

# Basic Field Grant

Request for Proposals for Funding Year 2021  
(For competitive and renewal applicants)

Opens July 20, 2020

Closes August 20, 2020

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## Invitation

The Legal Services Corporation (LSC) invites applications for its 2021 Basic Field Grant opportunity. 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 organizations may use to support its 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. LSC does not provide direct legal services.

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

LSC distributes almost 95 percent of its total funding in grants to independent legal aid organizations. LSC currently has 132 grantees with more than 800 offices throughout 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 opportunity, 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.

## What is required of a Basic Field Grant recipient?

Recipients must provide a full range of legal services, which means 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. 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 an applicant plans 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, the applicant would be ineligible for a grant unless the totality of the funding application demonstrates that the applicant is or will be part of a broader delivery system that makes the full range of legal services available in the entire service area. Applicants cannot satisfy this eligibility requirement by merely asserting an intent to partner with others. The application must affirmatively describe the collaborative arrangement that the applicant will have with partners in the service area, explain each partner's role and capacity to handle issues and particular case types that the applicant will not be providing, and describe a plan for successfully providing the full-range of services through the delivery system partners.

## Nondiscrimination

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

## Service Areas Available for Grant Awards

LSC awards grants for specified service areas. Service areas are geographic regions within a state or territory that were designed to maximize the effective and efficient delivery of high-quality legal services to eligible clients throughout the state within a comprehensive, integrated delivery system. 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 states or territories:

<i>State or Territory</i>	<i>Service Area(s)</i>
<i>Alaska</i>	AK-1, NAK-1
<i>Arizona</i>	AZ-2, NAZ-5
<i>California</i>	CA-14, CA-31, MCA
<i>Connecticut</i>	NCT-1
<i>Delaware</i>	DE-1
<i>Guam</i>	GU-1
<i>Iowa</i>	IA-3, MIA
<i>Idaho</i>	ID-1, MID, NID-1
<i>Kansas</i>	KS-1
<i>Kentucky</i>	KY-5
<i>Maine</i>	ME-1, MMX-1, NME-1
<i>Michigan</i>	MI-13, MI-14
<i>Minnesota</i>	NMN-1
<i>Micronesia</i>	MP-1
<i>Nebraska</i>	NE-4, MNE, NNE-1
<i>New Hampshire</i>	NH-1
<i>New Jersey</i>	NJ-8, NJ-15, NJ-17, NJ-18, NJ-20, MNJ
<i>New Mexico</i>	NM-1, NNM-2
<i>Nevada</i>	NV-1, NNV-1
<i>Ohio</i>	OH-24
<i>Oregon</i>	OR-6, MOR, NOR-1
<i>Pennsylvania</i>	PA-25
<i>Rhode Island</i>	RI-1
<i>South Dakota</i>	SD-4, NSD-1
<i>Texas</i>	TX-14
<i>Utah</i>	UT-1, MUT, NUT-1
<i>Virginia</i>	VA-15, VA-16, VA-18, MVA
<i>Virgin Islands</i>	VI-1
<i>Vermont</i>	VT-1
<i>Washington</i>	WA-1, MWA, NWA-1
<i>Wisconsin</i>	WI-2, NWI-1

Learn more about the service areas available for Calendar Year 2021 grant awards at <https://www.lsc.gov/meetings-and-events/calendar/service-areas-competition-2021-grant-awards>.

### **Applying for Service Areas**

Applicants may apply for funding for more than one service area. Applicants must apply for the full amount of the grant funds available for the service area(s) applied for. LSC will not consider proposals to divide service areas into smaller units.

Returning applicants may submit one pre-application for multiple service areas that have historically been awarded to the returning applicant. When applying for a service area for the first time, applicants must submit a separate pre-application and select the new service area.

## Application Process

### ***GrantEase* Launch Year Basic Field Grant Application**

Because the 2021 grant cycle is the launch year for LSC's new grants management system, *GrantEase*, ALL applicants will be required to complete a full application regardless of whether the service area(s) is in competitive or renewal status. While not all applicants will need to fill out a pre-application (formerly known as the "Notice of Intent to Compete (NIC)"), because only service areas in competitive status are required to do so, ALL applicants will be required to register in the new *GrantEase* system and complete a Grantee Profile before completing the full application.

### **Notice of Funds Available**

On April 7, 2020, LSC published the geographical service areas in competition and announced the availability of funding for each of those service areas in the [Federal Register](#). The funding estimates for 2021 are based on current FY2020 funding. LSC may require successful applicants to submit revised budgets and applications based on the final FY2021 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 FY2020 funding, can be viewed [here](#).

### **Pre-application (formerly known as the Notice of Intent to Compete (NIC))**

To apply for a Basic Field Grant, applicants must notify LSC of an intent to compete for the grant by June 15, 2020. Applicants must access and electronically submit a pre-application using *GrantEase*, LSC's grants management system. In the pre-application, applicants must:

- identify the service area(s) for which the applicant seeks a grant,
- provide names and resumes for the principals and key staff, and
- provide names and resumes for current or proposed governing or policy body members and their appointing organizations.

Returning applicants may submit one pre-application for multiple service areas that have historically been awarded to the returning applicant. When applying for a service area for the first time, applicants must submit a separate pre-application and select the new service area.

If an applicant fails to submit a timely pre-application, the applicant will be ineligible for the 2021 grants process. In its discretion, LSC may extend the pre-application submission period.

LSC will notify applicants whether the pre-application has been approved within two business days of submission.

## **Request for Proposals (RFP)**

On June 1, 2020, LSC published this RFP for 2021 basic field grant funding. The RFP contains detailed application instructions and the 2021 Basic Field Grant Terms and Conditions.

## **Basic Field Grant Orientation**

LSC will host a live Basic Field Grant Orientation webinar on Wednesday, July 1, 2020, to introduce the updated basic field grant application process, demonstrate how to navigate the application in *GrantEase*, walk through the new basic field grant application and answer any questions. More information and registration links will be made available on the [Basic Field Grant webpage](#).

## **Apply through *GrantEase***

To apply for a Basic Field Grant, all applicants must first register in *GrantEase*, LSC's grants management system. All current and returning LSC grantees will be pre-registered by LSC in *GrantEase*.

All new and interested applicants must go through registration in *GrantEase* by clicking this [link](#). As part of the registration process, LSC will reach out to the new registrant with additional information about becoming an LSC Basic Field Grant recipient.

Once in *GrantEase*, the Basic Field Grant application will require applicants to answer questions, and upload supporting documents about the applicant's capacity to provide high-quality, economical, and effective legal services. LSC also evaluates the fiscal health of the applicant's organization before making Basic Field Grant funding decisions. LSC collects information about fiscal policies, internal controls, and accounting practices in the application.

The Basic Field Grant application will become available in *GrantEase* on or around the week of July 20, 2020. Applicants must complete and submit it by August 20, 2020. LSC will not consider incomplete applications. If a grant application is substantially complete but needs minor adjustments, LSC may provide additional time to complete the application. If an applicant fails to complete the application within the allotted time, the applicant will be ineligible.

## **Acknowledgment of Receipt**

*GrantEase* will provide applicants with an automated acknowledgment that the application was successfully submitted to LSC.

## **Requests for Additional Materials**

LSC may ask applicants to provide copies of:

- The applicant's IRS tax-exempt certification (if applicable, or a copy of the IRS acknowledgment 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 an applicant's application is pending, there is a material change to the applicant's organization, LSC must be notified within two business days. Applicants must also notify LSC of any professional disciplinary complaints, criminal convictions, civil contempt, and malpractice lawsuits or claims made against the organization or any of its attorneys while the application is pending. Please also notify LSC if any identified disciplinary actions or complaints are resolved while the application is pending. Applicants can contact LSC at [lscgrants@lsc.gov](mailto:lscgrants@lsc.gov).

## Notice of Intent to Withdraw Grant Application

If a grant application is submitted, but an applicant wishes to withdraw it, please notify LSC in writing as soon as possible. Applicants must include the name of the organization and service area code(s) of the service area(s) that the applicant applied to serve. The withdrawal notice must be signed and dated, converted to a PDF, and emailed to [lscgrants@lsc.gov](mailto:lscgrants@lsc.gov). Applicants do not need to notify LSC if a pre-application was submitted but then decided not to apply.

## 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 the 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 the 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 an applicant's capacity to meet each of the selection criteria by evaluating whether the 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](#).

Applicants will also be evaluated on the 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.

LSC will consider the level of an applicant's 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 Review Period**

LSC will review 2021 Basic Field Grant applications between August and December 2020. For service areas with a single applicant, LSC staff will review the application and prepare a funding recommendation for LSC's President, who decides which applicants will be awarded 2021 Basic

Field Grants. LSC may also use outside reviewers to review applications and make funding recommendations.

For service areas with more than one qualified applicant, LSC staff will review the application and prepare a funding recommendation. Additionally, LSC will convene 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 funding recommendation and final grant decision for service areas with single or multiple applicants.

### **Grant Award Decisions**

LSC's President decides which applicants will receive grant awards. In December 2020, LSC will post the 2021 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 the discretion to determine how legal services will 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.

## **General Application Instructions**

The Basic Field Grant application is designed to provide LSC with sufficient information to evaluate an applicant's capacity to provide effective, economical delivery of high-quality legal services to eligible clients. Applicants must answer the following questions and upload the requested documents using *GrantEase*. All document uploads are part of the Grantee Profile page. Once an applicant's account is registered in *GranteEase*, applicants should update information and documents on the Grantee Profile page as often as needed.

An applicant's answers to the application questions must be responsive to the questions asked. If an applicant does not have a particular system, strategy, procedure, policy, task, or activity that is pertinent to the question, the applicant must demonstrate a capacity to develop and plan for adopting a compliant system, strategy, procedure, policy, or for accomplishing the task or activity. Applicants should ensure that answers demonstrate compliance with the LSC Act and regulations and that its 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.

Applicants should pay particular attention to the quality, feasibility, and cost-effectiveness of their 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.

## Preview of New Basic Field Grant Application Questions

The new Basic Field Grant application questions appear below. While the questions are not particularly in the same order as they will appear once in GrantEase, *all* of the questions that will appear in the grant application for the 2021 grant cycle are below, including questions related to Agricultural Worker and Native American service areas. The complete subgrant application is also attached below.

Before opening the grant application to Applicants on July 20, 2020, LSC encourages Applicants to become familiar with the new Basic Field Grant Application questions below. Applicants are also strongly encouraged to attend the Basic Field Grant Orientation webinar on Wednesday, July 1, 2020, where LSC will introduce the updated Basic Field Grant Application process, demonstrate how to navigate the application in *GrantEase*, walk through the new basic field grant application, and answer any Applicant questions. More information and registration links will be made available on the [Basic Field Grant webpage](#).

### Primary Point of Contact

1. Please select the primary contact for questions about the application from the dropdown below:
  - [Select the primary contact for this application]

### Additional Service Areas

2. Are you also applying for grants for additional service areas?
  - Yes or No
  - 2a. Which additional service area(s) is your organization applying for? Choose one of the following:
    - Agricultural worker service area
    - Native American service area
    - Both Agricultural worker AND Native American service areas

If yes, you will be directed to fill out the supplemental information for the applicable service area(s) at the end of this application.

**Client Intake and Outreach** – *Please note that there is a more detailed Intake and Outreach worksheet beginning at question # 97.*

3. Discuss your planned outreach activities to the low-income population, including persons with disabilities and other affected populations.
  - [open text field]
4. Since your last full application have you updated case acceptance guidelines and how they relate to your priorities for the upcoming grant year (per CFR Part 1620).
  - Yes or No
5. Please write a narrative discussing your case acceptance guidelines and how they relate to your priorities for the upcoming grant year (per CFR Part 1620).
  - [open text field]

**Subgrant** --- *please note the complete subgrant application is also attached at the end of this package for your review.*

6. Do you plan to subgrant \$20,000 or more of your LSC funding you will receive for the upcoming grant year to any one entity?
  - Yes or No
7. Do you intend to subgrant less than \$20,000 of the LSC funding you will receive for the upcoming grant year?
  - Yes or No
- 7a. If yes to question 7, list the names of each organization anticipated to receive less than \$20,000 in LSC funds and the amount to be provided.
  - Yes or No

**Service Delivery**

8. Are there other legal services providers in the service area that provide services that complement your organization's services?
  - Yes or No
- 8a. Please list those organizations and describe the services they provide
  - [open text field]
9. Indicate which legal service delivery methods you use. Select all that apply:
  - Specialized law units
  - Generalist/office-based delivery,
  - Legal helplines,

- Impact litigation,
- Compensated/reduced fee/Judicare legal services,
- Pro bono legal services
- Legal Clinics (includes provision of legal advice/services)
- Educational Clinics (no individualized legal advice)
- Pro se assistance
- Medical/Legal Partnerships
- Online chat
- Community-based services (embedded in other organizations)
- Other

### **Strategic Planning**

10. When was the current Strategic Plan adopted by your Board of Directors?
  - Date (MM/YYYY)
11. Please provide the dates your Strategic Plan covers:
  - Start (MM/YYYY) End (MM/YYYY)
12. If you don't have a current Strategic Plan, what is your timeline for starting and completing your new Strategic Plan?
  - Start (MM/YYYY) End (MM/YYYY)
13. Describe your Strategic Plan development process and who is/was involved in the process.
  - *[Open text field]*
14. Does your Strategic Plan include an implementation plan on how to achieve the goals and objectives set out in your strategic plan?
  - Yes or No
15. How do you measure progress in meeting your strategic goals and objectives?
  - *[Open text field]*
16. How frequently do you track your progress in meeting your strategic goals and objectives?  
Choose one of the following:
  - Monthly to quarterly
  - Quarterly to annually
  - Infrequently to never

### **Needs Assessment**

17. Does your organization have a written legal needs assessment for all the service areas for which you provide services?
  - Yes or No

- 17a. When was your most recent legal needs assessment completed?
- Date (MM/YYYY)
18. Please provide the date you plan to begin your next needs assessment process.
- Date (MM/YYYY)
19. Do you collect data from the following groups to assess the legal needs of your community?  
Select all that apply:
- Your clients (current or former)
  - Low-income persons who do not access your services
  - Leadership/staff of social services organizations
  - Leadership/staff of other legal services organizations
  - Members of the private bar
  - Your own program staff
  - Members of your board
  - Representatives of local government agencies
  - Courts
  - Other groups, please explain: *[open text field]*
20. How often do you collect data from the above-listed groups to assess the legal needs of your community?
- Ongoing/real-time
  - several times during the year (but not ongoing)
  - annually
  - every 2 to 5 years
21. For your most recent needs assessment, please indicate which methods you used to engage the above-listed stakeholders. Select all that apply:
- Structured Questionnaires
  - Semi-structured data collection
  - Unstructured/Open-ended data collection
22. During your most recent needs assessment, did you use data from any of the following sources?  
Select all that apply:
- Data from the U.S. Census Bureau
  - Data from other federal agencies
  - Other legal needs studies
  - Geographic Information Systems (GIS) mapping
  - Other information (e.g. other studies conducted by academics, business groups, or nonprofits)
  - Intake data on cases not accepted
  - Case management system data regarding case types/problem codes closed with extended or limited service

- Case management system data showing geographic location of applicants
  - Potential applicants' clients
  - Court data
  - Other data source, please specify: *[open text field]*
23. Discuss how the data you gather in your needs assessment is used to improve outreach to targeted groups.
- *[open text field]*
24. Discuss how the data you gathered as part of your needs assessment was used to improve the delivery of legal services to your clients.
- *[open text field]*
25. Describe any other way you used this data to improve your organization.
- *[open text field]*
26. Please provide a list of the partners, if any, you worked with in developing your most recent needs assessment.
- *[open text field]*
27. Discuss the most pressing legal needs and problems facing eligible individuals in the service area for which you are applying.
- *[open text field]*
28. Discuss how you serve eligible individuals with special access challenges.
- *[open text field]*
29. Discuss the methods or processes you use to identify, monitor, and respond to legal needs facing the low-income population in your service area on an ongoing basis.
- *[open text field]*
30. Discuss any new/emergent legal needs you have identified facing the low-income population in your service area since your last needs assessment.
- *[open text field]*
31. Discuss how you align your resources to address the most pressing legal needs facing the low-income population in your service area.
- *[open text field]*

### Advocacy

32. Describe your collaboration with the access to justice and advocacy communities.
- *[open text field]*

33. What are your top three advocacy goals for the coming year?
- [Open text field]
34. Do you evaluate the effectiveness of your advocacy (including private attorney involvement (PAI))?
- Yes or No
35. When was the last time you evaluated the effectiveness of your advocacy? Choose one of the following:
- Less than 2 years
  - 2 - 4 years
  - greater than 4 years
36. How do you evaluate the effectiveness of your advocacy?
- [open text field]
37. If you are not the sole legal services provider in your service area(s), please describe how your organization contributes to the regional and/or statewide delivery of integrated legal services.
- [open text field]

### Outcomes

38. Do you collect outcomes data for extended service cases?
- Yes or No
- 38a. What kind of outcomes data do you track for extended services cases? Check all that apply:
- Financial outcomes
  - Non-financial outcomes
- 38b. What method(s)/tool(s) do you use to track outcomes for extended services cases? Check all that apply:
- Case management system
  - Client satisfaction mail-in survey
  - Client satisfaction online survey
  - Follow up text to clients
  - Follow up phone calls to clients
  - Checking court docket
  - In-person one-on-one interviews
  - Focus group interview
  - Other
- 38c. Please select how you use outcomes data to improve organizational performance. Check all that apply:



- Evaluating resource allocation
- Identifying and supporting shifts in program priorities
- Driving decisions on the level of service to provide for particular case types
- Tracking emergent client issues
- Calibrating advocacy strategy
- Tracking and setting organizational goals
- Integrating into the organization's strategic planning process
- Assessing staff performance
- N/A

38d. How frequently do you review outcomes data for extended services cases? Choose one of the following:

- Weekly
- Monthly
- Quarterly
- Semi-annually
- Annually
- Ad hoc

39. Do you collect outcomes data for limited services cases?

- Yes or No

39a. What kind of outcomes data do you track for extended services cases? Check all that apply:

- Financial outcomes
- Non-financial outcomes

39b. What method(s)/tool(s) do you use to track outcomes for extended services cases? Check all that apply:

- Case management system
- Client satisfaction mail-in survey
- Client satisfaction online survey
- Follow up text to clients
- Follow up phone calls to clients
- Checking court docket
- In-person one-on-one interviews
- Focus group interview
- Other

39c. Please select how you use outcomes data to improve organizational performance. Check all that apply:

- Evaluating resource allocation

- Identifying and supporting shifts in program priorities
- Driving decisions on the level of service to provide for particular case types
- Tracking emergent client issues
- Calibrating advocacy strategy
- Tracking and setting organizational goals
- Integrating into the organization's strategic planning process
- Assessing staff performance
- N/A

39d. How frequently do you review outcomes data for extended services cases? Choose one of the following:

- Weekly
- Monthly
- Quarterly
- Semi-annually
- Annually
- Ad hoc

40. Please submit your three most significant accomplishments for clients in the past year. Describe the problem/challenge, the actions the program took, and the effects/results or outcomes of the actions.

- *[Open text field]*

41. Please submit a minimum of one client success story from the past calendar year for each congressional district you serve. All client success stories must follow the [linked example](#).

Link to the US House of Representatives Congressional Districts lookup tool:  
[https://ziplook.house.gov/htbin/findrep\\_house?ZIP=60613](https://ziplook.house.gov/htbin/findrep_house?ZIP=60613)

- *[Upload attachment here]*

### **Resource Development**

42. Describe your resource development capacity.

- *[open text field]*

### **Board of Directors**

43. Do any of your board members overlap with a partner legal services provider's board members?

- Yes or No

43a. If yes to question 43, please provide the following information about this overlap:

- Name of Partner Organization
- Relationship of Partner Organization
- How many officers overlap between the two boards?

44. How many times has your full board met in the last 12 months?
- Text (number)
45. Does your board have a written policy that deals with conflicts of interest or potential conflicts of interest?
- Yes or No
46. Have all of your board members submitted their conflicts of interest acknowledgment for the prior year?
- Yes or No
47. Does your Board of Directors formally evaluate your organization's Executive Director?
- Yes or No
- 47a. If yes to question 47, how often does your Board of Directors formally evaluate your organization's Executive Director? Choose one of the following:
- Annually
  - Every 2-3 years
  - Other, please explain [*open text field*]
48. Does the Board of Directors regularly review the compensation package of your organization's Executive Director?
- Yes or No
49. Please indicate which of the following were used to establish the compensation for your organization's Executive Director. Select all that apply:
- Independent compensation consultant
  - Comparable pay studies from other nonprofit organizations
  - Compensation survey
  - None of the above
50. Does your organization's Executive Director receive a stipend in addition to their salary?
- Yes or No
- 50a. If yes to number 50, please indicate the annual value of the stipend.
- Text (number)
- 50b. If yes to number 50, please indicate the purpose for the stipend.
- [*Open text field*]
51. Does your organization currently employ or contract with family members or close friends of management or the board of directors?

- Yes or No

51a. If yes to question 51, please provide the following information for each individual that you currently employ or contract with who is related to or close friends with management or the board of directors.

- Employee Name
- Position
- Office
- Supervisor
- Hire Date
- Relative/Friend also employed

52. Does your organization have a written nepotism policy?

- Yes or No

53. Does your Board of Directors, or a member of your Board of Directors, review your Executive Director's financial records?

- Yes or No

53a. If yes to question 53, how frequently does your Board of Directors (or a member of the board) review and approve EXPENSE REPORTS when submitted by your organization's Executive Director? Choose one of the following:

- Monthly
- Quarterly
- Annually
- Infrequently - Never

53b. If yes to question 53, how frequently does your Board of Directors (or a member of the board) review and approve CREDIT CARD STATEMENTS when submitted by your organization's Executive Director? Choose one of the following:

- Monthly
- Quarterly
- Annually
- Infrequently - Never

53c. If yes to question 53, how frequently does your Board of Directors (or a member of the board) review and approve TRAVEL REIMBURSEMENTS when submitted by your organization's Executive Director? Choose one of the following:

- Monthly
- Quarterly
- Annually
- Infrequently - Never

53d. If yes to question 53, how frequently does your Board of Directors (or a member of the board) review and approve LEAVE REQUESTS when submitted by your organization's Executive Director? Choose one of the following:

- Monthly
- Quarterly
- Annually
- Infrequently - Never

53e. If yes to question 53, which Board Member, by role, reviews your Executive Director's financial records listed above?

- [Open text field]

54. If a member of the board of directors does NOT approve the Executive Director's financial records, please explain why.

- [Open text field]

### **Staff**

55. Are staff (excluding your Executive Director) formally evaluated?

- Yes or No

55a. If yes to question 55, how often are all staff (excluding your Executive Director) formally evaluated? Choose one of the following:

- Annually
- Every 2-3 years
- Infrequently

56. Does your organization have a written Conflicts of Interest Policy for employees?

- Yes or No

### **Board Fiscal Oversight**

57. Please indicate which fiscal oversight committee(s) your Board of Directors currently has. Choose all that apply:

- Audit committee
- Finance Committee
- Combined Audit/Finance Committee

58. Do members of your fiscal oversight committee(s) receive training on their responsibilities under the LSC Financial Guide on a regular basis?

- [Open text field]

58a. If yes to question 58, how is this training provided? Choose one of the following:

- Training is provided individually, when a new member joins the committee.
- Training is provided to the fiscal oversight committee as a group.

58b. If yes to question 58, when was the most recent training conducted? Choose one of the following:

- Within the last year
- Between 1 and 3 years ago
- More than 3 years ago

59. Does your organization's fiscal oversight committee(s) have at least one member who is a financial expert?

- Yes or No

60. Does your governing body/board have access to a financial expert?

- Yes or No

61. How often does your governing body/financial oversight committee review and make recommendations about investment policies? Choose one of the following:

- At least annually
- Every 1-3 years
- Infrequently to never

62. Which governing body and/or board committee is responsible for reviewing management reports?

- *[open text field]*

63. Please describe the process and how the review is memorialized.

- *[open text field]*

64. Does a board committee review and recommend the approval of your annual budget?

- Yes or No

64a. If yes to question 64, which board committee is responsible for reviewing and recommending the approval of the annual budget?

- *[open text field]*

64b. If yes to question 64, when does the review take place?

- Date (MM/YYYY)

65. Which financial oversight committee or governing body has primary responsibility for managing the process of selecting and recommending the appointment of your independent public accountant?

- *[open text field]*

66. Which financial oversight committee or governing body approves the independent public accountant's (auditor) compensation?

- [open text field]

67. Please indicate to whom the independent public accountant reports its findings.

- [open text field]

68. Does a governing body/financial oversight committee set the rules and processes for addressing issues or concerns raised by the independent public accountant regarding accounting and/or internal control practices?

- Yes or No

68a. If yes to question 68, which governing body/financial oversight committee is responsible for setting these rules and processes?

- [open text field]

68b. If yes to question 68, please describe the process.

- [open text field]

69. Prior to filing, does a governing body/financial oversight committee review the annual IRS Form 990 for completeness, accuracy, and on-time filing?

- Yes or No

69a. If yes to question 69, which governing body/financial oversight committee is responsible for reviewing the IRS Form 990?

- [open text field]

69b. If yes to question 69, please describe when the 990 is reviewed and the process for the review.

- [open text field]

70. Does a governing body/financial oversight committee review the audited financial statements and the management letter with management and the auditor?

- Yes or No

70a. If yes to question 70, which governing body/financial oversight committee is responsible for reviewing the audited financial statements?

- [open text field]

70b. If yes to question 70, please describe when they are reviewed and the process for the review.

- [open text field]

71. Does a governing body/financial oversight committee ensure that your program has written procedures in place requiring that operations be conducted in an ethical and honest manner; comply with applicable laws, regulations and policies; manage resources and risks effectively; and hold persons within your organization accountable for their actions?

- Yes or No

71a. If yes to question 71, which governing body/financial oversight committee is responsible for ensuring these procedures are in place and what is the process?

- *[open text field]*

72. Does a governing body and/or board committee review accounting and control policies and make recommendations for changes and improvements?

- Yes or No

72a. If yes to question 72, which governing body and/or board committee is responsible for reviewing the accounting and control policies?

- *[open text field]*

72b. If yes to question 72, please describe the process and how the review is memorialized.

- *[open text field]*

73. How often are accounting and control policies reviewed and recommendations made for changes and improvements? Choose one of the following:

- At least annually
- Every 1-3 years
- Infrequently to never

74. Does your program review its accounting manual at least annually and revise as necessary? Choose one of the following:

- Yes
- No, we do not have a written accounting manual

75. For the following policies, indicate if they are part of your written accounting manual. Select all that apply:

- Bank Reconciliation Procedures Personnel and Payroll
- Cash Disbursements (all types)
- Cash Receipts
- Client Trust Accounts
- Consultants & Contract Services
- Property Control
- Cost Allocation Methodology



- Derivative Income Policy
- Electronic Data Processing
- Electronic Banking
- Petty Cash controls
- Procurement
- PAI Allocation Methodology
- Segregation of Duties

76. Does your program have a policy that requires financial employees to take five (5) consecutive days of vacation annually?

- Yes or No

77. In their absence does another employee(s) perform their duties during this vacation period?

- Yes or No

78. Is remote access, other than email, terminated during their vacation period?

- Yes or No

79. Please ensure that your organization has designated an individual as the Fiscal Officer. The Fiscal Officer is the person who is primarily responsible for the program's financial operations. To make this designation, go to your Grantee Profile pages ([link](#)) and use the Key Staff Designation dropdown to identify this individual.

- [check box] "By checking this box I certify that we have designated someone on our Grantee Profile as the Fiscal Officer."

80. Is this person you have identified as your Fiscal Officer a staff member or contractor? Choose one of the following:

- Staff
- Contractor

81. When was the last time this person received training related to LSC's fiscal regulations and implementing guidance? Choose one of the following:

- Less than 1 year
- 1 - 2 years
- 3 - 4 years
- More than 4 years ago

82. Do you retain all financial records, supporting documents, statistical records, and all other records pertinent to LSC's grant award in accordance with the requirements of LSC's Financial Guide?

- Yes or No

83. How frequently is a Statement of Financial Position prepared for management review?  
Choose one of the following:
- Monthly
  - Quarterly
  - Annually
  - Infrequently – never
84. How frequently is a Statement of Activities prepared for management review? Choose one of the following:
- Monthly
  - Quarterly
  - Annually
  - Infrequently – never
85. How frequently is a Statement of Cash Flows/Cash on Hand prepared for management review?  
Choose one of the following:
- Monthly
  - Quarterly
  - Annually
  - Infrequently – never
86. Does your organization have established budgetary controls that allow for the Executive Director or designee to monitor expenditures by reviewing regular reports that reflect actual revenue and expenditures (by natural line item/classification) compared to the approved budget?
- Yes or No
87. Does the Executive Director review budget variances that exceed a 10% threshold on a monthly basis?
- Yes or No
88. Who prepares the budget variance analysis for management? Choose one of the following:
- Finance/Accounting Personnel
  - Financial Consultant
  - Other (please specify) [open text field]
89. Who prepares the budget variance analysis for the Independent Public Accountant? Choose one of the following
- Executive Director
  - Finance/Accounting Personnel
  - Financial Consultant

- Other (please specify) [open text field]

90. When did you complete the most recent physical inventory of property and fixed assets?

- Date (MM/YYYY)

91. Does your organization have a valid certificate of good standing?

- Yes or No

92. Based on LSC's previous fiscal year grant award, what range does your organization's fidelity bond insurance limit fall within?

- 0 - 9%
- 10 - 15%
- 16% or more

93. Please upload a copy of your organization's fidelity bond insurance policy.

94. When was the last time a non-LSC funding source(s) conducted a review of your financial position/records? Choose one of the following:

- 1 year or less
- 2 - 3 years
- 4 - 5 years
- More than 5 years
- Never

95. Have any disciplinary complaints, criminal charges, malpractice lawsuits and/or other claims been made against your organization or any of its attorneys in the last 12 months? This includes claims and complaints made by both LSC and non-LSC funding sources.

- Yes or No

95a. If yes, list all disciplinary complaints, criminal charges, malpractice lawsuits and/or other claims been made against your organization or any of its attorneys in the last 12 months. Complete the matrix:

- Complaint type
- Describe the complain
- Complaint issued against...
- Date initiated
- Resolved (Yes or No)

96. Has your program experienced any of the following within the last three years? Fraud, Misappropriation of funds, Embezzlement, Theft (time, cash, equipment, etc.)?

- Yes or No

96a. If yes to question 96, which of the following has your program experienced within the last three years? Select all that apply:

- Fraud
- Misappropriation of funds
- Embezzlement
- Theft (time, cash, equipment, etc.)

96b. If yes to question 96, for incidents in which the loss was \$200 or more, did you report it to the LSC Office of Inspector General (OIG) within two business days of identifying the incident?

- Yes
- No
- Loss was less than \$200

96c. If yes to question 96, upon discovery of the incident, did you report it to the relevant federal, state, or local authorities?

- Yes or No

96d. If yes to question 96, please describe the nature of the incident and what actions you took to resolve the issue.

- *[Open text field]*

96e. If yes to question 96, has your program recovered any of the lost grant funds (regardless of source of recovery)?

- Yes or No

96f. If yes to question 96, if any of the funds were related to LSC, has your program allocated back to your LSC fund account a proportionate share of those lost funds (in whole or in part)?

- Yes or No

## Intake and Outreach Form

97. Please list those positions that are dedicated to handling incoming requests for assistance and screening of potential clients.

- *[open text field]*

98. Please list the total number of hours that are dedicated each week to handling incoming requests for assistance and screening of potential clients.

- Number *[open text field]*

99. Do potential clients receive any type of eligibility screening before the formal intake process begins?

- Yes or No

100. Telephone Intake – Does your organization utilize telephone intake to process potential clients?

- Yes or No

100a. If yes to question 100, List all intake numbers and their purpose(s).

- Phone number, purpose [*open text field*]

100b. If yes to question 100, identify the features of your telephone intake system. Select all that apply:

- Incorporates a self-guided questionnaire to pre-screen for case type eligibility
- Provides an option to the user to select a language of their choice at the start of the call
- Places calls in a queue that are answered in the order they are received
- Routes calls to staff using automated call routing software or call center technology
- Provides callers on hold an option to request an automated callback through the phone system
- Terminates calls after a certain length of time on hold
- Provides an option to callers to leave voicemail messages to receive a call back

100c. If yes to question 100, please indicate the days and times that your organization conducts telephone intake for each phone number that handles LSC-eligible calls. (Type N/A for days that you do not conduct telephone intake).

- Phone # [*open text field*]
- Sunday (st/end) [*open text field*]
- Monday (st/end) [*open text field*]
- Tuesday (st/end) [*open text field*]
- Wednesday (st/end) [*open text field*]
- Thursday (st/end) [*open text field*]
- Friday (st/end) [*open text field*]
- Saturday (st/end) [*open text field*]

100d. If yes to question 100, how did your organization establish its current telephone intake schedule?

- [*open text field*]

100e. If yes to question 100, if telephone intake is your organization's primary method of intake, what accommodation do you make for potential clients who may not have easy access to a phone?

- [*open text field*]

100f. If yes to question 100, during the telephone intake process, what is the sequence for screening a potential client's eligibility? (rank the order of the options below)

- Case Type
- Citizenship

- Financial

100g. If yes to question 100, describe how your organization markets the telephone intake number(s) to potential clients.

- [open text field]

100h. If yes to question 100, is the information solicited during telephone intake recorded contemporaneously in your Case Management System?

- Yes
- No
- Other, please explain [open text field]

100i. If yes to question 100, provide the total number of individuals processed through telephone intake in the past calendar year (January – December).

- [open text field]

101. During an initial telephone intake session, are potential clients screened for case type eligibility?

- Yes or No

101a. If yes for question 101, are the telephone intake questions related to case type eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

101b. If yes for question 101, are there questions related to case type eligibility included in your organization's case management system that are NOT included during a telephone intake application?

- Yes or No

102. During an initial telephone intake session, are potential clients screened for 45 CFR Part 1626 eligibility?

- Yes or No

102a. If yes to question 102, are the telephone intake questions related to 45 CFR Part 1626 eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

102b. If yes to question 102, are there questions related to 45 CFR Part 1626 eligibility included in your organization's case management system that are NOT included in during a telephone intake application?

- Yes or No

103. During the initial telephone intake session, are potential clients screened for INCOME eligibility?

- Yes or No

103a. If yes to question 103, are the telephone intake questions related to INCOME eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

103b. If yes to question 103, are there questions related to INCOME eligibility included in your organization's case management system that are NOT included during a telephone intake application?

- Yes or No

104. During the telephone intake applications, are potential clients screened for ASSET eligibility?

- Yes or No

104a. If yes to question 104, are the telephone intake questions related to ASSET eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

104b. If yes to question 104, are there questions related to ASSET eligibility included in your organization's case management system that are NOT included during a telephone intake application?

- Yes or No

105. Online Intake – Does your organization utilize online intake to process potential clients?

- Yes or No

105a. If yes to question 105, are you considering expanding to online intake?

- Yes or No

105b. If yes to question 105, what is your organization's timeframe for implementing online intake? Choose one of the following:

- 0-6 months
- 6 months - 1 year
- greater than 1 year

105c. If yes to question 105, describe your online intake process.

- *[open text field]*

106. During the initial online intake session, are potential clients screened for CASE TYPE eligibility?

- Yes or No

106a. If yes to question 106, are the online intake questions related to CASE TYPE eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

106b. If yes to question 106, are there questions related to CASE TYPE eligibility included in your organization's case management system that are NOT included in the online intake application?

- Yes or No

107. During the initial online intake session, are potential clients screened for eligibility related to 45 CFR pt. 1626?

- Yes or No

107a. If yes to question 107, are the online intake questions related to eligibility related to 45 CFR pt. 1626 the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

107b. If yes to question 107, are there questions related to eligibility related to 45 CFR pt. 1626 included in your organization's case management system that are NOT included in the online intake application?

- Yes or No

108. During the initial online intake session, are potential clients screened for INCOME eligibility?

- Yes or No

108a. If yes to question 108, are the online intake questions related to INCOME eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

108b. If yes to question 108, are there questions related to INCOME eligibility included in your organization's case management system that are NOT included in the online intake application?

- Yes or No

109. During the initial online intake session, are potential clients screened for ASSET eligibility?

- Yes or No



109a. If yes to question 109, are the online intake questions related to ASSET eligibility the same questions that are contained in the intake screening portion of your organization's case management system?

- Yes or No

109b. If yes to question 109, are there questions related to ASSET eligibility included in your organization's case management system that are NOT included in the online intake application?

- Yes or No

109c. If yes to question 109, what is the average time between a potential client's completion of an online application and the program's contacting that individual for a full intake screening?

- (number) days [*open text field*]
- (number) hours [*open text field*]
- (number) minutes [*open text field*]

109d. If yes to question 109, does a member of your organization review completed online intake applications prior to determining eligibility for services?

- Yes or No

109e. If yes to question 109, does that person contact the applicant after reviewing the completed online intake application to obtain additional information, when necessary?

- Yes or No

109f. If yes to question 109, if no additional information is necessary, does that person contact the applicant after reviewing the online intake application to verify the provided information?

- Yes or No

109g. If yes to question 109, does the online intake system automatically determine eligibility based on Case Type?

- Yes or No

109h. If yes to question 109, does the online intake system automatically determine eligibility based on Citizenship?

- Yes or No

109i. If yes to question 109, does the online intake system automatically determine eligibility based on Assets?

- Yes or No

109j. If yes to question 109, how is the information from the completed online intake application populated to your organization's case management system? Choose one of the following:

- The online application information automatically migrates to the case management system.

- The online application information is manually typed into the case management system.

109k. If yes to question 109, if online intake is your primary mode of intake, what accommodation(s) does your organization make to potential clients who have no or limited access to the internet?

- *[open text field]*

109l. If yes to question 109, describe how you market the online intake page/resource to potential clients.

- *[open text field]*

109m. If yes to question 109, is there a link to the online intake page on the landing page of your organization's website?

- Yes or No

110. Does your organization conduct walk-in, in-person intake to process potential clients?

- Yes or No

110a. If yes to question 110, identify the office(s) where your organization conducts walk-in, in-person intake. Select all that apply:

- office 1 (intake yes/no)
- office 2 (intake yes/no)
- office 3 (intake yes/no)

110b. If yes to question 110, identify the days and times walk-in, in-person intake is conducted. (Type N/A for days that you do not conduct walk-in, in-person intake for the referenced office).

- Office 1, Office 2, Office 3...
  - Sunday st/end *[open text field]*
  - Monday st/end *[open text field]*
  - Tuesday st/end *[open text field]*
  - Wednesday st/end *[open text field]*
  - Thursday st/end *[open text field]*
  - Friday st/end *[open text field]*
  - Saturday st/end *[open text field]*

111. Does your organization offer intake screening at offsite locations?

- Yes or No

111a. If yes to question 111, does intake screening that occurs offsite follow the same procedures as in-person intake conducted at your organization's office?

- Yes
- No
- Sometimes

111b. If yes to question 111a, explain the differences.

- [open text field]

111c. If yes to question 111, Is screening information gathered offsite entered contemporaneously into your organization's case management system?

- Yes
- No
- Sometimes

111d. If yes to question 111, explain the process for entering this information into your organization's case management system.

- [open text field]

111e. If yes to question 111, describe how your organization markets its offsite intake sites and events to potential clients.

- [open text field]

112. Using the list below, identify which written policies or procedures your organization has. Select all that apply:

- Telephone intake
- online intake
- walk-in/in-person intake
- offsite intake
- other type(s) of intake, please specify [open text field]

113. Using the list below, identify the topics your intake policy and procedures manual covers. Select all that apply:

- How to identify and resolve conflicts of interest with existing clients,
- What to do in the event an applicant is in crisis or appears to be a danger to themselves or someone associated with them,
- What to do in the event an applicant does not speak English,
- How to determine and document eligibility for over-income applicants, including income prospects,
- How to determine and document eligibility for over-asset applicants,
- How to determine and document eligibility for citizen applicants,
- How to determine and document eligibility for non-citizen applicants,
- How to screen for and document income prospects,
- How to screen for group eligibility,
- How to document case type eligibility (i.e., that the applicant's case is within your organizations priorities),

114. Have you assessed your intake processes and procedures in the past 3 years?

- Yes or No

114a. If yes to question 114, was this assessment conducted by an external or an internal evaluator? Choose one of the following:

- External
- Internal

114b. If yes to question 114, list the top findings or issues identified in the assessment and the changes that were implemented to address the evaluation findings.

- *[open text field]*

114c. If yes to question 114, did the evaluation/assessment result in a written report?

- Yes or No

115. Please write a narrative discussing your case acceptance guidelines and how they relate to your priorities for the upcoming grant year (per CFR Part 1620).

- *[open text field]*

## Technology Form

116. Does your organization have IT professionals on staff dedicated to the organization's IT needs?

- Yes or No

116a. If yes to question 116, please list those positions and the number of hours they work on information technology issues per week.

- Staff position *[open text field]*
- Hours dedication to IT issues per week *[open text field]*

117. Explain how the organization manages IT.

- *[open text field]*

118. Has your organization had a third party conduct a technology assessment?

- Yes or No

118a. If yes to question 118, when was the assessment conducted?

- Date (MM/YYYY)

118b. If yes to question 118, please list the critical recommendations made.

- *[open text field]*

118c. If yes to question 118b, please explain why those recommendations were made.

- *[open text field]*

119. Has your organization had a third party conduct an IT security audit?

- Yes or No

119a. If yes to question 119, when was the IT security audit conducted?

- Date (MM/YYYY)

119b. If yes to question 119, please list the critical recommendations made.

- *[open text field]*

119c. If yes to 119b, please explain why those recommendation were made.

- *[open text field]*

120. Does your organization have a technology committee?

- Yes or No

120a. If yes to question 120, please list the staff and board positions who sit on the technology committee.

- *[open text field]*

120b. How frequently does the technology committee meet? Choose one of the following:

- Monthly
- Quarterly
- Semi-annually
- Annually
- Other, please specify *[open text field]*

121. Does your organization have a technology plan?

- Yes or No

121a. If yes to question 121, please list the staff and board positions involved in creating the technology plan.

- *[open text field]*

121b. If yes to question 121, how often is the technology plan reviewed? Choose one of the following:

- Semi annually
- Annually
- Every two years
- Other, please specify *[open text field]*

121c. If yes to question 121, does the plan include deadlines for implementation?

- Yes or No

122. Please describe how your organization decides its technology needs.

- [open text field]

123. Does your organization have a technology budget?

- Yes or No

123a. Please list the staff positions of those involved in preparing the technology budget.

- [open text field]

123b. Describe how technology budget preparation is integrated with technology planning.

- [open text field]

124. Please describe how are resources allocated for technology.

- [open text field]

### **This is the Native American Service Area Form**

**This form is only applicable for those that are applying for a Native American Service Area.**

125. Describe how your organization assesses the civil legal needs of the Native American population in your service area.

- [open text field]

126. List case priorities your organization has developed for the Native American population.

- [open text field]

127. Describe how the Native American population can access legal services at your organization.

- [open text field]

128. Describe how your organization conducts intake for the Native American population.

- [open text field]

129. Describe your organization's outreach plan to the Native American population in your service area.

- [open text field]

130. Describe the staff resources committed to the delivery of legal services to the Native American population in your service area.

- [open text field]

131. Describe your organization's legal service delivery model for the Native American population in the service area.

- [open text field]

132. Describe any partnerships with stakeholders in the Native American community.
- *[open text field]*

**This is the Agricultural Workers Service Area Form**  
This form is only applicable for those that are applying for an Agricultural Worker Service Area.

133. Describe how your organization assesses the civil legal needs of the agricultural workers in your area.
- *[open text field]*
134. List the case priorities your organization has developed for agricultural workers.
- *[open text field]*
135. Describe how agricultural workers can access legal services at your organization.
- *[open text field]*
136. Describe how your organization conducts intake for agricultural worker cases.
- *[open text field]*
137. Describe your organization's outreach plan for the agricultural worker population in your service area.
- *[open text field]*
138. Describe the staff resources committed to the delivery of legal services to the agricultural worker population in your service area.
- *[open text field]*
139. Describe your organization's legal service delivery model for agricultural workers in the service area.
- *[open text field]*
140. Describe any partnerships with stakeholders in the agricultural worker community.
- *[open text field]*

## Subgrants of LSC Basic Field Funds for Funding Year 2021

As part of the application, applicants must submit information about each prospective subgrant, as defined by [45 C.F.R. Part 1627](#), for which LSC funds would be used. Applicants planning to subgrant \$20,000 or more of its LSC Basic Field funds in 2021 to any one entity, must also submit a subgrant application through *GrantEase* for any such subgrants.

LSC has revised parts of its application to subgrant LSC funds. Most of the information and documentation requested in the 2021 subgrant application will be similar to past years. However, for renewal subgrants, LSC will request more specific information on the subgrantees' services that were supported in whole or in part with subgranted funds during the last full calendar year (i.e., 2019). If a subgrantee cannot provide the information requested, LSC advises grantees to provide estimates (and indicate they are estimates) or note that the information is not available. This information is also only requested for applications to subgrant to entities that were LSC subgrantees on or before January 1, 2019.

LSC will issue more detailed subgrant application instructions closer to the application deadline, which will be available here: <https://www.lsc.gov/grants-grantee-resources/grantee-guidance/how-apply-subgrant>. **To help grantees start to prepare to submit their subgrant applications, LSC provides the application questions below.**

1. What type of LSC funds is the grantee organization applying to subgrant?
  - Auto populated
2. What is the grant/application system ID of the Grantee organization/prime application?
  - Auto populated
3. Who should LSC contact if they have questions about this application?
  - Select from staff list
4. What is the name of the subgrantee organization?
  - Subgrantee Name
5. Is this a renewal request of an existing subgrant between your organization and the subgrantee?
  - Yes/No
6. What is the amount of the proposed subgrant?
  - Text (number)
7. What is the start date of the proposed subgrant?
  - MM/DD/YYYY



8. What is the end date of the proposed subgrant?
  - MM/DD/YYYY
9. What services and deliverables will the subgrantee provide under this subgrant? Please be as specific as possible. If the sub-granted funds will support multiple services or deliverables (e.g., intake and/or eligibility screening services, case oversight services, services to place pro bono cases, services to place cases with attorneys on a reduced-fee basis, clinic services, community education presentations, etc.), please provide those details.
  - *[Open text field]*
10. If the subgrant will support, in whole or in part, the subgrantee's work to handle Private Attorney Involvement cases, what is the number or number range of these cases the subgrantee is anticipated to close during the subgrant term?
  - *[Open text field]*
11. If the subgrant will support, in whole or in part, the subgrantee's work to provide direct legal assistance to clients (either in addition to or instead of handling Private Attorney Involvement cases), what is the number or number range of these cases the subgrantee is anticipated to close during the subgrant term?
  - *[Open text field]*
12. If you are using sub-granted funds to support Private Attorney Involvement activities, how many different Pro Bono attorneys or attorneys taking cases on a reduced fee basis does the subgrantee anticipate involving in activities supported in whole or in part with the sub-granted funds?
  - *[Open text field]* [The answer can be an estimated range or number.]
13. Is either of the two following statements TRUE?
  - 1) My organization did NOT apply to subgrant LSC funds to this proposed subgrantee last year
  - OR
  - 2) LSC approved my organization's subgrant to this subgrantee last year AND I am required to submit a full funding/competition application this year
  - Yes/No
14. Please provide a narrative explaining how the subgrantee will adhere to the recordkeeping requirements of 45 C.F.R. § 1627.5(c).
  - *[Open text field]*
15. Does the subgrantee have a conflicts of interest policy?
  - Yes/No

16. Are there any potential or perceived conflicts of interest between the grantee and the subgrantee?
- Yes/No
17. If the answer to the previous questions is “yes,” please select the option that applies:
- My organization and the subgrantee have taken actions to ensure it does not create an actual conflict;
  - My organization and the subgrantee have taken NO action to ensure it does not create an actual conflict. Please provide a narrative explaining why no action was needed.
    - *[Open text field]*
18. Does the subgrantee have a whistleblower policy?
- Yes/No
19. Check this box to affirm that either your organization has or will extend its fidelity bond policy to cover the subgrantee or the subgrantee has its own fidelity bond coverage.
- Check box
20. Does the subgrantee engage in any LSC-restricted activities?
- Yes/No
  - If yes, please provide a narrative explaining the nature and the scope of this work.
    - *[Open text field]*
21. Please describe the subgrantee’s method(s) for ensuring compliance with the prohibitions and any applicable exceptions under 45 C.F.R. Parts 1610 or 1627.
- *[Open text field]*
22. Please provide a narrative explaining any significant changes over the past year in leadership, management, or operations at either the subgrantee or your organization that would impact the performance, oversight, or compliance of the subgrant, or indicate that none have occurred.
- *[Open text field]*
23. How will you, as the grantee, monitor and evaluate the subgrantee’s programmatic delivery of services? (Check all that apply)
- Periodic reporting by subgrantee that addresses, for example, the type and number of activities, types of legal services provided, number and type of cases closed, number of extended cases closed by type, number and type of private attorneys (pro bono or reduced fee) involved in service delivery, and describing support and oversight provided by subgrantee
  - Periodic onsite visits to subgrantee
  - Periodic onsite visits to subgrantee’s volunteer or reduced-fee activities in progress

- Periodic review of the subgrantee’s needs assessment, planning and service delivery, including priorities and case acceptance criteria, intake, and legal work management
- Periodic satisfaction survey of clients that receive services from the subgrantee

23a. Please provide supporting narrative if more clarification is available.

- *[Open text field]*

24. Check the items that best describe your systems for ensuring the subgrantee adheres to LSC’s various fiscal requirements, including the LSC Accounting and Audit Guides, and has sufficient fiscal internal controls.

- Periodic phone calls and other correspondence
- Periodic remote review of documents
- Periodic onsite visits to the subgrantee

24a. Please provide supporting narrative if more clarification is available.

- *[Open text field]*

25. Check the items that best describe your systems to ensure the subgrantee adheres to the terms and conditions of the subgrant agreement and applicable LSC statutory and regulatory requirements.

- Periodic meetings or calls with the subgrantee
- Periodic onsite visits to the subgrantee
- Periodic trainings for the subgrantee

25a. Please provide supporting narrative if more clarification is available.

- *[Open text field]*

## **The next section contains additional questions for applications to renew an existing subgrant**

If the subgrantee cannot provide exact numbers in response to the questions in this section, the answer can be an estimated range. If estimates are also not available, please state that the information is not available.

26. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to place cases with Pro Bono attorneys?

- Yes or No
- If yes, what was the total number of cases?
  - *[Open text field]*

27. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to oversee and close cases handled by Pro Bono attorneys?
- Yes or No
  - If yes, what was the total number of cases?
    - *[Open text field]*
28. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to place cases with attorneys on a reduced fee basis?
- Yes or No
  - If yes, what was the total number of cases?
    - *[Open text field]*
29. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to oversee and close cases handled by attorneys on a reduced fee basis?
- Yes or No
  - If yes, what was the total number of cases?
    - *[Open text field]*
30. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, for Pro Bono recruitment efforts?
- Yes or No
  - If yes, please describe those efforts.
    - *[Open text field]*
31. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to provide Pro Bono advice and/or legal information clinics for self-represented litigants?
- Yes or No
  - If yes, please describe those efforts.
    - *[Open text field]*
32. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to provide Pro Bono community education presentations?
- Yes or No
  - If yes, please describe those efforts.
    - *[Open text field]*
33. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to provide legal advice or other legal services directly to clients by subgrantee staff or management?
- Yes or No
  - If yes, what was number of cases the subgrantee closed?
    - *[Open text field]*

34. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to provide intake and/or eligibility screening services?
- Yes or No
  - If yes, please describe those efforts.
    - *[Open text field]*
35. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to directly provide legal services to clients (e.g., non-PAI case services)?
- Yes or No
  - If yes, please describe the types of services provided.
    - *[Open text field]*
36. During the last calendar year, did the subgrantee use subgranted funds, in whole or in part, to provide a full range of legal services to a specific geographic area within a service area, instead of your organization providing any such services?
- Yes or No
37. What was the total number of cases the subgrantee closed during the last calendar year that were supported in whole or in part by the sub-granted funds?
- *[Open text field]*
38. What was the total number of extended services cases that the subgrantee closed during the last calendar year that were supported in whole or in part by the sub-granted funds?
- *[Open text field]*
39. Please provide any additional information not provided above about the services or deliverables the subgrantee provided to the grantee or directly to clients or eligible applicants over the past year that were supported in part or in whole with sub-granted funds.
- *[Open text field]*

**This next section contains questions for applications to make new subgrants OR subgrant applicants who are renewing an existing subgrant AND are also submitting a full funding application for 2021 Basic Field Funding**

40. Describe the subgrantee's qualifications for and experience with conducting the activities funded under the subgrant (e.g., experience with subgrant activities, number and qualifications of staff that will conduct subgrant activities, prior collaborative efforts of grantee and subgrantee, type of organization, reputation in the legal community.)
- *[Open text field]*

41. If your subgrantee is not a current LSC grantee, please upload the following documents on the Documents Tab of this application:

- 1) Copy of the subgrantee's accounting manual
- 2) Copy of the subgrantee's most recent Audited Financial Statements
- 3) Copy of the subgrantee's cost allocation policy (if not in accounting manual)
- 4) Copy of the subgrantee's recordkeeping/timekeeping policy (if not in accounting manual)

41a. If a required document is not available, please provide a narrative explaining why.

- *[Open text field]*