

**Sociotechnical Systems**

Lecture 1

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**Topics covered** 

****✧ Complex systems

✧ Systems engineering

✧ Systems procurement

✧ System development

✧ System operation

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**Systems** 

****✧ Software engineering is not an isolated activity but is part of a broader systems engineering process.

✧ Software systems are therefore not isolated systems but are essential components of broader systems that have a human, social or organizational purpose.

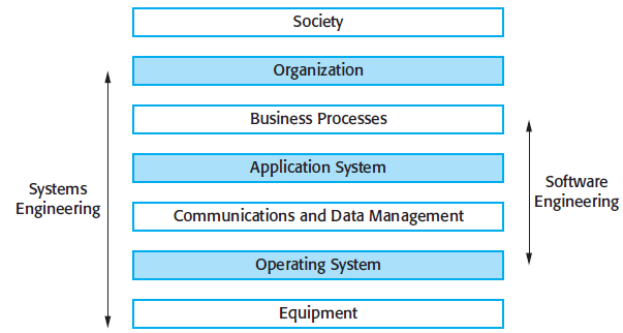
✧ Example

▪ Wilderness weather system is part of broader weather recording and forecasting systems

▪ These include hardware and software, forecasting processes, system users, the organizations that depend on weather forecasts, etc.

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**The sociotechnical systems stack** 

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**Layers in the STS stack** 

****✧ Equipment

▪ Hardware devices, some of which may be computers. Most devices will include an embedded system of some kind.

✧ Operating system

▪ Provides a set of common facilities for higher levels in the system.

✧ Communications and data management

▪ Middleware that provides access to remote systems and databases.

✧ Application systems

▪ Specific functionality to meet some organization requirements. 5

**Layers in the STS stack** 

****✧ Business processes

▪ A set of processes involving people and computer systems that support the activities of the business.

✧ Organizations

▪ Higher level strategic business activities that affect the operation of the system.

✧ Society

▪ Laws, regulation and culture that affect the operation of the system.

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**Holistic system design** 

****✧ There are interactions and dependencies between the layers in a system and changes at one level ripple through the other levels

▪ Example: Change in regulations (society) leads to changes in business processes and application software.

✧ For dependability, a systems perspective is essential

▪ Contain software failures within the enclosing layers of the STS stack.

▪ Understand how faults and failures in adjacent layers may affect the software in a system.

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**Complex systems** 

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✧ A system is a purposeful collection of inter

related components working together to

achieve some common objective.

✧ A system may include software,

mechanical, electrical and electronic

hardware and be operated by people.

✧ System components are dependent on

other

system components.

✧ The properties and behaviour of system

components are inextricably inter-mingled.

This leads to complexity. 8

**System categories** 

****✧ Technical computer-based systems

▪ Systems that include hardware and software but where the operators and operational processes are not normally

considered to be part of the system. The system is not self aware.

▪ Example: A word processor used to write a book.

✧ Socio-technical systems

▪ Systems that include technical systems but also operational processes and people who use and interact with the technical system.

▪ Socio-technical systems are governed by organisational policies and rules.

▪ Example: A publishing system to produce a book.

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**Organizational effects** 

****• Process changes

Systems may require changes to business

processes so training may be required.

Significant changes may be resisted by

users. 

• Job changes

Systems may de-skill users or cause changes

to the way they work. The status of

individuals in an organization may be

affected by the introduction of a new

system.

• Organizational changes

Systems may change the political power

structure in an organization. If an

organization depends on a system then

those that control the system have more

power.

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**Socio-technical system characteristics** 

****✧ Emergent properties

▪ Properties of the system of a whole that depend on the system components and their relationships.

✧ Non-deterministic

▪ They do not always produce the same output when presented with the same input because the systems’s behaviour is partially dependent on human operators.

✧ Complex relationships with organisational objectives

▪ The extent to which the system supports organisational objectives does not just depend on the system itself.

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**Emergent properties** 

****✧ Properties of the system as a whole rather than properties that can be derived from the properties of components of a system

✧ Emergent properties are a consequence of the relationships between system components

✧ They can therefore only be assessed and measured once the components have been integrated into a system

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**Examples of emergent properties** 

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| **Property**  Volume | **Description**  The volume of a system (the total space occupied) varies depending on how the component assemblies are arranged and connected. |
| --- | --- |
| Reliability | System reliability depends on component reliability but unexpected interactions can cause new types of failures and therefore affect the reliability of the system. |
| Security | The security of the system (its ability to resist attack) is a complex property that cannot be easily measured. Attacks may be devised that were not anticipated by the system designers and so may defeat built-in safeguards. |
| Repairability | This property reflects how easy it is to fix a problem with the system once it has been discovered. It depends on being able to diagnose the problem, access the components that are faulty, and modify or replace these components. |
| Usability | This property reflects how easy it is to use the system. It depends on the technical system components, its operators, and its operating environment. |

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**Types of emergent property** 

****✧ Functional properties

▪ These appear when all the parts of a system work together to achieve some objective. For example, a bicycle has the functional property of being a transportation device once it has been assembled from its components.

✧ Non-functional emergent properties

▪ Examples are reliability, performance, safety, and security. These relate to the behaviour of the system in its operational environment. They are often critical for computer-based systems as failure to achieve some minimal defined level in these properties may make the system unusable.

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**Reliability as an emergent property** 

****• Because of component inter

dependencies, faults can be

propagated through the system. 

• System failures often occur

because of unforeseen inter

relationships between

components.

• It is practically impossible to

anticipate all

possible component

relationships.

• Software reliability measures may

give a false picture of the overall

system reliability.

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**Influences on reliability** 

****✧ *Hardware reliability*

▪ What is the probability of a hardware component failing and how long does it take to repair that component?

✧ *Software reliability*

▪ How likely is it that a software component will produce an incorrect output.

▪ Software failure is usually distinct from hardware failure in that software does not wear out.

✧ *Operator reliability*

▪ How likely is it that the operator of a system will make an error? ✧ Failures are not independent and they propagate from

one level to another.

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**Failure propagation** 

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✧ Hardware failure can generate spurious 

signals that are outside the range of inputs

expected by the

software

✧ The software can then behave unpredictably and produce

unexpected outputs

✧ These may confuse and consequently

stress the system

operator introducing more errors

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**Non-determinism** 

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• A deterministic system is one where a given

sequence of inputs will always produce the 

same sequence of outputs.

• Software systems are deterministic; systems

that include humans are non-deterministic

A socio-technical system will not always

produce the same sequence of outputs

from the same input sequence

Human elements

• People do not always behave in

the same way

System changes

• System behaviour is unpredictable

because of frequent changes to

hardware, software and data.

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**Success criteria** 

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• Complex systems are developed to

address ‘wicked problems’ –

problems where there cannot be a 

complete specification.

• Different stakeholders see the

problem in different ways and each

has a partial understanding of the

issues affecting the system.

• Consequently, different stakeholders

have their own views about whether

or not a system is ‘successful’

Success is a judgment and cannot

be objectively measured.

Success is judged using the

effectiveness of the system when

deployed rather than judged

against the original reasons for

procurement.

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**Mentcare** 

****• Mentcare is an information

system that is intended for use in

clinics. 

• It makes use of a centralized

database of patient information

but has also been designed to run

on a PC, so that it may be

accessed and used from sites that

do not have secure network

connectivity.

• When the local systems have

secure network access, they use

patient information in the

database but they can download

and use local copies of patient

records when they are

disconnected.

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**Mentcare goals** 

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• To generate management

information that allows 

health service managers to

assess performance against

local and government

targets.

• To provide medical staff

with timely information to

support the treatment of

patients.

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**The organization of the Mentcare system** 

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**Conflicting views of success** 

****• Fundamental conflict

To satisfy reporting goal, doctors

and nurses had to provide

additional information over

and above that required for 

clinical purposes.

They had less time to interact

with patients, so quality of

care reduced. System was **not**

a success.

• However, managers had better

reports

System was a **success from a**

**managerial perspective**.

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**Systems engineering** 

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• Procuring, specifying, 

designing, implementing,

validating, deploying and

maintaining socio-technical

systems.

• Concerned with the **services**

provided by the system,

**constraints** on its construction

and operation and the ways in

which it is used **to fulfil its**

**purpose** or purposes.

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**Stages of systems engineering** 

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**Systems engineering stages** 

****✧ Procurement (acquisition)

▪ The purpose of the system is established, high-level system requirements are defined, decisions are made on how

functionality is distributed and the system components are purchased.

✧ Development

▪ The system is developed – requirements are defined in detail, the system is implemented and tested and operational processes are defined.

✧ Operation

▪ The system is deployed and put into use. Changes are made as new requirements emerge. Eventually, the system is

decommissioned.

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**Security and dependability**

**considerations**

✧ Design options limited by procurement decisions

▪ Purchased components may make some safeguards impossible to implement.

✧ Human errors made during development may introduce faults into the system.

✧ Inadequate testing may mean faults are not discovered before deployment.

✧ Configuration errors during deployment may introduce vulnerabilities.

✧ Assumptions made during procurement may be forgotten when system changes are made.

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**Professional disciplines involved in systems engineering** 

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**Inter-disciplinary working** 

****• Communication difficulties 

Different disciplines use the same

terminology to mean different

things. This can lead to

misunderstandings about what

will be implemented.

• Differing assumptions

Each discipline makes assumptions

about what can and can’t be

done by other disciplines.

• Professional boundaries

Each discipline tries to protect their

professional boundaries and

expertise and this affects their

judgments on the system.

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**Key points** 

****✧ Socio-technical systems include computer hardware, software and people and are designed to meet some business goal.

✧ Human and organizational factors, such as the organizational structure, have a significant effect on the operation of socio-technical systems.

✧ Emergent properties are properties that are characteristic of the system as a whole and not its component parts.

✧ The fundamental stages of systems engineering are procurement, development and operation.

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**Sociotechnical Systems**

Lecture 2

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**System procurement** 

****• Acquiring a system (or systems)

to meet some identified

organizational need.

• Before procurement, decisions

are made on: 

Scope of the system

System budgets and timescales

High-level system requirements

• Based on this information,

decisions are made on whether

to procure a system, the type of

system and the potential system

suppliers.

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**Decision drivers** 

****• The state of other

organizational systems 

• The need to comply

with external

regulations

• External competition

• Business re-organization

• Available budget

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**Procurement and development** 

****✧ Some system specification and architectural design is usually necessary before procurement

▪ You need a specification to let a contract for system

development

▪ The specification may allow you to buy a commercial off-the shelf (COTS) system. Almost always cheaper than developing a system from scratch

✧ Large complex systems usually consist of a mix of off the shelf and specially designed components. The procurement processes for these different types of component are usually different.

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**System procurement processes** 

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**Procurement issues** 

****✧ Requirements may have to be modified to match the capabilities of off-the-shelf components.

✧ The requirements specification may be part of the contract for the development of the system.

✧ There is usually a contract negotiation period to agree changes after the contractor to build a system has been selected.

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**Contractors and sub-contractors (outsourcing)** 

****• The procurement of large

hardware/software systems

is usually based around 

some principal contractor.

• Sub-contracts are issued to

other suppliers to supply

parts of the system.

• Customer liases with the

principal contractor and

does not deal directly with

sub-contractors.

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**Procurement and dependability** 

****• Procurement decisions have

profound effects on system

dependability as these decisions

limit the scope of dependability 

requirements.

• For an off-the-shelf system, the

procurer has very limited

influence on the security and

dependability requirements of

the system.

• For a custom system,

considerable effort has to be

expended in defining security and

dependability requirements.

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**System development** 

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Usually follows a plan-driven approach because of the need for parallel development of different parts of the system 

Little scope for iteration between phases because hardware changes are very expensive. Software may have to compensate for hardware problems.

Inevitably involves engineers from different disciplines who must work together 

As explained, different disciplines use a different

Much scope for misunderstanding here.

vocabulary and much negotiation is required. Engineers may have personal agendas to fulfil.

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**Systems development** 

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**System requirements** 

**definition**

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Three types of requirement defined at this stage

Abstract functional

requirements. System functions are defined in an abstract way;

System properties. Non functional requirements for the system in general are defined;

Undesirable characteristics. Unacceptable system behaviour is specified.

Should also define overall organisational objectives for the system.

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**The system design process** 

****• Partition requirements

Organise requirements into related

groups.

• Identify sub-systems 

Identify a set of sub-systems which

collectively can meet the system

requirements.

• Assign requirements to sub-systems

Causes particular problems when

COTS are integrated.

• Specify sub-system functionality.

• Define sub-system interfaces

Critical activity for parallel sub

system development.

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**Requirements and design** 

****✧ Requirements engineering and system design are inextricably linked.

✧ Constraints posed by the system’s environment and other systems limit design choices so the actual design to be used may be a requirement.

✧ Initial design may be necessary to structure the requirements.

✧ As you do design, you learn more about the requirements.

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**Requirements and design spiral** 

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**Sub-system development** 

****✧ Typically parallel projects developing the hardware, software and communications.

✧ May involve some COTS (Commercial Off-the-Shelf) systems procurement.

✧ Lack of communication across implementation teams can cause problems.

✧ There may be a bureaucratic and slow mechanism for proposing system changes, which means that the development schedule may be extended because of the need for rework.

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**System integration** 

****✧ The process of putting hardware, software and people together to make a system.

✧ Should ideally be tackled incrementally so that sub systems are integrated one at a time.

✧ The system is tested as it is integrated.

✧ Interface problems between sub-systems are usually found at this stage.

✧ May be problems with uncoordinated deliveries of system components.

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**System delivery and deployment** 

****✧ After completion, the system has to be installed in the customer’s environment

▪ Environmental assumptions may be incorrect;

▪ May be human resistance to the introduction of a new system; ▪ System may have to coexist with alternative systems for some time;

▪ May be physical installation problems (e.g. cabling problems); ▪ Data cleanup may be required;

▪ Operator training has to be identified.

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**Development and dependability** 

****✧ Decisions are made on dependability and security requirements and trade-offs made between costs, schedule, performance and dependability.

✧ Human errors may lead to the introduction of faults into the system.

✧ Testing and validation processes may be limited because of limited budgets.

✧ Problems in deployment mean there may be a mismatch between the system and its operational environment.

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**System operation** 

****• Operational processes are the 

processes involved in using the

system for its defined purpose.

• For new systems, these

processes may have to be

designed and tested and

operators trained in the use of

the system.

• Operational processes should

be flexible to allow operators

to cope with problems and

periods of fluctuating

workload.

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**Human error** 

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• Human errors occur in operational processes

that influence the overall dependability of the

system.

• Viewing human errors:

The person approach makes errors the 

responsibility of the individual and places

the blame for error on the operator

concerned.

• Actions to reduce error include threats

of punishment, better training, more

stringent procedures, etc.

The systems approach assumes that people are

fallible and will make mistakes. The system

is designed to detect these mistakes before

they lead to system failure.

• When a failure occurs, the aim is not to

blame an individual but to understand

why the system defenses did not trap

the error.

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**System defenses** 

****✧ To improve security and dependability, designers should think about the checks for human error that should be included in a system.

✧ There should be multiple (redundant) barriers which should be different (diverse)

✧ No single barrier can be perfect.

▪ There will be latent conditions in the system that may lead to failure.

✧ However, with multiple barriers, all have to fail for a system failure to occur.

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**Reason’s Swiss cheese model of system failure **

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**Defenses in an ATC system** 

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Conflict alert systemRaises an audible alarm when

aircraft are on conflicting

paths

Recording of instructions Allows instructions issues to  be reviewed and checked.

Sharing of information The team of controllers cross check each other’s work.

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**System evolution** 

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• Large systems have a long lifetime.

They must evolve to meet changing

requirements.

• Evolution is inherently costly

Changes must be analysed from a 

technical and business

perspective;

Sub-systems interact so

unanticipated problems can

arise;

There is rarely a rationale for

original design decisions;

System structure is corrupted as

changes are made to it.

• Existing systems which must be

maintained are sometimes called

legacy systems.

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**Evolution and dependability** 

****✧ Changes to a system are often a source of problems and vulnerabilities.

✧ Changes may be made without knowledge of previous design decisions made for security and dependability reasons.

▪ Built-in safeguards may stop working.

✧ New faults may be introduced or latent faults exposed by changes.

▪ These may not be discovered because complete system retesting is too expensive.

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**Key points** 

****✧ System procurement covers all of the activities involved in deciding what system to buy and who should supply that system.

✧ System development includes requirements specification, design, construction, integration and testing.

✧ When a system is put into use, the operational processes and the system itself have to change to reflect changing business requirements.

✧ Human errors are inevitable and systems should include barriers to detect these errors before they lead to system failure.

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