

## 01. EARLY CASE ASSESSMENT

Early Case Assessment (ECA) is the process of estimating the amount of risk and cost involved in pursuing a legal matter by exploring data early in the discovery process and using defensible methods to reduce data volume – also called culling – for an efficient review process.

The Axcelerate Ingestion application is where data is loaded, stored and ultimately published to an Axcelerate Review & Analysis application. You can opt to publish all data or you can conduct ECA and reduce the amount of data that is published.

This document will help you navigate the Axcelerate Ingestion application, apply searches and filters to locate specific data sets, and then add those data sets to an Ingestion matter for publish to Axcelerate Review & Analysis.

## 02. DATA EXPLORATION

Log into the Ingestion application and navigate to the Explore tab, where you can preview the entire universe of documents. The Explore tab is also where searches and filters can be applied.

The screenshot displays the Axcelerate Ingestion application's 'Explore' tab. On the left is a sidebar with various filter categories like 'Date restrictions', 'Email From', 'Email To', etc. The main area is divided into two panes. The top pane, 'Document Result List', shows a table of documents with columns for Score, Document Title, ID, Document Date, Custodian, Mime Type, and File Size. The bottom pane, 'Document Preview', shows details for a selected document, '440P-043966 Large Project.pdf', including its ID, dates, and file characteristics.

Score	Document Title	ID	Document Date	Custodian	Mime Type	File Size
100.0%	440P-043966 Large Project.pdf	ENRINEL00000003	01/12/2012 21:45		application/pdf	596358
100.0%	440P-043710 Medium Project.pdf	ENRINEL00000001	01/12/2012 21:44		application/pdf	3627269
100.0%	440P-042008 Small Project.pdf	ENRINEL00000001	01/12/2012 21:44		application/pdf	2023046
100.0%	North America Plan 01-09 inc AA adj (2.xls)	ENRINEL00000363	01/14/2002 05:55	Beck, Saly	application/vnd.ms-excel	1157632
100.0%	RE: Vark & Cas Postions 12/31/01 - please read, with attachment	ENRINEL00000168	01/02/2002 17:20	Beck, Saly	application/outline	441856
100.0%	RE: New York Details	ENRINEL00000006	12/20/2001 09:11	Beck, Saly	application/outline	22528
100.0%	RE: Season's Greetings!	ENRINEL00000009	12/20/2001 09:20	Beck, Saly	application/outline	25088
100.0%	Domain Test/CC/BCC	ENRINEL00000033	01/01/1980 08:00	Kaminski, Vincent	application/outline	40960
100.0%	File: information for best chroniquit	ENRINEL00000065	01/01/2002 04:09	Beck, Saly	application/outline	30720
100.0%	The List	ENRINEL00000012	12/20/2001 07:25	Beck, Saly	application/outline	17408

The Explore tab is comprised of the following main areas:

### Document Result List

The Document Result List on the middle right of the screen lists individual documents in a table view and each row represents one document. The document count at the bottom right of the pane represents all documents in the repository, if no search or filter parameters have been applied. The active document is highlighted in dark gray.

To navigate between documents use your mouse to click on the document you wish to review. To move to the next page of the list, click the page arrow at the bottom of the pane.

Document Result List						
Score	Document Title	ID	Document Date	Custodian	Mime Type	File Size
100.0%	440P-043966 Large Project.pdf	ENRN01:00000003	01/12/2012 21:45		application/pdf	5868588
100.0%	440P-045710 Medium Project.pdf	ENRN01:00000002	01/12/2012 21:44		application/pdf	3627269
100.0%	440P-042008 Small Project.pdf	ENRN01:00000001	01/12/2012 21:44		application/pdf	2023046
100.0%	North America Plan 01-09 inc AA adj (2).xls	ENRN01:00000363	01/14/2002 05:55	Beck, Sally	application/vnd.ms-excel	1157632
100.0%	RE: VAR & CAS Positions 12/31/01 - please read, with attachment	ENRN01:00001168	01/02/2002 17:20	Beck, Sally	application/msoutlook	441856
100.0%	RE: New York Details	ENRN01:00000006	12/20/2001 05:11	Beck, Sally	application/msoutlook	22528
100.0%	RE: Season's Greetings!	ENRN01:00000009	12/20/2001 05:20	Beck, Sally	application/msoutlook	25088
100.0%		ENRN01:00000033	01/01/1980 08:00	Kaminski, Vincent	application/msoutlook	40960
100.0%	FW: information for bert stromquist	ENRN01:00000065	01/01/2002 04:09	Beck, Sally	application/msoutlook	30720
100.0%	The List?	ENRN01:00000012	12/20/2001 07:25	Beck, Sally	application/msoutlook	17408

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## Document Preview

The Document Preview at the bottom of the screen displays an HTML, or text-based, preview of the document active in the list.

Document Preview

Highlight

Font: small

FW: 2002 Netco Plan

North America Plan 01-09 inc AA adj (2).xls

**North America Plan 01-09 inc AA adj (2).xls**

ID ENRN01:00000363

Document Date 01/14/2002 05:55

File Name North America Plan 01-09 inc AA adj (2).xls

Custodian Beck, Sally

From/Author dvandor

Document Type Attachment

Document Characteristics With Natives , Without Embeddings , With Text , Without Attachments

Storage Type Attachment

Mime Type application/vnd.ms-excel

File Extension xls

File Size 1157632

File Size Type > 200 Kilobyte

Office Flags Comments

The top of the HTML preview displays the document's metadata - such as the Date Sent or Author - that is extracted from the document during ingestion.

The document's text displays below the gray line under the metadata. If the text is long, look for an indicator at the bottom of the pane and use the arrow button to navigate to the next page of the document's text.

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The Document Preview also shows a list of family members at the top of the pane, if the active document has any.

Document Preview

Highlight

FW: 2002 Netco Plan

North America Plan 01-09 inc AA adj (2).xls

**North America Plan 01-09 inc AA adj (2).xls**

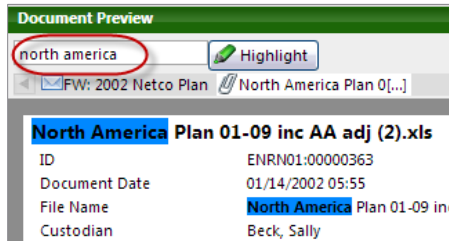
ID ENRN01:00000363

Document Date 01/14/2002 05:55

File Name North America Plan 01-09 inc AA adj (2).xls

Custodian Beck, Sally

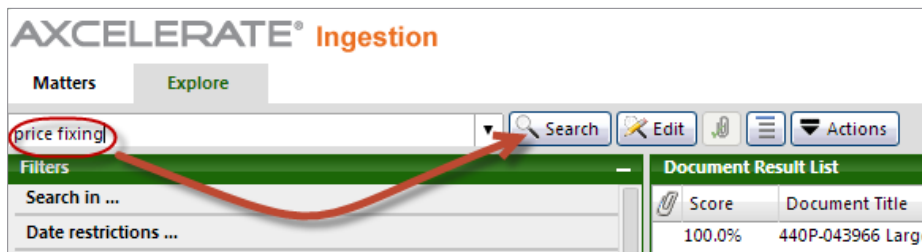
To search the text and metadata within a document, enter a search term or phrase in the search box at the top of the Document Preview pane and click Highlight.



## Quick Search Bar and Family Icons

The Quick Search Bar is located above the Document Result List and is used to search the entire body of displayed results.

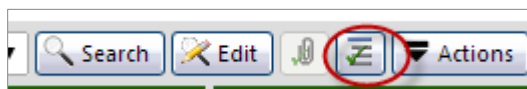
To quickly search the data, delete the asterisk placeholder from the Quick Search text box, enter a search term or phrase, and then click the Search button or hit Enter on your keyboard to execute the search. A quick search runs against both text and metadata by default. The Document Result List updates to display only those documents responsive to the search.



To add family members to the search results in the Document Result List, click the Include Family button.



To sort results by family, click the Family Sort button.



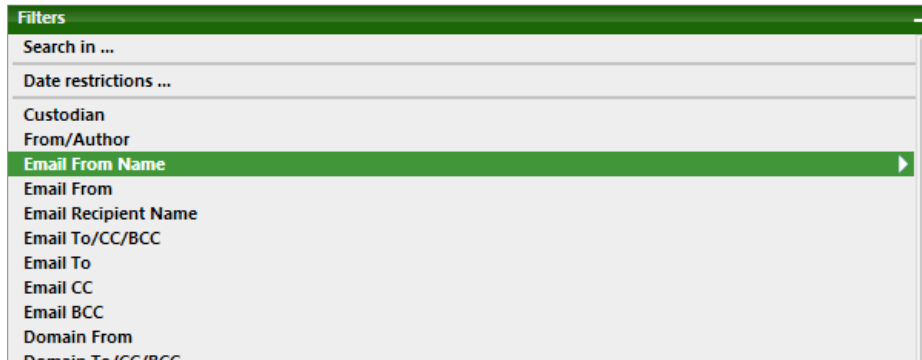
The applied search displays in the Search Parameters pane. Click the red X to clear the search.



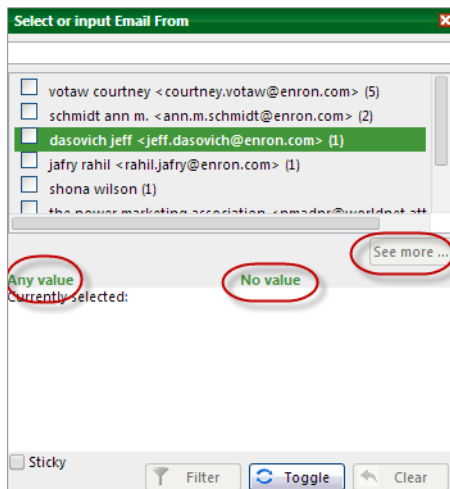
The Search Bar also contains an Edit button, used to open the Search Query Editor (SQE), a valuable ECA and data culling tool that is discussed in more detail below.

## Filters Pane

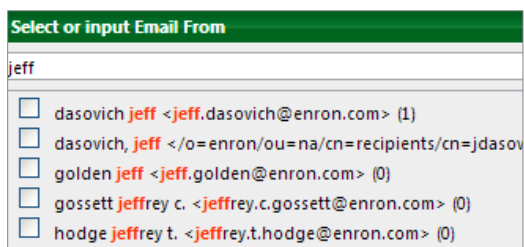
The Filters pane, located to the left of the Document Result List, contains Smart Filters that can be used to refine the results, allowing you to review documents based on the certain attributes.



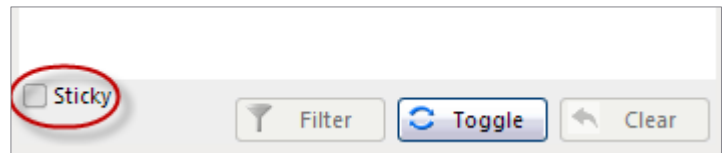
Smart Filters are populated by the ingested data's metadata and Recommind-populated field content. Open any Smart Filter and the top ten values of that filter display in descending document count order. Use the See More button to display the top 100 values. Any Value and No Value options allow you to search for documents populated or not populated for a particular field.



Input text in the type-ahead text box at the top of the pane to jump to a specific value.



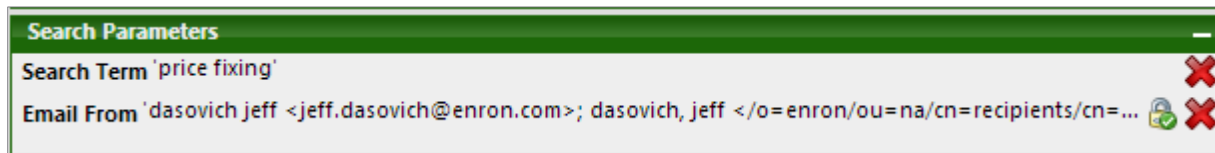
The bottom left of the Smart Filter pane contains a Sticky option that can be used to lock the filter, a necessary step if you plan to run additional searches against the filtered results.



Click the Filter button to apply the filter.

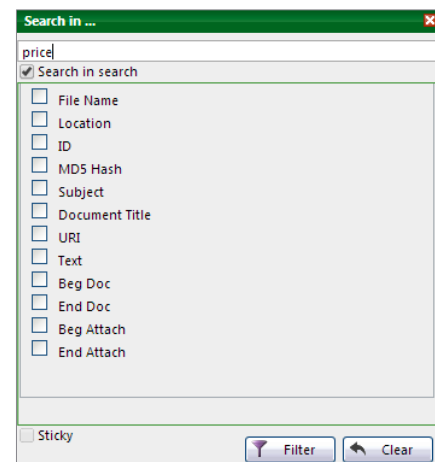
The applied Smart Filter displays in the Search Parameters pane. The lock icon indicates the filter is sticky. If you run another search against the filtered set, the sticky filter remains.

To clear a filter, click the red X.



At the top of the Filters pane is also a Search In option. Search In allows you to search within the results of a filtered data set. The terms are entered in the text box. Selecting “Search In Search” runs the search as if you had entered the terms in the Quick Search box, that is, the terms are run across all text and metadata. Optionally, you can select specific fields to search.

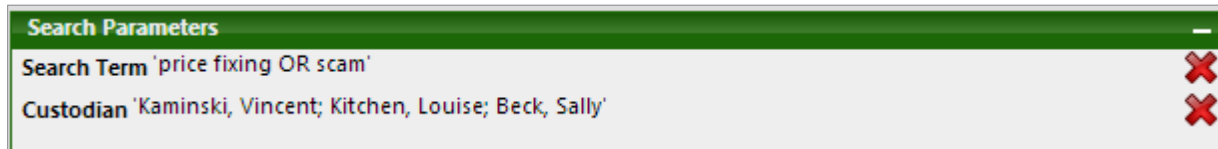
Search In can be layered on a Quick Search or together with other filters. It can also be used on its own. Note that Search In is applied in the same manner as other filters and it also contains a Sticky box that can be used to lock the filter, which is necessary if you apply the Search In filter first and then decide to also run a Quick Search.



**NOTE:** The order of operation for Quick Search and Filters is important. You must either run the Quick Search first and then apply filters, or apply the filters first and make them sticky. If you apply filters before running a Quick Search and do not make the filters sticky, running the Quick Search removes the filters. The same holds true if you run a Quick Search, apply a filter, and then modify the Quick Search; if the filter was not sticky, it is removed when the Quick Search is updated and rerun.

## Search Parameters

The Search Parameters pane displays the applied criteria in the order of application. Clear individual filters using the red X.



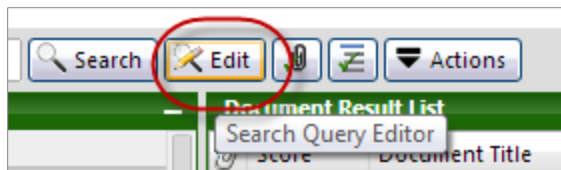
## 03. COMMON DATA CULLING METHODS

Additional common data culling methods are discussed below:

### Key Word Search Terms

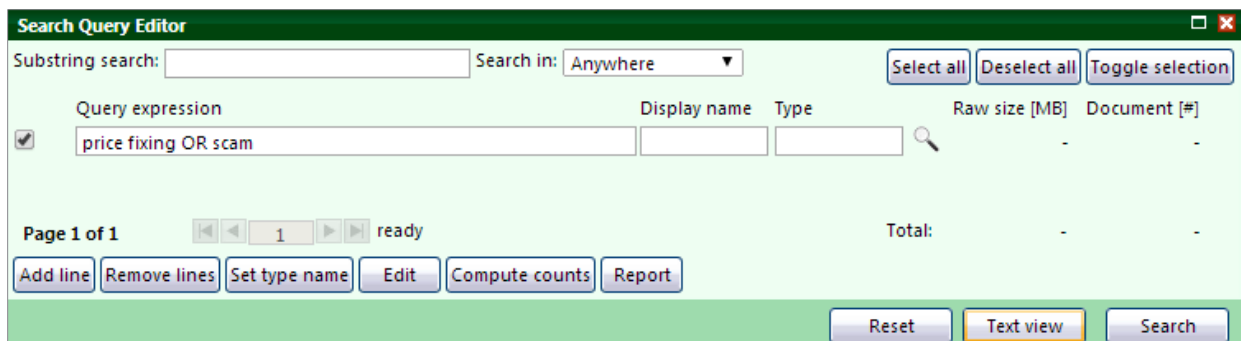
Sometimes a list of key word search terms is used to locate and assess potentially relevant documents. When starting with such a list, the SQE can be used to build the search. The SQE also generates document counts for each search query before the search is even run.

Click the Edit button on the Search Bar to open the SQE.



The SQE provides two views: the Count View, which is the default, and the Text View.

Count View can be used to manually input search terms if the list of terms is short. Remember to delete the placeholder asterisk before inputting the search term. Use the Add Line button to add additional blank lines and input more search terms. OR operators are added automatically between each line. AND operators must be entered within a row.



Text View can be used to copy in a list of terms from a text document if the list is long. Click the Text View button and then copy and paste a list of queries in from an external source.

After pasting in the search term list, switch back to Count View. Each line break inputted in Text View is interpreted as an OR operator.

Query expression	Display name	Type	Raw size [MB]	Document [#]
<input checked="" type="checkbox"/> price fixing			-	-
<input checked="" type="checkbox"/> OR scam			-	-
<input checked="" type="checkbox"/> OR cash			-	-
<input checked="" type="checkbox"/> OR money			-	-
<input checked="" type="checkbox"/> OR investigation*			-	-
<input checked="" type="checkbox"/> OR arrest			-	-
<input checked="" type="checkbox"/> OR scared			-	-
<input checked="" type="checkbox"/> OR disappear			-	-
<input checked="" type="checkbox"/> OR missing			-	-
<input checked="" type="checkbox"/> OR jail			-	-

In the Count View, click the Compute Counts button to see how many documents are responsive to each search query.

The Search Query Editor window displays a table with the following data:

Query expression	Display name	Type	Raw size [MB]	Document [#]
<input checked="" type="checkbox"/> price fixing			13.717	59
<input checked="" type="checkbox"/> OR scam			1.344	3
<input checked="" type="checkbox"/> OR cash			508.194	2103
<input checked="" type="checkbox"/> OR money			236.800	1059
<input checked="" type="checkbox"/> OR investigation*			78.274	349
<input checked="" type="checkbox"/> OR arrest			2.143	6
<input checked="" type="checkbox"/> OR scared			4.154	34
<input checked="" type="checkbox"/> OR disappear			10.871	47
<input checked="" type="checkbox"/> OR missing			26.545	254
<input checked="" type="checkbox"/> OR jail			0.718	7
<b>Total:</b>			<b>675.495</b>	<b>3047</b>

At the bottom of the window, there are buttons for 'Add line', 'Remove lines', 'Set type name', 'Edit', 'Compute counts', and 'Report'. The 'Compute counts' button is highlighted in the image.

Click the Search button to execute the search.

The search results return and you can examine the documents using the Document Result List and the Document Preview. If needed, modify the search by reopening the SQE and making the appropriate adjustments and then executing the search again.

When the desired results are returned, you can either click the Add Search to Matter button, or layer on filters to cull the data set further. Adding a date restriction is common.

## Date Restriction

To apply a date restriction, click Date Restrictions at the top of the Filters pane.

The Filters pane shows a list of filter categories: 'Search in ...', 'Date restrictions ...', 'Custodian', 'From/Author', 'Email From Name', and 'Email From'. The 'Date restrictions ...' option is highlighted with a red circle.

Specify the From and To date range by manually inputting the date or using the date picker calendar. Select the date field you wish to filter against. Document Date is recommended as it is a combined date field that searches on Date Sent for email and Date Last Modified for loose files.

Click Filter to apply the date restriction.

The Date restrictions dialog box shows the following fields and options:

- from: 01/01/2000
- to: 12/31/2002
- Document Date (selected)
- Modification Date
- Sent Date
- Date Received
- Creation Date
- Sticky (checkbox)
- Filter (button)
- Clear (button)

If you layered a date restriction over terms entered in the SQE, the Document Result List now displays only those documents that hit on the key word searches that are also within the designated date range.

**Search Parameters**

**Search Term** 'price fixing  
 OR (scam)  
 OR (cash)  
 OR (money)  
 OR (investigation\*)  
 OR (arrest)  
 OR (scared)  
 OR (disappear)  
 OR (missing)  
 OR (jail)  
 OR ('Federal Bureau of Investigation')  
 OR (FBI)'

**Document Date** '01/01/2000-12/31/2002'

## Domain

Domain is another common filter added to key terms to remove junk domains that add unnecessary bulk to the review population. Domains are the main part of an email address - examples of junk domains that might be unnecessary for document review are @disneyworld.com or @amazon.com.

Use the Domain From filter to exclude unneeded domains. Locate the junk domains in the Smart Filter pane, and select them. Then click the Toggle button to reverse the selection and create a NOT filter that will return everything except documents from the selected domains.

**Select or input Domain From**

amaz

☐ amazon.com (1)

See more ...

Any value  
 Currently NOT selected:  
 X amazon.com

No value

☐ Sticky

Filter Toggle Clear

Click the Filter button.

If you layered the domain restriction on the key word searches and the date restriction, the Document Result List now displays only those documents that hit on the key word searches that are also within the designated date range and which do not include the restricted domain.

**Search Parameters**

Search Term 'price fixing  
 OR (scam)  
 OR (cash)  
 OR (money)  
 OR (investigation\*)  
 OR (arrest)  
 OR (scared)  
 OR (disappear)  
 OR (missing)  
 OR (jail)  
 OR ('Federal Bureau of Investigation')  
 OR (FBI)'

Document Date '01/01/2000-12/31/2002'

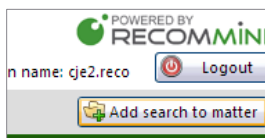
Domain From 'NOT ( amazon.com )'

#### 04. ADD DOCUMENTS TO A MATTER

An Ingestion matter is a staging area that is created to hold search results that you may want to publish to an Axcelerate Review & Analysis application. As you run searches or apply filters, you can add results to this staging area as you go. Adding documents to a matter equates to creating a saved search.

Once you have verified the search results that are to be published, add them to the matter.

1. Click the Add Search to Matter button, located above the Document Result List on the right-side of the screen.



2. In the Add Saved Search Wizard, select the Matter name from the drop-down list and click Next.

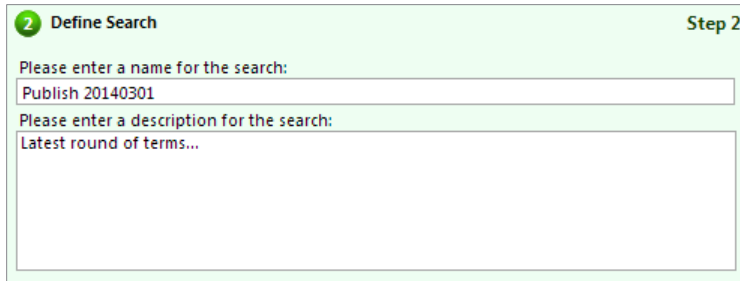
**Add Saved Search Wizard**

**1 Select Matter** Step 1

Matter name

- Demo\_1\_Review
- Review1
- Review3
- Review6**
- Review7

3. Enter a name and optional description for the search and click Next. Remember, descriptive names are breadcrumbs to help you and other team members later recall the culling steps taken.



**2 Define Search** **Step 2**

Please enter a name for the search:

Publish 20140301

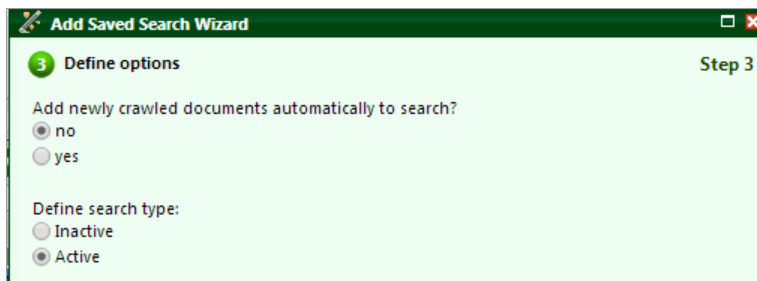
Please enter a description for the search:

Latest round of terms...

4. Next, define the search options:

A “yes” value for “Add newly crawled documents automatically to search” will automatically add any newly ingested documents that meet the same search and filter criteria to the matter. A “no” value means you will need to reapply the search later if you wish to add newly ingested documents to the matter. Selecting “No” is best practice if you want more control over the process, to ensure only data you intend to publish is added to the Review & Analysis application.

Search Type should typically be set to “Active” when adding documents to the matter. If the saved set is designated Inactive, it must be activated via the Matters tab at a later time to be used. Click Next.



**Add Saved Search Wizard** □ ×

**3 Define options** **Step 3**

Add newly crawled documents automatically to search?

☒ no

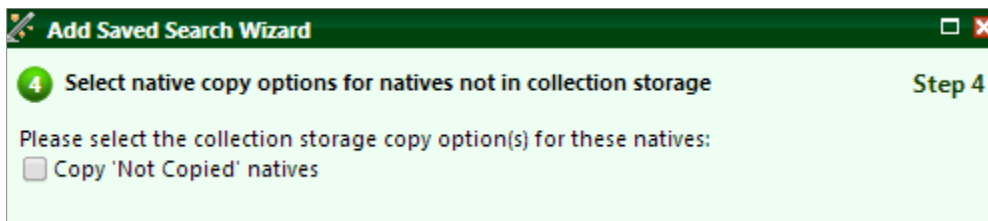
☐ yes

Define search type:

☐ Inactive

☒ Active

5. The next step asks you to confirm whether you want to copy natives that have not yet been copied in the collection storage. This box should be left unchecked, as it relates to special document crawler settings that are typically not needed. Click Next to proceed.



**Add Saved Search Wizard** □ ×

**4 Select native copy options for natives not in collection storage** **Step 4**

Please select the collection storage copy option(s) for these natives:

☐ Copy 'Not Copied' natives

- Click Next and confirm the settings. Notice the document counts. Family members of the documents meeting your search and filter criteria are automatically added to the matter. This is an important point because the document count in the matter is not likely to match your search results document count due to the added family members.

**Add Saved Search Wizard** Step 5

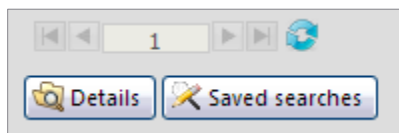
**5 Check the result and save**

Matter id: Review6  
 Saved Search name: Publish 20140301  
 Number of documents in original search: 3025  
 Number of documents added to hold: 10710  
 Add newly crawled documents automatically: no  
 Search type: Active  
 Copy 'Not Copied' natives: Yes

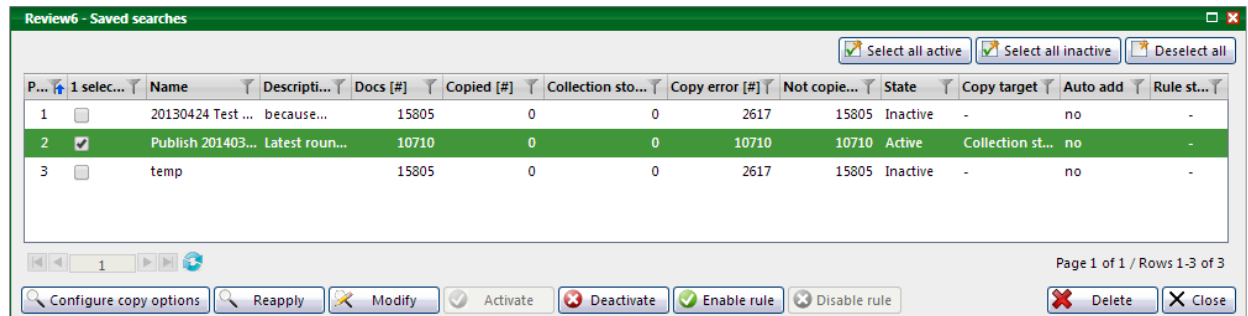
- Click Finish and you are moved to the Matters tab. Your Matter is selected and various counts and other information for the whole matter are provided. Click the blue refresh icon at the bottom of the screen to see the copy result – depending on the volume of the search, it may take a few minutes for the new data set to be fully added to the Matter.

P... 1 selected	Matter name	Docs [#]	Copied [#]	Collection storage [#]	Copy	Id
1	Demo_1_Review	41686	3	3	8:27	Demo_1_Review
2	Review1	604	0	0	7:44	Review1
3	Review3	3	3	3	7:47	Review3
4	Review6	0	0	0	8:42	Review6
5	Review7	0	0	0	9:08	Review
6	TestCloseOfMatter	3	0	0	8:39	TestCloseOfMatter

To view the individual saved searches within a matter, select the target matter, then click Saved Searches at the bottom of the Matters page.



The Saved Searches view provides additional counts and details about each saved search. Click on a saved search to enable other options, such as Deactivate (downgrade a search you no longer want to use) and Activate (enable searches previously marked Inactive for use).



P...	1 selec...	Name	Descripti...	Docs [#]	Copied [#]	Collection sto...	Copy error [#]	Not copie...	State	Copy target	Auto add	Rule st...
1	<input type="checkbox"/>	20130424 Test ... because...		15805	0	0	2617	15805	Inactive	-	no	-
2	<input checked="" type="checkbox"/>	Publish 201403... Latest roun...		10710	0	0	10710	10710	Active	Collection st...	no	-
3	<input type="checkbox"/>	temp		15805	0	0	2617	15805	Inactive	-	no	-

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Once a saved set is ready for publish to an Axcelerate Review & Analysis application, provide the name of the target saved set and the total document count to your project administrator.