

# GATA Exception Process

Exceptions from any part of the requirements under the GATA Framework follow Title 44 Administrative Rules Section 7000.60 and are addressed as described below. Please note that GATU is not authorized to grant exceptions to UR.

## Exceptions under UR and federal OMB (Section 7000.60(a))

These are exceptions to UR that have been granted by federal OMB and the awarding agency and require that a) agencies provide a copy of the approved exception complete with any attached documentation and b) agencies have reviewed and certified that no parts of UR included in the exception have been adopted as best practices under the federal awarding agency code or the program specific rules and regulations at the time of certification to GATU.

## Expedited Exceptions

Requests for Exception may be expedited upon agency request and at GATU's discretion. All other steps are still applicable.

## All other Exceptions

All exceptions under Section 7000.60 (e) follow the process described in the paragraphs below.

### Submission

Submission has been reviewed and approved for submission by the agency's Chief Accountability Officer or their designee.

Submissions are prepared on the GATA Exception Request Form and submitted to [OMB.GATA.Exceptions@illinois.gov](mailto:OMB.GATA.Exceptions@illinois.gov)

Submissions are in writing and inclusive of all supporting documentation. Supporting Documentation includes but is not limited to (i) applicable state statute (ILCS and Public Acts) and rules (Administrative Code) and (ii) Code of Federal Regulations for both federal or awarding agency and specific program levels, Notice of federal Award and any guidance memos and circulars. Supporting documentation must be marked up or otherwise clearly indicate its applicability to the exception request, including page number and paragraph cite.

The following are not supporting documentation unless the excepted UR or GATA requirement is specifically addressed: authorizing statute or code, general program descriptions, programmatic guidelines, agency policy and procedures, manuals or tool kits.

### Review

Upon receipt of the Exception Request into the above-noted mailbox, GATU begins the Administrative Review within two weeks. The administrative review verifies that the ***Agency Request for Deviation from the GATA Framework*** template is filled out completely and correctly, applicable citations and appropriate supporting documents have been included.

The Chief Accountability Officer and the requestor will be notified via email if additional information or corrections are required. In that case, the review will not proceed until such questions or deficits have been addressed.

Once the administrative review has been completed satisfactorily, GATU will review the Exception Request during regularly scheduled GATU staff meetings which occur weekly in the normal course of business.

#### Records

An email Exception Notification from [OMB.GATA.Exceptions@illinois.gov](mailto:OMB.GATA.Exceptions@illinois.gov) will be sent to the CAO and the requestor within 5 business days of the GATU final determination. The *Agency Request for Deviation from the GATA Framework* template will be returned denoting the approval or justification for the denial.

The state agency is required to record the exception in the Catalog of State Financial Assistance (CSFA) within 30 days of the Notice of Exception per 30 ILCS 708/75(b). In addition, authorized exceptions must also be communicated in the Notice of Funding Opportunity (if applicable), the Notice of State Award (if applicable) and the Uniform Grant Agreement.

Agencies that have received an exception are required to notify GATU of any rule changes subsequent to the exceptions that may impact the GATA exception.

## Agency Request for Deviation from the GATA Framework

*Submit the completed form via email to [OMB.GATA.Exceptions@illinois.gov](mailto:OMB.GATA.Exceptions@illinois.gov)*

<b>Program Name</b>	
<b>CSFA#</b>	
<b>CFDA # (if Federal Program)</b>	
<b>Agency Name</b>	
<b>Requested By</b>	
<b>Contact Information for the Requestor</b>	
<b>Reviewed and approved by CAO or Designee</b>	Name: Title: Date:
<b>Date Submitted</b>	

*For Agency Use:*

<b>Code of Federal Regulations Citation – Uniform Guidance</b>	
<b>Federal Code of Regulations Citation – Federal Agency Rules</b>	
<b>Code of Federal Regulations Citation – Specific Program Regulations</b>	
<b>Illinois Compiled Statute Citation</b>	
<b>Illinois Administrative Code Citation</b>	
<b>Specify the Deviation Requested</b>	
<b>Explanation for the Deviation</b>	
<b>Certification of Review of All Regulations</b>	<p><b>I have reviewed the Code of Federal Regulations and no exemptions have adopted the Uniform Guidance as a best practice at the Federal Agency or Program level</b></p> <p>Name: Title: Date:</p>
<b>Certification of Continued Review of All Regulations</b>	<p><b>I will notify GATU if any rule changes have been made to the State or Federal regulations</b></p> <p>Name: Title: Date:</p>

---

*For GATU Use:*

<b>Received Date</b>	
<b>Follow-up Notes</b>	
<b>Approved Date</b>	
<b>Denial Date</b>	