



POLICY AND GUIDANCE
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Document Information Classification: Unrestricted

Title:	Stakeholder Analysis
Effective Date:	14 Feb 2019
Reference Number:	ISMS-02-02
Version Number:	1.4
Owner:	ISMS Management Process Owner,
Review Date:	08 Nov 2019

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1. Purpose

This document contains the stakeholder analysis that has been completed for the ISMS. This indicates how the interests of all of the stakeholders of the ISMS should be addressed to manage their impact on the organization and its viability.

. In particular the analysis assesses the following:

- The goals and motivation of stakeholders in relation to the organisation's objectives – stakeholders who will be directly affected by, or who could directly affect, the organisation will be of greater importance than those who are only indirectly affected;
- The needs and expectations of stakeholders
- Stakeholder power - the degree of influence of the stakeholder on the organisation and the ability to alter its operations.
- Stakeholder interest - the degree of interaction and/or involvement of the stakeholder with the organisation on a daily/regular basis and potential to be impacted, either positively or negatively, by the organisation's actions.
- The strategy for managing each stakeholder or group of stakeholders.

The stakeholder analysis does not preclude the interests of the stakeholders overriding the interests of the other stakeholders affected, but it ensures that all affected will be considered.

2. Scope

All stakeholders of the ISMS

3. Responsibilities

There are no additional responsibilities specific to this guidance document.

4. Stakeholder Analysis

The stakeholder management strategy will be based upon the following stakeholder matrix.

P o w e r	H	Watch	Keep Satisfied	Actively Manage
	M	Keep on Side		
	L	General Communication	Keep Informed	
		L	M	H
		Interest		

Stakeholder	Goals, Motivation and Interests	Needs & Expectations (Explicit or inferred TRE requirements)	Stakeholder provides (potential positives and negatives)	Interest (L,M,H)	Power (L,M,H)	Management Strategy
Public & Patients	Improved healthcare via participation in research	Reliable and trustworthy organisation: <ul style="list-style-type: none"> • Maintain Privacy and Confidentiality • Respect Consent • Secure system • Robust controls • Reliability & integrity of datasets Updates/Information	(+): Consent, Samples, Data, Widening public participation as the result of positive experience, positive public image of the TRE. (-): Remove consent in response to negative media/events.	L	M	Keep on side
Researchers (users)	Further research understanding, Collaboration, Papers, Access to pooled resources/ data, Continued funding.	System: <ul style="list-style-type: none"> • Secure data analytic environment • Reliability & integrity of datasets • Availability of service • Deliverables • Retention of data • Collaboration Support: <ul style="list-style-type: none"> • System training • Response to issues • Resolution of issues • System development Communication: <ul style="list-style-type: none"> • Notification of downtime • Notification of opportunities 	(+): User/customer base, knowledge and skills, collaboration, improvement suggestions, requirements, opportunities, positive reviews, word of mouth marketing, funding. (-): Uncertain requirements, potential for negative feedback, unfamiliarity of TRE systems and functionality, loss of future opportunities as a result of unhappy users, legal action as a result of the TRE falling to provide adequate services, possible breach of data security by user, poor/fraudulent data	H	H	Actively manage

Stakeholder	Goals, Motivation and Interests	Needs & Expectations (Explicit or inferred TRE requirements)	Stakeholder provides (potential positives and negatives)	Interest (L,M,H)	Power (L,M,H)	Management Strategy
		<ul style="list-style-type: none"> Notification of issues Efficiency: <ul style="list-style-type: none"> Access to account Provision of VM Validating code 	or analysis reflecting badly on the TRE.			
Funders (MRC, Researchers etc...)	Scale and accelerate research, Make new knowledge discoveries, increase reputation with peers	Deliverables: <ul style="list-style-type: none"> Deadlines Milestones Spending Communication	(+): Possible continued funding, positive TRE image, future opportunities. (-): Withdrawal of funding, Fines/legal actions, negative TRE image.	M	H	Keep satisfied
University of Manchester	Preserve reputation, Contribute to research, Marketable system	Compliance: <ul style="list-style-type: none"> Regulatory bodies & Law University policy Contribution to University Goals Finances Compliance: <ul style="list-style-type: none"> Robust system Robust and appropriate controls 	(+): Opportunities, support, knowledgebase, resources, contacts, media coverage. (-): Availability of support and resources, changeable policy guidelines	L	H	Watch
NHS (FT, CCG)	Contribute to research, Use existing (underutilised) data to benefit healthcare, Added value,	Compliance: <ul style="list-style-type: none"> Robust system Robust and appropriate controls Reputation: <ul style="list-style-type: none"> Reliable and trustworthy Ease of collaboration:	(+): Provides access to data records, collaboration, contacts, opportunities. (-): Withdrawal of N3 connection, possibility of legal action for	L	H	Watch

Stakeholder	Goals, Motivation and Interests	Needs & Expectations (Explicit or inferred TRE requirements)	Stakeholder provides (potential positives and negatives)	Interest (L,M,H)	Power (L,M,H)	Management Strategy
	Reduce costs/improve pathways, Social responsibility, improve reputation with NHS funders and patients	<ul style="list-style-type: none"> Easy to supply data in a form the NHS can extract 	misuse/mismanagement of data			
TRE Management (ISSG)	Maintain reputation, Achieve objectives, Secure TRE future	System compliance: <ul style="list-style-type: none"> Reporting issues Following procedure/policy Improvements Validation: <ul style="list-style-type: none"> In-house services Supplied services System data: <ul style="list-style-type: none"> Management review Evidence of compliance Competent staff <ul style="list-style-type: none"> User requirements defined 	(+): Decision makers, approval for spending, develop policy, define scope, contacts, spokespersons for the TRE. (-): Availability, not usually directly involved in system issues	H	H	Actively manage
TRE Staff (staff and students working at CHI)	Involvement in research, Security, Pleasant working environment, Contribution to system improvement, personal development	Job security Communication: <ul style="list-style-type: none"> Timeframes Clear objectives Clear rationales for onerous requirements (e.g. security) Continued development Resources	(+): knowledgebase, skills, experience, contribute to system development, work on projects, know what works well, contact with wider security community (forums etc.)	H	H	Actively manage

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			(-): Potential for deliberate/accidental damaging actions			
TRE (organisation)	Secure future for the organisation, Funding opportunities, Collaboration, Social responsibility, Growth of customer/user base	Reputation: <ul style="list-style-type: none"> Reliability Ability to deliver Finances Suitable systems & services	(+): provide resources and environment, (-): Limited resources (e.g. space)	M	H	Keep satisfied
Farr Institute	Scale and accelerate research, Reputation, Collaboration	Communication Reliable services and systems	(+): contacts, support, opportunities, broadcast of services to a wide audience (-): ?	L	L	General communication

Stakeholder	Goals, Motivation and Interests	Needs & Expectations (Explicit or inferred TRE requirements)	Stakeholder provides (potential positives and negatives)	Interest (L,M,H)	Power (L,M,H)	Management Strategy
Dataset providers	Further research, Collaboration, Share existing resources, Future opportunities, Share knowledge, Widen dataset, increase own reputation	Collaboration: <ul style="list-style-type: none"> With TRE With other researchers Non-distribution/duplication of property Operate within ethics Communication: <ul style="list-style-type: none"> Opportunities Issues Access by approved researchers	(+): Provide datasets, contacts, opportunities, improvement suggestions, positive feedback. (-): Could remove access to dataset, negative feedback, have power to affect future collaborations	M	H	Keep satisfied
Regulatory bodies	Payment, Organisation reputation, Compliance with law and regulatory guidance	Certification bodies <ul style="list-style-type: none"> Payment Communication Documented system: <ul style="list-style-type: none"> Evidence of improvement Evidence of system compliance -	(+): provide confirmation that the TRE is compliant, indirectly increases user trust, source of support and knowledge (-): Potential for losing certificate, possible suspension of service/closure/legal action against TRE for failing to meet requirements.	M	H	Keep satisfied
Suppliers	Secure sales Obtain reference site	Clear requirements Payment (value and timeliness) Good communication / single point of contact Ability to refer other prospects to leading-edge project	(+): Source of equipment, consumables and services, provide support, skills and knowledge, call-out to fix repairs (-): personnel may have access to restricted areas, outsourced	L	M	Keep on side

Stakeholder	Goals, Motivation and Interests	Needs & Expectations (Explicit or inferred TRE requirements)	Stakeholder provides (potential positives and negatives)	Interest (L,M,H)	Power (L,M,H)	Management Strategy
			processes/services will require supplier audit			
Open source community	Increase own reputation, avoid legal liability, increase use of open-source software	Contributions back from TRE where these are of use to the wider community	(+): Source of cheap, reliable software and free (though erratic) support. (-): Software may be buggy or incomplete, support responses may be poor or deliberately incorrect.	L	L	General communication

5. Cross-referenced ISMS Documents

Number	Type	Title
<NO DATA>	<NO DATA>	<NO DATA>

6. Appendices

None