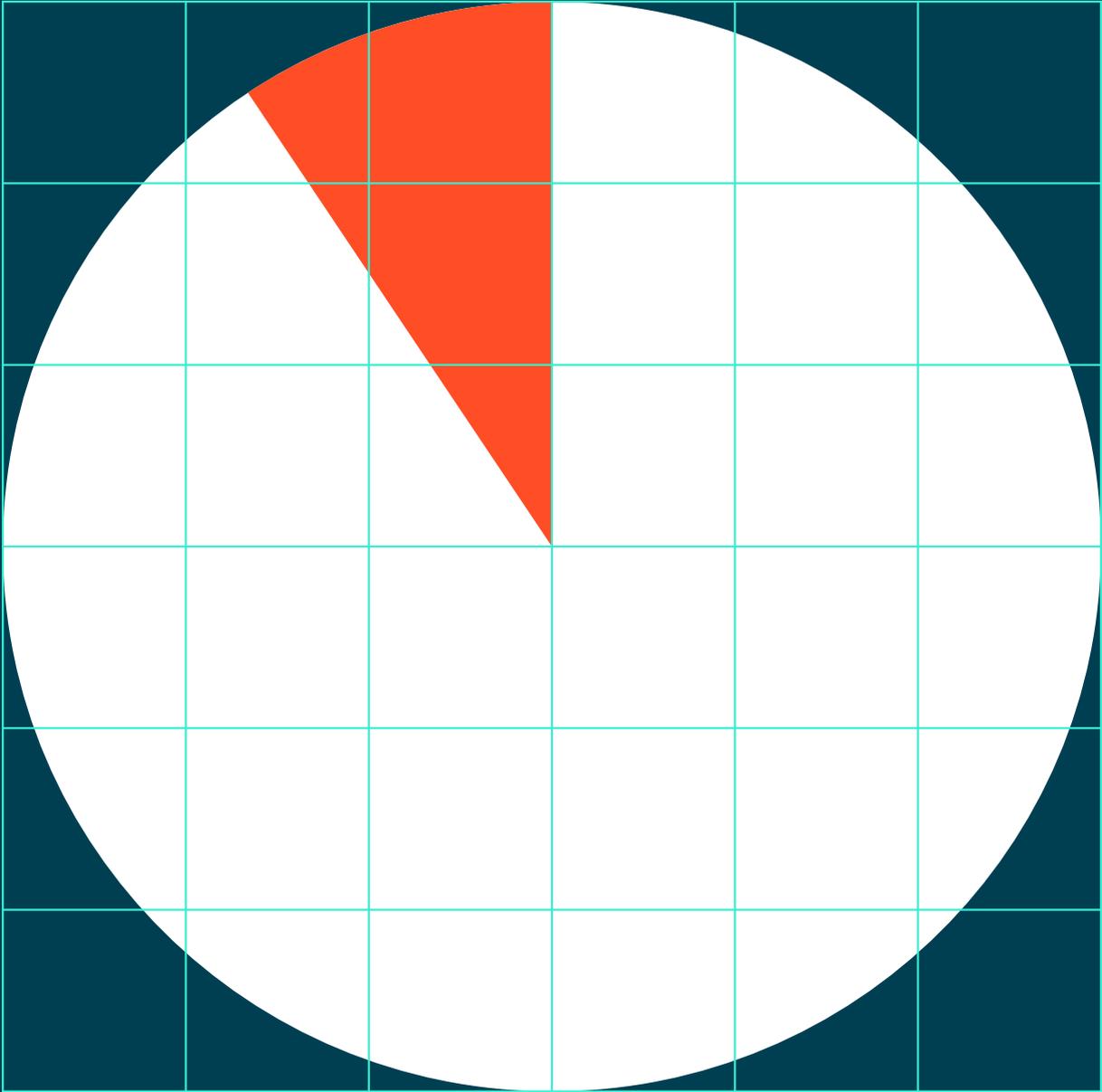


# Key timings: Regulatory matters



# In this guide we explore key eDiscovery timings for lawyers to consider in regulatory matters.

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Reading time	4 minutes	Page count	8 pages	Word count	871 words
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eDiscovery and peripheral workflow solutions can give lawyers a competitive advantage when managing the collection, analysis and review of data and documents, from the outset of their matters until the very end.

Understanding the key moments throughout the regulatory response process at which you should consider the use of eDiscovery technology and services, will give you the maximum positive impact from working with your eDiscovery partner.

The key eDiscovery timings for regulatory matters are as follows:

### **Industry indicators**

Due to the tight time frames surrounding regulatory responses it is good to keep an eye on the relevant industry developments and market sentiment that might point towards an increase in regulatory activity. If this is noted, then preliminary steps should be taken to identify the potential volume and types of data that might be relevant well in advance of the receipt of any notice or request.

### **Initial client meeting**

Ideally this meeting will occur prior to the receipt of the notice or request because of a regulator's general interactions with an organisation about pending or future regulatory action. If so, steps should be taken to understand the scope of any potential request and look to confirm the volume and type of data that is the subject of the request, develop a plan for collection, and otherwise execute that plan as soon as possible.

## **Receipt of regulator request or notice**

In many situations some key data can be collected and analysed prior to the receipt of a regulatory request or notice. This can help the legal team to prepare for any future requests or notices. You should take steps to interrogate the data collected with reference to the relevant scope of the notice as quickly as possible. The aim should be to determine what volume of documents you will have available for review and the time within which you will be able to process them. This will give some perspective as to whether the notice response period is useful. You can use the relevant search reports to assist in substantiating your negotiations with the Regulator as to the potential scope or timing for response to the notice or request.

## **Response deadline and format**

Many regulators place specific requirements on the form of the response that they will require from an organisation tasked with responding. It is important that this is factored into the review workflow so that it limits any potential delay when finalising the response within the deadline specified.

## **Future request preparation**

Many regulatory response matters involve more than one request or notice. Any work done in relation to an initial request should be preserved. The process should be reviewed for areas of improvement and the workflow adjusted to suit to improve future response processes and timing.

## **Time extensions**

In some situations, a time extension may be required due to the significant volumes of data collected because of a wide relevance scope. In these situations, your eDiscovery partner can assist by providing information relating to the collected data including review timeframes, complexity, and volume.

## Helpful resources

As specialists we continually invest in R&D and best practice so we can advise our partners with confidence. These insights culminate in [helpful resources](#) and [references](#) for lawyers and decision-makers.

### Data Identification Questionnaire

Our questionnaire aims to help you quickly and accurately identify data potentially relevant to your matter. The information captured from key stakeholders will facilitate the development of a collection plan and enable its swift and defensible execution.

[Learn what to consider](#)

### Practice direction by jurisdiction (Australia & UK)

Reference our index of all Australian and UK eDiscovery practice directions.

[Learn what to consider](#)

## Learn more

Capturing critical documents	<a href="#">↗</a>
Identifying and managing challenging data	<a href="#">↗</a>
Managing stakeholder expectations	<a href="#">↗</a>

Across hundreds of matter types in all sectors and jurisdictions, we focus on solutions and impact. Here is a selection of matters that may be relevant to you.

### Relevant matters

#### **Developing a custom workflow for a complex regulatory investigation**

Regulatory, Collect, Process, Review, Produce

[Read](#)

#### **Responding to APRA and ASIC**

Dispute, Collect, Process, Review, Produce

[Read](#)

#### **Responding to an industry regulator**

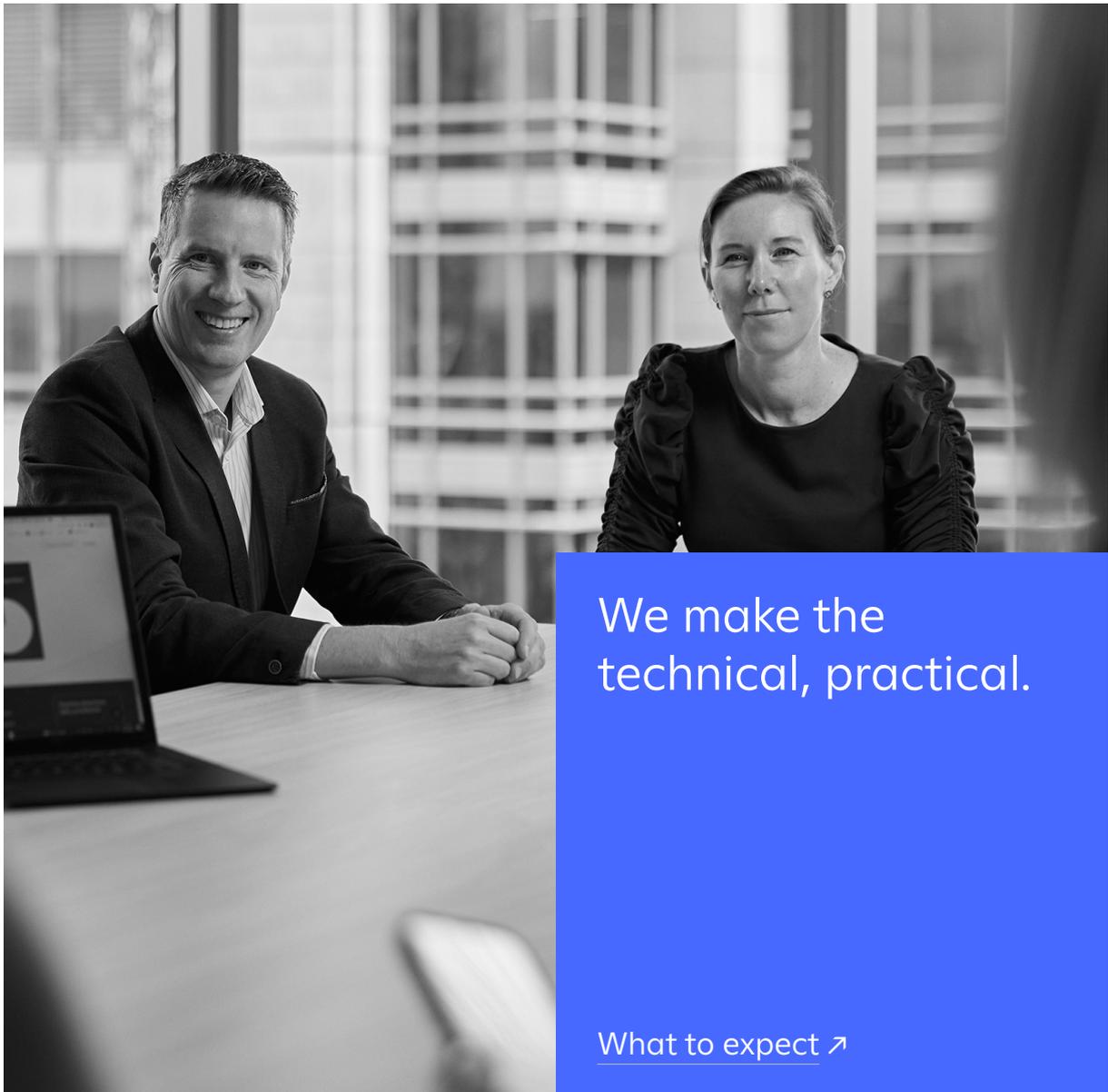
Regulatory, Collect, Process, Review, Produce

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Our expert team of lawyers and technologists are available to assist you with navigating all stages of your matter, from the first meeting, through scoping, to completion. We focus on technical solutions so you can focus on the law. Find out how we help.



We make the technical, practical.

[What to expect ↗](#)

