Selecting and Implementing a Computerized Case Management System: A Guide for Managers

With a special appendix reviewing eight systems currently in use by legal services programs

by Colleen Cotter and Julia Gordon
on behalf of Legal Aid of East Tennessee

February 10, 2004

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Executive Summary

Case management systems can be powerful tools for legal services programs. They can support the work of intake staff and staff attorneys; provide information that can be used to supervise staff; allow programs to extract the information they need to reports to funders; provide managers with an understanding of the work their program does; and provide programs with information about the programs' clients and the impact their work has on their lives.

This report aims to help programs choose a case management system that is appropriate for them and to maximize their use of the tools it provides. The report was commissioned by Legal Aid of East Tennessee (LAET), which received a Technology Initiative Grant from the Legal Services Corporation for this project, and it was conducted by legal services consultants Colleen Cotter and Julia Gordon.

To write the report, the authors reviewed eight case management systems currently used by legal services programs. Specific research included:

- Interviewing more than 150 users in depth.
- Surveying users at as many programs as possible.
- Surveying the vendors of the eight systems reviewed.
- Viewing demonstrations of the systems.

The report consists of three major sections. The first provides advice for programs that are considering purchasing a new case management system or that want to make better use of their current system. That section includes information on:

- Putting together an effective process for selection.
- Determining what you need the system to do.
- Assessing internal resources available, including cost, IT support, and commitment of other staff.
- Training staff well and often.

- Planning implementation carefully and thoroughly.

The second section of the report offers a description of the various features available in current case management systems and how they work. Features covered include:

- Timekeeping.
- Calendar/Tickler Systems.
- Contact Management.
- Intake, Eligibility, Opening, and Closing Cases.
- Conflict checking.
- Maintaining Electronic Files / Document Management.
- Document Assembly.
- Pro Bono Support.
- Reporting.
- Grants Management / Resource Development.
- Access and Security.

The third section of the report examines several more general characteristics of case management systems, including:

- User friendliness.
- Training.
- Stability.
- Customization and Flexibility.
- Vendor Support.

These sections of the report provide neutral information that applies to all currently available case management systems. Specific information about the eight systems reviewed can be found in the Appendices to the report.

I. Introduction

A. Background

New computer technologies have made a tremendous difference in the way we practice law. From word processing to Westlaw, we have found faster and more effective ways to do our legal work on behalf of low-income individuals and communities. In a few short years, legal services programs have moved from a point where most staff only had a free-standing computer on their desk (if they were lucky) to a point where almost everyone uses the internet every day.

But in no area is the power of technology more striking than in the area of computerized case management. Gone are the days of performing conflict checks using 4x6 index cards or finding lost intake sheets in piles on desks. Today, most programs use some kind of electronic database to collect information about clients, check for conflicts, manage pro bono attorneys, and crunch numbers. With the help of the computer, staff can track and report data thousands of times faster than in the days of hand-counting and calculation. Using computerized case management, programs can improve internal program operations as well as the quality of services to clients. Programs that are not yet using these systems are finding themselves behind their peers in terms of efficiency and effectiveness.

A legal services program selecting a case management system (CMS or system)[1] can now choose from a full array of products.[2] There are a number of systems designed especially for legal services use, and there also are systems that began their lives in the private sector but have been retooled for legal services by vendors who understand the power of our market. Some of these systems are comparatively expensive, while others are relatively cheap. Some are simple, while others have more robust functionality and numerous "bells and whistles." Some have been around the community for a while, and others have only recently broken into the legal services market.

B. What This Report Does

This report provides a layperson's guide to the world of case management systems. While it does also provide some information about the features of specific CMS packages on the market right now, its main goal is to provide program directors and other staff with information about what these systems can

[1] Throughout this report the authors use the terms "system" and "CMS" to refer to case management systems and "program" to refer to legal services programs/providers.

[2] Because of the number of systems now available on the market, the authors of this report strongly recommend against programs building their own CMS from scratch. Research for this report indicated that many of the available systems can be extensively customized for far less cost and effort than would be required to build one, especially the systems built on an open source platform.

do – not from a technical point of view, but from the point of view of the functionalities of the system as experienced by users.[3]

In researching this report, the authors found that no legal services program interviewed for the report is currently using its CMS to its fullest capacity on a staffwide basis. Obstacles to using the software vary, including lack of training or understanding of the system's capacities; lack of internal policies regarding CMS usage; lack of resources; staff resistance; technical problems; and, in some cases, all of the above. This finding is critical because a program may be able to meet its needs with its current software rather than by changing software – and thereby save money and staff time and energy -- if it makes a concerted effort to ensure that it is using its CMS as effectively as possible.

Given that finding, this report aims to provide information that is useful both for programs selecting a new CMS and for programs hoping to optimize the use of their current CMS. This report will not replace your own research, but it should provide you with some baseline information. The overview of CMS features and other factors to consider in selecting and/or implementing CMS software should help programs both select and implement their systems with a greater level of confidence and understanding.

C. Who Funded and Conducted this Report?

This report is funded by a Technology Initiative Grant from the Legal Services Corporation (LSC) to Legal Aid of East Tennessee (LAET). No funding or support was provided by any CMS vendor. While LAET and LSC both participated in reviewing the final document, all opinions and conclusions are those of the authors. The authors of the report are Colleen Cotter[4] and Julia Gordon,[5] independent legal services consultants who responded to a Request for Proposal circulated by LAET in March 2003.

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[3] Some readers may be hoping for more specific information about the various CMS products available on the market right now. Unfortunately, an in-depth examination of every single feature of every available system would have required resources far in excess of what was available for this study. Also software does not lend itself to description on paper but needs screen shots or preferably a live demonstration. Moreover, development of CMS software is so rapid that even the limited attempt made in this report to provide system-specific information will begin to be outdated even before this report is published.

[4] Colleen Cotter previously worked for Indiana Legal Services, Inc., where she served as Director of Programs and Organizational Development and Director of the Indiana Justice Center and both used a case management system and participated in selecting a new one. Ms. Cotter previously worked for Pine Tree Legal Assistance in Maine as a staff attorney. Her recent experience includes researching outcomes and performance measures; conducting program evaluation; facilitating the reconfiguration of 4 programs to 1 program in Indiana; writing grants and reports to more than 50 different funders; updating a legal work management manual; and developing training for new and experienced legal services staff and partners. Ms. Cotter is a graduate of the University of Notre Dame and Indiana University School of Law – Bloomington.

[5] Julia Gordon has worked with legal services providers nationally for many years, most recently as a Senior Staff Attorney at the Center for Law and Social Policy and prior to that as the Deputy Director of Equal Justice Works. Her projects include managing a groundbreaking national study of the effectiveness of telephone hotlines in providing legal advice to low-income clients (the Hotline Outcomes Assessment Study);

D. Where Did the Information in this Report Come From?

Research for this report consisted of a multi-pronged inquiry. The authors viewed demonstrations of eight systems and required the vendors to fill out a lengthy written questionnaire about their systems.[6] The systems included are:[7]

- ✓ Client Advocacy Support System (CASS), developed by Draper Systems.
- ✓ Clients for Windows, developed by Kemp's Case Works.
- ✓ Legal Files, developed by Legal Files Software.
- ✓ Legal Server, developed by PSTI in partnership with Network Ninja.
- ✓ Pika, developed by Pika Software.
- ✓ Practice Manager, developed by RealLegal.
- ✓ ProLaw, developed by ProLaw Software, a division of West.
- ✓ TIME, developed by the Western New York Law Center.

The authors also sought the input of the larger community by distributing a questionnaire for CMS users, which was distributed by LSC to all LSC-funded programs; the authors received back 166 completed questionnaires from the staff of 42 different programs using 4 different systems.[8]

Finally, the authors conducted in-depth interviews and focus groups with over 150 staff members at 15 different legal services programs or groups of programs selected for diversity of size, geographic location, technological sophistication, and funding source.[9] Staff positions interviewed included program directors, managing attorneys, supervisors, staff attorneys, paralegals,

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conducting a national campaign to help the equal justice community harness technology to improve service to clients; offering numerous trainings on technology-related issues; convening national technology strategy groups; writing papers and articles on technology, legal services, and digital divide issues; and serving as a grant reviewer for the Legal Services Corporation Technology Innovation Grants program. Ms. Gordon is a graduate of Harvard College and Harvard Law School and previously served as a litigation associate and pro bono coordinator at the Washington, DC, law firm of Wilmer, Cutler & Pickering.

[6] The responses to those questionnaires are attached as Appendices C through J.

[7] This report included only those systems that are currently supported by the vendor, under continual development, and being marketed actively to the national legal services community.

[8] That questionnaire is attached as Appendix K. Because the responses received were very unevenly distributed both among systems used and programs responding, the authors have chosen not to present the ratings received as an independent finding of this report. However, the authors did use the results of this survey to inform their in-depth interviews and to provide additional information where necessary.

[9] Staff were interviewed at: CARPLS (Chicago); Connecticut programs (Connecticut Legal Services, Greater Hartford Legal Assistance, Statewide Legal Services of Connecticut, and New Haven Legal Assistance); Iowa Legal Aid, Legal Aid Bureau of Maryland, Legal Aid Justice Center (Virginia), Legal Aid of North Carolina, Legal Aid of East Tennessee, Legal Assistance Corporation of Central Massachusetts, Legal Assistance Foundation of Metropolitan Chicago, Nebraska Legal Services, Northwest Justice Project, Pine Tree Legal Assistance, Southeast Louisiana Legal Services Corporation, Southern Minnesota Regional Legal Services, and West Tennessee Legal Services.

intake specialists, IT support personnel, pro bono coordinators, administrators, and development specialists.[10]

In each section of this report, the authors note from which of these sources information was obtained. At the outset, however, it is important to point out two important factors regarding the reliability of the information in this report. First, the authors did not have an equal amount of information about each system. While the goal was to interview at least two programs per CMS, some of the systems reviewed have been on the market for many years and are used by a large number of programs, while some newer systems included in this report were being used by only one program or had only been used for a short period of time.

This inequality of information may introduce some skew into the data. On the one hand, a piece of software that has been around for a while may elicit more negative comments as users have had years to consider what they would like to see improved; on the other hand, a user might like a system better or find it easier to use once he or she has become more comfortable with it. It is the authors' view that these different considerations do balance out to a large degree, but readers should be mindful of this problem.

Second, many staff members do not fully understand the capabilities of their own system. Thus, in many cases, the information presented here is the authors' best effort to reconcile the perspectives of users and vendors. More information about how these perspectives were reconciled is provided in each section of this report.

II. Overall Considerations in Buying and Implementing a Case Management System

To purchase and implement CMS software effectively, it is important for a program to consider its own case management needs methodically and in the context of the program's mission and set of activities. It is equally important to identify and consider the financial and staff resources available to support and develop the CMS.

A. The Importance of an Inclusive Process

While many programs leave the decision of which CMS to buy and how it should be implemented up to the program director and other top managers in consultation with any IT staff, research for this report suggests the importance of a more inclusive and broad-based process. A selection or implementation committee need not be large, but it should be representative and its members

[10] The authors also reviewed the work of John Tull, who is evaluating the use of Legal Files in North Carolina, and the work of Anthony White, who evaluated the use of Clients for Windows at Bay Area Legal Aid in San Francisco, CA.

should thoroughly understand the various functions and work flows of the organization.

It is particularly important to include intake specialists and staff attorneys in a meaningful way. These staff members use the CMS on a daily basis far more than upper management, and they are responsible for the input of the data that managers will later use for reports. If those responsible for input feel comfortable with the system, the data that managers get out of the system will be much cleaner and more reliable and it is likely that staff will more fully use the CMS.

Effective ways to include staff in the CMS purchase or implementation process include creating a broad-based selection or implementation committee; offering to include anyone who is interested in any demonstrations of systems by vendors; and using program-wide interviews and focus groups (paper surveys of staff are popular, but in reality are significantly less useful than more open-ended conversations).

B. Case Reporting v. Case Management

A preliminary question to ask in selecting a CMS is whether a system that focuses on case reporting or on case management is a better fit for your program. This distinction characterizes an essential difference among various systems or groups of systems. A case reporting system centers on the need to collect, report on, and analyze data about cases, clients, and casehandling. Data is collected through the intake process, timekeeping, and case notes; it is reported on by running the data through various queries; and it is analyzed by looking at report results to draw conclusions about program operations. The early legal services “case management systems” were all essentially case reporting systems, driven primarily by the ever-increasing data collection demands of the Legal Services Corporation as well as other funders.

A case management system, on the other hand, includes the intake/report information loop, but at its heart is a collection of tools designed to assist with casehandling itself, particularly litigated cases. These systems focus on robust electronic case files containing all relevant documents and information associated with the case (generally meant to replace paper files), calendaring, timekeeping, and tickler systems connected directly to the case or matter files, and complex relational databases that enable sophisticated client and contact management.

Both types of systems have supervisory tools to help managers keep track of the work of the staff they supervise. The case reporting systems allow programs to generate reports regarding the number and types of cases handled and the time spent on them and on other activities. Case management systems

also provide tools that allow supervisors to access case work easily, including case notes and documents generated and received by the casehandler.

In recent years, the line between these two types of system has become increasingly blurred. The developers of case reporting systems are adding more traditional case management features, while developers of case management systems (generally hailing from the private sector) are creating a more robust intake front end along with the larger library of preformatted reports needed by legal services programs.

That said, most systems still maintains a "flavor" of being oriented toward one priority or the other, and user comments suggest that the orientation can affect the attitude of program staff toward the software. A CMS with a case reporting orientation tends to do a very good job handling LSC-required data, and sometimes an equally good job with data for other funders or purposes. However, such systems also may be viewed by staff as "something the managers need us to use so they can do their reporting."[11] In other words, the requirement that they put intake information into the computer, as well as keep time, case notes, and other information in the CMS, is not really about their own work; it's simply for the convenience of management.[12] While staff members who view the CMS this way generally use the system as required, many do not go beyond the basic requirements and do not see the system as a tool for enhancing their own client service and performance or the performance of the program as a whole. Having a CMS that is focused on case reporting can reinforce the view that what management or the program cares about is the number of cases processed.

Systems with a case management orientation, on the other hand, are viewed sometimes as important tools to support the work of casehandlers and sometimes as a collection of unnecessary "bells and whistles." At best, the availability of a robust tool to support cases and matters is seen as a way for staff to enhance their own productivity (as one former private sector attorney put it, "without my own administrative assistant I could not practice law if I didn't have this system") and as a way to support the program's more extensive work beyond basic advice and brief services. At worst, a program buys an expensive case management system that is used only as a tool for intake and reporting, when those may not even be the system's most effective features.

Thus, in making the CMS choice, a program should think about which orientation it wants to emphasize and why. As one director put it, "The CMS

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[11] This is not an exact quote from one individual, but a composite of remarks heard at almost all the interviews conducted.

[12] While staff members understand that one of the main reasons management needs the data is to satisfy the requirements of funders, not everyone feels a personal connection to the need to satisfy funders, even though obviously each person's continued employment depends on the funding. This lack of connection sometimes manifests itself as resentment toward the CMS when it is really part of a much broader management issue. Thus, sometimes anti-CMS sentiments can be a symptom of deeper staff problems.

should reinforce mission, not determine it." For example, a hotline program, or a program that has made the decision to focus mainly on advice, brief services, and more routine cases, may find that it is much more cost effective and makes more sense to the staff to use a CMS oriented toward case reporting. On the other hand, a program choosing to emphasize more complex litigation or an approach based on more community work rather than individual cases may see the choice of a case management system as a way to move more in that direction.[13]

C. What Else Does Your Program Want to Do With its CMS?

Beyond examining the question of case management versus case reporting, a program must determine with more specificity:

- ✓ What functions do staff members need to perform for the program to operate effectively?
- ✓ What do people wish they could do that they cannot now do?
- ✓ What type of work does your program do – mostly brief advice, a lot of litigation, and/or extensive community legal education?
- ✓ What existing software packages do staff use extensively now, and what do they like about them?
- ✓ What kind of support and supervision do you have (or wish you had) for new staff and volunteers?
- ✓ What kind of information do you need for high-quality supervision and management?
- ✓ What kind of information about your work and your clients do your funders require?
- ✓ What kind of information do you need for resource allocation, self-assessment and evaluation?
- ✓ Does your program have multiple offices and/or intake sites?
- ✓ Do you want to coordinate your CMS with other programs and, if so, what security measures will be required to maintain client confidentiality?

It is challenging to envision how work flow looks or how it could change. To open up thinking, it might be helpful to find a similarly situated program and learn how they do their work and use their CMS. Sometimes a program may want to bring in an outside consultant to facilitate a brainstorming session. Or, ideas can flow from clients and partner organizations.

As part of the assessment of your program's current needs, answer each of the questions listed above for a period of time five years from now. Then, you can more easily determine whether the case management systems you are

[13] A program using a robust case management system reported that selecting the system – even though its capabilities were initially far more than the program required – enabled the program to grow and expand in unexpected and welcome ways.

considering will grow with you or whether you will need to choose a new system in a few years.

Several users said that while they were not yet using all of the features available in their systems, their program had chosen the system intending to grow into it and were happy with that choice. As new staff members join the program with expectations and knowledge about case management systems and other software, these programs believe that their use of the CMS will continue to grow. Other programs may prefer to purchase a more basic system at this time, knowing they will outgrow it, but also knowing that when they are ready for a more full-featured system, they may at that time be able to benefit from further advancements in technology and CMS development.

D. What Internal Resources Are Available to Support the CMS?

Every program must decide what internal resources it is willing and able to commit to the purchase and implementation of the CMS. Internal resources include budget realities, availability of technology support staff, and management/staff involvement in or commitment to developing the CMS features.

1. How Much Does a CMS Cost?

It is very difficult to compare costs across systems due to differences in pricing structure and wide variation in data conversion costs. However, there are several aspects of cost that you should consider when deciding whether to purchase a new system or which system to purchase.

First, find out whether the system is priced per user (also referred to as per “seat” or per “Client Access Licence” or “CAL”) or whether the charge is per program and/or per office. Some systems use a hybrid pricing schedule with a basic charge either per program or per server, with per user charges on top of that. Some systems separate costs for system purchase and system maintenance/support, while others combine those costs.

Second, ask about volume discounts. Most CMS vendors do offer discounts, particularly for very large volumes such as a statewide program. Some vendors will allow more than one program to make purchases together and receive a volume discount even if the systems will be run separately at each of the programs.

Third, fully explore installation and conversion costs. Basic installation costs generally will be on a standardized schedule, perhaps bundled with training costs. Conversion costs, however, can vary widely, and can make a tremendous financial difference. Factors to consider include whether your current system is compatible with the new system; how clean your current data is; and whether you

are merging databases from more than one program or office. In addition to any monetary charges incurred from the vendor, conversion will also "cost" staff time spent cleaning up data and overseeing the conversion, as well as the downtime as the system is actually converted over.

Fourth, find out about any future charges, such as the costs and frequency of upgrades, and whether there are annual renewal costs. The eight systems reviewed in this report varied widely in this area.

A fifth consideration is whether your current technology infrastructure is sufficient to run any given system or whether you will need to spend a lot of money in that area as well. CMS software will have minimum requirements for your program's server and workstations related to operating systems and capacity (processor speed, memory, drive space, etc.).[14] Most systems also require that you license your own operating system and database software, which is an extra cost if it is not the system you are already using (the exception being that systems built using open source software will not have such additional costs). For programs with multiple offices, you will also have to consider the cost of installing a WAN or buying commercial bandwidth.

In Appendices C through J to this report, you can find some cost information in the answers to Questions 11 and 12 of the vendor surveys. Please note that this information is subject to change at any time, and that each vendor does not necessarily address all of the considerations outlined above.

2. How Much IT Support Do You Need?

A number of factors relate to your IT staff needs. One such consideration is the configuration of your system.[15] There are two major models: systems that are hosted and supported in-house, and Application Service Provider (ASP) systems. In-house configurations include databases maintained on a data server and accessed by users through a dedicated Wide Area Network (WAN) or over the internet using a thin-client program such as Citrix; and websites maintained by a program and accessed by users over the internet using a web browser. For in-house systems, a further consideration is what technology you use to enable multiple offices to access the system. ASP models include web-based systems that are accessed through a regular web browser as well as systems accessed through "thin client" software.

For programs using an in-house system, it is critical to ensure robust in-house support. Interviews revealed that staff members were happiest with their systems when in-house IT support was adequate. In situations where an office manager was doubling as an IT support person, or where one IT support person

[14] Full information on technical requirements for each system can be found in Appendices C through J.
[15] More information about the configuration possibilities for each CMS reviewed in this report can be found in Section III, part L, "Access and Security."

was supporting a large and/or geographically dispersed program (particularly in post-merger situations), users were not using the CMS as well or as happily as in programs with adequate IT support and changes, customization, and custom reports were not getting done in a timely manner.

Based on these interviews, the authors suggest that for a large program (more than 40 users) or a program with multiple offices, it is best to have at least two staff people supporting the CMS – one to support the network and the other to support the database and staff use of the software itself, including training (these functions can be split up any number of ways).

For programs using an ASP, your in-house support requirements may be lessened somewhat because you are not responsible for keeping the database up and running. However, you will still need an expert available to help users learn and use the software, generate custom reports, and maintain the appropriate internet connection so that users can access the database.

Another factor to consider is whether you plan to do a lot of customization to whatever CMS you buy.[16] While you can usually purchase additional customization from the vendor, you may choose to have experts on staff who know something about programming and can help customize the look and feel of the system, design reports, and create new modules especially for your program. For "open source" CMS software – systems that make the underlying program code available to you – finding a good programmer either as in-house staff or as an outside consultant can be especially useful.

The more full-featured a system you purchase, the more technology support you will need to devote to your system. This support includes help desk support; on-going training; trouble-shooting and communicating with the vendor about problems; tracking changes that staff members would like to see and communicating those to the vendor; and supporting all of the hardware and software that allows staff members to connect to the CMS.

Also relevant is the technological sophistication of staff. For example, staff members who have not previously used a computerized CMS will face a much steeper learning curve as they move off of a paper system. Casehandlers coming to a program straight from law school, a clerkship, or the private sector will be accustomed to using technology for everything, whereas those who have been working in legal services for many years have already developed and committed to their own systems, which are generally much less technologically sophisticated.[17]

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[16] Almost every vendor will tell you that a lay person can learn to customize their system, but even when the customization does not require any programming knowledge, interviews for this report strongly suggest that it is never a particularly easy process and program staff with other responsibilities will rarely take the time to learn how to do it.

[17] This is obviously a gross generalization, but true far more often than not.

Related to the above consideration is whether the CMS integrates well with other software upon which your staff is currently reliant. Integration refers to the ability of the CMS software to talk to other software and transmit data back and forth. For example, a CMS that integrates with Outlook will enable a user to enter a calendar entry through the CMS that will also appear on that person's Outlook calendar. This may eliminate the need for double entry by the staff member who wants to continue to use Outlook for his or her out of office appointments. While a few less robust CMS systems do not integrate with any other software, most of the systems have some integration, and the issue is a matter of degree. In selecting a CMS, if a system integrates well with another robust software package, such as Outlook, Crystal Reports, or HotDocs, it is not as important to your decision how well that system's own versions of these functions work.[18]

If staff already rely heavily on certain software with which they feel comfortable and which they are not likely to abandon without a fight, it might make the most sense to choose a CMS that integrates with that software to minimize the need for staff to learn new programs and to eliminate the duplication of function that almost invariably results when staff are told they have to use the CMS for a function, such as calendaring, while they also want to continue to use what they like.[19]

3. Commitment from Managers and Staff

Programs often fail to consider fully the need for non-technical support in implementing a CMS effectively. Given limited resources and the numerous competing interests, it is hard to devote attorney time to the CMS. However, in order to take advantage of the many functions available through the various systems, programs should be prepared to assign staff to developing tools and supporting the use of the case management system. Such tools include: work plans for various types of cases; templates of letters, forms and pleadings for document assembly; intake questionnaires; and links to research tools.

Management also needs to be involved in the use and development of the case management system. Yet as one manager put it, "In legal services, we mostly manage by crisis. In the limited time we have left to do proactive management work, do we want to spend that time on the CMS, or on fundraising, or developing other program areas?" If management is not ready to commit to implementing a CMS fully – including learning to use it themselves – it may not

[18] More information on integration is provided on a feature-by-feature basis in Appendix A.

[19] Good integration can also prevent mistakes and damaged data. For example, most systems integrate easily with Word, but less easily with WordPerfect. Users who still use WordPerfect may end up introducing errors into their data by cutting and pasting WordPerfect documents into the CMS.

make sense to buy a system with many features that will require extensive time and attention.

Much of the implementation work requires the commitment of both management and casehandling staff in committees to develop tools such as document templates or intake questionnaires. Committees should include staff who understand the technological implementation of the tools, administrative staff who understand the reporting implications of any changes, and case-handling staff with experience in the various substantive areas involved. In many programs interviewed, various implementation projects were stalled in committee, either because staff members could not agree on a template for pleadings, for example, or because there was no clear assignment of the tasks to staff members who were busy with other work. To overcome this roadblock management might assign responsibility and authority to someone to move the process along and to make a decision in case of deadlock.

Another issue is whether management is ready to require staff to use a full-featured CMS. A common theme in the interviews was that the tools provided by the various case management systems would be so much more valuable if all staff members actually used them and used them consistently. For example, the electronic case notes function is much less useful if casehandlers do not use it regularly and consistently, and demographic and case routing information becomes unreliable and confusing if staff members do not use the same definitions. Much of the value of a robust CMS is the ability to standardize operations and to make all information available electronically program-wide. If management is unable or unwilling to challenge the culture of complete attorney autonomy prevalent in many legal services programs, some features of a CMS may be much less useful or necessary.

E. The Importance of Training

Training for staff is the single most important part of the implementation process. Budgeting enough time for staff training is crucial. Many successful implementation processes included giving staff members significant time off from their regular duties to play around with the new system and get a feel for it. Successful trainings include written documentation that staff can refer to after the training is over; “hands-on” training rather than a powerpoint presentation; the special training of “power users” in each office who can serve as resources once the training is over and people get back to work;[20] and on-line tutorials developed specifically for your staff.

Moreover, a training plan needs to extend beyond the initial installation of the system. Most people learn better after they have been using the system for a period of time and are ready to move past the basic functions. Also, new staff

[20] Choose these “power users” carefully. If you are going to rely on them to train others be sure to choose staff who are good trainers themselves.

members not on board at the time of the initial installation need formal training on the system, not just a quick 15 minutes provided by their supervisor or colleague in the course of their overall introduction to the office. The majority of users interviewed said they had received only on-the-job training or just one training session, and that they had not received written documentation.[21]

F. Other Implementation Issues

Data conversion and system installation is a process that can take significant time and cause delays, problems, and frustration. In selecting a CMS, find out about your vendor's track record for conversions.[22] It will be critical to make sure that your staff members have the information they need during conversion. The best conversion processes have a clear plan; keep staff apprised of the process at all times; and take as little time as possible.

Similarly, if you are installing a new WAN or other system to create connectivity among offices at the same time you are implementing the CMS, take as much care with that process as you will in selecting the CMS. A number of programs we interviewed experienced significant initial instability in their Citrix systems or internet connections. Staff members, however, do not distinguish between a problem with Citrix and a problem with the CMS. Thus, if the early days of the new CMS are characterized by instability and a lack of connectivity, the first impression of the CMS will be negative, and that impression can color staff attitudes for far longer than it takes to resolve the technical problems. Management should be mindful of this problem and make every effort to work out the bugs in the connectivity system before rolling out the CMS, even if it costs extra to do so.[23]

IV. What Features Should You Look for in a Case Management System?

In assessing your program's needs and capacity, it is helpful to understand the features or functionalities available in current CMS systems. First, determine whether you need a particular category of feature, such as document assembly or calendaring. Then, within those broader categories, consider how flexible and/or robust you need that feature to be.

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[21] While several systems offer large manuals or on-line help screens, not many people use either. Most people prefer very basic, short "how-to" sheets (a page or two); beyond that, they prefer to ask an IT support person or other power user for help.

[22] There were too many variables involved to explore the conversion process in the research for this report (some conversions had been done years ago and staff had turned over; many programs had converted from a paper system to their current CMS; and too many intervening factors were present).

[23] No matter how good your implementation plan is, how well you train your staff, and how much you keep to schedule, a change in case management system will be very stressful for your staff. Even those persons whom we interviewed who expressed dissatisfaction with their current CMS were resistant to changing the system. Users tend to be comfortable with what they know and suspicious that a new system will be difficult to learn and will not provide enough additional tools to justify the disruption caused by the change. An inclusive process in which all staff members' views are heard will help to alleviate some of the resistance to a CMS change.

For more information about how these features are represented in currently available CMS software, see Appendix A to this report. The chart in Appendix A provides a ready checklist of the various features available and indicates whether the eight systems reviewed have those features or subfeatures. It also provides some additional comments relating to each of the systems reviewed.

A. Timekeeping

All LSC-funded programs must have some way to track time in compliance with the LSC regulation,[24] and most programs are beginning to use time to track expenditures for other funders as well as for internal supervision, management, and planning purposes. All of the case management systems reviewed allow programs to track time in the following ways:

- ✓ Batch time. Users can enter time at the end of the day (or at any time). This function is particularly useful for those who are away from their desk for hours or days at a time in court, meetings, conferences, etc.

- ✓ Contemporaneous time. The CMS's timer runs while the user is engaged in a particular activity. This function has various features, depending on the CMS. Some CMS timers automatically launch when an electronic file on a case, matter, or activity is opened. Others require users to press a button to start time running. In some systems, time automatically pauses when the user minimizes a window and moves to another case, matter, or activity, at which point time on that other case, matter or activity starts to run.

Some CMS timekeeping functions have additional useful features, such as transferring notes on a time slip directly into a case file; automatically tracking the activities in which the user was engaged while working on the file and entering them onto the time slip and which the computer can recognize (e.g.,, document drafting, emailing, or research); allowing a user to manually associate their time with a particular grant or function (such as PAI); or providing for an integrated time and attendance function so that staff members need only enter time once, using the CMS to track vacation, sick, holiday and other leave time as well as time spent on individual matters.

B. Calendaring/Tickler Systems

More programs are moving to some form of electronic calendaring, such as Outlook. An electronic calendar that is integrated with a case management system can provide a number of beneficial features, including:

[24] 45 C.F.R. Part 1635.

- ✓ Tickler system. When integrated with a CMS, users need only enter their list of things to do once. It will appear in the appropriate electronic case file, on their calendar, and on their to-do list, and they will receive reminders through the electronic tickler system. An office- or organization-wide tickler and to-do system often allows individuals to tickle other staff members.

- ✓ Different groupings. This is an important feature and will help determine whether the calendar system is usable or not. A good calendar system will allow the user to view the calendar from several different perspectives, including his or her own calendar, calendars for other designated individuals, calendars for a particular office, unit, or work group, or calendars for groups such as all managers or all supervisors.

- ✓ Integrated with other calendar system. Many users have become comfortable with a calendaring system that is outside their CMS, such as Outlook. Some CMS developers have devoted resources to ensuring that their CMS is fully integrated with more popular calendaring software so that users need not give up these systems in order to have one that is integrated with their CMS.

- ✓ Pre-set rules. Some systems allow users to automate some calendaring functions using pre-set rules. For example, if a program decides that it wants all staff attorneys to follow a certain protocol when handling an eviction case, the program can enter the protocol with due dates based on specific trigger dates, such as the date of intake or a hearing, into the CMS. When a staff attorney is assigned an eviction case, the due dates associated with it are inserted automatically on the staff attorney's calendar.

- ✓ Incorporation with case files. Some systems allow users to enter deadlines which appear on the user's calendar, to do list, tickler system and in the electronic case file itself. This feature allows users to enter deadlines only once.

C. Contact Management

Contact management keeps track of all the people with whom a program interacts. Contacts include persons related to a case, such as clients and adverse parties, plus household members, witnesses, experts, court reporters, case workers, adverse attorneys, and judges. Contacts also include other friends of the program, such as donors, pro bono attorneys, partner organizations and their staffs, and other people with whom the program has a relationship.

In the past, case-related contacts have mainly been tracked within the context of a case file (either paper or electronic, using a case notes function).

With a computerized contact management function, case-related contacts go into a large rolodex-like database, where they can be located without needing to know the name or reference number of a case. Their entry in the rolodex will include links to all the cases in which they are involved, along with any other appropriate information. For example, a client may be involved with more than one case, as might a medical expert or other witness. Or, a pro bono attorney might volunteer on several cases and also donate money to the program.

A relational contact management system allows a program to make changes about a contact in only one place. When an attorney moves, the program makes that change in address only once in the CMS and the new address appears in all cases or matters with which that attorney is associated.

With a good contacts management system, everyone from the program can share the same base of knowledge about certain people. All the contacts a program has had with an individual can be tracked instantly and easily. A pro bono coordinator will not contact a pro bono attorney without knowing that person should also be thanked for her support of the program. A casehandler will not unknowingly contact a witness who turns out to be an adverse party in another case handled by the program. Casehandlers can also use the database to locate appropriate expert witnesses or to find other program cases in which a particular judge has ruled.

The contacts system may also be the base of a good referral or pro bono system. However, there are some good referral and pro bono systems that do not have all of the functions described above.

In selecting a CMS, you might also want to know whether you can integrate the internal contact management function with any other software you may use for this purpose, such as Outlook.

D. Intake, Eligibility, Opening and Closing Cases

Intake is a crucial part of legal services program operations that relates directly to program quality on a daily basis. It is also a part of the operation that can benefit greatly from automation. Through intake, you gather the information your program needs to determine whether you should accept a case and what level of services you will provide. An intake system can also provide tools to assist clients, can help ensure that double entry of information is not necessary, and can gather information in a form that is organized and searchable for later reporting. In addition, the CMS should allow you to gather the information you need at the close of your case.

How well the intake function will meet your program's needs will depend on several elements:

- ✓ Does it capture all of the information you need to determine whether to accept a case and later report on that case? Some systems are limited in the amount of information you can gather and the form in which you can gather it. As programs diversify funding and funders impose new reporting requirements, programs need more flexibility in data gathering.

- ✓ Does it automate some screening functions? Intake can be streamlined if the CMS automates income, asset, and immigrant status eligibility. Some systems only automate factors related to LSC eligibility and do not allow programs to enter additional eligibility screening tools for other grants. Some systems may allow programs to enter various eligibility factors for grants so that the CMS then provides a list of appropriate funding sources based on the data entered, such as county, income, household status, housing status, domestic violence and age.

- ✓ Does the information entered into the intake module automatically transfer to the case file so that data does not need to be entered twice and all data becomes part of the electronic case file? For example, do staff members need to enter client data only once, or does data sometimes need to be entered in the intake module, in the case file, and in the contacts file/name cards?

- ✓ Does the system support electronic questionnaires? Many programs use paper intake questionnaires for various substantive areas of law. Automating these, particularly when they can be associated with variables such as problem code and county, streamline and improve intake. The use of branching logic allows programs to create "if A then B" scenarios that add a level of sophistication to the questionnaires and can help focus intake on relevant issues.

- ✓ Does the system provide key-stroke saving techniques? Many systems will default to some information, such as the office and intake person. Others will complete the city, state, and county based on the zip code entered. These type of key-stroke savers can save time during intake, as can drop-down lists, which are used by all the systems to some extent.

- ✓ Does the intake function give the program flexibility for inputting and searching names? Some systems limit the number of searchable additional household members and adverse party names.

- ✓ Does the system support the use of "wild card" characters or "sounds like" search functions to help locate names?[25] These features help programs

[25] A wild card character is a placeholder such as * that you can use to search variations on a name; for example, using Gold* will bring up Gold, Goldberg, Golden, Goldansohn, etc. A "sounds like" search function uses a computer algorithm to seek out alternate spellings for names that might have different sounds, such as Gordon, Gordan, and Gordin.

find case files that were entered with incorrect spelling or with hyphenated last names.

- ✓ Does the system allow you to gather information at the close of your case, including outcomes?

E. Conflict Checking

All the systems provide for conflict checking to preclude the need to search through paper cards. For conflict checking, accuracy, speed, and flexibility are very important. A good conflict checking system requires few steps; can be performed from the intake screen or from the case file; searches through all persons associated with cases, including witnesses and other household members; searches potential staff conflicts, such as when a staff member is also a landlord; preserves the conflict check as part of the case file; and allows staff to narrow the search when dozens of names match by using factors such as age, middle name, social security number, or by looking at a prospective conflict's underlying case without leaving the conflict check screen. Some systems can even search all fields within cases, not just name fields, enabling them to locate names that have been typed into case notes, but for which a contact card has not been created.

F. Maintaining Electronic Files / Document Management

Every CMS by definition maintains some form of electronic case file. In the most basic systems, the case file includes the full range of demographic and eligibility information along with initial information about the client's legal problem. In most systems, including all those reviewed here, there is also space to keep electronic notes about the case (case notes) as part of the file.

Thus, anyone with proper access to the system can locate case files electronically and review some basic information about any case in the system. If the system supports extensive case notes and document management, the electronic case file can be used instead of a paper file. The better the case file, the better it facilitates supervision, consultation, and co-counseling by staff in different offices. Coverage for sick or vacationing workers is much easier, and case files can easily be transferred from one place to another, enabling more efficient work on the part of hotlines or other centralized intake units. Supervisors can stay on top of what lawyers and paralegals are doing on their cases and can follow up on cases that remain open without any activity.

A CMS with a document management feature enables the electronic file to contain documents associated with a case, from the client retainer letter to pleadings to emails. In other words, any document that has been created

electronically or converted to an electronic document through scanning[26] can be associated with a particular case file and immediately accessed by anyone pulling up the case electronically. Reviewing a case online, then, is as easy and comprehensive as reviewing the paper file.

Some systems create a document library for each case file, essentially a list of files from which the user can pull up the document referred to in whatever form it was created (Word document, email, PDF file). The actual document can either be stored within the CMS database itself or be housed elsewhere and linked to the case. Less advanced systems require users to cut and paste those documents into the case notes in order to track them. The usefulness of this type of system is limited because case notes quickly become unwieldy, document formatting is lost, and documents are not easily modified.

The layout of the electronic case file is important. The electronic case file should help the staff members organize their work and information and documents must be easy to find and get to, or it will not be used. For example, many systems reviewed will keep every document associated with a case in the case file directory, but the documents cannot be categorized into subdirectories, which can be a problem for a case with a lot of activity (and for users accustomed to using Word, WordPerfect or Outlook subdirectories).

Another important issue is whether the electronic case file tracks the activities of the persons involved in the case. How well does the CMS help a supervisor understand what was done, when and by whom in a case or matter? Can you easily assign and change a primary casehandler? Can you track different roles such as pro bono attorney, supervising attorney, intake specialist, etc.? Can you track the work of multiple casehandlers on the same case or matter? This tracking can be particularly important if your program has projects such as community legal education, or cases that require the involvement of a number of different staff members.

Some systems also enable users to develop checklists or workplans for casehandlers to make sure they know all the steps involved in a certain type of case, such as a child custody case. These checklists can be either static or dynamic; they might also integrate with a CMS's calendar and tickler system. A program can establish minimum standards for various types of cases, and guidelines to assist casehandlers in analyzing and handling cases. These workplans can also include links to research tools available on the web, to relevant code or regulatory sections, and to form pleadings and internal training materials. Such tools can prove helpful to less experienced staff members, to supervisors, and to programs that enter into a new area of work due to a special grant, a new client need, or a change in the law.

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[26] Documents scanned as PDF files are generally not searchable or editable unless they have received special treatment.

Some questions to ask about a CMS's electronic case filing system include whether you can email from within the system and have those emails automatically associated with the case file (check on both incoming and outgoing emails); whether you can search case notes; whether you can search the full text of all searchable documents associated with the case file; and whether all the same features available for case files are also available for non-case (matter or activity) files, without having to create a complicated work-around or have those files cluttered with fields that are not relevant.

G. Document Assembly

Just as legal practice was dramatically altered by the development of word processing programs, which enabled casehandlers to re-use documents over and over simply by changing names or other information in a previously created document, it is now being altered by document assembly systems that take the advantages of word processing a major step further.

Document assembly programs provide preformatted templates of text documents such as letters and pleadings. An advantage of template-based systems over re-using a word processing document is that the user does not need to worry about making sure all the names and relevant facts have been changed consistently throughout the document, as the template always starts "empty" and then prompts for the various pieces of information it needs about the client and the case.

A further advantage of having a document assembly system associated with a database such as a CMS is that the template can pull all the necessary information directly from that which has already been entered into the database, such as names, addresses and other information. It enables the creation of routine correspondence and documents literally with the push of a button, in some cases completely formatted on office letterhead and ready for printing.

Different CMS choices present different options for document assembly. Some systems provide only for short letters that are preformatted so that most sections cannot easily be edited by individual users. Some permit you to insert your own program's or office's letterhead; others do not. Others provide very robust document assembly systems that permit the creation of lengthy templates, all parts of which are easily editable by users on a case-by-case basis.

In assessing the importance of a document assembly system in a CMS, there are several issues to consider. One is that many programs already have extensive template libraries through a different software package, either a general word processing package such as Word, or a dedicated document assembly system such as HotDocs. Those programs may not wish to switch to the document assembly system within the CMS, especially if the CMS will

integrate with their existing system and allow the data to be pulled out of the database and placed into the template just as easily.

Another issue is that the document assembly capability that comes with the CMS is useless until the templates themselves are created by each program. That means the program first has to agree on what templates to use, and then someone in the program has to format those documents appropriately (a task that may be quite time consuming for some systems, so it is important to find out how difficult the process is).

H. Pro Bono Support

Most programs will want to know how well the CMS supports their pro bono program. Does the system make it easy to search for pro bono attorneys by specialty, jurisdiction, and/or date of last case accepted? Does it easily track pro bono attorney hours? Can it calculate total hours on an annual (or other) basis?

Programs may also want to consider issues related to pro bono that are mentioned in other parts of this report, such as the contact management feature. It may be particularly useful in supporting both pro bono placement and fundraising if personnel working on pro bono know about the attorney giving histories, and vice versa. Document assembly may also be an important tool for pro bono support, which involves a number of forms and letters that must be created regularly. Similarly, the ease or difficulty of creating reports will be relevant to a pro bono coordinator, who will likely have a significant need to report regularly on cases that are placed outside the office.

I. Reporting

One of the most important functions of a CMS is the ability to report out data that comes into the system. Programs need reports for internal management purposes and for funders and other stakeholders. Most of the systems provide some preformatted reports, including those reports required by LSC, but some provide a far more extensive menu of preformatted reports than others.

Reporting is always more difficult than it seems. The person writing a report must understand the relation between many fields in the case management system, the definitions used by the people entering the data, and the definitions used by the person asking for the report, whether an outside funder or a manager. Some case management systems rely on a reporting system which is internal to the case management system. Others rely on integration with an outside reporting system such as Microsoft Access or Crystal Reports. Both are more robust reporting systems than most built into the systems, but will require more technical knowledge. Where reports are written by

a developer, they are then run by the program and often some variables can be changed for future use. Some systems allow reports to be set up to automatically run at specific intervals, which can be useful for regular management or funder reports.

The concept of searching, filtering or querying within a CMS is generally not all that different from reporting. Search, filter, or query functions enable users to look at the data in the CMS from a particular point of view, e.g., to look at all their open cases and to sort them by date opened, or to look at all clients from a particular neighborhood and sort them alphabetically. In some cases, users can filter several fields at one time, e.g., looking at all open cases within a particular timeframe from a single zip code. In a sense, filtering is not different from reporting, except that a report generally implies a fixed query (the LSC CSR report, for example, always requires the same information) and also implies a format that is appropriate for printing and sharing with others.

Several important issues to consider are:

- ✓ Will the CMS allow you to run new reports in the future that you do not now know you need?
- ✓ Will the CMS allow you to run reports in a format that is useful to you?[27]
- ✓ How much technological expertise will it take to develop and run reports?

While reporting is a major need for programs, the ability of the various systems to provide reports for programs does not lend itself well to easy determination from the type of chart contained in Appendix A. This is an area in which the only way to determine whether a particular CMS will meet a program's reporting needs is to look specifically at the built-in reports available, examine the skills required to develop additional reports, and explore the developer's support for providing additional reports or helping the program develop reports within the CMS or using other report-writing software.

J. Grants Management / Resource Development

CMS support for program management of various grants and fundraising efforts has become more important as programs have diversified their funding bases. All systems reviewed here enable programs to assign individual cases to a single funding source. However, some programs with multiple funding sources may want to report the same cases to multiple funders (where appropriate) or allocate funds based on a percentage of time spent on the case. Likewise, some work on a particular case may be appropriately allocated to one funding source

[27] One manager complained that she was unable to run a particular report for an individual county without running it for all 92 counties in her state. Another complained that he could not run the LSC Case Disclosure Report by casehandler, only by entire program.

or cost center (i.e. PAI) while other work on the case is not. Some case management systems provide more flexibility than others in assigning cases to multiple funding sources, including allocation of different percentages of the case work to different funding sources, and/or permitting specific time slips to be allocated to particular funding sources.

Some programs may want to integrate their CMS with their accounting software. This integration would allow data from the CMS to be exported to the accounting software, including time entries and case allocation information, avoiding the need for duplicative data entry of the same information. An integrated system can help ensure that programs claim all appropriate funds from their various grants and assign the work of staff automatically so that staff members can focus on handling cases for clients rather than worrying about funding streams. None of the programs interviewed have a CMS that is fully integrated with their accounting software, although some are interested in moving in that direction. Some of the systems do integrate with specific accounting packages, generally those that are used by private law firms, but they might not integrate with the accounting system your program uses.

In addition to tracking grants, some systems can track individual donations and pledges. Many programs use separate fundraising software for this function, but an integrated contacts management tool may prove beneficial in avoiding the need for double entry, ensuring the program has current contact information for donors and potential donors, and providing resource development personnel with a complete picture regarding donors and potential donors, particularly information about pro bono and other volunteer experience. This information can be used for distribution of newsletters, annual reports, and other information to potential donors and other partners.

Finally, some systems allow programs to maintain electronic files for their various grants, enabling multiple staff members to work on the same electronic file, and providing a central repository for grant applications, guidelines, contracts, correspondence, reports, both fiscal and substantive, and notes from meetings. To be most useful, these electronic files should be designed differently from case files. They can be designed to capture in searchable fields critical information such as the funder contact information, the amount of the grant, the date the grant begins and ends, the date particular reports are due, and the type of work the grant will fund. This information can also be integrated into the relevant staff members' calendars and tickler systems.

K. Access and Security

There are several aspects of "access" for a CMS. The first has to do with the places from which a user can get into the database. Can you access the database from remote offices? Can you access it from home? What about from any computer with a web browser? While all the systems reviewed here can be

used by a multiple-office program using a WAN or Citrix system, they vary in other respects. As noted in Section IID, some systems are in-house client/server systems, while others are web-based and can be accessed by any computer with an internet connection and web browser without the need to install any client software. Others are web-enabled but require the installation of some software before the system can be accessed from home or elsewhere.

Next, how many people can easily use the system at one time? Does it slow down when many people are using the same feature, such as document assembly? Does the system let you know if two people are using the same file at the same time? Are there problems saving data properly if more than one person is trying to access the same file?

Another issue to consider in selecting a CMS is security: how much control you need over who can access which types of data. What are your general security needs? Do you have a need to stratify access significantly within your program, e.g., do you want only supervisors to be able to look at the cases of other staff, or can anyone look? How many different levels of access do you want to provide? Can you grant particular users access to specific cases? Can you deny particular users access to specific cases?

In some states, several programs use the same CMS, sharing some information like forms, questionnaires, and some contact information, while restricting access to client files and other confidential information. Some programs are also starting to plan for allowing pro bono attorneys to access their cases (and any tools for those cases the program has developed, like document assembly, work plans, etc.), but none of the programs interviewed has yet done so.

All the systems reviewed provide adequate security measures to shield information from people outside the programs and for users to feel confident using them over WANs or the internet. However, systems have very different capabilities when it comes to shielding particular individuals within a program from access to particular case files or other information.

V. Other Important Characteristics of Case Management Systems

In addition to the basic features described in Section III, there are also a number of more general characteristics to look for in case management software. Some of these characteristics become evident through a close review of the software itself; others cannot be determined from a vendor demonstration alone but require a different kind of research (generally information from other users).

In this section, we review some of these characteristics. Specific comments on the eight systems reviewed can be found in Appendix B.

A. User Friendliness

Some systems are more intuitive to use and require less training than others. This user-friendliness can manifest itself in different areas: the ability of staff to use the basic function of the system easily; whether staff members are aware of the various functions and capabilities of the system; the ease of navigation around the system; and the ease of troubleshooting when something goes wrong.

One issue to keep in mind is that more functionality will almost certainly result in a more complex system for the end user. Thus, if a program desires more robust functionality, intuitiveness of use will almost always be less than for a simpler program. Proper training, however, can enable everyone to use the system well.

Some systems also are more user-friendly at the administrative level for whomever is responsible for keeping the system running, customizing it, cleaning up the data, and developing new report forms.

B. Training

As noted in Section II of this report, programs using each of the systems reviewed failed to maximize their staff's use of the CMS in large part due to a lack of training. In interviews, the authors found that staff members frequently did not know how to do something with the CMS or did not even know the CMS had certain functions.[28] While most staff members had received some training on the CMS, that training generally took place when the CMS was first installed. Even in programs that had a dedicated "help-desk" person who was viewed as responsive to staff needs there was little if any formal training after staff members began to use the CMS or for new staff who arrived after the CMS did.

This lack of training results in programs failing to reap the benefits of their investment. Additional training is always needed, even for the most intuitive system. Without it, staff members may be able to enter the basic data necessary for them to meet their job requirements, but they will not be able to use the system in the most efficient and effective way, and will not take advantage of all of its functionalities.[29]

Check with the vendor regarding training for you and your staff. Do they send a trainer to your program? Is that cost included? How many days of

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[28] In many focus groups for this report, one staff member would complain that their CMS did not do a certain thing, and then another staff member would then explain that the CMS did in fact do such a thing and would proceed to explain the key strokes necessary to accomplish the function. These open conversations about the CMS therefore served as mini-training sessions for staff and also demonstrated vividly the need for additional training.

[29] For more suggestions on training, see section III E.

training can you have? Is advanced training available, and at what extra cost? You will also want to find out how flexible they are regarding the style of the training, and whether they prefer to train just a few "power users" or will train the whole staff.

Another aspect of training is whether the vendor provides a manual or other written documentation, and if so, whether that documentation is written in tech-speak or whether it is appropriate for end-users. Many systems are woefully undocumented at present, especially in terms of easy guides for users rather than complex documentation for IT specialists. You might also be interested in whether any kind of email user group exists for the CMS.

C. Stability

Stability refers to the basic operation of the database and how often it crashes or is otherwise inaccessible to users. This characteristic is heavily dependent on the overall IT infrastructure of a program, including the availability and experience of in-house IT staff, as well as the experience of the personnel maintaining the database.

Many users cannot distinguish between problems with connectivity, such as a Citrix problem, and problems accessing the CMS itself. All they know is how often they personally cannot access the system. However, even understanding the numerous factors for which a CMS developer bears no responsibility, it is clear that some systems "freeze up" or "go down" more frequently than others, and it is important to explore this issue through talking to other users of the software.

D. Customization and Flexibility

All of the systems included in this review allow for some customization. While some systems allow little customization, others not only allow but require considerable customization in order to use the system fully. Still others fall somewhere in between: some customization is allowed, but not much is required. Customization can be divided into three categories:[30]

- ✓ Changing the basic system in small ways, i.e. changing the order in which fields or screens appear; renaming fields or screens; adding fields in order to gather additional information; or hiding fields or screens that the program does not need.
- ✓ Adding additional features to the system, i.e. adding a document assembly function not made available in the system.

[30] Reporting is also an area in which flexibility and customization is important. For a discussion about reporting, please see section III (I).

- ✓ Populating features of the system with custom information for the program, i.e. entering document templates in order to use the document assembly feature within the case management system.

Users indicated that when customization was not available, they would develop their own personal "work-arounds" to deal with these limitations. Some work-arounds are more problematic than others, and some may cause future problems as staff changes and institutional memory lapses, resulting in data not being entered or used consistently as a result of the work-around. On the other hand, some programs prefer not to spend time customizing a system, so they are content with one with less flexibility.

E. Support from the Vendor

No matter how stable or robust the CMS you choose or how many IT personnel you employ, the importance of vendor support cannot be overstated. Simply put, things will go wrong, and nothing is ever as easy as it seems.

Considering that every vendor promises full support, how do you find out how good the support really is? The best research method is, of course, references from other programs. You will want to check in with at least 3-4 other programs using the CMS you are considering to find out how responsive and supportive the vendor is.

There are a number of factors you will want to consider under this general category. First, you need to find out if the vendor offers ongoing support and how that support is offered. Is there a help desk that you can call? How many hours per week is that desk (or other system) staffed? How quickly will someone get back to you? You will want to know as much as possible about the responsiveness of the vendor, i.e., how long it takes to get your phone call returned. While larger companies should theoretically be more accessible than smaller ones, research for this report indicates that the responsiveness level does not depend on size, but rather on whether a particular vendor/developer places a high priority on returning every call or email quickly.

Second, you will want details about the cost and scope of the support. Find out whether the general support package costs extra (beyond the cost of purchasing the system) and if so, exactly how much it will cost and whether those costs will be locked in for a period of time. As for scope, does the vendor just provide support to fix problems with the CMS, or will the company offer ongoing services to help you customize and otherwise get the most out of your system? Here, the size of the company and the number of developers they employ will matter more. If you have a special preformatted report you want written, or a function customized just for your program, a larger organization can generally get the job done faster – but some large companies do drag their feet. You will also

want to find out in as much detail as possible how much it will cost to have the vendor provide additional work on your system.

Third, you want to make sure this vendor will be reliable over time. How long have they been in the CMS business? What is their business plan? You may want to look into their company a little further: how many employees do they have? How many users (seats) do they support for the CMS? Is there any litigation pending against them?

A fourth important aspect of the relationship with the vendor is their knowledge of legal services. As noted earlier in this report, some CMS developers come from a legal services background, and therefore can more easily understand program work flow and needs. Other developers/vendors have just begun to work with legal services programs, but may have extensive knowledge of other types of legal practice. You will want to interview them about their understanding of the work you do, including whether they have anyone in their company with a legal services background and if so whether that person will be your trainer and/or account manager.

If you plan to use a report writer such as Crystal Reports, find out whether the vendor will provide support for this additional software and whether the vendor will help you write more complex reports for you for a reasonable fee.

Finally, you will want to find out how the vendor handles upgrades and patches between formal upgrades. What is the cost structure for obtaining upgraded versions? Do they aim to ensure that new versions don't change the look and feel of the software, or does each new version feel almost like a new system? In between new versions, does the vendor issue patches routinely to all its customers? You may also want to ask references how easily new versions have been installed and whether new features tend to destabilize other parts of the system – a common problem with systems where the developer just keeps adding new sections of code to the old code without extensive testing. And of course, you will want to know if there is a new version coming out soon, which might mean you should wait until that version is on the market, has been installed in a few locations, and appears to be operating smoothly.

VI. Suggestions for Future Research and Development

In the course of doing research for this report, the authors heard a number of suggestions for CMS developers and others who may have the time to think about the future of computerized case management, such as state support organizations, IT centers, and other consultants.

- Conduct an in-depth examination of case management systems from a technical point of view, looking much more in-depth at system

requirements (hardware, software, and staff support) and data management.

- Integrate CMS software with other software that is already widely available and used rather than re-creating the wheel within the individual systems.

- Especially as programs and states further develop their client-oriented websites, consider how to make the systems more interactive for clients, such as enabling clients to submit their intake information directly through the CMS.

- Explore which CMS features are being used most and least by program staff and why, so that future versions can focus on the features that are most useful.

- Learn more about legal services trends in resource development and grant management to ensure that systems are keeping up with new requirements and demands faced by programs.

- Find out what functions of the case management programs are not using, and why. Make modifications and provide training necessary to help programs use those functions.

- Consider how to provide better support for client legal education, systemic advocacy, community collaboration, and other key legal services functions that are not related to individual case work.

VII. Conclusion

While the decision of which case management system to use is a very important decision for your program and one that should be made with great care, the authors of this report wish to emphasize that the single most important factor in how effectively your CMS will support your program is how well your staff members use whichever system you have.

All eight systems reviewed in this report will perform most of the basic functions that any program should need from a CMS. If your staff is well trained on the CMS and familiar with the full range of ways in which the CMS can support their work, the CMS will become a core part of program operations. If your staff only knows how to use one or two features of the CMS, the system can easily turn into nothing more than a very expensive calculator or word processor. Or, if your staff is not well-trained on inputting accurate and useful data, you could spend as much time error-checking your reports as you would spend generating them by hand in the first place.

Because even the most inexpensive CMS is still a significant budgetary commitment, and because retraining staff consumes time, energy, and resources, sometimes a program that is considering purchasing a new system would be best off trying to improve on the system already in place, as long as it is a system that still has support from the vendor/developer. Perhaps the system could work with some additional customization, particularly the addition of some key custom reports, or perhaps managers and staff need additional training (maybe not even just on the workings of the CMS itself, but on the ways in which computerization can improve their service to clients).

Regardless of whether you purchase a new system or improve upon your existing system, here are some other suggestions for improving your use of the system:

- Run an in-house "user group" where users – especially those sharing similar job descriptions – have a specific time set aside to talk about what they would like to do on their system so that users can share information or else formulate a specific query or suggestion for IT staff or the CMS developer.

- Ensure adequate IT support to keep the system running, create custom reports, keep the data clean, and help users learn the system.

- Require every staff person, including management, to attend some kind of training session related to the CMS on an annual basis (and permit additional training if desired).

- Provide user-friendly written documentation for all the key functions that the CMS performs in your office.

- Provide clear CMS protocols for all staff so that everyone is clear on what they should be doing on the CMS (keeping case notes, calendar info, etc.) to maximize its usefulness for the program as a whole.

A good case management system can help your program operate more effectively and efficiently. Putting time and effort into improving the use of computerized case management systems can result in improved staff morale, better information about program operations, and higher quality service to clients.

APPENDIX A: Features of Eight Case Management Systems

The chart below provides a basic overview of the features of each CMS reviewed during this report. The information in the chart was obtained primarily from the vendors themselves, and supplemented by the observations of the authors during the system demos as well as by the user interviews.

The authors worked hard to reconcile discrepancies between the vendors and users through extensive consultation with the vendors and users during the creation of the chart.[1] In the end, there were very few close calls, but in those cases, the authors used their best objective judgment regarding whether the CMS actually offered the feature or not.

Beyond any dispute about whether a feature actually exists, however, the chart cannot provide much by way of subtle qualifications to any yes or no answer.[2] Thus, the authors have provided an additional page of information on each CMS with annotations to the chart. The information in the annotation pages is taken primarily from user interviews, with some information coming directly from the vendor or from the demonstrations viewed by the authors. Not every CMS annotation page contains annotations for every feature in the chart; annotations are only provided when there was additional relevant information beyond that included in the chart.

Several additional issues should be kept in mind when reviewing the chart and the annotations. First, the authors interviewed current legal services users of these systems. For some systems, only one program was using the system. For most of the systems the authors interviewed the staff of at least two programs, but in some cases the CMS had only been used for one or two years. These facts necessarily limited the information available in this review.

Also, in some cases, the authors were unable to determine whether a particular feature actually works for users because no programs were using it for their work. We have noted these instances in the annotations.

Finally, new versions of most of these systems, as well as smaller patches, are released on a regular and ongoing basis. Only the versions of these systems being used at the time of the interviews have been reviewed. The

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[1] The gap between the functions systems have and the functions programs believe they have is a problem that vendors might consider addressing through better documentation and training.

[2] The "reports" section of Chart A illustrates the problem. Reports are a critical function of case management systems. Whether programs can extract the information they need from their CMS in the format they want varies from system to system. However, all of the systems have some reporting system, and all can be used in conjunction with Microsoft Access or Crystal Reports. Still, some systems provide programs with more realistic ability to extract reports easily or in more forms. Some systems provide built in reports that are relatively easy to run, but do not provide a good way to develop additional reports. Others provide fewer pre-built reports but offer multiple ways to develop new reports. This complexity, while important, is not reflected in the chart at all, due to its binary nature.

report did not review unreleased versions, even those scheduled for imminent release (or, in one case, even when installation of a new version was taking place during our review), because programs had not yet had a chance to use those systems. The annotations include some information regarding additional functionality that will be made available in new versions being released now or soon, but these new versions have not been used and the authors cannot know whether they will work as the developer intends. Before making your CMS decision, be sure to obtain updated information from the vendor and any current users of the new version.

Case Management System Review Appendix A - Chart	CASS	Kemps / Clients	Legal Files	Legal Server	Pika	Practice Manager	ProLaw	Time
Time-keeping								
▪ Automatic timer[3]	√		√	√	√	√	√	
▪ Notes on time slips become part of case notes		√	√	√	√	√	√	
▪ Automatically tracks the type of activity in which the user is engaged (writing a letter, sending an email, etc.)			√	√		√	√	
▪ Can associate time with particular grant or office function such as PAI		√	√	√	√	√	√	√
Calendar / Tickler Systems								
▪ Tickler system	√	√	√	√	√	√	√	√
▪ Calendar	√	√	√	√	√	√	√	
▪ Able to view multiple calendar groupings as user chooses (individual, managers only, office only, etc.)		√	√	√	√	√	√	
▪ Fully integrated with other calendar programs such as Outlook			√	√		√	√	
▪ Automates scheduling based on pre-set rules (such as court rules) for different types of cases		√	√	√		√	√	
▪ Items on tickler list and to-do list carry over until completed and can be removed by user	√	√	√	√	√	√	√	
Contact management								
▪ Can create contact file for persons other than clients and adverse parties		√	√	√	√	√	√	√
▪ Can link persons other than clients and adverse parties with case involvement without double entry of information			√	√	√	√	√	
▪ Can track, search and report on each contact's involvement with program, including donations			√	√		√	√	
▪ Automates search for appropriate referral based on variables such as problem code, county, etc.	√	√	√	√		√	√	√
▪ Fully integrates with other software such as Outlook			√	√		√	√	

[3] Starts automatically when electronic file is opened without user having to push any buttons. One timer can be paused while another timer runs.

Case Management System Review Appendix A - Chart	CASS	Kemps / Clients	Legal Files	Legal Server	Pika	Practice Manager	ProLaw	Time
Intake, Eligibility, Opening and Closing Cases								
▪ Automatically calculates poverty percentage	√	√	√	√	√		√	
▪ Asks for and calculates appropriate deductions or exclusions if over-income	√	√	√	√	√	√	√	√
▪ Asks for and calculates assets and indicates if within maximum asset level	√		√	√	√	√	√	√
▪ Can choose from list of "eligible alien" options	√	√	√	√	√	√	√	
▪ Names of fields can be customized		√	√	√	√	√	√	√
▪ Supports creation of intake questionnaires to help guide less experienced intake staff and to gather particular types of information	√	√	√	√		√	√	√
▪ Supports creation of dynamic intake questionnaires that use branching logic				√		√	√	
▪ Can have more than one intake open at once	√		√	√	√	√	√	
▪ Able to search by "sounds like"		√	√	√	√	√	√	
▪ Able to search by wildcard	√	√	√	√	√	√	√	√
▪ Able to input unlimited aliases in searchable fields			√	√		√	√	
▪ From intake screens able to input unlimited additional household names in fields that will be searched by the conflict checker	√			√	√		√	
▪ Can input address, SSN and phone number for non-clients in fields that will be searched by the conflict checker			√	√	√	√	√	
▪ Allows tracking of outcomes	√	√	√	√	√	√	√	√
Conflict Checking								
▪ Automatically checks database for conflicts	√	√	√	√	√	√	√	√
▪ Conflict check function can check all other contacts in database, including household members, witnesses, aliases & other individuals, in addition to clients, former clients and adverse parties			√	√	√	√	√	
▪ Can check conflicts from case notes or other non-intake module	√	√	√	√	√	√	√	√
▪ Conflict check allows search by multiple	√	√	√	√	√	√	√	

Case Management System Review Appendix A - Chart	CASS	Kemps / Clients	Legal Files	Legal Server	Pika	Practice Manager	ProLaw	Time
identifiers for (name, SSN, address, phone)								
Maintaining electronic casefiles / document management								
▪ Can keep electronic case notes	√	√	√	√	√	√	√	√
▪ Can create word-processing documents without leaving CMS			√	√	√	√	√	√
▪ Can e-mail from within the CMS			√	√		√	√	√
▪ Documents and emails created in CMS are automatically stored in or linked to the casefile from which they were created			√	√		√	√	√
▪ Can drag link to documents and emails into casefile			√	√		√	√	
▪ Can search full text of casenotes		√	√	√	√	√	√	
▪ Can search full text of all searchable documents associated with casefile[4]			√	√	√	√	√	
▪ Tracks date and author of all casenotes and documents in casefile	√	√	√	√	√	√	√	
▪ Permits creation of matter/activity (non-case) files	√	√	√	√		√	√	√
▪ Can assign multiple individuals different roles in cases, i.e. track involvement of intake worker, supervisor, pro bono, staff attorney		√	√	√	√	√	√	√
▪ Support development of checklists or instructions for different types of cases		√	√	√		√	√	√
▪ Supports creation of dynamic intake questionnaires that use branching logic for different problem types or other criteria				√		√	√	
Document assembly								
▪ Provides pre-formatted document templates	√		√	√	√	√	√	√
▪ No page limit on document templates	√		√	√	√	√	√	√
▪ User can easily edit all portions of pre-formatted documents (ie, they are pulled up within a word processing program for the user)	√		√	√	√	√	√	√
▪ Average user can create new document templates			√	√	√	√	√	√

[4] Some systems can search emails as well as text documents; others cannot. Only searchable PDF files can be searched.

Case Management System Review Appendix A - Chart	CASS	Kemps / Clients	Legal Files	Legal Server	Pika	Practice Manager	ProLaw	Time
▪ IT specialist or other specially trained person can create new document templates	√	√	√	√	√	√	√	√
▪ Document templates can include the official letterhead for any program or office	√	√	√	√		√	√	√
Pro Bono Support								
▪ Can search attorneys by name, city, county, and specialty		√	√	√	√	√	√	√
▪ Can search attorneys based on last time a case was taken		√	√	√		√	√	√
▪ Can track and report on pro bono attorney time		√	√	√	√	√	√	√
Reporting								
▪ Provides pre-loaded LSC reports	√	√	√	√	√	√	√	√
▪ Permits creation of customized reports within CMS program itself		√	√	√	√	√	√	√
▪ Permits creation of customized reports through Crystal Reports	√	√	√	√	√	√	√	√
▪ Permits creation of customized reports through Microsoft Access	√	√	√	√	√	√	√	√
Grants Management/Resource Development								
▪ Permits users to assign a funding source to each case	√	√	√	√	√	√	√	√
▪ Permits users to assign more then one funding sources to an individual case, i.e., to divide each case into percentages to be applied to its hours and expenses			√	√			√	
▪ Integrates with accounting packages	√		√	√		√	√	
▪ Tracks donations		√	√	√		√	√	
▪ Tracks pledges			√	√		√	√	
Access / Security								
▪ Able to access from all offices in program	√	√	√	√	√	√	√	√
▪ Able to access from other computers after installing client software such as Citrix	√	√	√		√	√	√	√
▪ Able to access fully through any internet connection without installing any client software or plug-in				√	√		√	

Case Management System Review Appendix A - Chart	CASS	Kemps / Clients	Legal Files	Legal Server	Pika	Practice Manager	ProLaw	Time
▪ Individuals able to access multiple records at one time	√	√	√	√	√	√	√	√
▪ Multiple individuals able to input and save data into the same record at the same time	√		√	√	√	√	√	√
▪ Can hide fields, tabs or pages based on program		√	√	√		√	√	
▪ Can hide fields, tabs or pages based on user		√	√	√		√	√	
▪ Able to control user access to specific data regardless of what tabs or pages they have access to	√		√	√	√	√	√	√
▪ Able to download data to PDA			√			√	√	

Chart Annotations

1. CASS

The authors interviewed the only two programs using CASS. The programs were interviewed together because they use the system in partnership and to coordinate work, so it is counted for this report as one interview.

CASS is a system that was developed largely with hotline functions of a program in mind. It is currently more oriented toward case reporting than case management. The developers are willing to add components to enhance case management.

Timekeeping: Users report that the timekeeping screen has a drop-down list with only some rather than all of the advocate's cases, making entering case time more difficult for cases not listed.

Calendaring / Tickler Systems: Not yet being used in the field.

Contact Management: Has extensive referral function, with contact information for referral entities, including case acceptance criteria. System screens for appropriate referral based on several factors including county and problem code, but not for income eligibility. Can enter other persons associated with case, but cannot create separate contact file with contact information and associations with other cases.

Intake, Eligibility, Opening And Closing Cases: Users report they can add more fields for intake, but not fields that involve calculation. No one has used the questionnaire function. Can enter but not search for aliases. Call-back screen is separate from intake screen and some data must be entered again onto intake screen after call-back.

Conflict Checking: Cannot search for conflicts using social security number. Users report conflict checking is slow when multiple users are on. Conflict checks include adverse parties, clients and former clients, and their spouses only.

Maintaining Electronic Files/Document Management: Users report case notes function is easy to use, but there is no spell-check function and notes made on same day are listed alphabetically, not chronologically. Additional case-handling tools, including intake questionnaire function and links to other tools, have not been used in the field.

Document Assembly: The system automates envelope label printing with client's name, address, and code for client-oriented publications to be inserted

(publications are chosen by intake specialist from drop down list associated to problem code). While users like this function, the rest of the document assembly function has not been used by the program after initial problems.

Pro Bono Support: Not being used in the field for pro bono support at present. Referral system described above could be used for some functions of pro bono program.

Reporting: Users have not yet tried to use Access or Crystal Reports to create reports, although the vendor says that is a possibility. Right now, developer creates new reports as needed, and users find the vendor to be responsive to requests.

Grants Management / Resource Development: Users must export data to allocate costs to grants.

Access/Security: Client-server SQL database; not yet accessible over the internet without using Citrix or similar software. CASS expects to release a web-accessible version next year.

2. Clients for Windows

The authors interviewed four programs using Clients for Windows. One of those programs was using the ASP version of Clients 2000; two were using the SQL version of Clients 2000; and one was beginning to use Prime, a new version that is just being rolled out, although most of their answers were based on their use of Clients 2000. Because so many programs were interviewed for Clients, because it has been around for a long time, and because it has the largest market share, users had more to say about Clients than about other systems. The authors believe this unique situation may have resulted in more negative comments about the system; on the other hand, users were very familiar with the system, and the authors found that familiarity with software reduced certain other types of negative comments.

This system is one of the earliest CMS software packages and is the only real survivor of the first wave of systems. Initially developed along the case reporting model and oriented toward the needs of LSC grantees, it features an intake system geared to LSC requirements and an extensive library of preformatted reports for LSC reporting and other functions. While the developer is now trying to enhance its case management features, users report that the intake and reporting features are still more robust than the newer features, which are all fairly basic.

Timekeeping: Some users find stopwatch system confusing and use only the batch system, which most find very easy to use. Some users report that it is difficult to run their own time reports.

Calendaring / Tickler Systems: Most users do not use the Clients calendar as their primary calendar, some because they find it “unwieldy” and others because they prefer Outlook. Some use the tickler function as an adjunct to their primary calendar. Users would like to see the calendar and tickler functions integrated with Outlook.

Contact Management: System has comprehensive referral tools. Also, pro bono coordinators can use the system to match cases with pro bono attorneys by jurisdiction and specialty. Other than for referrals, most users have not used other contact management features.

Intake, Eligibility, Opening and Closing Cases: Users find it too easy it is to skip a field or leave something out. IT staff report that they have to check and clean data frequently. Users do not seem to understand how to reset default settings. Users say that the system often freezes up, which requires them to get out of the module and then get back in. The CMS provides various preformatted sets of questions for users, but users are not taking advantage of them.

Conflict Checking: There is some discrepancy between the vendor and users regarding whether the conflict check permits initial searching by other criteria in addition to name.

Maintaining Electronic Files/Document Management: Users report that if two people are in the same file at the same time, the system will lose new case notes entered unless some very specific steps are followed, yet the system does not warn a user when another user is in the file. Also, some users find that case notes can easily get highlighted by accident, resulting in easier accidental deletion. Some users believe they do not have sufficient control over the format of the casenotes. While Clients 2000 does not have document management features, the new Prime version will have some features of this nature.

Document Assembly: Many users do not use the preformatted documents, or if they do, they use them in a very limited way. Users find it problematic that the system does not automatically save documents created with templates into the case file. Users consider the template system cumbersome. Some ASP users are not using this function because it is too slow over the internet connection. The vendor says any letterhead can be used but a number of users report that they can only use the letterhead preformatted in the system. The new Prime version will have a much more robust and flexible document assembly system but it has not yet been used in the field.

Pro Bono Support: While CMS allows tracking pro bono time, users say it does not calculate the total time spent based on certain lengths of time (such as annual totals).

Reporting: This CMS contains a vast library of preformatted reports. Some users feel overwhelmed and want a better system of organization for them. The system integrates well with Microsoft Access. Some users complain that certain LSC-required preformatted reports do not generate the right data for that report. Many users would like to edit the queries in preformatted reports without having to use Access. Users sometimes get different results for the same variable in different reports.

Grants Management / Resource Development: While it can be done, users find it difficult to assign more than one funding source to a case. Does not calculate total pro bono dollar value or dollar value totals for outcomes.

Access/Security: There are three versions of Clients available now: two in-house versions (one using Access and the other using SQL); and an ASP version hosted by a company called Venture. The ASP requires installing a thin client (small piece of software) onto users' computers before the system can be accessed over the internet. Users report that while the security controls allow administrators to hide certain tabs from users quite easily, data can often be accessed through more than one tab, so it is hard to ensure that any particular user will be barred from any particular piece of information. While the ASP system is convenient, it requires downloading software and therefore cannot be accessed by just any computer with web access. Also, users report that the outside vendor hired by Kemp's Case Works to serve the ASP system has had ongoing downtime problems that sometimes limit their access to the system.

3. Legal Files

The authors interviewed one statewide program using Legal Files and also interviewed in one day four additional programs in another state that purchased and use the system in partnership with each other.

Developed for private sector needs, Legal Files is primarily oriented toward case management. It has robust capabilities for document management, calendaring, and contact management. The intake module was developed specifically for legal services, but is now a permanent part of the system. Legal Files does not offer many preformatted reports, and most of the reporting is done through integration with Crystal Reports, which is a robust tool yet one that requires some training, meaning that most staff members cannot design their own reports from scratch.

Timekeeping: Some users find it difficult to run time reports.

Calendaring / Tickler Systems: Many users do not use the calendar system as their primary calendar because it does not fully integrate with Outlook. Some do use it as a tickler system in addition to their outside calendar.

Contact Management: Right now, the only way to know what county a client is in is for the intake worker to input the county. Users wish that the system would automatically recognize county from zip code.

Intake, Eligibility, Opening and Closing Cases: Users report some difficulty with navigation, and they also report that intake is not "intuitive." The system features a number of keystroke shortcuts but almost no users know about them. The system does not spellcheck case notes. Names entered into special fields during intake (such as a pop-up window for names of other household members) do not automatically create name cards for those people, requiring duplicate data entry for those names if the user wants them included in the overall database. Users especially like the "alert" feature on the intake module that can flag issues of importance for managers or others reviewing the intake sheet.

Maintaining Electronic Files/Document Management: This feature is not used extensively by most users, in part because the CMS cannot create subdirectories, and users are accustomed to that feature from Word and WordPerfect.

Document Assembly: Users report that creating new templates is too complicated, in part by so many choices of fields that are not organized optimally. Some users also feel that preformatted templates are not formatted "nicely" for their printer; it is not clear whether that is a problem caused by the CMS or by the way the program has installed the CMS or configured the print function. Users report some coding problems when cutting and pasting from WordPerfect into Legal Files.

Pro Bono Support: This CMS does not have tools that were created exclusively for the purposes of supporting pro bono, so it requires some customization before being able to use effectively for pro bono activities.

Reporting: The selection of preformatted reports is very limited. Most users do their reporting through Crystal Reports, but only people trained on that software can design the reports. Vendor will build complex customized reports for an additional charge.

Access/Security: While Legal Files is primarily a client-server system that uses a SQL database, more features are gradually being made accessible over the internet.

4. Legal Server

This system is still very new. The authors only interviewed one program using Legal Server, and it was a hotline program that does not do any extended representation. While several full-service legal services programs have

purchased Legal Server in the past year, none have yet fully converted to it.[5] Thus, the observations of this system rely more heavily on the demonstration product and cannot provide as much information about how the system works in reality.

Legal Server is a fully modular system that can support either a case reporting or case management orientation. The developer works closely with customers to develop or modify modules the program wishes to use, so each system is essentially customized from the very start.

Timekeeping: Current user has system configured only to track time on cases, so the time function for non-cases has not been used in the field.

Calendaring / Tickler Systems: Only the tickler and to-do system has been used in the field, so other features of the calendaring system such as pre-set rules and integration with Outlook are not yet being used.

Contact Management: Has comprehensive referral function which screens for eligibility based on income, zip code and problem type.

Intake, Eligibility, Opening and Closing Cases: The "sounds like" search has not been used in the field.

Maintaining Electronic Files/Document Management: The function linking documents to case file has not yet been used in the field, nor has anyone used the branching logic function.

Document Assembly: Users automate envelope label printing with client's name, address, and code for client oriented publications to be inserted (the attorney chooses the appropriate publications from a drop down list associated with problem codes). The rest of the document assembly function has not been used in the field.

Pro Bono Support: The system is not currently being used in the field to support pro bono.

Reporting: Users are not fully satisfied with the preformatted reports available for internal management purposes, but are satisfied with reports for funders (the program is not an LSC-funded program so those preformatted reports have not yet been used in the field). The system has XML and GIS mapping capacity but those capacities are not being used in the field.

[5] One specialized legal services program has been using Legal Server but declined to participate in this review.

Grants Management / Resource Development: Features that permit assignment of multiple funding sources, integration with accounting packages, and tracking of donations and pledges are not being used in the field.

Access/Security: This system is run as an ASP and is fully accessible through any computer with a web browser. However, the only program interviewed is using it from a single office location. Security controls are untested.

5. Pika

The authors interviewed two programs using Pika.

While not as new as Legal Server, Pika is still a fairly new product. While current functions better support case reporting than case management, the developer is now working on other features that will help the system evolve more evenly. Most new functionalities are being created in response to specific customer requests. Pika is an open source product and programs can customize the system as much as they would like.

Calendaring / Tickler Systems: Users would like to be able to see the entire office calendar at once. Improved calendar and tickler system expected in upcoming new release.

Contact Management: While CMS has some contact management features, most users are not using them for that purpose.

Intake, Eligibility, Opening And Closing Cases: Users report that some drop down lists are difficult to use due to excessive length. Some users do not like order of intake screens. Users want spellcheck and better error checking. Pop-up flags that can alert others to important issues on the intake screens are a popular feature.

Conflict Checking: Only checks clients and adverse parties, not others in household, witnesses, etc.

Maintaining Electronic Files/Document Management: Current release requires users to take more steps than they would like to associate documents with case file. Next release will be improving on this.

Document Assembly: CMS provides some preformatted templates, but users say it does not handle WordPerfect well. Better document assembly system coming in next release.

Reporting: Most users find the reporting function difficult. Does not provide extensive library of preformatted reports. For building reports, users would like to

see fields in alphabetical (or some other sensible) order. The next release is planning to address some of those concerns.

Access/ Security: Pika is accessed through a web browser, and the website can either be hosted in-house or by the vendor in an ASP model. Users say the security provisions meet their needs.

6. Practice Manager

The authors interviewed two statewide programs using Practice Manager.

Practice Manager is a case management system originating in the private sector with an intake module that has been developed just for legal services. The case management features are robust. Some users reported that the intake module had a different look and feel from the rest of the system, but other users did not seem to notice any difference. Practice Manager offers some built in reports but not an extensive library. Because it relies on Crystal Reports, ordinary users generally cannot design their own reports without assistance.

Calendaring / Tickler Systems: Most users wanted the system to integrate better with Outlook. While the calendar feature integrates with Outlook, users are more likely to use the workflow feature for tickler and to-do purposes which currently do not integrate with Outlook (and the calendar and work flow sections are separate). The new release does integrate Outlook fully, but it has not yet been used in the field.

Intake, Eligibility, Opening and Closing Cases: Users like the intake module but believe it is generally too complex for volunteers to use. Questionnaire function not being used much. Intake module would benefit from use of more drop-down lists. Function that reviews data and provides list of appropriate funding sources is not being used. Intake module does not automatically convert weekly or monthly to annual income. Persons who are a “junior” have their name listed out of alphabetical order at the end of persons with that same last name, making it difficult to find Tom Smith, Jr., for example.

Maintaining Electronic Files/Document Management: Can send but not receive email from within CMS in current version. Users cannot create folders/subdirectories in the document management area, which leads to less use of this feature. The full text search function in new version has not yet been used in the field.

Document Assembly: Users (even IT staff) find creation of templates to be difficult and time-consuming. Once the templates that have been created, however, users like them a lot.

Reporting: Does not have many preformatted reports. Also, the CMS prefers to refer to filters rather than reports, and it is not clear that users understand the distinction or lack thereof. Most users are still relying on IT staff or the vendor to create reports using Crystal Reports.

Grants Management / Resource Development: No one is using the features that permit assignment of multiple funding sources or integration with accounting packages.

Access/Security: This SQL server system cannot yet be accessed fully over the internet. Users like the security features.

7. ProLaw

The authors only interviewed one legal services program regarding ProLaw, as it is the only current user.

ProLaw is a case management system originating in the private sector. There is less focus on intake than any other system reviewed here, with its screening and intake module built as a special feature. The system has very robust case management features with a focus on integration with other software. Not many preformatted reports. Many aspects of the system integrate with other software currently being used by the program.

Timekeeping: User has limited experience with timekeeping because they only use it for potentially fee-generating cases.

Calendaring / Tickler Systems: Users like the fact that the CMS has built in local court rules which automate the calendaring of pre-trial events dictated by local rules, based on the entry of a trial date.

Contact Management: Program can customize screen for type of contact, i.e. gather different data about expert witnesses or judges.

Intake, Eligibility, Opening and Closing Cases: Intake module requires customization by vendor. Users are not using the intake module much because they still create paper intake forms first and then enter the data. Intake questionnaires are not being used in the field. Branching logic is not being used in the intake module but it is used in other functions including calendar.

Conflict Checking: Will check case notes in addition to name fields.

Document Assembly: This feature is used extensively, but some users report problems in determining how best to organize and name the templates so they are easily located by all staff. CMS offers its own document assembly package or can integrate with HotDocs.

Pro Bono Support: Not being used for pro bono support at present.

Reporting: Does not have preformatted reports; everything must be built custom either in Crystal Reports or Microsoft Access. Program reports that 50% of support needed for the CMS is in the area of reports. Program requests new reports from vendor and then modifies those reports as needed. Reports can be scheduled to run automatically at appropriate intervals.

Grants Management / Resource Development: Accounting package that is part of system is not being used in the field. System can be customized to track both donations and pledges.

Access/Security: A SQL server system that is not yet accessible over the internet. Users are happy with security features.

8. TIME

The authors interviewed two programs using TIME.

TIME is a case reporting system with limited case management functions. Preformatted templates and reports are numerous and are oriented toward the needs of LSC-funded programs.

Calendar/Tickler System: Has tickler system but does not have calendar. One user can tickle another, but the person receiving the tickle cannot delete it.

Contact Management: Referral tracking is for reporting purposes only; it does not become part of the case file. Referral function is not being used by programs interviewed. Information about other persons involved in a case is contained in case notes, which are not searchable. Contact information for persons other than clients and adverse parties is not linked to cases.

Intake, Eligibility, Opening and Closing Cases: CMS does not screen for eligibility for non-LSC funding sources. Users are unable to enter additional household names in searchable fields and report that no aliases are allowed.

Conflict Checking: Only checks clients and adverse parties, not other names. Users can search by name or social security number but not other information (they can collect address but not other information for adverse parties).

Maintaining Electronic Files/Document Management: Notes are not automatically ordered chronologically. Users report cut-and-paste feature often makes case notes overwhelmingly long. Users do not like maintaining three separate files for cases: in TIME, Word, and Outlook for email. Users also report difficulty in reading the case notes because they are unable to format

notes, there is no spellchecker function in the case notes, and it is difficult to track other persons related to cases (witnesses, judges). Some users say that built-in word processor is too limited.

Document Assembly: Users report that document generation function is often not used, in favor of similar function in WordPerfect or Word. Conflicting information from users and vendor regarding ability to use program's letterhead and ability to create documents longer than 47 lines. Some users expressed a desire for TIME to integrate with Word.

Reporting: System has many preformatted reports but users cannot create any custom reports themselves. Users complain that developer is sometimes slow in responding to requests for additional reports. Integration with Access and Crystal Reports has not been used by programs interviewed.

APPENDIX B: Other Important Characteristics of the Eight Systems

This appendix provides some additional detail on the characteristics discussed in Section V of the report for each of the eight systems reviewed. The information contained in this appendix was gained through the authors' interviews with users of the systems as well as from information contained in the vendor surveys. The information here is not meant to be a comprehensive description of each of the characteristics. Rather, this appendix is simply an effort to ensure that the information gained during the interviews with users is memorialized for those who might be considering buying or using one of these systems.

1. USER FRIENDLINESS

- ✓ **CASS:** Users report that CASS is easy to learn and use. Some consider the intake module inefficient.

- ✓ **Clients for Windows:** Some users find this CMS easy to use, while others say it takes a fair amount of training to become proficient, in part because it does not use an interface that looks like Windows. Most users realize that they are not using all of the system's features, and they believe that they would need a lot more training before they were able to do so. As one user put it, "No one person here [in our program] has a full grasp on what it can do."

- ✓ **Legal Files:** Many users report that the intake module is not intuitive. Users find the other features easier. Users are split evenly on whether they feel they have a handle on the overall system or not, but the authors observed that most are not using all the features, generally because they do not know what there is to use. One user noted, "I can feel the thing pulsing with power, but I'm not sure how to access it." Crystal Reports is powerful but not usable by most staff.

- ✓ **Legal Server:** Hotline users find this CMS generally easy to use, although some stress the importance of initial training. Users familiar with web browsers find it especially intuitive. The system is also used by volunteers, which suggests that it is relatively simple.

- ✓ **Pika:** Users all praise Pika for being particularly user-friendly. As a web-based system, it is quite intuitive for those familiar with surfing the internet, but even less technologically sophisticated users reported finding it easy to learn. Both programs interviewed had previously used another CMS, and considered Pika to be better than previous systems on this characteristic. One manager said that buying Pika "was a major change that created a lot of net happiness."

- ✓ **Practice Manager:** Most users say that using Practice Manager requires a fair amount of training and practice. Although a few simple features such as timekeeping are considered relatively easy to use, others are still largely not understood. Many report that navigation could be easier.

- ✓ **ProLaw:** Users give ProLaw mixed reviews on how easy it is to learn. Some say it is relatively complicated; others got up to speed quickly. Some features are not used much, in part because the system integrates with preferred software such as Outlook.

- ✓ **TIME:** Most users report it is intuitive and easy to train new users. Users are using a limited number of features, but that appears to reflect more on the limited nature of those features than on their user-friendliness.

2. TRAINING

- ✓ **CASS:** Cass offers in person or web-based training.

- ✓ **Clients for Windows:** Kemp's Caseworks offers initial on-site training and two to four national trainings per year in Atlanta or New Orleans. There is a large manual available but it is not often used. There are also help screens in the system that are used frequently by some and not at all by others. There is an active users group on an email listserv.

- ✓ **Legal Files:** Legal Files offers training designed for various levels of users and training for trainers on-site and remotely. Users report that on-going hands-on training is necessary to fully use the system. Users also say that more program trainers were necessary for the train the trainer model. Some users complained that Legal Files trainers did not understand legal services work. Users reported that a dedicated "Legal Files expert" (or "power user") on staff to answer questions was very helpful. While user manuals are available, customers are not using them very much.

- ✓ **Legal Server:** Legal Server offers on-site and remote training.

- ✓ **Pika:** Pika offers on-site training and remote training. Some groups of users took training twice. Users reported that they needed little training to use the basics of the system but they could use more hands-on training to use the system more fully. During conversion to Pika, users benefited from being able to use the system for two weeks before the program fully switched over. Pika has a demonstration website that users can play with. There is no written manual for end-users, although there is documentation for IT staff. There is an active Pika users group that IT staff find helpful.

- ✓ **Practice Manager:** Practice Manager offers training on-site or over the internet. Programs may choose a "train the trainer" model. Users report that this model worked best when the persons trained by Practice Manager were actually good trainers as a general matter. Program staff report a need for additional training beyond the initial training. One program has developed a series of tutorials for staff members on various features. Users report that on-going hands-on training is necessary for staff to fully use the system. Some users reported that the training sessions would have been much better if the trainers better understood the work of the legal services program. Manuals are available but customers are not using them very much; some programs have created their own manuals for staff.

- ✓ **ProLaw:** ProLaw offers on-site and remote training. Users report that many had little training and still are able to use basic functions. More complex functions require more training. There is an active ProLaw users group (non-legal services) that users find helpful.

- ✓ **TIME:** Time offers on-site training. Users reported that the system was easy to use and little training was necessary.

3. STABILITY

- ✓ **CASS:** The one program using this CMS reports significant instability related to the size of the database (apparently it was larger than developer anticipated). Some users say it freezes up daily; others report that it does so at least once a week. Data is occasionally lost. While stability has improved, there are still problems that affect the attitude of the users and the usefulness of the system.

- ✓ **Clients for Windows:** Programs using every version of this system report some instability. Most IT staff blame the problem on the continued use of Microsoft Access for the front end of the system. Users note that upgrades tend to create stability problems and data loss. ASP users also complain of instability, although they are not certain whether the problem lies with Clients or with with Venture (the contractor used by Kemp's Caseworks to host the ASP).

- ✓ **Legal Files:** Users report that there was some initial instability that was likely due to problems with Citrix rather than the CMS. Users claim the stability is now much better than it was at first.

- ✓ **Legal Server:** Users report that this web-based system is very stable.

- ✓ **Pika:** Users claim that this web-based system has never crashed in the history of its use. There is occasional slowness, however, at times when the internet is particularly slow.

- ✓ **Practice Manager:** A few users report repeated crashes, but most consider the system fairly stable compared to previous systems. Both programs interviewed have had problems with Citrix that staff blame incorrectly on the CMS.

- ✓ **ProLaw:** Users do not report stability problems, but say that certain features can be slow when accessed by multiple users.

- ✓ **TIME:** Users report that database does go down from time to time, and one time went down for an entire week. Problems have abated since the system is now accessed over the web. System can still be slow at times.

4. CUSTOMIZATION

- ✓ **CASS:** CASS allows for little customization. CASS does use several user-defined fields which allow programs to gather additional demographic and case information. CASS also allows programs to enter information regarding program-specific information such as referrals and community legal education materials.

- ✓ **Clients for Windows:** Clients allows for a good amount of customization, but it is much easier for IT staff with some programming background to do than for general users.

- ✓ **Legal Files:** Legal Files requires some customization to maximize use of all of its features. Legal Files provides tools so that programs can customize how the system looks and is used, but these tools are mainly used by IT staff, who report that customization is relatively simple.

- ✓ **Legal Server:** This CMS is custom-designed for each customer. Because the vendor builds a system to the customer's specifications, most modifications are already incorporated into the system.

- ✓ **Pika:** Pika provides a product that requires little customization in order to use the product but current programs have customized it fairly extensively, in part because Pika is an open source system that provides the underlying code to its customers. Some additional features have been developed by one Pika user and shared with other Pika users.

- ✓ **Practice Manager:** Practice Manager requires some customization to maximize use of all of its features. Users reported that customization is complex and must be done by IT staff.

- ✓ **ProLaw:** ProLaw requires some customization to maximize use of all of its features. ProLaw provides tools so that programs can customize how the system looks and is used.

- ✓ **TIME:** TIME allows for little customization. TIME does use some user-defined fields that permit the gathering of additional demographic and case information.

5. VENDOR SUPPORT

- ✓ **CASS:** Users reported general satisfaction with the quick responsiveness of the vendor. As an example, when the program needs a new report from the vendor, the turnaround time is 24 hours. However, development and implementation of low priority, more complex CMS functions have met with some difficulties and delays.

- ✓ **Clients for Windows:** Many users expressed concern about vendor support, regardless of the version of Clients used, in large part because they find the vendor is difficult to reach by phone and that employees other than the CEO are often unable to assist. ASP users are confused about the respective roles of Kemp's Caseworks and the role of Venture, and often get bounced from one to the other. Vendor does not regularly distribute patches to all customers (changes or corrections are made on a program-by-program basis). There is an active user group that users find extremely helpful.

- ✓ **Legal Files:** Users currently find the vendor to be responsive and helpful. There was a short period of turnover at the vendor when there were some delays, but overall satisfaction with vendor service is high. Vendor initiates periodic check-ins with customers to see how things are going. Patches are distributed regularly.

- ✓ **Legal Server:** Users find vendor to be accessible and responsive. Because vendor customizes the system for each customer, the account managers have considerable knowledge of how each customer's program works.

- ✓ **Pika:** Users consider vendor to be highly responsive and flexible. Although the vendor is a one-man shop, which was an initial concern of some users, his response time to problems is fast. Users say that vendor is sometimes limited in how quickly he can develop new modules or features, but due to the open source nature of the CMS, programs can obtain development elsewhere (including their own IT staff) if desired. There is an active user group that is doing a fair amount of cross-pollination.

- ✓ **Practice Manager:** Vendor is currently considered responsive. However, in the past there were some complaints that problems were not being fixed quickly enough. Vendor says there is a user group but programs do not appear to know about it.

- ✓ **ProLaw:** Users say vendor provides excellent support and is responsive to concerns. There is not a users group just for legal services, but users find the general users group helpful nonetheless.

- ✓ **TIME:** Users consider vendor accessible and friendly. Some users report that the vendor is very responsive; others complain that "it takes forever to get things done."

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Innovation Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

This survey for developers is the first step in the review.[1] We would appreciate if you would answer these questions about your system and return the completed survey to us by August 25, 2003. Simply type the answers into this survey and send them via email to Cotter and Gordon. Our next step will be to view demonstrations of each CMS. Finally, we will interview CMS users at various legal services programs to learn how well the various systems are meeting their needs.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

❖ **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.
   a) Draper Systems Inc.
      2340 Hunter Road Kelowna BC V1X 6C1
      p:250-862-5758
      p:888-769-6185
      f:250-979-7605
      www.drapersystems.com/cass

2) What is the name of the case management system, what versions are available, and what was their release date?
   a) CASS (Client Advocacy Support System)
   b) Version 1.2.66 – September 10, 2003

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.
   a) Andrew Draper
      250-862-5746 x21
      adraper@drapersystems.com

[1] Many of these questions were developed by Kathy Daniels, Statewide Legal Services of Connecticut and Michael Alexander of Southeastern Massachusetts Legal Assistance Corporation.

4) When was your company founded, by whom, and what is the founder(s)'s professional background?
   a) 1996, Andrew Draper
   b) Draper Systems is an extension to my career in systems development for government and operation management.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

Name	Title	Years Exp.	Start Year
Andrew Draper	President	14	1996

Technical Services

Terry Lum	Database Developer / Administrator	15	1999
Stefanie Benke	Systems Analyst / QA	15	1999
Ken Gnazdowsky	Project Manager	15	2001
Jason Schmidt	Application Developer	4	2001
Michael Cooper	Application Developer	2	2002
Andrew Phare	Application Developer	2	2002

Sales & Implementation

John Adam	Technical Sales Support & Implementation Specialist	25	2002
Lars Glimhagen	Financial Systems Implementation	20	Contract Resource
Kris Warren	Inside Sales	5	2002
Murray Holmes	Outside Sales	20	Contract Resource

Administration

Christy Graham	Office Manager	20	1998

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.
   a) Private

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

   a) Installations
      i) Columbia Legal Services – 120 Users
      ii) Northwest Justice Project – 80 Users
      iii) Oregon Advocacy Center – 15 Users

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

a) No

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

- **Costs and Support:**

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?
   a) Pricing is per user with statewide discounts available.
      1-4 users $495.00 ea
      5-9 users $445.00 ea
      10+ users $395.00 ea
   b) There are no annual fees or renewal costs.

12) Describe the name and function of any additional modules and costs.

   a) MIPS – Interface
      i) Enables users to extract data for import into MIPS accounting system. Cost varies depending on required data extract.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

   a) XML – The next release of CASS will include LSC standard XML import and export functionality plus optional integration with eClear (a referral clearing house for cases).
   b) Web Version 1.0 – CASS will be release next year (Q2) as a web version on a monthly subscription basis ($15 - $20) per user per month with no minimum user count.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

   a) Technical support is available M-F 8:00AM – 5:00PM (PST)
      888-769-6185 – six people

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.
   a) Support is charged on a per incident basis.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?
   a) Training sessions are held on site or through a web based training session. Cost for these sessions is $1000 per day plus travel costs if required.

17) Are there any user groups or listservs for your product? If so, please list.

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

   a) Additional costs include data conversion and any specialty reports that a program may require. These options are priced on a hourly rate from $65.00 to $85.00.

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?
   a) Program staff time is variable based on the number of seats and existing systems (i.e. processes, software etc.) at each installation with a minimum of 45 hours required to create the base code table values.
   b) Maintenance time is limited to a daily back-up that requires the use to monitor backup media.

20) What level of staff technology sophistication is desirable to use the CMS?
   a) Technical issue are general limited to operating concerns with an individual PC. All server maintenance and system repairs are handled through remote connectivity to the server.

- **Hardware and Software:**

Please describe the following:

21) Operating system(s) required for file server and workstation.
   a) Microsoft SQL Server

Hardware	Minimum requirements
Operating System	Microsoft Windows NT Server 4.0, Windows 2000 Server, Microsoft Windows NT Server Enterprise Edition, Windows 2000 Advanced Server, and Windows 2000 Data Center Server.

   b) Workstation
   CASS operates of Win98 and greater.

22) Additional server software and licensing required (please indicate cost).
   a) SQL Server (Not-for-profit pricing) $400.00
   b) SQL Per User License (Not-for-profit pricing) $70.00

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

a) Microsoft SQL Server

Hardware	Minimum requirements
Computer	Intel® or compatible Pentium 166 MHz or higher.
Memory (RAM)	Standard Edition: 64 MB minimum 1GB Recommended
Hard disk space	SQL Server database components: 95 to 270 MB, 250 MB typical CASS Database: 100MB – 500MB (varies depending on the number of case records)
Monitor	VGA or higher resolution 800x600 or higher resolution required for the SQL Server graphical tools
Pointing device	Microsoft Mouse or compatible
CD-ROM drive	Required

b)

24) Workstation Hardware: Minimum required and recommended; Cost estimate.
   a) CASS operates within standard windows hardware requirements and requires 50MB of disk space with a recommend 128 – 256 RAM depending on version of MS-Windows.

25) Multi-location requirements.
   a) Wide Area Network

26) Any record or size limitations.

- **Customization:**

27) What elements of the CMS are customizable? Is customization required?
   a) CASS code tables are user customizable but no further customization is required.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?
   a) The CASS code is owned by Draper Systems and licencing arrangements can be made to enable end users to customize code. However, Draper will not support applications that have been edited by third party developers.

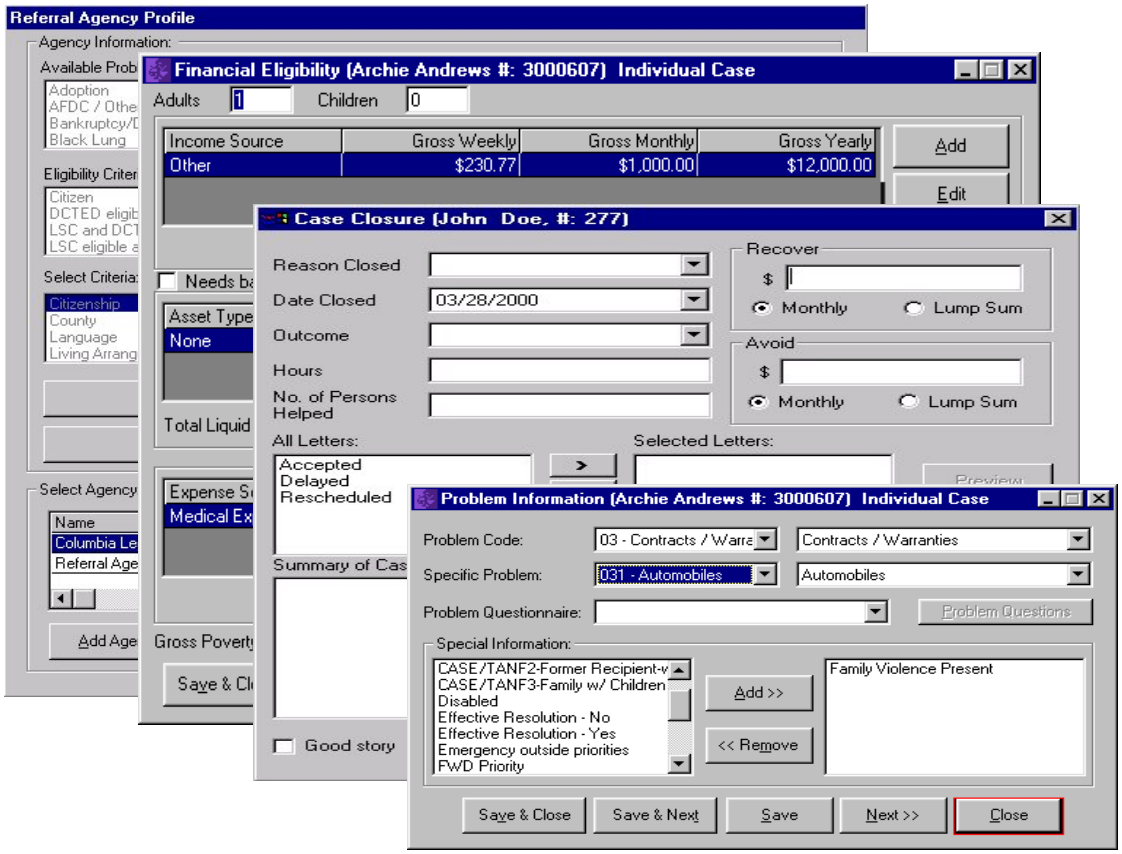
29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.
   a) Draper Systems will complete customized modification as requested by the program. Cost for customization depends on the changes / enhancements that are requested. Our hourly rates range from $65.00-$125.00 per hour.

General Features of the CMS:

In answering the remaining questions, please try to address as many of the following questions as applicable.

Centralized Intake & Referral

CASS is structured to maximize statewide intake and brief service programs. Its' multi-user functionality allows for program wide conflict resolution, integration with associated referral agencies, publication distribution management, automated time tracking and financial eligibility rule processing.



Fgure 1 - CASS Intake Screens

Desktop Case Management

Each Attorney/Advocate is supported by a desktop case management system that enables them to effectively service an extensive caseload, expanding the organization service delivery capacity. CASS provides an array of tools that are designed to optimize the users time: Appointment and Task scheduling, Case note and documents management/assembly, Time tracking, and case level contact / client information management.

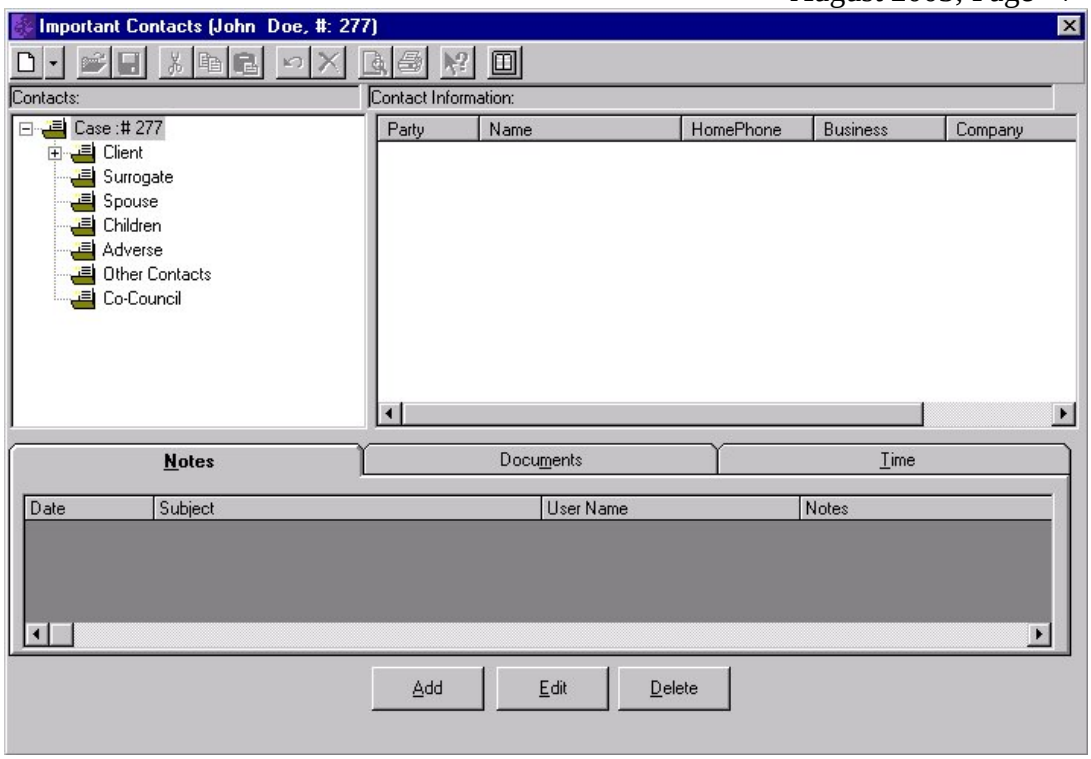


Figure 2 - CASS Desktop Case Management

Standardized and Ad Hoc Reporting

CASS offers a variety of standardized reports that assist programs in understanding operation activities, in addition, the Ad hoc feature will assist users in extracting specialized data from the database into Excel, Access and other windows applications.

Figure 3 - Standardized & Ad Hoc Reporting

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe:

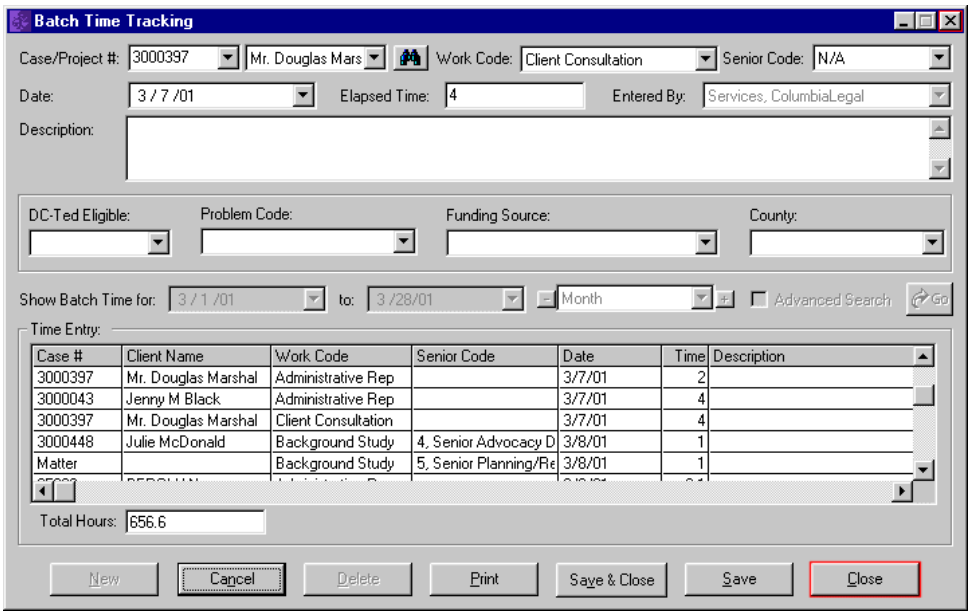
Time keeping is managed through the case timer, case time screen or batch time entry.

Timer
The timer button controls the case timer. To activate the timer the user clicks the button and the timer begins to accumulate time. To stop the timer click the timer button again and the user is promoted to record case activities completed.

Case Time Screen
Through the Case Information screen users can add time directly to a case. The customizable work code list provided standardized time entry coding to simplify reporting.

All time entered for the case is displayed under the time tab including time entered through the batch time entry screen or with the case timer. Time listed on a case is editable only by the author or system administrator. Once time has been "Billed" the individual time record cannot be modified by the author.

Batch Time Entry
Batch entry is used to add multiple time records to cases worked over a period of time. Users can select the case they work from the drop down list and enter notes and a work code for the activity.



31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

If yes, describe:

The calendaring and tasking features function similarly to most PIM software packages and allow users to record time and tasks for themselves or other (depending in the security privileges defined). Events can be associated to a specific case or project and users can view the events for themselves or others if enabled by the system administrator.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA? No

If yes, describe:

33) Does the system have its own document assembly capacity?

If yes, describe:

Documents can be created using Microsoft Word templates to assemble documents based on content in the case.

34) Does the system have a contact management function?

If yes, describe:

35) Does the system have a document management function?

If yes, describe:

An infinite number of documents can be associated and referenced to a specific case regardless of the document type.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe:

37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe:

CASS has a wide range of stock reports (see list below). Each report can be filtered in multiple ways and either printed or exported to excel or other file formats.

Report List

Admin Time Report	Billing Summary by Senior Code Report
Admin Time Report – County	Case Report
Admin Time Report – Funding Source	Statistical Case Service Report
Admin Time Report – Funding Source by County	Closed Case Listing

Admin Time Report – Legal Problem Code	Intake Sheets
Admin Time Report – Restricted Activities	Open Case Listing (Cases open as of a specific date)
Admin Time Report – Restricted Activities by Case #	Open Case Listing (Cases opened during a range of time)
Admin Time Report – Senior Code	Publications
Admin Time Report – Work Code	Referral Agency Profile
Admin Time Report – Zip Code	Statistical Report
Age Ethnicity	Time Recorded
Billing Report	Traffic Report
Billing Summary by County Report	

❖ General Usage Attributes

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe:

The document management feature enables user to attach any format. If the item is stored on the users network or PC it can be referenced by CASS.

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered? No

If yes, describe:

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe:

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures. No

If yes, describe:

42) Does the system enable users to access multiple records at one time?

If yes, describe:

CASS will allow users to open and infinite number of cases simultaneously, and is only constrained by the PC's resources.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe:

Each case or project has a unique client record. Related cases or projects can be linked to build a relationship between similar cases or clients.

44) Is there a limit on the number of modules that can be run simultaneously?

If yes, describe:

45) Is there a limit on the number of simultaneous users? No

If yes, describe:

46) Does the system allow programs to control user access?

If yes, describe:

CASS has an administration feature that allows system users to enable or disable users and restrict the features they can access.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe:

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe:

CASS is designed to minimize data entry errors by controlling the data type entered into each field and by managing required fields.

❖ **Management and Support of Cases/Matters/Activities**

49) Does the system determine eligibility based on different variables, including:
   a) Income
   b) Age
   c) Geographic location
   d) Citizenship status

If yes for any, describe:

Eligibility it calculated based on

1) Citizenship
2) Income (includes tracking Expenses and Assets)
3) LPC
4) Age

50) Does the system flag exceptions for eligibility that require further consideration?

If yes, describe:

Clients can be deemed potentially eligible and require the user to select override reasons before eligibility is determined.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe:

Referral Agencies are classified through a broad range of features that are used to determine a cases' best agency match.

1) Citizenship
2) LPC
3) County
4) Language
5) Race
6) Gender
7) Marital Status

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe:

Case Categories is a user definable list of groups that can be used to electronically file a case for future reference. These groups can be used in reporting to create specialized list.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe:

A conflict search checks for a match using the following
1) Client Name
2) Alias
3) Spouse
4) Adverse Party

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe:

Case questionnaires can be created and when completed are stored as case notes. The correct questionnaire is determined based on the Specific Problem Code selected in the case.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe:

A check list is used when closing a case to and is user definable. The results are stored in the case notes for future reference.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors? No

If yes, describe:

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe:

The Referral Agency feature can be used to manage agencies, volunteers or pro bono attorneys.

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe:

CASS has been configured to work with TANF & SSI.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time? No.

If yes, describe:

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

If yes, describe:

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe:

CASS has a callback module that can be used to mange the C/B process along with reports specifically designed to report Hotline activities.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe:

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe:

Users with the appropriate security privileges, can reassign a case to another attorney.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe:

❖ **Office Management/Administration/Resource Development**

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe:

Yes, see information noted under additional modules.

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe:

67) Does the system maintain project/grant information?

If yes, describe:

Projects can be created similar to cases that enable users to manage time, documents and notes.

68) Does the system enable user to maintain donor information?

If yes, describe:

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe:

70) Please provide any additional information about your CMS that you would like us to have.

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

- **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

Kemp's Case Works, Inc.
2304 Sherbrooke Drive NE
Atlanta, Georgia 30345-1935
Phone: (404) 320-7126 Fax: (404) 636-7767
jpkemp@kempscaseworks.com
www.kempscaseworks.com

2) What is the name of the case management system, what versions are available, and what was their release date?

Clients Case Management
The DOS version was released as Cases in 1986 and as Clients in 1988.
The Windows Version 1.0 was released in 1995.
The Windows version of Clients has gone through versions: 1.0, 1.5, 2.0, 2.9, 3.0, 3.5, 98-1, 2000 and Prime.

Prime was released in July of 2003.

Prime comes in three different editions. Although these editions appear identical to the user, there are significant, behind-the-scenes technical differences.

The ***Standard Edition*** uses a Microsoft Access database on both the workstation and the Server. It is used for a standalone computer or computers on a LAN (local area network). Microsoft Access is the most widely used Windows database.

The ***SQL or Client/Server*** edition of Prime is for larger offices or for use across a WAN (wide area network). It can be used with or without Citrix or Terminal Server. This edition uses the industrial-strength Microsoft SQL Server database software on the server.

The ***ASP/SQL*** edition runs on the web and is an outsourcing of case management. The user needs a computer that can run a graphic web browser. However, the speed of the ASP is independent of the workstation running the browser, since it is running on the large computers at the data center. Except for your workstation running the browser on the Internet, everything else including computers, software, backup and maintenance are provided by the ASP. Users can concentrate on what case management does, instead of worrying about what type of computers

and software it uses. It uses the powerful SQL edition of Prime, but we handle all of the setup and maintenance tasks for the user.

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

John Paul Kemp
Use the same contact information as above.

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

John Paul Kemp founded Kemp's Case Works in 1988. He is an attorney with an undergraduate in Business Administration and a Juris Doctorate. He was licensed to practice law in Washington State, West Virginia, Kentucky, California and Georgia. He spent 14 years working in legal services with Puget Sound Legal Aid, Evergreen Legal Services, West Virginia Legal Services, the Office of Kentucky Legal Services Programs and Northern California Legal Services. He was a VISTA attorney, staff attorney, managing attorney, and project director.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

- **Marc A. Lujan** is a Client/Server Programmer for Kemp's Case Works since May 2000. He has worked in legal services for almost four years. He has a combined six years of Network, IT, and Programming experience.
- **Mark A. Powell** is a Programmer for Kemp's Case Works since June 2002. He has a year of related experience and programming experience with KCW. He has a Bachelor of Science degree in Business Administration - Management Information Systems.
- **Deun Smith-Thomas** is the Business Manager for KCW since July 2000. She has a Bachelor of Arts degree in Mathematics.

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

It is a chapter S corporation with total ownership by John Paul Kemp, the chief executive officer.

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

KCW does not require an audit. As of December 31, 2002, the net worth was $67,107.06.

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

It is hard for KCW to keep track of this information in light of program mergers, programs closing and programs that have switched to or from Clients for Windows. At a recent NLADA conference it was estimated that KCW handled about 65% per cent of the Legal Services Offices. This percentage has fallen. The system is also in use in Canada, Albania and the Federated States of Micronesia.

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

No.

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

There are no current reviews that have been done. Older reviews reviewed earlier versions of the software. These become somewhat meaningless in light of the number of changes between versions, although the interface remains similar.

Costs and Support:

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

The pricing for Prime is complicated by the fact that there are three versions and users could be upgrading from editions that go back as far as 1988.

For **Prime Standard**, the base cost for a new program is $4250.00 for the main office and $1500.00 for each individual office. The Standard edition is only priced per office. There are statewide discounts available. The upgrade price varies upon which version of Clients you are currently running. The upgrade ranges from $1500.00 - $2500.00 for one office. A program will need to purchase one full version of Microsoft Access for customization and maintenance. Prime ships with a free runtime version of Microsoft Access for all other users.

For **Clients SQL**, the base cost for a new program is $5500.00 and $125.00 per user. The SQL edition is only priced per user. There are statewide discounts available. The upgrade price varies upon which version of Clients you are currently running. The upgrade ranges from base price $2000.00 to $4500.00 plus the cost per user. A program will need to purchase one full version of Microsoft Access for the administrator. The program will also need Microsoft SQL 2000 software for each user.

For **Clients ASP**, the pricing is somewhat different, since it is an outsourcing of the case management function, which makes cost comparisons somewhat difficult. All software, server hardware, maintenance, etc. is included in the below price. In order to compare prices requires

the user to look at TCO or total cost of ownership, since the ASP version eliminates the need for purchasing servers, software, upgrading computers, providing a daily backup, having a sophisticated computer person on staff, etc. (see the Appendix for the article, *101 Good Reasons to Use an ASP*).

The monthly cost is:
$35.00 per user for less than 50 users,
$31.50 per user for 50-99 users,
$28.00 for 100-499 users, and
$25.00 for 500+ users.
Multiple programs can combine to get the discount price.

There is an additional one time setup fee that ranges from $20-$50 per user, depending upon whether it is a new user or an upgrade. The ASP edition is only priced per user. Discounts only apply based on the number of users. Upgrade costs for new versions are given for a reduced price, and maintenance becomes easier and more inexpensive.

The system is hosted (the location of servers, software and support) by Venture Technologies, a company with about 50 million dollars a year revenue. They provide 24-7 support and have approximately 40 computer software and hardware engineers on staff.

12) Describe the name and function of any additional modules and costs.

None.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

Major upgrades are released every 2-3 years. Clients Prime was released in July of 2003 and includes three years of development and improvements. However, it is likely that a maintenance release, version C, will come out in about six months with several changes, such as the addition of compatibility with HotDocs document assembly and a web based input form.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

KCW offers telephone and email technical support. The phone number for support is (404) 320-7126. We also take technical support calls on the fax line within business hours at (404) 636-7767. We have four support people that are available from 9 – 5:30 P.M. EST.

Because of KCW widespread use, there are also user groups available for technical support. KCW works hard to offer very good response time. We also respond to support requests on the knowledge base on our website. Because Prime uses standard Microsoft components such as

Access and SQL Server, it is usually easy to find local support for the program for any common problems.

Prime is based upon standard Microsoft components, Microsoft Access and Microsoft SQL Server. Because of this and the fact nothing is locked, Internet User Groups, Microsoft Technical Support, community college courses, computer training courses and widely available books all are relevant and useful in using and working with Prime.

Venture Technologies provides 24-7 support for any ASP issues.

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

KCW offers technical support and customer support generally at no cost. We only charge 95.00 an hour if the support the program needs become lengthy and is not a result of a problem in the program. Only about one out of one hundred calls ends up getting charged.

Venture Technologies support is free.

Outside support for Microsoft Products is widely available and generally free.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

KCW realizes that about 80% of the successful use of case management depends upon people and only about 20% on technology. We do not view case management as an on/off switch but rather as a volume control, where an office grows into a system over a period of time.

We provide onsite training, along with state, regional, and national trainings. The onsite, state, regional and local trainings are scheduled upon request. One to three trainers from KCW may attend, depending on the size of the group. The agenda is prepared in conjunction with the programs being trained.

KCW has offered national trainings since 1996. These have been up to 5-day long sessions offered two to four times a year. The first two days cover the fundamentals of case management and the last three days are more advanced. The last three days have two classes occurring simultaneously, so attendees can choose between classes. Attendees can choose to attend the first two days, the last three days, or all five days. We usually have 8-10 experienced trainers drawn from around the country, many of who use the system in legal services offices. The trainings not only deal with how to operate the system, but also how to tailor it to the needs of your program. Sessions deal with topics as far ranging as setting up the Intake Question System, using the system to provide maps for funding agencies and new LSC regulations that affect case management.

17) Are there any user groups or listservs for your product? If so, please list.

Yes. There is cfwusers@lstech.org hosted by Michael Levy from Chicago and Tony White in Oakland. There is also a knowledge base on our website at www.kempscaseworks.com to post related software information. Pennsylvania has a user group plscfwusers@yahoogroups.com. List serves dealing with Microsoft Access and Microsoft SQL are relevant, since the software uses these applications and can be tuned and modified by the user.

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

There is a fee of $95.00 per hour for conversions, custom reports and custom programming, where the work involves a substantial effort on our part. The system comes with a three hundred and fifty page manual for each office. There is an optional, three-hundred page report manual that shows examples of all the reports the system is capable of generating with example data. The first copy of this is $140.

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

This varies widely, depending upon the version of Prime that is purchased. For example, the ASP version only requires the ability to access the Internet browser. Deployment of a Citrix version in combination with the SQL database is a very sophisticated process. The deployment of the Access version is in between in terms of time.

For a small to medium programs that are first getting started, I usually visit the office for two days. The first day is spent reviewing any data conversions, reaching policy decisions concerning implementation, and training the computer responsible person on how to set up and optimize Clients. The second day consists of a half-day training for staff. This training covers;
What buttons do I push?
What does the system do?
and
How do we fit what it does into what we do?
I then spend time dealing with custom reports, an overview of the fund-raising portion of the system, odd-and-ends, and any other issues the office needs addressed. It is a very busy two days.

20) What level of staff technology sophistication is desirable to use the CMS?

It is desirable to have the highest sophistication possible, which is probably true of any system. The more advanced the user, the more they use different features in their practice. Much like word processing, the system can be used on a basic level, and then the user can advance through the more sophisticated features as they become more comfortable with the system. Because of the numbers of features and options built into the system, one will never reach the end of the options and uses that are possible.

No matter what case management system is used, there are two roles that need to be filled by staff, database manager and application manager.

A database administrator insures that the software and the servers are running correctly. This person does system upkeep and maintenance, makes corrections and modifications to the program, sees that these changes are passed along to all users, and has exclusive access to certain forms and reports. They insure that the technical aspects of the program are working correctly. Sometimes this is handled in house and sometimes it is provided by an outside consultant.

The degree of sophistication needed by the database manager varies widely. The ASP version does not require a database manager, since this role is handled by Venture Technologies. If you are running your own SQL version with Citrix servers in a multiple office program, the level of sophistication required is much higher.

The application administrator insures that the data is being put in correctly, the reports are being run, and the software is being used to its fullest. They are also responsible for either making policy decisions or communicating the need for changes to the person(s) who make the decisions (i.e., should a particular form letter be modified or should a new funding code be added). There is always the need for an applications administrator to train users, do error checking and generate standard and custom reports. The sophistication of this person can vary from someone who chooses things off of menus to someone who constructs custom reports and queries for the program.

Sometimes one person carries out both of these responsibilities. The Prime administrators should have the full version of Access on their workstations. If one person performs both of these roles, a backup person should be designated to fill in if the primary person goes on vacation, sick leave or quits the organization.

Hardware and Software:

Please describe the following:

21) Operating system(s) required for file server and workstation.

For **Clients Standard**, you will need the minimum requirements for Microsoft Access. This is a computer capable of running Windows 95/98, ME, NT, 2000, 2003 or XP.

For **Clients SQL**, you will need the minimum requirements for Microsoft Access and SQL Server. Workstations need a computer capable of running Windows 95/98, ME, NT, 2000, 2003 or XP. The Server running SQL requires Windows 98, ME, NT, 2000, 2003 or XP for SQL personal edition, or Windows NT, 2000 or 2003 for SQL Enterprise edition.

For **Clients ASP**, you will need a capability to run a graphics browser and Citrix ICA Client. This will run under not only Windows but also Macintosh and Unix/Linux. Because the program runs at the data center on very fast computers, the speed and capability of the user's workstation is somewhat immaterial.

22) Additional server software and licensing required (please indicate cost).

For both the **Standard and the SQL** versions, it is recommended that at least *one* full copy of Microsoft Access be available for users to make customized changes, queries and modifications and to trouble shoot. Many offices get Microsoft Access included as part of Microsoft Office when they purchase new computers. Prime ships with a runtime version of Access, which is free and installs automatically on computers that don't have the full version of Access. The cost of Access alone can be as low as $99.00 for an upgrade. It is part of Microsoft Professional Office, which many programs have shipped on their new computers.

The **SQL** version requires Microsoft SQL Server software.

Both of these products, Access and SQL, are generally available at charity pricing from Microsoft dealers or available at minimal cost from programs such as Gifts in Kind.

The **ASP** version requires no additional software.

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

This depends on the version of the system used.

The **Standard** version requires only the recommended setup used for Microsoft Access.

- Pentium 133 MHz or faster processor (Pentium III recommended)
- Microsoft Windows 98, Me, NT 4.0, XP, 2003 or 2000
- 32 MB RAM (64 MB for Windows 2000), plus 8 MB for each simultaneously running Office application
- 170 MB hard disk space (plus 50 MB for the System Files Update)
- CD-ROM drive
- Super VGA (800 x 600) or higher-resolution monitor with 256 colors
- For speech recognition: 128 MB additional RAM, close-talk microphone, and audio output device
- Graphics tablet recommended for handwriting input features

The **SQL** version requires that equipment recommended for Microsoft SQL.

Processor - Intel Pentium or compatible 166-megahertz (MHz) or higher processor
Operating system –

• **SQL Server 2000 Enterprise Edition and Standard Edition** can run on the following operating systems:

- Windows Server™ 2003, Standard Edition[1]

- Windows Server 2003, Enterprise Edition[1]
- Windows Server 2003, Datacenter Edition[1]
- Windows® 2000 Server
- Windows 2000 Advanced Server
- Windows 2000 Datacenter Server
- Windows NT® Server version 4.0 with Service Pack 5 (SP5) or later
- Windows NT Server 4.0, Enterprise Edition, with SP5 or later

• **SQL Server 2000 Evaluation Edition and Developer Edition** can run on the following operating systems:

- Operating systems listed above for Enterprise and Standard Editions
- Windows XP Professional
- Windows XP Home Edition
- Windows 2000 Professional
- Windows NT Workstation 4.0 with SP5 or later

• **SQL Server 2000 Personal Edition and SQL Server 2000 Desktop Engine (MSDE)** can run on the following operating systems:

- Operating systems listed above for Enterprise, Standard, Evaluation, and Developer Editions
- Windows Server 2003, Web Edition (MSDE only)
- Windows 98
- Windows Millennium Edition (Windows Me)

Memory
• Enterprise Edition: 64 megabytes (MB) of RAM; 128 MB recommended
• Standard Edition: 64 MB
• Evaluation Edition: 64 MB; 128 MB recommended
• Developer Edition: 64 MB
• Personal Edition: 128 MB for Windows XP; 64 MB for Windows 2000; 32 MB for other operating systems
• MSDE: 128 MB for Windows XP; 64 MB for Windows 2000; 32 MB for other operating systems

Hard Disk
Enterprise, Standard, Evaluation, Developer, and Personal Editions require:

• 95–270 MB of available hard disk space for the server; 250 MB for a typical installation.
• 50 MB of available hard disk space for a minimum installation of Analysis Services; 130 MB for a typical installation.
• 80 MB of available hard disk space for English Query.

MSDE requires 44 MB of available hard disk space.

CD-ROM drive

VGA or higher-resolution monitor

Other
• Microsoft Internet Explorer version 5.0 or later
• Windows 95, Windows 98, Windows Me, Windows NT 4.0, Windows 2000, and Windows XP have built-in network software. Additional network software is required if you are using Banyan VINES or AppleTalk ADSP. Novell NetWare IPX/SPX client support is provided by the NWLink protocol of Windows-based networking.

Client Support:

• Windows 95, Windows 98, Windows Me, Windows NT Workstation 4.0, Windows 2000 Professional, Windows XP Professional, and Windows XP Home Edition are supported.

• UNIX, Apple Macintosh, and OS/2 require Open Database Connectivity (ODBC) client software from a third-party vendor.

The **ASP** (application service provider) version requires only that the user be able to run a supported graphics browser and have connection to the Internet. No specific computer is required.

24) Workstation Hardware: Minimum required and recommended; Cost estimate.

For the **Standard** and **SQL** versions:

- Pentium 133 MHz or faster processor (Pentium III recommended)
- Microsoft Windows 98, Me, NT 4.0, or 2000
- 32 MB RAM (64 MB for Windows 2000), plus 8 MB for each simultaneously running Office application
- 170 MB hard disk space (plus 50 MB for the System Files Update)
- Super VGA (800 x 600) or higher-resolution monitor with 256 colors
- For speech recognition: 128 MB additional RAM, close-talk microphone, and audio output device
- Graphics tablet recommended for handwriting input features

These requirements are below the those for the minimum computer available from Best Buys, CompUSA or similar retailers.

The **ASP** version only needs to be able to run a browser. Since storage and processing occur at the datacenter, the capabilities of the workstation are largely irrelevant.

25) Multi-location requirements.

ASP only requires that the computers have an Internet connection and be able to access a supported browser. The bandwidth requirements are 10-12K per user. The total bandwidth requirement can vary quite a bit because concurrency can figure into this. For example:
10 users **X 12K X .75** concurrency rate = bandwidth requirement of **90K**.

SQL version requires a bandwidth requirement the same as above if using Citrix, about 25K per user if using Terminal Server without Citrix and about 40K per user if using SQL alone.

Bandwidth doesn't become an issue with Email or Disk Transfers of data.

The system also supports data replication, either through Access or SQL, which can be done live or through internet transfers.

26) Any record or size limitations.
There are no practical limits.

Customization:

27) What elements of the CMS are customizable? Is customization required?

All elements.

Customization is only required if they have had prior customizations and would like these features carried over into the new version.

Setting up the program's settings occurs in on the Upkeep tab where the users can input their information, such as funding codes, into tables. The system ships with certain defaults, which the user can modify if they so desire.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

No. The system is open and written in Visual Basic for Applications. Prime has a lot of built-in flexibility. It is possible to make many changes very easily. The office can do what they wish with the code as long as they don't distribute it or sell it elsewhere.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

The cost for customization is 95.00/hour. Generally we don't charge for minor changes or reports. We have done changes as simple as one hour and as complex as a complete rewrite of the program to deal with specific funding and reporting needs of an entire state.

- **General Features of the CMS:**

In answering the remaining questions, please try to address as many of the following questions as applicable.

a) Briefly describe the function.

b) How does this function benefit programs?

c) How easy is it to use?

d) Does it require or allow customization and, if so, how easy is it to customize?

e) How easily does it integrate with other functions of the CMS? Which functions?

f) Can programs create drop down lists where appropriate?

g) Are there potential problems with or limitations on this function?

h) Are there plans for further development of this function?

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe:

The system stores time for all three types of time; case related, matters and supporting activities. It has three different input forms, stopwatch, batch and block, each of which has a different look and each offers distinct advantages and features.

There are many locations throughout the program from which to enter time. However, no matter where you enter time for staff members, it is stored in the same table (Ttime).

One of the forms, the Time Block, is estimated to save 30% faster than using the stopwatch form. The user highlights the time periods on the left with their mouse. This results in the automatic entry of the starting, ending and computed time. The remaining information is entered using pull-downs, except for the case notes. Once the time is saved, it shows up on the right as a block. Clicking on the block for review displays the time and case the time was entered for. Total time for the day is shown in the right corner of the form. Time without starting and ending times is also noted (if the user put in some of their time using the batch form).

All time sheets include a Billable Yes/No field for legal services offices that have funding sources that allow them to bill for time. Another field tracks hourly rate in dollars for the time entered on the sheet. This rate can vary, depending upon who did the work, and what was done.

ABA Universal Task and Billing System Codes can be stored on all records. The American Bar Association has a set of uniform billing and task codes for use in private practice time keeping. These have been added to the time slip to give users an alternative way of tracking activities accounted for using time keeping.

Many time keeping reports and utilities exist. One, a Time Balance for Period report, shows how much time staff members have entered into time slips. You can generate and print this report for one day or a range of days; for all staff members or one at a time. The number of hours that constitutes a full working day can be set to a different value. This report shows if people are not accounting for all their time.

The Time-Day tab on the main menus shows how much time you have accounted for during the day. This serves as a way to check whether you recorded everything you did during the day.

31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

If yes, describe:

Calendar The system has built in calendar with a date calculator. It is possible to interface this with Outlook to send information to and from. The calendar allows repeating events to be stored.

Waypoints The Waypoints feature allows an office to set a policy on how particular types of cases (as tracked by the National Index Code) are to be handled. It allows an office to set up six standard dates for a particular type of case and automatically enter them in the calendar.

For example, a welfare case may be set to have a review of the case that same day, a visit to view the records within five days, an interview with witnesses within eight days, review of relevant case law within nine days, a drafting of a response within ten days and a reminder for basic motions to be made within fifteen. Individual days, dates, and reasons can be modified in a particular case.

Up to six dates and reasons can be stored in the Waypoints Table. This is accessed via the *Upkeep Tab* page (Calendar Waypoints for Nat. Index). The input form asks for the National Index Code number (type of case), the number of days for each event, and the reason for each event.

To use the waypoints, the user presses the *Waypoints* button on the Intake Page 3 of the Client input form. If a Waypoints form has been filled out for that national index code, the form comes up showing the number of days and the reasons for the dates. The user can change the starting date (e.g., the date of service rather than the day the client showed up), the number of days to set the date for (e.g., 100 days rather than 125 days), and the reason for the date (e.g., prepare for pretrial rather than pretrial). Press the *Calculate Dates* button to see the actual days the events are set for. If the date falls on a Saturday or Sunday, it is reset to the previous Friday. Pressing the *Enter in Calendar* button actually puts the dates into the calendar. The *Date Calculator* button pops up a calculator that will calculate the number of days between two dates. (Click on the number of the date you want in each calculator to get the result.)

Today The Today Form is the first screen seen after logging in. Its importance has been increased dramatically from previous versions. It is a report that displays certain records from the

Calendar Table. Previously, the Today report only had a single function. It showed those events scheduled for today.

The Tickles button toggles the display between a list of today's events and those cases tickled for today or earlier, which have not been marked as completed. The user can further limit the display to a particular office and/or advocate. The display can also be limited to a single date or a range of dates.

Calendar records marked as a Tickle will continue to show up on this report if:

(1) Not marked as completed and
(2) Where the calendar date is less than or equal to today's date

Use the *Print* button to print the Today screen.

Calendar View The Calendar View Search is a descriptive name for the search screen. It uses a calendar form to show on which days the office has something scheduled. This report allows you to find and look at a day's schedule for one or all staff Members. It is automatically generated if you are using the Calendar.

Scheduled: Tickle Letters Form letter can be generated on a particular date or range of dates by using the calendar.

To Do Tab A click on this tab opens your own private "To Do List," which resides on the server but can only be seen by you. It is linked to your login number. It can be seen from any computer on the network, but each user can see only his or her own list. The purpose of this list is to allow you to track events and tasks that are not of a general enough interest to include in the Calendar, such as things only you need to know about.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

If yes, describe:
The system exchanges information with Outlook. Outlook can sync with PDAs.

33) Does the system have its own document assembly capacity?

If yes, describe:
Yes. The system has a document assembly built in that allows the construction of different types of documents. It is also planned to integrate the ability to work with Hot Docs in the next few months.

Document Assembly is included in Prime to automate the creation of Pleadings, Briefs, Form Letters, etc. Like many things, it is much easier to use than it is to explain.

There are seven basic parts to the document assembly engine. These parts consist of the assembly area, document modules, templates, answer sets, the review screen, the final external document, and the tutorial screen.

34) Does the system have a contact management function?

If yes, describe:

The system allows the user to store contacts with the users in the Lawyers database. This database is used to store PBI Lawyers and paralegals. It can also be used to store other contacts such as social workers, law students, accountants, etc. The last page of their input sheet allows the user to store the date of their contact, what happened, the case number of any related case and notes concerning the contact.

35) Does the system have a document management function?

If yes, describe:

The user can refer to any document that they can see on their computer and add it to a table that is related to the case. If the document is clicked and is an RTF (rich text format) it opens inside the program. Otherwise, the appropriate application is opened up, such as Word, and the document loaded.

Document Tracking allows you to view and edit documents you have created that are related to your case. These documents can be ones that you have created in a word processor or documents produced from the internal document assembly engine. This feature only tracks the names of documents. It does not keep any data that is contained within your document.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe:

Reports Builder There are many options here. The first is the use of a custom report writer that allows the generation of a custom report based upon an individual table or a group of tables in a query. It allows you to select fields to include in the report, set criteria to limit the cases reported and lets you sort the resulting list on multiple levels.

SQL Scratch Pad There is an SQL scratch pad that allows users to type in standard SQL language and then display the resulting report.

QBF Screens for Many Reports The majority of reports run under Query by Form screen that allow users to enter an unlimited number of criteria by merely placing the desired values next to the field desired (e.g., 1/1/2003-12/31/2003 next to date closed would give all the cases closed for the year). For example, the QBF screen for the client intake lists 34 fields for which criteria can be entered. You might put F next to Gender, 60-69 next to problem code and 1/1/03 – 12/31/03 next to date closed. This would result in the report you selected being generated for female clients who had housing problem in the year 2003.

Search - Locate and Retrieve Records Search Screens are the most used forms in Prime. For every major table there is a matching input screen, and a corresponding search screen. Use searches to find a single record (e.g., a specific client case, agency, or PBI attorney); or look for a number of records that meet certain criteria (e.g., all client cases for a particular advocate, all agencies in a certain county that deal with domestic violence, or all PBI attorneys who handle landlord/tenant cases). They can use a single field to search, or use the information on the screen to 'drill down' and find what you need. Use a search screen to locate and open a record you want to edit or modify. With the new additions in Prime (the ability to easily change the fields one can search for), Search Screens also serve as useful report writers. It is also possible to change the field displayed in any column.

Tree View Search Prime contains two new Tree View Search screens, which are accessed from the Search Screen page. These allow a Windows Explorer-like view of either a single case or all of a client's cases. The Tree View is a major change in the way a user can find things. These trees include the field description rather than just the raw field name in the display, making it easier to understand what the user is looking at. Microsoft uses a tree view in many places, such as Internet Explorer and Windows Explorer.

Full Version of Microsoft Access If a user is utilizing the full version of Access they can create custom reports and queries and add them into the system for everyone to use. Microsoft Access has query and report writers that are recognized by many computer magazines as the best ones available for desktop databases.

37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe:

The system has about 300 preformatted reports built into the system. Most of these reports can be generated either using an unlimited number of criteria on a Query by Form sheet, or they provide the user with specific prompts for such things as a date range and an office number.

New reports, called RLawyerPhoneBook and RlawFirmPhoneBook, generate phone book looking reports of all or select clients, law firms and lawyers. These can be used as convenient phone references.

There are reports that can calculate your office's cost per case. They can help management determine and track bottom line performance and efficiency. The reports also serve as tools for controlling expenses and making intelligent estimates of funding needs. For cost per case, the system uses Total Cases / Funding. For cost per hour, the system uses Total Hours / Funding. It shows a breakdown of cost by Problem code area, e.g., Consumer, and by individual problem codes. The report can be run by limiting the funding code

Built-in Graph Reports The system has a built in graphing system that can turn case management information into easily understood graphs. These graphs provided are easily added to.

❖ **General Usage Attributes**

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe:
The system includes the ability to track all sorts of documents in whatever format desired. Once a document is scanned it is stored on a disk. It is possible to reference this file in the list of documents relating to a case. Some users have modified the older version of Clients (2000) to do document tracking tied directly to specific scanning hardware. It is possible to email from within the system with the use of Outlook.

Prime allows the tracking of the email and even sending of it from within the case management program. A separate table allows users to examine both emails sent and those received concerning a case.

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

If yes, describe:
They system tracks this information two ways. The first is that a date/time, user field tracks the last person to modify a record. The system also has an Audit log that tracks historical information about all the additions and modifications of a record. Reports are provided showing modifications of records sorted by date or based upon advocate and date.

Microsoft SQL also supports a transaction log that records all transactions and allows a database to be rolled back to any point in time.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe:
The system is directly integrated with Excel and Word though office links. The system also will map directly to Microsoft's Map Point. Because it uses standard Microsoft components, any software that will talk with these standards will be able to exchange information with Prime. Crystal Writer is an example of a report writer that works with the system. The user can format and export their case notes to an RTF, which can be read by both Word and WordPerfect. Graphs are easily cut and pasted into other documents. Reports have an option to export to Text, HTML, Excel, or RTF. If a PDF print driver is installed, the print jobs are easily exported to a PDF format.

The data itself can be exported to almost any format using either the Access export feature or the Microsoft SQL DTS (data transformation services). This includes dBase, Excel, HTML, RTF, Microsoft Word Merge, Lotus 1-2-3, Paradox and ODBC databases.

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

If yes, describe:
The **ASP** system, by definition, uses web access. This uses 128-bit encryption and is further protected by 24-7 monitoring by the fifty million dollar-a-year revenue Venture Technologies. This includes firewall protection, virus protection, access monitoring, etc.

The Standard System and the SQL system can and have been used across the Internet, but the security procedures used here are up to the individual office installing it and the capabilities of the software used, such as Citrix, SQL and Terminal Services.

There will be a web browser interface in the next release, version C, due out in about six months.

42) Does the system enable users to access multiple records at one time?

If yes, describe:
Yes.

Although the question is not clear, it is possible to open multiple (five, six, etc.) client intake sheets at one time. By design, only one of them is in the read mode to avoid confusion and prevent people from entering information on the wrong sheet. It is possible to cut and past from the other records. It is also possible to have two intake sheets open at one time and edit both if one uses the full intake and the combo intake. The search screens display multiple records at one time and the user can easily change what fields are displayed. The system has a built-in table view that allows users with permission to look directly at the content of tables.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe:
The system is designed to open a record for each case or problem that the client faces. By using the master case feature, these cases can be tied together by designating one case as a master case. By pushing a button on any of the cases, the user is transferred to the master case.

It is easy to enter old client data into an existing file by use of the duplicate button or the client lookup button. Both of these take information from a previous case and move it into a new case. The duplicate button also makes a notation in the case notes of the case that was duplicated and when an eligibility sheet was filled out for that case.

44) Is there a limit on the number of modules that can be run simultaneously?

No

If yes, describe:

45) Is there a limit on the number of simultaneous users?

No

If yes, describe:

46) Does the system allow programs to control user access?

Yes

If yes, describe:

There is an ability to control access to the system by requiring the entry of a staff number and a password. When the user logs in, it is easy to control what tabs they see, and thus what functions they have access to. Some tabs carry passwords on them, which further limits the user to get to certain functions in the system. An audit log tracks changes and additions of records to the major tables by time, date, the person who made the change and the unique record number. Additional record level security will be added in the next maintenance release in about six months.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe:

There are approximately 49 tables that the administrator is given easy menu access to in order to modify. There are about 40 other tables that can be modified after consultation with KCW to avoid conflicts with program functions, database validation rules and LSC regulations.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe:

There are many validation rules built into the system. These rules can occur on a table or system level or be built into the form. These can limit entries to certain values that are typed in or allow entries that occur in other tables (such as lists of problem codes). There are also error checking routines that read the data that has already been entered and list the errors in a table. Clicking on the table opens the record, where the error can be corrected. Repeating errors are easily corrected using update or append queries. There are also routines that compare logically incorrect entries, such as the presence of a date closed without a reason closed.

1.	Office Number	2.	Advocate
3.	Date Closed	4.	Reason Closed

5.	Date Closed after Date Opened	6.	Date Opened
7.	Case Type from list	8.	Marital Status from list
9.	Living Arrangement from list	10.	Sex Type Listed
11.	Number of Persons helped	12.	Race ok
13.	Age not <1 or >107	14.	Outcome ok
15.	A Case number and not begin with blank	16.	Client last name and not begin with blank
17.	No unusual characters in City, County, Case Number or Names	18.	Client first name and not begin with blank
19.	Closed cases have both a reason and a date closed	20.	No reason rejected missing from a case type R
21.	No letters in the phone number	22.	Language listed
23.	Funding code listed	24.	Know about LS listed
25.	Problem code is proper	26.	Type of intake isn't blank
27.	Advocate isn't blank	28.	Clinic liste
29.	Living Arrangements listed	30.	Main Benefit listed
31.	National Index listed	32.	subPcode listed
33.	Reason Rejected listed	34.	Special Program listed
35.	State listed	36.	Area Code listed
37.	Type Intake listed	38.	Unit listed
39.	Staff member listed		

❖ **Management and Support of Cases/Matters/Activities**

49) Does the system determine eligibility based on different variables, including:

a) Income
b) Age
c) Geographic location
d) Citizenship status

If yes for any, describe:

The system checks for Problem Code, Income, Assets, Conflicts and Citizenship. There is a reference button that pulls up the LSC regulation dealing with the representation of aliens. If the client makes it past these criteria, then the information is transferred to a full intake sheet. Weekly, monthly or yearly income figures can be entered. The user can also set an hourly wage figure, the number of hours worked per week and push a button to calculate weekly figures. A built in calculator allows the computation of unequal pay periods.

50) Does the system flag exceptions for eligibility that require further consideration?

If yes, describe:

The system provides an error message if the client is over 125% of the poverty guidelines, if there has not been a conflict check and if there has not been a check for citizenship. It notes if there has been a failure to enter in any income, assets or family size.

Although the user is allowed to proceed, as there may be instances where these criteria might not apply, a large error message pops up saying there are critical eligibility errors and laying out what these errors are. A CLASP (Center for Law and Social Policy) checklist allows users to follow a checklist for LSC eligibility compliance and note any exceptions or areas needing attention. The CLASP checklist is present on the main intake.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe:

It is possible to display multiple eligibility guidelines to determine if a client falls within a particular program. The system also lists referral agency by their specialty. It is thus possible to pull up a list of referral agencies that help people with landlord tenant problems in Fulton County. These agencies might include shelters, food banks and ministries that help people with their rental payments.

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe:

Cases are easily tracked from the search screens. Each case has a case type. A table on the *Upkeep Tab* page allows you to add new types to the existing list of H-Hold, P-PBI, S-Staff, T-Transfer and R-Reject. Case types are selected from this table by using pull-downs throughout the program. For example, a user could add a case type Z for 'Needs Review'. It would then be easy to use the search screen to display all such cases and open them for review.

A case can begin on a call back, progress to an eligibility slip and then have a full intake sheet filled out. Buttons on each sheet allow a user to move to and reference the other level.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe:

Yes. There are search screens, tree views and a button on the case to see if the client was a previous client. The conflict table stores information about the client and adverse party. The adverse party can have any relevant information stored, such as an address, SSN, birth date, occupation, etc.

The main search screen provides a 2-4-6 way conflict check, decided upon by the input person (2 – client vs. adverse party, adverse party vs. client, 4 – adds client vs. client and adverse party vs.

adverse party, 6 – adds spouse vs. client and spouse vs. adverse party) A search screen also allows a broader-based search for a conflict for alternate names.

An unlimited number of adverse parties or joint parties can be added to the conflicts table in a case. Old conflicts can be added directly to the conflict database if you don't wish to enter a complete intake sheet for these cases and you don't have them in digital form.

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe:
Prime has an Intake Question & Advice System, which can greatly enhance the client intake process. The Intake Question System has two distinct parts, the Questions and the Advice.

Questions: A button on the Client Intake screen takes the user directly to the Intake Question System where he or she can go through a list of standardized questions and advice related to the client's particular problem. Build and maintain a pool of 100,000+ standardized intake questions. Pull up the appropriate questions based on the client's problem type. Use a body of suggestions on how to handle particular types of cases.

Both the advice and questions are linked to the appropriate national index codes. These are the codes agreed upon by a committee of legal services people. These codes are subdivisions of the LSC codes. Although originally developed to mark up web content pages, Prime was the first case management system to incorporate to further refine the problem code. The entry of the appropriate national index code activates the appropriate list of questions or answers to frequently asked questions.

Using the Intake Question System offers the following benefits:

1. Helps volunteers or inexperienced advocates to conduct intake interviews;

2. Saves time by telling advocates what to do if they get a certain answer;

3. Allows for issue recognition and recognition of facts outside the legal problem faced by the client (e.g., welfare termination of the client involved in a landlord/tenant problem); and

4. Provides a written record of all the client's responses that can be printed and used as a fact statement for LSC. Programs can formulate their own questions, set up the problems and categories, and determine the structure for each answer.

5. Insures that the facts are adequately developed and recorded during the initial interview. This supports better case analysis and quicker problem resolution.

6. Gives you the ability to embed in the questions the advice you want the advocate to give the client, e.g., "Do you have an in state child support award? (If the client says No, have them contact the attorney general's Interstate Child Support Enforcement Division at (555) 555-5555.)"

When you push the *Intake System* button on Intake Page 2, only the questions that apply to the client's specific problem appear. An example question for a landlord / tenant repair problem is, "*What is the repair that your apartment needs?*"

Advice The Advice portion of the Intake Question System allows you to create a body of suggestions for both the advocate and the client on how to handle the client's case. The purpose of the Advice is to give the advocate and client assistance with developing the facts and finding the law governing the problem. The displayed suggestions are also linked to the type of problem the client has. Both the question and its answer are displayed.

An example for a landlord / tenant eviction problem is, "*What should I look for on the eviction notice? Be sure to compute the actual time the client was given to respond, the difference between the services date and the response date on the notice. Make sure it provides the full five days*."

The system also incorporates the AARP's 100 most frequently asked questions and their answers for hotlines. This advice is state specific.

Managing the System A separate tab manages the features of the Intake and Advice System.

Canned Notes The system also utilizes a canned notes feature, which allows pre-prepared notes to be entered into the note fields on the Callback, Eligibility and Client intake. The canned notes can also be included in the form letters sent to clients.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe:

Yes, see above. It is also possible to develop a feature known as 'Special Programs'. This allows the user to create an infinite number of custom intake sheets that open when the appropriate funding code or situation arises. For example, a user could have a special program sheet for VOCA (victims of crime acts) cases and a special program sheet for measuring client satisfaction (these are already included in the system).

The Special Program field is one of the most powerful feature in the whole system, since it allows the user to create his/her own custom input screens to use for whatever purpose they want. The custom sheet and table can be as simple as a few questions or as complex as the main intake sheet itself. The names of the custom tables created are placed in a separate table, making it easier for users to develop their own custom add-on input screens without modifying code.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

If yes, describe:

Prime has a document assembly system built in. This allows the creation of templates and filling in variables based upon both information contained in the tables and prompts for information not contained therein.

We also plan to link to the HotDocs document assembly system in the next few months and have funding to do so.

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe:

The system was originally designed in 1986 in response to a need to assist in managing a pro bono panel. The utility of case management was quickly seen and the features were expanded to include staff cases.

The system tracks pro bono and judicare (compensated) cases and attorneys. A sophisticated intake sheet is available for tracking the attorneys' specialties, physical area of practice and other necessary information. If a case is marked as a Private Bar Involvement Case a referral sheet pops up. Pushing the Find Lawyer button automatically displays all of the attorneys that handle the type of case the client has in the county where the client lives. This can be modified to find other physical locations or specialties. The attorney specialties can be developed that go beyond case type, for example, Mentor Panel or Japanese Speaking. A series of reports specific to PBI cases is included.

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe:

The system interfaces directly with Microsoft MapPoint. It allows you to map anything in the database or anything that can be calculated in the database by state, county, zip code or census tract. The street price of MapPoint is about $230 but much cheaper from Gifts in Kind or through Microsoft charity pricing.

It is also possible to add support for any grant using the special program feature previously mentioned. This has been done by KCW for programs or by the programs themselves where needed.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

If yes, describe:
Certain entries and events result in the display of messages or other actions.

The system can also use the calendar to schedule letters to be sent to clients or PBI Lawyers.

All events scheduled for today or that are tickled for today or earlier show up when the program first opens or when you press the Today tab.

This adding popup messages or events that occur based upon certain criteria is easy to do and has been done for programs on an as needed basis.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

If yes, describe:

The Litigation Screen - Tracks if a petition has been filed or received, whether judgments have been entered in any of the three courts (or administrative agencies) and what the results were of the hearings in each of the courts. Reports or queries can be constructed to show the success rate in a particular court or under a particular judge.

Court Screen – This table tracks the courts in your jurisdiction. Choosing the identification number of a court places its information on the Litigation Screen.

Judges Screen – This table tracks the judges in your jurisdiction. Choosing a judge's identification number puts both the judge's name and court information on the Litigation Screen. Choosing the judge's number, if present, is better than the court number since this enters both the judge's name and the court information.

List Cases Without Time, Calendar or Notes in X days
Available from the *Time Tab*, this reports lists all the open cases that haven't had a calendar, case note or time slip entered in the past X days (you set the number of days).

Using Prime for Litigation
Prime is easily used for litigation support. The following is a condensation of a step-by-step outline, on our website, as to easy reports to evaluate your office.

Macro View This view of litigation uses case management helps look at the overall caseload.

1. Find all my open Landlord Tenant cases in three clicks: Advocates need to manage their caseloads.
2. Show how long it took to close all Landlord Tenant cases last year: Velocity in a caseload is more important than volume.

3. Show all cases that haven't been looked at by advocates in 180 days: Many offices have a policy that every case needs to be reviewed every so many days. If a case is reviewed, there should be a dated time sheet, calendar or case note for it.
4. Show cases handled in the last year by Problem Code: What did your office handle last year? Does it follow your priorities?
5. Show cases handled in last year by Advocate: What is the gross overview of numbers of cases handled by your advocates?
6. Show cases that have Good Stories – Cases resulting in excellent results.
7. Show a graph of our open caseload for use in Board Meeting: Graphs communicate much better than raw numbers. Show what you've done in such a way that people can understand at a glance. Some directors do board books for their board members – these can be included.
8. Look at how much of our funding was spent in each major problem code area based on number of cases - How much of your funding money was spent in each problem area based upon numbers of cases?
9. Look at how much of our funding was spent in each major problem code area based on number of hours - How much of your funding money was spent in each problem area based upon numbers of hours of work?
10. Look at time records for cases handled by an Advocate: How much time is being spent by an advocate and how is it being spent?
11. Take a look at the Main Benefits for Clients: Besides the gross reasons closed, what actual benefits did you get for the client?
12. Map any data from case management.

Micro View This view of litigation uses case management for helping individual clients. These reports focus on what technology can do to help a particular applicant or client.

1. Find if we've opposed a particular adverse party before: Is this landlord a problem for our clients?
2. Pull up specific legal questions to ask clients and advice to the advocate and client on how to handle a case: You've got new attorneys and volunteers doing intake. Make sure the quality of representation a client gets is not so dependent on whom the client talks to.
3. Help our clients with non-legal remedies: Sometimes the non-legal help we provide our clients is more important than the legal remedies we provide.
4. Keep your case notes on a case: This allows anyone to check the status of a case while you're out and lets you search for things such as 'home repair scams' if you use the phrase consistently.
5. Discontinue use of 'chron' sheets in paper files: Time keeping is actually the same as keeping a 'chron' sheet. Don't do double work! (a chron sheet in a file is a paper list of all the actions take on the case)
6. Set up a standard schedule to help clients with specific problems: Remind yourself to take certain steps in particular types of cases, such as admin law, where there are deadlines to meet.
7. Send out special opening 'form' letters to clients: Why use just as single form letter? Why not a specific letter for each type of major problem?

8. Use the litigation feature to track courts and parties: How does a judge rule on cases where the client is black? What courts are we most active in?
9. Avoid painful monitoring visits using the CLASP audit button: Use of this button was instrumental in having a team of ten monitors from LSC completing their work at a program early.
10. Track 'custom' information for funding sources using the Special Program feature: Case management never gathers all the information your thirty-five sources of funding want. Create custom intake screens for each funder that needs one, without modifying the basic case management system.

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe:

The system has a callback system built in. There is also an agency referral system that allows clients to be referred to both legal and non legal outside agencies for assistance. The state specific 100 most Frequently Asked Hotline Questions prepared by the AARP are available online. The system supports the ability to display problem specific questions so that inexperienced advocates can do a decent first interview. The system also tracks the self-help or informational documents given to clients. A contact person / second address field is provided for protected payees, the permanent address of migrants and the contact designated by senior citizens. The callback system allows you to keep track of an unlimited number of calls to and from clients.

The Call Back system is used by many offices to record the first contact with an applicant. It is the first stage in a possible three-stage Intake process (Call Back, Eligibility, and Full Intake). When completed, if the person needs to be financially qualified for services, the information is transferred to the Eligibility Screen. It is possible to check conflicts from this screen. Add the applicant to the conflict table only if they reveal confidential information but do not qualify for services. If the client is eligible, they can be transferred to the full intake.

It is easy to start a time keeping slip and track the amount of time you spend on a call.

The Hotline button on the full intake allows the user to refer the client to three other agencies, give them self help or informational documents, and track a permanent address or contact person. A letter listing these is easily generated from here to the client.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe:
There are extensive tools for working with pro bono programs. There are separate tables that store information about the Lawyers.

Finding a PBI Lawyer
Press the *Find a Lawyer* button to see a list of PBI lawyers who handle the problem indicated in this case and who work in the client's county of residence. Double-click on any lawyer record to

see the details on that particular attorney. If there are no lawyers who meet the criteria, or you cannot find one you want, you can enter additional search criteria on the screen to look at other lawyers.

Lawyer Specialties
The lawyers can have any number of counties or subject specialties stored with them. The Subject table can be utilized not only to store information about the substantive law area of specialties, but also information about panels the lawyer serves on (e.g., Consumer Mentor), periods of availability (e.g., 4th Quarter of 2003), and other useful information (e.g., Japanese speaking lawyer). Refer clients to volunteer or compensated members of your private attorney panel. Track your volunteer attorneys and the law firms to which they belong. Easily find out who took cases and when. Generate opening, tickle and closing letters to these lawyers and the referred clients.

PBI Lawyer Time Keeping
There are two ways to do PBI time keeping for private bar lawyers. One way is to put their total time on the PBI slip at the bottom of the Client Intake when they complete the case.

The second way is to fill out time slips similar to those used by staff members. These can be filled out weekly, monthly, when sent in, or when the case is closed.

Law Firms
The Law Firm Table is for tracking PBI Law Firms. Many PBI programs base their referrals around large law firms. Open the input screen from the PBI lawyer button on the *Add Tab*. It displays not only Law Firm information, but also provides a list of attorneys who are in the firm and the cases that they handled.

A button on the *PBI Tab* page changes the addresses, phones, etc. on every PBI Lawyer's Intake screen to match that of his/her law firm. There is also a button on the Lawyer Intake that will do this for an individual lawyer.

Judicare and Reduced Fee Cases
Reduced fee or judicare cases are tracked using the compensated table. Use this feature to input and track money billed by and paid to private Judicare attorneys. Compensated information can be added on the Client information sheet or separately from the Main Menu.

Length of Time to Refer a PBI Case
There are two reports that compute the days between the initial intake and the date of referral for PBI cases (RPBIDaysRefer & QPBIAvgDaysRefer (non QBF)). One report gives information about individual cases and the other gives the average referral time for each problem code.

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe:

I'm assuming this is referencing the staff attorney. This can be done on a case-by-case basis or by an update query using the criteria desired. This is also true about PBI attorneys. It is also possible to store up to three PBI attorneys on an intake sheet.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe:

- **Office Management/Administration/Resource Development**

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe:
The system uses the standard Access database format and therefore is capable of integrating with any system that can communicate with this format. The time keeping records store a funding code and reports are provided that show time spent by funding code and case. There are also reports showing time spent under each funding code.

We are currently working with an office that intends to integrate the information in Prime into their accounting program.

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe:
This has been done automatically for programs in the past. Because some of these fund rules can be extremely complicated, this is handled on a program-by-program basis. A very complex system for allocating cases and matters was developed for use in Pennsylvania.

67) Does the system maintain project/grant information?

If yes, describe:
The system tracks funding codes and generates reports dealing with them.

68) Does the system enable user to maintain donor information?

If yes, describe:
Prime includes a fund-raising package. This allows you to track and produce reports on current, past and potential contributors and their organizations. See how often and how much a donor has given, and note specific information such as funding cycles, contact persons or target issues.

The *Funds Tab* is the users' portal to the fund-raising package. It stores a list of Contributors, the Contributions that they make, and the Organizations to which they belong. The Contributor

Organization includes the email, web site, funding cycle, and funding date. The Contributor table includes the contributor's email.

A button copies select PBI Lawyers to the CONTRIBUTOR Table. The Lawyers fields are copied into the Contributor table. The Lawyer records remain unchanged.

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe:
See below

70) Please provide any additional information about your CMS that you would like us to have.

Online Help and Advocate's Guide There are eighteen screens providing help on the basics on the Main Help Page. The Help Tab provides a five-page Advocates Guide – overview of using the system. Also included is a keyword and subject search for help topics. The content of any Help Screen can easily be changed to reflect office policy. You might want to do so for three reasons. It might be important to include information essential to the policy decisions of the office, such as, "Always begin an Intake with the Eligibility Slip!" Second, there might be information that your office wants spelled out more specifically, such as, "Remember you can enter a calendar on the Client Intake and save putting in the case number, which will appear automatically." Last, you might want to remove help on features that you don't use or that don't apply.

F1 Key provides Microsoft based Access help for the full version if needed.

Demo / Training Disks Two demos are available that illustrate the features in Prime. One demo is an overview of the complete program. The other is specifically about the changes. The demos can be downloaded from our website at www.kempscaseworks.com. The demo's can also be used as training disks. There is a fully functional copy of the program on the web running on our ASP provider.

Multiple Letterheads The system supports multiple letterheads. The system stores and supports up to three graphics per letter. This could be the program graphic, the LSC graphic and a third graphic such as United Way.

Add an Existing Form Letter An existing letter in Word or WordPerfect can be added to the system and turned into a form letter in about 30 seconds. Form letters can be generated in batch or off of an intake sheet.

Control Security by Hiding Tabs Another way of providing security is to limit what a user can do in the program by setting which tabs a user sees on the Prime Main Menu notebook. A new

form on the *Upkeep Tab* page allows the administrator to set five levels of Tab access. The 5th level, the default, shows all the tabs. The other four settings are fully modifiable and allow the administrator to set up different levels of access.

A form is available that makes it easy to set the password and security levels for users. If your office prefers to use the person's initials when logging in, just leave the password column blank. This form is reached from the *Upkeep Tab* page after pressing the *Security Levels / Passwords* button. Put a number in the SLevel column to set the person's security level. Putting a value in the Password column means that the staff person will have to use that word, rather than their initials, to log in. The tabs available for each security level are displayed for reference purposes. If you wish to change which tabs show up for a particular security level, go to the next section.

For greater security, passwords can be used instead of initials. Creating passwords should be done by the Prime Administrator. Enter a password of up to six characters in the Password column. This column corresponds to an invisible field on the New Staff Member input form. An entry in this field means that the user must use his or her password instead of initials to log in.

Simplify the Intake by Removing Unused Fields An office can simplify the appearance of the Client Intake screens by removing fields not used. A form removes fields from view on the Client Intake screen by putting checks next to the field names.

Reuse a Field by Changing Its Label A form allows users to change the labels (the text on the screen that explains what the field name is) for fields so that they can use that field for a different purpose. These changes are then stored in a table, so that this process is self-documenting and easily reproduced in any upgrade to a newer version. This form allows you to change the labels on fields located on the Client Intake screens, Combo Intake screens, Client QBF Screen and the Client Intake printout.

A perfect use of this feature is for the three user-definable fields, Spcode1, Spcode2 and Spcode3. Relabeling these to reflect their actual use would make them much easier to use and understand, e.g., County Subdivision rather than Spcode2.

Courts & Judges for Litigation Courts and Judges are tracked for the Litigation Report and other reasons. Add to these tables from the *Add Tab*. These options are further discussed in the section on using Prime.

Agencies to Refer Clients to Prime allows you to refer clients to nonlegal resources, such as food banks, shelters and other agencies. These are stored in the Agency table. Agencies can be added from either the *Agencies Tab* or the *Add Tab*. These options are further discussed in the Using Prime section.

Customizable Help Screens The Main Menu's "open book" displays the system-at-a-glance. Pointing to a tab with the mouse generates a description of that tab's functions on the right-hand side of the Main Menu screen. You can customize these help screens by going to the *Upkeep Tab* page, and selecting 'Help Screens on Main Help Tab' from the Setup Table pull-down. This

feature makes it possible to have your office's procedures and policies reflected on the Main Menu's help pages.

Case Time Button Press the *Case Time* button to see a list of time slips entered thus far for this case. This acts as a built-in chronological account of what has been done in the case. This allows users to discontinue making separate notes in the case file and use their time records' notes instead. This allows the advocate to avoid doing the same thing twice.

Multi-print Selection Box The Multi-print Selection box allows you to select, preview, and print a variety of documents for this case and client in one step. These include letters, envelopes, and intake sheets. Click on each one you want and press the *Print Preview* button.

Master Case Number The Master Case Number (Intake Page 1) allows a series of separate cases for a single client or a group of related cases for different clients to be linked together. Examples would include a group of clients who are suing the same landlord for conditions at an apartment complex or one client who is having three adoptions done. A Master Case Number allows one case to serve as the major depository of case notes, time records, etc. The other clients' intake screens can reference this master case, via the main case number reference field.

Duplicate Button When the *Duplicate* button is used, a copy of the basic case information is made and a new case number assigned. A notation is placed in the notes field on the new case. This notation states that the case was duplicated, lists the original case number, and shows the date on which it was duplicated. It also lists the date the Eligibility slip was entered, "This case is a duplicate of Case Number 00E-1000146 and it was duplicated on 2/19/2003. The associated Eligibility Slip was opened 6/24/2000."

Family Members The Family table exists for storing the information about the client's family members. This table includes fields for the SSN, whether the family supports the person, and whether the person lives with the family. Family members can be found by using the *Search Tab*'s Family of Client button.

Time Date Calculator A calculator is available that allows you to click on two dates to calculate the number of days and weeks between the two dates. You can also start with one date and type in a number of days to add to the first to find the date it falls on in the future or past.

Calculator A popup calculator is available to work with trust accounts or unequal pay periods on the Eligibility slip.

Track Client/Attorney Expectations Many programs want to measure the success of their representation using the client and attorney expectations at the beginning of representation. A new special program table and form allow users to establish expectations which are set by the client and the advocate, and then mark whether they were accomplished. Access this from the Special Programs pull-down menu.

Identify Clients Likely to Have Difficulty A study by the Project for the Future of Equal Justice shows that certain factors affect the likelihood of a client getting a satisfactory result in a

hotline case. A new table and form gather this information so that you can tag these clients as having a possible problem. Access this from the Special Programs pull-down menu.

Main Benefit Report The main benefit report screen provides a report other than just the reason closed. A table stores a list of main benefits and this report allows you to find out how many evictions you prevented, how many families you kept together, how many bankruptcies you prevented, or whatever else you wish to measure.

Trust Accounts The Trust portion of Prime allows the office to manage the deposits and withdrawals of the client into the office trust account. These are usually for filing fees, rent withholding and other purposes. A bank field tracks the bank involved in the transaction

Office and Unit fields Most records contain and an office and unit field to identify where the record came from in a multi-office database, such as the 'bankruptcy unit'.

Transfer Tab This tab covers the topic of the disk or file transfer of information from a branch office to a central office. This is unnecessary for the ASP or SQL versions. The system supports transfers by disk or email. (in addition to not needing them in the ASP and SQL versions.)

Check for Near Duplicates This choice checks for and allows you to edit duplicate entries in four tables: Cases, Lawyers, Conflicts, and PBI. For client records, this report shows records that share the same client name and problem code. They may or may not be the same client and same problem, with a different problem code. The client duplication test lets you check for duplicates based on:
Problem Code and:
1. Name or
2. Social Security Number or
3. Address

Prime to Evaluate Your Office Prime is easily used to evaluate your office. The following is a condensation of a step by step outline, on our website, as to easy reports to evaluate your office.

Macro approach

1. How many cases were closed in a time period at a particular location, such as city, county, office, zip code, etc.
2. Compliance – a report showing whether we serve all our counties equally
3. What is the cost of closing our cases in each problem code area based upon number of hours spent? How much of your funding money was spent in each problem area based upon numbers of hours?
4. What is the cost of closing our cases in each problem code area based upon number of cases? How much of your funding money was spent in each problem area based upon numbers of cases?
5. How Long Does it take to close a type of Case?
6. Cases Closed by Advocates - Numbers of Cases
7. Types of Cases closed by an Advocate and the Reasons Closed

8. Compare the cases closed by Advocates during a time period using a graph.
9. Use the cost reports to check compliance with priorities. Use the cost reports to look at # of cases closed vs. time spent in areas. You may have 40% of your cases closed in housing, but only spend 10% of your time there.
10. How were your cases resolved? What were the Main Benefits to clients?
11. When are the busiest months for closing cases and how long to close?
12. When are the busiest months for opening cases?
13. Do the types of cases closed vary based upon time of year? There are many ways of doing this. (Prime has a special report for this on the nonQBF pull-down.)
14. How many applicants were rejected?
15. What is primary reason for rejecting applicants?
16. What was the primary type of problem faced by rejected applicants?
17. Compliance – Unduplicated case check. Do you only have one case or a group opened in the same funding period with substantially the same fact situation marked as non-duplicated?
18. Did you document or reject this list of clients that were over the financial guidelines? Get a list of clients over 125% of income.
19. Where is Time being spent – This lets you look at how much time is being spent on Cases vs. Matters vs. Supporting Activities.
20. Amount of Time spent closing a type of case – Do you know how long, on average it takes you to close a particular type of case during the year?

Micro Approach – Individual Cases

1. Compliance – Generate a list of any number of Random case numbers.
2. Compliance – Choose every Nth Case between two dates opened
3. Compliance – Print out the CLASP checklist page for certain cases
4. It's time for the Annual Report or a report to a funder. How can you find those great cases that you did? Show cases that have Good Stories – cases resulting in excellent results.
5. Case Notes Changed – You want to look at what was done in all the cases between or since a particular date by looking at the changed case notes.
6. Cases looked at every X days - Many offices have a policy that every case needs to be reviewed every so many days. If a case is reviewed, there should be a time sheet, calendar or a change to the case notes in the last X days.
7. Open Case Reviews – Time to review open cases with advocates.

Unique Client Number The system stores a unique client identifier, which is computed using a formula that includes the client's SSN, birth date and gender. This is a one-way, consistent function. 'Consistent' means that the function will always yield the same number if you use the

same parameters (SSN, birth date, gender). 'One-way' means that you cannot reverse the function to get the person's information, such as Social Security Number.

Transferring and Sharing Data

By Disk Transfer
By Email
By Replication
By WAN
By ASP
By printing to a Fax (for example to PBI attorneys who agree to take a case)

Case Notes Notes can be underlined, italicized, or bolded. The color of selected text can be changed to make it stand out. Different fonts can be used in the same text box. It is easy to select from a group of canned notes to include standard information that was given the client. This can reduce the time required for keeping complete case notes. A field exists that stores when the notes were last modified. The *Save File* button on the Case Notes screen allows users to save their case notes to a separate file. This means that the case notes could then be used for any purpose or used in your word processor.

Appendix

101 Good Reasons for Using a Web Based ASP

What is an ASP?

ASP is an abbreviation for Application Service Provider. It is a company that puts an application, likes Clients Case Management (Clients), up on the Internet and allows people to use it for a fee. It allows a legal aid office to outsource their computer needs and get back to what they are best at, representing clients.

Clients is a computerized case management system that tracks cases for legal services, law school clinics, and pro bono offices that represent low-income people. The ASP version of Clients is located in an extremely secure data center that is accessed over the Internet. Your computers become thin clients when using the case management software.

Safe

Economical

Easy

Powerful

Flexible

Safe

The information at the data center is actually much safer than it is in your own office. This is why:

1. Your database is backed up on tape on a daily basis.
2. The backup tapes are stored off-site in a vault.
   Backups are transported in metal boxes with seals by a courier service.
3. There is redundancy built into the hard drive systems.
4. Usage and access to the database are monitored 24 hours a day.
5. There is intrusion protection.
6. There is 24-hour physical security at the data center.
7. The facility uses biometrics to identity who wishes to enter. Only if they are approved can then get in.
   There is fire protection.
8. Virus protection is monitored and updated regularly.
9. Employees' backgrounds are checked for criminal records before being hired.
10. Cleaning service employees' backgrounds are checked for criminal records before being hired.
11. A firewall is in place to prevent unauthorized traffic.
12. Venture Technologies data center is a Tier 1facility, which requires passing stringent tests.
13. No data leaves the data center. The workstation sends mouse moves and keystrokes. It receives pixel data to construct an image on your monitor.
14. The information going over the Internet is encrypted.
15. A backup of the data (in a Microsoft Access format) can be downloaded to your local hard disk once a week.
16. The data center provides enhanced security and redundancy that you couldn't afford in your own office.
17. Your database will not be "marooned" on broken hard drives or "lost at sea" on computers that have been stolen
18. The data center is more dependable than a typical wide area network, being available for use more than 99% of the time.
19. If your Internet Service Provider goes down, you can use an office or home dial up connection, such as MSN, ATT or AOL to access your data.
20. The data center is inspected and monitored by third-party evaluation companies.
21. There is a password to access the ASP.
22. There is a password to get into the database
23. The ASP password is changed periodically.
24. You own your data.

Economical

Studies show that offices using ASPs save money. In evaluating your savings it is important to look at the total cost of ownership (TCO) of operating your computers.

With an ASP, you DON'T need:

25. To buy a SQL server.
26. To hire anyone with SQL server knowledge.
27. To buy SQL licenses.
28. To buy a Citrix Server or Servers.
29. To hire anyone with Citrix XP knowledge.
30. To buy Citrix XP software.
31. To upgrade your computers, since the speed of the system is independent of the workstation using it.
32. To buy Microsoft software licenses.
33. Upgrade your hardware to run Windows 2000 or XP (which is what the database runs on at the data center).
34. To buy and setup backup hardware, backup software, and tapes.
35. To spend time backing up, rotating and storing the tapes, and testing the backup.
36. To figure out load balancing within servers in your office.
37. To hire anyone who knows how to run a Web Server
38. To find a safe, locked, secured room with air conditioning to house your servers.
39. Bigger bandwidth coming into the main office, since each office communicates with the data center. No one office acts as the compilation point for all the others.
40. To provide dual data lines from multiple providers into your main office to deal with outages that might occur to one.
41. Routers and dedicated lines. All you need is adequate access to the Internet.
42. A team of engineers debugging the latest version of Windows, Citrix XP, SQL or how they interact with each other. Venture Technologies has that team working for you.
43. To staff a help desk.
44. A Diesel generator
45. Battery backups.
46. To install a fire suppression system.

You also save in other ways.

47. There is an extremely short setup time, measured in days not months. You and your staff are not tied up for six months getting things working.
48. There is a low cost to get up and running
49. An ASP causes reduced overall costs for both management and hardware.
50. Bandwidth requirements are kept to a minimum, 12 to 20K per user.
51. Your application costs become predictable. This makes budgeting much easier.
52. The ASP compensates for lack of internal IT resources. If you don't have highly skilled computer people, you don't need to hire them.
53. Extend the useful life of your old computers. Replace them three years after you normally would.

54. Buy new inexpensive desktop or laptop computers with no performance penalty. The speed of Clients depends on the equipment at the data center.
55. Pull old computers out of the closet and start using them again.
56. Expensive hardware and software experts don't sit idle for long periods of time waiting for calls when things are working correctly.
57. Attorneys and administrators can go back to doing their normal jobs, rather than trying to be an IT department.
58. Other high-end applications that you might not otherwise afford are now within reach.
59. Complex applications usually require support for both the application (Clients) and the database (Microsoft SQL). Eliminate the need to support the database.
60. Eliminate the worry of or liability for illegally pirated software existing on workstations.

Easy

The ASP version of Clients is actually easier to install and work with than the normal version. This is because the work is done for you.

61. When your data is ready, we can set you up in a day.
62. Venture Technologies can set you up with all your applications on an ASP, not just case management. You can add email, word processing, accounting and other applications that wouldn't be affordable to buy and support.
63. In a totally ASP-based system, the only software required on the user's desktop is a Web browser. This would totally eliminate the need to manage client software desk-by-desk.
64. Venture Technologies can arrange to provide you with connectivity to the Internet if you need it.
65. All you need to run Clients ASP is a computer that supports an Internet Browser. Clients ASP will run on Windows, Linux, Unix, Macintosh and even Windows CE.
66. Upgrades are easy. Changes can be made to your system from our offices in Atlanta or at the ASP in Jackson.
67. Data entry error checking is easy. Check data entry daily or weekly from your own office.
68. Avoid the search every two years for experienced hardware and software people to replace ones who left for higher paying jobs.
69. Escape the pain and challenge of installing and managing a Wide Area Network (WAN).
70. Almost totally eliminate application maintenance tasks. Take the time you would have used learning SQL and Citrix and use it to train your staff on how to use case management. Use the time freed up to use case management information to manage, rather than fiddling with hardware and operating systems.
71. Be worry free about server and workstation setup. (Did the backup really work, and should I test it?)

72. Dial-up connections will work for one or two people.
73. KCW can help you with data changes without having to visit your office.
74. Guaranteed performance and uptime.
75. There are no additional development, testing, or deployment procedures for other individual applications. These can be ‘turned on’ in a day.

Powerful

Clients ASP has all the features of the normal version and more. Having it on an ASP makes it even more powerful.

76. Your case management runs on extremely fast computers at the data center. As time goes by, these data center computers will be upgraded without you even knowing it
77. Clients ASP has all the powerful features of the normal Clients program, and more.
78. Use case management from any device, at any location through the Internet.
79. Add additional applications that are just as easy to access over the Internet.
80. Access case management from visitation sites, senior centers, at home or even on the road.
81. Use your time to improve your focus on what case management does, rather than maintenance and installation
82. Training and support can be handled centrally using "shadowing.” This means we can take over a computer and show the user what they need to do, even if the user is on the other side of the country.
83. Eliminate the need for visiting each office and desktop to troubleshoot or install updates.
84. There are no WAN servers in the central or branch offices, so having a technical person on staff travel around to maintain them is not necessary. Your technical staff can concentrate on how the software works and helping advocates, rather than traveling.
85. The available power expands to match the size of your data (there is scalability).
86. The speed of the application is almost completely independent of the equipment being used by the staff member.
87. Use your freed up time to use case management for strategic objectives.
Eliminate disk or email transfers of data from branch offices.
88. The system uses the industrial strength Microsoft SQL Database.
89. The more complex technology tasks a legal services office takes on, the more they jeopardize their ability to represent clients. Legal Aid offices should focus on what they do best, representing clients.

Flexible

One important reason offices purchase Clients is that it is very flexible. Putting it on an ASP makes it easier to utilize this flexibility

90. Clients ASP can be modified and adjusted just like the standard version.
91. You can have custom queries
92. You can have custom reports
93. You can have custom ‘special program’ tables and intake sheets.
94. Expansion of storage, users or speed is fast and easy and invisible.
95. Customizations to the program need to be done to only one ‘front-end’.
96. Once customizations are completed, they are automatically sent out to users in the evening.
97. Load balancing works invisibly. Underused servers can pick up the work of servers that are being heavily used.
98. Improvements and lessons learned by one legal services program using the ASP are shared among all of them.
99. An experienced computer responsible people can be given extensive rights to customize and administer their version.
100. Major upgrades to new versions of the program can be handled without an on-site visit or mailing the database on a CD.
101. Downtime for upgrades is minimized.
102. Cases can be transferred to other legal aid programs.

LEGAL AID OF EAST TENNESSEE
CASE MANAGEMENT REVIEW PROJECT

LEGAL AID OF EAST TENNESSEE

CASE MANAGEMENT SOFTWARE SURVEY OF LEGAL FILES SOFTWARE, INC.

August 25, 2003

Legal Files Software, Inc.
Gordon Hack
(800) 500-0537 Ext. 247
2730 S. MacArthur Blvd.
Springfield, IL 62704
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LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Overall CMS information

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

   Legal Files Software, Inc.
   2730 S. MacArthur Blvd.
   Springfield, IL 62704
   (800) 500-0537
   (217) 523-2390 FAX
   www.legalfiles.com

2) What is the name of the case management system, what versions are available, and what was their release date?

   Legal Files Version 5.0
   Release Date: February 2003

   MyLegalFiles Web Portal
   Release Date: April 2003

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

   Gordon Hack
   Account Manager
   (800) 500-0537 Ext. 247
   g.hack@legalfiles.com

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

   Founded in Springfield, Illinois, hometown of Abraham Lincoln, Legal Files Software, Inc. has grown to become a successful, international provider of professional matter and office management software and quality IT services including system integration, training and project management. Legal Files customers include thousands of users in legal services clinics, leading law firms, corporate legal departments, insurance companies and universities in the U.S., Canada, Australia and Europe.

We began serving the legal community in the mid-1980s after we saw a need for a fast and efficient way to provide the most up-to-date information on each matter to everyone in a law firm or legal department--no matter where they were located. In a city known for its small-town friendliness and educated workforce, a dedicated group of people worked together to develop Legal Files software.

With a shared belief in integrity and a strong commitment to quality and service, Ron Kanoski, an attorney from Springfield, launched our company, Legal Files Software, Inc. in 1991. By offering innovative products and professional system integration, IT training and project management services, Legal Files has flourished—and so have our customers.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

   Administration – 4 (total years of experience = 29 years)
   Sales & Marketing – 5 (total years of experience = 19 years)
   Programming – 4 (total years of experience = 18 years)
   Support – 5 (total years of experience = 28 years)

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

   Private

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

   Legal Files Software Inc. is a privately held company and, as such, does not release such financial information or publish annual reports. In lieu of such information, bank reference letters could be provided to demonstrate strong financial capability.

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

   Current number of installations: 372
   Current number of seats installed: 7,150
   Current number of legal services accounts: 4
   Current number of legal services seats installed: 807

   Legal Services programs:
   Legal Aid of North Carolina
   Legal Services of Connecticut
   Indiana Legal Services, Inc.
   Harvard Law School; Office of Clinical Programs

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

No

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

Legal Files Software's website www.legalfiles.com contains many reviews on the software that have appeared in many publications. You will be able to find the reviews along with other information at the following web address:

http://www.legalfiles.com/Press-Reviews.htm

Costs and Support

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

- The purchase price of Legal Files for any legal services provider is $495 per user, which is a 50% discount off the regular purchase price of the software.
- Legal Files is sold as a user based license.
- Legal Files does offer volume discounts off the legal services price of $495 per user. Depending on the number of users the discounted price could equal an 80% discount off the regular purchase price of the software.
- A Legal Files license does not have any renewal costs. The license is a one-time fee.
- Legal Files does offer a maintenance and support program, which includes all changes and upgrades to the program as well as unlimited help desk and technical support. Major upgrades average one per year.
- The maintenance and support program is an annual fee that includes everything for $149 per user. The fee is a 25% discount off the standard fee and volume discounts are offered to legal services programs.
- The Legal Files license is a user-based license and there are no limitations.
- Legal Files does not require any minimum purchase.

12) Describe the name and function of any additional modules and costs.

Legal Files is one program and does not contain any additional modules.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

Legal Files averages a new release for our customers every year. Each release includes new functionality and enhancement ideas that have come from our customers who benefit from one another, and continually improve their own operations. Legal Files also ensures that all new releases are compatible with all of the customization and configuration that our customers have already performed so they never have to waste time and money re-configuring their system after installing a new release.

Legal Files is currently shipping Version 5.0. The following are the dates of the previous five releases beginning with Version 4.8.

- July 2001 - Version 4.8
- November 2000 - Version 4.6
- February 2000 - Version 4.5
- March 1999 - Version 4.4
- March 1998 - Version 4.3

The next version of the software, which will be released in the winter of 2003/2004, will include enhancements to the email integration, document management, time keeping and calendar functions of the program. Legal Files is in the final testing of a web-enabled version of Legal Files Software that will not rely upon Citrix and Terminal Services software.

In addition to the above, another top priority for the future development plans of Legal Files is to release a completely web-based application portal by the end of 2003, which will be based on the Legal Files Portal *MyLegalFiles*. Legal Files will continue to build upon the partnerships and alliances with vendors that are currently in place, while still incorporating customer ideas into the application.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

Legal Files meets or exceeds industry standards for response time and support. Legal Files backs its software with superior customer service. Legal Files software is the only product Legal Files Software, Inc. develops and markets. Consequently, all our support specialists are focused solely upon providing the support you need.

Legal Files provides three levels of support: telephone and e-mail support for everyday, “how-to” questions; telephone and e-mail technical support for “talk-through” system maintenance; and on-site technical support for “walk-through” system administration. We also offer network consultation at competitive rates.

All support calls follow the same, formal problem management escalation procedures. Any questions that the Help Desk technician cannot answer are immediately assigned to the product manager or the development department.

The Help Desk is open from 7:00 a.m. until 5:00 p.m., Central Time, Monday through Friday, and other hours by appointment. The number of people that field and manage questions and problems is nine. Our Help Desk system is designed to conform to our goal of answering each help call as it is received.

Legal Files Help Desk does ask that each customer designate key personnel as the users to contact the Help Desk. This provides the customer with better and timelier support. The following chart includes sample problems and response times:

Problem Level	Response & Resolution Time
Level 1 Critical Problem: Application/users are down and inoperable. Business operations and productivity are severely impacted.	**Response time:** within one (1) hour of report of problem. **Resolution time:** works continuously until the problem is resolved or an acceptable workaround is delivered.
Level 2 High Priority: Application/users are limited; the situation is causing a significant impact to portions of business operations and activity.	**Response time:** within two (2) hours of report. **Resolution time:** works continuously until the problem is resolved or an acceptable workaround is delivered.
Level 3 Medium Priority: application/users are slightly limited; the situation has impaired some operations, but most user productivity continues.	**Response time:** within 24 hours of report. **Resolution time:** define a solution/fix problem within 10 calendar days.
Level 4 Low Priority: applications and users' productivity are not affected.	**Response time:** within forty-eight (48) hours of report. **Resolution time:** define a solution/fix problem within 30 calendar days.

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

Legal Files' maintenance and support program includes unlimited upgrades and help desk/technical support. Legal Files does not charge per incident.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

Legal Files Software, Inc. offers basic and advanced training including System Administration Training, onsite End-User Training, One-on-One Training and Train-the-Trainer Training. Details on each follow:

System Administration Training
The Legal Files case management solution is a robust, professional practice management system. It is reasonably easy to learn and use; however, Legal Files recommends a serious

and disciplined approach to training. Maximum effectiveness and efficiency will only be acquired if management requires all appropriate employees to receive the training and practice necessary to become proficient in the use of the software.

Legal Files recommends that the key employee or employees who will be responsible for the ongoing administration of the Legal Files solution complete, at a minimum, three days of administrative training.

The System Administration Training will enable the employees to establish the system options and preferences. After training, the employees will be able to:

- Set up matter menus
- Create custom checklists
- Establish appropriate user workgroup
- Decide and establish system security
- Create task wizards
- Create document assembly templates

Onsite End User Training
Legal Files recommends that each end-user receive the equivalent of 1½ to 2 days of training prior to using the Legal Files solution.

The end-user training will instruct users on the use of the case management and groupware features of the application. An end-user training manual is utilized and students are encouraged to take this manual with them for future reference upon completion of the training.

Legal Files recommends that training class sizes not exceed 10 people. Classes larger than 10 require a training assistant. System administrators that have been pre-trained can qualify as training assistants. It is strongly recommended that staff not be exempted from training. Special training should be set up for employees with scheduling conflicts or staff desiring separate training.

Legal Files also offers a portable training lab that can be utilized if computer equipment is not available. There is a $50 per computer additional surcharge for training conducted using Legal Files Software, Inc.'s equipment.

One-on-One Training
During the first few days of program use, Legal Files will provide one of our trainers to be on-site at your office to walk around and assist employees as they begin using the program, answering questions and reinforcing training.

Train-the-Trainer
As an option, Legal Files offers a train-the-trainer program, which is recommended for large implementations only. The following outlines the four-day class:

Day 1: Overview, groupware functions and case detail
Day 2: Setup, security & document assembly training
Day 3: Train the trainer
Day 4: Train the trainer

Implementation Assistance
In order to ensure a successful implementation at the organizations, Legal Files, as an option, proposes Implementation Assistance to help with the initial configuration and rollout of the system. During this time, a Legal Files consultant will work closely with your own administrator(s) to facilitate an additional level of knowledge transfer between the parties.

The Legal Files consultant and your own system administrator(s) will then work together to configure the system.

All the above training is billed on a per day charge of $1,000.

Legal Files trainers offer extensive professional experience training clients in-house and on-site, answering and responding to Help Desk queries, creating training documentation (including customized documentation), developing curriculum and designing practice exercises. Each trainer possesses excellent communication skills, a commitment to each student's success and the ability to show the relevance of the course material to your needs. All instructors are certified as Legal Files Software Inc. trainers and are required to meet continuing education requirements to maintain their certification.

17) Are there any user groups or listservs for your product? If so, please list.

No

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

Installation:	Onsite installation = $1,500 per day Phone support for installation = No charge
Data Conversion:	Per Bid = $100 per hour (50% discount)
Custom Reports:	Per Bid = $100 per hour (50% discount)
Custom Programming:	Per Bid = $100 per hour (50% discount)
User Manuals:	$10 per printed manual No charge for electronic copy

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

While it is Legal Files that provides the project plan and completes many of the necessary tasks, it is critical that the customer participate fully throughout the entire project. For that reason, Legal Files recommends a project team be established for the duration of the project to assist with providing the information and activities needed to successfully install the solution.

The project team will consist of a primary project manager from both Legal Files and the customer who will have joint responsibility for meeting deadlines and keeping the project on track within their respective organizations. The project team will also consist of additional personnel who will be instrumental in the implementation and ongoing operation of the Legal Files solution within the organization. A complete list of potential personnel involvement for the project team can be found in the next section.

Legal Files will also work with the customer to establish the control procedures necessary to ensure that people working on the project are aware of the correct procedures to be followed. This ensures consistency is maintained and the "flow" of the project is not interrupted by a lack of direction or control. The major areas of the project that require effective control are quality, change (scope & requirements), progress, and organizational impact.

Legal Files is confident that it can deliver the proposed solution and provide the necessary assistance to ensure a successful implementation at the customer's organization. Our experience and approach will provide a low-risk project with a relatively short implementation timeframe at a reasonable cost to the customer.

Your Legal Files project manager will work as your central point of contact for all issues surrounding the implementation project. A dedicated project team should also be established and meet regularly during the implementation to address the business process, administrative, and technical issues that will arise. Legal Files recommends, at a minimum, the following personnel for inclusion on the project team:

- A customer project manager – who is the primary city point of contact for all matters surrounding the implementation of the system. This individual should have the authority to approve work and accept deliverables.
- The Legal Files system administrator(s) from the organization – who will have eventual responsibility for administering the Legal Files application within the organization.
- A Department of Information Technology representative – who can ensure all customer policies and procedures are adhered to during all phases of the implementation and assist with establishing policies for items such as database backup and network security rights after the system is put into production
- A office/section representative – who is knowledgeable on the current operations of the office/section, and has authority to make decisions on how the system will be configured for the specific needs of the section

Note: It is common for one individual to be able to fulfill the responsibilities of two or more of the descriptions above, thereby reducing the number of personnel assigned to the project team.

The time requirements for each project team member will vary based on the roles and responsibilities assigned. It is important when establishing the project team that each team member is committed to the common goal of implementing the system. The proper project planning, combined with the open communication with all members of the project team will ensure a successful implementation of the Legal Files application.

Since Legal Files is so easy to customize, program staff can easily address nearly all post-implementation additions, amendments and standard maintenance. Legal Files' easy-to-use interface makes it easier to learn as office staff changes and its flexibility allows the program to grow and change as the office's requirements change. Legal Files was designed to allow non-technical users to administer and customize critical aspects of the application, including security, file menus, custom windows, document templates and office-defined look-up tables. Legal Files is customized from within the application itself; no technical or programming ability is required. Any non-technical person, with the proper security and training, can perform any Legal Files customization. Legal Files also ensures that all new releases are compatible with all of the customization and configuration that our customers have already performed so they never have to waste time and money reconfiguring their system after installing a new release.

20) What level of staff technology sophistication is desirable to use the CMS?

Legal Files' biggest asset is our user interface. Many Legal Files customers have stated that it was the main reason they purchased and implemented Legal Files. Legal Files has a unique way of organizing your information, called the ToolBar and ToolBox. This is where you are going to accomplish all your work for the day. The ToolBar, a set of horizontal icons, that relate to a user. The ToolBox, a set of vertical icons relate to the case that is open. Legal Files groupware items include calendars, to-dos, phone messages, e-mail, time entries, expenses and mail messages.

Users may create an item within a file, which is on the ToolBox, or users may create an item from the ToolBar and then reference the appropriate file if necessary. This eliminates unwanted steps and allows the user to have the groupware items displayed in multiple places with a single entry. The screen shot below illustrates the user interface and highlights the ToolBar and ToolBox.

Hardware and Software

Please describe the following:

21) Operating system(s) required for file server and workstation.

File Server: Microsoft Windows NT/2000/2003, Linux, Novell, UNIX, OS/390 and Sun.
Workstation: All Microsoft Windows desktop operating systems. (Windows 95 and above)

Using Legal Files thin-client implementation option, Legal Files operates in any web-browser capable operating system.

22) Additional server software and licensing required (please indicate cost).

Legal Files would require additional licensing for the operating system and the database selected. Legal Files offers our software with Sybase, MS SQL and Oracle databases. If Sybase Adaptive Server is selected for the database, Legal Files does supply the Sybase database licenses at no charge.

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

Recommended Database Server Specifications

Users	Processor(s)	Memory	Drive Space
200 Users	**Dual Pentium III –800 MHz or better**	**2 Gigabyte to 4 Gigabyte**	**40+ Gigabyte**

Estimated Cost = $5,000

Recommended Terminal Server Specifications – Windows 2000 Server

Users	Processor(s)	Memory	Drive Space
50 Users	**Dual Pentium III– 800 MHz or better**	**1 Gigabyte or better**	**18 Gigabyte**

Estimated Cost = $4,500

We do not recommend the use of "clone" processors

Servers should always be protected with properly sized UPS and shutdown software. Regular backups should be made.

Mission critical servers should consider RAID 1 or RAID 0+1. We do recommend the use of RAID 1 or RAID 0+1, but do not recommend software or operating system level RAID or Mirroring. RAID 5 is not recommended for database servers. For proper performance, RAID or Mirrors should always be done through a hardware device designed for that function.

24) Workstation Hardware: Minimum required and recommended; Cost estimate.

Minimum Workstation Specifications – Windows 95/98/NT/2000/XP

Processor(S)	Memory	Drive Space
Pentium II – 333MHz or better	**64 Megabytes (95/98/ME) 128 Megabytes (NT/2000/XP)**	**1+ Gigabytes**

Recommended Workstation Specifications – Windows 95/98/NT/2000/XP

Processor(S)	Memory	Drive Space
Pentium III – 500MHz or better	**64+ Megabytes (95/98/ME) 128+ Megabytes (NT/2000/XP)**	**1+ Gigabytes**

25) Multi-location requirements.

Multi location requirements would depend greatly on how Legal Files was deployed to those locations.

26) Any record or size limitations.

Legal Files can store an unlimited amount of information for an unlimited number of cases. Legal Files can also manage an unlimited number of documents and transactions including calendar item, to-dos, etc. The only limitation is that imposed by your system.

Customization

27) What elements of the CMS are customizable? Is customization required?

Legal Files was designed to allow non-technical users to administer and customize critical aspects of the application, including security, file menus, custom windows, document templates and office-defined look-up tables.

Legal Files can be easily customized from within the program itself. Legal Files has four segments of customization: custom menus, custom windows, custom prompts and custom-defined look-up tables. Legal Files supports an unlimited number of each of these. Following is a brief explanation of the capabilities of each:

Custom Menus:
Legal Files custom menus allow case or file structure to be customized based on the types of cases the department handles. A Legal Files menu will exist for each type of case. Legal Files contains many pre-made case/file management windows as well as offering a Custom Windows features, for creating windows that suit specific needs. Users can control the size, color, content and text of any menu, allowing the creation of a customized system of menu templates specific to the department. Both the pre-made and custom windows reside on Legal Files Custom File Menus. Through Legal Files unique Custom Case Menus, a user can, with the proper security, decide which windows and language are used for each type of case/file and hide those that aren't used. The result is a clean case menu that displays only the information the department requires.

Custom Windows:
Legal Files Custom Windows is a powerful tool that is simple to create and can be attached to any Name Card or file/case. The Legal Files' Custom Windows feature provides the ability to design windows that meet specific needs and the flexibility to change when office needs change. Data from Custom Windows can be used in ad hoc reports and merged into documents using document assembly features. Each template can have up to 300 fields. When a Note is included in a Custom Window Template, the template can have up to 290 fields. Legal Files treats Notes on a Custom Window just like every other note, Custom Window notes can be included in queries and tagged as priority items.

Custom Windows can contain default values so when the Custom Window is first created the value already exists for either a Name Card or file. Custom Windows also can contain required controls, displaying a prompt in the user's *smart color* prompting. The Custom Window validates that required fields have a value input.

When a Custom Window is attached to a Name Card, it is stored with all other Name Card data. A Name Card can also have a default custom window for every new Name Card added to the system.

Because Legal Files is flexible, Custom Window Templates can be attached to more than one file. When a template is attached to a file, it becomes a Custom Window. Though based on the same template, Custom Windows can have a unique name in each file.

Legal Files Custom Windows are attached to a file using the file menu structure. This allows the user to create menu items that will go directly to a particular Custom Window. There is no limit to how many custom windows may be on a file menu. Legal Files also gives the user the ability to create and label multiple Tabs on a Custom Window. When adding a Tab to a Custom Window Template, the user can select it as a control type. Tabs may contain between 1 and 10 controls and the user can determine which controls should appear on which Tab. Custom Window Control (Field) Types include Entry, Date, Money, Number, Pick List, Drop Down List, Check Box (Yes/No), URL, Decimal, Calculated, Note And Tab.

Custom Prompts:
Legal Files Custom Prompts allow the flexibility to change the field labels on existing Legal Files windows. Custom Prompts enable users to leverage the powerful pre-built screens within Legal Files, while still allowing the flexibility necessary for users to incorporate customized language.

Custom-Defined Look-Ups:
Legal Files Custom-Defined Look-Ups allow for the customization and control of a certain type of field called Pick Lists. Legal Files Pick Lists benefit end users in three ways: Providing the flexibility to incorporate customized language, providing ease of use to speed data input and providing the necessary structure to standardize data entry.

Customization is not required but recommended.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

The underlying code of Legal Files is proprietary and changes to the code would be completed by a Legal Files programmer.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

Legal Files is willing to provide custom programming to meet programs needs that the built-in customization tools won't provide. The cost for these services is on a fixed price based on an hourly bid.

General Features of the CMS

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe: Yes.

Legal Files contains several ways to track an individual's time on a case, matter or supporting activity. Legal Files will capture time manually or automatically. Tracking time automatically in Legal Files can be done through the automatic timer, which starts when a file/case is opened and prompts the end-user to generate a time slip when exiting the file. Another way to track time automatically is through the Activity Log, which automatically captures the file related items that were accomplished in a given day. Any of the items in the activity log can be converted into a Time Slip.

All time capturing information is reported on the Time Query Report. Legal Files allows the reporting of Time Tracked in many ways by using the Time Query Report. The Time Query Report will allow a user to generate a list of time slip entries across all files or for a particular file. The report has the ability to query all or a combination of the following fields within a date range: user, for, task, activity, status and type of file. You have the ability to generate

the report office wide or for a specific attorney, and for all files or a specific file. The user also has control on the output of the report with all or a combination of the following: file name, manager, file type, activity, task, transaction date, for and amount.

31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

Legal Files has a unique way of creating calendar and tickler/deadline items. You may create a calendar item within a file/case calendar, which is on the ToolBox, or you may create a calendar within a user's calendar on the ToolBar and then reference the appropriate file/case if necessary. This eliminates unwanted steps and allows the user to have the calendar items display in multiple places with a single entry.

Users may create an item within a file, which is on the ToolBox, or users may create an item from the ToolBar and then reference the appropriate file if necessary. This eliminates unwanted steps and allows the user to have the groupware items displayed in multiple places with a single entry. The screen shot below illustrates the user interface and highlights the ToolBar and ToolBox.

Users with proper security can create and view other users' calendar items. The screen above details Legal Files unique interface and the one below displays the calendar detail for a hearing.

There are seven different ways to view Legal Files Calendar. Each view provides key information at a glance for the day, week, or month.

Daily List: The Daily List view for the User (ToolBar) Calendar lists all calendar events for the specified user for the current date forward. The Daily List view accessed from the ToolBox lists all calendar events for the open file or Name Card for the current date forward.

Day-at-a-Glance: The Day-at-a-Glance view provides a graphical presentation of the day's appointments. Day-at-a-Glance also lists any to-do's that are open or outstanding.

Week-at-a-Glance: The Week-at-a-Glance view is a seven-day display that can be viewed Sunday through Saturday. If Rolling Weeks is checked, the day selected on the selection calendar is the first day of the seven days displayed in Week-at-a-Glance.

Month-at-a-Glance: The Month-at-a-Glance view displays the entire month in which the selected date falls and highlights the days on which calendar items are scheduled.

Group: The Group Calendar allows a user to see a graphical presentation of different user's appointments side by side. The screen below details the Group calendar view.

Master: The Master Calendar looks like the Daily List view, listing all calendar items for every user for the selected day.

Resource Calendar View: This view works like the Group Calendar view. All resources, such as conference rooms or video equipment, appear in a list where they can be selected. The view will display all calendars for the Resource for the selected day.

Other Key Calendar/Tickler Features:

Heads Up Display: Legal Files automatic notification system is called Heads Up. Legal Files will allow repeat notification of due dates or tasks through Heads Up.

Heads Up messaging will automatically notify users of ten different kinds of items on one screen (calendar, to do's, past to-do's, trackers, e-mail, Internet e-mail, phone messages, documents, notes and mail messages) so important information yet to be resolved is quickly brought to their attention. Additionally, Heads Up allows users to directly launch to the related file from any item displayed in Heads Up with a click of a button, integrating documents, phone calls, e-mails, deadlines, appointment, etc. with files. From Heads Up, users can also create a calendar item, create a to-do, send or receive e-mail, create a phone or mail log and preview notes. The following is an example of a Heads Up Display.

Task To-do Wizard: The Task To-Do Wizard automatically assigns tasks and due dates to users based on their role in a file. The Task To-Do Wizard uses a Task Wizard Template. The Template standardizes each step in a process into a task with an assigned role, ensuring that nothing will be forgotten. The Wizard assigns the tasks to the appropriate user in the file in one simple step.

Wizard Triggers: Wizard Triggers define conditions that trigger the sending of e-mail to both Legal Files users and to Internet recipients, notifying those recipients that a specific condition has been met, or it can trigger another action to occur. In addition to sending e-mail to recipients, the Wizard Trigger may be configured to launch the Task To-Do Wizard, with or without a default Task To-Do Wizard specified.

A Wizard Trigger is allowed to run unattended or in Wizard mode. When run unattended, the Wizard Trigger will perform the process silently (no user interaction required). When run as a Wizard, the user may interact with the Wizard Trigger, adding other recipients to the list for notification or additional tasks to complete.

Wizard Triggers can be launched:

- When a File is opened
- When a File is closed
- When a File Status Changes from…
- When a File Status Changes to…
- When a User is assigned to a File
- When a User is un-assigned from a File

The detailed screen of the Wizard Trigger is outlined below.

Group Calendar Wizard: Schedules a calendar event for multiple users at one time with the Group Calendar Wizard. A user may use a predefined group of users or select users individually on the wizard window.

Re-Schedule Calendar Wizard: Allows a user to reschedule multiple calendar items for a single user or file. A user can also re-assign a user's calendars to another user using this wizard.

Time and Resource Conflict Checker: The Conflict Checker will automatically check for a duplicate entry of a calendar event for an individual. The Resource Conflict Checker determines if there is a scheduling conflict with the selected Resource. If a conflict exists, a conflict icon will appear and display the conflicting event(s).

Recurring Calendar Wizard: The Recurring Calendar Wizard creates recurring Calendar items for one or more users. This wizard is located on the Wizard button from the ToolBar and from the Calendar Update window. The options for recurring include: Daily, Weekly, Monthly, Yearly and Custom.

Calendar Copy Feature: The Calendar Copy feature allows the user to make a copy of the current item. The item copied is assigned to the currently logged in user. This feature is useful for making a copy of a routed calendar item as well as making a copy of an existing Calendar item.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

If yes, describe: Yes.

Legal Files offers the ability to synchronize with PDAs. Legal Files synchronization works directly with the Palm operating system for contacts, calendars and to-do's.

33) Does the system have its own document assembly capacity?

If yes, describe: Yes.

Legal Files offers built-in document assembly, providing powerful tools to create, send, receive, locate and manage all documents relating to a file, case or Name Card. Fully integrated with Microsoft Word and Corel WordPerfect, users can create and edit documents in their word processor without ever having to leave Legal Files.

With Legal Files Document Assembly, users can create a single template for any type of document, and then, from within a file or Name Card, automatically create new documents based on that template using data from the file or Name Card.

Document Assembly has thousands of data fields (tokens) available to create master templates. Custom window data can also be merged into a document. Users can create their own tokens that prompt for data insertion when a document is generated.

Other Advantages of Legal Files Document Assembly:

- Group Token Management
- Token Management
- Template Properties
- Spell Checker

In the latest release of Legal Files Software, version 5.0, offers integration with the external document assembly program Hot Docs.

34) Does the system have a contact management function?

If yes, describe: Yes.

Name Cards provides users an office-wide or department-wide Rolodex, which becomes the foundation of your Legal Files database. Name Cards store basic information on every person and company associated with your office, from clients, attorneys, witnesses, and any other file related people. Type a name, address and phone number once and never have to type it again. With the integration of document assembly, users can automatically merge names and addresses into documents. Below is an example of the Name Card Selection Window.

Part of the contact management features is an exhaustive conflicts and involvements system. The system automatically logs the information when a contact is attached to a file and assigned a role and purpose. The Conflict System contains extensive reporting on contacts and the roles they are performing in the files.

The conflicts and involvements system is an integral component of Legal Files. As Name Cards are linked to related files/matters, an involvement "flag" is automatically created. Subsequently, when a Name Card is viewed from the department-wide Rolodex, any and all files to which that Name Card has been linked can also be viewed. Legal Files allows users to define a role and purpose for each person attached to a file. This information automatically activates the conflicts and involvements system. Legal Files has extensive conflict and involvement reporting that can be viewed on screen or in a report format. This report allows queries against single or multiple contacts within the database enabling viewing of file relationships and all relevant data. Below is the Name Card update window.

Other Features of Name Cards:

- Mailing Lists
- Conflicts & Involvements
- Relationships
- Multiple Addresses/International Addresses (No limit)
- Multiple Phone Numbers/Foreign Phone Numbers (No limit)
- Private Name Cards
- Internet addresses and e-mail addresses

- Index of City, State, and ZIP codes
- Categories: classify staff members into groups and then query that data. Examples include opposing counsel, experts and pro bono attorneys
- Custom Windows (Multiple windows)
- Notes
- Photo Attachment
- Calendar and To-do's
- Phone Messages
- Document Assembly

Legal Files allows each user to maintain a private Name Cards list, which is controlled by the user's login. Private Name Cards also have security features attached to them that allow users to add their private name cards to another user's list.

35) Does the system have a document management function?

If yes, describe: Yes.

Legal Files contains a complete and fully functional document management system. With Legal Files Document Management, users have at their fingertips every document anyone has created or copied into Legal Files. Any type of document (including Excel spreadsheets, Adobe PDF's photographs, etc.) can be indexed into the Legal Files Document Management System. Legal Files offers multiple ways to access documents. The Document Selection Window is shown below.

Copy External Document Wizard
Legal Files Document Management System also offers a Copy External Document Wizard which provides the ability to copy a single or multiple documents from a user's computer or desktop (external from Legal Files), import them into Legal Files and attach them to the appropriate case or matter. The Copy External Document Wizard uses Microsoft Windows and Explorer to help users find and attach documents using "drag and drop" functionality.

Document Check-in/Check-out
The Legal Files Document Management System contains a check-in and check-out feature that allows users to "check-out" documents from the document management system. The feature is controlled by security and allows an administrative setting that brings the document back into the document management system as a version or overwrite.

Document Versioning
The Legal Files Document Management System contains a feature called Document Versioning that allows the end-user to track multiple versions of the same document, maintaining the history of the current version. The Document Selection Window and Update Window automatically capture the version of the document being used.

Document Security
Legal Files document security has two levels. The first level of document security is at the file/case level. If a user does not have access to a case, then the user does not have access to the documents. Once a user has access to a file/case, then the second level of security occurs: access, read only or no access.

Document Auditing
Legal Files document management system contains an extensive document security and audit trail. The audit trail tracks activity on the check-in, check-out, creation, modification and viewing of the document. The deletion of a document is controlled by the Legal Files security system.

Document Indexing
Legal Files indexes documents for easy storage and retrieval. Legal Files contains a complete and fully functional document management program. Every document anyone has created or copied into Legal Files can be retrieved quickly and easily. Legal Files offers multiple ways to access documents.

Fully integrated with Microsoft Word or WordPerfect, documents are assembled and managed in your word processor within Legal Files. The Document Update Window in Legal Files is displayed below.

Document Searching
Once documents are within Legal Files Document Management System, Document Text Searching can be conducted, allowing users to query the text of documents using a Boolean type search. Document Profile Searching can also be conducted, allowing users to search documents by name, author, number, type, classification, or created by.

Pleadings Index Report
The Pleadings Index Report builds automatically as documents are created and logged into the system. The report orders the documents, classified as a Discovery or Pleading entry, by the date filed. Legal Files then assigns an index number to each item. You can filter the items by date filed, index numbers, specific volume number or category. The output of the report is user definable. Optional heading values, as well as optional detail column values can be selected and ordered. Since the report output is in HTML format it can be saved as a file document.

Other Advantages of Legal Files Document Management:

- Documents Sent/Read-Only Lock: When a document has a sent date, the document will be marked as “read only” and locked from further editing.
- Document Numbering: Document Numbering is the capability to associate a document number with a document during document creation. The document number uniquely identifies the document in the system.
- Blank Document Wizard: The Blank Document Wizard enables users to automatically open their word processor to a new, blank document and attach that document to a file or Name Card.

- Copy Internal Document Wizard: The Copy Internal Document Wizard allows documents to be copied from file to file within Legal Files.
- Document Routing: Legal Files Document Management System includes a feature called Document Routing, which allows users to electronically route documents to a single user or to multiple users at the same time with a note attached.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe: Yes.

Legal Files allows for the creation of custom reports, customized searches and case summaries through any third-party report writer that is ODBC compliant. Legal Files also contains a feature called Add Ons, which allows Legal Files to integrate with Crystal Reports and other third-party report tools. Add Ons provides the ability to create a custom-built report in Crystal using the Legal Files Data Dictionary. The report will then be attached to the Add Ons feature. Add Ons maintains the structure of the Legal Files security system and allows users to generate custom-built reports from within Legal Files.

Legal Files also contains more than 90 standard reports that are integrated into the system. These reports allow the end user to query data in numerous ways. Legal Files also contains the Custom Window Query Report, which allows a user to generate a report from custom windows, which contain data fields that the program staff has created. The report will allow single or multiple fields to be queried at the same time. Results can be viewed from within Legal Files or data can be exported to an Excel spreadsheet for further sorting and manipulating. The report can be generated department wide or for an individual user.

Training on system-integrated reports will be held during administrative training and implementation assistance. Training on ad-hoc reports has two phases. The first phase is to learn the report tool and the second is to understand the database structure. Legal Files provides a data dictionary for third-party report writers and an optional technical training class.

37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe: Yes.

Legal Files includes a number of LSC reports and a number of general pre-formatted reports. Reports are separated into several categories including: File, Name Card, Contact, User, Hot Print and Administrative. Users may view a report on their monitor or send it directly to their printer. Some reports are generated as word processing or HTML documents, providing even greater flexibility within and outside of Legal Files. Some can also be exported in ASCII format for easy importing into other programs.

File Reports:
Calendar Custom Report
Calendar Report
Calendar/To-Do Report
Client Communication Aging Report
Closed File Collections Report
Custom Window Query Report
Daily Calendar/To-do Report
Expense Query Report
Expense Report
File Expense Report
Time Query Report
File Checklist Detail Report
File Checklist Query Report
File Query Report
Litigation Location Report
Mail Log Report
Medical Bills Index Report
Medical Records Index Report
Pending Negotiations Report
Pending Settlements Report
Resolution Schedule Report
Statute of Limitations Report
To-Do Report
Tracker Query Report
Trust Check Register Report
User Assignment Report

Name Card Reports:
Name Card List Report
Name Card Query Report
Name Card To-Do Date Report

Contact Reports:
Contact and Marketing Query Report
Contact Appointment Summary Report
Contact Detail Status Report
Contact Pending Issues Summary Report
Contact Pending Rejection Letters Report
Contact Summary Report
Contact Unresolved Interviews Report
Contacts and Appointments Summary Report
Contacts Unresolved Report
Marketing Source Summary Report

User Reports:
User Calendar Daily View Report
User Calendar Report
User Calendar Weekly View Report
User To-Do Date Report

Administrative Reports:
Administrative Matter Value Report
Administrative Assignment Summary Report
Administrative Category Revenue Summary Report
Administrative Fees Received Report
Administrative Negotiation Analysis Report

Tool Bar Hot Print Reports:
Name Card Hot Print Report
Name Card Index Report
E-mail Hot Print Report
Expense Index Hot Print Report
Expense Update Hot Print Report
Mail Log Hot Print Report
Mail Message Hot Print Report
Phone Log Hot Print Report
Phone Message Hot Print Report
Time Index Hot Print Report
Time Slip Update Hot Print Report
To-Do Log Hot Print Report
To-Do Detail Hot Print Report
Calendar Detail Hot Print Report
Calendar Daily Hot Print Report
Day at a Glance Hot Print Report
Week at a Glance Hot Print Report
Month at a Glance Hot Print Report

File Hot Print Reports:
File Notes Hot Print Report
File Calendar Hot Print Report
File Captions Hot Print Report
File Checklist Hot Print Report
File Check Register Report
File Contacts Index Hot Print Report
File Custom Window Hot Print Report
File Document Hot Print Report
File E-mail Hot Print Report
File Expense Summary Hot Print Report
File Expense Detail Hot Print Report
File Facts Hot Print Report

File Filing Information Index Hot Print Report
File Time Summary Hot Print Report
File Time Detail Hot Print Report
File Related People Hot Print Report
File Mail Log Hot Print Report
File Phone Log Hot Print Report
File Pleading Index Report
File Settlement Sheet
File Summary Report
File To-Do Hot Print Report
File Tracker Hot Print Report
File Transaction Hot Print Report
File Web Windows Hot Print Report

General Usage Attributes

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe: Yes.

Legal Files gives the users the ability to log all incoming and outgoing mail. By using the Legal Files Document Management System, outgoing mail is posted automatically from the document profile card to the mail log, eliminating duplicate entry. The mail is posted in the mail log index, which can be searched and sorted from within the index or through the Mail Log Report (multiple files), the Mail Log Hot Print Report (single file), or any ad hoc report. Below is a screen print of the Mail Log Index:

With each mail log entry, Legal Files provides the ability to send and receive mail messages to a user and/or a file. Legal Files mail messaging allows a user to read the message, link it to the related file or Name Card or mark the importance of the message. With the Legal Files Mail Log, users can attach a file (such as a scanned document), to a message and then view it from the mail message. The mail messages reside in the mail log and a user can be automatically notified through Heads Up of any mail messages. Below is a screen print of the detail of the Mail Log Update Window:

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

If yes, describe: Yes.

A complete audit trail is built into the application. Legal Files keeps a complete audit trail on every user for each add, update, delete, and view. Matter status auditing also exists for management reporting.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe: Yes.

Report Writers:
Legal Files allows for the creation of custom reports, customized searches and case summaries through any third-party report writer that is ODBC compliant. Legal Files also contains a feature called Add Ons, which allows Legal Files to integrate with Crystal Reports and other third-party report tools. Add Ons provides the ability to create a custom-built report in Crystal using the Legal Files Data Dictionary. The report will then be attached to the Add Ons feature. Add Ons maintains the structure of the Legal Files security system and allows users to generate custom-built reports from within Legal Files.

Word Processing:
Since Legal Files is completely integrated with Microsoft Word and Corel WordPerfect, you can create and edit documents in your word processor without ever having to leave Legal Files.

Email:
Legal Files has full e-mail integration with Microsoft Outlook, Outlook Express or any MAPI compliant email system. The integration does not require a user to license Microsoft Exchange Server components although it is fully supported in this environment.

Legal Files integrates with an individual user's e-mail system. If a user chooses, all unread messages sitting in his or her own Inbox can be displayed in the Legal Files universal Inbox called Heads Up! Users can open, read, forward, and reply to any Internet e-mail from within Legal Files. If a particular e-mail is determined to be case related, it can be easily and permanently attached to a case stored in Legal Files to become part of case diary/history. Since Legal Files automatically creates a copy of the email message (with attachments) and stores it in the Legal Files database, the message can be deleted from the users Inbox and it will still be available in Legal Files for future reference.

Legal Files can also be used to send e-mail to other Internet e-mail recipients. While working in a case, a new e-mail message can be sent and a copy is automatically stored within the case that the user was working. If the e-mail did not pertain to a particular case, the message can still be composed and sent from within Legal Files and the e-mail will be stored in Legal Files at the user level with no case reference associated with it. Internet e-mail sent from within Legal Files is sent through the users email client and a copy of the e-mail will appear in the user's Sent Items in the email package once it has been sent.

In addition, Legal Files has developed a Com Add-in for Microsoft Outlook that provides a tool to quickly and easily link e-mail from any Outlook folder to a Legal Files Case. The Com Add-in places a "Save to Legal Files" button on a user's Outlook Toolbar. Clicking on the "Save to Legal Files" button opens a file selection window where the user simply selects the case where the e-mail should be copied and Legal Files automatically copies the message

(with attachments) to the appropriate file. The Legal Files client does not need to be running to use the Com Add-in in Outlook.

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

If yes, describe: Yes.

Legal Files recommends that remote access be accomplished through the web portal called *MyLegalFiles*. With the portal, the user has a limited view of (files assigned to that specific user) files and the portal requires little end user training. The screen shot below details the interface to the web portal.

If complete functionality is desired at a remote location, then Legal Files can be accessed with the Legal Files web-enabled product or by publishing the application on Citrix/Terminal Services software

42) Does the system enable users to access multiple records at one time?

If yes, describe: Yes.

Legal Files allows the access of multiple records at one time. In the case of multiple files/cases, Legal Files allows access up to three cases at one time. To eliminate confusion the Legal Files interface maximizes one case and automatically minimizing the other two.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe: Yes.

Central Rolodex (Name Cards)

Legal Files provides the ability to assign multiple roles to persons and entities involved in cases and the ability to allow one individual to have different roles in different cases. Legal Files also offers you the option of creating your own roles.

In Legal Files, Name Cards store basic information on every person and company associated with your office. They are the foundation of your Legal Files database and serve as the central contacts file for your office. Every client, party, attorney, witness, judge, and other entity are entered in a Name Card where they can then be used (referenced) in any of the Legal Files features. Type a name, address and phone number once and you will never have to type it again, eliminating duplicate entry of identifying information. You can make changes or additions to a Name Card at any time. When the Name Card is saved, the changes are automatically updated throughout Legal Files—regardless of where that information is used (referenced).

Using a feature called File Related People, users can link people from their Name Cards in the master contacts database to one or multiple files/cases and allows them to define the role each entity or individual is playing in the file. File Related People are people or companies who have or have had anything to do with the case or matter. Assigned users and file managers are also file related people.

Roles are extremely important for file related people. You can filter reports and lists by role. You can also automatically assign tasks to users based on their role using the Task To-Do Wizard. The Task To-Do Wizard automatically assigns tasks and due dates to users based on their role in a file. The Task To-Do Wizard uses a Task Wizard Template. The Template standardizes each step in a process into a task with an assigned role, ensuring that nothing will be forgotten. The Wizard assigns the tasks to the appropriate user in the file in one simple step.

The Name Card's Conflicts and Involvements tab shows all the files in which that person or company is a file related person. Part of the contact management features is an exhaustive conflicts and involvements system. The system automatically logs the information when a contact is attached to a matter and assigned a role and purpose. The Conflict and Involvement System contains extensive reporting on contacts and the roles they are performing in the files.

Copy Eligibility Wizard:
Legal Files provides the ability to permit new applications for existing clients through the use of the Copy Eligibility Wizard. The Copy Eligibility Wizard does an exhaustive copy of eligibility, client and basic file information eliminating the need to re-key information.

44) Is there a limit on the number of modules that can be run simultaneously?

If yes, describe: No.

Legal Files is not a modular product.

45) Is there a limit on the number of simultaneous users?

If yes, describe: No.

There is no limit to the number of simultaneous users. Legal Files' largest customer has 1,765 users on a single database. The only limitation would be that imposed by your system.

46) Does the system allow programs to control user access?

If yes, describe: Yes.

Legal Files data is secure. Access throughout Legal Files is controlled administratively with security rights. Security is attached to all files/cases, screens, look-ups and reports.

Administrators can assign rights to groups of users, and expand or reduce an individual's access by overriding the group specifications. Security changes take effect immediately.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe: Yes.

Legal Files allows users to code cases with multiples of the variables that are listed and more.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe: Yes.

Legal Files supports standard windows commands for preventing mistakes during the entry process.

Management and Support of Cases/Matters/Activities

49) Does the system determine eligibility based on different variables, including:
a) Income
b) Age
c) Geographic location
d) Citizenship status

If yes for any, describe: Yes.

Legal Files provides the ability to track and manage income, age, location and citizenship for an unlimited amount of prospective client intake through the use of our two-tiered eligibility wizard with the ability to track outcomes to gauge the legal services organization results. The eligibility wizard captures the potential client's problem, household information, income, factors, assets, demographics, benefits and funding information. The eligibility wizard also provides the poverty percentage indication on the potential client and, if necessary, opens the client file. Below are a few screen prints of the Eligibility Wizard:

50) Does the system flag exceptions for eligibility that require further consideration?

If yes, describe: Yes.

Legal Files offers the ability to flag exceptions for further consideration through the use of the factors list. The factors list in Legal Files is completely customizable by each legal services organization and can contain an unlimited amount of exceptions to include for further consideration.

By using the Legal Files Routing System, Legal Files also allows saved applications to be submitted to an individual or group for further review of the exceptions.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe: Yes.

Legal Files provides eligibility rules through the financial eligibility calculation methods. The calculation methods allow an administrative user to create templates of multiple methods, which the end-user/intake person selects at the point of screening the potential client. The various methods can be set up to accommodate eligibility requirements of organizations, grants, projects, etc.

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe: Yes.

Legal Files does have the ability to track the status of an application or case through the use of the disposition list and case status. Both the disposition list and case statuses in Legal Files are completely customizable by each legal services organization and can contain an unlimited amount of items to include.

Legal Files contains a very powerful feature called File Assignments to track the advocate assigned to a case or application. File Assignments consists of a two-step process of assigning users to a file. The first step is the assignment of users. Legal Files allows an unlimited number of assigned users with each user having defined role. The second step is the assignment of File Managers. Legal Files allows a file to contain up to three managers and the definition of each manager is controlled administratively.

Legal Files offers a tool to more effectively utilize File Assignments. It is called Team Management. Through the use of teams, Legal Files can automatically assign one or more people to a case and set up all three File Managers. Teams are similar to groups functionality, but offers more flexibility and scope. Teams may automatically create file assignments using the File Opening Wizard. Legal Files has the uncommon ability to track users as well as cases.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe: Yes.

Part of the contact management features is an exhaustive conflicts and involvements system. The system automatically logs the information when a contact is attached to a file and assigned a role and purpose. The Conflict System contains extensive reporting on contacts

and the roles they are performing in the files. The conflicts and involvements system is an integral component of Legal Files. As Name Cards are linked to related files/matters, an involvement "flag" is automatically created.

Subsequently, when a Name Card is viewed from the office-wide Rolodex or from the Conflict Check Wizard any and all files to which that Name Card has been linked can also be viewed. Legal Files allows users to define a role and purpose for each person attached to a file. This information automatically activates the conflicts and involvements system. Legal Files' extensive Conflict Check Wizard can be viewed on screen or in a report format. This report allows queries against single or multiple contacts within the database, enabling viewing of file relationships and all relevant data. Below is screen print of the Name Card Update window showing the file relationships:

Below are screen prints of the Conflict Check Wizard showing a search of multiple people and then listing all the files they are associated with.

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe: Yes.

Legal Files has the capability to create custom defined questions based on the type of case through the use of the Legal Files Custom Windows.

Legal Files Custom Windows are powerful tools that are simple to create and can be attached to any case or matter. The Legal Files' Custom Windows feature provides the ability to design windows that meet specific needs and the flexibility to change when the legal services organization's needs change. Data from Custom Windows can be used in ad hoc reports and merged into documents using document assembly features. Each template can have up to 300 fields. When a Note is included in a Custom Window Template, the template can have up to 290 fields. Legal Files treats Notes on a Custom Window just like every other note. Custom Window notes can be included in queries and tagged as priority items.

Custom Windows can contain default values so when the Custom Window is first created, the value already exists for the case or matter. Custom Windows also can contain required controls, displaying a prompt in the user's smart color prompting. The Custom Window validates that required fields have a value input.

When a Custom Window is attached to a case or matter, it is stored with all other case or matter data. A case or matter can also have a default custom window for every new case or matter added to the system.

Because Legal Files is flexible, Custom Window Templates can be attached to more than one case or matter. When a template is attached to a case or matter, it becomes a Custom

Window. Though based on the same template, Custom Windows can have a unique name in each case or matter.

There is no limit to how many custom windows may be attached to a case or matter. Legal Files also gives the user the ability to create and label multiple Tabs on a custom window. When adding a Tab to a Custom Window Template, the user can select it as a control type. Tabs may contain between 1 and 10 controls and the user can determine which controls should appear on which Tab. Custom Window Control (Field) Types include Entry, Date, Money, Number, Pick List, Drop Down List, Check Box (Yes/No), URL, Decimal, Calculated, Note And Tab.

Below is an example screen print of a custom window in the form of a questionnaire attached to a case. Legal Files was designed to allow non-technical users to administer and customize critical aspects of the application, including custom windows, which gives your administrative staff a powerful tool that does not rely upon precious IT resources.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe: Yes.

Legal Files does have the ability to develop custom checklists for various types of cases, matters, or activities.
Legal Files Checklists are one way to monitor a case in Legal Files. The checklists, completely customizable and created in template form, are assigned to a case. Two File and Matter reports key off checklist data. The File Checklist Detail Report lists checklists, their items and status for files that match the selection criteria. The File Checklist Query Report queries checklist items for the specified checklist. You can filter the report by various file and user criteria, as well as range and option criteria for the checklist items.

Checklists are completely customizable and consist of either a date field or status field. As a case progresses, you mark each checklist item as completed by changing the answer status or supplying the date the item was completed. Below is an example of a customized checklist for a litigation file.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

If yes, describe: Yes.

Legal Files offers built-in document assembly, providing powerful tools to create, send, receive, locate and manage all pleadings and other documents relating to a file or Name Card. Fully integrated with Microsoft Word and Corel WordPerfect, Legal Files allows users to create and edit documents in their word processor without ever having to leave Legal Files.

With Legal Files Document Assembly, users can create a single template for any type of document, and then, from within a file or Name Card, automatically create new documents based on that template using data from the file or Name Card.

Document Assembly has thousands of data fields (tokens) available to create master templates. Custom window data can also be merged into a document. Users can create their own tokens that prompt for data insertion when a document is generated.

Other Advantages of Legal Files Document Assembly:

- Group Token Management
- Token Management
- Template Properties
- Spell Checker

Below is a screen print of a template using the Microsoft template editor:

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe: Yes.

Legal Files recommends that volunteers and pro bono attorneys use the web portal called *MyLegalFiles*. With the portal, the user has a limited view of the files (just those they are assigned) and the portal requires little end-user training. The portal can be accessed from any computer using an operating system that uses a web-browser. The screen shot below details the interface to the web portal.

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe: No.

However, any existing document that a legal services organization relies upon for handling cases or matters for SSI, TANF, etc., can be copied into the Legal Files Document Assembly engine as a document template and then reused from that point forward.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

If yes, describe: Yes.

Legal Files would contain the documents as a document template or the report as a built-in report, but would only issue the notification of the designated event automatically to inform the user to generate the document or report which would be generated from the built-in document assembly engine or reports engine.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

If yes, describe: Yes.

Specialized Screens
In addition to the core functions and customization features described in this document, Legal Files also provides several legal specific data screens, which have been developed and refined over the last 15 years.

1. General Screens
- Transaction Summary of all file activities and communications
- Employment History for any involved parties
- Statements from any involved parties
- Incident Details
- Statute of Limitations and Filing Deadlines
- Insurance/Coverage Information
- Damages/Specials/Records
- Images/Attachments

2. Litigation Screens
- Filing/Court Information
- Depositions, Hearings and Trials
- Transcripts
- Evidence/Exhibits
- Pleadings Index for all sent/received court documents
- Expert Reports
- Appeals

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe: Yes.

File/Case Distributor
The Legal Files File/Case Distributor is a feature that is ideal for large or statewide hotlines that are capturing intake information for multiple offices or organizations. The File/Case Distributor will capture the necessary intake information and then distribute the case within the same database or to an external database, eliminating the need to re-key information.

Legal Files allows users with the proper administrative rights to transfer files from one Legal Files database to another (e.g., from legal services organization A to legal services organization B) or, if using Enterprise (as defined in question 69), from one Enterprise site to another (e.g., from Office A to Office B).

In transferring files, Legal Files first distributes the data you selected to transfer, then distributes the data before importing it to another site or database. Once the data is distributed and before it is imported, the file data is unlinked from the originating site. All file-related data (including groupware and documents) are transferred.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe: Yes.

Legal Files offers pro bono programs tools by using built in features like Custom Windows. Custom Windows are powerful tools that are simple to create and can be attached to any Name Card. The Legal Files' Custom Windows feature provides the ability to design windows that meet specific needs and the flexibility to change when needs change.

Below is an example of a pro bono screen print of a custom window attached to a pro bono attorney's name card. Legal Files was designed to allow non-technical users to administer and customize critical aspects of the application, including custom windows, which gives your administrative staff a powerful tool that does not rely upon precious IT resources.

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe: Yes.

Legal Files contains another administrative tool that will be used for the reassignment of cases is the User Assignment Wizard. The wizard allows a manager to reassign all or a portion of one user's files, calendar items, and to-do items to another user with just a click of the mouse. This feature is beneficial when your department has staff reassignments or turnover in employees. The User Assignment wizard is displayed in the screen below.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe: Yes.

Team Management
Legal Files offers a tool to more effectively utilize File Assignments. It is called Team Management. Through the use of teams, Legal Files can automatically assign one or more people to a case and set up all three File Managers. Teams are similar to groups functionality, but offers more flexibility and scope. Teams may automatically create file assignments using the File Opening Wizard or through the File Setup window.

File Summary
The File Summary will provide users quick access to vital information with a click of a mouse. Every type of case has a user-defined Summary button that instantly accesses the information needed most, regardless of where it resides in the file.

Tracker
The Legal Files Tracker allows a manager the ability to track tasks/items that have been delegated to other people. Tracker is a management tool that is controlled by security and private to allow a manager to follow up on the conclusion of a task/item.

Report Management
The Report Management features in Legal Files allow the creation of customized menus of reports that are controlled administratively. The menus can be made up of a combination of custom reports and built-in reports and the menus are controlled by security what reports each user is allowed to access.

Web Windows
Another feature of Legal Files is Web Windows, which are predefined web sites that can be accessed directly from within Legal Files using either our Internal Web Browser or the default Windows Web Browser. Web Windows provides the option to use either an Internal or External web browser. This is important for organizations that operate on an Extranet or Intranet network topology.

When using the Internal browser option, all page navigation is handled directly on the web page; navigational controls (like you might have on an external web browser) are not available. This provides a means to control the user's session and choices to those specified on the web page being displayed. When using the default Windows Web Browser, all normal functionality exists.

There are four types of Web Windows:

Firm Wide	Shared Globally with all Users
File Wide	Shared Globally with all Files
File Owned	Owned by a File
User Owned	Owned by a User

File Delete
The File Delete procedure will permanently delete the file and all related data, groupware (i.e. Calendars, To-Do's, etc), documents and images that have been associated with the file. Once deleted, the file and the associated data cannot be recovered. Legal Files File Delete procedure can be password protected.

The Administrative File Delete dialog defaults to display closed files, but will also allow the deletion of any type of file. Legal Files recommends the initiation of a policy wherein only closed files are deleted, but the flexibility is built in to the process to accommodate your needs. Files currently in use (i.e. another user is working in the file at that moment) cannot be deleted.

Office Management/Administration/Resource Development

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe: Yes.

Legal Files currently tracks all time on a particular case/matter/activity, and all time can be cross referenced to a particular grant or funding source.

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe: Yes.

Legal Files offers a tool to more effectively designate File Assignments based on rules by using Team Management. Through the use of teams, Legal Files can automatically assign one or more people to a case and set up to three File Managers. Teams are similar to group functionality, but offer more flexibility and scope. Teams have the ability to designate any number of funds or other program identifiers through the team category function.

67) Does the system maintain project/grant information?

If yes, describe: Yes.

Legal Files includes a concept called "Office Files" which gives administrators the ability to create a "project/grant file" storing the necessary data elements, similar to the use of file folders in a cabinet. Office Files allow an organization the ability to manage office related activities within the same application as client data, and with all of Legal Files' enhancements such as phone logs, notes, documents, e-mail, reminders and custom windows "attached" to the project/grant file.

68) Does the system enable user to maintain donor information?

If yes, describe: Yes.

Legal Files allows administrative staff the ability to capture donor information by using built in features like Custom Windows. Custom Windows are powerful tools that are simple to create and can be attached to any Name Card. The Legal Files' Custom Windows feature provides the ability to design windows that meet specific needs and the flexibility to change when needs change.

Below is an example of a donor screen print of a custom window attached to a donor's name card. Legal Files was designed to allow non-technical users to administer and customize critical aspects of the application, including custom windows, which gives your administrative staff a powerful tool that does not rely upon precious IT resources.

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe: Yes.

Enterprise System
One of the biggest advantages of Legal Files is the capability to customize and configure for each office via the Enterprise System. Legal Files designed its unique Enterprise System solution to meet the needs of organizations with multiple offices or practice groups and/or multiple departments or divisions. Under the Enterprise System, an organization has a single database containing several distinct, separate and secure "views" of the data. Each view can represent a different practice group or office. There are many advantages to using the Enterprise System. Certain program configurations can be shared among all views or sites for consistency, while at the same time allowing for local or site-specific settings. Likewise, each site only accesses its own data, eliminating potential conflicts and reducing the clutter of unwanted information. If needed, designated users, such as management or supervisory staff, can be given access to more than one site. Legal Files provides a means for reporting across sites or the entire enterprise, offering prompt, cumulative data that can be used to more accurately and consistently track workload activity across practice groups or offices. With the Enterprise System, each office learns, uses and supports just one program sharing whatever information is necessary with other offices and maintaining the autonomy and functionality of each. Enterprise provides the flexibility to share resources with minimal effort and still function as an independent entity.

70) Please provide any additional information about your CMS that you would like us to have.

Legal Files Software Inc. is honored to provide the legal services community with an integrated suite of software inclusive of practice management, intake management and document management. Because of its great flexibility, Legal Files can easily manage all cases and documents relating to legal services, legal advice and administration. Since its introduction, Legal Files has evolved into the most comprehensive application available anywhere that is specifically tailored to meet the ever-changing needs of legal services and legal aid organizations.

Thanks to input from national experts, Legal Files is ideally suited to meet legal services organization's diverse needs. Legal Files includes the following features in a single, unified program:

- Practice/case management features—Legal Files provides the advocate with a tool that offers one central location for all information related to each case, an office-wide directory for client/party information, a conflicts checker, file manager, custom menus and custom screens, file notes (including alerts), checklists, response tracking, an activity summary, time and budgeting, automated task scheduling, assignment delegation, legal dates and deadlines calculator, court docketing, and file and management reports.

- Intake management features—Legal Files provides the intake person an efficient way to manage the intake process. Tracking this process, the number of applicants and the results are essential for successful management of the services being offered. Our eligibility module provides a solution for this process in a generic and re-usable manner.

Information is created and retained for each initial inquiry, helping you maintain statistical information.

- Document management and assembly—Legal Files provides advocates and staff the ability to assemble and manage all your documents. Legal Files eliminates the need for you to retype the same documents. Create a template once, and then use it again and again in different files. Or automatically generate a new document merging the template and any data fields you choose. Conveniently stored and catalogued in the file they reference, documents are easy to retrieve. Search for documents using a document name, document number or document type. Legal Files also offers full document text searching. With our document management features, you have—at your fingertips—every document anyone has ever created in or copied into your Legal Files software.

- Integrated groupware—Legal Files offers comprehensive and integrated groupware including calendars (office-wide, group, individual and case), group scheduler, e-mail integration (synchronization with Outlook and MAPI e-mail integration), telephone messaging, mail tracking and message notification, to-do's, reminders and alerts with automatic notification and file security.

- A world-class product with local support and training—Legal Files Software Inc. backs its solution with superior customer service. Legal Files Software Inc. offers an annual maintenance and support agreement to ensure that users receive regular software upgrades and unlimited Legal Files software support. To fulfill requests from our customers and provide the latest in technological advances, Legal Files is constantly adding functionality to the program. All requests for enhancements, whether originating from a customer or internally within the company, are routed to the product manager where they are prioritized based on the potential benefit to the largest number of customers. Once prioritized, the requests are taken to the development staff where a development plan and schedule is established, beginning with the highest priority items. Once a year, a new release is developed and distributed to customers who are participating in the annual maintenance and support agreement. Updated documentation and online Help are available with every release.

  Legal Files Software Inc. has experience successfully implementing fully integrated solutions for legal services and other legal related organizations in the United States, United Kingdom, Australia and Canada. Developed with input from national experts in the United States, the unique features in Legal Files were created specifically for legal services and legal aid programs. No other program available in today's marketplace can fulfill a legal services organization's requirements like Legal Files can.

  Working with Legal Files Software Inc. will help ensure that our customers accomplish their current, as well as future, goals. Legal Files Software Inc. builds lasting relationships with our customers. We've found that when we commit ourselves to our customers, our customers commit themselves to us. With a history rooted in the values of hard work and ingenuity, we offer the highest level of professional services to our customers. But we never to lose sight of the people we serve. At Legal Files you are

never a number or just a client, but a partner. This personal approach has proved successful—for Legal Files and our customers—for more than a decade.

Finally, the unique features in Legal Files make it a comprehensive tool that helps you serve more clients, more efficiently—without additional staff or hours. Other legal services organizations have successfully used Legal Files to achieve this very same goal.

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Innovation Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

This survey for developers is the first step in the review.[1] We would appreciate if you would answer these questions about your system and return the completed survey to us by August 25, 2003. Simply type the answers into this survey and send them via email to Cotter and Gordon. Our next step will be to view demonstrations of each CMS. Finally, we will interview CMS users at various legal services programs to learn how well the various systems are meeting their needs.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

[1] Many of these questions were developed by Kathy Daniels, Statewide Legal Services of Connecticut and Michael Alexander of Southeastern Massachusetts Legal Assistance Corporation.

❖ **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

PS Technologies, Inc.
1333 N. Milwaukee Ave
2nd Floor
Chicago, Illinois 60622
(773) 459-5582
www.psti.net

2) What is the name of the case management system, what versions are available, and what was their release date?

The name of our CMS is Legal Server. The platform and modules for Legal Server have been developed over the last 5 years. Legal Server provides a stable, secure and highly scalable platform, customized to meet the exact needs of any legal and social service agency.

Legal Server is web-based and uses a web-browser to access the database. Thus, no additional "client" software is necessary. Any upgrades or modifications are simply made to the server.

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

IV Ashton	or	Andy Plax
(773) 459-5582		(773) 782-1021
ivashton@psti.net		aplax@psti.net

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

PS Technologies, Inc ("PSTI") was founded in 2001 by IV Ashton. IV Ashton is an attorney (licensed in Illinois and Colorado) and has worked with numerous legal institutions both domestic and international. Mr. Ashton is the founder of the *Illinois Technology Center for Law & the Public Interest* and helped design Albania's legal information infrastructure for the World Bank.

PS Technologies works in partnership with Network Ninja, Inc. ("NNI"), which was founded in 1998. Network Ninja builds software applications for numerous non-profit and for-profit clients.

In addition to using Legal Server to provide a case management solutions to legal and social service organizations, PSTI/NNI implement technology solutions to various *for profit* and *non-profit* organizations, government entities and legal institutions. PSTI/NNI has a track record of assisting clients who are either entering the technology arena or are attempting to increase and enhance existing functionality.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

PSTI/NNI employs seventeen staff, including twelve full-time employees and five independent contractors. Fourteen members of PSTI/NNI staff work in technology related positions (database programming, network administration, etc.) and three staff members hold non-technical positions (sales, accounting, etc). Each staff member possesses more than five years of professional experience and most employees have been with our company an average of 3 years.

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

The company is privately held.

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

As a company policy we do not release specific financial information except to say that we have grown every year (financially and the size of the company) over the last five years.

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

We do not issue seats for our software, thus, we can only indicate the name of current clients using Legal Server:

- Central Florida Legal Services
- Center for Child and Family Advocacy at Columbus Children's Hospital
- Coordinated Advice for Legal Referral Services (CARPLS)
- Chicago Bar Foundation
- Chicago Children's Advocacy Center
- Chicago Connections Families Building Communities
- Chicago Connections Women's Program
- Chicago-Kent College of Law
- Greater Orlando Legal Services
- Heartland Alliance Housing Advocacy Project
- Midwest Immigrant & Human Rights Center (MIHRC)
- Ohio Network of Children's Advocacy Centers
- The Rafael Center's HIV Programs
- Withlacoochee Area Legal Services

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

No, we have never had a formal complaint (or other) registered against PSTI/NNI.

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

N/A

♦ **Costs and Support:**

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

Legal Server is sold on a one-time flat fee basis (i.e., no annual subscription fee and no per seat license fees) and the price is determined for each organization, based on their exact needs and requirements. Price includes:

- Legal Server Platform
- Interview and Discovery
- Customization and Configuration of Legal Server Modules
- Data Migration and testing
- Training and Training Manuals

Prices range from $10,000 to $150,000 depending on the exact system that is implemented for each organization. Statewide or Region-wide discounts are available.

It is important to note that there are no hidden or additional costs to use Legal Server. Because the database operates within a web-browser, software (other than a web browser) does not have to be installed or maintained on each user's computer and it is unnecessary to purchase licenses for additional software such as Citrix. Moreover, because Legal Server uses Open Source technology, there are no license fees for the database or operating system (unlike products that use MS SQL Server or Windows NT Servers).

12) Describe the name and function of any additional modules and costs.

Legal Server is modular based, so almost every project requires modules to be configured. Price of each module varies, based on the required functionality within the module (a given module typically has a range of functionality it offers) and the extent that the module is integrated with

other modules. For example, the Financial Resources Module can calculate and store a client's income, expenses, and assets. The module also calculates percentage of poverty based on federal poverty guidelines and can be integrated with the LSC Qualification Module (which "qualifies" a person based on percentage of poverty, including expenses, family member size and total assets). The same Financial Resources Module can also be configured to track a client's debt and/or employment history and can calculate HUD tenant rent calculations. Thus, the price of the module depends on the required functionality and the amount of integration with other modules.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

Legal Server's base code is incredibly stable and efficient. Although we modify it slightly each year, we do not have any plans to significantly modify it in the near future. Any necessary modification to Legal Server, however, can be installed on each organization's server, without charge or disruption to the agency using Legal Server.

As new modules become available, they will be offered to existing clients at competitive prices.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

In most instances, we maintain and support the application remotely through a secure channel from our office to the server. Thus, if there is a bug in the system which causes it to function improperly, we can repair the application immediately. We have telephone support during normal business hours Monday through Friday and offer pager and mobile phone support during non-business hours, including weekends and holidays. Typically, however, most bugs are reported through the application itself (which has a "report bug" feature). When the item is completed, the person reporting it will receive an email notification.

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

During the first six months of operation, we provide support for the server as part of the price of the application. We offer various support and maintenance packages, which include us keeping the application functioning properly, tuning the database, backing up the data and telephone

support. Prices range from $500 to $1,500 per month depending on the size of the organization and of the database.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

The price of the application includes a two-day training course for staff and administrators. We also provide a training manual to be used as reference materials after the training class. The trainers include PSTI/NNI staff as well as the individuals in the legal service organization that have helped design the system. Additional training can be purchased and the price depends on the size and duration of the additional training classes.

17) Are there any user groups or listservs for your product? If so, please list.

We are implementing a listserv that users can register through our website.

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

Installation, data conversion, custom reports, custom programming and user manuals are part of the standard one-time fee charged to organizations that purchase Legal Server.

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

Typically, each legal service agency appoints a team of people (between one and three) that works with the development team to assist in the designing the workflow and functionality of the application. We suggest that each team member set aside three to five hours a week during the development phase.

20) What level of staff technology sophistication is desirable to use the CMS?

Staff members need only a minimal understanding of technology to use Legal Server. Legal Server is designed to be intuitive and user friendly. We understand that most organizations have people that do not like technology, so we strive to make our system very easy to use. Moreover, since we do the maintenance of the server, users on the system need not have any sophisticated technology knowledge.

- **Hardware and Software:**

Please describe the following:

21) Operating system(s) required for file server and workstation.

Legal Server is web-based and runs on its own server. The server runs Linux as its operating system, PostgreSQL as its database and the language in which Legal Server is programmed is PHP. Thus Legal Server for the end-user is platform independent – you can run it using Microsoft, Macintosh, or Linux operating systems. All a user needs is an Internet browser to access the application.

22) Additional server software and licensing required (please indicate cost).

The software we use is open source technology and does not have any licensing fees associated with it. Additionally, because Legal Server is web-based, additional software such as Citrix is not required.

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

We typically use a stand-alone server for each install of Legal Server, based on an agency's intended use of the application. Thus, servers range from relatively low-end servers ($1,000) to more sophisticated servers ($4,000).

24) Workstation Hardware: Minimum required and recommended; Cost estimate.

Legal Server is web-based an uses a web browser as its "Client." As such, there is no need for any special hardware, except you must have a web browser on your workstation (the workstation however, could be a Mac or a PC running Windows or Linux).

25) Multi-location requirements.

Because Legal Server is web-based, it can be accessed from multiple locations. Remote access (i.e., outside the local area network where the server resides) can be accomplished through an Internet connection or dial-up telephone lines.

26) Any record or size limitations.

No.

- **Customization:**

27) What elements of the CMS are customizable? Is customization required?

Legal Server encompasses numerous pre-built database modules that can be configured to meet the specific needs of each organization. Each organization chooses the appropriate modules, including specific functionality, based on their exact requirements, and we configure the modules for them.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

The underlying code of Legal Server is proprietary. Typically, PSTI issues a license to "use" the code to each legal service agency. While, however, some organizations have negotiated a license to modify the underlying code for their own use, two things are important to note. First, once the underlying code is modified, PSTI can no longer offer a warranty and cannot continue to maintain/support the application. Second, PSTI limits the ability for a licensee to transfer the underlying code (i.e., the code that PSTI developed) to another organization.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

This is typically how we work. While we can sell an instance of Legal Server that has been configured for another legal service agency, in most cases we configure our pre-built database modules in a manner that best matches the workflow and specific needs of a given organization. Because the modules are pre-built, we "configure" (as opposed to "develop") each module, which saves considerable time and money for the client. If a program has a specific need is not addressed by one of our existing database modules, we can design and build a new module to accomplish what they need.

❖ **General Features of the CMS:**

In answering the remaining questions, please try to address as many of the following questions as applicable.

a) Briefly describe the function.

b) How does this function benefit programs?

c) How easy is it to use?

d) Does it require or allow customization and, if so, how easy is it to customize?

e) How easily does it integrate with other functions of the CMS? Which functions?

f) Can programs create drop down lists where appropriate?

g) Are there potential problems with or limitations on this function?

h) Are there plans for further development of this function?

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe:

Yes. Legal Server's Time Keeping Module is very robust and flexible and integrates with other aspects to the CMS application. Time can either be entered through batch time or individual time in a given client's electronic file. Time Keeping allows caseworkers, staff and pro bono attorneys/volunteers to track their time for:

- Client-related activities
- Non-client time
- Administrative/staff time
- Training time (e.g., pro bono training) and
- Community-Based Organization ("CBO") time

CBO time allows users on the system to track time spent advising community-based organizations about their clients. Thus, since a client of a CBO is not really a client of the legal service organization, the legal service organization can still get credit for any assistance it gives by tracking the time spent helping the CBO. The CBO time is also reported in the CBO profile, thus you can get a sense of how much time was spent helping a particular CBO over time.

Integration:

- Legal Server Time Keeping also integrates with the Grant Management Module in the following ways:
  - Based on the various client qualifying criteria (such as age, percentage of poverty, LSC eligible, county, or legal problem code), the system recommends what fund(s) are the most appropriate to use for this client. The fund that appears in each time slip defaults to the funding code associated with the client's case – although a user can change the funding code to another qualifying funding code.
  - The Grant Management Module also alerts users if the fund is running out of money, so that they can choose a different funding code when they are entering time.
  - The Grants Management Module also tracks the billing rate allowed for each funding code. Thus for each time slip entered in the system (based funding code), the system subtracts money (amount of time * hourly billing amount) from the funding code ledger. The ledger, which appears in the Grant Management screen, displays the caseworker, the client, the amount of time and the dollar amount deducted from the fund.
- Legal Server Time Keeping integrates with the Case Log Module, which is designed to display chronological information, including notes about what is happening in a given case. Thus, Legal Server integrates "case notes" with "time keeping" in order to make it easier for the user to track progress in a case.
- Time keeping also integrates with the Court Information Module. Certain "client-activity types" are associated with "in court activity." Each time entry that has a client-activity

type associated with in court activities displays in the Case Log table in the Court Information screen.

- In batch time keeping mode, users can see which client files they accessed over a given period of time (for example, over the last week), as a way of reminding the user of what client time should be billed.

Miscellaneous:

- Time Keeping is easy to use. Although time keeping can be modified to meet an organization's exact time keeping needs, it doesn't need to be modified.
- Time Keeping has dropdown menus, which are controlled and managed by each organization.

31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

Yes. Legal Server has a Calendar and Tickler Module, which is integrated throughout the case management system. Every entry in the Calendar and Tickler Module can be associated with:

- Client(s)/Cases
- Caseworkers (including pro bono attorneys)
- Programs
- Offices
- Organization (i.e., system-wide)

Events on the calendar or to do items in the tickler system are easy to use and appear throughout the entire system. For instance, every user's home page displays today's events on his or her home page, including any client-related event. Additionally, all client related events/to do items appear in the client profile pages.

In addition to scheduling for individual caseworkers and clients, you can invite other people to attend a given event (or add a to do item for a group of people), which will appear in each person's calendar or to do list.

Calendaring and Tickling can be done using rules based logic as well. For instance, one PSTI client using Legal Server for their immigration practice has established rules for when certain filings or interviews must occur based on previous events that have occurred (e.g., an Asylum application was filed).

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

If yes, describe:

Yes. Legal Server Calendar and Contacts can be exported to MS Outlook.

33) Does the system have its own document assembly capacity?

If yes, describe:

Yes. Legal Server's Document Assembly Module allows users to create "Auto-Generated Documents." Auto-generated documents populate data in a document from the data that is stored in the database.

How to create. Auto-generated documents are created by the legal service organization. The legal service organization indicates places in the document with specific data fields that they want populated from the database. The organization then uploads the document to the server, through a web-interface. Specific information about the document (name of document, date created, type of document – brief, memo, letter, etc) is entered. The person uploading the document also indicates certain relevant qualifying information such as e.g., county(s) and legal problem code(s) in the upload form. Once uploaded, the system verifies the data fields that are indicated in the auto-generated document. If the data fields were entered incorrectly, the user can change them before the upload is completed.

How to use. Once an auto-generated document is uploaded to the system, users will see "suggested" documents in the document section of each client's profile page. The "suggested" documents are based on the county and the problem code for that client. By clicking the document name, the document opens in a default word processor (MS Word, Word Perfect, etc) and the data fields that are indicated in the document are populated by the database. The user can then make any changes to the document and re-save it to the system.

34) Does the system have a contact management function?

If yes, describe:

Yes. Legal Server's Contact Module allows organizations to manage various contacts within their organization. The Contact Module also allows the organization to identify various "contact types" (e.g., pro bono coordinator, person interested in training, funder, etc.) which are created and maintained by the organization. The organization can use contact types to organize and view

people (e.g., view all pro bono coordinators), as well as generate mailing lists or email lists. The Contact Module also allows organizations to enter if a contact has donated money in the past, including the amount and donation type (cash, stock, etc).

Integration:
The Contacts Module is also integrated with various other modules, including:

- Organizations Database – each Contact can identify a work address, based on an organization in the Organizations' Database Module. By identifying them with the organization, they will appear in the organization's profile as a member of that organization.
- Time keeping – for Contacts that also might keep time (such as pro bono attorneys), time keeping is also integrated and displayed in the Contact's profile.
- Timekeeping for Contacts who changed organizations – in addition to relating the Time Keeping Module and Organizations Database Module, the Contacts Module will also track the time that a contact spent at an organization. Thus, if a contact has left one organization and gone to another, you can see a history of that in the contact's profile. Also, when reporting on things for the organization such as pro bono involvement and time, you can accurately display the amount of time that a pro bono volunteer spent on a case while at a given organization.

Miscellaneous:

- Each agency can customize the Contacts Module to best fit their needs. For instance, one PSTI client is a bar foundation that uses the contacts module for tracking the amount of donations given, events attended and any awards or grants awarded to the contact.
- The Contacts Module is very intuitive and easy to use. You can easily create lists of people based on contact types and or organizations.
- The Contacts Module can be customized to satisfy various requirements for a given organization.

35) Does the system have a document management function?

If yes, describe:

Yes. Legal Server's Document Management module allows users to perform the following tasks:

- **Client Documents** – documents created for a client (whether through the auto-generated feature, by a caseworker or by the opposing side) can be saved and associated with a client and will appear in the client's electronic case file.
- **Self-Help Documents** – self-help materials can also been saved to the system. Self-help documents that are saved to the system are also associated with certain criteria (problem code, county(s), language, etc) so that they can later be recommended for a client based on that client's information.
- **Brief Bank** – all documents that are saved to the system are indexed by type of

document, problem code, county, author, and date so that they can be searched. Additionally the text of all documents is indexed as they are saved by the system, to provide robust free text searching capabilities.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe:

Yes. Legal Server offers a number of reporting packages, including numerous canned reports (e.g., LSC reports, VOWA, HUD, United Way, etc). Reports can be customized within most canned reports. Additionally, users can use Ad Hoc reporting to build queries on any field in the database.

37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe:

Yes. Legal Server offers numerous canned (pre-formatted) reports, including all LSC required reports (e.g., CSR or Matter Reports). All reports can be exported to Microsoft Excel as well.

❖ **General Usage Attributes**

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe:

Yes. Legal Server allows users to scan in documents and save the documents (all types of documents) to the server. Each document can be associated with a client and will appear in the client electronic file. The full text of each document stored in the system is also indexed (much like Google) in the database. Thus the full text of all documents can be searched without having to go in to each document itself (which makes the search significantly faster).

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

If yes, describe:

Yes. Legal Server tags data entered in to the system using the person's id that is logged in to the database, the time and date in which the entry was made. This is true for modifications as well. Legal Server can be configured to tag every data field with this information or can be limited to specific items such as notes and/or time keeping.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe:

Yes. Legal Server interfaces with non-CMS software such as word processors, report writers and email. For instance, a user can send an email to a list of people in the database based on contact type (e.g., pro bono attorney or people interested in training).

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

If yes, describe:

Yes. Legal Server is web-based and can be accessed by users remotely via the Internet or a dial

up connection. In addition to requiring users to authenticate via username and password, Legal Server uses the same security system that many banks and credit card companies use to transmit data between the user's and the server – Secured Socket Layers (SSL). Thus, data is sent via 128-bit encryption between the server and the users. Additionally, most ports on the server that hosts Legal Server are disabled to prevent outsiders from gaining access to the server. We also encourage our customers to place the server behind an appropriate firewall to prevent unauthorized outside access.

42) Does the system enable users to access multiple records at one time?

If yes, describe:

Yes. Legal Server allows simultaneous users and allows multiple records to be accessed at one time.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe:

Yes. Legal Server creates a client id for each client, and allows multiple cases to be associated with that client. Thus, if a client has two distinct cases, each case will have its own identification number, but the client will maintain its unique identifier (client id). Additionally, when adding a new case to an existing client, the system stores the client information (address, phone number, problem code, etc) for each case. Thus, for example, if a client lived at one address in 1997 when they called with a problem, and now has a new case, but is living at a new address, the database is updated to view the current contact information about the client, but maintains a record in the old case of the old contact information.

44) Is there a limit on the number of modules that can be run simultaneously?

No. Legal Server can run multiple modules simultaneously.

If yes, describe:

45) Is there a limit on the number of simultaneous users?

No. Organizations can have as many users as they need and each user can use the system simultaneously.

If yes, describe:

46) Does the system allow programs to control user access?

If yes, describe:

Yes. Legal Server allows agencies to establish "policies" as to what role various people will have within the system. Thus, agencies can limit access to certain things in the system (e.g., admin features or reports) or can limit which people can view or edit information about clients (e.g., pro bono volunteers can access the system and only view *their* clients and add time and notes to the case log). Such policies are created and maintained by each agency.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe:

Yes. Legal Server allows users to create and maintain most items in the database, including all dropdown or multi-select menus. Additionally, each agency controls all of its staff and volunteers, including assigning users various "roles" (i.e., privileges) in the system. In addition to creating new (or deleting old) funds and funding codes, Legal Server allows each system to control the "qualifying criteria" for each fund that can be used in a client's case. Finally, outcomes are controlled and maintained in the database by each agency.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe:

Yes. Legal Server offers the following:

- **Data Format Checking** – certain fields, such as dates, social security number or phone numbers are checked in the system as they are entered. Thus, if a user tries to enter an 8-

digit number for SSN, the system will display an error in that given field. The system is flexible in how it displays the error – some fields can be configured to highlight (usually with a red background) the data field that was entered incorrectly; or the system can refuse to move forward (i.e., save the information) until the data is corrected.

- **Error Messages Requiring Data to be Corrected** – When certain data fields are entered incorrectly, the system will indicate that a mistake has been made and require the user to fix the mistake before the system will save the information.
- **Required Fields** – Each agency can set up required fields, which must be answered in order for the database to save the information. This feature is critical to data integrity. Most fields that must be "reported" on later are configured as required fields in the system. Those fields are usually listed with a red asterisk next to the field to indicate that it is required. If a required field is left blank, the screen will return with an error message instructing the user to answer the required field(s).

❖ **Management and Support of Cases/Matters/Activities**

49) Does the system determine eligibility based on different variables, including:
   a) Income
   b) Age
   c) Geographic location
   d) Citizenship status

   If yes for any, describe:

Yes. Legal Server determines LSC eligibility on various criteria, including:

- **Citizenship** (including generating an Alien Determination Form for Eligible Aliens or Undocumented Aliens that are victims of domestic violence)
- **Geographic Location** (in a list of all counties in a state, the agency can identify which counties are within their service area)
- **Problem Code**
- **Conflict Check**
- **Unduplicated Services**
- **Age**
- **Income/Expenses** (based on family size)
- **Assets** (based on age and family size)

Additionally, Legal Server allows agencies to qualify clients based on additional information, such as whether the caller/person understands the confidential nature of the information they are giving or whether they have an attorney for this legal matter.

50) Does the system flag exceptions for eligibility that require further consideration?

   If yes, describe:

Yes. Legal Server allows intake to continue, even if a person does not satisfy all of the eligibility requirements. The case is flagged as "Non-LSC Eligible" and can be reviewed for additional consideration, where by it can become LSC eligible.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe:

Yes. Legal Server allows each agency to maintain a database of referral organizations. Each referral organization has qualifying criteria (percentage of poverty, county, legal problem code, etc.), which are used to match clients with referral organizations. There are three types of referral organizations: Legal Services Referrals, Social Services Referral and Private Bar Referrals. Recommendations are made in the system for each client as to who might best assist this client (either in addition to the organization accepting representation or terminating its services).

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe:

Yes. Legal Server assigns an office, program (help line, pro bono program, etc) and a staff member to each case at intake. The status of each application can be checked by any user on the system and is conveniently organized by office, program and person, so that individuals can find the case easily. The status of the case is always indicated and a history of who is assigned to the case is displayed.

Case Assignments. Case Assignments are done on any (or all) of three levels: office, program and/or person. Thus, if a case needs to be transferred to another office (and/or program and/or caseworker), it can be done by anyone in the system. Upon making the request to the office (and/or program and/or person) that they accept the case, the case is listed in a "cases pending transfer" list, until it is accepted or rejected. Once it is accepted, the case appears on that office's (and/or program's and/or person's). Thus, a case always has an assignment status in the system and can easily be tracked.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe:

Yes. Legal Server offers a very sophisticated conflict check, which checks to see if the caller is either a client of the organization or an adverse party to an existing client. The system also checks each adverse party to ensure that the adverse party is not an existing client in the system.

If a caller is a client in the system with an unduplicated case, a new case can be opened for the

client. If the caller is calling about a duplicated case the case can be reopened or be worked on directly (if it is already open).

Additionally, Legal Server checks to make sure that the Adverse Party is not affiliated with the agency in some way (staff or member of the board of directors). Legal Server can also check to the attorney of the Adverse Party to make sure there is no conflict (i.e., make sure the attorney is not affiliated in some way with the agency).

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe:

Yes. Legal Server has a feature that allows each agency to create questions based on specific problem codes. The questions appear in the problem notes section and can either be configured to appear as "passive" (listed above the problem notes section) or can be configured to have separate notes fields for each question and answer.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe:

Yes. Legal Server can be configured to include checklists for each problem code. Checklists can also be "triggered" by specific events that occur within the CMS and be tied to date ranges (file an answer X amount of days after a complaint is field, etc.) Finally, checklists can be configured to verify that the action item was completed and by whom. Thus, a completed item on the checklist will display the date completed and the person who completed it.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

If yes, describe:

Yes. Legal Server links all auto-generated documents (including pleadings and other documents) to cases based on their legal problem and their county.

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe:

Yes. Legal Server manages all volunteers, pro bono attorneys, experts and translators. Additionally, each volunteer, pro bono attorney, expert and translator is linked to an organization, so that each organization can get credit for its member's activity. Legal Server will allow you to:

- assign any person to a case
- track and report time spent on a case
- associate legal specialties (based on problem code), languages, location (county) and activities (people that attend client trainings or pro se trainings, etc.)

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe:

Yes. Legal Server has modules that accommodate cases for numerous government programs, including SSI and TANF. Legal Server also interfaces with GIS mapping, which can be used for reporting.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

If yes, describe:

Yes. Legal Server has an alert capacity, which allows users to set up alerts based on various things, including when certain reports are due or when funding codes (funds) are running low on money or are below goal (i.e., the fund is being under-utilized). Additionally, alerts can be sent when cases are assigned to individuals or as a reminder for certain events (calendar) or items on an individual's to do list.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

No

If yes, describe:

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe:

Yes. Legal Server has modules specifically designed for hotlines, which can be configured as stand alone applications or as part of a larger case management system. Hotline modules include all qualification modules (citizenship, financial, etc) and self-help and referral modules.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe:

Yes. Legal Server has several features for pro bono programs:

- Pro bono attorneys can be users on the CMS, limiting their roles so they can only view their cases and certain information
- Organizes all pro bono attorneys by area of practice (problem code), counties served, and activities (volunteer at pro se clinic, etc)
- Recommends who might be a good pro bono attorney for a given case based on qualifying criteria (area of law, county, etc) and displays how many open cases each pro bono attorney has
- Tracks pro bono trainings
- Organizes each organization's (law firm or other) pro bono attorneys so that agencies can report on pro bono activity to the responsible organization
- Time keeping for pro bono attorneys
- Case Assignments for pro bono attorneys
- Pro bono attorney reports, broken down by practice area, office, county, law firm, etc.
- Email lists that send targeted emails to pro bono attorneys with a list of available cases

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe:

Yes. Legal Server can be configured to allow administrators to reassign cases of individual's

that have left the agency to other caseworkers in the system. This can be done easily by listing each of the cases assigned to the caseworker and selecting multiple or individual cases be assigned to someone else or to another program.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe:

Yes. Legal Server has a Quality Assurance Module that allows administrators to review case files in a Quality Assurance Mode (outside of the Case Management Mode), and make comments about the case file or request additional information from the caseworker. Such comments or requests are sent to the caseworker via the Messaging Center and the caseworker is expected to enter the Quality Assurance Module to address the issues raised by the administrators. This can also be tracked over time to demonstrate areas that require more training or to address future system-wide policies that need to be established.

❖ **Office Management/Administration/Resource Development**

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe:

Yes. Legal Server provides tools to set up every grant/fund with a ledger, which allows administrators the ability to deposit funds in the account. It also allows administrators to set the hourly rate, one-time rate or capped rate for each grant. Then, as time is entered, money is deducted from the balance of the account based on the amount of time entered in the time slip – client related or activity. Additionally, grants have alerts set up so that administrators and caseworkers are aware if the grant is running low on funds or is being under utilized.

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe:

Yes. Legal Server allows administrators to indicate various criteria within each grant that determines whether a client qualifies for that grant. Such indicators are:

- Age
- Percentage of Poverty
- Domestic Violence
- LSC Eligible
- County
- Problem Code
- Advocate (limited to certain advocates)
- Accepts Case Related and/or Non-Client time

Then, based on the criteria, only certain funds will show up when a funding code is assigned to each client or in a client's time keeping slip. There is an override function that allows you to view all funding codes.

67) Does the system maintain project/grant information?

If yes, describe:

Yes. Legal Server can be configured to track information about each grant. For instance, administrators can configure each grant to establish goals, which can be tracked by office, program and individuals. Thus, if the grant is above or below goal, the administrators will know about it. Also, an alert can be established to remind administrators when the grant is up for renewal.

68) Does the system enable user to maintain donor information?

If yes, describe:

Yes. Legal Server tracks donor information for both people and organizations, which is displayed in the person's or organization's profile. For instance, in an organization's profile, you can see who in the organization donated money, as well as if the organization itself donated money. Donations are organized by date, donation type (cash, stock, pledge, etc.)

Additionally, "pledges" can be tracked, including a payment schedule. Thus a person can pledge to donate $4,000 over 4 years and the system will allow you to schedule future payments, show outstanding pledge balances, and show amount actually donated thus far.

Finally, matching donations can also be set up for organizations that will match a certain amount of money given by its members (e.g., a law firm might match what its members give).

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe:

70) Please provide any additional information about your CMS that you would like us to have.

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Innovation Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

This survey for developers is the first step in the review.[1] We would appreciate if you would answer these questions about your system and return the completed survey to us by August 25, 2003. Simply type the answers into this survey and send them via email to Cotter and Gordon. Our next step will be to view demonstrations of each CMS. Finally, we will interview CMS users at various legal services programs to learn how well the various systems are meeting their needs.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

❖ **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

Aaron Worley
Pika Software
3725 Lynnfield Road
Shaker Heights, OH

(216) 288-9361

http://pikasoftware.net

2) What is the name of the case management system, what versions are available, and what was their release date?

The case management system is named Pika CMS. Version 2 was released on July 29, 2002 and Pika 3 was just released this past week, on August 27, 2003. For the purposes of this survey, I will refer to the capabilities of Pika 3 only, since that is what all new clients will be offered.

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

[1] Many of these questions were developed by Kathy Daniels, Statewide Legal Services of Connecticut and Michael Alexander of Southeastern Massachusetts Legal Assistance Corporation.

Aaron Worley
(216) 288-9361
amworley@pikasoftware.net

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

It was founded by myself in May 2001. Previous to this, I was the Technology Manager at the Michigan Poverty Law Program, where I was responsible for statewide support on case management and Internet access issues. I have a B.A. in Computer Science from Hiram College in Hiram, OH.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

I am the only full-time employee.

Aaron Worley – General Manager – 7 yrs experience in IT industry – 2 years on Pika

There are three part-time employees.

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

Private.

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

N/A.

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

- 13 installations
- 444 seats
- 12 legal services installations
- 394 legal services seats

Current Accounts:
Southern Minnesota Regional Legal Services
Iowa Legal Aid
Michigan Indian Legal Services
Western Michigan Legal Services
Client Advocacy Law Line
Center for Civil Justice
MI-LAPP

Legal Services of South Central Michigan
Legal Services of Northern Michigan
Access to Justice - Michigan
Farmworker Legal Services
Immigration Law Center of Minnesota

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

No.

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

Iowa Legal Aid and the University of Iowa School of Social Work have published an evaluation of user satisfaction after ILA's switch to Pika, it's available at:

http://lstech.org/workgroups/pikaUsers/ila_pika_evaluation

Michigan performed a user survey to determine the success of their pilot program, the results are available at:

http://lstech.org/workgroups/pikaUsers/user_survey

- **Costs and Support:**

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

Pika is purchased through support subscriptions. The subscription cost is $48 per user annually. A subscription provides technical support and unlimited access to upgrades, new versions, and documentation. Programs may choose to end their subscription and still continue to use Pika internally.

Additionally, there is a one-time installation fee for new programs, starting at $2000 for programs smaller than 25 users, or $3500 for programs smaller than 75 users, or $5000 for programs smaller than 150 users. Please call for pricing for larger numbers.

There are no upgrade costs for programs with an active subscription. There are no user or license limitations. There are no minimum purchase requirements.

12) Describe the name and function of any additional modules and costs.

Remote hosting (a.k.a. ASP hosting) is now available through Pika Software for programs that do not wish to host Pika on their own equipment. This option increases the annual per user cost to $240. Programs have full access to their hosted Pika site, including the ability to make screen changes, add form letters, and run remote database backups.

Priority support, which provides a guaranteed tech support response time, is available for an additional annual cost of $8500 per program.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

Pika 3 was officially released this week. It was already being tested at several programs. It adds document management, full text document searches of MS Word, WordPerfect and PDF files, improved support for court document assembly, an improved calendar, an easier system for adding new fields, and performance improvements.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

Tech support is handled by myself, directly. (216) 288-9361, Mon-Fri, regular business hours. For programs that purchase Priority Support, there is a pool of three techies to ensure that support issues receive a fast response (within four hours).

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

Tech support is paid for through the support subscriptions, and optionally through the Priority Support plan. There are no additional per incident support charges.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

I provide training on a consulting basis. The trainings are tailored for needs of the program in question. I charge $100/hr of training plus expenses & materials.

It is common for programs decide to that Pika isn't very complicated to learn, and elect to give their staff a half- or full-day training run by in-house personnel. This seems to work fine.

17) Are there any user groups or listservs for your product? If so, please list.

The Pika Mailing List
pikasoftware@yahoogroups.com
Archives at http://yahoogroups.com/groups/pikasoftware/

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

Installation is covered by the installation fee (mentioned previously). Data conversion services are available on a case-by-case basis. Custom reports and programming is available at $75/hr. Most programs are given a fixed cost estimate on custom work – no cost overruns. User manuals and other documentation is available to all subscribers at no additional charge.

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

For deployment, staff will need to identify what fields, if any need to be added to their Pika site, and document these for us. We usually set up a test site before the deployment, and staff should be sure to set aside enough time to review it thoroughly.

Once a Pika site is set up, they are very low maintenance, especially when installed on a Linux-based server. It is not uncommon for a Pika site to have six or more months of uninterrupted uptime.

20) What level of staff technology sophistication is desirable to use the CMS?

Pika is designed for programs with a low level of technical sophistication. The ability to use a web browser is the only skill required to use the system. Knowledge of a reporting tool such as Microsoft Access is highly recommended for anyone who runs reports. If you plan to make custom changes to your Pika site, you also need the ability to edit web pages.

- **Hardware and Software:**

Please describe the following:

21) Operating system(s) required for file server and workstation.

Server: Pika is multi-platform. Red Hat Linux or Windows 2000 are recommended. Will also run on other Windows, Linux, Mac OS X or UNIX platform.
Workstation: Any operating system that is supported by Internet Explorer, Netscape 7, Mozilla, Opera, Safari or any other web browser that is compliant with W3C standards.

22) Additional server software and licensing required (please indicate cost).

There are **no** additional software licensing fees!

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

Pika is very efficient with system resources, so hardware recommendations are on the low end of the scale.

Minimum specs required for 10 user program
- Pentium processor or equivalent

- 128 MB RAM
- 500 MB of free disk space
- Data backup system

Recommended specs for 100 user program
- Pentium 1 Ghz or equivalent
- 1 GB RAM
- 1 GB of free disk space
- RAID disk array
- Data backup system

An adequate server for a large program can be purchased in the $2000-$3000 range. For small programs, a converted PC workstation can be used as the server, with little compromise in performance.

24) Workstation Hardware: Minimum required and recommended; Cost estimate.

Minimum specs:
- Any computer with a functioning web browser
- Dial-up Modem, High speed Internet, WAN or LAN access

Recommended specs:
- Pentium 400 Mhz or equivalent
- 128 MB RAM
- Web browser
- High speed Internet, WAN or LAN access

Any brand new PC will be more than adequate for accessing Pika.

25) Multi-location requirements.

Internet access is the only multi-location requirement. High speed access is best, but dial-up access will work, too.

26) Any record or size limitations.

Pika uses MySQL for data storage, which cannot store more than 4.2 billion rows of information in a given table.

♦ Customization:

27) What elements of the CMS are customizable? Is customization required?

Most screens, except the case list and address book search screens, are customizable. Customization is not generally required except in cases where a funder requires specific information not already captured.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

The underlying source code for Pika is given to each client. They are free to make whatever changes they wish.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

I regularly add custom modifications for client programs. Costs vary, and are dependent of complexity and time required. I charge $75/hour for customization work.

❖ **General Features of the CMS:**

In answering the remaining questions, please try to address as many of the following questions as applicable.

a) Briefly describe the function.

Pika is a web site the provides case management functionality.

b) How does this function benefit programs?

Staff in multiple locations can use a centralized CMS via the Internet, with no configuration needed in the remote offices. Staff just log into the Pika site, whether they're in the office, at home, or out in the community.

c) How easy is it to use?

Pika sets a new standard in simplicity and ease of use for legal aid CMS's.

d) Does it require or allow customization and, if so, how easy is it to customize?

Pika is, by design, easy to customize. Customizations are also easy to maintain. They only need to be installed once, on the Pika server, and they usually are unaffected by software upgrades.

e) How easily does it integrate with other functions of the CMS? Which functions?

Pika has an integrated calendar, time keeping system, document assembly, and document management.

f) Can programs create drop down lists where appropriate?

Yes.

g) Are there potential problems with or limitations on this function?

There are no known limitations.

h) Are there plans for further development of this function?

No, this capability is mature, is easy to use and works well.

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe:

Yes, it has a flexible, easy-to-learn time keeping system. Notable features include its tight integration with the Pika calendar, which allows staff to view their hours for an entire week or month at a glance.

31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

Pika has a calendar (daily, weekly, 4-week and advanced view modes) and a simple tickler mechanism.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

If yes, describe:

Yes, if the program has a Microsoft Exchange server, calendar items can be sent from Pika to Exchange, where it can then be synchronized with a PDA.

Future versions will have additional PDA features that won't require the use of Microsoft Exchange.

33) Does the system have its own document assembly capacity?

If yes, describe:

Yes, Pika has a built-in document assembly function which supports Microsoft Word, WordPerfect and PDF forms. Creating new forms is simple enough that no training is required to get started.

34) Does the system have a contact management function?

If yes, describe:

Pika has limited contact management through its Address Book feature. Contact information for clients, opposing parties, judges, etc. in the Address Book can be reused for every new case – they don't have to be retyped every time.

35) Does the system have a document management function?

If yes, describe:

Yes, Pika includes a searchable document management system.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe:

Pika includes two advanced reports which allow the user to specify a large number or reporting parameters. Additionally, Pika is compatible with MS Access, Crystal Reports, and any other ODBC-compliant reporting tool.

37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe:

Pika includes LSC reports and several other pre-formatted reports, for a variety of purposes.

❖ **General Usage Attributes**

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe:

Yes, any Word, WordPerfect, PDF or plain text file can be uploaded into Pika. Their contents are then indexed and fully searchable.

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

If yes, describe:

Pika tracks when a record is created, and who creates it. Additionally, the web server log makes it possible to track who views and edits a record, and when.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe:

MS Access, Crystal Reports, and any other ODBC-compliant reporting tools can be used with Pika. MS Word, WordPerfect and Adobe Acrobat Reader are compatible with the Pika document assembly system.

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

If yes, describe:

Yes, Pika is inherently a web site system, accessible via web browser. Security is ensured with the use of SSL encryption and HTTP (or optionally cookie-based) password authentication.

42) Does the system enable users to access multiple records at one time?

If yes, describe:

Yes, Pika users can open a theoretically unlimited number of cases or other records at one time, with no deleterious effects on server performance. This is one of the nice side benefits of a properly designed web site-based system.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe:

Yes, each client has one client record, even if they are represented in multiple cases.

44) Is there a limit on the number of modules that can be run simultaneously?

If yes, describe:

No known limitations.

45) Is there a limit on the number of simultaneous users?

If yes, describe:

There is no limit, hardware limitations notwithstanding.

46) Does the system allow programs to control user access?

If yes, describe:

Administrators can assign users to different “security levels”. A security level defines which cases and records a staff person may/may not view and edit. An unlimited number of security levels can be added.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe:

Yes, it can handle many, many variables.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe:

The format of date fields, SSN fields and phone numbers are automatically verified during data entry.

❖ **Management and Support of Cases/Matters/Activities**

49) Does the system determine eligibility based on different variables, including:
a) Income
b) Age
c) Geographic location
d) Citizenship status

If yes for any, describe:

The system uses all these variables for eligibility determination.

50) Does the system flag exceptions for eligibility that require further consideration?

If yes, describe:

Yes, Pika will raise a "red flag" on the screen when certain conditions are not met. These conditions can be customized on a program-by-program basis.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe:

Yes, these links can be added to the case screen on a program-by-program basis.

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe:

Yes, Pika has a Case Status field.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe:

Yes, Pika has an advanced conflict checking system. Conflict checks are performed automatically and the user is notified only when a potential conflict is found. In addition, there is a manual name-based and SSN-based conflict check which is useful in cases when a client has been entered into the system twice.

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe:

Not currently, although this feature is in the planning stages.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe:

The Red Flags feature can be used as a type of checklist.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

If yes, describe:

No, I don't think so.

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe:

Yes, programs have two options. They can choose to handle their volunteer cases within their main Pika database, using the built-in pro bono management features. Alternatively, they can maintain a separate, but identical, Pika database dedicated solely to volunteer cases.

Southern Minnesota Regional Legal Services is developing a module which would allow volunteer attorneys to submit their time and notes directly into their separate volunteer attorney database, over the Internet, without any staff intervention required.

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe:

Not in the current version.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

If yes, describe:

Not in the current version.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

If yes, describe:

None.

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe:

The case transfer function is used by some hotlines to send cases to other programs electronically; no human intervention required. The Brief Service Scheduler allows programs to schedule callbacks on a MS Exchange calendar.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe:

The case screen allows a pro bono administrator to assign a volunteer attorney based on practice area, languages spoken, and county.

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe:

Yes, cases can be reassigned at will.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe:

None.

❖ **Office Management/Administration/Resource Development**

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe:

Not in this current version.

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe:

Not in this version.

67) Does the system maintain project/grant information?

If yes, describe:

No.

68) Does the system enable user to maintain donor information?

If yes, describe:

No.

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe:

No.

70) Please provide any additional information about your CMS that you would like us to have.

Pika's three most important attributes are:

- It's easy to use. The user interface is simple and friendly, and staff learn it quickly.
- It's web site-based. This makes it inherently centralized, much cheaper to operate and very simple to maintain.
- It's flexible. Screen layouts and work flow can be customized with little effort to your programs needs.

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Innovation Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

This survey for developers is the first step in the review.[1] We would appreciate if you would answer these questions about your system and return the completed survey to us by August 25, 2003. Simply type the answers into this survey and send them via email to Cotter and Gordon. Our next step will be to view demonstrations of each CMS. Finally, we will interview CMS users at various legal services programs to learn how well the various systems are meeting their needs.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

❖ **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

RealLegal, LLC
3025 S. Parker Road
12th Floor
Aurora, CO 80014
888-584-9988
www.RealLegal.com

Additional Offices in San Francisco, New York, and Kaunas, Lithuania

2) What is the name of the case management system, what versions are available, and what was their release date?

RealLegal Practice Manager version 8.7 includes case management functions. Version 8.7 was released in 2002. Version 9.0 is scheduled for release by October 2003.

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

[1] Many of these questions were developed by Kathy Daniels, Statewide Legal Services of Connecticut and Michael Alexander of Southeastern Massachusetts Legal Assistance Corporation.

M. Lewis Kinard
214-924-1773
lkinard@RealLegal.com

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

PMT, Inc., the original maker of Practice Manager, was formed in 1982. In 1999, PMT was acquired by Law.com and consolidated with several other legal business applications into the Applications Division known as RealLegal. In 2002, RealLegal spun off Law.com and became its own company, RealLegal, LLC.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

There are over 100 full time employees at RealLegal, which is too many to list individually as requested. See the employee breakdown by job classification below. The current list of highly-qualified employees includes the original developer of Practice Manager, Ricky Huszagh, who now serves as Product Manager for Practice Manager, numerous staff in the Client Services department with actual legal environment work experience and a former managing attorney from a leading legal services program. Most of the current staff have been with RealLegal and one of its predecessor companies for over 5 years.

RealLegal Staff by Job Classification	
Corporate Admin	7
Operations	7
Operations – Billable	7
Sales	18
Customer/Technical Support	12
Development	40
Marketing	4
Product Management	10
Total Headcount	105

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

Private.

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

This information is confidential and is not provided generally. However, we would be happy to arrange an interview with our CFO to answer your questions in this area.

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

RealLegal currently has about 100 active Practice Manager clients, with over 4000 seats installed. This does not include the hundreds of customers of our MA3000, OCA Watch, eTranscript, Binder, eBrief, and Exemplaris products and services.

In the nonprofit legal services (excluding government legal departments) market, RealLegal Practice Manager is used by 15 separate organizations with a total of over 875 seats. They are listed below.

CALIFORNIA
- Legal Aid of San Mateo County
- Stanford University Law School Clinics

FLORIDA
- Florida Rural Legal Services

ILLINOIS
- Equip for Equality

MAINE
- Pine Tree Legal Assistance
- Volunteer Lawyer Project
- Legal Services to the Elderly
- U. of Maine Law School's Cumberland Legal Aid Clinic
- Maine Equal Justice Partners

MARYLAND
- Legal Aid Bureau
- Public Justice Project

MINNESOTA
- Mid-Minnesota Legal Assistance
- Central Minnesota Legal Services

TEXAS

Legal Aid of NorthWest Texas
Human Rights Initiative of North Texas

TOTAL=878 seats in legal services alone

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

None.

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

You will find these posted on our web site.

Case Studies and White Papers for Practice Manager:
http://www.reallegal.com/practiceManagerWhitePapersCaseStudies.asp

Articles, Press Releases, and Awards for RealLegal:
http://www.reallegal.com/pressReleases.asp

In addition, Practice Manager has been mentioned in the Legal Hotline Quarterly and other legal services-focused periodicals.

- **Costs and Support:**

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

MSRP for Server: $4995
MSRP for CAL: $495

Discount on software for nonprofit legal services customers: 50%

Upgrades: $150/seat for major release
(No charge for service packs or updates with software maintenance contract. One Major Release each calendar year, with service packs and updates as needed. Support provided for "current" version and 2 prior versions.)

No minimum number of seats must be purchased either initially or after.

12) Describe the name and function of any additional modules and costs.

Relevant Optional Modules
a. Legal Services Module: no extra charge (Intake, Pro Bono, CSR Reporting, Payroll Reports) Budgeting & Forecasting Module: no extra charge (matter-specific budgets, realtime forecasts of resource utilization, etc.)
b. Bi-directional Exchange Integration: no extra charge (calendar items synchronized between PM and Outlook)
c. Bi-directional Lotus Notes Integration: no extra charge (calendar items synchronized between PM and Lotus Notes)
d. DOCS OPEN Integration: no extra charge (document profiles synchronized between PM and PC DOCS or DM5)
e. Report Designer: no extra charge (drag-and-drop wizard to create multi-level, XML-generated html reports on any exposed data field in PM, including those for optional modules)
f. Full Text Search option for DMS: no extra charge (search text of documents stored in PM using strict or "fuzzy" logic)
g. iManage Integration: no extra charge (document profiles synchronized between PM and iManage)
h. Elite Integration: no extra charge (time and billing information exported to Juris; billing account information available from inside each Matter in PM)
i. Juris Integration: no extra charge (time and billing information exported to Juris; billing account information available from inside each Matter in PM)
j. PMSynch: no extra charge (synchronize contacts and appointments in PM with Palm devices)
k. PMRemote: no extra charge (download copies of Matters and Conflicts Database for use "offline" and synchronize selected data upon reconnection)
l. FormsDesigner: no extra charge (add new screens and fields in WYSIWYG drag-and-drop interface, including support for OLE calls to other applications and the PM database
m. FormBuilder: no extra charge (used to modify user interface, also supports multi-layered Web Intake forms, etc.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

RealLegal Practice Manager is continuously being enhanced and expanded as other related technologies permit. Version 9.0 will be released in October 2003 and includes expanded support for our "heavier" integrations with Exchange, Lotus Notes, iManage, DOCS OPEN, etc., Report Designer 3.0, and the new web-form intake screens creatable with FormBuilder. PM Version 9.1, expected in 2004, will add more Web Services features and a new Portal Module to allow customers to design and build their own web-based portals for PM and other applications. Version 10 is in the early stages of design, but is expected to be released in 2005.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

"Regular Hours" Support is provided from 6:30 a.m. to 6:30 p.m. Mountain Time at no additional charge beyond the software maintenance contract. After hours support is available at an additional charge. We have 2-5 technicians on the phones during regular hours and at least one is on call at all times after hours. Support requests can be submitted 24/7 by email, fax, or web form submission, also. We have guaranteed support response times that are included in our master customer contract and vary according to the severity of the software issue's impact on the customer. Most customers designate a limited number of authorized contact persons who may authorize our technicians to perform work on their systems, however, all users may submit system error reports and problems using the built-in functions in PM (if permitted by their IT managers).

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

Free support is provided for the first 30 days. After that time, a maintenance agreement or support contract is recommended. With Maintenance Agreement, unlimited regular hours support is included at no extra charge via toll free number, fax, email, and web form submission. If no Maintenance or Support Contract, support is provided at an hourly rate.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

Training is provided on all features and functions to the extent requested by the customer. Standard pricing for Training services ranges from $800 to $1500 per day, depending on many factors. Training is available onsite, via the Web, and in combination. Onsite training can range from direct user training, "train the trainer," deskside assistance, and follow-up training. System administrator training is available on all modules and functional areas to help the customer maintain its own software system. RealLegal will provide training at any training facility the customer selects.

Generally, User Training consists of 8 small-group, hands-on sessions of 1½ hours each. Our trainers have legal experience in addition to years of experience working with and teaching others to use our software. We can use several trainers in multiple, simultaneous training sessions are available to train more staff faster.

Custom training plans and pricing are developed with each nonprofit on a case by case basis.

17) Are there any user groups or listservs for your product? If so, please list.

There is a legal services support list that is managed by Pine Tree Legal Assistance. Participation is voluntary, but encouraged.

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

RealLegal will perform any additional services and custom work that is required. Standard pricing for additional services ranges from $1000 per day to $1800 per day, depending on the complexity and quantity of services. RealLegal Practice Manager comes with User and Administrator Manuals already prepared and online user help is activated upon installation (beginning with PM 9.0) at no extra charge. All manuals and documentation may be accessed in the client-restricted area of the RealLegal.com website.

Custom services and pricing are developed with each nonprofit on a case by case basis.

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

The most important aspect of any deployment is the pre-implementation phase. We recommend that at least one full day of time be dedicated to making decisions on how the system will be set up initially. Maintenance is a variable that each customer performs at its own pace. We estimate that about 1 hour per month would be used to keep an average system up for our customers. More time is devoted to expanding and modifying the system when needed.

20) What level of staff technology sophistication is desirable to use the CMS?

Very minimal. We have deployed and trained users for a 40-office system where the users did not even have computers prior to the Practice Manager project. Ideally, the ability to type, use a Windows mouse, and perform functions similar in complexity to sending an email or opening a word processing document would help they typical user absorb training faster.

- **Hardware and Software:**

Please describe the following:

Note: RealLegal maintains its current system requirements on its web site at http://www.reallegal.com/practiceManagerTechnicalSpecs.asp

21) Operating system(s) required for file server and workstation.
Practice Manager 8.7:

Server Operating Systems: **(MDAC 2.70 required)**	Microsoft Windows NT4 SP6 Microsoft Windows 2000 SP3
Workstation Operating Systems: **(MDAC 2.70 required)**	Microsoft Windows 98SE Microsoft Windows NT4 SP6 Microsoft Windows 2000 SP3 Microsoft XP Professional SP1

Practice Manager 9.0:

Server Operating Systems: **(MDAC 2.8 Required)**	Microsoft Windows 2000 Server SP4 Microsoft Windows 2003 Server
Workstation Operating Systems: **(MDAC 2.8 required)**	Microsoft Windows 2000 SP4 Microsoft XP Professional SP1a

22) Additional server software and licensing required (please indicate cost).

MS SQL Server and CALS required for each user, prices vary and discounts may be available via Microsoft's Open Charity License program.

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

Practice Manager 8.7:

	Minimum Recommended Specifications	**Optimum Recommended Specifications**
SQL Server		
Processor	Pentium III, 550 MHz	Pentium IV 2.0 GHz or higher
I/O Bus	EISA/PCI	EISA/PCI
RAM*	512 MB	2 GB
Hard Drive**	As needed	As needed
Network Operating System	Microsoft NT 4.0 SP6	Microsoft Windows 2000 SP3 Advanced Server
File Server		
Hard Drive	Dependant on the number of images and documents per file. Baseline footprint for application files is 250MB	
Network Operating System	Microsoft Windows NT 4 SP6 Novell 4.11 and higher	Microsoft Windows 2000 SP3
Application Server (Budgeting/Forecasting and Reporting Modules)		
Processor***	Pentium III, 550 MHz	Pentium IV 2.0 GHz or higher

I/O Bus	EISA/PCI	EISA/PCI
RAM	256 MB	1 GB
Hard Drive	250 MB required	250 MB required
Network Operating System	Microsoft Windows 2000 SP2 with IIS 5.0 and SQLXML 3.x	Microsoft Windows 2000 SP3 with IIS 5.0 and SQLXML 3.x
Index Server (Full Text Search module)		
Processor	Pentium III, 550 MHz	Pentium IV 2.0 GHz or higher
I/O Bus	EISA/PCI	EISA/PCI
RAM	256 MB	1 GB
Hard Drive****	250 MB required for binary	250 MB required for binary
Network Operating System	Microsoft Windows 2000 SP3	Microsoft Windows 2000 SP3
PCA Server (Professional Cost Auditing)		
Processor	Pentium III, 550 MHz	Pentium IV 2.0 GHz or higher
I/O Bus	EISA/PCI	EISA/PCI
RAM	256 MB	1 GB
Hard Drive	250 MB required for binary	250 MB required for binary
Network Operating System	Microsoft Windows 2000 SP3	Microsoft Windows 2000 SP3
Note: Additional SQL server may be required based on number of invoices processed		
Printing		
Printers	HP printers are preferred though most locally attached and network attached printers are supported. However, USB printers of any make are not currently supported.	
Scanning		
Scanners	HP ScanJet Visioneer Strobe	HP ScanJet 5 Fujitsu with Kofax Board
Modem/Communications		
Speed	56 KBps	T1

Software	PC Anywhere 9.x	Citrix Metaframe XP, PC Anywhere 10.x

FOOTNOTES TO TABLE:

* Amount of memory on your file server is strictly dependent on the hardware configuration (number and size of hard drives, number of users).

** We recommend use of the smallest, fastest drives available. Presently this is a 15,000 RPM drive. Note that more drives means more heads and provides the function of spreading data across multiple platters.

*** For large enterprise deployments consider application center deployments.

**** Size of index file is dependent upon number of documents indexed. Index file size is approximately 25-35% the size of the documents indexed. While index size varies depending on the nature of documents, typically it is about 25% of the size of the original documents.

[†] Must have 25MB available for PMWin.

Practice Manager 9.0: Certification baselines have not been finalized, but will have similar hardware recommendations, subject to adjustment of the specific software operating systems and other applications certified to work with Practice Manager.

24) Workstation Hardware: Minimum required and recommended; Cost estimate.
Practice Manager 8.7:

Workstations		
Processor	Pentium II, 333 MHz	Pentium IV 1.6 GHz
I/O Bus	ISA/PCI	ISA/PCI
RAM	128 MB	512 MB
Hard Drive [†]	4 GB	8 GB
Monitor	SVGA	SVGA
Video Card	1 MB SVGA	SVGA 16 MB or 32MB
Operating System	Microsoft NT 4.0 SP6 or Windows 98SE running MDAC 2.7	Windows 2000 or XP SP1 Professional running MDAC 2.7
Mouse	Windows Compatible	Windows Compatible

Practice Manager 9.0: Certification baselines have not been finalized, but will have similar hardware recommendations, subject to adjustment of the specific software operating systems and other applications certified to work with Practice Manager.

25) Multi-location requirements.

Whether for multiple offices in the same organization or multiple organizations sharing the same system, with Practice Manager's centralized database, you can leave forever behind the pains of database "merges" and replication procedures. Let the database server do all the work, with only a small amount of strain placed on the workstation and a small-enough bandwidth requirement that VPN and direct TCP/IP connections are affordable in most cases without Citrix software.

There are no special versions of Practice Manager for use in the multiple-location environment. Our standard software works just as well on the Local Area Network as the Wide Area Network, Extranet, or other means of providing remote connectivity to the central database. Because SQL database software performs data tasks more efficiently than other databases often still in use and only a "slim" client is needed on the workstation, Practice Manager functions well in Terminal Services, Citrix Metaframe, and Citrix Nfuse systems and we have customers who are using each of those. (The impact of other applications must be weighed separately.)

The primary concern is that each user have adequate bandwidth in her connection to the central database. For TCP/IP connections (direct LAN, WAN, or Internet VPN connections, e.g.), that is 24 KBps. A 10-user office, therefore, needs a steady 240 KBps dataline. For Terminal Services without Citrix, the bandwidth drops to about 18 KBps, depending on the type of encryption system used. With Citrix, the bandwidth need for each user is only 14KBps. Each of these guidelines assumes a maximum "hop" time of 150 milliseconds.

See answer to question 41 for more details.

26) Any record or size limitations.

No, only those limits provided by the storage medium (hard drive, e.g.).

- **Customization:**

27) What elements of the CMS are customizable? Is customization required?

Nearly every drop down list is set up to each customer's preferences and easily changed and updated by the customer as desired. All content in document assembly, calendar, email, and other "templates" is created from the customer's materials. Otherwise, our "standard legal services implementation" can save set up time and ensure conformity where desired.

Using our included tools, our customers can design and add their own screens to Matters, Entity (Contact) Records, Document Profiles, and Scanned document images (for annotating them). These screens are creatable by your staff with no risk of destabilizing the database or impacting performance or upgrades.

By late 2003, users will be able to create web-intake screens and custom XML-generated html reports using our included tools that permit user-determined design and field arrangement.

Additional customization is available by our engineers if needed. Reports can be customized using the drag-and-drop-style Report Designer.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

Proprietary. No changes to the code are permitted except with our included tools. This ensures stability and scalability to 1500+ concurrent users, even if modifications are made using our included tools.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

Individual "custom programming" has always been available to our customers and is provided at a cost that is determined after an assessment of the work requested. In very complex situations, a Scope of Work may be required to determine the ultimate specifications and costs.

❖ **General Features of the CMS:**

In answering the remaining questions, please try to address as many of the following questions as applicable.

a) Briefly describe the function.

b) How does this function benefit programs?

c) How easy is it to use?

d) Does it require or allow customization and, if so, how easy is it to customize?

e) How easily does it integrate with other functions of the CMS? Which functions?

f) Can programs create drop down lists where appropriate?

g) Are there potential problems with or limitations on this function?

h) Are there plans for further development of this function?

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe:

Time and expense information is entered in the Timeslips data entry screen. Time may be entered contemporaneously using the built-in automatic matter clock and phone call timers or after the fact with "batch" time entry. Keeping time inside Practice Manager helps users to keep working without having to switch around to

different software applications and to see "real time" data on how much time and money has been spent on an individual matter, case, project, etc.

Entering time is quite simple, but can be made virtually effortless with our Timeslip Templates that come with everything filled in except the data you wish to have the user add each time. Specific timeslip templates may be assigned to certain document assembly functions where desired. Timeslips can be made at anytime, whether inside a matter or not, and there are one-click timeslip buttons in the documents and notes screens to facilitate granular timekeeping if desired.

There are two customer-defined drop down lists per timeslip for recording Transaction and Sub-transaction codes and full support for the ABA's UTBMS codes is provided.

Time may be kept in various increments, including "actual" and default hourly rates may be used based on timekeeper, matter/case, funding source, or any combination of two of those three.

Timeslips are available as components of linked-action workflow and workflow Plans to help remind staff to enter time when certain events occur or are completed. PM may be set to prompt users to enter time when they close each matter and an auditable electronic record of the actual time captured by the timers is preserved if desired.

Time and expense information may be printed for submission with fee requests and the Legal Services Module's Payroll Report generates in 3 seconds a complete report of all time by timekeeper broken out by funding sources of the matters worked on in the payroll period.

Development is planned for expanding customizability in this area.

31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

Practice Manager's Workflow system is the best there is. Whether using simple "linked action" items (where PM pops up a pre-written email Template when a court event is marked "Completed," e.g.) or complex chained-event workflow Plans (such as for monitoring pro bono cases or guiding a litigation file through a meandering scheduling order, e.g.), the true power of a practice management system like Practice Manager becomes apparent when the software begins to perform tasks that previously required the user to *remember* something.

Every appointment, task, court event, phone call event, and critical date created in Practice Manager can have up to 3 tickler dates, a "mark critical" date, and a separate pop-up reminder. Each can be assigned to any number of individuals, each with his or her own level of responsibility, including those who merely require notice of the item, but are not responsible for carrying it out or attending.

Group calendars, court-specific dockets, litigation schedules, etc., can all be generated from the normal calendar items created by your staff every day. Other XML-generated html reports can be emailed to recipients outside your system if needed and staff resource utilization reports are provided with the Report Designer/Viewer module at no extra cost. Use these to see how busy your staff members are and what occupies their time or to project into the future what your staff resource needs will be based on various trends in demand and acceptance types.

Drop downs are customizable by the customer to help with sorting and reporting and "templates" are highly-recommended (where most if not all of the fields are already filled in for the user) to save time and typing.

Beginning in late 2003, calendar items created in Practice Manager's WorkFlow Calendar can be automatically exported to Microsoft Exchange to appear in the related users' Outlook calendar and changes to the items made in either Outlook or PM will automatically update the other.

Similar bi-directional calendar integrations are due in 2003 for Lotus Notes and 2004 for GroupWise.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

If yes, describe:

Use the Outlook conduit to pull your appointments and contacts from Outlook to a Palm PDA or use RealLegal's own "PMSynch" conduit to get data directly from PM to your Palm, filtered to limit the data down to only what you need.

Each user may set synchronization preferences to customize the data that is synchronized.

33) Does the system have its own document assembly capacity?

If yes, describe:

Practice Manager is the only system to support true document assembly in all of these: Corel Word Perfect, Microsoft Word, Hot Docs, *and* Hot Docs FORMS. Our software is designed to handle data exchanges with those applications in a manner that is compliant with their programming. This ensures that the process will work when you need it.

Data in the PM database is available for "mail merge" insertion into document templates in Word, WordPerfect, and HotDocs, including data fields that you add to

the PM system using our included FormsDesigner tool. All mail merge features of Word and Word Perfect (such as nested "if-then" conditionals and keyboard interrupts to ask users questions not found in the database) are available because Practice Manager *uses* these applications to their fullest capabilities.

By automating the assembly of routine documents, including letterheads, pleading captions, certificates of service, fill-in forms, etc., you save precious time for your staff. Cut the time down to whip out a Request for Protective Order, Draft Order, Petition for Relief, and Supporting Affidavit to about 15 seconds—the time it would take most people to find the last version they used so that they could pull it up to edit for their present needs.

Standardized language helps protect the firm as well as the lawyer. Make sure your staff use the "official" versions and simplify maintenance of those form documents by putting them—saved in Word or Word Perfect, not some database language—into the document assembly system where authorized document assembly managers can access them anytime they need to make a change (such as to add a logo to the letterhead or change the area code on the firm's address).

This feature set includes a tremendous amount of customer-driven customization. RealLegal will train your staff, if desired, on how to (a) add new fields to the system, (b) create new document assembly components, (c) use the new fields you have added for document assembly, and (d) keep the document assembly components up to date and compliant with funding restrictions and law changes. Each document assembly set can be tailored by law category, law type/problem code, and even specific authors. Every user can have what appears to be personal letterhead, custom-fit to include email address and direct phone number and extension. Each office can have a different version of the same letter head with appropriate addressing for the staff in that office. Individual special projects can have their own letterheads and form documents as well.

Once the components are set up, entire packets of documents can be connected into one automated assembly set where the user picks the packet from a list, determines the answers to any variables required, and clicks "Generate Document." This can be done with as few as two clicks of the mouse.

There is no limit to how many document assembly components can be created and maintained in Practice Manager.

Continuous enhancement of this area goes forward so that Practice Manager can keep up with developments in Word, Word Perfect, and Hot Docs applications.

34) Does the system have a contact management function?

If yes, describe:

Practice Manager's built-in "CRM" features go way beyond simply recording names, addresses and phone numbers. Who is related to whom and in what way? Connect the dots for the benefit of the rest of your staff when you learn that the judge's husband sits on the board of the landlord corporation and the bar president's brother is a senior partner in the largest non-pro bono firm in town.

PM can store an unlimited number of addresses and phone numbers for each contact, relate "parent" and "child" records to help manage those addresses, store notes and comments about particular contacts, and show the user all related documents, matters, contacts, timeslips, notes, email, and calendar items.

The addresses come in handy when sending bulk mailings. Practice Manager's "Mailing Lists" and "Entity Mail Merge" help staff send fundraising, legal update, volunteer opportunities, and general information with a few clicks of the mouse. Whether sending a single letter with multiple addresses or a separate letter for hundreds of addressees that *looks* like it was personally addressed, users can rapidly generate the correspondence they need and have the printed envelopes or mailing labels sorted by zip code or alphabetically by name.

As more information is entered into the contact management area, more "knowledge transfer" occurs between staff than ever before, especially those separated by walls, halls, and highways.

Development of the CRM features in Practice Manager is continually occurring.

35) Does the system have a document management function?

If yes, describe:

Practice Manager began its life as a document management tool in a massive environmental tort litigation matter. Document management has *always* been part of Practice Manager's core features.

To add a document to the DMS, the user simply creates it in Practice Manager or drags it in from Windows Explorer or an email. Document Profile Templates can take away all the typing needed to profile the document and index it. When the profile is saved, the document is actively linked to the selected matter.

Documents created in Practice Manager or dragged and dropped into specific matters from other sources are *automatically* added to the firm-wide document management system. Full-text searching as well as profile searching helps users find documents previously created by experts.

Documents in the DMS are, to the extent the user is granted rights to do so, available for copying, emailing (with 2-3 clicks and NO searching around for an attachment), versioning, etc.

Version control, edit locking, and other security features help preserve those "best practices" documents that the firm determines will be good resource documents for staff. One document may be linked to any number of matters to allow group case files to remain up to date without multiple copies of the same document (that can cause a document management headache!) or multiple acts of relating one document to multiple matters.

When a document is emailed from inside PM, the email is automatically saved in the matter without further user effort.

Electronic court reporter transcripts are launched (just like other documents, spreadsheets, slideshows, database files, outliner/map files, scanned images, audio clips, etc.) with a double-click on the item.

Development of the DMS feature set continues to progress as the needs of our customers change. RealLegal released the DOCS OPEN integration in 2002, enabling customers who use PC Docs and DM5 to continue doing so without sacrificing the huge benefits of having documents profiled and creatable within the electronic matter files. In 2003, RealLegal will release Practice Manager's integration with iManage. Other litigation support tools like Binder, Summation, and iPRO are compatible with Practice Manager's document management system.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe:
Filtering and querying the database is broadly supported. Saved filters and queries ("reports") can be saved for firm-wide or private use. Every data field in the database, including those added by the customer using FormsDesigner, can be used as filter criteria.

Users will soon forget that they are "running reports" because the ability to get the data out that they need has been demystified and simplified for everyday use by everyday legal staff. And for those who just still don't get it, "reports" can be created and saved for them to use with a click.

Late in 2003, RealLegal's ReportDesigner 2.0 will be released with featuring the drag-and-drop-style of creating report templates on any available data field in the database. These XML-generated reports can have multiple layers of relational data and are simple to create by staff with no any formal database training.

ReportDesigner 2.1, scheduled for 2004, will enhance numerous options such as scheduling for automatic distribution.

37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe:
The Legal Services Module contains a CSR Report for generating the cross-tabbed report most LSC-funded programs need. All spreadsheet-style reports ("listings" or "grids") may be printed or exported into several file formats such as Excel for further manipulation. The ReportViewer/ReportDesigner module comes with over 20 canned reports including graphs.

RealLegal's professional staff can add templates to each customer's system at any time on a case by case basis to provide additional customized reports if needed.

❖ **General Usage Attributes**

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe:

Refer to the Document Management System comments above for more details, as this is simply a part of that system.

Full text searching is supported for any document that has an ASCII text component, including searchable pdf documents. Documents may be scanned directly into Practice Manager using our included software. The included TIFFView and ImageView software supports various document image formats.

Email is not automatically included in either the document or FTS systems. Email is generally stored in Practice Manager by default in its native format: email. Users may convert the email to documents to incorporate them into the DMS and FTS systems, or paste email text into notes, if preferred.

Scanned images may be annotated using Document Annotation screens designed by the customer using FormsDesigner to capture data, color code, etc.

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

If yes, describe:
Practice Manager captures the following in each data table in the database: creator ID, created date/time, revisor ID, revision date/time. Practice Manager's Keystroke Auditing Engine can capture EVERY change to the database, including the "before" and "after" values on the tables the customers chooses to audit. The selection of tables for auditing is customizable by the customer. The ability to access the audit settings and results can be restricted if desired.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe:
Practice Manager is the only CMS software to be "BackOffice Certified" by Microsoft. That assures our customers that Practice Manager appropriately interacts with all Microsoft Office applications such as Word, Outlook, SQL, etc. Whether making OLE calls to other applications or sending data to them, Practice Manager uses industry-standard API interfaces to ensure that the user's work is not lost or disrupted by poor design.

Any SQL reporting tool can be used to collect data straight from the SQL database. These include Business Objects, Crystal Reports, and MS Access.

A partial list of the certified integrations for PM 8.7 is below. A similar list is expected for PM 9.0 scheduled to be released in October 2003, updated to reflect changes in the supported versions of each third-party application.

APPLICATION TYPE	PRODUCT & VERSION SUPPORTED WITH PM 8.7
Remote Connectivity:	Terminal Server 2000 Citrix Metaframe 1.8 Citrix Metaframe XP
Word Processing:	Microsoft Word 97 Microsoft Word 2000 Microsoft Word XP Corel WordPerfect 8 Corel WordPerfect 2000 (9) Corel WordPerfect 2002 (10)
e-Mail:	Microsoft Outlook 98 Microsoft Outlook 2000 GroupWise 5.5 GroupWise 6.0
Accounting:	Juris Export LegalVision 11
Utilities:	RightFax 8.0 PaperPort 7 PaperPort 8 TextbridgePro 98 TextbridgePro Milennium ImageControls 3
Other:	Hot Docs 5.x
Printing:	HP5 Printer located off of a Windows 2000 Print Server (Other "HP-compatible" printers work; specific testing suggested.)

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

If yes, describe:

Practice Manager is the same software whether it is used on a local network or via remote access connection and it has always been "Citrix compliant." There is no scaled-back Web or ASP version. We test and certify our own software using the currently-supported versions of Citrix so that our customers can be sure that their software will work no matter how they get to access it.

Our own staff and our current customers, including legal services organizations, law firms, and large corporate legal departments, use Practice Manager daily via remote access. Most use Citrix Metaframe running on top of Windows Terminal Services, but some use Terminal Services alone. The Citrix "client" functions as a Web Browser of its own. Our corporate ASP customers access their Practice Manager and other software by launching them from links in the ASP Portal (we use Citrix NFuse for that system). These users simple log into the ASP page using Internet Explorer.

Citrix embeds its own encryption, along with user ID and password-protected access. Practice Manager contains its own ID and password protection as well. The benefit of a Terminal Services-supported connection is that users get the full range of functions via remote access (document assembly, drag-and-drop document and email importing, quick-send email, double-click launching of other software like PowerPoint, Excel, Quattro Pro, etc.) that they have when connected to the network. The added benefit of using Citrix is built-in encryption of data transmissions and automatic linking to the supported printers at the user's remote location.

Virtual private network (VPN) connections are often used to carry the security burden for TCP/IP and Terminal Services connections from off site. These can be used directly through the Internet, shaving data line costs as well as removing the need for Citrix software.

Each of these connection methods ensure that the user has appropriate access to the full suite of applications used with and within Practice Manager, including word processing, groupware, and other integrated applications.

With each release of Practice Manager, including 9.0, more and more "web services" features are added. Development will continue as the underlying technologies permit expansion of "browser-accessed" features without sacrificing the broad and deep feature set that our customers have come to rely upon. As anyone who has worked with "purely web-based" software can attest, the user gives up many functions and features in exchange for that type of access today. Where document assembly, budgeting & forecasting, and other robust functions are desired, the underlying technology has yet to

mature to the point that all of those functions can be delivered without a Citrix or Terminal Services client added to the browser.

42) Does the system enable users to access multiple records at one time?

If yes, describe:

Absolutely. How else can staff work together on the same screens? With some records, the user is alerted if another person has made changes prior to an attempt to save. With documents and other files in the DMS, the user is alerted when someone else has that file open and given an opportunity to open a "read only" copy, wait for notification that the original has been released, cancel the request, or open a new Version. With most, multiple users in the same screen will not even know others are present. Practice Manager has always worked this way.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe:
Practice Manager sees clients and matters as separate items. One client can have many cases, for example. One matter or case can have multiple clients or other contacts related to it. Such is life.

Our "fully normalized" data structure is designed so that data exists in only one place, thereby reducing the amount of work needed to keep data current and eliminating the problems of conflicting multiple data records.

All matters related to one contact (client, e.g.) may be listed with a click.

44) Is there a limit on the number of modules that can be run simultaneously?

If yes, describe:
No.

45) Is there a limit on the number of simultaneous users?

If yes, describe:
Only limited by the number of licenses purchased by the customer. "Concurrent Access Licenses" are available to permit volunteers, clients, and other outsiders to have restricted access to limited information in their own matters. "Web users" (board members, funders, partner agencies, e.g.) do not need a license to access specific online reports the organization authorizes them to view.

46) Does the system allow programs to control user access?

If yes, describe:

If by "programs" you mean the customers, the answer is "yes." There are three primary layers of security and the user-level is the most flexible, allowing any combination of over 250 separate functions and powers to be assigned or restricted by user or user group.

If by "programs" you mean other software, then the answer is "sometimes." Practice Manager works with Windows NTFS, for example, to provide greater security on the back end, so to speak, outside of Practice Manager. When linked to other software like PC DOCS, the Practice Manager user must have authorization to use the other application or features that are integrated with Practice Manager may not work.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe:
If by this question you mean "can programs put in codes for what they want to track, so that they know which cases and matters are linked to which staff members, funding sources, what outcomes were achieved, etc, and can run reports on those variables?", then the answer is a definite "yes."

Practice Manager is designed to move "codes" back into the realm of the computer, letting users work with words. For example, no longer will your staff have to memorize (or keep a look up sheet for) the "code" for a Child Support case. "Child Support" begins with a "c", not a "3". Your intake staff will save time by typing to the nearest match on the pick lists, using intuitive language rather than programming shortcuts that make the user do the work for the computer instead of vice versa.

Although each customer retains the right to preserve its endearing code sheets, they are not necessary. Yet, reports will work the same because the "code" is stored behind the scenes and the database queries can be run on either the Code or the Description the user sees.

As for what information can be tracked and reported, Practice Manager permits a tremendous amount of flexibility and customization. Out of the box, any data field can be used for reporting and cross referencing for data reports. Fields that are added by the customer can be marked as available for filtering and reporting (and document mail merge if desired) as well as whether they will be available as new column choices for the user's grid ("listings") for that data type.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe:
In several places throughout the core Practice Manager and Legal Services Module interface, pick-lists help reduce typographical errors. For example, instead of giving intake staff a free-text field for Income Type, the customer can lock down the approved income types in the Admin Console so that one person does not type "Employment"

while another uses "Work" or "Wages" for the same thing. Those also speed up Intake processing while improving data accuracy and reporting flexibility.

When new fields are created by RealLegal or the customer using FormsDesigner, the option exists to create "open" and "closed" pick lists in lieu of free text fields. New fields may be made "mandatory" if needed, to prevent incomplete records.

Queries can be run to search for text strings and even blank fields to help with identifying errors or omissions.

Practice Manager's built-in spell checking feature may be used on any text field in the user interface and may be set to automatically spell check notes.

❖ **Management and Support of Cases/Matters/Activities**

49) Does the system determine eligibility based on different variables, including:
   a) Income
   b) Age
   c) Geographic location
   d) Citizenship status

   If yes for any, describe:

   Yes.

   a) Practice Manager's Legal Services Module supports up to 5 different family-size based financial eligibility schemes (the LSC 125%-187.5% system is one "scheme") for income and assets. Others may be added as customer demand develops. Eligibility is checked automatically based on the financial information entered.
   b) Practice Manager's Legal Services Module has automatic age-based eligibility checking, such as for Title III eligibility.
   c) Practice Manager's Legal Services Module allows geographic eligibility checking by County of residence as well as "Matter County"—the place where the legal issue must be addressed.
   d) Practice Manager's Legal Services Module requires an entry in the Citizenship status field before Intake can be completed.

   Development of the Intake and Eligibility features is an on-going process. Frequent changes are made as the needs of our customers are identified. In 2003, the ability to add unlimited additional Income Source and similar fields will be added, for an example, as well as the ability to break down Citizenship by INS regulation. More enhancements are expected throughout 2004.

50) Does the system flag exceptions for eligibility that require further consideration?

   If yes, describe:

If an intake person wishes or needs to flag an application for supervisor review, he or she checks a box to so indicate. The system automatically stores in non-editable form that user's User ID. When a supervisor rules on the request, that supervisor's User ID is also recorded in non-editable form. Supervisors may choose to add the "Request Permission" flag column to their Matter Listing (grid) to watch for requests by their supervisees, or simply generate a quick report on the applications in a specific time period where a flag was set by a specific staff person. A small text field is provided for eligibility-specific comments.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe:
Practice Manager's Legal Services Module supports up to 5 different family-size based financial eligibility schemes (the LSC 125%-187.5% system is one "scheme") for income and assets. Within the CRM features that can be implemented for keeping information on other service providers, each customer can add detailed information to help intake workers identify the most appropriate referral(s) based on factors like zip code, phone exchange, county, city, type of services provided, eligibility criteria, etc.

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe:

Practice Manager uses the Matter Status function to empower users to describe the actual current status of each matter from the time it is opened through closing. This status list is customized to the needs of each customer and can be as simple or granular as needed. Each list of status labels is filtered by the law type/problem code of the matter so that only choices that are relevant to the type of matter are presented to the user.

Within the WorkFlow Plan automation options is the ability to have Practice Manager update the status field when certain activities are completed. For example, if the status is "Awaiting Call-back," the system can be set to automatically change to "Call-back Completed" when the user marks the Call Back task as completed.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe:

Practice Manager has several automatic and manual options for checking for existing data in the database.

a. Intake. In the Legal Services Module, the Intake Sheet program uses automatic record checks based on any data entered or changed in the SSN, Alien No., and Last Name (or Company Name) fields for the Applicant, Spouse, and Adverse Party.

These are automatic and provide several levels of look-ups to help the user quickly review additional data in the system to make the determination as to whether a conflict of interest is real or even likely. "Wildcard" searching is supported.

There is an "Additional Party Conflict Search" feature in the Intake Notes screen for rapid searching on names that may come up during the main part of the interview. This look-up feature lets the intake person stay on one screen during the substantive interview.

b. After Intake. Within Practice Manager's core features is the Contact Relationship Management system that lets users search for matches using type-to-match and "wild card" searching for existing records using any field (first name, last name, address, SSN, phone number, etc.) in the contact record. All related data (cases, documents, email, appointments, etc.) is presented in one "tree view" screen for detailed assessment of the potential conflict of interest. If the user omits that step and seeks to create a record that matches one already in the system, a warning box pops up to alert her to the existence of the prior record.

In the event a duplicate Entity (Contact) record is created, either by importing data from another system that does not distinguish between Clients and Cases, or by user error, Practice Manager's Entity Merge tool allows the system administrator to fold one into another, filling in missing data and preserving all related data for both.

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe:

Although arguably Practice Manager's most powerful feature, WorkFlow Plans look like simple outlines. These outlines may be built using any combination of questions, answers, and functions desired and set up to only be available as choices based on the law type/problem code and or court/tribunal to which the matter is assigned.

These automated linked-action work flow management Plans assist staff who are unfamiliar in areas of law or in assessing eligibility for narrowly focused projects. When the user selects an answer, then the next question or the resulting action depends on the answer selected. Branches of these Plan outlines can end with rejection or referral letters, acceptance packages, pro se forms, informational flyers, or even other Plan outlines. Along the way, Practice Manager may generate email, notes to the file, and documents, or change the status of the matter as appropriate. The Plans are assigned to and stored in the Matter for historical records, along with the answers and any work items created automatically during the course of the Plan. There is no limit on the number of WorkFlow Plans that may be used in a single matter and one Plan may even

call for the launching of a subsequent Plan to continue the interview or information gathering or even to move into the case management phase.

Another option for interview guidance is the Note Template. These note forms can be formatted with questions, with spaces for free-text responses, as well as information and instructions that the user may consider providing during the interview. There is no limit on the number of Note Templates that can be saved in the system or accessed in the Matter. Once the Note is saved, it becomes a part of the Matter. Note Templates may be used with and without WorkFlow Plans.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe:

Yes. See answer to question 54.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

If yes, describe:

Practice Manager's Document Assembly features support an unlimited number of form documents in Word, WordPerfect, Hot Docs, and Hot Docs Forms. Every one of those can be restricted to a limited set of one or more law type/problem codes and authors, if desired. There are more options for limiting a user's choices of document assembly forms that are based on the customer's document management system settings. When set up as "mail merge" forms in Practice Manager, the user's selected word processor will populate all appropriate fields in the document or form using data from the Practice Manager database, even data from fields that the customer adds using FormsDesigner.

For form documents that are not set up for auto-assembly, Practice Manager's Document Management System features enable customers to establish "banks" of resource documents, categories of "form" or "key" documents, and even matter folders for grouping forms by project or other criteria. Every document that is added to Practice Manager is automatically included in the firm's document banks with no extra effort by staff. Comment fields and other options provide the means to "rate" forms for relative value and issues (substantive, factual, procedural, etc.) included, all of which help other staff find these resource forms when then need them.

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe:

Volunteers, pro bono attorneys, and other "outsiders" can have access to the matters you permit them to access, and the powers to perform the activities you permit them to perform, based on the customer's policies and procedures for these outside users. The same matter, document, time, contact relationship, communications, and workflow management tools are available—to the extent granted to them—as to in-house staff.

In-house staff have the full set of Contact Relationship Management and project management tools available to manage volunteers and other projects from recruitment to award ceremony. As described in other responses throughout this questionnaire, WorkFlow Plans can automate the follow-up and monitoring routines for pro bono cases, calendaring features help plan projects and assign staff and volunteers, timeslips track volunteer time, CRM tools keep contact information handy and useable such as with batch mailings, document assembly and document management features support volunteer and pro bono-related form documents, and communications management tools help keep track of email and other groupware interchanges. FormsDesigner can create a large variety of new screens and fields to help with tracking additional data that is not included in Practice Manager or the Legal Services Module.

The Legal Services Module includes special features for keeping up with and assigning pro bono volunteers to matters as well as printing phone call lists for various purposes.

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe:

RealLegal does not provide substantive content, as this is most appropriately developed by the customer's internal and affiliated experts. Our professional staff can assess all data resources in use and present options for relating or importing that data into Practice Manager for the customer to consider.

Further, online resources may be linked with a hyperlink from several locations in Practice Manager to help assimilate resources for your staff to use.

Software like GIS mapping tools that can be used with Microsoft SQL databases are compatible. RealLegal's professional staff can work with customers on the details of our data structure as well as suggestions for configuring them to meet the customer's needs. In addition, we provide an html version of our data dictionary to assist with reporting and other direct links to the database outside of Practice Manager.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

If yes, describe:

Not at this time. Although such reports can be built in Access or Crystal Reports, RealLegal's scheduling service for the forthcoming ReportDesigner 2.0 will not be released in 2003.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

If yes, describe:

Practice Manager's PMRemote lets your advocates take their electronic matters and all the data in them out of the office on a laptop. This lets them take cases to court or other litigation events with a full-featured version of PM (limited only by the integrated software applications that are installed on the laptop). When they return, they can synchronize their "contemporaneous" timeslips. Another use for PMRemote is to enable your clinic management staff to take a copy of the Entity database with them offline for conflict checking in the field. No more waiting for days or weeks to process off-site applications only to find a conflict of interest prevents services.

Practice Manager's DMS includes its own imaging software. All your staff needs is a local scanner and Practice Manager to create scanned images of photos, maps, plats, and other documents and exhibits. Once scanned, the document can be annotated using the annotation forms created by your organization.

When bundled with RealLegal's electronic transcript management tool, Binder, Practice Manager becomes even more powerful as a litigation support system. Binder includes its own software for creating searchable OCR'd scanned documents, but its strongest use is to manage multiple electronic court reporter transcripts. For example, if a group of transcripts is organized into a single Binder project folder, Binder automatically indexes, cross-indexes, and hyperlinks every word in each transcript and creates simple navigation tools for finding specific words, exhibit references, speakers, and other details in the transcripts. All the user has to do is "drag-and-drop" the eTranscript into Practice Manager and add it to the primary matter's documents list. When she double-clicks to open the file, Binder pops up and starts to work before she sees the first screen.

Several other modules and functions are listed above under question 12 that are not fully described in this document. Additional information available upon request.

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe:

Practice Manager functions well as a support tool for hotlines. The online Intake screens help operators rapidly process eligibility screening (some users quickly get to the level of

only needing 3-4 minutes to gather all essential eligibility data on a new applicant) and collect case acceptance and assignment details so that a call back is not necessary (or second call back).

Practice Manager's "progressive status labeling" feature allows every authorized user to quickly see the present status of any application or accepted case. This status label can be linked to specific check-list tasks so that is automatically updates as the case work progresses. An application that begins in the status of "Awaiting Call-back," for example, can move into "Call-back Completed" when the user marks that step completed.

Further discussion on the interview guidance and related features is provided in the answers to other questions above.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe:

See the response above to question 57.

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe:

Although RealLegal is expanding the functionality in this area in future versions, there is presently a lot of functionality already. There is no limit on the number of attorneys that can be assigned to Matters. Each assigned attorney is assigned one or more Roles. If a "Lead Attorney" becomes a "Former Staff," for example, all the user need do is open the Entity record and change the role in that matter. This has no impact on the data created by that former staff member such as time and notes. When connected to or used with an email template, the notice of case reassignment can be sent to the new "Lead Attorney" with an email that was pre-written for that situation and is automatically stored in the Matter to provide a record of the reassignment.

When a staff person's role in a matter changes, that matter would automatically appear on the newly assigned casehandler's case report.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe:

Without exception, our legal services customers report satisfaction with their ability to "electronically supervise" their supervisees—especially if those people are scattered between multiple locations. Supervisors are usually given extra functions to help them keep their staff and the data created by them in compliance with funding restrictions and guidelines. The "manager" version of Practice Manager's Desktop has a compliment of

Practice Analysis quick reports to let any authorized manager see, for example, all matters with no timeslips in the past 30 days or matters with past due Critical Dates.

Another useful feature is the ability to process electronic referrals between organizations on the same system. Selected Intake supervisors or staff can be given specific rights to "push" a referral to another organization or "pull" it from them upon clearing the conflict check process.

❖ **Office Management/Administration/Resource Development**

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe:

One feature that many of our customers' staff like is the Payroll Report. Included in Practice Manager's Legal Services Module, this canned report prints out the user's time, broken down by funding source, with leave time segregated by category. All the user does is run the 3-second report, print it, sign it, and turn it into the supervisor.

Practice Manager's time and expense data can be printed in "invoice-style" reports right from inside Practice Manager for fee requests or cost reimbursement requests. The data can also be exported in a large number of file formats compatible with popular accounting software (including delimited text).

Practice Manager also has standard "two-way" integration modules for connecting PM to Elite and Juris law office accounting software and our patented DataPipe can be configured to "pump" time, expense, matter, and client/fund data to and or from accounting packages of almost any kind.

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe:

RealLegal Practice Manager's Legal Services Module is set up to currently handle up to five different family size based financial eligibility criteria schemes. Based on the automatic eligibility checking that Practice Manager performs when the user enters income and asset information, the user is able to immediately see the "Funds" under which the applicant is eligible and assign the application accordingly. If that assessment turns out to be incorrect or change, the fund assignment is very easy to update if the user has the system powers to make that change.

67) Does the system maintain project/grant information?

If yes, describe:

Practice Manager approaches this differently from most software. In Practice Manager, every funding source, account, and project has its own Entity/Contact record. This gives your project managers the full slate of Contact Relationship Management and other features that the rest of your organization uses to manage relationships and information. Whether it is a list of funding restrictions, the amount of your last request and award, or the date your organization can next apply for funding, you will be able to store and report on more data than ever before.

Most of our customers also set up Project Management folders for each grant and project. These are useful locations to store documents, forms, and other information related to a single funder or initiative as well as to bill time that should billed to the "matter services" category.

Because these features and functions are essentially the same as the other Contact and Matter features, users need no special training to use them.

68) Does the system enable user to maintain donor information?

If yes, describe:

Practice Manager's Contact Relationship Management features give your development staff the tools to manage names, addresses and phone numbers, as many other products do. Beyond that, you can record specific information on individuals, group them on one or more mailing lists, connect related contacts together showing the type of relationship between them, and record donations, pledges, and payments.

For more custom data collection, FormsDesigner provides the tool for adding additional screens for both the Donor's contact record and the fundraising project Matters that your staff will use to manage development work. For example, record the dates of next eligibility for applying for a grant, or the giving history of each past donor and the type of solicitation that produced each response.

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe:

One of the new features added to the Legal Services Module in 2003 is the "loader" utility to let Intake staff pull XML-tagged data from a web-based data source. This gives the immediate benefit of being able to import intake data from another organization without retyping it (for use with referrals). This utility can be customized to fit the needs of any similar system for processing electronic referrals (assuming XML-based).

Future development will expand this functionality and add the option to "publish" intake data in an XML-compliant format.

70) Please provide any additional information about your CMS that you would like us to have.

RealLegal Practice Manager is the only Microsoft BackOffice Certified practice management solution on the market today. Practice Manager brings you the industry's leading software technology, load-tested to support over 1500 concurrent users, and backed by over 100 professionals who are continuously working to help you improve the way you work. Our company has a continuous record of quality service, products, and support over 20 years. RealLegal's commitment to the nonprofit legal services sector dates back to 1996 and continues today as well over 800 legal services staff rely on Practice Manager every working day to help them help their clients more effectively and efficiently.

Whether for a large, multiple office regional or state-wide organization or a consortium of smaller projects who pool resources to gain the tools they could not individually afford, Practice Manager is built to serve your needs reliably.

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Innovation Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

This survey for developers is the first step in the review.[1] We would appreciate if you would answer these questions about your system and return the completed survey to us by August 25, 2003. Simply type the answers into this survey and send them via email to Cotter and Gordon. Our next step will be to view demonstrations of each CMS. Finally, we will interview CMS users at various legal services programs to learn how well the various systems are meeting their needs.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

❖ **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

   West Publishing Corporation, dba, ProLaw Software
   1520 Tramway NE
   Albuquerque, NM 87112
   (800) 977-6529
   (505) 889-9538 fax
   www.prolaw.com

2) What is the name of the case management system, what versions are available, and what was their release date?

   - **ProLaw Software**
   - **Version 7 – release date 1998**
   - **Version 9 – release date 2002**

[1] Many of these questions were developed by Kathy Daniels, Statewide Legal Services of Connecticut and Michael Alexander of Southeastern Massachusetts Legal Assistance Corporation.

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

Jonathan A. Jochem
1520 Tramway NE
Albuquerque, NM 87112
(800) 977-6529
(505) 889-9538 fax
jaj@prolaw.com

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

ProLaw was founded 15 years ago by William F. Bice. Mr. Bice is a software developer and was the primary programmer for ProLaw Software.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

ProLaw has 170 full-time employees. Our employees experience range from software development, quality assurance, attorneys, paralegals, project managers, consultants, accountants, and support representatives.

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

ProLaw is a part of the Thomson Corporation. Thomson Corporation is a privately held company.

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

ProLaw is part of Thomson Corporation and all financial information can be found at: http://www.thomson.com/corp/investor_relations/ir_annquarterly_reports.jsp

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

ProLaw has over 1,100 clients internationally ranging in size from five-user law firms to 2,400-user governmental agencies. Legal Assistance Corporation of Central Massachusetts is currently using ProLaw and has 35 seats.

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

There have been no complaints against the company which resulted in litigation.

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

Here are a couple of case studies as well as links to others:

Dorminey & Cox
http://www.prolaw.com/dorminey.html

Sawicki & Phelps
http://www.prolaw.com/sawicki.html

Case Study: Working Better, Faster and Smarter

By Cliff J. Vanell

Arizona's Office of Administrative Hearings was born Jan. 2, 1996, at a modest cost, with only one month gestation and an electronic midwife in attendance.

OAH is an independent state agency responsible for conducting more than 2,000 hearings a year and set to increase by an additional 10,000 in July 1998 due to statutory expansion of jurisdiction. Hearings run the gamut of professional licensing issues across more than 40 state agencies, from contractors accused of shoddy workmanship to termination of water rights.

And, because of technology we have these capabilities:
We can get a call from a legislative ombudsman inquiring about a case, who doesn't have the case number but does have one party's last name. We can open our case management system, refer to an electronic rolodex and enter the name. Immediately, we will have a listing of all the cases in which that person is or has been a party. We then can point our cursors on any of those cases and immediately be taken to its electronic file.

From there, we can review the docket events of the case, automatically open the documents tracked by the system, and review the administrative law judge's decision. If we have a question, we can send an e-mail to the judge, automatically referencing the document. We can enter into the log the fact that the ombudsman telephoned with an inquiry, along with a reminder to call him back at such-and-such a date with additional information. And we never have to touch a "hard" file.

We also can track how long it takes to set hearings, how many days between the request for hearing and the first hearing date; how many continuances and the party making the request; how many days it takes to render decisions and transmit them to agencies for review; or, compare the administrative law judge decision and final agency action. Let's say we want this information within a certain date range, and by a certain type of case, or handled by a certain professional.

It is important that we have this information readily available because the legislature's purpose in establishing the OAH was to create an independent body that holds hearings more efficiently, and is more consumer friendly.

Because the OAH was developed by identifying employees scattered among seven agencies, it was necessary for the agency to develop an effective automation system quickly. Limited support staff made office automation a priority. Statutory requirements of reporting and scheduling made calendaring and tracking essential. Limited time and money meant no resources for elaborate training programs.

Our 23 administrative law judges and 18 staff in two offices around the state do not have a secretary but they do each have a desktop computer running Windows 95 networked together with two NT servers and two Novell message servers. Case management and time tracking is done in ProLaw. We had data collected from other sources, such as address lists, imported into ProLaw as part of the initial set-up.

We use Word 7 for word processing, integrated with ProLaw as our document management and assembly system.

GroupWise 5.2 provides our calendaring and e-mail. Hearings entered into case management appear on the appropriate calendars in GroupWise automatically. Our two Novell message servers exchange e-mail between the two offices twice a day.

Our automation has allowed us to completely reconfigure the support staff function. Since most of the preparation of pleadings has been automated, with the exception of the decision, which is now drafted by administrative law judges directly into the prepared templates at their computers, support staff has been freed to do other important work, including customer service and documentation.

Many of the administrative law judges were concerned about the loss of secretary support. However, everyone has found that they have been empowered by having the work product directly under his or her control. No more waiting for typing, no more lag time between drafts. With autotext in Word, most judges have streamlined their own writing.

We freed both our professional and support staffs. We made communication among them easier. And I am now able to track what is happening within the agency. Most of all, I am able to cost-effectively give my staff and myself the tools we need to do our work better, faster and smarter.

Cliff J. Vanell is the founding director of the Arizona state agency, Office of Administrative Hearings, who has served as a prosecutor, defense attorney and judge. He became interested in case management and office automation while in private practice. He can be reached at oah@getnet.com.

A Destination Well Worth the Journey:

2.12.2004

A Destination Well Worth the Journey:
Implementing ProLaw's Practice Management Suite-
Two Firms Discuss Their Approaches to the Process

Anything worth doing is worth doing well – the first time. And if you're going to bother, you might as well plan for the long haul since change of any kind, particularly that represented by wholesale workflow and business management upgrades, is not something you'll want to re-introduce unless absolutely necessary.

While few relish the project planning and end-user training required to implement sophisticated software across an organization as complex as their law firm, those who commit to all aspects of the process are seldom disappointed. The beauty lies in the details, and the benefits of adopting ProLaw far outnumber the minor inconveniences encountered along the implementation path. Two ProLaw firms share their implementation experiences.

Atlee, Hall & Brookhart, L.L.P, a Pennsylvania firm focusing primarily on medical malpractice, recently implemented ProLaw. Their CFO, Ken Miller, offers his perspective.

I have to say right out of the gate, the more time you spend up front preparing and consulting with the ProLaw team, the less problems you're going to have after conversion. We allocated adequate resources to this portion of our project, and now credit that allocation for how smoothly and error free the transition from our old system to ProLaw really went. I'd strongly encourage anyone else to do the same.

Having withstood extraordinarily painful implementations in the past, I was naturally very cautious when it came time for our firm to upgrade from our old system. Given that our former accounting system was inadequate for our needs, we knew that the software we chose would have to be particularly strong in that area. We also hoped for additional case management and marketing functionality, preferably within a single software package to minimize duplication of efforts and refine our workflow wherever possible.

We shopped carefully, performed all the necessary due diligence required to responsibly undertake the project, then settled comfortably into our decision. We knew ProLaw was the best choice, and looked forward to rolling it out.

Three rather monumental tasks faced us once we chose ProLaw. First, we needed to prepare for our data conversion. This represented the nuts and bolts behind-the-scenes work, which we all know is terribly glamorous (Not!), and generally a pretty big pain to manage. Second, we had the more abstract task of determining how best to set ProLaw up in our firm. ProLaw's inherent flexibility and customizability intimidate some, at first blush, but once you realize just how wonderful it is to have your practice management software doing *exactly* what you want it to do, that intimidation diminishes. We formed a task force consisting of representatives from all user group types-administrative staff, secretaries, paralegals, attorneys and accounting team users-to determine how best to proceed. Third, we needed to plan out our training strategy.

Both data conversion and set-up became molehills, not mountains, once we'd consulted with our team leader. She provided us ProLaw's pre-install questionnaire, which really helped us focus on relevant details. She also gave us an evaluation copy of the software so that we could really play with it and make some fundamental set-up decisions that would govern our business procedures and practice management as a whole. Training actually occurred in two phases, the initial training by user type, and then the follow-up which involved one-on-one consultation to help users gain greater knowledge and further customize ProLaw at the workstation level to best meet their preferences.

Data conversion flowed beautifully. We printed out screen shots from our old system, and then matched up corresponding fields within ProLaw. We opted to convert all of our contacts, but none of our accounting history due to questionable data integrity within the former system. This, in essence, created much more data entry in the initial implementation, but guaranteed the accuracy of what would serve as the foundation for our accounting records.

We set up a new chart of accounts, entered all checks and deposits for the year to date (January-September), and re-constructed and re-posted our monthly financials on a month-by-month basis. While this was certainly time intensive, knowing that we were really starting from scratch – the right way – made it all worthwhile. I have absolute confidence in our financials, which equates to peace of mind, something that we weren't able to achieve pre-ProLaw. In fact, we were so pleased with the quality of the data conversion, we chose not to run our old system 'in parallel', as we'd originally planned, which speaks volumes of our confidence in the datacon team and their work.

Set-up, then, became a matter of analyzing our existing business procedures, then translating those to preferences within ProLaw. To this day, our users continually manipulate their personal user interfaces to create a truly customized ProLaw environment, one designed for them, by them. Within the same departments, for example, even people who perform similar functions will most likely have their ProLaw screens set up differently. That flexibility has netted us happy users across the board, since each user knows how they're most comfortable working within the program.

Then came the **training**. We, as I mentioned, chose a two-phase training plan. Our trainer came out to our offices and worked with our evaluation copy of the software to train users in groups. This approach accomplished setting appropriate user expectations early on as well as focused sessions by job function. By the time our data was 'live', our users were very comfortable navigating within the program and were ready to apply their earlier lessons to their day-to day work. For subsequent training, we use the ProLaw Client Portal to access the training schedule, register for online classes and access archived classes on topics we need further assistance mastering. We also enjoy the online Help, and have found it to be comprehensive and informative, with just a little bit of humor thrown in to keep it interesting!

Yes, we had a whole lot to accomplish when we set out. Yes, we spent considerable amounts of time planning how best to achieve a smooth implementation and rollout. Have we achieved our goals? You bet! We're learning more each day about ProLaw's practice management capabilities, in addition to realizing greater efficiencies and effectiveness in our daily business processes. We feel our great success has come from simple planning and from committing to the project from Day 1. That commitment has netted us rewards which far outweigh any trivial inconveniences along the implementation path. Anyone seeking to launch

ProLaw would be well advised to follow suit, and know that the end is most definitely worth the means.

Linda T. Hollenbeck, a partner in San Diego-based Kimball, Tirey & St. John, shares her firm's experience.

Looking back over almost two years, I realize how quickly the time has passed and how much better our firm is running than before we started using ProLaw. The improvements have often been subtle, yet when combined they've amounted to vast benefits felt across our entire organization. Our practice areas include landlord tenant law, which comprise the majority of our work, collection law and business and real estate law and litigation.

Simple, practical functionality, applied across our practice, has netted us greater overall firm efficiency. We get this now. During our project planning, then subsequent rollout and implementation we tended to focus on the 'task du jour', though. There also were days when the project seemed daunting. And ironically, there were moments when we realized that the very reason we'd purchased as powerful a practice management tool as ProLaw – its ability to address a vast assortment of our firm's business needs in addition to providing our case management functionality – was the reason we'd feel a little overwhelmed at times. ProLaw is a powerful, complex product. That's why we opted to use it.

In essence, the more familiar we became with ProLaw as we implemented, the more ways we found to use it. For the first time our firm is using one practice management application – ensuring that all of our firm's data is uniformly entered, accessed and updated.

Another area we would encourage firms to really ponder is data conversion. We decided to convert everything – contacts, accounts receivable balances, billing history, all of it – in spite of ProLaw's caution to the contrary. We've spent a lot of time correcting and cleaning up data that came out of our old system, and will no doubt continue to do so for quite some time. It's possible that we could have done this a better way, such as cleaning the data ahead of time, or rethinking our mapping prior to the data conversion, but our history was and is extremely valuable to us and our clients.

In our case, numbers rule. Numbers like '21,000', which is the number of cases we opened last year. Or complex numbers like statistical breakdowns by department by account, every month. These, numbers, as well as multiple locations, play into our overall user equation. Our primary objectives when we purchased ProLaw have been met.

We're now able to offer technology to our clients that we were unable to deliver before. We are fully integrated, across-the-board, for the first time since our firm was founded. We've centralized our database reducing duplicate data entry, standardized our data entry methods via comprehensive training, and ensured firm wide access to all case information. We've connected all of our offices to each other and have rolled ProLaw out to all users. We're using ProLaw to help us manage the work associated with hosting annual seminars, including maintaining marketing lists, attendee statistics and all related details. We're producing our monthly bills through ProLaw, and due to our firm's practice diversity, we use standard time and billing as well as flat fee billing. We're generating an impressive number of management reports each day, which provide us a higher view of our firm as a business.

With five offices located across California, we rely heavily on ProLaw's ability to communicate across distance, and appreciate the software's ability to keep our data perpetually updated. The beauty of this connectivity was recently illustrated when we were forced to shut one of our offices down for half a day. We routed calls to one of our satellites and clients never knew they were calling a different location. Answers to their questions were already in ProLaw, so the office fielding calls was able to handle each matter without a hitch. We've set our site replications to cycle every half hour, at six minute intervals, so the oldest information in the system is 48 minutes from when it was entered, no small task considering the geography we're spanning. Seamless information flow within our system allowed business to proceed as usual in spite of extraordinary circumstances.

We're pleased to have come as far as we have. The set up, identification of natural workflow within departments, and training of personnel has been key to the process. Our staff has really shone during this time, and has made great strides in many areas. The fundamentals have been addressed, and now we're ready to move on to more advanced training and complex user issues.

We suggest that any firm considering ProLaw take a close look inward at their existing workflow, various business procedures, reporting requirements and preferred forms, then take the time to plan well, train your staff, and commit to the project. It may not be the simplest task you've undertaken as a firm, but it could well provide you the basis on which to make good practice management decisions for a long time to come.

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

ProLaw Licenses are purchased per seat and there is a discount based on volume. For 25 seats or under the purchase price is $995.00 per seat. There are no renewal cost; however, by purchasing an annual maintenance contract, the organization is entitled to all upgrades and support.

12) Describe the name and function of any additional modules and costs.

There are no additional modules or costs other than services for implementation.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

ProLaw releases updates to address issues found and to include new functionality. It is not necessary for all clients to upgrade if they are comfortable with their current version's stability and functionality. We release new versions on a quarterly basis.

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do

you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

Support and maintenance is generally available from 7:00 a.m. – 6:00 p.m. Mountain Time (except normal legal holidays actually observed by ProLaw). Emergency support is available 24 hours a day, 7 days a week, by calling (888) 777-6529. Additionally, staff is available for weekend software updates when circumstances require it. All support is provided through toll-free telephone and dial-up or Internet access to the client's system. ProLaw maintains a complete support and maintenance history for each client. We fully document all requests and maintain an internal knowledge base of all issues and solutions. All support contracts include software maintenance, which covers all software updates, all Legalex Rules, and all new versions.

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

Our clients enter into an annual Maintenance and Support Contract usually upon the last day of on-site training.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

Front Office Administrative Training

ProLaw offers a wide variety of training: Front Office Administrative Training and Custom Reports (two-day course) at our offices in Albuquerque. At the start of your organization's project we encourage you to send to the Administrative courses at least two staff members will be taking an active, decisive role in rolling out ProLaw. The Administrative courses offer the opportunity to see the entire scope of ProLaw that will assist these key staff members in deciding how to implement the software in your office(s). These courses can also be taught on-site.

Basic end-user training (Functional)

The ProLaw software is easy to learn and requires surprisingly little training time. The training will be tailored to specific functional areas most relevant to your organization and will be administered to your end-users.

Technical Support Staff

The proposal includes comprehensive training for technical support staff designated as "Technical Support Staff". These technical support staffs are the Counties' experts regarding the system, and provide the first level of support for end-users.

Administrators

The proposal includes comprehensive training for systems administration staff designated as "System Administrators". These staff would are the Counties' staff tasked to maintain and insure the proper running of the system. They System Administrators provide traditional installation, back-up, and maintenance tasks of the COTS platform.

Options for training the organization's users are:

Train-the-Trainer

In this approach ProLaw staff trains a group of your employees as "power users." These users represent each individual practice area and are users who will help the other users as the software rolls out. In addition, these will be the first users to have rights to design reports and document forms after the initial system design is complete.

End-User Training

If your organization so desires, ProLaw can conduct all training classes for your end-users. Depending upon the functionality your organization decides to roll to the desktop and various other factors, we typically recommend no less than two days of hands-on training for support staff.

Internet Training

Also, ProLaw now offers training via the Internet. As part of Virtual ProLaw University (VPLU) these courses (one to two hours in length) are interactive, real time, and are especially beneficial as the student can take the class sitting at their own desk without the travel expenses involved with traveling to Albuquerque or having a ProLaw trainer come on-site. Some of the classes offered focus on very specific areas of ProLaw thus providing the level of detailed instruction desired by key people in your organization. These courses are recorded and can be "checked out" by your staff to assist in their training.

Cost for on-site training is: $1,500 plus expenses.

17) Are there any user groups or listservs for your product? If so, please list.

ProLaw offers the ProLaw Listserv and the Legalex Listserv to all clients.

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

Installation of the software is included in the license pricing. Data conversion is based on the number of data sources and the quality of the data. ProLaw would need to

review sample data prior to presenting an offer for data conversion. Our basic user manuals are free with the purchase of the software. Custom reports and programming can be offered at a cost of $150.00 as needed..

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

ProLaw suggests that the client provide a ProLaw implementation team to get the project up and running. Initially this will take anywhere from 60% to 85% of their time. The team will be trained specifically in administration and configuration of ProLaw so that they can implement the project successfully and maintain the project after initial implementation. After implementation, maintenance requiress roughly 40% to 50% of time for the database administrator, depending on additional configuration needs.

20) What level of staff technology sophistication is desirable to use the CMS?

ProLaw suggests that the client assign a database administrator to the project. Knowledge of MSSQL or MS Sybase is preferable, but not required. This administrator will be trained by ProLaw in configuration and maintenance duties so that they can support the product after implementation.

Please describe the following:

21) Operating system(s) required for file server and workstation.

ProLaw Software is not in the business of selling hardware. As such, we can only provide you with our minimum and recommended hardware requirements for an implementation of your size and functionality. Any additional hardware requirements your organization may need to acquire can be done so through the vendor of your choice. Please see the next page for ProLaw's System Requirements. Additional information may be found our web site at www.prolaw.com.

If your organization does decide to implement ProLaw Software, it will need to provide ProLaw with pcAnywhere dial-in capabilities at its expense for the purpose of ProLaw's fulfillment of its warranty and maintenance obligations.

See our system requirements detailed below:

System Requirements for Version 9

Workstation	Minimum	Recommended
Normal user running Windows NT/2000/XP	PII 400 with 96MB or higher	PIII 733 or higher with 192MB or higher
Power user running Windows NT/2000/XP	PIII 600 with 128MB or higher	PIII 866 or higher with 256MB or higher
Database Server	Minimum	Recommended
5 users	PIII 600 or higher Windows NT/2000/XP Workstation with 384MB (512MB for SQL Server)	PIII 866 or higher Windows NT/2000/XP Workstation with 512MB or higher
10 users	PIII 600 or higher Windows NT/2000/XP Server with 512MB and SCSI hard drive	PIII 866 or higher Windows NT/2000/XP Server with 512MB or higher (768MB for SQL Server) and SCSI hard drive
15 users	Single or Dual PIII 600 or higher Windows NT/2000 Server with 512MB or higher and Ultra/Wide SCSI hard drive	Single or Dual PIII 866 or higher Windows NT/2000 Server with 784MB or higher and Ultra/Wide SCSI RAID
25 users	Dual PIII 600 or higher Windows NT/2000 Server with 512MB or higher Ultra/Wide SCSI RAID	Dual PIII 866 or higher Windows NT/2000 Server with 1 GB or higher Ultra/Wide SCSI RAID
50 users	Dual PIII 733 or higher Windows NT/2000 Server with 768MB or higher Ultra/Wide SCSI RAID	Dual PIII 1Ghz or higher Windows NT/2000 Server with 1.5 GB or higher Ultra160 SCSI RAID. MS SQL Server
Each additional 50 users		Add 1 CPU and 512 MB
Network	10 Base-T	100 Base-T
ProLaw Portal IIS Server	Minimum	Recommended

10 users	PII 233 or higher Windows NT/2000/XP with 96MB	PIII 650 or higher Windows NT/2000/XP with 192MB
20 users	PII 233 Windows NT/2000 Workstation with 128MB	PIII 650 or higher Windows NT/2000 Server with 192MB and SCSI hard drive
50 users	PII 300 Windows NT/2000 Server with 256MB and SCSI hard drive	Single or Dual PIII 650 or higher Windows NT/2000 Server with 384MB or higher and Ultra/Wide SCSI hard drive
100 users	PIII 450 or Dual PentiumPro Windows NT/2000 Server with 256MB and SCSI RAID	Dual PIII 650 or higher Windows NT/2000 Server with 512MB or higher and Ultra2/Wide SCSI RAID
200 users	PIII 600 or Dual PII 400 Windows NT/2000 Server with 512MB and Ultra/Wide SCSI RAID	Dual PIII 733 or higher Windows NT/2000 Server with 1GB or higher and Ultra2/Wide SCSI RAID
Each additional 200 users	Add an additional 600Mhz of processing power and 256MB	Add an additional 800Mhz of processing power and 512MB; upgrade to Ultra/160 SCSI RAID

Notes

Version 9 supports Microsoft SQL Server 7, Microsoft SQL Server 2000 and Sybase SQL Anywhere 7. We require TCP/IP network protocol for all ProLaw installations, which usually can easily coexist with your existing network protocol. No user login is required on the dedicated NT/2000 database server; therefore, you do not need to purchase additional user licenses based on the number of ProLaw users. The Microsoft Windows NT Common Questions page states that a "Windows NT Server Client Access License is not required when it is operating solely as a platform for a server application." When using Microsoft SQL Server 7 or 2000, the default configuration of Code Page 1252 and Sort Order "Dictionary order, case-insensitive" is required. Outlook integration requires Exchange. Bi-directional Outlook integration requires Exchange 2000. ProLaw and Exchange can be run on the same server — if properly sized — when using Microsoft Small Business Server in small firms. Please contact your ProLaw Client Services team at 888/777-6529 or support@prolaw.com for explanations or additional information on these requirements.

22) Additional server software and licensing required (please indicate cost).

If you choose to use MSSQL, you will need to purchase the licenses directly from Microsoft. If you choose to use MS Sybase, it is included in the ProLaw license price. Any other software applications to be integrated with ProLaw, such as e-mail, word processing, document management (if not using ProLaw's document management functionality) will need to be purchased independently from ProLaw.

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

See our system requirements detailed above under question #21.

24) Workstation Hardware: Minimum required and recommended; Cost estimate.

See our system requirements detailed above under question #21.

25) Multi-location requirements.

Both Sybase and SQL Server 7 and 2000 support bi-directional replication which can be set up to run at client-specific pre-assigned intervals. Client may also choose to have multiple locations using the WAN or Citrix.

26) Any record or size limitations.

There is no record or size limitation for ProLaw. We have clients running 30+ gig replicating databases with no issues.

27) What elements of the CMS are customizable? Is customization required?

Although ProLaw is a COTS application, clients usually want to do some configuration to meet specific needs. ProLaw's configuration can be accomplished by the client with minimal training and does not require programming. Both Contacts and Matters provide the ability to create custom fields which can be used in searching, reporting and document creation.

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

We do not make the code available to customers but it is covered by an escrow agreement. Customers can employ there own customizations at the database level using SQL scripts, triggers and DTS.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

ProLaw allows easy customization through Custom Tabs, Custom Reports, Document Templates and Rules. Each of these areas can be configured to meet the specifics needs of the organization without changing any application code. If programming or modifications of code is required, the cost is $150/hr.

In answering the remaining questions, please try to address as many of the following questions as applicable.

a) Briefly describe the function.

b) How does this function benefit programs?

c) How easy is it to use?

d) Does it require or allow customization and, if so, how easy is it to customize?

e) How easily does it integrate with other functions of the CMS? Which functions?

f) Can programs create drop down lists where appropriate?

g) Are there potential problems with or limitations on this function?

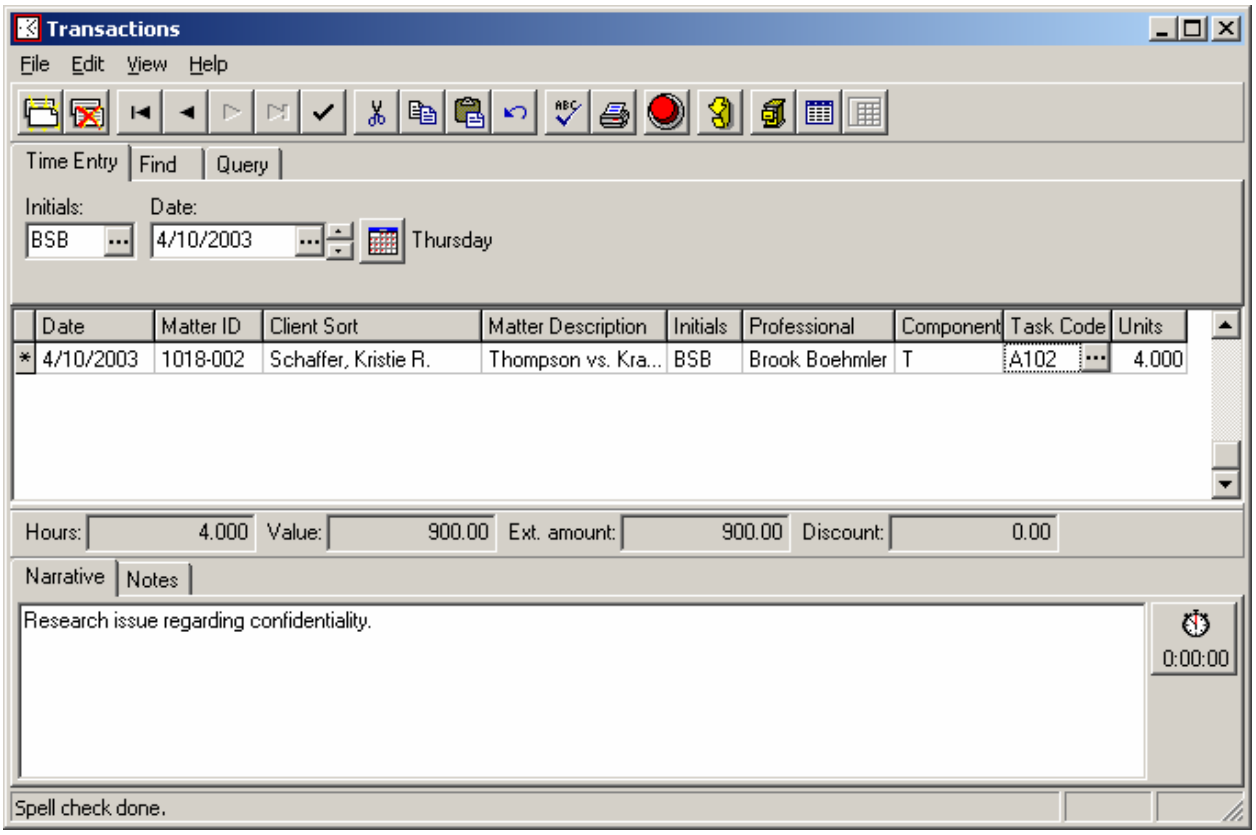
h) Are there plans for further development of this function?

30) Does the system have a time keeping component (for cases/matters/activities)?

If yes, describe:

Transactions

a) Transactions provides time entry functionality. Although government entities or legal assistant programs do not need to track time in the same manner as private law firms, the capability to track time is often required for resource allocation and tracking productivity. ProLaw provides this functionality to a number of governmental clients.



ProLaw has also accommodated import and export routines for government entities with regard to time reporting.

b) Keeping track of time allows for better resource allocation and management.

c) Time entry is very simple for end users. ProLaw provides the ability to enter time directly from Transactions as well as while working within a matter. A time keeper can record activity on a matter such as creation of a document and create a time entry directly from that activity.

d) Transactions does not allow for customization using fields; however, if needed, triggers can be created to provide specific functionality.

e) Transactions seamlessly integrates with the other CMS functions, such as calendaring, note taking, and document creation.

f) Picklists can be created within Transactions to best track time as needed by the programs.

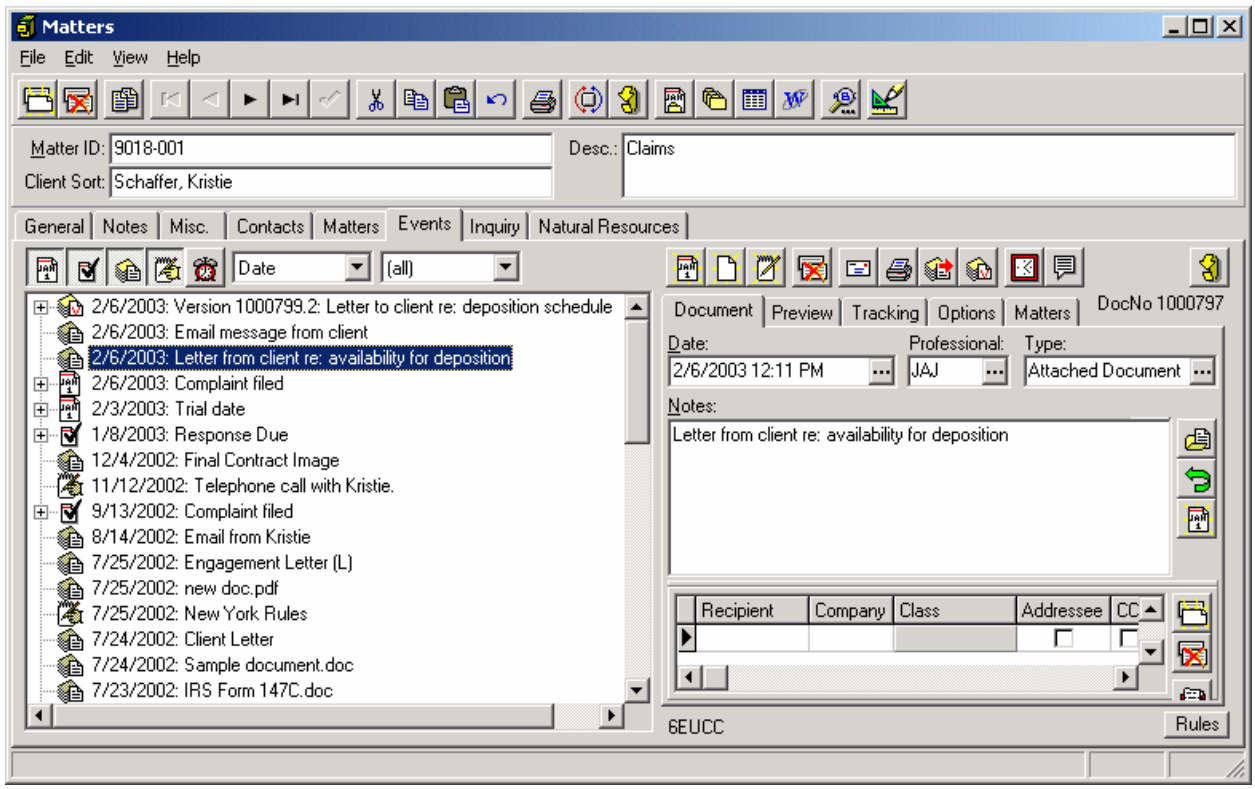
g) There are no limitations or problems with Transactions.

h) Our time keeping functionality has been stable over the years; however, suggestions as to improvements are entertained and considered for all of our clients.

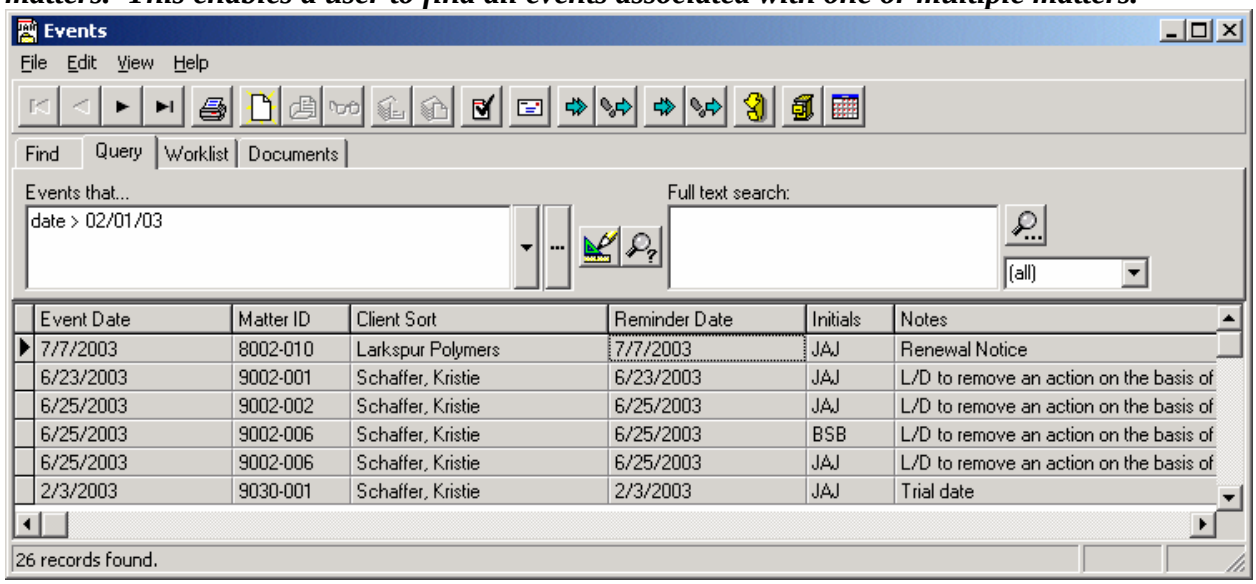
31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

Events

From the Events tab within Matters you will find the heart of ProLaw's Matters. Everything that happens with a case is tracked on the Events tab: meeting notes, critical dates, documents and reminders. ProLaw's reminders integrate with your groupware and send appointments to your calendar. Automatic docketing provides the power to create an event tree from a single event: set a date for a trial, and events for all required filings, responses, deadlines, and reminders are generated, according to your rules. Other features include document assembly, drag-and-drop document association, and Legalex Rules. Third party EDM (DocsOpen, iManage, WorldDox) documents appear on the Events tab as well, so a user can get an immediate "snapshot" of all work being done on a case in this one central location. The user can also view a report that shows upcoming docket deadlines, upcoming documents to be sent, recent docket events or recent documents that were completed. As in Contacts and Matters, Events can be customized to a particular practice area so that individual practice areas see only those event types and document types that are applicable to their practice area.



From Events off the taskbar, queries can be run on the database to locate events across matters. This enables a user to find all events associated with one or multiple matters.



Event Date	Matter ID	Client Sort	Reminder Date	Initials	Notes
7/7/2003	8002-010	Larkspur Polymers	7/7/2003	JAJ	Renewal Notice
6/23/2003	9002-001	Schaffer, Kristie	6/23/2003	JAJ	L/D to remove an action on the basis of
6/25/2003	9002-002	Schaffer, Kristie	6/25/2003	JAJ	L/D to remove an action on the basis of
6/25/2003	9002-006	Schaffer, Kristie	6/25/2003	BSB	L/D to remove an action on the basis of
6/25/2003	9002-006	Schaffer, Kristie	6/25/2003	JAJ	L/D to remove an action on the basis of
2/3/2003	9030-001	Schaffer, Kristie	2/3/2003	JAJ	Trial date

Queries can be developed, executed and saved to request information from the database regarding events. Attorney specific or group calendar reports can be run to get an overview of activity. A user can also pull up all the documents they been working of for a specified number of days. The user can also query on document fields in order to find the document they wish.

Docketing

ProLaw's calendaring functionality incorporates Legalex Rules, the oldest rules-based docketing system in the country. These court rules sets are maintained and updated by our in-house legal staff, and West Group, our parent company, publishes the court rules. ProLaw now has the ability to mine the reservoirs of 300+ attorneys in West's offices in Eagan, Minnesota who do nothing more than watch for, review and finally codify rule changes; you can't get any closer to the source than we now are. The updating itself, or coding into the database, will continue to be done by our Legalex team. As the rules change updates are provided electronically to our clients, who have the right to decide whether they want to accept the update or not. Specific new integration with West includes giving ProLaw end users a hot key to go directly from an authority cite in the rules set to the West database which houses the statute or local rule that is being cited.

A listing of our rules sets can be found at www.legalex.com. ProLaw strives to provide all of the rules sets our clients need in a timely manner. If there are rules sets your organization needs and we do not have, we will work with you to determine a reasonable mutually agreed upon time by which we will write the rules set. If there is

an occasion where the organization wants to write the rules themselves to incorporate them into their ProLaw database, the ProLaw and Legalex support teams will support the organization in this endeavor.

ProLaw /Legalex provides a date calculator so the organization can specify default reminder and tickler items, and these defaults can be modified by individuals and/or practice areas, with appropriate security access. Docket events of any kind can be scheduled with rules and complex data calculations, and each individual event can have specific customization in various areas such as items to create when this event is completed, specific professionals to assign to the event, number and frequency of reminders, etc.

In addition to the court rules defined in Legalex, each client can create their <u>own set</u> of "house" rules that cover tasks and procedures that the client (either as a organizational wide or by practice area) wishes to see followed for various types of events.

ProLaw integrates with Outlook by sending e-mails containing contents of various fields, reports, and documents within the system. ProLaw contacts may be sent to organizational wide public contacts in Exchange as well as individuals' personal contact folders. Docketed items may be sent to Outlook as either appointments to personal calendars or as e-mails. Reminders/ticklers may also be sent as e-mails.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

If yes, describe:

ProLaw can be synchronized with PDAs.

33) Does the system have its own document assembly capacity?

If yes, describe:

Document Management Requirements

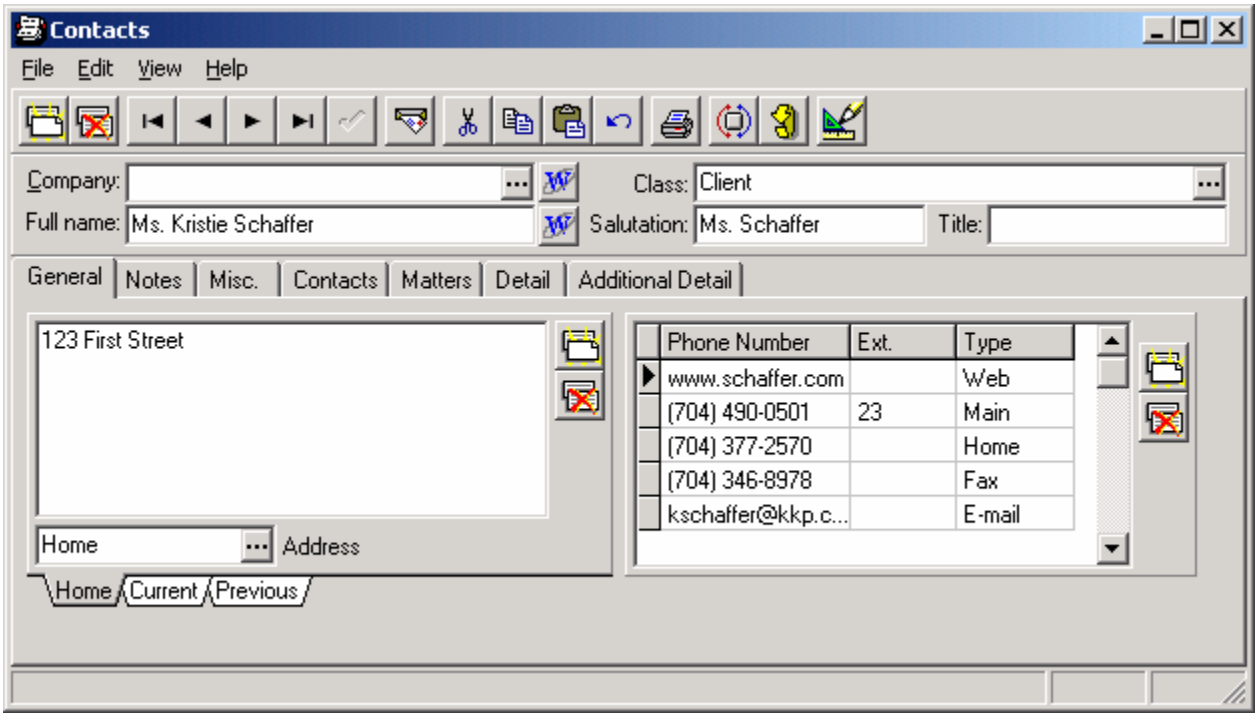
ProLaw provides document assembly capability. You can create templates that will pull data from the database to merge into the templates, created in WordPerfect or Word for document assembly. This enables the users to enter the data once and merge it into documents as necessary.

34) Does the system have a contact management function?

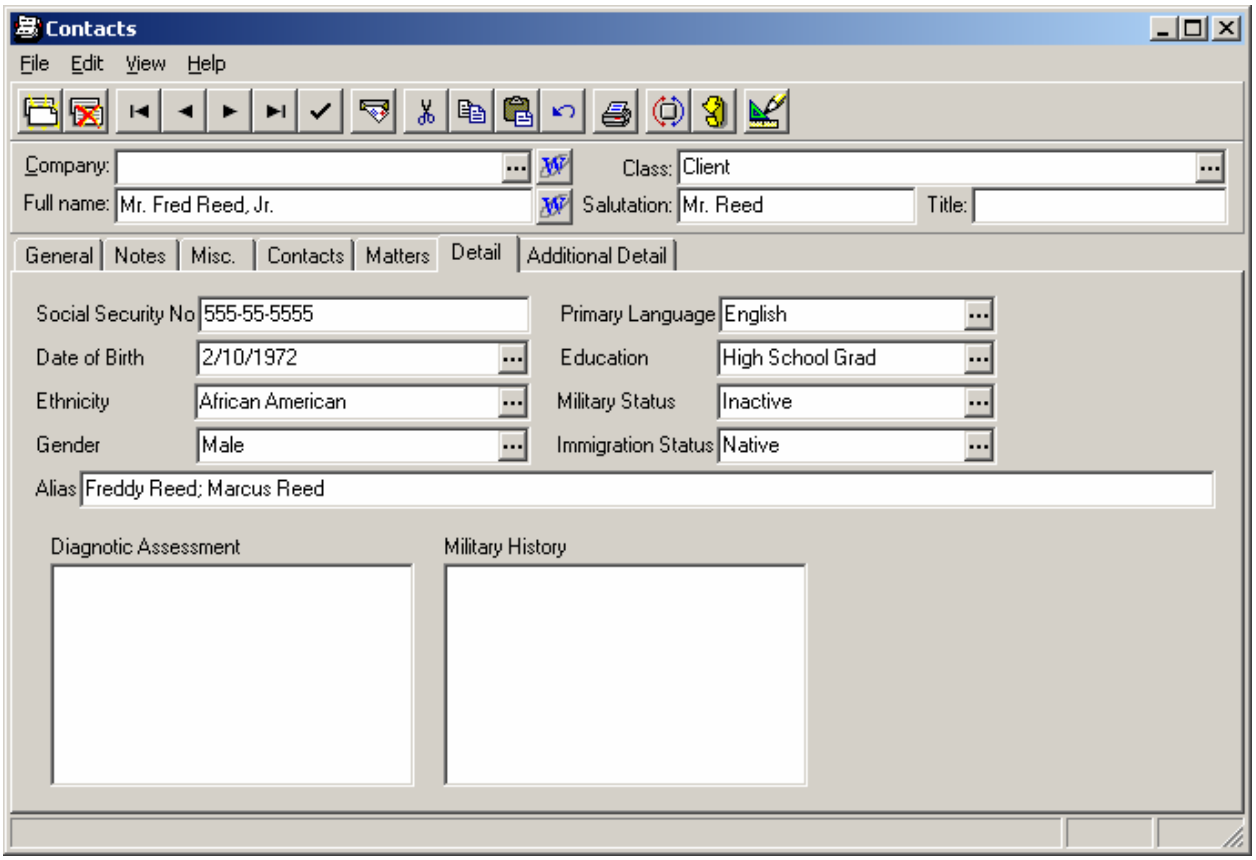
If yes, describe:

Contacts

Contacts in ProLaw include your clients, related parties to cases, vendors, even office personnel. Search methods include drill-down searches, natural language queries, SQL queries, and conflicts checking. Track addresses, phone numbers, e-mail addresses, mailing lists, notes, vendor information, related contacts, and related matters. Contact classes are unlimited. Contacts in ProLaw support single-click e-mailing, TAPI-compliant phone dialing, and web access.



Create and add your own custom tabs and custom fields to tailor Contacts to your needs. For example, we will assist you with creating a custom tab to track individual specific information such as date of birth, social security numbers, etc.



35) Does the system have a document management function?

If yes, describe:

ProLaw's Document Management functionality allows the tracking and sharing of documents among users (where allowed by security), full-text searching of documents for ease in locating a particular document, and the tracking of document access. ProLaw also currently integrates with iManage, WORLDOX and PC Docs (a.k.a. DOCS Open) if required. Documents created in ProLaw are automatically profiled in the DMS and documents created directly in the DMS can be imported into ProLaw on a regular basis.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

If yes, describe:

Reports

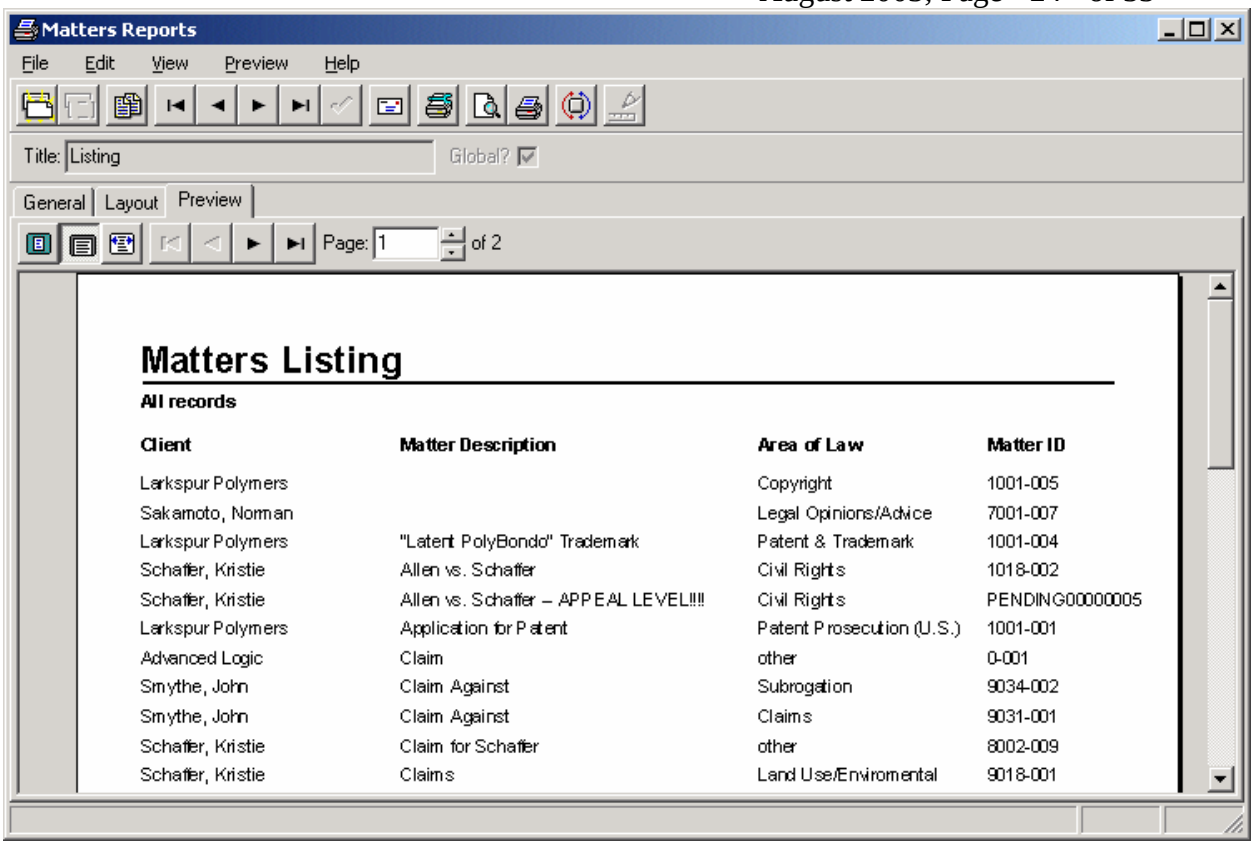
ProLaw's Reports are unlimited and user-customizable. Create as many reports as your office needs, and shape their look according to the standards you currently enforce. Run complex queries, order and group data by any parameter, and look at previews before printing. Built-in, drag-and-drop design tools eliminate the need for programming or macros. Your custom fields are fully searchable and can be included in any report.

ProLaw's report functionality is quite intuitive utilizing Boolean logic to run queries based on data desired to be displayed in report format. These query criteria can be saved individually for the user or globally for the use of the organization as a whole. In addition, report formats can utilize additional SQL select statements and calculations to further define the data and display of data within the report itself.

ProLaw also has a report queue that allows specific reports to be added to a queue for use by specific users. The ProLaw agent takes the queue functionality one step further by allowing additional functionality of automatically generating reports in the report queue based upon pre-defined criteria (such as monthly, weekly, at specified intervals, when specific criteria are met, etc).

There are many default report formats that come with ProLaw Software. A Sample Reports book can be obtained upon request. In addition, your organization can create an unlimited number of custom reports to achieve all of its data reporting objectives. Report data can be exported into a variety of formats for export to other systems and software packages.

ProLaw will assist the Counties develop the required reporting for matter management as well as statistical reporting.



37) Does the system include any pre-formatted reports, including LSC reports?

If yes, describe:

ProLaw comes with over 90 default reports and new reports can be written upon demand. We do not currently have LSC reports.

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

If yes, describe:

ProLaw provide full-text searching of documents either created within ProLaw or dragged and dropped in as word processing files. Documents can be scanned outside of ProLaw and dragged and dropped in as image files. ProLaw does not have OCR capability, but if a document is OCRed outside of ProLaw, that file can be brought into ProLaw and then would be available for full-text searching.

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

If yes, describe:

Audit

ProLaw provides an audit trail for the following components: Contacts, Matters, Events, Transactions, Journals, Ledger, Professionals, Components, and Accounts. The Counties can set the number of days the audit trails are saved. The audit trails capture the following information: action (add, edit, delete), date of change, initials of professional making change, and before and after values.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

If yes, describe:

ProLaw interfaces with word processors and e-mail. Third party report writers can share data in ProLaw as ProLaw is based on MS SQL database and as a result allows for a variety data exchange via ODBC, XML and custom export/import scripts.

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

If yes, describe:

ProLaw Portal

ProLaw offers its users not only thick client functionality, but also full Front Office and time entry functionality in our Portal. A ProLaw license includes not only a license for the thick client, but also for the thin client. Many ProLaw clients will use the Portal for the internal staff to be able to access the ProLaw database from home, at court, or on the road; they will also purchase additional Portal licenses for their clients, so their clients (with the appropriate security rights) can visit the Portal and see the latest information on their cases. The Portal delivers information to the user's browser using straight HTML. Security for the Portal can be applied to the item-level. Authorized information is immediately available through the ProLaw Portal. There are no extra steps to "post" or "copy" case information to your extranet. Changes are immediately available; clients and co-counsel always see up-to-date information. Changes made by clients and co-counsel, if allowed, are immediately available to your staff. The Portal requires an IIS server.

42) Does the system enable users to access multiple records at one time?

If yes, describe:

ProLaw does not have a limit as to the number of users who can access multiple records at one time.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

If yes, describe:

ProLaw creates one contact record or project record which can be associated with any number of cases or matters.

44) Is there a limit on the number of modules that can be run simultaneously?

If yes, describe:

There is no limit to the number of modules or records within those modules that can be run simultaneously.

45) Is there a limit on the number of simultaneous users?

If yes, describe:

There is no limit to the number of simultaneous users as long as the organization has licenses for the users.

46) Does the system allow programs to control user access?

If yes, describe:

Security Components

Security can be controlled solely by system administrator(s) or designated person(s). There is user password, file level, field level, user-group, and location level security. Security is applied to data inquiry. ProLaw can suspend data at various levels of processing until proper approvals are entered. ProLaw also has the ability to provide or restrict on-line access across sub-system boundaries.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

If yes, describe:

Using ProLaw's customization functionality, LSC specific variable fields can be created and used to track data, funding, and outcomes.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

If yes, describe:

ProLaw has validated picklists which are set up by the client. This provides data integrity throughout the system.

49) Does the system determine eligibility based on different variables, including:
a) Income
b) Age
c) Geographic location
d) Citizenship status

If yes for any, describe:

Using ProLaw's customization functionality, LSC can craft intake information with validated picklists and tables to track this information. This information can then be used in searching, document assembly and reporting.

50) Does the system flag exceptions for eligibility that require further consideration?

If yes, describe:

Using ProLaw's customization functionality, LSC can craft intake information with validated picklists and tables to track this information. This information can then be used in searching, document assembly and reporting.

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

If yes, describe:

Using ProLaw's customization functionality, LSC can craft intake information with validated picklists and tables to track this information. This information can then be used in searching, document assembly and reporting.

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

If yes, describe:

Using ProLaw's status field and events module, status of an application, case or matter can be easily tracked and reported on..

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

If yes, describe:

ProLaw offers two types of conflict checking. One in Contacts which will check for names and entities and the other in Matters which checks for names, entities associated with matters as well as specified matters fields such as issues or any other designated field.

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

If yes, describe:

Using ProLaw's events module, internal rules and dockets can be established with default prompts in order to gather desired information.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

If yes, describe:

Using ProLaw's customization functionality and internal docket rules, LSC can create checklists for various types of cases, matters and activities.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

If yes, describe:

Document templates, including pleadings can be created to allow ease in document assembly. These templates are launched from within a matter, pulling the applicable information (any data from within the database), and saving the assembled document within matter.

57) Does the system include management tools for volunteers, pro bono attorneys?

If yes, describe:

A license is required for all personnel who access ProLaw. View rights can be set up for pro bono attorneys, but if they will be adding data, they will need a license. ProLaw provides extensive management tools and reports to track outside (pro bono) counsel.

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

If yes, describe:

ProLaw does not currently have specifically designed tools for legal services; however, we are actively working on that market segment and plan on development of tools in the near future.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

If yes, describe:

ProLaw allows for ad hoc querying and reporting as well as e-mailing of reports internally and externally.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

If yes, describe:

ProLaw can launch a Summation database that corresponds with a specific matter within ProLaw.

61) Does the CMS offer other tools specifically for hotlines?

If yes, describe:

ProLaw does not currently have specifically designed tools for hotlines.

62) Does the CMS offer tools specifically for pro bono programs?

If yes, describe:

ProLaw does not currently have specifically designed tools for pro bono programs, but using ProLaw's customization features, pro bono activity can be tracked and reporting on.

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

If yes, describe:

ProLaw has the ability to easily re-assign matters as well as uncompleted events upon the departure of an attorney.

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

If yes, describe:

Utilizing ProLaw's querying and reporting functionality, any number of supervision tools can be established as needed.

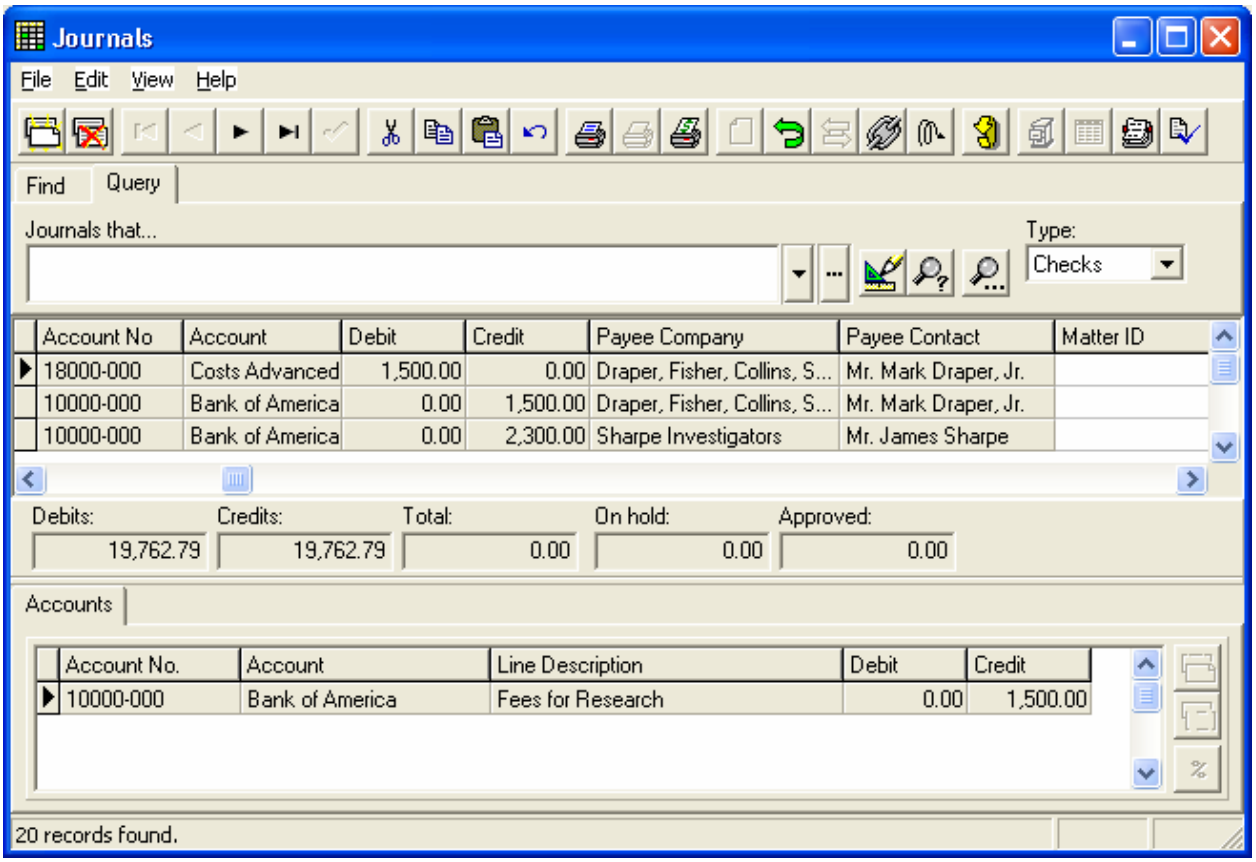
65) Does the system integrate accounting and grant information with time and case/matter/activity data?

If yes, describe:

ProLaw is a full accounting program as well. Time entry and costs are tracked using Journals and Ledger.

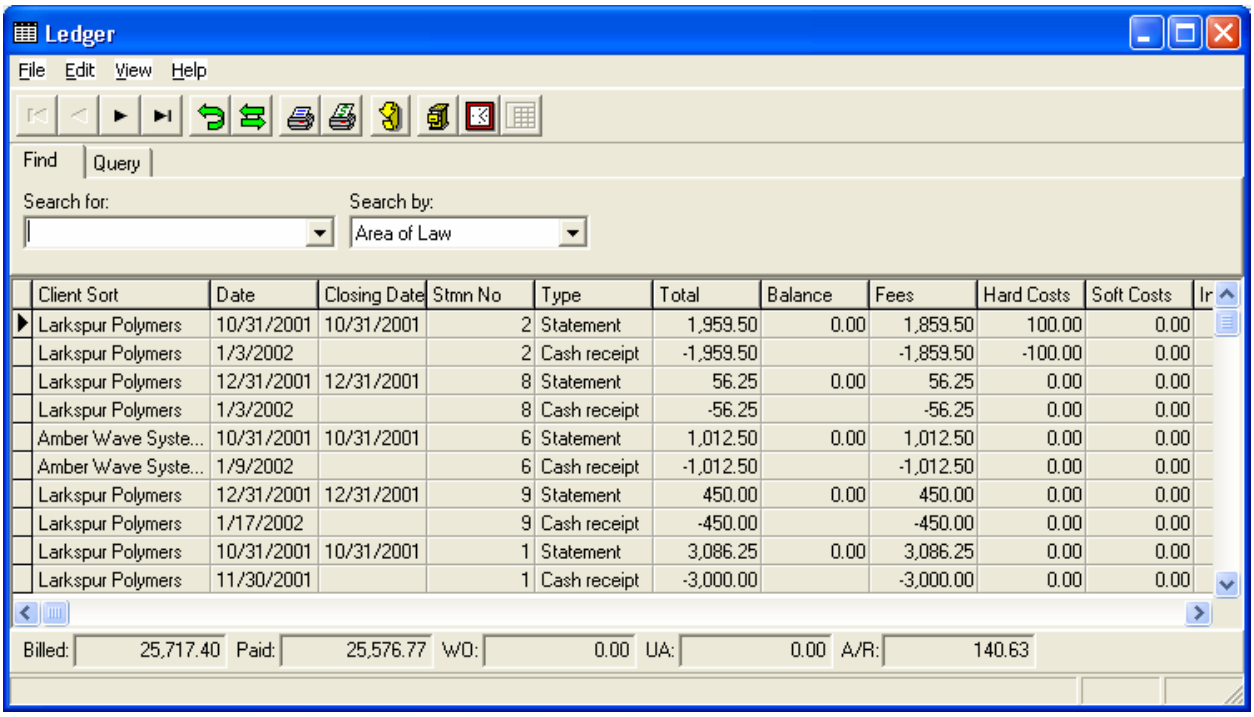
Journals

Journals is used to enter checks and other general ledger entries to track time entry and cost transactions.



Ledger

Ledger is used to display all the statements and payments for matters. You can also view and/or reprint statements from the Ledger window, unbill statements, view the detail on a statement or payment, and produce billing and payment history reports.



Client Sort	Date	Closing Date	Stmn No	Type	Total	Balance	Fees	Hard Costs	Soft Costs	Ir
Larkspur Polymers	10/31/2001	10/31/2001	2	Statement	1,959.50	0.00	1,859.50	100.00	0.00	
Larkspur Polymers	1/3/2002		2	Cash receipt	-1,959.50		-1,859.50	-100.00	0.00	
Larkspur Polymers	12/31/2001	12/31/2001	8	Statement	56.25	0.00	56.25	0.00	0.00	
Larkspur Polymers	1/3/2002		8	Cash receipt	-56.25		-56.25	0.00	0.00	
Amber Wave Syste...	10/31/2001	10/31/2001	6	Statement	1,012.50	0.00	1,012.50	0.00	0.00	
Amber Wave Syste...	1/9/2002		6	Cash receipt	-1,012.50		-1,012.50	0.00	0.00	
Larkspur Polymers	12/31/2001	12/31/2001	9	Statement	450.00	0.00	450.00	0.00	0.00	
Larkspur Polymers	1/17/2002		9	Cash receipt	-450.00		-450.00	0.00	0.00	
Larkspur Polymers	10/31/2001	10/31/2001	1	Statement	3,086.25	0.00	3,086.25	0.00	0.00	
Larkspur Polymers	11/30/2001		1	Cash receipt	-3,000.00		-3,000.00	0.00	0.00	

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

If yes, describe:

Using ProLaw's customization functionality and internal docket rules, LSC can designate fund rules to assign cases and matters accordingly.

67) Does the system maintain project/grant information?

If yes, describe:

Using ProLaw's customization functionality and internal docket rules, LSC can track and maintain project/grant information.

68) Does the system enable user to maintain donor information?

If yes, describe:

Using ProLaw's customization functionality and internal docket rules, LSC can track and maintain donor information.

69) Are there additional functions of the CMS for things that were not discussed above?

If yes, describe:

70) Please provide any additional information about your CMS that you would like us to have.

LAET Case Management Review Project
Survey for Developers
By
Consultants Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Innovation Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

This survey for developers is the first step in the review.[1] We would appreciate if you would answer these questions about your system and return the completed survey to us by August 25, 2003. Simply type the answers into this survey and send them via email to Cotter and Gordon. Our next step will be to view demonstrations of each CMS. Finally, we will interview CMS users at various legal services programs to learn how well the various systems are meeting their needs.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

❖ **Overall CMS information:**

1) Please provide your company name, mailing address, phone, web site address, and additional office addresses.

Western New York Law Center
295 Main Street, Room 454
Buffalo, NY 14203
Tel: 716-855-0203
Internet: www.wnylc.net

2) What is the name of the case management system, what versions are available, and what was their release date?

TIME Case Management System
Initial Release Date: February 21, 1997
Current version: 2.15, released 12/12/2002. All users are running current version

New versions of TIME are released when significant changes are made to TIME that require more than a simple replacement of program executables. When users are notified of a version change, they are given:

- **A program that automatically changes affected database tables**

[1] Many of these questions were developed by Kathy Daniels, Statewide Legal Services of Connecticut and Michael Alexander of Southeastern Massachusetts Legal Assistance Corporation.

- **A new set of manuals**
- **A new installation CD-ROM**
- **Detailed, written instructions detailing the procedural steps in the update**

Updates to TIME are released as required. (There were 4 major updates made this year). Users are notified by email that the update is available on our website. Instructions on how to download and install the update are included in the email.

3) Please provide the name, phone, and e-mail address of the person filling out this form, along with the same information for a contact person if that is a different person.

Tom Karkau
Tel: 716-855-0203 x3.
E-Mail: tkarkau@wnylc.com

4) When was your company founded, by whom, and what is the founder(s)'s professional background?

The Western New York Law Center was founded by James M. Morrissey in October, 1996. Mr. Morrissey is a practicing attorney and former Executive Director of Neighborhood Legal Services in Buffalo, NY. Mr. Morrissey left the program in 1998.

5) Please list full-time (or FTE) employees, including job title, years of related professional experience, and years of experience with your company.

Joseph A. Kelemen, Executive Director, admitted to the NYS Bar in 1981, has worked for WNYLC since 1996.

Kathleen A. Lynch, Staff Attorney, admitted to the NYS Bar in 1988, has worked for WNYLC since 1998.

Linda R. Hassberg, Staff Attorney, admitted to the NYS Bar in 1992, has worked for WNYLC since 2001.

Thomas J. Karkau, Sr. Systems Analyst, 32 years experience in the data processing field that includes scientific programming, business data processing, software / telecommunications programming, real-time process control, plant control systems, database management systems, and starting in 1992, intake/case management systems for legal services programs. Mr. Karkau was hired by WNYLC in 1997.

6) Is the company private or public? If it is public, please provide the stock symbol and percent of staff ownership.

The Western New York Law Center is a 501(c)(3) corporation formed in 1996 after Congress restricted the types of cases that Legal Services Corporation (LSC) grantees could handle. WNYLC represents low-income Western New Yorkers in civil matters, especially in those

areas restricted by LSC. Our mission with respect to our legal work is to assure that low-income people receive the full-range of civil legal services including "non-traditional" legal assistance like policy advocacy and legal education.

WNYLC handles both cases and projects which will have a broad impact on legal rights or services for the indigent in many areas of the law, such as housing discrimination, benefits, and disability issues.

WNYLC is a member of the statewide steering committee for legal services in New York.

WNYLC also serves as a statewide technology support center for legal services programs. Our mission with respect to our technology work is to help legal services offices statewide use technology in a cost effective manner to better serve their clients in this time of diminishing resources. Our target populations are legal services managers, attorneys, paralegals and support staff.

WNYLC maintains a web site, www.wnylc.com, that is updated every day with news about changes in laws, regulations, and policies of interest to legal services organizations. Much of the material posted on the web site, such as the Administrative Directives published by the New York State Social Services Department, is not readily available anywhere else.

The Center hosts multiple listserv's on such topics as public assistance, housing, family and disability law that allow any legal services staff members with an Internet connection to subscribe and/or participate in those forums.

In addition, the Center publishes a bi-monthly newsletter on using technology in the delivery of high quality efficient legal services to low income clients (the newsletter can be viewed on the Center's "STAR Watch" page by clicking on "Technology").

WNYLC has written a client intake and timekeeping program for distribution to legal services programs. The program helps legal services offices efficiently process cases while complying with the data gathering requirements of the Legal Services Corporation and other major funding sources.

7) Please tell us the date of your last audit, the net worth of the company as of the last audit, and the company's gross revenue for each of last five years.

(not applicable)

8) Please list the number of current account / installations; total current number of seats installed; current number of legal services accounts; current number of legal services seats installed; and names of legal services programs with current accounts.

Current number of legal services accounts: 60 (all are using current version of TIME)
Current number of legal services seats installed: unknown

9) Have any complaints against the company resulted in litigation? If yes, please provide the date, state, and court for all such complaints.

There have never been any complaints against WNYLC that resulted in any litigation.

10) Please list any reviews or case studies of your product, including information on how to obtain those documents.

"Software Review Issue" of the Legal Hotline Quarterly (Summer 1998). The issue compared Clients for Windows, ProLaw, TIME, and WinCases. Contact Shoshanna Erlich at the Legal Hotline Technical Assistance Project at: rose@bc.seflin.org.

♦ **Costs and Support:**

11) What is the software purchase price? Include whether it is priced per user, per advocate, or per office and whether multi-office, legal services or statewide discounts are available. What are the renewal costs? Upgrade costs (how often)? User or license limitations? Any minimum purchase requirements?

TIME is licensed to users at an annual cost of 0.1% of an organization's annual funding. The minimum license fee is $250/year. The maximum is $1,000/year. The license fee includes all tech support and upgrades.

There are no additional charges for multiple offices or additional users.

12) Describe the name and function of any additional modules and costs.

Users can upgrade to the client/server version of TIME for an additional $500/year. Other than a Windows 2000 (or 2003) server, no additional software products (such as Citrix or Terminal Server) are needed. This product requires the use of Internet Information Services (IIS) to operate. Microsoft provides IIS at no charge with the following operating systems: Windows 2000/2003 Server; Windows 2000/XP Professional. No additional software is needed to support this operational change on user workstations.

13) Are other versions or major upgrades of the system expected in the near future? Please explain improvements and innovations and the anticipated completion date(s).

Several major changes are planned for completion in 1Q, 2004:

- **Addition of the National Legal Aid Subject Matter Index**
- **Increased functionality for integrated word processor and spell-checker**
- **An integrated calendaring system**
- **Maintenance of CLE credit info for Staff and Pro Bono attorneys**
- **Allow optional collection of data required for nationally-known funders (VAWA, HIP, Title III, etc.)**
- **Collection of CLE-related information for Pro Bono attorneys and staff**

- **Collection of "Contact me" information from the organization's web site (requires client/server version of TIME). Potential applicants can request that the legal services program contact them or other agencies in the area can request that the organization contact the potential applicant regarding a legal issue.**
- **Electronic reporting of Disability Advocacy Project (DAP) information (in New York State)**

14) Please explain the technical and customer support you provide. Include telephone number, hours available, number of support people, and average and maximum response times. Do you guarantee a timely response to requests for support? May users access support directly, or must they go through a technical person?

Users can call for tech support by dialing 716-855-0203 x3 during normal business hours. Most calls are answered immediately. Callers get direct support from the program developer. There is no guaranteed response time.

15) How do you charge for the support described above? Include a description of any free support available and any per incident charges.

All tech support is included in the annual license fee.

16) What types of basic and advanced training are available (number of hours, at program or other location, training for all staff or designated staff, who are the trainers)? What is the cost of these trainings?

The Western New York Law Center will provide training on topics of interest to TIME users at customer sites. The topics to be presented are chosen by the legal services program. The cost is $750/day plus expenses. The training is conducted by either Joseph Kelemen, Executive Director or Tom Karkau, TIME System developer.

17) Are there any user groups or listservs for your product? If so, please list.

18) Please indicate availability of and additional charges for the following: installation; data conversion; custom reports; custom programming; and user manuals.

Installation: $750/day plus expenses
Custom Reports: $100/hr
User manuals: no charge (Users can also print additional copies of manuals from the installation CD-ROM)
Custom Programming: $100/hr

19) What type and amount of program staff time and support are recommended for deployment of the CMS? For maintenance?

The staff time and support required for deployment varies greatly according to the size and complexity of the legal services program. Some small program have installed TIME and

been up and running in less than 4 hours. Except for a handful of circumstances, users deployed TIME without any on-site assistance.

System upgrades can be performed by any computer-literate person who can reliably perform the following types of tasks:

- **Download a file from the Internet**
- **Copy files**
- **Use the Start > Run… feature of Windows**

System maintenance can be performed by any computer-literate person. The TIME system has a maintenance program that will allow the required maintenance procedure to be chosen with a single mouse click. We recommend that users pack the database every 1-3 months and reindex the data every 1-4 weeks depending on the size of the organization. These operations take less than 1 hour to perform.

20) What level of staff technology sophistication is desirable to use the CMS?

Use of TIME does not require anything more than basic computer competency.

♦ **Hardware and Software:**

Please describe the following:

21) Operating system(s) required for file server and workstation.

TIME is currently running on systems with the following operating systems:

File Server: Peer-to-peer network
Windows 2000 Server
Windows 2003 Server
Novell Netware
Windows NT 4.0 Server*

Workstation: Windows 2000 Professional
Windows XP Home/Professional
Windows 95*
Windows 98*

*** These products are no longer supported by Microsoft**

22) Additional server software and licensing required (please indicate cost).

Users of TIME are not required to purchase any additional products for their server.

23) File Server Hardware: Minimum required and recommended; Cost estimate, assuming a basic install with a fresh database, and any cost info on legacy database conversion.

The processing load imposed by TIME is minimal. One statewide program with 80+ users running the client/server version of TIME uses a 1.7MHz computer with 7200 rpm IDE hard drive. Most database transactions are handled in less than 30 milliseconds. Depending on other options (tape backup, etc.), the cost could cost as little as $1,000.

24) Workstation Hardware: Minimum required and recommended; Cost estimate.

TIME is running successfully on Pentium II workstations with 64MB of RAM. A workstation that is capable of running TIME could cost as little as $400 at today's prices.

25) Multi-location requirements.

none

26) Any record or size limitations.

Unlike some other database management systems that limit the size of the entire database to 2.1GB, <u>each</u> database table in TIME can grow up to 2.1GB. This means that TIME can store the following number of records in its tables:

- **Cases: 1.5 million**
- **Adverse parties: 12 million**
- **Ticklers: 56 million**
- **Pro Bono attorneys: 5.8 million**
- **Names/addresses: 6.3 million**

♦ **Customization:**

27) What elements of the CMS are customizable? Is customization required?

No <u>customization</u> is necessary to use TIME. Users can <u>configure</u> TIME to meet their needs by altering the contents of the following user-configurable fields:

- **Offices**
- **Units within organization**
- **Staff member job titles**
- **Case status**
- **Causes of action (needed for reporting case filings to LSC)**
- **Counties**
- **Courts (needed for reporting case filings to LSC)**
- **Types of deductions to income**
- **Client ethnicities**
- **Financial limits (needed for income/asset eligibility determination)**
- **Funding sources**
- **Types of housing/shelter**
- **Types of client income**
- **Language**

- **LSC Problem type**
- **LSC Disposition type**
- **Lists of questions to ask applicant/procedures to follow**
- **Reasons for referral (out)**
- **Referral source (in)**
- **Agencies to be referred to**
- **Relationship of client to other specified individuals**
- **Type of SSI/SSD need**
- **Amount of savings to taxpayers**
- **Pro Bono/Volunteer geographic preferences**
- **Pro Bono/Volunteer areas of practice/types of service**
- **Pro Bono/Volunteer occupation titles**
- **Pro Bono/Volunteer special program membership**
- **Pro Bono/Volunteer training received**
- **Types of activity for timekeeping (by type of "case")**
- **Types of cases ("client", "matter", "supporting activity", "leave time", etc.)**
- **Addressee types (used to classify contacts in name/address file)**
- **Type of document/letter template**

28) Is the underlying code for the CMS proprietary? Can persons other than the developer make changes to the CMS?

In order to provide unlimited free tech support to TIME users, access to the source code must be restricted. However, many users have suggested changes to TIME that were implemented at no cost to them. The entire list of changes for the next update to TIME came from user suggestions.

29) Are you willing to develop individualized programming or modifications to meet individual program needs? Explain and estimate cost.

On many occasions TIME had features added to meet the needs of a new groups of users. These changes were implemented in such a way that did not require a unique version of TIME. There is no possible way to estimate the cost of individualized changes without knowledge of what those changes involve.

❖ **General Features of the CMS:**

In answering the remaining questions, please try to address as many of the following questions as applicable.

a) Briefly describe the function.
b) How does this function benefit programs?
c) How easy is it to use?
d) Does it require or allow customization and, if so, how easy is it to customize?

e) How easily does it integrate with other functions of the CMS? Which functions?
f) Can programs create drop down lists where appropriate?
g) Are there potential problems with or limitations on this function?
h) Are there plans for further development of this function?

30) Does the system have a time keeping component (for cases/matters/activities)?

TIME can keep time for all cases, matters, supporting activities, leave time, or any other type of activity. TIME facilitates contemporaneous entry of timekeeping information. The timekeeping function is never more than 2 mouse-clicks away. New timeslips are displayed with the following information filled in, but can be overwritten (except for case# & client name):

- **Staff member name**
- **Today's date**
- **Case number**
- **Client name**
- **Case open date**
- **Funding for this activity**

Users need to enter:

- **Amount of time**
- **Type of activity (selected from pull-down list; can be altered by TIME administrator)**
- **Expenses related to activity (optional)**

31) Does the system have a calendar and tickler system (including work group scheduling, date calculator, rules-based calendaring)?

TIME has a tickler system. It is never more than 2 mouse-clicks away. New ticklers are displayed with the following information filled in:

- **Staff member name**
- **Case number**
- **Client name**

Users need to enter:

- **Date to be tickled**
- **Name of person to be cc'd on this tickle**
- **Message to be displayed on tickler**

A calendaring system will be available 1Q, 2004.

32) Can data on the system, including calendar and contacts, be transferred to and/or synchronized with a PDA?

no

33) Does the system have its own document assembly capacity?

TIME has an integrated document assembly/word processor function that allows users to create letters/documents and automatically populate those generated documents with data from the case, Pro Bono, and the name/address file. All generated documents can be modified by the user. It is never more than 2 mouse-clicks away. The TIME administrator can create/modify the templates for the letters/documents.

34) Does the system have a contact management function?

TIME has a contact name and address file that can be maintained by TIME system users. Entries in this file can be classified by type (Physician, Judge, etc.). It can be accessed from the menu pad at the top of the screen. The document generation facility can access these names and addresses for inclusion in generated letters/documents.

35) Does the system have a document management function?

TIME stores all generated documents for future reference or revision. For letters/documents where a response is expected, TIME can store the expected response date and date of actual response. TIME can provide users with lists of expected/overdue responses.

36) Does the system enable users to create custom reports and conduct customized searches based on large number of variables (i.e. case status, closed cases, time, rejected cases, office, advocate, funding source, adverse party, or outcome)?

The TIME system provides 70+ pre-formatted reports with multiple sort orders (where appropriate). Each report has up to 20 different filters that users can select singly or in combination with other filters to create custom output. All reports are previewable. The most commonly used filters are:

- **Date range**
- **Case type (client, matter, supporting activity, etc.)**
- **Intake date, open date, close date (in combination with date range)**
- **Office**
- **Unit**
- **Funding**
- **LSC problem type**
- **LSC disposition type**
- **Case status**
- **Client county of residence**
- **LSC eligibility**
- **Case handler**
- **Case supervisor**
- **Pro Bono attorney**
- **Case closer**

- **Referral source**
- **Priority/non-Priority cases**
- **Group clients**
- **Telephone intake**
- **Contents of user-definable fields**

37) Does the system include any pre-formatted reports, including LSC reports?

Within the pre-formatted are all reports required by LSC:
Client/Case-related Reports:

- **Edit Case/Client Demographics**
- **LSC Case Service**
- **LSC Matters Service**
- **LSC Case Filing**
- **Case Counts by Problem**
- **Case Counts by Handler**
- **Open Case Counts on Date**
- **Cases Opened/Closed by Date**
- **Cases Opened/Closed by County**
- **Intake/Closing Activity by County**
- **Problem Counts by County**
- **Cases Opened/Closed by Zip**
- **Client Demographics**
- **Client Primary Language**
- **Case Time Pending Open**
- **Client Benefit**
- **Major Impact**
- **Clients w/Multiple Cases**
- **Duplicate SS#'s**
- **Deductions to Income**
- **MLSC Case Service (Maryland Legal Services Corp.)**
- **Time Usage by Activity Type**
- **Time Usage by Problem Type**
- **Case Activity and Expenses**
- **Telephone Hotline**
- **Case Referral To/From**
- **Misc Case Information**
- **User-Defined Field Totals**
- **Staff member personal caselist**
- **Case intake sheet**
- **Staff member time logs (including optional signature block)**
- **Ticklers (by date/by case/by staff member)**
- **Critical Dates for SSI/SSD cases**
- **Responses to Correspondence Due**

Staff-Related Reports

- **Staff Hours by Case**
- **Advocate Case Lists**
- **Supervisor Case Lists**
- **Activity by Funding – Summary**
- **Activity by Funding – Detail**
- **Handler Time by Fund – Summary**
- **Handler TIME by Fund/Case**
- **Daily Summary by Funding**
- **Daily Timesheet (Wisconsin only)**
- **Staff Time & Expense**
- **Staff Weekly Hours Exceptions**

Pro Bono-Related Reports:

- **Activity by Problem**
- **Volunteers/Hours**
- **Cases Referred/Returned**
- **Referred/Returned/Time by Firm/Attorney**
- **Cases/Hours by Attorney**
- **Cases Opened/Closed/etc.**
- **Attorneys w/At Least…**
- **Attorneys w/Any Activity**
- **Attorney Activity by Client County**
- **Create Mailmerge File (this is not a report, per se, but a means to create an ASCII, comma-delimited text file that could be used as a mailmerge file or imported into a spreadsheet)**

Misc. Reports

- **Select Cases for Self-Inspection**
- **Ryan White Fund**
- **SAAR (NYSDOH AIDS)**
- **Create Mailmerge File (this is not a report, per se, but a means to create an ASCII, comma-delimited text file that could be used as a mailmerge file or imported into a spreadsheet)**
- **Bulk Print Intake Sheets**
- **SSD Closing Reports (DAP)**
- **SSD Periodic Reports (DAP)**

❖ **General Usage Attributes**

38) Does the system enable users to attach or scan in, maintain, and search full text of documents (including email)?

Documents can be searched using the standard features of the integrated word processor.

39) Does the system enable users to track the date of each entry and the identity of the person making it? Is this also true for modifications of data already entered?

Every update to a case or client record is date/time stamped.

40) Does the system enable users to interface with other non-CMS software, such as report writers, word processing and email?

The database files in TIME can be accessed through Visual FoxPro, Crystal Reports, R&R Report Writer, and Access.

41) Does the system enable users to access records remotely (i.e., over a web browser)? If yes, please describe security measures.

When TIME operates in client/server mode, it uses the functionality provided by Microsoft for communication over the web, but does not allow direct access to the data via any web browser. In order for users to access the data remotely:

Zone Alarm, Black Ice, NAT or a VPN can be used to restrict access to specific fixed remote locations. Depending on user needs, this may not be possible.

The following conditions listed below must also be met under all circumstances:

- **Remote users must have a current copy of TIME installed at the remote location. All requests for data must be contained in an XML object that must contains specific information or the TIME server program will not respond to it. Without an installed copy of TIME, communication with the TIME server program from any remote location is virtually impossible**
- **The remote user must supply a valid Windows network userid and password (This userid and password is included in every transmission to the host site for validation)**
- **The user must have a valid TIME system userid and password or TIME will not allow access to the data**

42) Does the system enable users to access multiple records at one time?

Depending on the specific circumstances, multiple case records are available for user access.

43) Does the system create one record for each client and/or project, with multiple cases or matters attached?

TIME maintains client data in a table that is separate from case data. Cases belonging to a specific client can be identified by the client number on the case record

44) Is there a limit on the number of modules that can be run simultaneously?

There is no limit

45) Is there a limit on the number of simultaneous users?

There is no limit

46) Does the system allow programs to control user access?

Besides the security provided by the network userids and passwords, TIME requires each user to have a TIME system userid and password that has specific TIME system privileges associated with it.

47) Does the system enable users to code for large numbers of variables, including staff, volunteers, funding, outcomes, etc.?

In addition to the user-configurable fields previously described, TIME has 35 user-definable fields (16 popups, 10 text, 9 numeric). The TIME system administrator can assign captions to the user-definable fields and populate the choices found in the 16 popups. The next upgrade will also include 16 user-definable checkboxes.

48) Does the system have methods to prevent mistakes in entry and/or does it require certain types of data to be entered?

All data fields are data type specific. Additionally, whenever a case information screen is closed, a reasonability edit is done on the case information and the user is notified of any potential problems. Most other data entry screens have reasonability edits.

❖ **Management and Support of Cases/Matters/Activities**

49) Does the system determine eligibility based on different variables, including:
   a) Income
   b) Age
   c) Geographic location
   d) Citizenship status

Given the differences among funders, the TIME system does not determine eligibility. It advises when certain conditions might cause an eligibility issue.

50) Does the system flag exceptions for eligibility that require further consideration?

Yes, per 45 CFR 1611

51) Does the system link eligibility rules with various organizational, office or project eligibility rules to allow for easy referral or assignment to appropriate location or organization?

No. Many legal services programs have in excess of 50 funding sources. Many of the funding sources have eligibility rules that cannot be quantified solely on information contained in a case management system.

52) Does the system enable users to track the status of an application, case, or matter (i.e. intake, call-back, status of active case, advocate assigned)?

Case status is a user-configurable field. Users have the ability to define the possible choices for case status to fit their needs.

53) Does the system enable users to check for conflicts and repetition (including applicant, opposing party, tribunal)?

The system makes several checks during the intake process:

- **The client social security number is automatically checked to see that no other client in the system is sharing the same number. If duplicates are found, an alert is issued that allow the user to determine the correct action to take. Usually, this type of problem occurs due to client name change or typos made by intake workers.**
- **The intake process automatically searches for any occurrence of the applicant name in the TIME system.**

54) Does the system enable users to create questions to ask applicants based on type of case, location and other factors?

This is user-configurable. The TIME system administrator can create a virtually unlimited number of questions / specific advice for any topic that they choose.

55) Does the system enable users to develop and use checklists for various types of cases, matters, or activities?

The TIME system does not have a specific checklist function. Many legal services programs use the "questions" file to create checklists that can be inserted into case notes.

56) Does the system enable users to develop form pleadings and other documents to automatically link to cases or projects based on type of case, location, opposing party or other factors?

The TIME system has a built-in word processing/document generation system. Templates for any kind of document can be created and stored in TIME. Generated letters and documents can also be stored in TIME for future reference or revision.

Generated documents/letters can be emailed directly from the integrated word processor.

57) Does the system include management tools for volunteers, pro bono attorneys?

TIME has a Pro Bono / Volunteer component that can:

- **Store information about pro bono attorneys / volunteers**
- **Locate a pro bono attorney / volunteer based on certain search criteria**
- **Credit pro bono attorneys / volunteers for amount of service**

58) Are there any special tools within the CMS specifically designed for the work done by legal services, such as documents relating to SSI, TANF, etc. or GIS mapping capability?

TIME collects and reports data required for SSI/SSD.

59) Does the system enable users to create and send reports or messages automatically upon the occurrence of a designated event or at a designated time?

This feature will be available 1Q, 2004 as part of the calendaring function.

60) Does the system have any other litigation support tools not addressed previously in this questionnaire?

no

61) Does the CMS offer other tools specifically for hotlines?

TIME is used by several statewide and regional hotlines. Some of these hotlines are part of a full-service legal services program and others are stand-alone hotlines.

62) Does the CMS offer tools specifically for pro bono programs?

TIME is used by Pro Bono programs. Some of these Pro Bono programs are part of a full-service legal services program and others are stand-alone Pro Bono programs.

63) Does the CMS allow cases to be reassigned easily upon the departure of an attorney?

Cases can be reassigned easily by 2 different methods:

- **Retrieve them individually and select a different advocate from the pull-down list.**
- **Use the "View Cases" program (included in basic TIME system) all cases assigned to a specific case handler. This program is usually restricted to use by management/administration.**

64) Does the CMS offer other supervision tools not addressed elsewhere in this questionnaire?

TIME has the reports needed by supervisors to know:

- **How many (and which) cases are assigned to staff members**
- **How long each case has been open**
- **Date of the last activity on each case**
- **The status of each case**

- **Which cases/matters/supporting activities have been worked on in any date range and how much time has been expended on each one**
- **How much staff time has been charged to the various funding sources**

Supervisors can also get detailed, up-to-date information about each case such as:

- **All of the activities performed by any staff member or Pro Bono attorney, when they happened, and how long they took.**
- **What letters/documents were sent to the client and the contents of each**
- **Any important future dates**
- **What expenses have been incurred for this case**

All of this can be done through TIME.

❖ **Office Management/Administration/Resource Development**

65) Does the system integrate accounting and grant information with time and case/matter/activity data?

no

66) Does the system enable users to designate fund rules to assign cases and matters accordingly?

Many of the rules for assigning cases to funding sources are not based on quantifiable information. Therefore, there is no way to create machine-based rules for assignment. To date, no users have ever requested this functionality.

67) Does the system maintain project/grant information?

no

68) Does the system enable user to maintain donor information?

no

69) Are there additional functions of the CMS for things that were not discussed above?

TIME also collects and reports how clients have benefited. The format of this data is consistent with IOLTA reporting requirements in at least 9 states.

70) Please provide any additional information about your CMS that you would like us to have.

TIME was designed to be an easy-to-use, integrated intake, case management, and time keeping system that can be used by legal services program ranging in size from a single person to a large multi-office operation. The Western New York Law Center designed TIME to be user-friendly system to be used by <u>all</u> staff members, not just lawyers and paralegals:

Receptionists can…

- **Quickly determine if the caller is a current or past client**
- **Provide referral assistance for types of problems not handled by that program and keep track of that referral for future reporting**

Intake workers can…

- **Determine if the applicant is a current or past client**
- **Directly enter data into TIME while interviewing the applicant**
- **Identify a potential conflict of interest**
- **Determine applicant financial eligibility**
- **Quickly generate routine correspondence and save it with the case**

Case handlers can…

- **Quickly get a list of all cases assigned to them**
- **Quickly record time expended on a case**
- **Quickly create ticklers to remind them of important future dates**
- **Quickly generate routine correspondence and save it with the case**

Pro Bono Coordinators can…

- **Keep detailed information about Pro Bono attorneys and volunteers**
- **Search for an attorney/volunteer that meets certain criteria**
- **Track cases referred to and returned by Pro Bono attorneys / volunteers**
- **Record time expended by Pro Bono attorneys / volunteers**
- **Generate routine correspondence to Pro Bono attorneys / volunteers**

Supervisors can…

- **Easily determine the case loads for the people that they supervise**
- **Easily see what was done on a case and when it was done**
- **Examine any documents / letters generated for a case**
- **Determine if deadlines a being met**

Administrators and Executive Directors can…

- **Easily generate reports needed for funding sources— without any knowledge of programming languages, report writers, or SQL (Many Executive Directors of large programs run their own reports. It takes them more time to explain to someone else what is required)**
- **Collect data unique to specific funding sources**
- **Produce reports that document all that the legal services program does**

LAET Case Management Review Project
Survey for Programs

By Colleen M. Cotter and Julia Gordon

Legal Aid of East Tennessee, Inc. (LAET) has retained us to conduct a national review of case management systems. This review is made possible by a Technology Initiative Grant (TIG) from the Legal Services Corporation. The results of this review will be published nationally to help programs determine which case management system will best suit their needs and to illustrate ways in which case management systems can help programs achieve their program goals and mission.

We will be including the following widely used case management systems in this review (along with a couple of other smaller systems): CASS; the Kemp's Caseworks systems; Legal Files; Pika; Practice Manager; ProLaw; the PS Technologies (Network Ninja) systems; and TIME. An important part of this review is gathering information about how programs use their case management systems to accomplish their goals. If you use one of these systems we would appreciate you taking the time to answer these questions about the system you are using and return the completed survey to us by September 15, 2003.

To complete this survey, simply type the answers into this survey, save the new document, and send it via email to Cotter and Gordon. Please distribute the questionnaire to other staff members in your programs who use the CMS and ask them to answer those questions that are relevant to their positions. We may follow up with some of you for a more in-depth survey.

If you have any questions about this survey or the project please contact Colleen Cotter (812/322-5592, cmcotter@earthlink.net) or Julia Gordon (202/669-0424, julia@juliagordon.net).

Overall CMS information:

What case management system (CMS) do you use?

When did your program purchase its CMS?

When did the system become fully operational in your organization?

How many cases are in your CMS?

What type of IT support do you have for your program overall **(**include all FT/PT employees, volunteers, and contractors/consultants)?

Name, organization, position, and contact information for person completing this survey:

Please rate the CMS on a scale of 0 - 5
(0 = system does not have function; 1 = poor; and 5 = excellent)
Please consider both ease of use and comprehensiveness of each function.

System administration:	
How easy was it to install and set up?	
How smooth was the conversion of old data?	
If applicable, how easy are upgrades?	
How easily can non-IT staff customize pull-down menus, canned text, and other features?	
How responsive is the developer to meeting your needs for additional customization?	
How well does the system handle multiple simultaneous users?	
How easy is it to assign different levels of access to different users?	
How well can you access the system from different office locations?	
How well can you access the system remotely through a web browser?	
Cost, Training and Support:	
How would you rate the value compared to the cost?	
How effective was the vendor-provided training for your staff?	
How easily can you access the system's technical support infrastructure when you need it, ie, when your own IT staff cannot handle the problem?	
How useful are user groups or web-based support systems such as FAQs and question indices?	
Eligibility and Intake	
How easy is it to use the eligibility and intake screens?	
How effectively do the eligibility and intake screens gather all the information you need for your program intake process?	
How well does the system automate initial eligibility determinations based on income, assets, citizenship status, age, geography, etc?	
How extensive is the conflicts check, ie., in addition to searching clients and previously identified adverse parties, does the system also flag prior contacts such as witnesses and other parties?	
How effective is the system in preventing mistakes or omissions in data entry?	
Case/Matter/Activity Referral, Tracking, Assignment, and Supervision	
How well does the system facilitate referral of cases/matters to other agencies and providers?	
How well does the system facilitate referral of cases/matters to pro bono attorneys?	
How well does the system facilitate management of cases/matters referred to pro bono attorneys?	
How well does the system facilitate assignment of cases/matters to particular offices, staff members, and units?	
How effectively does the system reassign cases/matters if the initial casehandler leaves or otherwise cannot continue?	
How well does the system track either simultaneous or consecutive involvement of multiple staff members and volunteers in a particular case/matter/activity?	

Please rate the CMS on a scale of 0 - 5
(0 = system does not have function; 1 = poor; and 5 = excellent)
Please consider both ease of use and comprehensiveness of each function.

How effectively can you track information you need for funding or supervision, such as funding source, disposition, outcome, type of eligibility, immigrant status, community legal education events, referrals?	
How effectively can supervisors use the system to track and oversee the work of supervisees, including timekeeping?	
If you have a hotline, how well does the system work for that purpose?	
How effectively does the system create and maintain files for non-client-specific work (matters and activities)?	
How well does the search function work?	
Calendar/Tickler Systems:	
How useful do you find the system's calendar and tickler systems?	
How useful do you find the system's daily overview?	
How easily can you sort appointments/tickler items by staff person, office, and unit?	
Timekeeping:	
How useful are the system's timekeeping features?	
How well can you keep time when you are interrupted during a task?	
Contact Management/Casenotes:	
How effectively does the system keep track of all contacts related to a case, matter or activity, including date and substantive content of contact?	
How comprehensive is the system's contact management (address book) function (i.e. does it include both organization-wide and personal contacts and track involvement of persons in various cases/matters/activities)?	
How sufficient is the space and formatting for case notes?	
Document Management:	
How effective is the system's document management function (i.e. are all the documents related to a case/matter/activity permanently linked in one easily accessible place, including emails, contacts, scanned documents or other documents that you did not create yourself, and other information)?	
How effectively can you search the full text of all documents associated with a case/matter/activity?	
Document Assembly:	
How useful is the system's document assembly feature, including templates for letters, pleadings, and other documents?	
How effectively can you customize the preformatted documents and create new form documents?	
Checklists/Expert Systems:	
How effectively can you create and use customized questions or instructions for intake that pop up when a problem code or other data is entered?	
How effectively can you create and use checklists for attorneys and paralegals that automatically generate activities, form pleadings, tools, and due dates for cases/matters/activities?	

Please rate the CMS on a scale of 0 - 5
(0 = system does not have function; 1 = poor; and 5 = excellent)
Please consider both ease of use and comprehensiveness of each function.

How effective are the system's tools for support of pro bono attorneys?	
How effective are the system's other litigation support tools?	
Report Writing:	
How useful are the pre-loaded reports you need (such as CSR and MSR information, case disclosure, etc.)?	
How easy is it to create all custom reports you need based on all the different types of data that you collect through the course of a case/matter?	
How useful are the system's tools for creating graphs, maps, and other visuals to help you communicate data more effectively?	
How easily can you create and send reports upon the occurrence of the designated event or at a designated time?	
Funding and Resource Development:	
How effectively does the system track grants, donations, and donors?	
How well does the system integrate accounting and grant information with timekeeping information and case/matter/activity data?	
Interface with Other Software:	
How well does the system interface with other software programs, such as email, word processing, report writing, and mapping programs?	
How effectively can you download the system information to a PDA?	
Overall:	
How adequate is the system's speed?	
How easy is the system to use?	
How effectively does the system help you coordinate with other organizations in the state justice community?	
If your organization was re-evaluating whether to keep your CMS, how strongly would you advocate for keeping it (0 = pitch it; 5 = if we got rid of it, I couldn't do my job)	

For the following questions, please write as much as you would like.

What functions or features of your CMS help you do higher quality work and pursue your organization's mission?

What functions or features of your CMS hinder you from doing higher quality work and pursuing your organization's mission?

What additional functions or features would be useful to you, either now or in the future as your work evolves?

Thank you so much for taking the time to complete this survey.
We really appreciate your help.