

Workflow Creation Framework.

Workflow name:

Workflow owner:

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)
STAGE: PREPARE	STEP 1	Prepare paperwork			1. # days prior to target date	1. Outcome as expected 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 2. Outcome(s) if challenged
	Task	Call client to confirm	Description/Detail	Samantha		
STAGE: CONDUCT	STEP 3	Conduct meeting			1. On target date (scheduled meeting)	1. Outcome as expected 2. Outcome(s) if challenged
	Task	Set up conference room	Description/Detail	Samantha		
	Task	Order coffee	Description/Detail	Samantha		
	Task	Record note with attendees	Description/Detail	CSA		
STAGE: FOLLOW-UP	STEP 4	Log meeting notes and follow-ups			1. # days after target date	1. Outcome as expected 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 after target date	1. Outcome as expected 2. Outcome(s) if challenged
	Task	Send email template “example”	Description/Detail	CSA		

WELL DONE, FLIP THE PAGE TO TEST OUT AND ACTIVATE YOUR NEW WORKFLOW



Information provided by Independent Advisor Solutions by SEI, a strategic business unit of SEI Investments Company (SEI).

Visit [SEI's Growth Lab](#), for actionable practice management advice and tools.

©2022 SEI

1

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

