Capability maturity level descriptions
Additions (July 2022)

This table shows new additions (only) to the capability maturity level descriptions.

	DIMENSION	INFORMAL	BASIC	MANAGED	ENHANCED
Leadership and Culture	**Executive commitment & oversight**	No change	• There is awareness of the value of the classification system, information sharing, and declassification and the resources required, but additional resources are needed	• Each aspect of classification system management (including information sharing and declassification) is resourced commensurately with your risk profile, and resourcing may include engaging specialist external expertise	No change
	Management structure roles & responsibilities	No change	• Responsibilities are not assigned for declassification	• Responsibilities for declassification are clearly defined	No change
	Monitoring & assurance	No change	• Performance of your application of the classification system is informally monitored	• You are auditing and recording the quality of classification decisions • You apply evidence-based performance measures to help track and assess the ongoing success of the information sharing and declassification	• You are using performance information to inform and drive continuous improvement in the classification system (government-wide as well as in-agency)
	Culture & behaviour	No change	• While the value of classification is accepted, behaviours displayed by your people do not reflect classification system principles	• Your people regularly review and challenge classification decisions and learn from mistakes	No change

	DIMENSION	INFORMAL	BASIC	MANAGED	ENHANCED
			• Information sharing is limited to regular operational partners, or is adhoc • Your staff may still be reluctant to share information or use the need to know principle to limit information sharing	• Your people make classification decisions that effectively manage the tension between needing to know (withhold) versus needing to share (open) • You understand all the information you hold, and have systems and mechanisms in place to enable sharing to occur with any appropriate partner (including emergency management, communities, and social services) • Your staff understand the value of information sharing and are formally empowered to share information appropriately where of value to other agencies	
	Education & communications	*No change*	• You have some systems in place for undertaking or adopting the new NZ classification system education and training	• Your people receive induction training on the classification system • Your people have access to and receive ongoing classification system refresher training • Appropriate people receive classification system specialist training	• Your people and any service providers are actively engaged in improving classification system education resources to its best advantage, as part of your continuous improvement programme
Planning, policies, and processes	**Strategy & planning**	*No change*	*No change*	• Your protective security planning comprehensively addresses the protection of people, information and assets; and is well informed by the PSR's security lifecycles	*No change*

	DIMENSION	INFORMAL	BASIC	MANAGED	ENHANCED
				and guidance and policy	
	Policies, processes & procedures	*No change*	• You have elements of a classification system (including information sharing and declassification) policies in place, but they're not yet sufficiently supported by documented processes and procedures • You may have a declassification policy but are not yet regularly or proactively declassifying official information	• You have a classification system (including information sharing and declassification) policies, processes, and procedures in place that meet your needs for protecting your people, information, and assets • You have a declassification policy, a documented annual declassification programme, assigned roles, and are regularly undertaking proactive declassification • Information Sharing Agreements and Policies and Procedures empower staff to share appropriately	• Your declassification programme is integrated across government and is oriented towards public value
	Risk management	*No change*	*No change*	*No change*	*No change*
	Incident management	*No change*	*No change*	*No change*	*No change*
Security domains	**Personnel security**	*No change*	*No change*	*No change*	*No change*
	Information security	*No change*	*No change*	• Information or other assets you hold are consistently classified,	*No change*

	DIMENSION	INFORMAL	BASIC	MANAGED	ENHANCED
				marked, accessed, declassified, shared, and handled in line with the New Zealand Government Security Classification System • You have integrated information security and direction on the application of NZ Classification System in your information management and other policies and processes.	
	Physical security	*No change*	*No change*	• Physical assets that are used to secure, process or dispose of classified material are consistently classified, marked, accessed, disposed of and handled in line with the New Zealand Government Security Classification System	*No change*

Evidence of policy, process, and practice requirements
Additions (July 2022)

This table shows new additions (only) to the evidence requirements.

	DIMENSION	EVIDENCE OF POLICY & PROCESS	EVIDENCE OF PRACTICE
Leadership and Culture	**Executive commitment & oversight**	• Classification and Declassification Policy that reflects the updated PSR Guidance 2022	• Classification and Declassification management reports
	Management structure roles & responsibilities	• Roles defined and assigned for your declassification programme	• Update of JDs to reflect declassification, information collection, classification, and information sharing responsibilities
	Monitoring & assurance	*No change*	• Reporting in outcomes of audit and review of classification • Evidence of business change based on classification audit and review • Process for monitoring classification, declassification, information sharing • Audit and review of classification procedures • Chief Archivist and Ombudsman feedback
	Culture & behaviour	*No change*	• Classification System (including Information sharing and declassification) awareness campaign • Information Sharing Plan • Information Sharing culture survey • Measurement of changes in classification rates, volumes of declassification, decrease in complaints, positive ombudsman reporting
	Education & communications	• Education and training materials on the classification system	• Quality measures for classification system education

	DIMENSION	EVIDENCE OF POLICY & PROCESS	EVIDENCE OF PRACTICE
Planning, policies and processes	**Strategy & planning**	*No change*	• Evidence that information is considered a strategic asset in planning and that its use, sharing and release is considered in organisational plans
	Policies, processes & procedures	• Classification system policy/policies including classification and declassification • Information Sharing Agreements • Information Sharing procedures	• Declassification programme in place including assignment of roles • Proactive declassification is in evidence
	Risk management	*No change*	• Effectiveness and efficiency audits of information management practices including the application of the classification system are undertaken. The agency's application of the classification system, as a risk management system, is on the enterprise risk management register and is considered by the audit and risk committee
	Incident management	*No change*	*No change*
Security domains	**Personnel security**	• Delegations and position descriptions for staff include specific consideration of delegation/authority for the sharing of information and tools to support consistent decision making by employees	*No change*
	Information security	• Classification, info sharing, and declassification policy • You have integrated information security and direction on the application of NZ Classification System in your information management and other policies and processes	• Classification, declassification, and information sharing audit reports • Incidents recorded regarding classification, declassification, information sharing
	Physical security	*No change*	• Physical assets that are used to secure, process or dispose of classified material are consistently classified, marked, accessed, disposed of and handled in line with the New Zealand Government Security Classification System