


File Audit As A Service

Our File Audit as a Service not only conserves your firm's valuable resources but also ensures you remain compliant across all matters, adapting to a rapidly changing regulatory environment. Let your firm excel, knowing your audit and risk assessment processes are thorough, current, and in full compliance with applicable laws and standards.


About

What Is File Audit As a Service




Elevate your compliance by enabling REG-1 to automate and extend file audits to 100% of your matters, not just a minimal, randomly selected sample. REG-1 transcends traditional limitations, offering unparalleled visibility and control across your entire case portfolio. With REG-1, gain comprehensive insight and proactive compliance management, ensuring every matter is monitored for risks and compliance adherence.

Proactive & Precise Risk Assessments




Stay ahead with our proactive approach to risk assessments, guaranteeing comprehensive evaluations that go beyond checkbox exercises. Our service ensures every client and matter is thoroughly assessed, aligning perfectly with regulatory expectations for meticulous risk identification and management.

Customised Solutions for Your Firm:




REG-1's customisable and dynamic risk assessment tools are designed to reflect the unique needs, risks, and profiles of your firm and each case you handle, directly countering the regulator's critique of over-generic assessments.

Scalability and Adaptability



As your firm grows, our service scales accordingly, offering flexible solutions that cater to your changing needs without becoming an obstacle to expansion.

Enhanced Due Diligence Made Easy



REG-1 automatically flags matters requiring Enhanced Due Diligence (EDD), streamlining the process to ensure you're not just compliant, but fully prepared to address any level of risk, addressing the regulatory concerns about firms missing critical EDD steps.

The Toolkit

Firm-Wide to File-Specific Integration

- Seamlessly integrate client/matter risk assessments with your firm-wide risk strategy

Empowering Fee Earners

- REG-1 can help ensure that every fee earner can correctly and effectively conduct risk assessments, with ease and considerably reducing the manual effort.

Real-Time Monitoring & Insights

- Advanced monitoring tools, your firm can continuously track compliance and risk levels.

Customisable Templates

- Use expertly crafted, customisable templates, designed to get you started on the right foot while avoiding the pitfalls of generic assessments criticised by regulators.

Future-Proof Your Compliance

- Our scalable solution evolves with regulatory changes, ensuring your firm remains compliant today and prepared for tomorrow's challenges, offering peace of mind in an ever-changing regulatory landscape.

Complete Coverage

- Ensuring you audit 100% of your matters not only meets but exceeds regulatory expectations, safeguarding your firm's reputation and operational integrity. Discover the power of complete file audit coverage with REG-1 and set a new standard in legal risk management.