

Legal Case Retrieval for a Given Legal Scenario

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1. Introduction

Why Precedent Matters & Why It's Tough to Find

- ▶ Precedent = past court decisions that guide how judges rule today (doctrine of *stare decisis*). [1,2]
- ▶ Lawyers must locate cases with similar facts, the same legal issue, and a supportive outcome—or distinguish the ones that hurt their side. [1,2]
- ▶ The search space is messy: [1,3]
- ▶ Millions of cases across many courts, countries, and decades. [3,4]
- ▶ Changing language & laws (“duty of care” in English ≈ different terms elsewhere). [3]
- ▶ Different authority levels (supreme vs. trial courts, local vs. foreign). [1,2]
- ▶ Missing a key case can sink an argument; finding one early saves time and may even force settlement. [2]

[1] Feng *et al.* *Legal Case Retrieval: A Survey*, 2024.

[2] Locke & Zuccon. *Case Law Retrieval: Problems, Methods, Challenges*, 2022.

[3] Sansone & Sperli. *Legal Information Retrieval Systems: SOTA & Open Issues*, 2022.

[4] Ma *et al.* *Retrieving Legal Cases from a Large-Scale Candidate Corpus* (COLIEE 2021), 2021.

2. Research Problem

Three Obstacles We Must Overcome

- ▶ **Layered relevance** (for better accuracy and relevance). [1,2,5]
 - ▶ A “good” precedent must match on facts + legal issue + outcome, not just keywords. [1,2,5]
 - ▶ Audits show many systems get one layer right and miss the others. [2,5,6]
- ▶ **Jurisdiction & language variety.** [1,3,7,8]
 - ▶ Case law spans different courts, legal traditions, and languages. [1,3,7,8]
 - ▶ Models that ace Canadian data can flop on Chinese or South-Asian corpora. [3,7,8]
- ▶ **Need for transparent justification.** [6,9,10,11]
 - ▶ Lawyers cite paragraphs, not scores. [6,9,10,11]
 - ▶ Tools that highlight the exact passage earn far higher practitioner trust. [6,9,10,11]

[1] Feng *et al.* *Legal Case Retrieval: A Survey*, 2024.

[2] Locke & Zuccon. *Case Law Retrieval: Problems, Methods, Challenges*, 2022.

[3] Sansone & Sperli. *Legal Information Retrieval Systems: SOTA & Open Issues*, 2022.

[5] Li *et al.* *Towards an In-Depth Comprehension of Case Relevance*, 2024.

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[7] Rabelo *et al.* *COLIEE 2021 Overview & Discussion*, 2022.

[8] Bi *et al.* *Heterogeneous Graph Embedding for Chinese Legal Doc Similarity*, 2022.

[9] Pipitone & Hour Alami. *LegalBench-RAG Benchmark*, 2024.

[10] Louis *et al.* *Interpretable Long-Form Legal QA*, 2024.

[11] Yu *et al.* *Explainable Legal Case Matching via Rationale Extraction*, 2022.

3. Research Objectives

Research Objectives

- ▶ **O1 - Cross-Jurisdiction Ranking & Retrieval.** [1,5,12]
Build a hybrid model that finds and ranks precedents by legal weight *and* factual closeness—even when terminology, citation style, or doctrine differ across courts, languages, or traditions. [1,5,12]
Why it matters: Lawyers can rely on the top results, no matter where (or in what language) the key case was decided. [1]
- ▶ **O2 - Information-Rich Vector Knowledge Base.** [1,9,12]
Represent every judgment with dense embeddings **plus** annotated metadata (facts, issues, statutes, cited cases). [1,9,12]
Why it matters: Enables precise filters (e.g., only Supreme Court cases after 2010) and multi-dimensional similarity scoring. [1,9]
- ▶ **O3 - Transparent, Paragraph-Level Explanations.** [5,9,10]
Return each case with highlighted snippets and a confidence signal showing exactly how it aligns on facts, issue, and outcome. [5,9,10]
Why it matters: Gives practitioners copy-and-paste citations and instant insight—no black-box scores. [9,10]

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[5] Li *et al.* *Towards an In-Depth Comprehension of Case Relevance*, 2024.

[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

[10] Louis *et al.* *Interpretable Long-Form Legal QA*, AAAI 2024.

[12] Li *et al.* *SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval*, SIGIR 2023.

4. Current Literature

4.1 Datasets Used

Why Curated Datasets Matter

- ▶ Benchmark progress & reproducibility. [1,3,7,9]
- ▶ Cross-jurisdiction comparability (English, Chinese, German). [7,8,13]
- ▶ Stress-tests for reasoning (Bar Exam QA, Housing Statute QA). [9,14,15]
- ▶ Graded labels enable fine-grained evaluation. [5,6,9]

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[9] Pipitone & Hour Alami. *LegalBench-RAG Benchmark*, 2024.

[13] Müller *et al.* *GerDaLIR: German Legal IR Dataset*, 2022.

[14] Wiratunga *et al.* *CBR-RAG: Case-Based Reasoning for RAG in Legal QA*, 2024.

[15] Zheng *et al.* *A Reasoning-Focused Legal Retrieval Benchmark*, 2025.

Flagship Benchmark 1 - COLIEE

- ▶ **Jurisdiction / Language:** Canadian common-law; English. [7,17]
- ▶ **Scale:** ≈4.4k candidate cases; 200+ query cases (2023). [4,7,17]
- ▶ **Core tasks:** case retrieval, entailment, statute QA. [7,17,18]
- ▶ **Community impact:** default test-bed for graph-aware models (e.g., CaseLink). [16,7]
- ▶ **Design choice:** annual refresh keeps queries new but corpus fixed - “TREC-style” stability. [7,18]

[4] Ma et al. *Retrieving Legal Cases from a Large-Scale Candidate Corpus* (COLIEE 2021 Workshop), 2021.

[7] Rabelo et al. *COLIEE 2021 Overview & Discussion*, 2022.

[16] Tang et al. *CaseLink: Inductive Graph Learning for Legal Case Retrieval* (SIGIR 2024), 2024.

[17] Kim et al. *Legal Information Retrieval & Entailment Using Transformer-Based Approaches*, 2024.

[18] Askari et al. *Leibi@COLIEE 2022: Aggregating Tuned Lexical Models & Cluster-Driven BERT*, 2022.

Flagship Benchmark 2 - CAIL LCR Tracks

- ▶ Jurisdiction , Mainland-Chinese criminal | Chinese [19,20]
- ▶ Scale: > 1 M judgments distilled to 1.2 k labelled queries [19,20,21]
- ▶ Drives Chinese SOTA systems (SAILER, SLR) [12,20]
- ▶ Long-document nature , perfect for multi-stage, high-recall pipelines [12,20,21]

[12] Li *et al.* SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval, SIGIR 2023.

[19] Xiao *et al.* CAIL2018: Large-Scale Legal Dataset for Judgment Prediction, 2018.

[20] Ma *et al.* Incorporating Structural Information into Legal Case Retrieval (SLR), ACM TOIS 2024.

[21] Hu *et al.* BERT_LF: Similar Case Retrieval Based on Legal Facts, 2022.

Other Key Corpora at a Glance

- ▶ **LeCaRD v2** - Chinese passage IR; nDCG gains via query expansion. [22,20,21]
- ▶ **GerDaLIR** - 123k German passages; graph negatives add +7 MRR. [13,23,16]
- ▶ **LegalBench-RAG** - 6.9k Q/A/snippet triples for RAG faithfulness. [9,14,10]
- ▶ **Bar Exam QA & Housing Statute QA** - 10k reasoning-heavy queries. [15,9,10]
- ▶ **SCaLe-QA** - Sinhala/Tamil embeddings for Sri-Lankan law. [24,1]

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[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

[10] Louis et al. *Interpretable Long-Form Legal QA*, AAAI 2024.

[13] Müller et al. *GerDaLIR: German Legal IR Dataset*, 2022.

[14] Wiratunga et al. *CBR-RAG: Case-Based Reasoning for RAG in Legal QA*, 2024.

[15] Zheng et al. *A Reasoning-Focused Legal Retrieval Benchmark*, 2025.

[16] Tang et al. *CaseLink: Inductive Graph Learning for Legal Case Retrieval*, SIGIR 2024.

[20] Ma et al. *Incorporating Structural Information into Legal Case Retrieval*, TOIS 2023.

[21] Hu et al. *BERT_LF: Similar Case Retrieval Based on Legal Facts*, 2022.

[22] Zhou et al. *Boosting Legal Case Retrieval by Query Content Selection with LLMs*, 2023.

[23] Bhattacharya et al. *Legal Case Document Similarity: You Need Both Network and Text*, IP&M 2022.

[24] Perera et al. *SCaLe-QA: Sri Lankan Case-Law Embeddings for Legal QA*, 2023.

Dataset Challenges & Advanced Labels

- ▶ **Long opinions** - need paragraph chopping + offset maps. [12,11]
- ▶ **Expert labels expensive** - synthetic query-case pairs at scale (e.g., LEAD ~700k). [25]
- ▶ **Reasoning gaps** - low-overlap questions break keyword baselines. [15]
- ▶ **Zero-shot domain shift** - large performance drops when English-trained models are tested on Chinese data (reported up to -26 nDCG cross-corpus). [12,15]

[11] Yu et al. *Explainable Legal Case Matching via Inverse Optimal Transport-Based Rationale Extraction*, SIGIR 2022.

[12] Li et al. *SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval*, SIGIR 2023.

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[25] Gao et al. *Enhancing Legal Case Retrieval via Scaling High-Quality Synthetic Query-Candidate Pairs*, EMNLP 2024.

[26] Kim et al. *Result Diversification for Legal Case Retrieval (DLRM & DLR Dataset)*, CIKM 2022.

Opportunities & Future Directions

- ▶ Statute-centred benchmarks for graph retrieval. [1,27]
- ▶ Broader legal families: Italian, German, Sinhala resources. [1,13,24]
- ▶ Reasoning-chain gold sets for LLM evaluation. [15]

[1] Feng et al. *Legal Case Retrieval: A Survey*, 2024.

[13] Müller et al. *GerDaLIR: German Legal IR Dataset*, 2022.

[15] Zheng et al. *A Reasoning-Focused Legal Retrieval Benchmark*, 2025.

[24] Perera et al. *SCaLe-QA: Sri Lankan Case-Law Embeddings*, 2023.

[27] Bhattacharya et al. *Hier-SPCNet: Statute Hierarchy-Based Heterogeneous Network*, SIGIR 2020.

4.2 Evolution of Legal Case Retrieval Methodologies

Core Techniques

Keyword & statistical ranking (BM25, DFR). [1]

Early machine-learning rerankers. [1]

Domain-tuned transformers (LEGAL-BERT → SPLADE). [1,31]

Graph-aware & structure-aware models. [12,16]

Retrieval-Augmented Generation (RAG) with LLMs. [9]

[1] Feng et al. *Legal Case Retrieval: A Survey*, 2024.

[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

[12] Li et al. *SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval*, SIGIR 2023.

[16] Tang et al. *CaseLink: Inductive Graph Learning for Legal Case Retrieval*, SIGIR 2024.

[31] Chalkidis et al. *Legal-BERT: The Muppets Straight Out of Law School*, 2020.

Lexical & Statistical Baselines

Role: Fast, transparent, dependable when data are scarce

BM25 / BM25+ /
BM25L remain
first-pass
filters. [1,4,18]

Probability-based
scoring (e.g., DFR, idf
variants) still strong
for sparse text
ranking. [1,4]

Field-weighted
indexes (facts,
issues, statutes).
[29,1]

Pseudo-relevance
feedback (RM3) &
entity
expansion. [32,18,1]

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[4] Ma *et al.* *Retrieving Legal Cases from a Large-Scale Candidate Corpus* (COLIEE 2021 Workshop), 2021.

[18] Askari *et al.* *Leibi@COLIEE 2022: Aggregating Tuned Lexical Models*, 2022.

[29] Nguyen *et al.* *Statute-Enhanced Lexical Retrieval of Court Cases* (COLIEE 2022), 2022.

[32] Tanaka *et al.* *Entity-Based Query Expansion for Traffic Accident Litigation* (COLIEE 2023), 2023.

Neural Sparse & Dense Retrieval



Domain-specific encoders (LEGAL-BERT, ITALIAN-LEGAL-BERT). [31,30]



SPLADE / SPLADE-max for learned term re-weighting. [1]



Dual-encoder dense vectors + FAISS / ScaNN. [1,12,25]

- **Synthetic training pairs (LEAD 100 k)** - use GPT-4 to auto-generate 100 000 (*query, relevant-case*) pairs; pre-training the dual-encoder on these adds $\approx +5$ nDCG on the Chinese LeCaRD benchmark
Strengths: Higher recall & semantic match
Weaknesses: Domain-shift sensitivity, GPU cost

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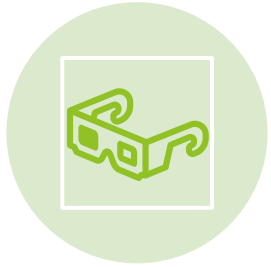
[12] Li et al. *SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval*, SIGIR 2023.

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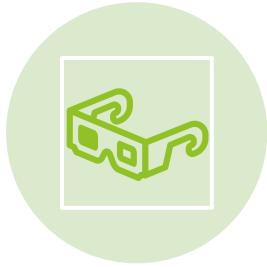
[30] De Mattei et al. *Italian-Legal-BERT*, 2021.

[31] Chalkidis et al. *Legal-BERT: The Muppets Straight Out of Law School*, 2020.

Structure-Aware & Long-Context Models



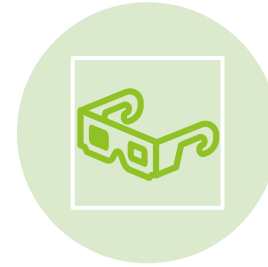
**SENTENCE-ROLE
TAGGING (FACTS, ISSUES,
HOLDINGS) - SAILER. [12]**



**HIERARCHICAL
ENCODERS (BERT-PLI)
SLICE → AGGREGATE. [33]**



**LONGFORMER / BIGBIRD
SUMMARIES FOR >4K-TOKEN
CASES. [34,35]**



**SECTION-HIGHLIGHT
TRICKS CUT INPUT BY ≈60%
WITHOUT ACCURACY LOSS.
[12,34,35]**

[12] Li et al. *SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval*, SIGIR 2023.

[33] Shao et al. *BERT-PLI: Modeling Paragraph-Level Interactions for Legal Case Retrieval*, 2020.

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[35] Tran et al. *Encoded Summarization: Summarizing Documents into Continuous Vector Space for Legal Case Retrieval*, 2020.

Graph & Network-Enhanced Retrieval



[8] Bi et al. *Learning Heterogeneous Graph Embedding for Chinese Legal Document Similarity*, 2022.

[16] Tang et al. *CaseLink: Inductive Graph Learning for Legal Case Retrieval*, SIGIR 2024.

[27] Bhattacharya et al. *Hier-SPCNet: Statute Hierarchy-Based Heterogeneous Network*, SIGIR 2020.

[36] Tang et al. *CaseGNN: Graph Neural Networks for Legal Case Retrieval with Text-Attributed Graphs*, ECIR 2024

Retrieval-Augmented Generation (RAG) & LLMs

- ▶ **Three-step RAG workflow [37]** - First, tidy the user's question so it is clear and focused, next, pull a few short, highly relevant passages from the legal texts, finally, getting the language model to provide the answer.
- ▶ **Memory-aware retrieval with CBR-RAG [14]** - The system keeps a library of earlier questions, their answers, and the passages that justified them. \
- ▶ **LegalBench-RAG benchmark [9]** - A community test set that pairs each legal question with the exact paragraph supporting the answer.

[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

[14] Wiratunga et al. *CBR-RAG: Case-Based Reasoning for RAG in Legal QA*, 2024.

[37] Lewis et al. *Retrieval-Augmented Generation for Knowledge-Intensive NLP*, NeurIPS 2020.

Query Reformulation & Expansion



LLM keyword distillation [22, 24, 1] - GPT-3.5 pulls out the five key facts in a question and tacks them onto the query, which noticeably improves ranking quality in LeCaRD and reduces the performance gap between keyword and dense retrieval for Sinhala/Tamil data.



Rewrite-Retrieve-Read [38, 9, 37] - A small T5 model rewrites a broad question into several laser-focused sub-queries; this raises answer accuracy on LegalBench-RAG and shortens the prompt the LLM has to read.



Entity / ontology expansion [32, 29, 1] - Automatically inserting detected entities or statute titles into the search text helps the system surface more relevant traffic-law cases in Argentine data and strengthens scores on the COLIEE statute track.

[1] Feng et al. *Legal Case Retrieval: A Survey*, 2024.

[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

[22] Zhou et al. *Boosting Legal Case Retrieval by Query Content Selection with LLMs*, 2023.

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[37] Lewis et al. *Retrieval-Augmented Generation for Knowledge-Intensive NLP*, NeurIPS 2020.

Key Trends Shaping Modern Legal Retrieval

- ▶ **Synthetic & Augmented Training Data [25, 27]** - Use LLM-created question-case pairs, template-based examples, weak pseudo-labels, and graph-derived “near-miss” negatives to teach the model without hiring large labeling teams.
- ▶ **Low-Resource & Multilingual Adaptation [24, 27]** - A small dose of local pre-training, a handful of weak labels, and citation or statute graphs often outperform straight cross-lingual transfer on Sinhala-Tamil, German-Italian, Chinese, and Indian collections.
- ▶ **Explainability & Causal Reasoning [11, 27]** - Snippet-level rationales, statute-centred causal links, citation graphs, and transparent attention maps the score to an explanation which boosts lawyer trust and cuts down on hallucinated citations [11, 27].

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[24] Perera et al. *SCaLe-QA: Sri Lankan Case-Law Embeddings*, 2023.

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Top Performing Legal Retrieval Models

Dataset	System	Headline Metrics	Refs
LeCaRD	KELLER	MAP 68.3%, nDCG@5 85.63%	[12,22]
LeCaRD	LEAD-trained Dual Encoder	MAP 63.5%	[25]
CAIL2022	SAILER	MAP 67.0%	[12]
CAIL2022	LEAD-trained Dual Encoder	MAP 67.7%	[25]
COLIEE 2021	BERT-PLI	R@10 61.4%, F1@10 28.1%	[33]
COLIEE 2022	LeiBi	R@10 66.0%, F1@10 30.7%	[18]

[12] Li et al. *SAILER: Structure-Aware Pre-Trained LM for Legal Case Retrieval*, SIGIR 2023.

[18] Askari et al. *LeiBi@COLIEE 2022: Aggregating Tuned Lexical Models*, 2022.

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[33] Shao et al. *BERT-PLI: Modeling Paragraph-Level Interactions for Legal Case Retrieval*, 2020.

4.3 Evaluation metrics

Three Evaluation Lenses

- ▶ **Rank-based metrics** - order matters (nDCG, MAP, MRR). [1,9]
- ▶ **Generation-centric metrics** - answer fidelity (BLEU, hallucination %). [9,14,10]
- ▶ **Human / explanation protocols** - usefulness & rationale trust. [10,11]

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[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

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[14] Wiratunga *et al.* *CBR-RAG: Case-Based Reasoning for RAG in Legal QA*, 2024.

Rank-Based Core Metrics

- ▶ MAP, nDCG@k, MRR, Precision/Recall@k, F₂ (COLIEE) - backbone of leaderboard reporting. [1,7]
- ▶ **Strengths:** capture ordering of relevant precedents. **Weaknesses:** frozen pools, near-duplicate inflation. [1,26]
- ▶ Combine a **position-biased** (nDCG) and a **depth-biased** (MAP) score to avoid cherry-picking. [1,5]
- ▶ **α -nDCG** penalises duplicates & rewards topical coverage (DLR/M). [26]

[1] Feng et al. *Legal Case Retrieval: A Survey*, 2024.

[5] Li et al. *Towards an In-Depth Comprehension of Case Relevance*, 2024.

[7] Rabelo et al. *COLIEE 2021 Overview & Discussion*, 2022.

[26] Kim et al. *Result Diversification for Legal Case Retrieval (DLRM & DLR Dataset)*, CIKM 2022.

Dataset-Specific Metric Variants

- ▶ **Chinese benchmarks** (LeCaRD, CAIL) - graded relevance labels and rank-sensitive scores (nDCG, MAP, MRR) capture both depth and early-hit performance. [22]
- ▶ **European corpora** (GerDaLIR, Italian-Legal-BERT) - mainly report MRR for passages and nDCG for full documents, underscoring the value of in-language tuning. [13, 30]
- ▶ **Canadian COLIEE** - binary “noticed / not-noticed” retrieval uses recall-weighted F_2 alongside standard precision and MRR. [7]
- ▶ **Reasoning-heavy QA sets** (Bar-Exam, Housing) - emphasise broad recall and exact-match metrics to ensure all supporting evidence is gathered before scoring the answer text. [15]

[7] Rabelo et al. *COLIEE 2021 Overview & Discussion*, 2022.

[13] Müller et al. *GerDaLIR: German Legal IR Dataset*, 2022.

[15] Zheng et al. *A Reasoning-Focused Legal Retrieval Benchmark*, 2025.

[22] Zhou et al. *Boosting Legal Case Retrieval by Query Content Selection with LLMs*, 2023.

[30] De Mattei et al. *Italian-Legal-BERT*, 2021.

Generation-Oriented Metrics

- ▶ **BLEU, ROUGE, BERTScore** - gauge how closely generated text mirrors reference wording in draft judgments or contract clauses. [1,10]
- ▶ **Hallucination rate & Snippet Precision@k** - check that the *correct* passage is quoted, catching “right document, wrong clause” errors (spotlighted in LegalBench-RAG; reduced via memory reuse in CBR-RAG). [9,14]
- ▶ **Entailment-tree Macro-F1 & top-k QA accuracy** - test whether each reasoning step is valid; key in Bar-Exam-style and long-form legal QA evaluations. [15,10]

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[9] Pipitone & Houir Alami. *LegalBench-RAG Benchmark*, 2024.

[10] Louis *et al.* *Interpretable Long-Form Legal QA*, AAAI 2024.

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5. Proposed Methodology

System Overview

- ▶ The pipeline is organised into four independent stages, so any component can be upgraded later without changing the rest of the system.
- ▶ Stage 1 builds a vector database that stores each judgment together with rich metadata such as facts, issues and cited statutes.
- ▶ Stage 2 turns an incoming problem description into the same feature format and retrieves the most similar precedents.
- ▶ Stage 3 writes a plain-English explanation for every retrieved case, making the connection clear to a practising lawyer.
- ▶ Stage 4 combines similarity with a stance label, so cases that both match the facts and support the user's position appear first.

Stage 1: Knowledge Store Construction

- ▶ A LLM/ legal-tuned language model tags passages that describe the facts, issues, reasoning, holding, statutes and citations in each decision.
- ▶ Every tagged field is embedded with an encoder such as LegalBERT; the field vectors are concatenated and the result is normalised.
- ▶ The record containing the vector, byte offsets and administrative tags like court and year is written to a scalable store such as FAISS.

Stage 2: Query Reconstruction and Retrieval

- ▶ The user's scenario is processed by the same extractor that was applied at indexing time, ensuring the features line up perfectly.
- ▶ The extracted fields are embedded, concatenated and normalised to create a single query vector.
- ▶ An approximate nearest-neighbour search returns the ten closest cases in a few milliseconds, even for a million-case corpus.
- ▶ A lightweight re-ranker then nudges cases that agree on key fields such as the central issue or the legal holding toward the top of the list

Stage 3: Interpretation Generation

- ▶ For each retrieved case the system generates a short paragraph that highlights the shared facts, the common legal question and the court's conclusion.
- ▶ The explanation is written in clear legal language so a practitioner can decide at a glance whether to read the full opinion.
- ▶ To keep costs low the explanation is cached under a hash of the query together with the case identifier, so identical pairs reuse the existing text.
- ▶ Because the byte offsets were stored during Stage 1, the interface can jump directly to the passage that supports every sentence in the explanation.

Stage 4: Match Scoring and Sentiment Analysis

- ▶ A cosine similarity score measures how closely the overall facts and issues align with the query.
- ▶ A separate classifier labels the precedent's stance as supporting the plaintiff, being neutral or supporting the defendant, so relevance and direction are both captured.
- ▶ The final ranking multiplies similarity and stance alignment, then applies a diversity rule that prevents near-duplicate fact patterns or statutes from crowding the first page.
- ▶ This ordering helps lawyers see supportive authorities first while still surfacing counter-arguments for balanced advice.

6. Refferences

References

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Thank You