



User Manual

Version 2.0

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Technical Support

If you need further assistance, please call our technical support number at (888) 978-3120 or email our support team at support@insightoptix.com.

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Home Dashboard

The homepage dashboard of Evidence Optix® (“EO”) is comprised of 4 sections. These analytics capture the progress of an EO project and provide a quick glimpse into several key metrics:

- **Custodian Rank** – breakdown by Custodian Rank for custodians that have completed their Assessment.
- **Custodian Evaluation Status** – count of custodians as they progress through each step of the Evaluation stage. In the example, there are 56 total custodians and 27 custodians who have completed all Custodian Evaluation stages.
- **Proportional Discovery Assessment® (PDA)** – snapshot of costs approved to date for collection, including a breakdown for All Data Sources, Approved Data Sources, Collected Data Sources and Cost Savings.
- **Data Source Count by Custodian Rank** – displays a count of Data Sources organized by Custodian Rank, which offers insight that informs the negotiation and collection strategy

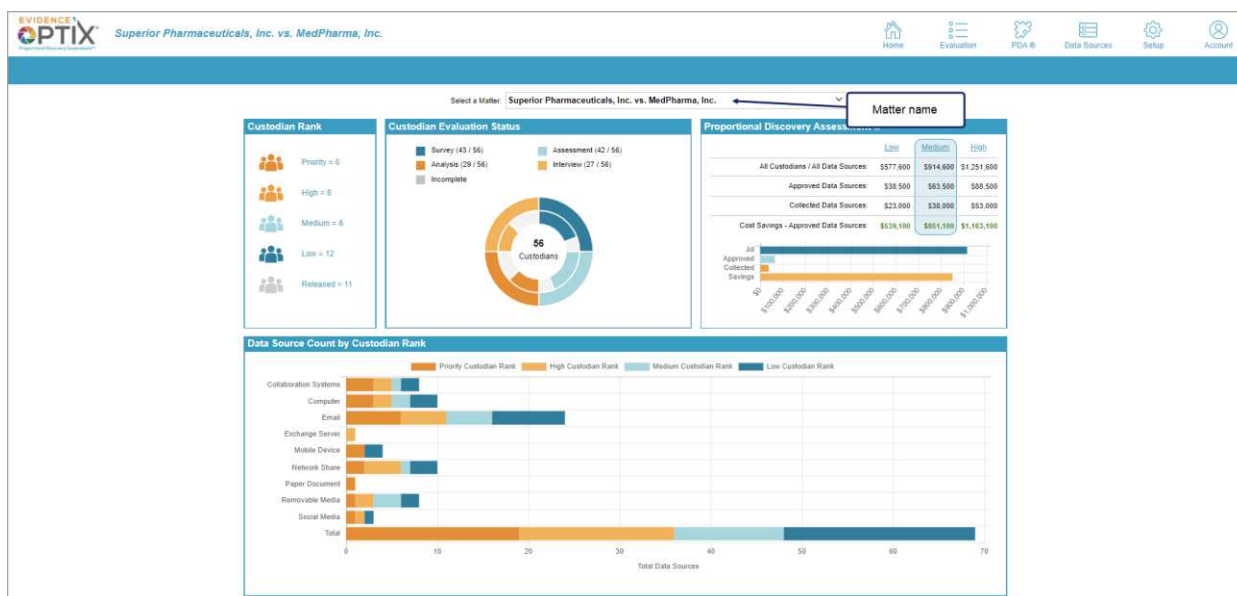


Figure 1 - Home Dashboard



Note: Since most of this data is compiled as you move through the stages and modules of the workflow, the charts may initially be sparse or empty of data points.

Evaluation Module

Understanding the Evaluation Module

The Evaluation module represents the status of each custodian relative to the EO workflow. It identifies what stages are completed and what stages are left to complete before the custodian and their data sources become eligible for analysis in the Proportional Discovery Assessment® (“PDA”) module.

When the Evaluation module is selected, users are given the option to view the list of custodians within a specific matter or alphabetically by custodian across all of the matters in which they are involved.

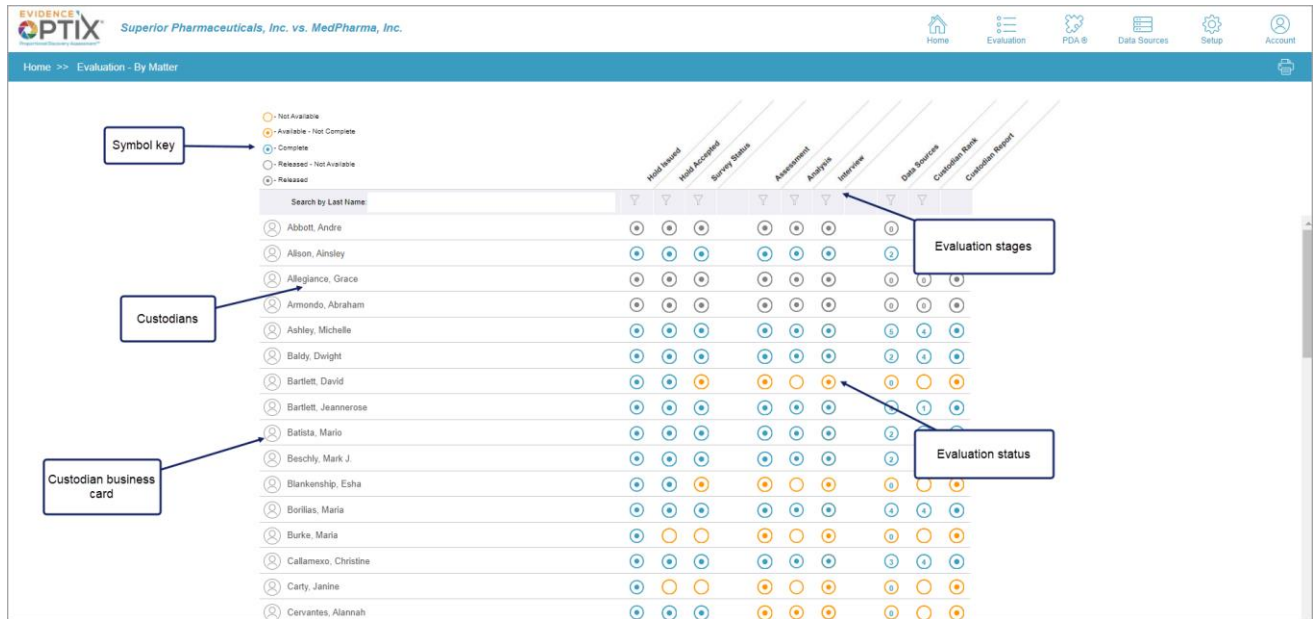


Figure 2 - Evaluation Module

Evaluation Symbol Key

Not available, no information has been entered

Available, information entered but task not complete

Task complete

Task complete; the number inside the circle represents either the Custodian Rank or the number of data sources



Custodian released and access to this task is unavailable



Custodian has been released



Note: Once the Survey, Analysis, or Interview are completed, they can be viewed, but not edited. If further editing or additional information is needed, do not mark the Survey or Interview as complete (see instructions in Survey and Interview sections).



Components of the Evaluation Module

The Evaluation Module is divided into sections that cover three stages of the workflow:

- Section 1: Identifies the status of legal hold issuance, acceptance, and the Legal Hold Survey completion
- Section 2: Identifies the status of the Assessment, Legal Hold Survey Analysis, and Interview of the custodian
- Section 3: Displays the number of Custodian Data Sources, the Custodian Rank, and a link to the Custodian Report, a printable page of information for the selected custodian



NOTE: The Hold Issued and Hold Accepted circles are informational only; their status updates upon completion of the survey.

Custodian Information Card


The Custodian Information Card can be accessed by clicking on the  icon located to the left of the custodian's name. This window displays the custodian's job title, department, office location, contact information, current time, and survey status. There is also an option to add notes for any additional information about the custodian that might be important.

Figure 3 - Custodian Information Card

Section 1: Legal Hold and Legal Hold Survey

Understanding the Hold Issued, Hold Accepted, and Survey Status Columns

This section provides insight into the status of the legal hold and legal hold survey. As each step is completed, the icon representing the status changes per the symbol key noted above. The Hold Issued and Hold Accepted columns note the status of the legal hold, and the Survey Status icon indicates whether a legal hold survey has been completed. The survey may be conducted within the EO application by an authorized user, or completed outside of EO, with the answers uploaded to the EO platform.



Note: If a survey has not been completed outside of EO either through upload or with a survey link, it may be entered manually. The status icon for a survey that can be entered within EO is either an empty or filled orange circle.

Completing a Legal Hold Survey within Evidence Optix

To complete a Legal Hold Survey within EO, use the following steps:

Step
by
Step

1. Click on the **custodian's name** on the left side of the Evaluation screen.
2. The Custodian Information Card will appear as follows. On the bottom left, click on **Complete Survey**.



Figure 4 - Custodian Information Card – Survey Completion



Note: You may also complete the survey by clicking the **empty orange circle** under the Survey column.

3. A dialog box appears to ask, “Do you want to complete the survey?” Respond **Yes**.
4. Verify the case name and click **Acknowledge**.

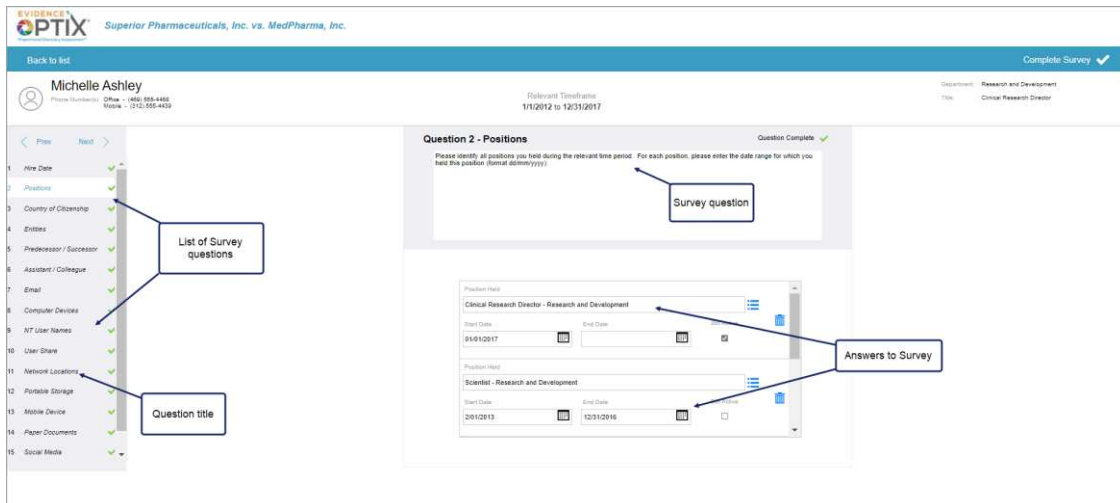


Figure 5 - Survey Entry Screen

The survey questions appear in the left pane and space to enter answers is available in the middle pane of the screen. Each question has a color-coded checkmark next to it.

- ✓ Question currently selected to be completed
- ✓ Unanswered question
- ✓ Answered question

5. Proceed through each question by **clicking on the question title** in the question list or using the **< Prev Next >** option at the top of the question list, which moves automatically to the

previous/next question. Provide as many details as possible for each question. *Answers will save automatically when you move to another question.*



Note: Answers may be altered at any time prior to clicking the Complete Survey button by navigating back to the question in the question list.

6. When all Survey answers have been completed and marked as ✓, click on **Complete Survey** in the upper right navigation bar to submit answers.



Note: If a question is incomplete, the system provides a prompt which allows users to return to that question to answer it. **Once the Survey is marked completed, answers may not be changed.** If you wish to leave the Survey before completing it, click on the **Back to List** link in the upper left above the custodian's name. You may continue to edit the Survey later by following the steps outlined above.

7. When completed, the Survey icon in the Survey Status column changes to a filled blue circle.

Section 2: Assessment, Analysis, and Interview

Understanding the Assessment Section

The Assessment tool allows attorneys to pose specific questions to each custodian to evaluate their knowledge and involvement in the matter and the materiality, strength, and uniqueness of that involvement. The custodian responses to these questions are analyzed, and a corresponding priority ranking is assigned based upon those answers. This ranking (Low, Medium, High, or Priority) is used in the PDA negotiating stages of EO.

The Assessment should be conducted prior to the Interview to aid in identifying custodians to be released. It must be completed before the Interview can be marked as complete.

The Assessment questions are designed by the attorneys in coordination with an EO consultant to be specific to the claims and defenses at issue, so questions will vary from project to project.

Completing the Assessment

To complete an Assessment, use the following steps:

Step
by
Step

1. Click on the **filled orange circle** for the corresponding custodian under the Assessment column.

Figure 6 - Assessment Screen

2. The Assessment questionnaire page opens. Proceed to ask each question while documenting the answers provided by the custodian.



Note: All questions must be answered. The Assessment may include Yes/No questions or text questions with a numerical or ranked answer.

3. Once all the questions have been answered, the rules for the EO scoring algorithms, configured during the matter setup, are executed. This will confirm either the retention of the custodian (continuing their legal hold) or the release of the custodian, and the corresponding button will highlight.

4. Click the active button (**Retain** or **Release**) to confirm completion of the Assessment and the retention or release of the custodian.

Completion of the Assessment also calculates the Custodian's Rank based on the answers provided and their respective scores (configured during matter setup). The custodian's numerical rank will appear in a blue circle under the Custodian Rank column on the Evaluation Module home screen (see [Figure 2](#)).

Potential Custodian Ranks:

- 4 – Priority
- 3 – High
- 2 – Medium
- 1 – Low



Note: A released custodian will be marked with a rank of 0 in a gray circle.

Understanding the Analysis Section

Analysis is an optional step where an EO consultant or qualified user reviews the Legal Hold Survey answers provided by the custodian and identifies responses that may require further follow-up during the live attorney interview. Engaging in this process shortens the attorney interview, as only those questions marked for follow up need to be asked.

The Analysis section is optional and may be skipped if desired.



Note: Analysis is only available if the Legal Hold Survey is complete. If available, it will be represented by a filled orange circle under the Analysis column.

Completing the Analysis

To complete an Analysis, use the following steps:

- Step** 1. Click on the **filled orange circle** for the corresponding custodian under the Analysis column (see [Figure 2](#)). The Analysis screen will appear as follows.

The screenshot shows the EVIDENCE OPTIX Analysis screen for Michelle Ashley. The interface includes a top navigation bar with icons for Home, Evaluation, PDA, Data Sources, Setup, and Account. The main content area is divided into four panes:

- Left Pane:** A list of 16 legal hold survey questions, each with a green checkmark indicating completion. The questions include: Hire Date, Positions, Country of Citizenship, Entities, Predecessor / Successor, Assistant / Colleague, Email, Computer Devices, NT User Names, User Share, Network Locations, Portable Storage, Mobile Device, Paper Documents, Social Media, and Collaboration Systems.
- Analysis Pane:** Contains 'Follow-up Required' (Yes/No) and 'Analysis Complete' (Yes/No) status indicators. It also includes a 'Follow-up Reason' section with checkboxes for 'Null Response', 'Conflicts with other data', and 'Please confirm custodian response'. A 'Please report' section asks to identify all computer devices used.
- Survey Question Pane:** Displays the question: 'Please identify the types of computer devices you have used to conduct any activities relating to your job.' Below the question, there is a list of responses: 'Desktop MK-2300T', 'Laptop MT-140LP', and 'My docs folder'.
- Notes Pane:** A section for adding notes.

Figure 7 - Analysis Screen

2. The list of Legal Hold Survey questions is displayed in the left pane and the answers provided in the survey are noted in the right frame. Each question has a color-coded checkmark next to it.

- ✓ Question currently being analyzed
- ✓ Question unanalyzed or incomplete
- ✓ Question analysis completed

3. Proceed through each question by **clicking on the question title** in the question list or using the **< Prev Next >** option at the top of the question list. *Analysis responses will save automatically when you move to another question.*



Note: Answers may be altered at any time prior to clicking the Complete Analysis button by navigating back to the question in the question list.

4. Examine each answer, clicking the **Yes** or **No** radio button at the top of the Analysis section (located to the right of the question list - see [Figure 7](#)) to denote whether further clarification is required during the live interview.
 - If follow up is required, click **Yes** and select one of the reasons from the list provided. Selecting “Other” in the list will open a text box to enter a custom description for the follow up.
 - If follow up is not required, click **No** and move to the next question.
5. Once each question is analyzed and marked with ✓, click on **Complete Analysis** in the upper right navigation bar to submit the answers.



Note: If a question is incomplete, the system provides a prompt which allows users to return to that question to answer it. **Once marked completed, the Analysis may not be changed.** If you wish to leave the Analysis before completing it, you may navigate away from it using the Main Menu bar or the breadcrumbs in the upper left. You may continue to edit the Analysis later by following the steps outlined above.

Understanding the Interview Section

The Interview tool allows attorneys to conduct a comprehensive interview with the custodian to gather and document information regarding the custodian’s data source ownership, usage, and their role in the organization and materiality to the matter in question.

Note: The Assessment should be completed prior to the Interview.



Completing the Interview

To complete an Interview, use the following steps:

Step
by
Step

1. Click on the **filled orange circle** for the corresponding custodian under the Interview column (see [Figure 2](#)).
 - If no Legal Hold Survey has been completed, the program will prompt the user to start the Interview with no survey data. An Interview may be completed with no survey data. To continue and enter answers manually, click **Yes**.
2. The opening Interview screen is displayed. Add the name of the interviewer and any other relevant notes pertaining to the interview and click **Start Interview**.

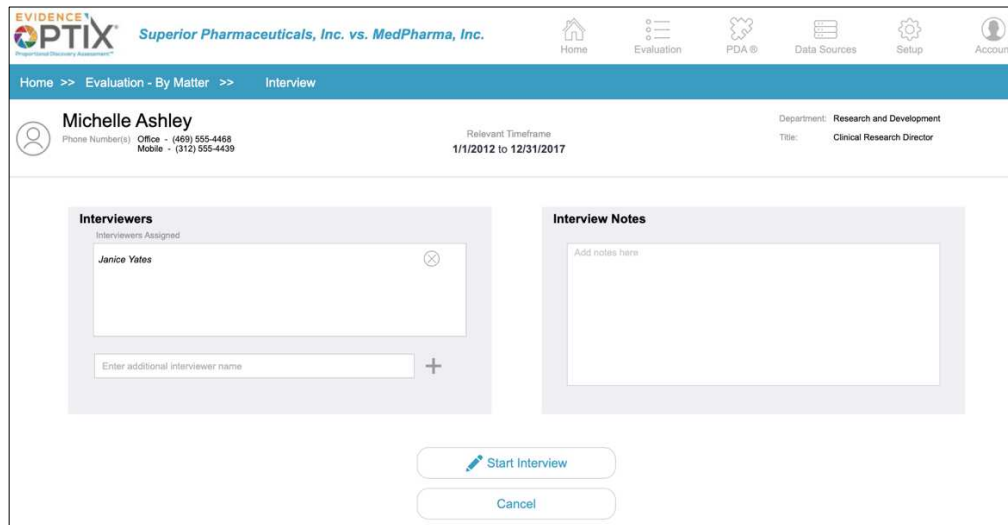


Figure 8 - Opening Interview Screen

3. The Interview screen will appear as follows.

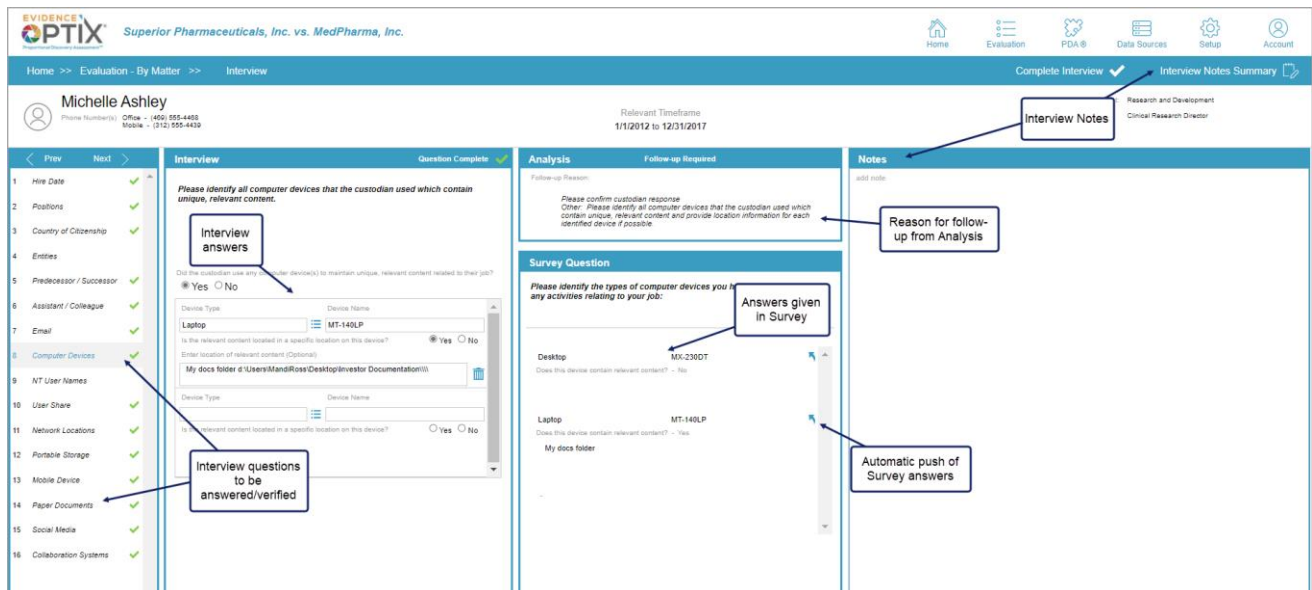


Figure 9 - Interview Screen

4. The list of Legal Hold Survey questions is displayed in the left pane and the answers provided in the survey are noted in the right frame. Each question may have a color-coded checkmark next to it.

- ✓ Question currently selected
- ✓ Question requiring confirmation
- ✓ Question verified during Interview and complete




Note: Questions without a checkmark need no review, as they were marked as accurate during Analysis. If Analysis was not completed, every question has a gray checkmark and must be confirmed. Questions may also be marked as needing confirmation in matter setup.

5. Proceed through each question with a gray checkmark by **clicking on the question title** in the question list or using the **< Prev Next >** option at the top of the question list. Provide as many details as possible for each question. *Answers will save automatically when you move to another question.*

- When a question is opened, the answers given during the Legal Hold Survey are displayed in the lower right section (see [Figure 9](#)).
- If Analysis was completed, the reason required for follow up on this question is displayed in the upper right section (see [Figure 9](#)).



Note: Although responses will save automatically when you move to another question, you may alter them at any time prior to clicking the Complete Interview button by navigating back to the question in the question list.

6. Enter Interview answers in the middle frame (see [Figure 9](#)). To easily move answers from the Legal Hold Survey response to the Interview response, utilize the automatic push option using the small blue arrow. 

7. When finished, click **Complete Interview** in the upper right navigation bar.



Note: If a question is incomplete, the system provides a prompt which allows users to return to that question to answer it.

8. The Interview screen is displayed.

9. Add any relevant notes to the interview, then click **Mark Interview Complete**.



Note: *Once marked completed, the Interview may not be changed.* If you wish to leave the Analysis before completing it, you may navigate away from it using the Main Menu bar or the breadcrumbs in the upper left. You may continue to edit the Analysis later by following the steps outlined above.

Section 3 – Data Sources / Custodian Rank / Fact Sheet

The final section of the Evaluation Module displays the following data points:

- **Data Sources:** Displays the number of data sources identified for each custodian. Clicking on the icon takes you to the Data Sources module and lists the data sources that were identified as potentially relevant for that custodian.
- **Custodian Rank:** Displays the relevancy ranking assigned to the custodian through the Assessment.
- **Custodian Report:** A custodian fact sheet which displays data points for each custodian, including contact information, custodian rank with associated assessment answers, current status in the evaluation stage, along with data source information.

Proportional Discovery Assessment® Module (PDA)

Understanding the Proportional Discovery Assessment® Module

Overview

Once the custodian evaluation has been completed, the PDA module allows users to make decisions regarding custodians and data sources, culminating in the ability to create scenarios to phase discovery and project overall discovery costs.

The PDA workflow is a rule-based series of steps using the Custodian Rank and Data Source Rank to identify the projected costs of the data source passing through the entire eDiscovery workflow. The steps include determining the status of each custodian and data source, creation of scenarios, and approval of data sources for collection.

The PDA module facilitates discovery scoping and budgeting negotiation, and preservation and collection decisions through the following screens:

- **PDA Heatmap** – Custodian/Data Source Heatmap, plotted by custodian relevance and data source burden, which targets the most likely sources of relevant information
- **Custodian Status** – A list of all custodians with a Custodian Rank, allowing users to make decisions regarding which custodians should be included or excluded
- **Data Source Status** – A list of all data sources identified that may hold relevant data, allowing users to make decisions regarding the status of each data source, as well as creating real-time cost-estimating and budget scenarios
- **Scenario Approval** – A list of all scenarios with selected custodial and non-custodial data sources, relevancy and burden metrics, estimated costs, and approval related to preservation and collection
- **Approved List** – A list of all data sources that have been approved for collection

PDA Heatmap

Understanding the PDA Heatmap

The PDA Heatmap contains information relative to the custodians and data sources identified as subject to collection.

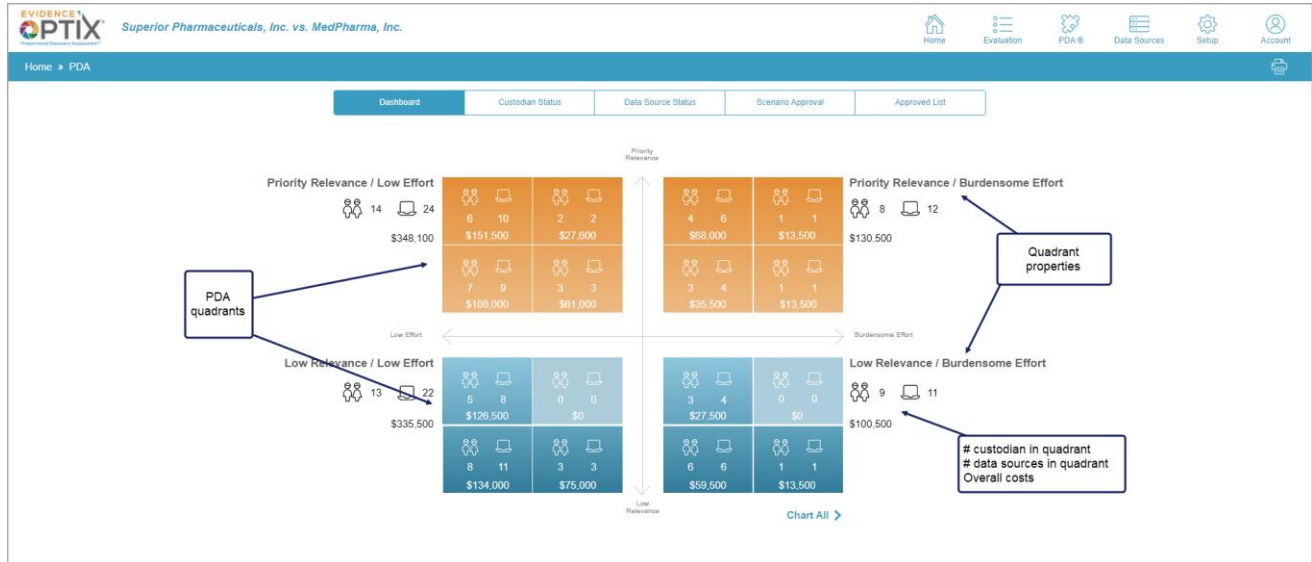
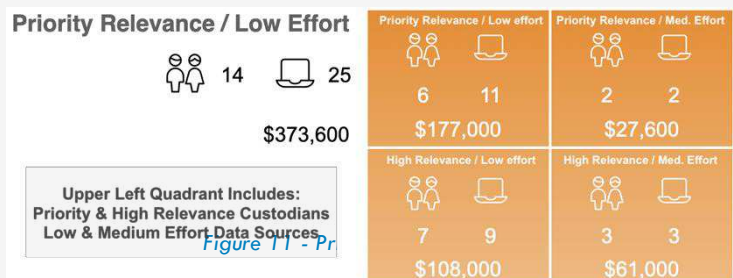


Figure 10 - PDA Heatmap

- Custodians are plotted on the X axis based on the Custodian Rank assigned during the Assessment.
- Data Sources are plotted on the Y axis based on the burden of collection (Data Source Rank) assigned to each data source category during project configuration.
- Each quadrant is then sub-divided to allow a more granular view of each custodian’s data sources and overall costs.
- Users may click into each quadrant or sub-quadrant for an intuitive dashboard and more detailed listing of custodians and data sources within the quadrant, as demonstrated in the figures below.

In the section of the PDA Chart displayed here, note there are 14 custodians and 25 data sources in the upper left quadrant, representing High and Priority custodians / Low and Medium effort data sources. That quadrant is sub-divided into minor quadrants to represent the specific rankings of each custodian and data source combination:

- 6 Priority Relevance custodians with 11 Low Effort data sources
- 2 Priority Relevance custodians with 2 Medium Effort data sources
- 7 High Relevance custodians with 9 Low Effort data sources



- 3 High Relevance custodians with
3 Medium Effort data sources.

Clicking on the quadrant properties (see [Figure 10](#)) opens the quadrant detail screen, which gives more information about all of the data sources in the quadrant, as illustrated below.

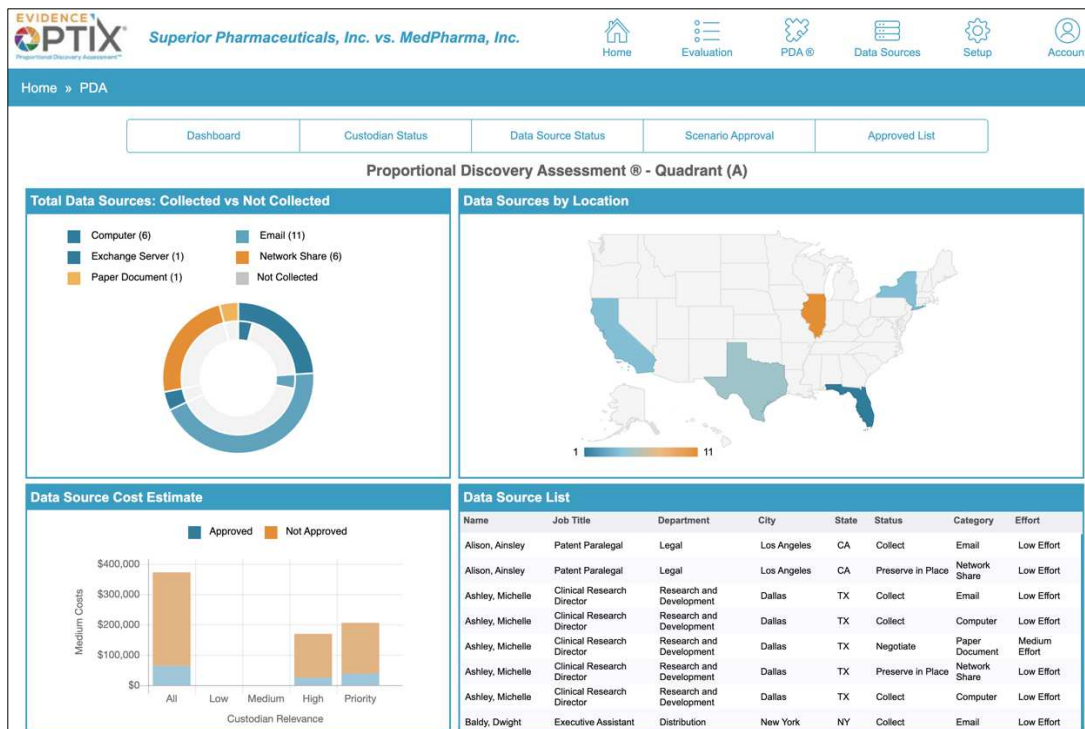


Figure 12 - Quadrant Detail

PDA Qualification Rules

There are some simple workflow rules that permit the verification of a custodian and a data source entry to the PDA workflow:



- Custodian must be retained during the Assessment
- Custodian must complete the Interview
- Custodian must have a Custodian Status of **Active** to be approved for collection; however, any custodian in PDA may be added to scenarios

- A data source must have a status of **Collect** or **Preserve in Place** to be approved for collection; however, any data source in PDA may be added to scenarios

Custodian Status

Understanding the Custodian Status Section

The Custodian Status page allows users to assign a **Custodian Status** to each custodian.

EVIDENCE OPTIX Superior Pharmaceuticals, Inc. vs. MedPharma, Inc.

Home Evaluation PDA Data Sources Setup Account

Home » PDA

Dashboard Custodian Status Data Source Status Scenario Approval Approved List

Assign Status Include Non-Custodial Add Non-Custodial data sources to the list

Custodian Name & ID	Custodian Rank	Department	Job Title	City	State	Country	Custodian Status
Alston, Ashley	4 - Priority	Legal	Patent Paralegal	Los Angeles	CA	United States	Active
Ashley, Michelle	4 - Priority	Research and Development	Clinical Research Director	Dallas	TX	United States	Active
Bailey, Dwight	4 - Priority	Distribution	Executive Assistant	New York	NY	United States	Active
Bartlett, Jaamerose	1 - Low	Sales	Territory Manager	Los Angeles	CA	United States	Inactive
Basista, Mario	3 - High	General Counsel	Patent Attorney	Chicago	IL	United States	Active
Beachy, Mark J.	2 - Medium	Corporate	QA Technician	Miami	FL	United States	Inactive
Borikas, Maria	4 - Priority	Research and Development	Scientist	Chicago	IL	United States	Active
Callamero, Christine	4 - Priority	Research and Development	Clinical Research Director	Miami	FL	United States	Active
DeLeon, Angel	3 - High	Research	Data Analytics	Chicago	IL	United States	Active
Diani, Manny	1 - Low	Legal	General Counsel	Chicago	IL	United States	Inactive
Eavers, Eric	3 - High	Research and Development	Industry Liaison	New York	NY	United States	To Be Reviewed
Enriquez, Jerome	1 - Low	Sales	Territory Manager	Chicago	IL	United States	Inactive
Gilbert, Jean	2 - Medium	Marketing	Research Associate	New York	NY	United States	To Be Reviewed
Hsieh, Hina	2 - Medium	Distribution	Process Engineer	Chicago	IL	United States	Inactive
Isaiah, Josephine	2 - Medium	Pharma	Physical Therapist	Chicago	IL	United States	Active
Joffy, Delia	1 - Low	Research and Development	Research Associate	Chicago	IL	United States	Inactive
Kalvey, Robert	1 - Low	R&D	Asso. Scientist	IL	IL	United States	Inactive
Masters, Kati	1 - Low	Sales	Sales Associate	IL	IL	United States	Inactive
Mendoza, Cristian	4 - Priority	Legal	Attorney	CA	CA	United States	Active

24 Custodians Update All

Figure 13 - Custodian Status screen

The **Custodian Status** page lists the custodians alphabetically by last name and can be sorted, filtered, and/or searched by each column heading. The list includes the following fields:

- Custodian Name
- Custodian Rank
- Department
- Job Title
- City
- State
- Country
- Custodian Status

The list is limited to custodians only, but non-custodial data sources may be added to the list by toggling the **Include Non-Custodial** button to **ON** near the right header.

The far-right input column allows a Custodian Status to be set by the user. Custodian Status may be changed individually, or a bulk change to all custodians may be done using the **Update All** option at the bottom of the list. Update All applies the new status to all custodians regardless of what their current status might be.

There are two default custodian statuses, although additional status options may be added through Matter Administration:

- Active
- Inactive

Custodian Rules

There are some simple workflow rules that affect how a custodian moves through the PDA workflow.



- A custodian must have a status of **Active** for their data sources to be approved for collection.
- Once a custodian's data sources have been approved for collection, the custodian status cannot be changed.

Data Source Status

Understanding the Data Source Status Section

The next step in the PDA workflow is handled on the Data Source Status page. This stage advances both non-custodial and custodial data sources into Scenarios and potentially to approval for collection. There are two steps in the workflow:

1. Assigning a Data Source Status
2. Creating Scenarios

Custodian Name	Custodian Rank	Department	Job Title	City	State	Custodian Status	Item #	Data Source Category	Data Source Rank	Data Source Status	Select or Add Scenario
Alison, Ainsley											
Alison, Ainsley	4 - Priority	Legal	Patent Paralegal	Los Angeles	CA	Active	2018-1-0180	Email	1 - Low Effort	Collect	
Alison, Ainsley	4 - Priority	Legal	Patent Paralegal	Los Angeles	CA	Active	2018-1-0182	Network Share	1 - Low Effort	Preserve in Place	
Ashley, Michelle											
Ashley, Michelle	4 - Priority	Research and Development	Clinical Research Director	Dallas	TX	Active	2018-1-0183	Email	1 - Low Effort	Collect	
Ashley, Michelle	4 - Priority	Research and Development	Clinical Research Director	Dallas	TX	Active	2018-1-0184	Computer	1 - Low Effort	Collect	
Ashley, Michelle	4 - Priority	Research and Development	Clinical Research Director	Dallas	TX	Active	2018-1-0185	Mobile Device	3 - High Effort	Negotiate	
Ashley, Michelle	4 - Priority	Research and Development	Clinical Research Director	Dallas	TX	Active	2018-1-0186	Paper Document	2 - Medium Effort	Negotiate	
Ashley, Michelle	4 - Priority	Research and Development	Clinical Research Director	Dallas	TX	Active	2018-1-0187	Network Share	1 - Low Effort	Preserve in Place	
Baldy, Dwight											
Baldy, Dwight	4 - Priority	Distribution	Executive Assistant	New York	NY	Active	2018-1-0188	Email	1 - Low Effort	Collect	
Baldy, Dwight	4 - Priority	Distribution	Executive Assistant	New York	NY	Active	2018-1-0237	Social Media	4 - Burdensome Effort	Negotiate	
Bartlett, Jeannerose											
Bartlett, Jeannerose	1 - Low	Sales	Territory Manager	Los Angeles	CA	Inactive	2018-1-0170	Email	1 - Low Effort	Inactive	
Bartlett, Jeannerose	1 - Low	Sales	Territory Manager	Los Angeles	CA	Inactive	2018-1-0171	Network Share	1 - Low Effort	Inactive	
Bartlett, Jeannerose	1 - Low	Sales	Territory Manager	Los Angeles	CA	Inactive	2018-1-0172	Social Media	4 - Burdensome Effort	Inactive	
Bartlett, Jeannerose	1 - Low	Sales	Territory Manager	Los Angeles	CA	Inactive	2018-1-0233	Collaboration Systems	3 - High Effort	Inactive	
Batista, Mario											
Batista, Mario	3 - High	General Counsel	Patent Attorney	Chicago	IL	Active	2018-1-0173	Computer	2 - Medium Effort	Collect	
Batista, Mario	3 - High	General Counsel	Patent Attorney	Chicago	IL	Active	2018-1-0174	Network Share	2 - Medium Effort	Preserve in Place	

Figure 14 - Data Source Status screen

The Data Source Status page lists the data sources by custodian (alphabetized) and can be sorted, filtered, and/or searched by column heading. The list includes the following fields:

- Custodian Name
- Custodian Rank
- Department
- Job Title
- City
- State
- Custodian Status
- Item #
- Data Source Category
- Data Source Rank
- Data Source Status
- Select or Add Scenario

Step 1: Assigning a Data Source Status

Data Sources are grouped by custodian in the Data Source Status module. The Data Source Status input column is located on the right side of the screen (see [Figure 14](#)).

There are two default Data Source Status values, although additional options may be added through Matter Administration:

- Collect
- Preserve in Place

Step 2: Creating Scenarios

Scenarios are useful in internal discovery scoping and phasing, budget estimation and cost sharing strategies, negotiations with other parties, and preservation and collection decisions. It also provides a centralized location for both in-house corporate legal and outside counsel to collaborate using these metrics in real time. Different scenarios can be created or viewed by clicking the **Select or add Scenario** button on the far-right column (see [Figure 14](#)).

Scenarios allow a user to create various combinations of custodians and data sources for phasing, preservation, and collection, in order to analyze the overall implications and collection costs of the grouping. The purpose of these scenarios is to present a defensible and proportional response to discovery demands.

Data Source Status Rules



- A data source must have a Status of **Collect** or **Preserve in Place** to be approved for collection.
- Any data source of any status may be used in a scenario.

Working with Scenarios – Create a New Scenario

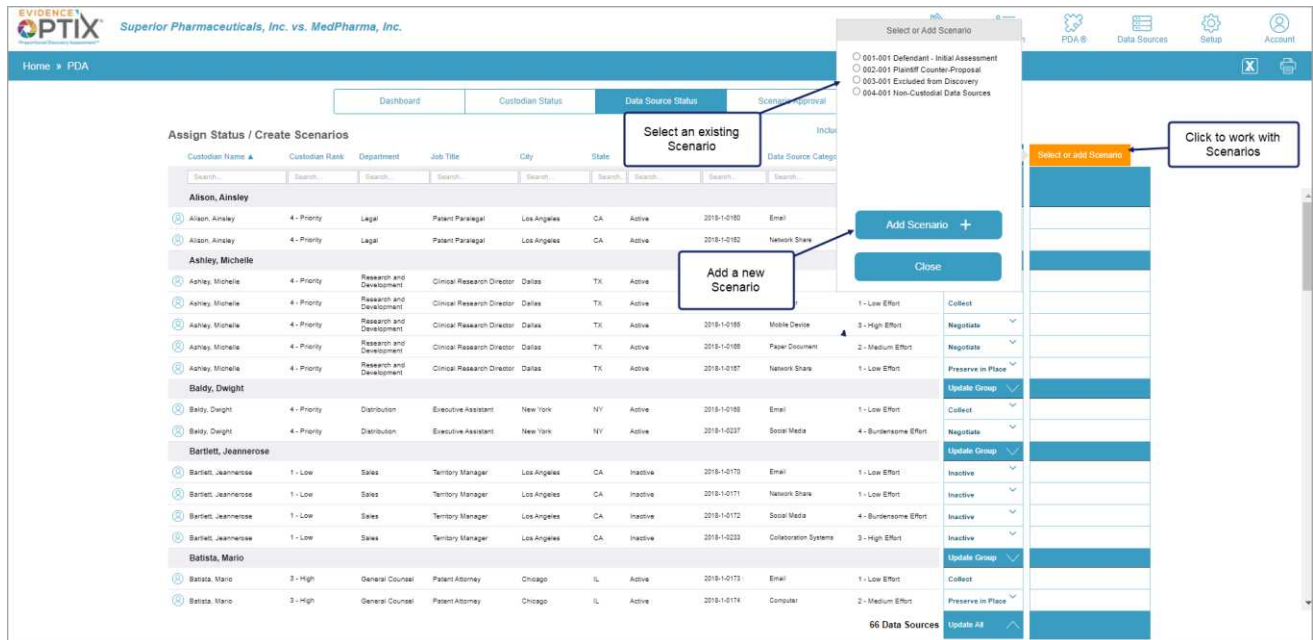


Figure 15 - Select or Add Scenario

Complete the following steps to create a new Scenario:

Step
by
Step

1. Click on **Select or add Scenario** button in the far-right column (see [Figure 15](#)).
2. Click on **Add Scenario** in the Scenario pop-up window.
3. Enter a name for the Scenario and click **Create Scenario**.
4. The scenario you created becomes an option to select in the Select or Add Scenario window.

Working with Scenarios – View an Existing Scenario

Complete the following steps to view an existing Scenario:

Step
by
Step

1. Click the radio button next to the Scenario name in the Select or Add Scenario pop-up window (see [Figure 15](#)).
2. The data sources in that Scenario are identified with a checkmark.
3. Data sources previously approved are annotated with the Scenario name where they were initially approved.

Working with Scenarios – Adding Data Sources to a Scenario

Complete the following steps to add data sources to a Scenario:

Assign Status / Create Scenarios										Name of Scenario	
Custodian Name	Custodian Rank	Department	Job Title	City	State	Custodian Status	Item #	Data Source Category	Data Source Rank	Data Source Status	First Round
Addison, Mandi											
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0001	Email		Collect	<input type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0002	Computer		Collect	<input type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0003	Computer		Collect	<input type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0004	Cloud Based Applications		Collect	<input checked="" type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0005	Cloud Based Applications	2 - Medium Effort	Collect	<input checked="" type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0006	Removable Media	2 - Medium Effort	Collect	<input checked="" type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0007	Mobile Device	4 - Burdensome Effort	Collect	<input checked="" type="checkbox"/>
⊗ Addison, Mandi	2 - Medium	Rehabilitation	Rehabilitation Program Coordinator	New York	NY	Active	2021-1-0008	Social Media	2 - Medium Effort	Collect	<input checked="" type="checkbox"/>
Baldy, Dwight											
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0009	Email	1 - Low Effort	Collect	<input checked="" type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0010		1 - Low Effort	Collect	<input checked="" type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0011		1 - Low Effort	Collect	<input checked="" type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0012		4 - Burdensome Effort	Collect	<input type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0013	Network Share	2 - Medium Effort	Collect	<input type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0015	Mobile Device	4 - Burdensome Effort	Collect	<input type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0018	Social Media	2 - Medium Effort	Collect	<input type="checkbox"/>
⊗ Baldy, Dwight	3 - High	Therapeutics	Physical Therapist	New York	NY	Active	2021-1-0027	Collaboration	1 - Low Effort	Collect	<input checked="" type="checkbox"/>
17 Data Sources										Update All	Selected Count 10

Figure 16 - Adding Data Sources to a Scenario

Step
by
Step

1. Click the **radio button** next to the **Scenario name** in the Select or Add Scenario pop-up window (see [Figure 15](#)).
2. Identify the data sources you wish to add.
3. Click the **checkbox** in the Scenario column to add the data source to that scenario.
4. Data sources can be added or removed from the Scenario in real time to test the results as decisions are made or changed.
5. Data sources previously approved are annotated with the Scenario name in which they were approved.

Scenario Approval

Understanding the Scenario Approval Section

The Scenario Approval screen allows the user to examine various scenarios, make decisions using cost metrics within each scenario, and then approve selected data sources for preservation or collection.

Each scenario is listed alphabetically, with summary metrics regarding the custodians and data sources therein. It includes cost estimations for preserving and/or collecting data and moving it through review and production.

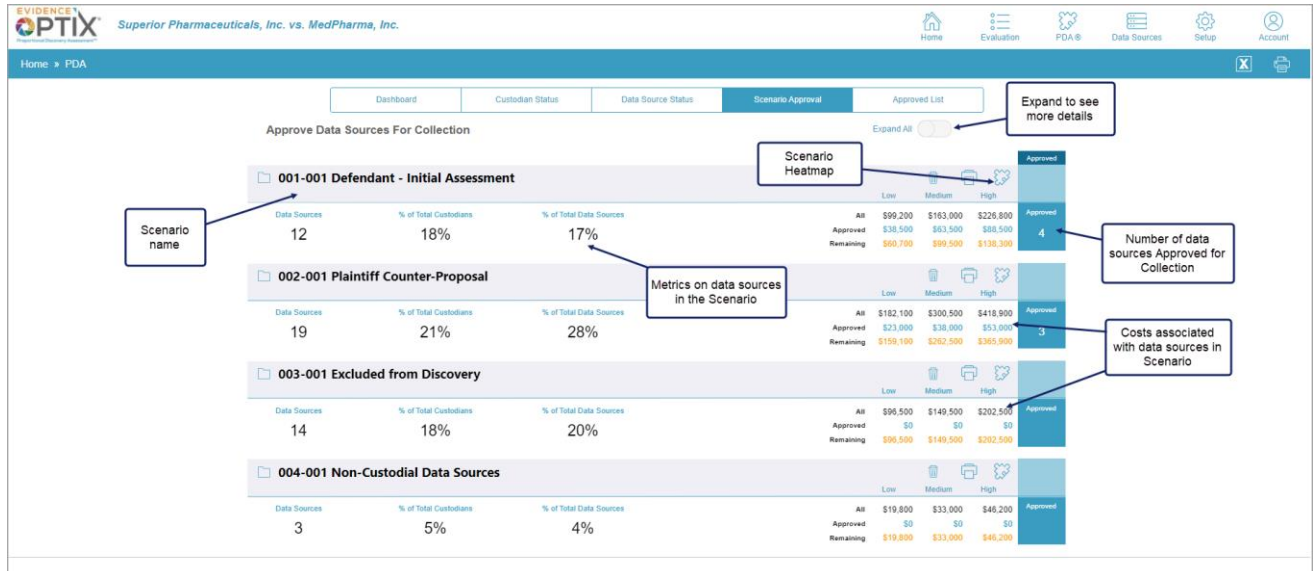


Figure 17 - Scenario Approval screen

Each scenario summary includes:

- Number of data sources in the scenario
- Percentage of total custodians included in the scenario
- Percentage of total data sources included in the scenario
- Low, Medium, and High costs of moving data sources through the entire eDiscovery workflow, with a cost breakdown for both approved and not yet approved data sources
- Total number of data sources approved

Navigating the Scenario Approval Screen

Step
by
Step

1. Use the **Expand All** toggle to open the full list and see the specific data sources being evaluated in each scenario.

Scenario name

Approve Data Sources For Collection

Expand All

Custodian Name	Custodian Rank	Custodian Status	Item #	Data Source Category	Data Source Rank	Data Source Status	Low	Medium	High	Approved
001-001 Defendant - Initial Assessment										
Alison, Amsley	4 - Priority	Active	2018-1-0162	Network Share	1 - Low Effort	Preserve in Place	\$7,100	\$11,800	\$16,900	<input type="checkbox"/>
Ashley, Michelle	4 - Priority	Active	2018-1-0163	Email	1 - Low Effort	Collect	\$8,000	\$13,000	\$18,000	<input type="checkbox"/>
Ashley, Michelle	4 - Priority	Active	2018-1-0184	Computer	1 - Low Effort	Collect	\$16,500	\$26,500	\$36,500	<input checked="" type="checkbox"/>
Balasta, Maio	3 - High	Active	2018-1-0173	Email	1 - Low Effort	Collect	\$7,500	\$12,500	\$17,500	<input checked="" type="checkbox"/>
Borilas, Maia	4 - Priority	Active	2018-1-0177	Email	1 - Low Effort	Collect	\$7,500	\$12,500	\$17,500	<input type="checkbox"/>
Callamero, Christine	4 - Priority	Active	2018-1-0180	Email	1 - Low Effort	Collect	\$8,000	\$13,000	\$18,000	<input checked="" type="checkbox"/>
DeLeon, Angel	3 - High	Active	2018-1-0182	Email	1 - Low Effort	Collect	\$7,500	\$12,500	\$17,500	<input checked="" type="checkbox"/>
Eavers, Erica	3 - High	To Be Reviewed	2018-1-0186	Email	1 - Low Effort	Cost Shift	\$8,000	\$13,000	\$18,000	<input type="checkbox"/>
Gilberts, Jean	2 - Medium	To Be Reviewed	2018-1-0189	Email	1 - Low Effort	Collect	\$8,000	\$13,000	\$18,000	<input type="checkbox"/>
Mendoza, Christian	4 - Priority	Active	2018-1-0203	Email	1 - Low Effort	Collect	\$8,000	\$13,000	\$18,000	<input type="checkbox"/>
Meyerson, Rose	3 - High	Active	2018-1-0205	Email	Collect	Collect	\$7,500	\$12,500	\$17,500	<input type="checkbox"/>
Meyerson, Rose	3 - High	Active	2018-1-0206	Network Share	Preserve in Place	Preserve in Place	\$6,800	\$11,000	\$16,400	<input type="checkbox"/>
Data Sources							% of Total Custodians		% of Total Data Sources	
12							18%		17%	
All							\$99,200	\$163,000	\$226,800	<input type="checkbox"/>
Approved							\$38,500	\$63,500	\$88,500	<input type="checkbox"/>
Remaining							\$60,700	\$99,500	\$138,300	<input type="checkbox"/>

Costs associated with each data source

Approve data source for Collection

Total costs for Approved and not Approved

Figure 18 - Expanded Scenario view

Once expanded, the list can be sorted by each column heading by clicking the **column title**. Detailed information about each data source is displayed, including:

- Custodian Name
- Custodian Rank
- Custodian Status
- Item # of data source
- Data Source Category
- Data Source Rank
- Data Source Status
- Low, Medium, and High cost of the data source passing through the entire eDiscovery workflow
- Approved Status

Approving a Data Source for Collection

The checkboxes in the Approved column of the expanded Scenario Approval screen indicate whether a data source has been approved for collection.

Step
by
Step

1. To approve a data source, click the checkbox for the data source(s) under the Approved column.
2. A verification notice is displayed to verify the approval. Click **Yes**.
3. If a notice appears stating that the data source does not have the proper Custodian or Data Source Status to allow approval, return to the Custodian Status or Data Source screen and adjust the status as needed, then return to the Scenario Approval screen to finalize the approval. (See Data Source Approval Rules for more information.)

Data Source Approval Rules

The following rules apply when approving data sources for collection.



- A custodian must have a status of **Active** for their data sources to be approved for collection.
- A data source must have a status of **Collect** or **Preserve in Place** (PIP) to be approved for collection or preservation.
- Once a data source has been approved for collection, it cannot be reversed.

Approved List

Understanding the Approved List Screen

This screen allows the user to view the Data Sources that have been previously approved for collection. When a data source is approved, the Collection Status is programmatically changed to Collection Approved or PIP Approved, depending on whether the Collection Status is “Collect” or “Preserve in Place.”

Scenario Name	Custodian Name	Custodian Rank	Custodian Status	Item #	Data Source Category	Data Source Rank	Data Source Status	Low	Med	High
001-001 Defendant - Initial Assessment	Ashley, Michele	4 - Priority	Active	2016-1-0164	Computer	1 - Low Effort	Collect	\$15,500	\$25,500	\$35,500
001-001 Defendant - Initial Assessment	Bariola, Marie	3 - High	Active	2016-1-0173	Email	1 - Low Effort	Collect	\$7,500	\$12,500	\$17,500
001-001 Defendant - Initial Assessment	Calamero, Christine	4 - Priority	Active	2016-1-0180	Email	1 - Low Effort	Collect	\$8,000	\$13,000	\$18,000
001-001 Defendant - Initial Assessment	DeLeon, Angel	3 - High	Active	2016-1-0180	Email	1 - Low Effort	Collect	\$7,500	\$12,500	\$17,500

Figure 19 - Approved Data Sources screen

The Approved List screen details the data sources that have been approved for collection, organized by Scenario. The list can be sorted, filtered, and/or searched by each column heading. The list includes the following information:

- Scenario Name
- Custodian Name
- Custodian Rank
- Custodian Status
- Item # of data source
- Data Source Category
- Data Source Rank
- Data Source Status
- Low, Medium, and High cost of the data source through the entire eDiscovery workflow



Note: While a data source may be found in multiple scenarios, once it has been Approved for collection, it will only appear in the Approved List for the Scenario where it was approved.

A list of all the PDA Logic Rules can be found in [Appendix B](#).

Data Sources Module

Understanding the Data Sources Module

The Data Sources module tracks individual data sources through each stage of the eDiscovery workflow, from identification through review and production. When selecting the module from the navigation bar, the following screen will appear.

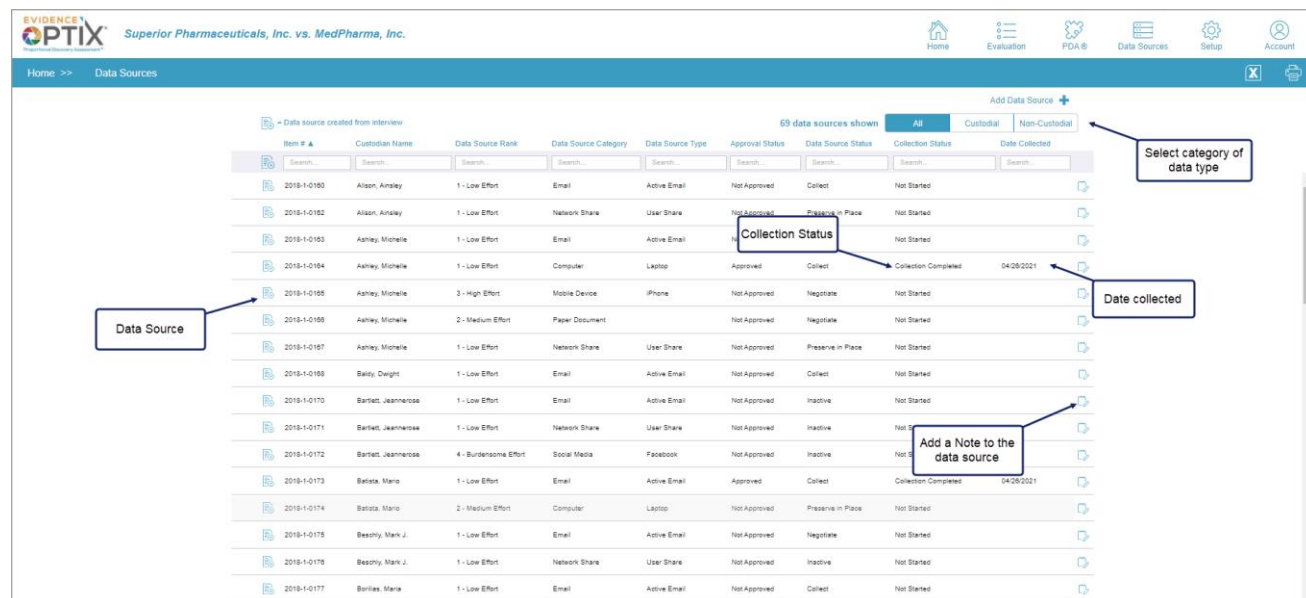


Figure 20 - Data Sources Module

The Data Sources Module lists each individual data source in alphabetical order by custodian. The list can be sorted, filtered, and/or searched by each column heading, and includes the following information:

- Item # of data source
- Custodian Name
- Data Source Rank
- Data Source Category
- Data Source Type
- Approval Status
- Data Source Status
- Collection Status
- Date Collected
- Notes

The Data Sources module display provides an overview of each specific data source, including the decisions made during the PDA Data Source Status screen and the current approval and collection status. Notes about each data source can be entered by clicking the notepad icon in the far-right column.


To view or enter technical information about a particular data source, the user can click anywhere in the row for that data source. It is highly suggested that technical information regarding data sources be entered by IT personnel or other collection professionals.

The technical input screens for each data source will vary by type. A sample of a Data Source Detail screen is illustrated below.

Michelle Ashley (Custodian Rank: 4)

Data Source Rank: 1 - Low Effort

Created From Interview

Data Source Item Number: 

Computer Type: Desktop Laptop Tablet

Computer Name:

Make:

Model:

Serial #:

Operating System:

Description:

Hard Drives

Drive #	Drive #	Drive type	Size	Size Type	Interface type	Drive Form Factor	Drive make	Drive model	Drive SN	Encrypted:
0	0	Solid State	500	Gigabyte	SATA	External 2.5"	Seagate	B009KMW1QA		<input type="radio"/> Yes <input checked="" type="radio"/> No

Data Source Tracking Log		Acquisition	Preservation	Chain of Custody	Attachments	Notes
Approval	Approval Status: <input type="text" value="Approved"/> Approved Date: <input type="text" value="04/26/2021"/> Data Source Status: <input type="text" value="Collect"/>			Approved By: <input type="text" value="Ed.Lasiewski"/> Scenario Where Approved: <input type="text" value="001-001 Defendant - Initial"/>		
Collection	Status: <input type="text" value="Collection Completed"/> Date Requested: <input type="text" value="04/25/2021"/> Requested By: <input type="text" value="Ed.Lasiewski"/>			Date Completed: <input type="text" value="04/26/2021"/> Completed By: <input type="text" value="Brayden Fannon"/> Data Size: <input type="text" value="215 GB"/>		
Decryption	Status: <input type="text" value="Not Started"/> Date Requested: <input type="text"/> Requested By: <input type="text"/>			Date Completed: <input type="text"/> Completed By: <input type="text"/>		
Processed	Status: <input type="text" value="Not Started"/> Date Requested: <input type="text"/> Requested By: <input type="text"/>			Date Completed: <input type="text"/> Completed By: <input type="text"/> Record Count: <input type="text"/> Data Size: <input type="text"/>		
Exception Reporting	Status: <input type="text" value="Not Started"/> Date Completed: <input type="text"/> Completed By: <input type="text"/>					
Data Ingestion	Status: <input type="text" value="Not Started"/> Date Completed: <input type="text"/> Completed By: <input type="text"/>					
Reviewed	Status: <input type="text" value="Not Started"/> Date Completed: <input type="text"/>					
Production	Status: <input type="text" value="Not Started"/> Date Completed: <input type="text"/> Completed By: <input type="text"/>			Volume Name: <input type="text"/>		
Disposition	Status: <input type="text" value="Not Started"/> Date Requested: <input type="text"/> Requested By: <input type="text"/>			Date Completed: <input type="text"/> Completed By: <input type="text"/> Data Size: <input type="text"/>		

Figure 21 - Data Source Detail screen

Technical information about the device or source is located in the left panel. The status of the source is found on the right panel. Each source is tracked throughout the litigation lifecycle, from Approval through Disposition. Additionally, information about acquisition and where the data resides, where and how it is preserved, chain of custody, notes, and any attachments, such as images, are tracked here for easy collaboration and creating a defensible historical record.

Appendix A: Technical Information

Accessing Evidence Optix

1. We recommend the use of Safari, Chrome, or Edge browsers to the best user experience with Evidence Optix (EO).
2. Your EO Project Manager will provide you with a User ID, Password and a link to the EO Login page.

Technical Tips

1. The BACK button is disabled within the EO application. Please be sure to use the navigation in the EO tool bars and not the browser back button.
2. Data is saved automatically in EO. If you are in the middle of an interview, or creating a scenario, all your work is automatically saved.

Support

If you need assistance, you may call our technical support number at (888) 978-3120 or email our support team at support@insightoptix.com.

Appendix B: Rules

PDA Logic Rules

Section	Logic Rules
Custodian Rules	Only custodians that have completed the Assessment have a Custodian Rank.
Interview Rules	The Assessment must be completed before an Interview can be marked as completed.
PDA Rules	Only custodians with a Custodian Rank and identified data sources are added to PDA.
	Custodian must have a Custodian Status in order to be added to the PDA Data Sources page.
Scenario Rules	Any Custodian or Data Source Status is allowed in a Scenario.
	Any Custodian Status is allowed in a Scenario.
Approval Rules	Data Source must have status of Collect or Preserve in Place to be approved for collection.
Approval Status	There are two Approval Status values: Approved or Not Approved. Data Sources have a default of Not Approved when added to the system. The value is changed by the user in the PDA > Scenario Approval page. Once Approved, it may not be changed.
Collection Status	All data sources are given a Collection Status of Not Started when added into the system. The status is changed to Collection Approved once approved in a scenario, and then can be changed by SysAdmin to Collection Completed once it has been collected.
	Other Collection Status values: Collection Approved; Collection Completed; PIP Approved; PIP Completed.
	A data source must have a Data Source Status of Collect or Preserve in Place for its Collection Status to be moved from Not Started to Collection Approved or Preserve in Place Approved – these changes are automated.

Appendix C: EO Glossary

Analysis: A stage of the EO workflow where the custodian responses to the Legal Hold Survey are checked and possibly flagged for further examination during the live Interview.

Assessment: A process that allows the legal team to ask questions of each custodian, evaluating their knowledge and involvement in the matter and the materiality, strength, and uniqueness of their data. The custodian responses to these questions will be analyzed and assigned a priority ranking that will be used in the PDA negotiating stages of EO.

Collection Status: Defines the state of collection for the individual data source. Status definitions are defined during project setup and may include:

- Not Started
- Collection Approved
- Collection Completed

Custodian: An individual having administrative control of a document, device, or electronic file.

Custodian Rank: Defines the priority rank assigned to a custodian based on their answers during the Assessment. Ranks are:

- Priority
- High
- Medium
- Low

Custodian Status: Defines the workflow state of a custodian. Status definitions are defined during project setup and may include:

- Active
- Inactive
- On Hold (custom)

Data Source: A device, piece of hardware, or other data repository.

Data Source Burden Group: Identifies a logical grouping of custodians and is used as a factor in determining Data Source Rank. For example, it could be custodians within a certain location or office where the burden associated with collecting devices from those custodians is likely to be similar.

Data Source Rank: Defines the collection burden associated with a particular type of device. Ranks are:

- Burdensome Effort
- High Effort
- Medium Effort
- Low Effort

Data Source Status: Defines the workflow state of a data source. Possible status definitions are defined during project setup and may include:

- Collect
- Preserve in Place
- Sample (custom)
- Cost Share (custom)
- Cost Shift (custom)
- Negotiate (custom)

Data Source Category: Broad grouping of similar data source devices (e.g., email, user share).

Data Source Type: Specific grouping of types of data source (e.g., Active or Archive are types of email data).

Evaluation: A module of Evidence Optix that represents the status of each custodian relative to the EO workflow.

Legal Hold Survey: Fact-finding questions posed to a custodian, typically sent out with the initial legal hold. These are answered individually by the custodian or during an interview process. The survey is a tool useful in beginning the collection planning process and examines the custodian's standing relative to the matter under hold and documents their access and usage of sources of data that may contain relevant information.

Interview: The custodian Interview, a module within the Evidence Optix workflow, is a series of questions designed to gain a deeper understanding into the custodian's standing relative to the matter in question and the sources and locations of data in their possession. The Interview may be used to clarify answers to the Legal Hold Survey and gain a more complete picture of any relevant information, data, or data sources in their possession that may be pertinent to the discovery requests or to the claims and defenses of the matter.

Non-custodial data: A data source not owned by a specific individual that is used more widely by a broader set of custodians (e.g., a network share).

PDA: Proportional Discovery Assessment® – A module within the Evidence Optix workflow that allows users to make decisions regarding the actions to be taken relative to custodians and data sources, the

creation of hypothetical scenarios and cost estimates, and negotiation strategies regarding the collection or preservation of individual data sources.

Scenario: A group of data sources identified within PDA that allows a user to understand the overall costs and burden of collecting, processing, and reviewing that subset of data sources.