

# Requirements for Assessors and Practitioners

The TickIT*plus* scheme

Version 1.1.0



*IT Quality Management  
and Certification*

ISO 9001  
ISO/IEC 20000-1  
ISO/IEC 27001  
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Prepared by Folke Nilsson on behalf of the ITA

Review by ITA

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## Abbreviations

BPL	Base Process Library
CB	Certification Body
CEO	Chief Executive Officer
CISA	Certified Information Systems Auditor
CMMI	Capability Maturity Model Integration
COBIT	Control Objectives for Information and Related Technology
CPD	Continuing Professional Development
CSR	Core Scheme Requirements
IEC	International Electrotechnical Commission
IMS	Integrated Management System
IPMA	International Project Management Association
IRCA	International Register of Certified Auditors
ISACA	Information Systems Audit and Control Association
ISO	International Standards Organization (aka International Organization for Standardisation)
ISO 15504	Refers to ISO/IEC 15504-2 (see below for full details)
ISO 20000	Refers to ISO/IEC 20000-1 (see below for full details)
ISO 27001	Refers to ISO/IEC 27001 (see below for full details)
ISTQB	International Software Testing Qualifications Board
IT	Information Technology
ITA	International TickIT <i>plus</i> Association
ITIL	Information Technology Infrastructure Library
MBA	Master of Business Administration
PM	Project Management
PMI	Project Management Institute
PRM	Process Reference Model
QA	Quality Assurance
QMS	Quality Management System
RAP	Requirements for Assessors and Practitioners (this document)
SFIA	Skills Framework for the Information Age
SOX	Sarbanes-Oxley Act
SWEBOK	Software Engineering Body of Knowledge
TickIT	Certification program for companies in the software development and computer industries, now replaced by TickIT <i>plus</i>
VV&T	Verification, Validation and Test

The following Standards are mentioned in this document. Their current version and title are listed at <https://www.tickitplus.org/en/introduction-to-tickitplus/related-standards.html>

ISO 9001  
 ISO/IEC 15504-2  
 ISO/IEC 20000-1  
 ISO 22301  
 ISO/IEC 27001

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V1.1.0

Sue Turner

Paul Breslin

## 1 Introduction

This main purpose of this document is to define the skills and competence requirements for TickIT*plus* Assessors and Practitioners and for the registration of Assessors and Practitioners. These are key aspects of the TickIT*plus* scheme, which introduces the principal concepts of process capability and extended standards coverage to ISO 9001 IT certification.

TickIT*plus* requires Assessors and Practitioners to have a minimum set of core attributes for entry into the scheme; some required at each of the three Assessor and Practitioner grades and some relating to the Scope Profile of the assessments they are registered to perform and work within. The following are also taken into account:

- academic and professional qualifications
- training qualifications
- experience.

The Scope Profile structure is based around SFIA (Skills Framework for the Information Age) requirements using the Base Processes Library (BPL) definitions.

Section 2 considers the principles of registration, including the definitions of the Assessor and Practitioner roles, the use of Scope Profiles and their applicability to relevant standards.

Sections 3, 4 and 5 describe the Core competencies for Assessors and Practitioners at each of the grades: Foundation, Capability and Optimizing.

All details of Assessor and Practitioner competences and registration status are handled and maintained by designated Registrars approved by ITA (International TickIT*plus* Association). Initial registration and re-registration procedures are covered in Sections 6 and 7.

Sections 8 and 9 describe the requirements Assessment Logs and the Continual Professional Development.

This document is one of a set of specifications, which define TickIT*plus* and should therefore be read in the context of the overall documentation set described in the Core Scheme Requirements (CSR).

## 2 Principles of registration

Those interested in becoming registered for TickIT*plus* can find all the skills and competency requirements for the different Assessor and Practitioner grades by reading through this document. The Accredited Registrar may be found by following the link on the TickIT*plus* homepage ([www.tickitplus.org](http://www.tickitplus.org)) under the tab 'Training and Registration' / 'Assessor and Practitioner Registration'.

The Registrar is responsible, under the supervision of ITA, for performing all registration activities and maintaining the detailed instructions on how to request registration as well as the forms and databases found on the Registrar's home page.

## 2.1 Assessors

The Assessor grades are intended for those wishing to gain a formal qualification and registration as a TickIT*plus* Assessor at the Foundation, Capability or Optimizing levels. Such a qualification will allow those qualified to conduct assessments at their appropriate grade and within their Scope Profile as third-party TickIT*plus* Assessors for certification bodies. Ideally, second-party assessors would also be expected to be registered TickIT*plus* Assessors of the appropriate grade, although this is for the employing organization to determine.

Conferring of the TickIT*plus* Assessor titles will denote the eligibility of individuals to lead TickIT*plus* assessments as follows:

- Foundation Assessor – Foundation-grade assessments only (once the criteria have been verified by the employing organization – termed ‘Assessment Qualified’).
- Capability Assessor – All grades up to Silver-grade assessments (once the criteria have been verified by the employing organization – termed ‘Assessment Qualified’).
- Optimizing Assessor – Any grade assessment (once the criteria for Gold or Platinum have been met and verified by the employing organization – termed ‘Assessment Qualified’).

Note that both TickIT*plus* Assessor and Practitioner grades are intended to be gained sequentially. That is, there is no midpoint entry; all applicants must work through the grades, although fast track options are available.

## 2.2 Practitioners

TickIT*plus* Practitioners are a key component of the scheme. They are intended to focus on internal process development, internal assessments and as team members on external assessments. They follow essentially the same progression route as TickIT*plus* Assessors except that they are required to have at least an Internal Auditor qualification if they are going to work as practitioners in an external assessment team.

Basic principles for Practitioner competence are:

- an understanding of the requirements for IT and quality processes within an organization
- the ability to understand and utilize the IT processes format (BPL, PRM (Process Reference Model), etc.) described by TickIT*plus* in order to develop and maintain those processes within the corporate IT environment
- the ability to champion the TickIT*plus* model with senior management and to demonstrate the business case
- the ability to plan resources and activities required to maintain a TickIT*plus* assessed system, including improvements planning and implementation, data acquisition; audit support may be provided
- the ability to implement and monitor IT surveillance and improvement plans within their organization
- the ability to conduct internal assessments using the methods defined in TickIT*plus*
- the ability to participate in an externally led external assessment as a contributing team member



- the identification of appropriate Scope Profiles related to the scope of assessment with which they are involved
- the ability to attend the relevant TickIT*plus* courses and pass the exams, if registration is required (see section 0).

The Practitioner grades are intended for those who do not intend to act as external assessors but who still need a recognized TickIT*plus* qualification to allow them to operate within the scheme and to become part of an external assessment team. This would apply to internal assessors, process developers, quality managers, consultants or engineers. Three grades equivalent to Assessors are provided: Foundation, Capability and Optimizing Practitioner.

In essence, the only distinction between an Assessor and a Practitioner at the different grades is the independent registration of the Assessor as a Lead Auditor, so there is nothing to stop movement between these two streams. A Capability Practitioner, for example, may transfer to become a Capability Assessor by passing the external requirements of the Certification Bodies, including that for Lead Auditor, and completing the minor variations in criteria, such as assessment experience. An Assessor moving in the other direction, from say Capability Assessor to Capability Practitioner, could assume the Practitioner's role immediately, and would only need to maintain the on-going requirements of registration (see section 7) to remain at that level.

A registered practitioner will always be able to work with improvement activities based on TickIT*plus* such as creation of PRM, running improvement projects etc. based on their level of registration.

### 2.3 Scope Profiles

The concept of the Scope Profile is described in the CSR and is used here to demonstrate the coverage of all aspects of IT by suitably qualified Assessors and Practitioners and to have their specific areas of expertise recognized. The Scope Profiles are complementary to the core competencies, described in section 3 below, and are defined in terms of selected processes as described in the BPL. The use of Scope Profiles to define an organization's business interests and hence the scope of any required assessment allows the appropriate allocation of Assessors to the task– this is covered in the TickIT*plus* CSR.

The Scope Profiles are:

- 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.

The table in Appendix B identifies the minimum skills required at Foundation level for each of the Scope Profiles.

Assessors and Practitioners may cover as many of the specific Scope Profiles that are appropriate to their qualifications and experience; this is not grade dependent.

Also, Assessors with additional assessment qualifications, such as ISO 20000, need to include the appropriate Scope Profile to enable them to assess these scopes, see Section 2.5 on Standards.

The BPL describes the Processes associated with the Scope Profiles as Type B/C Processes - Type B are mandatory for a given Scope Profile and Type C are optional. In addition to these specialist areas, there are a number of Type A Processes, which are mandatory regardless of the Scope Profile, for which Assessors need to be able to demonstrate their competence. There are also two Type M processes which are mandatory for Optimizing Assessors

The required levels of competence are based on the established SFIA model:

- Level 1: follow
- Level 2: assist
- Level 3: apply
- Level 4: enable
- Level 5: ensure, advise (equating to manager level)
- Level 6: initiate, influence (equating to senior manager level)
- Level 7: set strategy, inspire, mobilize (equating to CEO/board level).

The SFIA reference documents go into greater details, but each level is defined in terms of autonomy, influence, complexity, knowledge and business skills. Only levels 3, 4 and 5 are used for formally determining these skills criteria, and these are shown in Appendix A.

All Assessors and Practitioners should have a broad understanding of the full range of BPL processes and their application, and this is defined as SFIA level 3.

In order to claim the Scope Profile, either by self-declaration or CB verification, the Assessor and Practitioners should at least match level 4 across all required processes. With this level, the Assessor and Practitioner is judged to be competent to act as a team member on assessments using the equivalent Scope Profile. In order to act as Lead Assessor, selected Processes in the profile – as shown in the BPL – should be demonstrated and verified at level 5 or above.

For Optimizing Assessors, the two additional quantitative improvement processes are also treated in the same way as type A Processes in their Scope Profile: these need to be addressed at level 5.

## 2.4 Evaluation of Scope profiles

All Assessors and Practitioners need to identify at least one Scope Profile, as described in BPL process terms and listed above. Coverage up to SFIA level 4 may be by self-declaration, although CBs should verify this for Assessors where possible. Coverage for the selected Processes to level 5 or above in profiles, where they required to act as Lead Assessors, need to be either verified by the employing CB or by some other recognized qualification. For example, for Service Management, it could be a qualification in ITIL Service Management or as an ISO 20000 Assessor. See Appendix B for the skills requirement for Foundation registration.

After the initial registration, all Assessors and Practitioners can request upgrades of their registration with new Scope profiles as skills in these profiles are gained and requirements are satisfied.

Once the Scope Profile SFIA level has been obtained for an Assessor, this should be recorded in the Assessor's log and continuing professional development (CPD) record.

## 2.5 Standards

The TickIT*plus* scheme allows a number of additional standards to be incorporated under the basic ISO 9001 certificate. At present these requirements standards are defined:

- ISO 20000 – covering Service Management
- ISO 27001 – covering Information Security

Assessors performing assessments under these standards are required to have the necessary qualifications external to TickIT*plus* where they exist, e.g. ISO 20000 and ISO 27001. If these or other standards are defined as requirements standards or scope reference standards, then it is a requirement of the employing CB that each Assessor has the necessary Scope Profiles up to the level required by Lead Assessor for that profile.

## 3 Core criteria Foundation level

The following core criteria will be assessed as part of initial registration. Where applicable, copies of stipulated qualifications will need to be provided to demonstrate formal training and experience. Where qualifications are not supported by a certificate, they can be supported by applicant declaration and, where appropriate, assessment logs (see section 8).

All additional requirements at the higher grades are based on, and treated as extensions, of this core set. The following sections summarize the mandatory aspects of the registration requirements for all higher grades. The suitability of the qualifications and experience evidence provided will, however, be assessed on an individual basis.

Throughout the remainder of this document, the minimum levels of experience, achievement and qualifications are defined according to grade. This is not intended to discourage those applicants who consider that they have appropriate alternative qualifications or where the degree of experience, etc., marginally falls outside the specifications. Each case will be considered on its merits by the Registrar and the certification bodies (if applicable), and applicants in this position are encouraged to apply, noting the shortfall or alternative and justifying their case.

### 3.1 Core Quality and Process Management competencies

All TickIT*plus* Assessors and Practitioners would be expected to have a general appreciation of quality and process modelling concepts and management, including the following:

- quality and process definitions and modelling techniques
- ISO 9001 contents and concepts.

### 3.2 Core QMS/IMS auditing competencies

- use of audit principles, procedures and techniques that enable their application, as appropriate, to different audit situations to ensure consistent and systematic assessments
- use of management system and reference documents, in a QMS (Quality Management System) / IMS(Integrated Management System), that can be understood and used to determine scope and audit criteria
- ability to understand an organization's operational context and assessment scope
- knowledge of the applicable laws, regulations and other requirements (statutory and otherwise) that apply to the organization and the scope being assessed
- an appreciation of the concepts of process modelling and their assessment under ISO 9001
- an understanding of quality-related methods and techniques that enable examination of the QMS/IMS and the generation of audit findings and conclusions
- an appreciation of the processes and products, including services, that provide an understanding of the technological context in which an assessment is conducted
- the ability to follow assessment investigations across different processes and organizational departments and to assess the suitability of the corrective actions taken.

### 3.3 Core IT Competencies

All TickIT*plus* Assessors and Practitioners would be expected to have a good appreciation of the whole range of the BPL process set, at least up to SFIA level 3, and the following:

- an understanding of the importance of industry-recognized lifecycles concepts as applied to development methods and support environments
- a working knowledge of key lifecycle activities in accordance with selected Scope profiles (See section 2.3)
- an awareness of procurement, outsourcing and integration issues as related to software and IT products
- an appreciation of the problems associated with requirements capture and analysis
- an appreciation of software estimation methods
- an appreciation of the role of metrics in product quality assessment.

### 3.4 Core academic and professional Qualifications

- Secondary education with a nationally recognized certificate of primary level achievement as a minimum.
- An IT-related qualification at a nationally recognized technical diploma level as a minimum.

### 3.5 Core training

- The applicant must take the Foundation course and pass the Foundation examination:
  - this is mandatory.

- Recognized quality and Auditor training.

### 3.6 Core IT Experience

- A minimum of either 5 years of relevant IT work experience or 4 years with an IT-related degree. See Appendix B for skills requirements for the different Scope Profiles.
- At least 2 years (which may be included within the 4 or 5 years of IT-related experience) within a context where quality and quality issues formed a major part of the work.

### 3.7 IT Skills Profile

- General level 4 SFIA definition across all BPL Processes in at least one specialist profile – self-declared.
- In order to act as a Lead Assessor, selected Processes in the profile should be demonstrated and verified at level 5 or above.

### 3.8 Assessment Experience

- There is no initial requirement for experience on TickIT*plus* Foundation assessments when acting as a team member. See the permitted activities for Foundation Assessors and Foundation Practitioners respectively.

### 3.9 Professional Development

At least 25 CPD hours (Assessors) or 35 CPD hours (Practitioners), obtained over the past 2 years and showing development in at least the specialist Scope Profile declared for TickIT*plus*.

### 3.10 Foundation Assessors - Specific requirements

The applicant Assessor must have registration by a Nationally recognised auditor registration body, such as IRCA in the UK and have evidence of previous audit experience, again this is mandatory.

#### Permitted activities

Once the Foundation examination has been passed and the other criteria met, Foundation Assessors will be permitted to act as:

- a team member in Foundation-grade assessments only – no previous TickIT*plus* assessment experience is required
- an unsupervised Lead Assessor on Foundation-grade assessments, but only once the following has been achieved
  - at least one external Foundation assessment as Lead under an Approved Reviewer has been satisfactorily conducted.

Foundation-grade Assessors are not permitted to act as Lead or team members for any external assessments above Foundation.

The assessment and experience criteria are to be formally recorded and verified in assessment logs (where appropriate by the employing CB). No re-submission of application is required, although the criteria should be completed and recorded within 2 years of initial qualification – a retest may be required otherwise.

Once Assessors have met the requirements stated above, they are termed 'Assessment Qualified'.

### 3.11 Foundation Practitioners - Specific requirements

All applicants should have some training or experience in the use of audits or assessment and preferably in an IT environment. All Practitioners who intend to be a team member on an external assessment must have a formal internal Auditor or external Auditor qualification, which will require verification by the Lead Assessor prior to participation on an external assessment team.

Note, however, that there is no requirement for TickIT*plus* or other assessment experience at this grade, although registered Foundation Practitioners are encouraged to obtain assessment days that are needed at the higher grades.

#### Permitted activities

Once the Foundation examination has been passed and the other criteria met, Foundation Practitioners will be eligible to act as:

- the Lead Assessor or a team member on internal Foundation-grade assessments
- a team member on external Foundation-grade assessments.

The first item above is an advisory distinction, since ITA and TickIT*plus* have no jurisdiction at this level on how organizations conduct their internal assessments.

Note: To be recognised to participate in formal assessments, Practitioners need to be Registered. A Practitioner doesn't have to be Registered to conduct in-house assessments where a Certification Body is NOT involved.

## 4 Core criteria Capability level

### Fast Track

Applicants may apply for fast track status to the Registrar when joining the scheme. This is to recognize previous experience in CMMI, ISO 15504 or some other type of process assessment-type activity. Each application will be reviewed and treated on its merits. This does not obviate the need to take the Foundation course and pass the examination, but it does allow up to four assessment days to be added to the individual's overall score and permits the Capability course to be bypassed – but not the examination.

### 4.1 Core training

In order to qualify as a Capability Assessor or Practitioner, applicants must:

- already be a qualified Foundation Practitioner or Assessor
- take the TickIT*plus* Capability course – unless they have previously been granted fast track status by virtue of previous CMMI or similar process assessment and development methods
- pass the TickIT*plus* Capability examination.

## 4.2 Core IT Experience

- A minimum of either 5 years of relevant IT work experience or 4 years with an IT-related degree
- At least 3 years (2 years of which need to be additional to the 4 or 5 years of IT-related experience) within a context where quality and quality issues formed a major part of the work.

## 4.3 IT Skills Profile

As for Foundation level.

## 4.4 Assessment Experience

These requirements are specified under permitted activities for Capability Assessors and Capability Practitioners respectively.

## 4.5 Professional Development

Same as for Foundation, obtained over the past 2 years and showing development in at least the Scope Profiles claimed.

## 4.6 Capability Assessors - Specific Requirements

### Permitted activities

Once the Capability examination has been passed and the other criteria met, Capability Assessors will be permitted to act as:

- a team member on any grade assessment
- the Lead Assessor on Foundation-grade assessments
- an unsupervised Lead Assessor on Bronze- or Silver-grade assessments, but only once the following has been achieved:
  - at least one Bronze- or Silver-grade external assessment as Lead under an Approved Reviewer has been satisfactorily conducted and verified.

Capability-grade Assessors are not permitted to act as Lead or team members for any external assessments above Capability.

The assessment and experience criteria are to be formally recorded and verified in assessment logs (where appropriate by the employing CB). No resubmission of application is required, although the criteria should be completed and recorded within 2 years of initial qualification – a retest may be required otherwise.

Until the criteria have been fully met, the Assessor may be termed a 'Provisional Capability Assessor', although this is not an official title. Once Assessors have met all the requirements stated above, they are termed 'Assessment Qualified'.



## 4.7 Capability Practitioners - Specific Requirements

### Permitted activities

Once the Capability examination has been passed and the other criteria (see sections 4.1 - 4.5) met, Capability Practitioners will be eligible to act as:

- the Lead Assessor for internal Foundation-grade assessments
- a team member on any grade of internal assessments or external Foundation-grade surveillance assessment at the Lead Assessor's discretion
- an Unsupervised Lead Assessor on internal Bronze- or Silver-grade assessments, based on the organisation's own requirements
- a team member on Bronze grade or above external assessments.

Note: To be recognised to participate in formal assessments, Practitioners need to be Registered. A Practitioner doesn't have to be Registered to conduct in-house assessments where a Certification Body is NOT involved.

The assessment and experience criteria are to be formally recorded and verified in assessment logs. No resubmission of application is required, although the criteria should be completed and recorded within 2 years of initial qualification – a retest may be required otherwise. The experience may be gained under either internal, first-, second- or third-party assessment.

In order to allow new Practitioners to gain experience, the rules on assessments permit a limited proportion of the internal Practitioner staff acting as team members on external assessments who do not have the full assessment day requirements – see Core Scheme Requirements.

## 5 Core criteria Optimizing level

### 5.1 Core training

In order to qualify as a Optimizing Assessor or Practitioner, applicants must:

- already be a Registered Capability Practitioner or Assessor with the necessary assessment experience at Capability Level
- pass the TickIT*plus* Optimizing examination.

Note that taking the Optimizing course is highly recommended but not mandatory.

### 5.2 Core IT Experience

- A minimum of either 5 years of relevant IT work experience or 4 years with an IT-related degree
- At least 4 years (3 years of which must be additional to the 4 or 5 years of IT-related experience) within a context where quality and quality issues formed a major part of the work.

### 5.3 IT Skills Profile

As for Capability level, plus:

- SFIA level 5 on the two BPL Maturity processes.



#### 5.4 Assessment Experience

These requirements are specified under permitted activities for Optimizing Assessors and Optimizing Practitioners respectively.

#### 5.5 Professional Development

Same as Capability level plus:

- 5 CPD hours related to Optimizing Topics.

#### 5.6 Optimizing Assessors - Specific requirements

##### Permitted activities

Once the Optimizing examination has been passed and the other criteria met, Optimizing Assessors will be permitted to act as:

- a team member on any grade assessment
- the Lead Assessor on Foundation- to Silver-grade assessments
- an unsupervised Lead Assessor on Gold- or Platinum-grade assessments, but only once the following has been achieved:
  - one external Gold- or Platinum-grade external assessment as Lead under an Approved Reviewer has been satisfactorily conducted and verified.

The assessment and experience criteria are to be formally recorded and verified in assessment logs (where appropriate by the employing CB). No resubmission of application is required, although the criteria should be completed and recorded within 2 years of initial qualification – a retest may be required otherwise.

Until the criteria have been fully met, the Assessor may be termed a 'Provisional Optimizing Assessor', although this is not an official title. Once Assessors have met all the requirements stated above, they are termed 'Assessment Qualified'.

#### 5.7 Optimizing Practitioners - Specific Requirements

##### Permitted activities

Once the Optimizing examination has been passed and the other criteria (see sections 5.1 - 5.5) met, the Optimizing Practitioner will be eligible to act as:

- a team member on any grade internal or external assessment
- an Unsupervised Lead Assessor on internal assessments to Silver grade
- an Unsupervised Lead Assessor on Gold or Platinum internal grade assessments based on the organisation's own requirements

Note: To be recognised to participate in formal assessments, Practitioners need to be Registered. A Practitioner doesn't have to be Registered to conduct in-house assessments where a Certification Body is NOT involved.

## 6 Initial Registration

Once the applicant has passed the Foundation Examination, they are invited to register as a Foundation Assessor or Practitioner as appropriate. A maximum of 2 years is permitted from passing the examination to applying for registration.

All TickIT*plus* Assessors and Practitioners will be required to register in accordance to the process described on the Registrar’s homepage. The link to the Registrar is found on TickIT*plus* homepage.

The request for registration can be made either on paper or electronically and all necessary records should be included. An initial registration can only be made at the Foundation level. Requests for upgrades to new Assessor or Practitioner levels or with new Scope Profiles are made in the same way.

The Registrar will review each new application and, if approved, will identify the applicant as ‘Foundation Assessor/Practitioner’ and inform the individual. If more information is required, the applicant will be contacted.

When the initial registration has been completed and fees are paid, the Registrar will confirm their status as Foundation Assessor or Practitioner, update its records and post the individual’s status on the Registrar’s website (unless the individual has opted out of public notification).

ITA has total responsibility for all registration and is the only body who can approve a Fast Track application to Capability or any other special condition. This is facilitated through the appointed and approved members of the Registrar organization or by ITA itself or subgroups of ITA and formally recorded in the meeting minutes.

ITA can also approve registrations where not all formal requirements have been met and there is a clear reason, for example, to improve the ability to deliver TickIT*plus* when there are new Certification bodies entering the scheme who have not fulfilled all the requirements on assessors and reviewers but whose accreditations are being followed up by the Accreditation Body. Again, this would be recorded in ITA meeting minutes including actions for fulfilling all formal requirements.

## 7 Re-registration

All TickIT*plus* Assessors and Practitioners will be required to re-register every 3 years after their initial registration or regrading. The requirements will be as set out below according to the grade and covering the immediately preceding 3-year period. Note that there is a slight bias toward assessment log requirements for Assessors and CPD requirements for Practitioners. This is to recognize the fact that assessments are more the remit of third- party Assessors, and general knowledge and experience accumulation can more easily be acquired by Practitioners.

Also under the sections on permitted activities for the different grades there is an option to do a retest to assure awareness and competence in the TickIT*plus* scheme if no other TickIT*plus* activities have been done during the registration period. A retest would also be required if the registration had been allowed to lapse for more than two years.

### 7.1 Foundation Assessor

- Verified assessment logs with a minimum of 6 assessment days gained in the previous 3 years or at least one full (initial or recertification) external third-party assessment conducted as Lead Assessor

- CPD records with at least 35 CPD hours recorded in the previous 3 years, and which should reflect activities in the Scope Profile(s) claimed.

## 7.2 Foundation Practitioner

- CPD records with at least 40 CPD hours recorded in the previous 3 years, and which should reflect activities in the Scope Profile(s) claimed.

## 7.3 Capability Assessor

- Verified assessment logs with a minimum of 6 assessment days gained in the previous 3 years on external Capability level assessments or at least one full external (initial or recertification) Capability assessments conducted as Lead Assessor.
- CPD records with at least 45 CPD hours recorded in the previous 3 years, and which should reflect activities in the Scope Profile(s) claimed.

## 7.4 Capability Practitioner

- Internally verified assessment logs and for practitioners in external assessment teams at least 1 assessment point gained in the last 3 years and showing at least one internal Bronze- or Silver-grade assessment as Lead Assessor or third-party assessment as a team member.
- CPD records with at least 50 CPD hours recorded in the previous 3 years, and which should reflect activities in the Scope Profile(s) claimed.

## 7.5 Optimizing Assessor

- Verified assessment logs with a minimum of 6 assessment days gained in the previous 3 years on external Gold- or Platinum-grade assessments or at least one external third-party initial or recertification assessment at Optimizing level conducted as Lead Assessor.
- CPD records with at least 55 CPD hours recorded in the previous 3 years, and which should reflect activities in the Scope Profile(s) claimed, including the BPL Maturity Processes.

## 7.6 Optimizing Practitioner

- Verified assessment logs and for practitioners in external assessment teams at least 2 assessment days over the last 3 years and showing at least one internal Gold- or Platinum-grade assessment as Lead Assessor, or at least one external Gold- or Platinum-grade third-party assessment as a team member.
- CPD records with at least 60 CPD hours recorded in the previous 3 years, and which should reflect activities in the Scope Profile(s) claimed, including the BPL Maturity Processes.

## 8 Assessment Log

All TickIT*plus* Assessors and Practitioners will be required to submit assessment logs with the prescribed content to qualify for re-registration and to claim Assessment Qualified status. Log content shall include:

- the date and duration of assessment
- the assessment scope, including the standards used and identified Scope Profiles

- the grade and type of assessment, e.g. Silver Initial, Gold periodic – and whether first-, second- or third-party
- the role in the assessment, e.g. Lead, team member
- the organization assessed – name, principal address and contact, location(s) of audit
- the assessment sponsor and employer
- the assessment days claimed and verification.

Assessment log templates covering the above will be available for download from the Registrar and TickIT*plus* websites. Logs should be retained for the duration of the Assessor or Practitioner registration and provided to the Registrar on request and at re-registration.

## 9 Continual Professional Development

All TickIT*plus* Assessors and Practitioners will be required to maintain a record of their CPD. This record must be submitted at each re-registration, but may be called for review by the Registrar at any time. A format is defined, and this will be available from the TickIT*plus* and Registrar website. However, this format is not mandatory, as Assessors and Practitioners may use formats as defined by different professional bodies. If necessary, the information may be covered by different records. Information should include (but is not limited to):

- plans for ongoing skills development (on request from reviewer)
- the Scope Profiles claimed, with verification of the required level 5 BPL Processes
- any additional BPL Processes claimed outside of the established Scope Profiles, with level 5 verification
- records of training undertaken (verified)
- records of activities, such as attendance at lectures, papers produced, material studied
- an indication of the benefits and relevance of each activity
- a record of professional awards.

It is expected that the activities covered in the CPD log are related to the specific Scope Profiles claimed. These should be shown in the log, with the total of IT-related CPD hours accounting for not less than 50 per cent of the total.

## Appendix A Assessing SFIA Skills levels

### A.1 Competence Levels

SFIA has defined the following competence levels where level 3, 4 and 5 are used in TickIT*plus*:

- Level 1: follow
- Level 2: assist
- Level 3: apply
- Level 4: enable
- Level 5: ensure, advise (equating to manager level)
- Level 6: initiate, influence (equating to senior manager level)
- Level 7: set strategy, inspire, mobilize (equating to CEO/board level).

See details of levels 3,4 and 5 below.

### A.2 Skills Levels according to SFIA

#### A.2.1 Levels of responsibility: Level 3

##### Autonomy

Works under general direction. Uses discretion in identifying and responding to complex issues and assignments. Receives specific direction, accepts guidance and has work reviewed at agreed milestones. Determines when issues should be escalated to a higher level.

##### Influence

Interacts with and influences colleagues. Has working level contact with customers, suppliers and partners. May supervise others or make decisions which impact the work assigned to individuals or phases of projects. Understands and collaborates on the analysis of user/customer needs and represents this in their work.

##### Complexity

Performs a range of work, sometimes complex and non-routine, in a variety of environments. Applies methodical approach to issue definition and resolution.

##### Knowledge

Has a sound generic, domain and specialist knowledge necessary to perform effectively in the organization typically gained from recognized bodies of knowledge and organizational information. Demonstrates effective application of knowledge. Has an appreciation of the wider business context. Takes action to develop own knowledge.

##### Business skills

Demonstrates effective communication skills.

Plans, schedules and monitors own work (and that of others where applicable) competently within limited deadlines and according to relevant legislation, standards and procedures.

Contributes fully to the work of teams. Appreciates how own role relates to other roles and to the business of the employer or client.

Demonstrates an analytical and systematic approach to issue resolution.

Takes the initiative in identifying and negotiating appropriate personal development opportunities.

Understands how own role impacts security and demonstrates routine security practice and knowledge required for own work.

## **A.2.2 Levels of responsibility: Level 4**

### **Autonomy**

Works under general direction within a clear framework of accountability. Exercises substantial personal responsibility and autonomy. Plans own work to meet given objectives and processes.

### **Influence**

Influences customers, suppliers and partners at account level. May have some responsibility for the work of others and for the allocation of resources. Participates in external activities related to own specialism. Makes decisions which influence the success of projects and team objectives. Collaborates regularly with team members, users and customers. Engages to ensure that user needs are being met throughout.

### **Complexity**

Work includes a broad range of complex technical or professional activities, in a variety of contexts. Investigates, defines and resolves complex issues.

### **Knowledge**

Has a thorough understanding of recognized generic industry bodies of knowledge and specialist bodies of knowledge as necessary. Has gained a thorough knowledge of the domain of the organization. Is able to apply the knowledge effectively in unfamiliar situations and actively maintains own knowledge and contributes to the development of others. Rapidly absorbs new information and applies it effectively. Maintains an awareness of developing practices and their application and takes responsibility for driving own development.

### **Business skills**

Communicates fluently, orally and in writing, and can present complex information to both technical and non-technical audiences.

Plans, schedules and monitors work to meet time and quality targets.

Facilitates collaboration between stakeholders who share common objectives.

Selects appropriately from applicable standards, methods, tools and applications.

Fully understands the importance of security to own work and the operation of the organization. Seeks specialist security knowledge or advice when required to support own work or work of immediate colleagues.

### **A.2.3 Levels of responsibility: Level 5**

#### **Autonomy**

Works under broad direction. Work is often self-initiated. Is fully responsible for meeting allocated technical and/or project/supervisory objectives. Establishes milestones and has a significant role in the assignment of tasks and/or responsibilities.

#### **Influence**

Influences organization, customers, suppliers, partners and peers on the contribution of own specialism. Builds appropriate and effective business relationships. Makes decisions which impact the success of assigned work, i.e. results, deadlines and budget. Has significant influence over the allocation and management of resources appropriate to given assignments. Leads on user/customer collaboration throughout all stages of work. Ensures users' needs are met consistently through each work stage.

#### **Complexity**

Performs an extensive range and variety of complex technical and/or professional work activities. Undertakes work which requires the application of fundamental principles in a wide and often unpredictable range of contexts. Understands the relationship between own specialism and wider customer/organizational requirements.

#### **Knowledge**

Is fully familiar with recognized industry bodies of knowledge both generic and specific. Actively seeks out new knowledge for own personal development and the mentoring or coaching of others. Develops a wider breadth of knowledge across the industry or business. Applies knowledge to help to define the standards which others will apply.

#### **Business skills**

Demonstrates leadership. Communicates effectively, both formally and informally.

Facilitates collaboration between stakeholders who have diverse objectives.

Analyses, designs, plans, executes and evaluates work to time, cost and quality targets. Analyses requirements and advises on scope and options for continuous operational improvement. Takes all requirements into account when making proposals. Demonstrates creativity, innovation and ethical thinking in applying solutions for the benefit of the customer/stakeholder

Advises on the available standards, methods, tools and applications relevant to own specialism and can make appropriate choices from alternatives.

Maintains an awareness of developments in the industry. Takes initiative to keep skills up to date. Mentors colleagues.

Assesses and evaluates risk.

Proactively ensures security is appropriately addressed within their area by self and others. Engages or works with security specialists as necessary. Contributes to the security culture of the organisation.



## Appendix B Skills Requirements for TickITplus Foundation registration

### B.1 Skills Table

This table is used for Registration purposes by the Registrar for satisfying requirements on Quality and IT skills and experience for the different Scope profile.

Table 1: Skills Table

Scope Profile	Description	Minimum Training and Work Requirements
All Scope Profiles	Understanding of the requirements for IT and quality processes within an organisation	Formal Quality training (e.g. ISO 9001 or similar) and 2 years work in quality. OR 5 years' experience of related work in the field
Information Management and Security	Delivery of information and implementation of systems to meet data confidentiality, integrity and availability requirements as well as general security	Formal Information Security training (e.g. ISO 27001 or similar) and 2 years work in information and security management. OR 5 years' experience of related work in the field
Service Management	Operations in a service management environment: delivering IT-based services to clients – either outsourced or internal	Formal Service Management training (e.g. ITIL or ISO 20000, CMMI-SRV) and 2 years work in service management, OR 5 years' experience of related work in the field
Systems and Software Development and Support	All aspects of systems and software development, both traditional and new methodologies, and long-term support and maintenance	Formal training in System and software engineering (e.g. Business Analyse, Requirement Engineering, Software Architecture, Test Analyse and Management and Configuration and Change Management, or similar), and 2 years work in development or support lifecycle activities OR 5 years' experience of related work in the field
Project and Programme Management	Multi-discipline programme and project delivery as a specialist area: analysis, reporting, risk and general project management	Formal training in Project Management (e.g. PMI, IPMA, PRINCE2, MBA or similar) and 2 years work in PM development, integration or support projects. OR 5 years' experience as a Project Manager in the field

<p>Corporate Strategy Planning and Management</p>	<p>Taking an organizational wide view of IT operations: long-term planning, IT strategy and high-level management</p>	<p>Formal training in corporate management (e.g. global governance, business continuity (ISO 22301), MBA or similar) and 2 years work as a manager in middle management and above with responsibility or involvement for strategy planning</p> <p>OR</p> <p>5 years' experience as a manager in middle management and above with responsibility or involvement for strategy planning</p>
<p>Legal and Compliance</p>	<p>The delivery of products or services within a legal and compliance framework: business analysis, corporate responsibility, risk and compliance audit</p>	<p>Formal training in legal or regulatory requirements (e.g. ISACA, SOX, Basel, COBIT, CISA or similar) and 2 years related work experiences in the field of legal, finance, stock market or insurance</p> <p>OR</p> <p>5 years related work experiences in the field of legal, finance, stock market or insurance</p>
<p>Product Validation, Quality and Measurement</p>	<p>Independent testing and validation of product and services; ensuring quality and quantitative measurements are applied to product development and delivery</p>	<p>Formal training in test management and analysis (e.g. ISTQB, Software QA, Test Analysis or simulation), and 2 years work in independent Verification, Validation and Test (VV&amp;T)</p> <p>OR</p> <p>5 years' experience of work in independent VV&amp;T</p>
<p>IT Systems Engineering and Infrastructure</p>	<p>Operations involving network and data handling systems: server farms, data centres and supporting infrastructure</p>	<p>Formal training in IT infrastructure management and operation (e.g. ITIL, ISO 20000, system provider certification scheme or similar) and 2 years work with Infrastructure and operation</p> <p>OR</p> <p>5 years' experience of work with Infrastructure and operation</p>

## Appendix C TickIT*plus* requirements for initial and re-registration

### C.1 Assessor Grade

Table 2: Assessor Grade requirements for Registration

Assessor grade	CPD hours	TickIT <i>plus</i> qualifications	TickIT <i>plus</i> Assessments required for initial registration	TickIT <i>plus</i> Assessments required for re-registration
Foundation	Minimum 25 CPD hours over last 2 years	Completion of the TickIT <i>plus</i> Foundation course and examination pass	1 assessment leading under supervision OR a Registered TickIT auditor	6 assessment days at Foundation level OR one full assessment on Foundation level
Capability	Same as Foundation	Foundation Assessor Completion of the TickIT <i>plus</i> Capability course (unless fast track) Capability assessment examination pass	Participation in at least 3 Foundation assessments leading one Foundation assessment leading one Capability assessment under supervision	6 assessment days at Capability level OR one full assessment on Capability level
Optimizing	Same as Foundation (with 5 CPD related to Optimizing Topics)	Capability Assessor Optimizing examination pass	Participation in at least 3 Capability or Foundation assessments leading one Capability assessment leading one Optimizing assessment under supervision	6 assessment days at Optimizing level OR one full assessment on Optimizing level

**C.2 Practitioner Grade**

Table 3: Practitioner Grade requirements for Registration

<b>Practitioner grade</b>	<b>CPD hours</b>	<b>TickITplus qualifications</b>	<b>TickITplus Assessments required for initial or re-registration</b>	<b>TickITplus Assessments required for re-registration of Practitioners working in external assessment teams</b>
Foundation	Minimum 35 CPD hours over last 2 years	Completion of the TickITplus Foundation course and examination pass	None	One assessment point on Foundation level  OR  one internal assessment as Lead on Foundation level
Capability	Same as Foundation	Foundation Assessor  Completion of the TickITplus Capability course (unless fast track)  Capability assessment examination pass	None	One assessment point on Capability level  OR  one internal assessment as Lead on Capability level
Optimizing	Same as Foundation (with 10 CPD related to Optimizing Topics)	Capability Assessor  Optimizing examination pass	None	One assessment point on Optimizing level  OR  one internal assessment as Lead on Optimizing level

## Appendix D Definition of terms

This appendix provides a formal definition for terms used in the text.

### D.1 Assessment Lead

In order to qualify for experience purposes as Assessment Lead, the individual must have been involved throughout the assessment, have been involved in the planning, have produced a report, and have led both the opening and closing meetings.

### D.2 Approved Reviewer

Approved Reviewers are required to verify a range of Assessor and Practitioner qualification requirements. To qualify as a valid Approved Reviewer an individual must be either:

- a registered TickIT*plus* Assessor at the same grade or higher than the Assessor being reviewed, who has conducted assessment on the same grade.
- a member of a Certification Body's management with direct responsibility for certification assessment in the ITC area and who has been on the training and passed the examination on that level
- a TickIT*plus* registered assessor authorised by ITA to do this.

The reviewer must complete a report detailing the type of assessment, team size and role of the Assessor, the assessed organization, the outcome results and a review of performance. This report must accompany the Assessor's log.

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