POLICY AND GUIDANCE
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Title:	**Responsibilities for TRE Unmanaged Projects**
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1. Purpose

All information security responsibilities should be defined and allocated.

This document defines TRE 'Managed Projects' and 'Unmanaged Projects' and describes the assignment of responsibilities for TRE Unmanaged Projects; allocated either to the TRE Operations Team or TRE Project members/users. This distinction of responsibilities is needed to ensure that risks can be adequately controlled to maintain a secure environment.

2. Scope

Unmanaged projects within the TRE

3. Responsibilities

TRE Operations are responsible for:
- providing each unmanaged project with the agreed resources and service functionality

TRE Service Hosting Project Members are responsible for:
- following the terms of the "TRE Unmanaged Project Agreement"
- providing their "Unmanaged Project" with the agreed resources and functionality
- ensuring their "Unmanaged Project" responsibilities are met according to their risk assessment

4. Procedure

4.1. Background

TRE projects can be managed in different ways, depending on the project requirements. TRE 'Managed Projects' provide users with a highly restricted environment where administrative level operations cannot be performed and must be managed by the TRE Operations team. This is in contrast to TRE 'Unmanaged Projects' where users have administrative privileges and can perform tasks such as installing software and managing user accounts.

4.2. Resulting responsibilities model

Sections A and B below list the core TRE service provisions and the default allocation of responsibility. Any deviation from this default position requires a formal request for the transfer of responsibility from one party to another. Examples of service provisions that a project might want the TRE Operations Team to do on their behalf include: data classification, risk assessment, information governance and application penetration testing.

Each project must specify any deviation from this default position during the initial project application, and if approved, the proposed allocation of responsibility will form the basis for a Service Level Agreement between the TRE Service Team and the TRE Project.

A) Service Provisions that are the responsibility of TRE Project personnel (TRE Users)
- Software application installation, development and maintenance
- OS-level user account management
- Software updates for OS and applications

- Application level user account and authorisation management
- Application level user end-point connections and client-to-server software-level security controls, e.g. VPN/ 2-FA
- User communication and notification
- Application and host OS monitoring and event logging
- Key management authentication of end-points and users
- OS firewall
- Installing and activating software application licenses
- Domain name registration and corresponding DNS administration
- Data classification / risk assessment / information governance
- Application penetration testing (subject to approval from TRE Operations)

B) Service Provisions that are the responsibility of the TRE Operations team
- Installation of OS
- Connections to the University and HSCN networks
- Rackspace and 'bare-metal' server management
- Power (incorporates UPS)
- Server room temperature monitoring
- Perimeter and core infrastructure network & firewall to provide isolation for individual projects
- Storage volumes and associated encryption key management
- Secure destruction of storage volume / VM at end of project
- Persistent externally accessible host IP address
- Perimeter/Host/Network penetration testing

4.3. Agreement

The person named in the form below is providing their agreement to the default allocation of responsibilities as defined within section 4.2 by completing the form below and returning this document via email to:

tre-support@manchester.ac.uk

Project Name	
Principle Investigator or equivalent	
I hereby provide my agreement with the allocation of responsibilities as stated in Section 4.2 (type 'Yes' in adjacent box)	
Date this agreement has been submitted	

4.4. Requesting changes to the default service provision

If a TRE Project needs to deviate from the default allocation of responsibilities defined in section 4.2, it is necessary to specify this within the initial project application form so it can be reviewed (document FORM-002). Or if a change in responsibility is required for a project that is already running, the TRE Project Request document (FORM-007) must be completed.

Note that there is no guarantee the TRE Operations team will agree to the change of responsibility being requested, but all requests are formally reviewed, and an explanation will be provided if necessary.

5. Cross-referenced ISMS Documents

Number	Type	Title
FORM-002	ISMS\Forms	TRE Project Application Form
FORM-007	ISMS\Forms	TRE Project Service Request Form

6. Appendices

6.1. Case study 1

A clinical trial where consenting patients were given internet-enabled nebulisers with data sent 24/7 via SSH by third parties. Doctors were given a secure login to monitor their patient's nebuliser use and consider whether modifications were needed to their care.

TRE Operations responsibilities: Hardware, firewalls, networking, virtual machine set up, data storage, information governance consultancy and business continuity.

TRE User responsibilities: software, user accounts, data transfer, backups, and contracts.

6.2. Case study 2

A study provided activity trackers and other internet-enabled health monitoring devices to participants. The study used the TRE as back up storage.

TRE Operations responsibilities: Hardware, firewalls, network connectivity, Linux machine and storage set up, and business continuity were provided by the TRE.

TRE User responsibilities: data transfers, the protocol for users uploading their data, and other study documentation.

6.3. Case study 3

A research study received data from participating NHS sites. The study also created a dashboard for displaying analytics; this required features of an Unmanaged project.

TRE Operations responsibilities: Hardware, firewalls, networking, virtual machines, data storage, information governance consultancy, and business continuity were provided by the TRE.

TRE User responsibilities: requests for server certificates and domain names, creation of user accounts, deployment of the dashboard, set up of databases, and development and deployment of scripts for data analysis and configuration of the dashboard.