

LEGAL SERVICES CORPORATION

Board of Directors Meeting

April 14 – 16, 2013

Location:

**Legal Services Corporation
3333 K Street, N.W.
F. William McCalpin Conference Center – 3rd. Floor
Washington DC 20007**



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I. Schedule

**LEGAL SERVICES CORPORATION BOARD OF DIRECTORS
MEETING SCHEDULE
APRIL 14-16, 2013**

**Meeting Location:
Legal Services Corporation McCalpin Conference Center
3333 K Street, NW Washington, DC
Tel (202) 295-1500**

SUNDAY, APRIL 14, 2013

Start	End	Meeting/Event	Location
2:30pm	4:30pm	Operations and Regulations Committee	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW
4:45pm	5:45pm	Governance and Performance Review Committee	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW

**LEGAL SERVICES CORPORATION BOARD OF DIRECTORS
MEETING SCHEDULE
APRIL 14-16, 2013**

**Meeting Location:
Legal Services Corporation McCalpin Conference Center
3333 K Street, NW Washington, DC
Tel (202) 295-1500**

MONDAY, APRIL 15, 2013

Start	End	Meeting/Event	Location
9:00am	10:00am	Institutional Advancement Committee	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW
10:15am	11:30am	Promotion and Provision Committee Panel Presentation Using assessments of legal needs of the low income population to set priorities for the work of legal services programs	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW
11:30am	12:30pm	Presentation by LSC-Funded District of Columbia Program Neighborhood Legal Services Program	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW
2:00pm	3:15pm	Audit Committee	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW
3:15pm	4:30pm	Finance Committee	Legal Services Corporation Erlenborn Conference Room 4 th Floor 3333 K Street, NW

**LEGAL SERVICES CORPORATION BOARD OF DIRECTORS
MEETING SCHEDULE
APRIL 14-16, 2013**

**Meeting Location:
Legal Services Corporation McCalpin Conference Center
3333 K Street, NW Washington, DC
Tel (202) 295-1500**

TUESDAY, APRIL 16, 2013

Start	End	Meeting/Event	Location
9:00am	11:00am	OPEN Board Meeting	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW
11:15am	12:00pm	CLOSED Board Meeting	Legal Services Corporation McCalpin Conference Center 3333 K Street, NW

II. Operations & Regulations Committee

OPERATIONS & REGULATIONS COMMITTEE

April 14, 2013

Agenda

Open Session

1. Approval of agenda
2. Approval of minutes of the Committee's meeting on January 25, 2013
3. Consider and act on the proposed Request for Information regarding representation of criminal defendants in tribal courts
 - Kara Ward, Assistant General Counsel
4. Consider and act on the proposed Notice of Rulemaking Workshop regarding potential changes to the private attorney involvement rule in a manner responsive to the recommendations of the Pro Bono Task Force Report
 - Kara Ward, Assistant General Counsel
5. Consider and act on initiating rulemaking to conform Part 1626 (Restrictions on Assistance to Aliens) with existing statutory authorizations
 - Kara Ward, Assistant General Counsel
6. Public comment
7. Consider and act on other business
8. Consider and act on adjournment of meeting

**Draft Minutes of the
Operations & Regulations
Committee September 20,
2012 Open Session**

**Legal Services Corporation
Meeting of the Operations and Regulations Committee
Open Session
Thursday, September 20, 2012**

DRAFT MINUTES

Chairman Charles N.W. Keckler convened an open session telephonic meeting of the Legal Services Corporation's ("LSC") Operations and Regulations Committee ("the Committee") at 3:01 p.m. on Thursday, September 20, 2012. The meeting was held at the F. William McCalpin Conference Center, LSC Headquarters, 3333 K Street, NW, Washington D.C. 20007.

The following Committee members were present by telephone:

Charles N.W. Keckler, Chairperson
Robert J. Grey, Jr.
Harry J.F. Korrell, III
Laurie I. Mikva
John G. Levi, *ex officio*

Other Board members present:

Julie A. Reiskin
Gloria Valencia-Weber

Also attending were:

James J. Sandman	President
Richard L. Sloane	Chief of Staff and Special Assistant to the President
Rebecca Fertig	Special Assistant to the President
Kathleen McNamara	Executive Assistant to the President
Lynn Jennings	Vice President for Grants Management
Victor M. Fortuno	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Mark Freedman	Senior Assistant General Counsel, Office of Legal Affairs
Jeffrey E. Schanz	Inspector General
Laurie Tarantowicz	Assistant Inspector General and Legal Counsel, Office of the Inspector General
Matthew Glover	Associate Counsel, Office of the Inspector General
Lora Rath	Director, Office of Compliance and Enforcement
Janet LaBella	Director, Office of Program Performance
John Meyer	Director, Office of Information Management
Don Saunders	National Legal Aid and Defenders Association (NLADA)
Chuck Greenfield	National Legal Aid and Defenders Association (NLADA)

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Keckler noted the presence of a quorum and called the meeting to order.

MOTION

Mr. Grey moved to approve the agenda. Ms. Mikva seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Ms. Mikva moved to approve the minutes of the Committee's July 27, 2012 meeting. Mr. Grey seconded the motion.

VOTE

The motion passed by voice vote.

Mr. Freedman gave a briefing on the Further Notice of Proposed Rulemaking (FNPR) on termination procedures, enforcement, and suspension procedures, and he answered Committee members' questions. Chairman Keckler invited public comment on the FNPR and heard from Mr. Greenfield.

Chairman Keckler invited other public comment and received none.

In other business, Ms. Mikva noted there was an error in the July 27, 2012 Committee minutes. Mr. Freedman offered to double check the transcript. Chairman Keckler asked that a correction be made, if necessary.

MOTION

Ms. Mikva moved to adjourn the meeting. Mr. Grey seconded the motion.

VOTE

The motion passed by voice vote.

The meeting of the Committee adjourned at 3:58 p.m.

**Draft Minutes of the
Operations & Regulations
Committee January 25, 2013
Open Session Meeting**

**Legal Services Corporation
Meeting of the Operations and Regulations Committee
Open Session
Friday, January 25, 2013**

DRAFT

Chairman Charles N.W. Keckler convened an open session meeting of the Legal Services Corporation's ("LSC") Operations and Regulations Committee ("the Committee") at 5:26 p.m. on Friday, January 25, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were present:

Charles N.W. Keckler, Chairman
Robert J. Grey, Jr.
Harry J.F. Korrell, III
Laurie I. Mikva
John G. Levi, *ex officio*

Other Board members present:

Martha L. Minow
Father Pius Pietrzyk
Julie A. Reiskin
Gloria Valencia-Weber

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Lynn Jennings	Vice President for Grants Management
Victor M. Fortuno	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Mark Freedman	Senior Assistant General Counsel, Office of Legal Affairs (OLA)
Kara Ward	Assistant General Counsel, OLA (by telephone)
David Richardson	Comptroller & Treasurer
Jeffrey E. Schanz	Inspector General
Laurie Tarantowicz	Assistant Inspector General and Legal Counsel, Office of the Inspector General (OIG)
Matthew Glover	Associate Counsel, OIG
David Maddox	Assistant Inspector General for Management and Evaluation, OIG
Ronald "Dutch" Merryman	Assistant Inspector General for Audit, OIG
Carol Bergman	Director, Office of Government Relations and Public Affairs (GRPA)

Carl Rauscher	Director of Media Relations, GRPA
Glenn Rawdon	Program Counsel, Office of Program Performance
Janet LaBella	Director, Office of Program Performance
Bernie Brady	LSC Travel Coordinator
Herbert Garten	Non-director member, LSC Institutional Advancement Committee
Frank Strickland	Non-director member, LSC Institutional Advancement Committee
John Asher	Executive Director, Colorado Legal Services
David Pantos	Executive Director, Legal Aid of Nebraska
Rhodia Thomas	Executive Director, MidPenn Legal Services
Patricia Pap	Executive Director, Management Information Exchange
Allan Tanenbaum	Non-Director member, LSC Finance Committee
Chuck Greenfield	National Legal Aid and Defenders Association (NLADA)
Don Saunders	NLADA
Terry Brooks	American Bar Association

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Keckler noted the presence of a quorum and called the meeting to order.

MOTION

Mr. Grey moved to approve the agenda. Mr. Korrell seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Mr. Grey moved to approve the minutes of the Committee's meeting of September 30, 2012. Mr. Korrell seconded the motion.

VOTE

The motion passed by voice vote.

Chairman Keckler invited Mr. Freedman to present the proposed final rule on enforcement mechanisms. Mr. Glover provided comments on behalf of the Office of Inspector General. Mr. Freedman answered Board members' questions. Chairman Keckler invited public comment on the rulemaking and heard from Mr. Brooks, Mr. Greenfield, Mr. Pantos, and Mr. Asher.

MOTION

Mr. Korrell moved to recommend to the Board adoption of the final rule on enforcement mechanisms and authorization to publish it in the Federal Register. Mr. Grey seconded the motion.

The Committee members discussed comments on the final rule on enforcement mechanisms.

VOTE

The motion passed by a majority voice vote. Ms. Mikva voted against the motion.

Next, the Committee considered Mr. Freedman's presentation and recommendation on initiating rulemaking on representation of criminal defendants in tribal courts.

MOTION

Mr. Korrell moved to recommend that the Board authorize the Committee to consider rulemaking options on the use of LSC funds for representation of criminal defendants in tribal courts. Mr. Grey seconded the motion.

VOTE

The motion passed by voice vote.

The Committee then considered Mr. Freedman's presentation and recommendation on initiating rulemaking on the LSC Pro Bono Task Force's findings and recommendations with respect to the private attorney involvement requirement.

MOTION

Mr. Levi moved to recommend that the Board authorize the Committee to consider rulemaking options regarding private attorney involvement in a manner responsive to the recommendations of the Pro Bono Task Force report. Mr. Korrell seconded the motion.

VOTE

The motion passed by voice vote.

Chairman Keckler briefly mentioned Committee members' evaluations of the Committee for 2012 and goals for 2013.

Chairman Keckler invited public comment and heard from Mr. Brooks.

In other business, Mr. Mikva asked about the process for reviewing the rule on grantee board composition.

MOTION

Mr. Levi moved to adjourn the meeting. Mr. Korrell seconded the motion.

VOTE

The motion passed by voice vote.

The meeting of the Committee adjourned at 7:15 p.m.

Rulemaking Overview Memorandum

TO: Operations and Regulations Committee
FROM: Kara Ward, Assistant General Counsel
THROUGH: Victor M. Fortuno, General Counsel
SUBJECT: Rulemaking Overview for the April 2013 Meeting
DATE: March 25, 2013

LSC Management (Management) is seeking input from the Operations and Regulations Committee (Committee) and the Board of Directors (Board) on three separate rulemaking activities during the April 2013 meeting.

The first rulemaking topic is a request for the Committee to consider and act on a proposed notice in the *Federal Register* that would allow LSC to gather information relating to rulemaking on grantee representation of criminal defendants in tribal courts.

The second rulemaking topic is a request for the Committee to consider and act on a recommendation to the Board for LSC to undertake rulemaking workshops in furtherance of potential revisions to the private attorney involvement rule in a manner responsive to the recommendations of the Pro Bono Task Force Report.

The third rulemaking topic is a request for the Committee to consider and act on a recommendation to the Board to initiate a rulemaking that would conform the regulations that govern eligibility based on alienage status with existing statutory authority.

1. Proposed Request for Information (RFI) regarding representation of criminal defendants in tribal courts

In order to better understand the impact of recent legislative developments on grantees that are active in tribal courts, LSC requests Committee approval for targeted fact-finding. With the assistance of Prof. Valencia-Weber, Management has developed a draft RFI for publication in the *Federal Register* that is designed to obtain additional information about grantees active in tribal courts to inform LSC's rulemaking.

2. Proposed Notice of Rulemaking Workshops for rulemaking regarding the private attorney involvement rule.

Management proposes that LSC conduct two Rulemaking Workshops to obtain input on potential revisions to the private attorney involvement rule. The Rulemaking Workshops will be live and permit participation by webinar and teleconference. They will be structured as a moderated discussion among panelists who represent a variety of viewpoints on the issue with active public participation by in-person attendees as well as webinar and teleconference participants. The conversation will be organized around the three rulemaking recommendations of the Pro Bono Task Force, while also taking into account any additional topics within the scope of the rulemaking.

3. Request to Initiate Rulemaking to conform Part 1626 (Restrictions on Assistance to Aliens) with existing statutory authorizations.

LSC's regulation published at 45 C.F.R. Part 1626 (Restrictions on Assistance to Aliens) has not been updated since 1998. Its accompanying Appendix, which provides guidance to grantees on documents that can be used to support eligibility based on alienage status, has not been updated since 2003. Both have become outdated and do not include all of the existing statutory authorities for eligibility, including the Victims of Trafficking and Violence Protection Act of 2000, the Violence Against Women and Department of Justice Reauthorization Act of 2005, and the current Appropriations legislation.

This request to commence the rulemaking process is made to consider how to align the regulation with existing authority under the law and to explore the most effective way to provide guidance to grantees.

Tribal Court Rulemaking

TO: Operations and Regulations Committee
FROM: Kara Ward, Assistant General Counsel
THROUGH: Victor M. Fortuno, General Counsel
SUBJECT: Proposed Request For Information Regarding Representation of Criminal Defendants in Tribal Courts
DATE: March 25, 2013

On behalf of Management, the Office of Legal Affairs (OLA) requests that the Operations and Regulations Committee (Committee) consider and act on the proposed Request for Information (RFI) regarding representation of criminal defendants in tribal courts.

I) Background Information.

Congress amended section 1007(b)(2) of the LSC Act in 2010 to permit LSC grantees to use LSC funds to represent eligible persons in all criminal proceedings in tribal courts. 42 U.S.C. § 2996f(b)(2) (the LSC Act). Previously, the LSC Act permitted such representation only for misdemeanors or lesser offenses.

On January 26, 2013, the LSC Board authorized rulemaking to amend Part 1613. A rulemaking options paper is under development.

II) Request for Information.

In order to better understand the impact of the legislation on grantees that are active in tribal courts and to develop a well-informed Rulemaking Options Paper, LSC requests Committee approval for compilation of further information through targeted fact-finding. Specifically, LSC requests Committee approval to publish a RFI in the *Federal Register*.

Information about LSC grantee activity in tribal courts is in short supply and unavailable from other sources. We believe that LSC should have a thorough

understanding of the impact of a rule change on grantees before proposing a specific change.

III) Discussion of the Rulemaking Protocol.

The LSC Rulemaking Protocol, 67 Fed. Reg. 69763 (Nov. 19, 2002), neither prohibits nor explicitly authorizes LSC to publish a RFI.

Prior precedent supports LSC's requesting information from the public through publication in the *Federal Register*. Recent examples include the request for comments on LSC's Proposed 2014 Budget Request, 77 Fed. Reg. 27801 (May 11, 2012), a request for comments concerning the development of LSC Strategic Directions, 77 Fed. Reg. 35718 (June 14, 2012), and similar actions in 2005 seeking comments on the development of a regulatory agenda and the 2006- 2010 LSC Strategic Directions, 67 Fed. Reg. 29368 (May 20, 2005).

This RFI is distinguishable from the previously referenced documents that were the subject of the "Request for Comments" because it does not involve a document that reflects LSC internal practice or procedures. Instead, this RFI is modeled after federal practice governed by the Administrative Procedures Act, 5 § U.S.C. 551 *et. seq.* A succinct definition of RFI is offered by the Department of Labor:

An RFI is one among many possible tools used by an agency to help it develop a proposed rule. Use of an RFI is entirely optional. Agencies generally use RFIs when they want public input on whether a new rule or changes to an existing rule are needed, and comments on what course the agency should take should it decide to move forward.

"Glossary of Rulemaking Terms." Department of Labor Regulations. Available at <http://www.dol.gov/regulations/participate.htm>.

IV) Next Steps.

If the Committee authorizes our doing so, we will publish the RFI, collect responses and report back to the Committee on the information received. An extended public comment period is also planned to discuss the tribal court

rulemaking which will allow interested persons to offer comments in person at the July Committee meeting, or submit additional written comments. A draft of the RFI is attached.

For additional background, the following documents are also attached: (a) an analysis of the changes to the LSC Act accomplished by the Indian Arts and Crafts Amendment Act of 2010; (b) an excerpt of the relevant LSC regulations; (c) a copy of Program Letter 12-3 which authorized grantees to use LSC funds to represent any eligible criminal defendants in tribal courts until such time rulemaking is completed.

Attachments

Attachment:

a. LSC Act

As a result of The Indian Arts and Crafts Amendment Act of 2010, Section 10007(b)(2) of the LSC Act now states:

(b) No funds made available by the Corporation under this title, either by grant or contract, may be used... (2) to provide legal assistance with respect to any criminal proceeding, except to provide assistance to a person charged with *an offense* in an Indian tribal court." [emphasis added].

Prior to the enactment of The Indian Arts and Crafts Amendment Act, the same section of the LSC ACT read:

(b) No funds made available by the Corporation under this title, either by grant or contract, may be used... (2) to provide legal assistance with respect to any criminal proceeding, except to provide assistance to a person charged with *a misdemeanor or lesser offense or its equivalent in an Indian tribal court*" [emphasis added].

The LSC Act provides explicit authority for the Corporation to protect staff attorneys from unreasonable court appointments, Section 1006(d)(6) and 1006(b)(3) of the LSC Act are read in coordination:

Attorneys employed by a recipient shall be appointed to provide legal assistance without reasonable compensation only when such appointment is made pursuant to a statute, rule, or practice applied generally to attorneys practicing in the court where the appointment is made.

The Corporation shall not, under any provision of this title, interfere with any attorney in carrying out his professional responsibilities to his client as established in the Canons of Ethics and the Code of Professional Responsibility of the American Bar Association (referred to collectively in this title as `professional responsibilities') or abrogate as to attorneys in programs assisted under this title the authority of a State or other jurisdiction to enforce the standards of

professional responsibility generally applicable to attorneys in such jurisdiction. The Corporation shall ensure that activities under this title are carried out in a manner consistent with attorneys' professional responsibilities.

b. Regulations

45 CFR 1613 - RESTRICTIONS ON LEGAL ASSISTANCE WITH RESPECT TO CRIMINAL PROCEEDINGS (as of January 9, 2012)

§ 1613.1 Purpose.

This part is designed to insure that Corporation funds will not be used to provide legal assistance with respect to criminal proceedings unless such assistance is required as part of an attorney's responsibilities as a member of the bar.

§ 1613.2 Definition.

Criminal proceeding means the adversary judicial process prosecuted by a public officer and initiated by a formal complaint, information, or indictment charging a person with an offense denominated "criminal" by applicable law and punishable by death, imprisonment, or a jail sentence. A misdemeanor or lesser offense tried in an Indian tribal court is not a "criminal proceeding".

§ 1613.3 Prohibition.

Corporation funds shall not be used to provide legal assistance with respect to a criminal proceeding, unless authorized by this part.

§ 1613.4 Authorized representation.

Legal assistance may be provided with respect to a criminal proceeding.

(a) Pursuant to a court appointment made under a statute or a court rule or practice of equal applicability to all attorneys in the jurisdiction, if authorized by the recipient after a determination that it is consistent with the recipient's primary responsibility to provide legal assistance to eligible clients in civil matters; or

(b) When professional responsibility requires representation in a criminal proceeding arising out of a transaction with respect to which the client is being, or has been, represented by a recipient.

c. **Program Letter 12-3**
(please see following page)



Legal Services Corporation
America's Partner For Equal Justice

Program Letter 12-3

TO: All Executive Directors
FROM: James J. Sandman, President 
DATE: November 8, 2012
SUBJECT: Criminal Proceedings in Tribal Courts

Congress has amended section 1007(b)(2) of the LSC Act to permit LSC recipients to use LSC funds to represent persons in all criminal proceedings in tribal courts. 42 U.S.C. § 2996f(b)(2). Previously, the LSC Act permitted such representation only for misdemeanors or lesser offenses. The LSC Act was amended as follows:

[LSC funds may not be used] to provide legal assistance with respect to any criminal proceeding, except to provide assistance to a person charged with a ~~misdemeanor or lesser~~ an offense ~~or its equivalent~~ in an Indian tribal court;

Indian Arts and Crafts Amendments Act, Pub. L. 111-211, 124 Stat. 2258, 2282 (July 29, 2010). Section 1010 of the LSC Act and Part 1610 of the LSC regulations apply this prohibition to the use of certain other funds by LSC recipients, including all private funds and any other funds that were not provided for this type of purpose. 42 U.S.C. § 2996i and 45 C.F.R. Part 1610. The amendment applies equally to the use of those other funds.

Part 1613 of the LSC regulations currently uses the original language that “[a] misdemeanor or lesser offense tried in an Indian tribal court is not a ‘criminal proceeding.’” 45 C.F.R. § 1613.2. LSC is commencing a process for the LSC Board to amend Part 1613 to conform to the new statutory language.

Pending board action, LSC Management will apply section 1007(b)(2) of the LSC Act and Part 1613 of LSC’s regulations based on the amended statutory language allowing assistance to persons charged with any offense in a criminal proceeding in a tribal court. LSC grant recipients may include all such cases in their CSR reports.

Tribal Courts Notice of Proposed Rulemaking

LEGAL SERVICES CORPORATION

45 CFR Part 1614

Restrictions on legal assistance with respect to criminal proceedings in tribal courts.

AGENCY: Legal Services Corporation

ACTION: Request for Information.

SUMMARY: The Legal Services Corporation (LSC) is requesting public comments on issues associated with amending 45 C.F.R. part 1613 to align with the statutory authority granted to LSC under the Indian Arts and Crafts Amendment Act of 2010, Pub. L. 111-211, 124 Stat. 2258, 2282 (the IACAA). The IACAA amended the LSC Act, 42 U.S.C. 2996f(b) (the LSC Act), to provide authority for LSC funds to be used by grantees to represent eligible persons in any and all criminal proceedings in tribal courts. Previously, the LSC Act and related regulations in 45 CFR part 1613 permitted representation only in criminal matters involving misdemeanors or lesser offenses in tribal courts. The information received as a result of this request will be considered in rulemaking undertaken by LSC.

DATES: Written comments must be received by [INSERT PUBLICATION DATE + 45 days].

ADDRESS: Written comments must be submitted by mail, fax, or e-mail to Kara Ward at the addresses listed below.

FOR FURTHER INFORMATION CONTACT: Kara Ward, Assistant General Counsel, Legal Services Corporation, 3333 K St., NW., Washington, DC 20007; (202)

295-1500 (phone); 202-337-6831 (fax) or [INSERT RULEMAKING ADDRESS]@lsc.gov.

SUPPLEMENTARY INFORMATION:

I) Background Information.

A. New Statutory Authorities.

The IACAA amended the LSC Act to provide authority for LSC funds to be used by grantees to represent eligible persons in any and all criminal proceedings in tribal courts. Previously, the LSC Act and related regulations in 45 C.F.R. Part 1613 permitted representation only in criminal matters involving misdemeanors or lesser offenses in tribal courts.

A subsection of the IACAA, the legislation that authorized LSC funds to be used for representation of any eligible criminal defendant in tribal courts, also included tribal criminal code reform in a subsection that is known as the Tribal Law and Order Act of 2010, Pub. L. 111–211, tit. II, 124 Stat. 2282 (the TLOA), which allows the tribal courts to adjudicate more serious crimes, particularly those associated with domestic violence and sexual assault by increasing the maximum jail sentence that any tribal court may impose from one to three years for any single offense.

In order to use this new sentencing authority, tribes must “opt-in” and implement take affirmative measures detailed in the TLOA. These detailed preconditions include, but are not limited to, the following: ensuring that judges and prosecutors in tribal courts have sufficient legal training to preside over criminal proceedings; affording the

defendant the right to effective assistance of counsel and if a defendant is indigent, provide the defendant with a licensed defense attorney at the tribe's expense; publishing the tribal government's criminal laws and rules of evidence and criminal procedure; and creating a system that maintains records of criminal proceedings. Pub. L. No. 111-211, tit. II, 124 Stat. at 2282.

In addition to the IACAA and TLOA, the recent Violence Against Women Reauthorization Act of 2013, Pub. L. 113-4, 127 Stat 54 (the 2013 VAWA), has potential impacts on tribal court matters. The 2013 VAWA contains provisions that expand tribal courts' jurisdiction to include special domestic violence criminal jurisdiction over crimes of domestic violence and dating violence committed by non-Indians within a tribal court's jurisdiction.

B. Current LSC Requirements.

LSC regulations currently reference the original language of the LSC Act, which explicitly carved out an exception to the criminal proceedings prohibition on the use of LSC funds for misdemeanors and lesser offenses in tribal courts: “[a] misdemeanor or lesser offense tried in an Indian tribal court is not a ‘criminal proceeding.’” 45 C.F.R. part 1613.2.

On November 12, 2012, LSC Management informed grantees via Program Letter 12-3 that all grantees may use LSC funds to assist any eligible person charged with any offense in a criminal proceeding in a tribal court until such time the LSC Board of Directors (LSC Board) made an affirmative decision on the issue.

On January 26, 2013, the LSC Board authorized rulemaking to amend Part 1613 in order to consider aligning the LSC regulations and the LSC Act. Pursuant to LSC's Rulemaking Protocol, 67 Fed. Reg. 69763 (Nov. 19, 2002), a Rulemaking Options Paper (ROP) is under development. This Request for Information (RFI) is issued to better understand the impact of the IACAA, TLOA, and the 2013 VAWA on grantees that are active in tribal courts.

II) Request for Information.

Commenters are asked to respond to these general topics of discussion:

1. **THRESHOLD:** Does your organization undertake representations of criminal defendants in tribal courts?
 - a. If yes, please identify which tribal courts.
 - b. If no, is there is a formal, or informal policy in your organization to provide or decline such representations?
 - c. Is your organization aware of any changes in the criminal laws of the tribal government and/or sentencing authority of the tribal courts implemented in accordance with TLOA or the 2013 VAWA?
2. **REQUESTS FOR REPRESENTATION:** As a result of the IACAA, TLOA, and the 2013 VAWA, has your organization seen an increase in the number of requests for assistance in criminal matters before tribal courts by eligible clients?

a. If yes, please estimate the number of cases and approximate percentage these cases represent as a proportion of all requests. Please distinguish, if possible, between requests for representation in misdemeanor cases from those for more serious crimes.

b. Please also indicate (by percentage estimation, if necessary) what the increase is over years prior to 2010, if any.

3. ACCEPTED REPRESENTATIONS: As a result of the IACAA, TLOA, and the 2013 VAWA, has your organization increased the number of representations in criminal cases in tribal courts?

a. If yes, please estimate the increase, if any, in the number of representations your organization has undertaken in criminal cases in tribal courts since 2010. Please distinguish, if possible, between representations in misdemeanor cases from those for more serious crimes. How does the number of matters in criminal cases in tribal courts compare to the overall number of matters your organization has accepted since 2010?

b. If no, please indicate if the number of matters your organization has undertaken in criminal cases in tribal courts since 2010.

4. COURT APPOINTMENTS: As a result of the result of the IACAA, TLOA, and the 2013 VAWA has any staff attorney at your organization been appointed to represent a criminal defendant in tribal court proceedings?

a. If yes, please explain the court appointment scheme in the tribal court in which the court appointment took place.

b. Is your organization concerned about future court appointments in tribal courts? If yes, please indicate why.

5. CONCERNS: Is there any additional information you would like to provide to LSC at this time about changes in tribal courts as a result of the Tribal Law and Order Act of 2010 that may have an impact upon your organization and its use of LSC funds?

III) Important Notes

Information received in response to this RFI may be published or summarized by LSC without acknowledgement of or permission by your organization. Furthermore, your responses may be releasable to the public under the LSC's adoption of the Freedom of Information Act, 42 U.S.C. § 2996d, and the LSC regulation, 45 CFR part 1619.

LSC, at its discretion, may request individual commenters to meet with LSC to elaborate on information in their written comments.

Comments sent by any method other than email to [INSERT RULEMAKING ADDRESS] @lsc.gov, or hard copy to Kara Ward, Assistant General Counsel, Legal Services Corporation, 3333 K St., NW., Washington, DC 20007; to any other address or individual, or received after the end of the comment period, may not be considered by LSC.

Victor M. Fortuno,
Vice President & General Counsel.

Dated: [Insert Signature Date].

Victor M. Fortuno
General Counsel & Vice President

BILLING CODE 7050-01-P

DRAFT

Private Attorney Involvement Memorandum



TO: Operations and Regulations Committee

FROM: Kara Ward, Assistant General Counsel

THROUGH: Victor M. Fortuno, General Counsel

SUBJECT: Proposed Notice of Rulemaking Workshops Regarding the PAI Rule.

DATE: March 25, 2013

On behalf of Management, the Office of Legal Affairs (OLA) requests that the Operations and Regulations Committee (Committee) recommend that the Board of Directors (the LSC Board) authorize publication of a proposed Notice of Rulemaking Workshops to explore rulemaking options for revising LSC's Private Attorney Involvement (PAI) Regulation in a manner responsive to the recommendations of the Pro Bono Task Force Report (the Task Force).

I) Background.

In October 2012, the Task Force released its findings and recommendations. One of the Task Force's recommendations addresses LSC's PAI regulation, which requires grantees to expend an amount equivalent to 12.5 percent of their basic field grants to encourage the involvement of private attorneys in the delivery of legal assistance to eligible clients. The regulation prescribes certain activities that can be counted as meeting its PAI requirement. The Task Force found that the PAI regulation poses a number of challenges to grantees as they seek to expand their pro bono resources and assistance.

On January 26, 2013, the LSC Board authorized initiation of rulemaking to explore rulemaking options regarding the PAI requirement in light of the findings and recommendations of the Task Force

II) Rulemaking Workshops.

The proposed Rulemaking Workshops (Workshops) will be two to three hour moderated discussions involving the LSC Board, Management, invited panelists, and members of the public. LSC will select panelists based on written requests to participate with the goal of obtaining a diversity of opinions. The Workshops will be held at LSC's headquarters in Washington with participation possible by webinar and teleconference.

The proposed Notice of Rulemaking Workshops includes several Topics of Discussion that lay out the general scope of the moderated panel discussion. The Topics of Discussion track the three recommendations of the Task Force. Public commenters are invited to make recommendations for additions, deletions, or modifications of the general Topics for Discussion prior to the Workshops and during a discussion at the first Workshop.

III) Discussion of the Rulemaking Protocol.

LSC's Rulemaking Protocol, 67 Fed. Reg. 69762 (November 18, 2002), provides that

As an adjunct to the Notice and Comment Process, LSC will, when appropriate, conduct Rulemaking Workshops. Rulemaking Workshops will enable LSC Board members and staff to meet with stakeholders prior to the development of a draft NPRM to discuss, but not negotiate, LSC rules and regulations. LSC believes the Notice and Comment process, including Rulemaking Workshops, will allow for an effective dialog between LSC and its recipients and other interested parties, in those instances in which Negotiated Rulemaking is not used.

With respect to procedure, the Rulemaking Protocol requires that the decision to undertake a Rulemaking Workshop be made by the Board:

When the Board has decided to initiate a rulemaking and to conduct a Rulemaking Workshop, OLA will work with the Board and staff to select a date for the Rulemaking Workshop and will invite participants from the interested stakeholder community.

Id.

The Rulemaking Protocol envisions that LSC Board members will be participate in or be live observers of the Rulemaking Workshop. The LSC Board is also responsible for providing LSC staff with policy direction for any proposed regulatory change.

Upon the conclusion of the Workshop, the Board shall provide LSC staff with policy guidance on the issues discussed to aid staff in the development of the Draft Notice of Proposed Rulemaking ("NPRM").

]

IV) Next Steps.

Management requests that the Committee recommend to the Board that LSC staff and the LSC Board conduct Rulemaking Workshops regarding changes to the PAI regulation.

**Private Attorney Involvement
Notice of Proposed
Rulemaking Workshop**

LEGAL SERVICES CORPORATION

45 CFR Part 1614

Private Attorney Involvement

AGENCY: Legal Services Corporation

ACTION: Notice of Rulemaking Workshops and Request for Expressions of Interest in Participation in the Rulemaking Workshops.

SUMMARY: The Legal Services Corporation (LSC) is conducting two Rulemaking Workshops (Workshops) and is requesting public comments on issues associated with encouraging and facilitating *pro bono* efforts through revision to the Private Attorney Involvement (PAI) rule, 45 CFR part 1614. The comments received in the Workshops will be considered in connection with rulemaking undertaken by LSC. LSC hereby solicits expression of interest in participation as a panelist in the Workshops from the recipient community, the organized bar, and other interested parties.

DATES: Expressions of interest in participating as a panelist must be received by [INSERT DATE], 2013. Written comments must be received by [INSERT DATE + 30 days after last RMW].

FOR FURTHER INFORMATION CONTACT: Lynn Jennings, Vice President for Grants Management, Legal Services Corporation, 3333 K St., NW., Washington, DC

20007; (202) 295-1500 (phone); 202-337-6831 (fax) or [INSERT PAI RULEMAKING ADDRESS]@lsc.gov.

SUPPLEMENTARY INFORMATION:

I) Background Information

On January 26, 2013, the LSC Board of Directors (LSC Board) voted to authorize LSC to initiate rulemaking to consider revisions to 45 CFR Part 1614, Private Attorney Involvement (PAI regulation), which will implement the recommendations of LSC's Pro Bono Task Force, available at [INSERT GPO FORMATTED HYPERLINK TO PBTF REPORT] As part of this rulemaking proceeding, LSC is convening two Workshops on [INSERT DATES] from XX a.m.-XX p.m, [2.5 hours] EDT. The Workshops will be held as a Web-broadcast via internet connection (webinar) from LSC's Conference Center, on the 3rd floor of 3333 K Street, NW., Washington, DC 20007. Participants are invited to attend in person, via webinar, or telephonically via a conference bridgeline. Information about how to participate is available on LSC's website at [INSERT LINK].

II) Consideration of the LSC Rulemaking Protocol

Rulemaking workshops enable LSC to meet with interested parties to discuss, but not negotiate, LSC rules and regulations. The Workshops for the PAI regulation will be meetings at which the panelists and participants hold open discussions to provide an opportunity for sharing ideas regarding how to encourage and facilitate *pro bono* attorney involvement in a manner responsive to the recommendations of LSC's Pro Bono Task Force.

III) Public Participation: Panelists and Open Comment

LSC is inviting expressions of interest from the public to participate in the Workshops as a panelist. Expressions of interest in participating as a panelist should be forwarded, in writing, to Lynn Jennings, Vice President for Grants Management, Legal Services Corporation, via e-mail [INSERT PAI RULEMAKING ADDRESS]@lsc.gov, or via fax to 202-337-6831, or by hard copy to 3333 K Street, NW., Washington, DC 20007. All expressions of interest must be received by 5:30 p.m. E.D.T. on [Insert date, 2013]. LSC will select panelists shortly thereafter and will inform all those who expressed interest of whether or not they have been selected.

The Workshops will be open to public observation, and portions of the Workshop will be open for public comment from in-person, webinar, and telephone participants. Prior to the meeting, participants will be asked to register with LSC to ensure that sufficient accommodations can be made for their participation. Panelists and in-person participants are expected to cover their own expenses (travel, lodging, etc.).

Please note that through this notice, LSC is contemporaneously opening a written comment period to coincide with the invitation to participate in the Workshops. Should commenters be unable to participate in the Workshops, LSC welcomes their written comments during the comment period and will consider the comments received in the rulemaking process. Written comments received prior to the Workshops may be addressed in the Workshops. Written comments are requested by [Insert Date] for LSC to consider including in the Workshops discussion on [Insert Date + 5 days].

Written comments submitted to LSC must be in .pdf format (if submitted electronically), and sent to [\[INSERT PAI RULEMAKING ADDRESS\]@lsc.gov](mailto:[INSERT PAI RULEMAKING ADDRESS]@lsc.gov). If

delivered via facsimile or in paper copy, please address the comments to: Lynn Jennings, Vice President For Grants Management, Legal Services Corporation, 3333 K St, NW, Washington, D.C. 20007.

IV) Topics for Discussion

The following topics and items for discussion will be addressed during the Workshops. Members of the public are welcome to recommend additions, deletions, or modifications of these general Topics for Discussion for LSC's consideration through written comment prior to the Workshops or by participation in the first Workshop.

Workshop panelists, and those wishing to make comments, may find additional background information on each of these topics on the designated Workshops Web site.

Topic 1: Resources spent supervising and training law students, law graduates, deferred associates, and others should be counted toward grantees' PAI obligations, especially in "incubator" initiatives.

The Pro Bono Task Force identified several categories of pro bono volunteers as potential resources for LSC recipients to expand in the delivery of legal assistance. The Pro Bono Task Force noted that the LSC definition of "staff attorney," which is based on a compensation scheme standard, is a roadblock to full engagement by recipients of deferred associates, law students, and recent graduates. LSC welcomes a full discussion of engaging new categories of *pro bono* volunteers and of improvements to the PAI regulation that would facilitate that engagement.

Items for Discussion on Topic 1:

- How are legal service providers engaging new categories of attorneys in volunteer pools? What are the needs of these new categories of attorneys in the volunteer pool?
- What are the obstacles to LSC grant recipients' full use of these attorneys?
- Should LSC implement conditions and guidelines to allow LSC recipients to claim PAI credit for the supervision and training of these volunteers?
- How can LSC ensure against fraud, waste, or abuse related to implementing this recommendation? What caution should LSC exercise?
- To the extent applicable, discuss your organization's ability to execute any recommended approaches.

Topic 2: Grantees should be allowed to spend PAI resources to enhance their screening, advice, and referral programs that often attract pro bono volunteers while serving the needs of low-income clients.

The Pro Bono Task Force identified the benefits of integrated intake and referral systems that link clients to volunteer attorneys. Resources used by recipients to staff these integrated systems have not traditionally been recognized as eligible for PAI funds for a variety of reasons. LSC welcomes a full discussion of the relationship between integrated intake and referral systems that link clients with *pro bono* volunteers and the use of PAI funds.

Items for Discussion on Topic 2:

- How are recipients currently using integrated intake and referral systems?

- Do LSC's current PAI regulations inhibit full use of integrated intake and referral systems?
- Should LSC implement conditions and guidelines to allow LSC recipients to claim PAI credit for the resources used to create and staff integrated intake and referral systems?
- How can LSC ensure against fraud, waste or abuse related to implementing this recommendation? What caution should LSC exercise?
- To the extent applicable, discuss your organization's ability to execute any recommended approaches.

Topic 3: LSC should reexamine the rule that mandates adherence to LSC grantee case handling requirements, including that matters be accepted as grantee cases in order for programs to count toward PAI requirements.

The Pro Bono Task Force encouraged brief service clinics in which *pro bono* services by pro bono volunteers who rely on LSC recipients to provide technical assistance, research, advice, and counsel to the volunteers. If the recipient is not providing the client service, but is providing training to *pro bono* volunteers, the Pro Bono Task Force recommended that the resources the recipient uses to support the training be an eligible use for PAI funds, without obligating the *pro bono* volunteers to screen clients for LSC eligibility or a requiring the volunteer to agree to take the cases. LSC welcomes a full discussion of the use of *pro bono* volunteers in such clinics and invites input on improvements to the existing regulations to facilitate such use.

Items for Discussion on Topic 3:

- How are recipients currently using pro bono volunteers in brief service clinics?
- What are the obstacles to recipients use of *pro bono* volunteers in brief service clinics?
- Should LSC implement conditions and guidelines to allow LSC recipients to claim PAI credit for the resources used to provide support to volunteer attorneys staffing brief service model clinics?
- How can LSC ensure against fraud, waste or abuse related to implementing this recommendation? What caution should LSC exercise?
- To the extent applicable, discuss your organization's ability to execute any recommended approaches.

V) Format of the Workshops

LSC plans to host two Workshops to maximize the opportunity for participation. Both of the meetings will include a panel discussion of the Topics for Discussion in this notice. The first Workshop will also include discussion of any recommendations for additions, deletions, or modifications of these Topics for Discussion. Panelists will be selected to represent a diversity of opinions and perspectives.

In addition to the panel, LSC encourages observation and participation by all interested individuals and organizations. The meeting agenda will include opportunities for individuals in attendance who are not members of the panel to participate in person, by webinar, or via telephone, as well as incorporating previously submitted written comments by those unable to attend. LSC plans to transcribe the meetings and make the webinar available on its website.

LSC has developed a designated website for the purposes of these Workshops and will update it as information becomes available. The final agenda for the Workshops will be available on the LSC website for the Workshops approximately five days prior. The web address is [INSERT].

VI) Important Notes

These Workshops do not restrict LSC in its eventual rulemaking activities.

Information received in response to this RFI may be published or summarized by LSC without acknowledgement of or permission by your organization. Furthermore, your responses may be releasable to the public under the LSC's adoption of the Freedom of Information Act, 42 U.S.C. 2996d, and the LSC regulation, 45 CFR part 1619.

LSC, at its discretion, may request individual commenters to meet with LSC to elaborate on information in their written comments.

LSC, at its discretion, may invite individual respondents to meet with LSC to elaborate on information in their written comments. Responders are responsible for all expenses associated with their participation in the Workshops.

Comments sent by any method other than email to [INSERT PAI RULEMAKING ADDRESS] @lsc.gov, or hard copy to Lynn Jennings, Vice President for Grants Management, Legal Services Corporation, 3333 K Street, NW, Washington, DC 20007, or received after the end of the comment period, may not be considered by LSC.

Victor M. Fortuno,

Vice President & General Counsel.

Dated: March 25, 2013.

Victor M. Fortuno
General Counsel

BILLING CODE 7050-01-P

DRAFT

Part 1626 – Restrictions on Assistance to Aliens



TO: Operations and Regulations Committee

FROM: Kara Ward, Assistant General Counsel

THROUGH: Victor M. Fortuno, General Counsel

SUBJECT: Approval to Engage in Rulemaking to Conform Part 1626 (Restrictions on Assistance to Aliens) with Existing Statutory Authorizations

DATE: March 25, 2013

On behalf of Management, the Office of Legal Affairs (OLA) requests that the Operations and Regulations Committee (Committee) recommend that the Board of Directors (Board) authorize rulemaking to conform Part 1626 (Restrictions On Assistance to Aliens) with existing statutory authorizations.

I) Summary

Through the Victims of Trafficking and Violence Protection Act of 2000, Pub. L. No. 106-386, 114 Stat. 1464 (codified as amended in various sections of the U.S.C.) (VTVPA), the Violence Against Women and Department of Justice Reauthorization Act of 2005, Pub. L. No. 109-162, 104, 119 Stat. 2960 (2005) (VAWA), and the current Omnibus Appropriations legislation, Congress has expanded the scope of aliens to whom recipients may provide legal assistance. For the reasons stated below, Management requests that the Committee recommend to the Board that LSC initiate a rulemaking to consider amending LSC's regulation at 45 CFR Part 1626, Restrictions on Legal Assistance to Aliens, and its companion appendix to conform with the existing statutory authority.

The Part 1626 regulation and its companion appendix is out of date and does not reflect the current statutory authority, which authorizes grantees to represent new categories of eligible clients. Although the statutory authority overrides any regulatory provisions to the contrary, initiating a rulemaking to incorporate the expanded authority into the regulation could be advisable. In the case of new authorities that trace to the VTPA and VAWA, LSC has previously provided guidance to recipients on these matters through program letters.

II) Background

A. Trafficking Victims Protection Act of 2000, 22 U.S.C. 7104, as amended in 2003.

The VTVPA provided that LSC "shall expand benefits and services to victims of severe forms of trafficking in persons in the United States, and aliens classified as a nonimmigrant under section 1101(a)(15)(T)(ii) of title 8, without regard to the

immigration status of such victims.” The VTVPA further provides that LSC may provide services to family members of victims of trafficking.

Pursuant to the VTVPA, LSC grantees are authorized to use LSC or non-LSC funds to represent individuals and their families who would otherwise be ineligible for assistance due to their immigration status under 45 CFR Part 1626. The VTVPA operates as an explicit waiver of the provisions that require legal residency for all grantee clients. Under the VTVPA changes to the LSC Act, LSC grantees may provide representation to victims of trafficking and their family members on a variety of matters, including obtaining certification and/or a visa as well as providing assistance with other legal issues.

B. Violence Against Women Act and the 2006 Amendments.

VAWA amended the 1996 LSC appropriations act to allow LSC grantees to provide legal services to applicants who were previously ineligible because of their immigration status. Departments of Commerce, Justice and State, the Judiciary, and Related Agencies Appropriations Act, Pub. L. 105-119, § 502, 111 Stat. 2440 (1997). These changes, known as the “2006 VAWA Amendments,” permit LSC grantees to provide representation to victims of battery, cruelty, and sexual assault without regard to immigration status. The 2006 amendments also allow LSC grantees to represent immigrant victims who are eligible for a “U” visa. The Immigration and Nationality Act, 8 U.S.C. § 1011(a)(15)(U)(3) (2012).

The 2006 VAWA Amendments allow LSC grantees to use both LSC and non-LSC funds to provide otherwise ineligible aliens with legal services that are directly related to the prevention of, or obtaining relief from, battery or cruelty, sexual assault or trafficking, or other crimes. Further, LSC grantees may provide otherwise ineligible aliens with representation if the alien’s child has been similarly victimized. Previously, such legal assistance by LSC grantees was permitted only if supported wholly with non-LSC funds.

In addition, LSC grantees are now permitted to provide legal assistance to otherwise ineligible aliens who are victims of domestic abuse, even if they are not married to (or the child of) their abusers. Previously, such assistance was permitted only if the domestic abuse was perpetrated by the spouse or parent of the victim. Finally, LSC grantees may now also provide related legal assistance, supported with LSC funds, to new categories of otherwise ineligible aliens in addition to those who have been battered or subject to extreme cruelty.

C. H2-B Forestry Workers in the 2008 Consolidated Appropriations Act.

Section 540 of Title V, Division B of the Consolidated Appropriations Act, 2008, amends LSC's FY 1996 appropriation legislation to confer eligibility for legal assistance from LSC grantees to forestry workers holding H-2B visas. Specifically, section 504(a)(11)(E), as amended creates a new exception to the prohibition on representation of non-citizens:

A non-immigrant worker admitted to, or permitted to remain in, the United States under section 101(a)(15)(H)(ii)(b) of the Immigration and Nationality Act (8 U.S.C. 1109(a)(15)(H)(ii)(b)) for forestry labor or an alien to whom section 305 of the Immigration Reform and Control Act of 1986 (8 U.S.C. 1101 note) applies, but only to the extent that the legal assistance provided is the legal assistance described in such section.

This provision is expressly limited to H-2B visa holders who are forestry workers. Forestry workers are only a subsection of H-2B visa holders and H-2B visa holders who are not working in the forestry industry remain ineligible for legal assistance from LSC grantee programs. The permission of these forestry workers to access LSC grantees services is limited to legal assistance on matters relating to the terms and conditions of their employment as set forth in their employment contracts.

D. Appendix to Part 1626

Section 1626.7 currently requires that LSC publish an appendix to Part 1626 that provides examples of documents that are acceptable for establishing proof of eligibility.

As proof of eligibility, a recipient may accept originals, certified copies, or photocopies that appear to be complete, correct and authentic, of any of the documents found in the appendix to this part.

45 C.F.R. Part 1626.7(a)(1)(2012).

The appendix to Part 1626 was last updated in 2003, and, like the regulation, it has become out of date. Because revisions to the appendix would not entail policy decisions but, instead, be limited to updating the list of examples, LSC may be well served by limiting the administrative burden in making ministerial updates to the appendix. LSC can do so by removing the appendix from the regulations and instead disseminating authoritative guidance that is available by publishing a “Notice of Availability” or “Notice for Availability and Comment” in the *Federal Register* for each iteration, posting the guidance on the LSC website, and emailing the stakeholder community when updates are made.

III) Discussion of the Rulemaking Protocol

LSC’s Rulemaking Protocol, 67 Fed. Reg. 69762, (November 19, 2002), provides:

The impetus for a rulemaking may come from any one of several sources; Congressional directive; internal LSC initiative (Board or Committee members and/or staff); or a formal request from a member of the regulated community or general public. Decisions on whether to undertake rulemakings will be made by the Board upon the recommendation of the Committee.

When Management believes that rulemaking on a given topic should be undertaken, it makes its recommendation to the Committee, which then determines whether to recommend to the Board that the Board initiate the rulemaking. In most instances, the Committee will base its recommendation upon consideration of a Rulemaking Options Paper (ROP) prepared by OLA. The ROP will contain a discussion of the subject for the potential rulemaking, and will include an outline of the policy and legal issues involved, as well as the mechanisms to accomplish the rulemaking.

IV) Next Steps

Management requests that the Committee recommend to the Board that LSC initiate a rulemaking to consider amending LSC's regulation at 45 C.F.R. Part 1626, Restrictions on Legal Assistance to Aliens, and its companion appendix, to align with the existing statutory authority. LSC will draft a Rulemaking Options Paper for consideration by the Committee and the Board at an upcoming meeting.

Attachment: Draft Guidance (Appendix to Part 1626- Alien Eligibility for Representation by LSC Programs).

ALIEN ELIGIBILITY FOR REPRESENTATION BY LSC PROGRAMS BASED ON THE TRAFFICKING PROTECTION REAUTHORIZATION ACT (TVPA) AND THE VIOLENCE AGAINST WOMEN ACT (VAWA)

Alien Category	Statutory Source for Status	Eligibility Requirements
Victim of human trafficking, as defined by 22 U.S.C. 7101, ¹ and his or her family members, as defined by 8 U.S.C. 1101(a)(15)(T)(ii) ²	22 U.S.C. 7105	A victim of trafficking must be: (1) Under 18 years of age; <i>or</i> (2) A “subject of certification,” as defined by 22 U.S.C. 7105(b)(E)(i). ³
Victim of battery or extreme cruelty as defined by 45 CFR part 1626.2(f), ⁴ or sexual assault, as defined by 42 U.S.C. 13925(a)(23) ⁵	Sec. 104, Pub. L. 103-322	The legal assistance sought must be directly related to preventing or obtaining relief from battery or cruelty, or sexual assault. ⁶ “Related legal assistance” is defined as assisting the client or the client’s child in any one or more of the following activities: (1) Escape from the domestic violence, sexual assault, or battering; <i>or</i> (2) Ameliorate their effects; <i>or</i> (3) Protect against future domestic violence, battering, or sexual assault.

¹ Victims of human trafficking are defined as “persons who have been subject to sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such an act has not attained the age of 18; or the recruitment, harboring, transportation, provision or obtaining of a person for labor or services, through the use of force, fraud or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.” 22 U.S.C. 7102(8)-(9).

² Eligible family members include the spouse and/or children of an adult victim (age 21 or older) or the spouse, children, unmarried siblings under the age of 18, and parents of a child (under the age of 21). 8 U.S.C. sec. 1101(a)(15)(T)(ii).

³ A victim of trafficking is a “subject of certification” under the TVPA when the victim:
“(I) is willing to assist in every reasonable way in the investigation and prosecution of severe forms of trafficking on persons or is unable to cooperate with such a request due to physical or psychological trauma; and
(II)(aa) [the victim] has made a bona fide application for a [T nonimmigrant visa (T visa)] that has not been denied; or

(bb) [the victim] is a person whose continued presence in the United States the Secretary of Homeland Security is ensuring in order to effectuate prosecution of traffickers in persons.” 22 U.S.C. 7105(b)(E)(i).

⁴ “Battered or subjected to extreme cruelty includes, but is not limited to, being the victim of any act or threatened act of violence, including any forceful detention, which results or threatens to result in physical or mental injury. Psychological or sexual abuse or exploitation, including rape, molestation, incest (if the victim is a minor), or forced prostitution shall be considered acts of violence. Other abusive actions may also be acts of violence under certain circumstances, including acts that, in and of themselves, may not initially appear violent but that are a part of an overall pattern of violence.” 45 CFR part 1626.2(f).

⁵ “Sexual assault includes, but is not limited to, sexual abuse, aggravated sexual abuse, or abusive sexual conduct, and includes both assaults committed by offenders who are strangers to the victim and assaults committed by offenders who are known or related by blood or marriage to the victim.” 42 U.S.C. 13925(a)(23) *citing* 18 U.S.C. 2241-2248.

⁶ Sec. 502(b)(2), Pub. L. 105-119.

Victim of a crime listed in 8 U.S.C. 1101(a)(15)(U) ⁷	Sec. 104, Pub. L. 103-322	The victim must: (1) Qualify for a U-nonimmigrant visa (U visa) under 8 U.S.C. 1101(a)(15)(U) ⁸ ; <i>and</i> (2) Seek legal assistance directly related to preventing or obtaining relief from a qualifying crime listed in 8 U.S.C. 1101(a)(15)(U). "Related legal assistance" is defined as assisting the client or the client's child— (i) Escape from the qualifying criminal activity; <i>or</i> (ii) Ameliorate their effects; <i>or</i> (iii) To protect against future criminal activity.
The parent of a child who has been the victim of battery, extreme cruelty, sexual assault, trafficking, or qualifies for immigration relief under 8 U.S.C. 1101(a)(15)(U) ⁹	Sec. 104, Pub. L. 103-322	The alien parent must not have actively participated in the battery, extreme cruelty, sexual assault, trafficking, or other qualifying crime listed in 8 U.S.C. 1101(a)(15)(U)(iii) ¹⁰

⁷ Qualifying crimes or any similar activity in violation of Federal, State, or local criminal law include: rape; torture; trafficking; incest; domestic violence; sexual assault; abusive sexual contact; prostitution; sexual exploitation; female genital mutilation; being held hostage; peonage; involuntary servitude; slave trade; kidnapping; abduction; unlawful criminal restraint; false imprisonment; blackmail; extortion; manslaughter; murder; felonious assault; witness tampering; obstruction of justice; perjury; or attempt, conspiracy, or solicitation to commit any of the above mentioned crimes. 8 U.S.C. 1101(a)(15)(U).

⁸ To qualify for a U-nonimmigrant visa, the Secretary of Homeland Security must determine that, "(I) the alien has suffered substantial physical or mental abuse as a result of having been a victim of criminal activity described in [8 U.S.C. 1101(a)(15)(U)(iii)]; (II) the alien (or in the case of an alien child under the age of 16, the parent, guardian, or next friend of the alien) possess information concerning criminal activity described in [8 U.S.C. 1101(a)(15)(U)(iii)]; (III) the alien (or in the case of an alien child under the age of 16, the parent, guardian, or next friend of the alien) has been helpful, is being helpful, or is likely to be helpful to a Federal, State, or local enforcement official, to a Federal, State, or local prosecutor, to a Federal or State judge, to the Service, or to other Federal, State, or local authorities investigating or prosecuting criminal activity described in [8 U.S.C. 1101(a)(15)(U)(iii)]; and (IV) the criminal activity described in [8 U.S.C. 1101(a)(15)(U)(iii)] violated the laws of the United States or occurred in the United States (including in Indian country and military installations) or the territories and possessions of the United States" 8 U.S.C. 1101(a)(15)(U).

⁹ *Infra* note 8.

¹⁰ Sec. 502(a)(2)(C)(ii), Pub. L. 105-119

ALIEN ELIGIBILITY FOR REPRESENTATION BY LSC PROGRAMS BASED ON
LSC APPROPRIATIONS AND THE ACT

Alien Category	Statutory Authorization	Regulatory Authorization 45 CFR part 1626	Verification Documents (any of the listed documents constitutes evidence of eligible immigration status)
Lawful Permanent Resident	8 U.S.C. 1101(a)(20)	§ 1626.5(a)	<ul style="list-style-type: none"> (1) Alien Registration Receipt Card: Form I-551 or Form I-151; <i>or</i> (2) Memorandum of Creation of Record of Lawful Permanent Residence: Form I-181 with approval stamp; <i>or</i> (3) Passport bearing immigrant visa or stamp indicating admission for lawful permanent residence; <i>or</i> (4) Order granting residency or adjustment of status; <i>or</i> (5) Permit to Reenter the United States: Form I-327; <i>or</i> (6) Arrival/Departure Record: CPB Form I-94 with stamp indicating admission for lawful permanent residence; <i>or</i> (7) Any verification of lawful presence in the U.S. to include any one of the following: authoritative document from the United States Immigration and Naturalization Service (INS);¹¹ or the Department of Homeland Security (DHS) including

¹¹ For any immigration status document obtained prior to March 1, 2003.

			online or email verification.
Spouse of a U.S. citizen, or a parent of a U.S. citizen, or an unmarried child under 21 of U.S. citizen; <i>and</i> who has filed an application for adjustment of status to the status of a lawful permanent resident	8 U.S.C. 1158(b)(3), 1255, 1255a, 1259	§ 1626.5(b)	(1) Proof of filing of a qualifying application for adjustment of status to permanent residency; ¹² <i>and</i> (2) Proof of relationship to U.S. citizen. ¹³
Asylee	8 U.S.C. sec. 1158	§ 1626.5(c)	(1) Arrival/Departure Record: Form I-94 or passport stamped “asylee” or “§ 208”; <i>or</i> (2) Order granting asylum from INS ¹⁴ , DHS, immigration judge, the Board of Immigration Appeals (BIA), or federal court; <i>or</i> (3) Refugee Travel Document : Form I-571 refugee travel document; <i>or</i> (4) Employment Authorization Card: Form I-688B ¹⁵ or Employment Authorization Document: Form I-766 coded “8 CFR § 274a.12(a)(5)(asylee)” or “A5”;

¹² Proof of filing may include one or more of the following: a fee receipt or an online or email printout showing that the application was filed with U.S. Citizenship and Immigration Services (USCIS), Immigration and Naturalization Service (INS), the Department of Homeland Security (DHS), or the immigration court; *or* a filing stamp showing that the application was filed; *or* a grant of a fee waiver for such application, a biometrics appointment notice indicating such pending application, a printout from the USCIS online service, or a copy of the application accompanied by a notarized statement signed by the alien that such form was filed.

¹³ Proof of relationship to a U.S. Citizen may include one or more of the following: a copy of the person’s marriage certificate accompanied by proof of the spouse’s U.S. Citizenship; *or* a copy of the birth certificate, baptismal certificate, adoption decree, or other document demonstrating the individual is under the age of 21, accompanied by proof that the individual’s parent is a U.S. citizen; *or* a copy of Petition for Alien Relative: Form I-130 or Petition for American, Widow(er) or Special Immigrant: Form I-360 containing information demonstrating the individual is related to such U.S. citizen, accompanied by proof of filing.

¹⁴ *Infra* note 11.

¹⁵ Dated before April 3, 2009.

			<p><i>or</i></p> <p>(5) Any verification of lawful presence in the U.S. or other authoritative document from the United States Immigration and Naturalization Service (INS)¹⁶ or the Department of Homeland Security (DHS), including online or email verification</p>
Refugee	8 U.S.C. 1157	§ 1626.5(c)	<p>(1) Arrival/Departure Record: Form I-94 or passport stamped “refugee” or “§ 207”;</p> <p><i>or</i></p> <p>(2) Employment Authorization Card: Form I-688B¹⁷ or Employment Authorization Document: Form I-766 coded “8 CFR § 274a.12(a)(3)(refugee)” or “A3” or “8 CFR § 274a.12(a)(4)(paroled refugee)” or “A4”;</p> <p><i>or</i></p> <p>(3) Refugee Travel Document: Form I-571;</p> <p><i>or</i></p> <p>(4) Any verification of lawful presence in the U.S. or other authoritative document from the U.S. Immigration and Naturalization Service (INS)¹⁸ or the Department of Homeland Security (DHS) including online or email verification</p>
Individual Granted Withholding of	8 U.S.C. 1231(b)(3)	§ 1626.5(e)	<p>(1) Arrival/Departure Record: Form I-94</p>

¹⁶ *Infra* note 11.

¹⁷ *Infra* note 13.

¹⁸ *Infra* note 11.

Deportation or Removal			<p>stamped “§243(h)” or “§241(b)(3)”;</p> <p><i>or</i></p> <p>(2) Order granting withholding of deportation/deferral of removal from DHS, U.S. Immigration and Customs Enforcement (ICE), immigration court, BIA, or federal court;</p> <p><i>or</i></p> <p>(3) Temporary Resident Card: Form I-688¹⁹ or Employment Authorization Document: Form I-766 coded “8 CFR § 274a.12(a)(10)(withholding of deportation)” or “A10”;</p> <p><i>or</i></p> <p>(4) Refugee Travel Document: Form I-571;</p> <p><i>or</i></p> <p>(5) Any verification of lawful presence in the U.S. or other authoritative document from the United States Immigration and Naturalization Service (INS)²⁰ or the Department of Homeland Security (DHS), including online email verification</p>
Conditional Entrant	8 U.S.C. 1153(a)(7) ²¹	§ 1626.5(d)	<p>(1) Arrival/Departure Record: Form I-94 or passport stamped “conditional entrant”;</p> <p><i>or</i></p> <p>(2) Any verification of lawful presence in the U.S. or other authoritative document from the U. S.</p>

¹⁹ *Infra* note 13.

²⁰ *Infra* note 11.

²¹ As in effect prior to April 1, 1980.

			Immigration and Naturalization Service (INS) ²² or the Department of Homeland Security (DHS), including online or email verification
Special Agricultural Worker Temporary Resident	8 U.S.C. 1160	§ 1626.10(d)	(1) Temporary Resident Card: Form I-688 ²³ , I-688A, Employment Authorization Card: Form I-688B ²⁴ , or Employment Authorization Document: Form I-766 indicating issuance under INA § 210 (or under 8 CFR part 274a.12(a)(2) or coded “A2,” with other evidence indicating eligibility under INA § 210); <i>or</i> (2) Any verification of lawful presence in the U.S. or other authoritative document from the United States Immigration and Naturalization Service (INS) or the Department of Homeland Security (DHS), including online or email verification
H-2A Temporary Agricultural Worker ²⁵	8 U.S.C. sec. 1101(a)(15)(H)	§ 1626.11	(1) Arrival/Departure Record: Form I-94 or passport stamped “H-2A”; <i>or</i> (2) Any verification of lawful presence in the U.S. or other authoritative document

²² *Infra* note 11.

²³ *Infra* note 13.

²⁴ *Infra* note 13.

²⁵ Legal assistance is limited to matters arising under the provisions of the worker’ employment contract concerning wages, housing, transportation, and other employment rights as provided in the worker’s specific contract. 45 CFR part 1626.11(b).

			from the United States Immigration and Naturalization Service (INS) ²⁶ or the Department of Homeland Security (DHS) including online or email verification
H-2B Temporary Non-Agricultural Worker ²⁷	8 U.S.C. sec. 1101(a)(15)(H)		(1) Arrival/Departure Record: Form I-94 or passport stamped “H-2B” and evidence that the worker is employed in forestry; <i>or</i> (2) Any verification of lawful presence in the U.S. or other authoritative document from the United States Immigration and Naturalization Service (INS) ²⁸ or the Department of Homeland Security (DHS) including online or email verification
Spouse of a U.S. citizen, or a parent of a U.S. citizen, or an unmarried child under 21 of U.S. citizen; <i>and</i> who has filed an application for adjustment of status to	8 U.S.C. 1158(b)(3), 1255, 1255a, 1259	§ 1626.5(b)	(1) Proof of filing of a qualifying application for adjustment of status to permanent residency ²⁹ ; <i>and</i> (2) Proof of relationship to U.S. citizen ³⁰

²⁶ *Infra* note 11.

²⁷ Legal assistance is limited to matters arising under the provisions of the worker’ employment contract.

²⁸ *Infra* note 11.

²⁹ Proof of filing may include one or more of the following: a fee receipt or an online or email printout showing that the application was filed with U.S. Citizenship and Immigration Services (USCIS), Immigration and Naturalization Service (INS), the Department of Homeland Security (DHS), or the immigration court; *or* a filing stamp showing that the application was filed; *or* a grant of a fee waiver for such application, a biometrics appointment notice indicating such pending application, a printout from the USCIS online service, or a copy of the application accompanied by a notarized statement signed by the alien that such form was filed.

³⁰ Proof of relationship to a U.S. Citizen may include one or more of the following: a copy of the person’s marriage certificate accompanied by proof of the spouse’s U.S. Citizenship; *or* a copy of the birth certificate, baptismal certificate, adoption decree, or other document demonstrating the individual is under the age of 21, accompanied by proof that the individual’s parent is a U.S. citizen; *or* a copy of Petition for Alien Relative: Form I-130 or Petition for American, Widow(er) or Special Immigrant: Form I-360 containing information demonstrating the individual is related to such U.S. citizen, accompanied by proof of filing.

the status of a lawful permanent resident			
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III. Governance & Performance Review Committee

GOVERNANCE AND PERFORMANCE REVIEW COMMITTEE

April 14, 2013

Agenda

OPEN SESSION

1. Approval of agenda
2. Approval of minutes of the Committee's meeting of January 26, 2013
3. Staff reports on
 - Staff report on progress in implementing GAO recommendations
4. Public Welfare Foundation Grant Materials
5. Report on Public Welfare Foundation grant and LSC research agenda
 - Presentation by Jim Sandman
6. Report on evaluation of LSC Comptroller
7. Consider and act on other business
8. Public comment
9. Consider and act on motion to adjourn meeting

**Draft Minutes of the
Governance & Performance
Committee January 26, 2013
Open Session Meeting**

**Legal Services Corporation
Meeting of the Governance and Performance Review Committee
Open Session
Saturday, January 26, 2013**

DRAFT MINUTES

Chair Martha L. Minow convened an open session meeting of the Legal Services Corporation's ("LSC") Governance and Performance Review Committee ("the Committee") at 8:55 a.m. on Saturday, January 26, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were present:

Martha L. Minow, Chair
Sharon L. Browne (by telephone)
Charles N.W. Keckler
Julie A. Reiskin
John G. Levi, *ex officio*

Other Board Members Present:

Laurie Mikva
Father Pius Pietrzyk

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Mark Freedman	Senior Assistant General Counsel, Office of Legal Affairs
Lynn Jennings	Vice President for Grants Management
Jeffrey E. Schanz	Inspector General, Office of the Inspector General
Thomas Coogan	Assistant Inspector General for Investigations, Office of the Inspector General
Carol Bergman	Director, Office of Government Relations and Public Affairs
Peter Furrh	Lone Star Legal Aid
Chuck Greenfield	National Legal Aid and Defender Association (NLADA)
Don Saunders	National Legal Aid and Defender Association (NLADA)
Terry Brooks	American Bar Association

The following summarizes actions taken by, and presentations made to, the Committee:

Chair Minow called the meeting to order.

MOTION

Mr. Keckler moved to approve the minutes of the meeting of September 30, 2012. Ms. Reiskin seconded the motion.

VOTE

The motion passed by voice vote.

Chair Minow led a brief Committee discussion on revising the Board, individual, and committee evaluation process to promote increased participation. Ms. Reiskin suggested that a truncated, electronic survey be considered. Chair Minow highlighted results from the Board, individual and committee self-evaluations for 2012.

Carol Bergman, Director of the Office of Government Relations and Public Affairs, next reported on the progress of implementing outstanding GAO recommendations.

President Jim Sandman next reported on the Public Welfare Foundation grant. Management is close to finalizing the formation of a working group that will include grantees and other funders.

Chair Minow next led a discussion on 2012 evaluations for President Sandman and Inspector General Schanz.

Inspector General Schanz reported to the Committee on a peer review he conducted of the Securities Exchange Commission (SEC) Inspector General.

In new business, Chair Minow noted that the Promotion and Provision for the Delivery of Legal Services Committee (“Promotion and Provision Committee”) did not have enough time to discuss its evaluations during its January 25, 2013 meeting. Ms. Mikva suggested that the evaluations be considered at the next Promotion & Provision Committee.

Mr. Levi next commented on improvements that could be made to LSC grantees’ panel presentations at Board meetings.

Lastly, Chair Minow noted that one of the suggestions she received during the evaluation process was for the Committee to periodically have closed session meetings.

MOTION

Ms. Reiskin moved to adjourn the meeting. Mr. Keckler seconded the motion.

VOTE

The motion passed by a voice vote.

The meeting of the Committee adjourned at 9:45 a.m.

GAO Tracking Document

**GAO Recommendations from June 2010 Report
 “Improvements Needed in Controls over Grant Awards & Grantee Program Effectiveness”**

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
1	Develop and implement procedures to provide a complete record of all data used, discussions held, and decisions made on grant applications.	<p>June 2010</p> <p>August 2010</p> <p>June 2010</p>	<p>Real time observation of LSC Grants</p> <p>Real time observation of LSC Grants</p> <p>Real time observation of LSC Grants</p>	<p>Changes to the LSC Grants software program have been implemented and include:</p> <ul style="list-style-type: none"> • The home page of the LSC Grants review module has been revised to include a listing of grant documents that must be reviewed (if applicable). The final page of the review module requires the reviewer to certify, by entering the reviewer’s name, that all applicable grant documents have been reviewed in completing the grant application evaluation. • LSC grants includes a page for OPP management to use in certifying the meeting(s) held with staff reviewers to discuss data used in the evaluation process, the reviewer’s recommendations, and management’s final funding recommendation for the grant applicant. • The evaluation module of LSC grants is modified to designate certain reviewer data fields as required, which prohibits a reviewer from submitting an application evaluation that is incomplete. As an example, the field that reviewers use to certify that all required grant documents have been reviewed is a required field. Also, data fields linked to particular responses provided in other data fields are designated as required fields. 	<p>April 2013: Closed by GAO on 3.15.13.</p>
2	Develop and implement procedures to carry out and document management’s review and approval of the grant evaluation and award decisions.	December 2010	Real time observation of LSC Grants	<p>The following changes were incorporated for the 2011 grant decision cycle:</p> <ul style="list-style-type: none"> • LSC grants has been revised to include a page for the LSC Vice President for Programs and Compliance and a page for the LSC President to use in certifying the meeting(s) held with OPP and OCE management to discuss the evaluation 	<p>April 2013: Closed by GAO on 3.15.13.</p>

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
				<p>process, and OPP and OCE management recommendations.</p> <ul style="list-style-type: none"> The Vice President's page includes a funding recommendation for the grant Applicant and the President's page includes a line for certifying the funding decision for each Applicant. Funding decisions were completed in December 2010. 	
3	Conduct and document a risk-based assessment of the adequacy of internal control of the grant evaluation and award and monitoring process from the point that the Request for Proposal is created through award, and grantee selection.	Ongoing.	Documentation of the risk based internal control assessment of the process and any related risk remediation efforts.	<p>LSC has engaged an outside expert to develop and perform a full evaluation and assessment of the competitive grants process.</p> <p>This includes conducting a risk-based assessment of the internal control of the grant evaluation, award, and monitoring process; recommendations of additional internal control options; recommendations for maximizing information reporting capabilities; and a report on internal controls and options implemented.</p>	<p>April 2013: In September 2012, LSC engaged L&L Consulting, LLC, to perform a risk-based assessment of LSC's grantmaking processes. L&L completed its evaluation and submitted a report of its findings and recommendations to management on Nov. 28, 2012. LSC provided this report to the GAO in January 2013. After reviewing the report, the GAO closed the recommendation in mid-March 2013.</p>
4	Conduct and document a cost benefit assessment of improving the effectiveness of application controls in LSC Grants such that the system's information capabilities could be utilized to a greater extent in the grantee application evaluation and decision-making process.	November 2010	<p>Cost benefits assessment.</p> <p>Real time observation of the required fields, certs etc. in LSC Grants</p> <p>Evidence of the continuous internal evaluation by staff.</p>	<p>LSC implemented the use of the required fields, certifications required by reviewers documenting the review process, and certifications by management and the Executive Office documenting the process for reaching final funding recommendations and funding decisions.</p> <p>LSC Grants will undergo a continuous internal evaluation by staff and management to assess the effectiveness of the control features implemented, and consider additional control feature options.</p>	<p>April 2013: Per the GAO's request, LSC provided a memo documenting the changes it has made to LSC Grants and the cost-benefit of improving the system internally, rather than purchasing a new, external system. The GAO was satisfied with the enhanced application controls LSC has implemented and expects to close the recommendation in mid-April 2013.</p>
Grantee Oversight Activities					

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
5	Develop and implement procedures to ensure that grantee site visit selection risk criteria are consistently used and to provide for summarizing results by grantee.	August 16, 2010	Evidence of outside labor counsel review and implementation.	OPP and OCE Manuals have been revised to include procedures for risk criteria used for selecting grantee site visit. Also, both offices have developed summarized results of the selection process by grantee. Outside labor counsel has reviewed LSC's response.	April 2013: GAO is still reviewing the OPP and OCE Manuals LSC submitted, but expects to complete its review in the upcoming weeks and issue a decision on this recommendation.
6	Establish and implement procedures to monitor OCE grantee site visit report completion against the 120 day time frame provided in the OCE Procedures Manual.	April 2012	Evidence of outside labor counsel review and implementation.	OCE has developed an annual tracking document that includes comprehensive information on grantee site visits, and reporting date and issuance (OCE/OPP combined visit list). Outside labor counsel has reviewed LSC's response.	April 2013: Closed by GAO on 3.15.13.
7	Execute a study to determine an appropriate standard timeframe for OLA opinions to be developed and issued. Develop and implement procedures to monitor completion of OLA opinions related to OCE site visits against the target time frame for issuing opinions.	August 20, 2010	Copy of study and new OLA Opinions Protocol. Also, evidence of implementation of the new protocol.	Office of Legal Affairs (OLA) issued a new Opinions Protocol that sets forth the procedures and processes to be followed in the development and issuance of both Advisory and Internal Opinions. As part of this effort, OLA implemented appropriate timeframes for response to requests for opinions.	April 2013: Closed by GAO on 3.15.13.
8	Develop and implement procedures to provide a centralized tracking system for LSC's recommendations to grantees identified during grantee site visits and the status of grantees' corrective actions.	August 2011	Evidence of procedures and implementation of the centralized tracking system for LSC recommendations.	Both OPP and OCE currently monitor recommendations and corrective actions through separate processes in each office. LSC has implemented a method of monitoring the status of top tier recommendations from OPP program quality visits in LSC Grants. The system requires grantees to discuss the status of the implementation of the report recommendations in their annual competition or renewal applications.	April 2013: Closed by GAO on 3.15.13.
Performance Management					
9	Develop and implement procedures to link performance measures (1) to specific offices and their core functions and	Ongoing	Evidence of procedures and sustainable implementation.	The LSC Board of Directors has developed a new strategic plan for the Corporation which will include linking performance measures to LSC's strategic goals and objectives.	April 2013: LSC is actively developing, in conjunction with its employee union, a comprehensive performance management system. To assist in developing the new system,

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
	activities, and (2) to LSC's strategic goals and objectives.			LSC is in process of revising its employee performance evaluation system and currently reviewing all position descriptions to link to strategic goals and objectives. Revisions will be discussed with the union.	LSC issued a Job Analysis Questionnaire (JAQ) to all staff. Management is updating position descriptions and will tie them to the Strategic Plan adopted by LSC's Board in October 2012, to identify the competencies required for each position, and to develop appropriate performance measures.
10	Develop and implement procedures for periodically assessing performance measures to ensure they are up-to-date.	Ongoing	Evidence of implementation.	LSC will develop and implement procedures to periodically assess performance measures after a new strategic plan is finalized.	April 2013: LSC is in the process of developing, in conjunction with its employee union, a comprehensive performance management system. The proposal is expected to include, consistent with the Strategic Plan adopted by the LSC Board in October 2012, procedures for periodically assessing performance measures.
Staffing Needs Assessment					
11	Develop and implement procedures to provide for assessing all LSC component staffing needs in relation to LSC's strategic and strategic human capital plans.	Ongoing	Evidence of procedures and their sustainable implementation.	LSC will develop and implement a human capital plan consistent with the new strategic goals the Board adopts.	April 2013: In July 2012, LSC issued a Job Analysis Questionnaire to all staff. Management is using the responses to update position descriptions, identify the competencies required for each position, and develop appropriate performance measures. In the fall of 2012, senior management surveyed mid-level managers to gauge their staffing needs. Management has analyzed the results of these surveys and is in the process of developing a human capital plan that is tied to the Corporation's Strategic Plan, adopted by the LSC Board in October. In March 2013, LSC hired a Human Capital Manager whose job responsibilities include overseeing the performance management system to make sure it is implemented timely and with fidelity to an agreed upon process.

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
12	Develop and implement a mechanism to ensure that all LSC staff receives annual performance assessments.	Ongoing	<p>Evidence of procedures and their sustainable implementation e.g., most recent actual performance assessments for all OPP and OCE employees.</p> <p>Also list of OPP and OCE staff on board at time of performance assessment cycle.</p>	<p>LSC is in the process of developing a new performance appraisal system and aims to conduct staff performance assessments covering 2012.</p> <p>Since the GAO requires two consecutive years of performance appraisals to close out the recommendation, expected completion date 2015.</p>	April 2013: LSC is actively developing, in conjunction with its employee union, a comprehensive performance management system.
Budget Controls					
13	Develop and implement a process to monitor contract approvals to ensure that all proposed contracts are properly approved before award.	October 2009	Evidence of process design and implementation.	Recommendation completed. LSC implemented new Administrative Manual procedures to better monitor contract approvals and ensure that funds are available and all contracts receive appropriate approvals prior to issuance. This policy and practice was in place prior to GAO's completing their fieldwork for this report, and a review of LSC's practices since October 1, 2009 will show that the procedures are being followed and all contracts are now being properly approved.	April 2013: Closed by GAO on 10.13.2011.
14	Develop and implement procedures for contracts at or above established policy thresholds, to ensure the LSC President provides written approval in accordance with policy before contract award.	October 2009	Evidence of procedures and their implementation.	<p>Recommendation completed. LSC implemented new Administrative Manual procedures to better monitor contract approvals and ensure that funds are available and all contracts receive appropriate approvals prior to issuance.</p> <p>This policy and practice was in place prior to GAO's completing their fieldwork for this report, and a review of LSC's practices since October 1, 2009 will show that the procedures are being followed and all contracts are now being properly approved.</p>	April 2013: Closed by GAO on 10.13.2011.

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
15	Develop and implement procedures to ensure budget funds are available for all contract proposals before contracts are awarded.	October 2009	Evidence of sustainable implementation.	<p>Recommendation completed. LSC implemented new Administrative Manual procedures to better monitor contract approvals and ensure that funds are available and all contracts receive appropriate approvals prior to issuance.</p> <p>This policy and practice was in place prior to GAO's completing their fieldwork for this report, and a review of LSC's practices since October 1, 2009 will show that the procedures are being followed and all contracts are now being properly approved.</p>	April 2013: Closed by GAO on 10.13.2011.
Internal Control Environment					
16	Develop and implement procedures for providing and periodically updating training for LSC management and staff on applicable internal controls necessary to effectively carry out LSC's grant award and grantee performance oversight responsibilities.	Ongoing	Evidence demonstrating implementation of procedures for providing and periodically updating training for LSC management and staff on applicable internal controls necessary to effectively carry out LSC's grant award and grantee performance oversight.	<p>LSC developed training procedures for LSC management and staff regarding internal controls to carry out grant award competition and grantee oversight responsibilities.</p> <p>LSC management received first of a 3-part training series on this topic on September 6, 2012. Second session scheduled for October.</p>	April 2013: Closed by GAO on 10.13.2011.

#	Grant Application Processing and Award	Date Documentation Submitted to GAO	Proposed Evidence Needed by GAO (Col. Added by GAO)	LSC Implementation	Current Status
17	Establish a mechanism to monitor progress in taking corrective actions to address recommendations related to improving LSC grants award, evaluation, and monitoring.	October 2010	Evidence of implementation of the monitoring of corrective actions taken to address recommendations related to improving LSC grant award.	LSC has established a formal process to monitor and track actions taken by LSC in response to recommendations from the Government Accountability Office. This written procedure identifies the Office of Government Relations and Public Affairs as the office responsible for maintaining the tracking system and includes quarterly reporting on the status of any remediation efforts to the Board of Directors.	April 2013: Closed by GAO on 10.13.2011.

Total Number of Recommendations: 17

Total Number Closed: 11

Total Number in Process of Closure by GAO: 2

Total Number of Open Items: 4

**Public Welfare Foundation
Grant
Consultant Bio –
Sanjeev Khagram**

Dr. Sanjeev Khagram
skhagram@scalingimpact.net
+1-206-697-0084

PROFILE

Dr. Khagram is known worldwide for his interdisciplinary and cross-sectoral scholarship, teaching, leadership and management in the areas of nongovernmental organizations and civil society, corporate citizenship and social enterprise, globalization and transnationalism, sustainable development and human security, good governance and institutional design, cross-sectoral problem solving and inter-organizational networks, leadership and strategic management, impact evaluation and learning.

Dr. Khagram was selected as a Young Global Leader of the World Economic Forum and was lead author of the UN Secretary General's Report on the Impacts of the Global Economic Crisis on the Poor (Voices of the Vulnerable) in 2009. Dr. Khagram is currently Lead Steward/CEO of a social enterprise named iScale/GAN-Net (Innovations for Scaling Impact/Global Action Networks-Net) and Co-Director of the Transnational Studies Initiative at Harvard University. From 2005-2008, Dr. Khagram was the Director of the Marc Lindenberg Center for Humanitarian Action, International Development, and Global Citizenship; the Afghan Leaders Program, Humphrey Fellows Program; and the International Humanitarian Action and Development Certificate Program.

Dr. Khagram is also currently the Ratan Tata Chaired Visiting Professor in Globalization, Governance, Hum Security and Sustainable Development at the Tata Institute of Social Sciences in Mumbai India and Professor of Public Affairs and International Studies at the University of Washington. From 2008-2010, he was the Wyss Visiting Scholar at the Harvard Business School's Social Enterprise Initiative. He holds visiting professorships at the University of Cape Town (South Africa), Chulalongkorn University (Thailand), University of Rio de Janeiro (Brazil), and Viadrina-Humboldt School of Governance (Germany). Khagram previously held senior faculty positions at Harvard University's Kennedy School of Government and Stanford University's Institute for International Studies.

From 2003-2005 he was Dean of the Desmond Tutu Peace Centre, Foundation and Trust, and from 1998-2000 he was Senior Policy and Strategy Director at the World Commission on Dams where he also was lead writer of the Commission's widely acclaimed Global Impact Evaluation. He was recently offered but graciously declined the positions of Deputy Director for Policy and External Relations in the Gates Foundation Global Development Program and Vice President for Strategy and Research at Business for Social Responsibility.

He has published widely including: *Dams and Development*, with Cornell University Press; *Restructuring World Politics: Transnational Social Movements, Networks and Norms* with University of Minnesota Press; *The Transnational Studies Reader* with Routledge Press; "Inequality and Corruption" in the *American Journal of Sociology*; "Future Architectures of Global Governance" in *Global Governance*, "Environment and Security" in the *Annual Review of Environment and Resources*, "Social Balance Sheets" in *Harvard Business Review – Latin America*, "Evidence for Development Effectiveness" in the *Journal of Development Effectiveness*, and "Scaling Impact of Global Health Problem Solving," in *Global Health Governance*.

Khagram has worked extensively with civil society organizations, social enterprises, cross-sectoral action networks, public-private partnerships, multilateral organizations, government agencies, corporations, professional associations and universities all over the world from the local to the international levels. He has lived and worked for extended periods in Brazil, India, Mexico, Nigeria, South Africa, Thailand, Germany and the United Kingdom. He holds a B.A. in development studies/engineering, an M.A. in economics (from the Food Research Institute), and a Ph.D. in political science, all from Stanford University. Khagram is of Asian Indian heritage, a Hindu, and a third generation refugee from Idi Amin's Uganda which brought him to the United States in 1973 via refugee camps in Italy.

RECENT PROFESSIONAL POSITIONS

Lead Steward/CEO, iScale (Innovations for Scaling Impact) 2008 – cont.
A social enterprise committed to developing, applying, sharing and promoting innovations for scaling impact to promote good governance, sustainable development and human security. Led the transformation of iScale's governance framework, administrative capacities, programmatic activities and business model. Major projects with Humanity United on catalyzing a global network to end mass atrocities and violence, with Omidyar Network and IDRC on strategy, accountability, learning and evaluation innovations for global networks, with the Gates Foundation and CIFF on local to global strategic political advocacy, and with the Packard Foundation on international standards and certification initiatives, among others. Raised over \$5 million in grants and contracts.

Ratan Tata Chaired Professor, Tata Institute of Social Sciences, India 2008 – cont.
First recipient of long-term non-residential endowed professorship in globalization, cross-sectoral problem solving, networks and social enterprise. Responsibilities include teaching short courses twice per year, supporting partnerships between the Tata Institute and U.S. universities, advising the new Center and Masters Programs in Social Enterprise, Human Security and Sustainable Development.

Wyss Visiting Scholar, Harvard Business School 2008 – 2010.
Located in the Social Enterprise Program, Khagram will focus on facilitating knowledge sharing and innovation in communities of practice composed of global social entrepreneurs, leaders in the field of corporate citizenship and new forms of market regulation, and global governance. He will also complete two already contracted books. The first is on the transnational dynamics of corporate citizenship and new forms of regulation and the second on future architectures of global governance – both focusing on imperatives of sustainable development and human security.

Faculty Director, Marc Lindenberg Center for Humanitarian Action, International Development, and Global Citizenship, University of Washington 2005 – 2008
A major, university wide center that creates, promotes and facilitates global, interdisciplinary, action learning programs and networks in these critical areas with a focus on nongovernmental organizations, social enterprises, corporate citizenship, public-private partnerships and cross-sectoral action networks. Lead responsibility for making the center a pillar of the University's expanding global affairs strategy.
Professor, Evans School of Public Affairs & Jackson School of International Studies (continued)
Faculty Chair of the Hubert Humphrey Leaders Program
Faculty Chair of the International Development Certificate Program
Faculty Chair of the Executive Program for Afghan Leaders
Launched a major Gates funded action research initiative on policy advocacy impact evaluation
Organized applied research projects on social network mapping, disaster risk management, catalyzing a network of humanitarian civil society organizations and applied research institutes, etc.
Raised \$4 million in grants and contracts over a 3 year period

Co-Director, Transnational Studies Initiative, Harvard University 1998 – cont.
A major initiative to build the interdisciplinary field of transnational studies. Lead responsibilities for conceptualizing the initiative and promoting its institutionalization across various organizational and geographical contexts.
Assistant to Associate Professor of Public Policy, John F. Kennedy School of Government (until 2005)
(on leave 1998-2000 at the World Commission on Dams and 2003-05 at the Tutu Peace Centre)
Faculty Fellow - Center for Government and International Affairs
Co-founder of the International Advocacy NGO Executive Leaders Session
Co-designer of the Collaborative Governance Program
Co-designer of the Corporate Social Responsibility Program
Co-organized major academic workshops and teaching / training programs on topics such as global governance, corporate citizenship, democratic innovations, and transnational studies, among others.

Dean, Desmond Tutu Peace Center, Trust, and Foundation 2003 – 2005
An organization committed to creating a world of peace by promoting good governance, human security and sustainable development. Lead responsibilities for a massive organizational turnaround and establishing the foundations for future success
Crafted new institutional relationships among the Tutu Center, Trust and Foundation
Developed an programmatic strategy consisting of engagement, teaching and research
Facilitated the acquiring of land and designing the Center's new building
Initiated a multi- million dollar capital campaign targeting diversified sources of revenues
Established partnerships with key stakeholders in the public, private and non-profit sectors
Executed a major overhaul in financial and human resource systems, management, personnel

Senior Strategy and Policy Director, World Commission on Dams 1998 – 2000
An innovative, independent, multi-stakeholder global initiative mandated to conduct the first ever worldwide review of the development effectiveness of large dams; to formulate international guidelines and criteria for sustainable water and energy resource management; and to identify good practices for governance, options assessment and decision-making in these areas.
Team leader in developing the \$7 million dollar work program of the Commission
Team leader of the largest ever cross-country survey research on the performance of large dams
Team leader and primary author of the Commission's final global report
Key strategist for overall strategy, stakeholder engagement and organizational development

SELECTED CONSULTING AND ADVISING EXPERIENCE

Transparency International	CIVICUS
United Nations Secretary General	World Bank
Business for Social Responsibility	African Development Bank
General Electric Corporation	Institute for State Effectiveness
Omidyar Network	Humanity United
Accountability	DFID
Chilean Business Association	Government of South Africa
ISEAL	IPCC
Global Reporting Initiative	Oxfam
Government of South Africa	World Vision
Government of India	WIEGO
Government of Brazil	Gates Foundaiton

EDUCATION

Ph.D. Political Science, Department of Political Science, Stanford University, defended 1998
M.A. Economics and Policy, Food Research Institute, Stanford University 1993
B.A. Development Studies, Self-Designed Interdisciplinary Major, Stanford University, 1990

SELECTED PUBLICATIONS AND WORK IN PROGRESS

- In Progress(a) Global Action Networks and the Future of the Planet, book project, contracted with Cornell University Press.
- In Progress(b) A Great Re-Transformation – Transnational Architectures of Economic Life, book project with Suzanne Shanahan, contracted with University of Minnesota Press..
- In Progress(c) Accountable Budgets, edited volume project with Archon Fung, contracted with Oxford University Press.
- In Progress(d) “Bridging Competitive Forces and Public Value: The Strategic Diamond for a Multi-Stakeholder Cross-Sector World,” to be submitted to *Academy of Management Executive*.
- 2010(a) (“Towards a Platinum Standard for Evidence-Based Assessment by 2020,” with Craig Thomas, *Public Administration Review*.)
- 2010(b) “Thinking About Knowing: Conceptual Foundations for Interdisciplinary Environmental Research, Environmental Conservation,” with Kimberly Cahill et al., in *Environmental Conservation*.
- 2009(a) Voices of the Vulnerable, lead author for a report of the Secretary General of the United Nations on the Impacts of the Global Economic Crisis on the Poor and Vulnerable.
- 2009(b) “Evidence for Development Effectiveness,” with Craig Thomas, Catrina Lucero and Subarna Mathes, in the *Journal of Development Effectiveness*, Vol. 1, No. 3, 247–270.
- 2009(c) “Global Health Governance: Towards Systemic Coherence to Scale Impact,” with Devi Shridhar and Tikki Pang, in *Global Health Governance*, Autumn.
- 2009(d) Seeding the Forest: The Role of Transnational Action in the Development of Meaningful International Cooperation and Leadership to Prevent Genocide,” with Horacio Trujillo, in *Politorbis Special Volume on Genocide Prevention*.
- 2008(a) The Transnational Studies Reader, co-edited volume with Peggy Levitt, New York: Routledge.
- 2008(b) “Towards A Interdisciplinary Field of Transnational Studies,” with Peggy Levitt, in The Transnational Studies Reader, New York: Routledge Press and Ludger Pries (ed.), Transnational Communities, New York: Routledge Press.

- 2008(c) “Transnational Transformations: From Government-Centric International Regimes to Multi-Actor, Multi-Level Global Governance?,” with Saleem Ali, in Ken Conca et al (eds.), Sustainable Global Governance, New York: Routledge Press (revised version forthcoming in *World Politics*).
- 2007(a) “Is Corporate Citizenship Making a Difference,” co-editor with Ralph Hamann and Maggie Opondo of a special volume of the *Journal of Corporate Citizenship*.
- 2007(b) “South Africa’s Mining and Finance Charters: Collaborative Governance or Hardball Bargaining?,” with Ralph Hamann and others, in *Journal of Southern African Studies*.
- 2007(c) “Multi-Stakeholder Global Networks: Emerging Systems for the Global Common Good,” with Steve Waddell, in Partnerships, Governance and Sustainable Development. Reflections on Theory and Practice, edited by P. Glasbergen, F. Biermann, and A. Mol: Edward Elgar Press (revised version forthcoming in *World Development*).
- 2006(a) “Possible Architectures of Global Governance,” *Global Governance*.
- 2006(b) “Environment and Security,” with Saleem Ali, *Annual Review of Environment and Resources*.
- 2006(c) “Dynamics of Corporate Responsibility,” with Suzanne Shanahan, in Gili Drori and John Meyer (eds.), Globalization and Organizations, Oxford: Oxford University Press (revised version forthcoming in *Business and Society*).
- 2006(d) “The Uses of GIS for Disaster Risk Management and Sustainable Development,” with Randall Kemp and Glenn Brooks in *Innovations in Technology and Governance*.
- 2005(a) “Inequality and Corruption,” with You Jong-Sung in *American Sociological Review*.
- 2005(b) “An Innovative Experiment in Global Governance: The World Commission on Dams,” in Ramesh Thakur, Andrew F. Cooper and John English (eds.); International Commissions and the Power of Ideas, Tokyo: United Nations University Press.
- 2004(a) Dams and Development: Transnational Struggles for Water and Power, Ithaca and London: Cornell University Press and Delhi: Oxford University Press.
- 2004(b) “For A Clearer Picture: Focus on the Brazilian Social Balance Sheet,” with Christin Hokenstad and Cecelia Arruda in *Harvard Business School Review* (Latin America Edition).
- 2003(a) “From Human Security and the Environment to Sustainable Security and Development,” with Dana Raad and William Clark in *Journal of Human Development*. Also published in Lincoln Chen et al (eds.), Human Insecurity in a Global World, Cambridge: Harvard University Press, 2004.
- 2003(b) “Neither Temples Nor Tombs – Global Experience and Evidence on the Performance of Large Dams.” *Environment*.
- 2002(a) Restructuring World Politics: Transnational Social Movements, Networks and Norms, co-edited volume with James V. Riker and Kathryn Sikkink, Minneapolis: University of Minnesota Press.
- 2002(b) “Introduction: From Santiago to Seattle,” with James V. Riker and Kathryn Sikkink, in Sanjeev Khagram, James V. Riker and Kathryn Sikkink, (eds.), Restructuring World Politics: Transnational Social Movements, Networks and Norms, Minneapolis: University of Minnesota Press.
- 2002(c) “Restructuring the Global Politics of Development: The Case of India’s Narmada Valley Dams,” in Sanjeev Khagram, Jim Riker and Kathryn Sikkink, (eds.), Restructuring World Politics: Transnational Social Movements, Networks and Norms, Minneapolis: University of Minnesota Press.
- 2001(a) “Seen, Rich, But Unheard: The Politics of Asian Indians in the United States,” with Manish Desai and Jason Varughese, in Gordon H. Chang, (ed.), Asian Americans and Politics: Perspectives, Experiences, Prospects, Stanford: Stanford University Press.

- 2001(b) “Activist-Researcher Collaborations on Transnational Civil Society,” with others, in L. David Brown (ed.), Practice-Research Engagement and Civil Society in a Globalizing World, Washington D.C.: Civicus World Alliance for Citizen Participation and Cambridge: Hauser Center for Non-Profit Organizations.
- 2000(a) “Globalization, NGOs, and Multisectoral Relations,” with L. David Brown, Mark H. Moore, and Peter Frumkin, in Joseph S. Nye and John D. Donahue, (eds.), Governance in a Globalizing World, Washington DC: Brookings Institution Press.
- 2000(b) “Toward Democratic Governance for Sustainable Development: Transnational Civil Society Organizing Around Big Dams,” in Ann M. Florini (ed.), The Third Force: The Rise of Transnational Civil Society, Tokyo: Japan Center for International Exchange and Washington DC: Carnegie Endowment for International Peace.

SELECTED REFERENCES

Practice:

Aron Cramer: President, Business for Social Responsibility
 Peter Eigen: Chairman, Extractive Industries Transparency Initiative
 Jendayi Frazer: former Assistant Secretary of State for Africa, U.S. Government
 Warren Krafchik: Executive Director, International Budget Partners
 Kumi Naidoo: Executive Director, Greenpeace International
 Ray Offenheiser: President of Oxfam America
 Robert Orr: Assistant Secretary General for Strategy, United Nations
 Iqbal Paroo: former President of Omidyar Foundation and Network
 Karen Tse: Executive Director, International Bridges to Justice
 Desmond Tutu: Archbishop Emeritus and Nobel Peace Prize Winner
 Paul Zeitz: Global Aids Alliance

Academic:

Alnoor Ebrahim, Professor of Business, Harvard Business School
 Archon Fung: Professor of Public Policy, Kennedy School of Government
 Joseph Nye, Jr.: Professor of Public Policy, Kennedy School of Government
 John Meyer: Professor Emeritus of Sociology, Stanford University
 Woody Powell: Professor of Education, Sociology and Business, Stanford University
 Balakrishnan Rajagopal: Professor of Law and Development, Massachusetts Institute of Technology
 S. Parasuraman: Professor and Director, Tata Institute of Social Sciences
 John Ruggie: Professor of Public Policy, Kennedy School of Government
 Saskia Sassen: Professor of Sociology, Columbia University
 Jan Aart Scholte: Professor of Civil Society and Global Governance, London School of Economics
 Ann Marie Slaughter: Dean of the Woodrow Wilson School, Princeton University

**Public Welfare Foundation
Grant
Consultant Bio –
David Bonbright**

David Bonbright

36 Crediton Road, London NW10 3DU, United Kingdom

david@keystoneaccountability.org

Tel (mobile): +44 773 403 7455

Summary:

David, a lawyer by training, is the chair of the board of CIVICUS: World Alliance for Citizen Participation and the founding chief executive of Keystone, an international charity dedicated to bringing constituency feedback to social change practice. In the early 1990s, he founded and led two award-winning African citizen sector resource centers, one relating to organizational and sectorial development (the Development Resources Centre, Johannesburg) and one relating to information and technology (SANGONeT, Johannesburg). As a grantmaker and executive with Aga Khan Foundation (1997-2004), Ashoka: Innovators for the Public (1994-1997), Oak Foundation (1988-90), and Ford Foundation (1983-87), David evolved and demonstrated citizen-based approaches to sustainable development as an alternative to prevailing bureaucratic, top-down models. A relentless system changer, his impact can be seen in organizations, communities and, in at least two countries, at the national level, with influence traceable across the world. Along the way, he has forged enduring networks and mobilized tens of millions of pounds.

Employment:

2004 – Co-Founder and Chief Executive, Keystone Accountability (London, New York, Cape Town)

Keystone is an innovation to transform the fields of social investing, philanthropy, sustainable development and humanitarian aid through systems of measurement and improvement driven by comparative feedback from intended beneficiaries and other constituents. www.KeystoneAccountability.org

1997 – 2004 Director: Civil Society Programmes, Aga Khan Foundation, Geneva

Responsible for developing strategy and providing leadership to the Foundation's programmes relating to institutional development and enhancing civil society. Led successful initiative to increase tax benefits for giving and establish the Pakistan Centre for Philanthropy, and created new forms of NGO capacity building and accountability in India, East Africa and Pakistan. www.akdn.org

1994 – 1997 Vice President, Ashoka: Innovators for the Public, Washington, DC

One of five members of the senior management team of this pioneering grantmaking and membership organization that operates as the first venture support firm for and professional association of the world's leading social entrepreneurs. Responsibilities included both overall management and a range of functional activities that cut across virtually every aspect of this organization, from selecting social entrepreneurs for Ashoka support, to building the global fellowship, to initiating special projects, to developing communications strategy and products, to fundraising and providing support to volunteers. www.ashoka.org

1990 – 1994 Founder and Executive Director, Development Resources Centre, Johannesburg
 Founder and Executive Director, SANGONeT, Johannesburg

Founded, directed, and handed over the leadership of these two South African citizen sector support organizations with a view to addressing several unmet needs for capacity development and information services. During his tenure these organizations became recognized as the pioneers and leading exemplars of a new set of institutions concerned with the citizen sector as a whole. SANGONeT brought the Internet to the development field in South Africa, and more importantly engaged the sector in an ongoing process of understanding and using information and communications technology as a tool to build a shared information base. Among other things, SANGONeT has been a leader in facilitating collaboration between NGOs and the post-*apartheid* democratic government. The Development Resources Centre, among other things, initiated a legal and policy reform process entitled the Independent Study into an Enabling Environment for NGOs that spawned six regional associations of nonprofits and South Africa's first national membership body, the South African NGO Coalition. After the first democratic election in 1994, Nelson Mandela's government took up the recommendations, with the result that two pieces of legislation were passed, one establishing a new registration and reporting system (The Nonprofit Organisations Act of 1997), and the Taxation Laws Amendment Act of 2000, which liberalized fiscal incentives for giving. David also initiated and co-chaired a series of meetings that led to (i) the establishment of the Southern African Grantmakers Association, the region's first association of grantmaking institutions; and (ii) the creation of a national learning network on participatory approaches to development, The Initiative for Participatory Development. www.sangonet.org.za

1988 – 90 Program Officer, Oak Foundation (UK) Ltd., London

Developed the principal grant program – focused on Southern Africa – of this new British family foundation. Sole manager of a grantmaking budget of \$5 million that concentrated on the needs of children and the AIDS crisis. Created management and grant administration systems and established the Harare office. www.oakfnd.org

1983 – 87 Assistant Program Officer/Program Officer, Ford Foundation, New York City

Developed and managed grants for South Africa and Namibia and served as liaison for other Africa grantmaking field officers in Eastern and Southern Africa, West Africa/Sahel, and West Africa. Directly responsible for grants totalling some \$12 million, involving over a hundred South African and Namibian nongovernmental human rights, education, church and development organizations engaged in promoting democracy during the final years of the apartheid era. www.fordfound.org

Education:

New York University School of Law (J.D., 1983)
 Princeton University (B.A., 1978, History)

Languages:

English: native
 Spanish: conversational

Selected Publications:

- **Measuring the Impact of Civic Engagement**, report published by The Alliance for Children and Families, funded by the WK Kellogg Foundation, (co-author)
- **Uses of Impact Evaluation Results**, InterAction Evaluation Guidance Note 4 (forthcoming)
- **Impact Evaluation for Development**, January 2011 (co-author)
- “Private Sector Metrics Contributions to Social Change: Customer Satisfaction meets Agriculture Development”, **IDS Bulletin (Volume 41)** November 2010 (lead author)
- **The 21st Century Potential of Constituency Voice: Opportunities for Reform in the United States Human Services Sector**, March 2009 (lead author)
- **Answering for Ourselves: Accountability for Citizen Organisations**, Background Paper for the CIVICUS World Assembly, May 2007 www.civicus.org
- **A Justice-Oriented Global Civil Society Infrastructure: Vision Or Illusion?**, Background Paper for the CIVICUS World Assembly, June 2006
- **Keystone Inception Report**, 2003 www.keystoneaccountability.org
- **Report of the Enabling Environment Initiative**, Pakistan Centre for Philanthropy, 2003 www.pcp.org.pk
- **Enhancing Indigenous Philanthropy for Social Investment**, A Report of The Initiative for Indigenous Philanthropy, Aga Khan Development Network, Pakistan, 2000 www.pcp.org.pk
- **Philanthropy in Pakistan**, Aga Khan Development Network, Pakistan, 2000 (editor) www.pcp.org.pk
- **Leading Public Entrepreneurs**, Ashoka: Innovators for the Public (1997) www.ashoka.org

Public Service:

- Board Chair, CIVICUS World Alliance for Citizen Participation (Board member 2007, elected Chair 2010) www.civicus.org
- Editorial Board, Alliance Magazine, London (since 2001, regular contributor and occasional guest editor) www.alliancemagazine.org
- Member of the Board, Constant Gardener Trust, London (2005-2010) www.tcgcharity.com
- Advisory Board, Global Giving (since 2009)
- Expert Reviewer, Social Innovation Fund, Corporation for National and Community Service (2010 and 2011)
- Advisor, Dalberg Global Development Advisors’ “Business Guide to Partnering with NGOs and the UN” (July 2007, co-author of preface to the Guide)
- International Advisory Board, Johns Hopkins University Comparative Nonprofit Sector Project (since 2002) <http://www.jhu.edu/~cnp/>
- Senior Fellow, Synergos (2003-2005) www.synergos.org
- Editorial Board, AccountAbility Forum, London (since 2004) www.accountability21.net
- Member of the Board, Allavida (UK), London (2002-2009) www.allavida.org
- Southern Africa Representative, Ashoka: Innovators for the Public (1989-1994)
- Founder and Member of the Board of the Development Resources Trust, Johannesburg (1991-1994)
- Founder and Member of the Board of SANGONeT, Johannesburg (1992-1994)
- Fellow, People-Centered Development Forum (1994-1996)
- Founding member of the Social Impact Analysts Association (since 2011)

Citizenship:

United States of America

United Kingdom of Great Britain

**Public Welfare Foundation
Grant, Data Collection
Project Milestones**



**LSC Data Collection and Reporting Project
Advisory Group Strategy Meeting
March 29, 2013**

Project Milestones

Activity	Description	Time Line
Landscape of the Field based on Secondary Data	Review of Background Literature and Documents.	January 2013
Individual calls with Advisory Group members	Solicit ideas, views, overview of the field and the work.	February – March 2013
Kick-Off Advisory Group meeting	Set the stage, map out the work plan, begin discussions, and build relationships.	March 2013
Review of LSC Systems	Landscape of data collection practices and data systems.	January – May 2013
Grantee and Field Interviews	Interviews with leading and innovative legal service providers.	April – May 2013
Grantee and Field Survey	Survey of LSC grantees and the field at large designed to introduce the project while soliciting current data collection practices, metrics used (and how used), desired data collection practices, and identification of innovative approaches.	June – July 2013
Client Engagement	Survey and interview clients of legal service providers with the aim of testing questions about the outcomes from their relationships and calibrating the effectiveness of current grantee data collection.	July 2013
Process Benchmarking	Group calls to surface best practices.	July 2013

Activity	Description	Time Line
Tool Development	Draft candidate tools and data collection approaches.	August - September 2013
Recruit Beta Testers	Recruit volunteers to field test potential tools through an iterative process of testing, tweaking, and re-testing.	September 2013
Round 1 Beta Testing	Volunteers will test potential tools.	October 2013 – January 2014
Mid-Term Advisory Group Meeting	Progress check and evaluation of project at in-person meeting.	November 2013
Review of Round 1 Beta Testing	Summary of work to date, draft case studies.	January – February 2014
Round 2 Beta Testing	Continue with Round 1 testers and open up tools for additional participant testing.	March – June 2014
Tools Write up	Compilation of findings and recommendations.	April - July 2014
Technical Assistance Proposal	Proposal for Phase 3 Technical Assistance project.	April - July 2014
Concluding Advisory Group Meeting	Final in-person Advisory Group Meeting.	July 2014

IV. Institutional Advancement Committee

INSTITUTIONAL ADVANCEMENT COMMITTEE

April 15, 2013

Agenda

OPEN SESSION

1. Approval of agenda
2. Approval of minutes of the Committee's open session meeting of January 26, 2013
3. Discussion of plans for LSC's 40th anniversary celebration
4. Discussion of fundraising objectives
5. Public comment
6. Consider and act on other business

CLOSED SESSION

1. Approval of minutes of the Committee's closed session meeting of January 26, 2013
2. Approval of minutes of the Committee's closed session meeting of February 13, 2013
3. Approval of minutes of the Committee's closed session meeting of February 26, 2013
4. Approval of minutes of the Committee's closed session meeting of March 12, 2013
5. Discussion of prospective funders for LSC's development activities
6. Discussion of prospective members of the honorary auxiliary group
7. Consider and act on adjournment of meeting

**Draft Minutes of the
Institutional Advancement
Committee Open Session
Meeting of January 26, 2013**

**Legal Services Corporation
Meeting of the Institutional Advancement Committee
Open Session
Saturday, January 26, 2013**

DRAFT MINUTES

Chairman John G. Levi convened an open session meeting of the Legal Services Corporation's ("LSC") Institutional Advancement Committee ("the Committee") at 8:06 a.m. on Saturday, January 26, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were present:

John G. Levi, Chairman
Martha L. Minow
Robert J. Grey Jr.
Charles N.W. Keckler
Father Pius Pietrzyk
Herbert S. Garten (Non-Director Member)
Thomas Smegal (Non-Director Member) (by telephone)
Frank B. Strickland (Non-Director Member)

Other Board members present:

Julie A. Reiskin
Gloria Valencia-Weber

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortuno	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Atitaya Rok	Staff Attorney, Office of Legal Affairs (by telephone)
Lynn Jennings	Vice President for Grants Management
David Richardson	Treasurer/Comptroller
Jeffrey Schanz	Inspector General
Ronald "Dutch" Merryman	Assistant Inspector General for Audit, Office of the Inspector General (OIG)
Thomas Coogan	Assistant Inspector General for Investigations, OIG
Carol Bergman	Director, Office of Government Relations and Public Affairs (GRPA)
Chuck Greenfield	National Legal Aid and Defender Association (NLADA)
Don Saunders	NLADA
Terry Brooks	American Bar Association

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Levi called the meeting of the Committee to order.

MOTION

Mr. Keckler moved to approve the agenda. Mr. Grey seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Mr. Keckler moved to approve the minutes of the Committee's closed session meeting of September 30, 2012. Mr. Keckler seconded the motion.

VOTE

The motion passed by voice vote.

President Sandman reported on the status of recruiting a Chief Development Officer. The Committee next discussed its evaluation for 2012 and goals for 2013. Chairman Levi then led a discussion on plans for LSC's 40th anniversary celebration in 2014.

Chairman Levi solicited public comment and received none. There was no new business to consider.

The Committee moved into closed session at 8:32 a.m.

**Draft Minutes of the
Institutional Advancement
Committee Closed Session
Meeting of January 26, 2013**

**Legal Services Corporation
Meeting of the Institutional Advancement Committee
Closed Session
Saturday, January 26, 2013**

DRAFT MINUTES

Chairman John G. Levi convened a closed session meeting of the Legal Services Corporation's ("LSC") Institutional Advancement Committee ("the Committee") at 8:35 a.m. on Saturday, January 26, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were present:

John G. Levi, Chairman
Martha L. Minow
Robert J. Grey Jr.
Charles N.W. Keckler
Father Pius Pietrzyk
Herbert S. Garten (Non-Director Member)
Thomas Smegal (Non-Director Member) (by telephone)
Frank B. Strickland (Non-Director Member)

Other Board members present:

Julie A. Reiskin
Gloria Valencia-Weber

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortuno	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Atitaya Rok	Staff Attorney, Office of Legal Affairs (by telephone)
Lynn Jennings	Vice President for Grants Management
Carol Bergman	Director, Office of Government Relations and Public Affairs (GRPA)
Chuck Greenfield	National Legal Aid and Defender Association (NLADA)
Don Saunders	National Legal Aid and Defender Association (NLADA)
Terry Brooks	American Bar Association

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Levi called the meeting to order.

MOTION

Dean Minow moved to approve the minutes of the Committee's closed session meeting of September 30, 2012. Mr. Keckler seconded the motion.

VOTE

The motion passed by voice vote.

The Committee discussed prospective funders for LSC's development activities and for implementing the Pro Bono Task Force report.

MOTION

Father Pius moved to adjourn the meeting. Dean Minow seconded the motion.

VOTE

The motion passed by voice vote.

The closed session meeting of the Committee adjourned at 8:45 a.m.

**Draft Minutes of the
Institutional Advancement
Committee Closed Session
Meeting of February 13, 2013**

**Legal Services Corporation
Meeting of the Institutional Advancement Committee
Closed Session
Wednesday, February 13, 2013**

DRAFT MINUTES

Chairman John G. Levi convened a closed session telephonic meeting of the Legal Services Corporation's ("LSC") Institutional Advancement Committee ("the Committee") at 4:02 p.m. on Wednesday, February 13, 2013. The meeting was held at the F. William McCalpin Conference Center, Legal Services Corporation Headquarters, 3333 K Street, NW, Washington, D.C. 20007.

The following Committee members were present:

John G. Levi, Chairman
Charles N.W. Keckler
Father Pius Pietrzyk
Herbert S. Garten (Non-Director Member)
Thomas Smegal (Non-Director Member)
Frank B. Strickland (Non-Director Member)

Other Board members present by telephone:
None

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortunio	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Atitaya Rok	Staff Attorney, Office of Legal Affairs
Jeffrey E. Schanz	Inspector General
Leo Latz	Latz & Wall (by telephone)

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Levi called the meeting of the Committee to order.

Mr. Latz gave a presentation on and the Committee discussed prospective funders for LSC's development activities and 40th anniversary celebration.

MOTION

Mr. Strickland moved to adjourn the meeting. Mr. Smegal seconded the motion.

VOTE

The motion passed by voice vote.

The closed session meeting of the Committee adjourned at 4:33 p.m.

**Draft Minutes of the
Institutional Advancement
Committee Closed Session
Meeting of February 26, 2013**

**Legal Services Corporation
Meeting of the Institutional Advancement Committee
Closed Session
Tuesday, February 26, 2013**

DRAFT MINUTES

Chairman John G. Levi convened a closed session meeting of the Legal Services Corporation's ("LSC") Institutional Advancement Committee ("the Committee") at 4:05 p.m. on Tuesday, February 26, 2013. The meeting was held at the F. William McCalpin Conference Room, LSC Headquarters, 3333 K Street, NW, Washington D.C. 20007.

The following Committee members were present:

John G. Levi, Chairman
Charles N.W. Keckler
Father Pius Pietrzyk
Herbert S. Garten (Non-Director Member)
Frank B. Strickland (Non-Director Member)

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortunato	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Atitaya Rok	Staff Attorney, Office of Legal Affairs (by telephone)
Jeffrey Schanz	Inspector General

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Levi called the meeting of the Committee to order.

The Committee discussed prospective funders for LSC's development activities and for the 40th anniversary celebration.

MOTION

Mr. Keckler moved to adjourn the meeting. Father Pius seconded the motion.

VOTE

The motion passed by voice vote.

The closed session meeting of the Committee adjourned at 4:39 p.m.

**Draft Minutes of the
Institutional Advancement
Committee Closed Session
Meeting of March 12, 2013**

**Legal Services Corporation
Meeting of the Institutional Advancement Committee
Closed Session
Tuesday, March 12, 2013**

DRAFT MINUTES

Chairman John G. Levi convened a closed session meeting of the Legal Services Corporation's ("LSC") Institutional Advancement Committee ("the Committee") at 4:05 p.m. on Tuesday, February 26, 2013. The meeting was held at the F. William McCalpin Conference Room, LSC Headquarters, 3333 K Street, NW, Washington D.C. 20007.

The following Committee members were present:

John G. Levi, Chairman
Charles N.W. Keckler
Robert J. Grey, Jr.
Frank B. Strickland (Non-Director Member)
Tom Smegal (Non-Director Member)

Other Board Members present:

Julie A. Reiskin

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortunato	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Atitaya Rok	Staff Attorney, Office of Legal Affairs (by telephone)
Jeffrey Schanz	Inspector General

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Levi called the meeting of the Committee to order.

The Committee discussed prospective funders for LSC's development activities and for the 40th anniversary celebration.

MOTION

Mr. Strickland moved to adjourn the meeting. Mr. Keckler seconded the motion.

VOTE

The motion passed by voice vote.

The closed session meeting of the Committee adjourned at 4:39 p.m.

V. Promotion & Provision Committee

**PROMOTION AND PROVISION FOR THE DELIVERY OF
LEGAL SERVICES COMMITTEE**

April 15, 2013

Agenda

Open Session

1. Approval of Agenda
2. Approval of minutes of the Committee's meeting of January 25, 2013
3. Discussion of Committee's evaluations for 2012 and the Committee's goals for 2013
4. Presentation of the District of Columbia Neighborhood Legal Services Program
5. Panel Presentation on using assessments of legal needs of the low income population to set priorities for the work of legal services programs
6. Public comment
7. Consider and act on other business
8. Consider and act on motion to adjourn the meeting

**Draft Minutes of the
Promotion & Provision
Committee Open Session
Meeting of January 25, 2013**

**Legal Services Corporation
Meeting of the Promotion and Provision for the Delivery of
Legal Services Committee
Open Session
Friday, January 25, 2013**

DRAFT MINUTES

Chair Laurie I. Mikva convened an open session meeting of the Legal Services Corporation's ("LSC") Promotion and Provision for the Delivery of Legal Services Committee ("the Committee") at 4:10 p.m. on Friday, January 25, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were present:

Laurie I. Mikva, Chair
Sharon L. Browne (by telephone)
Victor B. Maddox
Father Pius Pietrzyk
Julie A. Reiskin
John G. Levi, *ex officio*

Other Board members present:

Robert J. Grey, Jr.
Martha L. Minow
Charles N.W. Keckler
Gloria Valencia-Weber

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor Fortunato	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Mark Freedman	Senior Assistant General Counsel, Office of Legal Affairs
Lynn Jennings	Vice President for Grants Management
David Richardson	Comptroller/Treasurer
Jeffrey Schanz	Inspector General
Glenn Rawdon	Program Counsel, Office of Program Performance
Carol Bergman	Director, Office of Government Relations and Public Affairs (GRPA)
Carl Rauscher	Director of Media Relations, GRPA
Marcos Navarro	GRPA

Janet LaBella	Director, Office of Program Performance
Herbert Garten	Non-Director Member, LSC Institutional Advancement Committee
Frank Strickland	Non-Director Member, LSC Institutional Advancement Committee
John Asher	Executive Director, Colorado Legal Services
David Pantos	Executive Director, Legal Aid of Nebraska
Rhodia Thomas	Executive Director, MidPenn Legal Services
Patricia Pap	Executive Director, Management Information Exchange
Don Saunders	National Legal Aid and Defenders Association (NLADA)
Terry Brooks	American Bar Association Standing Committee on Legal Aid and Indigent Defendants (SCLAID)

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Mikva called the meeting to order.

MOTION

Mr. Maddox moved to approve the agenda. Ms. Reiskin seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Ms. Reiskin moved to approve the minutes of the Committee's October 1, 2012 meeting. Mr. Maddox seconded the motion.

VOTE

The motion passed by voice vote.

Chairman Mikva welcomed the panel presenting on succession planning and leadership development, and she introduced Ms. Pap who then introduced the rest of the panel members: Mr. Asher, Mr. Pantos, and Ms. Thomas.

Ms. Pap began the presentation by providing background on succession planning. Mr. Pantos discussed in greater detail how grantees can prepare for effective leadership transitions in both emergency and planned situations. Mr. Pantos, Ms. Thomas and Mr. Asher each described their experiences with becoming program executive directors and how they address challenges in capturing and preserving the knowledge and experience of both staff and board members who were departing. Ms. Pap noted the Management Information Exchange has resources available on succession planning. The Committee members commented on the presentations and asked questions.

Chairman Mikva invited public comment and received none.

There was no new business to consider.

The discussion on the Committee's evaluation for 2012 and goals for 2013 was deferred to a later meeting.

MOTION

Mr. Maddox moved to adjourn the meeting. Father Pius seconded the motion.

VOTE

The motion passed by voice vote.

The meeting of the Committee adjourned at 5:21 p.m.

Committee Evaluation

2012 PROMOTION AND PROVISIONS COMMITTEE EVALUATIONS

Members provided very mixed reviews, citing concerns that the Committee doesn't take action, that panels are too large with no time for discussion, minutes don't reflect action items, lack of progress on long-term strategic issues, and a lack of alignment between the committee's goals and actions taken.

Members Liked:

- Opportunity to meet people;
- Panels interesting and informative;
- Meeting with various members of LSC community; hear expertise;
- Panel presentations outstanding; and
- Effective as way for Board to learn about grantees.

Ideas for Improvement Include:

- Smaller panels; more time for deliberation;
- Need to identify specific issues to be studied and make recommendations;
- Need to do more than have panel presentations;
- More active role in making suggestions for future; and
- More input from committee members regarding the agenda.

Future:

- How to maximize representation in court and reduce spending on other activities;
- Focus on Pro Bono Task Force;
- Study feasibility of reactivating Reggie Fellowships; and
- Responsibility for implementing parts of Pro Bono Task Force report and Strategic Plan.

Local Panelists Bios

LSC Board Meeting—April 2013
Promotion and Provision for the Delivery of Legal Services Committee
Neighborhood Legal Services Program of Washington, DC Presentation

Hannah Lieberman joined Neighborhood Legal Services Program of Washington, D.C. in March, 2012 as its Executive Director. Over the preceding four years, she worked as a consultant to legal services programs, their funders and national organizations, focusing on strengthening advocacy, strategic planning, training and evaluation. During her consultant years, she also served as the Interim Director of Advocacy and Special Litigation for Legal Services NYC – Bronx. Between 1998 and 2008, Hannah was the Deputy Executive Director and Director of Advocacy of the Legal Aid Bureau, Inc., Maryland’s statewide legal services program. From 1992 to 1998, she served as the Director of Advocacy for Community Legal Services (CLS) in Arizona. Before she joined CLS, Hannah was a litigation partner in the Washington, DC law firm of Shaw Pittman Potts & Trowbridge.

Nakia Waggoner has been a Managing Attorney at the Neighborhood Legal Services Program since August 2010. She started at Neighborhood Legal Services as a Westwood Fellow in 2006 and became a Staff Attorney in 2007. Nakia’s primary area of focus is housing law, and she represents both tenant associations and individuals. Nakia has appeared as lead counsel in eviction and foreclosure cases in D.C. Superior Court, the U.S. District Court for the District of Columbia and the D.C. Court of Appeals. Nakia currently manages the Brief Services Unit (BSU), which consists of two “triage” attorneys, and supervises NLSP’s two rotating associates from Covington & Burling, LLP, who provide extended services to NLSP clients. Nakia graduated from The David A. Clarke School of Law of the University of the District of Columbia. While in law school, Nakia served as an editor on the school’s law review and as National Convention Coordinator for the National Black Law Students Association. Prior to law school, Nakia worked at the U.S. Environmental Protection Agency in the Office of Environmental Justice.

Heather L. Hodges joined Neighborhood Legal Services Program in 2010 as Pro Bono Counsel after a decade in private practice with the law firms of Arnold & Porter LLP and Crowell & Moring LLP. In private practice, Heather had an extremely active pro bono practice focused on affordable housing, employment law, family law, immigration and international human rights issues. She is now responsible for marshaling the volunteer resources of government attorneys, the private bar and area law schools to help NLSP’s clients. Heather also conducts legal literacy programs for low-income District residents and manages NLSP’s multiple, community partnerships. She was the recipient of a 2010-2011 Women’s Law and Public Policy Fellowship from Georgetown Law School, which is awarded to public interest lawyers who are committed to advancing women’s rights throughout their careers. Heather is also on the Board of Directors of the Women’s Bar Association of the District of Columbia and formerly served on the boards of the D.C. Bilingual Public Charter School and CentroNia, a family and educational services provider.

Assessment Panelist Bios

LSC Board Meeting—April 2013
Promotion and Provision for the Delivery of Legal Services Committee
Legal Needs Assessments and Priority Setting Panel Presentation Bios

Hannah Lieberman joined Neighborhood Legal Services Program of Washington, D.C. in March, 2012 as its Executive Director. Over the preceding four years, she worked as a consultant to legal services programs, their funders and national organizations, focusing on strengthening advocacy, strategic planning, training and evaluation. During her consultant years, she also served as the Interim Director of Advocacy and Special Litigation for Legal Services NYC – Bronx. Between 1998 and 2008, Hannah was the Deputy Executive Director and Director of Advocacy of the Legal Aid Bureau, Inc., Maryland’s statewide legal services program. From 1992 to 1998, she served as the Director of Advocacy for Community Legal Services (CLS) in Arizona. Before she joined CLS, Hannah was a litigation Partner in the Washington, DC law firm of Shaw Pittman Potts & Trowbridge.

Raun Rasmussen was named Executive Director of Legal Services NYC in June, 2011. He has been a member of the LS-NYC family for over 25 years, serving as LS-NYC’s Chief of Litigation and Advocacy since 2003. As such, he directed the LS-NYC Legal Support Unit, which provides litigation and advocacy leadership and support, training, coordination and assistance to legal services providers across New York City. Raun began his career as a housing attorney at South Brooklyn Legal Services. He later became SBLS’s Director of Litigation, supporting the development of affirmative litigation, helping to develop a highly successful foreclosure prevention project designed to combat predatory lending practices, and creating and supervising the Child Care Network Support Project, which continues to provide legal services and training to home-based child care providers. Mr. Rasmussen has written numerous articles on residential displacement, foreclosure-related issues, ethics, affirmative litigation and child care work. Mr. Rasmussen holds a B.A. from Amherst College and a J.D. from Harvard Law School.

Jeanne Philips-Roth has been the Associate Director for Client Services at Legal Services of Eastern Missouri (LSEM) since September 2009. LSEM serves 21 counties, with its main office in St. Louis, Missouri. She assists the Executive Director in various ways, including supervising the managing attorneys of LSEM’s substantive legal programs and its rural branch offices, and working on a variety of projects that impact the agency as a whole such as strategic planning, needs assessment/priorities setting process, and program evaluation. She served as Director of Special Projects at LSEM, principally serving clients who were HIV+ from 1991-2002, and worked in development for legal aid entities in Ohio from 2002-2009. Jeanne also practiced at two large private law firms, Cahill Gordon and Reindel in New York City and Thompson Coburn in St. Louis, in the areas of commercial and securities litigation. She clerked for the late Chief Judge Lawrence H. Cooke, of the New York Court of Appeals after graduating from Fordham Law School in 1983.

Mary Deutsch Schneider has been the executive director of Legal Services of Northwest Minnesota (LSNM) for 22 years. Before coming to LSNM, Mary managed legal services in the eastern half of North Dakota where she also did statewide, federal and appellate litigation. Mary has served in past leadership roles on various state and national legal committees and task forces, including: President, 10-state Midwest Legal Services Project Directors Association; American Bar Association House of Delegates Representative from Minnesota; President, Clay County Bar Association; Minnesota State Bar Association (MSBA) Assembly Representative; and Co-Chair of the MSBA's Legal Assistance to the Disadvantaged Committee and Civil Gideon Task Force. She is a charter member of the National Coalition for a Civil Right to Counsel and is a member of its Steering Committee. Mary received her Juris Doctor (law degree) in 1979 from Emory University in Atlanta and her L.L.M in International Human Rights Law in 2005 from the Irish Centre for Human Rights at the National University of Ireland, Galway.

Suggested Topics for Future Committee Meetings

Suggested Topics for Future Promotion and Provision for the Delivery of Legal Services Committee Meetings

A. Top Tier—Topics directly related to LSC’s Strategic Plan 2012-2016

1. Legal Needs Assessments and Priority Setting

Comprehensive assessments of legal problems and needs of the low income population in the service area inform and help prioritize the work of legal services programs. Effective legal needs assessments typically use a variety of methods for obtaining the views of those eligible for services and of community and state justice partners, and use a variety of tools to analyze relevant census, economic and demographic data. 45 C.F.R. Part 1620 requires LSC grantee governing bodies to adopt procedures for establishing priorities that include “an effective appraisal of the needs of eligible clients” and to adopt a written statement of priorities that are reviewed annually. This topic directly relates to LSC’s primary goal in its Strategic Plan 2012-2016, “to maximize the availability, quality, and effectiveness of the civil legal services” provided by its grantees. Dissemination of the board presentation would also promote Initiative One, “Identify, promote, and spread best practices in meeting the civil legal needs of the poor.”

2. Strategic planning in times of funding cutbacks

Because of funding reductions, many grantees are laying off staff, and some are closing offices. Engagement in strategic planning helps guide decisions about what to cut and how programs can best use their limited resources effectively and efficiently. This topic encompasses best practices in strategic planning for hard choices. It also includes consideration of the pitfalls of implementing funding reductions without sufficient planning. This topic directly relates to LSC’s primary goal in its Strategic Plan 2012-2016, “to maximize the availability, quality, and effectiveness of the civil legal services” provided by its grantees. Dissemination of the board presentation would also promote Initiative One, “Identify, promote, and spread best practices in meeting the civil legal needs of the poor.”

3. Grantee use of data

Data are important to demonstrate the effectiveness of legal services programs in meeting the needs of their clients and to guide resource-

allocation and management decisions. Good data collection and analysis can track and measure the outcomes of services provided, quantify the value of benefits obtained by clients, track staff productivity, and assess program performance in achieving strategic goals. This topic encompasses a review of the different ways in which program leaders are using data to manage better. This topic directly relates to LSC's primary goal in its Strategic Plan 2012-2016, "to maximize the availability, quality, and effectiveness of the civil legal services" provided by its grantees. It directly addresses Initiative Two as well, "Develop meaningful performance standards and metrics". Dissemination of the board presentation would also promote Initiative One, "Identify, promote, and spread best practices in meeting the civil legal needs of the poor."

4. Client satisfaction feedback and its use

Programs should have effective methods to elicit clients' assessments of their experiences with the programs' services – everything from the intake process through the result achieved. This topic includes how best to gather client feedback and how to use that feedback to improve program quality. This topic relates to LSC's primary goal in its Strategic Plan 2012-2016, "to maximize the availability, quality, and effectiveness of the civil legal services" provided by its grantees. Dissemination of the board presentation would also promote Initiative One, "Identify, promote, and spread best practices in meeting the civil legal needs of the poor."

5. Recruitment and retention of quality staff

High-quality legal services programs need to be able to recruit and retain high-quality lawyers. Low salaries, challenging working conditions, and stressful, high-stakes caseloads can make recruitment and retention difficult. This topic considers best practices for attracting, developing, and keeping good lawyers in civil legal services. This topic relates to LSC's primary goal in its Strategic Plan 2012-2016, "to maximize the availability, quality, and effectiveness of the civil legal services" provided by its grantees. Dissemination of the board presentation would also promote Initiative One, "Identify, promote, and spread best practices in meeting the civil legal needs of the poor."

B. Second Tier

6. Geographic information system (GIS) mapping as tool for service delivery assessment

GIS mapping is a useful tool for displaying the distribution of services actually delivered throughout a grantee's service area, for identifying demographic trends, and for tracking pro bono opportunities. This topic encompasses the use of GIS mapping as a management tool by LSC grantees. This topic relates to LSC's primary goal in its Strategic Plan 2012-2016, "to maximize the availability, quality, and effectiveness of the civil legal services" provided by its grantees. Dissemination of the board presentation would also promote Initiative One, "Identify, promote, and spread best practices in meeting the civil legal needs of the poor."

7. Report on staff assessment of TIG program

Since LSC's Technology Initiative Grant program started in 2000, LSC has made over 500 grants totaling more than \$40 million. LSC has assessed the results of each grant individually. TIG staff is now embarking on an assessment of the effectiveness of TIG projects as a whole in advancing the use of technology to deliver civil legal services. This topic encompasses a report on the staff's findings.

8. TIG priorities for the current and upcoming grant cycles

For each TIG funding cycle, LSC identifies areas of interest as priorities for funding. Recently, these have included Key Initiatives from LSC's 2012-2013 Technology Summit (Document Assembly, Remote Service Delivery, Mobile Technologies, Expert Systems and Checklists, and Triage), Grantee use of Data, Increasing Pro Bono and Law Student Involvement, and Technology applicable to Federal Laws. The topic encompasses how LSC selects areas of interest, why these areas have been targeted and suggestions for future areas of interest.

C. Topics Recently Covered

1. Legal Service Delivery in Rural Areas—January 2012

Legal services delivery in rural areas encounter special challenges due to the size of the service areas, distances between offices and remoteness of client populations. This topic covers remote supervision/quality assurance in the rural context, examples of challenges of rural poverty and strategies most

likely to have a lasting and positive impact on clients' lives and effective models of pro bono delivery in a rural context.

2. Resource development best practices—July 2012

Diversification and expansion of revenue sources is essential to programs in times of government funding uncertainties. Many grantees have mounted successful development initiatives. This topic covers best practices in development for LSC grantees. It will also explore lessons learned from programs' on-the-ground fundraising experiences.

3. Grantee use of technology—October 2012

The use of technology varies widely among grantees. Some are leaders and innovators; others have not yet adopted available technology. Effective use of technology can promote program efficiency, expand access to services, and improve program quality. This topic will explore the benefits and costs of technology and the impediments to its adoption.

4. Succession planning and leadership development—January 2013

Many LSC-funded programs have very experienced leaders who, in the coming years, will be transitioning out of their current positions. Good management practices call for the development and implementation of a plan for orderly succession in executive director and other senior management positions. This topic encompasses the process of planning for transition and developing the next generation of leaders.

VI. Audit Committee

AUDIT COMMITTEE

April 15, 2013

Agenda

OPEN SESSION

1. Approval of agenda
2. Approval of minutes from the January 26, 2013 meeting
3. Quarterly review of 403(b) plan performance
4. Briefing by Inspector General
 - Jeff Schanz, Inspector General
5. Reports on audits and implementation of findings and recommendations made by the OIG and external auditors, and compliance with the restrictions of 45 CFR Part 1612
 - Jim Sandman, President
 - David Richardson, Treasurer/Comptroller
 - Lora Rath, Director of Compliance and Enforcement
6. Discussion regarding future Management process reports
7. Public comment
8. Consider and act on other business
9. Consider and act on motion to adjourn the meeting

CLOSED SESSION

10. Briefing on Insurance Coverage

- David Richardson, Treasurer/Comptroller

**Draft Minutes of the Audit
Committee Open Session
Meeting of January 26, 2013**

**Legal Services Corporation
Meeting of the Audit Committee
Open Session
Saturday, January 26, 2013**

DRAFT MINUTES

Chairman Victor B. Maddox convened an open session meeting of the Legal Services Corporation's ("LSC") Audit Committee ("the Committee") at 9:19 a.m. on Saturday, January 26, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were in attendance:

Victor B. Maddox, Chairman
Harry J. F. Korrell, III
Gloria Valencia-Weber
David Hoffman (Non-Director Member) (by telephone)
Paul L. Snyder (Non-Director Member) (by telephone)

The following Board members were present:

Robert J. Grey, Jr.
Laurie Mikva
Martha L. Minow
Father Pius Pietrzyk
Julie A. Reiskin

Also in attendance were:

James Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortunato	Vice President for Legal Affairs, General Counsel & Corporate Secretary
David L. Richardson	Treasurer and Comptroller
Bernie Brady	LSC Travel Coordinator
Jeffrey E. Schanz	Inspector General
Ronald "Dutch" Merryman	Assistant General Inspector General for Audit
Glenn Rawdon	Program Counsel, Office of Program Performance
Carol Rauscher	Director of Media Relations, Office of Government Relations and Public Affairs
Janet LaBella	Director, Office of Program Performance
Herbert S. Garten	Institutional Advancement Committee (Non-Director Member)
Frank B. Strickland	Institutional Advancement Committee (Non-Director Member)

Allan J Tanenbaum
Nancy Davis
Terry Brooks

Non-Director Member of LSC's Finance Committee
WithumSmith+Brown (by telephone)
American Bar Association

The following summarizes actions taken by and presentations made to the Committee:

Chairman Maddox called the meeting to order.

MOTION

Mr. Korrell moved to approve the agenda. Professor Valencia-Weber seconded the motion.

VOTE

The motion was approved by a voice vote.

MOTION

Mr. Snyder moved to approve the minutes of the Committee's September 30, 2012 meeting. Mr. Korrell seconded the motion.

VOTE

The motion passed by a voice vote.

Mr. Merryman introduced Nancy Davis, of WithumSmith+Brown, who presented the results of LSC's Fiscal Year 2012 Annual Financial Audit.

Mr. Richardson presented LSC's Form 990 for Fiscal Year 2012 and fielded Committee members' questions and comments.

Inspector General Schanz and Mr. Merryman deferred briefing by the Office of the Inspector General to the open session of the Board meeting, but they answered questions from Committee members who would not be able to participate in the Board meeting.

Chairman Maddox next led the discussion on the Committee's evaluation for 2012 and goals for 2013. The Committee agreed to discuss improving grantee internal controls at a later meeting.

Chairman Maddox invited public comment and received none. There was no new business to consider.

MOTION

Professor Valencia-Weber moved to adjourn the meeting. Mr. Korrell seconded the motion.

VOTE

The motion passed by a voice vote.

The meeting of the Committee adjourned at 10:25 a.m.

403(b) Plan Performance Memorandum

OFFICE OF HUMAN RESOURCES

MEMORANDUM

TO: The Audit Committee
FROM: Traci L. Higgins
DATE: March 26, 2013
SUBJECT: LSC 403(b) Thrift Plan – 1st Quarter 2013 Update

403 (b) Plan Performance

LSC's funds have continued to perform well, with 21 of the 25 funds posting first quarter returns ranging from 2.22% to 9.83% through February 28, 2013. (Returns through March 31st will be available the second week of April.) Three of the 4 underperforming funds are bond funds, a sector currently experiencing difficulty due to rising interest rates. The fourth fund is the Oppenheimer Developing Marketing fund (.91%), which still has a five-year ranking within the top 2% of funds in its category. Fourteen of the 25 LSC funds have YTD returns over 3.5%. Prudential Jennison Natural Resources, one of two funds on our "watch list," last quarter had a negative YTD return (-10.58%). It now has returned to positive territory, posting a YTD return of 2.01%. The second fund on the watch list, Lord Abbett Value Opportunities, a fund in the mid-cap blend category, posted a YTD return of 9.07%.

Proposed 403 (b) Fund Swap

AUL recently advised us of the availability of a lower cost alternative for our Oppenheimer Developing Markets fund. AUL suggests that we replace our current fund, which has an expense ratio of 1.30%, with another Oppenheimer Developing Markets fund with a lower share class and an expense ratio of 1.03%. We are considering this recommendation.

403 (b) Plan Distributions

There was no notable distribution activity.

Please let me know if you have any questions or require additional information.

Audit Recommendations Review

FINANCIAL & ADMINISTRATIVE SERVICES

MEMORANDUM

TO: Victor B. Maddox, Audit Committee Chairman

FROM: David L. Richardson, Treasurer/ Comptroller *dlr*

DATE: March 26, 2013

SUBJECT: Audit Recommendations Review

During our annual audit, the auditors noted that we needed to strengthen our internal controls regarding our check voiding processes. The complete list of WithumSmith+Brown recommendations is as follows:

- Prepare detailed written guidance on the steps needed to void a check in the accounting system;
- Establish procedures to ensure that voided checks are recorded into the accounting system prior to the end of an accounting period;
- Print a check register report to be used in conjunction with the bank register process to ensure that a check numbers, dates, payees, and amounts are correct on the bank reconciliation;
- Establish procedures to capture the date checks were mailed (such as a check log), especially at year end, to ensure that held checks (checks written but not yet mailed), can be properly accounted for; and
- Explore the feasibility of using SunSystems bank reconciliation module, or another third party bank reconciliation module that will work with SunSystems, to streamline the bank reconciliation process.

In response to the auditor's recommendation, we have reviewed our procedures and have implemented the following changes:

1. We have established procedures on the steps needed to voiding check in the accounting system.

2. When a check is not mailed because a request has been made to hold it, it will be voided in the month issued. When the hold has been removed, a new check will be issued and charged to the issuing period. If the check is released within a short period after the end of the month, instead of voiding it, an adjusting journal entry will be made to increase the cash and payables accounts to reflect the correct balances for the period as if the checks had not been issued.
3. When a direct deposit for a grant payment is returned, the payment will be voided in the month issued, and a replacement check will be issued. If the general ledger period has been closed when the return notification is received, the payment will be voided in the next period, a check will be issued, and we will follow-up with the grantee to correct banking information. This general entry will be reversed in the next period to properly reflect the cash and payable balances.
4. Normally, checks are issued on Wednesday afternoon and delivered or mailed on Friday. We will not be issuing checks on Wednesday when Thursday or Friday falls into the next month, or if we foresee that checks will not be mailed or delivered until the first few days of the next month. This revised procedure will further protect us from having to void checks or make journal entries for checks not mailed within the month, protect the integrity of our cash balances, and make the bank reconciliation process easier because there should be fewer checks outstanding.

These revisions will be reflected in our Account Procedures Manual and a review will be conducted each year to ensure compliance with the procedures. The review will be documented in a memo to the file and made available to the auditors.

For the other recommendations, we already have established procedures in place. Specifically, we print a check register report and use it in conjunction with the bank register process, and we have a check log that captures the date a check was mailed. The system requirements for voiding a check are in place. I will be conducting training during the year as part of our risk management process to ensure that we are following our established procedures. Finally, we are exploring using the SunSystems bank reconciliation module, or another third party bank reconciliation module that will work with SunSystems.

Internal Management Processes

Audit Committee - Major Internal Management Processes

Briefing	Presenter	Date/Location	Next Proposed Date
Internal controls associated with grant awards, and TIG grants management process and awards	Karen Sarjeant, Janet LaBella and Glenn Rawdon	July 2010; Milwaukee, WI	Oct-13
Timeliness of OCE and OPP Program Visit Reports		July 2010; Milwaukee, WI	once a year beginning -- Jul-13
Internal financial controls	David Richardson	October 2010; Louisville, KY	Oct-15
Timeliness of OCE and OPP Program Visit Reports		October 2010; Louisville, KY	
Accuracy of grantee data	John Meyer	January 2011; Washington, DC	Apr-14
Technology Security	Jeff Morningstar	April 2011; Washington, DC	Apr-15
Oversight of grantee compliance	Lora Rath	July 2011; Seattle, WA	Jan-14
Procurement and Contracting Procedures	David Richardson	October 2011; Chicago, IL	Jan-15
Quality Evaluation program visits	Janet LaBella	January 2012; San Diego, CA	Oct-14
Business Travel Policies and Authorities	David Richardson	April 2012; Washington, DC	Jul-15
Insurance Coverage	David Richardson	April 2013; Washington, DC	Oct-15
PROPOSED TOPICS			
Congressional & Government Agency Correspondence & Public Affairs	Carol Bergman		Jul-13
Inventory Control	David Richardson		Oct-15
Risk Assessment & Monitoring- GRPA	Carol Bergman		Jul-13
Risk Assessment & Monitoring- OPP	Janet LaBella		Oct-13
Risk Assessment & Monitoring- OCE	Lora Rath		Jan-14
Risk Assessment & Monitoring- OFAS	David Richardson		Jul-14
Risk Assessment & Monitoring- EXEC	Richard Sloane		Jan-14
Risk Assessment & Monitoring- OIM	John Meyer		Apr-14
Risk Assessment & Monitoring- OIT	Peter Campbell		Apr-15

VII. Finance Committee

FINANCE COMMITTEE

April 15, 2013

Agenda

OPEN SESSION

1. Approval of agenda
2. Approval of the minutes from the January 26, 2013 meeting
3. Consider and act on the Consolidated Operating Budget for FY 2013 and recommend **Resolution 2013-XXX** to the full Board
 - David Richardson, Treasurer/Comptroller
4. Presentation on LSC's Financial Report for the five-month period ending February 28, 2013
 - David Richardson, Treasurer/Comptroller
5. Report on FY 2013 appropriations
 - Carol Bergman, Director, Office of Government Relations and Public Affairs
6. Report on FY 2014 appropriations process
 - Carol Bergman, Director, Office of Government Relations and Public Affairs
7. Discussion with Management regarding process and timetable for FY 2015 budget "mark"
8. Public comment
9. Consider and act on other business
10. Consider and act on motion to adjourn the meeting

**Draft Minutes of the Finance
Committee Open Session
Meeting of January 26, 2013**

**Legal Services Corporation
Meeting of the Finance Committee
Open Session
Saturday, January 26, 2013**

DRAFT MINUTES

Chairman Robert J. Grey, Jr. convened an open session meeting of the Legal Services Corporation's ("LSC") Finance Committee ("the Committee") at 10:33 a.m. on Saturday, January 26, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Committee members were present:

Robert J. Grey, Jr., Chairman
Sharon L. Browne (by telephone)
Martha Minow
Father Pius Pietrzyk
Robert E. Henley, Jr. (Non-Director Member) (by telephone)
Allan J. Tanenbaum (Non-Director Member)
John G. Levi, *ex officio*

Other Board Members Present:

Charles N.W. Keckler
Harry J.F. Korrell, III
Victor B. Maddox
Laurie Mikva
Julie A. Reiskin
Gloria Valencia-Weber

Also attending were:

James J. Sandman	President
Rebecca Fertig	Special Assistant to the President
Victor M. Fortuno	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Mark Freedman	Senior Assistant General Counsel, Office of Legal Affairs
Lynn Jennings	Vice President for Grants Management
David L. Richardson	Comptroller and Treasurer
Jeffrey E. Schanz	Inspector General
Laurie Tarantowicz	Assistant Inspector General and Legal Counsel
Joel Gallay	Special Counsel to the Inspector General
Ronald "Dutch" Merryman	Assistant Inspector General for Audit
Thomas Coogan	Assistant Inspector General for Investigations

Glenn Rawdon	Program Counsel, Office of Program Performance
Carol Bergman	Director, Office of Government Relations and Public Affairs
Carl Rauscher	Director of Media Relations, Office of Government Relations and Public Affairs
Janet LaBella	Director, Office of Program Performance
Frank B. Strickland	Institutional Advancement Committee (Non-Director Member)
Chuck Greenfield	National Legal Aid and Defender Association (NLADA)
Terry Brooks	American Bar Association

The following summarizes actions taken by, and presentations made to, the Committee:

Chairman Grey called the meeting to order.

MOTION

Father Pius moved to approve the agenda. Mr. Levi seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Father Pius moved to approve the minutes of the Committee's meeting of October 1, 2012. Mr. Levi seconded the motion.

VOTE

The motion passed by voice vote.

Mr. Richardson presented LSC's financial report for Fiscal Year 2012, as well as the revised Temporary Operating Budget for Fiscal Year 2013 along with the corresponding resolution for recommendation to the Board. He then answered Committee members' questions.

MOTION

Father Pius moved to recommend that the Board adopt the resolution approving the revised Temporary Operating Budget for Fiscal Year 2013. Dean Minow seconded the motion.

VOTE

The motion passed by voice vote.

Mr. Richardson next presented LSC's financial report for the first two months of Fiscal Year 2013 and answered Committee members' questions.

He then reported on the selection of accounts and depositories for LSC funds and answered Committee members' questions.

Next, Ms. Bergman reported on the status of the remainder of the Fiscal Year 2013 budget, since it remains unresolved upon expiration of the current Continuing Resolution ("CR"), which is March 27, 2013. She expects Congress will enact another CR for the remainder of Fiscal Year 2013, but it is unclear whether the CR would continue the same funding level.

Ms. Bergman then reported on submission of LSC's Fiscal Year 2014 budget request and responded to Board members' questions.

MOTION

Dean Minow moved to recommend that the Board approve submission of LSC's Fiscal Year 2014 budget request. Father Pius seconded the motion.

VOTE

The motion passed by voice vote.

With respect to the Committee's evaluation for 2012 and goals for 2013, Chairman Grey commented that the Committee should have regularly scheduled conference calls to discuss expenditures by the Corporation.

Chairman Grey invited public comment and received none. There was no new business to consider.

MOTION

Father Pius moved to adjourn the meeting. Dean Minow seconded the motion.

VOTE

The motion passed by voice vote.

The meeting of the Committee adjourned at 11:45 a.m.

**FY 2013 Consolidated
Operating Budget & Internal
Budgetary Adjustments**



FINANCIAL & ADMINISTRATIVE SERVICES

MEMORANDUM

TO: Robert J. Grey, Jr., Finance Committee Chairman

FROM: David L. Richardson, Treasurer/ Comptroller *dlr*

DATE: April 4, 2013

SUBJECT: Consolidated Operating Budget & Internal Budgetary Adjustments

The Board of Directors approved a Revised Temporary Operating Budget for FY 2013 at the January Board Meeting totaling \$364,790,462. Since that time, a number of changes to our funding have occurred; 1) a supplemental appropriation of \$1,000,000 was approved for the Hurricane Sandy Disaster Relief; 2) beginning March 1, a sequestration of 5% went into effect; and 3) the Consolidated and Further Continuing Appropriations Act ("CFCAA") of 2013 was enacted. The CFCAA imposed two rescissions, of 1.877% and 0.2%, and maintained the sequestration. We have been told by the Office of Management and Budget that we may be eligible for a credit against the 0.2% rescission, but we do not yet have definitive information and are assuming for purposes of the recommended Consolidated Operating Budget (COB) below that the full rescission applies. The COB that we are recommending totals \$355,343,669. The changes per budget line are shown in the following chart.

	FY 2013 REVISED TOB	FY 2013 COB NET OF APPROPRIATION RESCISSIONS SEQUESTRATION	DECREASE FROM THE REVISED TOB TO THE COB
Basic Field Programs	\$325,206,953	\$316,978,614	(\$8,228,339)
U.S. Court of Veterans Appeals Funds	2,735,362	2,542,164	(193,198)
Grants From Other Funds	546,361	546,361	-
Technology Initiatives	4,602,246	4,339,908	(262,338)
Hurricane Sandy Disaster Relief Funds	-	950,000	950,000
Herbert S. Garten LRAP	2,612,208	2,535,050	(77,158)
M & G O Operations	19,403,850	19,403,850	-
M & G O Research Initiative	287,191	287,191	-
M & G O Contingency Funds	3,246,595	1,934,900	(1,311,695)
IG Operations	5,500,000	5,500,000	-
IG Contingency Funds	649,696	325,631	(324,065)
TOTAL BUDGET	\$364,790,462	\$355,343,669	(\$9,446,793)

In addition, we have completed the review of our budget and expenses described in Section 3 of LSC *Guidelines for Adoption, Review and Modification of the Consolidated Operating Budget (Guidelines)*. Following these *Guidelines*, each office director reviewed his or her office's expenses for the four-month period ending January 31, 2013, and provided a projection of spending for the remainder of the fiscal year. As a result of this process, we recommend the changes described below. Every increase in any expense category in each office can be covered by a decrease in another budget category in the same office.

- Executive Office – Temporary Employee Pay is increased by \$10,500 to fund an agency temporary hire while a search is conducted for a new Executive Assistant. The Executive Assistant supports the President, the Vice President for Grant Management, and the two Special Assistants to the President. These funds will be moved from the Compensation and Benefits category.
- Human Resources – Temporary Employee Pay is increased by \$7,000 to continue with a temporary agency hire while a reorganization of Human Resources occurs. The Consulting budget category needs an increase of \$18,000, due mainly to the annual audit of our 403B Retirement Plan. Other Operating Expenses increase by \$7,000 due to an increase in advertising expenses. The funds for all of these increases are available from decreasing Compensation and Benefits by \$14,000 because of the departure of two staff, and decreasing Travel by \$18,000 because this category was incorrectly over-budgeted in the initial budget.
- Information Technology – An increase of \$58,000 in the Capital Expenditures budget category is necessary for Microsoft upgrades. Funds are available to be moved from (1) Personnel Compensation and Benefits (\$35,000) because of the delayed hiring of the CIO, (2) Consulting (\$10,000) due to the delay in or elimination of projects, and (3) Other Operating Expenses (\$13,000) due to the reduction in maintenance and supply costs.
- Office of Program Performance – Temporary Employee Pay is increased by \$50,000 to cover the cost of more employees to review grant applications, pursuant to a recommendation from L&L Consulting to further improve internal controls in the grants process; for unanticipated Program Evaluation Visits (“PEV”) to Hawaii, Guam, and Micronesia; and for an intern to assist with special projects because of open positions. The Consulting line will increase by \$10,000 to cover payments to the Census Bureau for calculation of the size of the poverty population in each of LSC’s geographic service areas, which was not included in the budget. Travel is increased by

\$10,000 for PEVs to Hawaii, Guam, and Micronesia. The \$70,000 to fund these additional costs is available from Compensation and Benefits due to open positions and delayed hiring.

- Compliance and Enforcement – Consulting is increased by \$10,000 to accommodate their need for training and data assembly to enhance fiscal risk assessment. Because of the delay in hiring fiscal oversight analysts, the Compensation and Benefits category has \$10,000 available to be moved to Consulting.

FY 2013 OIG Budget Review

The OIG conducted a review of expenses, and there are no adjustments to the budget.

We ask that you approve the attached resolution for the COB with the changes discussed above. Attachment A presents the COB by line item and Attachment B summarizes each office's budget by budget category.

If you have any questions or need additional information, please let me know.

Attachments (3)

Resolution
Attachment A
Attachment B

Consolidated Operating Budget Resolution

BOARD OF DIRECTORS

RESOLUTION Consolidated Operating Budget and Special Circumstance Operating Authority For Fiscal Year 2013

WHEREAS, the Legal Services Corporation (LSC) Board of Directors (Board) has reviewed information regarding the status of the Fiscal Year (FY) 2013 appropriation, the U.S Court of Veterans Appeals grant, and the FY 2012 carryover. The projected funds available for the Consolidated Operating Budget (COB) include funds from:

- 1) The Consolidated and Further Continuing Appropriations Act of 2013 Resolution, totaling \$339,926,165;
- 2) Hurricane Sandy Disaster Relief of \$950,000;
- 3) U.S. Court of Veterans Appeals Funds of \$2,669,483;
- 4) carryover in the amount of \$11,934,339, which is comprised of:
 - a. Basic Field Programs carryover of \$833,865;
 - b. U.S. Court of Veterans Appeals of \$8,999;
 - c. Grants from Other Funds of \$546,361;
 - d. Technology Initiative Grant funds of \$1,181,438;
 - e. Herbert S. Garten Loan Repayment Assistance Program of \$1,606,088;
 - f. Management and Grants Oversight of \$5,833,596; and
 - g. Office of Inspector General of \$1,923,992; and

BOARD OF DIRECTORS

WHEREAS, Management and the Inspector General recommend that a COB be adopted reflecting the funds available;

NOW, THEREFORE, BE IT RESOLVED that the Board hereby adopts a COB for FY 2013 totaling \$355,479,987 of which \$325,493,365 is for the *Delivery of Legal Assistance*; \$2,535,050 is for the *Herbert S. Garten Loan Repayment Assistance Program*; \$21,625,941 is for *Management Grants Oversight*; and \$5,825,631 is for the *Office of Inspector General*, as reflected in the attached documents; and

BE IT FURTHER RESOLVED that the Board hereby authorizes Management, in consultation with the Chairman of the Board and the Chairman of the Finance Committee, to increase or decrease the COB and annual grant awards, as necessary, in response to the final FY 2013 appropriation.

**Adopted by the Board of Directors
on April 16, 2013**

John G. Levi
Chairman

Victor M. Fortuno
Vice President for Legal Affairs,
General Counsel, and
Corporate Secretary

Consolidated Operating Budget Attachments

Legal Services Corporation
Proposed Consolidated Operating Budget
For Fiscal Year 2013

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	FY 2013 APPROPRIATIONS & SUPPLEMENTAL FUNDING	FY 2013 RECESSION 1.8770%	FY 2013 RECESSION 0.2000%	FY 2013 SEQUESTRATION 5.00%	FY 2013 FUNDING	FY 2012 CARRYOVER	FY 2013 COMSOLIDATED OPERATING BUDGET
	-----	-----	-----	-----	-----	-----	-----
I. DELIVERY OF LEGAL ASSISTANCE							

1. Basic Field Programs	\$339,400,000	(\$6,370,538)	(\$666,059)	(\$16,218,654)	\$316,144,749	\$833,865	\$316,978,614
2. U.S. Court of Veterans Appeals Funds	2,726,000	(51,167)	(5,350)	(136,318)	2,533,165	8,999	2,542,164
3. Grants From Other Funds	-	-	-	-	-	546,361	546,361
4. Technology Initiatives	3,400,000	(63,818)	(6,672)	(171,040)	3,158,470	1,181,438	4,339,908
5. Hurricane Sandy Disaster Relief Funds	1,000,000	-	-	(50,000)	950,000	-	950,000
	-----	-----	-----	-----	-----	-----	-----
DELIVERY OF LEGAL ASSISTANCE TOTALS	346,526,000	(6,485,523)	(678,081)	(\$16,576,012)	322,786,384	2,570,663	\$325,357,047
II. HERBERT S. GARTEN							
LOAN REPAYMENT ASSISTANCE PROGRAM	1,000,000	(18,770)	(1,962)	(50,306)	928,962	1,606,088	2,535,050

III. MANAGEMENT & GRANTS OVERSIGHT							

1. M & G O Operations	17,000,000	-	-	-	17,000,000	2,403,850	19,403,850
2. M & G O Research Initiative	-	-	-	-	-	287,191	287,191
3. M & G O Contingency Funds	-	(319,090)	(33,362)	(855,203)	(1,207,655)	3,142,555	1,934,900
	-----	-----	-----	-----	-----	-----	-----
MANAGEMENT & GRANTS OVERSIGHT TOTALS	17,000,000	(319,090)	(33,362)	(855,203)	15,792,345	5,833,596	21,625,941
IV. INSPECTOR GENERAL							

1. IG Operations	4,200,000	-	-	-	4,200,000	1,300,000	5,500,000
2. IG Contingency Funds	-	(78,834)	(8,242)	(211,285)	(298,361)	623,992	325,631
	-----	-----	-----	-----	-----	-----	-----
INSPECTOR GENERAL TOTALS	4,200,000	(78,834)	(8,242)	(211,285)	3,901,639	1,923,992	5,825,631
	-----	-----	-----	-----	-----	-----	-----
TOTAL BUDGET	\$368,726,000	(\$6,902,217)	(721,647)	(\$17,692,806)	\$343,409,330	\$11,934,339	\$355,343,669
	=====	=====	=====	=====	=====	=====	=====

**LEGAL SERVICES CORPORATION
PROPOSED CONSOLIDATED OPERATING BUDGET
FOR MANAGEMENT AND GRANTS OVERSIGHT
AND INSPECTOR GENERAL
FOR FISCAL YEAR 2013**

<u>BUDGET CATEGORY</u>	<u>BOARD OF DIRECTORS</u>	<u>EXECUTIVE OFFICES</u>	<u>LEGAL AFFAIRS</u>	<u>GOVERNMENT RELATIONS & PUB AFFS</u>	<u>HUMAN RESOURCES</u>	<u>OFFICE FINANCIAL & ADMIN SRVCS</u>
COMPENSATION & BENEFITS	0	1,051,300	966,750	1,014,400	701,650	1,003,600
TEMP. EMPLOYEE PAY	0	10,500	14,550	23,100	14,500	10,100
CONSULTING	133,200	0	250,000	41,500	103,400	0
TRAVEL & TRANSPORTATION	240,600	91,500	16,400	25,825	27,100	16,200
COMMUNICATIONS	6,000	6,900	5,350	4,550	2,600	19,700
OCCUPANCY COSTS	0	0	0	0	0	1,720,000
PRINTING & REPRODUCTION	0	100	0	7,000	0	85,000
OTHER OPERATING EXPENSES	48,100	400	33,650	30,025	34,400	369,000
CAPITAL EXPENDITURES	0	0	0	0	0	50,000
TOTAL	<u>427,900</u>	<u>1,160,700</u>	<u>1,286,700</u>	<u>1,146,400</u>	<u>883,650</u>	<u>3,273,600</u>

<u>BUDGET CATEGORY</u>	<u>INFORMATION TECHNOLOGY</u>	<u>PROGRAM PERFORM</u>	<u>INFORMATION MANGEMENT</u>	<u>COMPLIANCE & ENFORCE</u>	<u>MGT & GRNTS OVERSIGHT</u>	<u>INSPECTOR GENERAL</u>
COMPENSATION & BENEFITS	1,113,050	3,567,075	562,850	3,712,800	13,693,475	4,363,500
TEMP. EMPLOYEE PAY	0	352,750	0	276,100	701,600	25,000
CONSULTING	69,600	95,000	0	60,000	752,700	550,000
TRAVEL & TRANSPORTATION	30,650	323,025	5,000	444,800	1,221,100	321,600
COMMUNICATIONS	40,400	21,100	100	16,700	123,400	28,000
OCCUPANCY COSTS	0	2,100	0	0	1,722,100	4,000
PRINTING & REPRODUCTION	0	0	0	0	92,100	12,000
OTHER OPERATING EXPENSES	319,900	20,550	30,900	1,200	888,125	100,900
CAPITAL EXPENDITURES	159,250	0	0	0	209,250	95,000
TOTAL	<u>1,732,850</u>	<u>4,381,600</u>	<u>598,850</u>	<u>4,511,600</u>	<u>19,403,850</u>	<u>5,500,000</u>

**Financial Report for Five
Months Ending February
2013 - Memo**

FINANCIAL & ADMINISTRATIVE SERVICES

MEMORANDUM

TO: Robert J. Grey, Jr., Finance Committee Chairman

FROM: David L. Richardson, Treasurer/Comptroller *dlr*

DATE: March 25, 2013

SUBJECT: February 2013 Financial Reports

The financial reports for the five-month period ending February 28, 2013, are attached for your review and discussion. There are four worksheets that comprise this report, and we are using the fiscal year 2013 Temporary Operating Budget (TOB) that was approved at the January Board meeting for our comparisons.

Attachment A provides summary information for each element of the TOB in two sections.

Attachment B presents Management and Grants Oversight's (MGO) budget and expenditures.

Attachment C shows the MGO Other Operating Expenses by cost centers.

Attachment D provides budget and expenditures for the Office of Inspector General (OIG).

The first section of Attachment A presents information for the Delivery of Legal Assistance, ***Roman numeral I***, and the Herbert S. Garten Loan Repayment Assistance Program (LRAP), ***Roman numeral II***. Expenditures are compared to the annual budget and the report shows the variances for each budget line. Expenditures from the prior year are also reported, and the variances of the two years are shown in the last column.

- I. There are four elements included in the Delivery of Legal Assistance:

1. The Basic Field Programs budget is \$325,206,953; the grant expenses for the five-month period are \$324,538,195. The remaining funds of \$668,758 are earmarked for Louisiana for a close-out audit and American Samoa, where we do not have a grantee.
 2. The U.S. Court of Veterans Appeals Funds budget totals \$2,735,362, and there are no grant expenses for this period.
 3. The Grants from Other Funds budget totals \$546,361, and no emergency or one-time grants have been awarded for this period.
 4. The Technology Initiatives budget totals \$4,602,246; net grant awards totaling \$998,241 have been made.
- II. The Herbert S. Garten Loan Repayment Assistance Program's budget is \$2,612,208; there are no loan expenses for the period.

The second section of Attachment A presents expenditures for Management and Grants Oversight (MGO), *Roman numeral III*, and the OIG, *Roman numeral IV*. The expenditures are compared to a pro rata allocation of the annual budget, which is five months into the fiscal year.

- III. MGO's annual budget totals \$22,937,636. The budget is comprised of the MGO operating budget of \$19,403,850, the MGO Research Initiative of \$287,191, and the MGO Contingency Funds totaling \$3,246,595.

The MGO operating budget allocation for this reporting period is \$8,084,939, and compares to the expenses of \$6,580,612. MGO is under budget by \$1,504,327, or 18.61%. The expenditures are \$138,270 more than the same period in FY 2012. The encumbrances for the period are \$205,087.

The MGO Research Initiative budget allocation (Public Welfare Foundation grant) is \$119,663, and there are no expenses.

The MGO Contingency Funds budget allocation is \$1,352,748, and there are no expenses against these funds.

- IV. The OIG's annual budget totals \$6,149,696. The budget consists of the OIG operating budget of \$5,500,000 and Contingency Funds of \$649,696.

The OIG operating budget allocation is \$2,291,667, and compares to actual expenses of \$1,933,754. The OIG is under budget by \$357,913, or 15.62%. The expenditures are \$37,865 more than the same period in FY 2012. The encumbrances for the period are \$140,102.

The OIG Contingency Funds budget allocation is \$270,707, and there are no expenses against these funds.

Attachment B, page 1, presents comparative budgets and expenditures for MGO by cost center; all cost centers are under budget. Attachment B, page 2, shows the budgets and expenditures by budget category for the MGO operating budget, and all the categories are under budget.

The largest variance under budget, totaling \$802,038, is in the Compensation and Benefits category. This amount represents 53.32% (\$802,038 divided by \$1,504,327) of this month's variance and is the result of open positions. The open positions by cost center are as follows:

Executive Office – Chief Development Officer, and an Administrative Assistant;

Government Relations/Public Affairs – Web Content Manager;

Program Performance – Program Counsels, Program Analyst; and

Compliance and Enforcement – Program Counsel, four Fiscal Oversight Analysts, and an Administrative Assistant.

Attachment B, page 3, shows the MGO Contingency Funds budget categories. Attachment B, page 4, provides a summary of the expenditures by office and by budget category.

Attachment C, pages 1 and 2, presents a breakdown of the other operating expenses by account code and by cost center.

Attachment D, page 1, compares the OIG budget and expenditures by budget category, and all are under budget. The largest variance under budget is for compensation and benefits, totaling \$183,378. This variance is due to the delay in filing new positions and one open position, and is 51.24% (\$183,378 divided by \$357,913) of this month's variance.

Attachment D, page 2, shows the OIG Contingency Funds. The unused OIG Contingency Funds are earmarked for the multi-year budget plan.

If you have any questions, please let me know.

Attachments (A – B – C - D)

Financial Report for Five Months Ending February 2013 - Chart

LEGAL SERVICES CORPORATION
 TEMPORARY OPERATING BUDGET WORKSHEET
 FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
 FOR FISCAL YEAR 2013

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	F I S C A L Y E A R 2 0 1 3						C O M P A R A T I V E	
	ANNUAL BUDGET	ACTUAL	ANNUAL BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)	ENCUMBRANCES	PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
I. DELIVERY OF LEGAL ASSISTANCE								
1. Basic Field Programs	325,206,953	324,538,195	\$325,206,953	\$668,758	0.21	\$0	323,213,547	\$1,324,648
2. US Court of Vets Appeals Funds	2,735,362	-	2,735,362	2,735,362	100.00	-	-	-
3. Grants From Other Funds	546,361	-	546,361	546,361	100.00	-	253,346	(253,346)
4. Technology Initiatives	4,602,246	998,241	4,602,246	3,604,005	78.31	-	3,184,224	(2,185,983)
TOTAL DELIVERY OF LEGAL ASSISTANCE	333,090,922	325,536,436	\$333,090,922	\$7,554,486	2.27	\$0	\$326,651,117	(\$1,114,681)
II. HERBERT S. GARTEN LOAN REPAYMENT ASSISTANCE PROGRAM								
	\$2,612,208	-	2,612,208 *	2,612,208	100.00	\$0	\$0	\$0
	ANNUAL BUDGET	ACTUAL	FIVE TWELFTHS OF THE FY 2013 BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)	ENCUMBRANCES	PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
III. MANAGEMENT & GRANTS OVERSIGHT								
1. M & G O Operating Budget	\$19,403,850	\$6,580,612	\$8,084,939	\$1,504,327	18.61	\$205,087	\$6,442,342	\$138,270
2. M & G O Research Initiative	\$287,191	-	\$119,663	\$119,663	100.00	-	-	-
3. M & G O Contingency Funds	3,246,595	-	1,352,748	1,352,748	100.00	-	-	-
TOTAL MANAGEMENT & GRANTS OVERSIGHT	\$22,937,636	\$6,580,612	\$9,557,350	\$2,976,738	31.15	\$205,087	\$6,442,342	\$138,270
IV. INSPECTOR GENERAL								
1. I G Operating Budget	\$5,500,000	\$1,933,754	2,291,667	\$357,913	15.62	\$140,102	\$1,895,889	\$37,865
2. I G Contingency Funds	649,696	-	270,707	270,707	100.00	-	-	-
TOTAL INSPECTOR GENERAL	\$6,149,696	\$1,933,754	\$2,562,373	\$628,619	24.53	\$140,102	\$1,895,889	\$37,865
TOTAL	\$364,790,462	\$334,050,802	\$347,822,853	\$13,772,051		\$345,189	\$334,989,348	(\$938,546)

* \$557,446 LRAP ACCOUNTS RECEIVABLE

LEGAL SERVICES CORPORATION
TEMPORARY OPERATING BUDGET WORKSHEET
FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
FOR FISCAL YEAR 2013

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	F I S C A L Y E A R 2 0 1 3						C O M P A R A T I V E	
	ANNUAL BUDGET	ACTUAL	FIVE TWELFTHS OF THE FY 2013 BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)	ENCUM- BRANCES	PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
III. MANAGEMENT & GRANTS OVERSIGHT								
1. Board of Directors	\$427,900	\$115,566	\$178,292	\$62,726	35.18	\$23,599	\$138,234	(\$22,668)
2. Executive Office	1,160,700	356,903	483,625	126,722	26.20	-	202,889	154,014
3. Legal Affairs	1,286,700	402,009	536,125	134,116	25.02	20,477	506,395	(104,386)
4. Government Relations/Public Affairs	1,146,400	406,978	477,667	70,689	14.80	-	313,564	93,414
5. Human Resources	883,650	289,437	368,188	78,751	21.39	56,126	280,885	8,552
6. Financial & Admin Services	3,273,600	1,244,857	1,364,000	119,143	8.73	46,184	1,234,861	9,996
7. Information Technology	1,732,850	562,771	722,021	159,250	22.06	14,787	609,326	(46,555)
8. Program Performance	4,381,600	1,598,569	1,825,667	227,098	12.44	43,914	1,479,502	119,067
9. Information Management	598,850	239,188	249,521	10,333	4.14	-	255,094	(15,906)
10. Compliance & Enforcement	4,511,600	1,364,334	1,879,833	515,499	27.42	-	1,421,592	(57,258)
MANAGEMENT & GRANTS OVERSIGHT SUBTOTAL	\$19,403,850	\$6,580,612	\$8,084,939	\$1,504,327	18.61	\$205,087	\$6,442,342	\$138,270
11. M & G O Research Initiative	287,191	-	119,663	119,663	100.00	-	-	-
12. M & G O Contingency Funds	3,246,595	-	1,352,748	1,352,748	100.00	-	-	-
TOTAL MANAGEMENT & GRANTS OVERSIGHT	\$22,937,636	\$6,580,612	\$9,557,350	\$2,976,738	31.15	\$205,087	\$6,442,342	\$138,270

LEGAL SERVICES CORPORATION
FINANCIAL REPORT BY BUDGET CATEGORY
FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
FOR FISCAL YEAR 2013
MANAGEMENT AND GRANTS OVERSIGHT

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	ANNUAL BUDGET	FISCAL YEAR 2013					COMPARATIVE	
		ACTUAL	FIVE TWELFTHS OF THE FY 2013 BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)	ENCUM- BRANCES	PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
TOTAL COMP./BENEFITS	13,831,475	4,961,075	5,763,113	802,038	13.92	-	4,761,035	200,040
TEMP. EMPLOYEE PAY	633,100	161,745	263,792	102,047	38.68	-	143,803	17,942
CONSULTING	724,700	149,705	301,959	152,254	50.42	88,039	248,932	(99,227)
TRAVEL/TRANSPORTATION EXPS	1,229,100	271,977	512,124	240,147	46.89	-	259,056	12,921
COMMUNICATIONS	122,900	27,996	51,209	23,213	45.33	-	32,535	(4,539)
OCCUPANCY COST	1,722,100	712,630	717,542	4,912	0.68	-	712,500	130
PRINTING & REPRODUCTION	92,100	14,095	38,376	24,281	63.27	44,436	20,093	(5,998)
OTHER OPERATING EXPENSES	897,125	268,846	373,803	104,957	28.08	31,859	245,941	22,905
CAPITAL EXPENDITURES	151,250	12,543	63,021	50,478	80.10	-	18,447	(5,904)
TOTAL	\$19,403,850	6,580,612	8,084,939	1,504,327	18.61	\$164,334	6,442,342	138,270

LEGAL SERVICES CORPORATION
FINANCIAL REPORT BY BUDGET CATEGORY
FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
FOR FISCAL YEAR 2013
MANAGEMENT AND GRANTS OVERSIGHT CONTINGENCY FUNDS

BUDGET CATEGORY	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	ANNUAL BUDGET	ACTUAL	FISCAL YEAR 2013			ENCUM- BRANCES	COMPARATIVE	
			THREE TWELFTHS OF THE FY 2013 BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)		PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
PERSONNEL COMPENSATION	565,000	-	235,417	235,417		-	-	-
PERSONNEL BENEFITS	85,000	-	35,417	35,417		-	-	-
TOTAL COMP./BENEFITS	\$650,000	-	270,833	270,833		-	-	-
TEMP. EMPLOYEE PAY	-	-	-	-		-	-	-
CONSULTING	-	-	-	-		-	-	-
TRAVEL/TRANSPORTATION EXPS	-	-	-	-		-	-	-
COMMUNICATIONS	-	-	-	-		-	-	-
OCCUPANCY COST	-	-	-	-		-	-	-
PRINTING & REPRODUCTION	-	-	-	-		-	-	-
OTHER OPERATING EXPENSES	2,596,595	-	1,081,915	1,081,915		-	-	-
CAPITAL EXPENDITURES	-	-	-	-		-	-	-
TOTAL	\$3,246,595	-	1,352,748	1,352,748		\$0	-	-

LEGAL SERVICES CORPORATION
OPERATING EXPENSES FOR FISCAL YEAR 2013
FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
FISCAL YEAR 2013
MANAGEMENT AND GRANTS OVERSIGHT

BUDGET CATEGORY	BOARD OF DIRECTORS	EXECUTIVE OFFICE	LEGAL AFFAIRS	GOV'T REL PUBLIC AFFS	HUMAN RESOURCES	OFFICE FINANCIAL & ADMIN SRVCS
COMPENSATION & BENEFITS	-	341,019	338,495	377,321	250,849	393,796
TEMPORARY EMPLOYEE PAY	-	-	6,859	4,533	5,415	-
CONSULTING	31,764	-	39,356	600	21,478	-
TRAVEL/TRANSPORTATION EXPS	67,123	14,306	3,173	14,395	2,126	2,574
COMMUNICATIONS	1,032	1,503	1,110	1,384	334	1,481
OCCUPANCY COST	-	-	-	-	-	712,500
PRINTING & REPRODUCTION	-	-	-	-	-	14,095
OTHER OPERATING EXPENSES	15,647	75	13,016	8,745	8,285	120,411
CAPITAL EXPENDITURES	-	-	-	-	950	-
TOTAL	\$115,566	\$356,903	\$402,009	\$406,978	\$289,437	\$1,244,857
BUDGET CATEGORY	INFORMATION TECHNOLOGY	PROGRAM PERFORMANCE	INFORMATION MANAGEMENT	COMPLIANCE & ENFORCEMENT	TOTAL MGT & GRANTS OVERSIGHT	
COMPENSATION & BENEFITS	447,190	1,328,389	229,246	1,254,770	4,961,075	
TEMPORARY EMPLOYEE PAY	-	104,643	-	40,295	161,745	
CONSULTING	-	39,182	-	17,325	149,705	
TRAVEL/TRANSPORTATION EXPS	2,812	117,804	-	47,664	271,977	
COMMUNICATIONS	11,217	5,713	-	4,222	27,996	
OCCUPANCY COST	-	130	-	-	712,630	
PRINTING & REPRODUCTION	-	-	-	-	14,095	
OTHER OPERATING EXPENSES	89,959	2,708	9,942	58	268,846	
CAPITAL EXPENDITURES	11,593	-	-	-	12,543	
TOTAL	\$562,771	\$1,598,569	\$239,188	\$1,364,334	\$6,580,612	

OTHER OPERATING EXPENSES FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013

ANNUAL BUDGET	ACTUAL	FOUR TWELFTHS OF THE FY 2013 BUDGET	UNDER / (OVER) BUD VS ACT VARIANCE
\$897,125.00	268,846.00	373,803.00	104,957.00

ACCOUNT CODES	DESCRIPTION	COST CENTERS	YTD EXPENSE
		BOARD OF DIRECTORS	14,545.33
		GOVERNMENT RELATIONS/PUBLIC AFFAIRS	1,492.77
		FINANCIAL & ADMIN SERVICES	5,928.40
		INFORMATION TECHNOLOGY	53,781.23
5600	EQUIPMENT RENTAL	TOTAL	75,747.73
		GOVERNMENT RELATIONS/PUBLIC AFFAIRS	412.93
		HUMAN RESOURCES	354.00
		FINANCIAL & ADMIN SERVICES	17,449.18
		INFORMATION TECHNOLOGY	7,453.28
		INFORMATION MANAGEMENT	39.32
5610	OFFICE SUPPLIES	TOTAL	25,708.71
		GOVERNMENT RELATIONS/PUBLIC AFFAIRS	525.10
		HUMAN RESOURCES	295.65
		FINANCIAL & ADMIN SERVICES	2,278.01
		INFORMATION TECHNOLOGY	4,637.23
5611	OFFICE EQUIPMENT	TOTAL	7,735.99
		FINANCIAL & ADMIN SERVICES	73,264.33
5620	COMMERICAL INSURANCE	TOTAL	73,264.33
		LEGAL AFFAIRS	9,516.00
		HUMAN RESOURCES	45.80
		FINANCIAL & ADMIN SERVICES	6,978.70
		INFORMATION TECHNOLOGY	24,086.91
5640	DATA PROCESSING	TOTAL	40,627.41

OTHER OPERATING EXPENSES FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013

ANNUAL BUDGET	ACTUAL	FOUR TWELFTHS OF THE FY 2013 BUDGET	UNDER / (OVER) BUD VS ACT VARIANCE
\$897,125.00	268,846.00	373,803.00	104,957.00

ACCOUNT CODES	DESCRIPTION	COST CENTERS	YTD EXPENSE
		BOARD OF DIRECTORS	954.00
		GOVERNMENT RELATIONS/PUBLIC AFFAIRS	518.51
		HUMAN RESOURCES	5,140.00
		OFFICE OF PROGRAM PERFORMANCE	1,908.00
5650	ADVERTISING & CLIPPING SERVICES	TOTAL	8,520.51
		LEGAL AFFAIRS	3,499.98
		GOVERNMENT RELATIONS/PUBLIC AFFAIRS	5,717.24
		FINANCIAL & ADMIN SERVICES	425.00
		OFFICE OF PROGRAM PERFORMANCE	800.00
		INFORMATION MANAGEMENT	5,829.09
5670	SUBSCRIPTIONS	OFFICE OF COMPLIANCE AND ENFORCEMENT	57.68
		TOTAL	16,328.99
		GOVERNMENT RELATIONS/PUBLIC AFFAIRS	78.25
		HUMAN RESOURCES	1,214.38
5680	EMPLOYEE LECTURES/OTHER ACT.	FINANCIAL & ADMIN SERVICES	10,875.61
		TOTAL	12,168.24
		BOARD OF DIRECTORS	147.50
		EXECUTIVE OFFICE	75.00
		HUMAN RESOURCES	1,235.55
		FINANCIAL & ADMIN SERVICES	3,211.68
5690	OFFICE EXPENSES	INFORMATION MANAGEMENT	4,073.18
		TOTAL	8,742.91
		TOTAL OTHER OPERATING EXPENSES	\$268,844.82

LEGAL SERVICES CORPORATION
FINANCIAL REPORT BY BUDGET CATEGORY
FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
FOR FISCAL YEAR 2013
INSPECTOR GENERAL

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
	FISCAL YEAR 2013						COMPARATIVE	
	ANNUAL BUDGET	ACTUAL	FIVE TWELFTHS OF THE FY 2013 BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)	ENCUM- BRANCES	PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
TOTAL COMP./BENEFITS	\$4,363,500	1,634,746	1,818,124	183,378	10.09	-	1,559,811	74,935
TEMP. EMPLOYEE PAY	25,000	-	10,417	10,417	100.00	-	16,367	(16,367)
CONSULTING	550,000	178,982	229,167	50,185	21.90	130,526	175,270	3,712
TRAVEL/TRANSPORTATION EXPS	321,600	93,464	134,000	40,536	30.25	9,576	85,501	7,963
COMMUNICATIONS	28,000	8,760	11,667	2,907	24.92	-	8,004	756
OCCUPANCY COST	4,000	-	1,667	1,667	100.00	-	-	-
PRINTING & REPRODUCTION	12,000	1,876	5,000	3,124	62.48	-	3,282	(1,406)
OTHER OPERATING EXPENSES	100,900	12,480	42,042	29,562	70.32	-	15,644	(3,164)
CAPITAL EXPENDITURES	95,000	3,446	39,583	36,137	91.29	-	32,010	(28,564)
TOTAL	\$5,500,000	1,933,754	2,291,667	357,913	15.62	\$140,102	1,895,889	37,865

LEGAL SERVICES CORPORATION
FINANCIAL REPORT BY BUDGET CATEGORY
FOR THE FIVE-MONTH PERIOD ENDING FEBRUARY 28, 2013
FOR THE FISCAL YEAR 2013
INSPECTOR GENERAL CONTINGENCY FUNDS

BUDGET CATEGORY	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8) #
	ANNUAL BUDGET	ACTUAL	FISCAL YEAR 2013			ENCUM- BRANCES	COMPARATIVE	
			THREE TWELTHS OF THE FY 2013 BUDGET	VARIANCE BUD VS ACT UNDER / (OVER)	% OF VARIANCE UNDER / (OVER)		PRIOR Y-T-D ACTUAL	VARIANCE ACTUAL VS PRIOR Y-T-D INCR / (DECR)
PERSONNEL COMPENSATION	-	-	-	-	-	-	-	-
PERSONNEL BENEFITS	-	-	-	-	-	-	-	-
TOTAL COMP./BENEFITS	-	-	-	-	-	-	-	-
TEMP. EMPLOYEE PAY	-	-	-	-	-	-	-	-
CONSULTING	-	-	-	-	-	-	-	-
TRAVEL/TRANSPORTATION EXPS	-	-	-	-	-	-	-	-
COMMUNICATIONS	-	-	-	-	-	-	-	-
OCCUPANCY COST	-	-	-	-	-	-	-	-
PRINTING & REPRODUCTION	-	-	-	-	-	-	-	-
OTHER OPERATING EXPENSES	\$649,696	-	270,707	270,707	-	-	-	-
CAPITAL EXPENDITURES	-	-	-	-	-	-	-	-
TOTAL	\$649,696	-	270,707	270,707	\$0	\$0	-	\$0

Process & Timetable for FY 2015 Budget 'Mark'

LSC's activities regarding 2014 Budget Request Timeline

Timeframe	Tasks
April 15, 2012	Discussed with the Finance Committee of the need to provide OMB budget guidance by Labor Day.
June 11, 2012	Met to hear the testimony from NLADA and ABA regarding the 2014 budget request. A letter from the Conference of Chief Justices and Conference of State Court Administrators support our funding was also made a part of the record.
June 25, 2012	Telephonic Meeting -- testimony from Management regarding the 2014 budget request was provided.
July 17, 2012	Finance Committee considered budget recommendations from LSC Management and advocates.
July 27, 2012	Finance Committee considered budget recommendations from LSC Management and advocates.
August 20, 2012	Finance Committee voted to approve a \$481 million budget request and reported it to the Board.
August 31, 2012	Board acts on Finance Committee recommendation and passes a resolution on a \$481 budget proposal in a telephonic meeting.
September 14, 2012	LSC submitted its budget proposal to OMB.
January 26, 2013	Finance Committee voted to increase the budget request \$486 million and reported it to the Board.
January 26, 2013	Board acts on Finance Committee recommendation and passes a resolution to increase the budget request to \$486.

VIII. Board of Directors

BOARD OF DIRECTORS

April 16, 2013

Agenda

OPEN SESSION

1. Pledge of Allegiance
2. Approval of agenda
3. Approval of minutes of the Board's meeting of January 26, 2013
4. Chairman's Report
5. Members' Reports
6. President's Report
7. Inspector General's Report
8. Consider and act on the report of the Promotion and Provision for the Delivery of Legal Services Committee
9. Consider and act on the report of the Finance Committee
10. Consider and act on the report of the Audit Committee
11. Consider and act on the report of the Operations and Regulations Committee
12. Consider and act on the report of the Governance and Performance Review Committee
13. Consider and act on the report of the Institutional Advancement Committee
14. Consider and act on Resolution 2013-XXX in recognition of distinguished service by Victor M. Fortuno

15. Public comment
16. Consider and act on other business
17. Consider and act on whether to authorize an executive session of the Board to address items listed below, under Closed Session

CLOSED SESSION

18. Approval of minutes of the Board's closed session meeting of January 26, 2013
19. Briefing by Management
20. Briefing by the Inspector General
21. Consider and act on General Counsel's report on potential and pending litigation involving LSC
22. Consider and act on motion to adjourn meeting

**Draft Minutes of the Board's
Open Session Meeting of
January 26, 2013**

**Legal Services Corporation
Meeting of the Board of Directors
Open Session
Saturday, January 26, 2013**

DRAFT MINUTES

Chairman John G. Levi convened an open session meeting of the Legal Services Corporation's ("LSC") Board of Directors ("the Board") at 11:56 a.m. on Saturday, January 26, 2013. The meeting was held at the Hyatt French Quarter New Orleans, 800 Iberville Street, New Orleans, Louisiana 70113.

The following Board members were in attendance:

John G. Levi, Chairman
Martha L. Minow, Vice Chair
Sharon L. Browne (by telephone)
Robert J. Grey, Jr.
Charles N.W. Keckler
Victor B. Maddox
Laurie I. Mikva
Father Pius Pietrzyk
Julie A. Reiskin
Gloria Valencia-Weber
James J. Sandman, *ex officio*

Also attending were:

Rebecca Fertig	Special Assistant to the President
Victor M. Fortunato	Vice President for Legal Affairs, General Counsel, and Corporate Secretary
Mark Freedman	Senior Assistant General Counsel, Office of Legal Affairs
Lynn Jennings	Vice President for Grants Management
David L. Richardson	Comptroller and Treasurer, Office of Financial and Administrative Services
Bernie Brady	LSC Travel Coordinator
Jeffrey E. Schanz	Inspector General
Ronald "Dutch" Merryman	Assistant Inspector General for Audit, Office of the Inspector General (OIG)
Thomas Coogan	Assistant Inspector General for Investigations, OIG
Glenn Rawdon	Program Counsel, Office of Program Performance
Carol Bergman	Director, Office of Government Relations and Public Affairs (GRPA)
Carl Rauscher	Director of Media Relations, GRPA
Allan J. Tanenbaum	Non-Director Member of LSC's Finance Committee
Chuck Greenfield	National Legal Aid and Defender Association (NLADA)

The following summarizes actions taken by, and presentations made to, the Board:

Chairman Levi called the meeting of the Board to order. The Pledge of Allegiance was recited.

Chairman Levi noted that agenda item 18 would be removed from the agenda.

MOTION

Dean Minow moved to approve the revised agenda. Father Pius seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Dean Minow moved to approve the minutes from the Board's open session meeting of November 29, 2012. Mr. Maddox seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Mr. Grey moved to nominate Chairman Levi to continue his service as Board Chairman. Ms. Reiskin seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Ms. Reiskin nominated Dean Minow to continue her service as Board Vice Chair. Mr. Maddox seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Dean Minow moved for the Board to delegate to the Chairman the authority to appoint both directors and non-directors to serve on the Board's committees and to designate whether any non-director appointed to a committee serves as a voting or nonvoting member, noting that no non-director member will count towards a quorum of any committee on which s/he serves. Professor Valencia-Weber seconded the motion.

VOTE

The motion passed by voice vote.

Chairman Levi reappointed all of the committee members and committee chairs, with the exception that Father Pius and Professor Valencia-Weber will now serve as co-chairs of the Promotion and Provision for the Delivery of Legal Services Committee.

Chairman Levi gave the Chairman's Report.

During Members' Reports, Ms. Reiskin reported on the presentation she gave on the client community at the NLADA meeting. Professor Valencia-Weber suggested acknowledging grantees' client-representative board members in the audience at future Board meetings. Father Pius suggested, and Mr. Grey seconded, recognizing volunteers or client representatives of grantees' boards of directors during the pro bono awards receptions at Board meetings.

President Sandman gave the President's Report, which included providing information on (1) LSC's progress in implementing recommendations of the Fiscal Oversight Task Force; (2) progress on the Public Welfare Foundation grant; (3) a research initiative funded by the National Science Foundation; (4) a federal government and legal aid interagency roundtable convened by the Department of Justice's Access to Justice Initiative; (5) findings from his visits to grantees; and (6) the TIG Conference and the LSC Tech Summit. President Sandman invited Mr. Rawdon to provide more information on the TIG Conference and the LSC Tech Summit. President Sandman answered Board members' questions.

Inspector General Schanz gave the Inspector General's Report, which included reporting on the Office of Inspector General (OIG) work plan, participation and work on the Council of Inspectors General for Integrity and Efficiency (CIGIE), responding to congressional requests in 2012, and recent hires in the OIG.

Ms. Mikva gave the report of the Promotion & Provision for the Delivery of Legal Services Committee, and she was followed by Dean Minow who presented the report of the Finance Committee.

MOTION

Dean Minow moved that the Board approve a revised Temporary Operating Budget for Fiscal Year 2013.

VOTE

The motion passed by voice vote.

MOTION

Dean Minow moved that the Board approve the Fiscal Year 2014 budget submission requesting an appropriation of \$486,000,000.

VOTE

The motion passed by voice vote.

Mr. Maddox gave the Audit Committee report, and he was followed by Mr. Keckler, who presented the report of the Operations and Regulations Committee.

MOTION

Father Pius moved that the Board adopt the resolution accompanying the final rule on enforcement mechanisms, as amended by Mr. Keckler, which directs LSC management to provide an annual report on the way in which the enforcement mechanisms are used; the number of cases that arise; any due process issues that are raised; management's opinion on the need for, and effectiveness of, the changes going into effect; management's suggestions for proposed changes to advance due process; and any guidance issued related to the regulation. Mr. Keckler seconded the motion.

VOTE

The motion passed by voice vote.

MOTION

Father Pius moved that the Board adopt the final rule on enforcement mechanisms. Ms. Mikva commented on her opposition to the rule. Mr. Keckler seconded the motion.

VOTE

The motion passed by majority voice vote. Ms. Mikva and Ms. Reiskin voted against the motion.

MOTION

Mr. Keckler moved that the Board adopt the resolution authorizing the Operations and Regulations Committee to consider rulemaking options on the use of LSC funds for representation of eligible clients in any criminal matter before a tribal court.

VOTE

The motion passed by voice vote.

MOTION

Mr. Keckler moved that the Board adopt the resolution authorizing the Operations and Regulations Committee to consider rulemaking options on private attorney involvement in response to recommendations from the LSC Pro Bono Task Force Report.

VOTE

The motion passed by voice vote.

Dean Minow presented the report of the Governance and Performance Review Committee, and she was followed by Chairman Levi, who gave the Institutional Advancement Committee report.

MOTION

Dean Minow moved that the Board adopt a resolution thanking members of the Pro Bono Task Force for their service. Ms. Reiskin seconded the motion.

VOTE

The motion passed by voice vote.

Chairman Levi invited public comment and received none.

MOTION

Ms. Reiskin moved to close the meeting for executive session. Dean Minow seconded the motion.

VOTE

The motion passed by voice vote.

The open session meeting of the board adjourned into executive session at 1:43 p.m.

Resolution 2013-XXX

BOARD OF DIRECTORS

RESOLUTION

IN RECOGNITION AND PROFOUND APPRECIATION OF

DISTINGUISHED SERVICE BY

VICTOR M. FORTUNO

WHEREAS, Victor M. Fortuno (“Vic”) has performed thirty years of outstanding service to the Legal Services Corporation (“LSC” or “Corporation”), including service as its General Counsel, Corporate Secretary Vice President of Legal Affairs, and President; and

WHEREAS, Vic has served under 8 LSC Board Chairs and 13 LSC Board Presidents since arriving at LSC in 1983;

WHEREAS, Vic’s devotion to public interest work and his tireless efforts in the pursuit of equal access to justice have been a daily reaffirmation of the Corporation’s commitment to providing high-quality legal services to the nation’s poor; and

WHEREAS, throughout Vic’s tenure, he fostered an environment of collegiality in the workplace and has mentored numerous colleagues; and

WHEREAS, his leadership within the Office of Legal Affairs, the Corporation, and the legal services community at large has forged both lifelong collaborators and friendships; and

WHEREAS, Vic has dedicated his legal career to making the dream of civil justice a reality for all low-income Americans; it is therefore

RESOLVED that the LSC Board of Directors hereby commends, thanks, and congratulates Victor M. Fortuno for his thirty years of outstanding service to the Legal Services Corporation; and, be it further

RESOLVED that the President of the Corporation shall prepare a copy of this resolution for presentation to Vic as an expression of the Board’s gratitude for his contributions to the Legal Services Corporation and the promotion of legal services for low-income Americans.

Adopted by the Board of Directors

On April 16, 2013

John G. Levi
Chairman

James J. Sandman
President

IX. White House Forum on Increasing Access to Justice

Pro Bono Panel Bios

White House Forum on Increasing Access to Justice

Pro Bono Panel

April 16, 2013

Laurel G. Bellows, President, American Bar Association 2012-2013

Laurel Bellows, a principal of the Bellows Law Group, in Chicago, represents executives in the United States and internationally. She is an experienced business lawyer counseling senior executives and corporations on employment matters, employment and severance agreements, executive compensation and workplace disputes. Her expertise in executive compensation matters also includes mid-level management compensation and benefit plans, and matters involving incentives, pensions, retirement and workforce restructuring.

Ms. Bellows is currently president of the American Bar Association. Her one-year term as president began at the conclusion of the ABA Annual Meeting in August 2012. She has served as chair of the association's policymaking House of Delegates (2006-2008), the second highest elected office in the ABA. Bellows has also served as chair of the ABA Commission on Women in the Profession, and as a member of the ABA Board of Governors, where she chaired the Finance Committee. She was also president of the National Conference of Bar Presidents and chair of its Metropolitan Bar Caucus, ABA affiliates.

Bellows' work in the law and her community has been recognized by many publications. *Crain's Chicago Business* lists Bellows among its annual list of Power Players; in 2006, she was named one of the 28 Power Lawyers in the City by *Chicago Magazine*; she was cited as one of Chicago's 100 Women of Influence in 1996, also by *Crain's Chicago Business*; and Bellows was listed among *Working Mother Magazine's* 25 Most Influential Working Mothers in the country in 1997.

Bellows has been on the Illinois Supreme Court Commission on the Administration of Justice, and on the U.S. Senate Judicial Nominations Commission for Illinois. She has served as chair of the Chicago Network, a networking organization of diverse, professional women in the Chicago area. Bellows was the second female president of the 22,000-member Chicago Bar Association where she founded the Women's Alliance.

She is admitted and qualified as an attorney and counselor of the Supreme Court of the United States and is a mediator, certified through the Institute for Conflict Management. Bellows is licensed to practice in Illinois, Florida and California.

A graduate of the University of Pennsylvania and Loyola University School of Law, Bellows has practiced law for more than 30 years. She practices law with her husband, Joel, in Chicago. They have four children and four grandchildren.

Robert Grey, Partner, Hunton & Williams; Board Member, Legal Services Corporation; Former President, American Bar Association

Robert James Grey received his Bachelor's Degree from the Virginia Commonwealth University in 1973 and J.D. from Washington and Lee University in 1976. He started his own law firm two years later in 1978. In 1982, he was appointed by Governor Robb to the Virginia Alcoholic Beverage Control Board. He was appointed Chair in 1983 and served until 1985. Mr. Grey chaired the ABA Committee on Research about the Future of the Legal Profession from 2000 to 2002, the Commission on Opportunities for Minorities in the Profession from 1992 to 1995 and the Rule of Law Initiative. Mr. Grey is currently a partner at the firm Hunton & Williams which he joined in 2002; he is also affiliated with the McCammon Mediation Group Ltd. His practice focuses primarily on government relations and administrative matters before state and federal agencies. He also serves as the Vice Chair of the Hunton & Williams Community Service Committee. He was nominated to serve on the Board of Directors of the Legal Services Corporation by President Barack Obama in 2009 and his nomination was confirmed by the Senate in 2010.

Mr. Grey served also as president of the American Bar Association from 2004-2005 and Chair of the ABA House of Delegates from 1998 to 2000. During his tenure as ABA president, he instituted the American Jury Initiative to educate the public on the importance of service, led programs to increase diversity in the legal profession, and found to safeguard the profession's independence. He has been given the Gertrude E. Rush and the Wiley A. Branton awards by the National Bar Association, as well as the Alumni Star Award by the Virginia Commonwealth University.

Heather Hodges, Pro Bono Counsel, Neighborhood Legal Services Program of the District of Columbia

Heather L. Hodges joined Neighborhood Legal Services Program, a legal services provider, in 2010 as Pro bono Counsel after more than 10 years in private practice with the firms of Arnold & Porter LLP and Crowell & Moring LLP. Throughout much of her career, Ms. Hodges has had an extremely active, pro bono practice focused on principally on affordable housing, immigration and international human rights issues.

Ms. Hodges was the recipient of a 2010-2011 Women's Law and Public Policy Fellowship from Georgetown Law School –which is awarded to public interest lawyers who are committed to advancing women's rights throughout their careers. Her fellowship research focused on barriers to access to justice for women in Central America.

Ms. Hodges is on the Board of Directors of the Women's Bar Association of the District of Columbia; she also reports on gender-related law reform efforts around the world as a Contributing Editor to the ABA's International Models Project to Women's Rights. She is committed to improving access to justice for low-income residents of the District of Columbia.

Sheila Hubbard, Executive Director, Volunteer Lawyers Project of the Boston Bar Association

Sheila Hubbard became the Executive Director of the Volunteer Lawyers Project of the Boston Bar Association, a legal services corporation grantee, in February 2010. She received her Bachelor's Degree at Yale University before attending Harvard Law School for a J.D.

Ms. Hubbard began her professional career with the Department of Social Services as a homeless specialist. She then worked as a policy analyst for Mayor Raymond Flynn, and later served as Boston's director of the Minority and Women Business Enterprise Office. She was also involved in the formation of what is now the Boston's Lawyers Group, an organization of large Boston law firms and corporations which aims to hire and retain minority lawyers throughout the city. Ms. Hubbard has also worked on Governor Weld's legal staff and was eventually appointed by the Governor as head of the Massachusetts Parole Board. She later served as the Associate Director of the Office of Public Interest Advising at Harvard Law School, working with law students and alumni who wanted to pursue public interest and legal service careers.

Chief Justice Wallace B. Jefferson, The Supreme Court of Texas

Wallace Bernard Jefferson was born July 22, 1963. He attended John Jay High School in San Antonio Texas; and is also an alumnus of the James Madison College at Michigan State University and the University of Texas School of Law.

Chief Justice Jefferson was a practicing attorney in a private firm in San Antonio prior to joining the Court. He was also San Antonio Bar Association president in 1998-99 and was the San Antonio Young Lawyers Association's Outstanding Young Lawyer in 1997. Chief Jefferson has three times made Texas Judicial history. In 2001 he became the first African American on the Texas Supreme Court when he was appointed by Governor Perry; in 2002 he was one of the first two African Americans to be elected to the Court; and again in 2004, when he became the first African American chief justice in the state of Texas. His appointment as chief justice was confirmed unanimously by the Texas Senate in 2005. He was subsequently elected chief justice in 2006 and re-elected to a full term in 2008.

Chief Justice Jefferson is a member of the American Law Institute and is certified in civil appellate law by the Texas Board of Legal Specialization. He has received the "Pillars of the Foundation" award by the North Side Independent School District and is the namesake for the *Wallace B. Jefferson Middle School* in San Antonio. He has served as a director of the San Antonio Public Library Foundation, of the Alamo Area Big Brothers/Big Sisters and on the education committee of the San Antonio Area Foundation.

Chief Justice Jefferson and his wife, Rhonda, have three sons, William Douglas, Samuel Lewis, and Michael Andrew.

Chief Judge Jonathan Lippman, New York Court of Appeals

Jonathan Lippman was born on May 19, 1945 in Manhattan, New York; and is a product of the New York City public school system. He received his Bachelor's Degree in 1965 from New York University, from which he graduated Phi Beta Kappa and cum laude with a major in Government and International

Relations. He also attended New York University School of law and received his J.D. from this institution in 1968.

Chief Judge Lippman's career in the court system spans four decades, starting as an entry level court attorney and including service as a law clerk in the Supreme Court as well as Surrogate's Court and as a Principal Court Attorney for the Supreme Court, New York County, Civil Term. He was named Chief Clerk and Executive Office of that court in 1983. Chief Judge Lippman was appointed Deputy Chief Administrator for Management of the statewide court system in 1989. In 1995, he was appointed by Governor Pataki as a Judge of the New York Court of Claims and was subsequently reappointed to a full nine-year term on that court in 1998. From 1996 to 2007, he served as the Chief Administrative Judge of all New York State Courts and is the longest tenured person to have served in that capacity. In 2005, he was also elected as a Justice of the Supreme Court for the Ninth Judicial District. Two years later in 2007, Governor Spitzer appointed him to serve as the Presiding Justice of the Appellate Division of the Supreme Court, First Department. Chief Judge Lippman has also served as an Associate Justice of the Appellate Term, Ninth and Tenth Judicial Districts, from 2006 to 2007. He was appointed to his current post by Governor Paterson in 2009.

Chief Judge Lippman is a member of the Conference of Chief Justices, former President of the Conference of State Court Administrators, and former Vice-Chair of the Board of the National Center for State Courts. He lectures frequently in New York and around the country on access to justice and judicial branch leadership and innovation. He has published numerous articles and essays on these and other topics and received a variety of awards and honors, including the William H. Rehnquist Award for Judicial Excellence from the National Center for State Courts and the Cyrus R. Vance Tribute of the Fund for Modern Courts.

Chief Judge Lippman is married to Amy Lippman and they have two children, Russell and Lindsay –both of whom are practicing attorneys.

Chief Justice Chase T. Rogers, Connecticut Supreme Court

Chase T. Rogers was born and raised in the state of Connecticut. She received a Bachelor of Arts from Stanford University in 1979 and earned a Juris Doctor from Boston University School of Law in 1983.

Chief Justice Rogers was an attorney for the law firm of Cummings & Lockwood, where she specialized in commercial and employment litigation. She was elected as a partner of the firm in 1991. During her time with the firm, Chief Justice Rogers' assignments included overseeing the pro bono program and acting as the partner-in-charge for hiring associates.

She was nominated for the Superior Court in 1998 by Governor Rowland; and between 2001 and 2005, she was assigned to the Complex Litigation Docket in Stamford. From 2005 to 2006, she served as the presiding judge for civil matters in the Stamford-Norwalk Judicial District. In 2006, Chief Justice Rogers was nominated for and sworn into the Appellate Court. A year later, Governor Rell nominated her to be Chief Justice of the Connecticut Supreme Court; she was sworn in by former Chief Justice Ellen Ash Peters –Connecticut's first female Chief Justice.

Chief Justice Rogers currently serves on the State Justice Institute's Board of Directors. She was appointed to this position by President Barack Obama, with the approval of the Senate. She is also a member of the Connecticut Bar Foundation Fellows Nominating Committee, a member of the Commission on Official Legal Publications, an ex-officio member of the American Law Institute and an ex-officio Director of the Connecticut Bar Foundation. She previously served as a member of the Board of Directors for the Conference of Chief Justices, the Detention Crowding Oversight Committee and as a Faculty Member of the Connecticut Judge's Institute.

In 2010, Chief Justice Rogers received an honorary Doctor of Laws degree from the Quinnipiac University School of Law and a year later, she received an honorary degree from the University of Hartford. Additionally, she became an Adjunct Professor at the University of Connecticut School of Law in 2012.

In October 2012, Chief Justice Rogers was appointed a member of the Committee on Federal-State Jurisdiction of the Judicial Conference of the United States. She was appointed by Chief Justice John G. Roberts, Jr. of the United State Supreme Court; she will serve a three year term in this position.

Tony West, Acting Associate Attorney General of the United States, Department of Justice

California-born and bred, Tony West attended and graduated with honors from Harvard College, where he served as publisher of the *Harvard Political Review*, and received his law degree from Stanford Law School, where he was elected President of the *Stanford Law Review*.

He served in the Department of Justice a year after graduating from law school in the Clinton Administration. From 1993 through 1994, he served as a Special Assistant to the Deputy Attorney General. From 1994 to 1995, he was an Assistant United States Attorney in the Northern District of California. He then served as a state Special Assistant Attorney General in California for the following two years. Mr. West went on to be a litigation partner at the firm Morrison & Foerster LLP in San Francisco prior to returning to the Justice Department in 2009.

He was appointed the Acting Associate Attorney General of the United States in 2012. Prior to that, he was nominated by President Barack Obama to be the Assistant Attorney General for the Justice Department's Civil Division, a nomination which was confirmed in 2009. As the Acting Associate Attorney General, Mr. West's primary responsibility is to advise and assist both the Attorney General and the Deputy Attorney General in formulating and implementing departmental policies and programs. Mr. West is the third ranking official at the Department of Justice, and as such oversees the Department's civil litigating components and grant-making components.

In his capacity as Acting Associate Attorney General, Mr. West serves as the Co-Chair of the President's Task Force on Puerto Rico, the Vice Chair of the Steering Committee of the President's Financial Fraud Enforcement Task Force and the federal government's Chief FOIA Officer.

Mr. West is married to Maya Harris, Vice President at the Ford Foundation in New York.

Technology Panel Bios

White House Forum on Increasing Access to Justice
Technology Panel
April 16, 2013

Haydee Alfonso, Managing Attorney, Bay Area Legal Aid

Haydee Alfonso, Managing Attorney of Bay Area Legal Aid's Legal Advice Line, has been dedicated to serving the low income and disadvantaged communities in the Bay Area for over 17 years.

Ms. Alfonso earned a joint JD/MBA from Santa Clara University's School of Law and School of Business in 1993. After graduating, Ms. Alfonso joined Gordon & Rees, a nationally recognized private law firm, where she worked as a business attorney.

After three years in the private sector, she was presented with a unique opportunity to develop a community-based project which utilized both her business acumen and legal expertise. Ms. Alfonso joined the Volunteer Legal Services Program (VLSP) of the Bar Association of San Francisco. At VLSP, she developed and managed one of the nation's first business law projects serving community-based organizations with their legal needs. During her tenure, she also served on the California State Bar's Committee on the Delivery of Legal Services.

In 2008, Ms. Alfonso joined Bay Area Legal Aid -- the largest regional provider of free civil legal services in the Bay Area region. She now manages the region's only free civil legal advice hotline serving over 16,000 callers annually. In 2011, she was part of the first graduating class of One Justice's Executive Fellowship Program for Nonprofit Management, and in 2013, she served on the faculty of the Shriver Center's course on Essential Skills for Hotline Supervisors.

Lisa Colpoys Executive Director, Illinois Legal Aid Online

Lisa Colpoys is the Executive Director of Illinois Legal Aid Online (ILAO); a position she has occupied since 2002. She has been with the organization since its inception in 2001 and prior to becoming Executive Director she served as Legal Content Manager. ILAO is a nationally-recognized statewide technology center for legal services which aims to develop technology and information to increase access to justice for Illinois residents. Before ILAO, Ms. Colpoys served as Director of Legal Services and as a staff attorney at Coordinated Advice and Referral Program for Legal Services (CARPLS). She also spent several years in private practice in Chicago as a sole practitioner. Ms. Colpoys serves on numerous national, state and local groups dealing with technology, the delivery of legal services, and self-represented individuals. She was named one of "40 under 40" Illinois Attorneys to Watch by the Law Bulletin Publishing Company in 2003. She received her Bachelor's Degree from Rutgers University, and her J.D. from Loyola University Chicago.

Judge Fern A. Fisher, Deputy Chief Administrative Judge for New York City Courts

Justice Fern Fisher serves as Deputy Chief Administrative Judge for New York City Courts and is also charged with state-wide responsibility for access to justice issues. She received her Bachelor's Degree in 1975 from Howard University, from which she graduated Phi Beta Kappa and summa cum laude. She also attended Harvard Law School and received her J.D. from this institution in 1978.

Justice Fisher's career began in the Civil Court as a Legal Services attorney practicing in Manhattan Housing Court. She served as Deputy Director of Harlem Legal Services, Inc. and as an Assistant Attorney General of the New York State Department of Law. For years she provided pro bono legal services to Harlem-based community organizations as a project director of the National Conference of Black Lawyers. In 1989, she was appointed Judge of the Housing Part of the Civil Court where she served as Deputy Supervising Judge. In 1993, she was elected to New York's Supreme Court where she was assigned to the City and Matrimonial Parts. In 1996, she was appointed Administrative Judge of the Civil Court of the City of New York where she served until March 2009 when she was appointed to her current position.

Justice Fisher is a founding member of the Metropolitan Black Bar Association and a member of Judicial Friends (an affiliate of the Judicial Council of the National Bar Association), the Association of the Bar of the City of New York and the New York County Lawyers Association. She has also served as the Chair of the Housing Court (Judges) Disciplinary Committee and Chair of the Anti-Bias Committee of the New York County Supreme Court. In 2006 she was the recipient of the Harvard Law School Gary Bellow Public Interest Award.

Nan Heald, Executive Director, Pine Tree Legal Assistance

Nan Heald is the Executive Director of Pine Tree Legal Assistance in Maine; a position she has occupied since 1990. She grew up in Oqiossoc in the western mountains of Maine, graduated from Smith College in 1977 and George Washington University Law School in 1980.

Under her leadership, Pine Tree has strengthened and expanded legal services to diverse client populations and in new areas of law thereby making justice more accessible to all residents of Maine. She has encouraged the innovative use of technology to expand access to legal information and self-help tools, an effort which began in 1996 with the creation of Pine Tree's website.

Ms. Heald currently serves on the national Legal Services Corporation Task Force on Pro Bono, the Maine Judicial Branch's Advisory Committee on Fees, and the Advisory Committee of Providers to Maine's Justice Action Group. She has been recognized as one of the inaugural Lawdragon 500 Leading Lawyers in America and was selected as MaineBiz "Woman to Watch" in 2010. She has also been honored for her work by the Maine Veterans Coordinating Committee, the Main Judicial Branch, the Maine Civil Liberties Union and the White House Champion of Change program.

John Mayer, Executive Director, Center for Computer Assisted Legal Instruction

John Mayer is the Executive Director of the Center for Computer-Assisted Legal Instruction (CALI). He has been working in legal education for 25 years and has been with CALI since 1994. CALI is a nonprofit organization with more than 200 US law school members; it publishes web-based tutorials covering 30 different legal subject areas, publishes open-access textbooks for law schools, and creates authoring systems for automating legal processes for legal aid lawyers and courts among other activities which lie at the intersection of law, education, technology and access to justice. Under Mr. Mayer's leadership, the A2J software was developed in 2004; this assists employees of courts, clerks' offices, and legal services programs to develop Web-based, user-friendly instructions and forms for use by self-represented litigants. The software is now used in 40 states which have created some 800 different kinds of legal forms. In 2012 Mr. Mayer was recognized as a Champion of Technology by Law Technology News Magazine in its Innovation Awards. Mr. Mayer has a Bachelor's Degree in Computer Science from Northwestern University in Illinois and a Master's Degree in Computer Science from the Illinois Institute of Technology.

Glenn Rawdon, Program Counsel for Technology, Legal Services Corporation

As program counsel for technology, Glenn Rawdon is responsible for helping legal services programs with their technology efforts and with the administration of the Technology Initiative Grants (TIG) program. Since the program started in 2000, TIG has made over 500 grants totaling over \$40 million. He has been very active in national efforts to assist pro se litigants and participated in the founding of the Self-Represented Litigation Network. Before coming to LSC in 1999, he was a managing attorney at Legal Services of Eastern Oklahoma for five years and before that, he was in private practice. He has served as co-chair of the Law Office Management section of the Oklahoma Bar Association and was a member of the Legal Technical Advisory Counsel of the ABA.