



Incidents & Breaches Register

Fulfil mandatory requirement to record incidents & breaches

The VinciWorks Incidents & Breaches Register allows firms to track all incidents, breaches, losses and complaints. Record details as events unfold, and associate an unlimited number of breaches to each incident. A full audit trail provides the history of each item, giving an immediate snapshot of what has been done and what is left to do. Flexible, presentation-ready reports can be generated to provide evidence to management and regulators that each incident, breach, loss, and complaint is tracked and addressed.

ID	Category	Incident Date	Description	# of Breaches	# of Complaints	# of Losses	# of Quality Issues	Incident Amount	Incident Status	# of Completed Actions on Incident	File Attachments	Last Updated by	Last Updated on
10	operational » IT » data security	24/05/2013	Sent email with confidential attachment to the wrong person in wr...	1	1	0	0	Significant	Investigating	2		incidents admin	05/29/2014 10:50
7	compliance » SRA » accounts rules	27/02/2013	Transferred costs from monies held in client account to office account...	3	4	0	0	£1500.00	Completed	0		incidents admin	05/29/2014 10:50
8	operational » IT » data security	24/06/2013	A USB Stick left in monitor in Reception. Contained details ...	1	0	2	1	TBD	Investigating	2		incidents admin	05/29/2014 10:49
9	operational » IT » data security	20/03/2013	Using Skype on iPads and iPhones to send unencrypted client info...	4	0	0	0	TBD	Investigating	1		incidents admin	05/28/2014 11:54
1	compliance » SRA » accounts rules	06/03/2013	£300 transferred from client account instead of £30 due to transfer er...	1	0	0	0	£300	Completed	1		incidents admin	02/03/2014 12:05
5	operational » HR	11/09/2012	Secretary feels she was discriminated against because she was refused	0	1	0	0		Actioned	1		demo creator	03/20/2013 21:05
4	operational » IT » data security	03/10/2012	Complaint by client over passing his details to a third party without ...	0	1	0	0	n/a	Investigating	2		demo creator	03/20/2013 21:02

Why you need a system, not a spreadsheet?

- Collaborate by having multiple users access a centralised database
- Easily see the relationships between incidents, breaches, losses and complaints
- Produce presentation-ready reports with one-click
- Get an instant history of each item with a full audit trail
- Data is secured with 256-bit SSL encryption

Incident ID: 7
 Incident Reported by: John Smith
 Incident Reported on: 3/1/2013
 Incident Description: Transferred costs from monies held in client account to office account without the consent of the client
 Incident Date: 2/27/2013
 Incident Category: compliance » SRA » accounts rules
 Incident Source: Support Staff
 Matter Reference: ABC Ltd - 17 smith street
 Client Name: ABC Ltd
 Fee Earner: Mary Wither
 Partner: Dave Jones
 Support Staff Name: Roger Scott
 Department: Conveyancing
 Location: Bristol Office
 Amount: £1500.00
 Status: Completed
 Materiality: material by nature
 Materiality Description: Breach of Solicitors Accounts Rules

Incidents & Breaches Register: view incident window

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