



Illinois Department of Transportation

Office of Finance and Administration / Bureau of Business Services
2300 South Dirksen Parkway / Springfield, Illinois 62764

IDOT GRANT ACCOUNTABILITY & TRANSPARENCY ACT GUIDE FOR GRANTEES

Handbook for IDOT grantees to understand the GATA process

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Grant Services and Administrative Section
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Purpose Statement

This document is to inform IDOT grantees of the GATA policies, procedures, and guidelines that govern the state and federal grants awarded from the Illinois Department of Transportation (IDOT), to ensure uniformity in the administration of grants.

IDOT, as the pass-through entity, is the grantee from the U.S. Department of Transportation, which includes the following DOT divisions: Federal Highway Administration (FHWA), Federal Railroad Administration (FRA), Federal Transit Administration (FTA), National Highway Traffic Safety Administration (NHTSA), Federal Motor Carrier Safety Administration (FMCSA) and the Federal Aviation Administration (FAA). IDOT awards subgrants to non-federal entities such as Local Public Agencies (LPAs), Institutions of higher education (IHEs) and nonprofit organizations (NPOs) that are the agency's subrecipients. These guidelines apply to all subrecipients of IDOT.

The regulations from the Office of Management and Budget (OMB), codified as Title 2 of the Code of Federal Regulations (2 CFR) Part 200, were incorporated on Dec. 26, 2014. These regulations govern all federal and state funded grants awarded by IDOT.

IDOT Mission and Guiding Principles

We provide safe, cost-effective transportation for Illinois in ways that enhance quality of life, promote economic prosperity, and demonstrate respect for our environment.

We will accomplish our mission while making the following principles the hallmark of all our work:

Safety

Integrity

Responsiveness

Quality

Innovation

IDOT's Quality Policy derives from the Department's vision to be recognized as the premier state department of transportation in the nation, and from its mission to provide safe, cost-effective transportation for Illinois to enhance quality of life, promote economic prosperity and demonstrate respect for our environment.

The Quality Policy itself is a direct extension of the Department's stated guiding principles, addressing aspects of all five principles: Safety, Integrity, Responsiveness, Quality and Innovation.

Through its Quality Policy, IDOT seeks to achieve its mission to provide safe, cost-effective transportation for Illinois by meeting or exceeding the needs and expectations of its customers, mainly transportation users throughout the state. The Quality Policy ensures that IDOT will seek continuous improvement in quality through programs that enable all employees to do their jobs right the first time and every time. The IDOT operational strategy includes goals and objectives that support and implement this policy, along with the mission, vision and guiding principles of the Department.



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IDOT Grant Services and Administrative Section

It is the direct mission of the IDOT Grant Services and Administration section to provide accurate and professional services to IDOT's grantee community and to the IDOT program staff. The services should be performed in a timely and efficient manner and in accordance with department policies and procedures.

The IDOT Grants section serves as the cognizant agency for IDOT, and can assist grantees with:

- GATA portal registrations and employee access
- Pre-qualification issues (including Sam.Gov, Secretary of State, FEIN, ICQ)
- Stop-pay inquiries
- Internal control questionnaire (ICQ) questions and approvals
- AmpliFund (Grant Management System) general questions and employee access
- Indirect cost rate questions and approvals
- Notice of state award questions
- Catalog of state financial assistance
- Notice of funding opportunity questions
- Audit review process questions
- Missing awards
- GATA training

Please contact us at:

DOT.GATA@Illinois.gov - for any GATA or AmpliFund related questions and employee access

DOT.AuditReview@Illinois.gov – for any audit related questions

DOT.GATACompliance@Illinois.gov – for any Stop-Pay related questions.

The Grant Accountability and Transparency Act (GATA)

GATA is a state law passed in 2014 ([30 ILCS 708/1](#)), for which the purpose is to increase accountability and transparency in the use of grant funds while reducing the administrative burden on both state agencies and grantees. The law provides for the development of a coordinated, non-redundant process to establish effective and efficient oversight of the selection and monitoring of grant recipients, ensuring quality programs; limiting fraud, waste, and abuse; and defining the purpose, scope, applicability, and responsibilities in the life cycle of a grant.

GATA Key Points:

- Incorporates [Uniform Guidance \(2 C.F.R. Part 200\)](#): which is the uniform administrative requirements, cost principles, and audit requirements for Federal awards to non-federal entities.
- GATA adopts [\(2 C.F.R. Part 200\)](#) Uniform Guidance **for state funded grants** (effective July 1, 2015)



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- Established a State Catalog of Financial Assistance
- Established a portal for grantee registration and pre-qualification
- Notice of Funding Opportunities located in one location for all state agencies
- Established Uniform processes and grant templates for all state agencies and all grant programs, including:
 - Application
 - Budget
 - Fiscal and Administrative Risk Assessment
 - Conflict of Interest Forms
 - Merit Based-Review Process
 - Notice of State Award
 - Uniform Grant Agreements and Amendments
 - Centralized Approach to Indirect Cost Rate Negotiations and Statewide repository of approved ICR rates
 - Centralized Audit Review process and statewide repository of audits
 - State-Wide Grant Management System

GATA Legislative Changes to IDOT Awards

Recent legislation passed by the 102nd Illinois General Assembly has exempted some IDOT grant programs from GATA requirements for Local Public Agencies (LPA).

SB1697 (PA 102-0626) – Effective 8/27/21: Provides that the requirements established under the Grant Accountability and Transparency Act do not apply to allocations of State revenues paid over by the Comptroller to units of local government and other taxing districts pursuant to the State Revenue Sharing Act from the Local Government Distributive Fund or the Personal Property Tax Replacement Fund, or to allotments of State motor fuel tax revenues distributed by the Department of Transportation to units of local government pursuant to the Motor Fuel Tax Law from the Motor Fuel Tax Fund or the Transportation Renewal Fund.

Amends the Downstate Public Transportation Act. Provides that commencing with State fiscal year 2022 programs, and for each fiscal year thereafter, all appropriations made under the provisions of the Act shall not constitute a grant program subject to the requirements of the Grant Accountability and Transparency Act.

HB4489 (PA 102-1092) – Effective 6/10/22: Amends the Grant Accountability and Transparency Act. Provides that the requirements established under the Act do not apply to awards, including capital appropriated funds, made by the Department of Transportation to units of local government for the purposes of a transportation projects utilizing State funds, federal funds or both state and federal funds. Provides that the Act shall recognize that federal and federal pass-through awards from the Department of Transportation to units of local government are governed by and must comply with 2 CFR 200.

Defining terms used in Public Act 102-1092:

Transportation project: “transportation project” is any type of project, and includes all modes, that facilitates transportation or transportation infrastructure, such as building, constructing, designing, maintaining, planning,



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rehabilitating, repairing, renewing, studying or supporting transportation infrastructure.

Local government. Interpretation will include the “units of local government” under Section 1 of Article VII of the Illinois Constitution [Ill. Const. (1970) Art. VII, § 1] and includes school districts. Discussion with GOMB-includes mass transit districts, ports, and airports. Local Units of Government DO NOT include not-for-profits or for-profit entities, Universities/Community Colleges, or State Agencies.

Capital Appropriated Fund: Funds derived from the annual State of Illinois Capital Budget.

Retroactivity of PA 102-1092: Anything that had an overdue reporting requirement prior to enactment of the changes to GATA remains due/owing. For anything where it was in a middle of fiscal year/reporting period will be excluded from reporting requirements, as well as anything going forward.

IDOT Grant Programs Not Exempted from GATA Requirements

(GATA Requirements still apply)

494-00-1575	Highway Research Program
494-00-2526	Tamara Clayton Expressway Grant
494-10-0330	National Motor Carrier Safety
494-10-0343	State and Community Highway Safety/National Priority Safety Program
494-10-1503	Illinois Cycle Rider Safety Training Program
494-42-0331	Recreational Trails Program
494-60-2421	Coronavirus Aid, Relief, and Economic Security Act - Airport Program

IDOT Grant Programs Partially Exempted from GATA Requirements

(GATA requirements will not apply if a grant is awarded to a local public agency for the purpose of a “transportation project”)

494-00-0964	State Matching Assistance Program
494-00-1002	Safe Routes to School Program <i>(non-infrastructure grants are not exempt)</i>
494-00-1003	Congestion Mitigation and Air Quality Improvement Program
494-00-1437	State Planning Funds
494-00-1439	Statewide Planning and Research Funds
494-00-1440	Rural Planning Funds
494-00-1461	Transportation Alternatives Program - Metropolitan Planning Organization +200,000 population selected
494-00-1472	Local Federal Rail Safety Program (Section 130)
494-60-0327	Airport Improvement Program
494-60-2151	State/Local Airport Improvement Program
494-60-2511	Aviation Fuel Tax Program <i>(only infrastructure awards are exempted)</i>
494-60-2547	Rebuild Illinois Airport Capital Improvement Program
494-60-2800	Aeronautics State Match
494-60-3070	Federal Infrastructure Investment and Jobs Act



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494-80-0334	High-Speed Rail Corridors and Intercity Passenger Rail Service - Capital Assistance Grants
494-80-0335	Rail Line Relocation and Improvement
494-80-1109	Rail Freight Program
494-80-1110	Local Rail Service Assistance Program
494-80-1136	Transit Statewide/Non-Metropolitan Transportation Planning - Federal Sec 5305(e)
494-80-1137	Transit Statewide/Non-Metropolitan Transportation Planning - State
494-80-1291	Transit 5310 Enhanced Mobility of Seniors and Individuals with Disabilities – CVP

IDOT Grant Programs Fully Exempted from GATA Requirements:

(GATA Requirements no longer apply)

494-00-0957	Economic Development Program
494-00-0958	Truck Access Route Program
494-00-0959	Township Bridge Program Lapse Pool
494-00-0961	Assistance to Needy Units of Governments - Township/Road Districts
494-00-0963	Grade Crossing Protection Fund
494-00-0965	Township Bridge Program
494-00-0966	County Consolidated Program
494-00-0967	High-Growth Cities Program
494-00-0968	Park Access Program
494-00-0969	Present Worth Jurisdictional Transfers
494-00-0999	Noise Abatement Program
494-00-1000	Illinois Transportation Enhancements Program
494-00-1004	Local Highway Safety Improvement Program
494-00-1005	Local Federal Bridge Program
494-00-1006	Illinois Special Bridge Program
494-00-1007	Emergency Relief Program - FHWA
494-00-1008	Federal Lands Access Program
494-00-1009	Metropolitan Planning Program
494-00-1010	Construction of Ferry Boats and Ferry Terminal Program
494-00-1488	Motor Fuel Tax Program
494-00-1660	National Infrastructure Investments - Transportation Investment Generating Economic Recovery
494-00-1661	Accelerated Innovation Deployment Demonstration
494-00-1662	Nationally Significant Freight and Highway Projects
494-00-1671	Illinois Competitive Freight Program
494-00-2356	REBUILD ILLINOIS LOCAL BOND PROGRAM
494-00-2453	State Participation in Local Lead Projects Program
494-00-2468	PORT FACILITIES CAPITAL INVESTMENT GRANT PROGRAM
494-00-2554	Local-Federal COVID Relief Funding
494-00-2848	Illinois Transportation Enhancements Program -State Funded
494-10-0492	Safety Belt Performance Grants
494-10-0493	Child Safety and Child Booster Seats Incentive Grants
494-10-0872	Injury Prevention Program
494-10-2368	Traffic Records Program
494-42-0495	Local Surface Transportation Program
494-60-2371	Residential Sound Insulation Program
494-60-2488	Capital Bill FY2020 Funding; Air Traffic Control Tower at Lewis University Airport (LOT)
494-60-2757	Capital Bill FY2020 Funding; Infrastructure Improvements at the St. Louis Downtown Airport in Cahokia



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494-60-2831 Capital Bill FY2020 Funding: Infrastructure Improvements at the MidAmerica St. Louis Airport
494-80-0333 Capital Assistance to States - Intercity Passenger Rail Service
494-80-0336 Transit 5309-2 Discretionary Bus/Bus Facilities State of Good Repair Initiative
494-80-0338 Transit 5311 Formula Grants for Rural Areas
494-80-0339 Transit 5310 Enhanced Mobility of Seniors and Individuals with Disabilities - Non-Urbanized/Rural
494-80-0351 Surface Transportation _ Discretionary Grants for Capital Investment
494-80-0352 National Infrastructure Investments
494-80-1120 Transit ADA Paratransit Service Funding for the Regional Transportation Authority
494-80-1124 Transit Additional State Assistance (SCIP I) for the Regional Transportation Authority
494-80-1125 Transit Additional Financial Assistance (SCIP II) for the Regional Transportation Authority
494-80-1126 Transit Reduced Fare Reimbursement for the Regional Transportation Authority
494-80-1127 Transit Public Transportation Fund for the Regional Transportation Authority
494-80-1128 Transit IL First Funding for Northeastern Illinois
494-80-1129 Transit IL First Funding for Statewide Illinois #2
494-80-1130 Transit IL First Funding for Statewide Illinois #1
494-80-1131 Transit Jump Start for the Regional Transportation Authority
494-80-1132 Transit Jumpstart for Downstate Illinois
494-80-1133 Transit Illinois Jobs Now for the Regional Transportation Authority
494-80-1134 Transit Illinois Jobs Now for Downstate Illinois
494-80-1135 Transit 5308 FFY11 Clean Fuels II
494-80-1139 Transit 5339 Bus & Bus Facilities Formula - Non-Urbanized/Rural
494-80-1141 Transit Downstate Operating Assistance Program
494-80-1284 Transit Downstate Transit Improvement Fund Program
494-80-1290 Transit 5339 Bus & Bus Facilities Formula - Small Urbanized
494-80-1597 State Rail Grant Program
494-80-2185 Regional Transportation Authority - CTA Green Line Damen Station Improvements
494-80-2186 Regional Transportation Authority – Metra – 59th Street Station Improvements
494-80-2187 Regional Transportation Authority (RTA) Capital Improvement Fund
494-80-2189 Regional Transportation Authority – Metra Auburn Park Station Construction
494-80-2190 Downstate Mass Transportation Capital Improvement Fund (CIF)
494-80-2191 Regional Transportation Authority – Metra - Kendall County Rail Extension
494-80-2192 Regional Transportation Authority - CTA Blue Line O’Hare Branch Improvements
494-80-2193 Regional Transportation Authority - CTA Green Line-Cottage Grove Station Reconstruction
494-80-2194 St. Clair County - Metro-Link Extension - Scott AFB to MidAmerica Airport
494-80-2195 Regional Transportation Authority – CTA Tactical Traction Power for the Blue Line O’Hare Branch
494-80-2196 Regional Transportation Authority - Pace Harvey Transportation Center Improvements
494-80-2197 Multi-Modal Transportation (MMT) Bond Fund for Downstate Public Transportation
494-80-2358 Multi-Modal Transportation (MMT) Bond Fund for RTA – Pace Capital Upgrades
494-80-2410 Coronavirus Aid, Relief, and Economic Security Act - Transit Formula Grants for Rural Areas
494-80-2428 Multi-Modal Transportation (MMT) Bond Fund for the Regional Transportation Authority (RTA)
494-80-2464 Transit 5311 Consolidated Vehicle Procurement
494-80-2885 Regional Transportation Authority (Metra) Chicago State University Station



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Catalog of State Financial Assistance (CSFA)

The Catalog of State Financial Assistance is a single, authoritative, statewide, comprehensive source of State of Illinois financial assistance program information. The CSFA is publicly available and lists all State of Illinois grant programs administered by a State agency that includes; objectives and goals, eligibility requirements, exceptions and exemptions, required audits, financial and performance reports.

The Public can search the CSFA for agencies with active grant programs by going to this link:

<https://gata.illinois.gov/grants/csfa.html>

The CSFA contains, at a minimum, the following information:

- Catalog of Federal Domestic Assistance (CFDA) and Catalog of State Financial Assistance (CSFA) numbers
- Program Staff Contact Information
- Program Description
- Eligibility
- State and Federal rule citations
- Total funding and funding source
- Performance measures

Notice of Funding Opportunity (NOFO)

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

- Is the official public notice of a grant opportunity offered by a state agency
- Is associated with the funding available in the Catalog of State Financial Assistance (CSFA)
- Informs potential applicants so an educated decision can be made to apply for funding
- Prepared by the state agency and made publicly available through the GATA website
- Must be posted in accordance with uniform requirements and specific grant requirements
- For competitive grants, must be published at least 45 calendar days, up to 60 days
- Should be posted at least 30 calendar days at minimum for non-competitive awards

All NOFOs offered in the State of Illinois are posted on the Illinois Catalog of State Financial Assistance (CSFA) at:

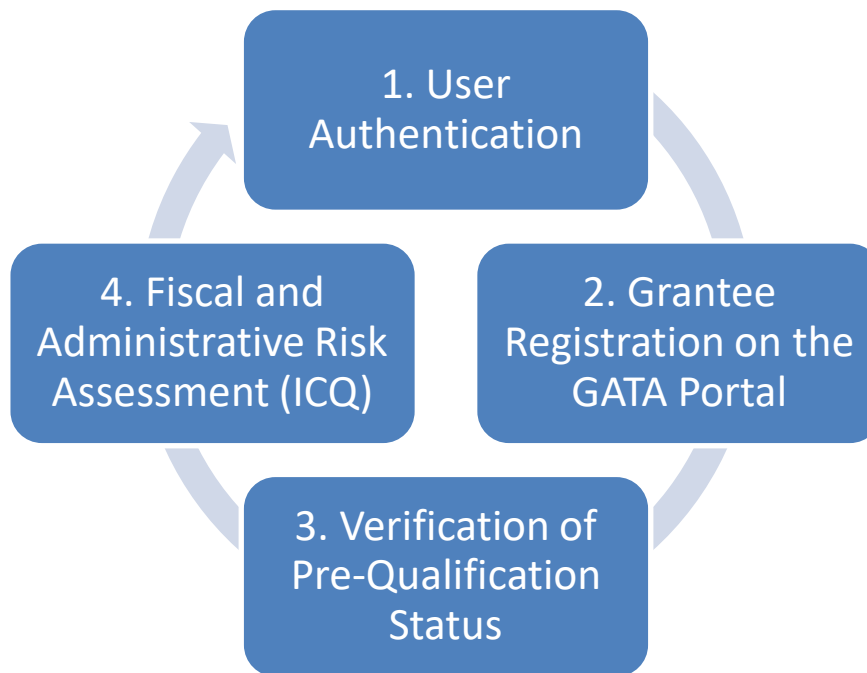
[CSFA \(illinois.gov\)](https://gata.illinois.gov)



GATA Pre-Award Requirements

GATA requires applicant organizations to complete specific requirements to receive a grant award from the State of Illinois. These pre-award requirements consist of completing the GATA pre-qualification process and completion of an annual risk assessment. Most GATA pre-qualification requirements must be completed **before** an organization submits a grant application to the State of Illinois.

There are four (4) steps required to meet the pre-award requirements:



Step 1: User Authentication

To access the GATA portal, each employee will need to set up either a Illinois.gov Public Account or a Partner account with a unique username and password. The first person to setup an organization on the grantee portal will automatically have access to the Grantee Portal and to the AmpliFund Grant Management System. Subsequent users to that organization will need to be approved by existing users with Grantee Portal Access.



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Public Accounts are the most common. Please refer to the hyperlink instructions on how to create either a public account or partner account.

IMPORTANT: IDOT highly suggests that you have at least two people from your organization with access to your entities GATA Registration. If you leave your organization, please make sure that the proper staff will have access after your departure.

Illinois.gov Public accounts

Instructions on how to create a public account: [HowToCreateAnIllinoisPublicAccount.pdf](#)

Instructions on how to grant additional access to the GATA portal or AmpliFund: [Portal and AmpliFund Access](#)

Public accounts require a valid personal or business email address. Account validation occurs using a confirmation email sent to the email address. During the registration process for obtaining a public account a username and password are created. To sign into the Grantee Portal, you will use this username and password.

Public account passwords expire once a year. You will be sent a notification to the email address specified as the expiration date approaches.

Illinois.gov Partner accounts

Created and managed here: <https://www2.illinois.gov/sites/doit/support/Pages/DoITIdentityManagement.aspx>

Partner accounts require personal information to obtain. Please refer to the FAQ web page for more information on obtaining a Partner account:

<https://www2.illinois.gov/sites/doit/support/Pages/IdentityManagementFAQ.aspx>

Important note for Partner accounts

When signing into the Grantee Portal using a Partner account you must append “@external.illinois.gov” to the end of your username. For example, if the username is John.Doe then in the username text box on the sign in form you just enter: John.Doe@external.illinois.gov

Step 2: Grantee Registration on the GATA portal

Most entities have already registered in the GATA portal. If you want to ensure your entity has registered, go to the hyperlink below, and at the bottom of the page go to “Search for Registered Grantees” by inputting your grantee name. **If your organization is registered, skip to Step 3, Prequalification.**

Check Here to see if your entity is already registered: <https://gata.illinois.gov/grants/csfa.html>



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[Click here to browse a list of current funding opportunities](#)

Search active programs :

Search

Search registered grantees :

Search

Once you have created your public account, it's time to register your entity on the GATA portal.

Below are the items you will need in order to register on the GATA portal:



Obtain a Federal Employee Identification Number (FEIN) - FREE

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

To obtain a FEIN/EIN:

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

Register Your Business with the Illinois Secretary of State – COST

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



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

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

To incorporate, please visit your entity's designation: Refer to the Illinois Secretary of State Business Services website: https://www.cyberdriveillinois.com/departments/business_services/home.html

Register with Illinois Department of Revenue – FREE

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

To register online visit: <https://mytax.illinois.gov/#3>

Register with System Award Management (SAM) SAM.GOV – FREE

SAM.gov is the central registration point for all government contractors and review of federal stop pay lists. GATA requires all organizations to have a current and active SAMs registration to apply for a grant program or receive a grant award. Your organization will be required to maintain the SAMs registration for the duration of the grant period.

Create a new SAMS Registration:

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

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

After registration, [SAM.gov](https://www.sam.gov) requires you to send a **notarized letter** indicating you are the authorized entity administrator.

Please allow 3-4 weeks for your registration to process. Once SAM.gov registration is completed, you will be given a SAM Cage code number.

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



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Verify an Existing SAMS Registration

If you already have a SAM.gov account, **be sure to check that it is active and up to date**. You can check your SAM.gov account status by going to: [sam.gov search](#) (Please note, SAM.gov has a log out feature if there is no activity after 30 minutes).

Note: SAM.Gov requires annual updating to remain active

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

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

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

The following items are needed to register with GATA:

- Valid Email Address
- Illinois Secretary of State (SOS) registration File ID Number (if required)
- Valid FEIN/EIN
- Valid DUNS number ***prior to April 4, 2022**, or Unique Entity Identifier number
- Current SAM.gov, completed registration

Understanding the types of Grantee Registrations

- Individual –1 entity, 1 registration
- Centralized –primarily for Local Governments –Counties and Municipalities with multiple departments and divisions where the funds/awards go to the county or municipality’s highest level and then to the specific division or department.
 - The highest entity level would register for all departments and divisions. All entities that fall under this centralized registration would be listed/identified in a “Grantee Note” by the registrant or the registrant can obtain assistance from DOT.GATA@illinois.gov to enter in the additional entities for them.
 - All of the awards for any of the entities listed would go to the registered FEIN, DUNS/UEI and GATA registration (a.k.a. Organization ID) numbers listed on the centralized registration.
 - *One* Internal Control Questionnaire (ICQ) would be completed, and *ONE* Indirect Cost Rate would be identified for all entities identified under the registration.
- Parent/Child –primarily for Local Governments –Counties and Municipalities with multiple departments and divisions that have their own DUNS numbers **AND** receive the funds/awards directly. The funds/awards DO NOT go through the highest level.



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- The highest entity (the parent) level would register their FEIN and DUNS/UEI, complete an ICQ and select an indirect cost rate just for their use.
- Each department and/or division (the children) would then register their DUNS, complete an ICQ and select an indirect cost rate just for their individual use.

Step 3. Verification of Pre-Qualification Status

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

The GATA Website will verify that an entity:

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

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

Note: Entities on the Federal Excluded Parties List are not eligible to do business with the State of Illinois.

Once all the requirements are marked as 'Good' you are eligible to apply to State of Illinois grant opportunities.

Congratulations!!

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

Step 4: Risk Assessments

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

The Fiscal and Administrative Risk Assessment is available on the GATA Grantee portal after successful registration and pre-qualification.



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Fiscal and Administrative Risk Assessment – ICQ

Entities must complete an Internal Controls Questionnaire (ICQ) as the Fiscal and Administrative Risk Assessment. The ICQ is completed **annually**, on the GATA Grantee Portal. All state agencies will utilize the results of the ICQ. The ICQ will become available for the new fiscal year around March/April.

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

To complete the ICQ:

1. Log into the GATA portal and click on “Create an FY 2024 ICQ” to start the questionnaire (or most current FY ICQ available).
2. Answer the questions in each of following sections and once complete hit “Submit”.
3. Enter the names of the entity CEO, CFO and the person completing the assessment and click “Certify and Submit”.
4. Each entity registered in the GATA Grantee portal is assigned a cognizant state agency. The cognizant agency may or may not be the state agency you are submitting a grant application to. However, this agency will review and approve your submitted ICQ and manage other general GATA-related issues.

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

Programmatic Risk Assessment – PRA

IDOT program staff will complete an Internal Programmatic Risk Assessment for each grant award. The Programmatic Risk Assessment is a tool for program staff to answer specific questions when reviewing applications to ensure risk categories are reviewed for the specific program in question so that appropriate mitigations can be identified, if appropriate. The Programmatic Risk Assessment is generally performed towards the end of the application process.

Indirect Cost Rates

On an annual basis, grantees are required to make an indirect cost rate election through the State of Illinois Grantee Portal. The Centralized system will be made available to all State of Illinois grantees that will receive a grant award.

If a grantee currently receives an award from the State of Illinois and is being prevented from making an indirect cost rate election in the centralized system, the grantee should contact its state awarding agency immediately to ensure awards have been entered into the CSFA in a timely manner. Once the state awarding agency enters the award in the CSFA, the grantee will be notified within 24 hours.

All indirect cost rate and elections will be based upon the grantee fiscal year end, not the state’s fiscal year end.



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Types of Indirect Cost Rate Elections

The requirements for the centralized indirect cost rate process includes the election or negotiation of the following indirect cost rate types as specified in the Federal Uniform Guidance:

1. Waive the right to charge indirect costs to grant awards (Waive or No Rate)
2. De Minimis Rate of 10% of modified total direct costs (10% MTDC)
3. Negotiate an Indirect Cost Rate Agreement with the State of Illinois (State NICRA), except Local Governments, see below.
4. Utilize a current Federally Negotiated Indirect Cost Rate Agreement (Federal NICRA), except Local Governments, see below.
5. Special Requirements for Local Governments
 - a) Local Governments are allowed to negotiate rates by individual departments or the entity as a whole. In order to negotiate an indirect cost rate by department, you must have a separate DUNS/Unique Entity Identifier and register separately in the GATA Grantee Portal, as we are required to treat you as an individual organization.
 - b) Local Governments receiving more than \$35 million in direct federal funding are required to negotiate their indirect cost rate with their federal cognizant agency.
 - c) Local Governments receiving less than \$35 million in direct federal funding are required to maintain indirect cost rate proposals (ICRPs) for federal audit purposes. These federally maintained proposals must be submitted to the State of Illinois to be reviewed and meet monitoring requirements. For purposes of the Centralized System, these federal ICRPs will be labelled as "State NICRAs" for local governments.

Indirect Cost Rate Election Timeframes

New Elections

Grantees/subrecipients must submit an initial indirect cost proposal or rate election in the Centralized System upon notice of award, and no later than 90 days after the effective date of the state award.

Subsequent Elections

Grantees/subrecipients that have previously established a State NICRA or made an election, are required to submit a new indirect cost proposal or rate election within six (6) months after the grantee/subrecipient's fiscal year end. Grantees that elect to waive ICR costs or elect the De Minimis rate will not have to make annual elections. These will remain in perpetuity until such time grantee decides to elect a different method for ICR costs.

Federal NICRA Provisional Rate Elections

Certain federal agencies may provide provisional rates beyond a grantee/subrecipients current fiscal year end. Therefore, the Centralized ICR System will request a grantee/subrecipient with a current Federal NICRA to make a subsequent election immediately upon the receipt of a new federal NICRA.



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EXAMPLE: Grantee/subrecipient has a Federal NICRA set to expire on 6/30/20 – A new election is required in the ICR System beginning 7/1/2020. If a new election is not made by date mentioned, the ICR System will provide notifications, via email, every thirty (30) days.

[Indirect Cost Rate Training Webinar](#)

[GATA Indirect Cost Rate Manual](#)

IDOT State of Illinois Public University Indirect Cost Rate Policy

The 12 State of Illinois public universities will be required to work with IDOT on either applying a 20% rate for on-campus programs, or 10% rate for off-campus programs on the base of their approved current NICRA, or to show calculations to reduce their federal NICRA rate for on-campus/off-campus to account for the annual general appropriations they receive from the State of Illinois for facilities and administration (pensions, healthcare, etc.).

POLICY: State of Illinois Universities Facilities and Administration (F&A) Memorandum

Federal Facilities and Administrative (F&A) rate agreements are used for indirect cost reimbursement on grants, contracts and/or other agreements issued or awarded to State Universities by all Federal Agencies of the United States, in accordance with the cost principles mandated by 2 CFR 200.

State Universities have recognized the State of Illinois continuously funds a portion of its facilities and administrative costs through annual general fund appropriations. Consequently, State Universities cannot seek the same percentage of indirect reimbursement from Federal pass-through and State of Illinois awards issued by State of Illinois Agencies.

Therefore, The Grant Accountability and Transparency Unit, The Governor's Office of Management & Budget, along with Chief Accountability Officers from State of Illinois awarding agencies recommend the following F&A policy for State funded Universities.

The following State University F&A Rate and Base will apply to all State issued awards that contain either Federal pass-through funding or State funding.

RATE: 20%, Rate for awards or programs administered On-Campus*

10%, Rate for awards or programs administered Off-Campus*

BASE: Base approved in the State Universities' current Federally Negotiated Indirect Cost Rate Agreement (NICRA)

*Criteria for utilization of the on/off campus rate is located within the general terms and conditions of Federal NICRA for each State University. If not clearly defined, State awarding agencies and officers will make final determination based upon the purposes of the grant scope.



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Listing of State of Illinois Universities that must follow the recommended F&A policy

- Chicago State University
- Eastern Illinois University
- Governors State University
- University of Illinois at Chicago
- University of Illinois at Springfield
- University of Illinois at Urbana-Champaign
- Illinois State University
- Northeastern Illinois University
- Northern Illinois University
- Southern Illinois University Carbondale
- Southern Illinois University Edwardsville
- Western Illinois University

Grant Application Process

Application instructions and submittal information is located in all Notice of Funding Opportunities. For Formula based grants, information will be provided by the awarding agency on what will be needed in terms of an application or other required materials.

As the State of Illinois continues to implement and roll-out the new statewide grant management system (GMS), more grant programs will utilize the new GMS system for application submittal and management of the grant. A link will be provided in the NOFO to the AmpliFund GMS system, if the agency is utilizing it for application submittal.

Grantees will need to work directly with the state agency program manager on applications. This agency representative will be listed in the NOFO. The grantee will submit uniform required documents, which may include;

- Uniform Application
- Uniform Budget
- Conflict of Interest document
- Programmatic Risk Assessment
- Any other program specific documentation required



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Notice of State Award (NOSA)

The Notice of State Award will **make the formal offer of the grant to the grantee through the GATA portal.**

The NOSA will come to the potential grantee from the GATA portal. It is important that the grantee maintain the correct contact information in GATA portal to be certain they receive this notification. This may also be an automated email which sometimes ends up in "junk email or spam" so please check those email boxes from time to time.

The NOSA will contain the following information:

- Awarding Agency
- State Award Identification Number (SAIN)
- Program Description
- Award Type
- Agency Contact Information
- Grantee Information, including name, address, phone, email, ID numbers.
- Period of Performance (grant term length)
- Funding Information including CSFA number, CFDA number, and matching requirements.
- Indirect Cost Rates to be charged
- Uniform terms, grantor specific terms, and program specific terms.
- Specific conditions related to the ICQ, merit-based review and/or programmatic risk assessment.

The Notice of State Award will make the formal offer of the grant to the grantee. It may exactly mirror what the grantee proposed in their application, or it may have different or additional requirements or different funding amounts. Should any risks have been revealed by the ICQ or Programmatic Risk Assessment, it will have requirements that address these risks. Grantees will want to work with their IDOT's program staff or the IDOT Grant Service Section to understand the changes and how to remedy those risks.

The NOSA is accepted by the grantee through the GATA portal and does not need to be printed, signed, and returned.

Note: The approved NOSA does not constitute an IDOT Grant award (grant agreement). That formal agreement process will begin after the NOSA has been accepted by the grantee.



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Uniform Grant Agreement (UGA)

Once a grantee has accepted the Notice of State Award, the State of Illinois grant making agency can commence with the official grant agreement process.

The Uniform Grant Agreement (UGA) is the instrument that will be used by all state agencies that administer grants that are subject to GATA.

The Uniform Grant Agreement (UGA) is divided into three parts along with exhibits. Part One contains the uniform requirements applicable to all Awards in the State of Illinois. Part Two can contain any additional agency-specific requirements an agency may have for grants. Part Three should contain grant (or program) specific requirements. Part Two or Three may be empty, if an agency considers the others sufficient.

Grant agreements should be signed by the agencies authorized representative and should be retained in the entities official grant files. IDOT is using DocuSign to obtain digital signature on grant agreements effective 2021.

Financial and Performance Reporting

Grantees with an approved state and/or federal grant program are required to submit quarterly reports at minimum. Quarterly reports are due 30 calendar days after the end of the reporting quarter. Failure to submit the report by the due date could result in scheduled payments being withheld until the required report is received.

Grantees must submit a final close out report 60 calendar days after the project end date (excluding any statutory deadline reporting requirements). Failure to submit the required report within 60 days may result in withholding funds for the subsequent year until the report is received.

IDOT's BoBS2832 form is used for the required uniform reporting on all IDOT grant awards. More frequent reporting may be required (understand your grant agreement). The BoBS2832 is used for financial reporting (based on the submitted budget) and also for performance reporting. Reporting requirements will be identified in the award recipient/grantee's uniform agreement (refer to Article XIII and Article XIV, Part 2 and Exhibits of the Uniform Agreement).

Additional reporting may be required based upon specific conditions, as listed in the accepted Notice of State Award (NOSA) and in Exhibit G of the uniform Agreement.



Grantee Enforcement Compliance System (Stop-Pay)

The Grantee Compliance Enforcement System (GCES) outlines a statewide framework for state agencies to manage occurrences of non-compliance with grant requirements. The severity of the non-compliance issue determines if the entity is placed on temporary or permanent Stop Payment Status. GATA legislation at 30 ILCS 708/60(a)(8) establishes the temporary and permanent classifications. A temporary Stop Payment Status can be remediated. There is no remediation for a permanent Stop Payment Status.

Non-compliance issues are classified as follows:

A. Temporary Stop Payment Status:

1. Late performance or expense reporting.
2. Failure to clear fiscal/administrative monitoring issue(s).
3. Failure to submit a timely audit report.
4. Failure to respond to audit report or monitoring review corrective action for deficiencies and material weaknesses.
5. Failure to submit a required refund payment or a payment missing from the payment plan; or
6. Factually based discretionary issue documented by the leadership within the awarding agency.

B. Permanent Stop Payment Status

1. Facts documented by the applicable state agency including but not limited to:
 - a. Conviction of or civil judgment for commission of fraud or a criminal offense, violation of federal or state antitrust statutes, commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, tax evasion, or commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects present responsibility.
 - b. Violation of grant terms or a transaction so serious as to affect the integrity of the program such as a willful failure to perform in accordance with grant terms, a history of failure to perform or of unsatisfactory performance, or a willful violation of statutory or regulatory provisions or requirements application to a grant.
 - c. Any other cause so serious or compelling in nature that it affects present responsibilities.
2. Fraud documented by the Office of the Executive Inspector General and/or other

C. Entities on permanent Stop Payment Status are not “qualified” to do business in Illinois.

The state agency must notify the grantee in writing of the non-compliance issue. The communication should state that the grantee and its parent organization, if applicable, will be placed on the Illinois Stop Payment List if adequate action by the grantee, including raising any objections, is not taken within 15 calendar days. If no adequate action is taken by the grantee within 15 calendar days, the state agency shall place the grantee and the grantee’s parent, if applicable, on the Illinois Stop Payment List. A written notice in the form of a Final Administrative Determination must be provided to the grantee and the grantee’s parent, if applicable, alerting that the Stop Pay Status has been invoked effective (date).

[GCES Statewide Policy](#)



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Audit Review Process

Once a grantees fiscal year has ended, and if the grantee had an active grant award during their fiscal year, the GATA system will populate an audit case. The audit review period is based on the grantee's fiscal year. The due dates of the audit cases are based on the type of audit the grantee had conducted.

For Single Audits: the audit completion due date is nine months after the close of the Grantee's fiscal year.

For all other audit types (GAGAS, GAAS & Other): the audit completion due date is six months after the close of the Grantee's fiscal year.

Grantees that have a parent/child relationship, the parent will be assigned the GATA audit case to complete for all awards listed for both the parent and child.

There are 5 audit steps that must be completed, which include the following:

- Step 1 - Audit Certification Form
- Step 2 - Consolidated Year End Financial Report (CYEFR)
- Step 3 - Audit Package Upload
- Step 4 – State Data Collection Form
- Step 5 - Management Decision Letter (State Agency Responsibility)

Step 1: Audit Certification Questions

An email notification will be sent the day after your fiscal year ends to notify an organization that a GATA audit case has been created in the grantee portal. The certification form is due 60 days from the fiscal year end of the entity.

The audit certification questions are based on the grant expenditures the grantee has for the fiscal year, which will indicate to the State of Illinois what type of audit you will have conducted.

1. Grantees that have expended \$750,000 or more in direct federal or federal pass-through grant funds are required to have a Single Audit conducted
2. Grantees that have expended \$500,000 or more in federal or state grant funds are required to have a GAGAS audit conducted.
3. Grantees that have expended \$300,000 ore more in federal or state grant funds are required to have a GAAS audit conducted.
4. Grantees that do not meet the audit thresholds in 1-3 above but are required to have an audit conducted for other regulatory reasons, or voluntary have an audit conducted, will indicate that in question 4.



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Step 2: Consolidated Year End Financial Report (CYEFR)

The Consolidated Year End Financial Report (CYEFR) is pre-populated with grants that have been awarded to an organization from a State of Illinois agency. Expenses are to be reported on the organization's basis of accounting, and it must tie out to the audited financials.

If a grant program has not pre-populated for the CYEFR, the organization can choose the state agency and the program themselves. Grant expenses from the state should be broken out by budget category. Other grant programs and activities (grants not from a state agency) and all other costs not allocated (all other entity expenditures) **DO NOT** have to be broken out by budget category, those expenses can be lumped together under the budget category Miscellaneous. The CYEFR should be completed and certified in the GATA portal by the organization's CFO, treasurer, or equivalent.

The CYEFR will be due for Single audits 30 days after completion of the Single audit, but no later than 9 months after the fiscal year end of the organization. The CYEFR will be due for all other audit types 30 days after completion of the audit, but no later than 6 months from the fiscal year end of the organization.

IMPORTANT: 12/31/17 Fiscal year audits and later are required to have an 'In Relation To' opinion to the audited financial statements for Single Audits (\$750K or more in federal/federal pass-through expenditures), GAGAS Audits (\$500K or more in State and/or Federal expenditures) and GAAS Audits (\$300K or more in State and/or Federal Expenditures). If you have an audit conducted for other regulatory reasons or voluntarily, an in-relation to opinion is not required on the CYEFR.

If you are required to have an in-relation to opinion on the audited financials (CYEFR), you will need to work with your CPA firm to input the expenditure amounts on the CYEFR in the GATA portal. Once the CPA firm agrees with the CYEFR amounts, you will need to print the CYEFR and give it to your CPA firm for them to provide the opinion. This opinion, along with the printed CYEFR will need to be uploaded as part of your audit package. If you do not include these documents, your audit could potentially fail.

Please direct any questions on the in-relation to opinion to DOT.GATA@Illinois.gov or DOT.AuditReview@Illinois.gov

Step 3: Audit Upload

Single Audits are due to the Federal Audit Clearinghouse (FAC) 30 days after completion of the audit, but no later than 9 months after the fiscal year end. Single audits will be automatically pulled into the GATA portal from the FAC.

GAGAS, GAAS and "Other" audits are due to be uploaded to the GATA portal by the organization 30 days after completion of the audit, but no later than 6 months after the fiscal year end.

For all audit types, a Peer Review Letter or Internal Inspection for "off years" is required. Reach out to your CPA firm to request a copy if it is not included in your audit.



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Content Requirements for Financial Audits:

1. Financial Statements (200.510(a))
2. Auditors Report (200.515)
3. Consolidated Year End Financial Report with in-relation to opinion
4. Peer Review Letter or Internal Inspection for “off years”
5. Summary Schedule of Prior Audit Findings (200.511(b)), if applicable
6. Corrective Action Plan (200.511©), if applicable
7. Management Letters and any other communications from the auditor required by AU325, if applicable

File Requirements:

File must be PDF (Adobe Acrobat portable document format)

File must be text searchable, unlocked and unencrypted

File must be less than 30 MB in size

Step 4: Data Collection Form

Single Audits – The data collection form is filled out on the Federal Audit Clearinghouse and then downloaded to the GATA portal. For all other audits, the data collection form is filled out immediately after the audit has been uploaded to the GATA portal.

Step 5: Management Decision Letter (Finalization of the Audit Process)

State agencies have 45 days to review the CYEFR to see if the expenses reported by the organization agree with the State agency records. If the state agency DOES NOT AGREE, the organization will be contacted to discuss the discrepancy, and the CPA firm may also need to be involved. If the state agency does agree, they will flag the CYEFR as good and will send it to the contractor for review

The contractor will review the audit package within 14 days of submittal to ensure the audit package is complete and meets applicable standards. If the package is incomplete, the organization will be notified by email of the missing items, giving them 7 days to resubmit. If the missing items have not been resubmitted after 2 attempts, the cognizant agency can invoke the stop-pay process against the organization until a complete submission is received.

State awarding agencies are required to review and approve the corrective action plan (CAP) for all audit findings that have been identified in the audit. If unable to approve the CAP, the state agency may invoke the Cooperative Audit Resolution Team (CART) process. Grantees can also invoke the CART process by contacting their cognizant agency.

Within 180 days of submission of a complete audit report packet (for Single Audit, this is FAC acceptance date, for Financial Statement Audit, this is determined by the Contractor), the cognizant agency must provide the grantee with a Management Decision Letter (MDL) outlining the State’s review of the audit report and associated corrective action plan (if necessary). After issuance of the MDL the audit is considered closed and will be archived accordingly.

[Audit Review Manual](#)



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AmpliFund – The Statewide Grant Management System

To apply for grants in the AmpliFund grant management system, employees must have a public or private account, and be associated with a GATA registration.

Your access must be approved for AmpliFund access, and you will utilize the same username/password for AmpliFund as you do for the GATA portal.

The Notice of Funding Opportunity will indicate whether the grant program you are applying for is in the AmpliFund Grant Management system, or if the applications will be collected in another manner. The NOFO will look similar to below if the applications are in AmpliFund:

24-1503-01 Illinois Cycle Rider Safety Training Program (All Regions)	DOT (494)
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The State of Illinois is developing a new statewide lifecycle grant management system building on the GATA frameworks currently in place. This new system will provide a common internet-accessible platform for all grant activity. The grant management system will improve the grant user experience by adding automation to the standard processes and templates implemented under GATA. It will use data already populated in the GATA Portal to prefill online templates and minimize duplicate entries by applicants, grantees and state agencies. All grant administration will occur within the new grant management system. This will enhance grant oversight and give Illinois more comprehensive information about the use of grant funds.

Grantees and state agencies will continue to use existing GATA systems. Grantees will connect to the grant management system through the Grantee Portal. State agencies will continue to use the GATA Implementation Intranet Site. The Catalog of State Financial Assistance (CSFA) will remain the source of funding opportunities (NOFOs). Entities will link to a standard electronic grant application process to make it easier for entities to request financial assistance. State agencies will use the new grant management system to review applications and create grant agreements. System generated notices to state agency staff, applicants and grantees will automate the delivery of communications.

Illinois knows it is successful when our grantees are successful. Following GATA practices, more than 130 representatives from state agencies and the grantee community are engaged in planning and configuration efforts related to implementing the phases of the new grant management system. The subcommittees will recommend standard, statewide business processes using current, uniform GATA templates and frameworks. The new system will use these standard business processes.

[IDOT AmpliFund Application Guide](#)



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Attachment A

Acronyms

Glossary of Abbreviations

- IDOT – Illinois Department of Transportation
- 2 CFR 200 – Code of Federal Regulations
- GATA – Grant Accountability and Transparency Act
- CFDA – Catalog of Federal Domestic Assistance
- CSFA – Catalog of State Financial Assistance
- NOFO – Notice of Funding Opportunity
- NOSA – Notice of State Award
- ICR – Indirect Cost Rate
- ICQ – Internal Control Questionnaire
- PRA – Programmatic Risk Assessment
- UGA – Uniform Grant Agreement
- BoBS2832 – Quarterly Reporting form for financials and performance reporting
- CYEFR – Consolidated Year End Financial Report
- MDL – Management Decision Letter
- GAGAS Audit - Generally Accepted Government Auditing Standards
- GAAS Audit – Generally Accepted Auditing Standards
- Single Audit – Formerly referred to A-133 audit
- In-Relation to Opinion - An auditor's opinion is a certification that accompanies financial statements