



LEGAL SERVICES CORPORATION

2020 Request for Proposals for Basic Field Grant Funding

Post-Program Quality Visit (Post-PQV) Application Instructions

Schedule B Applicants	Opens May 16, 2019 Closes June 13, 2019
Schedule C Applicants	Opens July 5, 2019 Closes August 5, 2019

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

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Introduction

The Legal Services Corporation (LSC) invites Post-Program Quality Visit (Post-PQV) grant applications for its 2020 Basic Field Grant Program. Our Basic Field Grants support the work of organizations providing high-quality civil legal services to low-income people, including agricultural workers and Native American communities. Basic Field Grants are “general operating” grants, which may be used to support an organization’s legal services activities, including operating expenses and overhead. LSC awards Basic Field Grants to the applicants providing the most effective, economical, and high-quality legal services to eligible clients through an integrated legal-services delivery system.

About the Legal Services Corporation

LSC is a federally established and funded grantmaking organization that supports civil legal aid organizations across the country and in the U.S. territories. Its mission is to expand access to justice by funding high-quality legal representation for low-income people in civil matters such as divorce, child custody, domestic violence, consumer and debt, affordable housing preservation, eviction, and public benefits. It does not provide direct legal services itself.

LSC is headed by a bipartisan board of directors, whose 11 members are appointed by the President of the United States and confirmed by the United States Senate. Much like federal agencies, LSC receives an annual appropriation and is subject to ongoing congressional oversight. Otherwise, it generally conducts its day-to-day business like any other nonprofit organization.

LSC distributes almost 95 percent of its total funding in grants to independent legal aid organizations. LSC currently has 132 grantees with more than 800 offices in every county in the United States, the District of Columbia, and the American territories.

LSC performs robust oversight of its grantees, conducting audits and on-site visits to evaluate grantee quality and compliance with statutory and regulatory requirements and various funding restrictions. LSC also provides training and technical assistance to grantees. LSC encourages its grantees to leverage limited resources by partnering and collaborating with other funders of civil legal aid, including state and local governments, Interest on Lawyers’ Trust Accounts programs, state access to justice commissions, the private bar, philanthropic foundations, law schools, and the business community.

Eligibility

WHO IS ELIGIBLE TO FILE A POST-PQV APPLICATION FOR A BASIC FIELD GRANT?

You are eligible to file a Post-PQV Request for Proposals (RFP) if you:

1. are a current LSC grantee;
2. have had an LSC program quality visit since January 1, 2017;
3. have been notified that you will receive the final PQV report by July 1, 2019; and
4. are the only applicant for the service area.

LSC will notify you by email confirming whether you are the only applicant for the service area.

FULL RANGE OF LEGAL SERVICES

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

If you provide less than the full range of legal services to eligible clients in a service area, i.e., services limited to legal assistance in a single area of the law or a few areas of law such as housing, divorces, and bankruptcy; proposals limited to a particular type of legal assistance such as advice, referral and brief service; or a full range of legal services to only a portion of the service area, the grant proposal will not be accepted, unless you demonstrate to LSC's satisfaction that you are or will be part of a delivery system that assures the availability of a full range of legal services throughout the entire service area. The grant proposal in its totality must meet this threshold requirement to be considered qualified.

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

LIST OF APPLICANTS ELIGIBLE TO SUBMIT POST-PQV GRANT PROPOSALS

Please note:

- Schedule "B" applicants submit the Post-PQV grant proposal by June 10, 2019.
- Schedule "C" applicants submit the Post-PQV grant proposal by August 5, 2019.

See the [Key Activities and Dates in the 2020 Grants Process](#) for the full schedule of activities that apply to you.

The chart below lists all potential Post PQV 2020 grant award applicants and the scheduled application filing date.

	1	2	3	4	5
	State	Applicant Number	Applicant Name	Schedule	Service Area Code(s)
1	DC	309080	Neighborhood Legal Services Program of the District of Columbia	C	DC-1
2	KY	618010	Legal Aid Society	C	KY-2
3	KY	618036	Kentucky Legal Aid	B	KY-9
4	MA	122007	VLP of the Boston Bar Association	B	MA-11
5	MA	122090	Northeast Legal Aid	B	MA-4
6	MN	524020	Central Minnesota Legal Services	C	MN-6
7	NH	130010	Legal Advice & Referral Center	B	NH-1
8	NM	732010	New Mexico Legal Aid	B	MNM, NM-5, NNM-4
9	OH	436050	The Legal Aid Society of Cleveland	B	OH-21
10	VA	447081	Blue Ridge Legal Services	B	VA-19

SERVICE AREAS

Refer to the service areas identified in column 5 of the chart above. You may submit Post-PQV grant proposals for only those service areas for which you currently receive LSC funding. You must be the only applicant for the service area. If there is another qualified applicant for the service area, you (and the other applicant) must instead file a standard grant application. In addition, you must file a standard grant application to apply for any other service areas. LSC will not consider proposals to divide service areas into smaller units. You must apply for the full amount of the grant funds available for the service area(s).

If you are awarded a grant for more than one service area, LSC may in its discretion, combine the service areas into a single service area.

Application Process

NOTICE OF FUNDS AVAILABILITY

In March of each year, LSC publishes in the Federal Register the geographical service areas in competition and the funding available for each of those service areas. The funding estimates for 2020 are based on current FY 2019 funding. LSC may require successful applicants to submit revised budgets and applications based on the FY 2020 appropriation. Additionally, LSC reserves the right to provide funding in graduated amounts to assist new recipients with start-up and transition. The funding estimates, based on the current FY 2019 funding, can be viewed [here](#).

REQUEST FOR PROPOSALS (RFP)

In May of each year, LSC issues the Post-PQV RFP announcing that it is requesting applications for its Basic Field Grants. The RFP contains detailed application instructions, the 2020 Basic Field Grant Terms and Conditions, and Grant Certification Form.

APPLICANT INFORMATIONAL SESSION (AIS)

LSC holds a free webinar each year to answer questions about the Post-PQV RFP and grant award process. The date of this year's Post-PQV AIS is May 21, 2019 (2:00 p.m. E.D.T.) To participate, register online at: <https://register.gotowebinar.com/register/3811439862965370125>.

NOTICE OF INTENT TO COMPETE (NIC)

To apply for a Basic Field Grant, you must notify LSC of your intent to compete for the grant by May 3, 2019. You must access and electronically submit the NIC using the online application system at <https://lscgrants.lsc.gov/>. In the NIC, you must provide LSC with the following information as well as any additional information that LSC determines is appropriate:

- identify the service area(s) for which you seek a grant,
- provide names and brief biographical and relevant experience information about your principals and key staff, and
- provide names and brief biographical and relevant experience information about your current or proposed governing or policy body members and their appointing organizations.

If you fail to submit a timely NIC, you will be ineligible for the 2020 grants process. In its discretion, LSC may extend the NIC submission period.

LSC will notify you whether your NIC has been approved within two business days of submission. After your NIC is approved, you will have access to other components of the RFP.

APPLY THROUGH LSC'S ONLINE SYSTEM, LSC GRANTS

You must prepare and submit the Post-PQV grant application using the LSC online application at <http://lscgrants.lsc.gov>. The application will require you to respond to Tier 1 recommendations, provide information in charts and forms, and upload supporting documents about your capacity to provide high-quality,

economical, and effective legal services. The grant application [proposal components](#) list the forms and documents required.

SUBGRANTS

As part of the application, you must submit information about each of your current and prospective subgrants, as defined by [45 C.F.R. Part 1627](#), for which LSC funds currently are or would be used. For more information about the subgrant application process, please visit <https://www.lsc.gov/grants-grantee-resources/grantee-guidance/subgrant-guidance>.

COMPLETE A FISCAL APPLICATION

LSC evaluates the fiscal health of your organization before making Basic Field Grant funding decisions. LSC collects information about your fiscal policies, internal controls, and accounting practices through its Fiscal Grantee Funding Application (FGFA). This Application is available through LSC Grants. You must complete and submit the FGFA to LSC by May 24, 2019.

BEST PRACTICES

You may also submit information about your innovative delivery practices. LSC's website at <http://www.lsc.gov/grants-grantee-resources/resources> contains information on innovative delivery approaches, strategies and tools. There are materials on topics such as: case management systems, intake, Private Attorney Involvement, technology, and pro se assistance. You may devote two pages per service area to describe innovative practices or ideas that promote collaborative partnerships and/or quality legal services to low-income people. Title these pages "Best Practices." You may address any topic that promotes legal services delivery. We encourage you to visit the LSC website regularly for model concepts and "best practices" in legal services delivery. A weight is not assigned to "Best Practices" materials submitted, nor will it impact grant award decisions. With your permission, LSC may feature selected innovative techniques or ideas on our website.

ACKNOWLEDGEMENT OF RECEIPT

LSC will send you an email acknowledging receipt of your application. LSC will send the email to the email address provided at the online application login page at <https://lscgrants.lsc.gov/>.

REQUESTS FOR ADDITIONAL MATERIALS

LSC may ask you to provide copies of:

- Your IRS tax-exempt certification (if applicable, or a copy of the IRS acknowledgement of receipt for
- any tax-exempt status application);
- Current malpractice, errors and omissions, fidelity, and liability insurance coverage;
- Your Articles of Incorporation and Bylaws, partnership articles, or other governing documents.

MATERIAL CHANGES TO YOUR APPLICATION AND NOTICE OF DISCIPLINARY ACTIONS

If, while your application is pending, you experience a material change to your organization, you must notify LSC within two business days. You must also notify LSC of any professional disciplinary complaints, criminal convictions, civil contempt, and malpractice lawsuits or claims made against you or any of your attorneys while your application is pending. Please also notify LSC if any identified disciplinary actions or complaints are resolved while your application is pending.

NOTICE OF INTENT TO WITHDRAW GRANT APPLICATION

If you have submitted a grant application, but wish to withdraw it, please notify LSC in writing as soon as possible. You must include your name and service area code(s) of the service area(s) that you applied to serve. You must sign and date the withdrawal notice, convert it to a PDF, and email it to lscgrants@lsc.gov. You do not need to notify LSC if you submitted a Notice of Intent to Compete, but do not submit an application.

APPLICATION REVIEW PERIOD

LSC reviews applications from June to November of each year. For service areas with a single applicant, LSC staff reviews the application and prepares a funding recommendation for LSC's President, who decides which applicants will be awarded Basic Field Grants. LSC may also have an outside reviewer review the application. LSC may conduct a site visit before making a final grant decision.

Grant Award Decisions

LSC's President decides which applicants will receive grant awards. In December 2019, LSC will post the 2020 Basic Field Grant award decisions at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant>.

LSC may award a grant for up to a three-year term. LSC may decide to award a grant for one or more of the service areas for which the applicant applied. LSC may decide not to award a grant to any applicants for a particular service area. If there are service areas for which no applicant applies, or for which there are no qualified applicants, LSC has discretion to determine how legal services are to be provided to the service area. Options include enlarging the service area of a neighboring recipient, entering into a short-term grant or contract with another qualified provider, or re-competing the service area.

How We Evaluate Applications

LSC SELECTION AND PERFORMANCE CRITERIA

LSC makes grant decisions based on the selection criteria required by LSC regulations on competitive bidding for grants and contracts, 45 C.F.R. § 1634.9. The selection criteria are as follows:

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

its knowledge of and willingness to cooperate with other legal services providers, community groups, public interest organizations and human services providers in the service area. [45 C.F.R. § 1634.9\(a\)\(6\)](#).

7. The applicant's capacity to develop and increase non-LSC resources. [45 C.F.R. § 1634.9\(a\)\(7\)](#).
8. The applicant's capacity to assure continuity in client services and representation of eligible clients with pending matters. [45 C.F.R. § 1634.9\(a\)\(8\)](#).
9. The applicant does not have known or potential conflicts of interest, institutional or otherwise, with the client community and demonstrates a capacity to protect against such conflicts. [45 C.F.R. § 1634.9\(a\)\(9\)](#).

LSC measures your capacity to meet each of the selection criteria by evaluating whether your proposed approach to delivering legal services is consistent with [the LSC Performance Criteria](#), which incorporates many best practices established by [the ABA Standards for the Provision of Civil Legal Aid](#) and [the ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means](#).

You will also be evaluated on your use of limited LSC resources to produce high quality, effective and economical legal services that meet eligible clients' most pressing legal needs consistent with the restrictions of the LSC Act, appropriations acts, and regulations. See <http://www.lsc.gov/about-lsc/laws-regulations-guidance> for more information on LSC laws and regulations.

LSC will consider the level of your participation in an integrated delivery system, which seeks to make the most efficient use of all resources, strives for innovations in delivery mechanisms, and creatively involves the private bar. For additional guidance, please visit Grantee Guidance and Grantee Resources at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

WEIGHTING

LSC assigns weights to each Performance Area as outlined in the table below. Consider the weights when determining the level of information and emphasis to place in responding to the application questions, forms, and charts.

Performance Area	Weight
Performance Area One	18%
Performance Area Two	20%
Performance Area Three	35%
Performance Area Four	27%

Application Instructions

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

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

LSC reviews the Post-PQV grant application along with the final PQV report; together these documents supplant the standard grant application.

LSC evaluates the Post-PQV grant documents based on the LSC Act and regulations, the LSC Performance Criteria, the ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means, and the ABA Standards for the Provision of Civil Legal Aid. The LSC President makes funding decisions based on the findings from the evaluations. Grant awards are for a maximum period of three years.

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

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

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

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

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

If you have not fully established these practices, systems, and procedures you must demonstrate to LSC's satisfaction that you have the capacity to do so within the grant period. LSC advises you to be familiar with the Performance Criteria. The LSC Performance Criteria are at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

POST-PQV GRANT PROPOSAL COMPONENTS

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

All forms and instructions for preparing forms are available at <https://lscgrants.lsc.gov/>. To access and submit grant proposal forms, log into <https://lscgrants.lsc.gov/>, click on the “Submit Post-PQV Grant Application” link for the desired service area, select the appropriate form, enter the required data, and click the save button after data entry is complete.

GRANT PROPOSAL FORM	DESCRIPTION
<input type="checkbox"/> Post-PQV Form and RFP Charts	Use this form to: <ul style="list-style-type: none"> • identify the status of each of the Tier 1 recommendations; • describe actions taken in response to each recommendation; • describe significant changes or major developments in the delivery system that have occurred since the PQV ended and those that are anticipated during the grant year; • access the RFP charts; and to • respond to supplementary inquiries, describing the systems and procedures that ensure compliance and enforcement of LSC’s requirements and regulations.
<input type="checkbox"/> Project and Subgrant Information	You must respond to questions regarding current and proposed subgrants.
<input type="checkbox"/> Budget Forms D-12, D-14	Budget forms collect projected 2019 and 2020 revenue and expense information.
<input type="checkbox"/> Form G-12	Form G-12 collects projected expenditures for cases, other services, and supporting activities.
<input type="checkbox"/> Forms F-1 and F-2	These forms collect the name, contact information, and demographic information of each board member; the name of the appointing organization; and the relevant experience of each board member. In addition, applicants that do not have a governing or policy body that complies with 45 C.F.R. Part 1607.3 use these forms to provide a plan to meet the governing/policy body requirements.
<input type="checkbox"/> Form D-13	Form D-13 captures information regarding Private Attorney Involvement (PAI) expenses.
<input type="checkbox"/> Form K	Form K captures information about current office technology (i.e., hardware and software). Form K is different from the Technology Plan.
<input type="checkbox"/> Form D-15	Form D-15 captures projected LSC and non-LSC expenses for carrying out applicant’s 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 in a separate document.
<input type="checkbox"/> Organizational Overview	The overview captures the description of the geographical and cultural characteristics of your service area(s), the scope of legal services provided by you, and the delivery methods and distinctive characteristics of your organization.

GRANT PROPOSAL FORM	DESCRIPTION
<input type="checkbox"/> List of References	You must provide five professional references for your organization or, in the case of a new organization, provide references for your principals.
<input type="checkbox"/> Conflicts of Interest	You must disclose any potential significant conflicts and describe your capacity to protect against any such conflicts that may arise during the term of the grant.
<input type="checkbox"/> List of Disciplinary Complaints and Malpractice Lawsuits	You must list all professional disciplinary complaints, criminal convictions, civil contempt, and malpractice lawsuits and/or claims made against your program or any of its attorneys during the past thirty-six months, as well as all pending lawsuits and/or claims, regardless of the date of the lawsuit or the date the claim was initiated.
<input type="checkbox"/> List of Performance Evaluations and Monitoring Reports	You must list the name of the report, the date of the report, and the name of the agency that prepared the report for all non-LSC evaluation and monitoring reports received within the past thirty-six months.
<input type="checkbox"/> Fiscal Grantee Funding Application	You must complete the Fiscal Grantee Funding Application (FGFA). This is used by LSC to help assess the capacity of your fiscal oversight and internal controls.

DOCUMENT UPLOADS CHECKLIST

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

To upload files, log into the online application system at <https://lscgrants.lsc.gov>, click on the “Submit Post-PQV Grant Application” link for the desired service area, and then click the “Uploads” link on the left navigation bar. Click “Select Upload type” at the bottom of the screen to select the type of document to be uploaded. All documents should be uploaded as PDF files.

UPLOAD DOCUMENT	RFP REFERENCE/ INSTRUCTION
<input type="checkbox"/> 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.
<input type="checkbox"/> 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.
<input type="checkbox"/> 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.
<input type="checkbox"/> 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.

UPLOAD DOCUMENT	RFP REFERENCE/ INSTRUCTION
<input type="checkbox"/> 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.
<input type="checkbox"/> 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 19 regarding client success stories.
<input type="checkbox"/> Organizational Chart	The organizational chart should depict the organizational structure of your organization, the titles of management and executive positions responsible for each component, and the number of staff positions in each component.
<input type="checkbox"/> Résumés	Provide resumes of the Executive Director (CEO or functional equivalent), Governing/Policy Body Chair, Chief Financial Officer, Litigation Director, or other most senior attorney(s). For lawyers and law firms, provide the resumes of the partners, senior associates, and administrative managers who will be most involved in management or service delivery if a grant is awarded. <i>Submit all resumes as a single PDF file.</i>
<input type="checkbox"/> Current 2019 PAI Plan	For applicants who have a current year PAI plan/project, submit the PAI plan. For applicants who do not have a current year PAI plan/project, submit a prospective plan for the grant year.
<input type="checkbox"/> 2020 Technology Budget Explanatory Notes	You must provide an explanatory note for each budget line item that exceeds zero. With each explanatory note, include the budgeted expense amount and the budget expense item. This requirement is in addition to submitting the technology budget, i.e., form D15. The following is a sample explanatory note for “program IT staffing costs.” <i>Program IT Staffing Costs: \$120,000 – We need a total of 1.5 FTE’s to manage and coordinate technology planning, acquisition, and administration during the grant year.</i>
<input type="checkbox"/> 2020 Technology Plan	You must state how you use technology in your delivery system. Include, at a minimum, how you use 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, use of websites and other web-based resources, data security, and training.
<input type="checkbox"/> IRS Form 990 filed with IRS	Upload a copy of your complete 2018 Form 990 filed with IRS
<input type="checkbox"/> Certificate of Good Standing	Upload a current certificate of good standing issued by your state or territory.
<input type="checkbox"/> Accounting Manual	Upload the most recent board-approved version of the program’s Accounting Manual.
<input type="checkbox"/> Current Fidelity Bond or Insurance Policy	Upload evidence of current fidelity bond coverage or current insurance policy in effect at time of application (e.g., a copy of your policy).

	UPLOAD DOCUMENT	RFP REFERENCE/ INSTRUCTION
<input type="checkbox"/>	Performance evaluations and monitoring reports (PEM)	Upload one copy of all performance evaluation and monitoring reports, received within the past thirty-six months, from non-LSC funders and other agencies.
<input type="checkbox"/>	Subgrants	If you plan to enter into subgrant agreements, as defined by 45 C.F.R. Part 1627, you need to provide subgrant data to LSC using the online application at https://lscgrants.lsc.gov/ .
<input type="checkbox"/>	Financial Audit Reports	Submit one copy of independent financial statement audits for the last three years and the appropriate management letters. <i>Only required for applicants that are not current recipients of LSC funding.</i>
<input type="checkbox"/>	Best Practice submission (Optional)	If you choose to do so, you may devote two pages per service area to describe innovative practices or ideas that promote collaborative partnerships and/or quality legal services to low-income people. Title these pages “Best Practices.”

Preparing the Post-PQV Grant application

GENERAL GUIDELINES

The Post-PQV grant application requires you to identify the status of each Tier 1 recommendation from the final PQV report and describe the actions taken or planned in response to each Tier 1 recommendation. In addition, you will describe significant changes or major developments in the delivery system that occurred since the PQV ended, and those that are anticipated during the grant year.

The responses to the Tier 1 recommendations and to these inquiries combined with the final PQV report supplant the standard grant proposal. You will respond to these inquiries using the online form at <https://lscgrants.lsc.gov>.

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

Use your word processing application to prepare responses to the Tier 1 recommendations and paste that information into the online form. Your response to each Tier 1 recommendation is to be concise and to the point and should not exceed one full type written page.

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

RESPONDING TO TIER 1 RECOMMENDATIONS

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

Your action to date: The LSC recommendation has been implemented.

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

Your action to date: The LSC recommendation is being implemented.

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

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

Where a recommendation is being implemented in part or with modifications, you should select “is being implemented in part or with modifications” from the drop-down menu provided. In the text box, describe the course of action taken and the reasons for it. Explain why the recommendation is not being fully implemented. Give the reasons why the partial implementation or modification better suits your program’s needs and/or supports more efficient or effective service delivery, or why full implementation is not possible or practical.

Your action to date: The LSC recommendation is being considered.

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

- what is under consideration and why?
- what factors are influencing the decision? If resources are at issue, discuss the costs and any less resource-intensive ways to accomplish the goals of the recommendation
- when the decision is expected to be made
- the key persons in the decision-making process

Your action to date: The LSC recommendation is not being implemented.

If the recommendation is not being implemented, select “is not being implemented” from the drop-down menu provided. In the text box, it is important to explain, in detail, why that course of action is being taken. If you agree with the goals of the recommendation but you do not have the resources to pursue it at this time, this conclusion should be supported with an explanation of the financial implication and the reason that following the recommendation is not possible or feasible at the present time. If you do not agree with the recommendation, that conclusion should be supported with a thorough explanation as to why the recommendation is not, in the light of all the circumstances, in the best interests of the client community and/or the program and would not lead to more efficient and/or effective service delivery.

SIGNIFICANT CHANGES OR MAJOR DEVELOPMENTS IN THE DELIVERY SYSTEM

You are required to describe significant changes or major developments since the PQV ended, and those that are anticipated during the grant year for each of the four performance areas. If there have been no significant changes or major developments since the PQV ended, and none are anticipated during the grant year, state that in one sentence under the appropriate performance area. If there have been significant changes or major developments since the PQV ended, or changes or developments are anticipated during the grant year, provide a thorough discussion of that under the appropriate performance area. Where applicable, discuss actions you took or plan to take in response to the significant change(s) or major development(s) in the delivery system.

Below, by performance area, are examples of types of significant changes or major developments to report in the Post-PQV grant proposal that have occurred since the PQV ended, or which are anticipated during the grant year. This listing is not intended to be exhaustive. Address all significant changes to the delivery system and those anticipated during the grant year, even those not included in the list below.

Examples of significant changes for Performance Area One:

- a decision to conduct or postpone a client needs assessment
- change in program priorities
- new emerging needs identified
- strategic planning postponed or concluded
- changing your legal services delivery system from full service to provision of limited services only
- shifts of 20% or more in resource allocations for cases, other services, or support activities

Examples of significant changes for Performance Area Two

- opening or closing of offices
- change in intake process such as implementing centralized or coordinated intake, launching online intake or decrease/increase of intake hours of 10% or more
- adoption of a 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

Examples of significant changes 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 (e.g., pro bono hotlines, clinics, collaborations with law firms, co-counseling)
- changing your legal services delivery system from a staff model to a Judicare model

Examples of significant changes for Performance Area Four

- a fundamental change to the delivery system described in your PQV report
- a change to your corporate structure
- changes in senior management structure
- disasters and responses to disasters
- increase or decrease in non-LSC funding of 20% or more
- significant changes in technology (e.g., acquisition of phone system or case management system)
- major new partnerships/collaborations (e.g., with other LSC grantees, agencies, state bar, law schools)
- new resource development strategies

GRANT PROPOSALS FOR MULTIPLE SERVICE AREAS

You will complete a separate Post-PQV grant proposal for each service area in which you are applying for funding. Each service area's grant proposal will contain only those Tier 1 recommendations that are relevant to that service area.

ACCESSING AND USING THE POST-PQV FORMS

Once you log into the online system at <http://lscgrants.lsc.gov>, click on the “Post-PQV form and RFP Charts” link on the navigation bar on the left side of the screen. The next screen will provide a link for each of the four Performance Areas, as well as for the supplemental inquiries as shown below.

PQV Recommendations, Modifications to the Delivery System, and Supplemental Inquiries

Performance Area 1
Performance Area 2
Performance Area 3
Performance Area 4
Supplemental Inquiries

Continue

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

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

Performance Area One

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

Recommendations

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

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

Status of Recommendation* <None>

Applicant's response to the recommendation and supporting rationale*

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.*

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

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

RFP Charts Related to Performance Area One

- [Needs Assessment Data](#)
- [Legal Needs Assessment Data Collection Methods](#)
- [Legal Needs Assessment Data Sources and Tools](#)
- [Applicant's most recent Strategic Planning Process](#)
- [Outcomes Data](#)
- [Priorities, Goals, Strategies and Desired Outcomes](#)
- [Outcomes Met for Previous Priorities](#)

A link is provided for each RFP chart. In this example, seven of the charts are shown for Performance Area One.

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

The full list of RFP Charts, by performance Area, is shown below.

Performance Area One

1. [Needs Assessment Data](#)
2. [Legal Needs Assessment – Data Collection Methods](#)
3. [Legal Needs Assessment – Data Sources and Tools](#)
4. [Priorities, Goals, Strategies and Desired Outcomes](#)
5. [Comparing Outcomes to Outputs](#)
6. [Applicant's Most Recent Strategic Planning Process](#)
7. [Outcomes Met for Previous Priorities](#)

Performance Area Two

1. [Intake](#)
2. [Days and Hours of Intake by Type](#)
3. [Intake Policies or Procedures](#)
4. [Intake System Technology](#)
5. [Intake Methods: Relative Percent and Time Elapsed Before Receiving Service](#)
6. [Intake Evaluation](#)
7. [LEP Plan and Components](#)

Performance Area Three

1. [Training](#)
2. [Legal Work Management](#)
3. [Casehandling Protocols](#)
4. [Case Development Activities](#)
5. [Bar Admission](#)
6. [Advocacy](#)
7. [Accomplishments for Clients \(Excluding PAI\)](#)
8. [Decrease in total staff case closures of more than 20%](#)
9. [Private Attorney Involvement](#)
10. [Private Attorney Involvement Activities](#)
11. [Methods Used to Recruit Private Attorneys](#)
12. [Methods Used to Retain Private Attorney Volunteers](#)
13. [Accomplishments for Clients through PAI](#)
14. [Decrease in total PAI case closures of more than 20%](#)
15. [Involvement with Justice and Advocacy Community](#)

Performance Area Four

1. [Board Data](#)
2. [Board Committees and Frequency of Meetings](#)
3. [Evaluations of the Executive Director](#)
4. [Evaluations of Staff](#)
5. [Continuity of Operations Planning](#)
6. [Accomplishments for Clients with Other Providers](#)

Other Requirements

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. The template can also be found here: <https://lsc-live.box.com/v/ClientSuccessStories>

- Your client success stories may be derived from your “accomplishments for clients” and from your “involvement with the justice and advocacy community” that you discuss under Performance Area Three. 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– 2018 Colorado – 706060 – CO-6 – CO1
- Client Photos #1a – 2018 Colorado – 706060 – CO-6 – CO1

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

- Client Photos #1b – 2018 Colorado – 706060 – CO-6 – CO1

A weight is not assigned to the client success stories; nor will they impact grant award 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 and longw@lsc.gov, if you have questions regarding client success stories.

GOVERNING/POLICY BODY

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 your board is qualified to guide your program in its efforts to provide high quality legal services and to ensure that the recipient is accountable to its clients.

The regulation makes a distinction between governing and policy boards. A governing board has authority to govern the activities of a program receiving funds under 42 U.S.C. § 2996e(a)(1)(A). A policy board is established 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, and at least 60 percent attorneys. The remaining members of the board may be appointed by the grantee's board or selected based on the grantee's policies or bylaws. A majority of the entire board must be McCollum attorneys (i.e., attorneys who are appointed by the bar associations representing a majority of the attorneys in the service area(s)).

Compliance with 45 C.F.R. § 1607.3 is determined based on filled board positions. If you do not have a board that complies with 45 C.F.R. § 1607.3 you are required to submit a plan to meet the requirement along with their grant application. Your plan must address the following:

1. In consideration of applicant's bylaws, identify the number of vacant:
 - client board positions to be filled in order to be in compliance
 - attorney board positions to be filled in order to be in compliance
 - McCollum attorney board positions to be filled to be in compliance
2. Identify the names of the appointing organizations you are in contact with for filling the client and/or attorney board positions
3. Describe your strategy, including timeline, for coming into compliance with 45 C.F.R. § 1607.3

2020 TECHNOLOGY PLAN

Upload your Technology Plan for 2020 as a separate PDF file. Include the following information on the title page or header of the Technology Plan: your program's name, applicant number, and "2020 Technology Plan."

Your technology plan should address your current and planned uses of technology in all facets of your program's operations, including how you 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 private attorneys, use of websites and other web-based resources, data security, and training. Consult "Technologies That Should Be in Place in a Legal Aid Office Today" at <https://www.lsc.gov/sites/default/files/TIG/pdfs/LSC-Technology-Baselines-2015.PDF> before preparing your technology plan.

You are encouraged to review LSC's technology planning resources, including sample technology plans at <http://www.lsc.gov/grants-grantee-resources/grantee-data/grantee-technology>.

CURRENT YEAR PAI PLAN INSTRUCTION

You are required to upload the current year PAI Plan as a separate PDF file. Review 45 C.F.R. Part 1614 before developing the Private Attorney Involvement (PAI) plan.

Include the following information on the title page or header of the PAI plan: your program name, your program number, and “2019 PAI Plan.” Use form D-13 to prepare and submit the PAI Budget.

At a minimum, your PAI plan must address each of the requirements of 45 C.F.R. § 1614.6. These are threshold requirements and are referenced below. If your PAI plan does not address these threshold requirements, include a supplemental response with the PAI plan that does. Upload the current year PAI Plan (and supplement if necessary) as a single PDF file.

Pursuant to 45 C.F.R. § 1614.6, the PAI Plan shall:

- a. Address the legal needs of eligible clients in the geographical area (service area) served by the applicant consistent with your priorities (see 45 C.F.R. § 1614.6(a)(1)).
- b. Describe the mechanisms available for private attorneys, law students, law graduates, or other professionals to participate in applicant’s delivery of legal services (see 45 C.F.R. § 1614.6(a)(2)). In the description discuss separately how applicant will involve each category (i.e., private attorneys, law students, law graduates, or other professionals) in your program’s work through, for example: full service representation; special projects; hotlines or provision of telephone advice; provision of “live chat” or other online information or advice; pro se clinics; interpreters with LEP clients; community education; writing pamphlets; co-counseling or otherwise participating in major litigation; transactional work; contributing to websites; technical assistance; mentoring staff; and staff training or other opportunities. State whether the private attorneys, law students, law graduates, or other professionals are participating as pro bono, by contract for reduced fee, or *judicare*.
- c. Discuss your consultations with the client community, law schools, business leaders, private attorneys, and bar associations in the service area in the development of the PAI plan, and the results of those consultations (see 45 C.F.R. § 1614.6(a)(3)).

ORGANIZATION CHART AND OVERVIEW OF YOUR ORGANIZATION AND DELIVERY SYSTEM

LSC requires you to provide an overview of your organization and delivery system and a current copy of the program’s organization chart. The overview is to contain a concise description of the geographical and cultural characteristics of your service area(s), the scope of legal services provided by you, and the delivery methods and distinctive characteristics of your organization. LSC may use excerpts from the overviews in publications and presentations. The organization chart should depict the components of your organization, the titles of the management and executive positions responsible for those components and the number of staff positions in each component. You will upload the organization chart as a PDF file.

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

PREPARING THE ORGANIZATION CHART AND THE OVERVIEW OF YOUR ORGANIZATION AND DELIVERY SYSTEM

The organization chart depicts 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.

The overview contains: 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 the overview in publications and presentations.

Describe the geographical, demographic, and cultural characteristics of the service area. discuss whether the 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, indicate this and explain the characteristics that have consistently affected the eligible client population. In describing the distinctive characteristics of the service area discuss the service area's poverty, changes in population, area-specific legal issues, or other such characteristics.

Describe your legal service delivery system. State whether you provide a full range of services, i.e., extended services including contested cases and limited services, and a full range of case types. State whether the full range of service covers the entire service area. Identify the other major providers applicant relies on to ensure a full range of legal services provided throughout the service area. 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. Address 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.

Questions about the Post-PQV RFP and LSC Contact Information

If you have questions about the Post-PQV RFP or application process, please contact the LSC Grants Services Desk at lscgrants@lsc.gov.

If you need assistance with our online application system, LSC Grants, or with our website, please contact LSC's technical support team at techsupport@lsc.gov.

Please contact Judith Kim at kimj@lsc.gov if you do not receive a response from either service desk within 48 hours.

Key Dates and Deadlines

Notice of Intent to Compete Available	The week of April 8, 2019
Notice of Intent to Compete Due Date	May 3, 2019 (5:00 p.m. E.D.T.)
Post-PQV RFP Published for Schedule B Applicants	May 16, 2019
Applicant Informational Session held. It is free and online. To participate, register online at: https://register.gotowebinar.com/register/3811439862965370125	May 21, 2019 (2:00 p.m. E.D.T.)
Fiscal Grantee Funding Application Due Date	May 24, 2019 (5:00 p.m. E.D.T.)
Post-PQV Grant Proposal Due Date for Schedule B Applicants	June 13, 2019 (5:00 p.m. E.D.T.) for applicants who have received a final PQV report by April 30, 2019 (i.e., schedule B applicants)
Post-PQV RFP Published for Schedule C Applicants	July 5, 2019
Post-PQV Grant Proposal Due Date for Schedule C Applicants	Aug. 5, 2019 (5:00 p.m. E.D.T.) for applicants who have received a final PQV report during the period May 1, 2019 through July 1, 2019 (i.e., schedule C applicants)
Grant Decisions Published	December 2019

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](#), and the Preamble to the Competitive Bidding for Grants and Contracts Regulation, [45 C.F.R. Part 1634](#). LSC regulations are available at <http://www.lsc.gov/about-lsc/laws-regulationsguidance>.



LEGAL SERVICES CORPORATION

2020 Grant Terms and Conditions

If awarded a 2020 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](#), [the conditions on LSC's annual appropriation](#), and [LSC regulations](#).

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](#) 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)	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)	X	X	—
Assisted Suicide —No assisted suicide or euthanasia activities. 45 C.F.R. Part 1643	X	—	—
Census —No influencing the time and manner of a census. 45 C.F.R. Part 1632	X	X	X
Class Actions —No participation in any class actions. 45 C.F.R. Part 1617	X	X	X
Criminal Cases —No criminal cases, except for in tribal courts or some court appointments. 45 C.F.R. Part 1613	X	X	—
Demonstrations and Strikes —No engaging in or encouragement of public demonstrations, picketing, boycotts, or strikes. 45 C.F.R. Part 1612	X	X	—

RESTRICTED ACTIVITIES subject to limitations and exceptions established by law	LSC FUNDS	PRIVATE FUNDS	PUBLIC FUNDS
Desegregation of Public Schools —No involvement in public-school desegregation proceedings. 42 U.S.C. § 2996f(b)(9)	X	X	—
Draft Registration or Desertion —No involvement in proceedings involving selective service registration or desertion. 42 U.S.C. § 2996f(b)(9)	X	X	—
Elected Office —Grantee attorneys may not run for partisan elected offices. 45 C.F.R. Part 1608	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	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 .	X	X	—
Habeas Corpus —No <i>habeas corpus</i> cases challenging criminal convictions. 45 C.F.R. Part 1615	X	X	—
Labor Training —No trainings for labor or anti-labor activities, boycotts, strikes, demonstrations, or supporting activities. 45 C.F.R. Part 1612	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	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	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	X	—	—
LSC Lawsuits —No filing or pursuing a lawsuit against LSC. Pub. L. 104-134, Tit. V, § 506	X	—	—
Non-Citizens —No representation of non-U.S. citizens unless specifically allowed by statute or regulation. 45 C.F.R. Part 1626 . Major statutory exceptions include: <ul style="list-style-type: none"> • 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	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	X	X	—
Political Tests . No political test for any decision or actions. 45 C.F.R. Part 1608	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	X	X	X
Prisoner Representation —No civil litigation for prisoners. 45 C.F.R. Part 1637	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)	X	X	X
Redistricting —No involvement in any legislative, judicial, or elective redistricting. 45 C.F.R. Part 1632	X	X	X

RESTRICTED ACTIVITIES subject to limitations and exceptions established by law	LSC FUNDS	PRIVATE FUNDS	PUBLIC FUNDS
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	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	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	X	X	X

4. 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 change would be considered “fundamental,” please call LSC’s Office of Program Performance.

5. 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.

6. Grantee Reporting Requirements. You must notify LSC (by emailing 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\(f\)](#)). 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 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](#) certain data about your grant activities to LSC (e.g., [Grant Activity Reports \(GAR\)](#) and [Case Disclosure Reports](#)), respectively.

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>.

7. 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\(a\)](#)

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](#)

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](#) and its [Compliance Supplement](#). 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 completed, 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.

GOVERNANCE AND PROGRAMMATIC REQUIREMENTS

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](#)

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](#)

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](#) and [45 C.F.R. Part 1610](#)

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](#)

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](#)

Plain Language and Limited English Proficiency. ([Program Letter 04-2](#)) In developing materials for the public and clients, you must consider and address the special needs of persons with limited literacy, limited English proficiency, limited experience with or knowledge of computer-related technologies, limited access to computers, and limited access to most web-based or other computer-related systems. For all new publications, forms, and materials developed or improved with any LSC funds you must ensure that they are written in a clear, concise, and well-organized manner, consistent with plain language principles, examples of which can be found at www.lep.gov, www.writeclearly.org, and www.plainlanguage.gov.

Accessibility. You must consider and address the special needs of people with disabilities, including ensuring that all electronic and web-based resources developed or improved with any LSC funds are based on or exceed the accessibility standards established in [Section 508 of the Rehabilitation Act](#) and implementing regulations. [45 C.F.R. Part 1624](#)

8. 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.

9. 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.

10. 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](#). 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.

11. 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.

12. 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.

13. No Discipline or Retaliation for Good-Faith Cooperation or Release of Records or Information. You will not take or threaten to take any disciplinary or 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.

14. Compliance with LSC Laws, Regulations, and Guidance. You will comply with the [LSC Act of 1974, as amended](#); LSC regulations at [45 C.F.R. Part 1600](#), et seq.; [LSC’s applicable appropriations acts](#); 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](#),
- [The Accounting Guide for LSC Recipients \(2010 edition\)](#), and
- [The CSR Handbook \(Rev. 2017\)](#).

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](#) for your reference, and you are always encouraged to contact us with compliance questions or requests for technical assistance.

15. Compliance with Federal Laws on the Proper Use of Federal Funds ([45 C.F.R Part 1640](#)). Your LSC grant funds are federal funds for purposes of [federal laws relating to the proper use of federal funds](#). If you, your employees, or board members violate any of [those federal laws](#), LSC may immediately terminate your grant as authorized by [45 C.F.R. § 1640.4](#). You certify that you have informed your employees and board members about these laws and the individual and organizational consequences of violating them.

16. Fraud Prevention Obligations and Procedures. You must notify the LSC OIG Hotline (800-678-8868, 202-295-1670, or 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.

17. Cost Standards and Procedures ([45 C.F.R. Part 1630](#)). 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.

18. Carryover Funds ([45 C.F.R. Part 1628](#)). 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](#).

19. 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.

20. Termination, Limited Reduction of Funding, and Debarment Procedures ([45 C.F.R. Parts 1606 and 1630 \(Subpart D\)](#); [Program Letter 15-3—Enforcement Mechanisms](#)). 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.

21. 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.

22. 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>.

23. 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.

24. 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](#) (procedures for terminating a grantee) or [1623](#) (procedures for suspending a grantee) before these types of changes take effect.

25. 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 \(FMCS\)](#), a free, government-sponsored, dispute resolution service headquartered in the District of Columbia.

26. 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.

27. 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.

28. 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.

29. 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.

30. Entire Agreement. These Terms and Conditions constitute our entire agreement with respect to your 2020 Basic Field Grant, and supersede all previous agreements, oral or written, relating to your 2020 Basic Field Grant.

31. 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. **Please complete and upload this certification form with the 2020 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](#)).

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

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

Post PQV Charts

Needs Assessment Data:

Enter the date when you conducted the most recent comprehensive assessment of civil legal needs facing the low-income population. MM/DD/YYYY

Is the future needs assessment planned?

If yes, enter date when you plan to conduct the next comprehensive assessment. MM/DD/YYYY

Legal Needs Assessment Data Collection Methods:

	Phone and/or In-person interviews	Surveys	Focus Group	Meetings	Other (Specify)
Low-income persons					
Community Organizations					
Social Services Organization					
Courts					
Other legal services providers					
Private Bar					
Program Staff					
Program Board					
Other (Specify)					

Legal Needs Assessment Data Sources and Tools:

1	Census data and other federal data sets (e.g. demographic data, employment data)	
2	Other legal needs studies (e.g. statewide needs studies, needs studies of similar service areas)	
3	Geographic Information Systems (GIS) mapping	
4	Other information (e.g. other studies conducted by academics, business groups, or nonprofits)	
5	Intake data on cases not accepted	
6	CMS data regarding case types/problem codes closed with extended or limited service	
7	CMS data showing geographic location of Applicants for service and clients	
8	Other (Specify)	

Priorities, Goals, Strategies and Desired Outcomes:

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

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.
- 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):

Comparing Outcomes to Outputs (Cont.):

Outcomes - Limited Services

6. Does the applicant collect outcomes data for limited services cases?
7. If yes, do you track:
 - Financial outcomes achieved:
 - Non-financial outcomes achieved:
- 8a. If you responded yes to Question 6, 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):
- 8b. If yes, in the text box below discuss how you use that data for advocacy strategy and program management.
- 9a. How frequently does the applicant review outcomes data?
- 9b. Please provide a narrative addressing the frequency of your program's review of outcome data in limited services cases. Why do you review with the frequency you do?
10. What method(s) does the applicant use to collect outcomes data for limited 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):

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:

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.

Fourth 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.

Intake:

1. Do you have a centralized intake system?
2. Do you have a coordinated intake system?
3. Do you have a decentralized intake system?

Days and hours of intake by type:

	Day(s) of week	Hours of the day	Percent of Intake
Telephone intake			
Walk-in intake			
In-person appointment intake			
Internet/Online intake			
Outreach intake			
Other type(s) of intake:			

Intake Policies or Procedures:

Type of Intake	Yes/No	Date last revised
1. Do you have written policies or procedures for telephone intake?		
2. Do you have written policies or procedures for walk-in intake?		
3. Do you have written policies or procedures for in-person appointment intake?		
4. Do you have written policies or procedures for internet/online intake?		
5. Do you have written policies or procedures for outreach intake?		
6. Do you have written policies or procedures for other type(s) of intake (please specify the other types of intake).		

Intake System Technology:

1	How many phone numbers do you publish for intake in your service area(s)?	
	a. Can calls to an intake number be answered at more than one location?	
2	What is the maximum number of calls your phone system can receive at the same time?	
3	Does your phone system have the capacity for voice mail for intake calls?	
4	Does your phone system have the capacity for automated attendant technology for intake?	
5	Does your phone system have automatic call distribution?	
	a. If so, can callers self-direct their call?	
	b. If callers can self-direct, can they self-select to leave a message?	
6	Does your phone system offer callers the choice to receive a callback?	
	a. If yes, does your system return the call automatically?	
7	Does your phone system include computer telephony integration?	
8	Does your phone system include an interactive voice response feature?	
9	Does your phone system have call routing by language, substantive and/or geographic area?	
10	Does your system have the ability to serve persons with speaking or hearing disabilities through access to TTY or relay service or other mechanism (e.g.; email or text messaging)?	
11	Does your phone system have the capacity to review wait times in queue, dropped calls?	
12	Does your phone system have the ability to provide recorded information to callers while waiting or after hours?	
13	Does your program provide an online intake option for prospective clients to apply for services?	
	a. If yes, is the data electronically transferred into your CMS?	
	b. If yes, does the system screen out users with legal issues that are outside the program's priorities or who are clearly ineligible?	
	c. If yes, does the system route users to other providers or online resources?	

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?
- For cases in which extended service will not be provided, receives limited action and/or referral assistance?
- 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?
- For cases in which extended service will not be provided, receives limited action and/or referral assistance?
- 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?
- For cases in which extended service will not be provided, receives limited action and/or referral assistance?
- Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

Intake Methods: Relative Percent and Time Elapsed Before Receiving Service (Cont.)**Internet/Online intake**

Percentage of Intake applications for this method: __%

How much time elapses between when the person first submits a request on-line until the prospective client:

- First speaks to an intake worker?
- Has a substantive interview?
- Receives counsel and advice?
- For cases in which extended service will not be provided, receives limited action and/or referral assistance?
- Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

Outreach intake

Percentage of Intake applications for this method: __%

How much time elapses between the initial contact until the prospective client:

- First speaks to an intake worker?
- Has a substantive interview?
- Receives counsel and advice?
- For cases in which extended service will not be provided, receives limited action and/or referral assistance?
- Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

Other type(s) of intake

Percentage of Intake applications for this method: __% Describe the Other Type(s) of intake:

How much time elapses between the initial contact until the prospective client:

- First speaks to an intake worker?
- Has a substantive interview?
- Receives counsel and advice?
- For cases in which extended service will not be provided, receives limited action and/or referral assistance?
- Receives notice that their case was assigned to a case handler for extended representation or further investigation and evaluation?

Intake Evaluation:

1. Have you conducted an internal evaluation of your intake system in the last twenty-four months?	
2. If you have not conducted an internal evaluation of your intake system in the last twenty-four months, provide the date of the last internal evaluation.	MM/DD/YYYY
3. Has there been an external evaluation of your intake system in the last twenty-four months.	
4. If there has not been an external evaluation of your intake system in the last twenty-four months, provide the date of the last external evaluation.	MM/DD/YYYY

LEP Plan and Components

1	Does Applicant have a written LEP plan?	
2	Does the LEP plan enumerate:	
	a. methods for determining the prospective client's need for interpretation and translation services?	
	b. strategies for recruiting and hiring bilingual staff or for language skills training of existing staff?	
	c. use of language translation and interpretation services when bilingual staff is not available?	
	d. procedures for training staff on the Applicant's LEP policy, how to access language services, and how to work with interpreters?	
	e. a process for translating all vital program documents into the languages of the LEP communities in the Applicant's service areas?	
	f. outreach strategies for dissemination of information about the availability of free interpretation and translation services to the members of the LEP client community that are seeking legal assistance?	
	g. steps for continued oversight and updating of LEP policies and procedures including assigned responsibility for such oversight and updating?	

Training					
Type of Training	Position Category				
	Attorneys	Paralegals	Managers/ Supervisors	Administrators	Support Staff
Advocacy Skills					
Substantive Law					
Technology					
Management					
Leadership					
Cultural Competency					
Foreign Language					
Other (specify)					

Legal Work Management			
	Method and Resources	Frequency	Where applicable, specify time period (e.g., monthly, weekly)
1.	Preparation of opening and closing memoranda		
2.	Accompanying newer attorneys to hearings, trials, depositions, oral arguments, etc.		
3.	Review of written work (e.g., briefs, significant memoranda, and pleadings)		
4.	Case acceptance meetings		
5.	Case reviews with staff		
6.	Electronic case reviews		
7.	Mooting appellate arguments		
8.	Supervisor review of files at time of closing		
9.	Availability of a litigation fund (e.g., for depositions, expert witnesses, process servers, trial aids, interpreters, and translators)		

	Casehandling Protocols	Yes or No
1	Applicant-wide or office systems for calendaring and tickling dates	
2	Case file coverage for vacation and other case handler absences	
3	File maintenance	
4	Timely case closings	
5	Capturing case outcome(s)	
6	Case handling standards	

Case Development Activities		
	Activity	Frequency
1	Complex litigation in Federal or state court	
2	Written discovery in the course of litigation (e.g., interrogatories, requests for admission, etc.)	
3	Depositions	
4	Use of expert witnesses	
5	Motions accompanied by written memoranda	
6	Jury trials	
7	Appeals to appellate courts	
8	Enforcement of judgments	

Bar Admission:

1. Do you have attorneys who are admitted to practice in federal court?
2. In the text box, list the states in which your attorneys are admitted to practice.

Advocacy

1. Do you have an advocacy manual?	
2. If you have an advocacy manual, provide the date it was last revised.	MM/DD/YYYY
3. Have you evaluated the outcomes and effectiveness of your advocacy in the last twenty-four months?	
4. If there has not been an evaluation of the outcomes and effectiveness of your advocacy in the last twenty-four months, provide the date of the last evaluation	MM/DD/YYYY

Accomplishments for Clients (Excluding PAI):**Example 1**

Example Type

- Describe the problem or challenge.
- Describe the actions the program took.
- Describe the effects, results or outcomes of the program's actions.

Example 2

Example Type

- Describe the problem or challenge.
- Describe the actions the program took.
- Describe the effects, results or outcomes of the program's actions.

Decrease on total staff cases closures of more than 20%:

In the text box below, provide an explanation for staff case closures that decreased more than 20% from the prior calendar year.

	Private Attorney Involvement	Number
1	The number of attorneys admitted to practice in the service area who are in active status.	
2	The number of attorneys who made a monetary donation to applicant in lieu of participating in the PAI project in the last twelve months.	
3	The number of partnerships established with law schools since last year.	
4	The number of partnerships established with business leaders since last year.	

Private Attorney Involvement Activities:

Number Participating	Taking Cases	In Clinics	Intake/ Hotlines	Co-counsel	Outreach/ Education	At Self-help Centers	Other (specify)
Pro bono attorneys							
Contract/ Judicare attorneys							
Law students (pro bono)							
Law graduates (Pro bono)							
Paralegals (pro bono)							
Other professionals (pro bono)							

Methods Used to Promote and Expand Involvement of Volunteer Attorneys, Law Students, Law Graduates, Paralegals, and Other Professionals		
	Methods	Frequency
1	Personal and written contacts	
2	Solicitations from organized bar	
3	Solicitations by judges	
4	Public service announcements	
5	Partnerships with business leaders	
6	Targeted recruitment of lawyers with special skills	
7	Recruitment of retired, inactive attorneys	
8	Recruitment of government attorneys	
9	Recruitment of corporate attorneys	
10	Recruitment of law students	
11	Offers of co-counseling on cases	
12	Recruitment of large law firms	
13	Encouraging law firms to adopt big issues	
14	Development of incubator projects that provide legal training and support, for a limited period of time, to law students, law graduates, or attorneys who are establishing, or upon graduation and bar admission intend to establish, their own independent law practices	
15	Provision of CLE Credit	
16	Other (please specify)	

Methods Used to Retain Volunteer Attorneys, Law graduates, Law Students, and Other Professionals		
	Methods	Frequency
1	Recognition ceremonies	
2	Recognition in publications or on websites	
3	Malpractice insurance	
4	Mentoring, co-counseling	
5	Free or low-cost training	
6	Inclusion in substantive law task forces	
7	Access to specialized research materials	
8	Access to forms and document assembly	
9	Other (please specify)	

Accomplishments for clients through PAI:

Example 1

Example Type

- Describe the problem or challenge.
- Describe the actions taken with pro bono services.
- Describe the effects, results or outcomes of the program's actions.

Example 2

Example Type

- Describe the problem or challenge.
- Describe the actions taken with pro bono services.
- Describe the effects, results or outcomes of the program's actions.

Decrease in total PAI case closures of more than 20%

In the text box below, provide an explanation for staff case closures that decreased more than 20% from the prior calendar year.

Involvement with Justice and Advocacy Community:

Example1

Example Type

(Description)

Example2

Example Type

(Description)

Board Data		
1	Enter the number of meetings of the full board in the last two calendar years.	
2	Does the board have a written policy or practice that deals with conflicts of interest or potential conflicts of interest?	
3	In the last twenty-four months did a quorum of board members attend each scheduled board meeting? If not, what was the number of meetings for which a quorum was not reached?	
4	Is there a limitation on the number of terms board members can serve on the board?	
5	Enter the number of years the board chair has been in that position.	
6	Are board members given an orientation on board responsibilities?	
7	Have board members received copies of the 2007 LSC Performance Criteria?	
8	Have board members received copies of the LSC Act and Regulations?	
9	Does the board have at least one member with expertise in accounting or auditing?	

Board Committees and Frequency Meetings:

Board Standing Committee Name	Committee Exists?	Frequency of Meetings Each Year
Executive		
Finance/Audit		
Resource Development		
Personnel/Human Resources		
Board Development committee		
Board Grievance committee		
Board Governance committee		

Additional Standing Committees

Committee Name	Frequency of Meetings Each Year

Evaluations of the executive director:

Is the executive director formally evaluated on an annual basis?

Enter the date of the last evaluation of the executive director. MM/DD/YYYY

Is the future evaluation planned?

If yes, enter the date of the next planned evaluation of the executive director. MM/DD/YYYY

Evaluations of staff:

1. Are all staff formally evaluated on an annual basis?

2. Have all staff been evaluated in the past three years?

3. Enter the most recent year in which all staff was formally evaluated. MM/DD/YYYY

Continuity of Operations Planning		
1	Does Applicant have a written continuity of operations plan?	
2	Does the continuity of operations plan address:	
	a. ensuring the safety of staff	
	b. continuing client services	
	c. preserving files, equipment and computer data bases	
	d. continuing communication among program staff, management, the board, other providers and LSC	
	e. relocation of Applicant's work site(s), if necessary	
	f. coordinating with state/local emergency preparedness entities?	
3	Is the plan annually reviewed?	
4	Is there assigned staff responsible for regular review and updating of the plan?	

Accomplishments for Clients with Other Providers:

Our program is a full-service provider (i.e., provides limited and extended services across substantive law areas, across the entire service area). True/False

Example 1

Example Type

Example 2

Example Type

Example 3

Example Type