Capability Maturity Assessment

Name of organisation

Assessment period:

Prepared by:

# Introduction

**Purpose**

The capability maturity model (CMM) assists your organisation to assess your current capability across a number of protective security dimensions, identify capability levels that are appropriate to the security risks you face, and to identify some of the ways in which capability could be lifted.

The PSR Moderation Framework should be used when reviewing your organisation’s security capability. It provides guidance on the types of evidence of policy and practice expected at the different maturity levels.

This template is provided for agencies internal use to assess their protective security capability maturity assessment each year as part of their annual PSR self-assessment annual process.

This material is used as input to assessing your organisation’s compliance against the PSR Mandatory Requirements.

Summary information from this template will need to be copied into the PSR Self-Assessment Report.

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# Summary of our capability maturity

The table and diagram below shows our overall current capability maturity and targets across all CMM dimensions.

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**Key: Maturity Levels**

|  |  |  |  |
| --- | --- | --- | --- |
| **1 INFORMAL** | **2 BASIC** | **3 MANAGED** | **4 ENHANCED** |

### Key findings from the CMM assessment

In this section, summarise your key findings from the assessment undertaken this year. Which CMM dimensions has the capability maturity changed (up or down) and why? What contributed to the changes? What are you doing to maintain the current capability levels?

These findings should be included in the Summary for the Chief Executive section of the PSR Self-Assessment Report for the year. Include any CMM evidence sited that demonstrates your capability under relevant mandatory requirements.

### Recommended actions for next 12 months

In this section, summarise your recommended actions for the next year. What are the priorities for capability improvement to mitigate key risks your organisation faces?

The actions should be included in the Summary for the Chief Executive section of the PSR Self-Assessment report for the year.

# Capability maturity dimensions

Assess your protective security capability across 12 dimensions and 4 maturity levels. While the 20 mandatory requirements are ‘baseline’ objectives, the CMM model helps all types of organisations (organisations facing different types and levels of security risk) to set maturity targets based on their **own** security risk profile.

For each dimension enter one of the following maturity levels into the tables below. Choose the level which best represents your organisation. Further clarity and guidance on each of the 12 dimensions can be found in the Capability Maturity Model for Protective Security at [protectivesecurity.govt.nz](http://www.protectivesecurity.govt.nz)/self-assessment-and-reporting



Security is ad-hoc, unmanaged, and unpredictable;   
success relies on individuals rather than processes.

Foundation policies, capabilities and practice are in place, but are mainly reactive and inconsistent.

Security capability adapts to a dynamic high-risk   
operating environment. Security posture is in-line   
with stakeholder expectations.

Risk-based, fit-for-purpose security measures are in place, understood, and consistently followed. Ongoing   
investment is required to sustain measures at this level.

### Leadership and culture

#### Executive commitment and oversight

|  |  |
| --- | --- |
| Current maturity | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | What will you do to achieve this target? |
|  |  |
| Optimal target |
|  |

#### Management structure, roles and responsibilities

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

#### Monitoring and assurance

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

#### Culture and behaviours

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

#### Education and communications

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

### Planning, policies and processes

#### Strategy and planning

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

#### Policies, processes and procedures

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

#### Risk management

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

#### Incident management

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |

|  |
| --- |
| **Optimal target** |
|  |

### Personnel security Knowing who you have working for you and ensuring they are, and remain, suitable.

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

### Information security Showing critical awareness on how to protect information in all its forms

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |

### Physical security Providing a safe and secure physical environment for your people, info and assets

|  |  |
| --- | --- |
| Current capability | Evidence of policy and practice to support this maturity level |
|  |  |
| 12 month target | **What will you do to achieve this target**? |
|  |  |
| **Optimal target** |
|  |