Case Service Reporting Self-Inspection Procedure

The purpose of the following self-inspection procedure is to confirm the accuracy of 1998 Case Service Reporting (CSR) data submitted to LSC in the most recent Grant Activity Reports. Pursuant to Program Letter 99-2, all current grantees must: (1) complete this procedure for each main, branch and subrecipient office, including Private Attorney Involvement; (2) determine whether the 1998 CSR data submitted to LSC is substantially correct as provided by Step V of this procedure; (3) take necessary corrective action, including re-submission of 1998 CSR data, to correct any significant problems identified; and (4) submit on or before July 1, 1999, the certification form required by Program Letter 99-2.

Step I: Review Intake and Case Management Procedures

1. Confirm that each case-handling office (main, branch, and subrecipient) has procedures for ensuring that:

    a. Clients are financially eligible as required by 45 CFR Part 1611
    b. Clients are citizens or eligible aliens as required by 45 CFR Part 1626
    c. Cases are within program priorities as required by 45 CFR Part 1620
    d. Assistance provided is not prohibited or otherwise restricted by the LSC Act, regulations, or appropriations law

2. Confirm that each case-handling office (main, branch, and subrecipient):

    a. Is using the CSR Handbook, 1999 edition
    b. Has a system for tracking open and closed cases
    c. Can produce case management reports which list:
        i.   Each case reported to LSC as closed during 1998
        ii. Each case reported to LSC as open on December 31, 1998
    d. Maintains case files or otherwise records:
        i.   Case identifying information (such as case numbers)
        ii.   Client identifying information (such as client names)
        iii. Client financial and citizenship eligibility documentation
        iv.   Legal problem codes or other descriptions of legal problems
        v.   Descriptions of assistance provided (including case closing codes)

Step II: **Produce Case Management Reports**

1. For each casehandling office (main, branch and subrecipient),
   produce a listing of cases reported to LSC as closed during 1998.

2. For each casehandling office (main, branch and subrecipient), produce a
   listing of cases reported to LSC as open on December 31, 1998.

Step III: **Select and Test a Sample of Closed Cases**

1. From the list of closed cases generated for each main, branch and subrecipient
   office under Step II-1 of this procedure (cases closed during 1998), select a sample
   of cases for each office according to the following criteria:

   ♦ Less than 1,000 cases: select every 10th case
   ♦ Between 1,000 and 2,000 cases: select every 15th case
   ♦ Between 2,000 and 5,000 cases: select every 20th case
   ♦ Over 5,000 cases: select every 40th case

2. For each sampled case:

   a. Verify that the following eligibility information is present:

      i. Amount of household income
      ii. Number of household members
      iii. Amount of household assets
      iv. Attestation of citizenship (except telephone cases)
      v. Indication of citizenship/alien status (telephone cases only)

   b. Verify that there is a notation in the case file indicating:

      i. The type of assistance provided
      ii. The date(s) on which the assistance was provided
      iii. The name(s) of the casehandler(s) providing the assistance

3. Verify that the assistance provided in the case was:

   a. Counsel and Advice or another type of assistance defined by Section VIII of

the CSR Handbook, 1999 edition

b. Provided by an attorney or paralegal as required by 45 CFR Sections 1620.2(a) and 1635.2(a)

c. Not prohibited or otherwise restricted by the LSC Act, regulations, and appropriations law

Step IV: Select and Test a Sample of Open Cases

1. From the list of open cases generated for each main, branch and subrecipient office under Step II-2 of this procedure (cases open on December 31, 1998), select a sample of cases for each office according to the following criteria:

   ♦ Less than 1,000 cases: select every 10th case
   ♦ Between 1,000 and 2,000 cases: select every 15th case
   ♦ Between 2,000 and 5,000 cases: select every 20th case
   ♦ Over 5,000 cases: select every 40th case

2. For each sampled case:

   a. Verify that the following eligibility information is present:

      i. Amount of household income
      ii. Number of household members
      iii. Amount of household assets
      iv. Attestation of citizenship (except telephone cases)
      v. Indication of citizenship/alien status (telephone cases only)

   b. Verify that there is a notation in the case file indicating:

      i. Whether assistance has been provided
      ii. If assistance has been provided, the date(s) on which the assistance was provided
      iii. The name(s) of the casehandler(s) providing the assistance

   c. For cases in which assistance has been provided, determine whether assistance in the case:

      i. Ceased prior to January 1, 1998
      ii. Was within CSR Categories A, B or C as defined by Section VIII of

                 the CSR Handbook, 1999 edition

iii.   Was provided by an attorney or paralegal as required by 45 CFR Sections 1620.2(a) and 1635.2(a)

iv.   Was not prohibited or otherwise restricted by the LSC Act, regulations, and appropriations law

d.   If assistance in an individual case ceased prior to January 1, 1998, and if the only assistance provided was within CSR Categories A, B or C, the case may not have been closed timely. Refer to Section 3.3 of the 1999 CSR Handbook for guidance on whether to treat the case as an exception.

Step V: Determine Substantial Correctness and Need for Corrective Action

Where exceptions have been noted or problems identified during the course of completing this procedure, corrective action must be taken and an assessment made as to whether the 1998 Case Service Reporting data submitted to LSC is substantially correct. Generally, data submitted to LSC is substantially correct if exceptions are noted in not more than 5 percent of the cases sampled in Steps III and IV of this procedure. If exceptions were noted in not more than 5 percent of the cases sampled, no corrective action is necessary and the accompanying certification form should be completed and submitted to LSC by the July 1, 1999, submission date.

If exceptions are noted in more than 5 percent of the cases sampled in Steps III and IV of this procedure, or if significant deficiencies are noted in either Step I or Step II of this procedure, consultation with LSC is necessary to determine the appropriate course of action to take, which may include additional sampling, corrective action to address problems noted, and the submission of revised 1998 Case Service Reporting data to LSC.

For assistance with completing this procedure, please contact John Meyer, LSC Program Counsel, at (202) 336-8909, or e-mail meyerj@smtp.lsc.gov.