Telephone / Video Call Review Process

Step	Activity	Timescale	Who	Tools
1. ISSUE ANNUAL REVIEW PACK	• Issue annual review documentation to clients which is to include the following: o Annual review letter/electronic communication o A copy of valuations o A table of aggregated costs & charges o Factfind containing currently held info (system generated) o Results of the latest risk profile assessment o Latest Terms of Business • Diarise to check if client has responded to the communication for 3 weeks later.	4 weeks prior to the chosen review date 4 weeks prior to the chosen review date	CRM CRM	• IO • Outlook • Telephone Annual review notification • Valuation • Breakdown of costs • Completed factfind • ATR • ToB
2. ACTION OUTCOMES	• If client do not respond to the annual review communication, issue a review follow up letter/electronic communication and update back office system. • If client responds to the paperwork with updated information, then update back office systems and pass on to PP for review. • If client requests a review call or rings with questions then organise a 30-minute review call/video call (4 weeks lead; plus 30min for notes), schedule in Outlook, book meeting room, and issue a meeting confirmation letter/electronic communication.	3 weeks from 1.1 Within 24hrs from receipt Within 24hrs from request	CRM CRM CRM	• Review Follow up letter/electronic communication • Meeting confirmation letter/electronic communication

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3. UNDERTAKE A REVIEW OF CLIENT INFO	• If no review call needed but client data received; undertake a review of changes reported by the client to assess suitability of existing advice and draft recommendations if relevant (follow Advice Process) or issue a letter confirming suitability of existing advice upon being signed off by FP. • If an annual review call has to be scheduled, inform the CRM and highlight issues that need to be raised by the FP but don't draft recommendations until after the call. Then follow standard advice process. • If relevant, organise a 30-minute review call/video call (4 weeks lead; plus 30min for notes), schedule in Outlook, book meeting room, and issue a meeting confirmation. • Provide FP with review findings 2 weeks prior to review call/ video call	Within 2 weeks from receipt Within 2 weeks from receipt Within 24hrs from instruction 2 weeks prior to review call	PP PP CRM PP	• Suitability Letter/ electronic communication • Confirmation of suitability letter/ electronic communication • Meeting confirmation
4. TELEPHONE REVIEW MEETING	• FP to undertake a 30min review telephone/video call with clients • FP to discuss changes to the way the firm operates and encourage clients to move up in the service offering.	On the day of the call	FP	• Annual review meeting file note • A copy of the annual review meeting pack

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5. DOCUMENT REVIEW OUTCOMES	• FP to prepare Annual Review Meeting File Note • FP to pass all documentation onto Admin • Admin to update back office accordingly and ensure documentation scanned • Admin to diarise any action points/set tasks as per the file note	Immediately after the call Same day Within 24 hrs Within 24 hrs	FP FP/CRM CRM CRM	• IO • SharePoint • Review Meeting File Note
6. MEETING FOLLOW UP	• Annual Review Follow Up Letter/ electronic communication to be prepared and sent out by CRM once signed off by the FP	Within 24 hours from meeting	CRM/FP	• IO • Annual Tel Review Follow Up Letter/ electronic communication
7. REPORT - FINANICIAL PLAN OR SUITABILITY PREPARATION	• If step 5 required, please follow advice process			

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Live Better

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