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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 | | | | | | | | | | | | | | |