CCM-02-A Form 5-2

Checklist for Impartiality and Independence of Evaluation (Evaluator)

Evaluators and evaluator candidates related to evaluations (hereinafter referred to as the “evaluator, etc.)” shall be able to conduct fair evaluations. The evaluator, etc., shall not be subjected to any pressure by a development department, etc., of an IT Product or System (hereinafter referred to as “IT products, etc.”) to be evaluated or a department preparing a PP or ST to be evaluated, such as commercial, financial, or other pressure that may influence the Evaluation Facility’s technical judgment in the evaluation work. The evaluator, etc., shall also be able to prove the absence of such pressure. In addition, the evaluator, etc., shall not engage in any activity that might damage its credibility with regard to the independence and sincerity of its decisions in evaluation work.

Refer to Section 4.1 of ISO/IEC 17025 for details of the aforementioned points.

This Checklist aims to confirm that the evaluator, etc., is free from any problem regarding the subjects mentioned below, in order to assure the impartiality of the evaluation work as well as the independence and honesty of the judgments to be made by the evaluator, etc. The evaluator, etc., shall personally describe all items for confirmation and the results of confirmation of requirements and submit the form to the person responsible for the evaluation.

* Part of these items for confirmation and requirements are applied if the target of evaluation is a PP. In this case, “Development department of IT products, etc.” includes the department preparing the PP.
* In the case that the development department of IT products, etc., differs from the applicant department, the items below still apply as items for confirmation and requirements. In such a case, “Development department of IT products, etc.” shall be substituted and read as “Development department of IT products, etc. and applicant department.”

The target of evaluation and related organizations for this checklist target are as follows (describe the corresponding contents from the “Application for Certification” CCM-02-A Form 1):

|  |  |
| --- | --- |
| TOE/PP Name and version : |  |
|
| Name of Evaluation Facility : |  |
|  |
| Name of the applicant : |  |
|  |
| Name of developer : |  |
|  |

The target evaluator, etc., for this checklist is indicated below.

|  |  |  |
| --- | --- | --- |
| Name of evaluator : |  　　　　　　  | Created on |
| / /  |
| Name of responsible manager of Evaluation Facility : |  　　 (*Signature*) | Approved on |
| / /  |

1. Relationship between evaluator, etc. and development department of IT Products, etc.

Mark the corresponding confirmation result.

|  |  |
| --- | --- |
|  Items for confirmation or requirements | Confirmation results |
|  [Items for confirmation]Corporation to which the evaluator, etc., belongs not be the same as the corporation to which the development department of IT Products, etc., belongs.\*1 |  ( ) Different corporation |

\*1 In principle, the evaluator, etc., cannot evaluate a product developed by the corporation to which the evaluator, etc., belongs. In such a case, the evaluator, etc., shall consult the Certification Body prior to the application along with objective documentation that proves the impartiality and independence of the evaluation.

2. Relationship and impact between evaluator, etc., and development department of IT Products, etc.

Mark the corresponding confirmation result and describe the details of the confirmation result in “Requirements related to facts” for the corresponding item for confirmation. Regarding evidence of impartiality and independence, the existence of policies and procedures to satisfy this requirement and the provision of evidence of their execution is assumed pursuant to ISO/IEC 17025.

|  |  |
| --- | --- |
|  Items for confirmation or requirements |  Confirmation results |
| [Items for confirmation]The evaluator, etc., is not involved in the development of the TOE.\*2 | ( ) Evaluator, etc., is not involved.  |
| [Items for confirmation]The evaluator, etc., shall have absolutely no financial relationships, both present and past, with the corporation to which the development department of the IT products, etc., belongs. (Example: A former employee, having a contract for another task, etc.)  |  ( ) Evaluator, etc., has no relationship. ( ) Evaluator, etc., has a relationship. (Describe below.) |
| [Requirements related to facts] (If the aforementioned relationship exists)The evaluator, etc., shall prove the impartiality and independence of the evaluation work regarding any kind of personal and commercial aspects. |   |

\*2 In principle, the evaluator, etc., cannot evaluate a product for which the evaluator, etc., was involved in development. In such a case, the evaluator, etc., shall consult the Certification Body prior to the application along with objective documentation that proves the impartiality and independence of the evaluation.

3. Relationship and impact between evaluator, etc., and assistance activity for development department of IT Products, etc.

Mark the corresponding confirmation results and describe the details of the confirmation results in “Requirements related to facts.” Regarding evidence of impartiality and independence, the existence of policies and procedures to satisfy this requirement and the provision of evidence of their execution is assumed pursuant to ISO/IEC 17025.

|  |  |
| --- | --- |
| Items for confirmation or requirements |  Confirmation results |
| [Items for confirmation]The evaluator, etc., is not providing assistance to the creation of the ST related to the PP or TOE, or evaluation deliverables.\*3 |  ( ) Evaluator, etc., is not providing assistance. |
| [Items for confirmation]The evaluator, etc., does not have any relationship, both present and past, with a department that provides assistance in the preparation of the ST related to the PP or TOE and evaluation deliverables or the corporation to which the department belongs. |  ( ) Evaluator, etc., has no relationship. ( ) Evaluator, etc., has a relationship. (Describe below.) |
| [Requirements related to facts] (If the aforementioned relationship exists) The evaluator, etc., shall prove the impartiality and independence of the evaluation work regarding any kind of personal and commercial aspects. |   |

\*3 In principle, the evaluator, etc., cannot evaluate a product for which the evaluator, etc., was involved in providing assistance for preparing evidence for the evaluation. In such a case, the evaluator, etc., shall consult the Certification Body prior to the application along with objective documentation that proves the impartiality and independence of the evaluation.