Hardcopy Devices International Technical Community Terms of Reference v 0.5

1 Identification

Name: Hardcopy Devices International Technical Community

Abbreviation: HCD-iTC

2 Initiators

IT Security Certification Center (ITSCC), Republic of Korea, itscc@nsr.re.kr

Japan IT Security Evaluation and Certification Scheme (JISEC), Japan, jisec@ipa.go.jp

3 Technology area and scope

The scope of this international Technical Community (iTC) is Hardcopy Devices (HCDs) that support at least one of the job functions of printing, scanning, or copying, with an optional fax function.

The iTC will develop and maintain a collaborative Protection Profile (cPP) for such products. The iTC will also develop a Supporting Document (SD) that describes the Evaluation Activities that are to take place when evaluating a product against the cPP.

The initial cPP is to consider the Essential Security Requirements [1] (ESR). It is anticipated that the scope of the first version of the cPP is limited to solve the security problem as defined in the [ESR] in order to be completed in a timely manner. After completion of the first version of the HCD cPP with associated Supporting Documents, the iTC may consider expanding the scope of subsequent cPPs.

4 Key persons / Roles

Key roles are defined in Section 8.

In order to avoid updating this Terms of Reference (ToR), and potentially requiring another submission for approval, the key persons are defined in “Hardcopy Devices International Technical Community - Key persons and affiliations” [2] provided separately in the approved collaboration tool area.

5 Collaboration Infrastructure

To enable collaboration, the iTC uses collaboration services including email notification, discussion forums, and file storage that are accessible to iTC members. At this writing, the Common Criteria Users Forum is hosting collaboration services for the iTC.

6 iTC and cPP development process

6.1 Application of the White Paper

This iTC follows the processes defined in "Establishing International Technical Communities and Developing Collaborative Protection Profiles" [3] with the version agreed with the CCDB Liaison. The version should normally be the latest version approved by the CCRA CCDB HCD Working Group, or the CCRA CCDB, as applicable.

6.2 Maintenance

The iTC remains in place to answer inquiries and update the cPP as may be requested by CCDB, iTC members, and other cPP stakeholders. The iTC Chair is responsible for establishing an appropriate periodic schedule and organizing the iTC to review, and if necessary, update the cPP and SDs.

7 Policies

7.1 Membership

This iTC is open to all interested persons who have an active role in this technology area and in CC evaluation. To join the iTC, each person sends a request to HCD-iTC Chair.

7.2 Principles

The iTC should work in a manner that promotes fair competition and meets the six principles of international standardisation determined by the WTO-TBT. See G/TBT/1/Rev.9 (8 September 2008) "DECISIONS AND RECOMMENDATIONS ADOPTED BY THE WTO COMMITTEE ON TECHNICAL BARRIERS TO TRADE SINCE 1 JANUARY 1995".

- Transparency
- Openness
- Impartiality & Consensus
- Effectiveness & Relevance
- Coherence
- Development Dimension

If the iTC finds any of the principles not to be appropriate, it should inform the CCDB via the CCDB Liaison regarding what exceptions are required and why.

7.3 Code of Conduct

The Hardcopy Devices iTC draws from the ISO Code of Conduct for technical Work [4].

Work for the net benefit of the international community	We recognize that the development of International Standards is for the net benefit of the international community, over and above the interests of any individual or organization. We are committed to advancing International Standards within their agreed scope and we will not hinder their development.
Uphold consensus and governance	We will uphold the key principles of International Standardization: consensus, transparency, openness, impartiality, effectiveness, relevance, coherence and the development dimension.
Agree to a clear purpose and scope	We are committed to having a clear purpose, scope, objectives, and plan to ensure the timely development of International Standards.
Participate actively and manage effective representation	We agree to actively participate in standards development projects. We will make our contributions to the work through the official procedures in accordance with the ISO/IEC Directives.
Escalate and resolve disputes	We will identify and escalate disputes in a timely manner to ensure rapid resolution. We will uphold the agreed dispute resolution processes.
Behave ethically	We will act in good faith and with due care and diligence. We will avoid collusive or anticompetitive behaviour. We will promote a culture of fair and ethical behaviour.
Respect others in meetings	We are committed to respecting others and the professional culture of international standardization within ISO. In meetings we are committed to: • conducting ourselves in a professional manner • respecting others and their opinions • accepting group decisions • ensuring that the views of all (including those whose first language is not that of the meeting) are heard and understood

7.4 Language

The iTC work and documents will be executed in the English language.

7.5 Revision of the Terms-of-Reference

The ToR should be subject for discussion and revision as needed and agreed upon within the iTC.

The CCDB should be informed via the CCDB Liaison whenever changes are made to the ToR that are principal in nature and may affect the endorsement status of the iTC within the CCRA.

7.6 Decision-making

7.6.1 Editorial decisions

Editorial decisions (including correction of technical inconsistencies) are made at the discretion of the Technical Editor, consulting with the SMEs and iTC Leads when needed.

7.6.2 Technical decisions

Decisions will be made by a consensus of the participating members. Consensus is defined as receiving no documented objections during the decision period.

Decisions may be made via email or during an in-person meeting or telephone conference call. In the case of email, the iTC will provide one or two weeks to make the decision. For in person or telephone conference calls, only members that attend the meeting will be able to participate in making the decision.

Consensus is the default and strongly preferred method for resolution. However, if after a month consensus cannot be reached for a particular issue, then majority voting will be implemented.

If there are members that disagree with a decision, they can request the reason for the objection to be documented.

Once a decision has been made by the group it will be adopted and implemented. However, as a means to change direction or scope, any member can try to build a consensus for reversing a prior decision.

Only the iTC can decide to change the Terms of Reference for the Community.

7.6.3 Comment management and resolution

All iTC members are permitted to submit comments. Comments shall be constructive, i.e. provide alternative wording to resolve the comment in a way that it could be used for a voting decision.

All written comments will be recorded, posted, and receive a posted response. Comments are made available for viewing by iTC members.

7.7 Voting

Decisions shall be taken on the basis of the consensus principle, as defined in in ISO/IEC Guide 2:2004.

> "consensus: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments.

NOTE Consensus need not imply unanimity."

Voting is used infrequently as a way to formally decide on a particular issue or on the proposed completion of a development phase.

One vote is allowed for each member organization, not for each individual member. “Organization” is defined according to the definition adopted by the CC Users Forum; for commercial enterprises, a parent company and all of its divisions and subsidiaries constitute one organization. It is the responsibility of each organization to determine which individual member will cast a vote on its behalf.

As a guideline, voting takes place according to the following process:

1. A Call for Votes is posted, including the mechanism for casting ballots and time period during which ballots are accepted
2. At the end of the voting period, ballots are tabulated and reviewed by the Chair or the Technical Editor
3. Results of voting are posted, including a summary of the vote and the votes cast by each organization.

This process is illustrated below. Timing for each part of the process is provided as a benchmark. A typical voting cycle should be completed within a three-week period. Some voting periods may be longer due to holidays or other events.

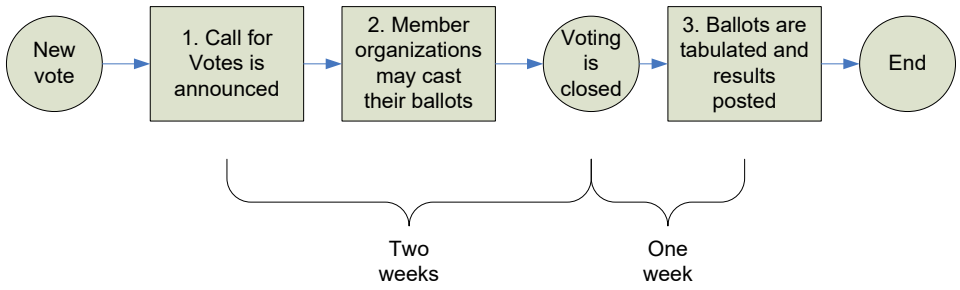


Figure 1 Guideline Voting Process

Votes submitted shall be explicit: positive, negative, or abstention. A positive vote may be accompanied by editorial or technical comments, on the understanding that the iTC Chair or Technical Editor (as applicable) will decide how to deal with them. If a voting member finds the proposal unacceptable, the member shall vote negatively and state the technical reasons. The member may indicate that the acceptance of specified technical modifications will change the negative vote to one of approval, but a member shall not cast an affirmative vote that is conditional on the acceptance of modifications.

A vote is approved if:

a) a two-thirds majority of the votes cast by the voting members of the iTC are in favour, and
b) not more than one-quarter of the total number of votes cast are negative.

Negative votes not accompanied by technical reasons and abstentions are excluded when votes are counted.

7.8 Meetings

Meetings are held at times, with frequency, and in forms that are determined by the iTC members.

7.9 Record-keeping

The following records are created and maintained:

- Meeting attendance and summary of decisions
- Action items and their disposition
- Comments and resolutions
- Interim draft documents
- iTC Roster with indication of voting members
- Key persons and affiliations.

These records are accessible to iTC members.

7.10 Patent and other intellectual property

7.10.1 Essential patents

"Essential Patent" means any issued or pending patent claim for which its use is necessary (i.e., there is no commercially and technically feasible non-infringing alternative) to fulfill the conformance requirements of the Collaborative Protection Profile or Supporting Documents produced by the iTC.

iTC members must inform the Chair if they are personally aware of any potential Essential Patent, regardless of the owner or controller of such patents.

As soon as an Essential Patent is identified, the iTC should seek resolution in the following priority order:

1. The owner of the Essential Patent grants a license, on reciprocally reasonable and non-discriminatory terms and conditions, to anyone desiring to manufacture, sell, or otherwise employ products conforming to the Collaborative Protection Profile or Supporting Documents; or,
2. If the owner of the Essential Patent is unwilling or unable to grant such a license, then the iTC should modify the Collaborative Protection Profile or Supporting Documents so as not to infringe on the Essential Patent.

7.10.2 Members' intellectual property

iTC members are solely responsible for protecting their organizations' proprietary, trade secret, and other sensitive information. The Chair, other members, and the technical infrastructure used by the iTC, do not provide any assurance of such protection.

7.10.3 Work product ownership

No copyrights will be asserted on the Collaborative Protection Profile and Supporting Documents. iTC members may use those work products but may not assert moral or authorship rights. The use of those work products is controlled by the Common Criteria evaluation process: claims of conformance to the work products are meaningless without Common Criteria certification.

7.11 Inappropriate topics

iTC members should not discuss topics that could be interpreted as collusion, such as pricing, licensing terms, territories, market shares, or litigation. iTC members are encouraged to inform the Chair if they become aware of such discussions.

7.12 Common Criteria considerations

The products of this iTC will conform to CCRA requirements for mutual recognition.

Other considerations, such as CC/CEM conformance and PP evaluation, are to be determined.

8 Roles

The roles described below are assigned on a voluntary basis, and a person stays in a role as long as he/she wants to perform that role.

8.1 Initiator(s)

Initiators represent the national government(s) that requested the development of the cPP and SDs for this technology area. The initiators do not have any particular responsibilities in the iTC, but they can have other roles as well in the iTC as defined in this ToR.

8.2 iTC Chair

The iTC Chair oversees the operation of the iTC in accordance with the ToR: assigns or approves key persons, sets and manages schedules, convenes meetings, plans and leads activities, solicits participation and inputs, manages issues and discussions.

Every 12 months, or when necessary due to vacancies, or when so requested by members of the iTC, the iTC Chair should discuss the current assignments of key persons with the iTC membership.

8.3 Record Manager

The record manager is a role that primarily supports the iTC Chair. Unless agreed otherwise with the iTC Chair, the responsibilities include:

- Establish and maintain a record with key persons and their affiliations.
- Establish and maintain an updated roster, including identity of organisations/nations eligible to vote.
- Administer membership applications.
- Keep mailing lists up to date.
- Provide access for new members to appropriate iTC resources.

- Make notes of meetings.
- Keep the iTC action item list updated.
- Ensure that iTC records are maintained, available, and in good order.
- Support the iTC Chair in daily operation of the iTC.

8.4 Technical Editor(s)

The Technical Editors serve as the primary authors for the cPP and SDs: create and update documents to reflect the decisions of the iTC, post drafts for access by iTC members, and finalize drafts for approval.

8.5 SMEs

Subject Matter Experts constitute a team that develops the initial drafts of the cPP and SDs, evaluates issues and comments, and proposes appropriate and equitable resolutions to the iTC. The SME team is composed of a balance of industry, end user, evaluation labs, government and other Common Criteria experts who can work effectively with the rest of the iTC members. SMEs should have adequate competence, time, and resources available in order to contribute to provide timely resolutions to the iTC.

8.5.1 Industry SMEs

Industry SMEs provide knowledge of the technology area and experience with product evaluation. They also help make appropriate decisions based on their practical knowledge of markets, customer expectations, implementation, and costs.

8.5.2 Lab SMEs

Lab SMEs provide a solid understanding the evaluation process in the various schemes under the CCRA, and can offer contributions from a unique perspective. They can offer perspective on evaluation activities (what the evaluator does to test or otherwise confirm compliance with requirements) and ensure the requirements are written in such a way that there can be clear pass/fail criteria.

8.5.3 Certification Body SMEs

Common Criteria certification bodies provide knowledge and experience in the expression of functional and assurance requirements in the language of the CC, and help ensure that the cPP and SDs comply with CCRA-accepted standards and practices.

8.5.4 Other SMEs

Other SMEs can come from a wide range of backgrounds, including government technical experts, end user representatives, consultants, and academics.

9 References

[1] “Hardcopy Devices Essential Security Requirements,” [Online]. Available:

(TBD)

[2] ”Hardcopy Devices International Technical Community - Key persons and affiliations” [Online]. Available:

(TBD)

[3] “Establishing International Technical Communities and collaborative Protection Profiles development,” [Online]. Available: http://www.commoncriteriaportal.org/files/communities/Establishing%20iTCs%20and%20cPP%20development%20-%20v0-7.pdf

[4] “ISO Code of Conduct for the technical work,”

Available: http://www.iso.org/iso/codes_of_conduct.pdf