Legal Process Outsourcing (LPO) at UBS

Stephanie Arkin
Director, UBS Supply & Demand Management

October 15, 2012
Potential LPO Drivers for Corporations

- Cost
- Volume of litigation, employment and regulatory matters
- Technology Selection and Consistency
- Ediscovery Process Partner and Consistency
- Data Management
LPO Capabilities

Standard LPO capabilities

- **Processing:** Ingestion, extraction of system files, de-duplication, indexing, keyword search, data culling, extraction of metadata, extraction of full text, links to native files, formatting for hosted database, password cracking, Bloomberg parsing, voice processing.

- **Hosting:** Host processed data for period of review; after the review, data can be archived and maintained at the vendor for later use, destroyed or returned to UBS.

- **Review:** 1st level review, training, licenses, Internet access, reviewers, background screening of reviewers, overtime on short deadline, privilege logs, coding, facilities (in the UK and US), equipment.

- **Production:** CDs, DVDs, etc. delivered to UBS.

- **Project Management:** Management through all steps in the process.

Additional optional LPO capabilities

- Forensics
- Certification, Testimony
- Scanning
- Mobile Technology (All standard activities can be done onsite at UBS)
Sourcing Process

Step 1
**Governance**: Decision to formalize use of LPOs; Determination regarding sponsors, participants, etc.

Step 2
(a) **Research**: Articles, Webinars, Rankings, Vendor Interviews

(b) **Ediscovery Model**: Determination of how LPO fits into Ediscovery model. **May vary regionally**

Step 3
**RFI**: Evaluate and select Vendors

Step 4
**Negotiate and Execute Agreements**, including **Risk Review**: To avoid conflict issues, need at least two vendors

Step 5
**Implementation**: Testing, Planning, introduction and training for in-house and outside counsel

Step 6
**Evaluate and Iterate**: Communicate with users; Evaluate Service; Lessons learned, Adjust terms; Continue research;
Ongoing Considerations

- Interaction with Outside Counsel
- Immature but developing LPO activity in EMEA and APAC
- New Tools
- New Business Models
- Review Location