

# DOCUMENT RETENTION ARCHIVE UTILITY

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User Guide

A tool to identify and archive documents in Matters to match your Records Retention Policy.

Documents, Docket Events, and Notes can also be searched for and deleted en masse from Matters to match your Records Retention Policy.

# Document Retention Archive Utility

## USER GUIDE

### WORKING WITH THE DOCUMENT RETENTION ARCHIVE UTILITY

The Document Retention Archive Utility is a .NET application residing on your SQL Server or Document Storage Server. The Utility automates moving old documents or documents associated with Matters of a designated status to an alternate document storage location or to delete in accordance with your records retention policy.

By using the Document Retention Archive Utility, your server will only have the documents on it which are needed. This provides the following benefits:

- Improved speed using ProLaw's Full Text Index search to query and retrieve documents.
- Reduced data to be backed up on a daily basis since archived documents are relatively static.
- The ability to stage data for deletion in keeping with your records retention policy.

**NOTE:** DOCUMENTS, DOCKET EVENTS, AND NOTES **CREATED IN CONTACTS** WILL **NOT** BE DELETED USING THIS APPLICATION.

The Document Retention Archive Utility is designed to work with Matter-related Documents and Events. Documents and Events that show on the Contact Events Tab where the Contact is related as an Addressee or a party to a Docket Event or Note will be deleted from Contacts as well since those are pointers to the actual Event in the Matter.

Any Documents and Events created in Contacts should be related specifically to the Contact and not related to any specific Matter. As such, it is assumed these are outside of the Records Retention Policies related to Matters in your operations. These may include such items as Holiday Correspondence, Docket Events to schedule meetings to build client relationships not related to specific Matters or for birthday reminders, Correspondence with Vendors on contracts or services.

If your firm has been creating Matter-related Documents, Docket Events, or Notes in Contacts, please review your operations. If events in Contacts need to be archived or deleted, these will need to be done manually.

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## METHODOLOGY

The Document Retention Archive Utility serves a specific function. It can be used to select which documents in ProLaw are to be removed from the SQL Server or Document Storage Server. These documents can be removed to be archived to store outside of ProLaw or they can be deleted entirely. The application does not leave a copy of these documents on the server or in ProLaw once they are removed. In addition, the application allows Matter Notes and Docket Events to be deleted as well.

Users have full control in selecting which Documents are to be Archived or Deleted either in batches matching pre-set criteria in accord with the records retention policies of the office or by Matter. Unless working with the *Matter Direct* tab, the operation of both Archiving and Deleting Documents is almost the same. Select the parameters to be used for Archiving or Deleting Documents which include: Number of years back; Matter Status; Area(s) of Law to be included; the path; and batch size. When Archiving Documents, the path to the archival directory is to be added as well as the directory and a sub-directory schema to be selected. Once set, the parameters may be named and saved to be used again in the future. Once set, click the *Process* button to Archive or Delete the Documents. When deleting, one has the option to delete Notes and Docket Events Matching the same parameters. When working on the *Matters Direct* tab, select the Matter and Event Types to delete then Delete them.

### Steps

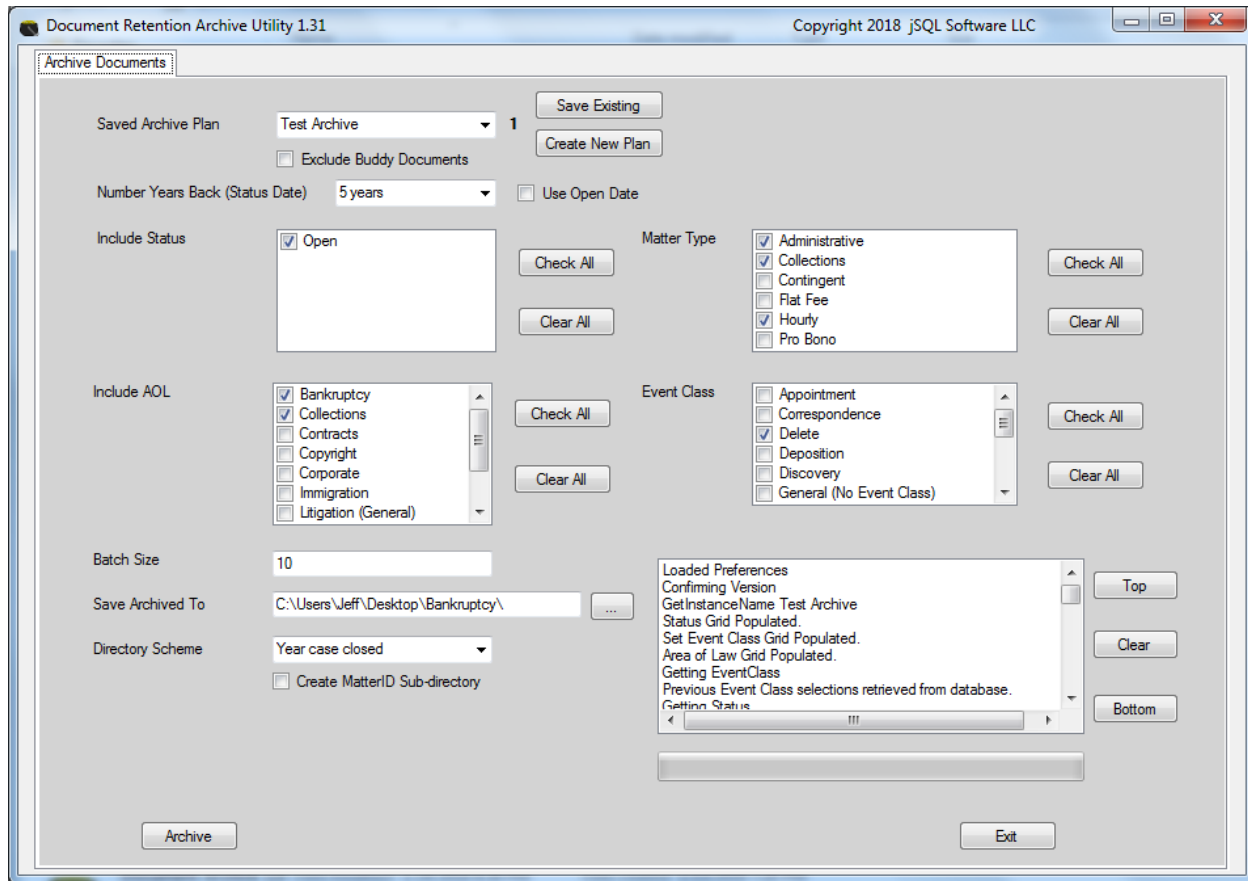
- 1) Select the Tab to work on. Having separate tabs ensure the user will choose the correct action to take.
  - a. Archive Documents
    - i. Removes documents off the SQL Server or Document Server where Documents in ProLaw are stored.
    - ii. Moves these to another server or file location.
  - b. Delete Documents
    - i. Removes documents off the SQL Server or Document Server where Documents in ProLaw are stored.
    - ii. Does not copy these documents to another file location. These are permanently deleted.
  - c. Matter Direct
    - i. Removes Documents, Docket Events and/or Notes off the SQL Server or Document Server where Documents and Events are stored.
- 2) Select the parameters to be used for archive or deletion.
- 3) If archiving documents, select the drive where these documents will go.
- 4) If deleting Events by Matter, select Matter ID and the Event Types to be deleted
- 5) Click the Process button.

## How to Use the Document Retention Archive Utility

1. Double-click with your left mouse button on the Document Retention Archive Utility shortcut on the desktop.
2. ProLaw does not need to be open to use the Document Retention Archive Utility but it can be useful to use if you need to search for Matter IDs and other information you may need to archive or delete. |
3. Once you archive or delete your selections from ProLaw they will no longer be in ProLaw. This application does not make a copy. There is no way to retrieve data once deleted other than from a recent back-up from your server.
4. Any Archived Documents that are copied back to ProLaw will not have their original document number. ProLaw will see these as new documents.
5. Tabs at the top of the Document Retention Archive Utility allow you to *Archive Documents*, *Delete Documents* and/or *Docket Events* and/or *Notes*, *Matter Direct* to delete Documents, Docket Events, and/or Notes by Matter.
6. You may set parameters to use such as date of the Number of Years Back to search, Matter Status, and Area of Law to set parameters for determining which documents are to be archived from ProLaw on the *Archive Documents* tab.
7. You may set parameters to use such as date of the Number of Years Back to search, Matter Status, and Area of Law to set parameters for determining which documents, docket events, and/or notes are to be deleted from ProLaw on the *Delete Documents* tab.
8. Parameters can be named and saved to be used again on the *Archive Documents* and *Delete Documents* tabs. Each tab will retain separate lists to be reused for future searches.
9. You can select which Matter is to have documents, docket events, and/or notes deleted from the specified Matter. Only one Matter may be selected at a time.
10. Once archived or deleted, these events will no longer appear in ProLaw.
11. Once deleted, these events will no longer exist on your server. This is the equivalent of shredding the physical document.



## HOW TO ARCHIVE DOCUMENTS



The *Archive Documents* tab is used to archive documents outside of ProLaw. This tab only works with documents and not any other event type. Documents must be archived to another file outside of ProLaw. This can be on your server, a local or remote hard drive, or any other place where these documents are to be electronically stored. If these are to be copied onto an optical disk (CD or DVD), they will first need to be archived to a drive outside of ProLaw.

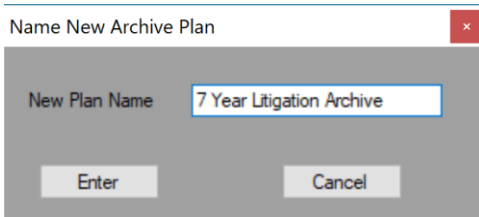
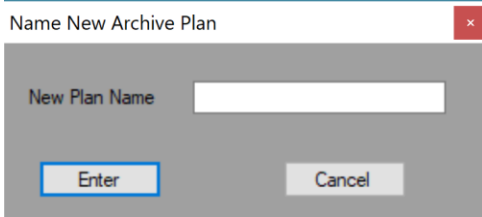
The protocols used for archiving documents must be in accord with the Records Retention Policy of the office. The rights to use the Document Retention Archive Utility should only be granted to those who have been trained both in the operation of this program and with the policies of your office.

An unlimited number of pre-set plans can be created and saved to be used repeatedly. This is helpful as different Areas of Law may require different standards for archiving documents. These can be run according to a schedule that matches your Records Retention Policy.

***This program removes documents from ProLaw when archived. If you wish to make copies of documents to use outside of ProLaw while leaving the originals in ProLaw, see the jSQL Document Export Utility which is designed for that purpose.***

## Using the Archive Documents Tab

- **Saved Archive Plan:** This field allows you to select a saved Archive Plan to reuse for archiving documents from ProLaw using the same schema.
- **Save Existing:** This button lets you save the plan you have just created.
- **Create New Plan:** This button gives you a pop-up window where you can name the new plan you want to use. Use the *Enter* button to save the name.



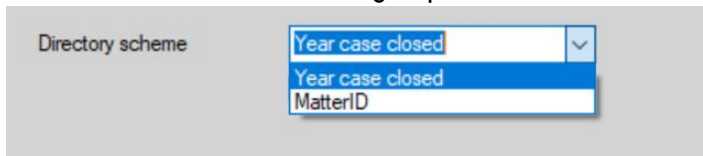
- **Exclude Buddy Documents:** This checkbox allows you to determine if buddied to another Matter will be included in the archival process or not. Checking this box will not archive any documents buddied to another Matter.
- **Number of Years Back:** This drop-down list allows you to select the parameter to use for determining when the Document Retention Archive Utility will search to determine which documents to include for archiving.



This list goes back the number of months or years specified to select which documents will be included.

It is *not* searching for everything between today and the timeframe selected. This will search for Matters where the Year or Month on the Status Date is equal to or more than the date from when you are running this search. Example: If running this program in the year 2017, the Document Retention Archive Utility will search for Matters where the Status Date is 2007 or earlier. This will include only those Matters with the Status Type selected in the *Include Status* field.

- *Use Open Date:* This will default the search to all Matters where the Open Date matches the Number of Years Back Search rather than the Status Date from the *Include Status* field.
- *Include Status:* This field allows you to select one or more Status Types to be included in your search. Normally, one would want to archive or delete Events in Closed Matters. There may be exceptions for Matters which have been more *Inactive* or another status used in your office which would be appropriate in keeping with your Records Retention Policy.
  - *Check All and Clear All:* These let you include all Status Types or Clear your selections.
- *Include AOL:* This window displays a list of all the Areas of Law used in your office. You may select one or more Areas of Law to use in your search. This allows you to exclude any Matters by AOL which should not be archived (such as Family Law, Estate Planning, or Administration).
  - *Check All and Clear All:* These let you include all Areas of Law or Clear your selections.
- *Include Event Class:* This window displays a list of all the Event Classes within your ProLaw database. You must select one or more Event Classes to use in your search. This allows you to exclude certain Event Classes which should not be archived.
  - *Check All and Clear All:* These let you include all Event Classes or Clear your selections. Selecting the “General (No Event Class)” option will include any documents that aren’t assigned an Event Class.
- *Include Matter Type:* This window displays a list of all the Matter Types within your ProLaw database. You may select one or more Matter Types to use in your search. This allows you to exclude any Matter by Matter Type which should not be archived.
  - *Check All and Clear All:* These let you include all Matter Types or Clear your selections.
- *Batch Size:* This is *only* for offices using Replication or Document Server. This allows you to limit your search to a particular number of documents. This is useful when your document directory is exceptionally large.
- *Save Archives To:* Designate the drive and file where documents are to be archived.
- *Directory Scheme:* Use this drop-down list to choose how the archived files will be grouped when removed from ProLaw. The choices are by *Matter ID* or by *Year Case Closed*. The latter uses the File Closed Date on the Matter to group the archived documents.

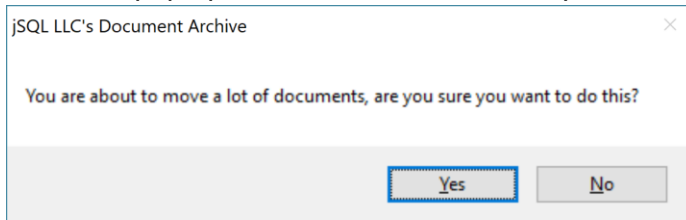


- *Create Matter ID Sub-directory:* Use this checkbox when grouping files by *Year Date Closed* to create sub-directories for each Matter within that year. Note: This option is not available if grouping documents by the MatterID. It only appears when *Year case closed* is selected.



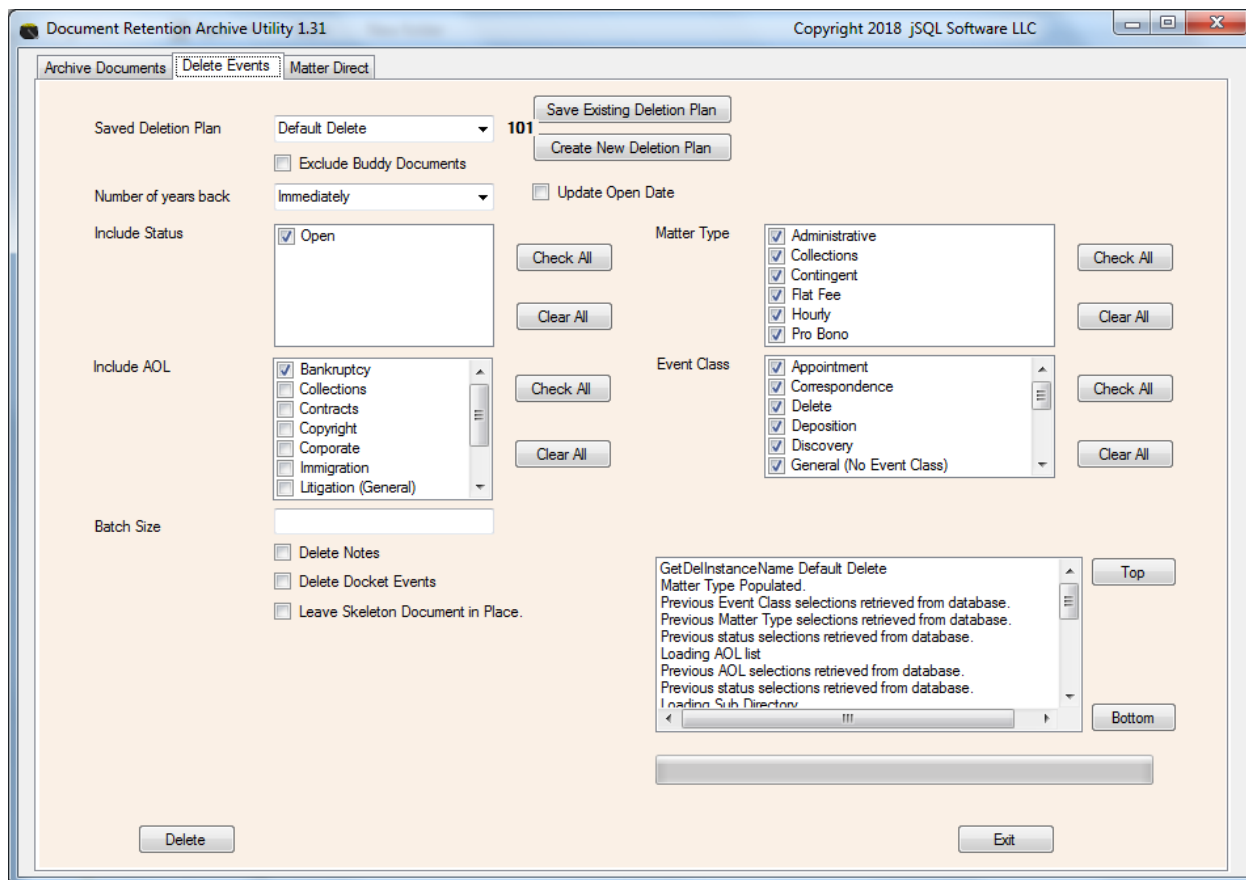
## Document Retention Archive Utility

- **Process:** This button will archive the documents selected based on the criteria used in the fields listed above. A pop-up window will ask to confirm your actions.



- **Exit:** This button closes the Document Retention Archive Utility.
- **Information Window:** This window shows a list of all the actions taken by the Document Retention Archive Utility. This is useful for troubleshooting any technical issues and for verifying your archival actions. The *Top* and *Bottom* buttons are conveniences to scroll directly to the top or bottom of the window listings.

## HOW TO DELETE DOCUMENTS, DOCKET EVENTS, AND NOTES



**CAUTION: Using this tab will delete documents from your server.** This is the equivalent of shredding your physical files. The documents selected will no longer be available in ProLaw or reside on your server. The only way to retrieve them would be from a back-up file. The back-up file will only be available in accordance with your operation's data recovery protocols.

In addition to Documents, this tab allows you to **delete** the Notes and Docket Events from a Matter. This should be used in accordance with your Records Retention Policy.

An unlimited number of pre-set plans can be created and saved to be used repeatedly. This is helpful as different Areas of Law may require different standards for deleting documents and other events. These can be run according to a schedule that matches your Records Retention Policy.

The *Delete Documents* tab will only delete Events from a Matter. It will leave the Matter intact in ProLaw without affecting Related Contacts and Custom Tabs. If all Events have been deleted from the Matter, the Matter may be queried and deleted *en masse* from within ProLaw if that matches your office record retention policies. Leaving the Matters in place, allow for continued use of the Matters for historical purposes and for Conflict Searches.

## Using the Delete Document Tab

Working with the *Delete Documents* tab is nearly the same as the *Archive Documents* tab as noted in the preceding section. This tab uses a darker color of gray to help distinguish it from the Archive Tab.

- **Saved Deletion Plan:** This field allows you to select a saved Deletion Plan to reuse for deleting documents from ProLaw using the same schema.
- **Save Existing:** This button lets you save the plan you have just created.
- **Create New Plan:** This button gives you a pop-up window where you can name the new plan you want to use. Use the *Enter* button to save the name.

A screenshot of a dialog box titled "New Plan Name" with a red close button in the top right corner. The dialog contains a text input field labeled "New Plan Name" which is currently empty. Below the input field are two buttons: "Enter" and "Cancel".

A screenshot of the same "New Plan Name" dialog box. The text input field now contains the text "7 Year Plan". The "Enter" and "Cancel" buttons remain below the input field.

- **Exclude Buddy Documents:** This checkbox allows you to determine if buddied to another Matter will be included in the deletion process or not. Checking this box will not delete any documents buddied to another Matter.

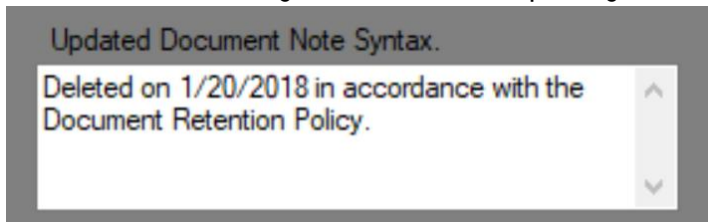
- **Number of Years Back:** This drop-down list allows you to select the parameter to use for determining when the Document Retention Archive Utility will search to determine which documents to include for deleting.



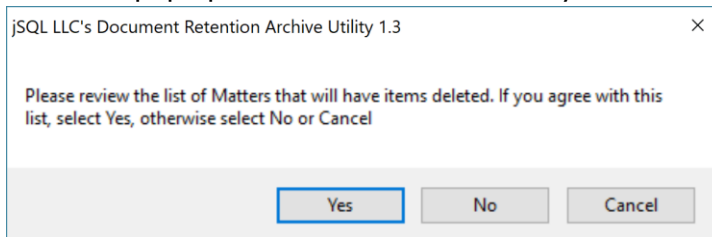
This list goes back the number of months or years specified to select which documents will be included. It is *not* searching for everything between today and the timeframe selected. This will search for Matters where the Year or Month on the Status Date is equal to or more than the date from when you are running this search. Example: If running this program in the year 2017, the Document Retention Archive Utility will search for Matters where the Status Date is 2007 or earlier. This will include only those Matters with the Status Type selected in the *Include Status* field.

- **Use Open Date:** This will default the search to all Matters where the Open Date matches the Number of Years Back Search rather than the Status Date from the *Include Status* field.
- **Include Status:** This window allows you to select one or more Status Types to be included in your search. Normally, one would want to archive or delete Events in Closed Matters. There may be exceptions for Matters which have been more *Inactive* or another status used in your office which would be appropriate in keeping with your Records Retention Policy.
  - **Check All and Clear All:** These let you include all Status Types or Clear your selections.
- **Matter Type:** This window lists the Matter Type field names used in your office. These can be included as part of your search if needed by checking the Matter Types to be included. Leaving this blank will include all Matter Types.
  - **Check All and Clear All:** These let you include all Status Types or Clear your selections.
- **Include AOL:** This window displays a list of all the Areas of Law used in your office. You may select one or more Areas of Law to use in your search. This allows you to exclude any Matters by AOL which should not be archived (such as Family Law, Estate Planning, or Administration).
  - **Check All and Clear All:** These let you include all Areas of Law or Clear your selections.
- **Include Event Class:** This window displays a list of all the Event Classes within your ProLaw database. You must select one or more Event Classes to use in your search. This allows you to exclude certain Event Classes which should not be archived.

- *Check All* and *Clear All*: These let you include all Event Classes or Clear your selections. Selecting the “General (No Event Class)” option will include any documents that aren’t assigned an Event Class.
- *Batch Size*: This is *only* for offices using Replication or Document Server. This allows you to limit your search to a particular number of documents. This is useful when your document directory is exceptionally large.
- *Delete Notes*: This checkbox will delete all Notes from the selected Matters.
- *Delete Docket Events*: This checkbox will delete all Docket Events from the selected Matters.
- *Leave Skeleton Document in Place*: This checkbox will delete the selected documents from Prolaw and your server but leave the Notes field for the document in place. With this field checked, a new field opens named *Updated Note Syntax*. Anything typed in this field will be joined to the Document Notes for all Documents being deleted. An example might be shown in the screenshot below.

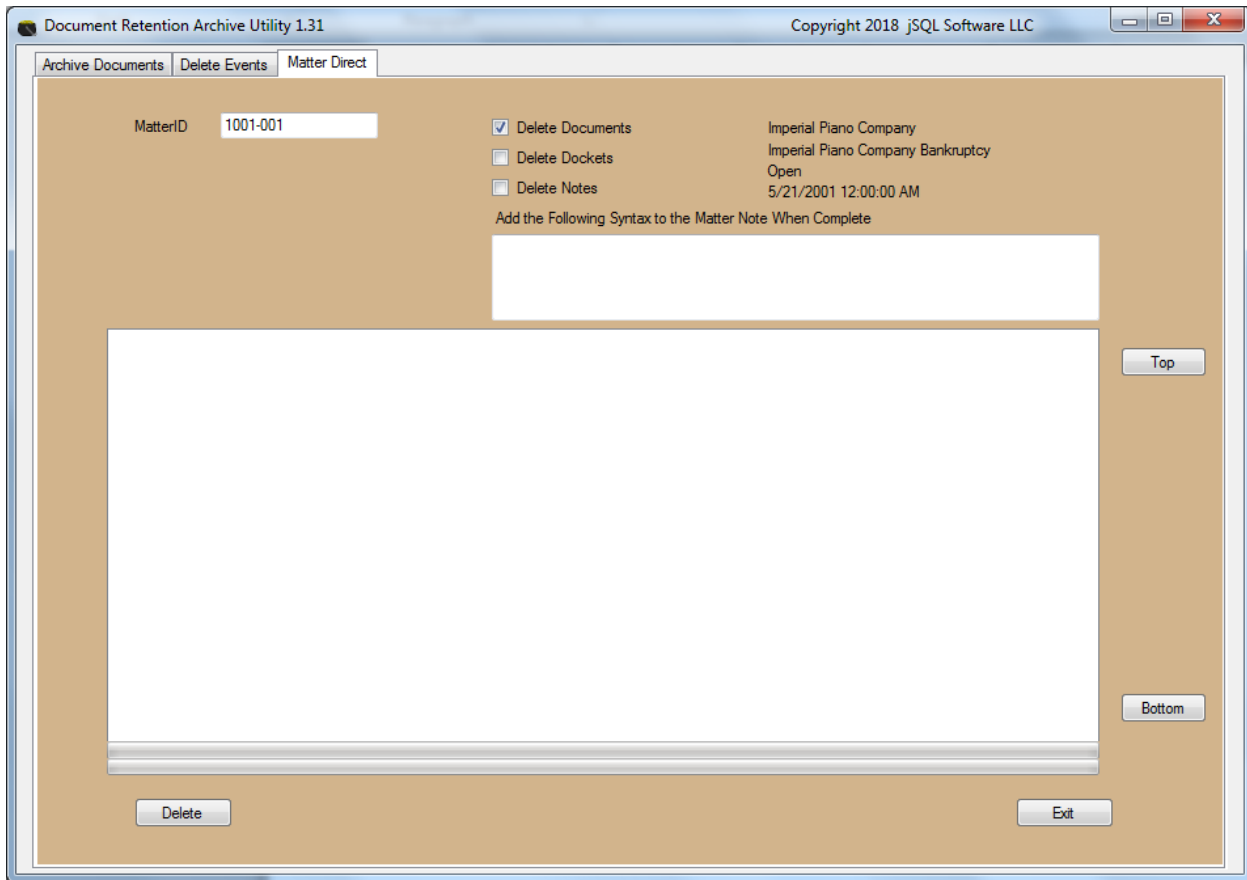


- *Dummy Document Path*:
- *Process*: This button will **delete** the documents selected based on the criteria used in the fields listed above. A pop-up window will ask to confirm your actions.



- *Exit*: This button closes the Document Retention Archive Utility.
- *Information Window*: This window shows a list of all the actions taken by the Document Retention Archive Utility. This is useful for troubleshooting any technical issues and for verifying your archival actions. The *Top* and *Bottom* buttons are conveniences to scroll directly to the top or bottom of the window listings.

## USING THE MATTER DIRECT TAB



The *Matter Direct* Tab allows you to select a single Matter where you can delete Documents, Docket Events, and/or Notes.

- *Matter ID*: Enter the Matter ID of the Matter where you wish to delete Events.
- *Delete Documents*: Using this checkbox will delete all documents in the Matter selected.
- *Delete Dockets*: Using this checkbox will delete all of the Docket Events in the Matter selected.
- *Delete Notes*: Using this checkbox will delete all of the Notes in the Matter selected.
- *Add the Follow Syntax to the Matter Note When Complete*: You can fill this text box with syntax that you want to appear in the large Notes field on the Matters' Notes tab, Notes field. Usually information indicating when, why and by whom the documents, dockets and/or notes were deleted is placed here.
- *Information Window*: This window shows a list of all the actions taken by the Document Retention Archive Utility. This is useful for troubleshooting any technical issues and for verifying your archival actions. The *Top* and *Bottom* buttons are conveniences to scroll directly to the top or bottom of the window listings.