



Illinois
Department of Commerce
& Economic Opportunity
JB Pritzker, Governor

Get Ready to
Apply for a Grant



Illinois
Department of Commerce
& Economic Opportunity
JB Pritzker, Governor

Also Known as...
Understanding the
Grant Accountability and
Transparency Act
(GATA) Pre-Award Process

GATA Pre-Award Requirements

- The Grant Accountability and Transparency Act (GATA) provides uniform guidance for all State of Illinois grant programs
 - State Agencies are required to manage grant programs in accordance with GATA and Uniform Federal Guidance.
 - Applicants and grantees must comply with GATA grant requirements
- GATA requires applicant organizations to complete the following steps before receiving a grant award:
 1. Pre-qualification on the GATA Grantee Portal, and
 2. Completion of two risk assessments:
 - Fiscal and Administrative - Internal Controls Questionnaire (ICQ)
 - Programmatic Risk Assessment

GATA Pre-Award Requirements (cont'd)

- Pre-Qualification requirements must be completed **before an entity can submit a grant application** to the State of Illinois.
- The 2 risk assessments can be completed at any time **before the issuance of a state award**.



Pre-Qualification Requirements

- GATA requires that an entity:
 - Have a valid FEIN number;
 - Have a valid DUNS number;
 - Have a current SAM.gov account;
 - Not be on the Federal Excluded Parties List;
 - Be in Good Standing with the Illinois Secretary of State, as applicable;
 - Not be on the Illinois Stop Payment list; and,
 - Not be on the Dept. of Healthcare and Family Services Provider Sanctions list.
- These requirements are verified and maintained on the GATA Grantee Portal at <https://grants.illinois.gov/portal>.

GATA Pre-Qualification Process

To begin this process an entity must:



(This process is completed once and then maintained through the portal.)

Step 1 - Obtain a FEIN

A Federal Employer Identification Number (FEIN) is used by the federal government to identify a business entity.

- ***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.
(If you apply online you can get a FEIN/EIN immediately.)

- It is **FREE** to obtain a FEIN/EIN.

Step 2 – Register Your Business with Illinois

Illinois businesses can organize as a:

- Sole Proprietorship;
 - General and Limited Partnership;
 - Limited Liability Partnerships (LLP);
 - Limited Liability Companies (LLC);
 - "S" Corporation; or,
 - "C" Corporation
- For more information regarding getting your business registered, different types of business structures, or finding your county clerk's office, please visit DCEO's website, [Step by Step Guide](https://www2.illinois.gov/dceo/SmallBizAssistance/BeginHere/Pages/StepByStepGuide)
(<https://www2.illinois.gov/dceo/SmallBizAssistance/BeginHere/Pages/StepByStepGuide>)



"My whole family loves this."
Chili Dog Casserole
Google Chrome - www.allrecipes.com

Get Recipe

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<https://www2.illinois.gov/dceo/SmallBizAssistance/BeginHere/Pages/StepByStepGuide.aspx>



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Step 2 – Register Your Business with Illinois

Sole Proprietorships and General Partnerships

- When a business name is different from the owner(s) full legal name(s), the Illinois Assumed Name Act requires **Sole Proprietorships** and **General Partnerships** to register with their local county clerk's office for registration under the Assumed Name Act.
- For help finding your county clerk's office, please visit DCEO's website, [Step by Step Guide](#), or contact your local Small Business Development Center at 618-650-2929.

Step 2 – Register Your Business with Illinois

- ***To register your business:***

- Refer to the Illinois Secretary of State Business Services website at http://www.cyberdriveillinois.com/departments/business_services/home.html
- Review the necessary forms for your entity's designation: **Limited Partnership, Limited Liability Company, Limited Liability Partnership, Corporation (C), or Corporation (S).**

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

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

Step 3 – Register with the Dept of Revenue

Any entity conducting business in Illinois or has Illinois customers must register their business with the Illinois Department of Revenue.

- *To register online visit:* <https://mytax.illinois.gov/#3>
(For more information, please visit:
<https://www2.illinois.gov/rev/businesses/Pages/register.aspx>.)
- It is **FREE** to register with the Department of Revenue.

Step 4 – Obtain a DUNS Number

The Data Universal Numbering System (DUNS) is the official tracking database of all government contractors.

- *To register for a DUNS Number, go to: <http://fedgov.dnb.com/webform/>*
- A valid DUNS number will be required to complete Step 5 - Register with Sam.gov. It can take 1 business day to obtain your DUNS#.
- It is **FREE** to obtain a DUNS number.

Step 5 – Register with SAM.Gov

SAM.gov is the central registration point for all government contractors and review of federal stop pay lists.

- **To register a new Sam.gov account**, you will need:
 - A valid DUNS Number
 - Taxpayer Identification Number (TIN) or FEIN
 - Banking information such as bank's routing number and bank account number. (This is needed to setup Electronic Funds Transfer.)
 - A valid email address and access to a mobile phone to receive a security code.(See next 6 slides)
- **To verify an existing SAM.gov account**, check that it is active and up to date by going to: <https://sam.gov/SAM/pages/public/samStatusTracker.jsf>.
- It is **FREE** to register with Sam.gov

STEP 3 REGISTER WITH SAM.GOV

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- It is **FREE** to register with Sam.gov

To register in SAM.gov go to
<https://sam.gov/SAM/>

View assistance for SAM.gov

SAM
SYSTEM FOR AWARD MANAGEMENT

A NEW WAY TO SIGN IN - If you already have a SAM account, use your SAM email for login.gov. **Log In** [Login.gov FAQs](#)

HOME SEARCH RECORDS DATA ACCESS CHECK STATUS ABOUT HELP

ALERT: SAM.gov will be down for scheduled maintenance Saturday, 09/12/2020, from 8:00 AM to 2:00 PM

The System for Award Management (SAM) is an official website of the U.S. government. There is no cost to use SAM. You can use this site for FREE to:

- Register to do business with the U.S. government
- Update or renew your entity registration
- Check status of an entity registration
- Search for entity registration and exclusion records

<https://sam.gov/SAM/>

Getting Started

Create A User Account

Register Entity

Search Records

Start by creating a SAM user account.

After creating your SAM user account, log in to register to do business with the U.S. government.

Do a public search for existing entity registration records or exclusion records.

Federal users can log in to see additional information.

GSA
IBM SP 80590814 1104
WWW.GSA.GOV

Search Records
Data Access
Check Status
About
Help

Disclaimers
Accessibility
Privacy Policy

FAPIS.gov
GSA.gov/IAI
GSA.gov
USA.gov

This is a U.S. Government Acquisition Federal Government computer system that is "FOR OFFICIAL USE ONLY." This system is subject to monitoring. Individuals found providing unauthorized access are subject to disciplinary action including criminal prosecution.

Complete the steps to create a SAM.gov account

The image shows a screenshot of the SAM.gov login page. At the top, there are three icons: a person, a shield, and a computer. Below them, the text reads: "SAM is using login.gov to allow you to sign in to your account safely and securely." A light blue box contains a message: "First time here from SAM? Your old SAM username and password won't work. Please create a login.gov account using the same email address you use for SAM. Learn more." Below this is a form with an "Email address" field, a "Password" field with a "Show password" checkbox, and a blue "Sign In" button. Under the "Sign In" button, there is a link that says "Don't have an account? Create an account", which is circled in red. At the bottom of the page, there is a "Sign In" button and a "(Back to SAM)" link.

You will need to complete each section of the registration. Click "Start Registration" to begin the process.

Overview

Registration Overview

Purpose of Registration

Core Data

Representations and Certifications

Points of Contact

Submit Registration

[BACK TO OUR DASHBOARD](#)

SAM Entity Management registrations are required to submit detailed information on their entity in the following categories, depending on the purpose of the registration:

- Core Data**
Mandatory for all registration types. Includes, but is not limited to, an entity's DUNS and/or DODAAC, name, address, CAGE or SICAGE, code, TIN or EIN number, general information, financial information, and details about any proceedings in which the entity may currently be involved.
- Assertions**
Documents self-assertions from each entity. Includes, but is not limited to, data about the types of goods and services the entity provides, the entity size, optional Electronic Data Interchange (EDI), and disaster relief data.
- Representations & Certifications**
Documents an entity's representations and certifications related to their small business status, responses to mandatory and Federal Acquisition Regulation (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS) provisions, status, and Archived: Employer Response (DFARS Part 23).
- Points of Contact**
Mandatory for all registration types. The entity will be asked to provide contact information for any mandatory POC based on the information they provided during the registration process. Includes, but is not limited to, accounts receivable, electronic business, and government business.

Notes:

An entity within the SAM system includes prime contractors, organizations or individuals applying for assistance awards, those receiving loans, sole proprietors, corporations, partnerships, and any federal government agencies desiring to do business with the government.

Entity Administrators and/or Entity Registration Representatives are responsible for ensuring the accuracy of an entity registration in SAM. An entity registration must be renewed every 365 days in order to remain active and will expire if it is not updated in a timely manner. An expired registration may affect the ability to do business with the Federal government.

START REGISTRATION

Status: Work in Progress

During processing, CAGE rejected your record with the following message: Rejected-Failure to respond to a CAGE request within 5 business days. . Log back into SAM and update your registration to address the issue.



Status: Active

Your registration was activated on Mar 08, 2019. It expires on Mar 07, 2020 which is one year after you submitted it for processing.



Obtaining an active SAM.gov account can take several weeks depending on the volume of requests to SAM.gov. If you have any questions about the process, SAM.gov offers a customer service line 866-606-8220 or a live chat option at <https://www.fsd.gov/>.

Submit a Notarized Letter to SAM.gov

- After registration, SAM.gov requires you to send a [notarized letter](#) indicating you are the authorized entity administrator.
 - Use the [templates](#) provided at FSD.gov and **print them on your entity's letterhead.**
 - After completed and notarized, **MAIL** the document to Federal Service Desk.

FEDERAL SERVICE DESK
ATTN: SAM.GOV REGISTRATION PROCESSING
460 INDUSTRIAL BLVD
LONDON, KY 40741-7285
UNITED STATES OF AMERICA

Step 6 – Register with GATA

After completing steps 1-5, entities must register with GATA to verify the qualified status.

- ***To register with GATA, go to the GATA Grantee Portal at:***
<https://grants.illinois.gov/portal>.
- Entities must complete the following steps:
 1. Authentication
 2. Grantee Registration
 3. Verification of Pre-qualification Status

Illinois Grant Accountability and Transparency Act Grantee Portal

Welcome to the Illinois GATA Grantee Portal. To access the Portal you must have an Illinois.gov account.

- [Sign In Here](#)
- [Create Account](#)
- [Account Help](#)

[Grant Management System News](#)

Frequently Asked Questions

- [How to access the Illinois GATA Grantee Portal.](#)
- [How to create an Illinois.gov public account.](#)
- [How to reset your password.](#)
- [All Grantee Portal FAQs](#)

Department of Human Services (DHS) Centralized Repository Vault (CRV) Users

If you have a DHS CRV account or an Illinois.gov partner account in the external domain, you can use it to access the Grantee Portal but you must append "*@external.illinois.gov*" to the end of your username.

For example: **John.Doe@external.illinois.gov**

For assistance with your CRV account please [click here](#).

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1. AUTHENTICATION

- Authentication verifies the relationship between an individual and the organization they represent and is performed once for each individual associated with a registration.
 - A personal or business email address is required to establish an account on the grantee portal.
- To obtain an account click the “**Create account**” button.
 - For help with the Illinois.gov Authentication Portal please click the 'Can't access your account' link below the sign in button.

(See next 3 slides)

<https://grants.illinois.gov/portal>

Be sure to use Internet Explorer as your web browser.

https://grants.illinois.gov/portal/

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If you have a DHS CRV account or an Illinois.gov partner account in the external domain, you can use it to access the Grantee Portal but you must append "@external.illinois.gov" to the end of your username.

For example: **John.Doe@external.illinois.gov**

For assistance with your CRV account please [click here](#).

You should receive an email from IdentityManagement@Illinois.gov to the address you entered to create your new account. If you did not receive the email, check your spam or trash folder. To verify your account you will need click the link in the email message that was sent from IdentityManagement@Illinois.gov.



Accounts > Account Validation

Account Validation

You have successfully created an Illinois Public Account.

Your Username is: JDOe

Your password is the one that you specified during creation.

The email address `Jane.Doe@company.com` that you provided can be used for resetting your password if you forget it.

Continue

2. GRANTEE REGISTRATION

- Grantee Registration is completed by browsing to <https://grants.illinois.gov/portal> and signing in with your new Illinois public account.
- You will be requested to enter your DUNS number to associate your Illinois.gov account with your organization.
 - **New accounts must enter the organization's information on the Registration screen.**
 - **Existing accounts** must click the "Edit" button next to the organization name on the Main Menu.

(See next 4 slides)

Illinois Grant Accountability and Transparency Act Grantee Portal Disclaimer

USAGE TERMS AND CONDITIONS

*** UNAUTHORIZED ACCESS IS PROHIBITED ***

Further access to this system is strictly limited to users authorized by the State of Illinois conducting official State business. Users of this system shall have no expectation of privacy. By accessing this system the user consents to monitoring and recording, which may be disclosed for administrative, disciplinary, civil, or criminal actions, penalties, or prosecution. Neither the State of Illinois nor any of its employees shall be liable for any damages arising in any way out of the use of this system or any information contained herein.

Decline



Accept

Illinois Grant Accountability and Transparency Act Grantee Portal - Registration

To create an account with the Illinois Grant Accountability and Transparency System please fill in the form and click the 'Save' button. All fields are required except those labeled 'Optional'.

Organization DUNS

Organization FEIN *(Numbers only. 9 digit Federal Employer ID Number)*

Organization Type

Illinois Secretary of State File ID *(Numbers only)*

Organization Name

Organization Address 1

Organization Address 2 *(Optional)*

City

State

Zip Code

Primary Email

Primary Phone

Does this organization have 2 or more years experience with Illinois grants? Yes No

IMPORTANT: Please enter and validate this organization's correct fiscal year end date. GATA must record the correct date for audit requirements. Upon clicking the 'Save' button, changes to this date can only be done by contacting the state cognizant agency.

Fiscal Year End Month: Fiscal Year End Day:

RISK ASSESSMENTS

GATA requires entities to complete a fiscal and administrative and programmatic risk assessment prior to receiving a grant award.

(These assessments can be completed before, during or after the application process.)

- **Fiscal and Administrative ICQ** is available on the GATA Grantee Portal after successful registration and pre-qualification.
- **Programmatic Risk Assessment** will be made available by the State Agency during or after the application period.

FISCAL AND ADMINISTRATIVE RISK ASSESSMENT

- Entities must complete an Internal Controls Questionnaire (ICQ) as the Fiscal and Administrative Risk Assessment.
- The ICQ is available on the GATA Grantee Portal and completed once annually.
- All state agencies will utilize the results of the ICQ.
(See next 2 slides)



Fiscal and Administrative Internal Controls Questionnaire (ICQ)

[Create an FY 2020 ICQ](#)

An ICQ is required for each state fiscal year your organization does business with the State of Illinois. For example, state FY 2018 which begins on 7/1/2017 and runs through 6/30/2018 requires an FY 2018 ICQ. Notifications when changes occur to an ICQ status can be emailed to Grantee Portal Access users by clicking the "Manage" button below.

Notice Of State Awards (NOSA)

No pending Notice of State Awards.
Notice of State Awards require the ability to view PDF files. [Click here](#) for assistance.

Active Audit Reviews

No active audit reviews.
[Click to view a list of all audit reviews](#)
[Federal Uniform Guidance and Illinois GATA audit requirements](#)
[Audit Report Review Manual](#)

Grantee Portal Access [Manage](#)

When all of the questions are complete, the submit button will become red.

**Illinois Grant Accountability and Transparency Act
FY 2019 Internal Controls Questionnaire**

[Return to Main Menu](#) [Print](#) [Submit](#)

When all questions are answered the Submit button will be enabled. After the form is submitted no changes will be allowed. Grantee Portal Access users that have selected "Receive ICQ alerts and notifications" will receive an overnight notification that the status of an ICQ has change.

Section	Questions	Answered
02 - Quality of Management System (2 CFR 200.302)	7	7
03 - Financial and Regulatory Reporting (2 CFR 200.327)	3	3
04 - Budgetary Controls (2 CFR 200.308)	2	2
05 - Cost Principles (2 CFR 200.400)	8	8
06 - Audit (2 CFR 200.500)	2	2
07 - Organizational Governance (Including but not limited to: Board of Directors, City Council, County Board, Leadership, Legislature, Governor's Office, etc.)	9	9
08 - Property Standards (2 CFR 200.310 - 316)	1	1
09 - Procurement Standards (2 CFR 200.317 - 326)	1	1
10 - Subrecipient Monitoring and Management (2 CFR 200.330 - 332)	1	1
11 - Fraud, Waste and Abuse	6	6
All Sections	10	10

Printing the ICQ requires Adobe Acrobat Reader.
ICQ Assistance: [Commerce And Econ. Dev. \(ceo.gata@illinois.gov\)](mailto:ceo.gata@illinois.gov)

Enter the names of the entity CEO, CFO and the person completing the assessment and click certify and submit.

**Illinois Grant Accountability and Transparency Act
Grantee Portal - ICQ Submission**

Name of Chief Financial Officer (or equivalent):

Name of Executive Director (or equivalent):

Submitter Name and Title:

Date:

By clicking the "Certify and Submit" button for this internal controls questionnaire, I certify that

1. The Executive Director and Chief Financial Officer attest to the accuracy of the information provided;
2. To the best of my knowledge and belief that the information is true, complete and accurate and that any false, fictitious, or fraudulent information or the omission of any material fact, could result in the immediate termination of this organization's grant awards.

[Cancel](#) [Certify and Submit](#)

PROGRAMMATIC RISK ASSESSMENT

- Entities must complete a grant-specific Programmatic Risk Assessment for each grant award.
- Your state awarding agency will inform you of the timing of the Programmatic Risk Assessment and administer the Programmatic Risk Assessment.
 - DCEO will request a programmatic risk assessment be completed after you have submitted your grant application and DCEO has determined to move forward with your grant application.

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- Your state awarding agency will inform you of the timing of the Programmatic Risk Assessment and administer the Programmatic Risk Assessment.
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Questions?

If you have questions concerning the GATA process, you may contact:

- your Cognizant State Agency (contact information is in the GATA Grantee Portal);
- your grant manager; or,
- email CEO.GATA@Illinois.gov.

Refer to the “Understanding the GATA Pre-Award Process – Grantee Guide” for additional instructions.

Business Resources:



For additional assistance completing pre-qualification requirements contact:

First Stop
Business
Information
Center

DCEO offers a single statewide resource for entrepreneurs and businesses to obtain comprehensive regulatory and permitting information. Center staff provide professional guidance to entrepreneurs by linking them to state and local resources. Services include:

- Toll free helpline 1.800.252.2923 or [email us](#)
- Para información en español por favor llamar al: 1.800.252.2923 o envíe su mensaje por medio del Correo electrónico Sonia.Gerson@illinois.gov
- Business startup kit & business specialists
- Starting Your Business In Illinois Handbook (PDF [English](#) / [Spanish](#))
- or contact your local Small Business Development Center at 618-650-2929



For additional assistance completing pre-qualification requirements contact:

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- Business startup kit & business specialists
- Starting Your Business In Illinois Handbook (PDF [English](#) / [Spanish](#))
- or contact your local Small Business Development Center at 618-650-2929.

Illinois Funding Opportunities

- To view current funding opportunities available in the State of Illinois visit the Illinois Catalog of State Financial Assistance (CSFA) at <https://www2.illinois.gov/sites/GATA/Grants/SitePages/CSFA.aspx>.
- DCEO has and will continue to issue funding opportunities for Illinois entities. To stay informed of the latest funding opportunities DCEO has to offer, review the CSFA and follow DCEO on social media e.g., [Facebook](#), [LinkedIn](#), and/or [Twitter](#).



SBDC Contact Information

East St. Louis SBDC

ESL Higher Education Campus
*601 James R. Thompson
Bldg. D, Room 1017
East St. Louis, IL 62201*

618-482-8330 phone
gdimagg@siue.edu
mawiela@siue.edu

Edwardsville SBDC

SIUE Core Campus
*Alumni Hall
Room 2126
Edwardsville, IL 62026*

618-650-2929 phone
618-650-2647 fax
gdimagg@siue.edu
mawiela@siue.edu



Illinois
Department of Commerce
& Economic Opportunity
OFFICE OF ENTREPRENEURSHIP,
INNOVATION & TECHNOLOGY
Bruce Rauner, Governor

SOUTHERN ILLINOIS UNIVERSITY
EDWARDSVILLE
SCHOOL OF BUSINESS

