

# WEALTH OPS | Scalability Audit

**Goal:** To determine if your firm is currently built on a "Hero-Based" model (dependent on you) or a "System-Based" model (built to scale).

**The Reality Check: A Note on Transparency:** Before you begin, a word of advice: **Be honest.** In operations, "good enough" is often the enemy of "scalable". If you find yourself wanting to round up your score, ask yourself: *"If I stepped away for a month, would this process actually hold up, or would it crumble?"* **A low score today isn't a failure**—it's a data point. It's the map that shows you exactly where the Operational Chaos is hiding so you can begin to build your roadmap out of it.

## Part 1. The "Firefighting" Diagnostic

Rate each statement from 1 (Never) to 5 (Always):

- 1. **The Out-of-Office Test:** If I took a two-week vacation without my laptop, the firm's core operations would continue without a single emergency phone call.
- 2. **Documented DNA:** Every core process (onboarding, billing, reporting) is documented so clearly that a new hire could execute it with 90% accuracy on day one.
- 3. **Strategic Space:** I spend at least 20% of my week working on the business (designing systems) rather than in the business (executing tasks).
- 4. **Data-Driven Decisions:** I have a real-time KPI dashboard that tells me our current capacity and error rates, so I don't have to guess how we are performing.

**Part 1 Score:** \_\_\_\_\_ / 20

## Part 2. The Scalability Friction Points

Check which of these "Chaos Triggers" are currently present in your firm today:

- The "Tribal Knowledge" Trap:** Only one person knows how to do a specific, critical task.
- The Manual Loop:** We are still manually entering the same data into multiple systems (CRM, Planning, Custodian).
- The Capacity Ceiling:** We want to add new clients, but the operations team is already at a breaking point.
- The Communication Gap:** Tasks often fall through the cracks because we rely on email and office chats instead of a centralized workflow tool.

### Part 3. The Results & The Roadmap

Compare your Part 1 Score to the levels below

- **Score 16-20 (The Architect):** Your systems are strong. You are ready to focus on Fortune 500-level optimization and high-performance culture.
- **Score 10-15 (The Builder):** You have the foundation, but Operational Chaos is starting to leak in. You need to automate workflows and define clear KPIs.
- **Score Below 10 (The Firefighter):** You are in a "Department of One" cycle. Your firm's growth is currently limited by your personal bandwidth.

### Part 4. The Strategic Reflection

Identifying a gap is the first step toward building a bridge. Use your checkmarks from Part 2 to answer these reflection questions to translate your audit score into a clear focus for the coming quarter.

**The Reclaimed Time Opportunity:** If you could eliminate the "Manual Loops" or "Tribal Knowledge" traps identified in Part 2, what high-level strategic project would you finally have the capacity to lead?

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**The Scaling Gap:** Based on your current "System-Dependency" score, is your firm's infrastructure prepared to handle your growth goals for the next 12 months without increasing your personal "firefighting" time?

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**The Leadership Pivot:** What is one specific "Chaos Trigger" you can commit to architecting out of your firm's daily operations this month?

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Identifying your firm's "Chaos Triggers" is the first step toward reclaiming your time. **The Wealth Ops Executive Forum** is a dedicated braintrust designed specifically for Operations Leaders ready to transition from "Firefighting" to "Architecting."

**Register today!**

