

Grant Renewal Application for Basic Field Grant Funding

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

|  |  |
| --- | --- |
| Schedule B Applicants | Opens May 15, 2017Closes June 12, 2017 |
| Schedule C Applicants | Opens July 7, 2017Closes August 7, 2017 |

Contact the LSC grants service desk

at lscgrants@lsc.gov if you have questions.

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Introduction

The Legal Services Corporation (LSC) invites Post-PQV grant renewal 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

All recipients of LSC funds who received a three-year grant in calendar year 2016, or a two-year or three-year grant beginning in calendar year 2017 are required to submit a grant renewal application to be eligible to receive a 2018 renewal grant.

**Who is Eligible to file a Post-PQV Grant Renewal application for a Basic Field Grant?**

You are eligible to file a Post-PQV Grant Renewal Application if you:

1. are a current LSC grantee;
2. have had an LSC program quality visit since January 1, 2015;
3. have been notified that you will receive the final PQV report by July 3, 2017; and
4. have not previously submitted two consecutive Post PQV applications.

## Full Range of Legal Services

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

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

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

## List of Grantees Eligible to Submit Post-PQV Grant Renewal Applications

You are a schedule “B” Post-PQV applicant if you received the final Post-PQV report by April 28, 2017. The deadline for submitting your Post-PQV grant renewal application is June 12, 2017.

You are a Schedule “C” applicant if you receive the final Post-PQV report during the period May 1 through July 3, 2017. The deadline for submitting your Post-PQV grant renewal application is August 7, 2017.

See the [Key Activities and Dates in the LSC 2018 Grants Process](https://lsc-live.box.com/v/2018KeyDatesLSCGrantsProcess) for the full schedule of activities that apply to you.

|  | **1** | **2** | **3** | **4** | **5** |
| --- | --- | --- | --- | --- | --- |
|  | **State** | **Applicant Number** | **Applicant Name** | **Schedule** | **Service Area Code(s)** |
| 1 | AZ | 703050 | Southern Arizona Legal Aid, Inc. | C | AZ-5, NAZ-6 |
| 2 | CA | 705158 | California Indian Legal Services, Inc. | B | CA-1; NCA-1 |
| 3 | CA | 805080 | Legal Aid Foundation of Los Angeles | B | CA-29 |
| 4 | FL | 610020 | Florida Rural Legal Services, Inc. | B | FL-17, MFL |
| 5 | FL | 610040 | Legal Services of Greater Miami, Inc. | B | FL-5 |
| 6 | GA | 611020 | Georgia Legal Services Program | B | GA-2, MGA |
| 7 | IN | 515030 | Indiana Legal Services, Inc. | B | IN-5, MIN |
| 8 | KY | 618004 | Legal Aid of the Bluegrass | B | KY-10 |
| 9 | LA | 619081 | Southeast Louisiana Legal Services Corporation | B | LA-13 |
| 10 | MA | 122007 | VLP of the Boston Bar Association | C | MA-11 |
| 11 | MI | 423010 | Michigan Advocacy Program | B | MI-12, MMI |
| 12 | MI | 423130 | Legal Services of Northern Michigan, Inc. | B | MI-9 |
| 13 | MO | 526041 | Mid-Missouri Legal Services Corporation | B | MO-5 |
| 14 | NY | 233100 | Legal Services NYC | B | NY-9 |
| 15 | NY | 233150 | Legal Aid Society of Mid-New York, Inc. | B | NY-22, MNY |
| 16 | OH | 436040 | Legal Aid Society of Greater Cincinnati | B | OH-18 |
| 17 | PA | 339000 | Philadelphia Legal Assistance Center | B | PA-1, MPA |
| 18 | PA | 339070 | North Penn Legal Services, Inc. | B | PA-24 |
| 19 | PR | 253010 | Puerto Rico Legal Services, Inc. | C | PR-1, MPR |
| 20 | PR | 253030 | Community Law Office, Inc. | B | PR-2 |
| 21 | SC | 641030 | South Carolina Legal Services, Inc. | B | SC-8, MSC |
| 22 | TN | 643030 | Memphis Area Legal Services, Inc. | B | TN-4 |
| 23 | VA | 447061 | Virginia Legal Aid Society, Inc. | B | VA-17 |
| 24 | WI | 550010 | Legal Action of Wisconsin, Inc. | B | WI-5, MWI |

**Service Areas**

Refer to the service areas identified in column 5 of the chart above. You may submit Post-PQV grant renewal applications for only those service areas for which you currently receive LSC funding.

Application Process

**Notice to Renewal Applicants**

In March and May of each year, LSC sends a reminder to renewal applicants regarding the submission of the renewal application. In addition, in December of each year, LSC publishes the grant award decisions and grant award cycle for each service area at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant/>. The funding estimates for 2018 are based on the current Continuing Resolution (CR) for FY2017. LSC may require the submission of revised budgets and applications based on final FY 2018 appropriation. The funding estimates, based on the current FY2017 CR, can be viewed [here](https://lsc-live.box.com/s/lrb77f69jvbzqif2m9a4g96jnd8ynk6f).

**Request for Grant Renewal Applications**

In May of each year, LSC issues the Post-PQV grant renewal application announcing that it is requesting applications for its Basic Field Grants. The grant renewal application contains detailed application instructions, the 2018 Basic Field Grant Terms and Conditions, and Grant Certification Form.

**Applicant Informational Session (AIS)**

LSC holds a free webinar each year near the end of April to answer questions about the Post-PQV grants process. This is the link to the [2018 Post PQV AIS Video](https://vimeo.com/user10746153/videos/page%3A1/sort%3Adate).

**Apply through LSC’s Online System, LSC Grants**

You must prepare and submit the Post-PQV grant renewal application using the LSC online application at <http://lscgrants.lsc.gov>. The application will require you to respond to Tier 1 recommendations, provide information in charts and forms, and upload supporting documents about your capacity to provide high-quality, economical, and effective legal services. The grant application forms and documents checklists beginning on page 10 list the forms and documents required.

**Subgrants**

As part of the application, you must submit information about each of your current and prospective subgrants, as defined by [45 C.F.R. Part 1627](http://www.ecfr.gov/cgi-bin/text-idx?SID=58365d15e245ff61b8f9d3af631ff3c1&mc=true&node=pt45.4.1627&rgn=div5), 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>.

**Fiscal Oversight and Internal Controls**

Renewal applicants must disclose whether they experienced fraud, misappropriation of funds, embezzlement, or theft within the last twenty-four months using the Fiscal Oversight and Internal Controls form.

**Best Practices**

LSC’s website at <http://www.lsc.gov/grants-grantee-resources/resources> contains information on innovative delivery approaches, strategies and tools. There are materials on topics such as: case management systems, intake, Private Attorney Involvement, technology, and pro se assistance. You may devote two pages per service area to describe innovative practices or ideas that promote collaborative partnerships and/or quality legal services to low-income people. Title these pages “Best Practices.”You may address any topic that promotes legal services delivery. We encourage you to visit the LSC website regularly for model concepts and “best practices” in legal services delivery. You may upload information about your innovative delivery practices with your renewal application. With your permission, LSC may feature selected innovative techniques or ideas on our website.

**Acknowledgement of Receipt**

## LSC will send you an email acknowledging receipt of your application using the email address of the primary contact person identified in your grant application.

**Requests for Additional Materials**

LSC may ask you to provide copies of:

* 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 Renewal Application

If you have submitted a grant renewal 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.

## Application Review Period

LSC reviews applications from June to November of each year. LSC staff reviews the Post-PQV renewal application and prepares a funding recommendation for LSC’s President, who makes the funding decision. LSC may conduct a site visit before making a final grant decision.

**Grant Award Decisions**

On or around the first week of December, LSC will post the 2018 Basic Field Grant award decisions at <http://www.lsc.gov/grants-grantee-resources/our-grant-programs/basic-field-grant>. If LSC does not receive a grant renewal application for a service area or does not receive a qualified application, LSC has discretion to determine how legal services are to be provided to the service area. Options include enlarging the service area of a neighboring recipient, entering into a short-term grant or contract with another qualified provider, or 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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
5. The reputations of the applicant’s principals and key staff. [45 C.F.R. § 1634.9(a)(5)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
7. The applicant’s capacity to develop and increase non-LSC resources. [45 C.F.R. § 1634.9(a)(7)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).
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)](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML).

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](http://www.lsc.gov/sites/default/files/LRI/LSCPerformanceCriteriaReferencingABAStandards.pdf), which incorporates many best practices established by [the ABA Standards for the Provision of Civil Legal Aid](http://www.americanbar.org/content/dam/aba/administrative/legal_aid_indigent_defendants/ls_sclaid_civillegalaidstds2007.authcheckdam.pdf) and [the ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means](http://www.americanbar.org/groups/probono_public_service/policy/standards.html).

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

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

Application Instructions

The Post-PQV grant renewal application requires you to complete four tasks:

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

LSC reviews the Post-PQV grant renewal application along with the final PQV report. LSC evaluates the Post-PQV grant documents based on the LSC Act and regulations, the LSC Performance Criteria, the ABA Standards for Programs Providing Civil Pro Bono Legal Services to Persons of Limited Means, and the ABA Standards for the Provision of Civil Legal Aid. The LSC President makes renewal funding decisions based on the findings from the evaluations.

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

LSC will provide notice in the event that enactment of congressional legislation necessitates changes in the timing and/or content of this Post-PQV grant renewal application.

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

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

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

If you have not fully established these practices, systems, and procedures you must demonstrate to LSC’s satisfaction that you have the capacity to do so within the grant period.

LSC advises you to be familiar with the Performance Criteria. The LSC Performance Criteria are at <http://www.lsc.gov/grants-grantee-resources/grantee-guidance>.

## [Post-PQV Grant renewal Components](#Grant_proposal_components)

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

All forms and instructions for preparing forms are available at <https://lscgrants.lsc.gov/>. To access and submit grant renewal forms, log into <https://lscgrants.lsc.gov/>, click on the “Submit Post-PQV Grant 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.

| **Grant Renewal Form** | **Description** |
| --- | --- |
| ❑ | **Post-PQV Form and Charts Link** | From this link you will: * identify the status of each of the Tier 1 recommendations
* describe actions taken in response to each recommendation
* describe significant changes or major developments in the delivery system that have occurred since the PQV ended and those that are anticipated during the grant year
* access the renewal charts
* respond to supplementary inquiries, describing the systems and procedures that ensure compliance and enforcement of LSC’s requirements and regulations
 |
| ❑ | **Project and Subgrant** **Information** | Use this form to respond to inquiries regarding current and proposed subgrants.  |
| ❑ | **Budget Forms**D-12, D-14 | Use this form to report projected 2018 revenue and expenses  |
| ❑ | **Form G-12** | Use the form to report projected expenditures for cases, other services, and supporting activities.  |
| ❑ | **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. If you do not currently have a governing/policy body that complies with 45 C.F.R. Part 1607.3 you must provide a plan to meet this requirement.  |
| ❑ | **Form D-13** | Use this form to report projected PAI expenses.  |
| ❑ | **Form K** | Use this for to report information about current office technology (hardware and software). |
| ❑ | **Form D-15** | Use this form to report projected LSC and non-LSC expenses for carrying out your technology plan.At a minimum, the expenses should include costs 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. |
| ❑ | **Organizational Overview** | The overview captures a description of the geographical and cultural characteristics of your service area(s), the scope of legal services provided by you, and the delivery methods and distinctive characteristics of your organization.  |
| ❑ | **Fiscal Oversight and Internal Controls** | Applicants must disclose whether they experienced fraud, misappropriation of funds, embezzlement, or theft within the last twenty-four months. |

##

## Document Uploads Checklist

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

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

|  | **Grant Renewal Uploads** | **GRANT RENEWAL APPLICATION Reference/ Instruction** |
| --- | --- | --- |
| ❑ | **Organization Chart** | The organization chart depicts the components of your organization, the titles of the management and executive positions responsible for those components and the number of staff positions in each component.  |
| ❑ | **Current Year PAI Plan** | See page 16 for instructions regarding the PAI plan. |
| ❑ | **2018 Technology Plan** | See page 16 for instructions regarding the technology plan. |
| ❑ | **2018 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.  The following is a sample explanatory note for “program IT staffing costs.”  *Program IT Staffing Costs: $120,000 – [program name] requires a total of 1.5 FTE’s to manage and coordinate technology planning, acquisition, maintenance, and administration during the grant year.* |
| ❑ | **IRS Form 990** | Upload a copy of your complete 2016 Form 990 filed with IRS. |

#

Preparing the Post-PQV Grant renewal application

## General Guidelines

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

The responses to the Tier 1 recommendations and to these inquiries combined with the final PQV report supplant the standard grant renewal application. You will respond to these inquiries using the online form at [https://lscgrants.lsc.gov](http://www.lscgrants.lsc.gov). Page 14 illustrates the online form used to respond to these inquiries.

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

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

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

## Responding to Tier 1 Recommendations

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

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

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

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

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

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

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

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

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

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

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

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

## Significant Changes or Major Developments in the Delivery System

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

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

**Examples of significant changes for Performance Area One:**

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

**Examples of significant changes for Performance Area Two**

* + opening or closing of offices
	+ change in intake process such as implementing centralized or coordinated intake,  launching online intake or decrease/increase of intake hours of 10% or more
	+ adoption of new Limited English Proficiency Plan
	+ changing your legal services delivery system from a branch office delivery structure of three or more offices to one central office

**Examples of significant changes for Performance Area Three**

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

**Examples of significant changes for Performance Area Four**

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

## Grant Renewals for Multiple Service Areas

You will complete a separate Post-PQV grant renewal application for each service area in which you currently receive funding. Each service area’s grant renewal application will contain only those Tier 1 recommendations that are relevant to that service area.

## Accessing and Using the Post-PQV Forms

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



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

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



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

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

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| Charts Related To Performance Area OneA link is provided for each chart. In this example, the charts are shown for Performance Area One. To respond to the Chart, click on the link and the chart will open. When your response is complete, click on the “Save and Return to Performance Area” button at the bottom of the chart page and the system will redirect you back to the Performance Area page. |
| * Accomplishments for Clients
* Accomplishments for Clients through PAI
* Outcomes Data
* Priorities, Goals, Strategies and Desired Outcomes
* Outcomes Met for Previous Priorities
* Involvement with Justice and Advocacy Community
* Accomplishments for Clients with Other Providers
 |

**The full list of grant renewal charts, by performance Area, is shown below.**

|  |
| --- |
| **Performance Area One** |
| 1. Priorities, Goals, Strategies, and Outcomes
 |
| 1. Outcomes Data
 |
| 1. Outcomes Met for Previous Priorities
 |
| 1. Accomplishments for Clients
 |
| 1. Accomplishments for Clients through PAI
 |
| 1. Involvement with Justice and Advocacy Community
 |
| 1. Accomplishments for Clients with Other Providers
 |
| **Performance Area Two** |
| 1. Intake Methods
 |
| 1. Days and hours of intake by type
 |
| **Performance Area Three** |
| 1. Decrease in PAI Case Closures of more than 20%
 |
| 1. Decrease in Staff Case Closures of more than 20%
 |
| **Performance Area Four** |
| 1. List of Board Standing Committees Frequency of Board Meetings
 |
| 1. Evaluations of the executive director
 |
|  |

Other Requirements

## Governing/Policy Body

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

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

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

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

1. In consideration of applicant’s bylaws, identify the number of vacant:
* client board positions to be filled in order to be in compliance
* attorney board positions to be filled in order to be in compliance
* McCollum attorney board positions to be filled to be in compliance
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

## 2018 Technology Plan

Upload your Technology Plan for 2018 as a separate PDF file. Include the following information on the title page or header of the Technology Plan: your program’s name, applicant number, and “2018 Technology Plan.”

Your technology plan should address your current and planned uses of technology in all facets of your program’s operations, including how you use technology to innovate and improve services. At a minimum, the technology plan should address your use of technology in the following areas: management of client and case data, intake (including online), telephone advice, case management, case supervision, document management, needs assessments, resource development, support for private attorneys, use of websites and other web-based resources, data security, and training. Consult “Technologies That Should Be in Place in a Legal Aid Office Today” at [http://tig.lsc.gov/sites/default/files/TIG/pdfs/LSC-Technology-Baselines-2016.PDF](http://tig.lsc.gov/sites/default/files/TIG/pdfs/LSC-Technology-Baselines-2015.PDF) before preparing your technology plan.

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

## Current Year PAI Plan Instruction

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

Include the following information on the title page or header of the PAI plan: your program name, your program number, and “2017 of PAI Plan.” Use form D-13 to prepare and submit the PAI Budget.

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 your PAI plan does not address these threshold requirements, include a supplemental response with the PAI plan that does. Upload the current year PAI Plan (and supplement if necessary) as a single PDF file.

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

1. Address the legal needs of eligible clients in the geographical area (service area) served by the applicant consistent with your priorities (see 45 C.F.R. §1614.6(a)(1)).

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

## Organization Chart and Overview of your Organization and Delivery System

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

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

## Preparing the Organization Chart and the Overview of your Organization and Delivery System

Your overview will contain: 1) a concise description of the geographical and cultural characteristics of your service area(s); 2) a description of the delivery system including your organizational structure, any subsidiary or affiliate organizations, and the scope of legal services provided; and 3) the delivery methods employed, and the distinctive characteristics of your organization. LSC may use excerpts from the overview in publications and presentations. Below are minimum requirements for the Overview.

**Describe the geographical, demographic, and cultural characteristics of the service area.** Discuss whether the service area is either urban or rural or a mix, and explain which counties or cities (or the number of counties or cities) classify it as such. If there have been significant changes, explain what those changes are and how those changes affect the eligible client population of the service area. If there have been no significant changes, indicate this and explain the characteristics that have consistently affected the eligible client population. In describing the distinctive characteristics of the service area discuss the service area’s poverty, changes in population, area-specific legal issues, or other such characteristics.

**Describe your legal service delivery system.** State whether you provide a full range of services, i.e., extended services including contested cases and limited services, and a full range of case types. State whether the full range of service covers the entire service area. If you do not provide a full range of service, indicate this and explain 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. Address the service delivery method(s) employed (e.g., specialized law units, legal helplines, impact litigation, compensated and pro bono private attorney models, pro se). This description should also include the most distinctive characteristics of your organization.

Questions about the Post-PQV Grant Renewal Application

and LSC Contact Information

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

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

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

Key Dates and Deadlines

|  |  |
| --- | --- |
| Notice of Intent to Compete Available | April 10, 2017 |
| Post-PQV Applicant Informational Session (AIS) held. This is the link to the [2018 Post PQV AIS Video](https://vimeo.com/user10746153/videos/page%3A1/sort%3Adate)  | April 27, 2017 (2:00 p.m. E.D.T.) |
| Post-PQV Grant Renewal Application Published | May 15th for schedule “B” applicantsJuly 7th for schedule “C” applicants |
| Post-PQV Grant Renewal Application Due Dates | June 12, 2017 (5:00 p.m. E.D.T.) for applicants who have received a final PQV report by April 28, 2017 (i.e., schedule B applicants)Aug. 7, 2017 (5:00 p.m. E.D.T.) for applicants who have received a final PQV report during the period May 1, 2017 through July 3, 2017 (i.e., schedule C applicants) |
| 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](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&r=PART&n=pt45.4.1602), and the Preamble to the Competitive Bidding for Grants and Contracts Regulation, [45 C.F.R. Part 1634.](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&n=45y4.1.3.11.35&r=PART&ty=HTML) LSC regulations are available at [http://www.lsc.gov/about-lsc/laws-regulationsguidance](http://www.lsc.gov/about-lsc/laws-regulations-guidance).

Grant Terms and Conditions

(Separately provided at a later date)