Stakeholder engagement: tools & methods

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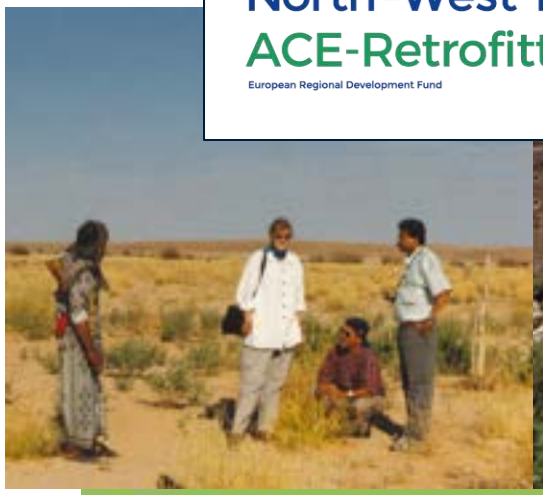
Interreg
North-West Europe
ACE-Retrofitting
European Regional Development Fund



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Food and Agriculture Organization of the United Nations

Regional Sustainable Development:
Barriers in Practice
Findings from policy, citizens, practitioners and monitoring

EINDRAPPORT VOORSTUDIE MAASTRICHT
KLIMAATNEUTRAAL IN 2030

Op weg naar een Energieakkoord Maastricht

Maastricht University

Outline

- ISO 27001:2022 and stakeholders
- Who are the stakeholders?
  - 2 exercises: identification and mapping of stakeholders
- How to engage stakeholders?
  - 1 exercise: preparing questions

GOAL: to provide some ideas and hands-on experience to identify and engage with stakeholders

ISO 27001:2022 and stakeholders

How are stakeholders mentioned in ISO27001?

ISO 27001:2022 and stakeholders

- ISO27001: standard for information security management systems (ISMS)
- Chapter 4.1: Understanding the organization and its context

  The organization shall **determine** external and internal issues that are **relevant to its purpose** and that **affect its ability** to achieve the intended outcome(s) of its information security management system.

ISO 27001:2022 and stakeholders

- 4.2: Understanding the needs and expectations of **interested parties**
- The organization shall **determine**:

  a) **interested parties** that are **relevant to the information security management system**

  b) the **relevant requirements** of these **interested parties**;

  c) which of these requirements will be addressed through the information security management system.
- NOTE The requirements of interested parties can include **legal and regulatory requirements and contractual obligations**.

ISO 27001:2022 and stakeholders

- 9.3.2: Management review inputs
- The management review shall include consideration of:

a) the status of actions from previous management reviews;

b) changes in external and internal issues that are relevant to the information security management system;

c) **changes in needs and expectations of interested parties** that are relevant to the information security management system;

d) feedback on the information security performance, including trends in:

1) nonconformities and corrective actions;
2) monitoring and measurement results;
3) audit results;
4) fulfilment of information security objectives;

e) **feedback from interested parties**;

f) results of risk assessment and status of risk treatment plan;

g) opportunities for continual improvement.

ISO 27001:2022 and stakeholders - summarised

- Determine **who** these interested parties are
- Determine what they **want, need and expect**
- Determine **changes** in those wants, needs and expectations
- Obtain **feedback** from interested parties

To the extent that this **affects an organization's ability** to achieve the intended outcome(s) of its information security management system.

These “Interested Parties” are your stakeholders

When working with stakeholders, there are typically 2 elements of importance:

- Who are the stakeholders?
- How can we engage them to get the results we need?

Who are the stakeholders? A definition

Freeman and Reed (1983, p.91) “an individual or group who **can affect** the achievement of an organisation’s objectives or who **is affected by** the achievement of an organisation’s objectives”

They include persons; neighborhoods; institutions; groups; organisations; society; and the environment (Mitchell et al., 1997).

Brenn, S. & Abratt, Russell & O'Leary, B.. (2016). Defining and identifying stakeholders: Views from management and stakeholders. South African Journal of Business Management. 47. 1-11. 10.4102/sajbm.v47i2.55.

Who are the stakeholders?

How would you try to identify your stakeholders?

https://as2.ftcdn.net/jpg/01/39/06/21/220_F_139062107_09UuoSUkJfkI6VqxGR0225mU2pyGepqU.jpg

Who are the stakeholders? 6 steps

1. Problem formulation/scope
   who can affect my ability to achieve the intended outcome(s) of my information security management system? (ISO27001)
2. Identification of stakeholders
   who are the people and organisations that I am dealing with (internal and external: clients, subcontractors, government, auditor, ICT department, management team, other employees, etc)?
3. Mapping formal relations
   what are the formal hierarchies and authorities my organisation is dealing with (AP, ISO27001, ISACA, management of your organisation, shareholders, etc) ?
4. Stakeholder characteristics
   What are the interests, objectives, perceptions and resources of my stakeholders?
5. Interdependencies between stakeholders
   which stakeholders can help or hinder me?
6. Important findings of steps 2-5 that influence the problem

Enserink, B. et al. (2022). Policy Analysis of Multi-Actor Systems – online edition.
DOI: https://doi.org/10.5074/T.2022.004

Who are the stakeholders? Exercise 1

Problem formulation/scope

who can affect my ability to achieve the intended outcome(s) of my information security management system? (ISO27001)

Identification of stakeholders: Brainstorm and ask yourself:

- Who influences your company, product, information security?
- Who is affected by your company, product, information security?
- Think of (and be specific!):
  - Who is involved **within** my organisation? ICT department, management team, other employees, etc.
  - Who is involved **outside** my organisation? clients, shareholders, subcontractors, government, auditor, etc.
  - Who has a **formal role**? AP, ISO27001, ISACA, management, shareholders

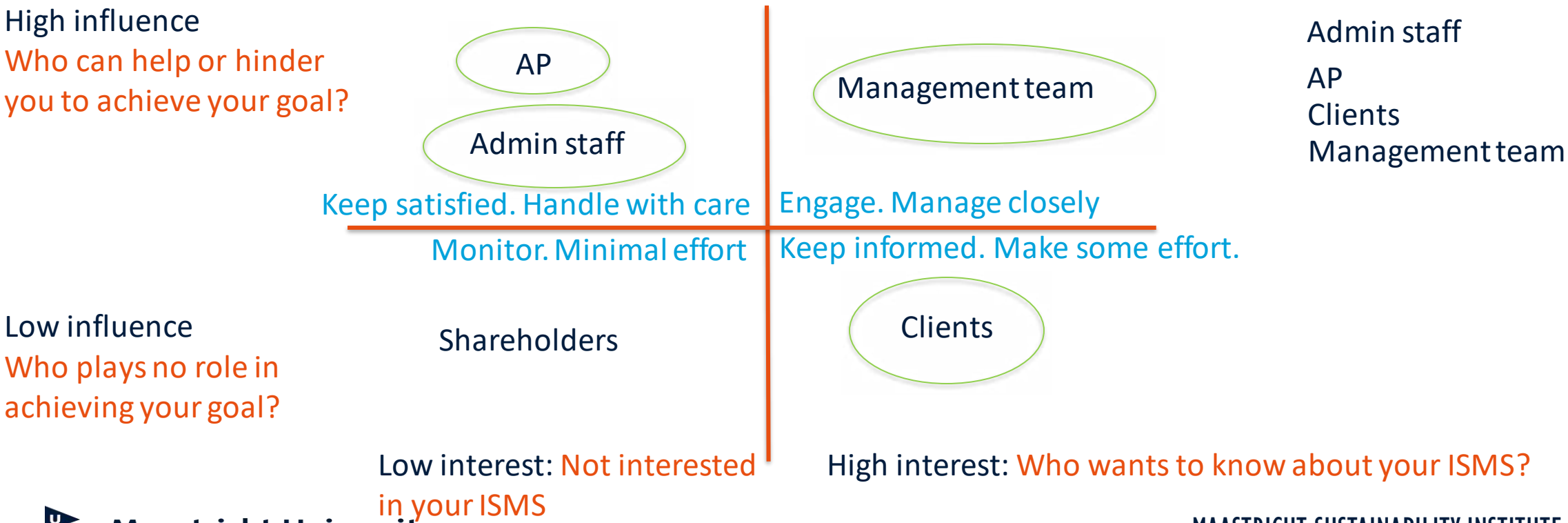
Reporting back

- What did you find?
- Questions?

Who are the stakeholders? Exercise 2

GOAL: who can affect my ability to achieve the intended outcome(s) of my information security management system? (ISO27001)

- We can't talk with everyone. Who should we focus on?
- Interest/influence matrix



Shareholders
Admin staff
AP
Clients
Management team

Based on Enserink, B. et al. (2022). Policy Analysis of Multi-Actor Systems – online edition.
DOI: https://doi.org/10.5074/T.2022.004

Reporting back

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ISO 27001:2022 and stakeholders - summarised

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How to engage stakeholders?

- Be prepared
- Show appreciation for their involvement

- Above all: determine what you want to get out!

How to engage stakeholders? Setting your goal

GOAL: who can affect my ability to achieve the intended outcome(s) of my information security management system? (ISO27001)

- Determine what they **want, need and expect**
- Determine **changes** in those wants, needs and expectations
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Your goal determines your approach

How to engage stakeholders? Which approach

	Interview	Focus group	Survey
Do you need to find out what your stakeholders want, need and expect?	✓	✓	
Do you have a good idea what your stakeholders want, need and expect and you want to update?	✓	✓	✓
Do you want their feedback?	✓	✓	

How to engage stakeholders? Interviews

- Collect qualitative data
- Structured/**semi-structured**/unstructured
- In-depth information, single perspective
- Information in its context
- Provides equal time to all interviewees
- Easier to control than a focus group

- Time-consuming
- Interviewer bias
- Difficult to quantify/generalise

R. Hall (2020). Mixing methods in social research; qualitative, quantitative and combined methods. Sage publishing. 257 pp.

How to engage stakeholders? Focus groups

- Collect qualitative data on a specific topic
- Group of participants guided by questions to understand a range of viewpoints, not to reach consensus
- New topics may come up
- Fast way of getting a lot of in-depth information
- Information in its context
- Multiple perspectives

- Skilled facilitator
- Some participants may not participate
- Some may be dominant
- Group may veer away to off-topic discussions

R. Hall (2020). Mixing methods in social research; qualitative, quantitative and combined methods. Sage publishing. 257 pp.


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How to engage stakeholders? Surveys

- Quantitative data on topics we know about
- Easy to reach out to many people at the same time
- Large sample -> generalisable
- Software should be GDPR compatible!

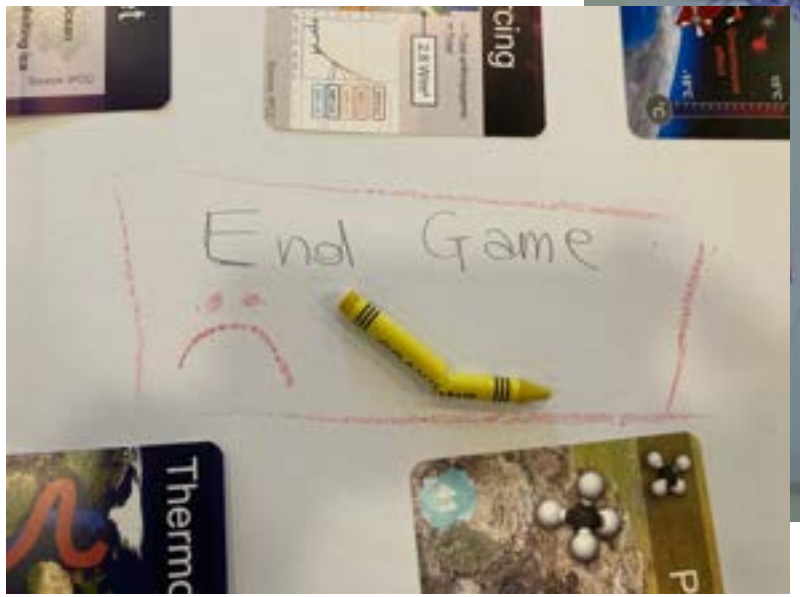
- Lack of response
- Error of non-observation
- Self reported information (social desirability)
- In isolation from the context
- No cause-effects but correlations

R. Hall (2020). Mixing methods in social research; qualitative, quantitative and combined methods. Sage publishing. 257 pp.

How to engage stakeholders? Practicalities for all 3 approaches

- Prepare consent form
  - Purpose of study
  - What will be done with data
  - Where to complain
  - How to opt out
- Good questions: the interview script
  - Purpose of every question
  - Unbiased
  - In understandable language, no jargon
  - Tested (e.g. with your colleagues)


EGALITARIAN
GREEN MOZA
NORMAS AMBIENTAIS
100%
EDUCAÇÃO AMBIENTAL
IMPLEMENTAÇÃO DAS NORMAS AMBIENTAIS
AGRIC. BIOLOG.
AGRIC. CONSERV.
0%
EQUALITY
SUSTENTA-
SAÚDE GRÁTIS
TECNOLOGIA


End Game

How to engage stakeholders? Practicalities for interview

- Prepare
  - Goal
  - Intended result
  - Make appointments
  - What is needed (consent form, interview script, recording equipment, etc)

How to engage stakeholders? Practicalities for focus group

- Prepare a workshop script (detailed to-do list)
  - Goal
  - Intended result
  - Date
  - No of participants foreseen
  - Send invitations
  - Organise room and catering
  - Room setting
  - Timeline for the event itself
  - What is needed (consent forms, facilitators, interview script, recording equipment, post its, flipchart, pens, etc)

How to engage stakeholders? Analysis of data

- Focus group/interview:
  - save recording
  - note down what was said about the topics discussed
  - summarise
  - interpret (what does this mean for your ISMS)
- Survey:
  - mainly descriptive statistics seems sufficient
  - which stakeholder groups are present
  - are answers similar/dissimilar
  - interpret (what does this mean for your ISMS)

How to engage stakeholders? Exercise 3:

- **Purpose of every question**
- **Unbiased**
- **In understandable language, no jargon**
- **Tested (e.g. with your colleagues)**

GOAL: who can affect my ability to achieve the intended outcome(s) of my information security management system? (ISO27001)

Sub-goal: Determine what the stakeholders **want, need and expect**

- Want = what do they desire from your ISMS
- Need = what is vital for them regarding your ISMS
- Expect = what do they think you will provide regarding your ISMS

➢ Think of an internal and an external stakeholder
  - Secretariat, HR, IT
  - Client, supplier, auditor

➢ Prepare a question for each of these topics for each stakeholder

➢ What kind of answers do you expect?

Reporting back

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- Questions?

ISO 27001:2022 and stakeholders: you can do it!

- ✓Determine **who** these interested parties are
- ✓Determine what they **want, need and expect**
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To the extent that this **affects an organization's ability** to achieve the intended outcome(s) of its information security management system.

THANK YOU

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