Grants in Illinois

GATA HIGHLIGHTS AND ENHANCEMENTS

OCTOBER 2022

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Illinois Heavily Relies on Grants for Service and Program Delivery

- Grants help build and repair our statewide roads and infrastructure

- Grant agreements with community-based organizations, not-for-profits and others carry out services and programs on behalf of the State of Illinois
  - Grantees deliver essential services to the most vulnerable citizens including the development of children
  - Grantees provide training and skill development to those entering or adapting to the workforce

- Illinois' program and service success is directly related to the success of its grantees

Illinois Receives and Awards a Significant Amount of Grant Funding

- Illinois spends approximately $26.6B in federal financial assistance annually – in FY21, $62.4B was spent due to increased federal Coronavirus funding

- Illinois distributes approximately $15.8B in state-issued award agreements between state agencies and grantees

- Approximately $12B of the state-issued awards are used for match or maintenance of effort required by federal funding

- FY21 and FY22 capital funding and COVID-related federal funds substantially increased the number and amount of grants awarded
  - FY22 Capital Budget includes approximately $19.7B in new and re-appropriated grant funds (4400 and 4900 – all grants)
  - FY21 Coronavirus Relief Fund/CARES Act -- $1.8B (June 2021 LBOC)

State Grants and State Grant Making Agencies

- "State-issued awards" - financial assistance awarded by a state grant making agency using state, federal pass-through or a combination of these sources of funding

- Nearly 95% of all grant funds expended are administered by 8 grant making agencies – GATA Advisory Agencies
  - DCEO, DHS, DPH, ISBE, IDOT, DCFS, Aging and ICCB
  - ISBE <u>elected</u> to be subject to GATA

- Illinois' Catalog of State Financial Assistance (CSFA) includes more than 2,500 programs and nearly 38,000 awards to more than 5,500 grantees
  - 47% of grantees receive grants from multiple state agencies

Grant Making Process

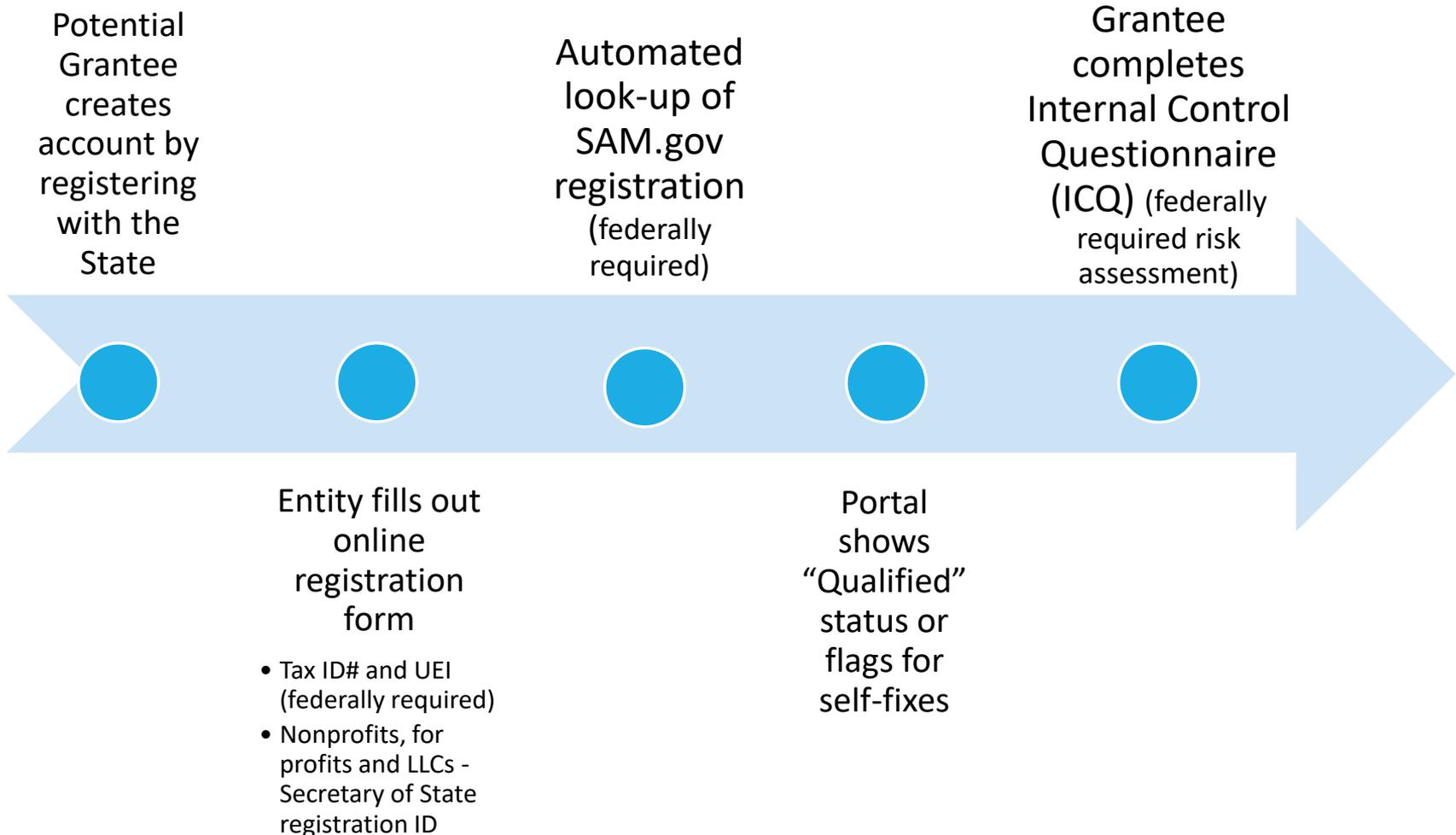GATA FRAMEWORKS TOUCH ALL ILLINOIS GRANTS

Grant Accountability and Transparency Act (30 ILCS 708)

GATA strengthens Illinois' grant making programs, following the guidance of 2 CFR 200, through a uniform process and templates for:

1. Registration

2. Pre-award Process

3. Post-award Process

Centralized Grantee Registration Process Under GATA www.Grants.Illinois.gov/portal

Potential Grantee creates account by registering with the State

Automated look-up of SAM.gov registration (federally required)

Grantee completes Internal Control Questionnaire (ICQ) (federally required risk assessment)

Entity fills out online registration form

- Tax ID# and UEI (federally required)
- Nonprofits, for profits and LLCs - Secretary of State registration ID

Portal shows "Qualified" status or flags for self-fixes

Sample Views from the Grantee Portal

REGISTRATION IS REQUIRED ONCE

Illinois Grant Accountability and Transparency Act
Grantee Portal - Registration

[Cancel] [Save]

All fields are required except those labeled 'Optional'.

Organization DUNS

Organization FEIN

Organization Type

Illinois Secretary of State File ID
Illinois Secretary of State

Organization Name

Organization Address 1   **Organization Address 2** *(Optional)*

City   **State** **Zip Code**

Primary Email   **Primary Phone**

Does this organization have 2 or more years experience with Illinois grants? ● Yes ○ No

Fiscal Year End Date: 06/30

[Cancel] [Save]

PORTAL SHOWS STATUS AND PROVIDES SUPPORT LINKS

Pre-Qualification Status

Your organization is currently in good standing with all pre-qualification requirements.

Requirement	Status	Remediation
SAM.gov Account	Good	[Help]
Federal Employer ID (FEIN)	Good	[Help]
Federal Excluded Parties List	Good	[Help]
Illinois Secretary of State	Good	[Help]
Illinois Stop Payment List	Good	[Help]
Illinois DHFS Sanction List	Good	[Help]

Your organization must remain in good standing in all pre-qualification requirements. The status of these requirements are validated nightly. Notifications when changes occur to the pre-qualification status can be emailed to Grantee Portal Access users by clicking the "Manage" button below.

Grant Application & Award Process

Notice of Grants
- State agency posts Notice of Funding Opportunity (NOFO) in CSFA (grants.Illinois.gov)
- NOFOs are not required for grants when recipients are named in an appropriation bill or if a specific allocation recipient is laid out in statute

Merit Review
- Potential grantees submit applications in response to a NOFO
- Applications are reviewed and evaluated by the awarding agency based on the program evaluation criteria

Award
- Granting agency sends a Notice of State Award (NOSA) to the winning grantee with the terms of the grant award
- Agency and grantee complete a Grant Agreement with the requirements of the grant

Funding
- Once the grant agreement is finalized, program/services and payments to the grantee can begin, following the terms of the agreement

Impact of the GATA Learning Curve

- Centralized GATA frameworks were designed to eliminate duplication
  - Functions are performed once - information shared in GATA systems
  - GATA frameworks should <u>replace</u> what agencies did previously

- GATA frameworks are inter-related and must be used as a "system"
  - Because data is shared, agencies are dependent on each other

- State agency change management - why change?!?
  - While 87% of federal expenditures are tested, 92% of federal programs are <u>not tested</u> in the statewide single audit; administration *assumed* to be compliant
  - GATA systems add visibility to the completion of requirements

Requirements aren't Optional

GATA DO IT.

GATA's Incremental Implementation

- GATA learning curve continues because pieces are incrementally implemented
  - GATA enhancements require more changes
  - Center of Excellence webinars highlight state agency best practices and testimonials – lots of success stories to build upon!

- Specific issues and concerns must be shared
  - State agencies have not consistently implemented GATA
  - GATA frameworks should be replacing old practices
  - External GATA champions are needed – particularly legislative sponsors

Use of GATA Frameworks

- Is your agency using the CSFA as designed?

- Does your agency maintain supporting documents for all funding opportunities?

- Are competitive applications undergoing a merit review?

- Are all grantees qualified?

- Are there accepted ICQs for each grantee?

- Does the agency require and receive periodic reporting?

- Does the agency enforce the Grantee Compliance Enforcement System (GCES) and utilize Stop Pay status when appropriate?

Governor's Office of Management and Budget
GATA Implementation Website

NOTE: Due to high demand, SAM.gov is experiencing processing delays validating entity legal business names and addresses. Help tickets at SAM.gov are handled on a first in first out basis. They advise against reporting the same incident multiple times.

Per M-21-20, entities can apply for funding without an active SAM.gov registration. However, a state agency cannot award a grant to an entity without an active SAM.gov account.

CSFA 2.0 is online. The data in CSFA 1.0 is only available in Reports and Exports.

Catalog of State Financial Assistance (CSFA)   CSFA: _____

State Staff Inquiry Screen   Parent Issues:37   No FYE:51   Grantee: _____

NOSA Management   NOSA: _____

Audit Report Review Management (ARRM)   Audit Issues:27   FAC Issues:6   Audit ID: _____

Indirect Cost Rate Elections   Pending:8   ICR ID: _____

Illinois Stop Payment List   FEIN: _____

Reports and Exports

State Agency Contacts

State Agency Settings

GATU Settings

Grant Management System News   GMS Frequently Asked Questions

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GATA Agency Administrators - Please contact one of these individuals if you need access to other areas of the GATA system.
Anna.O'Connell (anna.oconnell@illinois.gov)
Lori.Beeler (lori.beeler@illinois.gov)

Add A Program | [search box] | Search

Show Programs with Status: ☑ Active ☑ Draft ☑ Inactive

	CSFA	Supreme Court Programs	Awards	NOFOs	NOSAs
View	201-0 -2997	**(Draft)** ISAC testing			
View	201-01-0471	**(Draft)** TEST State Court Improvement Program			4
View	201-80-2744	**(Draft)** CAO test			
Program Count: 3			**0**	**0**	**4**

14,054 Grantees registered as of 10/24/22

Return   Delete Grantee   View Log

GRANTEE INFORMATION   Add a note

Names:	**GATA:** zz Test Organization Parent **SAM:** Microsoft Corporation **IOC:** MICROSOFT CORPORATION
ID Numbers:	**GATA:** 687797 **UEI:** FMVPEWNJGLM1 **FEIN:** 911144442 **SOS:** 57537728 **DUNS:** 081466849
Address:	123 State Street, Springfield, IL 62706
FY End Date:	06/30 mmdd Update
Organization Type:	Corporation - Not For Profit
Cognizant Agency:	507-Management And Budget
State Agency Contacts:	**Cog Change:** OMB.GATA@illinois.gov **Grantee Help:** OMB.GATA@illinois.gov

RELATED GRANTEES   Add a child grantee

	Grantee Name		Location	Cog	Preq
	zz Test Organization	Parent	Springfield,IL	OMB	Yes
Goto	zz Test Organization 2	Remove	Springfield,IL	OMB	No

GRANTEE CONTACTS   (maintained by grantees through the portal)

Name	Email	Title	Phone	Roles
Main Contact Info			123-456-7890	
Jennifer Butler		Deputy Director	(217)555-1234	Compliance Officer, Program Director

GRANTEE PORTAL ACCESS | | | Show denied users | Add a note |

Name	Email	Username	Access Type	Portal Access	Access
Dean Doty		Aaron.Doty	Full	10/20/2022	Remove
Lori Beeler		numbernut	Full	10/19/2022	Remove
Courtney Jackson		courtney.m.jackson	Full	10/24/2022	Remove
Tonya Upshaw		Upshaw1006	Full	10/05/2022	Remove
Megan Pirok		megan.pirok	Full	10/24/2022	Remove
Anna O'Connell		AnnaGrant	Full	09/09/2022	Remove
John Hopkins		john.hopkin	Full	06/13/2022	Remove
Abigail Byers		byersa	Full	09/06/2022	Remove
Jennifer Rankin		Jennifer.Rankin	Full	10/17/2022	Remove

PRE-QUALIFICATION INFORMATION | | Pre-Qual History | Add a note |

SAM.gov Account:	Good until 11/9/2022	SAM.Gov [Manually Update] [GATU SAM.gov Update]
Federal Employer ID (FEIN):	Good	
Federal Excluded Parties List:	Good	The 'Federal Delinquent Debt' listing is for information only and is not a requirement for pre-qualification.
Federal Delinquent Debt:	Good	
Illinois Secretary of State:	Good	SOS Corp/LLC Search SOS LP/LLP/LLLP/RLLP Search
Illinois Stop Payment List:	Good	Add to Stop Payment List
Illinois DHFS Sanction List:	Good	DHFS Provider Sanctions

FISCAL AND ADMINISTRATIVE RISK ASSESSMENT (ICQ)

	State FY	Status	Date Submitted	Date Approved	Low Risk	Med Risk	High Risk
View	2023	Submitted	09-02-2022		3	1	0
View	2022	Approved	05-27-2022	05-27-2022	4	3	0
View	2021	Under review	03-03-2021		4	3	0
View	2020	Returned to grantee			7	0	0
View	2019	Approved	02-08-2019	12-19-2019	5	3	0
View	2017	Unsubmitted			0	2	1

INDIRECT COST RATE INFORMATION   [Elections]   [Add a rate]

	Effective Period	Election	Rate	Base	Applicable	Location	Files
View	7/1/2021-6/30/2022	Fed Provisional	17.00%	MTDC	ALL	ALL	0
View	7/1/2021-6/30/2022	De Minimis	10%	MTDC	ALL	ALL	0
View	7/1/2020-6/30/2021	Waive	23	lie 1 link3 test	ALL	ALL	0
View	7/1/2019-6/30/2020	Fed Final	12.00%	test	ALL	ALL	0

| View | Election in progress.   Status: **State rate in progress / Pending CSFA award**   Temp De Minimis: **Yes** |

AUDIT REPORT REVIEWS

	Audit ID	GFY	Period	Type	Status
View	29512	2021	7/1/2020 - 6/30/2021	Other	Certification Past Due
View	22207	2020	7/1/2019 - 6/30/2020	Program	Single/Program Related Files Due
View	17030	2018	7/1/2017 - 6/30/2018	GAAS	CYEFR Past Due
View	17022	2018	7/1/2017 - 6/30/2018	GAGAS	Pending Agency Analysis

NOTICE OF STATE AWARDS (NOSA)   View Archived NOSA

	SAIN	Status	CSFA	Program Name
View	471-1180	Draft	201-01-0471	TEST State Court Improvement Program
View	471-14663	Draft	201-01-0471	TEST State Court Improvement Program
View	471-15299	Draft	201-01-0471	TEST State Court Improvement Program
View	471-25424	Draft	201-01-0471	TEST State Court Improvement Program

STOP PAY JUSTIFICATIONS   Add A Justification

No records found

STOP PAY RECOVERED FUNDS   Add Recovered Funds

No records found

FUNDING INFORMATION

	FY	Agency	Awards	Amount
View	2023	444-Human Services	14	7,437,028
View	2023	482-Public Health	2	388,255
View	2022	418-Children And Family Serv	3	3,073,906
View	2022	444-Human Services	17	7,391,815
View	2022	482-Public Health	2	388,255
View	2022	586-State Board Of Education	2	401,589
View	2021	418-Children And Family Serv	4	4,078,831
View	2021	444-Human Services	22	7,300,049
View	2021	482-Public Health	3	462,650
View	2021	586-State Board Of Education	2	484,548
View	2020	418-Children And Family Serv	6	5,869,884
View	2020	444-Human Services	21	6,420,256
View	2020	482-Public Health	3	444,910
View	2020	546-Criminal Justice Info Authority	2	52,560

Legislative Action

Legislation to remove GATA frameworks does not remove requirements. Fix the root cause!

- FY22 language added to GATA to require that Coronavirus Relief Fund (State CURE Fund) appropriations not be subject to requirements beyond what 2 CFR 200 requires

Drivers of GATA Legislation

- Human service grantees demanded consistent, federally compliant requirements for <u>all grants</u> – regardless of funding source or organization type - to simplify processes and remove redundancies

- Simultaneously, publicized grant fraud (NRI) and inadequate oversight of public funds drove the enactment of GATA legislation

- GATA became law under Gov. Quinn (2014 30 ILSC 708); sunset removed in 2018 (PA 100-0676)
  - Federal Uniform Guidance, 2 CFR 200, also went into effective 2014
  - Timing leads to perception that GATA established current grant rules

- GATA adopts <u>federal requirements</u> for all state-issued awards driving transparency and accountability for all public funds

GATA Enhancements

Feedback Drives GATA Enhancements

- Grantees - not-for-profits (human services and criminal justice sectors), local governments (counties and municipalities) and universities (U of I, NIU)
  - Grantees make up approximately 40% of GATA Committees

- State agencies – Chief Accountability Officer (CAO) at each agency
  - 8 Advisory Agencies (DCEO, DHS, DPH, ISBE, IDOT, DCFS, Aging and ICCB) award approximately 75% of all grants statewide
  - CAO meetings every other week

- Stakeholder groups - external auditors (working with groups of grantees), legislators, grantee advocates (GFOA, Forefront, Illinois Partners)
  - GATA listening sessions - GATU partnering with state awarding agency

GATA Revisions

- Illinois cannot change the federal rules, but we can improve <u>how</u> we comply with the requirements

- Implemented ListServ functionality in the CSFA
  - Based on a registry, weekly emails communicate NOFOs posted during the prior week

- Enhanced CSFA data fields to automate NOFO writing

- Updating GATA website, https://grants.illinois.gov, for more direct access to technical assistance for all users
  - State Grantee Portal New User Guide
  - Translating key documents to Spanish

- Streamlined risk assessment to a single questionnaire (ICQ)

Audit Streamlining

- Audit threshold only includes state-issued awards – direct federal funding was removed from the calculation

- Enhanced Audit Certification Form – simplified language, requires more information regarding auditor

- Streamlined Consolidated Year-end Financial Statement (CYEFR)
  ◦ CYEFR doesn't have to tie to total expenditures
  ◦ Simplified CSFA program expenditure reporting

- Improving user instructions for grantees and grantee auditors, ARRMS Manual

Indirect Cost Rate Election System (ICRES)

- Previously, all grantees were required to work through the CARS system

- Now grantees make indirect cost rate election in ICRES
  - Waive
  - De Minimis
  - Federal Negotiated Indirect Cost Rate Agreement (NICRA)
  - State Negotiated Rate

- Waive and De Minimis, one-time election required

- Federal NICRA, grantee uploads required documents in ICRES

- State Negotiated Rate, once grantee has an award in the CSFA, notification sent to CARS for negotiation process to begin

Improving Equitable Access to Grant Funds

- Recognize the need to make grant funding available to community-based organizations and others with limited grant experience
  - Significant learning curve to understand requirements, submit a competitive application and comply with post-award terms
  - GATA listening sessions and targeted stakeholder groups provide insight

- Expanding the learning management system and grant training curriculum developed by ICJIA and DHS for statewide use

- Goal: Make grant administration support and grant funds accessible to new entities so they can partner with Illinois

AmpliFund

ONE PIECE OF ILLINOIS' GRANT MANAGEMENT SYSTEM (GMS)

GMS = GATA Frameworks in AmpliFund Software

- Statewide Grant Management System (GMS) includes federal grant requirements, GATA templates and systems and standard workflow through AmpliFund software

- Illinois is in year 4 of a 5-year contract with SHI International for AmpliFund software - $12.5M total contract
  - Current contract includes <u>50% vendor configuration support</u>

- AmpliFund will be Illinois' system of record for grant administration for all state agencies under the Governor
  - ISBE elected to be subject to GATA

AmpliFund Incremental Implementation

- SAP integration 7/1/21 – obligation and expenditure data

- Grant making cycles dictate agency implementation timelines
  - 13 agencies are currently using AmpliFund
  - 3 are actively implementing through pilots; 4 have requested additional configuration support
  - DHS, DPH and DCEO are actively engaged in planning; ISBE is on hold

- Vendor led implementation training supports the state agency and grantee user experience

AmpliFund Implementation at the Agencies

- What is your agency's timeline?

- What functions are being used?
  - If not 100%, why aren't they using the full functionality?

- What's working?

- How's the new system being accepted by state agency staff and leadership?

- What's the opinion of grantees / applicants?

GATA Question?

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