

8.1.1 Discretionary Grants with Cost Share Requirement

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

Business Scenario(s) Covered

- L1.01. Discretionary Award
- L1.22. Non-Profit Organization
- L1.17. Cost Share or Match
- L1.08. Negotiation of Indirect (F&A) Cost Rates
- L1.07. Indirect (F&A) Costs
- L1.06. Reimbursement Payment
- L1.11. Award Extension

Business Actor(s)

Primary: Program Office, Grants Office, Award Recipient

Other: Finance Office; Budget Office, Cognizant or Oversight Agency for Indirect (F&A) Cost Rate Negotiation

Synopsis

The program authority, funding, applicable regulations, and policies are confirmed for a new discretionary program that includes a mandatory cost share requirement. The program eligibility includes non-profit organizations. The program scope, objectives, description, performance goals, and procedures are developed and documented in the program package. A grant is selected as the appropriate award instrument. The grant program funding and spend plan is developed, and funds are allocated to the program. The Catalog of Federal Domestic Assistance (CFDA) identifier is obtained. The funding opportunity is developed with the cost share requirement and is published. Applications are received and evaluated for eligibility and merit. Applicants for award are selected, and risk reviews are conducted. Applicants for award are approved, and funding is committed. For selected and approved non-profit organization applicants without approved indirect (F&A) cost rates, provisional indirect (F&A) cost rates are negotiated by the cognizant agency based on the standards for non-profit organizations and are provided to the Federal awarding agency. The award agreements are developed, including terms and conditions that specify the cost share, indirect (F&A) cost rates, and reimbursement. Funds are obligated, and the award agreements are executed. Payment methods are set up. Reimbursement payment requests are received and processed. Performance and financial reports are received from the award recipients and reviewed, as appropriate. As the period of performance is ending, requests for period of performance extensions are received. Requests are evaluated and approved, and award modifications are executed. After the periods of performance expire and cost share is confirmed, 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. Cost share requirements are fulfilled through pledged cash contributions to cover expenditures.
6. Because no issues/concerns are identified in performance or financial reports, no compliance reviews are conducted during the period of performance.
7. Expenditures are <\$750,000 during the award recipients' fiscal year; therefore, grant recipient audits are not required or performed.
8. The award recipient has adequate funds to complete performance element identified in the extension request.
9. All of the funds awarded to award recipients are expended prior to being closed out.
10. There are no grant overpayments resulting in receivables due to the Federal government.
11. No property is owed to the grant-making Federal agency.
12. Program review and reporting are performed at the next program review cycle.

Initiating Events

Authorizing legislation has been passed.

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Typical Flow of Events

#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
1		<ul style="list-style-type: none"> a. Receive appropriation warrant b. Request and receive apportionment c. Request program funding and spend plan (BFM.030.010 Budget Operating/Spend Plan Development) 	<ul style="list-style-type: none"> • Program authorizing legislation • Appropriation warrant • OMB-approved apportionment 	<ul style="list-style-type: none"> • Apportionment request • Approved apportionment information • Request for program funding and spend plan
2		Record appropriation and apportionment (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> • Appropriation warrant • Approved apportionment information 	<ul style="list-style-type: none"> • Appropriate appropriation and apportionment funding entries created with reference to source information
3	<ul style="list-style-type: none"> a. Develop and document the program scope, objectives, description, and performance goals b. Determine the award instrument and document in program package c. Document applicable regulations, policies, and cost share requirement in program package d. Route draft program package for review and approval (GRM.010.010 Grant Program Set-up and Maintenance)		<ul style="list-style-type: none"> • Program authorizing legislation, regulatory, and statutory information • Applicable regulations and policies 	<ul style="list-style-type: none"> • Approved program package
4	<ul style="list-style-type: none"> a. Receive request for program funding and spend plan b. Develop, review, and submit program funding and spend plan (GRM.010.010 Grant Program Set-up and Maintenance)		<ul style="list-style-type: none"> • Request for program funding and spend plan 	<ul style="list-style-type: none"> • Draft program funding and spend plan
5		Receive, review, and approve draft program funding and spend plan (BFM.020.010 Budget Planning)	<ul style="list-style-type: none"> • Draft program funding and spend plan 	<ul style="list-style-type: none"> • Approved program funding and spend plan

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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
6		Record program funding allocation (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> Approved program funding and spend plan 	<ul style="list-style-type: none"> Appropriate allocation funding entries created with reference to source information
7	a. Develop and submit the application for the program CFDA identifier b. Receive and document the program CFDA identifier (GRM.010.010 Grant Program Set-up and Maintenance)		<ul style="list-style-type: none"> Approved program package CFDA identifier 	<ul style="list-style-type: none"> CFDA application Documented CFDA identifier
8	a. Develop the application instructions and submission and review process b. Determine the eligibility criteria, merit review criteria and review process c. Develop the risk evaluation criteria d. Develop, review, route for approval, and publish the funding opportunity (GRM.010.020 Grant Program Funding Opportunity)		<ul style="list-style-type: none"> Documented CFDA identifier Approved program package Approved program funding and spend plan 	<ul style="list-style-type: none"> Application submission and review process Risk evaluation criteria Published funding opportunity
9	a. Establish applicant account and access, if needed b. Receive and respond to requests for additional information regarding the funding opportunity c. Publish responses to requests for additional information regarding the funding opportunity, as appropriate (GRM.020.010 Grant Application Support and Receipt)		<ul style="list-style-type: none"> Approved program package Published funding opportunity 	<ul style="list-style-type: none"> Applicant accounts and access established Published responses to requests for additional information regarding the funding opportunity
10	a. Receive, record and acknowledge application submissions and resubmissions b. Evaluate consistency with application submission instructions and record results c. Notify applicants of incomplete submissions (GRM.020.010 Grant Application Support and Receipt)		<ul style="list-style-type: none"> Application package Approved program package Published funding opportunity 	<ul style="list-style-type: none"> Application receipt notifications Validated application package Non-compliant application notifications
11	a. Identify, approve, and document application reviewers b. Develop, approve, and provide the application review schedule to reviewers (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> Approved program package Published funding opportunity 	<ul style="list-style-type: none"> Approved list of application reviewers Approved application review schedule

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12	Review the applications against the eligibility criteria, determine eligible applications, and record results (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> • Application review process • Published funding opportunity • Validated application packages 	<ul style="list-style-type: none"> • Eligible applications
13	<ol style="list-style-type: none"> Conduct merit and budget reviews of the applications and record results Select applicants for potential award Conduct risk reviews based on the risk evaluation criteria Determine and document applicant award recommendations, including award funding Route applicant award recommendations for review and approval (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> • Eligible applications • Application review process • Risk evaluation criteria • Approved program package • Published funding opportunity 	<ul style="list-style-type: none"> • Applications review results • Awards funding information • Approved award applicants
14	Request funds availability check for commitment (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> • Awards funding information • Approved award applicants 	<ul style="list-style-type: none"> • Request funds availability check for commitment
15		<ol style="list-style-type: none"> Receive and process request for funds availability check for commitment Provide response to funds availability check for commitment (FFM.010.020 Funds Allocation and Control)	<ul style="list-style-type: none"> • Request funds availability check for commitment 	<ul style="list-style-type: none"> • Response to funds availability check for commitment
16	<ol style="list-style-type: none"> Receive response to funds availability check for commitment Submit documentation for funds commitment (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> • Response to funds availability check for commitment • Awards funding information • Approved award applicants 	<ul style="list-style-type: none"> • Funds commitment documentation

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#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
17		a. Receive funds commitment documentation b. Commit funds for award applicants (FFM.030.020 Obligation Management)	<ul style="list-style-type: none"> Funds commitment documentation 	<ul style="list-style-type: none"> Appropriate funds commitment entries created with reference to source information
18	Notify approved applicants of award selection (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> Approved award applicants 	<ul style="list-style-type: none"> Approved award applicants' notifications
19	Receive provisional indirect (F&A) cost rate information from cognizant or oversight agency for award recipients (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Approved award applicants Award applicants provisional indirect (F&A) cost rate information 	<ul style="list-style-type: none"> Provisional award applicant indirect (F&A) cost rate information for award agreements
20	a. Develop, negotiate and document specific award terms and conditions b. Finalize award applicant budgets and include provisional indirect (F&A) cost rate information c. Develop and route award agreements for review and approval (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Approved program package Published funding opportunity Eligible applications Approved award applicants Provisional award applicant indirect (F&A) cost rate information for award agreements 	<ul style="list-style-type: none"> Approved award agreements
21	Request for funds availability check for obligation (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Approved award agreements 	<ul style="list-style-type: none"> Request for funds availability check for obligation
22		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"> Request for funds availability check for obligation 	<ul style="list-style-type: none"> Response to funds availability check for obligation

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23	a. Receive response to funds availability check for obligation b. Submit documentation for funds obligation c. Issue the award agreements (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Response to funds availability check for obligation 	<ul style="list-style-type: none"> Funds obligation documentation Issued award agreements
24		a. Receive funds obligation documentation b. Obligate funds for awards (FFM.030.020 Obligation Management)	<ul style="list-style-type: none"> Funds obligation documentation 	<ul style="list-style-type: none"> Appropriate funds obligation entries created with reference to source information
25	a. Receive from award recipients signed award agreements b. Record executed award agreements (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Signed award agreements 	<ul style="list-style-type: none"> Executed award agreements
26	a. Receive and verify award recipients bank information b. Route verified award recipients' bank information for payee set-up (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Award recipients' bank information Executed award agreements 	<ul style="list-style-type: none"> Verified award recipients' bank information
27		Establish non-Federal payee information for each recipient (FFM.030.010 Payee Set-up and Maintenance)	<ul style="list-style-type: none"> Verified award recipients' bank information Executed award agreements 	<ul style="list-style-type: none"> Non-Federal payee accounts
28	a. Provide award and unsuccessful applicants information to OMB designated sources b. Notify unsuccessful applicants (GRM.030.010 Grant Award Issuance)		<ul style="list-style-type: none"> Executed award agreements Applications review results 	<ul style="list-style-type: none"> Published award information Unsuccessful applicant notifications
29	a. Receive award recipients' reimbursement payment requests with supporting documentation, if applicable b. Approve award recipients' reimbursement payment request c. Request funds availability check for reimbursement payment (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> Award recipients' reimbursement payment requests Supporting documentation for award recipients' reimbursement payment requests Executed award agreements 	<ul style="list-style-type: none"> Approved award recipient reimbursement payment request Request for funds availability check for reimbursement payments

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30		a. Receive and process requests for funds availability check for reimbursement payments b. Provide response to funds availability check for reimbursement payments (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> Request for funds availability check for reimbursement payment 	<ul style="list-style-type: none"> Response to funds availability check for reimbursement payment
31	a. Receive response to funds availability check for reimbursement payments b. Submit disbursement requests for reimbursement payments (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> Response to funds availability check for reimbursement payments 	<ul style="list-style-type: none"> Disbursement requests for reimbursement payments
32		Receive and process disbursement requests for reimbursement payments (FFM.030.080 Payment Processing - Grant Payments)	<ul style="list-style-type: none"> Disbursement requests for reimbursement payments 	<ul style="list-style-type: none"> Disbursement to award recipients
33	a. Receive award recipients' final indirect (F&A) costs rate information from cognizant or oversight agency for award recipients with provisional rates b. Modify award agreements for award recipients with final indirect (F&A) cost rate information c. Issue award modifications (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> Award recipient provisional indirect (F&A) cost rate information Award recipient final indirect (F&A) cost rate information 	<ul style="list-style-type: none"> Issued award modifications
34	a. Receive from award recipients signed award modifications b. Record executed award modifications (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> Signed award modifications 	<ul style="list-style-type: none"> Executed award modifications
35	Provide award modification information to OMB designated sources (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> Executed award modifications 	<ul style="list-style-type: none"> Published award modifications information

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36	<p>a. Receive award recipients' performance reports</p> <p>b. Evaluate award recipients' performance reports against award agreements and document results, as appropriate</p> <p>(GRM.040.020 Grant Award Performance Review)</p>		<ul style="list-style-type: none"> • Performance reports from award recipients • Executed award agreements and modifications 	<ul style="list-style-type: none"> • Award recipients' performance review results
37	<p>a. Receive award recipients' financial reports, including cost share information</p> <p>b. Evaluate award recipients' financial reports against award agreements, including cost share information and record results</p> <p>c. Evaluate award recipients' financial and performance results to determine alignment of performance results with expenditures and record results</p> <p>d. Calculate award liability accrual estimates for award recipients' unbilled incurred costs identified in financial reports and document results</p> <p>(GRM.040.030 Grant Award Financial Review)</p>		<ul style="list-style-type: none"> • Performance reports from award recipients • Financial reports from award recipients • Executed award agreements and modifications • Cost share information 	<ul style="list-style-type: none"> • Award recipients' financial review results • Alignment of performance results with expenditures • Award liability accrual estimates for award recipients' unbilled incurred costs identified in financial reports
38		<p>Receive and process award liability accrual estimates for award recipients' unbilled incurred costs identified in financial reports</p> <p>(FFM.090.030 Accrual and Liability Processing)</p>	<ul style="list-style-type: none"> • Award liability accrual estimates for award recipients' unbilled incurred costs identified in financial reports 	<ul style="list-style-type: none"> • Appropriate liability accrual estimates entries created with reference to source information
39	<p>a. Receive, record, and acknowledge requests for award period of performance extension</p> <p>b. Evaluate requests for award period of performance extensions and record results</p> <p>c. Modify award agreements for award period of performance extensions, and route for review and approval</p> <p>d. Issue award modifications for award period of performance extensions</p> <p>(GRM.040.010 Grant Award Modification)</p>		<ul style="list-style-type: none"> • Period of performance extension requests 	<ul style="list-style-type: none"> • Issued award modifications for period of performance extensions

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40	a. Receive from award recipients signed award modifications b. Record executed award modifications (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> Signed award modifications 	<ul style="list-style-type: none"> Executed award modifications
41	Provide award extension information to OMB designated sources (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> Executed award modifications 	<ul style="list-style-type: none"> Published award extension information
42	a. Determine the awards where the period of performance is ending b. Notify award recipients of award closeout (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> Executed award agreements and modifications 	<ul style="list-style-type: none"> Awards to be closed out Closeout notifications to award recipients
43	a. Receive within required timeframe final financial, performance, and other reports, including cost share information, required by the award agreements b. Acknowledge receipt of final financial, performance, and other reports c. Review acknowledged final financial, performance, and other reports within required timeframe and capture results (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> Executed award agreements and modifications Awards to be closed out Final financial, performance, and other reports required by award agreements and modifications Award recipients' performance review' results to date Award recipients' financial review' results to date 	<ul style="list-style-type: none"> Acknowledged receipt of final financial, performance, and other reports Award recipients' final performance, financial, and other reports review results
44	a. Receive, review, and approve final reimbursement payment requests b. Request funds availability check for reimbursement payments (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> Award recipients' final reimbursement payment requests 	<ul style="list-style-type: none"> Approved award recipient final reimbursement payment requests Request for funds availability check for final reimbursement payments
45		Receive and process requests for funds availability check for final reimbursement payments (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> Request for funds availability check for payment 	<ul style="list-style-type: none"> Response to funds availability check for final reimbursement payments

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46	a. Receive response to funds availability check for final reimbursement payments b. Submit final disbursement requests (GRM.030.020 Grant Award Payment Processing)		<ul style="list-style-type: none"> Response to funds availability check for final reimbursement payments 	<ul style="list-style-type: none"> Final disbursement requests
47		Receive and process final disbursement requests (FFM.030.080 Payment Processing - Grant Payments)	<ul style="list-style-type: none"> Final disbursement requests 	<ul style="list-style-type: none"> Final disbursement to award recipients
48	Request confirmation that award funds have been expended for awards to be closed out (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> Awards to be closed out 	<ul style="list-style-type: none"> Request for confirmation that award funds have been expended for awards to be closed out
49		Confirm award funds have been expended for awards to be closed out (FFM.030.020 Obligation Management)	<ul style="list-style-type: none"> Request for confirmation that award funds have been expended for awards to be closed out 	<ul style="list-style-type: none"> Confirmation award funds have been expended for awards to be closed out
50	a. Validate awards closeout completion and acceptance of final reports and record results b. Notify award recipients of acceptance of final closeout reports c. Provide awards closeout information to OMB designated sources (GRM.040.050 Grant Award Closeout)		<ul style="list-style-type: none"> Awards to be closed out Confirmation award funds have been expended for awards to be closed out Executed award agreements and modifications Award recipients' final performance, financial, and other reports review results 	<ul style="list-style-type: none"> Awards closeout information Notification of acceptance of award recipients' final reports
51	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"> Program policies and procedures Federal regulations and policy regarding records retention 	<ul style="list-style-type: none"> Awards records prepared for storage