

# GATA

## Authoritative Sources Training

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GRANT ACCOUNTABILITY AND TRANSPARENCY ACT

GRANT APPLICATION/MERIT BASED REVIEW

# GATA Implementation

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- The Grant Accountability and Transparency Unit has been working with JCAR to adopt rules applicable to Federal and Federal pass-through grants.
- The areas that have flexibility in the Federal rules and the State grant rules will be drafted through the ILSAC subcommittees and workgroups made up of subject matter experts from State grant-making agencies and the grantee community. Work will be in three phases:
  - 1 - Develop and propose general State rules
  - 2 - Develop and submit process for implementation
  - 3 - Monitor implementation and review process for revision

# GATA Implementation

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- Phase 1 Subcommittees and Workgroups will include:
  - Development and proposal of rules
  - Identification of performance measures for GATA effectiveness
  - Development of benchmarks for performance measures
  - Reporting benchmarks to the Performance Measures and Reporting Subcommittee

# Subcommittee Objectives

## Merit-Based Review Requirements Workgroup

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The Merit-Based Review Requirements Workgroup will be responsible for providing recommendations in the following areas (see below). The Grant Application/Grant Award Issuance Subcommittee will then present the recommendations to the Illinois Single Audit Commission. The following need to be reviewed:

- **2 CFR §200.204**
- **Appendix 1 to Part 200 Full Text of Notice of Funding**

# 2 CFR §200.204

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## **§ 200.204 Federal awarding agency review of merit of proposals.**

For competitive grants or cooperative agreements, unless prohibited by Federal statute, **the Federal awarding agency must design and execute a merit review process for applications. This process must be described or incorporated by reference in the applicable funding opportunity** (see Appendix I to this Part, Full text of the Funding Opportunity.)

See also § 200.203 Notices of funding opportunities. (Grant Application WG)

# Appendix 1 to Part 200 Full Text of Notice of Funding Opportunity

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## Appendix I to Part 200—Full Text of Notice of Funding Opportunity

### E. Application Review Information

1. *Criteria—Required.* This section must address the criteria that the Federal awarding agency will use to evaluate applications. This includes the merit and other review criteria that evaluators will use to judge applications, including any statutory, regulatory, or other preferences (e.g., minority status or Native American tribal preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed.

# Appendix 1 to Part 200 Full Text of Notice of Funding Opportunity

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## Appendix I to Part 200—Full Text of Notice of Funding Opportunity

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The intent is to make the application process transparent so applicants can make informed decisions when preparing their applications to maximize fairness of the process. **The announcement should clearly describe all criteria, including any subcriteria. If criteria vary in importance, the announcement should specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement should provide a detailed explanation of those preferences with an explicit indication of their effect (e.g., whether they result in additional points being assigned).**

# Appendix 1 to Part 200 Full Text of Notice of Funding Opportunity

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If an applicant's proposed cost sharing will be considered in the review process (as opposed to being an eligibility criterion described in Section III.2), the announcement must specifically address how it will be considered (e.g., to assign a certain number of additional points to applicants who offer cost sharing, or to break ties among applications with equivalent scores after evaluation against all other factors). If cost sharing will not be considered in the evaluation, the announcement should say so, so that there is no ambiguity for potential applicants. Vague statements that cost sharing is encouraged, without clarification as to what that means, are unhelpful to applicants. It also is important that the announcement be clear about any restrictions on the types of cost (e.g., in-kind contributions) that are acceptable as cost sharing.



# Appendix 1 to Part 200 Full Text of Notice of Funding Opportunity

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2. *Review and Selection Process—Required.* This section may vary in the level of detail provided. The announcement must list any program policy or other factors or elements, other than merit criteria, that the selecting official may use in selecting applications for Federal award (e.g., geographical dispersion, program balance, or diversity). The Federal awarding agency may also include other appropriate details. For example, this section **may indicate who is responsible for evaluation against the merit criteria (e.g., peers external to the Federal awarding agency or Federal awarding agency personnel) and/or who makes the final selections for Federal awards.**

# Appendix 1 to Part 200 Full Text of Notice of Funding Opportunity

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If there is a multi-phase review process (e.g., an external panel advising internal Federal awarding agency personnel who make final recommendations to the deciding official), the announcement may describe the phases. It also may include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that conflicts of interest are avoided. With respect to electronic methods for providing information about funding opportunities or accepting applicants' submissions of information, each Federal awarding agency is responsible for compliance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

# Appendix 1 to Part 200 Full Text of Notice of Funding Opportunity

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In addition, if the Federal awarding agency permits applicants to nominate suggested reviewers of their applications or suggest those they feel may be inappropriate due to a conflict of interest, that information should be included in this section.

# GATA is Good Government

It is GATA time.



Landmark legislation.

Sets the bar for grant accountability.

Sets the bar for grant transparency.

Win-win for government and grantee community.

Improves performance outcomes.

Reduces risk of fraud, waste, and abuse.

Saves State agencies and grantees hundreds of millions of dollars.

*Successful agency oversight and successful grantees will result in a successful Illinois.*