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Standardization product
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Summary

HECTOS is a European FP7 project focusing on harmonization of evaluation and certification schemes (E&C schemes) for physical security products, and studies existing E&C schemes used in other areas that could be applied, adapted or developed for products used for physical security of people, property and infrastructure. The project will evolve elements for a roadmap for the build-up of new harmonized evaluation and certification schemes for security products. With the aim to disseminate relevant project results and to enhance the transfer of those results into the market, standardization activities have been envisaged within HECTOS. For that reason, the project partners initiated a CEN/CENELEC Workshop and together with other, external bodies, including certification bodies and manufacturer organisations, a CEN/CENELEC Workshop Agreement (CWA) was developed in several meetings within 7 months.

This CWA, elaborated within the HECTOS project time frame, provides guidelines on how to design certification systems and schemes for physical security products and presents a framework in which these systems and schemes can be upheld. This report reviews the process of the CWA in general before specific steps occurring in HECTOS will be described in more detail. Relevant milestones, which were crucial in the development of the CWA, will be emphasized where necessary.

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1 Introduction

1.1 Background

HECTOS is a European FP7 project focusing on harmonization of evaluation, certification and testing of physical security products. Physical security equipment and systems are very diverse in technology, concept of operation, application area and performance, and similar security products are difficult to compare in terms of performance, accuracy, usage, trust and validation of functionality. Currently, there are very few test, evaluation and certification procedures in Europe that are mutually recognized by different Member States. This leads to fragmentation of the market, as identified in the recent EC Communication on Security Industrial Policy [1], with negative impacts on both suppliers and users.

Physical security equipment and systems are very diverse in technology, concept of operation, application area and performance, making security products difficult to compare in terms of performance, accuracy, usage, trust and validation of functionality.

The HECTOS project focuses on the functional performance evaluation and conformity assessment for physical security products used for security of people, property and infrastructure, including:

- Barriers (e.g. fences, gates, barriers)
- Access management (e.g. locks, safes, access control, biometrics)
- Surveillance (e.g. video surveillance systems (VSS), security lighting)
- Detection (e.g. intruder alarms, CBRN, explosives & weapons detectors)

This wide range of types of product and application, the need to operate in both regulated and unregulated environments as well as products with very different maturity and market sizes, means that a range of different types of scheme is needed.

Within the HECTOS project a generic certification framework has been developed to accommodate these disparate types of scheme. HECTOS has also developed a template for establishing harmonised certification schemes and systems. The certification framework and template are the main content of the CWA, whose development is reported in this document.

1.2 Objectives and scope

The objective of Deliverable *D7.2 Standardization product* is to provide an overview how the standardization document, a CWA, on the topic *Guidelines on evaluation systems and schemes for physical security products* has been developed. It explains the related process and important steps that have been considered in order to enhance standardization activities within the HECTOS project.

1.3 Document structure

This document is structured in two main parts. Firstly, the overall approach for developing standardization documents in research and development (R&D) projects. Secondly, the specific achievements of HECTOS' standardisation activities are provided.

2 Standardization activities

Within the project various standardization activities have been envisaged, which led to a standardization strategy (MS2) [2]. In summary, main standardization activities have been:

- overview of existing standards, gaps in standardization and proposals for standardization activities (D2.1) [3];
- liaison with CEN/TC 391 Societal and Citizen Security;
- contribution to development of Technical Specification *Biometric authentication for critical infrastructure access control* in CEN/TC 224 *Personal identification and related personal devices with secure element, systems, operations and privacy in a multi sectorial environment*;
- initiation and development of a standardization document, a CEN-CENELEC Workshop Agreement Guidelines on evaluation systems and schemes for physical security products.

Some of these points have been already described in D2.1 [3] as well as in MS2 *Decision about standardization strategy* [2].

2.1 Initiation of a CEN/CENELEC Workshop Agreement (CWA)

A CEN/CENELEC Workshop is a flexible working platform for rapid development of standards at European level. It is a suitable solution for reaching consensus of identified stakeholders on technical specifications, guidance material, best practices etc. CWAs are voluntary in application and are obligatory reviewed every three years. IPR policy and exploitation rights are applicable in such documents. The development period of a CWA fits very well within the duration of a R&D projects. In order to involve the public, two commenting phases are integrated in the process. The general CWA process is shown in Figure 1.



Figure 1: CWA Process

The objective of the CWA activity is to publish the certification system framework developed in HECTOS, together with a template for the implementation of certification schemes within the framework as a set of guidelines. The framework is based on and builds upon the ISO/IEC 17000 standard series for conformity assessment, adding a number of features to address the specific needs of physical security products.

2.2 HECTOS' CEN/CENELEC Workshop

Based on the analysis of the results achieved during the project it was decided to adapt D3.3 *HECTOS Harmonised Security Product Certification Scheme Framework and Templates* in a standardization document. The project partners agreed to apply for a CEN/CENELEC Workshop in order to disseminate the framework and template developed in HECTOS within Europe. The CWA process was initiated by the preparation of the documents defined in CEN-CENELEC Guide 29 CEN/CENELEC Workshop Agreements [4], a Project Plan and an analysis of degree of stakeholder interest in the proposed topic. The documents were compiled with the support of the proposed chairpersons as well as other HECTOS partners. The proposed time plan for the CEN/CENELEC Workshop was defined and the result is shown in Figure 2.

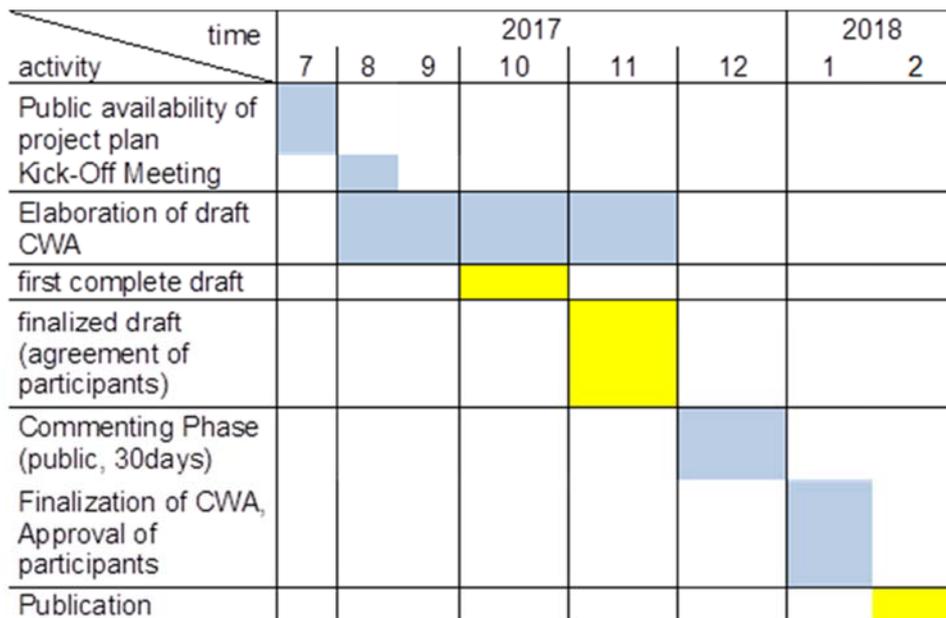


Figure 2: Time schedule CEN/CENELEC Workshop HECTOS

The Project Plan (see Figure 3), the analysis of degree of interest as well as the self-assessment were submitted to the CEN-CENELEC Management Centre (CCMC) for approval. After being accepted by CCMC the project plan was published for 30 days on the website of CEN-CENELEC. External stakeholders were asked to provide comments or to indicate interest to participate at the Kick-off workshop of the CEN-CENELEC Workshop.



¹2017-06-29

DRAFT

**Project Plan for the CEN-CENELEC Workshop on Guidelines on evaluation systems and schemes for physical security products
WS Acronym: HECTOS**

**Workshop
(to be approved during the Kick-off meeting on 2017-08-04)**

The content of the Project Plan is structured into chapters. These chapters represent the Project Plan's minimum content. There is no restriction on the addition of further chapters if this is deemed useful.

1. Status of the Project Plan

Draft Project Plan to be approved at the Kick-off meeting of the Workshop to be held in Berlin on 4 August 2017.

- Draft Project Plan to be approved at the Kick-off meeting of the Workshop
- Approved Project Plan

2. Background to the Workshop²

2.1 General

Figure 3: Project Plan CEN/CENELEC WS HECTOS

This Kick-off meeting was held on 4th August 2017 in Berlin. It was intended to establish the Workshop, to approve the project plan, to assign a chairperson and to start a first discussion on the structure of the document.

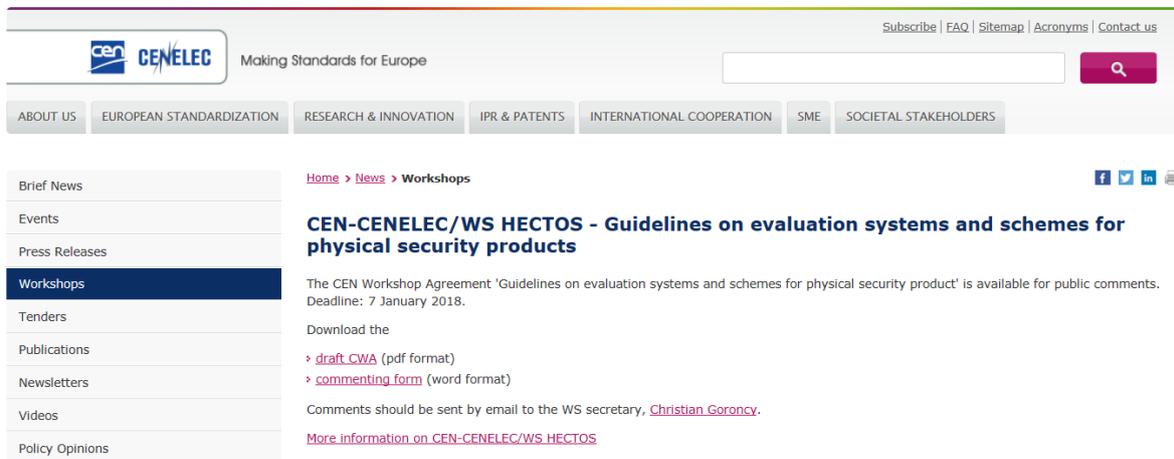
Around 20 organisations participated at the Kick-off and 16 organisations registered for the workshop. Representatives of certification bodies, industrial associations, standardization bodies as well as HECTOS partners participated in the CEN/CENELEC Workshop. The EC was involved during the process as an external observer.

Anders Elfving, the HECTOS project coordinator from FOI was elected as Workshop chair and Mike Kemp, of Iconal Technology, one of the principal authors of the HECTOS framework was elected as Vice Chair. Dr. Kemp is also the HECTOS dissemination lead and was well placed to help ensure a good level of engagement with the stakeholder community throughout the workshop process. Christine Fuß and subsequently Christian Goroncy from DIN were the Workshop Secretaries.

In total, two physical meetings (including the kick-off) and four web conferences were organised to elaborate on the document. Intensive discussion and valuable contributions have been gathered from HECTOS partners as well as from project external workshop participants to further develop the content of the envisaged CWA.

A first final draft of the CWA-document was published for public comments on the CEN/CENELEC-Website on 8th December 2017 for 30 days (see Figure 4), as recommended

in the CEN-CENELEC guidelines in order to get the widest level of stakeholder comment and contribution.



The screenshot shows the CEN-CENELEC website interface. At the top, there is a navigation bar with links for 'Subscribe', 'FAQ', 'Sitemap', 'Acronyms', and 'Contact us'. Below this is a search bar and a main navigation menu with categories like 'ABOUT US', 'EUROPEAN STANDARDIZATION', 'RESEARCH & INNOVATION', 'IPR & PATENTS', 'INTERNATIONAL COOPERATION', 'SME', and 'SOCIETAL STAKEHOLDERS'. On the left side, there is a sidebar menu with options: 'Brief News', 'Events', 'Press Releases', 'Workshops', 'Tenders', 'Publications', 'Newsletters', 'Videos', and 'Policy Opinions'. The 'Workshops' menu item is highlighted. The main content area displays the title 'CEN-CENELEC/WS HECTOS - Guidelines on evaluation systems and schemes for physical security products' and includes a notice about a public comment deadline of 7 January 2018. It also provides links to download a draft CWA (pdf format) and a commenting form (word format), and mentions that comments should be sent to the WS secretary, Christian Goroncy.

Figure 4: Request for public comments – Announcement on CEN/CENELEC Website (08th December 2017)

The request to provide feedback and comments on the first final draft of the document has been sent to various interested stakeholder groups, such as:

- CEN/TC 391 Societal and Citizen Security;
- CEN-CENELEC/JTC 1 Criteria for conformity assessment bodies;
- HECTOS stakeholders;
- European Commission;
- Attendees of the HECTOS final event in Brussels (6th December 2017);
- CEN/CLC/JTC 1 – Criteria for conformity assessment bodies.

By doing so, a broad network was informed about the possibility to contribute to the standardization process with the aim to enhance the recognition of the envisaged CWA-document.

During the commenting phase more than 300 comments from 11 workshop participants were received. Also here, a diverse group of interested parties sent their comments, which were of general, editorial and technical character. The secretary and chair persons decided to discuss the comments via a plenary web conference. All comments and proposed changes for the CWA were sent to the workshop members before the web conference.

The web conference took place on 10th January 2018. All comments were discussed amongst the workshop participants. The comments were either accepted, with or without changes, or declined by the workshop members.

After the web conference further editorial changes on the CWA to improve the document were implemented. As the CWA reached its final status, the workshop participants were asked to approve the CWA till 28th January 2018. Those who approved the final document were listed in the foreword of the CWA, whereas those who disapproved or abstained were not mentioned in there. Those were:

- Swedish Defence Research Agency, FOI (Chair)
- Iconal Technology Ltd (Vice-Chair)
- Asociatia Romana pentru Tehnica de Securitate, ARTS
- BRE Global Ltd
- DIN CERTCO Gesellschaft für Konformitätsbewertung mbH
- European Certification Body (ECB) GmbH
- European Security Systems Association (ESSA) e.V.
- IDEMIA
- Fraunhofer-Institut für Chemische Technologie
- Fraunhofer-Institut für Grafische Datenverarbeitung
- National Physical Laboratory (NPL)
- The Netherlands Organization for Applied Scientific Research (TNO)

No organisation disapproved the CWA and only one abstained.

The CWA will be officially published as *CWA 17260* in February 2018, free of charge and publicly available via the CEN-CENELEC webpage.

All in all a considerable amount of work was done to refine and improve the framework during the CWA process. The input of the external workshop participants was extremely valuable in this process, especially that of the certification bodies with their experience of setting up and operating certification systems and schemes in other areas, together with the manufacturer industry associations representing the need to avoid unnecessary cost and complexity.

The CWA will be valid for three years. After this period the workshop participants are asked to make a choice to reconfirm, revise, upgrade the document into a European standard or withdraw the CWA. After another 3 years, which reflects the maximum lifetime of six years, it needs to be decided if the CWA will be withdrawn or upgraded into a European standard.

3 References

- [1] European Commission, „Communication From The Commission To The European Parliament, The Council And The European Economic And Social Committee, Security Industrial Policy, COM (2012) 417 final,“, July 2012.
- [2] HECTOS FP7, „HECTOS MS2 – Decision about standardization strategy“, 2016.
- [3] HECTOS FP7, „HECTOS D2.1 – Overview on existing standards, gaps in standardisation and proposals for standardisation activities“, 2015
- [4] CEN-CENELEC Guide 29 – „CEN/CENELEC Workshop Agreements“ 2014.

4 Abbreviations and Definitions

CCMC	CEN/CENELEC Management Center
CEN	European Committee for Standardization
CENELEC	European Committee for Electrotechnical Standardization
CWA	CEN Workshop Agreement
EC	European Commission
E&C	Evaluation and Certification
IPR	Intellectual Property Rights
JTC	Joint Technical Committee
R&D	Research and Development
TC	Technical Committee

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