

## Business Use Case 080.GRM.L2.02 Non-Competitive Grant with Overpayment

**End-to-End Business Process:** 080. Apply-to-Perform

### Business Scenario(s) Covered

- L2.05 Non-Competitive Discretionary Award
- L2.08 Grant Overpayment
- L2.14 Recapture of Funds

### Business Actor(s):

Grants Office, Program Office, Award Recipient, Finance Office

### Synopsis

The application is received in response to the non-competitive discretionary award funding opportunity for an organization performing innovative research. The application information is evaluated to review the project approach and budget. The award is approved, and funding is committed. The award agreement is developed. Funds are obligated, the payment method is set up, and the award agreement is executed. Each quarter, performance and financial reports are received and reviewed as appropriate. Each month, a reimbursement payment request is received and processed. Final quarterly performance and financial reports are received and reviewed, and a final reimbursement payment request is received and processed. After the end of the period of performance, award closeout activities are initiated. The final award recipient performance and financial reports are received and acknowledged. All award performance and financial reports are reviewed. During the review, an award overpayment is identified. The overpayment amount due from the award recipient is calculated. A notification is sent informing the award recipient of the overpayment and requesting repayment to the Government to recapture the funds. A request to establish a receivable due from the award recipient is submitted and processed. The repayment for the award overpayment amount is received and processed, and a payment confirmation is provided. After payment receipt is confirmed, the award close out activities are completed.

### 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 (near/real-time or batch) 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 has been passed, funding has been allocated to the program, and the program has been set up.
6. Indirect (F&A) cost rates have been established for the award recipient.
7. Because no issues/concerns are identified in quarterly performance or financial reports prior to close out, a compliance review is not conducted during the period of performance.
8. Expenditures are <\$750,000 during the award recipients' fiscal year; therefore, award recipient audits are not required or performed.
9. Program review and reporting are performed at the next program review cycle.

### Initiating Event

A funding opportunity has been published for a non-competitive discretionary award.

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### Typical Flow of Events

#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
1	<p>a. Receive, record, and acknowledge application submission</p> <p>b. Evaluate consistency with application submission instructions and record results (GRM.020.010 Grant Application Support and Receipt)</p>		<ul style="list-style-type: none"> <li>Application package</li> <li>Approved program package</li> <li>Published funding opportunity</li> </ul>	<ul style="list-style-type: none"> <li>Application receipt notification</li> <li>Validated application package</li> </ul>
2	<p>a. Review the application against the eligibility criteria and record results</p> <p>b. Conduct project approach, merit, and budget reviews of the application and record results</p> <p>c. Conduct risk review based on the risk evaluation criteria</p> <p>d. Determine and document applicant award recommendation, including award funding</p> <p>e. Route applicant award recommendation for review and approval (GRM.020.020 Grant Application Review and Selection)</p>		<ul style="list-style-type: none"> <li>Approved program package</li> <li>Published funding opportunity</li> <li>Validated application package</li> <li>Risk evaluation criteria</li> </ul>	<ul style="list-style-type: none"> <li>Application review results</li> <li>Award funding information</li> <li>Approved award applicant</li> </ul>
3	<p>Request funds availability check for commitment (GRM.020.020 Grant Application Review and Selection)</p>		<ul style="list-style-type: none"> <li>Award funding information</li> <li>Approved award applicant</li> </ul>	<ul style="list-style-type: none"> <li>Request for funds availability check for commitment</li> </ul>
4		<p>a. Receive and process request for funds availability check for commitment</p> <p>b. Provide response to funds availability check for commitment (FFM.010.020 Funds Allocation and Control)</p>	<ul style="list-style-type: none"> <li>Request for funds availability check for commitment</li> </ul>	<ul style="list-style-type: none"> <li>Response to funds availability check for commitment</li> </ul>
5	<p>a. Receive response to funds availability check for commitment</p> <p>b. Submit documentation for funds commitment (GRM.020.020 Grant Application Review and Selection)</p>		<ul style="list-style-type: none"> <li>Response to funds availability check for commitment</li> <li>Award funding information</li> <li>Approved award applicant</li> </ul>	<ul style="list-style-type: none"> <li>Funds commitment documentation</li> </ul>

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**Typical Flow of Events**

#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
6		a. Receive funds commitment documentation b. Commit funds for award applicant (FFM.030.020 Obligation Management)	<ul style="list-style-type: none"> <li>Funds commitment documentation</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate funds commitment entries created with reference to source information</li> </ul>
7	Notify approved applicant of award selection (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> <li>Approved award applicant</li> </ul>	<ul style="list-style-type: none"> <li>Approved award applicant's notification</li> </ul>
8	a. Develop, negotiate and document specific award terms and conditions b. Finalize award applicant budget c. Develop and route award agreement for review and approval (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> <li>Approved program package</li> <li>Published funding opportunity</li> <li>Approved award applicant</li> <li>Validated application package</li> </ul>	<ul style="list-style-type: none"> <li>Approved award agreement</li> </ul>
9	Request funds availability check for obligation (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> <li>Approved award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Request for funds availability check for obligation</li> </ul>
10		a. Receive and process request for funds availability check for obligation b. Provide response to funds availability check for obligation (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>
11	a. Receive response to funds availability check for obligation b. Submit documentation for funds obligation c. Issue the award agreement (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>

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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
12		a. Receive funds obligation documentation b. Obligate funds for award (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>
13	a. Receive from award recipient signed award agreement b. Record executed award agreement (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> <li>Signed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Executed award agreement</li> </ul>
14	a. Receive and verify award recipient bank information b. Route verified award recipient's bank information for payee set-up (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> <li>Award recipients' bank information</li> <li>Issued award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Verified award recipients' bank information</li> </ul>
15		Establish non-Federal payee information for recipient (FFM.030.010 Payee Set-up and Maintenance)	<ul style="list-style-type: none"> <li>Verified award recipient's bank information</li> <li>Issued award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Non-Federal payee account</li> </ul>
16	Provide award applicant information to OMB designated sources (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Published award information</li> </ul>
17	a. Receive award recipient's quarterly performance report b. Evaluate award recipient's quarterly performance report against award agreement and document results, as appropriate (GRM.040.020 Grant Award Performance Review)		<ul style="list-style-type: none"> <li>Quarterly performance report from award recipient</li> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Award recipient's quarterly performance review results</li> </ul>

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**Typical Flow of Events**

#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
18	a. Receive award recipient’s quarterly financial report b. Evaluate award recipient’s quarterly financial report against award agreement and record results c. Evaluate award recipient’s quarterly financial and performance results to determine alignment of performance results with expenditures and record results d. Calculate award liability accrual estimates for award recipient’s unbilled incurred costs identified in quarterly financial report and document results (GRM.040.030 Grant Award Financial Review)		<ul style="list-style-type: none"> <li>Quarterly performance report from award recipient</li> <li>Quarterly financial report from award recipient</li> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Award recipient’s quarterly financial review results</li> <li>Alignment of performance results with expenditures</li> <li>Award liability accrual estimate for award recipient’s unbilled incurred costs identified in quarterly financial report</li> </ul>
19		Receive and process award liability accrual estimate for award recipient’s unbilled incurred costs identified in quarterly financial report (FFM.090.030 Accrual and Liability Processing)	<ul style="list-style-type: none"> <li>Award liability accrual estimate for award recipient’s unbilled incurred costs identified in quarterly financial report</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate liability accrual estimate entries created with reference to source information</li> </ul>
20	a. Receive award recipient’s reimbursement payment request with supporting documentation, if applicable b. Approve award recipient reimbursement payment request c. Request funds availability check for reimbursement payment (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> <li>Award recipient’s reimbursement payment request</li> <li>Supporting documentation for award recipient reimbursement payment request</li> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Approved award recipient reimbursement payment request</li> <li>Request for funds availability check for reimbursement payment</li> </ul>

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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
21		a. Receive and process request for funds availability check for reimbursement payment b. Provide response to funds availability check for reimbursement payment (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> <li>Request for funds availability check for reimbursement payment</li> </ul>	<ul style="list-style-type: none"> <li>Response to funds availability check for reimbursement payment</li> </ul>
22	a. Receive response to funds availability check for reimbursement payment b. Submit disbursement request for reimbursement payment (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> <li>Response to funds availability check for reimbursement payment</li> </ul>	<ul style="list-style-type: none"> <li>Disbursement request for reimbursement payment</li> </ul>
23		Receive and process disbursement request for reimbursement payment (FFM.030.080 Payment Processing - Grant Payments)	<ul style="list-style-type: none"> <li>Disbursement request for reimbursement payment</li> </ul>	<ul style="list-style-type: none"> <li>Disbursement to award recipient</li> </ul>
24	a. Receive award recipient's final quarterly performance report b. Evaluate award recipient's final quarterly performance report against award agreement and document results, as appropriate (GRM.040.020 Grant Award Performance Review)		<ul style="list-style-type: none"> <li>Final quarterly performance report from award recipient</li> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Award recipient's final quarterly performance review results</li> </ul>

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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
25	a. Receive award recipient’s final quarterly financial report b. Evaluate award recipient’s final quarterly financial report against award agreement and record results c. Evaluate award recipient’s final quarterly financial and performance results to determine alignment of performance results with expenditures and record results d. Calculate award liability accrual estimates for award recipient’s unbilled incurred costs identified in final quarterly financial report and document results (GRM.040.030 Grant Award Financial Review)		<ul style="list-style-type: none"> <li>Final quarterly performance report from award recipient</li> <li>Final quarterly financial report from award recipient</li> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Award recipient’s final quarterly financial review results</li> <li>Alignment of performance results with expenditures</li> <li>Award liability accrual estimate for award recipient’s unbilled incurred costs identified in final financial report</li> </ul>
26		Receive and process award liability accrual estimate for award recipient’s unbilled incurred costs identified in final financial report (FFM.090.030 Accrual and Liability Processing)	<ul style="list-style-type: none"> <li>Award liability accrual estimate for award recipient’s unbilled incurred costs identified in final financial report</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate liability accrual estimate entries created with reference to source information</li> </ul>
27	a. Receive, review, and approve final reimbursement payment request b. Request funds availability check for reimbursement payment (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> <li>Award recipients’ final reimbursement payment request</li> </ul>	<ul style="list-style-type: none"> <li>Approved award recipient final reimbursement payment request</li> <li>Request for funds availability check for final reimbursement payments</li> </ul>
28		Receive and process request for funds availability check for final reimbursement payment (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> <li>Request for funds availability check for payment</li> </ul>	<ul style="list-style-type: none"> <li>Response to funds availability check for final reimbursement payment</li> </ul>

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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
29	a. Receive response to funds availability check for final reimbursement payment b. Submit final disbursement request (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> <li>Response to funds availability check for final reimbursement payment</li> </ul>	<ul style="list-style-type: none"> <li>Final disbursement request</li> </ul>
30		Receive and process final disbursement request (FFM.030.080 Payment Processing - Grant Payments)	<ul style="list-style-type: none"> <li>Final disbursement request</li> </ul>	<ul style="list-style-type: none"> <li>Final disbursement to award recipient</li> </ul>
31	a. Determine period of performance is ending for award b. Notify award recipient of award closeout (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> <li>Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>Closeout notification to award recipient</li> </ul>
32	a. Receive within required timeframe the final performance and financial reports required by the award agreement b. Acknowledge receipt of final performance and financial reports c. Review acknowledged final performance and financial reports d. Review all previous payments against performance and financial reports and award agreement e. Identify award overpayment and calculate amount owed (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> <li>Executed award agreement</li> <li>Final performance and financial reports required by award agreement</li> <li>Award recipient's performance review results to date</li> <li>Award recipient's financial review results to date</li> </ul>	<ul style="list-style-type: none"> <li>Acknowledged receipt of final performance and financial reports</li> <li>Award recipient's final performance and financial report review results</li> <li>Award overpayment amount</li> </ul>
33	a. Develop and provide award recipient repayment request for overpayment amount, including payment instructions b. Request establishment of receivable for the award overpayment amount (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> <li>Executed award agreement</li> <li>Award recipient's final performance and financial report review results</li> <li>Award overpayment amount</li> </ul>	<ul style="list-style-type: none"> <li>Award recipient repayment request for overpayment amount, including payment instructions</li> <li>Request for establishment of receivable for award overpayment amount</li> </ul>



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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
34		a. Receive and process request for establishment of receivable for award overpayment amount b. Provide confirmation for establishment of receivable for award overpayment amount (FFM.060.020 Public Receivable Set up and Invoicing)	<ul style="list-style-type: none"> <li>• Request for establishment of receivable for award overpayment amount</li> <li>• Executed award agreement</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriate general ledger entries created with reference to source information</li> <li>• Confirmation for establishment of receivable for award overpayment amount</li> </ul>
35	Receive and document confirmation for establishment of receivable for award overpayment amount (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> <li>• Confirmation for establishment of receivable for overpayment amount</li> </ul>	<ul style="list-style-type: none"> <li>• Documented confirmation for establishment of receivable for award overpayment amount</li> </ul>
36		a. Receive and process repayment and deposit information for award overpayment b. Provide confirmation of receipt of repayment for award overpayment (FFM.060.040 Public Receipt Processing)	<ul style="list-style-type: none"> <li>• Repayment and deposit information for award overpayment</li> </ul>	<ul style="list-style-type: none"> <li>• Appropriate general ledger entries created with reference to source information</li> <li>• Confirmation of receipt of repayment for award overpayment</li> </ul>
37	a. Receive confirmation of repayment for award overpayment b. Request confirmation that award funds have been expended for award to be closed out (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> <li>• Confirmation of repayment for award overpayment</li> <li>• Award to be closed out</li> </ul>	<ul style="list-style-type: none"> <li>• Request for confirmation that award funds have been expended for award to be closed out</li> </ul>

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**Typical Flow of Events**

#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
38		Confirm award funds have been expended for award to be closed out  (FFM.030.020 Obligation Management)	<ul style="list-style-type: none"> <li>Request for confirmation that award funds have been expended for award to be closed out</li> </ul>	<ul style="list-style-type: none"> <li>Confirmation award funds have been expended for award to be closed out</li> </ul>
39	a. Validate award closeout completion and acceptance of final reports and record results b. Notify award recipient of acceptance of final closeout reports c. Develop and provide request to closeout ability to post additional financial transactions for the awards d. Provide award closeout information to OMB designated sources (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> <li>Confirmation award funds have been expended for award to be closed out</li> <li>Executed award agreement</li> <li>Award recipient's final performance and financial report review results</li> </ul>	<ul style="list-style-type: none"> <li>Award closeout information</li> <li>Notification of acceptance of award recipient's final reports</li> <li>Request to closeout ability to post additional financial transactions for the awards</li> </ul>
40		Receive and process request to closeout ability to post additional financial transactions for the awards  (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>
41	Prepare final award financial records, supporting documents, statistical records, and all other award records for records retention  (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>Award records prepared for storage</li> </ul>