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Graphic technology — Management of security printing processes

Technologie graphique — Management des procédés d'impression de sécurité

ICS: 37.100.01

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be NOTEd. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC130, *Graphic Technology*.

This second edition cancels and replaces the first edition (ISO 14298:2013), which has been editorially revised.

The main changes compared to the previous edition are as follows:

— Update of definitions according to the latest version of ISO/IEC Directives, Part 1, Consolidated ISO Supplement;

— Editorial changes based on previous comments from ISO;

— Update of the lay-out.

A list of all parts in the ISO 14298 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

General

This International Standard specifies requirements for a security printing management system for security printers.

Current security printing management practices lack sufficient guarantees that effective security controls are maintained to protect the interest of the customer as well as the general public. Using this International Standard the organization establishes, documents, implements and maintains a security printing management system. This security printing management system is regularly reviewed to continually improve its effectiveness. It is recognized that customer requirements sometimes exceed the requirements of this International Standard so the security printing management system also addresses customer requirements that are beyond the scope of this International Standard.

The adoption of a security printing management system is a strategic decision of an organization. The design and implementation of an organization's security printing management system is influenced by varying needs, particular objectives, products provided, processes employed, security environment, cultural issues, legal limitations, risk assessment and by size and structure of the organization.

To achieve the objectives of this security printing management system standard measures are taken to mitigate all of the security threats determined by an organizational risk assessment. Such controls focus upon reducing, eliminating and preventing acts that compromise the security printing management system of the organization.

It is not the intent of this International Standard to obtain uniformity in the structure of the security printing management system or uniformity of documented information. The security printing management system complies with laws and regulations in force. The requirements specified in this International Standard are supplementary to requirements for products and processes of an organization and allow for additional specific requirements from the customer.

This International Standard is intended to apply to security printers. It contains requirements that when implemented by a security printer may be objectively audited for certification/registration purposes.

Process approach

This International Standard promotes the adoption of a process approach when developing, implementing and improving the effectiveness of a security printing management system.

The application of a system of processes within an organization, together with the identification and interaction of these processes, and their management, is referred to as a "process approach". An advantage of a "process approach" is the ongoing control that it provides over the interaction between individual processes within the system of processes, as well as over their combination.

Basic principles

When implemented, the security printing management system:

a) achieves the security of products, processes, means of production, premises, information, raw material supplies;

b) is used to continue to meet demonstrably the requirements, and naturally, the needs of customers;

c) affords management the confidence that the targeted degree of security is actually achieved and remains effective;

d) affords the customers the confidence that the agreed nature and degree of security is or will be attained.

This International Standard prescribes which elements a security printing management system contains and not how a specific organization implements these elements.

Graphic technology — Management of security printing processes

1 Scope

This International Standard specifies requirements for a security printing management system for security printers.

This International Standard specifies a minimum set of security printing management system requirements. Organizations ensure that customer security requirements are met as appropriate provided these do not conflict with the requirements of this International Standard.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

3.1
organization
person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.8)

Note 1 to entry: The concept of organization includes but is not limited to sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

3.2
interested party
stakeholder
person or *organization* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

3.3
requirement
need or expectation that is stated, generally implied or obligatory

Note 1 to entry: "Generally implied" means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, for example in documented information.

3.4
management system
set of interrelated or interacting elements of an *organization* (3.1) to establish *policies* (3.7) and *objectives* (3.8), and *processes* (3.12) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The system elements include the organization's structure, roles and responsibilities, planning and operation.

Note 3 to entry: The scope of a management system may include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

3.5
top management
person or group of people who directs and controls an *organization* (3.1) at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the *management system* (3.4) covers only part of an organization then top management refers to those who direct and control that part of the organization.

3.6
effectiveness
extent to which planned activities are realized and planned results achieved

3.7
policy
intentions and direction of an *organization* (3.1) as formally expressed by its *top management* (3.5)

3.8
objective
result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels [such as strategic, organization-wide, project, product and *process* (3.12)].

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as a *security objective* (3.32) or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of security printing management systems *security objectives* (3.32) are set by the organization, consistent with the security policy, to achieve specific results.

3.9
risk
effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential "*events*" (SOURCE: ISO Guide 73:2009, 3.5.1.3) and "*consequences*" (SOURCE: ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated "*likelihood*" (SOURCE: ISO Guide 73:2009, 3.6.1.1) of occurrence.

3.10
competence
ability to apply knowledge and skills to achieve intended results

3.11
documented information
information required to be controlled and maintained by an *organization* (3.1) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media and from any source.

Note 2 to entry: Documented information can refer to the *management system* (3.4), including related *processes* (3.12); information created in order for the organization to operate (documentation); and evidence of results achieved (records).

3.12
process
set of interrelated or interacting activities which transforms inputs into outputs

3.13
performance
measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, *processes* (3.12), products (including services), systems or *organizations* (3.1).

3.14
outsource (verb)
make an arrangement where an external *organization* (3.1) performs part of an organization's function or *process* (3.12)

Note 1 to entry: An external organization is outside the scope of the *management system* (3.4), although the outsourced function or process is within the scope.

3.15
monitoring
determining the status of a system, a *process* (3.12) or an activity

Note 1 to entry: To determine the status there may be a need to check, measure, supervise or critically observe.

3.16
measurement
process (3.12) to determine a value

3.17
audit
systematic, independent and documented *process* (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the organization itself, or by an external party on its behalf.

Note 3 to entry: "Audit evidence" and "audit criteria" (SOURCE: ISO 19011).

3.18
conformity
fulfilment of a *requirement* (3.3)

3.19
nonconformity
non-fulfilment of a *requirement* (3.3)

3.20
correction
action to eliminate a detected *nonconformity* (3.19)

3.21
corrective action
action to eliminate the cause of a *nonconformity* (3.19) and to prevent recurrence

3.22
continual improvement
recurring activity to enhance *performance* (3.13)

3.23
risk assessment
overall process of risk identification, risk analysis and risk evaluation

[SOURCE: ISO Guide 73:2009, 3.4.1]

3.24
security printer
producer of printed documents or products of value or entitlement, ID documents or *security foils* (3.26) which are physically protected against forgery, counterfeiting and alteration by *security features* (3.27)

3.25
security printing
set of *processes* (3.12) which transform raw materials into documents or products of value or entitlement, ID documents or *security foils* (3.26) physically protected by *security features* (3.27)

3.26
security foil
thin film material that contains an optical variable element or similar *security feature* (3.27), which is applied onto documents or products to physically protect them against forgery, counterfeiting and alteration

3.27
security feature
component integrated in the product to protect against forgery, counterfeiting and alteration

3.28
security
protection of products, processes, information, means of production, security features and the supply chain

3.29
threat
action or potential occurrence, whether or not malicious, to breach the *security* (3.28) of the system

3.30
security breach
infraction or violation of security

3.31
documented procedure
established way of working, documented, implemented and maintained

3.32
security objective
result to be achieved with regard to *security* (3.28)

Note 1 to entry: Security objectives are in general based on the security policy of the organization.

Note 2 to entry: Security objectives are in general specified for relevant functions and levels in the organization.

3.33
security management
coordinated activities to direct and control an organization with regard to *security* (3.28)

Note 1 to entry: "Direct and control" in general entails the establishment of the policy, objectives, planning, control, security assurance and improvements with regards to *security* (3.28). Security assurance represents all planned and systematic actions needed to give a sufficient degree of confidence that a product or *process* (3.12) meets the security requirements.

3.34
security plan
documented information that specifies the procedures and resources to satisfy the security requirements of the organization

3.35
security control
aspect of *security management* (3.33) aimed at the fulfilment of the security requirements

3.36
preventive action
action to prevent the cause of a *nonconformity* (3.19)

3.37
traceability
ability to trace the history, application or location of an object

Note 1 to entry: When considering a product or a service, traceability can relate to the origin of materials and parts, the processing history and the distribution and location of the product or service after delivery.

(SOURCE: ISO 9000:2015, 3.6.13 modified)

3.38
resource
personnel, information, premises, process equipment (software and hardware) and tools

3.39
supply chain
set of interconnected *processes* (3.12) and *resources* (3.38) that starts with the sourcing of raw materials and ends with the delivery of products and services to the customer

Note 1 to entry: Supply chains include producers, suppliers, manufacturers, distributors, wholesalers, vendors, and logistics providers. They include facilities, plants, offices, warehouses, and branches and can be both internal and external to an organization.

Note 2 to entry: Supply chain management as related to this International Standard includes the vetting of suppliers and customers from the point of initial security value, which is the point at which security is added to the product.