Applicant Informational Session for 2019 Post Program Quality Visit Applicants

May 21, 2019

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 America's Partner for Equal Justice
LEGAL SERVICES CORPORATION

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.**

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

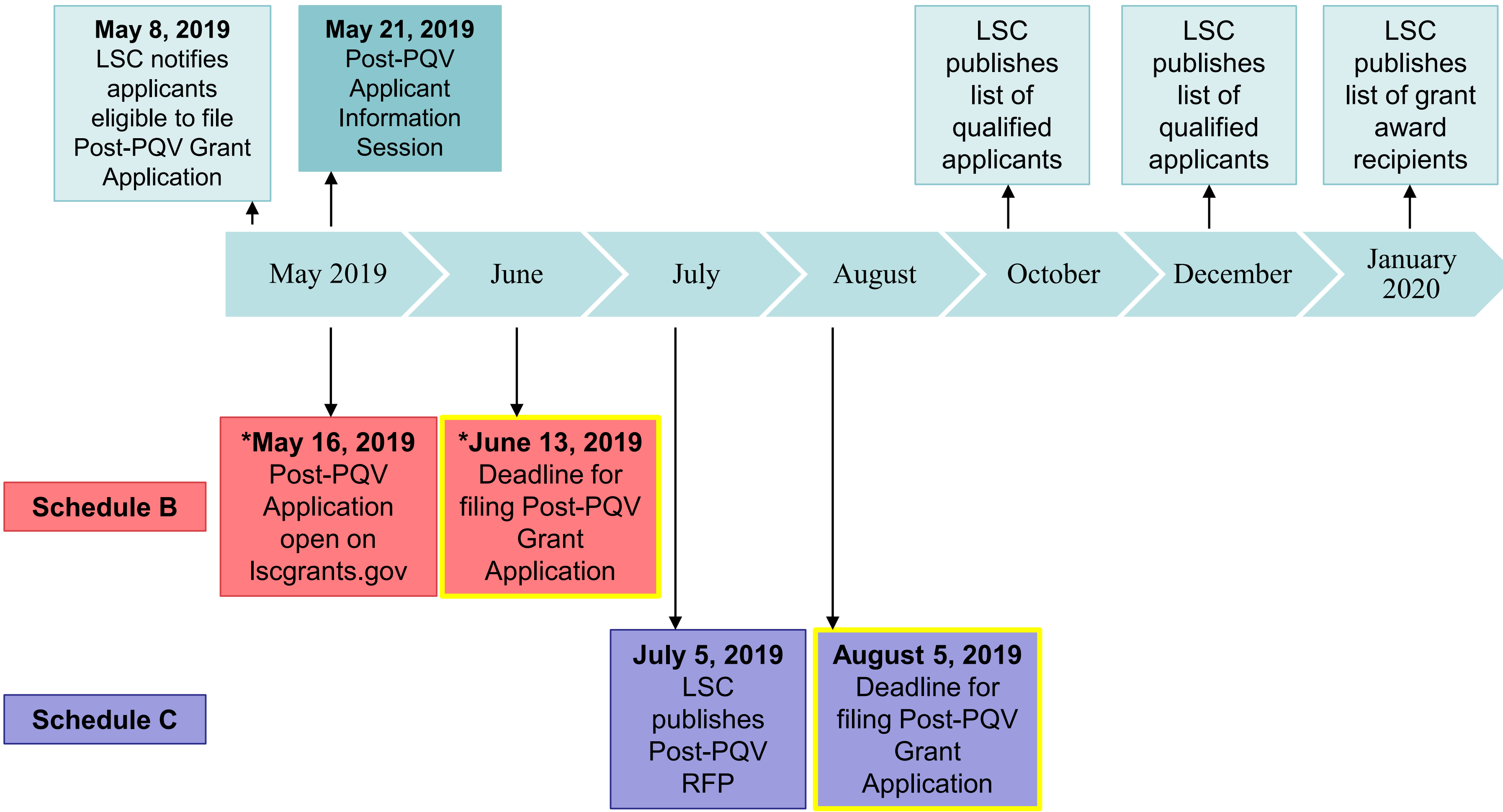
Decisions are based on

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

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



The Post-PQV Request for Proposal

Step 1: Respond to Tier 1 Recommendations

Tier-1 Recommendation Statuses

Status	Description
Implemented	• What was done to fully implement the recommendation? • Provide date of completion.
Being implemented	• Which aspects of the recommendation are being implemented? • What remains to be implemented?
Being implemented in part or with certain modifications	• Why is the recommendation being implemented only in part of with certain modifications?
Being considered	• Which aspects of the recommendation are being considered? Why? • What factors are influencing this status?
Not being implemented	• Why is the recommendation not being implemented? • How does this decision benefit/not benefit your program?

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.

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

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	

*Standard AIS Webinar 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

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	

*Standard AIS Webinar 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

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	

*Standard AIS Webinar https://vimeo.com/332536991, **PA-3 Charts 41:37**

Performance Area 4

Effectiveness of Governance, Leadership, and Administration

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	

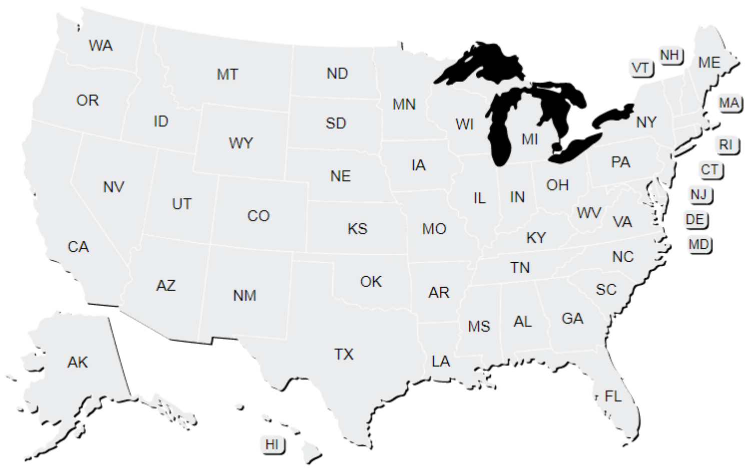
*Standard AIS Webinar https://vimeo.com/332536991, **PA-4 Charts 51:35**

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...

Read more ▸

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

Performance Area One

Effectiveness in identifying the most pressing civil legal needs of low-income people in the service area and targeting resources to address those needs (i.e., periodic comprehensive assessment and ongoing consideration of the most pressing legal needs; setting goals and objectives, developing strategies and allocating resources; and evaluation and adjustment).

Description of the performance area

Recommendations

LSC Recommendation The recommendation number will appear here as it is in the report.

The text of the LSC Tier 1 recommendation appears here. If an applicant has multiple Tier 1 recommendations for this Performance Area, all recommendations will appear in this section. If an applicant has no recommendations for this Performance Area the system will display the message "The Program Quality Visit Report contained no Tier 1 recommendations for this Performance Area."

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

Recommendations

LSC Recommendation

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

Applicant's response to the recommendation and supporting rationale*

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

Significant Changes

Performance Area One: Significant changes or major developments in the delivery system since the PQV ended, and those anticipated during the grant year.*

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

Save | Save and Continue | Save and Close

Continue Without Saving | Close

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

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

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 "Low Income Person Focus" is required "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

lscgrants.gov

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

lscgrants.gov
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

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	-

Questions?