

Mitigate Risk with Automated New Business Intake

Panel



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Agenda

- Overview of New Business Intake
- Why automate NBI?
- How to get ready
- Implementation
- Tips & Gotcha's
- Q&A

OVERVIEW OF NEW BUSINESS INTAKE

Basics of New Business Intake

- Collect data about client, matter, parties, financials, etc.
- Obtain proper reviews & sign-offs
- Audit decision points/approvals
- Open clients/matters in relevant systems

New Business Intake Challenges

- Thorough and fast
- Visibility
- Adaptability
- Data quality
- Tedious forms

WHY AUTOMATE?

Why Automate?

Challenges

- ➔ Thorough and fast
- Visibility
- Adaptability
- Data quality
- Tedious forms

Automation Benefits

- Defined process
- Defined business rules
- Notifications
- Escalations
- Systems integration
- Mobile access

Why Automate?

Challenges

- Thorough and fast

➔ Visibility

- Adaptability
- Data quality
- Tedious forms

Automation Benefits

- Dashboards
- Task lists
- Reports
- Audit trail

Why Automate?

Challenges

- Thorough and fast
- Visibility
- ➔ Adaptability
- Data quality
- Tedious forms

Automation Benefits

- Changes are enforced
- Process changes
- Business rule changes

Why Automate?

Challenges

- Thorough and fast
- Visibility
- Adaptability
- ➔ Data quality
- Tedious forms

Automation Benefits

- Lookups / type-ahead
- Suggestions
- Spell check
- Previews
- Intelligent re-use
- Cloning
- Systems integration

Why Automate?

Challenges

- Thorough and fast
- Visibility
- Adaptability
- Data quality

➔ Tedious forms

Automation Benefits

- Tabs
- Show/hide
- Type ahead/re-use/cloning
- Allow saving

HOW TO GET READY

CONSTRUCTING A PROCESS-BASED APPLICATION



FORMS



- > PAPER
- > INFOPATH
- > WEB
- > SHAREPOINT LISTS
- > ADOBE

ACTIONS



- > APPROVE
- > REJECT
- > DELEGATE

INFORMATION



- > SAP & SIEBEL
- > DATABASE:SQL AND ORACLE
- > ELITE, LEGALKEY, ADARANT
- > DOCUMENTS:SHAREPOINT
- > NEW DATA:NEED TO CREATE

REPORTS



- > OUT-OF-THE-BOX
- > FOR BUSINESS USERS
- > FOR TECHNICAL USERS

PEOPLE



- > ROLES
- > INFORMATION EXISTS
- > STATE

EVENT MONITORING



- > INTERNAL EVENTS
- > EXTERNAL EVENTS

POLICIES



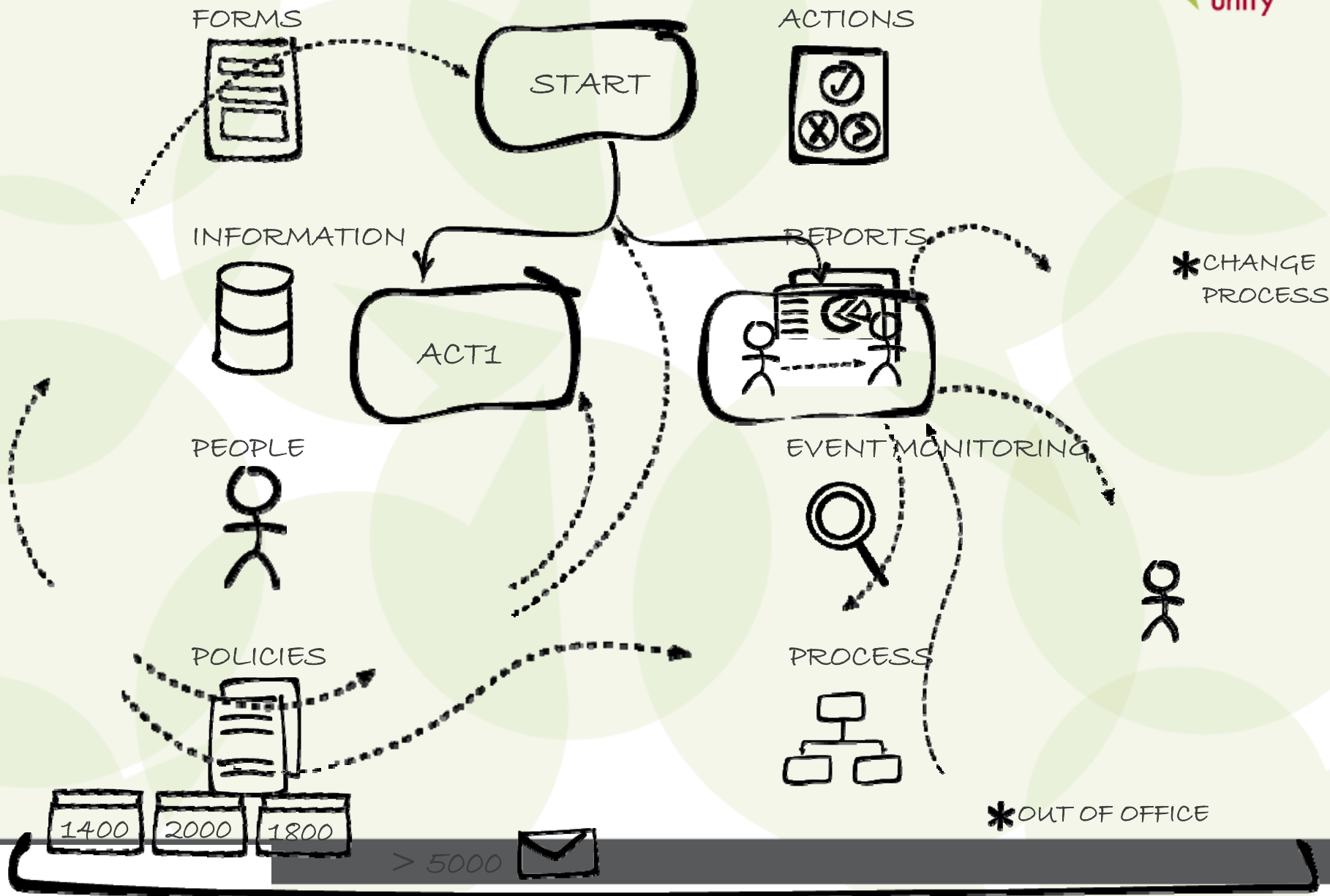
- > CUSTOMER DISCOUNT
- > TASK DELIVERY
- > SLA
- > EXPENSE CLAIM LIMIT

PROCESS



- > DESIGN
- > ASSEMBLE
- > EXECUTE
- > MONITOR
- > OPTIMIZE

CONSTRUCTING A PROCESS-BASED APPLICATION



Manage versions?

Call a sub-process?

Route to a role versus a
person or group?

Address different needs for
different business units or
geographies?

Escalate work after a
specific time?

Distribute work to a
group round-robin?

Process work from a
mobile device?

Manage working
hours?

Manage business logic
separately from the
process flow.

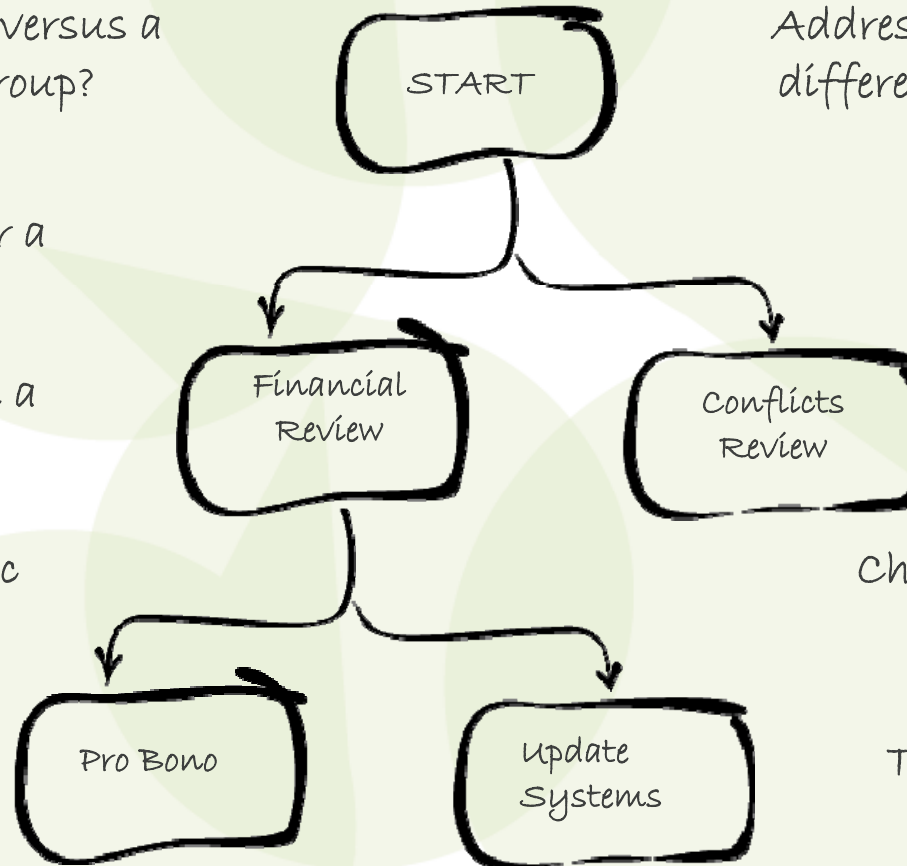
Change policies/rules
dynamically?

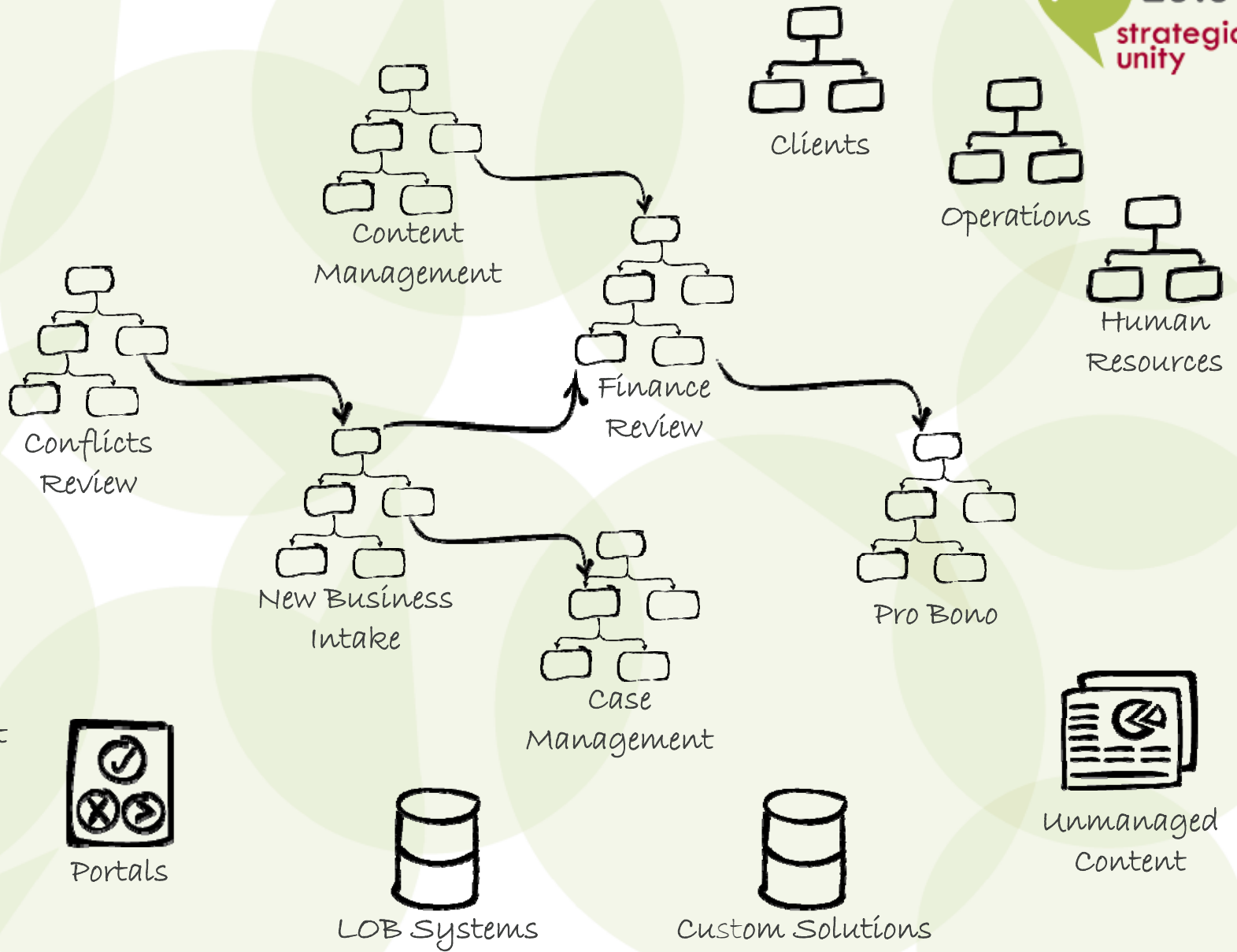
Track my workflow?

Test the process before
deploying it?

Handle out of office
conditions?

Delegate work to
another user?





IMPLEMENTATION

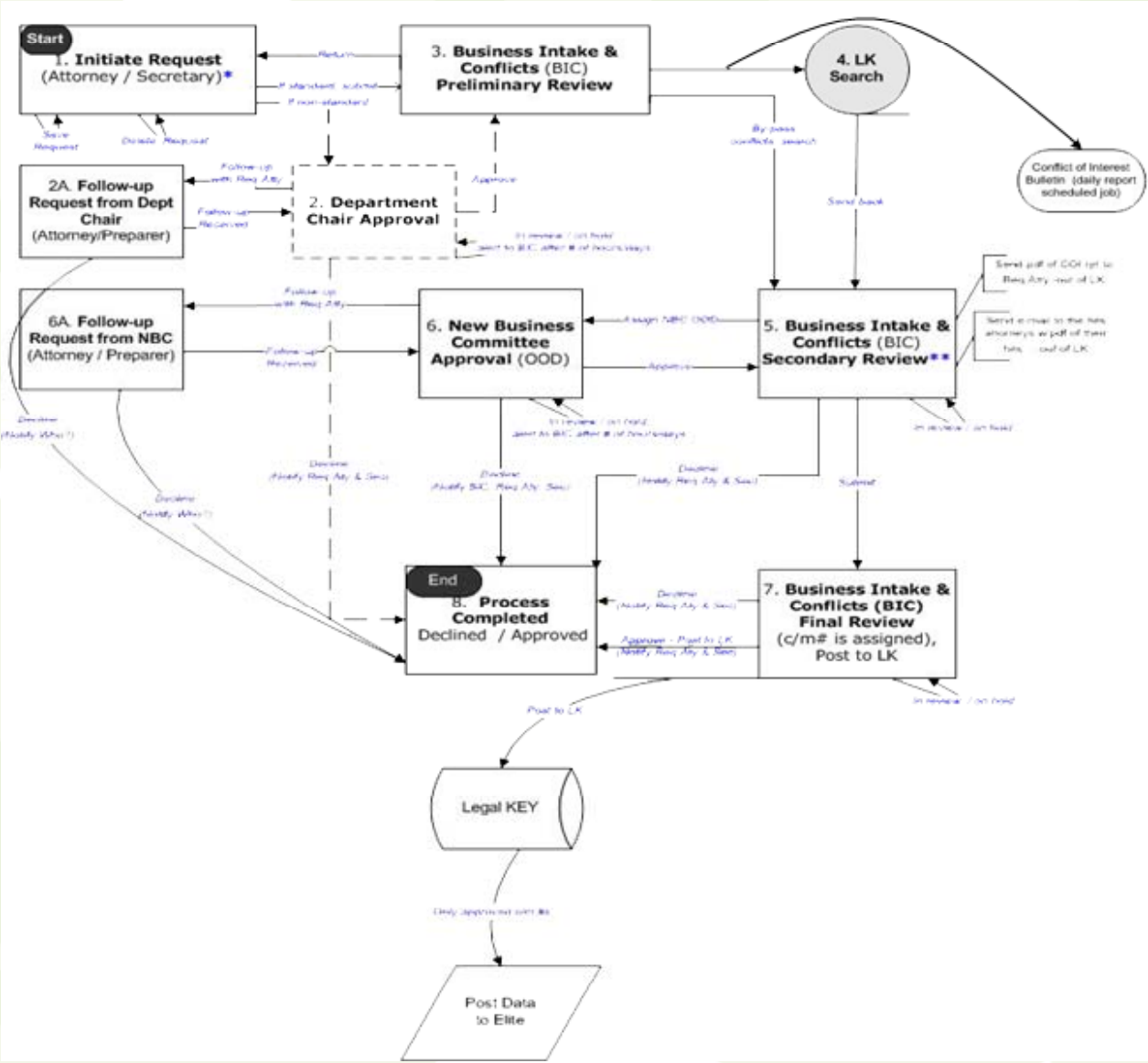
What to Expect

- Your firm's intake process will be deconstructed, diagrammed and detailed...
- ...in excruciating detail...
- ...and then it will change.

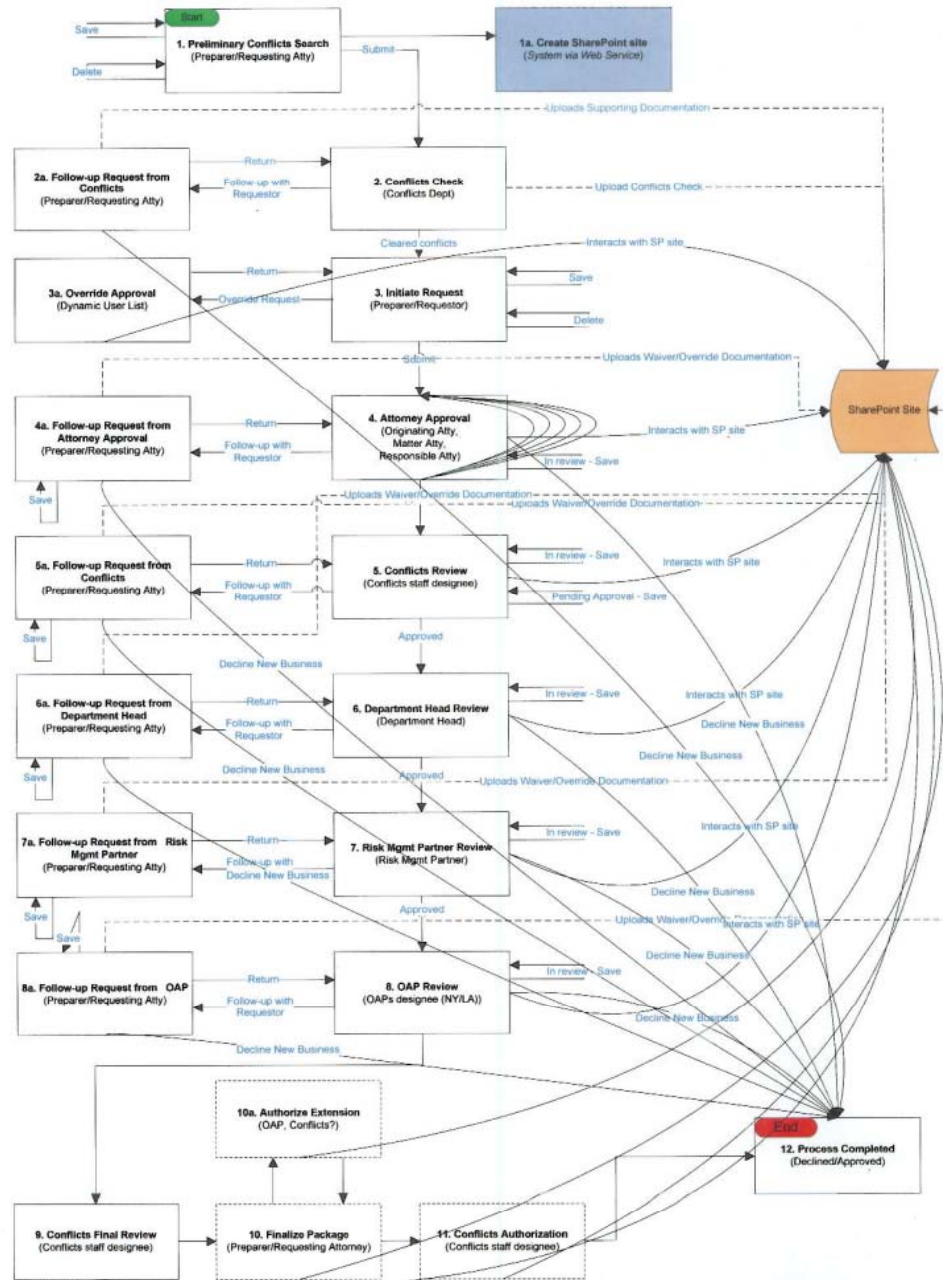
Essential Documents

- Process diagram(s)
- Narrative document
- Datamap chart

SAMPLE PROCESS DIAGRAM #1



SAMPLE PROCESS DIAGRAM #2



SAMPLE NARRATIVE DOCUMENT

- Detailed narrative for each step in intake process.

<p>New Client / New Matter Workflow Process Narrative</p> <p><i>Note about Secondary Actions: Secondary actions are tasks to be performed outside of the NBI Flow process. These highlight important steps in the Flow, but the corresponding actions remain external to the NBI Flow system.</i></p> <p>Step 1 – Preliminary Conflicts Search</p> <p> <ul style="list-style-type: none"> Action By (Edit rights): Preparer / Requesting Attorney View By: Preparer / Requesting Attorney / Conflicts Dept / Administrators Primary Actions: Save / Delete / Submit </p> <p> <ul style="list-style-type: none"> Save <ol style="list-style-type: none"> Will save form data in draft form Updates work list with form status <ol style="list-style-type: none"> Status: Preliminary Conflicts Search – Draft Responsible: Preparer / Requestor Delete <ol style="list-style-type: none"> Will completely remove form from the system Submit <ol style="list-style-type: none"> Will send the form to Step 2 Will send an email to the Conflicts team notifying them of the request Will send an email notifying the preparer & requesting attorney the form is being processed Updates work list with form status <ol style="list-style-type: none"> Status: Preliminary Conflicts Search - Pending Responsible: Conflicts </p> <p>Comments: Preparer / Requesting attorney will provide party information in the following groups: (a) Client-Related (b) Adverse (c) Other along with the relationship role in the matter.</p> <p>(System) – Create SharePoint Site</p> <p> <ul style="list-style-type: none"> Action Performed by System Primary Actions: Create Site </p> <p> <ul style="list-style-type: none"> Create Site <ol style="list-style-type: none"> Provide form ID as name for SharePoint project site Provide site template ID Return link URL to store in form </p> <p>Comments: This is a system performed function that creates a project site that will be used for engagement letters, waivers & disclosures, email correspondence (additional steps) once Check is submitted.</p> <p>Step 2 – Conflicts Check</p> <p> <ul style="list-style-type: none"> Action By (Edit rights): Conflicts Dept, Search Designer View By: Preparer / Requesting Attorney / Conflicts Dept / Ad-Hoc View Primary Actions: In Review / Approve / Follow up with Requestor </p> <p> <ul style="list-style-type: none"> In Review <ol style="list-style-type: none"> Will save changes to the form Updates work list with form status <ol style="list-style-type: none"> Preliminary Conflicts Search – In Review Approve (Client Conflicts) <ol style="list-style-type: none"> User assigns batch number to form Will send the form to the Preparer / Requesting Attorney Will send email notification to Preparer / Requesting attorney the form is being processed Updates work list with form status <ol style="list-style-type: none"> Status: Intake Request Responsible: Preparer / Requesting Attorney Follow up with Requestor </p>	<p> <ul style="list-style-type: none"> Will allow user to enter a comment for Preparer / Requesting Attorney (ie. there is a conflict issue) Will send the form to Step 2A / Follow-up Request from Conflicts Will send email notification with comments to Preparer / Requesting Attorney Updates work list with form status <ol style="list-style-type: none"> Status: Follow-up Request by Conflicts Responsible: Preparer / Requesting Attorney </p> <p>4. Secondary Actions:</p> <p>New Client / New Matter Workflow Process Narrative</p> <p><i>Note about Secondary Actions: Secondary actions are tasks to be performed outside of the NBI Flow process. These highlight important steps in the Flow, but the corresponding actions remain external to the NBI Flow system.</i></p> <p>Step 1 – Preliminary Conflicts Search</p> <p> <ul style="list-style-type: none"> Action By (Edit rights): Preparer / Requesting Attorney View By: Preparer / Requesting Attorney / Conflicts Dept / Administrators Primary Actions: Save / Delete / Submit </p> <p> <ul style="list-style-type: none"> Save <ol style="list-style-type: none"> Will save form data in draft form Updates work list with form status <ol style="list-style-type: none"> Status: Preliminary Conflicts Search – Draft Responsible: Preparer / Requestor Delete <ol style="list-style-type: none"> Will completely remove form from the system Submit <ol style="list-style-type: none"> Will send the form to Step 2 Will send an email to the Conflicts team notifying them of the request Will send an email notifying the preparer & requesting attorney the form is being processed Updates work list with form status <ol style="list-style-type: none"> Status: Preliminary Conflicts Search - Pending Responsible: Conflicts </p> <p>Comments: Preparer / Requesting attorney will provide party information in the following groups: (a) Client-Related (b) Adverse (c) Other along with the relationship role in the matter.</p>
<p>Interacts with: SharePoint site</p>	<p>(1) Status: Conflicts Final Review</p>

SAMPLE DATAMAP CHART



Microsoft Excel - Loeb_data_map_template.xlsx [Read-Only]

File Edit View Insert Format Tools Data Window FileSurf iManage Help Nuance PDF

Header

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	P	Q	R	S	
	Tab	ly cannot believe	Label	MC NM	EC NM	PB	SU PP	Condition	Req?	Multi	Default	Type	From	To	Field Name in	Data Type in	Length	Validat	Comments
1	Header	farm_type	Is this a New Client, or a New Matter for an existing Client?	x	x	x	x		y			Radio Button	User						***Right now use a choice, "New Client Existing Client", PB and SUPP are affected other work is not affected. User list provided.
2	Header	requestor	Submitting Attorney	x	x	x	x					Drop down	AD WS						All attorney
3	Header	requestor_comment	Comment:	x	x	x	x					Text	User				2000	Multi-Line Text	
4	Header	preparer	Prepared by	x	x	x	x		y		Logged on user		AD WS						
5	Header	preparer_comment	Comment:	x	x	x	x					Text	User				2000	Multi-Line Text	
6	Header	office	Office	x	x	x	x		y		Requestor's office number		AD WS						Office number pri
7	Header	batch_number	Batch Number	x	x	x	x		y			Text	Elite WS						Director
8	Client Information	client_name	Client Name	x	x	x	x		y			Text or Lookup	ECONM, PB, SUPP - Elite WS	Elite WS	CLNAME1	CHAR(40)	60		On ECONM, PB and pulled from Elite -> connect by existing client -> can input client -> character max in Elite or "clname"
9	Client Information	client_name2	Client Name #2 (Currently field doesn't exist in NEI form - see notes)	x	x	x	x					Text or Lookup	ECONM, PB, SUPP - Elite WS	Elite WS	CLNAME2	CHAR(40)	60		*** This is optional Elite ("clname2") enter entire client manually during clname2
10	Client Information	pending_client	Matter for Pending Client		x		x					Checkbox	ECONM - Linked to NONM in Workflow	Elite WS	MDDESC	CHAR(40)	40		***Handled there
11	Client Information	client_address1	Address:	x	x	x			y			Text	ECONM - Elite WS		CLADDR1	CHAR(40)	60		***When this pulls via web to but not ***Currently in Elite automatically call field ("clname1") for the bills are go line.*** ***Currently in NEI to add additional ***In ECONM, "clie"
12	Client Information	client_address2		x	x	x						Text	ECONM - Elite WS		CLADDR2	CHAR(40)	60		

Ready NUM

TIPS & GOTCHAS

Tips

- Buy in from upper management
- Identify and involve all stakeholders
- Tackle small portions first
- Identify “happy path” and assess cost/benefit of exceptions
- Ask “Why?”
- Keep it simple

Gotchas

- Change in culture
- Change in roles
- Everyone wants a piece of the NBI pie
- Every firm is different
- No Magic Bullet in an automated NBI system
- “Implementing Effective NBI Workflow”

Q&A