

In order for the Governor's Office to determine whether a full or partial exemption from GATA would be required we need the following information:

Name of program and type of funding:

- General State Aid
- Operational grants to Community Colleges
- Purchase of Care (Purchase of Services)
- Fee for Service (Fixed rate or Fixed amount)
- Medicaid Waiver
- Other (describe)

Total amount of funding disbursed under contractual or grant agreements:

What type of legal agreement is used?

- CMS Boilerplate contractual agreement
- Grant Agreement
- Interagency agreement
- Other - describe

1. Is the grant subject to the Grant Funds Recovery Act (30 ILCS 705)? Yes No
2. Is an application required? Yes No If Yes (Check all that apply)
 - Application requires a project plan
 - Application process requires a budget that includes a cost estimate of developing, constructing, operating, or completing the program, project
3. Is Financial reporting required? Yes No If Yes (Check all that apply):
 - Monthly
 - Quarterly
 - Annually

Provide a copy of the reporting template(s), statutory and administrative code, policies and procedures

4. Is programmatic reporting required? Yes No If Yes (Check all that apply):
 - Reporting includes progress reporting
 - Reporting includes Performance reporting
 - Reporting includes both performance and progress reporting

 - Programmatic Reporting is required:
 - Monthly
 - Quarterly
 - Annually
5. Provide a copy of the reporting template(s), statutory and administrative code, policies and procedures
6. Is an audit required? Yes No If Yes:
 - Included in the Single Audit

- Audit conducted in accordance with Generally Accepted Auditing Standards
- Audit conducted in accordance with Generally Accepted Government Auditing Standards

7. Are there rules limiting the use of the funding? Yes No If Yes:

- Rules include allowable services or activities
- Rules follow the federal cost principles
- Rules follow a subset of federal cost principles that define what is allowable and prohibit items such as alcohol, entertainment, etc.

Provide a copy of the rules including State statutes, State administrative code, code of federal regulation and written policies and procedures

8. Are the entities who receive funding monitored to ensure that funds are used for their intended purpose in accordance with the rules and regulations of the program? Yes No If Yes:

- Monitoring is completed via reporting
- Monitoring is completed by reviewing the results of the audit report
- Monitoring is completed through on-site reviews

Is monitoring completed by staff other than those responsible for administering the program? Yes No

Provide a written overview of the monitoring performed including any policies and procedures or monitoring protocol.

9. Is a risk assessment performed to determine

- Level or scope of monitoring performed? Yes No
- Is there a risk profile that triggers monitoring? Yes No
- Which entities are typically monitored?

Provide a written overview of the risk assessment performed including any policies and procedures

10. Are there any reports issued as a result of the monitoring? Yes No If Yes:

- Is a corrective action plan required to be submitted Yes No
- Is there required follow up to ensure corrective action is implemented? Yes No

Provide a written overview of the reporting requirements including corrective action, policies and procedures