

Checklist for Developing a Robust Onboarding Process

Creating a robust onboarding process from scratch takes time up-front to develop your firm's templates, but it is worth it! Consider creating these documents and resources for your own firm:

Onboarding Checklist

- » HR/Team Member
- » Manager
- » Tour Guide

Email Templates

- » New team member
- » New hire bio request
- » New hire announcement
- » Onboarding buddy duties
- » First day details
- » Hiring manager first day

Bio template

New Hire Technology Request form

Getting to Know Me form

New Employee Guide

- » Onboarding buddy (navigator)
- » Role expectations
- » Core value expectations
- » Manager expectations
- » Scheduled meetings
- » 100 Day Plan

First Week Agenda template

U-4 Process for Licensed Employees

Onboarding feedback surveys

- » 7 Days
- » 30 Days

90 Day Check-In Meeting template

Employee Handbook

Confidentiality Agreement

Non-Solicit Agreement

Wealth Advisor Employment Agreement

Remote working policy/agreement

Organizational chart

Company history slide deck

Company core values document

Phone/email directory

Client experience overview document

List of where to find important documents or resources

Company brand standard document, including logos, fonts, colors, and email signatures

Phone/voicemail quick reference guide, scripts, and process expectations

List of helpful publications or resources for industry information and best practices

List of books that are core to your service model or client experience ideals



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