REG-1
COMPLIANCE IN ONE

## Your GLRC Co-Pilot

GLRC EcoSystem

About

In today's complex regulatory environment, GLRC stakeholders need more than just a seat at the table—they need the right tools to lead the charge in governance, legal, risk and compliance management. It should be a unified view, eliminating the siloed status quo. At REG-1, we are revolutionising the way you navigate this complexed landscape, making it seamless and efficient.

REG-1 introduces the world's first fully integrated solution that brings together all aspects of governance, legal, risk, and compliance into tailored toolkits designed for various roles within an organization. From a DPO toolkit for data privacy to an MLRO toolkit for AML, ESG solutions, and resources for in-house legal teams, REG-1 streamlines the management of regulatory and compliance obligations. It's a true game-changer, replacing the fragmented approach of multiple systems with a unified platform that handles policies, risk assessments, audits, registers, client onboarding, screening, horizon scanning, and more.

Modules

REG-1: Risk Assessments

REG-RA (Risk Assessments)

REG-1
COMPLIANCE IN ONE
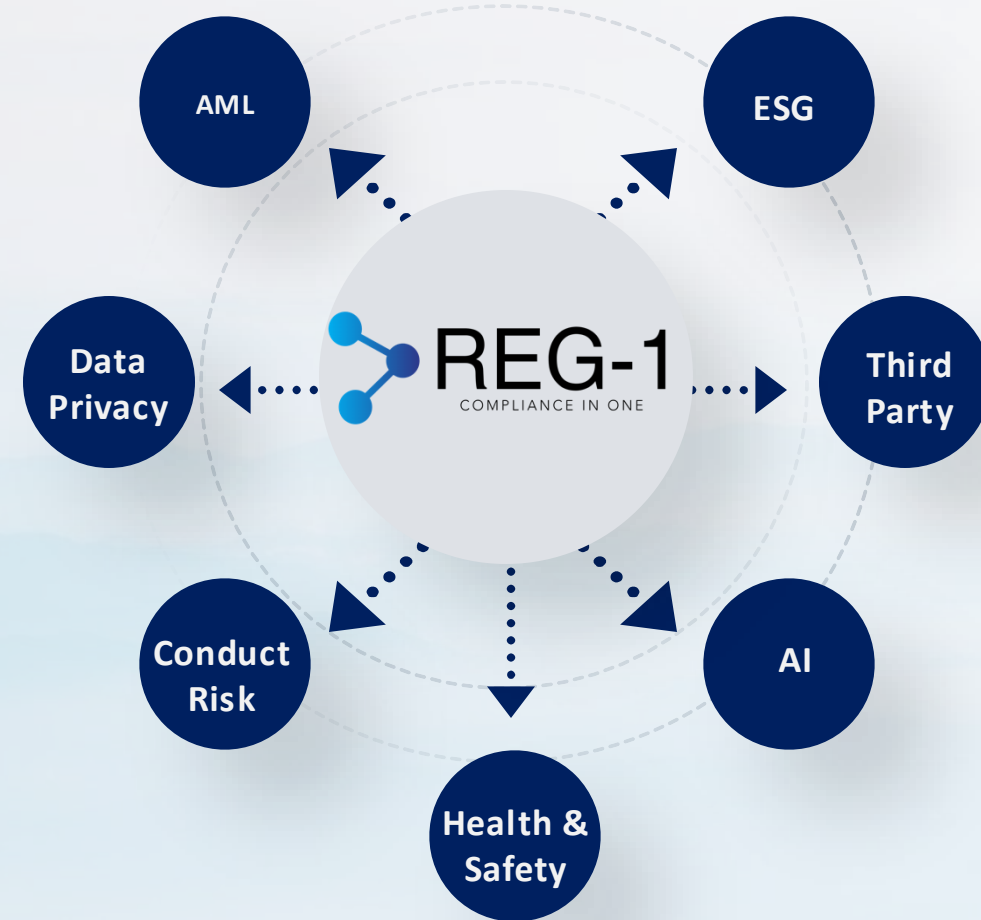
Dynamic Risk Assessments
Conduct flexible and adaptable risk assessments that respond to evolving conditions and variables.

Build Your Own Assessments
Utilise an intuitive interface to create customised risk assessments tailored to specific needs and requirements.

Comprehensive Workflow Conditions
Access an extensive list of workflow conditions to ensure a thorough and end-to-end risk assessment process.

Firm-Wide, Department-Wide, or Product-Based Assessments
Perform risk assessments at various levels, including firm-wide, department-wide, or specific product-based evaluations.

Extensive Screening Capabilities
Leverage advanced screening capabilities across sanctions and other registries to identify and mitigate potential risks effectively.
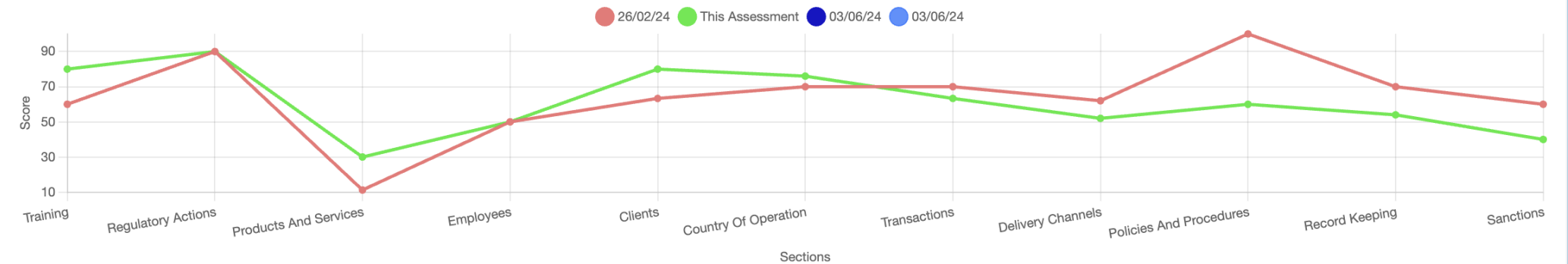
Your Risk Assessments

Total Assessments	25	Ongoing Assessments	17	Completed Assessments	8	Overdue Assessments

HEATH & BLENKINSOP ▾ | Search Assessments

RA AML 2023	64
Anti-Money Laundering	
No Department	👤
Start 26-02-2024	Ended 25-06-2024
Completed	✓
Last Updated 2024-06-25 11:50:26	

RA AML 2024	62
Anti-Money Laundering	
No Department	NS
Start 26-02-2024	Target 24-01-2024
Completed	✓
Last Updated 2024-08-13 09:18:10	

DP RA 2023	53
Data Protection	
No Department	👤
Start 26-02-2024	Ended 05-06-2024
Completed	✓
Last Updated 2024-06-05 21:09:27	

DP RA 2024	
Data Protection	
No Department	👤
Start 26-02-2024	
Completed	
Last Updated 2024-05-21 14:10:14	

Template AML UK	0
Anti-Money Laundering	
No Department	JT MO
Start 03-04-2024	Target
Ongoing	
Last Updated 2024-05-21 14:10:14	

FSRA	0
Anti-Money Laundering	
No Department	NS
Start 03-04-2024	Target
Ongoing	
Last Updated 2024-05-21 14:10:14	

220424 Test Assessment	65
Anti-Money Laundering	
No Department	👤
Start 22-04-2024	Target 26-04-2024
Completed	✓
Last Updated 2024-05-21 14:10:14	

ESG Risk Assessment	
Environment	
No Department	👤
Start 09-08-2024	
Ongoing	
Last Updated 2024-08-09 13:02:36	

Assessment History

● 26/02/24 ● This Assessment ● 03/06/24 ● 03/06/24

Score axis: 90, 70, 50, 30, 10

Sections: Training, Regulatory Actions, Products And Services, Employees, Clients, Country Of Operation, Transactions, Delivery Channels, Policies And Procedures, Record Keeping, Sanctions

REG-RA (Risk Assessments)

Manage Multiple RAs

Create triage format RAs across any regulatory theme you like. With a custom RA builder connecting the RA to the regulatory library and an automated workflow tool to manage exceptions, raise risks and issues and alerts.

Here is a view of an AML and an ESG RA in progress.

ESG Risk Assessment

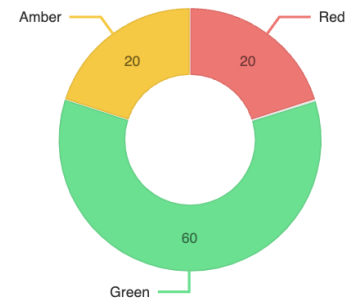Last Updated: Tue, 13 Aug 2024 12:13:44 GMT
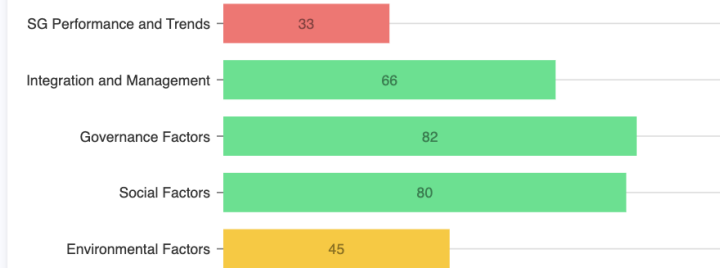
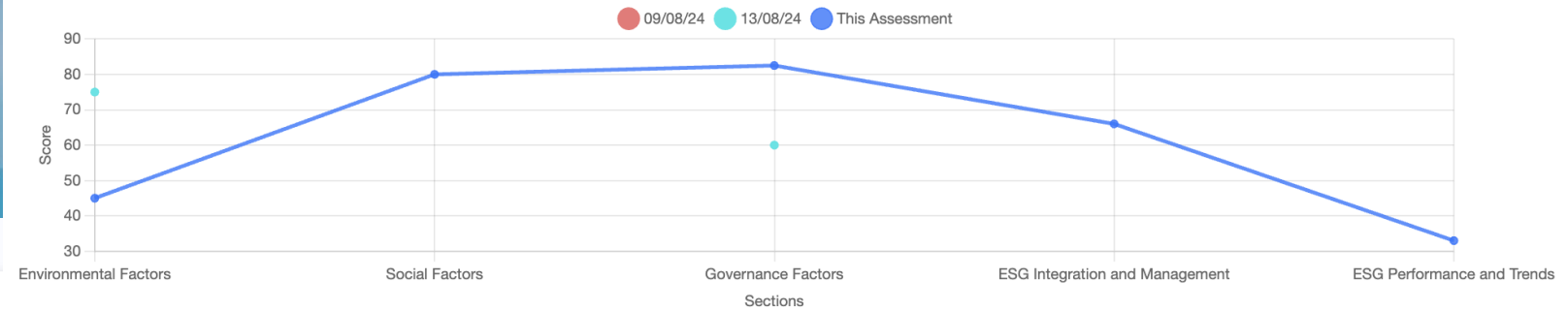**Risk Assessment Progress** — Completed — Not Submitted — View Report — Internal Submission

RAG Breakdown

Amber 20, Red 20, Green 60

Section Scores

Section	Score
SG Performance and Trends	33
Integration and Management	66
Governance Factors	82
Social Factors	80
Environmental Factors	45

Assessment History

Legend: 09/08/24, 13/08/24, This Assessment

Score axis: 30 to 90

Sections: Environmental Factors, Social Factors, Governance Factors, ESG Integration and Management, ESG Performance and Trends

RA AML 2024

Risk Assessment Progress — Completed

RAG Breakdown

Red 18, Amber 45, Green 36

Section Scores

Section	Score
Sanctions	40
Record Keeping	54
Policies And Procedures	60
Delivery Channels	52
Transactions	63
Country Of Operation	76
Clients	80
Employees	50
Products And Services	38
Regulatory Actions	90
Training	80
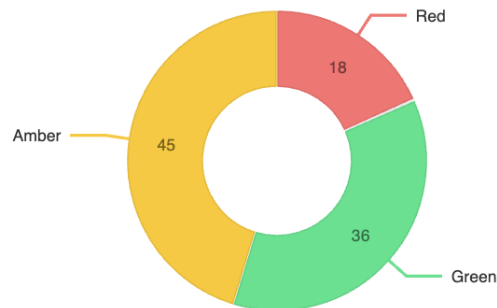
REG-1
COMPLIANCE IN ONE
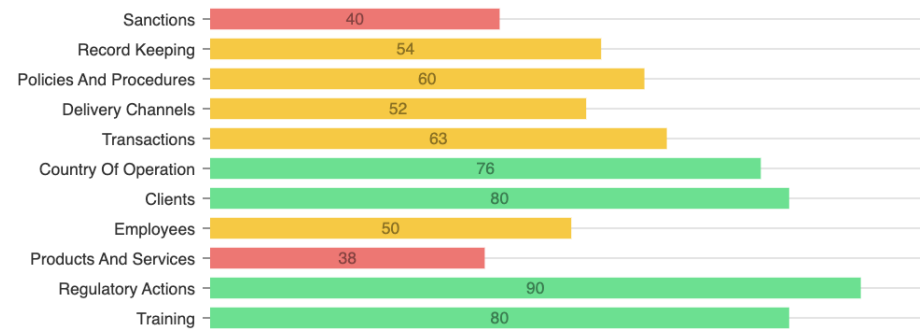
REG-1: Data, Insights & Analytics
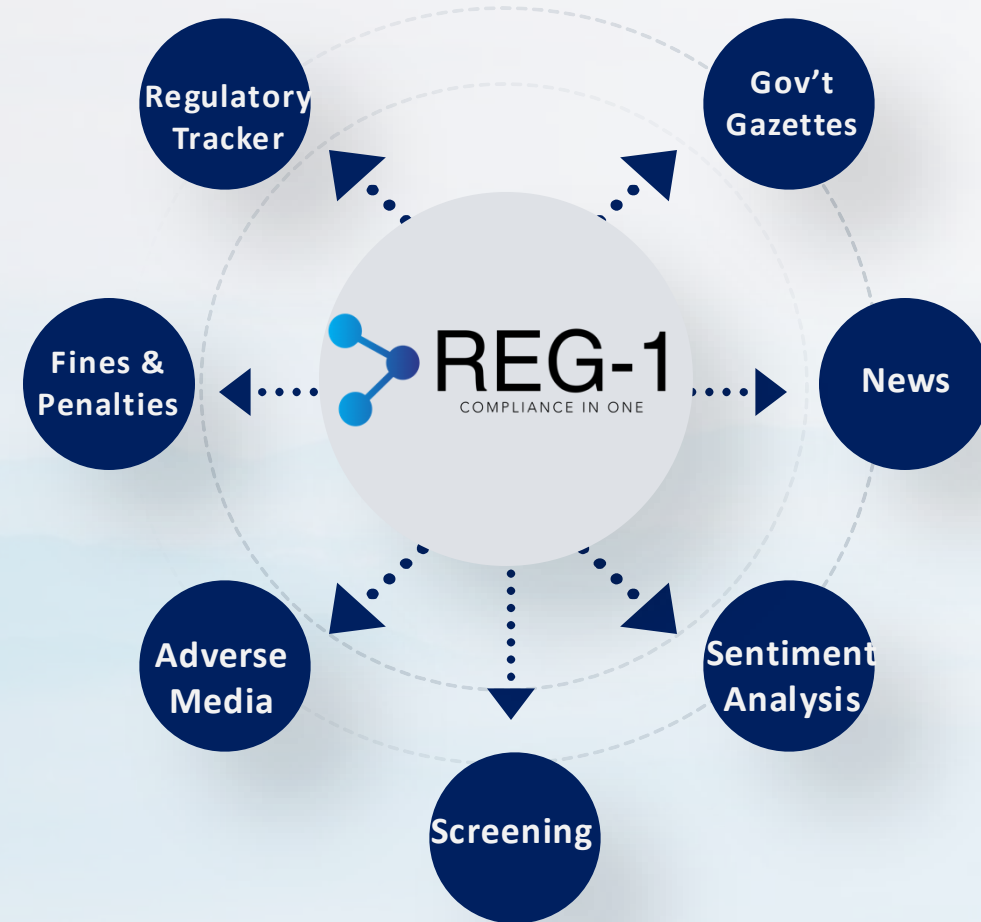
Horizon Scanning

Real-Time Regulatory Updates

Receive instant updates on new regulations, amendments, and compliance requirements relevant to your industry. Stay ahead of regulatory changes and ensure timely compliance, reducing the risk of non-compliance and associated penalties.

Comprehensive Coverage

Access a wide range of sources, including government publications, industry news, legal databases, and international regulatory bodies.

Global View

Gain a holistic view of the regulatory landscape, ensuring no important updates are missed and all relevant information is captured.

Trend Analysis and Reporting

Analyse trends on regulatory changes, emerging risks, and compliance challenges. Equip your legal and compliance teams with actionable insights, helping them identify patterns and anticipate future regulatory shifts.

Dynamic Workflow

Enhance workflow efficiency by ensuring that regulatory updates are automatically incorporated into your compliance processes, facilitating a streamlined and coordinated approach to risk management.

Horizon Scanning

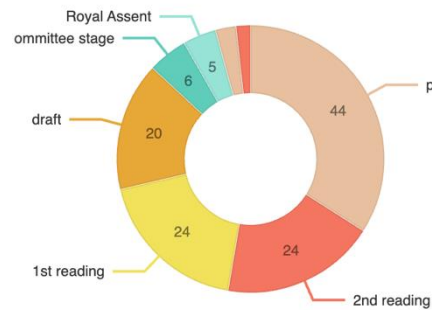## Detailed Horizon Scanning

Track legislative, regulatory updates from across the globe.

Real time analysis of 500k+ news articles daily, extracting meta data and measuring against your preferences of jurisdiction, theme, firm names, products, services and more.
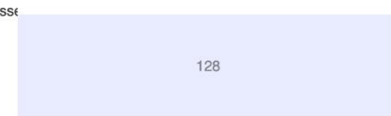
View Article

Three entities settle insider trading charges with Sebi in PNB Housing Finance case, ET RealEstate

indiatimes.com · 3 hrs ago · Share · Go To Article

Names Mentioned in this Article

Naysar Parikh 4 · Ronak Narendra Parikh 4 · Sidhant Chandalia 1

Organisations Mentioned in this Article

Housing Finance Ltd 1 · Exchange Board Of India Sebi 1

Locations Mentioned in this Article

No Locations

Themes Mentioned in this Article

Capital Markets · Corruption · Financial · Non Banking Financial Institution · Other
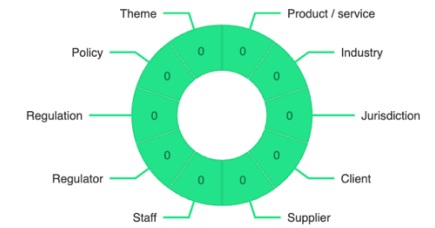
Theme	Percentage
Other	47%
Banking Financial Institution	31%
Financial	5%
Corruption	10%
Capital Markets	5%
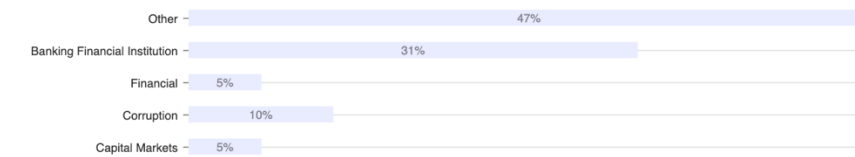
REG-1 Verification Score
Credibility of the article as assessed by REG-1 — **100%**

Overall Impact Score
No impact on your firm

Tone
The overall tone is Negative

- polarity: 6.35
- positive
- negative: 6.02
- overall: -5.69

bills-status

Filters (United Kingdom)

Bill Status Count

- passed 44
- 2nd reading 24
- 1st reading 24
- draft 20
- committee stage 6
- Royal Assent 5

Bill Introduction Count (Department)

128

Bills

Search Bills

Marine Protected Areas (Bottom Trawling) Bill [HL] — United Kingdom
Private Members' Bill (Starting in the House of Lords)
Introduced by on
Current Stage -
Status - 2nd reading
Last Updated - 2024-08-12

Support for Infants and Parents etc (Information) Bill [HL] — United Kingdom
Private Members' Bill (Starting in the House of Lords)
Introduced by on
Current Stage -
Status - 2nd reading
Last Updated - 2024-08-12

gazette-list

Filters (United Arab Emirates)

Search

| Gazette	Jurisdiction
Decree No. (43) of 2024 — Published - 2024-07-19	United Arab Emirates
Decree No. (44) of 2024 — Published - 2024-07-19	United Arab Emirates
Decree No. (42) of 2024 — Published - 2024-07-19	United Arab Emirates
Resolution No. (31) of 2024 — Published - 2024-07-19	United Arab Emirates
Law No. (13) of 2024 — Published - 2024-07-19	United Arab Emirates
Resolution No. (33) of 2024 — Published - 2024-07-19	United Arab Emirates

Fines and Penalties

Filters (United Arab Emirates)

Select a regulator to view Fines and Penalties trends

Regulator	Amount
UDoH	1,000,000
DFSA	1,986,366
ADGM	449,881
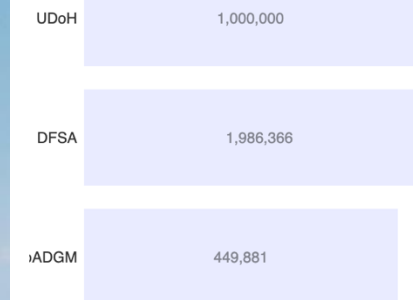
Fines

Symphony Services Limited — Dubai Financial Services Authority
Amount
United Arab Emirates Dirham 771,330
27 days ago

Sanctions Screening

Enhanced Compliance

Sanctions screening ensures compliance with global and regional regulatory requirements by continuously monitoring global sanctions lists. This proactive approach helps organisations avoid legal penalties and reputational damage by staying aligned with the latest regulations.

Risk Mitigation

Effective sanctions screening aids in identifying and mitigating risks associated with doing business with sanctioned entities. By flagging high-risk transactions and entities, organisations can prevent potential legal issues and financial losses, maintaining operational integrity.

Operational Efficiency

Automated sanctions screening streamlines the process of checking transactions and customer records against sanctions lists. This efficiency reduces the burden on compliance teams, minimises human error, and ensures that potential issues are addressed swiftly.

Reputation Protection

Maintaining compliance with sanctions regulations protects an organisation's reputation by demonstrating a commitment to ethical business practices. Regular screening helps prevent associations with illicit activities, enhancing trust among stakeholders and clients.

Select Sanction List

Select which sanction list you would like to perform checks from

- ☐ United Nations (UN)
- ☐ European Union (EU)
- ☐ United States (US)
- ☐ United Kingdom (UK)
- ☐ Australia
- ☐ Canada
- ☐ Japan
- ☐ Switzerland
- ☐ Russia
- ☐ China

Select Sanction List

Select which sanction list you would like to perform checks from

- ☐ United Nations (UN)
  - ☐ UN Consolidated Sanctions List
- ☐ European Union (EU)
  - ☐ EU Consolidated Financial Sanctions List
- ☐ United States (US)
  - ☐ OFAC Specially Designated Nationals (SDN) List
  - ☐ OFAC Foreign Sanctions Evaders (FSE) List
  - ☐ OFAC Sectoral Sanctions Identifications (SSI) List
  - ☐ OFAC Non-SDN Palestinian Legislative Council (NS-PLC) List
  - ☐ OFAC Non-SDN Iranian Sanctions Act (NS-ISA) List
  - ☐ OFAC List of Foreign Financial Institutions Subject to Correspondent Account or Payable-Through Account Sanctions (CAPTA)
  - ☐ BIS Denied Persons List

Sanctions Status

Checks against company, directors and shareholders

Manually Checked By

Select Checker

OFAC	FRENCH
Match · No Match · Partial Match	Match · No Match · Partial Match
OFSI	SAUDI
Match · No Match · Partial Match	Match · No Match · Partial Match
UN	UAE
Match · No Match · Partial Match	Match · No Match · Partial Match
EU	UKRAINE
Match · No Match · Partial Match	Match · No Match · Partial Match
CANADA	
Match · No Match · Partial Match	

Watchlists Status

Checks against company, directors and shareholders

Manually Checked By

Select Checker

FBI List	EU Most Wanted
Match · No Match · Partial Match	Match · No Match · Partial Match
Interpol List	ICE Most Wanted
Match · No Match · Partial Match	Match · No Match · Partial Match
SDN List	NIA Most Wanted
Match · No Match · Partial Match	Match · No Match · Partial Match

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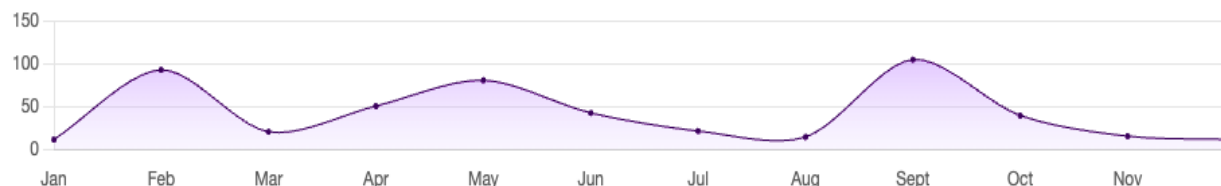

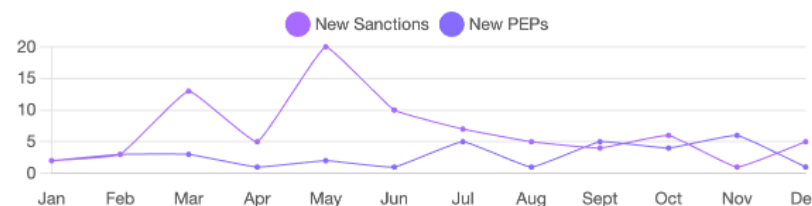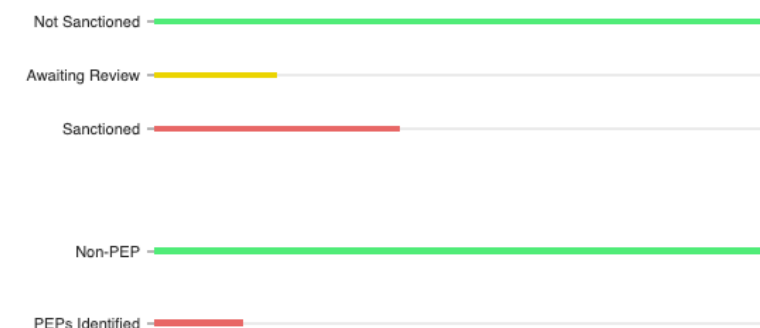Search our Sanctions Database

All | Search sanctions name, alias, birthday or nationality

Most Sanctioned Countries

| 1. Russia | 18772 | 2. Iran | 4953 | 3. Syria | 2811 | 4. North Korea | 2171 |
| 5. Belarus | 1454 | 6. Myanmar | 988 | 7. Venezuela | 747 |

Global Monthly Sanctions

Client Sanctions Status

- Not Sanctioned
- Awaiting Review
- Sanctioned
- Non-PEP
- PEPs Identified

New Sanctions · New PEPs

| Overall Standing | Excellent |

| Matches | 3% | Awaiting Review | 3% | Clients in High Risk Countries | 5 |

| Sanctioned Clients | 20 | PEPs | 13 |

O'Neill Assets Corporation · location · Providing support to · address_entity · Olympia · Property in the interest of · Putin · JSC Argument · Providing support to · sanctions_entity · address_entity · location · sanctions · Property in the interest of · address_entity · Providing support to · location · location · Graceful · location · Ironstone Marine Investments

REG-1
COMPLIANCE IN ONE

REG-1: PolicyHub

PolicyHub

Centralised Policy Repository
A single, secure location for storing and managing all organizational policies and procedures.

Smart Policies
Convert all your policies to meta data and living artefacts to help measure overall compliance.

Smart Policy Distribution and Acknowledgment
Automatically distribute policies to relevant employees and track acknowledgments.

Version Control and Smart Policy Updates
Maintain and track multiple versions of policies with clear documentation of changes. Connect horizon scanning to policy updates to enable smart and dynamic policy management.

Policy Review and Approval Workflows
Automated workflows for policy creation, review, and approval processes. Streamlines the policy management process, ensuring timely updates and approvals while maintaining a clear audit trail.

Policies +

Search Policies

Most Recent

Anti-Bribery and Corruption Policy
Renewal RAG | United Kingdom
Updated 1 month ago

⚠ **AML Policy**
Renewal RAG | United Arab Emirates
Updated 1 month ago

⚠ **UK Build Your Own Device Policy**
Renewal RAG | United Arab Emirates
Updated 1 month ago

⚠ **Data Protection Policy**
Renewal RAG | United Arab Emirates
Updated 1 month ago

| Overview | Revisions | Review | Timeline | Archived | Supporting Documents |

| Renewal RAG | Red |
| 50 days overdue | |

Obligations — 6% Compliance

Anti-Bribery and Corruption Policy ✎

Level
None

Priority
Medium

Module
Anti-Bribery And Corruption

Category
Financial Compliance

Regulation
None

Regulator
SRA

Owner
Jasmine Thakrar

Reviewer
NS Nick Sims

Jurisdiction
United Kingdom

Effective Date
2023-12-02

Description
Anti-bribery and corruption policy UK

Review Frequency ⚙ ⓘ
Next Review on

AA **Admin Account**
1 month ago

| Overview | Revisions | Review | Timeline | Archived | Supporting Documents |

Policy Activity History

Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec

AA Admin Account updated the content of section 5. Gifts and Hospitality
2 months ago
Anti-Bribery And Corruption Policy

Jasmine Thakrar updated the details of Anti-Bribery and Corruption Policy
3 months ago 2 Change
Anti-Bribery And Corruption Policy

| Overview | Revisions | Review | Timeline | Archived | Supporting Documents |

Revisions +

	📅 Revision	2024-05-08	1 Changes
	📅 Revision	2024-04-11	1 Changes
	📅 Revision	2024-02-13	1 Changes

REG-1: Audit360

REG-Audit 360

Structured Audit Process
Create and manage your own audit methodology, ensuring a systematic and thorough audit process.

Custom Audit Builder
Features an intuitive drag-and-drop interface, simplifying the creation of customised audits and enhancing user-friendliness, allowing for easy assembly and modification of audit components to meet specific requirements.
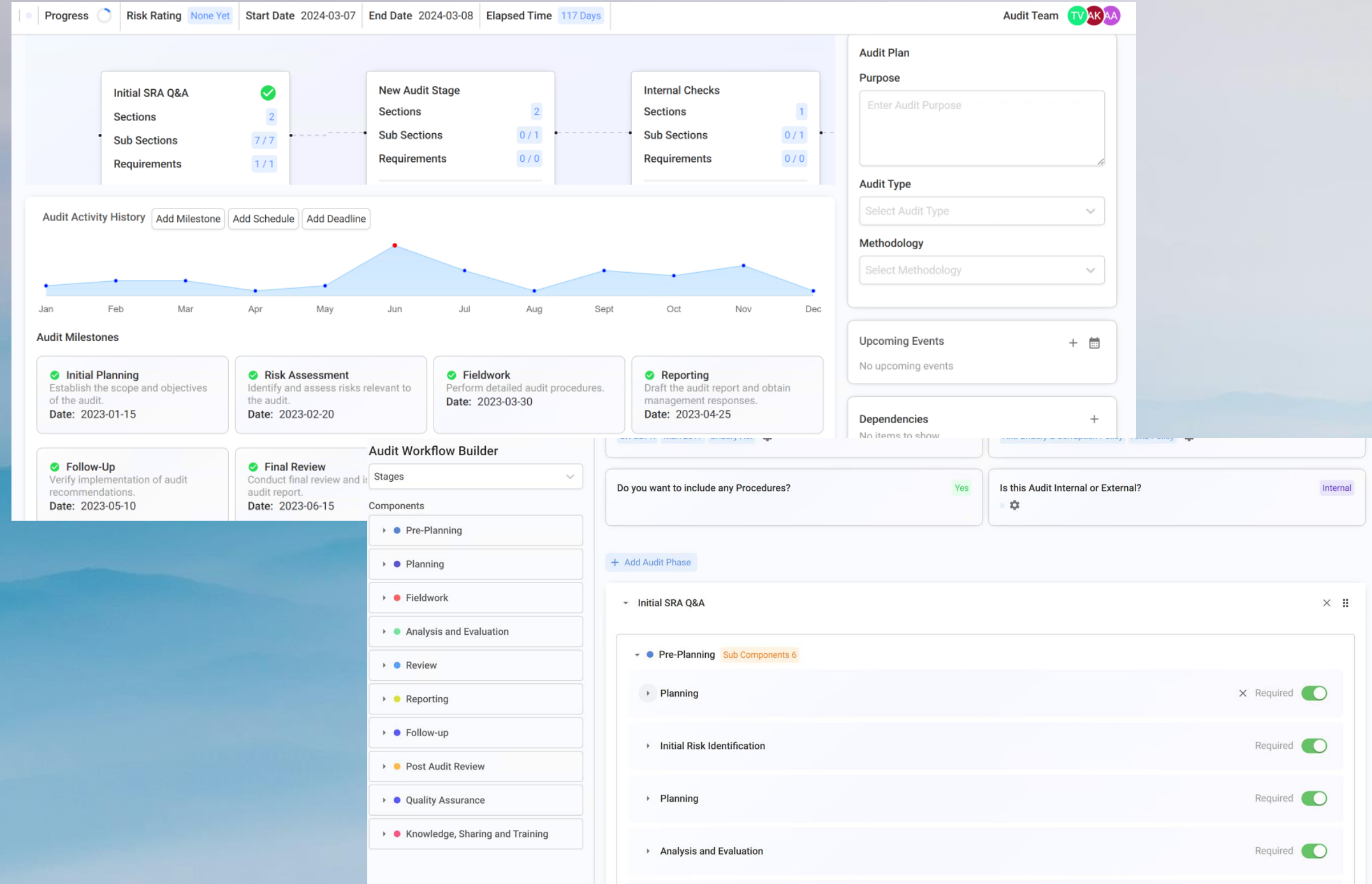
Shift from Periodic Auditing
The Audit module enables a shift to continuous auditing, allowing for ongoing monitoring and evaluation, ensuring that issues are identified and addressed in real-time.

Versatility Across Standards
Suitable for a wide range of audits and standards like Lexcel, ISO9001, ISO27001, CQS, LOCs and more, providing a comprehensive solution for various regulatory and compliance requirements.

Performance Metrics
Track key performance indicators such as audit completion rates, findings resolution time, and audit frequency to enhance operational efficiency and ensure continuous improvement.

REG-1: GT (Governance Toolkit)

Entity Mgnt

Comprehensive Entity Management
Centralize and manage all your business entities, including ownership details, shareholding structures, and regulatory filings.

Ownership and Shareholding Tracking
Keep an accurate record of ownership percentages, shareholding changes, and key stakeholders across all your entities.

Regulatory Filings and Compliance
Ensure timely and accurate submissions of all required regulatory filings

Organisational Structure Visualisation
Easily map and visualize your entities' organizational structure, including subsidiaries, affiliates, and inter-company relationships.
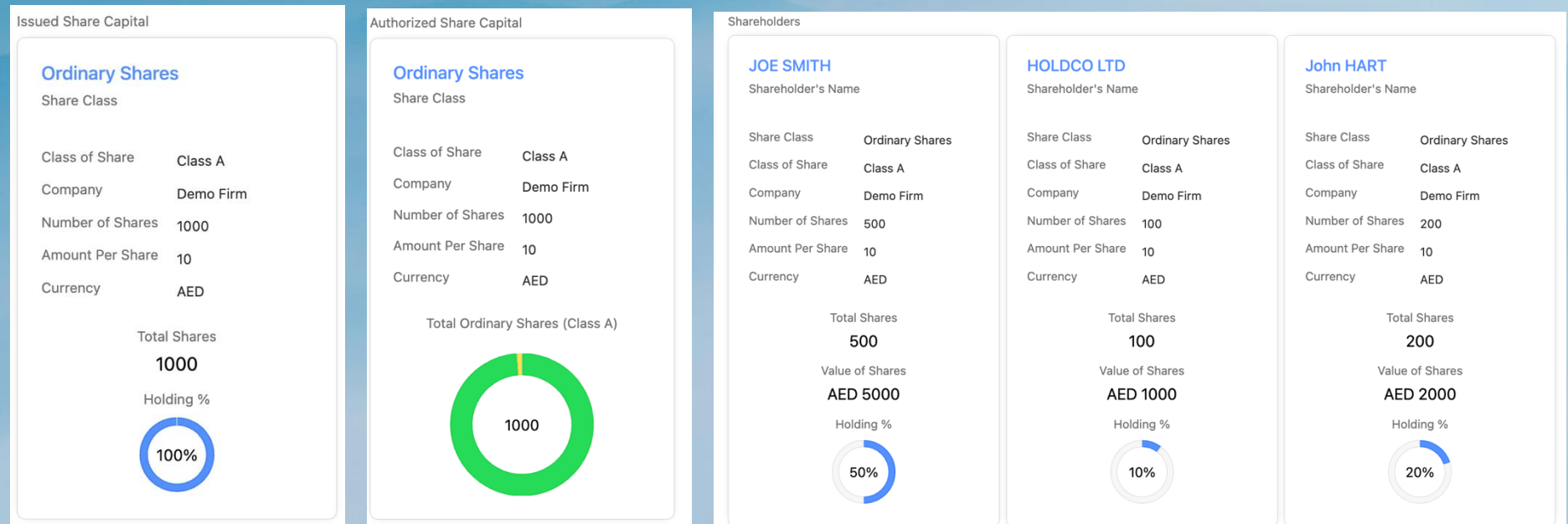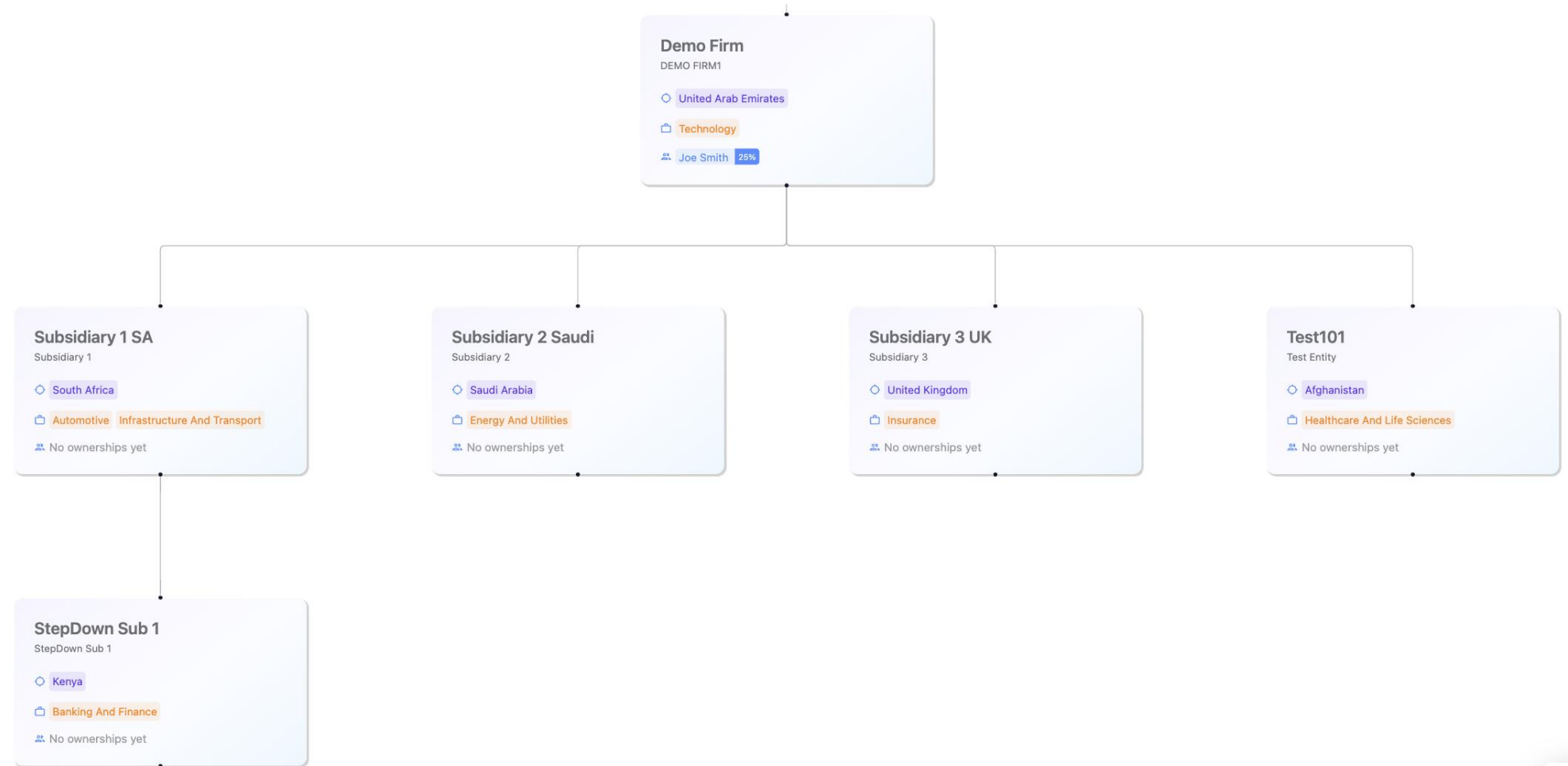
Customisable Reporting and Analytics
Generate detailed reports on entity performance, ownership changes, and compliance status.

Secure Access and Collaboration
Control access to sensitive entity information, allowing secure collaboration with key stakeholders and legal teams.

Audit Trails and Historical Records
Maintain a complete audit trail.

Demo Firm
DEMO FIRM1
◇ United Arab Emirates
🗂 Technology
👥 Joe Smith 25%

Subsidiary 1 SA
Subsidiary 1
◇ South Africa
🗂 Automotive Infrastructure And Transport
👥 No ownerships yet

Subsidiary 2 Saudi
Subsidiary 2
◇ Saudi Arabia
🗂 Energy And Utilities
👥 No ownerships yet

Subsidiary 3 UK
Subsidiary 3
◇ United Kingdom
🗂 Insurance
👥 No ownerships yet

Test101
Test Entity
◇ Afghanistan
🗂 Healthcare And Life Sciences
👥 No ownerships yet

StepDown Sub 1
StepDown Sub 1
◇ Kenya
🗂 Banking And Finance
👥 No ownerships yet

Issued Share Capital

Ordinary Shares
Share Class

Class of Share	Class A
Company	Demo Firm
Number of Shares	1000
Amount Per Share	10
Currency	AED

Total Shares
1000
Holding %
100%

Authorized Share Capital

Ordinary Shares
Share Class

Class of Share	Class A
Company	Demo Firm
Number of Shares	1000
Amount Per Share	10
Currency	AED

Total Ordinary Shares (Class A)
1000

Shareholders

JOE SMITH
Shareholder's Name

Share Class	Ordinary Shares
Class of Share	Class A
Company	Demo Firm
Number of Shares	500
Amount Per Share	10
Currency	AED

Total Shares
500
Value of Shares
AED 5000
Holding %
50%

HOLDCO LTD
Shareholder's Name

Share Class	Ordinary Shares
Class of Share	Class A
Company	Demo Firm
Number of Shares	100
Amount Per Share	10
Currency	AED

Total Shares
100
Value of Shares
AED 1000
Holding %
10%

John HART
Shareholder's Name

Share Class	Ordinary Shares
Class of Share	Class A
Company	Demo Firm
Number of Shares	200
Amount Per Share	10
Currency	AED

Total Shares
200
Value of Shares
AED 2000
Holding %
20%

Document Mgnt

Comprehensive Document Management
Centralise all your critical documents.

Custom Workflow Automation
Design and implement custom workflows tailored to your business processes.

Event and Task Management
Easily create and manage events related to your documents, such as renewals, revisions, and approvals, with clear visibility into each step.

Progress Tracking and Dependency Management
Monitor the status of ongoing tasks and workflows, with the ability to track dependencies.

Secure Access and Collaboration
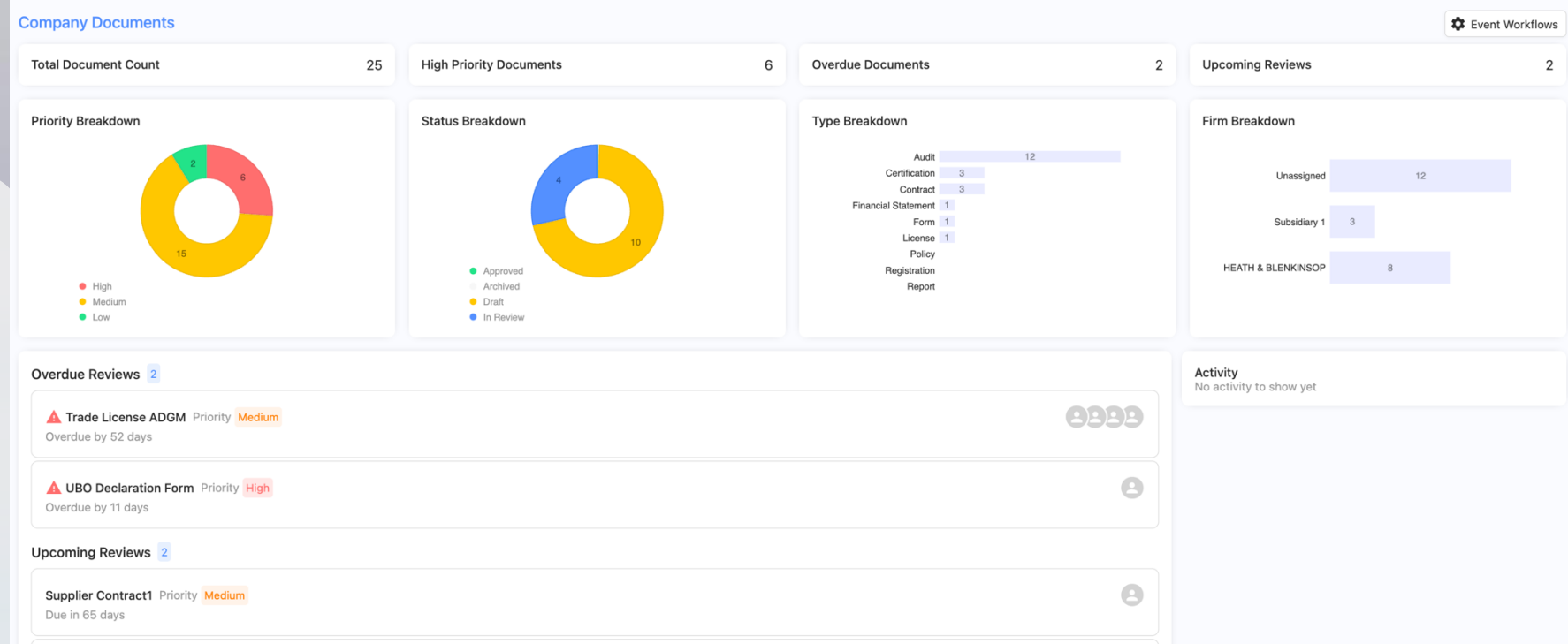Control who has access to specific documents and workflows.

Automated Reminders and Notifications
Stay ahead of important deadlines with automated reminders and notifications.

Audit Trails and Compliance
Maintain a complete audit trail of all document interactions and ensure compliance with industry standards and regulations.

Advanced Search and Filtering

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Company Documents

Event Workflows

| Total Document Count | 25 | High Priority Documents | 6 | Overdue Documents | 2 | Upcoming Reviews | 2 |

Priority Breakdown
- High
- Medium
- Low

Status Breakdown
- Approved
- Archived
- Draft
- In Review

Type Breakdown
- Audit 12
- Certification 3
- Contract 3
- Financial Statement 1
- Form 1
- License 1
- Policy
- Registration
- Report

Firm Breakdown
- Unassigned 12
- Subsidiary 1 3
- HEATH & BLENKINSOP 8

Overdue Reviews 2

⚠️ Trade License ADGM   Priority Medium
Overdue by 52 days

⚠️ UBO Declaration Form   Priority High
Overdue by 11 days

Upcoming Reviews 2

Supplier Contract1   Priority Medium
Due in 65 days

Trade License DIFC   Priority Low
Due in 106 days

Activity
No activity to show yet

Edit Document Details

| Document Name | | Document Type |
| Trade License ADGM | | License |

| Author / Creator | Creation Date | Last Modified Date | Version Number |
| Atif Khalil | 20/06/2024 | 13/08/2024 | 112 |

| Status | Keywords / Tags | Expiry Date |
| In Review | License x | 20/06/2024 |

Summary / Abstract
Trade License

| Associated Projects / Departments | Compliance Requirements | Access Permissions | Retention Policy |
| Select Associated Projects / Departments | Select Compliance Requirements | Manager | Permanent |

| Entity It Belongs To | Companies | Jurisdiction | Module |
| HEATH & BLENKINSOP | HEATH & BLENKINSOP x | United Arab Emirates x | Companies x |

| Owners | Classification | Regulator / Licensing Body |
| Tanishq Verma x Atif Khalil x Jasmine Thakrar x Admin Account x | Internal | FDA |

| Linked to Other Artefacts / Documents / Policies | Revision Dates | Priority |
| Select Artefacts / Documents / Policies | Select Revision Dates | High Medium Low |

Renewal Frequency ⚙ ⓘ
Past Renewal Date: 22-06-2024

| Alert | Alerted Users | Share With |
| At Time Of Event | Nick Sims x Admin Account x | Admin Account x |

Add Event

Event Name
Renewal 2024

Event Type
Renewal

Priority
High

Start Date
13/08/2024

Workflow Options
○ New Workflow
● Existing Workflow

Select Existing Workflow

- Contract Creation Workflow
- Compliance Check Workflow
- Annual Review Workflow
- Policy Update Workflow
- Audit Preparation Workflow
- License Application Workflow
- Contract Termination Workflow
- Client Notification Workflow
- Periodic Performance Review Workflow

Workflow Steps

1. Draft Document
Create the initial draft of the document based on the provided guidelines and requirements.
Dependency - Draft Document

2. Review Draft
Review the drafted document for accuracy, completeness, and compliance with standards.
Dependency - Review Draft

3. Approval
Obtain formal approval of the document from the relevant authority or decision-m...
Dependency - Approval

4. Final Edits
Incorporate any feedback or changes suggested during the approval phase and f... the document.
Dependency - Final Edits

5. Sign Document
Execute the final version of the document by obtaining necessary signatures from authorized signatories.
Dependency - Sign Document

REG-1: Inhouse Legal Toolkit

Legal Requests Mgnt - Intake Dashboard

Centralised Request Management
Ensures unified dashboard for legal request management. An easy submission portal.

Real Time Tracking & Status Updates
Live updates on the status of each request with visual progress indicators to ensure transparency and accountability.

Prioritisation
Assign priority levels and flags for urgent matters to ensure critical requests are addressed promptly.

Workflow Automation
Automated routing of requests to the appropriate legal team members, streamlining the intake process.

Performance Metrics, Reporting and Analytics
Track key performance indicators such as average resolution time, number of open cases, and team productivity to enhance operational efficiency. Access detailed analytics aiding in identifying trends and improving efficiency.

Matter Level Oversight
Comprehensive tracking of all legal matters from initiation to resolution, including key dates, assigned personnel, and relevant documents. Also, real time matter level risk assessments and quality assurance.
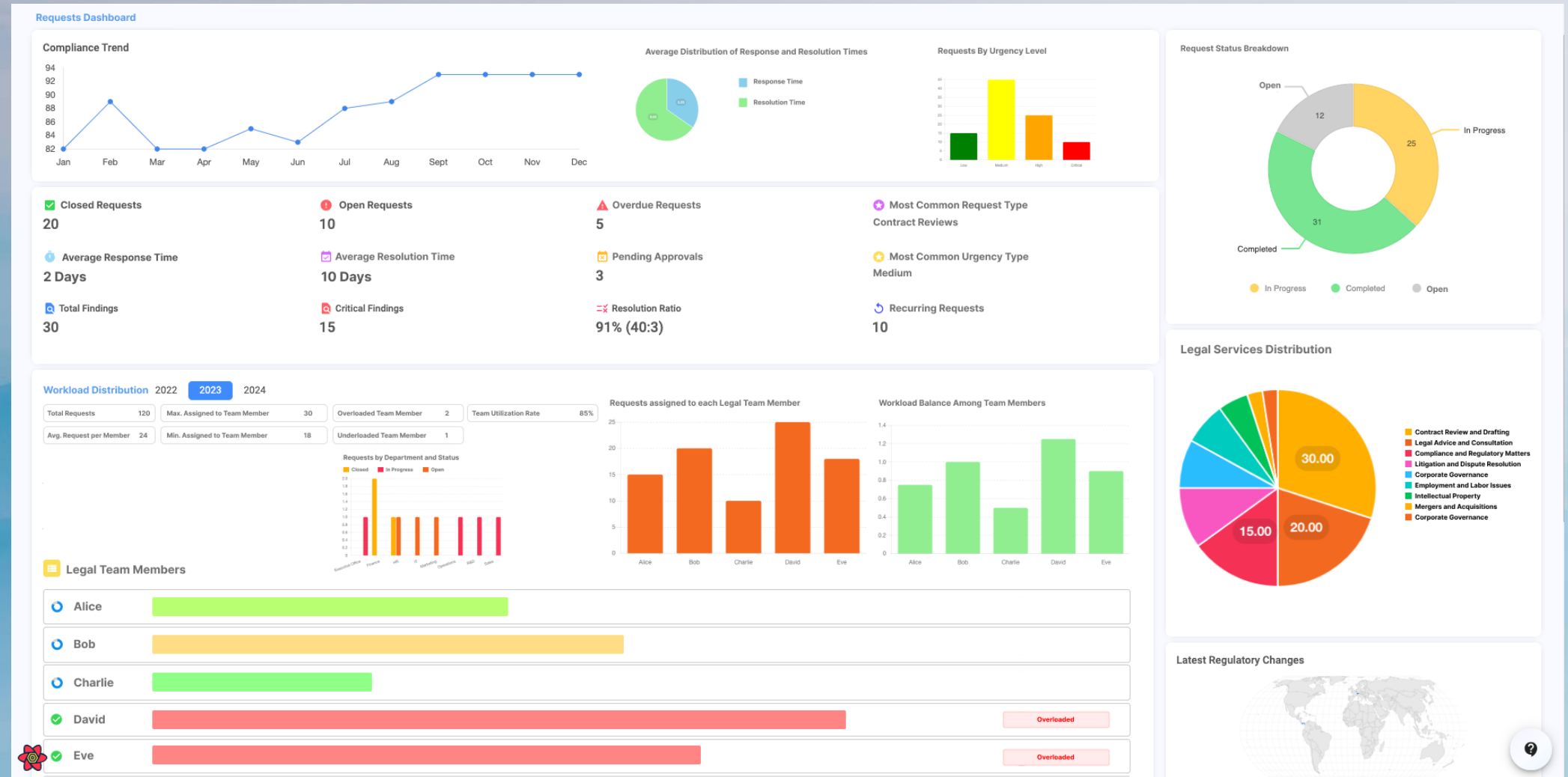
Contracts Register

Centralised Contract Repository

A single, secure location for storing all contracts.

Ensures easy access and retrieval of contract documents, promoting consistency and efficiency.

Contract Lifecycle Management

Can support full stack CLM management or integration with existing CLM tools and provide oversight and a unified dashboard.

Smart Monitoring

Automated notifications for key dates such as renewals, expirations, and review deadlines. Prevents missed deadlines and ensures timely actions, reducing the risk of contract lapses.

Regulatory Oversight

Tracks regulatory provisions and exposure within contracts.

Contracts Total	3	
Performance RAG	0	

Upcoming Renewals	0
Total Contract Value	£535000

Upcoming Revisions	0
Expiring Soon	0

Regulatory Exceptions RAG	0

Next Milestone

Annual Payment Due Due January 1, 2025

Annual payment of £50,000 due at the start of the second contract year.

Notes

Ensure payment is processed in a timely manner to avoid service disruptions.

Actions

Prepare payment requisition and obtain necessary approvals.

View Document | Send Reminders To All Parties

Recent Activity

TV	Updated Contract Details — Just now	Software Licensing Agreement
TV	Reviewed Contract — Just now	Software Licensing Agreement
TV	Posted a comment — Just now	Software Licensing Agreement
TV	Uploaded a new document — Just now	Software Licensing Agreement

Contracts   📄 Add Contract

Status	Title	Parties	Contract Date	Duration	Contract Type	Contract Value	Contract Status Renewal	Notes	Regulator	Renewal RAG	Legal Provision RAG	Reg Exception RAG
Active	Software Licensing Agreement	TechSoluti... TechSolutions Ltd. / John Smith, CTO	January 1, 2024	January 1, 2024 - December 31, 2026	Service Agreement	£150,000	Automatic Renewal Unless Terminated With...	Last Review On December 1, 2023; Next Re...	FCSC	Green	Green	Green
In Progress	Cloud Services Agreement	CloudTech ...	March 5, 2024	March 5, 2024 - March 4, 2027	Service Agreement	£300,000	Review Based Renewal With 120 Days Notic...	Initial Setup Completed. Performance Rev... Contract	Technology Services Regulation Board	Amber	Green	Amber

Outside Counsel Guidelines – Compliance Tracker

REG-1 COMPLIANCE IN ONE

Enhancing Transparency, Efficiency, and Accountability
A comprehensive Compliance Dashboard designed to provide real-time tracking and oversight of your Outside Counsel Guidelines (OCG)

Real-Time Financial Performance Monitoring
Track total legal spend, budget vs. actual spend, cost per matter, and discounts and savings

Billing and Compliance Oversight
Monitor invoice accuracy, billing cycle time, and rejected invoices.

Service Quality & Performance Metrics
Evaluate case outcomes, resolution time, and client satisfaction.

Resource Utilisation Tracking
Analyze how your law firms are utilizing their resources on your matters, ensuring that firms are managing their time and staffing efficiently and billing practices are accurate.
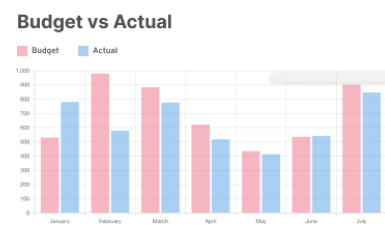
Compliance and Risk Management
Track conflicts of interest, regulatory compliance, and data security incidents.
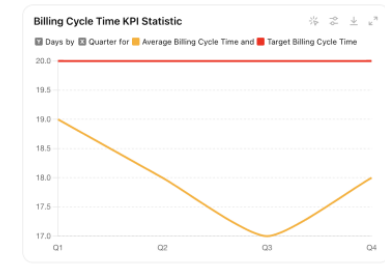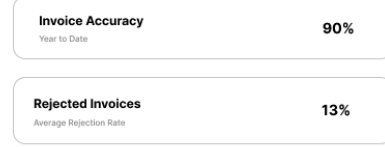
Operational Efficiency Insights
Measure communication effectiveness, progress reporting, and training and development participation. The dashboard helps optimise operational processes and enhance collaboration.

OCG Compliance Tracker
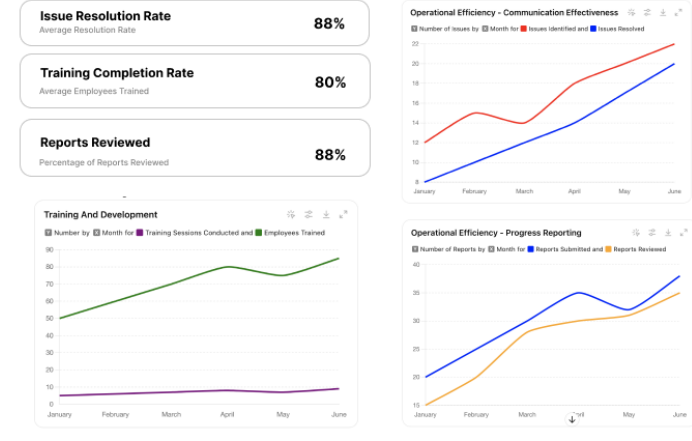
Financial Performance

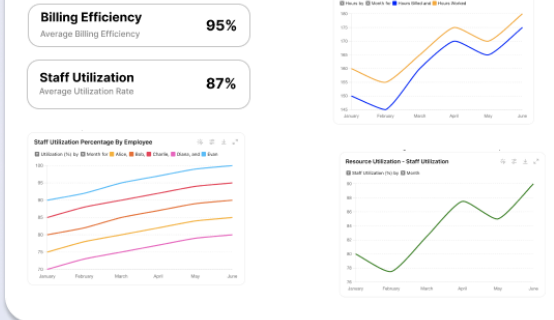|	
Total Legal Spend — Year to Date	$2,356,123
Cost per Matter — Average Cost	$1567

Budget vs Actual (Budget, Actual)

Discounts vs Savings (Discounts, Savings)

Compliance and Risk Management

Conflict Of Interest — Average Resolution Rate	93%
Regulatory Compliance — Compliance Rate	95%
Data Security Incidents — Average Resolution Rate	92%

Compliance & Risk Management – Conflict of Interest
Data Security Incidents
Regulatory Compliance

Resource Utilization

Billing Efficiency — Average Billing Efficiency	95%
Staff Utilization — Average Utilization Rate	87%

Resource Utilization – Hours Billed Vs Worked
Staff Utilization Percentage By Employee
Resource Utilization – Staff Utilization

Service Quailty & Performance

Resolution Time — Average Time	21 Hours
Client Satisfaction — Average Rating	8.2 / 10
Case Outcome — Average Resolution Rate	89%

Service Quality & Performance – Case Outcomes
Service Quality & Performance – Resolu...
Service Quality & Performance – Client ...

Operational Efficiency

Issue Resolution Rate — Average Resolution Rate	88%
Training Completion Rate — Average Employees Trained	80%
Reports Reviewed — Percentage of Reports Reviewed	88%

Operational Efficiency – Communication Effectiveness
Training And Development
Operational Efficiency – Progress Reporting

Billing and Compliance

Invoice Accuracy — Year to Date	90%
Rejected Invoices — Average Rejection Rate	13%

Billing Cycle Time KPI Statistic

REG-1: Vault

REG-1: Vault (Compliance Registers)

Tracking and Real-Time Management

Centralised management of various compliance registers, including Conflicts and Breach Management, Complaints Handling, Gifts & Hospitality, DSARs, SARs, and Register of Interests

Effective Breach Reporting

Streamlined Breach Management: Easily manage and report breaches with our integrated system, allowing quick identification, reporting.

Suspicious Activity Reporting (SARs)

Efficient Management of SARs: Simplify the process of creating, managing, and submitting SARs. Our toolkit helps in identifying suspicious activities and streamlines the reporting process, ensuring compliance with regulatory obligations.

Integration Capabilities

Seamless integration with downstream systems to ensure smooth data flow and enhance compliance monitoring and reporting across various platforms.

Policy-Driven Compliance

Ensure a real-time view of compliance status, driven by up-to-date policies and procedures, allowing for immediate response to any compliance issues.
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| Conflicts | Breach | Complaints | SAR | Undertakings | Claims | DSAR | Hospitality | Interests | Expert | Outsourcing |

✦ 7 New Items in August ✕

☑ 251 Total Items ✕

⚠ 199 Outstanding Action Items ✕

closed   outstanding

Status Breakdown ✕

- Open
- In Progress
- Closed
- Not Started
- On Hold

Frequency of Registers Logged in 2024 ✕

No. of Items Created

40
30
20
10
0
Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Dec

This Month
7 ↑600%

Last Month
1

Newest Items

SAR

Reference #	SAR Type	Submitted By	Date Created	Status
TEST AK 12345	Money Laundering using bank accounts	-	13-08-2024	Open
ihbfalcbd	Money Laundering by secured and unsecured lending	-	11-06-2024	Closed
AK Test 101	Money Laundering using bank accounts	-	04-06-2024	In-Progress
newwwww	Money Laundering by offshore international activity	-	14-05-2024	Open

Most Recently Updated Items

DSAR

Reference #	Client ID	Requestor Name	Date Updated	Status
534634	436432	John Carl	02-08-2024	In-Progress
654364	43672	Hannah Home	24-06-2024	Not Started
010221P0	jrdtjtyjtyjtyjytjtjy	KDHKtrhdrth	11-06-2024	Closed
463546	436465	Davies	11-06-2024	Closed
7625373	71263	aaaaa	04-06-2024	Open

REG-1: PMO

REG-1: PMO

A cutting-edge PMO module that connects all your critical business data in one place, driving project excellence and strategic alignment.

Gain instant insights with real-time dashboards, track budgets, milestones, and resources seamlessly, and empower teams to make data-driven decisions. From risk management to performance optimisation, this PMO module keeps projects on target, aligns initiatives with business goals, and accelerates delivery—all with unmatched clarity and control.