Autocene Use Case Series

Customer: Global 100 Law Firm

AUTOCENE

Legal Matter Management

July 2020

Summary

New business is the lifeblood of any business, but for a large international law firm it is essential that proper due diligence is performed to ensure that the client and matter are suitable for the firm.

With hundreds of lawyers managing thousands of clients, there is a good possibility that those clients will overlap with their legal matters. That is especially true if the firm focuses on a few specific areas of law and commerce. Tracking and approving/denying every matter presented to each lawyer in each country can be a daunting task.

Matter acceptance at a large international law firm presents challenges with each jurisdiction having their own code of conduct and requirements. The decision for accepting a new client for this firm means more than just checking for conflict. Many factors go into the decision, and there is a process that requires management approval.

Designing a matter acceptance solution that provides the flexibility needed for the firm's diverse population of partners and jurisdictions was going to be a challenge. That is why this firm chose Autocene to streamline the process.

In this case study, you will see how this firm went from a manual process using multiple email strings, faxes, and documents to a simplified application that collects all information captured in a robust SQL database for reporting and audit purposes.

Matter Acceptance - Before Autocene

Prior to implementing the Autocene platform, each time a lawyer would identify a new piece of business, the lawyer would need to collect information they thought was appropriate in an unstructured manner. There were multiple types of information collected:

- Client Information
- Information about the Matter
- The role the firm/partner were to play
- Which Partner and Branch would be managing the case?
- Financial Terms and Credit worthiness
- Client Billing Information
- Conflict Status
- Risk Assessment

For the most part, all of these processes were managed through individual strings of emails with four different groups within the firm. Information about the matter and client would go to a supervising partner. Billing and financial terms would go to the finance department. Information on potential conflicts would go to the appropriate department for compliance purposes. Some matters would be raised to a managing partner level. All of those different groups would have input on the risk associated with taking on that new business.

Electronic documents were shared via email, shared drives, document repositories, and sometimes even paper documents were required as well. As much as possible, the information was captured by the attorney and shared with the appropriate departments for compliance purposes. However, managing a process with this many moving parts required a lot of manual labor to collect and coordinate all of that information. Failure to do it correctly left the firm open to serious consequences. Compounding all of these issues were the different regulatory requirements for the multiple jurisdictions in which the firm's legal teams operate.

In addition, not having a structured approach to the process resulted in long lead times for decision making as information sometimes was set aside or lost in the web of approvals.

It was chaos!

Matter Acceptance – The Autocene Solution

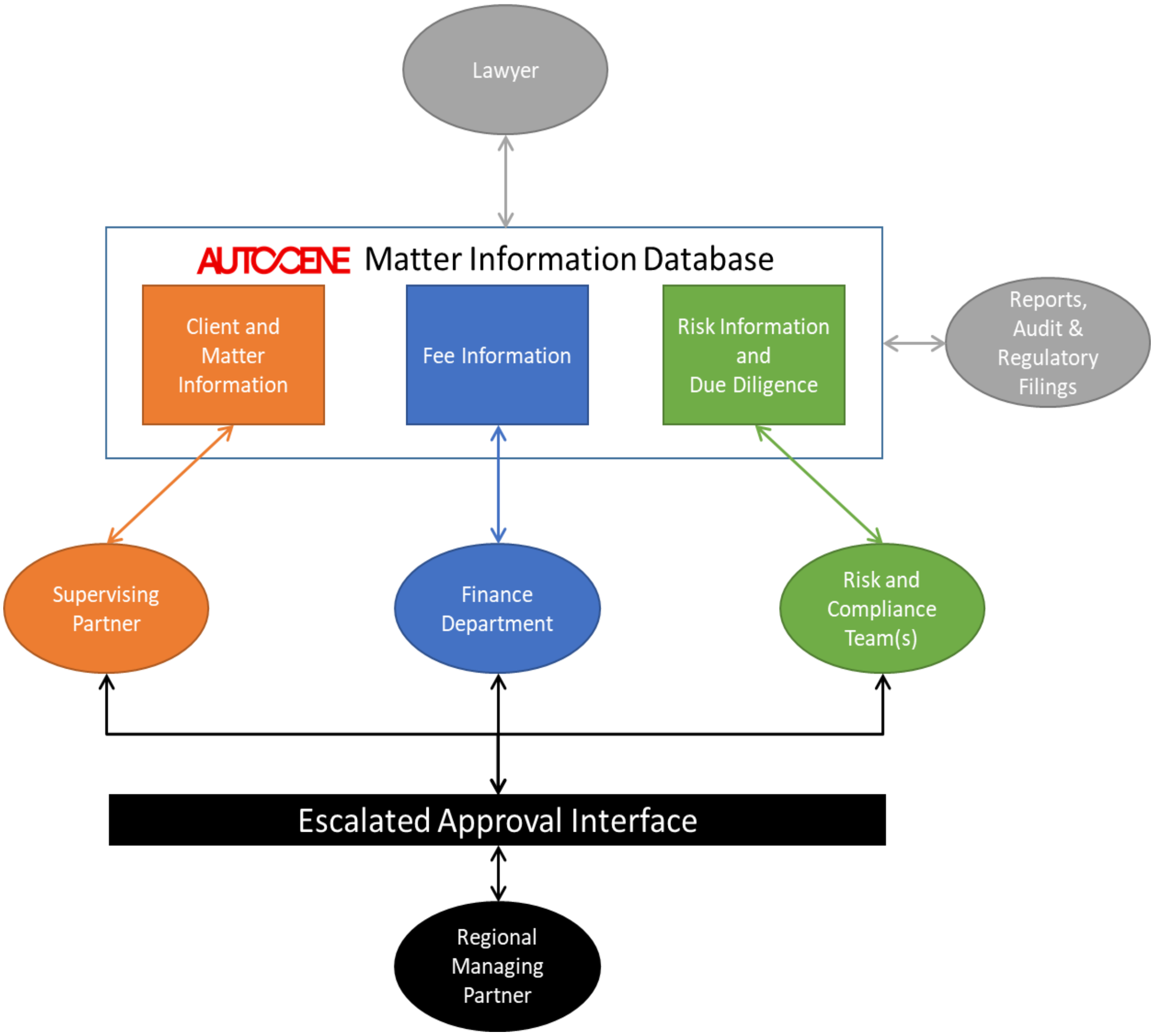
In working with the firm, the Autocene team configured an automated solution that began with the lawyer or business development executive collecting information in a structured manner. The sections of information to be completed included:

A. Client Information
    - Key Participants
    - Contact Information
    - Background
B. Matter Information
    - Matter Type
    - Matter Subject
    - Scope of Work Proposed
    - Description of Matter
    - Fee Arrangement
    - Value of Matter to the Client
    - Estimated Fees
    - Fee Terms
    - Estimated Completion Date
C. Internal Team Acting on the Matter
    - Partner
    - Assistant
    - Branch
    - Department
    - Marketing Information
D. Client and Parties
E. Client Capture Option
F. Conflict Check
G. Due Diligence and Risk Analysis

After the information is gathered and submitted, the process is automatically kicked off with the various departmental approvers receiving access to the portions of the information that they are responsible for reviewing. Each reviewer can either A) Approve, B) Deny, or C) Request Additional Information from the submitter. Each approver can add comments and instructions as they review the documentation.

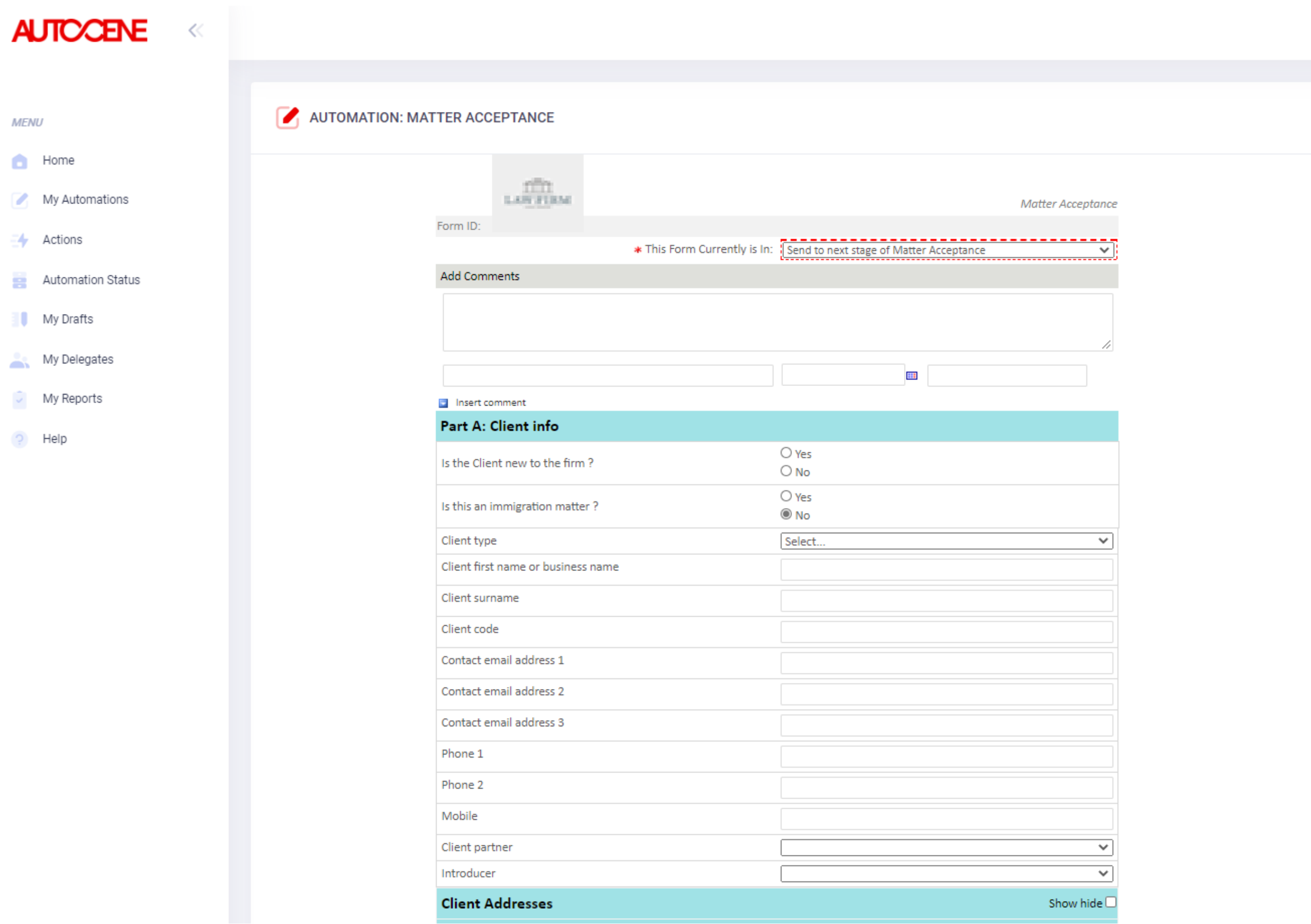
At every step of this acceptance process, all of the client and matter information along with the metadata regarding the process itself is collected in the Autocene database (MS SQL). That database provides a robust platform for reporting and audit purposes. The firm is able to retrieve reports on all matters accepted, no matter where in the world they take place. The firm can also drill down into all of the details of the matters that were accepted or declined, and see the reasons why. This capability provides the backup needed for regulatory compliance purposes no matter what jurisdiction in which the matter takes place.

The automation of this process enabled the firm to reduce the cycle time for matter acceptance by over 50% and ensured that there was no lost information. The automated process also provided instantaneous access to the information via reports helping to ensure firm compliance with local regulations.

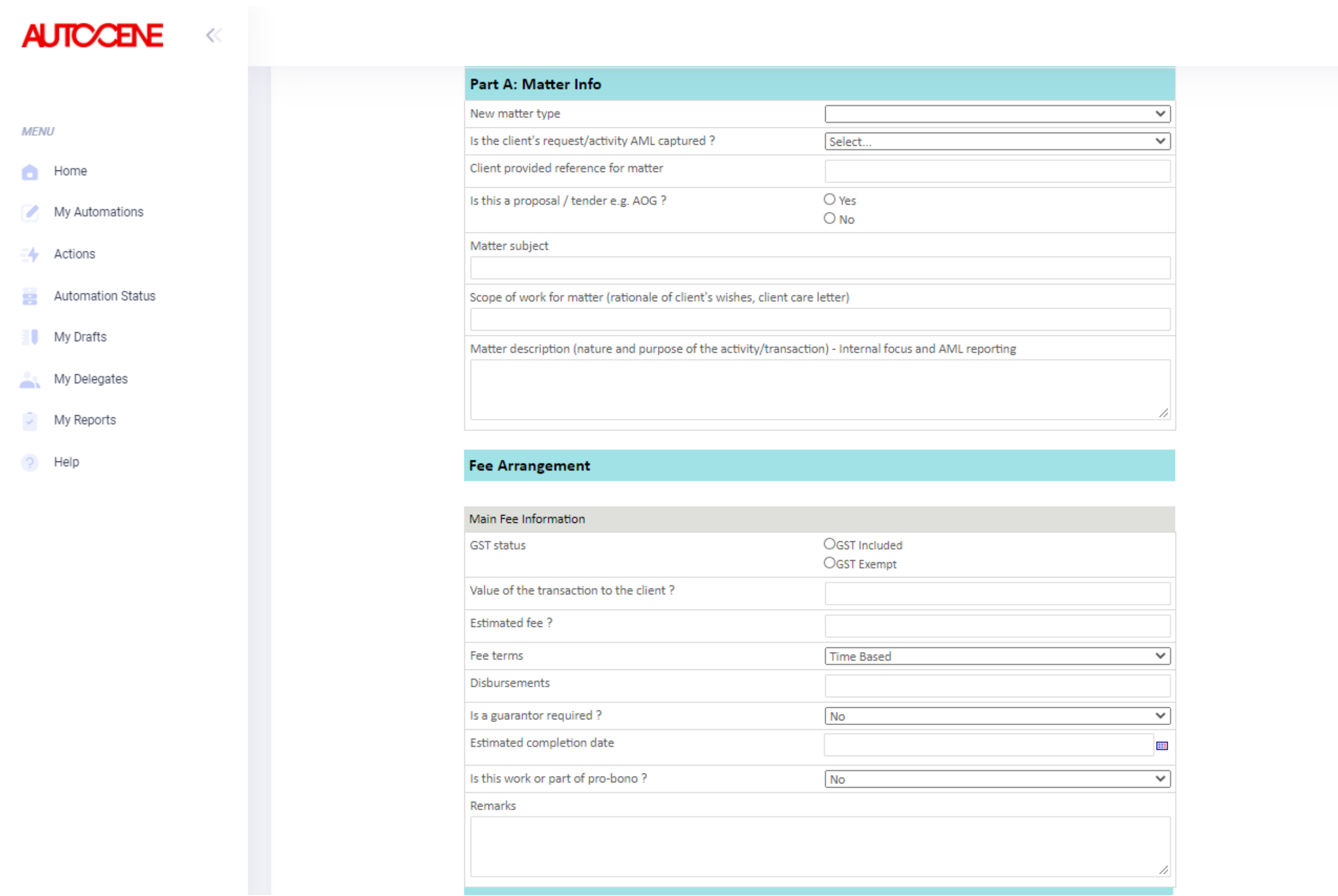


Application Screen Shots

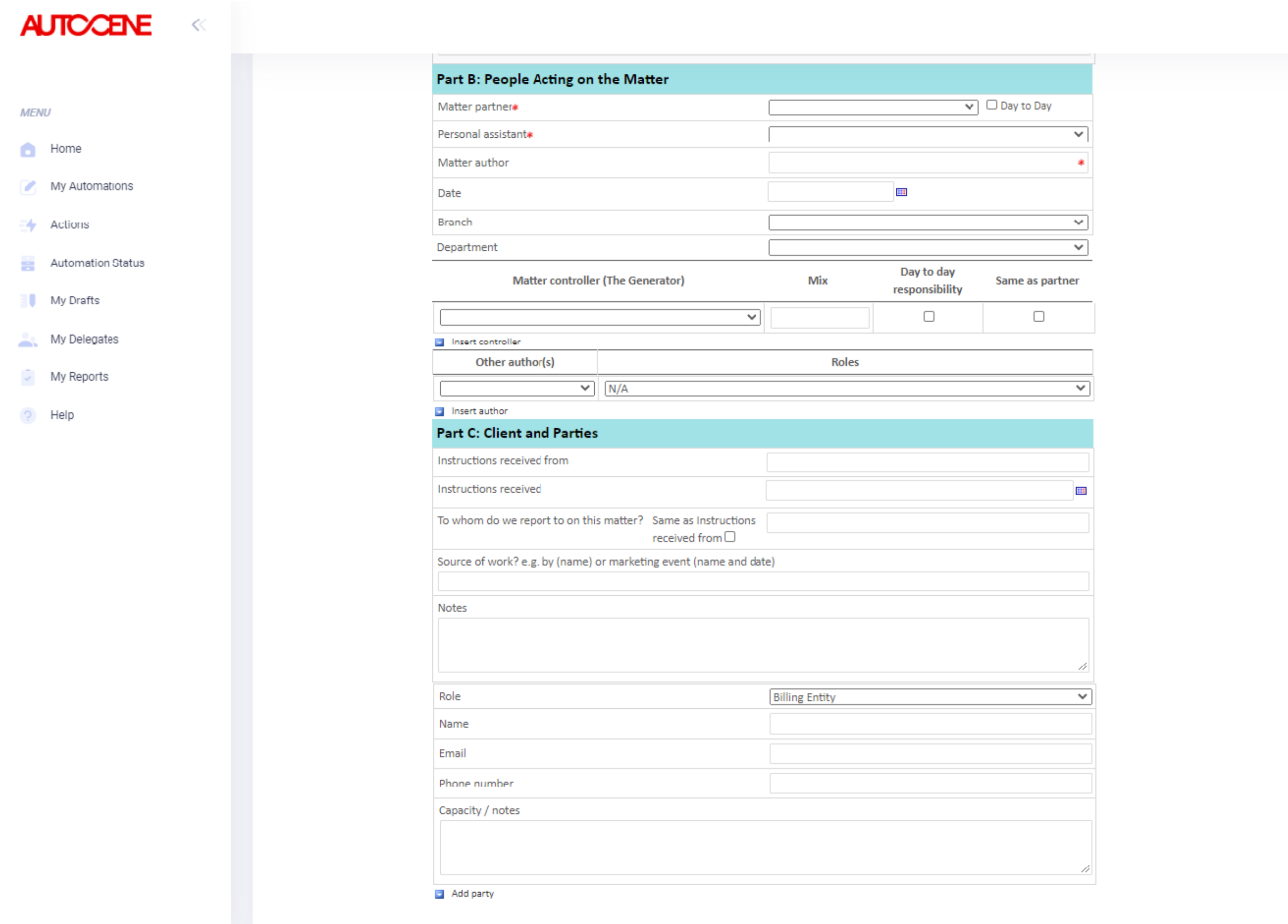
Matter Acceptance



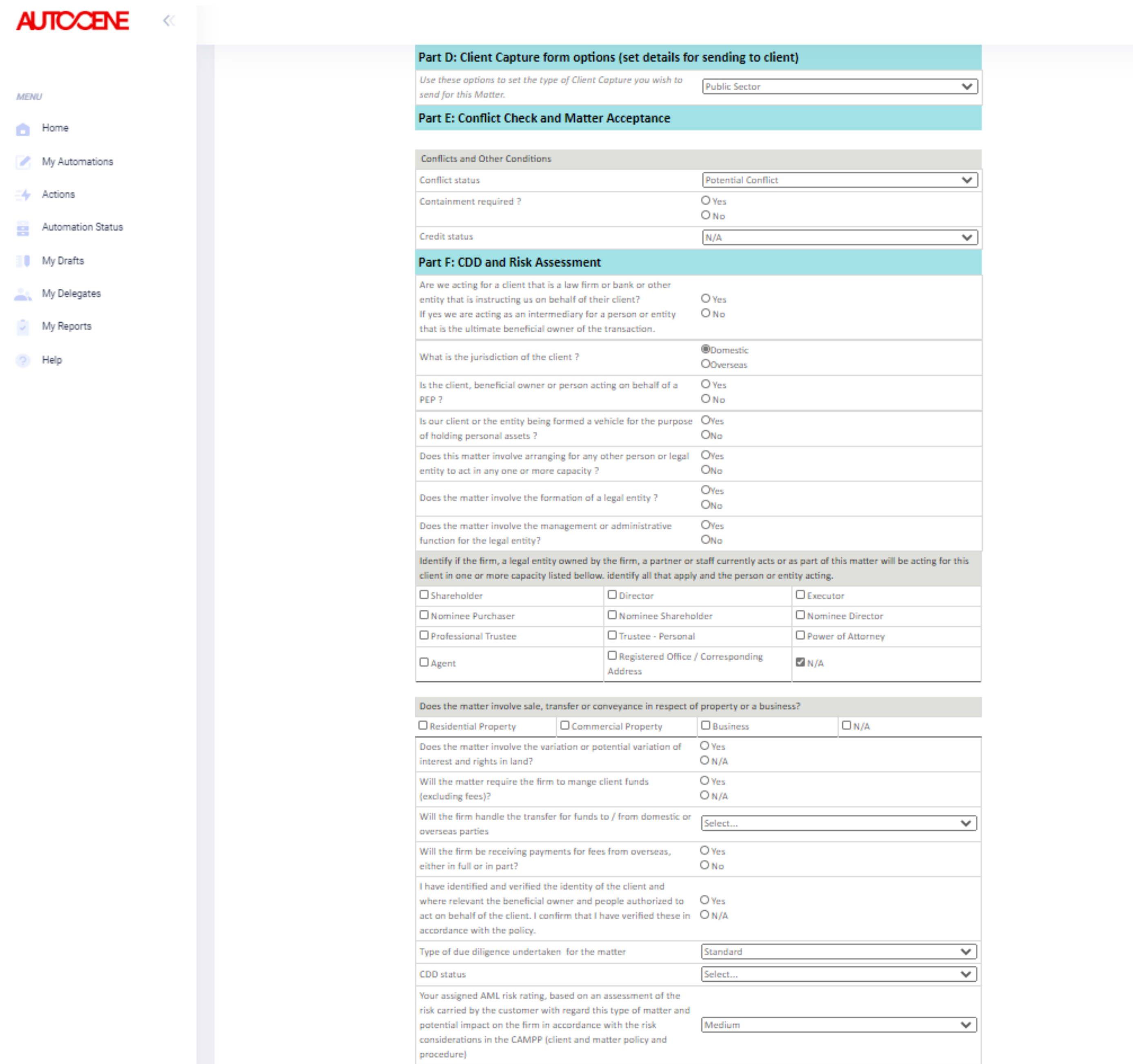
Collecting Client Information



Collecting Matter and Proposed Fee Information



Collecting Matter Information



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MENU

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Part D: Client Capture form options (set details for sending to client)

Use these options to set the type of Client Capture you wish to send for this Matter.	Public Sector

Part E: Conflict Check and Matter Acceptance

Conflicts and Other Conditions	
Conflict status	Potential Conflict
Containment required ?	Yes / No
Credit status	N/A

Part F: CDD and Risk Assessment

Are we acting for a client that is a law firm or bank or other entity that is instructing us on behalf of their client? If yes we are acting as an intermediary for a person or entity that is the ultimate beneficial owner of the transaction.	Yes / No
What is the jurisdiction of the client ?	Domestic / Overseas
Is the client, beneficial owner or person acting on behalf of a PEP ?	Yes / No
Is our client or the entity being formed a vehicle for the purpose of holding personal assets ?	Yes / No
Does this matter involve arranging for any other person or legal entity to act in any one or more capacity ?	Yes / No
Does the matter involve the formation of a legal entity ?	Yes / No
Does the matter involve the management or administrative function for the legal entity?	Yes / No

Identify if the firm, a legal entity owned by the firm, a partner or staff currently acts or as part of this matter will be acting for this client in one or more capacity listed bellow. identify all that apply and the person or entity acting.

Shareholder	Director	Executor
Nominee Purchaser	Nominee Shareholder	Nominee Director
Professional Trustee	Trustee - Personal	Power of Attorney
Agent	Registered Office / Corresponding Address	N/A

Does the matter involve sale, transfer or conveyance in respect of property or a business?

Residential Property	Commercial Property	Business	N/A

Does the matter involve the variation or potential variation of interest and rights in land?	Yes / N/A
Will the matter require the firm to mange client funds (excluding fees)?	Yes / N/A
Will the firm handle the transfer for funds to / from domestic or overseas parties	Select...
Will the firm be receiving payments for fees from overseas, either in full or in part?	Yes / No
I have identified and verified the identity of the client and where relevant the beneficial owner and people authorized to act on behalf of the client. I confirm that I have verified these in accordance with the policy.	Yes / N/A
Type of due diligence undertaken for the matter	Standard
CDD status	Select...
Your assigned AML risk rating, based on an assessment of the risk carried by the customer with regard this type of matter and potential impact on the firm in accordance with the risk considerations in the CAMPP (client and matter policy and procedure)	Medium

Collecting Potential Conflict, Due Diligence, and Risk Information

Discover Autocene

Autocene Enterprise Automation Platform gives customers the flexibility of a No-Code Application Development Platform, combined with the power of an Intelligent Process Automation solution. It gives enterprises the ability to rapidly deploy fully configurable **Autocene Applications** that are capable of automating even the most complicated business processes.

Autocene Applications improve productivity by automating both high value, mission critical processes and eliminating time consuming repetitive tasks. **Autocene** makes both Attended, Semi-Attended & Unattended automations easy, freeing end users and adding value to your organization's critical processes & bottom line. All with no developers needed!

Autocene Passport bidirectionally integrates data with any of your existing Enterprise applications & databases (On-Premise or Cloud Hosted). Data can seamlessly travel to and from multiple disparate systems and/or **Autocene Applications**, monitoring databases and automating integrations, centralizing data for end users & eliminating time-consuming manual data entry.

Autocene Atlas is our patented AI-based Natural Language processes solution. Atlas provides content processing, context matching & role assignment capabilities. **Autocene Atlas** takes unstructured text from emails, text messages, documents & voice messages, transforming it into structured data used to initiate your business processes. This eliminates time-consuming manual entry and reduces human error.