



CLOC
CORPORATE LEGAL OPERATIONS CONSORTIUM

Legal Project Management (LPM) for Legal Teams

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PURPOSE AND OVERVIEW

The purpose of this document is to provide a framework that can be used to develop your legal project management (LPM) program and educate your stakeholders of what is involved. This guide is designed to be used internally and in collaboration with your law firms.

The document first outlines the CLOC standard for a 4-stage LPM matter framework and then dives in to more detail on each of the four stages. Each stage (and section within the document) includes:

- **Activities (inputs):** Specific tasks to be completed in order to successfully move on to the next stage (aka the checklist)
- **Results (outputs):** The outputs resulting from the activities performed
- **Roles and Responsibilities (ARCI):** Defined roles so that we know who is doing what (work is clearly assigned), everyone is kept in the loop, and the matter keeps moving forward.

ARCI - Quick Reference Guide	
Accountable (A) - Makes the decision. The person is ultimately accountable. Includes strategic authority, yes/no, veto and assignment powers, and final approval.	Responsible (R) - Performs the work. The people assigned the job by the "A." Includes tactical responsibility for doing the work and completing the tasks.
Consulted (C) - Communicates the works (two-way). The person(s) who provides special support or should be consulted in making decisions or doing work.	Informed (I) - Explains the work (one-way). Those who need to be informed at key decision points and milestones during the work. The stakeholders: work's providers, customers, and beneficiaries.

- **Success Criteria:** The criteria, when met, demonstrate successful execution of PM at that stage of the matter lifecycle

NOTE: Each section contains [hyperlinks](#) to templates that are available to accompany this playbook. Templates can be directly accessed on the CLOC Members website, within the CLOC LPM Initiative portal at the following link:

4-STAGE LPM FRAMEWORK

The following diagram depicts the CLOC standard four-stage LPM framework for managing a matter. This is a baseline and can be configured based on your department's process and/or preferences.



STAGE 1: INTAKE

The Intake stage is intended to define and reach agreement on the goals, objectives and scope of what is to be accomplished. This is one of the most important stages, as it drives everything that follows. This stage asks in-house teams to think about work to be performed prior to its execution in order to ensure appropriate assignment and efficient delivery throughout subsequent stages.

Activities (Inputs)	ARCI
<ol style="list-style-type: none"> 1. Business client submits a legal request form and required background information 2. In-house counsel or staff evaluate the issue and take initial steps: <ul style="list-style-type: none"> • Confirm the validity of the request and Legal's involvement / responsibility • Classify matter type and priority • Validate matter objectives and success factors • Categorize matter risk/complexity • Identify and assign lead in-house lawyer(s) to be responsible • Create new matter with Matter ID in system of record (i.e. matter management system). If none exists, then use simple Request Tracker 	<p>A: Division General Counsel</p> <p>R: In-house Attorney</p> <p>C: Subject Matter Expert; Legal Operations, Outside Counsel</p> <p>I: General Counsel</p> <p><i>NOTE: It is assumed this stage is primarily handled / managed by in-house teams.</i></p>
Results (Outputs)	
<ul style="list-style-type: none"> • Validated and Completed Legal Request Form <ul style="list-style-type: none"> • Objectives, goals – clear statement(s) of what is to be performed • Matter type and priority • Risk/complexity category • Scope definition – specific definition of the scope of work and expected duration • Success factors – identify what defines a successful result • New Matter ID (or record in appropriate system) 	
Success Criteria	
<ul style="list-style-type: none"> • All matters/projects estimated to take >8 hours should go through this stage • This stage to be completed within 48 hours of request • All required information fully gathered, logged and tracked in a new matter / record 	

STAGE 2: PLANNING

The Planning stage sets out the activities to be done, the persons who will do them, the time by which they will be done, the potential costs (estimates) for executing the matter and the initial assumptions all of these are based on. The resource and project plan can and should consider and include both in-house and outside counsel teams, as necessary.

Activities (inputs)	ARCI
<ol style="list-style-type: none"> Define resources required <ul style="list-style-type: none"> Use Outside Counsel Qualification Checklist to determine whether matter should be handled In-House or in partnership with Outside Counsel If Outside Counsel is required, determine potential firms Issue a simple Request for Service or use External Briefing Checklist to inform Outside Counsel with preliminary scope of the matter Build the Matter Plan, Evaluate Options, Engage OC and Reach Agreement on Scope/Statement of Work <ul style="list-style-type: none"> Propose/Receive/Establish projected matter plan (phases and tasks anticipated to complete the matter) <ul style="list-style-type: none"> Consider appropriate resource matching - right people at the right level (both at the In-House and Outside Counsel level) Estimate general effort of each task Estimate general cost of each task Outline underlying assumptions of each task Evaluate Options and Engage Outside Counsel (if necessary) <ul style="list-style-type: none"> Consider the timing of these deliverables and the need for expedited evaluation Use Outside Counsel Evaluation Template (template coming soon) evaluate proposals for their initial matter plan, approach and pricing arrangement Provide Outside Counsel opportunity to communicate proposed terms of engagement In-House evaluates full scope, resourcing and potential costs, including inside and outside efforts 	<p>A: Division General Counsel</p> <p>R: In-house Attorney</p> <p>C: Outside Counsel; Legal Operations</p> <p>I: General Counsel; Business Client</p>

<ul style="list-style-type: none"> • Consider training opportunities for junior lawyers (internally and externally) • Negotiate terms and costs of engagement (if necessary) • Select Outside Counsel (if necessary) • <i>NOTE: For this particular step, please refer to CLOC RFP initiative for added insights/templates</i> <p>2. Reach Agreement on Scope/SOW (internally and externally)</p> <ul style="list-style-type: none"> • Share Plan/Statement of Work with business client to gain signoff • Confirm compliance with In-House engagement requirements • Agree upon matter-level status check cadence and metrics that should be used to monitor the matter • Agree upon relationship-level status check cadence and metrics that should be used to monitor the portfolio • Sign engagement letter with Outside Counsel (if necessary) • Sign off on billing guidelines with Outside Counsel (if necessary) • Communicate the completion of this stage to internal stakeholders 	
Results (Outputs)	
<ul style="list-style-type: none"> • Plan/Statement of Work (Matter Scope, Plan, Resourcing, Cost Assumptions (internal and external)) Signoff (Note: Consider implementing a plan format that is consistent with the legal department's or business units' adopted technology platform. With regard to the later, for example, legal may be involved in projects that are managed using a third party platform that will dictate the format of plans and other ancillary project documentation.) • Law Firm Pricing Proposal (if necessary) • Law Firm Signed Engagement letter (if necessary) • Law Firm Billing Guidelines Signoff (if necessary) • Report on progress of matter to internal stakeholders 	
Success Criteria	
<ul style="list-style-type: none"> • Signoff and alignment between client, in-house legal team and outside counsel on matter approach, pricing, scope, variables, costs, assumptions and estimated timing • Agreement on matter-specific monitoring and reporting metrics <ul style="list-style-type: none"> • Matter specific targets: <ul style="list-style-type: none"> ▪ Resource Management 	

- Team subject matter expertise
 - Departmental support (who is supporting which departments)
 - Workload and resource utilization
 - Deliverables and deadlines
- Budget Management (using Matter Management Systems)
 - Cost of matter
 - Duration of matter
 - Timekeeper turnover (with regard to outside counsel, the number of times new timekeepers are utilized on an engagement)
 - Staffing profile to target
 - Compliance with outside counsel billing guidelines
 - Timely billing
 - Performance to budget and percentage of work completed
- Agreement on portfolio-specific monitoring and reporting metrics
 - Portfolio (Relationship-level) targets:
 - How many matters managed in-house versus outside counsel and profile of the matters referred to outside counsel
 - Volume of requests by business unit and matter type
 - Outcome of matters in the portfolio
 - Average duration of matters
 - Average cost of individual matters and portfolio

STAGE 3: EXECUTION

The Execution stage is where the matter is collaboratively delivered and monitored according to the intended goals and outcomes set forth in the intake and planning stages. This stage heavily focuses on monitoring the matter and communicating the status and/or risks on a frequent basis.

Activities (inputs)	ARCI
<ul style="list-style-type: none"> • Manage and monitor the plan and scope <ul style="list-style-type: none"> • Establish a location where all team members can access the Matter Plan • Store notes, documents and materials associated with the matter in intended location • Using a simple Status Indicators, monitor and highlight matter and task risk associated with any of the following: <ul style="list-style-type: none"> • Fee budget to actuals • Scope Creep • Timeline Delays • Staffing Alignment • Achievement of Outcomes • Log material status updates to phases and tasks or on the matter • Close out phases/tasks when completed • Communicate and share updates with the matter team: <ul style="list-style-type: none"> • Distribute Monthly Matter Status Report • Hold monthly call and store Status Meeting Minutes to align on overall matter financials, progress, risks, completed activities and upcoming activities (<i>more or less frequent may be required based on type of matter</i>) • Provide Matter Dashboard to team for simple, high-level visibility of: <ul style="list-style-type: none"> • Anticipated staffing leverage and turnover compared to actuals • Anticipated fees vs. actuals • Anticipated vs. actual work progress completion • Achievement of deadlines • Compliance with billing guidelines • Manage and Agree to Change In Scope <ul style="list-style-type: none"> • Complete Change Form and have all parties (internal and external) agree 	<p>A: Division General Counsel</p> <p>R: Legal Project Manager; Lead In-House Attorney, Lead Outside Counsel</p> <p>C: Matter Team; Legal Operations</p> <p>I: General Counsel; Business Client</p>

<ul style="list-style-type: none"> • Update matter plan based on agreed change and distribute new version 	
Results (outputs)	
<ul style="list-style-type: none"> • Continuously Updated Matter Plan • Matter Status Report (Monthly) • Matter Dashboard Report (Monthly at least, or real-time if preferred) • Matter Status Meeting Minutes (Monthly) • Signed Change Form (if and when necessary) 	
Success Criteria	
<ul style="list-style-type: none"> • Matter team members and client fully informed of Matter status, progress and risks on a monthly basis (more frequent if necessary) • Compliance with monthly reporting and status calls • Clear appointment and presence of Legal Project Manager on team to facilitate/steward the process of tracking and communicating matter plan and status updates • Risks are limited due to proactive and timely identification, management and decision making 	

STAGE 4: REVIEW

The Review stage is a critical opportunity for legal teams to demonstrate the value of the legal department and to continuously improve. It is often overlooked by legal teams since it happens after the matter has been completed because of lack of process, time or motivation. In this stage, the client, in-house lead [and outside counsel lead (if involved)] should evaluate the results, particularly, how the matter was planned, managed and executed so the team can gain insight for achieving successful outcomes and better work processes for future matters. This stage also may include a meeting amongst relevant team members to review the lessons learned and how they may be addressed. If possible, standard lessons learned templates should be captured, in addition to matter plans that represent best practice starting points for planning future matters. The result includes significant time and money savings for future matters, but moreover, increased potential to repeat successful outcomes (and avoid unsuccessful ones).

Activities (Inputs)	ARCI
<ol style="list-style-type: none"> Confirm resolution of matter <ul style="list-style-type: none"> Process (or close out) remaining open tasks and invoices Gain signoff from client on completion or resolution of work Mark matter as completed and track outcome in matter management or tracking system Determine data disposition (retention, archival, deletion, etc.) of work product and other materials Within 45 days of matter completion, conduct Post-Matter Review <ul style="list-style-type: none"> What worked / what didn't /why (approach/strategy, financial and resource estimate, scope, team, assumptions, communications, workflows, technology, templates, etc.) What we can export to other matters and what is matter-specific What didn't know but learned that could be incorporated into future work templates Identify bottleneck areas that caused delays and should be avoided. Identify and store materials for re-use, templates or standardization such as: <ul style="list-style-type: none"> Work Plan / Estimate 	<p>A: Division General Counsel Lead Lawyer</p> <p>R: In-house Lead Attorney</p> <p>C: Business client, all matter team members; Legal Operations</p> <p>I: General Counsel</p>

<ul style="list-style-type: none"> • Assumptions lists • Staffing (should a Roles & Responsibilities framework or approach be used for future matters?) • Communication practices • Matter Documentation and Deliverables or Templates • Data and databases that can be re-used or re-purposed. • Technology tools, resources, systems 	
Results (Outputs)	
<ul style="list-style-type: none"> • Completed tasks and deliverable (if applicable) [and invoice processing if applicable] • Completed matter administrative closure, including data disposition (retention, archival, deletion, etc.) • Completed After-Action Review with a Brief Summary of outcomes and benefits, financial assessment, communication assessment, and improvement opportunities, etc. See template. • Documentation and dissemination of best practices and lessons learned, relevant to Law Department initiatives. NOTE: Establish a timeframe for any action items intended to ensure the knowledge, if applicable, that is gained is disseminated into future practices promptly. • New/Updated Templates (if matter or matter elements qualify to be templated) • Experience with technology tools, resources or systems used or implemented during the matter 	
Success Criteria	
<ul style="list-style-type: none"> • Completion of this stage within 30 days of matter resolution or completion • Clear understanding of what worked and what didn't • Growing and improving base/bank of knowledge and templates • Action was taken (or project is defined and started) on items identified to improve future work and business practices 	

LPM MATTER ROLES

To successfully work within and understand the ARCI framework provided in above sections, you need to understand the different players and roles.

In-House Roles	Description
Business Client	Individual or individuals who represent the business (i.e. product group, service line, corporate function, etc.) who is Legal's client and are in need of legal advice and assistance.
General Counsel or Chief Legal Officer	Most senior legal position in the corporation; advises the Board of current and emerging legal risks.
Division or Deputy General Counsel (also known in some cases as AGC)	Senior legal officer and manager of the legal department of a subsidiary or business unit; may have dual reporting relationships to the chief executive of the subsidiary or business unit and to the GC.
In-house Attorney	<p>Managing outside counsel by selecting counsel, managing budgets, communicating with counsel on case strategy, key developments, etc. If department largely</p> <p>Manages matters in-house, managing day-to-day details and deadlines of matters, such as</p> <ul style="list-style-type: none"> For litigation: responding to discovery, reviewing documents, reviewing/revising motions, interviewing witnesses, etc. Meet with internal In-House's (business unit representatives) to provide status of cases, set expectations (regarding duration of case/costs), and act as an advisor regarding how to change going forward to avoid similar issues. For transactions: act as an advisor, and better understand how their part of the business operates, meeting with other parties in a deal to review/negotiate terms, drafting and reviewing documents/contracts, managing against due dates/deadlines (particularly for areas like M&A), managing due diligence process and associated documents, researching existing contracts, internal policies, etc. in response to internal business unit inquiries (e.g. "what does the contract say about X?"), conducting legal research (e.g. matters of law as they pertain to contract clauses, research legality of X to advise internal

	In-House team); managing corporate governance: consulting with the Board of Directors around compliance/reporting requirements; drafting meeting minutes and other corporate secretary duties.
Legal Operations	Manages the department's finances, staffing, and systems. Oversees the financial and operational health of the legal department and identifies opportunities for improvement. Managing outside counsel relationships (e.g. rate negotiations). Track and analyze total budget of the department, not just budgeted legal fees. Analyze reports to evaluate performance, trends, and anomalies across the entire legal department to identify opportunities for cost savings, vendor performance and timekeeper rates (as part of managing outside counsel relationships), budgets to actuals, internal staffing, accruals/reserves that may need to be adjusted with Finance, monitor the status of high profile matters and present data/reports to present to the CEO/Board of Directors.
Paralegal or Legal Assistant	Drafting documents, performing initial review of documents, performing and coordinating legal research and records research, preparing correspondence, form complaints, declarations, checking legal forms for accuracy, executing document control orders (i.e. legal holds), liaising with outside counsel, entering new matter details into the matter management system.
Financial Administrator	Financial professional responsible for managing the daily invoice receipt, allocation, payment approvals and coordinates activities associated with outside counsel billing.

External Roles	Description
Billing Partner	A matter is initiated by the Billing Partner. He/she is accountable to the In-House team for the outcome of the retainer and for the fees incurred on the matter. The most significant issues will be handled by and communicated to the In-House team by the Billing Partner.
Lead Lawyer	The executing and directing of a matter is handled by a Lead Lawyer. He or she is responsible for the day-to-day accountability and legal strategy of the matter. In-House teams typically call on a Lead Lawyer first to discuss matter status and issues.
Legal Project Manager	The Legal Project Manager manages the matter's progress and leads it to the outcomes. He or she does not necessarily have to have legal experience, but it is preferred. Planning, managing and identifying any issues and knowing who can resolve them are primary responsibilities of the Legal Project Manager. Other responsibilities include managing budget to actuals and status updates. The Legal Project Manager works closely with the Lead Lawyer and is often communicating with the In-House team.
Pricing Manager	The Pricing Manager assists with evaluating the suggested plan, rates and overall pricing to determine whether the proposed fee model is competitive, in line with firm standards and aligned to the business objectives set forth on the matter. In cases where special fee models or discounts are proposed, the Pricing Manager should educate the Billing Partner and Lead Lawyer on the potential benefits and risks involved from a financial standpoint.
Matter Lawyer(s)	The day-to-day execution and delivery of all elements of the legal work falls to the matter lawyers. Matter lawyers are assigned specific work elements, but may often work together to produce a result. They are the first to know of potential issues and are responsible for identifying and communicating them to the matter lead as they arise. Matter lawyers report frequently to the matter lead and sometimes interact with the In-House team directly, when working on specific work elements.
Subject Matter Experts	When specific legal issues arise, Subject Matter Experts are consulted and engaged. Their role on matters is minimal and they often come in and out of matter engagements based on specific needs. Subject matter experts assist internal teams to get back on track and if needed, communicate directly with the In-House team.



CLOC LPM INITIATIVE CONTRIBUTORS

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