

# MATTER LIFECYCLE MANAGEMENT (MLM) FOR LEGAL TEAMS

An Introduction  
to MLM  
Best Practices



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# PURPOSE AND OVERVIEW

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Overview of Matter Life Cycle Management (MLM)  
aka Legal Project Management (LPM) for Legal Teams  
Version 2.0  
Originally Developed June 2017  
Updated December 2021

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In the early 2000s, several models for legal project management (LPM) were developed primarily by law firms to improve their engagement with clients. Many of these models were based on the Project Management Institute (PMI) framework, known as the Project Management Body of Knowledge, or PMBOK.<sup>1</sup> This set of guiding principles serve as the basis for certification of Project Management Professionals (PMPs) around the world and are considered to be universally applicable across industries. Over time, law firms have seen the value in such traditional project management concepts and have modified them for the unique needs of legal practitioners and support teams.

As these firms were promoting the benefits of LPM, CLOC recognized the need for a modified version that was sensitive to the needs of the legal department and the progression of a matter as it moved through the corporate ecosystem—inclusive of both in-house and/or outside counsel involvement. A CLOC committee was formed in 2017 (LPM 1.0) to develop a derivative model process. The framework that evolved is the CLOC LPM framework. **The CLOC LPM framework identifies the evolution of a matter occurring in four (4) primary phases – Intake, Planning, Execution and Review.** The 2017 CLOC LPM committee developed the framework, identified the activities, results (outputs), success criteria and success measures for each phase. The LPM framework was highlighted at the CLOC Institute in 2019 and in a five (5) part webinar series that was produced in 2019 and is available to the CLOC membership.

In 2020, the leadership of CLOC recognized a need for additional development of the framework. While the LPM framework generally identified the phases and activities of a matter, it lacked the necessary detail for actual implementation. A new committee was formed in 2020 (LPM 2.0) to accomplish the following objectives:

- Include greater input from CLOC membership and legal operations professionals to develop more practical guides and resources;
- Identify the current state processes for a matter as it moves through intake, planning, execution and review within the legal department;
- Design a best practice future state for matter life cycle management incorporating the principles of LPM and depicted in work stream maps for reference;
- Clarify the roles and responsibilities between the originator of the request for legal service, the in-house client, the legal department and external resources (including outside counsel); and
- Designing artifacts or templates that can be used as a starting point for actual implementation of matter life cycle management and include guidance regarding the purpose of the artifact.
- Since LPM and MLM are 90% communication, provide a framework for facilitating improved communication and encouraging behaviors and best practices with the legal team.

<sup>1</sup> See Project Management Institute <https://www.pmi.org/> and Project Management Book of Knowledge <https://www.pmi.org/pmbok-guide-standards> (last visited December 3, 2021).

This guide is intended to provide an overview of the work product developed by the LPM 2.0 committee and to provide the CLOC membership with a guide to implementation of best practices for matter life cycle management incorporating LPM principles. This guide is also designed to be used internally and in collaboration with external resources or vendors.

As with LPM 1.0, the document first outlines the CLOC standard for a 4-stage LPM matter framework and provides more detail on the components of matter life cycle management within each stage of the framework. Each stage (and section within the document) includes:

- **Triggers (Inputs):** Devices (data, reports, systems, etc.) that are used for purposes of triggering the progression of a particular activity.
- **Activities (Tasks):** Specific tasks to be completed in order to successfully move on to the next stage (aka the checklist)
- **Results or Artifacts (Outputs):** The outputs resulting from the activities performed which are provided in the form of best practice templates.
- **Roles and Responsibilities (LACI Matrix):** Defined roles so that all stakeholders know who is doing what (work is clearly assigned), everyone is kept in the loop, and the matter keeps moving forward. Many in the business community are familiar with the concepts of RACI (Responsible, Accountable, Consulted and Informed). The LPM 1.0 guide built upon this model but referred to organizational roles and responsibilities as ARCI. The LPM 2.0 Committee determined that the LACI Matrix more accurately describes the roles and responsibilities of the legal team, because lawyers typically see the concepts of "accountable" and "responsible" as irrelevant designators. These concepts are already embedded in the code of professional responsibility, and "Leading" and "Assisting" more accurately reflect the roles and responsibilities of a legal team.

The following quick reference guide identifies the definitions for each of the LACI roles and each phase of the framework follows this guide to identify the anticipated roles and responsibilities for the phase.

LACI MATRIX - QUICK REFERENCE GUIDE	
<b>Leads (L)</b>	Leads the work; each task can have only one leader.
<b>Assists (A)</b>	Contributes to the work effort, deliverable and assignment.
<b>Consulted (C)</b>	Approval or input is required or may have veto rights.
<b>Informed (I)</b>	Keep them in the loop, but no action required.

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

# 4-STAGE LPM FRAMEWORK FOR MLM

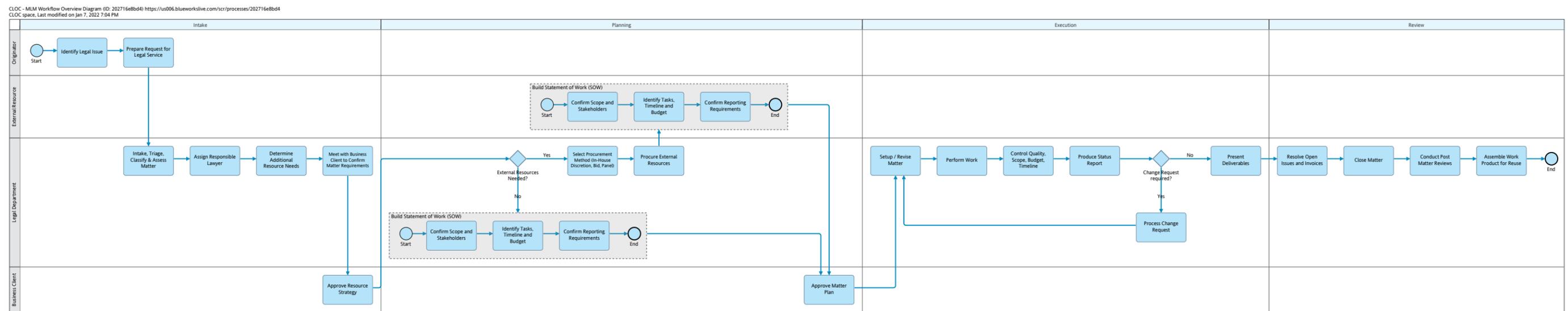
NOTE: Each section contains hyperlinks to workflows and templates that are available to accompany this guide. Templates can be directly accessed by CLOC Members on the Community Connect website, within the CLOC LPM Committee Library at the following link: [LPM Committee Library](#)

The following diagram depicts the CLOC standard four-stage LPM framework that was developed by the LPM 1.0 Committee and provides the foundation for the stages of Matter Life Cycle Management (MLM). This diagram and the detailed information that follows for each phase are a baseline which is intended to be configured based on your department's process and/or preferences.



WORKFLOW DIAGRAM - MLM PROCESS OVERVIEW

The following diagram is an overview of the major stages of the MLM lifecycle process – Intake, Planning, Execution and Review. More detailed diagrams of each stage can be found within each Stage section.



**MLM DIRECTORY OF WORKFLOW ARTIFACTS & TEMPLATES**

The following Directory is a listing of each artifact/template that can be produced and used as an input into or output from its associated workflow process step. Each artifact/template has been tagged with a number and connected to its applicable MLM lifecycle stage (these stages comprising the "LPM framework").

Representative templates (or a portion thereof) are illustrated throughout this resource. CLOC members can access and download all templates in their entirety, at no charge, from the LPM Committee Library within the CLOC Community Connect forum.

	A	B	C	D	E
1	<b>Matter Lifecycle Management (MLM) - Directory of Workflow Process Artifacts/Templates</b>				
2	<i>The Directory is a listing of each artifact/template to be produced and used as an input into or output from its associated workflow process step. Each artifact/template has been tagged with a number and connected to its applicable MLM lifecycle stage (these stages comprising the "LPM framework").</i>				
3	<b>Stage</b>	<b>Process Step</b>	<b>No.</b>	<b>Artifact (Input/Output)</b>	<b>Purpose</b>
4	Intake	Request legal service	1.0	<b>Request for Legal Service</b>	A multi-part request form used by: (1) Business Units to inform Law Department of need for assistance; (2) Legal to classify matter type and determine priority (based on assigned levels of risk, urgency, effort and strategic alignment)
5	Intake	Enter legal issue	2.0	<b>Consolidated Legal Issues Log</b>	Document issues that require legal assistance (but do not necessarily rise to the level of requiring more formal matter opening)
6	Intake	Open new matter	3.0	<b>Matter Summary Report</b>	The key elements of a legal matter
7	Intake	Review active matters	4.0	<b>Active Matter Report</b>	Assist in matter classification and prioritization (triage)
8	Intake	Determine resource availability	5.0	<b>Resource Utilization Planner</b>	Assist in determining resource availability
9	Planning	Confirm Scope of Services	7.0	<b>Statement of Work</b>	An all purpose planning document indicating the parameters of the work to be performed. Some project may require greater detail [Artifacts 8.0-11.0 are to be used for these purposes].
10	Planning	Identify Stakeholders	8.0	<b>Stakeholder Register</b>	Identify who has interest in the work and their level of influence
11	Planning	Confirm Client's Reporting Requirements	9.0	<b>LACI Matrix</b>	Assign roles to people on the team
12	Planning	Confirm Client's Reporting Requirements	10.0	<b>Communication Plan</b>	Identify how to effectively deliver info to stakeholders
13	Planning	Identify Tasks and Timeline	11.0	<b>Matter Schedule &amp; Budget</b>	An action plan inclusive of tasks, resources, key dates/milestones (schedule), projected costs (budget), assumptions and key deliverables
14	Planning	Document Requirements and Request Vendor Engagement	12.0	<b>Request for Matter Proposal</b>	Announces and provides details about the services requested and solicit bids from vendors
15	Execution	Coordinate Team	14.0	<b>Kickoff Meeting Agenda</b>	A checklist of items to cover in review of project plan, methods, and governance structure
16	Execution	Configure Tracking & Reporting Process and Systems	15.0	<b>QA/QC Report</b>	Requirements, specifications, guidelines or characteristics to ensure work product and services are consistently fit for purpose
17	Execution	Configure Tracking & Reporting Process and Systems	16.0	<b>Status Report</b>	Regular, formalized communication to stakeholders on progress against matter
18	Execution	Configure Tracking & Reporting Process and Systems	17.0	<b>Change Request</b>	Record a request for change in matter scope, cost, timeline or resources
19	Review	Close Matter	19.0	<b>Closeout Report</b>	Analyze performance, describing matter results, outcomes and final scope, schedule and cost in comparison to success criteria (i.e., baseline\plan)
20	Review	Conduct Legal Team Post Matter Review	20.0	<b>Legal Team Matter Review Summary</b>	Assessment of legal team and individual performance in administration and resolution of matter (including recommendations for process improvement and cost reduction)
21	Review	Conduct Business Client Post Matter Review	21.0	<b>Business Client Matter Review Meeting Agenda</b>	A checklist of items to cover with the client in review of project closeout and performance feedback
22	Review	Conduct Business Client Post Matter Review	22.0	<b>Business Client Matter Review Summary</b>	Client assessment of team and individual performance in administration and resolution of matter
23	Review	Assess and Address Team Member Performance	23.0	<b>Team Member Feedback</b>	Manager assessment of individual performance in administration and resolution of matter (including identification of opportunities for improvement and career growth)

# STAGE 1: INTAKE

The Intake stage is intended to:

1. initiate and receive requests for legal service, and
2. define and reach agreement on the goals, objectives and scope of what is to be accomplished

This stage is critical, as it drives everything that follows. This stage asks in-house teams to collaborate with their clients to clarify the scope of request, the anticipated resources, desired outcome and perceived value of the work to be undertaken, and the expected timetable prior to its execution in order to ensure appropriate assignment and efficient delivery throughout subsequent stages.

## TRIGGERS (INPUTS)

The following primary inputs are anticipated for the activities in this stage:

Issue/matter description and profile   Issue/matter classification   Requested assistance

Desired outcome and deliverable   Estimate of value or exposure   Expected timetable

Available resources

## ACTIVITIES (TASKS)

1. The Originator or Business Client populates the **Request for Legal Service** either by completing the form or by providing an email with the necessary information (see Figure 1.1)
2. The Legal Department (LD)'s intake may include other information necessary for triaging and assigning the request such as risk rating, urgency, level of effort, strategic alignment and matter classification.
3. The LD meets with the Business Client to confirm the validity of the request, the objectives and the data required for matter profiling.
4. The LD uses this information to classify the risk/priority, identify whether the request is a quick-turn issue or will require more robust matter tracking and the request is opened in either the **Consolidated Legal Issues Log** or the Matter Management System which will produce the **Matter Summary Report**.
5. The LD reviews the **Active Matter Report** for purposes of prioritization.
6. The LD reviews the **Resource Utilization Planner** to identify the necessary subject matter expert (SME), determine availability and assign the responsible in-house lawyer.
7. The LD determines whether additional internal or external resources are required for the request.
8. The Business Client is notified of the resource needs.

## STAGE 1: INTAKE

Figure 1.1: Request for Legal Service (pg. 1 of 2)



**Matter Lifecycle Management Template**  
Request for Legal Service

*Most requests for legal service come in the form of a telephone call, walk by, or email that often fail to capture all the information that is necessary to scope the effort, estimate time to completion and quantify cost of service delivery. The Request for Legal Service (RFLS) is a multi-part form to be used by:*

- Business Unit personnel to inform Law Departments of the need for assistance;
- Legal to classify matter type and determine priority (based on assigned levels of risk, urgency, effort and strategic alignment).

*The RFLS should be completed by the Client as an intake tool to be reviewed and triaged by the Legal Department prior to the opening of a matter. The form will assist in identifying the appropriate Responsible Person to oversee resolution of the issue.*

Request for Legal Service	
<b>Request Date</b>	
<b>Requested By (Name)</b>	
<b>Business Unit / Dept</b>	
<b>Email Address</b>	
<b>Phone No.</b>	
<b>Approved By (Name)</b>	
<b>Request Type:</b>	<input type="checkbox"/> A Type <input type="checkbox"/> B Type <input type="checkbox"/> C Type <input type="checkbox"/> D Type <input type="checkbox"/> E Type <input type="checkbox"/> F Type
<b>Issue Description</b>	<i>Please describe in detail the issue for which you seek legal advice and attach any related documents</i>
<b>Requested Assistance</b>	<i>Please describe the type of assistance you would like the Legal Department to provide</i>
<b>Rationale</b>	<i>Please describe the reason you would like Legal Department assistance</i>
<b>Desired Outcome:</b>	<i>Please describe your desired goal</i>
<b>Other Relevant Stakeholders (Business Units or External Users)</b>	

## STAGE 1: INTAKE

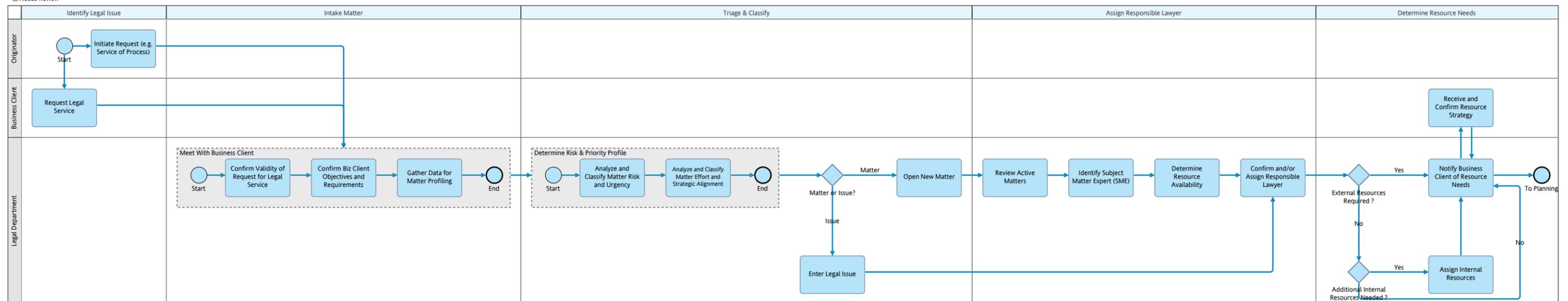
### RESULTS (OUTPUTS)

- Request for Legal Service:** Completion of the multi-part request form is required of: (1) Business Units to inform Law Department of need for assistance; (2) Legal to classify matter type and determine priority (based on assigned levels of risk, urgency, effort and strategic alignment).
- Consolidated Legal Issues Log:** Document issues that require legal assistance (but do not necessarily rise to the level of requiring more formal matter opening).
- Matter Summary Report:** Matter ID is assigned for requests based upon triage information and the key elements of a legal matter are identified (risk rating, urgency, level of effort, strategic alignment and matter classification).
- Active Matter Report:** Update the active matters to assist in later matter classification and prioritization (triage).
- Resource Utilization Planner:** Update the resource assignments to assist in determining later resource availability and capacity.
- Issue or Matter rating for risk, urgency, effort and strategic alignment

### WORKFLOW DIAGRAM - INTAKE STAGE

The following diagram is an overview of the first stage of the MLM lifecycle – Intake. The process diagram is broken down into its sub-phases (columns) and steps (boxes).

CLOC - MLM Workflow Diagram - Intake Stage (ID: 202716e6c8b) <https://us006.blueworkslive.com/scri/processes/202716e6c8b>  
 CLOC space. Last modified on Jan 7, 2022 6:09 PM  
 Needs Review



## STAGE 1: INTAKE

The organizational roles and responsibilities anticipated for this stage are identified as follows:

### LACI ROLES

<b>L</b>	Legal Project Manager; Lead In-House Attorney, Lead Outside Counsel
<b>A</b>	Division General Counsel
<b>C</b>	Subject Matter Expert; Legal Operations, Outside Counsel
<b>I</b>	Originator/Business Client

NOTE: It is assumed this stage is primarily handled / managed by in-house teams.

### SUCCESS CRITERIA

- ✓ 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 draws upon the information gathered in the Intake stage to build out the details of the delivery of the legal service or the project plan. This stage sets out the activities to be performed, the team members who will perform the activities, the matter schedule or the estimated time to complete the activities, the matter budget or potential costs (estimates) for executing the matter and any assumptions factored into the estimate and the communication preferences of the client. The tools in this stage are intended to be used for both internal projects and for those projects that may involve vendors such as outside counsel.

## INPUTS

The following primary inputs are anticipated for the activities in this stage:

- Outputs from the Intake Stage   Stakeholders   Stakeholder communication preferences
- Team capabilities   Issue / matter assumptions, out of scope and risks   Time and cost estimates

## ACTIVITIES (TASKS)

1. The LD determines whether external resources are required for the matter.
2. If no external resources are required, the assigned in-house attorney meets with the Business Client to confirm the project requirements.
3. If the matter is classified as low risk, a **Statement of Work** is prepared to define the scope of the services, the anticipated outcome, identify the tasks and timetable and to confirm the Business Client's reporting requirements. This information is shared with the Business Client to obtain approval for the plan. (see Figure 2.1)
4. If the matter is classified as high risk, a **Statement of Work** is prepared to clarify the same information and any assumptions that were considered in the estimate and risks. Due to the classification of the matter, other artifacts are also prepared at this stage and include the **Stakeholder Register** to identify those who have an interest in the outcome, a **LACI Matrix** to clarify roles and responsibilities, a **Communication Plan** to confirm reporting requirements and the **Matter Schedule and Budget** to confirm tasks, resource requirements, key dates and milestones, assumptions and key deliverables. The planning process may also include development of a change control policy and procedure (refer to the Execution stage for the **Change Request** form). This information is shared with the Business Client to obtain approval for the matter plan.
5. If external resources will be required, there are three (3) planning options for engaging outside vendors based upon how the resources are selected.
  - a. If the outside vendor can be selected in the discretion of the in-house counsel, the vendor is selected, conflicts clearance is confirmed, and the vendor is engaged using a **Statement of Work** which attaches relevant documents and clarifies the vendor's budgeting and reporting requirements. These documents may also include the LD's Outside Counsel Guidelines.

## STAGE 2: PLANNING

- b. If the outside vendor is part of a pre-approved panel, the vendor is selected based upon their approved subject matter area of services, conflicts clearance is confirmed, and the vendor is engaged using a **Statement of Work** which attaches relevant documents and clarifies the vendor's budgeting and reporting requirements. These documents may also include the LD's Outside Counsel Guidelines.
- c. For a. and b., the outside vendor is required to provide a response which can include a case assessment, project schedule and project budget for the delivery of the services. After the response is received, the vendor response is approved and the Matter Management System is updated to identify the assigned vendor.
- d. If the outside vendor will be engaged pursuant to a matter bidding process or dynamic panel, a **Request for Matter Proposal** (RFMP) is prepared by the legal department which includes a description/scope of the matter and the assumptions/out of scope to be considered for the matter. The RFMP is then issued to the panel firms in the relevant subject matter area. The respondent outside vendors must complete the RFMP template by including the proposed matter team, legal strategy, fee proposal, matter management strategy, any additional budgetary assumptions/exclusions and a budget template identifying the detailed schedule of the fee proposal. Once the responses are received, a vendor is selected and the Matter Management System is updated to identify the assigned vendor. (see Figure 2.2)

The organizational roles and responsibilities anticipated for this stage are identified as follows:

### LACI ROLES

<b>L</b>	Legal Project Manager; Lead In-House Attorney, Lead Outside Counsel
<b>A</b>	Division General Counsel
<b>C</b>	Outside Counsel; Legal Operations
<b>I</b>	Originator/Business Client

## RESULTS (OUTPUTS)

1. **Statement of Work**: An all-purpose planning document indicating the parameters of the work to be performed. Some project may require greater detail.
2. **Stakeholder Register**: A document identifying who has interest in the work and their level of influence.
3. **LACI Matrix**: A document identifying team members who are leading, assisting, consulted and informed.
4. **Communication Plan**: A document identifying specifications for reporting and how to effectively deliver information to stakeholders.
5. **Matter Schedule and Budget**: A document identifying the action plan for delivery of services inclusive of tasks, resources, key dates/milestones (schedule), projected costs (budget), assumptions and key deliverables.
6. **Request for Matter Proposal**: A document that is prepared for the matter bidding process for a dynamic panel that provides details about the services requested and solicit bids from vendors.

Figure 2.1: Statement of Work (pg. 1 of 2)



### Matter Lifecycle Management Template Statement of Work

*The Statement of Work (SOW) template can be used to either communicate the parameters of the assignment internally with Legal Department clients (either as an email or separate document) or externally with outside counsel. This document is anticipated to be used as a stand-alone succinct summary for low risk, rush or projects with low time requirements, or in conjunction with other MLM artifacts for project planning related to projects with high risk, multiple parties or greater time investment. The following is an email example of the SOW which would require the client to confirm their agreement with proposed project parameters. Please note that if the Request for Legal Service (RFLS) template from the Intake phase is also utilized, information from that artifact should be carried over into this document to avoid duplication. For example, issue, outcome and timetable are collected in the RFLS.*

Send  dan.henry@madeupmanufacturing.com  
 janet.meyers@madeupmanufacturing.com  
  
 Subject Statement of Work for Project Ambiguous

Janet, I appreciate you having reached out to me last Thursday, March 4, 2021. In acknowledgement of what we heard and in confirmation of what we discussed, the legal department will perform the following services. The following accurately captures the project or assignment requirements, please confirm by response to this email.

What we heard:	
<b>Description of the issue or situation</b>	This field should be used to describe the current factual and procedural posture of the matter and the primary issue to be addressed. In matter management systems and enterprise intake systems, this is typically referred to as the nature of the matter. Further elaboration of the requirements of the assignment will be provided under the "Proposed Scope" section.
<b>Desired outcome and timing</b>	This field should be used to capture the client's desired outcomes or success criteria. For example, what are the client's objectives with regard to the assignment or representation, timing and the budget or pricing proposal. These criteria should be clarified with the client prior to the engagement and may include the following: <ol style="list-style-type: none"> <li>1. Quick resolution</li> <li>2. Specific outcome</li> <li>3. Cash flow management</li> <li>4. Predictability (cost)</li> <li>5. Certainty (outcome)</li> <li>6. Setting precedence</li> </ol>
What legal services we will perform:	
<b>Proposed Scope</b>	This field can be used to further describe the expected deliverable or service objective – this is a high-level description of the objectives with sufficient detail so that the client, in-house counsel or outside counsel are aware of the matter objectives, deliverables and requirements. Use language that is concise and explanatory.  It is also recommended to clarify any issues or tasks that are not intended to be addressed in the assignment or representation. For example, provide a general description of anything that would be considered outside the stated objectives, deliverables, and requirements. Out of scope issues may include:

Figure 2.2: Request for Matter Proposal (pg. 1 of 3)



### Matter Lifecycle Management Template Request for Matter Proposal

*The Request for Matter Proposal (RFMP) is intended to be used as part of the dynamic panel workflow in the CLOC planning phase. This assumes that the Legal Operations team has identified a number of firms to provide legal services in a particular lane of legal services. When a new matter is identified in a lane of service, the Legal Operations team will prepare the RFMP and issue it to select firms within the panel. This ensures that responses from panel firms will be consistent and positions the Legal Operations team to make an "apple-to-apples" comparison of proposals without significant deviations in scope, assumptions and estimates.*

**[COMPANY]**  
**Request for Matter Proposal ("RFMP")**  
**(TO BE COMPLETED BY THE LEGAL DEPARTMENT)**

**[RFMP RECIPIENT]** is a member of the Legal Department's approved panel of outside legal service providers and is approved to provide support for the areas of **[AREAS OF LAW]**. The Legal Department is requesting a detailed estimate, an hourly budget cap, fixed fee proposal or other alternative fee arrangement for services related to the following matter or project within this area of law:

Legal Department Matter #:	
Legal Department Matter Name:	
Responsible In-House Contact:	
RFMP Response Deadline:	
Area of Law Category:	
Matter Subcategory (if any):	
Matter Description:	
Documents Provided:	
Description of the Matter	
Provide respondent law firms with a description of the matter and include sufficient detail regarding the anticipated scope of services.	
Assumptions / Out of Scope Services	
Identify any assumptions to be considered in the estimate or the fixed fee proposal and any appropriate out of scope items to be considered by respondent law firms. For example, in litigation, assumptions may include the number of witnesses, depositions or anticipated procedures and out of scope services may include eDiscovery services.	

Attorney Client Privilege/Attorney Work Product

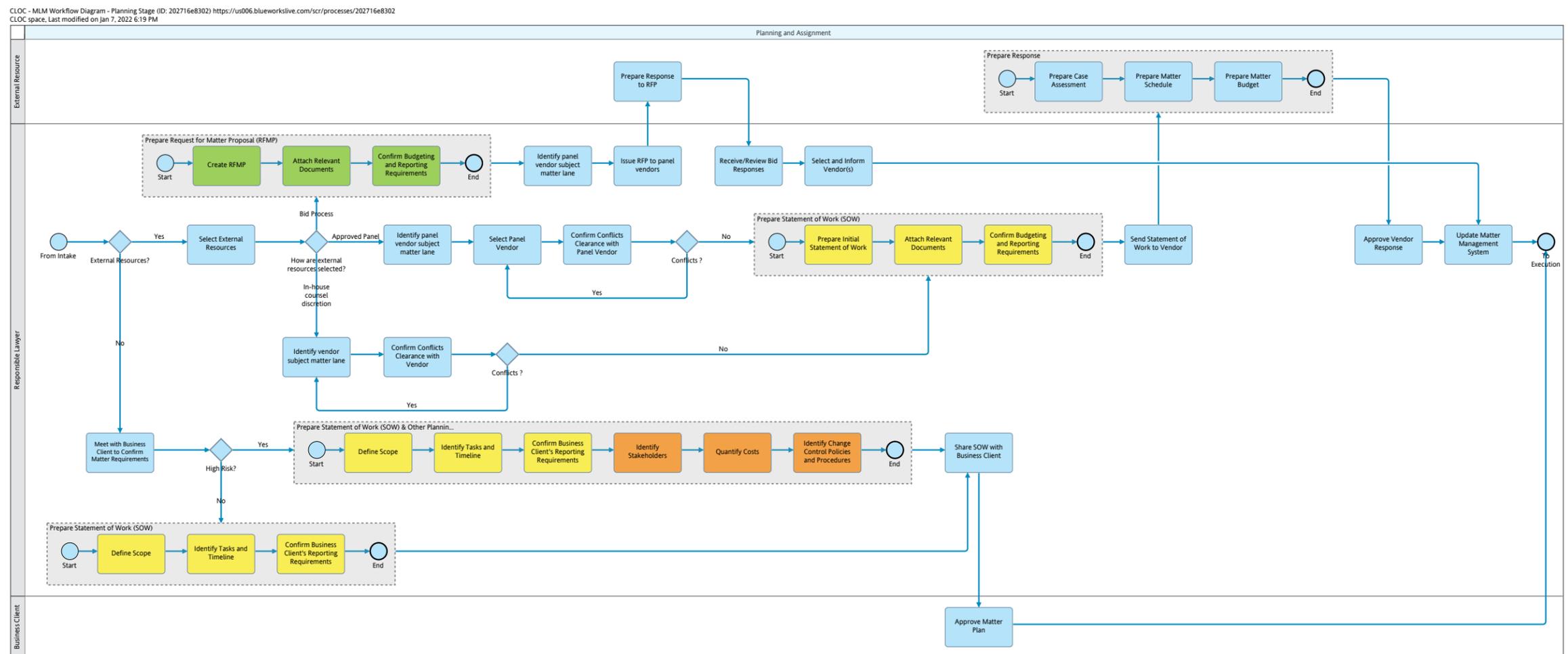
SUCCESS CRITERIA

1. Signoff and alignment between client, in-house legal team and outside counsel on matter approach, pricing, scope, variables, costs, assumptions and estimated timing
2. Agreement on matter-specific monitoring and reporting metrics.  
Examples of matter-specific targets include:
  - a. Resource Management
    - i. Team subject matter expertise
    - ii. Departmental support (who is supporting which departments)
    - iii. Workload and resource utilization
    - iv. Deliverables and deadlines
  - b. Budget Management (using Matter Management Systems)
    - i. Cost of matter
    - ii. Duration of matter

- iii. Timekeeper turnover (with regard to outside counsel, the number of times new timekeepers are utilized on an engagement)
  - iv. Staffing profile to target
  - v. Compliance with outside counsel billing guidelines
  - vi. Timely billing
  - vii. Performance to budget and percentage of work completed
3. Agreement on portfolio-specific monitoring and reporting metrics.  
Examples of portfolio (relationship-level) targets include:
  - a. How many matters managed in-house versus outside counsel and profile of the matters referred to outside counsel
  - b. Volume of requests by business unit and matter type
  - c. Outcome of matters in the portfolio
  - d. Average duration of matters
  - e. Average cost of individual matters and portfolio

WORKFLOW DIAGRAM - PLANNING STAGE

The following diagram is an overview of the second stage of the MLM lifecycle – Planning. The process diagram is broken down into its sub-phases (columns) and steps (boxes).



# STAGE 3: EXECUTION

The Execution stage combines the traditional project management elements of execution and monitoring and controlling into a single stage where the matter is delivered according to the intended goals and outcomes set forth in the intake and planning stages. This stage heavily focuses on the deliverables, the need for change requests and the use of quality control and quality assurance to confirm that deliverables meet expectations.

## INPUTS

The following primary inputs are anticipated for the activities in this stage:

Outputs from the Planning Stage Meeting cadence

Quality assurance and control (QA/QC) standards Team performance standards Progress evaluation

## ACTIVITIES

1. The LD sets up the matter processes and systems by coordinating a team meeting using the **Kickoff Meeting Agenda** and configures the tracking and reporting process systems.
2. The assigned in-house counsel or legal team produces and/or modifies the deliverables consistent with the Statement of Work including recording any work effort and updating department systems with the work product.
3. Quality assurance and quality control measures are applied if required by the project. For example, simple requests for legal assistance may not require a formal QA/QC process, however, document reviews, large scale productions or other complex projects may benefit from QA/QC. If implemented, the QA/QC measures are applied to the deliverables and a **QA/QC Report** will be used to monitor the results.
4. If the deliverables are not performed to QA/QC standards, corrective measures will need to be implemented, and the deliverables modified.
5. If no QA/QC measures will be applied to the deliverables, a **Matter Status Report** is produced to communicate progress to the stakeholders via a report meeting. At this meeting, the team reviews the project scope, cost, schedule and risk to identify whether any changes are required. If a change request is necessary, a **Change Request** form is produced to record the basis for the requested modification. If the request is approved, the project **Statement of Work** is updated. (see Figure 3.1)
6. If the deliverables meet QA/QC standards, if the change request is approved and if the deliverables are completed, they are presented to the Business Client for approval. If deliverables are not approved, they need to be modified and presented again.

## STAGE 3: EXECUTION

Figure 3.1: Matter Status Report (pg. 1 of 1)


**Matter Lifecycle Management Template**  
Matter Status Report

*The Matter Status Report presents the measurements, sources and indicators of progress used in monitoring and assessment of matter status, success and performance reporting to stakeholders. It is generated in advance of periodic Matter Status Meetings as a means of aligning expectations and identifying (and supporting) any need for change.*

---

**CLIENT & MATTER DETAILS**

Matter Name		Responsible Lawyer		Report Date	
Matter No.		Matter Type/Subtype		Open Date	

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**PROGRESS SINCE LAST REPORT**

- [Briefly list the tasks completed and results achieved since last report]
- [Identify any issues/changes that have occurred since the last report]

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**PROGRESS PLANNED BY NEXT REPORT**

- [Briefly list the tasks that will be completed or worked towards between now and the next report]

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**MILESTONES**

Name	Due Date	Completed Date	Status
• [List critical path milestones]			Complete
•			In progress
•			Delayed

---

**FINANCIALS**

Fee Estimate:	<b>100,000</b>	% of Fee Estimate Reached:	<b>90%</b>
Total Billed Fees [insert date range]	<b>25,000</b>	Total Unbilled Fees [insert date range]	<b>65,000</b>
% of matter predicted to have been completed	<b>75%</b>	% of matter actually completed	<b>55%</b>

Comments:

---

**ACTION/CHANGE REQUEST REQUIRED**

Phase/Task	Action or Change Request Needed	Assigned To	Due Date
1	[describe any events that need action, and specify whether they need addressing from a legal or management perspective]		
2			
3			

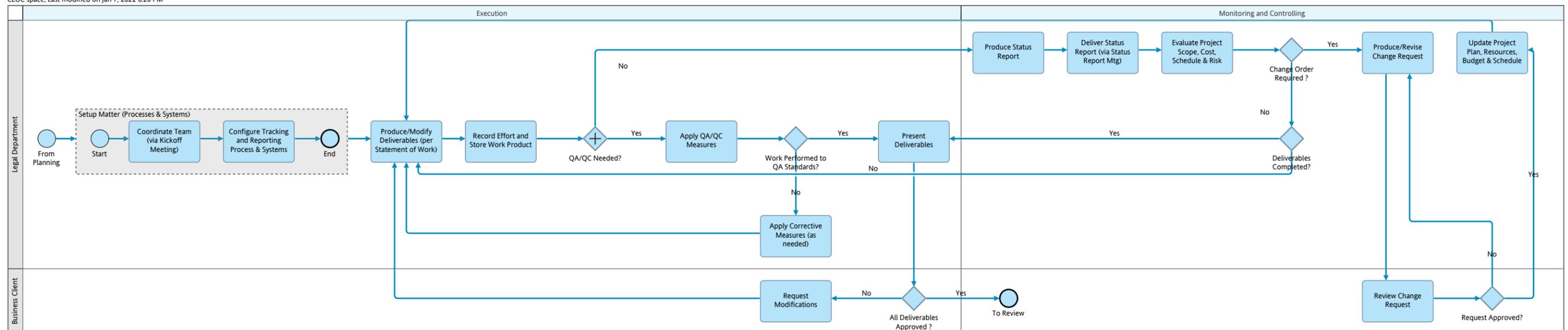
The organizational roles and responsibilities anticipated for this stage are identified as follows:

LACI ROLES	
L	Legal Project Manager; Lead In-House Attorney, Lead Outside Counsel
A	Division General Counsel
C	Matter Team; Legal Operations
I	Business Client

### WORKFLOW DIAGRAM - EXECUTION STAGE

The following diagram is an overview of the third stage of the MLM lifecycle – Execution. The process diagram is broken down into its sub-phases (columns) and steps (boxes).

CLOC - MLM Workflow Diagram - Execution Stage (ID: 202716e8585) <https://us006.blueworkslive.com/scr/processes/202716e8585>  
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### RESULTS (OUTPUTS)

1. **Kickoff Meeting Agenda:** The agenda/checklist is prepared to identify items to cover in review of project plan, methods, and governance structure.
2. **QA/QC Report:** A report is built using the QA/QC standards including requirements, specifications, guidelines or characteristics to ensure work product and services are consistently fit for purpose.
3. **Matter Status Report:** A report is developed periodically to formalize communication to stakeholders on progress against matter schedule/budget.
4. **Change Request:** In the event that a change is required in the project scope, resources, budget or schedule, a request for change is generated identify the modification to matter scope, cost, timeline or resources

### SUCCESS CRITERIA

- ✔ Matter team members and client fully informed of matter status, progress and risks on a monthly basis (more frequent if necessary)
- ✔ Regular reporting and monitoring of agreed matter specific targets from the Planning stage
- ✔ 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).

## INPUTS

The following primary inputs are anticipated for the activities in this stage:

Outputs from the Execution Stage   Matter evaluation   Team evaluation

Individual evaluation   Lessons learned

## ACTIVITIES

1. Once the matter or project is concluded, the Business Client should be notified and the matter should be formally closed out by addressing open issues and the payment of outstanding invoices.
2. The matter should also be closed by updating artifacts and tracking systems, completing any post-matter data capture and completing the final **Closeout Report**.
3. The in-house lead attorney should facilitate a post matter review with the entire legal team and prepare the **Legal Team Matter Review Summary**. (see Figure 4.1)
4. The in-house lead attorney should also conduct a Business Client post matter review to confirm that all expectations were addressed and to identify areas for improvement. A **Business Client Matter Review Meeting Agenda** will be prepared to facilitate the meeting, review the closeout of the project and confirm performance. A **Business Client Matter Review Summary** will be prepared after the meeting to capture lessons learned, team and individual performance.
5. Legal Team and Business Client feedback may provide value insights for individual team member performance. Where appropriate, this information should be shared with team members one-on-one via the **Team Member Feedback** form.
6. Lastly, at matter or project closure, the in-house lead counsel or legal operations professional should assemble all work product for knowledge management and potential future use.

## STAGE 4: REVIEW

Figure 4.1: Legal Team Matter Review Summary (pg. 1 of 2)



**Matter Lifecycle Management Template**  
Matter Review Summary - Legal Team

*Feedback gathered from the legal team during the matter closing process can be used to assess the effectiveness of the approach taken and the performance and efficiency of the legal team itself in the handling and resolution of the legal matter. Meeting with the legal team in advance of meeting with the Client is usually a good idea as it may bring to light any challenges and opportunities to be addressed.*

**Matter Review Summary - Legal Team**

<b>Matter Name / No.</b>						
<b>Requesting Department / Unit</b>						
<b>Date Matter Opened</b>						
<b>Date Matter Closed</b>						
<b>Legal Team Members</b>	List legal team members					
<b>Matter description</b>	Briefly describe the matter scope and its main objectives					
<b>Strong Points</b>	Please indicate what worked well in this matter					
<b>Improvement areas</b>	Please indicate what we can improve and how					
<b>Lessons learned</b>	Please identify any significant or useful work product or knowledge gained in managing the matter—both positive and negative—that can be used when managing future matters or in other areas of legal oversight					
<b>Knowledge takeaway</b>	Please identify any “best of breed” documents that could be included in the knowledge management database					
<b>For the following questions, please provide a rating (on a scale from 1 to 5 (5 is best)) and response</b>						
<b>Did the legal team achieve client's desired objectives?</b>	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; text-align: center;">1</td> <td style="width: 20px; text-align: center;">2</td> <td style="width: 20px; text-align: center;">3</td> <td style="width: 20px; text-align: center;">4</td> <td style="width: 20px; text-align: center;">5</td> </tr> </table>	1	2	3	4	5
1	2	3	4	5		
	- Did the team achieve success as defined in the project plan?					

The organizational roles and responsibilities anticipated for this stage are identified as follows:

LACI ROLES	
<b>L</b>	In-house Lead Attorney
<b>A</b>	Division General Counsel Lead Lawyer
<b>C</b>	Business client, all matter team members; Legal Operations
<b>I</b>	General Counsel

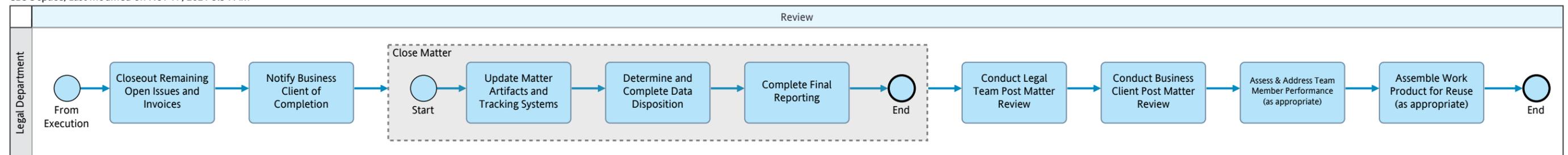
RESULTS (OUTPUTS)

1. Closeout Report: Analyze performance, describing matter results, outcomes and final scope, schedule and cost in comparison to success criteria (i.e., baseline\plan)
2. Legal Team Matter Review Summary: Assessment of legal team and individual performance in administration and resolution of matter (including recommendations for process improvement and cost reduction)
3. Business Client Matter Review Meeting Agenda: A checklist of items to cover with the client in review of project closeout and performance feedback
4. Business Client Matter Review Summary: Client assessment of team and individual performance in administration and resolution of matter
5. Team Member Feedback: Manager assessment of individual performance in administration and resolution of matter (including identification of opportunities for improvement and career growth)

WORKFLOW DIAGRAM - REVIEW STAGE

The following diagram is an overview of the fourth (and final) stage of the MLM lifecycle – Review. The process diagram is broken down into its sub-phases (columns) and steps (boxes).

CLOC - MLM Workflow Diagram - Review Stage (ID: 202716e88f7) <https://us006.blueworkslive.com/scr/processes/202716e88f7>  
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SUCCESS CRITERIA

- ✓ 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
- ✓ Assess performance of the team against the matter specific targets identified in the Planning stage and monitored in the Execution stage

# MLM MATTER ROLES

## UPDATE FOR THE SWIM LANES IN THE PROCESS DIAGRAM

To successfully work within and understand the LACI framework provided in the above sections, legal operations professionals should understand the different stakeholders and roles. Not all these roles are referenced in the LPM framework or MLM processes and artifacts, but they are provided below to describe the various stakeholders who may play a part in the delivery of the matter.

## In-House Roles

### Business Client

Individual or individuals who represent the business (i.e., product group, service line, corporate function, etc.) and are in need of legal advice and assistance. They are the Legal Department's client.

### 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 DGC)

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.

### Responsible Lawyer (also Lead or In-house Lawyer)

Managing outside counsel by selecting counsel, selecting the Legal Team members any required Subject Matter Experts, managing budgets, communicating with counsel on case strategy, key developments, etc. If department largely manages matters in-house, managing day-to-day details and deadlines of matters, such as:

**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.

## LPM MATTER ROLES

### 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.

### 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.

## External Roles

### Legal Team Members

The day-to-day execution and delivery of all elements of the legal work falls to the matter lawyers and other staff. Matter lawyers or other staff 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.

### 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.

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Huge thanks to all the fabulous designers, contributors, advisers and participants to this document.

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**Contributors**—assisted with work product development; provided industry insight.

**Advisors**—helped vet and validate work product against “real world” in-house use cases.

**Participants**—special thanks to these individuals for their expertise and contribution to this initiative!