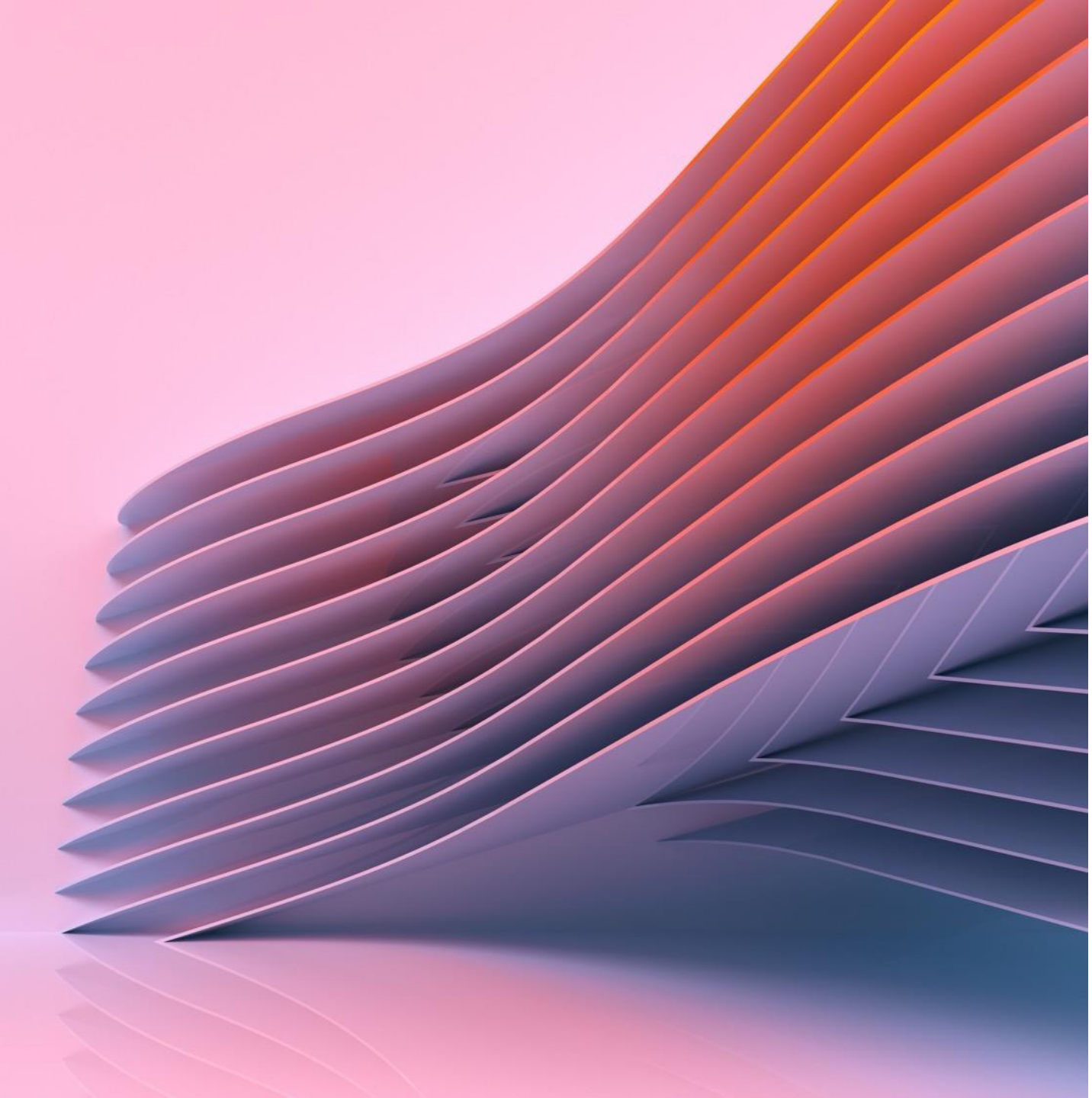
EQ
G-CLOUD 12
SERVICE DEFINITION



Perito Case
Case Management

- SOLUTION OVERVIEW
- SOLUTION DETAIL
- BUSINESS NEED
- CASE STUDY
- OUR SERVICES AND ASSURANCES

Solution Overview

The Equiniti Cloud-based case management system helps organisations improve business processes through the effective management of cases and information. Our case management solution allows government organisations to efficiently receive, record and resolve cases in line with legislative requirements.

Equiniti is a trusted supplier of case management solutions. Our case management software handles over 4.5 million cases per annum, is fully scalable, flexible and customisable for any organisation no matter what the specific case management need may be. We ensure that formal case management processes are observed, accountability is kept for all key decisions and documents and data are stored securely.

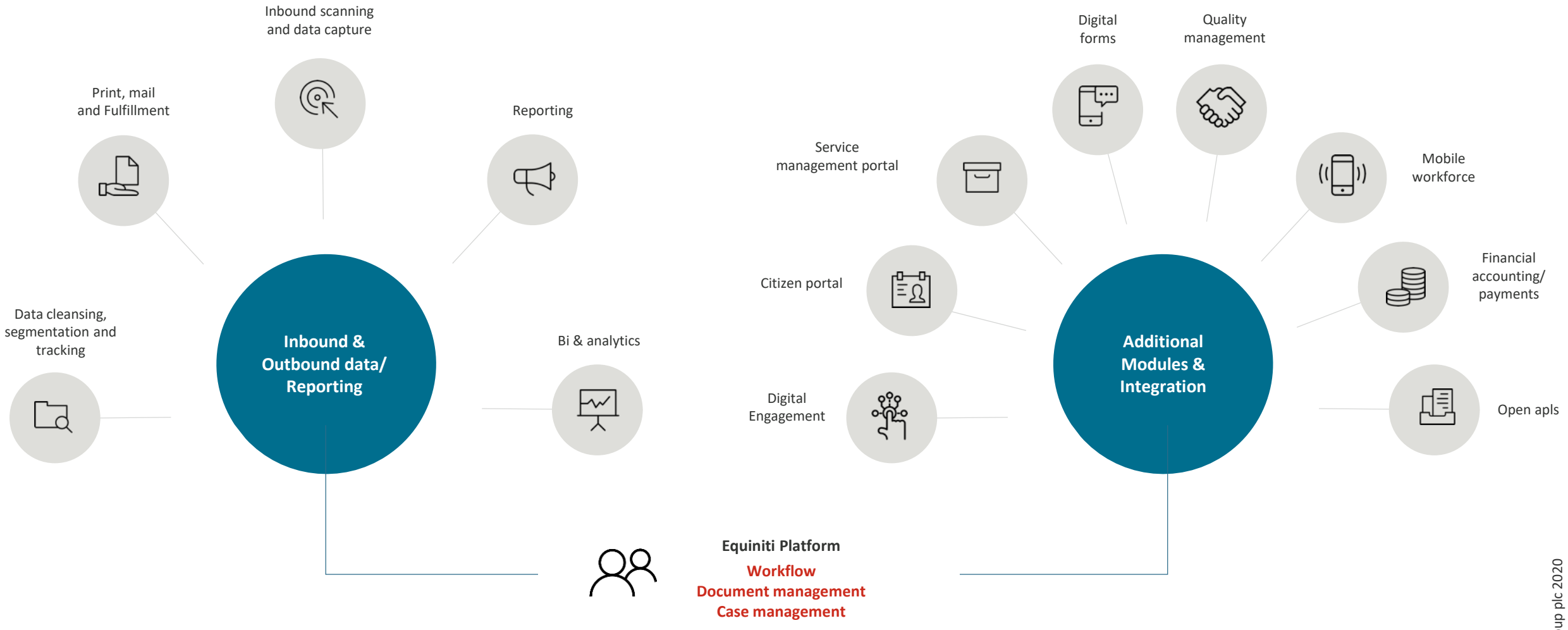
Our Cloud-based case management software is a workflow enabled system and fully configurable, allowing you to dynamically maintain details of all cases, parties and events. Specialised functionality handles the most complex case scenarios with ease, allowing you to focus on effective resolutions to every case.

Business Need

- For any organisation looking to replace or automate and streamline complaints, investigation, inspection, subject access request, Freedom of Information, grants or claims management
- For organisations seeking to shoulder the burden of proof in relation to legislative requirements like GDPR, etc.
- For organisations seeking to show compliance with industry standard or internal regulation and process

- For organisations wishing to streamline and automate process whilst remaining accountable
- For organisations wishing to demonstrate efficiency and return on investment through comprehensive BI and reporting
- For organisations who place citizen satisfaction with service high on their agenda

- For organisations that want an effective and modern user interface, in line with the Microsoft digital office experience that millions of staff already use on a daily basis



INVESTIGATIVE CASE MANAGEMENT | INSPECTION MANAGEMENT | COMPLAINTS MANAGEMENT

OUR SERVICES AND ASSURANCES

Reporting and Analytics

BI APPROACH

Every BI project that Equiniti delivers follows a well-defined approach which comprises of the following phases - requirements gathering, design, development, testing and deployment. We work closely with our clients at all levels to ensure the required reporting outputs, management information and business intelligence can be provided in the BI solutions that are delivered.

Each delivery phase provides specific documentation that will be reviewed with the client before formal approval, ensuring well defined and clear transparent outcomes delivering an effective BI project.

BUSINESS INTELLIGENCE

At Equiniti we use the Microsoft BI stack and the Dimensional Insight Diver platform to help clients gain powerful insights into how their business is operating and performing by measuring against KPIs and identifying opportunities for improvement using time based and trend analysis.

With our expert BI Consultancy team, we work with our clients to define and create a data warehouse and data models (cubes) by aggregating and combining data from different data sources within the business into one centralised repository. By applying business rules and data standardisation logic, we ensure the quality and accuracy of the data used to create KPIs and reports which drives insights and informs management decisions.

MANAGEMENT INFORMATION

Our clients use the reporting data models we create and leverage the capabilities of the toolsets which we offer, including Power BI, Report Builder and Microsoft Excel and the Diver platform, to review and analyse their data identify trends and inform decisions.

Using these tools our clients can easily create dashboards and reports, or our experienced team of BI developers can provide a consultancy service to complete this work for them. These role-based dashboards and reports can also be embedded into our applications for a unified BI experience, these can be viewed on any device.

Solution Overview

MICROSOFT AZURE

Microsoft Azure is Equiniti's public cloud platform of choice. As a well-established partner of choice and former Irish hosting partner of the year with Microsoft, we have a depth of experience when it comes to providing solutions on the Azure public cloud platform. Azure is an open, flexible, Enterprise-grade cloud platform offering IaaS and PaaS. It is the largest, fastest growing (120,000 new subscriptions per month) and most compliant (70 plus compliance offerings) global cloud offering and offers UK, European and worldwide hosting options. It meets the UK Government's cloud security principles and is set in a robust IT environment, providing end users (tenant administrators) with a modern, functional management interface.

Azure utilises comprehensive Disaster Recovery (DR) and Business Continuity Planning (BCP) capability through 'paired regions', which ensure your content is subject to resilience across multiple data centres in the same geographical region (UK, Europe) whilst adhering to strict SLAs and backup strategy.

EQ CLOUD

The EQ Cloud is Equiniti's private cloud platform, deployed across two Equiniti owned data centres. Following key design principles, the EQ Cloud has delivered a secure, scalable and standardised IaaS platform, set in a robust IT environment, providing end users (tenant administrators) with a modern, functional management interface based on the Microsoft Azure technology stack.

To meet strict availability SLAs and minimise downtime, the platform has been implemented with Business Continuity Planning (BCP), Disaster Recovery (DR) and component resilience, essential at each layer within the infrastructure (storage, compute, network, backup and security).

CLIENT HOSTING

We work collaboratively with our clients' IT teams by complementing their existing hosting platforms on their premises with our own services. When we agree our client's requirements, we provide outline infrastructure requirements in line with the requirements of the solution. These are reviewed the client and then further tailored by us to ensure they meet the required infrastructure standards that we have agreed we will comply with. Once the standards and requirements have been agreed, these are signed-off by both parties.

Equiniti can supply new infrastructure and platform licences or reuse your licences where required. Service support levels will be defined in the agreed contract, including Equiniti's level of access to the solution if not fully managed by us, and our service team will visit your premises to support the system when needed.

Equiniti works closely with you to produce an implementation plan which incorporates:

- **System configuration including user setup and organisation specific static data and content**
- **System verification**
- **Project management and governance**
- **User training on the system**
- **Communication to users and stakeholders**

Our Delivery Approach

We provide the necessary expertise and guidance to ensure a smooth implementation and go-live, and subsequently deliver ongoing system support and service management.

Equiniti understands that clients are at different maturity levels when it comes to project delivery. As a result, we work with you using whichever method is most appropriate including full waterfall, agile hybrid and pure agile implementations.

For clients embracing agile hybrid, where specifications are agreed in advanced of development commencement, as well as pure agile delivery, we can prepare show and tell sessions where the you can see and interact with the solution, thus getting earlier visibility of the application, which enables for faster feedback and more efficient training across your user community.

Service Management and Support

SERVICE MANAGEMENT

Equiniti can provide dedicated Service Managers as the point of contact for each of our services. Their key responsibilities are the day-to-day co-ordination of the Equiniti support function; providing status updates and monthly activity reports; co-ordinating product issues through to resolution; and co-ordinating the scoping, planning, costing and overall management of change.

Equiniti will issue service performance reports on a monthly basis to include a summary of any incidents, overall service availability metrics, major incidents and recurring or related issues or trends to be addressed. Meetings will be convened regularly to review the service management report and agree any actions for the next service period(s).

PLANNED MAINTENANCE AND SERVICE INTERRUPTIONS

Planned maintenance may be carried out by either Equiniti or the client in accordance with any pre-agreed maintenance timetable, and will, where possible, only be carried out during periods where the availability or performance of the relevant service elements will not be affected.

The pre-agreed timetable can be updated according to requirements at service review meetings. Scheduled interruptions to the agreed service hours will be either standing or ad-hoc arrangements, both of which will be agreed between us.

SERVICE LEVELS

Service hours will be defined and agreed according to your requirements and service availability. The service availability will be measured as a percentage of the total time in a service period and will be provided within the monthly service performance report. Equiniti will work with you to agree appropriate schedules and management information including measures of performance.

Ordering and Invoicing

We ask our clients to complete a standard registration/order form. Standard invoicing is on a monthly basis with 30 day payment terms by bank transfer.

While these are our standard terms, we are focused on making engaging with us as simple as possible so can agree other terms if required. If you would like to discuss further options please contact us on the above email address.

On-boarding and Off-boarding

We work with our clients to define and validate their requirements to determine the exact configuration of the solution. The on-boarding and off-boarding process is dependent on the specific requirements of the solution. We will provide a detailed estimate of effort required for the implementation and an outline implementation plan.

A standard implementation will normally take one to two months to complete the configuration work and provide a pilot system for the organisation.

Business Continuity and Disaster Recovery

BUSINESS CONTINUITY

Equiniti places great emphasis on business continuity and can provide a business continuity plan if required by the client. This plan sets out the procedures, roles and responsibilities in the event of major or severe disruption affecting staff or systems to ensure continuity of service. This would ensure that Equiniti is able to continue operating in compliance with ISO 27001 Information Security in situations such as a breakdown of supply chain and essential partners or a loss of staff, systems or working locations.

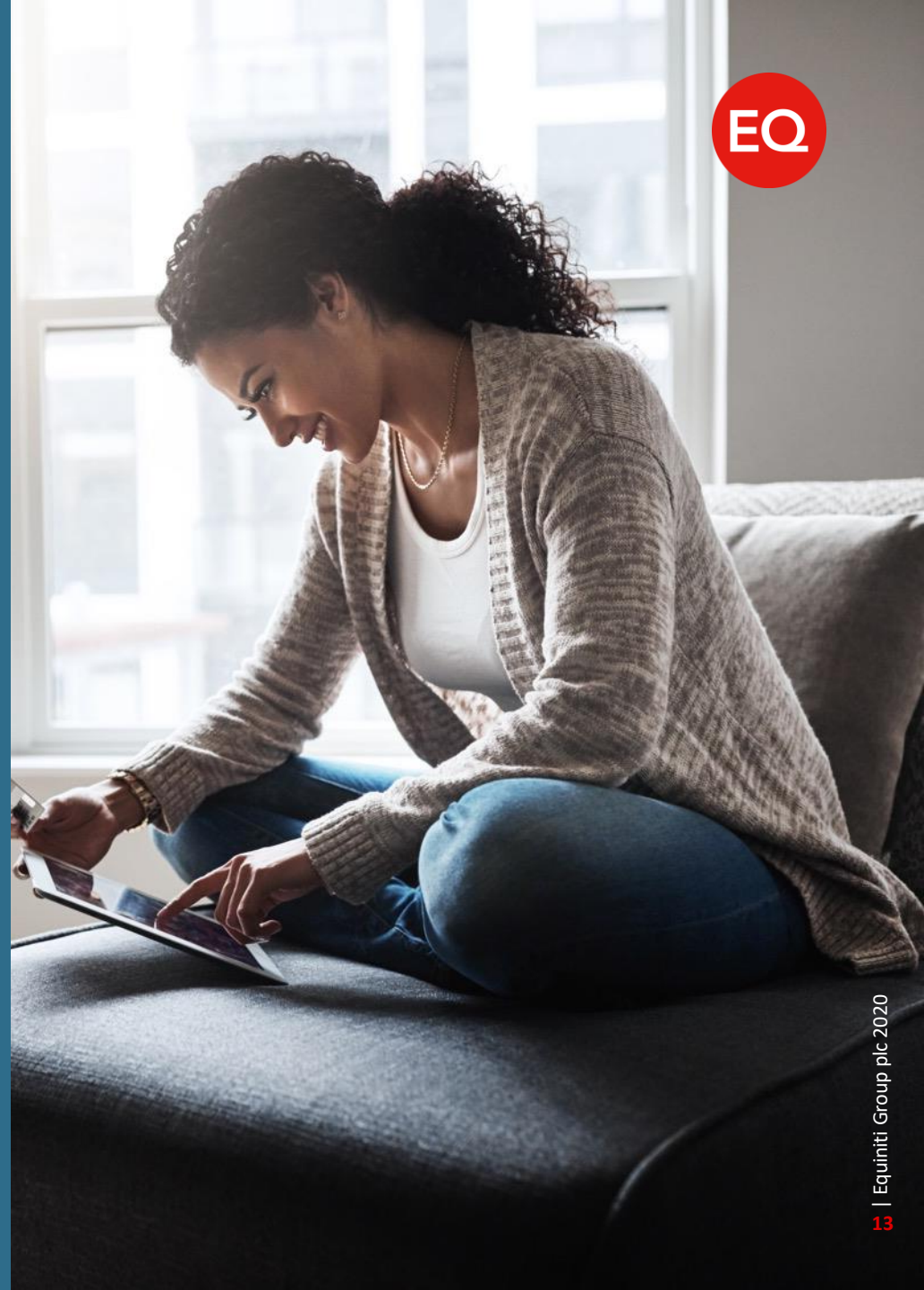
All policies, procedures and plans are aligned to ISO 22301, the international standard for societal security; business continuity, and to the Good Practice Guidelines (GPG) of the Business Continuity Institute (BCI), of which we are associate members. All procedures align to ISO 27001 in regards to information Security and data protection for recovery purposes.

DISASTER RECOVERY

A disaster recovery plan forms part of the business continuity plan, which ensures IT service continuity and/or recovery of IT services during a disaster event. This will provide a subset of tools and procedures which will enable the recovery or continuation following a natural or human induced disaster.

The levels of data backup, restore and disaster recovery provided by us will be dependent on service hosting and your specific recovery objectives. All data backup and recovery protocols will be fully documented and will form part of the normal daily business process, and also the service availability and continuity strategy documentation detailing the disaster recovery plan and business continuity plan.

We always work closely with our clients to make sure the final agreed approach and backup and recovery protocols are fit for purpose to support your service and business continuity requirements.



Exit Plan

Equiniti places great emphasis on ensuring continuity of services for our clients. With an exit plan in hand at the outset of the relationship, our client's needs will be incorporated into the contract, ensuring minimum business and client disruption in the event that the relationship is concluded. The exit plan will be reviewed annually, or when significant change occurs.

There are several considerations to be made when developing an exit plan. This includes, but is not limited to:

Continuing Service Requirements

Data Security and Privacy

Knowledge and Documentation Transfer

Costs

People

Why Equiniti

- At Equiniti we're in the business of creating technology solutions that anticipate change and are designed to tackle any challenges or complex problems that our clients face. We position digital at the heart of everything we do, focusing on the needs of the end user – citizens.

- We understand the complex challenges and changing priorities that our public sector clients have to cope with. Citizen expectations are ever-changing, and organisations are now expected to deliver services that are easily accessible, personalised and secure. With the average person now spending more time using technology than sleeping, our goal is to place our clients at the forefront of the new digital landscape.

- We're not just a new or unknown digital solutions specialist – We're a FTSE 250 superbrand with 4,500 employees and are already delivering our innovative solutions for public sector and commercial clients across the UK.

- We work collaboratively with all of our clients to shape projects, build or increase digital capability with our full portfolio of bespoke solutions, tailored to each client's requirements.

- From providing records management solutions to central government departments, to customised rate collection systems for local government agencies, we have an extensive track record of working with public sector bodies and agencies across all sectors. In 2012, Equiniti was chosen as the private sector partner to provide a scalable and highly secure IT solution to the government's first Mutual Joint Venture, MyCSP. Our solution, our expertise and our ability to meet the Cabinet Office's specific requirements, resulted in a significant reduction in infrastructure and maintenance costs, increased productivity and delivery of over 99% availability.

WHO WE WORK WITH

We deliver transformation to key government departments and public sector bodies and agencies across the UK, including:

HOW WE WORK WITH YOU

We combine unparalleled expertise and capabilities with original thinking and advanced technology solutions to deliver innovation, experience and results that make a difference. Whether it's delivering analytical tools and insights or improving efficiencies with newer, faster systems, we empower organisations by taking them on a journey to digital excellence to provide citizens with the experience they want.

From end-to-end, through security, stability and performance, and beyond to digital enablement, our clients trust us to deliver on every count. We take a user-first, agnostic approach by focusing on your requirements to ensure we match them with the right technology, providing the best solution possible that gives them the flexibility and scalability they require to deliver improved outcomes for the end user.

WE OPERATE ACROSS **THREE KEY PILLARS**:

TECHNOLOGY

PROCESS

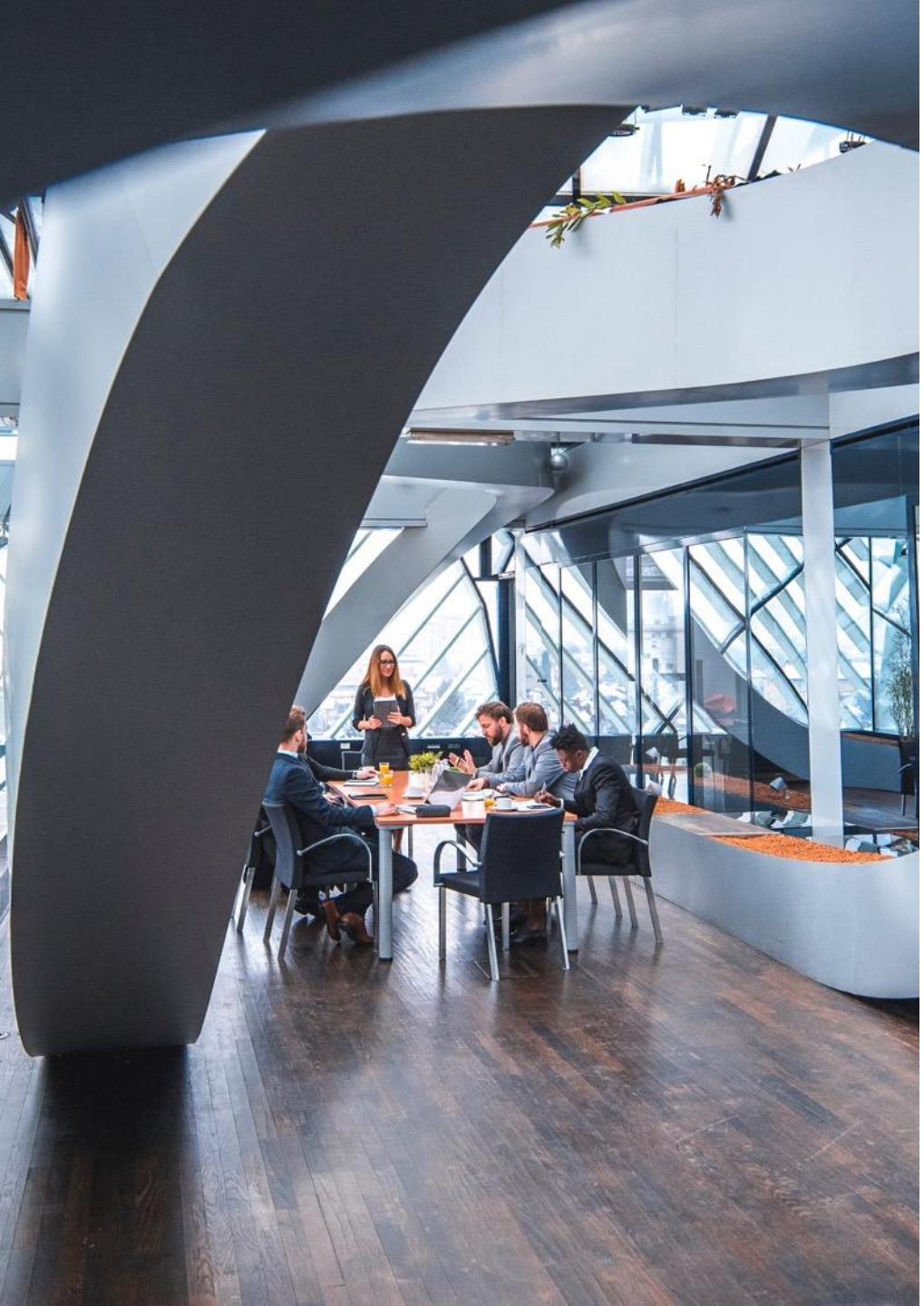
PEOPLE

TECHNOLOGY

Proprietary technology is the key enabler for our business solutions. It drives us forward in a world increasingly focused on digital relationships, straight-through processing and using data strategically.

Our technology solutions are:

- **Well invested and wholly owned, with a focus on new and emerging technologies** – Since 2007, we have invested more than £100m in our market-leading platforms
- **Scalable** - We have capacity across all our platforms, resulting in low marginal costs as growth accelerates
- **Flexible** - We have developed our proprietary platforms to meet specific client needs. We use these platforms to run our own operations and to provide Software-as-a-Service and Platform-as-a-Service for clients
- **Secure and resilient** - Our infrastructure is on-shore and configured for security, resilience and scale and we provide services at the level of Official – Sensitive Personal.



PROCESSES

Our digital first approach helps organisations improve efficiencies and deliver excellent citizen and client experiences. Using our technologies, we can help you build applications that deliver digitised, streamlined processes, provide operational transparency, enable data-driven decision making and make your employees more productive.

PEOPLE

Our priority is to understand and accommodate your needs and through our client-centric approach we aim to cost-effectively transform operations, worker and citizen experiences. Whether our clients want a revolution or evolution we work in partnership with you to find the right balance of focus at the right time for you.

We not only have the solutions, we have the people to deliver and drive them. Our team of experts work in an agile and flexible manner that enables them to deliver advanced digital technologies to specification and to deadline. We are process engineers dedicated to driving efficiencies and improving outcomes. With best-in-class industry tools, through digitisation we aim to apply new, now.

ISO 9001:2015

ISO 14001:2015

ISO 27001:2013

ACCERDITATIONS AND MEMBERSHIPS

We deliver transformation to key government departments and public sector bodies and agencies across the UK, including:

DIGITAL TRANSFORMATION

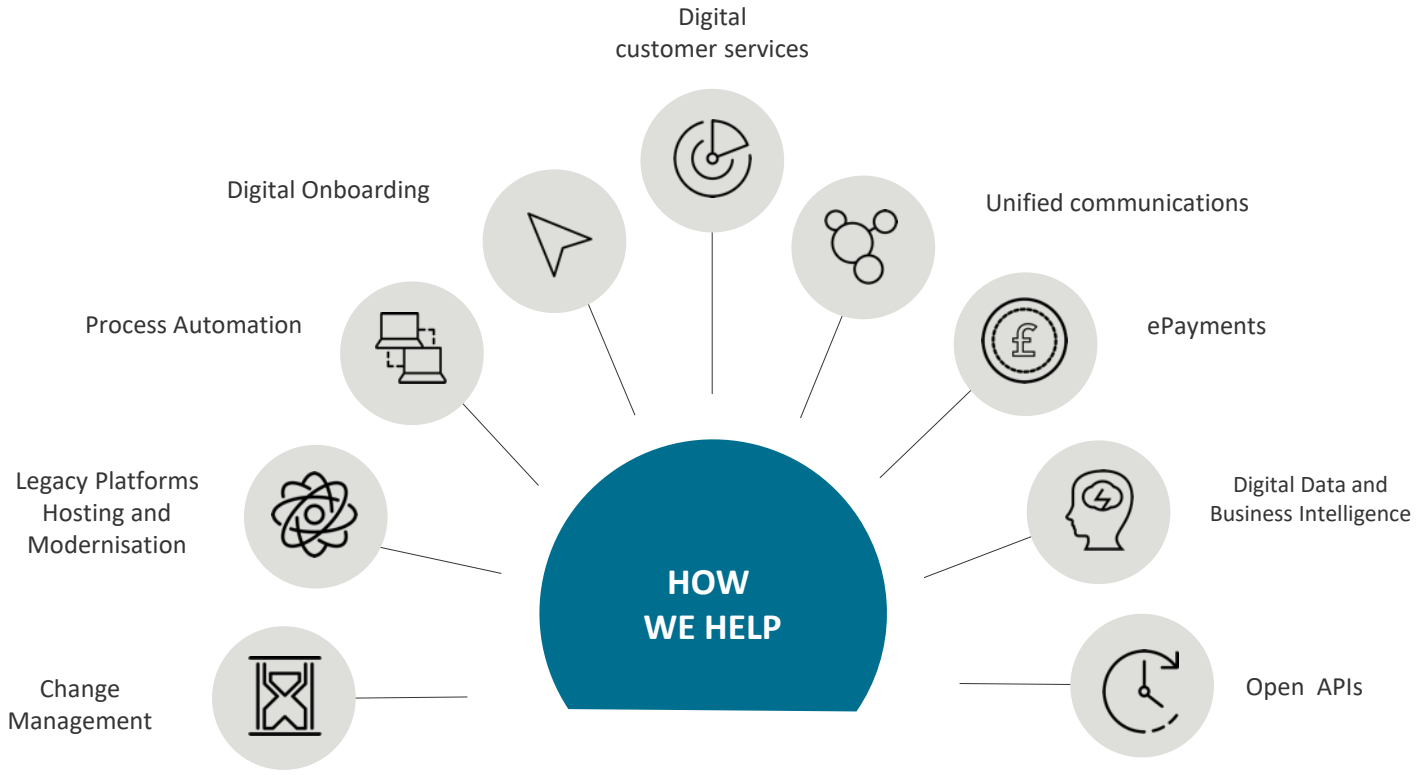
At Equiniti, we believe in survival of the efficient. That's why we deliver transformative experiences and digital excellence by providing intelligent solutions which accelerate efficiencies, engage citizens and build stronger, lasting results.

We think about the digital future and how we can help our you solve your most difficult challenges and to operate more effectively in a digital world. From digital on-boarding to client portals, from legacy modernisation to data management, our portfolio of solutions helps to make the complex things simple by accelerating efficiencies, improving processes and facilitating digital disruption.

We build strong relationships and provide client-centric solutions with a strong focus on digitisation to create smoother, faster and better experiences for the end user by modernising legacy systems and enabling a mobilised workforce while ensuring compliance and regulation.

Our user-first approach and extensive experience in designing and developing innovative solutions means we can deliver secure, digitally inclusive, cost-effective systems which are customisable by default to comply with regulation today and in the future.

REPORTING AND ANALYTICS



CHALLENGES

- Organisational resistance to change
- Reliance on legacy systems
- Delivering an enhanced customer experience
- Goal definition.

OUTCOMES

- Reduction in costs
- Increased productivity
- Improved user experience
- Dematerialisation
- More with less
- Customer centricity.

YOUR CHALLENGES

We understand the challenges that you face. Working with central and local government, non-departmental government bodies, education, and health organisations, our partnerships with our clients focus on creating secure and scalable systems that drive process automation and evolve their services to provide consistent and fulfilling citizen experiences.

Regardless of sector or service, we work collaboratively with all of our clients to shape projects, build or increase digital capability with our full portfolio of bespoke solutions, tailored to each client's business and budget requirements.

Our solutions enable you to future-proof your services and make them digitally accessible to everyone, available 24/7 across multiple devices types and browsers.

We stay with you throughout the entire digital journey to provide end-to-end support. From the initial set-up, through stability and performance, and beyond to implementation and digital enablement, we will ensure your digital transformation journey runs smoothly.

Each of our solutions is designed to help you achieve more with less by:

- **Providing a Better Citizen Experience**
- **Improving Engagement**
- **Reducing Costs**
- **Improving efficiency**

ADDITIONAL SOLUTIONS

At Equiniti we are practised experts at providing innovative digital solutions for public sector organisations, regulated industries and blue-chip enterprises. We deliver a best-in-class combination of people, processes, technology and data analytics.

We operate in partnership with our clients, as highly focused specialists who know how to play our part, helping you to focus on your clear priorities and establishing the essential governance and business confidence you need to adapt quickly. Together our partnership operates faster, executes more effectively and provides more reliable assurance around the things that ‘cannot be allowed to fail’.

To us, this simply means supporting you to:

- Build digital capability – We are all about working with our clients to build digital capability and deliver digital transformation. We have aligned our digital service offerings around managing customers and citizens, next gen case management and robotics.
- Combat financial crime - We help banks and financial institutions combat fraud, answer regulatory demands and save on operational costs with expert consultants and cutting-edge technology via our Know Your Customer (KYC) solutions.
- Establish robust processes around complaints and remediation handling - We help our clients manage customer complaints in a more agile manner, offering a single customer view and improving the customer experience using our specialist people, processes and technology.
- Grow, optimise and automate commercial lending lines – Our Credit Services solution alleviates high costs of system and process redundancy within commercial lending operations. It also increases transparency, improves risk management, provides customer insight and simplifies entry into new markets or business lines.
- Face cyber and information security challenges head on - New technologies, more sophisticated cyber criminals and interconnected business systems have combined to increase your exposure to cyber-attacks. We can take care of your cyber threat, so you can take care of growing your business. Our expert cyber risk team will deliver expert email phishing and information security solutions that will secure your organisation, helping you remain vigilant and resilient into the future.
- Harness the power of your data – We provide our clients with a comprehensive range of data solutions including access to robust, reliable and accurate consumer, business and targeted online data as well as highly scalable, data enrichment, existence verification, tracing and mortality screening services. With Equiniti's data solutions, our clients are able to gain greater customer insight into their existing customers, acquire new customers, enter new markets and take pre-emptive measures to solve problems before they happen.

SERVICES

Our ability to deliver successful BPO services is based on our deep rooted experience and knowledge of our clients' industry which is underpinned by a combination of smart, digital technology, talent and data driven insights.

We provide a comprehensive range of BPO services. Working in collaboration with our clients we deliver measurable business outcomes including faster on boarding, improved customer experiences, process automation and productivity.

Case Studies

LAND AND PROPERTY SERVICES

Land and Property Services (LPS) partnered with Equiniti to implement a fully managed service and customised rate collection system which includes software provision, hosting, disaster recovery, printing, payments handling and debt collection

Land & Property Services.

EQUINITI CASE STUDY • EQUINITI CASE STUDY •

900,000

Rates are collected on 900,000 properties across Northern Ireland.

84.5%

We verified and traced 84.5% of end dated accounts.

700,00

From 700,000 rate payers.

27,478

Helping to generate new rate demands for 27,478 properties.

£1.2 billion

Generating £1.2 billion in revenues for the Northern Irish Executive.

£13.5 million

Generating an extra £13.5 million in revenue for the Northern Irish Executive.

UK Central Government

Equiniti created a document and records management solution for a UK central government department, with the dual aims of increasing collaboration and meeting compliance obligations. This would be followed by the management of the overarching document and record Management capability and use of SharePoint across the department's tenant.

- Equiniti's fully managed EDRM solution replaced the HP TRIM platform and included migration of all retained records to a MS SharePoint environment – Data is now managed and retained data to **IL3 (Restricted)**
- Utilisation of Office 365 components in a controlled manner to provide a departmental wide content management solution scalable to **80,000 users**
- **60TB** of information successfully migrated from file shares to SharePoint online
- Utilisation of repeatable template based Information Architecture designs in conjunction with RecordPoint Records 365 for **flexibility and comprehensive record management.**
- Digital content management Strategy implemented – further rollout of portals and templates across its HQ user base of **37,000 users**
- Increased usage of the core EDRM solution **1,500 to 37,000 Users** due to a simpler platform and classification

UK Investigation Body

Equiniti ICS partnered with a UK Investigative office to develop a complaints management system, enabling for the efficient management of complaints from receipt through to resolution and reporting.

- Equiniti ICS developed a comprehensive case management solution leveraging the power of the customised Dynamics 365 cloud based customer service portal.
- The construction of an online platform permitted members of the public who wished to make a complaint to register and lodge their grievance. Once submitted, complainants were able to check on the progress of a complaint and receive regular updates on the status of their complaint via the organisations online portal or through email updates as the case progresses.
- Workflows helped automate tasks such as document and email generation, document approval cycles, automatic upload of documents from Dynamics 365 to SharePoint Online and various key performance indicators (KPI).
- The custom-built platform written within the confines of Microsoft code, allowed for the flexibility of the prerequisites to be linked into a fully functional Dynamics 365 solution from Microsoft allowing for the successful launch of an online portal where members of the public could submit complaints with ease and be led through a transparent process to resolution.

SPECIALIST CLOUD SERVICES

DESIGN

Equiniti has a team of dedicated Solution and Technical Architects responsible for the overall software and hardware architectural design. Our team can design and offer advice on complex solutions to meet unique business requirements, adding efficiency and effectiveness to your business processes.

BUSINESS ANALYSIS

We have a wealth of experience and strong track record of successfully delivering and supporting business process redesign projects. Our Business Analysts use traditional and agile techniques to understand highly complex client processes using a range of techniques including workshops, prototyping, user stories, process flows, use cases and as-is and to-be analysis.

APPLICATION DEVELOPMENT AND MANAGEMENT

Equiniti has a proven approach to project management and development that incorporates key aspects of PRINCE2 methodology, with a mix of Agile development and waterfall processes. We help clients build and manage accessible, customised applications on a range of platforms.

CONFIGURATION AND DEVELOPMENT

Our dedicated teams have a wealth of experience in the configuration and development of software systems. We have certified teams experienced in product sets including CRM, SharePoint, Collaboration, portal, Document Management, EDRMS, Business Process Management and Business Intelligence.

IT CONSULTANCY

Whether you are managing software, applications or an IT infrastructure on premise or in the cloud, we help organisations to manage change as well as the challenges of planning, delivering and supporting IT.

SPECIALIST CLOUD SERVICES

PROJECT MANAGEMENT
Equiniti has a proven approach to project management. We incorporate the key aspects of PRINCE2 methodology, project management best practice and rules of engagement to complete your project on time and within budget.

SERVICE MANAGEMENT
Service Management from Equiniti helps to improve the effectiveness of IT operations by implementing ITIL based principles. Whether its delivering a service desk of maintaining a tight security regime, we can help.

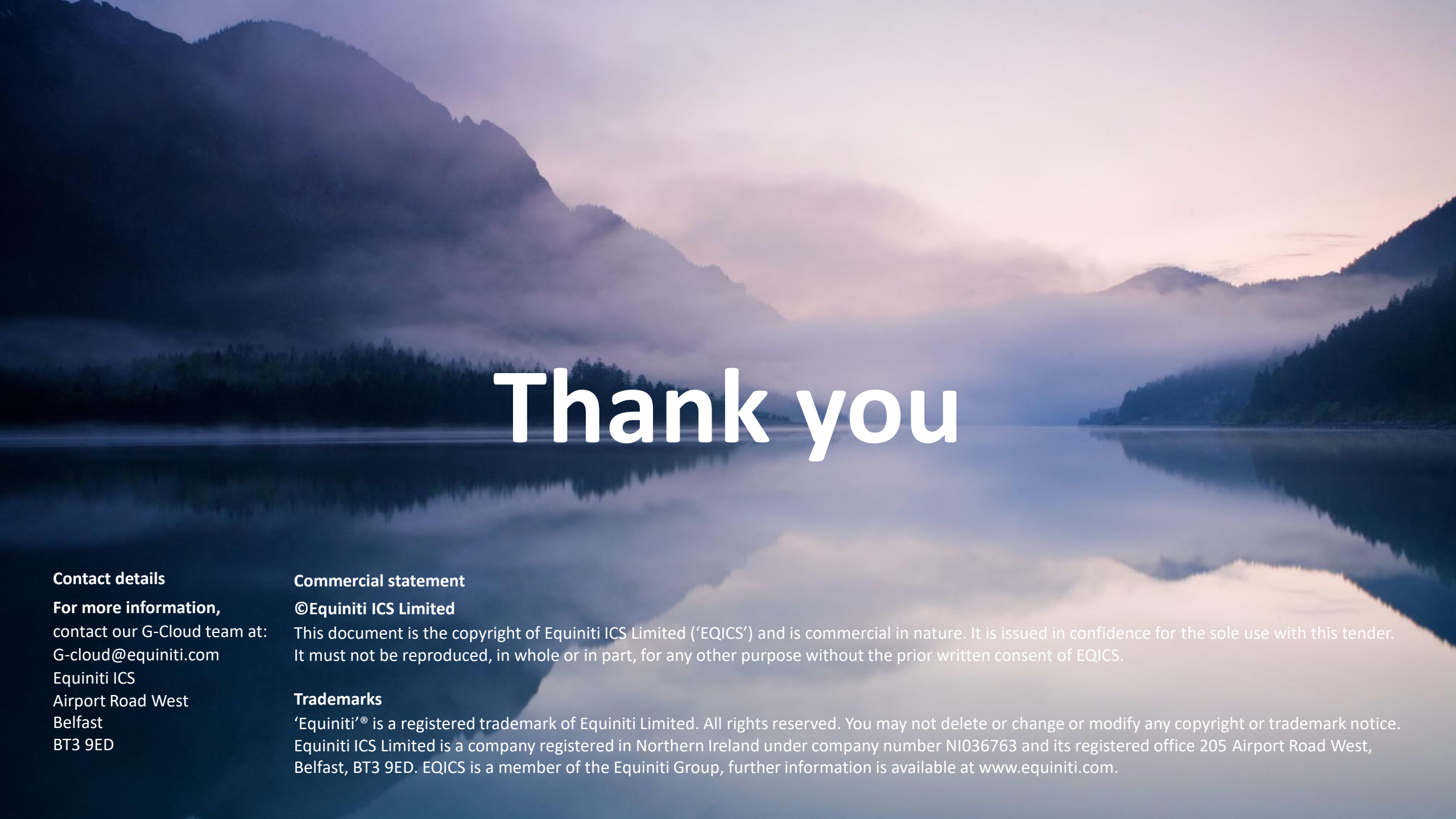
DATA MIGRATION

Data migration is crucial to implementation success. Our specialist data migration consultants will use best practice ETL processes to migrate your valuable data from legacy systems and associated source data, with a minimum of disruption to your business operations.

TESTING

Our experienced and accredited software testers can help ensure that your software is of the highest quality at every level, from user acceptance to unit testing. We employ a range of testing methodologies, both manual and automated, and use our specialist product knowledge to give our clients confidence in their software solution.

TRANSITION MANAGEMENT
Equiniti can help you manage the process of systemic change within your organisation including transitioning from legacy servers to the cloud or between infrastructures. Our transition Management Services can give you the strategy and planning services to support your transition, while reducing the associated costs and mitigating identified risks.



Thank you

Contact details

For more information,
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