2015 Applicant Informational Session

Standard RFP – May 20, 2014

Welcome and Introductions

- **Janet LaBella, Reggie Haley, Cheryl Nolan, Evora Thomas, Nancy Glickman, and Christina Sanabria**
  Office of Program Performance (OPP)

- **Mark Freedman**
  Office of Legal Affairs (OLA)

- **Shay Bracey**
  Office of Compliance and Enforcement (OCE)

- **Peter Larsen**
  Office of Information Technology (OIT)

Who Should Attend this Webinar?

- **New *and* returning applicants**
- **Any staff member involved in preparing the application**

- **Programs applying for a Competitive LSC Grant for 2015 that did <u>not</u> receive an LSC Program Quality Visit (PQV) in 2012, 2013 or early 2014**
  - For programs that have received PQV visits in 2014, only programs that do not expect to receive the final PQV report by July 1, 2014

- **This presentation is NOT for**
  - Any program applying for a Competitive LSC Grant that *did* undergo a PQV in 2012, 2013 or 2014 and expects to receive a final PQV report by July 1, 2014
  - Renewal Applicants
  - TIG Applicants

Agenda

- Overview of the LSC competitive grants process
- LSC's expectations for responses to the RFP
- Discussion of each of the four Performance Areas
- Discussion of the Fiscal Application section
- Discussion of LSC Regulations and Grant Assurances
- Demonstration of online application system

- *Submit questions at any time*
- Send questions through the chat window

Total estimated duration: 75 minutes

Reminders

- *Recommended:* have 2015 **[Standard RFP Narrative Instruction](#)** available
  - grants.lsc.gov/resources/application-documents

- The session will be recorded and will be posted on LSC Grants
- Complete the AIS Evaluation Survey after the conference
- Send questions through the chat feature
- Technical issues with this webinar? Email sanabriac@lsc.gov

Overview:
Application Process, Materials, Resources and Key Deadlines

Purpose of LSC Basic Field Grants

- Encourage the effective and economical delivery of high quality legal services to eligible clients;
- Provide opportunities for qualified attorneys and entities to compete for grants to deliver legal services to eligible clients;
- Encourage ongoing improvement of performance by recipients in providing legal services to eligible clients;
- Preserve local control over resource allocation and program priorities; and
- Minimize disruptions in the delivery of legal services to eligible clients within a service area during a transition to a new provider.

See 45 C.F.R. § 1634

Evaluations and Awards

- LSC Evaluates proposed delivery systems
  - LSC Performance Criteria
  - ABA Standards for the Provision of Civil Legal Aid

- LSC awards funds to applicants that demonstrate the best capacity to deliver effective and efficient high-quality legal services

Eligible Applicants

- Current recipients
- Other non-profit organizations that have as a purpose the furnishing of legal assistance to eligible clients
- Private attorneys, groups of attorneys or law firms
- State or local governments
- Substate regional planning and coordination agencies

See 45 C.F.R. § 1634 and page 8 of RFP Narrative Instruction

Application Timeline

- Submit the Application – **June 2, 2014**
  - Entire application must be complete and submitted at one time
- Certification (Form I) – **August, 2014**
- LSC publishes the list of qualified applicants – **October, 2014**
- Grant decisions made – **December, 2014**
- Grant awards made – **January, 2015**

Responding to the RFP Inquiries

Responding to RFP Inquiries

• The RFP Inquiries follow the format and structure of the LSC Performance Criteria.

• Inquiries are derived from the criteria in the four Performance Areas.

• New applicants that have not previously received a grant from LSC must respond to each RFP inquiry, unless otherwise indicated.

The Four Performance Areas

Performance Area	Percentage Weight	Number of RFP Inquiries *	Number of RFP Charts
1	18%	8	4
2	20%	8	3
3	35%	15	10
4	27%	20	3

* some inquiries have sub-parts

This excludes the Fiscal Application Inquiries

Navigating the Automated RFP

Criteria

PA	C	Criterion
1	1	Periodic comprehensive assessment and ongoing consideration of the most pressing legal needs
1	2	Setting goals and objectives, developing strategies and allocating resources
1	4	Evaluation and adjustment
2	1	Dignity and sensitivity
2	2 and 3	Engagement with low-income population & Access and utilization by the low income population
3	1a	Legal Representation - Applicant's capacity to carry out its work
3	1b	Legal Representation - Applicant systems, approaches, and techniques used in representation
3	1c	Legal Representation - Legal representation and resources
3	2	Private attorney involvement
3	3	Other program services to the eligible client population
3	4	Other program activities on behalf of the eligible client population
4	1	Board governance
4	2	Leadership
4	3	Overall management and administration
4	4	Financial administration
4	5	Human resources administration
4	6	Internal communication
4	7	General resource development and maintenance
4	9	Participation in an integrated legal services delivery system

Navigating the Automated RFP

PA 1, C 2: Setting goals and objectives, developing strategies and allocating resources

RFP Inquiries for this Criterion

Inquiry 1: How has the applicant allocated resources and staffing responsibilities to reflect its goals, objectives and desired outcomes?

Response:

Inquiry 2: Discuss the ways the applicant's case acceptance guidelines and how they relate
applicant's goals, objectives and desired outcomes.

Response:

Save | Save and Return to Criteria List | Return without Saving

RFP Charts for this Criterion

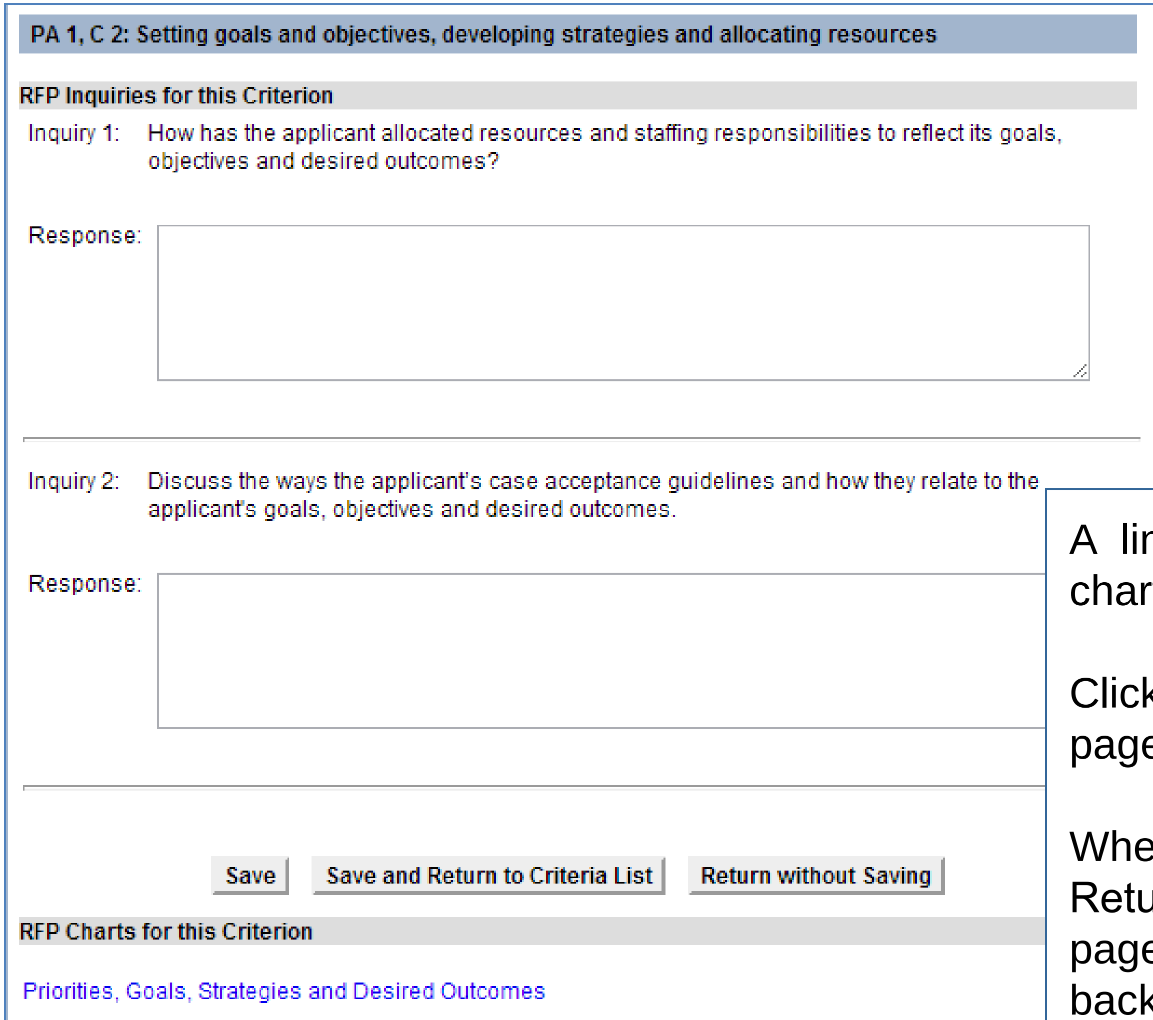
Priorities, Goals, Strategies and Desired Outcomes

Full text of each RFP Inquiry is displayed on screen, followed by a text box.

Consider drafting responses using a word processor and copying responses into the text boxes.

See the **Application Documents** page to download a Word document of the RFP Inquiries.

Navigating the Automated RFP



PA 1, C 2: Setting goals and objectives, developing strategies and allocating resources

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Response:

Inquiry 2: Discuss the ways the applicant's case acceptance guidelines and how they relate to the applicant's goals, objectives and desired outcomes.

Response:

Save | Save and Return to Criteria List | Return without Saving

RFP Charts for this Criterion

Priorities, Goals, Strategies and Desired Outcomes

A link is provided for each RFP chart.

Click on the link and the chart page will open.

When finished, click "Save and Return" at the bottom of the chart page. The system will redirect back to the criterion page.

Applying for Multiple Service Areas

- In responding to the RFP Inquiries in each grant proposal, specifically describe the service delivery system for that service area.

- In some instances, the response may be the same for two or more service areas.
  - Enter a response for the service area receiving the largest grant
  - For the additional service area(s), applicant may state:

  Applicant services and activities are the same for this service area as for (*state the service area*). When using this option, make sure the services and activities are really the same. Any differences should be indicated.

LSC's Expectations for Responses to the RFP

Grant-Writing Best Practices

- Answer the questions asked
- Be specific in your responses
- Avoid vague, incomplete, or exaggerated answers
- Don’t bury responses in unnecessary detail
- Be accurate
- Make sure responses are consistent throughout
- Proofread for grammar, spelling and punctuation

LSC's Funding Decisions

Based on

- Programmatic quality
- Appropriate fiscal oversight
- Regulatory compliance

Evidenced in

- Grant application
- Grantee reports to LSC
- Visit findings
- Other sources (e.g. other funders, websites)

For Grant Applications that Raise Concerns

- LSC will request supplemental information for non-responsive or incomplete applications
- Capability assessment visit could be required
- Special Grant Conditions may be attached
- Less than 3-year funding may be awarded
- Service area may be re-competed

Performance Area 1

Performance Area 1

- Weighted assigned – 18%
- Focuses on:
  - Legal needs assessment
  - Strategic planning
  - Priorities, goals and outcomes
  - Program evaluation and adjustment
- Sets framework for applicant's delivery system

Of Special Interest to LSC in PA 1

- Needs assessment – recent and comprehensive, or clear plans for completion in grant term
- Strategic planning – client-centered, involved key stakeholders, addresses stability and growth, resources appropriately allocated
- Objective evaluation of the delivery system
- Applicant makes changes to improve service delivery
- Priorities, goals, strategies and outcomes are significant and client-centered
- Projected outcomes are met

Understanding Priorities, Goals, Strategies and Outcomes

Priorities:

- statement of the work to be undertaken
  - e.g. “Preserving the home”

Understanding Priorities, Goals, Strategies and Outcomes

Goals:

- Broad statement of results applicant intends to achieve
  - “Ensure adequate housing for low-income people”

Understanding Priorities, Goals, Strategies and Outcomes

Strategies:

- Activities applicant will pursue to achieve the goal
  - Case strategies: “Eviction cases”
  - Other service strategies: “Community education sessions on tenants’ rights”

Understanding Priorities, Goals, Strategies and Outcomes

Outcomes:

- Tangible results achieved for clients from the services provided
- Affect living conditions, income, domestic stability, assets, employment status, or other
  - "100 foreclosures prevented"
  - "200 evictions averted"

Priorities, Goals, Strategies as RFP Chart

- The Applicant Priorities outline was previously included in the Proposal Narrative

- The instructions have not changed, only the format

EXAMPLE

Priorities

"Housing" or "Maintaining the stock of decent, affordable housing"

A. Goals

1. Maintain the stock of rental housing for low-income persons
2. Improve the condition of rental housing for low-income persons
3. Ensure that the laws protecting tenancies for low-income persons are exercised and enforced

B. Strategies

1. **Cases**
   - Eviction cases (other than non-payment of rent)
   - Habitability cases
   - Other meritorious housing cases to the extent resources allow
2. **Other services**
   - Produce and distribute pamphlets on landlord/tenant law, public housing tenants rights and security deposit law (this material is available from a statewide website)
   - Do community education session on landlord/tenant rights
   - Work with Sheriffs' departments on handling of "self-help evictions"
   - Work with local FmHA office to improve enforcement of tenant rights in FmHA rental property

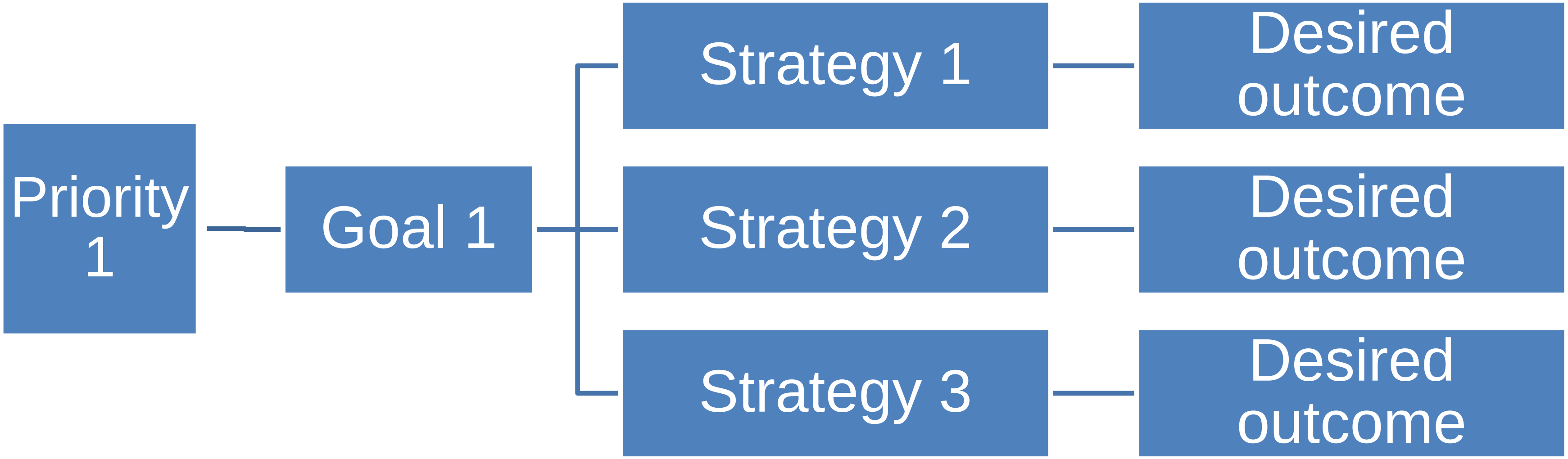
C. Desired outcomes

1. 50 private tenant and 10 public housing tenant families are successful in retaining their residences through cases undertaken
2. The conditions of 25 rental apartments/houses are improved by cases handled
3. The Sheriffs' departments enforce the state law prohibiting self-help evictions by landlords
4. The FmHA office assures that landlords follow the proper administrative steps before going to court in eviction proceedings
5. The pamphlets listed above are produced and distributed effectively to reach the client-eligible population in this service area (e.g., the existence of the website and the ways to access the website are generally known in the client community)
6. The landlord/tenant law community education session is given in each of the service area's counties with sufficient publicity, where interested members of the client-eligible population would have the opportunity to attend and learn from it

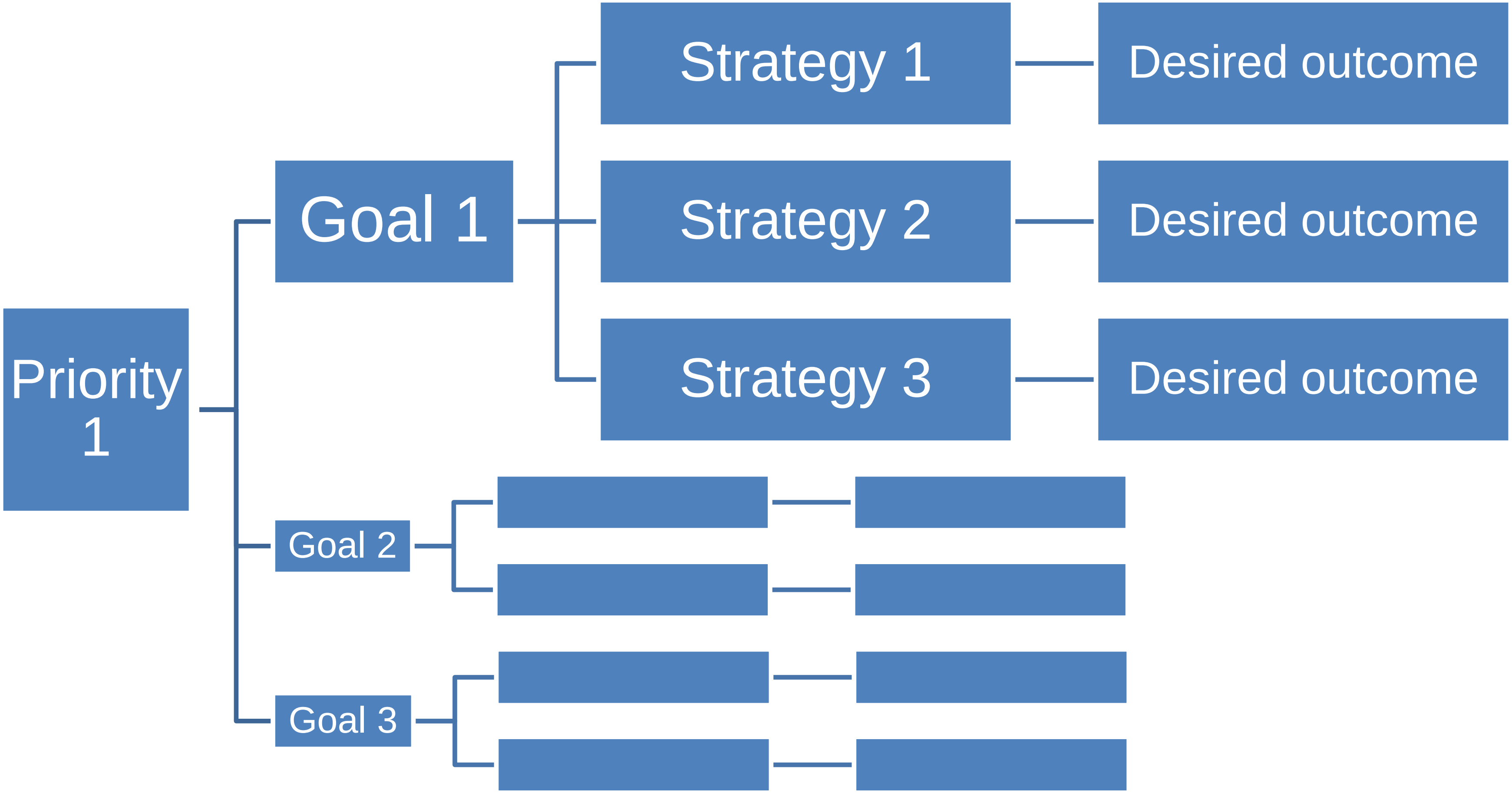
Priorities, Goals, Strategies as RFP Chart

- Select “Case” strategy or “Other Services” strategy
- Desired Outcome required only for Case strategy

Priorities, Goals, Strategies as RFP Chart



Priorities, Goals, Strategies as RFP Chart



Priorities, Goals, Strategies as RFP Chart

Legal Services Corporation	
Submit Application	

Priorities, Goals, Strategies and Desired Outcomes:

Item Type	Item Name	Desired Outcome
Priority:	Maintaining the stock of decent affordable housing	
Goal:	Maintain the stock of rental housing for low-income persons	
Strategy (Cases):	Eviction cases (other than the non-payment of rent)	50 private tenant and 10 public housing tenant families are successful in retaining their residences through cases undertaken
Strategy (Other Services):	Produce and distribute pamphlets and landlord/tenant law, public housing tenants rights, and security deposit law	
Strategy (Other Services):	Work with Sheriff's departments on handling of "self-help" evictions	The Sheriffs departments enforce state law prohibiting self-help evictions by landlords
Goal:	Improve the conditions of rental housing for low-income persons	
Strategy (Cases):	Habitability Cases	The condition of 25 rental apartments/ houses are improved by cases handled
Strategy (Other Services):	Do community education session on landlord/ tenant rights	
Goal:	Ensure that the laws protecting tenancies for low-income persons are exercised and enforced	
Strategy (Cases):	Other meritorious housing cases to the extent resources allow	20 families have improved housing conditions as a result of cases handled

Performance Area 2

Performance Area 2

Criterion 1. Dignity and sensitivity.

- The nuts and bolts of your intake system
- A work in progress
- A few thoughts about what are we looking for:
  - Coordinated compared to centralized
  - LSC's Performance Criteria
    - Outline of LSC's values for access
  - Level of coordination with the intake system
  - Intake hours-broadest access
  - Ease of process for applicant - getting the run-around

Performance Area 2

Criterion 1. Dignity and sensitivity.

- **Time frames for intake:** how prompt is the response at each stage and for decisions on assistance
  - New Chart
  - Give your best estimate

- **Collaborations:** seamless transfer to providers and clearly delineated services (case acceptance protocols)

- **Evaluation of intake:** comprehensive or narrowed to specific aspects such as client satisfaction, wait times, abandoned calls, matters not accepted for service

Performance Area 2

Criterion 2. and 3. Engagement with the low-income population. Access and utilization by the low-income population.

- **Outreach:** volume of activities and level of staff participation
  - In-person
  - Communications via materials, media, Internet, LEP

- **Office Location:** include details on parking, public transportation, proximity to other relevant offices and resources

- **Staff Diversity:**
  - recruitment methods for all staff levels
  - salary structure, work environment, benefits
  - retention efforts
  - promotion of diversity
  - leadership and mentoring initiatives
  - promotion opportunities

Performance Area 3

Performance Area 3

1. Paint a picture of your program's legal representation

2. PA 3 has the most weight in the RFP (35%)

Performance Area 3

Criterion 1. Legal representation.

- Capacity to carry out work
  - Whether you have an advocacy staff that matches the mission and vision of your program.
- Systems, Approaches, Techniques
  - Whether you can present evidence of sound legal work and advocacy management and supervision policies, procedures and systems
- Overall Advocacy Goals for next year (NEW)
  - Are there any particular areas of emphasis?
- Accomplishments
  - Whether the outcomes provide significant and lasting benefits to clients
- Evaluation
  - Whether you evaluate your effectiveness and make changes where appropriate

Performance Area 3

Criterion 2. Private attorney involvement.

- A Private Attorney Involvement Plan
  - Whether private attorney involvement is an integral part of your legal services delivery as described in your grant application.
- Partnerships (NEW)
  - Any partnerships you have to enhance your pro bono program
- Recruitment and Screening
  - Whether you offer a range of opportunities to various categories of private attorneys
- Support
  - Whether you provide support for PAI case handlers
- Quality Control
  - Whether you have systems in place to provide appropriate oversight of referred cases
- PAI Program Successes (NEW)
  - Examples of signature projects and/or any activities that increased PAI referrals or participation
- Accomplishments for clients
  - Whether the outcomes provide significant and lasting benefits to clients

Performance Area 3

Criterion 3. Other program services to the eligible client population.

- Community legal education
  - Whether you employ a wide variety of methods to educate the community on matters within your priority areas

- Assistance for pro se litigants
  - Whether you provide a range of pro se assistance strategies for clearly defined target groups

Performance Area 3

Criterion 4. Other program activities on behalf of the eligible client population.

- Involvement with Justice and Advocacy Community
  - Whether you can demonstrate an array of collaborative efforts that have had or will have a beneficial impact on the client community

Performance Area 3

RFP Charts

- Training
- Legal Work Management
- Casehandling Protocols
- Case Development Activities
- Accomplishments for Clients (Excluding PAI)
- Private Attorney Involvement
- Methods Used to Recruit Private Attorneys
- Methods Used to Retain Private Attorney Volunteers
- Accomplishments for Clients through PAI
- Involvement with Justice and Advocacy Community

Performance Area 4

Performance Area 4

Effectiveness of governance, leadership and administration

- Program should be led and managed effectively
- High-quality admin systems, procedures and performance
- Good leadership and strong internal operations
  - increase the likelihood of effective services
  - decrease the risk that effective program services will be adversely affected by organizational problems

Applicant Responses to PA 4

- Provide overview of the organization with indicators of sound, effective leadership and robust internal systems and policies.
- Weight: 27%

In PA 4, LSC Examines…

- Extent of collaboration between leadership and management to achieve the mission
- Processes for management/ admin functions, e.g.
  - Financial management
  - Human Resources
  - Compliance
  - Fundraising
  - Technology

Performance Area 4

- Other relevant information for this Performance Area:
  - IRS Form 990
  - Organizational chart
  - Technology Plan
  - Resumes of ED, Board Chair, Litigation and/or Deputy Director, CFO, COO, CIO
  - Staffing information

Performance Area 4

Criterion 1: Board Governance.

- Composition
- Training
- Oversight and Leadership
- Overlapping boards & Conflicts of Interest
- Evaluation of the Executive Director

- Cross References:
  - Form F – Board Composition
  - RFP Chart 18 – Board Policies and Procedures

Performance Area 4

Criterion 2: Leadership.

- Leadership Team and Responsibilities
- Development of Future Leaders
- Leadership Succession Plan

- Cross References:
  - Staffing Chart
  - Organization Chart
  - Resumes
  - RFP Chart – Continuity of Operations

Performance Area 4

Criterion 3: Overall management and administration.

- Efforts to ensure effective management and administration
  - Management Structure and Use of Middle Managers
  - Process for involving staff, board and others in policy matters
  - Compliance systems, procedures, training and review
- Technology planning process
- Technology Use Policy

- Cross References:
  - Form K – Technology Form
  - Technology Plan

Performance Area 4

Criterion 4: Financial administration.

- Systems and procedures for budgeting and planning
  - Ensuring appropriate resource allocations to achieve priorities
  - Budget and financial planning beyond the current year

- Cross References:
  - Form D – Budget forms

Performance Area 4

Criterion 5: Human resources administration.

- Process for staff evaluation
- HR administration efforts
  - Staffing and qualifications
  - Salary and benefits assessments
  - Procedures for maintenance of personnel records
  - Review of HR plans and policies
  - Resolving employee complaints
- Strategies to retain/ promote high-quality staff
  - Retention efforts
  - Recognition of accomplishments
  - Leadership development

Performance Area 4

Criterion 6: Internal communication.

- Policies and procedures for promoting regular communication among staff/offices
  - Frequency of meetings
  - Methods used for communications

- Cross References:
  - Form K – Technology Form
  - Technology Plan

Performance Area 4

Criterion 7: Resource development and maintenance.

- Resource development capacity
  - Staffing, qualifications, training
  - Use of consultants
- Resource development activities
  - Obtaining grants
  - Bar and private fundraising campaigns
  - Cy pres awards
  - Efforts with community organizations
  - Leveraging non-financial resources
- Publicizing program accomplishments to promote fundraising efforts

Performance Area 4

Criterion 9: Participation in an integrated legal services delivery system.

- Contributions to statewide or regional efforts
  - Ensure availability of a full range of civil legal assistance
  - Eliminate access barriers and provide meaningful services
  - Effectively utilize resources
  - Increase exchange of information among legal services providers
  - Ensure training and assistance in key areas of law and practice.
- Quality of alternative legal resources

– *Note: applicant providing less than a full range of services is required to demonstrate to LSC's satisfaction that it is or will be part of a delivery system that does provide a full range of legal services.*

- Cross References:
  - RFP Chart – Accomplishments for Clients with Other Providers

Governing/ Policy Body Forms

- LSC Grants will calculate whether the applicant is in compliance with 45 C.F.R. § 1607.3 (Governing Bodies),
- 45 C.F.R. § 1607.3 requirements:
  - At least one third of the governing body be eligible clients
  - At least sixty percent of the governing body be attorneys
  - The majority of governing body members (>50%) be "McCollum" attorneys
- Calculations are based on *filled positions*, defined as "current" Board Members entered into the form
- An applicant that is found to be out of compliance will submit a plan for coming into compliance at the time of the application.
- An applicant out of compliance will also submit an update in November

Current Year Governing/Policy Body Structure (Forms F-1 and F-2)

Instructions

The **Current Year Governing/Policy Body forms (i.e., Forms F-1 and F-2)** capture information on Applicant's governing/policy body members.

Governing/Policy Body member information provided in the Notice of Intent to Compete (NIC) is automatically transferred to Forms F-1 and F-2; however, some additional information is required.

Access Forms F-1 and F-2 to complete the infor
Governing/Policy Body member.

- To provide information for a new board r
- To edit existing board member informati
- To delete board member information, cli
- To go to the next page, click **Continue**

Quick Links

LSC Grants Frequently Asked Questions (FAQ)

New Applicants

Note:

All Applicants must have a governing or policy b
requirements of 45 C.F.R. Part 1607 within sixty

This form will calculate whether the applicant is
Part 1607.3 in the **Verification** section below. C
1607.3 is determined based on filled board pos
do not have a board that complies with 45 C.F.R
submit a plan by responding to the questions in
compliance section below.

Applicant Information

Recipient Number
Applicant Organization

Policy Board Structure (Form F-1)

	Total	McCollu
Number of Bylaw Positions	6	
Number of Filled Positions	6	
Number of Vacancies	0	

Verification

The recipient's board consists of at least one-th
The recipient's board consists of at least sixty p
The majority (>50%) of the total governing body
Recipient's board meets all requirements to b

Applicants not in compliance

The following questions apply only to those a
indicated by the bold word **"No"** in the bottom

Successful applicants must have a governing
applicant that is not compliance at the time th
is made.

In consideration of applicant's bylaws, identif

- Client board positions to be filled in or
- Attorney board positions to be filled in
- McCollum attorney board positions to

Identify the names of the appointing organiza

Describe applicant's strategy, including timel

Board Members (Form F-2)

☐ I am a new applicant and do not have a bo

Board Chair

Select the Board Chair (or Interim Board Chair)

Use the **Add** button in the **Board Members** sec

Use the **Edit** button below to access the Board

Board Chair <None>

Board Members

Add

Status	Name	Relevant Experience	Options
Current	Sample Client Member	Sample relevant experience	Edit Delete
Current	Sample Client Member	Sample relevant experience	Edit Delete
Current	Sample McCollum Attorney	Sample relevant experience	Edit Delete
Current	Sample McCollum Attorney	Sample relevant experience	Edit Delete
Current	Sample McCollum Attorney	Sample relevant experience	Edit Delete

Applicants not in compliance

The following questions apply only to those applicants whose governing/policy body structure is not in compliance with 45 C.F.R. Part 1607, as indicated by the bold word **"No"** in the bottom row of the **Verification** table above.

Successful applicants must have a governing or policy body consistent with the requirements of 45 CFR Part 1607 of the LSC regulations. An applicant that is not compliance at the time the grant is awarded will be required to be in compliance within sixty days from the date the grant award is made.

In consideration of applicant's bylaws, identify the number of vacant:

- Client board positions to be filled in order to be in compliance
- Attorney board positions to be filled in order to be in compliance
- McCollum attorney board positions to be filled to be in compliance

Identify the names of the appointing organizations the applicant is in contact with for filling the client and/or attorney board positions.

Describe applicant's strategy, including timeline, for coming into compliance with 45 C.F.R. Part 1607.3 .

Funding Application – Fiscal Component

How to Access

- All competitive grant applicants are required to submit the Fiscal Application.

- **Will be available on or around June 16, and will be due on or around June 30.** All competitive applicants will be notified of exact dates

- Will be submitted through online application system (lscgrants.lsc.gov)

- Will be submitted separately from the rest of the competitive grant application.
  - Log into LSC Grants online application system
  - On homepage, find “To Do” application section
  - Fiscal Funding Application task will be listed there

Overview

- LSC adopted the recommendations made by the following entities:
  - GAO Report (2010)
  - Management Consulting Firm Report (2012)

- **Goal:** to improve the internal controls over the grant application and award processes in the following areas:
  - Adequate documentation of grant award decisions
  - Sufficient documentation of required management review of grant applications
  - Adequate records of the use of grantee data available to LSC

Composition of Fiscal Questionnaire

1. Board of Directors/Management Involvement
2. Competence of Financial Employees
3. Accounting Manual
4. Corrective Actions
5. Financial Management
6. Special Grant Conditions
7. Investigatory Inquiries
8. Accounting System

Board of Directors/Management Involvement

- Part I - 22 yes/no questions with multiple parts, and/or multiple choices.

- Purpose – to ensure the board of directors are properly governing the organization by performing the required oversight functions (“setting the tone at the top”) and management is carrying out their roles and assignments in managing the operations.

Competence of Financial Employees

- Part II – 6 yes/no questions with multiple parts, and/or multiple choices.

- Purpose – to help assess, evaluate, and measure the qualifications of the fiscal employees and adherence to the programs policies and procedures.

Policies and Procedures (Accounting Manual)

- Part III – 6 yes/no questions with multiple parts, and/or multiple choices.

- Purpose – to assess and evaluate the consistency of the programs policies and procedures with LSC's Accounting Guide for Recipients (2010 edition).

Corrective Actions from Other Funders

- Part IV – 4 yes/no questions with multiple parts
- In the note section, describe any corrective actions and state the funding source(s).

- Purpose - to assess the frequency and resolution of prior findings identified by other funding sources during compliance and/or desk reviews.

Financial Management

- Part V – 4 yes/no questions with multiple parts, and/or multiple choices.

- Purpose - to assess and evaluate the management of fiscal resources by the program.

Special Grant Conditions from other Funders

- Part VI – 2 yes/no questions with a request for additional information, if applicable.

- Purpose - to assess the frequency and resolution of prior findings imposed by other organizations.

Investigatory Inquiries

- Part VII - 5 yes/no questions with multiple parts.

- Purpose – to evaluate investigatory inquiries of fraudulent activity encountered and assess the outcome of those inquiries.

Accounting System

- Part VIII – 8 yes/no questions with multiple parts, and/or multiple choices.

- Purpose – to evaluate and assess the capacity of your accounting system.

- Applicants encouraged to review the LSC Accounting Guide for Recipients (2010 Edition) before responding to these inquiries
  - http://grants.lsc.gov/rin/grantee-guidance/accounting-guide-lsc-recipients

- Applicants must upload the following documents:
  - *Certificate of Good Standing* issued by your State or Territory
  - Accounting Manual and/or Other Fiscal Policies/Procedures
  - Current Fidelity Bond or Insurance Policy stating amount of coverage
  - Fiscal related Special Grant Conditions from Other Funding Sources Currently in Effect (if applicable)
  - Audit/Finance/Executive Committee Charters or written description of duties
  - Cost-Allocation Method/Policy
  - Private Attorney Involvement ("PAI") Method/Policy
  - Segregation of Financial Duties Worksheet

- Send questions to competition@lsc.gov

Subgrants

Provisional Subgrant Requests

- LSC is revising the process for receiving subgrant information and approval requests.
- No subgrant information will be collected in the grant application.
- Applicants that plan to use subgrants will submit provisional subgrant requests.

Provisional Subgrant Request form

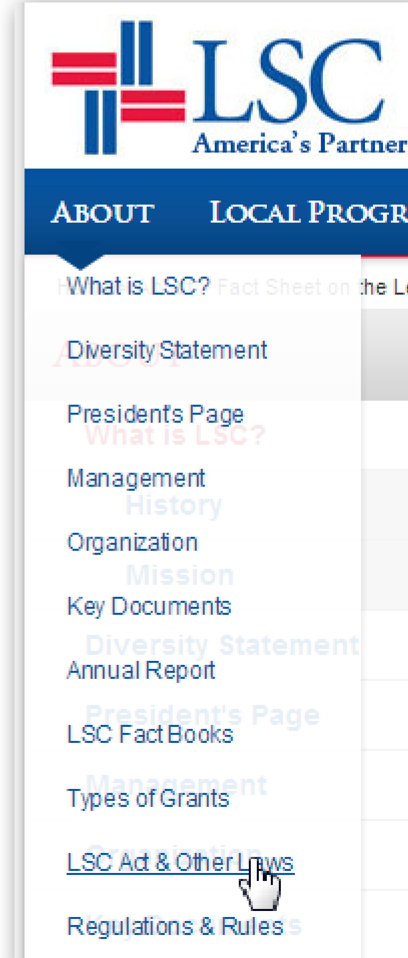
- Will completed through LSC Grants
- Will be available mid-June
- Will be due mid-July

- Applicants will receive updates about this process later in May/June.

LSC Statutes, Regulations and Grant Assurances

LSC Statutes

- Statutory requirements and restrictions
  - LSC Act, 42 U.S.C. 2996 *et seq.*
  - LSC appropriations riders
    - 1996 riders as modified in 1998 and thereafter
    - 1996 restrictions and entity restrictions
- LSC Act and other laws available at LSC.gov under “About”
- LSC “Source Book” available on RIN—Grantee Guidance
  - http://grants.lsc.gov/rin/grantee-guidance
  - Annotated LSC Act and laws
  - Annotated LSC appropriations
  - LSC Regulations
  - PAMM
  - Grant Assurances



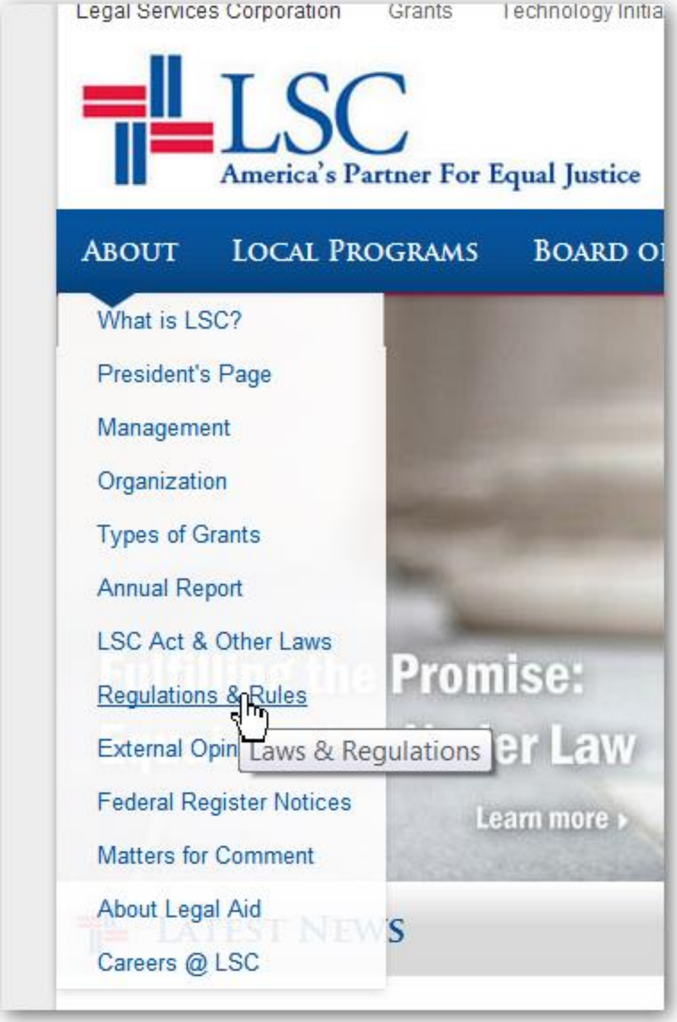
LSC Regulations

- Chapter XVI of Title 45 of the Code of Federal Regulations

- 45 CFR Parts 1600 through 1644

- www.lsc.gov
  - About – Regulations & Rules
  - Regulations
  - Regulatory history
  - Open rulemakings

- Also on www.lsc.gov
  - LSC Program Letters
  - OLA Advisory Opinions (after 1996)
  - Contact LSC with questions



LSC Statutes and Regulations

- Regulatory and statutory requirements that apply to all LSC recipients
- Federal law—supremacy over state and local laws
- All applicants agree to be governed by them through the grant assurances as a condition of accepting LSC funding
- Some restrictions are not in the LSC regulations.
  - *e.g.,* abortion restrictions
    - One in the LSC Act
    - Different one in the LSC appropriations riders
    - No LSC regulation
- Some regulatory requirements are not in the statutes
  - PAI (Part 1614) has no statutory provision
  - Cost standards (Part 1630) involve the mechanics of grants

LSC Regulations

Broad categories:

- Regulations governing LSC actions and procedures
- Regulations relating to restrictions on grantee legal assistance activities
  - Important to note that many of these restrictions apply also to a grantee's non-LSC funds
  - Part 1610 – which restrictions apply to which funding
  - Part 1612 – special provisions for non-LSC funds
- Regulations relating to grantee corporate activities
  - Part 1607 – governing bodies

Changes to the Regulations

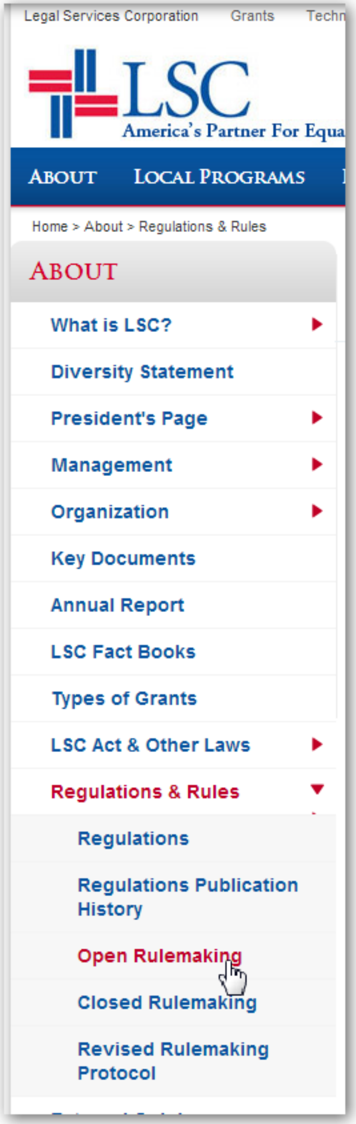
- Updated Part 1626 – Aliens
  - Effective May 19, 2014
  - Updates the regulation consistent with existing laws and LSC program letters
  - Incorporates Victims of Trafficking Act and Violence Against Women Act provisions expanding eligibility
    - Supersedes Program Letters 05-2 and 06-2 on those two topics
    - Categories of eligibility that are not based on citizenship or immigration status
    - 1626.4(a)(1) VAWA eligibility is limited to "related legal assistance"
  - Adds provisions regarding H-2B forestry workers (added by statute in 2008)
    - Same eligibility as H-2A agricultural workers
    - Limited to issues relating to H-2 employment
  - Part 1626 Appendix – examples of forms of documentation
    - Withdrawn from CFR
    - To be replaced with a forthcoming program letter

Changes to the Regulations

- Updated Part 1613—Criminal Proceedings
  - Effective May 15, 2014
  - Permits use of LSC funds for *all* criminal proceedings in tribal courts (prior provision was limited to misdemeanors)
  - Appointment is not necessary for cases in tribal courts
  - Permits use of LSC funds for criminal proceedings in all appointed cases
  - Sets requirements for all appointed cases, tribal and non-tribal, regarding the method of appointment and the grantee’s ability to accept the appointment consistent with its civil work

Open Rulemaking

- Open rulemakings for public comment
  - www.lsc.gov
    - About – Regulations & Rules
      - Open Rulemaking
- Part 1614 – PAI recommendations of Pro Bono Task Force
  - Workshops held in July and September, 2013
  - Proposed rule published for comment
  - Changes to the scope of activities that qualify as PAI
  - Comments due by June 16, 2014



Grant Assurances

- Contractual obligations the recipient enters into as a condition of accepting LSC grant funds
- Will be available around August
- Draft 2015 Grant Assurances published for comment in the Federal Register on April 30, 2014
  - www.lsc.gov
    - About – Matters for Comment
  - Comments deadline on May 30, 2014
- Applicants will be notified by email when the final 2015 Grant Assurances are available

Grant Assurances

Broad categories:

- Agreement to comply with applicable laws and regulations (both generally and specifically)
- Agreement to provide notice to LSC and to abide by certain procedures if there are major changes or actions affecting the grantee's ability to carry out its responsibilities under the grant
- Agreement to cooperate with oversight activities including submitting to audits and other reviews, providing reports, and maintaining and providing access to specified records
- Agreement to certain conditions on the conduct of recipient's business

Using the Online Application System at lscgrants.lsc.gov

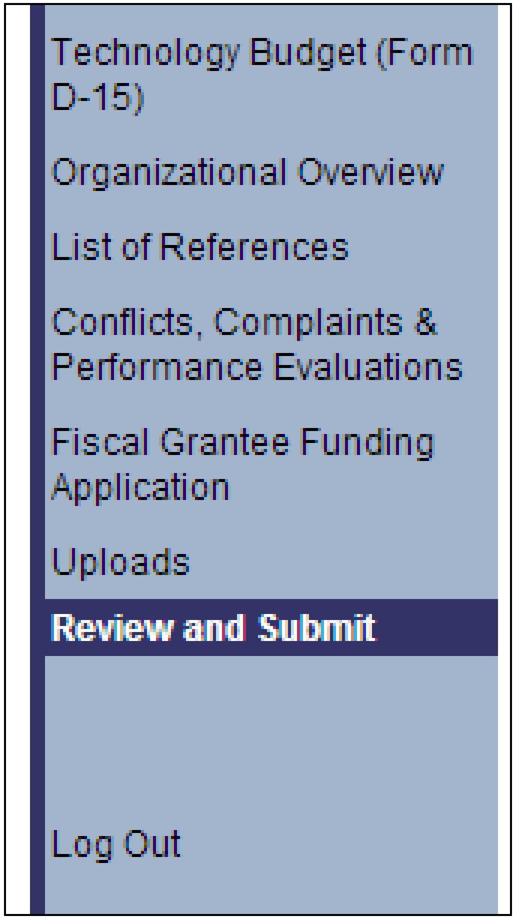
Why Can’t I Submit??

Red X’s indicate forms that are not yet complete

Validation Summary

Page Name	Status
Applicant Information	✓ Complete
Project and Subgrant Information	✓ Complete
RFP Inquiries	✓ Complete
Outcomes Met for Previous Priorities	✓ Complete
Intake Methods: Relative Percent and Time Elapsed Before Receiving Service	✓ Complete
Data collection methods	✗ Incomplete
Data Sources and Tools	✓ Complete
Program Priorities	✓ Complete
Intake System Technology	✓ Complete
LEP Plan and Components	✓ Complete
Training	✓ Complete
Legal Work Management	✓ Complete
CaseHandling Protocols	✓ Complete

The Review and Submit Page



Use the Review and Submit page to see detailed notes

The Review and Submit Page

Review and Submit provides detailed notes on what's missing

Validation Summary

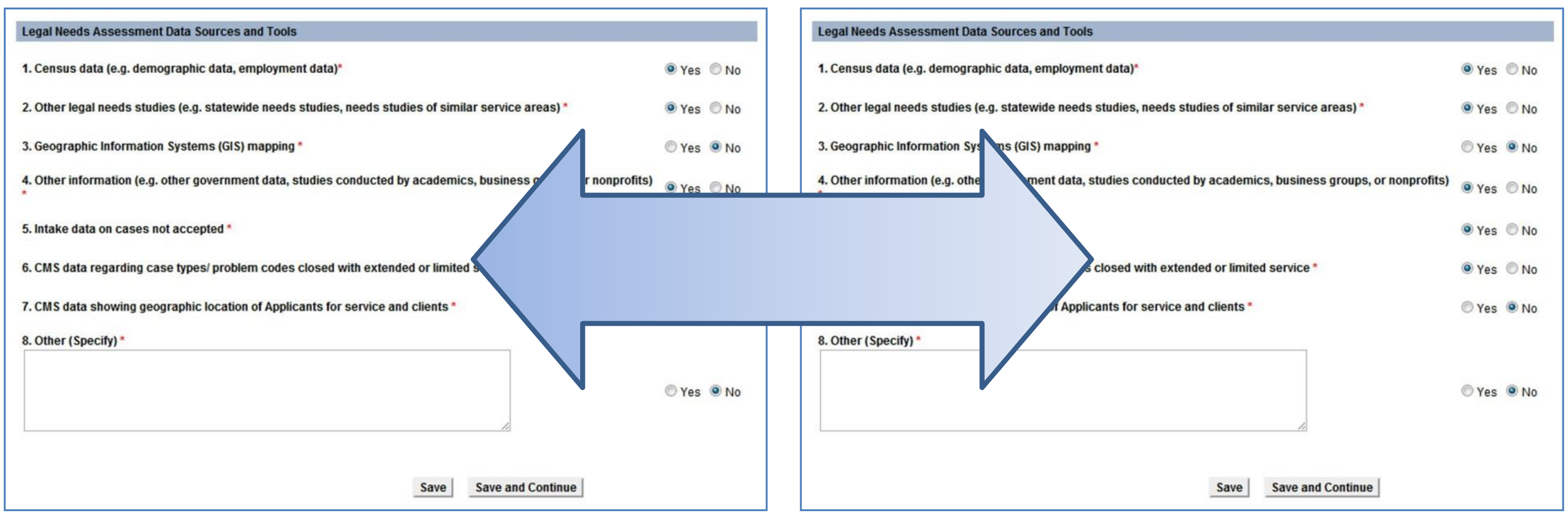
Page Name	Status
Applicant Information	✓ Complete
Project and Subgrant Information	✓ Complete
RFP Inquiries	✓ Complete
Outcomes Met for Previous Priorities	✓ Complete
Intake Methods: Relative Percent and Time Elapsed Before Receiving Service	✓ Complete
Data collection methods "Low Income Person Focus" is required "Social Service Org Meetings" is required	✗ Incomplete
Data Sources and Tools	✓ Complete
Program Priorities	✓ Complete

Linked Forms

- For applicants applying to more than one service area
- Some RFP Charts and forms are “linked” across service areas

Linked Forms

- Any information entered in a “linked” form in *one* application is automatically transferred to all other service areas for which the applicant is applying



Linked Forms

RFP Charts

- Involvement with Justice and Advocacy Community
- Board Policies and Practices
- Continuity of Operations Planning
- Accomplishments for Clients with Other Providers

Linked Forms *(continued)*

- Project and Subgrant Information
- Governing/ Policy Body Structure (Forms F-1 and F-2)
- Technology (Form K)
- Technology Budget (Form D-15)
- Organizational Overview
- List of References
- Conflicts, Complaints and Performance Evaluations

The Copy Feature

- For applicants applying to more than one service area
- Copies application data from one service area to another
- Use carefully to avoid overwriting data unintentionally
- RFP Inquiries not copied
- Uploads not copied

The Copy Feature

To Do - Application

View your NIC and Grant application(s) by clicking on the appropriate links. To create a new NIC or Grant application based on a existing one, click **Copy**.

Task	Service Area	Status	Due Date		
Submit Notice of Intent to Compete	FL-17	Complete		View PDF	
Submit Notice of Intent to Compete	PA-26	Complete		View PDF	
Submit Application	FL-17	Incomplete		View PDF	Copy
Submit Application	PA-26	Complete		View PDF	Copy

The Copy Feature

Copy Existing Task

Instructions

If you have applied for more than one service area (e.g., basic field and Native American) and wish to copy information from one application to the next, take the following steps:

1. On the **LSC Grants Home** page, select the application whose information you wish to copy and click **Copy**.
2. LSC Grants will then display the **Copy Existing Task** page. In the **Copy To** section of the page, select from the **Task** pull-down menu the service area application that you would like to fill with the information from the completed application.
3. When you press **Save** the information is copied to the empty application you selected and your **Home** page is displayed again. When you select the application that you copied to, you will see that it now contains the copied information. You can make changes where the copied information is inappropriate.

Copy From

Program	Competition/Renewal
Service Area	PA-26
Grant Period	PA-26
Task	Submit Application

Copy To

Task * <Select>

<Select>

FL-17 - Submit Application

Save Close

Top

The Copy Feature

- Review all copied information to ensure accuracy

Pre-population

- Allows users to save time by importing previous information
- Review all information to ensure accuracy

Pre-population

	Current Recipients	New Applicants
Intake System Technology	most recent grant application	-
Projected Expenses (D-12)	most recent grant application	-
Projected Revenue (D-14)	most recent grant application	-
Board Members (F-2)	most recent grant application, or 1607 Report	NIC
Technology (K)	most recent grant application	-

Review all information to ensure accuracy

Technical Support

Email techsupport@lsc.gov

Final Questions?

- Send questions through the chat feature

- The session will be recorded and will be posted on LSC Grants
- Complete the AIS Evaluation Survey after the conference
- Questions after the webinar? Email competition@lsc.gov