



TickIT^{plus} Implementation Note

Title	Changes to the Core Scheme Requirements V1.1.2		
Date	January 2014	Reference	TIN010-1401
Originator	Dave Wynn	Version	v1r0
Key Terms	Core Scheme Requirements		

The CSR has been updated to version V1.1.2 with a number of changes ranging from minor typographical and grammar changes effecting the clarity and interpretation of the content to those directly changing or adding defined rules. The table below list all the changes along with a brief explanation were appropriate and necessary.

The main changes are:

1. The reference to 'grades' has been changed to 'levels' to be more in keeping with ISO/IEC 15505.
2. References to standards have been corrected and versions of standards has been dropped as these will be specified in the current Base Process Library and updated as needed.
3. There is a consistent use of registered Assessor, Practitioner and registered Practitioner
4. A greater emphasis has been placed on ensuing that the underlying requirement standards such as ISO 9001, ISO/IEC 20000-1 and ISO 27001 are fully addressed in implementing a management system under TickITplus and assessed during a formal assessment.
5. Clarification that a PAM is needed at all assessments other that a Transition, Surveillance or Special Assessment.
6. Checking the improvement process has changed from every Assessment to routine assessments unless the sampling requirements explicitly require it to be checked, see section 10.
7. The ACI calculations have been changed to accommodate different scopes, standards and levels
8. New rules on checking all processes in all work groups in the Implemented Process sample and using the Not Yet Implemented characterization.
9. Clarification that any included Type-C processes must be assessed to at least level 1
10. New example of a process table with multiple outcomes where one outcome only relates to an additional standard
11. More examples of characterization roll-up given different scenarios
12. New section (11) and associated rules added addressing accreditation requirements

#	Ref	Rule	Comments
1	-	-	Reference to 'grades' changed to 'levels' throughout the document as a more appropriate phrase to use
2	-	-	"/IEC" added to references to ISO 27001, ISO 20000-1 and ISO15504 throughout document
3			Consistent use of "registered Assessor", "Practitioner" and "registered Practitioner" throughout document.
4			Reference to specific versions of standards has been removed
5	000020		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, "core" changed to "primary" • 1st sentence, "as such, formal certification to ISO 9001:2008 as a minimum" changed to "as such, provides formal certification to ISO 9001 as a minimum" • Last sentence, "applicable" changed to "available"
6	000040		Very minor wording changes: <ul style="list-style-type: none"> • 1st Sentence, "scope definition" changed to "scope determination" to be consistent with section 2 title.
7	000050		Added description of the on-line change request mechanism



TickIT^{plus} Implementation Note

8	000060		Added clarification about participants in an assessment and the registration process
9	000100		Minor wording changes: <ul style="list-style-type: none"> List introduction, "There are three scope domains:" changed to "Three scope domains exist:"
10	000110		Minor wording changes: <ul style="list-style-type: none"> 1st bullet, "details" changed to "covers"
11	000120		Minor wording changes: <ul style="list-style-type: none"> 2nd bullet, "details" changed to "covers" and "requirement standard" changed to "selected Requirement Standard"
12	000130		Minor wording changes: <ul style="list-style-type: none"> 3rd bullet, "details" changed to "covers" and "covered under" changed to "addressed by"
13	000170		Minor wording changes: <ul style="list-style-type: none"> 1st sentence, "defines" changed to "has defined" and "that are" inserted before "required to achieve"
14	000180		Reference to further details for Scope Profiles in Appendix C moved to after the Scope Profile list, see REF000263
15	000263		New paragraph provides reference to further details on Scope Profiles in Appendix C, Table 7.
16	000270		Minor wording changes: <ul style="list-style-type: none"> 1st sentence, "the" inserted before "Scope Profiles" and "pre" replaced with "TickITplus"
17	000273		Better wording of paragraph about additional Scope Profiles in the future.
18	000277	CSR015	New paragraph and rule ensures that the scope of the organization represents a product or service as required by core standard, ISO 9001. The paragraph also clarifies that additional standards such as ISO/IEC 27001 and ISO/IEC 20000-1 cannot exist on their own.
19	000290		Paragraph changed to drop the references to additional standards such as ISO/IEC 27001 and ISO/IEC 20000-1 as these are now included, but leaves ISO 22301 as an example.
20	000320		Minor wording changes: <ul style="list-style-type: none"> 1st sentence, "aspect" changed to "principle"
21	000380		Clarified the use of Type B and Type C process
22	000460		The word 'optional' removed from "core and optional supplementary..." as the supplementary outcomes are already optional depending on the standard included in the scope.
23	000500		'Figures' changed to 'Tables' and added reference to another table (12a) in Appendix D covering outcomes.
24	000510		Added sentence about JTISC issuing progressing updates to the BPLB
25	000520		Old paragraph 000520 split into two paragraphs (000520 and 000525) with paragraph 000520 describing major and minor changes to the BPL
26	000525	CSR030	Separate paragraph 000525 covering existing rule CSR030
27	000530		Dropped reference to Figure 4 in Appendix D, as it no longer exists.



TickIT^{plus} Implementation Note

28	000600		Minor wording changes: <ul style="list-style-type: none"> 2nd bullet, “normally” changed to “typically” and “can be interpreted as the” changed to “are the”
29	000610		Added “work products” to the sentence that the organization’s management system must satisfy both the base practices and work products identified in the BPL.
30	000615		New paragraph emphasize that the construction of the management system must address the requirements of the in-scope standards with ISO 9001 being the minimum.
31	000650		Bullet point changed to require that the PRM must reference the base practice being addressed
32	000660		Bullet point dropped
33	000670	CSR070	The old bullet point 000650 relating to the mapping of the organizational IMS defined processes, procedures and work instructions and bullet point 000660 relating to the mapping of the organizations IMS work products have been combined into bullet point 000670 which also talked about the reference to the organizational defined process or processes. The requirement for including identification and the version has been dropped, but in practice the identification will still be needed.
34	000690	CSR680	Minor wording changes: <ul style="list-style-type: none"> 1st sentence, “...and identify the amendment history” changed to “...and shall include an amendment history”
35	000710		Minor wording changes: <ul style="list-style-type: none"> 1st sentence, “record of” changed to “framework which records” and “amongst other aspects covered later” deleted
36	000720		Minor wording changes: <ul style="list-style-type: none"> 1st sentence, “organizationally” changed to “of the organization’s”
37	000930		“(and attributes for Bronze and above)” added to bullet point because attributes are characterized at levels above Foundation, not outcomes. Although technically, the outcomes are actually categorised under the Process Attribute PA1.1.
38	000940		Bullet point clarified to cover all levels through the use of process attributes
39	000950		Bullet point deleted as it is included in the preceding bullet point, 000940
40	000970	CSR130	Rule wording changed to state that a PAM is required for all assessment other than transition, surveillance and special assessments.
41	001080		“if any” added to the end of the bullet point because there might not be any Type-C processes included.
42	001160		Reference to the improvement process being a Type A process
43	001170	CSR170	Rule changed from checking the Improvement process at ‘every assessment’ to all ‘routine assessments’ or if it is the subject of a special assessment” or explicitly required by the sampling rules in section 10. So, the improvement process wouldn’t need to be checked at a special assessment (unless Improvement was the subject of the special assessment).
44	001220		Minor wording changes: <ul style="list-style-type: none"> 1st bullet, “include” changed to “comprise of”



TickIT^{plus} Implementation Note

45	001230		“qualified Practitioner” changed to “registered Practitioner” and additional clarification that the team must be made up of Practitioners.
46	001300	CSR270	Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, “There are three main activities that shall” changed to “Three main activities shall”
47	001320		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, “so as to ensure” changed to “to ensure”
48	001390		Bullet point split to cover registered Assessors in one bullet point (001390) and registered Practitioners in a new bullet point, 0001395
49	001395		New bullet point added, see above.
	001470		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, “either” added before “on site”
50	001650		Minor wording changes: <ul style="list-style-type: none"> • 2nd sentence, “combination deleted before “is known as”
51	001655 (001730)	CSR440	This paragraph has been moved to the start of section 7.2.1 – Assessment mode, so that the processes to be explored and those to be confirmed must always be identified in the PAM (new paragraph 001655) rather than in Assessment Plan (old paragraph 001730)
52	001670		Minor wording changes: <ul style="list-style-type: none"> • 2nd sentence, “the of processes” changed to “the implantation of processes”
53	001700		Minor wording changes: <ul style="list-style-type: none"> • 2nd sentence, “of compliance” added to the end of the sentence
54	001710		Clarification of why there are no explicit rules for exploration mode
55	001730 (001655)	CSR440	Paragraph moved to 001655
56	001740	CSR450	Minor wording changes: <ul style="list-style-type: none"> • “evaluated” changed to “assessed”.
57	001830 to 001880		All the calculations under this section (references between 001830 and 001880) have been revised (references between 1830 and 1887) to better cover different scopes and higher levels of capability.
58	001910		Minor wording changes: <ul style="list-style-type: none"> • 1st bullet, “ISO 17021 shall be used as required” changed to “ISO/IEC 17021 governing the requirements or competency, consistency and impartiality of audit and certification shall be followed”
59	001913 (001920)	CSR500	Old bullet point 001920 now 001913 and additional guidance added for the use of Table 3 stating that the figures in Table 3 are only a starting point for calculating the effort required to complete the assessment.
60	001917	CSR503	New rule to ensure that all in-scope processes are considered against all work groups in the IPS.
61	001920	CSR507	New rule to ensure that if a process is not applicable to a work group then the reason is stated and the process for work group marked N/A in the PAM
62	001930		The second sentence starting “In essence, they are calculated...” has been deleted as it is covered in the calculations above.
63	001940		Paragraph now references appendix G for examples of calculating effort and the ACI.



TickIT^{plus} Implementation Note

64	001950	CSR510	Clarification of the information needed by JTSC
65	001970		New bullet point requiring the number of implemented processes checked in exploration and confirmation to be submitted to JTISC
66	001980		New bullet point requiring the level being assessed to be submitted to JTISC.
67	001990		Bullet references 001990 to 002050 are equivalent to the old bullet references 001970 to 002030, i.e. they have been incremented by 20
68	(002040)		The old paragraph reference 002040 relating to examples given in Appendix G has been deleted as it has already been mentioned.
69	002060		From this reference 002060 until paragraph reference 002210 but not including 002210, all old references (002050 to 002190) have been incremented by 10.
70	002130 (002120)		Minor wording changes: <ul style="list-style-type: none"> • 2nd bullet, “external Assessors” changed to “CB registered Assessors”
71	002160 (002150)		Minor wording changes: <ul style="list-style-type: none"> • 4th bullet, “qualified” changed to “registered”
72	002180 (002170)		Minor wording changes: <ul style="list-style-type: none"> • 7th bullet, “in the employment” changed to “employed by”
73	002205 (002200)		The old paragraph reference 002200 has been accidentally removed and should be included.
74	002230		Paragraph changed to allow internal audits at Foundation level, but internal assessments at Capability level and above.
75	002390		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, “minimal or” deleted from first sentence. Exploration mode assumes no prior preparation.
76	002540		Bullet point clarified that completion of the PAM is not required for transitional, surveillance or special assessments.
77	002645		New paragraph added to ensure that the in-scope standards are also fully covered.
78	002655	CSR625 (CSR630)	Old rule now explicit that all in-scope processes shall be demonstrated at least once which means that all Work Groups cannot be characterized N/A.
79	002660	CSR630	New rule clarifies that all in-scope processes shall be demonstrated across all IPS work groups examine during the assessment rather than just saying that all processes shall have at least one form of evidence across the IPS taken during the assessment
80	002665	CSR635	New rule clarifies and sets a rule that the outcomes must be formally demonstrated at level 3 and higher.
81	002700 to 002730		Bullet points replaced to provide better explanation of characterisation approach and include a reference to appendix F which provides examples.
82	002760		Minor wording changes: <ul style="list-style-type: none"> • 1st bullet, “major non-conformance” changed to “major nonconformity”
83	002770		Minor wording changes: <ul style="list-style-type: none"> • 2nd bullet, “minor non-conformance” changed to “minor nonconformity”
84	002880	CSR700	Minor word changes: <ul style="list-style-type: none"> • 1st sentence, “work groups” added after “PAs”
85	002900	CSR710	Rule CSR710 deleted as it was included in rule CSR700



TickIT^{plus} Implementation Note

86	002935		<p>Table 5 changed as:</p> <ol style="list-style-type: none"> 1. Type C processes at Foundation level must achieve level 1 or higher rather than not being counted. As it was written a Type C could be included in an assessment but the result would matter. 2. Type M processes at Gold and Platinum must achieve level 3 only because it would really make sense for them to achieve higher levels as this would mean in practice that the processes being statistically controlled where the processes doing the statistical control.
87	002950		Bullet point clarified that completion of the PAM is not required for transitional, surveillance or special assessments.
88	003010	CSR770	<p>Minor wording changes:</p> <ul style="list-style-type: none"> • 1st sentence, "PAs" added after "higher-level"
89	003130		Bullet point clarified that completion of the PAM is not required for transitional, surveillance or special assessments.
90	00340*		<p>Clarified when a supplementary data sheet and the ACI calculation are required.</p> <p>*Note, paragraph reference should be 003440.</p>
91	003480		Clarified that if Type C processes are in scope then they must be assessed
92	003520		<p>Minor wording change:</p> <ul style="list-style-type: none"> • 1st sentence, "according to" added after "i.e."
93	003610		Clarified that if Type C processes are in scope then they must be assessed
94	003700	CSR1050	Clarified that a surveillance visit must be a minimum of 1day on-site. Corrected grammar in second sentence.
95	003740		Clarified that if Type C processes are in scope then they must be assessed
96	003770	CSR1075	New rule although essence of rule was previously included as a note.
97	003800	CSR1090	<p>Minor wording changes:</p> <p>1st sentence, "surveillance" added after "annual"</p> <p>1st sentence, "arising from nonconformities" added after "corrective action"</p>
98	003850		The PRM should be reviewed to for new processes and any other changes made.
99	003920		<p>Minor wording change:</p> <ul style="list-style-type: none"> • 3rd bullet, "all as" changed to "those"
100	003950	CSR1155	Rule reference was incorrect, was TSR1155 rather than CSR1155
101	003990		A partial documentation and PRM review is now required for a Change of level assessment. Previous version stated that no documentation and PRM review was required for a Change of level assessment, but in practice there are likely to be a number of documentation and PRM changes made which should be reviewed
102	004010 004015 (004020) 004020 (004030) 004025 (004040)		Clarified which processes need to be checked during a change of level and when high maturity levels are involved. Note Type C process must be checked when moving to Silver or Gold only because from Foundation to Silver, and from Gold to Platinum Type C process do not need to change level.



TickIT^{plus} Implementation Note

103	0030* (004050)		<p>Minor wording changes:</p> <ul style="list-style-type: none"> 1st sentence, “attributes” added after “additional process” and “for all in the scope Type A and B processes” added after “new level” <p>*Note paragraph reference should be 004030</p>
104	004035 004040 004045 004050		New section added to explain sampling rules
105	004070		Clarification why it is not possible to conduct a change of level to Foundation level
106	004170		All Type C process are included in a Renewal Assessment
107	004190	CSR1290	Clarification made to the use of a registered Assessor with a team size of 1 and with all team members begin registered along with a registered Assessor when the team size is greater than 1.
108	004230	CSR1330	<p>Minor wording changes:</p> <ul style="list-style-type: none"> 1st sentence, “warrants” changed to “calls for”
109	004290		Type C process affected by the issue must be addressed rather than those just seen necessary by the Assessor
110	004310	CSR1360	Clarified that a team of one must be a team of one registered Assessor
111	004335 004340 004345 004350 004355	CSR1395 CSR1400 CSR1410 CSR1420 CSR1430	New section added (section 11) addressing requirements for accreditation bodies
112	004370		<p>Minor wording changes:</p> <ul style="list-style-type: none"> 3rd sentence, “Whereas an” changed to “An” 4th sentence, “certification” added after “ISO 9001” and “TickITplus”
113	004390 (004380)		Paragraph reference 004390 was 004380. Very minor word changes; “accommodated” changed to “covered”
114	004400 (004390) 004410 (004400)		Paragraph references 004400 was 004390 and 004410 was 004400.
115	(004410)		Old paragraph reference 004410 relating to IEC 61508 has been deleted.
116	004400 004410		“Should”s changed to ‘Shall’s
117	004460 to 004550	CSR030	This provides further information to support references 000510,000520 and 000525, and rule CSR 030. Section on Base Process Library control rewritten to provide a mechanism for handling major and minor BPL changes and identifying applicability of BPL versions. Note, minor changes now have 12 months to align with the minimum 12 month surveillance period.
118	004575		Scope Profile to process mapping table updated to be consistent with the one in the BPL V1.1.3.
119	004580		A third process example (Table 12a) has been included to show a process which has an additional outcome required by a standard other than ISO 9001; last sentence added.



TickIT^{plus} Implementation Note

120	004590		The paragraph has been rewritten from describing what might happen in the future with multiple outcomes and standards to a real example in the latest BPL, re Table 12a.
121	004587		Figures changed to tables and Table 12a added to show example of a process with multiple outcomes where the second outcome only relates to ISO/IEC 27001
122	004710		Explicit reference to Assessor changed to team member in the example description as the team could consist of registered Assessors or Practitioners.
123	004720		Explicit reference to Assessor changed to team member in the example description as the team could consist of registered Assessors or Practitioners.
124	004740		Clarification that at Foundation or Bronze levels the outcome is used as guidance to reflect rule CSR635; middle sentence added.
125	004755		Further guidance added to the figure's support text to explain the PAM example with 2 defined processes when the individual values are different; second sentence added.
126	004760		Minor wording changes: <ul style="list-style-type: none"> • 2nd sentence, "in-scope" added after "had more than one" and "for each outcome in each" added after "would be needed"
127	004772 004773 004774 004775 004776		5 examples of 'roll up' of characterisations added in tables 14a to 14e
128	004780 004782 004784 004786 004788 004790 (004790)		Original paragraph (004790) split into bullet list and new bullet point added to include the number of defined processes and the level being assessed to be consistent with the changes made in section 7.2.2
129	004800		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, "be looking at ensuring" changed to "need to ensure"
130	001820 001825 001830 001835		Calculations reflect those in section 7.2.2
131	004855 (004860) 004860 (004870)		Paragraph references changed
132	004865		New paragraph. Explanation of Number of Defined Processes (NDPS)
133	004870		New Paragraph. Explanation of Level Assessed value (LA)
134	004885		New paragraph. Explanation of the reason why all processes must be checked in all work groups in order to prevent process cherry-picking
135	004890		Added examples of groups that would not be included, specifically sales and marketing.
136	004910		Removed reference to sales and marketing in last sentence



TickIT^{plus} Implementation Note

137	004920		Minor wording change: <ul style="list-style-type: none"> • 2nd sentence, “staff” changed to “people”
138	004945		New paragraph. Explanation of normalising effort against scope given that the scope and level would impact on the actual effort.
139	004950		Minor wording changes: <ul style="list-style-type: none"> • First sentence deleted
140	004970		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, “although the two are connected” added to end of sentence. • Last sentence, “(15 Type B and 2 Type A checked on each project)” added after project level.
141	004980		Minor wording changes: <ul style="list-style-type: none"> • Whole paragraph, better explanation
142	004992 004994 004996 004998		Added new calculations
143	005005 (004995) 005015		Examples to match new ACI calculations (005005) and supporting chart (005015). Table reference 004995 now reference 005005.
144	005055		New paragraph. Explanation of using outcomes at Foundation and Bronze level compared with Silver level and above.
145	005170		Minor wording changes: <ul style="list-style-type: none"> • 1st sentence, “conducting” changed to “operating”
146	005180		Minor wording changes <ul style="list-style-type: none"> • Last sentence, “could” changed to “should”