



***regulatory case
management***

Regulatory Case Management GC15 IB

Introduction

In today's rapidly evolving digital landscape, the transformative power of innovative technology is undeniable. It's not just about staying afloat in the sea of change; it's about leveraging these advancements to propel forward, driven by unmatched efficiency and effectiveness.

Public sector organisations face numerous challenges, yet the emergence of new tools offers not only solutions to these challenges but also opportunities to provide services in newer, smarter ways.

This document introduces the Service Definition for our Regulatory Case Management service (RCM). This cloud service is not merely a system but a partnership chosen by government agencies eager to embrace a transformative approach to regulatory compliance. Our service focuses on what truly matters, recognising that duty holders face their own unique challenges.

We are excited to present Regulatory Case Management and welcome the opportunity to guide you through this innovative journey.

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Company

Civic is a premier full-service digital agency and a distinguished partner of GoPro, specialising in Case Management solutions. Having managed over 2,000 projects across the UK and Europe, our commitment is to enable the public sector to leverage digital opportunities, enhancing operational efficiency and improving service delivery.

Our mission is to empower public organisations to support their workforce and deliver effective services to their communities.

We are dedicated to creating measurable positive social impacts, with a focus on combating climate change, fostering equal opportunities, and prioritising staff wellbeing.

Civic proudly holds ISO 27001 certification, affirming our continuous commitment to the highest information security standards. This includes the implementation, maintenance, and ongoing enhancement of our information systems. Furthermore, our ISO 9001 certification reflects our unwavering dedication to operational excellence.

Our primary solutions are hosted on UK-sovereign cloud infrastructure that aligns with UK government security and compliance requirements, including the NCSC Cloud Security Principles. Where required, solutions can also be deployed on alternative cloud hosting platforms selected by the customer.

Our values

Straight-talking and approachable

We're respected for telling it as it is. We're friendly, engaging, and welcoming, and pride ourselves in building genuine, honest, and lasting relationships with clients.

Expert and flexible

We're skilled at applying the technology and know-how that can transform user experience and deliver excellent service by listening to the needs of our clients.

Innovative and curious

We believe in innovation and are always open to new ideas. We have a passion for building great user experiences that help businesses prosper and make a difference to society.

Trusted and collaborative

We're respected for the quality of our work and the integrity of our relationships. We strive to be open, honest, and professional with everyone.

Respectful and supportive

We encourage personal development, value job satisfaction, and engage staff in major decisions. We support the environment, respect diversity, and strive to make a positive social impact.

Navigating the Challenges: Our Approach

In the realm of regulatory compliance and case management, our clients frequently face significant challenges that impede efficiency, effectiveness, and overall performance. These real-world obstacles daily impact customers and complicate operations.

Take, for instance, a government agency tasked with overseeing environmental regulations. They manage thousands of cases ranging from registration processes to enforcement actions. Each case requires meticulous attention to detail, timely responses, and seamless coordination among stakeholders. However, without an integrated, streamlined system, these agencies often encounter inefficiencies, delays, and potential compliance breaches. Our service optimises resource allocation and employs risk-driven prioritisation to ensure tasks are addressed effectively and regulatory obligations are met efficiently.

Consider also a scenario involving a duty holder classified as low risk. For them, managing and demonstrating compliance has become increasingly streamlined. They can now submit compliance reports more efficiently through self-inspections with geo-tagged visual and audio evidence, reducing the need for disruptive on-site inspections. Additionally, authorities can now conduct joint-up compliance reviews, coordinating on-site inspections to cover multiple purposes in one visit—what previously required three visits is now accomplished in one. This consolidation allows duty holders more time to focus on their core business activities.

These scenarios underscore the everyday challenges faced by our clients and their customers. At its core, RCM introduces more flexible working methods using technology to enhance efficiency and reduce the regulatory burden.

With the transition to a service like RCM, which is designed to enhance efficiency and streamline workflows, significant transformations are evident. Challenges associated with navigating disparate systems are replaced by a user-friendly interface, intelligent automation, and real-time insights. Tasks

that once took days can now be completed in hours. Collaboration among teams becomes seamless, with all stakeholders gaining easy access to relevant information, significantly improving the overall workflow and regulatory compliance.

The service

Regulatory Case Management Software (RCM) represents a cutting-edge, a modern low-code, highly configurable service. This solution is meticulously designed to streamline regulatory case management for government bodies aiming to transform their service delivery.

RCM integrates core functionalities such as inspection, process management, rule enforcement, content handling, reporting, and business activity oversight to significantly enhance efficiency in regulatory compliance. With features like self-inspection management and secure collaboration with external stakeholders, RCM ensures operational cohesion and effectiveness. Its agility and flexibility equip organisations to adapt and thrive in a dynamic environment. Civic is committed to empowering users, offering intuitive configuration options that promote rapid adoption and self-sufficiency. Our commitment extends to providing seamless upgrades and reliable support to ensure sustained performance.

The RCM service has been evaluated and adopted in public-sector regulatory contexts, demonstrating its suitability, supportability, and commercial viability. It adeptly supports the complete R-I-C-E (Registration, Inspection, Compliance, Enforcement) cycle. From initial registration through to ongoing enforcement and complaint management, Civic delivers a user-friendly and intuitive interface that ensures swift onboarding and minimal training. The high degree of configurable flexibility allows organisations to customise the solution to meet specific needs, while also offering a comprehensive, ready-to-use solution right out of the box.

Regulatory Coverage and Operating Models

The Regulatory Case Management (RCM) service is designed to support a wide range of regulatory, inspection, compliance, and enforcement functions across the public sector. The service can be configured to reflect differing legislative frameworks, inspection models, and operational policies without the need for custom software development.

RCM supports regulatory activity across domains including, but not limited to:

- Environmental protection and pollution control
- Health and social care regulation
- Education and children's services inspections
- Housing standards and private rented sector regulation
- Building safety and property compliance
- Fire safety and public protection
- Food hygiene and safety
- Trading standards and consumer protection
- Workplace health and safety
- Animal health and welfare
- Licensing and permitting regimes

The service supports local authorities, central regulators, arms-length bodies, and shared service arrangements. Multiple regulatory regimes can be operated within a single platform while maintaining separation of policy, workflows, and decision-making criteria where required.

This flexibility enables organisations to adopt a consistent regulatory approach across teams while retaining the ability to tailor inspection methods, risk models, evidence requirements, and enforcement thresholds for each regulatory function.

Key features

RCM offers a robust suite of features designed to enhance the efficiency of regulatory compliance and case management processes. Below is an overview of some of the key features:

Configurable Automated Risk Assessment

Enhance your oversight capabilities with RCM's automated risk assessment feature. This tool automates the evaluation of data to provide an objective risk score, leveraging configurable rules to deliver streamlined and insightful compliance risk assessments. This automation enables authorities to prioritise and allocate resources more effectively, eliminating the need for manual guesswork. Embrace a smarter approach to risk assessment with RCM's intelligent, automated solutions.

Automated Inspection Complexity Scoring

Imagine a scenario where the complexity of each new compliance case is instantly assessed by a reliable digital assistant. By integrating RCM into your workflow, you gain the benefit of automated complexity scoring. This advanced system evaluates the intricacies of each potential non-compliance case, from registering inspection requirements to determining the necessary inspector skills and certifications. RCM streamlines case management, optimising your use of time and resources, ensuring that every case is handled efficiently and accurately.

AI Optimisation and Smart Geographical Mapping

Resource optimisation is crucial for maintaining operational efficiency, particularly for tasks that cannot be fully automated. RCM elevates resource management with AI-driven scheduling and optimisation. It automatically identifies high-risk non-compliance cases and orchestrates optimal inspection schedules by considering factors such as inspector availability, skills, certifications, and geographic location. With the capability to assess billions of potential inspection program permutations in seconds, RCM also optimises travel routes for on-site inspections. This reduces travel time, cuts costs, lowers greenhouse gas emissions, and maximises overall resource utilisation.

BI and Reporting

Imagine having real-time insights into inspection performance at your fingertips. RCM delivers just that with its powerful real-time reporting capabilities. The specialised reporting database ensures that these insights are delivered without compromising system performance, providing you with actionable data that supports informed decision-making. Stay ahead with immediate access to

performance metrics that can drive strategic improvements.

Easy Registration with Ready Case Templates

Simplify and expedite the registration process using RCM's pre-configured case templates. Each template is equipped with predefined properties such as metadata, workflow structures, deadlines, and access controls, promoting a consistent and compliant approach to case management. With RCM, initiating new cases is effortless, enabling users to manage cases efficiently and effectively right from the start.

Tasks and Workflows

Experience a visual approach to managing your inspection tasks and workflows with RCM's intuitive Kanban board. This platform comes equipped with predefined workflows and tasks that streamline processing, while customisable phases allow you to tailor task management, set specific deadlines, and assign responsibilities. This ensures a smooth, efficient workflow that adapts to your operational needs.

Ad-Hoc Process Management

In scenarios where processes cannot be strictly defined in advance, RCM's ad-hoc process management proves invaluable. It accommodates dynamic and exploratory tasks, such as unexpected inspection types and escalations, ensuring that even the most unpredictable scenarios are handled with consistency and compliance. This flexibility is essential for maintaining standards and adapting to new challenges as they arise.

Enforcement and Compliance Management

RCM supports graduated and proportionate enforcement activity in line with regulatory policy. This includes the management of advice, improvement actions, notices, penalties, suspensions, and prosecutions within a single auditable case record.

Compliance actions, deadlines, evidence submissions, and follow-up activities are tracked centrally, providing decision-makers with full visibility of regulatory history and supporting consistent, defensible outcomes.

Document, Content, and Email Management

RCM equips users with robust integrated capabilities for managing documents, content, and emails, all designed to keep regulatory case files organised and readily accessible. Users can efficiently create, categorise, and manage documents within inspection cases. Features like auto-categorisation and document previews enhance usability, making it easier to find and work with necessary documents quickly. By centralising these elements within the system, RCM ensures that all users have consistent access to the latest, most relevant information at all times.

Forms, Emails, and Document Templates Management

Streamline your document generation process in regulatory case management with RCM's integrated management system for forms, emails, and document templates. This feature allows you to effortlessly create forms, documents, and emails using pre-designed templates that automatically fill with relevant case and contact information. This automation not only saves time but also increases accuracy and consistency across your communications and documentation.

Contact and Relationship Management

Efficiently manage contacts and relationships through RCM's integrated contact management system. This system allows you to categorise contacts, assign them to specific groups, and link them directly to cases. By organising your contacts in this manner, you ensure seamless collaboration and communication across all parties involved, enhancing the effectiveness of your case management processes.

Entity, Asset and Stakeholder Management

The service maintains authoritative records for regulated entities, individuals, premises, and assets. All regulatory interactions, inspections, communications, and enforcement actions are linked to these records, providing a consolidated view of regulatory status and history.

This approach reduces duplication, improves transparency, and supports proportionate regulatory decision-making based on evidence and precedent.

Rules Management

Simplify the upkeep of your regulatory processes with RCM's externalised rules management system. This feature centralises the maintenance of all rules—whether for risk scoring, regulatory assessments, or other purposes—making them easily accessible and modifiable by non-technical staff. The centralised management ensures consistency and accuracy across various processes, enabling swift updates and adjustments as needed without disrupting ongoing operations.

Process Automation

Streamline your workflows with RCM's BPM process automation module. This powerful tool features a user-friendly graphical process designer that empowers non-technical users to easily define and model business processes. Automate complex operations such as document generation, publication, and case status updates with precision and minimal effort. This automation not only increases efficiency but also ensures that your processes run smoothly and consistently, allowing your team to focus on more strategic tasks.

Automation, Intelligence and Responsible AI

RCM incorporates automation and intelligent assistance to support efficient regulatory operations while maintaining human oversight and accountability.

Automation is used to trigger tasks, reminders, escalations, inspections, and follow-up actions based on configurable rules and events. This reduces manual effort and ensures regulatory actions are carried out consistently and on time.

Intelligent capabilities are used to assist users with activities such as:

- Identifying higher-risk cases and prioritising activity
- Highlighting patterns of non-compliance
- Supporting scheduling and resource optimisation
- Assisting with document classification and information retrieval

All automated and intelligent features are designed to support, not replace, human decision-making. Users remain in control of regulatory outcomes, with full traceability of system actions and decisions. Intelligent capabilities may include statistical models, optimisation techniques, and machine-assisted analysis, as well as configurable AI components, depending on the regulatory use case and customer requirements.

Submission Portal

This optional feature transforms the way you collaborate with external stakeholders, providing a seamless and secure platform for effective communication and engagement. Imagine a portal that acts as a digital gateway for potential service providers, facilitating easy registration and enabling them to conduct self or remote inspections effortlessly. This user-friendly interface simplifies the process, ensuring that all necessary information is submitted smoothly and efficiently.

Behind the scenes, RCM leverages its advanced capabilities to automate risk assessments and intelligently assign inspectors based on multiple criteria such as skill sets and geographic location.

Additionally, the submission portal allows entities to initiate self-inspection requests for the products or services they offer. Whether registering a new product or querying a self-inspection, users can easily track the progress of their submissions and remain informed about the status of their inspection cases. This not only enhances transparency but also empowers stakeholders to manage their regulatory responsibilities proactively.

100% Service Enabled

Imagine a system where every functional aspect is readily accessible and designed for smooth interoperability. With our service-enabled architecture, every action—from extracting data to initiating processes—is streamlined for seamless communication. This ensures that all components of the system work in harmony, enhancing overall performance.

Our entire solution is service enabled, unlocking its full potential to effortlessly integrate with other systems. By utilising a standard open REST API, we facilitate seamless connections, allowing for easy data exchange and process activation across diverse platforms. This integration capability empowers your organisation to leverage our comprehensive solution within your existing IT ecosystem, enhancing efficiency and extending functionality.

The service exposes functionality through a standard RESTful API, enabling secure integration with other systems and platforms. This allows organisations to exchange data, initiate processes, and integrate RCM into their wider digital and operational landscape.

Technical Properties

RCM is meticulously designed to cater to both technical and non-technical users. Here are some key features that highlight its versatility and robustness:

Low-code Platform: RCM is built on a powerful low-code platform that offers extensive configurability and seamless integration capabilities, making it adaptable to various business needs.

Cross-Platform Compatibility: The system is designed to work across multiple operating systems and web browsers, ensuring smooth accessibility for all users regardless of their preferred technology.

Integration Support: The service supports integration with external systems through standard APIs, enabling interoperability where required.

Mobile Accessibility: Supports on-the-go access, enabling users to manage cases and inspections from anywhere, which enhances flexibility and increases productivity.

Scalability: The architecture of RCM is scalable, ensuring that it continues to perform optimally and reliably as user demands and data volume grow.

Enhanced Security: Built-in security measures protect sensitive data and ensure compliance with the latest regulatory standards, providing peace of mind and safeguarding your operations.

Continuous Updates: Regular updates and maintenance are part of the service, ensuring that the platform remains current, secure, and aligned with evolving security threats and compliance requirements.

Security, Assurance and Compliance

RCM is delivered as a secure cloud-based service designed to meet the information assurance, resilience, and compliance requirements of public sector organisations. The service is designed to support defined availability targets, backup regimes, and recovery objectives appropriate to regulatory services, with options aligned to customer operational requirements.

Security controls are applied across the service to protect sensitive data and ensure regulatory confidence, including:

- Data encrypted in transit using TLS
- Data encrypted at rest using industry-standard encryption
- Granular, role-based access control at case, document, and item level
- Comprehensive audit logging of user activity and system actions
- Secure authentication mechanisms with configurable password policies
- Segregation of audit data to support independent review and assurance
- Secure gateways and monitoring to protect against unauthorised access

The service is designed to support compliance with applicable data protection legislation, including



the Data Protection Act and UK GDPR, and aligns with recognised public sector security frameworks and standards.

Accessibility is supported in line with WCAG 2.2 Level AA guidelines.

Our cloud services

Civic offers professional consultancy and configuration services to ensure a smooth and successful onboarding experience for new customers transitioning to our G-cloud software service.

Customer Onboarding

Civic delivers onboarding using an agile, user-centred approach aligned with UK Government Digital Service (GDS) best practice.

Depending on the scale and complexity of the implementation, onboarding may include the following phases:

Discovery

Focused on understanding user needs, regulatory context, existing processes, and technical constraints. This phase informs configuration decisions and delivery planning, ensuring that the service is aligned with organisational objectives and regulatory requirements.

Alpha

Exploration and validation of configuration approaches using prototypes and iterative testing. This phase reduces risk before full configuration by testing assumptions, refining workflows, and validating usability with representative users.

Beta

Configuration of an end-to-end service, integration with required systems, and preparation for operational use. Early user groups validate usability, accessibility, and performance, allowing refinements to be made before wider rollout.

Live

Transition to live service operation with ongoing monitoring, support, and continuous improvement. The service is actively managed to ensure stability, responsiveness, and alignment with evolving regulatory and user needs.

This approach ensures that the service meets user needs, complies with relevant standards, and can evolve as regulatory requirements change.

Design

Civic's design approach focuses on creating regulatory case management services that are usable, accessible, resilient, and aligned with operational and policy needs.

Our Solution and Technical Architects work collaboratively with customers to design a service that balances regulatory requirements, user needs, and technical constraints. Design activities consider the end-to-end service, including internal users, external stakeholders, data flows, integrations, and operational support.

Design work typically includes:

- Service and solution architecture design aligned to regulatory and organisational requirements
- User-centred service design, ensuring workflows reflect how regulators and inspectors operate in practice
- Configuration design for case types, workflows, forms, rules, and reporting structures
- Integration and data design, including interfaces with existing systems where required
- Non-functional design considerations, including security, accessibility, performance, and scalability

Design decisions are informed by discovery and validated through iterative collaboration with stakeholders, ensuring that the service is practical, proportionate, and ready for operational use. Where appropriate, designs are documented to support governance, assurance, and future service evolution.

This approach ensures that the configured service is robust, adaptable, and capable of evolving as regulatory frameworks, policy objectives, and operational needs change over time.

Business Analysis

Leveraging our extensive experience in delivering case-based solutions, we support customers in defining and clarifying their requirements. This involves expressing needs through user stories and acceptance criteria, enabling clear and actionable project goals.

Project Management

Our project management approach incorporates the best practices of PRINCE2 and agile methodologies. A team of certified project managers guides the customer through the onboarding process, ensuring milestones are met efficiently and effectively.

Configuration

The customer success team collaborates closely with the client to configure the system according to defined user stories. This hands-on approach helps transfer knowledge to the customer's team, empowering them to manage and adapt the system's configuration over time.

Data Migration

Smooth transition to a new system relies on seamless access to both current and historical data. Our data migration experts oversee the data mapping and migration process, utilising standard tools to ensure data integrity and accessibility.

Ongoing Support

We offer a comprehensive support model with our cloud service, including standard SLAs for regular business hours and 99.5% system availability. Enhanced support options are also available, featuring 24/7 assistance and improved recovery objectives.

Support delivery follows recognised IT service management practices. Roles and responsibilities are agreed during onboarding, ensuring clear ownership across operational support, configuration, and service management.

Engagement Models

Civic provides flexible engagement models through G-Cloud, accommodating complex implementations and existing supplier relationships. Customers can engage with us as a Prime Contractor for an end-to-end service or under a Collaboration Agreement with preferred systems integrators and hosting providers.

Off-boarding Services

Civic supports customers during the off-boarding process, whether through standard data extraction services or by assisting with data migration to another platform. Extracted data can be delivered as a SQL database containing all system data and file attachments, or in XML format with files included. Off-boarding services are provided on a time-and-materials basis, with transparent cost estimates provided upfront.

By adopting these comprehensive services, Civic ensures that every phase of the customer journey, from onboarding to off-boarding, is supported with expert guidance and tailored solutions.

Pricing & commercials

This section summarises the basic pricing details and minimum contract periods. A complete pricing guide is provided in the separate pricing documents.

Civic Cloud Software is priced based on various components including Licenses, Support, Configuration, and Hosting. The pricing structure includes initial setup costs as well as ongoing expenses. While hosting is typically provided by Civic, alternative options are also available.

Unit price

Users are licensed in 'units of one' with a minimum number of 10 users. For more details, please refer to the pricing document.

Minimum contract period

The minimum period over which a customer must have a contract with us for its cloud software is three months. Thereafter, the service may be terminated with three months written notice.

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