

Organization and Operational Manual for Certification Body and Label-issuing Body under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (tentative)

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Organization and Operational Manual for Certification Body and Label-issuing Body under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements

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Chapter 1. General Provisions

1.1 Purpose

This Operational Manual prescribes policies and procedures for operation of organization, certification, and conformance label-issuing services (hereinafter referred to as “**operation of services**”) necessary for conducting services as the **Certification Body** and **Label-issuing Body** in accordance with the “**Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JC-STAR) Scheme Document (JSS-01)**” (hereinafter referred to as the “**Scheme Document (JSS-01)**”), in which Information-technology Promotion Agency, Japan (IPA) (hereinafter referred to as “**IPA**”) prescribes the Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JC-STAR) (hereinafter referred to as “**this Scheme**”).

1.2 Policies

The Chief Executive Officer pledges the quality policies and quality objectives specified separately to ensure that the **Certification Body** and the **Label-issuing Body** operate the services in accordance with JIS Q 17065 *Conformance assessment - Requirements for bodies certifying products, processes and services* (hereinafter referred to as “**JIS Q 17065**”).

1.3 Definition of Terms

Terms used in this Operational Manual correspond to those used in the **Scheme Document (JSS-01)** and **JIS Q 17065**.

Chapter 2. Certification Body and Label-issuing Body

2.1 Organization

2.1.1 Legal Status

The **Certification Body** and the **Label-issuing Body** are the organizations established within **IPA** in accordance with the Act on General Rules for the Incorporated Administrative Agency (Act No. 103 of 1999) and the Act on Facilitation of Information Processing.

2.1.2 Structure of Organization

The **Certification Body** and the **Label-issuing Body** consist of the Commissioner, Vice Commissioner or Counsellor, Director General of IT Security Center, IT Security Center personnel, and Committees and their members prescribed in Section 2.1.4.

Figure 1 shows the structure of the organization. The following are the responsibilities and authorities of personnel who constitute the organization of the **Certification Body** and the **Label-issuing Body**, and details are prescribed in the Appendix.

More details required for those who constitute the organization of the **Certification Body** and the **Label-issuing Body** are prescribed in the “*Operating Procedure for Personnel Management of Certification Body and Label-issuing Body under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-01-C)*” (hereinafter referred to as the “*Procedure for Personnel Management (JSM-01-C)*”), which is separately prescribed by the Managing Director.

(i) Chief Executive Officer: Commissioner of **IPA**

The Chief Executive Officer represents the **Certification Body** and the **Label-issuing Body** and is responsible for ensuring management resources related to the operation of services. The Chief Executive Officer shall define and document quality policies and quality objectives and ensure that the **Certification Body** and the **Label-issuing Body** certainly understand, perform and maintain those policies.

(ii) Managing Director: A person out of Vice Commissioner or Counsellors of **IPA** who is appointed by the Chief Executive Officer.

The Managing Director is responsible for managing the execution of services related to the operation of certification services.

(iii) Management System Manager: Director General of IT Security Center of **IPA**

The Management System Manager is responsible for maintaining the quality of services related to the operation of certification and label-issuing services.

(iv) Technical Manager: The person who manages technical services related to the operation of certification and label-issuing services of **IPA**

The Technical Manager manages technical services related to the operation of certification and label-issuing services of **IPA** and coordinates various issues related to technical matters.

(v) Conformance Criteria Development Personnel: **IPA** staff members who are in charge of reviewing and developing conformance criteria, etc.

The Conformance Criteria Development Personnel shall manage services related to developing conformance criteria, etc., and shall operate the secretariat of each committee as described below.

- (vi) **Certifier:** A person who is appointed in accordance with certain requirements prescribed in the ***Procedure for Personnel Management (JSM-01-C)***

A Certifier verifies assessment/evaluation results related to **Conformance assessment/evaluation**.

- (vii) **Operational Personnel:** **IPA** staff members who are in charge of the administrative works of the **Certification Body** and the **Label-issuing Body**

The Operational Personnel perform services related to the works, including reception of applications, issuance of conformance labels, and the operation of the secretariat of each committee as described below.

2.1.3 Matters that Need to be Complied with by Personnel Engaged in the Operation of Services

- (1) Personnel engaged in the operation of services shall comply with the following matters.

- (i) The personnel shall comply with this Operational Manual and conduct duties impartially and fairly in a sensible manner.
- (ii) The personnel shall not be affected by commercial pressure, financial pressure, other pressures or conflicts of interest.
- (iii) The personnel shall not accept improper benefits from applicants or relevant parties.
- (iv) The personnel shall not disclose information acquired in the course of duties shall be handled in accordance with the Non-Disclosure agreement (hereinafter referred to as the “**Non-Disclosure Agreement**”) prescribed in the “**Guidance on Security Requirements Conformance Assessment, Certification, and Application for Label Acquisition, etc. (JSM-02-A)**” (hereinafter referred to as the “**Guidance on Label Acquisition (JSM-02-A)**”), or the non-disclosure agreement exchanged with the Applicant, etc.

- (2) The **Certification Body** and the **Label-issuing Body** distinguish activities between activities related to the operation of their services and other activities.

In addition, the **Certification Body** and the **Label-issuing Body** ensure that the confidentiality, objectivity and impartiality of **Certification** or **Conformance labels** shall not be affected by activities other than the operation of certification and label-issuing services, and shall comply with the following:

- (i) The Certification Body and the Label-issuing Body shall not supply or design products and services that are similar to the target products and services of **Certification** or **Conformance labels** as well as products and services that may damage the confidentiality,

objectivity, or impartiality of the operation of other services.

- (ii) The Certification Body and the Label-issuing Body shall not conduct services for a specific applicant, such as advice and instructions, regarding approaches to matters that would become an impediment for the applicant to obtain **Certification** or **Conformance labels**.

2.1.4 Management Committee and Technical Committee

- (1) The Management Committee and Technical Committee are established in the **Certification Body** and the **Label-issuing Body** as the common advisory boards for the operation of certification services. The roles of each committee are as follows.

- (i) The Management Committee discusses matters related to policies of the operation of certification and label-issuing services and matters related to maintaining the management system, and provides advice to the Managing Director. In addition, the Management Committee provides advice related to the impartiality of certification and label-issuing services to the Chief Executive Officer. If the Chief Executive Officer does not follow the advice, the Management Committee is entitled to require the reasons in writing and take independent action, such as notifying related organizations.
- (ii) The Technical Committee formulates security requirements of this Scheme, conformance criteria, assessment/evaluation procedures and assessment/evaluation guidance, and their supporting documents (hereinafter referred to as the “**conformance criteria, etc.**”), discusses technical matters in this Scheme, and provides advice to the Managing Director.

- (2) The operation of each committee shall be conducted in accordance with the “**Operating Procedure for Committee Management under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-01-D)**.”

- (3) Each committee consists of a maximum of 15 committee members, who are appointed from among private experts, academic experts, and government officials, in consideration of the matters to be discussed at the committees and a balance of interests.

- (4) One committee chairperson is appointed for each committee, and a committee chairperson manages each committee. In addition, a committee meeting is held when a committee chairperson decides that a meeting is necessary. A committee chairperson calls a meeting of a committee, and a meeting comes into effect when more than half of the committee members are in attendance. Note that some or all of the Committee meetings may be held online or deliberated by e-mail, as needed.

- (5) In each committee, the chairperson may establish a temporary working group (hereinafter referred to as a “WG”) under the Committee in any of the following cases;
 - when it is recognized that there is a need for detailed discussions on important issues related to the agenda.
 - when it is recognized that there is a need for detailed discussion on urgent issues related to the agenda.
 - when it is recognized that there is a need for detailed discussion on issues that require detailed examination and consideration of the agenda.
 - when it is recognized that there is a need to review conformance criteria, etc., specific to the target of the product category.
- (6) In establishing a WG, a chief shall be appointed by the chairperson of the committee concerned. For the operation of the WG, the Scheme Documentation shall apply correspondingly, and the term “Committee” shall be read as “WG” and “Chairperson” shall be read as “chief.” However, the composition of the WG members shall be appointed from among industry organizations and vendors, private-sector experts, academic experts, and government officials in the target product fields to be examined, taking into consideration the content of deliberations and the balance of interests, notwithstanding (3) above.
- (7) A committee secretariat shall be established within the Evaluation Scheme and Management Group of IT Security Technology Evaluation Department in the IT Security Center.
- (8) In the absence of the Chairperson in (4) above, the former Chairperson or the Secretariat may convene a meeting of the Committee on his/her behalf. In such a case, the chairperson shall be appointed at the immediately following Committee meeting.
- (9) Commissioning of committee members is carried out as follows.
 - (i) The Commissioner of **IPA** commissions committee members.
 - (ii) The term of service of a committee member shall not exceed 2 years. However, if a member is commissioned in the middle of a fiscal year, the term of service is calculated by considering that the current fiscal year is one year. Note that the reappointment of a committee member shall not be prevented.

2.2 Operation

2.2.1 Operation Policy

- (1) The **Certification Body** and the **Label-issuing Body** shall not conduct unfair discriminatory treatment in its operations. Therefore, the following matters shall be complied with.
 - a) The Certification Body and the Label-issuing Body shall not impose unwarranted financial obligations or other conditions on applicants.
 - b) The scale of organization of applicants or having membership in a specific organization shall never affect application conditions.
 - c) The Certification Body and the Label-issuing Body shall not conduct discriminatory treatment in certification and label-issuing services due to the quantity of **conformance labels** possessed by applicants.
 - d) The Certification Body and the Label-issuing Body shall not conduct discriminatory responses with regard to inquiries from applicants and receipt of applications, etc.
 - e) However, in cases where special notification or instructions have been issued by government agencies regarding the application, issuance, and operation of **conformance labels**, the content of such notification or instructions shall take precedence over a) through d) above.
- (2) The **Certification Body** and the **Label-issuing Body** shall make efforts for prompt handling of services within a reasonable period of time in accordance with the “**Operating Procedure for Label-issuing Services under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-01-A)**” (hereinafter referred to as the “**Procedure for Label-issuing Services (JSM-01-A)**”).
- (3) The Managing Director shall not allow any personnel to engage in the operation of certification and label-issuing services unless they sign the **Statement of Ethics** that provides for confidentiality and elimination of conflict of interest. The form of the **Statement of Ethics** is prescribed in the “**Procedure for Personnel Management (JDM-01-C)**.”

2.2.2 Resources for Operations

As a general rule, **this Scheme** is operated by commission income from label-issuing services and a subsidy for operating expenses offered by the Ministry of Economy, Trade and Industry (METI.)

2.3 Internal Audit

2.3.1 Conduct of Internal Audit

The Internal Audit is conducted in accordance with the related Guidelines by IPA. The Managing

Director receives the report of an internal audit result and notifies the Management System Manager of the result. Matters necessary for conducting internal audits are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A)**.”

2.3.2 Conduct of Management Review, etc.

The Managing Director verifies conformance with the management system, conducts management review, and manages control of non-conformance to ensure the reliability of the operation of label-issuing services. In addition, the Managing Director identifies potential causes of non-conformance and conducts improvement by taking corrective actions or preventive actions. More details required for conducting a management review, etc., are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A)**.”

Chapter 3. Personnel of the Certification Body and the Label-issuing Body

3.1. Personnel of the Certification Body and the Label-issuing Body

Personnel of the **Certification Body** and the **Label-issuing Body** make decisions regarding **the operation of services** based on necessary specialized knowledge, impartiality and neutrality and try to carry out high quality services.

3.2 Education and Training, etc.

The **Certification Body** and the **Label-issuing Body** provide education and training to personnel of the **Certification Body** and the **Label-issuing Body** as needed.

Chapter 4. Certification and Conformance Label-issuing Services

4.1. Conformance Label-issuing services by self-declaration of conformance

4.1.1 Receipt of Application for Conformance Labels

The **Label-issuing Body** receives applications for issuance of **conformance labels** from applicants in accordance with the “**Requirements for Security Requirement Conformance Assessment, Certification and Label Acquisition (JSM-02)**” (hereinafter referred to as the “**Requirements for Label Acquisition (JSM-02)**”). More details required for applications for receiving applications for **conformance labels** are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A)**.”

4.1.2 Issuance of Conformance Labels

The **Label-issuing Body** receives applications from applicants in accordance with the

Requirements for Certification. More details required for receiving applications for **Maintenance** are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A)**.”

4.2 Certification Services and Conformance Label-issuing Services through Conformance Assessment/Evaluation and Certification

4.2.1 Application for Issuance of Conformance Labels

The **Certification Body** shall perform the necessary verification procedures on the application documents, etc., submitted by the applicant in accordance with the “**Requirements for Label Acquisition (JSM-02)**,” and when it is determined that the application is acceptable, it shall accept the application for issuance of a **conformance label** from the applicant and issue the application acceptance form to the applicant. If the application is determined to be unacceptable, the application shall be rejected. More details required for the acceptance of applications for the issuance of **conformance labels** shall be prescribed in accordance with the “**Procedure for Label-issuing Services (JSM-01-A)**.”

4.2.2 Certification and Issuance of Conformance Labels

The **Certification Body** shall conduct **certification** based on the **Conformance Assessment /Evaluation Report** submitted by the **Evaluation Facility** after confirming the letter of application acceptance. As a result of the **certification**, the **Certification Body** shall issue and grant a **conformance label** to the applicant when the results of **conformance assessment/evaluation** indicate that the **conformance assessment/evaluation** of the **IoT product** was conducted in accordance with the “**Procedure for Label-issuing Services (JSM-01-A)**” and “**Guidance on Label Acquisition (JSM-02-A)**,” and that the **IoT product** has been verified as conforming to the necessary security requirements based on the applicable the **conformance criteria, etc.**, corresponding to the **conformance assessment/evaluation level** selected by the applicant. When the verification of conformance is not accepted, the applicant is notified that the certification cannot be accepted. More details required for the **certification** and issuance of **conformance labels** shall be prescribed in accordance with the “**Procedure for Label-issuing Services (JSM-01-A)**.”

4.3 Validity Period of Conformance Labels

4.3.1 Validity Period of Conformance Labels

The **Certification Body** and the **Label-issuing Body** shall set the validity period of the initial issuance of **conformance labels** to 2 years from the date of the issuance of the **conformance labels**. However, a shorter validity period than 2 years may be set at the request of the applicant.

4.3.2 Application for Extending Validity Period of Conformance Labels by Self-declaration of Conformance

The **Label-issuing Body** shall accept applications for extension of the validity period of **conformance labels** submitted by applicants (hereinafter referred to as "**registrants**") for an **IoT products** that have been granted **conformance labels** in accordance with the "**Requirements for Label Acquisition (JSM-02)**." There is no limit to the number of times an application for extension of the validity period of **conformance labels** can be submitted. More details required for the acceptance of applications for extension of the validity period of **conformance labels** shall be in accordance with the "**Procedure for Label-issuing Services (JSM-01-A)**."

4.3.3 Extension of Validity Period of Conformance Labels by Self-declaration of Conformance

The **Label-issuing Body** shall conduct the necessary confirmation procedures for the self-declaration and application documents submitted by the registrant to the effect that the conditions specified in the "**Requirements for Label Acquisition (JSM-02)**" are not violated, and shall extend the validity period of the **conformance label** for 2 years if it is determined that the extension is acceptable. If it is determined that the extension is not acceptable, the application will be rejected. However, a shorter validity period than 2 years may be set upon request from the registrant. More details required for the extension of the validity period of **conformance labels** shall be prescribed in accordance with the "**Procedure for Label-issuing Services (JSM-01-A)**."

4.3.4 Extension of Validity Period of Conformance Labels by Self-declaration of Conformance

The **Certification Body** shall accept applications for extension of the validity period of the **conformance labels** submitted by the registrant in accordance with the "**Requirements for Label Acquisition (JSM-02)**." The maximum number of applications for extension of the validity period of **conformance labels** is 3 times. More details required for the acceptance of applications for extension of the validity period of **conformance labels** shall be prescribed in accordance with the "**Procedure for Label-issuing Services (JSM-01-A)**."

4.3.5 Extension of Validity Period of Conformance Labels by Conformance Assessment/Evaluation and Certification

The **Certification Body** shall conduct the necessary confirmation procedures for the self-declaration and application documents submitted by the registrant to the effect that the conditions specified in the "**Requirements for Label Acquisition (JSM-02)**" are not violated, and shall extend the validity period of the **conformance labels** for 1 year if it is determined that the extension is acceptable. In addition, upon request from the registrant, the period of validity may be extended for a period of 1 year. However, a shorter validity period than 1 year may be set upon request from the registrant. The

application will be rejected if it is determined that the extension is not possible. More details required for the extension of the validity period of **conformance labels** shall be prescribed in accordance with the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.3.6 Re-certification of Validity Period of Conformance Labels by Conformance Assessment/Evaluation and Certification

When maintaining the validity period of the **conformance labels** by **conformance assessment/evaluation and certification** that exceed a total of 5 years from the date of initial issuance of **conformance labels**, a **re-certification** shall be conducted within the validity period in accordance with the procedures prescribed in Section 4.2. In this case, the **conformance assessment/ evaluation level** described on the **conformance labels** cannot be changed, but the certification number shall be retained. More details required for **re-certification** shall be prescribed in accordance with the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.4 Maintenance of Conformance Labels

4.4.1 Application for Maintenance of Conformance Labels by Self-declaration of Conformance

The **Label-issuing Body** shall accept applications for maintenance of **conformance labels** submitted by registrants in accordance with the “***Requirements for Label Acquisition (JSM-02)***.” More details required for acceptance of application for maintenance of **Conformance Labels** shall be prescribed in accordance with the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.4.2 Maintenance of Conformance Labels by Self-declaration of Conformance

The **Label-issuing Body** shall conduct the necessary confirmation procedures for the self-declaration and application documents submitted by the registrant to the effect that the conditions specified in the “***Requirements for Label Acquisition (JSM-02)***” are not violated, and shall maintain the **conformance labels** if it is determined that the labels can be maintained. If the labels are determined to be unsustainable, the **conformance labels** are revoked. More details required for the procedure for the maintenance of the **conformance labels** are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.4.3 Application for Maintenance of Conformance Labels by Conformance Assessment/Evaluation and Certification

The **Certification Body** shall conduct the necessary confirmation procedures for the application documents, etc., submitted by the registrant in accordance with the “***Requirements for Label***

Acquisition (JSM-02),” and when it is determined that the application is acceptable, it shall accept the application for maintenance of the **conformance labels** from the registrant and issue the application acceptance form for maintenance to the registrant. When the application is determined to be unacceptable, the application is rejected. More details required for the procedure for application for maintenance of the **conformance labels** are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A).**”

4.4.4 Maintenance of Conformance Labels by Conformance Assessment/Evaluation and Certification

After confirming the application acceptance form for maintenance, the **Certification Body** shall inspect the **Impact Analysis Report** submitted by the registrant and the **Impact Analysis Report** submitted by the **Evaluation Facility** if there are changes in the development environment. Upon inspection, the **conformance labels** can be maintained if it is verified that the changes to the **IoT products** do not violate the conditions defined in the “**Requirements for Label Acquisition (JSM-02),**” and that the security requirements corresponding to the initial **conformance assessment/evaluation level** have no adverse effects. If no adverse effects are confirmed, the **conformance labels** shall be revoked. More details required for the procedure for the maintenance of **conformance labels** are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A).**”

4.5 Change of Conformance Assessment/Evaluation Labels Described on Conformance Labels

The **Certification Body** and the **Label-issuing Body** shall allow registrants to apply to change the **conformance assessment/evaluation level** described on the **conformance labels** for **IoT products**, for which **conformance labels** have been granted, provided that there is no change at all in the product information. More details required for the procedure for changing the **conformance assessment/evaluation level** are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A).**”

4.6 Revocation and Withdrawal of Conformance Labels

4.6.1 Revocation upon expiration of validity period of Conformance Labels

The **Certification Body** and the **Label-issuing Body** shall inform the registrants of the **IoT products, etc.**, whose validity periods of **conformance labels** have expired, that the validity periods of **conformance labels** have expired. More details required for the procedure for informing suppliers are prescribed in the “**Procedure for Label-issuing Services (JSM-01-A).**”

4.6.2 Revocation Accompanying Self-Withdrawal of Conformance Labels

The **Certification Body** and the **Label-issuing Body** shall make a public notice that **conformance labels** have expired based on a voluntary withdrawal application for **conformance labels** from the registrant. More details required for receiving applications for revocation and public notice are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.6.3 Surveillance

In order to ensure the reliability of **this Scheme**, the **Certification Body** and the **Label-issuing Body** shall conduct surveillance with respect to a registrant as needed, against an **IoT product** to which a **conformance label** has been granted, regarding the content of the application by the applicant or registrant, the content of the **self-declaration of conformance** or **conformance assessment/ evaluation and certification**, or matters related to security or impact due to vulnerabilities. More details required for the procedure for surveillance, etc., are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.6.4 Revocation of Conformance Labels

Based on the results of the surveillance, the **Certification Body** and the **Label-issuing Body** shall take appropriate measures against the registrant within the specified period of time if it is determined that the case falls under the grounds for revocation of the **conformance labels**, such as when a violation or falsehood is found in relation to the contents of the application by the applicant and the registrant, the contents of the **self-declaration of conformance**, the contents of the self-declaration that the conditions specified in the “***Requirements for Label Acquisition (JSM-02)***” are not violated, or when any action is found to be taken that seriously undermines the reliability of the **conformance assessment/evaluation and certification**, or when the registrant has not taken appropriate measures to address the vulnerability within an appropriate period of time after the detection of a serious vulnerability; or when the registrant is found to have committed an act that seriously damages the reliability of the **conformance labels**. The registrant shall be required to take corrective actions within a specified period of time. If the registrant does not take corrective action within the specified period, the **Certification Body** and the **Label-issuing Body** may revoke the **conformance label**. More details required for the procedure for surveillance, etc., are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.7 Change of Product Information

4.7.1 Application for Changing Product Information

The **Certification Body** and the **Label-issuing Body** shall conduct confirmation procedure accept applications for change of description from the registrant. More details required for the procedure for

changing product information are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.7.2 Receipt of Changing Product Information

The **Certification Body** and the **Label-issuing Body** perform conduct the necessary confirmation procedures for the application documents, etc., submitted by the registrant, and when it is determined that the change is acceptable, they shall accept the application for changing product information. When the change is determined to be unacceptable, the application is rejected. More details required for whether the changing product information is acceptable or not, or for the changes of product information are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.8 Handling of Security Information

4.8.1 Public Notice of Security Information from Registrants

The **Certification Body** and the **Label-issuing Body** shall make a public notice of security information based on the request for a public notice of security information from the registrant. More details required for the procedure for changing product information are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.8.2 Receipt of Vulnerability Information Notification

The **Certification Body** and the **Label-issuing Body** shall accept vulnerability information from the registrant. More details required for the notification of vulnerability information are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.8.3 Response to Vulnerability Information

The **Certification Body** and the **Label-issuing Body** can take necessary actions such as surveillance on the reported vulnerability information and independently obtained vulnerability information based on the importance of the information. More details required for the procedure for response to vulnerability information are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

4.9 Succession of Conformance Labels

The **Certification Body** and the **Label-issuing Body** shall conduct the necessary confirmation procedures regarding the succession or non-succession of the legal entity that has succeeded to the status of the registrant in accordance with the succession procedures prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***,” and shall confirm whether the succession has taken place or not. If it is determined that the succession is acceptable, the succession shall be approved.

When it is determined that the succession is not possible, the succession is not approved, and the **conformance label** is revoked. More details required for the procedure for succession of **conformance labels** are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***,”

4.10 Response to Inquiries on Conformance criteria, etc.

When the **Certification Body** and the **Label-issuing Body** receive inquiries concerning the interpretation of **conformance criteria, etc.**, it shall take appropriate actions based on the contents of the inquiry. More details required for the procedure for response to inquiries on conformance criteria, etc., are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

Chapter 5. Change of Conformance Criteria

It should be noted that the **Certification Body** and the **Label-issuing Body** shall give the applicants a sufficient period of time and an appropriate notice to make any changes to the conformance criteria of **this Scheme**. More details required for the procedure for changing the conformance criteria are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

The change of conformance criteria shall not apply to **IoT products** for which **conformance labels** have already been issued during the validity period of the relevant **conformance labels**. However, the application for extension of the validity period is not allowed.

Chapter 6. Common Operations of Services

6.1 Approval of Evaluation Facility and Discontinuance of Approval of Evaluation Facility

6.1.1 Approval of Evaluation Facility

The **Certification Body** is entitled to approve an **Evaluation Facility** of **this Scheme** in accordance with the “***Requirements for Approval of Evaluation Facility under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-03)***.” The procedure for approving an **Evaluation Facility** is prescribed in the “***Operating Procedure for Approval of Evaluation Facility (JSM-01-B)*** (hereinafter referred to as the “***Procedure for Approval of Evaluation Facility (JSM-01-B)***”).

6.1.2 Discontinuance of Approval of Evaluation Facility

The **Certification Body** is entitled to receive the Notification of Discontinuance of Approval of Evaluation Facility submitted by an **Evaluation Facility** and revoke the **Evaluation Facility**. The procedure for discontinuance of approval of an Evaluation Facility is prescribed in the “***Procedure***

for Approval of Evaluation Facility (JSM-01-B).”**6.2 Publication of Guidance Documents**

The **Certification Body** and the **Label-issuing Body** publish guidance documents regarding the operation of **this Scheme**, etc., or the operation and interpretation of the **conformance criteria**, **etc.**, via the website of **IPA**. In addition, the **Certification Body** and the **Label-issuing Body** publish the following procedures and guidance related to applications.

<Documents related to the operation of certification services>	
Operating Procedure for Label-issuing Services under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-01-A)	“Procedure for Label-issuing Services”
Operating Procedure for Approval of Evaluation Facility (JSM-01-B)	“Procedure for Approval of Evaluation Facility”
Operating Procedure for Personnel Management of Certification Body and Label-issuing Body under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-01-C)	“Procedure for Personnel Management”
Operating Procedure for Committee Management under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-01-D)	“Procedure for Committee Management”

<Documents related to applications for certification>	
Guidance on Security Requirements Conformance Assessment/ Evaluation, Certification, and Application for Label Acquisition (JSM-02-A)	“Guidance on Label Acquisition”

<Documents related to applications for certification of Evaluation Facility>	
Guidance on Approval of Evaluation Facility under Labeling Scheme based on Japan Cyber-Security Technical Assessment Requirements (JSM-03-A)	“Guidance on Approval of Evaluation Facility”

Note 1: Terms in double quotation indicate abbreviations.

Note 2: Symbols consisting of three letters in the above parenthesis are derived from the following:

JSM... Jc-Star Management system

6.3 Provision of Information and Management of Documents

The provision of information for users of **this Scheme** and the handling of documents are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

6.4 Records

The **Certification Body** and the **Label-issuing Body** appropriately maintains records prescribed in each Scheme Documentation in order to ensure the reliability of **this Scheme** and demonstrates that certification services appropriately and effectively function. More details required for the recording methods are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”

6.5 Confidentiality

- (1) The **Certification Body** and the **Label-issuing Body** shall require the applicant for consent to conclude a **Non-Disclosure Agreement** at the time of submitting application. If the applicant does not agree, the application for issuance of labels can be rejected.
- (2) The **Certification Body**, in lieu of (1), can conclude a Non-Disclosure Agreement in writing with the applicant. More details required for the conclusion of the Non-Disclosure Agreement in writing are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”
- (3) If the **Certification Body** and the **Label-issuing Body** receive assessment/evaluation documentation from personnel other than the applicant, the **Certification Body** and the **Label-issuing Body** shall conclude a Non-Disclosure Agreement with the personnel of the assessment/evaluation documentation. More details required for the conclusion of the Non-Disclosure Agreement are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”
- (4) When conducting surveillance, the **Certification Body** and the **Label-issuing Body** can conclude a Non-Disclosure Agreement with an registrant as needed. More details required for the conclusion of the Non-Disclosure Agreement are prescribed in the “***Procedure for Label-issuing Services (JSM-01-A)***.”
- (5) The **Certification Body** shall conclude a Non-Disclosure Agreement with an **Evaluation Facility**. More details required for the conclusion of the Non-Disclosure Agreement are prescribed in the “***Guidance on Approval of Evaluation Facility (JSM-03-A)***.”
- (6) The **Certification Body** and the **Label-issuing Body** shall make efforts to maintain the confidentiality of information that falls under the category of confidential information in accordance with the **confidentiality policy** and Non-Disclosure Agreement.

6.6 Handling of Appeals, Complaints and Disputes

The **Certification Body** and the **Label-issuing Body** shall appropriately handle processes related

to appeals, complaints and disputes to the **Certification Body** from applicants, **Evaluation Facilities** or other parties concerned with **Certification** in order to ensure the reliability of **this Scheme**. The **Certification Body** prescribes more details required for these processes in the *“Procedure for Label-issuing Services (JSM-01-A).”*

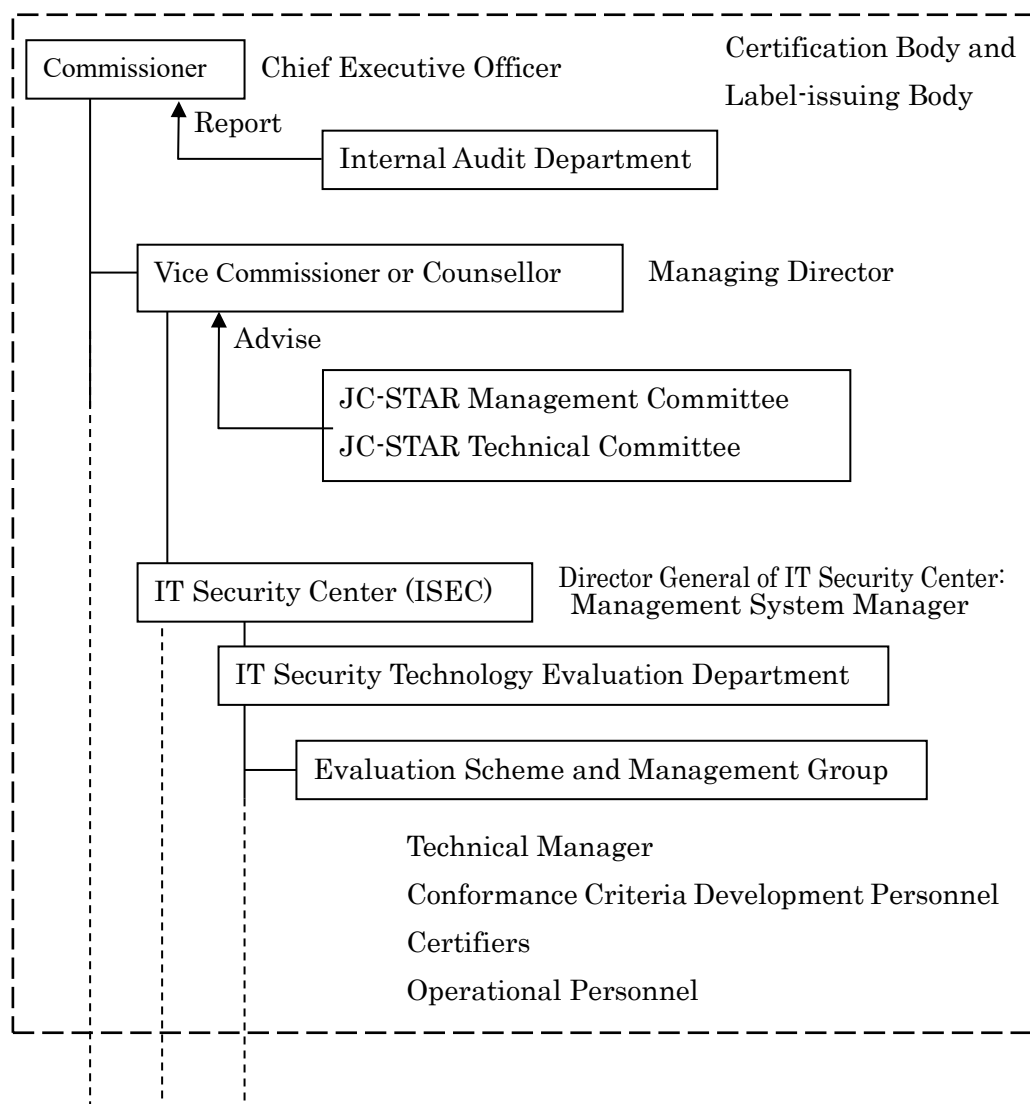
6.7 Court of Jurisdiction

- (1) The Tokyo District Court shall be the court of exclusive jurisdiction in the first instance over any litigation related to this Scheme.
- (2) The **Certification Body** and the **Label-issuing Body** shall ask the applicant for consent to designate the Tokyo District Court as the court of first instance at the time of application. If the applicant does not agree, the application for issuance of labels can be rejected.

Supplementary provisions (August 22, 2024 Jo-So-Ki No. 432 of 2024, Establishment
(Date of enforcement)

- 1 This Operational Manual shall come into effect as of August 23, 2024.

Figure 1 Structure of Organization



Appendix

Responsibilities and authorities of personnel engaged in the operation of certification services and conformance label-issuing services

Role	Responsibilities and authorities
Chief Executive Officer	<p>The Chief Executive Officer is responsible for:</p> <ul style="list-style-type: none"> a) Stipulating and documenting quality policies and quality objectives of this Scheme. b) Making decisions related to the revision or abolition of Scheme documentation related to the Certification Body and Label-issuing Body. c) Ensuring management resources, such as budgets, required for the operation of certification services and label-issuing services. d) Making efforts to assign sufficient certifiers, who have necessary capabilities, have received education and training, and have technical knowledge and experience. e) Making decisions related to the operation of certification services and label-issuing services including the issuance of conformance labels. f) Ensuring appropriate preparations for obligations, such as liability for damages caused by the operation of certification services and label-issuing services. g) Maintaining impartiality and confidence in certification and label-issuing, including openness, in the operation of certification services and label-issuing services. h) Handling other relevant management matters.
Managing Director	<p>The Managing Director is responsible for:</p> <ul style="list-style-type: none"> a) Overseeing the following matters to certainly perform the operation of certification services and conformance label-issuing services of the Certification Body and Label-issuing Body, such as: <ul style="list-style-type: none"> - Clarifying the conformance criteria, etc., to be applied and maintaining/managing the quality of certification and conformance labels. - Clarifying the procedure for certification and label-issuing and managing appropriate implementation. - Managing and conducting fair certification and label-issuing services. - Establishing a structure with responsibilities and authorities required for the operation of the management system.

	<ul style="list-style-type: none"> - Protecting confidential information. - Overseeing financial management of the Certification Body and the Label-issuing Body. - Taking necessary actions for ensuring operations in a consistent and reliable manner. <p>b) Making a final decision on the issuance and revocation of conformance labels.</p> <p>c) Making a final decision on the approval and revocation of approval of Evaluation Facility.</p> <p>d) Securing and registering personnel who have technical knowledge and experience as certifiers.</p> <p>e) Appointing a Technical Manager, certifiers, a Management System Manager, a Deputy Technical Manager, and a Deputy Managing Director.</p> <p>f) Operating Committees.</p> <p>g) Conducting publicity activities in regard to the operation of certification services and label-issuing services via publications and the Internet, etc.</p> <p>h) Reviewing operations.</p>
Management System Manager	<p>The Management System Manager is responsible for:</p> <p>a) Establishing, implementing, and maintaining the management system for certification services and label-issuing services.</p> <p>b) Reporting and making suggestions regarding the status of implementation of the management system for certification services and label-issuing services to the Managing Director and relevant personnel as a rationale for the re-examination and improvement of the operation of services.</p> <p>c) Ensuring the documentation of the management system for certification services and label-issuing services, the maintenance and management of quality documents, and the utilization of the latest version of documents, etc.</p> <p>d) Creating a list of the names, qualifications, experience and work responsibilities of the personnel engaged in the Certification Body and Label-issuing Body, and always updating the list.</p> <p>e) Coordinating for conducting the internal audit.</p> <p>f) Responding and handling complaints.</p> <p>g) Executing and managing corrective actions and preventive actions related to (e) and (f).</p> <p>h) Managing certifiers and personnel, and providing education and training</p>

	<p>to certifiers.</p> <ul style="list-style-type: none"> i) Disseminating the importance of handling confidential information and ethical matters to personnel in charge for duties related to certification services and label-issuing services. j) Appointing a person in charge of documents, a person in charge of education and training, and a person in charge of handling complaints, etc. k) Handling other matters in regard to the quality of the operation of certification services and label-issuing services.
Technical Manager	<p>The Technical Manager is responsible for:</p> <ul style="list-style-type: none"> a) Handling technical matters related to the operation of certification services and label-issuing services. b) Reporting and making suggestions regarding the status of implementation of the management system for certification services, conformance label-issuing, and revocation of conformance labels, to the Management System Manager and relevant personnel as a rationale for the re-examination and improvement of the operation of services. c) Making a final decision on the certification, label-issuing, and revocation of conformance labels from the technical point of view. d) Making a decision on the approval and revocation of approval of Evaluation Facility. e) Making a decision on surveillance. f) Confirming technical documents to be published. g) Handling technical matters related to the conformance criteria, etc. h) Assessing the work of certifiers.
Certifiers	<p>Certifiers are responsible for:</p> <ul style="list-style-type: none"> a) Overseeing the assessment/evaluation activities conducted by Evaluation Facilities. b) Confirming the validity of evaluation results by verifying the “Conformance Assessment/Evaluation Report.” c) Participating in the assessment of the qualification of applicants for granting evaluator qualification.
Conformance Criteria Development Personnel	<p>Conformance Criteria Development Personnel are responsible for:</p> <ul style="list-style-type: none"> a) Developing and creating conformance criteria, etc. b) Creating guidance for operation and interpretation of the conformance criteria, etc. c) Handling inquiries regarding conformance criteria, etc.

	d) Managing a secretariat for committees.
Operational Personnel	<p>Operational Personnel are responsible for:</p> <ul style="list-style-type: none"> a) Handling matters related to the receipt of applications for conformance labels and the issuance of conformance labels. b) Handling matters related to the receipt of applications for approval of Evaluation Facility and the issuance of a “Certificate of Approval of Evaluation Facility.” c) Creating drafts of Conformance Labels. d) Handling matters related to the disclosure of information related to conformance labels and approval of Evaluation Facility. e) Handling matters related to a secretariat for committees.