SRA Regulatory Breaches Register

What is an SRA Regulatory Breaches Register?

The SRA Regulatory Breaches Register is intended to record actual and suspected SRA breaches, which will help you to identify patterns of issues in the firm.

Why do firms need an SRA Regulatory Breaches Register?

All firms have a duty to report serious concerns or breaches of the SRA Codes of Conduct promptly. Law firm employees should tell a firm's compliance officer for legal practice (COLP) about any concerns. The COLP will then make a professional judgement on whether to report these concerns to the SRA.

What type of information should be maintained in an SRA Regulatory Breaches Register?

All SRA related breaches should be added to the register as they are discovered by employees. The register should note which rule has been breached, the matter number, the relevant dates and amounts, and how the breach has been corrected. It should also note whether the breach is considered 'material' or not, and how this conclusion was reached.

How should firms use the data in the SRA Regulatory Breaches Register?

In addition to providing the necessary breach information to the SRA, the SRA Regulatory Breaches Register should be used as a tool to identify risk areas highlighted by trends in breaches, either by type, by department or by employee.

How can we help?

With Omnitrack, it's easy for employees to report breaches, and for the COFA to review and determine if further action is required.

Features

- **Built on best practice** - The register is built based on the SRA Code of Conduct.

- **100% customisable** - The form can be adapted to suit your needs. You can add your own questions or provide links to internal / external guidance.
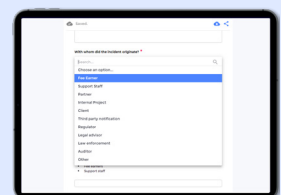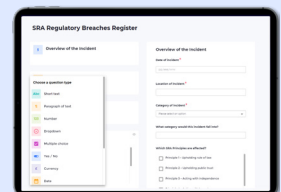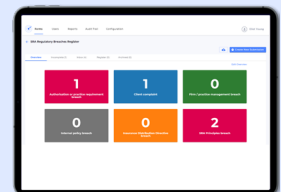
- **Conditional logic** - The form adapts as it is being completed, so users are only asked questions relevant to the specific breach they are reporting.

- **Admin Review** - Once a user completes the form, admins can assess the breach and decide whether further action is required.

- **Dashboard** - The 100% customisable graphical dashboard provides an overview of all submissions. The dashboard can also be used to generate reports or identify missing information.

For more information or to book a demo contact **enquiries@vinciworks.com.**

VinciWorks also offers a complete SRA Standards and Regulations training suite. **Learn more here.**