

## 1. Apply

**RIAA Member** contacts RIAA to obtain relevant Program documentation and log in details to Responsible Returns

Submits completed Application Form online for Products, Superfund/KiwiSaver and IMS; manual form for Financial Advisers and Dealer Groups

### Documents

Program Overview & Guidance, including Program Code of Conduct

Program Requirements by Category

Invitation to Collaborate on Responsible Returns

## 2. Assess

8 weeks

**RIAA Staff** undertake preliminary assessment, scoring and reports to the Certification Assessment Panel (CAP)

**CAP Members** receive and review application and RIAA Report; and make determination.

**CAP Members** return completed assessment and recommendation to RIAA Staff for appropriate record keeping and communication with Applicant

### Documents

Program Application Form (online)

Program Quality & Threshold Principles

Certification Assessment Panel Terms of Reference

## 3. Contract

**RIAA Staff** contact successful Applicant and provide Certification Symbol Trade Mark Licence Agreement for execution

### Documents

Certification Symbol Licensee Agreement

## 4. Promote

**RIAA Staff** provide Licensee Marketing Kit & Style Guide, Symbol files for use to Applicant

**RIAA Staff** approve and publish Applicant certification information on Responsible Returns; promote new Program participant

### Documents

Licensee Marketing Kit & Style Guide

## 5. Verify

Within 12 months

For new product provider, superfund or IMS, within 12 months of Program entry, **RIAA Staff** arrange a time for Third Party Verification of application; ensure levy and fees are known and payable

### Documents

Third Party Verification Guidance