

Base Process Library

The TickIT *plus* scheme

Version 1.~~2.1~~ Release 3.0 Released



*IT Quality Management
and Certification*

ISO 9001
ISO/IEC 20000-1
ISO/IEC 27001
PAS 754

ISO/IEC 15504
ISO/IEC 12207
ISO/IEC 15288
ISO 26262



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Preface

TickITplus is today getting more and more popular all over the world. Not only in UK, but also in Sweden, US, Middle East and many other areas this certification scheme is succeeding. TickITplus is the most flexible, multi-level approach to IT quality and certification assessment on the market.

This release of the Base Process Library ~~reflects again incorproate~~ the ~~very latest standards~~ lastest version of ISO/IEC 20000-1:2018 and ~~trends acrossfrom~~ the industry. ~~It achieves again our aim to provide a unifying framework to help users implement integrated management systems that are tailored to meet their business needs.~~

~~It now includes an additional mapping to last major reease of the BPL, also incldes ISO 26262 for automotiveautomotive functional safety. We believe this will bring broader appeal to the TickITplus scheme and reflects, included in the multinational nature of the organizations who currently use it for their process improvement and certificaion needs~~ interim BPL V1.2.1.

Work on the continues to evolve the Base Process Library mapping to internaltion stndards with candidates being considered such as ISO 15288 & ISO 12207 as formal mappings. These standard were used to fundermentally create the initial BPL, but it is becoming clear that a clear mapping to the latest version of these would be wlecomed. Other standards being considered include the more general safety standard ISO 61508, AS9115 for software in the aerospace sector and ISO ??? for medical device software.



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Introduction

1 Overview

This is the baseline document for the TickIT*plus* Base Process Library (BPL), and it is also part of the initial baseline documentation set for TickIT*plus*. It details:

- Scope Profile to process mapping.
- Processes.
- Mapping between requirement and reference standards and processes.

2 Coverage

This version of the BPL provides coverage of ISO 9001:2015, ISO/IEC 20000-1:2011, ISO/IEC 27001:2013, PAS 754 ~~and~~, ISO 26262:2011 and ISO/IEC 20000-1:2018 for all 40 TickIT*plus* processes and the eight TickIT*plus* Scope Profiles:

- Information Management and Security.
- Service Management.
- Systems and Software Development and Support.
- Project and Programme Management.
- Corporate Strategy Planning and Management.
- Legal and Compliance.
- Product Validation, Quality and Measurement.
- IT Systems Engineering and Infrastructure.

3 Scope Profiles

Table 1 shows the mapping of Scope Profiles to processes taken from the TickIT*plus* Core Scheme Requirements.

The Domain Engineering process is not selected under any Scope Profile and therefore is always a Type C process.

ISO 9001 is the core mandatory standard for the TickIT*plus* scheme and is required in all cases. Therefore, in order to gain certification under TickIT*plus* there must be an ISO 9001 scope statement and at least 1 associated Scope Profile selected. In order to include certification for the other standards a number of rules must be satisfied:

- To include ISO/IEC 20000-1:2011 & ISO/IEC 20000-1:2018 the Service Management Scope Profile must be selected.
- To include ISO/IEC 27001:2013 the Information Management and Security Scope Profile must be selected.
- To include PAS 754 or ISO 26262:2011 the Systems and Software Development and Support Scope Profile must be selected.

These Scope Profiles can exist on their own and still achieve ISO 9001 and the other standards as long as the organization's ISO 9001 scope is in those areas, e.g. the Information Management and Security Scope Profile can exist on its own and achieve ISO/IEC 27001, so long as the organization provides information management and security services or products under its ISO 9001 scope.

4 Use of the process descriptions

It is a requirement of the scheme that the Process Reference Model (PRM) and Process Assessment Model (PAM) are populated with the process contents as described in this document, according to the scope. Once created, both the PRM and PAM must be subject to version control and comply with the requirements of the current scheme baselines, as identified on the TickIT*plus* website, www.tickitplus.org.

Detailed requirements for the make-up of the PRM and PAM are contained in the TickIT*plus* *Core Scheme Requirements* supported by the *Base Process Library Guidance*, which are part of the scheme documentation. However, in summary, for all processes in scope, all base practices and work products must be addressed by the PRM and PAM.

It should be noted that the BPL processes do not repeat the requirements of the referenced clauses of the mapped standards, and, consequently, in implementing an organizational PRM, the requirements of associated clauses in the mapped standards must be considered.

In some cases the work product names are enclosed in square brackets, i.e. []. These aim to illustrate where the input or output work product is an entity or aspect that is not normally considered a work product. For example, the [Commercial Environment] and [Operating Environment] entries represent the environment in which an organization operates, e.g. legal requirements, operating conditions based on culture, accepted practice and economics. Another example is [Identified Stakeholder] which represents groups of people involved in the process.

A change request form is available to cover all TickIT*plus* documentation and can be found on the official TickIT*plus* website.

Table 1: Scope Profile to process mapping

	Type	Group	No	Information Management and Security	Service Management	Systems and S/W Development and Support	Project and Programme Management	Corporate Strategy Planning and Management	Legal and Compliance	Product Validation, Quality and Measurement	IT Systems Engineering and Infrastructure
Human Resource Management	A	ORG	1	✓	✓	✓	✓	✓	✓	✓	✓
Management Framework	A	ORG	2	✓	✓	✓	✓	✓	✓	✓	✓
Corporate Management and Legal	A	ORG	3	✓	✓	✓	✓	✓	✓	✓	✓
Infrastructure and Work Environment Management	A	ORG	4	✓	✓	✓	✓	✓	✓	✓	✓
Improvement	A	ORG	5	✓	✓	✓	✓	✓	✓	✓	✓
Measurement and Analysis	A	ORG	6	✓	✓	✓	✓	✓	✓	✓	✓
Customer Focus	A	ORG	7	✓	✓	✓	✓	✓	✓	✓	✓
Risk Management	A	ORG	8	✓	✓	✓	✓	✓	✓	✓	✓
Programme Management	B/C	ORG	9				✓	✓			
Lifecycle Model Management	B/C	ORG	10			✓	✓				
Resource Management	B/C	ORG	11		✓		✓	✓			✓
Security Management	B/C	ORG	12	✓	✓			✓	✓		
Project Management	B/C	PRJ	1			✓	✓				
Decision Management	B/C	PRJ	2				✓	✓	✓		
Configuration and Change Management	B/C	PRJ	3	✓	✓	✓	✓				✓
Information Management	B/C	PRJ	4	✓	✓			✓	✓		
Problem and Incident Management	B/C	PRJ	5	✓	✓	✓				✓	✓
IT Finance Management	B/C	PRJ	6		✓		✓	✓	✓		
Management Reporting	B/C	PRJ	7		✓		✓	✓	✓		
Data Management	A	TEC	1	✓	✓	✓	✓	✓	✓	✓	✓
Capacity Management	B/C	TEC	2		✓			✓			✓
Integration Management	B/C	TEC	3			✓					
Verification	B/C	TEC	4			✓				✓	
Validation	B/C	TEC	5			✓	✓			✓	
Transition and Release Management	B/C	TEC	6		✓	✓	✓				
Operations Management	B/C	TEC	7	✓	✓			✓			✓
Maintenance Management	B/C	TEC	8								✓
Disposal	B/C	TEC	9	✓	✓				✓		✓
Stakeholder Requirements Definition	B/C	TEC	10	✓	✓	✓	✓			✓	
Requirements Analysis	B/C	TEC	11			✓					
Service Level Management	B/C	TEC	12		✓						✓
Architectural Design	B/C	TEC	13			✓					

	Type	Group	No	Information Management and Security	Service Management	Systems and S/W Development and Support	Project and Programme Management	Corporate Strategy Planning and Management	Legal and Compliance	Product Validation, Quality and Measurement	IT Systems Engineering and Infrastructure
Development Implementation	B/C	TEC	14			✓					
Continuity, Availability and Contingency Management	B/C	TEC	15	✓	✓			✓			✓
Domain Engineering	C	ITS	1								
Asset Management	B/C	ITS	2	✓	✓			✓			✓
Acquisition and Contract Management	B/C	AGR	1	✓	✓		✓	✓	✓		✓
Supply Management and Business Relationships	B/C	AGR	2	✓	✓		✓		✓		
Quantitative Performance Management	M	MAT	1	✓	✓	✓	✓	✓	✓	✓	✓
Quantitative Process Improvement	M	MAT	2	✓	✓	✓	✓	✓	✓	✓	✓

5 BPL applicability

The table below shows the applicability and impact of the latest version of the BPL. Major changes to Scope Profiles are represented by an ‘M’ and minor changes by an ‘m’.

Table 2: BPL applicability and user impact

BPLB Designation	Information Management and Security	Service Management	Systems and S/W Development and Support	Project and Programme Management	Corporate Strategy Planning and Management	Legal and Compliance	Product Validation, Quality and Measurement	IT Systems Engineering and Infrastructure	Comments
1.1.1			M				M		This is the first release and impacts the two initial Scope Profiles.
1.1.2		M	M	M	M	M	m		This release introduces new Scope Profiles, processes and some amendments to existing processes which therefore affect existing users of the BPL.
1.1.3	M	m	M	M	m	m	m	M	This release introduces the remaining processes along with a few minor changes to existing processes.
1.2.0	M	M	M	M	M	M	M	M	This version introduces mapping and changes to support ISO 9001:2015 ¹ along with mapping and additional outcomes to support PAS 754. ISO 9001:2008 and ISO/IEC 27001:2005 mappings have been removed ² .
1.2.1	m	m	m	M	m	m	m	m	This version introduces ISO 26262:2011 which is optional under the Systems and Software Development and Support Scope Profile. There are a few minor word changes to existing practices affecting TEC.1, TEC.3, TEC.11 & TEC.13 (highlighted). The minor change to TEC.1 Data Management being a Type-A process affects all Scope Profiles. Note that the ISO 2626 standard is split into a number of parts. The clause reference has therefore been created as <part>-<clause>, e.g. ORG.1.BP.2 2-5.4.2.6 refers to clause 5.4.2.6 in part 2. Also not that a number of new Outcomes have been added to address specific ISO 26262 requirements, these are only applicable if ISO 26262 is selected as a certification standard.

1 As a consequence of introducing ISO 9001:2015 there have been a number of changes to the ISO/IEC 27001:2013 mappings to provide better alignment.

2 As this is a major change resulting from the up-issue of ISO 9001, the transition requirements to this version are the same as the transition for ISO 9001:2015. Note, that during the transition period, version 1.1.3 of the BPL remains valid, but the references to ISO/IEC 27001:2005 are now obsolete.

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<u>1.3.0</u>		<u>M</u>						<u>M</u>	<p><u>This version maps ISO/IEC 20000-1:2018 into the Base Process Library. As this new version of the standard brings ISO/IEC 20000-1 complaint with Annex SL, the majority of the mapping relates to adjusting the clauses although there have been some changes to wording of TEC.12 Service Level Management to make the handling of Service Requests more explicit.</u></p>
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TickITplus Processes

PRJ.5 Problem and Incident Management

Process ID	PRJ.5	Process Name	Problem and Incident Management				Category	Project Processes				Type		B/C	
Process Purpose	To manage incidents and to identify their root causes in order to prevent recurrence.											Version	v4r1		
Process Outcome	Process Base Practices		Input Work Products		Output Work Products		ISO 9001:15	ISO 20000:11	ISO 27001:1 320000:1 8	PAS 754:14	ISO 26262:1 427001:1 3	ISO 26262:1 11			
OU.1 Incidents and problems are addressed, and problems do not reoccur.	<p>BP.1 Define Problem and, Incident and service request Management Policies and Procedures</p> <p>Problem, Incident and incident managementservice request Management policies to support the needs of the business are established, approved and communicated.</p> <p>Policies are communicated to ensure that all staff understand how their roles and responsibilities contribute to the successful management of service requests incidents and problems.</p> <p>Procedures are defined, approved and made available for use to implement the problem-and, incident and service management policies. Procedures comprise recording, monitoring, reporting, escalation and resolution of incidents and problems.</p> <p>The policies and procedures are maintained under the management framework.</p>		<p>Business Plan Management Framework</p>		<p>Service Requests, Problem and Incident Policies Service requests, Problem and Incident Procedures</p>		4.4.1c 4.4.2 7.5	4.3.1 8.1 8.2	4.4 7.5 A5.4 A16.18.6 3		2-5.4.2.4 2- 7.4.2.35 2- 7.4.2.4A 5.1 A16.1	2-5.4.2.4 2- 5.4.2.4 2- 7.4.2.3 2- 7.4.2.4 2- 7.4.2.4			
	<p>BP.2 Record and Manage Incidents and Service Requests</p> <p>Incidents and service requests are recorded, prioritized and managed to resolution.</p> <p>Stakeholders are informed of the status of the incident and service requests.</p> <p>Records of the incident and service requests, and the action taken are maintained.</p>		<p>Incident Reports Service Request reports</p>		<p>Incident Records Service Request records Stakeholder Notifications</p>		8.5.5 8.7 10.1b 10.2	4.3.3 8.1	108.6 .1 A16.18.6. 2 8.7.3.3	PR.07	2-5.4.2.3 2-5.4.2.4 2-7.4.2.3 2-7.4.2.4 4- 11.4.2.3 10.1 A16.1	2-5.4.2.3 2-5.4.2.4 2- 5.4.2.4 2- 7.4.2.3 2- 7.4.2.4 4- 11.4.2. 3			
	<p>BP.3 Avoid and Resolve Problems</p> <p>Improvement actions are produced from trends and performance monitoring, to avoid potential incidents and problems.</p> <p>Repeating incidents, anomalies and stakeholder feedback are considered for underlying problems. Problems are identified, recorded, analysed and managed to prevent reoccurrence.</p> <p>Stakeholders are informed of the status of the problem.</p> <p>Records of the problems and the action taken are maintained.</p>		<p>Anomalies Incident Reports Measurement and Analysis Data Stakeholder Feedback</p>		<p>Problem Reports</p>		10	4.3.3 6.2 7.1 8.2	10 A16.18.6. 3	PR.07	2-5.4.2.4 2- 7.4.2.410 A16.1	2-5.4.2.4 2- 5.4.2.4 2- 7.4.2.4			

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	<p>BP.4 Escalate <u>Service Requests, Incidents and Problems</u> <u>Service requests.</u> Incidents and problems not resolved are escalated to aid the resolution of the incident or problem, and records are maintained.</p>	<p>Incident Records Problem Reports <u>Service Request records</u></p>	<p>Incident Records Problem Reports <u>Service Request records</u></p>	<p>5.1.1a 5.1.1g 5.1.1h 9.3.2c</p>	<p>4.3.3 7.1 8.2</p>	<p>5.1e 9.3e 10.1 A16.1</p>	<p>PR.07</p>	<p>2- 5.4.2.41e 2- 6.4.3.8g 3c 10.1 A16.1</p>	<p>2- 5.4.2.4 2- 6.4.3.8</p>
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TEC.12 Service Level Management

Process ID	TEC.12	Process Name	Service Level Management	Category	Technical Processes					Type	B/C
Process Purpose	To manage the performance of services.									Version	v4r0
Process Outcome	Process Base Practices		Input Work Products	Output Work Products	ISO 9001:15	ISO 20000:11	ISO 27001:1 320000:1 8	PAS 754:14	ISO 26262-1 427001:1 3	ISO 26262 11	
OU.1 Agreed service levels are achieved and the customer is satisfied with the services provided.	BP.1 Establish Service Level Management Policy and Procedures A policy for governing service level management activities is established, approved and communicated to ensure that services are planned, agreed, managed, delivered and reported. The procedures are defined, approved and made available for use, to implement the policy and customer requirements. Procedures include service definition, monitoring and reporting. The policy and procedures are maintained under the management framework.		Business Plan Management Framework	Service Level Management Policy Service Level Management Procedures	4.4.1c 4.4.2 7.5 8.5.5	4.1.2 4.3.1 4.3.2	4.4				
	BP.2 Plan Service Management A service management plan is prepared to adhere to the policy, achieve objectives and fulfil service requirements. The service management plan is reviewed by stakeholders and approved by management. Changes to the service management plan are undertaken in accordance with a defined process which includes communication of the changes to stakeholders. The service management plan is maintained under the management framework.		Service Level Management Procedures Stakeholder Requirements	Service Management Plan	8.1 8.2.2 8.2.4 8.5.6	4.1.1b 4.3.1b 4.5.1 4.5.2	5.1b 6.3 7.3 7.4 7.5.4c 8.5.2.1				
	BP.3 Implement, Agree and Deliver Services New or changed services are designed, implemented and transferred into operations. Service levels are defined, reviewed and agreed with the customer in service agreements. The customer service agreements are maintained under change control. The service is delivered in accordance with the service management plan and customer service agreements.		Customer Requirements Service Level Management Procedures Service Management Plan Service Provision Historical Data	Human Resource Requirements Infrastructure Requirements Service Catalogue Service Level Agreements Work Environment Requirements	8.2.3 8.5.1	4.2 4.3.1d 4.3.1e 4.5.3 5.3g 5.3i 5.3j 6.1 9.3	7.5.4g 7.5.4h 8.2.1 8.2.4 8.3.3 8.5.2.2 8.5.2.3 8.5.3				
	BP.4 Report Service Performance Service level reports are prepared at planned intervals. Reports are provided to stakeholders including management and customers. Reports include performance data, analysis of major incidents, trends and customer satisfaction measures.		Customer Feedback Incident Reports Service Management Plan Service Performance Data	Service Level Reports	8.2.1a 8.5.1d 9.1.1 9.1.3	4.5.4.3b 5.3k 6.1 6.2	7.4 8.3.2 8.3.3				

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<p>BP.5 Manage Services</p> <p>Services and service levels are periodically reviewed with stakeholders. Reviews consider performance and feedback received from customers.</p> <p>Any deviation from expected performance levels is investigated and addressed.</p> <p>Where changes are agreed, the revised services and service levels are agreed with stakeholders and recorded.</p> <p>Changes arising from reviews are formally documented, agreed and implemented.</p>	Service Catalogue	Change Request	4.4.1h	4.2	8.1			
	Service Level Agreements	Corrective Action Request	5.1.1i	4.5.3	8.2.2			
	Service Level Reports	Improvement Request	8.5.6	4.5.4.3	8.2.4			
	Service Management Plan		9.1.1	6.1	8.3.2			
			9.1.3	7.1	8.5.1.2			
			9.3	9.2	8.5.1.3			
		10	9.3					