



## **IEEE-ISTO Business Proposal for Common Criteria Users Forum (CCUF)**

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Common Criteria User Forum (CCUF)

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**Valid Through:** 25 September 2014

The Common Criteria User Forum (CCUF) is an open, volunteer-driven community that provides a voice and communications channel for industry and government stakeholders in this technical space. CCUF has the goal to promote Common Criteria and foster its worldwide recognition via protection profiles and certification programs.

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## Table of Contents

<b>Statement of Confidentiality.....</b>	<b>iii</b>
<b>I About IEEE-ISTO.....</b>	<b>4</b>
<b>II Executive Summary.....</b>	<b>6</b>
CCUF Operations .....	6
CCUF Objective.....	6
CCUF Benefits.....	6
CCUF Requirements .....	7
<b>III Solutions Overview .....</b>	<b>7</b>
Program Formation Support and Management .....	7
Ongoing Core Support .....	8
Optional Variable or Project-basis Support .....	11
<b>IV Proposed Cost Summary .....</b>	<b>14</b>

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## Statement of Confidentiality

The information provided is a true representation of IEEE-ISTO's capabilities, resources and benefits and, as such, contains confidential information that is held to be material to the operations of the organization. Should such information be revealed, the result could have a direct impact on the business operations of IEEE-ISTO.

All information contained in this package is confidential and we respectfully request that it not be distributed to anyone who is not in a leadership or decision-making role in the selection process with a need to know, and that this information is maintained in a secure contracting file as a confidential document.

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## I About IEEE-ISTO

IEEE-ISTO is a global, technical trade association partnering with today's international technology community to develop, certify and promote the market acceptance of innovative technology solutions that benefit industry. To that end, IEEE-ISTO provides the legal/accounting infrastructure as well as an array of technical support offerings that enable today's technical trade groups and industry consortia to succeed in achieving their respective goals:

- ♦ Launch/formation activities
- ♦ Program management and executive directorships
- ♦ Membership management and administration
- ♦ Financial management and accounting administration
- ♦ Board Secretariat services and working group/committee support
- ♦ Collaboration/IT Tools
- ♦ Marketing Communications
- ♦ Compliance and conformity assessment
- ♦ Our base home office is your headquarters... and more.

Key items to consider when forming an association include: incorporation, tax exemption application, tax filings, accounting, financial audits, insurance, administration, strategy, and management just to name a few. IEEE-ISTO offloads the burden for you in these categories so that your members can focus on their technical initiatives to achieve their goals. ISTO's onboarding process extends to logo and website design, branding strategies and press announcement support to round out your successful launch. On an ongoing basis, core support is tailored and scalable to meet your needs.

There are three key differentiators that set IEEE-ISTO apart:

### 1. World class support from a proven provider to industry today

With more than fifteen years of solid experience partnering with 45+ technical industry trade groups covering a broad spectrum of today's most innovative electro-technologies, IEEE-ISTO is a trusted partner in the development, adoption, marketing, and certification/market surveillance of standardized global technologies that meet industry needs. IEEE-ISTO can support alliances/consortia with immediate not-for-profit status by joining our Organization, or with our expert support for forming an independent company that would be an affiliate member.

IEEE-ISTO has the experience and resources to assist with any of all of the following:

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- ♦ Alliance Formation and Legal Support
- ♦ Finance, Accounting & Budget
- ♦ Membership Management
- ♦ Executive Director Leadership and Strategy
- ♦ Program Management
- ♦ Board Management
- ♦ IT Tools
- ♦ Marketing Communications/Research
- ♦ Meeting Planning/Event Management

**2. A legal not-for-profit infrastructure umbrella within which organizations can form quickly, cost-effectively and be assured of not-for-profit status without losing your independence and autonomy as a technical trade group.**

As an alternative to the expense of self-incorporation and applying for your own not-for-profit status, and the need to set aside estimated 1/3 of dues collected for tax liability, IEEE-ISTO can save member associations considerable time, money, and effort while providing all of the requisite benefits allowing the collected funds to immediately be used toward achieving the group's objectives. By forming under IEEE-ISTO, member programs receive the immediate benefits of a protective legal umbrella and tax exempt status, thus removing uncertainty in these critical areas.

In addition, member programs pay a pro-rata portion of the infrastructure expenses, which are a fraction of the costs they would incur if burdened with each infrastructure item directly.

- ♦ IEEE-ISTO leverages IEEE and its economies of scale to secure financial and insurance services at a reduced cost.
- ♦ IEEE-ISTO provides access to and interaction with 20+ technical trade alliances/consortia comprising thousands of members with expertise to share to help ensure the success of your program.

**3. Access to and participation in valuable IEEE resources that could add value to your organization, including IEEE conferences, IEEE publications and various marketing support.**

A key differentiator for ISTO is its relationship and synergy with IEEE, the Institute of Electrical and Electronics Engineers. This relationship extends opportunities to alliances and organizations supported by ISTO in the form of conferences, publications

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and a strong marketing channel, if desired. No other alliance or consortia partner provides visibility and potential access to over 400,000 engineers and 1,300 annual conferences and the most respected electronic library and engineering publications in the world.

## **II Executive Summary**

### **CCUF Operations**

The Common Criteria User Forum (CCUF) is an open, volunteer-driven communications forum for stakeholders in the Common Criteria community. It provides collaboration areas for technical communities that are developing protection profiles for several product classes including operating systems, databases and multifunction printers. Primarily a US-based group with active participation from Japan, Canada and other geosites, there are currently over 500 individual members engaged representing over 200 entities comprised mostly of vendors and labs.

There are a variety of working groups in the Forum dedicated to marketing the Common Criteria, engaging end users, protection profile development, the evolution of the Common Criteria, structured vulnerability testing and more. The CCUF holds an annual workshop with the CCRA meeting in March and with the annual international Common Criteria Conference in September. A face to face is also held annually around the RSA conference in February in addition to monthly teleconferences.

### **CCUF Objective**

The mission of the CCUF is to provide a voice and communications channel for stakeholders in the Common Criteria community.

Its objective is to improve and promote Common Criteria by seeking to support and foster global mutual recognition; promote focused technical working groups to create useful, realistic and internationally recognized protection profiles; assure customers of evaluated products with meaningful evaluation results; and encourage viable policies and processes for certifying systems and maintaining certification via updates.

### **CCUF Benefits**

The Common Criteria User Forum affords members the opportunity for information exchange and online collaboration on profiles and workshops to fulfill the mission stated above. Members can share views, influence developments and gain access to resources and knowledge from others in the CC community.

### **CCUF Requirements**

ISTO has drafted this proposal to CCUF based upon initial discussions with Brian Smithson and assumes that CCUF intends to join the ISTO federation of programs to avail itself of IEEE-ISTO's legal framework, insurance and accounting infrastructure. Based on these assumptions, this proposal is submitted for your consideration.

## **III Solutions Overview**

### **Program Formation Support and Management**

An IEEE-ISTO Program Manager will be assigned as the primary interface during CCUF's initial formation. The Program Manager will work closely with representatives of the alliance to form an independent Program within the IEEE-ISTO legal framework, thus formalizing the legal, governance, and membership structures, as well as the operations and procedures of the Program. The IEEE-ISTO Program Manager will guide the Alliance in implementing the steps necessary to formalize membership grades and associated benefits and corresponding membership dues rates, and initiate budget development leading to the next phase of its maturity.

IEEE-ISTO offers formation support.

#### Formation

- ♦ Establish the organization as a member Program of IEEE-ISTO operating under the 501(c)(6) not-for-profit legal status of IEEE-ISTO
- ♦ Provide for certificates of insurance under ISTO's blanket insurance policy
- ♦ Facilitate development of the Bylaws, Membership Agreement, and IP Policy
- ♦ Facilitate establishing a governing entity (steering group, Board) as required
- ♦ Facilitate adherence to IEEE-ISTO's Antitrust Guidelines
- ♦ Manage website design/maintenance, logo design, and possible Press announcement(s) (actual design, development and PR costs are separate)

#### Accounting setup

- ♦ Setup of general ledger and department codes for the Program
- ♦ Create invoice templates for Program activities
- ♦ Establish accounting billing groups and charge codes for various membership levels
- ♦ Assist with and advise on budget development
- ♦ Facilitate initial transfer of existing funds to IEEE-ISTO

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- ♦ Upload budget into the accounting system

## Ongoing Core Support

### Virtual Headquarters Office

- ♦ IEEE-ISTO offers a formal headquarters office location based in the U.S., in Piscataway, New Jersey. Facilities include meeting space (as needed), copy machines, scanners, purchasing, etc.
- ♦ IEEE-ISTO support staff may serve as a central point of contact to filter and address questions and requests for information on the organization. Technical questions would be referred to a Program contact, while membership, administrative, and general questions can be addressed directly by IEEE-ISTO, facilitating the membership development process.
- ♦ IEEE-ISTO will monitor and respond to all e-mail inquiries and other correspondences.
- ♦ IEEE-ISTO will coordinate and implement the Program's file retention and ongoing maintenance (electronic and hardcopy). For example, membership records, mailing lists, financial reports, legal agreements, contracts, etc. will be stored electronically on an online drive that is refreshed every 20 minutes, has built-in security features, and has a redundant configuration at an offsite location for added security.
- ♦ IEEE-ISTO will purchase items on behalf of the program [e.g., office supplies] if and when requested.
- ♦ IEEE-ISTO will maintain an inventory of all Program physical assets.

### IEEE-ISTO Infrastructure and Insurance Support

IEEE-ISTO is a federation of member associations focused on the development and market acceptance of industry standards and technologies that foster robust industry ecosystems. The member programs of IEEE-ISTO share in the governance of the organization. In return for shared common costs, each member program can leverage IEEE-ISTO's not-for-profit tax status while maintaining its own independent governance structure, thus saving significant time, dollars, and effort in establishing a legitimate legal framework within which to operate.

- ♦ **Liability insurance/indemnification:** IEEE-ISTO carries a complete package of insurance policies (renewed annually) to cover the groups organized within its umbrella. The group coverage is far less expensive than if acquired by the program on its own.

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- ♦ **Infrastructure:** Costs associated with the organizational overhead of IEEE-ISTO are jointly funded by the programs organized within its umbrella in lieu of each program having its own legal and financial infrastructure costs. As IEEE-ISTO is an entity that exists solely to support its participant programs, its participant programs bear a divided share of these costs (again, a reduced amount as it is shared among all IEEE-ISTO Programs).
- ♦ **IEEE-ISTO Membership:** Voting members of the Programs are encouraged to participate in the nomination and election of IEEE-ISTO Directors. Further, Program stakeholders may participate in cross-program activities such as the Program Leadership Caucus and other such events, as scheduled. The benefit of participating in the IEEE-ISTO members meeting and other related events is in the information sharing and knowledge that can be gained in interfacing with your alliance counterparts from other industries.

#### Accounting and Financial Management

IEEE-ISTO provides Finance and accounting infrastructure. It supports the accounts receivables and accounts payables functions for the Program. From generating invoices for membership dues and event sponsorships, to paying Program's vendor invoices and other related fees, the IEEE-ISTO Accounting staff will handle it completely. This support includes:

- ♦ Daily AR and AP processing, as required, with a cap of 60 vendor invoices per year.
- ♦ Monthly reconciliation of accounts.
- ♦ Issuance of monthly Program Financial reports that include the following statements and schedules:
  - Statement of Financial Position
  - Statement of Activities
  - Statement of Cash Flow
  - Accounts Receivable Aging Report
  - Accounts Payable Aging Report
- ♦ The Program will be included as part of IEEE-ISTO's annual audit and annual income tax return filing fulfilling IRS obligations.

#### Program Management

The Program Manager serves as IEEE-ISTO's primary conduit between IEEE-ISTO and the new alliance. The person assigned to the role is accountable for ensuring that all components of the contracted scope of work, as well as any other work items negotiated between IEEE-ISTO and the organization, are delivered according to expectation. The

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Program Manager directs all resources allocated by the IEEE-ISTO to carry out the defined scope of work. In addition, this role will review and execute legal documents on behalf of the organization (e.g., vendor contracts, trademark license agreements, and membership agreements).

All financial reporting will be reviewed by the Program Manager in advance of distribution to program stakeholders (e.g., Chair, Treasurer) as a means of regularly monitoring the fiscal health of the organization.

Overall, the Program Manager will monitor the organization activities globally to the extent that he/she will be proactive in suggesting strategies and/or augmentations to the agreed-upon support to assist the organization in successfully carrying out its mission and purpose and keeping the organization robust and active.

The Program Manager will participate in regular sync calls with key organization stakeholders so as to collect status on work items; provide guidance, strategy or insight into Program operation matters, as requested; and ascertain the organization feedback on progress and deliverables.

#### Membership and Contract Management

This function consists primarily of membership administration and contract administration for most IEEE-ISTO Programs, although support can be extended to accommodate meeting planning services and other functions as described later in this proposal.

Membership administration includes processing of the organization's new membership applications, as well as processing annual renewal notices to existing members. Membership administration begins with responding to prospective membership inquiries on behalf of the organization, continues with processing membership agreements and culminates with the sending out of invoices and welcome letters from the Chair, if desired. Program Administration staff follows up on all past due member invoices adhering to the organization's specific payment terms. Every year, the IEEE-ISTO will process the annual renewal cycle for the organization, verifying all billing contacts, sending out renewal invoices with regular follow-ups. Weekly membership scorecards are provided from the IEEE-ISTO to the organization leadership, delineating all members

invoiced vs. paid vs. outstanding, so that the organization has a weekly snapshot of membership payment status.

Contract administration is also supported, and IEEE-ISTO will review and coordinate the final execution of all vendor contracts. Contracts are filed electronically and stored, and all incoming invoices are first approved by the organization stakeholder prior to payment. IEEE-ISTO reviews all invoices to ensure they comply with contract stipulations.

#### Secretariat Service

- ♦ IEEE-ISTO will serve as Board Secretariat for Program's governance body (e.g., Board of Directors, Steering Committees, etc.) as requested
- ♦ Attend and support Board meetings/calls
- ♦ Attend and support face-to-face board meetings, as required
- ♦ Work with Board chair to define and publish agendas and support documents for all meetings
- ♦ Draft/electronically store meeting minutes summarizing the decisions taken and actions assigned during meetings
- ♦ Track completion of action items taken during Board meetings
- ♦ Execute assigned actions
- ♦ Manage Board votes and polls and elections
- ♦ Coordinate formal communications between Board and members and external entities

#### **Optional Variable or Project-basis Support**

The support below is offered as "per project support" that is billed at a variable expense, as Programs may be unsure of the degree of support required. However, for programs with a definite need for this ongoing support, IEEE-ISTO can provide the following as ongoing core support as well.

#### Committee/Working Group Support

- ♦ Support working group/committee calls
- ♦ Work with chair to define and publish meeting schedules, agendas, and support documents for meetings
- ♦ Attend meetings and summarize, through meeting minutes, the decisions taken and actions assigned during the meeting
- ♦ Track completion of action items taken during meetings
- ♦ Maintain committee/working group page on Program website
- ♦ Manage polls/eVotes for committees/working groups

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- ♦ Provide project management support to committee chairs and key stakeholders to track progress against established goals

### IT Support

IEEE-ISTO offers a suite of secure membership collaboration tools designed to foster easy and secure IP work product development in addition to providing various membership management options. This is not a requirement for a new alliance, but tools with maintenance and support are available from IEEE-ISTO via relationships with third parties.

### Meeting/Event Coordination and Planning

Typical meeting coordination activities for member-hosted venues include:

- ♦ A/V coordination
- ♦ Food and beverage coordination
- ♦ Development of collateral to communicate details of meetings for members, specifically:
  - Details on time and place
  - Maps and directions
  - Information on site security
- ♦ Badge production and stuffing (basic badges with Program logo)
- ♦ Shipping of relevant materials to the site
- ♦ Email reminders to all members to register for the meeting
- ♦ Collect and maintain a list of registrants

### Marketing and Communications Support

Typical marketing and communications support includes:

- ♦ Typically during formation, IEEE-ISTO will manage the conceptual design, framework build, and content population of the Alliance website if one does not already exist. In addition, IEEE-ISTO will develop the Alliance logo.
- ♦ Work with Program stakeholders to develop a sound, targeted marketing and communications strategy, including strategies for membership acquisition.
- ♦ Execute strategy to meet the organization's goals and objectives. Strategy can include, but is not limited to, marketing communications, trade shows/events, webinars, strategic alliances with reciprocal marketing support, promotion partners, etc.
- ♦ Support Promotion partner programs, user groups, etc.
- ♦ Script and host Program webinars/events

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- ♦ Author and distribute press announcements, newsletters, etc., and track coverage and mentions
- ♦ Manage and support events and trade shows, including booth design, signage, giveaways, etc.
- ♦ Create brochures, information sheets, logo guidelines, and other collateral
- ♦ Develop/launch targeted e-mail campaigns
- ♦ Provide support to Program Marketing Committee, if applicable
- ♦ Provide media and press briefings
- ♦ Provide contributed articles to industry trade publications

## IV Proposed Cost Summary

IEEE-ISTO Core Support	One-time Formation Fees	Ongoing Support Fees / Month	
		Phase I Up to 50 members	Phase II 51-100 members
New Program Setup Fee (accounting setup, infrastructure setup, governing documents)	\$3,500		
Infrastructure and Insurance, Accounting and finance management, Membership and contract management, Program management		\$4,000	\$4,500
<b>TOTAL:</b>	<b>\$3,500</b>	<b>\$4,000</b>	<b>\$4,500</b>

Optional Support		Fees / Month
IT Support (website content management)		\$110/hour
Secretariat Services to the Board/WG support		\$250/meeting (assumes 4 hours for scheduling, attendance, minutes preparation/circulation)
Executive Director level strategy/guidance		*Negotiated separately
Press Announcement Drafting/Launch		\$1,000 to Draft Announcement \$650 to launch (via MarketWire)
Meeting Coordination		Based on service and meetings
Marketing/Communications (ad hoc projects)		\$110/hour or per project
WebEx lines (unlimited online web meetings up to 25 people)		\$79/WebEx seat; WebEx seat audio usage fees \$0.07/min or \$0.02/min VOIP (universal); intl. rates apply

**NOTES:** IEEE-ISTO reserves the right to increase fees by up to 5% for the next calendar year.

IEEE-ISTO submits this proposal to the Common Criteria user Forum for your consideration and appreciates the opportunity to discuss this further at your convenience.

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