



2016 Post-PQV Applicant Informational Session

Post-PQV RFP – May 14, 2015

Welcome and Introductions

- Janet LaBella and Reggie Haley
Office of Program Performance (OPP)
- Mark Freedman
Office of Legal Affairs (OLA)
- Shanda Gottlieb and Megan Lacchini
Office of Compliance and Enforcement (OCE)

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, 2013;
 3. Have been notified that they will receive the final PQV report by July 1, 2015;
 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
- Demonstrate using the online application system
- Discuss the Fiscal Application
- Discussion of Subgrants
- Discuss LSC Regulations and Grant Assurances

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

Total estimated duration: 60 minutes

Reminders

- The session will be recorded and posted on the LSC and LSC Grants website
- Complete the AIS Evaluation Survey after the conference
- Send questions through the chat feature
- Technical issues with this webinar? Email hailey@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, 2015	July 1, 2015
Schedule	Schedule B	Schedule C
Online application system opened	May 15, 2015	July 6, 2015
Application due:	June 15, 2015	August 10, 2015

- Certification (Form I) – **August, 2015**
- LSC publishes the list of qualified applicants – **October, 2015**
- Grant decisions made – **December, 2015**
- Grant awards made – **January, 2016**

Fully Automated Application

- The Post PQV RFP and grant renewal application are automated.
- Responses to all inquiries, charts, and forms are submitted online. Information that is unique to an applicant, such as the organization chart, is uploaded.
- Once you login into to LSC Grants, you will access the RFP inquiries, charts, and forms from the blue navigational bar along the left side of the application.
- The automated application is intuitive and user-friendly.
- Email questions pertaining to the automated application to the competitive grants service desk at competition@lsc.gov.

About the Post-PQV Application

- The Post-PQV grant application informs LSC of the progress made in implementing the recommendations in the program quality visit report. Post PQV applicants will not respond to the standard RFP Inquiries or the standard renewal inquiries.
- 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
- LSC reviews the Post-PQV grant application and the final PQV report together
- 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

Post PQV Competitive Grant and Grant Renewal Application Components

1	2	3
Application Requirements	Post PQV Competitive Grant Application	Post PQV Grant Renewal Application
Responses to Tier-1 Recommendations	Yes	Yes
Supplementary inquiry on compliance with LSC Regulations	Yes	Yes
Subgrant Application	Yes	Yes
Fiscal Application and Fiscal Uploads	Yes	No
Disclosure on fraud, embezzlement, or theft	Yes	Yes
RFP Inquiries Converted to Charts		
Priorities, Goals, Strategies, and Outcomes	Yes	Yes
Outcomes Met for Previous Priorities	Yes	Yes
Accomplishments for Clients	Yes	Yes
Accomplishments for Clients through PAI	Yes	Yes
Involvement with Justice and Advocacy Community	Yes	Yes
Accomplishments for Clients with Other Providers	Yes	Yes
Needs Assessment – Data Collection Methods	Yes	No
Needs Assessment – Data Sources and Tools	Yes	No
Intake System Technology	Yes	No
Intake Methods	Yes	No
LEP Plan and Components	Yes	No
Staff Training	Yes	No
Legal Work Management	Yes	No
Case handling Protocols	Yes	No
Case Development Activities	Yes	No
Case Development Activities	Yes	No
Private Attorney Involvement	Yes	No
Methods Used to Recruit Private Attorneys	Yes	No
Methods Used to Retain Private Attorney Volunteers	Yes	No
Board Policies and Practices	Yes	No
Continuity of Operations Planning	Yes	No
Standard Grant Uploads and Forms		
Budget, Tech, Governing Body, 990, and Certification Form	Yes	Yes
PAI Plan and PAI Expenses	Yes	Yes
Organizational Overview and Organization Chart	Yes	Yes
Performance Evaluations from non-LSC Funders	Yes	No

LSC's Expectations for the Post-PQV RFP

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

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

*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

- Use the drop-down menu to select a status for each recommendation.
- Explain the rationale for the status of each recommendation.
- Each response to a single recommendation 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.
- *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 since the PQV
- Findings from the PQV Report

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 LEP policy and practice that meets the language needs of the service area
- 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 achieve 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 for responding to “Tier 1”
recommendations based on the
Applicant's actions to date

Navigating the Post-PQV Application Form

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

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) that 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
- Identify 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 is 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, support that conclusion with a thorough explanation of 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. Provide any alternative methods for achieving the desired outcome that is being employed by applicant.

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 with regard to each performance area
- 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 advocacy 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)
- new developments in PAI activities (e.g. pro bono hotlines, clinics, collaborations, co-counseling)
- shifts of 20% or more in PAI or Basic Field-General case services

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 Application

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

Navigating the Automated Post PQV Application

The screenshot displays a web application interface for PQV (Post Qualification Verification). It features a header section for 'Applicant Information' containing fields for 'Recipient Number', 'Applicant Organization', 'Service Area', and 'Application Cycle'. Below this is a section for 'PQV Recommendations, Modifications and Supplemental Inquiry'. A list of links is provided: 'Performance Area 1', 'Performance Area 2', 'Performance Area 3', 'Performance Area 4', and 'Supplemental Inquiry'. An orange box with the text 'Links to five forms' and a red arrow pointing to the first four links is overlaid on the page. At the bottom, there are 'Continue' and 'Top' buttons.

Applicant Information

Recipient Number
Applicant Organization

Service Area
Application Cycle

PQV Recommendations, Modifications and Supplemental Inquiry

Performance Area 1
Performance Area 2
Performance Area 3
Performance Area 4
Supplemental Inquiry

Links to five forms

[Continue](#)

[Top](#)

Navigating the Automated Post PQV Application

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

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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.*

Save

Save and Continue

Save and Close

Continue Without Saving

Close

Navigating the Automated RFP Application

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).

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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 department's work, 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](#)

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.

Performance Area	Application 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 2016</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 2016</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

Priorities, Goals, Strategies, and Outcomes

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

Legal Services Corporation	
Submit Application	

Priorities, Goals, Strategies and Desired Outcomes:

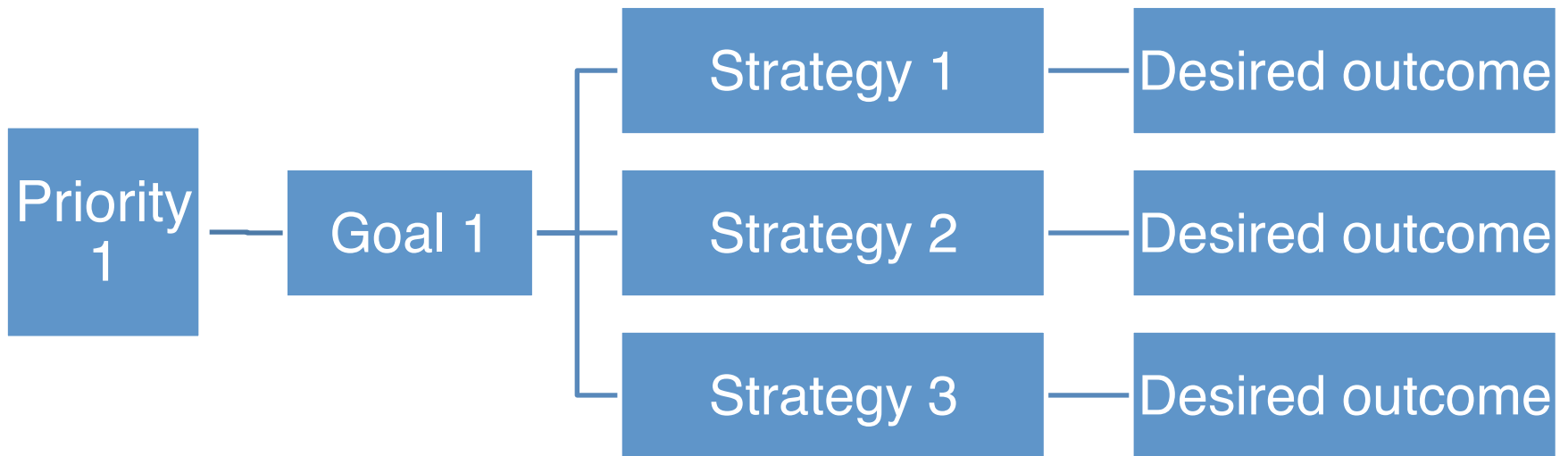
Item Type	Item Name	Desired Outcome
Priority:	Maintaining the stock of decent affordable housing	
Goal:	Maintain the stock of rental housing for low-income persons	
Strategy (Cases):	Eviction cases (other than the non-payment of rent)	50 private tenant and 10 public housing tenant families are successful 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

Priorities, Goals, Strategies as RFP Chart

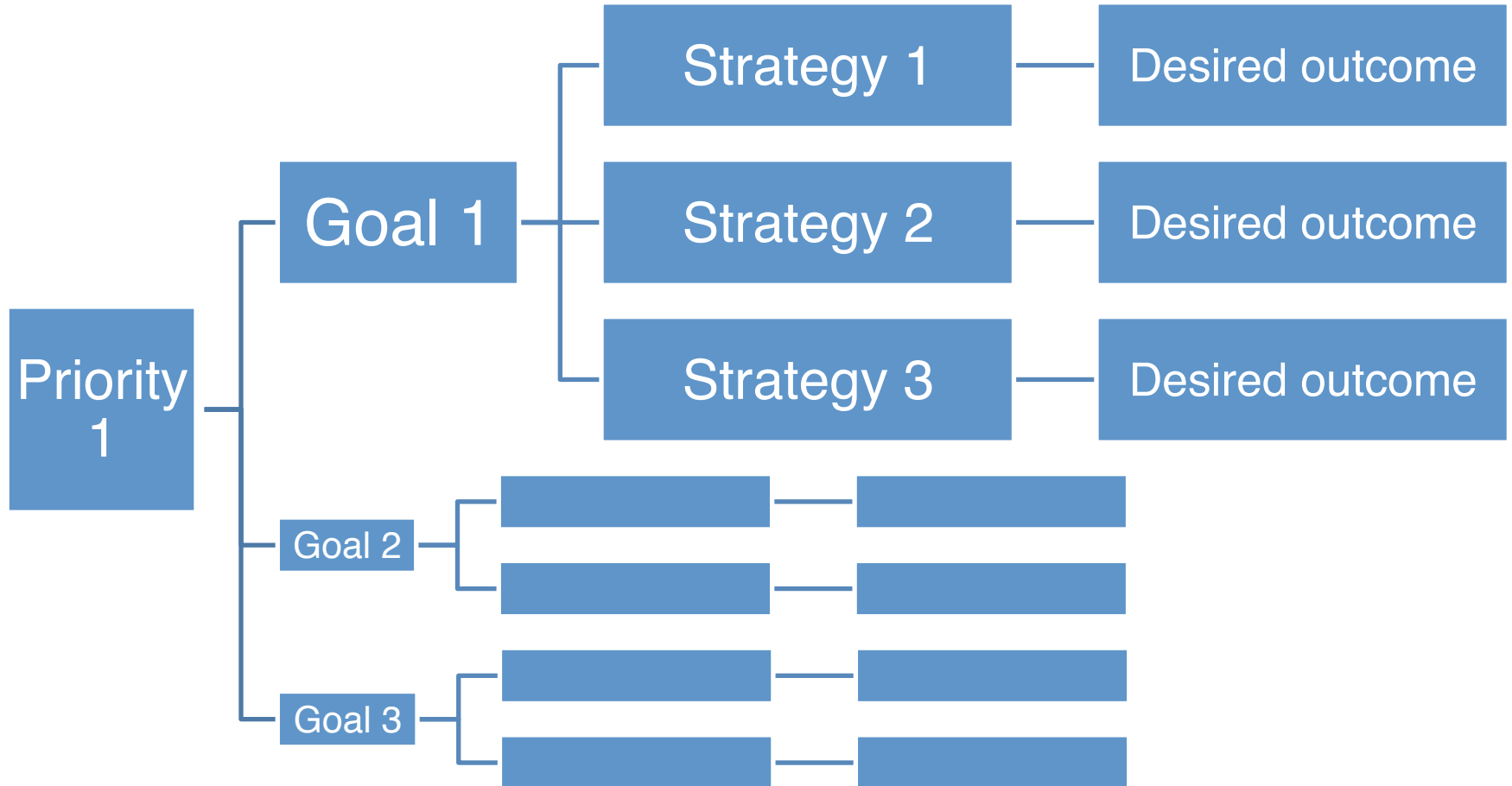


- Select “Case” strategy or “Other Services” strategy
- Desired Outcome required only for Case strategy

Priorities, Goals, Strategies as RFP Chart



Priorities, Goals, Strategies as RFP Chart



Case Service Outcomes

- Applicants are required to report outcomes only for case services – limited and extended
- Case services outcomes are the tangible results of case services such as improvements in clients' housing conditions, income, and, employment.
- Case service outcomes for clients should be expressed in concrete, measurable terms (i.e., a specified number of clients are provided with specified benefits).

Examples of outcome descriptions that are acceptable

- Housing conditions will be improved for 200 clients
- The criminal records of 150 clients will be expunged
- 200 families will have court orders that protect a family member from domestic violence
- 100 foreclosures will be prevented
- 200 evictions will be averted
- 200 clients will obtain or have SSI/SSD benefits increased
- Medicaid benefits will be preserved and/or increased for 300 clients

Examples of unacceptable desired outcomes for cases and the reasons they are not acceptable.

Examples of unacceptable case outcomes	The reason why these outcomes are not acceptable
o Develop and launch three medical legal partnerships	o Does not describe results of case services
o Provide all domestic violence shelters with information about how the legal aid program can help	o Does not describe case services. Also, does not specify concrete, tangible benefits in measurable terms
o Reduce the percentage of homelessness in the client community	o Not specific enough. What are the specific case outcomes that will reduce homelessness? What will be the specific percentage reduction? How will it be calculated?
o Serve client community in family preservation issues	o Does not specify concrete, tangible benefits in measurable terms
o Provide high quality legal representation to the client community	o Does not specify concrete, tangible benefits in measurable terms

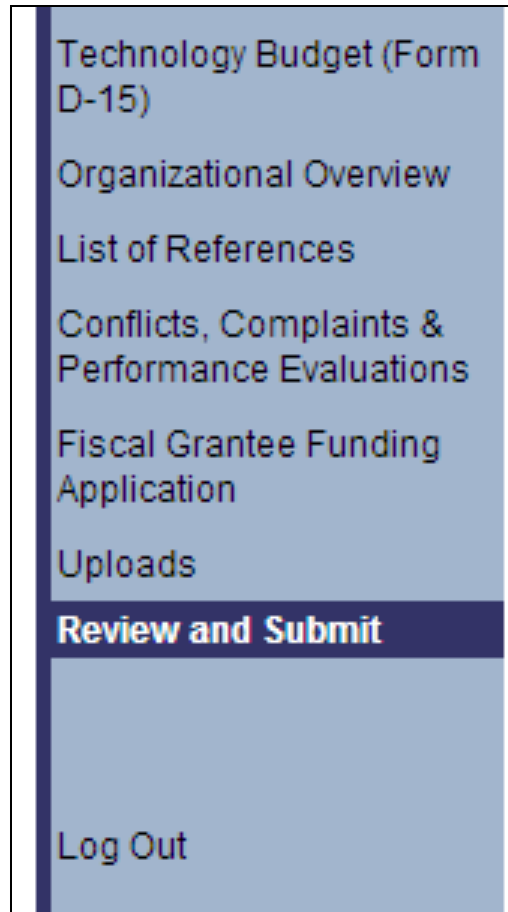
Using the Online Application System at lscgrants.lsc.gov

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	✗ Incomplete
"Low Income Person Focus" is required	
"Social Service Org Meetings" is required	
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
- 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 by showing two identical forms side-by-side, connected by a large, light-orange 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)*
- 2. Other legal needs studies (e.g. statewide needs studies, needs studies of similar service areas)*
- 3. Geographic Information Systems (GIS) mapping *
- 4. Other information (e.g. other government data, studies conducted by academics, business groups, or nonprofits)*
- 5. Intake data on cases not accepted *
- 6. CMS data regarding case types/ problem codes closed with extended or limited service *
- 7. CMS data showing geographic location of Applicants for service and clients *
- 8. Other (Specify) *

Each section includes radio buttons for "Yes" and "No". At the bottom of each form are "Save" and "Save and Continue" buttons. The double-headed arrow indicates that information entered in one form is automatically transferred to the other.

Linked Charts and Forms

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

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

Funding Application – Fiscal Component

How to Access

- All new competitive grant applicants are required to submit the Fiscal Application. Renewal applicants are not.
- All competitive applications are now accessible on the online application system (lscgrants.lsc.gov) once the applicant's Notice of Intent to Compete (NIC) has been approved by OPP.
- The deadline for filing the fiscal application is the same as the deadline for filing your competitive grant application.
- 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)
 - Fiscal Oversight Task Force Report (2011)
- Goal: to implement a more robust review of applicants fiscal internal controls during the grant application process in the following ways:
 - Ensuring grantees have sufficient financial systems, policies, and procedures in place that meet LSC requirements
 - Ensuring the adequacy of documentation submitted for grant award decisions
 - Performing a more holistic evaluation of other factors that may affect programs on-going operations

Composition of Fiscal Questionnaire

1. Board of Directors/Management Involvement
2. Profile of Financial Employees
3. Accounting Manual
4. Fiscal Oversight by Other Funders
5. Financial Management
6. Investigatory Inquiries
7. 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.

Profile 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).

Fiscal Oversight by 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 performed by OCE.

Financial Management

- Part V – 3 yes/no questions with multiple parts, and/or multiple choices.
- Purpose - to assess and evaluate the management of fiscal resources by the program.

Investigatory Inquiries

- Part VI – 4 yes/no questions with multiple parts.
- In the note section, describe the nature of any reported incident and the actions taken by the program.
- Purpose – to evaluate investigatory inquiries of fraudulent activity encountered and assess the outcome of those inquiries.

Accounting System

- Part VII – 8 yes/no questions with multiple parts, and/or multiple choices.
- Purpose – to evaluate and assess the capacity of the Program's accounting system.

Additional Information

- Applicants are encouraged to review the LSC Accounting Guide for Recipients (2010 Edition) before responding to these inquiries at <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

Subgrant Requests (Basic Field Grants)

Application Process

Provide subgrant information (Step 1) at the same time applicant files the competitive grant application

- Enter Information into LSC Data Fields
- Upload the Following:
 - ✓ Subgrant Information Form
 - ✓ Draft Subgrant Agreement
 - ✓ Subrecipient's most recent Audited Financial Statement
 - ✓ Evidence of Subrecipient's Fidelity Bond Coverage
 - ✓ Subrecipient's Accounting Manual

Request Subgrant Approval (Step 2) at Least 45 Days Before Effective Date (*i.e.*, October or Early November)

- Review Information in LSC Data Fields and Make Needed Changes
- Upload Executed Subgrant Agreement

Oversight

- **Grantees have the obligation to oversee their subgrantees – includes fiscal and regulatory oversight** (*e.g.*, internal controls, adequate fiscal policies, fidelity bond coverage, LSC restrictions) See 45 CFR § 1627.3.

LSC Statutes, Regulations, and Grant Assurances

Where to Find Them



- www.lsc.gov — About
 - LSC Act, Appropriations, and Other Laws
 - LSC Regulations
 - External Advisory Opinions
 - Program Letters

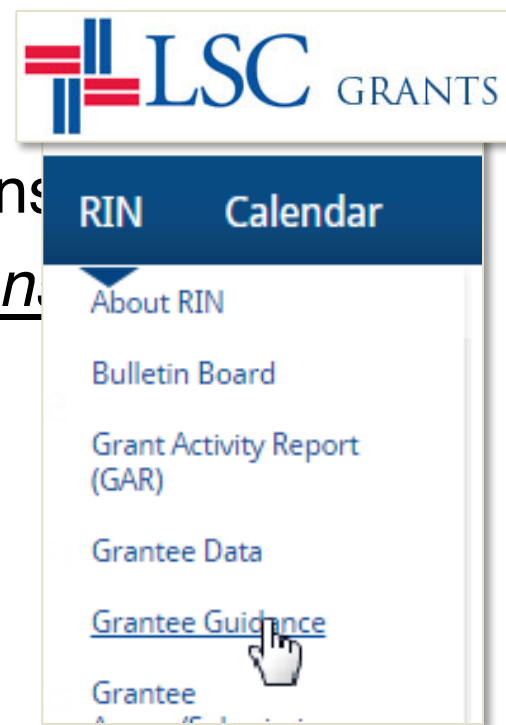




LSC Source Book

- LSC Grants— RIN—Grantee Guidance
<http://grants.lsc.gov/rin/grantee-guidance>

- Annotated LSC Act and laws
- Updated and annotated appropriations
Only source of amended provisions
- LSC Regulations
- Property Acquisition and
Maintenance Manual
- Grant Assurances





LSC Statutes and Regulations

- Regulatory and statutory requirements for all LSC grants
- Federal law—supremacy over state and local laws
- All applicants agree to them in the grant assurances
- 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 Statutes

- LSC Act: 42 U.S.C. §§ 2996–2996l
 - Establishment of LSC
 - Grantee requirements
 - Restrictions on LSC & private funds
- LSC Appropriations Riders
 - Since 1983, many restrictions appear in LSC's appropriation
 - 1996 overhaul
 - Continues some restrictions—*e.g.*, aliens
 - New restrictions—*e.g.*, class actions
 - Entity restrictions—all funds of grantees (except Tribal)
 - Incorporated in and modified by later statutes

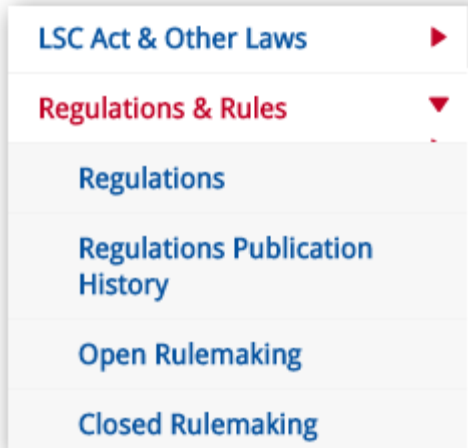
LSC website and source book have amended appropriations



LSC Regulations



- 45 CFR Parts 1600 through 1644
- www.lsc.gov — [About](#) — [Regs & Rules](#)
 - Regulations—current
 - Regulations Publication History
 - Preambles
 - Prior versions
 - Open Rulemakings
 - Closed Rulemakings





LSC Regulations

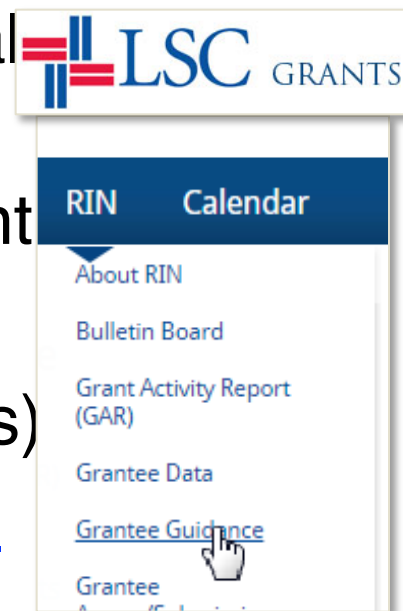
Broad categories

- Regulations governing LSC actions and procedures
- Regulations relating to restrictions on grantee activities
 - many restrictions apply to all 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
 - *E.g.*, Part 1607: governing bodies



Changes to the Regulations

- Part 1614—Private Attorney Involvement (PAI)
 - Major revision effective November 14, 2014
 - Mostly expansion of who and what qualify for PAI
 - Retains 12.5% expenditure requirement
 - Preamble contains detailed discussion
 - PAI Frequently Asked Questions (FAQs)
 - [LSC Grants—RIN—Grantee Guidance](#)
 - *Further guidance forthcoming*



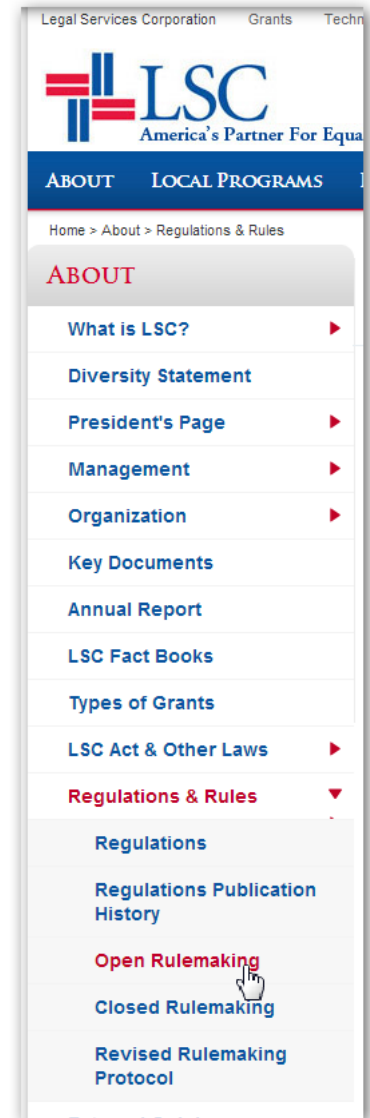
Open Rulemaking

- Open rulemakings for public comment
 - www.lsc.gov—About—Regulations & Rules



- Open Rulemaking
- *Please comment—we want to hear from you.*

- Parts 1610, 1627, and 1630
 - Revisions to the subgrant and transfer rules
 - Comments due May 20
- Part 1628—Fund Balances
 - More flexibility
 - Comments due May 20



Grant Assurances



- Contractual obligations the recipient enters into as a condition of accepting LSC grant funds
- Will be available around August
- Draft 2016 Grant Assurances published for comment in the Federal Register
 - www.lsc.gov—About—Matters for Comment
 - Comments deadline on May 18, 2015
- Applicants will be notified by email when the final 2016 Grant Assurances are available

Grant Assurances



- Agreement to comply with applicable laws and regulations (both generally and specifically)
- Agreement to provide notice to LSC and to abide by certain procedures involving problems (like fraud or theft) or major changes to the grantee's operations
- 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

Final Questions?

- Send questions through the chat feature
- Please note that this session has been recorded and will be posted on the LSC and LSC Grants websites

Reminders

- Complete the AIS Evaluation Survey after the conference
- Please forward questions pertaining to the LSC competitive grants process to competition@lsc.gov
- For technical support, Please forward questions to techsupport@lsc.gov