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**WORKSHOP**

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**AGREEMENT**

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English version

## Security Management System for Security Printing

This CEN Workshop Agreement has been drafted and approved by a Workshop of representatives of interested parties, the constitution of which is indicated in the foreword of this Workshop Agreement.

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## FOREWORD

This CEN Workshop Agreement has been drafted and approved by a Workshop of representatives of interested parties on 2002-11-15, the constitution of which was supported by CEN following the public call for participation made on 2001-04-10.

A list of the individuals and organizations that supported the technical consensus represented by the CEN Workshop Agreement is available to purchasers from the CEN Management Centre. These organizations were drawn from the following economic sectors: security printers, suppliers to security printers, customers of security printers and trade organisations for the printing industry.

The formal process followed by the Workshop in the development of the CEN Workshop Agreement has been endorsed by the National Members of CEN but neither the National Members of CEN nor the CEN Management Centre can be held accountable for the technical content of the CEN Workshop Agreement or possible conflict with standards or legislation. This CEN Workshop Agreement can in no way be held as being an official standard developed by CEN and its members.

The final review/endorsement round for this CWA was started on 2002-10-18 and was successfully closed on 2002-11-15. The final text of this CWA was submitted to CEN for publication on 2002-11-26. This document was revised a first time in 2006.

This document supersedes CWA 14641:2006.

On request of Intergraph - International confederation for printing and allied industries a.i.s.b.l. - CWA 14641:2006 has been revised a second time in order to include a more restrictive definition of Security Printing. In line with the rules of CEN, the revised version was sent to the list of former participants of the initial Workshop for consideration and approval on 2009-03-16 with a deadline for reply of 2009-04-30. All consulted parties have approved the revised version of CWA 14641.

This CEN Workshop Agreement is publicly available as a reference document from the National Members of CEN : AENOR, AFNOR, ASRO, BDS, BSI, CSNI, CYS, DIN, DS, ELOT, EVS, IBN, IPQ, IST, LVS, LST, MSA, MSZT, NEN, NSAI, ON, PKN, SEP, SIS, SIST, SFS, SN, SNV, SUTN and UNI.

Comments or suggestions from the users of the CEN Workshop Agreement are welcome and should be addressed to the CEN Management Centre.

## 0 Introduction

### 0.1 General

The quality of products and services is one of the leading criteria for assessing the extent to which the transactions and operation of a certain (corporate) organization correspond to the desired goals. For producers of security printing products and their customers however, the quality requirements for the processes and products are not sufficient. The processes and products/services must be produced, managed and delivered under safe conditions in all stages of production (from the initial contact with the possible customer to the aftercare that may be required after the delivery) in order to meet the requirements of the customers. Technical requirements alone no longer provide sufficient guarantees that the requirements set by the customers will continue to be observed. Owing to lack of technical specification, but also to maybe deficiencies within an organization, discrepancies from the requirements set by the customer may occur.

The adoption of a security management system should be a strategic decision of an organization. The design and implementation of an organization's security management system is influenced by varying needs, particular objectives, products provided, processes employed and by the size and the structure of the organization.

It is not the intent of this CWA to imply uniformity in the structure of the security management system or uniformity of documentation.

For an organization to achieve the product and process security objectives, the technical, administrative and human factors that have an influence on the aforementioned security must be brought under control. Such control must be geared to reducing, eliminating and above all preventing discrepancies.

The CWA is intended to apply to producers of documents of value, ID documents or security foils, which are physically protected against forgery and counterfeit by added security features. The CWA contains requirements that can be objectively audited for certification / registration purposes. Certification is only possible, if the organization has established a security management system that has to comply with the provisions description of the risk inventory, in which there are two (2) levels of security printing. These levels are "High Security Management System for Security Printing" and "Security Management System for Security Printing". Furthermore the security management system has to comply with laws and regulations in force and with additional specific requirements from the customer.

Security management system requirements specified in this CWA are complementary to requirements for products. Information marked "Remark" is for guidance in understanding or clarifying the associated requirement.

Conformity to this CWA also requires compliance with two restricted documents.

- Risk Inventory
- Guideline for implementation.

For security and confidentiality reasons these restricted documents will only be supplied to appropriate parties upon justification of their quality supported by client and bank references, legal status, financial status. For use by certifying organizations there is a specific procedure to follow.

The restricted documents are owned by Intergraf Brussels. More information about the procedures can be found on the website of Intergraf or by contacting the Intergraf offices in Brussels.

## 0.2 Process approach

This CWA promotes the adoption of a process approach when developing, implementing, and improving the effectiveness of a security management system, to enhance customer satisfaction by meeting security requirements of the customer.

For an organization to function effectively, it has to identify and manage numerous linked activities. An activity using resources, and managed in order to enable the transformation of inputs into outputs, can be considered as a process. Often the output from one process directly forms the input to the next.

The application of a system of processes within an organization, together with the identification and interaction of these processes, and their management, can be referred to as a "process approach".

An advantage of a "process approach" is the ongoing control that it provides over the linkage between individual processes within the system of processes, as well as over their combination and interaction.

When used within a security management system, such an approach emphasizes the importance of:

- a. understanding and meeting security requirements;
- b. the need to consider processes in terms of added value;
- c. obtaining results of security performance and effectiveness; and
- d. continual improvement of the security of processes based on objective measurement.

## 0.3 Basic principles

The organization shall endeavour to attain the following security objectives:

- The organization must attain the security of products, processes, premises, information, etc. and use it to continue to meet demonstrably the requirements, and naturally, the needs of customers.
- The organization must give its own management the confidence that the targeted degree of security is actually achieved and remains on par.
- The organization must give the customers the confidence that the agreed nature and degree of security is or will be attained. If contractually required, this can entail that requirements are agreed on how to show this confidence.

The 'Security Management System' is based on quality standard ISO 9001:2000 on the following grounds:

- The systematic methods of the ISO 9001:2000 (according to the Plan, Do, Check and Act – Deming circle) is adopted, which entails, inter alia, that the management is demonstrably prepared and capable of learning from experience so as to be able to manage, guarantee and improve security;
- The CWA prescribes which elements a security management system contains and not how a specific organization implements these elements. The specific situation of companies varies always;
- All aspects of operational management which are needed in order to be able to control, guarantee, and in so far as possible improve security (organization, responsibilities, procedures, supplies, etc.) are represented in the CWA;
- The security management system has the same chapters (in the same order) as the ISO 9001:2000, whereby the security criteria can be added, per chapter, to the quality criteria. Companies, which already have a quality system that meets the ISO 9001:2000 can thereby, integrate the two assurance systems relatively easily.

Each element of each requirement of the security varies in importance in relation to the type of activity and product. An assurance system must therefore be developed and implemented in such a way that it meets the objectives set in the security policy of an organization.

To facilitate the integration of this CWA with the quality system pursuant to ISO 9001:2000, the same numbers of the various chapters has been retained as far as possible.

## 1 Scope

### 1.1 General

This CWA specifies requirements for a security management system where an organization:

- a. Needs to demonstrate its ability to consistently provide products that meets security requirements set by law and regulations, requirements from the **Security** Printing Industry and customers, and provisions of the risk inventory.
- b. Aims to enhance customer satisfaction through the effective application of the Security Management system, including processes for continual improvement of the system and the conformity to security requirements set by law and regulations, requirements from the **Security** Printing Industry and customers, and results of the risk inventory.

### 1.2 Application

The CWA is intended to apply to producers of documents of value, ID documents or security foils, which are physically protected against forgery and counterfeit by added security features. The CWA contains requirements that can be objectively audited for certification / registration purposes. Certification is only possible, if the organization has established a security management system that is in accordance with the specifications of the risk inventory. The risk inventory is a special document owned by Intergraf. Furthermore the security management system has to comply with laws and regulations in force and specific requirements from the customer.

Where exclusions are made, claims of conformity to this CWA are not acceptable unless these exclusions are limited to requirements within clause 7 hereafter, and such exclusions do not affect the organization's ability, or responsibility to meet security and applicable regulatory requirements.

## 2 Normative Reference

There are no normative references at this time.

## 3 Terms and definitions

### 3.1 Security printing

production of documents of value, ID documents or security foils, which are physically protected against forgery and counterfeit by added security features.

### 3.2 Security feature

special created solution integrated in the products to prevent from counterfeiting and alteration.

### 3.3 Securing

Taking measures intended to protect products, production processes and means of production against violence, threats, danger or damage, theft and embezzlement.

### 3.4 Security Management System

The system with which all security measures in the organization can be controlled.

### 3.5 Security policy

General objectives and direction of an organization in regard to security, as formally made known by the management / The objectives of an organization in regard to security, as well as the means that lead to the attainment of these objectives, as formally set out in a management statement.