

DRCF

Multi-agency Advice Service

Final Recommendations

Report

August 2023

This project was funded by the Regulators' Pioneer Fund

EY Seren was the DRCF's chosen delivery partner for this work.

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Executive Summary

The design process

From challenge to pro-innovation solution

In an era where the pace of digital innovation is unprecedented, new scenarios that intersect regulatory boundaries and venture into new regulatory areas are emerging. To prevent innovation from being stifled, a response is needed to provide greater clarity, foster cross-regulatory coherence, and empower innovators to confidently navigate this dynamic digital regulatory landscape.

The Regulators Pioneer Fund has funded the project to explore **‘How might DRCF make it easier for innovators to introduce new ideas across multiple regulator remits?’** and EY Seren was the DRCF’s chosen delivery partner who facilitated a collaborative evidence-based process over a 12-week timeframe. This involved conducting research interviews with innovators, running idea generation workshops, and iterating a future service that DRCF can offer the market. More than 60 innovators from a range of backgrounds have been involved in the process to share their challenges, feedback and contributing to the shaping of ideas.

This report highlights the key insights that have steered the direction and evolution of a pro-innovation service proposition for DRCF. It also includes a final recommendation for piloting the service, underpinned by evidence gathered from innovator testing. In aid of the request for further investment, we have identified and highlighted the essential capabilities necessary to effectively deliver and operationalise a service pilot. However, it is important to note that the requirements for a scalable solution are dependent on pilot outcomes and will require a more in-depth and extensive detailed design phase.

Recommendation Summary

The proposed DRCF-hosted service is designed to provide clarity on cross-regulatory matters, offering a platform where innovators can engage with four digital regulators seamlessly. This proposition evolved from an initial pool of 13 design concepts, incorporating feedback from the DRCF and innovators.

Our recommendation to pursue a pilot is based on the following key factors, and this report provides a more detailed analysis.

Centralising the complex and unclear

In rapidly evolving fields of emerging technology like AI and quantum, regulatory ambiguity is a significant barrier. This uncertainty presents considerable challenges for large organisations striving for compliance and proves an even steeper hurdle for early-stage ventures. Innovators emphasised the frustration at the time-consuming task of navigating multiple digital regulations. Therefore, a single mechanism for accessing cross-regulator support is highly welcomed, especially for businesses developing AI.

A bold refined approach to support and published responses

However, the true potential of the service hinges on redefining how clarification responses are written. Innovators yearn for more than mere refinements of existing policy responses: they seek clear, actionable information. Their hope is the service doesn't just speed up the process, but truly embodies the voice of pro-innovation.

Inclusivity is key

The service must appeal and cater to all innovators, from large corporations to early-stage ventures. If the language only speaks to compliance teams it risks excluding those who lack legal resources. The service must attract and be accessible to all types and sizes of innovators. This includes reassuring innovators that engagement with the service will not lead to penalties if additional required compliance measures are discovered and clear statements on how IP will be protected.

The research strongly demonstrated where innovators saw high value and need for the service to both support compliance and accelerate the launch of cutting-edge innovation. This service could provide the foundations for digital regulation to keep up with the trajectory of innovation. We recommend a pilot—underpinned by a comprehensive engagement strategy to reach innovators via their existing networks. This is required to successfully define technical requirements and estimate potential demand.

Feedback confirmed the **service would be highly valued** by innovators to meet currently unmet and high-priority needs

Research participants strongly endorsed the proposition, highlighting where a centralised service would deliver four key benefits:



Streamline conversations with regulators

Innovators currently need to coordinate across multiple bodies when faced with cross-regulator challenges. They valued where the service would reduce the burden on innovators to 'play diplomat' and address inefficiencies in the process.



Offer a single path for cross-regulator challenges

Participants report challenges navigating current services across regulators, where they are unclear where to seek support for complex matters. The service would provide a clear path for innovators seeking clarity from regulators on cross-regulator challenges.



Provide access to quality support from experts

Where innovators are faced with regulatory uncertainty, they valued the potential to receive direct quick support from regulatory experts who can issue a clear and informed response on what good compliance looks like, reassuring them what actions to take.



Create a vital forum to address regulation affecting emerging technology

As innovators rapidly adopt emerging technology such as AI and crypto, they are aware of the risk of non-compliance due to regulation still being developed. Participants felt the service would realise DRCF ambitions to jointly address complex problems.

The ‘smoke test’ survey highlighted the **strong potential** for this service to **surface genuine cross-regulator challenges**

We launched a survey including a proxy application form—otherwise known as a ‘smoke test’—to test future enquiry form questions, and their effectiveness in surfacing genuine cross-regulator challenges, while gathering user feedback on their expectations of the service.

Regulator representatives assessed the 9 completed enquiries obtained over a 5-day campaign period. **The majority of enquiries were reviewed as relevant to the proposed service**, as well as having potential to be accepted as novel cases that would provide insight to regulators and clarity to the market. Two examples of these enquiries are below. The proposed pilot of the service provides an opportunity to further explore potential demand with a larger pool of applicants.



The ‘smoke test’ survey was promoted through regulators and other networks

Accelerating DRCF moving from vision to launch

To fully realise the potential of this service proposition, a centralised and standardised solution is needed. We have outlined the high-level requirements to aid the investment case estimation for this solution. However, the data needed to support this case and validate ROI can only be gathered from trialing the service in the real world. Therefore, we propose that the DRCF initiate a pilot solution in the immediate term.

0-6 Months

Pilot overview

Focuses on swift implementation using manual workarounds and interim processes, while leveraging existing regulator technical estates.

Key features:

- Regulator websites will direct innovators to the DRCF website.
- The DRCF website will host a survey link for innovators to submit their enquiries.
- All submissions will be manually reviewed during regulator meet-ups.
- A lead regulator will manage the coordination efforts.
- Manual data sharing workarounds will be used.
- All interactions and communication will be conducted via email.
- There will be no innovator dashboard portal in this phase.
- Resolved cases will be documented and published on the DRCF website.

Long-term

Target solution overview

Aims for a fully integrated operating model, harnessing the power of centralised CRM, case management, and an innovator dashboard.

Key features:

- Innovators can apply from any regulator or DRCF website.
- Standardised form used across all regulator enquiry services, which will feed into centralised CRM.
- Triaging can eventually leverage automation and assign to the appropriate regulators.
- Automated workflows manage responsibilities amongst regulators to increase efficiency.
- CRM will automatically facilitate secure data sharing.
- Rather than relying on email threads, all communication will take place within the context of the case record to prevent fragmentation.
- Innovators will have access to a dashboard portal where they can track the progress of their enquiry, access case histories, and communicate with regulators.
- Resolved cases will be documented and published on the DRCF website, supported by sophisticated search and filtering capabilities.

Summary & next steps

Recommendations in summary



The evidence we gathered after 12 weeks and data from 60+ innovators, demonstrates that the digital innovation market has an unmet need for a cross-regulator clarification service experience that is reassuring, empowering, collaborative, and inclusive.

We recommend that DRCF prepare a significant programme to build the target solution described in this document that will establish the service on foundations that will enable efficiency, innovator trust, and a platform to rapidly build a backlog of features and services that will support innovators as emerging technology evolves.

To begin, we recommend that DRCF design and operate a service pilot that can quickly get the service up and running and deliver insights that will de-risk investment in the development of the scalable solution. To meet potential demand, this pilot needs to run in parallel to the development of a communications and engagement strategy to reach innovators via existing networks e.g. accelerators.



Next steps



Once investment is secured and metrics are set, we recommend that DRCF maintain the existing Steering Committee and project team for a pilot development phase to ensure momentum and knowledge capital is maintained. This group will:

- Assign roles and responsibilities, referring to the resourcing recommendations contained in this document, to ensure that roles are protected, and resource is planned and allocated.
- Establish a brief for the development of the pilot using Agile management principles, referring to the components and metrics recommended in this document, to set baseline objectives.
- Develop milestone plans for detailed design workstreams, using considerations and learnings from the detailed design planning for the pilot in this document.
- Develop engagement strategy, leveraging existing partner networks.

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Further Detail

Throughout the project, we surfaced **insights into innovators' engagement with digital regulation**

From extensive interactions with innovators in D1 and D2, we identified **fourteen thematic pain points and challenges**. We supplemented these findings with insight from the digital regulation offerings of several other countries e.g., Singapore, UAE, US and Saudi.

D1 Research Insights

- 01:** Awareness of the importance of regulatory compliance is high
- 02:** Experience dictates the accessibility of guidance
- 03:** Interpreting guidance is associated with significant cost
- 04:** Innovators need different levels of support at different funding stages
- 05:** Innovators want one place to access all relevant guidance
- 06:** Collaboration is key to ensuring effective regulatory advancement

D2 Research Insights

- 07:** Multi-regulator engagement is more prevalent among larger organisations and a key challenge is duplicative conversations
- 08:** Wayfinding and understanding regulation remain the key challenges for early-stage start-ups
- 09:** Regulator engagement is proactive with established players while the perception is that start-ups are not always fairly represented
- 10:** Lack of clarity and transparency on upcoming regulation causes uncertainty and prevents effective planning
- 11:** The value proposition of the DRCF vs individual regulators needs to be clear to innovators
- 12:** A pro-innovation brand, marketing, and communications strategy for the DRCF is key to moving the dial on innovator engagement
- 13:** 'Shadow' (e.g., GAMMA) regulators are causing more significant challenges for some innovators than digital regulation
- 14:** Additional digital tools that communicate regulatory information could add complexity to an already complex landscape

We used these design prompts to generate **service ideas**

C = Concept developed in D2
S = Solution developed in D3

In D2 and D3, we generated 13 ideas with innovators, using three design prompts to address the 3 DRCF pro-innovation opportunity statements. We supplemented these findings with insights from the digital regulation offerings of several other countries (Singapore, UAE, USA and Saudi).

Design prompt: *How might we empower innovators with up-to-date information, guidance, case studies and best practice on digital regulation so that they feel confident in taking the right actions at the right time,*

S3: Digital Regulation Roadmap

Unified digital regulation roadmap supplying innovators with reg. changes, timelines on updates, new guidance, or new legislation.

S5: Case Study Archive

Practical examples of applying digital regulation where regimes intersects for specific digital product use cases.

S6: Digital Regulation Wayfinding

Wayfinding tool designed to guide innovators through the relevant regulatory questions at each stage of the product development lifecycle.

Design prompt: *How might we improve communication mechanisms between innovators and regulators to make navigating regulation easier,*

C9: Drop-in sessions

Personalised, expert cross-regulator digital regulation support sessions with innovators who need discussion on specific cross-regulator challenges and clarifications.

C10: Mentoring Scheme

Connecting new innovators, looking for guidance, with relevant, experienced mentors who have experience of other innovators working in a similar space.

Design Prompt: *How might we empower regulators with insights from innovators for enhanced effectiveness,*

S9: Single innovator profile

Innovator profiles available across regulators, preventing firms from having to repeatedly share information and/or documents with multiple regulators.

C4: Interactive Dialogue

Events and workshop where innovators share knowledge and insights on their challenges to improve regulators' knowledge and support the development of more effective regulations.

C5: Emerging use-case forums

A facilitated forum for digital regulators and industry to understand how regulations are applied to emerging use cases and collectively learn without the risk of repercussions.

C8: Joined up principal framework

A set of overarching principles that serve as the foundation for regulatory requirements, with which each regulator can then build specific guidelines to.

Other

S4: Brand positioning

Further refinement of DRCF brand design and content with the aim of better aligning with innovators' high experience expectations, and to bolster credibility and grow trust.

S7: Consumer facing campaigns

Consumer facing campaigns which include content on the purpose of digital regulation, and how it impacts consumers' online experiences.

C13: DRCF Kitemark

Provides a certification process for regulator compliant businesses to demonstrate to investors and other formal bodies, i.e. app stores, that they are taking the necessary steps to become complaint.

Certified consultant directory

A published list of DRCF certified digital regulation consultants to help innovators find trusted expertise in navigating digital regulations.

DRCF Regulator representatives prioritised 4 concepts to take forward

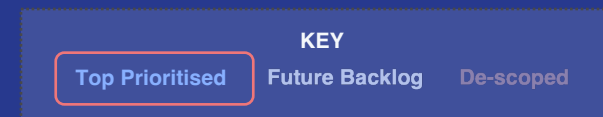
The process of transforming innovator ideas into a tangible service proposition has been multi-staged and responsive to the operational constraints of each regulatory body.

In D3, we employed an objective set of criteria to prioritise the 13 design concept ideas, de-scoping those that did not fall within DRCF’s current scope. These prioritised ideas were then refined into an initial service proposition, with 6 concepts deprioritised for the future backlog.

Prioritisation criteria

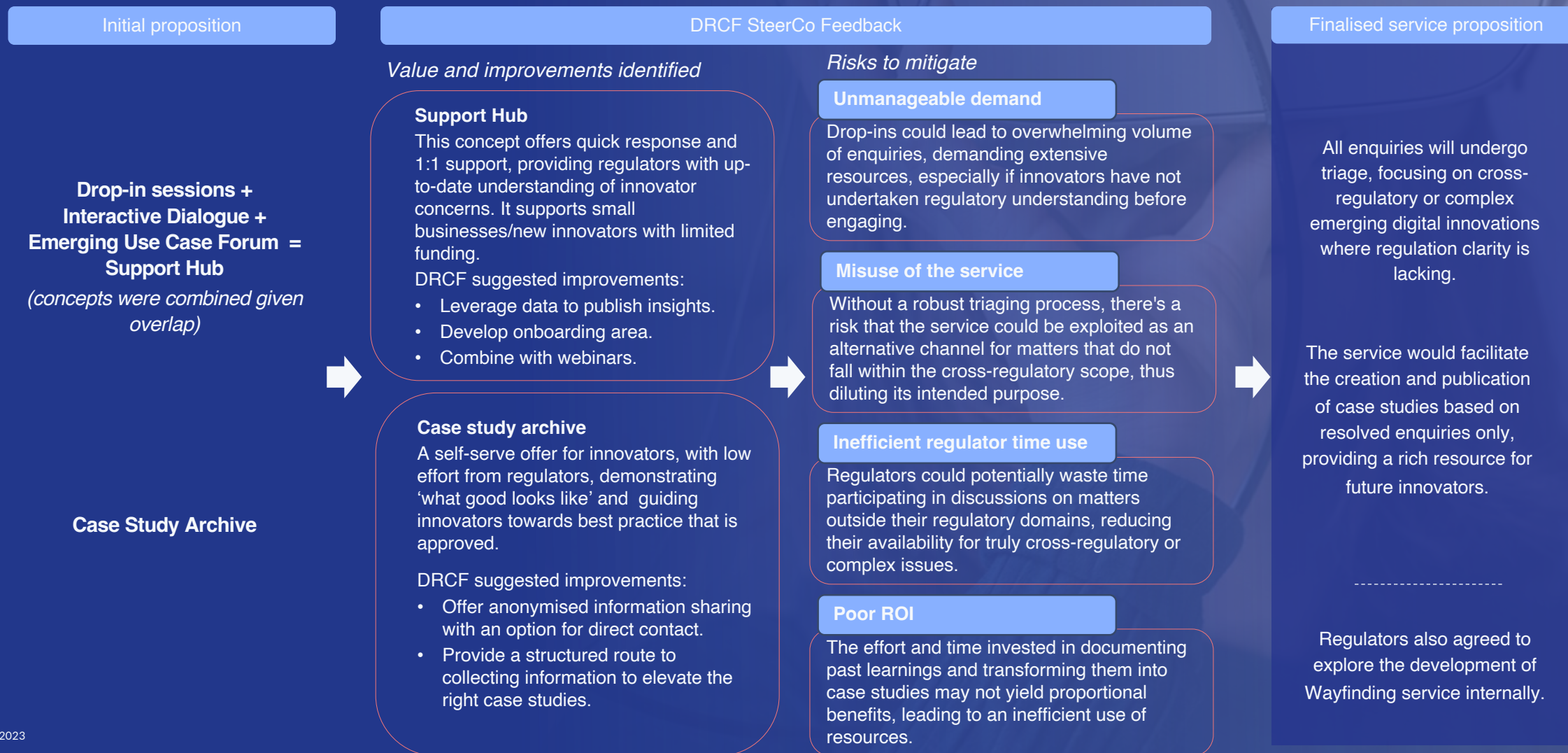
Impact Levers	Reduce innovators frustration, time and cost when launching digital products to market.
	Ensure innovators feel supported and confident to develop compliant and innovative digital products.
	Improve multi-regulator coordination and coherence to foster a pro-innovation environment.
	Increase regulators knowledge about complex problems and understanding to better anticipate technological development.
Effort Levers	Viability (The skills and content needed and available to implement this idea).
	Feasibility (Technical complexity and cost to implement).

Prioritised design concept ideas



The concepts were then refined into a **finalised service proposition**

We then collaborated with the DRCF SteerCo to refine and improve the prioritised proposition to take forward



S1 & S5: Experience vision

A single point of evolving cross-regulatory 1:1 support, that accelerates digital innovation and empowers innovators with clarity

Augmenting individual regulator support and responses by addressing cross-regulatory challenges for innovators

Clarity on specific matters

Deliver tailored support and a response specific to **each innovator's unique challenge**, endorsed by all regulators and bodies.

- Provides clarity to innovators, enabling them to bring their products to market.
- Provides a clear route for innovators to seek support on cross-regulator challenges.

Evolved digital regulation

Constantly **iterate responses and support** to reflect evolving challenges and updated regulations.

- Supports regulators in their ambition to more closely align regulation with technology evolution.
- Provides a forum for digital regulators to coordinate on creating a pro-innovation environment.

Digitally facilitated

Implement **streamlined systems and processes** for swift and efficient issue resolution, minimising resource intensity and downtime.

- Reduces friction in formulating and delivering responses to innovators.
- Provides a platform to build automation into the application triaging and case management processes, further reducing friction.

Scaled through case studies

Publishing **case studies and past responses** to accelerate innovator understanding and improve compliance.

- Enables regulators to provide a scale of impact to the market with clarifying responses.
- Provides new innovators in the market the opportunity to learn from past examples as they develop their ventures, ensuring wider compliance is achieved.

S1 & S5: Service description

DRCF Complex Regulation Clarification Service*

1

Innovators apply to receive support and a clarifying response to a cross-regulator challenge that prevents them from continuing their venture.

2

Digital regulators triage and select the specific matters to address will provide the greatest value to the wider market.

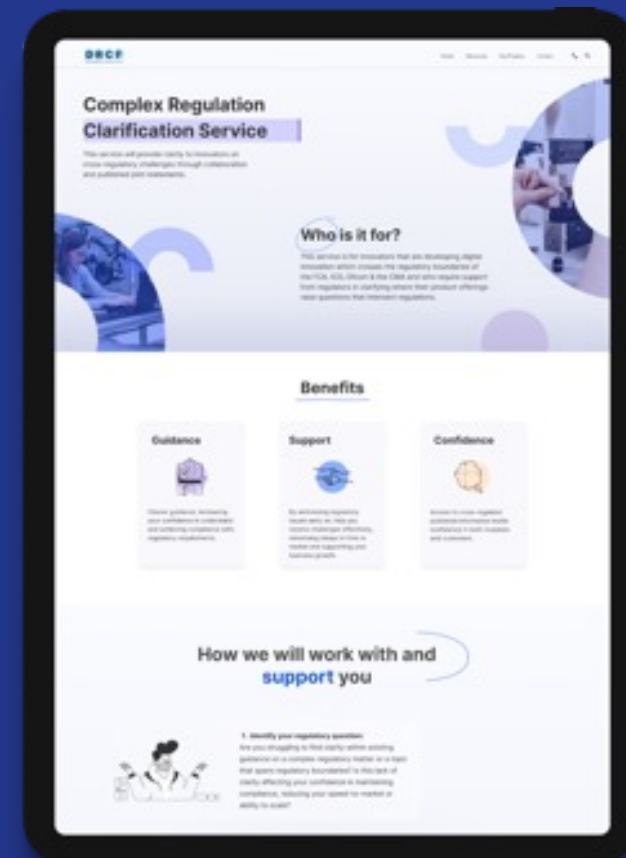
Regulators meet with innovators to develop a problem statement and provide support.

3

Relevant regulators agree on clarifying responses that communicate to the innovator how policies can be applied.

4

An anonymised 'case study' is drafted and published so that other innovators can understand example compliance strategies and apply regulation to their own product development lifecycles.



* Working service title, used in service prototypes

Summary of D4 validation approaches

Method and sample size

To validate the desirability of the service proposition, we used two methods: a survey (Method A) and qualitative interviews (Method B) using a prototype outlining the proposition.

9

completed survey responses

16

started but not completed survey responses

8

1-1 Interviews

18

focus group participants

Function of survey (Method A)

To quickly gauge the initial interest and appeal of the service, test future triage mechanisms, and understand the potential to surface genuine applications. By understanding these challenges, we can determine whether there is a sufficient number of potential cases to justify further investment in the development of the service.

Overall objectives

- Validate whether the potential users clearly understood and found the service desirable, and what aspects appealed the most to them.
- Gain a deeper understanding of the types of cross-regulatory queries.
- Identify potential barriers or areas where the service may need to adapt.
- Refine and improve the service concept based on real user feedback.

Function of interviews (Method B)

To gather deeper insights and feedback from potential users. Interviews were supported by illustrative digital interfaces to bring tangible form to the service proposition in order to validate the value of proposition, identify improvement opportunities, and enrich the responses from the survey.

Survey responses

The survey was distributed via regulators and DRCF twitter pages, making it challenging to precisely quantify its reach among innovators. Recognising the niche nature of the proposition, we anticipated a limited number of responses in comparison to other types of surveys.

Although the response count may not match initial expectations, given the unique context, we view the feedback as highly valuable and successful in achieving our objectives. Insights were gained through interviews, provide potential rationale for drop-offs:

- The initial form's density and no direct immediate value as the service is not yet live.
- Innovators do not currently require it based on where they are in their journey, but may at a later stage.

Overall, the survey and subsequent interviews have provided us with crucial insights, paving the way for potential improvements and validation of the service desirability.

See Slides 32-35 for in-depth view of survey and prototypes developed

Method A: We developed a ‘smoke test’ survey to assess demand and test the viability of a future form to effectively triage genuine challenges

We launched a survey including a proxy application form—otherwise known as a ‘smoke test’—to test future enquiry form questions, and their effectiveness in surfacing genuine cross-regulator challenges, while gathering user feedback on their expectations of the service.

The survey outlined the potential future service offering and was comprised of the following sections:

- Prototype application form.
- Feedback on the application form.
- Views on case study participation.
- Expectations of the service.

Key research questions

- Understand use cases that would require multi-regulator support.
- Validate level of demand for this future service/offering.
- Understand user expectations of the service.
- Understand whether questions posed support effective triaging for the future multi-regulator service offering.
- Gain user feedback on whether likely questions are relevant and understood to the target innovator audience.

The image shows a stack of four overlapping survey pages from the DRCF 'smoke test' survey. The pages contain various questions and forms for gathering user feedback on a future multi-regulator service. The top page asks for organization information, the second asks for innovator information, the third asks for specific regulatory challenges, and the bottom page asks for expectations and a ranking of benefits.

See Slide 7 for key findings and Slide 66 for example challenges raised by respondents

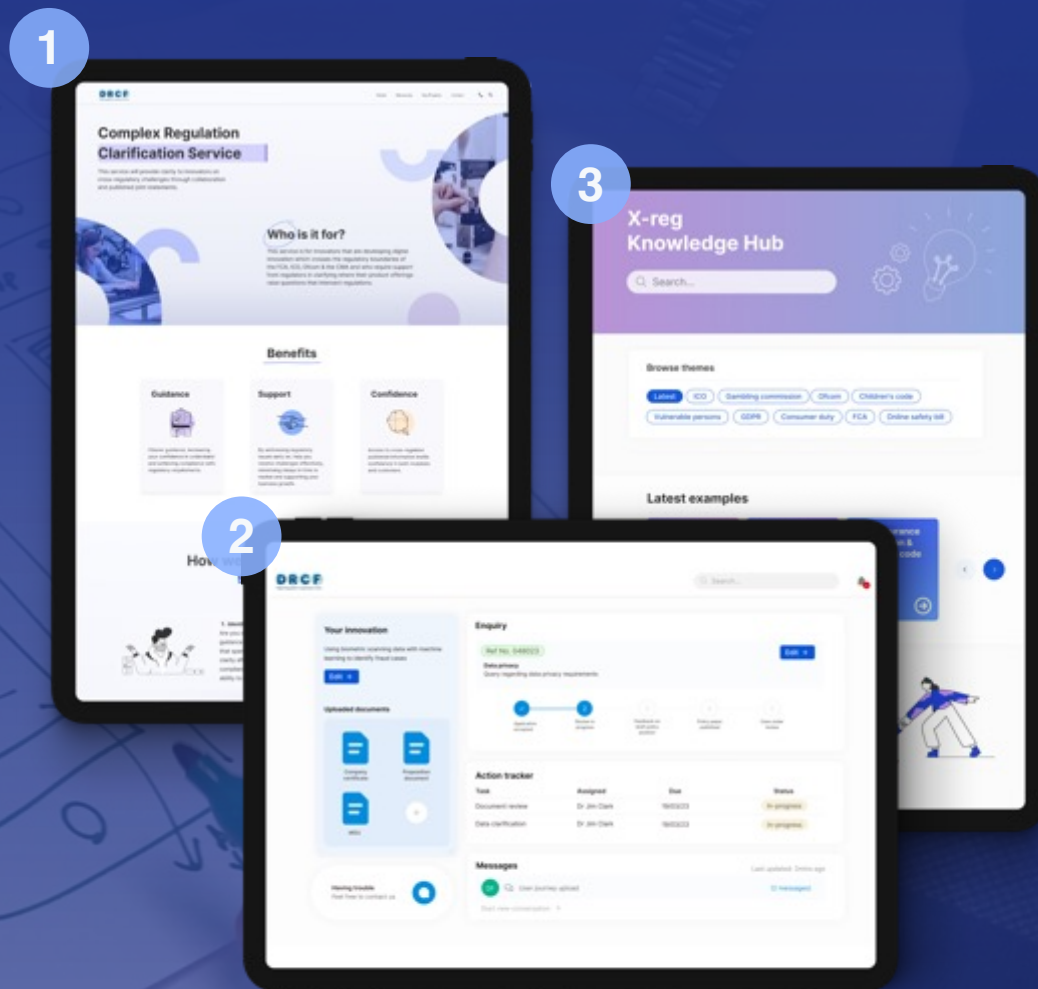
Method B: We developed a **prototype** to test the **prioritized S1 and S5** concepts in qualitative interviews with innovators in order to **validate its value and innovators' understanding of the proposition**

We designed 3 prototype screens to **bring to life the future proposition**.

In our qualitative research, we used these screens as narrative probes to deeply understand and test the desirability and clarity of the future proposition, barriers to adoption, and opportunities for the evolution of the service proposition.

Key research questions

- Understand if the service proposition as described is clear and understandable to participants.
- Validate the desirability and value of the service as proposed to participants, and, if relevant, explore their relevant use case, including: feedback on journey steps and user expectations on duration, communications, publication, and case studies.
- Understand user needs associated with key touchpoints and journey steps.



We identified 7 key opportunities to evolve the service in order to realise its full value and reduce barriers to entry, to be progressed via the pilot

There are a range of opportunities identified by innovators to be tested and evolved via the pilot to ensure the successful uptake of the service.

1 Promote the service via an **engagement strategy** across innovator networks and a **range of entry points** to drive uptake.



2 Use **industry-facing language** to resonate with innovators and reach users without domain knowledge.



3 Innovators need **reassurance** that they can engage the regulator on complex challenges, **without fear of repercussions**.



4 Greater upfront **clarity on publication** is needed to alleviate **concerns about sharing IP**.



5 The service **triaging process** needs to **adapt and be flexible** to support cutting edge innovation.



6 **Proactive updates and transparency** throughout the journey are needed to reduce frustration.



7 Innovators need **directive responses** and **example strategies** to know what **good compliance** looks like.



Feedback highlighted 4 future **opportunities to improve and expand the service** and achieve wider impact



Updates on upcoming regulation

Participants expressed a strong desire for updates on upcoming regulation in development, to inform the direction and prioritisation of their product backlog and de-risk investment in non-compliant products and services.

- E.g. developments and positions on forthcoming regulation on cryptoasset advertising.



Subject matter expert input on emerging technology areas

On cutting-edge technology areas, e.g. AI, participants highlighted the potential for and value of including subject matter experts during clarification meetings to facilitate constructive dialogue and common understanding between parties.



Connecting with regulators beyond the DRCF

While participants were aligned on the opportunity to streamline conversations with multiple regulators, some reported that they would require input from regulators beyond the DRCF on their cross-regulatory challenge.

There is an opportunity for the DRCF to provide a model for how to coordinate across regulators and expand its reach.



Group sessions with other innovators

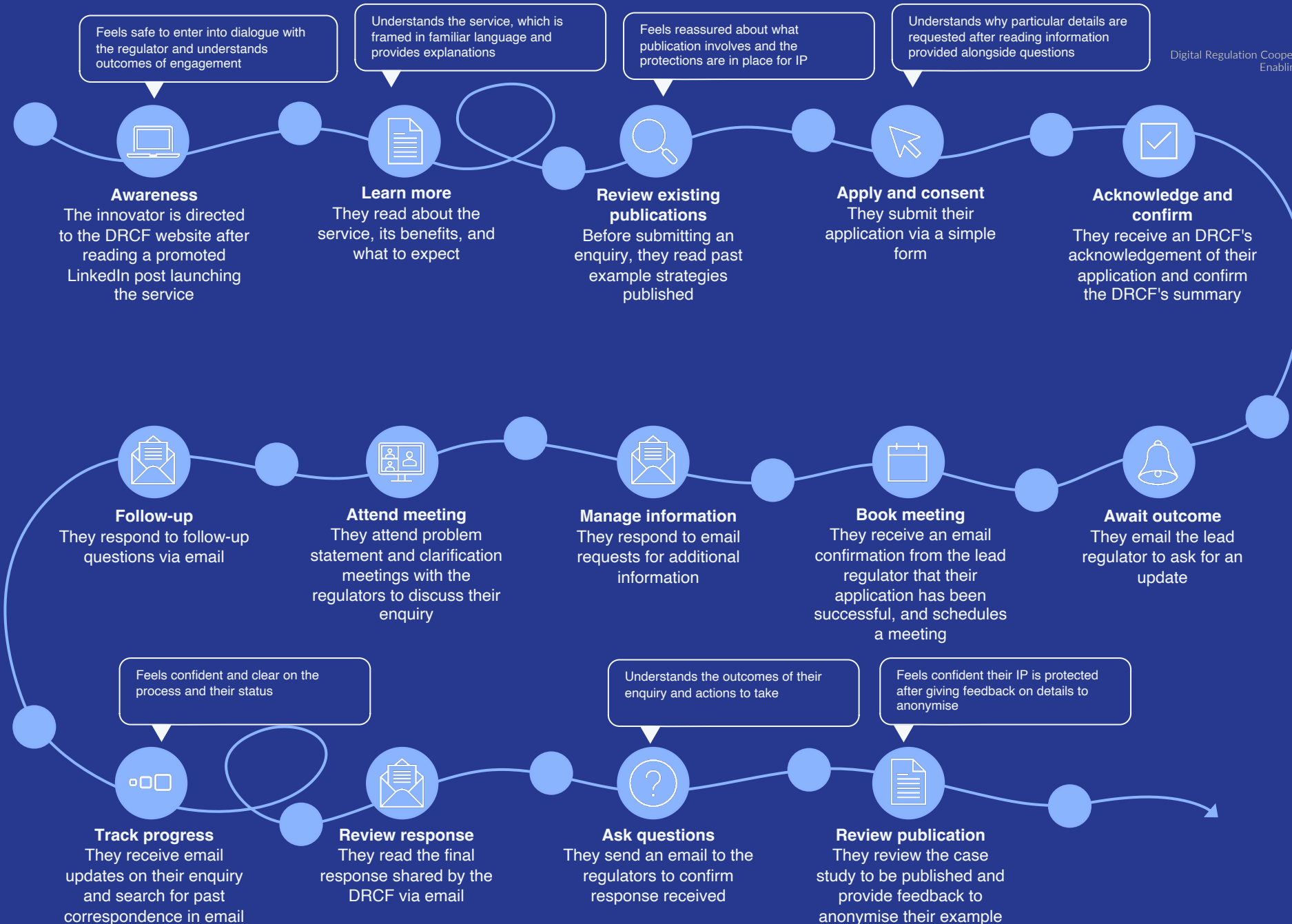
66% of survey respondents indicated that group sessions, where multiple organisations come together with the regulators, would be of interest.

Qualitative research participants similarly saw the value in group sessions, where innovators could discuss and learn from their regulatory strategies.

Pilot state

The pilot journey outlines the proposed steps the innovator will take, incorporating the priority opportunities identified during the D4 research phase.

These steps will need to be agreed, tested, and iterated upon based on learnings from the pilot.



Pilot solution requirements

Component High-Level Requirements

Website or platform

Basic service information hosted on existing websites, available as static content or through existing CMS. All content should adhere to agreed accessibility guidelines.

Account management

There will be no user-facing account management or portal. Any updates or communications can be handled through a single DRCF email account.

Enquiry submission

A simple form/survey capability (using Qualtrics as the proposed tool) to capture initial enquiry details. The process will be divided into two parts: an initial lightweight form for triage purposes, followed by a more detailed questionnaire emailed to users if their initial enquiry is deemed appropriate for the service.

Initial triage

Direct all enquiries to a central cross-regulator email address and a nominated representative in each regulator. Review enquiries collectively in a weekly group session with participation from all regulators. If an enquiry is successful, send a follow-up email from the central email, requesting additional information, and agree on 'lead' regulator.

Customer profile

A user profile should exist on the systems of the 'Lead' regulator. This will not be accessible to other regulator; the lead regulator will take responsibility for making updates and sharing across the assigned group.

Centralised case management

The 'Lead' regulator's existing case management systems (or alternative) should be used to manage and record all case interactions and outcomes.

Expert resourcing op model

Each regulator will commit the resources required to deliver against the agreed interim SLAs. Additional resources must also be allocated to undertake operational tasks (recording data, insights, etc.)

Collaboration tooling

Any updates or communications should be handled through DRCF email account or through the 'Lead' regulator communications channels. The DRCF email box will need to be regularly monitored by all 'lead' regulators to ensure prompt resolution. A central secure document managed by DRCF should detail all enquiries (both successful and rejected), key information, and outcomes.

Security measures

Any systems and processes should adhere to interim data protection and data sharing agreements between regulators.

Governance and shared terminology standards

Governance to be managed by the DRCF's current 'Lead' regulator. Partner organisations must reach consensus on shared regulatory scope, case acceptance criteria, language and shared objectives for case throughput, and KPIs for success. All regulators must agree on a common set of SLAs and service standards to ensure efficient and timeline collaboration.

Data and insight

KPIs and measures of success will need to be defined, as well as the data gathered to measure the pilot's success and inform future iterations.

Proposed benefits of target solution

The target solution is a fully integrated system, harnessing the power of centralised CRM, case management and an innovator dashboard. Investing in these capabilities not only yields immediate benefits for innovators and regulators, but also paves the way for future innovative DRCF service offerings in the backlog, including the exciting prospect of a digital regulations wayfinding service (S6).

Innovator Benefits

Simplified enquiry submission

Innovators can submit information once, and the system will determine which cross-regulatory, or individual regulator service is appropriate to meet their needs. This reduces the burden on the innovator to make this determination themselves.

Consistent tone of voice

With modern service components, a single pro-innovator tone of voice can be established and maintained, ensuring consistent, clear communication and usability.

Single place

Innovators can manage and track all their regulatory service interactions, information and communication in a single place saving them time and effort.

Speed

With more of the operating model digitised and automated, innovators will receive faster resolutions to their enquiries.

DRCF and Regulator Benefits

Reduce manual administrative effort

Sharing data and coordinating information manually across multiple systems can be time-consuming and prone to errors. A shared capability streamlines processes, automates data sharing, and reduces the need for manual administration.

Enhance visibility and collaboration

Provides clear visibility into the status of enquiries, allowing regulators to collaborate more effectively. It removes the effort of knowledge sharing and offline messaging, enables timely responses and a cohesive approach to addressing complex matters, ultimately improving the quality of service.

Ease of reporting and service optimisation

Allows for analysis of data across multiple regulators and innovators to identify patterns and trends in enquiries. This enables the DRCF to proactively address common challenges, spot emerging issues and develop target support measures, fostering a more proactive and adaptive regulatory environment, in addition to measuring and improving service performance.

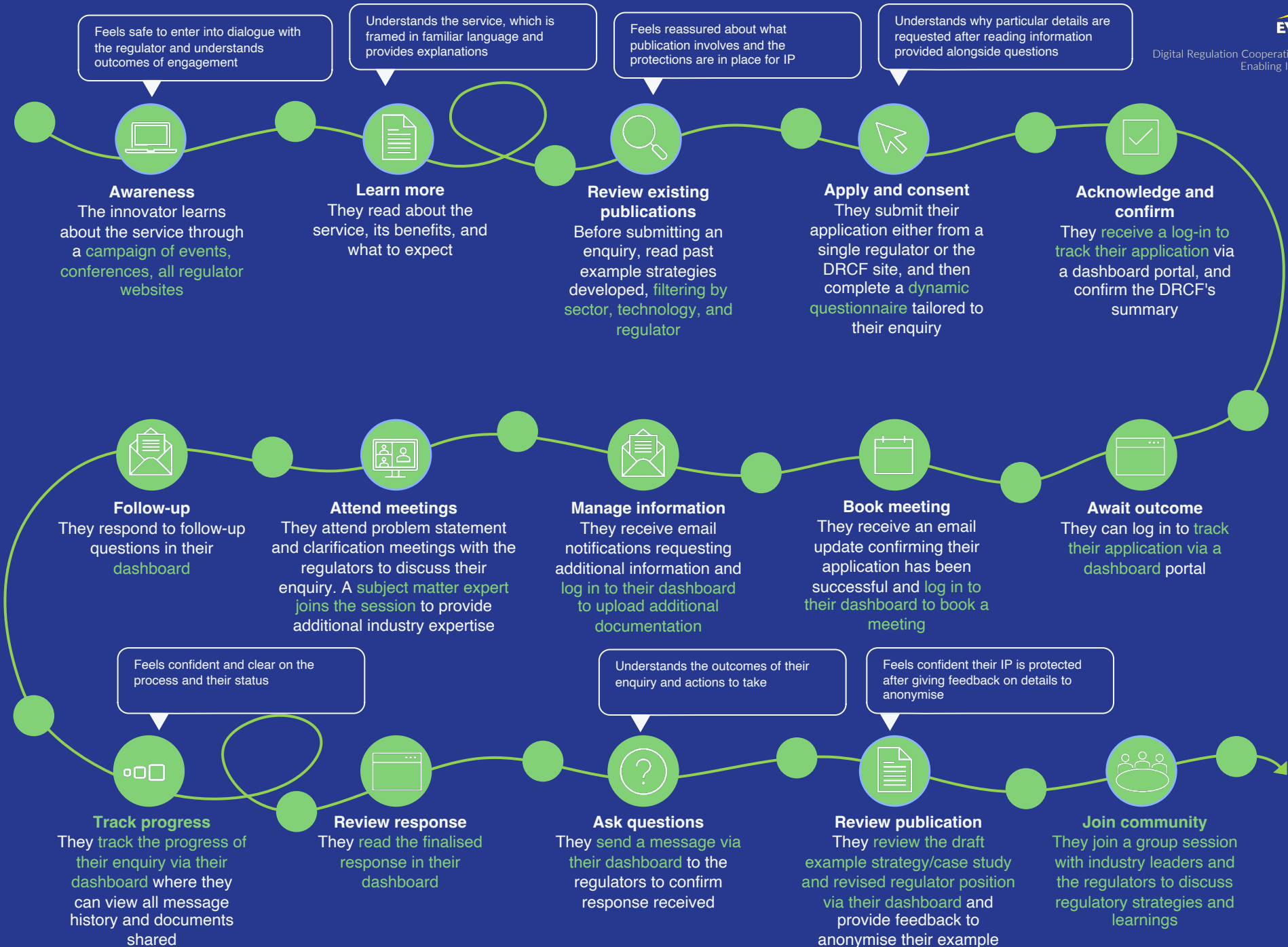
Target state

The target journey describes the proposed steps the innovator will take as the service evolves, highlighting changes to the future experience based on opportunities identified during the D4 research phase.

These steps will need to be agreed, tested, and iterated upon based on learnings from the pilot and live service.

Journey key

Green text highlights changes to the journey as the service evolves from pilot to target state.



Target solution component requirements for discovery

Website or platform

Seamless and intuitive cross-regulatory hub for innovators to search for cross-regulatory responses and case studies, understand the range of services available to them and submit enquiries. There is clear signposting from individual regulators websites and optimised SEO makes it easy to find using a search engine. There should be a feedback mechanism for visitors to provide comments on the website content and functionality.

Account management

Robust account management system that enables innovators to create a single account which allows them to manage their interactions across all regulator and cross-regulator services. Features include user authentication, profile management, and personalisation preferences.

Enquiry submission

Establish a single enquiry submission point that spans multiple regulators as well as cross-regulator website/platforms. Must be dynamic to deal with different types and complexity of enquiry. Option to white label for individual regulators to embed.

Initial triage

The system (or team initially) analyses the nature of the enquiry using advanced algorithms / AI to identify the most suitable service for resolution. Prioritising enquiries based on complexity, urgency and regulatory domains.

Customer profile

A single secure database that goes beyond enquiry management and allows regulators to build a detailed record of each innovator, their sector, and challenge area. This will allow a deeper understanding of their specific needs, enabling more personalised service and trend analysis across innovators.

This must have appropriate controls and encryption to allow for multiple regulator collaboration.

Centralised case management

One common and structured workflow, information management and messaging channel for enquiry and communication management. Allowing for predictive, proactive and reactive follow-ups within set SLAs.

Expert resourcing op model

Each regulator will commit the resources required to deliver against the agreed SLA. This resource will focus on responding to the queries/collaboration with wider parties. Operational actions should be managed via the system.

Collaboration tooling

For fast and efficient collaboration across multiple authorities, the use of connected digital tooling such as shared documents and conferencing is critical in reducing time and errors associated with manual document review cycles. All communications (internal and external) should be captured against the 'case'.

Security measures

Any systems and processes should adhere to agreed data protection and sharing agreements between regulators.

Governance and shared terminology standards

Governance should be managed by the DRCF's current lead regulator. Each partner organisation should agree to shared regulatory scope, case acceptance criteria, language and shared objectives in terms of throughput of cases, and KPIs for success. A shared set of SLA's and service standards should be agreed and adhered to by all regulators to ensure effective and timely collaboration.

Data and insight

Collate insight on service usage, nature of enquiries, and delivery performance against long term success metrics. This should ideally be exported to digestible formats (Power BI/Tableau) to support trend analysis and insight into success metrics and ensure key milestones are met.