

8.1.2 Non-Discretionary Grants to State/Local Governments with Sub-Awards

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

Business Scenario(s) Covered

- L1.02. Non-Discretionary Award
- L1.21. State and Local Government
- L1.05. Advance Payment
- L1.16. Sub-Award

Business Actor(s)

Primary: Program Office; Grants Office; Award Recipient

Other: Finance Office; Sub-Award Recipient

Synopsis

A notification is made to state/local government award recipients of additional funding available under an existing non-discretionary award program for the fiscal year. Requests are made for updated award recipients' program/project plans. Plans are received and reviewed. Funding for awards is determined based on the existing program funding formula calculation, and funding is committed. Additional funds are obligated, and modifications to award agreements are executed. Advance payments are issued. Sub-awards are issued by state/local governments. Performance, financial, and compliance reports, including evidence of sub-award recipient reviews, are provided by the state/local governments and reviewed by the Federal agency. Audits of sub-award recipients are performed by the state/local governments during the fiscal year, and results are reviewed by the Federal agency, as needed.

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 has been passed, and the program has been set up.
6. The program is ongoing and funded with annual appropriations.
7. A program review was performed, and it was determined that funding would be reallocated.
8. The existing funding award formula calculation is utilized for all subsequent funding allocations.
9. All of the funds awarded to award recipients are expended.
10. Grant program reporting and review are performed at the next program review cycle.

Initiating Events

Additional program funding has been received during the fiscal year.

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Typical Flow of Events

#	GRM Event	Non-GRM Event	Input(s)	Output(s) / Outcome(s)
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1	Develop, review, approve, and distribute notification to existing award recipients of additional funding availability and request for an updated program/project plan (GRM.010.020 Grant Funding Opportunity Opportunity)		<ul style="list-style-type: none"> • Approved program package • Approved program funding and spend plan 	<ul style="list-style-type: none"> • Notification to existing award recipients of additional funding availability and request for an updated program/project plan
2	<ol style="list-style-type: none"> Receive and record award recipients' updated project plan information Contact award recipients with questions concerning plans and receive clarifications Evaluate program/project plan and record results Determine funding for awards, based on the existing program funding formula calculation Route program/project plan and funding for review and approval (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> • Existing program/project plan • Updated program/project plan • Plan clarifications • Existing program funding formula calculation 	<ul style="list-style-type: none"> • Approved program/project plans • Awards funding information
3	Request funds availability check for commitment (GRM.020.020 Grant Application Review and Selection)		<ul style="list-style-type: none"> • Approved program/project plans • Awards funding information 	<ul style="list-style-type: none"> • Request for funds availability check for commitment
4		<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 for funds availability check for commitment 	<ul style="list-style-type: none"> • Response to funds availability check for commitment

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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"> • Response to funds availability check for commitment • Approved program/project plans • Awards funding information 	<ul style="list-style-type: none"> • Funds commitment documentation
6		<p>a. Receive funds commitment documentation</p> <p>b. Commit funds for award recipients (FFM.030.020 Obligation Management)</p>	<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
7	<p>a. Modify award agreements to reflect additional funding</p> <p>b. Route award agreement modifications for review and approval (GRM.040.010 Grant Award Modification)</p>		<ul style="list-style-type: none"> • Approved program/project plans • Awards funding information 	<ul style="list-style-type: none"> • Approved award agreement modifications
8	Request funds availability check for obligation of additional funds (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> • Approved award agreement modifications 	<ul style="list-style-type: none"> • Request for funds availability check for obligation of additional funds
9		<p>a. Receive and process request funds availability check for obligation of additional funds</p> <p>b. Provide response to request funds availability check for obligation of additional funds (FFM.010.020 Funds Allocation and Control)</p>	<ul style="list-style-type: none"> • Request for funds availability check for obligation of additional funds 	<ul style="list-style-type: none"> • Response to funds availability check for obligation of additional funds

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10	<ul style="list-style-type: none"> a. Receive response to funds availability check for obligation of additional funds b. Submit documentation for obligation of additional funds c. Issue the award agreement modifications (GRM.040.010 Grant Award Modification) 		<ul style="list-style-type: none"> • Response to funds availability check for obligation of additional funds 	<ul style="list-style-type: none"> • Obligation of additional funds documentation • Issued award agreements
11		<ul style="list-style-type: none"> a. Receive obligation of additional funds documentation b. Obligate additional funds for awards (FFM.030.020 Obligation Management) 	<ul style="list-style-type: none"> • Obligation of additional funds documentation 	<ul style="list-style-type: none"> • Appropriate funds obligation entries created with reference to source information
12	<ul style="list-style-type: none"> a. Receive from award recipients signed award agreement modifications b. Record executed award agreement modifications (GRM.040.010 Grant Award Modification) 		<ul style="list-style-type: none"> • Signed award agreement modifications 	<ul style="list-style-type: none"> • Executed award agreement modifications
13	Provide award modifications information to OMB designated sources (GRM.040.010 Grant Award Modification)		<ul style="list-style-type: none"> • Executed award agreement modifications 	<ul style="list-style-type: none"> • Published awards modifications information
14	<ul style="list-style-type: none"> a. Receive, review and approve awards advance payment requests b. Request funds availability check for advance payments (GRM.030.020 Grant Award Payment Processing) 		<ul style="list-style-type: none"> • Executed award agreement modifications 	<ul style="list-style-type: none"> • Awards advance payment requests • Request for funds availability check for advance payment
15		Receive and process requests for funds availability check (FFM.010.020 Fund Allocation and Control)	<ul style="list-style-type: none"> • Request for funds availability check for advance payments 	<ul style="list-style-type: none"> • Response to funds availability check for advance payments
16	<ul style="list-style-type: none"> a. Receive response to funds availability check for advance payments b. Submit disbursement requests for advance payments (GRM.030.020 Grant Award Payment Processing) 		<ul style="list-style-type: none"> • Response to funds availability check for advance payment 	<ul style="list-style-type: none"> • Disbursement requests for advance payments

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17		Receive and process advance payments disbursement requests (FFM.030.080 Payment Processing - Grant Payments)	<ul style="list-style-type: none"> Disbursement requests for advance payments 	<ul style="list-style-type: none"> Disbursement to award recipients
18	a. Receive from the award recipients consolidated performance reports containing sub-award recipients' performance b. Evaluate consolidated performance reports against award agreement and record results (GRM.040.020 Grant Award Performance Review)		<ul style="list-style-type: none"> Award recipients' consolidated performance reports Executed award agreements and modifications 	<ul style="list-style-type: none"> Award recipients' consolidated performance reviews results
19	a. Receive from the award recipients consolidated financial reports containing sub-award recipients' financial information b. Evaluate consolidated financial reports against award agreement and record results c. Evaluate consolidated financial and performance reports to determine alignment of performance results with expenditures and record results (GRM.040.030 Grant Award Financial Review)		<ul style="list-style-type: none"> Award recipients' consolidated performance reports Award recipients' consolidated financial reports Executed award agreements and modifications 	<ul style="list-style-type: none"> Award recipients' consolidated financial reviews results Alignment of performance results with expenditures
20	a. Receive from the award recipients' consolidated compliance reports containing sub-award recipients' compliance review results b. Evaluate consolidated compliance reports against award agreement terms and conditions and document results (GRM.040.040 Grant Award Compliance Review)		<ul style="list-style-type: none"> Award recipients' consolidated compliance reports Executed award agreements and modifications 	<ul style="list-style-type: none"> Award recipients' consolidated compliance review results
21	a. Obtain selected sub-award recipients' audit reports from OMB designated source b. Evaluate selected sub-award recipient audit reports and record results (GRM.060.020 Grant Recipient Audit)		<ul style="list-style-type: none"> Sub-award recipients' audit reports Executed award agreements and modifications 	<ul style="list-style-type: none"> Sub-award recipients' audit evaluation results