

# MANAGEMENT & STORAGE OF PROVIDER FILES PROCESS FOR LIMITED AND FAMILY LEGAL ADVICE SERVICE (FLAS) AUDITS

## PURPOSE

The purpose of this document is to provide guidelines for the effective management and storage of provider files that are sent to the Legal Aid Providers team for the purposes of a limited or Family Legal Advice Service (FLAS) audit. This process is designed to ensure the highest care is taken with the information contained in these files and the risk of unauthorised access is minimised.

## SCOPE

This process applies to all files requested and received by the Legal Aid Providers team for the purpose of the Limited and FLAS Audits programme. This process should be read in conjunction with the Ministry's [Data and Information Policy](#) and associated guidelines and legislation.

Our process to ensure effective management and storage of provider files is:

1. A request for file/s will be made in writing to a nominated Provider and updated on the register.
2. The provider will be requested to send all files as signature required courier to Reception at National Office, Level 3, 19 Aitken Street, Thorndon, Wellington.
3. When the file/s arrive, an Administrative Officer from Legal Aid Providers will:
  - a. uplift the file/s
  - b. update the register with details of receipt
  - c. check that all files requested are included in the bundle
  - d. check all required information is on each file.

If the file/s have not arrived within 10 working days of the initial request, follow up will be made with the Provider. The Provider will be responsible for initiating an investigation with their courier company (if needed).

## OUR PROCESS

4. The Administrative Officer will place the file/s in a locked, fire-proof storage cupboard in the Legal Aid Providers section of the office.
5. Only staff that require access to the storage cupboard will be permitted access and the cupboard will be locked when not in use.
6. When an internal auditor is assigned, the auditor will uplift the file/s when they intend to start the audit, during the course of the day they will remove the file/s from sight when away from their desk and at the end of each day they will re-secure the file/s in the storage cupboard.
7. When the audit is concluded an Administrative Officer from Legal Aid Providers will be advised to return the file/s to the Provider, this will be done by way of a signature required courier. They will advise the Provider of the tracking number for the parcel at the time the file/s are returned so the Provider is aware to expect the return of files.
8. If the Provider has not received the files back within 5 working days, they should advise the Legal Aid Providers team. Any cases of missing courier parcels will be traced in the first instance with the courier company, if this does not result in the delivery of the files an incident will be logged in Haumarū for further investigation following the usual processes.

## RESPONSIBILITIES

Manager:

- Perform regular checks to ensure the file management process is being followed

- Ensure appropriate onboarding of internal auditors, including making them aware of this document
- Report, investigate and remedy any near misses or incidents immediately

Internal Auditors:

- Understand and apply this file management process
- Immediately report any near misses or incidents so they can be investigated and remedied as soon as practical

Ministry Policies:

- [Acceptable Use of Technology Policy](#)
- [Data and Information Policy](#)
- [Code of Conduct](#)
- [Contractor Engagement Policy](#)
- [Information Gathering Model Standards Policy](#)
- [Information Security Policy Framework](#)
- [Official Information Act Policy](#)
- [Privacy & Personal Information Policy](#) & [Guidelines](#)

**RELATED POLICIES,  
PROCEDURES AND  
LEGISLATION**

External Guidelines:

- [Guidance on professional standards and reporting obligations \(lawsociety.org.nz\)](https://lawsociety.org.nz)

Legislation:

- Lawyers and Conveyancers Act (Lawyers: Conduct and Client Care) Rules 2008
- Official Information Act 1993
- Privacy Act 1993

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