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| **Breach Report** |  |
| **Name of reporter** |  | **Date of report**  |  |
| **Client/file ref** |  | **Date of breach** (if known) |  |
| **Name of personnel/department(s) involved** |  |
| **Type of Breach** (please check all that apply, if known) |
|[ ]  SRA Principle (SP) |[ ]  Money Laundering Regulations (ML) |[ ]  Equality Act (EQ) |
|[ ]  SRA Code of Conduct (CC) |[ ]  Data protection regs (DP) |[ ]  Internal policy (IP) |
|[ ]  SRA Accounts Rules (AR) |[ ]  Financial Services Act (FS) |[ ]  Undertaking (UT) |
|[ ]  Health & Safety regulations (HS)  |[ ]  Other/unknown (OU) |  |  |
| **Brief description of breach**  |
|  |
| **Scale/potential extent of the issue** |
|  |
| **Impact on client(s), if any** |
|  |
| **Does the client need to be informed of the breach?**  |[ ]  Yes |[ ]  No |
| **Has there been a complaint as a result of the breach?** |[ ]  Yes |[ ]  No |
| **Signed (reporter):** |  |
| **To be completed by firm’s Compliance Officer** |
| **Assessment of report** |[ ]  Minor breach |[ ]  Serious breach |[ ]  No breach |
| **Breach reportable to the SRA?** |[ ]  Yes |[ ]  No | **Date reported** |  |
| **Breach reportable to the ICO?** |[ ]  Yes |[ ]  No | **Date reported** |  |
| **Please set out reasons/justification for decision below***When deciding if a breach, or series of breaches is* ***serious****, the Compliance Officer should consider:** *the detriment, or risk of detriment, to clients*
* *the extent of any risk of loss of confidence in the firm or in the provision of legal services*
* *the scale of the issue*
* *the overall impact on the practice, its clients and third parties.*

*When deciding if a breach should be reported to the ICO, there should be a ‘risk to people’s rights and freedoms’* |
|  |
| **Has the breach been remedied? If so, how?** |  |
| **Signed (Compliance Officer)** |  | **Date:** |  |
| **Breach Register updated** |[ ]  Yes |[ ]  No |