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# Change Catalyst: Leveraging Records Management Initiatives to Spark Policy and Process Progression

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**Del Lago 3 &4**



**INOUTSOURCE**



# Change Catalyst: Leveraging Records Management Initiatives to Spark Policy and Process Progression

Presented by:

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**InOutsource**

■ **Nancy Beauchemin, Founder and Shareholder**

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# Learning Objectives

We will share our journey in defining our requirements for selecting and implementing systems to manage client matter information.

- ❖ *How Records Management initiatives can be the vehicle to justify upgrades in client intake, billing, document and records management systems*
- ❖ *The benefits of having an experienced Project Manager to coordinate involvement of General Counsel, Information Technology, Knowledge Management and Records Management.*

## Firm Background

2004 - Strong Regional Firm – 9 offices (PA, NJ, DE)

- Growing Rapidly

2007 – 14 offices coast to coast (PA, NJ, DE, NY, FL, NV, CA)

- Over 400 attorneys

2004 - Records and Client Intake Department

- Expertise Conflicts
- Records responsibilities limited to processing physical records for offsite storage
- Each office had their own system and habits for managing client matter files
  - Resistance

# Systems Background

## No Standard RMS System

- No methodology or system to barcode and manage records throughout their lifecycle
- Retention Policy
  - Policy document sat on shelf for 10 years. No infrastructure to implement

## Financial System

- Outdated

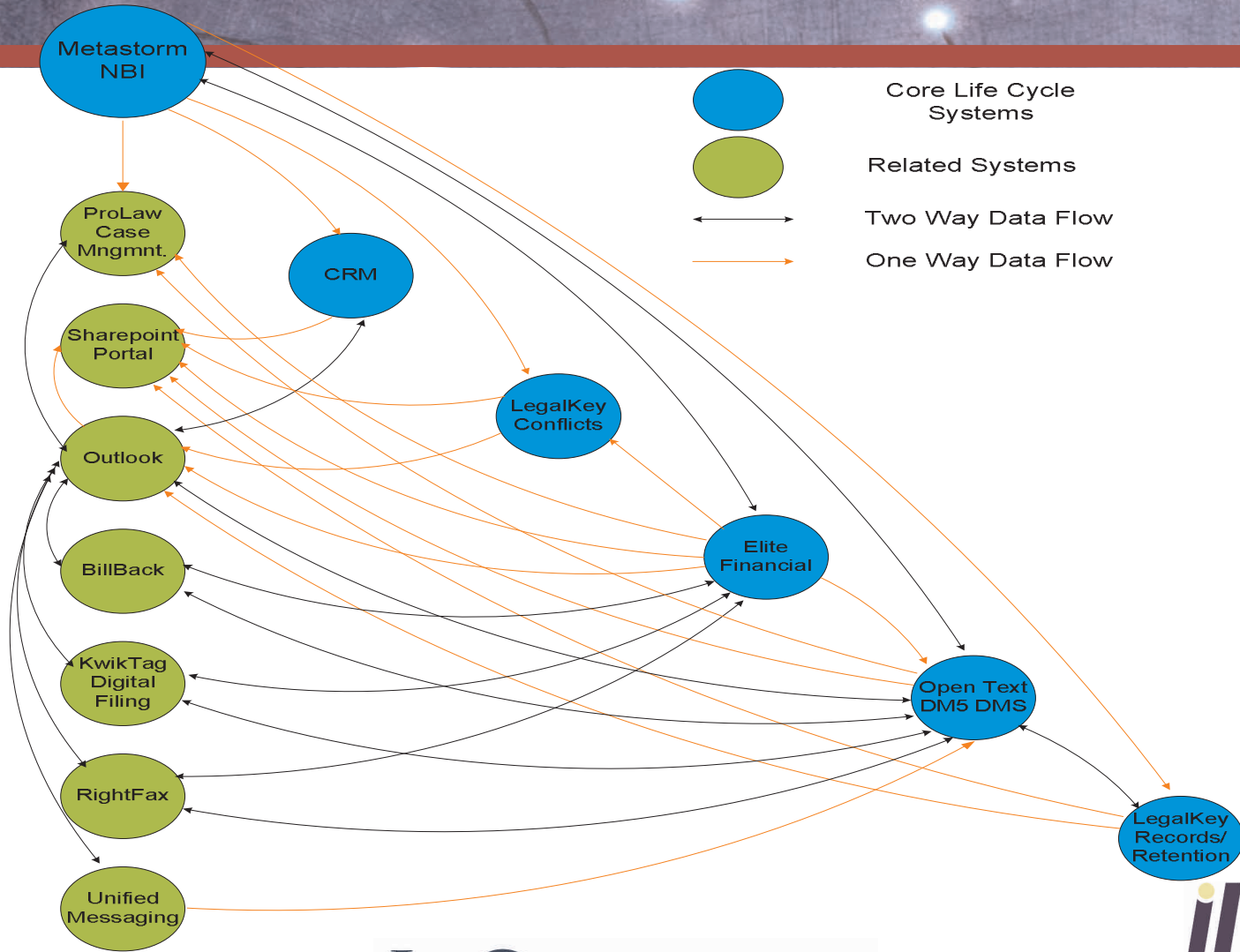
## Client Intake System

- Proprietary, developed and supported with in house staff

# Project Vision

- ❖❖ Records Management best practices as a guiding principle
  - ❖❖ Loss prevention issues
  - ❖❖ Consistent, lifecycle approach
- ❖❖ Importance of seamless integration between systems
  - ❖❖ Best of breed
- ❖❖ Master database so we can control our data
- ❖❖ Better tools for attorneys
  - ❖❖ Matter centric

# Integrated Systems



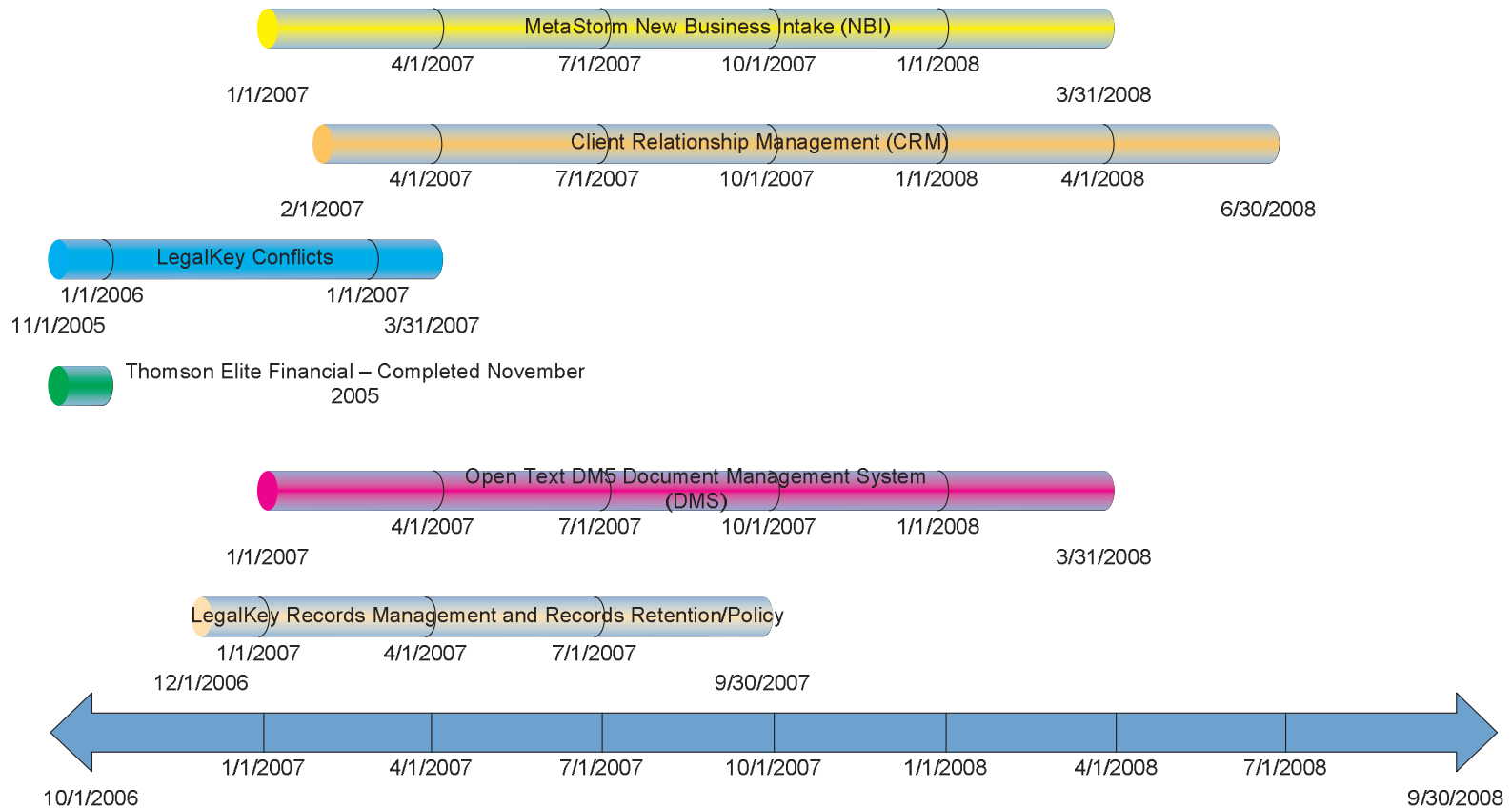
# Project Launch and Planning

## Long-term planning and priorities

### •• System

1. Change Financial Systems
  - Compliant platform
2. Interim offsite storage database
  - Consistency
  - Reduce redundant data entry
3. RMS and Conflicts system
  - Requirements gathering
  - RFP and system selection
4. Replacement for Client Intake (Workflow) system
5. Upgrade DM system
6. Taxonomies
7. Retention Policy and Schedules

# Project Timelines



# Project Launch and Planning

## Staffing Changes

- Hired a Firm-Wide Director of Records Management
  - Current Records Manager could focus on Client Intake and Conflicts
    - More time for cross-training and development of staff
- Increased headcount and quality of staff in department
  - College graduates
- Implemented procedures and policies
  - Accountability

# Roles and Responsibilities

- ❖❖ Project Manager
- ❖❖ Consultant Role (InOutsource)
- ❖❖ Project Sponsors
  - ❖❖ Practice group leaders
  - ❖❖ IS
  - ❖❖ General Counsel
  - ❖❖ Admin Depts. – Financial, KM, Records, etc.
- ❖❖ Meeting Schedules

# Understanding Project Relationships

## ❖❖ Keys to success

### ❖❖ Executive Sponsorship

- ❖❖ Understanding of goals

### ❖❖ Unified Voice

- ❖❖ Message is agreed upon by Directors

### ❖❖ Relationship of Projects in Supporting the Client-Matter Lifecycle

- ❖❖ Decisions on one project may affect goals and success of another project
- ❖❖ Know when to involve other members to move tasks along

# Project Management Best Practices

- Requirements gathering
- Documentation
- Educating stakeholders
- Soliciting feedback
- Communication with Project Team

# Road Blocks

## ❖ Growth

- ❖ Lateral Hires

- ❖ Mergers

  - ❖ Conversions of data

## ❖ Priorities change

- ❖ Competing for resources

## ❖ Changes in Executive Management

- ❖ CEO and Administrative Partner Retired

# RMS - Selection and Implementation

## ❖❖ Requirements

- ❖❖ Integration with Elite Financial and future DMS
- ❖❖ Conflicts
- ❖❖ Best of Breed

## ❖❖ RFP Process

- ❖❖ Chose LegalKEY® Records and Conflicts

## ❖❖ Implementation plans

- ❖❖ New folder creation first
- ❖❖ Conversion of existing records

# New Matter Intake

- ❖❖ Defining Requirements
  - ❖❖ Build from existing process
- ❖❖ Modifications to current process
  - ❖❖ Must haves
  - ❖❖ Phase Two
- ❖❖ Realizing records tie-ins
  - ❖❖ Engagement and waiver letters
- ❖❖ Consideration for KM and marketing goals

# Document Management

- ❖ Investigation

- ❖ Decided to go with DM5

- ❖ Planning

- ❖ Matter-centricity

- ❖ Adopted same taxonomy as LegalKEY® Records

- ❖ Consistent message

- ❖ Embraced by practice groups

# Taxonomy Development

## ❖❖ RIM Benefits

- ❖❖ Standardization improves management of client matter information
- ❖❖ Infrastructure to Implement Retention Policy
  - ❖❖ Valuable client documents are identified and protected
- ❖❖ Proof of Concept
  - ❖❖ RMS - Flexible

## ❖❖ Secondary Benefits

- ❖❖ Forces users to open new matters
- ❖❖ Raise awareness of changes needed to current department/practice organizational structure
- ❖❖ Collaboration
- ❖❖ Lateral and Departing Attorneys

# Taxonomy Development – Our Process

1. Concept Presented for Physical File Management
2. Administrative Partner Supported Initiative
3. Department Chairs Assigned Resources
  - Attorneys, Secretaries and Paralegals
  - Learning experience
  - Sign off on “final” standards by practice group
  - Audited existing client matter files
4. Interim Label Program
  - Real Estate Practice
    - Soft Training Tool
    - Benchmarking

# Taxonomy - Compliance Challenges

1. Current department/practice organizational scheme needs to be reworked
  - Standard folders/document types created for practice areas do not always reflect legal topic or matter type
2. Requires oversight by records to ensure compliance
3. Exceptions
  - Procedures developed to request an exception to standard folder type
4. Existing active matters

# Retention Policy Development

Scope of Project – Limited to Client Matter Information

- Collaborative Effort

- GC, IS, PM, InOutsource, Records, KM

- Research of legal statutes and ethics opinions performed by Fox Rothschild Attorney

- Interpretation of schedules into policy – General Counsel

- Attorney duty to client and professional responsibility were underlying factors in policy and procedures

- Impacted standard folders/document types created for LegalKEY® Records and Interwoven DM5

# Retention Policy Development

- Actual Policy - Reviewed and revised numerous times

## Status

- Policy and supporting procedures are 95% complete.
- Management committee approval

# Compliance and User Adoption

- ⌘ Happening now
- ⌘ Executive Support – Administrative Partner understands issues
  - ⌘ In past no incentive to open a new matter. Some resistance.

## Realizations/Lessons Learned

- Communication is key
  - Keep Executive Management Informed
  - Road show for attorneys
- Other strategic firm initiatives support RIM goals
- Process without a final destination

## Next Steps

- Test
- Education and Training
  - Managing client matter information to be compliant with ethical and professional responsibilities to clients
- Integration of DM5 to LegalKEY® Records
- E-Mail and Electronic Records
  - Eliminate use of pst files
- Strategy needs to comply with firm IT, KM, Records and Practice Management Goals
- Metastorm

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## Questions

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