

# During a European Regulatory Review a Corporation Turns to IQ Review™ to Meet Deadlines and Control Costs

Allen & Overy had just 14 weeks to meet their first key deadline during an investigation brought forth by a national regulatory agency. The data collection began in the autumn of 2009 with over 265,000 documents collected. This volume was then reduced with pre-filtering techniques that included the removal of system files, hash algorithm de-duplication, and file type filtering to isolate Word and email documents. The pre-filtering reduced the collection by just 11%. That left Allen & Overy with 238,000 foreign language documents to filter and review in time to meet the approaching deadline—all while staying on budget.

Allen & Overy LLP is an international legal practice with approximately 5,000 staff and 450 partners working in 31 major centres worldwide.

During this matter, the law firm began by using a traditional, linear review on half of the dataset; however, they became concerned about efficiencies in terms of both time and cost. Having already run a successful pilot with the software, they turned to IQ Review™ to evaluate the remaining half of the documents, and ultimately the full set, in order to meet the deadline while saving the client significant costs.

Epiq Systems' IQ Review™, a revolutionary combination of new technology and smart procedures, addresses the challenge of rapidly locating the documents that are more likely to be responsive to a matter—typically less than 20 percent of a collection—within increasing volumes of data, in mandated short time frames.

## THE PILOT

### The Original Review

The ESI dataset was initially divided into 2 parts based on custodians. By focusing on key individuals Allen & Overy hoped to provide its client with an Early Case Assessment in a few weeks.

Initially concentrating on the first subset of about 168,000 documents, the legal team implemented a traditional linear approach, pre-filtering the dataset with 20 keyword search terms. Approximately 14,000 responsive documents, 8% of the data set, were presented for review. A

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team of 3 reviewers then spent 3 weeks completing a first pass evaluation, finding only 65 relevant documents—a responsive rate of less than 0.5%.

Whilst the level of responsiveness came as no great surprise, the legal team faced a significant challenge: using a traditional keyword-filtered, linear approach involved substantial review time and costs to find the couple of dozen responsive documents. And they still needed to review the remaining custodians' material—approximately 70,000 documents. If the rate of responsiveness from the first round of review applied to the second, after the keyword search there would be 5,800 documents to be reviewed, with a resulting 27 or so identified relevant documents. To accomplish this, the legal team would need another 19 work days. The cost to the client would spiral to 462 hours, breaking down to 1 relevant document found per 5 billable hours of review time.

### Using IQ Review™

The linear approach was less than efficient both in terms of costs and the approaching deadline. An accelerated review methodology was needed. Allen & Overy presented Epiq's IQ Review™ prioritisation software as a solution to speed up the review of the second document set with intelligent automated review. The client agreed.

### The Prioritized Review

One senior case expert was appointed to teach the IQ Review™ technology how to identify responsive and non-responsive documents. Never having used the software before, he underwent a 30-minute training session, after which the expert was ready to get to work.

### Training The Software

The software presented the expert with the first random sample of 40 documents, which the expert then coded as responsive or not responsive to the legal issue. As the expert coded each document, he was “teaching” the software to rate documents as being more or less likely to be responsive. At the end of the batch, the software analysed the decisions made by the expert and then presented another 40 documents to the expert for review. Each time a batch was completed, the expert's decisions helped refine the software's classification of documents. The process continued for 3 days until the software indicated an acceptable level of stability.

## THE RESULTS

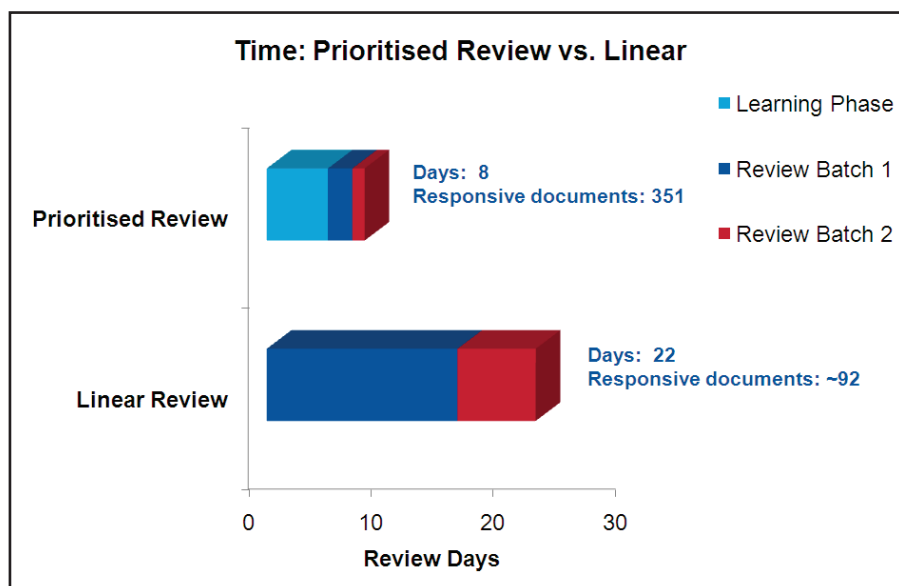
### Speed

At the end of day 1 the case expert had reviewed 600 documents and found 14 relevant

documents; demonstrating that even after just one day the expert was able to train the software to find more relevant documents (2.3 % vs. 0.46%) than would have been available at that point during a linear review.

At the close of day 3, the IQ Review™ progress indication bar showed that the software had reached stability after the expert had reviewed 2,240 documents. At this point, the expert had identified 74 relevant documents. Remember that this collection had not been reduced by keyword searches, so there was a larger set of documents than had been reviewed during the first round. This increased the overall responsive ratio from 2.3% to 3.3%.

While the very specific nature of the allegation meant the expected relevancy ratio would be low, and despite a cautious review approach taken by the case expert, a joint decision was made by the client and its counsel to continue to teach the software after it had stabilised and to review an additional 1,000 documents.



To enrich the software’s knowledge even further, the team decided to “seed” the database with the 65 relevant documents found during the first set’s linear review; this acted as a catalyst for the software to seek out and find further relevant material.

At the end of day 5 the software had remained stable and identified 181 relevant documents.

At this point, 82 batches, or 3280 documents, had been assessed through the IQ Review™ process. This represented a mere 4.7% of the entire document population and required just one

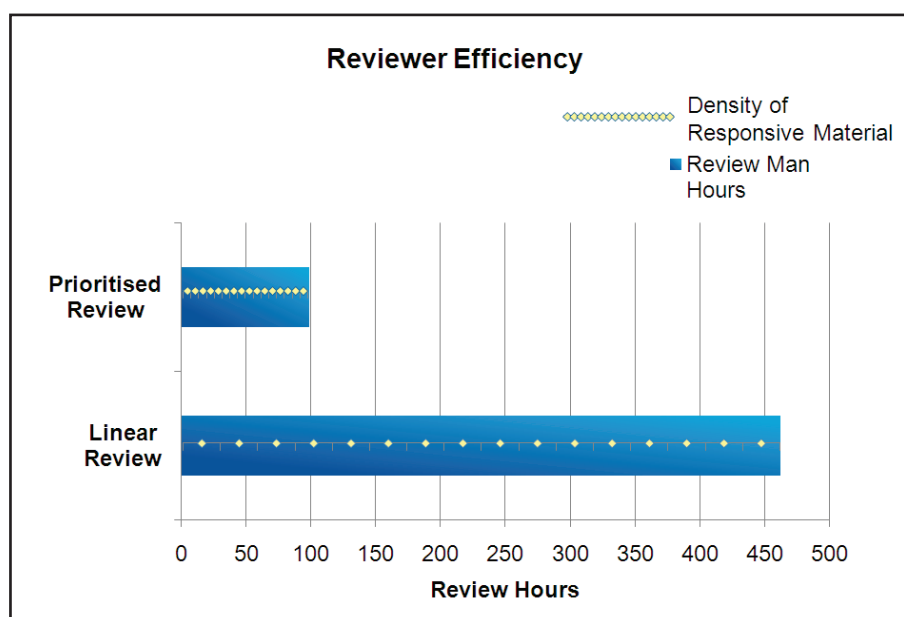
expert to complete.

The IQ Review™ software then evaluated the remaining 66,720 documents, ranking the likely responsiveness of each document, a task that was completed in less than 1 hour. A high score indicated documents most likely to be responsive. The review team then chose to focus on the documents that fell above a determined cut-off score where the density of the most likely relevant documents was greatest. 758 documents fell into this category, a fractional 1.1% of the dataset, keeping the review costs within budget and time.

### Efficiency

The evaluation of the prioritised 758 documents was completed in less than 1 day, comfortably meeting the first key deadline. Not only were the documents contextually significant to the case, but they represented a far smaller and more efficient subset than the keyword responsive collection.

With these results in hand, Allen & Overy and the client decided to abandon the linear review altogether, in favour of IQ Review™. They used IQ Review™ to prioritise the first dataset. Because the issue was the same and the document set was similar to the set that had already been prioritised, no further expert review was needed. Once again, the 168,000 documents were scored in under an hour. Of these documents, 3,008 documents, or 1.8% of this document set, were ranked above the cut-off score used in the first round—these documents were presented to the review team.

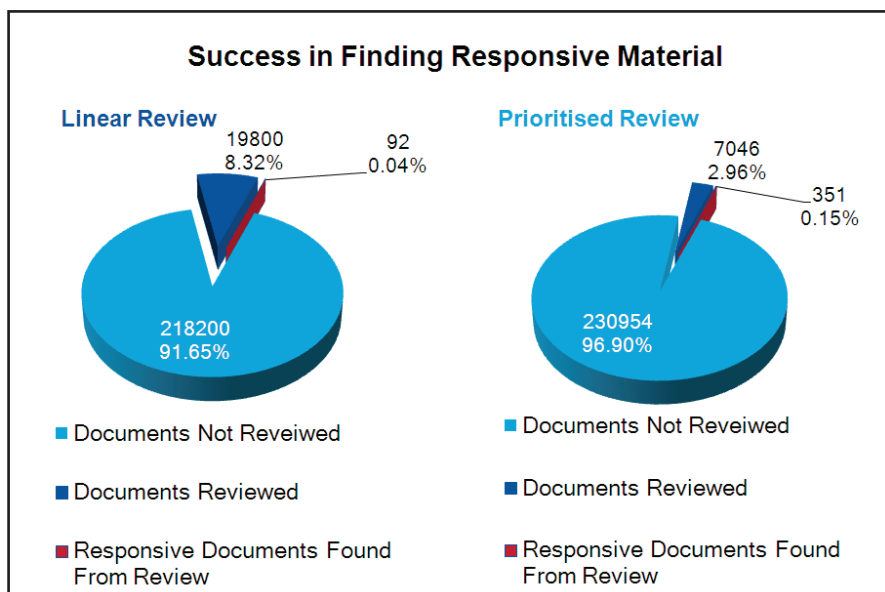


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Thus, after both groups of documents were prioritised, the review team only had to review 3,766 documents that were highly likely to be responsive: just 1.6% of the total document population. This starkly contrasts with the 14,000 documents that required evaluation during the initial linear review, which only accounted for half of the collection. The cost and time savings achieved during document review exceeded 350%.

## Accuracy and Consistency

How did the software compare with the linear human review in terms of accuracy and consistency? Specifically, how did the software rank the irrelevant documents identified during the initial linear review? The software had a 100% rate of success: 96% were scored so low that they were likely to be wholly irrelevant and only 4% of them had slightly higher responsive ranking scores that suggested they could potentially be relevant. Given the expected low responsive threshold and the cautious approach the expert took this was not unexpected, but also presented the expert with an opportunity to check the accuracy and consistency in the linear review.



Focusing on the most responsive 1.6% of documents, Allen & Overy was able to complete an early case assessment of the entire database in less than 3 days. Review speed increased from around 300 documents per day during the linear review to approximately 500 documents per day post prioritisation. Presenting documents for review in their ranked order allowed the team to focus on the most likely to be responsive documents first. Moreover, the case expert was on hand to share with the review team the knowledge he acquired during the prioritisation phase, bringing the reviewers up to speed faster.

By the end of the first pass review the team had identified 351 relevant documents or 5.0% of what they reviewed. The case expert confirmed that his cautious approach was no doubt responsible for this low responsive rate, but he felt his approach was important to ensure the software was overly broad in its presentation of data. When asked whether the non-responsive documents seemed obscure to the case, he confirmed he was happy they had a natural fit in the set, covering much of the terms or phrases he had gleaned from his review. He was in no way unhappy with the content or volume of documents.

So did they find what they were looking for? By the end of the second pass review the partner and client had whittled the set of 351 down to 97 responsive documents. Even when looking for a ‘needle in a haystack,’ a focused expert can train the software to seek and find—accurately.

### Get to the Heart of the Matter Faster

Having an expert involved early in a review to prioritise a small portion of documents is the fastest way to meaningfully shape the landscape for the review. The IQ Review™ workflow enables documents to be pushed to the review team in order of their prioritisation rating. Reviewers can access documents more likely to be responsive to the case earlier, and make critical decisions on case strategy faster. With an understanding of their position sooner, the law firm and its client have greater insight into the overall document review time and cost requirements and can control them more effectively.

### Reduce Time and Expense Spent Reviewing Inconsequential Material

By bringing documents most likely to be responsive to the front of the review, valuable time that would otherwise be spent wading through material that could have no bearing on the case can be better directed to the documents most likely to count. Removing the dilution of irrelevant material from the senior case expert’s review set ensures the review rates increase significantly by up to 60%, helping them meet key deadlines.



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Time and client money can be spent more effectively from the outset of a case, and the amount spent on irrelevant material is greatly reduced.

## Conclusion

According to Vince Neicho, Litigation Support Manager at Allen & Overy, “Achieving an efficient document review that is time and cost effective is always critical, but the inherent short deadlines of a regulatory investigation make the requirement for speed that much more important. IQ Review™ enables us to accelerate document review, find responsive documents faster, and meet deadlines while saving clients money. And with expert involvement from the very beginning of the process, we have the control to ensure accuracy.”

To find out more about IQ Review™, visit [www.iqreview.epiqsystems.co.uk](http://www.iqreview.epiqsystems.co.uk) or call Epiq Systems at a number below.



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