# Legal Workflows – Business Requirements Document (BRD)

**Version:** Draft 0.1 **Date:** September 2025 **Status:** For Review

## 1. Executive Summary

### 1.1 Purpose

Legal Workflows is designed to **automate and streamline the legal/compliance review process** for marketing and business communications, replacing the current manual email-driven workflow with a **centralized, auditable SharePoint Online system**.

### 1.2 Current Challenges

* Email-based submissions lack traceability
* Approvals often stored in scattered email chains/screenshots
* No central visibility or dashboards
* Difficult to enforce turnaround times
* Inefficient back-and-forth with submitters

### 1.3 Future Vision

* Centralized submission via SharePoint
* Automated routing to Legal Admins, Attorneys, Compliance
* Complete audit trail and version control
* Real-time dashboards by role
* Notifications at every stage
* Reduced turnaround times and higher compliance

### 1.4 Success Criteria

1. 100% of requests processed in Legal Workflows (no email submissions)
2. 90% user adoption within 3 months
3. Full audit trail for every request
4. Documented approvals (with proof) in all cases
5. Measurable compliance with turnaround times

## 2. Business Objectives

* **Efficiency:** Reduce average turnaround time
* **Compliance:** Ensure every request has proper approvals and audit history
* **Transparency:** Role-based dashboards for visibility
* **Adoption:** Increase user participation
* **Accountability:** Clear assignment of responsibilities

## 3. Scope

### 3.1 In-Scope (Phase 1)

* Communication requests (marketing, shareholder letters, fact sheets, websites, etc.)
* Submission items with defined turnaround times
* Legal and compliance reviews
* Closeout with tracking ID (when required)
* Notifications (15 types)
* Role-based dashboards

### 3.2 Out-of-Scope (Phase 1)

* Integration with external system (Seismic Database) – future phases

## 4. Stakeholders & User Personas

* **Submitters:** Marketing/Business staff creating requests
* **Legal Admin:** Gatekeepers triaging requests
* **Attorney Assigner:** Committee members assigning attorneys
* **Attorneys:** Legal reviewers
* **Compliance Users:** Regulatory reviewers
* **Admins:** System administrators
* **Ad-hoc Stakeholders:** Read-only observers added to requests

## 5. Business Process Flow

Draft → Legal Intake → Assign Attorney → In Review → Closeout → Completed

Draft → Legal Intake → (Direct Assignment) → In Review

Special Actions: Cancel | Hold | Resume | Reassign Attorney

* **Draft:** Created by Submitter
* **Legal Intake:** Reviewed by Legal Admin (direct assign OR committee assign)
* **Assign Attorney:** Committee assigns attorney
* **In Review:** Attorney/Compliance perform reviews
* **Closeout:** Submitter provides tracking ID (if required) and closes request
* **Completed:** Workflow finished (approved or rejected)

## 6. Business Requirements

### 6.1 Request Creation Rules

* Required fields: Request Title, Purpose, Submission Type, Submission Item, Target Return Date, Review Audience
* At least **one approval required** (date + approver + supporting document)
* At least one document uploaded for review
* The system shall support the following approval types, of which at least one must be provided (date + approver + supporting document):
  + **Communications Approval**
  + **Portfolio Manager Approval**
  + **Research Analyst Approval**
  + **Subject Matter Expert (SME) Approval**
  + **Performance Review Approval**
  + **Other Approval** (with a custom title specified by the submitter)

### 6.2 Submission Items & Target Return Date Logic

* The system shall maintain a configurable list of **Submission Items**, each associated with a defined **turnaround time** (in business days).
* When creating a request, the user must provide a **Target Return Date**.
* The system internally calculates an **Expected Date** based on the submission item’s standard turnaround time and the request creation date, considering weekends and organization-specific holidays.
* If the user’s chosen Target Return Date is **later than or equal to** the Expected Date, the request is treated as a **Normal Request**.
* If the user’s chosen Target Return Date is **earlier than** the Expected Date, the system automatically flags it as a **Rush Request**.
* For Rush Requests, the system shall require the user to provide a **Rush Justification**.
* The system shall display a warning if the Target Return Date is unrealistic or outside allowable business rules.

### 6.3 Review & Approval Process

* **Legal Intake:** Legal Admins perform initial triage, verifying request completeness and deciding on direct attorney assignment or committee review. Legal Admins may also update the **Review Audience** (Legal, Compliance, or Both) during intake if necessary.
* **Attorney Assignment:**
  + Legal Admins or the Attorney Assigner Committee assign one or more Attorneys based on expertise and workload.
  + The system supports direct assignment or committee consensus workflows.
* **Review:**
  + Assigned Attorneys and Compliance Users receive notifications and perform reviews within specified turnaround times.
  + Reviewers can approve, reject, or request additional information.
  + Review status is tracked per reviewer and aggregated for overall request status.
* **Rejection & Revisions:**
  + If rejected, the Submitter is notified with comments and required changes.
  + Submitters may revise and resubmit new requests, restarting the review cycle.
* **Approval:**
  + Once all required approvals are received, the request moves to Closeout.
* **Closeout:**
  + Submitter provides any required tracking IDs or final documentation.
  + Legal Admin verifies completeness and marks the request as Completed.
  + All approvals, comments, and attachments are archived for audit purposes.

### 6.4 Notifications & Communication

* The system shall support the following notification types, triggered at specific workflow events:

| **#** | **Notification Type** | **Trigger** | **Recipients** | **Email Content** |
| --- | --- | --- | --- | --- |
| 1 | Request Submitted | Status → Legal Intake | Legal Admin group | Request ID, title, submitter, target date, rush flag, link to request |
| 2 | Attorney Assigned (Direct) | Legal Intake → In Review (direct) | Assigned Attorney | Request ID, title, assignment notes, target date, link to request |
| 3 | Sent to Committee | Legal Intake → Assign Attorney | Attorney Assigner group | Request ID, title, context notes from Legal Admin, link to request |
| 4 | Attorney Assigned (Committee) | Assign Attorney → In Review | Assigned Attorney | Request ID, title, assignment notes, link to request |
| 5 | Compliance Review Required | reviewAudience includes Compliance | Compliance Users group | Request ID, title, target date, link to request |
| 6 | Attorney Reassigned | attorneyId changes | New Attorney, Old Attorney | Request ID, reason for reassignment, link to request |
| 7 | Waiting On Submitter | Review status → Waiting On Submitter | Creator | Request ID, reviewer comments, required changes, link to request |
| 8 | Submitter Response | Document uploaded while status = Waiting On Submitter | Attorney/Compliance | Request ID, submitter comment, link to request |
| 9 | Review Completed (Single) | Legal OR Compliance → Completed | Creator, Legal Admin | Request ID, review outcome, reviewer notes, link to request |
| 10 | Ready for Closeout | Status → Closeout | Creator | Request ID, summary of approvals, tracking ID requirement, link to request |
| 11 | Request Completed | Status → Completed | All stakeholders | Request ID, final status, completion date, link to request |
| 12 | Request Cancelled | Status → Cancelled | All stakeholders | Request ID, who cancelled, cancellation reason, link to request |
| 13 | Request On Hold | Status → On Hold | All stakeholders | Request ID, who placed on hold, hold reason, link to request |
| 14 | Request Resumed | On Hold → previous status | Active participants | Request ID, resumed status, link to request |
| 15 | User Tagged in Comment | @mention in comment | Tagged user | Request ID, comment excerpt, commenter name, link to comment |

* Notifications shall be sent via email with links to the request in SharePoint.
* Notification content shall include request metadata, current status, and required actions.

### 6.5 Security & Permissions

* The system shall leverage SharePoint Online groups to manage user roles: Submitters, Legal Admins, Attorneys, Compliance Users, Admins, and Ad-hoc Stakeholders.
* Custom permission levels shall be defined to restrict access according to role responsibilities:
  + Submitters: Create and edit own requests; view status.
  + Legal Admins: Full access to all requests; assign attorneys; update statuses.
  + Attorneys & Compliance Users: Access assigned requests; add reviews and comments.
  + Admins: Manage system configuration and permissions.
  + Ad-hoc Stakeholders: Read-only access to specific requests.
* Item-level permissions shall be enforced to ensure users can only access requests relevant to their role and assignment.
* Audit logging shall track all access and modifications for compliance.

## 7. Non-Functional Requirements

* **Performance:**
  + Page load times and workflow actions shall complete within **6 seconds** under normal load.
  + The system shall handle concurrent users without degradation.
* **Usability:**
  + User interface shall be intuitive and require minimal training.
  + Forms shall include validation and contextual help.
* **Accessibility:**
  + Compliance with WCAG 2.1 AA standards to ensure accessibility for all users.
* **Security:**
  + Data shall be encrypted in transit and at rest.
  + Role-based access control is enforced consistently.
  + Regular security audits and penetration testing.
* **Scalability:**
  + The system shall support growth in user base and request volume without redesign.
* **Audit & Compliance:**
  + Comprehensive audit trails for all requests and actions.
  + Retention policies aligned with legal requirements.
* **Availability:**
  + System uptime target of 99.9%.
  + Backup and disaster recovery plans in place.

## 8. Reporting & Metrics

* **Dashboards:**
  + Role-based dashboards displaying open requests, status summaries, and SLA compliance.
  + Filters by date range, submission type, attorney, and status.
* **Key Performance Indicators (KPIs):**
  + Average turnaround time per submission item and request type.
  + Percentage of requests completed within SLA.
  + Number of requests per status category.
  + User adoption rates and activity metrics.
* **Audit Logs:**
  + Detailed logs of request creation, edits, approvals, and status changes.
  + Exportable reports for compliance audits.
* **Compliance Tracking:**
  + Alerts for overdue requests and SLA breaches.
  + Historical trends and performance analysis.

## 9. Assumptions & Constraints

* SharePoint Online is the platform for implementation; customizations are limited to supported frameworks (e.g., SPFx).
* User groups and permissions are managed manually by IT Admins; no automated provisioning in Phase 1.
* Business holidays and non-working days are maintained in a centralized calendar used for turnaround calculations.
* Integration with external systems (e.g., DocuSign, Seismic) is out of scope for Phase 1.
* Offline access and mobile app support are not included in the initial release.

## 10. Success Criteria

* **Adoption:**
  + At least 90% of target users submit requests via Legal Workflows within 3 months.
* **Compliance:**
  + 100% of requests have documented approvals and audit trails.
  + At least 95% of requests meet turnaround time SLAs.
* **Efficiency:**
  + Average turnaround time reduced by 20% compared to baseline.
  + Reduction in manual email correspondence by 100%.

## 11. Risks & Mitigation

| **Risk** | **Description** | **Mitigation Strategy** |
| --- | --- | --- |
| Low User Adoption | Users may resist new system | Comprehensive training, communication, and support |
| Performance Bottlenecks | System may slow under load | Load testing, optimization, and scalable design |
| Change Management Challenges | Resistance to process changes | Stakeholder engagement and phased rollout |
| Data Security Breaches | Unauthorized access or data leaks | Strong access controls, encryption, and audits |
| Inaccurate Turnaround Dates | Incorrect calculation of business days | Rigorous testing and holiday calendar maintenance |
| Dependency on SharePoint Limits | SharePoint platform constraints | Design within limits, plan for future enhancements |

## 12. Glossary & Acronyms

| **Term** | **Definition** |
| --- | --- |
| **Legal Workflow** | Legal Review System – the overall solution for managing legal workflows. |
| **SPFx** | SharePoint Framework – development model used for customizations in SharePoint Online. |
| **Request** | A submission created by a user for legal/compliance review. |
| **Submission Item** | A specific type of submission (e.g., marketing email, website content) with defined SLA. |
| **Rush Request** | A request flagged for expedited processing with reduced turnaround time. |
| **Legal Admin** | Role responsible for triaging and managing requests. |
| **Attorney Assigner** | Committee responsible for assigning attorneys to requests. |
| **Compliance User** | Regulatory reviewers involved in the approval process. |
| **Closeout** | Final stage where tracking IDs and final documentation are added before completion. |
| **SLA** | Service Level Agreement – target turnaround times for requests. |
| **Audit Trail** | Record of all actions and changes made to a request for compliance purposes. |
| **Dashboard** | Visual interface showing metrics and statuses relevant to user roles. |