

Requirements for Assessors and Practitioners

The TickIT^{plus} scheme



*Software and IT Quality Management
and Certification*

ISO 9001

ISO/IEC 20000

ISO/IEC 27001

ISO/IEC 25030

ISO/IEC 15504

ISO/IEC 12207

ISO/IEC 15288

BSi[®]

Requirements for Assessors and Practitioners

TickIT*plus*

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Reviewed by JTISC



First published in the UK in 2011
by
BSI
389 Chiswick High Road
London W4 4AL

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Typeset in Calibri by Helius

British Library Cataloguing in Publication Data
A catalogue record for this book is available from the British Library

ISBN 978 0 580 74975 9

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1 Introduction

This document defines the criteria for Assessor and Practitioner qualifications, which are a key aspect of the TickIT*plus* scheme that introduces the principal concepts of process capability and extended standards coverage to ISO 9001 IT certification. TickIT*plus* considers a minimum set of core attributes for entry into the scheme; those required at the three Assessor and Practitioner grades and also those dealing with the IT Skills Profile of Assessors and Practitioners into the functional areas needed for assessment and working scope purposes. Qualifications are further divided into:

- academic and professional qualifications
- training qualifications
- experience.

As far as possible, compatibility with previous TickIT requirements has been maintained and the IT Skills Profile structure is based around SFIA (Skills Framework for the Information Age) requirements and using the Base Processes Library (BPL) definitions.

TickIT*plus* is intended to be a generic scheme for defining, assessing and enabling continual improvement for IT processes, where IT is used in its fullest sense of covering all IT-related management, development and support and computer system-related activities. Although centred on ISO 9001 quality certification, TickIT*plus* is for all users, designers, developers and assessors of IT, whether for use in-house only or for a fully accredited certified system. The scheme is based around process capability assessment and is intended to be both easy to understand and utilize, but at the same time increasingly challenging to achieve and sustain at the higher grades. The entire structure of TickIT*plus* is built on current international ISO/IEC IT standards and will constantly evolve with these standards.

All definition, assessments and registration of Assessor and Practitioner qualifications are handled by designated Registrars¹ approved by JTISC (Joint TickIT Industry Steering Committee).

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

¹At the time of writing and for individual registration this involves GASQ (Global Association for Software Quality) only.

Where specific scheme rules are discussed, a reference to the codified rule is given in square brackets, e.g. [RAP1]. A statement of these rules can be found in Appendix F.

1.1 References

ISO 9001: *Quality management systems – Requirements*

ISO 9004: *Quality management systems – Guidance for performance improvements*

ISO/IEC 15504: *IT process assessment*

ISO/IEC 12207: *IT software lifecycle processes*

ISO/IEC 15288: *IT system lifecycle processes*

ISO/IEC 20000-1: *IT service management specification*

ISO/IEC 27001: *IT security requirements – IT security management systems*

ISO/IEC 25030: *Software engineering – Product quality requirements and evaluation*

ISO/IEC 24773: *Software engineering – Certification of software engineers*

ISO 19011: *Guidelines for quality management systems auditing* (see also ISO/IEC 17021-2)

SFIA 3.0: *Framework reference SFIA version 3*

Guide to the software engineering body of knowledge (SWEBOK) (ISO/IEC TR 19759:2005)

2 TickITplus Assessors and Practitioners

The Assessor grades are intended for those wishing to gain a formal qualification and potentially registration as a TickITplus 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 IT Skills Profile both as third-party TickITplus Assessors for certification bodies or as Registered Independent Assessors.² Ideally, second-party assessors would also be expected to be registered TickITplus Assessors of the appropriate grade, although this is for the employing organization to determine.

The Practitioner grades are intended for those who do not intend to act as external assessors but who still need a recognized TickITplus 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.

² Registered Independent Assessors will not be part of the initial scheme, but introduced later.

Internal staff, consultants, etc., therefore have a choice of TickITplus qualification: Assessor or Practitioner. Third-party Assessors need to follow the TickITplus Assessor route.

Conferring of the TickITplus Assessor titles will denote the eligibility of individuals to lead TickITplus assessments as follows:

- Foundation Assessor – Foundation-grade assessments only (once the criteria have been verified by the employing organization – termed ‘Assessment Qualified’).
- Capability Assessor – Bronze- or 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’).

So, for example, an individual may be an ISO 9001:2000 Lead Auditor and TickITplus Capability Assessor, which means they may act as the Lead Auditor over the full ISO 9001 certification audit and also as the Lead Assessor on the TickITplus component up to the level of Silver.

Note that both TickITplus 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 applied [RAP5].

Since essentially the only distinction between Assessor and Practitioner at the different grades is the independent registration as Lead Auditor for Assessor, 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, 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 ongoing requirements to remain at that level [RAP1].

3 TickITplus Assessor core criteria

The following are the basic principles on which Assessor competence is based:

- upholding of the principles of proper ethical conduct, fair presentation and due professional care

- the ability to communicate clearly both orally and in writing with personnel of all occupations and levels within an organization
- the ability to plan and organize a capability-based assessment of a management system
- the ability to lead an assessment team and resolve different interpretations of requirements and results
- the ability to identify and understand relevant business and technical processes, and in particular those IT-focused processes based on the TickITplus BPL
- the ability to identify and understand the context of scoping issues across organizations and activities as related to assessments and certification
- the ability to identify and evaluate objective evidence to support awarded process capability and organizational maturity levels
- the ability to report accurately audit findings and conclusions
- the ability to utilize assessment tools and keep accurate and organized records.

Whilst these are the minimum core competence characteristics, Assessors at different grades will be expected to possess a number of enhancements that are detailed in the relevant Sections.

In addition to the IT industry, Assessors may self-select up to five industry sectors in which they have experience and which will be held with their registration information. Whilst these are not directly assessed, it is expected that there is some correlation with their IT Skills Profile, where applicable, and any detailed review or interview conducted may focus on these experiences as general topics.

The Sections that follow define a range of qualification and experience needs. Provision will be made for review and/or interview as appropriate on initial application, re-registration or advancement for both Assessors and Practitioners. See the Administration Design Specification for details.

In the following Sections dealing with the various qualifications and skills criteria, a number of terms such as 'assessment credits', 'Assessment Lead', etc., are used. These are all explained in Appendix E.

3.1 TickITplus Assessor IT Skills Profile

The concept of the IT Skills Profile is to demonstrate the coverage of all aspects of IT by suitably qualified Assessors; and for Assessors themselves to have their specific areas of

expertise recognized. The IT Skills Profile is complementary to the core aspects described above, and is defined in terms of BPL-based processes as described in Appendix B, but which may be complemented by additional processes if needed. Using an Assessor's IT Skills Profile will therefore allow appropriate allocation to the organization and scope being assessed – this is covered in the TickITplus CSR.

Achievement of the IT Skills Profile levels is a combination of self-declaration and confirmation by the employing body and is an additional orthogonal type of qualification supplementing the Assessor's grade. A competence levelling system is employed based on general SFIA criteria, and this is used by CBs (Certification Bodies) or employing organizations in determining the appropriateness of the Assessor and is not generally allied to specific grades.

Assessors may cover as many of the specific streams as appropriate to their qualifications and experience and, except for Optimizing Assessors, this is not grade dependent (see Section 3.5). Also, Assessors with additional assessment qualifications, such as ISO/IEC 20000, need to include the appropriate Skills Profile to assess to these scopes (see Section 3.1.1) [RAP3].

The table in Appendix B identifies the grouping of Skills Profiles that match those of the Scope Profiles used in assessments:

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

Further details of these profiles are given in the CSR.

In addition to these specialist areas are a number of Common Processes for which Assessors need to be able to demonstrate their competence, also described in Appendix B. Common Processes apply across all profiles, Key Processes are those considered critical to a profile and where additional verification is required. Most, but not all, Common Processes are also key across all the profiles.

In addition to the processes that make up the Skills Profiles above, levels of competence based on the established SFIA model are defined. These are:

- 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 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 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 Skills Profile, either by self-declaration or CB verification, the Assessor should at least match level 4 across all required processes. With this level, the Assessor 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, Key Processes in the profile – as shown in Appendix B – should be demonstrated and verified at level 5 or above [RAP2].

For the Common Processes, all Assessors should be able to demonstrate level 4, and those acting as Lead Assessor should demonstrate level 5 or above on the identified Common Key Processes [RAP2].

For Optimizing Assessors, the two additional quantitative improvement processes are also treated as Common Key Processes in their Skills Profile: these need to be addressed at level 5 [RAP4].

3.1.1 Requirements and scope reference standards

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

- ISO/IEC 20000 – covering Service Management
- ISO/IEC 27001 – covering Information Security
- ISO/IEC 25030 – covering Software Product Measurement.³

In addition, the following scope reference standards are currently identified:

- IEC 61508⁴ – covering safety-related systems
- BS 25999-2/BS 25777⁵ – covering business and IT business continuity.

Coverage of each of these standards is incorporated into the Skills Profiles as shown in Table 1.

Assessors performing assessments under these standards are required to have the necessary qualification external to TickITplus where they exist, i.e. ISO/IEC 20000 and ISO/IEC 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 the Assessor has the necessary Skills Profiles up to the level required by Lead Assessor for that profile [RAP3].

Table 1: Requirements and scope reference standards coverage

Standard	Skills Profile	Qualification
ISO/IEC 20000	Service Management	ISO/IEC 20000 training
ISO/IEC 27001	Information Management and Security	ISO/IEC 27001 training
ISO/IEC 25030	Product Validation, Quality and Measurement	Product measurement (SQuaRE standards set) training
IEC 61508	Systems and Software Development and Support	IEC 61508 – safety systems training
BS 25999/BS 25777	Corporate Strategy Planning and Management	Business continuity management training

³ ISO/IEC 25030 will not be included in the initial scheme launch.

⁴ IEC 61508 will not be included in the initial scheme launch.

⁵ BS 25999 and BS 25777 will not be included in the initial scheme launch.

3.1.2 Verifying and recording Skills Profile information

All Assessors need to identify at least one Skills Profile as described in BPL process terms in Appendix B. Coverage up to SFIA level 4 may be by self-declaration, although CBs should verify this where possible. Coverage for the Key Processes to level 5 or above in profiles required to act as Lead Assessors need to be either verified by the employing CB or by some other recognized qualification, shown as applying to all the key processes – for example, a qualification in ITIL Service Management or as an ISO/IEC 20000 Assessor [RAP2, RAP3].

Once the Skills Profile level has been obtained, this should be recorded in the Assessor's log and continuing professional development (CPD) record. See further details in Sections 5 and 6.

3.2 Transfer from the TickIT scheme to TickITplus

With the exception of the ability to handle process capability assessments, all the core Assessor competencies should be transferable from the TickIT scheme. In order to make this transfer, a TickIT Auditor, above the level of Provisional, should be able to be re-registered into the TickITplus scheme, after taking the TickITplus Pilot⁶ or Foundation course and passing the Foundation examination. Providing the other qualification criteria, as described in Section 3.3, are met, they will then qualify as TickITplus Foundation Assessor.

Note that it is not intended to provide an upgrade path for Provisional TickIT Assessors; they would be expected to reapply as new entry Foundation TickITplus Assessors. The TickITplus Foundation Assessor grade is a permanent position and there will be no requirement to advance to Capability grade.

3.3 TickITplus Foundation Assessor initial registration

The following are the core criteria used to assess new entrants into the TickITplus scheme as Foundation level Assessors [RAP5].

⁶ Special, temporary arrangements are in place for those Assessors qualifying via the Pilot course – see the Administration Design Specification – Migration.

- The applicant must take the Foundation course and sit the Foundation examination – this is mandatory.
- The applicant must have an IRCA (International Register of Certified Auditors) or equivalent Lead Auditor qualification and evidence of previous audit experience, again this is mandatory.

Once these two requirements have been met, the Assessor will need to fulfil the core criteria set out below, and these are developed as the grading increases. Applicants therefore cannot come into the scheme as Foundation Assessors without any previous audit qualifications or experience – for this the Practitioner’s route is needed.

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.) It is expected, however, that many of these criteria will already have been met by virtue of the ISO 9001 Lead Auditor qualification.

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

Core Quality and Process Management competencies

All TickITplus Assessors 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.

Core QMS (Quality Management System)/IMS (Integrated Management System) auditing competencies

- knowledge of the contents of ISO 19011: *Guidelines for quality systems auditing*
- audit principles, procedures and techniques that enable application as appropriate to different audits to ensure consistent and systematic assessments

- use of management system and reference documents (a QMS/IMS) that can be comprehended 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 QMS 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.

Core IT competencies

All TickIT*plus* Assessors would be expected to have a good appreciation of the whole range of the BPL process set, at least up to SFIA level 3, which includes 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 such as project management, risk management, requirements capture, feasibility analysis, design, coding, configuration management, documentation, testing, integration, implementation, deployment, support and maintenance of software and IT systems
- a general understanding of modern computer architectures
- a general understanding of service management operations, including incident and problem management
- a general appreciation of information security issues and methods
- an awareness of procurement and integration issues as related to software and IT products
- a general knowledge of IT environments such as communications systems, networks and data centres
- a general knowledge of development issues in databases and data warehousing, real time, safety related, use of formal design methods, expert, web-based, high integrity and embedded systems, and development tools
- an appreciation of requirements capture and analysis

- an appreciation of software estimation methods such as function points
- an appreciation of the role of metrics in product quality assessment

Core academic and professional qualifications [RAP5]

- A minimum of secondary education with a nationally recognized certificate of primary level achievement.
- An IT-related qualification at a minimum of nationally recognized technical diploma level.
- A recognized quality Lead Auditor registration (e.g. IRCA QMS 2000 Lead or Principal Auditor).

Core training [RAP5]

- Recognized quality and Auditor training.

Core IT experience [RAP5]

- At least 5 years of relevant IT work experience or 4 years with an IT-related degree.
- 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.

Audit experience [RAP5]

- As required for Lead/Principal Auditor grade for TickIT or as demonstrated under the fast track criteria [RAP14]. There is no initial requirement for experience on TickIT*plus* Foundation assessments when acting as a team member: however, see Permitted Activities.

IT Skills Profile [RAP2]

- General level 4 SFIA definition across all BPL Common Processes and at least one specialist profile – self-declared.

Professional development [RAP5]

- At least 25 CPD hours, obtained over the past 2 years and showing development in at least the specialist Skills Profile declared for TickIT*plus*.

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 judged on its merits, and applicants in this position are encouraged to apply, noting the shortfall or alternative and justifying their case.

Fast track [RAP14]

Applicants may apply for fast track status by the Registrar when joining the scheme. This is to recognize previous experience in CMMI, ISO/IEC 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 three assessment credits to be added to the individual's overall score and permits the Capability course to be bypassed – but not the examination.

Permitted activities

Once the 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 have been achieved [RAP5]
 - five assessment credits on external TickIT*plus* assessments have been gained
 - 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 credits 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 [RAP5]. The experience may be gained on either second- or third-party assessments. Once Assessors have met all the requirements stated above, they are termed ‘Assessment Qualified’.

3.4 TickITplus Capability Assessor initial registration

In order to qualify for TickITplus Capability Assessor registration, the following are required [RAP6]:

- the applicant must be a registered Assessment Qualified Foundation Assessor
- the applicant must complete the Capability assessment course, unless granted ‘fast track’ status
- the applicant must pass the Capability examination – this is mandatory.

IT experience [RAP6]

- 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.

Professional development [RAP6]

At least 35 CPD hours, obtained over the past 2 years and showing development in at least the specialist Skills Profile(s) declared for TickITplus.

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 have been achieved [RAP6]:
 - 12 assessment credits on external TickITplus assessments, 8 on Bronze or Silver assessments and at least 8 for on-site activities (may apply to the same credits)
 - at least two Bronze- or Silver-grade external assessments as Lead under an Approved Reviewer have been satisfactorily conducted and verified.

The credits 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. The experience may be gained under either second- or third-party assessment. However, where a CB is employing an Assessor whose experience has been gained solely on non-third-party assessments, at least one further assessment under an Approved Reviewer should be conducted.

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’.

3.5 TickITplus Optimizing Assessor initial registration

In order to qualify for Optimizing Assessor registration, the following are required [RAP7]:

- the applicant must be an Assessment Qualified Registered Capability Assessor
- the applicant must pass the Optimizing examination. (Note that taking the Optimizing course is highly recommended but not mandatory.)

Academic and professional qualifications [RAP7]

- Internationally recognized IT degree or
- CITP (Chartered IT Professional) or equivalent professional qualification or
- submission of acceptable alternative qualifications and experience.

Where a submission of alternative qualifications is being made in lieu of formal degrees or professional qualifications, the candidate should enquire as to the suitability of their submission prior to undertaking TickITplus training.

IT work experience [RAP7]

- At least 4 years (3 years of which must be additional to the 5 years of IT-related experience) within a context where quality and quality issues formed a major part of the work.

IT Skills Profile

As for Foundation level, plus:

- level 5 on the two BPL Maturity processes [RAP4].

Professional development [RAP7]

At least 45 CPD hours, obtained over the past 3 years and showing development in at least the specialist Skills Profile(s) declared for TickIT*plus*.

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 have been achieved [RAP7]:
 - 20 assessment credits on external TickIT*plus* assessments, 10 on Gold or Platinum assessments and at least 12 for on-site activities (may apply to the same credits)
 - at least two external Gold- or Platinum-grade external assessments as Lead under an Approved Reviewer that have been satisfactorily conducted and verified, one of which must be third party.

The credits 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’.

4 TickITplus Practitioner core criteria

TickITplus 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 TickITplus Assessors except that they are required to have at least an Internal Auditor qualification.

Basic principles for Practitioner competence are:

- an appreciation 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 TickITplus in order to develop and maintain those processes within the corporate IT environment
- the ability to champion the TickITplus model with senior management and to demonstrate the business case
- to provide the resources and activities required to maintain a TickITplus assessed system, including improvements planning and implementation, data acquisition and audit support
- 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 TickITplus
- the ability to participate in an externally led external assessment as a contributing team member
- identification of appropriate Skills Profiles related to the scope of assessment with which they are involved.

4.1 TickITplus Foundation Practitioner initial registration

Core Quality and Process Management competencies

All TickITplus Foundation Practitioners would be expected to have a general appreciation of quality and process modelling concepts and management. In order to qualify for entry into the TickITplus scheme as Foundation Practitioners [RAP8]:

- All applicants must take the Foundation course and sit the Foundation examination – this is mandatory.
- 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 credits that are needed at the higher grades.

Core IT competencies

The description of Skills Profiles in Section 3.1 is also intended to apply to Practitioners, although the confirmation approach is less stringent, relying on the employing organization to verify details. However, it is important that where assessment credits on internal assessments are claimed there is some evidence that those involved have a certain level of familiarity with the BPL processes and the technical aspects of the scope being assessed.

All TickIT*plus* Foundation Practitioners would be expected to have a good appreciation of the full range of the BPL process set, at least up to SFIA level 3, as described for Foundation Assessors in Section 3.3.

Core academic and professional qualifications [RAP8]

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

Core IT experience [RAP8]

- At least 5 years of relevant IT work experience or 4 years with an IT-related degree.
- At least 2 years (which may be included in the 4 or 5 years of IT-related experience) within a context where quality and quality issues formed a major part of the work.

IT Skills Profile [RAP2]

General level 4 SFIA definition across all BPL Common Processes and at least one specialist profile – self-declared.

Professional development [RAP8]

At least 25 CPD hours, obtained over the past 2 years and showing development in at least the Skills Profiles claimed.

Fast track [RAP14]

As for Assessors, a fast track option may be applied for when joining the scheme. This is to recognize previous experience in CMMI, ISO/IEC 15504 or some other type of process assessment 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 three assessment credits to be added to the individual's overall score and permits the Capability course to be bypassed – but not the examination.

Permitted activities

Once the 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 JTISC and TickITplus have no jurisdiction at this level on how organizations conduct their internal assessments.

4.2 TickITplus Capability Practitioner initial registration

In order to qualify as Capability Practitioners, applicants must [RAP9]:

- already be qualified Foundation Practitioners or Assessors
- take the TickITplus Capability course – unless they have previously been granted fast track status by virtue of previous CMMI or similar process assessment and development methods [RAP14]
- pass the TickITplus Capability examination.

IT experience [RAP9]

- 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.

Professional development [RAP9]

At least 35 CPD hours, obtained over the past 2 years and showing development in at least the Skills Profiles claimed.

Permitted activities

Once the examination has been passed and the other criteria 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, but only once [RAP9]
 - 12 assessment credits have been obtained (8 on Bronze or Silver (first-, second- or third-party) assessments)
- a team member on Bronze grade or above external assessments, but only once
 - 8 assessment credits have been obtained (6 on Bronze grade or above external (second- or third-party) assessments).

The credits 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 3 years of initial qualification – a retest may be required otherwise. The experience may be gained under either internal, first-, second- or third-party assessment – subject to the external assessments identified above. Once Practitioners have met all the requirements stated above, they are termed ‘Assessment Qualified’.

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 credit requirements – see Core Scheme Requirements.

4.3 TickITplus Optimizing Practitioner initial registration

In order to qualify as Optimizing Practitioners, applicants must [RAP10]:

- already be qualified as Assessment Qualified Capability Practitioners or Capability Assessors
- pass the TickITplus Optimizing examination.

There is no obligation to take the Optimizing course, although this is recommended.

Academic and professional qualifications [RAP10]

- An IT-based degree
- CITP or equivalent IT professional recognition
- Submission of acceptable alternative qualifications and experience.

Where a submission of alternative qualifications is being made in lieu of formal degrees or professional qualifications, the candidate should enquire as to the suitability of their submission prior to undertaking TickITplus training.

IT work experience [RAP10]

- At least 4 years (3 years of which need to be additional to the 5 years of IT-related experience) within a context where quality and quality issues formed a major part of the work.

IT Skills Profile [RAP4]

As for Foundation level, plus:

- level 5 on the two BPL Maturity processes.

Professional development [RAP10]

At least 45 CPD hours, obtained over the past 3 years and showing development in at least the Skills Profiles claimed.

Permitted activities

Once the Optimizing examination has been passed, the 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, but only once [RAP10]
 - 20 assessment credits have been obtained (12 on Gold or Platinum (first-, second- or third-party) assessments).

Once Practitioners have met all the requirements stated above they are termed 'Assessment Qualified'.

5 Assessment logs

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 [RAP11]:

- the date and duration of assessment
- the assessment criteria, including the standards used and identified Skills 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 credits claimed and verification.

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

6 Continuing professional development

All TickIT*plus* Assessors and Practitioners will be required to maintain a record of their CPD [RAP12]. This record must be submitted at each re-registration (see Section 7), 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* 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 (Platinum Assessors)
- the Skills Profiles claimed, with verification of the required level 5 BPL Processes
- any additional BPL Processes claimed outside of the established Skills 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 specific Skills Profiles claimed. This 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.

7 Re-registration

All TickIT*plus* Assessors and Practitioners will be required to re-register every 3 years after their initial registration or regrading [RAP13]. The requirements will be as set out below according to 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.

Foundation Assessor

- Verified assessment logs with a minimum of 5 assessment credits gained in the previous 3 years with at least one external (second- or 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 Skills Profile(s) claimed.

Capability Assessor

- Verified assessment logs with a minimum of 15 assessment credits gained in the previous 3 years (a maximum of 3 on internal assessments and a minimum of 6 on external Bronze-grade or above assessments) with at least three external (second- or third-party) initial or recertification 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 Skills Profile(s) claimed.

Optimizing Assessor

- Verified assessment logs with a minimum of 15 assessment credits gained in the previous 3 years (a maximum of 3 on internal assessments and a minimum of 6 on external Gold- or Platinum-grade assessments) with at least three external third-party initial or recertification assessments (at least one of which must be Gold or Platinum grade) 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 Skills Profile(s) claimed, including the Maturity BPL Processes.

Foundation Practitioner

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

Capability Practitioner

- Internally verified assessment logs with at least 12 assessment credits gained over the last 3 years and showing at least one internal Bronze- or Silver-grade assessment as Lead Assessor plus at least one external Bronze- or Silver-grade second- 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 Skills Profile(s) claimed.

Optimizing Practitioner

- Verified assessment logs with at least 12 assessment credits gained over the last 3 years and showing at least one internal Gold- or Platinum-grade assessment as Lead Assessor, plus at least one external Gold- or Platinum-grade third-party assessment as a team member (this should be verified by the external Assessor involved or the Approved Reviewer with the CB).
- CPD records with at least 60 CPD hours recorded in the previous 3 years, and which should reflect activities in the Skills Profile(s) claimed, including the BPL Maturity Processes.

Appendix A Assessing SFIA skills levels

As described above, the SFIA skills criteria are divided into seven levels:

- 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).

SFIA further breaks these down as generic descriptions into:

- autonomy
- influence
- complexity
- business skills.

To these are added:

- comprehension – the ability to understand the overall purpose and technical content
- application – the ability to employ the concepts behind process descriptions.

Only levels 3, 4 and 5 are employed in determining competencies across TickIT*plus* BPL Processes [RAP2]. In SFIA, each level is customized to the internal model skills category. For TickIT*plus* a more generic approach is used.

Level 3 is the background appreciation and familiarity that all Assessors and Practitioners should have across the entire BPL Process model.

- Comprehension: a good understanding of how the BPL Processes are structured in relation to one another, the meanings and purpose of the process, outcome, Base Practices and work products.
- Application: how the BPL Processes are utilized in building a PRM, the types of processes defined and their relevance in assessments.

- **Autonomy:** able to independently develop a complete process model, matching the assessment scope, but with additional review. Able to plan an assessment based on an agreed PRM.
- **Influence:** able to explain the use and benefits of using the BPL process model. Interaction with the client organization's management.
- **Complexity:** an understanding of how the purposes of each Process are assessed and form a composite whole across the PRM scope. An understanding of the relationship between BPL Process purposes and outcomes and ISO 9001 quality principles.
- **Business Skills:** use of the assessment methods and tools. Demonstrate a rational and organized approach to assessment methods and their relationship to the organization's goals.

Level 4 is that which Assessors and Practitioners are expected to hold in their declared Skills Profile.

- **Comprehension:** a full understanding of the Purpose, Outcomes, Base Practices and work products of each process in the selected Skills Profile set.
- **Application:** able to assess the performance of each Process component based on supplied data and other evidence.
- **Autonomy:** able to follow an assessment schedule and allocate sufficient time to undertake effective performance evaluation. Able to identify when an escalation is required based on assessment findings.
- **Influence:** interacts with and influences assessee department and project team members and other members of the assessment team. Able to take decisions that influence assessment outcome.
- **Complexity:** able to grasp the complexity and structures of combined Processes and their interactions.
- **Business Skills:** able to undertake a quantitative assessment of Process performance and provide a quantitative and repeatable result on all selected Processes.

Level 5 is that which Assessors and Practitioners are expected to hold in the Key Processes (see Appendix B) of their declared Skills Profile when leading assessments.

- **Comprehension:** an in-depth understanding of the technical aspects of the Process and potential quality issues arising from its application.
- **Application:** an understanding of all external influences on the Process, such as other standards or regulations.









- **Autonomy:** able to lead an assessment focused on the Process, accepts accountability for assessment results.
- **Influence:** explain and influence assessee organization personnel in accepting results and identifying areas of potential improvement.
- **Complexity:** able to produce a complex assessment plan which focuses on the Key Processes in the BPL according to scope. Able to identify how quality issues in the Process implementation can impact other Processes, the overall system or the final assessment results. Able to collate and calculate overall assessment results and identify potential causes of weaknesses based on these results.
- **Business Skills:** able to convey to senior management the results and impact of assessments and deal with disputes arising from these results.

Level 5 is the only level for which independent verification is required, and this to be recorded in CPD logs. All other degrees of competencies are self-declared by the Assessor or Practitioner, but again listed in the CPD log with appropriate ongoing activities described.

Appendix B TickITplus Skills Profiles


Common Processes cover all Skills Profiles. Key Processes are those considered critical to a profile and need additional verification for Lead Assessors.

Common Key Processes cover all Skills Profiles, some Common Processes are key only for certain Skills Profiles. The following table is a super-set of the Scope Profiles shown in the Core Scheme Requirements.

BPL processes	Common Processes	ISO/IEC 27001	ISO/IEC 20000	IEC 61508		BS 25999		ISO/IEC 25030	
		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
ORG1 HR Management		Common Key Process							
ORG2 Management Framework		Common Key Process							
ORG3 Corporate Management and Legal		Common Key Process							
ORG4 Infrastructure and Work Environment Management	X			X	X		X	X	
ORG5 Improvement		Common Key Process							



BPL processes	Common Processes	ISO/IEC 27001	ISO/IEC 20000	IEC 61508		BS 25999		ISO/IEC 25030	
		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
ORG6 Measurement and Analysis		Common Key Process							
ORG7 Customer Focus		Common Key Process							
ORG8 Risk Management	X			X				X	
ORG9 Project and Product Portfolio Mgmt					X	X			X
ORG10 Life Cycle Model Management			X	X	X	X			
ORG11 Resource Management			X		X	X			X
ORG12 Security Management			X			X	X		X
PRJ1 Project Management				X	X				X
PRJ2 Decision Management					X	X	X		
PRJ3 Configuration and Change Management		X	X	X	X	X	X		X
PRJ4 Information Management			X			X	X		

TickITplus – Requirements for Assessors and Practitioners

BPL processes	Common Processes	ISO/IEC 27001	ISO/IEC 20000	IEC 61508		BS 25999		ISO/IEC 25030	
		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
PRJ5 Problem and Incident Management		X	X	X	X		X	X	X
PRJ6 IT Finance Management			X		X	X	X		X
PRJ7 Management Reporting		X	X		X	X	X		
TEC1 Data and Record Management		Common Key Process							
TEC2 Capacity Management			X			X			X
TEC3 Integration Management			X	X	X				X
TEC4 Verification		X		X				X	
TEC5 Validation		X		X			X	X	
TEC6 Transition and Release Management			X	X	X				X
TEC7 Operations Management		X	X			X			X
TEC8 Maintenance Management				X					X
TEC9 Disposal		X	X			X	X		X

BPL processes	Common Processes	ISO/IEC 27001	ISO/IEC 20000	IEC 61508		BS 25999		ISO/IEC 25030	
		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
TEC10 Stakeholders Requirement Definition		X		X				X	
TEC11 Requirements Analysis		X	X	X				X	
TEC12 Service Level Management		X	X						X
TEC13 Architectural Design		X		X					X
TEC14 Development Implementation				X					X
TEC15 Continuity, Availability and Contingency		X	X			X			X
AGR1 Acquisition and Contract Management		X	X		X	X	X		X
AGR2 Supply Management and Business Relations		X	X		X	X	X		

TickITplus – Requirements for Assessors and Practitioners

BPL processes	Common Processes	ISO/IEC 27001	ISO/IEC 20000	IEC 61508		BS 25999		ISO/IEC 25030	
		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
ITS1 Domain Engineering		X							X
ITS2 Asset and Programme Management		X	X		X	X			X
MAT1 Quantitative Performance Management	 *	Common Key Process							
MAT2 Quantitative Process Improvement	 *	Common Key Process							

* MAT1 and MAT2 processes are Common Key Processes only for Optimizing Assessors.

Appendix C TickITplus Assessor core competencies

The following table shows, for each Assessor grade, the qualification required and the necessary evidence to be provided.

Assessor grade	Quality and IT skills and experience	Education and professional	CPD hours	TickITplus qualifications	IT Skills Profile (BPL/SFIA) [RAP2]	Qualifying TickITplus audits
Foundation [RAP5]	<ul style="list-style-type: none"> Minimum 5 years (or 4 years with IT-related degree) in IT-related work Minimum 2 years quality-related work 	<ul style="list-style-type: none"> A minimum of secondary education with a nationally recognized certificate of primary level achievement Recognized national certificate in an IT-related subject at diploma level or above Recognized national quality Lead Auditor registration 	<ul style="list-style-type: none"> Minimum 25 CPD hours over last 2 years 	<ul style="list-style-type: none"> Completion of the TickITplus Foundation course and examination pass 	<ul style="list-style-type: none"> General level 4 across specialist profile (self-declared) Level 5 on specialist profile as Lead 	<p>Foundation assessments only</p> <ul style="list-style-type: none"> None required for team member only 5 assessment credits and at least 1 assessment as Lead under supervision. <p>(Exemptions for transferring TickIT Auditors)</p>
Capability [RAP6]	<ul style="list-style-type: none"> Minimum 5 years (or 4 with IT-related degree) in IT-related work Minimum 3 years quality-related work 	<ul style="list-style-type: none"> As for Foundation 	<ul style="list-style-type: none"> Minimum 35 CPD hours over last 2 years 	<ul style="list-style-type: none"> Foundation Assessor Completion of the TickITplus Capability course (unless fast track) Capability assessment examination pass 	<ul style="list-style-type: none"> As for Foundation 	<p>Bronze or Silver assessments</p> <ul style="list-style-type: none"> At least 12 assessment credits (with 8 on-site) and at least 2 full assessments as Lead under supervision Second or third party

TickITplus – Requirements for Assessors and Practitioners

Assessor grade	Quality and IT skills and experience	Education and professional	CPD hours	TickITplus qualifications	IT Skills Profile (BPL/SFIA) [RAP2]	Qualifying TickITplus audits
Optimizing [RAP7]	<ul style="list-style-type: none"> Minimum 5 years (or 4 with IT-related degree) in IT-related work Minimum 4 years quality-related work 	<ul style="list-style-type: none"> IT Degree CITP or equivalent Submission of accepted alternative qualifications and experience 	<ul style="list-style-type: none"> Minimum 45 CPD hours over last 3 years 	<ul style="list-style-type: none"> Capability Assessor Pass Optimizing examination 	<ul style="list-style-type: none"> As for Foundation Level 5 on BPL Maturity processes [RAP4] 	Gold and Platinum assessments <ul style="list-style-type: none"> At least 20 assessment credits (12 on-site) At least 2 full assessments as Lead under supervision, one of which must be third party

Appendix D TickITplus Practitioner core competencies

The following table shows, for each Practitioner grade, the qualification required and the necessary evidence to be provided.

Practitioner grade	Quality and IT skills and experience	Education and professional	CPD hours	TickITplus qualifications	IT Skills Profile (BPL/SFIA) [RAP2]	Qualifying TickITplus audits
Foundation [RAP8]	<ul style="list-style-type: none"> Minimum 5 years (or 4 years with IT-related degree) in IT-related work Minimum 2 years quality-related work 	<ul style="list-style-type: none"> Recognized national certificate in secondary education at primary level or above Recognized national certificate in an IT-related subject at diploma level or above Recognized national Internal Auditor registration 	<ul style="list-style-type: none"> Minimum 25 CPD hours over last 2 years 	<ul style="list-style-type: none"> Completion of the TickITplus Foundation course and examination pass 	<ul style="list-style-type: none"> General level 3 across specialist profile (self-declared) Level 5 on specialist profile as Internal Lead or External Lead 	<p>Foundation internal assessments</p> <ul style="list-style-type: none"> None required for a team member or Lead <p>Foundation external assessments</p> <ul style="list-style-type: none"> None required for team member

TickITplus – Requirements for Assessors and Practitioners

Practitioner grade	Quality and IT skills and experience	Education and professional	CPD hours	TickITplus qualifications	IT Skills Profile (BPL/SFIA) [RAP2]	Qualifying TickITplus audits
Capability [RAP9]	<ul style="list-style-type: none"> • Minimum 5 years (or 4 years with IT-related degree) in IT-related work • Minimum 3 years quality-related work 	<ul style="list-style-type: none"> • As Foundation 	<ul style="list-style-type: none"> • Minimum 35 CPD hours over last 2 years 	<ul style="list-style-type: none"> • Foundation Practitioner • Completion of TickITplus Capability course (unless fast track) • Capability assessment examination pass 	<ul style="list-style-type: none"> • As Foundation 	<p>Bronze/Silver internal assessments</p> <ul style="list-style-type: none"> • None required for a team member • At least 12 assessment credits for Lead <p>Gold and above internal assessments</p> <ul style="list-style-type: none"> • None required as a team member <p>All external assessment grades at Bronze and above</p> <ul style="list-style-type: none"> • At least 8 assessment credits required for a team member <p>Rules permit a limited part of team to not have credits – see Design Specification</p>

Appendix D TickITplus Practitioner core competencies

Practitioner grade	Quality and IT skills and experience	Education and professional	CPD hours	TickITplus qualifications	IT Skills Profile (BPL/SFIA) [RAP2]	Qualifying TickITplus audits
Optimizing [RAP10]	<ul style="list-style-type: none"> Minimum 5 years (or 4 years with IT-related degree) in IT-related work Minimum 4 years quality-related work 	<ul style="list-style-type: none"> IT-based degree CITP or equivalent Submission of accepted alternative qualifications and experience 	<ul style="list-style-type: none"> Minimum 45 CPD hours over last 3 years 	<ul style="list-style-type: none"> Capability Practitioner Pass Optimizing examination 	<ul style="list-style-type: none"> As Foundation Level 5 on BPL Maturity Processes 	<p>To Silver grade internal assessment</p> <ul style="list-style-type: none"> As for Capability Practitioner <p>Gold and Platinum internal assessments</p> <ul style="list-style-type: none"> At least 20 assessment credits for Lead <p>Any grade external assessment</p> <ul style="list-style-type: none"> As for Capability Practitioner

Appendix E Definitions of terms

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

Assessment credits [RAP15]

Assessment credits are a way of accumulating verifiable experience via a range of alternative routes. Any additional criteria requirements are described in the referencing Section. Each of the following may be used to count towards assessment credits, and need to be detailed in the Assessor's log and suitably verified. All the following credits may be doubled if the Assessor is reviewed during the course of the assessment by an Approved Reviewer. Note that assessment credits may be counted twice for different grades of qualification or for re-registration, providing that all the time period and other criteria are met. All assessment credits expire 3 years after award.

Credits per full audit day

Third-party initial or re-certification assessment	Foundation	Bronze	Silver	Gold	Platinum
Team member	0.1	0.2	0.3	0.4	0.5
Sole Lead Assessor	0.2	N/A	N/A	N/A	N/A
Lead Assessor with team of 1	0.3	0.6	0.7	0.8	1.0
Lead Assessor with team of 2 or more	0.4	0.8	0.9	1.2	1.4
Lead Assessor conducting planning	0.1	0.1	0.1	0.2	0.3

Credits per full audit day

Third-party surveillance assessment	Foundation	Bronze	Silver	Gold	Platinum
Team member	0.05	0.1	0.15	0.2	0.25
Sole Lead Assessor	0.1	0.2	N/A	N/A	N/A
Lead Assessor with team of 1	0.2	0.3	0.35	0.4	0.5
Lead Assessor with team of 2 or more	0.3	0.4	0.45	0.6	0.7
Lead Assessor conducting planning	0.05	0.05	0.05	0.1	0.15

Credits per full audit day

Second-party assessment	Foundation	Bronze	Silver	Gold	Platinum
Team member	0.05	0.1	0.15	0.2	0.25
Sole Lead Assessor	0.1	0.2	N/A	N/A	N/A
Lead Assessor with team of 1	0.2	0.3	0.35	0.4	0.5
Lead Assessor with team of 2 or more	0.3	0.4	0.45	0.6	0.7
Lead Assessor conducting planning	0.05	0.05	0.05	0.1	0.15

Credits per full audit day

Internal assessment	Foundation	Bronze	Silver	Gold	Platinum
Team member	0.05	0.1	0.15	0.2	0.25
Sole Lead Assessor	0.1	0.2	N/A	N/A	N/A
Lead Assessor with team of 1	0.2	0.3	0.35	0.4	0.5
Lead Assessor with team of 2 or more	0.3	0.4	0.45	0.5	0.6
Lead Assessor conducting planning	0.05	0.1	0.15	0.2	0.25

Assessment credits may also be awarded at JTISC discretion for previous Process assessment experience, e.g. CMMI-type activities, to a maximum of 3 credits. This is a once-only award, provided at the conferment of fast track status, and needs to be applied to activities over the last 2 years. It effectively expires a further 3 years after the date of award [RAP14].

Observers may also be permitted to attend third-party assessments at the discretion of the Lead Assessor. These do not contribute towards assessment credits, but can be shown on CPD logs as semi-structured training.

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.

Assessment days

Only full on-site days are counted for assessment credits; these must be of at least 7.5 hours duration. The exception is planning time, where an accumulation of part days is permitted.

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 [RAP16]:

- a registered TickIT*plus* Assessor at a grade higher than the Assessor or Practitioner being reviewed, except in the case of the review of an Optimizing Assessor – see below.
- a member of a certification bodies management with direct responsibility for certification assessment – for Foundation or Capability Assessors review only
- a member of a certification bodies management with direct responsibility for certification auditing plus a Capability or Optimizing Assessor – for Optimizing Assessor review only
- for reviewing Foundation Assessors, a Capability Practitioner or above
- for reviewing Capability Assessors, an Optimizing Practitioner.

To count as a valid review, the reviewer must be in attendance for at least 50 per cent of the assessment, and this must include the opening and closing meetings. The reviewer must complete a report detailing the type of assessment, team size and role of the Assessor, the assessee organization, the outcome results and a review of performance. This report must accompany the Assessor's log.

Appendix F Rules

Assessor and Practitioner qualification rules

- [RAP1] Transfer between Assessor and Practitioner registration is permitted at equivalent grades providing the appropriate qualifying examinations have been passed and that Assessor competence has been verified.
- [RAP2] Assessors and Practitioners are to provide supporting evidence to demonstrate competence in at least one Skills Profile, as described in RAP, Appendix B. All Assessors and

Practitioners should be able to demonstrate SFIA level 3 ability across all BPL Processes, SFIA level 4 ability across processes in their selected Skills Profiles and SFIA level 5 ability on the Key Processes in their selected Skills Profiles when leading assessments. In addition, all Assessors and Practitioners should be able to demonstrate SFIA level 4 ability for all Common Processes and level 5 if acting as Lead Assessors. SFIA level 5 compliance to be provided by either recognized qualifications or formal verification by the employing certification body.

- **[RAP3]** Assessors wishing to assess TickIT*plus* certification to include the following requirements and scope reference standards must include both external qualifications to those standards and the following Scope Profiles up to the required SFIA grade as their qualifications:
 - ISO/IEC 20000 – must include the Service Management Scope Profile
 - ISO/IEC 27001 – must include the Information Management and Security Scope Profile
 - ISO/IEC 25030 – must include the Product Validation, Quality and Measurement Scope Profile.
 - IEC 61508 – must include the Systems and Software Development and Support Skills profile
 - BS 25999/BS 25777 – must include the Corporate Strategy Planning and Management Skills Profile.
- **[RAP4]** Optimizing Assessors must include the MAT.1 and MAT.2 Processes in their Skills Profiles to SFIA level 5 grade.
- **[RAP5]** Foundation level Assessor qualifications:
 - The applicant must take an accredited TickIT*plus* Foundation course and pass the Foundation examination.
 - The applicant must possess IRCA or equivalent Lead Auditor qualifications and provide required audit experience to operate as Lead Auditors or as Lead Assessors under a recognized capability assessment scheme.
 - A minimum of secondary education with a nationally recognized certificate of primary level achievement.
 - An IT-related qualification at a minimum of nationally recognized technical diploma level.
 - At least 5 years of verifiable relevant IT work, or 4 years with an IT-related degree.
 - At least 25 CPD hours, obtained over the previous 2 years and related to the declared specialist Skills Profile(s).
 - At least 2 years (which may be included within the IT-related experience) within a context where quality and quality issues formed a major part of the work.

- Full Foundation Assessor status is only obtained once the candidate is Assessment Qualified:
 - has obtained 5 assessment credits on external TickITplus assessments
 - has conducted at least one external TickITplus Foundation assessment as Lead Assessor under the direction of an Approved Reviewer.
- All the above information and, where appropriate, verification evidence must be recorded in the candidate's personal assessment logs.
- The period between initial registration and becoming Assessment Qualified should not be longer than 2 years but may be extended to 3 years on application via GASQ with supporting evidence.
- Maintenance of Foundation grade as an Assessor requires a 3-year renewal cycle – see RAP13.
- **[RAP6]** Capability level Assessor qualifications:
 - The applicant must be a registered Assessment Qualified Foundation Assessor.
 - The applicant must complete the Capability Assessment course unless granted fast track status.
 - The applicant must pass the Capability examination.
 - At least 35 CPD hours, obtained over the previous 2 years and related to at least the declared specialist Skills Profile(s).
 - At least 3 years (2 years of which must be in addition to the IT-related experience requirements for Foundation) in a context where quality and quality issues formed a major part of the work.
 - Full Capability Assessor status is only obtained once the candidate is 'Assessment Qualified':
 - has obtained 12 assessment credits on external TickITplus assessments, 8 assessment credits on Bronze or Silver Assessments and 8 for on-site activities (may apply to the same assessment credits)
 - has conducted at least two external TickITplus Bronze or Silver assessments as Lead Assessor under the direction of an Approved Reviewer.
 - All the above information and, where appropriate, verification evidence must be recorded in the candidate's personal assessment logs.
 - The period between initial registration and becoming Assessment Qualified should not be longer than 2 years, but may be extended to 3 years on application via GASQ with supporting evidence.
 - Maintenance of Capability grade as an Assessor requires a 3-year renewal cycle – see RAP13.
- **[RAP7]** Optimizing level Assessor qualifications:
 - The applicant must be a registered Assessment Qualified Capability Assessor.

- The applicant must pass the Optimizing assessment examination.
- The applicant must hold an internationally recognized IT degree, CITP or equivalent professional qualification, or submit alternative and acceptable qualifications and experience.
- At least 4 years (3 years of which must be in addition to the 5 years of IT-related experience requirements) in a context where quality and quality issues formed a major part of the work.
- Skills Profiles – see RAP4.
- At least 45 CPD hours, obtained over the previous 3 years and related to at least the declared specialist Skills Profile(s).
- Full Capability Assessor status is only obtained once the candidate is Assessment Qualified:
 - has obtained 20 assessment credits on external TickIT*plus* assessments, 10 assessment credits on Gold or Platinum assessments and 12 for on-site activities (may apply to the same assessment credits)
 - has conducted at least two external TickIT*plus* Gold or Platinum assessments as Lead Assessor under the direction of an Approved Reviewer (one of these assessments must be third-party).
- All the above information and, where appropriate, verification evidence must be recorded in the candidate's personal assessment logs.
- The period between initial registration and becoming Assessment Qualified should not be longer than 2 years, but may be extended to 3 years on application via GASQ with supporting evidence.
- Maintenance of Capability grade as an Assessor requires a 3-year renewal cycle – see RAP13.
- **[RAP8]** Foundation Practitioner qualifications:
 - The applicant must take an accredited TickIT*plus* Foundation course and pass the Foundation examination under the conditions defined in CEX8.
 - The applicant must possess IRCA or equivalent Internal Auditor qualifications.
 - A minimum of secondary education with a nationally recognized certificate of primary level achievement.
 - An IT-related qualification at a minimum of nationally recognized technical diploma level.
 - At least 5 years of verifiable relevant IT work, or 4 years with an IT-related degree.
 - At least 2 years (which may be included within the IT-related experience) within a context where quality and quality issues formed a major part of the work.
 - At least 25 CPD hours, obtained over the previous 2 years and related to the declared specialist Skills Profile(s).

- All the above information and, where appropriate, verification evidence must be recorded in the candidate's personal assessment logs.
- Maintenance of Foundation grade as a Practitioner requires a 3-year renewal cycle – see RAP13.
- **[RAP9]** Capability Practitioner qualifications:
 - The applicant must be a registered Foundation Assessor or Foundation Practitioner.
 - The applicant must complete the Capability assessment course, unless granted fast track status.
 - The applicant must pass the Capability examination.
 - At least 3 years (2 years of which must be in addition to the IT-related experience requirements for Foundation) in a context where quality and quality issues formed a major part of the work.
 - At least 35 CPD hours, obtained over the previous 2 years and related to at least the declared specialist Skills Profile(s).
 - Full Capability Practitioner status is only obtained once the candidate is Assessment Qualified:
 - has obtained 12 assessment credits on TickIT*plus* assessments, at least 8 of which must be on first-, second- or third-party Bronze or Silver assessments.
 - All the above information and, where appropriate, verification evidence must be recorded in the candidate's personal assessment logs.
 - Maintenance of Capability grade as a Practitioner requires a 3-year renewal cycle – see RAP13.
- **[RAP10]** Optimizing Practitioner qualifications:
 - The applicant must be a registered Assessment Qualified Capability Assessor or Practitioner.
 - The applicant must pass the Optimizing assessment examination.
 - The applicant must hold an internationally recognized IT degree, CITP or equivalent professional qualification, or submit alternative and acceptable qualifications and experience.
 - At least 4 years (3 years of which must be in addition to the 5 years of IT-related experience requirements) in a context where quality and quality issues formed a major part of the work.
 - Skills Profiles – See RAP4.
 - At least 45 CPD hours, obtained over the previous 3 years and related to at least the declared specialist Skills Profile(s).
 - Full Capability Practitioner status is only obtained once the candidate is Assessment Qualified:
 - has obtained 20 assessment credits on first-, second- or third-party TickIT*plus* assessments, and 12 assessment credits on Gold or Platinum assessments.

- All the above information and, where appropriate, verification evidence must be recorded in the candidate's personal assessment logs.
- Maintenance of Optimizing grade as a Practitioner requires a 3-year renewal cycle – see RAP13.
- **[RAP11]** Assessment logs:
 - All registered Assessors and Practitioners must maintain accurate logs throughout their registration period.
 - The minimum information contained in logs shall include:
 - date and duration of all qualifying assessments
 - assessment scope, grade, first-, second- or third-party, requirements standards included and claimed Skills Profiles
 - role in the assessment
 - organization assessed – name, address, locations assessed and contact names
 - assessment sponsor and employer
 - assessment credits claimed.
- **[RAP12]** Continuing Professional Development:
 - All registered Assessors and Practitioners are required to maintain a CPD record. This is to be submitted on both initial application to a grade and on re-registration.
 - CPD activities should match the claimed Scope Profiles and at least 50 per cent of the hours claimed must address IT-related activities.
 - Methods of counting CPD hours are as follows (description of the terms included in the RAPC document):
 - unstructured – 3 hours required for each CPD hour counted
 - semi-structured – 2 hours required for each CPD hour
 - structured – each hour counted as 1 CPD hour.
- **[RAP13]** Re-registration submission:
 - All registered Assessors and Practitioners are required to submit re-registration applications with supporting information every 3 years following initial registration or re-grading according to the following criteria:
 - Foundation Assessor:
 - verified Assessment logs with a minimum of 5 assessment credits gained over the previous 3 years with at least one second- or third-party assessment conducted as Lead Assessor (the applicant must be Assessment Qualified)
 - CPD records with at least 35 CPD hours recorded in the previous 3 years.
 - Capability Assessor:
 - verified assessment logs with a minimum of 15 assessment credits gained over the previous 3 years (a maximum of 3 for internal assessments and a minimum of 6 on external Bronze or above assessments), with at least 3 second- or third-party assessments conducted as Lead Assessor

- CPD records with at least 45 CPD hours recorded in the previous 3 years.
- Optimizing Assessor:
 - verified assessment logs with a minimum of 15 assessment credits gained over the previous 3 years (a maximum of 3 for internal assessments and a minimum of 6 on external Gold or above assessments), with at least 3 third-party initial or re-certification assessments conducted as Lead Assessor
 - CPD records with at least 55 CPD hours recorded in the previous 3 years, reflecting claimed Skills Profiles and including the maturity BPL Processes.
- Foundation Practitioner:
 - CPD records with at least 40 CPD hours recorded in the previous 3 years.
- Capability Practitioner:
 - internally verified assessment logs with a minimum of 12 assessment credits gained over the previous 3 years, with at least one internal Bronze or Silver assessment conducted as Lead Assessor plus at least one second- or third-party assessment as a Team Member
 - CPD records with at least 50 CPD hours recorded in the previous 3 years.
- Optimizing Practitioner:
 - verified assessment logs with a minimum of 12 assessment credits gained over the previous 3 years, with at least one internal Gold or above assessment as Lead Assessor, plus at least one external Gold or above third-party assessment as a team member (verified by the CB representative)
 - CPD records with at least 60 CPD hours recorded in the previous 3 years, reflecting claimed Skills Profiles and including the maturity BPL processes.
- **[RAP14]** Fast track qualifications:
 - Fast track allows for more rapid qualification attainment and applies only where appropriate and verifiable evidence is supplied relating to capability assessment training and experience. Each case is judged on its merits.
 - In all cases, award of fast track status confers maximum 3 assessment credits, but this may be reduced on review.
 - Only the previous 2 years may count toward fast track award.
 - Fast track candidates may omit the Capability and Optimizing TickIT*plus* course.
 - Any awarded fast track status and assessment credits expire 3 years after conferment.
- **[RAP15]** Assessment credits:
 - The award of assessment credits is based on the tables in RAPC, Appendix E, and may be doubled if the Assessor is reviewed on the awarding assessment by an Approved Reviewer.
 - Assessment credits must be recorded in Assessor logs.
 - All assessment credits expire 3 years after their award.

- **[RAP16]** Approved Reviewer qualifications – either of the following:
 - Must be a registered Assessor at a grade above the Assessor or Practitioner being reviewed, except for the review of Optimizing Assessors or Practitioners, when the reviewer must be both a registered Capability or Optimizing Assessor or Practitioner and a member of the CB management team with direct responsibility for TickIT*plus* certification assessments.
 - A member of the CB management team with direct responsibility for TickIT*plus* certification assessments – for reviewing Foundation or Capability Assessors and Practitioners only.
 - A Capability or above Practitioner may review Foundation Assessors.
 - An Optimizing Practitioner may review a Capability Practitioner.
 - Approved Reviewers must be in attendance for at least 50 per cent of the assessment being reviewed, and must attend both the opening and the closing meeting.
 - The Approved Reviewer must compile a full report of the review, covering:
 - the name and type of organization being assessed
 - the type of assessment – including scope and grade
 - the team size
 - the Assessor’s or Practitioner’s role in the assessment
 - the assessment outcome
 - report on the Assessor’s or Practitioner’s performance, giving positive verification of any claims.
- **[CEX8]** For examinations to be valid, the following rules apply:
 - The examination, or resit examination, must be taken within 12 months of taking the related course, unless fast track status has been approved.
 - If the course taken was based on a Scheme Document Baseline (SDB) which is invalid at the time of taking the examination, and a delta course is available, that additional delta course must be taken prior to the examination.
 - If the course and examination undertaken are identified as ‘Pilot’, (or the course was a provisional course that was not subsequently accredited), the follow-up delta course and/or examination – if required – must be taken within 12 months of completing the course.