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ALA Standards Review Committee

Today’s Program

• Context about industry standards
• UPBMS code set introduction
• UPBMS reference material
• UPBMS applications
• Try using the UPBMS!
• Share information about the ALA’s effort
• Demands for efficiency and transparency are only increasing
• There is a broad need for quality data
• Opportunities for competitive advantages are grounded in understanding, analyzing, and improving the way we work
It’s All Connected: The P+ EcoSystem™

The P+ EcoSystem is a model and assessment tool invented by the Legal Lean Sigma Institute and Corcoran Consulting Group.

Do you REALLY know how much it costs to run your firm?

And do you really know who is doing what activities?
The UPBMS
Introduction

Uniform Process Based Management System

A set of codes developed to provide a standard framework for defining and classifying legal operations.
The UPBMS is:

A common language used to describe legal support activities
The UPBMS is:

A categorization of all legal support activities used to create or improve management tools, processes, and procedures.

The UPBMS
Reference Materials
UPBMS Code Structure

Rules:

- Substantive Area (AS) 10
- Process
- Classification
- Activity

Support Branch:
- Human Resources (HR)
- Administrative Support (AS)
- Finance (FN)
- Business Development (BD)
- Information Technology (IT)
- Leadership and Management (LM)

Legal Branch:
- Litigation (LT)
- Transaction/M&A (Project) (TN)
- Patent (PT)
- Trademark (TM)
- ‘Workers’ Compensation (WC)
- Bankruptcy (BK)
- Other (Counseling) (CN)
- Lobbying (Government Relations) (LB)
Human Resources (HR)

- HR10: Recruitment and Selection
- HR15: Compensation and Benefits
- HR20: Employment Relationship Management
- HR25: Training and Development
- HR30: HR Consulting

UPBMS Branches

Branches represent the highest organizational level within the ALA UPBMS Codes. They are used to organize the substantive areas into two primary groupings that represent the two sides of a typical legal services operation.

Support Branch

The Support Branch is used to describe processes associated with professional assistance provided to lawyers directly related to the delivery of legal services, advice and counsel.

Classifications within this Branch:

- Administrative Support (AS)
- Finance (FN)
- Human Resources (HR)
- Business Development (BD)
- Information Technology (IT)
- Leadership and Management (LM)

Legal Branch

The Legal Branch is used to describe processes associated with professional assistance provided to lawyers directly related to the delivery of legal services, advice and counsel.

Classifications within this Branch:

- Litigation (LT)
- Transaction/M&A (Project) (TN)
- Patent (PT)
- Trademark (TM)
- Workers’ Compensation (WC)
- Bankruptcy (BK)
- Other (Counseling) (CN)
- Lobbying (Government Relations) (LR)

Questions?

For further information about the ALA UPBMS or the public comment process, please contact: alaupbms@alanet.org
Support Branch Classifications

The Support Branch is used to describe processes associated with professional assistance provided to lawyers directly related to the delivery of legal services, advice and counsel. Classifications represent the highest organizational level within each Branch of the ALA UPBMS. They are used to organize the Substantive Areas into logical groupings. While they may generally follow departmental structures in some organizations, they are used more accurately to describe the nature of the processes detailed within each substantive area and category.

Administrative Support (AS)

Processes associated with general office operations. Includes document services (production, reproduction and management), court services (docket), phone and fax services, meeting coordination, travel, facilities management, and mail/messenger services.

Substantive Areas within this Classification:

- AS10 Document Services
- AS15 Docket Services
- AS20 Communication Services
- AS25 Meetings Coordination
- AS30 Travel Management
- AS35 Facilities Management
- AS40 Mail and Messenger Services

Finance (FN)

Processes associated with general accounting and financial operations, time entry, billing and collections, accounts payable, expense reports, analyzing money flows, and meeting all reporting, tax, and business operation requirements.

Substantive Areas within this Classification:

- FN10 Credit and Collections
- FN15 Financial Operations
- FN20 Financial Planning
- FN25 Tax and Compliance

Legal Branch Classifications

The Legal Branch is used to describe processes associated with professional assistance provided to lawyers directly related to the delivery of legal services, advice and counsel. Classifications represent the highest organizational level within each Branch of the ALA UPBMS. They are used to organize the substantive areas into logical groupings. While they may generally follow departmental structures in some organizations, they are used more accurately to describe the nature of the processes detailed within each substantive area and category.

Litigation (LT)

The professional assistance provided to lawyers in the litigation process. Those involved in litigation support (such as computer forensics) perform investigative data collection, preservation, discovery, analysis and verification. This category applies to all contested matters including judicial litigation, binding arbitration and regulatory/administrative proceedings. This category excludes Workers’ Compensation cases as there is a specific section for those activities.

Substantive Areas within this Classification:

- LT10 Case Assessment, Development and Administration
- LT15 Pre-Trial Pleadings and Motions
- LT20 Discovery
- LT25 eDiscovery
- LT30 Trial Preparation and Trial
- LT35 Appeal
- LT40 Exemplar and Exhibit Disposition

Transaction/M&A (Project) (TN)

The support of deals or transactions (e.g., real estate, securities, financings, restructurings, mergers and acquisitions), administrative filings with federal and state agencies, and stand-alone projects (e.g., establishing an environmental compliance program).

Substantive Areas within this Classification:

- TN10 Deal Management
- TN15 Preliminary Matters
- TN20 Initial Document Preparation
- TN25 Due Diligence and Disclosure Schedule
- TN30 Negotiation/Revisions/Response
Support Branch Substantive Areas (Code Sets)

Substantive Areas represent the second highest organizational level within the ALA UPBMS Codes and are designed to be easily and independently identifiable.

Each Substantive Area represents a code set that contains a logical grouping of Processes. Below is a description of the Substantive Area followed by a summary of the Processes each contains.

Administrative Support (AS) Classification

**AS10 Document Services**
Producing and reproducing documents.
- AS10.10 Document Creation
- AS10.15 Document Management
- AS10.20 Document Reproduction

**AS15 Docket Services**
Court filing, litigation searching, docket maintenance, company and business name searching, property and title searching, and notary services.
- AS15.10 Court Services
- AS15.15 Docket Maintenance
- AS15.20 Name or Entity Searches
- AS15.25 Notary Services
- AS15.30 Property Services

**AS20 Communication Services**
The coordination and management of electronic and telecommunication systems.
- AS20.10 Electronic Communications Services
- AS20.15 Telecommunications Services

Legal Branch Substantive Areas (Code Sets)

Substantive Areas represent the second highest organizational level within the ALA UPBMS Codes and are designed to be easily and independently identifiable.

Each Substantive Area represents a single code set that contains a logical grouping of Processes. Below is a description of the Substantive Area followed by a summary of the Processes each contains.

Litigation Support (LT) Classification

**LT10 Case Assessment, Development and Administration**
Understanding the facts of matter, developing strategy, working with experts or consultants, organizing file materials, managing budgets, and participating in settlement activities.
- LT10.10 Fact Investigation/Development
- LT10.15 Property and Examples
- LT10.20 Analysis/Strategy
- LT10.25 Experts/Consultants
- LT10.30 Document/Title Management
- LT10.35 Budgeting
- LT10.40 Settlement/Non-Binding ADR

**LT15 Pre-Trial Pleadings and Motions**
All pleadings and pretrial motions and procedures other than discovery.
- LT15.10 Pleadings
- LT15.15 Preliminary Injunctions/Provisional Remedies
- LT15.20 Court Mandated Conferences
- LT15.25 Dispositive Motions
- LT15.30 Other Written Motions/Submissions
- LT15.35 Class Action Certification and Notice

**LT20 Discovery**
UPBMS Applications
Examples of how the UPBMS can be used by functional areas

UPBMS Functional Applications

• Leadership & Management
• Finance
• Human Resources
• Business Development
• IT
ALA’s Job Description Toolkit

• Step-by-step guide for creating job descriptions that apply the UPBMS taxonomy
• Includes sample job descriptions
• List of resources and tools

Tracking & Analyzing Time with the UPBMS

• Creates consistency: common language/descriptions
• Easier to enter time
• Minimize multiple interpretations
• Provides options for coding, monitoring, and analyzing effort
• Improves budgeting and pricing
• Enhanced ability for firms to benchmark results
Model Application

Automated Application for Time and Record Keeping Using the UPBMS Code Set

The system described below unobtrusively records law practice management activities.

A variety of pushed and pulled signals are fed into the system. Pushed signals can include almost any text input. As an example, the system could monitor a Slack business collaboration team channel. As an example, one could monitor a channel and respond to keywords. When Tapir "hears" a word, for example "USPTO," it inserts a row into an Excel workbook and asks the user for confirmation. When Tapir receives the confirmation it updates the row to indicate the record is active.

In time, it is assumed that the application could be linked to an auto-classification system trained with natural language processing tools.

### Table

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LITIGATION - REPRESENTATION COST: $49,600
Exercise 1
Using the UPBMS

Process Mapping
Advantages of Process Mapping

- Identifying issues and improvements are much easier
- Visualizing processes makes things clearer from the start: ‘show me’ is better than ‘tell me’
- Facilitates insights and ability to collect and analyze data
- Management decisions, communications, onboarding, training, and collaborations are more effective through visualization
Top-Down Process Map: Law Firm Sales Cycle

1. **Pre-Qualify**
   - Pre-qualify prospect
   - Form team
   - Go / No Go

2. **Gather and Analyze Research**
   - Request detailed research
   - Analyze research
   - Discuss strategy, approach
   - Go / No Go

3. **Assess Needs and Develop Solutions**
   - ID potential needs
   - Client interview / meeting
   - Review client strategic plan
   - Carry out needs analysis
   - Develop solutions

4. **Client Development Plan**
   - Develop comprehensive plan
   - Circulate for feedback

5. **Develop Proposal / Presentation**
   - Develop proposal and presentation
   - Develop meeting strategy
   - Clarify assignments and rehearse
   - Meet with client
   - Ask and close (Go / No Go)
   - Debrief team
   - Follow up with client

6. **Provide Exceptional Client Service**
   - Model behavior / service to client needs
   - Follow Best Practices
   - Execute Client Development Plan
   - Continue to plan ways to deepen relationship
   - Cycle begins anew
https://www.gluu.biz/employee-onboarding-process/

https://www.lucidchart.com/blog/employee-onboarding-process
Exercise #1: Process Mapping

1. What's the first step?
2. What's the last step?
3. What are all the top level steps?
4. What are the tasks in each step?
5. Assign UPBMS codes to each task
STEP 1: Map the Onboarding Process
Top-Down Map Template

1. What's the first step?
2. What are all the top level steps?
3. What are the tasks in each step?
4. What are the tasks in each step?
5. Assign UPBMS Classifications and Task Codes

2. What's the last step?

Step 2: Annotate the Process Map Using the UPBMS

1. Add CLASSIFICATIONS for each step:
   - Human Resources (HR), Administrative Support (AS), Finance (FN), Business Development (BD), Information Technology (IT), Leadership and Management (LM)
2. Add codes for each HR TASK
3. Capture effort (keep time)
4. Analyze
Exercise 2
Using the UPBMS

Job Analysis

Exercise #2

• Enter compensation and practice group for your secretary
• Enter percentages for each Substantive Area (blue) and Process (yellow).
• The blue must total 100%
• The yellow must total 100% in each section.
Standards Review Committee (SRC)

Mission

To increase awareness for the need to bring standardization to the legal industry, specifically within the areas of administration and operations.

Standards Review Committee (SRC)

Mission

1. Developing and maintaining a universally applicable set of standards;
2. Fostering the use and understanding of how standards can be used to improve operations; and
3. Support and foster efforts by others to develop and promote the use of legal industry standards.
Current Status of UPBMS...

- Version 1.0 Released in 2016
- Version 2.0 Released in 2019
- Next Version Release TBD

Additional Information

Email: alaupbms@alanet.org

UPBMS Portal:
www.upbms.alanet.org

ALA Web Site:
www.alanet.org
Thank you!

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ALA Standards Review Committee

Please complete an evaluation for this session!