Business Intake Reengineering

ILT Case Study
DRAFT
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Agenda

• The Business Perspective
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• The Project Management Perspective
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• The Solution Development Perspective
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• Assessment

Background

• Overview
  Firm's Risk Management Strategy and Policies known to be more conservative than peers
  Business Intake & Conflict Department pieced together over last decade — now need to
  rationalize the process, organization, systems, etc.
  Firm has grown significantly, both in size and geographic footprint, in last few years

• Key Specifics
  Manual process with limited synergies & automation
    • Separate new Client research for Conflicts and AML
    • Manual new Client and new Matter data entry
  Regional focus
    • Limited on-going cross-border Risk Management Partner dialogue
    • Separate regional Risk Management Staff functions
  Plethora of systems with limited data integration
    • Lawyers & Secretaries required to enter new Matter requests into two systems
    • Risk Management Staff required to use six systems to process each new Matter
Project Objectives

- **External**
  - Implement a comprehensive, integrated, global technology solution for a reengineered Business Intake Process that delivers:
    - Sound, world-class Risk Management capabilities
    - Support and service commensurate with a top, global law firm
    - Reduced turnaround time
    - Position Business Intake and Conflicts to quickly and efficiently absorb future combinations and adapt to changing business needs.
    - Choose a solution that is aligned with the Firm's global technology strategy.

- **Internal**
  - Fully support Firm's Risk Management Strategy AND meet market pressures for faster Clearance
  - Reengineer the process
  - Develop and implement a turn-key solution
  - Execute and implement globally, across functional boundaries

Project Benefits

- Deliver Business Intake processing consistent with Firm's Risk Management Policies.
- Reduce elapsed time from request to matter opening for many new matters.
- Increase Risk Management staff productivity (e.g., automated processing of alerts permitting Conflicts staff to complete more searches on a more timely basis).
- Enable more seamless transition of clients and matters across borders (e.g., obtaining and recording due diligence for use in multiple jurisdictions).
- Enable more timely and cost effective changes to the Business Intake Process in response to regulatory and business issues (e.g., ability to implement policy changes in forms and process on an expedited basis).
- Improve management reporting and audit capabilities for new clients and matters.

Project Approach

- **Approach Highlights**
  - Outsourced Project Team
  - Fixed fee contract for design, development, implementation and project management.
  - Third party buyer's representative for vendor management and deliverable consistency.
  - Agile Methodology
    - Fundamentally different from traditional "waterfall" methodologies.
    - "I'll know it when I see it" approach to user requirements.
    - Continual scope of project and eliminate time wasting activities.

- **Key Tactics**
  - Acknowledge Firm's unique history & policies -- "best practices" are not applicable.
  - Reengineer the process -- think beyond the current paradigms & constraints.
  - Understand the details -- subtle differences in statutes & practices can be critical.
  - Globalize Business Intake -- drive cross-border ownership & understanding.
  - Reorganize Staff organization -- align with new process and globalization.
Reengineering v. Automation

**Manual Process**

Task A → Task B → Task C

Automation reduces specific task times and will not otherwise impact elapsed time.

**Automated Process**

Task A → Task B → Task C

Workflow reengineering reduces idle time between tasks, which reduces elapsed time.

**Reengineered Workflow**

Task A → Task B → Task C

Process reengineering restructuring processes to maximize the benefit to users.

Global Interaction & Roles

- Start Detailed Design
- London Design Workshop, London
- Hong Kong Design Workshop, Hong Kong
- Executive Sponsor Design Workshop, Chicago
- Executive Sponsor Development Workshop, Chicago
- SME Acceptance Testing Workshop, Chicago
- Rollout

Global Project Roles for:
- Organizational Change Management
- Organization Design
- Executive Sponsor Coordination
- Solution Architecture

Iterative Development

- Objectives
  - Detailed/Design Completion Concurrent with Development Completion
  - Flexibility
  - See it before you agree it
  - High Level of User – Developer Interaction
  - Dispense input
  - Better fit with actual requirements

- Considerations
  - Incomplete Design
  - System is self-defining – Defect v. Enhancement is more challenging
  - Defects activities are unpractical
  - Not all Defects are the same
  - Development Defects
  - Design Defects
  - Incomplete System
  - Testing unrecommended, not final, update
  - Testing with incomplete and testing functionality
  - Timing Constraints
  - Trial balance input
  - Trial balance output
Project Paradoxes

• Simple, Global Process is Neither
  – Many requirements are regional
  – Solution must be global
• “Zero Tolerance for Risk” when Risk is Unavoidable
  – Must consider both false positives & false negatives
  – Optimization is balance
• Imprecise Information Improves Outcome
  – Very limited Metadata
  – Lots of “information”
• Build for Need not Want
  – Many requirements, conflicting priorities
  – Real requirements controlled by third parties

Solution Architecture

Workflow Architecture

• Simple Conceptual Architecture…
  – Audit & Categorize
  – Research & Assess
  – Review & Approve
  – Open & Notify
• …made Modular for flexibility…
  – Dependencies
  – Optionality
  – Sequencing
• …with Tasks grouped by Role to minimize hand-offs.
Assessment Points

- Business Objectives
- Reengineering
- Business Involvement
- Project Team
- Methodology
- Technology