

Responsible advice integration roadmap

Step-by-step implementation framework

No	Key milestones	Details / key considerations	Tools	Implementation
1	Market research	<ul style="list-style-type: none"> Products and styles available Client bank needs 	<ul style="list-style-type: none"> Third party (TPs) sites / IA definitions Survey 	<ul style="list-style-type: none"> CPD / documented outcomes/files Mailing (electronic and hard copy)
2	Proposition development	<ul style="list-style-type: none"> Survey outcomes Business investment philosophy Short listed research 	<ul style="list-style-type: none"> Business proposition doc Due diligence (DD) – tools and TPs 	<ul style="list-style-type: none"> Investment Committee (IC) DD selections Updated proposition documents with responsible investments
3	Advice integration process	<ul style="list-style-type: none"> Expanded factfinding process Proposition matrix Suitability reports 	<ul style="list-style-type: none"> Responsible investing questionnaire Menu style choices (all options) Responsible suitability paragraphs 	<ul style="list-style-type: none"> Soft skills development (framing questions) New marketing documents (consumer guides) New templates
4	Marketing	<ul style="list-style-type: none"> Education Sales Reporting 	<ul style="list-style-type: none"> Client guides, blogs, ESG updates / developments Sales aids, brochures Reports, fund manager (FM) collateral 	<ul style="list-style-type: none"> Website, social media, newsletters, email, mailings PDFs, emails Integrated into business review processes
5	Maintenance and development	<ul style="list-style-type: none"> Ongoing market research Product DD Client surveys Enhanced proposition and marketing 	<ul style="list-style-type: none"> Webinars, websites, FMs/TPs etc Standard research, TP reports, FM reports Industry and client bank Ongoing developments (enhanced offering etc) 	<ul style="list-style-type: none"> CPD and meetings IC documented outcomes Reading and mailing/review responses IC and proposition development (as above)

Source: CT for illustrative purposes only

Adviser support – responsible investing



CT Responsible Investment tool kit:

Content includes: Consumer facing guides, adviser templates and thought leadership articles

Important information

The information, opinions, estimates or forecasts contained in this document were obtained from sources reasonably believed to be reliable and are subject to change at any time.

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Adviser support – independent research

Independent resources	Description
fundecomarket.co.uk	Fund comparison / fact finding
rsmr.co.uk	SRI/responsible fund ratings
morningstar.co.uk	Sustainability ratings
3dinvesting.co.uk	3D star rating
msci.com	ESG fund ratings
worthstone.co.uk	Impact investment resource hub
impactlens.com	Assessment of responsible funds
squaremileresearch.com	Responsible fund ratings
ii.co.uk (Interactive Investor)	Ethical investing

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