



TickIT^{plus} Implementation Note

Title	Changes to V1.2.0 BPL		
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Originator	Dave Wynn	Version	v1r0
Key Terms	BPL, ISO 9001:2015		

The Base Process Library (BPL) has been reviewed against the requirements in ISO 9001:2015 and a number of changes and enhancements have been made. This TickITplus Implementation Note (TIN) provides a brief summary and rationale for the updates. A list of all changes will be provided in another TIN once the new BPL is published, which is hoped will be very shortly. The new BPL will be issued at version V1.2.0.

In general, and in proportion to the number of TickITplus processes, there haven't actually been many significant changes. This was, to some degree, expected due to the original design of the BPL. For example where the new Standard talks about establishing the business context to drive the design of the management system, this was already the concept behind the Business Plan in the Corporate Management and Legal process driving the Management Framework process that creates the management system. In the current version of the BPL, base practice 1 (BP.1) in the Corporate Management and Legal process (ORG.3) talks about the commercial environment and operating environment (i.e. business context) and identifying business needs and objectives which are used to create a Business Plan in the second base practice, which in turn is used to establish the management framework and policies in the third base practice.

Another example where the TickITplus BPL already addresses a new requirement of ISO 9001:2015 is risk management. The existing BPL version has a clearly defined risk management process (ORG.8) and reference to risks is made in a number of the organizational processes, particularly Human Resource Management (ORG.1), Management Framework (ORG.2) and Corporate Management and Legal (ORG.3). However, while these references are made it was not explicitly stated, although intended, that risk management should be used in the design of the management system. This is one area where some updates have been made to the new version of the BPL.

Before we look at the changes it's worth noting the changes made to BPL applicability and user impact table (table 2 in the BPL, table 1 below) which indicates that all the scope profiles will be affected by the changes and that the organizations will have the same transition period as for the ISO 9001:2015 transition. The new ISO 9001:2015 standard has a 3 year transition period which starting September 2015. This would have been the same for the new version of the BPL except for the delay in getting this version released. However, given the level of changes in the new BPL, this delay is not expected to cause significant problems.

It is also worth noting that during the transition period, version V1.1.3 of the BPL remains valid. While the intention is to incorporate changes to standards and additional standards into a single version of the BPL, e.g. like for ISO/IEC 27001:2005 and ISO/IEC 27001:2013, the significant changes made to ISO 9001:2015 made this concept very difficult to achieve. Having both versions of the BPL valid at the same time isn't too dissimilar to the actual standard, as during the transition period both ISO 9001:2008 and ISO 9001:2015 are valid.

There have been 3 other holistic changes to version V1.2.0 of the BPL:

- 1) All processes have been up-versioned to v4r0 to reflect the new V1.2.0 baseline.
- 2) ISO/IEC 27001:2005, which is now obsolete, has been removed. As ISO 9001:2015 and ISO/IEC 27001:2013 have adopted the structure given in Annex SL, there has been some minor adjustments and rationalization to the ISO/IEC 27001:2013 clause mappings, although mainly simplifications.
- 3) A full mapping to PAS 754:2014 has been included. PAS 754 is a Publicly Available Specification created jointly by the Trustworthy Software Initiative (TSI) and the British Standards institution (BSI) entitled "Software Trustworthiness – Governance and management – Specification". The specification defines the overall principles for effective software trustworthiness, including technical, physical, cultural and behavioral measures alongside effective leadership and governance. identifies the necessary tools, techniques and processes required to ensure software trustworthiness and addresses issues of safety, reliability, availability, security and resilience.



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is applicable to any organization aiming to adopt trustworthy software practices.

Note: PAS 754 does not specify the detailed processes or actions that an organization should follow in order to achieve these outcomes, as these have been defined in other standards or can be defined by the organization [i.e. TickITplus].

We are not going to discuss PAS 754 further in this TIN, but for more information please visit <http://www.uk-tsi.org/pas754>

Table 1: BPL applicability and user impact

BPLB Designation	Information Management and Security	Service Management	Systems and SW 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	Comments
1.1.1			M				M		This is the first release and impacts the two initial Scope Profiles.
1.1.2		M	M	M	M	M	m		This release introduces new Scope Profiles, processes and some amendments to existing processes which therefore affect existing users of the BPL.
1.1.3	M	m	M	M	m	m	m	M	This release introduces the remaining processes along with a few minor changes to existing processes.
1.2.0	M	M	M	M	M	M	M	M	This version introduces mapping and changes to support ISO 9001:2015 ¹ along with mapping and additional outcomes to support PAS 754. ISO 9001:2008 and ISO/IEC 27001:2005 mappings have been removed ² .

There has been one change to the Scope Profile to process mappings, table 1 in the BPL. The Maintenance Management process has been dropped from the Systems and Software Development and Support Scope Profile, i.e. it is now a Type C process in that Scope Profile and hence optional. The reason for this was that quite a few organizations who opted for the Systems and Software Development and Support Scope Profile didn't actually do maintenance in many cases. While they did support, which is included through the Incident and Problem Management Type B process, the customer or another group out of scope did the actual maintenance. As Type B processes are mandatory to a particular Scope Profile (i.e. the ticked processes in the Scope Profile column in the table), this tended to cause the organizations to do something to demonstrate the implementation of the Maintenance Process. This in turn led to poor, artificial or in appropriate demonstration of the process which really wasn't needed or desired. So it has been dropped as a Type B process.

This does lead to the situation on deciding when it should be included or not and rather than leaving this to be somewhat subjective, which can cause difficulties and anomalies, a link has been made back to the normal certification scope statement. It is not uncommon to see certification scope statements (the ones usually found on the certificate that explains what was covered by the certification) include the word 'maintenance', e.g. the design, development, support and maintenance of xyz. Then on other certificate scope statement maintenance would not be included. The inclusion of 'maintenance' is often a decision made by the organization, and agreed by the assessor, when the organization wants to recognize that it truly does maintenance activities and wishes them to be covered by the certification. Therefore, if 'maintenance' is included in the normal certification scope statement then the Type C Maintenance process, being optional, must be included in the TickITplus scope.

So now let's take a look at the changes to each process in a little bit more detail. Note that in general the details will



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not cover specific ISO 9001 clause mappings, unless it is important to the change being discussed.	
ORG.1 Human Resource Management	
1	There have been no major changes in this process
2	Clarification around staff reduction in BP.3 and a specific reference to a Reduction Plan is made as an OWP
3	In a number of the base practices the IWP or OWP has changed from a named work product (e.g. Resource Requirement) to specifically reference human resources through the [] annotation ¹ , i.e. [Human Resources] in BP.3 to BP.7.
4	BP.3 discussed making improvement from exit interviews, but an Improvement Request was not included as an OWP, this has been added.
ORG.2 Management Framework	
1	There are no major changes, but quite a bit of clarification in this process and particularly a better feedback from BP.5 (Schedule and Hold Reviews) through clearer OWPs that feed into other processes as IWPs; effectively clearer, more explicit closure of the plan, do, check, act cycle.
2	<p>There has been some rationalization between Corporate Management and Legal and the Management Framework process. For example, the Business Plan was an IWP to BP.1 (Establish Management Framework Policies), but the Business Plan was already an IWP to BP.3 (Establish and Communicate the Management Framework) of the Corporate Management and Legal Framework which had the Management Framework as an OWP.</p> <p>Clarification has been made to show that organizational aspects such as the business needs, objectives and plans are managed within the Corporate Management and Legal Process and that this process through BP.3 triggers the creation and maintenance of the actual management framework, which results in the Integrated Management System managed by the Management Framework process.</p> <p>In summary the Management Framework includes policies and the Integrated Management System (IMS) necessary to deliver the business needs and objectives.</p>
2	BP.1 also includes greater emphasis on ensuring that the policies and management system are implemented, communicated and understood throughout the organization.
3	<p>BP.2 now includes an emphasis on creating objectives throughout the organization in order to understand the effectiveness of the IMS. BP.2 also includes clarification to ensure that the organization supports the effective implementation and operation of the IMS, and appreciates the potential consequences of not doing so, a new ISO 9001:2015 requirement.</p> <p>Note that there is no additional OWP as a result as it is expected that these elements are part of the IMS which is already an OWP.</p>
4	BP.3 includes some additional wording to emphasize that internal audits are undertaken objectively to additionally ensure conformance to requirements as well as the previous wording that they ensure effective implementation of the IMS. However, this was probably always done in practice.

¹ In some cases the work product names are enclosed in square brackets, i.e. []. These aim to illustrate where the input or output work product is an entity or aspect that is not normally considered a work product. For example, the [Commercial Environment] and [Operating Environment] entries represent the environment in which an organization operates, e.g. legal requirements, operating conditions based on culture, accepted practice and economics. Another example is [Identified Stakeholder] which represents groups of people involved in the process.



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5	<p>BP.5 has had better clarification on the IWPs and OWPs. Specifically for the IWPs, Audit Finding has been dropped as it is assumed to already be appropriately contained in the Audit Report/ The Business Plan has been added, as well as Risk Reports, and Supplier Performance Reports (because of the increase emphasis and reference to third parties in the new standard). For the OWPs, the Business Needs, Business Objectives, Human Resource Requirements, Infrastructure Requirements and Work Environment Requirements have been added.</p> <p>These OWPs mainly close the feedback loop into IWP of other processes, e.g. the Business Needs and Business Objectives feed changes into Corporate Management and Legal (BP.2), Human Resource Requirements feed into the Human Resource Management process (BP.3) and both Infrastructure Requirements and Work Environment Requirements feed into the Infrastructure and Work Environment Management process (BP.3). Note that for the Infrastructure and Work Environment Management process BP.3 Work Environment Requirements has now been added as an IWP, a previous omission.</p>
ORG.3 Corporate Management and Legal	
1	<p>This is probably where most changes have been made, but even so most of them are clarifying or strengthening what was originally intended. In essence, the Management Framework is everything involved in running an organization including things like [Commercial Environment], [Operating Framework], [Stakeholders], Statutory and Regulatory Requirements and the internal/external factors as required by the new ISO 9001:2015 standard. All of this is then used by ORG.2 to create specific policies and the Integrated Management System.</p>
2	<p>BP.1 now includes clear requirements to ensure that the internal and external factors that influence and affect the organization's ability to deliver products and services are identified and understood; this is one of the strongest new requirements in ISO 9001:2015. [Stakeholders] are now added as an IWP.</p>
3	<p>BP.2 also takes this need down into the business planning aspects and risks have now been added as an IWP.</p>
4	<p>The title of BP.3 has been changed to include "and Communicate the" to Establish the Management Framework, although it was always expected that in establishing the management framework, it would also be communicated. An extra paragraph has been added to explicitly support this addition to the title.</p>
5	<p>Business Needs and Business Objectives have been removed as IWPs in BP.3 these were identified as IWPs needed to create the Business Plan OWP, which was already an IWP to BP.3 so removing some duplication.</p>
6	<p>Policies have been removed from BP.3 OWP leaving just the Management Framework as the OWP as policies would be considered to be part of the management frame work, see the Management Framework process, ORG.2, specifically BP.1 where policies are created.</p>
7	<p>Again in BP.4, the Business Needs and Business Objectives have been removed as IWPs as the Business Plan is already identified as an IWP. The OWPs previously included Resource Needs, as well as Infrastructure Requirements and Work Environment Requirements. However, it was felt that the generic title Resource Needs would include these requirements as well as Human Resource Requirements. So it could have just either ended up as Resource Needs and other specific references removed, but it was decided to remove the generic reference to Resource Needs and to add Human Resource Requirements to the existing specific requirements for infrastructure and work environment. The one additional OWP that has been added is Business Results which represents everything that is being achieved by the organizations, specifically in terms of documented information (or as TickITplus uses, data).</p>
8	<p>There has been some clarification made to BP.5 including specifying that top management regularly monitors the Management System performance rather than just monitors performance against the business plan. In the second paragraph, the reference to business risks has been expanded to include customer feedback and measures as well as risks that are identified, analyzed and reviewed. And in the third paragraph the requirement that action is taken where performance deviates from the business plan, or the IMS is not effective in meeting business needs and objectives now explicitly states that it should be that <i>planned</i> action is taken to improve the Management Framework.</p>



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9	There have also been a few changes to the IWPs and OWPs in BP.5. Firstly, as in earlier BPs, the Business Needs and Business Objectives have been removed as IWPs as the Business Plan is already identified as an IWP. Business Results is now an IWP coming from the OWP in BP.4 and would include measures. Customer Feedback is also an IWP as required by the change to the BP description, see above.
10	4 new OWPs have been added (although not new to TickITplus BPL) to BP.5. Business Needs and Business Objectives are identified as an OWP to close the feedback loop into BP.2, i.e. plan, do, check, act at the organizational level. Additionally, improvement requests could be generated as a result of the cycle and therefore this has been added as an OWP as well as the actual Management Framework, which might need to change sooner than the overall cycle back into BP.2, i.e. to handle urgent updates, which might need addressing before the periodic (annual?) business planning cycle, clicking off BP.1 and BP.2 again.
11	BP.7 has also had some grammatical changes, but this relates to PAS 754 and is therefore technically new to this version even though the outcome and base practices were described in the previous version of the BPL.
ORG.4 Infrastructure and Work Environment Management	
1	There have been no major changes to this process.
2	A clarification has been made to BP.3 where "...in accordance with the work environment requirements..." has been added to establishing the necessary infrastructure. Work Environment Requirements has been explicitly added as an IWP to support this. It was felt that the infrastructure should correlate and align with the work environment.
ORG.5 Improvement	
1	There have been no major changes to this process although clarity has been made to ensure that the objectives for improvements are known and this could have an effect on the improvement process and people involved. This aspect was assumed but not explicitly stated.
2	BP.3 has therefore been slightly reworded to include reference to the objectives for the improvement as well as the actions and resources needed. It is always important to understand what the improvement is trying to achieve before starting to undertake the improvement or it will be very difficult, if not impossible, to actually know when the improvement plan has completed or indeed whether any improvement has actually been achieved.
ORG.6 Measurement and Analysis	
1	There have been no major changes to this process.
2	The Stakeholder Requirements IWP has been removed as this would have already been considered in ORG.2 (Management Framework), BP.2 (Establish an Integrated Management System) and ORG.3 (Corporate Management and Legal), BP.1 (Identify Business Needs and Objectives). However, to support the latter, Business Objectives has now been added as an IWP and the Business Plan is already an IWP to support the former.



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ORG.7 Customer Focus	
1	<p>The outcome wording has been changed quite significantly in process, although not due to the new ISO 9001 standard, but because it was felt that it didn't accurately reflect what this process was trying to achieve.</p> <p>In the previous version of the BPL the outcome stated that customers have a positive view of the business as demonstrated through customer feedback. However, this process was more about getting feedback, good or bad, and then using other processes, specifically ORG.5 to deal with improvements if the feedback was not good (note that other processes such as ORG.3 Corporate management and Legal could also be needed). The consequence of this wording was that if the feedback was negative, then the process would have deemed to have failed, which clearly is not what is intended by any process handling customer feedback and that does actually include customer complaint handling, see existing wording of BP.3.</p> <p>So now the outcome description is more generic about how well the feedback process is working rather than on the actual feedback. The wording now states that the organization has a complete understanding of the relationship with its customers and is in a position to address all negative feedback successfully.</p>
2	<p>While the outcome wording has changed quite significantly it is more likely to fit with what actually happens in practice so shouldn't cause any significant work.</p>
3	<p>Risks have been added to BP.2 (procedural definition) and BP.3 (actual practice) that could originate from customer feedback. To support this Risks are now an OWP for BP.3 so that they can feed into other processes.</p>
4	<p>The normal practice is for the OWP from the base practice that defines a procedure (e.g. BP.2) to be an IWP for the practice that actually implements the procedure (e.g. BP.3), and therefore Customer Feedback Procedures is now the IWP for BP.3 and Customer Feedback is now the OWP not the IWP as in the previous BPL.</p>
ORG.8 Risk Management	
1	<p>There have been no major changes to this process although a subtle change has been made to BP.6 which could require some additional work.</p>
2	<p>Given the importance of risk management BP.6 has been clarified to ensure that the title matches the description. In the title of BP.6 was, and still is, Analyze Risk Management Performance which was meant to suggest that the performance of the actual risk management process was understood. However, the description of this base process read more about looking for systemic risks across the organization rather than on how well the process was working.</p> <p>A key change to the ISO 9001:2015 standard is around risk management and how it contributes to the operation of the business and the design of the management system. However, if the actual risk management process is working poorly then this could artificially suggest that the operation of the business or design of the management system was ok. For example, not having many risks could actually be because there aren't many or because the process for finding them is weak. So in order to know whether appropriate risks are being considered, the process for identifying risks should be clearly understood and working as well as it can. Hence the wording of this BP now requires the performance of risk management to be understood and if necessary improvements to be made, which actually fits with the existing Improvement Request OWP. To support this, the Risks IWP has been replaced with the Risk Reports where it would be expected that the understanding of the risk management process performance could be established (as well as other mechanisms)</p>
ORG.9 Programme Management	
1	<p>There have been no changes to this process.</p>
ORG.10 Lifecycle Model Management	
1	<p>There have been no changes to this process.</p>



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ORG.11 Resource Management	
1	There have been no changes to this process.
ORG.12 Security Management	
1	There have been no major changes to this process other than a small change to the second outcome addressing specific ISO/IEC 27001:2013 requirements.
2	A Risk Treatment Plan has been added as an OWP to BP.5 and the Risk Record IWP has been changed to the Risk Treatment Plan for BP.6 as the base practice is about proactively monitoring effectiveness of controls, which should include risk treatment plans as well as the exiting IWP of Security Controls.
PRJ.1 Project Management	
1	There have been no major changes to this process although greater emphasis has been placed on external providers.
2	In BP.3 the reference to the schedule now includes reference to management plans and schedule as dependencies could be in either or both.
3	In BP.4 the project aims and objectives are now agreed with stakeholders rather than just being communicated to the stakeholders.
4	A new paragraph has been added to ensure that when there are external providers used on the project that the project monitors and controls these providers, again supporting the emphasis placed in ISO 9001:2015.
5	Infrastructure Requirements and Human Resource Requirements have been added as OWPs to BP.8 (Close the Project), although in this use it is likely that these will be used to release human resources and infrastructure that is no longer needed, i.e. a requirement can be to add or take away something.
PRJ.2 Decision Management	
1	There have been no changes to this process
PRJ.3 Configuration and Change Management	
1	There have been no changes to this process
PRJ.4 Information Management	
1	There have been no changes to this process
PRJ.5 Problem and Incident Management	
1	There have been no changes to this process
PRJ.6 IT Finance Management	
1	There have been no changes to this process
PRJ.7 Management Reporting	
1	There have been no changes to this process
TEC.1 Data and Record Management	
1	There have been quite a few changes to this process albeit that the main one has reduced the number of outcomes.



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2	Firstly outcome 2 covering record management has been completely dropped. The main reason for this is that it was getting difficult to actually see the difference between records and data. After all, records are just another form of data, and data is a form of documented information. As a result the title of TEC.1 has changed from Data and Record Management to just Data Management.
3	To support this, the wording for outcome 1 has changed slightly to now say “Up-to-date and accurate data necessary for the effective delivery, management and confirmation of the organization’s business plan is available”, with “management and confirmation” being introduced, i.e. the elements that would point to records.
4	BP.1 has had the word “documentation” removed from the first paragraph as data, which was also included, can take all forms.
5	A second paragraph has been added to BP.2 to ensure that data is appropriately identified and described, along with the format and media used.
6	[Data] has been added as an IWP to BP.2 as nothing was previously an input to the base practice, and this didn’t feel right. If the base practice is to identify data then the real-world data items would be the input, hence [Data].
7	“Data review records are maintained” has been removed from the BP.3 although data review is still needed and Data Review Records are still an OWP. This was inconsistent with other base practices where records were generated, but there wasn’t an explicit statement that this was the case. It was particularly confusing now that the second outcome on record management has just been deleted.
8	The title of BP.4 has also changed slightly to clarify that data should be approved, managed and stored rather than just being approved and stored.
TEC.2 Capacity Management	
1	There have been no changes to this process
TEC.3 Integration Management	
1	There have been no changes to this process
TEC.4 Verification	
1	There have been no changes to this process
TEC.5 Validation	
1	There have been no changes to this process
TEC.6 Transition and Release Management	
1	There have been no changes to this process
TEC.7 Operations Management	
1	There have been no changes to this process
TEC.8 Maintenance Management	
1	There have been no changes to this process
TEC.9 Disposal	
1	There have been no changes to this process



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TEC.10 Stakeholder Requirements Definition	
1	There have been no changes to this process
TEC.11 Requirements Analysis	
1	There have been no changes to this process
TEC.12 Service Level Management	
1	There have been no changes to this process
TEC.13 Architectural Design	
1	There have been no changes to this process
TEC.14 Development Implementation	
1	There have been no changes to this process
TEC.15 Continuity, Availability and Contingency Management	
1	There has been one small change to this process in BP.4 where Improvement Request has been added as an OWP to recognize the wording in the base practice which indicated that improvements could be needed.
ITS.1 Domain Engineering	
1	There have been no changes to this process
ITS.2 Asset Management	
1	There have been no changes to this process
AGR.1 Acquisition and Contract Management	
1	There have been no changes to this process
AGR.2 Supply Management and Business Relationships	
1	There has been one change to this process in BP.3 and supplier agreements which should not incur much work as in practice the wording now should match what is normally done in practice.
2	BP.3 title has been changed from simply "Implement Supplier Agreement" to "Define Agree and Implement Supplier Agreements" as it was felt that defining and agreeing was not as explicit in just saying implement, although of course, to implement something it should be defined and hopefully agreed before being implemented.
3	A new paragraph has been added to BP.3 to cover the minimum content of the supplier agreements including what is to be provided, competency requirements, communications, monitoring and review requirements, verification and validation needs, and necessary approvals.
MAT.1 Quantitative Performance Management	
1	There have been no changes to this process
MAT.2 Quantitative Process Improvement	
1	There have been no changes to this process.