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.