AS10 Document Services Code Set

Producing and reproducing documents.

AS10.10 Document Creation

Drafting, revising, proofreading or transcribing documents, presentations or correspondence.

AS10.10.10 Drafting Documents

The initial drafting of documents from handwritten notes, annotated hard copies, shorthand, discussions, etc. Includes transcription, translation and court reporting. (Note: Drafting documents related to a legal representation independently should be classified within Legal Services).

AS10.10.15 Proofreading Documents

The proofreading of documents for grammatical, spelling and format errors.

AS10.10.20 Revising Documents

Editing documents from handwritten notes, annotated hard copy, transcription, shorthand, etc. Includes comparisons, conversions, merges, creation of tables of contents/authorities, etc.

AS10.15 Document Management

The management and identification of electronic and physical documents (records). It includes the adherence to established naming and organizational protocols and procedures to facilitate future retrieval.

AS10.15.10 Electronic Storage and Naming

Creating and adhering to established document naming conventions and management of document electronic storage.

AS10.15.15 Physical Storage and Filing

Creating physical files adhering to established file organization conventions. It includes and management of document storage and organization.

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AS10.15.20 Security and access control

Maintaining security and access control to documents.

AS10.15.25 Version control

Tracking how the current document came to be, and how it differs from the versions that came before. It includes roll-back, to "activate" a prior version in case of an error or premature release.

AS10.15.30 Audit trails

Permitting the reconstruction of who did what to a document during the course of its life in the system.

AS10.15.35 Check-in/check-out Processes

Document check-in/check-out and document locking, to coordinate the simultaneous editing of a document so one person's changes don't overwrite another's.

AS10.20 Document Reproduction

Reproducing, printing, scanning or finishing documents.

AS10.20.10 Copying

Reproducing printed materials to hard copy, CD or other reproductive medium.

AS10.20.15 Finishing

Binding, collating, stapling, etc. of printed documents or presentations.

AS10.20.20 Printing

Printing electronic documents to hard copy.

AS10.20.25 Scanning

Scanning printed materials to various file formats for uses other than reproduction.

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AS15 Docket Services Code Set

Court filing, litigation searching, docket maintenance, company and business name searching, property and title searching, and notary services.

AS15.10 Court Services

Court services including filing, requesting transcripts and litigation searching.

AS15.15 Docket Maintenance

Implementing, maintaining or operating a computerized or manual docket event management system. Includes maintaining tickler files or calendars.

AS15.20 Name or Entity Searches

Company or business name searching and registration (e.g., filing documents, forms, charges, provisional charges).

AS15.25 Notary Services

Notarizing instruments such as transfers and agreements for the sale of real estate, documented gifts, insurance policies, mortgages and deeds, and certificates of service.

AS15.30 Property Services

Property services including searching deeds, titles, mortgages, and surveys documents, obtaining encumbrances and copies of documents, and searching for property owned by a particular person.

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AS20 Communication Services Code Set

The coordination and management of electronic and telecommunication systems.

AS20.10 Electronic Communications Services

The coordination or management of email, calendars, contact information, tasks, or similar communications activities utilizing systems such as Outlook or manual systems.

AS20.15 Telecommunications Services

The coordination or management of phone calls, voice mail messages or conference calls.

AS20.20 Facsimile Services

The coordination or management of facsimile (fax) services.

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AS25 Meetings Coordination Code Set

The planning, management and support of meetings.

AS25.10 Meeting Logistics

Selecting venues, identifying attendees, inviting/scheduling attendees, meeting RSVP tracking, budget determination, menu planning and caterer selection, decoration, booking/procurement and expense management, identification of support services needed and equipment required.

AS25.15 Meeting Setup

Coordinating of setup and take-down of equipment, room arrangement, rental scheduling (delivery and pickup) and installation of decoration. Also includes the handling of meal/refreshment service items and food/beverage service.

AS25.20 Meeting Support

Meeting support. Includes reception duties, meeting room management, personnel activities (technology support, hospitality, janitorial and/or greeter personnel), supplies management, and attendee request management (last minute requests for special items such as whiteboards, flipcharts, laser pointers, microphones, printouts, etc. not identified in Meeting Logistics or coordinated during Meeting Setup).

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AS30 Travel Management Code Set

The planning, management and support of travel activities.

AS30.10 Travel Planning

The coordination of travel arrangements such as hotel, airline, vehicle rental, airport ground transportation, car services, bus chartering, etc.

AS30.15 Rewards Program Management

The establishment and maintenance of group travel reward programs (including business credit card reward points programs, corporate reward programs for hotels, airlines and vehicle rental companies, and coordination of benefits to redeem corporate rewards for administrative or other non-reimbursable travel).

AS30.20 Preferred Travel Vendor Management

The management of memberships in travel-related organizations (corporate housing vendors, extended-stay facilities, expatriate housing services, corporate time-share vendors, charter flight services, etc.). Management of the negotiation of rates at area hotels. Relationship management with outsourced travel agencies, travel services, and corporate travel brokers.

AS30.25 Group Travel Management

The procurement of hotel room blocks, group airfare rates, rental vehicle pricing or other travel-related expenses.

AS30.30 Travel Readiness Management

The coordination of travel-related pre-check programs (e.g. TSA PreCheck, Global Entry), management of passport and visa related services, management of travel-related insurance programs, oversight of interoffice travel information (e.g. temporary amenities, lodging, directions, office access, parking), and management of information related to foreign travel (e.g. immunization, identification requirements, customs, culture, currency, language, and translation services).

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AS35 Facilities Management Code Set

Processes that encompass multiple disciplines intended to ensure functionality of the built environment by integrating people, place, process and technology.

AS35.10 Operations and Maintenance

Assessing the condition of the facility and managing facility operations and maintenance activities. It includes occupant services (parking, janitorial services, food services, concierge, facility helpdesk, security and safety), maintenance contracts, and operational planning requirements (temperature control, lighting, equipment replacement, etc.).

AS35.10.10 Assess

Managing the assessment of building systems, structure, interiors, exteriors, and grounds condition.

AS35.10.15 Operations

Managing the acquisition, installation, operation, maintenance and disposal of building systems, and structural, interior, exterior and grounds elements. It includes maintaining relations with landlord/property manager regarding maintenance and related occupancy issues.

AS35.10.20 Occupant Services

Managing occupant services (parking, janitorial services, food services, concierge, facility helpdesk, security and safety).

AS35.10.25 Safety and Security

Assuring enterprise and employee safety and security. Includes processes to prevent and/or mitigate loss, risk to or from personnel, threats to its physical assets, damage to its technology and intellectual property, and risks arising from all elements surrounding the work environment.

AS35.10.30 Maintenance

Managing the maintenance contracting process.

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AS35.10.35 Operational Planning

Developing, recommending and managing the facility's operational planning requirements (temperature control, lighting, equipment replacement, etc.).

AS35.15 Lease Administration

Acquiring, allocating, approving and managing lease space based on identified needs and in compliance with established guidelines to ensure efficient use of lease space.

AS35.15.10 Research and Analysis

Detailed market and feasibility studies, key property trends research, demand and supply analyses, alternatives based on project viability, and other issues such as insurance claims, tenant analysis, market analysis, competition, etc.

AS35.15.15 Negotiations

Lease renewals and new leasing contracts including due diligence (physical, legal, financial) of potential properties.

AS35.15.20 Lease/Portfolio Management

Property portfolio analysis, structure, category and distribution analysis, data management and comprehensive lease audits, lease expiry profiles and renewals negotiations, advise on premises consolidation, procurement of premises, lease negotiations, etc., and management of property disposal process.

AS35.20 Real Estate and Property Management

On-going communication, comprehensive marketing and advertising, thorough tenant screening and selection, full-service leasing, timely rent collection, regular inspections, cost-effective and reliable maintenance, strict and compliant evictions, and comprehensive accounting.

AS35.25 Environmental Stewardship and Sustainability

An environmentally sustainable organization seeking to participate within its community and seeking to balance economy, society and environment within its operations.

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AS40 Mail and Messenger Services Code Set

The handling of mail or deliveries. It includes the review of incoming mail, processing of incoming and outgoing mail, shipping, and internal and external deliveries (excludes court runs).

AS40.10 Delivery Services

Internal or external delivery or messenger runs (excluding court runs).

AS40.15 Mail Processing and Review

Sorting, scanning, organizing or otherwise processing incoming and outgoing mail, packages or other shipments. It includes reviewing incoming mail, annotating with comments, associating with appropriate file, or other forms of pre-work or organization.

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BD10 Product (Service) Development Code Set

The creation of products with new or different characteristics that offer new or additional benefits to the customer. Product development may involve modification of an existing product or its presentation, or formulation of an entirely new product that satisfies a newly defined customer want or market niche.

BD10.10 Competitive Intelligence

Collecting and analyzing information about competitors' strengths and weaknesses in a legal and ethical manner to enhance business decision-making.

BD10.10.10 Market Research

The identification of a specific market and measurement of its size and other characteristics.

BD10.10.15 Product Research

The identification of a need or want and the characteristic of the goods or services that will satisfy it.

BD10.10.20 Consumer Research

The identification of the preferences, motivations, and buying behavior of the targeted customer.

BD10.10.25 Data Collection and Analysis

The collection and analysis of marketing, product, and consumer information from direct observation of the consumers, mail surveys, interviews, and from published sources.

BD10.15 Business Intelligence (BI)

Applying a set of techniques and tools for the transformation of raw data into meaningful and useful information for business analysis purposes. BI technologies are capable of handling large amounts of unstructured data to help identify, develop and otherwise create new strategic business opportunities.

BD10.15.10 Multidimensional Aggregation and Allocation

The processing of data from many different data sources in a resource (computer memory) efficient way.

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BD10.15.15 Denormalization, Tagging and Standardization

The application of various methods of data enhancement and manipulation to facilitate queries and improve search and analytical performance.

BD10.15.20 Real-time Reporting and Alerts

Delivering business intelligence (BI) or information about business operations as they occur (also known as real-time business intelligence (RTBI)).

BD10.15.25 Unstructured Data Sources

The interfacing with data that cannot be stored in predictably ordered columns and rows; irregularly or randomly repeated column patterns that vary from row to row; or the knowledge that business users have about future business trends.

BD10.15.30 Group Consolidation, Budgeting and Forecasts

The consolidation and centralization of financial information, documenting how the overall plan will be executed month to month, specifying expenditures, and using accumulated historical data to predict financial outcomes for future months or years.

BD10.15.35 Statistical Inference

Deducing properties of an underlying distribution of data.

BD10.15.40 Probabilistic Simulation

Explicitly representing uncertainties by specifying inputs as probability distributions to quantitatively represent uncertainties in simulations.

BD10.15.45 Key Performance Indicators

A type of measurement known as a performance indicator or key performance indicator (KPI).

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BD10.15.50 Version Control

Managing changes to documents, computer programs, web sites, and other collections of information (also known as revision control or source control).

BD10.15.55 Process Management

The application of knowledge, skills, tools, techniques and systems to define, visualize, measure, control, report and improve processes with the goal to meet customer requirements profitably.

BD10.15.60 Open Item Management

Monitoring and analyzing transactions to prompt predetermined actions at a specific time or if predetermined criteria exist.

BD10.20 Product Analysis

The analysis of products and services to identify new or different characteristics that offer new or additional benefits to the customer.

BD10.25 Product Refinement

The refinement or enhancement of products or services to exploit characteristics that offer new or additional benefits to the customer.

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BD15 Sales Code Set

Interpersonal and public interactions with prospects and customers to promote collective or individual abilities, educate regarding specific services being offered or sought, and obtain commitments to acquire said services.

BD15.10 Sales Strategy

A plan for selling products and services and increasing profits. Sales strategies identify pursuit opportunities regarding existing and potential clients as well as referral sources.

BD15.15 Sales Forecasting

The process of estimating future sales to enable informed business decisions, predict short-term and long-term performance and set performance goals. Forecasts can be based on past sales data, industry-wide comparisons, and economic trends.

BD15.20 Relationship Development and Management

The interpersonal interaction (one-on-one meetings, telephone calls, networking, etc.) that you engage in with prospects and customers to promote collective or individual abilities, educate regarding specific services being offered or sought, and obtain commitments (closing) to acquire said services.

BD15.25 Proposals

The development of responses to panel opportunities, request for proposals (RFPs) or tenders, formal proposals, pitch books or similar documents used to generate new business opportunities.

BD15.25.10 Qualification

Determining the quality and appropriateness of the organization seeking the business opportunity. Alignment with strategic and financial objections are often among considerations.

BD15.25.15 Development

The collection of required information and producing the proposal or response in the required format.

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BD15.25.20 After-Action Reviews

The review and analysis of results from proposal efforts to learn more about contributors to the outcome (positive or negative).

BD15.30 Client and Relationship Management

Managing the relationship between the practitioner and a person or organization using the services of a lawyer.

BD15.30.10 Relationship Management

Managing and supervising client/customer relationships. It includes assigning of resources, defining scope of work, and establishing the operational and financial terms of service. Includes adherence to defined requirements for reporting, staffing, etc.

BD15.30.15 Client Service

The provision of service to clients before, during and after a purchase. Client service concerns the priority an organization assigns to client service relative to components such as product innovation and pricing.

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BD20 Marketing Code Set

Communication of the value of a product, service or brand to customers or consumers for promoting or selling that product, service, or brand.

BD20.10 Listings and Directories

Maintaining the accuracy of and participation in listing and directories of firm information, practitioner skills, abilities and biographical information.

BD20.15 Honors and Awards

Obtaining and maintaining accurate information regarding firm or practitioner honors, awards, and recognitions in order to assure appropriate promotion for marketing purposes.

BD20.20 Database Management (CRM)

Operating computer programs or database management systems (DBMS) that catalog, index, locate, retrieve, and store data, maintains its integrity, and outputs it in the form desired by a user. Its overall purpose is to organize and manage data, and make it available on demand.

BD20.25 Graphic Design

Designing and producing graphical content for internal and external communications including templates, client alerts, newsletters, event materials, announcements, pitches, brochures, reports, fact sheets, posters, web and other marketing materials.

BD20.30 Content Management

Managing the strategy, creation and distribution of messages or statements to the public by any means such as web site, social media, blog, print, radio, television, etc.

BD20.30.10 Content Strategy

Developing and the strategy governing the development and distribution of messages or statements to the public.

BD20.30.15 Content Development

Development of marketing or promotional materials, content and messages.

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BD20.30.20 Content Distribution

Communicating or making available a message or statement to the public by any means such as print, radio, television, internet, etc.

BD20.35 Public (Community) Relations

Managing the spread of information between an individual or an organization and the public, generally at no cost, to inform the public, prospective customers, investors, partners, employees and other stakeholders and ultimately persuade them to maintain a certain view about the organization, its leadership, products, or decisions.

BD20.40 Media Relations and Strategy

Linkages with the media personalities and resources that facilitate an organization receiving favorable, timely, and widespread editorial coverage. Use of appropriate media mix to achieve optimum results from an advertising campaign. It includes assessing value or return on investment (ROI) from advertising.

BD20.45 Event Planning and Management

Planning and coordinating events. It includes budgeting, scheduling, staff selection, site selection, acquiring necessary permits, coordinating transportation and parking, arranging for speakers or entertainers, managing registrations/attendance, arranging decor, event security, managing invitations and invitee lists, catering and emergency plans.

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FN10 Credit and Collections Code Set

The accumulation of transactions (time keeping), the presentation of transactions for payment (billing), and the collection and recording of receivables.

FN10.10 Service Pricing

Developing, managing and approving billing or cost of service arrangements (guidelines, rates, terms, Alternative Fee Arrangements (AFA's), etc.). It includes global or regional pricing policy development and management of MSA's (Master Service Agreements).

FN10.15 Invoicing (Billing)

Creating and submitting a bill for services and related costs to clients/customers. Includes producing transmittal letters and related reports, metrics, or similar analysis and adherence to established guidelines. Also includes the transmission of billing information in various forms (paper, electronic, etc.).

FN10.20 Accounts Receivable

Tracking and collecting funds owed from the sale of products or services on credit.

FN10.25 International Finance

Addressing international monetary and financial business affairs so that company accounts are understandable and comparable across international boundaries. Includes handling conversions of funds to different currencies and addressing conversion rates to minimize exchange shortfalls.

FN10.30 Banking Relationships

Managing relationships with banks or other financial institutions. Includes managing a line of credit and other forms of debt.

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FN15 Financial Operations Code Set

General accounting and financial operations.

FN15.10 Accounts Payable

The processing of expense reimbursements, vendor payments, and other forms of money owed to suppliers for good or services rendered.

FN15.15 General Accounting

Account reconciliations, closing of books, journal entries, accruals, and related activities.

FN15.20 Trust Accounts

Managing trust and escrow accounts. Includes controlled monies and other interest-bearing accounts (IOLTA) and related regulatory reporting.

FN15.25 Payroll Administration

Ensuring that all employees are paid accurately and timely with the correct withholdings and deductions, as designated within the respective legal and regulatory jurisdiction where employment occurs. This includes salary payments, tax withholdings, and deductions from paychecks. This category also includes Accurate and timely payments of taxes and withholdings to applicable governmental agencies and taxing authorities.

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FN20 Financial Planning Code Set

Processes related to budgeting, forecasting, financial analysis, reporting and audit services. Entails analyzing short-term and long-term money flows to and from an organization to optimize profits and make the best use of available funds.

FN20.10 Budgeting

Developing financial models that represent a planned outcome of the future as defined by the business objective. It outlines where funds will be spent and how that spending will be financed. Types of budgets include operating, capital, cost center, practice, and legal matter (case).

FN20.15 Forecasting

Developing and analyzing statistics, data and models to predict financial results or the financial impact of strategic management decisions or operations.

FN20.20 Financial Analysis

Analyzing financial statistics and data to identify historical performance, project future results, and recommend changes to increase the likelihood of achieving established goals. Includes defining objectives to provide metrics and dashboards that drive efficiencies and optimize spend, etc.

FN20.25 Financial Reporting

Establishing parameters and outputs to meet established reporting requirements. This includes data mining, query development, and related activities. Also includes participation in surveys related to financial performance and statistics.

FN20.30 Audit Services

Examining financial records and reporting activities. An audit may be conducted for disclosure, compliance, taxation, legal or other purposes. The examiner will check for accuracy and full representation of financial activities and claims.

FN20.35 Capital Management

Ensuring an organization is able to continue its operations and that it has sufficient ability to satisfy both maturing short-term debt and upcoming operational expenses. The management of working capital involves managing inventories, accounts receivable and payable, and cash.

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FN25 Tax and Compliance Code Set

Meeting all reporting, tax, and business operation requirements.

FN25.10 Tax and Reporting Services

Meeting local, state, and federal income, property or other tax and reporting requirements. Includes management of corporate, partner, shareholder, and similar tax and financial reporting requirements.

FN25.15 Regulatory and Compliance Monitoring

Ensuring that regulations and sanctions imposed by a government agency are being met. Includes monitoring varying transaction types (cards, wire, ACH, etc.) for potential fraud, abuse or risk payments and meeting both internal and external reporting requirements.

FN25.20 Business Insurances

The management of all business insurances other than professional liability (see RM35).

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HR10 Recruitment and Selection Code Set

Processes related to searching for and obtaining a pool of potential candidates with the desired knowledge, skills and abilities necessary to effectively conduct the business of the legal operation. Includes processes necessary to effectively facilitate the selection of the most appropriate candidates to fill job vacancies against defined position descriptions and specifications. Affirmative Action, Equal Employment Opportunity and Diversity regulations, programs and policies are integrated into these activities.

HR10.10 Staffing Management

Sourcing, recruiting, hiring and retaining the human resources needed to support business objectives. It includes processes for management of pre-employment screening and testing, contingent staffing, retention strategies, recruitment technologies, recruitment process outsourcing, and workforce planning.

HR10.15 Recruitment Strategy

Developing and maintaining a recruitment strategy to ensure the organization has the necessary knowledge, skills and abilities (KSA's) to meet current and future strategic and operational requirements. It includes adherence to internal and external (i.e. government, client, customer) staffing requirements (i.e. contractor/sub-contractor requirements, diversity goals, professional credentials, etc.).

HR10.20 Applicant Recruitment

Searching for and obtaining a pool of potential candidates with the desired knowledge, skills and abilities and the use of processes and technologies designed to facilitate the applicant recruitment process.

HR10.25 Eligibility Review and Certification

The selection of the most appropriate candidates to fill job vacancies against defined position descriptions and specifications. It includes interviews, testing, background checks, verifications, employment eligibility/foreign worker sponsorship activities and credentialing.

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HR15 Compensation and Benefits Code Set

Various forms of direct and indirect employee compensation used to attract, recognize and retain workers. It includes designing and administering benefits such as paid leave, insurance, retirement plans and various employee services, as well as various benefits mandated by international, federal, state and local laws and regulations.

HR15.10 Compensation Programs

The various forms of direct compensation that employers use to attract, recognize and retain workers. Includes designing and administering compensation models including base pay, differential and incentive pay, and overtime.

HR15.15 Insurance Programs

Designing, administering and managing benefit offerings (Medical, Long and Short-Term Disability, Life, etc.). Includes The transfer of information related to withholding and deduction of insurance costs (when applicable) to processes in the Payroll Administration (CP15) category of the Compensation and Payroll (CP) substantive area.

HR15.20 Retirement Programs

Designing, administering and managing retirement income benefit offerings (401(k), profit sharing, defined contribution, etc.). Includes The transfer of information related to withholding and deduction of retirement planning costs (when applicable) to processes in the Payroll Administration (CP15) category of the Compensation and Payroll (CP) substantive area, as well as the Employment Advisory Services (HA30) category of the HR Advisory Services (HA) substantive area where such information is documented.

HR15.25 Non-Compensation Programs

Designing, administering and managing non-compensation benefit offerings (paid time off (PTO), wellness, etc.). Includes The transfer of information related to tracking and reporting of non-compensation program information (when applicable) to processes in the Payroll Administration (CP15) category of the Compensation and Payroll (CP) substantive area, as well as the Employment Advisory Services (HA30) category of the HR Advisory Services (HA) substantive area where such information is documented.

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HR15.30 Mandated Programs

The administration of mandated benefit programs (unemployment, workers' compensation, etc.).

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HR20 Employment Relationship Management Code Set

Analyzing, developing, implementing and administering the employer-employee relationship. Includes assessing the relationship; managing employee performance; ensuring that relations with employees comply with applicable international, federal, state and local laws and regulations; and resolving workplace disputes.

HR20.10 Counseling/Performance Management

Employee actions that focus on a specific incident, a particular aspect of an employee's performance, or the employee's overall performance or conduct.

HR20.10.10 Counseling

The provision of assistance, guidance, or recommendations in resolving personal, social, or psychological problems and difficulties.

HR20.10.15 Grievance and Complaint Resolution

The investigation and fair and equitable resolution of complaints, misunderstandings, and grievances for employees, owners, and business partners associated with the organization's business operations.

HR20.10.20 Performance Management

An ongoing process of communication between a supervisor and an employee that occurs throughout the year, in support of accomplishing the strategic objectives of the organization.

HR20.15 Performance Systems

The administration and management of evaluation or performance management systems.

HR20.20 Engagement

Employee recognition, special service rewards, or similar employee engagement activities.

HR20.25 Diversity/Inclusion Awareness

Understanding the differences and similarities that make individuals unique, such as individual and organizational characteristics, values, beliefs, experiences, backgrounds, preferences and behaviors, as well as how organizations can leverage those qualities in support of business objectives. It

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includes identification of training needs in conjunction with processes in the Training and Development (TD) substantive area, as well as the development and implementation of policies in the Policy Management (HA10) category of the HR Advisory Services (HA) substantive area.

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HR25 Training and Development Code Set

Teaching or developing any skills and knowledge that relate to specific useful and/or required competencies. This may include new hire job training, technology competency, soft skills enhancement, professional development/regulatory compliance education, or employment-related required training.

HR25.10 Program Development

The development of programs to improve professional, technical, and personal skills and abilities. Also includes development of programs to educate members of legal operations about policies pertaining to harassment, anti-insider trading, diversity and inclusion and other employment-related issues.

HR25.15 Delivery

The delivery of programs to improve professional, technical, and personal skills and abilities. Also includes delivery of programs to educate members of legal operations about policies pertaining to harassment, anti-insider trading, diversity and inclusion and other employment-related issues.

HR25.20 Assessments

The development and administration of testing methods and systems designed to assess competencies desired or required for employment or advancement within a legal operation.

HR25.25 Plan Development and Monitoring

The establishment and maintenance of learning management systems (LMS). It includes development of skill and competency standards desired or required for various populations within the legal operation.

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HR30 HR Consulting Code Set

Processes anticipated to help the organization manage and retain valuable employees, and to increase or maintain control over employment issues.

HR30.10 Policy Management

Developing, implementing, or revising policies and procedures, including employee handbooks, policy materials, advisory posters, etc. It includes activities that ensure all members of a legal operation are following policy-related educational requirements, have sufficient access to policy information, have been made effectively aware of policies and policy changes, and efficiently maintain proof of such activities and compliance actions.

HR30.15 Staffing Management

The strategies, tactics and processes for sourcing, recruiting, hiring, retaining, and terminating the human resources needed to support business objectives. Includes processes for management of pre-employment screening and testing, contingent staffing, retention strategies, recruitment technologies, recruitment process outsourcing, staffing metrics, and workforce planning.

HR30.20 Global Human Resources

HR operations within the worldwide context—including U.S.-based entities doing business internationally and non-U.S.-based entities operating in their own locale or worldwide. Includes matters such as management of global workforces, expatriation and repatriation, HR practices and laws around the world, and those arising in specific countries and regions. Processes may be integrated with other substantive areas to ensure compliance with international standards, practices and regulations.

HR30.25 Resource Planning

Classification plan administration, classification analysis, staffing (ratio) analysis, succession planning, and similar activities. It includes the assessment of temporary, short-term and long-term outsourcing opportunities.

HR30.30 Employment Advisory Services

Advising regarding hiring, evaluation, documentation and termination decisions. It includes compensation and retention programs and negotiating and documenting offer letters, employment, consulting, career planning, non-compete, non-solicitation and separation agreements and other related documents.

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HR30.35 Labor Relations

Formal labor-management relations such as protected activities, unfair practices, union organizing, recognition and representation elections as well as collective bargaining and contract administration.

HR30.40 Safety and Security

Enterprise and employee safety and security. Includes processes to prevent and/or mitigate loss, risk to or from personnel, threats to its physical assets, damage to its technology and intellectual property, and risks arising from all elements surrounding the work environment. Includes following general OSHA requirements.

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IT10 IT Services Code Set

Processes and practices that gauge the end-to-end delivery of IT solutions rather than their development. These processes measure the operational efficiency of a solution in meeting the service level expectations of the end-user and how technical IT manages these systems to deliver the desired service level.

IT10.10 IT Solution Development

Developing, testing and debugging an application or program, or a networking or hardware solution.

IT10.15 User Support Services

Providing onsite, remote or helpdesk user support and user account administration. It includes development, use and maintenance of knowledge databases, incident ticketing systems, issue reporting tools and the capture of issue resolutions.

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IT15 IT Infrastructure Code Set

The composite hardware, software, network resources and services required for the existence, operation and management of an enterprise IT environment.

IT15.10 IT System Integration

Joining different subsystems or components into one inter-connected system. It ensures that each integrated subsystem functions as required. It is also used to add value to a system through new functionalities provided by connecting functions of different systems.

IT15.15 Computer/Copier Management

Managing, monitoring and optimizing all computing devices (includes reprographic equipment) for performance, availability, device security and/or any base operational requirement. Includes manual and automated administrative processes.

IT15.20 Peripheral Management

Installing, configuring and maintaining internal or external devices that connect directly to a computer but do not contribute to the computer's primary function, such as computation of data. These devices are intended to help end users interface with an information technology system or subsystem.

IT15.25 Network Management

The administration, operation, and reliable maintenance of computer network systems. Strictly speaking, network management does not include hardware. Rather, it concerns the reliability, accessibility, security, efficiency, capacity, and capabilities of data transfer channels.

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LM10 Organizational Management Code Set

The responsibilities of leadership in relation to the performance of the organization, including those of senior executives. There is a focus on relationships and critical areas of organizational functioning that should be led by members of the leadership team as individuals. These activities also identify the senior level operations that underpin peak organizational performance, including governance, risk, strategy, finance and management relations.

LM10.10 Strategy

Formulating objectives, practices and policies aimed at meeting short and long-term organizational needs and opportunities. It includes the strategic planning process, the communication of the strategic plan to the organization, and regular monitoring to verify implementation of the strategic plan and the results of that implementation.

LM10.10.10 Development and Approval

Development of the organizations strategic plan including alignment of the business mission, vision and values with the pursuit of a target audience (clients) and the production of services. Should include recognizing relevant changes within the organization; developing a capability to predict the impact of changes external to the organization; and measuring, analyzing and understanding the direct and indirect effects of initiatives on the performance of the organization.

LM10.10.15 Communication

The development and implementation of communications designed to meld employees into the strategy in a way that daily decisions and actions align with the organizations strategy. This includes top down approach through the various layers of management with minimal loss of the message being conveyed; expressing and showing what value the employee will receive with their buy in; being aware of misalignments throughout the duration and relaying that information to bring back compliance; level the communication and strategic plan to a place that is better understood by the employees as opposed to keeping it on a higher level leaving room for interpretation.

LM10.10.20 Analysis and Monitoring

Periodic comparison of the organizations performance against its approved strategic plan. Includes identification of instances where alignment is good; where performance is misaligned with

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strategy; and where modifications to the approved strategy are warranted based on new information.

LM10.15 Culture

The process of defining, supporting and monitoring a set of enduring and underlying assumptions and norms that determine how an organization operates.

LM10.15.10 Define

Activities resulting in the identification and establishment of a coherent set of shared values and beliefs that shape behavior across the organization. Includes modifications to stated values as the result of periodic reviews and assessments.

LM10.15.15 Support

Activities associated with the establishment of policies, guidelines and practices that support and communicate the organizations values. Includes activities to ensure these values are reflected in the senior leadership teams across the organization through attitude, interactions and possibly written policies.

LM10.15.20 Monitor

The periodic audit of corporate culture by reviews factors such as 1) Retaliation factors: An employee's willingness to address matters with their immediate supervisor or utilize compliance channels to report issues, 2) Rewards and Incentives: Recognition, reward, and incentive programs that convey positive cultural messages, and 3) Management Operating Style: By analyzing turnover and retention and conducting employee interviews, leadership can determine whether the turnover rate is attributed to organizational transition or corporate culture weaknesses.

LM10.20 Governance Policies and Assurances

The framework of rules and practices by which leadership ensures accountability, fairness, and transparency in an organization's relationship with its all stakeholders (financiers, customers, management, employees, government, and the community).

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LM10.20.10 Policy Establishment

Establishing and maintaining the explicit and implicit contracts between the organization and the stakeholders for distribution of responsibilities, rights, and rewards.

LM10.20.15 Ethics and Corporate Responsibility

Developing and integrating organizational values and their expression in business decision making and behavior. This emphasizes adherence to the Rules of Professional Ethics as determined by the American Bar Association, as further defined or superseded within specific jurisdictions (e.g. state, regions, countries), as well as other legal requirements.

LM10.20.20 Conflict Resolution

Reconciling the sometimes-conflicting interests of stakeholders in accordance with their duties, privileges, and roles.

LM10.20.25 Compliance

Procedures for proper supervision, control, and information-flows to serve as a system of checks-and-balances.

LM10.25 Performance Monitoring

Assuring organization resources are being properly used in pursuit of organizational goals and strategy.

LM10.25.10 Evaluation

Evaluating the organizations performance against stated performance goals.

LM10.25.15 Analysis

Analysis of performance results to identify instances where performance is falling short, meeting or exceeding stated performance goals.

LM10.25.20 Reporting

Reporting of analysis findings to organizational leadership so required modifications to performance goals can be implemented and reporting to operation leadership so positive performance can be encouraged and negative performance can be corrected.

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LM10.25.25 Monitor

Ongoing monitoring of actions following the submission of performance reports to assure appropriate actions have been taken.

LM10.30 Risk Standards

Identifying, assessing and ranking the risks faced by an organization in regard to financial performance, operations and compliance with laws and regulations.

LM10.30.10 Standards

Establishing and maintaining the standards of acceptable risk to the organization.

LM10.30.15 Monitoring and Investigation

Monitoring operations and investigating occurrences of behavior resulting in the organization being exposed to higher than acceptable levels of risk. Includes utilization of this information to modify or adjust acceptable risk standards as required.

LM10.30.20 Reporting

Reporting of investigative findings to operation leadership so corrective action can be implemented as required.

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LM15 Operational Management Code Set

The design, execution, and day-to-day control of personnel and other resources for producing and delivering desired goods and services that support the organization's business strategy.

LM15.10 Personnel Management

The day-to-day management and supervision of personnel. Includes monitoring work product quality and quantity, performance assessments, personnel and resource transfers, and facilitating collaboration and team building to maximize productivity.

LM15.15 Policies and Procedures

The development, review, and maintenance of operational policies, procedures and guidelines formulated and enforced by the management of an organization, to direct and limit the actions of its employees and agents, in pursuit of the organizations long-term goals and regulatory and compliance requirements.

LM15.20 Strategic Alignment

Achieving a state where an organization’s strategic business objectives (which commonly include improved financial performance or marketplace competitiveness) are supported by the operational performance. Strategic alignment correlates the business operations to the strategy, mission and goals of the organization.

LM15.20.10 Correlate and Assess

The process of assessing the amount of correlation between an organizations operation and its strategic objectives.

LM15.20.15 Develop Action Plans

Identification of specific actions (road maps) designed to improve the correlation between an organizations operation and its strategic objectives. Activities may include changing behaviors; innovation that is responsive to the target market; reducing operating costs while increasing revenue; recognizing and rewarding employees who adopt new behaviors and implement new decision-making approaches based on company priorities; separating and differencing the company form that of the competition.

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LM15.20.20 Implement Action Plans

Implementing the specific actions identified in the Action Plan intended to correlate an organizations operation and strategic objectives.

LM15.20.25 Measure and Improve

Measuring and analyzing an organizations operation and performance by comparing to the predetermined indicators of successfully meeting the company goals; decide if the goals have been met and developing adjustments to operational guidelines designed to achieve the desired correlation between operations and strategy.

LM15.25 Information Management

Documenting and managing operational business information. It includes the protection of personally identifiable information (PII or PHI) and the prevention of unauthorized access to organizational information systems and confidential information.

LM15.30 Industry Surveys

Collecting and submitting statistical and operation information to facilitate the organization's participation in sponsored industry surveys and analysis programs.

LM15.35 Procurement

Obtaining or buying goods and services. The process includes preparation and processing of a demand as well as the end receipt and approval of payment.

LM15.40 Supplier Relationship Management (SRM)

Specifying, obtaining and managing products or services provided by suppliers (includes contractors, subcontractors, vendors and business partners). The purpose of supply management procedures is to keep costs stable and use resources effectively to increase the profits and efficiency of the business or organization.

LM15.40.10 Strategy

Defining the long-term strategy and vision for SRM (Supplier Relationship Management) and developing a common understanding of the scope of needed SRM practices including

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portfolio planning and management and supplier lifecycle concept. Identifying which suppliers are strategic, which are the non-strategic suppliers, and how those groups should be managed differently to assure strategic suppliers are delivering strategic value.

LM15.40.15 Business Case

Developing a well-structured argument that captures the reasoning for SRM (Supplier Relationship Management) implementation that focuses on the organization's most pressing supplier management pain-points and challenges, determining the viability of engaging a service provider versus internal resources, and recognizing the value of applying SRM best practices.

LM15.40.20 Processes and Policies

Developing a common set of processes, policies, and tools governing the on-going day-to-day management of suppliers. It includes the definition of roles and responsibilities for the various aspects of supplier management to bring the right skills and focus and to avoid redundant, non-value-added activities.

LM15.40.25 Selection

Defining supplier selection criteria, understanding the supplier lifecycle, and performing analysis of pre-engagement activities. Engaging procurement, legal, and risk management groups during the selection process. It includes the due diligence process, supplier evaluation, and management of the RFI (request for information), ITT (Invitation to Tender), and RFP (Request for Proposal) processes to assure the creation of real accountability and incentives for suppliers to deliver business value.

LM15.40.30 Contracts and Agreement

Developing contractual agreements through the negotiation process to achieve mutually acceptable terms and conditions.

LM15.40.35 Management

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Managing the supplier relationship and the delivery of services to meet the needs of the organization to keep costs stable and use resources effectively and efficiently.

LM15.40.40 Performance

Establishing performance assessment criteria, analytics and monitoring of financial and operational performance. It includes working with the supplier on SLA's (service level agreements) and KPI's (key performance indicators) to develop processes that enhance the capabilities of important suppliers to boost performance, direct supplier investment in new services, and assure accountability for performance in areas that drive the most value for the organization.

LM15.40.45 Compliance

Monitoring the contractual relationship, addressing related problems, incorporating necessary changes or modifications in the contract, ensuring both parties meet or exceed each other's expectations, and actively interacting with the supplier to achieve the contract's objective(s). Includes the "transfer" of requirements imposed on the organization by others.

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LM20 Investor (Owner) Relations Code Set

Interaction between leadership and investors (owners). This is the inward focus leadership needs to consider in carrying out leadership responsibilities. It reflects moves that directly affect shareholder or company value.

LM20.10 Communications

Communications regarding the company's financial strategy and performance. Includes communication regarding the broader strategic direction of the corporation and intangible values such as the company's policy on corporate governance or corporate social responsibility to ensure that the image of the corporation is maintained in a cohesive fashion.

LM20.15 Monitoring

Monitoring current and upcoming issues that an organization or issuer may face, particularly those that relate to fiduciary duty and organizational impact (i.e. legal liability claims, corporate downsizing, changes in management or internal structure, liability issues and disasters).

LM20.20 Analysis

Analysis of information regarding internal and external performance or activities that may impact shareholder or company value. Includes activities undertaken with the Corporate Secretary and other officers on legal and regulatory matters that affect shareholders.

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LM25 Leadership Relations Code Set

The practices governing the management and operation of the leadership team. Activities encompass organization and roles, procedures and process, and legal standards.

LM25.10 Organization and Roles

Establishment of the organizational structure, selection and appointment of individuals to hold positions, establishment of performance standards, and development of succession plans for leadership positions within the organization.

LM25.10.10 Structure

Development and maintenance of senior leadership organizational structure and positions. These activities include determination of the size, term and makeup of management committees and subcommittees as well as establishment and modifications to the C-Suite positions for the organization.

LM25.10.15 Selection and Appointment

Selection and appointment of individuals to serve in senior leadership positions. These activities include establishment and maintenance of the selection process, required competencies and the associated due diligence.

LM25.10.20 Performance and Remuneration

Establishment of performance standards and compensation programs for senior leadership positions. These activities include communication of performance standards and periodic assessments.

LM25.10.25 Succession

Development and execution of succession plans for senior leadership positions. These activities periodic review and refinement of succession plans.

LM25.15 Procedures and Process

Establishment and maintenance of the procedures and processes governing the operation of the organizations senior leadership team.

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LM25.15.10 Meetings

Establishment of schedule for regular meetings including development and communication of agendas and production and distribution of meeting minutes.

LM25.15.15 Deliberations

Identification of the parameters requiring and controlling the limits of deliberation periods.

LM25.15.20 Decision Making

Establishing parameters of the decision-making process. Includes defining the appropriate role of external advisers to the process.

LM25.20 Legal Standards

Researching, adopting and assuring adherence to legal standards that apply to the organizations leadership team.

LM25.20.10 Research

Researching and analyzing legal standards that may apply to the organizations leadership team.

LM25.20.15 Adoption

Establishing and adopting legal standards that apply to the organizations leadership team.

LM25.20.20 Compliance

Communicating and monitoring compliance with established legal standards of the organizations leadership team.

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LM30 Stakeholder Relations Code Set

Interaction between leadership and non-owner stakeholders (customers, management, employees, government, and the community). This is the outward focus leadership need to consider in carrying out leadership responsibilities. It reflects moves beyond shareholders to a broader range of stakeholders.

LM30.10 Spokesperson Selection

The selection of individuals authorized to communicate on the organizations behalf to stakeholder groups. This includes the parameters of the authorization and the development of succession plans for each spokesperson role.

LM30.15 Goals and Objectives

Development and maintenance of organizational goals and objectives related to stakeholder accountability. Includes researching, adopting and assuring adherence to legal standards that apply to the organizations responsibilities to stakeholders.

LM30.20 Planning

Development of communication and action plans designed to create positive relationships with stakeholders though the appropriate management of their expectations and performance of agreed objectives. Includes reputation and crisis management activities.

LM30.25 Implementation

The implementation of communication and action plans designed to create positive relationships with stakeholders though the appropriate management of their expectations and performance of agreed objectives.

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LM35 Strategic Initiatives Code Set

The means through which a vision is translated into practice. Collections of finite-duration discretionary projects and programs, outside of the organization's day-to-day operational activities, that are designed to help the organization achieve its targeted performance.

LM35.10 Knowledge Management

Organizing, managing and mobilizing the knowledge and expertise of an organization. KM also includes the processes, technology and culture within an organization that facilitates and supports successful knowledge management.

LM35.10.10 Assess and Evaluate

Identifying and evaluating the existing state of knowledge and expertise in the organization, and the supporting processes, technology and culture.

LM35.10.15 Strategy and Planning

Defining and developing a strategy and plan to improve the current state of knowledge management based on the assessment and evaluation performed previously.

LM35.10.20 Implementation

Planning and executing strategies associated with people, process, technology and culture.

LM35.10.25 Measure and Report

Developing metrics and analytics to report on benefits realized from new knowledge, expertise, process, technology and culture strategy.

LM35.10.30 Maintain and Update

Maintaining enhanced levels of expertise, knowledge, processes, technology and culture, and validating against the vision defined previously.

LM35.15 Information Governance

The multi-disciplinary structures, policies, procedures, processes and controls implemented to manage information at an enterprise level, supporting an organization's immediate and future regulatory, legal, risk, environmental and operational requirements.

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LM35.15.10 Information Management

Documenting and managing internal strategic and operational business information. It includes controlling access to information and the protection of personally identifiable information (PII or PHI) and confidential information.

LM35.15.15 Intellectual Property

Capturing and preserving knowledge and operational, creative, and historical artifacts that hold commercial, business, or strategic value (e.g., marketing and branding materials). It includes knowledge management resources, contact information, business development strategies, strategic plans, case management strategies, financial information, policies and procedures.

LM35.15.20 Information Security

Delivering proactive cyber security prevention, protection, and response services. Provides an objective perspective on the current cybersecurity posture of the organization's operational/business networks. Includes management of ethical walls, confidential access controls and the protection of personally identifiable information (PII or PHI).

LM35.15.25 Information Requests

Responding efficiently, consistently, and appropriately to requests for information, including Request for Proposal (RFP) responses, questionnaires, surveys, counsel guidelines, and audits.

LM35.15.30 Mobile Devices/BYOD

Providing guidance on compliance with policies/procedures with respect to acceptable use and security of company-issued and personally owned devices (i.e., “bring your own device” or BYOD).

LM35.15.35 Matter Lifecycle Management

Capturing new engagement information that is organized by areas of law and/or practice groups, including engagement documentation and perpetuating the collection/distribution of

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authoritative information. The process of systematically deactivating matters in matter management systems at the end of formal representations (matter closing) is also part of this umbrella process.

LM35.15.40 Matter Mobility

Moving matters and their associated information into and out of law firms or legal departments; triggered by lateral moves, representation terminations, and other events.

LM35.15.45 Records and Information Management (RIM)

Creating and periodically revising operational guidelines for managing information assets, including file folder structures and taxonomy.

LM35.15.50 Document Preservation and Mandated Destruction

Preserving potentially responsive information, ensuring the suspension of scheduled disposition, and certifying custodial legal hold compliance during the discovery phase of litigation, investigations or audits. Also, the destruction of information as mandated by the court or by agreement among parties.

LM35.15.55 Retention/Disposition

Applying lifecycle management practices to stored information, enacting disposition as authorized, and applying defensible disposition to legacy information.

LM35.20 Organizational Development

Organizational performance and how it develops its human resources. Activities address improving organizational effectiveness and training employees to meet current and future job demands. Also includes change management, coaching, leadership development, succession planning, career development, social networking, measurement systems and outsourcing employee development. Includes the process of knowledge sharing and the transfer of knowledge from departing personnel.

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LM40 Tactical Initiatives Code Set

The means through which a strategy is translated into practice. Collections of short to mid-duration discretionary projects and programs, outside of the organization's day-to-day operational activities, that are designed to help the organization achieve its targeted performance.

LM40.10 Process Improvement (Lean/Six Sigma)

Employing process improvement methodologies and tools (Six Sigma / Total Quality Management, Lean, Workout, Business Process Redesign (BPR), Robotic Process Automation (RPA), Theory of Constraints Plan, Do, Check, Act (PDCA), 5S, Gemba). Goals are to reduce waste and undesirable variation in the process. Includes gate reviews (periodic meetings with stakeholders) and change management planning activities.

LM40.10.10 Define

Initiate the project, form the team, ensure project sponsorship and ownership, set the targets. Define the process to be improved, select the project team, establish the goal, the problem/opportunity, the project scope and timeline, specify value in the eyes of the client, and develop the business case for proceeding. Deliverables include project kickoff, completion of a project charter, Voice of the Client work, and development of an Inputs-Process-Outputs diagram.

LM40.10.15 Measure

Measure the current performance of the process to identify waste and variation. Gain a thorough understanding of the process through mapping and data gathering. Activities include process mapping, data planning and gathering and graphical analysis, selection of focus areas for Analyze phase.

LM40.10.20 Analyze

Analyze the opportunities to identify and verify waste or variation. Examine the focus areas selected in Measure phase to identify and verify waste, defects, and determine root causes. Gather additional data as needed.

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LM40.10.25 Improve

Improve the process by identifying, implementing and validating solutions that address the root causes of the problems confirmed in the Analyze process. Includes generating creative solutions and designing, testing / piloting, and full-scale implementation of ideas to reduce waste and variation.

LM40.10.30 Control

Control the process by implementing methods to maintain a process with an operation that is stable, predictable, and meets identified requirements. Activities include documenting the new process, designing the controls, defining responsibilities and how corrective actions are taken, instituting process ownership and discipline, and ensuring we capture the benefits of the work performed.

LM40.10.35 Gate Reviews

Periodic meetings between the Steering Committee and the project team to ensure key deliverables have been completed in each DMAIC phase.

LM40.10.40 Change Management

The management of transformational activities associated with changes in existing processes or the adoption of new policies or practices.

LM40.15 Project Management

The application of specific project management methodologies - planning, organizing, motivating, and controlling resources to achieve specific goals and meet objectives of tactical projects.

LM40.15.10 Initiation

Determining the nature and scope of the project. Includes understanding the business environment and ensuring necessary controls are incorporated.

LM40.15.15 Planning and Design

Planning time, cost and resources adequately to estimate the work needed and effectively managing risk during project execution. Includes developing the scope statement, selecting

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teams, identifying deliverables and activities, estimating resource requirements, time and cost for activities, developing the schedule and budget, risk planning, and gaining formal approval to begin work.

LM40.15.20 Execution

Completing work defined in the project plan. Involves coordinating people and resources, performing the processes within the project plan, and producing deliverables. Also includes directing and managing project execution, assuring quality of deliverables, managing project team, distributing information, managing stakeholder expectations, conducting procurement, and testing deliverables against the initial design.

LM40.15.25 Monitoring and Control

Observing project execution, identifying potential problems, taking corrective action, and controlling the execution of the project. Also includes measuring the ongoing project activities, monitoring the project variables (cost, effort, scope, etc.), and identifying corrective actions to address issues and risks.

LM40.15.30 Closing

The formal acceptance of the project and its conclusion. Administrative activities include the archiving of the files and documenting lessons learned. Includes completing, settling, and closing each contract (including the resolution of any open items) applicable to the project, and finalizing all activities across all of the process groups to formally close the project.

LM40.20 Risk Management

The identification, analysis, assessment, control, and avoidance, minimization, or elimination of unacceptable risks. An organization may use risk assumption, risk avoidance, risk retention, risk transfer, or any other strategy (or combination of strategies) in proper management of future events.

LM40.20.10 Conflicts Analysis

Analyzing search results and resolving conflict issues by communicating with partners or management and taking agreed upon actions. This would include decisions on whether representations can be accepted.

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LM40.20.15 Conflicts Processing

Reviewing new business requests in relation to conflicts of interest and alignment. Includes communicating with partners or management to clarify potentially inaccurate information, conducting conflict of interest and related searches, and administration of risk assessment and information systems.

LM40.20.20 New Business Analysis

Analyzing prospective engagement information and other business acceptance risk issues, communicating with partners or management, and taking agreed upon actions. This would include producing escalation reports for management for decisions on whether to accept work.

LM40.20.25 New Business Processing

Completing and reviewing new business intake information and processing of new business intake requests. It includes researching new clients/customers (address, passports etc.), reviewing requests in relation to anti-money laundering (AML) and other business acceptance factors, communicating with partners or management to clarify information, and conducting search relating to AML and other business risk. Also includes updating records to reflect changes in parties and scope, approving requests to re-open closed matters, and transferring time between clients and matters, open sub-matters, etc.

LM40.20.30 Ethical Walls (Information Barriers)

Implementing and managing ethical walls. It includes advising on set up procedures, providing consent wording, managing access requests, and removal of information barriers. Also includes advising on when consent is needed, assisting with drafting consent letters, and advising on use of information barriers.

LM40.20.35 Professional Liability and Ethics

Management of professional liability insurance, ethics investigations and other risk management activities. Includes the support of the organization in professional liability investigations, representation of the firm in legal matters,

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providing advice on matters internal to the firm (anti-bribery, corruption, etc.), the coordination of outside interests (approving, maintaining register, etc.), review and approval of engagement letter terms and conditions, and the coordination of practicing certificate and recognized body renewals.

LM40.20.40 Practitioner Compliance Monitoring

Ensuring that all practitioners are properly licensed to practice and meet required continuing education (CLE, CPE, etc.) requirements for their practice. It includes associated internal and external reporting requirements and adherence to engagement requirements such as security clearances, etc.

LM40.20.45 Regulatory and Compliance Monitoring

Ensuring that regulations and sanctions imposed by a government agency are being met. Includes monitoring varying transaction types (cards, wire, ACH, etc.) for potential fraud, abuse or risk payments and meeting both internal and external reporting requirements.

LM40.25 Emergency Preparedness

Preparing for and responding to unplanned events that can cause death or significant injury to employees, customers or the public; shut down your business, disrupt operations, cause physical or environmental damage; or threaten the facilities financial standing or public image.

LM40.25.10 Program Management

The organization, development and administration of preparedness program. It includes the identification of regulations that establish minimum requirements.

LM40.25.15 Planning

Gathering information about hazards and assess risks, conducting a business impact analysis (BIA), and examining ways to prevent hazards and reduce risks. Includes writing a preparedness plan addressing resource management, emergency response, crisis communications, business continuity, information technology, employee assistance, incident management, and training.

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LM40.25.20 Implementation

Implementing a preparedness plan addressing resource management, emergency response, crisis communications, business continuity, information technology, employee assistance, incident management, and training.

LM40.25.25 Testing

Plan testing and evaluation. Includes defining different types of exercises, learning how to conduct exercises, and using exercise results to evaluate the effectiveness of the plan.

LM40.25.30 Improvement

Identifying when the preparedness program needs to be reviewed. Discovering methods to evaluate the preparedness program and utilize the review to make necessary changes and plan improvements.

LM40.25.35 Execution

Identifying and assessing an emergency and executing an emergency plan.

LM40.30 Business Continuity

Planning, preparation and related activities intended to ensure that during and after a serious incident or disaster an organization's critical business functions will either continue to operate or will be recovered to an operational state within a reasonably short period.

LM40.30.10 Resilience Design

The design and engineering of critical business functions and the supporting infrastructure in such a way that they are materially unaffected by most disruptions, for example using of redundancy and spare capacity.

LM40.30.15 Recovery Preparations

Preparations made to recover or restore critical and less critical business functions that fail for some reason.

LM40.30.20 Contingency Planning

Developing a generalized capability and readiness to cope effectively with whatever major incidents and disasters occur,

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including those that were not, and perhaps could not have been, foreseen. Contingency preparations constitute a last-resort response if resilience and recovery arrangements should prove inadequate in practice.

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