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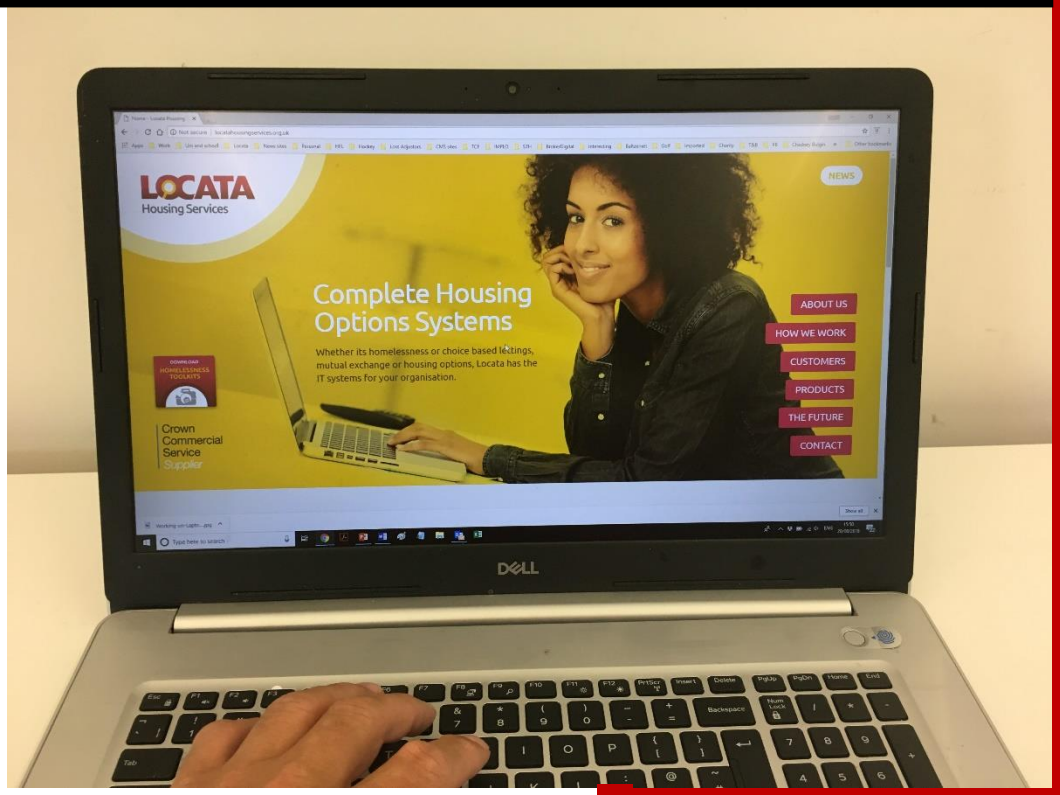
LOCATA PRO G-CLOUD 11 – LOW COST HOME OWNERSHIP SYSTEM SERVICE DEFINITION DOCUMENT



Peter Riley

Managing Director,

Locata Housing Services

Locata Pro

Low Cost Home Ownership System Service Definition Document

1. Introduction

This document provides a detailed service definition of the Locata Pro Low Cost Home Ownership (LCHO). This is a part of number of services created as Locata Pro to enable Local authority housing departments to add to their efficiency and support in complete their statutory duties.

Locata Housing Services was established in 2002 by five Local Authority and three Registered Providers to provide high quality, value for money IT services and management consultancy to the public sector. This remains our core business 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 as a service solution to the Public Sector Housing market.

2) Services that are focused on IT and Consultancy to the Local Authority and Registered Provider markets.

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

2. Functional Overview

The Low-Cost Homeownership system (LCHO) is designed to advertise properties to applicants who are interested in buying a share of a property. This is done via a public website and a back-office administration system. Developers can be given access to create adverts for schemes or individual properties through the back office, which are displayed to customers when they log in to the public website.

Customers apply using an online form from the public website. Customers are then validated and prioritised, if required, and then set to live on the system. Once live, a customer can log in to the public website and view the property adverts and express an interest. The expressions of interest are can then be emailed to the landlord for action, or the landlord can be given access to the back office to manage the applicants directly..

Landlords are given access to the back office to create schemes, properties and view customer details. When a customer bids for a scheme a notification is sent to the landlord to tell them someone has expressed an interest. The notifications are generated daily at midnight and contain the customers who has expressed an interest in the last 24 hours. Landlords can then either look up customers individually using the 'Customers' screen or run one of a full suite of reports to monitor outcomes.

Locata Pro’s Low Cost Home Ownership (LCHO) utilises Locata’s workflow processors to provide a single solution to allow for the step-by-step management of Low Cost Home Ownership (LCHO) through our applications.

The Low Cost Home Ownership (LCHO) Module is designed to fit our Locata Pro systems, it can be implemented as a standalone system, or integrated into the Locata Pro product set.

The module is delivered as vanilla system, or can be configured to reflect a specific policy dependent upon the Councils mode of working. This re-configuration from the vanilla system will be a further cost based on the specification provided.

3. What's in Locata Pro

Low Cost Home Ownership (LCHO) includes:

a. Low-Cost Home Ownership Website

The Low-Cost Homeownership website allows customers to:

- Register for the service
- Login to an existing account
- View their details
  - Qualification for the scheme
  - Their registration details
  - Their Household details
  - Any additional information
  - And their declaration
- On the main page they can
  - Search for opportunities via property types and bedroom sizes
  - Review their options
  - Look at the latest news
  - Set up property alerts
  - Express interest in opportunities
  - Gain feedback

b. LCHO Admin site

The Low-Cost Homeownership admin site allows Officers to:

- Manage Applications
- Manage Customers
  - Journal
  - Email
  - Task
  - Bids
  - Audit Trail
  - Letter Generation
- Manage Properties
- Manage Shortlisting and Shortlists
- Security Roles and Permissions Management
- Reporting Suite Generators:
  - Applications Reports
  - Customer Reports
  - Properties Reports
  - Shortlist Reports
  - Generated Report Templates Saving
- 23 Standard Reports covering Admin to Outcomes
- Task Management
- Administration Centre
- Document Storage Centre

4. Locata Pro Software as a Service

The Locata Pro service set out above is our entry level Software as a Service (SaaS). However, it does provide a complete and very flexible system from which you can grow and develop your service. It can be additionally configured to meet the local authority or RPs exact needs and policies; software quotes will be provided where extra costs are to be defined.

Locata has been providing web-based allocation applications for local authorities and RPs since 2002 and is continually innovating and investing in our service provision.

Other optional modules and services are available to expand the service. However, they will attract at an additional cost:

- Homelessness Prevention and Advice
- Housing Related Support
- Social Letting Agency
- Low Cost Home Ownership
- Exchange Locata
- Register Reviews
- Assisted Assessment
- Housing Options Pre-Assessment
- Proxy Bidding
- SMS Text Module
- TA Rent Accounting
- TA Credit Import Processor
- Data Warehouse Service
- Auto-Bidding

5. Information Assurance

Our Data is held in Microsoft Azure data centres. Data can be held the UK, EU or EEA.

We use the Microsoft West Europe Region as our primary location which is located in the Netherlands. For disaster recovery reasons the data is all backed up to Microsoft's North Europe region which is located in Ireland.

We are currently in the process of migrating the solutions hosted in Europe to UK based Microsoft Azure data centres.

Each customers data is physically segmented and separated by being stored within its own specific customer database, rather than being logically separated within a shared database. This eliminates the possibility of inter customer data leakage, and allows us to apply client specific access / security policies. Test and Production environments are hosted on physically separate database and web servers.

Access to all servers is strictly controlled, and only available to senior technical staff.

We have chosen to use Microsoft Azure as our hosting partner as they enjoy the most wide-ranging security accreditations amongst the cloud hosting companies. Among other defences Microsoft run threat analytics on our servers to detect suspicious activity that may indicate a threat and sends real-time alerts so that we can respond. Further to the Microsoft threat detection systems, we run Syspeace on the servers that monitors failed login attempts and blocks the IP

address that they come from if there are more than 5 failed attempts. Also along with antivirus we run Sophos anti-ransomware protection that detects and blocks file encryption and enables rollback of any encrypted files.

6. Details of the level of back /restore and disaster recovery that will be provided

Our solutions run under Microsoft SQL server database management system. The servers are configured in always on availability sets, and the data is physically held within Microsoft Azure storage. The data in the Microsoft Azure storage account is always replicated to ensure durability and high availability. Azure Storage automatically backs up the data so that it is protected from planned and unplanned events, including transient hardware failures, network or power outages, and massive natural disasters. Our data is replicated across the separate data centres within our always on availability sets.

As well as the automated continuous backup processing within Azure storage, full database backups are made weekly supplemented by transaction log backups which take place every 15 minutes. This provides a point in time restore capability.

The web servers are in availability sets of at least 2 servers each, so that should there be a server failure or if maintenance on a server is required, all of the load can be failed over to the other server in the availability set. This means that patches can be applied during office hours and zero day exploit patches can be applied as soon as Microsoft has the patch available. The servers within the availability sets are geographically separated, so any potential disruption in one location should not effect the performance at the other data centre.

7. On-boarding and off-boarding processes/scope

The basic on-boarding process simply requires the customer to:

- Provide logos and colour palate the public website branding
- Provide logos and privacy statement for forms
- Provide a subdomain or chose a domain from LOCATA

In terms of taking on data, we can load in people and property data if it is provided to us in our pre defined formats. Alternatively, the customer can enter this information manually, or conduct a re-registration exercise.

If the customer wishes to have an allocation policy configured within the service as an optional addition (see pricing sections below), details of this will need to be provided during on-boarding.

The implementation time for the entry level service is typically 26 weeks (6 Months).

The service is very configurable and can be configured to suit the customer’s exact needs. To configure the basic service, the customer would need to go through a short scoping and implementation phase. Consultancy is necessary if the customer wishes to configure the service to add additional modules or diverge from the vanilla configuration. Locata has implemented allocation modules in more than 70 local authorities across the UK and can draw on their wealth of expertise. The implementation project would cover:

- Project Initiation
    - Beginning design
    - Project plan agreed
    - Change control
    - Final delivery
- Solution Design

- Data Transfer
- Configuration of the administration website
- Configuration of the public website
- Training
- Launch

The length of time required for configuration work depends on the complexity of the solution design but is typically 6 months.

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 holds for the customer. Locata will then deliver a backup of the SQL server data warehouse in a mutually agreed manner based on what the client has available to them. Possible options include a SFTP site provided by the client or a secure cloud storage account.

8. 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 points in time when we may 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 always 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 two 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. Most customer requirements are likely to be met by the implementation of the additional modules listed above.

9. 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 one 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 the data 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 altered. 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, 9am - 5.30pm 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 one 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 categorisation with the client and agree to apply the change at the next major system release.

10. 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 £16,000 per annum and the system was down for one day over and above the tolerances defined, we would refund 1.5 x £16,000/365 up to a max of £16000

11. 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 on other systems.

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

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

12. 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 to manage cash flow implications.

13. 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.

14. Data restoration / service migration

Service migration

There are several 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.

15. 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.

16. 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 11.

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-off 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

17. Details of any trial service available

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

18. Additional Configuration for all Software Quotes

If there are additional requirements above and beyond the service defined within this document, the costs for this work will start at £5,000. Thereafter the rates for further configuration work is charged at £750 per day.