



Corporate Law 
Department Symposium
September 15–16, Washington, DC

Document Management Trends: A Source of Efficiency for Corporate Legal & Risk Leaders

**Presented by
Robin Snasdell**

OM02

9/15/2016

1:15 PM- 2:45 PM

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Document Management Trends

A Source of Efficiency For Corporate
Legal & Risk

Your connection
to knowledge, resources and networking

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Topics Covered

- Introduction
- About Consilio
- Session Goals & Objectives
- Trends from 50,000 Feet
- Selection/Implementation Best Practices
- Vendors
- Success Factors

Session Goals

Documents are not just documents anymore. Social media, messaging, voice and video use are increasing exponentially...

Goal of this session is to...

- Discuss document management trends and departmental needs
- Introduce the various solutions available
- Provide strategies for managing the solution selection, implementation and change management processes.

Objectives

Identify the best practices for document management

Discuss critical factors to be considered when evaluating and selecting a document management solution

Examine some of the merits and drawbacks of emerging document management technologies/solutions.

Outline strategies for guiding change management and ensuring user adoption.

Consilio - A Truly Global Solutions Provider



19 cities in
8 countries

24
Hour follow-the-sun
PM & data operations

439
Matters that span
country borders

4.4
Petabytes hosted
outside US

31
Languages
We've conducted
reviews in

- Being a global provider means more than footprint, it means **leveraging local expertise**
- Guiding clients through **operational efficiencies** and **automation enablers** while promoting regional best practices
- Working across geographically dispersed outside counsels
- Navigating time zone and cultural challenges

5

Consilio Legal, Proven Legal & Consilio

- Worked with over **275** general counsel and **95%** of the AmLaw 100 law firms
- Currently serving **70%** of the top 20 financial institutions in the world
- Conducted more than **15,000** engagements for more than **4,300** clients
- **100+** consultants who are experts in IGRC, eDiscovery, Forensics & Law Department Operations
- **300+** technology consultants in India proficient in enterprise application development and system implementations
- **60+** Sales executives across the globe



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6

The Law Department Management Team

- 20+ consultants serving the office of the general counsel and in-house legal operations
- 6 JDs, 2 in-house legal ops director, and 7 specialists from partner technology vendors
- Demand based developer capabilities utilizing Consilio and established sub-contractors relationships



West Coast

Murtuza Vohra (SD)
Rishi Waghmare (M)
Debbly Young (AS)
Jasmine Hui (AS)

Houston

Robin Snasdell (MD)
Bret Baccus (MD)
Mike Haysley (MD)
Julia Nye (M)
Julie Juranek (AS)
Meredith Brown (AS)
Mike Ngyuen (As)

Chicago

Jill Rusk (SD)
Mary Jummati (D)
Vikram Arneja (M)
Jaime Woltjen (AS)
Anuj Patel (AS)
Charlie Camisasca (AN)
Ali Baranco (AN)

East Coast

Leslie McNiece (SD)
Keith Brown (SD)
Theresa Pak (AS)

London

Stephanie Yang (M)
Ryan Antkowiak (AS)
Viren Bhakta (AN)

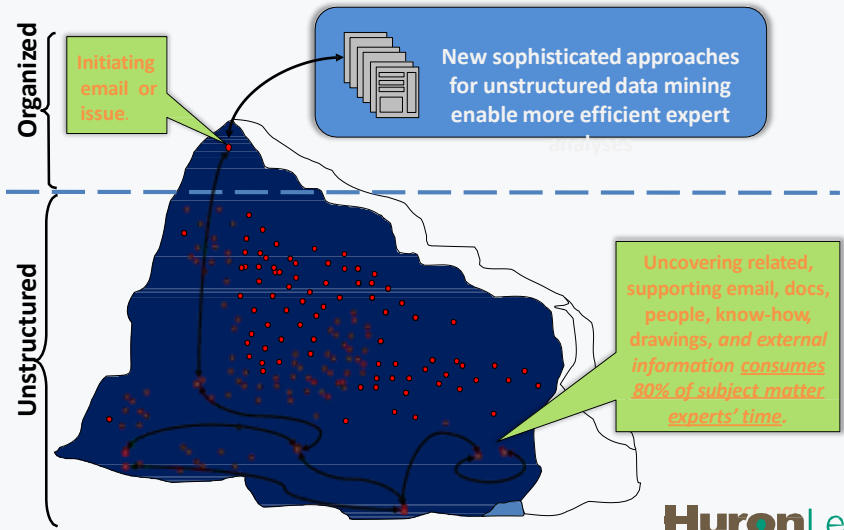
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Trends from 50,000 Feet

1. Exponential Growth
2. Stumbling Movement to Cloud
3. Increasing Regulatory Issues & Penalties
4. Technology Stack consolidation / Integrated View / Central Repository
5. Process Automation
6. Data Analytics / Predictive Analysis



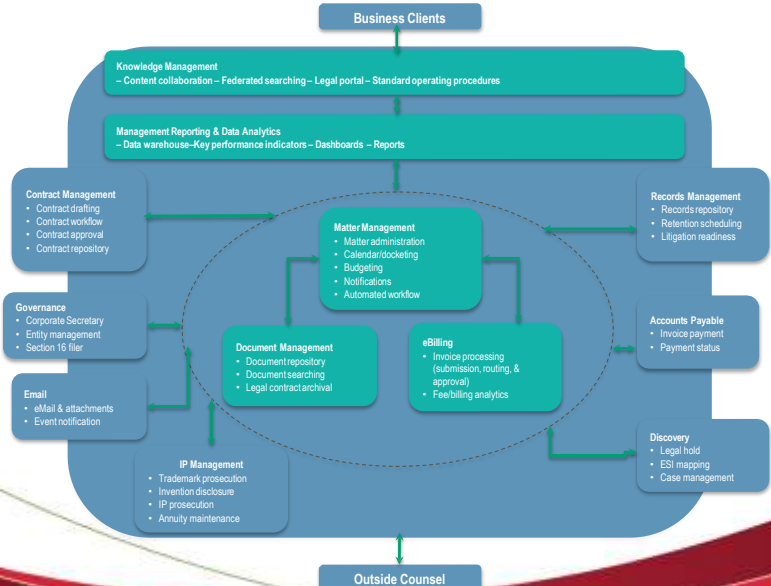
Today's document risk analysis is largely based on a strategy of: "we hope that all relevant information becomes known in time to avert disaster."



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Legal Department Technology Landscape



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Legal Technology Trends

Best practices & Opportunities for improvement

Consilio Legal Best Practices

Technology

- Investments in legal technology are vital to increasing efficiency and improving data access to **support data-driven decision making**.
- Developing a **strategic technology plan** to understand user needs, align technology with prioritized business processes, and ensure a cohesive integration of technology allows departments to effectively leverage technology and streamline processes.
- Mature law departments **integrate technology with business systems** to support business and law department procedures and allow for full visibility into performance metrics.
- Core legal technologies such as Matter management/e-billing systems and document management systems enable **more efficient matter and invoice handling** processes and provide the infrastructure to support the detailed analysis of legal spend and **monitoring of key performance indicators**.

Source: Consilio 2013 IMPACT Benchmarking Report



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What Can Legal Technology Do For You?

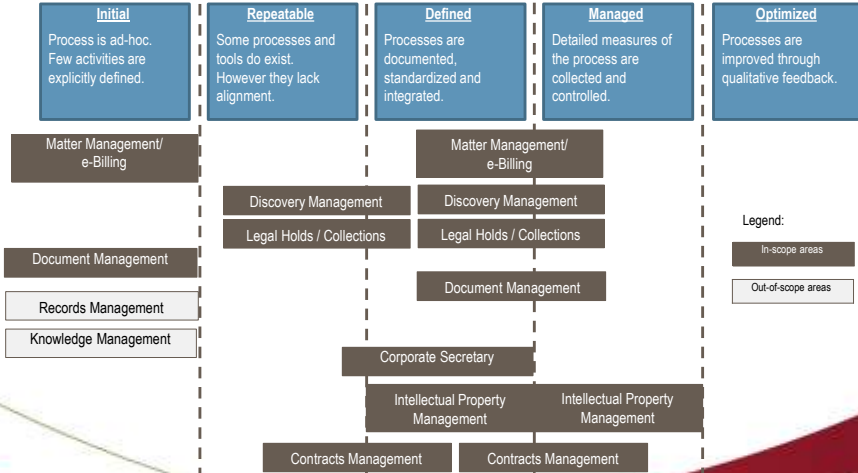
The right technology when paired with policies and processes can help achieve the following:

- Ensure that the Legal Department **business processes** are cohesive
- Reduce **manual effort for individual staff** and increase **access to important information**
- Ensure **knowledge capital is captured and leveraged** internally and with outside counsel
- Improve **operational and financial management** of the Legal Department; **reduce spend and effort duplication** through proactive management
- Increase **efficiency** through collaboration across practice groups, geographies, companies and law firms
- Support development of the appropriate **metrics and measurements** to drive behavior

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Defining the Future & Current State: Maturity Model

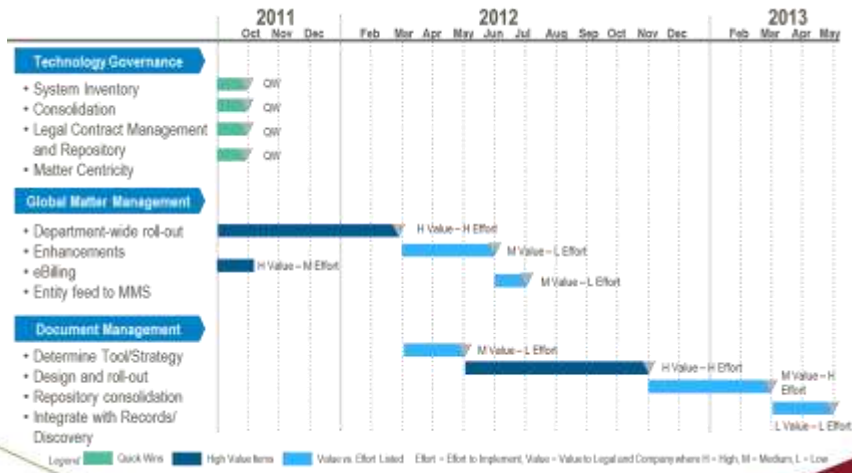
The following chart provides a summary of our assessment of the future state (three year timeline) of systems maturity compared to current state.



Prioritized Roadmap & Effort Estimate

Core Technology Implementation	Impact	Priority	Effort	Estimated Timeframe (months)	Consulting Project FTEs	Vendor Project FTEs	Ongoing Support FTEs ¹	Start Time
1. Technology Governance Policy	H	H	L	6	0.10	0.00	0.50	Q1 2015
2. Matter Management / eBilling Technology	H	H	H	9	2.25	0.75	0.90	Q2 2015
3. Intellectual Property Management	M	H	H	15	1.50	2.50	1.40	Q2 2015
4. Document Management	M	M	M	18	1.00	0.50	1.40	Q3 2015
5. Legal Holds & E-discovery Tools	M	L	L	15	0.75	0.50	0.60	Q4 2015
6. Reporting	H	M	M	12	0.50	0.25	0.50	Q1 2016
7. Legal Portal	L	M	M	12	0.50	0.25	0.10	Q1 2017
8. Contracts Management	M	L	M	15	0.50	0.00	0.00	Q1 2016
9. Corporate Secretariat	L	L	L	Ongoing	0.00	0.00	0.00	Ongoing

3-Year Technology Timeline



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Establish a Return on Investment



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System Selection Approach

Project Management and Change Management

Gather, Validate and Prepare System Requirements

- Facilitate business and functional requirements interviews/focus group sessions:
 - Identify key stakeholders within each user group
 - Review current systems/processes
 - Determine detailed information and functional system requirements
- Interview technology infrastructure stakeholders to understand current and future technical environment, constraints and standards.
- Conduct requirements validation and refinement sessions with key stakeholders.
- Translate business and information requirements; prepare System Requirements Matrix containing functional, technical and vendor support requirements.
- Review Matrix with project team and further refine system requirements as needed.

Conduct RFP Process

- Confirm list of candidate vendors/products for RFP and onsite demonstrations.
- Prepare and distribute Request for Proposal (RFP) to candidate vendors
- Prepare and distribute script/guidelines for product demonstrations.
- Assist in communication with vendors and describe critical requirements.
- Consolidate RFP responses.
- Participate in product demonstrations with project team.
- Obtain presentation feedback and discuss initial thoughts.

Compare and Analyze Product, Finalize Decision

- Communicate with vendor(s), Law Department, and IT groups to answer/resolve open issues.
- Analyze vendor RFP and scorecard responses.
- Check vendor finalist references.
- Prepare a Comparative Product Analysis and weighing of product strengths and weaknesses.
- Obtain feedback and facilitate decision-making process.
- Confirm selected vendor.
- Assist with contract negotiations (as needed).
- Prepare a high level Implementation Plan.

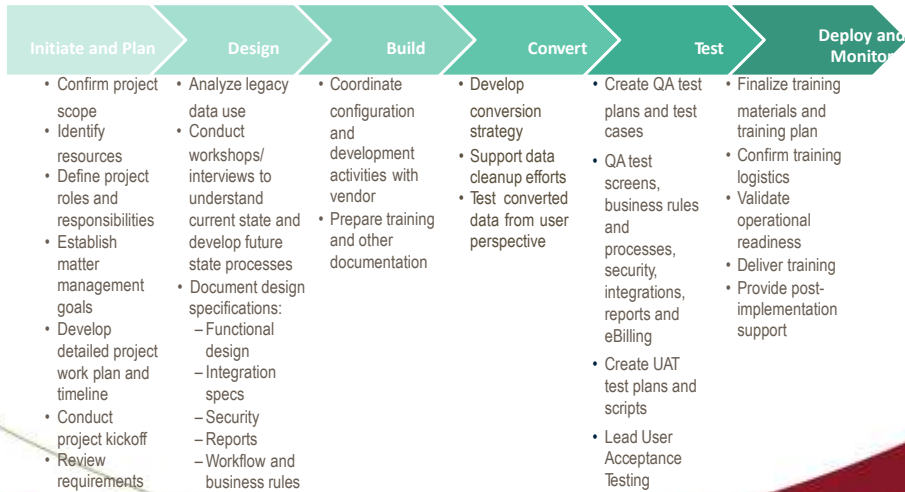
System Selection Evaluation Areas

When helping a client with system selection, we evaluate the following aspects of each candidate system against the client's departmental business processes and objectives:

Vendor viability	Ownership; management & oversight; financials
Implementation	Configuration; functionality; testing; data conversion time
Usability & functionality	User adoption; integrations with existing or planned systems; audit trails; security; searching; reporting; system administration
Vendor commitment	Responsiveness; support strength; client focus; law firm on-boarding support
Reference customer experiences	References from similar companies regarding implementation and ongoing usage; targeted reference checks
Maintenance & support	Managing changes; bugs; technical expertise
International suitability	Experience accepting invoices in most currencies; automated conversion; reporting in multiple currencies; acceptance of VAT (eBilling)
Vendor hosting	Where applicable, capability to host system without impact on functionality or integration
Cost	Up-front software costs (and hardware costs if required); implementation services; ongoing maintenance and upgrades

System Implementation Approach

Project Management/Change Management



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What is Document Management?

The goal of the Document Management system within Legal is to effectively provide tools to streamline document creation, leverage existing work products, facilitate document collaboration and provide a central repository for storage.

It facilitates collaboration, retention and re-use of work-product and secure access.

DM File Structure



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Differentiating Document and Records Management

Documents

“Documents consist of information or data that can be structured or unstructured and accessed by people in

Document Management

“Electronic document repositories provide for the checking-in and out of documents that can be revised and unlocked for future revision, with version tracking and histories.”

Source: CMS Wire

Records

“Records provide evidence of the activities of a given organization’s functioning and

Records Management

“Records management needs to place records in their proper context so that generally they are kept in series, or in indexes determined not by internal, enterprise-dictated rules, but by external rules.”

Source: CMS Wire

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Differentiating Document Management & Contract Management

Many types of systems can be used for managing contracts and documents, each with specific differentiators. There are systems that specifically support and automate the entire contract management process; while there are other systems that can be adapted to meet the legal department’s document management goals.

Type of System	Concept	Drafting	Negotiate	Execution	Storing & Analysis
Contract Management	•	•	•	•	•
Procurement Management	•	•	○	○	•
Document Management	○	○	○	○	•
Document Assembly	○	•	○	○	•
Matter Management	○	○	○	○	•
Records Management	○	○	○	○	•

- System supports contract functionality
- System partially supports contract functionality or requires integration

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Value of Document Management



- **Easier to find documents**

- Documents organized around a matter—called “matter centricity”—reduces the need for standard naming conventions or policy
- Filing structure is less important with full text search capabilities
 - “Google-like” searching capability
 - Reduce document search time



- **Easier to share documents**

- Document management system will be the central repository for all Legal documents
 - Users no longer need to determine which repository holds the document
 - Transform individual know-how into enterprise knowledge
 - Leverage exemplary documents, templates and forms
- Version control is built into the storage and retrieval process
- Large documents can be shared via emailing links instead of large attachments



- **Easier to secure documents**

- Flexible security model allows users to set security as strict or lenient as they wish
- Security can be set at the Workspace, Folder, or Document level
 - Documents automatically inherit rights associated with the Workspace and/or folder in which they are attached

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Document Management Lifecycle Process

Document Management (DM) systems provide a common platform for unifying people, processes, and content. Common features and functions of a DMS include:





Document Management Matter Centric Approach

- A matter-centric document management design facilitates filing, retrieval and collaboration as well as the implementation of retention policies.
- In matter-centric collaboration, categories of matters and other projects are defined and assigned a default folder structure at initiation. For example, a patent prosecution project might include folders for drawings, PTO correspondence and applications
- Each folder has an assigned metadata, security and retention schedules which are automatically applied (“inherited”) to the document as it is saved to the folder, matter-centricity helps establish a highly functional relationship between metadata, organization and content using a familiar metaphor. This is generally transparent to end users, who can use existing skills to save and retrieve documents without learning the intricacies of metadata profiling.

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Vendor Overview

- Document Management and Content Management Vendors



Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none"> ◆ Founded in 1991 ◆ Headquartered in Ontario, Canada ◆ Publicly traded ◆ Primarily an enterprise content management company 	<ul style="list-style-type: none"> ◆ BPS (Suisse) ◆ Fraunhofer-Gesellschaft ◆ Tronox ◆ Vitens
	<ul style="list-style-type: none"> ◆ Acquired by Hewlett-Packard in 2011 ◆ Founded in 1996 ◆ Headquarters: Palo Alto, CA 	<ul style="list-style-type: none"> ◆ Burges Salmon ◆ Clearwater Capital Partners ◆ SJ Berwin ◆ Sunsteim ◆ Thermo Fisher
	<ul style="list-style-type: none"> ◆ Flexible workflows ◆ Quick deployment timeframe (4 months) ◆ Built on EMC platform and EMC certified ◆ Integration with Captiva Capture for extraction of information from forms, etc. 	<ul style="list-style-type: none"> ◆ McKesson ◆ VMWARE
	<p>Privately owned company based in the United Kingdom. The company was founded in 1996 and has been supplying document and file management software ever since. We have been developing our own software products for over 15 years..</p>	<ul style="list-style-type: none"> ◆ ITV ◆ Majority Strategies ◆ Zumba Fitness ◆ Rogax ◆ Knight Litigation

* Client list is not intended to be exhaustive

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Vendor Overview

• Integrated Matter Management / e-Billing Platforms


Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none"> ◆ Bought by Vista Equity Partners ◆ Founded in 1987 ◆ Headquartered in Los Angeles, CA ◆ Privately held company ◆ TeamConnect and Lawtrac 	<ul style="list-style-type: none"> ◆ AIG ◆ Exxon ◆ Shell ◆ Barclays ◆ Ford ◆ GM
	<ul style="list-style-type: none"> ◆ Formed in 2014 by the merging of Datacert and TyMetrix ◆ Headquartered in Houston, TX 	<ul style="list-style-type: none"> ◆ Nissan ◆ ConocoPhillips ◆ Phillips66 ◆ Conning

* Clients not referenced on vendor website

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Vendor Overview

• Process Automation





Vendor Name	Overview	Key Clients
	<p>Onit is based in Houston Texas. Founded in 2012.</p>	<ul style="list-style-type: none"> ◆ Home Depot ◆ Under Armor ◆ AIG ◆ Davtia
	<p>ThinkSmart's Transaction Automation Platform (TAP) provides an elegant solution to the management, automation and control of business processes in seamless, intuitive, compliance based online environments.</p>	<ul style="list-style-type: none"> ◆ Dell ◆ Hyundai ◆ Stewart Title ◆ Unum ◆ Cigna ◆ Yahoo ◆ NetApp
	<p>Neota LogicBy combines rules, reasoning, decision management, and document automation, to business solutions that enables non-programmers to rapidly build and deploy rules-based applications. These easy-to-maintain applications provide appreciable solutions, resulting in:</p> <ul style="list-style-type: none"> ◆ Process improvements ◆ Risk reduction ◆ Ensured compliance 	

* Clients not referenced on vendor website

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Vendor Overview





• Contract Management Vendors

Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none"> ◆ Founded in 2005 ◆ Headquartered in San Mateo, CA ◆ Privately held company ◆ Enterprise Contract Lifecycle Management ◆ Built entirely on the salesforce.com platform (Force.com) 	<ul style="list-style-type: none"> ◆ Cornerstone ◆ Equinix ◆ HP ◆ PayPal ◆ Trimble ◆ United Healthcare
	<ul style="list-style-type: none"> ◆ Selectica/Determine and Iasta merged in 2014 to expand product offering ◆ Headquartered in San Mateo, CA ◆ Went public on NASDAQ with IPO in 2000 ◆ Introduced Selectica Contract Performance Management (now Selectica CLM) in 2005 ◆ Enterprise Contract Lifecycle Management 	<ul style="list-style-type: none"> ◆ Marriott ◆ Disney ◆ Randstad ◆ Mantech ◆ Prudential
	<ul style="list-style-type: none"> ◆ Consilio Legal's K-CREATE contract origination application ◆ Headquartered in Chicago, IL ◆ Public on NASDAQ with HURN 	
	<ul style="list-style-type: none"> ◆ Upside acquired by SciQuest, Inc. in 2012 ◆ Founded in 2000 ◆ Headquartered in Cary, NC ◆ SciQuest, Inc. Publicly traded (SQI) ◆ Enterprise Contract Lifecycle Management ◆ Focus on ease of implementation over leading-edge features 	<ul style="list-style-type: none"> ◆ 3M* ◆ CEVA Logistics ◆ Maersk ◆ Midmark Corp. ◆ SAB Miller ◆ QSCC

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Vendor Overview







• Contract Management Vendors

Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none"> ◆ Founded in 1996 ◆ Headquartered in Wakefield, MA ◆ Privately held company ◆ Based on Microsoft SharePoint platform 	<ul style="list-style-type: none"> ◆ Deloitte ◆ HP ◆ Logitech ◆ Microsoft
	<ul style="list-style-type: none"> ◆ Acquired by SAP in 2012 ◆ Founded in 1996 ◆ Headquartered in Sunnyvale, CA ◆ Provides full sourcing solution ◆ Primarily buy-side but support sales side also ◆ Ariba 14s to be released March 2015 	<ul style="list-style-type: none"> ◆ Aviva ◆ British Airways ◆ CVS Caremark ◆ Ohio State Univ. ◆ Volvo
	<ul style="list-style-type: none"> ◆ Acquired by IBM in 2012 ◆ Founded as diCarta in 1991 ◆ Headquartered in Burlington, MA ◆ Provides sourcing solutions ◆ Supports both buy-side and sell-side lifecycle processes 	<ul style="list-style-type: none"> ◆ Allstate* ◆ Boeing* ◆ ConocoPhillips* ◆ Nextel* ◆ NiSource*
	<ul style="list-style-type: none"> ◆ Founded in 1995 ◆ Headquartered in Runnemede, New Jersey ◆ Privately held company ◆ Built on the Microsoft .Net platform ◆ Contract Insight Enterprise 	<ul style="list-style-type: none"> ◆ American Achievement Corp. ◆ City of Houston ◆ State of Colorado ◆ St. Joseph Health System ◆ TreeHouse

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Vendor Overview

- Contract Management Vendors

Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none"> Founded in 2001 Headquartered in Switzerland Based in Europe with an emerging presence in North America Highly configurable system built on XML platform 	<ul style="list-style-type: none"> Bombardier Broadcom FHL Banks Gtech Jet Aviation
 	<ul style="list-style-type: none"> Acquired by LLR Partners and became Revitas in 2012 Founded as IMANY in 1989 Headquartered in Philadelphia, PA Primarily used for life sciences companies 	<ul style="list-style-type: none"> Baxter Bristol Myers Squibb Boehringer Ingelheim Daiichi Sankyo GE Healthcare Johnson & Johnson
	<ul style="list-style-type: none"> Acquired by Versata in 2007 to expand product offering Founded in 2000 Headquartered in Austin, TX 	<ul style="list-style-type: none"> Countrywide Juniper Raytheon Sasol Sun Microsystems
	<ul style="list-style-type: none"> Founded in 1977 Headquartered in Redwood Shores, CA Oracle Contract Lifecycle Management first offered in 2010 Publicly traded (ORCL) Supports both buy-side and sell-side lifecycle processes 	<ul style="list-style-type: none"> Comcast Dell Harsco Novell
	<ul style="list-style-type: none"> Founded in 1997 Headquartered in Chelmsford, Massachusetts Privately held company 	<ul style="list-style-type: none"> Aerotek Appalachian Regional Hospital Echelon TEK Systems

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Vendor Overview

- Contract Management Vendors

Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none"> Founded in 2008 Headquartered in Orlando, FL Privately held company Web-based or on-premise platform 	<ul style="list-style-type: none"> HD Supply Rackspace Sony Natixis* The Vitamin Shoppe*
 	<ul style="list-style-type: none"> Founded in 1989 Headquartered in Bellaire, TX Privately held company Started as a collaboration project between the Association of Corporate Counsel and Bridgeway Software Research 	<ul style="list-style-type: none"> Avery Dennison CDW Navistar The Legal Aid Society
	<ul style="list-style-type: none"> Founded in 2000 Headquartered in London, UK Privately held company ContractExpress 	<ul style="list-style-type: none"> AXA PPP Healthcare FedEx Maersk Line Petsmart Zanox

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Vendor Overview

- Contract Management Vendors

Vendor Name	Overview	Key Clients
	<ul style="list-style-type: none">• Founded in 2009• Headquartered in Bellevue, WA with operations center in Pune, India• Privately held company• Leverages Microsoft Azure platform to develop and deploy its products• Icertis Contract Lifecycle Management (ICLM) was launched in April 2012	<ul style="list-style-type: none">• Bwin.party• Gcommerce• ICICI Bank• Janney• KPIT• Microsoft• Mindtree• Purple• Roche• Silverado

*Client list referenced on vendor website

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SUCCESS FACTORS

- Be Practical, narrow scope
- Communicate, and over-communicate
- Governance and Change Management Structure
- Ability to say “No” when its right to say it
- Build and show, move in smaller increments
- Baseline each roll-out and use that as a starting point
- Don’t over-engineer, simple is better

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