

8.1.4 Cooperative Agreements with Institutions of Higher Education

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

Business Scenario(s) Covered

- L1.01 Discretionary Award
- L1.19. Institution of Higher Education
- L1.12. Agency Involvement under Cooperative Agreement
- L1.07. Indirect (F&A) Costs
- L1.23. Award Recipient Requiring Risk Mitigation
- L1.06. Reimbursement Payment
- L1.14. Recipient Expenditure Requiring Audit
- L1.10. Award Renewal

Business Actor(s)

Primary: Grants Office, Award Recipient

Other: Program Office, Finance Office, Budget Office, Cognizant or Oversight Agency for Audit

Synopsis

The grant program package is developed with a cooperative agreement as the instrument for discretionary awards to Institutions of Higher Education (IHE). The funding opportunity is developed, documenting the Federal agency involvement, and is published. Applications are received and evaluated for eligibility and merit. Applicants for award are selected, and risk reviews are conducted. Some selected applicants for award are identified as requiring specific conditions to mitigate risk. Applicants for award are approved, and funding is committed. The cooperative agreements are developed with the award terms and conditions, providing a description of the Federal agency involvement, reimbursement, and specific conditions for selected applicants for award requiring risk mitigation. The award agreement specifies the previously negotiated indirect cost rates. Funds are obligated, and the award agreements are executed. Reimbursement payment requests are received and processed. During the period of performance, performance and financial reports are received from award recipients and reviewed as appropriate. Award recipients are audited during the fiscal year. Corrective action plans are developed by award recipients in response to findings and made available. A management decision letter is issued. Award recipients' follow up actions are completed, and issues are resolved. Additional funding for the program is received during the fiscal year from reallocation of program funds. A funding opportunity is developed and issued for renewals of existing awards. Applications for renewals are received, award recipients are selected and approved, and funds are committed. Additional funding is obligated for the award renewals, and award agreement modifications are executed.

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, and funding has been allocated to the program.
6. Indirect (F&A) cost rates have already been established for award recipients.
7. All of the initial funds awarded to award recipients are expended.
8. Because of the level of the Federal agency involvement, no compliance reviews are conducted during the current fiscal year.
9. Renewal awards are not considered new awards by the agency.
10. A grant program review was performed, and it was determined that funding would be reallocated.
11. Closeout of the initial awards and program is deferred because of the award renewals.

Initiating Events

Funding has been allocated to the program.

8.1.4 Cooperative Agreements with Institutions of Higher Education

Typical Flow of Events

| # | GRM Event | Non-GRM Event | Input(s) | Output(s) / Outcome(s) |
|---|---|---|---|---|
| 1 | <p>a. Develop and document the program scope, objectives, description and performance goals</p> <p>b. Determine the award instrument and document in program package</p> <p>c. Document applicable regulations and policies in program package</p> <p>d. Determine and document the level of Federal agency involvement</p> <p>e. Route draft program package for review and approval</p> <p>(GRM.010.010 Grant Program Set-up and Maintenance)</p> | | <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 |
| 2 | <p>a. Receive request for program funding and spend plan</p> <p>b. Develop, review, and submit program funding and spend plan</p> <p>(GRM.010.010 Grant Program Set-up and Maintenance)</p> | | <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 |
| 3 | | <p>Receive, review, and approve draft program funding and spend plan</p> <p>(BFM.020.010 Budget Planning)</p> | <ul style="list-style-type: none"> • Draft program funding and spend plan | <ul style="list-style-type: none"> • Approved program funding and spend plan |
| 4 | | <p>Record program funding allocation</p> <p>(FFM.010.020 Fund Allocation and Control)</p> | <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 |
| 5 | <p>a. Develop and submit the application for the program CFDA identifier</p> <p>b. Receive and document the program CFDA identifier</p> <p>(GRM.010.010 Grant Program Set-up and Maintenance)</p> | | <ul style="list-style-type: none"> • Approved program package • CFDA identifier | <ul style="list-style-type: none"> • CFDA application • Documented CFDA identifier |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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| # | GRM Event | Non-GRM Event | Input(s) | Output(s) / Outcome(s) |
|----|--|---------------|---|--|
| 6 | <p>a. Develop the application instructions and submission and review process</p> <p>b. Determine the eligibility criteria, merit review criteria and review process</p> <p>c. Develop the risk evaluation criteria</p> <p>d. Develop, review, route for approval, and publish the funding opportunity</p> <p>(GRM.010.020 Grant Program Funding Opportunity)</p> | | <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 |
| 7 | <p>a. Receive and respond to requests for additional information regarding the funding opportunity</p> <p>b. Publish responses to requests for additional information regarding the funding opportunity, as appropriate</p> <p>a. (GRM.020.010 Grant Application Support and Receipt)</p> | | <ul style="list-style-type: none"> • Approved program package • Published funding opportunity | <ul style="list-style-type: none"> • Published responses to requests for additional information regarding the funding opportunity |
| 8 | <p>b. Receive, record and acknowledge application submissions and resubmissions</p> <p>c. Acknowledge receipt of applicant submissions</p> <p>d. Evaluate consistency with application submission instructions and record results</p> <p>e. Notify applicants of incomplete submissions</p> <p>(GRM.020.010 Grant Application Support and Receipt)</p> | | <ul style="list-style-type: none"> • Application packages • Approved program package • Published funding opportunity | <ul style="list-style-type: none"> • Application receipt notifications • Validated application packages • Non-compliant application notifications |
| 9 | <p>a. Identify, approve, and document application reviewers</p> <p>b. Develop, approve, and provide the application review schedule to reviewers</p> <p>(GRM.020.020 Grant Application Review and Selection)</p> | | <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 |
| 10 | <p>Review the applications against the eligibility criteria, determine eligible applications, and record results</p> <p>(GRM.020.020 Grant Application Review and Selection)</p> | | <ul style="list-style-type: none"> • Validated application packages • Application review process • Published funding opportunity • Approved program package | <ul style="list-style-type: none"> • Eligible applications • Applications review results |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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|----|--|---|--|---|
| 11 | <p>a. Conduct merit and budget reviews of the applications and record results</p> <p>b. Select applicants for potential award</p> <p>c. Conduct risk reviews based on the risk evaluation criteria, identifying applicants requiring specific conditions for award risk mitigation</p> <p>d. Determine risk mitigation strategy for applicants requiring specific conditions</p> <p>e. Determine and document applicant award recommendations, including award funding and risk mitigation strategy for applicants requiring specific conditions</p> <p>f. Route applicant award recommendations for review and approval</p> <p>(GRM.020.020 Grant Application Review and Selection)</p> | | <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 • Approved risk mitigation strategies |
| 12 | <p>Request funds availability check for commitment</p> <p>(GRM.020.020 Grant Application Review and Selection)</p> | | <ul style="list-style-type: none"> • Awards funding information • Approved award applicants | <ul style="list-style-type: none"> • Request for funds availability check for commitment |
| 13 | | <p>a. Receive and process request for funds availability check for commitment</p> <p>b. Provide response to request for funds availability check for commitment</p> <p>(FFM.010.020 Funds Allocation and Control)</p> | <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 |
| 14 | <p>a. Receive response to funds availability check for commitment</p> <p>b. Submit documentation for funds commitment</p> <p>(GRM.020.020 Grant Application Review and Selection)</p> | | <ul style="list-style-type: none"> • Response to funds availability check for commitment • Awards funding information • Approved award applicants • Awards funding information | <ul style="list-style-type: none"> • Funds commitment documentation |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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|----|---|--|---|---|
| 15 | | 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 |
| 16 | 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 |
| 17 | a. Develop, negotiate and document award terms and conditions, identifying IHE indirect cost rates and specific conditions for award applicants requiring risk mitigation b. Finalize award applicant budgets 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 | <ul style="list-style-type: none"> Approved award agreements |
| 18 | Request 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 |
| 19 | | 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 |
| 20 | 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 |

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|----|---|---|--|--|
| 21 | | <ul style="list-style-type: none"> 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 |
| 22 | <ul style="list-style-type: none"> 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 |
| 23 | <ul style="list-style-type: none"> 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 |
| 24 | | 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 |
| 25 | <ul style="list-style-type: none"> 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 |
| 26 | <ul style="list-style-type: none"> a. Receive and review award recipients' reimbursement payment requests with supporting documentation, if applicable b. Approve award recipients' reimbursement payment requests c. Request funds availability check for reimbursement payments (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 requests • Request for funds availability check for reimbursement payments |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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|----|---|---|---|--|
| 27 | | <p>a. Receive and process requests for funds availability check for reimbursement payments</p> <p>b. Provide response to funds availability check for reimbursement payments</p> <p>(FFM.010.020 Fund Allocation and Control)</p> | <ul style="list-style-type: none"> Request for funds availability check for reimbursement payments | <ul style="list-style-type: none"> Response to funds availability check for reimbursement payments |
| 28 | <p>a. Receive response to funds availability check for reimbursement payments</p> <p>b. Submit disbursement requests for reimbursement payments</p> <p>(GRM.030.020 Grant Award Payment Processing)</p> | | <ul style="list-style-type: none"> Response to funds availability check for reimbursement payments Awards reimbursement payment requests | <ul style="list-style-type: none"> Disbursement requests for reimbursement payments |
| 29 | | <p>Receive and process disbursement requests for reimbursement payments</p> <p>(FFM.030.080 Payment Processing - Grant Payments)</p> | <ul style="list-style-type: none"> Disbursement requests for reimbursement payments | <ul style="list-style-type: none"> Disbursement to award recipients |
| 30 | <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 | <ul style="list-style-type: none"> Award recipients' performance review results |
| 31 | <p>a. Receive award recipients' financial reports</p> <p>b. Evaluate award recipients' financial reports and document results, as appropriate</p> <p>c. Evaluate award recipients' financial and performance results to determine alignment of performance results with expenditures 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 | <ul style="list-style-type: none"> Award recipients' financial review results Alignment of performance results with expenditures |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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| 32 | <p>a. Received notice from cognizant or oversight agency of audit findings for award recipients with request for management decision input</p> <p>b. Obtain award recipients audit reports with findings and corrective action plans from OMB designated source</p> <p>c. Evaluate award recipients' audit findings and corrective action plan, and record results</p> <p>d. Develop management decision input and coordinate with cognizant or oversight agency</p> <p>e. Provide management decision documentation to award recipient</p> <p>(GRM.060.020 Grant Recipient Audit)</p> | | <ul style="list-style-type: none"> • Notice of audit findings for award recipients • Award recipient audit reports with findings and corrective action plans | <ul style="list-style-type: none"> • Award recipients' audit reports evaluation results • Management decision documentation |
| 33 | <p>a. Receive notification of additional program funding and request for revised program funding and spend plan</p> <p>b. Develop revised program package and draft revised program funding and spend plan</p> <p>c. Route revised program package and draft revised program funding and spend plan for review and approval</p> <p>d. Submit draft revised program funding and spend plan</p> <p>(GRM.010.010 Grant Program Set-up and Maintenance)</p> | | <ul style="list-style-type: none"> • Notification of additional program funding • Request for revised program funding and spend plan | <ul style="list-style-type: none"> • Approved revised program package • Draft revised program funding and spend plan |
| 34 | | <p>Receive, review, and approve revised program funding and spend plan</p> <p>(BFM.030.020 Budget Operating/Spend Plan Monitoring and Adjustment)</p> | <ul style="list-style-type: none"> • Draft revised program funding and spend plan | <ul style="list-style-type: none"> • Approved revised program funding and spend plan |
| 35 | | <p>Record approved revised program funding allocation</p> <p>(FFM.010.020 Fund Allocation and Control)</p> | <ul style="list-style-type: none"> • Approved revised program funding and spend plan | <ul style="list-style-type: none"> • Appropriate allocation funding entries created with reference to source information |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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|----|---|---------------|--|--|
| 36 | <ul style="list-style-type: none"> a. Revise funding opportunity to include award renewal information b. Route revised funding opportunity for award renewals for review and approval c. Publish funding opportunity for award renewals (GRM.010.020 Grant Program Funding Opportunity) | | <ul style="list-style-type: none"> • Published funding opportunity • Revised program package • Approved revised program funding and spend plan | <ul style="list-style-type: none"> • Published funding opportunity for award renewals |
| 37 | <ul style="list-style-type: none"> a. Receive, record and acknowledge award renewal application submissions b. Evaluate consistency with application submission instructions and record results c. Request and receive additional information or updates for award renewal applications, if needed (GRM.020.010 Grant Application Support and Receipt) | | <ul style="list-style-type: none"> • Renewal application information for award renewals • Additional information or updates for award renewal applications | <ul style="list-style-type: none"> • Application receipt notifications • Validated renewal application information |
| 38 | <ul style="list-style-type: none"> a. Review award renewal applications submissions b. Conduct project plan and budget reviews and review current performance information for award renewal applicants and record results c. Determine and document award renewal recipient recommendations d. Obtain approval for award renewal recipients and document final award recipient approvals (GRM.020.020 Grant Application Review and Selection) | | <ul style="list-style-type: none"> • Approved program package • Published funding opportunity for award renewals | <ul style="list-style-type: none"> • Award renewal applications review results • Approved award renewal applicants |
| 39 | <ul style="list-style-type: none"> a. Determine and document funding for award renewals b. Request funds availability check for commitment for award renewals (GRM.020.020 Grant Application Review and Selection) | | <ul style="list-style-type: none"> • Approved award renewal applicants | <ul style="list-style-type: none"> • Awards funding information • Request for funds availability check for commitment for award renewals |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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|----|--|--|---|---|
| 40 | | a. Receive and process request for funds availability check for commitment for award renewals b. Provide response to funds availability check for commitment for award renewals (FFM.010.020 Funds Allocation and Control) | <ul style="list-style-type: none"> Request funds availability check for commitment for award renewals | <ul style="list-style-type: none"> Response to funds availability check for commitment for award renewals |
| 41 | a. Receive response to funds availability check for commitment for award renewals b. Submit documentation for funds commitment for award renewals (GRM.020.020 Grant Application Review and Selection) | | <ul style="list-style-type: none"> Response to funds availability check for commitment for award renewals Approved award recipients Awards funding information | <ul style="list-style-type: none"> Funds commitment documentation for award renewals |
| 42 | | a. Receive funds commitment documentation b. Commit funds for award recipients (FFM.030.020 Obligation Management) | <ul style="list-style-type: none"> Funds commitment documentation for award renewals | <ul style="list-style-type: none"> Appropriate funds commitment entries created with reference to source information |
| 43 | Notify award recipients of approval for award renewals (GRM.020.020 Grant Application Review and Selection) | | <ul style="list-style-type: none"> Approved award renewal recipients | <ul style="list-style-type: none"> Award recipients' notifications |
| 44 | Modify award agreements for renewals and route for review and approval (GRM.040.010 Grant Award Modification) | | <ul style="list-style-type: none"> Approved award renewal recipients Application information for award renewal | <ul style="list-style-type: none"> Approved award modifications |
| 45 | Request funds availability check for obligation for award renewals (GRM.040.010 Grant Award Modification) | | <ul style="list-style-type: none"> Approved award modifications | <ul style="list-style-type: none"> Request for funds availability check for obligation for award renewals |

8.1.4 Cooperative Agreements with Institutions of Higher Education

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|----|--|--|--|---|
| 46 | | a. Receive and process request for funds availability check for obligation for award renewals b. Provide response to funds availability check for obligation for award renewals (FFM.010.020 Funds Allocation and Control) | <ul style="list-style-type: none"> Request for funds availability check for obligation for award renewals | <ul style="list-style-type: none"> Response to funds availability check for obligation for award renewals |
| 47 | a. Receive response to funds availability check for obligation for award renewals b. Submit documentation for funds obligation for award renewals c. Issue the award modifications (GRM.040.010 Grant Award Modification) | | <ul style="list-style-type: none"> Response to funds availability check for obligation for award renewals | <ul style="list-style-type: none"> Funds obligation documentation for award renewals Issued award modifications |
| 48 | | a. Receive funds obligation documentation for award renewals b. Obligate funds for award renewals (FFM.030.020 Obligation Management) | <ul style="list-style-type: none"> Funds obligation documentation for award renewals | <ul style="list-style-type: none"> Appropriate funds obligation entries created with reference to source information |
| 49 | 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 |
| 50 | Provide award renewals 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 renewals information |