



# ACCOUNTABILITY IDENTIFIER

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## Business Strategy & Management

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Providing vision & direction for the business	e.g. MD	e.g. Clear and achievable visions for the business
Bringing the vision into life (execution)		
Creating & maintaining processes, procedures and internal standards		
L10 meetings		
Team Management		
Finance Management		

## Client Relations

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Client acquisition		
Managing existing client relationships		
1 <sup>st</sup> point of contact for clients		
Ensuring excellent client experience		
Meeting & greeting clients on arrival/ reception duties		

## Review Process

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Conducting client reviews		
Preparing client reviews		
Organising client reviews		
Preparing review follow ups		
Ensuring actions from reviews are completed		

### Review Process (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Preparing File Notes		
Back office system update(s)		

### Financial Planning

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Fact finding		
Conducting client meetings		

## Financial Planning (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Cash flow forecasting		
Formulating advice		
Writing suitability/ financial plans		
Recommending rebalances & cost implications		
Carrying out technical calculations		

## Financial Planning (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Accessing client needs and providing recommendations		
Preparing meeting notes		
Responding to client emails of a technical nature		
Undertaking risk assessment and capacity for loss		

## General Client Servicing

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Responding to client emails		
Working through file note actions		
Diary & info chasing		
Ensuring delivery of service components throughout the year		



## Client related Administration

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Ensuring back office system(s) etc are up to date		
New business processing		
Valuations		
Existing business servicing e.g. withdrawals		
Rebalances and switches		

**Client related Administration (continued)**

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Sending LoAs		
Checking info from providers for completeness		
Chasing product providers		
Obtaining applications, illustrations etc		
Pre-populating application forms		

### Client related Administration (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Drafting client correspondence		

### General Administration

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Answering phones		
Filing/scanning		
Post		
Ordering of stationary		

## General Administration (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Ordering consumables		
Typing		
Creating packs & binding		
Collating basic MI information for scorecards		

## Investment philosophy & research

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Creating and reviewing Investment Philosophy		
Organisation of investment board meetings		
Organisation of materials for invest. board meetings		
General research		
Platform due diligence		

## Investment philosophy & research (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Portfolio due diligence		
Product due diligence		
Changes to suitability templates & financial plans		
Portfolio recommendations		
Risk profiling & capacity for loss		

## Investment philosophy & research (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Creating company standards related to recommendations & assumptions		

## Marketing

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Creation of a marketing plan & budget		
Organisation of events & seminars		
Production of marketing materials		
Keeping marketing materials current and updated		

Marketing (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Writing articles/blogs/newsletters		
Editing articles/blogs/newsletters		
Issuing of articles/blogs/newsletters		
Prospecting – professional connections		
Speaking engagements		



## Compliance<sup>1</sup> & Legal

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Chief Executive (SMF1)		
Executive Director (SMF3)		
Partner (SMF27)		
Chair (SMF9)		
Compliance Oversight (SMF16)		

<sup>1</sup> Based on Core firms

Compliance & Legal (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Money Laundering Reporting Officer (SMF17)		
Performing firm's obligations under the SMR, including implementation and oversight		
Performing firm's obligations under the Certification Regime		
Performing firm's obligations in respect of notifications and training of the Conduct Rules		
Responsibility for the firm's policies and procedures for countering the risk that the firm might be used to further financial crime		

## Compliance & Legal (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
General assistance with compliance tasks		
Keeping compliance procedures and registers/logs up to date		
Regulatory returns e.g. RMAR		
Ensuring compliance with all regulations (not just FCA) and execution of actions needed		
DP/Privacy Officer		

## Compliance & Legal (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Companies house returns		
PII renewals		

## HR

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Team management		
Holiday & sick registers and sign offs		

HR (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Hiring new members of staff		
Termination of existing contracts		
Appraisals		
Training & development		
Bonus structures		

### HR (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Liaising with employment lawyers and recruiters		
Organisation of Team Days		

### Finance

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
General bookkeeping		
Income & fee reconciliations		

Finance (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Budgeting		
Financial Forecasting		
Invoicing		
Payment of invoices		
Payroll		

### Finance (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Preparation of financial MI		
Year-end accounts		

### IT

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Maintenance of IT systems		
Information Security related procedures		



IT (continued)

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Disaster Recovery Planning & testing		
IT equipment		
Website maintenance		

Other

TASK	PERSON ACCOUNTABLE	EXPECTED RESULT / OUTCOME
Building maintenance		
Health & safety		
First Aid		
Office coordination		