



ONBOARDING PLAN

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Name:

Job Title:

Supervisor's Name

Start Date



Resolve
Implement
Enjoy

ONBOARDING PLAN

TRAINING DURATION

We expect the training and the transfer of learning to be completed within 3 months of joining.

GENERAL CHECKLIST FOR DAY 1

MODULE	SUBJECT	DATE COMPLETED	BY WHOM
1	COMPUTER & NETWORK ACCESS AVAILABLE AND WORKING		
2	ACCESS TO INTERNAL SYSTEMS & TRAINING ARRANGED		
3	EMAIL ACCESS ARRANGED AND WORKING		
4	ACCESS TO THE BUILDING ORGANISED		
5	TELEPHONE EXTENSION ORGANISED		
6	AGREEMENTS/CONTRACTS SIGNED		
7	EMERGENCY CONTACT DETAILS OBTAINED		
8	HEALTH & SAFETY COVERED		
9	STAFF HANDBOOK PROVIDED		
10	RELEVANT BOOKS, TUTORIAL VIDEOS AND OTHER MATERIALS PROVIDED		

ONBOARDING PLAN

FIRM SPECIFIC

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	BRIEF HISTORY OF THE COMPANY					
2	PHILOSOPHY, MISSION, VISION & VALUES					
3	BUSINESS PLAN					
4	ORGANISATIONAL STRUCTURE (INCL. WIDER SUPPORT)					
5	JOB DESCRIPTION & PERSONAL ROCKS					
6	SERVICE PROPOSITIONS & PRICING					
7	CLIENTS					
8	BRIEF OVERVIEW OF THE CLIENT JOURNEY					
9	BRIEF OVERVIEW OF THE INVESTMENT PHILOSOPHY					
10	BRIEF OVERVIEW OF COMPANY MARKETING					
11	BRIEF OVERVIEW OF PROCESSES AND PROCEDURES					
12	STRUCTURE OF INTERNAL MEETINGS & COMMS					
13	INTERNAL SERVICE STANDARDS					

ONBOARDING PLAN

COMPLIANCE SPECIFIC

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	FIRM'S COMPLIANCE OVERVIEW					
2	THE T&C PROGRAMME					
3	ANTI-MONEY LAUNDERING					
4	COMPLAINTS PROCEDURE					
5	REGISTERS & REPORTING					
6	GDPR & INFORMATION SECURITY					
7	PROFESSIONAL INDEMNITY					

ONBOARDING PLAN

HR SPECIFIC

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	HR REGISTERS & PROCEDURES					
2	CODE OF CONDUCT					
3	GROUP SCHEMES					
4	STAFF REMUNERATION & REWARD STRUCTURE					
5	APPRAISALS PROCESS					
6	RECRUITMENT PROCESS					

ONBOARDING PLAN

FINANCE SPECIFIC

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	FINANCIAL REPORTING (INCL. MI) & FORECASTING					
2	GENERAL BOOK-KEEPING & ACCOUNTING					
3	BANKING					
4	PAYROLL					
5	INVOICING					
6	INCOME & FEE RECONCILIATIONS					

ONBOARDING PLAN

ADVICE SPECIFIC

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	DATA COLLECTION					
2	RISK PROFILING					
3	ONBOARDING PROCESS					
4	SUITABILITY LETTER PRODUCTION					
5	INVESTMENT PHILOSOPHY & RELEVANT PROCESSES					
6	PRODUCT AND FUND DUE DILIGENCE					
7	NEW BUSINESS PROCESS (INCL. PLATFORM TRAINING)					
8	CASH FLOW PLANNING					
9	ANNUAL REVIEWS PROCESS					
10	QUALITY CONTROL					
11	MANAGING ONGOING SERVICING REQUESTS (E.G. TOP UPS, WITHDRAWALS)					

ONBOARDING PLAN

SYSTEM SPECIFIC

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	INTRO TO THE BACK-OFFICE SYSTEM					
2	WORKFLOW & TASK MANAGEMENT					
3	DIARY MANAGEMENT					
4	DOCUMENT MANAGEMENT					
5	FILE STRUCTURE AND DOCUMENT NAMING CONVENTIONS					
6	SHARING CLIENT DATA WITH CLIENTS AND INTERNALLY					
7	BOOK-KEEPING & ACCOUNTANCY SYSTEMS					
8	PASSWORD MANAGEMENT SYSTEM					
9	TELEPHONE SYSTEM					
10	RESEARCH TOOLS					

ONBOARDING PLAN

GENERAL

SCHEDULE OF TRAINING

MODULE	SUBJECT	TRAINING DUE DATE	LEAD TRAINER	DATE COMPLETED	EVIDENCE OF LEARNING (E.G. 1:2:1 OR TEST)	DATE SIGNED OFF AS COMPETENT
1	MANAGING INCOMING & OUTGOING POST					
2	BOOKING TRAVEL					
3	OPENING & CLOSING OFFICE					
4	PETTY CASH					
5	ORDERING OFFICE SUPPLIES					
6	MEETING & GREETING CLIENTS					

ONBOARDING PLAN

SUPERVISOR'S SIGN OFF – ONBOARDING PLAN & PROBATION COMPLETED

SUPERVISOR'S ONBOARDING SUMMARY

ONGOING SUPERVISION

SUPERVISOR'S SIGNATURE

DATE