**TRAINING & COMPETENCE**

 **1-2-1 MEETING NOTES**

|  |  |  |  |
| --- | --- | --- | --- |
| **Adviser Name**  |  | **Job Title** |  |
| **Supervisor Name** |  | **Meeting Date** |  |
| **Reviewer(s)** |  | **Date of last review** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| GRADE CONVENTION | Competent | Competent with follow up actions | Not competent |

|  |  |  |  |
| --- | --- | --- | --- |
| OVERALL GRADE | Competent | Competent with follow up actions | Not competent |

# Section 1 - Actions carried forward from last 121

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|  |  |  |  |
| --- | --- | --- | --- |
| Grade | Competent | Competent with follow up actions | Not competent |

section 2 – Review of development plan

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|  |  |  |  |
| --- | --- | --- | --- |
| Grade | Competent | Competent with follow up actions | Not competent |

Section 3 – review of CPD

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|  |  |  |  |
| --- | --- | --- | --- |
| Grade | Competent | Competent with follow up actions | Not competent |

# section 4 – Review of Production

|  |  |  |  |
| --- | --- | --- | --- |
| Grade | Competent | Competent with follow up actions | Not competent |

# section 5 – Review of Client file assessments

NEW BUSINESS

* *Engagement Letters:* …
* *Fact Finding (Objectives, balance sheet, income statement, soft facts):* …
* *Risk (Capacity and Attitude):* …
* *Ceding Scheme Analysis:* …
* *Suitability (all of the above plus justification):* …

ANNUAL REVIEWS

* *Data refresh:* …
* *Risk (Capacity and Attitude):* …
* *Compliant post review letter:* …

|  |  |  |  |
| --- | --- | --- | --- |
| Grade | Competent | Competent with follow up actions | Not competent |

# section 6 – review of kpi’s

* Client drop-off (annually) – …
* Range of Advice (Products) – ...
* Complaints Record – …
* Source of Business – …
* Percentage of annual reviews completed – ...
* Add other firm specific KPIs

|  |  |  |  |
| --- | --- | --- | --- |
| Grade | Competent | Competent with follow up actions | Not competent |

section 7 – other matters

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sEction 8 – actions in anticipation of next 121

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| --- | --- | --- | --- |
| **Signature** |  | **Signature** |  |
| **Adviser** |  | **Supervisor** |  |
| **Date** |  | **Date** |  |

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