

	<b>Audit, Governance and Standards Committee of Southwark council</b> 17 <sup>th</sup> November 2021
	<b>Report from the Managing Director of Shared Technology Services</b>
<b>Shared Technology Services Update</b>	
<b>Wards Affected:</b>	N/A
<b>Key or Non-Key Decision:</b>	N/A
<b>Open or Part/Fully Exempt:</b> <small>(If exempt, please highlight relevant paragraph of Part 1, Schedule 12A of 1972 Local Government Act)</small>	N/A
<b>No. of Appendices:</b>	Appendix A: Inter Authority Agreement - SCHEDULE 6a  Appendix B: Shared Technology Services (STS) Major Incident Process  Appendix C: SCHEDULE 10 Dispute resolution
<b>Background Papers:</b>	None
<b>Contact Officer(s):</b> <small>(Name, Title, Contact Details)</small>	Fabio Negro Managing Director Shared Technology Services Fabio.Negro@SharedTechnology.Services

## 1. Purpose of the Report

1.1. This report provides an update on Shared Technology Services (STS) and addresses the questions raised about our governance processes and structure.

## 2. Recommendation(s)

2.1. The Audit, Governance and Standards Committee is asked to:

1. a) Note the responses to the questions raised;

2. b) Note the contents of the relevant IAA sections and our Major Incident process as attached in Appendices A, B & C.

### **3. Detail**

#### **3.1. Please explain your role, and that of your department**

**3.1.1.** Brent and Lewisham established a Shared Technology Service with a commencement date of 1<sup>st</sup> April 2016. Having successfully transitioned Lewisham to the Brent hosted Shared Technology Services (STS), both authorities have been seeking to expand the service to other partners in order to achieve further efficiencies and economies of scale. Southwark had been considering options for its ICT service since late 2015. The synergies with Brent and Lewisham and the advantages of Southwark joining the Brent/Lewisham Shared Technology Services were considered and work undertaken to develop and agree a shared strategic vision for Shared Technology Services.

**3.1.2.** Outcomes from the work including identified business benefits to be achieved were set out in the reports to the three Councils' Cabinets. The respective Cabinets approved the Councils entering into an interim inter-authority agreement which was signed on 31st March 2017. This provided the framework within which all parties were able to explore and define a 3-way shared service proposal.

**3.1.3.** The Councils have agreed to establish and to participate in a Shared Technology Services ("Shared Technology Services") to facilitate the joint delivery of their Information, Communications and Technology (ICT) services with a view to their more economical, efficient and effective discharge. Shared Technology Services activities are more particularly detailed in this Agreement.

**3.1.4.** Shared Technology Services is hosted by Brent and, in exercise of their powers under section 101(1) (b) and 101(5) of the Local Government Act 1972 and the Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2012, Lewisham and Southwark delegate the delivery of their ICT service to Brent and Brent has agreed to undertake the delegated Agreed Service on the basis set out herein. Further, all the Councils wish to discharge their ICT functions

jointly by way of Shared Technology Services. The Councils entered into this Agreement to establish a relationship between them to ensure the collaborative discharge of their respective ICT services.

**3.1.5.** Shared Technology Services is considered by the Councils to be an inter authority cooperation and in particular an in-house provision to each of them with the objective of providing ICT services to the Councils to assist them in meeting their public service duties, notwithstanding that Shared Technology Services is hosted by Brent, for reasons including, but not limited to:

- Reserved Decisions in relation to Shared Technology Services are reserved to each of the Councils;
- Shared Technology Services is required by the Councils to carry out the tasks as set out in this Agreement and is limited to the business and objectives as set out by the Councils;

**3.1.6.** Shared Technology Services is considered to be and acts as internal, dependent and subordinate to the Councils and its primary relationships with them are governed by way of this Agreement, which provides a mutuality of obligations and recovery of costs, rather than by way of a contract for services;

**3.1.7.** Shared Technology Services funding is derived from a financial methodology set out and controlled by each Council as detailed in clause 12 of this Agreement. It is not intended to be a commercial operation nor does it intend to materially transfer risk from one Council to another other than where it is right and proper to do so. Any contributions made by any of the Councils are intended to represent a fair distribution of the costs of running Shared Technology Services rather than to provide any financial gain;

**3.1.8.** Shared Technology Services has been established to operate as an instrument and a technical service of the Councils (including any bodies associated with the Councils or under the control of, or connected or in partnership with the Councils) and the essential part of its activities are to be carried out with them;

**3.1.9.** the Councils owe each other a duty to be just and true towards one another and act in good faith as detailed in clause 2.6 of this Agreement.

**3.1.10.** The Inter Authority Agreement (IAA) is intended to regulate the provision of the Agreed Services, the business and activity of Shared Technology Services and the relationship between the Councils.

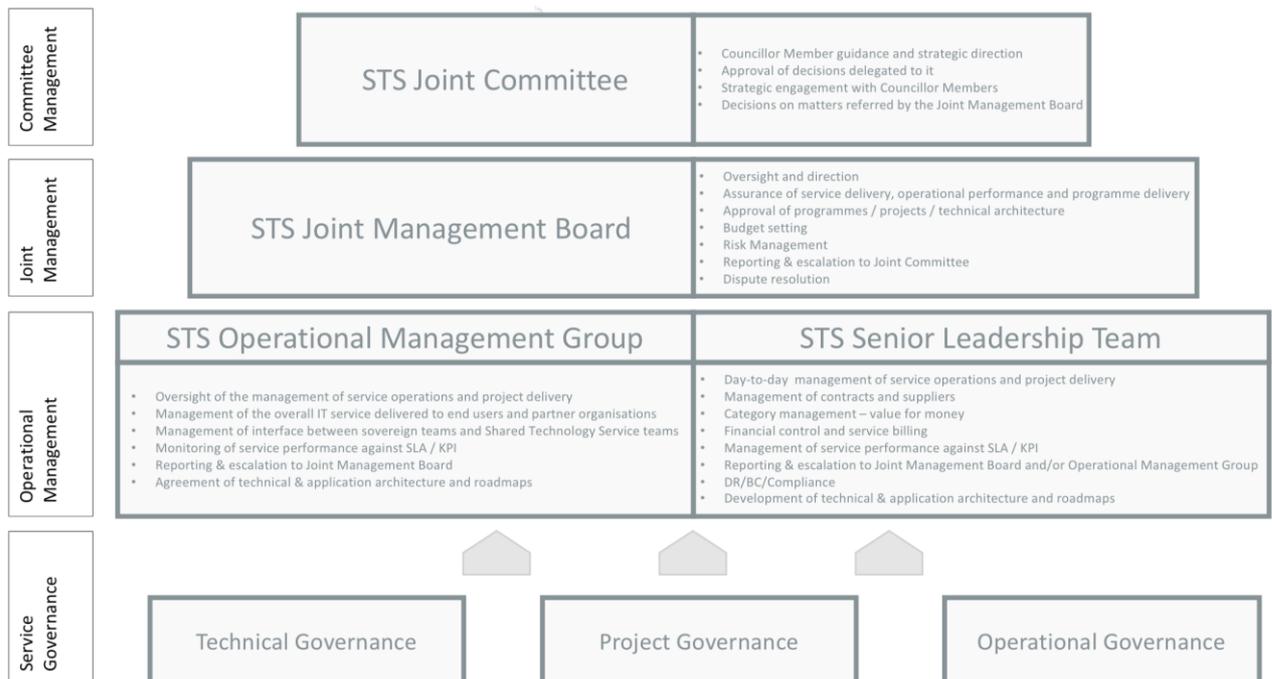
**3.2. What governance processes and structures are in place in your department?**

**3.2.1.** STS is governed by an Inter Authority Agreement that was instigated in April 2016.

**3.2.2.** This IAA was reviewed in 2020, alongside our current organisational structure as part of the Target Operating Model programme.

**3.2.3.** To note: STS was audited by London Borough of Southwark on our governance arrangements in 2020, and there are no outstanding actions.

**3.2.4.** The diagram below outlines our governance structure, with processes detailed in Schedule 6a of the IAA (attached in Appendix A):



**3.3. How do these connect with those across the council?**

**3.3.1.** The governance structure ties closely with the management teams for IT and Digital in each of the three partner councils, with representation at every level of the governance structure illustrated above.

**3.4. If something were to go wrong, how would we know?**

- 3.4.1. We have a robust Major Incident process in the event of a significant technical failure or outage (attached in Appendix B – STS Major Incident Process).
- 3.4.2. In the event of something to go wrong with the ability of STS to operate (for example, a dispute between partners), our IAA also defines the route to resolution (Appendix C – Schedule 10 Dispute Resolution Process)

**3.5. What are the main governance challenges your services face in the coming years?**

- 3.5.1. As the service matures and evolves, we expect to reach a point where transitioning to a separate legal entity would make financial and strategic sense. At this juncture though, this is not foreseen as a near term change.

**3.6. How could governance in your department be improved?**

- 3.6.1. Our governance has been reviewed and improved in 2020, and we have undertaken to review our IAA on an annual basis going forward. So whilst there is no fundamental issue with our current governance processes and organisation, we have the ability to iterate and improve wherever more clarification is required.

## 1 Appendix A

### **SCHEDULE 6a**

#### **JOINT COMMITTEE**

#### **GOVERNANCE & TERMS OF REFERENCE**

### **1. Establishment of a Joint Committee**

- 1.1. The Joint Committee shall be formed of the London Boroughs of Brent, Lewisham and Southwark.
- 1.2. In exercise of their powers under the Local Government Act 1972, the Local Government Act 2000, the Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2012 and all other enabling powers the Councils (which for this purpose includes Brent's Cabinet, Southwark's Cabinet and Lewisham's Mayor and Cabinet) shall establish a joint committee to be known as the Joint Committee of the London Boroughs of Brent, Lewisham and Southwark (and within these Terms of Reference also referred to as "the Joint Committee") with effect from [1st November 2017].

### **2. Purpose and function**

- 2.1. The London Boroughs of Brent, Lewisham and Southwark have established the Joint Committee to discharge executive functions on behalf of the three boroughs, in so far as they relate to joint activities or areas of common concern in relation to the provision of ICT infrastructure and related supporting services. The Joint Committee shall be responsible for and shall have delegated to it the following functions of the Councils as set out in a written agreement between the Councils and referred to in these Terms of Reference as the Shared Technology Services Agreement (the Agreement):
- the strategic direction for Shared Technology Services
  - those matters for which it is identified as responsible for under the Agreement.
  - to consider matters referred to it by the Joint Management Board (as referred to in the Agreement)
  - to act as the decision making body in respect of any joint decision required to be taken by the Councils under the Agreement other than those that have been excluded and defined as Reserved Decisions.

Which shall together be known as "the Agreed Functions"

- 2.2. The governance arrangements provide flexibility so that the Agreed Functions can be added to or amended over time.

- 2.3. Each Council hereby empower the Joint Committee to discharge on their behalf the Agreed Functions and empower the Joint Committee to arrange for the discharge of the Agreed Functions or any of them by any officer or officers of the Councils.
- 2.4. The Joint Committee shall operate and discharge its responsibilities in accordance with the terms of these Terms of Reference and the Agreement.
- 2.5. The work of the Joint Committee shall be supported by the Joint Management Board.
- 2.6. The Joint Committee does not have power to exercise non-executive functions on behalf of the Councils.
- 2.7. The initial meeting of the Joint Committee shall take place within six (6) months of the Effective Date and thereafter, they shall occur twice yearly.
- 2.8. Meetings of the Joint Committee shall be rotated between the offices of each of the Councils.
- 2.9. The Joint Committee may delegate to an officer of the Councils but may not delegate to sub-committees.
- 2.10. Meetings of the Joint Committee will be open to the public except to the extent that they are excluded under the following paragraph.
- 2.11. The public may be excluded from a meeting of the Joint Committee during an item of business whenever it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that, if members of the public were present during that item, confidential information as defined in section 100A(3) of the Local Government Act 1972 or exempt information as defined in section 100I and Schedule 12A to the Local Government act 1972 would be disclosed to them.

### **3. Business to be transacted**

- 3.1. Standing items for each meeting of the Joint Committee will include the following:
  - Apologies for absence
  - Declaration of Interest
  - Minutes of the Last Meeting
  - Provision for public participation
  - Substantive items for consideration.
  - Exclusion of the Public
  - Closed items for consideration

3.2. The Chair may vary the order of business and take urgent items as specified in the Access to Information Requirements / Rules as set out in the respective Councils' constitutions at his/her discretion. The Chair should inform the Appointed Members of the Joint Committee prior to allowing the consideration of urgent items.

3.3. An item of business may not be considered at a meeting unless:

3.3.1. A copy of the agenda included the item (or a copy of the item) is open to inspection by the public for at least five clear days before the meeting unless it contains confidential information or exempt information as referred to in the Access to Information Requirements / Rules referred to in paragraph 3.2; or

3.3.2. By reason of special circumstances which shall be specified in the minutes the Chair of the meeting is of the opinion that the item should be considered at the meeting as a matter of urgency, or

3.3.3. "Special Circumstances" justifying an item being considered as a matter of urgency will relate to both why the decision could not be made at the meeting allowing the proper time for inspection by the public as well as why the item or report could not have been available for inspection for five clear days before the meeting.

#### **4. Extraordinary meetings**

4.1. Arrangements may be made following consultation with Chair of the Joint Committee to call an extraordinary meeting of the Joint Committee. The Chair should inform the Appointed Members prior to taking a decision to convene an extraordinary meeting.

4.2. The business of an extraordinary meeting shall be only that specified on the agenda.

#### **5. Cancellation of meetings**

5.1. Meetings of the Joint Committee may, after consultation with the Chairman, be cancelled if there is insufficient business to transact or some other appropriate reason warranting cancellation. The date of meeting may be varied after consultation with the Chairman and Appointed Members of the Joint Committee in the event that it is necessary for the efficient transaction of business.

#### **6. Rules of debate**

6.1. The rules of debate in operation in the Chair's Council shall apply.

#### **7. Request for determination of business**

7.1. Any Appointed Member of the Joint Committee may request at any time that:

- The Joint Committee move to vote upon the current item of consideration.

- The item be deferred to the next meeting.
- The item be referred back to a meeting of the Chief Executives of the Participating Boroughs for further consideration.
- The meeting be adjourned.

The Joint Committee will then vote on the request.

## **8. Urgency Procedure**

8.1. Where the Chair (following consultation with the Appointed Members of the Joint Committee) is of the view that an urgent decision is required in respect of any matter within the Joint Committee's functions and that decision would not reasonably require the call of an Extraordinary Meeting of the Joint Committee to consider it and it cannot wait until the next Ordinary Meeting of the Joint Committee, then they may request in writing the Chief Executive of each Council (in line with pre-existing delegations in each Council's Constitution) to take urgent action as is required within each of the constituent Councils.

## **9. Membership**

9.1. Each Council shall appoint two of its Council Members to sit on the Joint Committee as "Appointed Members" to the Joint Committee. Each Council should also appoint a named substitute/s to attend in the event any one member is absent. Appointed Members or their named substitute shall be an executive member for those operating executive governance arrangements). The member appointed as a substitute shall have full voting rights when they are acting as substitute.

9.2. Each Appointed Member of the Joint Committee shall serve upon the Joint Committee for as long as he or she is appointed to the Joint Committee by the relevant Council but shall cease to be an Appointed Member of the Joint Committee if he or she ceases to be a member of the Council appointing him or her.

## **10. Chair**

10.1. The Chair of the Joint Committee shall be rotated between the Appointed Members of the Councils for each meeting of the Joint Committee.

## **11. Quorum**

11.1. A meeting of the Joint Committee shall require a quorum of three of the six Appointed Members of the Joint Committee and that there shall be no quorum unless at least one Appointed Member from each Council is present.

## **12. Voting**

12.1. The Joint Committee's decision making will operate on the basis of mutual cooperation and consent. It is expected that decisions will be taken on a consensual basis wherever reasonably possible.

12.2. Where a vote is required it will be on the basis of one vote per member and unless a recorded vote is requested, the Chair will take the vote by show of hands.

12.3. Any matter shall be decided by a simple majority of those members voting and present. Where there is an equality of votes, the Chair of the meeting shall have a second and casting vote.

12.4. Reserved Decisions must be referred back to the members of each Council.

### **13. Overview and scrutiny**

13.1. Overview and scrutiny (within the meaning of the Local Government Act 2000) will be the responsibility of each Council and the appropriate scrutiny arrangements of each Council will apply subject to any necessary changes being made to meet the circumstances of the Joint Committee arrangement.

### **14. Administration**

14.1. Administrative support for the meetings of the Joint Committee will be provided by the Host Authority and will be formally designated as clerk to the Joint Committee with responsibility for the provision of administrative support.

### **15. Lead Borough / Accountable Body Arrangements**

15.1. The London Borough of Brent is the lead accountable body for the Shared Technology Services.

### **16. Dispute Resolution**

16.1. Any dispute that arises as a result of these Terms of Reference shall be dealt with in accordance with Clause 17 of the Agreement.

SHARED TECHNOLOGY SERVICES JOINT COMMITTEE		
<b>Appointed Members</b>	<b>Frequency:</b>	3 meetings per annum (March, July & October)
<b>London Borough of Brent / Lewisham / Southwark:</b> Two (2) Members from each partner authority	<b>Venue:</b>	Rotated between partners
<b>Officer Attendees</b>	<b>Receives reports from:</b>	Joint Management Board
<b>Brent:</b> Strategic Director of Resources <b>Lewisham:</b> Chief Finance Officer <b>Southwark:</b> Strategic Director of Housing and Modernisation	<b>Reports to:</b>	Authority Cabinets
<b>Terms of Reference</b>	<b>Agenda</b>	
<ul style="list-style-type: none"> <li>Oversee the delivery of the Shared Technology Service.</li> <li>Sets key strategic direction and associated activities.</li> <li>Acts as arbiter where there is a conflict in either direction or priority of each Council.</li> <li>Those matters for which it is identified as responsible for under the Inter-Authority Agreement for the three-way Shared Technology Service.</li> </ul>	<ul style="list-style-type: none"> <li>Apologies for absence</li> <li>Declaration of interest</li> <li>Minutes of the Last Meeting and matters arising</li> <li>Provision for public participation</li> <li>Substantive items for consideration</li> <li>Exclusion of the public</li> <li>Closed items for consideration</li> </ul>	

### Overview of Shared Technology Services Governance Arrangements



# Shared Technology Services (STS) Major Incident Process

Service owner: **REMOVED PII**

Approval status: Approved

Date of initiation: 09/02/2020



NOVEMBER 9 2021



### 3 Version Control

<i>Version</i>	<i>Summary</i>	<i>Date</i>	<i>Editor</i>
1.1	Priority statement to third-party support/suppliers	03/08/2020	REMOVED PII
1.2	Add representatives of Red Team	10/11/2020	REMOVED PII
2.0	Altered document to match current styles & updated "SICTS" to "STS"	08/10/2021	REMOVED PII

### 4 Document Approval

<i>Version</i>	<i>Date</i>	<i>Approver</i>
1.0	09/02/20	REMOVED PII
2.0		

### 5 Contributors

<i>Name</i>	<i>Position</i>	<i>Date reviewed</i>
REMOVED PII	Head of Operations Service Desk Manager	

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## 7 Related Documents

Document Name	Location
STS Major Incident Procedure	<a href="#">Service Management Process Document</a>
STS Incident Review Template	<a href="#">MIR_Template.docx (sharepoint.com)</a>

## 8 Major Incident Process Objectives

This document sets out to define the process to be followed when responding to a major incident, looking to address the following requirements

- to provide an effective communication system across the organisation(s) during a major incident
- to ensure that an appropriate Incident Manager is in place to manage a major incident
- that there are in place appropriate arrangements to ensure that major incidents are notified promptly to appropriate management and technical groups, so that the appropriate resources are made available
- to conduct major incident investigations and to contribute to the organisation's knowledge of the causes of incidents
- to provide timely information about the causes of incidents and any relevant findings from investigations
- to conduct a review of each major incident once service has been restored and, in line with problem management, to look at root cause and options for a permanent solution to prevent the same major incident happening again

## 9 Scope

This is to determine which tickets will be subject to the Major incident Process

### 9.1 Priority of Tickets

All Incidents that are categorized as P0 or P1 priority will be managed through this process. Any ticket raised by a user P1 through the normal ticket logging process will have its priority lowered to a P3 and be linked to the Major Incident ticket and the issue will be managed & reported on solely through the Major Incident process.

### 9.2 Types of tickets

The process applies to ALL P0 and P1's across the STS network so applies equally to Application issues as well as to STS infrastructure issues.

### 9.3 Hours of Operation for the process

All tickets will be recorded using this process no matter what time of day/night that they are logged so it is essential that Out of Hours application and STS support teams follow the process.

## 10 Definition of a Major Incident

Priority	Description	Example	Target
<b>P0</b>	An incident that results in the unavailability of or significant degradation to an IT service used by more than one STS customer organisation	A core network failure that impacts services for more than one STS customer	<b>Resolve 95% within 4 working hours</b>
<b>P1</b>	An incident that results in the unavailability of or significant degradation to an IT service used by the entire council or The unavailability or significant degradation of a service impacting upon a whole department, a significant number of users or an entire site or an unavailability or degradation of a critical business application/service	Entire corporate service (e.g. email, internet access) unavailable. Network unavailable to an entire department or larger site). Critical application offline or suffering degradation such as to be virtually unusable. A virus outbreak. Unavailability or degradation of service which has a critical business impact (e.g. unable to run payroll, unable to meet legal requirements, impacting upon safeguarding).	<b>Resolve 95% within 4 working hours</b>

Table 1: Major Incident Priorities

## 11 Major Incident Management

### 11.1 Prerequisites

Applications and STS On-call staff will need access to be able to update tickets logged against the Major Incident service on Hornbill.

STS Service Desk and STS On-Call staff will need to have the ability to raise Major Incident tickets.

Documentation of the Process and the underlying procedures needs to be available and familiar to everyone that may need to participate in the process.

Training in the correct procedures should be provided to all relevant staff.

### 11.2 Prioritisation

A Major Incident will be prioritized as per Table 1: Major Incident Priorities

The Major Incident will be logged against the Hornbill Major Incident service and should remain at P0 or P1 throughout its life cycle.

### 11.3 Major Incident Ticket

The Service Desk will raise a specific ticket against the Major Incident service indicating the organisation(s) effected. This will use a member of the Service Desk Management as the 'Customer' to enable access to the Major Incident Service.

This Major incident ticket will be assigned to the appointed Major Incident Manager and all technical ticket updates will be added to the major incident ticket.

### 11.4 Related Tickets

All tickets related to the Major Incident will set to P3 and be linked on Hornbill to the Major Incident ticket.

### 11.5 Reporting

The reporting for all Major Incidents (P0 and P1s) to be against the Major Incident Service. The SLA achieved should be calculated between the manually recorded.

## 12 Roles and Responsibilities (In Hours)

Unless stated the accountability, roles and responsibilities outlined in this section apply to both Infrastructure and Application MI's.

### 12.1 Accountability for STS Major Incident Process

The accountability for the documentation and operation of the Major Incident Process sits with the STS Support Manager (Ruth Hicks).

### 12.2 STS Major Incident Manager

The incident Manger will normally be a Service Desk Team Lead based in the Wembley office (Brent Civic Centre, Engineers Way, Wembley) who is able to be in direct contact to the technical teams. However, the Support Manager, a Service Desk Team Lead on another site, Infrastructure Manager or Infrastructure Team Lead, may perform this role. They will responsible for

- Raising the Major Incident ticket against the Major Incident Service.
- Management of the Major Incident Ticket
- Ensuring that all Service Desk Staff are aware of the Major Incident ticket number and the types of tickets that need to be linked to it, with briefing to set as a P3 priority at the time that it is linked
- Liaising with the technical lead

- Sending the comms throughout the lifecycle of an incident (or at delegating them to a specific suitable member of staff to continue them in their absence) in line with the communications Plan

### 12.3 STS On-Site Support Teams

The Service Desk team is key to the identification of Major Incidents by spotting trends and patterns in the incoming tickets. The service desk will ensure that any tickets that are related to the Major Incident Ticket are linked to it.

### 12.4 Technical Lead/Major Incident Owner – Infrastructure MIs

The technical lead will normally be the Team Lead or their appointed deputy for the technical team carrying out the investigations and working to resolve the issue.

The Technical Lead will be responsible for

- Co-coordinating technical efforts to restore service
- Ensuring that when logging issues with third-part vendors/support services that the priority is clearly stated
- Updating the major incident ticket log with impact statements (ie confirmation of boroughs effected, what systems/connectivity is affected)
- Updating the major incident ticket log with technical updates such as servers involved, work carried out etc
- Preparation of the Major Incident report at the conclusion of the incident.

### 12.5 Infrastructure Manager – Infrastructure MIs

Will assume the Technical lead in the event that the Major Incident requires input from multiple teams. They will be responsible for working with the Incident Manager to provide comms details and setting up a major incident 'Red Team' with the necessary representatives. The Red Team should consist of:

- Infrastructure Manager
- Enterprise Architect
- Service desk incident Manager/Team Lead
- Team Leads or nominated deputies from each of the infrastructure teams
- If necessary, Team Lead from Applications Hosting Team
- If necessary, any third-party vendor representative
- Service Account Manager(s)
- Optional – Head of Operations

The Red Team should convene at agreed intervals during the incident to discuss the current situation, planned actions, outcomes and communication. The entire process should be documented with careful attention paid to timelines to feed into the MI report to be produced.

## 12.6 *Technical Lead/Major Incident Owner – Application MIs*

The technical lead will normally be the Applications Manager for the borough or a member of the team carrying out the investigations and working to resolve the issue.

The Technical Lead will be responsible for

- Co-coordinating technical efforts to restore service
- Ensuring that when logging issues with third-part vendors/support services that the priority is clearly stated
- Updating the major incident ticket log with impact statements (i.e. confirmation of boroughs effected, what systems/connectivity is effected)
- Updating the major incident ticket log with technical updates such as servers involved, work carried out etc.
- Preparation of the Major Incident report at the conclusion of the incident.

## 12.7 *STS Problem Manager*

Responsible for liaising with the relevant Technical lead and the Major Incident Manager to produce a Major Incident Report; responsible for ensuring that a root cause has been identified and a problem is logged where appropriate to ensure no further re-occurrence.

## 12.8 *STS Change Manager*

May need to process any urgent changes necessary for incident resolution.

## 12.9 *Business Relationship Managers (BRMs)*

The BRM for the borough or boroughs affected are responsible for arranging for communications to a wider user base by means such as Yammer and Intranet entries via their borough contacts/access.

# 13 Roles and Responsibilities (Out of Hours)

Unless stated the accountability, roles and responsibilities outlined in this section apply to both Infrastructure and Application MI's.

## 13.1 *Accountability for STS Major Incident Process*

The accountability for the documentation and operation of the Major Incident Process sits with the STS Support Manager (Ruth Hicks).

## 13.2 *STS Major Incident Manager*

This is the STS person on-call  
They will responsible for

- Raising the major incident ticket against the major incident service.
- Management of the Major Incident Ticket
- Ensuring that all related Hornbill tickets are set to P3 and linked to the major incident process.
- Contacting and Liaising with any/all staff required to resolve the incident.
- Sending the comms throughout the lifecycle of an incident (or at delegating them to a specific suitable member of staff to continue them in their absence) in line with the [communications Plan](#)

### 13.3 *Technical Lead/Major Incident Owner – Infrastructure MIs*

The technical lead will be the STS person on-call.

The Technical Lead will be responsible for

- Co-coordinating technical efforts to restore service
- Ensuring that when logging issues with third-part vendors/support services that the priority is clearly stated
- Updating the major incident ticket log with technical updates
- Updating the major incident ticket log with impact statements (i.e. confirmation of boroughs effected, what systems/connectivity is effected)
- Preparation of the Major Incident report at the conclusion of the incident.

### 13.4 *Technical Lead/Major Incident Owner – Application MIs*

The technical lead will normally be the application specialist listed as the contact for the application reporting an issue.

The Technical Lead will be responsible for

- Co-coordinating technical efforts to restore service
- Ensuring that when logging issues with third-part vendors/support services that the priority is clearly stated
- Updating the major incident ticket log with technical updates
- Updating the major incident ticket log with impact statements (ie confirmation of applications effected, what systems/connectivity is effected)
- Preparation of the Major Incident report at the conclusion of the incident.

### 13.5 *STS Problem Manager*

On resumption of office Hours responsible for liaising with the relevant Technical lead and the Major Incident Manager to produce a major incident report; responsible for ensuring that a root cause has been identified and a problem is logged where appropriate to ensure no further re-occurrence.

### 13.6 *STS Change Manager*

May need to process any urgent changes necessary for incident resolution.

## 14 Communication Plan

All communications sent out will refer to a Major Incident as opposed to a specific priority.

There will be communication at regular intervals throughout the Major Incident ticket Life Cycle.

The Aim of the communication plan during the incident is to communicate, in a purely non-technical way, details about the issue and the impact that can expect to be seen by the users in the organisations.

Technical communication of what the cause of the issue is, server names etc will be only be communicated in the Major Incident Report after the conclusion of the incident.

### 14.1 Status Emails from Hornbill

This is the main & prioritised means of communication during a Major Incident.

As soon as a Major Incident is raised on Hornbill, a basic email is triggered to STS staff to alert them to the ticket.

Once the Major Incident Ticket is logged, a first update will be sent out from Hornbill using a Red – ‘system down’ Header ASAP to alert people to the fact that STS are aware of an issue.

These Update/Status emails sent from the Major Incident ticket use a distribution lists for each organisation, with the emails being sent to every organisation that is identified by the Major Incident ticket, as being affected.

The distribution lists are as follows

Brent: HornbillMIP1@brent.gov.uk

LGA: HornbillMIP1@local.gov.uk

Lewisham: HornbillMIP1@lewisham.gov.uk

Southwark: HornbillMIP1@Southwark.gov.uk

A second Red update will be sent within an hour of the first with a more detailed but non-technical statement regarding the impact (signs and symptoms) that will potentially be seen by an individual user.

Subsequent red ‘system down’ messages will be sent at a maximum of two hourly intervals unless a reasonable statement to the contrary has been published on previous comms. For example if STS have been given a time on-site of 4 hour’s time for a third party engineer to carry out work that STS cannot do themselves and which is clearly the cause of the major incident, a next comms update window of 4.5 or 5 hours may be stated.

Once STS believe that the issue has been resolved, an Amber update will be sent. This indicates that we believe that the issue has been resolved but we are continuing to test and

monitor, or that the system down situation has been restored to provide a degraded service and we are still working on the issue.

Once STS are confident that the Major Incident has been fully resolved and that all testing indicates that the system is stable then a green 'Major Incident Resolved' status message will be sent.

## 14.2 *Hornbill Bulletin*

Where the issue is widespread STS will endeavor to add a message to the opening screen of Hornbill for the Borough(s) effected to report basic details of the issue and that it is being dealt with to prevent additional tickets being raised for the known issue.

## 14.3 *WhatsApp*

This would normally be updated by the Incident Manager (most normally a Service Desk Team Lead)

Immediate comms regarding the identification of a Major Incident via the WhatsApp group – SCITS Stakeholder Update, this should reach all required senior staff in all organisations. Further updates will be posted to this group but the comms emails from Hornbill will be given priority during the incident.

## 14.4 *Floor Walking*

In office hours in Brent Civic Centre, Smith Square, Lewisham Catford Campus and 160 Tooley Street, STS On-Site staff will (especially during an issue with email) floor walk ensuring that people know that there is an issue and that STS is dealing with the issue as a matter of priority.

## 14.5 *Major Incident Report*

The technical lead will prepare the Major Incident report with full technical details of the issue, its resolution and lessons learned using the template. The naming format will include the Major Incident ticket number.

The MIR will be circulated to any identified Key Stakeholders within 10 working days of the incident occurring, with an MIR review scheduled shortly after that.

The Infrastructure Manager is responsible for ensuring that the Major Incident review process is followed irrespective of the nature of the incident or time that the Major Incident occurred.

**SCHEDULE 10**

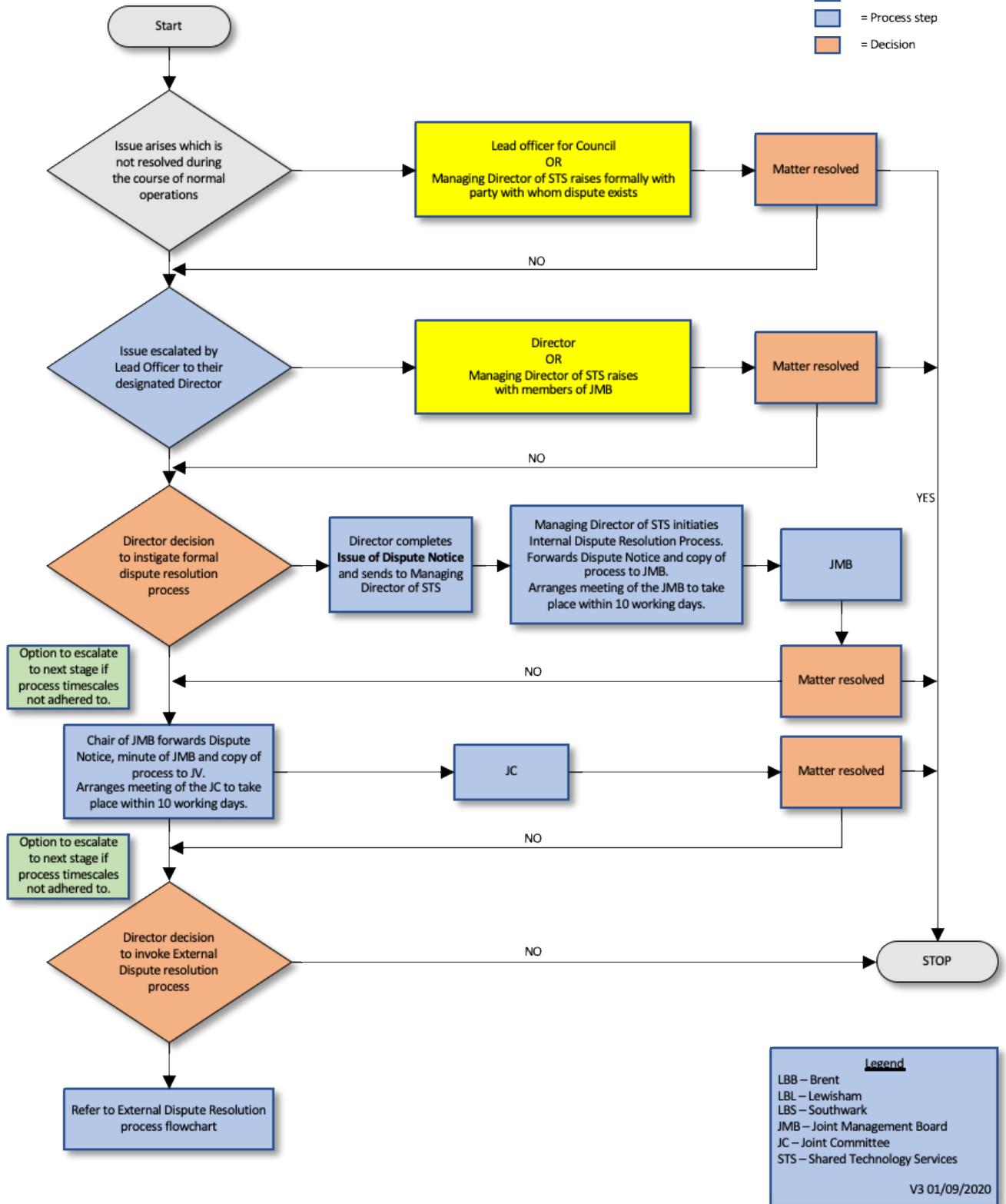
**10a – INTERNAL DISPUTE RESOLUTION PROCESS**

**and**

**10b – EXTERNAL DISPUTE RESOLUTION PROCESS**

# STS INTERNAL DISPUTE RESOLUTION PROCESS

- = Advisory
- = Process step
- = Decision



**Legend**

- LBB – Brent
- LBL – Lewisham
- LBS – Southwark
- JMB – Joint Management Board
- JC – Joint Committee
- STS – Shared Technology Services

V3 01/09/2020

# STS EXTERNAL DISPUTE RESOLUTION PROCESS

