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| Business Use Case 080.GRM.L1.05 Research and Development Grants | | |
| **End-to-End Business Process: 8. Apply to Perform** | | |
| **Business Scenario(s) Covered** | | |
| * L1.01. Discretionary Award * L1.03. Research and Development Award * L1.05. Advance Payment * L1.18. Unilateral Execution of Award Agreement * L1.09. Award Continuation | | |
| **Business Actor(s)** | **Primary:** Grants Office, Award Recipient | |
| **Other:** Program Office, Finance Office | |
| **Synopsis** | | |
| The funding opportunity is developed based on the program package for multi-year research and development grants, providing for annual continuations. The funding opportunity 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. Terms and conditions for the awards are developed, identifying yearly funding levels and continuation criteria throughout the period of performance. Funds are obligated, and award agreements are issued. Advance payments are disbursed. Once payments are accepted, award agreements are considered accepted by award recipients and executed by the Federal awarding agency. During the period of performance, performance and financial reports are received from award recipients and reviewed as appropriate. As the end of the first year period of performance approaches, instructions for submitting continuation applications are made available to current award recipients. Applications are received and reviewed from award recipients for the award continuations. Award continuation recipients are approved, and funding is obligated. Award modifications are issued, and advance payments are disbursed. Once payments are accepted, award agreement modifications are considered accepted by award recipients and executed by the Federal awarding agency. After the period of performance ends, physical and intangible property are dispositioned, and 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 had been passed, and the program has been set up. 6. Indirect (F&A) cost rates have already been established for award recipients. 7. Funds are committed after awards are approved because there is a significant gap in time between notifying the applicants they have been selected and issuing the award agreements. 8. No government property is provided to award recipients; however, property is acquired by the award recipient with award funds. 9. Because no issues/concerns are identified in performance or financial reports, no award recipient compliance reviews are conducted during the period of performance. 10. Expenditures in Federal awards are < $750,000 during the award recipient’s fiscal year; therefore, an audit is not required for the fiscal year. 11. All of the funds awarded to award recipients are expended during each period of performance. 12. Any data and peer reviewed articles are dispositioned according to Federal awarding agency plans. 13. Grant program reporting and review are performed at the next program review cycle. | | |
| **Initiating Events** | | The program package has been developed. |

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| **Typical Flow of Events** | | | | | | | | | | | | |
| **#** | **GRM Event** | | **Non-GRM Event** | | | **Input(s)** | | | **Output(s) / Outcome(s)** | | |
| **1** | 1. Develop the application instructions and submission and review process 2. Determine the eligibility criteria, merit review criteria and review process 3. Develop the risk evaluation criteria 4. Develop, review, route for approval, and publish the funding opportunity   (GRM.010.020 Grant Program Funding Opportunity) | |  | | | * Approved program package * Approved program funding and spend plan | | | * Application submission and review process * Risk evaluation criteria * Published funding opportunity | | |
| **2** | 1. Receive and respond to requests for additional information regarding the funding opportunity 2. Publish responses to requests for additional information regarding the funding opportunity, as appropriate   (GRM.020.010 Grant Application Support and Receipt) | |  | | | * Approved program package * Published funding opportunity | | | * Published responses to requests for additional information regarding the funding opportunity | | |
| **3** | 1. Receive, record and acknowledge application submissions and resubmissions 2. Evaluate consistency with application submission instructions and record results 3. Notify applicants of incomplete submissions   (GRM.020.010 Grant Application Support and Receipt) | |  | | | * Application packages * Approved program package * Published funding opportunity | | | * Application receipt notifications * Validated application packages * Non-compliant application notifications | | |
| **4** | 1. Identify, approve and document application reviewers 2. Develop, approve and provide the application review schedule to reviewers   (GRM.020.020 Grant Application Review and Selection) | |  | | | * Approved program package * Published funding opportunity | | | * Approved list of application reviewers * Approved application review schedule | | |
| **5** | Review the applications against the eligibility criteria  (GRM.020.020 Grant Application Review and Selection) | |  | | | * Application review process * Published funding opportunity * Validated application packages | | | * Eligible applications | | |
| **6** | 1. Conduct merit and budget reviews of the applications and record results 2. Select applicants for potential award 3. Conduct risk reviews based on the risk evaluation criteria 4. Determine and document applicant award recommendations, including award funding 5. Route applicant award recommendations for review and approval   (GRM.020.020 Grant Application Review and Selection) | |  | | | * Eligible applications * Application review process * Risk evaluation criteria * Approved program package * Published funding opportunity | | | * Applications review results * Awards funding information * Approved award applicants | | |
| **7** | Request funds availability check for commitment  (GRM.020.020 Grant Application Review and Selection) | |  | | | * Awards funding information * Approved award applicants | | | * Request funds availability check for commitment | | |
| **8** |  | | 1. Receive and process request for funds availability check for commitment 2. Provide response to funds availability check for commitment   (FFM.010.020 Funds Allocation and Control) | | | * Request funds availability check for commitment | | | * Response to funds availability check for commitment | | |
| **9** | 1. Receive response to funds availability check for commitment 2. Submit documentation for funds commitment   (GRM.020.020 Grant Application Review and Selection) | |  | | | * Response to funds availability check for commitment * Awards funding information * Approved award applicants | | | * Funds commitment documentation | | |
| **10** |  | | 1. Receive funds commitment documentation 2. Commit funds for award recipients   (FFM.030.020 Obligation Management) | | | * Funds commitment documentation | | | * Appropriate funds commitment entries created with reference to source information | | |
| **11** | Notify approved applicants of award selection  (GRM.020.020 Grant Application Review and Selection) | |  | | | * Approved award applicants | | | * Approved award applicants’ notifications | | |
| **12** | | 1. Develop, negotiate and document specific award terms and conditions, including terms allowing unilateral acceptance of the award agreement and modifications 2. Finalize award applicant budgets 3. Develop and route award agreements for review and approval   (GRM.030.010 Grant Award Issuance) | |  | | | * Approved program package * Published funding opportunity * Eligible applications * Approved award applicants | | | * Approved award agreements | | |
| **13** | | Request funds availability check for obligation  (GRM.030.010 Grant Award Issuance) | |  | | | * Approved award agreements | | | * Request funds availability check for obligation | | |
| **14** |  | | 1. Receive and process request funds availability check for obligation 2. Provide response to funds availability check for obligation   (FFM.010.020 Funds Allocation and Control) | | | * Request funds availability check for obligation | | | * Response to funds availability check for obligation | | |
| **15** | 1. Receive response to funds availability check for obligation 2. Submit documentation for funds obligation 3. Issue award agreements   (GRM.030.010 Grant Award Issuance) | |  | | | * Response to funds availability check for obligation | | | * Funds obligation documentation * Issued award agreements | | |
| **16** |  | | 1. Receive funds obligation documentation 2. Obligate funds for awards   (FFM.030.020 Obligation Management) | | | * Funds obligation documentation | | | * Appropriate funds obligation entries created with reference to source information | | |
| **17** | 1. Receive and verify award recipients bank information 2. Route verified award recipients’ bank information for payee set-up   (GRM.030.010 Grant Award Issuance) | |  | | | * Award recipients’ bank information * Issued award agreements | | | * Award recipients’ bank information | | |
| **18** |  | | Establish non-Federal payee information for each recipient (FFM.030.010 Payee Set-up and Maintenance) | | | * Award recipients’ bank information | | | * Non-Federal payee accounts | | |
| **19** | 1. Provide award and unsuccessful applicants information to OMB designated sources 2. Notify unsuccessful applicants   (GRM.030.010 Grant Award Issuance) | |  | | | * Executed award agreements * Applications review results | | | * Published award information * Unsuccessful applicant notifications | | |
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| **20** | 1. Receive, review and approve award advance payment requests 2. Request funds availability check for advance payments   (GRM.030.020 Grant Award Payment Processing) | |  | | | * Issued award agreements | | | * Approved award advance payment requests * Request for funds availability check for advance payments | | |
| **21** |  | | 1. Receive and process requests for funds availability check for advance payments 2. Provide response to funds availability check for advance payments   (FFM.010.020 Fund Allocation and Control) | | | * Request for funds availability check for advance payments | | | * Response to funds availability check for advance payments | | |
| **22** | 1. Receive response to funds availability check for advance payments 2. Submit disbursement requests for advance payments with request for disbursement confirmation   (GRM.030.020 Grant Award Payment Processing) | |  | | | * Response to funds availability check for payment * Approved award advance payments requests | | | * Disbursement requests for advance payments with request for disbursement confirmation | | |
| **23** |  | | 1. Receive and process disbursement requests for advance payments 2. Provide confirmation of disbursements of advance payments   (FFM.030.080 Payment Processing - Grant Payments) | | | * Disbursement requests for advance payments with request for disbursement confirmation | | | * Disbursements of advance payments to award recipients * Confirmation of disbursements of advance payments | | |
| **24** | 1. Receive confirmation of disbursements of advance payments (GRM.030.20 Grant Award Payment Processing) 2. Record execution of award agreements (GRM.030.010 Grant Award Issuance) | |  | | | * Confirmation of disbursements of advance payments | | | * Executed award agreements | | |
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| **25** | 1. Receive the award recipients’ performance reports 2. Evaluate award recipients’ performance reports against award agreements and record results, as appropriate   (GRM.040.020 Grant Award Performance Review) | |  | | | * Performance reports from award recipients * Executed award agreements | | | * Award recipients’ performance review results | | |
| **26** | 1. Receive the award recipients’ financial reports 2. Evaluate award recipients’ financial reports against award agreements and record results, as appropriate 3. Evaluate award recipients’ financial and performance results to determine alignment of performance results with expenditures and record results 4. Determine value of goods and services received against advance payment and request liquidation of liability for advance payment   (GRM.040.030 Grant Award Financial Review) | |  | | | * Performance reports from award recipients * Financial reports from award recipients * Executed award agreements | | | * Award recipients’ financial review results * Alignment of performance with expenditures * Value of goods and services received against advance payment * Request to liquidate liability for advance payment | | |
| **27** |  | | Receive and process request to liquidate liability for advance payment  (FFM.030.020 Obligation Management) | | | * Request to liquidate liability for advance payment | | | * Appropriate liability liquidation entries created with reference to source information | | |
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| **28** | 1. Develop instructions for award continuation applications and record results 2. Provide award continuation application instructions to award recipients   (GRM.010.020 Grant Program Funding Opportunity) | |  | | | * Published funding opportunity * Approved program package | | | * Award continuation application instructions | | |
| **29** | 1. Receive, record and acknowledge award continuation application submissions 2. Review award continuation applications submissions 3. Request and receive additional information or updates for award continuation applications, if needed 4. Conduct project plan and budget reviews and review current performance information for award continuation applicants and record results 5. Determine and document award continuation recipient recommendations, including award continuation funding 6. Obtain approval for award continuation recipients and document final approvals   (GRM.020.020 Grant Application Review and Selection) | |  | | | * Application information for award continuations * Additional information or updates for award continuation applications * Award continuation application instructions * Current performance information for award continuation applicants | | | * Award continuation application receipt notifications * Applications review results * Award continuation funding information * Approved award continuation recipients | | |
| **30** | Request funds availability check for commitment for award continuations  (GRM.020.020 Grant Application Review and Selection) | |  | | | * Award continuation funding information * Approved award continuation recipients | | | * Request for funds availability check for commitment for award continuations | | |
| **31** |  | | 1. Receive and process request for funds availability check for commitment for award continuations 2. Provide response to request for funds availability check for commitment for award continuations   (FFM.010.020 Funds Allocation and Control) | | | * Request for funds availability check for commitment for award continuations | | | * Response to funds availability check for commitment for award continuations | | |
| **32** | 1. Receive response to funds availability check for commitment 2. Submit documentation for funds commitment for award continuations   (GRM.020.020 Grant Application Review and Selection) | |  | | | * Response to funds availability check for commitment for award continuations * Award continuation funding information * Approved award continuation recipients | | | * Funds commitment documentation for award continuations | | |
| **33** |  | | 1. Receive funds commitment documentation for award continuations 2. Commit funds for award recipients’ continuations   (FFM.030.020 Obligation Management) | | | * Funds commitment documentation | | | * Appropriate funds commitment entries created with reference to source information | | |
| **34** | Notify approved award recipients of selection for award continuations  (GRM.020.020 Grant Application Review and Selection) | |  | | | * Approved award continuation recipients | | | * Award continuation recipient notifications | | |
| **35** | Modify award agreements for continuations and route for review and approval  (GRM.040.010 Grant Award Modification) | |  | | | * Approved award continuation recipients * Application information for award continuations | | | * Approved award agreement modifications for award continuations | | |
| **36** | Request funds availability check for obligation for award continuations  (GRM.040.010 Grant Award Modification) | |  | | | * Approved award agreements modifications | | | * Request for funds availability check for obligation for award continuations | | |
| **37** |  | | 1. Receive and process request for funds availability check for obligation for award continuations 2. Provide response to funds availability check for obligation for award continuations   (FFM.010.020 Funds Allocation and Control) | | | * Request for funds availability check for obligation for award continuations | | | * Response to funds availability check for obligation for award continuations | | |
| **38** | 1. Receive response to funds availability check for obligation for award continuations 2. Submit documentation for funds obligation for award continuations 3. Issue award agreement modifications   (GRM.040.010 Grant Award Modification) | |  | | | * Response to funds availability check for obligation for award continuations | | | * Funds obligation documentation for award continuations * Issued award agreement modifications | | |
| **39** |  | | 1. Receive funds obligation documentation for award continuations 2. Obligate funds for award continuations   (FFM.030.020 Obligation Management) | | | * Funds obligation documentation for award continuations | | | * Appropriate funds obligation entries created with reference to source information | | |
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| **40** | 1. Receive, review and approve advance payment requests for award continuations 2. Request funds availability check for award continuation advance payments   (GRM.030.020 Grant Award Payment Processing) | |  | | | * Issued award agreements modifications | | | * Approved award continuations advance payment requests * Request for funds availability check for award continuation advance payments | | |
| **41** |  | | 1. Receive and process request for funds availability check for award continuation advance payments 2. Provide response to funds availability check for award continuation advance payments   (FFM.010.020 Fund Allocation and Control) | | | * Request for funds availability check for award continuation advance payments | | | * Response to funds availability check for award continuation advance payments | | |
| **42** | 1. Receive response to funds availability check for award continuation advance payments 2. Submit disbursement request for award continuation advance payments with request for disbursement confirmation   (GRM.030.020 Grant Award Payment Processing) | |  | | | * Response to funds availability check for award continuation advance payments | | | * Disbursement requests for award continuation advance payments with request for disbursement confirmation | | |
| **43** |  | | 1. Receive and process disbursement requests for award continuation advance payments 2. Provide confirmation of disbursements of award continuation advance payments   (FFM.030.080 Payment Processing - Grant Payments) | | | * Disbursement requests for award continuation advance payments with request for disbursement confirmation | | | * Disbursements of award continuation advance payments to award recipients * Confirmation of disbursements of award continuation advance payments | | |
| **44** | 1. Receive confirmation of disbursements of award continuation advance payments (GRM.030.20 Grant Award Payment Processing) 2. Record execution of award agreements (GRM.030.010 Grant Award Issuance) | |  | | | * Confirmation of disbursements of award continuation advance payments * Issued award agreements modifications | | | * Executed award agreement modifications | | |
| **45** | Provide award continuations information to OMB designated sources  (GRM.040.010 Grant Award Modification) | |  | | | * Executed award agreement modifications | | | * Published award continuations information | | |
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| **46** | 1. Determine awards where the period of performance is ending 2. Notify award recipients of award closeout   (GRM.040.050 Grant Award Closeout) | |  | | | * Executed award agreements and modifications | | | * Awards to be closed out * Closeout notification to awards recipients | | |
| **47** | 1. Receive within required timeframe final financial, performance, and other reports required by the award agreements and modifications 2. Acknowledge receipt of final financial, performance, and other reports 3. Review acknowledged final financial, performance, and other reports within required timeframe   (GRM.040.050 Grant Award Closeout) | |  | | | * 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 | | | * Acknowledged receipt of final financial, performance, and other reports * Award recipients’ final financial, performance, and other reports review results | | |
| **48** | Request confirmation that awards funds have been expended for awards to be closed out  (GRM.040.050 Grant Award Closeout) | |  | | | * Awards to be closed out | | | * 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) | | | * Request for confirmation that award funds have been expended for awards to be closed out | | | * Confirmation award funds have been expended for awards to be closed out | | |
| **50** | 1. Receive award recipient inventory information for physical property assets and equipment acquired with award funding 2. Determine ownership status of physical property assets and equipment acquired with award funding and record results 3. Determine final disposition of physical property assets and equipment acquired with award funding and record results 4. Notify award recipient that government is not requesting transfer of ownership of physical property assets and equipment   (GRM.040.050 Grant Award Closeout) | |  | | | * Awards to be closed out * Physical property assets and equipment inventory acquired with award funding | | | * Ownership status of physical property assets and equipment * Final disposition of physical property assets and equipment * Award recipient notification of physical property assets and equipment decision | | |
| **51** | 1. Receive award recipient information on intangible property created during award research and development 2. Determine ownership of intangible property resulting from award research and development and record results 3. Notify award recipient that government is not exercising its ownership rights for intangible property   (GRM.040.050 Grant Award Closeout) | |  | | | * Awards to be closed out * Intangible property information * Agency policies and procedures | | | * Award recipient notification of intangible property decision | | |
| **52** | 1. Validate awards closeout completion and acceptance of final reports and record results 2. Notify award recipients of acceptance of final reports 3. Develop and provide request to closeout ability to post additional financial transactions for the awards 4. Provide awards closeout information to OMB designated sources   (GRM.040.050 Grant Award Closeout) | |  | | | * 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 | | | * Awards closeout information * Notification of acceptance of award recipients’ final reports * Request to closeout ability to post additional financial transactions for the awards | | |
| **53** |  | | | | Receive and process request to closeout ability to post additional financial transactions for the awards  (FFM.030.020 Obligation Management) | | | * Request to closeout ability to post additional financial transactions for the awards | | | * Appropriate entries created to closeout ability to post additional financial transactions for the awards with reference to source information | | |
| **54** | Prepare final award financial records, supporting documents, statistical records, and all other award records for records retention (GRM.040.050 Grant Award Closeout) | |  | | | * Program policies and procedures * Federal regulations and policy regarding records retention | | | * Awards records prepared for storage | | |