

## Full CRM Integration

### WHY is this Important?

Defining core client experience and business activities, delegating each of those activities, and documenting processes to deliver them, are essential steps to transition your advisory practice to a proactive, turn-key business model. Consider this the engine of your practice. When you add in full CRM Integration, it's much like putting the key in the ignition and stepping on the gas. That's the moment when you really sense the power of what you've invested all that time, energy, and effort into building.

Integration happens across all levels of the advisory practice – client classification, client experience, client onboarding, client rebranding and ongoing relationship and account management. It captures absolutely everything, (right down to clients' favorite beverage and preferred method of contact) and provides the advisory team with a full panoramic view of the relationship from all aspects of what you've done for them, what you are currently doing for them, as well as future commitments and promises you've made. This is the epitome of ensuring 'nothing falls through the cracks.'

This integration allows for ease and consistency of client experience delivery. It also helps a great deal when an individual is away on holiday or out due to illness. It also comes in handy in the case of New Hires due to replacement and/or expansion. It may also assist the advisory practice when it comes to potential miscommunications, client complaints and/or compliance issues.

Full CRM Integration is the achievement of Practice Management euphoria.

### WHAT You Can Expect from this Best Practice

- Understand how your CRM can become the 'engine' of your practice
- Fully integrate your CRM so you consistently deliver an exceptional client experience
- Manage all tasks on your CRM so nothing falls through the cracks
- Develop workflows for core operations to make implementation easy
- Capture key client information about Family, Occupation, Recreation and Wealth Engagement
- Use your CRM as a centralized system to view all things in the past, present, and future as it relates to the complete client relationship



## How to Get Started

To get an overview of the types of information your CRM should be consolidating, review [Full CRM Integration](#).

### Choosing Your CRM

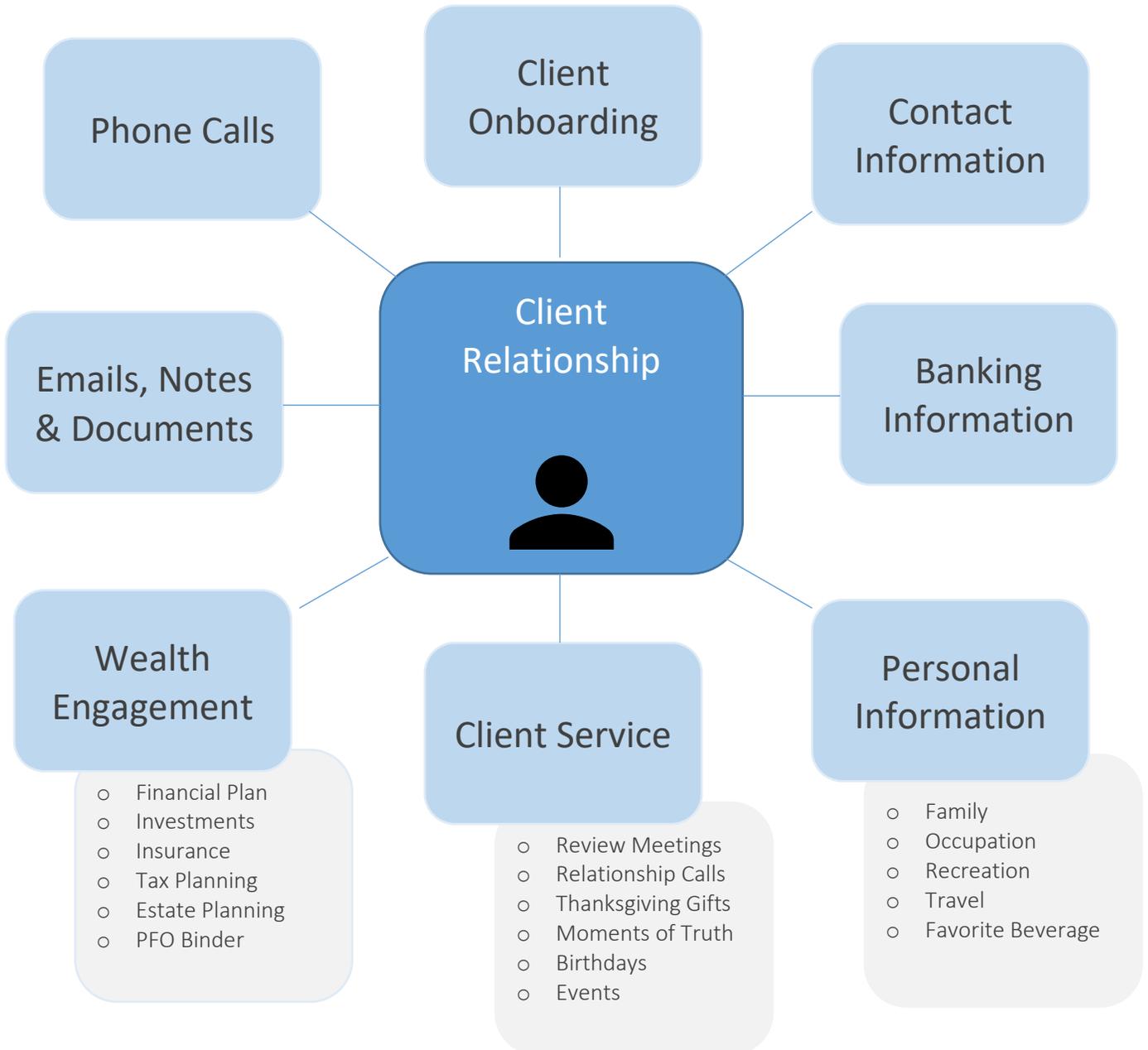
1. Make a detailed list of all the features and abilities you want in your CRM.
  - Refer to [Choosing Your CRM](#) as a place to get started.
2. Carefully consider what options are available for your firm – there are several high calibre solutions to choose from.
  - Some firms only allow use of a CRM which is either proprietary or contracted through a specific third-party CRM provider. In this case, you may not have a choice other than learning all you can about the available CRM and integrating it to the best of your ability.
3. Narrow your choice to two or three of what you consider the best CRM solutions for your circumstances.
4. Do a comparative analysis amongst the front-runners you've chose considering:
  - Features & Capabilities
  - Training & Support
  - Ability to Customize
  - Ongoing Support
  - Cost
  - Data Conversion Services, Support & Cost (if needed)
5. Use the [CRM Assessment Tool](#) to help you organize your comparatives.
6. Do a Trial Run of one or more to make the best decision possible.
  - Many CRMs offer a 30-day free trial offer, which affords someone on your team the opportunity to 'try' them before committing.
7. Make the decision and enter in the service agreement.
8. Activate your subscription and sign up all the users on your team.
9. Delegate CRM Management to someone on the team and allow them "Administrator" status. This allows them to customize fields, create workflows/action plans, etc. for the entire team globally.
10. The CRM Manager will also lead the team through training and orientation. This can often be provided from the CRM provider in a virtual group setting, as well as through online tutorials.

## Fully Integrating Your CRM

1. Review [Navigating a CRM Transition](#) to get you started with the planning aspects of what is required for adoption of a new CRM.
2. Have your CRM Manager coordinate all aspects of the CRM Transition.
3. The CRM Manager will add the CRM Transition to your Weekly Team Meeting Agenda, so it is a high priority item for the next 90 to 180 days (or as long as it takes to get everyone up and running).
4. The CRM Manager can use [How to Fully Integrate Your CRM](#) to get your team started with a number of specific items you will want to implement incrementally, beginning with the basic, and then moving up to more intermediate and advanced options.
  - Refer to [CRM View Set Ups](#) for samples of how this may be done.
  - Refer to [Adding Action Plans and Workflows](#) to see the high level of automation that can be integrated into your advisory practice.
5. The CRM Manager will organize Team Training Sessions.
6. The CRM Manager will ensure everyone is set up properly and understands the fundamentals.
7. If you've chosen a CRM solution which provides data conversion AND you have data to transfer, you need a plan to move forward with the transition.
  - Coordinate the conversion date and allow for flexibility, as this doesn't always go as planned.
  - The CRM Manager will need to set aside a significant amount of time to review, consolidate and clean up the data. They may be able to enlist the help of others on the team to complete this as efficiently as possible.
  - Determine how long you will keep the former CRM as a back-up support and communicate this to everyone on the team.
  - Have a defined timeline for full use of the new CRM.

# Full CRM Integration

Your CRM is the perfect place to store all kinds of information that is often needed immediately when managing clients, as well as what is necessary to generate lists by specific search criteria.



# Choosing Your CRM

There are several types of CRM (contact relationship management) program options available to financial advisory teams, most of which are web-based.

Each CRM has their strengths and weaknesses, but a common theme is that most of them are hugely underutilized. Many CRMs can completely systematize a business advisory practice by proactively automating core business activities, creating complete client profiles, fully integrating email, and clearly delegating client service deliverables.

Another observation about CRMs is they can be overly robust, overwhelming, and not very user-friendly. To that end, we have created a list of the core features we believe are important when advisory teams are choosing a CRM.



## Our Recommended CRM Features

- ✓ Create household relationships to effectively manage the practice in a streamlined way (i.e., Mr. and Mrs. can be managed as one relationship)
- ✓ Easily store all key client information on the main contact screen (name, address, client classification, etc.)
- ✓ Easily generate a list of your clients by classification
- ✓ Assign a variety of client tasks or activities (appointments, calls, emails, follow up, etc.) to other team members
- ✓ Create a variety of regularly occurring or recurring tasks or activities
- ✓ Easily access all completed tasks or activities associated with clients (view all historical client interactions)
- ✓ Easily view all future or uncompleted tasks associated with clients
- ✓ Create workflows to systematize common business activities (includes a variety of steps, which occur at different times, and that are allocated to different people)
- ✓ Can easily manage proactively scheduled client service deliverables via workflows and/or recurring activities (i.e., Review Meetings, Call Rotations, etc.)
- ✓ Ability to remove, edit or create new user-defined fields (such as: occupation, interests, favorite vacation spot, preferred method of communication, etc.)
- ✓ Easily generate a list of your clients sorted by their hobbies, interests, recreation, etc.

- ✓ Integrates with email for easy storage
- ✓ Can be accessed by a variety of mobile devices
- ✓ Contains a fully functioning calendar to manage everyone's time (or can fully integrate with another calendar used by the team)
- ✓ Has good processing speed (i.e., accessing records and key areas of information are quick)
- ✓ Can keep all your team members connected (i.e., you can add new users as required)
- ✓ Provides training resources and trouble-shooting support from knowledgeable IT support individuals
- ✓ Ability to assist with importing client data currently held in another CRM

## Other CRM Features

We acknowledge that some CRMs have many other sophisticated features available, but what we have tried to do here is provide the list of things we know advisors use often on their CRMs. These are the everyday features they've told us are critical to keeping their business running smoothly. If you do have a specific feature you want to use that isn't on the list above, be sure to ask the vendor about it.

We further recognize that some CRMs can fully integrate with portfolio software supported by financial organization, however the integration of this quantity of data into a CRM can adversely affect processing time and make it unbearably slow. We recommend you test this component before you commit to it.

## CRM Solutions for Financial Advisory Teams

Here are just a few of the CRM Options we regularly encounter in our work with advisory teams:

- ACT!
- Goldmine
- Infusion
- Junxure
- Maximizer Live
- Maximizer Wealth
- Microsoft CRM Dynamics
- Redtail
- Salesforce
- SmartOffice

Some of the CRM options listed above are generic while others are industry specific and already customized for Financial Services Industry. Many of these CRMs are robust in their capabilities and as such, can appear overwhelming particularly to first time CRM users. We recommend beginning with basics and acknowledging there may be some features of the CRM you will never use.

## Final Thought on Choosing Your CRM

We strongly believe that a CRM is the backbone of a great advisory business and a key tool, allowing the business to become fully systematized. We believe every advisory business needs one.

Many CRMs provide the opportunity for a free online trial so advisory teams can take a 'test run' before making a commitment. We also recommend speaking with industry peers about what they are using and their level of satisfaction with it.

It is important to do a little homework up front regarding this important business decision. Last, but not least, always make sure your CRM will pass any compliance requirements.

# CRM Assessment Tool

OPTION 1	OPTION 2
<p><b>Features &amp; Capabilities</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Client Info – Views &amp; Fields</li> <li><input type="checkbox"/> Action Plans/Work Flows</li> <li><input type="checkbox"/> Opportunity Pipeline</li> <li><input type="checkbox"/> Dashboard</li> <li><input type="checkbox"/> Email Integration</li> <li><input type="checkbox"/> Outlook Calendar Integration</li> <li><input type="checkbox"/> Portfolio System Integration</li> <li><input type="checkbox"/> Voice to Text Capability</li> <li><input type="checkbox"/> Mobile Access/App</li> <li><input type="checkbox"/> Other</li> </ul> 	<p><b>Features &amp; Capabilities</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Client Info – Views &amp; Fields</li> <li><input type="checkbox"/> Action Plans/Work Flows</li> <li><input type="checkbox"/> Opportunity Pipeline</li> <li><input type="checkbox"/> Dashboard</li> <li><input type="checkbox"/> Email Integration</li> <li><input type="checkbox"/> Outlook Calendar Integration</li> <li><input type="checkbox"/> Portfolio System Integration</li> <li><input type="checkbox"/> Voice to Text Capability</li> <li><input type="checkbox"/> Mobile Access/App</li> <li><input type="checkbox"/> Other</li> </ul> 
<p><b>Initial Training &amp; Support</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Online Training</li> <li><input type="checkbox"/> Individual Group Training</li> <li><input type="checkbox"/> Customized Team Training</li> <li><input type="checkbox"/> Cost</li> </ul>	<p><b>Training &amp; Support</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Online Training</li> <li><input type="checkbox"/> Individual Group Training</li> <li><input type="checkbox"/> Customized Team Training</li> <li><input type="checkbox"/> Cost</li> </ul>
<p><b>Ability to Customize</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Client Info – Views &amp; Fields</li> <li><input type="checkbox"/> Action Plans/Work Flows</li> <li><input type="checkbox"/> Other</li> </ul>	<p><b>Ability to Customize</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Client Info – Views &amp; Fields</li> <li><input type="checkbox"/> Action Plans/Work Flows</li> <li><input type="checkbox"/> Other</li> </ul>
<p><b>Ongoing Training &amp; Support</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Online Training</li> <li><input type="checkbox"/> Individual Group Training</li> <li><input type="checkbox"/> Customized Team Training</li> <li><input type="checkbox"/> Cost</li> </ul>	<p><b>Ongoing Training &amp; Support</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Online Training</li> <li><input type="checkbox"/> Individual Group Training</li> <li><input type="checkbox"/> Customized Team Training</li> <li><input type="checkbox"/> Cost</li> </ul>
<p><b>CRM Investment</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Cost Per User Per Year \$</li> <li><input type="checkbox"/> Total Annual Cost \$</li> </ul>	<p><b>CRM Investment</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Cost Per User Per Year \$</li> <li><input type="checkbox"/> Total Annual Cost \$</li> </ul>
<p><b>Data Conversion Services</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Comprehensive Service Provided</li> <li><input type="checkbox"/> Data Conversion Cost \$</li> </ul>	<p><b>Data Conversion Services</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Comprehensive Service Provided</li> <li><input type="checkbox"/> Data Conversion Cost \$</li> </ul>
<p><b>30-Day Free-Trial Offer</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Available</li> </ul>	<p><b>30-Day Free-Trial Offer</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Available</li> </ul>

# Navigating a CRM Transition

Once you have chosen the best CRM for your Advisory Practice, it's time to make the transition. There are really two different scenarios here:

- Those adopting a CRM for the first time
- Those moving from one CRM to another



## First Time CRM Users

For those adopting a CRM for the first time, the good news is you don't have to worry about data conversion and field compatibility – you have a completely blank slate. The bad news is – you have a completely blank slate. You will need to have a list of action items and someone leading the CRM Integration to make sure you are seeing good solid progress. The CRM Coordinator should also provide manageable sessions of key training to the team as part of the CRM integration process. It is much easier for most of us to learn new things when someone simply shows us how it is done.

We recommend you begin by getting all the basic information set up for each of your top clients first, this is sometimes referred to as the 'headstone' or 'basic contact' information. From here, add their detailed information and get their service model set up and automated. Once that's complete, work on your next tier of clients and so on. Another option is to simply get all the basic information in for *all* your clients. From there, and working from the top, begin adding detail and service model automation. Either way, it's really a matter of incremental implementation until it's all complete. At that time, it can become the sole source for scheduling all appointments and client-related tasks or activities.

## Existing CRM Users

For those migrating from one CRM to another, you will want to do a bit of research regarding data importing. This will ensure you can preserve the majority of the information collected and entered in your current CRM. Here too, you will want someone on the team leading the coordination of the CRM Integration. The coordinator can keep the team fully informed of where things are, as well as deliver training in incremental phases so everyone gets more comfortable with the new CRM.

Generally, it is straightforward to move the basic client contact information over. However, difficulties can arise when trying to pull over highly customized information, certain types of fields or custom-made action plans. Be prepared to set aside time for some data clean up and re-building of things like action plans and service models. Again, when it comes to data cleanup and getting automation or service models running, we recommend you begin with your top clients and work your way through the rest of your classifications.

In addition, before you implement any data importing, we recommend you take some time to clean and purge from your current database. There may be old or defunct contacts cluttering up your database and you'll want to delete them before you export. In this way, your new database will contain just the meaningful, relevant contacts (streamlined and ready to go).

## Your CRM Transition Support

When it comes to support throughout this process, here are three sources you should be able to rely on:

- Client Support Services from the CRM Provider
- Your designated CRM Coordinator for the team
- Your Mindset Consulting Business Advisor

We encourage you to maximize the knowledge and information each of these very different sources can provide to you and the team.

It is ideal to establish a relationship with one key contact in the Client Support Services department. Ask if they have any recommendations around team training that they can send you—things like plans, checklists, and any other resources that would be helpful. You will also want to leverage online manuals, tutorials, and webinars to maximize training on the team.

Be sure to acknowledge the CRM Coordinator for your team will likely have less capacity for their regular responsibilities as they guide you through this process. This may mean other team members need to step in to help more on other tasks while the CRM Integration or Transition is still in its early phases.

Your Mindset Business Advisor is also here to support you during the new CRM adoption. They will circle back on all concepts covered to be sure you know which activities are on the action list for getting integrated. They will also be more than happy to have a break in the program to allow you to fully focus on CRM integration.

In addition, you may have someone within the firm who can also support you. This might be a specific individual or department related to the CRM or another team you know who uses the same CRM.

# How to Fully Integrate Your CRM

This checklist will provide your CRM Manager with many of the core aspects of full CRM Integration.

CRM INTEGRATION	COMPLETED
<p><b>Client Households Set Up – Basic Information</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Names &amp; Contact Information</li> <li><input type="checkbox"/> Clients Classified &amp; Lead Advisor Identified</li> <li><input type="checkbox"/> Basic Personal Information</li> <li><input type="checkbox"/> Other – Add/Customize Fields &amp; Views</li> </ul>	
<p><b>Client Views – Detailed Information</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Family, Occupation &amp; Recreation</li> <li><input type="checkbox"/> Financial Planning</li> <li><input type="checkbox"/> Investment</li> <li><input type="checkbox"/> Insurance</li> <li><input type="checkbox"/> Estate &amp; Tax Planning</li> <li><input type="checkbox"/> Notes, History &amp; Activities (usually pre-defined)</li> <li><input type="checkbox"/> Other –Add/Customize Fields &amp; Views</li> </ul>	
<p><b>Generating Reports &amp; Searching</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Reporting by Client Type</li> <li><input type="checkbox"/> Reporting by Wealth Engagement &amp; Solutions</li> <li><input type="checkbox"/> Reporting by Personal Interest</li> </ul>	
<p><b>Action Plans or Work Flows</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Client Experience Automated</li> <li><input type="checkbox"/> Client Onboarding Automated</li> <li><input type="checkbox"/> Client Rebranding Automated</li> <li><input type="checkbox"/> Account Administration Automated</li> </ul>	
<p><b>Other Features</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Practice or Advisor Dashboard</li> <li><input type="checkbox"/> Opportunities Pipeline</li> <li><input type="checkbox"/> Document Storage/Company Library</li> </ul>	
<p><b>Advanced Integration</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Email Integration</li> <li><input type="checkbox"/> Outlook Calendar Integration</li> <li><input type="checkbox"/> Voice to Text Integration</li> </ul>	
<p><b>Individual User-Preferences</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Set up preferred views for individual use</li> </ul>	

# CRM View Set Ups

Many CRMs are designed specifically with the Financial Services Industry in mind. The CRM comes fully equipped with ready-to-use Views that create a comprehensive dashboard and panoramic view of the client relationship. Many CRMs have the option to create custom user-defined fields as well. These custom fields can then be added to existing Views. This feature allows teams to create the ‘ultimate client dashboard’ based on how they use their CRM.

We’ve provided some sample Views on the next few pages, but we recognize the options are limitless. One word of caution is to make sure your Views are categorized and organized in an easy to access manner. We also recommend you avoid duplication of information – if it is found in one place, it doesn’t need to be seen in two or three more. This creates unnecessary database clutter.

There are also various ways to set up user-defined fields: Open Field Typing, Drop Down Menus, Calendars, or Numbers. You will choose the one most appropriate for the field you are setting up. Below are some recommendations.

## “Client Relationship” Basic Information

Here is a sample of the type of basic information you would want to capture for each client relationship.



**Name:** Open typing field  
**Preferred/Nick Name:** Open typing field  
**Client Classification:** Drop-Down List (AAA, AA, A, AF, B, C, D)  
**Lead FA:** Drop-Down List  
**Region:** Drop-Down List (State or Province)

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**Preferred Method of Communication:** Drop-Down Menu  
**Work #:** Phone number  
**Cell #:** Phone number  
**Email Address:** Open typing field  
**Mailing Address:** Open typing field  
**Birthdate:** Date Field  
**Marital Status:** Drop-Down Menu  
**Preferred Beverage:** Open typing field  
**Referred by:** Open typing field

## “Personal Information” or “Client Profile”

Here is a sample of the type of information you should know about your very best clients.

### CURRENT EVENTS

**Preferred Method of Contact:** Open typing field or Drop-Down Menu

**Favorite Beverage:** Open typing field

**Important Information:** Open typing field



### FAMILY

**Names and ages of Children:** Open typing field

**Names and ages of Grandchildren:** Open typing field

**Parents and/or Grandparents:** Open typing field

**Siblings:** Open typing field

**Pets:** Open typing field

**Health Issues and Special Situations:** Open typing field

**Anniversary Date:** Calendar

### OCCUPATION

**Occupation:** Open typing field

**Title:** Open typing field

**Employer:** Open typing field

**Education:** Open typing field

**Successes or Accomplishments:** Open typing field

**Retirement Goal:** Date Field

### RECREATION

**Travel:** Open typing field

**Interests, Hobbies & Recreation:** Drop-Down Menu

**Other Neat Stuff:** Open typing field

**Music:** Open typing field

**Charities and Service Clubs:** Open typing field

**Alumni:** Open typing field

## Detailed “Client Experience” View

Here is a sample of the type of information you should know about your very best clients beyond the typical client service activities such as Review Meetings, Relationship Calls, Emails, etc. which are tracked through other means within the CRM.

### Moments of Truth



**Moments of Truth:** Open typing field

Date & Type of Moment of Truth  
Description of card sent, acknowledgement, etc.

Note: These are ordered from most recent to most distant.

### Client Events

**Client Events:** Open typing field

Track which events clients have attended. These are ordered from most recent to most distant.

OR --

**Client Events:** Drop-Down List

Check which ones they've attend to easily generate lists of who has attended each event.

### Other

**Other:** Open typing field

# Detailed “Client Engagement” View

Here is a sample of the type of Client Engagement information a team may want to capture on the CRM to get an instant snapshot of the client’s level of engagement. This also highlights future opportunities with clients.

**FINANCIAL PLANNING** 

**Financial Planning:** Open typing field  
**PFO Binder:** Open typing field  
**Private Banking:** Open typing field  
**Other:** Open typing field

**INVESTMENT MANAGEMENT**

**Investment Management:** Open typing field  
**Account Types:** Drop-Down List  
**Trading Authorizations:** Open typing field  
**Systematic Investment Plans:** Open typing field  
**Systematic Withdrawal Plans:** Open typing field

**INSURANCE SOLUTIONS**

**Life Insurance:** Open typing field  
**Disability Insurance:** Open typing field  
**Long-Term Care or Critical Illness Insurance:** Open typing field

**ESTATE PLANNING**

**Lawyer:** Open typing field  
**Estate Plan:** Open typing field  
**Date of Will:** Open typing field  
**Location of Will:** Open typing field  
**Power of Attorney:** Open typing field  
**Estate Planning Business:** Drop-Down (N/A or Yes – Refer to Business Owner View)

**TAX PLANNING**

**Accountant:** Open typing field  
**Special Tax Information:** Open typing field  
**Taxable Income:** Open typing field  
**Contribution Room:** Open typing field  
**Deduction Limit:** Open typing field

## “Banking Information” View

Here is a sample of the type of banking information you may want to keep within your CRM system.

### Joint Banking Information



**Joint Bank Name:** Open typing field  
**Joint Bank Address:** Open typing field  
**Joint Branch Transit (5 digits):** Numbers  
**Joint Financial Institution (3 digits):** Numbers  
**Joint Account # (12 digits):** Numbers  
**Joint Type of Account:** Open typing field  
**Joint Name on Account:** Open typing field

### Client 1 Banking Information

**Bank Name:** Open typing field  
**Bank Address:** Open typing field  
**Branch Transit (5 digits):** Numbers  
**Financial Institution (3 digits):** Numbers  
**Account # (12 digits):** Numbers  
**Type of Account:** Open typing field  
**Name on Account:** Open typing field

### Client 2 Banking Information

**Bank Name:** Open typing field  
**Bank Address:** Open typing field  
**Branch Transit (5 digits):** Numbers  
**Financial Institution (3 digits):** Numbers  
**Account # (12 digits):** Numbers  
**Type of Account:** Open typing field  
**Name on Account:** Open typing field

## “Business Owner” View

Here is a sample of the type of banking information you may want to keep for clients who are Business Owners.

### Business Summary:



**Corporate Name:** Open typing field  
**Business Number:** Numbers  
**Bank Name:** Open typing field  
**Bank Address:** Open typing field  
**Bank Transit & Institution#:** Numbers  
**Company type:** Open typing field  
**Owner 1: Name – Relationship:** Open typing field  
**Owner 1: % of Ownership:** Open typing field  
**Owner 2: Name – Relationship:** Open typing field  
**Owner 2: % of Ownership:** Open typing field  
**Owner 3: Name – Relationship:** Open typing field  
**Owner 3: % of Ownership:** Open typing field  
**Owner 4: Name – Relationship:** Open typing field  
**Owner 4: % of Ownership:** Open typing field

### Business Needs:

**Commercial Banking:** Open typing field  
**Commercial Lending:** Open typing field  
**Commercial Insurance:** Open typing field  
**Key Man Insurance:** Open typing field  
**Other:** Open typing field

# Adding Action Plans & Workflows

Here is a list of possible Action Plans you can use to create automated workflows on your CRM.

Note, if you want similar Action Plans to be batched together for ease of access, they should all have the same first name as a prefix (i.e., CLIENT Experience, NEW Client, EXISTING Client) because items are organized alphabetically. Most CRMs will also order in chronological order, so an alternate to this approach is numbering your Action Plan (i.e., 1 Client Experience AAA, 2 Client Experience AA, etc.). Some teams use a hybrid approach by numbering the most frequently used Action Plans, so they are always at the top of the list.

## Action Plans related to Mindset Best Practices

Some CRMs have specific features to manage the ongoing servicing of clients while others are managed through setting up workflows or action plans that can be applied to specific clients.

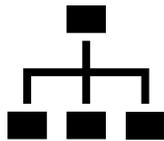


For each Action Plan you build out the specific steps, who on the team is responsible for each one (more than one person may be involved in a single process), as well as the specific timing of each step.



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## CLIENT ADMINISTRATION



- Address Change – Digital Form
- Address Change – Email
- Address Change – Regular Mail
- Client Account Opening – By Phone
- Client Account Opening – In Office
- Client Account Opening – Out of Office
- Death of a Client
- Deposit – Cheque Received
- Deposit – Online Deposit/Wire
- Estate Planning – Fact Finding
- Insurance – Annuity
- Insurance – Life Insurance New Application
- Insurance – Individual Disability New Application
- Insurance – Long Term Care New Application
- Insurance – Group Insurance New Contact
- Insurance – Group Insurance Quote
- Mortgage – New
- Mortgage – Refinancing
- Mortgage – Pre-Approval
- Recurring – AWD Change
- Recurring – AWD Set Up
- Recurring – EFT Change
- Recurring – EFT Set Up
- Recurring – PAC Change
- Recurring – PAC Set Up
- RRSP Deadline Action Plan
- RRIF Conversion Sequence
- Segregated Funds – New Contract
- Tax Planning Reminder
- Transfer In Internal – Securities
- Transfer In Internal - Cash
- Transfer In External – In Kind
- Transfer In External – In Cash
- Transfer Out – In Kind
- Transfer Out – In Cash
- Update KYC – By Phone
- Update KYC – In Office

