

**POLICY AND GUIDANCE**

**Do not Photocopy**

**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** |

Table of Contents

[1. Purpose 3](#_Toc256000006)

[2. Scope 3](#_Toc256000007)

[3. Responsibilities 3](#_Toc256000008)

[4. Stakeholder Analysis 4](#_Toc256000009)

[5. Cross-referenced ISMS Documents 11](#_Toc256000010)

[6. Appendices 11](#_Toc256000011)

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.

1. Scope

All stakeholders of the ISMS

1. Responsibilities

There are no additional responsibilities specific to this guidance document.

1. Stakeholder Analysis

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



| **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:   * 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:   * Secure data analytic environment * Reliability & integrity of datasets * Availability of service * Deliverables * Retention of data * Collaboration   Support:   * System training * Response to issues * Resolution of issues * System development   Communication:   * Notification of downtime * Notification of opportunities * Notification of issues   Efficiency:   * Access to account * Provision of VM * Validating code | (+): 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 or analysis reflecting badly on the TRE. | H | H | Actively manage |
| Funders  (MRC, Researchers etc…) | Scale and accelerate research,  Make new knowledge discoveries, increase reputation with peers | Deliverables:   * 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:   * Regulatory bodies & Law * University policy   Contribution to University Goals  Finances  Compliance:   * 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,  Reduce costs/improve pathways,  Social responsibility, improve reputation with NHS funders and patients | Compliance:   * Robust system * Robust and appropriate controls   Reputation:   * Reliable and trustworthy   Ease of collaboration:   * Easy to supply data in a form the NHS can extract | (+): Provides access to data records, collaboration, contacts, opportunities.  (-): Withdrawal of N3 connection, possibility of legal action for misuse/mismanagement of data | L | H | Watch |
| TRE Management  (ISSG) | Maintain reputation,  Achieve objectives,  Secure TRE future | System compliance:   * Reporting issues * Following procedure/policy * Improvements * Validation: * In-house services * Supplied services   System data:   * Management review * Evidence of compliance   Competent staff   * 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:   * 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.)  (-): Potential for deliberate/accidental damaging actions | H | H | Actively manage |
| TRE (organisation) | Secure future for the organisation,  Funding opportunities,  Collaboration,  Social responsibility,  Growth of customer/user base | Reputation:   * 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 |
| Dataset providers | Further research,  Collaboration,  Share existing resources,  Future opportunities,  Share knowledge,  Widen dataset,  increase own reputation | Collaboration:   * With TRE * With other researchers   Non-distribution/duplication of property  Operate within ethics  Communication:   * 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   * Payment * Communication * Documented system: * 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 processes/services will require supplier audit | L | M | Keep on side |
| 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 |

1. Cross-referenced ISMS Documents

|  |  |  |
| --- | --- | --- |
| Number | Type | Title |
| <NO DATA> | <NO DATA> | <NO DATA> |

1. Appendices

None