

Early Case Assessment and Automated Document Review Workflow Technology Results in Increased Efficiency and Cost Savings

Through its cutting-edge technologies and noted expertise, Kroll Ontrack provides effective solutions that decrease the burden of analysis and review while saving money and time.

Situation

The financial crisis that gripped the nation two years ago has spawned litigation relating to poor investments, bad banking and a myriad of consumer disputes. A leading national bank enlisted the services of Kroll Ontrack to design an efficient solution to manage significant amounts of data involved in a series of litigations. The client turned to the proven services and technologies offered by Kroll Ontrack to reduce the volume of data for process and review, strengthen defensibility and reduce costs and risk.

Solution

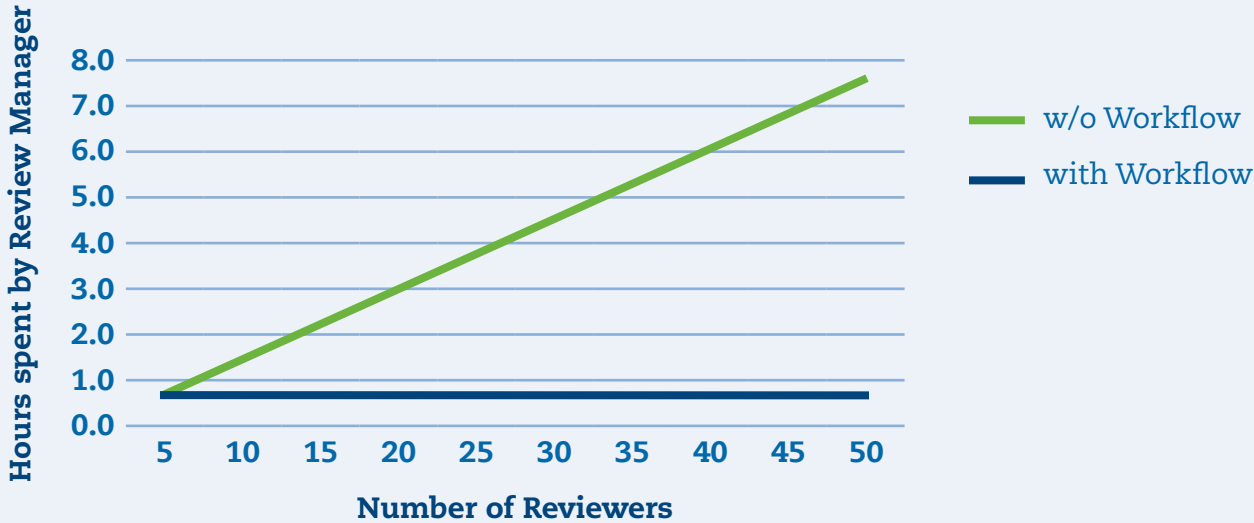
The client collected and sent 924 gigabytes of data for 17 custodians to Kroll Ontrack for processing. Following initial filtering and narrowing of the data set, 646 gigabytes of data (3,317,662 documents) were uploaded into Ontrack® Advanceview™ - the leading software for early case assessment. The client's outside counsel used Advanceview to test and confirm keyword search terms and further filter data by file type, which proved incredibly effective since the client and outside counsel knew very little about what data existed in the database and what keywords were appropriate.

After testing the keywords and further filtering the data, 269 gigabytes (1,014,535 documents) were uploaded into Kroll Ontrack's award-winning document review platform, Ontrack® Inview™. From there, the client's outside counsel utilized automated workflow technology within Ontrack Inview to guide the process of the review. In this case, outside counsel, working with a Kroll Ontrack Professional Services Expert, designed a workflow process that was organized into two separate tracks: one for electronic

documents, and one for scanned documents that they wanted to treat differently. Outside counsel knew how it wanted to deal with the paper documents, but relied on Kroll Ontrack's expertise to guide the process regarding the electronic documents to ensure the review was conducted as smoothly and efficiently as possible. This flexibility of process was one of many driving reasons the client selected Kroll Ontrack for this project.

As it often goes in document review, two unexpected turns of events occurred shortly after the review began, which demonstrates the usefulness of this technology. First, the number of reviewers gradually increased from 10 to 42. Without workflow, this increase in reviewers would have required significantly more time for the review manager to assign document batches, move review folders through the process and track how the folders went through the review; in fact, another reviewer dedicated solely to the process of assigning documents likely would have been necessary. Take the hourly cost of this one person, multiply it by 40 hours a week, times the number of weeks for the review, and you have the increased cost of review management. In this matter,

Approximate Review Manager hours assigning, moving and tracking work folders



that would have been tens of thousands of dollars. With automated workflow, the increase was \$0.

Second, due to questions about the form of their production, outside counsel wanted to postpone further review of spreadsheets in order to focus on other producible materials. A search for all unreviewed spreadsheets and associated documents came up with approximately 74,000 documents. A stage was created in workflow and the spreadsheet families were moved there, ensuring that none of them would be reviewed until a later date. This allowed outside counsel to focus on the many e-mails and other documents they could produce. Had workflow not been used, much time and effort would

have been necessary to isolate the documents and re-folder the rest of the document population for review. In this case, it took less than 10 minutes.

Not only did workflow provide desired flexibility in this case, it also increased coding accuracy by including a built-in quality control (QC) process that made it impossible to “check in” documents that were improperly or inconsistently coded. This sharply reduced instances of human error from the start, rather than requiring multiple QC searches to ensure that only responsive, non-privileged documents were produced. The technology instilled confidence in outside counsel and the client, and demonstrates a documented, organized, defensible review method.

Resolution

Unsure of how to proceed at the project outset, the client and outside counsel worked with Kroll Ontrack to efficiently navigate the document analysis and review process by:

- Narrowing significant volumes of data prior to analysis and review
- Taking advantage of early case assessment technology to gain a window into the data at stake and discern the most effective keywords
- Relying on the defensible and flexible automated workflow functionality to effectively organize, batch and route documents for review, increasing efficiency that resulted in bottom-line cost savings