



2015 Post-PQV Applicant Informational Session

Post-PQV RFP – May 22, 2014

Welcome and Introductions

- Janet LaBella, Reggie Haley, 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?

- Post-PQV Applicants
 1. Are current recipients of LSC funding;
 2. Have had an LSC program quality visit since January 1, 2012;
 3. Have been notified that they will receive the final PQV report by July 1, 2014;
 4. *Are the only applicant for the service area*
- Any staff member involved in preparing the application

Not sure? Send an email to competition@lsc.gov

Agenda

- Overview of the LSC competitive grants process
- Explain how the Post-PQV application is different from the Standard RFP
- LSC's expectations for responses to the Post-PQV RFP
- Discuss the Fiscal Application section
- Discuss LSC Regulations and Grant Assurances
- Demonstrate using the online application system

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

Total estimated duration: 60 minutes

Reminders

- *Recommended:* have available **2015 Post-PQV RFP Narrative Instruction**, or

- **2015 Post-PQV RFP Renewal Instruction**

- grants.lsc.gov/resources/application-documents

- The session will be recorded and 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 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 and contracts 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

Application Timeline

Final PQV Report Received by:	April 30, 2014	July 1, 2014
Schedule	Schedule B	Schedule C
Online application system opened	May 16, 2014	July 1, 2014
Application due:	June 16, 2014	August 11, 2014

- Certification (Form I) – **August, 2014**
- LSC publishes the list of qualified applicants – **October, 2014**
- Grant decisions made – **December, 2014**
- Grant awards made – **January, 2015**

About the Post-PQV Application

- Applicants will
 - Describe actions taken or planned in response to “Tier 1” recommendations from the final PQV report
 - Describe any significant changes or major developments in the delivery system since the PQV ended, and those that are anticipated during the grant year
 - Respond to a supplementary inquiry and RFP Charts
- LSC reviews the Post-PQV grant application and the final PQV report together
- Separate Post-PQV grant application for competitive and renewal applicants

About the Post-PQV Application

- Applicants still submit online forms and required uploads (same requirements as the Standard RFP/ Standard renewal application)
- LSC evaluates the Post-PQV grant applications based on the LSC Performance Criteria, the LSC Regulations, and the ABA Standards for the Provision of Civil Legal Aid
- The final PQV report and Post-PQV Grant application follow the format and structure of the LSC Performance Criteria.

LSC's Expectations for the Post-PQV RFP

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)

Grant-Writing Best Practices

- Be direct and to the point in responding to Tier 1 recommendations
- Provide the detail necessary to inform LSC of the actions that have been taken, will be taken, or will not be taken and the rationale for it.
- Don't bury responses in unnecessary detail
- Avoid vague, incomplete, or exaggerated answers
- Make sure responses are consistent throughout
- Proofread for grammar, spelling and punctuation

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

*For applicants in competition only

Guidance for Preparing the Post-PQV Proposal or Post-PQV Grant Renewal

Guidance for Responding to the Post-PQV Inquiries

- Each response to a single recommendation, in most instances, should not exceed one full type-written page.
- Prepare responses in word processing application, and paste them into the text boxes.
- Respond to recommendations that ask programs to “consider” an action by explaining the consideration process and results.
- Use the drop-down menu to select a status for each recommendation.
- *Multiple service area applicants:* Each service area’s application will contain only those “Tier 1” recommendations that are specific to that service area.

Guidance for Responding to the Post-PQV Inquiries

Remember that in evaluating the Post-PQV RFP, LSC will assess:

- Responses to Tier 1 Recommendations
- Any changes made in the delivery system
- Findings from the PQV Report

With respect to the criteria in each Performance Area...

Performance Area 1

- Reasoned and thorough assessment of legal needs
- Clear strategies for addressing those needs coupled with projected outcomes that are significant and client centered
- Strategic planning that involved key stakeholders, and address program growth and effective allocation of resources
- Procedures for evaluating efficiency and effectiveness of program services

Performance Area 2

- Has effective relations with the client community
- Demonstrates dignity and sensitivity for clients
- Shows maximum use of limited resources
- Has intake system that provides broad and timely access

Performance Area 3

- Comprehensive legal work management systems
- Effective training and supervision of advocacy staff
- Effective delivery of legal services that have a positive results for clients
- Active Private Attorney Involvement

Performance Area 4

- Effective board governance
- Strong leadership
- Strong internal operations and administrative systems
- Effective financial management
- Effective resource development
- Effective coordination with other service providers

Guidance on Responding to Tier 1 Recommendations

Applicant's action to date:

The LSC recommendation has been implemented.

- Describe what was done to make it clear that the recommendation was fully implemented.
- Include information describing the impact of having implemented the recommendation and the anticipated outcomes, unless the impact and outcomes are evident.

Guidance on Responding to Tier 1 Recommendations

Applicant's action to date:

The LSC recommendation is being implemented.

- Describe any aspect of the recommendation that has been completed
- Describe the aspect(s) remain to be completed, and why they have not been completed
- Include details, such as: a timeline including the tasks to be completed, staff involved, the expected benefits and outcomes, etc.

Guidance on Responding to Tier 1 Recommendations

Applicant's action to date:

The recommendation is being implemented in part or with certain modifications.

- Describe the course of action taken and the reasons for it
- Explain why the recommendation is not being implemented fully
- Give the reasons why the partial implementation or modification better suits the needs of the applicant and/or supports more efficient or effective service delivery
- Explain why full implementation is not possible or practical

Guidance on Responding to Tier 1 Recommendations

Applicant's action to date:

The LSC recommendation is being considered.

- Explain what is under consideration and why
- Explain what factors are influencing the decision
- If resources are at issue, discuss the costs and any less resource-intensive ways to accomplish the goals of the recommendation
- Explain when the decision is expected to be made
- Explain the key persons in the decision making process

Guidance on Responding to Tier 1 Recommendations

Applicant's action to date:

The recommendation is not being implemented

- *Explain, in detail, why it is not being implemented*
- If the reason was reached due to lack of resources at this time, support the conclusion with an explanation of the financial implication and the reason that following the recommendation is not possible or feasible
- If the applicant does not agree with the recommendation, that conclusion should be supported with a thorough explanation as to why the recommendation is not, in the light of all the circumstances, in the best interests of the client community and/or the program and would not lead to more efficient and/or effective service delivery.

Significant Changes and Major Developments

- Provide a thorough discussion of any significant changes or major developments, and any that are anticipated
- Discuss actions the program has taken or plans to take in response
- If there have been no significant changes or major developments and none are anticipated, state that in one sentence

Significant Changes and Major Developments

Examples – Performance Area 1

- a decision to conduct or postpone a client needs assessment
- change in program priorities
- new emerging needs identified
- strategic planning initiated or completed
- shifts of 10% or more in resource allocations for cases, other services, or support activities

Significant Changes and Major Developments

Examples – Performance Area 2

- opening or closing of offices
- change in intake process such as implementing centralized or coordinated intake, launching online intake or decrease/increase of intake hours of 10% or more
- adoption of new LEP plan

Significant Changes and Major Developments

Examples – Performance Area 3

- increases or decreases in staff of 10% or more
- changes in legal work management (implementation of practice groups, adoption of new case management protocols/standards, changes in supervisory structure)
- implementation of new projects (e.g., foreclosure clinics, medical/legal projects, pro bono initiatives)
- new developments in PAI activities (e.g. pro bono hotlines, clinics, collaborations, co-counseling)

Significant Changes and Major Developments

Examples – Performance Area 4

- Changes in board leadership, committee structure
- changes in corporate structure
- changes in senior management structure
- disasters and responses to disasters
- increase or decrease in non-LSC funding of 10% or more
- significant changes in technology (e.g., acquisition of phone system or case management system)
- major new partnerships/collaborations (e.g., with other LSC grantees, agencies, state bar, law schools)
- resource development strategies

Using the Post-PQV Form

Using the Post-PQV Form

- Use the Post-PQV Form to
 - Respond to Tier 1 recommendations
 - Describe changes to the delivery system
 - Respond to the Supplemental Inquiry
 - Access the RFP Charts

Applicant Information

Recipient Number

Applicant Organization

Service Area

Application Cycle

PQV Recommendations, Modifications to the Delivery System, and Supplemental Inquiry

[Performance Area 1](#)

[Performance Area 2](#)

[Performance Area 3](#)

[Performance Area 4](#)

[Supplemental Inquiry](#)

[Continue](#)

[Top](#)

Performance Area One

Effectiveness in identifying the most pressing civil legal needs of low-income people in the service area and targeting resources to address those needs (i.e., periodic comprehensive assessment and ongoing consideration of the most pressing legal needs; setting goals and objectives, developing strategies and allocating resources; and evaluation and adjustment).

Recommendations

LSC Recommendation The recommendation number will appear here as it is in the report.

The text of the LSC Tier 1 recommendation appears here. If an applicant has multiple Tier 1 recommendations for this Performance Area, all recommendations will appear in this section. If an applicant has no recommendations for this Performance Area the system will display the message "The Program Quality Visit Report contained no Tier 1 recommendations for this Performance Area."

Recommendations

LSC Recommendation

Applicant's response to the recommendation and supporting rationale*

Significant Changes

Performance Area One: Significant changes or major developments in the delivery system since the PQV ended, and those anticipated during the grant year.*

Save

Save and Continue

Save and Close

Continue Without Saving

Close

Competition applicants only

Performance Area One

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Recommendations

LSC Recommendation

Applicant's response to the recommendation and supporting rationale*

Significant Changes

Performance Area One: Significant changes or major developments in the delivery system since the PQV ended, and those anticipated during the grant year.*

RFP Charts Related To Performance Area One

[Legal Needs Assessment Data Collection Methods](#)
[Legal Needs Assessment Data Sources](#)
[Priorities, Goals, Strategies and Desired Outcomes](#)
[Outcomes Met for Previous Priorities](#)

Performance Area	RFP Charts
Performance Area One	<ul style="list-style-type: none"> Needs Assessment – Data Collection Methods Needs Assessment – Data Sources and Tools Priorities, Goals, Strategies and Desired Outcomes Outcomes Met for Previous Priorities – <i>new for 2015</i>
Performance Area Two	<ul style="list-style-type: none"> Intake System Technology Intake Methods: Relative Percent and Time Elapsed Before Receiving Service – <i>new for 2015</i> LEP Plan and Components
Performance Area Three	<ul style="list-style-type: none"> 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 Four	<ul style="list-style-type: none"> Board Policies and Practices Continuity of Operations Planning Accomplishments for Clients with Other Providers

Red indicates renewal applicants, too

Priorities, Goals, Strategies, and Outcomes

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

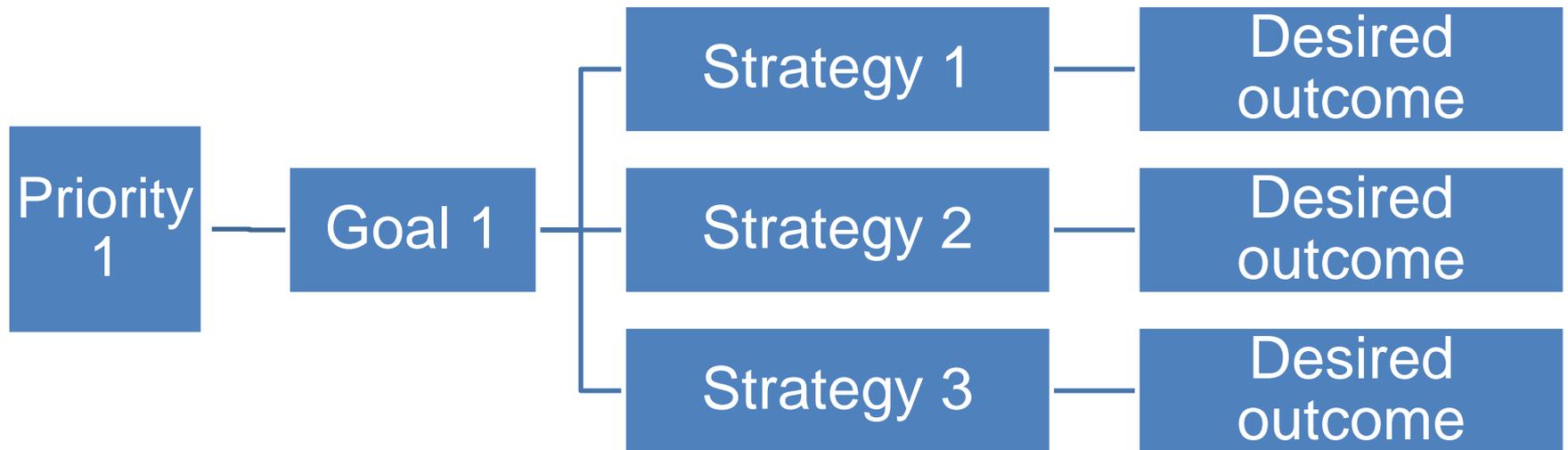
1. 50 private tenant and 10 public housing tenant families are successful in retaining their residences through cases undertaken
2. The conditions of 25 rental apartments/houses are improved by cases handled
3. The Sheriffs’ departments enforce the state law prohibiting self-help evictions by landlords
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

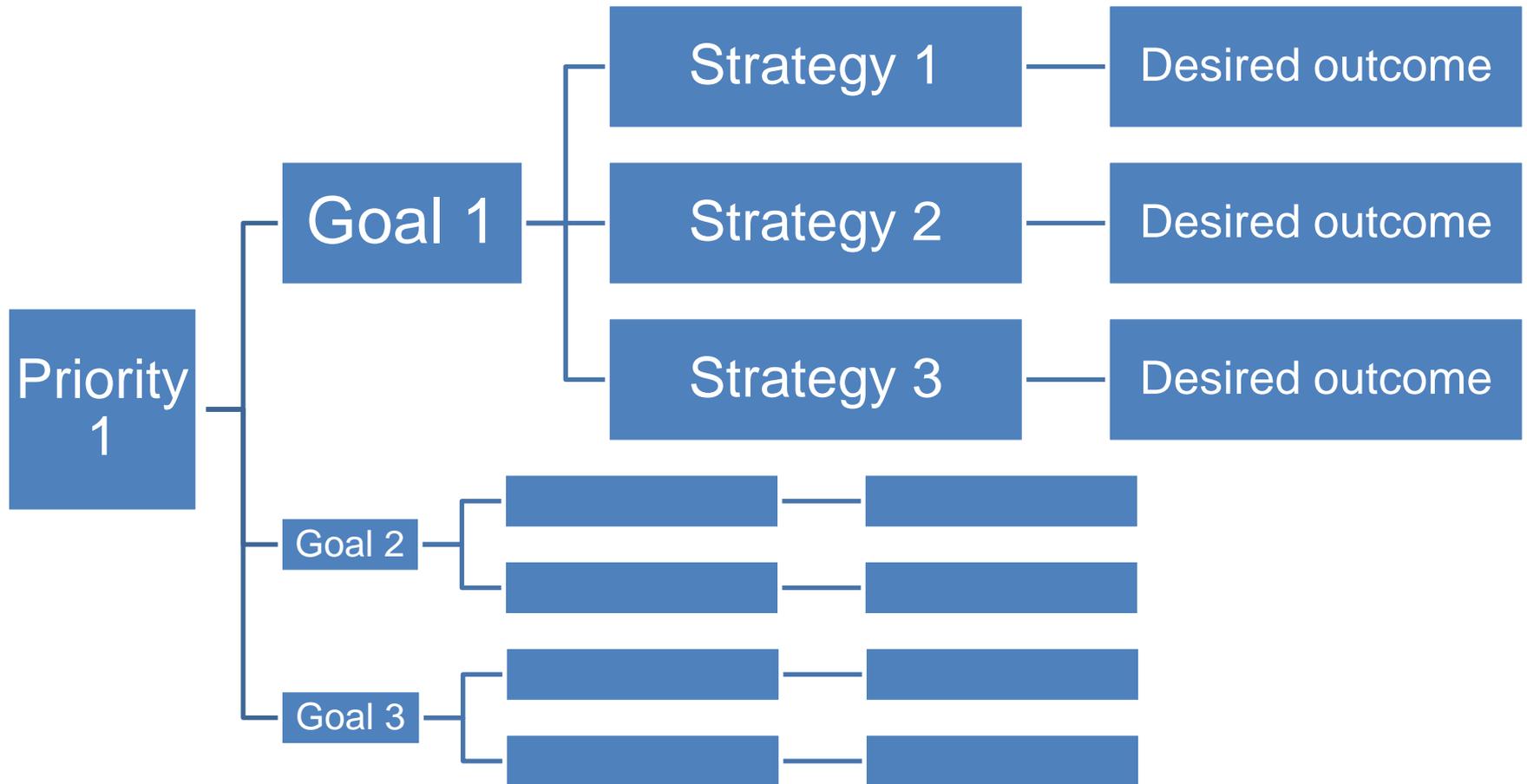


- Select “Case” strategy or “Other Services” strategy
- Desired Outcome required only for Case strategy

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 Sheriff's 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

Governing/ Policy Board Forms and Compliance with 1607.3

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 Complete (NIC) is automatically transferred to Forms F-1 and F-2; however, some additional information is required.

Quick Links

- LSC Grants Frequently Asked Questions (FAQ)
- New Applicants

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

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

Note:

All Applicants must have a governing or policy body that meets the requirements of 45 C.F.R. Part 1607 within sixty days of the award date.

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

Applicant Information

Recipient Number
Applicant Organization

Policy Board Structure (Form F-1)

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

Verification

The recipient's board consists of at least one member. The recipient's board consists of at least sixty percent (60%) of the total governing body. The majority (>50%) of the total governing body meets all requirements to be in compliance.

Applicants not in compliance

The following questions apply only to those applicants 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
- McColum attorney board positions to be filled to be in compliance

Identify the names of the appointing organizations

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

Board Members (Form F-2)

I am a new applicant and do not have a board.

Board Chair

Select the Board Chair (or Interim Board Chair). Use the Add button in the Board Members section. Use the Edit button below to access the Board Chair dropdown.

Board Chair <None>

Board Members

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 McColum Attorney	Sample relevant experience	Edit	Delete
Current	Sample McColum 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
- McColum 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.

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.

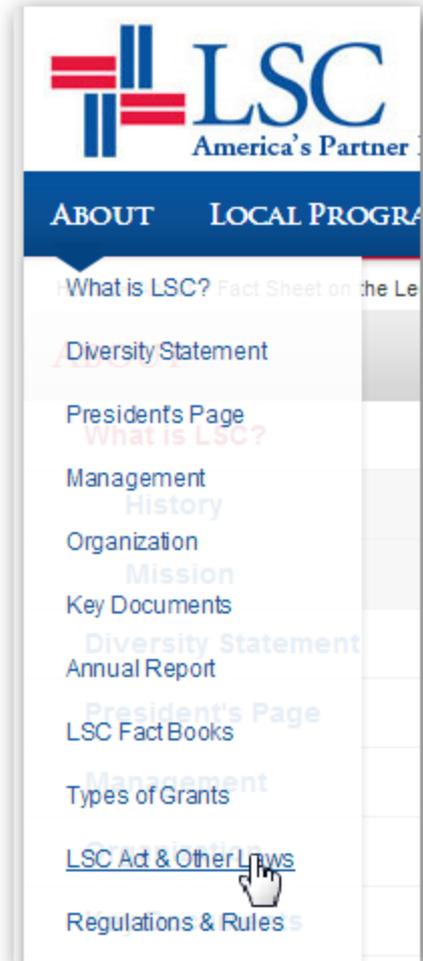
Provisional Subgrant Request form

- Will completed through LSC Grants
 - Will be available around June 16
 - Will be due around July 1
-
- 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

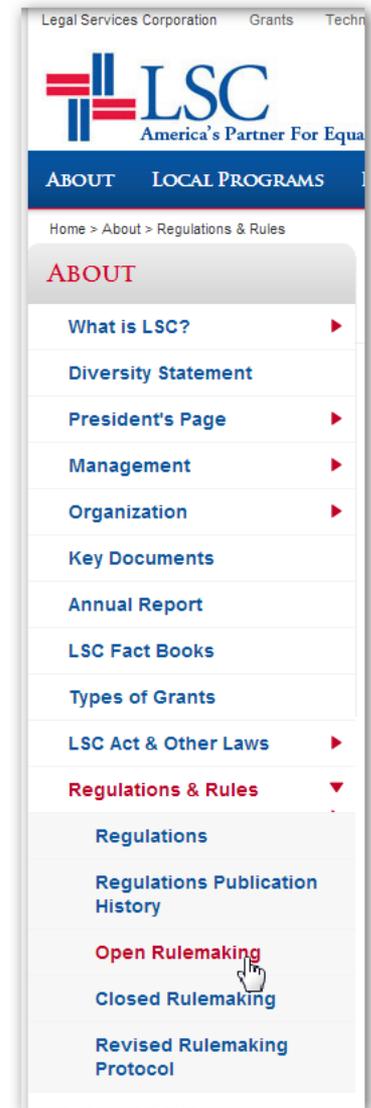
- Updated Part 1626 – Aliens
 - Effective May 19, 2014
 - Updates the regulation consistent with existing laws and LSC program letters
 - Incorporates Victims of Trafficking Act and Violence Against Women Act provisions expanding eligibility
 - Supersedes Program Letters 05-2 and 06-2 on those two topics
 - 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

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

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

Technology Budget (Form D-15)
Organizational Overview
List of References
Conflicts, Complaints & Performance Evaluations
Fiscal Grantee Funding Application
Uploads
Review and Submit
Log Out

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 now “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.

The diagram illustrates the concept of linked forms. It shows two identical forms side-by-side, connected by a large, light blue double-headed arrow. Each form is titled "Legal Needs Assessment Data Sources and Tools" and contains the following sections:

- 1. Census data (e.g. demographic data, employment data)* Yes No
- 2. Other legal needs studies (e.g. statewide needs studies, needs studies of similar service areas)* Yes No
- 3. Geographic Information Systems (GIS) mapping* Yes No
- 4. Other information (e.g. other government data, studies conducted by academics, business groups, or nonprofits)* Yes No
- 5. Intake data on cases not accepted* Yes No
- 6. CMS data regarding case types/ problem codes closed with extended or limited service* Yes No
- 7. CMS data showing geographic location of Applicants for service and clients* Yes No
- 8. Other (Specify)* Yes No

At the bottom of each form are two buttons: "Save" and "Save and Continue".

Linked Forms

RFP Charts

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

Red indicates Competition applicants only

Linked Forms *(continued)*

- Project and Subgrant Information
- Current Year 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**
- Fiscal Oversight (renewal only)

Red indicates Competition applicants only

Pre-population

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

Pre-population

- Intake System Technology RFP Chart
- Projected Expenses (D-12)
- Projected Revenue (D-14)
- Board Members (F-1)
- Technology (K)

Review all information to ensure accuracy

Red indicates Competition applicants only

Pre-population

Board Members (F-2)

- Prepopulated from the NIC
for Competition applicants
- More detailed biographical information* is pre-populated from the most recent grant application, or from 1607 report, if applicable
for Competition and Renewal applicants

* *Gender, ethnicity and contact information*

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