TickIT*plus* Implementation Note

Title	Example Assessment Strategy Document		
Date	July 2014	Reference	TIN013-1407
Originator	Dave Wynn	Version	v1r0
Key Terms	Assessment Strategy		

One of the two key documents that have to be prepared in adopting the TickITplus scheme is the Assessment Strategy. Section 4 of the Core Scheme Requirements (V1.1.3) addresses the need for an Assessment Strategy. The CSR doesn't stipulate how the document should be created, i.e. what format it takes, just what it should contain, see rule CSR140. T could take the form of a PowerPoint presentation, an on-line webpage or more conventionally a word document.

An example of an Assessment Strategy is provided below. In this example, the [red text in brackets] provides some guidance on what should be included and the blue italic text provides an example for mythical ☺ organisation.

Example Assessment Strategy Document

OmniPrint Assessment Strategy

Version 1.0

Approved by Robert Omni

Introduction

[Add a brief introduction explaining the purpose of the document]

This document satisfies the requirement for an Assessment Strategy as specified by the TickITplus Core Scheme Requirements rule CSR140. This Assessment Strategy has been prepared by the Quality Manager on behalf of the OmniPrint's Executive Team and is approved by the Managing Director.

This Assessment Strategy will be reviewed, and if necessary changes approved, at the half-yearly management review to ensure that it accurately reflects OmniPrint's business and assessment needs.

The Assessment Strategy provides information on the organisational scope, including the type of work undertaken, operating locations and the technologies used. It also identifies the required certification scope along with associated information required by the TickITplus scheme.

Background to OmniPrint

[Add as much detail as required to help readers understand the organisation. This could be quite detailed, or could be quite brief with references to other documents such as annual reports, or to the organisation's website.]

OnniPrint Ltd is a medium size company which has been in business for over 30 years and is based in Leeds with 2 remote locations. The company was founded after a few senior managers from a very large traditional publishing company left to setup their own personal printer manufacturing facility using the new, at that time, ink jet printing technology.

The company, consisting of the Managing Director, Development Manager, Sales Manager and the Finance Director along with a few graduates and technicians, initially designed, developed, manufactured and marketed just one small, economical, home ink jet printer which was a great success. With that success the company continued to refine and develop further models, each one providing better performance, quality and with a price aimed directly at the home user.

The business expanded rapidly covering hardware, including mechanical, electrical and casing, design, firmware development, sales and marketing, support and maintenance and consultancy service. Within 15 year the company had grown to over 90 staff and were marketing a range of domestic and industrial printers, although not for the commercial printing industry. Towards the end of this period the company acquired a small software development company setup as part of a local University's science park in Hull.

By the mid 90's the number of manufacturers offering very cost effective and high quality printers had increased and the company's traditional market was beginning to show lower results. However, the consultancy side of the business, which was core, but which had been steadily developing opportunities for more specialised industrial printers, customer developed applications and associated support, maintenance and training. Additionally, the company also detected an early opportunity to enter the 3D printer market, which continues to develop well and now the company has released its first domestic 3D printer at a cost that is equivalent to the cost of a good domestic colour laser printer. As part of the expansion, a small bespoke start-up company was acquired in Sheffield.

The company now consists of 242 people based in three locations supporting the design and development of industrial printers based on either their modular-based core product range or through consultancy opportunities with clients. The company has now fully outsourced its manufacturing capability to China but maintains core manufacturing management team consisting of planners, support designers and technicians and supply quality assurance engineers. The company has also significantly expanded its internal software development capability to maintain ownership of the firmware development and to increase its ability to develop proprietary applications and applications based on client requirements, although it does not offer consultancy for software applications. Sales and marketing has grown commensurately with the business and its products and services and there now exists a small group of sales staff based outside the UK, predominantly in Europe, US and Brazil. Although hardware maintenance and repair is undertaken by a third party, the company still retains a good support and maintenance group to provide, what is considered, an essential single point of contact for all client needs.

The company has not previously been certified against any international standards but following a recent marketing review it established that the application development side of the business would benefit from recognition through a formal scheme and as such TickITplus was seen to be a very practical approach.

Software Development Approach

[If applicable, explain the main or key design, development, support and or service approach, i.e. the overall approach taken to conducting the business at the delivery level, not necessary the higher business level unless it has a key impact. If the organisation is primarily engaged in service provision then a reference to ITIL processes could be appropriate.]

Firmware requirements are established by the hardware design and development team as part

of any new development work. The overall functionality of new or enhanced products is provided to the application teams to allow them to include associated functionality onto their application roadmap.

All firmware is developed using a company common Agile approach using C# and some assembler. The firmware engineers work very closely with the hardware engineers to ensure that the performance between the hardware and the firmware is optimised. Firmware coding standards have been developed over the years and are rigidly followed to ensure that the firmware can be maintained and that future development work is undertaken in a common way. Configuration management is undertaken using Subversion.

The firmware team have developed a number of core product hardware emulators and test harnesses over the years to allow early testing of new feature and regression testing of existing functionality without the need for the real hardware.

All testing of the product is undertaken by the OOBT (Out Of The Box Testing) team under the responsibility of the hardware team responsible for designing new products. The hardware team typically use a conventional 'V' model approach in the development of new hardware or additional function to the existing core product.

All application development is undertaken using a more traditional, and well defined, waterfall approach, again consistently, across all groups using Visual C++ under the Team Foundation Server development environment. The application teams conduct their own testing but will demonstrate new functionality to the OOBT team who tend to use it alongside testing of the hardware. C++ coding standards have been prepared only recently but are generally well followed. Configuration management is undertaken through the TFS environment.

Organisational Scope

[This section should describe the business, were it operates from and in general terms the number of people at the locations, how it is structured, key activities at the locations and reporting structure. This could just point to an organisation chart or similar.]

See Company background and Organisational chart, below.

Certification Scope

[This section should describe the certification scope which may or may not be the same as the TickITplus scope. The certification scope would typically address the ISO 9001, ISO/IEC, ISO/IEC 20000-1 standards and activities outside the scope of TickITplus, e.g. manufacturing, hardware maintenance, servicing and support, and other non-IT related activities.]

Certification is only required for the application development activities and therefore the certification scope and the TickITplus scope (see below) are the same thing

TickITplus Scope

[Describe the TickITplus scope which should cover the activities included within the TickITplus certification]

The required TickITplus scope is the "Design, development, maintenance and support of printing applications."

Scoping Size

[Identify the number of people covered by the TickITplus scope of certification and break this down where appropriate to locations, work groups or typical project sizes. The latter should just be an indicator, for example, does the organisation run lots of small projects are just a couple of large projects, and what does small and large actually mean. Also identify the number of 'Defined Processes'. These are the number of organisational processes that map to the in-scope BPL processes. So for example, if the Systems and Software Development and Support Scope Profile is selected there are 22 BPL processes in-scope. However, if the organisation has two development approaches, say Agile and Waterfall, then the organisation may have two 'Defined Processes' for each of the key BPL development processes, i.e. Requirements Analysis, Architectural Design, Development Implementation and Integration Management. Therefore in practice the organisation will have 26 'Defined Processes'.]

The number of people covered under the arrangements for TickITplus is approximately 110 staff based in Leeds, Hull and Sheffield. The work groups tend to be based on organisational groups at each of these locations managed by local team leads or managers, see organisational chart below. Teams can be various sizes but typically no bigger than 20 people. Work is run as projects within the teams, but formal project managers are not used and the projects tend to run continuously with defined phases acting as the project. The team leads and managers take this responsibility.

The number of Defined Process is the same as the number of Generic Processes in the selected Scope Profile and is 22.

Level Required

[Identify the required level with a short justification or explanation as the rationale behind the selection. Note, that currently only Foundation is available, but this will change over the next year. It might also be useful to detail future expectations which would help the assessor better support the organisation in moving up the TickITplus levels.]

After a thorough review of the working practices, which were found to be consistently undertaken across the company, it has been decided that the company would like to achieve the Silver level. However, at this time, an assessment against the Foundation level is required.

Scope Profile

[Identify the required Scope Profile(s) along with a short justification or explanation to help understand the reason behind the selection.]

After a review of the TickITplus Scope Profiles it was decided to adopt the Systems and Software Development and Maintenance rather than the Service Management Scope Profile. The company was considering whether it would be more marketable to promote its ability to provide a service, which could consist of providing a product as necessary; under the ISO/IEC 20000-1standard rather than being certified under the ISO 9001:2008 standard.

Type C Processes

[Identify any required Type-C Processes. It is a good idea to be positive here and to explain why Type-C processes are not required. This can greatly help the assessor understand what th organisation is aiming for and why some expected Type-C processes have actually been left out.]

During the review of the Scope Profiles and consideration of the required processes, the company considered the type C processes and the following conclusions drawn for each type C process:

ORG.9	Programme Management	The concept of programmes is not used within the company, all work is run under defined projects
ORG.11	Resource Management	This is adequately covered under ORG.1 Human Resource Management and ORG.4 Infrastructure and Work Environment Management
ORG.12	Security Management	While security aspects are addressed to an appropriate level within the company, formal certification is not a requirement at this time. This is routinely reviewed at the management review.
PRJ.2	Decision Management	Not required
PRJ.4	Information Management	Covered adequately under the project management and quality management reviews and associated reporting.
PRJ.6	IT Finance Management	Not required
PRJ.7	Management Reporting	See PRJ.4
TEC.2	Capacity Management	Not required, although undertaken as part of the project management estimating and planning.
TEC.7	Operations Management	Not applicable
TEEC.9	Disposal	Legal aspects are covered
TEC.12	Service Level Management	Not applicable at this time.
TEC.15	Continuity, Availability and Contingency Management	Sufficient to cover business commitment, and for the IT system adequately covered under the backup and disaster recovery arrangements.
ITS.1	Domain Engineering	Not applicable
ITS.2	Asset Management	Covered adequately under the IT and Finance (insurance) requirements.
AGR.1	Acquisition and Contract Management	Not applicable.
AGR.2	Supply Management and Business Relationships	Not applicable.

Critical Processes

[Identify the critical processes, i.e. those that are be assessed at the Gold and Platinum levels, along with a clear link back to the business objectivise that would support these processes being at high-maturity. Note, high-maturity assessments are not currently available.]

As the company is not planning to achieve the higher levels of TickITplus, no critical processes have been identified at this time.

IMS Structure and Effectiveness

[Explain the organisation's Integrated Management System (IMS) structure and how it links into the Process Reference Model (PRM). It is useful here to explain any unusual or difficult to implement or operate processes]

The Quality Management System structure has been designed to comply with the requirements of the TickITplus Base Process Library version 1.1.3. The system is mapped through the PRM (V1, dated 3/11/13) to key OmniPrint processes, procedures, documentation, templates and forms.

The QMS implements all the processes required for the Systems and Software Development and Maintenance Scope.

There are no unusual processes or approaches within the system that would require particular explanation.

Approach to Process Improvements

[Detail how the organisation undertaken process improvements]

Process improvements are the responsibility of the group managers, who are encouraged to plan and implement improvements as a result of lessons learned from undertaking developments. Improvements will typically be implemented as part of the next development work planning. The version of the Improvement Process is v1.1.

Document Control

[Add appropriate document control covering for example, amendment, review and approval]

Version	Date	Who	What	Review & approval
V1.0	1/7/14	Fred Plus	Initial version	Robert Omni

Appendix A: Organisation Chart