**Sample Process Template**

**Process:** (Process Title)

**Description:** (When to use the process, and how it should be initiated)

**Category:** (High-level category the process falls under — select one) Marketing/Leads & Prospects/Financial Planning/Client Onboarding/Operations & Trading/Client Service/Client Reviews/Client Events/Office Procedures/Human Resources/Compliance/Business Management)

**Keywords:** (Key words or phrases that a team member might use to search for the process)

**Last Updated:** (Date process was last updated) **Updated By:** (Team member who last updated the process)

**Locations Referenced:** (List technology systems like CRM Workflows that will need to be updated when this process is updated)

**PROCESS DETAILS:**

|  |  |  |  |
| --- | --- | --- | --- |
| STEP # | WHAT | WHEN | WHO |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |
| 6 |  |  |  |
|  | (Insert additional rows as necessary) |  |  |

*Example:*

|  |  |  |  |
| --- | --- | --- | --- |
| STEP # | WHAT | WHEN | WHO |
| 1 | *Call client to schedule review meeting* | *14 days before review meeting due* | *Operations Associate* |
| 2 | *Enter meeting on CRM calendar*  | *Immediately after scheduling appointment* | *Operations Associate* |
| 3 | *Send meeting* confirmation *email* | *Immediately after previous step* | *Operations Associate* |
| 4 |  *Update financial plan with current account values* | *3 days before appointment date* | *Paraplanner* |
| 5 | *Upload latest quarterly performance reports to electronic client file* | *3 days before appointment date* | *Paraplanner* |
| 6 | *Prepare “Client Brief” overview document for Advisor* | *2 days before appointment date* | *Paraplanner* |
|  | *(Insert additional rows as necessary)* |  |  |