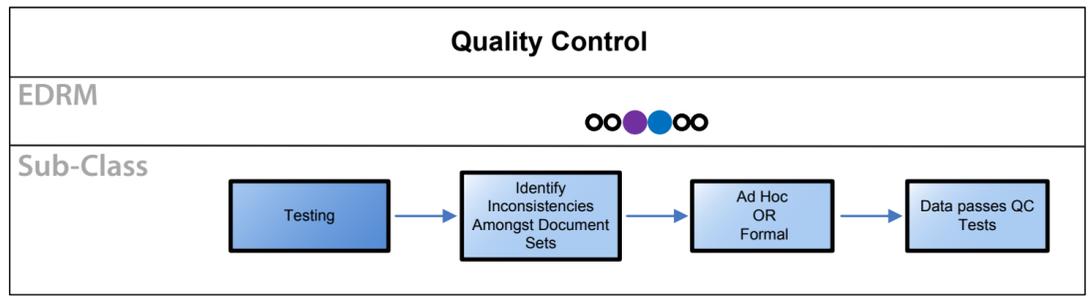
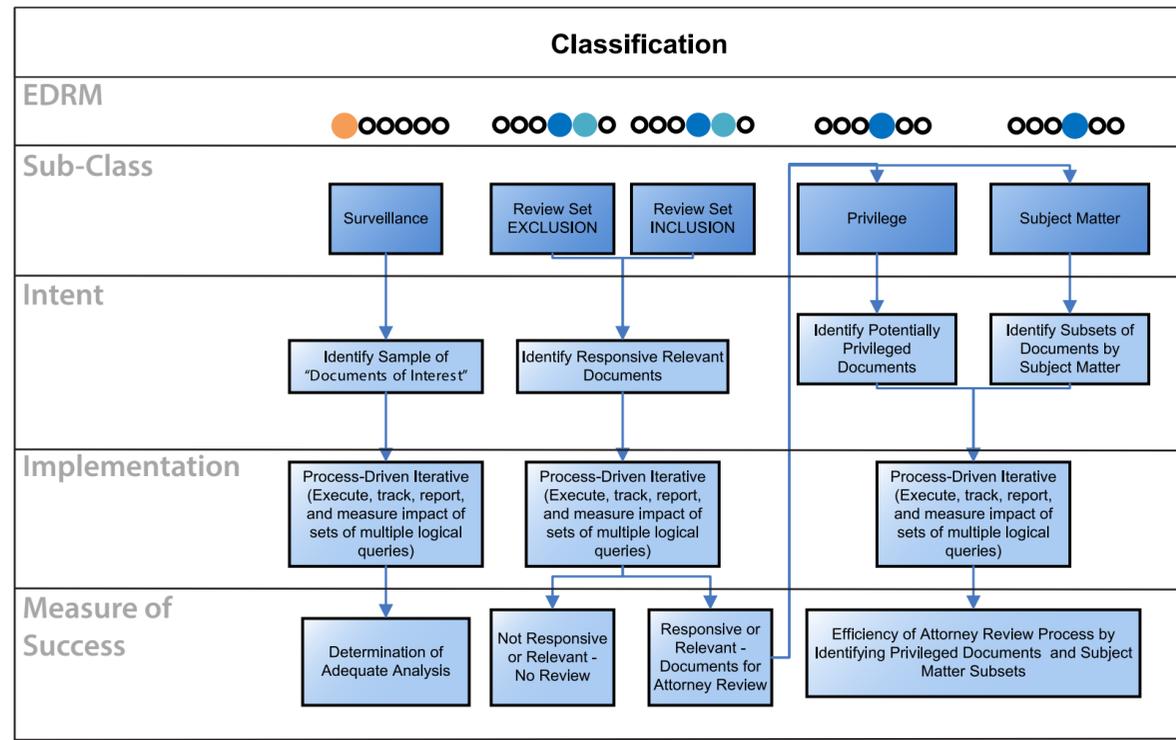
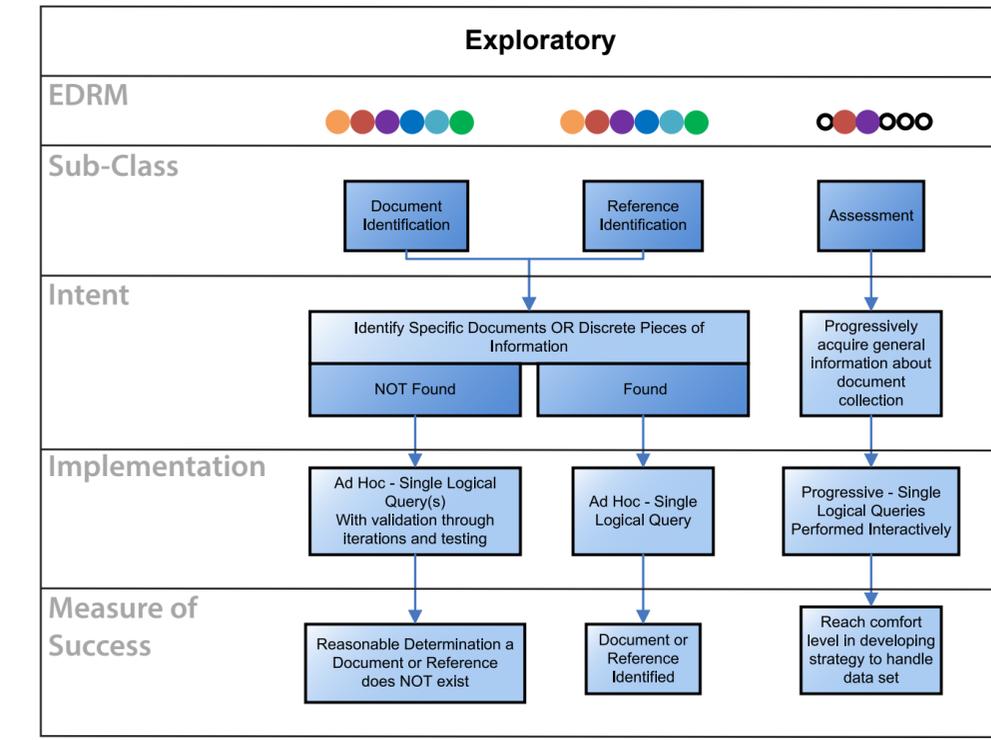


EDRM Search Intent Framework

EDRM Legend



Exploratory Class	
Sub-Class	Description
Document Identification	Determine whether a specific document exists. The typical approach is to run a set of queries to find the document. If the document is found, no validation is required. If the document is not found, further queries should be run to ensure the document was not inadvertently missed. If the document is still not found, test the comprehensiveness of your search methodology. It's also appropriate to investigate the data processing and indexing endeavor—sources indexed, data processing exceptions, etc.—to be sure that all files and data sources were properly indexed and processed.
Reference Identification	Determine whether a specific reference, or discrete piece of information, exists. The typical approach is to run a set of queries in an effort to find the reference. If the reference is found, no validation is required. If the reference is not found, further queries should be run to ensure the reference was not inadvertently missed. If the reference is still not found, test the comprehensiveness of your search methodology. It's also appropriate to investigate the data processing and indexing endeavor (sources indexed, data processing exceptions, etc.) to be sure that all the files and data sources were properly indexed.
Assessment	Acquire general information about a document collection. Typically a progression of single logical inquiries are run with the results analyzed until reaching a comfort level in developing a strategy to handle the data set.

Classification Class	
Sub-Class	Description
Surveillance	Identify malfeasance via running iterative searches on electronic communications—email, IM, Social Media and so on. The most prevalent use case is banks complying with SEC, NASD, and FINRA regulations. Regulations require banks to supervise communications between registered broker dealers and their clients. Searches in this case are designed to identify insider trading, collusion, unlawful gifts, etc. Search terms and lexicons are tweaked to ensure that they are neither over inclusive or under inclusive. Use cases such as pharmaceutical companies trying to identify off label marketing or any organizations concerned about ongoing malfeasance are also common.
Review Set Exclusion	Identify a set of non-responsive documents to withhold from review. This process involves executing, tracking, reporting, and measuring the impact of sets of multiple logical queries. Iterative searches are run until reaching a comfort level that reasonable steps were taken to ensure the results are not over inclusive.
Review Set Inclusion	The purpose is to identify potentially responsive documents to include in a review set. This process involves executing, tracking, reporting, and measuring the impact of sets of multiple logical queries. Iterative searches are run until reaching a comfort level that reasonable steps were taken to ensure the results are not over inclusive.
Privilege	Identify a subset of potentially privileged documents, usually from the set of documents already selected for review. The typical approach is to run a series of logical queries based on assumptions of what will be privileged. These queries should be tracked and measured in order to evaluate their impact, and the process iterated until satisfied with its efficiency. The identification of privileged documents requires more stringent validation than many other classification queries. This is because case law suggests that the reasonableness of the attempts to avoid inadvertent disclosure of privileged information can play a role in the determination of waiver. This is especially true if portions of the review population will be produced without lawyer review.
Subject Matter	Identify subsets of documents by subject matter, usually from the set of documents already selected for review. The typical approach is to run a series of logical queries based on assumptions of what each subject will contain. These queries should be tracked and measured in order to evaluate their impact, and the process iterated until satisfied with its efficiency. Because the intent of subject matter classification is often solely for review efficiency, there is usually only a limited need for validation. However, the degree of scrutiny as to the accuracy of the process rises if review calls will be based solely upon search-dependent classification.

Quality Control Class	
Sub-Class	Description
Testing	Identify inconsistencies in a document set. Quality control testing is typically done during review and production to test that documents are properly coded and are appropriate to either be produced or not produced. The testing can be formal or ad hoc depending on the circumstances. Concerned about ongoing malfeasance are also common.