Podio Processes

Prepared for
Sentry Group Pty Ltd & Wealth Today Pty Ltd
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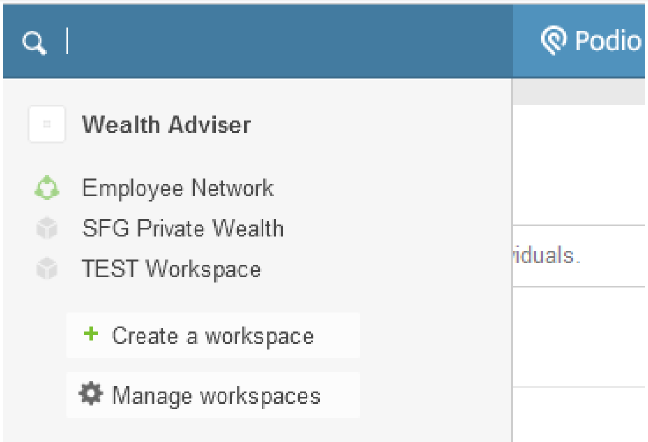
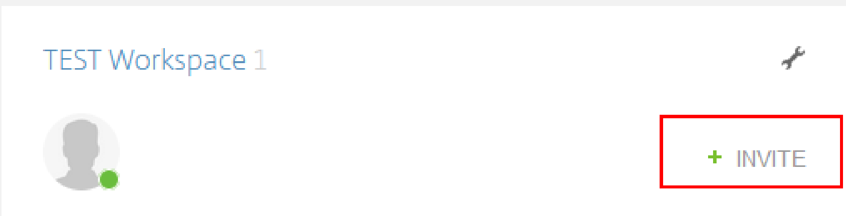
Podio is the workflow system that the Central Advice Team will use to manage peer reviews of Self-Produced and Integrated Paraplanner produced advice documents. Each practice will have their own ‘Workspace’ where they are able to upload ‘Peer Review Requests’ and ‘Paraplanner Requests’.

Please see the below processes for how to set up Podio and submit each request type.

Set Up Podio Accounts

Step	What happens	Notes
1	Go to the Podio website (https://podio.com/) and click the ‘Sign Up’ Button on the top right.	Advisers will receive an invite link from Wealth Adviser CAT to join their workspace when it has been set up. That link will take you straight to Step 2.
2	Follow the registration steps on the Podio website.	You will receive a verification email to finalise your registration.
3a	Advisers will have access to their practice’s Workspace already via the ‘Go to a workspace’ search bar on the top left.	
3b	For all other users, someone with existing access to the practice Workspace will need to invite you. To do this, go to the workspace and click ‘Invite’.	
4	Once you have access to the Workspace, you can start putting in ‘Peer Review Requests’ and ‘Paraplanner Requests’.	Refer to process steps on following pages.

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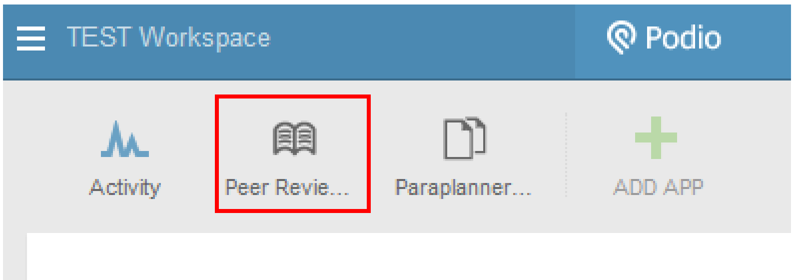
Peer Review Requests
(For Self-Produced Advice Documents)

Step	What happens	Notes
1	On your practice's Workspace, click the 'Peer Review Request' button on the top left.	
2	Click 'Add Peer Review' on the top right.	On this page, you can see all previously submitted requests.
3	On the form, fill in all numbered steps as per the sample. Tag 'Wealth Adviser CAT' as Reviewer.	Refer to Appendix 1 for sample request. For 'File', please upload: • Advice document, • Self-Produced Checklist, and • All relevant client files (N/A if CAT has access to your files).
4	CAT will peer review the advice document and client file.	Advisers should familiarise themselves with the Self-Produced Checklist to ensure all files are uploaded so there are no delays in the SOA review process. Occasionally further action items may come out of the peer review process. These will generally be communicated via Podio.
5	Any feedback is communicated via Podio and SOA is ready to present.	Assuming all steps are followed, typical SOA turnaround time should be no longer than 2 days. In cases where there are substantial changes to the advice or advice is higher risk, SOA may need to be sent back to CAT for a 2nd review.

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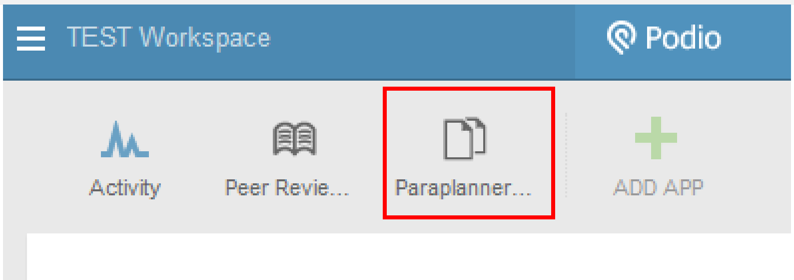
Paraplanner Request
(To send requests to an Integrated Paraplanner)

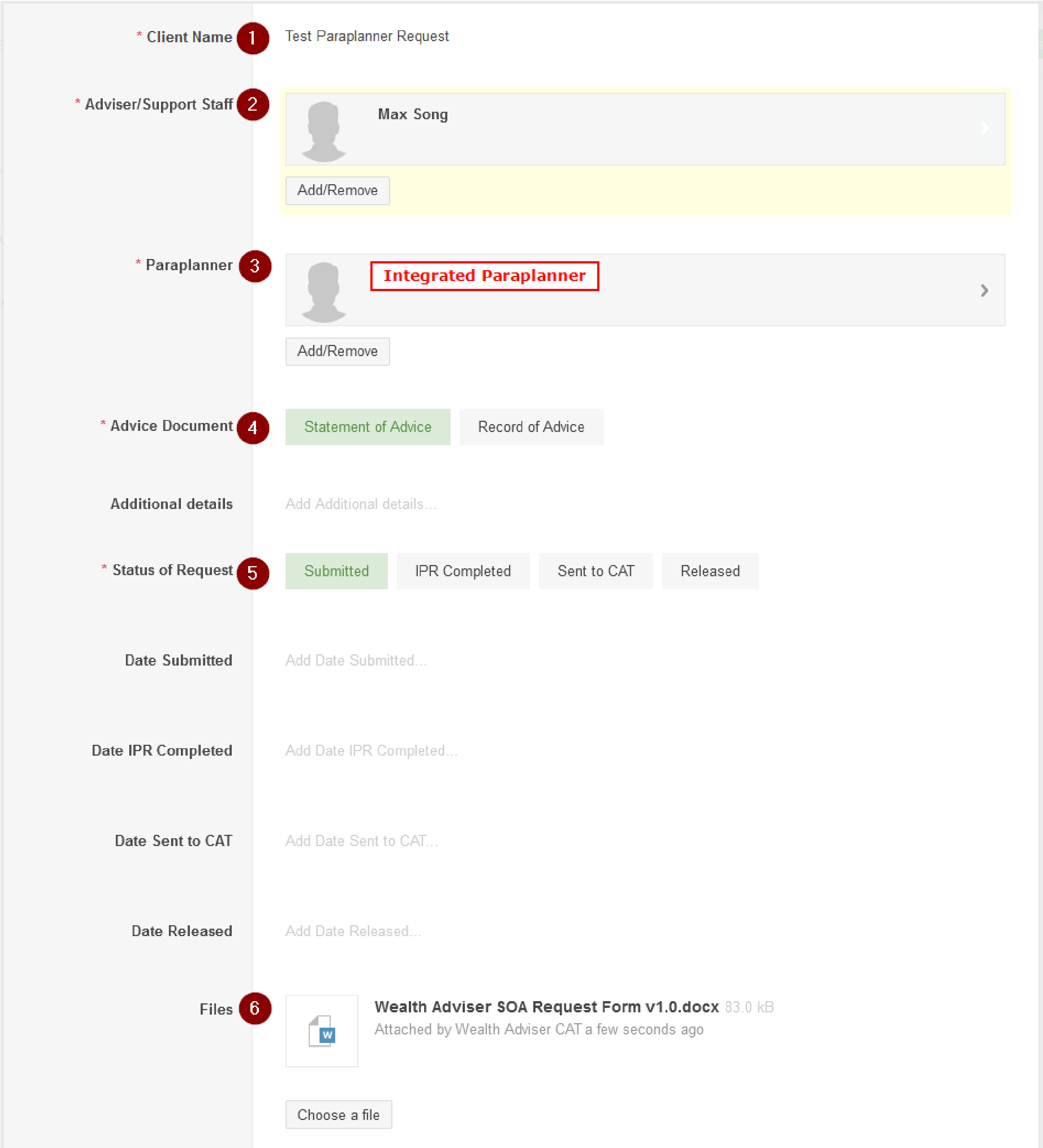
Step	What happens	Notes
1	On your practice's Workspace, click the 'Paraplanner Request' button on the top left.	
2	Click 'Add Paraplanner Request' on the top right.	On this page, you can see all previously submitted requests.
3	In the form, fill in all numbered steps as per the sample. Tag your integrated paraplanner as the 'Paraplanner'.	Refer to Appendix 2 for sample request. For 'File', please upload: • SOA Request Form, and • All relevant client files (N/A if paraplanner has access to your files).
4	The Paraplanner will review the SOA Request Form and check file against the IPR checklist.	IPR checklist can be found in the ARC/SHC. Advisers should familiarise themselves with it to ensure no delays in commencement of plan writing.
5	SOA is allocated to a paraplanner for writing which will commence as soon as IPR is complete.	The IPR may result in further action items for the adviser to do before the SOA can be written.
6	SOA is sent to CAT for peer review of the advice document and client file.	CAT will communicate feedback on the advice document to the paraplanner directly.
7	SOA is ready to release and any feedback is communicated. This will be done via email directly.	There may be final changes to the SOA or client file for you to complete before presenting the advice document.

Note: Each Practice can nominate their Integrated Paraplanner who will be invited to their Workspace. If you wish to add, update or remove an integrated paraplanner, please let CAT know via email (centraladvice@wtfglimited.com).

Appendix 1 – Sample Peer Review Request

* Client Name 1	Test Peer Review Request
* Reviewer 2	Wealth Adviser CAT Add/Remove
CAT Member	Add CAT Member...
* Advice Category 3	SOA Review · ROA Review · Execution Only Review
Additional Details	Add Additional Details...
* Status 4	Submitted · Incomplete File · Resubmitted · Reviewed - Not Released · Released
Date Submitted	Add Date Submitted...
Date Reviewed	Add Date Reviewed...
Date Released	Add Date Released...
Files 5	**Sample SOA.doc** 710.5 kB Attached by Wealth Adviser CAT a few seconds ago Choose a file

Appendix 2 – Sample Paraplanner Review Request



* Client Name 1	Test Paraplanner Request
* Adviser/Support Staff 2	Max Song Add/Remove
* Paraplanner 3	Integrated Paraplanner Add/Remove
* Advice Document 4	Statement of Advice · Record of Advice
Additional details	Add Additional details...
* Status of Request 5	Submitted · IPR Completed · Sent to CAT · Released
Date Submitted	Add Date Submitted...
Date IPR Completed	Add Date IPR Completed...
Date Sent to CAT	Add Date Sent to CAT...
Date Released	Add Date Released...
Files 6	Wealth Adviser SOA Request Form v1.0.docx 83.0 kB Attached by Wealth Adviser CAT a few seconds ago Choose a file