STATE OF ILLINOIS

GRANT ACCOUNTABILITY AND TRANSPARENCY ACT

**1st ANNUAL REPORT TO THE
GOVERNOR AND GENERAL ASSEMBLY**

1/1/2016

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Summary and Next Phases of GATA

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More than 200 Subcommittee and Workgroup Volunteers – see Appendix II GATA Volunteers by Subcommittee

EXECUTIVE SUMMARY

The Grant Accountability and Transparency Act (GATA) became law on July 16, 2014 as Public Act 98-0706. The purpose of GATA is to establish uniform administrative requirements, cost principles, and audit requirements for state and federal pass-through awards to non-federal entities. The Act is significant because grants comprise approximately two-thirds of the Illinois State Budget. Fifty-two (52) state agencies currently have grant-making authority.

GATA encompasses the entire grant life cycle and provides uniformity and guidance for all grant-making agencies in state government. Illinois is the first state in the nation to require uniform rules for the full life-cycle of grants management. The Act serves to build capacity of the grantee community by mandating grant-related training, and providing guidance and support to correct occurrences of non-compliance with fiscal, administrative and programmatic requirements.

We are pleased with our accomplishments during the first year of successes, despite a lack of an adequate budget. GATU has operated with 3 or less full time equivalents staff in the Grant Accountability and Transparency Unit (GATU) throughout the year. The lack of adequate resources have required GATU team members to adopt a creative approach in the development of a new grant process through the use of state agency staff and grantee community volunteers in the rule making and implementation process. The technology solutions have been identified; however, without a budget there are significant challenges to acquire necessary systems for the successful pre-award implementation in fiscal year 2017.

More than 200 volunteers from state agencies and the grantee community have been actively engaged to develop policy, procedures and uniform frameworks to support GATA implementation and prioritize change management required to implement such a broad-ranging initiative. Through well-orchestrated subcommittees, volunteers representing grantees and state agencies have deliberated on the rulemaking and implementation phases. The collaborative approach, although at times has been challenging, has resulted in a thorough review of the different perspectives of the legislative intent, state grant making agency and the grantee perspectives. We believe it has added value in the rule making and implementation process that may have otherwise been overlooked. The ILSAC Subcommittees have collectively been successful in adopting the general state, federal and federal pass-through rules and implementation policies and procedures for the majority of the pre-award cycle including:

- **Rulemaking**
  We have successfully completed the JCAR process for the adoption of the Uniform Federal rules. In addition, we have unanimous agreement of state agency staff and grantee community subcommittee volunteers on the "General" state, federal and federal pass-through grant rules. We are currently working with JCAR and ready to begin the process of posting the agreed-upon rules for comment on the remaining state rules and the amendments to the federal and federal pass-through rules.

- **Strategic Plan and Implementation Timeline**
  A collaborative initiative of this magnitude requires resource prioritization, realistic planning and extensive coordination. Our GATA strategic planning documents provide a framework for orchestrating state-wide, uniform grants management. Twenty-seven (27) areas of focus have been articulated under three levels of responsibility. The strategic plan and implementation timeline serve as a blueprint for the sequential efforts required to implement GATA.

- **Grantee Portal**
  The Grantee Portal will provide the functionality for grantee registration and pre-qualification. It will allow the verification of GATA pre-qualification requirements. Functionality of the Portal will be automated and provide the grantee notifications of items that need remediation, such as an expired DUNs number or not in good standing with the Secretary of State. When applicable, the Grantee Portal will also specify the reason for non-qualification, such as being listed on the Debarred and Suspended List. The Portal leverages the existing procurement portal resulting in savings.

- **Uniform Fiscal and Administrative Risk Assessment of Potential Grantees**
  In order to receive grant funding, the state is required to conduct an assessment of the risk posed by the grantee prior to making the final award. Additional monitoring requirements may be imposed based on the risk assessment. The fiscal and administrative portion of this risk assessment will be centralized, conducted once and shared with grant making agencies thereby reducing redundancy among agencies. The risk assessment process will be completed soon and include an internal control questionnaire, review of fiscal stability and methodology to rank the grantee as low, medium and high risk based on the fiscal and administrative risk posed.

- **Uniform Grant Application**
  To establish grant application consistency, templates for the Notice of Funding Opportunity and the Grant Application have been developed applicable to all grant awards requiring an application for State of Illinois grants. The templates were created to comply with Federal Uniform Guidance and incorporate best practices among grant-making agencies. Both documents include a standard, mandatory section applicable to all state agencies and an agency-specific section customized to the specifications of the grant program.

  A merit based review policy was written to guide agency review and evaluation of competitive grant applications. In response to the requirement for a programmatic risk assessment, a questionnaire was developed to objectively establish a programmatic risk ranking of the applicant. Based on the risk classification, an entity may be subject to special conditions at the point of grant award.

- **Uniform Grant Agreement, Intergovernmental Agreement and Contract Template**
  To ensure that grant agreements, Intergovernmental agreements and contracts utilizing grant funds for the purchase of ancillary goods and services, standard templates are being developed based on agreed upon general structure. The templates will provide a framework that recognizes the need for flexibility for unique requirements for individual grants. The grant agreements will require information detailing the compliance requirements associated with the administration of the grants.

- **Grantee Indirect Cost Rate Negotiation and Approval**
  GATU received written approval from the Federal government for the concept of GATA centralization of grant monitoring functions including the grantee indirect cost rate negotiation, approval of one rate to be used by all state grant making agencies for the grantee, and the ability to outsource a portion of the required monitoring functions. The written permission included the ability to charge indirect cost rate negotiations and other centralized administrative costs to federal grant programs. The Request for Proposal (RFP) to procure a

vendor to conduct indirect cost rate negotiations was completed and issued. The evaluation process is underway.

- **Training and Communication**
  GATA has been successful in providing training to over eleven hundred (1,100) stakeholders during the first year. Training is critical to the success GATA implementation. The training included a GATA overview, rule recommendations, and implementation updates in varied types including face to face meetings, presentations, webinars, and formal speaking engagements at various organization's training conferences.   In addition to the training provided, draft training curriculum has been developed for state agency staff and the grantee community to ensure successful implementation of GATA

  The Communication group has developed a communication plan, designed and implemented an informational website and issued two quarterly newsletters.

- **GATA Performance Measures**
  Grant performance measures will be required in all competitively awarded grants. Grantor agencies will specify these measures within the Grant Agreement. Performance measures are also being developed to evaluate GATA and the process of implementation. The GATA measures will evolve during the implementation and monitoring phases as tracking and reporting capabilities are enhanced. GATU will utilize these performance measures to evaluate the degree to which GATA goals are realized.

- **Catalog of State Financial Assistance**
  A Catalog of State Financial Assistance (CSFA) is being developed as the single, statewide, comprehensive source document of all state financial assistance program information. The CSFA is currently being populated by state agencies and will include a complete list of all state and federal grants available in Illinois. The initial focus was on the public version of the CSFA which will inform interested parties about state financial assistance programs. A second version of the CSFA is limited to authorized state personnel and will include grant award data, appropriation and spending data at the State Award Identification Number and/or Federal Award Identification Number. The internal CSFA will be utilized to identify State Cognizant Agencies for indirect cost rate negotiations and audit report reviews.

- **Illinois Stop Payment System**
  An internal database available to authorized state personnel, the Illinois Stop Payment List, has been established as an interim solution to inform state agencies of grantees with non-compliance issues. With a central repository of cross-agency information sharing, Illinois is better positioned to improve risk assessments and enhance financial transparency. Agencies are required to provide information on any individual or entity found to be ineligible, either temporarily or permanent, to receive grant funds. It is incumbent on state agencies to refer to the Illinois Stop Payment List before entering into or modifying grant agreements. The next phase of the Illinois Stop Payment System will include a notification protocol and standard terms for stop payment classifications.

- **Technology**
  Based on the rule and implementation recommendations, technology solutions have been identified and draft designs have been completed. However, without a budget there are

significant challenges to acquire necessary systems for the successful pre-award implementation in fiscal year 2017.

- **Grants Manual**

    A Grants Manual will be developed to support GATA implementation. Separate sections will be dedicated to state grant making agencies and the grantee community. Common definitions will be articulated along with instructions to support the use of GATA frameworks, policies and procedures. The Manual will be provided online for ease of reference and maintenance.

This inaugural GATA annual report provides an overview of the GATA initiative and highlights accomplishments and next steps. During this first year, efforts were concentrated on solidifying rules and preparing for implementation of the pre-award phase of the life cycle of a grant. As required by the Act, we are required to provide information on the following:

(i)   The number of entities placed on the Illinois Debarred and Suspended List;
(ii) Any savings realized as a result of the implementation of this Act;
(iii) Any reduction in the number of duplicative audits;
(iv) The number of persons trained to assist grantees and subrecipients; and
(v) The number of grantees and subrecipients to whom a fiscal agent was assigned.

Due to limited resources and information, we were unable to measure the savings or estimate the potential savings for the majority of the required report matrices. The implementation of the CSFA in January 2016, will provide information necessary to estimate, benchmark and track savings for centralized and coordinated monitoring activities such as grantee indirect cost rate negotiation and approval, audit report reviews, and on-site reviews. Utilization of the Illinois Stop Payment System will enable GATU to quantify the impact state-wide management of non-compliant grantees. The impact of pre-qualification, and fiscal and administrative risk assessments will also be quantifiable once the associated systems are fully implemented.

We are able to report the number of grantees and subrecipients trained and estimated savings for leveraging existing state IT contracts. These are reported in the Training Section of the report.

Illinois is uniquely positioned as a national leader in grants management. Under GATA we have the legislative directives to maintain this ranking. Ongoing support and commitment is needed to ensure that Illinois continues in this leadership position.   We respectfully ask for your continued support and necessary resources to enable Illinois to fully implement a uniform grant management system that create efficiencies, minimize redundancies and sets a framework to assist in identifying fraud, waste and abuse.

Next Steps
GATA will focus on technology solutions to implement the Pre-award Phase. In order to meet deadlines for implementation of the Pre-award Phase in fiscal year 2017, it is imperative that funding and staffing resources are available by the end of January, to finalize the design and implementation of the technology plan.

Immediate next steps include first quarter 2016 implementation of the following: pre-qualification and assessment of risk posed by grantees, templates for Uniform Notice of Funding Opportunity, Uniform Grant Application, Uniform Grant Agreement and Inter-governmental Agreements, and templates for uniform budgeting and financial reporting, Details on the next steps for each area are included in Appendix III Subcommittee Reports.

INTRODUCTION

Effective July 16, 2014, the Grant Accountability and Transparency Act (GATA) became law as Public Act 98-0706.   This Act is the work product of the Illinois Single Audit Commission, created by Public Act 98-47 and is intended to comply with the General Assembly's directives to (i) develop a coordinated, non-redundant process for the provision of effective and efficient oversight of the selection and monitoring of grant recipients, thereby ensuring quality programs and limiting fraud, waste, and abuse, and (ii) define the purpose, scope, applicability, and responsibilities in the life cycle of a grant.

GATA is consistent with the state's focus on improving performance and outcomes, while ensuring transparency and the financial integrity of taxpayer dollars. It joins the list of earlier initiatives with a similar focus, such as the Management Improvement Initiative Committee created by Section 1-37a of the Department of Human Services Act, the state prioritized goals (Budgeting for Results) created under Section 50-25 of the State Budget Law, and the Grant Information Collection Act.

The purpose of this Act is to establish uniform administrative requirements, cost principles, and audit requirements for state and federal pass-through awards to non-federal entities. State awarding agencies shall not impose additional or inconsistent requirements, except as provided in 2 CFR 200.102, unless specifically required by state or federal statute. This Act and the rules adopted under this Act do not apply to private awards, nor are they intended to affect the provisions of the Illinois State Auditing Act and the external audit function of the Auditor General.

GATA and the rules adopted under this Act provide the framework for a systematic and periodic collection and submission to GOMB required information for all state and federal financial assistance programs by state grant-making agencies. This Act also establishes policies related to the delivery of this information to the public, including the use of electronic media.

We are pleased to articulate a GATA update in this annual report which summarizes the actions taken to implement this Act over the past year. The accomplishments to date are wide-ranging and reflect a concerted joint effort by state government and the grantee community.

BACKGROUND AND HISTORICAL EVOLUTION OF GATA

The Illinois Legislature's landmark passage of the Grant Accountability and Transparency Act (GATA) was driven by a need to spend taxpayer funds more judiciously while supporting their constituents' needs to simplify and improve grant accountability processes.

The grantee community started an initiative to remove redundancies and streamline the grant process for the following four human service agencies: Humans Services, Public Health, Children and Family Service and Healthcare and Family Services. In 2010, House Bill 5124, sponsored by Senator Chapin Rose was introduced, passed both houses unanimously, and was signed into law as Public Act 96-1141 on August 21st. The law brought focus to the critical need to eliminate waste and redundancy and build modernized, efficient, and accountable human service requirements and processes.

As a result, a committee of representatives of the four human service agencies and the grantee community was formed to provide requested recommendations to the General Assembly. The committee unanimously agreed on thirty-five (35) recommendations in seven (7) areas. These recommendations formed the basis of additional legislation, PA 97-0558, and created the Management Improvement Initiative Committee (MIIC), effective August 25, 2011. Subsequently, the Department on Aging joined this endeavor. Under MIIC, significant changes were implemented, which led to improvements in administrative and technological areas.

Among other suggestions, MIIC recommended that Illinois follow federal grant rules as a method to unify and simplify processes and remove redundancies. The majority of grants issued in Illinois have and continue to be federally-funded or utilize state funds as matching, in-kind, or maintenance-of-effort as a condition of existing federal grants.

Based on the work of MIIC, Representative Bellock and Senator Althoff sponsored legislation that created the Illinois Single Audit Commission (ILSAC). The charge of ILSAC was to research and provide recommendations to extend the recommendations of MIIC statewide.

During this same time frame, the federal government reviewed and revised administrative requirements, including cost principles and audit requirements for federal grant recipients and sub-recipients. In December, 2013, the U.S. government published Uniform Guidance, 2 CFR 200, to take effect in December 2014. Uniform Guidance, applicable for all federally funded grants, provided a framework for ILSAC's recommendations for Illinois.

Based on recommendations from ILSAC, Senator Althoff, Representative Bellock, Representative Crespo, Senator Kotowski, sponsored the Grant Accountability and Transparency Act (GATA). Thanks to their efforts and the support of many others, Illinois has begun the process of streamlining current inefficient grant practices and improving the management of all grants.

OPPORTUNITIES FOR GRANT REFORM

Through MIIC and ILSAC analysis, the need for grant reform was clearly evident. The inefficiencies and redundancies within current grant practices in Illinois may be summarized as follows:

Illinois Current Grant Practices

COMMUNICATION	TECHNOLOGY	RESOURCES
No uniform business processes and procedures for grant application, contracting reporting, monitoring, and auditing	No statewide technology system to manage grants	Limited staff and resources available for monitoring
No common grant terminology; inconsistencies increase administrative costs with no value added	Prevalence of redundant, silo databases that are not supported	Limited financial resources
Debarred or suspended entity status is not shared among state agencies to prevent fraud and abuse	Lack of transparency and comparable data	Grant staff turnover results in gaps in processes
Loss of Institutional Knowledge		

Grants are a significant component to the operation of the State of Illinois.

- Grants comprise approximately 66% of the Illinois' State budget.
- Federal grant revenue is the largest single state revenue source.
- Illinois received approximately $19.6 billion in federal funds in FY13.
- Federal funds comprised more than 31% of the entire FY13 State of Illinois budget.
  (Source: FY2013 CAFR)

There are fifty-two (52) state agencies that have grant-making authority. Of these agencies, ten (10) account for $44.6 billion or 95% of grant appropriations. Four hundred sixty-two (462) individual grant appropriations in the Illinois State budget range from $400.00 to $4.5 billion.

It is estimated that 6% of total revenues are lost to fraud, waste and abuse. Federal grant estimates of fraud, waste and abuse range from 10% to 26%. A mere 1% to 2% return on investment for Illinois would net $500 million to $1 billion.

An analysis was performed on grantees who received grants from two (2) or more of the five (5) social service agencies, based on two (2) of the required compliance activities: audit report review and on-site fiscal and administrative review. The results showed that more than 350,000 labor hours for State

employees (230 full time employees or FTEs) were duplicated at a cost equal to or greater than $33.7 million. This duplication is due to lack of coordination within compliance activities and data that is not currently catalogued or shared among state agencies. For Illinois grantees an estimated 250,000 labor hours (167 FTEs) were duplicated at an estimated cost of $15 million.

THE VISION OF GATA

GATA provides standardization that will eliminate the duplication of effort for audit report reviews, indirect cost rate negotiation, on-site reviews and training.

Goals and Objectives
- Assist state agencies and grantees in implementing the new Federal guidance at 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Requirements),
- Increase accountability and transparency while reducing redundant administrative burdens,
- Promote cross-sector cooperative efforts including both state agency and grantee input for rulemaking and implementation recommendations,
- Strive to maintain a uniform process throughout the entire grant life cycle by leveraging the Uniform Requirements,
- Optimize resources including coordination of grant-monitoring activities to promote efficient use of scarce resources,
- Focus on program outcomes,
- Provide training and technical assistance for state agency staff and grantees, and
- Assist grantees in using Uniform Requirements to build capacity and improve Illinois resources.

Guiding Principles
- Identify core requirements while recognizing the need for flexibility for unique program requirements. Uniformity is key. Do not manage by outliers.
- Create efficient and effective policies and procedures using a zero-based approach,
- Stay mindful of cost benefit relationships for small grants and state grant-making agency grant management requirements, and
- Identify interrelationships between workgroups and subcommittees and communicate to avoid duplication of effort and overlapping processes.

GATA implementation focuses on options to increase efficiencies such as:
- Centralized audit report reviews,
- Centralized indirect cost rate proposal rate negotiation and approval,
- On-site review protocol uniformity and coordination,
- Coordinated, standardized training and presentation materials,
- Unified Debarred and Suspended List and Stop Payment System,
- Refined performance measures for state grants,
- Use of the Central Repository Vault (information warehouse concept),
- Continuous assessment and improvement of GATA policies and procedures,
- Development and implementation of common registration, monitoring and reporting systems across State of Illinois Enterprise, and
- Uniform guidance through the grant life cycle to optimize resources through the development of an increased efficiency model.

The GATA motto: "Successful grantees = Successful Illinois"

PLANNING FOR SUCCESS

ILSAC Subcommittee Structure for GATA

Following the passage of GATA, GOMB began working with the ILSAC to accomplish the implementation of GATA. By creating a subcommittee structure, volunteers from both the State agencies and the grantee community have come together in their respective areas of expertise to provide guidance. The ILSAC subcommittees and workgroups are critical to the success of the implementation of GATA. The subcommittee and workgroup structure is provided below.
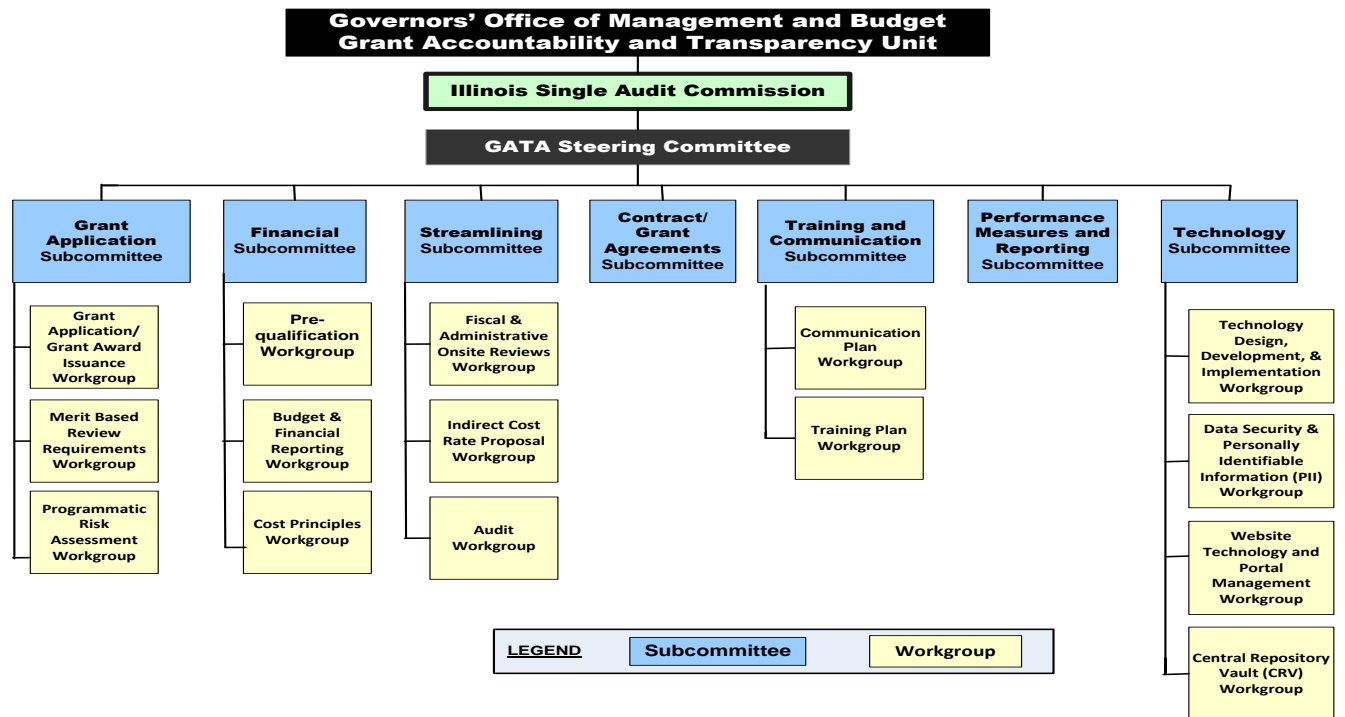
The ILSAC subcommittees are made up of Grant Accountability and Transparency Unit (GATU) staff, representatives from the state grant-making agencies, and representatives from the grantee communities. Subcommittee have two co-chairs – one representing the state grant making agency and one representing the grantee community. Currently, there are over 200 members serving on the subcommittees. Over 40% of the subcommittee members represent the grantee community. In addition, the National Council of Nonprofits and their Illinois affiliate Forefront (formerly Donor's Forum) have provided guidance and support throughout the rule making and implementation phases and have agreed to continue their supportive efforts in the future.

GATA Steering Committee

The GATA Steering Committee is made up of the GATU staff and the Co-Chairs of the ILSAC Subcommittees. The purpose of the GATA Steering Committee is to:

- Provide oversight and guidance to the ILSAC Subcommittees and Workgroups,
- Review the ILSAC Subcommittee's recommendations,
- Ensure that the recommendations follow federal rules and meet the goals and objectives of GATA, and
- Develop a funding mechanism for GATA.

Subcommittee Responsibilities

The table below highlights the areas of responsibilities of the Subcommittees.

Subcommittee	Area of Responsibilities
Grant Application	➢ Develop a uniform grant application ➢ Develop requirements for publishing Notices of Funding Opportunities ➢ Develop merit based review requirements ➢ Develop a framework for programmatic risk assessment
Financial	➢ Identify pre-qualification requirements including grantee registration and fiscal and administrative risk assessment ➢ Develop a uniform budget and financial reporting template ➢ Develop cost principles training and technical assistance guides
Streamlining	➢ Develop uniform on-site review protocol for fiscal and administrative requirements ➢ Prepare an RFP for the negotiation of an indirect cost rate proposal, evaluation and selection of the vendor ➢ Develop uniform audit requirements
Contract and Grant Agreements	➢ Develop a uniform grant agreement ➢ Develop uniform contract clauses for goods and services purchased with federal funding ➢ Develop uniform record retention requirements ➢ Develop uniform rules for remedies for non-compliance ➢ Develop uniform rules for the termination of grants
Training and Communication	➢ Develop training requirements ➢ Develop training implementation processes ➢ Develop communications methods and procedures ➢ Develop web content ➢ Develop newsletter and other communication content ➢ Assist GATU with presentations and meetings
Performance Measures and Reporting	➢ Develop performance measures to monitoring GATA implementation
Technology	➢ Determine and plan technology needs to implement GATA ➢ Research existing technology for use and/or alignment

GATA Implementation Structure

The GATA implementation structure is divided into three phases:

Rulemaking Phase

- Subcommittee were responsible for reviewing applicable state and federal regulations within the Uniform Requirements and in GATA in order to make informed recommendations to the GATA Steering Committee.
- Subcommittees recognized that state rules can be more stringent, but not less stringent than the federal guidelines.

- Subcommittees were responsible for making rule recommendations in areas where the state and federal regulations allow for flexibility.
- Subcommittees determined if the state needed to add additional requirements to all awards.
- Subcommittees recognized the need for flexibility for unique requirements of individual grant programs.
- Performance metrics were initially drafted to measure the effectiveness of GATA.
- Training topics were identified so that curricula can be developed and implemented to meet the needs of state grant making agency staff and grantee staff,
- And, high level technology needs were identified for the Implementation Phase.

Implementation Phase

- Based on the rules, Subcommittees established a uniform framework for state-wide grant policies and procedures. Efforts were made to ensure that the framework allows flexibility for unique requirements for individual grant programs.
- Subcommittees reviewed the policies and procedures to ensure the objectives of GATA are met: lessen the administrative burden and remove duplication of effort among grant making agencies and their grantees.
- Policies and procedures were considered within the context of the limitations of small providers and grant awards with an emphasis on helping to build capacity through training and technical assistance. And, policies and procedures were considered relative to the cost / benefit of monitoring required to meet the state and federal grant rules and regulations.

Monitoring Phase

- It is recognized that implementation is an ongoing process. GATU and the Subcommittees will review the rules, policies and procedures during and after the initial implementation.
- GATU and the Subcommittees will make necessary enhancement to rules, policies and procedures as issues are identified to ensure alignment with the objectives of GATA.
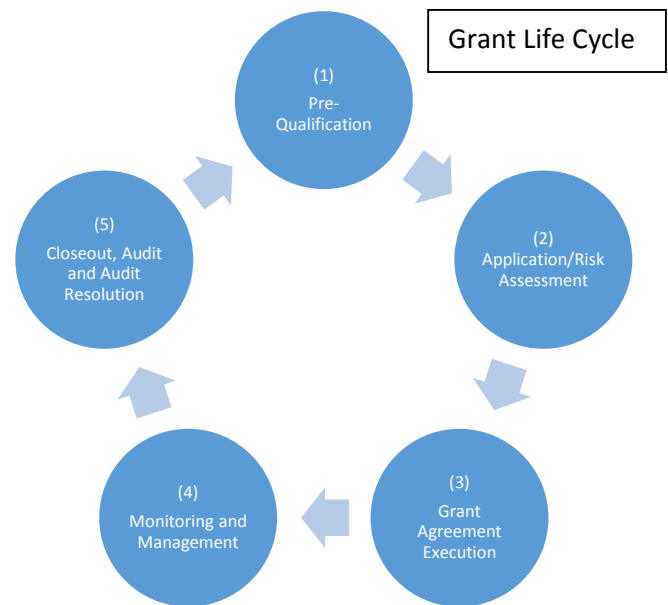
ACCOMPLISHMENTS

National and International Recognition

Illinois is the first in the nation to require the implementation of a comprehensive set of standards that mandate accountability and transparency throughout the entire grant life cycle.

The following examples highlight public awareness of GATA:

- The National Council of Nonprofits believes this Act should be the national model.
- The Federal Council on Financial Assistance Reform (COFAR) and the President's Office of Management and Budget are encouraging other states to follow Illinois' lead.
- States, including Florida, New York, North Carolina, and South Carolina have reached out to Illinois for guidance in passing and implementing similar legislation.
- Dialog with Canada has included a discussion of Illinois' grant reform model and accountability as a model of best practices.
- *Governing Technology*, a well-known governmental news source for those in government, recently published an article on GATA, entitled, "Will Illinois Become a National Model for Grant Management?" A copy of the article can be found as an Appendix to this report.

GATA's First Year Accomplishments

Fiscal Year 2016 has been challenging in many respects. Without a budget, GATA efforts have been strained, but significant strides have been made towards creating a new grant process through the development and implementation of rules, best practices, and the identification of technology solutions. Much has been accomplished through the prioritized efforts of 200 plus volunteers representing the grantee community and state agency personnel. State agency leadership that has embraced the GATA legislation and the change management required to implement such a broad-ranging initiative.

The GATU has been in existence for only a year. To date, GATU has had one full-time staff and up to three staff for periods of time. Joint efforts from the grantee community, state agencies and their individual staff members have been invaluable. The work of the volunteers through subcommittees has allowed input from both the grantee and state agency perspective in the deliberations for the rulemaking and implementation phases. Over 200 people serve on the subcommittees, including 60% from the state agencies and 40% from the grantee communities. This work has been and will continue to be time consuming, but the cross section of ideas is needed to understand the details of grants from the viewpoints of the grant-making state agencies and their respective grantees.

In charting this new territory, the GATU and its volunteers have been careful to adhere to the goals and objectives of the Act. This first GATA Annual Report provides a vehicle to share successful accomplishments.

STRATEGIC PLAN FOR GATA IMPLEMENTATION

A GATA implementation plan includes twenty-seven areas of focus. For each area, deliverables have been defined, a GATU lead has been identified, and a prioritized target date has been established. The Strategic Plan for GATA Implementation is a framework for managing the scope of effort required to execute GATA and a guide for resource management.

The Timeline for GATA Implementation is provided in the Appendix. The implementation plan is structured around three categories of initiatives:
- Rulemaking Initiatives that require JCAR coordination to codify State of Illinois rules and the finalization state agency rules,
- Workgroup Initiatives associated with the scope of responsibility assigned to the GATA Workgroups and Subcommittees, and
- GATU Initiatives executed internally by the GATU for state-wide implementation.

Under Rulemaking Initiatives, JCAR codification of Federal, Federal Pass-through and State rules are scheduled for completion in second quarter 2016. Efforts to finalize Agency Rules to support Federal exceptions, Illinois Compiled Statues and/or Illinois Administrative Code are projected to continue through fourth quarter 2017. GATU implemented a GATA Rules Exception Request Form and will continue to work with Chief Accountability Officers to support the development of Agency Rules.

Subcommittees and their respective workgroups have scheduled multiple initiatives for first quarter 2016 implementation including:

- Pre-qualification and assessment of the risk posed by the grantees,
- Templates for Uniform Notice of Funding Opportunity and Uniform Grant Application,
- Merit based review policy,
- Framework for programmatic risk assessment,
- Templates for uniform budgeting and financial reporting,
- Recommended performance metrics to measure GATA success,
- Templates for Uniform Grant Agreement and Inter-governmental Agreements, Contract language for goods and services purchased with grant funds, and
- Curriculum for cost principles training.

Detail regarding the specific accomplishments related to these areas is documented in Appendix III.

GATU Initiatives include broad-ranging efforts such as the development of the public, Internet-based Catalog of State Financial Assistance, the establishment of the grantee registration portal, and implementation of an internal, access-restricted Illinois Stop Payment List for non-compliant grantees. These GATU Initiatives are slated for full implementation on or before second quarter 2016. More information on these GATU Initiatives is provided within the subsequent sections.

GATU will continue to follow the Strategic Plan to oversee GATA implementation. The Strategic Plan is a guiding, yet working document. If necessary, the Plan will be adapted to support administrative priority and resource constraints.

Every effort will be made to adhere to the target dates specified in the Timeline for GATA Implementation. Milestones and contingencies will continue to be carefully monitored. Proactive management of strategic

GATA requirements through regular GATU staff meetings and accountability to the GATA Steering Committee and ILSAC will educate and inform stakeholders throughout GATA implementation.

Uniform Rules and the JCAR Process
One of GATU's first responsibilities was to have rules adopted for the Grant Accountability and Transparency Act by the Joint Committee on Administrative Rules (JCAR). The effective date of the first set of rules is July 24, 2015.

As previously mentioned, every subcommittee was tasked with reviewing the Uniform Guidance, 2 CFR 200, with respect to their particular area of concentration. The federal rules were already binding, effective December 2014. The rules were reviewed to see if any modifications were needed to apply the rules to the State of Illinois. Modifications could be more specific or stringent, but not less than what was required federally. The subcommittees also had to remain flexible for the unique requirements of individual grant programs. The subcommittees, steering committee, and ILSAC approved draft state rules with only nine (9) changes included in Appendix VI. These rules are in the process of being posted for further action by JCAR, at the time of this report.

GATA Communications
Effective communication has been a fundamental focus of GATA The GATU Director has given multiple overview presentations to various stakeholders, including Legislative Sponsors, the Governor's Office, State Agency Chief Accountability Officers, the ILSAC Commission, Forefront (formerly Donors Forum), Springfield Chapter of the Institute of Internal Auditors, Office of the Executive Inspector General, Illinois CPA Society, Illinois Partners, and the ILSAC/GATA Steering Committee. Ongoing communication is especially important to the state agencies and grantees. GATU presented four (4) Town Hall meetings at locations across the state, delivered three (3) webinars, and organized many meetings to educate and inform around GATA. The GATU Director has also emphasized the impact of GATA to the Illinois CPA Society and state internal auditors in preparation for the changes they must be aware of in their capacities as fiscal agents and/or auditors.

To further public communication, a section of the GOMB website has been dedicated to GATA. Links from the GATA section of the website include the proposed rule changes, recorded webinars, and other resources and reference materials. Please see http://www.illinois.gov/gov/budget/Pages/GrantAccountability.aspx. Two newsletters publicizing GATA efforts have been distributed and also appear on the website. To further enhance communication between GATU staff, volunteers, and committees, a GATU SharePoint site was built to house a shared calendar, shared working files, and specific committee information. It is accessible to all subcommittee members, Chief Accountability Officers, and several other stakeholders.

Coordination with Chief Accountability Officers
To effectively implement GATA in state agencies, each grant making agency was asked to identify a Chief Accountability Officer (CAO). Please see Appendix IV for a list of CAOs. The CAOs are a contact point between the agency and GATU. CAOs are also responsible for ensuring their agency is engaged in GATA implementation tasks necessary for their agency's successful implementation.

Catalog of State Financial Assistance
GATA requires a state catalog of grants similar to the federal Catalog of Federal Domestic Assistance (CFDA). GATU is building a Catalog of State Financial Assistance (CSFA) as the single, authoritative, statewide, comprehensive source document of state financial assistance program information. This will

be the first time a complete list of state and federal grants will be available in one place in the State of Illinois.

There will be two versions of the CSFA: a public website and an internal database available to authorized state personnel. Initial efforts have focused on the public CSFA website which includes seventeen (17) data elements required for each financial assistant program. Through CAO coordination agencies are populating the CSFA template with all Federal, Federal Pass-through and State awards received. Each award is automatically assigned a CSFA number for management tracking purposes.

The internal CSFA data will include all information from the public CSFA website and additional grant-related data required for GATA life-cycle grant management. Agencies are currently compiling specified grantee data under each CSFA number. This grantee data is required for GATU to identify State Cognizant Agencies. State Cognizant Agencies will have a vital role in indirect cost rate negotiations, audit report corrective actions, and grantee monitoring functions.

Additional fields will incrementally be added to the internal CSFA. Data fields to track grant awards at the Federal Award Identification Number (FAIN) level and to associate appropriations and expenditures to a specific CSFA will be incorporated. Training and instruction will continue to be developed to support state agency updates to the CSFA. Likewise, overview documentation and promotional efforts will be undertaken to support the public release of the CSFA.

Cost Principles and Cost Allocations
With the federal government's concentration on improving the understanding and use of cost principles and cost allocations, GATU focused on the need for correct calculation of indirect cost rates. An RFP was published seeking a vendor to provide administration, review and negotiation services of Indirect Cost Rate Proposals and Cost Allocation Plan submission by Illinois grantees. Procurement of the selected vendor is scheduled to be completed by the end of January 2016.

Technology Solutions
Technology is critical for the success of GATA and is a major undertaking for GATU. With an overarching goal to maximize state resources, GATU has spent a great deal of time researching existing state systems to determine effective modification and reuse for GATA implementation. Based on this research, GATU will likely modify and use existing state licensure to accomplish its implementation goals at a greatly reduced cost and with an accelerated implementation rate. GATU staff are also working with the Enterprise Resource Planning (ERP) implementation team to determine what business needs ERP can meet through standard implementation and minor configuration and identify gaps that must be met through other means. GATU has identified key functions not supported by the ERP solution. Effective and efficient interface coordination between ERP and other systems will be required to ensure seamless processing.

The state's own procurement registration system currently appears to offer the most likely framework for developing a grantee registration portal, which will be the vital first step for entities applying for grants in Illinois.

Technology Implementation Next Steps
Given fiscal constraints, the GATU Technology sub-committee continues to take all possible steps to maximize existing state resources to implement the necessary information technology platform for GATA. The following provides a reference as to the system, purpose, estimated cost to meet GATA mandates and estimated cost savings anticipated through the use of existing assets.

System	Purpose	Estimated Cost	Estimated Savings	Source of Savings
Grantee Portal	Pre-application registration and clearance of potential grantees	$150,000 – One Time Cost $50,000 – Estimated Annual Cost	$120,000 – One Time Savings for Licensure $25,000 Estimated Annual Savings	Use of existing licensure held by the Office of the Chief Procurement Officers. Sole Economically Feasible Source procurement is underway.
Grantee Pre-qualification Verification System	Vendor credentials verification and fiscal risk assessment	$100,000 – Annual Cost	$150,000 – 300,000*	Expansion of existing DHS contract to cover grantees. This savings could be expanded greatly by combining all current contracts within the State of Illinois under one Master Contract. *Under a Master Contract, savings could be as high as $300,000 and provide increased services to ALL impacted agencies.
Case Manager	Determination and tracking of programmatic risk	TBD	TBD	Licensure is available under the IBM ELA.
Webinar/Learning Management System	Host, track and record training modules and hold on-line meetings	$10,000 – Annual Cost	$100,000 – Annual Savings (based on unified Master Contract Costs)	Currently working with DOR, DPH and DOT to combine all licensure under a single agreement to leverage the Master Contract in place.
	Total Cost/Savings	**$150,000 One Time Cost** **$160,000 Annual Cost**	**$120,000 – One Time Savings** **$275,000 – $425,000 – Annual Savings**	

Central Repository Vault
The Central Repository Vault (CRV) concept, developed for the Management Improvement Initiative Committee (MIIC), will be enhanced and expanded. The CRV data warehouse is currently in use by the state's human services agencies. Each grantee files documents required for grant processing in the CRV. Those documents are available to all state agencies that have a grant with the same entity. This creates efficiencies because grantees only need submit documents once and state agencies have the ability to share common documents. The percentage of site visits to review documents will also be reduced.

Illinois Stop Payment List
GATA requires the GOMB to maintain a list that contains the names of individuals and entities that are temporarily or permanently ineligible to receive an award of grant funds from the state. A database has been created and procedures established for the Illinois Stop Payment List, an interim solution to inform state agencies of grantees with non-compliance issues. This initiative establishes a central repository of cross-agency information sharing to improve risk assessment processes and enhance fiscal management transparency. It is incumbent on state agencies to refer to the Illinois Stop Payment List before they enter into or modify grant agreements.

Using the Illinois Stop Payment List, agencies are required to provide information on any individual or entity that the agency has found to be ineligible, either temporarily or permanently, to receive grant funds.

All data in the Illinois Stop Payment List will be maintained in an internal database only available to authorized state personnel. Uniform guidelines and notification protocols will be established to implement a more robust technology solution for the grantee stop payment system. Uniform conditions for stop payment status are being considered along with mandates for specified scenarios that would cease, temporarily or permanently, all payments from the State of Illinois.

Management tools will be developed to track agency utilization of the Illinois Stop Payment List and to quantify benefits received through application of Illinois Stop Payment List.

Performance Measures
The federal 2 CFR 200 addresses the need for performance measures in grants. Such measures will be specific to each program, and therefore left to the grantor agencies to identify. However, performance measures also apply to GATA itself and the process of implementation. GATA-level performance measures are necessary to identify if the intended goals are being accomplished. During the on-going assessment and monitoring phase, it is likely that some changes will need to be made, and performance measures will assist in identifying where those changes are needed.

Training
Training is important to the success of GATA for state agencies and grantees alike, and is an absolute necessity for the building of capacity among the grantees. Staff and the subcommittees are currently identifying areas where training is needed, a fluid task as new skill and proficiency needs are identified. Staff have researched the availability of training platforms and cost-effective computer-based training and webinars are the primary methods being planned. As a result, economies of scale may benefit many agencies that have been negotiating these services independently in the past. As the Subcommittee's deliberated on the Rulemaking and Implementation Phases they were required to provide areas of content to include in the training. The Training and Communications Subcommittee has been working with GATU and the subcommittees to determine the "core training" that will be required for all state agency staff and grantee staff responsible for grant administration. Intermediate and advance training courses will be available to all state agency staff and their grantees. In addition, a Grant Management Certificate program will be offered. Grantees that obtain the Grant Management Certificate will be taken into account when the risk assessment ratings are assigned. Training curriculum is in the beginning stages of development.

As required by the Act, the Annual report shall include the number of persons trained to assist grantees and subrecipients. Below is a table listing the number of trainings held including GATA overview presentations rule recommendations and Implementation updates provided by GATU Director during the first year.

First Year Training Provided

Training Topic	Stakeholders	Training Type	Total Participants / Meetings
GATA Overview	Legislative Sponsors, Governor's Office, Advocacy Groups, Grantees, Agency Staff, Illinois Office of the Inspector General, Institute of Internal Auditors, IL CPA Society	Face to Face Presentations, Webinars, Meetings, Conferences	600
Rule Recommendations	Grantees and State Staff	4 Town Hall meetings (LaGrange, Springfield, Chicago and Hoyleton), webinar	400
Implementation Updates	Legislative Sponsors, Governor's Office, Grantees and State Staff	Face to Face Presentations, Webinars	120
Other meeting/presentations			
ILSAC Meetings	Commission Members	Commission Meetings	4
GATA Steering Committee	Subcommittee Co-Chairs	Committee meetings	6
CAO Meetings	State Agency CAO	Update meetings	6
Total Training Participants			**1,120**

Funding Mechanism, Statewide Indirect Cost Allocation and the Revolving Fund

A revolving fund is suggested for funding the functions for GATA.   A revolving fund will allow GATA to charge each agency for actual costs incurred for items including GATA staff, and the agency's portion of centralized and contract costs including:

- indirect cost rate negotiation,
- audit report review,
- Grantee Portal including grantee registration, validation and pre-qualification including assessing the risk posed from a fiscal and administrative perspective,
- maintenance of the Catalog of State Financial Assistance including the assignment of a Illinois Cognizant Agency,
- training and technical assistance to grantees and state agency grant administrative staff,
- coordination of on-site reviews, including design and implementation of standardized review protocol, reporting, corrective action and distribution of information,
- maintenance of state and federal general grant rules,
- development and maintenance of the Illinois Debarred and Suspended and the Stop Payment listings,
- design, development and maintenance of statewide monitoring systems and interfaces with the statewide Enterprise Resource Planning (ERP) System,

- design and negotiation of the cost allocation plan for the GATA with the federal government including writing the Advance Planning Document, and
- on-going monitoring and assessment of GATA.

The agency's portion will be determined based on the number of grantees provided services for the centralized functions of GATA. When a grantee has grants with multiple agencies the amount charged to the agency will reflect the proportionate share.

The overall goal of GATA is to increase accountability and transparency while reducing the administrative burden. The centralization of common compliance requirements is a central focus to increase efficiency, effectiveness and generate significant savings in the administration of federal, federal pass-through and state grant programs. The centralization will allow administrative and monitoring requirements to be performed once and share with state grant making agencies to reduce the overall cost of administrative requirements and eliminate redundancies and duplicate effort among agencies.

The costs associated with the federal and federal pass-through is allowed to be charged to the individual grants as allowable administrative costs. The state grant programs will be charged for their administrative costs. The objective is to reduce the costs for complying with the new uniform guidance and strive to increase the overall compliance with state and federal rules. GATA staff have been working closely with the federal government to establish an allocation methodology and will be preparing an Advanced Planning Document including a cost allocation plan to be submitted in the first quarter of calendar year 2016. The federal government has been very supportive of the Illinois' Grant Accountability and Transparency Act and is sharing our methodology as a best practice to other states.

Fiscal Agent
As a result of the risk assessment mandated under 2 CFR 200.205, potential grantees may be determined to have inadequate fiscal capabilities. Pursuant to sub-section 207, state agencies may impose special conditions on a grantee in response to their risk profile. Where applicable, a grantee may be required to establish a fiscal agent relationship to enable the grantee to have adequate financial expertise so it is capable of complying with fiscal and administrative requirements of the grant.

To support the utilization of fiscal agents, GATA will establish guidelines for the roles and responsibilities of grantee fiscal agents and articulate qualification requirements for fiscal agents. These parameters will aid the grantee community in selecting and managing the entity performing the fiscal agent function on their behalf. Efforts required to develop and implement the fiscal agent framework will begin first quarter 2016.

Summary and Next Phase of GATA
GATA is the first legislation in the nation to govern the entire grant life cycle. Legislative sponsors and state agency leadership have embraced this holistic approach to grants management. The complexities of the grant life cycle necessitated an initial focus on the pre-award phase which broadly included grantee pre-qualification, the application process and related risk assessments. Funding and staffing resources are crucial for GATU to implement the technology solutions required for efficiencies and maximum cost savings.

The next phase of GATA implementation will include:

- refinement of pre-award frameworks, policies and procedures,

- implementation around the Monitoring Phase of the grant life cycle including audit report reviews, onsite fiscal and administrative reviews, indirect cost rate negotiation, design of performance metrics; and
- initiating work on the Assessment Phase to enhance and refine GATA implementation.

Additional detail about the accomplishments and next steps for each Subcommittee are articulated in Appendix III Subcommittee Reports.

Appendices

ILSAC Subcommittees
Grant Accountability and Transparency Unit
Subcommittee and Workgroup Chairs

GRANT APPLICATION/GRANT AWARD ISSUANCE SUBCOMMITTEE

GATU	Jennifer Butler	Governor's Office of Management and Budget
Co-Chairs	Junaid Afeef	ICIJA
	Ahlam Jbara	ICIRR

FINANCIAL SUBCOMMITTEE

GATU	Carol Kraus	Governor's Office of Management and Budget
Co-Chairs	Lori Beeler	Illinois Department of Transportation
	Chris Schranz	Allendale Association

STREAMLINING SUBCOMMITTEE

GATU	Carol Kraus	Governor's Office of Management and Budget
Co-Chairs	Lisa Labonte	Illinois Department of Natural Resources
	Tim Sheehan	Lutheran Social Services of Illinois

CONTRACT-GRANT AGREEMENTS SUBCOMMITTEE

GATU	Carol Kraus	Governor's Office of Management and Budget
Co-Chairs	Rob Grindle	Illinois Department of Human Services
	Ravi Sahota	Illinois Department of Human Services
	Vickie Smith	Illinois Coalition Against Domestic Violence

TRAINING AND COMMUNICATION SUBCOMMITTEE

GATU	Trudy Ingalls	Governor's Office of Management and Budget / Illinois Department of Healthcare and Family Services.
Co-Chairs	Rhonda Woodson	Illinois Department of Human Services
	Ann Ford	Illinois Network of Centers for Independent Living

PERFORMANCE MEASURES AND ANNUAL REPORT SUBCOMMITTEE

GATU	Jennifer Butler	Governor's Office of Management and Budget
Co-Chairs	Joan Small	Illinois Department of Human Services
	Layla Suleiman-Gonzalez	Illinois Latino Family Commission

TECHNOLOGY SUBCOMMITTEE

GATU	John Rigg	Governor's Office of Management and Budget/
Co-Chair	Judith Gethner	Illinois Partners for Human Service

GATA Volunteers by Subcommittee

Grant Application / Grant Award Issuance Subcommittee

Jennifer Butler	GATU- Office of Management and Budget
Ahlam Jbara	Co-Chair. Illinois Coalition for Immigrant and Refugee Rights
Junaid Afeef	Co-Chair. Illinois Criminal Justice Information Authority
Pam Irwin, Ph.D.	Central East Alcoholism & Drug Council
Teressa Perdieu	Central East Alcoholism & Drug Council
Sokoni Karanja	Centers for New Horizons Inc.
Emily Kropp	Children's Home + Aid
Andrea Finnegan	Community Support Services, Inc.
Keri Hattan	Crittenton Centers
Donna Ashley	Crittenton Centers
Michelle L Thoma-Calver	Elevate Energy
Mark McHugh	Envision Unlimited
Deborah Bekken	Field Museum
Michelle Rich	Horizon House Peru
Eric Foster	Illinois Alcoholism and Drug Dependence Association
Josh Evans	Illinois Association of Rehab Facilities
Jody Hunt	Illinois Board of Higher Education
Patrick Dominguez	Illinois Department of Children & Family Services
William Wolfe	Illinois Department of Children & Family Services
Adrian Angel	Illinois Department of Commerce and Economic Opportunity
Mary Feagans	Illinois Department of Commerce and Economic Opportunity
Greg Milhalich	Illinois Department of Commerce and Economic Opportunity

Tracey Minder	Illinois Department of Commerce and Economic Opportunity
Jan Kemmerling	Illinois Department of Commerce and Economic Opportunity
Trudy Ingalls	Illinois Department of Healthcare and Family Services/GOMB
Denise Eligan	Illinois Department of Human Services
Lisa Cotner	Illinois Department of Natural Resources
Paul Vehlow	Illinois Department of Natural Resources
Jennifer Aherin	Illinois Department of Natural Resources
Luz M. Payan	Illinois Department of Natural Resources
Estrelitta Harmon	Illinois Department of Public Health
Kimberly Hill	Illinois Department of Public Health
Pat Reserva	Illinois Department of Transportation
Steve Esslinger	Illinois Department of Transportation
John Marrella	Illinois Department of Transportation
Christy Davis	Illinois Department of Transportation
Lori Beeler	Illinois Department of Transportation
Michelle Hanneken	Illinois Emergency Management Agency
Judith Gethner	Illinois Partners
Marcia Johnson	Illinois State Board of Education
Marc Gibbs	Illinois State Board of Education
Janet Goucher	Illinois State University
Karen Galin	Jewish Federation
Martin V. Torres	Latino Policy Forum
Dr. Teresa Garate	Lester and Rosalie Anixter Center
Jolene Oakes	Marcfirst
Alessandra Stevens	Mujeres Latinas
Susan Krause	Pioneer Center
Tiana D. Brazzale	Ray Graham
Paul Berrini	Sinai Health System
Jill Marshall	Western Illinois University

Financial Subcommittee

Carol Kraus	GATU- Office of Management and Budget	Keith Burklow	Illinois Department of Healthcare and Family Services
Lori Beeler	Co-Chair. Illinois Department of Transportation	Ron McKechan	Illinois Department of Healthcare and Family Services
Chris Schrantz	Co-Chair. Allendale Association		
Beth Seaman	Catholic Charities	Nick Marsters	Illinois Department of Human Services
Pam Irwin, Ph.D	Central East Alcoholism & Drug Council	Dan Melliere	Illinois Department of Human Services
Teressa Perdieu	Central East Alcoholism & Drug Council	Sean Berberet	Illinois Department of Human Services
DD Fischer	Child Care Association of IL	Julie Sampson	Illinois Department of Human Services
Tim Smith	Children's Home & Aid	Conny Moody	Illinois Department of Public Health
Robert Archer	Decatur Macon County Opportunities Corporation	Mark Edmiston	Illinois Department of Public Health
Jillian Moore	El Valor	Chad Dierking	Illinois Department of Transportation
Anis Bensaheb	Featherfist	Greg Lupton	Illinois Department of Transportation
Cara Neuhaus	Hoyleton Youth & Family Services	Jean Ladd	Illinois Emergency Management Agency
Laura Huge	Hoyleton Youth & Family Services	Tim Imler	Illinois State Board of Education
Eric Foster	IL Alcoholism and Drug Dependence Association	Azeezat Sulaimon	Illinois State Board of Education
Bruce Bennett	Illinois Board of Higher Education	Mark Ribelin	Illinois State Board of Education
Ben McDaniel	Illinois Community College Board	Craig Rechner	Illinois State Board of Education
Janet McKeown	Illinois Department of Children & Family Services	Charlotte Montgomery	Illinois State Museum
Roger Thompson	Illinois Department of Children & Family Services	Scott Taylor	Illinois Student Assistance Commission
Chuck Dooley	Illinois Department of Commerce and Economic Opportunity	Tim Sheehan	Lutheran Social Services of Illinois
Matt Stonecipher	Illinois Department of Commerce and Economic Opportunity	Denis Hurley	Metropolitan Family Services
		Craig Mulligan	Northern Illinois University
David Parr	Illinois Department of Commerce and Economic Opportunity	Edgar Lucas	Northwest Tower Residents Association
		Ronny Wickenhauser	Office of the State Fire Marshal
Christi DeGroot	Illinois Department of Commerce and Economic Opportunity	Chris Quinn	Regional Access & Mobilization Project
		Chip Stoner	Rockford Boys & Girls Club
John Barr	Illinois Department of Commerce and Economic Opportunity	Will-Grundy Center for Independent LivingTita Grundy JonesSouthland Health Care Forum	
		Jennifer Wolf Keen	The Baby Fold
Mary Feagans	Illinois Department of Commerce and Economic Opportunity	Shannon Sutton	Western Illinois University
		Fran Smego	Will-Grundy Center for Independent Living

Streamlining Subcommittee

Carol Kraus	GATU - Office of Management and Budget		Ron McKechan	Illinois Department of Healthcare and Family Services
Lisa LaBonte	Co-Chair. Illinois Department of Natural Resources		Keith Burklow	Illinois Department of Healthcare and Family Services
Tim Sheehan	Co-Chair. Lutheran Social Services of Illinois		Wade Horrocks	Illinois Department of Human Services
Laurie Wettstead	AIDS Foundation of Chicago		Charlee Beyers	Illinois Department of Human Services
Elida Hernandez	Catholic Charities		Sean Berberet	Illinois Department of Human Services
Pam Irwin, Ph.D	Central East Alcoholism & Drug Council		Nick Marsters	Illinois Department of Human Services
Teressa Perdieu	Central East Alcoholism and Drug Council		Vicki Wilson	Illinois Department of Public Health
			Joel Meints	Illinois Department of Public Health
DD Fisher	Child Care Association of Illinois		Nancy Rambo	Illinois Department of Transportation
Lisa DeNunzio-DeVivo	Community Mental Health Board of Oak Park		Lori Beeler	Illinois Department of Transportation
			Bruce Carmitchel	Illinois Department of Transportation
Dan Holmer	Cunningham Children's Home		Jean Ladd	Illinois Emergency Management Agency
Kris Pickford	Illinois Community College Board			
Adrienne Bell	Illinois Department of Children & Family Services		Mark Ribelin	Illinois State Board of Education
			Craig Rechner	Illinois State Board of Education
Denise Caldwell	Illinois Department of Children & Family Services		Marc Gibbs	Illinois State Board of Education
			Deborah Vespa	Illinois State Board of Education
Roger Thompson	Illinois Department of Children & Family Services		Scott Taylor	Illinois Student Assistance Commission
Megan Buskirk	Illinois Department of Commerce and Economic Opportunity		Deb Covington	Jewish Federation
			Fatmah Farraj	Mercy Housing
Ben Moore	Illinois Department of Commerce and Economic Opportunity		Craig Mulligan	Northern Illinois University
			Marty Paul	Office of the State Fire Marshal
Phil Keshen	Illinois Department of Commerce and Economic Opportunity		Elias Rosario	Ounce of Prevention
			Ed Lucas	Renacer Westside Community Network
Robert Bailey	Illinois Department of Commerce and Economic Opportunity		Wayne R. Glass	SIU - Office of Sponsored Projects Administration
			Shannon Sutton	Western Illinois University

Contract-Grant Agreements Subcommittee

Carol Kraus	GATU - Office of Management and Budget	Robin Murphy	Illinois Criminal Justice Information Authority
Rob Grindle	Co-Chair. Illinois Department of Human Services	Marcy Trowbridge	Illinois Department of Children & Family Services
Ravi Sahota	Co-Chair. Illinois Department of Human Services	Anmarie Brandenburg	Illinois Department of Children & Family Services
Vickie Smith	Co-Chair. Illinois Coalition Against Domestic Violence	Rachel Powell	Illinois Department of Commerce and Economic Opportunity
Hilda Bahena	Catholic Charities	Alex Jordan	Illinois Department of Human Services
Sheryl Turpin	Community Behavioral Healthcare Association		
Frank Anselmo	Community Behavioral Healthcare Association.	Tanya Dworkin	Illinois Department of Public Health
Vicki Kean	Don Moss Associates	Marcy Dutton	Illinois State Board of Education
Jillian Moore	El Valor	George Rick Jones	Illinois State Board of Education
Duane A. Lahti	Family Counseling Center	Renee K. Zdych	Illinois State Board of Education
Karen Helland	Illinois Board of Higher Education	Jason Wagoner	Illinois State University
		Pam Solimine	Marillac St. Vincent Family Services
Jody Hunt	Illinois Board of Higher Education		
		Lillian McClain	Pure Art Education
Sarah Robinson	Illinois Community College Board		

Training and Communications Subcommittee

Trudy Ingalls	GATU - Office of Management and Budget / Illinois Department of Healthcare and Family Service
Rhonda Woodson	Co-Chair. Illinois Department of Human Services
Ann Ford	Co-Chair. Illinois Network of Centers for Independent Living
Peggy Reins	Advocate Charitable Foundation
Cecile Johnson	African Development Plan
Layla McGuire	Care Compassion Acceptance Respect
John Shadowens	Centerstone
Greg DiDomenico	Community Memorial Foundation
Tina Wilkins	Family Counseling Center
Matt D. Cohen	Health Alternative Systems
Polly Poskin	Illinois Coalition Against Sexual Assault
Lillian McClain	Illinois African American Family Commission

Jeff Squibb	Illinois Depart of Agriculture
Doug Washington	Illinois Department of Children & Family Services
Derek A Hobson	Illinois Department of Children & Family Services
Dianne Barghouti	Illinois Department of Human Services
Siobhan Johnson	Illinois Department of Public Health
Kimberly Hill	Illinois Department of Public Health
Steve Phillips	Illinois Department of Transportation
Ashley Fleck	Illinois Emergency Management Agency
Laine Evans	Illinois State Board of Education
Becky McGinnis	Jacksonville Area Center for Independent Living
Mike Hughes	Lifescape Community Services, Inc.
Lynn Jarman	LINC Inc.
Ireatha Jones	Southland Health Care Forum

Performance Measures Subcommittee

Jennifer Butler	GATU - Office of Management and Budget		Dianne Barghouti	Illinois Department of Human Services
Layla Suleiman-Gonzalez	Co-Chair. Illinois Latino Family Commission		Diane Tecic	Illinois Department of Natural Resources
Joan Small	Co-Chair. Illinois Department of Human Services		Luz M. Payan	Illinois Department of Natural Resources
Peggy Reins	Advocate Charitable Foundation		Nicole Griffith	Illinois Department of Public Health
Sheryl Turpin	Community Behavioral Healthcare Association		Nicole George	Illinois Department of Transportation
Tim Smith	Children's Home and Aid		Marcia Johnson	Illinois State Board of Education
Valerie Leonard	Community and Organizational Development		Scott Taylor	Illinois Student Assistance Commission
Frank Anselmo	Community Behavioral Healthcare Association		Jackie Sharp	Lakeside Community Committee
David Moore	Human Service Center-Peoria		Martin V. Torres	Latino Policy Forum
Jeff Squibb	Illinois Depart of Agriculture		Mike Hughes	Lifescope Community Services Inc.
Carolyn Ross	Illinois Department of Children & Family Services		Mike Wojcik	Lutheran Social Services of Illinois
John O'Conner	Illinois Department of Commerce and Economic Opportunity		Tim Sheehan	Lutheran Social Services of Illinois
			Eula L Burge	Proactive Community Services
Jill Mehrberg	Illinois Department of Commerce and Economic Opportunity		Jackie Sundquist	Regional Access & Mobilization Project
			Ann O'Keefe	Rockford Area Arts Council

Technology Subcommittee

John Rigg	GATU - Illinois Office of Management and Budget	Nicole Willis	Illinois Department of Commerce and Economic Opportunity
Judith Gethner	Co-Chair. Illinois Partners	Tara Kessler	Illinois Department of Corrections
Virgil Mathis	African-American Family Commission	Rob Connor	Illinois Department of Human Services
Anthony C. Lopez	Association House	Kate Atteberry	Illinois Department of Human Services
Duane A. Lahti	Family Counseling Center	Jeff Grieve	Illinois Department of Public Health
Mike Carter	Illinois Criminal Justice Information Authority	Estrelitta Harmon	Illinois Department of Public Health
Jude Lemrow	Illinois Criminal Justice Information Authority	James Reed	Illinois Department of Public Health
		Michael McCarten	Illinois Department of Public Health
Mark Dean	Illinois Department of Children & Family Services	Dan Wilcox	Illinois Department of Transportation
Steve Emrick	Illinois Department of Commerce and Economic Opportunity	Jason Dozier	Illinois Department of Transportation
		Mike Stehn	Illinois Emergency Management Agency
Jerry Sanderfield	Illinois Department of Commerce and Economic Opportunity	Joe Corso	Illinois Emergency Management Agency
K. L. Williams	Illinois Department of Commerce and Economic Opportunity	Brent Engelman	Illinois State Board of Education
		Deb Clapp	League of Chicago Theatres
Deb Fleming	Illinois Department of Commerce and Economic Opportunity	Mike Tilstra	Onarga Academy
		Jeanne Kitchens	SIU Center for Workforce Development

SUBCOMMITTEE REPORTS

To better understand the details of the plans, responsibilities and achievements of the subcommittees and their respective workgroups, individual reports from each work group are provided. Where applicable next steps have also been specified.

GRANT APPLICATION SUBCOMMITTEE REPORTS ACCOMPLISHMENTS

Uniform Grant Application Workgroup

- Completed rule recommendations;
- Reviewed state agency RFPs, applications, and notices and the federal Grants.Gov website to identify best practices in grant applications; and
- Developed the templates for the Uniform Notice of Funding Opportunity and a Uniform Grant Application utilizing core components applicable to all agencies and agency sections which will be customized to program / project specifications.

Next Steps
- Work with other workgroups in areas of interrelationship;
- Finalize the Uniform Notice of Funding Opportunity and Uniform Grant Application and supporting mandatory forms;
- Develop a short-term approach for agency utilization of the Uniform Notice of Funding Opportunity and Uniform Grant Application prior to full systems integration;
- Identify training parameters and assist in curriculum development related to the Uniform Notice of Funding Opportunity and Uniform Grant Application; and
- Identify performance measures applicable to evaluating the effectiveness and cost-savings associated with a uniform grant application.

Merit Based Review Workgroup

- Completed rule recommendations;
- Drafted merit-based review policy and procedures for competitive grants;
- Drafted Uniform Confidentiality Agreement; and
- Drafted Conflict of Interest Disclosure.

Next Steps
- Refine and finalize draft documents.

Programmatic Risk Assessment Workgroup

- Completed rule recommendations;
- Developed a front-end risk assessment approach for state agencies to evaluate the programmatic risk posed by an applicant; and
- Developed the Programmatic Risk Assessment Questionnaire based on GATA, 2 CFR 200.205 and 207 and the twelve (12) types of compliance cited in the Single Audit Compliance

Supplement (Audit Guide). The questionnaire includes standard questions all agencies will use to evaluate programmatic risk and agency-specific questions based on the parameters of the applicable program / project.

Next Steps
- Work with other workgroups in areas of interrelationship,
- Structure weighting methodology and criteria for risk assessment responses to quantifiably categorize the applicant as a low, medium or high programmatic risk potential;
- Propose special conditions to be imposed on the entity as additional contract terms for each programmatic risk classification;
- Finalize the programmatic risk assessment approach and tools,;
- Develop a short-term approach to implement the Programmatic Risk Assessment Questionnaire prior to full systems integration;
- Identify training parameters and assist in curriculum development related to programmatic risk assessments; and
- Identify performance measures applicable to evaluating the effectiveness and cost-savings associated with programmatic risk assessment.

PERFORMANCE MEASURES SUBCOMMITTEE REPORTS AND ACCOMPLISHMENTS

- Completed rule recommendations;
- Identified six (6) goals of GATA which are intrinsic in GATA. These are to:
  - provide effective and efficient oversight of the selection of grant recipients,
  - provide effective and efficient oversight of the monitoring of grant recipients,
  - increase accountability and transparency in the use of grant funds,
  - ensure financial integrity to reduce fraud, waste and abuse,
  - improve program performance, and
  - reduce redundancy and administrative burden on state agencies and grantees.
- Utilized the six (6) goals as the framework for developing performance measures that assess the effectiveness of GATA throughout the grant life cycle;
- Initially identified one hundred and fourteen (114) performance measures that could potentially align with the GATA goals.
- Identified overlapping data points within these measures that presented significant practical measurement challenges within given resources and reasonable timeframes;
- Performed additional analysis to articulate thirty-eight (38) measures that align with each phase of the grant life cycle and asses the Act's effectiveness from both the state agencies' and grantees' perspective wherever possible.

Next Steps
- Review the thirty-eight (38) performance measures with other GATA subcommittees and workgroups to assess for key attributes such as clarity of measurement, data availability, data validity, data reliabilities, functionality of reporting, and responsiveness of measure;
- Propose final recommended measurements to the GATA Steering Committee and subsequently to ILSAC for ratification and approval; and
- Develop protocols for collecting and reporting required data to aid in the transparency of GATA implementation.

FINANCIAL SUBCOMMITTEE REPORTS AND ACCOMPLISHMENTS

Pre-Qualification Workgroup
- Completed rule recommendations.

Grantee Registration and Pre-Qualification
- Developed the Grantee Portal concept that requires each prospective grant to register and provide information for verification:
  - Organization Name,
  - Address,
  - Contact information,
  - FEIN,
  - DUNS number verification,
  - Registration on the federal SAM system (federal pass-through),
  - Verify organization is not included on the Federal Excluded Party List (federal pass-through),
  - Verify organization is not included on the State Debarred or Suspended List,
  - Verify organization is in Good Standing with the Secretary of State, and
  - Verify organization is not included on the Illinois Healthcare and Family Services Sanctioned List.
- Developed an Internal Control Questionnaire (ICQ) for reviewing the risk posed by the applicant, in the fiscal and administrative perspective, including:
  - Attributes from 2 CFR 200.205,
  - Applicable Sections of 2 CFR 200, Subpart D Post Federal Award Requirements,
  - Applicable Sections of 2 CFR 200, Subpart E, Cost Principles,
  - Applicable Sections of 2 CFR 200, Subpart F - Audit Requirements,
  - Internal Controls, and
  - The 12 types of compliance from the Single Audit Compliance Supplement (Audit Guide).
- Determined weighting factors for the ICQ to rate grantees as low, medium and high risk.
- Provided subject topics for potential training including:
  - General grant administrative training,
  - Cost principles,
  - Internal control,
  - Pre-qualification process, and
  - How to use the Grantee Portal.

Next steps
- Determine the corresponding specific conditions for internal control deficiencies including past performance issues;
- Develop standard language for notifying the grantee of the results of the risk assessment in accordance with 2 CFR 200.207 including:
  - The nature of the additional requirements;
  - The reason why the additional requirements are being imposed; and
  - The nature of the action needed to remove the additional requirements imposed.
- Develop procedures for removing the specific conditions once the issue is resolved and/or conditions are met for the removal;
- Refine and finalize required training;

- Assist in the development of training programs; and
- Write applicable sections of the Grant Manual.

The Grantee Portal is scheduled to be available in the Spring of 2016 for FY 2017 grants.

Budget and Financial Reporting Workgroup
- Complete rule recommendation.

Budget and Financial Reporting template
- Detailed line items agreed upon, decision was made to follow the Federal Department of Education SF 524
- Frequency of reporting will be quarterly, unless more frequent reporting required due to specific conditions added as part of the risk assessment

Next Steps
- Finalize templates for:
  o quarterly reporting;
  o annual comprehensive report; and
  o close out report.
- Assist the Performance Measures Workgroup to develop a template to link performance related information to financial reporting;
- Assist the Uniform Grant Application Workgroup to establish policies and procedures for reviewing and approving budgets;
- Determine the training required for proper completion of templates;
- Refine and finalize required training;
- Assist with the development of training programs; and
- Write the applicable sections of the Grant Manual.

Cost Principles Workgroup
- Completed rule recommendations;
- Determined necessary training modules for grantees and state staff including:
  o Basic considerations,
  o Direct and indirect costs, and
  o Selected items of cost.
- Developed training for basic consideration module.

Next Steps
- Complete development of training modules for grantees and state staff;
- Assist the Indirect Cost Rate Workgroup to develop policies and procedures;
- Refine and finalize required training;
- Assist in the development of training programs; and
- Write applicable sections of the Grant Manual.

STREAMLINING SUBCOMMITTEE REPORTS AND ACCOMPLISHMENTS

Fiscal and Administrative On-site Review Workgroup
- Reviewed and agreed to rule recommendations for Pre-Qualification;
- Reviewed current practices for fiscal and administrative on-site reviews;
- Determined the level of on-site review necessary for different levels of risk;
- Agreed on circumstances that would only warrant a desk review of information; and
- Reviewed technology solutions for coordinating on-site reviews between agencies.

Next Steps
- Finalize uniform protocol for fiscal and administrative on-site reviews;
- Design a risk based approach to identifying grantees that must have an on-site review;
- Design a process for assigning the agency responsible for conducting an on-site review;
- Based on the uniform protocol, determine information that must be available in the CRV:
    - Follow up on significant deficiencies and materials weaknesses identified in a prior audit report and/or past on-site reviews,
    - Determine the stage of corrective action on past weaknesses identified,
    - Follow up on weaknesses identified in risk assessment, and
    - Random selection and verification of responses on Internal Control Questionnaires.
- Assist in the design of CRV;
- Design a uniform On-Site Review template;
- Make final recommendations on the technology solutions:
    - Work papers and reports, and
    - Information for future risk assessment.
- Refine and finalize required training;
- Assist in the development of training programs; and
- Write applicable sections of the Grant Manual.

Indirect Cost Rate Proposal Workgroup
- Completed rule recommendations;
- Researched items to be included in RFP;
- Obtained written permission from the Federal government to centralize the indirect cost rate and outsource indirect cost rate negotiation;
- Suggested method for charging back all GATA centralized services to agencies through the Statewide Indirect Cost Allocation Plan;
- Wrote and issued the Request for Proposal for the negotiation of indirect cost rates for Illinois grantees which included a web based approach, training on how to prepare an indirect cost rate and use of the proposed system;
    - Held Bidder's Conference;
    - Received proposals – conducted administrative review;
    - Completed responsive evaluation of the proposals received;
    - Held vendor oral presentations;
    - Completed first level evaluation – summary of responsive points and oral presentations; and
    - Held price opening.

Next Steps

- Conduct best and final offer negotiation on price;
- Determine vendor award based on evaluations and price;
- Submit award information and publish to Illinois Procurement Bulletin;
- Conduct contract negotiations;
- Execute contract January 2016;
- Develop technology solutions for sharing grantee negotiated rate with State grant making agencies;
- Refine and finalize required training;
- Assist in the development of training programs; and
- Write applicable sections of the Grant Manual.

Audit Workgroup

- Completed rule recommendations;
- Reviewed audit requirements for federal and state;
- Developed audit requirements for "For Profit Entities";
- Developed rules for grantees that do not meet the Single Audit (Subpart F) threshold of $750,000 in direct federal funding and federal pass-through funding using agreed-upon procedures under federal guidelines; and
- Provided subject topics for potential training.

Next Steps

- Quantify the number of grantees that only receive state funding;
- Determine the need to develop State Single Audit Requirements and a Compliance Supplement;
- Research current outsourcing of audit report reviews;
- Determine items necessary for the Request for Proposal;
- Write the Request for Proposal;
- Engage an evaluation team;
- Determine the technology solutions for tracking and distributing the results of the review to appropriate state grant making agencies;
- Develop the policies and procedures for issuing management decisions on corrective action plans;
- Determine technology solution for tracking:
  o Significant deficiencies and material weaknesses, and
  o Common audit findings issued.
- Refine and finalize required training;
- Assist in the development of training programs; and
- Write applicable sections of the Grant Manual.

CONTRACT/GRANT AGREEMENT SUBCOMMITTEE REPORTS AND ACCOMPLISHMENTS

- Completed rule recommendations;
- Defined the structure of the state-wide Uniform Grant Agreement; and
- Identified two areas requiring training.

Next Steps

- Finalize the state-wide section of the Uniform Grant Agreement;
- Develop training for two topics; and
- Resolve pre-award cost intersection with fiscal years as constrained by the Finance Act (30 ILCS 105/25) and the Grant Funds Recovery Act (30 ILCS 705/4(b)).

TECHNOLOGY SUBCOMMITTEE REPORTS AND ACCOMPLISHMENTS

- Determined technology solution for Grantee Registration Portal;
- Received concurrence from Offices of the Chief Procurement Officers to utilize existing licensure for Portal;
- Determined base business requirements for Grantee Portal;
- Initiated Sole Economically Feasible Source Procurement for Grantee Portal implementation;
- Developed full system process and technology flow for GATA process;
- Identified near term needs;
- In cooperation with ERP implementation team, identified parameters within the scope of ERP;
- In cooperation with the Training Workgroup, identified business requirements for on-line training portal;
- Identified existing licensure within the state to maximize funding options;
- Initiated discussions with agencies holding licensure to combine and better utilize existing licensure thereby controlling expense;
- Developed and implemented Catalog of State Financial Assistance for completion by grantor agencies;
- Developed and implemented Illinois Stop Payment Listing for completion by grantor agencies;
- Reviewed existing licensure within the state to provide necessary Programmatic Risk Assessment and Tracking;
- Working with vendor under the state's Enterprise Licensure Agreement to explore and develop a base utilization demonstration application;
- Gathered and reviewed RFPs from other states (i.e., Ohio and North Carolina) to determine applicability to the State of Illinois; and
- Reviewed existing grant applications currently used in other state agencies for applicability and use as interim solution until ERP implementation.

Next Steps
- Finalize procurement for Grantee Portal;
- Develop and receive approval for final business requirements;
- Build, test and implement Grantee Portal;
- Assist Training Workgroup in obtaining necessary licensure and training for web-based training tools;
- Expand GATA website to incorporate Grantee Portal, training links, Illinois Stop Payment List;
- Identify interim solution options until ERP implementation is complete across the enterprise;
- Present Programmatic Risk options for review and consideration; and
- Determine funding levels for on-going and interim solutions technology solutions.

TRAINING AND COMMUNICATION SUBCOMMITTEE REPORTS AND ACCOMPLISHMENTS

Training Workgroup
Developed Training, Learning and Development Plan including:
- Training course methods and formats: Computer based learning modules and hosted/self-pace webinar, classroom modules
- Initial course listing based on 2 CFR 200 requirements and identification from subcommittees/workgroups,
- Timeline,
- Learning Management System business requirements,
- State Agency Training Needs Survey,
- Grantee Training Survey,
- State training resources,
- Learning Management System (LMS) availability,
- Computer Based Learning Training (CBL) available systems,
- Uniform course listing format for CBL training,
- Uniform individual registration requirements, and
- Uniform GATA training policy recommendations.

Next Steps
- Refine and finalize training needs with subcommittees and workgroups;
- Refine and finalize GATA training policy recommendations;
- Determine and finalize Learning Management System;
- Review completed development of initial training modules for priority training areas;
- Begin implementation of training program – Coordinate training timelines and offerings;
- Monitor implementation and plan next priority training;
- Develop trainings as prioritized with subject matter experts; and
- Write applicable sections of Grant Manual.

Communication Workgroup
- Developed Communication Activity Matrix;
- Developed and maintain GATA subcommittee participant list;
- Developed GATA newsletter format;
- Created two (2) quarterly newsletters;
- Developed and maintained GATA website content; and
- Published Draft Proposed GATA Rules for public review.

Next Steps
- Update and maintenance of GATA website;
- Quarterly publication of GATA newsletter;
- Continued coordination of training communications; and
- Develop GATA contact list from CSFA data.

Appendix IV

Chief Accountability Officers

Yazoo Hall	Illinois Arts Council Agency
Jody Hunt	Illinois Board of Higher Education
Jane Fields	Illinois Commerce Commission
Sarah Robinson	Illinois Community College Board
Janinna Hendricks	Illinois Council on Developmental Disabilities
Kevin N. Givens	Illinois Criminal Justice Information Authority
Jeff Squibb	Illinois Department of Agriculture
Derek Hobson	Illinois Department of Children & Family Services
Phil Wyatt	Illinois Department of Commerce and Economic Opportunity
Tara Kessler	Illinois Department of Corrections
Debra Miller	Illinois Department of Corrections
Linda Demore	Illinois Department of Employment Security
Bryan Martin	Illinois Department of Financial and Professional Regulation
Ron McKechan	Illinois Department of Healthcare and Family Services

Dan Melliere	Illinois Department of Human Services
Trish McGill	Illinois Department of Military Affairs
Lisa LaBonte	Illinois Department of Natural Resources
Nicole Griffith	Illinois Department of Public Health
Cory Staley	Illinois Department of Revenue
Jeff Heck	Illinois Department of Transportation
Connie Watson	Illinois Department of Veterans Affairs
Jodi L. Becker	Illinois Department on Aging
Phillip Anello	Illinois Emergency Management Agency
Jennifer Ricker	Illinois Emergency Management Agency
Ryan McCreery	Illinois Environmental Protection Agency
Marc Gibbs	Illinois State Board of Education
Patty Morgan	Illinois State Police
Eric Mayland	Illinois State Police
Scott Taylor	Illinois Student Assistance Commission
Denise Matthew	Law Enforcement Training and Standards Board
Larita Reed-Clark	Metropolitan Pier and Exposition Authority
Ronny Wickenhauser	Office of the State Fire Marshal

TIMELINE FOR GATA IMPLEMENTATION

IMPLEMENTATION AREA/ACTIVITY	CALENDAR QUARTERLY SCHEDULE								
	4Q15	1Q16	2Q16	3Q16	4Q16	1Q17	2Q17	3Q17	4Q17
Rulemaking Initiatives	███	███	███	███	███	███	███	███	███
1. Finalize General Federal, Federal Pass-through and State rules	███	███	███						
2. Finalize Agency rules to support Federal exceptions, Illinois Compiled Statutes and/or Illinois Administrative Code	███	███	███	███	███	███	███	███	███
Workgroup Initiatives	███	███	███	███	███	███	███	███	███
3. Establish internal control questionarie and pre-qualification process to pre-qualify grantees	███								
4. Establish template for notice of funding opportunity and uniform grant application	███								
5. Establish policy and procedures for merit based review of grant application	███	███							
6. Establish questionnaire for programmatic risk assessment	███	███							
7. Establish uniform budget and financial reporting templates	███	███							
8. Establish uniform grant agreements and IGAs	███	███							
9. Develop and implement cost principles training	███	███							
10. Procure the audit review vendor		███	███						
11. Procure the agreed-upon procedures vendor		███	███	███					
12. Finalize and implement core training plan	███	███	███	███	███	███	███	███	
13. Establish template for performance measure reporting (2 sets of measures: GATA and grantee-specific	███	███	███	███	███	███	███		
14. Establish policy, procedures and templates for fiscal and administrative onsite reviews		███	███	███	███	███	███	███	███
15. Centralize audit report review pursuant to an RFP		███	███	███	███	███	███	███	███
16. Refine and execute Communications plan	███	███	███	███	███	███	███	███	███
GATU Initiatives	███	███	███	███	███	███	███	███	███
17. Release CSFA to agencies to collect Federal, Federal pass-through and State award data	███								
18. Finalize GATU budget and staffing	███								
19. Draft and distribute GATA Annual Report	███								
20. Establish grantee registration portal	███	███							
21. Establish policy addressing the application of GATA to select entities (e.g., small grantees, ISBE, purchase of care)	███	███							
22. Establish policy and procedures for Illinois' Debarred and Suspended List and Illinois' Stop Payment system	███	███	███						
23. Develop and incrementally implement the GATA Grants Manual		███	███						
24. Establish parameters for grantees to utilize Fiscal Agents		███	███						
25. Develop and implement the Advanced Planning Document for the cost allocation structure of the GATU revolving fund		███	███	███	███				
26. Negotiation indirect cost rates and execute related terms under the Indirect Cost Rate vendor agreement		███	███	███	███	███	███	███	███
27. Develop and refine the technology implementation plan in conjunction with ERP efforts	███	███	███	███	███	███	███	███	███

Appendix VI

Statute (30 ILCS 708) Grant Accountability and Transparency Act, Illinois General Assembly Website:
http://www.ilga.gov/legislation/ilcs/ilcs3.asp?ActID=3559&ChapterID=7

Appendix VII

GATA Proposed Rule Recommendations (Draft Rules)
http://www.illinois.gov/gov/budget/Documents/GATA/GATA-DRAFT%20Proposed%20Rule%20Recommendations%2012.08.15.pdf

Appendix VIII

"Will Illinois Become a National Model for Grant Management?" by: Eyragon Eidam | October 22, 2015
http://www.govtech.com/state/Will-Illinois-Become-a-National-Model-for-Grant-Management.html