

Self Assessment Questionnaire

1	MANAGEMENT CONTROLS When completing this section, consider the controls your firm has in place	Yes	No	N/A
1.1	Checklists <ul style="list-style-type: none"> We use e-dealing checklists (or an equivalent online workflow recording system) as a means of evidencing the e-dealing checks we undertake. Our checklists separate the duties performed by the Primary Contact (PC) from the Conveyancing Professional (CP). 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Internal audit <ul style="list-style-type: none"> We have a post-registration peer review/internal audit process to check that conveyancing transactions we have registered via Landonline meet all the legal requirements. The internal audit results feed into continuous improvement initiatives for the firm. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Landonline digital certificate security protocols <ul style="list-style-type: none"> We understand our obligations and comply with the Landonline Terms and Conditions and Digital Certificate (DC) User Obligations (www.linz.govt.nz/land/landonline/get-started/landonline-terms-and-conditions and www.linz.govt.nz/kb/271), including: <ul style="list-style-type: none"> The importance of maintaining the security and integrity of digital certificates. Only the individual user knows and enters the passphrase during the DC download process. Passwords and passphrases are unique and confidential to each individual user. I am a sole practitioner and have contingency plans in place so that transactions can be completed if I am unexpectedly absent from work. 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Reinforcing key e-dealing requirements <ul style="list-style-type: none"> We reinforce key requirements received in publications such as Landwrap or the Property Lawyer, through the following methods: <ul style="list-style-type: none"> Staff meetings Staff training/induction Other. As a sole practitioner I have a support network with my peers that enables me to discuss best practice and compliance requirements. The NZLS Property Law Section Property Transactions and E-Dealing Practice Guidelines (PLS Guidelines) and Conduct and Client Care Rules for lawyers and conveyancing practitioners are made visible and reinforced within the firm: www.lawsociety.org.nz/pls 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	File retention <ul style="list-style-type: none"> Our document management process ensures e-dealing related files are stored securely and can be made available for audit purposes for the statutory 10 year period. We understand what evidence we need to retain to support e-dealing certifications (www.linz.govt.nz/kb/282). 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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2	CERTIFY AND SIGN When completing this section, please consider the process your firm performs prior to certifying and signing an e-dealing	Yes	No	N/A
2.1	Conveyancing Professionals <ul style="list-style-type: none"> Complete e-dealing checklists (or an equivalent online workflow recording system) to evidence the checks that have been performed. Have sufficient knowledge of the transaction to give correct certifications. Check that the authorities needed have been obtained. Check that the Authority & Instruction (A&I) form is completed in its entirety with all names and dates in full, and details of the documents are properly recorded. Check that the client(s) identity has been established in accordance with Authority and Identity Requirements for E-Dealing Standard 2018 - LINZS20018 and Authority and Identity Requirements for E-Dealing Guideline 2018 - LINZG20775. Check that Landonline accurately reflects the intention of the documentation. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2.2	Consents to registration <ul style="list-style-type: none"> Examine existing memorials on the Register to determine whether consents to registration are necessary. Understand what instruments require consent to registration (www.linz.govt.nz/land/land-registration/prepare-and-submit-your-dealing/consent-requirements). When presented with multiple consent options, understand which option applies to the transaction. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2.3	Power of Attorney <ul style="list-style-type: none"> If the Authority & Instruction (A&I) form is signed by an attorney, we ensure that the Power of Attorney is still able to be operated upon, the transaction is within the scope of the Power of Attorney, the identity of the attorney has been verified and the certificate of non-revocation and Power of Attorney is retained as evidence. Where an Enduring Power of Attorney under the Protection of Personal and Property Rights Act 1988 is being relied upon, the entire EPA including donor's witness certificate, certificate of non-revocation and non-suspension, and health practitioner's certificate are held as applicable. 	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
2.4	Statutory requirements <ul style="list-style-type: none"> Are aware of the statutory provisions set out in the Certification of Electronic Instruments (Statutory Requirements and Retention of Evidence) Standard 2018 - LINZS20012 that we are giving certifications under. Have a process in place to ensure that Landonline warning messages such as Māori land flags, leasehold expiry notifications and trusts, are recognised and appropriate actions are taken so that transactions are appropriately certified in terms of section 27 of the Land Transfer Act 2017. Aware of LINZG20728 Guideline for registration of Māori land transactions under Te Ture Whenua Māori Act 1993 (www.linz.govt.nz/regulatory/20728), including: <ul style="list-style-type: none"> What instruments require Māori Land Court involvement. To make enquiries of the Māori Land Court to determine if land is Māori Freehold land. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

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