# WORKFLOW CREATION FRAMEWORK

Build a repeatable workflow (or process checklist) based on your standard operating procedures. Document the three stages of a process by stage, step and task. Whiteboard your process beforehand using our swim diagram or excel template.

| What & How | | | Who | Timing | Outcome(s) |
|---|---|---|---|---|---|
| **Step 1** | **Prepare Paperwork** | | | 1. # days prior to target date | 1. Outcome as expected<br>2. Outcome(s) if challenged |
| Task | Retrieve paperwork | Description/Detail | CSA | | |
| Task | Complete paperwork | Description/Detail | CSA | | |
| Task | Upload paperwork | Description/Detail | CSA | | |
| **Step 2** | **Confirm Meeting** | | | 1. # days prior to target date | 1. Outcome as expected<br>2. Outcome(s) if challenged |
| Task | Call client to confirm | Description/Detail | Client Manager | | |
| **Step 3** | **Conduct Meeting** | | | 1. On target date (scheduled meeting) | 1. Outcome as expected<br>2. Outcome(s) if challenged |
| Task | Set up conference room | Description/Detail | Client Manager | | |
| Task | Order coffee | Description/Detail | Client Manager | | |
| Task | Record note with attendees | Description/Detail | CSA | | |
| **Step 4** | **Log meeting notes and follow-ups** | | | 1. # days prior to target date | 1. Outcome as expected<br>2. Outcome(s) if challenged |
| Task | Update CRM | Description/Detail | CSA | | |
| Task | Launch any workflows needed | Description/Detail | CSA | | |
| **Step 5** | **Send client follow-up email** | | | 1. # days prior to target date | 1. Outcome as expected<br>2. Outcome(s) if challenged |
| Task | Send email template “example” | Description/Detail | CSA | | |

**WELL DONE! FLIP THE PAGE TO TEST OUT AND ACTIVE YOUR NEW WORKFLOW**

# WORKFLOW ACTIVATION CHECKLIST

Now that you have built a repeatable workflow using the framework, activate it. This is how you now improve upon your documented process.

| Trial Period (30-60 Days) | |
|---|---|
| Do you need to adjust the timing? | If yes, adjust |
| Are there additional notes you can add to the description to make the process clearer? | If yes, add |
| Would a brand new member of your firm be able to perform this workflow without help? | If no, add description |
| Is the workflow built for the 80% of your clients? For any one-off scenarios, can you assigned client Tags? | If no, amend or add tags |
| Are your integrations working as expected? | If no, investigate |
| **Analyze/Improve (2-6 months)** | |
| Can you report on any efficiency (or time saved) using this new workflow? | Yes or no |
| Can you find reporting or custom reporting to determine workflow productivity over time? | Yes or no |
| Can you automate any manual tasks using technology? | If yes, build it in |
| Are there any tasks that you can remove (unnecessary) or reassign to someone with a lighter workload? | If yes, remove or reassign |
| Is this workflow serving your firm? | If no, remove |

| Review (Ongoing) | |
|---|---|
| Can you determine a frequency to meet as a team to keep this specific workflow current? **Tip: at least annually** | If yes, how often? |
| Are your workflows appropriately adopted by your firm? | If no, make a plan |
| Has there been any updates to your service model since this workflow was deployed? | If yes, update workflow |
| Has a technology vendor/custodian added new features or functionality that you wish to incorporate into your processes? | If yes, add to workflow |
| Is there any new technologies in Advisor Tech that can replace manual tasks that are cumbersome or time consuming? | If yes, consider |
| Can remove tasks that are no longer necessary? | If yes, remove |
| Have you run reports to identify workflow productivity, appropriate role distribution, etc.? | Yes or no |
| Do you need to update any email templates, guides, or links? | If yes, update |