

California Uniform Reporting System for Title III-B Legal Service Instructions and Definitions

Table of Contents

	<u>Page</u>
Preface	i
Part One: Purpose/Goal of the Reporting System	1
Part Two: Instructions for Submission of Reports	
A. Submission by Legal Providers to Area Agencies (AAAs) ..	1
B. Submission by AAAs to CA Department of Aging (CDA)	1
C. Report Periods and Due Dates	1
Part Three: Instructions for Completing Quarterly Report Form	
A. Instructions for Completing <u>Page 1 of Form</u> : General Information & Unduplicated Client Information	2
1. Information on Legal Provider	2
2. Information on Area Agency on Aging	2
3. Summary Totals for the Quarter	2
4. Unduplicated Client Information: Client Characteristics	3
B. Instructions for Completing <u>Page 2 of Form</u> : Case Information	3
1. Table for Cases Opened in the Quarter	4
2. Table for Cases Closed in the Quarter	4
3. Total Estimated Case Hours	5
C. Instructions for Completing <u>Page 3 of Form</u> : Outreach/Community Education Information	5
1. Special Outreach Activities	5
2. Community Legal Education Programs	6
D. Instructions for Completing <u>Page 4 of Form</u> : <u>Optional</u> Narrative Information	6
1. Optional -- Success Stories / Case Summaries	7
2. Optional -- Collaboration with Other Elder Rights Advocacy Groups	7
Part Four: Definitions & Explanations	
A. General Definitions	7
B. Legal Problem Code Definitions/Explanations	12
C. Case Closing Code Definitions/Explanations	17

PREFACE

The California Uniform Reporting System (URS) for Title III-B Legal Services Providers was developed by the Legal Services Developer within the California Department of Aging (Department) in conjunction with representatives from the Area Agencies on Aging (AAAs), Legal Services Providers (LSPs) and The Center for Social Gerontology in Ann Arbor Michigan.

In 2005, the Department impaneled a workgroup consisting of four AAAs, six LSPs, two departmental staff and two facilitators from The Center for Social Gerontology. The goal of the workgroup was to develop the URS for Title III-B providers in California. The initial draft of the URS was completed in December 2006. From January 1 through December 31, 2007, the Department piloted the URS with four AAAs and four LSPs for the purpose of testing the workability of the system. The URS consists of an Intake form (optional), a Quarterly Aggregate Report form and an Instructions & Definitions manual.

While there is no federal mandate for Title III-B LSPs to report more than the units of service (in which one unit of service equals one hour), and the number of individual clients served (known as the unduplicated count), the Department has the responsibility to ensure that the limited Title III-B resources are being effectively targeted to those in greatest need as prescribed by the Older Americans Act (OAA).

The URS was designed to help assess whether limited Title IIIB legal services are being effectively targeted. The URS is intended to show the types of people legal providers are serving in order to give a clearer picture of target groups that might need more attention; types of legal problems being addressed for older Californians; and types/levels of services being provided.

It is the hope of the Department that the URS will provide an uncomplicated system to collect meaningful, statewide information that will be used to help build support for, and understanding of the importance of, legal services to older Californians.

On behalf of the California Department of Aging, I wish to sincerely thank each member of the workgroup. This system could not have been developed without your boundless contributions. THANK YOU.

January 2008

Chisorom U. Okwuosa, Esq.
Legal Service Developer
State of California

Instructions and Definitions

Part One: Purpose / Goal of the Reporting System

The goal in developing and using the California Uniform Reporting System (URS) for Title III-B Legal Services is to provide an uncomplicated system to collect meaningful, statewide information that will be used to help build financial and other support for, and understanding of the importance of, legal services to older Californians. Further, it will be used to help assess whether limited Title IIIB legal services are being effectively targeted to those in greatest need as required in the Older Americans Act (OAA).

The URS is intended to show the:

- types of people legal providers are serving in order to give a clearer picture of target groups that might need more attention;
- types of legal problems being addressed for older Californians; and
- types/levels of services being provided.

Part Two: Instructions for Submission of Reports

A. Submission by Legal Services Providers (LSPs) to Area Agencies on Aging (AAAs)

LSPs must submit reports on a quarterly basis to each AAA that provides them with Title III-B funds. The deadline for submission of report by LSPs to AAAs is to be established by individual AAAs in consultation with their LSPs. In establishing the deadline, it is recommended that each AAA allow sufficient time for its review of the report prior to its deadline for submission to the California Department of Aging (CDA). LSPs are not to submit their reports directly to CDA.

B. Submission by AAAs to the California Department of Aging (CDA)

Reports are due quarterly from AAAs to the CDA. AAAs are responsible for validating the data and submitting the reports to CDA per the Terms and Conditions of their contracts with the CDA. Report(s) should be sent by the AAA to CDA in any of the following three formats:

- a. E-mail: DataTeam.Reports@aging.ca.gov
- b. Fax: (916) 928-2510, Attention Data Team – Paper Reports
- c. US Mail: California Department of Aging
Attention: Data Team
1300 National Drive, Suite 200, Sacramento, CA 95834

C. Report Periods and Due Dates

Quarterly report periods and due dates are as follows:

<u>Report Periods</u>	<u>Due Date from LSPs to AAAs</u>	<u>Due Date from AAAs to CDA</u>
July 1 – Sept. 30	October–Date set by AAA	October 31
Oct. 1 – Dec. 31	January–Date set by AAA	January 31
Jan. 1 - March 31	April–Date set by AAA	April 30
April 1- June 30	July–Date set by AAA	July 31

The first required quarterly report will cover the period of July 1 – Sept. 30, 2008, and is due to CDA by October 31, 2008.

Part Three: Instructions for Completion of Quarterly Report Forms

The Quarterly Report Form is four (4) pages and is designed to capture the following: Information about the reporting LSP and AAA; Summary Totals for the Quarter; Information on Client Characteristics for Unduplicated Clients; Information on Cases Opened and Closed; Information on Outreach/Community Legal Education; Optional Narrative Information; and the Legal Providers' best estimates of the total number of hours spent during the report period working on (a) individual case work, (b) special outreach activities, and (c) community legal education programs / activities.

Note: All sections of the form are to be completed by Legal Providers with the exception of the second section/ box on page 1, which is to be completed by the AAA.

Note: All terms marked with an asterisk (*) on the report form are addressed in PART FOUR -- the Definitions/ Explanations Section of this document.

A. Instructions for Completing Page 1 of Form – General Information and Unduplicated Client Information

1. Information on the Reporting LSP

In the first section/box of page 1, provide information about the LSP submitting the report to the AAA.

2. Information on the Reporting AAA.

In the second section/box, provide information about the AAA submitting the report to CDA. This is the only section of the form to be completed by the AAA.

3. Summary Totals for the Quarter

In the third section/box, provide information about the following:

- Total number of Unduplicated Clients for whom intake occurred/cases were opened during the quarterly report period. This figure should be the Total Unduplicated Client Total for Quarter in the Client Characteristics for Unduplicated Clients in Cases Opened This Quarter on the bottom right side of page 1 of the form.
(See PART FOUR A. General Definitions section below for explanation of "unduplicated client count")
- Total number of Cases Closed during the report period -- this is the sum of all Cases Closed in the report period. This figure should be the sum of the three Cases Closed totals on the bottom right side of page 2 of the form.
- Total number of Units of Service provided in the quarter (1 Unit = 1 hour) - This figure should equal the total units of service that the provider reports to its AAA(s) for the quarterly report period. This figure should be the sum of the Total Estimated Case Work Hours Spent (page 2), Total Estimated # of Special Outreach Activity Hours in the Quarter (page 3), and Total Estimated # of Community Legal Education Hours in the Quarter (page 3)

(See PART FOUR A. General Definitions section below for explanation of “unit of service.”)

4. Unduplicated Client Information: Client Characteristics

In this section, provide information about the characteristics of each unduplicated client served. Do not include in this section, information about legal cases handled. The purpose of this section is to help assess whether the target populations specified in the Older Americans Act are being reached/served. All client information is to be reported at the time of client intake, and is to be reported for unduplicated clients only. This means that information on an individual client is to be reported only once for the Year, no matter how many times the individual client returns for assistance, on either the same or a different legal issue, during the Year (see definition of “Year” below). If an individual client carries over from one Year to the next, that client and his/her characteristics should be reported again in the first quarter of the new Year.

“Year” Defined for Purposes of Counting Unduplicated Clients:

In counting “unduplicated” clients for this uniform reporting system, the “Year” is the California Fiscal Year – July 1 through June 30. The first year for the uniform reporting system is July 1, 2008 through June 30, 2009.)

Unduplicated Client Information to be Reported:

- Client Age: the total number of clients in all age categories will equal the total unduplicated client count for the quarter.
- Client Gender: the total number of clients by gender will equal the total unduplicated client count for the quarter.
- Other Client Characteristics: All characteristics that apply to an individual client are to be reported, making the total greater than the total unduplicated client count. For this reason, the form does not ask for a “Total” of Other Client Characteristics.
- Client Ethnicity: This is a separate category from Race and should include only those clients in the unduplicated client count who self-identify as Hispanic / Latino.
- Client Race: Race should be reported for all unduplicated clients regardless of their ethnicity. However, only one race category should be reported for each unduplicated client. If a client self-identifies as being of two or more races, report the client only once under the "Two or More" category. Thus, the total for all race categories will equal the total unduplicated client count.

(Note: The breakdown under Asian/Pacific Islander complies with California Government Code 8310.5)

B. Instructions for Completing Page 2 of Form – Case Information

Page 2 of the form is designed to capture information about legal cases, rather than unduplicated clients. It will capture information on both the types of legal problems addressed and the levels of service provided. Page 2 should include

information on all cases, regardless of whether the client is duplicated or unduplicated. This is because individual clients often need assistance in more than one legal case.

1. Table for Cases Opened in the Quarter

In the section/box on the left side of page 2, report the total number of cases opened in the reporting period by the "legal problem code" (type of legal issue to be addressed) listed down the left side.

(See PART FOUR, section B – Legal Problem Code Definitions/Explanations -- to determine which legal issues fall under which of the legal problem codes.)

Cases Opened are to be reported in the quarter the case was opened, regardless of whether the client is duplicated or unduplicated. A case is opened when the LSP opens a new file for a client, regardless of whether the client received services in a previous quarter.

The Legal Problem Codes are listed down the left side. Report only one Legal Problem Code per case opened.

The number of cases opened should reflect all cases opened for all clients within the reporting quarter. If, for example, a landlord/tenant and Medicare case are opened for Mrs. X within the same report period, they are reported as two separate cases opened under the two different legal problem codes. Similarly, if a landlord/tenant case file is opened for Mrs. X in one reporting quarter and a Medicare case file is opened for Mrs. X in the following reporting quarter, the opened cases are to be reported separately in the different reporting quarters.

2. Table for Cases Closed in the Quarter

In the section/box on the right side of page 2, report the total number of cases closed in the Reporting quarter. Report Cases Closed by both the Legal Problem Code (listed on the left side of the page) and the Case Closing Code/Level of Service. There are three Case Closing Codes listed across the top right side of page 2 -- Counsel and Advice (CA), Limited Additional Service (LAS), and Legal Representation (LR). On the bottom right of page 2, report the total cases closed for each of the three Case Closing Codes/Levels of Service.

(See PART FOUR, sections B and C below to determine which legal issues fall under which of the Legal Problem Codes, and which levels of service fall under which of the Case Closing Codes.)

Cases Closed are to be reported in the quarter the case was closed, regardless of whether the client is duplicated or unduplicated. A case is closed when the LSP has concluded the case and closed the file, regardless of whether the client has been served previously.

Report only one Legal Problem Code per case closed. Also, report only one Case Closing Code per case closed. Select the Case Closing Code that reflects the highest level of service provided.

The number of cases closed should reflect all cases closed for all clients within the reporting quarter. If, for example, a landlord/tenant case and a Medicare case are both closed for Mrs. X within the same reporting quarter, the cases are reported as two separate cases closed that period under the appropriate "legal problem code" and "case closing code." Similarly, if a landlord/tenant case file is closed for Mrs. X in one reporting quarter and a Medicare case file is closed for Mrs. X in another reporting quarter, the cases are reported separately as cases closed in the different reporting quarters.

3. Total Estimated Case Work Hours in the Quarter

In this section/box at the bottom of page 2, report a best estimate of total hours spent during the reporting quarter on case work. Include in your estimate, time spent on all case-related activities, for example: client intake/conflict check; case preparation; case-related research/investigation; meetings/phone calls/emails with clients and others involved in cases; case-related travel; preparing pleadings, letters and other documents; and appearance in court / administrative hearings.

Note: The total number of cases opened and cases closed will not equal each other as most cases are unlikely to be opened and closed in the same quarter.

Also Note: If more than one case is opened for a single client, they will not necessarily be opened or closed in the same quarter.

C. Instructions for Completing Page 3 of Form – Outreach / Community Legal Education Information

Page 3 of the report form is designed to capture information about:

- special outreach activities, especially those undertaken to reach particular target groups; and
- community legal education programs/activities.

Note: If more space is needed, the cells are set up to expand as you type. Additional sheets can be attached as needed/desired.

1. Special Outreach Activities

Outreach is key to implementing the requirements of the Older Americans Act that requires targeting limited IIB services to particularly needy older persons -- both socially and economically. In the first section/box of page 3, outline efforts/activities designed to inform potential clients (especially the target populations) of ways in which legal services can be helpful in different situations; of the availability of legal services; the priority legal issues handled by the legal provider; and how to access services.

Examples of outreach activities include: presentations to target groups of elders and groups of providers/ secondary referral sources who work with target groups; radio or television public service announcements (PSAs) on stations/channels used by target groups; flier distribution in key locations

where target populations are likely to be the recipients, media releases, targeted mailings, and so forth.

At the bottom of this section/box, please report the total number of special outreach activities in the quarter. Also, report a best estimate of total hours spent during the report period on special outreach activities. In your estimate of total outreach hours, include time spent on all outreach-related activities, for example: preparation/set up time; materials preparation; time spent meeting with/presenting to target groups of clients and/or those who work with particular target groups; and travel time.

2. Community Legal Education Programs / Activities

In this second section/box, outline programs / activities designed to educate older persons (especially the target groups), their families, and other service providers who work with them. Community education is used to help people recognize when they have a problem that is legal in nature and when they should seek legal assistance. It is also often used for "preventive" purposes, that is, to alert and educate people about legal problems so they can be avoided. Community legal education aims to disseminate general (as opposed to case-specific) legal information about legal rights, responsibilities, government benefits, housing issues, planning techniques, scams, etc. to larger numbers of elders than providers could hope to help individually. Many community legal education programs will also involve an "outreach" dimension.

Some community education activities may not have a specific location, and it may not be possible to estimate the number of people reached. Indicate on the form that the number cannot be estimated. Examples include preparation and dissemination of educational brochures and fact sheets on issues of particular importance to target groups, call-in shows, publishing articles in area agency newsletters and newsletters directed to particular target groups, and so forth.

At the bottom of this section/box on page 3, report the total number of community legal education programs/activities conducted in the quarter. Also, report a best estimate of total hours spent during the report period on community legal education programs/activities. In your estimate of total community legal education hours, include time spent on all community education-related activities, for example: preparation/set up time; materials preparation; time spent on presentations; and travel time.

D. Instructions for Completing Page 4 of Form – Optional Narrative Information

Completion of page 4 of this form is optional. However, LSPs are strongly encouraged to complete it. Page 4 is designed to capture information that can be extremely meaningful in "telling the story" of legal services and the significant

impact these services have on the lives and well-being of older persons, particularly those who are most vulnerable and who are targeted under the OAA.

1. Optional Narratives: Success Stories/Case Summaries
This section of the report allows each LSP to provide important information that cannot be captured from numbers/statistics. It provides the LSP an opportunity to highlight cases/activities/staff training that are particularly notable. This sort of anecdotal information can help "paint a picture" and be very valuable when attempting to convey the actual impact of legal services on the lives and well-being of those served by the programs. DO NOT INCLUDE CLIENT IDENTIFYING INFORMATION.
2. Optional Narratives: Collaboration with Other Elder Rights Advocacy Groups
This final section/box allows LSPs to briefly describe important collaborative efforts undertaken during the reporting quarter with other elder rights advocacy groups. This could include collaboration with, and support to, long-term care ombudsman, adult protective services, HICAP, AAAs, State agencies and organizations, and others working on elder rights advocacy issues.

Part Four: Definitions & Explanations

This section is divided into three parts:

- A. General Definitions
- B. "Legal Problem Codes" -- Definitions/Explanations"
- C. "Case Closing Codes" -- Definition/Explanations

A. General Definitions

1. African American
Those with origins in any black racial groups of Africa. (See Definition of "Race" below.)
2. Area Agency on Aging (See also Definition of "PSA/AAA Number" below.)
Area Agencies on Aging (AAA) and Planning and Service Areas (PSA) are essentially the same. AAA means the private nonprofit or public agency serving as the area agency and is identified by name, while PSA means the geographical Planning and Service Area served by a particular Area Agency and is identified by a number. For example, the Los Angeles County Area Agency on Aging is PSA 19.
(For a listing of California AAAs/PSAs by number, go to: <http://www.c4a.info> Click on "Who We Are" and scroll down to "Member Directory.")
3. Asian / Pacific Islander (See Definition of "Race" below.)
Asian are those with origins in the Far East or Southeast Asia. Pacific Islanders are those having origins in Hawaii, Guam, Samoa, or other Pacific Islands.
4. Caucasian (See Definitions of "Race" and "Non-Minority" below.)

Those with origins in Europe, the Middle East, or North Africa. This includes persons who indicate themselves as Irish, German, Italian, Lebanese, or Polish.

5. Client Declined to Provide Information (See Definition of "Race" below.)
Those who do not wish to provide their race, or for whom the legal provider cannot obtain it. Also, those who do not wish to provide their age, or for whom the legal provider cannot obtain it

6. Ethnicity
Ethnicity represents social groups with a shared history, sense of identity, geographical and cultural roots that may occur despite racial difference. The Federal government of the United States has mandated that "in data collection and presentation, federal agencies are required to use a minimum of two ethnicities: 'Hispanic or Latino' and 'Not Hispanic or Latino.' The distinct questions accommodate the possibility of Hispanics in the U.S. also declaring various racial identities."

Hispanic/Latino Ethnicity

Persons who see themselves as Mexican, Mexican-American, Puerto Rican, Cuban, or Spanish descent, regardless of race.

For purposes of this report, "Hispanic/Latino Ethnicity" and "Race" are two separate Client Characteristics. People may identify as belonging to any Race and identify as Hispanic/Latino Ethnicity.

7. Fiscal Year for California
A period of twelve consecutive months beginning July 1 and ending June 30. The "Year" to be used for purposes of this Report is the California Fiscal Year.

8. Frail/Disabled
Persons 60+ having a physical or mental disability, including having Alzheimer's disease or a related dementia, that restricts the ability of an individual to perform normal daily tasks or which threatens the capacity of an individual to live independently.

9. Greatest Economic Need
The need resulting from an income level at or below the poverty line. The purpose of reporting "greatest economic need" is to provide an indicator of the extent to which this specific "target" group identified in the Older Americans Act (OAA) is being reached and served. Because means-testing for legal assistance is prohibited under the OAA, "greatest economic need" is not to be used to determine eligibility for service.

For purposes of this report, Legal Services Corporation (LSC) income eligibility guidelines are to be used to assist in identifying OAA Title IIIB clients who should be counted as in "greatest economic need." These

LSC eligibility guidelines are updated annually. In 2007, these LSC guidelines include --

- older persons receiving income from a government assistance program for low-income persons (e.g. Supplemental Security Income, Food Stamps, Medi-Cal)
- older persons whose income:
 - (a) is no more than 125% of Federal Poverty Guidelines¹.
 - (b) is no more than 200% of Federal Poverty Guidelines and who have other factors that affect their ability to afford legal help (e.g. major medical expenses, fixed debts, tax liabilities).
 - (c) must mostly go for nursing home/medical care and the remainder is not more than 125% of Federal Poverty Guidelines.

10. Hispanic / Latino Ethnicity (See Definition #6, Ethnicity)

Persons who see themselves as Mexican, Mexican-American, Puerto Rican, Cuban, or Spanish descent, regardless of race.

11. Homebound

A person for whom leaving home requires considerable and taxing effort, for example, a person who needs personal assistance or the help of a wheelchair or crutches or a person who lacks access to transportation to a legal provider. (Occasional but infrequent outings or walks around the block are allowable.).

12. Institutionalized

Any person who lives in a government-regulated facility offering health or health-related services, such as but not limited to: nursing homes, skilled nursing homes, nursing centers, intermediate care facilities, extended care facilities, convalescent homes, rehabilitation centers, assisted living facilities, residential care facilities for the elderly, comprehensive personal care homes, special hospitals, veterans' hospitals, chronic disease hospitals, psychiatric hospitals, sanitariums, mental hospitals, and mental retardation centers or facilities.

13. Minority

All those who are either of Hispanic/Latino origin/ethnicity or who are not Caucasian (including "Two or More Races" and "Race Unknown/Some Other Race").

14. Native American / Native Alaskan (See Definition of "Race" below.)

Those having origins in North and South America, and who maintain tribal affiliation, including American-Indian, Canadian-Indian, French-American Indian, or Spanish American-Indian.

¹ Note: The federal poverty guidelines are updated annually and published in the Federal Register early in the year. CDA posts the annual federal poverty guidelines at http://www.aging.ca.gov/Data_and_Statistics/Default.asp#Poverty

15. Non-Minority

Caucasian -- Those with origins in Europe, the Middle East, or North Africa. This includes persons who indicate themselves as Irish, German, Italian, Lebanese, or Polish.

16. PSA/AAA Number (See also definition #2, Area Agency on Aging (AAA))

PSA means Planning and Service Area. PSAs are essentially the same as AAAs. PSA means the geographical area served by a particular AAA, and is identified by a number. (California has PSA 1 through PSA 33). AAA means the private nonprofit or public agency serving as the area agency, and is identified by name. For example, "PSA 19" is the Los Angeles County AAA.

For a listing of California AAAs/PSAs by number, go to: <http://www.c4a.info> Click on "Who We Are" and scroll down to "Member Directory."

17. Race

The U.S. Census defines "race" as self-declared descriptors of a person's social and cultural characteristics as well as ancestry. The groupings used in this report follow the same standards used by the U.S. Census Bureau (adhering to the October 30, 1997 Federal Register Notice "Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity" issued by the Office of Management and Budget (OMB).)

Race categories for this report are:

- Two or More Races: Those who identify themselves as multiple races.
- Caucasian: Those with origins in Europe, the Middle East, or North Africa. This includes persons who indicate themselves as Irish, German, Italian, Lebanese, or Polish.
- African American: Those with origins in any black racial groups of Africa.
- Native American/Native Alaskan: Those having origins in North and South America, and who maintain tribal affiliation, including American-Indian, Canadian-Indian, French-American Indian, or Spanish-American Indian.
- Asian/Pacific Islander: Asian are those with origins in the Far East or Southeast Asia. Pacific Islanders are those having origins in Hawaii, Guam, Samoa, or other Pacific Islands.
Note: California law (Government Code, Section 8310.5) requires twelve (12) breakouts (or sub-sets) of the Asian and Pacific Islander category as follows -- 1) Asian Indian, 2) Cambodian, 3) Chinese, 4) Filipino, 5) Japanese, 6) Korean, 7) Laotian, 8) Vietnamese, 9) Guamanian, 10) Hawaiian, 11) Samoan, and 12) Other Asian/Pacific Islander.
- Race Unknown/Some Other Race: Those who do not know their race or who identify with any other single racial group not identified in the above-listed groups.
- Client Declined to Provide Information: Those who do not wish to provide their race, or for whom the legal provider cannot obtain it.

18. Race Unknown / Some Other Race (See Definition of "Race" above.)

Those who do not know their race or who identify with any other single racial group not identified in the above-listed groups.

19. Rural

A rural area is any area that is not defined as urban. Urban areas comprise (1) urbanized areas (a central place and its adjacent densely settled territories with a combined minimum population of 50,000) and (2) an incorporated place or a census-designated place with 20,000 or more inhabitants. LSPs are to count everyone who does not live in a city as rural.

20. Suspected Victim of Elder Abuse/Exploitation

This is a client characteristic as opposed to a legal problem code and includes a client who appears to be vulnerable and in a situation where abuse or exploitation is likely. (See PART FOUR B, CA Code G2 for explanation of Elder Abuse as a Legal Problem Code.)

21. Two or More Races (See Definition of "Race" above.)

Those who identify themselves as multiple races.

22. Unduplicated Client Count

The number of different individual clients who received legal assistance from the provider during a Year. For the unduplicated count, a client is counted only once for the Year, regardless of how many times the individual returned that year for assistance on either the same or different legal issues. For purposes of this report, the Year to be used in counting/reporting unduplicated clients is the California Fiscal Year, which is July 1 through June 30. If an individual client carries over from one Year to the next, that client should be counted and reported again as an unduplicated client in the first quarter of the new Year

23. Unit of Service

A "unit of service" for legal assistance services equals one hour. Typically, the units/hours of service reported to the individual AAAs include all activities related to direct client case work, as well as hours spent on other activities important to the overall quality and impact of the legal program. This includes such things as outreach activities, particularly those directed to specific populations targeted under the Older Americans Act; community legal education programs/activities (important to targeting and for doing preventive law); and working collaboratively with other advocates on elder rights issues.

23. Year

For purposes of this Reporting System, in particular for counting “unduplicated” clients, the Year to be used is the California Fiscal Year – July 1 through June 30. The first Year for reporting data/counting unduplicated clients for this uniform reporting system is July 1, 2008 through June 30, 2009.

B. Legal Problem Code Definitions/Explanations

This section describes which legal issues are to be reported under the various California "Legal Problem Codes" on page 2 of the Report Form. It also identifies which Legal Services Corporation (LSC) Legal Problem Codes/Code Numbers are to be reported under each of the broad California Problem Codes used in this reporting system. In 2008, LSC updated its Legal Problem Codes. Their changes added several new LSC Problem Codes and changed several existing Codes. Because of the recent update by LSC, the following table provides two columns of LSC Legal Problem Codes to be reported under the broader California Codes. One column – Comparable LSC/Kemps Codes as of 12/07 -- is for use by Title III-B legal providers who track data using the old LSC Codes, for example, III-B providers who use a Kemps data system that pre-dates the LSC 2008 updates. The other column – Comparable New/Updated LSC Codes as of 1/08 -- is for use by LSC and other Providers who have already converted their data system to reflect the updated LSC codes.

**California IIIB Legal Problem Code Definitions/Explanations
with Comparable Codes for
LSC/Kemps Codes as of 12/07 & Updated LSC Codes of 1/08**

CA Code #	California IIIB Problem Code Definitions / Explanations	Comparable LSC/ Kemps Codes as of 12/07	Comparable Updated LSC Codes of 1/08
A.	<u>CONSUMER / FINANCE</u>		
A1	<u>Bankruptcy/Debt Collection:</u> Service to consumers with problems related to debt collection practices or bankruptcy actions	01-Bankruptcy/Debtor Relief 02-Collection (including Repossession/Deficiency/Garnishment)	01-Bankruptcy/Debtor Relief 02-Collection (Incl. Repossession/Deficiency/Garnishment; 04-Collection Practices/Creditor Harassment
A2	<u>Contracts/Warranties:</u> Services to consumers with problems related to contracts/warranties...	03-Contracts/Warranties	03-Contracts/Warranties
A3	<u>Other Consumer/Finance:</u> Legal Assistance with a broad range of consumer problems, including but not limited to, problems related to predatory lending (not real property) utility services, age discrimination in credit and unfair sales practices.	04-Credit Access; 05-Energy (Other than Public Utilities); 06-Loans/ Installment Purchase (Other	05-Predatory Lending Practices(Not Mortgage); 06-Loans/Installment Purchase (Not Collections);

CA Code #	California IIB Problem Code Definitions / Explanations	Comparable LSC/ Kemps Codes as of 12/07	Comparable Updated LSC Codes of 1/08
		than Collection); 07-Public Utilities; 08-Unfair Sales Practices; 09-Other Consumer/ Finance	07-Public Utilities; 08-Unfair and Deceptive Sales and Practices (Not Real Property); 09-Other Consumer Finance
B.	EMPLOYMENT		
B1	<u>Discrimination:</u> Issues related to workplace, age or disability discrimination, as well as hiring and termination questions or problems.	21-Job Discrimination	21-Employment Discrimination
B2	<u>Other Employment:</u> All other employment related questions and assistance, including but not limited to wage claims and Fair Labor Standards Act questions.	22-Wage Claims; 29-Other Employment (Including CETA)	22-Wage Claims and other FLSA (Fair Labor Standards Act) Issues; 24-Taxes (Not EITC); 25-Employee Rights; 29-Other Employment
C.	FAMILY		
C1	<u>Divorce/Custody/Visitation/Support/Grandparent Rights:</u> Legal assistance related to legal separation, divorce, support, custody or visitation, including grandparent custody & visitation	31-Custody/Visitation; 32-Divorce/ Separation/ Annulment; 38-Support	31-Custody/Visitation; 32-Divorce/ Separation/ Annulment; 38-Support
C2	<u>Conservatorship:</u> This category includes all services related to Conservatorship allowable under the Older Americans Act (i.e. defending elders against Conservatorship). (See OAA 2006 Amendments, P.L. 109-365, Sec. 321(a)(6)(B))	33-Guardianship/ Conservatorship (<i>allowable under OAA</i>)	33-Adult Guardian/ Conservatorship (<i>allowable under the OAA</i>)
C3	<u>Other Family:</u> All other family issues not covered above, including but not limited to, guardianship of a minor or non-senior disabled adult being cared for by an elder, and services related to Conservatorship that are special cases under the OAA. (For civil harassment matters, elder abuse/ exploitation, spouse abuse, see G2).	30-Adoption; 33-Guardianship/ Conservatorship (<i>special guardianship/ conservatorship under OAA</i>); 34-Name Change; 39-Other Family	30-Adoption; 33-Adult Guardian/ Conservatorship (<i>special guardianship/ conservatorship under OAA</i>); 34-Name Change; 39-Other Family

CA Code #	California IIB Problem Code Definitions / Explanations	Comparable LSC/ Kemps Codes as of 12/07	Comparable Updated LSC Codes of 1/08
D.	<u>HEALTH / COMMUNITY BASED CARE</u>		
D1	<u>Medi-Cal / Medicaid:</u> Legal assistance related to determining, establishing, or appealing eligibility determinations related to the Medi-Cal program. It also includes, but is not limited to overpayments, in-home supportive services, spousal impoverishment, and recovery issues under Medi-Cal. For dual eligibles, if the primary issue is related to Medi-Cal, then count it under this category.	51-Medicaid	51-Medicaid
D2	<u>Medicare:</u> Legal assistance on a broad range of Medicare issues, including but not limited to enrollment, payments, plan selection, and appeals. This category includes assistance under all parts of the Medicare program (hospital, Part D, home health, hospice, etc.). For dual eligibles, if the primary issue relates to Medicare, count it under this category.	52-Medicare	52-Medicare
D3	<u>Other Health/Community Based Care:</u> This category includes all health related problems and concerns not included in the above categories, including but not limited to private pay arrangements, all long-term care issues, and non-subsidized home or community based care. (This category does not include advance health care directives (AHCD) (see H2).)	59-Other Health (Not including Advance Health Care Directives (AHCD))	54-Home & Community Based Care; 55-Private Health Insurance; 56-Long Term Health Care Facilities; 57-State and Local Health; 59-Other Health (Not including AHCD)
E.	<u>HOUSING</u>		
E1	<u>Landlord-Tenant (Subsidized or Private Housing):</u> Legal assistance to tenants on rental issues, including but not limited to, conditions issues, security deposits, lease issues and grievance rights for both private and public (senior high rise, Section 8 and other subsidized) housing units, as well as lease/purchase arrangements.	61-Federal Subsidized Housing Rights; 63-Landlord Tenant (Other than Public Housing); 64-Other Public Housing	61-Federally Subsidized Housing; 63-Private Landlord-Tenant; 64-Public Housing
E2	<u>Real Property: Home Loans/Foreclosures/Reverse Mortgages:</u> Legal assistance related to home ownership including but not limited to mortgage issues, TILA, HOEPA, foreclosure assistance, predatory lending related to real property, actions to quiet title, and reverse mortgage advice or counseling. (See Section H for transfers of real property as a vehicle for estate or incapacity planning.)	62-Homeownership/ Real Property	62 Homeownership/ Real Property (Not Foreclosure); 67-Mortgage Foreclosures (Not Predatory Lending Practices); 68-Mortgage Predatory Lending Practices

CA Code #	California IIB Problem Code Definitions / Explanations	Comparable LSC/ Kemps Codes as of 12/07	Comparable Updated LSC Codes of 1/08
E3	<u>Other Housing:</u> This category includes all other housing/property issues not covered above, including but not limited to, housing discrimination, questions and problems with non-real property mobile or modular homes, questions about tenancies, rights of survivorship, property tax questions, condominium owners' rights and responsibilities, and neighborhood disputes. (See Section H for transfers of real property as a vehicle for estate or incapacity planning.)	69-Other Housing	65-Mobile Homes; 66-Housing Discrimination; 69-Other Housing
F.	INCOME MAINTENANCE		
F1	<u>Social Security (Title II):</u> Legal assistance on all matters related to eligibility, benefit amount and payment, access, overpayment, termination, and appeals of Social Security and Railroad Retirement benefits determinations. This category also includes any questions or problems related to Social Security disability.	74-Social Security	72-Social Security (Not SSDI); 74-SSDI (Social Security Disability Insurance)
F2	<u>Supplemental Security Income (Title XVI):</u> Legal assistance on all matters related to eligibility, benefit amount and payment, access, overpayment, termination, and appeals of SSI benefits determinations. This category also includes any questions or problems related to Supplemental Security disability.	75-SSI (Supplemental Security Income)	75-SSI (Supplemental Security Income)
F3	<u>Pensions/Retiree Benefits:</u> Legal assistance with questions about pensions or retiree benefits, including but not limited to finding "lost" pensions, establishing eligibility of employee or spouse, and assistance establishing eligibility for insurance or health related retiree benefits.	79-Other Income Maintenance	79-Other Income Maintenance
F4	<u>Other Income Maintenance:</u> Includes all other issues related to income maintenance not covered above, including but not limited to Veteran's benefits, workers and unemployment compensation, and benefits programs that provide non-financial support such as food stamps and energy assistance.	73-Food Stamps/ Commodities; 76-Unemployment Compensation; 77-Veterans Benefits; 78-Workers Compensation; 79-Other Income Maintenance	73-Food Stamps; 76-Unemployment Compensation; 77-Veterans Benefits; 78State and Local Income Maintenance; 79-Other Income Maintenance
G.	INDIVIDUAL RIGHTS		
G1	<u>Immigration/Naturalization:</u> Legal assistance to aliens and refugees on matters related to state and federal immigration and naturalization policies.	81-Immigration Naturalization	81-Immigration / Naturalization

CA Code #	California IIB Problem Code Definitions / Explanations	Comparable LSC/ Kemps Codes as of 12/07	Comparable Updated LSC Codes of 1/08
G2	<u>Elder Abuse/Neglect/Exploitation:</u> Legal assistance to potential and actual victims of abuse, neglect, or exploitation, including spouse abuse. This category includes protective orders, counseling, and remediation efforts on behalf of a victim, and civil harassment actions, regardless of whether family or non-family related.	37-Spouse Abuse; 89-Other Individual Rights	37-Domestic Abuse; 89-Other Individual Rights
G3	<u>Other Individual Rights:</u> All other efforts related to the individual rights of an older person that are not addressed in other categories. (See H4 for Department of Motor Vehicles [DMV] issues.)	82-Mental Health; 83-Prisoner's Rights; 84-Physically Disabled Rights, 89-Other Individual Rights	82-Mental Health; 84-Disability Rights; 85-Civil Rights; 86-Human Trafficking; 89-Other Individual Rights
H.	MISCELLANEOUS		
H1	<u>Estate Planning/Wills/Trusts:</u> Legal assistance with planning for property distribution to heirs, including wills, trusts and other legal documents necessary to effectuate the testator's intent and wishes. This also includes basic estate administration issues.	95-Wills/Estates <i>(not incl. advance health care directives (AHCD))</i>	95 Wills/Estates <i>(not incl. advance health care directives (AHCD))</i>
H2	<u>Advance Health Care Directives (AHCD):</u> Legal assistance with planning for health care needs and decision-making upon incapacity. This includes but is not limited to advance health care directives and medical consent issues.	95-Wills/Estates <i>(Advance Health Care Directives (AHCD Only))</i>	96-Advanced Directives / Powers of Attorney <i>(AHCD only)</i>
H3	<u>Financial Powers of Attorney:</u> Legal assistance on planning for incapacity related to financial decision-making. This includes but is not limited to financial powers of attorney, and joint ownership and other vehicles for financial authority, including financial management such as Representative Payee for SS or VA benefits. (See Section H1 for similar issues related to trust preparation.)	95-Wills Estates <i>(Financial Decision Making only)</i>	96-Advanced Directives / Powers of Attorney <i>(Financial Decision Making only)</i>
H4	<u>Other/Miscellaneous:</u> This category includes all other legal assistance that does not fall into any of the above categories, including education, Dept. of Motor Vehicles (DMV) license and driving issues, tribal issues, and torts or other civil matters not covered above.	92-Indian/Tribal Law; 93-License (Auto & Other); 94-Torts; 99-Other Miscellaneous	92-Indian/Tribal Law; 93-Licenses (Drivers. Occupation, and Others); 94-Torts; 99-Other Miscellaneous

C. Case Closing/Level of Service Code Definitions/Explanations

This section describes the types/levels of service that are to be reported under the three Case Closing Codes for California's IIB Legal Reporting System:

- CA -- Counsel and Advice;
- LAS -- Limited Additional Service; and
- LR -- Legal Representation

It also identifies which Legal Services Corporation (LSC) Case Closing Codes are to be reported under each of the three broad California Case Closing Codes.

In 2008, LSC updated its Case Closing Codes. Their changes added and changed several existing LSC Closing Codes. Given the recent update by LSC, for each of the three California codes below, two sets of LSC closing codes are shown. The first set of LSC codes is for use by Title III-B legal providers who track data according to the old LSC case closing codes, for example, those who have a Kemps data system that pre-dates the LSC 2008 updates. The second set is for use by LSC Providers or others who have already converted their data system to reflect the updated LSC case closing codes.

California Case Closing Code CA -- Counsel and Advice

A case closed under 'CA' means that legal advice was provided to a client by phone, letter or in person following assessment of the specific facts provided by the client and applying the relevant laws. This may involve some limited legal research, cursory document review and/or consultation with experts. It may also be extensive, continuing over time with multiple contacts on the matter.

Title III-B LSPs who track data according to the old LSC case closing codes (e.g. those who use a Kemps data system that pre-dates LSC's 2008 updates) should report the following LSC Case Closing Codes under California case closing code "CA--Counsel and Advice."

- A Counsel and Advice
- C Referred after Legal Assessment
- D Insufficient Merit to Proceed
- E Client Withdrew or Did Not Return
- J Change in Eligibility Status
- K Other

Title III-B LSC providers or others who have already converted their data system to reflect LSC's 2008 updates should report the following updated LSC Case Closing Codes under California Case Closing Code "CA – Counsel and Advice."

- A. Counsel and Advice
- K. Other

California Case Closing Code LAS -- Limited Additional Services

A case closed under 'LAS' means that, in addition to counsel and advice, a case involved more extensive legal research, more than cursory document review, phone calls, e-mails or letters to other involved parties, negotiation, document preparation, etc. 'LAS' tend to be more time-consuming than counsel and advice, but not necessarily, as it is defined by the nature of the activity, not the time spent.

Title III-B LSPs who track data according to the old LSC case closing codes should report the following LSC Case Closing Codes under California Case Closing Code "LAS--Limited Additional Service,"

- B Brief Services (other than counsel and advice)
- F Negotiated Settlement (w/o litigation)

Title III-B LSC providers or others who have already converted their data system to reflect LSC's 2008 updates should report the following updated LSC Case Closing Codes under California Case Closing Code "LAS – Limited Additional Services."

- B Limited Action
- F Negotiated Settlement without Litigation
- L Extensive Service (not resulting in Settlement, or court or administrative action)

California Case Closing Code LR -- Legal Representation

A case closed under 'LR -- Legal Representation' -- includes court cases and administrative hearings. A case reaches this level of service if the advocate files papers committing to an appearance on behalf of the client in a full-blown hearing or trial, even if a negotiated settlement is reached before the actual appearance.

Title III-B LSPs who track data according to the old LSC case closing codes should report the following LSC Case Closing Codes under California Closing Code "LR--Legal Representation."

- G Negotiated Settlement (w/litigation)
- H Administrative Agency Decision
- I Court Decision

Title III-B LSC providers or others who have already converted their data system to reflect LSC's 2008 updates should report the following updated LSC codes under California Case Closing Code "LR – Legal Representation."

- G Negotiated Settlement with Litigation
- H Administrative Agency Decision
- I Court Decision