

TickITplus supports remote audits of quality systems

Paul Breslin, DNV UK Business Assurance, paul.breslin@dnv.com, 07881 500363, www.dnv.co.uk

07 July 2022

Webinar: Housekeeping



- Your microphone is automatically muted



- You can ask your questions using the "questions" panel. If there is time, we will answer your questions at the end of the presentation.



- The webinar will be recorded and the slides and recording will be sent to all participants in the following days

In this webinar

- Introduction
- Accredited certification & Covid
- TickITplus scheme overview
- Remote audits using TickITplus
- Summary
- Q&A





WHEN TRUST MATTERS

Introduction

Presenter



Paul Breslin

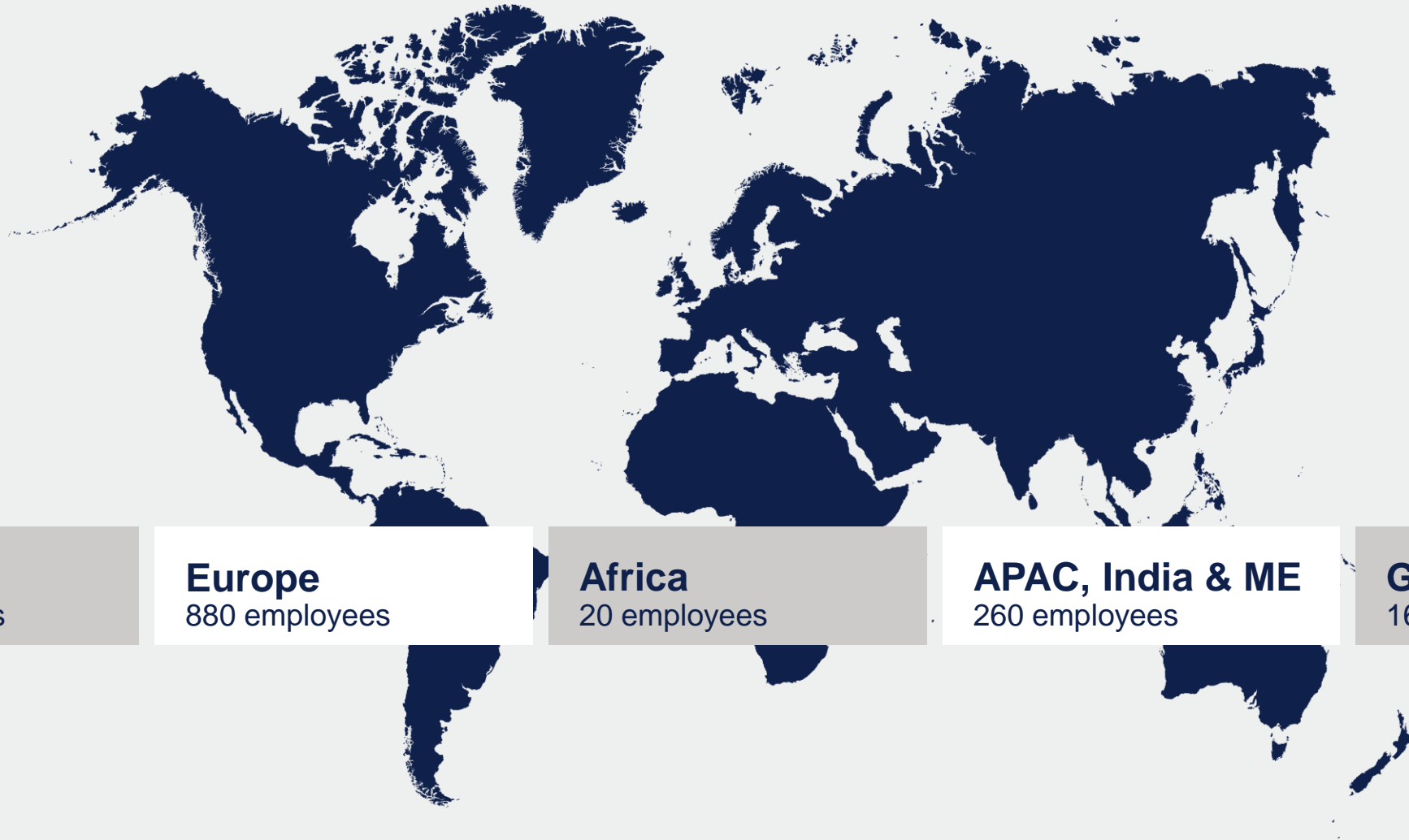
ICT Sector Leader,
Certification UK

Paul Breslin is the ICT Sector Leader for DNV Business Assurance in the UK and also the DNV Global Scheme Responsible for TickITplus.

He is responsible for developing and managing the technical delivery of DNV's TickITplus services including delivering accredited TickITplus audits covering systems & software quality, IT service management and information security. His background is in high integrity systems evaluation and validation before then moving into management systems certification. Paul was DNV's representative as a founding member of the TickITplus scheme.

DNV Business Assurance - Global presence, local experts

Extended network of 3,400+ auditors and trainers and 30+ accreditations



Americas
190 employees

Europe
880 employees

Africa
20 employees

APAC, India & ME
260 employees

Greater China
165 employees

Main services

- **Management system certification**
- Product assurance
- Supply chain governance
- Risk advisory
- Sustainability assessment
- Digital assurance
- Training

Main sectors

- Food and beverage
- Aquaculture
- Automotive and aerospace
- **ICT**
- Medical technology and healthcare




WHEN TRUST MATTERS

Accredited certification & Covid

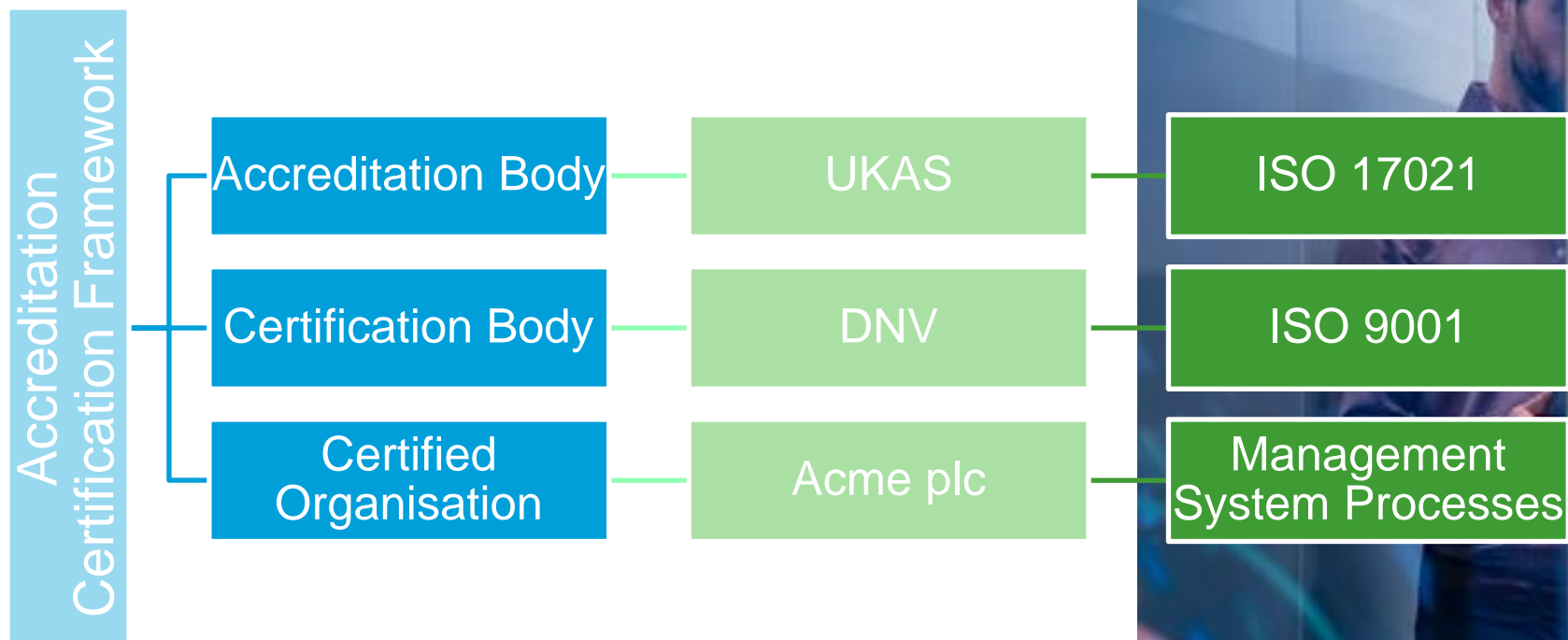
The ISO market

The annual ISO Survey shows the number of valid certificates to ISO management system standards worldwide. Total number of active ISO certificates is more than 1.3 million (end of 2019).

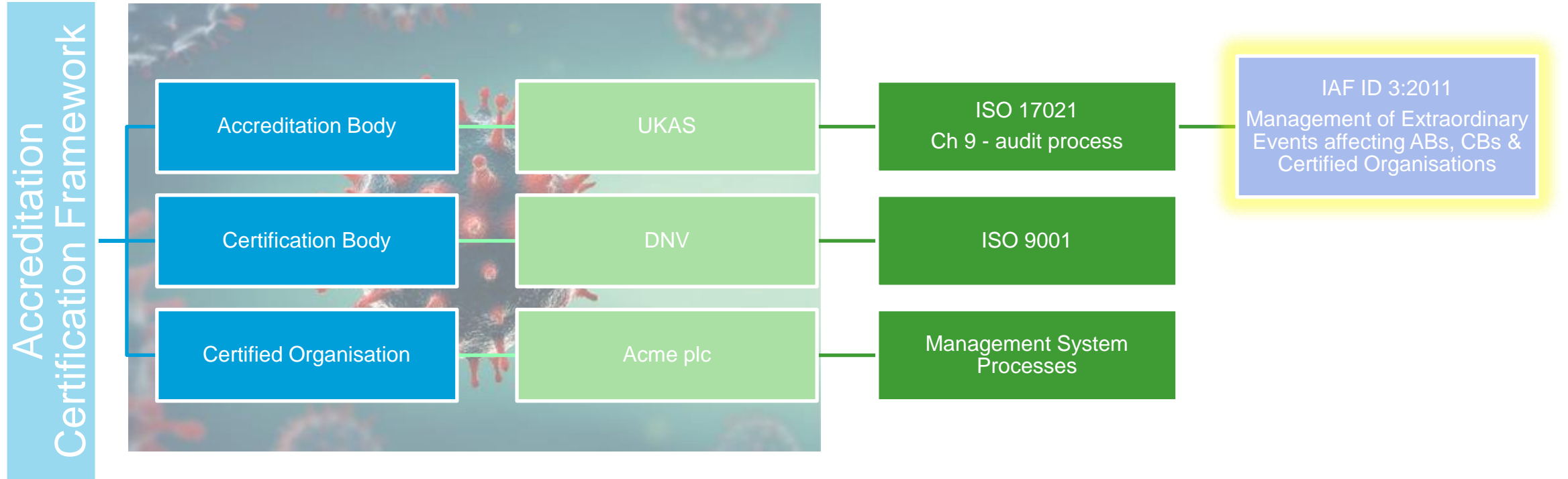
GLOBAL		United Kingdom	
ISO Standard	2019	2019	
ISO 9001 - Quality Management System	883,521	25,292	
ISO 14001 - Environmental Management System	312,580	11,420	
ISO 27001 - Information Security Management	36,362	2,818	
ISO 22000 - Food Safety Management System	33,502	91	
ISO 45001 - Health & Safety Management System	38,654	2,954	
ISO 13485 - Medical Devices QMS	23,045	716	
ISO 50001 - Energy Management	18,227	1,184	
ISO 20000 - Information Technology	6,047	157	
ISO 22301 - Business Continuity Management	1,693	305	

[Learn more >](#)

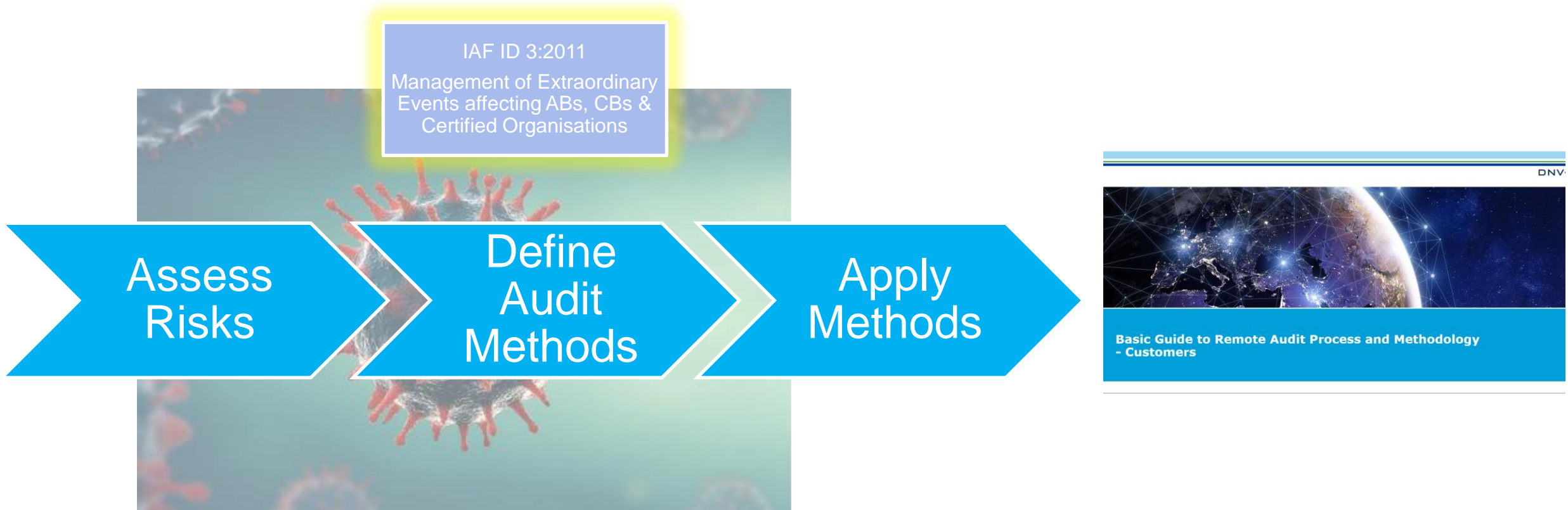
Accredited Certification - stakeholders and rules



Accredited Certification - impact of Covid



Accredited Certification - coping with Covid





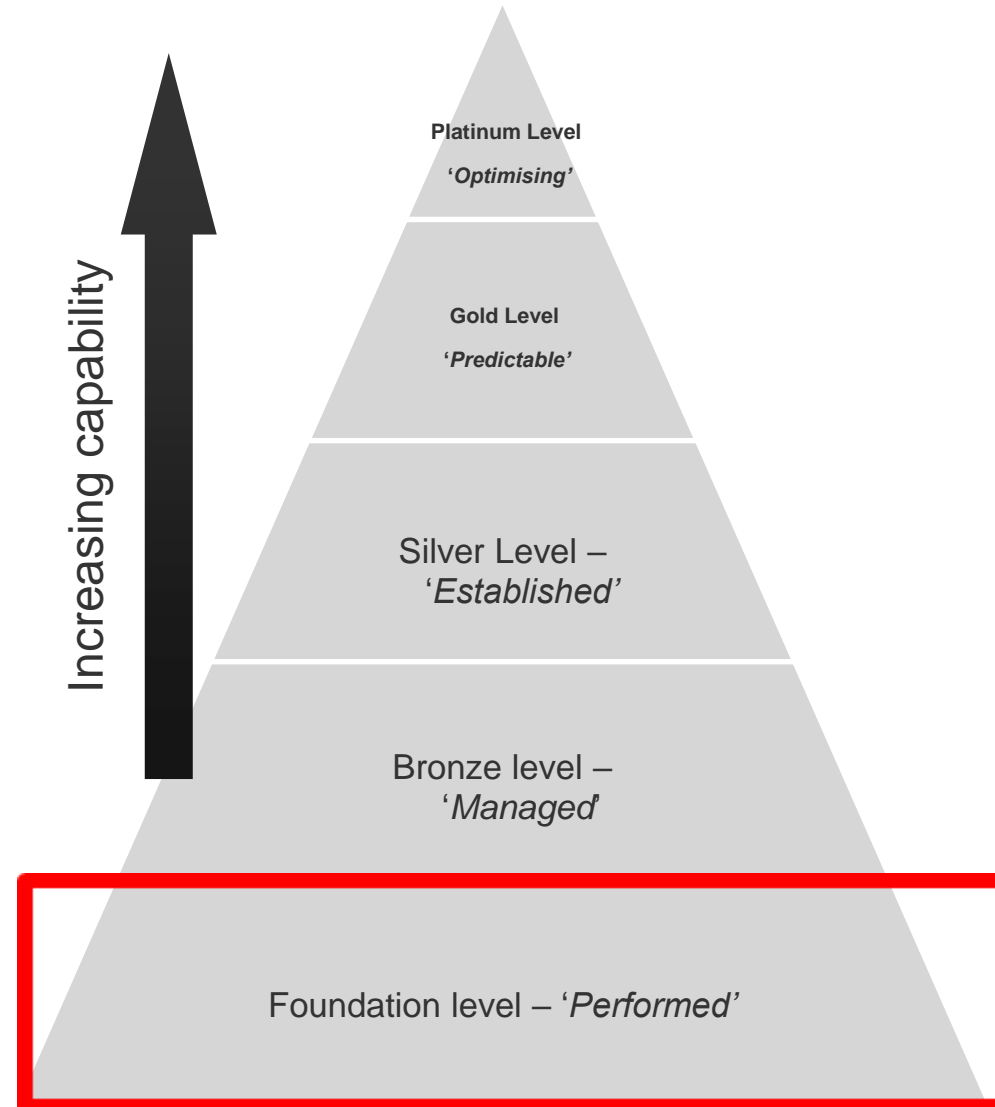
WHEN TRUST MATTERS

An overview of TickITplus



TickITplus on a page

- Process model formally based on IT sector best practice standards.
- Graded certification so you have a quantifiable measure of your organisation's capability
- Integrated with ISO 9001 accredited certification with extensions to ISO 20000 (service management) and ISO 27001 (security)
- Focus on improvements planning required at all levels.



TickITplus Scheme Documentation

- **Base Process Library v1.3.0**

- Defines 40 processes in six categories
- Covers full range of IT sector activities
- Issued and maintained by the scheme
- Directly coupled to ISO standards

- **Core Scheme Requirements v1.2.0**

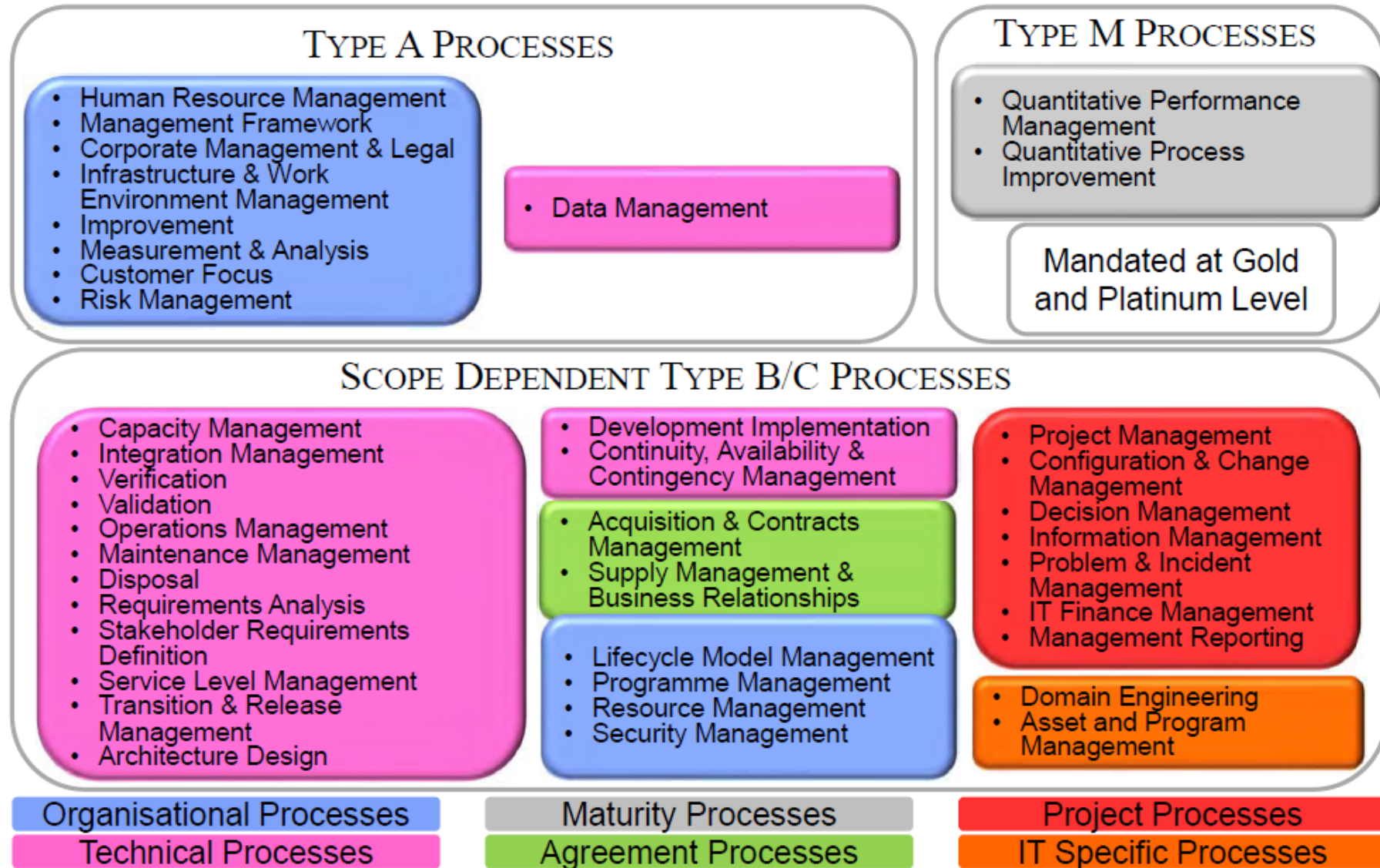
- Defines the capability measurement framework
- Rules for performing process assessments using the Base Processes
- Explains the key documents and records needed to support an assessment.

See TickIT^{plus} website for other products:

<http://www.tickitplus.org/Guidance/Guidance-Products.aspx>



TickITplus process model (BPL)



Benefits of TickITplus

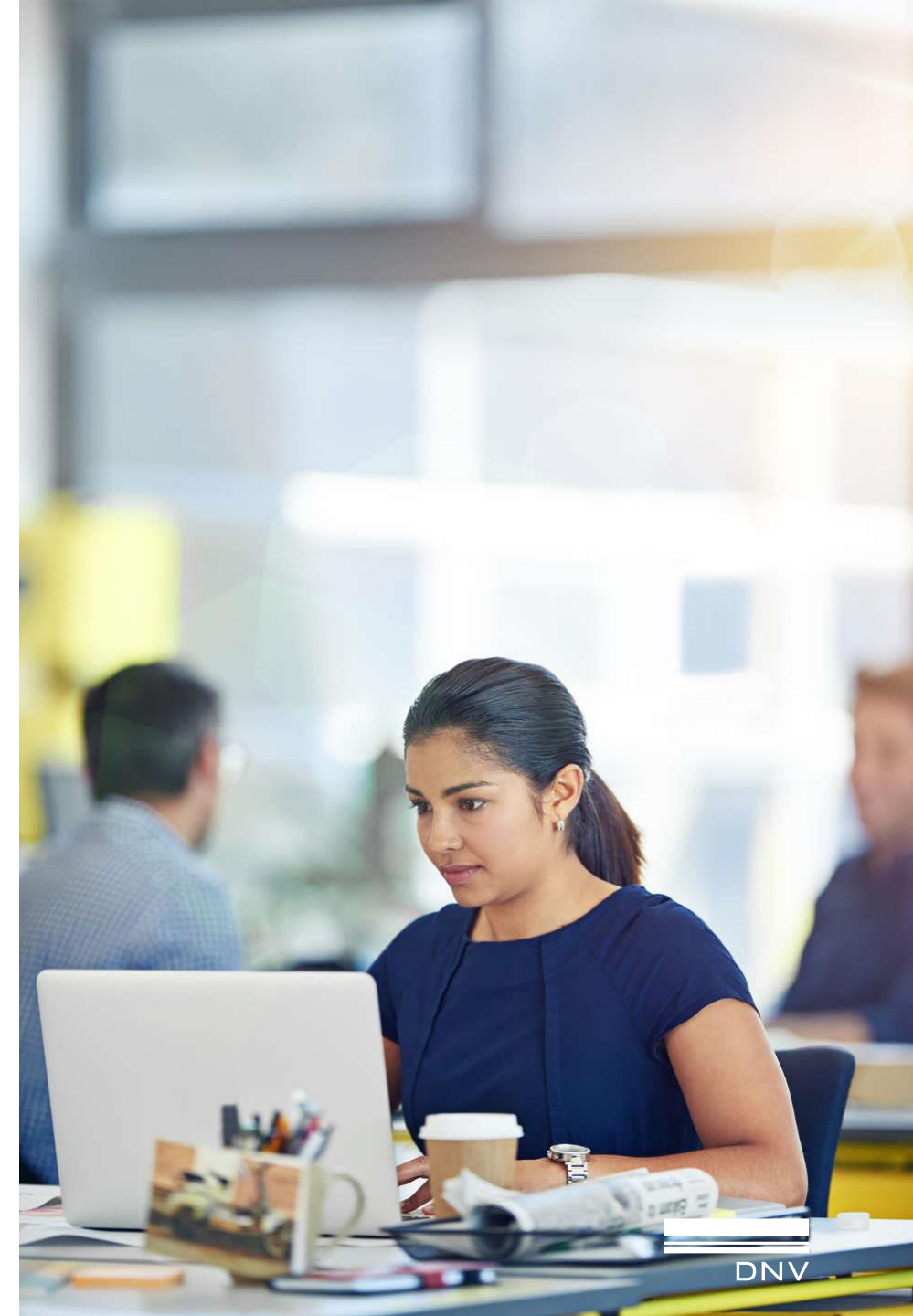
- *Maintains the ISO High Level Structure & the Plan Do Check Act cycle*



Benefits of TickITplus

“From conformance to performance”

- **Driver for continual improvement**
- **Embeds ICT processes in support of business goals**
- Gives a clear indication of your organisational capability
- Reduces organisational disruptions through integrated assessments
- Direct involvement in assessments by organisations staff
- Cost savings for organisations pursuing accredited certification and capability measurements





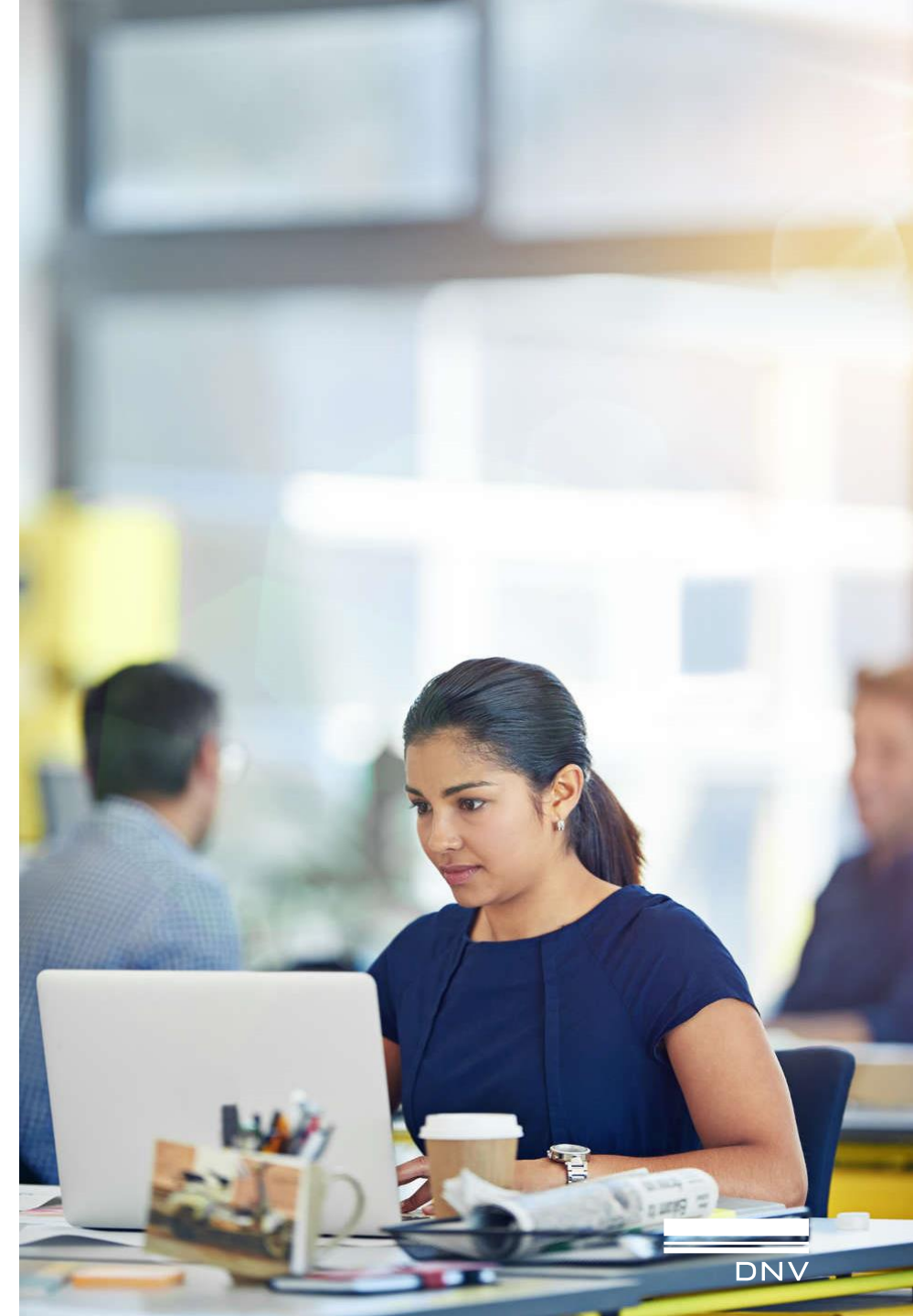
WHEN TRUST MATTERS

Remote audits using TickITplus



Assessment Strategy

- Key internal reference to help you understand exactly how TickIT *plus* is being implemented in your business
- Mandatory external document that allows you to engage effectively with your Assessor
- Defines key information about your TickIT *plus* system
 - functions & activities in scope ,
 - organisation size & structure,
 - TickITplus processes implemented (scope profile),
 - improvement approach
 - interface to wider business (partial scopes only)



Process to Scope Profile Mapping

Process to Scope Profile Mappings	Information management and security	Service management	Systems and S/W Development and support	Project and programme management	Corporate strategy planning and management	Legal and compliance	Product validation, quality and measurement	IT Systems engineering and infrastructure
Human Resource Management	✓	✓	✓	✓	✓	✓	✓	✓
Management Framework	✓	✓	✓	✓	✓	✓	✓	✓
Corporate Management and Legal	✓	✓	✓	✓	✓	✓	✓	✓
Infrastructure and Work Environment Management	✓	✓	✓	✓	✓	✓	✓	✓
Improvement	✓	✓	✓	✓	✓	✓	✓	✓
Measurement and Analysis	✓	✓	✓	✓	✓	✓	✓	✓
Customer Focus	✓	✓	✓	✓	✓	✓	✓	✓
Risk Management	✓	✓	✓	✓	✓	✓	✓	✓
Project Portfolio Management			✓	✓	✓	✓	✓	✓
Lifecycle Model Management		✓	✓	✓	✓	✓	✓	✓
Resource Management		✓	✓	✓	✓	✓	✓	✓
Security Management	✓	✓	✓	✓	✓	✓	✓	✓
Project Management			✓	✓	✓	✓	✓	✓
Decision Management			✓	✓	✓	✓	✓	✓
Configuration and Change Management	✓	✓	✓	✓	✓	✓	✓	✓
Information Management	✓	✓	✓	✓	✓	✓	✓	✓
Problem and Incident Management	✓	✓	✓	✓	✓	✓	✓	✓
IT Finance Management		✓	✓	✓	✓	✓	✓	✓
Management Reporting	✓	✓	✓	✓	✓	✓	✓	✓
Data and Record Management	✓	✓	✓	✓	✓	✓	✓	✓
Capacity Management		✓	✓	✓	✓	✓	✓	✓
Integration Management		✓	✓	✓	✓	✓	✓	✓
Verification	✓		✓	✓	✓	✓	✓	✓
Validation	✓		✓	✓	✓	✓	✓	✓
Transition and Release Management		✓	✓	✓	✓	✓	✓	✓
Operations Management	✓	✓	✓	✓	✓	✓	✓	✓
Maintenance Management			✓	✓	✓	✓	✓	✓
Disposal	✓	✓	✓	✓	✓	✓	✓	✓
Stakeholder Requirement Definition	✓		✓	✓	✓	✓	✓	✓
Requirements Analysis	✓	✓	✓	✓	✓	✓	✓	✓
Service Level Management	✓	✓	✓	✓	✓	✓	✓	✓
Architectural Design	✓		✓	✓	✓	✓	✓	✓
Development Implementation			✓	✓	✓	✓	✓	✓
Continuity, Availability and Contingency Management	✓	✓	✓	✓	✓	✓	✓	✓
Acquisition and contracts management	✓	✓	✓	✓	✓	✓	✓	✓
Supply Management and Business Relationships	✓	✓	✓	✓	✓	✓	✓	✓
Domain Engineering	✓		✓	✓	✓	✓	✓	✓
Asset and Programme Management	✓	✓	✓	✓	✓	✓	✓	✓
Intuitive Performance Management	✓	✓	✓	✓	✓	✓	✓	✓
Quantitative Process Improvement	✓	✓	✓	✓	✓	✓	✓	✓

**22 processes
to be mapped**

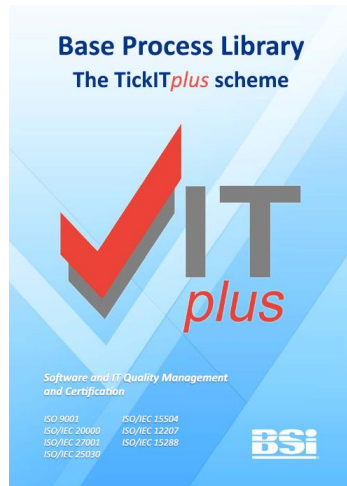


BASE PROCESS STRUCTURE

- Each process has a common structure

ID & Name
Purpose
Base Practices
Work Products

- Here is an extract of part of process ORG.8 'Risk Management'



Process ID	Process Name				
ORG.8	Risk Management				
Process Purpose	To avoid or mitigate potential future events that could adversely affect reaching business objectives.				
	Process Base Practices	Work Products	ISO 9001	ISO 20000-1	ISO 27001:13
	BP.1 Define Risk Management Procedure	WP1. Risk Management Procedure	4.2.1d) 4.2.3 8.5.3	4.3.1 4.5.5.1 6.6.1c)	6.1.2 6.1.3
	BP.2 Establish Risk Management Plan	WP2.Risk Management Plan	4.2.1d) 5.1a) 5.5.1	4.5.2j) 6.6.1b)	6.1.1 6.1.2
	BP.3 Identify and Analyse Risks	WP3.Risks WP4.Risk Mitigation Actions	8.5.3	4.5.3d) 4.5.4.3d) 4.5.5.2a) 5.2f) 6.3.1 6.6.1d) 6.6.3a)	6.1.1 6.1.2 6.1.3 8.2 8.3
	BP.4 Track Risks	WP5.Risk Records	8.5.3	4.5.3d) 4.5.4.3e) 6.6.2	6.1.3 8.3
	BP.5 Report Status and Escalate	WP6.Risk Reports	5.6.2d) 8.5.3	4.5.4.3e) 4.5.4.3h)	9.3
	BP.6 Analyse Risk Management Performance	WP7.Improvement Request	5.6.3a) 8.2.3 8.4	4.5.4.3b)	10.2 9.1

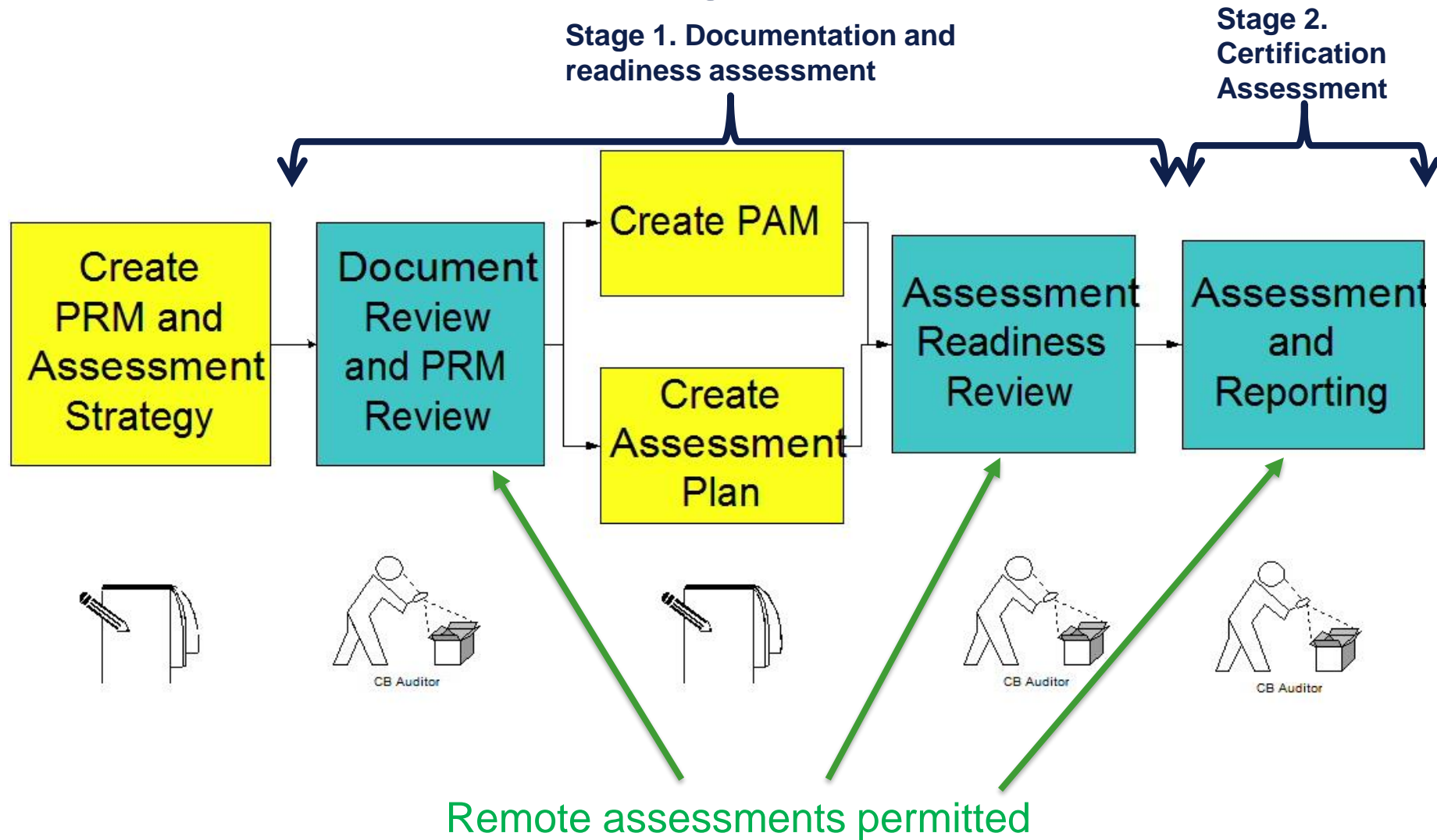
Process Reference Model (PRM)

Process ID	ORG.8	Process Name	Risk Management		
Process Purpose	To avoid or mitigate potential future events that could adversely affect reaching business objectives.				
	Process Base Practices	Work Products	Acme Reference	Acme Notes/Comments	
	BP.1 Define Risk Management Procedure	WP1. Risk Management Procedure	Risks & Preventive Action Procedure	The Risks & Preventive Action Procedure is in the Quality Manual.	
	BP.2 Establish Risk Management Plan	WP2. Risk Management Plan	Risks and Preventive Actions Register	The register contains the plan for managing each risks.	
	BP.3 Identify and Analyse Risks	WP3. Risks WP4. Risk Mitigation Actions	Risks and Preventive Actions Register	The register contains both the risks and the mitigation actions.	
	BP.4 Track Risks	WP5. Risk Records	Risks and Preventive Actions Register	Development risks are tracked and reviewed as needed as part of the review of the Register and specifically during the Management Review process.	
	BP.5 Report Status and Escalate	WP6. Risk Reports	Risks and Preventive Actions Register Monthly Development Group Report	Development Risks are made available to all of the team in SharePoint. Escalation, if needed, will be through the management chain.	
	BP.6 Analyse Risk Management Performance	WP7. Improvement Request	Risks and Preventive Actions Register Development Group Improvement Plan	Data analyzed include: resolution time, SLA performance, customer satisfaction, escalations, complaints	

So, what is a PRM?

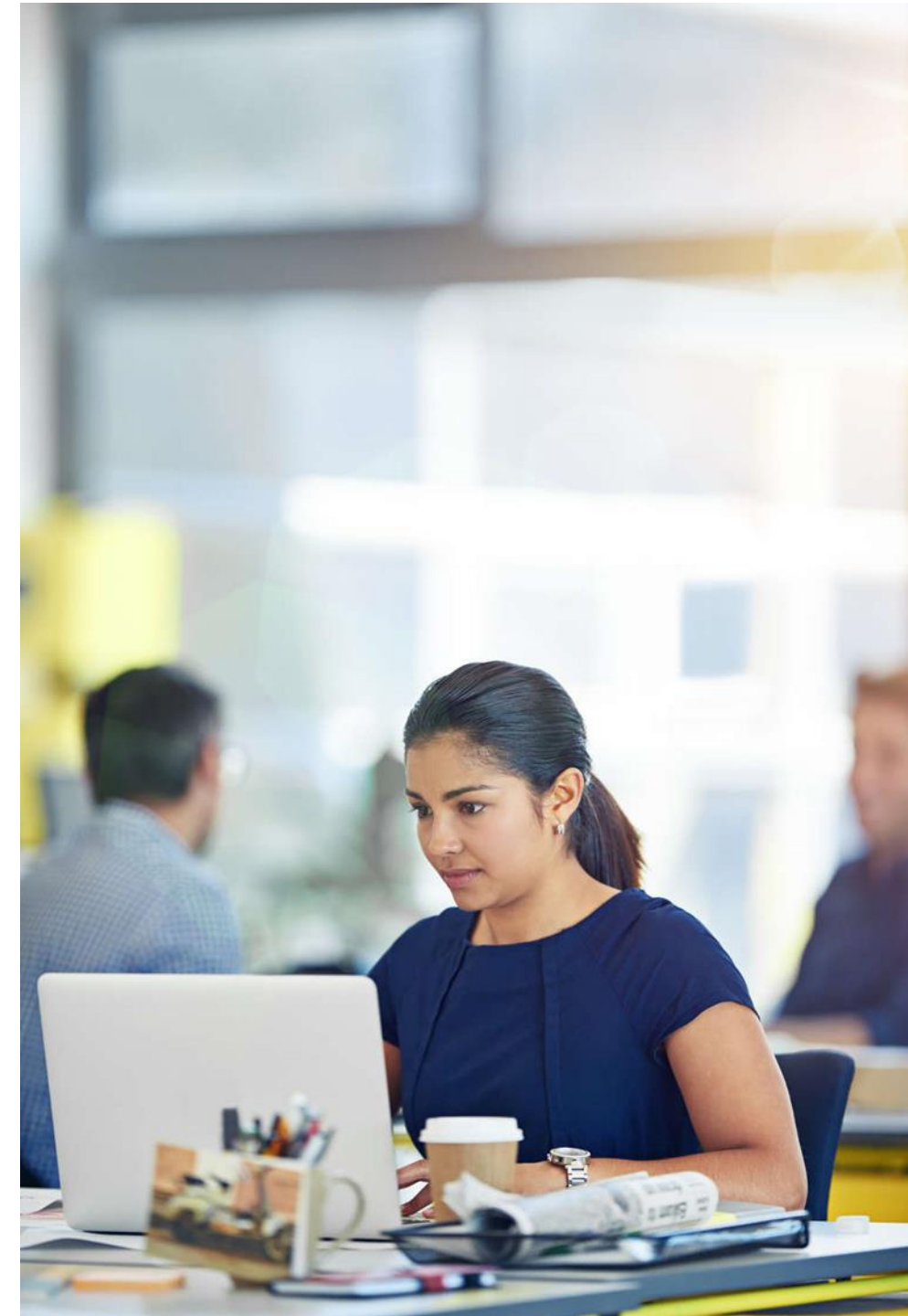
- “The PRM provides a mapping between the BPL processes required to satisfy the organization’s TickIT^{plus} scope and the processes defined in the organization’s Integrated Management System (IMS).” TickIT^{plus} Core Scheme Requirements v1.2.0, sect 3.2
- You must have one!
- Provides reference point for the remote assessment
- **IMPORTANT** - the evidence is thus pre-defined and, typically, electronic!

TickIT^{plus} Assessment stages



Assessment modes supporting remote audits

- **Exploration mode** - *pretty good*
 - *TickITplus Assessor seeks & confirms work product evidence for the sampled processes*
 - *Similar mechanism to a standard ISO audit*
- **Confirmation mode** - *even better*
 - *Organisation gathers work product evidence & Practitioner verifies it in advance of the audit*
 - *TickITplus Assessor corroborates & confirms the evidence.*





WHEN TRUST MATTERS

Summary

Key points

- Impact of Covid on Management Systems Certification sector is lasting & profound
- Rules for remote audits as part of certification delivery are being embedded
- ICT sector is well placed to benefit from those rules to maintain accredited certification effectively & efficiently
- TickITplus scheme for ISO 9001 certification has built-in features that support remote audits particularly well .





WHEN TRUST MATTERS

Questions & Answers



Over to you



Next Steps

- The recording & slides will be available to all attendees after the webinar

Thank you for attending the webinar

Paul Breslin, DNV UK Business Assurance

paul.breslin@dnv.com

07881 500363

www.dnv.com

