

# Swift Checklist

[Submit a subaward through Swift](#)

## Before you submit your request, complete the following:

- Prime Award or current NGA was completed by SPSS and is in Oculus
  - We cannot move forward with a subaward until the prime award was sent to SPSS and uploaded in Oculus
- Subsite is on the [risk rating FRC subrecipient dashboard](#)
  - Click the link for the risk rating dashboard, then click on Subrecipient Dashboard.
- If not on the dashboard, complete the [Subrecipient Financial Questionnaire](#)
- Send an invitation to the subsite for New Vendor Creation through [PaymentWorks](#) to create a vendor number
  - [PaymentWorks User guide](#) is available for assistance
- If we're working with a new Subsite and it is a **Federal** award, a [Welcome Packet](#) must be sent to the subsite

## Required Documentation for New Subawards:

- [Sub Determination Form](#): Completed and signed by the JHU PI
- Scope of Work
- [Detailed Budget](#)
- Budget Justification
- Indirect Cost & Fringe Rate Agreement: If **Federal** and if fringe and F&A are on the budget
  - Make sure that the indirect cost rate and fringe rate match the rate agreement
  - If the subsite does not have a rate agreement or if they are using a different rate, please provide documentation
- [Significant Financial Interest Form](#) (If **Federal** and the subsite is not on the [FDP clearinghouse website](#))
- [Subrecipient Financial Questionnaire](#) (If the subsite is not on the [risk rating FRC subrecipient dashboard](#) or the [FDP Clearinghouse website](#))
- Subsite IRB or IACUC Approvals (if applicable)

- Subsite must have a Unique Entity Identifier (UEI) if receiving **Federal** funding
  - If the subsite doesn't have a UEI, see [instructions](#).

**Required Documentation for Modified Subawards:**

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

Tips for submitting a New Subaward in Swift

[View the Swift  
User Guide](#)

- If there are questions about what information to submit in swift, please contact [ORASUBCONTRACTS@jhmi.edu](mailto:ORASUBCONTRACTS@jhmi.edu) before submitting incorrect information
  
- It is important that the correct information is added in swift, since the subawards team uses this information to draft the agreement

### **Basic Information Tab**

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

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

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

### **JHU Contacts Tab**

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

### **Subrecipient Contacts Tab**

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

### **Subagreement Details Tab**

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

### **Other Study Data Tab**

- If JHU holds the IND, add IND approval from FDA to the attachments
  - For clinical trials, if a field says "how many" or "how much," that field must be filled with a number

### **Compliance Tab**

- If JHU PI has a relationship or role with the subsite that could be a potential conflict of interest, please email [ORASUBCONTRACTS@jhmi.edu](mailto:ORASUBCONTRACTS@jhmi.edu)
- IRB protocol information should reflect the subsite protocol information.
  - Only enter the JHU IRB information if JHU will act as the single IRB for a multi-center study, OR if the subsite is KKI
- If Human Subjects will be included in this project and you're waiting for approval, select "pending"
- We will need the subsite IRB approval date before we can send the Fully Executed Agreement to the subsite

### **Deliverables Tab**

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

### **Reports Tab**

- Include reports if there are specific reports and formats required

### **Attachments Tab**

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

### **Verify & Submit Tab**

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

Tips for submitting a Modified Subaward in Swift

\*When creating a modification, select the modification option.  
Before you submit, double check ALL fields\*

### **Modification Tab**

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

### **JHU Contacts Tab and Subrecipient Contacts Tab**

- Double check to make sure the information is correct and has not changed