

11 Steps for Implementing Truly Comprehensive Financial Services™

Establishing Which Step We're On

Instructions for use of this assessment to establish which of the 11 steps we are currently.

1. Must maintain items from **all** previous steps to achieve the next step
2. Therefore, must review this entire checklist prior to advancing a step

Achieving an implementation step is not a one-time accomplishment. Each step has on-going requirements which must be maintained. If any standard is missed, then revert to the previous step until the standard is firmly re-instituted. This assessment should be reviewed at least monthly. During your review if you encounter any item which is not true, **then stop the assessment**. That's the step you're currently on at the moment. Each step is designed to be completed in 30-45 days (60 days or more on a single step is off-track: "Contact Us" at The Toolkit for support getting back on-track)

- Step 1: **All** items below are true
 - AM is proactively conducting a brief status-update check-in several times each week (15 min or less)
 - AM is attending The Weekly Session™ every week (or watching the replay every week)
- Step 2: **All** items below are true
 - AM has completed all 23 Action Sequences in The Administrative Manager Online Program
 - AM Expectations Conversation recording has been submitted to The Toolkit within the past 4 months
 - AM is updating Potential-Client Interaction Time™ Tracker (PCI Tracker) and conducting a review with TA of the tracker goals and results at least once each week during one of the daily status-update check-ins
 - AM has begun The 12-step Deliverables Team Recruitment Process™, and is reviewing the weekly objectives regularly with TA during daily status-update check-in
- Step 3: **All** items below are true
 - At least one Ideal Client is entered into The Toolkit (An authentic IC, or TA agrees to become IC, or an Ideal Client Exception (ICE) who will receive **all** IC services)
 - Every Ideal Client has all meetings scheduled for the next 12 months (The Online Meeting Plans™ are all entered into The Toolkit and are up-to-date)
 - The Annual Recurring Revenue Exercise™ is reviewed briefly at **every** daily status-update check-in.
 - AM has created, and is actively using 6 checklists of routine approvals (each approved by TA): checklists for daily routines, weekly routines, monthly routines, quarterly routines, semi-annual routines, and annual routines.
- Step 4: **All** items below are true
 - 2 Subject Matter Experts have been acquired (FP + 1 other SME) and are actively utilizing The Toolkit as their primary means of seeking client information and documents and preparing for Dry-Run Prep Meetings™
 - AM has custom tailored The Online Meeting Plan™ to each SME's liking (has met individually with each SME)

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- SME Expectations Conversations are routinely booked with each SME at least once every 4 months
- SME Key Performance Measures forms have been updated for each SME and uploaded to The Toolkit at least once in the past 4 months (every 4 months)
- The Master Goal Tracker™ App is being updated prior to **every** client progress meeting by our Financial Planning Subject Matter Expert (3 elements to update for every client goal: current amount, goal status, date of the updated info)
- SME Agreement Form has been uploaded to The Toolkit for every current SME
- Step 5: **All** items below are true
 - AM is currently qualified for The Toolkit Inner Circle™
 - Every SME has documented their process for each of the meetings in The Three Meeting Process™ using The Best Way™ method: The Implementation Meeting™, The Initial Progress Update™, The Comprehensive Safety Review™, The Goal Progress Outlook™, The Annual Review™ (5 documented processes)
 - AM reviews both of these items at least once each week during daily status-update check-in with TA
 - AM's weekly goal for the number of processes documented using The Best Way™ method
 - Review of the prioritized list of "processes which still need to be documented"
- Step 6: **All** items below are true
 - All 5 Subject Matter Experts have been acquired (no SME vacancies and neither the TA nor the AM are serving as an SME nor an SME's admin support person): Financial Planning Subject Matter Expert, Money Management Subject Matter Expert, Tax Planning Subject Matter Expert, Estate Planning Subject Matter Expert, & Insurance Subject Matter Expert
 - The SME Commitment Assessment Form has been completed for every SME within the past 4 months
 - AM has reviewed current file on each SME with TA within the last 4 months: impressive accomplishments, areas for improvement, and data on responsiveness and deadlines honored.
 - AM is reviewing "the 60 Day Notification Pre-checklist" prior to sending out every 60 Day Notification
 - AM is linking to all SME work at least 4 days prior to every Dry-Run Prep on The Online Meeting Plan™
 - Every Deliverables Team Member is utilizing The Exception Report™ process **prior to** any deadline being missed
- Step 7: **All** items below are true
 - All of your 5 Oversight Subject Matter Experts have connected with each of your Ideal Client's implementation Subject Matter Experts (tacticians) to establish an effective working relationship
 - Each SME has provided to our AM a current list of contact information for every implementation SME

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- Each Implementation SME has been contacted by our Oversight SME at least once within the past 12 months, The Interaction Log™ was submitted to our AM regarding the details of each contact.
- Step 8: All items below are true
 - Every SME fully understands, and agrees to, what's expected of them by The Trusted Advisor Toolkit™ System (every SME rates 100% on The SME Commitment Assessment Form)
 - AM has conducted a one-on-one orientation of The Toolkit for every SME (NOTE: should be done w/in the 1st 30 days)
 - AM completes the Audit Checklists for each of The Five Critical Reports™ prior to every Dry-Run Prep Meeting™ (rejects sub-par reports back to the SME author for
 - When The Interaction Log™ is submitted by any member of the team, our AM links it to The Online Meeting Plan™ within 24-hours after receipt.
 - AM has established an effective SME quality control check prior to every Dry-Run Prep Meeting™
 - AM is completing The Audit Checklists of the Five Critical Reports™ prior to every DRPM
 - AM completes "The Top 10 Reasons To Reject The Work of a Subject Matter Expert" prior to every DRPM and accepts only the SME work which passes all 10 criteria.
 - AM completes "The DRPM Self-coaching form" after every Dry-Run Prep Meeting™
- Step 9: All items below are true
 - Each SME is submitting The Interaction Log™ **more than once** prior to **every** Dry-Run Prep Meeting™
 - The Go-to Grid™ (index of The Best Way™ processes)
 - Every process affecting an Ideal Client has been documented using The Best Way™ method
 - The Go-to Grid™ is current and accessible by all Deliverables Team Members
 - The Go-to Grid™ has been approved by the TA within the past 4 months
 - A live version of The Solution Log™ is accessible by every Deliverables Team Member and is updated whenever there is a client problem or issue currently being addressed by the team (follows client problems in real-time for the team)
- Step 10: All items below are true
 - The Referability Rating Assessment™ score exceeds 85%
 - We conduct The Advisor Value Score™ (AVS) process with every Ideal Client at least once every 4 months.
 - Our AVS exceeds 50+ (target 80+)
 - More than 95% of Ideal Clients rate our services as “indispensable”

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- Every SME is committed to increasing value to clients until AVS is 80+ and more than 95% of Ideal Clients rate our services as “indispensable”
- Every SME rates **8 or higher** in **every** category of the SME Key Performance Measures
- Step 11: THE OUTCOME... All items below are true
 - Each Ideal Client's financial house is in perfect order.
 - Our clients report that they're receiving an extraordinary client experience
 - Rates of referrals received have measurably and significantly increased by multiples of previous rates
 - For what we do, we're the only game in town. No other Financial Services firm is able or willing to deliver upon all that we do for Ideal Clients.
 - We're conducting more than 5 The Initial Client Interviews™ per week (or could if we allowed for that many ICIs)
 - If any of this is not true, “Contact Us” and the Senior Toolkit Team will become more actively involved to assess and help you experience all of these end results

NOTE: if anyone on your team needs to understand why a requirement is on this list, or why it must be completed in this sequence, please encourage them to “Contact Us” on The Toolkit and we'll clarify how and why requirements were placed upon this list in sequence.