

Information Retrieval for E-Discovery

By Douglas W. Oard and William Webber

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Abstract

E-discovery refers generally to the process by which one party (for example, the plaintiff) is entitled to “discover” evidence in the form of “electronically stored information” that is held by another party (for example, the defendant), and that is relevant to some matter that is the subject of civil litigation (that is, what is commonly called a “lawsuit”). This survey describes the emergence of the field, identifies the information retrieval issues that arise, reviews the work to date on this topic, and summarizes major open issues.

1

Introduction

Regular viewers of the mid-twentieth century courtroom drama *Perry Mason* might be surprised to learn that the Fifth Amendment right against self-incrimination enshrined in the U.S. Constitution applies only to criminal law. In civil law, it is the obligation of parties to a lawsuit to provide documents to the other side that are responsive to proper requests and that are not subject to a claim of privilege (e.g., attorney-client privilege) [121]. In the law, this process is called “civil discovery,” and the resulting transfer of documents is called “production.” Amendments to the Federal Rules of Civil Procedure in 2006 made it clear that the scope of civil discovery encompasses all “Electronically Stored Information” (ESI), and thus was born the rapidly growing field that has come to be called “e-discovery” (the discovery of ESI, or Electronic Discovery) [24].

A confluence of interest between those working on e-discovery and those working on information retrieval was evident from the outset, although it has taken some time for the key issues to come into sharp focus. E-discovery applications of information retrieval technology are marked by five key challenges. First, e-discovery emphasizes fixed result sets rather than ranked retrieval. Second, e-discovery focuses on high

recall, even in large collections, in contrast to the high-precision focus of many end-user applications, such as Web search. Third, e-discovery evaluation must measure not just relative, but also absolute effectiveness. Fourth, e-discovery connects information retrieval with techniques and concerns from other fields (for instance, computer forensics and document management). And fifth, the adversarial nature of civil litigation, and the information asymmetry between requesting party (who makes the request) and responding party (who has the documents), makes e-discovery a substantially arms-length transaction.

While these challenges are not unique to e-discovery, the demands of the e-discovery marketplace has focused research upon them. The market for vendors of e-discovery systems has been estimated at \$US 1 billion in 2010 [87]; several times that figure are spent on the staffing and processing costs to use those systems effectively [108]. In view of these large costs, information retrieval research can help to achieve two important societal goals: (1) improving the return on this investment by enhancing the effectiveness of the process for some given level of human effort (which has important implications for the fairness of the legal system), and (2) reducing future costs (which has important implications for broad access to the legal system by potential litigants). Furthermore, fundamental technologies developed for e-discovery may have applications in other fields as well. For example, the preparation of systematic reviews of recent research on specific topics in medicine might benefit from advances in high-recall search [67], and personal information management might benefit from advances in search technology that focus specifically on e-mail (which at present is of particular interest in operational e-discovery settings).

With that background in mind, the remainder of this survey is organized as follows. Section 2 on *The E-Discovery Process* begins with an introduction to the structure of the process of e-discovery, focusing principally on U.S. federal law, but with a brief survey of discovery practice in other jurisdictions. The part of the e-discovery process known as “document review” has been the focus of the greatest investment [108] and is therefore our central focus in this review. The section also introduces the three canonical information seeking processes (linear review, keyword search, and technology-assisted review) that shape current

practice in document review. Section 3 on *Information Retrieval for E-Discovery* examines specific techniques that have been (or could be) applied in e-discovery settings. Section 4 on *Evaluating E-Discovery* discusses evaluation issues that arise in e-discovery, focusing in detail on set-based evaluation, estimation of effectiveness metrics, computation of confidence intervals, and challenges associated with developing absolute as well as relative measures. Section 5 on *Experimental Evaluation* reviews the principal venues in which e-discovery technology has been examined, both those well known in academic research (such as the Legal Track of the Text Retrieval Conference (TREC)), and those more familiar to industry (e.g., the Data Set project of the Electronic Discovery Reference Model (EDRM) organization). Section 6 on *Looking to the Future* draws on our description of the present state of the art to identify important and as yet unresolved issues that could benefit from future information retrieval research. Finally, Section 7, the *Conclusion*, draws together some broader implications of work on e-discovery.

2

The E-Discovery Process

This section places technical issues of e-discovery in the context of the legal process under which it is conducted. We discuss the place of discovery in civil law in Section 2.1, while Section 2.2 describes the rising importance of e-discovery in recent years. We then describe the e-discovery process itself, with the aid of two models: first, the popular EDRM model, in Section 2.3; and then, in Section 2.4, an alternative model that more clearly identifies the parts of the process where information retrieval techniques can have the greatest impact.

2.1 Civil Discovery

Discovery is the process whereby one party (the producing party) in a legal case makes available to the other (the requesting party) the materials in their possession which are pertinent to that case. The chief venue for discovery is in civil litigation, but analogous processes occur in regulatory (including antitrust) investigation, in freedom of information requests, in the conduct of commercial due diligence, and

in criminal law.¹ We focus in this survey on e-discovery under the U.S. Federal Rules of Civil Procedure (FRCP).² The rules in most U.S. states are modeled on the federal rules, but considerable variation in practice occurs in other countries. We therefore begin with a description of the discovery process in the United States of America (USA), and then we briefly review similar processes in other jurisdictions.

2.1.1 Discovery in the USA

Which materials are pertinent to a case depends on the matter under dispute, as laid out in a *complaint* document that makes specific allegations, and more particularly in the *requests for production* that the requesting party lodges with the producing party. A party may make several production requests in a case, each covering a different aspect of the case. Requests can be made not just from the plaintiffs to defendants, but also from defendants to plaintiffs, and by either party to third parties [143]. We refer simply to requesting and producing parties in the context of any specific production request.

Having received a request, it is the producing party's responsibility to conduct a reasonable inquiry to find and return all material in their possession that is responsive to that request. The search for responsive documents thus aims at comprehensiveness — in the jargon of information retrieval, at recall. The producing party is also responsible for ensuring that the production is not overly broad, obscuring responsive materials amongst a mass of non-responsive materials. The producing party can be sanctioned by the court for failing to return responsive documents (under-production), as well as for returning too many non-responsive ones (over-production). The law does not require perfection at this task, but rather that the actions taken in response to the request are reasonable [12, 107], and that the effort and expense is proportionate to the amount in dispute [31, 146].

It is in the first instance up to the two parties to agree upon what constitutes a reasonable and proportionate effort (for instance, not

¹For e-discovery in criminal law, see the Criminal Discovery Subcommittee of the Seventh Circuit's Electronic Discovery Pilot Program, <http://www.discoverypilot.com/content/criminal-procedure-subcommittee>

²<http://www.law.cornell.edu/rules/frcp/>

searching backup tapes, or only searching documents produced after a certain date). If the parties are unable to agree upon a protocol, then the court must get involved. Some judges may be unwilling to decide upon the technical details of production protocols [14]³; others may be forced to do so by the fundamental disagreements between the parties⁴; and yet others may be prepared to make proactive determinations about production methods.⁵

The scope of discovery under the FRCP is broad; the producing party must produce not just documents that are significant to the case, but all documents that are relevant to the production request. In legal terms, the criterion is responsiveness, not materiality. Specifically, Rule 26(b)(1) of the FRCP states:

Unless otherwise limited by court order, the scope of discovery is as follows: Parties may obtain discovery regarding any nonprivileged matter that is relevant to any party's claim or defense — including the existence, description, nature, custody, condition, and location of any documents or other tangible things and the identity and location of persons who know of any discoverable matter. For good cause, the court may order discovery of any matter relevant to the subject matter involved in the action. Relevant information need not be admissible at the trial if the discovery appears reasonably calculated to lead to the discovery of admissible evidence.

Materials may be withheld from production under the claim of privilege, the most common forms of which are as an attorney-client communication or an attorney work product, as defined by Federal Rule

³Judge Facciola in *United States v. O'Keefe*, 537 F. Supp. 2d 14, 24 (D.D.C. 2008) commented that choosing blind between search terms is “clearly beyond the ken of a layman and requires that any such conclusion be based on evidence.” (See Appendix A for an explanation of the legal citation practice used here and throughout this survey.)

⁴*Da Silva Moore v. Publicis Groupe et al.*, 2012 WL 607412 (S.D.N.Y. Feb. 24, 2012), approved and adopted in *Da Silva Moore v. Publicis Group*, 2012 WL 1446534, at *2 (S.D.N.Y. Apr. 26, 2012).

⁵*EORHB, Inc. v. HOA Holdings, LLC*, Civ. No. 7409-VCL (Del. Ch. Oct. 15, 2012).

of Evidence 502.⁶ Determination of privilege requires legal (rather than only subject-matter) expertise, and may be performed as a separate review of those documents previously identified as responsive. A log of privileged documents is normally provided to the requesting party.

The producing party generally regards privileged documents as highly sensitive, since client-attorney communications could disclose case strategy or otherwise prejudice the producing party's interests. The law does provide for "clawback" of such documents if released inadvertently [51].⁷ However, if the producing party is found to have not made a reasonable effort to protect their privileged materials, they can be judged by the court to have waived their privilege, thus allowing those materials to be used at trial,⁸ though the court can release the producing party even from this reasonable effort requirement by issuing what is known as a 502(d) order [57]. Even if privileged documents are successfully clawed back, the literature on hindsight bias suggests that the requesting party may simply no longer be able to think in the same way they had before seeing the privileged information [66].

There is an inherent asymmetry in the nature of the discovery process [13]. The requesting party must develop the production request without access to the ESI, while the producing party must execute that request on the ESI on behalf of the requesting party. To address this asymmetry, and reduce the scope for gamesmanship and disputes, the FRCP requires the parties meet in a pre-trial conference (known as a *meet and confer*) and present a case management plan to the court.⁹ Cooperation between parties is being increasingly urged by legal commentators and the judiciary [145, 109]. Advanced tools can allow for a more iterative collaboration between the parties, through joint review of training documents [173], and recent cases using such technology suggest that iterative collaboration is growing.¹⁰

⁶ <http://www.law.cornell.edu/rules/fre/rule.502>

⁷ Fed. R. Civ. P. Rule 26(b)(5)(B); Fed. R. Evid. 502.

⁸ *Mt. Hawley Ins. Co. v. Felman Prod., Inc.*, 271 F.R.D. 125, 136 (S.D.W.Va. 2010).

⁹ Fed. R. Civ. P. Rule 26(f).

¹⁰ *Da Silva Moore v. Publicis Groupe et al.*, 11 Civ. 1279 (ALC) (AJP) (S.D.N.Y. Feb. 22, 2012) Document 92 of <http://archive.recapthelaw.org/nysd/375665/>; *In Re: Actos (Pioglitazone) Products*, 2012 WL 3899669 (W.D. La. July 27, 2012) (<http://pdfserver.amlaw.com/legaltechnology/11-md-2299.pdf>).

2.1.2 Similar Processes In Other Jurisdictions

Discovery practice varies in jurisdictions outside the USA. To begin with, the concept of discovery is mainly confined to common law jurisdictions, meaning (besides the USA) the countries of the British Commonwealth, particularly Canada, Australia, Singapore, Hong Kong, and New Zealand, plus the Republic of Ireland,¹¹ though not all jurisdictions in the Commonwealth are common law (for instance, Scotland is a civil law jurisdiction, as is the province of Quebec in Canada for private law, including commercial law). Outside common law countries, quite different legal processes apply. For instance, “[a] party to a German lawsuit cannot demand categories of documents from his opponent. All he can demand are documents that he is able to identify specifically — individually, not by category.”¹² Similarly, Chinese law does not require the exchange of information in litigation.¹³ Nevertheless, companies based in countries without discovery may still find themselves subject to discovery proceedings if they trade with countries that do observe discovery, most notably the USA. Moreover, there are also discovery-like processes outside civil litigation, such as responding to regulatory requests from government bodies.

Within the non-US common law countries, discovery practice is also variable. Perhaps the most notable divide is over the scope of production. Some jurisdictions follow the broader US standard of relevance under which a document is discoverable if it possesses “relevance to one or more facts at issue.”¹⁴ Others follow a tighter materiality standard, stating (in these or other words) that a party is required to discover only:

- “(a) documents on which the party relies;
- (b) documents that adversely affect the party’s own case;

¹¹ <http://chrisdale.wordpress.com/2012/11/27/a-hong-kong-ediscovery-snapshot-in-the-company-of-epiq-systems/>

¹² *Heraeus Kulzer, GmbH v. Biomet, Inc.*, 2011 U.S. App. LEXIS 1389 (7th Cir. Jan. 24, 2011).

¹³ http://www.insidecounsel.com/2012/12/03/like-the-great-wall-e-discovery-barriers-still-exi?ref=hp&utm_source=buffer&buffer_share=dbf7d

¹⁴ NSW (Australia) Uniform Civil Procedure Rules 2005, Regulation 21.2 (http://www.austlii.edu.au/au/legis/nsw/consol_reg/ucpr2005305/s21.2.html)

- (c) documents that adversely affect another party's case; and
- (d) documents that support another party's case."¹⁵

England and Wales follow (under the name *e-disclosure*) the materiality standard [19], though their recent modifications to Part 31 of the Civil Procedure Rules flowing from the Jackson Review allow courts more leeway in varying the scope of disclosure.¹⁶ Australia also observes materiality at the Federal level,¹⁷ though practice varies at the state level, with for instance Victoria following a materiality standard, New South Wales a relevance standard.¹⁸ Similarly, in Canada, some provinces (for instance, Ontario and British Columbia) follow a relevance standard, others (such as Alberta) a materiality standard [142], though in all jurisdictions there is increasing emphasis on cost containment [53, 148].

The difference between a materiality standard and a relevance standard from the point of view of retrieval is that the latter emphasizes recall, whereas the former arguably emphasizes precision. Moreover, the materiality standard has traditionally been seen as less onerous upon the responding party, and so, in the new age of electronic discovery (Section 2.2), perhaps calling for less sophisticated technological involvement. Rules and practice are changing rapidly at present, however, in non-US jurisdictions as in the USA.

2.2 The Rise of E-Discovery

Traditionally, discovery focused on paper documents, and a paper mindset persisted for some time even as documents shifted to electronic media. The shift from paper to digital content — what is termed

¹⁵Victorian Supreme Court (Australia) (General Civil Procedure) Rules 2005 — Sect 29.01.1.3 (http://www.austlii.edu.au/au/legis/vic/consol_reg/sccpr2005433/s29.01.1.html)

¹⁶<http://www.justice.gov.uk/courts/procedure-rules/civil/rules/part31>; <http://www.legislation.gov.uk/uk/si/2013/262/contents/made>; <http://www.scl.org/site.aspx?i=ed30465>

¹⁷Federal Court Rules (Commonwealth) O 15 r 2(3) (<http://www.alrc.gov.au/sites/default/files/pdfs/publications/Whole%20ALRC%20115%20%2012%20APRIL-3.pdf>)

¹⁸NSW UCPR and VSC GCPR, *op. cit.*

“electronically stored information” (ESI) — has posed fundamental new challenges to the discovery process, which have had to be met with a combination of legal and technical responses.

At first, it might seem that ESI should be easier to search and produce than paper documents stored in filing cabinets — and in the long term that may turn out to be true. But the rise of highly computerized and networked enterprises initially made discovery more difficult and expensive. The ease of creating digital content led to an explosion in the amount created. Moreover, while paper documents were constructed and centrally filed by professional secretarial staff, electronic documents are now created autonomously by employees and stored in a profusion of locations and devices. Additionally, whereas in the age of paper records, most communications were ephemeral and unrecorded, with the advent of digital communication, much more communication is stored and therefore discoverable [109].

Initially, e-discovery practitioners attempted to apply paper methods to electronic information, amassing all data from relevant custodians and displaying it page by page on screen, or even printed out on paper. Review itself was performed by an army of junior attorneys reading through the documents one at a time, and marking them with physical or virtual tags according to their responsiveness to the production request(s). Such a method of search came to be known as *linear review*. Review speed depends on the collection, requests, and reviewers, but a rate of a few minutes per document is typical.¹⁹ Evidently, the cost of such an approach scales linearly with the collection size, and as collections have grown dramatically, linear review has become increasingly insupportable [109].

The next step was *keyword search* [12]; that is, search based on the presence or absence of specific terms. All documents matching the

¹⁹ Baron et al. [15] report review rates for different topics at the TREC 2006 Legal Track ranging from 12.3 to 67.5 documents per hour, and averaging 24.7. The average rate was 20 documents per hour in 2007, and 21.5 per hour in 2008 [103]. Roitblat et al. [114] describe a large-scale review, for both responsiveness and privilege, requiring 225 attorneys to each work nearly 2,000 hours to review 1.6 million documents, at a rate of 14.8 documents per hour. Borden [23] cites a review of “fairly technical” documents running at the rate of 45 documents per hour, and states 50 to 60 documents per hour as the “e-discovery industry average.”

keyword query were then subjected to linear manual review. Thus, keyword search is a filtering step, aimed at cutting the collection down to a manageable size while still (it is hoped) catching the great majority of relevant material. Keyword search is a somewhat imprecise term, however, since (almost) all techniques that might be used to automatically identify potentially relevant documents are based at least in part on the presence or absence of specific terms. Initially, keyword search was used to refer narrowly to finding all documents that contained some very specific search term (e.g., the name of a project or a person). Later, the term was used somewhat more expansively to refer to any sharply defined hand-crafted term-based specification of a result set (e.g., a Boolean query). Some e-discovery vendors subsequently elaborated keyword search into what has been referred to as *concept search* [84, 139].²⁰ Concept search covers a range of technologies, from query expansion to clustering documents for more focused review; in general, any search method that goes beyond simple keyword matching might be referred to as concept search.²¹ As corporate collections continued to grow, however, even filtering by keywords or (some representation of) concepts left huge document sets that had to be linearly reviewed. Moreover, there are long-standing questions about how reliable keyword searches are at capturing all relevant documents [22].

Solving the scalability question while maintaining comprehensiveness has ultimately required adopting a higher degree of automation for locating relevant documents, through the use of more advanced methods. Such methods are sometimes now referred to as *technology-assisted review*. One influential approach has been to apply supervised machine learning to the classification task, which is now often referred to in e-discovery circles as *predictive coding*. Whether predictive coding is an acceptable, or even a mandatory, approach to e-discovery has been the subject of several recent and ongoing cases.²²

²⁰ *Disability Rights Council v. Washington Metropolitan Transit Authority*, 242 F.R.D. 139 (D.D.C. 2007).

²¹ A typical definition from an e-discovery vendor is “Conceptual search is defined as the ability to retrieve relevant information without requiring the occurrence of the search terms in the retrieved documents” [34].

²² In *Global Aerospace Inc., et al., v. Landow Aviation, L.P. d/b/a Dulles Jet Center, et al.*, 2012 WL 1431215 (Va. Cir. Ct. Apr. 23, 2012), the court ordered the use of predictive

An important practical issue in e-discovery is the format in which ESI is to be produced. Rule 34 of the FRCP states that “If a request does not specify a form for producing electronically stored information, a party must produce it in a form or forms in which it is ordinarily maintained or in a reasonably usable form or forms.”²³ A common practice in the early days of e-discovery (remarkable though it might sound to contemporary ears) was to print all documents out and produce them in hard copy; the requesting party would then typically scan and OCR the documents to return them to digital form.²⁴ Even today, documents can be, and sometimes are, requested as rendered TIFF images if the intended process for using them will be manual (because such an approach avoids the complexity of rendering many different document types) [93]. Another, as yet not completely resolved, issue is which (if any) of the metadata associated with a document must be produced.²⁵

coding technologies, over the objections of the plaintiff. In *Kleen Products LLC et al. v. Packaging Corporation of America et al.*, 10 C 05711 (N.D.Ill.) (Nolan, M.J) (<http://archive.recapthelaw.org/ilnd/247275/>), the plaintiffs objected to the defendants’ using Boolean keyword search to construct their production, and sought to have the court force defendants to use “content-based advanced analytics”; the court instead required the two sides to negotiate further, and after discussion, the plaintiffs withdrew their objection to the use of Boolean keyword search. In *Da Silva Moore v. Publicis Groupe et al.*, 11 Civ. 1279 (ALC) (AJP) (S.D.N.Y.) (<http://archive.recapthelaw.org/nysd/375665/>), plaintiffs initially objected to the defendants’ use of predictive coding; at the time of this writing, plaintiffs have removed their objection to predictive coding, and the parties are negotiating the discovery protocol to be employed. More recently still, in *EORHB, Inc. v. HOA Holdings, LLC*, No. 7409-VCL (Del. Ch. Oct. 15, 2012), the court preemptively ordered both parties to use predictive coding, without either party having requested such an order.

²³ <http://www.law.cornell.edu/rules/frcp/rule.34>

²⁴ As recently as June 2011, the e-mails of former Alaska Governor Sarah Palin were released in response to an open government request as 24,199 hard-copy, printed pages (<http://gizmodo.com/5810955/palins-emails-released-in-the-most-appropriately-stupid-manner-possible>).

²⁵ *National Day Laborer Organizing Network et al. v. United States Immigration and Customs Enforcement Agency et al.*, 10 Civ. 3488 (S.D.N.Y.). The court initially ordered that certain key metadata fields were an organic part of a document and must be produced by the government in response to an FOIA request. The government appealed based on the widespread ramifications of this ruling; the court subsequently agreed, and withdrew the order.

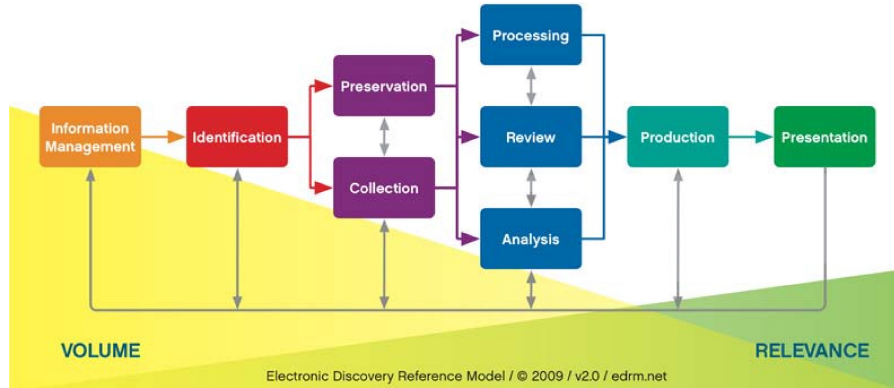


Fig. 2.1 The EDRM Reference Model.

2.3 The EDRM Reference Model

The process of e-discovery involves many, possibly iterated, stages, and these stages might be scoped and bounded in different ways when seeking to emphasize different aspects of the process. Figure 2.1 shows one very widely cited process model, known as the EDRM Reference Model.²⁶ The model specifically focuses on information processing, so procedural activities such as the conference of the parties provide context for the model, but are not explicitly represented.

From left to right, the model begins with the ongoing information management activities of the organization.²⁷ Although entitled “Information Management,” the intent is to encompass all of the regular information processing activities of an organization prior to the start of an e-discovery process. Thus, that leftmost stage in the model also includes activities that may be outside the direct control of the information management staff of an organization, and possibly outside the control of the organization itself. Examples include records management (e.g., to meet legal, regulatory or policy goals), archival storage of records that are appraised as having permanent value, information

²⁶ EDRM is the name of an organization whose first product was the Electronic Discovery Reference Model. EDRM now encompasses several projects, so we (somewhat redundantly) make it clear when it is EDRM’s Reference Model that we mean to refer to.

²⁷ A detailed description of each stage in the EDRM Reference Model can be found at <http://www.edrm.net/resources/edrm-stages-explained>

processed using personally owned devices such as smartphones or home computers, and information managed by other providers (e.g., “cloud services”).²⁸

The second stage in the EDRM Reference Model, “Identification,” involves finding the information in the diverse information processing ecosystem that must be searched. This might be done by internal staff (typically information management staff working together with lawyers), or consultants with specialized expertise may be called in. Either way, this is a team activity, calling for both legal and technical knowledge. Two broad classes of activities are subsumed in this stage. First, information systems that may contain responsive information need to be identified. This process is often referred to as “data mapping,” and it produces a “data map” that depicts the information stores and information flows, often using generic categories (e.g., “personal computers”) when a large number of similar devices are involved [52].²⁹ Much of the work of data mapping can (and, in best practice, should) be done prior to litigation, as part of the organization’s information management procedures. Second, decisions need to be made, and agreed between the parties, about which systems information will be collected from, and what restrictions will be placed on the collection process (e.g., limiting collection to specific custodians, specific date ranges, and/or specific file types). Information retrieval researchers will recognize this as an instance of federated search,³⁰ but e-discovery practitioners do not typically think of it as a search process. The reasons for that are both historical and practical. Historically, pulling boxes from a file room was the direct analogue of what is now the Identification stage in the EDRM Reference Model, a process more akin to acquisition than to search. Practically, even in the digital era, organizations typically have no index that can search across the broad range of information systems involved, which could

²⁸ See The Sedona Conference [140] for best-practice recommendations on information management for e-discovery.

²⁹ In E-Discovery, “data” and “information” are often used interchangeably; the use of “data” in this context does not imply a specific focus on databases, just as our use of “information” throughout this survey is not intended to imply the exclusion of databases.

³⁰ In federated search, multiple collections are available. Two decisions must be made: which collections to search; and how to merge the results obtained from the searched collections.

potentially include offline backup tapes, memory sticks in the bottom of desk drawers, and e-mail stored on home computers. As a result, decisions about Identification are typically made prior to search, and with little in the way of formal evaluation of the amount of responsive ESI that may be missed.

The third stage of the EDRM Reference Model involves two explicitly depicted functions, “Collection” and “Preservation.” Collection is, quite simply, actually getting what you decided to get. This may involve using ordinary access means (e.g., issuing queries to an operating database), using specialized means for access that avoid altering the stored information (e.g., file system reads using software or hardware approaches to avoid altering the “last accessed time” metadata), or using forensic techniques to recover otherwise inaccessible information (e.g., creation of a disk image from a personal computer in order to support recovery of deleted files from “slack space” that has not yet been reallocated). Preservation involves three basic functions: maintaining the bit stream, maintaining the information necessary to interpret the bit stream, and maintaining evidence of authenticity for the bit stream. To maintain the bit stream, replication is normally used for “preservation copies,” and all analytical manipulations are performed on “service copies” [135]. The information necessary to interpret the bit stream (e.g., file type and time created) is normally captured as metadata along with the file, and is preserved in the same way. To maintain evidence of authenticity, a cryptographic hash is normally created and then escrowed in separate storage to which access is restricted in a manner intended to prevent malicious alteration. Matters related to preservation attract considerable attention in the e-discovery literature [144], though they are often not directly relevant to information retrieval.

The fourth stage of the EDRM Reference Model has been the principal focus of attention to date from the information retrieval research community. This stage involves three explicitly depicted functions, “Processing,” “Review,” and “Analysis.” Processing, in this context, refers to operations performed on service copies to prepare the collection for review. In the era of linear review, this involved rendering page images for each file type and formatting appropriate metadata

for display with each page image. In the era of technology-assisted review, the Processing function would also involve feature generation and indexing; essentially, processing is whatever needs to be done in advance of Review. Review, in the era of manual linear review, involved someone looking at each document and making decisions on responsiveness, privilege, and perhaps other issues (a process referred to in e-discovery as “issue coding”). In the era of technology-assisted review, Review will generally still involve some human examination of individual documents, but it can also involve aggregate specification of sets (e.g., using queries), classifier training, and automated classification. Analysis is the term used by EDRM to indicate the control over the Review process. Information retrieval researchers would recognize the Analysis function as combining information seeking behavior (e.g., analysis of what you want) and formative evaluation (e.g., analysis of how well you are doing at finding it).

The fifth stage of the EDRM reference model, Production, involves the delivery of responsive and non-privileged ESI to the requesting party, often accompanied by a log identifying any responsive and privileged ESI that has been withheld. The produced digital documents are typically accompanied by what is referred to in e-discovery as a “load file,” providing additional metadata not contained in the documents themselves.

The final (rightmost) stage in the EDRM Reference Model is Presentation. This involves the use of produced ESI to elicit further information (e.g., in a deposition), to support legal analysis, and to persuade (e.g., during a trial).

Although the EDRM Reference Model is widely referred to, it provides just one way of looking at what is a complex and nuanced process. The EDRM Reference Model predates the current focus on both technology-assisted review and on “Early Case Assessment” (see Section 2.4.5), so it is not surprising that the details of the model are perhaps better suited to explaining linear review than to explaining more recent developments. Nonetheless, the EDRM Reference Model is useful to information retrieval researchers precisely because of such limitations — by capturing the ways in which e-discovery practitioners have traditionally thought about the process, the EDRM Reference

Model can serve as a useful guide for helping to interpret the legal literature on this topic.

2.4 An IR-Centric E-Discovery Process Model

In the remainder of this section, and throughout this survey, we adopt a view of the E-Discovery process that is both broader and more focused than that of the EDRM Reference Model, one that is crafted to specifically focus on the potential points of impact for information retrieval research.³¹ Our perspective is broader than that of the EDRM Reference Model because we start with the formulation and interpretation of the production request, one of the principal points of contact between e-discovery and information seeking behavior research. Our perspective is narrower than that of the EDRM Reference Model in that we focus sharply on information retrieval tasks that produce five key results: (1) the production request, (2) the collection to be searched, (3) the responsive documents in that collection, (4) among the responsive documents, those that are subject to a claim of privilege, and (5) the insight that results from interpreting the contents of a production. The tasks in our process model each fundamentally implicate IR research, and each will have some place in any comprehensive E-Discovery process model. Figure 2.2 depicts this model.

2.4.1 Formulation: Creating Production Requests

The first stage of an e-discovery process begins with the production request. The request resembles what in IR evaluation is called the topic, and what Taylor referred to as the “formalized information need” [137]. Although in fully automatic IR evaluation it is common to create a query automatically from the topic, that is not how production requests are intended to be used in e-discovery. Rather, it is expected that the producing party will manually interpret the production request and then engage in whatever query formulation and result review process is appropriate to properly respond to the request (possibly in consultation

³¹ Conrad [41] offers another alternative model.

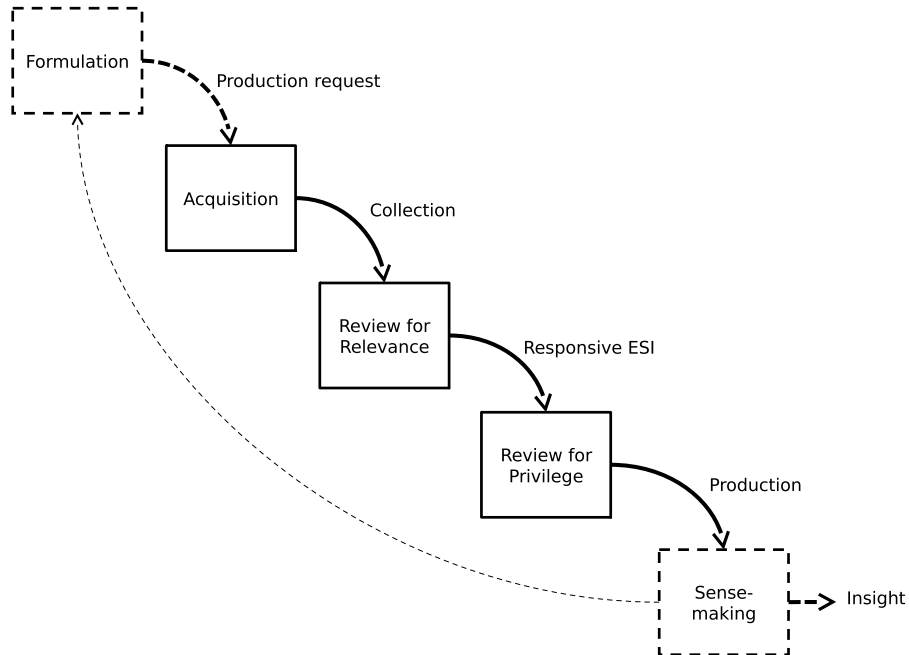


Fig. 2.2 An IR-Centric E-Discovery process model. Dashed lines indicate requesting party tasks and products, solid lines indicate producing party tasks and products.

with the requesting party). In that sense, a production request is more akin to the sort of topic statement that is presented to a user in an interactive IR user study. The meet and confer between the parties, described above in Section 2.1, occurs during this stage.

2.4.2 Acquisition: Assembling the Collection

Once the content and scope of the production have been agreed upon, the producing party must assemble the collection to be searched. Because the domain from which the collection could be drawn is potentially huge, a drastic winnowing of this material takes place in which specific inclusion and exclusion criteria are used to bring the task down to a manageable degree of complexity and (hopefully) to bring the resulting collection down to a manageable size. These criteria (often referred to by lawyers as “filters”) focus on information systems,

custodians, date ranges, and file types. Sometimes, the presence of specific terms is also required.³²

It is worth reflecting on the implications of this winnowing process for the comprehensiveness of a production. Typically, when we evaluate comprehensiveness (or, as it is more formally known, recall), we consider (and sample) only the collection at hand — that is, the set of documents collected after the winnowing process. It may be, however, that there are responsive documents amongst the chaff that has been winnowed. For instance, a custodian that organizational analysis had identified as not related to the case may unexpectedly hold relevant information (e.g., because they were cc'd on some relevant e-mail message) [160]; or there may be documents on backup tapes that are no longer held on spinning disks; or what were thought to be system files based on file-type identifiers (e.g., .bat or .exe) may actually have been documents that some bad actor had sought to conceal.

The bar to including some of these missing sources may be the practical expense of obtaining specific types of ESI (e.g., deleted files on personal hard drives). But insofar as readily accessible documents have been filtered out simply to make the resulting collection smaller, we should realize that such decisions raise risks regarding recall and that these risks may not be well characterized. Moreover, the costs of crafting algorithms to avoid collecting specific types of content may actually exceed the costs of storing and automatically searching that content, since automated techniques allow large collections to be searched for a relatively small marginal cost when compared with smaller collections.

It should be noted at this stage that, while good records management practices can, in some cases, reduce the expense and increase the reliability of discovery, it is rarely the case that a production

³² An example agreement on the requirements for the search protocol is *Oracle America, Inc. v. Google Inc.*, 10 Civ. 03561 (N.D.Cal. Dec. 17, 2011) (“Response to re 56 Case Management Scheduling Order”) (Document 67 of <http://dockets.justia.com/docket/california/candce/3:2010cv03561/231846/>), which specifies that the producing party must include search terms specified by the requesting party in their search, as well as discussing handling of custodians and of privileged documents. More recently, a court has approved a process in which keyword filtering was used to construct a collection, which was only then entered into a predictive coding system; see *in re: Biomet M2a Magnum Hip Implant Prods. Liab. Litig.*, NO. 3:12-MD-2391 (N.D. Ind. Apr. 18, 2013.)

request can be satisfied simply by running searches in a records management system.³³ There are two reasons for this. First, the scope of e-discovery simply exceeds the scope of records management in that records management is applied only to “records” of activity that have recognized value at the time of their creation, use, or disposition, whereas e-discovery applies to all ESI regardless of whether its value was previously anticipated. Second, in some organizational settings (notably, in businesses) records management is informed not just by anticipated value but also by risk management decisions.

Recognizing that retaining and managing information incurs costs (both financial costs such as for storage, and other types of costs such as the risk of unauthorized disclosure of sensitive information), the law allows organizations to destroy information when it is no longer required in the ordinary course of business. There are two exceptions to this broad permission: (1) information that may be relevant to reasonably anticipated litigation cannot be destroyed, and (2) some information is required to be retained for defined periods by law or regulation. Businesses seeking to limit risk are wise to avail themselves of their right to destroy information before the threat of litigation arises, a fact that information retrieval researchers (who naturally tend to focus on the value of finding things over the value of not being able to find things) often initially have difficulty understanding. Destroying information in a records management system may not, however, destroy all copies of that information. So implementation of a process for authorized destruction of centrally stored records could, in at least some cases, simply increase the need to look beyond the records management system for information that may still exist elsewhere that is responsive to a production request [96].

³³ A records management system is a system for capturing, preserving, and disposing of business records produced by a company or organization. Frequently extended nowadays to an “Electronic Document and Record Management System” (EDRMS), to incorporate the management of (electronic) documents as they are being created and used, not only when they become business records. See “Implementing an EDRMS — Key Considerations,” National Archives of Australia, 2011, <http://www.naa.gov.au/records-management/agency/digital/EDRMS/index.aspx>

2.4.3 Review for Responsiveness: Finding the Relevant ESI

Review for responsiveness is the stage that is most similar to a standard information retrieval process, although there are important differences in the nature of the query and the querier (detailed, expert, and time-committed), the nature of the production (set-based, and possibly very large), and the measures of success (emphasizing recall over precision). The goal of review for responsiveness is to produce a set of relevant documents. The definition of relevance has traditionally been a legal judgment of an attorney for the producing party who must certify that the production is complete and correct. Production protocols are, however, increasingly providing for validation processes that also involve the requesting party.

Collections assembled from many sources will naturally contain duplicates: the one e-mail sent to many recipients; the one contract held in many folders; and so forth. For example, in the TREC Legal Track Enron collection (see Section 5 on *Evaluation Resources*), 63% of the e-mail messages were classed by the organizers as duplicates of other messages in the collection [42]. *De-duplication* is therefore first applied to identify a canonical version of each item and then to simply record every location where that item was found [80, 100]. De-duplication serves several purposes, including reducing collection size, preventing manual reviewers from having to review one document multiple times, limiting redundancy in training data for automated classification techniques, and supporting social network analysis (by noting which custodians held identical ESI). The focus at this stage is typically on “exact,” bitwise-identical duplicates (perhaps after some transformations to normalize formatting and to remove incidental content such as e-mail message path header fields that may cause inconsequential variations in otherwise identical ESI). Referring to this as de-duplication (as is common in e-discovery) is perhaps somewhat misleading; what is really meant is “duplicate detection.”

How the review process itself is carried out depends upon the method employed, be it linear review, keyword search, or technology-assisted review (Section 2.2). We focus in this survey on technology-assisted review.

2.4.4 Review for Privilege

After the review for responsiveness, a subsequent review of the responsive documents for privilege will often also be needed [121]. In a full manual review, review for privilege might be conducted at the same time as review for responsiveness, or it might be conducted as a separate step. Even in technology-assisted reviews, review for privilege is frequently performed as a separate, manual review, as attorneys may be skeptical of the reliability of automated privilege review. Moreover, since assessments of privilege can require expert legal knowledge, privilege review can be particularly expensive.³⁴ Only documents that are to be produced must be reviewed for privilege; but production sets can be quite large.

As a result of these factors, review for privilege is one of the major obstacles standing in the way of lowering production costs through the use of automated technology. The judiciary has tried to address this problem by adding the clawback provisions to rules of procedure and evidence, as discussed in Section 2.1, but technical approaches have been the focus of little work to date (though see Section 5.2.3 for the inclusion of a privilege task in the TREC 2010 Legal Track).

2.4.5 Sense-Making: Generating Insight

Once the producing party delivers its production, the requesting party's sense-making task begins [5, 169]. The ultimate goal of discovery is to find evidence of activity in the real world, not merely to find responsive ESI; it is through the sense-making process that ESI becomes evidence. The requesting party will seek to understand the so-called "5 W's:" Who, What, When, Where, and Why. *Who* involves not merely which people are involved, but also their roles and their interests. *What* involves both what happened and what objects were involved. *When* involves both absolute (calendar) time and the relative sequencing of events. *Where* involves either physical location or locations in an information system. And *why* might be established either in an explicit

³⁴ "It's the second-line review that kills us, the one for privilege; some firms try to charge us \$320 per hour for using third-year associates for this sort of work" (quoted in Pace and Zakaras [108, p. 26]).

statement from someone involved, or by fitting together pieces of a puzzle around some hypothesis. This is Sherlock Holmes' territory, and ESI provides only one part of a rich collection of sources; other potential sources include physical documents from various sources, statements and depositions from people involved, and information that is on the public record or that is otherwise available to the requesting party (e.g., from its own information systems).

As the dashed lines with arrows in Figure 2.2 (which represent requesting party information flows) indicate, this process yields two results. One possibility is that it may directly yield needed insight; the other is that it may inform the formulation of additional production requests (or it may lead to seeking additional information in some other way). Repeated iterations of requests and production are uncommon in civil litigation, though iterativity and interactivity between the parties is increasingly encouraged [145]. The darker lines in Figure 2.2 therefore indicate the primary information flows.

Figure 2.2 is a somewhat simplified depiction, omitting the parallel sense-making process that occurs throughout the process by the producing party. Unlike the requesting party, the producing party need not complete the reviews for relevance and privilege before beginning sense-making. Indeed they would be unwise to do so, because early sense-making results could help to improve their collection process and/or the accuracy of their review process. When a producing party's sense-making process is conducted early in the process, it is typically referred to in e-discovery as "Early Case Assessment" [128]. In such cases, the producing party's goals will largely mirror those of the requesting party, but with the additional goals of learning which documents should be collected and how reviews for responsiveness and privilege should best be conducted.

A broad range of tools might be employed to support this sense-making process. Some obvious examples include ranked retrieval, clustering, summarization, information extraction, data mining, gap analysis (e.g., to detect missing parts of e-mail threads), and visual analytics. Indeed, this is a natural application of the so-called "concept retrieval" tools originally marketed for the more formal review process.

2.5 For Further Reading

- The Sedona Conference is an association of legal practitioners that provides impartial commentary and recommendations on issues in complex litigation. Working Group 1 of the Sedona Conference is devoted to e-discovery, and over the years it has produced over two dozen widely-cited white papers on matters in e-discovery practice, aimed at a legal audience.³⁵ “The Sedona Principles: Best Practice Recommendations for Addressing Electronic Document Production” [141] is a good starting point.
- Scheindlin et al. [121] collect and provide extended commentary on US rules and case law across a wide range of topics in e-discovery, while Berman et al. [20] contains essays by leading e-discovery practitioners.
- Clive Freeman maintains a web page, “Electronic Disclosure,” providing links to a wide range of resources on e-discovery and e-disclosure in jurisdictions outside the USA,³⁶ while the blog of Chris Dale covers the same territory, with a focus on practice in England and Wales.³⁷ Working Group 7 of the Sedona Conference (“Sedona Canada”) produces recommendations and commentaries upon e-discovery practice in Canada, while Working Group 6 discusses disclosure issues for organizations working across multiple international jurisdictions.
- As described above, EDRM is an industry association of vendors and customers of e-discovery systems.³⁸ The EDRM Reference Model was their earliest, and still their best known, creation, but EDRM also has initiated projects on standardization, education, and other topics.
- The literature on sense-making for e-discovery is not yet as well developed as the literature on review for responsiveness;

³⁵ <https://thesedonaconference.org/publications>

³⁶ http://www.edisclosure.uk.com/wiki_new/index.php?title=Electronic_Disclosure

³⁷ <http://chrisdale.wordpress.com/>

³⁸ <http://www.edrm.net/>

the field has yet even to converge on a way of speaking about such issues with any degree of clarity or comprehensiveness. One notable exception is Attfield and Blandford [5], which reports on workplace studies of sense-making and refinement by lawyers in an e-discovery context.

- A workshop series known as DESI (for Discovery of Electronically Stored Information) has served as a point of contact between e-discovery practitioners and technologists with a broad range of interests. The proceedings of each workshop are available online.³⁹

³⁹<http://www.umiacs.umd.edu/~oard/desi5/>, which also has links to earlier workshops.

3

Information Retrieval for E-Discovery

David Lewis has observed that pretty much all of e-discovery is classification.¹ When limited in scope to review for responsiveness and privilege, this is largely true. The problem of determining whether some ESI is responsive to a request is a binary classification problem for the simple reason that in the end, the document must either be determined to be responsive (and thus to be considered for production) or not to be responsive. The problem of determining whether some responsive ESI is subject to a proper claim of privilege (and thus to have its existence disclosed, but not to be produced, or to be produced only after some redaction has been applied) is similarly a binary classification problem. That is not to say that ranking techniques might not be useful as a tool for supporting decisions regarding relevance or responsiveness, but ultimately those are indeed binary classification tasks, whether the final decision is to be made by human or by machine.

This formulation begs one important question, however: what, in this context, do we mean by “some ESI?” In particular, we need

¹Said in a talk at the SIGIR 2011 Information Retrieval for E-Discovery (SIRE) Workshop.

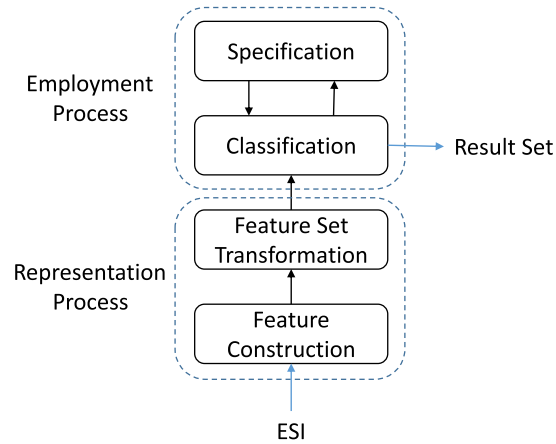


Fig. 3.1 Four layers of the classification process. The bottom two layers result in a representation of the ESI on which classification can be performed; the top two layers produce the classification result.

to define the unit of retrieval. That, therefore, is where the story of Information Retrieval (IR) for e-discovery must begin (in Section 3.1). That’s followed by a description of issues that arise with teasing apart embedded ESI (in Section 3.2). The classification process then proceeds in four stages, as illustrated in Figure 3.1. We focus first on representing ESI in Section 3.3, then on specifying to a system what ESI needs to be found in Section 3.4, and finally on actually finding that ESI (in Section 3.5). The section concludes with descriptions of some related tasks, including broadly useful capabilities for grouping ESI (in Section 3.6) and specific tasks such as acquisition and production that occur earlier and later in the e-discovery process (in Section 3.7).

3.1 Defining the Unit of Retrieval

Justice Antonin Scalia of the U.S. Supreme Court has written “In our favored version [of an apocryphal story], an Eastern guru affirms that the earth is supported on the back of a tiger. When asked what supports the tiger, he says it stands upon an elephant; and when asked what supports the elephant he says it is a giant turtle. When asked, finally, what supports the giant turtle, he is briefly taken aback, but quickly

replies ‘Ah, after that it is turtles all the way down.’”² The situation with units of review for e-discovery bears some resemblance to that story.

The Sedona Conference Glossary defines a *document family* to be “A collection of pages or files produced manually or by a software application, constituting a logical single communication of information, but consisting of more than a single stand-alone record” [147]. Common examples of document families include the scanned pages of a book, a cover letter along with any attached documents, or an e-mail message along with its attached files. In e-discovery, the unit of Electronically Stored Information (ESI) that is subject to production is generally understood to be the document family, not the individual file (i.e., not the page of the scanned book, the cover letter alone, or the e-mail message without its attachments).

A document family is therefore the information object for which decisions about responsiveness and privilege must be made. That is not to say, however, that those decisions should be made in isolation. Consider, for example, the case of an e-mail message, the only content of which is “sure — let’s do it!” It matters a great deal whether the message being replied to had proposed murder, malfeasance, or lunch. For this reason, it is common to group e-mail messages into threads, and to make initial decisions about the threads. Similarly, a decision that some attachment is responsive might lead to a conclusion that other copies of the same attachment might be responsive. For this reason, it is common to identify duplicate documents and to make initial decisions about each unique item.

Similar examples of grouping documents for the purpose of review abound in e-discovery. Even the common practice of selecting the custodians³ from whom documents should be collected is a coarse-grained way of grouping documents and deciding on entire sets at once. When

²Rapanos v. US, 547 US 715 (2006).

³The term *custodian* is often used generically in e-discovery to refer to a person having control over specific ESI. The term does not necessarily imply physical control; the owner of an e-mail account for which the messages are stored on a central server is often referred to as a custodian of the ESI in that account.

reviewing so-called *loose files* (i.e., documents in a file system, as opposed to documents attached to an e-mail), entire directory trees might be removed from consideration. A “.zip” archive containing many expense reports might be excluded after examining only a few of the reports. The unit of review need not, and often does not, equate to the unit of production. In other words, just because it is document families that are produced does not mean that it should be document families that are reviewed. Reviews can reasonably work with both finer-grained sets (e.g., individual attachments) and coarser-grained sets (e.g., e-mail threads), at least initially.

From an information retrieval perspective, document granularity is an important design decision. In a typical information retrieval research setting, the boundaries of a document seem self-evident. In a library catalog, we might seek to find books; in newspapers, articles; on the Web, Web pages. But document granularity has always been with us to some degree: the one book might be available in different editions, some newspaper articles are part of a series of articles on the same topic, and Web pages are often organized into Web sites. The question of granularity is not new to information retrieval; what is new is the attention it demands in e-discovery.

In e-discovery, much of the publicly reported experimentation has worked with document-based measures. An exception was the TREC Legal Track’s Interactive task in 2009 and 2010, which focused on document families; specifically, on e-mail messages together with their attachments [42, 64]. Exploitation of e-mail threads has most often been discussed in the context of redundancy suppression (since threads often contain redundant quoted text, reviewing the later messages in a thread might obviate the need to review earlier messages) [81] or as a way of grouping messages for display [74]. The direct use of threads as unit of retrieval has been reported in other settings [50], but we are not aware of its reported use in e-discovery. Moving beyond the domain of primarily unstructured textual documents, retrieval from databases and other structured data sources poses even more complex challenges in determining the unit of retrieval [149]. The work on evaluation of retrieval from XML documents offers some insight on this question [54].

3.2 Extraction of Embedded Content

Documents can be embedded inside other objects, and identifying, extracting, and separately processing embedded content can be beneficial. Attachments are easily separable from e-mails, and compressed (e.g., .zip) archives can be expanded. Documents can also be embedded inside other documents, as in Microsoft's Object Linking and Embedding (OLE) standard, where (say) a chart from a spreadsheet can be embedded in a Word document.

An important special case in e-discovery is the embedding of one e-mail message within another, sometimes as an explicit attachment, but more commonly as quoted text. The format for quoting responded-to text differs between different e-mail client systems, and it can vary depending on whether a message is replied to or forwarded. Nevertheless, a small number of format parsers can accommodate the formats of the vast majority of messages in any one collection. Since responders can generally edit the e-mail they are responding to, issues of authenticity and completeness arise; and the embedded e-mail may be reformatted and lose its original attachments. E-mails recovered from such embedding are often called *hidden e-mails* because simply indexing each stored message could miss some messages (or parts of messages) that are "hidden in plain sight" within other messages, and which may not be otherwise present in the collection.

3.3 Representation

Once the unit of retrieval has been decided, and embedded documents have been extracted, the next question is how best to represent these units to support the classification task. In information retrieval, this process is often referred to as "indexing," a term which places emphasis on the construction of data structures to support rapid responses to queries. We prefer the term "representation" because it places the emphasis on what aspects of the units of retrieval can be used as a basis for classification. Information retrieval researchers have long experience with content-based retrieval in which the representation is built from counts of term occurrences in documents, but specialized systems also

use other features (e.g., metadata found in library catalogs, the link structure of the Web, or patterns of purchase behavior). Borrowing a term from machine learning, we might call the process of crafting useful features “feature engineering” [123]. As Figure 3.1 illustrates, feature engineering involves two tasks: construction of potentially useful features, and (often) transformation of the resulting feature set to accommodate the capabilities and limitations of the classification technique that will be employed. Four broad types of features have been found to be useful in IR generally over the years: content; context; description; and behavior. Content is what is inside the document itself; the remaining three are varieties of metadata.

3.3.1 Content Representation

What constitutes a document’s content varies depending upon document type; text predominates, but other media forms occur, and even text comes in multiple forms.

In representing text, common processing techniques such as the removal of stopwords and stemming are as applicable in e-discovery as in other applications, though care may need to be taken to account for domain-specific terminology and acronyms. Term weights are calculated in the usual way, giving emphasis to terms frequent in a document but rare in the collection [116]. In e-discovery, semi-structured text is common, particularly in an e-mail’s wide range of header fields and body segments (e.g., new text, quoted text, automatically inserted signature, boilerplate disclaimers); representations that respect this structure can be useful.

Mixed-language content, either within or between documents, can pose challenges, as available machine translation resources may not be suited to the genre (e.g., e-mail) or content (e.g., terminology unique to an industry or organization). For the most part, however, standard techniques from cross-language information retrieval can be used. These include statistical alignment and dictionaries as sources of translation mappings, mapping term frequency and document frequency statistics to the query language before computing term weights, pre- and post-translation blind relevance feedback, and the use of cognate matching for unknown words [101].

The representation of spoken content for e-discovery (e.g., from voice-mail) poses no unusual challenges to standard speech retrieval techniques, such as speaker adaptation (e.g., training speech recognition to optimize accuracy for the owner of a voice-mail account) and the use of phonetic matching for out-of-vocabulary terms [105].

Scanned documents are becoming markedly less prevalent in discovery generally, but they are still more common in e-discovery than in many other retrieval tasks, in part because it is common to find scanned documents as attachments to e-mail messages. Layout analysis can help to extract fields with particular semantic interpretations (for instance, to identify the from address in e-mails that have been included in the collection by printing and scanning, as was common practice in the past) [125]. Other techniques from document image retrieval are applicable, such as Optical Character Recognition (OCR), statistical correction of OCR error effects, and character n -gram indexing (to accommodate moderate character error rates) [45]. Specialized techniques such as signature matching or handwriting recognition can also be useful for identifying document authors and annotators [174]. Handwritten content is easily detected, but not as easily deciphered [91].

Representing image content in specialized ways can be useful when processing still and moving images. For example, face matching techniques (e.g., eigenface) can be used to identify photographs of a specific person [172], and specialized activity detection algorithms (e.g., automated detection of moving objects in surveillance video) can be used to focus a reviewer's attention on those portions of a long video that are most likely to contain specific evidence that is sought [97].

Indeed, it is possible to imagine some e-discovery application for almost any information retrieval content representation technique. Music fingerprinting [158], for example, might be useful for cases in which copyright violations in the course of file sharing are alleged; techniques for representing the topical expertise of individuals who have authored scientific articles [9] might be useful in a patent infringement case; and a standardized representation for mathematical formulas could help to find spreadsheets that implement specific types of financial models. Although e-discovery does place greater emphasis on some

content representation issues than has been the case to date (e.g., by focusing attention on the consequences of gaps in the lexical coverage of translation resources for high-recall search when representing mixed-language content), there is in general little about content representation that is unique to e-discovery.

3.3.2 Contextual Metadata

Defined succinctly, contextual metadata is any representation that serves to characterize the context within which some content was generated. Much contextual metadata is inferred, and even some apparently explicit metadata requires interpretation (for instance, knowing the time zone to which a timestamp belongs). The document family to which a document belongs is a fundamental form of context; for instance, the e-mail to which a document is attached. E-mail header fields offer rich sources for context, such as authorship, recipient, and date of transmission [82]. Other document types also provide contextual metadata, or can have contextual metadata inferred for them. File systems store file creation times; some file types (e.g., Microsoft Word) can store version history information, allowing earlier versions of a document to be recreated; and near-duplicate detection systems may enable the recreation of version-of relationships between files that are not physically connected in this way [68].

A particularly important type of contextual metadata for e-discovery is authorship. Authorship is often indicated by explicit metadata, or it may be stated within the file itself. But authorship can in some cases also be inferred using other evidence from content (e.g., based on patterns in syntactic or lexical choice and/or systematic variations in spelling or layout) [76]. No one source of evidence is perfectly accurate, but when several sources are used together it may be possible to infer authorship with a useful degree of reliability. Indeed, even when authorship is indicated clearly (as in an e-mail From line), it can sometimes be useful to look for confirmatory evidence from other sources, simply because many types of metadata are rather easily forged. Also of importance in e-discovery is the custodianship, another form of contextual metadata [160].

From this discussion, we can identify three broad classes of contextual metadata: time-document associations (e.g., date written), person-document associations (e.g., the person who stored an e-mail message), and content-content associations (e.g., reply-to relationships). Some of these types of contextual metadata may be useful in the acquisition stage (e.g., time and custodian are often used as a basis for culling document sets prior to review). All of these metadata types are potentially useful as a source of features for use by a classifier, since some patterns in the values of these features could be associated with the events in the world that are the ultimate focus of the e-discovery process.

3.3.3 Descriptive Metadata

A broad definition of descriptive metadata is metadata that directly describes, but is not part of (nor automatically generated from), the content of an item. Any form of content-indicative annotation or tag for a document constitutes descriptive metadata (e.g., written notes from a meeting that was recorded as an audio file, or a descriptive file name for an office document).

A common source of descriptive metadata in e-discovery is a company's document retention schedule, which is created and used by records management professionals to identify how long content must be retained and how it is ultimately to be dispositioned. Retention schedules are based on the business purpose of a document, or on legal, regulatory, or policy requirements; for instance, some financial information must be retained for seven years to comply with tax laws. The assignment of an item to a retention schedule is indicative the type of content of an item, and thus constitutes descriptive metadata.

Descriptive metadata is also created when users categorize or organize information at the time of its creation or handling. For instance, U.S. federal government e-mail systems are required to provide functionality for grouping e-mails by business purpose.⁴ Less formally, some e-mail users store their e-mail in folders, and office documents in directories, with names that describe the content of the

⁴36 C.F.R. §1234.24(b)(1).

messages (e.g., “project1,” or “contracts”) [110]. More sophisticated tagging systems may also be provided, for instance by corporate content management systems. Experience suggests, though, that requiring users to follow some predefined tagging scheme will often meet with limited success (because the benefit accrues not to the user creating the metadata, but rather to some future searcher).

3.3.4 Behavioral Metadata

Behavioral metadata, loosely defined, is any metadata that provides information about how people have interacted with an item after its creation. Examples of behavioral metadata include the most recent time at which a file was accessed (which is maintained by many file systems); the most recent time a document was printed (which is maintained within the document by Microsoft Office products); whether the user had designated for deletion a file that was later recovered from a disk image using forensic techniques; and whether and to whom an e-mail or attachment was forwarded [95].

Transaction logs of many kinds provide a rich sources for behavioral metadata [47]. Well-known examples in e-discovery include telephone call logs, credit card transaction records, and access control records (either for controlled physical access to a facility or for controlled online access to an information system). Behavioral profiling of Web usage is also possible, through browser history, proxy records, or server logs [71]. Transaction logs may be subject to e-discovery in their own right as ESI, but they can also provide behavioral metadata for other documents (for instance, determining whether an employee was in the office building on the night an e-mail was sent).

3.3.5 Feature Engineering

Bearing those four types of features in mind can help designers to identify potentially useful features, but building an actual working system, also requires making many detailed choices about data cleaning, feature construction, and feature representation. It can be useful to consider the feature engineering process as having three fundamental parts: (1) what kinds of features are needed?, (2) how will each be created?, and (3) how

should the resulting feature set be transformed before it is used [123]? Two types of feature transformations are possible: feature selection (as when removing stopwords) and more general feature transformation (as when performing latent semantic indexing). Because some classifier designs are sensitive to redundancy, feature selection and/or transformation can be key to getting good results.

These distinctions are often elided in e-discovery marketing literature, where “concept search” might refer to some innovation in feature generation (e.g., phrase indexing), feature transformation (e.g., topic modeling), or feature use (e.g., clustering for diversity ranking). Bearing these distinctions in mind may help make technical conversations with vendors more productive.

3.4 Specification

A useful representation must allow users to specify their retrieval goal in an effectively operationalizable way that ultimately can be made to conform with the representation of the ESI that is to be searched. There are two general forms this specification can take: (1) formulating queries, and (2) providing annotated examples. The two can work together: while example-based classifiers are popular, some way of choosing the initial examples is required. The discussion of specification starts, therefore, with query formulation.

3.4.1 Query Formulation

In the Cranfield evaluation methodology (described in Section 5 on *Experimental Evaluation*), a researcher is given some fixed query and their goal is to build the best possible system. That’s precisely backward from the problem faced by the practitioner, however, who is given some system and for that system must build the best possible query. Two basic techniques are known for building good queries: “building blocks,” and “pearl growing” [61, 94].

The “building blocks” approach starts with facet analysis to identify the criteria a relevant document must satisfy. For example, the production request for the TREC Legal Track’s Topic 103 asks for: “All documents which describe, refer to, report on, or mention any ‘in-store,’

‘on-counter,’ ‘point of sale,’ or other retail marketing campaigns for cigarettes,” from which the facets “retail marketing campaign” and “cigarette” might be identified [103]. Then the scope of request must be determined — a particularly important step in the adversarial advocacy structure of U.S. litigation. For instance, are “electronic cigarettes” included in the scope of “cigarettes?” Deciding scope may require the judgment of the overseeing attorney, or negotiation with the requesting party. Once scope is decided, alternative vocabulary is identified, which can be done using thesauri, through automated suggestion of statistically related terms in the collection, or with the aid of linguists, business sociologists, and domain experts.

An alternative approach is known as “pearl growing,” the key idea of which is iterative query refinement through the examination of documents. Initial queries are typically both overly narrow (missing relevant material) and overly broad (including irrelevant material). For instance, the querier may not have known that Juana De Los Apostoles Covadonga Smith oversaw cigarette marketing campaigns at Philip Morris International (a tobacco company), making their query too narrow; having learned this association from documents that were returned, the name could be added to the query. Conversely, the querier may have included PMI as a query term (intending Philip Morris International), not realizing that it is also an acronym for the Presidential Management Intern program [16], making their query too broad; after seeing many unrelated documents about interns in the results, a negative qualifier could be added to exclude such documents. Refinement can also be performed on context, description, or behavior features.

Brassil et al. [25] claim that both facet analysis and iterative refinement are central to effective e-discovery. Pearl growing by itself is not particularly good at finding previously unknown aspects of a topic; achieving sufficient diversity therefore requires first applying something like building blocks, and then refining the initial results using something like pearl growing.

3.4.2 Learning from Examples

An alternative to retrieval specification using explicit queries is to automatically learn a model from annotated examples using supervised

machine learning. Typically, the user interacts with such classifiers by annotating examples of relevant and nonrelevant documents; the classifier then learns which document features (Section 3.3) are predictive of relevance. Both positive and negative examples can be useful for training a classifier. When relevant documents are a relatively small proportion of the collection, however, an insufficient number of positive examples might be obtained by a random sample [86]. Moreover, a fully automated classifier cannot learn the importance of a feature that it never sees in an example. The query formulation strategies described above (Section 3.4.1) can be useful in locating a sufficiently rich and diverse initial (or “seed”) set of examples. Some e-discovery practitioners, however, prefer to select the seed set by pure random sampling to avoid the (actual or perceived) potential for classifier output to be biased by the choice of query.

3.5 Classification

The basic structure of the production process in e-discovery is two-stage cascaded binary classification. The first stage seeks to partition the collection into responsive and non-responsive documents (Section 2.4.3); the second stage seeks to partition the responsive documents into those that are subject to a claim of privilege and those that are not (Section 2.4.4). For each stage, the classifier requires a decision rule that separates the two classes. The classification can be performed by human reviewers, or automated using a hand-built set of rules, but the use of machine learning for text classification is becoming increasingly prevalent [124]. The classifier may directly produce the binary classification, or it may instead produce a ranking by decreasing probability (or degree) of relevance, and leave it to humans to determine the cutoff point. The ranking approach may be well suited to protocols in which most or all of the production will be checked by humans before being produced. The use of classifiers to support review for responsiveness has received considerable attention, but far less has been published on the use of automatic classification for privilege. Some initial exploration of automating privilege review is reported in Cormack et al. [42], but much more remains to be done.

Many classifiers aim to identify a single class of documents, whereas multiple subclasses may actually exist. For instance, a multi-national company may have documents in many languages. In such cases, it may be more effective to build a separate classifier for each language. There also may be several aspects to a request (e.g., designing a marketing campaign, reporting on its success, or considering its legal ramifications), and separate classifiers might best be applied to each aspect. The results of the separate classifiers can then be combined (perhaps by a simple set union) to form the responsive set. Although not often a principal focus of the research literature, classifier development in the real world typically requires attention to data cleaning so that the classifier is not misled by inconsequential phenomena, such as typographical errors or formatting conventions.⁵

Many classifier designs learn statistical models that are not easily interpreted or directly tunable by people. For instance, a support vector machine learns a separating hyperplane in a transformed multi-dimensional feature space [73], while (supervised) probabilistic latent semantic analysis infers a generative model of words and documents from topical classes [10]. There are, however, classifier designs that yield decision rules that are at least somewhat interpretable. Examples include rule induction [133], association rule learning [1] and decision trees [111]. Unfortunately, the less explainable statistical text classifiers also tend to be the most effective [46].

When the model built by an automated classifier is not easily interpretable, the use of example-based statistical classifiers places a heavy emphasis on evaluation to guide classifier training and to assure classifier effectiveness. The oft-cited admonition of Lord Kelvin that “if you can’t measure it, you can’t improve it” is a fundamental truth in machine learning (though the obverse is not necessarily true!). Limitations in our ability to measure relative improvements would therefore tend to limit the effectiveness of learned classifiers, and limitations in our ability to measure effectiveness in some absolute sense would limit our ability to make well informed decisions about when to stop adding training examples.

⁵See Google Refine (<http://code.google.com/p/google-refine/>) for an example of a data cleaning tool.

Classifiers are frequently trained iteratively, by adding more annotated examples until some level of measured reliability is achieved. Examples to be added to the initial seed set can be selected by simple random sampling, or else the classifier itself can suggest which examples should be annotated next, in a process known as active learning. In active learning, it is typically the examples that the classifier is most unsure about that are selected for annotation. Active learning generally requires fewer training examples than random or passive learning [86]. Iterative training workflows may also include a step where the user is asked to review inconsistent or outlier assessments [106].

3.6 Clustering

Clustering helps to address cases in which decisions can and should be made on an entire set of ESI at once. These may be final decisions (e.g., to mark each document family in a set of exact duplicates as responsive or as not responsive) or they may be intermediate decisions in some staged decision process (e.g., to include all documents held by some custodian). As that second example illustrates, we use *clustering* with the broadest possible interpretation to mean any way of grouping anything. Clustering is often used with a narrower meaning in information retrieval to mean the application of unsupervised learning techniques to cluster similar (but not necessarily identical) items based on content or metadata. Our broad definition subsumes that narrower one, but we find the broad definition to be useful because many of the ways that items are actually grouped in e-discovery today would not fall within the scope of the narrower definition.

3.6.1 Exact Duplicates

The most straightforward form of clustering is the detection of exact duplicates. The term “exact” is perhaps somewhat of an overstatement, since inconsequential differences are often ignored. For example, an e-mail message that contains Chinese characters stored as Unicode may be an exact duplicate of the same message found in another information system in which the Chinese characters are stored in some other encoding (e.g., GB-2312). Detecting exact duplicates amidst

inconsequential variations requires (1) precisely defining which types of variations are to be considered inconsequential, (2) preprocessing each item to normalize the representation of each type of inconsequential variation, (3) detecting bitwise identical normalized forms, (4) constructing any metadata for members of the set that may be needed to support future computation.

One common example of this in e-discovery is detection of exact duplicate e-mail messages. At least five potential sources of variation arise in that task. First, as noted above, messages that were acquired from different e-mail systems may use different character codes to represent the same characters. Second, messages that have the same attachments may have those attachments stored differently (e.g., as MIME in one system, but as linked database records in another system). Third, some copies may be partial, as in the case of the recipient's copy of an e-mail message (which will lack any bcc field that may have been present in the sender's copy) or a "hidden e-mail" recovered from text that was quoted later in a reply chain (which may have the sender and the time sent, but not any indication of whether there were cc addresses). Fourth, e-mail messages typically contain path fields in their header to allow the route that a message followed to be traced, so naturally messages received by different servers will have different path headers. Fifth, different copies of the same e-mail message may be formatted differently for display (e.g., with line breaks in different places to accommodate different limitations of display devices). This list is not complete; many other types of variations might occur that could be considered inconsequential in some settings (e.g., rendering the names of months in different languages).

Once representations have been normalized, detection of exact duplicates is typically straightforward. The usual approach is to use a hash function to generate a fingerprint for each message, and then (if an absolute assurance of accuracy is required) to examine the normalized form of every message that shares a common fingerprint to verify that it indeed is bitwise identical to the other documents in that set. The advantage of this approach is that it is computationally efficient, requiring only $O(n)$ time.

Once exact duplicates have been grouped, the metadata structure can be built. In the case of e-mail, it can be useful to record where each message was found (both for traceability of the process and possibly to support some types of social network or data flow analysis) and which copy is most complete (for use both in processing and in display). For e-mail found in personal storage systems, the location in that storage system might also be used to generate descriptive metadata (e.g., in the case of named folders) or behavioral metadata (e.g., in the case of a deleted-items folder).

Some variants of this process have been developed for other content types. Perhaps the best known is shingling, the use of overlapping subsets, to detect duplicate Web pages (which are pages that share exact duplicates of many subsets) [27]. In the four-stage framework that we have described, shingling can be thought of as a representation preprocessing step (in this case, one that is optimized for scalability). Another important special case is when external metadata may result in otherwise apparently identical items not appropriately being considered to be duplicates. This may, for example, happen when copies of the same form letter are received from different people (as often happens with public comments on proposed government regulations). In such cases, the form letter is really more like an e-mail attachment and the transmittal metadata is an equally important part of the complete item, even if that information is stored separately.

3.6.2 Near Duplicates

Detection of exact duplicates integrates well into acquisition, review for responsiveness, and review for privilege, because all are set-based operations and exact duplicate detection produces sets. So-called *near-duplicate detection* can be useful for human-in-the-loop tasks such as formulation, annotation of training data and sense-making, but at the cost of introducing some additional complexities.

The basic approach to near duplicate detection is to define some similarity (or distance) measure on pairs of items and then to group the most similar items into (possibly overlapping) clusters. Since

near-duplicate is a graded state, near-duplicates can be ranked for display purposes. The similarity measures and the decisions about how clusters should be formed could be explicitly crafted, or either or both could be learned. The similarity measure might be defined on any combination of content and metadata. For content expressed as human language, standard ways of generating term weights that emphasize the repeated use of relatively rare terms can be useful [113]. In some cases (e.g., when looking for subtle variations in contracts [120]) techniques from plagiarism detection that are based on modeling long sequences of identical or related words can be useful, both for crafting similarity measures and for highlighting differences when displaying items from a near-duplicate cluster [131]. Some common examples of clustering techniques include single link, complete link, and Ward's method [99].

When learned, such approaches are normally referred to as *unsupervised*. This is meant to distinguish such approaches from supervised approaches that learn from manually annotated examples, but it is useful to bear in mind that even unsupervised techniques are somehow guided by the designer, since all learning systems rely on some *inductive bias* to guide the learning process.

3.6.3 Thread Reconstruction

A third form of clustering that is important in e-discovery is the construction of *threads*, which are chains of replies to (and sometimes also forwarding of) messages. By grouping messages that are related in this way, threading can increase the efficiency, consistency, and accuracy of manual annotations. Automated classification can similarly benefit from threading, either by using the threads directly (e.g., through hierarchical classification) or by drawing additional indexing features from other documents in the thread (e.g., from the path in the reply chain back to the thread's root).

The e-mail standard allows, but does not require, explicit threading using the *in-reply-to* and *references* header fields.⁶ This threading information may be missing, however, due to mailers not including the

⁶The best-known algorithm for header-based threading is that of Zawinski, described at <http://www.jwz.org/doc/threading.html>

header, or to links having been removed in some preprocessing phase. Additional analysis based on detection of hidden e-mails, analysis of common subject line conventions (e.g., prepending “Re:” for replies), and temporal relationships can be used to supplement missing threading metadata. Thread reconstruction introduces some risk of conflating unrelated content (as happens, for example, when replying to an old message to start a new conversation). For this reason, it can be useful to split threads based on very long latencies or apparent topic shifts between messages [75].

3.7 Other E-Discovery Tasks

David Lewis’ observation that all of e-discovery classification is useful as a way of focusing attention on the stages of the production process that are directly tied to legal definitions of responsiveness and privilege. However, the review process involves more than these two stages of classification, and e-discovery involves much more than review. This section describes several additional stages of e-discovery that either draw on, or have effects on, information retrieval techniques.

3.7.1 Acquisition

Search technology does not actually find things; what it really does is get rid of things that you don’t want to see. Anything that you wish to “find” using search technology must be something you already have, otherwise you could not represent it and thus you could not search for it. Paraphrasing General Omar Bradley, we might say that “academics talk about search; professionals talk about acquisition.”⁷ The acquisition process is both hard and important. It is hard because the information that we seek might be on any of hundreds of devices, organized in any of dozens of ways; some of it may not even be in digital form. Acquisition is important because every relevant item that we do not collect is not merely one we cannot find, but one we will not even know we missed. On the positive side of the ledger, however, acquisition is typically cheaper than review, because the unit of acquisition is a set

⁷The Bradley quote was “amateurs talk about strategy, professionals talk about logistics.”

of documents, while the unit of review is a (usually much smaller) document family [108].

The first step in acquisition is to figure out where the information might be, a process known as *data mapping* [52]. Data mapping requires understanding technical issues (such as server types and file formats), policy issues (e.g., are employees allowed to automatically forward their e-mail to personal accounts), group behavior (e.g., which work teams share files using shared network drives? which use Dropbox? which use a document management server? which just use e-mail attachments?), and individual behavior (e.g., does one of the contract managers keep personal copies of their e-mail on their hard drive to circumvent an e-mail deletion policy?). These questions can extend well beyond the remit of information technology staff; specialized teams with the organizational and technical expertise to plan and conduct an acquisition process are therefore often employed.

Information may be found in one of five broad types of systems: (1) an individual device (e.g., a PC, PDA, or memory stick), (2) an operational server maintained by the organization that is a party to the lawsuit (e.g., an e-mail server or a file server), (3) an operational server maintained by some other organization (often referred to as a “cloud service”), (4) a “backup” file system maintained for the purpose of disaster recovery (e.g., backup tapes), or (5) a specialized server for retaining, for records management purposes, electronic records that may not currently be in use. All five system types are within the scope of e-discovery, but some systems make it easier to collect information than others. It is common to begin by obtaining files from record management systems and operational servers, and to move on to more difficult sources only as gaps become apparent. There are legal standards for “reasonable accessibility” that do not routinely require heroic measures to recover files from hard-to-access sources, however.

Because backup file systems such as tape are designed for disaster recovery rather than records management, substantial processing can be required to make effective use of such systems for e-discovery. For example, it is not uncommon to find the same file on dozens of tapes. Until recently, backup tapes were therefore often considered not to be “reasonably accessible.” Vendors are emerging, however, that

offer standardized workflow for collection from backup media. Indeed, obtaining ESI from backups has the advantage that it can sometimes be less disruptive to the ongoing activities of an organization than obtaining the same ESI from operational systems would be. As with many aspects of e-discovery, the understanding of what is reasonable and proportionate is subject to change with developments in technology. By far the most expensive source to collect from, though, are individual devices, due to the vast number of devices in use, and the inherent difficulty of separating personal and work (and system) files.

The practice of organizing acquisitions around custodians, inherited from the age of paper records, continues to be applied today. A common stage of acquisition planning is to decide (or negotiate with the requesting party) which custodians to include and which to exclude from acquisition. One motivation for this is to decrease collection size. For similar reasons, acquisition may be limited by date range. In cases where it is as easy to collect data from all custodians and dates as it is to limit the selection, exclusion by custodian and date may, however, be a questionable strategy. With automated techniques, searching larger collections is no harder than searching smaller ones; indeed, it may actually be easier, due to the additional statistical evidence available from larger collections. There is a quantifiable cost to collecting information that is not needed, but there is also an unquantifiable risk from failing to collect information that plausibly might be relevant [160].

3.7.2 Sense-Making

Search is an iterative process, built around what is known as the “sense-making loop” [44]. Searchers learn through experience what information they actually need, what information is actually available, and what queries best match need with availability. This process is made more complex in e-discovery by the separation between the requesting party (who has the actual need) and the producing party (who interacts with the collection). But even the producing party may not at the outset know what the collection actually contains. This knowledge is necessary to inform case strategy and pre-production negotiations, in particular since the parties may choose to settle before

the cost of production is incurred. The initial sense-making loop performed by the producing party to understand their own collection is known as “Early Case Assessment” (ECA) [128].

Two core activities are important in ECA: conceptualization, and the identification of “hot documents.” Conceptualization involves understanding the contents of the collection at a high level: what sorts of documents it contains; what the vocabulary (particularly the specialized vocabulary) is; what individuals appear in the collection; how these individuals relate to each other and to aspects of the case; and how the collection might best be searched. Conceptualization is supported by a combination of algorithmic data manipulations such as clustering and by the construction of appropriate (often visual) representations of this data. This combination has come to be called “visual analytics” [78, 85, 150].

Several algorithmic manipulation tools can be used for ECA. One potentially useful type of tool is Online Analytic Processing (OLAP), which was originally developed to explore the contents of large data warehouses. OLAP allows for aggregation of data and summarization of common relationships [55]. OLAP is thus well suited to exploring metadata associated with the ESI in a collection (e.g., date, custodian, e-mail recipient) and to exploring ESI that is itself data (rather than, for example, text or images). The technology is not ideally suited to manipulating other context types — in particular, it is less well suited to speech, and image features, and it can perform only fairly rudimentary manipulations of text — but nevertheless OLAP can be a useful tool early in the process because of its scalability. Other types of tools for helping to make sense of large and diverse collections include clustering, social network analysis, association rule mining, and visualization (e.g., starfields) [65, 56].

The second core activity that in the popular parlance is bundled as a part of ECA is the identification of so-called “hot documents.” These are documents that are likely to be material to the case, and in particular documents that have the potential to help settle the case one way or the other. Identifying these documents early in the case can help the producing party to prepare for the conference of the parties, and in cases where settling the case early to avoid significant litigation

costs might be advisable, ECA may generate insights that could help with making that decision. Because this task involves search and sense-making performed by a user who actually has the information need, one key technology here is ranked retrieval.

A limitation of ECA is that it is difficult to know when it has been done well. As with any exploratory task, success is easier to recognize than failure, and indeed if the task were so well specified that failure would be easily recognized, then it would not be an exploratory task in the first place. As a result, there has to date been little work on evaluation of ECA.

3.7.3 Redaction

Rigidly treating only the document family as the unit of retrieval would mean that if even a small portion of one document were subject to a claim of privilege then the entire family that contains that document would need to be treated as privileged. The courts generally expect that if relevant portions of a document exist that are not themselves subject to a claim of privilege, those unprivileged portions should be produced. This, then, calls for a redaction process that is similar to that used when classified materials are reviewed for declassification or when documents are reviewed for release in response to a public records request such as those filed under the U.S. Freedom of Information Act.⁸

There are two broad classes of tools for supporting redaction. The first is a simple extension of text classification tools to, for example, detect privileged passages rather than privileged documents. Techniques for identifying the appropriate subdocument scope range from simple approaches based on overlapping sliding windows, to more complex approaches based on the structure of specific types of ESI (e.g., automatically detected topic shifts in recorded meetings). Redaction may also be required for some types of personal information (e.g., phone numbers), and standard tools are available for such purposes that are based either on regular expressions or on sequence classifiers (e.g., Conditional Random Fields) [33].

⁸<http://www.foia.gov/>

The other type of tool supporting redaction is one that seeks to detect inconsistent decisions about redaction on different documents. Such tools were developed over a decade ago to support redaction of classified information in scanned documents that were being reviewed for public release. Each time a redaction decision is made the decision is recorded. Then if a future redaction decision is made differently on detectably similar content, the human redactor can be notified of the discrepancy [43]. Because born-digital documents are currently far more common in e-discovery than in declassification, some adaptation of these tools to exploit the characteristics of born-digital documents might help to optimize these tools for e-discovery practice.

3.7.4 Receiving a Production

When the requesting party receives a production, they have the same problem as the producing party when they first began examining their documents: making sense of a collection. Thus, the technologies that aided ECA for the producing party can also aid sense-making by the requesting party. The requesting party has some additional challenges, however, in that the collection available to them is typically far smaller than the collection that was available to the producing party. Moreover, they are less likely to have access to the kinds of tacit (i.e., unexternalized) knowledge that the producing party could, if necessary, obtain from their own employees to help with interpretation of the content. Tools that support more advanced types of inference (e.g., entity linking or calendar reconstruction) will therefore likely be of even greater use to the requesting party than to the producing party.

3.8 For Further Reading

- Manning et al. [92] provide an introduction to information retrieval technologies that also covers topics in text classification and clustering.
- Hogan et al. [69] present one way in which the specification task might be approached that is interesting for the way it delineates the automated and manual parts of the process.

- A rich and very active professional discussion of e-discovery topics is unfolding in the blogosphere, most notably on a blog run by Ralph Losey.⁹ The legal trade press (e.g., Law Technology News) is also a useful source of insight into what's attracting attention in the field.
- Technology vendors and e-discovery service providers often publish “white papers” that seek to give some insight into the techniques that they use and that sometimes present results from internal evaluations.

⁹<http://e-discoveryteam.com>

4

Evaluating E-Discovery

As with other fields of information retrieval, research and development in e-discovery relies on the evaluation of retrieval effectiveness [156]. Moreover, the adversarial environment of civil litigation places practical emphasis on evaluation in e-discovery practice. Indeed, evaluation should be, and increasingly is, an integral part of an e-discovery production. Judges, litigants, and vendors are actively grappling with questions of protocols and techniques for evaluating the degree to which an actual production satisfies the production request. Evaluation is therefore one of the topics in e-discovery on which academic research can have a practical impact on current practice.

Broadly, evaluation serves two fundamental roles: (1) *formative evaluation* allows improvements to be recognized during system development, and (2) *summative evaluation* allows statements to be made about suitability for some task [129]. However, there are two key differences. In much of the published work on information retrieval the focus of summative evaluation has been on making statements about the *general* suitability of some technique, *relative* to some alternative technique(s), where “general” refers to some range of tasks, queries, and collections. Both generality and relativity are potentially problematic

in e-discovery, however. These limitations arise because in e-discovery the adversarial nature of litigation means that summative evaluation will sometimes need to address the *absolute* effectiveness of a *specific* production from a specific collection in response to a specific request. This aspect of evaluation can be an integral part of the process, as litigants, vendors and the courts grapple with the question of whether the protocols and techniques used in a specific case were reasonable. As a result of this imperative for absolute measures that apply to specific cases, the research on evaluation in e-discovery has to date focused much more on computation of confidence intervals (which characterize an expected range of absolute effectiveness values) than it has on statistical significance tests of relative differences.

We begin Section 4.1 by describing the methods and metrics used for evaluating the effectiveness of an e-discovery production. The size of productions, and the need for reliable measures of absolute effectiveness, make sampling and estimation important topics that we discuss in Section 4.2. Measures of retrieval effectiveness rely on human judgments of relevance, but human reviewers can be imperfect predictors of the lead attorney's conception of relevance, which leads to measurement error in our evaluation; this is the topic of Section 4.3. Finally, Section 4.4 suggests further reading.

4.1 Evaluation Methods and Metrics

The goal of review for responsiveness is to produce a set of relevant documents from the collection or corpus in the producer's possession. The effectiveness of the production can therefore be directly measured using set-based metrics (Section 4.1.1). Many statistical text analysis tools can also rank the documents by estimated responsiveness. Indeed, internally, they may work by ranking the documents first, then automatically selecting a cutoff point; or the ranking itself might be generated and reviewed by the producing party to manually select the cutoff point. It can also be useful, therefore, to evaluate the effectiveness of such a ranking using rank metrics (Section 4.1.2). While most evaluation to date has assumed binary relevance, there has been some work with graded relevance assessments (Section 4.1.3). Finally, the

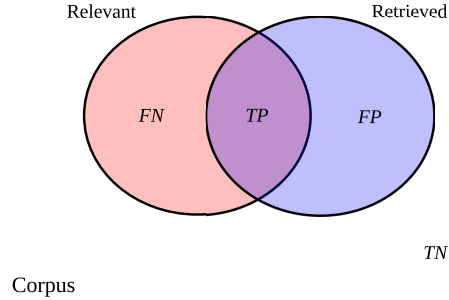


Fig. 4.1 Intersection of the set of relevant with the set of retrieved documents in a corpus.

Table 4.1. Contingency table of documents assessed as relevant (columns) and retrieved by a system (rows).

		Relevant		Total
		1	0	
Retrieved	1	<i>TP</i>	<i>FP</i>	<i>F</i>
	0	<i>FN</i>	<i>TN</i>	<i>L</i>
Total		<i>R</i>	<i>I</i>	<i>N</i>

quality of a production could be measured not just by the raw proportion of relevant documents, but by the diversity of its coverage of different aspects of relevance (Section 4.1.4).

4.1.1 Set-based Metrics

The effectiveness of set retrieval is assessed by the retrieval result's intersection with the set of relevant documents (Figure 4.1). This intersection defines four document subsets: those both relevant and retrieved (*true positives*); those retrieved, but not relevant (*false positives*); those relevant, but not retrieved (*false negatives*); and those neither relevant nor retrieved (*true negatives*) (Table 4.1).

Several metrics can be derived from these subset counts. Two metrics commonly used in retrieval evaluation are *precision*, the proportion of retrieved documents that are relevant:

$$\text{Precision} = \frac{TP}{TP + FP} = \frac{TP}{F}. \quad (4.1)$$

and *recall*, the proportion of relevant documents that are retrieved:

$$\text{Recall} = \frac{TP}{TP + FN} = \frac{TP}{R}. \quad (4.2)$$

The two metrics are in tension, since optimizing one will tend to adversely affect the other; increasing the size of the production, for instance, raises recall but generally lowers precision. Taken to the extreme, recall can be optimized by returning the full collection, and precision by returning only the one document whose relevance the system is most certain of, neither of which are optimal behaviors in practice. Therefore, any reasonable single-valued metric for set-based retrieval effectiveness must account for both false positives and false negatives. One such metric is the F_1 measure, the harmonic mean of recall and precision:

$$\begin{aligned} F_1 &= \frac{2}{1/\text{Precision} + 1/\text{Recall}} \\ &= 2 \cdot \frac{\text{Precision} \cdot \text{Recall}}{\text{Precision} + \text{Recall}} = \frac{2 \cdot TP}{2 \cdot TP + FN + FP}. \end{aligned} \quad (4.3)$$

The F_1 measure can be generalized by assigning different weights to recall and precision, forming the F_β measure [154].

Another pair of complementary metrics, frequently used in the classification and medical diagnosis literature, are specificity and sensitivity:

$$\text{Specificity} = \frac{TP}{TP + FN} = \text{Recall} = \text{True Positive Rate} \quad (4.4)$$

$$\text{Fallout} = \frac{FP}{FP + TN} = \text{False Positive Rate} \quad (4.5)$$

$$\text{Sensitivity} = \frac{TN}{TN + FP} = 1 - \text{Fallout}. \quad (4.6)$$

These are combined in the Matthews' Correlation Coefficient (MCC) [7]:

$$\text{MCC} = \frac{TP \cdot TN - FP \cdot FN}{\sqrt{R \cdot F \cdot I \cdot L}} \quad (4.7)$$

(see Table 4.1 for meaning of symbols).

Neither recall nor precision involve TN , the count of true negatives; neither, therefore, does F_1 . The true negative count is, however, included in sensitivity. The set of true negatives is predominantly made up of documents that are neither relevant nor are likely to be mistaken as relevant. The size of the set often depends more on how selective the acquisition process was than it does on the specific retrieval process that was employed. Metrics that exclude TN lose information; but they also reduce sensitivity to the characteristics of a specific collection. Recall and precision can thus be particularly useful when comparing retrieval technologies for future use, while specificity and sensitivity can be particularly useful when evaluating the results of a specific production.

Another metric that is sometimes referred to in e-discovery is *elusion*, the proportion of unretrieved documents that are relevant:

$$\text{Elusion} = \frac{FN}{FN + TN}. \quad (4.8)$$

The chief attraction of elusion as a measure of retrieval completeness is that it is straightforward to estimate via sampling (Section 4.2). Elusion, however, includes the count of true negatives, and so is sensitive to the degree of selectivity during the acquisition process. In some cases elusion provides only limited information about the completeness of a search, since in a large collection with few relevant documents a search could produce no relevant documents and yet still have low elusion.

4.1.2 Rank-Sensitive Metrics

Production in e-discovery is a set-based, binary process; a document either is produced, or it is not. However, many statistical classification techniques independently generate a degree of match (or probability of relevance) for each document, by which the documents can be ranked. In ranked retrieval, the extensible top of this ranking can be returned to the searcher. For set-based retrieval, a threshold is then selected, either implicitly by the system itself, or based on sampling and human review, and all documents ranked above this threshold are returned. The quality of the ranking that a system produces can usefully be evaluated

in either case. If a system directly estimates probabilities of relevance, then the accuracy of those estimates can be directly measured, and indeed that has been tried [42]. Most statistical classification methods, however, produce document scores that can be interpreted only as *ordinal*, and not as *interval* or *ratio* values [134]. In other words, scores produced by such systems can be useful for comparing degrees (or probability) of relevance in a relative sense, but we may not be able to easily make strong claims about the actual degree or probability of relevance of any specific document.

Rank metrics are widely used in other subfields of information retrieval, such as Web search. Such metrics, however, are generally used only to evaluate the head of a ranking, to say, depth 1,000 at most (and often to no more than depth 10), and they have primarily been used for relative, precision-centric comparisons between systems rather than absolute estimates of recall. In contrast, e-discovery productions are generally much larger than 1,000 documents, and accurate estimates of recall are required.

One approach to assess the ranking quality is to select the cutoff point k in the ranking that would give the optimal score under the set metric of interest, such as F_1 ; this has been referred to as *hypothetical F_1* [42]. An example hypothetical F_1 calculation is shown in Table 4.2. Hypothetical F_1 sets an upper bound on the achievable F_1 score of an actual production.

Another approach to extending a set-based metric to ranked evaluation is to calculate the set-based metric at different ranking depths, and then to either graph or summarize the results. Where two metrics form a complementary pair, a common approach is to graph one metric at each value of the other. Recall and precision form one such natural pair, while sensitivity and specificity form another (Section 4.1.1).

In precision-recall curves, precision is plotted on the y axis against recall on the x axis. Since multiple precision values often correspond to a single recall value, interpolation is generally performed, where the precision value for a recall point is the highest precision value at or after that point [29]. As a result, an interpolated precision-recall curve decreases monotonically by construction. An example precision-recall curve, with and without interpolation, is shown in Figure 4.2.

Table 4.2. Example calculation of a hypothetical F_1 score.

Rank	Rel	TP	FP	FN	TN	Prec	Rec	F1
1	1	1	0	2	5	1.00	0.33	0.50
2	0	1	1	2	4	0.50	0.33	0.40
3	1	2	1	1	4	0.67	0.67	0.67
4	0	2	2	1	3	0.50	0.67	0.57
5	0	2	3	1	2	0.40	0.67	0.50
6	0	2	4	1	1	0.33	0.67	0.44
7	1	3	4	0	1	0.43	1.00	0.60
8	0	3	5	0	0	0.38	1.00	0.55

A system has returned a ranking over an eight-document collection; the relevance of the document returned at each rank is shown in the second column. The third through sixth columns show the counts of true positives, false positives, false negatives, and true negatives if the ranking were to be converted into a set retrieval by cutting it off at that depth. The final three columns show the precision, recall, and F_1 scores corresponding to the set retrievals at that rank. Note that recall invariably increases with rank, and precision generally decreases. The maximum F_1 score of 0.67, occurring at depth 3, is the hypothetical F_1 score for this ranking.

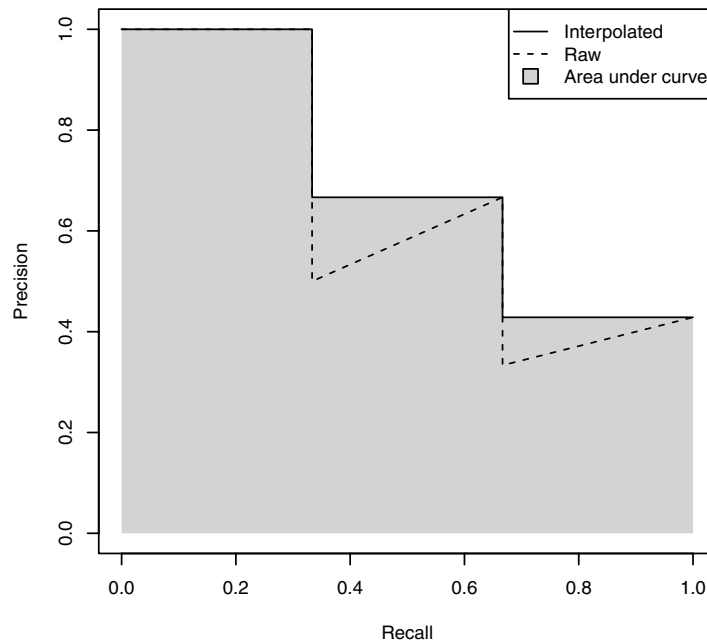


Fig. 4.2 Example precision-recall curve, with and without interpolation. The ranking being scored is the one shown in Table 4.2.

Similarly, sensitivity (the true positive rate) is plotted on the y axis against one minus specificity (the false positive rate) on the x axis, in a plot that typically rises up and to the right. This combination is known as the Receiver Operating Characteristic (ROC) curve, a name inherited from signal detection theory. Precision-recall curves are insensitive to the number of true negatives, and thus tend to emphasize precision at high rank; ROC curves are sensitive to the number of true negatives, and thus tend to emphasize effectiveness at high recall levels [42].

Precision-recall and ROC curves give a visual representation of the effectiveness of a search over multiple possible cutoff points down the ranking. For direct comparison, statistical analysis, and optimization, it is convenient to have a single numerical value to summarize the rate at which effectiveness decays as one moves down the ranked list. One way of doing this is to calculate the area under the curve (AUC). The area under the interpolated precision-recall curve is shown in Figure 4.2. A more commonly calculated area is the area under the ROC curve, so much so that this metric is often referred to simply as AUC, though we prefer the clearer acronym AUROC.

A problem with precision-recall and ROC curves, and the corresponding area-under-the-curve measures, is that their calculation requires knowledge of the relevance status of every document in the collection. Alternatives that focus on head-of-ranking measures are widely used in Web search. One such measure is average precision (AP), which is the average of precisions at the ranks at which relevant documents are retrieved, with unretrieved documents assigned a precision of zero [29]. The AP metric has a straightforward interpretation as the expected precision that a user would experience if they were to examine a ranked list from the top, stopping after seeing some number of relevant documents (where a uniform distribution is assumed over the possible stopping points) [112]. Average precision approximates the area under the full precision-recall curve because the limited influence of lower-ranked documents in the AP measure make it inherently a head-of-ranking measure. Similarly, the Patent Retrieval Evaluation Score (PRES) metric (also known as Normalized Recall) provides an approximation to AUROC that can be calculated where only the head of the ranking is available [90]. E-discovery,

however, typically requires much deeper evaluation of ranking quality. As with set-based metrics, estimates for the AUROC metric that are well suited to e-discovery must therefore be derived through sampling (Section 4.2).

4.1.3 Graded Relevance

The evaluation methods described above assume that there are no degrees of relevance, that a document is either wholly relevant or wholly irrelevant. Some documents, however, while technically relevant, will play no part in case development, while others may be crucial to the case and perhaps even will be submitted as evidence. Although review for responsiveness is a set-based task, that does not mean that errors on different relevance classes are equally problematic. Low recall would be less worrying if all the important documents were produced, while high recall could be insufficient if crucial items were missed. For this reason, an evaluation methodology that rests on the assumption that documents are either relevant or not will at best be an imperfect model of reality [79]. In addition, examining graded relevance might yield some insight into the consequences of inter-assessor disagreement (Section 4.3) because disagreement on marginally relevant ESI might be less of a concern than disagreement on ESI that is material to the facts at issue in a case would be.

The issue of graded relevance is under-examined within e-discovery, but some work has been done. In the Ad Hoc and Relevance Feedback tasks of the TREC 2008 Legal Track, and the Batch task of the TREC 2009 track, assessors were asked to differentiate between relevant and highly relevant documents [64, 103]. The distinction between relevant and highly relevant may require more legal understanding, including of case strategy, than that between non-relevant and relevant. A survey of the assessors indicates that some found the distinction easy to make, others hard [103]. Boolean search typically yielded somewhat better recall for highly relevant documents (when compared with all relevant documents), perhaps because the lawyers who constructed the Boolean queries were better able to anticipate the ways in which terms would be used in highly relevant documents.

4.1.4 Diversity

Another assumption made by the evaluation framework described above is that document relevance is independent; that is, that our belief in the relevance of one document is not influenced by our belief in the relevance of any other document. In reality, though, documents that provide the same information may make each other redundant, and ideally this should be accounted for in evaluation. Because statistical classification methods excel at finding relevant documents that are similar to the relevant documents already known to exist, it seems a plausible (though at present speculative) concern that the high recall achieved by statistical classification systems at evaluation efforts such as TREC may be overstating their true effectiveness at finding documents that shed light on each important fact. There has been considerable research in the broader information retrieval field on determining dependencies and redundancies in relevant information [36], but this question has not yet been systematically evaluated in e-discovery.

The study of retrieval diversity typically requires identification of the aspects of a topic, and of which documents belong to which aspect. One potential source of such aspects (though not of an exhaustive delineation of their populations) are the grounds for appeal lodged in the TREC 2008 and TREC 2009 Legal Track Interactive tasks. Teams appealed assessments they regarded as erroneous, and some grounds for appeal are arranged around taxonomies of (alleged) error. The taxonomies of false negatives (that is, of actually relevant documents that were judged not to be so) offer a starting ground for identifying aspects of relevance. Webber et al. [165], examining the appeals from one heavily-appealing team in TREC 2008, identified 5 classes of false negatives. Again, further work remains to be done on this issue.

4.2 Sampling and Estimation

The effectiveness of set retrieval is measured from some or all of the contingency counts TP , FP , TN , and FN (Table 4.1). In calculating these contingency counts, the set of retrieved documents is given by the production, but the set of relevant documents must be determined by human assessment. Relevance assessments are also required

for rank-sensitive metrics. Determining the full relevant set, however, would require manual assessment of the entire collection, which is not feasible. Even the retrieved sets can run to hundreds of thousands of documents, making exhaustive assessment impractical.¹ Unbiased estimates of effectiveness are derived from limited assessment budgets using the tools of random sampling, statistical estimation, and confidence intervals.

4.2.1 Evaluation Practice in E-discovery

Formerly, evaluations of the completeness of a retrieval were left up to the professional judgment of lawyers involved. Blair and Maron [22] report a revealing study of the reliability of such judgments. Lawyers acting for defendants in a real case were provided with a Boolean retrieval tool and asked to keep searching until they were confident they had found 75% of the relevant documents in their client's collection. A sample of documents was then taken from the unretrieved segment of the collection, and assessed for relevance by the same lawyers. Based upon this sample, true recall was estimated at only around 20%. This outcome should temper our reliance upon professional judgment alone for assessing the completeness of document productions.

Recent e-discovery practice has placed emphasis on the importance of statistically founded and (reasonably) objective measures of the completeness of a production, and on the centrality of sampling and estimation to such measurement [104]. In *Victor Stanley v. Creative Pipe*, Magistrate Judge Grimm remarked that “[t]he only prudent way to test the reliability of the keyword search is to perform some appropriate sampling.”² How sampling should be employed in practice to validate e-discovery productions is in the process of being worked out

¹In e-discovery practice, the producing side may in fact review all documents in the production set before production, either specifically to remove false positives, or more commonly as a privilege review in which some additional manual coding might also be performed. However, even in such cases evaluation may be required for candidate production sets before production enters the final-review stage. Additionally, when evaluation involves joint review by both parties it may be infeasible for both parties to review the entire production. In either case, a sample only of the (candidate) production set may be drawn for evaluation purposes.

²*Victor Stanley, Inc. v. Creative Pipe, Inc.*, 269 F.R.D. 497 (D. Md. 2010).

through the ESI protocols of prominent e-discovery cases.³ Common features of these protocols are: an initial, pre-review random sample of the full collection to estimate the prevalence of relevant documents (and provide a seed set for a text classifier); provisions for attorneys on both sides to consult on the relevance of both testing and training documents; and a final sample, following determination of a candidate production set, to estimate the effectiveness of the production effort.

A widely cited (but perhaps not so widely understood) estimation goal is colloquially referred to as “95% ± 2%,” by which is meant that the 95% confidence interval on the effectiveness measurement of interest (typically prevalence or elusion) should have a width of at most ±2% absolute, or 4% total from lower to upper bound. A maximum width of ±2% on an exact binomial confidence interval (Section 4.2.2) can be achieved by a sample no larger than 2,399 documents, a figure that crops up repeatedly (and, to the uninitiated, rather mysteriously) in search protocols.⁴ The actual interval is only symmetric for an estimated prevalence of 0.5, and it will become tighter the further estimated prevalence is from 0.5.

Note that the “95% ± 2%” goal states only the statistical precision with which the prevalence of relevant documents shall be measured; it says nothing about the maximum level of estimated prevalence that would be acceptable. The production protocol of *Da Silva Moore v. Publicis Groupe et al.* states only that “[t]he purpose for this review is to allow calculation of the approximate degree of recall and precision of the search and review process used,” and that “[i]f Plaintiffs object to the proposed review based on the random sample quality control results [...] [t]he parties shall then meet and confer in good faith to resolve any difficulties.” The protocol of *Global Aerospace Inc. v. Landow Aviation*, in contrast, establishes 75% recall as the “acceptable recall criterion.”

³ See the “For Further Reading” section (Section 4.4) for details of three current cases with substantial ESI protocols: *Da Silva Moore v. Public Groupe*; *In Re: Actos*; and *Global Aerospace v. Landow Aviation*.

⁴ See the detailed protocol negotiated between the parties in *Da Silva Moore v. Publicis Groupe et al.*, 11 Civ. 1279 (ALC) (AJP) at 5 (S.D.N.Y. Feb. 22, 2012) (Document 92 of <http://archive.recapthelaw.org/nysd/375665/>).

Evaluation practice is very much under active development at the time of writing. One issue that is still to be resolved is how to efficiently estimate a statistically valid confidence interval on recall. The protocol of *Global Aerospace*, for instance, appears to specify only that a point estimate of recall be made, without specifying the accuracy of this estimate; while the proposed protocol of *Da Silva Moore* (still under discussion at the time of writing) specifies a confidence interval on elusion, not on recall itself.

4.2.2 Estimating Prevalence and Precision

We start with the simplest case, that of estimating the proportion of relevant documents in the collection prior to retrieval, or in the retrieved or unretrieved segments of the collection once retrieval is complete.⁵ Applied to the retrieved segment, the estimate is of precision; for the unretrieved segments, it is of elusion. Where the segment is the entire collection, sampled typically before any retrieval is performed, then it is prevalence that is being estimated.

We also start with the simplest form of sampling, a Simple (without-replacement) Random Sample (SRS). This is a sample in which n items are drawn at random from the population of N items, in such a way that each of the $\binom{N}{n}$ combinations of n items are equally likely to be selected. One sample design that achieves a simple random sample is to draw one item at a time from the population, with each item having an equal probability of being selected at each draw. The sample of a retrieved or an unretrieved segment may be drawn after retrieval (fixed n); or a sample may be drawn from the whole collection prior to retrieval, and the segment sample induced by the retrieval process itself (variable or sub-population n) [39].

Let the size of the segment that is sampled from be N , with R relevant and $N - R$ irrelevant documents (N known, R unknown). We wish to estimate $\pi = R/N$, the proportion of relevant documents in the segment. A simple random sample of n documents is drawn. The

⁵Throughout this and the following sections, the term “segment” is used to refer to any set of documents on which prevalence (proportion of documents relevant) or yield (total number of relevant documents) is being estimated, such as the retrieved or unretrieved parts of the collection, or the collection as a whole.

documents are assessed, and r of them are found to be relevant. Then:

$$p = \frac{r}{n} \quad (4.9)$$

is an unbiased estimator of π , and $N \cdot p$ of R .

“Unbiased” is a technical statistical term, meaning that the average of p across an infinite number of resamples would be π . That an estimator is unbiased does not mean that any particular estimate is accurate; there is random variability in the set of items actually selected, and p for that set might be higher or lower than π on the segment. We therefore also need a measure of the (statistical) preciseness of the estimator; this is provided by a confidence interval.

A $1 - \alpha$ (for instance, 95% for $\alpha = 0.05$) confidence interval on π consists of a range $[\underline{\pi}, \bar{\pi}]$ within which the true value of π falls with $1 - \alpha$ “confidence”; that is, if an infinite number of samples were drawn, and an interval calculated for each, then at least $1 - \alpha$ of the intervals would include π . A two-tailed interval is one in which (roughly speaking, and again averaging over an infinite number of resamples) $\Pr(\pi > \bar{\pi}) \approx \Pr(\pi < \underline{\pi})$. (Note that the symmetry here is in probability space, not the space of the estimated parameter, and that strict symmetry even in probability space is not required, so long as the $1 - \alpha$ confidence requirement is met.) In a one-tailed, lower-bound interval, $\Pr(\pi > \bar{\pi}) = 0$; the upper bound is set to the maximum theoretically possible value of the metric estimated, which is generally 1.0.

An “exact” $1 - \alpha$ two-tailed confidence interval is formed by inverting two one-tailed $\alpha/2$ hypothesis tests that use the sampling distribution of the statistic (here, p). The Clopper–Pearson “exact” binomial confidence interval is based upon the binomial sampling distribution, and is determined by solving for p_l and p_u in the equations:

$$\sum_{k=r}^n \binom{n}{k} p_l^k (1 - p_l)^{n-k} = \alpha/2 \quad (4.10)$$

and

$$\sum_{k=0}^r \binom{n}{k} p_u^k (1 - p_u)^{n-k} = \alpha/2 \quad (4.11)$$

(setting the lower bound to 0 if $r = 0$, and 1 if $r = n$) [38].

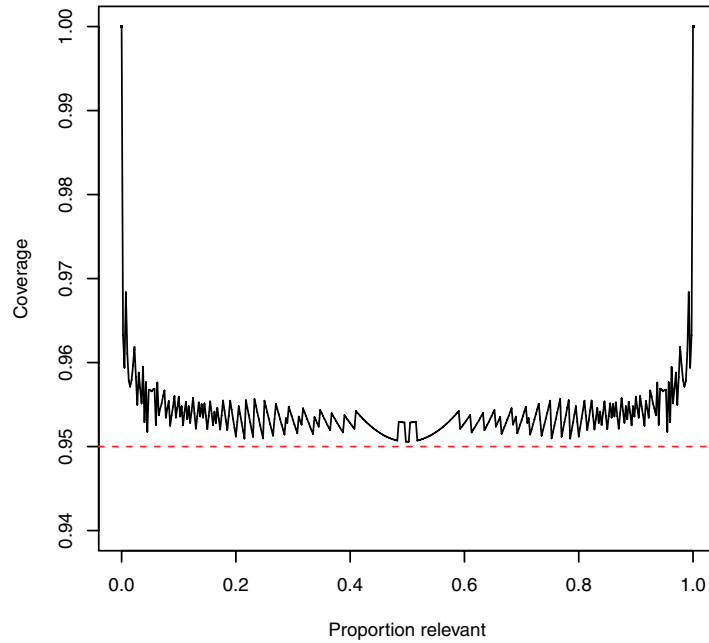


Fig. 4.3 Coverage of exact binomial confidence interval across different segment proportions relevant, for a sample size of 2,399 drawn from a segment size of 500,000.

The interval assumes an infinite population, whereas the segments being sampled from are finite in size. Thus, the Clopper–Pearson interval tends to overstate interval width; the true “exact” interval is hypergeometric [77]. Even for an infinite population, the “exact” binomial interval is generally conservative, providing intervals with coverage wider than $1 - \alpha$ [2]. For a sample size of 2,399 and a large (if finite) population, the degree of conservatism is not great, as Figure 4.3 indicates; coverage does not go above 96% unless population prevalence is below 2.5% or above 97.5% (though such extreme prevalences are observed in e-discovery, for instance when estimating elusion).

Approximate binomial intervals may be used for analytic purposes or to avoid conservatism of coverage. A simple approximation to the exact binomial interval is the Wald interval, which uses the normal approximation to the sample proportion:

$$p \pm z_{\alpha/2} \sqrt{p(1-p)/n}, \quad (4.12)$$

where z_c is the $1 - c$ quantile of the standard normal distribution (for instance, $z_{0.025} = 1.96$ for the 95% interval). The Wald interval is easy to reason with; we can immediately see, for instance, that interval width is maximized when $p = 0.5$, and that quadrupling sample size will halve interval width (true and approximately true, respectively, for the exact binomial interval as well). The Wald interval, however, is quite inaccurate, unless n is large and p is not too far from 0.5 [28]. Various other approximate intervals (such as the Wilson or “score” interval) address these problems, and offer mean (rather than worst-case) coverage at the $1 - \alpha$ level [2].

4.2.3 Estimating Recall and Other Ratios

Recall is the true positive rate, $TP/(TP + FN)$; in other words, it is a proportion of actually relevant documents that are retrieved. If we could draw a random sample from the relevant documents, then estimating recall would be no different from estimating precision [126] — but we are given the retrieved set, and have to estimate the relevant one, not the other way around.

If a uniform random sample of size n is drawn from the full population of size N , then a sub-population estimate on the relevant documents can be formed. Let tp and fn be the number of true positives and false negatives in the sample. Estimated recall is then $\widehat{\text{Recall}} = tp/(tp + fn)$. The exact binomial confidence interval is not strictly correct here, however, since sample size is variable (though in practice the inaccuracy is likely to be slight). The normal approximation (Equation (4.12)) could be used instead, though subject to the usual caveats about its accuracy. Note that in either case, the sample size to apply in the calculation is not the sample size drawn from the full collection, but the part of that sample that turns out to be relevant.

After the retrieval has been performed, independent samples can be drawn from the retrieved and unretrieved segments, and recall estimated from these samples. The samples may be drawn at different rates, with denser sampling for the retrieved than for the unretrieved segment, in order to achieve better estimates of precision and F_1 . Independent sampling at different rates leads to more accurate (that is,

lower variance) estimates of recall too, but at the cost of making the estimation process more complex. Independent estimates are made of the number of true positives \widehat{TP} (i.e., the yield of the retrieved segment) and the number of false negatives \widehat{FN} (i.e., the yield of the unretrieved segment). Recall can then be estimated as:

$$\widehat{\text{Recall}} = \frac{\widehat{TP}}{\widehat{TP} + \widehat{FN}}. \quad (4.13)$$

As a ratio between estimates, the estimate in Equation (4.13) is biased, and the bias can be substantial [164]. Work on a bias-corrected recall estimator is still to be done.

The confidence interval on recall with independent retrieved and unretrieved samples is also problematic. Webber [164] compares nine approximate two-sided recall intervals, from six families, over three representative retrieval scenarios. The interval of Simel et al. [126], which treats recall as a binomial proportion on actually relevant documents, is highly inaccurate where the retrieved and unretrieved segments are sampled separately and at different rates. The TREC Legal Track's Interactive task employed a normal approximation with propagation of error on recall [103], but this runs into the same problems as the normal approximation on the binomial proportion. Of the intervals examined, Webber [164] finds only those derived from (Bayesian) beta-binomial posteriors on TP and FP to be unbiased (giving mean coverage at nominal level with Monte Carlo simulation to the posterior on recall), and finds a prior of $\alpha = \beta = 0.5$ on the beta-binomial hyper-parameters to give the most stable and balanced intervals. Note however that these are approximate intervals; exact intervals (though likely to be conservative, and computationally expensive) are also desirable, but have not yet been derived.

Little work has been done on estimates of F_1 ; but as a function of recall and precision, it is likely to display similar behavior to, and problems as, recall. The simple point estimate derived from \widehat{TP} , \widehat{FP} , and \widehat{FN} , for instance, is certain to be biased (though how badly is not known). The beta-binomial posterior methods developed by Webber [164] for the interval on recall can be applied directly to F_1 , though their accuracy has yet to be empirically validated.

4.2.4 Stratified Sampling

If different parts of the collection, or of the retrieved or unretrieved segment, can be identified as having different expected prevalences, then the accuracy of estimates can be improved through stratified sampling. In stratified sampling, a segment is divided into disjoint strata, and a simple random sample of some fixed size is drawn from each stratum. The gain in accuracy is larger the greater the difference between strata prevalences; the biggest gain comes if the segment can be divided into very low prevalence strata on the one hand, and moderate to high prevalence strata on the other. Simply dividing the collection into retrieved and unretrieved parts using the retrieval system that is being evaluated already achieves much of this effect in estimating collection statistics, but further stratification is possible if auxiliary predictors of probability of relevance are available. The TREC Legal Track's Interactive task, for instance, extended stratification using multiple retrieval results; l retrievals define 2^l strata (some of which may be empty), with the stratum included in no retrieval result set likely having very sparse prevalence [103].

The yield (number of relevant documents) τ of a segment is the sum of the yields τ_s of the strata into which the segment is divided. If a simple random sample of n_s is drawn from the N_s documents in stratum s , and r_s of these are found on assessment to be relevant, then an unbiased estimate of segment prevalence is $\hat{\pi}_s = p_s = r_s/n_s$, and an unbiased estimate of τ_s is $t_s = N_s \cdot p_s$. In turn, an unbiased point estimate of segment yield, τ , is

$$t = \hat{\tau} = \sum t_s, \quad (4.14)$$

summing over the strata in the segment. Finally, t/N gives an unbiased estimate of segment prevalence π , where N is segment size. Unbiased point estimates of simple values such as precision, and (generally biased) estimates of ratio values such as recall, are then formed from these segment estimates in the usual way.

The simplest stratification design splits the total sample size proportionally amongst the strata; that is, $n_s = n \cdot N_s/N$. Greater estimate accuracy, however, can be gained by assigning proportionally more

Table 4.3. Example retrieval. The retrieval produces 5,000 documents from a 500,000-document collection, and has recall and precision both of 0.5.

		Relevant		Total
		1	0	
Retrieved	1	2,500	2,500	5,000
	0	2,500	495,000	495,000
Total		5,000	495,000	500,000

samples to strata where estimate variance is highest. In estimating a proportion π (such as prevalence), estimator variance is

$$\text{Var}(\hat{\pi}) = \text{Var}(p) = \frac{\pi(1 - \pi)}{n}, \quad (4.15)$$

which is greatest at $\pi = 0.5$. Therefore, assigning a higher sample rate to strata expected to have prevalences closer to 0.5 reduces estimator variance. The rate of change in standard error, $s(p) = \sqrt{\text{Var}(\hat{\pi})}$, is only minor until π is far from 0.5; $s(p|\pi = 0.2)$ is still 80% of $s(p|\pi = 0.5)$. Unretrieved strata, however, generally have prevalences much lower than 0.2; greater estimate accuracy can therefore be achieved by allocating proportionally fewer samples to the unretrieved stratum, and more to the retrieved strata.

Consider the example retrieval scenario in Table 4.3 (based very loosely on Topic 204 of the TREC 2009 Legal Track's Interactive task). Only the retrieved sets and the total collection size (the values in the rightmost column) are known to the evaluator; the rest must be estimated by sampling. Assume that the sample budget is 2,400 assessments (one more than the magic 2,399, for the sake of whole rounding). The sample could be applied as a simple random sample across the full collection of 500,000 documents. Alternatively, a stratified sample could be applied, with strata defined by the retrieved and unretrieved segments. The stratified sample could be divided proportionally by stratum size, with 1% going to the retrieved stratum (since it is 1% of the size of the collection). Alternatively, a higher proportion of the sample (say, 10% or even 50%) might be allocated to the retrieved stratum, since this is expected to have a prevalence closer to 50%, and therefore with higher sampling variance, than the unretrieved stratum.

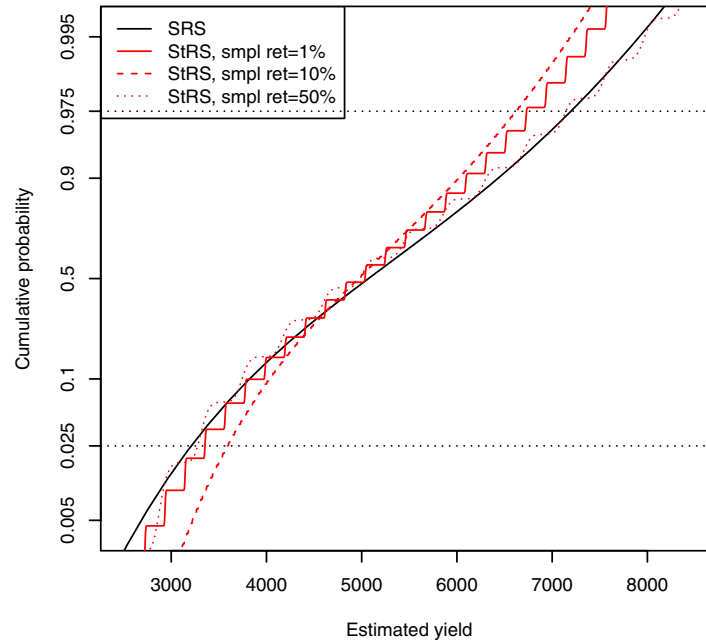


Fig. 4.4 Cumulative probability of point estimate of yield for the retrieval example in Table 4.3, for a sample size 2,400, applied either as a simple random sample across the entire collection, or as a retrieval-stratified sample, with different proportions of the sample allocated to the retrieved segment. Note the logit scale in the y (probability) axis.

Table 4.4. Sampling distribution percentiles on estimated yield, for the scenario and sampling designs in Figure 4.4.

Sampling design	Percentile		Width
	2.5%	97.5%	
Simple random sampling	3172	7190	4018
Stratified sampling, 1% to retrieved	3352	6730	3378
Stratified sampling, 10% to retrieved	3583	6622	3039
Stratified sampling, 50% to retrieved	3275	7144	3869

The effect of these different sampling choices on estimate variability for the scenario in Table 4.3 is shown via cumulative estimate probabilities in Figure 4.4. The 2.5 and 97.5 percentiles of these sampling distributions are given in Table 4.4.⁶ The true yield for the scenario

⁶These ranges are on the sample point estimates that might occur, given a known underlying scenario; they are not the same as confidence intervals, which are an inference from an

is 5,000 relevant documents, or 1% of the collection. Given a simple random sample of 2,400 documents, the 95% range of yield estimates is from 3,172 to 7,190 relevant documents, or 0.63% to 1.43% (note the asymmetry of the sampling distribution) — a width of over 4,000 documents. Even with the same proportional allocation per strata (1% to the retrieved and 99% to the unretrieved segments), stratification shrinks the interval by over 15%. Allocating a higher proportion (10%) to the retrieved stratum shrinks the interval further, by almost 25% over the simple random sampling case (and the 10% allocation, selected arbitrarily, is still not optimal); another way of looking at this is that just over half as many assessments (around 1,360, rather than 2,400) are required to achieve a sampling interval of the same width. Allocating half the samples to the retrieved stratum makes the interval almost as wide as the simple random sampling case, but would allow for more accurate measurement of the precision in the retrieved sample. In every case, using stratified sampling leads to substantial savings in effort or benefits (direct or indirect) in accuracy.

As with simple random sampling, confidence intervals under stratified sampling are more complex than point estimates. A normal approximation interval can be estimated by aggregating the per-stratum estimate variances using propagation of error [103]; however, as observed in Section 4.2.3, the normal approximation is unreliable for recall, and hence for F_1 , confidence intervals. If posterior methods with Monte Carlo simulation are used, then the posteriors and simulations are run on each stratum individually [164].

4.2.5 Unequal Sampling for Rank Metrics

Stratified sampling varies sampling probabilities by document subsets. Unequal sampling generalizes this to predicting a separate probability of relevance, and assigning a different inclusion probability, to each document. Unequal sampling is particularly attractive for rank-sensitive metrics, where different documents have different metric

observed sample back to an unknown underlying scenario, though the sampling interval widths are indicative of confidence interval widths.

weights depending upon their position in the ranking, and optimal inclusion probabilities likewise depend upon rank [4].

Some care must be taken in an unequal sampling design to set a fixed inclusion probability π_i for each document i if some fixed limit n on the total sample size must be respected. A design that achieves both goals is Sunter sampling, in which the main part of the ranking is sequentially sampled item by item with probability equal to inclusion probability, while a simple random sample is drawn from the tail of low-weight elements of sufficient size to make up the total sample size [136]. Variants of Sunter sampling were used in the TREC Legal Track Ad Hoc, Relevance Feedback, and Batch tasks from 2007 to 2009.

If an evaluation metric or other measure is the sum of scores on individual documents in a ranking then a point estimate is easily derived from an unequal sample. Such metrics include discounted cumulative gain (DCG), rank-biased precision (RBP), and (as special cases) precision at cutoff k and collection yield [72, 98]. Let π_k be the inclusion probability of the document at rank k , w_k be the weight of rank k , and r_k be the relevance of the document at rank k . Then an estimate of the metric μ is

$$\hat{\mu} = \sum \frac{w_k \cdot r_k}{\pi_k}, \quad (4.16)$$

where the sum is over all and only documents included in the sample. An estimate of collection yield is derived by setting w_k to 1 for all k .

The TREC 2009 Legal Track's Ad Hoc task reports point estimates of induced AP scores [170], but without confidence intervals. Indeed, no method has yet been described for estimating full-rank rank-sensitive metrics such as AUROC with confidence intervals for general unequal sampling. The `xinfAP` method described by [3] gives an estimate of average precision, but it works with a variant of stratified sampling, rather than with general unequal sampling. The TREC 2010 and 2011 Legal Track's Learning task calculated ROC curves and AUROC values by estimating true and false positive rates at every possible cutoff depth k , again using stratified rather than general unequal sampling [42]. If a document sampled at rank $k + 1$ is irrelevant, then this naive approach often anomalously estimates the recall at rank $k + 1$

to be lower than the recall at rank k . Aslam et al. [4] describe an alternative, more complex unequal sampling technique for estimating average precision, but it does not enforce a fixed sample size. Sunter sampling might be combined with the method of Aslam et al. [4] to provide a general-purpose AP estimation method, and with estimation of true and false positive rates at successive cutoff k [42] to estimate ROC curves and AUROC (though again with the above-cited anomalous behavior), but further statistical work is required to determine the bias and variance of this approach.

Confidence intervals under unequal sampling are also more complex than with simple or stratified sampling. Even in the simple case of a metric summed from independent document scores, inclusion probabilities are no longer independent, and hence an estimate of sampling variance must include co-variance [26]. The variance of Sunter sampling has been derived [136], as has that of AP estimation under stratified sampling [3]. To go from sampling variance, however, to a confidence interval requires the application of the normal approximation, and as we have seen in Section 4.2.3, the normal approximation interval is often inaccurate for retrieval evaluation metrics. For instance, if a sparse unequal sample through the lowest (i.e., least likely) ranks of a complete collection ordering were to produce no sampled relevant documents at these low ranks, the normal approximation inference that this (partial) estimate has zero standard error would surely be overly tight. While interesting as a research question, unequal sampling may perhaps be unlikely to be applied in e-discovery practice, due to the complexities of its calculation (and of trying to explain these complexities in court).

4.3 Measurement Error

The statistical niceties of sampling and estimation in Section 4.2 have rested upon the assumption that when we ask an assessor for a judgment on a sampled item the relevance assessment that they produce will be correct. Unfortunately, numerous studies, in e-discovery and beyond, have found that the level of agreement on relevance between assessors can be surprisingly low. Even a single assessor can make different assessments of the same document at different times. In this

section, we summarize the effect that assessor disagreement and error has upon estimate accuracy and we describe metrics of assessor agreement. Empirically observed levels of assessor disagreement and error are discussed in Section 5.4.

Assessor disagreement can affect not just the measurement of effectiveness, but (given the high degree of manual effort involved in an e-discovery production) actual effectiveness, too. For instance, the training of machine classifiers relies upon sets of human-assessed, or *annotated*, documents, and these annotations are subject to disagreement. The effect of assessor disagreement in relevance assessment on the accuracy of machine classifiers is yet to be explored in the e-discovery literature. Nevertheless, in view of the high levels of assessor disagreement, the emerging practice of joint review of training and testing assessments by both two parties (Section 4.2.1) has some advantages, though it would be surprising if complete agreement upon annotations were readily achieved.

4.3.1 The Effect of Measurement Error

Assume that we have a gold standard of relevance, and that an assessor or set of assessors are making errors relative to this gold standard. The situation is analogous to that of a search being evaluated against a set of assessments; we can therefore reuse the contingency table in Table 4.1 (Page 152), with the judgments of the erring assessor defining the “retrieved” dimension, and the authority of the gold standard defining the “relevant” dimension. Let $\alpha = FP/(FP + TN)$ be the false positive rate, and $\beta = FN/(FN + TP)$ be the false negative rate. Then the bias through measurement error between the true proportion relevant π and the measured proportion relevant ψ on the full population is [138]:

$$\text{bias} = \pi - \psi = \alpha(1 - \psi) - \beta\psi. \quad (4.17)$$

The squared bias is added to the sampling error to derive the mean-squared error of our measurement-biased prevalence estimator p_F , based on a n -sized sample:

$$\text{MSE}(p_F) = \frac{\pi(1 - \pi)}{n} + \text{bias}^2. \quad (4.18)$$

Table 4.5. Contingency table of documents assessed as relevant by two different assessors.

		Reviewer B		Total
		1	0	
Reviewer A	1	N_{11}	N_{10}	N_{1*}
	0	N_{01}	N_{00}	N_{0*}
Total		N_{*1}	N_{*0}	N

Note that bias depends not only on error rates, but also upon prevalence. A low false positive rate, for instance, can still lead to a strong positive bias if the proportion of irrelevant documents in the population is very high. We cannot rely on errors simply “canceling out.”

So far so good. The problem comes in determining (or, at best, estimating) the error rates α and β . If the gold standard is operationalizable (for instance, as an authoritative assessor, though presumably too expensive or busy an authoritative assessor to perform all the assessments themselves), then a sample of the error-prone assessments can be drawn, and the error rate estimated from that sample. A (slightly complex) unbiased estimate of prevalence, and a (yet more complex) expression for the asymptotic variance of that estimate, have been derived; see Tenenbein [138] for details. That expression, however, omits variability in our estimates of the error rates, and asymptotic conditions may not apply. Moreover, the gold standard assessor themselves may be subject to error, as was discovered when this approach was applied in the TREC 2010 Legal Track Interactive task (Section 5.4.3).

4.3.2 Measures of Assessor Agreement

In this section, we review some metrics of inter-assessor agreement. Our discussion of agreement metrics is based upon the contingency table in Table 4.5; this table is similar in form to the retrieved/relevant contingency table in Table 4.1, but here neither reviewer is treated as the gold standard.

A simple measure of inter-assessor agreement is the proportion of elements they agree upon, which is simply termed *agreement*:

$$\text{Agreement} = \frac{N_{11} + N_{00}}{N}. \quad (4.19)$$

We can also consider agreement only on those instances that one reviewer or the other find relevant, particularly where (as is generally the case in retrieval) relevant documents are relatively rare and of primary interest. One measure of this is the *overlap* between relevant sets:

$$\text{Overlap} = \frac{N_{11}}{N_{11} + N_{10} + N_{01}}; \quad (4.20)$$

another measure is *positive agreement*:

$$\text{Positive Agreement} = \frac{2 \cdot N_{11}}{2 * N_{11} + N_{10} + N_{01}}. \quad (4.21)$$

Positive agreement is $2 \cdot \text{Overlap} / (\text{Overlap} + 1)$, so overlap is always less than positive agreement, unless both are 0 or 1. Both measures are quoted in the literature; care must be paid as to which is in use. Positive agreement is equal to the F_1 score that would be computed by taking one of the assessors as authoritative. Since under this assumption one assessor's recall is the other's precision, and vice versa, this measure is symmetric; we refer to this measure as *mutual F_1* . Mutual F_1 can be interpreted as an approximate upper bound on measurable F_1 , given assessor disagreement [155].

The interpretation of the agreement metric, and (to a lesser extent) of positive agreement and overlap, depends upon marginal assessed prevalence. Consider a pair of assessors whose agreement was purely random, based upon their marginal assessed prevalence; where, for instance, $p_{11} = p_{1*} \cdot p_{*1}$, where $p_{ab} = N_{ab}/N$ and $*$ indicates a don't-care condition. The larger these marginal frequencies p_{1*} and p_{*1} are, the more likely agreement by chance would be. A metric which adjusts for marginal prevalence is Cohen's κ . Let $p_c = p_{1*} \cdot p_{*1} + p_{0*} \cdot p_{*0}$, the proportion of agreement expected by chance, and $p_o = p_{11} + p_{00}$, the observed proportion of agreement. Then Cohen's κ is defined as:

$$\kappa = \frac{p_o - p_c}{1 - p_c}. \quad (4.22)$$

Tests of significance and (approximate) confidence intervals for Cohen's κ are given by Cohen [40]. Note that Cohen's κ does not correct for the inherent difficulty of a topic, nor for sampling designs in which the sampling is dependent upon one or the other assessor's assessments.

The above measures are symmetric; agreement of A with B is the same as agreement of B with A . Where one of the assessors is marked as the authoritative or gold-standard one, then asymmetric measures can also be used. Set-based evaluation metrics are generally asymmetric in this way (though F_1 , as has been noted, is not). Another useful asymmetric measure, from signal detection theory, is d' (d-prime) [168]. Based upon (rather strong) assumptions about the nature of evidence for relevance, and of the assessor's response to this evidence, d' promises to control for the assessor's strictness (whether they require a strong or only a weak degree of relevance), and measure only their discriminative ability (how well they can distinguish the evidence of relevance). The d' measure has not been widely reported in the literature on assessor agreement (though see Roitblat et al. [114]), and it has issues of its own (e.g., it gives infinite values if any of the four contingency cells in Table 4.5 is empty, and it is sensitive to marginal prevalence). Nevertheless, in attempting to model, rather than merely observe, assessor behavior, the metric merits attention.

4.4 For Further Reading

- Chapter 7 (“Evaluation”) of van Rijsbergen [154] discusses set-based and curvilinear metrics of retrieval effectiveness. More recent evaluation has focused upon top-of-ranking measures; a discussion can be found in Chapter 3 (“Retrieval System Evaluation”) of Voorhees and Harman [157]. Clarke et al. [36] provides a good entry into the literature on search diversity and its evaluation, while Kekäläinen and Järvelin [79] is a foundational study in the use of graded relevance judgments in evaluation.
- Thompson [151] is an authoritative source on sampling and estimation methods, though the classic text of Cochran [39] remains a more approachable exposition. An extensive overview of the statistical treatment of measurement error is contained in Buonaccorsi [30].
- Examples of (proposed or agreed) protocols for e-discovery are *Da Silva Moore v. Publicis Groupe et al.*, 11 Civ.

1279 (ALC) (AJP) at 5 (S.D.N.Y. Feb. 22, 2012) (“Parties’ proposed protocol [...] and Order”) (Document 92 of <http://archive.recapthelaw.org/nysd/375665/>); *In Re: Actos (Pioglitazone) Products Liability Litigation*, 11 MD 2299 (W.D.La. Aug. 27, 2012) (“Case management order: protocol [...]”) (<http://pdfserver.amlaw.com/legaltechnology/11-md-2299.pdf>); and *Global Aerospace Inc., et al., v. Landow Aviation, L.P., et al.*, No. CL 61040 (Va. Cir. Ct. Apr. 9, 2012) (“Memorandum in support of motion for protective order approving the use of predictive coding”) (<http://www.ediscoverylaw.com/MemoSupportPredictiveCoding.pdf>)

- The overview papers of the TREC Legal Track⁷ describe many interesting experiments in assessing collective e-discovery experiments. Particularly recommended are the TREC 2008 report, for its description of a stratified sampling and score estimation scheme on set-based retrieval in the Interactive Task [103], though note this estimator is criticized in Webber [164]; and the TREC 2007 report, for its description of the unequal sampling and estimation in the Ad Hoc Task (elaborated slightly in 2008 and 2009) [153].

⁷<http://trec.nist.gov/proceedings/proceedings.html>

5

Experimental Evaluation

Information retrieval is an empirical discipline, in part because theory that can establish analytical bounds on retrieval effectiveness is lacking. This places a premium on the development of evaluation resources. Moreover, because some types of evaluation resources are expensive to create, information retrieval researchers typically seek, when possible, to create evaluation resources that can be used by many researchers and practitioners. The usual focus of such resources is on the measurement of retrieval effectiveness, not because efficiency is unimportant, but rather because characterization of efficiency is more often analytically tractable.

The vast majority of the investment in evaluation resources specific to e-discovery has focused on review for responsiveness, although duplicate detection and review for privilege have also received some attention. Experiment designs motivated by e-discovery tasks have also made use of evaluation resources that were originally designed for other purposes. We begin this section by describing the test collection (or “Cranfield”) methodology for reusable and repeatable retrieval system evaluation, and its application to e-discovery, in Section 5.1. We then review the work of three groups that have created, or are planning to

create, evaluation resources specific to e-discovery information retrieval tasks: the TREC Legal Track (Section 5.2); the Electronic Discovery Institute (Section 5.3.1); and the Electronic Discovery Reference Model (Section 5.3.2). Finally, Section 5.4 examines findings on test collection design, particularly relating to assessor agreement, and Section 5.4.4 summarizes experimental results on e-discovery system design that these test collections have enabled.

5.1 Test Collection Design

The tasks of evaluation — sampling, assessment, and score estimation — could be performed for the results of a single retrieval run. The assessment task, however, is expensive, and it is therefore desirable to amortize that cost over several evaluation cycles, either of one system (as it is tuned for effectiveness), or of many different systems. It is also desirable to be able to compare several systems on a common benchmark, whether these systems participate in the same experiment, or whether they are run at different times and places. Finally, it is scientifically desirable to be able to replicate previous results as closely as possible. These three goals, of reusability, comparability, and reproducibility, are all addressed by the creation of *test collections*.

A test collection consists of three core components. The first is the set of documents¹ upon which retrieval is to be executed (the *collection*). The second is a set of information need descriptions (the *topics*) for which documents are to be retrieved by systems from the collection. And the third are assessments (the *relevance judgments*) that specify which documents in the collection are relevant to which topics.² Evaluation using test collections consisting of these three components is often referred to as the “Cranfield methodology,” after the foundational retrieval experiments carried out at the library of the Cranfield Aeronautical College (UK) in the 1950s and 1960s [37]. Such test collections are frequently created as part of a formative (often community)

¹More generally, test collections could contain any form of ESI.

²Additional aspects of the evaluation design must also be addressed in the associated documentation, including the unit of retrieval (if that is not clear from context), and the way in which evaluation measures should be estimated given the sampling strategy employed when the collection was created.

experiment, such as the Cranfield experiments themselves, or more recently the Text Retrieval Conference (TREC) [157].³ Once created, however, such test collections can (it is hoped) be reused for ongoing research, experimentation, and tuning.

The literature on test collection creation and use in information retrieval experimentation is voluminous [117]. Here, we focus on those matters that relate particularly to e-discovery, using the TREC Legal Track as the example. Chief among these is the need for a different approach to selecting which documents should be judged for relevance. In large test collections, it is not feasible to assess every document for relevance. The traditional approach at TREC has been *pooling*: taking the top k documents (where $k = 100$ is often used) from the rankings submitted by systems participating in the collection-forming community experiment; assessing all and only these documents; and assuming that unpooled documents are irrelevant [130]. If the number of relevant documents is not too large, and a diverse enough set of systems contribute to the pool, then it is reasonable to expect that a substantial (and representative) portion of the relevant documents will be included in the pool. Studies on early TREC collections indicate that in such collections pooling does manage to find up to half the relevant documents; that, although absolute scores may be inaccurate (particularly if they include recall) and sensitive to variability in pooling, comparative scores are fairly stable; and that unpooled systems (that don't include human intervention) suffer only mildly negative bias [118, 175].

Pooling is not as suitable for e-discovery test collections, however, even for the evaluation of the pooled systems themselves, let alone for later reuse in evaluating new systems, because e-discovery seeks absolute measures of effectiveness, most particularly of recall. This requires some characterization of the full collection, both retrieved and unretrieved. The retrieval results, typically a set rather than a ranked list, are often too large for exhaustive assessment. Moreover, the number of relevant documents in the collection is also frequently too large for pooling to locate a large proportion of them.

³<http://trec.nist.gov>

Instead of pooling, a more nuanced approach to sampling must generally be used to select documents for assessment in an e-discovery test collection; and indeed sampling has been used in the TREC Legal Track since 2007. The availability of multiple unranked result sets in the Legal Track's Interactive Task allowed for stratification to be performed based on set intersections, and a stratified estimate derived (Section 4.2.4), whereas the ranked retrieval used in other Legal Track tasks provided an even more fine-grained source for unequal sampling (Section 4.2.5).

Evaluation using sampled assessments has been explored extensively at the TREC Legal Track, and also in other applications of information retrieval [32, 153, 170]. What has not yet been systematically studied, however, in e-discovery or elsewhere, is the reusability of these sampled assessments to evaluate new systems that did not contribute to the original stratification [127]. In pooling, the scores of new systems are biased low, and the question to be answered is how low. For sampled assessment, however, some score estimates even for new systems can be statistically unbiased (that is, correct in expectation). The issue instead is in the variability of these score estimates, as reflected in the confidence interval, and therefore the question to be answered is how much wider the confidence intervals would be expected to be for a new system than for one that had contributed to the stratification. Work on that question is clearly called for.

5.2 The TREC Legal Track

The most ambitious effort at creating public resources for e-discovery evaluation was the Text Retrieval Conference (TREC) Legal Track. Born in the run-up to the 2006 revision to the Federal Rules of Civil Procedure, the principal goal of the track was to develop ways of evaluating search technology for e-discovery [11]. As with all TREC tracks, complementary goals included fostering the development of a research community, development of reusable evaluation resources, and establishment of baseline results against which future results could informatively be compared. Comparison of alternative techniques is a useful byproduct of TREC evaluations, although reported results must be

interpreted in light of both the research questions being explored and the resources employed to achieve those results.

TREC operates on an annual cycle, with the documents being made available to participating research teams in the first half of the year, topics typically available around May, participant results due in early August, and results reported in November. Each year, TREC sponsors a half dozen or so “tracks” that model different information retrieval tasks. Tracks normally run for several years, with the evaluation design being progressively refined and the participants gaining experience with the task.

The TREC Legal Track ran for six years and developed two types of reusable test collections: (1) a collection of nearly 7 million scanned business records for which relevance judgments are available for just over 100 topics, (2) a collection of roughly a half million e-mail messages (with attachments) for which relevance judgments are available for 13 topics and for which privilege judgments are also available.

5.2.1 The Legal Track CDIP Test Collection

The first collection was built over four years between 2006 and 2009 using Version 1.0 of the Complex Document Information Processing (CDIP) document collection, which contained scanned documents released incident to the settlement of lawsuits between the state attorneys general and several tobacco companies and tobacco research institutes [15]. Topics were defined by lawyers, and Boolean queries were negotiated in a simulation of a conference of the parties. Individual documents were the unit of retrieval. Documents were typically selected for judgment in a manner that gave preference to those that were most highly ranked by the submitting teams, and relevance judgments were typically made by law students. F_1 at some fixed cutoff was typically reported as the principal evaluation measure.

Because somewhat different procedures were used in different years, the oversimplified summary in the previous paragraph masks a great deal of complexity. In the first year, only very highly ranked documents were judged; in subsequent years the maximum depth from which relevant documents were sampled increased each year (in response to an

evolving understanding that some naturally occurring topics can have very large numbers of relevant documents). Some topics have two, or even three, sets of independently sampled and independently created relevance judgments (because of subsequent use in Relevance Feedback or Interactive Tasks in some years).

The evaluation measures also evolved over the years. In the first year, the measure was Mean Average Precision (MAP), a ranked retrieval measure that gives emphasis to “early precision.” This proved to be a poor match to the imperative in many e-discovery applications for high recall in some fixed set, so in subsequent years the focus shifted to set-based measures. The first of these to be tried was “Recall@B,” which measures the fraction of the relevant documents that are estimated to exist for a topic that were found by a system by rank B, where B was the number of documents returned by the negotiated Boolean query. That measure was designed to support comparison of statistical retrieval systems with rule-based Boolean systems. This proved to be a remarkably challenging task for systems, perhaps in part because current statistical systems do not make effective use of the operators present in the Boolean queries. In later years, the track experimented with a system-designated optimal rank cutoff for optimizing the F_1 measure. This too proved to be a challenging task, perhaps because current retrieval systems generate likelihoods rather than probabilities of relevance.

In retrospect, the TREC Legal Track CDIP collection is important mostly for its large number of topics and for its modeling of the query formulation process in a way that produces representative Boolean queries. However, three limitations are also clear. Most fundamentally, the CDIP collection (and indeed most information retrieval test collections) model the problem in a manner that is in some sense backwards: the research team is given some fixed form of the topic statement and is then asked to build the best possible system. Real users, by contrast, typically have some specific system at hand, and they try to build the best possible query.

The second limitation was that the interest of e-discovery practitioners in characterizing absolute effectiveness was not well supported by the use of relatively large numbers of topics, each of which had

a relatively small number of relevance judgments. That problem arose because the relevance judgments for different topics were typically made by different assessors, so the absolute values of many evaluation measures reported could depend as much on which assessors happened to be selected as it did on the design of the system. Such an approach is known to be suitable for making relative comparisons when all judges have some core concept of relevance, even if they have different degrees of liberal or conservative interpretations in the case of specific topics, but it is also well known to yield substantial variations in the absolute values of effectiveness measures.

The third challenge was that scanned documents are simply of less interest for current e-discovery practice than born-digital documents would be. Part of the reason for this is that the indexable features of the CDIP collection (OCR text and manually assigned metadata) are not as representative of the indexable features of born-digital documents. The mediocre quality of the scanning (and thus the mediocre results of the OCR) adversely affected recall, although methods of accommodating this by stratification on estimated OCR accuracy are possible [103].

A fourth limitation of the CDIP collection was that document families could not be easily modeled with the CDIP test collection. Together, these limitations motivated the switch to an e-mail collection once the TREC Legal Track had accumulated enough experience with the CDIP collection.

Of course, the CDIP collection would be particularly interesting to some IR researchers for some of these same reasons. For example, it is presently the largest and most diverse collection of scanned documents for which relevance judgments are available for a substantial number of topics. Moreover, each document in the CDIP collection is annotated with a substantial amount of manually produced metadata, making CDIP a useful test collection for metadata-based IR [49]. Both of these strengths of the collection are of potential interest in e-discovery, the OCR because scanned attachments are not uncommon in real cases, and the manual annotations because they include Bates numbers (a serialization) that implicitly indicate physical storage locations and because some of the metadata might be used as an evaluation

mode for the type of issue coding that is sometimes manually performed at the same time as the review process in e-discovery.

5.2.2 The Legal Track Enron Collections

Collections of Enron e-mails have been used by academic researchers and by e-discovery firms for many years and for many purposes. There is, however, no single “Enron Collection.” By far the best known such collection was produced as a collaboration between MIT, SRI and CMU to support a joint research project involving e-mail analysis [83]. That collection became widely used because CMU made it freely available on the Internet,⁴ but (at least in part to mitigate potential privacy problems) they did so without attachments. As a result, e-discovery firms typically obtained an Enron collection directly from the contractor that hosted the materials for the Federal Energy Regulatory Commission (FERC), the agency that had originally released the e-mails.⁵ The collections distributed by FERC were, however, different on different dates because FERC withheld, and later re-released, some messages as a result of ongoing legal actions and for other reasons. As a result, e-discovery firms could not easily compare results that they had obtained on different versions of the collection.

Two different FERC releases were actually used by the Legal Track. The first version, obtained from one FERC release, was used only in the TREC 2009 Interactive Task [64]. A processing error resulted in some incorrectly added content. As a result, a second FERC release from a different date was processed the next year and a best-effort mapping between the two releases was defined so that the relevance judgments created in 2009 could be used as training data in subsequent years.⁶ This second TREC Legal Track Enron Collection was used in two quite different ways for (1) the 2010 Interactive Task and (2) the 2010 and 2011 Learning Tasks [60]. One key distinction was

⁴<http://www.cs.cmu.edu/~enron/>

⁵<http://www.ferc.gov/industries/electric/indus-act/wec/enron/info-release.asp>

⁶Because the relevance judgments have been projected from the 2009 collection to the collection used in 2010 and 2011, there is little need to refer back to the 2009 collection, and for that reason currently only the 2010/2011 collection is widely available.

that document families were the focus of the Interactive Task, while individual documents were the focus of the Learning Task.

Using e-mail makes defining the set of “documents” to be searched somewhat more complex than for some other document types. To start with, an authoritative de-duplication was performed to remove the large number of duplicates typically encountered in e-discovery. This was intended to limit duplication of assessment effort, and it reflects current commercial practice. Next, the unit of retrieval had to be decided (e.g., document, family, or thread (Section 3.1)). Initially, the family was chosen as the unit of retrieval for evaluation purposes, but individual e-mail attachments were also annotated for relevance. This proved to be less than completely satisfactory because the relevance judgment for the e-mail message heading a family was based on the entire family, thus precluding document-level evaluation for e-mail messages (document-level evaluation was, however, possible for attachments). In later years, all judgments were made on individual documents (messages or attachments) and family-level relevance could then be automatically inferred when desired for evaluation purposes.

5.2.3 The Interactive Task

In many ways, the Interactive Task was the centerpiece of the TREC Legal Track — there were earlier tasks from which the Interactive Task learned, and there were later tasks that built upon what the Interactive Task had uncovered. But those tasks are most easily placed in context by presenting the Interactive Task first. The genesis of the Interactive Task was a pilot study run in 2008 using three topics and the CDIP collection [103].⁷ The key innovation in the Interactive Task was to judge the relevance of several thousand documents by using many different assessors, and then to allow participating research teams to challenge relevance judgments that they believed to have been assessed demonstrably incorrectly [63]. This resulted in a useful approximation to the single authoritative conception of relevance that the senior attorney provides in a real case. Importantly, the final assessor to whom

⁷ An even earlier experiment with interactive evaluation, in 2007, was different in design and far more limited in scope.

such cases were appealed, referred to as the Topic Authority (TA), had been made available to participating research teams, thus serving to limit measurement error resulting from different interpretations of the production request between the participating research teams and the relevance assessment process.

The presence of the TA addresses the problem of the subjectivity of relevance by making the TA's (necessarily subjective) conception of relevance authoritative (though of course the TA's conception itself could change over time, or it could be incorrectly applied in any specific instance; see Section 5.4.3). Participants develop runs in consultation with the TA (as production teams do with the overseeing attorney in real life). The TA, though not directly performing first-pass assessments, does instruct the first-pass assessors. And, perhaps most importantly of all, the assessments of the first-pass assessors can be appealed by teams to the TA for adjudication. For most topics, one or more teams lodged a substantial number of such appeals.

If we were to assume that teams have been thorough in appealing errors made by first-pass assessors, and the TA careful in adjudicating those appeals, then the post-adjudication assessments would be a reasonably reliable embodiment of the TA's conception of relevance. It should be noted, however, that there is no incentive for any team to appeal an assessment of not relevant for a document that no team retrieved; some false negative errors may be missed, therefore, and the recall of all participants perhaps somewhat overstated as a result.

One important feature of the Interactive Task was that participants had the opportunity to align their working conception of relevance with that of the TA. Based upon a study of inter-assessor agreement in a different TREC track, Voorhees [155] places an upper-bound of 0.65 on F_1 scores that can realistically and measurably be achieved, given assessor disagreement. However, teams in the TREC Legal Track's Interactive Task have achieved estimated F_1 scores above 0.8. We don't know what the upper bound on measurable F_1 is for the Interactive Task's design, but we do have evidence that the standardizing influence of the TA does help. However, the reusability of the Interactive Task collections for new systems has yet to be measured. The builders of these new systems have access to written records of the topic authority's detailed

guidance to participating teams, but not to the topic authority themselves for consultation.

Appealing the judgments of first-tier assessors is a strength of the evaluation design in the Interactive Task, but it was also a serious limitation from the perspective of TREC schedules: never once in three years were the final adjudicated relevance assessment available by the time of the November conference. This ultimately led to termination of the Interactive Task, not because it failed to meet its goals, but because the process of doing so could not be reconciled with the constraints of an annual evaluation cycle.

This design for the Interactive Task ultimately attracted significant commercial interest and resulted in research designs that would have been unaffordable had the Legal Track remained principally the province of academic researchers. Ultimately, the Interactive Task produced a total of 10 relevance-oriented topics for the Enron collection between 2009 and 2010 [42, 64]. The principal evaluation measure was F_1 on a set of documents received by each team. Teams were not required to rank and then select a cutoff; they could produce a set of putatively relevant documents in any way that they wished. The best results on each topic were typically quite good, often above $F_1 = 0.7$. In large part this seems to be due to the resources that commercial participants could bring to bear, although some academic teams obtained excellent results as well.

5.2.4 The Learning Task

The Learning Task later emerged as a somewhat streamlined successor to the Interactive Task. The Learning Task focused on documents rather than document families because experience with the Interactive Task had indicated that results for document families could be computed given relevance judgments for individual documents, but that the reverse was not true. Rather than focusing on a single set of results, or a simple ranked list for which some cutoff would also need to be specified, the Learning Task required participants to specify a probability of relevance for each document. Such a capability would suffice as a sole basis for estimation of two key quantities: the number of relevant

documents that exist, and, for any set of produced documents, how many of them were indeed relevant. With this information, any measure of retrieval effectiveness could be computed for any set of system-produced documents. TA adjudication of assessor disagreement was also incorporated in the TREC Legal Track's Learning Task in 2011, but with a more structured form of interaction that was intended to be more easily instrumented, and thus more easily leveraged by future (nonparticipating) research teams.

5.2.5 The Ranked Retrieval Tasks

The Learning Task was in some ways a reprise of the first years of the TREC Legal Track, in which ranked retrieval had been the focus. This started in 2006 with the Ad Hoc Task, joined by the Relevance Feedback Task in 2007, and then merged as the Batch Task in 2009 [15, 64, 103, 153]. The most interesting aspect of these "ranked retrieval" tasks was that for each topic a Boolean query was negotiated between lawyers acting on behalf of the two parties in some fictional dispute. Figure 5.1 gives an example of such a request and the Boolean query negotiated for it which, following practice at that time, was created without searching the collection itself. The Ad Hoc Task was limited as a model of e-discovery practice because systems were expected to operate without interaction with a user, but based only on the query (e.g., the brief text of a production request, or the negotiated Boolean query). Holding the form of the query constant is useful early in the technology development process, and it leads to very affordable evaluation designs, but it was at the time already well understood that some degree of human interaction could substantially improve results. The Relevance Feedback Task approached this interaction in essentially the same way as the later Learning Task, by providing some training examples, but the utility of this approach was adversely affected by interassessor disagreement. The Batch Task was essentially a continuation of the Relevance Feedback Task design, but with the explicit recognition that any team could essentially perform an Ad Hoc Task simply by ignoring the available relevance judgments; joining these as a Batch Task merely simplified the reporting of results.

Request text:

Documents referring to marketing or advertising restrictions proposed for inclusion in, or actually included in, the Master Settlement Agreement (“MSA”), including, but not limited to, restrictions on advertising on billboards, stadiums, arenas, shopping malls, buses, taxis, or any other outdoor advertising.

Negotiated Boolean query:

((marketing OR advertis! OR promot! OR display!) w/10 (restrict! OR limit! OR prohibit! OR ban OR bans OR banned OR disallow!)) AND ((“master settlement agreement” OR MSA) OR (billboard! OR arena! OR stadium! OR “shopping mall” OR bus OR buses OR taxi! OR “outdoor advertising” OR subway OR station OR banner OR marquee OR rail OR Amtrak OR “public transportation” OR “mass transit”))

Fig. 5.1 Request and negotiated Boolean query for Request 102 from the Ad Hoc Task of the TREC 2008 Legal Track.

5.3 Other Evaluation Venues

The TREC Legal Track has received a good deal of attention, but it is by no means the only such evaluation venue. In this section, we briefly describe two other groups that have brought together researchers and practitioners to construct and employ evaluation resources.

5.3.1 The Electronic Discovery Institute Studies

One of the key limitations of TREC was that its commitment to developing sharable resources resulted in its collections not being fully representative of the collections actually used in modern e-discovery practice. Representativeness of the document collection is of particular importance in information retrieval research because although test collections can include an ensemble of topics, each test collection typically includes only one set of documents. As a result, conclusions drawn on a test collection are intimately bound to how representative the collection is for the actual (real-world) task. All of the TREC Legal Track collections have two fundamental limitations: (1) they are far smaller than many of the collections to be searched in many real matters, and (2) they are themselves the result of some discovery-like process, and

thus they may be skewed with regard to actual collections in ways that are difficult to characterize.

In an effort to address these challenges, a group of e-discovery professionals formed the Electronic Discovery Institute (EDI) as a non-profit organization and set out to conduct evaluations under the most realistic possible settings.⁸ To do this, they had to forgo reusability, because real collections invariably contain real sensitive materials! Indeed, EDI generally plans to destroy its test collections at the conclusion of each evaluation. Strict nondisclosure procedures are of course required, which to date has limited academic participation in EDI evaluations. But in return for accepting these limitations, the EDI studies aim at something that TREC never could — they seek to replicate the processing of an actual matter using the actual collections, and to measure the effect of alternative techniques for identifying responsive documents.

The scale of the EDI studies is impressive: millions of documents, each with at least one relevance judgment (from the original review), assembled at a cost of millions of dollars. The first EDI study, conducted in 2008, suffered from low inter-annotator agreement between teams of assessors who were working independently, the same problem faced by TREC studies of the time [107, 114]. The results of the 2008 EDI study were used by its organizers to start the vigorous public discussion about the relative merits of automated and manual review, as we describe below. A second EDI study is planned for 2013, reportedly drawing to some degree on evaluation design lessons learned in the TREC Legal Track.

5.3.2 EDRM

Another group of e-discovery professionals came together to create the Electronic Discovery Reference Model (EDRM), the workflow description for e-discovery practice depicted in Figure 2.1.⁹ Over the years, EDRM (as the organization is now known) has emerged as one of the

⁸<http://www.ediscoveryinstitute.org/>

⁹<http://www.edrm.net>

principal standards bodies for e-discovery.¹⁰ EDRM is organized as a series of projects, among which are EDRM XML (a proposed standard metadata interchange standard for “load files”), the EDRM Dataset Project, and the EDRM Search Project. The EDRM Dataset project supported the TREC Legal Track by producing multiple versions (text, native, and PST — a Microsoft e-mail format) for the 2010 version of the TREC Legal Track Enron collection. The EDRM Dataset project also serves as the principal distribution agent for that collection, with the topics and relevance judgments being available from TREC. There are longer-term plans for the EDRM Dataset project to produce other collections that will be of particular interest to information retrieval researchers, including a test collection for deduplication. EDRM has also established a Search Project, which may also ultimately produce guidance and/or resources that would be of interest to the information retrieval community. These projects also offer potential points of engagement for information retrieval researchers who are seeking to help guide the development of e-discovery practice.

5.4 Results of Research on Test Collection Design

The previous sections have introduced test collections developed for the evaluation of e-discovery; we now turn to examine some of the results of experiments using these collections. In this section, we consider what has been learned about test collection design, in particular on the point of inter-assessor disagreement and error (Section 4.3) and the use of a topic authority to reduce that error. In Section 5.5, we examine experiment results that focus on the design of effective e-discovery systems.

5.4.1 Measured Assessor Agreement

There have been numerous studies measuring assessor agreement, in e-discovery and elsewhere. We describe several of these studies below; their results are summarized in Table 5.1.

¹⁰The other principal e-discovery “standards” body is the Sedona Conference, which issues “commentaries” that amount to practice guidelines. See <https://thesedonaconference.org>

Table 5.1. Mean and sample standard deviation of assessor agreement reported in different studies. Sample agreement for Voorhees [155] is over all three assessor pairings (primary, A, and B); pool agreement only over primary vs. A and primary vs. B. (Standard deviation means are not shown since variance is over different populations, assessors alone for the last three, both assessors and topics for the first four.)

Source	Mutual F_1		Cohen's κ	
	Mean	SD	Mean	SD
Voorhees [155] sample	0.58	0.24	0.48	0.25
Voorhees [155] pool	0.45	0.22	0.41	0.23
Grossman and Cormack [58] sample	0.63	0.24	0.59	0.24
Grossman and Cormack [58] collection	0.44	0.29	0.43	0.29
Roitblat et al. [114] (SRS of) collection	0.33	0.09	0.18	0.05
Webber et al. [167] sample	0.76	0.08	0.57	0.09
Webber et al. [166] select	0.47	0.15	0.31	0.15
Wang and Soergel [161] sample			0.48	
Mean	0.53		0.43	

In a classic study by Voorhees [155] that predates work on e-discovery, a sample of primary assessments by TREC assessors for 48 topics from the TREC 4 Ad Hoc track were also assessed by two secondary TREC assessors, and the agreement between the assessors measured; Table 5.1 reports agreement both on the sample, and estimated agreement extrapolated to the pool. (A summary of other studies outside e-discovery can be found in Bailey et al. [6].)

Grossman and Cormack [58] reported agreement between the first-pass assessors and the official, post-adjudication assessments, for the Interactive Task of the TREC 2011 Legal Track. As the official assessments are intended to model the judgment of the topic authority, which are authoritative by definition, these can be seen as measures of assessor error. Table 5.1 reports agreement both on the sample drawn by the task organizers for assessment, and extrapolated to the full collection.

Roitblat et al. [114] reported a re-review of a large production, constructed by a Fortune 500 company in response to a regulatory request. The re-review was performed on a simple random sample of the collection by two independent review teams from an e-discovery vendor.

Webber et al. [167] had a stratified sample of documents from Topic 204 of the TREC 2009 Legal Track Interactive Task reassessed by two

assessors (who were students without legal training), instructed for one batch by the topic statement, and for a second batch by the same detailed relevance guidelines used by the original first-tier assessors. Agreement was calculated between the assessors and with the official TREC assessments. Table 5.1 summarizes agreement between all three assessor pairs on both batches (six figures in all), on the stratified sample only.

Webber et al. [166] reported the three-way assessment, by a team of seven assessors, of a selection of documents from the TREC 2010 Legal Track Interactive Task. The documents selected were those where the team's production disagreed with the initial TREC assessments. The figures in Table 5.1 are means across the 21 assessor pairs.

Finally, Wang and Soergel [161] had 100 documents, sampled from each of four topics from the TREC 2009 and TREC 2010 Legal Interactive Task, reassessed by four law and four library and information studies students, comparing their agreement with each other using κ (and with the official assessments using sensitivity and specificity). Table 5.1 reports the mean κ values between assessors on the sample of documents; insufficient information is provided to calculate κ standard deviations or F_1 scores.

The above studies span a wide range of assessors, collections, topics, and sampling conditions; the results summarized in Table 5.1, therefore, are not directly comparable, and are intended only to be indicative. F_1 scores range generally from 0.44 to 0.63, with a single outlier each above and below. The κ scores, meanwhile, vary generally between 0.31 and 0.59, with a single outlier below. The standard deviations indicate that there is considerable variability between topics (the first four entries), but less between assessors (the last four entries). Agreement scores on samples tend to be higher than on populations, for κ as well as F_1 . The samples generally work to reduce the disparity between relevant and irrelevant document counts, and are generally conditional on an assessor. Both measures are evidently sensitive to these conditions, presumably because they reduce the scope for one assessor to generate "false positives" (from the perspective of the other). With these caveats in mind, two rough conclusions can be drawn from the results in Table 5.1. First, mean F_1 between a pair of assessors is around 0.5,

and mean κ around 0.4. And second, agreement is highly dependent upon the topic (more so than on the pair of assessors).

5.4.2 Characterizing Assessor Errors

In the TREC 2007 and TREC 2008 Legal Tracks, a Relevance Feedback Task was run in which the systems were told which (sampled) documents had been assessed as relevant and which as not relevant in the previous year. The feedback runs were not able consistently to beat the Boolean baseline, and examination of the results pointed to assessor disagreement as a possible culprit [103, 153]. Section 5.4.1 above summarizes observed levels of overall assessor agreement. In order to understand the causes and severity of disagreement, and identify methods for reducing it (and limits on its reducibility), we need to characterize the factors underlying disagreement, and understand how assessors actually go about making relevance assessments.

What makes for a reliable assessor? Wang and Soergel [161] compared the relevance assessments of law school and library science students on four TREC Legal Track topics (row 8 of Table 5.1). Although in an exit interview all four law school students stated that they believed their legal training was important in performing the assessments, in fact the study found little difference between the law school and library science students in agreement with each other or with the official assessments, or in assessment speed. (Further analysis of the same data is performed in Wang [159].)

In Webber et al. [167] (row 6 of Table 5.1) two assessors independently judged two batches of documents from the TREC Legal Track, the first batch using only the topic statement, and the second batch using the detailed guidelines written by the topic authority. The study found that the detailed guidelines led to no increase in agreement, either between assessors or with the official adjudicated assessments. The study also found the experimental assessors (who were high school students) to be more reliable than the first-pass TREC assessors (who were law school students). As with Wang and Soergel [161], these findings raise questions about whether specialized expertise in e-discovery document reviewing yields as large an effect as, for example,

the conditions under which that reviewing is performed. Efthimiadis and Hotchkiss [48] also reported no detectable difference in reliability between assessors with a legal background and those without.

Assessor disagreement is founded upon some combination of inattention, differing thresholds for relevance, and different conceptions of relevance. “Relevance” is a foundational concept in retrieval science, and there is a body of work examining what relevance is and how people come to make a decision about what is relevant and what is not [119]. Surveying this literature, Bales and Wang [8] locate descriptions of no fewer than 230 distinct factors affecting perceptions of relevance, which they consolidate into 14 relevance criteria.

Chu [35] reports results from a questionnaire study of participants in the TREC 2007 Legal Track Interactive Task. In that year’s task, participants were required to interactively search the collection, looking for relevant documents (in subsequent years, the “interaction” was also with a topic authority). The questionnaire asked participants to select from a pre-existing list of 80 factors affecting assessments of relevance. The most highly-rated factor was the specificity or amount of information in the topic request.

In an effort to characterize the degree to which assessor disagreement might be due to differences in conception of relevance, Grossman and Cormack [59] re-reviewed a sample of documents from the TREC 2009 Legal Track’s Interactive Task for which the relevance judgments had been overturned on appeal. Based on the topic authority’s detailed relevance guidelines, they manually categorized the disagreement into three categories: decision upon appeal was inarguably correct; decision upon appeal was arguable; and decision on appeal was inarguably incorrect. Teams had been instructed only to appeal if they believed that the first-pass assessment clearly violated the relevance guidelines, so it is unsurprising that on re-review these authors found many of the first-pass judgments to be inarguably erroneous, as shown in Table 5.2. What is more interesting is that they found about 5% of the cases to be arguable, and they found that in another 5% of the cases the TA’s judgment has been incorrect. We lack similar data for unappealed documents, but the results do shed some light on the nature of assessor and TA errors, at least in difficult cases.

Table 5.2. Classification of assessor disagreement with topic authority by Grossman and Cormack [59] across all seven topics for the TREC 2009 Legal Track’s Interactive Task.

TA Opinion	TA Correct	Arguable	TA Incorrect
Responsive	88%	8%	4%
Non-responsive	89%	3%	8%

5.4.3 Characterizing Topic Authority Reliability

Assessor error in e-discovery is defined relative to the informed professional opinion of attorney overseeing the e-discovery production. But what of errors that this authority makes in applying their own conception of relevance, either because it changes over time, or else because they misunderstand a document relative to their conception? We have already seen that Grossman and Cormack [59] asserted that around 5% of adjudications by the TA in TREC 2009 were in unambiguous violation of their own relevance guidelines (see Table 5.2). Scholer et al. [122], in a study of TREC assessors from other tracks, found that they disagree with themselves around 15% of the time when asked to later judge the same document at different times.

Starting from the analysis of measurement error described in Section 4.3.1, Webber et al. [165] proposed that first-pass assessments should be sampled for adjudication, and this sample used to estimate and then adjust for error rates. This approach was tried in the TREC 2010 Legal Track Interactive Task (Section 5.2.3), necessitating that even appealed documents be adjudicated without the statements of grounds for appeal (so that the topic authority could not distinguish them from unappealed documents). The result was much lower appeal success rates in TREC 2010 than in TREC 2009 (38% vs. 78%), despite there having been no increase in the aggregate rate of appeals [42, 64]. This suggests that the TA’s judgments regarding relevance are affected by the degree of specificity with which an appeal is lodged, either because without a specific basis stated for an appeal the TA might fail to notice some important content, or because the argument stated in the appeal may serve to help the TA refine (and thus perhaps change) their own conception of relevance. Here we run

into the fundamental limitation on using human cognition as a basis for evaluation: humans learn as they go, and indeed they learn by reading. Thus, at least in some cases, the very act of judging relevance can itself change the definition of relevance. No gold standard can solve this problem for us; the best we can hope to do is to model the effect in some way and then to account for that modeled effect in our computation of measurement error.

5.4.4 Characterizing the Potential for Collection Reuse

Evaluation by sampled assessments has been explored extensively in other applications of information retrieval [32, 153, 170]. What has not yet been systematically studied, however, in e-discovery or elsewhere, is the reusability of these sampled assessments to evaluate new systems that did not contribute to the original stratification [127]. In pooling, scores of new systems are biased low, and the question to be answered is how low. Reuse of a collection created by sampling, by contrast, essentially involves using a pre-drawn sample, which will (if the original sample was well drawn) at worst just result in a somewhat larger sampling error; the point estimates of the scores may well be statistically unbiased (that is, correct in expectation). The question, then, is focused on the width of the confidence interval rather than on the point estimates of the scores. Sampling errors have been well characterized for the two most recent Legal Track evaluation designs (the Interactive Task and the Learning Task), and for the earlier (rank-based) evaluation design (in the Ad Hoc, Relevance Feedback and Batch Tasks) a suitable analytical framework has been identified.

5.5 Research on System and Process Design

The TREC Legal Track spans the era in which both concept search and technology-assisted review were introduced into the e-discovery marketplace. Concept search proved to be difficult to evaluate using the item-level decision metrics used at TREC, but those metrics proved to be well suited for evaluating technology assisted review, and for comparing it with competing approaches. We therefore begin by reviewing

evaluation results for technology assisted review, manual review, and keyword search.

5.5.1 Technology-Assisted Review

Brassil et al. [25] review the reported results in the TREC 2008 and 2009 Legal Track’s Interactive Task, concluding that every system that simultaneously achieved high precision and high recall, relative to the other participating systems, relied on “human-assisted computer assessment” (by which they meant what we refer to as *technology-assisted review*). Subsequent results from 2010 and 2011 are consistent with this finding. Importantly, these results span multiple organizations that used different — and sometimes quite markedly different — approaches to technology-assisted review; multiple production requests and two different collections (one production request for the CDIP collection of scanned documents and 13 for some variant of the Enron collection of e-mail with attachments). There are also cases in which technology-assisted review does relatively poorly, of course. To illustrate the range of technology-assisted review approaches that have been tried, we review three representative cases.

The Interactive Task design was developed by Bruce Hedin of H5, an e-discovery service provider in San Francisco (USA). H5 created a separate team, led by Christopher Hogan, which submitted results for Topic 103 in 2008 and Topic 204 in 2009. The approach used in 2008 is extensively documented in their TREC 2008 paper [70] and in a pair of conference papers [18, 25]; according to Hogan et al. [69], the approach used in 2009 was similar. H5’s approach was based on using a team of specialists, including: (1) a surrogate for the Topic Authority (TA) to learn the TA’s conception of relevance and to make that available within the team, (2) an expert in linguistics to help with crafting initial queries, (3) an expert in text classification to train a classifier, and (4) annotators to create training data.¹¹ In 2008, H5 annotated over 8,000 training examples for Topic 103 (for comparison,

¹¹H5 holds a patent (“System and method for high precision and high recall relevancy searching,” USPTO 8,296,309, October 23, 2012) which describes a method for semi-automatically building a classifier using weighted Boolean queries.

TREC annotated only 6,500 sampled documents as a basis for evaluation). This yielded quite good results, with F_1 measures of 0.705 and 0.801 in 2008 and 2009, respectively. Indeed, when evaluated only on CDIP documents that were automatically estimated to have high OCR accuracy, the 2008 results were $F_1 = 0.798$. Of course, many caveats are needed when interpreting these results, including design limitations of the test collection (e.g., treating all unappealed documents as correctly assessed) and the fact that results are available for only two production requests. In H5's case, an additional factor to bear in mind is that although the research team and the evaluation designer had only arms-length interaction during the evaluations, it would have been natural for them to share a common perspective on task and evaluation design. For all of these reasons, it was important to see other teams achieve similar results.

Equivio, a company from Haifa (Israel), submitted results for Topic 205 and Topic 207 in 2009 [132], and for Topic 303 in 2010, achieving F_1 scores of 0.684, 0.510, and 0.671, respectively. Equivio is a system provider rather than a service provider, meaning that they provide a standalone system that is intended to be used by a customer to generate results themselves. For TREC, Equivio used their own system to produce the submitted results. In contrast to H5's approach, Equivio relies on random sampling to generate initial results, and it relies on a greater degree of automation for formative evaluation and active learning.

The University of Waterloo (Canada) submitted results for Topics 201, 202, 203, and 207 in 2009 and for Topics 301, 302, and 303 in 2010, achieving F_1 scores of 0.840, 0.764, 0.769, 0.828 in the former year, and 0.036, 0.275, and 0.228 in the latter. Their approach was different from that of H5 and Equivio in at least one important way: snap judgments (i.e., very rapid relevance assessments, averaging 7.5 seconds per document) were used for classifier training at Waterloo, while H5 and Equivio presumably made more careful assessments (H5 does not report the time devoted to assessment; Equivio reports an average of about 40 seconds per assessment in 2009). In the 2009 Waterloo runs, every submitted document had received a snap judgment. The considerably lower results in 2010 may have resulted from some combination of the two reported differences: (1) different assessors (all 2009 assessments had

been made by one assessor; in 2010 that assessor did not participate), and (2) far fewer relevance assessments. Although it is not possible to tease apart the effect of each factor from the reported results, the difference in the number of *positive* relevance judgments is striking, ranging from 141% to 275% of the number estimated (by the track organizers) to exist in 2009, but only 5% to 34% of the number estimated (by the track organizers) to actually exist in 2010. Thus in 2009 only a subset of the positive snap judgment assessments were submitted (those estimated by the classifier to be most reliable), while in 2010 many of the submitted results had never been seen by a human assessor.

In TREC 2011, the Learning Task allowed participants to directly request relevance annotations from the Topic Authority, and most participants employed text classification techniques. It was found that 70% recall could be achieved by productions of 1%, 3%, or 11% (across the three different topics) of the collection, but that participating systems were quite poor at actually picking the cutoff that achieved an optimal recall-precision tradeoff [60]. One commercial system employed a large number of additional in-house assessments [171], while the other two most effective Learning Task systems trained text classifiers using only the Track-provided training data. One system used logistic regression on character n -grams [162]; the other fused together the results of a manually-written Boolean query with a query constructed by extracted terms from the assessed-relevant documents [152].

Together, these results, and the results of the other teams who tried technology-assisted review in the TREC Legal Track, suggest not only that technology-assisted review can be rather effective (with the best results probably being near the limits of measurement accuracy for the evaluation designs used at the time), but also that the design space to be explored among alternative approaches to technology-assisted review is extensive.

5.5.2 Technology-Assisted versus Manual Review

While measures and comparisons of the effectiveness of systems for technology-assisted review are of interest in themselves, another important comparison for current e-discovery practice is between

Table 5.3. Inter-assessor agreement reported by Roitblat et al. [114].

Assessor Pair	Mutual F_1	Cohen's κ
Original vs. Manual A	0.28	0.16
Original vs. Manual B	0.27	0.15
Manual A vs. Manual B	0.44	0.24
Original vs. Auto C	0.34	0.25
Original vs. Auto D	0.38	0.29

technology-assisted review on the one hand, and the established approach of (linear or keyword-filtered) manual review on the other [58, 115]. To make such a comparison, however, requires a gold standard to measure the two against.

Roitblat et al. [114] took manual review as the gold standard, and measure how close automated methods come to it. Their study took an existing production performed by a large company in response to a government regulatory request, using a team of 225 attorneys, who reviewed over 2 million documents and found nearly 200,000 relevant, at a cost of over \$13 million USD. Two vendors of technology-assisted review were asked to redo the production, independently of each other and of the original production. One of these vendors, as part of their standard internal processes, had two teams of manual reviewers independently review the same random sample of 5,000 documents from the original production.

Table 5.3 shows the results of the study by Roitblat et al. The problem with assessing the automated retrievals by how closely they approximate manual review is immediately apparent: the manual reviewers disagree with each other so much that it is hard to know which one the automated retrieval is meant to approximate. The only conclusion that Roitblat et al. [114] were able to draw was that the agreement of the automated productions with the manual reviewers was no worse than of the manual reviewers with each other.

The alternative is to find a separate gold standard against which both automated and manual reviews can be compared. Grossman and Cormack [58] do this with the TREC 2009 Legal Track Interactive Task (Section 5.2.3). They take the initial TREC review teams as the manual

Table 5.4. Automated and manual effectiveness, from Grossman and Cormack [58].

Topic	Team	Rec	Prec	F_1
t201	System A	0.78	0.91	0.84
	TREC (Law Students)	0.76	0.05	0.09
t202	System A	0.67	0.88	0.76
	TREC (Law Students)	0.80	0.27	0.40
t203	System A	0.86	0.69	0.77
	TREC (Professionals)	0.25	0.12	0.17
t204	System I	0.76	0.84	0.80
	TREC (Professionals)	0.37	0.26	0.30
t207	System A	0.76	0.91	0.83
	TREC (Professionals)	0.79	0.89	0.84

reviewers; two high-scoring participants as examples of technology-assisted review; and the final assessments, after adjudication of appeals by the topic authority.

The scores resulting from the manual and automatic evaluation of Grossman and Cormack [58] are shown in Table 5.4. Measured by precision and F_1 , the technology-assisted teams outperform the pseudo-manual teams on four of the five topics, and by a wide margin; measured by recall, the manual reviewers outperform on one topic, two are tied, and the technology-assisted productions outperform on the remaining two. Based on these results, Grossman and Cormack conclude that technology-assisted production can be at least as effective as manual review, if not more so, and at a fraction of the cost. These findings have had a significant impact on the field, and have been cited in a judicial opinion in *da Silva Moore v. Publicis*.¹²

5.5.3 Technology-Assisted Review versus Keyword Search

Prior to the adoption of automated text analysis methods such as machine classification, the impracticality of exhaustive review of ESI was tackled through Boolean keyword searches. The Boolean keyword

¹² *Da Silva Moore v. Publicis Groupe et al.*, 11 Civ. 1279 (ALC) (AJP) (S.D.N.Y. Feb. 24, 2012) (“Opinion and Order”) (Document 96 at <http://archive.recapthelaw.org/nysd/375665/>.) (See Webber [163] for a generally confirmatory re-analysis of these results.)

queries might be negotiated between the two sides prior to the production process, and then simply applied, with matching documents being manually reviewed. Or else a Boolean search tool might be interactively used by an expert searcher to identify responsive ESI and craft more accurate Boolean queries. An important question then is how well automated methods compare with Boolean keyword searches.

Automated and Boolean methods were compared in the Ad Hoc Task of the Legal Track of TREC 2006, TREC 2007, and TREC 2008 [15, 103, 153]. The automated systems were batch systems; they were given a query but no interaction with the user, and no relevance assessments to train a classifier on. For each topic, a Boolean query was negotiated between lawyers acting on behalf of the two sides in the fictional dispute, without searching the collection itself. Figure 5.1 gives an example of such a request and the Boolean query negotiated for it.

In TREC 2006, an expert searcher, experienced with the collection, was contracted to produce around 100 relevant documents for each request, concentrating on those that a ranked retrieval system was unlikely to produce [15]. Through Boolean query refinement, the expert searcher in TREC 2006 was able to find an 11% more relevant documents than the negotiated Boolean queries. A far larger number of relevant documents actually existed, however, since the union of many retrieval systems yielded estimates of between 43% (for one topic in 2006) and 350% (for one topic in 2007) more relevant documents than the negotiated Boolean retrieval. The low estimated recall of the negotiated Boolean query (22% in TREC 2007, 24% in TREC 2008) came as a surprise to some, though it agrees with earlier findings on Boolean query retrieval in e-discovery [22]. In the TREC 2008 Legal Track, a distinction was made between merely relevant and highly relevant documents, but even here, the negotiated Boolean query was on average only able to locate an estimated 33% of the highly relevant documents that were estimated to exist.

Clearly, there was considerable room for automated systems to improve on the Boolean baseline. It proved, however, quite difficult for any one automated systems to actually do so while maintaining a reasonable level of precision. It wasn't until TREC 2008 that automated

systems managed to beat the Boolean baseline as measured by F_1 , although it is not clear the extent to which the difficulties in 2007 might have resulted in part from an intentional focus on only lower-prevalence topics in the first two years of the Legal Track. The most effective of the automated runs from TREC 2008 employed a fusion of multiple retrieval techniques, then estimating the optimal number of documents to return by a logistic regression of features trained on the previous year's results [88].

The automated systems discussed in Section 5.5.3 produced batch runs, based only on the production request, without access to user interaction or to annotations that could be used to train a classifier. In the TREC 2007 and TREC 2008 Legal Track, a Relevance Feedback Task was run (relevance feedback being in essence a simple approach to text classification). The feedback runs were not able consistently to beat the Boolean baseline in those years, but that may be in part attributable to assessor disagreement between the assessments used to train and the assessments used to test the systems [103, 153]. Assessor disagreement was later tackled in the Interactive Task from TREC 2008 to TREC 2010 by using a topic authority (Section 5.2.3), but without Boolean queries as a reference condition.

5.5.4 Threshold Selection after Ranked Retrieval

Between 2008 and 2011, the TREC Legal Track included a task in which participating teams sought to accurately estimate the number of documents that should be produced to optimize some evaluation measure (in all cases, F_1). In 2008 and 2009, this was done in the Ad Hoc and the Batch Tasks, respectively, by asking teams to submit a ranked list and to specify what they estimated to be the optimal cutoff below which documents should not be returned. In 2010 and 2011, this was done in the Learning Task by asking teams to submit an estimate of the probability of relevance for each document, from which the team's best estimate of the optimal cutoff can be computed. The results showed that reasonable estimates are possible, but that considerable room for further improvement exists. For example, in 2010 the top four (of eight) participating teams achieved 87%, 67%, 60%

and 63% (respectively) of the maximum possible F_1 score that could have been achieved given the ranking of their best run, because of misestimating relevance probabilities, while in 2009 the corresponding figures for the top two teams (of four) were 83% and 78% because of misestimating cutoffs.

5.5.5 Finding “Hot” Documents

The 2008 Ad Hoc Task and the 2009 Batch Task of the TREC Legal Track included two evaluations for each system, one using the standard (broad) definition of relevance and a second using a narrower *materiality* standard (referred to in TREC as “highly relevant”). As expected, far fewer documents are material than are relevant, but systems that ranked documents well (relative to other systems) when judged by relevance also tended to do well (relative to other systems) when judged by materiality. For example, the same four teams achieved F_1 scores within 89% of the best run when scored by either standard.

5.5.6 Selection by Custodian

The risk of missing information through excluding seemingly less important custodians was studied by ZL Technologies in the TREC 2009 Legal Track Interactive Task [160]. The team submitted two result sets for Topic 203. In the first, they used a keyword search process, achieving an F_1 score of 0.292. For their second run, performed by a separate team, they used a two-stage process in which the team first selected four custodians in a manner similar to that used during an acquisition process (specifically, they did so based on organizational roles, not based on content) and then they conducted a similar keyword search process, achieving an F_1 score of 0.056. They reported that the first (unconstrained) run found unique relevant documents held by 77 of the 104 custodians. Although these results are based on a single search method and a single topic, they do serve to illustrate the potential for uncharacterized risks of insufficiently inclusive acquisition.

5.5.7 Classification for Privilege

An important innovation of the 2010 Interactive Task was the first shared task evaluation of systems designed to detect privileged documents. The evaluation followed the design of the Interactive Task in every detail (right down to privilege being referred to as a “topic”). The evaluation of automated review for privilege was conducted in the 2010 TREC Legal Track’s Interactive Task by crafting Topic 304 as a request for “all documents or communications that are subject to a claim of attorney-client privilege, work-product, or other any other applicable privilege or protection, whether or not they are responsive to any of the [other] document requests.” This was the only TREC topic for which identifying privilege rather than topical relevance was the goal; it (implicitly) modeled the case in which the entire collection had already been determined to be responsive to some production request. A joint team formed by a law firm (Cleary, Gottlieb, Steen & Hamilton) and an e-discovery services provider (Backstop) submitted four runs, and one run was submitted by another e-discovery services provider (Integreon). F_1 measures ranged between 0.126 and 0.408, but of particular interest was the achievement of recall values of 0.715 and 0.633 (of the 20,176 privileged documents that were estimated by the track coordinators to exist) for the two best runs. The best of these recall results corresponds to reviewing 12% of the documents to find 71% of the privileged documents. Although no published report on the methods used by that team (Cleary-Backstop) is available, the results do indicate that automated techniques for privilege review have potential.

5.6 For Further Reading

- Sanderson [117] is a comprehensive history of test collection based evaluation in information retrieval, with special attention to studies of the reliability of the methodology. A collection of papers about TREC is contained in Voorhees and Harman [157].
- Each year’s Legal Track published an overview paper that describes the collections and the methods that were tried, and that summarizes some of the findings. These, along with

the reports of TREC participants on the runs they submitted, can be found on the TREC proceedings page at NIST, <http://trec.nist.gov/proceedings/proceedings.html>. A summary of the Legal Track, with links to reports, data, research papers, and other material, can be found at <http://trec-legal.umiacs.umd.edu/>. Additionally, Oard et al. [102] gives a background and overview for the first four years of the TREC Legal Track.

- Roitblat et al. [114] describes the technical findings of the first EDI study, while Oot et al. [107] draws out their implications for a legal audience.
- Pace and Zakaras [108] review the published work on technology-assisted review for e-discovery from a cost-effectiveness perspective.
- A detailed study of using a text-classification technology (specifically, supervised probabilistic latent semantic analysis) in e-discovery is presented in Barnett et al. [10].

6

Looking to the Future

The American sage Yogi Berra is quoted as having said “I never make predictions, particularly about the future.” Writers of survey articles apparently have no such compunctions. In this section, we recap some of the most important gaps in our present knowledge and then offer our thoughts on potentially productive research directions.

6.1 Some Important Things We Don't Yet Know

Perhaps the most important open question faced by information retrieval researchers interested in e-discovery is how best to characterize the causes and effects of measurement error. Information retrieval researchers have over the years made an art of finessing the fact that they don't actually know what their users are looking for because all they can see is their queries (and, more recently, their clicks). In e-discovery, by contrast, we actually can know what the user is looking for, since the stakes are high enough for that “user” (e.g., the lead attorney) to devote considerable time and effort to clarifying their intent. This opens new possibilities for evaluation using absolute measures, but we don't yet have well developed ways of fully exploiting this

potential. Questions arising from the TREC Legal Track have recently inspired some research on the types of mistakes assessors make, but more remains to be done on not just modeling those errors, but also on learning how best to statistically correct specific evaluation measures for their effects.

A second important gap in our knowledge is how to design large recall-focused test collections in ways that optimize reusability. We know that we can characterize reusability using confidence intervals, we know that in the worst case (of adversarial design of a system that returns no assessed documents) those confidence intervals would span the full spectrum of allowable values, and we expect that in most cases that won't happen. But at present we have essentially no experience characterizing the relative cost, measured as the increase in the size of the confidence interval, that would result from post-hoc use of a test collection by a system that did not contribute to the sampling during its construction.

When research work on e-discovery began, the assumption was that once automated review for responsiveness was solved, the same technology could be more-or-less seamlessly applied to review for privilege. That has turned out not to be the case in practice, or (so far) in research. Advances in the automation of review for responsiveness have not brought the hoped-for cost savings, since attorneys do not yet trust automated methods for privilege review, and therefore frequently insist on a manual review of the responsive set. Moreover, researchers have yet to demonstrate to them that their fears are unfounded. Developing techniques for automated privilege review, and building the test collections on which they can be evaluated, are important tasks for the immediate future.

Despite being included in every commercial workflow, evaluation of deduplication remains a vast uncharted territory. Present techniques take one of two approaches, either finding only exact bitwise matches (after some preprocessing), in which case effectiveness evaluation is unneeded, or finding near matches on a best-effort basis without evaluation. Rather clearly, some near duplicates will be better choices than others in terms of their effect on the degree to which downstream tasks are able to balance costs and benefits, but, absent measurement, the

tuning of such systems remains rather a black art. The evaluation problem for deduplication resembles the evaluation problem for relevance (to the extent that the goal of deduplication is to allow relevance decisions to be made on a single exemplar), but there is much to be done between that first recognition of the need and a repeatable and affordable evaluation process that can yield useful insights.

Issues of privacy protection, and in particular how to prevent leakage of private data through repeated evaluation, will be important if the research community is to move from an evaluation model based on data distribution to one based on algorithm deposit. Algorithm deposit, which has been used to good effect for evaluation of e-mail spam filtering and music recommendation, offers promise as a repeatable and reusable approach to experimentation with sensitive materials, but the risks posed by such models in the face of adversarial behavior are not yet well characterized. If you think they are, ask yourself whether you would be willing to try an algorithm deposit model for conducting information retrieval experiments with nuclear launch codes. If not, you probably don't want to do that with highly sensitive corporate e-mail that contains confidential information that could affect stock prices, professional reputations, and the protection of trade secrets. If people are to allow academics to conduct experiments on the real data, they are going to need real information security assurances.

There has to date been far less engagement with e-discovery by researchers with expertise in information seeking behavior than by system-oriented information retrieval researchers. To some extent this makes sense — there is no information seeking behavior to study until the requisite information systems exist. The problem is that all information systems embed some model of the information seeking behavior that they are designed to support, and thus *someone* must have given design thought to information seeking behavior if such systems now exist. But whether that thought was well informed is now water under the bridge for e-discovery; we now have systems, and thus we have the opportunity to study how people are using them. It's therefore high time that information seeking behavior researchers join the fray!

Present approaches to review tend to be polar, emphasizing manual query formulation, machine learning approaches, or exhaustive review,

mostly to the exclusion of the others. Some convergence is evident, but we are still far from having a good understanding of the sorts of “all of the above” techniques that could draw flexibly on the strengths of each of these approaches. For example, despite half a decade having passed since we learned in the TREC Legal Track that bag of words techniques had trouble beating Boolean queries, our best machine learning techniques still rely on a bag of words. It remains to be seen what use can be made in automated review of entity extraction, document metadata, social network analysis, the structure and patterns of e-mail communication, the temporal and organizational locality of responsive information, and so forth. We have the test collections that we need if we are to explore ways of doing better, and indeed there now seems to be some work starting in that direction.

Research and technology development in e-discovery has focused to date on the problem of automating review for production. But this is only one of the phases in the e-discovery process. Prior to production, parties must assess the strength of their position, determine their strategies, and negotiate with their opponents, including on the terms of the production itself — a stage known as “early case assessment” (ECA). Since the great majority of civil cases are settled before they go to trial, effective ECA tools are just as important as efficient automated review systems, but have attracted far less research attention to date. A wide range of technologies are applicable here, such as exploratory search and data analysis, data visualization and social network analysis. And even before ECA in the process, attention is still needed to the management of corporate document repositories in a way that facilitates recurrent e-discovery and maximizes information value for business purposes, issues involving another distinct set of research questions.

The real test of research and development will be the widespread adoption of what we have learned as a basis for best practices in the law. There is still a vigorous debate playing out between lawyers, and between lawyers and the courts, about precisely what questions we will need to answer. But it seems fairly clear that the three basic questions will be (1) how well do you expect to be able to do (for some given

cost)? (2) how do you achieve that? and (3) once you have done it, how do you demonstrate how well you actually did? The key, from the perspective of information retrieval researchers, will be to remain attuned to precisely how the courts ask those questions, and to inform the legal community's discussion of these issues based on our understanding of the fundamental limitations of our own techniques.

6.2 Some Prognostications

It seems fairly safe to make two simple predictions. First, like Web search, e-discovery will bridge many disciplines that have heretofore been separate. Already, we have lawyers and information retrieval researchers engaged in a rich discussion. However, information retrieval is but one of the disciplines on which e-discovery relies. Advances in techniques for automating review, and most especially in privilege review, would rebalance the emphasis among disciplines, with disciplines as diverse as visual analytics, data mining, and statistical process control perhaps coming to the fore. Essentially, e-discovery is a team sport, and the better we do on our part of the team's work, the more important it will become to integrate our work with those who bring expertise in other parts of the puzzle. We will need polymaths who can move fluidly between disciplines to help us recognize and enhance those connections.

Second, the ultimate questions in e-discovery are not about what our technology will be able to do, or how our present legal system will use what we can build, but rather about how the law and the technology that supports it can and should co-evolve. Neither technological determinism nor social construction of technology can tell the whole story; technology and society evolve together in complex ways that depend in part on the path that brought us here. The world is a complex place, and e-discovery practice in the USA is just one part of that story. Other nations, with other legal systems, will follow different paths. Moreover, our technology will be appropriated for purposes that we might anticipate (e.g., transparency in government) and for others that we might not. As a result, we need more than just polymaths who can move

between technical disciplines; we need polymaths who can help us all to manage this somewhat chaotic and unpredictable co-evolution.

6.3 For Further Reading

- Baron [14] is a commentary on the current state of the field, and the future challenges and opportunities it faces, focusing on more iterative and cooperative discovery processes, the adoption of automated text analysis tools, and standards for better production quality control.
- In *Da Silva Moore v. Publicis Groupe et al.*, 11 Civ. 1279 (ALC) (AJP) (S.D.N.Y. Feb. 24, 2012) (“Opinion and Order”),¹ the court presented the first judicial opinion approving the use of computer-assisted coding (i.e., text classification), creating an enormous splash in the e-discovery community (which can be traced in the blogosphere). The case is ongoing, but this opinion offers important insight into what the adaption of automated text analysis tools means for the law.
- In a reprise of “turtles all the way down,” those who study how best to make and use information retrieval technology are in turn studied by scholars working in the field of Science, Technology and Society (STS). For classic critiques of technological determinism, see Bijker et al. [21] or Mackenzie and Wajeman [89]. STS scholars can also be found in abundance at the annual conference of the Society for Social Studies of Science (4S). Which, of course, leads to the question of who studies the STS scholars?

¹Document 96 at <http://archive.recapthelaw.org/nysd/375665/>

7

Conclusion

When finally apprehended, bank robber Willie Sutton was asked by a reporter why he robbed banks. His answer was disarmingly simple: “because that’s where the money is.” So it is in information retrieval as well — we work on the problems where the money is. We do so not merely because those problems are important to our society, at least as judged by a strictly financial yardstick, but also because those “challenge problems” become the laboratories within which we develop technologies that will also be important in ways that perhaps we can’t even yet envision. In a very real sense, technology and society meet “where the money is.” Over the last decade, e-discovery has emerged as one of these laboratories for innovation, and there’s no sign of that changing any time soon.

It used to be said that ranked retrieval was demonstrably better than exact-match techniques that returned a set. A close reading of that literature indicates, however, that the unstated caveat was *better for the person with the information need*. The research to date on e-discovery seems to suggest the opposite conclusion: when the requesting party is not able to see the collection, then what they need is a set of documents, and the best way we know (at least so far) to get a set of

documents is to build a classifier that seeks to produce that set. That's not to say that there is not a place for ranked retrieval in e-discovery. But as Willie Sutton would remind us, the money in e-discovery is presently being spent largely on review for responsiveness and privilege, and those activities by their nature (at least the way the law is presently structured) are set-based. If Willie Sutton were alive today and working on e-discovery, he would be working on set-based retrieval.

A second truism in information retrieval research is that we can make relative effectiveness comparisons fairly reliably, but that absolute measures of effectiveness are elusive because different people have different conceptions of relevance. Not all truisms are true, however. In particular, research on e-discovery has shown that it is possible (using an interactive experiment design) to give systems and assessors nearly the same conception of relevance, and that doing so yields results that can be useful for cases in which some single authority exists (e.g., the lead attorney for one of the parties).

Reliance on interactive evaluations is sometimes seen as problematic, however, because a third factor shaping the world view of information retrieval researchers is that interactive experiments are expensive and often inconclusive. At the same time that e-discovery researchers were learning that "expensive" is a relative concept and that e-discovery is indeed a viable setting for studies that might well be far too expensive in other applications, Web researchers were learning how to do informative interactive A-B studies at heretofore unimaginable scales at quite modest (relative) costs. Predicting a renaissance in interactive experimentation might be overstating the case, but nevertheless it now seems quite clear that e-discovery has something to offer researchers who are interested in that kind of work.

The research on e-discovery has, of course, not all been focused on broad ideas with transformational potential. Indeed, the progress has been incremental. We find it quaint and perhaps a bit humorous that early newspapers looked like pamphlets, and that early news Web sites looked like newspapers. Others studying us will see the same type of behavior in our use of Mean Average Precision in the first year of the TREC Legal Track, of course. Paradigm shifts are rare; science most often advances in small steps. We now know much more

about evaluation design for set-based retrieval from large collections than we did before. We know more about how to control measurement error when absolute effectiveness measures are important. We have new test collections containing scanned documents and e-mail (with attachments). All of these advances, and several others, will have effects that reach far beyond e-discovery.

But the results of research are more than just what we learn; those who learn it are also changed. We now have e-discovery researchers in our midst who first practiced law but now study information retrieval, and who first studied information retrieval but now practice law. Research is in many ways a craft in the sense intended by the guilds of old: research produces researchers. Including, now that you have read this volume, you.

A

Interpreting Legal Citations

Common law relies upon evidence and precedent. It is natural, therefore, that legal writing, in the courts and in scholarly journals, is marked by extensive citations; one journal article selected at random has 219 footnotes, almost all citations, in its 48 single-column pages. Legal writing must cite not only to standard publications, such as books and articles, but also to legislation, case law, and court filings, across multiple jurisdictions, and issued by various, sometimes overlapping publishers. It is not surprising, therefore, that rigorous and complex standards for legal citation have been developed by the profession. In the USA, these standards are systematized in *The Bluebook*, a 500-page guide now in its 19th edition [62] — a guidebook so intimidating that it has brought forth in turn guidebooks to it [17]. While full fluency in creating such citations is not required for readers (nor, fortunately, for writers) of this survey, some familiarity in deciphering them is helpful. We are only able in this appendix to examine citation standards in US law (as in the preceding we have only been able to consider the effect US law and precedent on e-discovery practice).

A.1 Case Law

Case law consists of the written opinions of judges explaining their judgment in cases before them. The filings, evidence, arguments, and in-process remarks of the judge are not part of case law, though some of these may be reproduced by the judge in his or her written opinion. Case law is the main form of precedent in common law countries such as the USA.

Citation to a case law in the USA follows the general format:

Plaintiff v. Defendant, Volume Series FirstPage [, CitedPage] ([Venue] Year).

Take a citation touching on waiver of privilege due to over-production as an example:

Mt. Hawley Ins. Co. v. Felman Prod., Inc., 271 F.R.D. 125, 136 (S.D.W.Va. 2010)

The case had the Mt. Hawley Insurance Company suing Felman Productions (over an alleged fraudulent insurance claim). The opinion is reported in volume 271 of the Federal Rules Decisions (a series, or in legal terms “reporter,” of case law published by West Publishing), starting on page 125; the particular point the citer wishes to draw attention to is located on page 136. The case was heard in the U.S. District Court for the Southern District of West Virginia, and was decided in 2010. In legal writing, the citation is frequently followed in parentheses by a summary or quotation of the point the citer asserts the case speaks to.

Naturally, one is unlikely to have the 300-odd volumes of the Federal Rules Decisions ready to hand. Nowadays, case law is generally accessed through online portals. Supreme court decisions are publicly available (for instance, through Google Scholar), but many other jurisdictions are only available through subscription services such as WestLaw and LexisNexis (which may be accessible through your institution). When searching for a specific case, the Volume–Series–FirstPage format (such as “271 F.R.D. 125”) is the surest to find the sought-after case documents, though the names of the parties (such as

“Mt. Hawley v. Felman”) has better recall for informal commentary on the case.

A.2 Statutes and Rules

The format of a statute citation depends upon the jurisdiction issuing the statute. State statutes citation format varies from state to state; a sample format is

State Code Title §Section [(Publisher Year)] .

For instance,

Md. Code Ann. Lab. & Empl. §3-712

is a statute in the Annotated Labor and Employment Code of Maryland, coming into effect on October 1, 2012, which prevents employers from asking current or potential employees for their social media passwords (something with evident implications for e-discovery). Federal statutes are cited as

TitleNumber Code §Section [(VolumeYear)] .

For example,

28 U.S.C. §1920

is a statute of the United States (federal) Code, under Title 28 (denoting subject area), Section 1920, which defines costs that may be recovered in a court case; whether this allows the victorious party to claim e-discovery costs from their opponents is currently under dispute.

The regulations most directly affecting the practice of e-discovery, however, are not statute law, but state and federal rules of civil procedure, most importantly the Federal Rules of Civil Procedure (FRCP) themselves. The FRCP are issued by the United States Supreme Court, subject only to veto by Congress. The FRCP are cited simply in the form:

Fed. R. Civ. P. Rule [Section ...].

So, for instance,

Fed. R. Civ. P. 26(b)(2)(C)(iii)

is the sub-item in the FRCP which requires the court to limit the scope of discovery if it determines that the expense outweighs the benefit (the principle of proportionality). Note that, although the FRCP are updated from time to time (mostly notably to cover ESI in 2006, and most recently in 2010), the revision year of the cited rule is generally not stated. Citations to state rules of civil procedure (most, but not all, of which are based upon the federal rules) generally follow a similar format, but with the state's abbreviation prepended. Rules and statutes are generally publicly available on the web.

A.3 Other Court Documents

The opinions of case law are what comes out of a case; the docket is what goes into it. A case docket consists of the filings, affidavits, transcripts, motions, orders, and other documents submitted and produced in the course of a case. These do not establish precedent, and so are not frequently cited by lawyers, except as back-references within the one case, or in the appeal hearing for a previous case. Nor are these documents printed by court reporters as part of case law, making that citation format inapplicable (as it is for cases currently being argued). These documents do, however, contain interesting information about current e-discovery procedure, about points at issue in e-discovery practice, and about the beliefs, attitudes, and understandings (or lack thereof) of trial participants regarding e-discovery. Moreover, court documents are published as a trial proceeds, and provide evolving insight (and spectator opportunities) for ongoing cases of current interest (of which there are at least two in the e-discovery realm at time of writing).

Citation formats for citing to court documents seem to vary more widely than for case law and statutes; the formal Bluebook standard is somewhat obscure and does not appear generally used. The general principle is that the case must be specified (which is the easy part), then the document within the case (which is not so straightforward).

A frequently-used format, and the one we follow, is thus:

Plaintiff v. Defendant, CaseId [at Page] (Venue Date)
(Title).

So, for instance:

Da Silva Moore v. Publicis Groupe et al., 11 Civ. 1279
(ALC) (AJP) at 5 (S.D.N.Y. Feb. 22, 2012) (“Parties’
proposed protocol [...] and Order”)

cites to page 5 of an e-discovery protocol, made an order of the court and filed on February 22, 2012, in the *Da Silva Moore v. Publicis Groupe* case (case number 11 Civ. 1279), being heard in the District Court of the Southern District of New York.

Unless a case is sealed by the order of the judge, court documents are public records; but accessing them is not straightforward. The official portal for US federal court documents is PACER (Public Access to Court Electronic Records). Access to documents through PACER, however, requires not only an account, but also the payment of a charge per sheet (10 cents at the time of writing). As anyone who has been charged per page by a lawyer can tell you, legal documents are not compactly formatted; the cost of downloads from PACER can therefore quickly mount. Limited coverage of dockets are provided free through sites such as justia.com and recapthelaw.org. When a reference to the docket of an in-process is made, we provide the URL of a page giving (partial) free coverage for that docket, with the document number of document within that docket. So, for instance, the above-cited *Da Silva Moore v. Publicis Groupe* protocol is Document 92 at <http://archive.recapthelaw.org/nysd/375665/>.

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Notations and Acronyms

Acronym	Meaning
4S	Society for Social Studies of Science
ACM	Association for Computing Machinery
AP	Average Precision
AUC	Area Under Curve
AUROC	Area Under ROC
bcc	Blind Carbon Copy (an e-mail header)
CMU	Carnegie Mellon University
cc	Carbon Copy (an e-mail header)
CDIP	Complex Document Information Processing (test collection)
DESI	Discovery of Electronically Stored Information (workshop series)
DCG	Discounted Cumulative Gain
ECA	Early Case Assessment
EDI	Electronic Discovery Institute

Acronym	Meaning
EDRM	Electronic Discovery Reference Model
EDRMS	Electronic Document and Record Management System
ESI	Electronically Stored Information
FERC	Federal Energy Regulatory Commission
FRCP	Federal Rules of Civil Procedure
IIT	Illinois Institute of Technology
IR	Information Retrieval
MAP	Mean Average Precision
MCC	Matthews' Correlation Coefficient
MD5	Message Digest 5 (hash algorithm)
MIME	Multimedia Internet Message Extensions
MIT	Massachusetts Institute of Technology
OCR	Optical Character Recognition
OLAP	On-Line Analytic Processing
OLE	Object Linking and Embedding
PDA	Personal Digital Assistant
PRES	Patent Retrieval Evaluation Score
PST	Personal Storage Table (e-mail file format)
RBP	Rank-Based Precision
ROC	Receiver Operating Characteristic
SIGIR	ACM Special Interest Group on Information Retrieval
SIRE	SIGIR Information Retrieval for E-Discovery (workshop)
SLA	Service Level Agreement
SRS	Simple Random Sample
STS	Science, Technology, and Society
TA	Topic Authority
TREC	Text Retrieval Conference
USA	United States of America
USD	United States Dollars

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