

Altien Legal Hold Process Manager

Partner Solution

- **Business Application**
Legal Hold Process Management
- **Target Industry**
Cross Industry
- **Products**
IBM FileNet Business Process Manager
IBM InfoSphere Content Collector
IBM FileNet Content Manager
IBM InfoSphere eDiscovery Analyzer
IBM InfoSphere eDiscovery Manager
IBM InfoSphere Enterprise Records

Business Challenge

The duty to preserve evidence is a basic principle of law in most jurisdictions. Although the duty to preserve evidence is not new, the 2006 amendments to the US Federal Rules of Civil Procedure have created significant new challenges for organizations because the rules now cover the discovery and preservation of electronically stored information “ESI” as well as paper documents.

A legal hold, or litigation hold, is the process by which an organization prevents the destruction of information that may be relevant to a lawsuit, audit or regulatory investigation. The events that may trigger the need for a legal hold are varied, but in the United States, an organization must now implement a legal hold as soon as it may “reasonably anticipate” litigation. This means that organizations need to be able to implement a legal hold at very short notice.

The risks of failing to successfully manage the legal hold process are considerable. Evidence that might support the organization’s legal position might simply be lost. More worrying, given the complexity of implementing a wide ranging hold in a large organization, is the risk of sanctions for spoliation including substantial fines, adverse inference instructions and even summary judgment. Finally, the Sarbanes-Oxley Act already provides criminal penalties for the destruction of evidence, including fines and/or imprisonment. New corporate regulation promises more complexity, at best.

In order to comply with the duty to preserve evidence, organizations must be prepared. They need a clear strategy and detailed procedures that will be followed in each case. The sheer volume of ESI and the proliferation and complexity of systems means ESI may still be lost inadvertently. An organization’s best defense is to be able to demonstrate that it has acted in good faith and followed a consistent and rigorous legal hold process.

Solution

Altien Legal Hold Process Manager (LHPM) enables corporate legal departments to establish and manage an efficient, consistent and defensible legal hold process, using the IBM ECM platform.

It may be used together with IBM InfoSphere Enterprise Records, IBM InfoSphere Content Collector, IBM InfoSphere eDiscovery Manager and IBM InfoSphere eDiscovery Analyzer to provide a complete and highly-scalable solution for the identification, preservation and collection of ESI.

The LHPM application is based on detailed workflow templates that ensure each task in the legal hold process can be tracked and reported upon. It enables the corporate legal department to maintain a model of the relevant custodians and data sources across all its matters.





LHPM automates the sending of hold order notices to individual custodians and data source owners, tracks responses in real time, sends scheduled reminders and escalates any non-compliant events to the case manager. It enforces standards by maintaining a library of hold notice templates which can be easily adapted.

In some cases a legal hold must be maintained over many years, and the LHPM application allows for changing circumstances so custodians and data sources may be added and removed, revised notices may be sent periodically and follow-up workflows triggered to monitor ongoing compliance. At the conclusion of a case, hold release notices are sent to all stakeholders, helping to ensure that the organization is not holding more information than is necessary.

Value Proposition

Altien Legal Hold Process Manager is built bottom-up on the IBM FileNet Business Process Manager platform, which provides the flexibility to adapt workflows to each organization's requirements, as well as reliability, security, auditability and ease of integration with other systems.

All elements in the LHPM model, including the hold notice templates, the individual notices, responses and reminders, and any other case-related documents such as questionnaires and interview notes are stored directly in the IBM FileNet Content Manager repository. This makes LHPM a natural choice for organizations building their compliance information architecture on the IBM platform.

Altien Legal Hold Process Manager is part of the Altien Corporate Legal Suite of products. The suite core components, Legal Document Manager and Legal Workflow Manager, enable corporate legal departments to better manage all their documents and document-centric business processes on the IBM ECM platform.

Company Description

Altien develops off-the-shelf applications for the IBM Enterprise Content Management platform. Altien's expertise is based on more than fifteen years of experience in designing and implementing ECM systems and Altien has been a FileNet ISV ValueNet partner since 2003. Altien's applications are deployed today with major organizations worldwide in the financial services, energy and government sectors.

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