HR legal assistant

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Data curation

- 1. Scope
- 2. Use cases
- 3. Source reliability
- 4. Customized internal data
- 5. Evaluation goals

1. Scope

- Main target region:
  - **US (Korea and intl.)**

- Specific legal scope:
  - **US Federal labor & Employment Law**

- Target government agency
  - U.S. Department of Labor (DOL)
  - Equal Employment Opportunity Commission (EEOC)
  - Occupational Safety & Health Administration (OSHA)
  - National Labor Relations Board (NLRB)
  - Include judicial decisions and case law, since legal interpretations often come from court rulings

2. Use cases

- Query: "Can I terminate an employee on FMLA leave for poor performance?"

- GPT-4: "Yes, but it depends on the circumstances. Consult your HR department."

- RAG: "According to EEOC guidance and the DOL FMLA Fact Sheet #28A, termination for legitimate, documented poor performance is allowed if unrelated to leave. [link]"

3. Source reliability

- **Publications and websites from federal agencies**
  - structured guidance
  - compliance manuals
  - full text of statutes/regulations

- The combination of **official legal texts, agency guidance, case law, expert analysis, and sample documents** will ensure the RAG system has a 360-degree view of U.S. labor and employment law.

3. Source reliability

- Official Federal Government Sources
  - **U.S. Department of Labor (DOL)**
  - **Equal Employment Opportunity Commission (EEOC)**
  - **Occupational Safety and Health Administration (OSHA)**
  - **National Labor Relations Board (NLRB)**
  - **Federal Statutes and Regulations (U.S. Code and CFR)**

- Case Law Databases and Legal Decisions
  - **CourtListener (Free Law Project)**
  - **Caselaw Access Project (Harvard Law School)**
  - **NLRB Decisions Database**

3. Source reliability

- HR Policy and Legal Commentary Sources
  - Society for Human Resource Management (SHRM)
  - National Law Review
  - HR Open Source (HROS) Community Content

- Repositories of Sample HR Documents and Handbooks
  - OpenGov Foundation "OpenHR" Manual
  - GitLab Public Handbook
  - Free Law Project HR Handbook

4. Customized internal data

- For companies or institutions with **specific policy** or **internal rules**, it could also be taken into dataset

- However, it only can be considered **within legal scope** and should not override the federal legal regulations

5. Evaluation goals

- Goal is to have **specialized knowledge base** on HR domain compared to general LLMs

5. Evaluation goals

- **Possible criteria**
  - Factual Accuracy
  - Citation Quality
  - Relevance
  - Completeness
  - Specificity
  - Clarity & Usability
  - Consistency

  - Explainability
  - Freshness
  - Hallucination Rate
  - Legal Risk Mitigation
  - Comparative Performance (vs GPTs)
  - Etc.

5. Evaluation goals

- **Sample benchmark comparison metric**

Comparison Metric	RAG	LLM (e.g., GPT-4)
Legal Citation Inclusion	High	Often missing or hallucinated
Domain-Specific Compliance	With good base	Risk of generalization
Explainability with Source Linking	Natural via retrieval	Often opaque reasoning
Factual Accuracy on Recent Law	If corpus is fresh	Depends on cutoff date
Hallucination of Legal Rules or Cases	Much lower	Higher risk

5. Evaluation goals

- **Possible benchmark queries:**
  - FAQs from the EEOC, DOL, and NLRB
  - Questions from SHRM toolkits
  - Real-world HR cases (anonymized)
  - Hypothetical scenarios ("An employee requested leave under FMLA...")

5. Evaluation goals

- Query: "Can I terminate an employee on FMLA leave for poor performance?"

- GPT-4: "Yes, but it depends on the circumstances. Consult your HR department."

- RAG: "According to **EEOC guidance** and the **DOL** **FMLA** Fact Sheet #28A, *termination for legitimate, documented poor performance is allowed if unrelated to leave.* [*link*]"

5. Evaluation goals

- A. Human-in-the-Loop Assessment
  - **Annotators**: Use HR legal professionals or compliance officers
  - **Task**: Score answers from RAG and LLM (blind comparison) using criteria above
  - **Scale**: 1–5 Likert or Pass/Fail + comments
  - **Sample set**: 100 HR queries (e.g., "What are the conditions for lawful termination?")

- B. Automated Evaluation (Additional)
  - Citation Check: Does the answer contain a valid URL or title from your corpus?
  - Retrieval Evaluation: For top-k documents retrieved, is ground-truth document present?
  - BLEU/ROUGE-style metrics: If using gold reference answers

TBD & Appendix

- Additional domains
- Korean law
- International law
- EU
- UK
- Singapore
- Etc.

BLEU/ROUGE-style metrics

- BLEU (Bilingual Evaluation Understudy)
  - Purpose:Primarily designed for machine translation evaluation.
  - Core Idea:Measures n-gram precision—how many n-grams in the generated text appear in the reference(s).
  - Key Characteristics:
    - Uses modified precision (avoids overcounting repeated words).
    - Includes a brevity penalty to discourage short translations.
    - Typical BLEU-n scores: BLEU-1 (unigrams), BLEU-2, …, up to BLEU-4.
- ROUGE (Recall-Oriented Understudy for Gisting Evaluation)
  - Purpose:Designed for summarization, but applicable to other NLG tasks.
  - Core Idea:Measures recall (and optionally precision/F1) of overlapping n-grams or units between system and reference summaries.

Background knowledge

Difference between laws, policy, act, regulations, guidance

https://www.oneeducation.org.uk/difference-between-laws-regulations-acts-guidance-policies/?srsltid=AfmBOooSu_MssCab7JN4hUGJv2SWlylOmQtHJ5xmz2N62Vf7hMwdR8pL

Background knowledge

What is a Law? (법 / 법률)

● A rule or combination of rules that the courts can execute constitutes a law. Laws govern the state's administration. It can also determine how the state's citizens and governing bodies interact. Furthermore, laws specify how people should behave with one another.

What is a policy? (정책)

A policy is a set of rules for behaviour that a company, person, or organisation adopts or suggests. You may use specific laws to enforce the course of action outlined in a policy. Also, you can enact new laws to carry out a policy. Furthermore, authorities may adopt a policy to carry out their legal obligations.

Background knowledge

What is an Act? (법률 / 법 / 국회법)

An Act is a Bill. The House of Commons and the House of Lords approve an act. In addition, the Monarch grants it his <u>Royal Assent</u>.

What is a Guidance? (지침 / 가이드라인)

- Guidance provides practical advice and recommendations to help individuals and organizations comply with laws and regulations. Unlike enforceable laws, guidance is not legally binding and does not impose penalties for non-compliance. Its primary goal is to ensure that best practices are followed without the threat of legal consequences for those who do not adhere to it.

Background knowledge

What is a Regulation? (규정 / 규제 / 시행규칙 등)

Regulation is something that augments an act. Therefore, regulations are associated with existing actions. In addition, regulations help someone apply an act's concepts in the real world. Also, you can refer to regulations as formal rules. However, breaking a regulation only sometimes results in legal action.

What is a regulation in law?

- A regulation in law is a directive formulated by a governmental body to specify and enforce particular aspects of a law. It serves to elucidate the precise procedures and requirements for compliance within the broader legal context. Through regulations, government agencies provide detailed guidance to individuals or organizations on how to adhere to the overarching legal framework, thereby ensuring consistent implementation and enforcement of laws.

Background knowledge (F&Q)

1. Are Laws and Regulations Enforceable?

Laws and regulations are strictly enforced per the legislation. There may be repercussions for breaking the law or regulation, including fines and jail time. So, yes, laws and regulations are enforceable.

2. Is Guidance Enforceable?

Despite being useful, guidance is not enforceable. Organisations cannot be the target of enforcement action for disregarding the guidance.

3. Are Policies Enforceable?

Policies are mandatory and enforceable. Therefore, there are repercussions if a person or business doesn't follow them. Depending on the seriousness of the infraction, the policies may specify the penalties. For example, a penalty may be additional training, probation, or even termination of a business or employment.

Background knowledge (F&Q)

4. Is an Act a Policy?

Yes, an act can be considered a policy, but it's important to note that acts are typically broader and more formal than policies. While acts are laws passed by a legislative body, policies are guidelines or rules set by an organization or government to achieve certain goals. So, while an act can establish a policy, not all policies are acts.

5. What is the difference between an act and a law?

The difference between an act and a law lies in their origin and scope. An act is a formal written enactment of a legislative body, while a law is a broader term encompassing acts, regulations, and other legal principles that govern society. Acts are usually passed by legislative bodies, while laws can be derived from various sources, including judicial decisions and customary practices.

Background knowledge (F&Q)

6. Is an Act a Law?

Yes, an act is indeed a type of law. In legal terms, an act refers to a piece of legislation that has been passed by a legislative body, such as a parliament or congress. Acts are binding and enforceable rules that govern various aspects of society, such as commerce, education, or healthcare. They are typically created to address specific issues or regulate particular activities within a country or jurisdiction.

7. What is the Difference Between Legislation and Regulation?

The difference between legislation and regulation is that legislation is laws made by a legislative body, like a parliament or congress, while regulation is rules made by a government agency to implement or enforce those laws. Legislation is the broader framework, while regulations provide specific details on how to comply with the law.

Background knowledge (F&Q)

8. Are Policies and Laws The Same?

Policies and laws are not the same. While laws are legally binding rules established by government authorities, policies are guidelines or principles adopted by organizations or institutions to achieve certain goals. Laws are enforceable and may carry penalties for non-compliance, whereas policies are typically internal directives that govern actions within specific contexts.

9. What is the difference between laws and regulations?

- Laws like the Equality Act 2010 establish overarching principles, while regulations like the Equality Act Codes of Practice guide implementation in specific contexts. Simply put, laws define 'what,' and regulations define 'how

Thank you