



# Legal Services Corporation

Technologies That Should Be in Place  
in a Legal Aid Office Today

April 2015

## ***Legal Services Corporation Baselines: Technologies That Should Be in Place in a Legal Aid Office Today (Revised 2015)***

In LSC's Strategic Directions 2006-2010, adopted by the LSC Board of Directors in January 2006, LSC committed to "develop a strategic vision for technology" as part of its commitment to enhancing the quality of civil legal services. As a major part of that vision, LSC defined the technology capacities that its grantees should have in place or have available to them through a vendor or a partner by issuing *Technologies That Should Be in Place in a Legal Aid Office Today* (also referred to as the *LSC Baselines*) in November, 2008. The document was drafted at an LSC-sponsored conference of technology experts from the private bar, foundations, the judiciary, academia, Interest on Lawyers' Trust Account programs, and LSC-funded programs.

Five years later, at the National Legal Aid and Defender Association (NLADA) Technology Section meeting during the 2013 Equal Justice Conference, a project was proposed to update the *LSC Baselines: Technologies That Should Be in Place in a Legal Aid Office Today*. Following that meeting, LSC's Technology Initiative Grant program staff began working with the NLADA Technology Section. We invited a group of legal aid stakeholders from both LSC-funded and non LSC-funded organizations to a half-day meeting in Jacksonville, Florida, in January 2014. We engaged [Idealware](#), a nonprofit organization that provides impartial and accessible resources about software to help nonprofits make smart software decisions, as a consultant. Idealware coordinated input leading up to the stakeholders meeting, including posting the original *Baselines* for public comment and through a community webinar in January, 2014 hosted by NLADA. Laura Quinn, Idealware's Executive Director, facilitated the detailed review of the 2008 baselines by those attending the meeting in Jacksonville.

Idealware reviewed all of the input from the legal aid community and the stakeholders meeting and provided proposed revisions to the *Baselines* document. LSC and the NLADA Technology Section worked together to review the suggested edits and to make further modifications, and provided a draft of the revised *Baselines* for stakeholders' review and input in May 2014. Following a two-month comment period, LSC and the NLADA Technology Section made final revisions and clarifications to the document.

The technology capacities described in these *Baselines* are intended for any legal aid office that provides a full range of legal services.

We extend our appreciation to the co-chairs of the NLADA Technology Section - Alison Paul, Executive Director of Montana Legal Services Association and Jeff Hogue, Community Relations and Operations Coordinator for LegalServer - and to all of the *Baselines* pre-conference attendees listed below:

Peter Campbell, Chief Information Officer, Legal Services Corporation

Gwen Daniels, Director of Technology Development, Illinois Legal Aid Online

Eric Fong, IT Director, Legal Aid Foundation of Chicago

Molly French, Technology Unit Manager, Colorado Legal Services

Craige Harrison, Managing Attorney, Utah Legal Services

Ronké Hughes, formerly Supervising Attorney, Intake, Legal Services of Northern Virginia; now Program Counsel, Legal Services Corporation Office of Program Performance

Guy Lescault, Consultant, Georgia Bar Access to Justice Commission  
Jeff Been, Executive Director, Legal Aid Society of Louisville  
Steve McGarrity, Associate Director, Community Legal Services  
Jimmy Midyette, Director of Technology, Florida Legal Services  
Mike Monahan, Director, Pro Bono Project, Georgia State Bar/Georgia Legal Services  
Pat Muller, IT Director, South Carolina Legal Services  
Rachel Perry, Data Analysis Consultant  
Brian Rowe, National Technology Assistance Project Director, Northwest Justice Project  
Kristin Verrill, Practice Innovation Manager, Atlanta Legal Aid Society

LSC will use this document as a resource for its regular review of grantee program quality assessments. We will post this document to the LSC website and review and update it regularly. For easy reference, a summary of the most significant changes to the Baselines since they were first published in 2008 is provided below.

We intend these Baselines to provide helpful guidance to grantees, as well as other legal aid offices, on the use of technology to provide high-quality legal services to clients. I hope they are helpful to you.

James J. Sandman  
President, Legal Services Corporation  
April, 2015

## Summary of Significant Updates to the 2008 Baselines

Some of the major updates to the Baselines cover the emergence of new technologies since the Baselines were originally released in 2008, including mobile technologies used by both clients and advocates, cloud computing, new security concerns for networks and data, knowledge management strategies, social media, and the use of web and video conferencing systems. The most significant updates are summarized by section below:

- **Overall Program Capacity:**
  - Technology planning should be integrated into the overall strategic planning of the program (including an annual review of the technology plan).
  - Programs should consider the benefits and risks of cloud services as useful alternatives to self-hosted applications and servers, including for backup of data and disaster preparedness.
  - Programs should have at least 2 full-time equivalent technology staff or consultants for every 100 staff to maintain the program's technology and support program staff on its use.
  
- **Management of Client and Case Data - Case Management System:**
  - Programs should have the technological capacity to check for data integrity, ideally in an automated way (which ensures that integrity checks are performed regularly and uniformly), to reduce staff time and the risk of human error.
  
- **Production and Supervision of Legal Work - Case Management System & Document Production:**
  - Programs should have a strategy for using the case management system to facilitate and expedite intake and case handling, such as phone routing, online intake routing, securely exchanging data with partner online intake tools, and future compatibility with electronic filing systems.
  - Advocates should be able to generate simple forms and letters from the case management system.
  - Programs should develop a strategy to automate forms and pleadings that staff and pro bono advocates use routinely that includes management of forms from a central location, with a system to assure that forms and pleadings are updated for legal sufficiency. Staff should receive training in the use of the automated documents.
  
- **Intake and Telephone Advice - Telephone Systems:**
  - If the program does telephone call backs, it should look at technology systems that facilitate an efficient callback system.
  - Telephone systems should provide recorded information to callers while waiting on hold or after hours.
  - General intake should consider online intake as well as more traditional means of application for services.
  
- **Legal Information for Low Income Persons:** We have added a baseline and references to resources regarding the provision of information in a user-friendly, accessible way for clients, including through the use of mobile-optimized content and social media.

- **Support for Pro Bono and Use of Private Attorneys:** This section has been revised based on recommendations in LSC's October 2012 Report of the Pro Bono Task Force.
- **Security:** This section includes updated baseline recommendations regarding backups, disaster recovery, social media policies, and policies for mobile devices and remote access. A new section on cloud computing has been added to address the need for policies addressing staff use of personal cloud technologies, as well as issues to consider when deciding what services might best be moved to the cloud.
- **Training and Technology:** New baselines have been added on providing training and support for advocates on the use of technology in light of updates to the ABA Model Rules of Professional Conduct, and on the use of new web and video conferencing tools to provide effective training.
- **Development/Fundraising:** The Fundraising and Marketing section has new recommendations regarding online donations, tracking donors, and using social media for outreach and fundraising, because more legal aid programs are engaging in soliciting donations from individuals and fundraising using new technologies.

## TECHNOLOGIES THAT SHOULD BE IN PLACE IN A LEGAL AID OFFICE TODAY

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>OVERALL PROGRAM CAPACITY</b>	<b>Planning</b>	<ul style="list-style-type: none"> <li>• Technology planning should be ongoing and integrated into the overall planning of the program for effective service delivery.</li> <li>• Technology planning should include an assessment of the program's current needs and capacities in an effort to effectively position the program to incorporate new technological advances as they evolve.</li> <li>• Technology plan should be reviewed and updated as needed every year.</li> <li>• Programs should consider the benefits and risks of cloud services as useful alternatives to self-hosted applications and servers for the organization, including for backup of data and disaster preparedness.</li> </ul>	<ul style="list-style-type: none"> <li>• Technology should serve the mission and vision of the legal aid program, rather than inadvertently defining or shaping that mission and vision. It is essential, therefore, that technology planning be part of a broader planning process that is itself strategically focused to identify the most significant issues facing the low income communities served by the program and to make deliberate choices about the best means to respond. (<i>ABA Civil Standards, Standards 2.1 and 2.2.</i>) In that context, the legal aid provider should consider how technology will most effectively assist it to respond to the low income communities it serves.</li> <li>• Programs should consider periodically (every 3-5 years) engaging an independent technology consultant, with expertise with nonprofit and/or legal services organizations, to audit their technology systems (e.g., systems administration, database system, network system, communication system, case management system, financial management system, security system) and recommend improvements that promote efficiency, effectiveness, and optimize performance. An independent consultant can help an organization understand the value and importance of technology upgrades and the return</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">ABA Standards for the Provision of Civil Legal Aid, Standard 2.10 on Effective Use of Technology.</a></li> <li>• An online technology planning tool is available at <a href="http://www.spiceworks.com">http://www.spiceworks.com</a></li> <li>• See the <a href="#">National Technology Assistance Project Statewide Technology Planning Manual</a></li> <li>• An overview of technology use by LSC grantees is available at <a href="http://lri.lsc.gov/program-administration/technology/technology-data/software-usage">http://lri.lsc.gov/program-administration/technology/technology-data/software-usage</a></li> <li>• The Nonprofit Technology Network (NTEN) offers a free quarterly journal on the use of technology for nonprofit leaders – <a href="#">NTEN: Change</a></li> <li>• <a href="#">NTEN's Nonprofit Technology Staffing &amp; Investments Report</a></li> <li>• <a href="#">Managing Technology to Meet Your Mission</a></li> </ul>

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OVERALL PROGRAM CAPACITY	Planning (cont'd)		<p>on investment through greater efficiency and performance.</p> <ul style="list-style-type: none"> <li>• Programs should consider forming a Technology Committee with representatives from various staff levels and departments to periodically review and assess the program's use of technology and to help plan future enhancements.</li> <li>• LSC Performance Criteria: <ul style="list-style-type: none"> <li><a href="#">Performance Area One</a>. Effectiveness in identifying the most pressing civil legal needs of low-income people in the service area and targeting resources to address those needs. Criterion 1, Criterion 2.</li> <li><a href="#">Performance Area Two</a>. Effectiveness in engaging and serving the low-income population throughout the service area. Criterion 1.</li> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> <li><a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 4, Criterion 6.</li> </ul> </li> </ul>	
	Budgeting	<ul style="list-style-type: none"> <li>• Adequate funds should be budgeted by the Board of Directors for: <ol style="list-style-type: none"> <li>1. the ongoing maintenance and upgrade of hardware and software;</li> <li>2. the personnel/consultants necessary to support and maintain the system; and</li> <li>3. training in the use of technology.</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>• The organization should develop a plan as to how it will fund or fundraise for necessary technologies.</li> <li>• LSC Performance Criteria: <ul style="list-style-type: none"> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">NTEN's Nonprofit Technology Staffing &amp; Investments Report</a></li> <li>• <a href="#">A Strategic Approach to IT Budgeting – how organizations can align technology spending with their overall mission and goals</a></li> <li>• <a href="#">LSNTAP's Overall Program Capacity: Budget and Personnel</a></li> </ul>

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OVERALL PROGRAM CAPACITY	Budgeting (cont'd)	<ul style="list-style-type: none"> <li>Technology costs should be considered in the budget of every project, program, and initiative.</li> </ul>	<p><a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Indicator (appropriate resources to establish/maintain technological infrastructure). Criterion 7.</p>	<ul style="list-style-type: none"> <li>For guidelines on budgeting, see <a href="http://lsntap.org/node/259">http://lsntap.org/node/259</a></li> </ul>
	Personnel	<ul style="list-style-type: none"> <li>The organization should have at least 2 full-time technology staff or consultants per 100 full-time equivalent employees sufficient to: <ul style="list-style-type: none"> <li>Maintain equipment and networks;</li> <li>Maintain databases and software;</li> <li>Support and train program staff in the use of equipment and networks;</li> <li>Maintain basic knowledge of trends in technology security, nonprofit purchasing options, and technology best practices;</li> </ul> </li> <li>Adequate staffing or consultant time to maintain (or contribute content) to the statewide website and any program website.</li> </ul>	<ul style="list-style-type: none"> <li>All three of these aspects, planning, budgeting and personnel, are important; however appropriate consideration of personnel is often overlooked or taken too lightly. It is important to consider the personnel required to maintain the system and provide training to persons who will use it.</li> <li>An important ingredient of having “personnel” to support technology is the support of upper level management. Without support from senior management, many technology strategies will fail. Support is important in the form of a willingness to stand behind the integration of the technology into the operation of the law firm and the expenditure of funds for staff to support it and to train staff in its use.</li> <li>Having adequate personnel does not necessarily mean having permanent and paid staff. Implementation, maintenance and support of technological capacities can be outsourced to a professional organization or to a legal services organization that takes on such a role on a statewide, regional, or national basis.</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">NTEN's Nonprofit Technology Staffing &amp; Investments Report</a></li> <li><a href="#">LSNTAP's Overall Program Capacity: Budget and Personnel</a></li> </ul>



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<b>OVERALL PROGRAM CAPACITY</b>	<b>Personnel (cont'd)</b>		<ul style="list-style-type: none"> <li>LSC Performance Criteria               <ul style="list-style-type: none"> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a.</li> <li><a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Indicator (appropriate resources to establish/maintain technological infrastructure).</li> </ul> </li> </ul>	
<b>MANAGEMENT OF CLIENT AND CASE DATA</b>	<b>Case management system</b>	<p>The following capacities, including reporting features and access to client and case data, should be available in real time in all offices:</p> <ul style="list-style-type: none"> <li>Capture and retain client eligibility, case type, and other appropriate data at intake;</li> <li>Securely back up data in standardized data formats and, if required, move data to alternate systems;</li> <li>Screen applicants for eligibility and appropriate case type;</li> <li>Perform immediate conflict check;</li> <li>Enter and edit information in the CMS in real time;</li> <li>Securely and ethically transfer client and case data electronically to and from other service providers, provided that they have the appropriate technologies;</li> </ul>	<ul style="list-style-type: none"> <li>Aggregated data provided at intake can be a source of insight into patterns of issues facing low income communities and can be useful to program planning.</li> <li>Ethical obligations require conflict checks.</li> <li>LSC Performance Criteria:               <ul style="list-style-type: none"> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> </ul> </li> <li><a href="#">2015 Grant Assurances</a>: 8 (a) it [the grantee] will conduct program-wide conflicts checking contemporaneously with intake using a case management system with an electronic database, including when intake is conducted outside its offices and contemporaneous access to the case management system is available. (Applies to bullets 1, 2, 3, 4 and 5 in the Needed Capacities column.); also 2015 Grant Assurances 10, 11 &amp; 12 (cooperation with LSC and GAO inquiries and access to data)</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">LSNTAP's Selecting &amp; Implementing a Case Management System</a></li> <li><a href="#">LSTNAP's Case Management Resources</a></li> <li>Idealware's <a href="#">A Few Good Case Management Tools</a></li> </ul>

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<b>MANAGEMENT OF CLIENT AND CASE DATA</b>	<b>Case management system (cont'd)</b>	<ul style="list-style-type: none"> <li>• Generate reports and extract meaningful data (consistent with applicable privilege and ethical considerations) for strategic planning, program evaluation, reporting to LSC, responding to LSC requests for information, and other purposes, including comparison reports and running historical data;</li> <li>• Ability to assign the appropriate funding source to cases and activity records;</li> <li>• Allow the end user to easily configure various aspects of the CMS software application (e.g. any changing requirements on outcomes and reporting, adding/deleting data fields as needed);</li> <li>• Have the technological capacity to check for data integrity, ideally in an automated way (which ensures that integrity checks are performed regularly and uniformly), to reduce staff time and the risk of human error.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">LSC Regulations, 45 CFR Chapter 16</a> 1610—Use of non-LSC Funds, Transfers &amp; Program Integrity. 1611—Financial Eligibility. 1626—Alien Eligibility. 1630—Cost Standards.</li> <li>• <a href="#">LSC Act, 42 USC § 2996 et. seq.</a> § 1006(b)(3). §2996e(b)(3) (relating to professional responsibilities) § 1007(d), § 2996f(d)—Program evaluation § 1008, § 2996g—Records and reports § 1009(c), § 2996h(c)—Audits § 1010, § 2996i—Financing.</li> <li>• <a href="#">Accounting Guide for LSC Recipients</a>, particularly Chapters 2 and 3</li> <li>• <a href="#">§ 509(h), Pub. L. 104-134</a> (access to data)</li> <li>• <a href="#">CSR Handbook</a> (2008 Ed., as amended 2011)  II—Key Definitions III—Case Management Systems IV—Reporting Requirements V—Documentation Requirements VI—Types of Case Services VII—Referrals VIII—Case Definitions and Closure Categories IX—Legal Problem Categories and Codes X—Private Attorney Involvement Cases</li> </ul>	

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<b>PRODUCTION AND SUPERVISION OF LEGAL WORK</b>	<b>Case management system</b>	<ul style="list-style-type: none"> <li>Record case notes electronically including facts, advice and services offered, with deadlines.</li> <li>Generate simple forms and letters from the case management system.</li> <li>Generate reports and extract meaningful data for case planning and organizational planning.</li> <li>Provide remote access to the system, including databases as needed.</li> <li>Have a strategy for using the case management system to facilitate and expedite intake and case handling, such as phone routing, online intake routing, securely exchanging data with partner online intake tools, and future compatibility with electronic filing systems.</li> </ul>	<ul style="list-style-type: none"> <li>Many features of case management software rely on consistent use by everyone in the office. Remote supervision, for instance, cannot readily be accomplished unless the case handler being supervised has entered notes into the system for remote review. Group calendaring depends upon full use of the system. Full utilization, however, requires training and support and that the advocates using the system understand and experience the benefits of the system.</li> <li><a href="#">ABA Standard 5.4 on Case Files</a></li> <li>LSC Performance Criteria: <ul style="list-style-type: none"> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> </ul> </li> <li><a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) <ul style="list-style-type: none"> <li>II—Key Definitions</li> <li>III—Case Management Systems</li> <li>V—Documentation Requirements</li> <li>VI—Types of Case Services</li> <li>VIII—Case Definitions and Closure Categories</li> <li>IX—Legal Problem Codes Categories and Codes</li> <li>X—Private Attorney Involvement Cases</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li><a href="#">ABA Standards for the Provision of Civil Legal Aid</a>, (Standard 5.4)</li> <li>See the <a href="#">ABA's chart comparison of Practice and Case Management Software</a></li> <li>2013 TIG Conference presentation: <a href="#">How to Pull Your Case Management System Out of the 80's in Three Easy Steps</a></li> <li><a href="#">Demystifying Remote Access: Part 1</a></li> <li><a href="#">Demystifying Remote Access: Part 2</a></li> </ul>

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<b>PRODUCTION AND SUPERVISION OF LEGAL WORK</b>	<b>Calendaring</b>	<ul style="list-style-type: none"> <li>• A calendaring/tickler function for deadlines and appointments that can be viewed by appropriate staff.</li> <li>• Program-wide electronic calendaring system.</li> </ul>	<ul style="list-style-type: none"> <li>• The program-wide calendaring system is intended to provide calendaring for program events, not for each individual's appointments, which should be separately available through an electronic calendaring function. However, court and other important dates should be on a shared calendar, whether program-wide or office-wide.</li> <li>• <a href="#">ABA Standard 5.3 on Maintenance of Records</a></li> </ul>	<ul style="list-style-type: none"> <li>• Idealware's <a href="#">Comparing Google Apps to Microsoft Outlook</a></li> </ul>
	<b>Document production</b>	<ul style="list-style-type: none"> <li>• Effective use of productivity software such as word processing, spreadsheets, and presentation software and training in their use.</li> <li>• Develop a strategy to automate forms and pleadings that staff and pro bono advocates use routinely that includes management of forms from a central location, with a system to assure that forms and pleadings are updated for legal sufficiency. Staff should receive training in the use of the automated documents.</li> <li>• Provide technology tools to assist staff in working collaboratively on the production of large projects, such as major briefs and pleadings.</li> <li>• Capability of creating PDF documents as well as converting them to editable files.</li> </ul>	<ul style="list-style-type: none"> <li>• Several factors affect the degree to which document assembly software is useful to advocates and is used by them. <ul style="list-style-type: none"> <li>○ Advocates must be fully trained in its use</li> <li>○ The content needs to be accurate and kept up-to-date and responsive to the needs of the advocate in serving clients.</li> </ul> </li> <li>• Consider as part of document assembly the effective use of substantive law software, such as child support calculation tools, and bankruptcy filing tools.</li> <li>• LSC Performance Criteria: <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">LawHelp Interactive</a></li> <li>• <a href="#">LawHelp Interactive Resource Center</a></li> <li>• <a href="#">Chicago-Kent College of Law, A2J Author®</a></li> <li>• <a href="#">A2J Author® Community Site</a></li> <li>• ABA Legal Technology Resource Center's <a href="#">FYI: Document Assembly</a></li> <li>• See the Forms library of <a href="#">Self-helpSupport.org</a> membership (to view)</li> <li>• <a href="#">TechNotes: Automate Your Documents</a> provides a good overview of document assembly and software options.</li> <li>• TechSoup article <a href="#">A Few Good Tools for Sharing Files with Distributed Groups</a></li> </ul>

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<b>PRODUCTION AND SUPERVISION OF LEGAL WORK</b>	<b>Document production (cont'd)</b>	<ul style="list-style-type: none"> <li>Capability for electronic filing of pleadings when required or allowed by court systems.</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">2015 Grant Assurances</a>: 8 (d) it [the grantee] has the capacity to convert paper documents into Portable Document Format (PDF) and the capacity to transmit those documents as electronic files. (Applies to bullet 4 in the Needed Capacities column)</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Principles and Best Practices For Access Friendly Court Electronic Filing</a></li> </ul>
	<b>Timekeeping</b>	<ul style="list-style-type: none"> <li>Electronic timekeeping is available and utilized.</li> </ul>	<ul style="list-style-type: none"> <li>LSC Performance Criteria: <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3.</li> <li><a href="#">LSC Regulations, 45 CFR Chapter 16</a>  1635—Timekeeping  1610—Use of non-LSC funds, transfers of LSC funds, program integrity (sub-recipient timekeeping)  1614—Private Attorney Involvement (PAI documentation of time)</li> </ul>	

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			<p>1630—Cost standards and procedures (general documentation of time related to costs)</p> <p>(1630.3(d) personnel activity reports)</p> <ul style="list-style-type: none"> <li>• <a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) § 2.5—Who Can Provide Legal Assistance</li> </ul>	
	<b>Supervision</b>	<ul style="list-style-type: none"> <li>• Data to support the supervision of legal work, including case lists and activity, are available to supervisors and management.</li> <li>• As necessary, remote access to case files for review by supervisors.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">ABA Standard 6.4 on Review of Representation</a></li> <li>• LSC Performance Criteria: <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> <li>• <a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) § 2.5—Who Can Provide Legal Assistance</li> </ul>	<ul style="list-style-type: none"> <li>• A useful tool for legal work supervision in dispersed offices is web conferencing systems like GotoMeeting, JoinMe, WebEx, etc. For a full review of potential tools, see <a href="http://www.idealware.org/articles/few-good-online-conferencing-tools-1">http://www.idealware.org/articles/few-good-online-conferencing-tools-1</a></li> <li>• See LSNTAP's <a href="#">Executive Leadership Roundtable on Remote Supervision</a></li> </ul>
	<b>Online legal research</b>	<ul style="list-style-type: none"> <li>• Online tools for conducting legal research using up-to-date primary sources, including laws, regulations and cases, available from every advocate's desktop with staff training regarding its use.</li> <li>• Access to statewide materials, including forms and pleadings, legal education materials, brief banks, and topical email lists.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">ABA Standard 6.6 on Providing Adequate Resources for Research and Investigation</a></li> <li>• LSC Performance Criteria: <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> </ul>	<ul style="list-style-type: none"> <li>• Some <a href="#">Bar associations</a> provide free access to <a href="#">Fastcase</a>, an online legal research service</li> <li>• Statewide websites supported by Pro Bono Net and Urban Insight support access to statewide materials: <ul style="list-style-type: none"> <li>○ <a href="http://www.lawhelp.org">www.lawhelp.org</a></li> <li>○ <a href="http://www.probono.net/statewebsites/">www.probono.net/statewebsites/</a></li> <li>○ <a href="http://openadvocate.org/dlaw/">http://openadvocate.org/dlaw/</a></li> </ul> </li> </ul>

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<b>RECORDS MANAGEMENT</b>	<b>Electronic records</b>	<ul style="list-style-type: none"> <li>• Filing of all electronic records, retaining them in accordance with the program’s defined retention policies, assuring their accessibility and properly disposing of them when appropriate. Potential records in question include: <ul style="list-style-type: none"> <li>○ All data files associated with program software;</li> <li>○ Email messages;</li> <li>○ Instant messaging (where used);</li> <li>○ Transcribed or recorded telephone messages and conversations.</li> </ul> </li> <li>• Policies that govern permissions or access rights to electronic files, including the right to view, edit, move or rename files.</li> <li>• For LSC grantees, the records management system must be compliant with LSC and all other legal requirements in the maintenance of records, including the confidentiality of client records and access for LSC reporting and reviews.</li> </ul>	<ul style="list-style-type: none"> <li>• Records management should be undertaken with an awareness of the growing convergence between records management (all records), case management (data associated with a case or matter) and knowledge management (specific content that needs to be identified and made accessible on demand)</li> <li>• Instant messaging is an increasingly important means of interacting about legal work in law offices and may involve information and analysis relevant to a case. Such messages need to be made a part of the electronic case file.</li> <li>• 2015 Grant Assurance #18 requires retention of closed client files for a period of not less than five (5) years from the date the file is closed or for the period set by Federal, state, or local rules on maintenance of records, whichever is longer.</li> <li>• 2015 Grant Assurance # 17 requires grantees to maintain all records pertaining to the grant during the grant year and for such period(s) of time as prescribed by the <a href="#">Accounting Guide</a> for LSC Recipients, Appendix II (2010 Edition) after expiration of the grant year.</li> <li>• <a href="#">2015 Grant Assurances</a> 10, 11 &amp; 12 (cooperation with LSC and GAO inquiries and access to data)</li> </ul>	<p>See for example:</p> <ul style="list-style-type: none"> <li>• <a href="#">National Archives’ Toolkit for Managing Electronic Records</a></li> <li>• <a href="#">Microsoft’s Messaging Records Management strategy still evolving</a></li> <li>• <a href="#">Messaging Records Management</a></li> <li>• <a href="#">ARMA Standards/Best Practices for Information Governance</a></li> <li>• ABA’s <a href="#">FYI: Records Management/Document Retention</a></li> <li>• <a href="#">LSNTAP’s Primer on Document Management Systems</a></li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
RECORDS MANAGEMENT	Electronic records (cont'd)		<ul style="list-style-type: none"> <li>• LSC Performance Criteria: <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3.</li> <li>• LSC Act, 42 USC § 2996 <i>et. seq.</i> § 1006(b)(3), . § 2996e(b)(3) (relating to professional responsibilities) § 1007(d), § 2996f(d)—Program evaluation § 1008, § 2996g—Records and reports § 1009(c), § 2996h(c)—Audits § 1010, § 2996i—Financing.</li> <li>• § 509(h), Pub. L. 104-134 (access to data)§ 509(h), Pub. L. 104-134 (access to data)</li> <li>• <a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) Chapter III—Case Management Systems</li> <li>• Dec 8, 1997 Program Letter—Recordkeeping (listing major regulatory recordkeeping requirements and providing some reporting forms).</li> <li>• <a href="#">Accounting Guide</a> for LSC Recipients, particularly Appendix II, Description of Accounting Records (Retention time for Nonprofit Records)</li> </ul>	



Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>KNOWLEDGE MANAGEMENT</b>	<b>Pleading and brief banks, and other electronically stored data and information</b>	<ul style="list-style-type: none"> <li>• Store and retrieve sample pleadings, briefs, motions and other documents based on content.</li> <li>• Program staff use an effective method for finding documents by search or logical browsing, and can purge documents. Findability may be based on a document management system or content-searchable email lists, wikis, or shared folders.</li> <li>• Electronic access to internal forms and procedures.</li> <li>• Program-wide accessible and searchable contacts management system.</li> <li>• Electronic access to practice guides.</li> </ul>	<ul style="list-style-type: none"> <li>• Effective knowledge management requires adequate staff time to identify appropriate content for inclusion in the system and to tag it appropriately for easy accessibility. Staff who produce the materials that become part of the knowledge to be made available need to be committed to identifying and submitting documents, such as briefs and pleadings. To that end, there should be appropriate training and visible support for the system from the program's senior management.</li> <li>• Consider how technology can be used to institutionalize knowledge of key employees (what they know, what they do, specialized skills, etc.)</li> <li>• Programs may use the contacts management system to store information on contacts, such as pro bono and PAI attorneys, courts, judges, and adversarial counsel.</li> <li>• LSC Performance Criteria: <ul style="list-style-type: none"> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Inquiry Area re: knowledge management strategy.</li> <li><a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• ABA's <a href="#">FYI: Records Management/Document Retention</a></li> <li>• <a href="#">LSNTAP's Primer on Document Management Systems</a></li> <li>• ABA Legal Technology Resource Center <a href="#">FYI: Paperless Office Technology--Scanners, OCR, PDFs, and Document Management Software</a></li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>INTAKE AND TELEPHONIC ADVICE</b>	<b>Telephone systems</b>	<ul style="list-style-type: none"> <li>• Programs should monitor call volume and craft a strategy as to how it will address issues around excess demand to provide information over the phone to callers.</li> <li>• Call routing by language, substantive and/or geographic area.</li> <li>• Ability to serve persons with speaking or hearing disabilities through access to TTY or relay</li> <li>• Technology to review busy signals, wait times, dropped calls, etc.</li> <li>• If the program does telephone call backs, it should look at technology systems that facilitate an efficient callback system.</li> <li>• Provide recorded information to caller while waiting on hold or after hours.</li> <li>• General intake should consider online intake as well as more traditional means of application for services.</li> </ul>	<ul style="list-style-type: none"> <li>• Telephone systems should be designed to meet the needs of relevant client populations. This includes language proficiency and sensory impairment issues, as well as consideration of difficulties seniors may have with automated attendant systems, the cultural differences that may deter new immigrants from understanding automated advice, etc.</li> <li>• If exploring a new telephone system, consider a VOIP system with the capacity to transfer calls between offices and to accommodate intake by remote staff or volunteers.</li> <li>• LSC Performance Criteria:</li> <li>• <a href="#">Performance Area Two</a>. Effectiveness in engaging and serving the low-income population throughout the service area. Criterion 1.</li> <li>• <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</li> <li>• <a href="#">Program Letter 02-4—Characteristics of a Telephone Intake, Advice and Referral System</a></li> <li>• LSC Regulations, 45 CFR § 1624—Disability Discrimination.</li> <li>• LSC Act, 42 USC § 2996 et. seq.</li> <li>• § 1006(b)(6), § 2996e(b)(6), (related to languages other than English).</li> <li>• § 1007(a)(2)(C), § 2996f(a)(2)(C) (related to special needs populations).</li> <li>• <a href="#">Program Letter 04-2—Limited English Proficiency</a>.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Online Intake: The ‘whats’ and the ‘whys’ of online intake</a></li> <li>• LSNTAP webinar <a href="#">Beyond Online Intake: Looking at Triage and Expert Systems</a></li> <li>• <a href="#">Evaluating Online Intake: What are we learning?</a></li> <li>• <a href="#">Triage and Expert Systems in Legal Aid</a></li> <li>• LSNTAP Training Materials: <a href="#">Roadmap to Starting a LS Hotline</a></li> <li>• <a href="#">Management and Staffing for a Hotline</a></li> <li>• <a href="#">ABA Standards for Hotlines</a></li> <li>• <a href="#">Hotline Outcomes Assessment Study</a></li> <li>• <a href="#">Sample Intake Manuals on LRI</a></li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>INTAKE AND TELEPHONIC ADVICE</b>	<b>Electronic desk manual</b>	<ul style="list-style-type: none"> <li>• Readily available, centrally located, and easily updated electronic guide for intake workers to provide appropriate information, advice or referral.</li> </ul>	<ul style="list-style-type: none"> <li>• This could be built into a case management system or be available on a shared drive.</li> </ul>	<ul style="list-style-type: none"> <li>• See the <a href="#">Illinois Attorney Desk Reference Manual</a></li> </ul>
	<b>Case management system</b>	<ul style="list-style-type: none"> <li>• See Case Management System capacity section above.</li> </ul>	<ul style="list-style-type: none"> <li>• LSC Performance Criteria: <a href="#">Performance Area Two</a>. Effectiveness in engaging and serving the low-income population throughout the service area. Criterion 1.</li> <li>• See Considerations in Case Management System capacity section above.</li> </ul>	<ul style="list-style-type: none"> <li>• See links above regarding case management systems.</li> </ul>
<b>LEGAL INFORMATION FOR LOW INCOME PERSONS</b>	<b>Legal Information via Websites and Social Media</b>	<ul style="list-style-type: none"> <li>• Programs should collaborate in providing a statewide website with the following features: <ul style="list-style-type: none"> <li>○ Current information regarding the program and its services;</li> <li>○ Accurate and current community legal education/pro se related materials and referral information written in plain language;</li> <li>○ Capacity to serve persons with limited English proficiency;</li> <li>○ Website designed and maintained in compliance with <a href="#">Section 508 of the Rehabilitation Act of 1973</a> as amended.</li> <li>○ LSC programs' participation in the website is in compliance with LSC restrictions</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• TIG grants require content maintenance protocol with periodic reviews</li> <li>• The program should assure that the program's content on the statewide website is up-to-date and accurate. To that end, the program needs to assure that resources are dedicated to the writing and updating of web content, including assuring that it is written in simple language that can be understood by persons using the website.</li> <li>• To the extent possible, a program should be certain that the content of websites to which it refers people is accurate and up-to-date. For frequently used websites, it may wish to confirm that the website has quality control measures and spot check the contents.</li> <li>• Pleadings and other forms for use by pro se litigants should be developed as much as possible in partnership with the courts in which they will be used.</li> </ul>	<ul style="list-style-type: none"> <li>• Statewide websites supported by Pro Bono Net and Urban Insight support access to statewide materials: <ul style="list-style-type: none"> <li>• <a href="http://www.lawhelp.org">www.lawhelp.org</a></li> <li>• <a href="http://www.probono.net/statewebsites/">www.probono.net/statewebsites/</a></li> <li>• <a href="http://openadvocate.org/dlaw/">http://openadvocate.org/dlaw/</a></li> </ul> </li> <li>• See Also: <ul style="list-style-type: none"> <li>• <a href="#">The Expanding Role of Statewide Websites</a></li> <li>• <a href="#">Best Practice Guidelines for Legal Information Web Site Providers</a></li> <li>• <a href="#">Integrating Your Website with Your Delivery System</a></li> <li>• <a href="#">Online Resources to Assist Self-Represented Litigants</a></li> </ul> </li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>LEGAL INFORMATION FOR LOW INCOME PERSONS</b>	<b>Legal Information via Websites and Social Media</b> (cont'd)	<ul style="list-style-type: none"> <li>• In addition to general legal information available on a statewide website, the organization itself should have a compelling web presence that includes:               <ul style="list-style-type: none"> <li>○ Description of what services the program offers;</li> <li>○ How to contact the program;</li> <li>○ How to apply for services.</li> </ul> </li> <li>• Organization should have a strategy as to whether and how it should use social media to reach out to potential clients and the low income community. Should an organization use social media for outreach or legal information, it should have a policy to govern its proper use.</li> </ul>	<ul style="list-style-type: none"> <li>• The program should also have a policy regarding whether it records and protects the confidentiality of information provided by users of websites and kiosks in the course of preparing self help pleadings and other documents</li> <li>• LSC Performance Criteria: <a href="#">Performance Area Two</a>. Effectiveness in engaging and serving the low-income population throughout the service area. Criterion 2.</li> <li>• <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 3.</li> <li>• <a href="#">2015 Grant Assurances</a>: 9. It [the grantee] will work with other LSC and non-LSC-funded legal services providers in the State to ensure that there is a statewide Website that publishes a full range of community legal education/pro se related materials and referral information, at least covering the common topics facing the client communities on the subject matters that are the Applicant's priorities. (Applies to bullets 1 and 2 in the Needed Capacities column)</li> <li>• <a href="#">2015 Grant Assurances</a>: 9. As a member of the (Stakeholders) Committee it [the grantee] will work to ensure that: . . . 2) the Website is periodically evaluated and updated for ease of use and accessibility, 3) the LSC logo is included on the website, at least on the homepage, and 4) the website indicates that LSC funded programs partic-</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Connecticut TIGs Enhance State's Web-Based Legal Resources</a></li> <li>• <a href="#">Beyond the Like: Social Media Engagement</a></li> <li>• <a href="#">SEO and Internet Marketing</a></li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>LEGAL INFORMATION FOR LOW INCOME PERSONS</b>	<b>Legal Information via Websites and Social Media</b>  (cont'd)		<p>ipate in the website consistent with LSC restrictions. . . (Applies to bullets 3, 4 and 5 in the Needed Capacities column)</p> <ul style="list-style-type: none"> <li>LSC Regulations, 45 CFR § 1624— Prohibition against discrimination on the basis of handicap.</li> <li>LSC Act, 42 USC § 2996 <i>et. seq.</i> § 1006(b)(6), § 2996e(b)(6) (relating to languages other than English). § 1007(a)(2)(C), § 2996f(a)(2)(C) (relating to special needs populations).</li> <li><a href="#">Program Letter 04-2—Limited English Proficiency.</a></li> </ul>	
	<b>Mobile Technology for clients</b>	<ul style="list-style-type: none"> <li>Ability to provide information to clients who use mobile devices, such as through mobile compatible websites, mobile apps, or SMS text messaging.</li> </ul>	<ul style="list-style-type: none"> <li>Information websites must be redesigned for easy access by, and interaction with, mobile devices by providing information in smaller, simplified sections that are readable on a smartphone screen.</li> <li>Decisions on whether to develop mobile compatible websites or native mobile apps depend on both the use case and the estimated return on investment. A native app can interact with native phone functionality, such as the camera or the read/write feature of a user's contacts or calendar; however, these apps are generally more expensive to maintain and less convenient unless used regularly. Conversely, mobile-compatible web applications work</li> </ul>	<ul style="list-style-type: none"> <li>The <a href="#">LSC Report of The Summit on the Use of Technology to Expand Access to Justice's</a> vision and implementation plan for mobile technologies.</li> <li>The <a href="#">Mobile Web Development Guide for Legal Aid</a></li> <li>LSNTAP webinar recording of <a href="#">Using Mobile Phones for Service Delivery</a></li> <li><a href="#">Final Reports Page for Successful TIG Funded Projects:</a></li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>LEGAL INFORMATION FOR LOW INCOME PERSONS</b>	<b>Mobile Technology for clients (cont'd)</b>		<p>across mobile platforms and can be easily accessed through a user's browser.</p> <ul style="list-style-type: none"> <li>Studies have shown that read and response rates on SMS text messaging are significantly higher than other platforms, including email, making this technology critical to an organization's mobile strategy.</li> <li>LSC Performance Criteria: <ul style="list-style-type: none"> <li><a href="#">Performance Area Two</a>. Effectiveness in engaging and serving the low-income population throughout the service area. Criterion 2</li> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 3</li> </ul> </li> </ul>	
	<b>Community legal education</b>	<ul style="list-style-type: none"> <li>Community legal education presentations are supported by effective use of technology, such as online conferencing, videos, and other appropriate technologies.</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">ABA Standard 3.6 on the Provision of Legal Information</a></li> <li>LSC Performance Criteria: <ul style="list-style-type: none"> <li><a href="#">Performance Area Two</a>. Effectiveness in engaging and serving the low-income population throughout the service area. Criterion 2</li> <li><a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 3</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>ShareLaw and ShareLawVideo – see <a href="#">webinar on the LSNTAP YouTube channel</a>.</li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>SUPPORT FOR USE OF PRIVATE ATTORNEYS</b>	<b>Support for program efforts to accept, refer and track pro bono and PAI cases</b>	<ul style="list-style-type: none"> <li>• Programs should have the following technology in place to support their pro bono and PAI programs:               <ul style="list-style-type: none"> <li>○ A website that may include such features as allowing pro bono lawyers and other case handlers to review available cases and volunteer, posting of training and resource materials, and calendars of training opportunities;</li> <li>○ A case management system that will track referred cases, time spent on those cases and work accomplished, and automate oversight of pro bono and PAI cases to promote timely case closure;</li> <li>○ A strategy to share client and case data securely with volunteers using electronic means.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• LSC Performance Criteria:</li> <li>• <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a. , Criterion 1.b., and Criterion 3 are applicable</li> <li>• LSC Regulations, 45 CFR Part 1614—Private Attorney Involvement.</li> <li>• <a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) Chapter X—Private Attorney Involvement Cases</li> </ul>	<ul style="list-style-type: none"> <li>• LSNTAP webinar recordings:               <ul style="list-style-type: none"> <li><a href="#">Innovations in Technology-Enabled Pro Bono</a> (2014)</li> <li><a href="#">Tech-Enabled Pro Bono</a> (2013)</li> <li><a href="#">Innovations in Technology-Enabled Pro Bono</a> (2012)</li> </ul> </li> <li>• <a href="#">Private Attorney Involvement resources</a> on LSC's Resource Information (LRI) website</li> </ul>

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>SUPPORT FOR USE OF PRIVATE ATTORNEYS</b>	<b>Direct support for volunteer attorneys and other volunteer case handlers</b>	<ul style="list-style-type: none"> <li>• Program provides assistance and support in pro bono and PAI representation, which may include automated documents, pleadings and brief banks.</li> <li>• Program provides volunteer attorneys and other case handlers with training and resource materials through the use of technology, such as web conferencing, video conferencing and hosted online trainings. <ul style="list-style-type: none"> <li>○ One way to provide these resources for volunteers would be to use a statewide website section dedicated to support for private attorneys and other case handlers.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• The extent to which private attorneys and others are able to avail themselves of technologically supported assistance is obviously a function of the degree to which they have technological capacity to do so, a factor that varies considerably by location and size of office.</li> <li>• LSC Performance Criteria: <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b., and Criterion 3 are applicable.</li> </ul>	<ul style="list-style-type: none"> <li>• Statewide websites supported by Pro Bono Net and Urban Insight support access to statewide materials: <ul style="list-style-type: none"> <li>• <a href="http://www.lawhelp.org">www.lawhelp.org</a></li> <li>• <a href="http://www.probono.net/statewebsites/">www.probono.net/statewebsites/</a></li> <li>• <a href="http://openadvocate.org/dlaw/">http://openadvocate.org/dlaw/</a></li> <li>• <a href="http://openadvocate.org/websites/">http://openadvocate.org/websites/</a></li> </ul> </li> </ul>
<b>SECURITY</b>	<b>Firewalls, antivirus, anti-spam, and anti-spyware applications, backup and appropriate policies regarding use of data and computers</b>	<ul style="list-style-type: none"> <li>• Operating systems, antivirus software, and other software applications have the most current patches and definition updates.</li> <li>• Maintain backup and recovery systems pursuant to grant assurances, including off-site backups.</li> <li>• Security policies and procedures for protecting client and case data, sensitive personal and personnel data, and all communications from loss or unauthorized intrusion.</li> <li>• Server equipment should be kept in a secure environment with appropriate ventilation and cooling.</li> </ul>	<ul style="list-style-type: none"> <li>• A legal aid organization has a significant amount of confidential information, both about its clients and its operations. As more of client and operational data is stored electronically, the risk of outside intrusion into the program's network increases as does the potential damage of such an intrusion. There are a variety of potential risks: <ul style="list-style-type: none"> <li>○ Direct hacking into the program's network;</li> <li>○ Potential loss or improper access to portable technology, such as laptops, tablets, mobile phones and flash drives;</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">LSC OIG Grantee Advisory - Preventing Information Security Breaches</a></li> <li>• <a href="#">TechSoup - Security Resources for Your Nonprofit or Library</a></li> <li>• <a href="#">ABA Committee on Disaster Response and Preparedness – Resources for Lawyers &amp; Law Firms</a></li> <li>• <a href="#">LSNTAP/Idealware presentation on Advanced Security</a></li> </ul>



Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
<b>SECURITY</b> (cont'd)	<b>Firewalls, antivirus, anti-spam, and anti-spyware applications, backup and appropriate policies regarding use of data and computers</b> (cont'd)	<ul style="list-style-type: none"> <li>• Disaster recovery plan (that includes periodic testing) for mission critical technology systems. Technology is included as part of the organization's disaster plan.</li> <li>• Policies regarding the use of the Internet and social media.</li> <li>• Policies to ensure the security and integrity of passwords.</li> <li>• Policies regarding the retention and deletion of data.</li> <li>• If an external instant messaging system is used to communicate confidential client data, encrypt it.</li> <li>• Policies for security of tablets, mobile devices, flash drives, and laptops including remote wipe and/or encryption. (See Mobile for Staff Use)</li> <li>• Where a program allows remote working, programs should have policies in place for security, data integrity, and data storage in remote workspaces.</li> </ul>	<ul style="list-style-type: none"> <li>○ Inappropriate use of the web by staff who may access high risk websites, exposing the firm to malicious software.</li> </ul> <p>A program should have policies, procedures and systems in place to help avoid such losses.</p> <ul style="list-style-type: none"> <li>• Legal aid law offices that use instant messaging should either encrypt the instant messaging or create internal instant messaging systems so that employees do not rely on external systems with attendant security and privacy issues</li> <li>• It is possible to outsource some responsibility for assuring the security level of a provider's information technology and communication system is adequate. Programs may have an outside firm conduct a security audit every year.</li> <li>• LSC Performance Criteria.  <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3.</li> <li>• <a href="#">2015 Grant Assurances</a>: 8(a) it [the grantee] has an information security system that ensures confidentiality and security of its operations, assets, data, and files. . (Applies to bullets 1 through 4, 7, 10, and 11 in the Needed Capacities column)</li> </ul>	

Purpose served	What should be in place	Needed capacities or functions	Important Considerations	Useful websites, resources and other tools
SECURITY (cont'd)	Firewalls, antivirus, anti-spam, and anti-spyware applications, backup and appropriate policies regarding use of data and computers (cont'd)		<ul style="list-style-type: none"> <li>• <a href="#">2015 Grant Assurances</a>: 8(b) it [the grantee] has a plan for backing up case management data, financial data, documents and other critical data. It [the grantee] performs these backups at least weekly and checks their integrity by restoring test files. Further, it [the grantee] stores copies of these backups in a safe, offsite location. (Applies to bullet 2 in the Needed Capacities column)</li> <li>• LSC Act § 1006(b)(3), 42 USC § 2996e(b)(3) (relating to professional responsibilities).</li> <li>• <a href="#">Accounting Guide</a> for LSC Recipients (particularly Chapter 3-6 Fraud Prevention)</li> </ul>	
	Cloud Computing	<ul style="list-style-type: none"> <li>• Programs should have policies addressing staff use of program-controlled cloud services and staff use of personal cloud services accounts not controlled by the program.</li> <li>• Programs moving applications or data to the cloud should consider terms of use, privacy policy, data ownership, security, and data portability.</li> </ul>	<ul style="list-style-type: none"> <li>• Organizations should consider what computing services could be hosted in the cloud rather than managed in-house. For example, some programs find it more cost effective to move their email hosting or case management system to a cloud based service, eliminating the need to maintain and secure complex in-house servers, particularly for programs with limited IT staffing resources.</li> </ul>	<ul style="list-style-type: none"> <li>• LSNTAP webinar recording, <a href="#">The Cloud Beckons, But is it Safe?</a></li> <li>• TechSoup article: <a href="#">What are the Benefits and Drawbacks of Cloud Computing?</a></li> </ul>

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<b>SECURITY</b> (cont'd)	<b>Mobile for Staff Use</b>	<ul style="list-style-type: none"> <li>• Organizations should establish policies to govern the use of organization-owned mobile equipment.</li> <li>• Organizations should establish policies to govern when employees can bring their own devices (BYOD) and what they can do with them. Policies should address who may access what services, level of support, remote wipe, cloud-based backups, and termination/revocation.</li> </ul>	<ul style="list-style-type: none"> <li>• Providing mobile access to work systems and information is inevitable in a modern law office. Fortunately, effective use of mobile provides greater work flexibility and can boost firm productivity. Regardless of whether a program adopts a BYOD policy or furnishes staff with program-owned mobile devices, a mobile use policy is necessary to protect important information systems and data. Mobile policies should at least ensure that:               <ul style="list-style-type: none"> <li>○ Devices are protected with at least a four-digit numerical PIN, if not a more complex password;</li> <li>○ An administrator can remotely wipe any mobile device used for work purposes;</li> <li>○ System access and work data stored on the device can both be easily removed when an employee leaves the program;</li> </ul> </li> <li>• Acceptable use is clearly defined and includes rules on downloading native apps and viewing websites.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">CommunityIT's webinar BYOD Strategy for Nonprofits</a> explains the BYOD concept and walks users through the steps necessary to establish an effective policy for their organization.</li> <li>• <a href="#">LSNTAP's article on BYOD and company owned, personally enabled (COPE) policies</a> covers staff mobile use issues in legal services.</li> <li>• <a href="#">LSNTAP sample BYOD policies from legal aid programs.</a></li> </ul>

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<b>TRAINING</b>	<b>Training and technology</b>	<ul style="list-style-type: none"> <li>• Assessment of organization-wide and individual technology training needs.</li> <li>• Training and support for all personnel in the use of appropriate systems, software and security best practices. As organizations develop new tools for clients, staff should be adequately trained to provide support on these tools.</li> <li>• Ongoing training for IT staff to leverage existing and new technology.</li> <li>• Train IT on existing policies for technology use and ABA ethical standards on technology.</li> <li>• Effective use of technology to deliver training, including, where appropriate, screen casting, video on-demand training, web chat and web conferencing, and hands on/in-person training.</li> <li>• Set technology standards for new hires and incorporate technology training as part of an employee orientation process.</li> </ul>	<ul style="list-style-type: none"> <li>• Grantees are encouraged to take advantage of national training venues for legal services and non-profits</li> <li>• <a href="#">ABA Model Rules of Professional Conduct</a>. See Rules (and Comments) 1.1, 1.4, 1.6 and 4.4</li> <li>• LSC Performance Criteria. <a href="#">Performance Area One</a>. Effectiveness in identifying the most pressing civil legal needs of low-income people in the service area and targeting resources to address those needs. Criterion 2. <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b. <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 4, Criterion 6.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Ethics Update: Lawyers Must Keep Up With Technology Too</a></li> <li>• <a href="#">The 21<sup>st</sup> Century T-Shaped Lawyer</a></li> <li>• <a href="#">Free Digital Literacy &amp; IT Skills training available on Alison.com</a></li> <li>• <a href="#">Free online software classes and tutorials available at GCFLearnFree.org</a></li> </ul>
	<b>Use of technology to deliver training on substantive law, legal skills, and administrative policies and procedures</b>	<ul style="list-style-type: none"> <li>• Technologically supported skills, substantive, and administrative training, such as access to on-demand training packages, including webinars and other online trainings, DVDs and podcasts.</li> </ul>	<ul style="list-style-type: none"> <li>• LSC Performance Criteria: <a href="#">Performance Area One</a>. Effectiveness in identifying the most pressing civil legal needs of low-income people in the service area and targeting resources to address those needs. Criterion 2. <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Southeast Louisiana Legal Services video tutorials on creating multimedia content using free and low cost tools</a></li> <li>• Idealware article on <a href="#">A Few Good Online Conferencing Tools</a></li> </ul>

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	Use of technology to deliver training on substantive law, legal skills, and administrative policies and procedures (cont'd)		<p>program activities intended to benefit the low-income population in the service area. Criterion 1.a., Criterion 1.b.</p> <p>Performance Area Four. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 4, Criterion 6.</p> <p><a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) Chapters II—X</p>	<ul style="list-style-type: none"> <li>• <a href="#">Building Bridges: An Introduction to Video Conferencing for the Legal Services Community</a></li> </ul>
<b>COMMUNICATION</b>	<b>Email, email lists, and other technologically supported communication methods</b>	<ul style="list-style-type: none"> <li>• Universal capacity to communicate through program provided email accounts.</li> <li>• Policy for proper use of email and other electronic communication tools.</li> <li>• Email lists by substance and administrative function, as appropriate.</li> <li>• Develop and use collaborative work environment tools such as blogs, wikis, real-time group editing tools, and web conferencing for internal and external communication.</li> </ul>	<ul style="list-style-type: none"> <li>• Increased use of technologies, such as Wikis, blogs, instant messaging and collaborative work spaces as well as email give rise to issues regarding privacy expectations. The program should have clear policies that govern appropriate use of such technologies and notify employees and others of the degree to which the information shared in them is private</li> <li>• LSC Performance Criteria: <ul style="list-style-type: none"> <li>• <a href="#">Performance Area Three</a>. Effectiveness of legal representation and other program activities intended to benefit the low-income population in the service area. Criterion 1.a., Inquiry area re: knowledge management strategy</li> <li>• <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 6.</li> </ul> </li> <li>• <a href="#">2015 Grant Assurances</a>: 8(e) each case handler has a computer at her or his work area that can perform all of the following functions: . . . , and</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">Collaboration Tools for Foundations</a> has tools and information relevant to any non-profit</li> <li>• TechSoup article - <a href="#">Collaborate with Wikis</a></li> <li>• Idealware article_– <a href="#">10 Reasons to Change Your Broadcast Email Tool</a></li> <li>• <a href="#">Five ways to improve internal communications at your non-profit</a></li> </ul>

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	<p><b>Email, email lists, and other technologically supported communication methods (cont'd)</b></p>		<p>email capability with the capacity to send and receive messages and attachments both internally and externally. (Applies to bullet 1 in the Needed Capacities column)</p> <ul style="list-style-type: none"> <li>• <a href="#">CSR Handbook</a> (2008 Ed., as amended 2011) Chapters II—X</li> </ul>	
<p><b>ADMINISTRATION</b></p>	<p><b>Internal communication mechanisms</b></p>	<ul style="list-style-type: none"> <li>• An internal communication mechanism for communications to staff (email, email lists, blogs, web conferencing).</li> <li>• Have a system for tracking technology issues.</li> </ul>	<ul style="list-style-type: none"> <li>• Technology can help facilitate internal program communications and depending on the setup of an organization a variety of tools could be considered, including an intranet using tools such as a Google site, SharePoint site or WordPress site. Email lists, instant messaging, web conferencing and video conferencing tools can also help enhance and facilitate internal communications.</li> <li>• For tracking technology issues, a program might consider implementing help desk software to accomplish this, but other tools/systems using spreadsheets or collaborative documents might be better suited, depending on the size and distribution of technology responsible staff.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="#">5 Nonprofit Tech Solutions for Improving Internal Communication</a></li> <li>• <a href="#">Unified Communications Options for Nonprofits</a></li> <li>• <a href="#">A Few Good Online Conferencing Tools</a></li> <li>• <a href="#">10 Best Intranets of 2015</a></li> <li>• </li> </ul>

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<b>ADMINISTRATION</b>	<b>Human resources management</b>	<ul style="list-style-type: none"> <li>• Maintain all appropriate personnel records electronically, including:               <ul style="list-style-type: none"> <li>○ Payroll;</li> <li>○ Timekeeping;</li> <li>○ Benefits administration.</li> <li>○ Maintain confidentiality of personnel data.</li> <li>○ Advertise positions and accept applications electronically.</li> </ul> </li> <li>• Generate appropriate and necessary personnel reports.</li> </ul>	<ul style="list-style-type: none"> <li>• Personnel, procedural and administrative manuals can be made available and constantly updated on a Wiki.</li> <li>• The ease with which staff members can obtain information such as available health benefits or remaining vacation days of sick leave can impact on their receptivity to other forms of technology.</li> <li>• LSC Performance Criteria:</li> <li>• <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 4.</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="http://lsntap.org/CMS_Functions_TimeKeeping">http://lsntap.org/CMS_Functions_TimeKeeping</a></li> <li>• See Idealware, <a href="http://www.idealware.org/articles/keeping-track-your-people-power-hr-and-technology-nonprofit-world">http://www.idealware.org/articles/keeping-track-your-people-power-hr-and-technology-nonprofit-world</a></li> </ul>

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	<b>Accounting</b>	<ul style="list-style-type: none"> <li>• Accounting systems should have the capacity to manage these functions:               <ul style="list-style-type: none"> <li>○ General ledger, payables, receivables and fixed assets;</li> <li>○ Payroll;</li> <li>○ Maintain client trust accounts;</li> <li>○ Track and report budgeting and expenditures;</li> <li>○ Generate all needed internal and external reports.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• To the extent that such opportunities exist, program management should seek to have its administrative personnel attend pertinent technology training and become involved in support networks that address the use of technology in program administration.</li> <li>• <a href="#">LSC Audit Guide for Recipients and Auditors</a></li> <li>• <a href="#">Accounting Guide</a> for LSC Recipients</li> <li>• LSC Act § 1006(b)(3), 42 USC § 2996e(b)(3), (relating to professional responsibilities).</li> <li>• LSC Act § 1010, 42 USC § 2996i—Financing.</li> <li>• LSC Performance Criteria: <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, 4 and 7.</li> <li>• <a href="#">LSC Regulations, 45 CFR Chapter 16</a> 1610—Use of non-LSC Funds, Transfers &amp; Program Integrity. 1630—Cost Standards and Procedures.</li> <li>• LSC Performance Criteria: <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 4.</li> </ul>	<ul style="list-style-type: none"> <li>• Idealware's <a href="#">A Few Good Accounting Packages</a></li> <li>• <a href="#">Software Usage by LSC Grantees</a></li> </ul>
	<b>Grant maintenance</b>	<ul style="list-style-type: none"> <li>• Grant maintenance system that can track each grant, including:               <ul style="list-style-type: none"> <li>○ information on grant requirements, restrictions and commitments;</li> <li>○ tracking of expenditures and ac-</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• LSC Performance Criteria: <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, 4 and 7.</li> <li>• <a href="#">LSC Regulations, 45 CFR Chapter 16</a></li> </ul>	<ul style="list-style-type: none"> <li>• See TechSoup's article <a href="#">The Basics of Grant and Prospect Research</a></li> <li>• <a href="#">TechSoup's Choose the Right Donor Management Software</a></li> </ul>



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		<ul style="list-style-type: none"> <li>tivities;</li> <li>o management of reimbursables;</li> <li>o indirect cost calculations;</li> <li>o control of expenditures against budget;</li> <li>o generation of reports and tracking of deadlines.</li> <li>• Maintenance of contact information.</li> </ul>	<ul style="list-style-type: none"> <li>1610—Use of non-LSC Funds, Transfers &amp; Program Integrity.</li> <li>1630—Cost Standards and Procedures.</li> <li>• LSC Act § 1010, 42 USC § 2996i—Financing.</li> <li>• <a href="#">Accounting Guide</a> for LSC Recipients</li> </ul>	<ul style="list-style-type: none"> <li>• For detailed reviews of fundraising databases, see the Idealware report <a href="#">A Consumers Guide to Donor Management Systems</a>.</li> </ul>
<b>DEVELOPMENT AND FUNDRAISING</b>	<b>Fundraising and marketing</b>	<ul style="list-style-type: none"> <li>• In addition to general legal information available on a statewide website, the organization itself should have a compelling web presence that includes: <ul style="list-style-type: none"> <li>o Description of what services the program offers;</li> <li>o Information about volunteer and donation opportunities, as appropriate;</li> <li>o Ability to donate online;</li> <li>o Use of a modern content management system to enable staff to quickly and easily update it;</li> <li>o Website should be hosted off-site.</li> </ul> </li> <li>• Organization should have a strategy as to whether and how it should use social media to reach out to potential supporters, volunteers, and donors. Should an organization use social media for outreach, it should have a policy to govern its proper use.</li> </ul>	<ul style="list-style-type: none"> <li>• LSC Performance Criteria: <a href="#">Performance Area Four</a>. Effectiveness of governance, leadership and administration. Criterion 3, Criterion 4.</li> <li>• <a href="#">LSC Regulations</a>, 45 CFR § 1610.5 (Notification).</li> </ul>	<ul style="list-style-type: none"> <li>• See TechSoup's article <a href="#">The Basics of Grant and Prospect Research</a></li> <li>• TechSoup's <a href="#">Choose the Right Donor Management Software</a></li> <li>• For detailed reviews of fundraising databases, see the Idealware report <a href="#">A Consumers Guide to Donor Management Systems</a>.</li> </ul>

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<b>DEVELOPMENT AND FUNDRAISING</b>	<b>Fundraising and marketing (cont'd)</b>	<ul style="list-style-type: none"> <li>• Electronically track the contact information, donation and contact history for each individual donor, if the organization has individual donors.</li> <li>• Ability to generate reliable reports of donors that meet specific criteria, such as interests and giving history.</li> <li>• Generation of letters, reports, and other appropriate documents.</li> </ul>		