

2019 Standard

Grant Renewal Application for Basic Field Grant Funding

**Opens April 9, 2018**

**Closes June 4, 2018**

**Legal Services Corporation**

**2019 Standard Grant Renewal Instructions**



**This instruction is for current LSC grantees that have not had an LSC program quality visit since January 1, 2016. Contact the LSC grants service desk at** [**lscgrants@lsc.gov**](mailto:competition@lsc.gov) **if you have any questions regarding this matter.**



This document contains instructions for preparing the 2019 grant renewal application. You are required to submit a grant renewal application to receive 2019 funding if you received a three-year grant in calendar year 2017, or a two-year or three-year grant beginning in calendar year 2018. **Grant renewal applications are due June 4, 2018, 5:00 p.m. E.D.T.**

Table of Contents

[Instructions 2](#_Toc510782495)

[2019 Automated Grant Renewal Application. 2](#_Toc510782496)

[Preparing Responses to Grant Renewal Inquiries. 3](#_Toc510782497)

[Using the Automated Grant Renewal Application. 3](#_Toc510782498)

[2019 Grant Renewal Inquiries 3](#_Toc510782499)

[Client Success Stories 5](#_Toc510782500)

[Grant Renewal Forms – Access Instructions and Checklist 7](#_Toc510782501)

[Preparing the Overview of your Organization and Delivery System 8](#_Toc510782502)

[and the Organization Chart 8](#_Toc510782503)

[Governing/Policy Body Requirement 9](#_Toc510782504)

[Grant Renewal Uploads – Instructions and Checklist 9](#_Toc510782505)

[Preparing the Current Year PAI Plan 11](#_Toc510782506)

[Preparing the 2019 Technology Plan 11](#_Toc510782507)

[Obtaining Technical Assistance 12](#_Toc510782508)

[Freedom of Information Act 12](#_Toc510782509)

[2019 Grant Terms and Conditions 12](#_Toc510782510)

Instructions

The grant renewal application informs LSC about significant changes or major developments in your delivery system since the submission of your most recent grant award application.

## 2019 Automated Grant Renewal Application.

You will complete the grant renewal application online at <https://lscgrants.lsc.gov/> by entering responses to inquiries into the text boxes of the online application. You can download and print all components of your renewal submission as a single PDF file, including the renewal inquiries and your responses, and grant renewal forms.

## Preparing Responses to Grant Renewal Inquiries.

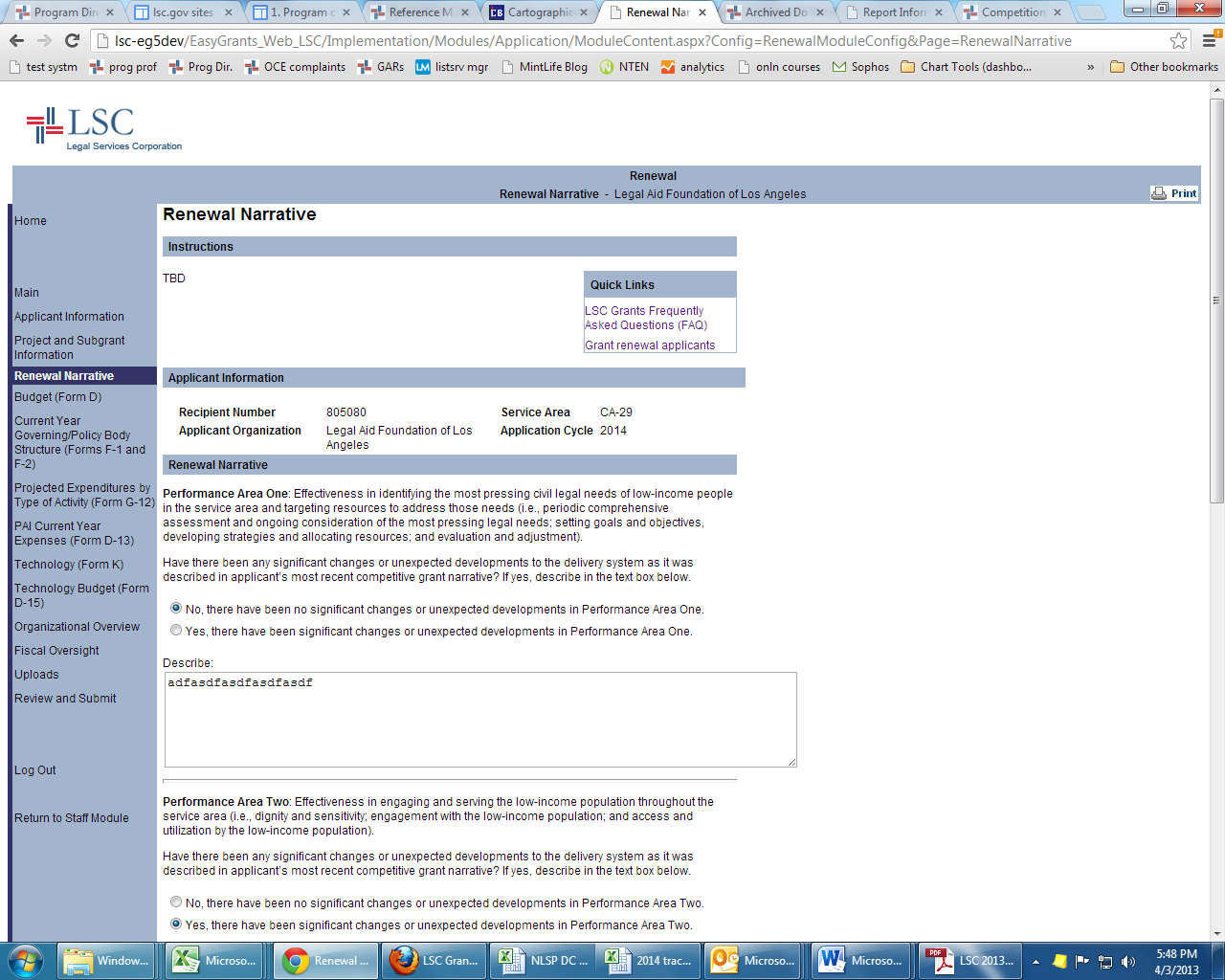
The grant renewal application follows the four performance areas of the LSC Performance Criteria. Review the delivery approach described in your most recent grant award application before completing the grant renewal application.

For each Performance Area, check “No” if there have been no major developments or significant changes to client services or the delivery system described in your most recent grant award application, and continue to the next inquiry. Check “Yes,” if there have been major developments or significant changes to the delivery system since your mostrecent grant award application, and explain those significant changes or major developments.

**Please use as a guide the examples of significant changes and major developments under each performance area in the grant renewal application.** The examples provided are not an exhaustive list. You should address all major developments and significant changes to the delivery system and those anticipated during the grant year.

## Using the Automated Grant Renewal Application.

To respond to the grant renewal inquiries, after logging into the online application system at <https://lscgrants.lsc.gov/>, click on the “Renewal Narrative” link on the navigation bar on the left side of the screen. This will open the renewal application, where you will enter responses to the renewal inquiries in an online form.



2019 Grant Renewal 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**

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area One.

❑ Yes, there have been significant changes or major developments in Performance Area One.

**Examples of significant changes and major developments for Performance Area One:**

* + identification and response to new emerging needs in the client community, e.g., the opioid crises
  + conduct or postpone a client needs assessment
  + change in program priorities
  + conduct or postpone strategic planning
  + changing your legal services delivery system from full service to provision of limited services only
  + shifts of 20% or more in resources allocated for cases, other services, or support activities

**Performance Area Two. Effectiveness in engaging and serving the low-income population throughout the service area**

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area Two.

❑ Yes, there have been significant changes or major developments in Performance Area Two.

**Examples of significant changes and major developments for Performance Area Two:**

* + opening or closing an office
  + change in intake process such as implementing centralized or coordinated intake, launching online intake or decrease/increase of intake hours of 20% or more
  + adoption of new Limited English Proficiency Plan
  + changing your legal services delivery system from a branch office delivery structure of three or more offices to one central office

**Performance Area Three. Effectiveness of legal representation and other program activities intended to benefit the low-income population in its service area**

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area Three.

❑ Yes, there have been significant changes or major developments in Performance Area Three.

**Examples of significant changes and major developments for Performance Area Three:**

* + increases or decreases in advocacy staff of 20% or more
  + changes in legal work management (e.g., implementation of practice groups, adoption of new case management protocols/standards, changes in supervisory structure)
  + implementation of new projects (e.g., veteran’s projects, foreclosure clinics, medical/legal projects, pro bono initiatives)
  + new developments in PAI activities (pro bono hotlines, clinics, collaborations with law firms, co-counseling)
  + changing your legal services delivery system from a staff model to a Judicare model

**Performance Area Four. Effectiveness of governance, leadership and administration**

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area Four.

❑ Yes, there have been significant changes or major developments in Performance Area Four.

**Examples of significant changes and major developments for Performance Area Four:**

* + a fundamental change to the delivery system described in your most recent grant application
  + a change to your corporate structure
  + changes in senior management structure
  + occurrence of natural 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)
  + new resource development strategies

Client Success Stories

All applicants are required to submit client success stories from the past calendar year. All client success stories must follow the example and use the template provided at the LSC Grants upload site.

* Your client success stories may be derived from your “accomplishments for clients” and from your “involvement with the justice and advocacy community.” However, all client success stories must follow the example and be in the format of the template provided.
* You are required to provide a minimum of two client success stories. However, if your service area covers more than one Congressional district, please include at least one client success story for each district.
* Please do not submit client stories for Agricultural Workers.
* You may supplement the client success stories with related photos or videos. (See the waiver notice included in the template for clients to release photos.) **Please note:**
* your client photo uploads cannot exceed 15 MB per image
* you must post any client story videos to a service such as YouTube and you must provide the link to the video in client stories template.
* Use the file naming conventions below for your client story submission(s).

Client Stories (#), or Client Photos (#a, b…)

[year and state]

[applicant number]

[service area]

[congressional district code]

Below is an example of the file names for a client story and a client photo from the CO1 congressional district of Colorado.

* Client Stories #1– 2017 Colorado – 706060 – CO-6 – CO1
* Client Photos *#1a* – 2017 Colorado – 706060 – CO-6 – CO1

If there is another client photo for the CO1 congressional district, the file name would be:

* Client Photos *#1b* – 2017 Colorado – 706060 – CO-6 – CO1

Client success stories will not impact grant renewal decisions. However, LSC may feature selected client success stories in meetings with members of Congress, on (its) our website, and in other published materials.

Please email LSC at [lscgrants@lsc.gov](mailto:lscgrants@lsc.gov) and [longw@lsc.gov](mailto:longw@lsc.gov), if you have questions regarding client success stories.

Grant Renewal Forms – Access Instructions and Checklist

Access all forms and instructions for preparing forms online at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/). To access and submit application forms, 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.

| **Application Form** | | **Description** |
| --- | --- | --- |
| ❑ | **Renewal Inquiries** | You will enter responses to the grant renewal inquiries and concisely explain any significant changes or major developments in your delivery system since the submission of the most recent grant award application. **Please provide explanations for only significant changes and major developments in your delivery system.** See page 3 for more information. |
| ❑ | **Project and Subgrant Information** | You are required to submit information concerning each current and prospective subgrant of LSC Basic Field funds, as well as each current and prospective subgrant of non-LSC funds if the subgrant involves PAI activities. |
| ❑ | **Budget Forms**  D-12, D-14 | Budget forms collect projected 2019 revenue and expense information. |
| ❑ | **Forms F-1 and F-2** | These formscapture 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:** If you do not currently have a governing or policy body that complies with 45 C.F.R. Part 1607.3 you must provide a plan to meet this requirement. |
| ❑ | **Form G-12** | Form G-12 captures projected expenditures for cases, other services, and supporting activities. |
| ❑ | **Form D-13** | Form D-13 captures information regarding Private Attorney Involvement expenses. |
| ❑ | **Form K** | Form K captures information about current office technology (hardware and software). |
| ❑ | **Form D-15** | Form D-15 captures projected LSC and non-LSC expenses for carrying out your 2019 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, you must provide an explanatory note for each line item in the technology budget that exceeds zero. Upload the explanatory notes as a separate document. |
| ❑ | **Organizational Overview** | The overview describes the geographical and cultural characteristics of your service area(s), the overall delivery system, the scope of legal services you provide, and the delivery methods and distinctive characteristics of your organization. |
| ❑ | **Accomplishments for Clients** | Describe your three most significant accomplishments for clients in cases or other services within the last twelve months. |
| ❑ | **Accomplishments for Clients through PAI** | Describe your three most significant accomplishments for clients in cases or other services through PAI within the last twelve months. |
| ❑ | **Involvement with Justice and Advocacy Community** | Describe your three most significant efforts, in the past twelve months, 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. |
| ❑ | **Accomplishments for Clients with Other Providers**  *(For applicant’s that provide limited services only)* | 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. |
| ❑ | **Outcomes Met for Previous Priorities** | Identify the extent to which outcomes planned were actually met. |
| ❑ | **Program Priorities** | Provide information about your board-approved priorities, goals, strategies and outcomes. |
| ❑ | **Fiscal Oversight and Internal Controls** | You must disclose whether you experienced fraud, misappropriation of funds, embezzlement, or theft within the last twenty-four months. |

## 

Preparing the Overview of your Organization and Delivery System

and the Organization Chart

Provide an overview of your organization and delivery system and a current copy of your organization chart. In the overview provide: 1) a concise description of the geographical and cultural characteristics of your service area(s); 2) a description of the delivery system including your 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 your organization. LSC may use excerpts from your overview in publications and presentations.

The overview is submitted as an online form. Instructions for preparing the overview are provided below and with the online form.

The organization chart should depict the components of your 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. You will upload the organization chart. See the upload instructions on page 9.

**Description of the geographical, demographic, and cultural characteristics of the service area.** This description should address whether your 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, 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 your legal service delivery system.**

Discuss whether you provide 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. Describe your organizational structure. Include a description of any subsidiaries or other affiliated corporate entities, their relationship to your program, and their mission and function.

If you do not provide a full range of service explain the methods employed to ensure that a full range of services is provided to the client population. Describe the legal services provided by the other major providers in the service area and identify how those services complement the services you provide. Discuss the most recent evaluation of the services provided by the other major providers, including any changes to the delivery system as a result of the evaluation. Identify any Memoranda of Understanding or other similar agreements, you have with major legal services providers in the service area.

**Describe the service delivery methods and distinctive characteristics of your organization.**

Discuss the service delivery method(s) employed (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 your organization.

Governing/Policy Body Requirement

You 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 your program in its efforts to provide high quality legal services and to ensure that you are accountable to your 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 your board or selected based on your 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. If you do not have a board that complies with 45 C.F.R. § 1607.3, you must submit a plan to meet the requirement along with your grant renewal application. Address the following in your plan:

1. In consideration of your 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

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

Grant Renewal Uploads – Instructions and Checklist

The file upload site allows you to upload a single file at each upload link.To upload files, log into the online application system at [https://lscgrants.lsc.gov/](http://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. Upload all documents as PDF files.

|  | **Upload Document** | **Reference/ Instruction** |
| --- | --- | --- |
| ❑ | Board-approved strategic plan | Upload your program’s most recent strategic plan approved by your board of directors. If you do not have a board-approved strategic plan, please upload a memorandum signed by the executive director stating that. Use “no strategic plan” for the file name of the memorandum. |
| ❑ | Needs assessment report submitted to board to determine priorities | Upload the most recent report from your client needs assessment that you submitted to your board to inform its decision on program priorities. If you did not provide a report to your board to inform the board’s decision of program priorities, please upload a memorandum signed by the executive director stating that. Use “no needs assessment report” for the file name of the memorandum. |
| ❑ | Leadership succession/transition plan | Upload your current board-approved leadership succession/transition plan. If you do not have a leadership succession/transition plan, please upload a memorandum signed by the executive director stating that. Use “no leadership succession plan” for the file name of the memorandum. |
| ❑ | Technology use policy | Upload your current board-approved technology use policy. If you do not have a technology use policy, please upload a memorandum signed by the executive director stating that. Use “no technology use policy” for the file name of the memorandum. |
| ❑ | Resource development plan | Upload your current board-approved resource development plan. If you do not have a current board-approved resource development plan, please upload a memorandum signed by the executive director stating that. Use “no resource development plan” for the file name of the memorandum. |
| ❑ | Client Success Stories | All applicants are required to submit client success stories from the past calendar year. All client success stories must follow the example and use the template provided at the LSC Grants upload site. See instructions and guidelines above on page 5 regarding client success stories. |
| ❑ | **Organizational Chart** | The organizational chart illustrates the components of your organization including affiliate and subsidiary organizations, the titles of the management and executive positions responsible for those components and the number of staff positions in each component. See page 8 for instructions. |
| ❑ | **2018 PAI Plan** | See page 11 for instructions regarding the PAI Plan. |
| ❑ | **2019 Technology Plan** | See page 11 for instructions regarding the Technology Plan. |
| ❑ | **2019 Technology Budget Explanatory Notes** | You 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.”  *IT Staffing Costs: $120,000 - A total of 1.5 FTE’s is required to manage and coordinate technology planning, acquisition, maintenance, and administration during the grant year.* |
| ❑ | **IRS Form 990** | Submit your 2017 990 Form filed with IRS |

Preparing the Current Year PAI Plan

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

Submit a copy of your 2018 PAI Plan and PAI budget along with your 2019 grant renewal application. Include the following information on the title page or header of the PAI Plan: applicant name, applicant number, and “2018 PAI Plan.”

Ata minimum, yourPAI 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 your current year PAI Plan (and supplement if necessary) as a single PDF file at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/).

**Pursuant to 45 C.F.R. § 1614.6, your PAI plan shall:**

1. Explain how your PAI project addresses the legal needs of eligible clients in your service area, consistent with your priorities. See 45 C.F.R. § 1614.6(a)(1).
2. Describe the opportunities available for private attorneys, law students, law graduates, or other professionals to participate in your legal services delivery, and, for each category, describe how you will involve them in your work. See 45 C.F.R. § 1614.6(a)(2). For example, will volunteers participate in full service representation, special projects, hotlines or provision of telephone advice, “live chat” or other online information or advice, pro se clinics, interpretation with LEP clients, community education, writing pamphlets, co-counseling or other major litigation activity, 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 will participate as pro bono, by contract for reduced fee, or Judicare.
3. Discuss how you consulted with the client community, law schools, business leaders, private attorneys, and bar associations in the service area to develop your PAI plan, and the results of those consultations. See 45 C.F.R. § 1614.6(a)(3).

Preparing the 2019 Technology Plan

Include the following information on the title page or header of the technology plan: applicant name, applicant number, and “2019 Technology Plan.” Upload the Technology Plan at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/).

In your technology plan address your current and planned uses of technology in all facets of your operations, including how you are using and will use technology to innovate and improve services. At a minimum, the technology plan should address your 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.

Review “Technologies That Should Be in Place in a Legal Aid Office Today” at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/tig> when preparing the plan.

Obtaining Technical Assistance

* Submit inquiries to [techsupport@lsc.gov](mailto:techsupport@lsc.gov) pertaining to technical issues, passwords and primary email addresses, using the online application system, and uploading files.
* Submit inquiries regarding the grant renewal process to [lscgrants@lsc.gov](mailto:competition@lsc.gov).
* Contact Glenn Rawdon ([grawdon@lsc.gov](mailto:grawdon@lsc.gov)) or David Bonebrake ([bonebraked@lsc.gov](mailto:bonebraked@lsc.gov)) for questions regarding the 2019 Technology Plan or the 2019 Technology Budget.
* Contact Reginald Haley at [haleyr@lsc.gov](mailto:haleyr@lsc.gov) if you do not receive a response from any one of the technical assistance sources listed above within 48 hours.

Freedom of Information Act

The Freedom of Information Act and the associated LSC regulation may require the release of certain grant applications or documents to the public. In general, during the grants process, LSC will not release any grant documents that would cause competitive harm to an applicant. For more information about the availability of information submitted by an applicant, please refer to LSC’s Freedom of Information Act regulation, [45 C.F.R. Part 1602](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&r=PART&n=pt45.4.1602), and the Preamble to the Competitive Bidding for Grants and Contracts Regulation, [45 C.F.R. Part 1634.](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML) LSC regulations are available at [http://www.lsc.gov/about-lsc/laws-regulationsguidance](http://www.lsc.gov/about-lsc/laws-regulations-guidance).

**2019 Grant Terms and Conditions**

If awarded a 2019 Basic Field Grant, you agree to the following terms and conditions, which will govern our relationship and your activities during the grant term:

1. **Grant Objective.** You will provide high-quality, economical, and effective civil legal services, consistent with applicable rules of professional conduct, the LSC Performance Criteria, ABA Standards for the Provision of Civil Legal Aid, and ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means.
2. **Approved Grant Activities.** You will use your Basic Field Grant funds to deliver civil legal services according to the proposed delivery system described in your grant application (and any renewal grant applications), as modified by LSC or these grant terms and conditions.
3. **Restricted Activities.** Our statutes and regulations restrict you from performing certain activities and from representing specific categories of clients with your LSC funds and, in some cases, your other funds, such as private grant funds, charitable donations, and public funds (generally, activities performed with non-LSC tribal funds are not restricted). You may not perform restricted activities as stated in [the LSC Act](http://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title42-section2996b&num=0&edition=prelim), [the conditions on LSC’s annual appropriation](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-appropriations-acts-committee-reports), and [LSC regulations](https://www.ecfr.gov/cgi-bin/text-idx?SID=bb04fadbf7b71a5cfc2067c9b5f3b338&mc=true&tpl=/ecfrbrowse/Title45/45chapterXVI.tpl).

The following chart summarizes the major restricted activities and the funds affected. It does not list all restricted activities or all exceptions to and nuances of each restriction, or how each one applies to different types of funding. It is intended to help you issue-spot so that you can contact LSC’s Office of Compliance and Enforcement (OCE) for more detailed information and technical assistance on the scope of and exceptions to restricted activities. We also maintain online [guidance materials](http://www.lsc.gov/grants-grantee-resources/grantee-guidance) to facilitate your compliance with the restrictions.

| **Restricted ActivitIES**  **subject to limitations and exceptions established by law** | **LSC Funds** | **Private Funds** | **Public Funds** |
| --- | --- | --- | --- |
| **Abortion Litigation**—No participation in any abortion litigation. [Pub. L. 104-134, Tit. V, §504(a)(14)](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-appropriations-acts-committee-reports) | X | X | X |
| **Abortion Non-Litigation**—No participation in non-litigation activities involving abortions except for some therapeutic situations (but not against providers with religious or moral objections). [42 U.S.C. § 2996f(b)(8)](http://uscode.house.gov/view.xhtml?req=(title:42%20section:2996f%20edition:prelim)%20OR%20(granuleid:USC-prelim-title42-section2996f)&f=treesort&edition=prelim&num=0&jumpTo=true) | X | X | *—* |
| **Assisted Suicide**—No assisted suicide or euthanasia activities. [45 C.F.R. Part 1643](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.44&r=PART&ty=HTML) | X | X | — |
| **Census**—No influencing the time and manner of a census. [45 C.F.R. Part 1632](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.33&r=PART&ty=HTML) | X | X | X |
| **Class Actions**—No participation in any class actions. [45 C.F.R. Part 1617](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1617&rgn=div5) | X | X | X |
| **Criminal Cases**—No criminal cases, except for in tribal courts or some court appointments. [45 C.F.R. Part 1613](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1613&rgn=div5) | X | X | — |
| **Demonstrations and Strikes**—No engaging in or encouragement of public demonstrations, picketing, boycotts, or strikes. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | X | — |
| **Desegregation of Public Schools**—No involvement in public-school desegregation proceedings. [42 U.S.C. § 2996f(b)(9)](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-act) | X | X | — |
| **Draft Registration or Desertion**—No involvement in proceedings involving selective service registration or desertion. [42 U.S.C. § 2996f(b)(9)](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-act) | X | X | — |
| **Elected Office**—Grantee attorneys may not run for partisan elected offices. [45 C.F.R. Part 1608](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.9&r=PART&ty=HTML) | X | X | X |
| **Evictions from Public Housing Involving Illegal Drugs**—No defense of persons charged with making, selling, or distributing illegal drugs in most public-housing evictions involving health and safety. [45 C.F.R. Part 1633](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1633&rgn=div5) | X | X | X |
| **Fee-Generating Cases**—No representation in fee-generating cases unless private lawyers are not available or the case meets one of the exceptions stated in [45 C.F.R. Part 1609](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.10&r=PART&ty=HTML). | X | X | — |
| ***Habeas Corpus***—No *habeas corpus* cases challenging criminal convictions. [45 C.F.R. Part 1615](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.16&r=PART&ty=HTML) | X | X | — |
| **Labor Training**—No trainings for labor or anti-labor activities, boycotts, strikes, demonstrations, or supporting activities. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | X | X |
| **Lobbying—General**—No lobbying of any government office, agency, or legislature and no lobbying regarding oversight of LSC or its recipients, subject to the statutory exceptions below—No lobbying training. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | X | X |
| **Lobbying—State and Local Funding**—A grantee may use non-LSC funds for lobbying on issues involving its own state or local funding. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | — | — |
| **Lobbying—Public Rulemaking and Government Requests**—A grantee may use non-LSC funds for responding to public rulemakings or to written requests from the government.  [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | — | — |
| **LSC Lawsuits**—No filing or pursuing a lawsuit against LSC. [Pub. L. 104-134, Tit. V, § 506](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-appropriations-acts-committee-reports#FY1996) | X | — | — |
| **Non-Citizens**—No representation of non-U.S. citizens unless specifically allowed by statute or regulation. [45 C.F.R. Part 1626](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=&r=PART&n=45y4.1.3.11.27). Major statutory exceptions include:   * permanent residency and limited other lawful statuses * victims of domestic violence, trafficking, and other abuses * special situations such as international child abduction and citizenship in certain Native American tribes or Pacific island nations. | X | X | X |
| **Organizing**—No organizing any association, federation, labor union, coalition, network, alliance, or similar entity. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | X | — |
| **Political Activities (Other Than Lobbying, Organizing or Training)**—No participation in political activities, election campaigns, ballot measures, initiatives or referendum, voter registration, or voter assistance. [45 C.F.R. Part 1608](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.9&r=PART&ty=HTML) | X | X | — |
| **Political Tests.** No political test for any decision or actions. [45 C.F.R. Part 1608](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.9&r=PART&ty=HTML) | X | X | X |
| **Political Training**—No trainings for or providing information about lobbying, political activities, advocacy for public policies, or supporting activities. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | X | X |
| **Prisoner Representation**—No civil litigation for prisoners. [45 C.F.R. Part 1637](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1637&rgn=div5) | X | X | X |
| **Prohibited Activities Support**—No communications or expenses associated with most of the restrictions. [Pub. L. 104-134, Tit. V, § 504(a)(6)](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-appropriations-acts-committee-reports#FY1996) | X | X | X |
| **Redistricting**—No involvement in any legislative, judicial, or elective redistricting. [45 C.F.R. Part 1632](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.33&r=PART&ty=HTML) | X | X | X |
| **Rioting and Illegal Activity**—No grantee employee may engage in or encourage rioting, civil disturbances, or violations of law, court injunctions, or professional rules for attorneys. [45 C.F.R. Part 1612](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1612&rgn=div5) | X | X | X |
| **Solicitation In-Person**—No representation of persons after giving them unsolicited, in-person advice to take legal action (or obtain a lawyer) for their specific legal problems. [45 C.F.R. Part 1638](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1638&rgn=div5) | X | X | X |
| **Welfare Reform**—No activities involving welfare reform other than cases for individual benefits or otherwise allowed uses of non-LSC funds for responding to government requests or public rulemakings. [45 C.F.R. Part 1639](http://www.ecfr.gov/cgi-bin/text-idx?SID=f1840eb4261a3dee42bf9bb2b56e94cc&mc=true&node=pt45.4.1639&rgn=div5) | X | X | X |

1. **Fundamental Changes to Approved Grant Activities.** You must notify the Office of Program Performance (OPP) in writing at least 30 days before implementing a *planned* fundamental change to your Approved Grant Activities; for an *unplanned* fundamental change, notify OPP immediately after implementing it. The written notice must 1) describe the proposed change and the reason for it; 2) assess the change’s impact on the grant objectives; 3) describe options for minimizing the impact; and 4) estimate the cost, if any. Examples of a “fundamental change” for this purpose include changing your approved legal services delivery system 1) from full service to provision of limited services only; 2) from a branch office delivery structure of three or more offices to one central office; or 3) from a staff model to a Judicare model. If you are unsure whether a proposed changed would be considered “fundamental,” please call LSC’s Office of Program Performance.
2. **Changes to Your Operations, Corporate Structure, or Grantee Status.** You must notify OPP in writing 60 days before merging or consolidating with another legal services provider; changing your entity status, name, or brand; or voluntarily terminating your Basic Field Grant.
3. **Grantee Reporting Requirements.** You must notify LSC (by emailing [granteeupdates@lsc.gov](mailto:granteeupdates@lsc.gov)) within 15 calendar days of taking the following actions:

* You decide to close or relocate any main or branch office;
* Your governing body chairperson resigns, retires, or is removed from service (including the new chairperson’s name, telephone number, and e-mail address);
* Your chief executive or financial officer resigns, retires, or is removed from service (including the new chief executive or financial officer’s name, telephone number, and e-mail address);
* You are insolvent, or are in danger of becoming insolvent within three months’ time;
* Your primary e-mail or website address (URL) changes; or
* You amend your charter, articles of incorporation, by-laws, or governing-body structure.

You must notify OCE, according to the respective regulatory processes and timeframes, whenever:

* You have been served with an attorneys’ fee claim that LSC may be required to pay (see [42 U.S.C. § 2996e(f)](http://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title42-section2996e&num=0&edition=prelim)). Please forward a copy of the corresponding attorneys’ fees petition;
* You wish to use LSC funds to purchase real property *or* to purchase or lease personal property of a certain current market price *or* to award a contract for services that exceeds $25,000 (see [45 C.F.R. Parts 1630](https://www.ecfr.gov/cgi-bin/text-idx?SID=38764ed615d1cca7a33140703a7e62df&mc=true&node=pt45.4.1630&rgn=div5) and 1631);
* A monetary judgment, settlement, sanction, penalty, or force majeure event will substantially impact your delivery of legal services; or
* Any of your key officials (e.g., officers and executive team members) or employees with control over grantee finances or financial management responsibilities, are charged with fraud, misappropriation, embezzlement, theft, or any similar offense, or are suspended, disciplined, or delicensed by a bar or other professional licensing organization.

You are also required [to annually and semiannually report](http://www.lsc.gov/grants-grantee-resources/grantee-guidance/lsc-reporting-requirements) certain data about your grant activities to LSC (e.g., [Grant Activity Reports (GAR)](http://www.lsc.gov/grant-activity-reports) and [Case Disclosure Reports](http://www.lsc.gov/sites/default/files/Grants/pdfs/prgltr5.pdf)).

Other OIG related reporting requirements can be found in paragraph 7 (relating to annual audits) and paragraph 16 (relating to fraud prevention).

Instructions on how to report this information to LSC are available at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance/lsc-reporting-requirements>.

1. **Governance and Programmatic Requirements.** To help you achieve your grant objective, you must comply with the following governance and programmatic requirements within 60 days of receiving your Basic Field Grant award:

| **Governance and Programmatic ReQuirements** |
| --- |
| **Incorporation**—You will be incorporated in the state where you provide legal services. [45 C.F.R. § 1607.3(a)](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1607&rgn=div5) |
| **Governing Body**—You will have a board of directors or other body with authority to govern your activities that reasonably reflects eligible clients’ interests and whose members are supportive of LSC’s mission and are knowledgeable of or interested in delivering high-quality legal services to the poor. Specifically, at least sixty percent of your governing body members must be attorneys. A majority of governing body members must be attorneys appointed by the governing body or bodies of the state, county, or municipal bar associations whose members represent a majority of attorneys practicing law in your service area. At least one-third of the governing body members must be client-eligible and appointed by diverse client and community groups of your choosing. Your governing body may appoint the remaining members or they may be selected pursuant to your bylaws or policies. [45 C.F.R. Part 1607](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1607&rgn=div5) |
| **Annual Audits—**You must annually arrange for an audit of your financial records in accordance with generally accepted government auditing standards and guidance promulgated by the LSC Office of the Inspector General (OIG), including the [Audit Guide for Recipients and Auditors](https://www.oig.lsc.gov/2-uncategorised/197-audit-guide-for-recipients-and-auditors-november-1996) and its [Compliance Supplement](https://www.oig.lsc.gov/images/pdfs/ipa_resources/April_2016_Compliance_Supplement.pdf). You must notify the OIG within 30 calendar days of changing your Independent Public Accountant (IPA). If you fail to conduct an OIG-compliant audit, LSC may impose sanctions, including withholding a percentage or suspending all of your funding until the audit is satisfactorily competed, imposing additional grant conditions, or requiring corrective actions. You may not charge any costs of non-compliant audits to your Basic Field Grant. |
| **Conflicts of Interest and Whistleblower Protection—**You must have (1) a written conflict of interest policy that covers both staff and board members, and (2) a written whistleblower policy that requires staff to report unlawful or unethical activity (i.e., violation of any law, policy, or regulation; abuse of authority; gross waste of funds; fraud; embezzlement; theft; improper destruction of records; or providing false information) and prohibits retaliation. Staff must have access to the policies and be trained on them. |
| **Purchasing Policy**—You must have a written purchasing policy that establishes (1) competition thresholds, (2) the bases for non-competitive purchases, (3) the level of documentation necessary to justify purchases, (4) certain internal controls (5) procedures to ensure quality and cost control in purchasing, and (6) procedures for identifying and preventing conflicts of interest in the purchasing process. 45 C.F.R. Part 1631 |
| **Records Management.** You should establish a Records Management Policy that includes a record retention and disposal schedule. You must retain the following types of records as follows:   * closed client files for at least five years or for the period of time set by federal, state, local, or professional ethics rules on record maintenance, whichever is longer; * all grant-related records during and after the grant term as prescribed by the Accounting Guide for LSC Recipients, Appendix II; and * original financial records and supporting documentation (or digital images of originals unless otherwise required by applicable law) sufficient for LSC to audit and determine whether the costs incurred and billed are reasonable, allowable and necessary under the terms of the grant, as prescribed by the Accounting Guide for LSC Recipients, Appendix II. |
| **Outside Practice of Law—**You must adopt a policy on outside practice of law by full-time attorneys that complies with the LSC Act, 45 C.F.R. Part 1604, and applicable rules of professional conduct. You may adopt additional restrictions as necessary to meet your professional obligation to clients. [45 C.F.R. Part 1604](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1604&rgn=div5) |
| **Client Financial Eligibility Screening**—Only individuals and groups that are financially eligible may receive legal assistance supported by your Basic Field Grant funds. You must adopt a policy establishing how you will screen perspective individual and group clients for financial eligibility. Financially eligible individuals are limited to households whose annual incomes do not exceed 125% of the Federal Poverty Guidelines amounts. Your policy must set reasonable asset ceilings for households. [45 C.F.R. Part 1611](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1611&rgn=div5) |
| **Client Citizenship Eligibility Screening**—Only individuals and groups that are US citizens and eligible non-citizens may receive legal assistance from you. This requirement applies to your Basic Field Grant funds, other LSC funds, and most non-LSC funds. You must adopt a policy establishing how you will screen perspective individual and group clients for citizenship eligibility. [45 C.F.R. Part 1626](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=&r=PART&n=45y4.1.3.11.27) and [45 C.F.R. Part 1610](https://www.ecfr.gov/cgi-bin/text-idx?SID=4e34e775b58503730ae2b956305a6b33&mc=true&node=pt45.4.1610&rgn=div5) |
| **Client Appeals**—You must adopt a policy for deciding when you will appeal trial court or tribunal cases funded by your Basic Field Grant award. The policy must discourage frivolous appeals and give appropriate consideration to resource allocation priorities, but it must not interfere with your attorneys’ professional responsibilities. [45 C.F.R. Part 1605](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1605&rgn=div5) |
| **Private Attorney Involvement (PAI)**—You must devote an amount equal to at least 12.5% of your Basic Field Grant award to involving private attorneys, law students, law graduates, and other professionals in your legal services program. [45 C.F.R. Part 1614](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1614&rgn=div5) |

1. **Statewide Website Obligations**. As an LSC grantee, you will work with other legal aid providers in your state to ensure that there is a statewide website that publishes a full range of relevant and up-to-date self-help materials, legal information, and referral resources on the most common issues facing client communities. If one exists, you must seek to participate on your state’s statewide-website committee, where you should work to ensure that (1) targeted outreach informing the client community of the website and how to use it is performed; (2) the website is periodically evaluated and updated for ease-of-use and accessibility compliance; and (3) the website has a disclaimer indicating that LSC-funded programs participate in the website consistent with LSC restrictions. If your statewide website uses either the LawHelp or Open Source template, you must ensure that the template’s original scope of functionality is maintained.
2. **Nondiscrimination in Hiring, Procurement, and Legal Services Delivery**. You will not discriminate against employees or applicants for employment, or any person seeking services from you or another program supported by any of your Basic Field Grant funds on the basis of race; color; religion or creed; sex (including pregnancy, childbirth, and related medical conditions); age (40 and older); national origin or ancestry; disability; citizenship status; sexual orientation; gender identity; genetic information; veteran status; or any applicable state or local protected classes. You will not contract or partner with individuals or entities whose practices have the effect of subjecting employees or qualified applicants for employment to unlawful discrimination. You must have, or will adopt shortly after receiving our Basic Field Grant, equal employment opportunity and sexual harassment policies that contain an effective discrimination complaint-processing system.
3. **Requests for Records**. During normal business hours and upon request, you must provide LSC, the LSC Office of Inspector General (LSC OIG), their respective agents, and other entities with oversight or investigative authority, e.g., the Government Accountability Office (GAO), (collectively “Authorized Entities”), with access to and copies of records to which they are legally entitled. You must provide records, responses to requests for records, and withholding or redaction information through the Authorized Entity’s specified process, including format and timelines. (LSC’s process is established in the [Access to Records Protocol.](http://www.lsc.gov/sites/default/files/LSC/pdfs/LSC-Access-Protocol-2015.pdf) The LSC OIG does *not* follow this protocol.) Nothing in these or other LSC grant terms and conditions limits the authority of any Authorized Entities to obtain these records or your obligation to provide them.
4. **Requests for Information**. During normal business hours and upon request, you must provide Authorized Entities with information to which they are legally entitled. When requested, you must also provide LSC with information about your program activities and finances (e.g., special grant conditions) and information needed to respond to congressional inquiries, to inform potential policy or administrative changes, or to make data-driven funding decisions (e.g., informal surveys, data requests, or questionnaires). You must provide all information (or withhold information, where legally entitled to do so), through the Authorized Entity’s specified process, including answering interrogatories, participating in meetings and interviews, and format and timelines.
5. **Oversight, Audits, and Investigations of Grantee Activities.** Authorized Entities may oversee, audit, monitor, or investigate your operations. You will cooperate with Authorized Entities during their programmatic, compliance, or other oversight evaluations, audits, monitoring, and investigations, and will timely and satisfactorily resolve any resulting findings, recommendations, significant deficiencies, material weaknesses, corrective actions, disallowed costs, fines, or penalties.
6. **No Discipline or Retaliation for Good-Faith Cooperation or Release of Records or Information**. You will not take or threaten to take any disciplinary other retaliatory action against any person who, in good faith and consistent with applicable laws and professional conduct rules, cooperates with or releases appropriate information or records to an Authorized Entity. You will notify your employees and volunteers of this policy in writing.
7. **Compliance with LSC Laws, Regulations, and Guidance**.You will comply with the [LSC Act of 1974, as amended](http://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title42-section2996b&num=0&edition=prelim); LSC regulations at [45 C.F.R. Part 1600](http://www.ecfr.gov/cgi-bin/text-idx?gp=&SID=ebfcd4356db205bc37853bba6715ff39&mc=true&tpl=/ecfrbrowse/Title45/45chapterXVI.tpl), et seq.; [LSC’s applicable appropriations acts](http://www.lsc.gov/about-lsc/laws-regulations-guidance/lsc-appropriations-acts-committee-reports); and any other applicable laws, rules, regulations, policies, guidelines, instructions, or other directives from LSC, both procedural and substantive, including:

* [LSC Audit Guide for Recipients and Auditors](https://www.oig.lsc.gov/aud/audguide/agmenu.htm),
* [The Accounting Guide for LSC Recipients (2010 edition)](http://www.lsc.gov/grants-grantee-resources/grantee-guidance), and
* [The CSR Handbook (Rev. 2017)](http://www.lsc.gov/grants-grantee-resources/grantee-guidance/reporting-requirements/case-service-reporting).

You will also comply with any new or amended LSC laws, regulations, or guidance that become effective before or during the grant term. LSC provides a number of [statutory and regulatory compliance guidance materials](http://www.lsc.gov/grants-grantee-resources/grantee-guidance) for your reference, and you are always encouraged to contact us with compliance questions or requests for technical assistance.

1. **Compliance with Federal Laws on the Proper Use of Federal Funds** ([45 C.F.R Part 1640](https://www.ecfr.gov/cgi-bin/text-idx?SID=bb04fadbf7b71a5cfc2067c9b5f3b338&mc=true&node=pt45.4.1640&rgn=div5)).Your LSC grant funds are federal funds for purposes of [federal laws relating to the proper use of federal funds](https://www.ecfr.gov/cgi-bin/text-idx?SID=bb04fadbf7b71a5cfc2067c9b5f3b338&mc=true&node=pt45.4.1640&rgn=div5). If you, your employees, or board members violate any of [those federal laws](https://www.lsc.gov/45-cfr-part-1640-applicable-federal-laws), LSC may immediately terminate your grant as authorized by [45 C.F.R. § 1640.4](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1640&rgn=div5). You certify that you have informed your employees and board members about these laws and the individual and organizational consequences of violating them.
2. **Fraud Prevention Obligations and Procedures**. You must notify the LSC OIG Hotline (800-678-8868, 202-295-1670, or [hotline@oig.lsc.gov](mailto:hotline@oig.lsc.gov)) within 2 business days of

* discovering information indicating that you have been the victim of a loss of $200 or more as a result of any willful misrepresentation or theft, fraud, misappropriation, embezzlement, or theft involving property, client funds, LSC funds, and/or non-LSC funds used for the provision of legal assistance;
* reporting a crime to local, state, or federal law enforcement officials;
* discovering that you have been the victim of a theft of items such as credit cards, check stock, passwords, or electronic access codes that could lead to a loss of $200 or more; or
* that any of your key officials or employees with control over your finances are charged with fraud, misappropriation, embezzlement, theft, or any similar offense, or are suspended or disciplined by a professional licensing organization.

You must notify OIG regardless of whether the funds are recovered. Once you determine that a reportable event has occurred, contact the OIG *before* initiating your own investigation into the matter.

1. **Cost Standards and Procedures** ([45 C.F.R. Part 1630](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1630&rgn=div5)). All costs charged to an LSC grant, including your Basic Field Grant, must have been incurred while executing the grant, must be reasonable and necessary to the grant, and must be adequately and contemporaneously documented in your business records. Costs that do not comply with our cost standards may be questioned and disallowed as provided at LSC regulations at Part 1630.
2. **Carryover Funds** ([45 C.F.R. Part 1628](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1628&rgn=div5)). All LSC-related derivative income is subject to LSC’s cost standards at Part 1630. If you want to carry over 10% or more of your LSC funds from one grant year to another, you must request a fund balance waiver from OCE according to the regulatory process and timelines established in [45 C.F.R. Part 1628](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1628&rgn=div5).
3. **Grant Term and Renewal**. LSC awards Basic Field Grants for up to a 3-year term. You may be required to agree to special grant conditions as a condition of receiving a Basic Field Grant. Multi-year grants must be renewed each year. Upon renewal, additional terms and conditions may apply.
4. **Termination, Limited Reduction of Funding, and Debarment Procedures** ([45 C.F.R. Parts 1606](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1606&rgn=div5) and 1630 (Subpart D); [Program Letter 15-3—Enforcement Mechanisms](http://www.lsc.gov/sites/default/files/Grants/pdfs/Prog_Ltr_15-3.pdf)). LSC may terminate your Basic Field Grant in whole or in part if you substantially violate these terms and conditions or substantially fail to provide high quality, economical, and effective legal assistance. If a substantial violation does not warrant termination, LSC may reduce your funding by less than 5%. For good cause shown, LSC may also debar you from receiving future Basic Field Grants.

If LSC terminates your Basic Field Grant for any reason, you must submit to OPP, within 15 calendar days of being notified of the termination, a plan for the orderly close-out of the grant. Detailed instructions for preparing this plan are available at <http://www.lsc.gov/orderly-conclusion-role-responsibilities-recipient-lsc-funds>. This must include a transition plan that, at a minimum, demonstrates how client services will be delivered during the transition period. LSC must approve the close-out and transition plan and may oversee its implementation.

When circumstances require and LSC requests one, you must also submit a Successor in Interest Agreement to LSC for approval. While awaiting approval for the close-out plan and successor agreement, if applicable, you may not transfer your LSC-funded property, capital, or assets, to another entity without preapproval from LSC and must maintain your client and financial records until a successor is in place.

If you anticipate terminating your Basic Field Grant at the end of the grant term or during the grant term for any reason, you must provide the LSC Office of Program Performance (OPP) with written notice at least 60 calendar days before the anticipated grant termination date. You must include a plan for the orderly close-out of the grant and transition of client services as described above with your notice.

You will also work collaboratively with LSC and other relevant stakeholders to ensure a smooth transition between legal service providers and minimal disruption to current and potential clients in your service area.

1. **Legal Relationship**. Our legal relationship is strictly that of grantor-grantee. These and other LSC grant terms and conditions do not create any other affiliation, partnership, joint venture, employment, or agency between us for any purpose. Except as otherwise provided in these or other LSC grant terms and conditions, you have no authority (and will not hold yourself out as having authority) to bind LSC and will not make any agreements or representations on LSC’s behalf.
2. **Use of LSC Logo.** LSC’s logos are registered service marks. As long as you are an LSC grantee, you have a limited license to use our logos according to our size, format, and color instructions, for the following purposes:

* You *must* use our logos on your annual report, press releases, official letterhead, and any Internet website that serves as a “homepage” for you.
* You *may* use the logo on other official documents such as business cards, newsletters, telephone directory listings, or other advertisements or announcements about your LSC-funded services.
* All other uses are prohibited, unless expressly authorized by LSC in writing.

You may download LSC’s official logos at <http://www.lsc.gov/media-center/galleries-multimedia/gallery/media-assets>.

1. **Intellectual Property Rights** (45 C.F.R. Part 1631). You own all Work Products that you develop or improve using LSC funds, unless you have an agreement with a third-party vendor establishing otherwise. Work Products for purposes of this provision include all writings, technology, inventions, discoveries, processes, techniques, methods, ideas, concepts, research, proposals, products, and materials that you develop or improve using LSC funds. Regardless of who owns the Work Products, you and LSC have a royalty-free, nonexclusive, and irrevocable license to use, reproduce, distribute, publish, and prepare derivative works of the LSC funded Work Products, including making those works available to other LSC grantees and access to justice partners.

You own any preexisting Work Products developed or improved using non-LSC funds, unless you have an agreement with a third-party vendor establishing otherwise, and our license does not apply to those preexisting works.

You must have a written contract with third-party vendors who develop or improve LSC-funded Work Products. The contract must include a provision disclosing your and LSC’s royalty-free, nonexclusive, and irrevocable license and prohibiting third-party vendors from denying its existence, challenging its legality, or interfering with LSC’s full exercise of it.

This provision does not prevent a developer or vendor from charging costs related to the use of the Work Products, such as implementation, integration, and on-going use (e.g., hosting and maintenance) costs.

1. **No Obligation to Fund.** LSC has no obligation to fund your grant award. The amount of your award depends on LSC’s congressional appropriations. Congress may reduce, rescind, sequester, or terminate LSC’s grant funds, or impose additional requirements or restrictions on their use, at any time. Accordingly, the amount of your grant award may change or be subject to additional congressional requirements or restrictions during the grant term. LSC will not be considered in breach of its obligations under these or other LSC grant terms and conditions (e.g., TIG and PBIF Grant Terms and Conditions) if congressional action or inaction changes the amount of, requirements for, or restrictions on your grant award, nor will you be entitled to due process under LSC regulations at [Parts 1606](https://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1606&rgn=div5) (procedures for terminating a grantee) or [1623](https://www.ecfr.gov/cgi-bin/text-idx?SID=49ac41f78f2cbb0d25fe70a8a673af39&mc=true&node=pt45.4.1623&rgn=div5) (procedures for suspending a grantee) before these types of changes take effect.
2. **Governing Law, Mandatory Mediation, and Venue.** These and other LSC grant terms and conditions (e.g., TIG and PBIF Grant Terms and Conditions) will be governed, construed, and enforced according to the laws of the District of Columbia, excluding its conflict of laws rules. Any disputes arising from these or other LSC grant terms and conditions or relating to your LSC-funded activities will be exclusively resolved in the federal and local courts of competent jurisdiction located in the District of Columbia. You agree to waive objection to personal jurisdiction in those courts. Before litigating any dispute, we will mediate our dispute, in good faith, with the assistance of the [Federal Mediation and Conciliation Service (FMCS)](https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0ahUKEwjfgJmR3p_UAhUjwYMKHSLmBiYQFggpMAA&url=https%3A%2F%2Fwww.fmcs.gov%2F&usg=AFQjCNEvFZomzfa6uH3tBh-C49mTJpQRMQ&sig2=3X9msbBgggUzoqFkBt14LA), a free, government-sponsored, dispute resolution service headquartered in the District of Columbia.
3. **Assignment**. You may not transfer or assign any LSC grant, income derived from an LSC grant, any real or personal property funded in whole or in part with an LSC grant, or any of your rights or obligations under these or other LSC grant terms and conditions without obtaining LSC’s advance written consent, including submission and approval of a Successor in Interest Agreement, when applicable.
4. **Indemnification**. You will indemnify, hold harmless, and defend LSC and its officers, directors, employees, agents, and assignees against any and all losses, damages, liabilities, deficiencies, claims, actions, judgments, settlements, interest, awards, penalties, fines, costs, or expenses, including reasonable attorneys' fees, that LSC incurs as a result of a third-party claim alleging that:

* you breached these or other LSC grant terms and conditions;
* you acted negligently, grossly negligently, intentionally, or failed to act when you had a duty to do so, while performing your obligations under these or other LSC grant terms and conditions;
* your negligent, grossly negligent, or intentional acts or omissions while performing your obligations under these or other LSC grant terms and conditions caused bodily injury, death, or damage to real or tangible personal property; or
* you failed to comply with any applicable federal, state, or local laws, regulations or codes while performing your obligations under these or other LSC grant terms and conditions.

1. **Amendments and Waiver.** LSC may amend or waive any of these or other LSC grant terms and conditions, as circumstances may require. To be effective, an amendment or waiver must be in writing and delivered to you.
2. **Conflicting Terms.** If there is a conflict between these or other LSC grant terms and conditions and any provision of the LSC Act, LSC appropriations, or LSC regulations, then your grant will be governed by the applicable provision of the LSC Act, LSC appropriations, and/or LSC regulations, consistent with the Severability section below.
3. **Entire Agreement**. These Terms and Conditions constitute our entire agreement with respect to your 2019 Basic Field Grant, and supersede all previous agreements, oral or written, relating to your 2019 Basic Field Grant.
4. **Severability.** The invalidity of any provision of these or other LSC grant terms and conditions will in no way affect the validity of any other provision. If any provision of these or other LSC grant terms and conditions cannot be legally enforced to its fullest extent, then such provision will be enforceable to the maximum extent permitted by law, and we consent and agree that such provision may be judicially modified accordingly in any proceeding brought to enforce such provision.

**LSC Certification Form**

All applicants must complete this certification. This certification requires the signatures of the applicant’s Executive Director/Chief Executive Officer and the Governing/Policy Body Chairperson. Once signed, please convert this document to a PDF file and upload it with the application at [www.lscgrants.lsc.gov](http://www.lscgrants.lsc.gov).

**Please complete and upload this certification form with the 2019 grant application.**

**APPLICANT NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**APPLICANT NUMBER: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

By signing this certification form, you certify the following:

1. That the statements made in your grant application are true and correct.
2. That you have the legal authority to apply for and receive a grant from LSC. You certify that the signatories have been authorized to bind your organization applying for this grant.
3. That you will comply with the Grant Terms and Conditions if awarded an LSC grant. You certify that you will maintain a copy of your grant application, additional materials submitted, the Terms and Conditions, and signed Certification Form and make these materials available to LSC upon request.
4. That you have not been convicted of any felony criminal violations of any federal law within the preceding 24 months.
5. That you do not have any unpaid federal tax liabilities that have been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that are not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.
6. That, to the best of your knowledge and belief, you:

* have filed all federal tax returns required during the three years preceding this certification, and
* have not been convicted of a criminal offense under the Internal Revenue Code of 1986, and
* have not, more than ninety days prior to certification, been notified of any unpaid federal tax assessment for which the liability remains unsatisfied, unless:
  + the assessment is the subject of an installment agreement or offer in compromise that has been approved by the Internal Revenue Service and is not in default, or
  + the assessment is the subject of a non-frivolous administrative or judicial proceeding.

You understand and agree that, if this certification is made falsely, or if you fail to comply in any material respects with the terms and conditions or any applicable law or regulation, you and/or the signatories may be subject to civil and/or criminal penalties under federal law (see [45 C.F.R. Part 1640](http://www.ecfr.gov/cgi-bin/text-idx?SID=ebfcd4356db205bc37853bba6715ff39&mc=true&node=pt45.4.1640&rgn=div5)).

You understand and agree that if the application is approved, this certification is made as a condition of receiving the grant.

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| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name of Executive Director/Chief Executive | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name of Governing Body Chair (or other organization official authorizing this application) |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Title | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Title |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Signature |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Date |