# Applicant Informational Session for 2020 Standard Grant Applicants

**April 24, 2019**

2:00pm EST

# Before We Get Started

- You can download this presentation at www.lsc.gov under "Applicant Information Session"

- Who should attend the webinar

- A quick overview of reminders:
    - Send questions at anytime to AISitems@lsc.gov
    - Presentation will be recorded and available
    - Complete presentation survey

# Objectives

- Identify major changes to LSC Regulations and Grant Terms and Conditions
- Understand the Basic Field Grant application process through knowledge checks
- Effectively respond to the RFP
    - Learn the fundamentals of each Performance Area, Fiscal Application and Subgrants
    - Navigate LSCgrants.gov
- Have time for Questions and Answers

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# LSC Statutes, Regulations, and Grant Terms

# LSC Regulations

- **Where can you find them?**
  - LSC website under the “Laws, Regulations & Guidance”


- Find a summary of the **major restrictions** here:
- Find the 2020 Basic Field **Grant Terms and Conditions** here:
- Find information on **Lobbying and Political Activity Restrictions** here:
- Find information on **Private Attorney Involvement** here:

# LSC Statues, Regulations and Grant Terms and Conditions
# **Changes**

**LSC has recently revised some of the regulations:**

- Part 1607—Governing bodies
    - Changes in 2019 to the client-eligible board member requirements

- Part 1627—Subgrants
    - Changes in 2017 to the subgrant requirements

- Parts 1630 and 1631 regarding cost standards and purchasing and property management
    - Changes in 2017 to update the cost standards
    - Changes in 2017 to add Part 1631 to replace the Property Acquisition and Management Manual

****In 2019, LSC will begin rulemaking to update Part 1610 (use of non-LSC funds) to improve clarity in the rule.***

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# Understanding the Basic Field Grant Application Process

# Eligible Applicants

- Current recipients
- Other non-profit organizations that have as a purpose the furnishing of legal assistance to eligible clients
- Private attorneys, groups of attorneys or law firms
- State or local governments
- Sub-state regional planning and coordination agencies

# Grant Award Process

- Encourage the effective and economical delivery of high quality legal services to eligible clients;
- Provide opportunities for qualified attorneys and entities to compete for grants to deliver legal services to eligible clients;
- Encourage ongoing improvement of performance by recipients in providing legal services to eligible clients;
- Preserve local control over resource allocation and program priorities; and
- Minimize disruptions in the delivery of legal services to eligible clients within a service area during a transition to a new provider.

See 45 C.F.R. § 1634.1

# LSC Selection & Performance Criteria

*45 C.F.R. §1634.9*

**Grant Decisions are based on selection criteria in LSC Regulations**

- Knowledge of civil legal needs
- Legal services delivery model
- Board of director's compliance with LSC Act and regulations
- Knowledge of and cooperation with legal services community in area
- Resource Development
- Programmatic quality
- Appropriate fiscal oversight
- Regulatory compliance

**Decisions are based on**

- Grant application responses and uploaded documents
- Grantee reports to LSC
- Past onsite visit findings
- Other sources (e.g. other funders, websites)

# Best Practices for Responses to Inquiries

- Answer the questions asked.
- Be specific in your responses.
- Avoid vague, incomplete, or exaggerated answers.
- Don’t bury responses in unnecessary detail.
- A candid response is better than an embellished response.
- Make sure responses are consistent throughout.
- Proofread for grammar, spelling and punctuation.

# Responding to Grant Application Inquiries

- The grant application inquiries follow the format and content of the LSC Performance Criteria.
- New applicants that have not previously received a grant from LSC must respond to every inquiry, unless otherwise indicated in the application.
- Applicants that do not yet have a system, strategy, procedure, policy, or activity in place at the time the grant proposal is submitted should describe their capacity and plans to put them in place.

# Grant Applications that Raise Concerns

- LSC will request supplemental information for non-responsive or incomplete applications
- If there is more than one eligible organization applying for a given service area, a Capability Assessment Visit could be required
- Special Grant Conditions may be attached
- Less than 3-year funding may be awarded
- Service area may be re-competed
- Funding may be denied

# Application Timeline



- **April 2019** — **April 24, 2019** Applicant Information Session
- **May** — **May 3, 2019** Deadline for filing NIC
- **May** — **May 24, 2019** Deadline for filing Fiscal Application
- **June** — **June 3, 2019** Deadline for submitting Grant Application
- **October** — LSC publishes list of qualified applicants
- **December** — LSC publishes list of grant award recipients
- **January 2020** — Grant Awards made

# Performance Areas as found in the RFP

# Performance Area 1

*Effectiveness in identifying the most pressing civil legal needs of low-income people in the service area and targeting resources to address those needs*

# Performance Area 1

| **Criterion** | **Focus** |
|---|---|
| Criterion 1 | Legal Needs Assessment |
| Criterion 2 | Setting Priorities, Goals, Strategies and Outcomes |
| Criterion 3 | Implementation |
| Criterion 4 | Evaluation and Adjustment |

**Weight: 18%**

# Performance Area 1
# **Charts**

| **RFP Performance Area 1 Charts** | ✓ |
|---|---|
| Needs Assessment Data | |
| Legal Needs Assessment Data Collection Methods | |
| Legal Needs Assessment Data Sources and Tools | |
| Priorities, Goals, Strategies and Desired Outcomes | |
| Comparing Outcomes to Outputs ***NEW*** | |
| Applicant's Most Recent Strategic Planning Process * | |
| Outcomes Met for Previous Priorities | |

## Performance Area 1

# Overall Tips and Fundamentals

- Answer the question completely
  - Yes or No?
  - Then, provide details

- Multiple Part questions
  - Answer all parts
  - Identify which part you are answering

Performance Area 1

# Legal Needs Assessment

- Asking three questions:
    - Did/will you do it?
    - What new data did you collect, and how?
    - What existing data did you analyze?

Performance Area 1

# Setting Goals and Objectives

**Priorities, Goals, Strategies and Desired Outcomes:**

| Item Type | Item Name | Desired Outcome |
|---|---|---|
| Priority: | | |
| Goal: | | |
| Strategy (Cases): | | |
| | | |
| Priority: | | |
| Goal: | | |
| Strategy (Other Services): | | |

# Performance Area 1

## Setting Goals and Objectives

# Comparing Outcomes to Outputs (Part 1)

**Comparing Outcomes to Outputs:**

Outcomes - Extended Services

1. Does the applicant collect outcomes data for extended services cases?

2. If yes, do you track:
   Financial outcomes achieved:
   Non-financial outcomes achieved:

3a. If you responded yes to Question 1, please select how the applicant uses outcome data to improve organizational performance. (Check all that apply).
Evaluating resource allocation:
Identifying and supporting shifts in program priorities:
Driving decisions on the level of service to provide for particular case types:
Tracking emerging client issues:
Calibrating advocacy strategy:
Tracking and setting organizational goals:
Integrating into the organization's strategic planning process:
Fundraising to demonstrate the impact of the applicant's work:
Assessing staff performance and staff development needs:
Other (please specify):

3b. Please provide a brief narrative of how your organization uses extended services outcomes data.

# Performance Area 1

## Setting Goals and Objectives

# Comparing Outcomes to Outputs (Part 2)

4a. How frequently does the applicant review outcomes data?

4b. Please provide a narrative addressing the frequency of your program's review of outcome data in extended services cases. Why do you review with the frequency you do?

5. What method(s) does the applicant use to collect outcomes data for extended services cases? (Check all that apply).
   Case management system:
   Client satisfaction mail-in survey:
   Client satisfaction online survey:
   Follow up text message to clients:
   Follow up phone calls to clients:
   Checking court docket:
   In-person one-on-one interviews:
   Focus group interviews:
   Other (please specify):

## Performance Area 1

# Setting Goals and Objectives
# Outcomes vs. Outputs

- This year we're asking for more detail about how you're using the outcomes you're collecting as well as how you're collecting outcomes data.
    - Are you collecting outcomes?
    - What are you doing with this information

- Distinguish between outcomes and outputs
    - **Outcomes** are the results of a program's services for its clients or community
    - **Outputs** are a measure of the amount and type of activities a program conducts, such as "other services":
        - Pro se clinics conducted
        - Community education sessions

Performance Area 1

# Evaluation and Adjustment (Strategic Planning)

- **Biggest issue:** not engaging in strategic planning
- **Second biggest issue:** putting the strategic plan on a shelf

## Performance Area 1

# Evaluation and Adjustment (Strategic Planning)

**Applicant's most recent strategic planning process:**

1. Enter the date the most recent strategic plan was adopted by the board of directors. MM/DD/YYYY
2. Enter the date range of the current strategic plan. MM/DD/YYYY thru MM/DD/YYYY
3. If your current strategic plan is more than five years old, in the text box below summarize your plans for starting a new strategic planning process. If your current strategic plan is less than five years old, state that in one sentence in the text box.
4. If your current strategic plan is more than five years old, enter the anticipated start for the next strategic planning process. MM/DD/YYYY
5. Has the timeline for your next strategic planning process been set?
6. If yes, enter the date when you plan to start the next strategic planning process and the date when you anticipate completing the process.

Strategic planning start date:
Strategic planning end date:

# Performance Area 1
# Evaluation and Adjustment

**Outcomes Met for Previous Priorities**

First Significant Priority

List all of the outcomes projected in the grant application for this priority

State whether, and the extent to which, the projected outcome(s) for this priority were met.

If outcomes were not met, briefly explain why

Second Significant Priority

List all of the outcomes projected in the grant application for this priority

State whether, and the extent to which, the projected outcome(s) for this priority were met.

If outcomes were not met, briefly explain why

Third Significant Priority

List all of the outcomes projected in the grant application for this priority

State whether, and the extent to which, the projected outcome(s) for this priority were met.

If outcomes were not met, briefly explain why

# Performance Area 2

*Effectiveness in engaging and serving the low-income population throughout the service area*

# Performance Area 2

| Criterion | Focus |
|---|---|
| Criterion 1 | Dignity and Sensitivity |
| Criterion 2 | Engagement with low-income population |
| Criterion 3 | Access and utilization by the low-income population |

**Weight: 20%**

# Performance Area 2
# **Charts**

| **RFP Performance Area 2 Charts** | ✓ |
|---|---|
| Intake | |
| Days and Hours of Intake by Type | |
| Intake Policies or Procedures | |
| Intake System Technology | |
| Intake Methods: Percent & Time Elapsed Before Services | |
| Intake Evaluation | |
| LEP Plan and Components | |

# Performance Area 2

We only have the pieces of the puzzle you provide in your response.

# Performance Area 2

## Criterion 1. Dignity and sensitivity

- **System Overview**
  - Fully describe your intake system
  - Tell us about triage
  - Referrals – incoming and outgoing

*__TIP__: A flowchart can help you develop your response!*

- **Staffing**
  - Function, not just title
  - Address day-to-day *and* global oversight
  - LEP needs

- **Training**
  - Discuss training and resources

*__TIP__: Be specific!*

- **Evaluation**
  - Discuss *all* methods -- internal and external
  - Anything new and/or different in the last two (2) years

Performance Area 2

# Intake System Description Chart

| | |
|---|---|
| Centralized | • All applications through one location<br>• A single point of entry |
| Coordinated | • Any office/unit can accept applications<br>• May have multiple entry points |
| Decentralized | • Residence, legal problem, or other criteria determine how and when to apply |

# Performance Area 2

**Intake Methods: Relative Percent and Time Elapsed Before Receiving Service**

Telephone intake

Percentage of Intake applications for this method: __ %

How much time elapses between the initial phone call until the prospective client.
First speaks to an intake worker?
Has a substantive interview?
Receives counsel and advice?
Receives limited action and/or referral assistance? (for cases in which extended service will not be provided)
Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

Walk-in intake

Percentage of Intake applications for this method: __%

How much time elapses between when the prospective client arrives at the office until the prospective client.
First speaks to an intake worker?
Has a substantive interview?
Receives counsel and advice?
Receives limited action and/or referral assistance? (for cases in which extended service will not be provided)
Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

In-person appointment intake

Percentage of Intake applications for this method: __%

How much time elapses between when the prospective client arrives at the office until the prospective client.
First speaks to an intake worker?
Has a substantive interview?
Receives counsel and advice?
Receives limited action and/or referral assistance? (for cases in which extended service will not be provided)
Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

# Performance Area 2

How long does it take to…

- Speak to an intake worker?
- Have a substantive interview?
- Receive counsel & advice?
- Receive notice about extended representation?

## Criterion 2. Engagement with the low-income population
## Criterion 3. Access and utilization by the low-income population

- **Outreach**
  - Describe activities in the last 24 months
  - Describe planned activities for the next 12 months
  - Provide information about how activities are developed and targeted
  - Describe efforts to engage with community group and/or other service providers

# Criterion 2. Engagement with the low-income population
# Criterion 3. Access and utilization by the low-income population

- **Office Locations**
  - Explanation applies only to office changes in the last 24 months
    - If applicable, include details about proximity to client communities, other relevant services and resources, administrative agencies, and public transportation.

- **Accessibility**
  - Describe tailored services, including methods
  - Any improvements needed

# Performance Area 3

*Effectiveness of legal representation and other activities intended to benefit the client community*

# Performance Area 3

| Criterion | Focus |
| --- | --- |
| Criterion 1 | Legal Representation |
| Criterion 2 | Private Attorney Involvement |
| Criterion 3 | Other program services to the eligible client population |
| Criterion 4 | Other program activities on behalf of the eligible client population |

**Weight: 35%**

# Performance Area 3
# Charts

| **RFP Performance Area 3 Charts** | ✓ |
|---|---|
| Training | |
| Legal Work Management | |
| Case-handling Protocols | |
| Case Development Activities | |
| Bar Admission | |
| Advocacy | |
| Accomplishments for Clients (Excluding PAI) | |
| Decrease in total staff case closures of more than 20% | |
| Private Attorney Involvement | |
| Private Attorney Involvement Activities | |
| Methods Used to Promote and Expand Involvement of Volunteer Attorneys, Law Students, Law Graduates, Paralegals, and Other Professionals | |
| Methods Used to Retain Volunteer Attorneys, Law Students, Law Graduates, Paralegals, and Other Professionals | |
| Accomplishments for Clients through PAI | |
| Decrease in total PAI case closures of more than 20% | |
| Involvement with Justice and Advocacy Community | |

# Performance Area 3

**What Do We Look For Overall in PA-3?**

- Sufficient capacity to achieve your advocacy goals
- Appropriate legal work management policies and procedures for both staff and PAI casework
- Adequate support for advocacy efforts
- Integration of non-litigation strategies and partnerships
- Evaluation and adjustment
- Demonstrable results

Performance Area 3

# Criterion 1. Legal Representation

**Expertise of Staff**
- Years of experience
- In your priorities
- Identifying and addressing emerging needs

**Description of advocacy structure**
- Specialty units or generalists?
- Effective supervision mechanisms
- Ability to achieve broad-based advocacy

**Accomplishments for Clients**
- Examples that reflect the results of your advocacy

## Performance Area 3

# Criterion 2. Private Attorney Involvement

- PAI Plan!
- New question re private attorney participation
- Major Challenges
- Accomplishments

Performance Area 3

# Criterion 3. Other program services to the eligible client population
# Criterion 4. Other program activities on behalf of the eligible client population

- Community Education?
- Assistance for pro se litigants
- Involvement with Others in the Justice and Advocacy Community

# Performance Area 3
# **Reminder**

- **Don’t forget,** we don’t view the application in a vacuum
  - GAR
  - PAI Plan
  - Visit reports
  - Other Services Reports
  - Required submissions to OCE
  - Other parts of RFP

# Performance Area 4

*Effectiveness of Governance, Leadership, and Administration*

# Performance Area 4

| Criterion | Focus |
|---|---|
| Criterion 1 | Board Governance |
| Criterion 2 | Leadership |
| Criterion 3 | Technology Infrastructure and Administration |
| Criterion 4 | Financial Administration |
| Criterion 5 | Human Resources Administration |
| Criterion 6 | Overall Management and Administration |
| Criterion 7 | General Resource Development and Maintenance |
| Criterion 8 | Coherent and Comprehensive Delivery Structure |
| Criterion 9 | Participation in an Integrated Legal Services Delivery System |

**Weight: 27%**

*Performance Area Four has nine criteria,*
*but the RFP does not elicit content in response to Criterion 8.*

## Performance Area 4

# Criterion Titles

| Title | Changes |
|---|---|
| Technology, Infrastructure and Administration | **NEW**<br>Currently, Criterion 3 |
| Overall Management and Administration- | Formerly, Criterion 3-<br>Currently, Criterion 6 |
| Internal Communications | Formerly Criterion 6/<br>**No longer exists** |

Performance Area 4

# Charts and Forms

| RFP Performance Area 4 Charts | ✓ |
|---|---|
| Board Data | |
| Board Committees and Frequency of Meetings | |
| Evaluations of the Executive Director | |
| Evaluations of Staff | |
| Continuity of Operations Planning | |
| Accomplishments for Clients with Other Providers | |

| RFP Performance Area 4 Forms | ✓ |
|---|---|
| Budget Forms (Form D)* | |
| Policy Board Structure (Form F) | |
| Projected Expenditures by Type of Activity (Form G)* | |
| Technology Form (Form K) | |

***The need to complete certain forms under this section are based on whether the organization is a new applicant. See RFP at page 35 for details***

# Performance Area 4

# QUICK TIP

***Other Required Data and Important Information to Cross Reference:***

1. Board Meeting Minutes
2. Strategic Plan
3. GAR Data
4. Technology Plans
5. Needs Assessment
6. Disaster Plans
7. Staffing Chart
8. Organizational Chart
9. Resumes of Key Staff
10. Leadership Succession Plan
11. Subgrants
12. Resource Development Plans
13. Your Answers to Other Narrative Questions in the RFP

## Performance Area 4

# Criterion 1. Board Governance

Governing Body and Structure- Five main areas covered:

1. **Board Composition**
2. **Training**
3. **Oversight and Leadership Of the Organization**
4. **Evaluation of the Executive Director**
5. **Overlapping Boards & Conflicts of Interest**

# Performance Area 4

# Criterion 1. Board Governance

**Governing Body Structure**

- Some of the 45 C.F.R. § 1607.3 requirements are:
  - At least one third of the governing body must be eligible clients
  - At least sixty percent of the governing body must be attorneys
  - The majority of governing body members (>50% ) must be "McCollum" attorneys

- The count is based on board positions that are currently filled, not just the number of members established by the by-laws

- As a reminder, LSC revised 45 C.F.R. § 1607.3(b)(c) in 2018 to allow more flexibility in appointing client eligible board members

- Remember that an Applicant that is not currently in compliance with 45 C.F.R. § 1607.3 must submit a written strategy, including a timeline, to come into compliance. The timeline would go into "Form F." Form F is referenced on page 37 of the RFP and will be populated in "LSCgrants."

Performance Area 4

# Criterion 1. Board Data

| | | |
|---|---|---|
| **1** | **Enter the number of meetings of the full board in the last two calendar years** | |
| **2** | Enter the number of meetings in the last two calendar years in which there was not a quorum of board members. | |
| **3** | Does the board have a written policy or practice that deals with conflicts of interest or potential conflicts of interest? (Yes or No) | |
| **4** | Is there a limitation on the number of terms board members can serve on the board? (Yes or No) | |
| **5** | Are board members given an orientation on board responsibilities? (Yes or No) | |
| **6** | Have board members received copies of or have electronic access to the 2007 LSC Performance Criteria? (Yes or No) | |
| **7** | Have board members received copies of or have electronic access to the LSC Act and Regulations? (Yes or No) | |
| **8** | Does the board have at least one member with expertise in accounting or auditing? (Yes or No) | |

Performance Area 4

# Criterion 1. Board Committees and Meetings Chart

| 7 | Board Standing Committee Name | Yes | No | Frequency of Meetings each year |
|---|---|---|---|---|
| 1 | Executive Committee | o | o | |
| 2 | Finance/Audit Committee | o | o | |
| 3 | Resource Development Committee | o | o | |
| 4 | Personnel/Human Resources Committee | o | o | |
| 5 | Board Development Committee | o | o | |
| 6 | Board Grievance Committee | o | o | |
| 7 | Governance Committee | o | o | |
| 8 | Other standing committee (please identify) | o | o | |

## Performance Area 4

# Criterion 2. Leadership

- Leadership Team and Responsibilities
- Development of Future Leaders
- Leadership Succession Plan
- Required Supporting Documents:
    - Staffing Chart
    - Organizational Chart
    - Resumes of Key Staff
    - Leadership Succession Plan

## Performance Area 4

# Criterion 3. Technology and Infrastructure

LSC wants to know if…

- Technology Enhances Program Operations
- The Program has a written IT Plan
- Applicant has a modern and effective Case Management System
- Program website is user friendly and up to date

# Performance Area 4

# Criterion 4. Financial Administration

LSC wants to know…

- Systems and procedures for budgeting and planning
- Ensuring appropriate resource allocations to achieve priorities
- Budget and financial planning beyond the current year
- Cross References:
    - Form D – Budget forms

## Performance Area 4

# Criterion 5. Human Resources Administration

LSC wants to know…

- Process for staff evaluation
  - Human Resources administration efforts
  - Staffing and qualifications
  - Salary and benefits assessments
  - Procedures for maintenance of personnel records
  - Review of human resource plans and policies
  - Resolving employee complaints

- Strategies to retain/ promote high-quality staff
  - Retention efforts
  - Recognition of accomplishments
  - Leadership development

## Performance Area 4

# Criterion 6. Overall Management and Administration

LSC wants to know about…

- Efforts to ensure effective management and administration
  - Management Structure and Use of Middle Managers
  - Process for involving staff, board and others in policy matters
  - Compliance systems, procedures, training and review
- Continuity of Operations Planning **"THE COOP IS KEY"**
- LSC Compliance
- Communications among staff and from management
- Frequency of Meetings

## Performance Area 4

# Criterion 7. Resource Development and Maintenance

- Resource development capacity
  - Staffing, qualifications, training
  - Use of consultants

- Resource development activities
  - Obtaining grants
  - Bar and private fundraising campaigns
  - Cy pres awards
  - Efforts with community organizations
  - Leveraging non-financial resources

- Publicizing program accomplishments to promote fundraising efforts

Performance Area 4

# Criterion 9. Participation in an Integrated Legal Service Delivery System

**Teamwork makes the dream work**

- Contributions to statewide or regional efforts
  - Ensure availability of a full range of civil legal assistance
  - Eliminate access barriers and provide meaningful services
  - Effectively utilize resources
  - Increase exchange of information among legal services providers
  - Ensure training and assistance in key areas of law and practice

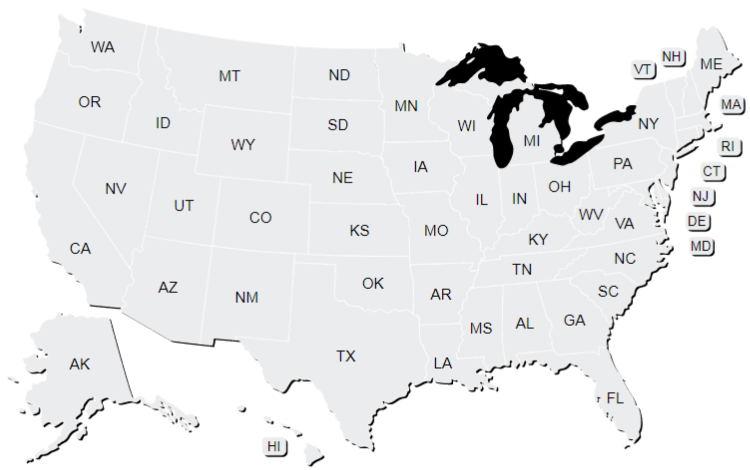
- Quality of legal services through partnerships necessary to ensure a full range of legal services.

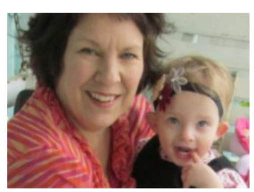
# Client Success Stories

**Minimum requirement of 2 client success stories**

- If service area covers more than one Congressional district, please provide one story for each district
- No stories for Agricultural Workers

**No weight assigned, but submission is mandatory**



**Helping an Adoptive Family Access Healthcare**

Elizabeth* is the Johnson* family's ninth foster child. In 2011, she was placed with the Johnson family days after her birth because of prenatal exposure to heroin, cigarettes, and alcohol. Although the Johnsons were thrilled to adopt the energetic child they were concerned about how to pay for...

Read more ▸

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# Performance Areas
# **Q&A**

# Funding Application
# **Fiscal Component**

# Funding Application – Fiscal Component

## How to Access

- All new competitive grant applicants are required to submit the Fiscal Application. Renewal applicants are not; but three questions on renewal application must be completed.

- All competitive applications are now accessible on the online application system (lscgrants.lsc.gov) once the applicant's Notice of Intent to Compete (NIC) has been approved by OPP.

- The deadline for filing the fiscal application is **<u>May 24, 2019.</u>**

- Will be submitted separately from the rest of the competitive grant application.
  - Log into LSC Grants online application system
  - On homepage, find "To Do" application section
  - Fiscal Application task will be listed there

# Funding Application – Fiscal Component

## Overview

- LSC adopted the recommendations made by the following entities:
  - GAO Report (2010)
  - Fiscal Oversight Task Force Report (2011)

- **Goal:** to continue implementing a robust review of applicants fiscal internal controls during the grant application process in the following ways:
  - Ensuring grantees have sufficient financial systems, policies, and procedures in place that meet LSC requirements
  - Ensuring the adequacy of documentation submitted for grant award decisions
  - Performing a more holistic evaluation of other factors that may affect programs on-going operations

Funding Application – Fiscal Component

# Composition of Fiscal Questionnaire

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

## Funding Application – Fiscal Component

# Composition of Fiscal Questionnaire

| SECTION | PURPOSE |
| --- | --- |
| I. Board of Directors/Management Involvement | To ensure the board of directors are properly governing the organization (23 questions) |
| II. Profile of Financial Employees | To help assess, evaluate, and measure the qualifications of the fiscal employees (6 questions) |
| III. Accounting Manual | To assess and evaluate the programs policies aligns with LSC's Accounting Guide for Recipients (2010 edition). Update in progress. (7 questions) |

## Funding Application – Fiscal Component

# Composition of Fiscal Questionnaire Cont.

| SECTION | PURPOSE |
|---|---|
| IV. Fiscal Oversight by Other Funders | To assess the frequency and resolution of prior findings identified by other funding sources. (4 Questions) |
| V. Financial Management | To assess and evaluate the management of fiscal resources by the program. (5 Questions) |
| VI. Investigatory Inquiries | To evaluate issues concerning fraudulent activity encountered, assess the outcome of those activities, and any potential impact they may have on the program. (4 Questions) |

## Funding Application – Fiscal Component

# Composition of Fiscal Questionnaire Cont.

| SECTION | PURPOSE |
|---|---|
| VII. Accounting System | To evaluate and assess the capacity of the Program's accounting system. (8 Questions) |

# Funding Application – Fiscal Component

## Additional Information

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

- Applicants must upload the following documents:
    - Certificate of Good Standing issued by your State or Territory
    - Accounting Manual and/or Other Fiscal Policies/Procedures
    - Current Fidelity Bond or Insurance Policy stating amount of coverage
    - Fiscal related Special Grant Conditions from Other Funding Sources Currently in Effect (if applicable)
    - Audit/Finance/Executive Committee Charters or board-approved written description of duties
    - Cost-Allocation Method/Policy
    - Private Attorney Involvement ("PAI") Method/Policy
    - Segregation of Financial Duties Worksheet
    - Derivative Income Allocation Policy
    - Procurement Policy

# Subgrants

# Subgrant Requests **(Basic Field Grants)**

**2020 Basic Field Subgrant Application Process:**

- Relatively similar process as last year except for:
  - Subgrantee cost allocation policy upload; and
  - Revised/fewer narrative questions.

- Deadlines track funding application deadlines;

- Detailed application instructions on LSC's Website at: https://www.lsc.gov/grants-grantee-resources/grantee-guidance/how-apply-subgrant; and

- Compliance webinar available at: https://www.lsc.gov/grants-grantee-resources/grantee-guidance/subgrant-guidance.

**Send Questions on Subgrant Applications to:**

Email: subgrants@lsc.gov

# Using the Online Application System at

# lscgrants.lsc.gov

# lscgrants.gov

# The Review and Submit Page

Technology Budget (Form D-15)

Organizational Overview

List of References

Conflicts, Complaints & Performance Evaluations

Fiscal Grantee Funding Application

Uploads

**Review and Submit**

Log Out

Use the Review and Submit page to see detailed notes

**Validation Summary**

| Page Name | | Status |
|---|---|---|
| Applicant Information | ✓ | Complete |
| Project and Subgrant Information | ✓ | Complete |
| RFP Inquiries | ✓ | Complete |
| Outcomes Met for Previous Priorities | ✓ | Complete |
| Intake Methods: Relative Percent and Time Elapsed Before Receiving Service | ✓ | Complete |
| Data collection methods<br>"Low Income Person Focus" is required<br>"Social Service Org Meetings" is required | ✗ | Incomplete |
| Data Sources and Tools | ✓ | Complete |
| Program Priorities | ✓ | Complete |

Review and Submit provides detailed notes on what's missing

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# Linked Forms

- For applicants applying to more than one service area
- Some RFP Charts and Forms are “linked” across service areas
- Any information entered in a “linked” form in one application is automatically transferred to all other service areas for which the applicant is applying

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# The “Copy” Feature

**What is this feature for?**

- For applicants applying to more than one service area
- Copies application data from one service area to another
- Instructions for using the copy feature are on the “copy task page” in LSC grants
- Use carefully to avoid overwriting data unintentionally
- Uploads not copied

### Copy Existing Task

**Instructions**

If you have applied for more than one service area (e.g., basic field and Native American) and wish to copy information from one application to the next, take the following steps:

1. On the **LSC Grants Home** page, select the application whose information you wish to copy and click **Copy**.
2. LSC Grants will then display the **Copy Existing Task** page. In the **Copy To** section of the page, select from the **Task** pull-down menu the service area application that you would like to fill with the information from the completed application.
3. When you press **Save** the information is copied to the empty application you selected and your **Home** page is displayed again. When you select the application that you copied to, you will see that it now contains the copied information. You can make changes where the copied information is inappropriate.

**Copy From**

| | |
|---|---|
| **Program** | Competition/Renewal |
| **Service Area** | PA-26 |
| **Grant Period** | PA-26 |
| **Task** | Submit Application |

**Copy To**

**Task** * <Select>

<Select>

FL-17 - Submit Application

Save Close

Top

**To Do - Application**

View your NIC and Grant application(s) by clicking on the appropriate links. To create a new NIC or Grant application based on a existing one, click **Copy**.

| Task | Service Area | Status | Due Date | | |
|---|---|---|---|---|---|
| Submit Notice of Intent to Compete | FL-17 | Complete | | View PDF | |
| Submit Notice of Intent to Compete | PA-26 | Complete | | View PDF | |
| Submit Application | FL-17 | Incomplete | | View PDF | Copy |
| Submit Application | PA-26 | Complete | | View PDF | Copy |

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# Pre-population

- Allows users to save time by importing previous information
- Be sure to review all information to ensure accuracy

| | Current Recipients | New Applicants |
|---|---|---|
| Intake System Technology | most recent grant application | - |
| Projected Expenses (D-12) | most recent grant application | - |
| Projected Revenue (D-14) | most recent grant application | - |
| Board Members (F-2) | most recent grant application, or 1607 Report | NIC |
| Technology (K) | most recent grant application | - |

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## Technical Support

Email:
techsupport@lsc.gov

# Q&A