



Legal Services Corporation 2016 Grant Renewal Instructions

Note: This instruction is for current LSC grantees that have not had an LSC program quality visit since January 1, 2013. Contact the LSC competition service desk at competition@lsc.gov if you have any questions regarding this matter.

All recipients of LSC funds who received a three-year grant *in calendar year 2014*, or two-year or three-year grant beginning *in calendar year 2015* are required to submit a grant renewal application in order to receive a 2016 renewal grant. Grant renewal applications are due **June 1, 2015, 5:00 p.m. E.D.T.** This document contains instructions for preparing the 2016 grant renewal application.

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Grant Renewal Application Instruction

LSC uses the grant renewal application to remain current on the legal services delivery system and help determine whether there have been significant changes or unexpected developments in the grantee’s delivery system since the submission of their most recent competitive grant application.

2016 Automated Grant Renewal Application

LSC is using a fully automated grant renewal application for standard grant renewal applicants, i.e., applicants filing a grant renewal application who have not had an LSC program quality visit (PQV) since January 2013.

Applicants no longer upload the grant renewal narrative as an MS Word or WordPerfect document. Instead, applicants will enter responses to renewal inquiries into the text boxes of the online application. Applicants will be able to download and print all components of their renewal submission as a single PDF file, including the renewal inquiries and responses to renewal inquiries.

We would appreciate receiving any questions or comments about the 2016 Automated Grant Renewal Application. Please forward questions and comments to the LSC competition service desk at competition@lsc.gov

Preparing Responses to Grant Renewal Inquiries

The grant renewal inquiry topics coincide with the major topics of the applicant's most recent competitive grant narrative. Review the delivery approach described in the most recent competitive grant narrative before preparing the response. For each Performance Area, if there have been no unexpected developments or significant changes to the delivery system described in the most recent competitive grant narrative, indicate this and continue to the next grant renewal inquiry. If there have been unexpected developments or significant changes to the delivery system described in the most recent competitive grant narrative, indicate "Yes," and provide a brief description of those significant changes or unexpected developments.

Below, by performance area, are examples of types of significant changes or major developments to report in the grant renewal application that have occurred since you filed the most recent competitive grant application.

If there have been no significant changes or major developments since the submission of the most recent competitive grant application, check the appropriate box. If there have been significant changes or major developments, or changes or developments are anticipated during the grant year, provide a thorough discussion of that in the text box under the appropriate performance area.

Use the examples of significant changes and major developments listed below as a guide. This listing is not intended to be exhaustive. Applicants should address all significant changes to the delivery system and those anticipated during the grant year, even those not included in the list below.

Performance Area One:

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

Performance Area Two

- 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 Limited English Proficiency Plan

Performance Area Three

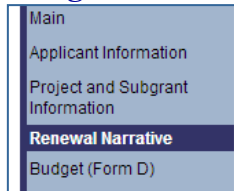
- increases or decreases in advocacy staff of 10% or more
- changes in legal work management (implementation of practice groups, adoption of new case management protocols/standards, changes in supervisory structure)
- implementation of new projects (e.g., foreclosure clinics, medical/legal projects, pro bono initiatives)
- new developments in PAI activities (pro bono hotlines, clinics, collaborations with law firms, co-counseling)
- shifts of 20% or more in PAI or Basic Field-General case services

Performance Area Four

- 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 Automated Grant Renewal Application



To respond to the grant renewal inquiries, after logging into the online application system at www.lscgrants.lsc.gov, click on the “Renewal Inquiries” link on the navigation bar on the left side of the screen. This will open the Renewal Inquiries page, where applicants will enter responses to the renewal inquiries in an online form.

2016 Grant Renewal Inquiries

The grant renewal inquiries are shown below. However, as mentioned above, applicants no longer upload a renewal narrative as a Word or WordPerfect document. Applicants will respond to the inquiries through the online application system at www.lscgrants.lsc.gov.

2016 Grant Renewal Narrative Inquiries

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; strategic planning, and evaluation and adjustment).

Using the examples of significant changes and major developments listed above, indicate whether there have been any significant changes or unexpected developments to the delivery system as it was described in applicant’s most recent competitive grant narrative. If there have been significant changes, describe the changes in the text box below.

- No, there have been no significant changes or unexpected developments in Performance Area One.
- Yes, there have been significant changes or unexpected developments in Performance Area One.

If applicant indicates “Yes,” applicant will use a text box, which will be available in the online form, to provide a brief description of those significant changes or unexpected developments.

Performance Area Two: Effectiveness in engaging and serving the low-income population throughout the service area (i.e., dignity and sensitivity; intake, engagement with the low-income population; limited English proficiency (LEP); and access and utilization by the low-income population).

Using the examples of significant changes and major developments listed above, indicate whether there have been any significant changes or unexpected developments to the delivery system as it was described in applicant’s most recent competitive grant narrative. If there have been significant changes, describe the changes in the text box below.

- No, there have been no significant changes or unexpected developments in Performance Area Two.
- Yes, there have been significant changes or unexpected developments in Performance Area Two.

If applicant indicates “Yes,” applicant will use a text box, which will be available in the online form, to provide a brief description of those significant changes or unexpected developments.

Performance Area Three: Effectiveness of legal representation and other program activities intended to benefit the low-income population in its service area (i.e., legal representation; legal work management; private attorney involvement; other program services to the eligible client population; and other program activities on behalf of the eligible client population).

Using the examples of significant changes and major developments listed above, indicate whether there have been any significant changes or unexpected developments to the delivery system as it was described in applicant’s most recent competitive grant narrative. If there have been significant changes, describe the changes in the text box below.

- No, there have been no significant changes or unexpected developments in Performance Area Three.
- Yes, there have been significant changes or unexpected developments in Performance Area Three.

If applicant indicates “Yes,” applicant will use a text box, which will be available in the online form, to provide a brief description of those significant changes or unexpected developments.

Performance Area Four: Effectiveness of governance, leadership and administration (i.e., board governance; leadership; overall management and administration; technology; financial administration; human resources administration; internal communication; general resource development and maintenance; and participation in an integrated legal services delivery system).

Using the examples of significant changes and major developments listed above, indicated whether there have been any significant changes or unexpected developments to the delivery system as it was described in applicant’s most recent competitive grant narrative. If there have been significant changes, describe the changes in the text box below.

- No, there have been no significant changes or unexpected developments in Performance Area Three.
- Yes, there have been significant changes or unexpected developments in Performance Area Three.

If applicant indicates “Yes,” applicant will use a text box, which will be available in the online form, to provide a brief description of those significant changes or unexpected developments.

End of 2016 Grant Renewal Inquiries

Grant Renewal Forms – Access Instructions and Checklist

All forms and instructions for preparing forms are available through the online grant application system at www.lscgrants.lsc.gov. To access and submit application forms log into www.lscgrants.lsc.gov, click on the “Submit Renewal Application” link for the desired service area, select the appropriate form, enter the required data, and click the save button after data entry is complete. All forms are required for all grant renewal applicants. Applicants can preview the application forms at www.grants.lsc.gov/resources/application-documents. However, all forms must be submitted through the online application system at www.lscgrants.lsc.gov.

Application Form	Description
<input type="checkbox"/> Renewal Inquiries	Applicants will enter responses to the grant renewal inquiries. See page 3 for more information.
<input type="checkbox"/> Project and Subgrant Information	As part of the grants process, applicants are required to submit specific information concerning each current and prospective subgrant of LSC Basic Field-General, Basic Field-Migrant and/or Basic Field-Native American grant award funds, as well as each current and prospective subgrant of non-LSC funds if the subgrant involves PAI activities. Applicants will respond to information regarding the current and proposed subgrants.
<input type="checkbox"/> Budget Forms D-12, D-14	Budget forms collect projected 2016 revenue and expense information.
<input type="checkbox"/> Forms F-1 and F-2	These forms capture the name, contact information, and demographic information of each filled board position; the name of the appointing organization; and the relevant experience of each board member. Note: applicants that do not currently have a governing or policy body that complies with 45 C.F.R. Part 1607.3 must provide a plan to meet this requirement. See page 7 for more information.
<input type="checkbox"/> Form G-12	Form G-12 captures projected expenditures for cases, other services, and supporting activities.
<input type="checkbox"/> Form D-13	Form D-13 captures information regarding PAI (Private Attorney Involvement) expenses.
<input type="checkbox"/> Form K	Form K captures information about current office technology (hardware and software). <i>Form K is different from the Technology Plan.</i>
<input type="checkbox"/> Form D-15	Form D-15 captures projected LSC and non-LSC expenses for carrying out applicant’s 2016 Technology Plan. At a minimum this budget should contain entries for: 1) software and hardware acquisition costs; 2) software and hardware maintenance costs; 3) IT staffing costs (internal and/or out-sourced); and 4) staff training costs (for IT staff and to ensure all program staff can effectively use the program’s technologies). Additionally, applicants must provide an explanatory note for each line item in the technology budget that exceeds zero. Upload the explanatory notes in a separate document. See the Technology Budget Explanatory Notes for more information.

Application Form	Description
<input type="checkbox"/> Organizational Overview	The overview captures a description of the geographical and cultural characteristics of the applicant's service area(s), the scope of legal services provided by the applicant, and the delivery methods and distinctive characteristics of the applicant's organization. See page 6 for more information.
<input type="checkbox"/> Accomplishments for Clients	Describe applicant's three most significant accomplishments for clients in cases or other services within the last twelve months.
<input type="checkbox"/> Accomplishments for Clients through PAI	Describe applicant's three most significant accomplishments for clients in cases or other services through PAI within the last twelve months.
<input type="checkbox"/> Involvement with Justice and Advocacy Community	Describe applicant's three most significant efforts or examples of active involvement with the judiciary, organized bar, government agencies, social service agencies, academic and research centers, state and national legal advocacy organizations and other organizations that work with or have an impact on the eligible client population, in the past twelve months.
<input type="checkbox"/> Accomplishments for Clients with Other Providers	Describe the three most significant accomplishments for clients in cases or other services within the last twelve months provided in collaboration with other legal services providers. <i>For applicants that provide limited services.</i>
<input type="checkbox"/> Outcomes Met for Previous Priorities	Applicants use this chart to identify the extent to which outcomes planned were actually met.
<input type="checkbox"/> Program Priorities	Provide information about the applicant's board-approved priorities, goals, strategies and outcomes.
<input type="checkbox"/> Fiscal Oversight and Internal Controls	Applicants must disclose whether they experienced fraud, misappropriation of funds, embezzlement, or theft within the last twenty-four months.

Preparing the Overview of the Applicant's Organization and Delivery System and the Organization Chart

The overview is to contain a concise description of the geographical and cultural characteristics of the applicant's service area(s), the scope of legal services provided by the applicant, and the delivery methods and distinctive characteristics of the applicant's organization. LSC may use excerpts from the overviews in publications and presentations. The organization chart should depict the components of applicant's organization, the titles of the management and executive positions responsible for those components and the number of staff positions in each component. Consider the suggestions below in preparing the overview:

Description of the geographical, demographic, and cultural characteristics of the service area.

This description should address whether the applicant's service area is either urban or rural or a mix, and explain which counties or cities (or the number of counties or cities) classify it as such. If there have been significant changes, the response might explain what those changes are and how those changes affect the eligible client population of the service area. If there have been no significant changes, the response would indicate this and go on to explain the characteristics that have consistently affected the eligible client population. In describing the distinctive characteristics of the service area it would be helpful to make note of the things such as the service area's poverty, changes in population, area-specific legal issues, or other such characteristics.

Describe the scope of legal services to be provided by the applicant. This description should address whether the applicant provides a full range of services, including limited as well as extended and contested cases; and a full range of case types. State whether the full range of service is extended throughout the service area. Also briefly describe the service delivery method(s) employed by the Applicant (e.g., specialized law units, legal helplines, impact litigation, compensated and pro bono private attorney models, pro se). Programs that do not provide a full range of service should indicate this and explain methods employed to ensure that a full range of services is provided to the client population.

Describe the delivery methods and distinctive characteristics of the applicant's organization. This description should address the most distinctive characteristics of the Applicant's organization and methods of delivery used by the applicant organization.

Governing/Policy Body Requirement

LSC recipients are required to have a governing or policy body (board) consistent with the requirements of 45 C.F.R. Part 1607. The regulation is designed to ensure that the recipient's board is qualified to guide the recipient in its efforts to provide high quality legal services and to ensure that the recipient is accountable to its clients.

The regulation makes a distinction between governing and policy boards. A governing board has authority to govern the activities of a recipient receiving funds under 42 U.S.C. § 2996e(a)(1)(A). A policy board is established by a recipient to formulate and enforce policy with respect to the services provided under a grant or contract made under the Act. A policy board must be approved by the President of LSC through a waiver of the governing body regulations.

The regulation requires that the composition of the board be at least one-third eligible clients appointed by appropriate client groups, and at least 60 percent attorneys. The remaining members of the board may be appointed by the grantee's board or selected based on the grantee's policies or bylaws. A majority of the entire board must be McCollum attorneys, i.e., attorneys who are appointed by the bar associations representing a majority of the attorneys in the service area(s). (See 45 C.F.R. § 1607.3)

Compliance with 45 C.F.R. § 1607.3 is determined based on filled board positions. Applicants that currently do not have a board that complies with 45 C.F.R. § 1607.3 are required to submit a plan to meet the requirement along with their grant renewal application. Those applicants will be required to address the following:

1. 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
2. Identify the names of the appointing organizations the applicant is in contact with for filling the client and/or attorney board positions
3. Describe applicant's strategy, including timeline, for coming into compliance with 45 C.F.R. § 1607.3

Grant Renewal Uploads – Instructions and Checklist

The file upload process permits the uploading of a single file at each upload link. To upload files, log into the online application system at www.lscgrants.lsc.gov, click on the “Submit Renewal Application” link for the desired service area, and then click the “Uploads” link on the left navigation bar. Click “Select Upload Type” at the bottom of the screen to select the type of document to be uploaded. **All documents should be uploaded as PDF files.**

	Upload Document	Reference/ Instruction
<input type="checkbox"/>	Organizational Chart	The organizational chart should depict the components of applicant’s organization, the titles of the management and executive positions responsible for those components and the number of staff positions in each component.
<input type="checkbox"/>	Current Year PAI Plan	See below on this page for instructions regarding the PAI Plan.
<input type="checkbox"/>	2016 Technology Plan	See page 9 for instructions regarding the Technology Plan.
<input type="checkbox"/>	2016 Technology Budget Explanatory Notes	Applicants must provide an explanatory note for each line item in the technology budget that exceeds zero. With each explanatory note, include the budgeted expense amount and the budget expense item. The following is a sample explanatory note for “program IT staffing costs.” <i>Program IT Staffing Costs: \$120,000 - Applicant requires a total of 1.5 FTE’s to manage and coordinate technology planning, acquisition, maintenance, and administration during the grant year.</i>
<input type="checkbox"/>	IRS Form 990	Submit the applicant’s 2014 990 Form filed with IRS
<input type="checkbox"/>	Certification Form (Form I)	<i>This form is submitted in August.</i> LSC Certification Form (Form I) and LSC Grant Assurances Form (Form C) will be available during the month of August 2015. When these forms are published, LSC will send an email to all applicants informing them of their availability and providing instructions on how to proceed. Applicants will be given adequate time to review Form C and submit Form I. Applicants will not return Form C to LSC.

Preparing the Current Year PAI Plan

LSC requires each grant renewal applicant to submit a copy of its current year PAI Plan and PAI budget along with its 2016 grant renewal application. Include the following information on the title page or header of the PAI Plan: applicant name, applicant number, and “Year of PAI Plan.”

The LSC regulation on private attorney involvement, 45 C.F.R. Part 1614, was revised effective November 2014. Applicants are required to review the revised regulation before developing their PAI plan and before responding to the inquiries below.

At a minimum, applicant’s PAI plan must address each of the requirements of 45 C.F.R. § 1614.6. These are threshold requirements and are referenced below. If the PAI plan does not address these threshold requirements, include a supplemental response with the PAI plan that does. Upload applicant’s current year PAI Plan (and supplement if necessary) as a single PDF file at www.lscgrants.lsc.gov. (See upload instructions above.)

Pursuant to 45 C.F.R. § 1614.6, applicant’s PAI plan shall:

- a) State how the current year PAI plan addresses the legal needs of eligible clients in the geographical area (service area) served by the applicant consistent with the applicant’s priorities (see 45 C.F.R. § 1614.6(a)(1)).
- b) Describe the mechanisms available for private attorneys, law students, law graduates, or other professionals to participate in applicant’s delivery of legal services (see 45 C.F.R. § 1614.6(a)(2)). In the description discuss separately how applicant will involve each category (private attorneys, law students, law graduates, or other professionals) in its work through, for example: full service representation; special projects; hotlines or provision of telephone advice; provision of “live chat” or other online information or advice; pro se clinics; interpreters with LEP clients; community education; writing pamphlets; co-counseling or otherwise participating in major litigation; transactional work; contributing to websites; technical assistance; mentoring staff; and staff training or other opportunities. State whether the private attorneys, law students, law graduates, or other professionals are participating as pro bono, by contract for reduced fee, or judicare.
- c) Discuss how applicant consulted with the client community, law schools, business leaders, private attorneys, and bar associations in the service area in the development of the PAI plan, and the results of those consultations (see 45 C.F.R. § 1614.6(a)(3)).

Form D-13 is used to prepare and submit the PAI Budget. See page 5 for more information about grant renewal forms.

Preparing the 2016 Technology Plan

LSC requires each grant renewal applicant to submit a 2016 Technology Plan. Include the following information on the title page or header of the technology plan: applicant name, applicant number, and “2016 Technology Plan.” Upload the Technology Plan at www.lscgrants.lsc.gov. (See upload instructions on page 8.)

LSC encourages applicants to develop and submit a comprehensive plan that addresses applicant’s current and planned uses of technology in all facets of its operations, including how the applicant is using and will use technology to innovate and improve its services. At a minimum, the technology plan should address the applicant's use of technology in the following areas: management of client and case data, intake (including online), telephone advice, case management, case supervision, document management, needs assessments, resource development, support for PAI activities, use of websites and other web-based resources, data security, and training. Applicants should consult the Technologies That Should Be in Place in a Legal Aid Office Today document when preparing their plans at <http://tig.lsc.gov/sites/default/files/TIG/pdfs/LSC-Technology-Baselines-2015.PDF>.

Additionally, applicants can review LSC's technology planning resources, including sample technology plans at www.lri.lsc.gov/program-administration/technology/planning.

A 2016 Technology Budget is also required. See the chart on page 5 for details.

Obtaining Technical Assistance

- Submit inquiries to techsupport@lsc.gov pertaining to technical issues, applicant passwords and primary email addresses, using the online application system, and uploading files.
- Submit inquiries regarding the grant renewal process to competition@lsc.gov.

- Contact Glenn Rawdon (grawdon@lsc.gov) or David Bonebrake (bonebraked@lsc.gov) for questions regarding the 2016 Technology Plan or the 2016 Technology Budget.
- Contact Reginald Haley at haley@lsc.gov if you do not receive a response from any one of the technical assistance sources listed above within 48 hours.