

Local Authority Protective Security & Preparedness Maturity Matrix

Date:

	Level 1: Absent	Level 2: Aware	Level 3: Planning	Level 4: Implementing	Level 5: Evaluating
Governance & Leadership					
Accountability	No consideration of who is accountable for protective security and preparedness, or of who makes decisions in which circumstances (e.g., during normal operations, during a crisis, after an incident), or why this matters.	Recognition of the importance of accountability for protective security and preparedness.	Plans in place to ensure accountability for protective security and preparedness.	Plans for accountability for protective security and preparedness being actioned.	Roles and mechanisms are in place for accountability for protective security and preparedness. Decision making authority is clear and well-established. The effectiveness of these arrangements is subject to review or evaluation.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Clarity of roles & responsibilities	No understanding of who does what in protective security and preparedness.	Recognition of the importance of understanding who does what in protective security and preparedness.	Plans in place to identify or allocate roles for protective security and preparedness.	Plans being actioned for identifying or allocating roles for protective security and preparedness.	Responsibilities for protective security and preparedness at every level and in different circumstances are clear and well understood across the local authority, and this can be shown through evidence or evaluation.
<i>Assessed Level:</i>	<i>Rationale:</i>				

OFFICIAL: SENSITIVE WHEN COMPLETE

	Level 1: Absent	Level 2: Aware	Level 3: Planning	Level 4: Implementing	Level 5: Evaluating
Commitment of time and resources	Senior managers have committed no time or resources to protective security and preparedness.	Senior managers recognise the importance of committing resources to protective security and preparedness.	Senior managers have made a plan to commit time and resources to protective security and preparedness.	Senior managers are allocating time and resources to protective security and preparedness.	Protective security and preparedness are effectively and sustainably resourced in terms of time and budget, and senior managers are evaluating the return on their investment
<i>Assessed Level:</i>	<i>Rationale:</i>				
Integration of security into portfolios	Protective security and preparedness do not feature in any portfolio or department.	Portfolio/department managers/leaders recognise the importance of protective security and preparedness.	Portfolio/department managers/leaders are planning to include protective security and preparedness in their portfolios/departments.	Portfolio/department managers/leaders are in the process of including protective security and preparedness in their portfolios/departments.	Protective security and preparedness are mainstreamed and integrated across departments and portfolios, and implementation of this is being reviewed or evaluated.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Processes for planning, implementation, evaluation and assurance	The authority has no processes in place for planning, implementing and evaluating protective security and preparedness, and no assurance mechanisms.	Senior managers recognise the importance of planning, implementing and evaluating protective security and preparedness, and recognise the value of assurance.	Senior managers are devising ways to plan, implement and evaluate protective security and preparedness and put in place assurance mechanisms.	Senior managers are putting in place processes for planning, implementing and evaluating protective security and preparedness, and for assurance.	Processes are in place for planning, implementing and evaluating protective security and preparedness, are subjected to assurance mechanisms (e.g., internal or external audits), and are reviewed/evaluated for effectiveness.
<i>Assessed Level:</i>	<i>Rationale:</i>				

	Level 1: Absent	Level 2: Aware	Level 3: Planning	Level 4: Implementing	Level 5: Evaluating
Partnership & Engagement					
Managing implementation	Authorities have no relationship with people and organisations with a responsibility for protective security and preparedness.	Authorities are aware of who and which organisations with a responsibility for protective security and preparedness.	Authorities are planning how to partner with organisations with a responsibility for protective security and preparedness.	Authorities are in the process of partnering with organisations responsible for protective security and preparedness.	Authorities are actively managing partners with a responsibility for protective security and preparedness and evaluating or reviewing their effectiveness.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Stakeholder relationships	Authorities have no relationship with stakeholders with an interest in protective security and preparedness.	Authorities are aware of which people and organisations have an interest in protective security and preparedness.	Authorities are planning how to manage stakeholders with an interest in protective security and preparedness.	Authorities are in the process of managing stakeholders with an interest in protective security and preparedness.	Authorities are actively managing stakeholders with an interest in protective security and preparedness and evaluating or reviewing the effectiveness of stakeholder management.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Communication	Authorities are not communicating on protective security and preparedness.	Authorities are aware of the importance of communicating to stakeholders on protective security and preparedness.	Authorities are developing communications plans on protective security and preparedness.	Authorities are implementing communications plans on protective security and preparedness.	Authorities are communicating effectively on protective security and preparedness to the full range of stakeholders and reviewing/evaluating effectiveness of communications.
<i>Assessed Level:</i>	<i>Rationale:</i>				

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Feedback	Authorities have no interest in or way of receiving feedback on protective security and preparedness.	Authorities are aware of the value of feedback on protective security and preparedness.	Authorities are developing plans to seek and use feedback on protective security and preparedness.	Authorities are implementing plans to seek and use feedback on protective security and preparedness.	Authorities actively seek and use feedback on protective security and preparedness and are reviewing/ evaluating the effectiveness of feedback mechanisms.
<i>Assessed Level:</i>	<i>Rationale:</i>				

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Information Management					
Information on locations	Authorities have no information protective security and preparedness in their areas (location, ownership, vulnerabilities etc.).	Authorities are aware of the importance of receiving and using information on protective security and preparedness in their areas.	Authorities have plans for receiving and using information on protective security and preparedness in their areas.	Authorities are implementing their plans for receiving and using information on protective security and preparedness in their areas.	Authorities regularly and routinely receive information on protective security and preparedness in their areas, including vulnerabilities and mitigations, use this information for protective security objectives, and review/evaluate their effectiveness.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Information on threats	Authorities have no interest in/awareness of threat information or its importance/relevance to protective security and preparedness.	Authorities are aware of the importance and relevance of threat information to their responsibilities for protective security and preparedness.	Authorities have plans to obtain and use threat information for protective security and preparedness.	Authorities are implementing their plans to obtain and use threat information for protective security and preparedness.	Threat information is used effectively to support protective security and preparedness at strategic, tactical and operational levels, and the value and use of information is being reviewed or evaluated.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Information on vulnerabilities	Authorities have no interest in/awareness of vulnerability information or its importance/relevance to protective security and preparedness.	Authorities are aware of the importance and relevance of information on vulnerabilities of protective security and preparedness in their areas.	Authorities have plans to obtain and use information on vulnerabilities in protective security and preparedness in their areas.	Authorities are implementing plans to obtain and use information on vulnerabilities in protective security and preparedness in their areas.	Authorities have accurate, up-to-date and comprehensive information on vulnerabilities of protective security and preparedness in their areas, which is periodically reviewed.
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<i>Mechanisms for reporting</i>	No mechanisms for reporting on protective security and preparedness exist.	Authorities are aware of the importance of reporting to national and local stakeholders on protective security and preparedness in their areas.	Authorities have plans to report to national and local stakeholders on protective security and preparedness in their areas.	Authorities are implementing plans to report to national and local stakeholders on protective security and preparedness in their areas.	Authorities regularly report to local and national stakeholders on protective security and preparedness in their areas and review the value and use of their reporting.
<i>Assessed Level:</i>	<i>Rationale:</i>				

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Risk & Incident Management					
Threat assessment	No threat assessment relating to protective security and preparedness is undertaken.	Authorities recognise the importance and value of threat assessment relating to protective security and preparedness in their areas.	Authorities have plans for threat assessments relating to protective security and preparedness in their areas.	Authorities are implementing plans for threat assessments relating to protective security and preparedness in their areas.	Threat assessments are routinely conducted for protective security and preparedness in the area, with the results fed into risk management processes.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Risk analysis	No risk analysis relating to protective security and preparedness is undertaken.	Authorities recognise the importance and value of risk analysis relating to protective security and preparedness in their areas.	Authorities have plans to conduct risk analysis relating to protective security and preparedness in their areas.	Authorities are implementing plans to conduct risk analysis relating to protective security and preparedness in their areas.	Risk analysis is routinely conducted for protective security and preparedness in the area, and the results used to determine responses.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Risk management response	There are no responses to identified risks relating to protective security and preparedness in the area.	Authorities are aware of the importance of acting on identified risks relating to protective security and preparedness in the area.	Authorities have developed plans for ensuring that they or their partners act on identified risks to protective security and preparedness in their areas.	Authorities are acting on plans for ensuring that they or their partners act on identified risks to protective security and preparedness in their areas.	Authorities routinely respond to identified risks relating to protective security and preparedness in their areas, whether by treating, tolerating or transferring risk.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Incident and crisis response	There are no arrangements in place to manage incidents (such as an attack) or crises (such as a rise in threat level for a specific location).	Authorities are aware of the importance of putting in place arrangements for incident and crisis response.	Authorities have developed plans for incident and crisis response.	Authorities are implementing plans for incident and crisis response.	Authorities have in place arrangements to manage incidents and crises, which are well-established and periodically reviewed or evaluated for effectiveness.
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Recording and reporting	There are no mechanisms for recording and reporting risks to protective security and preparedness, or recognition of the importance of this.	Authorities are aware of the importance of recording and reporting on risks to protective security and preparedness in their areas.	Authorities have developed plans to record and report on risks to protective security and preparedness in their areas.	Authorities are acting on plans to record and report on risks to protective security and preparedness in their areas.	Authorities have in place arrangements to record and report on risks to protective security and preparedness in their areas, and reports are routinely used to evaluate effectiveness and make improvements.
<i>Assessed Level:</i>	<i>Rationale:</i>				

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Culture & Awareness					
Security culture	Security does not feature in the authority's dealings with protective security and preparedness.	Authorities are aware of the importance of fostering a security culture internally and in organisations responsible for protective security and preparedness in their areas.	Authorities have plans for fostering a security culture internally and in organisations responsible for protective security and preparedness in their areas.	Authorities are implementing plans for fostering a security culture internally and in organisations responsible for protective security and preparedness in their areas.	There is a strong security culture within the authority and in implementing organisations responsible for protective security and preparedness, which the authority periodically reviews or evaluates.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Awareness	There is no awareness of the need to protect the public from security threats, the role of local authorities in protective security and preparedness, or of possible attack methods.	Authorities are aware of the need to protect the public from security threats, the role of local authorities in protective security and preparedness, and of possible attack methods.	Authorities have plans to increase awareness of the importance of protecting the public, the role of local authorities in doing so, and of attack methods.	Authorities are implementing plans to increase awareness of the importance of protecting the public, the role of local authorities in doing so, and of attack methods.	There is widespread and strong awareness of the importance of protecting the public, of the role of local authorities, and of attack methods, and plans to further enhance this awareness.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Proportionality	There is no sense of proportionality in terms of what needs to be done to manage protective security and preparedness in the area.	Authorities are aware of the need for proportionate responses to risks protective security and preparedness in the area.	Authorities have plans to ensure proportionality in responding to risks to protective security and preparedness in the area.	Authorities are implementing plans to ensure proportionality in responding to risks to protective security and preparedness in the area.	Protective security and preparedness are proportionate to the assessed risk, and the authority has mechanisms to review and evaluate the proportionality of responses.
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Exercising & Learning					
Testing and exercising	There is no awareness of the need for/value of testing and exercising processes and responses.	Authorities recognise the need for/value of testing and exercising processes and responses.	Authorities have plans for testing and exercising processes and responses.	Authorities are implementing plans for testing and exercising processes and responses.	Authorities periodically test and exercise process and responses, and use the results to identify gaps and vulnerabilities, and act on the conclusions drawn.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Identifying and acting on gaps and vulnerabilities	Authorities do not identify gaps and vulnerabilities in processes and responses, and do not see the need to do so.	Authorities recognise the need for identifying and acting on gaps and vulnerabilities in processes and responses.	Authorities have plans for identifying and acting on gaps and vulnerabilities in processes and responses.	Authorities are acting on plans for identifying and acting on gaps and vulnerabilities in processes and responses.	Gaps and vulnerabilities in processes and responses are systematically identified and acted on, and authorities periodically review and evaluate their effectiveness in doing so.
<i>Assessed Level:</i>	<i>Rationale:</i>				
Learning and improving	There is no learning from experience, good practice or threat information in relation to protective security and preparedness.	Authorities recognise the need to learn from experience, good practice and threat information in relation to protective security and preparedness, and to use the learning to improve.	Authorities have plans to learn from experience, good practice and threat information in relation to protective security and preparedness, and to use the learning to improve.	Authorities are acting on plans to learn from experience, good practice and threat information in relation to protective security and preparedness and use the learning to improve.	Authorities have well-established processes and practices to learn from experience, good practice and threat info in relation to protective security and preparedness, which they routinely use to improve performance.
<i>Assessed Level:</i>	<i>Rationale:</i>				