Mitigate Risk with Automated New Business Intake

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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 <u>and</u> fast
- Visibility
- Adaptability
- Data quality
- Tedious forms

WHY AUTOMATE?

Why Automate?

Challenges

- Thorough <u>and</u> fast
- Visibility
- Adaptability
- Data quality
- Tedious forms

Automation Benefits

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

Why Automate?

Challenges

- Thorough <u>and</u> 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 <u>and</u> fast
- Visibility
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Automation Benefits

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

Why Automate?

Challenges

- Thorough <u>and</u> 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

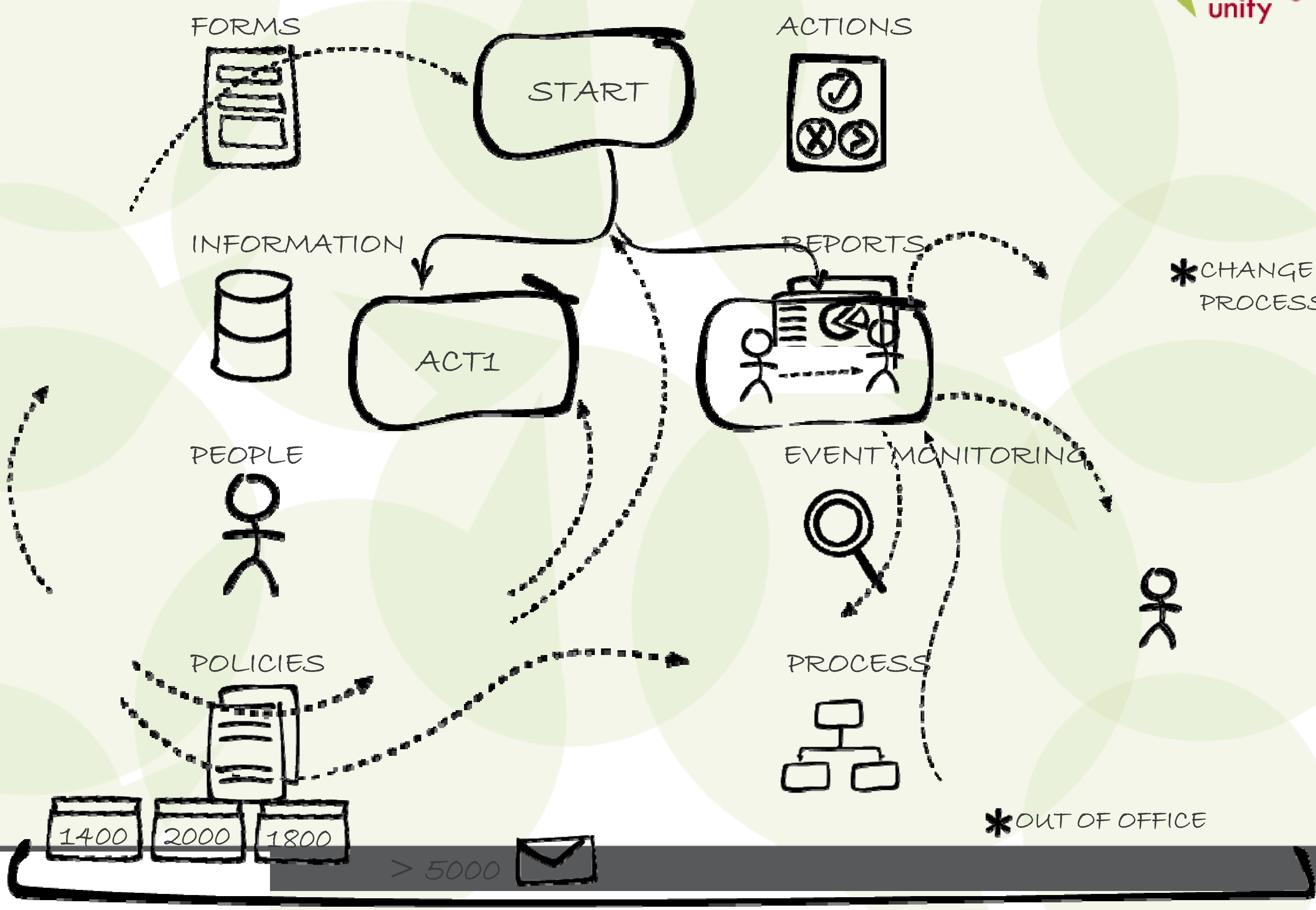
PEOPLE
- > ROLES
- > INFORMATION EXISTS
- > STATE

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

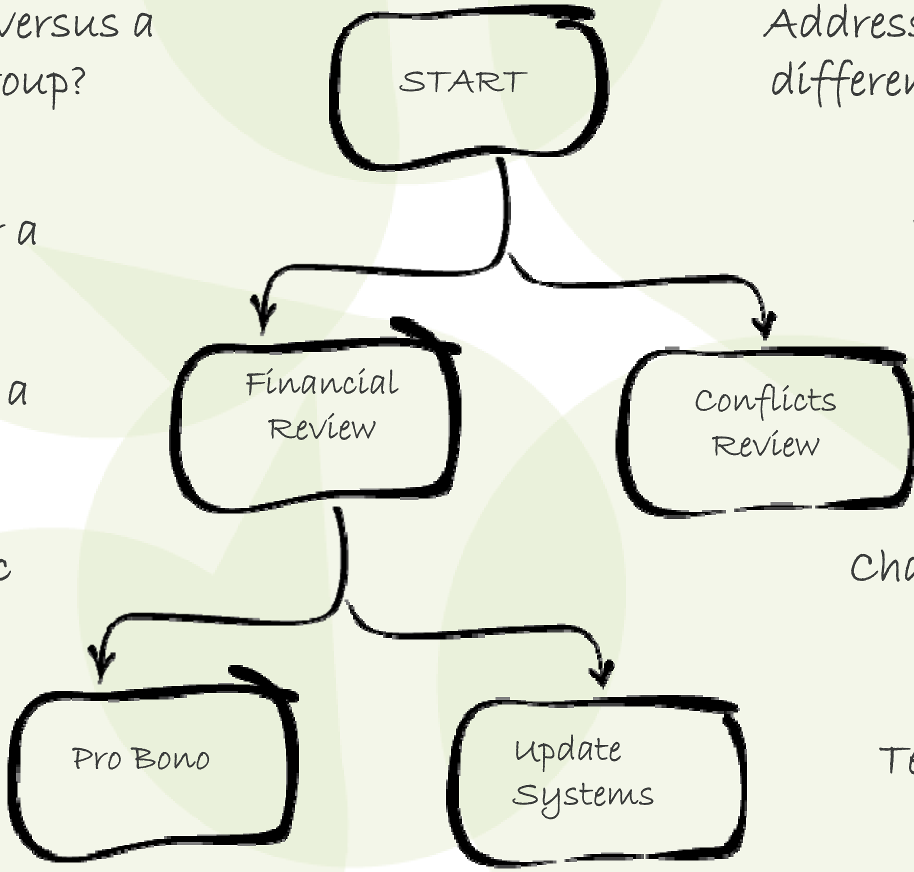


Manage versions?

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.

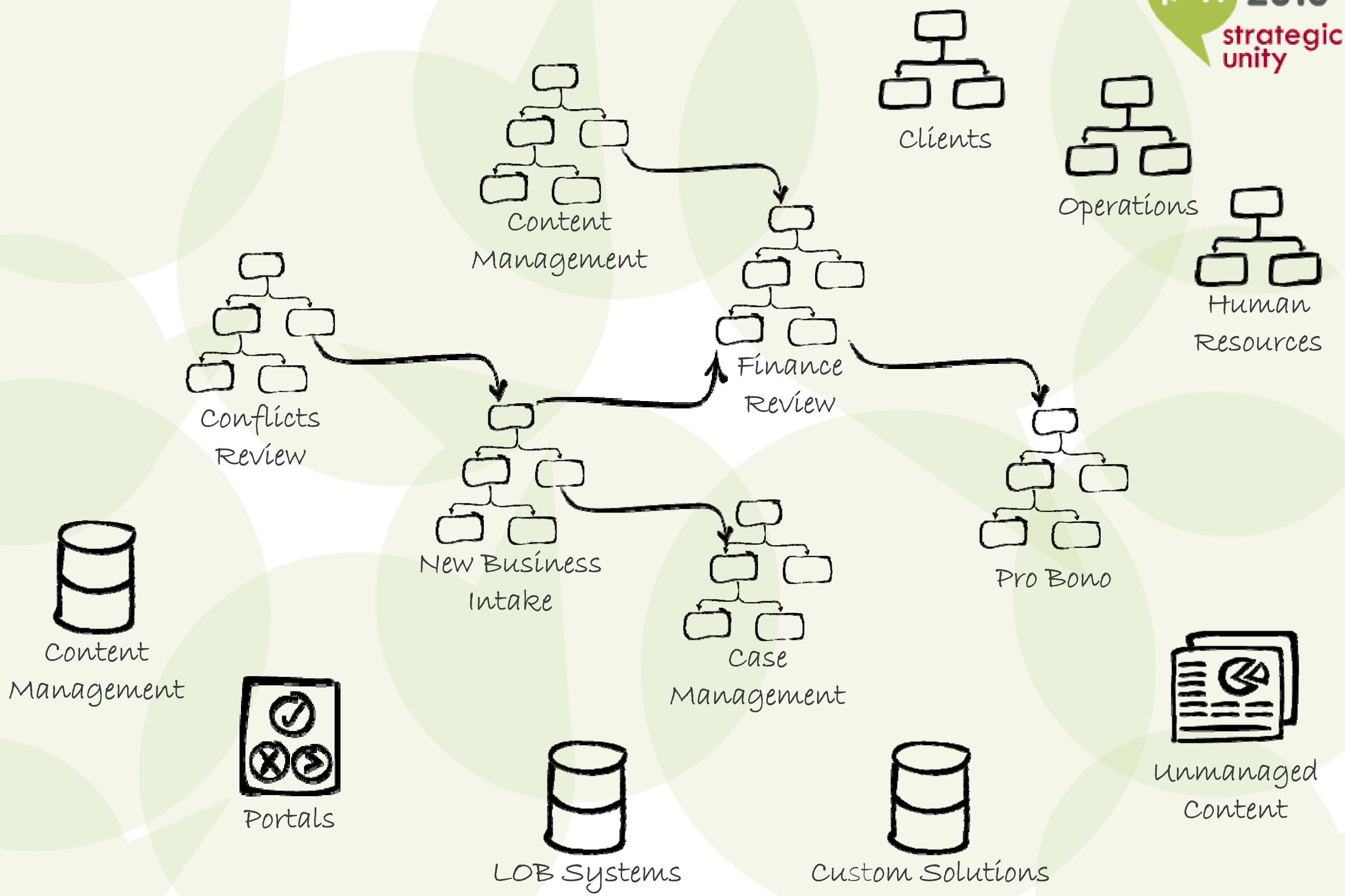
Change policies/rules dynamically?

Track my workflow?

Test the process before deploying it?

Handle out of office conditions?

Delegate work to another user?



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IMPLEMENTATION

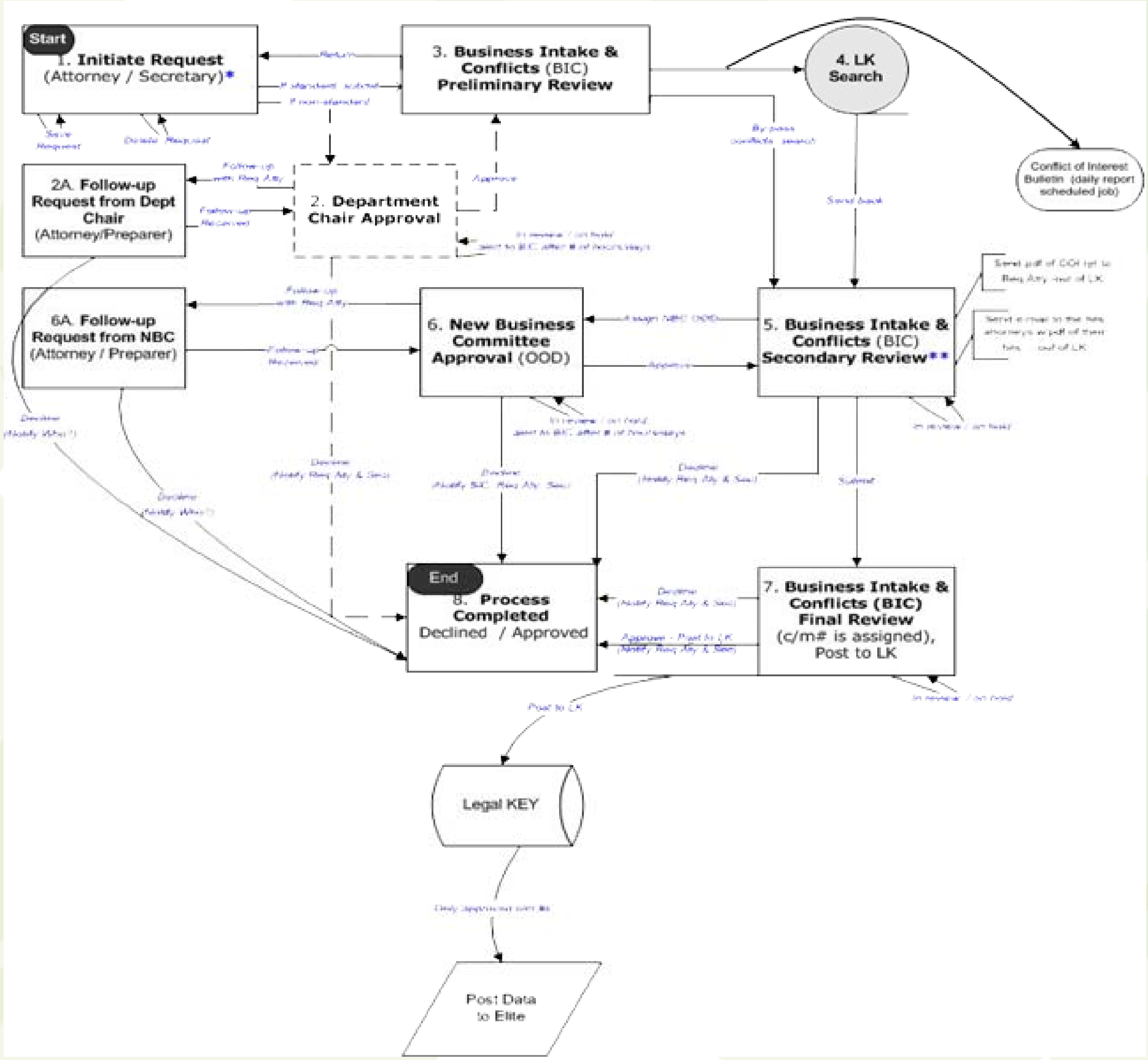
What to Expect

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

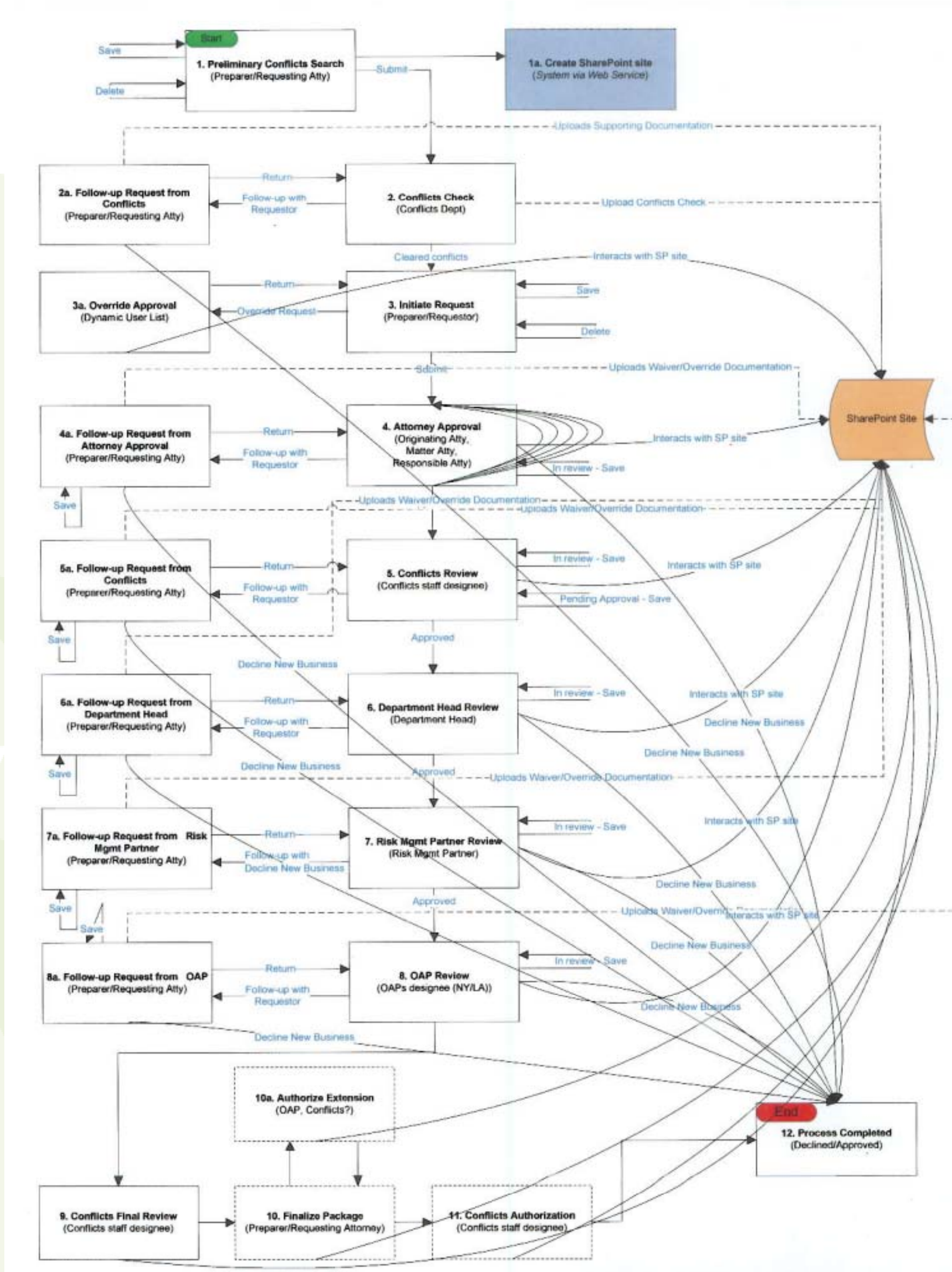
Essential Documents

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

SAMPLE PROCESS DIAGRAM #1

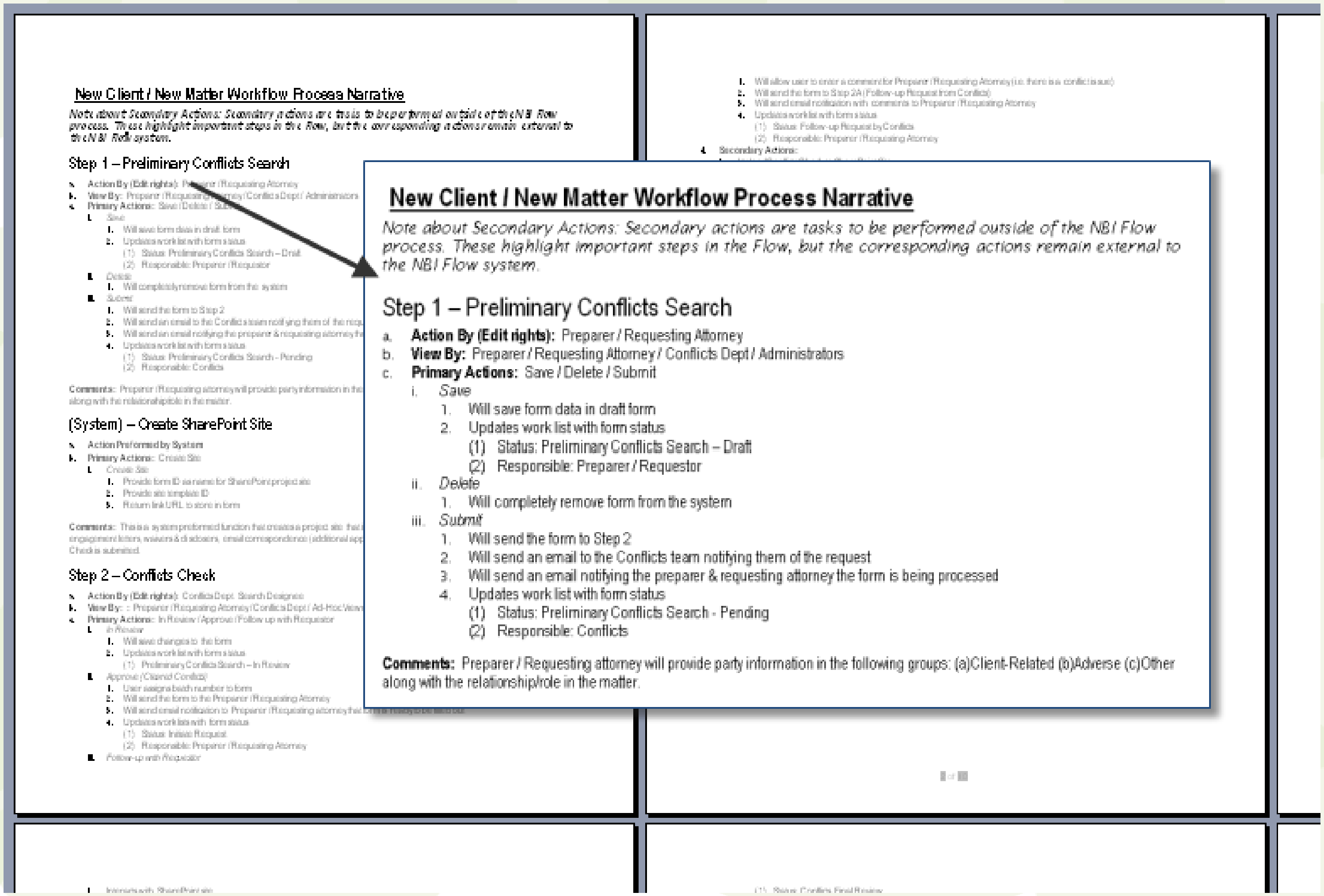


SAMPLE PROCESS DIAGRAM #2



SAMPLE NARRATIVE DOCUMENT

- Detailed narrative for each step in intake process.



New Client / New Matter Workflow Process Narrative

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.

Step 1 – Preliminary Conflicts Search

a. **Action By (Edit rights):** Preparer / Requesting Attorney
b. **View By:** Preparer / Requesting Attorney / Conflicts Dept / Administrators
c. **Primary Actions:** Save / Delete / Submit
   i. *Save*
      1. Will save form data in draft form
      2. Updates work list with form status
         (1) Status: Preliminary Conflicts Search – Draft
         (2) Responsible: Preparer / Requestor
   ii. *Delete*
      1. Will completely remove form from the system
   iii. *Submit*
      1. Will send the form to Step 2
      2. Will send an email to the Conflicts team notifying them of the request
      3. Will send an email notifying the preparer & requesting attorney the form is being processed
      4. Updates work list with form status
         (1) Status: Preliminary Conflicts Search - Pending
         (2) Responsible: Conflicts

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.

SAMPLE DATAMAP CHART

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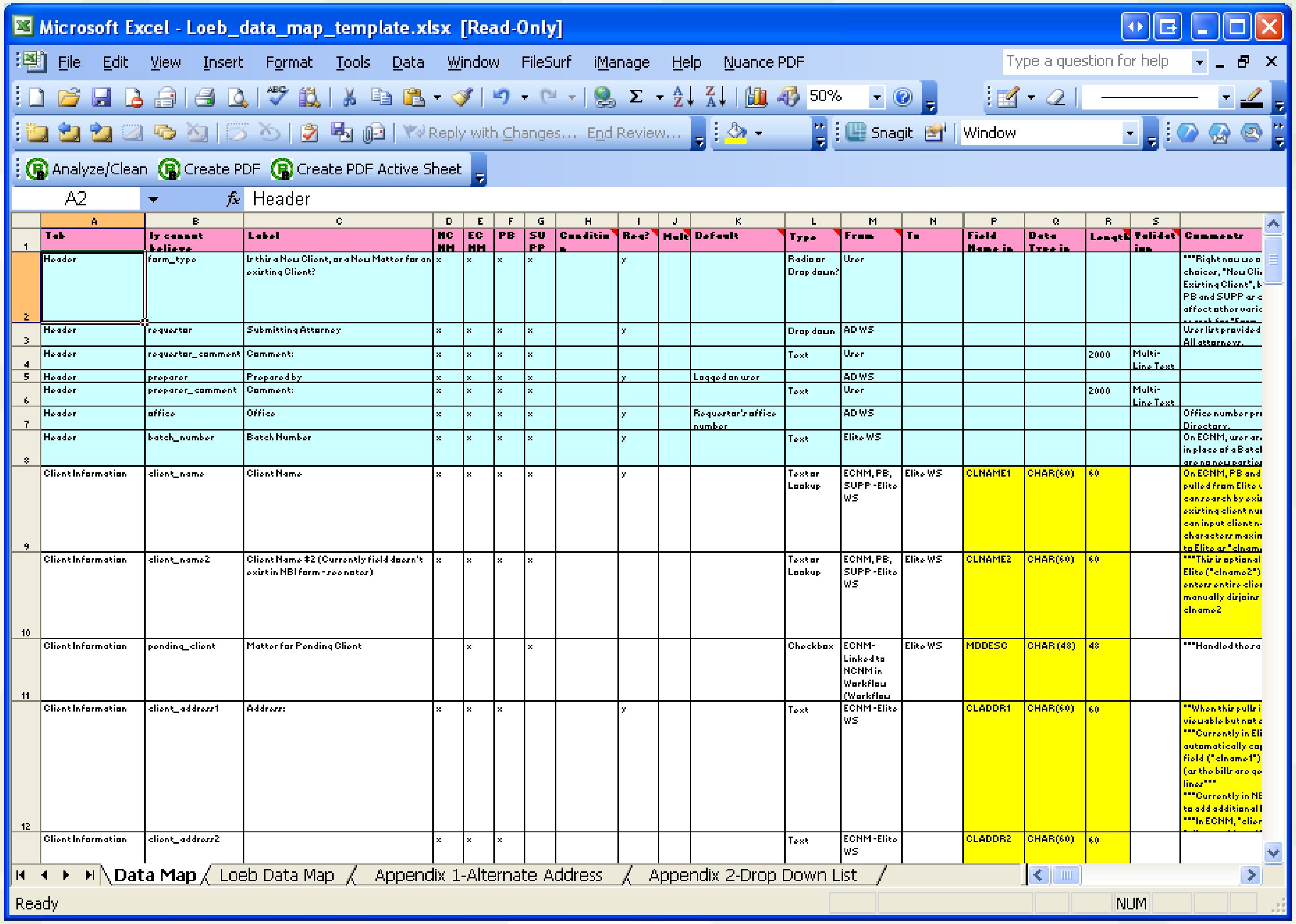

TIPS & GOTCHAS

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