

## Business Use Case 080.GRM.L1.03 Disaster Grants Using Inter-Agency Agreement

### End-to-End Business Process: 8. Apply-to-Perform

#### Business Scenario(s) Covered

- L1.02. Non-Discretionary Award
- L1.04. Disaster Award
- L1.15. Inter-Agency Transfer of Funds
- L1.05. Advance Payment
- L1.14. Recipient Expenditure Requiring Audit

#### Business Actor(s):

Grants Office, Award Recipient; Program Office; Finance Office, Funding Federal Agency

#### Synopsis

Funds are offered to a Federal awarding agency by a funding Federal agency. A previously established Inter-Agency Agreement (IAA) is used to transfer funds from the funding Federal agency to the Federal awarding agency. A determination is made that exigent circumstances allows for the expediting of the award process. The Federal awarding agency's previously established program package and funding formula are used to develop the funding opportunity. The funding opportunity is published. Applications are received and reviewed, and award recipients are selected using an expedited review and selection process. Funds are obligated, and the award agreements are executed. Advance payments are issued, using expedited payment processing. After the initial response to the disaster has occurred, performance, financial and compliance reviews of selected awards are performed on behalf of the Federal awarding agency. Audits are performed to evaluate appropriate use of funds, and no findings are identified. After the period of performance ends, the awards are closed out.

#### Assumptions and Dependencies

1. There is no presumption as to which events are executed by which business actor.
2. There is no presumption as to which events are automated, semi-automated, or manual.
3. There may or may not be automated interfaces between service areas/functions/activities and between provider solutions/systems.
4. All predecessor events required to trigger the Initiating Event have been completed.
5. Authorizing legislation for the funding federal agency has been passed and allows for the transfer of funds and allocation of those funds to an existing program.
6. All of the funds provided by the funding Federal agency are awarded by the grant-making Federal agency.
7. Grant award agreements are executed shortly after award recipients are selected; therefore, funds are not committed prior to award.
8. Indirect (F&A) cost rates have already been established for award recipients.
9. When the IAA is modified to add funding, the Trading Partner information does not require updates.
10. There are no changes to awards during the period of performance.
11. After performance reports are received and accepted, advance payments are liquidated.
12. All of the funds awarded to award recipients are expended.
13. No property is owed to the grant-making Federal agency.
14. Award recipient audits performed did not result in any issues.
15. Grant program reporting and review are performed at the next program review cycle.

#### Initiating Events

The offer of funds has been made to a Federal awarding agency by a funding Federal agency.

**BUSINESS USE CASE 080.GRM.L1.03 DISASTER GRANTS USING INTER-AGENCY AGREEMENT**

**Typical Flow of Events**

| # | GRM Event   | Non-GRM Event  | Input(s)   | Output(s) / Outcome(s)  |
|---|---|--|--|---|
| 1 | <p>a. Receive offer of funds from a Federal agency and modify an existing IAA between the funding Federal agency and the Federal awarding agency</p> <p>b. Develop and submit request to transfer funds, including supporting inter-agency services/funding agreement, between Federal agencies and their existing programs</p> <p>(GRM.010.010 Grant Program Set-up and Maintenance)</p> |  | <ul style="list-style-type: none"> <li>• Offer of funds from a Federal agency</li> <li>• Existing grant program package</li> <li>• Existing IAA</li> </ul> | <ul style="list-style-type: none"> <li>• Modified grant program package</li> <li>• Modified IAA</li> <li>• Request for intragovernmental transfer of funds</li> </ul> |
| 2 |   | <p>a. Receive and record funding transfer authorization (FFM.010.020 Fund Allocation and Control)</p> <p>b. Receive and execute request for intragovernmental transfer of funds from the funding Federal agency to the grant making Federal agency (FFM.030.030 Payment Processing - Intragovernmental Payments)</p> | <ul style="list-style-type: none"> <li>• Modified IAA</li> <li>• Request for intragovernmental transfer of funds</li> </ul>                                | <ul style="list-style-type: none"> <li>• Intragovernmental transfer of funds</li> </ul>   |
| 3 | <p>a. Develop the applications instructions and submission and review process</p> <p>b. Determine the eligibility criteria</p> <p>c. Develop, review, and route for approval the funding opportunity</p> <p>d. Publish the funding opportunity for disaster grant through the previously established grant program</p> <p>(GRM.010.020 Grant Program Funding Opportunity)</p>             |  | <ul style="list-style-type: none"> <li>• Modified grant program package</li> </ul>   | <ul style="list-style-type: none"> <li>• Application submission and review process</li> <li>• Published funding opportunity</li> </ul>                                |

**BUSINESS USE CASE 080.GRM.L1.03 DISASTER GRANTS USING INTER-AGENCY AGREEMENT**

**Typical Flow of Events**

| # | GRM Event  | Non-GRM Event | Input(s)  | Output(s) / Outcome(s)   |
|---|--|---------------|---|--|
| 4 | a. Receive, record and acknowledge application submissions and resubmissions<br>b. Evaluate consistency with application submission instructions and record results<br>c. Notify applicants of incomplete submissions<br>(GRM.020.010 Grant Application Support and Receipt)   |               | <ul style="list-style-type: none"> <li>• Application packages</li> <li>• Modified program package</li> <li>• Published funding opportunity</li> </ul>                                       | <ul style="list-style-type: none"> <li>• Application receipt notifications</li> <li>• Validated application packages</li> <li>• Non-compliant application notifications</li> </ul> |
| 5 | a. Review the applications against the eligibility criteria from the authorizing legislation and record results<br>b. Determine funding for eligible recipients based on the existing grant funding formula<br>c. Document and route applicant award recommendations for review and approval<br>(GRM.020.020 Grant Application Review and Selection) |               | <ul style="list-style-type: none"> <li>• Published funding opportunity</li> <li>• Validated application packages</li> <li>• Grant funding formula calculation</li> </ul>                    | <ul style="list-style-type: none"> <li>• Eligible applications</li> <li>• Award funding information</li> <li>• Approved award applicants</li> </ul>                                |
| 6 | Notify approved applicants of award selection<br>(GRM.020.020 Grant Application Review and Selection)  |               | <ul style="list-style-type: none"> <li>• Approved award applicants</li> </ul>   | <ul style="list-style-type: none"> <li>• Approved award applicants' notifications</li> </ul>   |
| 7 | a. Develop and document award terms and conditions<br>b. Finalize award applicant budgets and estimate advance payments<br>c. Develop and route award agreements for review and approval<br>(GRM.030.010 Grant Award Issuance)   |               | <ul style="list-style-type: none"> <li>• Eligible applications</li> <li>• Approved award applicants</li> <li>• Modified program package</li> <li>• Published funding opportunity</li> </ul> | <ul style="list-style-type: none"> <li>• Approved award agreements</li> </ul>  |
| 8 | Request funds availability check for obligation<br>(GRM.030.010 Grant Award Issuance)  |               | <ul style="list-style-type: none"> <li>• Approved award agreements</li> </ul>   | <ul style="list-style-type: none"> <li>• Request for funds availability check for obligation</li> </ul>  |

**BUSINESS USE CASE 080.GRM.L1.03 DISASTER GRANTS USING INTER-AGENCY AGREEMENT**

**Typical Flow of Events**

| #  | GRM Event   | Non-GRM Event  | Input(s)   | Output(s) / Outcome(s)  |
|----|---|--|--|---|
| 9  |   | a. Receive and process request for funds availability check for obligation<br>b. Provide response to funds availability check for obligation<br>(FFM.010.020 Funds Allocation and Control) | <ul style="list-style-type: none"> <li>Request for funds availability check for obligation</li> </ul>                            | <ul style="list-style-type: none"> <li>Response to funds availability check for obligation</li> </ul>                               |
| 10 | a. Receive response to funds availability check for obligation<br>b. Submit documentation for funds obligation<br>c. Issue the award agreements<br>(GRM.030.010 Grant Award Issuance) |  | <ul style="list-style-type: none"> <li>Response to funds availability check for obligation</li> </ul>                            | <ul style="list-style-type: none"> <li>Funds obligation documentation</li> <li>Issued award agreements</li> </ul>                   |
| 11 |   | a. Receive funds obligation documentation<br>b. Obligate funds for awards<br>(FFM.030.020 Obligation Management)   | <ul style="list-style-type: none"> <li>Funds obligation documentation</li> </ul>   | <ul style="list-style-type: none"> <li>Appropriate funds obligation entries created with reference to source information</li> </ul> |
| 12 | a. Receive from award recipients signed award agreements<br>b. Record executed award agreements<br>(GRM.030.010 Grant Award Issuance)   |  | <ul style="list-style-type: none"> <li>Signed award agreements</li> </ul>  | <ul style="list-style-type: none"> <li>Executed award agreements</li> </ul>   |
| 13 | a. Receive and verify award recipients bank information<br>b. Route verified award recipients' bank information for payee set-up<br>(GRM.030.010 Grant Award Issuance)                |  | <ul style="list-style-type: none"> <li>Award recipients' bank information</li> <li>Executed award agreements</li> </ul>          | <ul style="list-style-type: none"> <li>Verified award recipients' bank information</li> </ul>                                       |
| 14 |   | Establish non-Federal payee information for each recipient<br>(FFM.030.010 Payee Set-up and Maintenance)   | <ul style="list-style-type: none"> <li>Verified award recipients' bank information</li> <li>Executed award agreements</li> </ul> | <ul style="list-style-type: none"> <li>Non-Federal payee accounts</li> </ul>  |

**BUSINESS USE CASE 080.GRM.L1.03 DISASTER GRANTS USING INTER-AGENCY AGREEMENT**

**Typical Flow of Events**

| #  | GRM Event   | Non-GRM Event  | Input(s)   | Output(s) / Outcome(s)   |
|----|---|--|--|--|
| 15 | a. Provide award and unsuccessful applicants information to OMB designated sources<br>b. Notify unsuccessful applicants<br>(GRM.030.010 Grant Award Issuance)   |  | <ul style="list-style-type: none"> <li>• Executed award agreements</li> <li>• Applications review results</li> </ul>                                     | <ul style="list-style-type: none"> <li>• Published award information</li> <li>• Unsuccessful applicant notifications</li> </ul>                          |
| 16 | a. Develop, review, and approve payment requests for disaster single advance payments<br>b. Request funds availability check for advance payments<br>(GRM.030.020 Grant Award Payment Processing)     |  | <ul style="list-style-type: none"> <li>• Executed award agreements</li> </ul>  | <ul style="list-style-type: none"> <li>• Awards advance payment requests</li> <li>• Request for funds availability check for advance payments</li> </ul> |
| 17 |   | Receive and process requests for funds availability check for advance payment<br>(FFM.010.020 Fund Allocation and Control) | <ul style="list-style-type: none"> <li>• Request for funds availability check for advance payments</li> </ul>  | <ul style="list-style-type: none"> <li>• Response to funds availability check for advance payments</li> </ul>  |
| 18 | a. Receive response to funds availability check for advance payments<br>b. Submit disbursement requests for advance payments for expedited processing<br>(GRM.030.020 Grant Award Payment Processing) |  | <ul style="list-style-type: none"> <li>• Awards advance payment requests</li> <li>• Response to funds availability check for advance payments</li> </ul> | <ul style="list-style-type: none"> <li>• Disbursement requests for advance payments</li> </ul>   |
| 19 |   | Receive and process disbursement requests for advance payments<br>(FFM.030.080 Payment Processing - Grant Payments)        | <ul style="list-style-type: none"> <li>• Disbursement requests for advance payments</li> </ul>   | <ul style="list-style-type: none"> <li>• Disbursements of advance payments to award recipients</li> </ul>  |
| 20 | a. Receive the award recipients' performance reports<br>b. Evaluate award recipients' performance against award agreements and document results<br>(GRM.040.020 Grant Award Performance Review)       |  | <ul style="list-style-type: none"> <li>• Performance reports from award recipients</li> <li>• Executed award agreements</li> </ul>                       | <ul style="list-style-type: none"> <li>• Award recipients' performance review results</li> </ul>   |

**BUSINESS USE CASE 080.GRM.L1.03 DISASTER GRANTS USING INTER-AGENCY AGREEMENT**

**Typical Flow of Events**

| #  | GRM Event   | Non-GRM Event | Input(s)   | Output(s) / Outcome(s)  |
|----|---|---------------|--|---|
| 21 | a. Receive the award recipients' financial reports<br>b. Evaluate award recipients' financial reports against award agreements and record results<br>c. Evaluate award recipients' financial and performance results to determine alignment of performance results with expenditures and record results<br>(GRM.040.030 Grant Award Financial Review) |               | <ul style="list-style-type: none"> <li>• Performance reports from award recipients</li> <li>• Financial reports from award recipients</li> <li>• Executed award agreements</li> </ul>  | <ul style="list-style-type: none"> <li>• Award recipients' financial review results</li> <li>• Alignment of performance results with expenditures</li> </ul>  |
| 22 | Evaluate performance and financial review results against award agreement for compliance and record results<br>(GRM.040.040 Grant Award Compliance Review)  |               | <ul style="list-style-type: none"> <li>• Award recipients' performance review results</li> <li>• Award recipients' financial review results</li> </ul>   | <ul style="list-style-type: none"> <li>• Award recipients' compliance review results</li> </ul>   |
| 23 | a. Obtain award recipients' audit reports containing findings from OMB designated source<br>b. Evaluate award recipients' audit findings and record results<br>(GRM.060.020 Grant Recipient Audit)  |               | <ul style="list-style-type: none"> <li>• Award recipient audit reports containing findings</li> </ul>  | <ul style="list-style-type: none"> <li>• Award recipients' audit reports evaluation results</li> </ul>  |
| 24 | a. Determine the awards where the period of performance is ending<br>b. Notify award recipients of award closeout<br>(GRM.040.050 Grant Award Closeout)   |               | <ul style="list-style-type: none"> <li>• Executed award agreements</li> </ul>  | <ul style="list-style-type: none"> <li>• Awards to be closed out</li> <li>• Closeout notifications to award recipients</li> </ul>   |
| 25 | a. Receive within required timeframe final financial, performance, and other reports required by the award agreements<br>b. Acknowledge receipt of final financial, performance, and other reports<br>c. Review acknowledged final financial, performance, and other reports within required timeframe<br>(GRM.040.050 Grant Award Closeout)          |               | <ul style="list-style-type: none"> <li>• Executed award agreements</li> <li>• Awards to be closed out</li> <li>• Final financial, performance, and other reports required by award agreements</li> <li>• Award recipients' performance review results to date</li> <li>• Award recipients' financial review results to date</li> </ul> | <ul style="list-style-type: none"> <li>• Acknowledged receipt of final financial, performance, and other reports</li> <li>• Award recipients' final financial, performance, and other reports review results</li> </ul> |

**BUSINESS USE CASE 080.GRM.L1.03 DISASTER GRANTS USING INTER-AGENCY AGREEMENT**

**Typical Flow of Events**

| #  | GRM Event   | Non-GRM Event   | Input(s)  | Output(s) / Outcome(s)   |
|----|---|---|---|--|
| 26 | Request confirmation that awards funds have been expended<br>(GRM.040.050 Grant Award Closeout)   |   | <ul style="list-style-type: none"> <li>• Awards to be closed out</li> </ul>   | <ul style="list-style-type: none"> <li>• Request for confirmation that awards funds have been expended</li> </ul>  |
| 27 |   | Confirm award funds have been expended<br>(FFM.030.020 Obligation Management)   | <ul style="list-style-type: none"> <li>• Request for confirmation that awards funds have been expended</li> </ul>   | <ul style="list-style-type: none"> <li>• Confirmation all awards funds have been expended</li> </ul>   |
| 28 | <ol style="list-style-type: none"> <li>Validate award closeout completion and acceptance of final reports</li> <li>Notify award recipients of acceptance of final reports</li> <li>Develop and provide request to closeout ability to post additional financial transactions for the awards</li> <li>Provide awards closeout information to OMB designated sources</li> </ol><br>(GRM.040.050 Grant Award Closeout) |   | <ul style="list-style-type: none"> <li>• Awards to be closed out</li> <li>• Confirmation award funds have been expended for awards to be closed out</li> <li>• Executed award agreements</li> <li>• Award recipients' final performance, financial, and other reports review results</li> </ul> | <ul style="list-style-type: none"> <li>• Awards closeout information</li> <li>• Notification of acceptance of award recipients' final reports</li> <li>• Request to closeout ability to post additional financial transactions for the awards</li> </ul> |
| 29 |   | Receive and process request to closeout ability to post additional financial transactions for the awards<br>(FFM.030.020 Obligation Management) | <ul style="list-style-type: none"> <li>• Request to closeout ability to post additional financial transactions for the awards</li> </ul>  | <ul style="list-style-type: none"> <li>• Appropriate entries created to closeout ability to post additional financial transactions for the awards with reference to source information</li> </ul>  |
| 30 | Prepare final award financial records, supporting documents, statistical records, and all other award records for record retention<br>(GRM.040.050 Grant Award Closeout)  |   | <ul style="list-style-type: none"> <li>• Program policies and procedures</li> <li>• Federal regulations and policy regarding records retention</li> </ul>   | <ul style="list-style-type: none"> <li>• Awards records prepared for storage</li> </ul>  |