

Records Management Tools: The “Other” Apps

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&

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What Other Apps?

- Records Management Departments are responsible for more than just managing files...
 - Document Holds
 - Outgoing File Transfers
 - Incoming File Transfers
 - Departing Attorneys

Document Holds

Document Holds

- When?
 - Immediately after notification of a potential investigation or claim against the firm or a client of the firm
- How?
 - Notify effected parties
 - Identify, collect and preserve records
 - Suspend retention activity
 - Send periodic reminders about the Hold

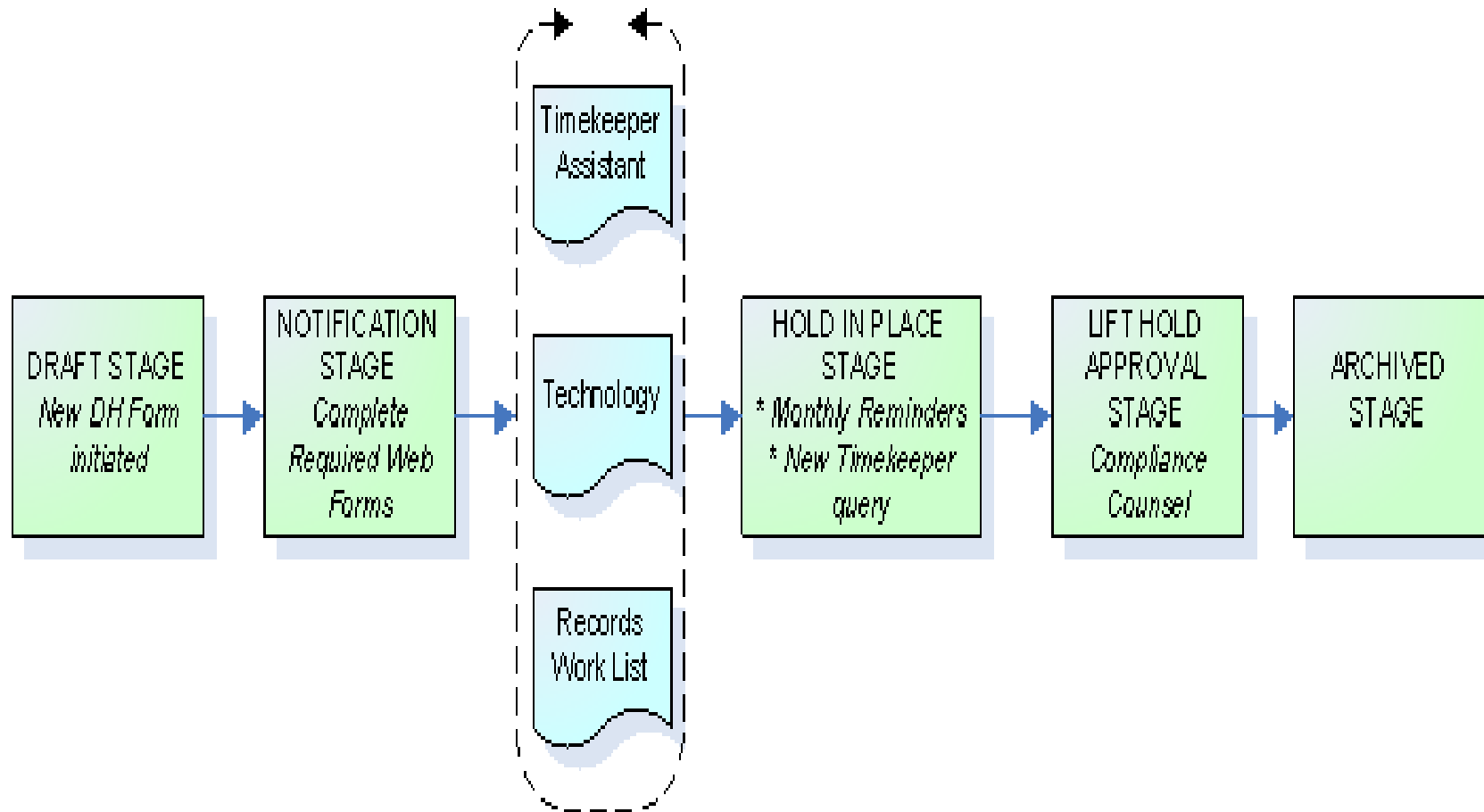
Document Hold Process

- Notification
- Acknowledgement
- Collection & preservation of ESI
- Collection & identification for physical records
- Maintenance
 - New Users and record information
 - Reminders & Alerts
- Administration

Document Hold Application

- Automated Document Hold Workflow
 - SQL database
 - Queries other applications for relevant data
 - Stores responses and history
 - Workflow tool
 - Manages process workflow and initial email
 - Emails
 - Contain a .url to web forms
 - .NET web forms
 - Collect data and populate tables in the database
 - SQL Server integration services
 - Queries database and sends reminders
 - Records Work List

Document Hold Application Workflow



Document Hold Application

Forms

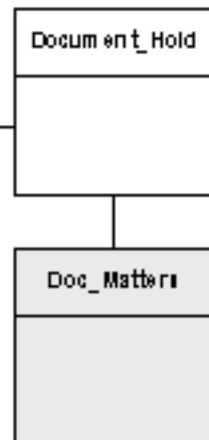
ework

RECORDS

Data



Document Hold Database



Stored Procedures

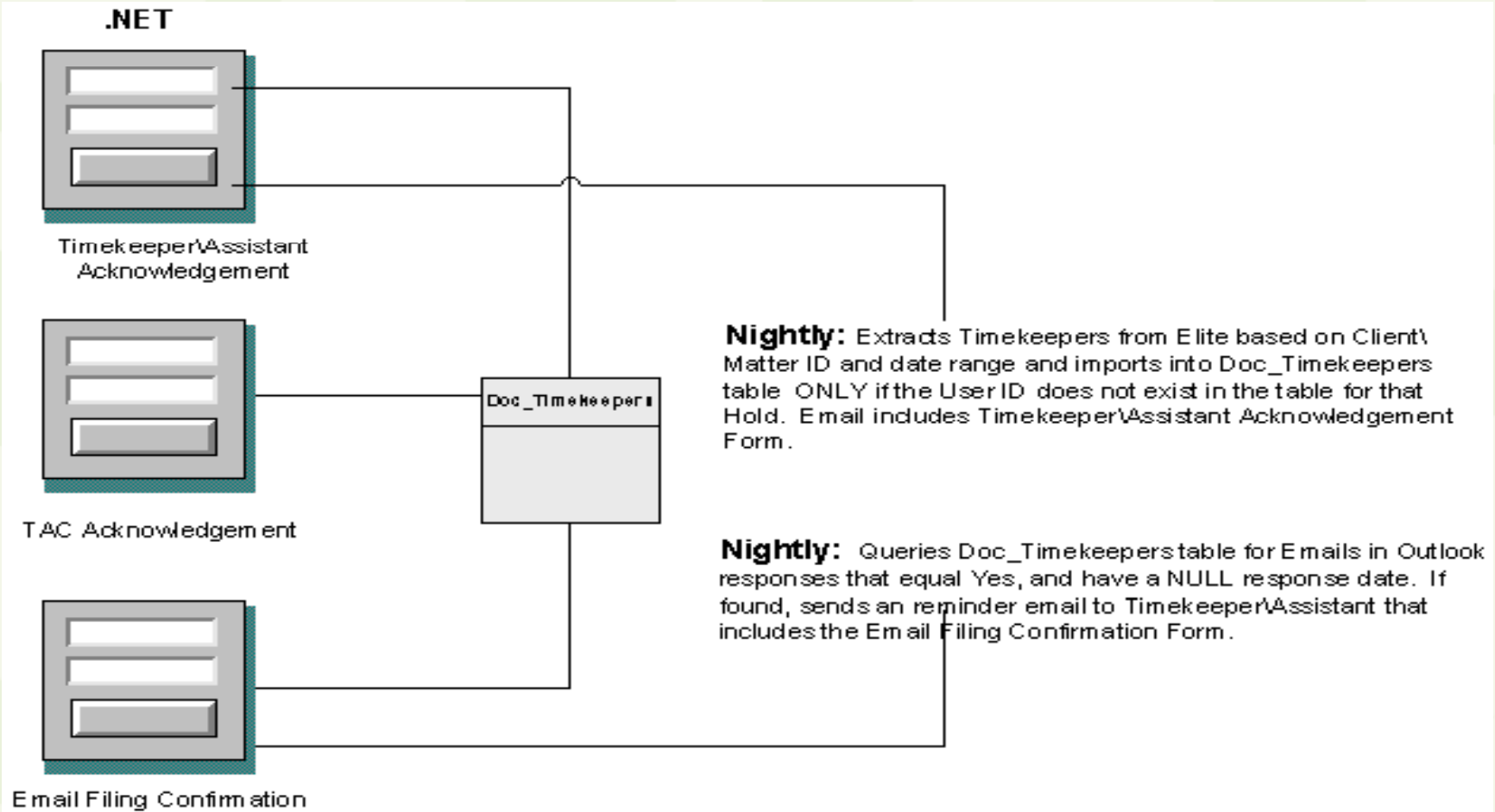
DOCHOLD_TIMEKEEPERS

1. Extracts Timekeepers from Elite based on Client\Matter ID and date range.
2. Joins with Attorney\Assistant assignment table, extracts Assistants.
3. Populates Doc_Timekeepers table.

DOCHOLD_TASKSCOMPLETED

1. Queries Doc_Timekeepers table to determine if all Responses and Tasks have a complete date.
2. Moves the form to Hold in Progress Stage

Document Hold Application .NET Web Forms



Document Hold Application SSIS Packages



- **Nightly**
 - Sends an email to Timekeeper\Assistants who have not responded to an Acknowledgement form
 - Sends an email to Records Manager with the list of responses received the day before
 - Sends an email to the Records Manager that includes all Document Hold forms that are still in Pre-Notification stage.
 - Sends an email to the National Records Manager that includes all Document Hold forms that have been in Pre-Notification stage for more than 7 days.
 - Sends an email to Records Manager that includes all Timekeepers\Assistants who have not responded to the Acknowledgement within 5 days of receipt..
 - Sends an email to National Records Manager that includes all Timekeepers\Assistants who have not responded to the Acknowledgement within 10 days of receipt.
- **Monthly:**
 - Sends an email to Timekeepers\Assistants containing all Holds that they are related to reminding them of the Holds.
 - Sends an email to the Responsible Attorneys containing all Holds that they are related to reminding them of the Holds.

Document Hold Administration

- Documentation that demonstrates your actions to implement and maintain the hold
 - Notification of hold
 - Acknowledgements
 - Confirmation of compliance
 - Reminder notices
 - Notification a hold has ended
- Retention of administrative documents related to the hold

Outgoing File Transfers

Outgoing File Transfers

- File transfers include both physical and electronic material from multiple repositories
- When?
 - Client authorizes the transfer
 - Firm decides to disengage

Outgoing File Transfer Tools

- Web app
- Integration with Outlook 2003
- Integration with Word 2003

Outgoing File Transfer Tools CTA



Transfer of files - XXXX [12345] - Message (HTML)

To: Brandel, Roland E.; Fischer, L. Richard; Smith, W. Stephen; Spiliotes, Nicholas J.

CC: **Records TRAN**; **Records DC**; **Docket TRAN**; New Business Conflicts Hotline; Engagement Letter Administrator; Moore, Anna; House, Michele K.; McHarrie, Margaret M.; Leftwich, Rebecca; Smith, Wilma

Bcc: Lee, Laurence; Yu, Karen

Subject: Transfer of files - XXXX [12345]

The purpose of this email is to inform you that the Records Department has received a request to transfer files. If you have documents which need to be filed in the following matters, (**12 NATIONWIDE ACH PROCESSING**), please forward them to your local Records Department so that they can be incorporated with other materials which will be reviewed for transfer. Please include a copy of this email as a cover sheet to identify the materials. In addition, if you have any emails in Outlook which need to be filed in FileSurf, please do so by **Tuesday, August 10, 2010**. After that date, you will need to contact the records department before you file materials into FileSurf.

We expect that the review of physical files and emails will begin on **Wednesday, August 11, 2010**, so it is important that all documents are properly filed by **Tuesday, August 10, 2010**. Please contact your local records manager if you have any questions.

To view the client's transfer request, please click on the link below and then select the 'OPEN' button in the upper right corner:

[\[User to paste FileSurf Link\]](#)

The table below indicates which matter(s) you have billed to:

Name	Client	Mtr	Start	End	Hrs	Office
Brandel, Roland E.	12345	12	01/1989	01/1989	0.25	San Francisco
Fischer, L. Richard	12345	12	01/1989	01/1989	1	Washington D.C.
Smith, W. Stephen	12345	12	01/1989	01/1989	1.5	Washington D.C.
Spiliotes, Nicholas J.	12345	12	01/1991	01/1991	3.25	Washington D.C.

TransferFiles - Windows Internet Explorer provided by Morrison & Foerster LLP

http://mofoweb/cta/transferfiles.aspx

Generate Transfer of Files Email

Client Number: 12345

Matter Number: ALL

Review Start Date: 8/10/2010

Start Year: 1950

End Year: 2010

Name	Client	Mtr	Start	End	Hrs	Office
Brandel, Roland E.	12345	12	01/1989	01/1989	0.25	San Francisco
Fischer, L. Richard	12345	12	01/1989	01/1989	1	Washington D.C.
Smith, W. Stephen	12345	12	01/1989	01/1989	1.5	Washington D.C.
Spiliotes, Nicholas J.	12345	12	01/1991	01/1991	3.25	Washington D.C.

CC Records Dept(s): Records DC

CC Patent Group(s): LA Patent Transfer, PA Patent Transfer, SD Patent Transfer

Outgoing File Transfer Tools Package Creation



Select Data - Windows Internet Explorer provided by Morrison & Foerster LLP

http://mofoweb/transdocweb/selectdata.aspx

File Edit View Favorites Tools Help

Portal: My P... Morrison Foe... Metastorm BPM Departed Ti... Pandora Rad... TransferFiles Select Data x

Select Data for Transfer Document Package

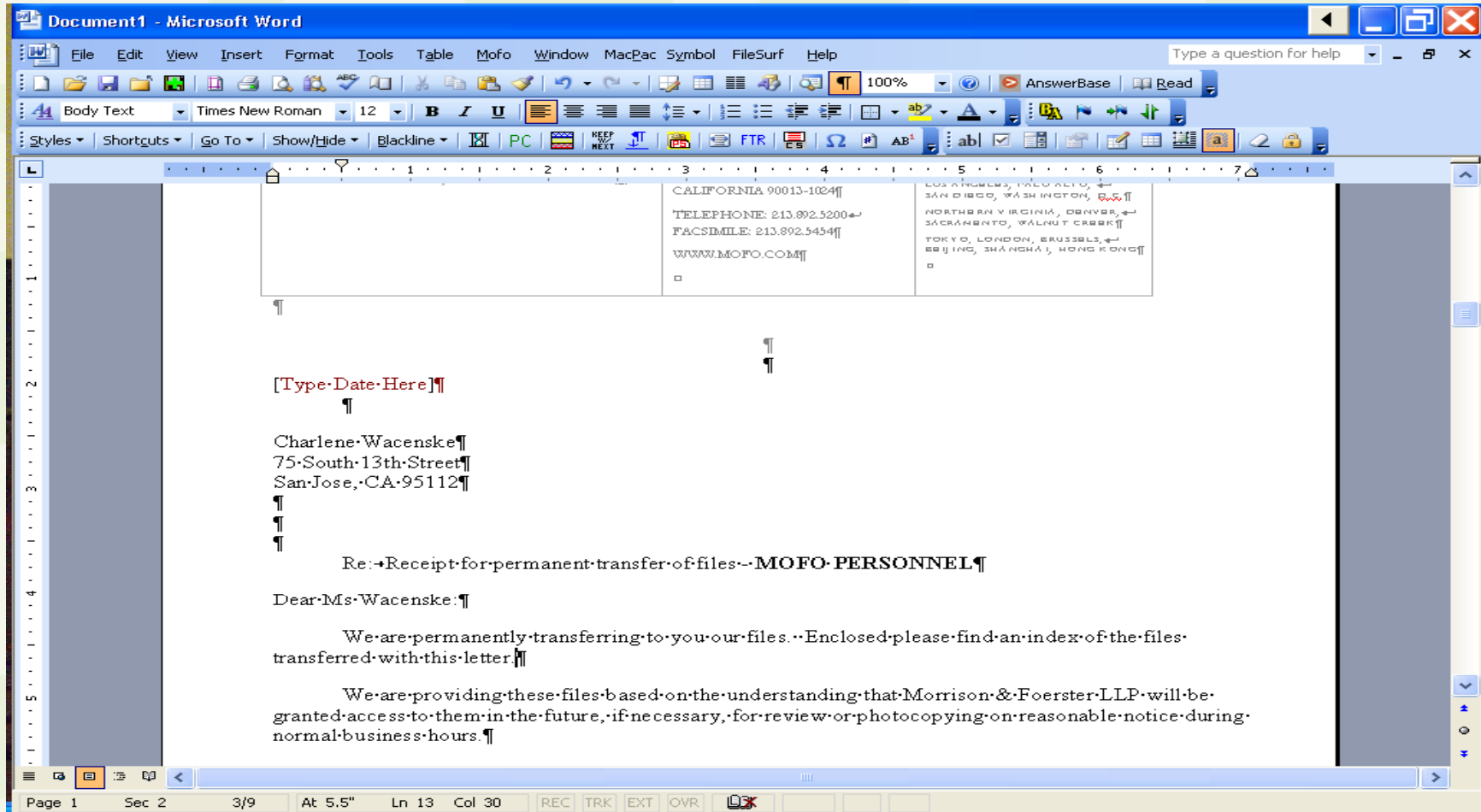
Approving Attorney:	Hendricks, Douglas L.
Records Personnel:	Higgins, Tracey M.
Client Number (tab out after typing in number):	99980 MOFO PERSONNEL
Matter Number: (Select All or Various or up to 4 matter numbers)	7941 7942 7943 7944 7945 7946 7947 7948 7950 7951 <input type="button" value="Clear Matter Selections"/>
Recipient Name:	Charlene Wacenske
Address Line 1:	75 South 13th Street
Address Line 2:	San Jose, CA 95112
Address Line 3:	
Address Line 4:	
Recipient (after Dear):	Ms Wacenske
Signer (Attorneys & Paralegals/Records):	None Selected

Message from webpage

Data Ready as follows:
Approving Attorney: Douglas L. Hendricks
Records Personnel: Tracey M. Higgins
Cli/Mat: 99980/7950
CliName: MOFO PERSONNEL
Recipient Name: Charlene Wacenske
AddressLine1: 75 South 13th Street
AddressLine2: San Jose, CA 95112
AddressLine3:
AddressLine4:
Recipient (After Dear): Ms Wacenske
Signer: Douglas L. Hendricks

Local intranet 100%

Outgoing File Transfer Tools Word



Incoming File Transfers

Incoming File Transfers

- File transfers include a combination of physical and electronic media destined for various repositories
- When?
 - Lateral Hires
 - New and/or transferred business

Incoming File Transfer Process

- Records arrive
- Client authorization letters received/confirmed
- Validate records against manifest
- Open client/matter numbers
- Physical records inventoried and bar-coded
- Electronic records imported

Incoming ESI Process

- Media received & logged
- Scan for viruses and malware
- Create a directory listing
- Confirm client authorization
- Import to review repository
- Review, provide matter ID and import
- Confirm all content is processed
- Final disposition of media

Incoming ESI Application






- Automated Document Hold Workflow
 - SQL database
 - Queries other applications for relevant data
 - Stores responses and history
 - Emails
 - Contain a .url to web forms
 - .NET web forms
 - Collect data and populate tables in the database

Incoming ESI Application

- Create transfer
- Log media
- Load directories
- Access directory detail and review repository
- Identify client/matter ID and import repository
- Request import
- View real time status
- Archive transfer

Incoming ESI Management Tool

Logged In: Moore, Dana C.

-  [Edit Transfer Details](#)
-  [Add New Media](#)
-  [Request Import](#)
-  [Activity History](#)
-  [Back to Work List](#)

TRANSFER DETAILS:

Transfer Name:	<input type="text" value="Lowell3"/>	Start Date:	<input type="text" value="8/13/2010"/>
Office:	<input type="text" value="Los Angeles Downtown"/>	End Date:	<input type="text" value="8/7/2010"/>
Records Contact:	<input type="text" value="Burrell, Michael Shakeer"/>	Status:	<input type="text" value="In Progress"/>
Legal Contact(s):	<input type="text" value="Silverman, Robert"/>		

Other Information:

notes is the only thing you can change unless you are an Admin?

Media Received:

Media ID	Type	Status	Status Updated	Notes	Location Received	Date Received	Doc Count	Media Size MB	Date Complete
CD2	CD/DVD	Received	7/23/2010		ESI Coordinator	7/23/2010			
asdf	CD/DVD	Received	7/23/2010		ESI Coordinator	7/23/2010			
ggggggg	Thumb Drive/Flash Drive	Received	7/23/2010		ESI Coordinator	7/23/2010			
asdf	Thumb Drive/Flash Drive	Received	7/23/2010		ESI Coordinator	7/23/2010			

Departing Attorneys

Departed Attorney Process

- Notification
- Review of Electronic Material
 - Messages filed to FileSurf
 - Hard drives and file shares
- Review of personal material
 - Contacts, email, personal material
- Other IT functions
- Deletion of archived messages
- Deletion of mailbox

Departed Attorney Tools

- Sharepoint 2007
- Service Now workflow

Departed Attorneys



Deported Timekeeper Data Request - Windows Internet Explorer provided by Morrison & Foerster LLP

http://netsys.mofo.com/incomingtk/Lists/Deported%20Timekeeper%20Data%20Request/AllItems.aspx

File Edit View Favorites Tools Help

Portal: My Pages Morrison Foerster Ser... Metastorm BPM Deported Timekee...

Network Systems

MF Incoming Timekeeper Data Requests

Home Change MGMT Messaging and Collaboration Projects Networking and Telephony IT Engineering

Network Systems > Incoming Timekeeper Data Requests > Deported Timekeeper Data Request

Deported Timekeeper Data Request

New Actions Settings

Departing Date	Login ID	Timekeeper Name	Emp Class	Last Name	Office	IT Contact	Records Contact	Mailbox Filer	Mailbox Status
Office : (1)									
Office : Admin (38)									
Office : Beijing (4)									
Office : Brussels (4)									
Office : Denver (15)									
Office : Hong Kong (13)									
Office : London (11)									
Office : Los Angeles (72)									
Office : New York (96)									
Office : Northern Virginia (15)									
Office : Palo Alto (104)									

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Departed Attorneys Sharepoint 2007



Departed Timekeeper Data Request - Windows Internet Explorer provided by Morrison & Foerster LLP

http://netsys.mofo.com/incomingtk/Lists/Departed%20Timekeeper%20Data%20Request/AllItems.aspx

File Edit View Favorites Tools Help

Portal: My Pages Morrison Foerster Ser... Metastorm BPM Departed Timekee...

Mailbox Status : Filer selected (58)

Mailbox Status : Filing in progress (47)

Mailbox Status : Mailbox deleted (111)

Mailbox Status : MailMaster Completed (8)

Mailbox Status : Records confirmation (42)

4/30/2010	PFA2	Paige F. Atherton	Staff	Atherton	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/28/2010	EMD3	Ezra M. Denman	Temp	Denman	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/28/2010	KNK1	Kristen N. Kuse	Temp	Kuse	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/22/2010	LVN1	Nguyen, Linda V.	Temp	Nguyen	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/22/2010	LXC13	Carr, Lindsay	Temp	Carr	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/19/2010	CSP4		Temp	Park, Christina	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/19/2010	DKW4		Temp	Wolheim, Dana	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/19/2010	YXH13		Temp	Halavanau, Yauheni	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/19/2010	Nguyen, Phi Ahn T.		Temp	PTN1	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/19/2010	RXS26		Temp	Sengottaiyan, Rani	San Francisco	Dave Delker	Jennie Taylor	Records confirmation
4/19/2010	SXM32		Temp	Malm, Steven	San Francisco	Dave Delker	Jennie Taylor	Records confirmation

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Departed Attorneys Sharepoint 2007 (continued)



Deported Timekeeper Data Request - New Item - Windows Internet Explorer provided by Morrison & Foerster LLP

http://netsys.mofo.com/incomingtk/Lists/Deported%20Timekeeper%20Data%20Request/NewForm.aspx?Rootf

File Edit View Favorites Tools Help

Portal: My Pages Morrison Foerster Ser... Metastorm BPM Deported Timekee...

Attach File * indicates a required field

Timekeeper Name	<input type="text"/> Timekeeper's name
Login ID *	<input type="text"/>
Last Name *	<input type="text"/>
Emp Class	<input type="text"/>
Departing Date	<input type="text"/>
Supervisor	<input type="text"/> Direct supervisor for staff; secretarial manager for attorneys.
Office	<input type="text"/>
Employee Phone #	<input type="text"/>
Employee Email	<input type="text"/>
IT Contact	<input type="text"/>
Records Contact	<input type="text"/>
Mailbox Filer	<input type="text"/>
Mailbox Status	Filing in progress
Personal Data Requested	<input type="checkbox"/> No Data Requested <input type="checkbox"/> Personal Contacts <input type="checkbox"/> Personal Email <input type="checkbox"/> Personal Calendar <input type="checkbox"/> Personal Documents

Filing in progress
Filing completed
Records confirmation
MailMaster confirmation
OK to delete mailbox
Mailbox deleted
Personal Calendar

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Departed Attorneys Sharepoint 2007 (continued)



Windows Internet Explorer provided by Morrison & Foerster LLP

http://netsys.mofo.com/incomingtk/Lists/Departed%20Timekeeper%20Data%20Request/NewForm.aspx?Rootf

File Edit View Favorites Tools Help

Portal: My Pages Morrison Foerster Ser... Metastorm BPM Departed Timekee...

	<input type="checkbox"/> Personal Contacts <input type="checkbox"/> Personal Email <input type="checkbox"/> Personal Calendar <input type="checkbox"/> Personal Documents <input type="checkbox"/> Data Request Complete
Call Departee to Clarify Personal Data	<input type="button" value="v"/>
Data Status	<input type="button" value="v"/>
Document Location	<div style="border: 1px solid gray; padding: 2px;"><p>A A1 B I U [List Icons]</p></div>
Data Delivered	<input type="text"/> [Calendar Icon]
Delivery Receipt Received	<input type="text"/> [Calendar Icon] Date the receipt was received
Data Delivery Method	<input type="checkbox"/> Email <input type="checkbox"/> Mail <input type="checkbox"/> Pickup
Notes	<div style="border: 1px solid gray; padding: 2px;"><p>A A1 B I U [List Icons]</p></div>
Link to PST file	Type the Web address: (Click here to test) <input type="text" value="http://"/> Type the description: <input type="text"/>

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Questions ?

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