MITRATECH

Lawtrac® 4.0

Legal Hold Guide

Lawtrac 4.0 Legal Hold Guide

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Acknowledgements

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1 Legal Hold User Guide

A Legal Hold strategy ensures that potentially discoverable data is identified early on and not inadvertently deleted, thus reducing the cost of e-Discovery and improving compliance with Federal Rules of Civil Procedure. Each Legal Hold can involve multiple data sources and custodians—each of which must be notified and attest to compliance with the hold.

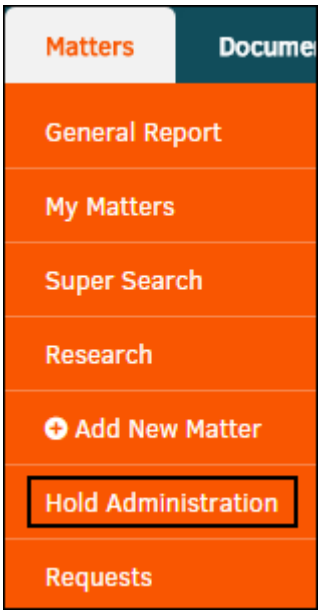
The ability to put a matter on hold and create a list of hold recipients within the matter record is available in Lawtrac 4.0. The Legal Hold functionality includes the ability to designate a hold administrator to matters and use Lawtrac to send and manage hold notices. Lawtrac's Legal Hold module is designed to enable you to track the notifications and responses sent to any employee affected by a hold in your company.

If you are interested in purchasing the Legal Hold module, contact Sales@lawtrac.com to discuss specifics.

1.1 Hold Administration Links

Accessing Lawtrac's **Hold Administration** page from the **Matters** tab allows you to view matter currently on Hold, create Hold notices, and designate Hold recipients.

Note: *Only Hold administrators and individuals with* ***Hold Administration*** *permission granted by Site Administrators have access to this* ***Hold Administration*** *module.*



Hold Administration

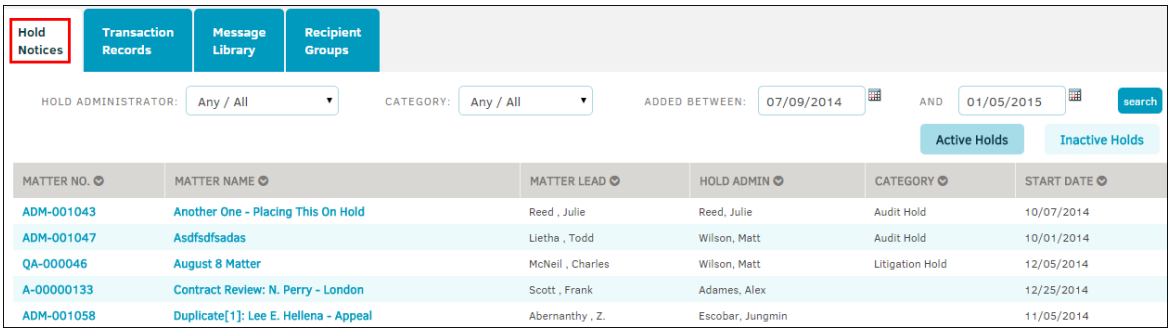
Hold Administration Options:

Tab	Function
Hold Notices	View active and inactive matter holds.

Tab	Function
Transaction Records	View activity on matter.
Message Library	View and create hold notices.
Recipient Groups	View and designate hold recipients.

1.1.1 Hold Notices

Once a matter is placed on hold, it is added to the **Hold Notices** list. This is the default tab that opens in **Hold Administration**.



Hold Notices

Hold Administrator boxes: Filter active/inactive holds to be displayed by hold administrator, hold category, or date set.

Active Holds: Lists the current matter records for which the hold administrator is responsible. Default listing is newest on top.

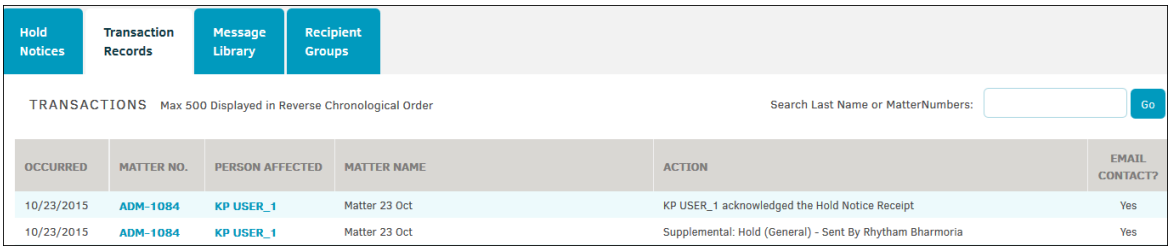
- Click the icons at the top of each column to toggle the list order.
- Click the Matter No. or Matter Name to view all notification messages and list of recipients. You can also add recipients to the hold list, add hold messages, record and view assets, and edit custom hold messages.

Inactive Holds: Lists the matter records for which the hold has been lifted.

- Click the Matter No. or Matter Name to view all notification messages and list of recipients. You have all the same options as an active hold.

1.1.2 Transaction Records

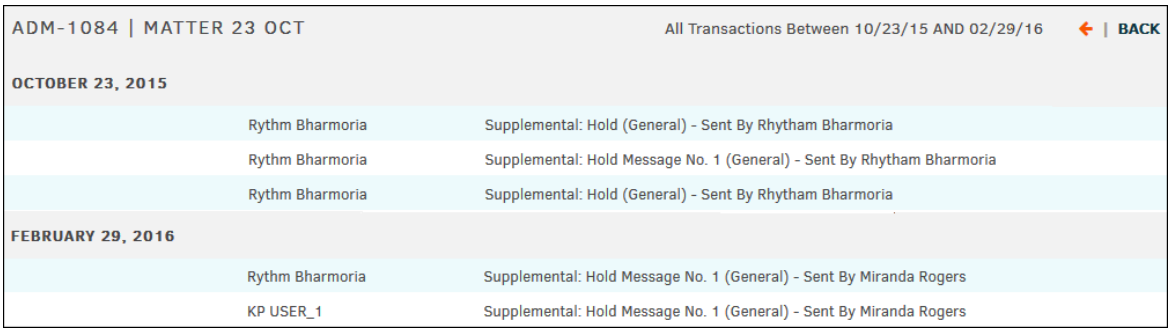
The **Transaction Records** tab in **Hold Administration** allows you to view a list of all recorded hold-related events across all matters.



Transaction Records

Type an individual's last name or a matter number into the text box in the upper right corner of the page and click **Go** to search for a specific transaction record. The search bar can search for matters or names by a single number or letter.

- Click matter number to view actions made by all employees associated with a matter.
- Click an individual's name to view actions made by that individual on all of their matters.

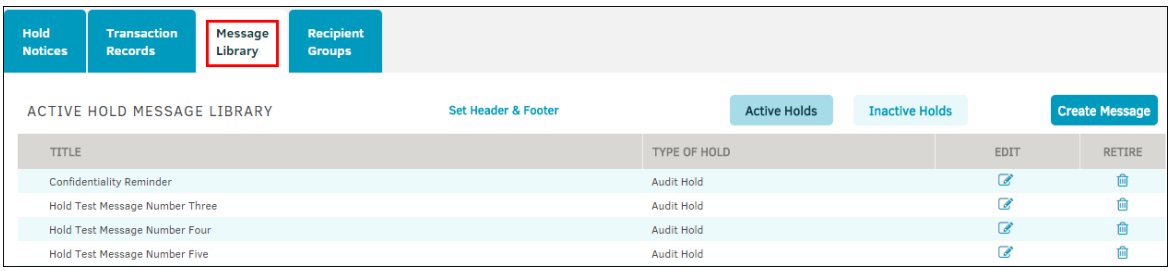


Transaction History

1.1.3 Message Library

The **Message Library** tab in **Hold Administration** allows users to view a list of all recorded Hold-related messages across all matters.

- **Active Holds/Inactive Holds**—Switch between the active and inactive message list.
- —Edit the hold message title and type.
- —Retire the hold message. It appears in the **Inactive Holds** list.



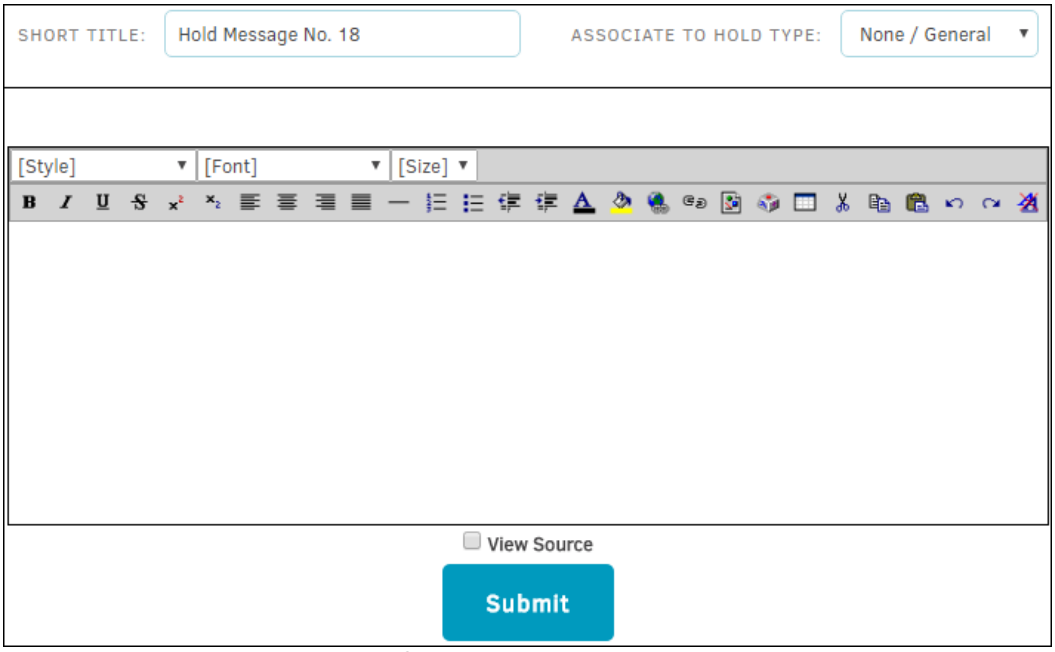
Message Library

Create Message

1. Click the **Create Message** button at the top of the Message Library list to create a new hold message. A title is automatically generated in the "Short Title" text box, but can be changed to a custom title by typing directly into the box.
2. Associate the hold type using the drop-down menu.

   The message field operates like a general Word document. Heading style, font, and text size can be adjusted using the top three drop-down lists.

   View the function of each icon in the second row by hovering your mouse pointer over the graphic.
3. Click **Submit** after entering your Hold message to save. Clicking the **View Source** checkbox displays the message and configuration in **HTML** view.

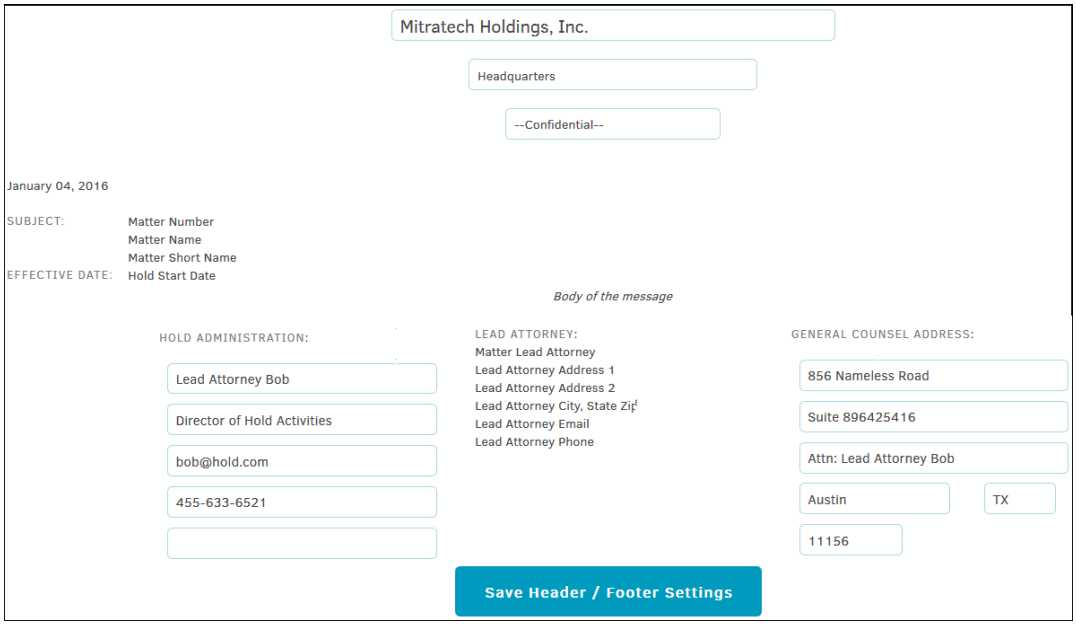


Create a Hold Message

Set Header & Footer

1. Click the **Set Header & Footer** hyperlink at the top of the Message Library list to view or edit the message header and footer. The header usually consists of the company name, office location, and a confidentiality notice.

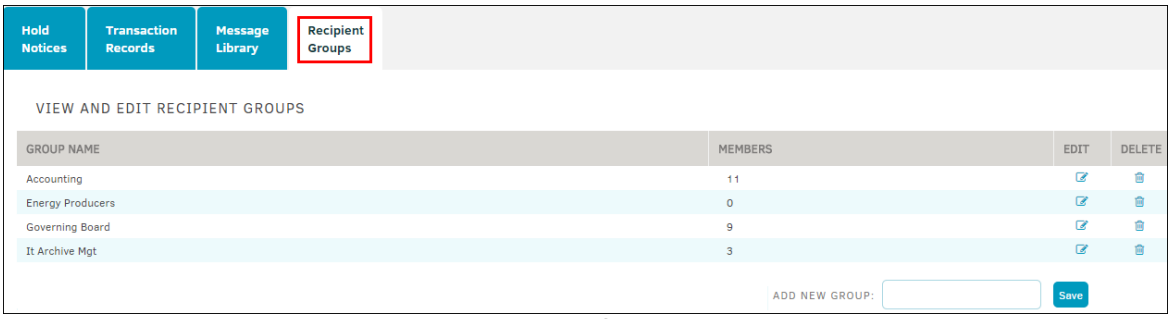
   The message footer should include the Hold Administration's lead person and address, as well as the general counsel's address (shown below).
2. Click **Save Header/Footer Settings** to confirm changes.



Hold Message Header and Footer

1.1.4 Recipient Groups

The **Recipient Groups** tab in **Hold Administration** allows users to view a list of all groups who receive notices about matter records.



Recipient Groups

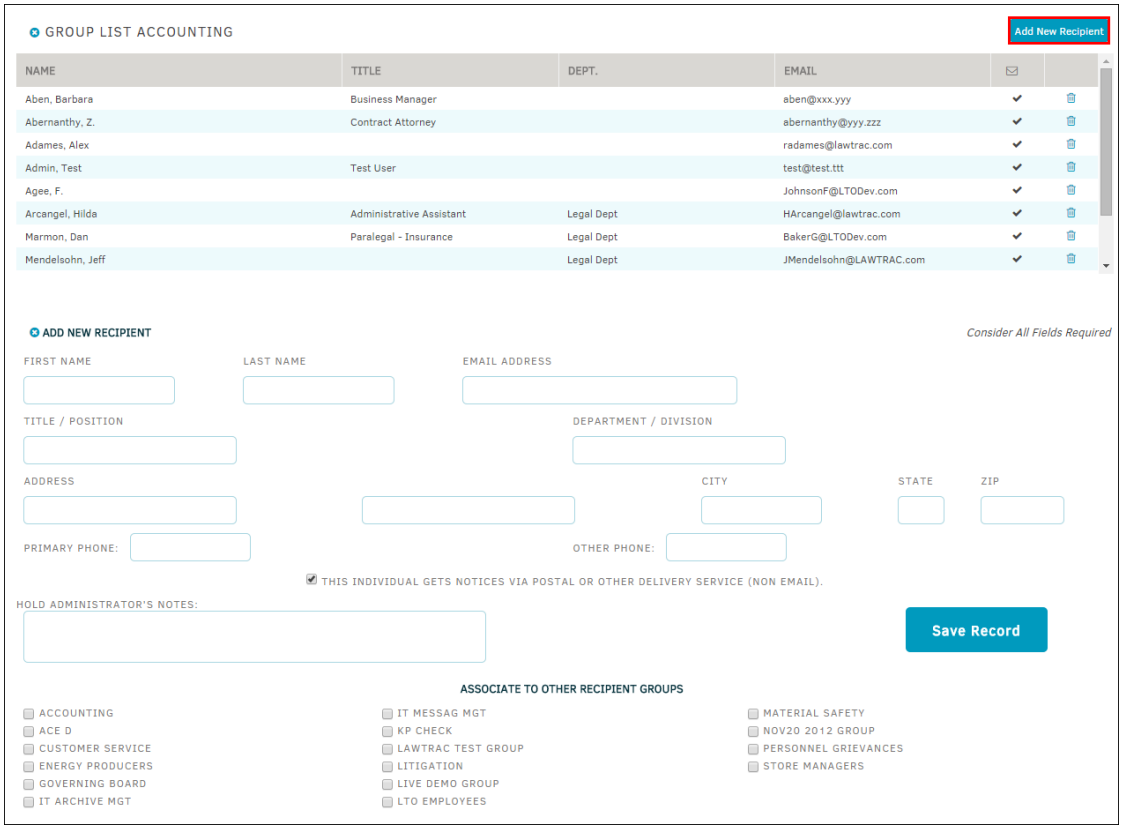
- —View a list of individuals associated with the group. Individuals are listed in alphabetical order by surname. Use the search bar at the bottom of the list to find a specific group member.
- —Delete a group or individual within a group.

Add an Individual to a Hold Recipient Group

1. While viewing the group list, click **Add New Recipient** at the top of the list to generate a list of data fields at the bottom of the page.
2. Enter all available information into the text boxes, and select or deselect the checkbox above "Hold Administrator's Notes" to determine whether the individual should receive notices via a non-email delivery service.

a. You can also quickly add the individual to other recipient groups without re-entering all of their information by selecting the checkboxes in the **Associate to Other Recipient Groups** category.

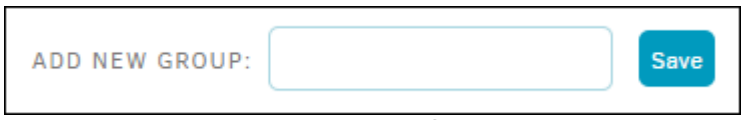
3. Click **Save Record** to set all information.



Add an Individual to Recipient Group

Add a Hold Recipient Group

From the main **Recipient Groups** page, type the name of a new group into the text box at the bottom of the group list and click **Save**. The group name appears in the group list, allowing you to edit and add individuals.



Add a Recipient Group

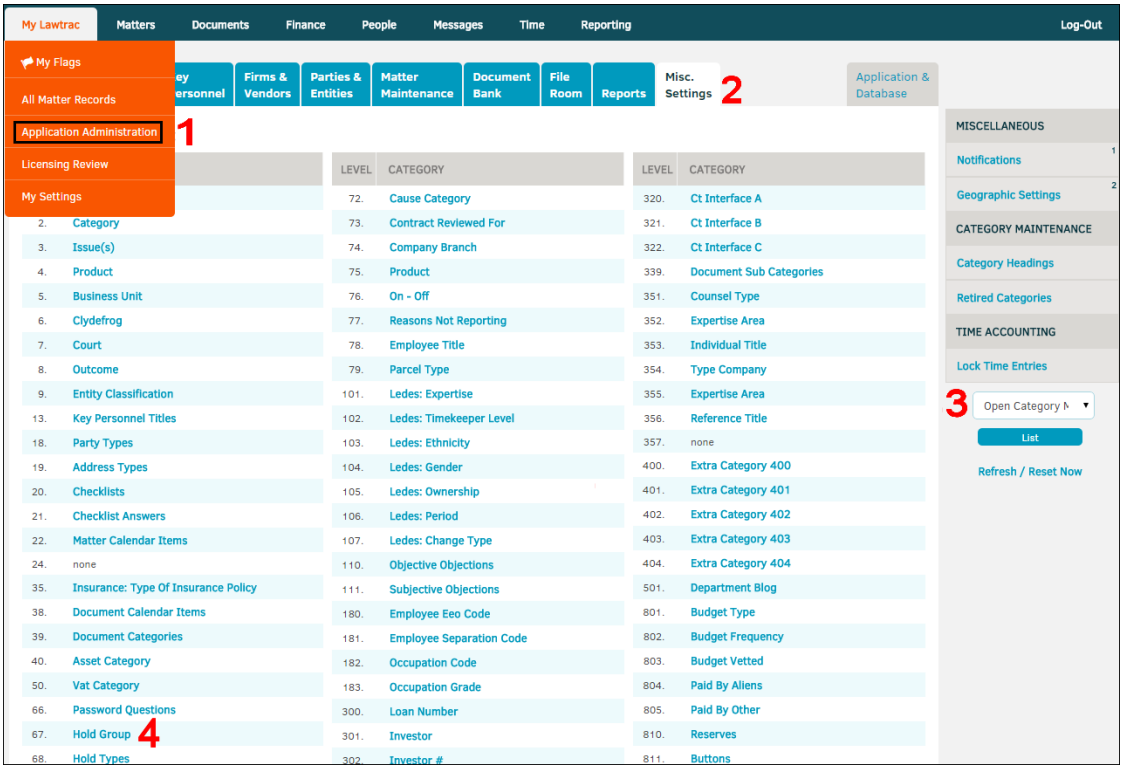
1.2 Step 1: Establish Hold Types and a Hold Administrator

Establish a Hold Type

Hold Types identify the reason you may have placed a matter on hold, such as Litigation, Audit, or Regulatory. All types are user-definable based on the needs of your department. The type of hold lets the hold administrator know which type of notice to send.

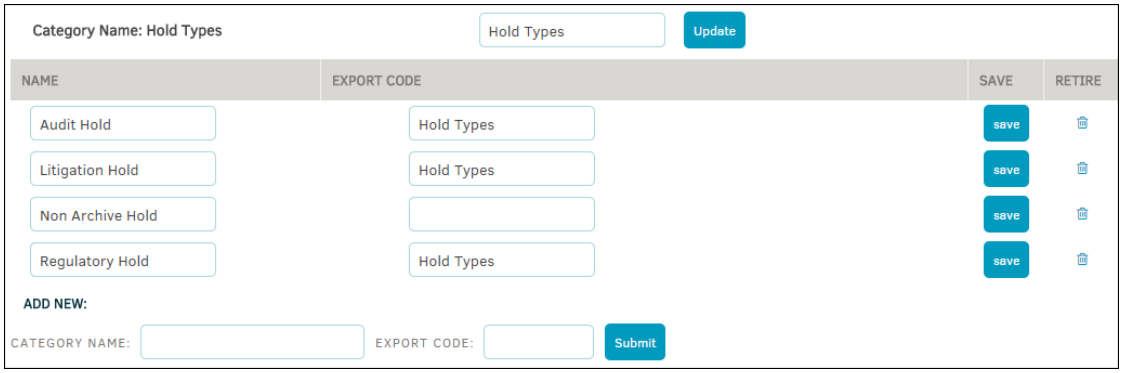
To create a hold type:

1. Access **Application Administration** (**1**) from the **My Lawtrac** tab.
2. Go to the **Misc. Settings** (**2**) tab.
3. At the bottom of the right **Miscellaneous** sidebar, select **Open Category Menu** (**3**) from the drop-down list and click **List**.
4. Select **#68: Hold Types** (**4**).



5. From within the **Hold Types** page, you can edit the category name, or the title of any pre-existing hold types.
   a. Retire a hold type from use by clicking the 🗑 icon.
6. To add a hold type, enter a category name and export code into the bottom text boxes.

   Category name should tell users what kind of hold it is, and the export code should help identify the category name as a hold type.
7. Click **Submit** to confirm.



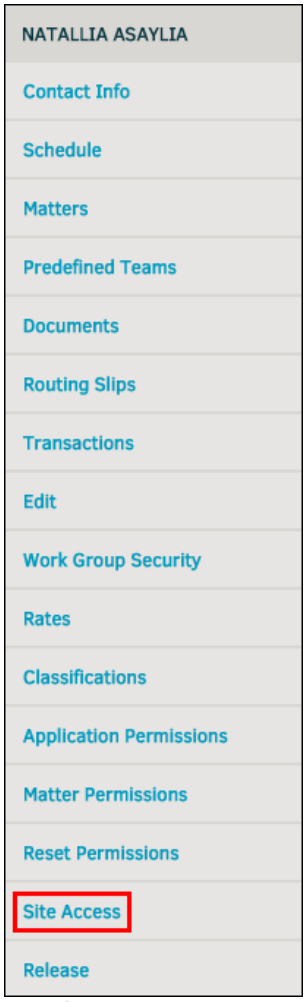
Add New Hold Type

Establish a Hold Administrator

The hold administrator is the person that sends out the hold notices for particular matter. This person can be anyone in your Legal team, regardless of their access to other modules, and this person does not need direct access to the matter records. You may have more than one hold administrator within Lawtrac, but there can only be one hold administrator per matter.

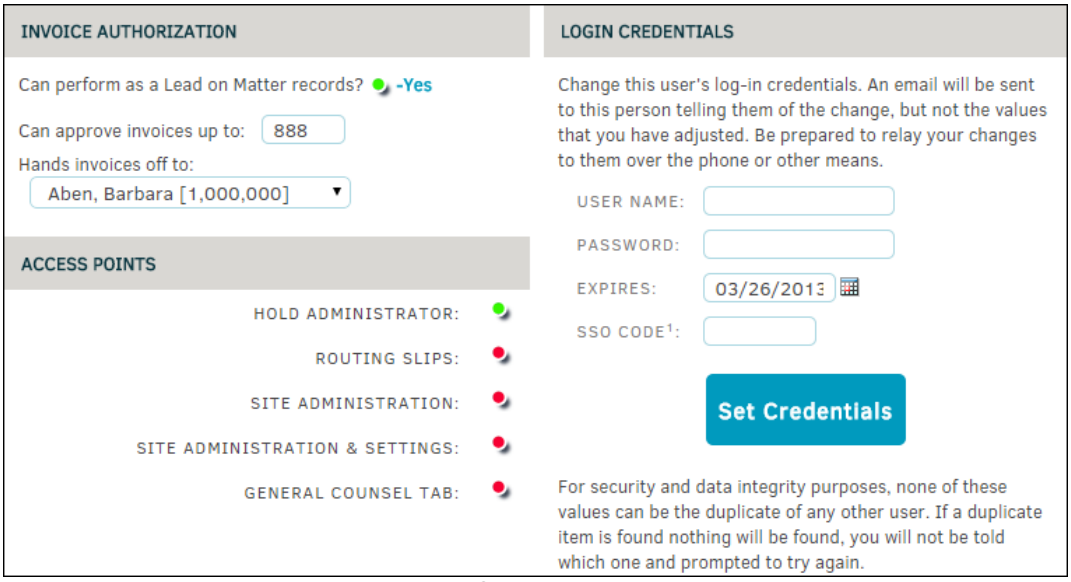
To establish a hold administrator, go to **In-House Legal Department** from the **People** tab.

1. Click on an individual's name to open their staff profile.
2. From the staff member's profile, click **Site Access** from the sidebar.



Site Access Link

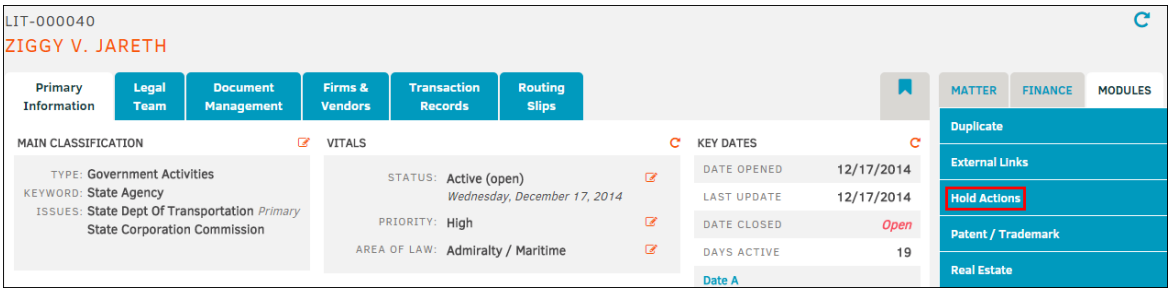
3. In the **Site Access** page, under **Access Points**, select the toggle switch for Hold Administrator to turn access on (●) or off (●). Changes are saved automatically.



Turn On Access Point

1.3 Step 2: Place Matters on Hold

Matters are placed on hold from within a matter by selecting **Hold Actions** from the **Modules Navigation Bar**.



Create a Hold Within a Matter

A hold checklist can be found in the middle of this page to assist in setting hold parameters. They are not required, however, if this hold pertains to guidelines and statutes (such as the Federal Rules of Procedure; Depositions and Discovery–Rule #26) you may wish to take a moment and review the items listed below. Have you:

- *Added every person who is likely to have discoverable information as a party—to include their name, address and telephone number?*
- *Moved all documents, electronic or otherwise, into a centralized list noting the name, description, and location?*
- *Made a text entry outlining any damages and claims?*
- *Determined if any item may be covered by any aspect of insurance coverage.*
- *Made a note in the record of the date any discovery request was made (14 day rule)?*
- *Added any expert witnesses to the matter as a "vendor"?*

- *Has the court identified any limitations to any discovery order?*
- *Have any delivery methods been ordered?*

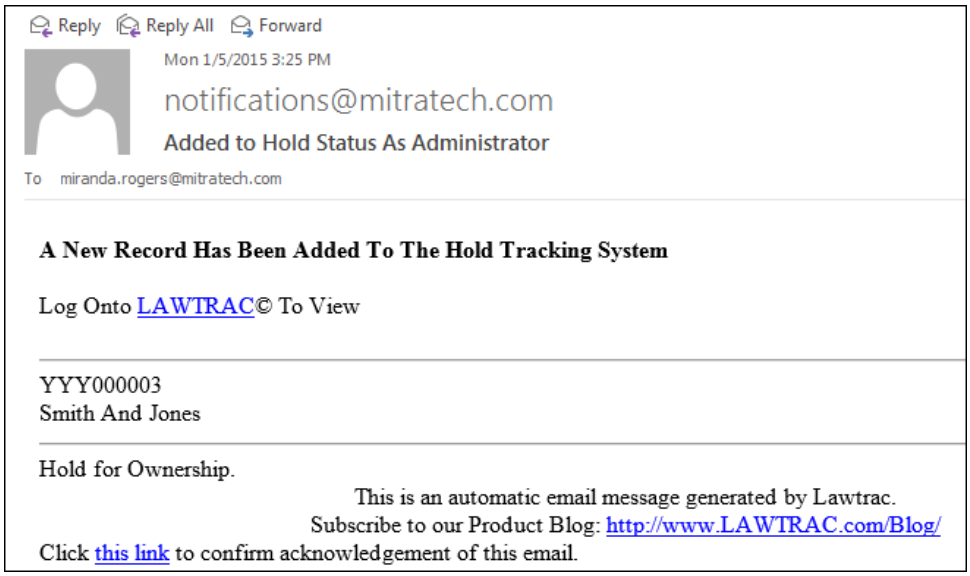
Place a Matter on Hold

Note: *Any individuals assigned to a matter can determine when a matter needs to be placed on hold.*

1. Select the hold type from the drop-down list.
2. Establish a start date (required). You can add an end date after the hold is created; **adding an end date removes the matter from "hold" status**.
3. Select the appropriate hold administrator from the drop-down list.
4. Include any notes that might be beneficial to the hold administrator in the "Hold Notes/ Administrator's Instructions" box. These notes/instructions are included in the notice sent immediately to the hold administrator when you click **Set Hold**, informing them that a matter has been placed on hold.

   Note: *In cases where the hold administrator does not have access to the matter record you should include as many details as they need to select the appropriate message.*

5. Click **Set Hold**. The hold administrator receives a message via email immediately. See example below:


Reply Reply All Forward

Mon 1/5/2015 3:25 PM

notifications@mitratech.com

Added to Hold Status As Administrator

To miranda.rogers@mitratech.com

A New Record Has Been Added To The Hold Tracking System

Log Onto LAWTRAC© To View

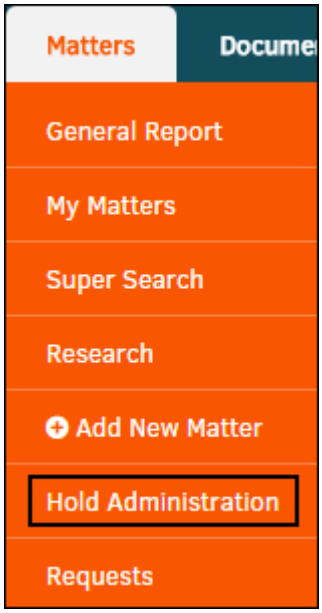
YYY000003
Smith And Jones

Hold for Ownership.

This is an automatic email message generated by Lawtrac.
Subscribe to our Product Blog: http://www.LAWTRAC.com/Blog/
Click this link to confirm acknowledgement of this email.

Hold Notice Email

Once a matter is placed on hold, it is added to the matter hold listing. Access the hold listing by selecting **Hold Administration** from the **Matters** tab. The page defaults to **Hold Notices**.

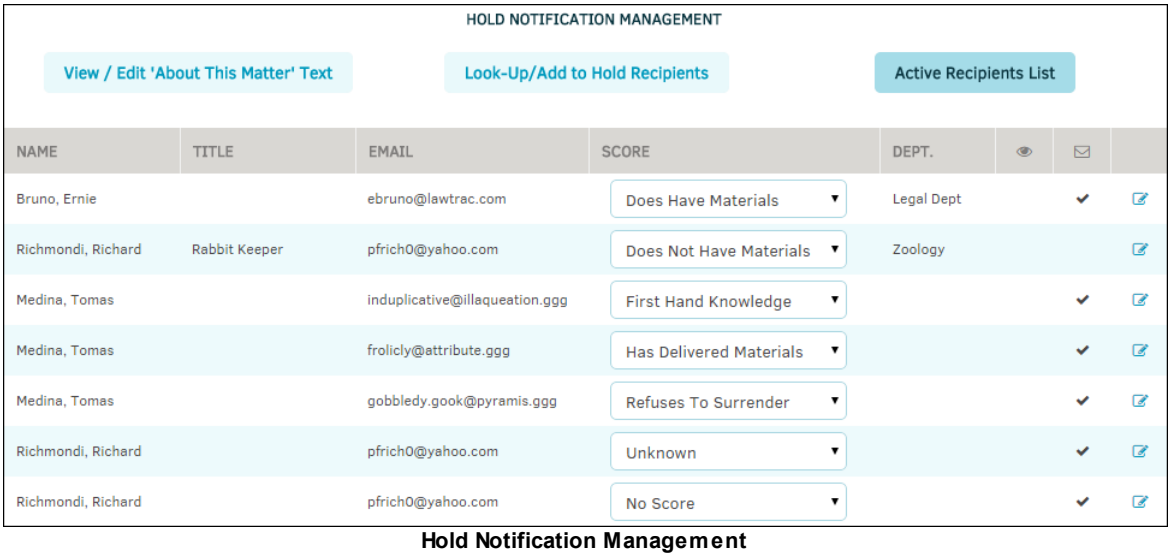


Hold Administration

1.4 Step 3: Identify Recipients

The recipients of the hold notification must now be identified and notified. Any individuals assigned to the matter can identify who should receive the hold notices. However, their responsibility ends here. The hold administrator can add to or edit the list of recipients as necessary.

The Hold Recipients List can be found at the bottom of the **Hold Actions** page within a matter.

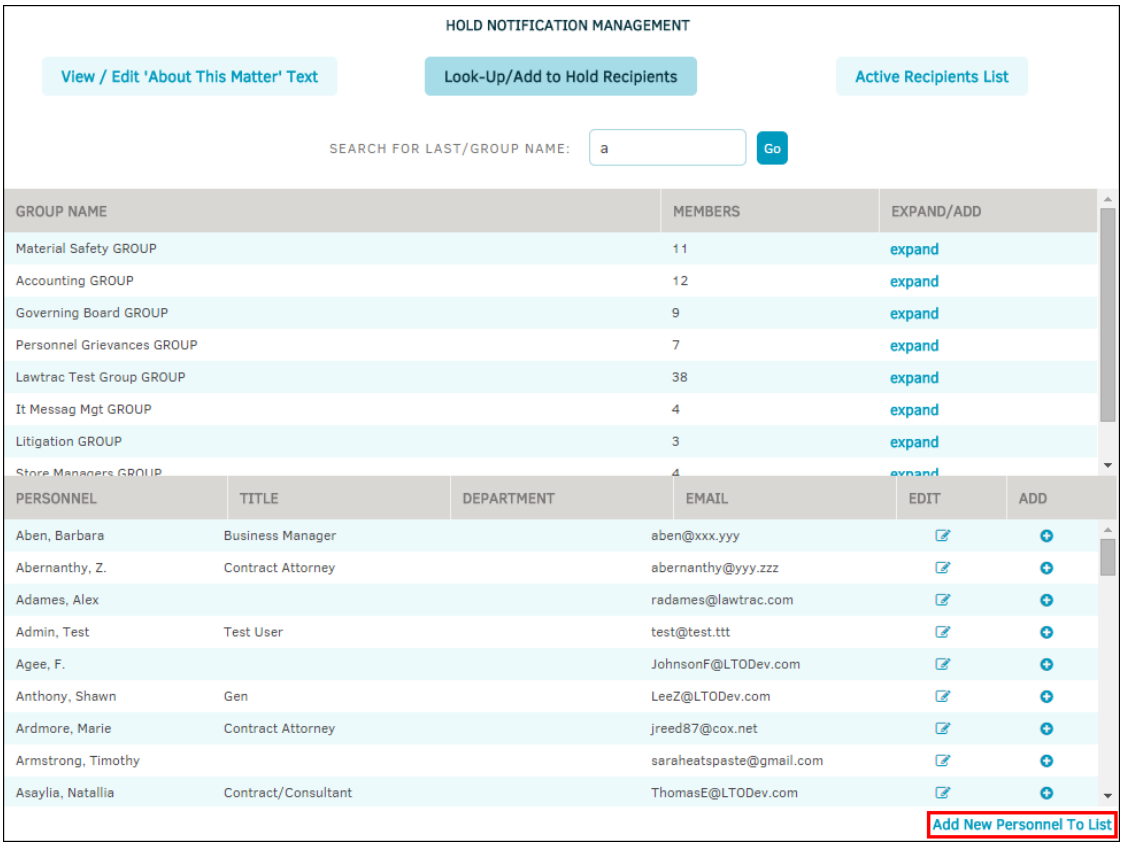


Hold Notification Management

Note: *Before assigning hold recipients, you must ensure there is a "Primary" Legal Staff assigned to the matter record. To add the Primary, simply select the* ***Legal Team*** *tab at the top of the matter screen. If you need more detailed instructions, please refer to Legal Team in the Lawtrac User Guide or contact Support at Support@Lawtrac.com.*

Identify the Hold Recipients

1. Select **Look-up/Add to Hold** to search the recipients by last name or by hold group.
   a. If the individual is not found, click **Add New Personnel to List** to add them.
2. Select the recipient from the list by either clicking **expand**, selecting a checkbox and clicking **Submit**, or click the icon.
3. Review the individual's profile and contact information by clicking and click **Save Record**.

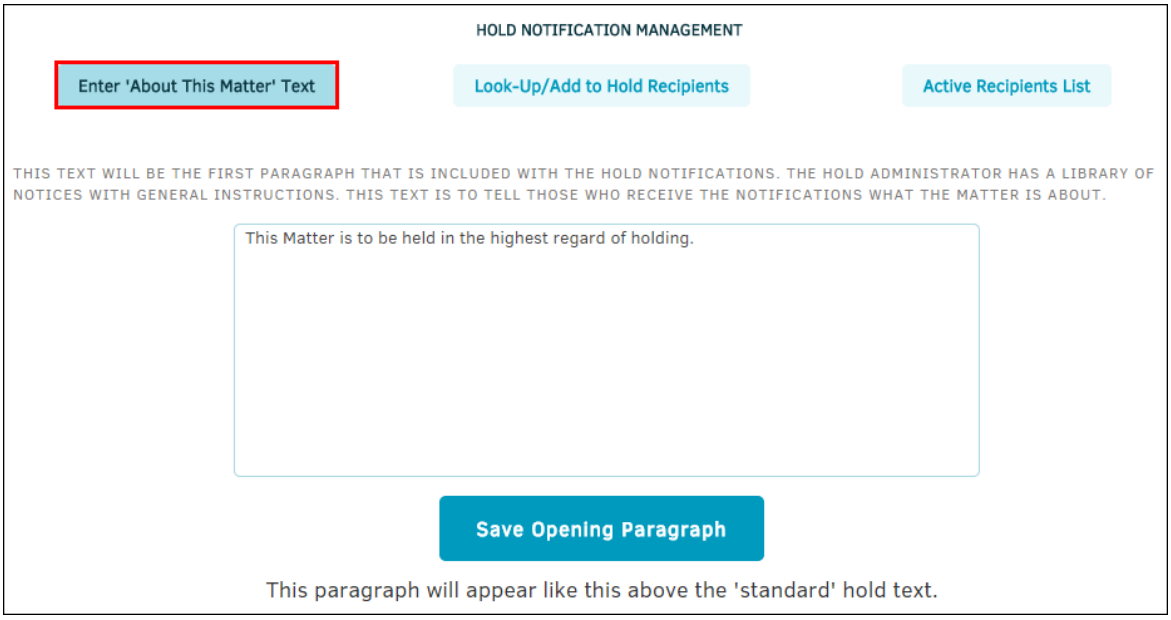


Add New Personnel Link

1.4.1 About This Matter Text

After recipients are selected, click **View/Edit 'About This Matter' Text** to enter the first paragraph that is included with the hold notifications. This text advises those who receive the notification what the matter is about.

Once finished, click **Save Opening Paragraph**. The hold administrator is able to review the text before the notices are sent.



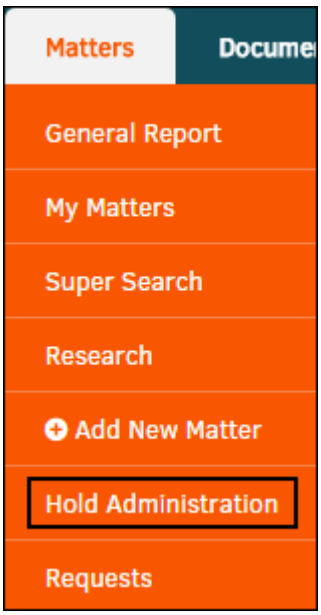
About This Matter

1.5 Step 4: Create Notice

To create a hold notice:

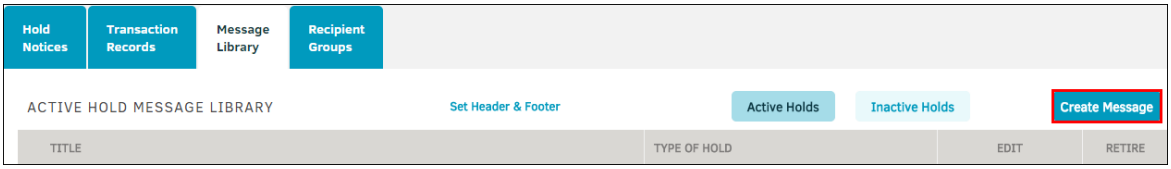
1. Access the **Hold Administration** page from the **Matters** tab at the top of the page.

Note: *Only administrators and users with hold administration permission have access to this* ***Hold Administration*** *module. See your site administrator to be granted access.*



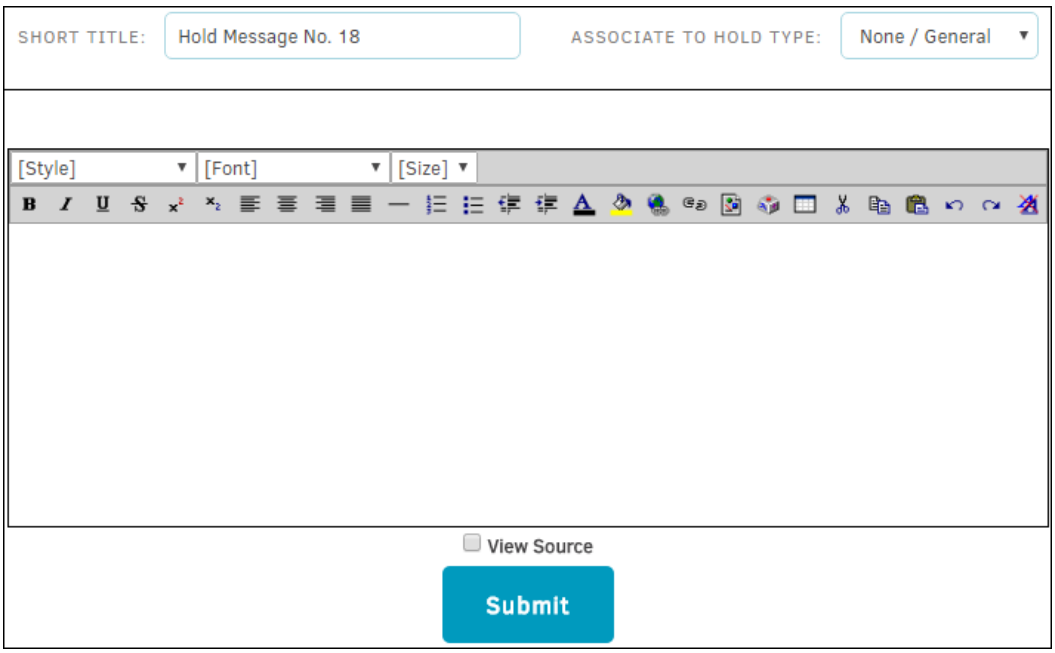
Hold Administration Link

2. From the **Hold Administration** page, click the **Message Library** tab, then click **Create Message**.



Create a Hold Message

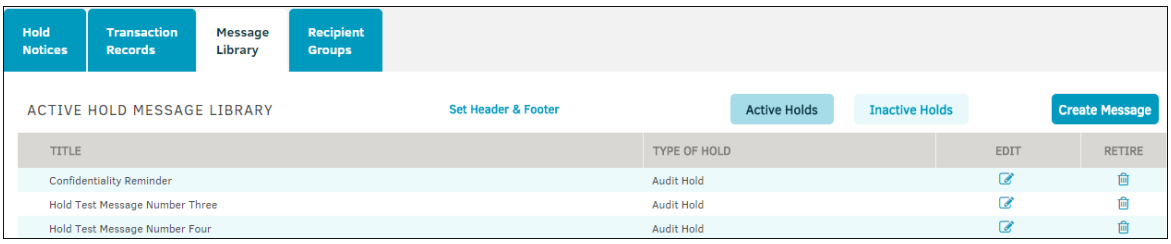
3. You can cut-and-paste your message into the template from a Word document, or you can type directly into the text field and use the top three drop-down lists to change heading style, font type, and font size. Hover your mouse pointer over the icons to see each function.
4. Give the notice a short title so you can select it from the library list and link it to a Hold Type.
5. When your message is complete, click **Submit**. It appears in your **Message Library** tab.



Submit Message

1.5.1 Message Library

Once messages are created, they appear in the **Message Library** tab in **Hold Administration**. Messages from the library can be reviewed, revised, or deleted accordingly by clicking the edit icon or the retire icon .



Hold Message Library

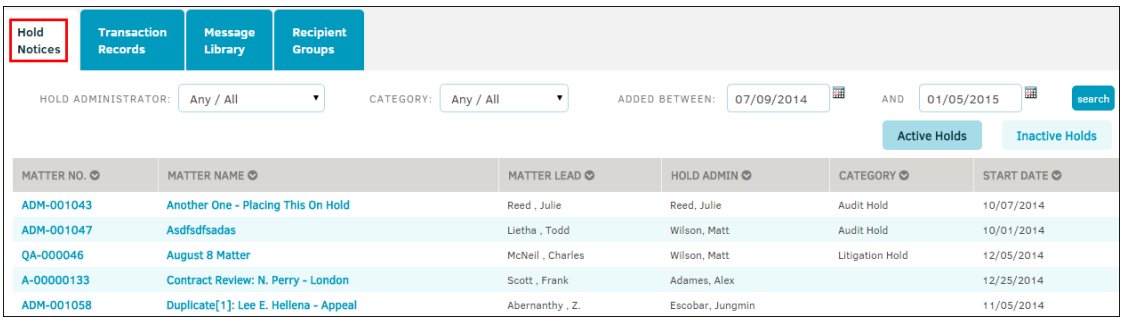
- **Set Header & Footer** link allows you to adjust the title and type of Hold.

- **Inactive Holds** allows you to view messages that were marked inactive. To mark the message as inactive, click the icon next to the desired message.

1.6 Step 5: Send Notice

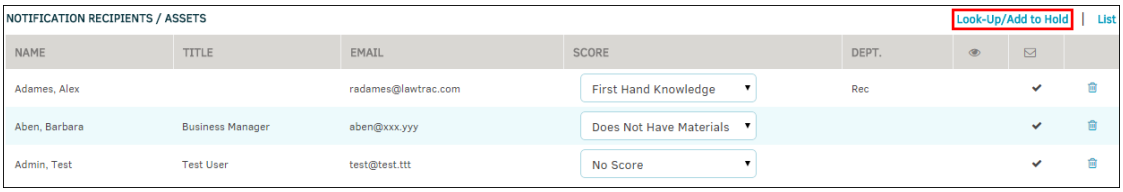
The hold administrator must now send the notice to the intended recipients.

1. Select the **Hold Notices** tab in the **Hold Administration** page from the **Matters** module.



Hold Notices

2. From the active holds list, select a matter by either matter number or matter name. All staff associated with the matter are listed under Matter Staff on the left side, and notification recipients are listed at the bottom. If there is an additional person you would like to add as a hold recipient that did not get added in Step 3, you can add them now by clicking **Look-Up/Add to Hold** and following the same steps.



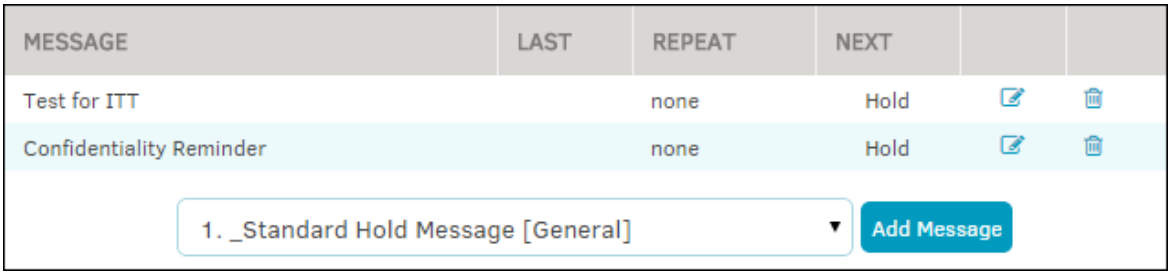
Add to Notification Recipient List

All hold notices sent for the matter are located on the right side of the screen.

To add a hold notice:

1. Select the hold message you created for the matter from the drop-down list, then click **Add Message**. Messages can be changed by clicking the icon.
2. From the edit page, set a date for the same message to be sent again, or select a schedule to repeat the notice.
3. Click **Save** to confirm any changes made.

Click the icon to remove the message from the message list.



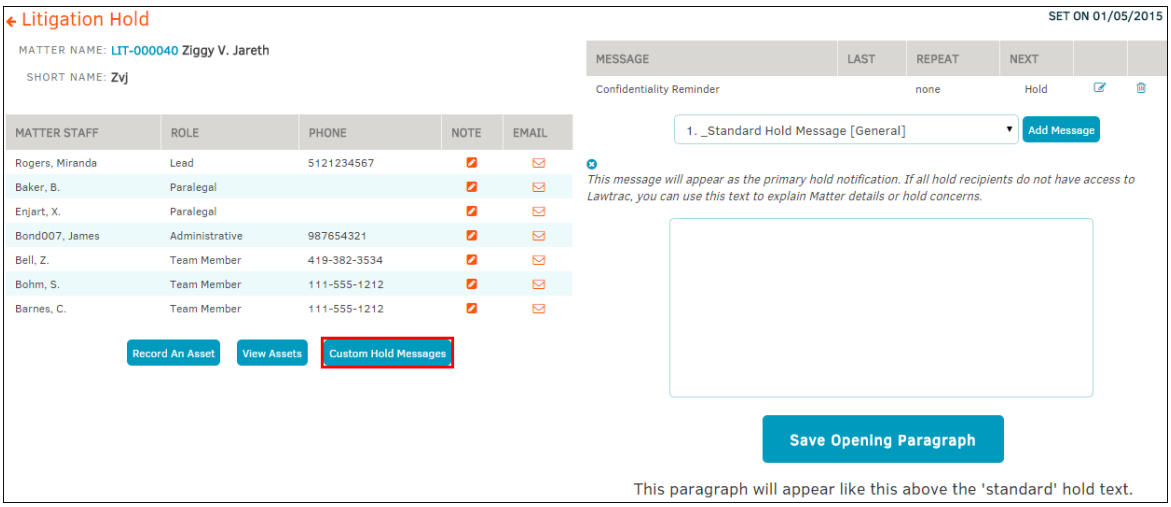
Send Hold Notice

1.6.1 Custom Hold Messages

Click the **Custom Hold Messages** button to view or edit the message that appears as the primary hold notification. This message appears as the primary hold notification.

If all hold recipients do not have access to Lawtrac, you can use this text to explain matter details or hold concerns.

1. After clicking **Custom Hold Message**, type your primary hold notification into the text field on the right.
2. Click **Save Opening Paragraph** to confirm changes.



Custom Hold Messages

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