CCM-02-A Form 5-1

Checklist for Impartiality and Independence of Evaluation (Evaluation Facility)

An Evaluation Facility is required to assure its impartiality at all times. The Evaluation Facility 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 Evaluation Facility shall also be able to prove the absence of such pressure. In addition, the Evaluation Facility 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 Evaluation Facility 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 Evaluation Facility. The Evaluation Facility shall honestly describe all items for confirmation and the results of confirmation of requirements and attach the checklist to the Evaluation Work Plan.

* 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):

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

The responsible person of the Evaluation Facility described in the “Application for Certification” (CCM-02-A Form 1) shall prove the impartiality and independence of the Evaluation Facility to which the responsible person belongs with this Checklist and shall be responsible for its contents.

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

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

Mark the corresponding confirmation result.

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| --- | --- |
| Items for confirmation or requirements | Confirmation results |
| [Items for confirmation]  The corporation to which the Evaluation Facility belongs shall not be the same as the corporation to which the department that develops the IT products, etc., belongs.\*1 | ( ) Different corporation |

\*1 In principle, the Evaluation Facility cannot evaluate a product developed by the corporation to which the Evaluation Facility belongs. In such a case, the Evaluation Facility 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 evaluation activity 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.

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| Items for confirmation or requirements | | Confirmation results |
| [Items for confirmation]  The Evaluation Facility shall have absolutely no responsibilities or obligations for business activities of the development department of IT products, etc., and the corporation to which the development department belongs.\*2 | | ( ) Evaluation Facility does not have any responsibilities or obligations.  ( ) Evaluation Facility has responsibilities or obligations. (Describe below.) |
| [Requirements related to facts]  (If the aforementioned responsibilities or obligations exist)  The Evaluation Facility shall prove its impartiality and independence such that responsibilities or obligations of the Evaluation Facility related to business activities of the development department of IT products, etc., to be evaluated and the corporation to which the development department belongs do not affect the evaluation executed by the Evaluation Facility. | |  |
| [Items for confirmation]  The Evaluation Facility shall have absolutely no financial relationships with the development department of IT products, etc., and the corporation to which the development department belongs. | ( ) Evaluation Facility does not have any financial relationship.  ( ) Evaluation Facility has a financial relationship. (Describe below.) | |
| [Requirements related to facts]  (If the aforementioned financial relationship exists)  The Evaluation Facility shall prove that there are no financial transactions including the budget related to evaluation activity, etc., between the Evaluation Facility and the development department of IT products, etc., to be evaluated and the corporation to which the development department belongs except for fees related to the evaluation. |  | |

\*2 The corporation to which the department or facility belongs indicates all departments and facilities of the corporation.

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

Mark the corresponding confirmation results and describe the details of the confirmation result 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.

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| Items for confirmation or requirements | | Confirmation results |
| [Items for confirmation]  The Evaluation Facility or the corporation to which the Evaluation Facility belongs is not providing assistance to the creation of the ST related to the PP or TOE, or evaluation deliverables. | | ( ) Evaluation Facility is not providing assistance.  ( ) Evaluation Facility is providing assistance. (Describe below.) |
| [Requirements related to facts]  (If the aforementioned assistance, etc., is provided)  The Evaluation Facility shall prove that the personnel and facilities of the department that provides assistance in the preparation of the PP, ST, or evaluation deliverables has no influence on the evaluation work. | |  |
| [Items for confirmation]  The Evaluation Facility does not share a direct administrator who may have a commercial or financial impact or other impacts on the evaluation with the department that provides assistance in the preparation of the ST related to the PP or TOE, or evaluation deliverables. | ( ) Evaluation Facility does not share a direct administrator.  ( ) Evaluation Facility shares a direct administrator. (Describe below.) | |
| [Requirements related to facts]  (If the aforementioned administrator is shared)  In the relationship between the Evaluation Facility and the department providing assistance in preparation, the Evaluation Facility shall prove its impartiality and independence such that the administrator does not have a commercial or financial impact or other impacts on the evaluation. |  | |