Checklist Before Submitting COP21 Expenditure Reporting Template – Implementing Partners

October 3, 2022

For COP21/FY22, Subrecipients whose expenditures are greater than $25,000 will need to complete their own Expenditure Reporting templates. Therefore, Step 1 will be completed by both Prime Partners and qualifying Subrecipients (>$25,000). Step 2 and onwards are the same as previous fiscal years. Below is a table documenting a suggested timeline for completing the Checklist:

Activity	Recommended Date
Gather Expenditure Data and Complete Expenditure Reporting Templates; Verify Templates are complete and Error-free	10/1 – 10/26
Prime Partners Verify All Templates Are Complete And Error-Free	10/26 – 10/28
Prime Partner Uploads Expenditure Reporting Template To DATIM Via The ERB Processor App And Submits Template Via Approvals App	10/27 – 11/4
Prime Partner Verifies Template Has Been Submitted In DATIM Via The Data Approval App	NLT 11/4

1. **GATHER DATA NECESSARY TO REPORT ON EXPENDITURES; PARTNERS COMPLETE EXPENDITURE REPORTING TEMPLATES**

☐ As soon as possible following the close of the fiscal year, all prime and subrecipients collect PEPFAR expenditures from accounting records; include all PEPFAR funding.

☐ Prime and subrecipient verify that expenditures data is reported on a cash basis, not an accrual basis.

☐ Prime and subrecipient verify that expenditure data is compliant with federal cost principles as outlined in the CFR Part 200 Subpart E, and any agency terms and conditions of the award. For State Department awards, this is outlined in the U.S. Department of State Standard Terms and Conditions. Implementing partners should check with their awarding agency's terms and conditions.

☐ If necessary, convert all expenditures to US dollars.

☐ Once compiled, subrecipients should provide expenditure data to prime partners by intervention.

☐ Prime partners prepare required metadata before entry:

   ☐ Prime Implementing Partner (prime recipient organization) name and UEI number

   ☐ USG Funding Agency and Award number

   ☐ Mechanism ID and Mechanism name

   ☐ Collect metadata for Subrecipients whose expenditures are less than or equal to $25,000, including subrecipient names and UEI numbers, if applicable. If a subrecipient UEI number is

unknown at the time of reporting, use '111111111111'. If a subrecipient is not required to have a UEI number, please enter '999999999999'.

☐ Subrecipients whose expenditures are greater than $25,000 prepare required metadata before entry:

    ☐ Prime Implementing Partner (prime recipient organization) name

    ☐ USG Funding Agency and Award number

    ☐ Mechanism ID and Mechanism Name

    ☐ Subrecipient Name and UEI number

☐ Prime partners and subrecipients verify that FY22 expenditure reporting template is downloaded from DATIM support, www.datim.zendesk.com, and has not been unlocked or 'broken'.

Once all above items are completed, prime partner and subrecipients will enter all expenditure data into the expenditure reporting template. Subrecipient whose expenditures less than or equal to $25,000 will be entered in the prime partner's template, while Subrecipients whose expenditures greater than $25,000 will enter all expenditures into their own expenditure reporting template.

2. PRIME PARTNERS AND SUBRECIPIENTS VERIFY TEMPLATES ARE COMPLETE AND ERROR-FREE

☐ Prime partners and subrecipients save their expenditure reporting templates with the naming convention: FY22_ER_[Mechanism ID]_[Prime/Sub UEI#].xlsx.

☐ Verify that the files are saved as an Excel Workbook file type, or XLSX file.

☐ Verify that all metadata fields have been correctly completed.

    ☐ UEI numbers are always 12-character values. If a subrecipient UEI number is unknown at the time of reporting, use '111111111111'. If a subrecipient is not required to have a UEI number, please enter '999999999999'.

☐ Verify that the templates are not unlocked, broken, or corrupted.

    ☐ No expenditures have been entered in cells with "NA"

    ☐ Password protection on sheets is still enforced

    ☐ No tabs have been inserted or added; No tabs have been deleted or hidden

    ☐ No values have been copied and pasted into the dropdowns for Program Area (row 4) or Beneficiary (row 5)

☐ Verify that all expenditures are entered as positive integers.

☐ Verify that all error checks in the "Error Checks" section have been passed.

    ☐ For Prime templates:

        ☐ Error Check 1: Prime UEI; cell L11 should read "No, the prime UEI satisfies the data entry criteria."

        ☐ Error Check 2: Program Management; cell L15 should read "No, the program management expenditure has been entered." if there were expenditures for direct or indirect management costs.

        ☐ Error Check 3: Interventions Not Fully Defined; cell L17 should read: "No, all interventions have been fully defined."

☐ Error Check 4: Very Unlikely Combinations of Program Area and Beneficiaries; cell L22 should read: "No, there are not any very unlikely combinations that have been selected."

☐ Error Check 5: Unlikely Combinations of Program Area and Cost Category: cell L27 should read: "No, there are not any unlikely combinations that have been selected."

☐ Error Check 6: Duplicate Interventions: cell L33 should read: "No, there are not any duplicate interventions in the Expenditure Report."

☐ Error Check 7: Zero expenditure Subrecipients: cell K37 should read: "No, every subrecipient has been assigned a non-zero expenditure."

☐ Error Check 8: >$25,000 Subrecipients: cell K38 should read: "No, 0 row(s) have total expenditures greater than $25,000."

☐ Error Check 9: Missing or incorrect subrecipient information: cells K40, K41, K42, K43, and K44 should all begin with the word "No" to indicate that there is no missing or incorrect subrecipient information.

☐ Error Check 10: Subrecipient data entered outside of specified rows: cell K49 should read: "No, there is no data that was entered outside of the specified subrecipient rows."

☐ For Subrecipient Templates:

☐ Error Check 1: Subrecipient UEI; cell L11 should read "No, the UEI number satisfies the data entry criteria."

☐ Error Check 2: Subrecipient Name; cell L13 should read "No, the subrecipient name is present."

☐ Error Check 3: Program Management; cell L15 should read "No, the program management expenditure has been entered." if there were expenditures for direct or indirect management costs.

☐ Error Check 4: Interventions Not Fully Defined; cell L17 should read: "No, all interventions have been fully defined."

☐ Error Check 5: Very Unlikely Combinations of Program Area and Beneficiaries; cell L22 should read: "No, there are not any very unlikely combinations that have been selected."

☐ Error Check 6: Unlikely Combinations of Program Area and Cost Category: cell L27 should read: "No, there are not any unlikely combinations that have been selected."

☐ Error Check 7: Duplicate Interventions: cell L33 should read: "No, there are not any duplicate interventions in the Expenditure Report."

☐ Error Check 8: Subrecipient Rows Clear: cell L34 should read: "No, the Expenditure Template does not show expenditures below row 28."

☐ Verify total expenditures.

☐ Confirm row totals (by sub cost category) and column totals (by intervention) against accounting records (e.g., Personnel totals calculated in the template from data entry = Personnel expenditure total from accounting records).

Once all checks and verifications are completed, subrecipients should send their templates to their Prime Partner so the Prime Partner can upload templates to the ERB Processor app in DATIM. Please note:

3. **PRIME PARTNER UPLOADS EXPENDITURE REPORTING TEMPLATE(S) TO DATIM VIA THE ERB PROCESSOR APP AND SUBMITS TEMPLATE(S) VIA APPROVALS APP**

☐ Prime partner log into DATIM and navigates to the ERB Processor app

☐ Prime partner verifies the fields selected on the data entry screen in the DATIM ERB Processor app

    ☐ Confirm the Operating Unit is correct for your mechanism

    ☐ Confirm the Workstream is "Expenditure Reporting"

    ☐ Confirm the COP Year is "COP 21"

    ☐ Confirm the Funding Mechanism is the correct mechanism ID

☐ To upload the Prime Partner template: Prime partner verifies that the uploaded file in the Prime Partner upload box is the correct file for mechanism ID shown above.

    ☐ Confirm that the Prime Partner upload field has a green "success" status and check mark.

    ☐ Confirm the number of interventions and the total expenditures validated by DATIM

☐ To upload the Subrecipient template(s): Once the Prime Partner file has been submitted and validated successfully, upload the Subrecipient file(s) using the Subrecipient upload box below the Prime Partner upload

    ☐ Confirm that the Subrecipients upload fields have a green "success" status and check mark.

    ☐ Confirm the number of interventions and the total expenditures validated by DATIM

    ☐ Confirm that all subrecipient(s) have been uploaded between the Prime Partner and Subrecipients uploads

☐ Once all checks are completed in the ERB processor app, exit the ERB processor app and click into the data approvals app

☐ Once in the data approvals app, the prime partner selects a template that was uploaded in the ERB processor app and verified, and submits it in the data approvals app

    ☐ Screenshots and complete step by step instructions for how to do this can be found in the DATIM Instructions for Prime Partners.

☐ If a discrepancy is identified between the FAST budget and the template, please use the narrative box in DATIM to explain the discrepancy.

4. **PRIME PARTNER VERIFIES TEMPLATE HAS BEEN SUBMITTED IN DATIM VIA THE DATA APPROVAL APP**

☐ Prime partner verifies that at the bottom of the page of the Data Approval app, DATIM displays the message "Mechanism successfully submitted," along with the correct mechanism ID for both prime and subrecipient templates

☐ Prime partner verifies that template has been submitted

    ☐ In Data Approval app, status in View tab should say "submitted by partner" for mechanism