



Illinois Department of Human Services

Grant Applicant Pre-Qualification and Pre-Award Requirements

January 26, 2022

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Help
is here

Overview of Pre-Qualification and Pre-Award Requirements



The Pre-Qualification stage is completed prior to submitting an application for a grant or other awards.

Remember: From start to finish, the time to process all registrations can take up to 12 weeks. Your grant application **cannot** be processed until you are pre-qualified, **so don't put this off!**

Note!

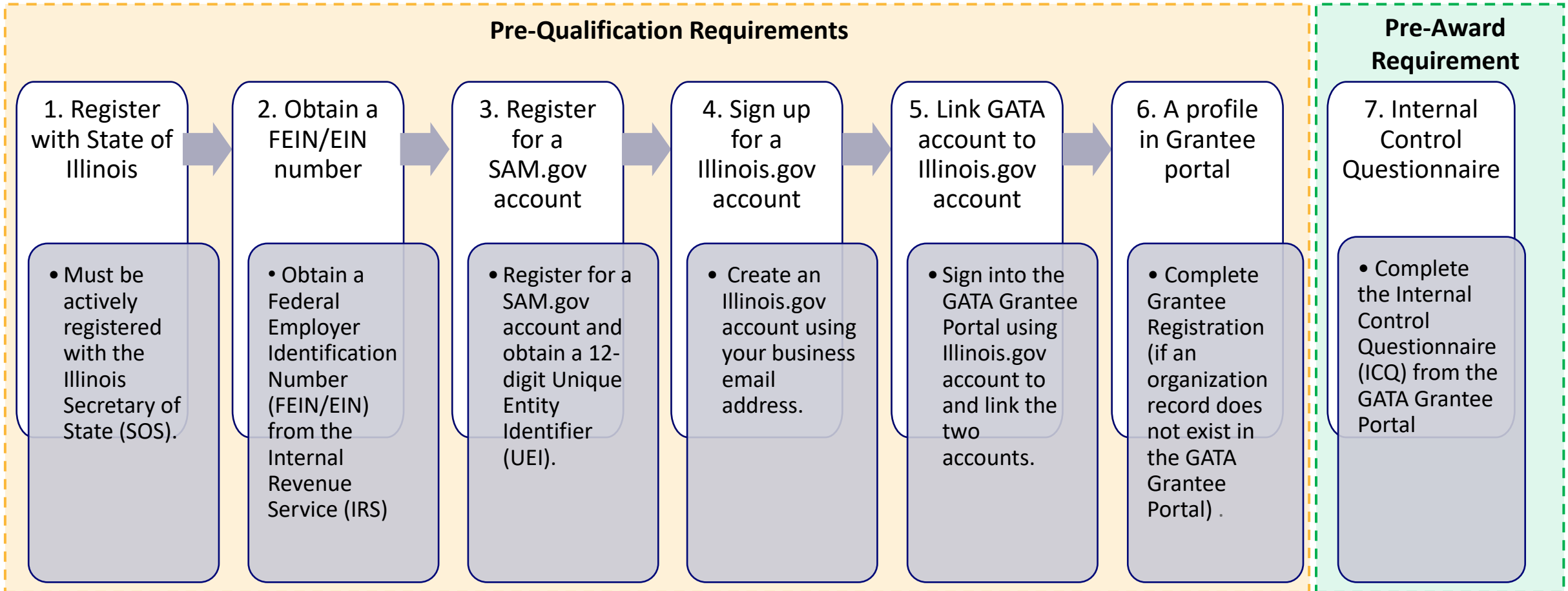
Keep your business records close while navigating this process and ensure consistent entry of your business information while completing each registration.

You won't be able to complete the entire process in one day, as some steps are contingent upon others, but you can come back to this guide as often as you need.



Overview of Pre-Qualification and Pre-Award Requirements (*continued*)

Below is an overview of the Pre-Qualification steps and the respective requirement of your organization within the step.



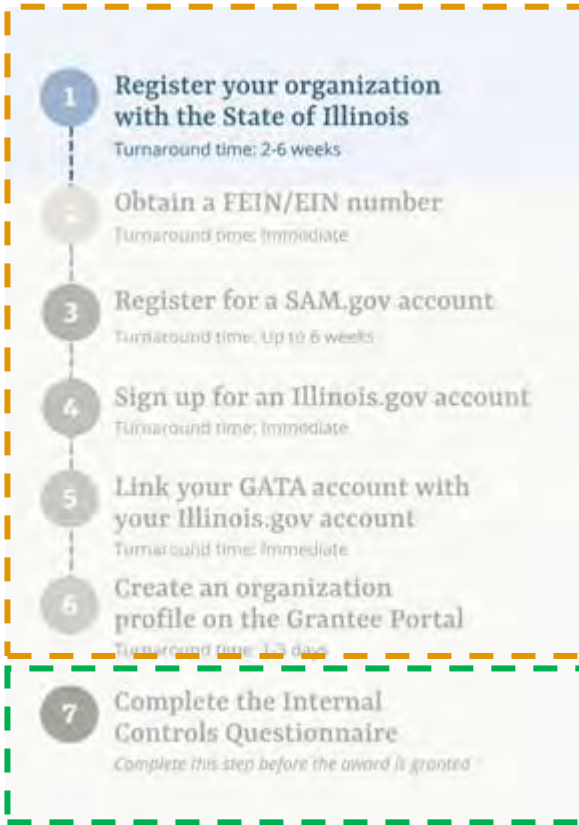
Overview of Pre-Qualification and Pre-Award Requirements (*continued*)

Below is a summary of Pre-Qualification and Pre-Award steps and the preparation and processing timelines for each step.

	Step Number	Step Description	Preparation Time	Processing Time	Resources
Pre-Qualification	1	Register with State of Illinois	30 minutes	2-6 weeks	Illinois Secretary of State website
	2	Obtain a FEIN/EIN number	30-45 minutes	Immediate for online applications, 4 weeks for mail-in or faxed applications	IRS FEIN/EIN application website
	3	Register for a SAM.gov account	1-2 hours	Up to 6 weeks	SAM.gov website
	4	Sign up for a Illinois.gov account	30 minutes	Immediate	Illinois.gov account setup
	5	Linking GATA account with Illinois.gov account	15 minutes	Immediate	GATA Grantee Portal
	6	Create an organization profile on the Grantee portal	30 minutes	1-3 days	GATA Grantee Portal
Pre-Award	7	Complete the Internal Controls Questionnaire	2-4 hours	N/A	GATA Grantee Portal



1. Illinois Secretary of State Registration



* Timelines are estimates and subject to change

As Step 1, your organization must be registered with the Illinois Secretary of State (SOS).

Preparation time: 30 minutes*
Processing time: 2-6 weeks

If you are already registered with the State of Illinois, confirm your registration is Active and in Good Standing, and proceed to the [next step](#).

There is no need to purchase the *Certificate of Good Standing*, as the GATA Grantee Portal automatically links to the Illinois Secretary of State Website using your organization's IL SOS File Number to validate that the organization is in good standing.

ilsos.gov Online Services Publications/Forms Departments News Contact

OFFICE OF THE ILLINOIS SECRETARY OF STATE

JESSE WHITE
SECRETARY OF STATE

SEAL OF THE STATE OF ILLINOIS

Corporation/LLC Search/Certificate of Good Standing

Corporation File Detail Report

File Number	59611194
Entity Name	ABC ACADEMY, INC.
Status	ACTIVE



Click Here to Check the Status of an Illinois Business

1. Illinois Secretary of State Registration (*continued*)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-3 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

IL SOS Reinstatement / Renewal

If you are already registered but your registration is **NOT** in Good Standing, take the necessary steps to reinstate or renew your registration. For reinstatement, all annual reports looking back a maximum of six years must be submitted at reinstatement.

To reinstate and/or renew an **Illinois Corporation**, see the following links for guidelines and online filing: [Corporation Reinstatement](#) and [Corporation Annual Report](#)

To reinstate and/or renew an **Illinois Not-for-Profit**, see the following link for guidelines and online filing: [Not-for-Profit Reinstatement](#) and [Non-for-Profit Annual Renewal](#)

To reinstate and/or renew an **Illinois Limited Liability Company**, see the following link for guidelines and online filing: [LLC Reinstatement](#) and [LLC Annual Renewal](#)

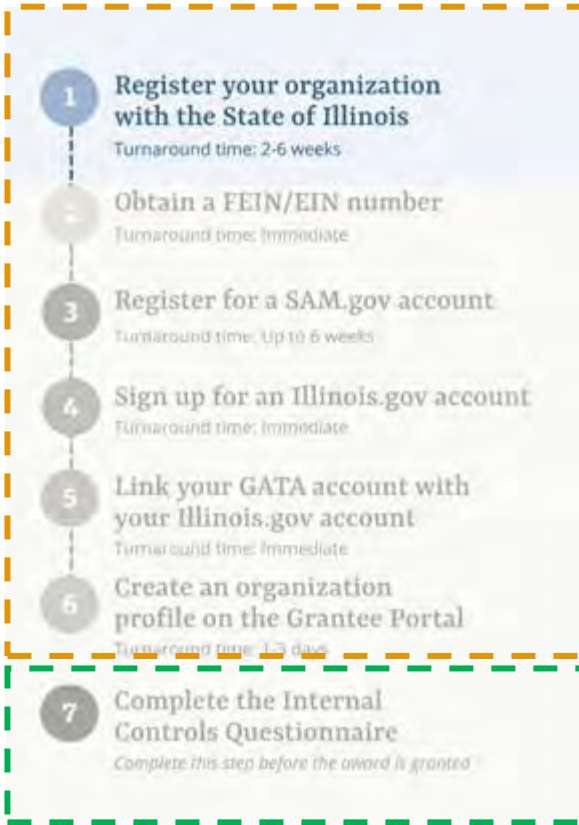
Sole proprietorships are filed only at the county level. Check with your County Recorder's office to determine filing requirements.

The screenshot shows the website ilsos.gov for the Office of the Illinois Secretary of State, Jesse White. The page displays a search result for a corporation with the following details:

Corporation File Detail Report	
File Number	1234567
Entity Name	ABC Company
Status	NOT GOOD STANDING



1. Illinois Secretary of State Registration (*continued*)



IL SOS Organization (For New Entities)

To organize an **Illinois Corporation**, complete and submit [Corporation Articles of Incorporation](#)

- For paper filing, complete and mail or fax: [BCA 2.10, Articles of Incorporation](#)
- For detailed instructions and guidelines, see the [Guide for Organizing Domestic Corporations](#)

To organize an **Illinois Not- for- Profit**, complete and submit [Not-for-Profit Articles of Incorporation](#)

- For paper filing, complete and mail or fax : [NFP 102.10, Articles of Incorporation](#)
- For detailed instructions and guidelines, see the [Guide for Organizing Not-for-Profit Corporations](#)

To organize an **Illinois Limited Liability Company**, complete and submit [LLC Articles of Organization](#)

- For paper filing, complete and mail or fax : [LLC-5.5, Articles of Organization](#)
- For detailed instructions and guidelines, see the [Guide for Organizing Domestic Limited Liability Companies](#)

Sole proprietorships are filed only at the county level. Check with your County Recorder's office to determine filing requirements.



2. Federal Registrations for Grant Recipients FEIN / EIN



The screenshot shows the IRS website navigation bar with links for Help, News, English, Charities & Nonprofits, and Tax Pros. Below the navigation bar are links for File, Pay, Refunds, Credits & Deductions, and Forms & Instructions. A search bar is visible on the right. The breadcrumb trail reads: Home / File / Businesses and Self-Employed / Small Business and Self-Employed / Employer ID Numbers / Apply for an Employer Identification Number (EIN) Online. The main heading is 'Apply for an Employer Identification Number (EIN) Online'.

In Step 2, you'll need to obtain a Federal Employer Identification Number (FEIN/EIN) from the Internal Revenue Service (IRS) if you don't already have one. The online application is a free service offered by the IRS, and you can get your EIN immediately. If you already have an EIN, proceed to the [next step](#).

Preparation time: 30 - 45 minutes

Processing time: Immediate for online application, 4 weeks for mail-in or faxed applications

If you are not comfortable sending information via the Internet, download and complete the [Form SS-4 PDF file](#) as guided within the [Form SS-4 Instructions](#), which includes alternative ways of applying.

Note, online application is the only approach with immediate turnaround.

If you previously applied for and received an EIN but misplaced the number, follow the steps on the [IRS Website for Lost or Misplaced EIN](#). You can call the IRS Business & Specialty Tax Line at (800) 829-4933 from 7:00 a.m. - 7:00 p.m. local time, Monday through Friday for additional assistance if needed.



Click Here to Apply for an
EIN Online

2. Federal Registrations for Grant Recipients FEIN / EIN (continued)



Applying for an EIN Online

- Make sure you use the exact same organization name that was approved by the State of Illinois in the previous step.
- You must complete the application in one session, as you will not be able to save and return at a later time.
- For security purposes, your session will expire after 15 minutes of inactivity, and you will need to start over.
- You will receive your EIN immediately upon verification.

For assistance with the online application process, please call 1-800-829-4933.

IRS.gov Help | Apply for New EIN | Exit

EIN Assistant

Your Progress: 1. Identify 2. Authenticate 3. Addresses 4. Details 5. EIN Confirmation

What type of legal structure is applying for an EIN?

Before applying for an EIN you should have already determined what type of legal structure, business, or type of organization is being established.

Choose the type you are applying for. If you don't see your type, select "View Additional Types."

- Sole Proprietor**
Includes individuals who are in business for themselves and household employers.
- Partnerships**
Includes partnerships and joint ventures.
- Corporations**
Includes S corporations, personal service corporations, real estate investment trusts (REIT), regulated investment conduits (RIC), and settlement funds.
- Limited Liability Company (LLC)**
A limited liability company (LLC) is a structure allowed by state statute and is formed by filing articles of organization with the state.
- Estate**
An estate is a legal entity created as a result of a person's death.
- Trusts**
All types of trusts including conservatorships, custodianships, guardianships, irrevocable trusts, revocable trusts, and receiverships.
- View Additional Types, Including Tax-Exempt and Governmental Organizations**
If none of the above fit what you are establishing, there are several others to choose from.

Help Topics
? [What if I do not know what type of legal structure or organization to choose?](#)

Choose the correct legal structure.

<< Back Continue >>

[IRS Privacy Policy](#) | [Accessibility](#)



2. Federal Registrations for Grant Recipients FEIN / EIN (continued)



IRS.gov [Help](#) | [Apply for New EIN](#) | [Exit](#)

EIN Assistant

Your Progress: 1. Identify ✓ 2. Authenticate 3. Addresses 4. Details 5. EIN Confirmation

Please tell us about the Responsible Party of the LLC.

* Required fields
Must match IRS records or this application cannot be processed.
The only punctuation and special characters allowed are hyphen (-) and ampersand (&).

First name *

Middle name/initial

Last name *

Suffix (Jr, Sr, etc.)

SSN/ITIN * - -

Choose One: *

- I am one of the [owners](#), [members](#), or the managing member of this LLC.
- I am a third party applying for an EIN on behalf of this LLC.

Before continuing, please review the information above for typographical errors.

<< Back Continue >>


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Fill out responsible party information.



2. Federal Registrations for Grant Recipients FEIN / EIN (continued)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-3 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

 [Help](#) | [Apply for New EIN](#) | [Exit](#)

EIN Assistant

Your Progress: 1. Identify ✓ 2. Authenticate ✓ 3. Addresses 4. Details 5. EIN Confirmation

Where is the LLC physically located?

* Required fields

The only special characters allowed for street and city are - and /.
Note: Must be a U.S. address. Do not enter a P.O. box. [For military addresses click here.](#)

Street *

City *

State/U.S. territory *

ZIP code *

Phone number * - -

Do you have an address **different** from the above where you want your mail to be sent? * Yes No

Provide address and phone number for entity

Before continuing, please review the information above for typographical errors.

[Continue >>](#)

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2. Federal Registrations for Grant Recipients FEIN / EIN (continued)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
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Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-3 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted



[Help](#) | [Apply for New EIN](#) | [Exit](#)

EIN Assistant

Your Progress: 1. Identify ✓ 2. Authenticate ✓ 3. Addresses ✓ 4. Details 5. EIN Confirmation

Tell us about the LLC.

***Required fields**

The only punctuation and special characters allowed are hyphen (-) and ampersand (&).
The legal name may not contain any of the following endings: Corp, Inc, PA.
The trade name may not contain an ending such as 'LLC', 'LC', 'PLLC', 'PA', 'Corp', or 'Inc'.

Legal name of LLC (must match [articles of organization](#), if filed) *

[Trade name/Doing business as](#)
(only if different from legal name)

County where LLC is located *

State/Territory where LLC is located *

State/Territory where [articles of organization](#)
are (or will be) filed *

LLC [start date](#) *

Before continuing, please review the information above for typographical errors.

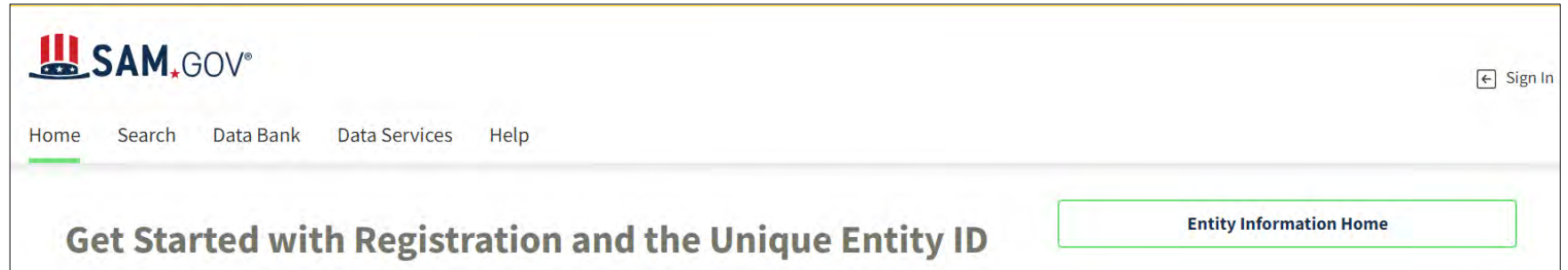
[Continue >>](#)

Provide additional details about the entity
and articles of organization

[IRS Privacy Policy](#) | [Accessibility](#)



3. Federal Registrations for Grant Recipients SAM.gov and UEI



In Step 3, you must register for a **SAM.gov** account. As part of your registration, you will obtain a 12-digit **Unique Entity Identifier (UEI)**. Keep track of this number for entry into the GATA Grantee Portal (Step 6). If you have already an active SAM.gov account, proceed to the [next step](#).

Preparation time: 1-2 hours
Processing time: Up to 6 weeks

[Click Here to Register on SAM.gov](#)

*Note - This step can take some time; plan ahead. The website says it takes 10 business days, but it can take up to several weeks. **Start early!***



For the purpose of Pre-Qualification, the SAM.gov Financial Assistance Awards Only registration is sufficient. In the SAM.gov registration, look for the icon on the left to submit a Financial Assistance Only registration.



3. Federal Registrations for Grant Recipients SAM.gov and UEI (*continued*)



Already Registered?

If you are already registered with SAM.gov, confirm your registration status is **Active**. Revisit the registration annually to maintain good standing.

Excluded, Suspended or Debarred Status

If your organization status is noted as **excluded** (also referred to as **suspensions** or **debarments**), contact IDHS for guidance. Per 2 CFR 180, your organization may be excluded from receiving federal contracts, certain subcontracts, and certain types of federal financial and non-financial assistance and benefits.

SAM.gov Registration

At a high level, the following information is needed for registration:

- Federal EIN (i.e., TIN, Tax Identification Number)
- Review tax documents from the IRS (specifically the Form 1099) to find exact taxpayer name
- Unique Entity Identifier (UEI) number (assigned during registration process, if needed)
- Legal business name
- Business Address
- Bank routing number, account number, and account type are needed to set up the electronic funds transfer



[Click Here to Check SAM.gov Registration Status](#)

3. Federal Registrations for Grant Recipients SAM.gov and UEI (continued)



SAM.gov - Unique Entity Identifier (UEI)

Select your purpose for registration as, “Financial Assistance Awards,” and indicate if you are registering a Government Entity.

Validate your Entity by entering the following information:

1. Legal Business Name
2. Physical Address (no P.O. boxes or virtual offices)
3. Date of Incorporation
4. State of Incorporation (U.S. entities only)

Your organization name and address will be validated by SAM.gov. If SAM.gov cannot automatically validate your organization, the system may request you provide an official document, such as Certified Articles of Incorporation.

You will also select whether you want your organization to be visible in public search results. For Pre-Qualification, your SAM.gov account must be set to public until after you are registered in the GATA Grantee Portal(Step 6). If your account is set to private, the system won't be able to sync your accounts.

1 Get Started **2** Validate Entity **3** Get Unique Entity ID **4** Register Entity

Enter Entity Information

All the following information will be used to validate your entity, unless marked as optional.


Legal Business Name
If you are acting on behalf of a limited partnership, LLC, or corporation, your legal business name is the name you registered with your state filing office.

Doing Business As (Optional)
Doing business as is the commonly used other name, such as a franchise, license name, or acronym. Leave blank if not applicable.

Physical Address

Register for Financial Assistance Awards Only

- To apply for grants and loans as described by 2 CFR 200. [↗](#)
- Includes getting a Unique Entity ID and entity registration.



Click Here to Register on SAM.gov

3. Federal Registrations for Grant Recipients SAM.gov and UEI (continued)



SAM.gov - Unique Entity Identifier (UEI)

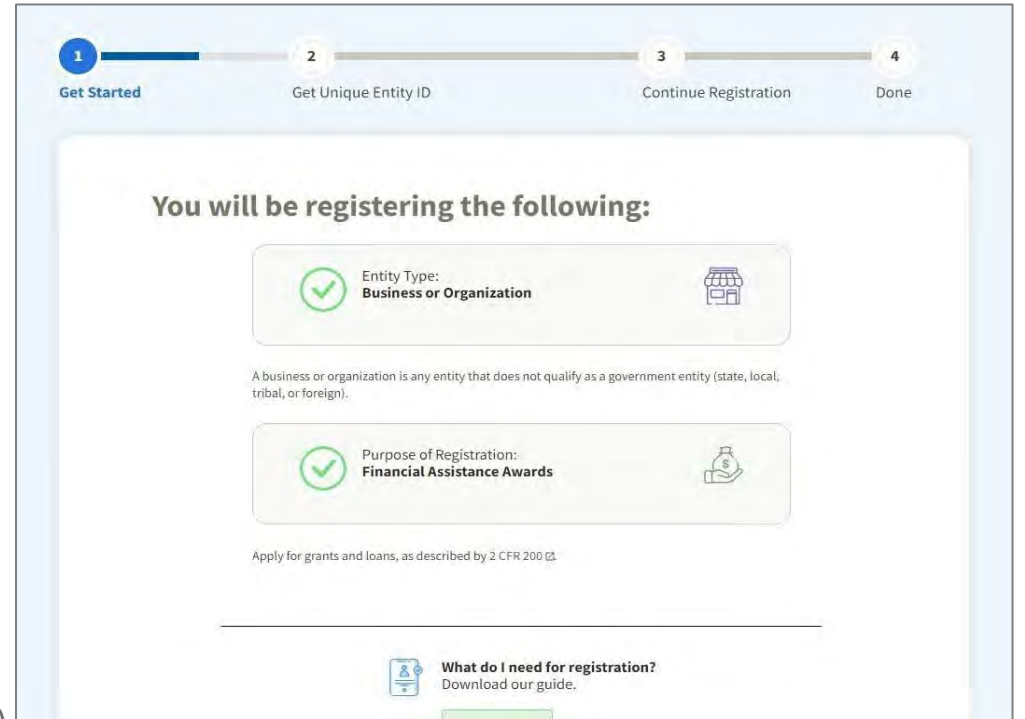
After receiving a UEI, you will need to enter the following “Core Data” to finish your SAM.gov registration:

Business Information

- Organization start date
- Date on which your company’s fiscal year ends
- (Optional) Organization’s division name and number
- (Optional) Organization’s website URL
- Marketing Partner Identification Number (MPIN)
(You will create this when you register.)
- Physical address
- Mailing address
- Taxpayer Identification Number (TIN) (U.S. entities only)

IRS Consent

- IRS Consent Form (taxpayer name and address)
- CAGE Code (U.S. entities only) (If you do not have a CAGE code, select “No”)



3. Federal Registrations for Grant Recipients SAM.gov and UEI (*continued*)



SAM.gov - Registration, Entry of Core Data

After acquiring a UEI, you will enter the following “Core Data” information for a Financial Assistance Awards Only organization registration:

General Information

- Country of Incorporation
- State of Incorporation (U.S. entities only)
- (Optional) Company Security Clearance*
- (Optional) Highest Employee Security Clearance Level*
- (If applicable) Institution Type (e.g., foundation, hospital, educational)*
- (If applicable) Disadvantaged Business Enterprise (must be certified by a federal agency)*
- (If applicable) Native American organization Type*
- Organization Factors (e.g., S corporation, LLC, foreign-owned)
- Organization Structure (e.g., Corporate organization-Not Tax Exempt, Corporate organization-Tax Exempt, Sole Proprietorship)
- Profit Structure (e.g., for-profit, non-profit)
- Socio-economic Categories (e.g., veteran-owned, minority-owned)



3. Federal Registrations for Grant Recipients SAM.gov and UEI (continued)



SAM.gov - Registration, Entry of Core Data

After acquiring a UEI, you will enter the following “Core Data” information for a Financial Assistance Awards
Only organization registration:

Financial Information

- Accept credit cards as a method of payment (yes or no)
- Electronic Funds Transfer (optional for non-U.S. entities)
 - Account type
 - Routing number
 - Account number
- Automated Clearing House
 - U.S. phone number
- Remittance Name and Address



Executive Compensation Questions

- Answer yes if in the last fiscal year:
 1. 80% or more of your organization’s revenue come from federal sources (e.g., contracts, grants, loans, etc.);
 2. Your total revenue from federal sources exceeded \$25 million.
 3. Does the public have access to information about the compensation of the senior executives in your business or organization? (yes or no)

If yes to the first two questions and no to the third question: Provide names, titles, and total compensation values of your top five executive compensated employees



3. Federal Registrations for Grant Recipients SAM.gov and UEI (continued)



SAM.gov - Registration, Entry of Core Data

After acquiring a UEI, you will enter the following “Core Data” information for a Financial Assistance Awards
Only organization registration:

Proceedings Questions

- If you answer “yes” to each of the below three questions, see page 14 of the SAM.gov Organization Registration Checklist for additional required questions:
 - Is your organization responding to a federal procurement opportunity that contains the provision within [FAR 52.209-7](#)?
 - Is your organization subject to the clause within [FAR 52.209-9](#) in any current federal contracts?
 - Is your organization applying for a federal grant opportunity that contains the award term and condition described in [C.F.R. 200 Appendix XII](#)?

SAM.gov Registration Information



3. Federal Registrations for Grant Recipients SAM.gov and UEI (*continued*)



SAM.gov - Registration, Entry of Representations and Certifications

Representations and Certifications include the following information:

- Does your organization wish to apply for federal financial assistance project or program or is your organization currently a recipient of funding under a federal financial assistance project or program? (yes or no)
 - If yes, the financial assistance representations and certifications will display. You must read and certify your organization attests to the accuracy of the representations and certifications listed. See the [SAM.gov organization Registration Checklist, Appendix I](#) (page 16 of 18) to review the financial assistance representations and certifications.

SAM.gov - Registration, Entry of Points of Contact (POCs)

Enter the first and last name, email, phone number, and address (if applicable) for the below Mandatory POCs:

1. Accounts Receivable POC
2. Electronic Business POC
3. Government Business POC

Note: For POCs, the same person can be listed in multiple roles.

Tip!

For Technical Support Assistance on this step is available, please see the [Resources slide](#) for additional detail



4. State Registrations for Grant Recipients Illinois.gov Account

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-3 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

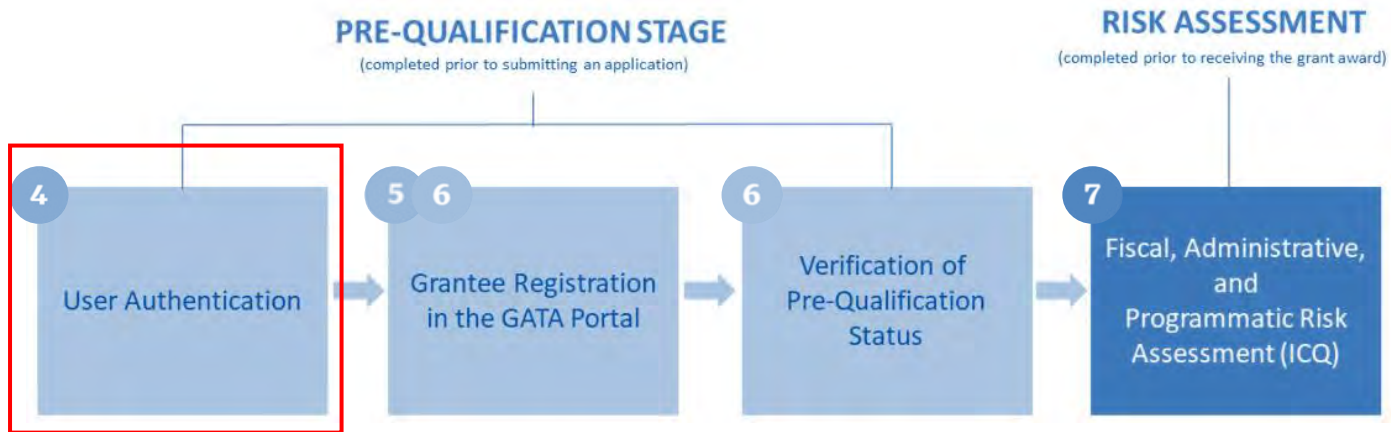
In Step 4, sign up for an **Illinois.gov** account. you'll need to create an Illinois.gov account using your business email address. If you already have an Illinois.gov account associated with your business email address, you may not need to create another account. If you have already signed up, proceed to the [next step](#).

Preparation time: 30 minutes
Processing time: Immediate

[Click Here to Create an Illinois.gov Account](#)

User Authentication

Authentication through Illinois.gov establishes a username and password for each individual associated with an organization. All individuals utilizing the Grantee Portal must authenticate using a personal, work-related or business email address.



4. State Registrations for Grant Recipients Illinois.gov Account (continued)



User Authentication

To create an Illinois.gov account, the following information is required

1. First Name
2. Last Name
3. Email Address
(use your individual, work-related email address)
1. Cell Phone (Optional)
2. Cell Carrier (Optional)
3. Username
4. Password

Once all necessary information is entered, click Register to submit.

After submitting, the below confirmation screen will appear.

ILLINOIS.gov
Accounts > Create a new Account
Create a new Account

Registration

Your Username can include letters, numbers, and periods (may not start or end with a period); and must be between 6 and 20 characters long.
Examples: John.Smith JSm1th

First Name:

Last Name:

Email Address:

Confirm Email Address:

Cell Phone: (Optional)

Cell Carrier: -- Not Supplied -

Choose your Username:

Password:

Confirm Password:

ILLINOIS.gov
Accounts > Create a new Account
Create a new Account

Confirmation

Additional Action Required

A confirmation email has been sent to the address you registered with. You must click on the link contained in the email before your account is activated.



4. State Registrations for Grant Recipients Illinois.gov Account (continued)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-3 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

User Authentication

After submitting your account registration, verify your account by clicking the link in the email message that was sent to you from IdentityManagement@Illinois.gov. *The link is valid for 24 hours from receipt.*

After verifying through email link, your Illinois.gov account registration is complete.



5. State Registrations for Grant Recipients GATA Grantee Portal

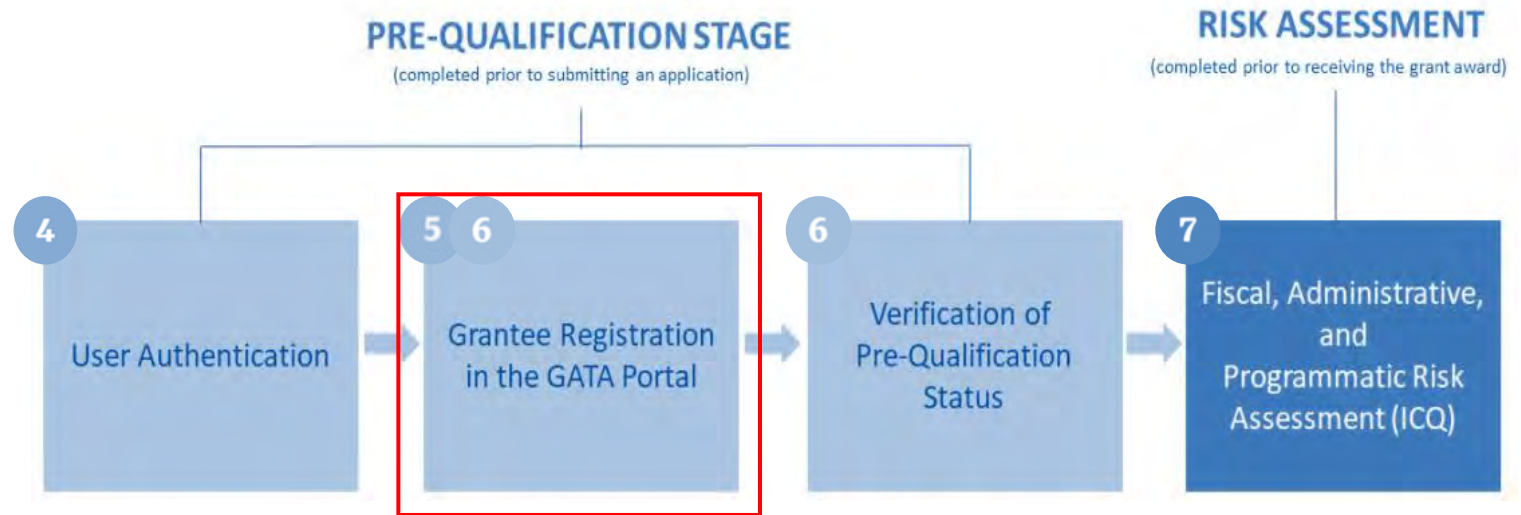


In **Step 5**, use your verified Illinois.gov account to sign into the GATA Grantee Portal and link the two accounts. If you have already verified the link, proceed to the [next step](#).

Preparation time: 15 minutes
Processing time: Immediate

[Click Here for the GATA Grantee Portal](#)

Use your verified Illinois.gov account to sign into the GATA Grantee Portal and link the two accounts by entering your organization's UEI (from SAM.gov).



5. State Registrations for Grant Recipients GATA Grantee Portal (*continued*)



Use your verified **Illinois.gov** account to sign into the GATA Grantee Portal.

Illinois Grant Accountability and Transparency Act Welcome to the GATA Grantee Portal

[Grantee Portal Sign In](#) [Amplifund Sign In](#) [Create Account](#) [Public Account Help](#) [Partner Account Help](#)

To access the Portal or Amplifund you must have an Illinois.gov account.
To create an account, click the Create Account button.
For Public domain account help, click the Public Account Help button.
For Partner domain account help, click the Partner Account Help button.

Partner account usernames end in "@external.illinois.gov" are are most likely DHS CRV account users.

Note: To bookmark this Portal, bookmark this page. Bookmarking the sign in page will cause an error.

Frequently Asked Questions

- [How to manage AmpliFund Access.](#) ([Webcast](#)) ([Transcript](#))
- [How to access the Illinois GATA Grantee Portal.](#)
- [How to create an Illinois.gov public account.](#)
- [How to reset your password.](#)



Click Here for the GATA Grantee Portal

5. State Registrations for Grant Recipients GATA Grantee Portal (continued)

Enter your Username and Password for your Individual Illinois.gov Public Account and click the “Sign in” button

- 1 Register your organization with the State of Illinois**
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number**
Turnaround time: Immediate
- 3 Register for a SAM.gov account**
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account**
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account**
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal**
Turnaround time: 1-2 days
- 7 Complete the Internal Controls Questionnaire**
Complete this step before the award is granted



5. State Registrations for Grant Recipients GATA Grantee Portal (*continued*)

After signing in to the GATA Grantee Portal with your verified Illinois.gov, link the two accounts by entering your organization's UEI (from SAM.gov).

On April 4, 2022, the DUNS Number was replaced with the UEI created in SAM.gov as the federal government's unique business identifier.

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-2 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

**Illinois Grant Accountability and Transparency Act
Grantee Portal - Associate Grantee**

You are accessing the GATA Grantee Portal with the Illinois.gov Public account:
[Redacted]

To associate your account with a grantee record in the Illinois Grant Accountability and Transparency (GATA) system, please enter the UEI number of your organization and press the 'Submit' button.

If you do not know your UEI number please [click here for assistance](#).


Enter UEI above



5. State Registrations for Grant Recipients GATA Grantee Portal (*continued*)

If the GATA Grantee Portal has a record for the UEI entered, verify that the organization returned is your organization. Select the disclaimer “Yes”.

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-2 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

**Illinois Grant Accountability and Transparency Act
Grantee Portal - Associate Grantee**

You are accessing the GATA Grantee Portal with the Illinois.gov Public account:
megan.j.pirok ([REDACTED])

To associate your account with a grantee record in the Illinois Grant Accountability and Transparency (GATA) system, please enter the 12 character SAM.gov Unique Entity ID (UEI) of the organization and press the 'Submit' button.

If you do not know the organization's SAM.gov UEI please [browse to SAM.gov](#) for assistance.

Is this your organization?

zz Test Organization
123 State Street
Springfield, IL 62706

DISCLAIMER
By clicking 'Yes' you certify that you are a legal member or representative of the organization listed.

←



5. State Registrations for Grant Recipients GATA Grantee Portal (*continued*)

The next screen shows the waiting page if other users have already been linked to the organization's registration. Grantees control access to their GATA Grantee Portal.



**Illinois Grant Accountability and Transparency Act
Grantee Portal**

You are attempting to access: **zz Test Organization**

The following people can approve access for this organization:

- Dean Doty ([redacted])
- Lori Beeler ([redacted])
- Courtney Jackson ([redacted])
- Tonya Upshaw ([redacted])
- Megan Pirok ([redacted])
- Anna O'Connell ([redacted])
- Charla Bond-Jones ([redacted])
- Jodie Jones ([redacted])

[Click here](#) after approval is granted to browse to the Grantee Portal Main Menu.

[Click here](#) to cancel your request.

If assistance is needed, please contact your state cognizant agency:
Governor's Office Of Management And Budget
OMB.GATA@illinois.gov



5. State Registrations for Grant Recipients GATA Grantee Portal (*continued*)

If an organization record **does not exist** in the GATA Grantee Portal for the UEI entered, click on the “**Create grantee account**” button and the GATA registration screen will appear to register the organization. See detailed guidance in the next step.

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-2 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

Illinois Grant Accountability and Transparency Act Grantee Portal - Associate Grantee

You are accessing the GATA Grantee Portal with the Illinois.gov Public account:
megan.j.pirok ([REDACTED])

To associate your account with a grantee record in the Illinois Grant Accountability and Transparency (GATA) system, please enter the 12 character SAM.gov Unique Entity ID (UEI) of the organization and press the 'Submit' button.

If you do not know the organization's SAM.gov UEI please [go to SAM.gov](#) for assistance.

Your organization can [click here](#) to register in the GATA Grantee Portal without a UEI. However, the organization will not be in qualified status without a valid UEI and a full registration at SAM.gov. Once the UEI is obtained, it can be entered into the Grantee Portal's registration page. This SAM.gov UEI was not found in the GATA system. If this is the correct identifier for your organization, click the 'Create grantee account' link below to create a new account with the State of Illinois. If the UEI above is incorrect, you may edit and click the submit again.

←

DISCLAIMER
By creating an account, you certify that you are a legal member or representative of the organization associated with this SAM.gov UEI.



6. State Registrations for Grant Recipients GATA Grantee Portal Registration and Verification



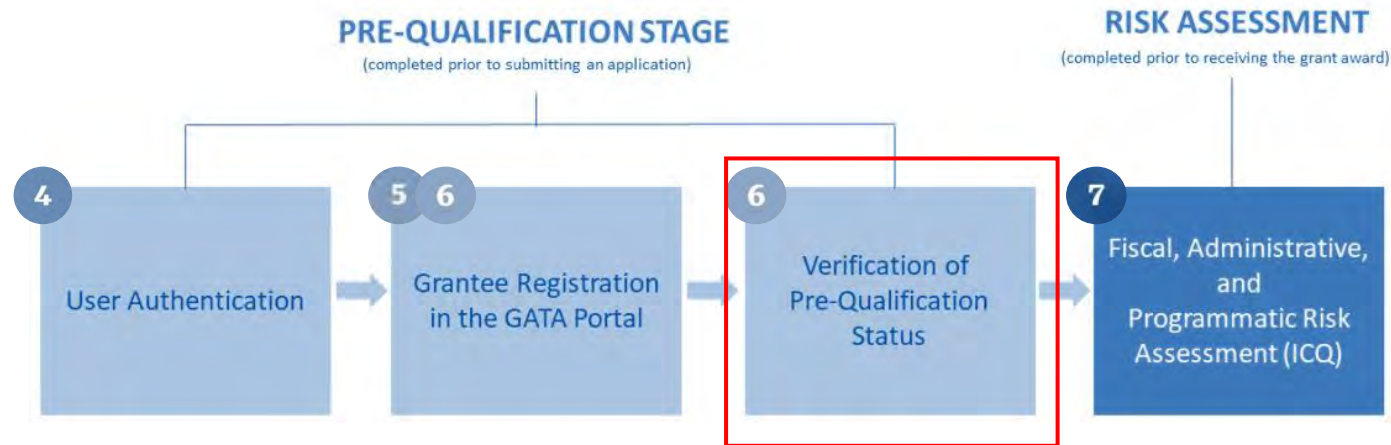
In **Step 6**, If an organization record **does not exist** in the GATA Grantee Portal for the UEI entered, complete Grantee Registration by creating an organization profile on the Grantee Portal. If you already have the GATA Grantee Portal, proceed to the [next step](#).

Preparation time: 15 minutes
Processing time: Immediate

Grantee Registration in the GATA Portal

Note that the information used should match the information used to obtain an EIN, UEI, and register for SAM.gov.

It is recommended that at least **two** individuals from an organization are given Grantee Portal Access



6. State Registrations for Grant Recipients GATA Grantee Portal Registration and Verification (continued)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 7-10 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

Grantee Registration in the GATA Portal
Note that the information used should **match** the information used to obtain an EIN, UEI, and register for SAM.gov.

To create a grantee account with your existing SAM.gov UEI, fill in the yellow fields in the registration form. Click the “Save” button.

Entering the EXACT UEI and EIN numbers is important. Unique Entity Identifier (UEI) and EIN numbers are nine (9) digits and **do not** use hyphens.

The screenshot shows the registration form for the Illinois Grant Accountability and Transparency Act Grantee Portal. The form is titled "Illinois Grant Accountability and Transparency Act Grantee Portal - Registration" and includes a "Cancel" and "Save" button at the top. A note states: "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'." The form contains several fields: "SAM.gov UEI" (with a placeholder "9999999999" and a link to register at SAM.gov), "Organization FEIN" (with a placeholder "999999999"), "Organization Type" (a dropdown menu), "Illinois Secretary of State File ID" (with a placeholder and a link to the Secretary of State), "Organization Name" (a text field), "Organization Address 1" and "Organization Address 2 (Optional)" (text fields), "City" (text field), "State" (a dropdown menu with "IL" selected) and "Zip Code" (text field), "Primary Email" (text field), and "Primary Phone" (with a placeholder "888-777-8888"). There is a checkbox for "Does this organization have 2 or more years experience with Illinois grants?" with "Yes" selected. An "IMPORTANT" note at the bottom states: "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." Below this note are fields for "Fiscal Year End Month" (a dropdown menu) and "Fiscal Year End Day" (a text field). A "Cancel" and "Save" button are at the bottom of the form.



6. State Registrations for Grant Recipients GATA Grantee Portal Registration and Verification (continued)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-2 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

Verification of Pre-Qualification Status

Pre-qualification is verified at registration, and nightly thereafter. An email alerts the entity when a status is changed. Funders verify applicant/grantee pre-qualification at the time of application, the time of the award, and as part of ongoing monitoring.

After completing Grantee Registration in the GATA Grantee Portal, the portal will automate seven verifications:

PRE-QUALIFICATION INFORMATION		Pre-Qual History	Add a note
SAM.gov Account:	Good until 6/18/2020	SAM.Gov	<input type="button" value="Manually Update"/>
Federal Employer ID (FEIN):	Good		
Federal Excluded Parties List:	Good	The 'Federal Delinquent Debt' listing is for information only and is not a requirement for pre-qualification.	
Federal Delinquent Debt:	Good		
Illinois Secretary of State:	Good	SOS Corp/LLC Search	SOS LP/LLP/LLLP/RLLP Search
Illinois Stop Payment List:	Good	<input type="button" value="Add to Stop Payment List"/>	
Illinois DHFS Sanction List:	Good	DHFS Provider Sanctions	



6. State Registrations for Grant Recipients GATA Grantee Portal Registration and Verification (continued)



Verification of Pre-Qualification Status – Additional Considerations

- Federal requirements mandate that entities have an active SAM.gov account. A SAM.gov account must be validated annually.
- Illinois SOS status of good standing is checked based on the provided File ID.
- Illinois Stop Payment List reports entities out of compliance with grant requirements per the Grantee Compliance Enforcement System.
 - The GATA Grantee Portal provides the applicable state agency contact if the organization is on the list. Correct any noncompliance issues with the applicable state agency to be removed from the list.
- DHFS Sanction List, maintained by the Department of Health and Family Services, reports entities with an agency-level violation.
 - The GATA Grantee Portal provides the applicable state agency contact at HFS if the organization is on the list so the organization can self-remediate. Only HFS can remove the grantee’s status upon correction of the issue.

PRE-QUALIFICATION INFORMATION		Pre-Qual History	Add a note
SAM.gov Account:	Good until 6/18/2020	SAM.Gov	<input type="button" value="Manually Update"/>
Federal Employer ID (FEIN):	Good		
Federal Excluded Parties List:	Good	The 'Federal Delinquent Debt' listing is for information only and is not a requirement for pre-qualification.	
Federal Delinquent Debt:	Good		
Illinois Secretary of State:	Good	SOS Corp/LLC Search	SOS LP/LLP/LLLP/RLLP Search
Illinois Stop Payment List:	Good	<input type="button" value="Add to Stop Payment List"/>	
Illinois DHFS Sanction List:	Good	DHFS Provider Sanctions	



7. Pre-Award Requirement: Risk Assessment - Internal Control Questionnaire

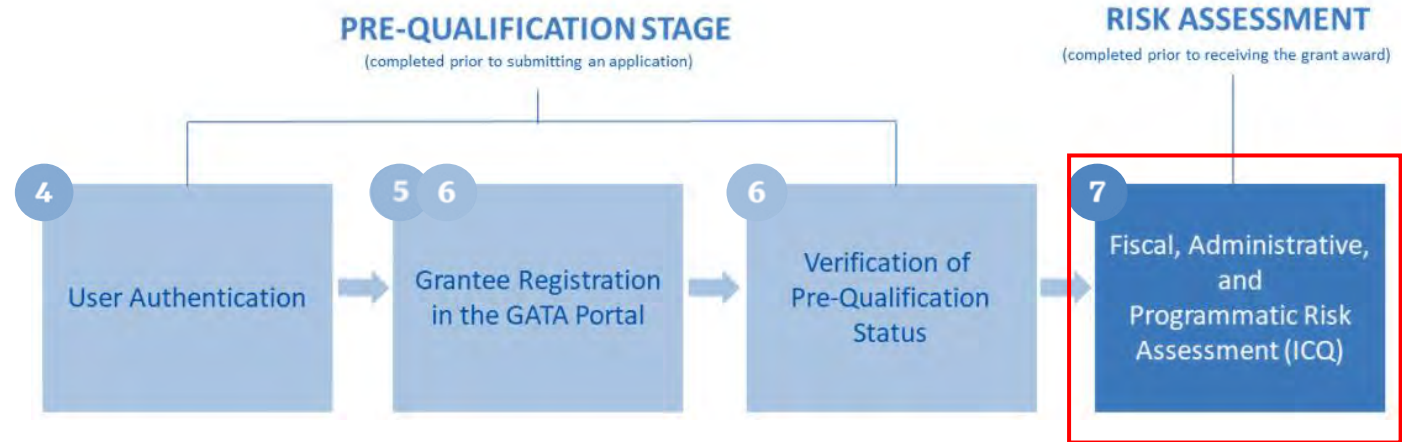


Lastly **in Step 7**, complete the Internal Control Questionnaire (**ICQ**) located in the GATA Grantee Portal. It is **important** to complete the ICQ as soon as it is available in the GATA Grantee Portal, as to avoid any delays in the grant application process.

All Grantees are required to complete the ICQ once **annually**, depending on when the grantee applies for State fiscal year funding. The entity initiates the ICQ from the Grantee Portal (*link is below*) which scores the questionnaire and assigns specific conditions or modifies them as needed based on risk profile/score.

Preparation time: 2-4 hours
Processing time: N/A

[Click Here for the GATA Grantee Portal](#)



TIPS!

Please read each question carefully and provide complete answers.



7. Pre-Award Requirement: Risk Assessment - Internal Control Questionnaire (*continued*)



The ICQ consists of approximately 48 questions separated into the 4 sections (numbered below 02 through 05). Keep in mind, the results of the questionnaire may result in additional conditions placed on an entity if awarded. These specific conditions do not disqualify an organization from receiving grant funding.

02 – Quality of Management System:

- This section focuses on the organization’s accounting system and related processes. Approval, entry, and reconciliation are among the controls surveyed.

03 – Financial and Regulatory Reporting:

- Timely submission of reporting, preparation of financial statements, and performance measures are addressed in the Financial and Regulatory Reporting section of the ICQ.

04 – Ability to Effectively Implement Requirements:

- This section assesses whether the organization has written policies and procedures that meet applicable laws and regulations.

05 – Audit:

- The audit section assesses organizational structure, audit practices, and recent audit findings.

TIP!

Please read each question carefully and provide complete answers.

[Click Here for the GATA Grantee Portal](#)



7. Pre-Award Requirement: Risk Assessment - Internal Control Questionnaire (continued)



Completing the ICQ

- The grantee must complete the risk assessment prior to receiving an award.
- Consider input from your organizations administrative, fiscal, and program staff prior to completing the ICQ.
- In some instances, state agency staff may contact the applicant/grantee to discuss results or ask for further clarification.
- Be sure to hit the Submit button when you have completed the ICQ.

**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.

TIP!

Please read each question carefully and provide complete answers.



7. Pre-Award Requirement: Risk Assessment - Internal Control Questionnaire (continued)

- 1 Register your organization with the State of Illinois
Turnaround time: 2-6 weeks
- 2 Obtain a FEIN/EIN number
Turnaround time: Immediate
- 3 Register for a SAM.gov account
Turnaround time: Up to 6 weeks
- 4 Sign up for an Illinois.gov account
Turnaround time: Immediate
- 5 Link your GATA account with your Illinois.gov account
Turnaround time: Immediate
- 6 Create an organization profile on the Grantee Portal
Turnaround time: 1-3 days
- 7 Complete the Internal Controls Questionnaire
Complete this step before the award is granted

Below is a **sample of ICQ** questions. Take your time to thoroughly review each question and answer appropriately.

0.2 - QUALITY OF MANAGEMENT SYSTEM

02.02 - Does the accounting system require users to have separate sign in/log on credentials for access and approval?

02.03 - Have there been any new accounting systems implemented during the last fiscal year?

0.3 - FINANCIAL AND REGULATORY REPORTING

03.01 - Does the organization have written review and approval processes over financial and programmatic reporting?

03.03 - Does the organization have written policies and procedures to ensure program performance measures and deliverables align with the program spending plan?

0.4 - ABILITY TO EFFECTIVELY IMPLEMENT REQUIREMENTS

04.01 - Does the organization have written policies and procedures that support compliance with cost principles?

04.06 - Does the organization maintain adequate documentation to support all costs charged to the grant awards?

04.10 - Does the organization make purchases of equipment of \$5,000 or more with grant funding?

0.5 - AUDIT

05.02 - Has the organization had a financial statement audit conducted in the past year?

05.04 - Did the audit disclose findings considered to be significant deficiencies or material weaknesses?



TIP! Please read each question carefully and provide complete answers.

7. Pre-Award Requirement: Risk Assessment - Internal Control Questionnaire (*continued*)



- ❑ ICQ risk categories are based on the average score for each category. Below are the scoring thresholds.

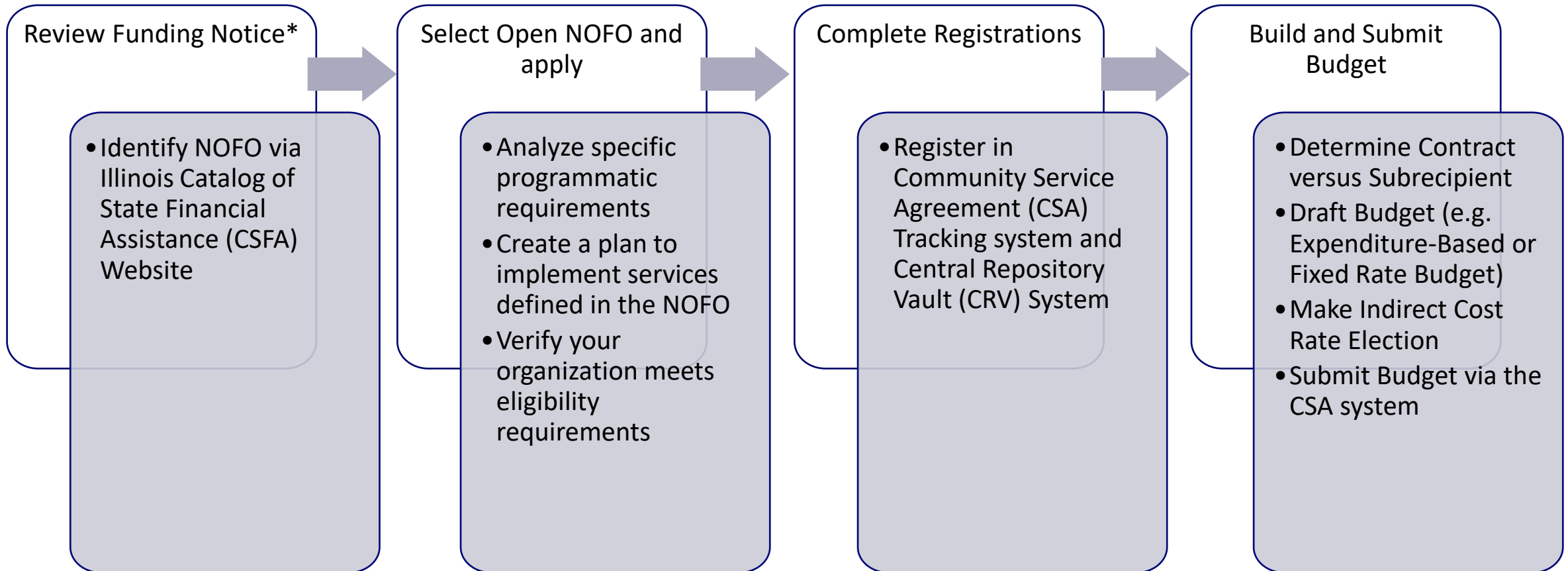


- ❑ Once the grantee completes the ICQ and the risk category is generated, Program Grant Managers or Grantors review and evaluate the grantee's overall programmatic risk.
- ❑ Per Uniform Guidance, specific grant conditions may be attached to the applicant's grant agreement based on a programmatic risk assessment of the grantee's ICQ and/or other grant application documents.



What's Next?

After completing the Pre-Qualification steps and the ICQ, your next step is to identify and apply to a Notice of Funding Opportunity (NOFO). The following steps are required to be completed as part of the application process and must be completed in sequence.



** For additional funding opportunities subscribe to the weekly NOFO emails. See instructions on how to subscribe in the Resources slide*

Resources for the Pre-Qualification Process

- Illinois Business Registration: [Illinois Secretary of State website](#)
- FEIN: [IRS FEIN/EIN application website](#)
- UEI and SAM.gov Registration: [SAM.gov website](#)
- Illinois.gov Registration: [ILogin FAQ page](#)
- GATA Grantee Portal: [Grantee Portal](#)

Instructions on how to subscribe to the weekly NOFO email notices:

Subscribe to a weekly mailing list to receive an email that announces all new Notice of Funding Opportunities, or NOFOs, published the previous calendar week.

1. Send an email to: subscribe-omb-gata-grants@lists.illinois.gov
2. Leave the Subject and the Body of the message blank
3. Questions regarding NOFO email notices can be directed to OMB.GATA@illinois.gov

[Federal Service Desk for Technical Assistance](#)

The Federal Service Desk (FSD) is a free technical support service desk for user assistance. A phone number for help is: **866-606-8220**, valid Monday - Friday from 8am - 8pm EST. If you create a help desk issue ticket with FSD, please do not create multiple tickets for the same issue, as this may slow down processing times for your entity.



Appendix

A photograph of two women embracing warmly. The woman in the foreground has long dark hair and is wearing a purple sweater. The woman behind her has long blonde hair and is wearing a pink sweater. The image is overlaid with a semi-transparent blue filter. A white hexagonal frame is centered over the image, containing the text 'Help is here' in a white, sans-serif font.

Help
is here

List of Databases & Systems

- [Illinois GATA Grantee Portal](#) – used to register, prequalify for grant awards, and access the Indirect Cost Rate System
- [Community Service Agreement \(CSA\)](#) - used to submit your grant budgets, grant agreement documents, and signature pages. See notice of funding opportunity for specifics on budget submission requirements. If you are a new IDHS provider and/or have new staff that need CSA access, please follow the instructions in the “CSA Provider User Manual” located here: [CSA Tracking System User Manual](#). You will need an Invitation Key Code to submit your request for CSA access
- [State of Illinois Uniform Grant Budget Template](#) – used to create Grantee budgets
- [Central Repository Vault System \(CRV\)](#) - used to upload financial records to make sure your organization is compliant with GATA. You will need an Invitation Key Code to submit your request for CRV access. If you do not have an Invitation Key Code, email: DHS.CRV.Support@Illinois.gov. This code can be used for multiple registrations for your organization. Please follow the instructions in the “CRV User Manual” located here: [CRV User Manual](#)

