



Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

August 9, 2017

CIRCULAR LETTER 2017-19

GRANT ACCOUNTABILITY AND TRANSPARENCY ACT

COUNTY ENGINEERS / SUPERINTENDENTS OF HIGHWAYS
MUNICIPAL ENGINEERS / DIRECTORS OF PUBLIC WORKS / MAYORS
METROPOLITAN PLANNING ORGANIZATIONS – DIRECTORS
TOWNSHIP HIGHWAY COMMISSIONERS
CONSULTING ENGINEERS

The Illinois Grant Accountability and Transparency Act (GATA) was established under Public Act 98-0706 as 30 ILCS 708 on July 16, 2014. This public act put into place a new system for administering, tracking, and reporting upon grant and funding opportunities from the State of Illinois. One objective of the GATA is to establish a centralized location, or portal, where all of the grant and funding opportunities available from the State of Illinois are located. This public act also introduced several new requirements for grantees to be eligible to receive funding from the state.

The GATA requires registration as a grantee in order to be eligible to receive, or continue to receive, funding from the various agencies of the State of Illinois. Every local public agency desiring to continue receipt of transportation funding must register under the GATA. This includes the receipt of monthly motor fuel tax distributions. The registration process may be initiated by following the procedures outlined in the attached document. Each grantee will be required to establish a FEIN, a DUNS number, establish a SAM CAGE Code, select an indirect cost rate, and complete an Internal Controls Questionnaire (ICQ).

The GATA has also created a Catalog of State Financial Assistance (CSFA), which is a listing of all the grant and funding opportunities available to grantees from all the various state agencies. The CSFA is available on the GATA website. In combination with the CSFA, there will be a Notice of Funding Opportunity (NOFO) produced for each grant and funding opportunity, which will outline the details and specifics for that grant or funding program. The Central Bureau of Local Roads and Streets will continue to issue Circular Letters in conjunction with the NOFO to announce transportation grant and funding opportunities for the local public agency highway departments.

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Local public agencies interested in applying for grant opportunities will need to complete a set of application documents for the specific grant opportunity. This includes a uniform grant application (which is a universal document regardless of the grant or funding opportunity), a uniform budget template (also a universal document), a conflict of interest form, a programmatic risk assessment questionnaire, and a program specific application (where applicable by program). These documents, along with any program specific submittals, will need to be submitted to the proper state agency contact person by the application due date as outlined in the NOFO.

The state agency will review the submitted applications and make selections for project funding by the date specified in the NOFO. Local public agencies selected to receive funding will receive an award letter and a Notice of State Award (NOSA) outlining the details of the award and the specific conditions associated with the award. The specific conditions for the award will be developed by the state agency based upon the local public agency's completion of the ICQ and the programmatic risk assessment questionnaires. The local public agency will be requested to accept the NOSA through their GATA portal log in location. The local public agency should also take advantage of the NOSA to determine those specific conditions which they may correct within their agency.

Once the completed NOSA is in place, the local public agency may proceed with an engineering or joint funding agreement as appropriate.

If the construction contract for the awarded funding will be placed on a local letting, with the local public agency administering the contract, the joint funding agreements between IDOT and the local public agency, for all phases of the project using state or federal funds, will need to be completed on the GATA Uniform Intergovernmental Agreement (UIGA) form. These revisions will be implemented with projects scheduled for a local letting on, or after, September 22, 2017. These procedures do not apply to motor fuel tax and township bridge program funded projects.

If the construction contract for the awarded funding will be placed on a state letting, with IDOT administering the contract, the joint funding agreements between IDOT and the local public agency, for all phases of the project, may be completed on the traditional BLRS forms. To clarify, if the construction phase of a project will be placed on a state letting; the preliminary engineering, design engineering, right of way, construction and construction engineering may all be processed on the traditional BLRS forms.

There are three IDOT programs which do not follow the above guidelines: 1) the Illinois Transportation Enhancement Program (ITEP), Economic Development Program (EDP), and Safe Routes to Schools (SRTS) program. These programs will use the GATA agreements for all phases of the engineering and construction work regardless of whether the project will be placed on a state or local letting.

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Questions regarding the applicability of the UIGA form for a project and the completion of the UIGA form may be directed to your District Local Roads and Streets office.

General questions regarding GATA and the GATA process may be directed to the Grant Services and Administration Section by emailing DOT.GATA@illinois.gov.

Questions regarding this circular letter and how it applies to specific Local Roads and Streets funding programs may be directed to Mr. Thomas Winkelman, Local Program Development Engineer, by telephone at (217) 782-0675 or by email at Tom.Winkelman@illinois.gov.

Sincerely,

A handwritten signature in blue ink that reads "Maureen E. Kastl". The signature is written in a cursive style with a large initial "M".

Maureen E. Kastl, P.E.
Engineer of Local Roads and Streets

TW/

Attachment

cc: Mike Staggs, FHWA - Illinois Division
Joel Moore, Illinois Association of County Engineers
Joe Schatteman, Illinois Municipal League
Bryan Smith, Township Officials of Illinois
Charlie Montgomery, Township Highway Commissioners of Illinois

**Illinois Department of Transportation
Grant Accountability and Transparency Act
Pre-Award Registration Information**

In alignment with the Grant Accountability and Transparency Act (GATA) and Federal Uniform Guidance (2 CFR 200), entities receiving funds from programs that fall under GATA and 2 CFR 200, must complete the below requirements prior to receiving an award from the State of Illinois.

There are four steps:

1. **Grantee Registration**
2. **Grantee Pre-Qualification**
3. **Fiscal and Administrative Risk Assessment/Internal Control Questionnaire**
4. **Indirect Cost Rate Declaration**

1. Grantee Registration

There are three ways to register:

1. Individual – 1 entity, 1 registration
2. 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, DUN 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.

3. 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. The highest entity (the parent) level would register their FEIN and DUNS, 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.

To complete the Grantee Registration:

- Go to the Illinois.gov Public Authentication Portal: www.grants.illinois.gov/portal
- From there you will need to create a new account with a username and password.
- A personal or business email address is required to establish an account.
- Authentication verifies the relationship between an individual and the organization they represent.
- Performed once for each individual associated with a registration.
- Once you login, you will enter your DUNS number and it will take you to the main menu for your organization. You can manage your GATA account from there.

2. Grantee Pre-Qualification

(Required one-time at the organization/entity registration level; periodically validated)

To be qualified to do business with the State of Illinois an entity must be registered with or under a centralized registration that has:

- a) A *current* DUNS number (click [HERE](#) to view instructions on obtaining a DUNS number);
- b) A *current* SAM CAGE Code (click [HERE](#) to view instructions on obtaining a SAM Cage Code);
- c) *Not be on* the Federal Excluded Parties List (click [HERE](#) to verify utilizing the Quick Search); and
- d) *Be in Good Standing* with the Illinois Secretary of State, if applicable. (click [HERE](#) to verify).

Entities on the Federal Excluded Parties List are not eligible to do business with the State of Illinois. Entities may remediate all other pre-qualification issues.

3. Fiscal & Administrative Risk Assessment/ICQ (Required annually at the organization/entity level)

All registered entities must complete an ICQ annually. **All state agencies** will utilize the results of the ICQ for all entities associated with the registration. Currently FY17 and FY18 ICQs need to be completed by all registrants receiving funds during those time periods.

4. Indirect Cost Rate System (CARS)

Once the ICQ has been approved, the person who completed the ICQ for the registered/prequalified entity will receive an e-mail invitation from Crowe Horwath to negotiate an indirect cost rate. This responsibility can be changed or re-assigned if needed. The CARS system can be accessed with a log in and password at any time, except during regularly scheduled updates which occur on Wednesday evening (2hrs).

For additional information please refer to Appendix V to Part 200—State/Local Government Wide Central Service Cost Allocation Plans of 2 CFR 200.

Visit the *Grantee Links* tab on grants.illinois.gov to learn more about the GATA process.