



**Illinois
Department of Commerce
& Economic Opportunity**

JB Pritzker, Governor

**Understanding the
Grant Accountability and
Transparency Act
(GATA) Pre-Award Process**

(Grantee Guide)



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INTRODUCTION

DCEO Mission

The Illinois Department of Commerce and Economic Opportunity’s (DCEO) mission is to support and maintain a climate that enables a strong economy for our customers - taxpayers, businesses, workers and communities - by actively recruiting, retaining and growing businesses, building and maintaining a skilled workforce, and enhancing communities so that the climate in Illinois is one in which businesses, both small and large, and workers can thrive.

Notice of Funding Opportunity (NOFO)

A Notice of Funding Opportunity (NOFO) is a state agency’s formal announcement of the availability of State, federal or federal pass-through funding through one of its grant programs. The NOFO is used for competitive grant opportunities and provides potential applicants with eligibility and evaluation criteria, funding preferences/priorities, the submission deadline, and information on how to obtain an application for the funding opportunity.

All NOFOs offered in the State of Illinois are posted on the Illinois Catalog of State Financial Assistance (CSFA) at <https://www2.illinois.gov/sites/GATA/Grants/SitePages/CSFA.aspx>.

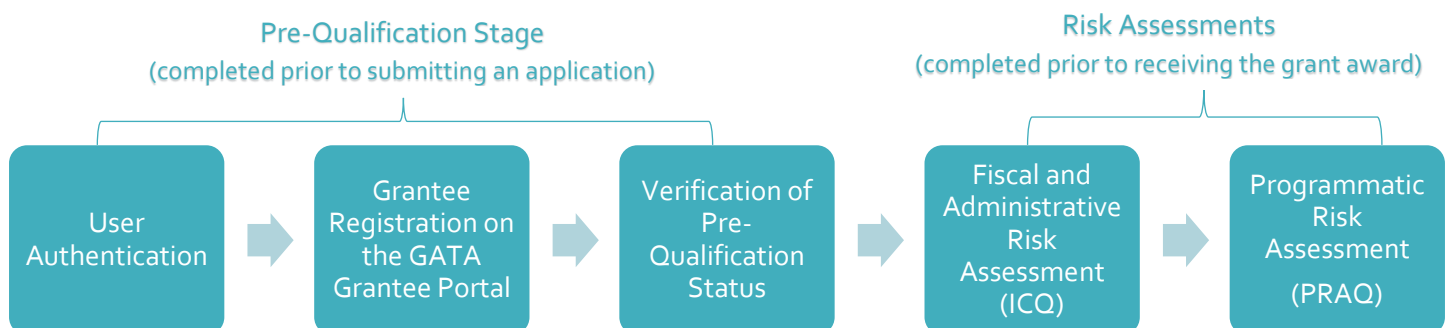
DCEO has and will continue issuing funding opportunities for Illinois entities. To stay informed of the latest funding opportunities DCEO has to offer, review the CSFA for current NOFOs and follow DCEO on social media e.g., [Facebook](#), [LinkedIn](#), and/or [Twitter](#).

GATA Pre-Award Requirements - Requirements for Receiving An Illinois Grant Award

The Grant Accountability and Transparency Act (GATA) provides oversight of all grants from the State of Illinois, helps to provide transparency to the grant process and standardizes grant management across all State of Illinois agencies. GATA also requires applicant organizations to complete specific requirements to receive a grant award from the State of Illinois. These pre-award requirements consist of completing the GATA pre-qualification process and two risk assessments; Fiscal and Administrative ICQ and the Programmatic Risk Assessment.

GATA pre-qualification requirements must be completed **before** an organization submits a grant application to the State of Illinois. The 2 risk assessments can be completed at any time up to the issuance of a state award.

There are five steps required to register with GATA and complete these pre-award requirements:





GATA Pre-Qualification

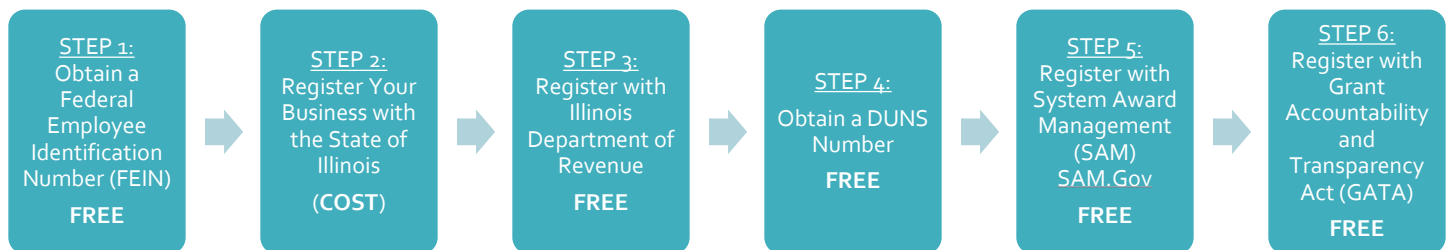
Importance of Getting Pre-Qualified

Applicant organizations must be prequalified to apply for grants in the State of Illinois. Organizations can start to complete the pre-qualification steps rather or not they anticipate on applying for a grant. If you act now, you can get this requirement out of the way.

It is important to get pre-qualified to ensure a grant application deadline is not missed. Some of the pre-qualification steps may take several weeks to become active, for example, creating a SAM.gov account. Most grants are only open for application for about 30-90 days; therefore, completing the pre-qualification steps now will help to ensure you don't miss a deadline.

Once you complete the pre-qualification steps, you will not need to complete these steps again. Awardees will then utilize the GATA Grantee Portal only to monitor and maintain qualified status.

Pre-Qualification Process



Step 1: Obtain a Federal Employee Identification Number (FEIN) - FREE

FEIN is also known as Employer Identification Number (EIN). FEIN/EIN is used by the federal government to identify a business entity. It is **FREE** to obtain a FEIN/EIN. Additionally, if you apply online you can get a FEIN/EIN immediately.

To obtain a FEIN/EIN:

1. Go to the IRS website at, <https://www.irs.gov/businesses/small-businesses-self-employed/employer-id-numbers>.
2. Click on "How to Apply for an EIN".
3. Follow the instructions for your preferred method to apply.

Note, this process is free to apply.

Step 2: Register Your Business with the State of Illinois

Illinois businesses can organize as a Sole Proprietorships, General and Limited Partnerships, Limited Liability Partnerships (LLP), Limited Liability Companies (LLC), "S" Corporations or "C" Corporations. Before selecting a business type, consult an attorney or accountant for assistance in determining which one is best for your business.

To incorporate, please visit your entity's designation: [Limited Partnership](#), [Limited Liability Company](#), [Limited Liability Partnership](#), [Corporation \(C\)](#), or [Corporation \(S\)](#). Refer to the Illinois Secretary of State Business Services website: http://www.cyberdriveillinois.com/departments/business_services/home.html



Note, governmental entities, school districts and select religious organizations are not required to be registered with the Illinois Secretary of State.

When a business name is different from the owner(s) full legal name(s), the Illinois Assumed Name Act requires **Sole Proprietorships** and **General Partnerships** to register with their local county clerk's office for registration under the Assumed Name Act.

For more information regarding getting your business incorporated or different types of business structures or finding your county clerk's office, please visit DCEO's website, [Step by Step Guide](#).

Note, there will be a cost for incorporating your business with the state of Illinois. The cost is dependent on your entity's designation.

Step 3: Register with Illinois Department of Revenue – FREE

Any entity conducting business in Illinois or has Illinois customers must register their business with the Illinois Department of Revenue. For more information, please visit: <https://www2.illinois.gov/rev/businesses/Pages/register.aspx>.
To register online visit: <https://mytax.illinois.gov/#3>

Note, this process is free to apply.

Step 4: Obtain a Data Universal Numbering System (DUNS) Number – FREE

The Data Universal Numbering System (DUNS) is the official tracking database of all government contractors. After you register, your business entity will be given a nine-digit number.

As stated on [Grants.gov](#), when you register for DUNS you will need the following information:

- Name of organization
- Organization address
- Name of the chief executive officer (CEO) or organization owner
- Legal structure of the organization (e.g., corporation, partnership, proprietorship)
- Year the organization started
- Primary type of business
- Total number of employees (full and part-time)

To register, go to: <http://fedgov.dnb.com/webform/>

A valid DUNS number will be needed for the following steps to get pre-qualified for a grant. If you are creating a new DUNS number, it can take 1 business day to obtain one.

Note, this process is free to apply.

Step 5: Register with System Award Management (SAM) SAM.Gov - FREE

SAM.gov is the central registration point for all government contractors and review of federal stop pay lists. GATA requires all organizations to have a current and active SAMs registration to apply for a grant program or receive a grant



award or payment. Your organization will be required to maintain the SAMs registration for the duration of the grant period.

Create a new SAMS Registration:

As stated on [Grants.gov](https://grants.gov), when you register for [SAM.gov](https://sam.gov) you will need the following items:

- DUNS Number
- Taxpayer Identification Number (TIN) or Employment Identification Number (EIN)
- Banking information such as bank's routing number and bank account number along with if it is a savings or checking account. This is needed to setup Electronic Funds Transfer.
- You will need a valid email address and access to a mobile phone for SAM.gov to send you a security code.

After registration, SAM.gov requires you to send a [notarized letter](#) indicating you are the authorized entity administrator.

- Use the [templates](#) provided and **print them on your entity's leader head.**
- After completed and notarized, MAIL the document to Federal Service Desk.

FEDERAL SERVICE DESK
ATTN: SAM.GOV REGISTRATION PROCESSING
460 INDUSTRIAL BLVD
LONDON, KY 40741-7285
UNITED STATES OF AMERICA

Please allow 3 weeks for your registration to process. Once SAM.gov registration is completed, you will be given a SAM Cage code number. For more detail instructions, visit: <https://login.gov/help/creating-an-account/how-to-create-an-account/>

Note, this process is free to apply. After completing the online application, you may receive phone calls requesting a fee to quickly process your SAMS registration. You are not required to pay this fee to process your SAMs registration in a timely manner.

Verify an Existing SAMS Registration

If you already have a SAM.gov account, be sure to check that it is active and up to date. You can check your SAM.gov account status by going to: <https://sam.gov/SAM/pages/public/samStatusTracker.jsf>. (Please note, SAM.gov has a log out feature if there is no activity after 30 minutes.)

Step 6: Register with Grant Accountability and Transparency Act (GATA)- FREE

After your organization has secured a FEIN, DUNS and SAM.gov number, you can register on the GATA Grantee Portal <https://grants.Illinois.gov/portal>. The GATA Grantee Portal is an internet-based platform used by the State of Illinois to conduct registration, pre-qualification and fiscal and administrative risk assessments of entities that seek to receive an award from a State grantmaking agency.

Awardees utilize the GATA Grantee Portal to monitor and maintain qualified status, accept a Notice of State Award (NOSA), apply for an indirect cost rate, and comply with specific post-award requirements.

The following items are needed to register with GATA:

- Valid Email Address
- Illinois Secretary of State (SOS) registration (if required)
- Valid FEIN/EIN
- Valid DUNS number
- Current SAM.gov, completed registration

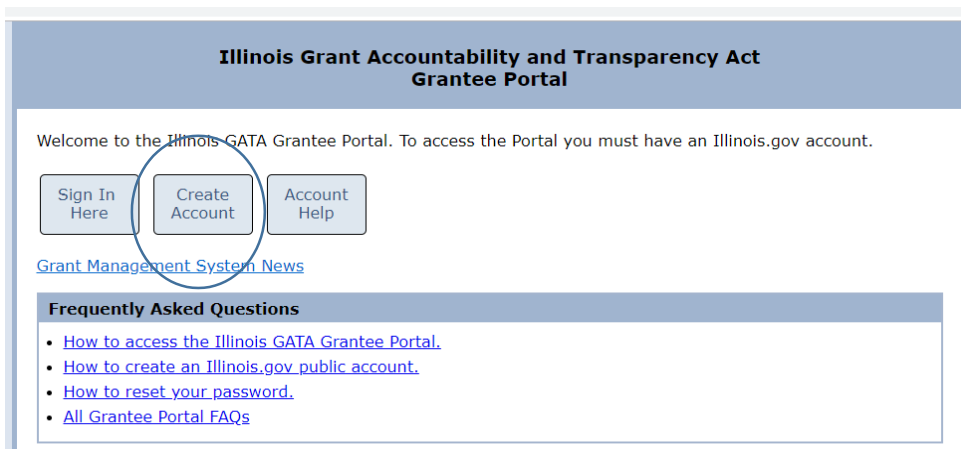


Step 6.A – Authentication

As stated on the GATA website (grants.illinois.gov), applicant organizations access the GATA Grantee Portal at <https://grants.illinois.gov/portal>. A personal or business email address is required to establish an account. Authentication verifies the relationship between an individual and the organization they represent. Authentication is performed once for each individual associated with a registration.

To obtain an account, go to the GATA Grantee Portal website and click the “[Create Account](#)” button. For help with the Illinois.gov Authentication Portal please click the “[Account Help](#)” button.

Step 6.A.1 – Click on “Create Account”



Step 6.A.2 – Enter your information, then click on “Register”

The screenshot shows the "Create a new Account" registration form. The form is titled "Registration" and includes the following fields and options:

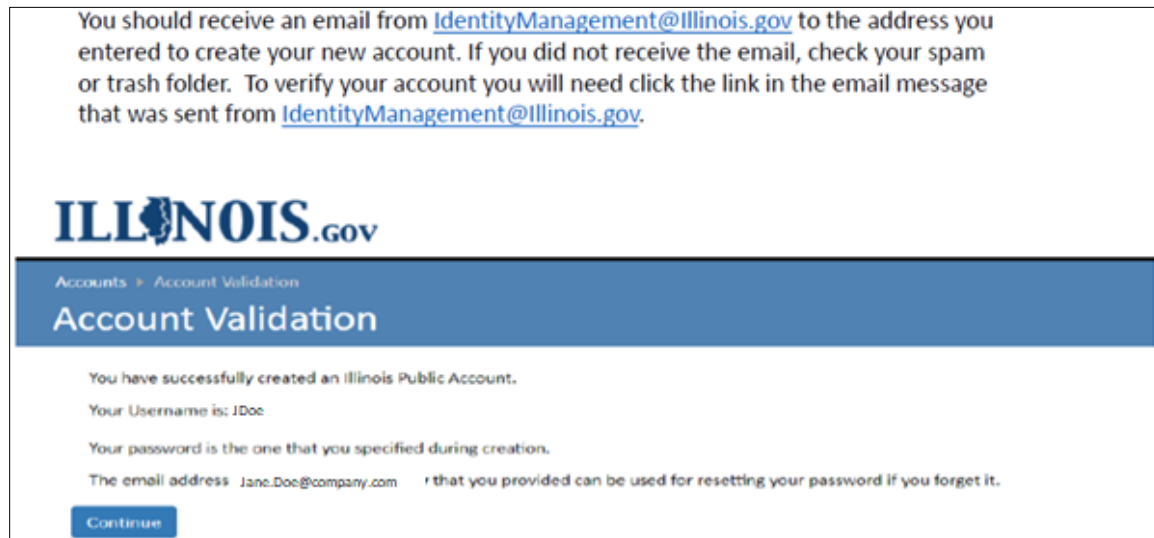
- Your Username can include letters, numbers, and periods (may not start or end with a period); and must be between 6 and 20 characters long.** Examples: John.Smith JSm1th
- First Name:** Jane
- Last Name:** Doe
- Email Address:** Jane.Doe@company.com
- Confirm Email Address:** Jane.Doe@company.com
- Cell Phone: (Optional):** Example: 999-999-9999
- Cell Carrier:** - Not Supplied -
- Choose your Username:** JDoe (Good)
- Password:** ***** (Good Password Rules)
- Confirm Password:** *****

At the bottom of the form are two buttons: "Register" and "Cancel".



Step 6.A.3 – Verify your Email

After clicking on “Register” you should receive a message like the picture below. As stated in the image, to verify your account you will need to click the link in the email message that was sent to you from identitymanagement@illinois.gov. Once verified, you will have an active Illinois public account.



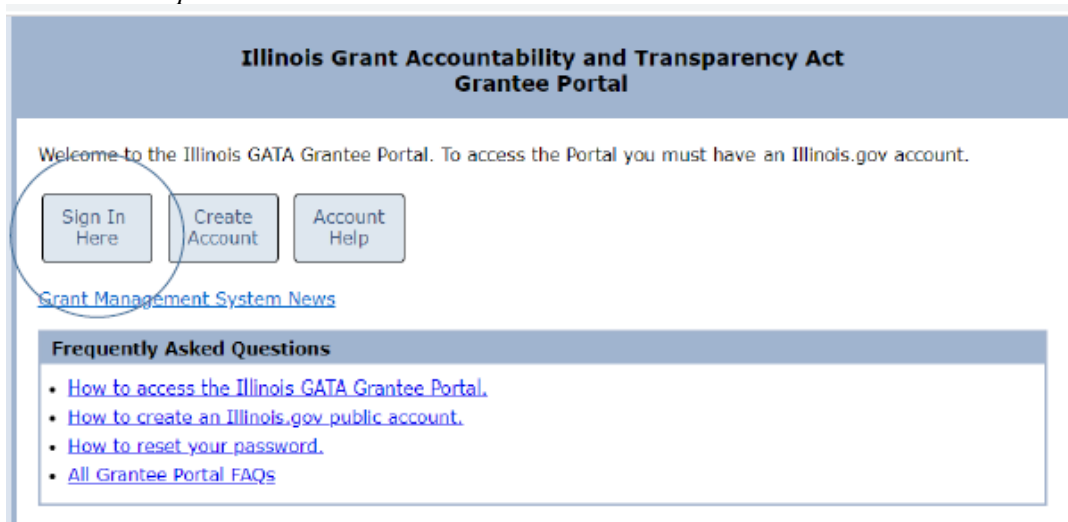
Step 6.B – Grantee Registration

Grantee Registration is completed by browsing to <https://grants.illinois.gov/portal> and signing in with your new Illinois public account.

You will be requested to enter your DUNS number to associate your Illinois.gov account with your organization. **New accounts must enter the organization’s information on the Registration screen.** Existing accounts must click the “Edit” button next to the organization name on the Main Menu.

Step 6.B.1 – Login to the GATA Grantee Portal

Go to the homepage of the [GATA Grantee Portal](#) and click on “Sign In Here”. On the next page enter your username and password.





Step 6.B.2 Usage Terms and Conditions

Once you are successfully logged in, you will be asked to accept or decline the “Usage Terms and Conditions”. Accepting the terms will allow you to access your organization’s profile.

**Illinois Grant Accountability and Transparency Act
Grantee Portal Disclaimer**

USAGE TERMS AND CONDITIONS
*** UNAUTHORIZED ACCESS IS PROHIBITED ***

Further access to this system is strictly limited to users authorized by the State of Illinois conducting official State business. Users of this system shall have no expectation of privacy. By accessing this system the user consents to monitoring and recording, which may be disclosed for administrative, disciplinary, civil, or criminal actions, penalties, or prosecution. Neither the State of Illinois nor any of its employees shall be liable for any damages arising in any way out of the use of this system or any information contained herein.

Step 6.B.3 Associate Your Entity

You will now be asked to enter your entity’s DUNS number to associate your account.

**Illinois Grant Accountability and Transparency Act
Grantee Portal - Associate Grantee**

You are accessing the GATA Grantee Portal with the Illinois.gov Public account:

To associate your account with a grantee record in the Illinois Grant Accountability and Transparency (GATA) system, please enter the 9 digit Dun & Bradstreet DUNS number of your organization and press the 'Submit' button.

If you do not know your DUNS number please [click here for assistance](#).



Step 6.B.4 Create organization profile

If this is a new registration, you will be asked to enter information about the organization. This information should mirror the information provided to FEIN, DUNS and SAM.gov. Once the information is completed click on "Save".

**Illinois Grant Accountability and Transparency Act
Grantee Portal - Registration**

Cancel Save

To create an account with the Illinois Grant Accountability and Transparency System please fill in the form and click the 'Save' button. All fields are required except those labeled 'Optional'.

Organization DUNS
[Text Field]

Organization FEIN (Numbers only. 9 digit Federal Employer ID Number)
[Text Field]

Organization Type
Corporation - For Profit

Illinois Secretary of State File ID (Numbers only)
[Text Field] [Illinois Secretary of State](#)

Organization Name
[Text Field]

Organization Address 1 **Organization Address 2** (Optional)
[Text Field] [Text Field]

City **State** **Zip Code**
Chicago IL [Text Field]

Primary Email **Primary Phone**
[Text Field] [Text Field]

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

IMPORTANT: Please enter and validate this organization's correct fiscal year end date. GATA must record the correct date for audit requirements. Upon clicking the 'Save' button, changes to this date can only be done by contacting the state cognizant agency.

Fiscal Year End Month: June **Fiscal Year End Day:** 30

Cancel Save

Step 6.C – Verification of Pre-Qualification Status

After registration, the GATA Website will electronically verify the pre-qualification requirements. (Verification may take 1-3 business days to display on the GATA Grantee Portal.)

The GATA Website will verify that an entity:

- Has a valid DUNS number
- Has a current SAM.gov account
- Not on the Federal Excluded Parties List;
 - A list of entities who have been barred from government contracting.
- In Good Standing with the Illinois Secretary of State, as applicable;
- Not on the Illinois Stop Payment list;
- Not on the Dept. of Healthcare and Family Services Provider Sanctions list.



Pre-qualification status will be verified after Grantee Registration is completed and nightly thereafter. If an entity has a pre-qualification issue, the specific issue and remediation support is provided thru the grantee portal. You will see a webpage similar image to the below:

Illinois Grant Accountability and Transparency Act
Sign out

If your organization has a FEIN validation issue, please email OMB.GATA@illinois.gov. Include your GATA ID number in the email communication.

The following items require action

A cognizant agency for your organization could not be determined. Please [click here](#) to go to the registration screen and select a cognizant agency.

Organization: Edit
 GATA ID:
 State cognizant agency: **Not yet assigned**
 Contact for assistance: Registration.Grants@Illinois.gov
 You are signed in as:

Notes and Comments Add Note

Post notes for other portal users in your organization. State agency staff can also view and create notes.

Pre-Qualification Status

Items in yellow are being evaluated by the State. Their status could take up to one business day.

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

Note, entities on the Federal Excluded Parties List are not eligible to do business with the State of Illinois. A grantee may be on the Stop Payment List for not meeting terms of past grants with the State of Illinois. If you need to have your status checked, contact the Office of Accountability at ceo.accountability@illinois.gov.

Once all the requirements are marked as ‘Good’ you are eligible to apply to State of Illinois grant opportunities. Congratulations!!

Remember, that you must remain in qualified status to receive a grant award and payments. You will also need to complete risk assessments prior to receiving a grant award.

Note, this process is free to apply.



Risk Assessments

GATA requires all entities to complete a fiscal and administrative and programmatic risk assessment prior to receiving a grant award. This means that an entity can complete the risk assessments before or after an application is submitted, but they must be complete both assessments before an award can be executed.

The Fiscal and Administrative ICQ is available on the GATA Grantee Portal after successful registration and pre-qualification. The Programmatic Risk Assessment and submission instructions will be made available by the State Agency during or after the application period.

Fiscal and Administrative Risk Assessment - ICQ

Entities must complete an Internal Controls Questionnaire (ICQ) as the Fiscal and Administrative Risk Assessment. **The ICQ is completed once, annually, on the GATA Grantee Portal.** All state agencies utilize the results of the ICQ.

If you are a startup, you will need to have already determined how you will track your finances, how the business will be administered, and how the grant program will be managed.

The ICQ consists of about 70 questions that are separated into 10 sections. Each section will take some time to thoughtfully review and answer. Keep in mind, the results of questionnaire may result in additional conditions an entity will need to complete if awarded the grant program.

To complete the ICQ:

1. Log into the GATA portal and click on “Create an FY 2020 ICQ” to start the questionnaire.





2. Answer the questions in each of following sections and once complete hit “Submit”.

**Illinois Grant Accountability and Transparency Act
 FY 2020 Internal Controls Questionnaire**

Return to Main Menu
Print
Submit

When all questions are answered the Submit button will be enabled. After the form is submitted no changes will be allowed. Grantee Portal Access users that have selected "Receive ICQ alerts and notifications" will receive an overnight notification that the status of an ICQ has change.

| Section | Questions | Answered |
|---|-----------|----------|
| 02 - Quality of Management System (2 CFR 200.302) | 7 | 0 |
| 03 - Financial and Regulatory Reporting (2 CFR 200.327) | 3 | 0 |
| 04 - Budgetary Controls (2 CFR 200.308) | 2 | 0 |
| 05 - Cost Principles (2 CFR 200.400) | 9 | 0 |
| 06 - Audit (2 CFR 200.500) | 4 | 0 |
| 07 - Organizational Governance (Including but not limited to: Board of Directors, City Council, County Board, Leadership, Legislature, Governor's Office, etc.) | 9 | 0 |
| 08 - Property Standards (2 CFR 200.310 - 316) | 8 | 0 |
| 09 - Procurement Standards (2 CFR 200.317 - 326) | 10 | 0 |
| 10 - Subrecipient Monitoring and Management (2 CFR 200.330 - 332) | 12 | 0 |
| 11 - Fraud, Waste and Abuse | 6 | 0 |
| All Sections | 70 | 0 |

Printing the ICQ requires Adobe Acrobat Reader.
 ICQ Assistance: ICQ.Grants@Illinois.gov

3. Enter the names of the entity CEO, CFO and the person completing the assessment and click “Certify and Submit”.

**Illinois Grant Accountability and Transparency Act
 Grantee Portal - ICQ Submission**

Name of Chief Financial Officer (or equivalent):

Name of Executive Director (or equivalent):

Submitter Name and Title:

Date:

By clicking the "Certify and Submit" button for this internal controls questionnaire, I certify that

1. The Executive Director and Chief Financial Officer attest to the accuracy of the information provided;
2. To the best of my knowledge and belief that the information is true, complete and accurate and that any false, fictitious, or fraudulent information or the omission of any material fact, could result in the immediate termination of this organization's grant awards.

Cancel
Certify and Submit



4. Each entity registered in the GATA Grantee Portal is assigned a Cognizant State Agency. The Cognizant State Agency may or may not be the State Agency you are submitting a grant application to. However, this agency will review and approve your submitted ICQ and manage other general GATA-related issues. This agency may reach out to you with questions or concerns regarding your answers to the ICQ.

If you have questions regarding the ICQ, reach out to your Cognizant State Agency using the contact information listed in your grantee profile.

Programmatic Risk Assessment

Entities must complete a Programmatic Risk Assessment for each grant award. The Programmatic Risk Assessment consists of grant-specific questions and is administered by the awarding agency. The programmatic risk assessment is generally performed towards the end of the application process. Your state awarding agency will inform you of the timing of the Programmatic Risk Assessment and administer the Programmatic Risk Assessment.

The Department of Commerce and Economic Opportunity (DCEO) will only request a programmatic risk assessment be completed after you have submitted your grant application and DCEO has determined to move forward with your grant application.

Conclusion:

Grantee pre-award requirements are mandated by Federal Uniform Guidance (2 CFR 200) and the Grant Accountability and Transparency Act (GATA). Grantees must complete these requirements prior to receiving a grant award from the State of Illinois.

Questions regarding the grantee pre-award requirements should be directed to your Cognizant State Agency (listed in the GATA Grantee Portal) and program-specific questions to your state awarding agency.

For questions to DCEO, please contact ceo.gata@illinois.gov.