Applicant Informational Session for 2019 Post Program Quality Visit Applicants

May 21, 2019

Send questions to AISitems@lsc.gov
Before We Get Started

• Find the slides at www.lsc.gov

• Participants should include those who:
  – Have had Program Quality Visit since January 1, 2017
  – Have been notified that they will receive final PQV Report by July 2, 2019
  – Are the only applicant for the service area
  – Are current recipients of LSC funding

• Send questions to AISitems@lsc.gov throughout the webinar

• A quick overview of reminders:
  – Presentation will be recorded and available

• Complete presentation survey
Objectives

• Identify major changes to LSC Regulations and Grant Terms and Conditions

• Understand Post-PQV Application Process

• Effectively respond to the Post-PQV Application

• Navigate LSCgrants.gov

• Have time for questions and answers
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](#):

Send questions to AISitems@lsc.gov
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.*
Overview
Overview of Post-PQV Application

• Post-PQV application informs LSC of progress made in implementing Tier 1 Recommendations made during a PQV.

• Post-PQV applications are different from Standard Award Applications.

• In a Post-PQV application, applicants will:
  – Describe actions taken or planned in response to Tier 1 Recommendations from the final PQV report,
  – Describe significant changes or developments in the delivery system since the PQV ended, and any of those that are anticipated

• Post-PQV applications are reviewed in conjunction with PQV report.
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)

Send questions to AISitems@lsc.gov
Responding to RFP Inquiries
Effective Strategies

• 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.
Application Timeline

May 8, 2019
LSC notifies applicants eligible to file Post-PQV Grant Application

May 21, 2019
Post-PQV Applicant Information Session

May 16, 2019
*Post-PQV Application open on lscgrants.gov

May 21, 2019
Post-PQV Applicant Information Session

*June 13, 2019
Deadline for filing Post-PQV Grant Application

July 5, 2019
LSC publishes Post-PQV RFP

August 5, 2019
Deadline for filing Post-PQV Grant Application

LSC publishes list of qualified applicants

LSC publishes list of qualified applicants

LSC publishes list of grant award recipients

Schedule B

Schedule C

Send questions to AISitems@lsc.gov
The Post-PQV Request for Proposal
Step 1: Respond to Tier 1 Recommendations

Send questions to AISitems@lsc.gov
<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implemented</td>
<td>• What was done to fully implement the recommendation? • Provide date of completion.</td>
</tr>
<tr>
<td>Being implemented</td>
<td>• Which aspects of the recommendation are being implemented? • What remains to be implemented?</td>
</tr>
<tr>
<td>Being implemented in part or with certain modifications</td>
<td>• Why is the recommendation being implemented only in part of with certain modifications?</td>
</tr>
<tr>
<td>Being considered</td>
<td>• Which aspects of the recommendation are being considered? Why? • What factors are influencing this status?</td>
</tr>
<tr>
<td>Not being implemented</td>
<td>• Why is the recommendation not being implemented? • How does this decision benefit/not benefit your program?</td>
</tr>
</tbody>
</table>
Tier-1 Recommendation Status

Implemented vs Being Implemented

• Have you truly implemented a recommendation or is it still in the process?
  – If “implemented,” should be able to provide a specific end date.
  – If “Being Implemented,” then the work is still in progress. If there is a target timeline known please share.

• Analyze and report on your program’s progress at the time the application is due.

Send questions to AISitems@lsc.gov
Tier-1 Recommendation Status

Being Implemented in Part or with Modifications

• Specify why only implementing in part or with modifications.

• What kind of modifications?
  – Why did you decide modifications were necessary?
  – How did you develop the modifications? Provide an analysis.
  – Who was involved in making this decision?
Tier-1 Recommendation Status
Not Being Implemented

• Detail your analysis
  – What kind of research did you do?
  – Did you engage other stakeholders or experts?
  – How long did it take you to come to this decision?
  – Why and how did you come to this decision?

• Be transparent!
Tier 1 Recommendation Statuses

Overall Tips

• Be transparent
  – When? Provide dates (beginning and end of implementation, projected start date, specific dates etc.)
  – Who? Include position titles and descriptions of those who were or are involved in the work of implementing/responding to a recommendation.
  – Why? Provide details and show the full thought process behind your response to a Tier-1 recommendation.

• Be specific
  – What have you done to implement, plan, modify, etc.?

• Be careful
  – Carefully decide which status actually reflects your response to a Tier-1 recommendation.
  – Have you truly implemented a recommendation or is it still in process?

• Be honest
  – If necessary, program counsel will follow up with you on your responses.
Step 2: Report Significant Changes

• Include any changes or major developments since the PQV ended, and any that are forthcoming.

• No need to repeat changes included in Tier-1 Recommendation responses.

• Consider:
  • Organizational structure
  • Service delivery model
  • New projects
  • Funding sources
  • Staff positions at management level
  • Physical offices
  • Needs assessment
  • Strategic plan, etc.
Step 3: Upload Charts and Forms
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

<table>
<thead>
<tr>
<th>RFP Performance Area 1 Charts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Needs Assessment Data</td>
</tr>
<tr>
<td>Legal Needs Assessment Data Collection Methods</td>
</tr>
<tr>
<td>Legal Needs Assessment Data Sources and Tools</td>
</tr>
<tr>
<td>Priorities, Goals, Strategies and Desired Outcomes</td>
</tr>
<tr>
<td>Comparing Outcomes to Outputs <em>NEW</em></td>
</tr>
<tr>
<td>Applicant’s Most Recent Strategic Planning Process *</td>
</tr>
<tr>
<td>Outcomes Met for Previous Priorities</td>
</tr>
</tbody>
</table>

*Standard AIS Webinar [https://vimeo.com/332536991](https://vimeo.com/332536991), PA-1 Charts 16:35*
# Performance Area 2

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

<table>
<thead>
<tr>
<th>RFP Performance Area 2 Charts</th>
<th>✓</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intake</td>
<td></td>
</tr>
<tr>
<td>Days and Hours of Intake by Type</td>
<td></td>
</tr>
<tr>
<td>Intake Policies or Procedures</td>
<td></td>
</tr>
<tr>
<td>Intake System Technology</td>
<td></td>
</tr>
<tr>
<td>Intake Methods: Percent &amp; Time Elapsed Before Services</td>
<td></td>
</tr>
<tr>
<td>Intake Evaluation</td>
<td></td>
</tr>
<tr>
<td>LEP Plan and Components</td>
<td></td>
</tr>
</tbody>
</table>

*Standard AIS Webinar [https://vimeo.com/332536991](https://vimeo.com/332536991), PA-2 Charts 27:35*
## Performance Area 3

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

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

*Standard AIS Webinar [https://vimeo.com/332536991], PA-3 Charts 41:37*
Performance Area 4

Effectiveness of Governance, Leadership, and Administration

<table>
<thead>
<tr>
<th>RFP Performance Area 4 Charts</th>
<th>✓</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Data</td>
<td></td>
</tr>
<tr>
<td>Board Committees and Frequency of Meetings</td>
<td></td>
</tr>
<tr>
<td>Evaluations of the Executive Director</td>
<td></td>
</tr>
<tr>
<td>Evaluations of Staff</td>
<td></td>
</tr>
<tr>
<td>Continuity of Operations Planning</td>
<td></td>
</tr>
<tr>
<td>Accomplishments for Clients with Other Providers</td>
<td></td>
</tr>
</tbody>
</table>

*Standard AIS Webinar [https://vimeo.com/332536991](https://vimeo.com/332536991), PA-4 Charts 51:35
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...

Send questions to AISitems@lsc.gov
Using the Post-PQV Form

The Post-PQV Application is designed for applicants to:

- Respond to Tier 1 recommendations
- Describe changes to the delivery system
- Respond to the Supplemental Inquiry
- Access charts
On lscgrants.gov

Description of the performance area

Recommendation number and the tier-1 recommendation that appears in your final PPQV report

Drop down box where you identify the status of action taken on the tier-1

Text box for your response on the status of the tier-1 recommendation

If there have been any changes to your program since your previous application, you must complete this section

Send questions to AISitems@lsc.gov
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 **May 24, 2019**.

- 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

Send questions to AISitems@lsc.gov
Funding Application – Fiscal Component

Overview

• LSC adopted the recommendations made by the following entities:
  o 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:
  o Ensuring grantees have sufficient financial systems, policies, and procedures in place that meet LSC requirements
  o Ensuring the adequacy of documentation submitted for grant award decisions
  o Performing a more holistic evaluation of other factors that may affect programs on-going operations

Send questions to AISitems@lsc.gov
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

<table>
<thead>
<tr>
<th>SECTION</th>
<th>PURPOSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Board of Directors/Management Involvement</td>
<td>To ensure the board of directors are properly governing the organization (23 questions)</td>
</tr>
<tr>
<td>II. Profile of Financial Employees</td>
<td>To help assess, evaluate, and measure the qualifications of the fiscal employees (6 questions)</td>
</tr>
</tbody>
</table>
### Funding Application – Fiscal Component

**Composition of Fiscal Questionnaire Cont.**

<table>
<thead>
<tr>
<th>SECTION</th>
<th>PURPOSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV. Fiscal Oversight by Other Funders</td>
<td>To assess the frequency and resolution of prior findings identified by other funding sources. (4 Questions)</td>
</tr>
<tr>
<td>V. Financial Management</td>
<td>To assess and evaluate the management of fiscal resources by the program. (5 Questions)</td>
</tr>
<tr>
<td>VI. Investigatory Inquiries</td>
<td>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)</td>
</tr>
</tbody>
</table>
### SECTION

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

Send questions to AISitems@lsc.gov
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

Send questions to AISitems@lsc.gov
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


Send Questions on Subgrant Applications to:

Email: subgrants@lsc.gov
Use the Review and Submit page to see detailed notes

Review and Submit provides detailed notes on what’s missing
For applicants applying to more than one service area

Some RFP Charts and Forms are “linked” across service areas

Any information entered in a “linked” form in one application is automatically transferred to all other service areas for which the applicant is applying
The “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

Send questions to AISitems@lsc.gov
Pre-population

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

<table>
<thead>
<tr>
<th>Intake System Technology</th>
<th>Current Recipients</th>
<th>New Applicants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Projected Expenses (D-12)</td>
<td>most recent grant application</td>
<td>-</td>
</tr>
<tr>
<td>Projected Revenue (D-14)</td>
<td>most recent grant application</td>
<td>-</td>
</tr>
<tr>
<td>Board Members (F-2)</td>
<td>most recent grant application, or 1607 Report</td>
<td>NIC</td>
</tr>
<tr>
<td>Technology (K)</td>
<td>most recent grant application</td>
<td>-</td>
</tr>
</tbody>
</table>
Questions?