



We Will Begin Shortly

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Grants Innovation Exchange Session

Reducing Administrative Burden – A State's Perspective

Carol Kraus, CPA, CGMS

Director, Illinois Grant Accountability and Transparency Unit

October 24, 2019





Session Overview

- **Welcome**
- **Speaker Introduction**
- **Innovation Exchange**
- **Results-Oriented Accountability for Grants Cross Agency Priority Goal**
- **Q&A**
- **Stay Informed**





Speaker Introduction

Speaker: Carol Kraus, CPA, CGMS

Carol Kraus is a licensed CPA and CGMS. She started her career in public accounting specializing in state, local government and nonprofit auditing and consulting in 1992. She has served in many capacities in state government starting in 2000. Ms. Kraus served as the Chief Financial Officer for the Department of Human Services, and Co-chaired the Management Improvement Initiative Committee which was responsible for streamlining the administration of awards and grants for the State's 5 Human Service agencies. This Initiative was very successful and ultimately led to the passage of landmark legislation to implement statewide grant reforms with the passage of the Grant Accountability and Transparency Act (GATA).

Currently, Ms. Kraus is serving as the Director of the Grant Accountability and Transparency Unit which is responsible for leading the effort of implementing GATA - establishing uniform policies and procedures in a collaborative effort between grant making agencies and grantees to remove redundancies, duplication of effort and streamlining processes while increasing accountability and transparency throughout the entire grant life cycle. GATA has resulted in saving the state hundreds of millions of dollars in centralization and automation in the implementation of 2 CFR 200. Carol currently serves on the Board of Directors for the National Grants Management Association.



Historical Evolution of the Grant Accountability and Transparency Act (GATA)

- In 2010, the **grantee community started an initiative and passed legislation to remove redundancies** and streamline the grant process for the 5 Human Service Agencies
- To make uniform grant rules, **state agencies and their grantees recommended the state follow federal grant rules** since the majority of grants issued in the state were federally-funded or used as matching, in-kind, or maintenance-of-effort as a condition of existing federal grants for the 5 Human Service Agencies
- **The initiative was so successful it was decided to make uniform rules for all grant making agencies in the state**
- Grant Accountability and Transparency Act (GATA) was signed into law in July 2014

Grants Management Before GATA

Communication

No uniform processes for grant application, reporting, monitoring, and audit.

Inconsistencies increased administrative costs with no value added.

Noncompliant entities' status not shared among State agencies.

Loss of institutional knowledge.

Technology

No statewide technology system to manage grants.

Prevalence of redundant databases that were not supported.

Lack of transparency and comparable data regarding grantee performance and tracking.

Resources

Limited staff and resources available for monitoring.

Limited financial resources.

Turnover of grant staff resulted in gaps in processes.

GATA GOALS

“Uniform Requirements”

- Assist state agencies and grantees in implementing Federal guidance at 2 CFR Part 200, Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (Uniform Requirements)
- **Increase accountability and transparency while reducing redundant administrative burdens**
- Promote cross-sector cooperative efforts – need state agency and grantee input for rulemaking and implementation recommendations

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

GATA GOALS

“Uniform Requirements” cont.

- Strive to maintain a uniform process throughout the entire grant life cycle by leveraging the Uniform Guidance
- Optimize resources – Centralization and coordination of grant activities to promote efficient use of scarce resources to lessen the administrative burden on pass-through agencies and their grantees
- Focus on program outcomes
- Provide training and technical assistance for state agency staff and grantees

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

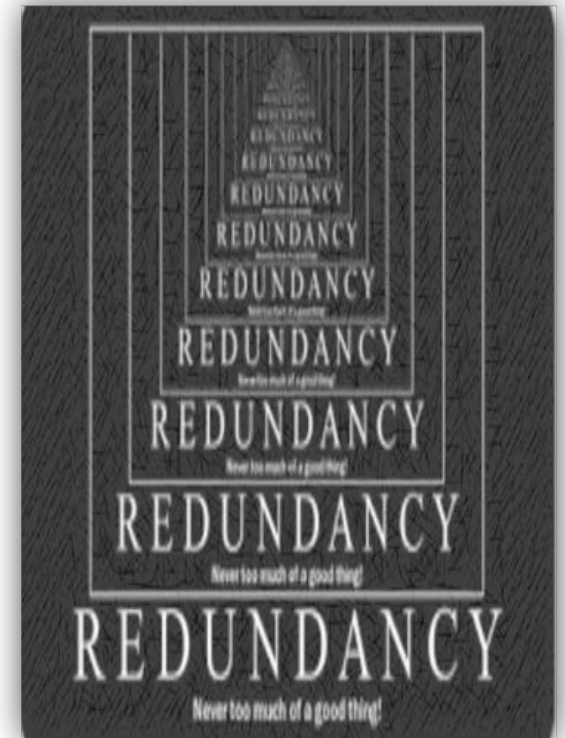
GATA
Efficiencies
FY19
Catalog of
State Financial
Assistance
(CSFA)
Statistics

- Approximately **1,877 different grant programs** administered in Illinois
- Approximately **35,000 active grant awards issued** by state grant making agencies
- Approximately **8,900 unique grantees**
- **Over 80% of grantees have awards from more than one state agency/division**, some have grants with up to 15 different agencies

Optimize Resources, Remove Redundancies & Duplication of Effort

An analysis of grantees who received grants from two or more state grant making agencies/divisions revealed nearly **8,574 duplications in common requirements** including:

- Registration and prequalification
- Fiscal and administrative risk assessment and Specific Conditions
- Programmatic risk assessment framework and Specific Conditions
- Indirect cost rate negotiation
- Audit report review
- Grantee training



GATA Optimizes Resources - Annually, Once and Done

Eliminate duplicate efforts through centralized compliant frameworks, processes, and templates:

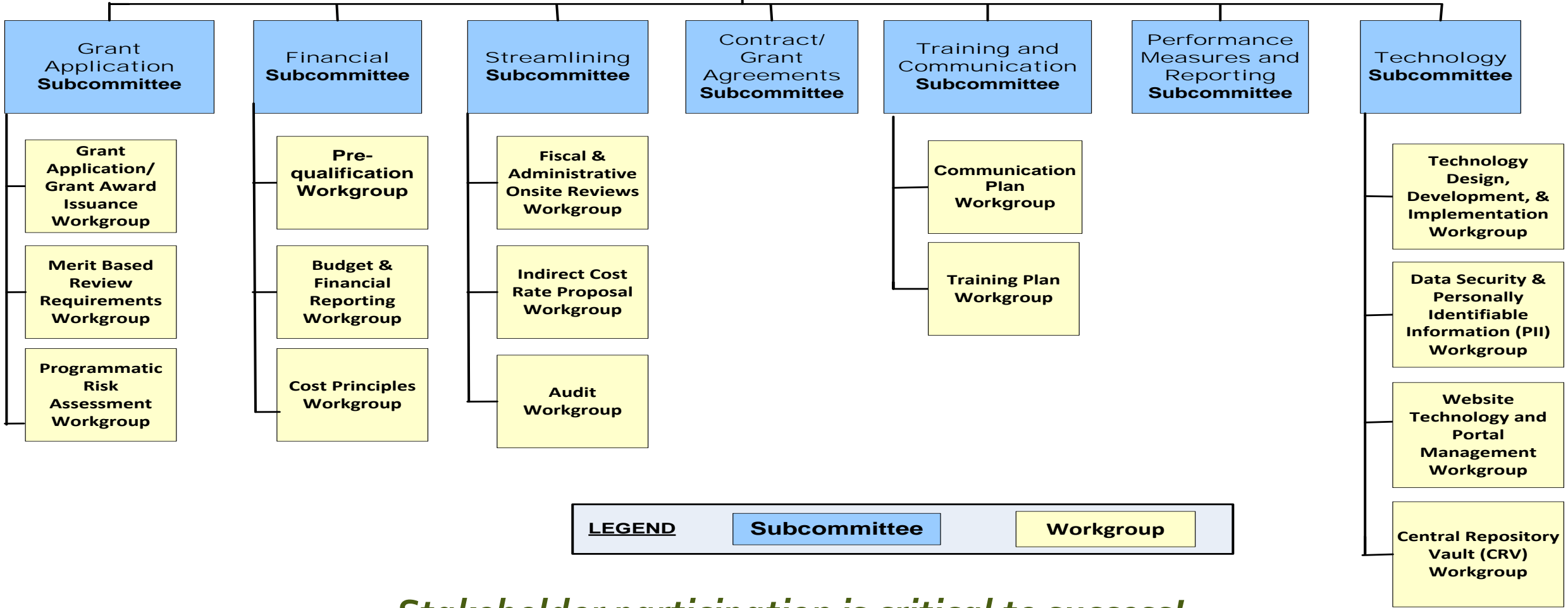
- Centralized pre-qualification automation
- Centralized fiscal and administrative risk assessment and specific conditions automation
- Uniform notice of funding opportunity, grant applications, and grant agreements
- Uniform budget and periodic financial and programmatic reporting templates
- Centralized audit report reviews utilizing an Audit Report Review Management System
- Centralized negotiation of indirect cost rate agreements
- Statewide Grantee Compliance Enforcement System
- Delivery of on-demand grant training and tracking



**Governors' Office of Management and Budget
Grant Accountability and Transparency Unit**

Illinois Single Audit Commission

GATA Steering Committee



LEGEND Subcommittee Workgroup

Stakeholder participation is critical to success!

GATA – Technology

COMPLETED SOLUTIONS

- State grant information website
 - www.grants.illinois.gov
 - Catalog of State Financial Assistance
 - Grant rules, FAQs, how to apply for grants
 - Grant Training
- State grant gateway portal
 - Grantee registration and pre-qualification
 - Fiscal and Administration Internal Control Assessment
 - Audit Report Review Management System
 - Indirect Cost Rate Negotiation System
 - Grantee Compliance Enforcement System (GCES)

IMPORTANT ANNOUNCEMENT TO ALL STATE AGENCIES AND GRANTEE ORGANIZATIONS

GATA Training for Centralized Audit Report Review - Available on Demand

Please use the updated Audit Report Review Manual available in the Resource Library

COMING SOON: Indirect Cost Rate Election in the Grantee Portal FY2019

Announcing

To promote a common understanding of the Grant Accountability and Transparency Act legislation and Illinois' commitment to compliant grant management, a one-page GATA brief is provided [here](#).

Public release of the **Catalog of State Financial Assistance (CSFA)** and the **Grantee Compliance Enforcement System**

Catalog of State Financial Assistance

The CSFA is required by GATA and provides a single, authoritative, statewide, comprehensive source of financial assistance program information. State agencies have populated the CSFA with federal, federal pass-through and state awards received. The CSFA also records grantee awards under each CSFA number.

The public can search the CSFA for agencies with active grant programs, currently funded grants, current funding opportunities, and registered grantees. Use the CSFA tab of this website or the following link to access the public-facing CSFA:
<https://www2.illinois.gov/sites/GATA/Grants/SitePages/CSFA.aspx>.

State Grant Information Website



Opportunity Title	Agency	Opportunity Number	Award Range
Motor Fuel Tax Program	DOT (494)	14-1488-01	\$300 - \$100000000
State Matching Assistance Program	DOT (494)	17-0964-01	\$0 - \$175000
County Consolidated Program	DOT (494)	17-0966-01	\$85925 - \$1848595
High-Growth Cities Program	DOT (494)	17-0967-01	\$4324 - \$280508
Present Worth Jurisdictional Transfers	DOT (494)	17-0969-01	\$0 - \$5000000
Local Federal Bridge Program	DOT (494)	17-1005-01	\$25000 - \$10000000
Emergency Relief Program	DOT (494)	17-1007-01	\$5000 - \$2000000
Federal Lands Access Program	DOT (494)	17-1008-01	\$0 - \$0
Veterans Scratch-Off Lottery Ticket Program	DVA (497)	17-VET	\$25000 - \$100000
Township Bridge Program	DOT (494)	18-0965-01	\$0 - \$400000
Statewide Planning and Research Funds	DOT (494)	18-1439-01	Not Applicable
Township Bridge Program	DOT (494)	19-0965-01	\$0 - \$400000
Township Bridge Program	DOT (494)	20-0965-01	\$0 - \$400000
NSLP Equipment Assistance Grant	ISBE (586)	20-4260	\$1000 - \$50000
DHS Cluster Permanent Supportive Housing (PSH) (785)	DHS (444)	20-444-22-1253-01	Not Applicable
Federal Programs - State Sexual Risk Avoidance Education	ISBE (586)	20-4998-AE	Not Applicable
Community Development Block Grant Economic Development Program	DCEO (420)	2018 24-1 CDBG Economic Development Program	\$0 - \$1000000
Community Development Block Grant Economic Development Program	DCEO (420)	2019 24-1 CDBG Economic Development Program	\$0 - \$1000000

Catalog of State Financial Assistance

Grantee Portal

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](#).

Centralized Efficiencies

Centralized Burden Reduction	Total Labor Hours
Centralized indirect cost rate negotiations	432,837
Centralized audit report review	563,173
Centralized framework for fiscal & administrative risk assessments	105,598
Centralized grantee pre-qualification	52,791
Automated Notice of State Award	35,050
Automated Notice of Funding Opportunity	2,537
Estimated Burden Reduction	1,191,986

GATA is Good Government

- Landmark legislation.
- Sets the bar for grant accountability.
- Sets the bar for grant transparency.
- Lessens the administrative burden for state agencies and their grantees.
- Win-win for government and grantee community.
- Improves performance outcomes.
- Reduces risk of fraud, waste, and abuse.
- Saves State agencies and grantees hundreds of millions of dollars.

GATA
Question?

Thank You!

For further information visit our
website at www.grants.Illinois.gov

Or contact us at

OMB.GATA@Illinois.gov



Results-Oriented Accountability for Grants Cross Agency Priority Goal (Grants CAP Goal)

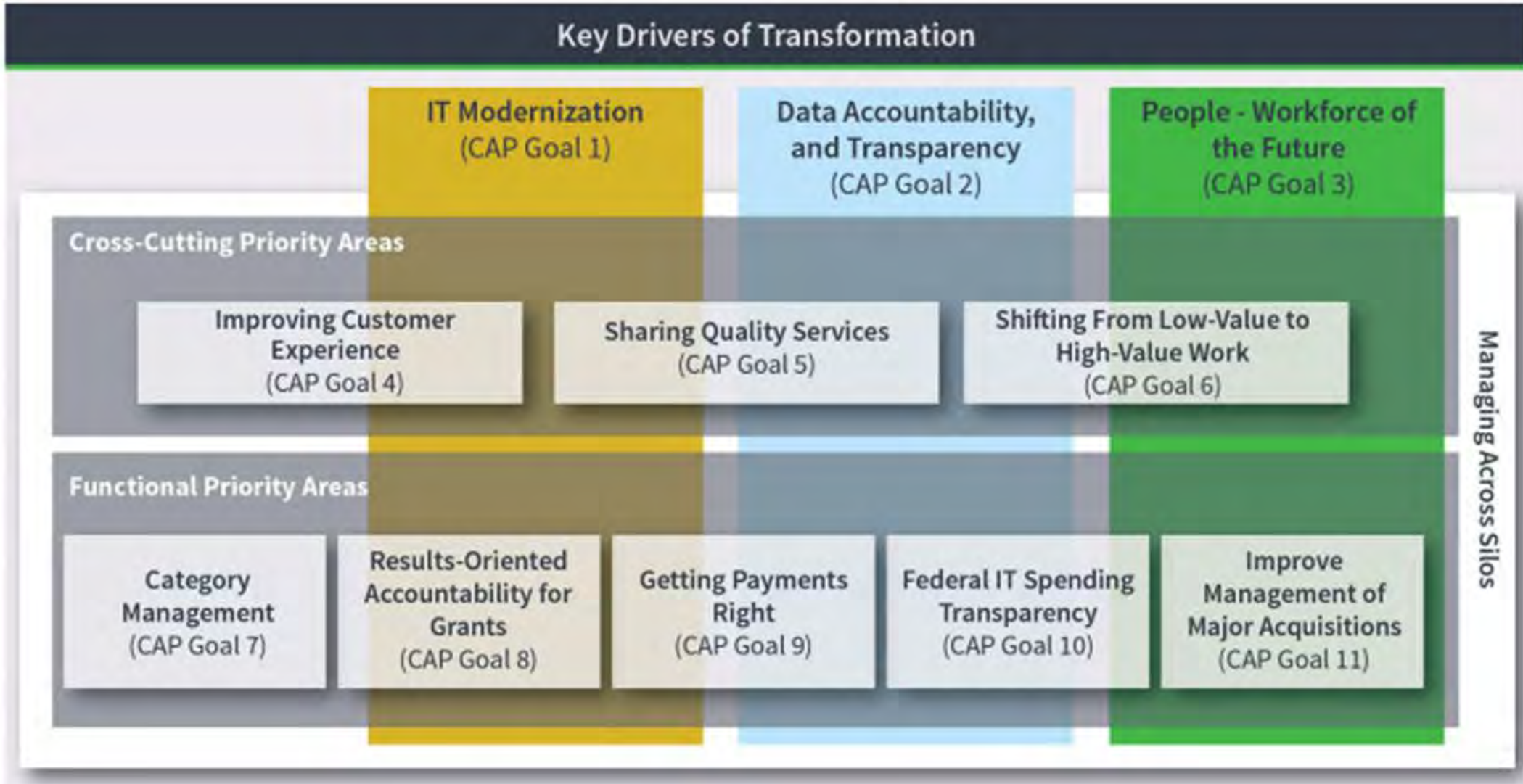
Maximize the value of grant funding by applying a risk-based, data driven framework that balances compliance requirements with demonstrating successful results for the American taxpayer.

GOAL STATEMENT





Cross Agency Priority Goal Environment





Grants CAP Goal Strategies

Hold recipients accountable for good performance practices that support achievement of program goals and objectives; & streamline burdensome compliance requirements for those that demonstrate results.



Achieve Goals and Objectives



Standardize Business Processes & Data

Standardize grants management business processes & identify, operationalize, standardize, & link data.



Build Shared IT Infrastructure

Use standard business processes & data to identify opportunities to build shared solutions that reduce burden & improve the user experience.



Manage Risk

Leverage data, including data from annual audits, to assess & manage recipient risk.



Strategy 1: Standardize Business Process & Data

- Version 1.0 of the Grants Management Standard Data Elements were published October 11, 2019 on [USSM.gov \(https://ussm.gsa.gov/fibf-gm/#standard_data_elements\)](https://ussm.gsa.gov/fibf-gm/#standard_data_elements)
- This common language is the first step to realizing the benefits of data standardization
- The standard data elements represent a significant milestone to:
 - Improve the interoperability and quality of grants management data
 - Support the modernization of grants information technology solutions
 - Reduce recipient reporting burden



Instructions:

Please enter your questions via the chat feature via Adobe Connect; OR

Email them to GrantsTeam@omb.eop.gov



Stay Informed

JOIN OUR COMMUNITY TODAY!

<https://www.performance.gov/CAP/grants/>

**Results-Oriented
Accountability for Grants**

NEWS & EVENTS RESOURCES **JOIN COMMUNITY**

INNOVATION EXCHANGE SESSION SCHEDULE:

Due to the holidays, sessions will not be held the 4th Thursday of November or December. We plan to hold one on an alternate date. Stay tuned!

DO YOU HAVE AN INNOVATION YOU WOULD LIKE TO SHARE?

Please email the Grants Team at GrantsTeam@omb.eop.gov