

IOLA Fund of the State of New York

FY 2026-2030 IOLA Grant Cycle

APPLICATION INSTRUCTIONS AND FORMS

**SUBMISSION VIA THE STATEWIDE FINANCIAL SYSTEM ONLY
PAPER APPLICATIONS WILL NOT BE ACCEPTED**

**DEADLINE: 12 P.M. (NOON) Eastern Time, OCTOBER 28, 2024
LATE APPLICATIONS WILL NOT BE ACCEPTED**

Applicants are **strongly urged** to submit applications at **least 48 hours in advance** of the deadline to allow for uploading information and documents to the Statewide Financial System (SFS).

Pre-Bid Conference Registration:

https://us06web.zoom.us/webinar/register/WN_0xaDR4szSNWGijHJ2kgT7g

Attendance at the Pre-Bid Conference is **optional**.

Pre-registration is required.

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Application Overview

THE IOLA FUND: HISTORY AND MISSION

The IOLA Fund's (IOLA) mission is to support those qualified non-profit organizations throughout New York State that will most efficiently and effectively provide stable, economical and high quality civil legal representation to eligible clients and will improve the administration of justice.

IOLA generates revenues through interest earned on New York lawyers' IOLA trust accounts. IOLA was established by the Legislature in 1983 and is administered by a fifteen-member Board of Trustees appointed by the Governor. The Trustees are assisted by a staff of eight full time employees located in New York City. The names of Trustees and staff and other information about IOLA may be found at www.iola.org.

SCOPE OF SERVICES FOR IOLA GRANT PROGRAMS

In furtherance of its mission, and in recognition that no single program can satisfy the documented unmet need for civil legal services, IOLA supports a variety of programs to ensure the delivery of a full range of civil legal services to low income New Yorkers through a comprehensive, well-coordinated statewide system. Such programs include, but are not limited to: staff attorney programs, pro bono programs, specialized legal services programs, multi-service programs, alternative dispute resolution programs and support and technical assistance programs for the legal services delivery system.

New York State Finance Law 97-v requires the Trustees to allocate no less than 75% of the total grant funds available to qualified civil legal services ("CLS") providers and no more than 25% of the total grant funds available to programs that improve the administration of justice ("AOJ"). Awards cover general operating support. Subject to certain exceptions and circumstances, persons eligible to receive legal services with IOLA funds are limited to those whose incomes do not exceed 125% of the Federal Poverty Guidelines. [See](#) 21 NYCRR Part 7000.14.

AVAILABLE FUNDING

For the 2026 through 2030 fiscal years, IOLA anticipates disbursing up to \$562.5 million over the course of the five fiscal years. IOLA anticipates disbursing according to the below (approximate) schedule. **Awards will be made for the entire 5-year term**, with increases per fiscal year built into the total amount awarded for the 5-year term. Awards are subject to available IOLA funding, the State of New York Contract for Grants, and the IOLA Fund's appropriation under the NYS Budget.

FISCAL YEAR	MAXIMUM ANNUAL GRANT FUNDING AVAILABLE
FY2026	Up to \$77,500,000
FY2027	Up to \$95,000,000
FY2028	Up to \$110,000,000
FY2029	Up to \$130,000,000
FY2030	Up to \$150,000,000
Total IOLA 5-Year Funding	Up to \$562,500,000

LOBBYING PROHIBITION

State Finance Law §139-J and §139-K restrict applicants from making contact with the procuring governmental entity with the intent to influence the governmental entity's conduct or decision regarding the governmental procurement (unless it is a contact within the statutory exceptions set forth in State Finance Law § 139-J(3)(a)). Under Section 139-J(1)(g), grants are excluded from the statutory definition of a procurement contract. Nonetheless, so as to avoid an appearance of any impropriety and to promote fairness in the grant application process, IOLA will apply the aforementioned contact restrictions to applicants for IOLA grants.

IOLA GRANT QUALIFICATIONS (21 NYCRR Part 7000.12-7000.14)**Qualified Recipients**

Organizations qualified to receive IOLA grants must meet all of the following:

- be non-profit entities, tax-exempt under section 501(a) of the Internal Revenue Code;
- have “current” registration with the NYS Charities Bureau;
- operate within New York State;
- have an audit mechanism that provides accountability for IOLA funds;
- agree to satisfy, on a timely basis, all of IOLA’s reporting requirements, including the submission of certified financial statements; and
- provide legal services as a CLS or AOJ provider.

Civil Legal Services (CLS) – Provide direct civil legal services in multiple substantive areas without charge to low income persons within particular geographical areas in New York State. By statute, CLS awards are based on the poverty population in New York State according to the “latest available figures” from the US Census Bureau. Applicants should refer to “NYS Poverty Population by IOLA Unit and County” and “IOLA Unit Map 2024” included with this application and posted on the Fund’s website.

Administration of Justice (AOJ) – Provides services that seek to:

- (a) enhance civil legal services to low income persons through innovative and cost-effective means;
- (b) provide direct civil legal services either to groups of clients currently underserved by legal services (such as the elderly or disabled), or in an area of representation (whether substantive or geographical) that cannot be or is not effectively served by individual qualified legal services providers;
- (c) provide legal, management or operational training, or legal, management, support service, or technical assistance, or direct legal assistance, informational advocacy or litigation support to qualified legal services providers; or
- (d) otherwise promote the improvement of the administration of justice.

Determination of CLS or AOJ

IOLA will determine whether the applying entity is to be considered a CLS or AOJ applicant, pursuant to Section 7000.12 of the Trustees Regulations, as well as based on the application and all supporting documents submitted by an applicant. Factors considered in the determination include the breadth and scale of civil legal services provided, the number of staff, and the organization’s civil legal services budget.

Use of IOLA Funds

IOLA funds may not be used for any of the following purposes:

- (1) Legal assistance with respect to any criminal proceeding or any action in the nature of habeas corpus collaterally attacking a criminal conviction
- (2) Political purposes
- (3) Endowment campaign support

IOLA will accept only <u>one</u> application from each organization.

Relevant Dates and Deadlines

October 1, 2024: PRE-BID CONFERENCE

Applicants are invited to attend IOLA's optional Pre-Bid Conference on **Tuesday, October 1, 2024, at 10:00 am**. IOLA staff will provide a brief overview of the application requirements and answer questions from attendees. All questions and answers addressed during the Conference will be made available to all potential bidders after the Conference is conducted via the IOLA website.

The Conference will be held via Zoom; pre-registration is required. Click the following link to register: https://us06web.zoom.us/webinar/register/WN_0xaDR4szSNWGijHJ2kgT7g

October 11, 2024: QUESTIONS & ANSWERS

Any and all questions regarding the application process (including clarifications of existing instructions, questions relating to issues not covered by the existing instructions, and clarifications of answers to questions from the Pre-Bid Conference) must be submitted via email with the subject line: "IOLA Grant Application Question(s)," directed to IOLAGrants@iola.org and be received by the Fund **on or before 4:00 pm, October 11, 2024**. Oral questions will not be accepted or answered. Questions received after the deadline may not be answered. IOLA will post on its website a final and comprehensive list of all questions and answers by **October 18, 2024**.

October 28, 2024: DEADLINE FOR SUBMISSION OF PROPOSALS

Applications must be fully submitted through the Statewide Financial System by **12:00 pm (noon) Eastern Time on October 28, 2024**. This includes answering program questions and uploading all program documents and forms.

Applicants are strongly urged to set aside sufficient time and resources for submitting their applications and to submit prior to the deadline. **Please note that if an applicant is submitting its application on the date of the deadline and encounters technical difficulties or for any reason cannot finalize the submission of its application, that application will NOT be accepted. Once submitted, all submissions are final.**

March 1, 2025 – March 31, 2030: TERM OF CONTRACT

IOLA's next grant cycle will award funds for the sixty-one-month term beginning March 1, 2025 and ending March 31, 2030. The first month of the contract is a planning period, wherein no contract expenses may be incurred. Contract expenses can be incurred starting April 1, 2025.

IOLA utilizes the State of New York Contract for Grants (which may be reviewed in advance, available at <https://www.budget.ny.gov/guide/bprm/h/h-1032-nys-contract-for-grants-2024.pdf>) and IOLA Fund specific terms and conditions.

Application Contents, Submission, and Instructions

GENERAL SUBMISSION INSTRUCTIONS

To be considered, all applicants (including existing grantees), must submit a complete application via the Statewide Financial System (SFS) by the posted deadline. For an application to be considered, applicants must be “Prequalified” in SFS as of the posted deadline for applications (see page 23 for details).

The application on SFS consists of a series of Pages where applicants will be prompted to answer questions and upload responsive documents. Each Page should be saved as it is completed; the entire application need not be completed in one sitting. Applicants seeking to resume work on a partially completed application should go to the SFS home page and access their application in the “Grants Management – State” tile through either the “Bid Event Search” or the “Bid Response Search” (Funding Agency: IOL01, Event ID: EVT0000001). Once all the Pages are finished and all the necessary documents are uploaded, an applicant should “submit” the application.

To access the IOLA FY2026-2030 Application package in SFS, including Additional Document templates, go to the “Event Comments and Attachments” page. The “Event Comments and Attachments” page can be accessed by scrolling to the bottom of the main bid event page and selecting the “Event Comments and Attachments” link located underneath the “Lines” chart of “Step 2: Enter Line Bid Responses.” To return to the main event page, select the “Ok” button located in the bottom left-corner. The application package is also available on iola.org.

IMPORTANT NOTE: Only individuals designated with the SFS role of “**Bid Response Submitter**” are authorized to “submit” applications via SFS. Please review your designated role before preparing your application. Forward all SFS questions to Helpdesk@sfs.ny.gov or 855-233-8363. Please note the SFS Helpdesk may take several business days to respond to inquiries and plan accordingly.

Application Content. Once received by IOLA, applications become the property of IOLA and may be subject to public disclosure.

Professional Judgment. Where actual data is not available, applicants should use best estimates based on available data and their professional judgment.

Support and Training Programs. Applicants that provide support and training services to other organizations should reference the direct and indirect approval from the recipients of their programs in the narrative discussions of community need (Part A.) and program description (Part C.).

Additional Pages. Do not submit any additional materials beyond those requested. Do not submit letters of recommendation. Do not submit MOUs. Cited information (e.g., hyperlinks to websites or photos) may not be considered. Footnotes and endnotes are permitted but count toward the page limits. However, applicants with more information than lines on the revenue form may attach a schedule with the additional information and put the subtotal from that schedule on the last line of the revenue form.

PROGRAM INFORMATION

See instructions below for SFS fields and uploading narrative responses.

Under “Step 1”, in the “Bidder Contact Information” section, enter the name, email, and telephone of the best contact person for the application. Click “Site/Project Address” link to enter the address of your organization’s main administrative office. This information must be entered before saving the page.

The ***Event Questions*** will prompt you to provide narratives of the following:

- Community Need
- Organizational Strength
- Program Description
- Financial Narrative

Please draft and then upload documents responsive to each question, adhering to the indicated page limits and incorporating the sub-headings referenced below (single-spaced, one-inch page margins, 12-point font.) All documents must be uploaded in PDF file format.

A. Community Need (up to 3 pages)

1. Need

Indicate the client needs and/or gaps in community services (supported by community characteristics, demographic and statistical data).

2. Target population

Describe the geographic area and target population (supported by community characteristics, demographic and statistical data).

3. Outreach

How will individuals/groups be made aware of the availability of your proposed services? Indicate whether and how technology facilitates outreach. Indicate how the proposed outreach methods address any special problems of the target population, for example, language barriers, physical disabilities, etc.

Describe any measures used to facilitate access to services for individuals with the following needs:

- *Primary language other than English*
- *Physically or mentally disabled*
- *Lacking transportation*
- *Institutionalized or incarcerated*
- *Low-income working clients (extended office hours, etc.)*
- *Other needs particularly applicable to your community*

B. Organizational Strength (up to 6 pages)**1. Principal Activities**

Briefly describe all the organization's principal activities, explaining how the provision of civil legal services to low-income persons and/or improving the administration of justice fits into the organization's mission.

NOTE: This part should both describe the whole organization's principal activities and mission as well as explain how these activities and mission relate to the provision of civil legal services to low-income persons and/or improving the administration of justice.

2. Structure & Planning

Describe organizational structure, planning and priority setting processes. Include board composition, relevant experts and client/community involvement. Describe efforts to recruit, retain and promote diverse staff and board members.

3. Training & Professional Development

Describe whether your organization offers or plans to offer training or professional development to your staff, management, volunteers or board members, including training on diversity and inclusion, anti-oppression, and cultural competency issues. Please provide details about the trainings offered (e.g., subject matter, constituency served, number of attendees, mandatory or voluntary, number of sessions, in person or web-based).

4. Supervision & Quality Control

Describe the methods for supervision and ensuring high quality services:

- *Methods for case and/or work assignment*
- *Procedures for reviewing/supervising work*
- *Provisions for backup and technical support for paralegals, law students and other non-attorneys involved in legal service delivery*
- *Provisions for ensuring confidentiality of client information, including electronically stored information*
- *Provisions for program evaluations*

C. Program Description (up to 12 pages)**1. Narrative Summary of The Program To Be Funded**

Describe the kinds of services to be provided, to whom they will be provided and where the recipients of those services reside. Explain how the organization's strengths and staffing will support this program and address the community need of the target population through innovative and cost-effective means. Applicants should describe all activities of their entire civil legal aid program, not just the portion to be supported by IOLA funding.

Describe any anticipated major programmatic changes within the term of the contract, including changes to service provision, populations served, and program structure. To the extent these programmatic changes affect the proposed budget allocation for the contract term, please note in the Part D. Financial Narrative and the 5-Year Grant Breakdown attachment.

NOTE: This part should clearly articulate what services will be provided, the community needs that will be served and how the organization's strengths and staffing support the proposed program (some information from other Narrative Sections may be repeated).

2. Service Delivery

Describe the office location(s) and indicate which methods will be used to deliver the proposed services (e.g., staff delivery using attorneys and paralegals, pro bono programs, specialized law units, evening clinics, pro se training, mediation/alternative dispute resolution, other). If your organization provides services in more than one of IOLA's seven geographical units, briefly describe the services provided in each unit.

Describe (a) the number and composition of paid and volunteer staff who will serve the individuals/groups in the proposed program, (b) their qualifications (e.g., attorneys, law students, any specialized units), & (c) their respective roles in the program.

Indicate whether and how technology will be used to deliver services.

3. Cooperative efforts

Identify other legal services providers, private bar associations, or community based organizations that will actively participate in this program and provide an overview of their roles.

Describe arrangements with other legal service providers in your area, LawHelpNY, 211, and other direct services to avoid duplication of effort.

4. Achievements in Last Fiscal Year

Summarize your most significant achievements during the last fiscal year ending March 31, 2024, including:

- Numbers of individuals/groups benefitted;*
- Dollar benefits obtained and avoided;*
- Taxpayer savings;*
- Improvements in the administration of justice.*

Existing IOLA grantees should incorporate the statistics reported on the GAR and reference the corresponding contract goals.

D. Financial Narrative (up to 5 pages)**1. Current Financial Status**

Describe your organization's current financial position. Indicate any operating reserves, capital projects, operational surplus/deficit. Clarify any issues that may appear on your most recent audit. Describe your financial staff, including number of staff members, any accreditations (e.g., CPA), whether in-house or outside consultants, etc.

2. Projected Finances

Describe your financial projections for the next fiscal year, both revenue and expenses. Indicate any significant new funding or potential cuts. Describe any planned expansions (including capital projects) or reductions in spending.

3. Proposed Grant

In this narrative, provide:

- a. The overall financial context for the proposed program to be funded (set forth in the Program Description narrative, Section C.).*
- b. How the proposed IOLA grant would support your programming, including whether the grant would support new initiatives, new hiring, necessary infrastructure improvements, make up for lost funding, etc.*
 - i. In the case of new initiatives, indicate any other funding already secured.*
- c. Describe the program's financial/budgetary priorities for each year of the contract term, and how the proposed IOLA grant would support these priorities in each year.*

As part of an IOLA application, organizations must also complete a proposed category-level 5-year contract budget in SFS and a 1-Year Sample Detailed Budget attachment.

BUDGET INFORMATION & INSTRUCTIONS***Grant Requests***

IOLA expects to award up to \$562.5 million for the FY2026-FY2030 grant cycle. Applicants should consider the amount of available funds when determining their grant requests. The grant request should indicate the total amount requested for the full **five-year term** of the contract.

The grant request should be entered in the “Lines” chart on the “Event Details” page in the “Your Unit Bid Price” field. This must match the total grant funds requested in the SFS Budget.

Applicants are encouraged to request the amount of funding that is appropriate, reasonable and consistent with their intended projects, as well as commensurate with Applicant’s principal activities. The requested budget amount will be considered as a factor under the financial evaluation section and can result in the loss of points. Applications should include all schedules, fully completed, based on the assumption that the amount requested is available and awarded. IOLA may, in its sole discretion, grant funds in greater or lesser amounts than requested in an application.

Applicants are encouraged to consider that the IOLA Fund intends to disburse funds according to the (approximate) schedule detailed on page 3, with the total grant amount awarded intended to include **built-in** increases per year. For those awarded, IOLA will encourage budgeting with increased annual spending amounts over the contract term.

Applicants should complete and submit the

- 1) SFS Budget
- and *as attachments*;
- 2) Sample 1-Year Detail Budget Attachment;
 - 3) 5-Year Grant Breakdown.

The SFS Budget needs to be completed within the SFS application pages and should include proposed **sub-totals for each pre-defined budget category** for the **five-year** grant term. The Sample 1-Year Detail Budget Attachment should include **specific line item expense** detail (e.g. translation services, office supplies). The 5-Year Grant Breakdown attachment should propose **annual spending** for each of the five fiscal years of the grant. See pages 13-15 for more instructions.

If awarded, IOLA grantees will be required to develop and submit a detailed, line-item budget for the entire 5-year contract term. IOLA will provide further instructions and work with awardees to develop a detailed, line-item budget after award. All detailed budgets are subject to approval.

1) SFS Budget

To access the SFS Budget forms, select the “Period” column link (which appears as “1”) under “Lines” in “Step 2: Enter Line Bid Responses”. This will bring you to a page called “Create Bids” where both the Budget and Workplan can be accessed through their respective links in the “Bid Event Periods” box.

Complete the “Budget Properties” page in SFS, showing only those anticipated costs related to the provision of CLS or AOJ services consistent with your Program Narrative and supported by an IOLA grant. Assume a 60-month budget, with an April 1, 2025 start date. [Remember, this grant cycle is a sixty-one-month period beginning March 1, 2025 and ending March 31, 2030. The first month of the contract is a planning period, wherein no contract expenses may be incurred. Contract expenses can be incurred starting April 1, 2025.]

Note that SFS budget information is entered into the “Period Budget Summary” chart on the “Budget Properties” pages. “Period Budget Summary” Page contain a series of linked web forms accessed through the “Category Details” icon for each Budget Category where budget details, as defined below, are entered and saved.

The total amount entered in the SFS Budget must equal the amount entered in the “Your Unit Bid Price” field on the Event Details page in order to submit the bid response.

The Budget inputted into SFS should include anticipated costs related to the provision of CLS or AOJ services, to be charged to an IOLA grant (if awarded) for **five years**. The budget categories in the SFS Budget are pre-defined for Salary, Fringe, Contractual Services, Travel, Equipment, Space/Property & Utilities, Operating Expenses, and Other. The anticipated costs for each category need to be entered under the “Grant Funds” field on each respective page. Do NOT edit the pre-defined “Type/Description” field in SFS. Do NOT add additional lines. Details should be provided in the **Sample 1-Year Detail Budget** attachment only.

For example, in the “Salary Category” Detail Page, enter the anticipated “Grant Funds” for Salary. This should reflect anticipated costs to be charged to the proposed IOLA grant for Salary **for five years**. Leave the “Annualized Salary Per Position”, “STD Work Week (hrs)”, “% of Effort Funded”, and “# of Months Funded” fields blank. Only the “Grant Funds” field needs to be filled out in the SFS Budget.

The “Narrative” text boxes in the SFS Budget webpages do not need to be filled out. Narrative detail should be reflected in the Financial Narrative and the Sample 1-Year Detail Budget attachment.

2) Sample 1-Year Detail Budget Attachment

Complete the Sample 1-Year Detail Budget Attachment and upload under “Sample 1-Year Budget” field in SFS. The 1-Year Detail Budget attachment must be uploaded as a PDF. The Excel workbook template provided is for drafting purposes only.

This Sample 1-Year Detail Budget should show anticipated costs related to the provision of CLS or AOJ services consistent with your Program Narrative and supported by an IOLA grant for **the first fiscal year of the grant term (FY2026)**. This sample budget should include detailed line items for each category you anticipate costs to be supported by an IOLA grant (applicants do **not** need to include expenses for each category, if there are no anticipated costs to be supported by an IOLA grant in that category). Line items should be more detailed than the category names and narrative information should be included on their respective pages.

A. Personal Services Detail and Narrative

Complete this page in full, including the Position Title, Annualized Salary Per Position, STD Work Week (hrs), % of Effort Funded, # of Months Funded, and Total Funds.

If the applicant intends on funding several positions with the same title, enter in the “Position/Title” column however many individuals you intend to fund in this position in parenthesis after the job title (e.g. Lawyer (5), Paralegal (10), etc.). Enter the sum total of these individuals’ salaries into “Annualized Salary Per Position” and complete the remainder of the form as instructed above. Fringes need not be calculated for each individual position, just indicate the total fringe. The total column should be accurately calculated and brought forward to the summary page.

B. Non-Personal Services Detail and Narrative

IOLA supports sound infrastructure that enables civil legal aid programs to flourish. Applicants may seek funding for administrative expenses but are not required to have expenses for every non-personal services category.

“Equipment” – Include any equipment that will be purchased or rented with IOLA requested grant funds. Do NOT include equipment maintenance fees here. These costs should be detailed in the “operating expenses” category.

“Contractual Services” – Include any service contracts, such as financial consultants, technology services, and other business services. Include any subcontracts to project partners, payments to private attorneys or others who provide legal services to eligible clients. (In the case of a legal services collaboration, the Narrative should include a summary description of the scope of work and the overall collaboration.)

Applicants with proposed subcontracts should pay special attention to the State of New York Contract for Grants §III.B. If awarded, all subcontracts in excess of \$100,000 must include the provisions required by NYS State of New York Contract for Grants §IV.B.(4) and be submitted to IOLA for review and approval prior to execution and a final executed copy of the subcontract must be filed with IOLA.

If the application is approved, subcontractors will be required to submit a Vendor Responsibility Questionnaire and proof of Worker's Compensation and Disability Insurance coverage to IOLA before a contract can be submitted for execution

“Travel” – Any request for out-of-state travel should be supported with a detailed justification. For example, indicate the conference names, number of staff people, and locations (if available) of any out-of-state conferences.

“Operating Expenses” – Indicate here the general operating expenses to be supported by an IOLA grant, reasonably broken down into sub-categories (e.g., that may mirror your internal budgeting). IOLA Funds may be applied towards administrative expenses, which may be allocated according to government-approved indirect cost rates (ICR). Where an applicant does not have a government-approved ICR, a 10% *de minimis* ICR rate is allowable. Indirect Cost Rates (ICR) should be categorized as Operating Expenses. If awarded, updated proof of government-approved ICR may be requested by the IOLA periodically throughout the grant term.

3) 5-Year Grant Breakdown

Fill out the “5-Year Grant Breakdown” template with proposed grant funds per year. The total funds requested should match the total amount requested for the **5-year** contract term. The 5-Year Grant Breakdown must be uploaded as a PDF. The Excel workbook template provided is for drafting purposes only.

Applicants are encouraged to consider that the IOLA Fund intends to disburse funds according to the schedule on page 3, with the total grant amount awarded intended to include **built-in** increases per year. For those awarded, IOLA will encourage budgeting with increased annual spending over the five fiscal years.

Please make note of any anticipated program changes, capital projects, and/or planned salary increases that affect proposed spending across the 5-year contract term.

WORK PLAN INSTRUCTIONS

Work Plan Properties

In the “Project Summary” field, enter a one sentence summary of the services you intend to offer, with reference to any region, special population or legal subject area according to the samples below (e.g. “Michigan Volunteer Legal Services: Expanding Access to Pro Bono Assistance”).

- *Grantee will provide civil legal services to low income residents of ABC Region.*
- *Grantee will provide pro bono civil legal services to low income people in ABC Region.*
- *Grantee will provide immigration legal services to detained and non-detained immigrants in ABC Region.*
- *Grantee will provide civil legal services to low income disabled children with respect to special education and SSI disability matters in ABC Region.*
- *Grantee will provide training and supervision of pro bono attorneys who provide legal assistance to non-profit organizations that serve low-income people in ABC Region.*
- *Grantee will develop and maintain technologies that provide training and legal information for unrepresented low-income individuals, pro bono attorneys and nonprofit legal services organizations.*

Work Plan Detail: General Instructions

The Work Plan Detail, accessed by clicking the “More Detail” tab on the “Objectives >>Tasks >>Performance Measures” chart, refers to the “Objectives”, “Tasks”, and “Performance Measures” in SFS. Applicants should:

- (a) edit only those Performance Measures that apply to their organizations (described below). If the applicant does not provide the defined service, leave the integer “0”;
- (b) enter an appropriate numeric goal in the “Performance Measure Integer” field;

Applicants should propose goals for the entire **5-year contract term**.

Applicants should set goals only for those services that they anticipate providing; applicants may not have a goal for every objective.

Applicants should include all activities of their entire civil legal services program, not just the portion to be supported by IOLA funding. This is intended to be consistent with the quarterly Progress Reports and the annual Grantee Activity Reports (GAR) that IOLA Grantees are required to submit.

Applicants should assume the total proposed budget that they requested is available and awarded. If the final award differs from the funds requested, a grantee should expect to modify its Work Plan.

Appropriate goals will vary based on the provider’s resources and the client needs in the community. In determining appropriate service goals, applicants should consider the services provided in prior years together with how their organizational resources and the legal needs in their communities may have changed. Proposed contract goals must also be entered into the Summary of Contract Goals attachment.

Work Plan Detail: Description of Objectives

Below are descriptions of the kinds of services that should be included in your goals, intended to be consistent with the quarterly Progress Reports and the annual Grantee Activity Reports:

Individual Case Services

- Include “cases”¹ closed
- Include people benefitted (note: each case benefits at least 1 person)

Pro Bono Services

- Total number of volunteers anticipated to participate in the program.
- Include attorneys, law students and other volunteers.
- Include volunteers who provide “case” services and any other services (e.g., community legal education, pro se assistance, as well as in-house services such as intake, answering phones, clerical support, accounting).

Community Legal Education

- Include people benefitted from the dissemination of legal information to individuals via attendance at outreach, group, or training presentations
- Include people who received legal education via interactive online presentations (Zoom, Facebook live, etc.)
- Exclude direct legal assistance (i.e., case services) and non-legal services (e.g., medical or shelter services)

Pro Se Assistance

- Include self-represented people who received assistance at workshops or clinics, wherever located (community meetings, provider sponsored clinics, court help centers), including online forums.
- Include self-represented people who received printed pro se forms
- Include all forms that self-represented people completed using LawHelp Interactive, A2J or other publicly accessed, web-based document assembly tools you offer
- Include self-represented people at all stages (pre-litigation and court cases)
- Exclude “case” services

Group Services

- Include the number of non-profit corporations or other groups that will benefit from your services (both open and closed cases)
- Exclude the number of individuals who may benefit from these services
- Exclude impact and class action lawsuits

¹ IOLA defines a “case” as the provision of civil legal assistance by an attorney, paralegal or other person under the supervision of an attorney (including pro bono attorneys and volunteers) to an individual with a legal problem. Where the same client receives legal services in separate cases, each case should be counted (e.g., where a client is represented in a fair hearing and a housing dispute, two cases should be reported if both closed during the reporting period).

APPLICATION DOCUMENTS

Application documents factor into the relevant sections of the Application Evaluation (see page 21).

To attach application documents in SFS, upload the document to its respective *Event Question* field.

- DO NOT upload password protected files
- **All files must be uploaded in PDF file format**; Excel or Word document templates provided are for drafting purposes *only*. Files uploaded in formats other than PDF may not be considered with the application and may be considered incomplete.

Utilizing IOLA or NYS forms (indicated below in *italics* and “*”) or your own PDF documents, please upload the following:

Application Documents	1. <i>Summary of Contract Goals*</i>
	2. Documentation of Current Professional Liability Coverage
	3. Affirmative Action Policy
	4. Client Grievance Procedures
	5. Client Eligibility Guidelines or Case Acceptance Policies
	6. <i>Sexual Harassment Prevention Certification*</i>
	7. <i>Sample 1-Year Detail Budget*</i>
	8. <i>5-Year Grant Breakdown*</i>
	9. Organization Budget
	10. <i>Revenue Worksheets* (Revenue & Revenue Detail)</i>
	11. <i>Current Staffing*</i>
	12. Board of Directors Roster
	13. Minutes of last four Board of Directors Meetings
	14. Resumes of Principal Staff

Applicants that do not provide direct client services (e.g., those that provide support or technical assistance to the legal services delivery system) and, therefore, do not have Documents #4 and #5 should submit a statement to that effect and include any comparable policies such as membership eligibility or priority for support services, grievance or termination policies, etc.

APPLICATION DOCUMENT DESCRIPTIONS

Summary of Contract Goals. In the column for “**Actuals on Recent GAR,**” enter the final (as corrected) statistics for the **1-year** period ending March 31, 2024 that were reported on the IOLA Grantee Activity Report. If you are not a current IOLA grantee, enter “N/A.” In the column “**New Contract Goals,**” enter your goals for the 5-year contract period for FY26-30, assuming you receive your full funding request. These should match the goals that are set in the Work Plan Detail in SFS.

Documentation of Current Professional Liability Coverage. No particular format is required to establish proof of current professional liability coverage (an ACORD form IS acceptable). Ensure that the applicant's name and FEIN are identical to the name and FEIN on the proof of coverage. Do **NOT** upload your entire policy.

Sexual Harassment Prevention Certification. As of January 1, 2019, the NYS Office of the State Comptroller (OSC) requires that all applicants provide a certification affirming compliance with the Bureau of Contract's [Contract Advisory #26](#). Applications that do not contain a certification may not be considered for award. Applicants are strongly encouraged to use the OSC approved form (EO 177), although alternative certifications in compliance with the [New York State Guide to Financial Operations XI.18.I](#) will be accepted.

Revenue Worksheets. If the applicant's sole mission is the delivery of civil legal services, revenue worksheets should include the applicant's revenue for the entire organization. If the applicant has multiple missions (e.g., civil legal services plus criminal legal services or shelter services), revenue worksheet should include only those revenues for the organization's civil legal services program.

Organization Budget and Revenue Worksheets. Applicants whose sole mission is the delivery of civil legal services should report their entire organizational budget, revenue, and staffing. Applicants with multiple missions (e.g. criminal legal services or shelter services) should report only the budget, revenue, and staffing properly attributable to their civil legal services program.

Organization budgets should represent the applicant's current fiscal year. No particular budget format is required.

Sample 1-Year Detail Budget

See above "Budget Information and Instructions" section (pages 13-15) for more information about the Sample 1-Year Detail Budget. This should be submitted in PDF (.pdf) format. The Sample 1-Year Detail Budget should represent a budget for the **first** year of the contract term only (FY2026).

5-Year Grant Breakdown

See above "Budget Information and Instructions" section (page 15) for more information about the 5-Year Grant Breakdown.

ALL FILES MUST BE UPLOADED IN PDF FILE FORMAT

Award, Payment, and Reporting Processes

AWARD PROCESS

The full Board of Trustees makes grant decisions. A list of all applicants is circulated to the Trustees with Conflict of Interest Disclosure Forms, which are filed prior to the grant decision meetings. Trustees disclose affiliations with both new and returning applicants and are precluded from voting on grants involving organizations with whom they have any prior affiliation.

IOLA Staff and Board establishes the eligibility of each applicant pursuant to IOLA's statute and regulations; determines compliance with IOLA's reporting requirements; ascertains accuracy and completeness of the applicant's information; reviews budget and financial information; reviews grantee activity reports and other evaluations (if any); evaluates the application and prepares a proposal summary.

Pursuant to IOLA's statute and regulations and the State of New York Contract for Grants, the Trustees reserve the right to award an amount different from that requested by an applicant and to impose any special conditions on the award that the Trustees, in their discretion, determine will improve services or performance by the grantee over the period of the grant. The Trustees further reserve the right to award grants based on regional considerations to serve the legal needs of low-income New Yorkers.

Awards are subject to available IOLA funding, the State of New York Contract for Grants, and the IOLA Fund's appropriation under the NYS Budget.

FACTORS CONSIDERED IN AWARDING GRANTS

Recognizing that IOLA funds available for distribution may not be sufficient to make distributions to all qualified recipients, the Trustees have established the following factors to be considered in establishing funding priorities:

- A clear statement, supported by community characteristics, demographic and statistical data, of the problems to be addressed by the proposed services.
- If there are two or more qualified recipients in a geographical area, the Trustees will consider the merits of the applications and the impact of the distribution to the qualified recipients will have on ensuring the delivery of stable, economical and high quality civil legal services to that area.
- Evidence of substantial sources of income for the program in addition to the funds requested.
- Expansion and improvement of existing qualified recipients, except in instances of unique and difficult to serve areas and groups.
- Development and strengthening of pro bono programs that generate substantial voluntary legal services to the poor.
- Evidence of high professional standards, efficient and quality legal services.
- Evidence of client participation in program planning, priority setting & operation.
- Cooperative proposals from multiple qualified recipients in a given area.
- Client and community support for the program.
- In the case of support and training programs, approval from the majority of providers to be served
- In the case of programs seeking to serve communities underserved by existing qualified legal services, the demonstrated need for additional services.
- Evidence of cooperative efforts currently in place to ensure the increased usefulness of grant funds and to avoid duplication of services.
- Evidence of methods to ensure quality control of services, including appropriate systems for client intake, case assignment, case management and supervision, training of staff and volunteers and technical support.
- Evidence of a governing board that will undertake priority setting, ensure program accountability and assume leadership in the development of program resources and funding.

APPLICATION EVALUATION

Applications will be evaluated as indicated below:

Program Evaluation	75 pts
Community Need (10 pts)	
Organizational Strength (25 pts)	
Program Description (40 pts)	
Financial Evaluation	20 pts
Financial Strength (10 pts)	
Program Budgeting (10 pts)	
Existing grantee in good standing	<u>5 pts</u>
Total Available	100 pts

Existing grantees in good standing and meeting all IOLA requirements will be awarded up to 5 bonus points such that the highest possible total score is 100 points. Applications scoring **under 75** points will not be considered for funding.

Applications with scores of 75 points and above are eligible for, but not guaranteed, funding.

DEBRIEFING OPPORTUNITY

A debriefing is available to any unsuccessful applicant, which should be requested in writing to IOLAGrants@iola.org within 15 calendar days of the public announcement of the grant awards on the IOLA Fund website. A debriefing will be scheduled within 10 calendar days of IOLA's receipt of the written request or as soon thereafter as may be practicable under the circumstances. Any bid protest should be submitted to the Office of the State Comptroller pursuant to 2 NYCRR Part 24.1.

REPORTING OBLIGATIONS & PAYMENT SCHEDULE

IOLA grantees will be required to submit quarterly Progress Reports, quarterly reimbursement vouchers, annual Grantee Activity Reports ("GAR"), and other reports or information as required by IOLA. Applicants should review these forms, available on IOLA's website, <http://www.iola.org/grantees>, and consider the data that IOLA grantees must report on while setting their performance measures (aka, goals) when working on the Work Plan section of the application in SFS.

Payments will be made quarterly, approximately 30 days after the close of the quarter, after receipt and approval of Progress Reports and Reimbursement Vouchers by IOLA (with supporting expense documentation, if requested), with final payment made 30 days after receipt and approval of the final GAR. Awards are subject to available IOLA funding, the State of New York Contract for Grants, and the IOLA Fund's appropriation under the NYS Budget.

Quarterly and annual reporting, as well as the submission of supporting expense documentation (as requested), may become subject to the Office of the State Comptroller or SFS procedures.

Other New York State Contract Requirements

Vendors with New York State must be registered and in compliance with the following systems.

TO APPLY

New York Statewide Financial System Registration

Applicants must be registered with the New York Statewide Financial System (SFS) and provide their Identification Number at the time of contracting. Proper role access will be required to enter and submit an application. To register and to find additional information:

http://www.osc.state.ny.us/vendor_management/index.htm

SFS Prequalification

Prequalification is a required condition to apply for a grant. Additional information, including online tutorials, can be found on the Grants Management website (<https://grantsmanagement.ny.gov/get-prequalified>). Specific questions about the prequalification process can be directed to IOLA staff (IOLAGrants@iola.org) or the SFS Helpdesk at Helpdesk@sfs.ny.gov or 855-233-8363.

As this is the first IOLA grant cycle to utilize Grants Management functionality in SFS, we strongly urge grantees to become familiar with the system. Please visit the [Vendor SFS Transition Page](#) to access training videos, PowerPoint Presentations, and other system instructions.

IF AWARDED

5-Year Detailed Budget

If awarded, IOLA grantees will be required to develop and submit a detailed, line-item budget for the entire 5-year contract term. IOLA will provide further instructions and work with awardees to develop detailed, line-item budget after award. All detailed budgets are subject to approval.

NYS Attorney General's Charities Bureau Registration

IOLA grantees must be registered with the Attorney General's Office as a charitable organization, and the registration must be up to date at the time of contracting. To determine the status of your Charities Bureau registration and to find additional information: http://www.charitiesnys.com/charities_new.jsp. IOLA grantees are **required** to keep their registration up to date at all times throughout the term of the contract. Failure to keep "current" with the Charities Bureau may result in withheld payment, rescission, or termination of the contract.

NYS Comptroller's Vendor Responsibility Questionnaire

New York State Finance Law requires that state agencies award contracts to responsible vendors, including not-for-profit corporations, which is determined based on information provided by the vendor through the NYS VendRep System. All Vendor Responsibility Questionnaires must be dated within six months of the contract execution date and the determination that an applicant is a responsible vendor is a condition to final execution of a grant contract with IOLA. To enroll or to update an existing Questionnaire in the VendRep System: <http://www.osc.state.ny.us/vendrep/index.htm>
IOLA grantees are **required** to re-certify the Vendor Responsibility Questionnaire at least every six months and upon IOLA request throughout the term of the contract.

Insurance Documentation

In connection with contract execution, IOLA grantees will be required to submit proof of current insurance coverage for the following (ACORD forms are not acceptable):

- Workers' Compensation (Form C 105.2), and
- Disability (Form DB 120.1)

IOLA may request proof of current insurance coverage for Workers' Compensation and Disability and Paid Family Leave benefits throughout the term of the contract.