



Legal Services Corporation

Post-Program Quality Visit (Post-PQV) Request for Proposals for 2017 LSC Grants

This Request for Proposals is for applicants that:

- *are current LSC grantees;*
- *have had an LSC program quality visit (PQV) since January 1, 2014;*
- *have been notified that they will receive the final PQV report by July 1, 2016; and*
- *are the only applicant for the service area*

*Contact the LSC grants service desk
at lscgrants@lsc.gov if you have questions.*

Important Notice to Post-PQV Applicants

The Post-PQV Request for Proposals (RFP) is for applicants that received a program quality visit (PQV) since January 1, 2014. Applicants should respond to this RFP if they: 1) are current recipients of LSC funding; 2) have had an LSC program quality visit since January 1, 2014; 3) have been notified that they will receive the final PQV report by July 1, 2016; and 4) are the only applicant for the service area. LSC will notify applicants by email whether they are the only applicant for the service area. Applicants that meet these four criteria must submit a Post-PQV grant proposal. LSC will hold an “Applicant Informational Session” May 5, 2016, to assist applicants in preparing the Post-PQV grant proposal. (See page 7.)

Post-PQV applicants will not respond to the Standard RFP Inquiries, but will respond to a different set of inquiries instead. Instructions and details begin on page 18. All other aspects of the LSC grants process remain unaffected (i.e., Post-PQV applicants will submit the same attachments, forms, and data charts as applicants that are completing the standard grant proposal). LSC will evaluate the Post-PQV grant proposal based on the LSC Performance Criteria, ABA Standards for the Provision of Civil Legal Aid, and the LSC regulations (available at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>).

Send inquiries to lscgrants@lsc.gov regarding the Post-PQV RFP and the LSC grants process. Send inquiries to techsupport@lsc.gov pertaining to the website and other technical issues. Contact Reginald Haley at haley@lsc.gov if you do not receive a response from either service desk within 48 hours. Visit <http://www.grants.lsc.gov/grants-grantee-resources> regularly to remain current on the LSC grants process.

Please note the following:

1	Key Dates in the grants process – see page 7
2	List of applicants that are eligible to file the Post-PQV RFP – page 7
3	Information previously uploaded is now submitted as online forms (page 15) or RFP charts (page 23)
4	Applicants who file a grant application will also complete the Fiscal Grantee Funding Application (FGFA) using the online application at https://lscgrants.lsc.gov . See page 15 for more information.
5	Applicants applying to enter into subgrant agreements for 2017, as defined by 45 C.F.R. Part 1627, will provide subgrant data to LSC using the subgrant application at https://lscgrants.lsc.gov . See page 9 and 27 for more information.
6	Grantee Best Practices at http://www.lsc.gov/grants-grantee-resources/resources is an online library created to facilitate the sharing of innovative projects and “best-practice” resources with the legal services community. LSC provides an opportunity for applicants to contribute their “Best Practices” to LSC – see page 17
7	Assistance to applicants preparing grant proposals: <ul style="list-style-type: none"> a) LSC Grants Service Desk – lscgrants@lsc.gov b) Grantee Resources Best Practices – http://www.lsc.gov/grants-grantee-resources/resources c) LSC Performance Criteria – http://www.lsc.gov/media-center/publications/lsc-performance-criteria d) LSC Applicant Informational Session – http://www.lsc.gov/meetings-and-events/calendar/applicant-informational-webinar-post-program-quality-visit-application, and see page 7.

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More resources for preparing the Post-PQV grant proposal:

- **Grantee Guidance** – e.g., LSC Act, Regulations, Performance Criteria, Appropriations Acts, ABA Standards for the Provision of Civil Legal Aid, and more are at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>
- **Application Documents** – Instructions for the grant proposal are at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant>. *(Note: RFP forms must be submitted through the online system at <https://lscgrants.lsc.gov>)*
- **LSC Grants Notices** – e.g., Key Dates, the List of Service Areas with available grants and more are at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant/basic-field-grant-key-dates>

Applicant Informational Session Webinar registration is at <http://www.lsc.gov/meetings-and-events/calendar/applicant-informational-webinar-post-program-quality-visit-application>.

LEGAL SERVICES CORPORATION 2017 POST-PQV REQUEST FOR PROPOSALS – INSTRUCTIONS

Applicants should read these instructions, the most recent *final* PQV report, and the LSC Performance Criteria in their entirety before preparing the Post-PQV grant proposal. Applicants must demonstrate that they are or will be part of a delivery system that assures the availability of a full range of legal services in the service area for which they are applying, that they are capable of delivering high quality legal services, and that their legal services delivery strategies effectively and efficiently address the most pressing legal needs of eligible clients in the service area. This Post-PQV RFP contains the instructions and requirements for preparing the Post-PQV grant proposal. It also includes references to applicable laws and regulations. All successful applicants will be expected to be in strict compliance with these requirements.

OVERVIEW

LSC GRANTS

The Legal Services Corporation (LSC) is a private, non-profit corporation established by Congress in 1974 to provide funding for the provision of civil legal services to low-income persons. For calendar year 2017 grants, LSC will use the Post-PQV Request for Proposals (RFP) for certain applicants that received a program quality visit (PQV) since January 1, 2014. The grant proposal completed in response to this RFP is called a “Post-PQV grant proposal.” The Post-PQV RFP complies with the requirements of the LSC regulation on Competitive Bidding (45 C.F.R. Part 1634). It is intended to promote quality in legal services delivery and efficiency in the competitive bidding process.

The Post-PQV RFP requires applicants to complete four tasks:

- 1) respond to certain recommendations from the final LSC PQV reports (i.e., “Tier 1” recommendations);
- 2) inform LSC of significant changes or major developments in the delivery system (for each of the Performance Areas) since the PQV ended, and those anticipated during the grant year;
- 3) submit grant proposal attachments, which include but are not limited to the PAI Plan, Technology Plan, statistical charts (e.g., budget), and RFP charts (e.g., casehandling protocols); and
- 4) certify that the applicant will comply with applicable laws, regulations, rules and other requirements.

The primary difference between the Post-PQV RFP and the Standard RFP is that a Post-PQV applicant does not respond to the Standard RFP Inquiries to describe its delivery system, which is required in the Standard RFP. Instead, the narrative component of the Post-PQV grant proposal will comprise written responses to Tier 1 recommendations from the final PQV report and a discussion of significant changes or major developments in the delivery system since the PQV ended, and those that are anticipated during the grant year. LSC will review the Post-PQV grant proposal and the final PQV report. Together these two documents supplant the responses to the Standard RFP Inquiries.

As with the standard grant proposal, Post-PQV grant proposals are evaluated based on the LSC Act and regulations, the LSC Performance Criteria, the ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means, and the ABA Standards for the Provision of Civil Legal Aid. The LSC President will make funding decisions based on the findings from the evaluations. Grants awarded to Post-PQV applicants are for a maximum period of up to three years.

LSC proposes to award grants to programs in order to serve every county in the United States; the District of Columbia; the U.S. territories (including American Samoa, the Commonwealth of Puerto Rico, the U.S. Virgin

Islands and Guam); and an area that includes the Commonwealth of the Northern Mariana Islands, the Federated States of Micronesia, the Republic of the Marshall Islands, and the Republic of Palau. For 2017, Post-PQV grant proposals will be submitted for service areas representing approximately forty percent (40%) of these geographic locations. Consistent with the law and regulations, LSC will not grant any preference to current or previous recipients of LSC funds.

LSC will fund only those qualified attorneys, organizations and entities that will most effectively and efficiently provide high quality legal representation to eligible clients within a comprehensive, statewide integrated delivery system.

In the event that enactment of congressional legislation necessitates changes in the timing and/or content of this Post-PQV RFP, notice will be provided to the public and all applicants. In such circumstances, continued funding may be provided to the current recipient during any interim period necessitated by congressional actions.

LSC PERFORMANCE CRITERIA

The LSC Performance Criteria serve as the framework of LSC's quality initiative, a multi-pronged strategy aimed at ensuring that all LSC grantees provide high quality legal assistance and participate in a comprehensive and integrated delivery system that provides a full range of legal services to eligible clients. LSC will use the Performance Criteria to guide its evaluation of grant proposals and its funding determinations.

The final PQV report and Post-PQV RFP follow the format and structure of the Performance Criteria. An applicant's responses to the Post-PQV RFP, including responses to Tier 1 recommendations, together with the findings from the final LSC PQV report, must demonstrate:

- a reasoned and thorough assessment of the most pressing legal needs in the communities the applicant serves, a clear strategy for addressing those needs, and procedures for evaluating the efficiency and effectiveness of its advocacy and overall delivery system
- effective relations with the client population, procedures that ensure clients are treated with dignity and sensitivity, a delivery structure that maximizes the use of limited resources for legal services delivery, and an intake system that provides broad and timely access to services for eligible clients
- comprehensive legal work management systems and procedures that result in the delivery of high quality legal services and other services that benefit the low-income population, and active private attorney involvement
- effective leadership, strong internal operations, high quality administrative systems and procedures, and effective coordination with other service providers in the service area

Applicants that have not fully established these practices, systems, and procedures must demonstrate to LSC's satisfaction that they have the capacity to do so within the grant period.

LSC advises all applicants to be familiar with the Performance Criteria. The LSC Performance Criteria are at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

REQUESTS FOR INFORMATION

Applicants should direct all inquiries to the LSC grants service desk at lscgrants@lsc.gov.

KEY DATES

Notice of Intent to Compete Due Date	May 6, 2016 (5:00 p.m. E.D.T.)
Applicant Informational Session Conducted <i>To participate, register online at</i> http://www.lsc.gov/meetings-and-events/calendar/applicant-informational-webinar-post-program-quality-visit-application	May 5, 2016 (2:00 p.m. E.D.T.)
Post-PQV Grant Proposal Due Dates	June 13, 2016 (5:00 p.m. E.D.T.) <i>for applicants who have received a final PQV report by April 30, 2016</i> Aug. 8, 2016 (5:00 p.m. E.D.T.) <i>for applicants who have received a final PQV report after April 30 and by July 1, 2016</i>
Grant Decisions Published	December 2016

LIST OF APPLICANTS ELIGIBLE TO SUBMIT POST-PQV GRANT PROPOSALS

	State	Applicant Number	Applicant Name	Service Area Code(s)
1	AR	604061	Center for Arkansas Legal Services	AR-7
2	CA	705158	California Indian Legal Services, Inc.	CA-1, NCA-1
3	KY	618004	Legal Aid of the Bluegrass	KY-10
4	LA	619081	Southeast Louisiana Legal Services Corporation	LA-13
5	MI	723146	Michigan Indian Legal Services, Inc.	NMI-1
6	MI	423130	Legal Services of Northern Michigan, Inc.	MI-9
7	MN	524027	Legal Services of Northwest Minnesota Corporation	MN-4
8	ND	535007	Legal Services of North Dakota	ND-3; NND-3
9	NJ	331060	Essex-Newark Legal Services Project, Inc.	NJ-8
10	NY	233100	Legal Services NYC	NY-9
11	OH	436040	Legal Aid Society of Greater Cincinnati	OH-18
12	PR	253030	Community Law Office, Inc.	PR-2
13	TN	643030	Memphis Area Legal Services, Inc.	TN-4
14	TN	643061	West Tennessee Legal Services, Inc.	TN-7
15	VA	447061	Virginia Legal Aid Society, Inc.	VA-17
16	VA	447007	Legal Services of Northern Virginia, Inc.	VA-20
17	WI	550010	Legal Action of Wisconsin, Inc.	WI-5, MWI

Applicants that have not had a PQV since January 1, 2014 are required to file a grant proposal using the Standard Request for Proposals (FY 2017), available on the Application Documents page at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant>.

APPLICANT INFORMATIONAL SESSION

LSC will conduct an Applicant Informational Session Thursday, May 5, 2016 (2:00 p.m. E.D.T.) to respond to applicants' questions concerning the Post-PQV RFP. This is a free Webinar conference. It is designed to provide an understanding of the information needed to prepare the 2017 Post-PQV grant proposal. To register for the conference, go to <http://www.lsc.gov/meetings-and-events/calendar/applicant-informational-webinar-post-program-quality-visit-application>. Applicants will have an opportunity prior to and during the session to email questions to LSC for response.

ELIGIBILITY AND FUNDING**ELIGIBILITY**

Applicants eligible to submit a Post-PQV grant proposal must be current grantees, must have had a PQV since January 1, 2014; must have received a final PQV report by July 1, 2016; and must be the only applicant for the service area. LSC will notify applicants by email whether they are the only applicant for the service area and will therefore submit a Post-PQV grant proposal. Successful applicants must also comply with the Governing/Policy Body Requirement. See page [23](#) for more information.

As described in the Applicable Law and Grant Requirements section of this grant application, all applicants should review the provisions of the Legal Services Corporation Act (LSC Act), regulations, guidelines, and the 1996 LSC appropriations act and subsequent appropriations acts. These provisions contain restrictions on the activities of recipients of LSC funds. These materials are available at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

NOTICE OF INTENT TO COMPETE (NIC)

In order to submit a Post-PQV grant proposal, Post-PQV applicants must have filed a NIC with LSC by May 6, 2016.

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: a) the recipient's board is qualified to guide the recipient in its efforts to provide high quality legal services; b) the recipient is accountable to its clients; and c) the board reasonably reflects the diversity of the community and is sensitive to its needs.

The regulation (45 C.F.R. § 1607.3) requires that the composition of the board be at least one-third eligible clients appointed by appropriate client groups, and at least sixty-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)).

Applicants that do not have a board that complies with 45 C.F.R. § 1607.3 will be required to submit a plan, along with their grant proposal, to meet the requirement. Compliance with 45 C.F.R. § 1607.3 is determined based on filled board positions.

PRIVATE ATTORNEY INVOLVEMENT REQUIREMENT

Successful applicants (including private attorneys, groups of attorneys and law firms) for Basic Field-General funding will be required to comply with 45 C.F.R. Part 1614, which requires that an amount equal to at least 12½% of the annual LSC basic field-general award will be devoted by the applicant to the involvement of private attorneys, law students, law graduates, and other professionals in the delivery of legal services to the poor (see 45 C.F.R. § 1614.6(a)(2)). This requirement seeks to leverage limited resources by involving the bar, law students, law graduates, and other professionals through pro bono and compensated programs that generate additional services for eligible clients. Applicants are urged to review 45 C.F.R. Part 1614 in its entirety before responding to RFP inquiries on PAI contained in this RFP Narrative Instruction.

SUBGRANTS

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 funding, as well as each current and prospective subgrant of non-LSC funds if the subgrant involves PAI activities.

AWARD PERIOD

Grants awarded to Post-PQV applicants will be for periods of up to three years. Oversight on compliance with the terms of the grant, the LSC Act, regulations, guidelines, and instructions may be conducted during the grant period. Applicants awarded multi-year grants will be required to submit reports and a grant renewal application as part of the annual grant renewal process. In accordance with 45 C.F.R. Part 1618, LSC may impose sanctions or take other actions at any time during the grant term to enforce compliance with LSC requirements.

AVAILABILITY OF FUNDS

For purposes of completing the 2017 grant application, please use the funding amounts listed at http://www.lsc.gov/sites/default/files/attach/2015/12/2016_Grant_Award_Notice_and_Funding_Decisions_Chart.pdf. These amounts reflect the 2016 appropriation.

Please note that 2017 funding is subject to future Congressional action and there is no guarantee that the amount of funding listed will be available. The final 2017 grant awards will be based on the amounts, terms, and conditions contained in the FY 2017 appropriation.

Revised budgets and plans, based on the final 2017 appropriation, may be required from all successful applicants. LSC reserves the right to: 1) vary the amount awarded from the amount applied for; and 2) provide funding in graduated amounts to assist new recipients with start-up and transition.

SERVICE AREAS**SERVICE AREAS**

Post-PQV applicants should refer to the service areas identified in the List of Applicants Eligible to Submit Post-PQV Grant (see page 7). Post-PQV applicants may submit Post-PQV grant proposals for only those service areas for which they currently receive LSC funding. Post-PQV applicants must use the Standard Request for Proposals (FY 2017), available at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant>, for any additional service areas for which they wish to compete. LSC will not consider proposals to divide service areas into smaller units. Applicants must apply for the full amount of the grant funds available for the service area(s). If there are service areas for which no applicant applies or for which there is no qualified applicant, LSC has discretion to determine how legal services are to be provided

to the service area. The options include, but are not limited to, enlarging the service area of a neighboring recipient or entering into a short term grant or contract with another qualified provider for the provision of legal services in the service area until the completion of a grants award process within a reasonable period of time. (See 45 C.F.R. §§ 1634.8, 1634.9).

COMBINING SERVICE AREAS

If a successful applicant is awarded more than one service area, LSC may in its discretion, combine the service areas into a single service area.

FULL RANGE OF LEGAL SERVICES

LSC seeks to fund proposals to provide a full range of legal services throughout each service area, consistent with the restrictions of the LSC Act and the appropriations acts.

Where applicants plan to provide less than the full range of legal services to eligible clients in a service area, e.g., services limited to legal assistance in a single area of the law or a few areas of law such as housing, divorces, and bankruptcy, or proposals limited to a particular type of legal assistance such as advice, referral and brief service, the grant proposal will not be accepted, unless the applicant demonstrates to LSC's satisfaction, that it is or will be part of a delivery system that assures the availability of a full range of legal services in that service area. The grant proposal in its totality must meet this threshold requirement to be considered qualified.

The requirement to provide or assure the availability of a full range of legal services cannot rest on a mere assertion to do so. Applicant responses to the Post-PQV grant proposal together with the LSC final PQV report must affirmatively describe a collaborative arrangement with partners in the service area that develops and implements a delivery system that assures a full range of legal services. The applicant must also describe the capacity of the participants in the collaborative arrangement to address issues and case types not handled by the applicant.

APPLICABLE LAW AND GRANT REQUIREMENTS

Applicants should be thoroughly familiar with the provisions of the LSC Act, regulations and guidelines, and with the provisos contained in current and pending Congressional appropriations acts. Recipients will be required to comply with all requirements contained therein. As noted above, the terms and conditions of the RFP are subject to change, pending Congressional action on the FY 2017 appropriations and authorization bills.

APPLICABLE LAW

Grants made pursuant to this solicitation will be subject to the LSC Act of 1974, as amended and applicable appropriations acts, all lawful requirements of the rules and regulations, policies, guidelines, instructions, and other directives of LSC. Any amendments or other applicable laws adopted during the period of this grant shall also apply. The LSC Act, as amended, can be found at 42 U.S.C. § 2996; the implementing regulations can be found at 45 C.F.R. Part 1600, *et seq.* The LSC regulation on competitive bidding for grants and contracts can be found at 45 C.F.R. Part 1634. The LSC Appropriation Acts identify and incorporate, by reference, restrictions on recipients of LSC funds from 1996 to date.

The LSC Act of 1974 as amended and the LSC regulations are at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>. The LSC appropriations acts, policies, guidelines and other directives are also at this site. Applicants are encouraged to review these documents prior to submitting a Post-PQV grant proposal.

The legal requirements noted above are included by reference in the LSC Grant Assurances (Form C) for 2017. Applicants must certify that they will comply with the LSC Grant Assurances by signing and returning the LSC Certification Form (Form I) to LSC. Applicants should retain a copy of the Grant Assurances in their files, but should not return the Grant Assurances to LSC. Successful applicants may be required to sign additional special grant conditions.

LSC will fund only those applicants capable of delivering high quality legal services. Therefore, applicants will be evaluated according to the LSC Act and regulations, the LSC Performance Criteria, the ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means, and the ABA Standards for the Provision of Civil Legal Aid, except where the provisions of the Criteria and ABA Civil Standards conflict with applicable law or other funding restrictions. The LSC Performance Criteria and the ABA Standards are available from the Reference Materials page at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

LSC supports and encourages planning efforts that promote comprehensive, statewide-integrated delivery systems. The LSC Performance Criteria emphasize the value and importance of such coordination and planning. LSC Performance Criteria are available at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>. LSC considers formal arrangements, such as mergers and consolidations to be consistent with the principles of the grants process. However, certain actions by applicants, such as specific agreement among potential applicants, including current recipients, not to file a grant proposal for a particular service area or to assign who will file a grant proposal for particular service areas, may have implications under Federal and state antitrust laws. Applicants interested in pursuing voluntary mergers should consult antitrust counsel before taking actions or entering into agreement(s) that could be viewed as restraining competition.

GENERAL LSC REPORTING REQUIREMENTS

All recipients of LSC funds will be subject to compliance oversight for the period of the grant award. This will include, but will not be limited to, audits conducted according to the LSC Audit Guide for Recipients and Auditors and the Accounting Guide for LSC Recipients (2010 edition). LSC may require submission of periodic reports of program activity and financial status during the grant period. Additionally, the LSC Act authorizes LSC to require reports and other information from recipients to assure compliance with LSC regulations and other requirements. LSC reporting requirements are at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance/lsc-reporting-requirements>.

NONDISCRIMINATION

No person or entity shall be discriminated against in the awarding of these grants on the basis of race, gender, age, color, national origin, religion, disability, sexual orientation or any other basis prohibited by law. LSC policy requires the adoption of employment policies and procedures that meet the requirements of applicable laws prohibiting employment discrimination, and requires recipients to take affirmative action to ensure equal employment opportunity. LSC expects to fund those applicants whose employment policies and practices indicate an organizational value of diversity in employment.

FREEDOM OF INFORMATION ACT

The Freedom of Information Act and the associated LSC regulation may require the release of certain grant proposals or documents to the public. In general, during the grants process, LSC will not release any grant award grant documents that would cause competitive harm to an applicant. For specific guidance on the availability of information submitted by any applicant, both before and after grants are awarded, refer to LSC's Freedom of Information Act regulation, 45 C.F.R. Part 1602, and the Preamble to the Competitive Bidding for Grants and Contracts regulation, 45 C.F.R. Part 1634. The LSC Regulations are available at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

APPLICATION PROCESS AND INSTRUCTIONS

NOTICE OF INTENT TO COMPETE (NIC)

In order to submit a Post-PQV grant proposal, applicants must submit a NIC to LSC, by May 6, 2016.

APPLICATION SUBMISSION PROCEDURES

All grant documents are submitted electronically through the online application system at <https://lscgrants.lsc.gov/>. Once at the site, log in using your primary email address and password, click on the related “Application Submission” link to begin the application. See the Post-PQV Grant Proposal Components section on page 14 for more information about required grant documents. Do not submit copies of any documents that are not requested by LSC. Video and audio presentations will not be accepted.

GRANT ASSURANCES AND CERTIFICATION

The LSC Grant Assurances (Form C) delineate the rights and responsibilities of LSC and the recipient pursuant to the provisions of the grant. Applicants certify compliance with the grant assurances and other requirements using Form I. Form C and Form I will be available during the month of August 2016. **LSC will notify applicants of the specific date once that information is available.**

ACKNOWLEDGMENT OF RECEIPT

Applicants will receive an email acknowledging LSC receipt of grant documents after submitting the NIC, the Post-PQV grant proposal, and after submitting Form I. All emails pertaining to the grant including acknowledgments are sent to the applicant’s primary email address. For purposes of the grants process, the primary email address is the one entered in the LSC grants online application system login page at <https://lscgrants.lsc.gov/>.

NONCONFORMING SUBMISSIONS

Grant proposals determined to be substantially incomplete or nonconforming upon first submission will be rejected. For grant proposals determined to be substantially complete, but in need of minor amendment, LSC will notify the applicant of the need for amendment. Applicants will be given seven calendar days from their receipt of the notice to revise and deliver a conforming and complete grant proposal to LSC. Applicants who fail to complete and/or revise the grant proposal within the designated time period will be disqualified.

NOTICE OF INTENT TO WITHDRAW GRANT PROPOSAL

Applicants who wish to withdraw their grant proposal submission must notify LSC in writing as soon as possible. Include the applicant name and service area code(s) of the service area(s) for which the grant proposal is being withdrawn. The withdrawal notification must be signed by the applicant and dated. Once the notice is signed, convert it to PDF and email it to lscgrants@lsc.gov. No notice is required if a potential applicant has submitted a Notice of Intent to Compete but does not submit a completed grant proposal.

GRANT PROPOSAL REVIEW AND SELECTION PROCESS

GRANT PROPOSAL REVIEW

Proposals are reviewed pursuant to the procedures required by 45 C.F.R. Part 1634. In addition to the staff review, LSC reserves the right to have the proposal reviewed by an outside reviewer. LSC may undertake site visits with some or all applicants before making final grant decisions.

SELECTION CRITERIA

LSC evaluates each Post-PQV grant proposal according to the nine selection criteria contained in the [LSC regulation on competitive bidding for grants and contracts](#), 45 C.F.R. § 1634.9. As outlined in the guidance provided in the Preparing the Post-PQV Grant Proposal section beginning on page 18, each applicant must demonstrate its ability to meet the selection criteria listed below.

1. Whether applicant has a full understanding of the most pressing needs of the eligible clients in the area to be served. 45 C.F.R. § 1634.9(a)(1).
2. The quality, feasibility, and cost-effectiveness of the applicant's legal services delivery and delivery approach in relation to the LSC Performance Criteria and the ABA Standards for the Provision of Civil Legal Aid, as evidenced by, among other things, the applicant's experience with the delivery of the type of legal assistance contemplated under the proposal. 45 C.F.R. § 1634.9(a)(2).
3. Whether the applicant's governing or policy body meets or will meet all applicable requirements of the LSC Act, regulations, guidelines, instructions and any other requirements of law in accordance with a time schedule set out by LSC. 45 C.F.R. § 1634.9(a)(3).
4. The applicant's capacity to comply with all other applicable provisions of the LSC Act, rules, regulations, guidelines and instructions, as well as with ethical requirements and any other requirements imposed by law. Evidence of the applicant's capacity to comply with this criterion may include, among other things, the applicant's compliance experience with LSC or other funding sources or regulatory agencies, including, but not limited to, Federal or State agencies, bar associations or foundations, courts, IOLTA programs, and private foundations. 45 C.F.R. § 1634.9(a)(4).
5. The reputations of the applicant's principals and key staff. 45 C.F.R. § 1634.9(a)(5).
6. The applicant's knowledge of the various components of the legal services delivery system in the State and its willingness to coordinate with the various components as appropriate to assure the availability of a full range of legal services, including: (a) its capacity to cooperate with State and local bar associations, private attorneys and pro bono programs to increase the involvement of private attorneys in the delivery of legal assistance and the availability of pro bono legal services to eligible clients; and (b) its knowledge of and willingness to cooperate with other legal services providers, community groups, public interest organizations and human services providers in the service area. 45 C.F.R. § 1634.9(a)(6).
7. The applicant's capacity to develop and increase non-LSC resources. 45 C.F.R. § 1634.9(a)(7).
8. The applicant's capacity to assure continuity in client services and representation of eligible clients with pending matters. 45 C.F.R. § 1634.9(a)(8).
9. The applicant does not have known or potential conflicts of interest, institutional or otherwise, with the client community and demonstrates a capacity to protect against such conflicts. 45 C.F.R. § 1634.9(a)(9).

A primary consideration for LSC for all grant proposals is the use of limited LSC resources to produce high quality, effective and economical legal assistance that seeks to meet the most pressing legal needs of eligible clients. For guidance regarding this primary consideration, applicants are directed to the Reference Materials page at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>. Relevant documents include the:

- [LSC Performance Criteria](#)
- [ABA Standards for the Provision of Civil Legal Aid](#)
- [ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means](#)
- [LSC Act](#) and [regulations](#)

Grant proposal evaluations are based on the LSC Act, LSC Regulations, LSC Performance Criteria, and the ABA Standards, except where those provisions are in conflict with applicable law or other funding restrictions.

AWARD NOTIFICATION AND GRANT CONDITIONS

LSC may, at its discretion, conduct discussions and/or site visits with some or all applicants before making final grant decisions. Applicants may be subject to additional grant conditions as part of the final grant award. Final award decisions are made by the LSC President.

POST-PQV GRANT PROPOSAL COMPONENTS

A complete Post-PQV grant proposal consists of the forms and document uploads listed in the charts below. The charts identify the required document format where applicable. Applicants must submit all grant documents and forms to LSC at <https://lscgrants.lsc.gov/>. Limit the grant proposal to items specifically requested in this Post-PQV grant application instruction. No other materials will be accepted unless requested by LSC. Applicants may, however, be required to submit additional materials prior to the final award of grant funds.

GRANT PROPOSAL FORMS CHECKLIST

The checklist below identifies all of the forms that must be completed as part of the Post-PQV grant proposal.

All forms and instructions for preparing forms are available at <https://lscgrants.lsc.gov/>. To access and submit grant proposal forms, log into <https://lscgrants.lsc.gov/>, click on the “Submit Post-PQV Grant 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. Email any questions to the LSC Grants service desk at lscgrants@lsc.gov.

GRANT PROPOSAL FORM	DESCRIPTION
<input type="checkbox"/> Post-PQV Form and RFP Charts	<p>Applicants use this form to identify the status of each of the LSC Tier 1 recommendations, to respond to each recommendation, and to describe significant changes or major developments in the delivery system that have occurred since the PQV ended and those that are anticipated during the grant year. In conjunction with this, applicants will also use the Post-PQV Form to access the RFP Charts.</p> <p>Applicants will also respond to Supplementary Inquiries, describing the systems and procedures that ensure compliance and enforcement of LSC's requirements and regulations. In addition, applicants will respond to three inquiries that address whether and how it collects and assesses outcomes respectively.</p> <p>See page 18 for instructions about responding to the Tier 1 recommendations, and see page 21 for more information about accessing and using these forms, including the RFP Charts.</p> <p>LSC will assess applicant responses to: a) determine whether applicant demonstrates its ability to meet the Selection Criteria listed on page 132 and b) remain informed about significant changes and major developments in the delivery system.</p>
<input type="checkbox"/> Project and Subgrant Information	<p>Applicants will respond to inquiries regarding current and proposed subgrants.</p>
<input type="checkbox"/> Budget Forms D-12, D-14	<p>Budget forms collect projected 2017 revenue and expense information.</p>
<input type="checkbox"/> Form G-12	<p>Form G-12 captures projected expenditures for cases, other services, and supporting activities.</p>
<input type="checkbox"/> Forms F-1 and F-2	<p>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.</p> <p>Additionally, applicants that do not currently have a governing/policy body that complies with 45 C.F.R. Part 1607.3 must provide a plan to meet this requirement. See page 23 for more information about the plan.</p>
<input type="checkbox"/> Form D-13	<p>Form D-13 captures information regarding PAI (Private Attorney Involvement) expenses.</p>
<input type="checkbox"/> Form K	<p>Form K captures information about current office technology (hardware and software). <i>Form K is different from the Technology Plan.</i></p>

GRANT PROPOSAL FORM	DESCRIPTION
<input type="checkbox"/> Form D-15	<p>Form D-15 captures projected LSC and non-LSC expenses for carrying out applicant's Technology Plan.</p> <p>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.</p>
<input type="checkbox"/> Organizational Overview	<p>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 26 for more information about this form.</p>
<input type="checkbox"/> List of References	<p>Applicants must provide five professional references for its organization or, in the case of a new organization, provide references for its principals.</p>
<input type="checkbox"/> Conflicts of Interest	<p>Applicants must disclose any potential significant conflicts and should describe its capacity to protect against any such conflicts that may arise during the term of the grant or contract.</p>
<input type="checkbox"/> List of Disciplinary Complaints and Malpractice Lawsuits	<p>Applicants must list all professional disciplinary complaints, criminal convictions, civil contempt, and malpractice lawsuits and/or claims made against the applicant or any of its attorneys during the past thirty-six months, as well as all pending lawsuits and/or claims, regardless of the date of the lawsuit or the date the claim was initiated.</p>
<input type="checkbox"/> List of Performance Evaluations and Monitoring Reports	<p>Applicants must list the name of the report, the date of the report, and the name of the agency that prepared the report for all non-LSC evaluation and monitoring reports received within the past thirty-six months.</p>
<input type="checkbox"/> Fiscal Grantee Funding Application	<p>The Fiscal Grantee Application Form (FGAF) is being updated for the 2017 grants process and will be available on or around the middle of June at https://lscgrants.lsc.gov. <i>The specific date of the availability of the FGAF will be provided as we get closer to its publication date.</i></p>

DOCUMENT UPLOADS CHECKLIST

The checklist below identifies all of the documents that must be uploaded as part of the grant proposal.

To upload files, log into the online application system at <https://lscgrants.lsc.gov>, click on the "Submit Post-PQV Grant 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	RFP 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"/>	Resumes	Provide resumes of the Executive Director (CEO or functional equivalent), Governing/Policy Body Chair, Chief Financial Officer, Litigation Director, or other most senior attorney(s). For lawyers and law firms, provide the resumes of the partners, senior associates, and administrative managers who will be most involved in management or service delivery if a grant is awarded. <i>Submit all resumes as a single PDF file.</i>
<input type="checkbox"/>	Current Year PAI Plan	See page 25 for instructions regarding the PAI plan.
<input type="checkbox"/>	2017 Technology Budget Explanatory Notes	Applicants must provide an explanatory note for each budget line item 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"/>	2017 Technology Plan	See page 24 for instructions regarding the technology plan.
<input type="checkbox"/>	IRS Form 990	Upload a copy of applicant's complete 2015 Form 990 filed with IRS.
<input type="checkbox"/>	Certificate of Good Standing	Upload a current certificate of good standing issued by your state or territory.
<input type="checkbox"/>	Accounting Manual	Upload the most recent (Board approved) version of the program's Accounting Manual.
<input type="checkbox"/>	Current Budget Schedules	Upload a schedule showing actual revenue and expenses compared to budget with change in dollars and percent from the result of operations during the most recently completed audit year.
<input type="checkbox"/>	Current Fidelity Bond or Insurance Policy	Upload evidence of current fidelity bond coverage or current insurance policy in effect at time of application.
<input type="checkbox"/>	Performance evaluations and monitoring reports (PEM)	Submit one copy of all performance evaluation and monitoring reports, provided to applicant within the past thirty-six months, by non-LSC funders and other agencies.
<input type="checkbox"/>	Best Practice submission	See page 17 for instructions on providing information on best practices employed by your program. <i>Best practice submissions are optional.</i>
<input type="checkbox"/>	Certification Form (Form I)	See page 12 for instructions on providing the Certification Form. <i>This form is submitted in August.</i>

OPTIONAL BEST PRACTICES SUBMISSION

LSC's website at <http://www.lsc.gov/grants-grantee-resources/resources> contains an online library containing innovative delivery approaches, strategies and tools. There are materials on topics such as: case

management systems, intake, PAI, technology, and pro se. The best practices material also contains links to LSC and non-LSC funded civil legal services providers and other law-related organizations and institutions.

LSC is providing applicants an opportunity to join their colleagues in showcasing novel or particularly effective delivery strategies. Applicants may have two pages per service area to describe innovative techniques or ideas that promote collaborative partnerships and/or quality legal services to low-income people.

Title these pages “Best Practices.” Applicants may address any topic that promotes legal services delivery. Applicants are encouraged to visit the LSC website regularly for model concepts and “best practices” in legal services delivery.

A weight is not assigned to “Best Practices” materials submitted, nor will it impact grant award decisions. With the applicant’s permission, LSC may feature selected innovative techniques or ideas on our website..

PREPARING THE POST-PQV GRANT PROPOSAL

GENERAL GUIDELINES

Post-PQV applicants will not respond to the Standard RFP Inquiries. Instead, Post-PQV applicants will: 1) identify the status of the Tier 1 recommendations in the final PQV report using the drop-down menu provided and describe the actions taken or planned in response to each Tier 1 recommendation, and 2) describe significant changes or major developments in the delivery system since the PQV ended, and those that are anticipated during the grant year. The responses to these inquiries combined with the final PQV report supplant the standard grant proposal. Post-PQV applicant responses to these inquiries are entered into an online form, which is accessed at <https://lscgrants.lsc.gov>. Page 21 illustrates the online form applicants use to respond to these inquiries.

LSC will assess applicant responses to these inquiries to determine whether an applicant demonstrates its ability to meet the

Selection Criteria listed on page [13](#), and to provide efficient and effective high quality legal services. The information from the Post-PQV grant proposal, along with the findings from the final PQV report, will be used in determining funding decisions. An applicant's response to a single recommendation in most instances should not exceed one full type-written page; there may be responses that require less than a full page. Applicants are urged to prepare responses using their word processing application and paste that information into the online form. This approach makes available all the advantages of your word processing application in editing applicant responses.

Responses to recommendations are to be direct and to the point. Provide the detail necessary to notify LSC of the course of action(s) taken and the reason(s) for it. Where the recommendation is not being implemented, in whole or in part, it is in the applicant's interest to fully explain applicant's consideration of the recommendation and to demonstrate that efficient and effective high-quality services will be provided during the grant term.

Some recommendations ask grantees to "consider" a certain course of action rather than to take it. As a practical matter, recommendations should be answered the same way whether they are worded as instructions to implement a course of action or to consider it. A response to a recommendation to "consider" an action that was rejected upon consideration is only sufficient where it demonstrates that the course of action was considered and explains why it was not pursued.

RESPONDING TO TIER 1 RECOMMENDATIONS

The Post-PQV form requires applicants to use the drop-down menu provided to identify the status of each Tier 1 recommendation. In addition to identifying the status, applicants will use the text box provided to address the actions taken or planned in response to each Tier 1 recommendation.

Applicant's action to date: The LSC recommendation has been implemented.

In the event the recommendation has been fully implemented, applicant should select “has been implemented” from the drop-down menu provided. In the text box, applicant will describe what was done to make it clear that the recommendation was fully implemented. Information describing the impact of having implemented the recommendation and the anticipated outcomes is of interest to LSC and should be included except where the impact and outcomes are evident.

Applicant's action to date: The LSC recommendation is being implemented.

Where the recommendation is being implemented as suggested, applicant should select “is being implemented” from the drop-down menu provided. In the text box, Applicant will describe any aspect of the recommendation that has been completed, what aspect(s) remain to be completed, and why. To the extent necessary, include such details as: a timeline including the tasks to be completed, staff involved, the expected benefits and outcomes, etc.

Applicant's action to date: The LSC recommendation is being implemented in part or with certain modifications.

Where a recommendation is being implemented in part or with modifications, applicant should select “is being implemented in part or with modifications” from the drop-down menu provided. In the text box, applicant will describe the course of action the applicant has 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, or why full implementation is not possible or practical.

Applicant's action to date: The LSC recommendation is being considered.

Where the applicant is still considering how, whether, or to what extent to implement the recommendation, applicant should select “is being considered” from the drop-down menu provided. In the text box, Applicant will address the following in the response:

- what is under consideration and why?
- 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
- when the decision is expected to be made
- the key persons in the decision making process

Applicant's action to date: The LSC recommendation is not being implemented.

Where a recommendation is not being implemented, applicant should select “is not being implemented” from the drop-down menu provided. In the text box, it is important to explain, in detail, why that course of action is being taken. If the applicant agrees with the goals of the recommendation but does not have the resources to pursue it at this time, this conclusion should be supported with an explanation of the financial implication and the reason that following the recommendation is not possible or feasible at the present time. 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.

ADDRESSING SIGNIFICANT CHANGES OR MAJOR DEVELOPMENTS IN THE DELIVERY SYSTEM

Below, by performance area, are examples of types of significant changes or major developments to report in the Post-PQV grant proposal that have occurred since the PQV ended, or which are anticipated during the grant year. As noted above, this information, along with the findings from the final PQV report and responses to the Tier 1 recommendations, supplants the responses to the Standard RFP Inquiries and will be used in making funding decisions.

Applicants are required to address significant changes or major developments since the PQV ended, and those that are anticipated during the grant year for each of the four performance areas. If there have been no significant changes or major developments since the PQV ended, and none are anticipated during the grant year, state that in one sentence under the appropriate performance area. If there have been significant changes or major developments since the PQV ended, or changes or developments are anticipated during the grant year, provide a thorough discussion of that under the appropriate performance area. Where applicable, the applicant should discuss actions it has taken or plans to take in response to the significant change(s) or major development(s) in the delivery system. 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 the delivery system or corporate structure
- changes in senior management structure
- disasters and responses to disasters
- increase or decrease in non-LSC funding of 20% 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

WEIGHTING OF THE NARRATIVE

LSC assigns the following weights to the four performance areas:

- Performance Area One: 18%
- Performance Area Two: 20%
- Performance Area Three: 35%
- Performance Area Four: 27%

As noted earlier, the final PQV report along with the applicant's Post-PQV grant proposal are considered together for the purposes of the Post-PQV grant application process.

GRANT PROPOSALS FOR MULTIPLE SERVICE AREAS

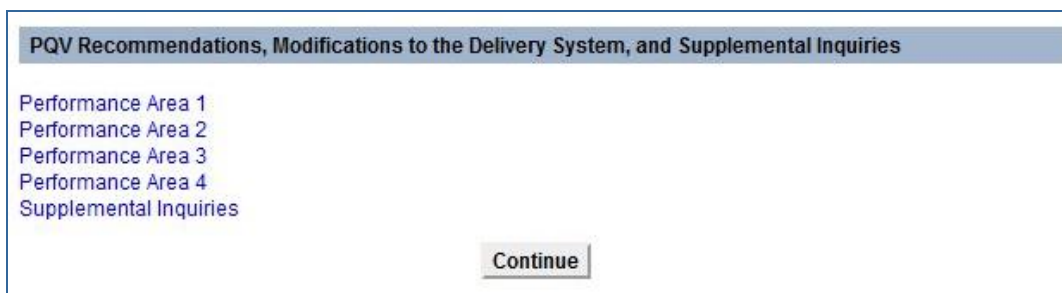
Applicants that currently receive LSC funding for multiple service areas will complete a separate Post-PQV grant proposal for each service area. Each service area's grant proposal will contain only those Tier 1 recommendations that are relevant to that service area.

As a reminder, Post-PQV applicants will file Post-PQV grant proposals only for the service areas for which they currently receive funding. See page 7 for a list of Post-PQV applicants and service areas. Post-PQV applicants must use "Standard RFP Narrative Instruction," available on the Application Documents page at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant> for any additional service areas for which they wish to compete.

ACCESSING AND USING THE POST-PQV FORMS

Once you have logged into the online system at <https://lscgrants.lsc.gov>, click on the "Post-PQV form and RFP Charts" link on the navigation bar on the left side of the screen.

The next screen will provide a link for each of the four Performance Areas, as well as for the Supplemental Inquiries.



The screenshot shows a web interface with a header bar that reads "PQV Recommendations, Modifications to the Delivery System, and Supplemental Inquiries". Below the header, there is a list of five links: "Performance Area 1", "Performance Area 2", "Performance Area 3", "Performance Area 4", and "Supplemental Inquiries". At the bottom of the list, there is a button labeled "Continue".

To begin responding to the Tier 1 Recommendations and RFP Charts, click on the link for any of the Performance Areas. The system will open the page for that Performance Area, and display all of the Tier 1 Recommendations and RFP Charts associated with that Performance Area.

Below, an example is shown for Performance Area One. Each Performance Area will have a comparable form with the Tier 1 Recommendations for that Performance Area. At the bottom of the form, links to the RFP Charts for this Performance Area will be provided.

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."

Status of Recommendation*

Applicant's response to the recommendation and supporting rationale*

Applicants use the drop-down menu to indicate the status of the Tier 1 recommendation. The choices are:

- Implemented
- Being implemented
- Being implemented in part or with certain modifications
- Being considered
- Not being implemented

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](#)

For the RFP Charts, a link is provided for each chart. In this example the Performance Area has four charts.

To respond to the RFP Chart, click on the link and the chart page will open. When finished responding to the RFP Chart, click on the "Save and Return to Performance Area" button at the bottom of the chart page and the system will redirect you back to the Performance Area page.

The full list of RFP Charts is below.

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
Performance Area Two	<ul style="list-style-type: none"> • Intake System Technology • Intake Methods: Relative Percent and Time Elapsed Before Receiving Service • 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

OTHER REQUIREMENTS

Note: No specific weight is assigned to any of the requirements in this part. These are threshold requirements in order to receive LSC funds. Failure to meet these requirements disqualifies an applicant.

GOVERNING/POLICY BODY

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)).

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 application. Those applicants will be required to respond to the following questions:

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

Relevant Form:	Form F – Governing/Policy Body Forms
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CAPACITY TO COMPLY WITH THE LSC ACT AND REGULATIONS

There is no narrative required for this section of the Request for Proposals. However, during the proposal review process, applicants may be requested to provide copies of:

1. IRS tax-exempt certification, if applicable
2. Current malpractice insurance information
3. Articles of Incorporation and Bylaws, partnership articles, or other governing documents

Do not submit IRS tax-exempt certification, malpractice insurance information, or articles of incorporation and bylaws with the grant application. Instead, Applicants must sign Form I (Certification Form), indicating that these documents are available to LSC upon request.

Relevant Form:	Form C – Grant Assurances Form Form I – Certification Form
Supplemental Documentation:	<ol style="list-style-type: none"> 1. IRS tax-exempt certification, if applicable 2. Current malpractice insurance information 3. Articles of Incorporation and Bylaws, partnership articles, or other governing documents

APPLICANT 2017 TECHNOLOGY PLAN INSTRUCTION

Upload applicant's Technology Plan for 2017 as a separate PDF file. Include the following information on the title page or header of the Technology Plan: applicant name, applicant number, and "2017 Technology Plan."

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 private attorneys, 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 <http://www.lsc.gov/grants-grantee-resources/grantee-data/grantee-technology>.

APPLICANT CURRENT YEAR PAI PLAN INSTRUCTION

Applicants are required to upload the current year PAI Plan as a separate PDF file. Applicants are encouraged to review 45 C.F.R. Part 1614 before developing their Private Attorney Involvement (PAI) plan. *The LSC regulation on private attorney involvement, 45 C.F.R. Part 1614, was revised effective November 2014.*

Pursuant to 45 C.F.R. § 1614.4(b) Applicants are required to present their PAI plans to all local bar associations and to summarize responses received.

Include the following information on the title page or header of the PAI plan: applicant name, applicant number, and “Year of PAI Plan.” Use form D-13 to prepare and submit the PAI Budget. See page 15 for more information about Post-PQV grant proposal forms.

At a minimum, applicant's PAI plan must address each of the requirements of 45 C.F.R. § 1614.4. 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 the current year PAI Plan (and supplement if necessary) as a single PDF file.

Pursuant to 45 C.F.R. § 1614.4, applicant's PAI Plan shall:

- a. Address 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. § 1614.4(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)).

OVERVIEW OF THE APPLICANT'S ORGANIZATION AND DELIVERY SYSTEM AND ORGANIZATION CHART

LSC requires each applicant to provide an overview of its organization and delivery system and a current copy of the program's 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. Applicants will upload the organization chart. Please see the upload instructions on page 16.

The overview is submitted as an online form. See page 14 for instructions on accessing the online form used to transmit this information. Instructions for preparing the overview are provided below and with the online form.

Consider the suggestions below in preparing the overview:

PREPARING THE OVERVIEW OF THE APPLICANT'S ORGANIZATION AND DELIVERY SYSTEM AND THE ORGANIZATION CHART

The overview is to contain: 1) a concise description of the geographical and cultural characteristics of the applicant's service area(s); 2) a description of the delivery system including the applicant's organizational structure, any subsidiary or affiliate organizations, and the scope of legal services provided; and 3) the delivery methods employed, and the 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 including, the titles of the management and executive positions responsible for those components, the number of staff positions in each component and any subsidiary or affiliate organizations. 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 applicant's legal service delivery system. 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 covers the entire service area. Applicants 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 applicant's organizational structure. Include a description of any subsidiaries or other affiliated corporate entities, their relationship to applicant, and their mission and function.

Describe the service delivery methods and distinctive characteristics of the applicant's organization. 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). This description should also include the most distinctive characteristics of the Applicant's organization.

SUBGRANTS

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.

Note: The submission of the “Project and Subgrant Information” form is not a substitute for preparing and submitting the subgrant agreement to LSC. As required by 45 C.F.R. Part 1627, all subgrants must be submitted for approval, at least 45 days prior to the agreement’s proposed start date. Applicants are encouraged to thoroughly review the LSC regulation on subgrants, 45 C.F.R. Part 1627. The LSC Regulations are available at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.