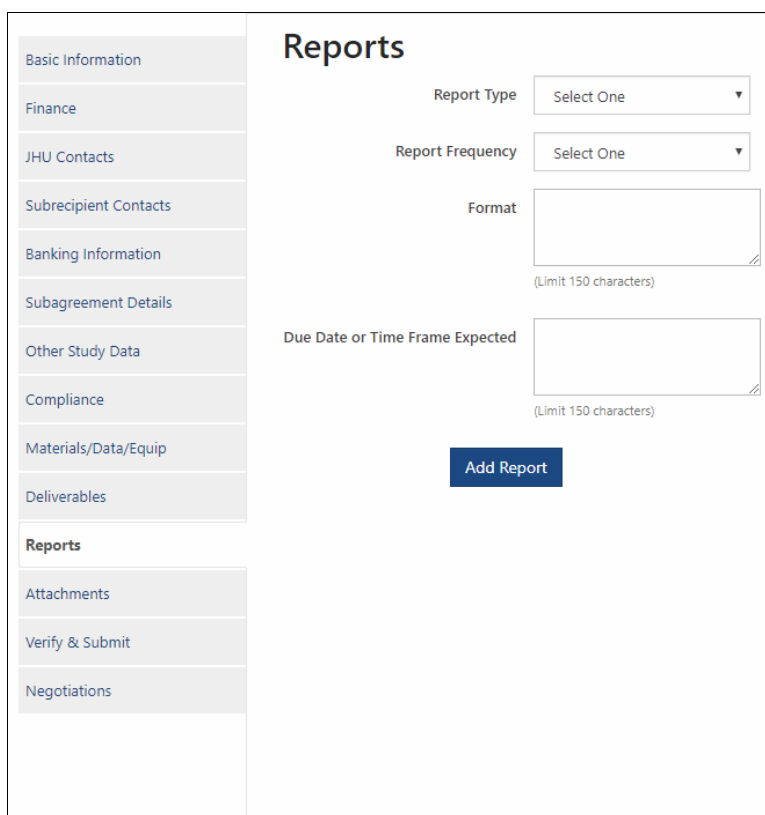


Figure 23: Reports

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.

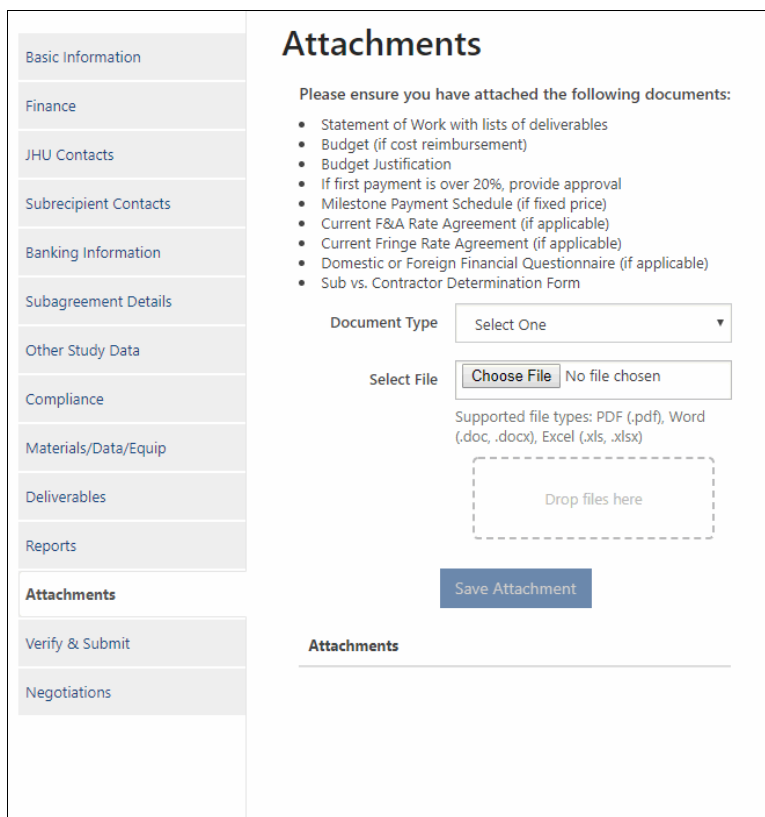


Figure 24: Attachments

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.

- Subagreement Details
- Compliance
- Reports
- Attachments**
- Verify & Submit
- Negotiations

- Domestic or Foreign Financial Questionnaire
- Sub vs. Contractor Determination Form

Document Type Select One

Select File c:\users\acirko\OneDrive Browse...

Supported file types: PDF (.pdf), Word (.doc, .docx), Excel (.xls, .xlsx)

Drop files here

Save Attachment













Attachment	Type	Uploaded	Save
SOW.docx	St ▼	06/12/2018	 
Budget.docx	Bu ▼	06/12/2018	 
Milestone Payment Schedule.docx	Mi ▼	06/12/2018	 
Current F&A Rate Agreement.docx	Cu ▼	06/12/2018	 
Domestic Financial Questionnaire.docx	Fir ▼	06/12/2018	 
Sub vs Contractor Determ.docx	Su ▼	06/12/2018	 

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.

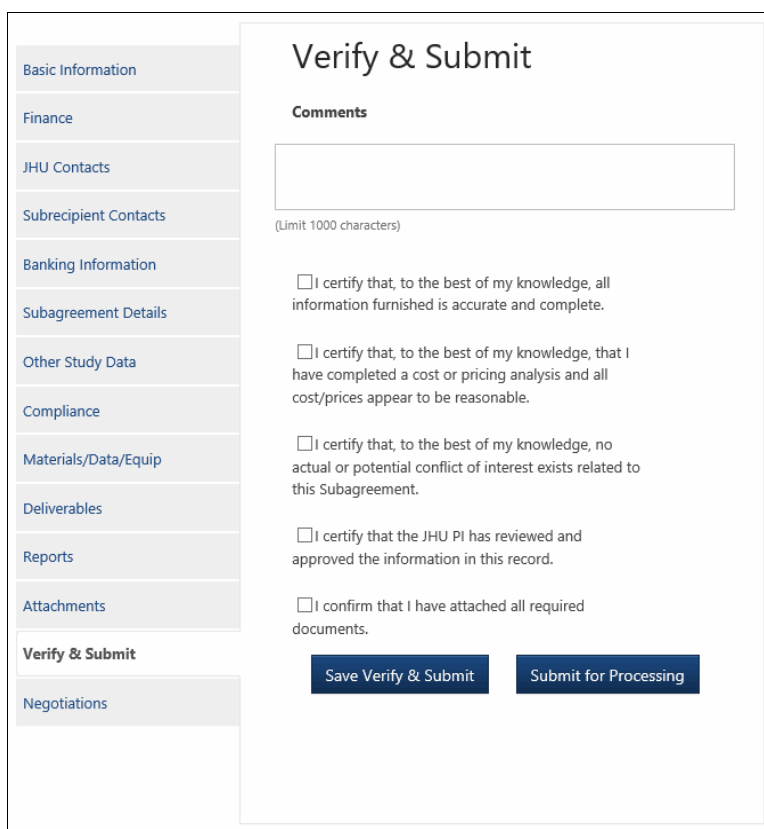


Figure 26: Verify & Submit

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.

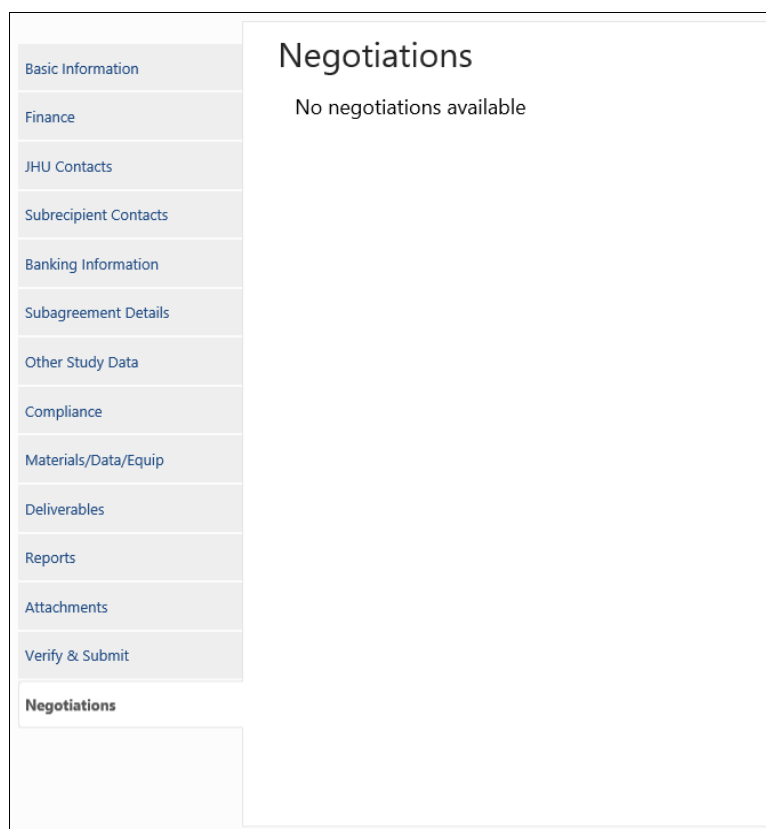


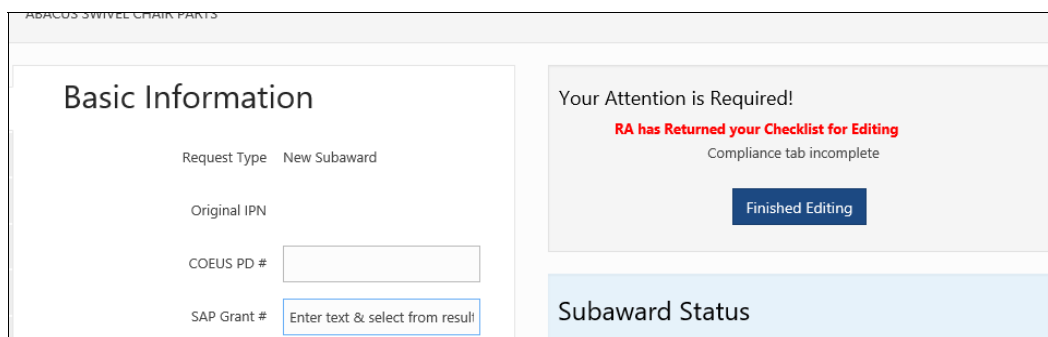
Figure 27: Negotiations

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.



ABACUS SWiFT CHAIR PARTS

Basic Information

Request Type New Subaward

Original IPN

COEUS PD #

SAP Grant #

Your Attention is Required!

RA has Returned your Checklist for Editing

Compliance tab incomplete

Finished Editing

Subaward Status

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.

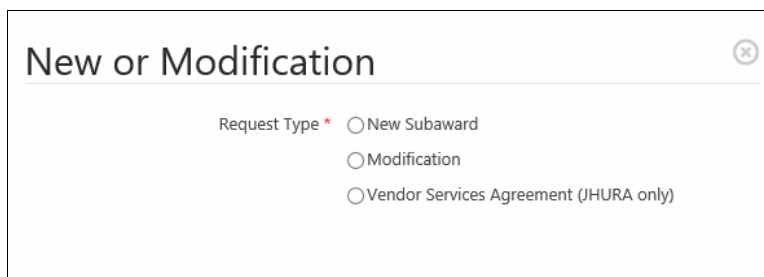


Figure 29: New or Modification

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

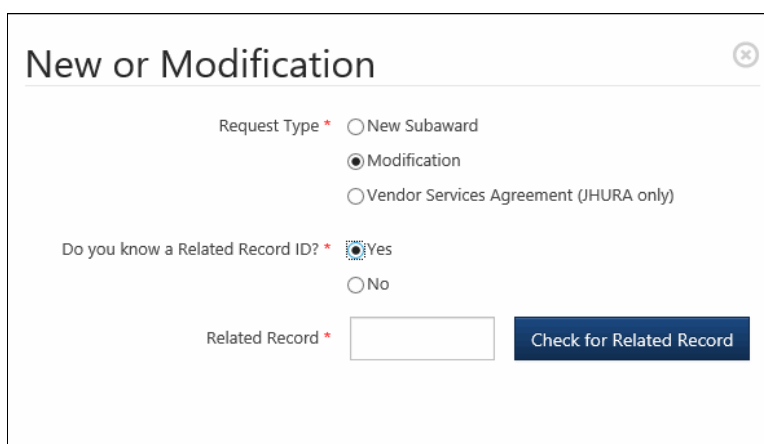


Figure 30: Related Record ID

- **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:

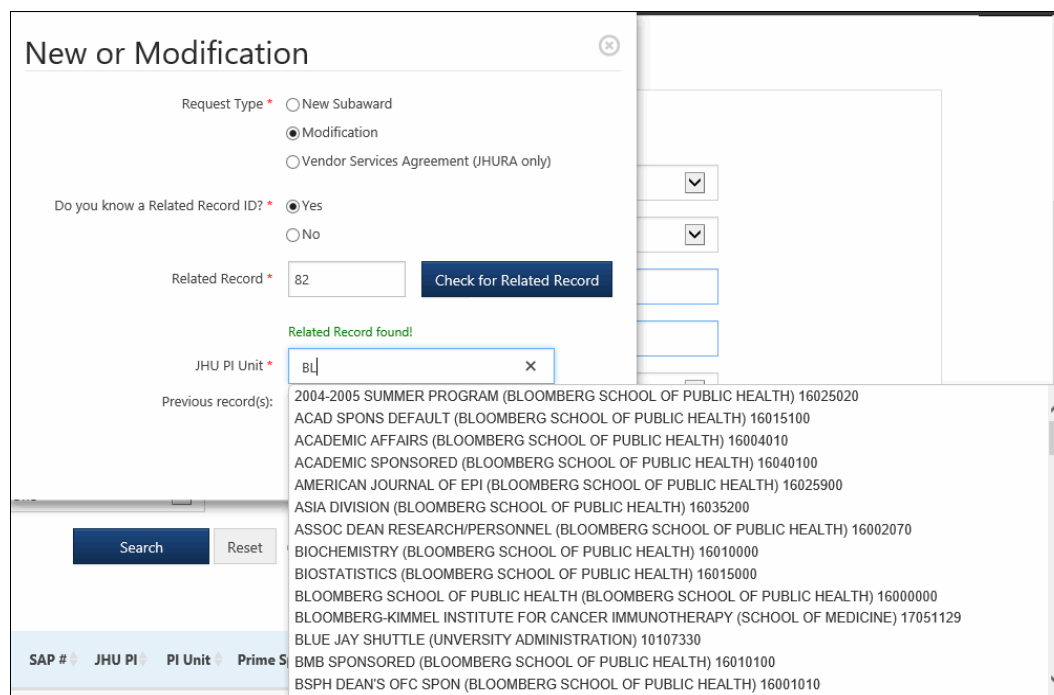
Related Record not found! Please try another related record ID or answer No for "Do you know a related record ID?"

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.



New or Modification

Request Type * ☐ New Subaward
☒ Modification
☐ Vendor Services Agreement (JHURA only)

Do you know a Related Record ID? * ☒ Yes
☐ No

Related Record * 82 Check for Related Record

Related Record found!

JHU PI Unit * BL


Previous record(s):

- 2004-2005 SUMMER PROGRAM (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16025020
- ACAD SPONS DEFAULT (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16015100
- ACADEMIC AFFAIRS (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16004010
- ACADEMIC SPONSORED (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16040100
- AMERICAN JOURNAL OF EPI (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16025900
- ASIA DIVISION (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16035200
- ASSOC DEAN RESEARCH/PERSONNEL (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16002070
- BIOCHEMISTRY (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16010000
- BIOSTATISTICS (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16015000
- BLOOMBERG SCHOOL OF PUBLIC HEALTH (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16000000
- BLOOMBERG-KIMMEL INSTITUTE FOR CANCER IMMUNOTHERAPY (SCHOOL OF MEDICINE) 17051129
- BLUE JAY SHUTTLE (UNIVERSITY ADMINISTRATION) 10107330
- BMB SPONSORED (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16010100
- BSPH DEAN'S OFC SPON (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16001010

Search Reset

SAP #	JHU PI	PI Unit	Prime S
-------	--------	---------	---------

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.

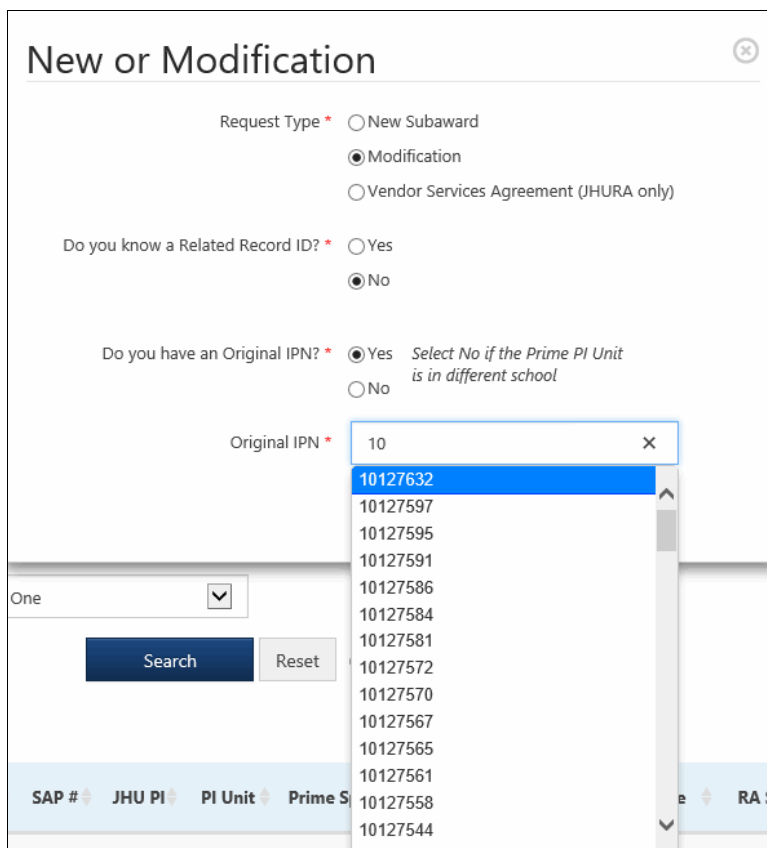
- **If you select No:**

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.



The screenshot shows a web form titled "New or Modification". It contains several radio button questions: "Request Type" (New Subaward, Modification, Vendor Services Agreement), "Do you know a Related Record ID?", and "Do you have an Original IPN?". The "Original IPN" field is active, showing a dropdown list of IPN numbers starting with "10". Below the form, there are tabs for "SAP #", "JHU PI", "PI Unit", and "Prime S".

New or Modification

Request Type * ☐ New Subaward
☒ Modification
☐ Vendor Services Agreement (JHURA only)

Do you know a Related Record ID? * ☐ Yes
☒ No

Do you have an Original IPN? * ☒ Yes *Select No if the Prime PI Unit is in different school*
☐ No

Original IPN * 10 X

- 10127632
- 10127597
- 10127595
- 10127591
- 10127586
- 10127584
- 10127581
- 10127572
- 10127570
- 10127567
- 10127565
- 10127561
- 10127558
- 10127544

One ▼

Search Reset

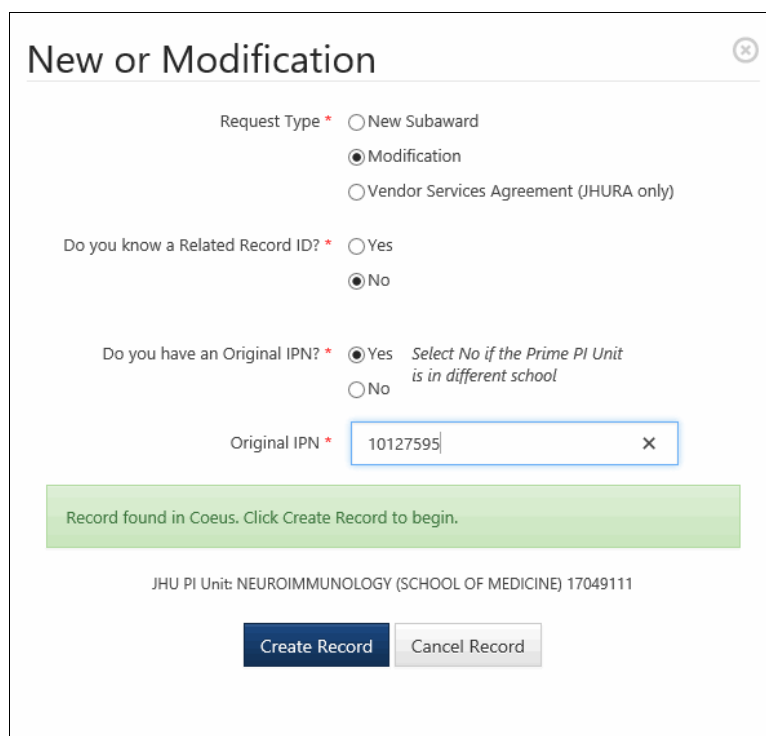
SAP # JHU PI PI Unit Prime S RA S

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.



New or Modification

Request Type * ☐ New Subaward
☒ Modification
☐ Vendor Services Agreement (JHURA only)

Do you know a Related Record ID? * ☐ Yes
☒ No

Do you have an Original IPN? * ☒ Yes *Select No if the Prime PI Unit is in different school*
☐ No

Original IPN * 10127595

Record found in Coeus. Click Create Record to begin.

JHU PI Unit: NEUROIMMUNOLOGY (SCHOOL OF MEDICINE) 17049111

Create Record Cancel Record

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.

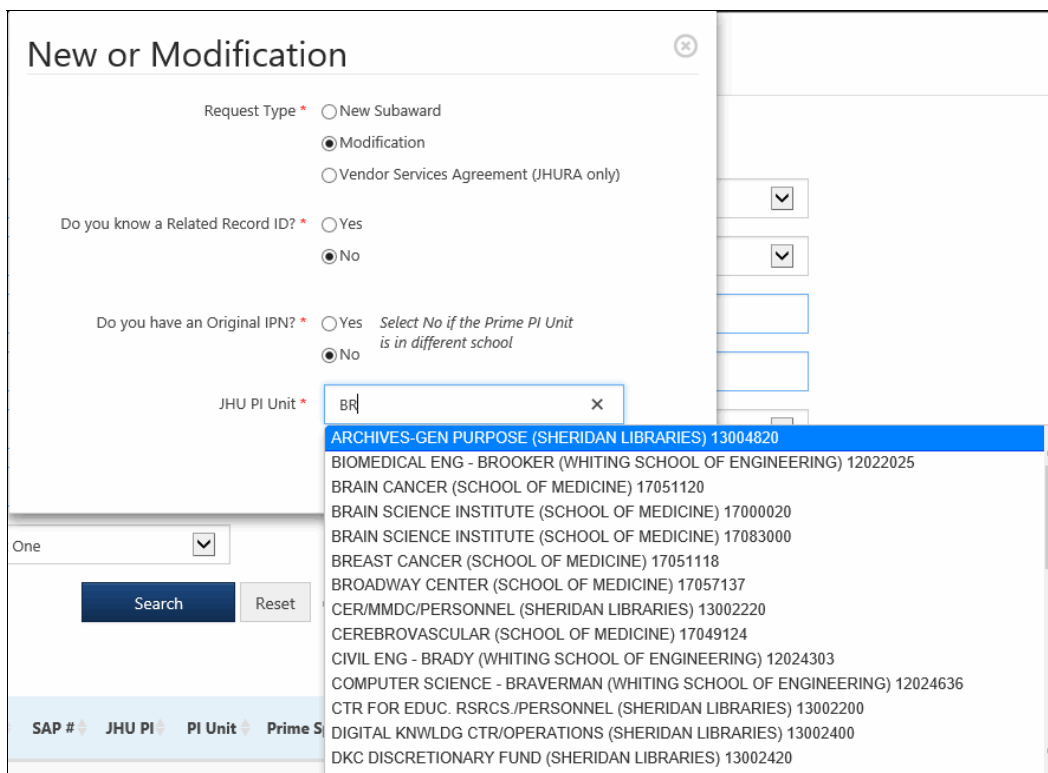
- **If you do not have an original IPN:**

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.



New or Modification

Request Type * ☐ New Subaward
☒ Modification
☐ Vendor Services Agreement (JHURA only)

Do you know a Related Record ID? * ☐ Yes
☒ No


Do you have an Original IPN? * ☐ Yes *Select No if the Prime PI Unit is in different school*
☒ No

JHU PI Unit *

One

SAP #	JHU PI	PI Unit	Prime S
		ARCHIVES-GEN PURPOSE (SHERIDAN LIBRARIES) 13004820	
		BIOMEDICAL ENG - BROOKER (WHITING SCHOOL OF ENGINEERING) 12022025	
		BRAIN CANCER (SCHOOL OF MEDICINE) 17051120	
		BRAIN SCIENCE INSTITUTE (SCHOOL OF MEDICINE) 17000020	
		BRAIN SCIENCE INSTITUTE (SCHOOL OF MEDICINE) 17083000	
		BREAST CANCER (SCHOOL OF MEDICINE) 17051118	
		BROADWAY CENTER (SCHOOL OF MEDICINE) 17057137	
		CER/MMDC/PERSONNEL (SHERIDAN LIBRARIES) 13002220	
		CEREBROVASCULAR (SCHOOL OF MEDICINE) 17049124	
		CIVIL ENG - BRADY (WHITING SCHOOL OF ENGINEERING) 12024303	
		COMPUTER SCIENCE - BRAVERMAN (WHITING SCHOOL OF ENGINEERING) 12024636	
		CTR FOR EDUC. RSRCS./PERSONNEL (SHERIDAN LIBRARIES) 13002200	
		DIGITAL KNWLDG CTR/OPERATIONS (SHERIDAN LIBRARIES) 13002400	
		DKC DISCRETIONARY FUND (SHERIDAN LIBRARIES) 13002420	

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

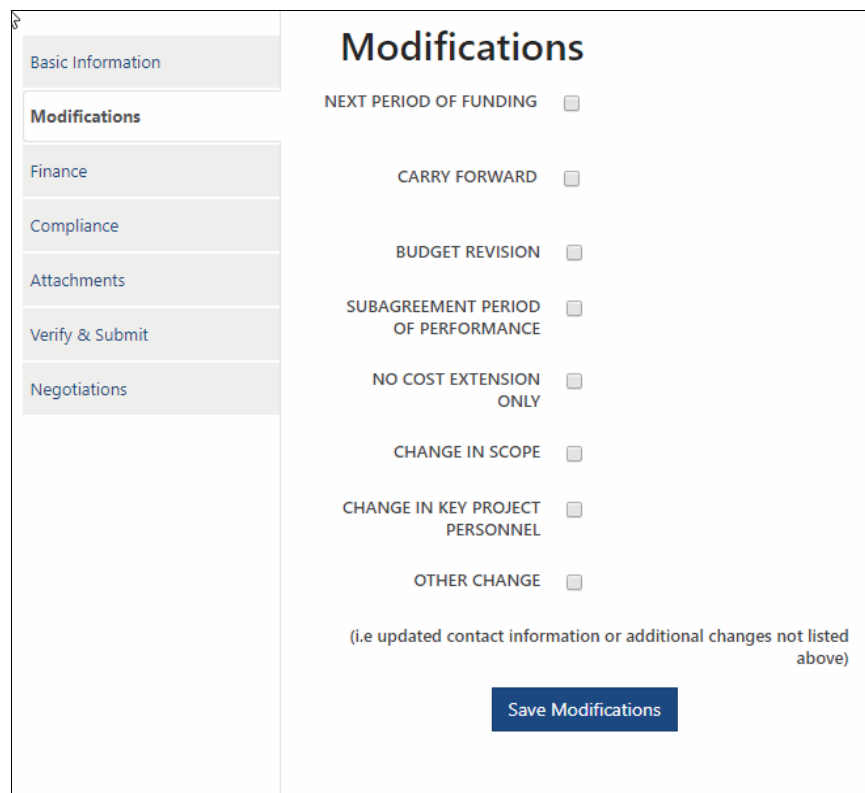
The process for entering information when modifying a subaward record is similar to the subaward record creation process, detailed in Section 7, Creating a New Subaward Record.

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.



Basic Information	Modifications
Finance	
Compliance	
Attachments	
Verify & Submit	
Negotiations	

Modifications

NEXT PERIOD OF FUNDING ☐

CARRY FORWARD ☐

BUDGET REVISION ☐

SUBAGREEMENT PERIOD OF PERFORMANCE ☐

NO COST EXTENSION ONLY ☐

CHANGE IN SCOPE ☐

CHANGE IN KEY PROJECT PERSONNEL ☐

OTHER CHANGE ☐

(i.e updated contact information or additional changes not listed above)

Save Modifications

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.

Basic Information

Modifications

Compliance

Attachments

Verify & Submit

Negotiations

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

Figure 36: Modifications Expanded (Part 1 of 2)

CHANGE IN SCOPE ☒

Attach revised scope

Explain why a change in project activities/scope is necessary

(Limit 1000 characters)

CHANGE IN KEY PROJECT PERSONNEL ☒

Attached qualifications of replacement

The replacement of a project director, a co-director, or other project personnel whose replacement is restricted, or substantial reduction in effort may require prior written approval by the JHU sponsor.

Explain the change in key personnel

(Limit 1000 characters)

OTHER CHANGE ☒

(i.e updated contact information or additional changes not listed above)

Explain/justification of requested change

(Limit 1000 characters)

Save Modifications

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
<i>If checked:</i>	
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
CARRY FORWARD	Check box if Yes

Field	Notes
<i>If checked:</i>	
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 <i>Other Change</i> area below)
<i>If Yes:</i>	
How much is being carried over? (\$)	
Budget year that the funding is coming from	
Start Date	
End Date	
BUDGET REVISION	Check box if Yes
<i>If checked:</i>	
Approval for revised budget, required to attach	
SUBAGREEMENT PERIOD OF PERFORMANCE	Check box if Yes (should be checked for all modifications)
<i>If checked:</i>	
New Obligated Budget End Date	
If Applicable, New Estimated Total Project End Date	
NO COST EXTENSION ONLY	Check box if Yes
<i>If checked:</i>	
New Budget Termination Date	
If Applicable, New Estimated Total Project End Date	
CHANGE IN SCOPE	Check box if Yes
<i>If checked:</i>	
Attach revised scope	
Explain why a change in project activities/scope is necessary	
CHANGE IN KEY PROJECT PERSONNEL	Check box if Yes
<i>If checked:</i>	
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	
OTHER CHANGE (i.e. updated contact information or additional changes not listed above)	Check box if Yes
<i>If checked:</i>	
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.

SharePoint 2013 Staging Publishing Farm > Subaward Workflow Information Tracking (SWIFT) System > SWIFT

Actions |  |  |  | 1 of 1 |  |  | Find Next | 100% | 

History

SWIFT ID : 10127

Change	Change By	Change On	Comments
Subaward Complete Finance	, SPTTest-EPIFaculty	3/15/2018	
Subaward Complete	, SPTTest-EPIFaculty	3/15/2018	
Change Requestor	, SPTTest-EHSStaff	3/15/2018	Checklist 10127 has been resubmitted for processing
Edit Complete	, SPTTest-EHSStaff	3/15/2018	Checklist 10127 has been resubmitted for processing
Returned for Edit ORA	, SPTTest-EHSFaculty	3/15/2018	Do the correction
Change Requestor	SPTTest-EHSFaculty,	3/15/2018	
Remove from Hold	SPTTest-EHSFaculty,	3/15/2018	MVC loves this!!
On Hold	SPTTest-EHSFaculty,	3/15/2018	Putting this record on hold
Change Requestor	, SPTTest-EHSFaculty	3/15/2018	
Review in Progress	, SPTTest-EHSFaculty	3/15/2018	sptehsfac Assigned to subaward 10127
Submitted for Processing	, SPTTest-EHSStaff	3/15/2018	Subaward Checklist 10127 request has been submitted
Change Requestor	, SPTTest-EHSStaff	3/15/2018	







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.

SharePoint 2013 Staging Publishing Farm > Subaward Workflow Information Tracking (SWiFT) System > SWiFT

Actions |  |  |  | 1 of 11 |  |  | Find Next | 100% | 

SWiFT ID: 10127

Subaward Type: New Subaward

Basic Information		Subaward Status	
Request Type	New Subaward	RA Status	Subaward Complete
Original IPN		Finance Status	Subaward Complete
COEUS PD #	2020202	Requestor	
SAP Grant #	128018	Requestor Name	Hamann, Ray
JAWS Record #		Requestor's Department	HEALTH POLICY & MANAGEMENT (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16040000
Discretionary Acct #		Requestor's Email	Fake3@jhu.edu
Shopping Cart #		Requestor's Phone	410-955-6546
Responsible Cost Center #	1604045000	Created	3/15/2018
JHU Principal Investigator	Rutkow, Helaine	Submitted for Processing	3/15/2018
JHU PI Unit	HEALTH POLICY & MANAGEMENT (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16040000	Finance Review	
Prime Sponsor Name		In Process	3/15/2018
Prime Sponsor Org Type		In Process by	Kate Calvin
Prime Sponsor Award #		96 IO # Workflowed to SPSS	3/15/2018
JHU's Sponsor Name	UNIV OF WASHINGTON	96 IO # Workflowed to SPSS by	Kate Calvin
JHU's Sponsor Org Type	Institution of Higher Education	96 IO # Entered	4/4/2018
JHU's Sponsor Award #	151454-Inash	Research Admin Review	
Full Subrecipient Legal Name	University of Washington	Record Manager	sptehsfac, sptehsfac
Full Subrecipient Vendor #	2020202	Current Owner	sptehsfac, sptehsfac
Requestor's JHED ID	sptehsstf1	Assigned to Current Owner	3/15/2018
Requestor's Name	Hamann, Ray	All Docs Received	3/15/2018
Requestor's Unit	HEALTH POLICY & MANAGEMENT (BLOOMBERG SCHOOL OF PUBLIC HEALTH) 16040000	Sent To Subrecipient	3/22/2018
Requestor's Email	Fake3@jhu.edu	PEA Received	3/15/2018
Requestor's Phone	410-955-6546	FEA Completed	3/28/2018
Comments	Testing on 03/15/2018	FEA Sent To Subrecipient	4/4/2018
		Purchase Order #	98888
		High Risk	Yes
		Welcome Packet Sent	Yes
		Questionnaire Completed and Signed	No
		Sub VC Screening Complete	No
		F&A Rate Verified	Yes
		F&A Rate Choice	Other
		Describe	
		Confirm Fringe Rate for Accuracy/Reasonableness	Yes
		Fringe Accuracy Reason	A Cognizant Federal Agency, such as DCAA, reviewed and approved the rate
		Sub Determination Completed and Signed	Yes
		FFATA Report	
		Report Due	Yes
		FAIN	151454-nice
		Subaward Fully Executed	7/5/2018
		FFATA Report Sent	9/20/2019
		Previous Checklist(s)	
		Related Record(s)	
		Created on 3/15/2018 9:18:37 AM by , SPTTest-EHSSStaff	
		Updated on 5/3/2018 2:13:15 PM by Laltoo, Roger	

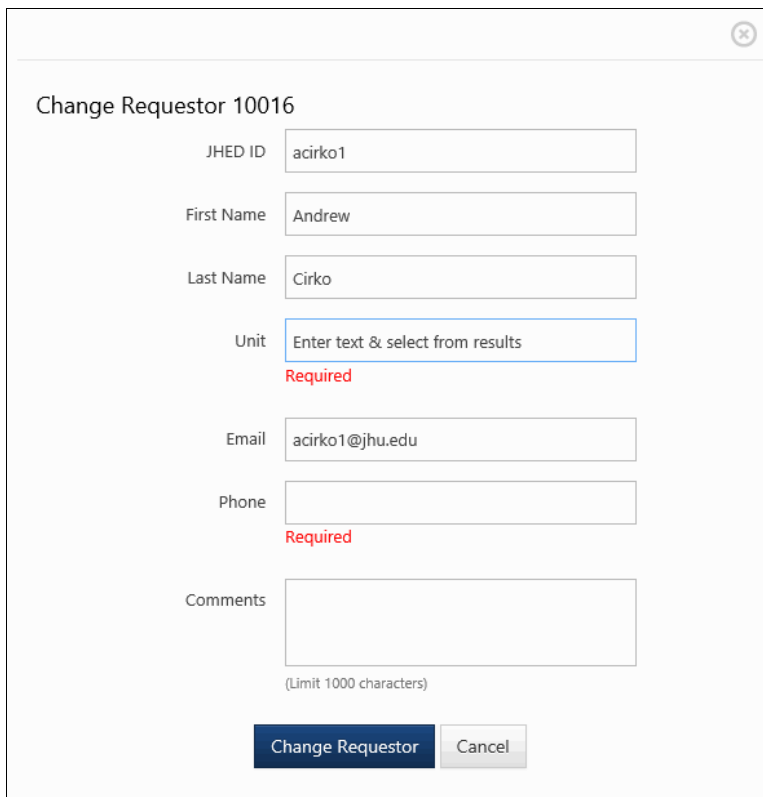
Page 1 of 11

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.



The screenshot shows a web form titled "Change Requestor 10016" with a close button in the top right corner. The form contains the following fields:

- JHED ID:** Text box containing "acirko1".
- First Name:** Text box containing "Andrew".
- Last Name:** Text box containing "Cirko".
- Unit:** Text box with placeholder text "Enter text & select from results". Below this field is a red label "Required".
- Email:** Text box containing "acirko1@jhu.edu".
- Phone:** Text box. Below this field is a red label "Required".
- Comments:** Large text area. Below this field is the text "(Limit 1000 characters)".

At the bottom of the form are two buttons: "Change Requestor" (in blue) and "Cancel" (in grey).

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.

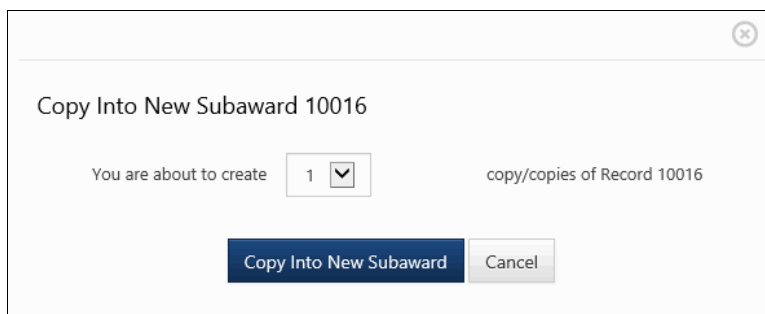


Figure 41: Copy Into New Subaward

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.

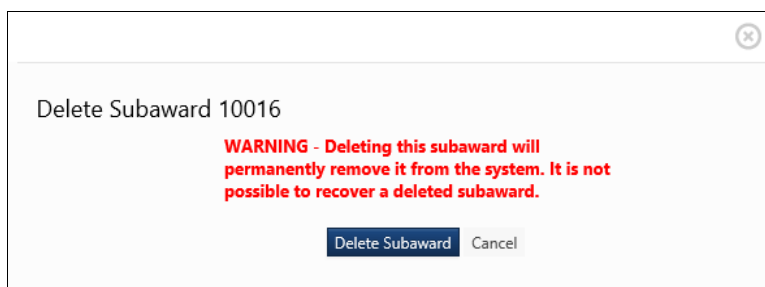


Figure 42: Delete Subaward

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

	Title	Subject	Body	Recipients
9	IO96 Workflowed	Your subaward IO request for SWiFT <i>SWiFT ID</i> 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 <i>SWiFT ID</i> has been fully executed	The Subaward has been fully executed. SAP Grant #: <i>SAPGrantNumber</i> Subrecipient: <i>SubrecipientLegalName</i> Thank you, The Subs team	Requestor
11	Remove Hold	Subaward <i>SWiFT ID</i> off hold	Per discussions between department and Research Administration, the completion of the subaward <i>SubawardID</i> has been taken off hold.	Research Admin, Department, Additional Contacts, Invoice Contact, Requestor
12	Mod Submitted for Processing	SWiFT <i>SWiFT ID</i> request has been submitted	SWiFT <i>SWiFT ID</i> has been submitted for processing by <i>RequestorName</i> . SAP Grant #: <i>SAPGrantNumber</i>	Research Admin, Department, Additional Contacts