Electronic Document Management Guide

VERSION 7

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Guiding principles

Townsville Community Law is a *paper-lite* office. All Townsville Community Law staff must utilise electronic document management for client services and non-casework matters or projects through the Community Legal Assistance Services System ("**CLASS**").

This is the only way to store and access client services and non-casework services and projects. One of the guiding principles of the EDM system is "**Electronic first**". In other words, the expectation is that we work electronically.

The Electronic Document Management Guide (the "**Guide**") is a training manual, providing an overview of managing documents in CLASS and the steps you must undertake to create, maintain and close services. All staff must:

1. Review the Guide in detail and comply with the steps set out in the Guide; and

2. Give any feedback regarding the Guide or electronic document management generally to Michael Murray or the Director of Townsville Community Law.

Client intake forms

There are two (2) different process with respect to the completion and storing of client intake forms, depending on the client's method of attendance – ***in person*** or ***not in person***. There is also a separate process for completing intake forms for ***existing clients*** (for instance, where an existing client has new contact details).

In person – new clients

1. The client completes the **CLIENT INTAKE FORM** in person at the office.

2. The worker takes the **CLIENT INTAKE FORM** from the client.

3. After the appointment, the worker uploads the form to the client record on CLASS by:

    a. Navigating to the client's **TRIAGE** service;

    b. Clicking on the **CLIENT NAME**;

    c. Navigating to the **DOCUMENTS TAB**; and

    d. Uploading the intake form to the **DOCUMENTS TAB**.

4. The **CLIENT INTAKE FORM** must be named and saved per the principles set out in the *Saving documents in CLASS* section of the Guide.

5. Upon completion, the **CLIENT INTAKE FORM** can then be destroyed.

Not in person – new clients

1. You must complete the **CLIENT INTAKE FORM** electronically for the client. The most up-to-date intake form is accessible by:

a. Navigating to the **MESSAGE BOARD** in CLASS.

b. Downloading the most up-to-date **CLIENT INTAKE FORM** by clicking on **ACCESS THE MOST UP-TO-DATE CLIENT INTAKE FORM HERE**.

2. Once the **CLIENT INTAKE FORM** is completed electronically for the client, you must name and save the document per the principles set out in the *Saving documents in CLASS* section of the Guide to the **CLIENT RECORD** in CLASS, not the triage or service record.

3. The steps to follow to save to the **CLIENT RECORD** are:

   a. Navigating to the client's **TRIAGE** service;

   b. Clicking on the **CLIENT NAME**;

   c. Navigating to the **DOCUMENTS TAB**; and

   d. Uploading the intake form to the **DOCUMENTS TAB**.

6. The **CLIENT INTAKE FORM** must be named and saved per the principles set out in the *Saving documents in CLASS* section of the Guide.

4. The **CLIENT INTAKE FORM** must not be printed where the client has not attended the office in person, and must remain in electronic form only.

In person and not in person – existing clients

1. A fresh **CLIENT INTAKE FORM** is must not be completed for an existing client unless:

   a. The client is seeing us regarding an entirely new legal matter; or

   b. The client's personal or contact details have changed.

2. The fresh **CLIENT INTAKE FORM** for an existing client must be completed per the instructions for *in person* and *not in person* set out above.

Case study consent, privacy policy & file destruction consent

1. For *in person* appointments, you must ensure the client has completed and signed the case study consent (whether they agree or not), the privacy policy and the file destruction consent.

2. For *not in person* appointments, you must ensure the case study consent, privacy policy and file destruction consent are completed (whether they agree or not) by discussing these sections with the client.

Client services guide – an overview

You must complete client services electronically.

The Guide deals with client services under the following categories:

1. New services for triaged clients;
2. New services for existing clients; and
3. Open services.

Remember, the **CLIENT INTAKE FORM** should be saved to any **CLIENT RECORD** simultaneously or prior to creating client services.

Client services guide - new services for triaged clients

New services for triaged clients are required generally when a new client is booked in to see a staff member.

New clients should always be triaged in CLASS. If new clients are not triaged in CLASS, you are required to raise this with the person who booked the appointment, and have a triage created prior to your appointment.

This section is broken down into the phases of your interaction with the client, *before your appointment, during your appointment, after your appointment (finalising the service record) and after your appointment (data entry and complying with the Risk Management Guide)*, with some additional notes set out at the end.

Before your appointment

1. Navigate to the **TRIAGE** tab in CLASS.

2. Find the client you are seeing by searching for the client's surname under the **LAST NAME** text box in CLASS.

3. Click on the client's **TRIAGE SERVICE ID** in the **SERVICE ID** section.

4. This will open up the client's triaged service.

During your appointment

5. You must ensure the client intake form is completed per the client intake form section of the Guide.

6. During your appointment you will be in the client's triaged service. Navigate to the **ACTIONS** tab.

7. Select **NEW** to create a new action.

8. Select **FILE NOTE** as the **ACTION TYPE**.

9. Select the relevant **CONTACT METHOD** (i.e. telephone for a telephone appointment).

10. After you have selected this, you can type in your file note into the text box, including all of the details that you are required to include in a file note. You are not required to 'sign' the file note, as CLASS will record that it has been created by you in the **SERVICE AUDIT**.

11. Once you have completed your file note, select **SAVE & CLOSE**.

After your appointment (finalising the service record)

12. You will automatically now be taken back to the **ACTIONS** tab in CLASS for this service. Select **NEW** to create a new action. Selection **LIMITATION PERIOD** as the **ACTION TYPE**, and record whether there is an applicable limitation date in the text box (type N/A if not applicable). Tick the **COMPLETE** box, by selecting it, then select **SAVE & CLOSE**.

13. You must record the limitation date, even if it is not applicable.

14. Your file note has now been completed and stored on the service record, and you have also noted any applicable limitation dates.

15. If you are required to save or scan any client documents to the service record, follow these steps:

    a. Navigate to the **DOCUMENTS** tab in the service record;

    b. Select **NEW** within the **DOCUMENTS** tab;

c. Upload or drag your documents across, ensuring that they are saved in the required format as set out in the Guide under the section *Saving documents in CLASS*.

d. Select **SAVE & CLOSE**.

e. Your documents have now been saved in reverse chronological order in CLASS.

16. If the client has not attended in person, you must upload the completed client intake form in accordance with the Guide.

After your appointment (data entry and complying with the Risk Management Guide)

17. Navigate to the **ACTIONS** tab in the service record.

18. Select **NEW** to create a new action.

19. Select **DATA ENTRY** as the **ACTION TYPE**.

20. Add the administration support worker or person responsible for data entry to the **ASSIGNED TO** section. Do not remove your name from this section, and ensure it still appears alongside the administration support worker.

21. Select **SEND CALENDAR FILE** by ticking the box.

22. You must fill in the required data entry information (depending on the service provided) which is set out in the Data Entry Template section of the Guide.

23. Select **SAVE & CLOSE**. An email advising both you, and the administration support worker, that data entry is required will then automatically be sent by CLASS.

Other notes

Some important points to keep in mind:

- If you are a caseworker, you must not. Data entry should always be communicated to the administration support worker.

- Depending on what Data Entry Template was sent to the administration support worker, the service will automatically be converted from a triage, to a service.

- All of your notes and documents will carry over to the new service.

- If further work is required after your appointment with the client, you will need to utilise the reminder process as set out in the Guide below, or create a fresh triage for a further service by following the steps in the Guide.

- If a triage was created for you, you must check that each additional party has been entered in the triage service. The administration support worker may not catch additional parties that are raised for the first time during the appointment.

Client services guide - new services for existing clients

New services for existing clients are generally used when you, or another staff member have seen a client previously, and they require further work or assistance from us.

It must be used where there is already a client record, but there may not be a triage. For example, a staff member provides advice to a client regarding their Disability Support Pension. This is recorded as an advice. One week later, the client contacts the staff member again, asking for assistance drafting submissions. The staff member agrees to do it, and this will then be recorded as a subsequent service.

To record the service, follow the steps below.

24. Navigate to the **NEW INTAKE** tab in CLASS.

25. In the **SERVICE TYPE** tab, select **TRIAGE**.

26. Select the **FUNDING CATERGORY** from the drop-down list as required.

27. Select the **PROBLEM TYPE** by clicking on the **PROBLEM TYPE** section.

28. The only client details that you are required to enter under the **CLIENT DETAILS** section are:

    a. Client's First Name; and

    b. Client's Surname.

29. Click on the **STEP 2 – ADDITIONAL PARTIES** tab.

30. Enter the additional parties by:

    a. Select the **ADD PARTY** tab; and

b. Enter the parties as necessary

c. Select the **SAVE & CLOSE** tab when you have entered all parties.

31. Select the **INTAKE STEP 3** tab.

32. Conduct a conflict search of the relevant parties if required.

33. Select the **SAVE SERVICE** tab.

34. This will bring you back to the **TRIAGE** section of CLASS.

35. You can now find the **TRIAGE** service that you created, and perform whatever actions you are required to by referring to steps 1 – 23 above.

Client services guide - open services

The Open Services section of the Guide should be used when entering data, notes etc. for an open service only, such as a:

- Court / Tribunal;
- Other Representation; or
- Dispute Resolution.

This section is broken down into common phases of an open service: *recording advice or other notes to the service record, recording documents to the service record and closing the service.*

Recording file notes to the service record

36. This can be done as per points 6 – 11 of the Guide set out above.

Recording documents to the service record

37. This can be done as per point 15 of the Guide as set out above.

Closing the service

38. To close a service, navigate to the **ACTIONS** tab of the relevant service.

39. Select **NEW** to create a new action.

40. Select **DATA ENTRY** as the **ACTION TYPE**.

41. Add the administration support worker or person responsible for data entry to the **ASSIGNED TO** section and ensure that your name still appears in this section too, alongside the administration support worker.

42. Select **SEND CALENDAR FILE** by ticking the box.

43. Fill in the required close service data entry information, which is set out in the Data Entry Template section of the Guide.

44. Select **SAVE & CLOSE**. An email advising both you, and the administration support worker, that data entry is required will then automatically be sent by CLASS. Once the data has been entered, you will receive a confirmation email from the administration support worker.

45. The administration support worker will send the **CLOSED SERVICE REVIEW** to the responsible person in accordance with the Risk Management Guide.

Client services guide - using reminders

As physical files no longer exist, utilising an effective reminder or bring up system is essential.

The **ACTION TYPE** called **REMINDERS** will now serve as the bring up or reminder for the service.

A few common scenarios where **REMINDERS** should be used include:

- Recording relevant limitation dates for which you would need a reminder beforehand (court order dates, submissions due by dates etc.).
- Recording further work that may be required on top of a single service, for example:
    - A staff member provides an advice to a client regarding his application for DSP;
    - Staff member agrees during that appointment, to provide a brief submission in writing to the Administrative Appeals Tribunal;
    - Under the **TRIAGE** that the staff member has been recording the client interaction, the staff member should add an additional **REMINDERS** to open a legal task or court / tribunal service depending on the service agreed to;
    - This would then provide a reminder to the staff member in the future (depending on what date they selected) to open the additional service or undertake the additional work as required.

To create **REMINDERS**:

1. Navigate to the **ACTIONS** tab on either the triage, advice, legal task or open service that you wish to create the **REMINDERS** for.

2. Select the **ACTION TYPE** as **REMINDERS**.

3. Select the **DUE DATE** as the date you wish to be reminded or the matter is to be brought up again.

4. Fill in the text in the action note with whatever relevant information you require.

5. Select **SEND CALENDAR FILE** by checking the **SEND CALENDAR FILE** box.

6. Select **SAVE & CLOSE**.

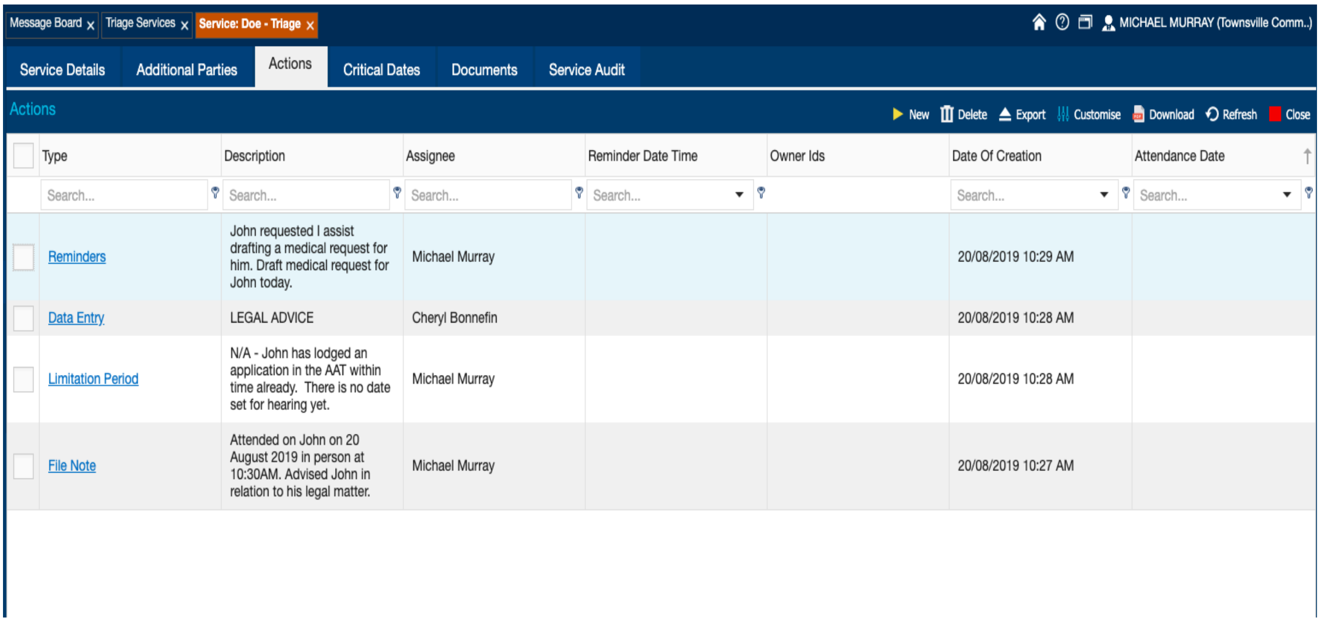
7. CLASS will then send an email to the staff member with the reminder as a calendar file.

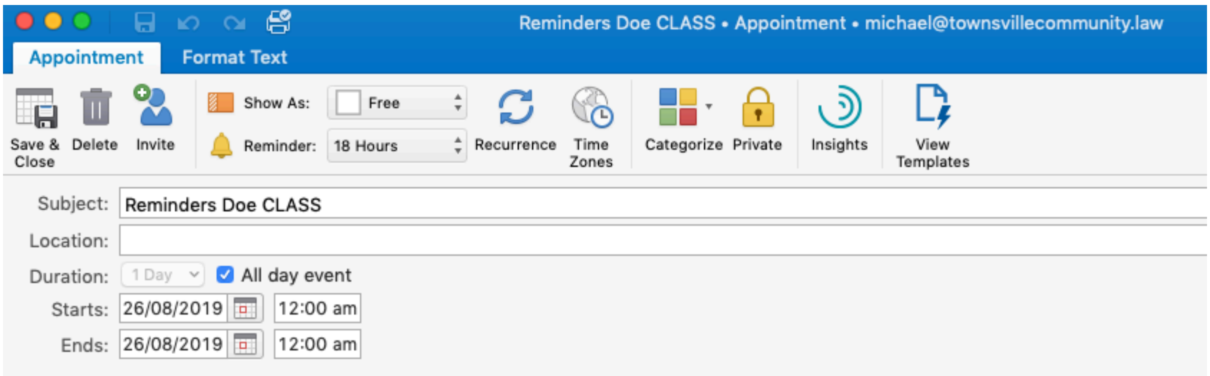
8. In Outlook, select the email and open the calendar file. Check the **ALL DAY EVENT** box in the calendar file and select **SAVE & CLOSE**.

9. The **REMINDERS** will then be saved as an all-day event at the top of the staff member's calendar in Outlook.

10. Staff members must check each day for CLASS **REMINDERS** in their calendar. Search the Service ID in the calendar file to view the reminder in CLASS and then action the work as necessary.

11. An example is set out on the following page.





Service ID: S83537
Client ID: C36994
First Name: John
Last Name: Doe
Organisation Name:
Service Type: Triage
Action Type: Reminders
Reminder Date: 26/08/2019 12:00:00 AM
Due Date: 26/08/2019 12:00:00 AM
Is Critical: No
Is Complete: No

Client services guide - recording court dates

The caseworker is required to record relevant court dates to the service record.

Court dates can be recorded via the **ACTION NOTE**, **COURT / TRIBUNAL DATE**, and saved to outlook by following the steps outlined in the *Using reminders* section of the Guide.

Client services guide - saving documents in CLASS

The process regarding saving documents is set out above. It is vital that there is consistency across staff members in terms of how documents are saved. Instructions are set out below under the headings, *File type, Naming documents and Storing documents in the interim*.

You must follow these instructions when saving documents in CLASS.

File type

Final documents must be uploaded as a PDF to CLASS (emails, final submissions, applications, court documents, letters etc.).

Drafts can be uploaded in word format so they can be amended at a later stage. If you are uploading a draft, the word 'draft' must be included in the file name as set out below.

Naming documents

Documents must be named as follows: yearmonthday ClientSurname Description.

For example:

- 20190618 Doe Email to Client
- 20190618 Doe Email to AAT
- 20190618 Doe AAT Submissions (draft)
- 20190618 Doe Client Intake Form

The documents on the file can then be accessed in reverse chronological order, similar to how a paper file was traditionally stored.

Staff members should also work towards consistency in description of documents. Some common documents and their correlating accepted descriptions are set out below.

Document	Accepted Description
When you send an email to your client	Email to Client
When you send an email to another party in the matter	Email to Name of Other Party (e.g. Email to ANZ)
Letters to your client	Letter to Client
Email to the court	Email to Court
Submissions for a court or similar matter	Submissions
Limited scope agreements or retainers	Email to Client (limited scope agreement)
Client Intake Form	Client Intake Form
Etc.	Etc.
Etc.	Etc.

Storing documents in the interim

Each staff member has a folder on the server called **000 Data Entry for CLASS**.

Documents can be stored in this folder in the interim before they are uploaded to CLASS. For instance, to upload an email you are required to save the email as a PDF. It can be saved to this folder, then immediately uploaded to CLASS and then deleted.

You must not leave documents in this folder for extended periods of time. These folders will be audited.

Remember – documents can be uploaded to a **TRIAGE** so there is no excuse for not uploading documents promptly.

Client services guide - client agreements and retainers

The Risk Management Guide requires that a client agreement or retainer be issued for ongoing legal services (other representation / court/tribunal / dispute resolution).

You must also provide a limited scope agreement to a client for legal task matters. Templates of both retainers and limited scope agreements are available and have been provided to all caseworkers.

These documents must be saved under the **DOCUMENTS** tab in the service record in CLASS per the *Saving Documents in CLASS* section of the Guide. They should be labelled clearly to indicate they are a client agreement or retainer (e.g. 20190703 Surname Email to Client (Limited Scope Agreement).

Client services guide - data entry templates

These templates must be cut and pasted in the **DATA ENTRY** action sent to administration support worker to action data entry.

You must provide all the information in the template to the administration support worker via the **DATA ENTRY** action in CLASS.

If you fail to do so, you will receive and email from the administration support worker asking you to resend the action with the correct information.

Data Entry Template – Legal Advice

Legal advice

All that needs to be sent to administration support worker to enter a legal advice is the words, 'Legal Advice'. The staff member should have entered everything else required in CLASS already.

Discreet non-legal

Discrete non-legal

All that needs to be sent to administration support worker to enter a discreet non-legal is the words, 'Discreet non-legal'. The staff member should have entered everything else required in CLASS already.

Data Entry Template – Legal Task

Legal Task

TYPE OF LEGAL TASK: Legal research, draft letter / email, request documents, draft documents, review documents, client communication assist (DELETE WHICHEVER IS NOT APPLICABLE)

HOURS SPENT ON LEGAL TASK:

CLOSE DATE:

Data Entry Template – New Service

New Service

SERVICE TYPE: Dispute resolution, court / tribunal, other representation, ongoing non-legal support (DELETE WHICHEVER IS NOT APPLICABLE)

FINANCIAL DISADVANTAGE: Receives a Centrelink benefit, satisfies LAQ means test, exempt from LAQ means test, income below Henderson Poverty Line, cannot access finances temporarily, does not have means to pay for legal representation without serious financial difficulty (DELETE WHICHEVER IS NOT APPLICABLE)

PRIORITY CLIENT: Under 24 years old, over 65 years old, Aboriginal and/or Torres Strait Islander, experiencing or at risk of family violence, experiencing or at risk of homelessness, in custody, residing in RRR area, culturally and linguistically diverse, people with a disability or mental illness, people with low education levels, single parents (DELETE WHICHEVER IS NOT APPLICABLE)

Data Entry Template – Close Service

Close Service

ESTIMATED TIME SPENT:

CHARACTERISTICS: might be useful as a case study, public interest element, test case, primary / alternative dispute resolution, further services to the community relevant (DELETE WHICHEVER IS NOT APPLICABLE)

LIST COURT / TRIBUNAL EVENTS, HEARING TYPES AND DATES:

REFERRALS MADE:

Client services guide - no shows

If you have an appointment booked with a client, and the client is a *no show*, ensure you complete the following:

1. Click on **TRIAGE** on the left-hand side of CLASS.

2. Navigate to the client's triaged service, and click on the **SERVICE NUMBER**.

3. Select the drop-down box regarding **SERVICE** and change the **TRIAGE** to an **INFORMATION**.

4. Click on the **ACTIONS** tab.

5. Select **ATTEMPTED CLIENT CONTACT**.

6. Complete the relevant note as to why the client did not attend the appointment (for example: *Employee's Name* called but there was no answer, a message was left to return the call should the person require an appointment).

7. Select **SAVE & CLOSE**.

8. Amend the calendar appointment to reflect that the client was a no show.

Client services guide - Principal Solicitor reviews for closed services (final service checking)

When a service has been closed, the administration support worker will send the Principal Solicitor an action named **CLOSED SERVICE REVIEW COMPLETED (PRINCIPAL SOLICITOR)**.

The Principal Solicitor should navigate to the service using the service ID in the action and review the electronic file. Navigate back to the **ACTIONS** tab and click on **CLOSED SERVICE REVIEW COMPLETED (PRINCIPAL SOLICITOR)**. Check the **COMPLETE** box. Click **SAVE & CLOSE**.

A **SERVICE AUDIT** of the service will show what time the file was reviewed, and the box checked by the Principal Solicitor.

If matters are outstanding or incorrect on the electronic file, the Principal Solicitor will send an action note to the caseworker to correct the file as necessary. It is the caseworker's responsibility to correct the file and send a further **CLOSED SERVICE REVIEW COMPLETED (PRINCIPAL SOLICITOR)** action note to the Principal Solicitor.

Client services guide - Principal Solicitor reviews for open services

The Risk Management Guide requires that file reviews be undertaken between a Principal Solicitor and caseworker for open services only. This would generally mean other representation, court / tribunal representation or dispute resolution. It may also capture some legal tasks.

To record that a file review has been conducted on an open service, undertake the following steps:

1. Worker logs into CLASS.

2. Select **MY SERVICES**.

3. Select **FILTER BUILDER**.

4. Add the following filter: **SERVICE STATUS -> EQUALS -> OPEN**

5. Uncheck and recheck the box at the bottom of the screen.

6. This will bring up the worker's current open services.

7. Select each service in order to conduct a service review and undertake the following steps to record same:

    a. Click on the relevant **SERVICE ID**.

    b. Navigate to the **ACTIONS** tab.

    c. Select **NEW** action.

    d. Select **OPEN SERVICE REVIEW (PRINCIPAL SOLICITOR)**.

e. Enter the service review notes or actions arising from the service review that must be undertaken by the caseworker.

f. Select the caseworker’s name in the **ASSIGNED TO tab**.

g. Select the reminder date (the date in which the action must be completed by.

h. Click the **SEND CALENDAR FILE** box.

i. Click **SAVE & CLOSE**.

This will send an email notification to the caseworker to record the action in Outlook. To record the action, the caseworker will need to open the calendar file and save it as an **ALL-DAY EVENT**.

Client services guide – conflict calling

This section should be used for conflict checking with the Principal Solicitor or responsible person.

Should you become aware that a potential conflict has arisen, and need to check that conflict with the Principal Solicitor, follow these steps:

Staff

1. Discuss with the Principal Solicitor as you ordinarily would to determine if the matter is a conflict.

2. If the matter is identified as a conflict:

    a. Email the Principal Solicitor the conflict (with the subject line being CONFLICT CALL CLIENT NAME), being sure to include the following details:

        i. Individual's name;

        ii. Individual's contact details;

        iii. Date they contacted our office;

        iv. Type of contact (in person/phone);

        v. What the matter is about;

        vi. The other party in the matter;

        vii. Why the potential conflict has occurred; and

        viii. Service number for any electronic records associated with the enquiry.

3. If you are anyone but the administration support worker, ensure you carbon copy the administration support worker in this email.

Principal Solicitor

4. For the Principal Solicitor, make the conflict call as necessary, and email your file note back to the administrative worker, including the date and time you called, what information you provided, and any referrals made.

Administrative worker

5. Finalise the CLASS record as necessary, save all email exchanges to the record per the *Saving documents in CLASS* section in CLASS.

Note if the principal solicitor is unavailable or on leave it must be assigned to a responsible person.

Non-Casework Projects

This section should be used when entering a non-casework project into CLASS.

To enter a non-casework project, follow these steps:

1. Navigate to the **COMMUNITY** tab in CLASS.

2. Click on the **SEARCH PROJECTS** tab.

3. Click on the **NEW** tab.

4. Enter project details and other required data as necessary.

5. Create the relevant **SERVICES** for the project.

6. Click **SAVE & CLOSE**.

To find your projects, navigate to the **COMMUNITY** tab, click on **MY PROJECTS** and select the relevant project.