Change Toolkit:
How to adopt the Classification System

July 2022

PSR | Protective Security Requirements
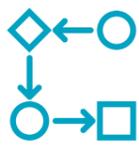
This guide provides basic guidance to support agencies to successfully implement and adopt the New Zealand Government Information Security Classification System (Classification System). The guidance acknowledges that different agencies have different levels of experience, capacity and capability in delivering change.

This change toolkit provides a basic set of guidance that is applicable to all agencies. While most agencies have highlighted a need for some level of support, the support required varies a great deal between agencies.

• At the low end, some agencies only need clear guidance and education materials and have all the necessary capability to roll this out themselves.

• At the high end, some agencies may need more specific help with tools, templates and processes.

The purpose of this document is to provide agencies with an understanding of the broad change management steps that **any** organisation should take to give the best possible chance of success/adoption.

It is not intended to be prescriptive or to deliver a comprehensive set of change management tools.

Agencies should use what guidance is most relevant and useful to them.

**PSR** | Protective Security Requirements
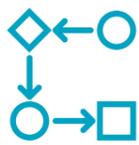
This guidance contains two tools: an **organisational assessment** and **communications guidance.**

This allows agencies to assess their current maturity in using the Classification System, agree their future maturity and identify what high level changes they will need to make.

The assessment is specifically targeted at assessing maturity in using the Classification System.

The organisational assessment is tailored to classification system adoption and is applicable to all agencies. This provides an objective basis for agencies to assess their current maturity and assess whether this is adequate.
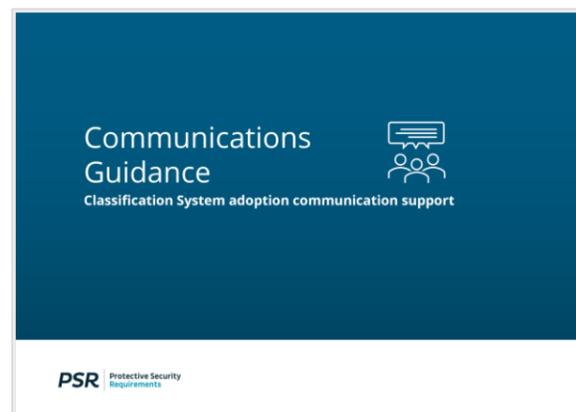
This provides some support for agencies to consider:

• What groups of people in their organisation will be affected by implementing the classification system

• What is the best way to communicate with them

• What they should feel, think and do after the policy is fully implemented.

The communications guidance provides basic support for agencies looking for help in how to deliver culture change surrounding the classification system. Agencies with specialist resources and capability in delivering change can use their own resources and methodology.

Organisational Assessment

Understanding the change needed within your organisation

The Classification System vision is to enable stewardship of government information for the benefit of all New Zealanders.

To support the vision, agencies need to understand their organisation's current capability in the use of the Classification System and the barriers and challenges to achieving the vision, then provide targeted training and communications.

The Organisational Assessment will help agencies to understand where they and their people sit regarding capability and use of the Classification System. By identifying current capability-levels, it will allow agencies to understand the effort required to change and improve their current practices.

We have no dedicated staff to manage information management and classification matters. These policy changes are beyond our capability.

I already wear three different hats in my organisation, and we do not have any relevant change management experience.

We're experienced in handling classified information, but may need to review our risk appetite for sharing information.

I'm an information manager with resources and will mostly be able to manage these changes without difficulty.

Our classification practices are sporadic, implementing a change will require new ways of working.

Implementing this change will not present any challenges for our teams.

LOW CAPABILITY/EXPERIENCE → **HIGH CAPABILITY/EXPERIENCE**
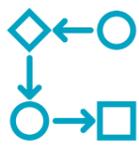
☆ Ratings of your organisation

Understanding current state

You need to understand the baseline of your organisation to ensure you can understand the amount of change required for this work.

Use the survey and the organisation assessment to understand the baseline.

? Understand what is needed

Planning for the change

The organisational assessment includes three likely change approaches:

1. **Clear investment of time and resources to achieve the full benefit of this change (similar to any other change your organisation would undertake in this space)**

   This applies to organisations with a larger capability gap and suggests that improving capability in this area will require specific investment in time and resources. Change of this nature is more likely to be successful if delivered as a formal project with appropriate disciplines and governance.

2. **Change can be achieved with current experienced resources and clear communications**

   This applies to organisations who have some existing capability but have room for improvement. Organisations may chose to 'projectise' how they deliver this improvement but should be capable of delivering change through their existing resources.

3. **Change requires clear communications of the difference between the current and future state and how to move people through the spectrum of change**

   This applies to organisations with high levels of capability. Small improvements are expected through reinforcement and communication and should not require explicit or additional instruction.

🎬 Action

Next Steps

Get it done!

Rating your organisation

Step 1:

Have your people complete a survey

- We have assumed that most agencies should have access to Microsoft forms or some type of survey platform e.g. SurveyMonkey

- The survey needs to be designed to draw out where your people sit on a scale of 1–5 (1 = low capability; 5 = high capability).

- This will then provide you with the ability to target individuals or target an average score across your organisation.

- Working with individuals will give you the best chance of success but is more labour-intensive.

Step 2:

Map your people's results against the assessment table

- You can use the organisational assessment in this guide to understand where your people sit and what likely approach you will need to take to ensure the successful adoption of this change.

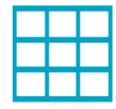## Capability Survey / Example

Low — Capability — High

A   **I know how to classify information**

This measures whether people know how to classify information correctly

1   2   3   4   5

B   **I am confident in using the classification system**

This measures whether people are confident applying the classification system in their workplace

1   2   3   4   5

C   **I am confident in applying the policies within the classification system**

This measures whether policies are clear and can be applied

1   2   3   4   5

D   **I know who can benefit from the information I create**

This measures whether people understand the value of information sharing

1   2   3   4   5

E   **I know how I share information with relevant people**

This measures whether people feel confident to share information appropriately (e.g. policies and procedures are available)

1   2   3   4   5

F   **I know whose information I can benefit from**

This measures whether people are considering information sharing beyond their own organisation

1   2   3   4   5

G   **I know how I receive information from them**

This measures whether people are actually able to receive information easily (e.g. are technology and procedures enabling?)

1   2   3   4   5

H   **I trust others with information I have**

This measures whether people are willing to share

1   2   3   4   5

I   **I feel information I access is classified correctly**

Information that I access is not over or under classified 1 being never classified correctly and 5 being always classified correctly

1   2   3   4   5

J   **I know how to handle and protect classified information**

This measures whether people are actually able to apply the proper security measures for the different levels of classified information

1   2   3   4   5

Mapping results to the organisational assessment

Off the back of the survey, you will get an average score between 1 and 5 from each question. Map these results to the table on the following page to get an indication of your likely maturity.

Is there anything else you would like us to know?

This picks up any individual comments that may inform how you deliver this change

Based on your survey results, map your average score against the fields below to understand your organisation's maturity. The organisational assessment will help you understand where your agency and people sit regarding capability and use of the classification system.

ORGANISATIONAL USAGE (Vertical Axis) — HIGH / LOW

Always used — Focus: "Improve"

Individual does not understand what the classification system is, what the policies and standards are, when and how to apply these and why they should use the classification system. Perhaps they are new to the organisation. The organisation though has extensive experience and systems. **3 4**

Individual is fully aware that the organisation is using the classification system and why they should be, but does not have the confidence to consistently or accurately apply the policies and standards. **4 5**

Individual uses the classification system and has confidence that they are consistently and accurately applying the policies and standards as intended. **5**

Optional — Focus: "Extend"

Individual does not understand what the classification system is, what the policies and standards are, when and how to apply these and why they should use the classification system. The organisation uses the classification system in limited or specific circumstances. **2 3**

Individual uses the classification system in some specific circumstances but are not confident that they can consistently and accurately apply the policies and standards. **3 4**

Individual uses the classification system in organisationally-specific contexts and can accurately apply the policies and standards in certain circumstances. **4 5**

Not used — Focus: "Build"

Individual does not understand what the classification system is, what the policies and standards are, when and how to apply these and why they should use the classification system. The organisation uses the classification system rarely or never. **1 2**

Individual has used the classification system before but possibly not at this organisation. The organisation has little classification policy, processes or systems in place. **2 3**

Individual has considerable experience with the classification system though it is not within this organisation. These individuals could become champions and help build organisational capability. **3 4**

No to low experience — Focus: "Educate"

Some experience — Focus: "Build confidence"

Experienced — Focus: "Build champions"

PERSONAL CAPABILITY — LOW / HIGH

FRAMEWORK KEY

ORGANISATIONAL USAGE (Vertical Axis)

Always used

Agencies who consistently use the classification system across all parts of their organisation. The focus of the change is on improving capability.

Optional

Agencies that sometimes use the classification system and/or inconsistently apply it across their organisation. The focus of the change is on extending the capability more widely across the agency.

Not used

Agencies that have minimal to no use of the classification system. The focus of the change is on building new capability.

PERSONAL CAPABILITY (Horizontal Axis)

No to low experience

Individuals who have no or low experience or exposure to the classification system. The focus of the change is on building base knowledge and educating.

Some experience

Individuals that know about the classification system but do not confidently use it. The focus of the change is on extending knowledge and building people's confidence.

Experienced

Individuals that consistently and accurately use the classification system. They know what the classification system is, when and how to use it, and why it important to do so. The focus of the change is on building champions who will aid the agency in fully adopting the system and achieving the outcomes.

PSR Protective Security Requirements

Understanding what is needed

Based on where your organisation's maturity and use is, below is a high-level overview of potential approaches and action you can take to achieve the change required . . .

Low maturity and use
Focus on the basics 1 - 3

This applies to organisations with low capability and suggests that improving capability in this area will require specific investment in time and resources.

Approach

Organisations should focus on building a foundational knowledge of the classification system.

What's needed:

- Establish classification policies and procedures

- Assign individual responsibilities to build and support users (use or build champions to help build organisational capability)

- Adopt and roll out classification training with all staff

- Re-assess capability, learn, and improve (next column).

Some maturity and use
Identify and target the need 2 - 4

This applies to organisations who have some existing capability but have room for improvement.

Approach

Organisations should identify specific areas where their people are struggling with the classification system and provide targeted training and support to those areas.

What's needed:

- Identify specific gaps in capability (organisational and individual)

- Define a plan for filling gaps which may include changes to governance and leadership, role responsibilities, education, and/or measurement

- Consider adopting, adapting and rolling out standard classification training with all staff to build individual's confidence and achieve consistency of understanding and application

- Deliver focused training, communications and support to those areas of need

- Measure success of the change, learn and improve (next column).

High maturity and use
Culture change and consistency – 4 - 5

This applies to organisations with high levels of capability.

Approach

These organisations will already have good systems and processes. Further improvement will require them to change culture and behaviour to optimise how they manage, protect, and share government information.

What's needed:

- Assess classification culture to reflect both protection and sharing of information

- Promote a learning culture that supports information sharing and transparency

- Identify opportunities for more effective information protection, information sharing, and transparency with partners and across government

- Ensure partner agreements are fit for purpose

- Measure success of the change, learn, and improve.

Communications
Guidance

Classification System adoption communication support

Purpose

The Classification System enables stewardship of government information for the benefit of all New Zealanders. To support and enable the vision, agencies need to understand their organisation's maturity and the barriers and challenges to achieving the vision, then provide targeted training and communication.

The guidance contains three tools:

Moving through change

This uses a behaviour change methodology, based on moving people from initial awareness to 'advocacy'. Change initiatives have been successful when stakeholders begin, without being prompted, to advocate for and to promote the value of this change.

This tool describes five stages of behaviour and describes what people should know, think, feel and do at each stage.

This tool includes examples of how communications should be delivered at each stage and can be used by agencies to confirm if their communications are appropriately targeted.

Know, think, feel and do

This tool outlines what success looks like and what we would expect people to know, think, feel and do if the classification system was operating effectively.

Agencies may chose to use the tool to inform their own communications messages.

SCARF Model

The SCARF model describes five domains that affect how people interact socially. From a change perspective, each domain can give rise to fears and anxieties that can block change from happening.

The slide identifies some concerns for each domain that adopting the classification system may create.

Agencies may use the tool as FAQs, in particular to help managers predict and be prepared for concerns that their staff may have.

Moving through Change

Awareness & Understanding

Know:

All our marketing communications initiatives/activities will be targeted to demonstrate new behaviors, new perspectives – we will affirm why classification is good, and how it supports enabling stewardship of government information for the benefit of all New Zealanders.

Think:

People are aware of the opportunities to use classification tools and resources to support their work, understand how this can make things easier for themselves.

Feel:

An interest, desire, attention for the classification system.

Do:

Promote the positive consequences/effects of utilising the classification system in all government environments. It needs to be viewed and presented as desirable, relevant, and appropriate for organisations and appropriate for their people.

Knowledge & Consideration

Know:

Marketing activity will highlight the benefits of new behavior, and where it can take them (how it can support them). We need to understand any biases that exist towards classification, affirm the principles of best practice.

Think:

People are prepared to take advantage of all the opportunities available through their agency's tools and resources.

Feel:

Supported through this process to make new decisions.

Do:

Promote the benefits of the tools and resources , demonstrate how relevant our tools and resources are to help their work and the value to people. Help them to understand their own 'bias' towards the classification system.

Selection & Action

Know:

At this stage, all our initiatives and activities need to convince people that this is a good thing, and to take individual action. Conversion will require decreasing the behavioral cost of taking action, providing a relevant exchange from the current experience.

Think:

People are taking action and making smarter decisions towards the classification policies.

Feel:

That this is a good thing, and to take individual action.

Do:

Promote all the opportunities in one place (end-to-end). Provide clear directions to support 'conversion' around the classification system.

Satisfaction & Loyalty

Know:

This is about affirming and supporting their new behavior – their decision to use the tools and resources available to them.

Think:

People are beginning to see new possibilities through their own experience of the classification system.

Feel:

They're having confident conversations with other people, leadership, and wider networks around classification.

Do:

Direct and targeted promotions that affirm their choice through follow-up activity and continue to provide tools and resources to support their journey. Keep visible. We will utilise data and reporting to build their confidence to use our tools and resources.

Advocacy & Maintenance

Know:

We're now seeing greater use of our tools and resources, growth in our classification ability, reporting and analysis.

Think:

Our tools and resources are really helping the shift to need to share, to ensure People can 'get their jobs done' and they're talking to others about their excellent experience.

They're exploring other resources and tools available to support their people.

They're working with PSR to improve their tools and resources and making recommendations for new tools and resources to be developed.

Feel:

People are making a difference in the classification ecosystem.

Do:

Utilise stories/positive feedback to develop case studies, customer stories, provide unique access to new developments and promotions. Utilise champions to support more uptake in the classification system.

Know, Think, Feel, Do

Know

I know

The Classification policies will clarify what I need to do, and the classification system training, resources and support will enable correct classification.

Information sensitivity levels may change over time and should be reassessed. We may not always get it right but should keep learning and improving our classification decisions.

My organisations procedures, systems, and tools could help me in real time.

The tools and resources are connected throughout government.

I will be supported by other agencies as well.

More people are building their knowledge of the classification system and the connections between agencies.

Think

I'm thinking

I'm certain about my decision.

I'm excited about the new opportunities and where it will lead me.

I'm confident in my classification capability.

I've got this!

Feel

I'm feeling

I have tools and resources to help me get it right.

I'm making connections to improve my understanding and application of the policies.

This takes away some of my stress.

It is making a positive difference for our people, and for New Zealand.

Do

I'll do

Classification-capable people are eager to help others and are championing the classification system.

I need to and will work with experienced members in my agency to ensure I both protect and share information appropriately, utilising my agency's tools and resources to help with my needs.

More people (and agencies) are fully utilising the classification system, reporting and analysis to support the need to share.

SCARF Model – Example personal reactions and responses

Status

Relates to how we perceive our position in relation to others we have a relationship with such as our boss, peers, direct reports, friends and family. It can include job titles, public and private forms of recognition or criticism, salary and any other aspects associated with status.

What might people say or feel?

- *I'm an expert and you're taking my mana away from me*

Response

- All of your experience and expertise is still relevant. We're just making the system easier
- We still need people to use the mana they have to support and champion the correct behaviors we need to see
- Some people are not experts in this work
- A clear system makes it easier to share information for everyone to be consistent
- We still need professionals to use their judgement and experience
- We're not taking it away from you, we are highlighting the need to share.

Certainty

Relates to how sure we feel about events/people/situations that affect us. The higher the level of uncertainty, the more likely a threat state will be created.

What might people say or feel?

- *I don't know what's happening*
- *I don't know when things are going to happen*
- *I don't know what I need to know*

Response

- We will give you a range of clear guidance materials
- We're rolling out an online training package
- We will deliver additional training and support for subject matters to give additional support to people who will need to lead this change within the organisation.

Autonomy

Relates to the level of control we have over the decisions that affect us. The more autonomous we feel, the more engaged, confident and satisfied we tend to be.

What might people say or feel?

- *You're doing this to me*
- *I can't fit this in with my other work*
- *We do things differently to the stated policies and training*

Response

- New guidance and training materials are available from 1 July 2022
- PSR mandated agencies will not be assessed against this guidance until Oct 2023/Mar 2024 assurance round
- You have time to implement these changes gradually
- Our own policies and procedures will be adapted to cater for the changes in the Classification System policy.
- We have the ability to tailor and contextualise the training modules to our environment.

Relatedness

Concerns the quality of our relationships with others/our sense of belonging. Generally speaking, people like to feel "part of the group".

What might people say or feel?

- *I don't see what my agency's information has to do with anyone else*
- *I don't trust other to protect the information properly*
- *I don't know why or how they will use the information*

Response

- All information needs to be protected appropriately
- We are all part of the public sector
- Having access to the right information at the right time allows all agencies to deliver better services
- Agencies have an obligation to share information where appropriate.

Fairness

Relates to our sense of justice and right and wrong. Our perception of whether we have been dealt with fairly can motivate and keep us engaged or it can move us towards a threat state where we are more likely to respond in a defensive way.

What might people say or feel?

- *It doesn't matter what the policies say, if there is a breach even in good faith, I'm still going to be punished*

Response

- Cabinet have endorsed the need to share information better
- The Capability Maturity Model encourages agencies to take a learning approach to classification decisions
- Existing legislation provides protection for individuals acting in good faith.