



Housing Options Application and Assessment Service Definition Document

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Introduction

The Application and Assessment service allows for the creation of intelligent application forms to capture an applicant's circumstances and then performs an automatic assessment of the case against the policy. Change of Circumstance can also be provided and any changes reassessed.

LOCATA was established in 1999 to provide high quality, value for money IT services and management consultancy to the public Locata. This remains our core objective.

Over the years, as the business environment has evolved, our company has adapted to reflect new directions in technology and services. Locata now operates two distinct business streams:

- 1) The provision of software solutions to the public sector Housing market
- 2) IT focused management consultancy to the Local Authority and RP markets.

We believe that maintaining these distinct business threads allows us to bring synergistic benefits to our customers. Our systems development staff can draw upon the in depth knowledge of our management consultants to ensure our solutions meet the current and future market needs, and our management consultants can draw on detailed technical skills to provide realistic advice on current and future possibilities.

Functional overview

Locata's application and assessment service has been created to allow Local Authorities to create intelligent online application forms which guide residents through a series of questions to complete the most complex of application forms.

Once the data has been collected, it can be processed against the authority's rules matrix for the service, to automatically assess the applicants' suitability, eligibility or priority for any particular service. For example, this service has been implemented by several Local Authority for its housing application, and for one of those each applicant is automatically assessed against 14 different policies.

An extension to the Application and Assessment service is the addition of an online Change of Circumstance form. This is based upon the initial application form, and can be configured to allow for customers to see answers they have already given and submit changes for automated re-assessment.



Information assurance

Our tier 3 data centers are located in the UK and certified to ISO27001 standards, business impact level 2.

Details of the level of backup/restore and disaster recovery that will be provided

Our solutions are based around Microsoft SQL server as the database operating environment. All databases have full daily backups; with hourly transaction log backups taking place to provide point in time restore capability. Data held in one data centre is backed up to an interlinked data centre each night.

Functionally, our systems are delivered across separate web server nodes and database nodes. Multiple servers are hosted on Azure Cloud which allows for rapid switching of function and service, if issues are detected within our hardware estate. Customers do not have the ability to choose which data centre they would like to use as their primary data centre; both data centres are located in the UK.

In the unlikely event of loss of our primary datacentre, we can switch operations to our secondary interlinked datacentre to provide an operable service until the primary datacentre resources become available again. If this is likely to be a prolonged period, we have arrangements with a UK based cloud provider, who will supply us with the necessary hardware capacity to restore a full service.

On-boarding and off-boarding processes/scope

The on-boarding process requires the customer to work with Locata consultants to utilise Locata's form generator software to build the application online form that exactly matches the customer's needs. This process involves the following steps:

- Project initiation
- Form specification
- Assessment policy specification
- 2 build and change iterations





- Testing and signoff
- Go live

The consultancy required from Locata is included in the cost of the service. The vanilla service includes building one assessment policy for the customer. The customer can request additional policies at an additional cost.

If customers would like to cease using the system, they will need to give Locata notification of this. Locata will then securely delete all of the customer's data. After deleting the data it is irrecoverable. Before doing this the customer can request for a data warehouse to be created containing all data that Locata hold for the customer. This data warehouse will be encrypted and made available on one of Locata's SFTP sites. There is an additional cost to creating this data warehouse for the customer.

Pricing

(including unit prices, volume discounts (if any), data extraction etc.)

The Application and Assessment service is offered in its vanilla state as described in the functional overview above as a fully hosted, fully maintained web accessible service at £12000 / annum, with a minimum of 1 years contract. For contracts of longer length this charge can be decreased down to a minimum of £6000 / annum. For simplicities sake, where the system provides back office administrative functions we include licensing for up to 100 concurrent users within the customer organisation. Where there is an interface used by the general public, we do not restrict the number of users of this interface.

Whilst the vanilla system can be readily implemented and should meet all of you primary requirements, as defined in the On boarding section above there are optional implementation services such as data migration, website customisation etc., which are available to clients who desire a richer or more tailored solution.

Service management details

The services are provided out of ISO27001 certified data centres located in the UK with at least Tier 3 conformance, on our own servers. We warrant our solutions against the published user documentation which comes in online versions with the solution. We operate a separate web based support site which allows registered users to search a knowledgebase for potential answers to their queries or log an issue. We maintain a team of dedicated support personnel who monitor the support site during standard working hours, aiming to respond to issues within the parameters defined in the SLA section below.





Throughout the life of the contract we update the software operating environment to ensure that all relevant security and operational patches are applied. We test and apply fixes to ensure that our general public facing software maintains a “browser agnostic” stance in so much as we support all versions of the main browsers (IE, Safari, Firefox, Chrome) which are supported by their publishers.

Service constraints

(e.g. maintenance windows, level of customisation permitted, schedule for deprecation of functionality/features etc.)

Our aim is to provide 100% system availability; however there are inevitably points in time when we will need to take the services down for major hardware or software upgrades. We consult with our clients as far in advance as is possible to schedule this at a time when it will have the least impact upon their business operations. In consultation with the client we invariably plan to carry out this type of work either at weekends or overnight. We plan to limit this amount of scheduled downtime to each client to 2 days per calendar year.

In terms of the customisation permitted, our solutions are extremely configurable and as such the effect of “customisation” can often be achieved simply by end user configuration changes. Where more fundamental customisation is required we are always happy to discuss these types of requirement, and can often accommodate them subject to changes being defined in the On boarding phase as described above, or via change control during the life of the contract . However, we are in effect providing specific services to meet specific business needs so reserve the right to decline to perform certain modifications to the solutions provided.

Service levels

(e.g. performance, availability, supports hours, severity definitions etc.)

In terms of performance, our aim is to provide single screen, single record refresh of data within 1 second. There are sophisticated search and reporting tools which can return huge amounts of information, and these will be variable in terms of the time they take to place these back to the client system. However, as our systems are provided over the internet we can only warrant performance at our end. Obviously local bandwidth connections can impact upon performance and as such our key monitoring statistics will be based upon the performance of queries on our servers.

In terms of availability we aim to provide 100% availability, subject to our programmed maintenance listed above. However, there are invariably times when we cannot meet this so in terms of contractual performance, we warrant to a 99.8% availability. In order to achieve these





performance levels, the data centres are monitored 24/7 and the operators alert us to any issues immediately. We will react to hardware or operational availability issues immediately upon being alerted. Issues with the software are logged on the support site, which is available to registered users 24/7 and monitored during normal working hours (Monday to Friday, 9 – 5.30 excluding bank holidays). Telephone support is available to local system administrators within the working hours as the website. These logged issues are resolved within the following severity definitions.

Class 1 – System is unavailable, operation of business greatly disrupted.

On notification of a Class 1 fault, Locata will immediately (i.e. within 1 hour) assign resources to resolve the issue, and work will continue until the system is available again.

Class 2 – Operation of business disrupted, work around possible.

On notification of a Class 2 fault, Locata will advise of the best work around, and begin to develop the fix, using its best endeavors to apply the fix during the next scheduled upgrade or within 5 days, whichever is sooner.

Class 3 – Cosmetic problems with the system

On notification of a Class 3 issue, Locata will agree the categorization with the client and agree to apply the change at the next major system release.

Financial recompense model for not meeting service levels

In terms of systems availability if we do not meet our warranted values above, we offer to refund a multiplied pro rata rate of 1.5 times for the downtime listed above. Thus, for the avoidance of doubt, if a customer is paying £10000 per annum and the system was down for 1 day over and above the tolerances defined we would refund $1.5 \times 10000 / 365$.

Training

The Locata systems have been designed to be intuitive and easy to use for staff. This means that the amount of training required is less than what you would normally expect to spend on other systems.

Locata provides the training on our systems. Locata provide a number of standard training courses for different levels of user knowledge from basic system training right through to super user training.





Locata also provide customized training days and half days that focus on the specific need of the customer if required.

Ordering and invoicing process

Payment terms will be subject to the specific details of the actual contract. However, in general terms, for the provision of a vanilla service, we would commence the setup work on receipt of a purchase order for the operation of the service. We would invoice for the first years' service costs on the commencement of the service, and each subsequent year's service charges would be invoiced against the purchase order on the anniversary of the commencement of the service.

Where extra services have been procured as a result of moving beyond a vanilla system via the on boarding process defined above, similar order and invoice arrangements would apply. As such, we would usually commence work on receipt of a purchase order and expect payment upon the completion of the work ordered. If the work packet to be ordered was substantial (e.g. in excess of the values of the vanilla system costs) we would reserve the right to negotiate scheduled staged payments so as to manage cash flow implications.

Termination terms

After the first year of service the customer can terminate the contract on giving Locata 90 days' notice.

In the unlikely event that Locata wishes to terminate the service they will give the customer 90 days' notice.

Data restoration / service migration

Service migration

There are a number of ways to import data into the Locata system these are detailed in the Technical requirements section of this document. Primarily customers will need to upload their data to our servers via SFTP (Secure File Transfer Protocol). Data migration is not a prerequisite; customers can start using the vanilla Locata system out the box without the requirement for any data migration.

Data Restoration

Full backups and transitional logs are kept so that should the customer require it the database can be restored to a previous version and the database can be restored to a point in time.



A full audit trail is kept of all data changes. So in many cases the user interface allows the users to undo their change. Alternatively, on request, via the LOCATA support site, a particular change can be undone or rolled back for the customer.

Consumer responsibilities

These include but are not limited to:

- Provision of continuous internet availability with suitable bandwidth.
- User account management.
- Other responsibilities are spelt out in the Terms and Conditions.

Technical requirements

All of our IT solutions are web based and fully hosted by us and are based upon Microsoft Technology. You purchase the service not the system, which means you have no hardware, operating software or IT infrastructure costs.

Users access the system via a secure web site. They need a browser that's connected to the internet to access the system. For public facing web sites our sites are W3C compliant and we support all the major browsers. For our back office systems we support all the versions of internet explorer that Microsoft supports, currently this is IE 6 to IE 10+.

Locata systems are open to integration and the architecture has been designed on the premise that it would stand between clients' systems and so would need to be able to export and import data flexibly and reliably.

Data can be loaded into Locata's system via

- A one off flat file import where the file structure is specified by Locata;
- A one of flat file import where the file structure is specified by the customer;
- A nightly one-way data load;
- A call to our web service;

Customers can access data in the LOCATA System via

- batch exports;
- calling our web services
- Locata calling your web services
- integrating with your document management system



Details of any trial service available

There are no trial services available however upon request Locata can arrange for the perspective customer to visit one of our existing clients to review the system.

