**Sub Award Tracking System Functions**

1.0 Grant Information

1. Donor (Donor code and name)
2. Prime recipient name
3. Prime Award Name
4. Prime Award Number
5. Country of Implementation
6. Prime award Period of Implementation (start and end date)
7. Prime award obligation end date (restrict editing)
8. Cost Share Obligation

2.0 Sub Recipient:

1. Sub Recipient Name
2. Sub Award Number
3. Type of Sub Award (Fixed Amount Award/Sub Agreement/Sub Contract/Other – specify)
4. Sub Award Start Date
5. Sub Award End Date (LOP end date)
6. Reporting Currency (KES; USD)
7. Reporting Frequency ( Monthly, Quarterly, On deliverable, On milestone)
8. Applicable Indirect Cost (NICRA; 10% de minimis; N/A) (How will indirect cost be charged) – Value/%ge/N/A)
9. PIN
10. Type of Entity (Governmental, NGO, CBO; Self-Help Group; Trust; FBO; Other – specify)
11. Cost Share Obligation (xx% of obligated budget)

2.1 Sub Award LOP Budget

*Done once but can be revised any time under modification. Any change should keep a history*

1. Salaries
2. Fringe Benefits
3. Equipment
4. Supplies
5. Other Direct Costs
6. Indirect Costs
7. Implementation Budget
8. Cost Share

2.1 Obligation:

*Done once but can be revised any time under modification. Any change should keep a history*

1. Obligated Budget
   1. Salaries
   2. Fringe Benefits
   3. Equipment
   4. Supplies
   5. Other Direct Costs
   6. Indirect Costs
   7. Total (Aggregate)
   8. Cost share
2. Obligation end date

2.2 Modifications

Modification No.

2.2.1 Modification Details:

1. Budget Revision – by budget line (Amount; amended new total)
2. Obligation Revision – by budget line (Amount; amended new total)
3. LOP End Date (*also under sub recipient*)
4. Obligation End Date (*under obligation*)
5. Revisions to Provisions/Conditions/Scope of work (check box)

**4.0 Expenditure Reports**

4.1 Financial Reports

Reporting Month & Year

Date received from sub recipient

4.1.1 Reported Expenditure (by sub recipient) (Input)

1. Salaries
2. Fringe Benefits
3. Equipment
4. Supplies
5. Other Direct Costs
6. Indirect Costs
7. Total Expenses (Aggregate)

*- Enter zero if no amount*

4.1.2 Expenditure analyses (Output)

* *Have reports being generated and exported in a spreadsheet with multiple tbs/worksheets for each of the below reports.*
* *Where multiple subrecipients are selected, group each report on each worksheet by sub-recipient then have a grand total column.*
* *Have filters for Period (month, quarter, semi-annual-year) , Sub-recipient , budget lines*
* *Upload the pdf approved report*

1. Cumulative expenditure to date ( sarah to share template)
2. Months to end of obligation
3. Implementation months ( *Number of months the sub-recipient has implemented since sub award start date ). Formula: Reporting Period Minus* Sub Award Start Date [*Refer to the Sub Recipient table above* ].

1. Average Monthly expenditure / burn rate(*Cumulative expenditure to date divide by total implementation months [Reporting Period Minus* Sub Award Start Date devide by 30*]* )
2. Obligation balance (Pipeline) (*Obligated budget minus cumulative expenditure to date dis aggregated by budget line*)
3. Available obligation balance per month (Obligation balance divide by months to obligation end date)
4. Budget Cover (*output in months*) (Obligation balance divide by burn rate)
5. LOP Budget balance (LOP budget less cumulative expenditure to date)
6. Donor-Approved Budget Balance (Donor-Approved Budget minus Current Obligation)
7. Donor-Approved Budget Balance (Donor-Approved Budget minus cumulative expenditure to date) (To find appropriate name)

4.2 Cost Share (separate entries and report outputs)

1. Cost Share Obligation
2. Reporting month
3. Cumulative reported b/fwd
4. Amount reported
5. Cumulative to date (Amount; %ge of obligation)
6. Remaining (Obligation less cumulative reported)

5.0 Pre-Award Phase

*For partners who come through non-competitive process, while at the pre-award phase , the tool should skip to the pre award assessment section.*

5.1 Solicitation

*This is a module to capture data about various NOFOs that the activity may share publicly for interested parties to apply. Interested Parties will apply for the same and an evaluation process ( in terms of M&E, technical , Budget etc ) will take place followed by rating on each of the key selected areas to guide on the suitability. There will be a NOFO ID which will be used to link the APplicats/Applications to the solicitation.*

1. Donor
2. Prime Award Name
3. Prime Award Number
4. Country of Implementation
5. Prime award Period of Implementation (start date ) (End date )
6. Funding opportunity notification No. (upload the notification of funding opportunity (NOFO) document and copies of adverts)
7. NOFO Period of Performance; (start date ) (End date )
8. Award Mechanism (Fixed Amount Award/Sub Agreement/Sub Contract/Other – specify)
9. Date of issuance
10. Submission by date (yyyy-mm-dd)
11. Submission Means (email <provide email address where applications are being sent>, bid box (for physical application) )

**5.2 Applicants:**

*Here we are capturing the applicants details and as well Evaluating them*

1. Name of Organization
2. Type of Organization (E.g. Self-Help Group; non-profit; For-profit; NGO; Trust; Religious; etc.)
3. Contact Details
   1. Postal Address
   2. Email Address
   3. Phone Number
4. Executives
   1. Name
   2. Title

5.3 Mandatory Requirements Check:

*Check if the Applicant meets the minimum criteria based on the listed requirement below;*

1. Registration Status/certificate
2. Nationality
3. PIN Certificate
4. Tax compliance
5. Universal Entity identifier Number ( *If number not available, share proof that of application for the number*)
6. Etc ( *Any other requirement that will be added later*)

Final Eligibility Status: Eligible/Ineligible (*If ineligible , end the process at this point)*

5.4 Evaluation

*Here , we are evaluating the applicants and scoring/rating them on various sections/criteria. Each section has subsections in form of questions with marks/scores which once updated, we will sum the total score per section to guide on the overall performance per applicant. The files used in scoring will be finally uploaded into the system in PDF form for future reference , then on the system , we will capture scores per main sections/criteria.*

*There should be a module within the system to manage ( Add , activate, associate Evaluation Areas to a NOFO that will be used to evaluate the applicants. On the module, each evaluation will have a maximum score that will be uniform across all the applicants)*

1. Technical Evaluation (Total Score )
2. M&E Evaluation (Total Score )
3. Finance Evaluation (Total Score )
4. Other Evaluation as Applicable
5. Overall Score ( Sum across the evaluation areas )

5.5 Post Evaluation Meeting

This section will aim to go through the evaluations and recommendations based on the evaluation results. This will be done by a committee with evidence of Minutes. The minutes will be uploaded to the system.

1. List the Selected Applicants (F*rom those who passed the mandatory requirements check*.)
2. Upload of Minutes

5.5 Pre-Award Assessment

*From the selected applicants above, we will need to do overall risk rating and recommend whether to issue a subaward with or without conditions , issue a subaward subject to COP/Director’s approval or not to issue a subaward. A*

1. Applicant Name
2. Overall Risk Rating
3. Upload of Pre-award assessment Report
4. Recommendation
   1. Sub Award with no Conditions
   2. Subaward with Conditions
   3. Sub Award Subject to COP/Director’s Approval
   4. Do not Issue a sub award

6.0 Sub Award Close-out

1. Partner
2. Close-out date (*From the latest Modification end date*)
3. Close-out Notification Due Date (3 Months to Close-out Date) ( *Close Out notification letters to be uploaded* )
4. Final Financial Report (*To be Uploaded*)
5. Final VAT Report
6. Final Program Report (*To be Uploaded*)
7. Final Asset Inventory Report (*To be Uploaded*)
8. Final Reconciliations
9. Balance in hand refunded/received
10. Bank Account closes if applicable
11. Close out checklist (To be uploaded)
12. Share Point Link for accessing the subrecipient documents/resources