

Request for Proposals for Basic Field Grant Funding

Opens April 10, 2017
Closes June 5, 2017

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Introduction

The Legal Services Corporation (LSC) invites applications for its 2018 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. But as a private nonprofit, it enjoys greater independence and flexibility than its federal counterparts and 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 133 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

Categories of Basic Field Grants

Through the Basic Field Grant competition, LSC awards three types of grants:

1. **Basic Field-General:** Recipients of these grants provide legal services to the general low-income population living in a geographic area defined by LSC.
2. **Basic Field-Native American:** Recipients of these grants provide legal services to Native Americans living in a geographic area defined by LSC.
3. **Basic Field-Agricultural Worker:** Recipients of these grants provide legal services to agricultural workers living in a geographic area defined by LSC.

Who is Eligible for a Basic Field Grant?

The following persons, groups, and entities are eligible to apply for a Basic Field Grant:

1. current recipients;
2. non-profit organizations that have as a purpose the provision of legal assistance to eligible clients;

3. private attorneys, groups of attorneys (a group of attorneys may compete for LSC grants as a non-incorporated body or the group may incorporate as a non-profit.), or law firms;
4. state or local governments; or
5. sub-state regional planning or coordination agencies that are composed of sub-state areas whose governing boards are controlled by locally elected officials.

Full-Range of Legal Services Required

LSC only funds applicants that will deliver a full-range of legal services to the service area or that will partner with other legal services providers to collectively deliver a full-range of legal services to the service area.

If you plan on providing services in only a few practice areas, such as housing or family law; providing services to only part of the service area; or providing only limited types of service, such as advice, referrals, or other limited services, you are ineligible for a grant unless the totality of your application demonstrates that you are or will be part of a delivery system that makes the full range of legal services available in the service area. You cannot satisfy this eligibility requirement by merely asserting that you will partner with others. Your application must affirmatively describe the collaborative arrangement that you have with partners in the service area, explain each partner's role and capacity to handle issues and particular case types that you will not be providing, and describe a plan for successfully providing the full-range of services through the delivery system partners.

Locations with Service Areas Available for Grant Awards

LSC awards grants for specified service areas. Since grants may be awarded for more than one year, not all service areas are open for competition each year. This year, LSC seeks applications for one or more service areas in the following locations:

Alaska	Maine	Pennsylvania
California	Michigan	Rhode Island
Connecticut	Minnesota	South Dakota
Delaware	Micronesia	Utah
Guam	Nebraska	Virginia
Iowa	New Jersey	Virgin Islands
Idaho	Nevada	Vermont
Kansas	Ohio	Washington
Kentucky	Oregon	Wisconsin

See the complete list of service areas available for grant awards and service area descriptions at <http://www.lsc.gov/meetings-andevents/calendar/service-areas-competition-2018-grant-awards>.

Applying for Service Areas

You may apply for funding for more than one service area. You must apply for the full amount of the grant funds available for the service area(s) you include in your application. LSC will not consider applications to divide service areas into smaller units.

Nondiscrimination

LSC does not discriminate in the awarding of these grants on the basis of race, gender, age, color, national origin, religion, disability, sexual orientation or any other basis prohibited by law.

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 2018 are based on the current Continuing Resolution (CR) for FY2017. LSC may require successful applicants to submit revised budgets and applications based on final FY 2018 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 FY2017 CR, can be viewed at [here](#).

Request for Proposals (RFP)

In April of each year, LSC issues an RFP announcing that it is requesting applications for its Basic Field Grants. The RFP contains detailed application instructions, the 2018 Basic Field Grant Terms and Conditions, and Grant Certification Form.

Applicant Informational Session

LSC will hold an informational session on April 26, 2017 (2:00 p.m. E.D.T.) to answer questions about the RFP and grant award process. This is a free, online conference to help you prepare your grant proposal and to promote participation in the grants process. Go to <http://www.lsc.gov/meetings-and-events/calendar/applicant-informational-webinar-standard-grant-application> to learn more and register for the session.

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 5, 2017. You may access and electronically submit the NIC using the online application system at <https://lscgrants.lsc.gov/>. In the NIC, you must:

- 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 2018 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

To apply for a Basic Field Grant, you must apply through LSC Grants, <http://lscgrants.lsc.gov>. The application will require you to answer questions, 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 Forms and Documents Checklist indicate the forms and documents required.

You may apply for funding to serve more than one service area. If you apply for multiple service areas, you must prepare separate grant applications for each service area. In some instances, the response to a question may be the same for multiple service areas. In this situation, you may enter a response for the service area seeking the largest grant, and the additional grant application(s) may state "Applicant services and activities are the same for this service area as for [state the larger service area]."

This Application will become available through LSC Grants on or around the week of April 10, 2017. You must complete and submit it to LSC by June 5, 2017. LSC will not consider incomplete applications. If your grant application is substantially complete but needs minor adjustments, LSC may provide you additional time to complete your application. If you fail to complete your application within the allotted time, you will be disqualified.

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 <http://www.lsc.gov/subgrant-agreements-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 will become available through LSC Grants on or around the week of April 10, 2017. You must complete and submit it to LSC by May 26, 2017.

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 an online library containing 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 applications. 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.

For service areas with more than one qualified applicant, LSC staff reviews the applications and prepares a funding recommendation. Additionally, LSC convenes a review panel of outside evaluators that reviews the grant applications and any summaries prepared by LSC and makes an independent funding recommendation to LSC. The LSC President considers both the staff recommendation and review panel recommendation when making the final grant decision.

LSC may conduct a site visit before making a final grant decision for service areas with single or multiple applicants.

Grant Award Decisions

LSC's President decides which applicants will receive grant awards. On or around December 5, 2017, LSC will post the 2018 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 an applicant 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, or 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> more information on LSC laws and regulations.

We 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 weighs each Performance Criteria Area as outlined in the table below. Consider the weight 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

To provide LSC with sufficient information to evaluate your capacity to provide effective, economical delivery of high-quality legal services to eligible clients, you must answer the following questions, complete the corresponding charts and forms, and upload the requested documents using LSC's online application system, LSC Grants.

Your answers to the application questions, charts, and forms must be responsive to the questions asked. If you do not have a particular system, strategy, procedure, policy, task, or activity that is pertinent to the question, you must demonstrate your capacity to develop and plan for adopting a compliant system, strategy, procedure, policy, or for accomplishing the task or activity. You should ensure that your answers demonstrate that you comply with the LSC Act and regulations, and that your delivery system is consistent with the LSC Performance Criteria, 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 should give particular attention to the quality, feasibility, and cost-effectiveness of your delivery approaches. Where the answer to a question involves work that is being done collaboratively within the state delivery system, please discuss that. For example, discuss the collaborative resource development efforts in your response to resource development inquiries.

Except where otherwise noted, responses to questions requiring statistical data projections should reflect projections for the first full year of the grant period.

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

Performance Area One Weight: 18%

LSC Regulation §1634.9—Selection Criteria Nos.: 1 and 2

Relevant Regulation: 45 C.F.R. Part 1620

Relevant ABA Standards: 2.1, 2.2, 2.3, 2.6, 2.11, 3.1-3.6

Criterion 1. Periodic comprehensive assessment and ongoing consideration of the most pressing legal needs

1. Discuss how you identify the legal problems and needs of clients with special access challenges and those who are uniquely or disproportionately affected by specific legal issues such as: populations with limited English proficiency (LEP), individuals with disabilities, people experiencing homelessness, individuals with limited literacy, seniors, children, rural residents, individuals who lack transportation, institutionalized individuals, and Veterans.
2. Discuss how other legal services providers and resources available in your service area address your client community's most pressing legal needs. For example, state whether other legal aid providers address a need that is not within your priorities, perform extended service or other assistance that augments your work.
3. List and briefly discuss your service area's most pressing legal needs and problems.
4. How do you identify pressing legal needs and problems that emerge in between comprehensive legal needs assessments?
 - a) List any new pressing legal needs and problems that you identified within the past twenty-four months.
 - b) Discuss your response to the legal needs newly identified and any changes you made to your delivery system to address them.

RFP Charts for this Criterion:

- Needs Assessment Data
- Legal Needs Assessment – Data Collection Methods
- Legal Needs Assessment – Data Sources and Tools

Criterion 2. Setting goals and objectives, developing strategies and allocating resources

1. Describe how you allocate resources and staffing responsibilities compared to the “priorities, goals, strategies and desired outcomes” form that you complete for this criterion.
2. Discuss your case acceptance guidelines and how they relate to your goals, objectives and desired outcomes.
3. Discuss how you assess outcomes in extended services cases, and how you use that data for advocacy strategy and program management.

4. Discuss whether and how you assess client outcomes in limited services cases or in other aspects of your work.

RFP Charts for this Criterion:

- Priorities, Goals, Strategies and Desired Outcomes
- Outcomes Data

Criterion 3. Implementation

No questions or charts for this Criterion.

Criterion 4. Evaluation and adjustment

1. Describe your most recent strategic planning process. Specifically address:
 - a) staff and board involvement,
 - b) the evaluation of the efficiency and effectiveness of your advocacy and service delivery system, including components of the system (e.g., intake, pro se, limited service, extended service, community legal education, private attorney involvement),
 - c) the evaluation of strategies that ensure effective legal services delivery in response to the most critical legal needs, and
 - d) the goals you plan to achieve to help ensure the growth, stability, and viability of the program (e.g., office location, staffing, technology, leadership, organizational structure, administration, resource development).

RFP Charts for this Criterion:

- Applicant's Most Recent Strategic Planning Process
- Outcomes Met for Previous Priorities

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

Performance Area Two Weight: 20%
LSC Regulation §1634.9—Selection Criteria Nos.: 1, 2, and 4
Relevant Regulation: 45 C.F.R. §§ 1611.7, 1611.8, 1616.3, 1616.4, 1616.5, 1616.7, 1624.5
Relevant ABA Standards: 2.4, 2.5, 4.1, 4.2, 4.5, 4.6, 6.1

Criterion 1. Dignity and Sensitivity

1. How do you integrate triage into your intake system? Explain at what point(s) in the process and how you refer prospective clients to other legal aid providers, to the statewide website, pro se resources, or to social service or other resources.
2. Discuss how you process walk-in applications. Describe any policies for accepting walk-in applications, such as for emergencies only, no home telephone, applicant traveled a significant distance to office, etc. Do you accept walk-in applications or refer applicants to a telephone or computer to make an application for services?

3. When were your written intake procedures and policies last revised and what were the three most notable changes that were made?
4. How do you staff your intake process?
 - a) Briefly describe the positions (e.g., attorney, paralegal, supervisory, screener) involved in the intake function, the duties assigned to each position, and state the number of staff in each position.
 - b) Briefly describe how intake staff are supervised and how you oversee the intake process, including the provision of advice and referrals during the intake and case acceptance process. Who supervises staff and oversees the process and with what frequency? Are the supervisors attorneys?
 - c) Briefly describe the initial and ongoing intake training you provide to staff.
5. How do you increase awareness about and accessibility to your intake and other services?
 - a) Describe how you publicize your intake process and the services you offer to the client community, agencies, courts, and other organizations that interact with the client community.
 - b) Describe how you promote access to your services for prospective clients who are veterans, have limited English proficiency, have disabilities, lack transportation, are experiencing homelessness, are institutionalized, lack telephones, or who may experience other access barriers.
 - c) Discuss how you collaborate with other legal services providers in the service area to minimize multiple referrals of the same prospective client.
6. Discuss how you evaluate your intake system.
 - a) Describe how your intake system has been evaluated internally and externally in the last twenty-four months. Address all aspects of the intake system that have been evaluated, including but not limited to: access, overall structure, staffing, technology, use of in-person appointments, language capacity, call volume, hold time, use of call backs, time for making acceptance decisions.
 - b) Identify any notable changes that you made to your intake system in the last twenty-four months.

RFP Charts for this Criterion:

- Intake
- Days and Hours of Intake by Type
- Intake System Technology
- Intake Methods: Relative Percent and Time Elapsed Before Receiving Service

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

1. Describe your outreach activities to major segments of the low-income population in the service area during the last twenty-four months, and the activities you plan on performing next year. Discuss your participation at meetings of community groups and service providers.
2. Explain why you chose to locate your offices where they are, including geographic proximity to diverse client communities in the service area, courts, administrative agencies, other social service providers and public transportation.

3. Discuss how you promote diversity among program management, advocates, and other staff.
4. Discuss how you serve persons with speaking or hearing disabilities; i.e. through access to TTY or relay service or other mechanism (e.g.; email or text messaging).

RFP Charts for these Criteria:

- LEP Plan and Components

Performance Area Three.

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

Performance Area Three Weight: 35%

LSC Regulation §1634.9—Selection Criteria Nos.: 3, 4, 5, 6, and 7

Relevant Regulation: 45 C.F.R. Parts 1614, 1616, 1611, 1629

Relevant ABA Standards: 2.3, 2.7, 2.8, 2.9, 2.10, 2.12, 3.1, 3.3, 3.4-1, 3.4-2, 3.5, 3.6, 4.1, 4.2, 5.1, 5.2, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6

Relevant ABA Pro Bono Standards: 2.4, 3.4-7, 3.5, 4.2, 4.4, 4.5, 4.6

Criterion 1a. Legal representation: Applicant has in place adequate capacity to carry out its work, insofar as its resources permit.

1. Discuss your staff's expertise and how staff stays aware of developments in legal services delivery. Address your staff's expertise as it relates to your priorities, and how you use specialized legal expertise (both within and outside the program) to provide direct legal representation, including litigation of complex issues.
2. Describe the research materials and tools available to your staff (e.g., online legal research, libraries, poverty law manuals, practice manuals) and knowledge management (e.g., brief and form banks, substantive listservs, document management such as HotDocs, and other web-based resources).

RFP Charts for this Criterion:

- Training

Criterion 1b. Legal representation: Applicant utilizes systems, approaches, and techniques sufficient to ensure that the representation is carried out with maximum effectiveness.

1. Describe your case assignment process.
2. Discuss your provision of limited service. Address:
 - a) which staff positions provide advice and limited services,
 - b) the main case types and/or situations for which you customarily provide limited services,
 - c) how you evaluate the provision of limited services, and
 - d) any notable changes you made to how you provide limited services based on the results of internal or external evaluations conducted in the last 12 months.

RFP Charts for this Criterion:

- Legal Work Management
- Casehandling Protocols

- Case Development Activities

Criterion 1c Legal representation: Applicant's legal representation achieves as much as is reasonably attainable for the client, given the extent of the representation, the client's objectives and the circumstances of the case. Consistent with applicable rules and decisions governing professional responsibility, program goals and objectives, client objectives, and funding requirements, in its representation and work applicant maximizes the use of its resources and achieves in its representation and work the greatest possible benefits and systemic solutions for other low-income people who may face similar legal problems, and for the eligible population as a whole.

1. Describe your advocacy structure and methods. Discuss:
 - a) whether you use practice groups or practice area task forces,
 - b) your supervisory structure (supervision by office managing attorneys or practice group supervisors),
 - c) whether advocates are generalists or specialists, and
 - d) the extent of impact advocacy.
2. Describe how advocates identify issues within an individual case (or cluster of cases) that are appropriate for a systemic approach or solution.
3. Discuss your overall goals for advocacy in the next year. Are there particular areas of emphasis, legal issues that will be addressed, strategies to overcome economic or other barriers confronting the eligible population, etc.?
4. Describe how you have evaluated the effectiveness of your legal representation, including outcomes, in the last twenty-four months. Has your legal representation been evaluated by an external entity in the last twenty-four months? Identify any notable changes made as a result of these evaluations, and discuss the evaluation findings that prompted these changes.

RFP Charts for this Criterion:

- Bar Admission
- Accomplishments for Clients (Excluding PAI)
- Decrease in total staff case closures of more than 20%

Criterion 2. Private attorney involvement (PAI)

Note: You are required to upload your current year PAI plan (as a PDF file) as part of your grant application. To the extent your PAI plan addresses the inquiries below, include in your response the page and paragraph references to the PAI plan. Provide a response to the inquiries below that are not addressed in the PAI plan. Pursuant to 45 C.F.R. § 1614.6(b) applicants are required to present their PAI plan to all local bar associations and to summarize responses received. Include the following information on the title page and in the header of the PAI plan: applicant name, applicant number, and "PAI Plan for" [Year]. Use RFP Budget Form D-13 to prepare and submit applicant's PAI budget.

If you are a new applicant who does not have a current year PAI plan, you must still respond to each of the inquiries below.

1. Explain how your PAI project addresses the legal needs of eligible clients in your service area, consistent with your priorities. See 45 C.F.R. § 1614.6(a)(1).

2. Describe the opportunities available for private attorneys, law students, law graduates, or other professionals to participate in your legal services delivery, and, for each category, describe how you will involve them in your work. See 45 C.F.R. § 1614.6(a)(2). For example, will volunteers participate in full service representation, special projects, hotlines or provision of telephone advice, “live chat” or other online information or advice, pro se clinics, interpretation with LEP clients, community education, writing pamphlets, co-counseling or other major litigation activity, transactional work, contributing to websites, technical assistance, mentoring staff, and staff training or other opportunities. State whether the private attorneys, law students, law graduates, or other professionals will participate as pro bono, by contract for reduced fee, or Judicare.
3. Discuss how you consulted with the client community, law schools, business leaders, private attorneys, and bar associations in the service area to develop your PAI plan, and the results of those consultations. See 45 C.F.R. § 1614.6(a)(3).
4. Describe the process used to: a) identify cases suitable for referral to the PAI project, b) route cases to private attorneys, and c) identify cases, applicants, or low-income persons appropriate for other delivery options noted in #2 above. Identify the number of staff members involved in the PAI process, their titles and experience level.
5. Discuss how you will ensure quality control of your PAI program, including how you will assure that volunteers are qualified, that they receive sufficient support and training in their efforts, and that all cases and referrals for PAI are appropriate. Describe your procedures that ensure timely referral, follow-up, and disposition of PAI projects and cases and ensure client satisfaction with the services provided.
6. Describe the partnerships you have to recruit volunteers and to improve your pro bono program.
7. Describe successes and/or changes in PAI activity since the November 2014 revision to 45 C.F.R. Part 1614 e.g., signature PAI projects, innovative uses of technology, partnerships with business leaders, increases in cases and referrals, partnerships with law schools, use of senior lawyers, use of law students and law graduates, participation in medical-legal partnerships or other similar partnerships. Also describe your ideas for expanding PAI going forward as a result of the revision to 45 C.F.R. Part 1614, including new ideas for recruiting and retaining volunteers.
8. Respond to each of the inquiries below regarding your PAI project.
 - a) Describe the major challenges your PAI project faces. Include a brief description of (i) any other private attorney projects in the service area that attract private attorneys; (ii) any bar or court rules that present challenges to pro bono participation; (iii) any economic constraints on private attorneys that would affect their participation in pro bono activities; and (iv) any other explanations for low participation in your PAI program.
 - b) Describe how you intend to overcome the challenges described above in response to #8.a.
9. Describe any bar or court rules or practices that facilitate or encourage pro bono participation in your service area and in your PAI project.

RFP Charts for this Criterion:

- Private Attorney Involvement
- Private Attorney Involvement Activities
- Methods Used to Recruit Private Attorneys

- Methods Used to Retain Private Attorney Volunteers
- Accomplishments for Clients through PAI
- Decrease in total PAI case closures of more than 20%

Criterion 3. Other program services to the eligible client population

1. Describe what community legal education you have provided in the past twenty-four months. Include the number of events, the audience, approximate number of persons attending, and topics covered.
2. Discuss your efforts to assist persons proceeding pro se in the past twenty-four months. Address:
 - a) how you have assisted persons proceeding pro se (in addition to community education) (e.g., through forms provided on a website, court self-help center, clinics, or individual assistance), and
 - b) your procedures for evaluating the efficiency and the effectiveness of your efforts assisting persons proceeding pro se.

Criterion 4. Other program activities on behalf of the eligible client population

No questions for this Criterion.

RFP Charts for this Criterion:

- Involvement with Justice and Advocacy Community

Performance Area Four. Effectiveness of governance, leadership and administration

<p>Performance Area Four Weight: 27%</p> <p>Selection Criteria Nos.: 3, 4, 5, 6, 7, and 9</p> <p>Relevant Forms: Form D (Budget Forms), Form F (Governing/Policy Board Forms), and Form K (Technology Form)</p> <p>Supplementary Documentation: Performance Evaluations and Monitoring Reports</p> <p>Relevant Regulation: 45 C.F.R. Parts 1607, 1620</p> <p>LSC Audit Guide for Recipients and Auditors: Sections II.2, III.1</p> <p>Relevant ABA Standards: 1.1 – 1.1-6, 1.2 – 1.2-4, 1.3, 2.2, 2.3, 2.4, 2.5, 2.10, 2.11, 2.12, 3.1, 3.2, 3.3, 3.4, 3.5, 3.6, 5.1, 5.2, 5.3, 5.4, 5.5, 6.1, 6.2, 6.3, 6.4, 6.5, 6.6</p>

Criterion 1. Board Governance

1. What efforts, if any, have you made to have the board composition reflective of your service area's demographics?
2. Describe any formal or informal training regarding board responsibilities, including board orientation for new members, the board received in the last twenty-four months.
3. Describe how the board exercised its oversight and leadership responsibilities in the last twenty-four months. Address participation in:
 - a) major policy decisions and key challenges or opportunities you faced,
 - b) significant board activities (excluding board meetings) that demonstrate the board's commitment to you and your mission, efforts to promote community awareness of your organization, and efforts to enhance your effectiveness,

- c) strategic planning and fiscal oversight,
 - d) reviewing external organizations' reviews of your organization, and
 - e) resource development.
4. Describe the process used in the last evaluation of the executive director.
 5. Do your board members overlap with a partner provider's board members? If yes, state a) the name of the other organization and its relationship to your organization, b) the number of your board members that are on the partner's board, c) whether officers overlap with the other organization's officers, and d) how potential conflicts of interest are identified and addressed.

RFP Charts for this Criterion:

- Board Data
- Board Committees and Frequency of Meetings
- Evaluations of the Executive Director

Criterion 2. Leadership

1. Discuss your efforts to ensure effective leadership.
 - a) Identify your leadership team members and their responsibilities.
 - b) Discuss briefly how your leaders galvanize staff, promote a unified mission, and effectuate an efficient delivery system.
 - c) Describe opportunities you provide to develop future diverse leaders at your organization. Describe any mentoring systems, leadership training and other initiatives, recognition of key staff as leaders, opportunities for staff to develop and exercise leadership skills, and promotion opportunities.
 - d) Do you have a written leadership succession/transition plan to ensure leadership continuity in the event of a leadership change? Briefly describe the written plan or your approach to leadership succession/continuity.

RFP Charts for this Criterion:

- There are no RFP Charts for this criterion.

Criterion 3. Overall management and administration

1. Discuss your efforts to ensure effective management and administration. Discuss:
 - a) your management structure, including middle managers, and
 - b) your process for involving staff, board members, and other stakeholders in major policy matters, and how and to whom you communicate major policy decisions.
2. Discuss your systems and procedures that ensure compliance and enforcement of LSC's policies and regulatory requirements. Identify staff training provided and how frequently you review your compliance with LSC regulations. Identify any staff positions responsible for ensuring compliance and enforcement of LSC's policies and regulatory requirements.
3. Describe your technology planning process including: a) who participated in the planning process; b) the basic elements of the planning process; c) how technology planning is integrated into your overall service delivery planning, including how you use technology to improve areas such as intake, outreach, document production and/or other processes through which you deliver services; and d) how technology planning is reflected in your current annual budget.

4. Do you have a technology use policy (including for Internet use), and, if so, briefly discuss the policy? Does the policy permit staff to use their own devices to access company email and records? If so, briefly discuss the personal device use policy.

RFP Charts for this Criterion:

- Continuity of Operations Planning

Criterion 4. Financial administration

There are no RFP Inquiries or Charts for this criterion. Budgeting and financial management are covered in the Fiscal Grantee Funding Application.

Criterion 5. Human resources administration

1. Describe the process used to formally evaluate staff. How are the evaluations used to improve performance and promote professional development?
2. Describe your human resources administration. Address:
 - a) the number of human resources administration staff expressed in Full Time Equivalent (FTEs), their qualifications, and any training or other professional development opportunities provided,
 - b) whether you have assessed salaries and benefits in the last twenty-four months,
 - c) whether human resources administration plans and policies have been reviewed in the last twenty- four months, and
 - d) the process for resolving employee complaints.
3. Discuss your strategies used to retain and promote high-quality staff. Address:
 - a) your retention efforts, including whether your attorneys receive loan repayment assistance for law school debt, reimbursement for bar examination fees, paid leave for bar examination study time, or other similar benefits, and
 - b) how you recognize exceptional staff accomplishments.

RFP Charts for this Criterion:

- Evaluations of Staff

Criterion 6. Internal communications

1. Describe your policies and procedures for promoting and assuring regular communication among staff and among offices. Address:
 - a) the frequency of staff meetings in offices and units, program-wide meetings, and office visits conducted by the executive director and/or other key management staff, and
 - b) how leadership, management, and staff communicate (e.g., staff meetings, conference calls, video conferences, an intranet, or newsletters).

Criterion 7. General resource development and maintenance

1. Describe your resource development capacity. Address:
 - a) the number of resource development staff expressed in FTE(s), their qualifications, and any training or other professional development opportunities provided, and
 - b) use of resource development consultants or contractors.

2. Describe your resource development activities over the past twenty-four months and those planned for the next twenty-four months. Address:
 - a) obtaining funds from federal, state, and local government sources, foundations, and other private sources,
 - b) bar member or other major private fundraising campaigns,
 - c) efforts to obtain cy pres or other awards,
 - d) development efforts with community organizations and agencies serving the low-income population, and
 - e) leveraging non-financial resources, e.g., donations of office equipment, law student and retired attorney volunteers, law school faculty or other law school resources, and former clients and/or lay advocates.

3. Do you publicize your accomplishments in newsletters, annual reports, newspaper articles and website postings? If so, discuss how these efforts are used to promote fundraising, and give any evidence of their success. Discuss recognition the applicant gives to donors.

Criterion 8. Coherent and comprehensive delivery structure

No RFP questions or charts for this criterion.

Criterion 9. Participation in an integrated legal services delivery system

1. Describe your contributions to statewide and/or regional efforts within the past twenty-four months to foster an integrated legal services delivery system including to:
 - a) ensure the availability of a full range of civil legal assistance,
 - b) eliminate access barriers for low-income persons and provide meaningful services to low-income persons,
 - c) effectively utilize resources including financial resources, volunteers, and in-kind resources,
 - d) increase communications and the exchange of information among legal services providers, and
 - e) ensure training and assistance in key areas of law and practice.

The question below is only for applicants who provide: a) services limited to a few types of legal services (e.g., housing and family law); b) a full range of legal services, but only to a portion of the service area (e.g., a full range of legal services is provided, but only in three-quarters of the service area); or c) limited service (i.e., counsel and advice, limited action). An applicant providing less than a full range of service is required to demonstrate that it is or will be part of a delivery system that provides a full range of legal services to an entire service area. If you provide a full-range of service throughout the service area, state that in the answer field and do not respond to the question.

2. Describe the legal services provided by 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.

RFP Charts for this Criterion:

- Accomplishments for Clients with Other Providers (required only for programs that are not full service providers)

Helpful Checklists

The checklists below identify all the questions, charts, forms, and documents that must be completed as part of your application.

All forms and instructions are available at <https://lscgrants.lsc.gov/>. Click on the “Submit Application” link for the desired service area. To access and submit Grant Application Forms, select and complete the appropriate form, and save the entry. To upload files, click the “Uploads” link on the left navigation bar. Click “Select Upload type” at the bottom of the screen. Upload all documents as PDF files.

Grant Application Checklist

GRANT APPLICATION FORM	DESCRIPTION
<input type="checkbox"/> RFP Questions and Charts	You must respond to all application questions and charts through the online system.
<input type="checkbox"/> Subgrant Information	You must respond to questions regarding current and proposed subgrants.
<input type="checkbox"/> Budget Forms D-12, D-14, D-2, D-4	Budget forms collect projected 2017 and 2018 revenue and expense information. <i>Form D-2 and D-4 are only required for applicants that are not current recipients of LSC funding.</i>
<input type="checkbox"/> Form E-1	Form E-1 collects actual 2016 staffing information. <i>This form is only required for applicants that are not current recipients of LSC funding.</i>
<input type="checkbox"/> Form G-1	Form G-1 collects 2016 client services information. <i>This form is only required for applicants that are not current recipients of LSC funding.</i>
<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 PAI (Private Attorney Involvement) expenses.
<input type="checkbox"/> Form K	Form K captures information about current office technology (hardware and software). <i>Form K is different from the Technology Plan.</i>

GRANT APPLICATION FORM		DESCRIPTION
<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 a description of the geographical and cultural characteristics of your service area(s), the scope of legal services provided, and the delivery methods and distinctive characteristics of your organization.
<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 should describe your capacity to protect against any such conflicts that may arise during the term of the grant or contract.
<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 you or any of your 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

UPLOAD DOCUMENT	RFP REFERENCE/ INSTRUCTION
<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"/> Resumes	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 Year 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.

	UPLOAD DOCUMENT	RFP REFERENCE/ INSTRUCTION
<input type="checkbox"/>	2017 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"/>	2017 Technology Plan	You must state how you use technology in your services. 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 PIA, 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 2016 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).
<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	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.”

Questions about the RFP and LSC Contact Information

If you have questions about the RFP or application process, please contact the LSC Grants Services Desk at lscgrants@lsc.gov. LSC will also hold an online interactive informational session to answer questions about the process on **April 26, 2017 at 2 pm (EDT)**. To register, please visit <http://www.lsc.gov/meetings-andevents/calendar/informational-webinar-standard-grant-application>.

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 Reginald Haley at haley@lsc.gov if you do not receive a response from either service desk within 48 hours.

Key Dates and Deadlines

RFP Issued	On or around the week of April 10th
Applicant Informational Session held. To participate, register online here	April 26, 2017 (2:00 p.m. E.D.T.)
Notice of Intent to Compete Due Date	May 5, 2017 (5:00 p.m. E.D.T.)
Fiscal Grantee Funding Application Due Date	May 26, 2017 (5:00 p.m. E.D.T.)
Standard Basic Field Grant Application Due Date	June 5, 2017 (5:00 p.m. E.D.T.)
Grant Decisions Published	December 2017

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>.

Grant Terms and Conditions

(provided below)

2018 Grant Terms and Conditions

If awarded a 2018 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	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	—
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

RESTRICTED ACTIVITIES subject to limitations and exceptions established by law	LSC FUNDS	PRIVATE FUNDS	PUBLIC FUNDS
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
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 (see [45 C.F.R. Part 1630](#));
- 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](#)).

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.

Records Management. You should establish a Records Management Policy that includes a record retention and disposal schedule. You must retain the following types of records as follows:

- closed client files for at least five years or for the period of time set by federal, state, local, or professional ethics rules on record maintenance, whichever is longer;
- all grant-related records during and after the grant term as prescribed by the Accounting Guide for LSC Recipients, Appendix II; and
- original financial records and supporting documentation (or digital images of originals unless otherwise required by applicable law) sufficient for LSC to audit and determine whether the costs incurred and billed are reasonable, allowable and necessary under the terms of the grant, as prescribed by the Accounting Guide for LSC Recipients, Appendix II.

Outside Practice of Law—You must adopt a policy on outside practice of law by full-time attorneys that complies with the LSC Act, 45 C.F.R. Part 1604, and applicable rules of professional conduct. You may adopt additional restrictions as necessary to meet your professional obligation to clients. [45 C.F.R. Part 1604](#)

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](#)

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 \(2010 edition\)](#),
- [The CSR Handbook \(Rev. 2017\)](#), and
- [The Property Acquisition and Management Manual](#).

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. All LSC-related derivative income is subject to the cost standards in LSC regulations 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](#).

18. Grant Term and Renewal. Basic Field Grants are awarded 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.

19. Termination, Limited Reduction of Funding, and Debarment Procedures ([45 C.F.R. Part 1606](#); [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 sixty (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.

20. 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.

21. 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>.

22. Intellectual Property Rights. 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.

23. 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.

24. 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.

25. 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.

26. 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.

27. 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.

28. 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.

29. Entire Agreement. These Terms and Conditions constitute our entire agreement with respect to your 2018 Basic Field Grant, and supersede all previous agreements, oral or written, relating to your 2018 Basic Field Grant.

30. 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 upload this completed certification form by August 21, 2017.

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 none of your employees have 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](#)).

Name of Executive Director/Chief Executive

Name of Governing Body Chair (or other organization official authorizing this application)

Title

Title

Signature

Signature

Date

Date