

2018 Grant Renewal Application for Basic Field Grant Funding

**Opens April 10, 2017**

**Closes June 5, 2017**

**Legal Services Corporation**

**2018 Grant Renewal Instructions**



**This instruction is for current LSC grantees that have not had an LSC program quality visit since January 1, 2015. Contact the LSC grants service desk at** [**lscgrants@lsc.gov**](mailto:competition@lsc.gov) **if you have any questions regarding this matter.**



This document contains instructions for preparing the 2018 grant renewal application. You are required to submit a grant renewal application to receive 2018 funding if you received a three-year grant in calendar year 2016, or a two-year or three-year grant beginning in calendar year 2017. **Grant renewal applications are due June 5, 2017, 5:00 p.m. E.D.T.**

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Instructions

The grant renewal application informs LSC about significant changes or major developments in your delivery system since the submission of your most recent grant award application.

## 2018 Automated Grant Renewal Application.

You will complete the grant renewal application online at <https://lscgrants.lsc.gov/> by entering responses to inquiries into the text boxes of the online application. You can download and print all components of your renewal submission as a single PDF file, including the renewal inquiries and your responses, and grant renewal forms.

## Preparing Responses to Grant Renewal Inquiries.

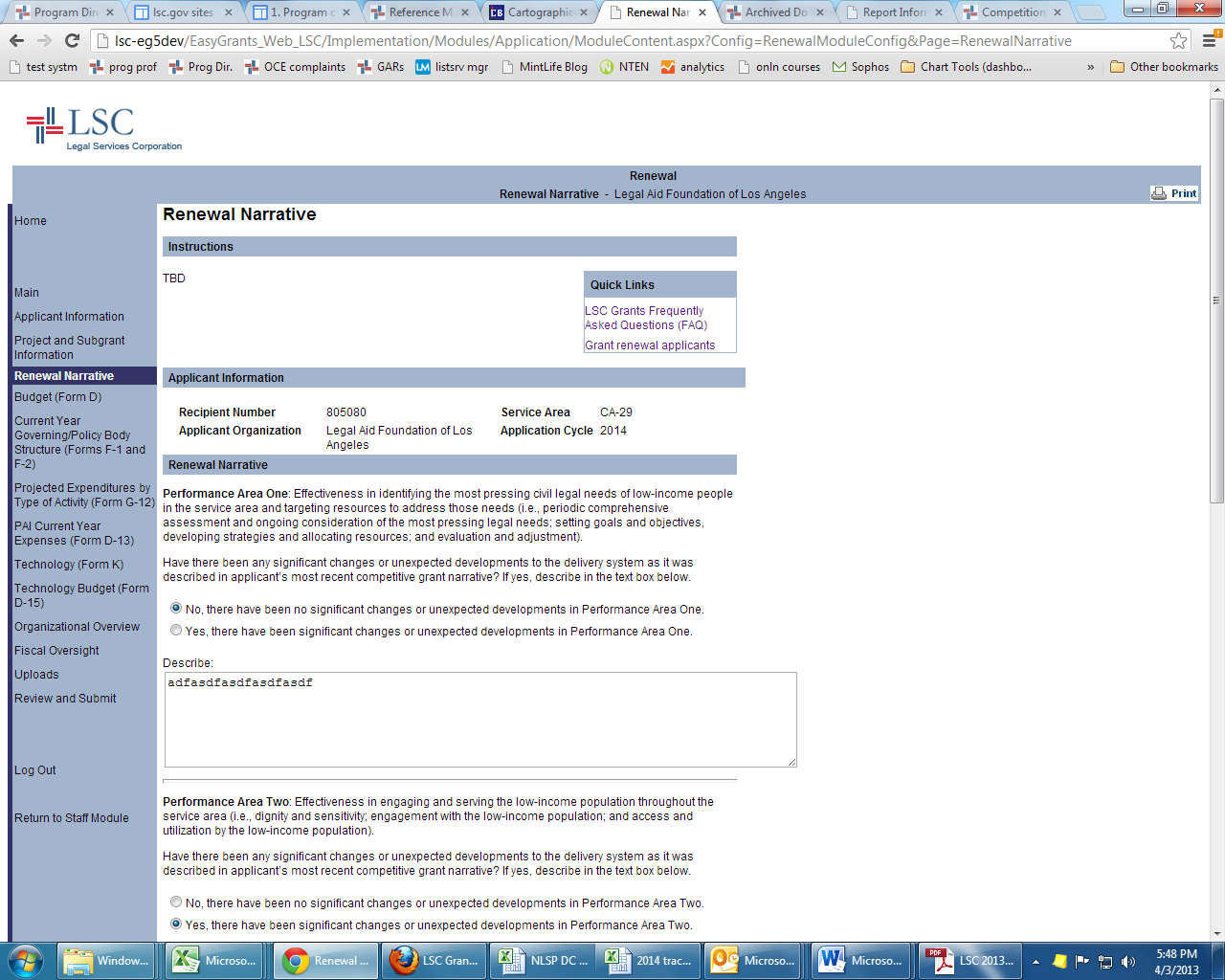
The grant renewal application follows the four performance areas of the LSC Performance Criteria. Review the delivery approach described in your most recent grant award application before completing the grant renewal application.

For each Performance Area, check “No” if there have been no major developments or significant changes to client services or the delivery system described in your most recent grant award application, and continue to the next inquiry. Check “Yes,” if there have been major developments or significant changes to the delivery system since your mostrecent grant award application, and explain those significant changes or major developments.

You will find examples of significant changes and major developments under each performance area in the grant renewal application. The examples provided are not an exhaustive list. You should address all major developments and significant changes to the delivery system and those anticipated during the grant year.

## Using the Automated Grant Renewal Application.

To respond to the grant renewal inquiries, after logging into the online application system at <https://lscgrants.lsc.gov/>, click on the “Renewal Narrative” link on the navigation bar on the left side of the screen. This will open the renewal application, where you will enter responses to the renewal inquiries in an online form.



2018 Grant Renewal Inquiries

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**

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area One.

❑ Yes, there have been significant changes or major developments in Performance Area One.

**Examples of significant changes and major developments for Performance Area One:**

* + conduct or postpone a client needs assessment
  + change in program priorities
  + identification of new emerging needs
  + conduct or postpone strategic planning
  + changing your legal services delivery system from full service to provision of limited services only
  + shifts of 20% or more in resources allocated for cases, other services, or support activities

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

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area Two.

❑ Yes, there have been significant changes or major developments in Performance Area Two.

**Examples of significant changes and major developments for Performance Area Two:**

* + opening or closing an office
  + change in intake process such as implementing centralized or coordinated intake, launching online intake or decrease/increase of intake hours of 20% or more
  + adoption of new Limited English Proficiency Plan
  + changing your legal services delivery system from a branch office delivery structure of three or more offices to one central office

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

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area Three.

❑ Yes, there have been significant changes or major developments in Performance Area Three.

**Examples of significant changes and major developments for Performance Area Three:**

* + increases or decreases in advocacy staff of 20% or more
  + changes in legal work management (e.g., implementation of practice groups, adoption of new case management protocols/standards, changes in supervisory structure)
  + implementation of new projects (e.g., veteran’s projects, foreclosure clinics, medical/legal projects, pro bono initiatives)
  + new developments in PAI activities (pro bono hotlines, clinics, collaborations with law firms, co-counseling)
  + changing your legal services delivery system from a staff model to a Judicare model

**Performance Area Four. Effectiveness of governance, leadership and administration**

Using the examples of significant changes and major developments listed below as a guide, check the appropriate box. If there have been significant changes or major developments, explain them in the text box.

❑ No, there have not been any significant changes or major developments in Performance Area Four.

❑ Yes, there have been significant changes or major developments in Performance Area Four.

**Examples of significant changes and major developments for Performance Area Four:**

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

End of 2018 Grant Renewal Inquiries

Grant Renewal Forms – Access Instructions and Checklist

Access all forms and instructions for preparing forms online at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/). To access and submit application forms, click on the “Submit Renewal Application” link for the desired service area, select the appropriate form, enter the required data, and click the save button after data entry is complete.

| **Application Form** | | **Description** |
| --- | --- | --- |
| ❑ | **Renewal Inquiries** | You will enter responses to the grant renewal inquiries and concisely explain any significant changes or major developments in your delivery system since the submission of the most recent grant award application. See page 3 for more information. |
| ❑ | **Project and Subgrant Information** | You are required to submit information concerning each current and prospective subgrant of LSC Basic Field funds, as well as each current and prospective subgrant of non-LSC funds if the subgrant involves PAI activities. |
| ❑ | **Budget Forms**  D-12, D-14 | Budget forms collect projected 2018 revenue and expense information. |
| ❑ | **Forms F-1 and F-2** | These formscapture the name, contact information, and demographic information of each filled board position; the name of the appointing organization; and the relevant experience of each board member.  **Note:** If you do not currently have a governing or policy body that complies with 45 C.F.R. Part 1607.3 you must provide a plan to meet this requirement. |
| ❑ | **Form G-12** | Form G-12 captures projected expenditures for cases, other services, and supporting activities. |
| ❑ | **Form D-13** | Form D-13 captures information regarding Private Attorney Involvement expenses. |
| ❑ | **Form K** | Form K captures information about current office technology (hardware and software). |
| ❑ | **Form D-15** | Form D-15 captures projected LSC and non-LSC expenses for carrying out your 2018 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 as a separate document. |
| ❑ | **Organizational Overview** | The overview describes the geographical and cultural characteristics of your service area(s), the overall delivery system, the scope of legal services you provide, and the delivery methods and distinctive characteristics of your organization. |
| ❑ | **Accomplishments for Clients** | Describe your three most significant accomplishments for clients in cases or other services within the last twelve months. |
| ❑ | **Accomplishments for Clients through PAI** | Describe your three most significant accomplishments for clients in cases or other services through PAI within the last twelve months. |
| ❑ | **Involvement with Justice and Advocacy Community** | Describe your three most significant efforts, in the past twelve months, with the judiciary, organized bar, government agencies, social service agencies, academic and research centers, state and national legal advocacy organizations and other organizations that work with or have an impact on the eligible client population. |
| ❑ | **Accomplishments for Clients with Other Providers**  *(For applicant’s that provide limited services only)* | Describe the three most significant accomplishments for clients in cases or other services within the last twelve months provided in collaboration with other legal services providers. |
| ❑ | **Outcomes Met for Previous Priorities** | Identify the extent to which outcomes planned were actually met. |
| ❑ | **Program Priorities** | Provide information about your board-approved priorities, goals, strategies and outcomes. |
| ❑ | **Fiscal Oversight and Internal Controls** | You must disclose whether you experienced fraud, misappropriation of funds, embezzlement, or theft within the last twenty-four months. |

## 

Preparing the Overview of your Organization and Delivery System

and the Organization Chart

Provide an overview of your organization and delivery system and a current copy of your organization chart. In the overview provide: 1) a concise description of the geographical and cultural characteristics of your service area(s); 2) a description of the delivery system including your organizational structure, any subsidiary or affiliate organizations, and the scope of legal services provided; and 3) the delivery methods employed, and the distinctive characteristics of your organization. LSC may use excerpts from your overview in publications and presentations.

The overview is submitted as an online form. See page 6 for instructions on accessing the online form used to transmit this information. Instructions for preparing the overview are provided below and with the online form.

The organization chart should depict the components of your organization including, the titles of the management and executive positions responsible for those components, the number of staff positions in each component and any subsidiary or affiliate organizations. You will upload the organization chart. See the upload instructions on page 9.

**Description of the geographical, demographic, and cultural characteristics of the service area.** This description should address whether your service area is either urban or rural or a mix, and explain which counties or cities (or the number of counties or cities) classify it as such. If there have been significant changes, explain what those changes are and how those changes affect the eligible client population of the service area. If there have been no significant changes, the response would indicate this and go on to explain the characteristics that have consistently affected the eligible client population. In describing the distinctive characteristics of the service area, it would be helpful to make note of the things such as the service area’s poverty, changes in population, area-specific legal issues, or other such characteristics.

**Describe your legal service delivery system.**

Discuss whether you provide a full range of services, including limited as well as extended and contested cases; and a full range of case types. State whether the full range of service covers the entire service area. If you do not provide a full range of service explain the methods employed to ensure that a full range of services is provided to the client population. Describe your organizational structure. Include a description of any subsidiaries or other affiliated corporate entities, their relationship to your program, and their mission and function.

**Describe the service delivery methods and distinctive characteristics of your organization.**

Discuss the service delivery method(s) employed (e.g., specialized law units, legal helplines, impact litigation, compensated and pro bono private attorney models, pro se). This description should also include the most distinctive characteristics of your organization.

Governing/Policy Body Requirement

You are required to have a governing or policy body (board) consistent with the requirements of 45 C.F.R. Part 1607. The regulation is designed to ensure that the recipient’s board is qualified to guide your program in its efforts to provide high quality legal services and to ensure that you are accountable to your clients.

The regulation makes a distinction between governing and policy boards. A governing board has authority to govern the activities of a recipient receiving funds under 42 U.S.C. § 2996e(a)(1)(A). A policy board is established by a recipient to formulate and enforce policy with respect to the services provided under a grant or contract made under the Act. A policy board must be approved by the President of LSC through a waiver of the governing body regulations.

The regulation requires that the composition of the board be at least one-third eligible clients appointed by appropriate client groups, and at least 60 percent attorneys. The remaining members of the board may be appointed by your board or selected based on your policies or bylaws. A majority of the entire board must be McCollum attorneys, i.e., attorneys who are appointed by the bar associations representing a majority of the attorneys in the service area(s). (See 45 C.F.R. § 1607.3)

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

1. In consideration of your bylaws, identify the number of vacant:

* client board positions to be filled in order to be in compliance
* attorney board positions to be filled in order to be in compliance
* McCollum attorney board positions to be filled to be in compliance

1. Identify the names of the appointing organizations you are in contact with for filling the client and/or attorney board positions
2. Describe your strategy, including timeline, for coming into compliance with 45 C.F.R. § 1607.3

Grant Renewal Uploads – Instructions and Checklist

The file upload site allows you to upload a single file at each upload link.To upload files, log into the online application system at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/), click on the “Submit Renewal Application” link for the desired service area, and then click the “Uploads” link on the left navigation bar. Click “Select Upload Type” at the bottom of the screen to select the type of document to be uploaded. Upload all documents as PDF files.

|  | **Upload Document** | **Reference/ Instruction** |
| --- | --- | --- |
| ❑ | **Organizational Chart** | The organizational chart illustrates the components of your organization including affiliate and subsidiary organizations, the titles of the management and executive positions responsible for those components and the number of staff positions in each component. See page 7 for instructions. |
| ❑ | **2017 PAI Plan** | See below on this page for instructions regarding the PAI Plan. |
| ❑ | **2018 Technology Plan** | See page 10 for instructions regarding the Technology Plan. |
| ❑ | **2018 Technology Budget Explanatory Notes** | You must provide an explanatory note for each line item in the technology budget that exceeds zero. With each explanatory note, include the budgeted expense amount and the budget expense item.  The following is a sample explanatory note for “program IT staffing costs.”  *IT Staffing Costs: $120,000 - A total of 1.5 FTE’s is required to manage and coordinate technology planning, acquisition, maintenance, and administration during the grant year.* |
| ❑ | **IRS Form 990** | Submit your 2016 990 Form filed with IRS |

Preparing the Current Year PAI Plan

The LSC regulation on private attorney involvement, 45 C.F.R. Part 1614, was revised effective November 2014. Review the revised regulation before developing your PAI plan and before responding to the inquiries below.

Submit a copy of your 2017 PAI Plan and PAI budget along with your 2018 grant renewal application. Include the following information on the title page or header of the PAI Plan: applicant name, applicant number, and “2017 PAI Plan.”

Ata minimum, yourPAI plan must address each of the requirements of 45 C.F.R.§ 1614.6. These are threshold requirements and are referenced below. If the PAI plan does not address these threshold requirements, include a supplemental response with the PAI plan that does. Upload your current year PAI Plan (and supplement if necessary) as a single PDF file at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/).

**Pursuant to 45 C.F.R. § 1614.6, your PAI plan shall:**

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).

Preparing the 2018 Technology Plan

Include the following information on the title page or header of the technology plan: applicant name, applicant number, and “2018 Technology Plan.” Upload the Technology Plan at [https://lscgrants.lsc.gov/](http://www.lscgrants.lsc.gov/).

In your technology plan address your current and planned uses of technology in all facets of your operations, including how you are using and will use technology to innovate and improve services. At a minimum, the technology plan should address your use of technology in the following areas: management of client and case data, intake (including online), telephone advice, case management, case supervision, document management, needs assessments, resource development, support for PAI activities, use of websites and other web-based resources, data security, and training.

Review “Technologies That Should Be in Place in a Legal Aid Office Today” at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/tig> when preparing the plan.

Obtaining Technical Assistance

* Submit inquiries to [techsupport@lsc.gov](mailto:techsupport@lsc.gov) pertaining to technical issues, passwords and primary email addresses, using the online application system, and uploading files.
* Submit inquiries regarding the grant renewal process to [lscgrants@lsc.gov](mailto:competition@lsc.gov).
* Contact Glenn Rawdon ([grawdon@lsc.gov](mailto:grawdon@lsc.gov)) or David Bonebrake ([bonebraked@lsc.gov](mailto:bonebraked@lsc.gov)) for questions regarding the 2018 Technology Plan or the 2018 Technology Budget.
* Contact Reginald Haley at [haleyr@lsc.gov](mailto:haleyr@lsc.gov) if you do not receive a response from any one of the technical assistance sources listed above within 48 hours.

Grant Terms and Conditions

(Separately provided at a later date)