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Requirements for IT Security Certification

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Requirements for IT Security Certification

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1. Purpose

The purpose of the “Requirements for IT Security Certification (CCM-02)” (hereinafter referred to as the “Requirements for Certification”) is to prescribe the matters that applicants must comply with when making a certification application under the Japan IT Security Evaluation and Certification Scheme (hereinafter referred to as “this Scheme”) operated by the Information-technology Promotion Agency, Japan as the Certification Body.

Note that details of procedures related to certification applications and other applications are prescribed in the “Guidance on IT Security Certification (CCM-02-A)” (hereinafter referred to as the “the Guidance on Certification (CCM-02-A)”).

2. Terms

Terms used in the Requirements for Certification, in addition to the definitions prescribed below, correspond to those used in the "IT Security Evaluation and Certification Scheme Document (CCS-01)" (hereinafter referred to as “Scheme Document (CCS-01)”) as well as the “IT Security Evaluation Criteria,” the “IT Security Evaluation Methodology,” and their interpretations (hereinafter referred to as “CC/CEM”), which are the standards prescribed in Annex A of the “Scheme Document (CCS-01).”

Developer:

The entity that actually develops the TOE or PP for the evaluation request and certification application.

The developer may be a different entity than the applicant. There may be multiple developers depending on the products.

Kick-off meeting:

A meeting held prior to commencing certification work to ascertain details of the target of evaluation, confirm the schedule, and work out any issues of concern to ensure the smooth conduct of certification operations among the three parties: the applicant, the Evaluation Facility, and the Certification Body. Kick-off meetings may also be held for Assurance Continuity procedures.

Supplier:

The entity that supplies the TOE to procurement entities, users, and others. The supplier may be a different entity than the applicant.

Site visit:

Evaluation work conducted on site by the Evaluation Facility regarding the development, manufacturing, delivery, and other aspects of the TOE.

Re-evaluation:

In the case that concerns about maintaining certification have arisen, re-evaluation refers to the

verification work requested of an applicant under this Scheme with respect to the relevant items.

Subset evaluation:

A subset evaluation is applied during the Assurance Continuity process in the case that a minor change occurred to the TOE includes a change to the development environment. The Evaluation Facility identifies the assurance components impacted by the change to the development environment, evaluates just those assurance components based on the change, and creates a partial Evaluation Technical Report.

Trial evaluation:

Evaluation work conducted by an evaluator candidate to allow the Certification Body to determine whether qualifying the evaluator candidate is suitable.

In the case that the evaluation work is conducted by a team of multiple evaluators and evaluator candidates, trial evaluation refers to only the evaluation work conducted by the evaluator candidates.

Procurement:

The setting of purchase requirements and the purchasing of IT products, etc., with security functions by government bodies, local governments, and other entities for the purpose of using IT products, etc., with security functions.

Procurement entity:

The government body, local government, or other entity that sets purchase requirements and purchases IT products, etc., with security functions for the purpose of using IT products, etc., with security functions. The procurement entity presents the procurement requirements in the form of requirement specifications to the applicant.

Certified Product List:

The list that contains information on certified products published on the website of the Certification Body.

Procurement entities and users use the Certified Product List to examine the procurement of certified IT products, etc.

Archived Certified Products List:

The list on a specified page of the website of the Certification Body that contains information on products whose certification is no longer maintained — due to discontinuation, withdrawal/revocation of certification, or other reasons — and that has been removed from the Certified Product List published on the website.

Evaluation Facility candidate:

An entity that applies to the Certification Body for approval of Evaluation Facility. An Evaluation Facility candidate is approved of Evaluation Facility after fulfilling all requirements, such as having evaluator candidates that belong to the Evaluation Facility candidate undergo a trial evaluation and obtain approval of evaluator qualifications.

Note that even an approved Evaluation Facility becomes an Evaluation Facility candidate in order to extend its scope of assurance components, because the Evaluation Facility approval procedures shall be conducted again.

Evaluation Work Plan:

The document issued by the Evaluation Facility that contains the plan on evaluation work (including such details as the management structure for conducting evaluation work, the evaluation schedule, site visits) agreed to by the Evaluation Facility and the applicant.

Notification of Confirmation of Evaluation Work:

The document confirmed and issued by the Certification Body that permits the commencement of evaluation work based on the “Evaluation Work Plan” created by the Evaluation Facility.

Evaluator:

A person who conducts TOE or PP evaluation work and is qualified by the Certification Body as a person able to conduct IT security evaluation work appropriately in all stages — preparation, conduct, and assessment — related to TOE evaluations.

Evaluator candidate:

A candidate who has submitted an application to become an evaluator but who has yet obtained approval of evaluator qualification.

An evaluator candidate becomes a qualified evaluator after conducting a trial evaluation and being approved by the Certification Body as a qualified evaluator.

Note that even a qualified evaluator becomes an evaluator candidate in order to extend his/her scope of assurance components, because the evaluator qualification approval procedures shall be conducted again.

Checklist for Impartiality and Independence of Evaluation:

The document created prior to commencing evaluation work for the purpose of confirming that the impartiality and independence of the Evaluation Facility and the evaluator is assured with regards to the target of evaluation related to the evaluation work.

3. Evaluation and Certification Standards

The evaluations and certifications conducted under this Scheme are based on CC/CEM.

4. Requirements Prior to Applications for Certification

The Certification Body applies the items described below to applicants as requirements prior to applications for the certification of the IT products, etc.

4.1 Compliance Items

(1) **Compliance with this Scheme Documents and Requirements**

The applicant shall comply with the “Scheme Document (CCS-01)” and the Requirements for Certification, starting from the certification application and including the time after certification acquisition.

(2) **Confirmation of Requirements**

The applicant shall adequately confirm all items of the Requirements for Certification prior to submitting an application for certification.

(3) **Preliminary consultation**

In the case that the applicant has not acquired a certification under this Scheme before, the applicant shall make a preliminary consultation with the Certification Body.

4.2 Certification-Related Information

The applicant shall acquire from the website of the Certification Body the information necessary to conduct the application and other procedures related to a certification (Scheme Document, Requirements, Guidance, Operating Procedures, and latest version numbers, etc.).

4.3 Certification Application Preparations

(1) Determination of the target of evaluation

The applicant shall determine the TOE or PP scope for the evaluation together with determining the IT products, etc., equipped with the security functions demanded by the procurement entities and users.

(2) Creation of the ST or PP

In the case that the target of evaluation is a TOE, the applicant shall create a ST, and in the case that the target of evaluation is a PP, the applicant shall create a PP.

(3) Selection of the Evaluation Facility

The applicant shall select an Evaluation Facility that conforms to the target of evaluation. The restrictions described below, however, apply in the case that the TOE evaluation to be conducted by the selected Evaluation Facility is a trial evaluation accompanying the approval of Evaluation Facility.

(A) The certification application is accepted only after the acceptance of the approval application of evaluator qualification.

(B) The information on the product in evaluation is not allowed to be published on the website of the Certification Body.

(C) The Certificate is issued only after the Certification Body approves the Evaluation Facility. In the case that the Evaluation Facility is not approved, no "Certificate" will be issued.

(4) Confirmation and approval of the "Evaluation Work Plan"

The applicant receives the "Evaluation Work Plan" and the "Checklist for Impartiality and Independence of Evaluation (for the Evaluation Facility and for the Evaluator)" from the Evaluation Facility and shall confirm and approve the details of both documents.

(5) Preparation of evaluation deliverables

The applicant shall prepare the evaluation deliverables (including on-site evaluations) to be submitted to the Evaluation Facility.

The applicant shall acquire in advance the consent of relevant entities, both in and outside the applicant's company, related to development, manufacturing, delivery, and other aspects regarding the submission of their evaluation deliverables (including on-site evaluations) not under the management and control of applicant.

The applicant shall submit the evaluation deliverables to the Evaluation Facility in accordance with the submitted schedule in the "Evaluation Work Plan."

(6) Preparation for the kick-off meeting

In the case that these persons are necessary in addition to the person in charge of the application, the applicant shall determine in advance the (chief and deputy chief) persons materially in charge of evaluations and certifications who act as the point of contact with the Certification Body during the certification and after certification acquisition.

The applicant shall prepare an encryption method recommended by the Certification Body as the method of securely exchanging digital information necessary for the evaluation and certification.

5. Requirements When Submitting a Certification Application

The Certification Body applies the items described below to applicants as requirements when submitting a certification application. In other words, in the case that the applicant does not fulfill, the Certification Body will not accept the certification application.

5.1 Working Language

In principle, the working language of this Scheme is Japanese.

The language used in the applicant's submitted documents, application procedures, and communications with the Certification Body shall be either Japanese or English. In the case that the original document proving the corporate status and other documents are not in Japanese or English, the documents shall be translated into Japanese or English and submitted along with the original documents.

If neither a Japanese nor an English translation is submitted, the Certification Body will not accept the application from the applicant.

5.2 Submission of Documents Necessary for the Certification Application

The applicant shall submit the form of "Application for Certification" and the necessary documents to be attached (the documents prescribed in the "Guidance on Certification (CCM-02-A)") to the Certification Body.

5.3 Application to Publish Information on the Website of the Certification Body

The applicant shall indicate on the "Application for Certification" whether it desires to publish or not to publish information on the Certified Product List and the List of Products in Evaluation.

After submitting the form of "Application for Certification" the applicant may request a change from "publish" to "not to publish," but it cannot request a change from "not to publish" to "publish."

5.4 Conclusion of a Nondisclosure Agreement

The applicant shall conclude a "Nondisclosure Agreement" with the Certification Body with regard to the treatment of confidential information about the target of evaluation.

In the case that a relevant party other than the applicant shall conclude a nondisclosure agreement for the target of evaluation, the relevant party can submit the "Nondisclosure Agreement" to the Certification Body via the applicant and conclude the agreement.

This nondisclosure agreement applies to Assurance Continuity procedures as well.

5.5 Application Fees

The applicant shall pay the application fees by the due date prescribed by the Certification Body (listed in the "Guidance on Certification (CCM-02-A)").

Note that application fees for any item in the Requirements for Certification, once paid, will not be refunded even if the application is withdrawn.

6. Requirements during Evaluation and Certification Work

The Certification Body applies the items described below to applicants as requirements during evaluation and certification work. In other words, in the case that the applicant does not fulfill, the Certification Body will not certify the target of evaluation.

6.1 Participation in the Kick-off Meeting

The applicant shall participate in the kick-off meeting held by the Certification Body.

In the case that there are relevant parties necessary for the purpose of the kick-off meeting, the applicant shall consult in advance with the Certification Bod.

6.2 Conduct of Evaluation

(1) Start date of the evaluation

The evaluation can be started after the “confirmation date of the Evaluation Work Plan” described in the “Notification of Confirmation of Evaluation Work” issued by the Certification Body.

The Evaluation Facility shall indicate the start date in the evaluation schedule in the “Evaluation Work Plan,” which should be set after the “confirmation date of the Evaluation Work Plan,” regardless of the preliminary examination by the Evaluation Facility, etc.

(2) Submission of evaluation deliverables

The applicant shall submit the evaluation deliverables in accordance with the submitted schedule in the “Evaluation Work Plan” to the Evaluation Facility.

In the case that the Certification Body determines the evaluation deliverables necessary for certification work, the Certification Body will request the applicant to submit the evaluation deliverables. In the case that it receives such a request from the Certification Body, the applicant shall always accommodate the request.

(3) Accommodation of site visits

The applicant shall always accommodate site visits by the Evaluation Facility as well as the Certification Body accompanying the Evaluation Facility during site visits.

(4) In the case that the Evaluation Facility detects a problem during evaluation work, the Evaluation Facility will issue an “Observation Report” to the applicant.

The applicant shall strive to promptly resolve the problems noted in the “Observation Report.”

(5) The applicant may issue to the Certification Body a “Memorandum for Product in Evaluation” relating to evaluation and certification work conducted by the application. The memorandum may be issued as needed in the case that the applicant wishes to contact, consult with, provide a comment, or make a complaint to the Certification Body.

6.3 Confirmation of the Evaluation Technical Report

The Evaluation Facility, after completing the evaluation work, submits an “Evaluation Technical Report (draft)” to the applicant and the Certification Body. The applicant shall confirm the details of the “Evaluation Technical Report (draft)” and report to the Evaluation Facility.

In the case that the applicant determines the “Evaluation Technical Report (draft)” describes inaccuracies or factual misunderstandings, the applicant shall point out these problems to the Evaluation Facility and request that they be modified.

6.4 Confirmation of the Certification Report

The Certification Body, after completing the certification work, submits the “Certification Report (draft)” to the applicant and submits a copy of the “Certification Report (draft)” to the Evaluation Facility.

The applicant shall confirm the details of the “Certification Report (draft)” and report the confirmation results within the time period specified by the Certification Body. In the case that the applicant determines the “Certification Report (draft)” describes inaccuracies or factual misunderstandings, the applicant shall point out these problems to the Certification Body and request

that they be modified.

6.5 Granting Certification

The Certification Body issues the applicant a “Certificate” and a “Certification Report” after the target of evaluation is certified.

The applicant shall be responsible for managing the issued “Certificate” and “Certification Report.”

The Certification Body retains the copyrights to the “Certificate” and “Certification Report.”

6.6 Publication of Information on the Certified Product List

- (1) Once a Certificate is issued, the information will be published on the Certified Product List based on the submitted “Application for Certification.”
- (2) The information remains published on the Certified Product List for a maximum of five years from the certification date. After this time, the information is moved to the Archived Certified Products List.
- (3) Refer to 9 for the conditions on moving information to the Archived Certified Products List sooner than five years after the certification date.

6.7 Requirements for Advertising and Promoting Certified Products

In the case that the applicant mentions that the certification under this Scheme of the certified IT products, etc., in advertising or promotions, the applicant shall also always provide a statement that clarifies the meaning and scope of the certification. The applicant shall, furthermore, not provide any statements that suggests aspects outside of the certified scope have been certified or any statements that lead to misunderstandings, such as the certification to assure the quality of the IT products, etc., itself.

6.8 Requirements for the “Certification Mark” and the “Common Criteria Certification Mark”

The Certification Body applies the items described below to applicants as requirements for the use of the “Certification Mark” and the “Common Criteria Certification Mark.” In other words, in the case that the applicant does not abide by, the Certification Body may revoke the certification.

- (1) The Certification Body retains exclusive rights regarding the use of the “Certification Mark.”
The Certification Body also retains exclusive rights regarding the use of the “Common Criteria Certification Mark” in Japan.

(A) The Certification Mark

The Certification Mark is the mark described below. The mark indicates that the “Certificate” has been issued in accordance with the conditions of this Scheme.

The Certification Mark



(B) The Common Criteria Certification Mark

The Common Criteria Certification Mark is the mark described below. The mark indicates that the “Certificate” has been issued in accordance with the conditions of this Scheme and the conditions of the CCRA.

The Common Criteria Certification Mark



(2) Requirements for the use of the “Certification Mark” and the “Common Criteria Certification Mark”

- (A) The applicant may use the “Certification Mark” or the “Common Criteria Certification Mark” in advertisements, marketing, and sales of certified IT products, etc., only.
- (B) The applicant shall not use the “Certification Mark” or the “Common Criteria Certification Mark” pursuant to Section 6.8 (2) (A) for a version of the IT products, etc., that is different from the version recorded on the “Certificate.”
- (C) The applicant, when using the “Certification Mark” or the “Common Criteria Certification Mark” pursuant to Section 6.8 (2) (A), shall provide a statement that clarifies the meaning and scope of the certification together with the Certification Mark in a prominent location.

7. Requirements during a Certification Application

The Certification Body applies the items described below to applicants as requirements during certification applications. In other words, in the case that the applicant does not fulfill, the Certification Body will assume the certification application has been withdrawn.

7.1 Publication of Information on a Product in Evaluation

In the case that the applicant desires information related to the application be published on the website of the Certification Body (List of Products in Evaluation), the applicant shall complete the required items on a “Request for Publication of Product in Evaluation” and submit it to the Certification Body.

7.2 Corrections to Records on an Application for Certification

The applicant shall promptly submit a “Request for Changing Record in Application Form” to the Certification Body in the case of correcting or changing records on a previously submitted “Application for Certification.”

7.3 Corrections to Attached Documents other than an Application for Certification

In the case of correcting or changing attached documents to a previously submitted “Application for Certification,” the applicant shall attach replacements or revised editions of the applicable documents to a “List of Changes” and submit them to the Certification Body.

7.4 Withdrawing an Application for Certification

In the case withdrawing previously submitted application documents, the applicant shall submit a “Request for Withdrawal of Application” to the Certification Body.

The withdrawal procedure is necessary in the case that the applicant withdraws a certification application of its own accord and in the case that either of the conditions described below apply:

- (1) When the Evaluation Facility has discontinued evaluation services; or
- (2) When the Certification Body has revoked the approval of the Evaluation Facility.

7.5 Succession during a Certification Application

In the case that an applicant transfers the entire business relating to the application to another corporation, or in the case of a merger with another corporation, during the certification application, the corporation after the business transfer or merger is able to succeed the status of the applicant according to the following requirements.

- i.) In case of not having acquired a certification under this Scheme before, the succeeding applicant shall consult with the Certification Body in advance in accordance with Section 4.1 (3).
- ii.) The succeeding applicant shall attach necessary documents (as prescribed in “Guidance on Certification (CCM-02-A)”) to the documents to be submitted pursuant to Section 7.2 and submit them to the Certification Body.

7.6 Limits on Evaluation Periods and Requirements in the Event of a Delay

- (1) Limits on the evaluation period

In the case that the evaluation is not completed within 12 months, in principle, from the acceptance date of the certification application, the Certification Body will assume the applicant has withdrawn the certification application. The effective date on the official Evaluation Technical Report is taken to be the completion date of the evaluation.

- (2) Requirements in the event of a delay to the evaluation schedule

In the case that the evaluation work is expected to be delayed by more than two weeks from the evaluation schedule in the “Evaluation Work Plan,” the applicant shall request the Evaluation Facility to revise the evaluation schedule in the “Evaluation Work Plan” and submit the revised version to the Certification Body.

In the case that the Evaluation Facility does not submit the revised version of the “Evaluation Work Plan” within three months even though the evaluation schedule is delayed, the Certification Body will inform the applicant to report the reason for the delay in submitting the revised version. The applicant shall respond with the reason for the delay to the Certification Body within 30 days of receiving the notification. In the case that there are no expectations that the evaluation can be completed within 12 months due to the reason for the delay given by the applicant, or in the case that the applicant fails to respond within the given time period, the Certification Body will assume the applicant has withdrawn the certification application.

7.7 Invoices for Travel Expenses Relating to Site Visits

In principle, the Certification Body accompanies the Evaluation Facility on visits to development, manufacturing, delivery, and other sites in order to confirm the evaluation is conducted appropriately. The Certification Body, however, may choose to not accompany the Evaluation Facility in consideration of the past site visits.

- (1) The applicant shall be responsible for the travel expenses related to the site visits that the

Certification Body accompanies.

The applicant shall be responsible for the actual travel and accommodation expenses necessary for the following site visits.

- (A) Visits to overseas sites including development sites.
- (B) Visits to sites in Japan, which is 100 km or more away from the location of the Certification Body.

8. Applications after Acquiring Certification

8.1 Corporate Name Changes on Certificates and Other Documents

- (1) In the case that either of the conditions described below applies to an applicant, the applicant may have a “Certificate,” “English Version of Certificate,” “Certification Report,” and “Assurance Continuity Maintenance Report” reissued under a new corporate name.

- (A) The corporate name of the applicant changed
- (B) Succession of certification

In the case that an applicant transfers the entire evaluation services relating to certified IT products, etc., to another corporation, or in the case there is a merger with another corporation, the corporation that succeeds to the evaluation services or the merging corporation can succeed the status of the applicant.

In the case that the applicant desires the “Certificate” and other documents to be reissued, the applicant shall submit a “Request for Reissuing Certificate, etc.” to the Certification Body. The applicant shall submit the notification pursuant to Section 9.3 in advance of submitting this request and have it approved by the Certification Body.

- (2) The Certification Body will reissue the “Certificate” and other documents with the new corporate name after accepting the request. In the case that the certificate information is published on the Certified Product List on the website of the Certification Body, the Certification Body will change the corporate name on the Certified Product List. The applicant shall be responsible for managing the issued “Certificate” and other documents.
- (3) The applicant shall pay the application fees prescribed by the Certification Body (listed in “Guidance on Certification (CCM-02-A)”).

8.2 Application to Issue an English Version of Certificate

- (1) The applicant shall submit an “Application for Issuing English Version of Certificate” to the Certification Body in the case that the applicant desires an “English Version of a Certificate” to be issued.

The applicant shall be responsible for managing the issued “English Version of Certificate.”

In the case that the certified products information is published on the Certified Product List on the website of the Certification Body, the Certification Body will publish the “English Version of Certificate” with the submission of this application form.

- (2) The applicant shall pay the application fees prescribed by the Certification Body (listed in “Guidance on Certification (CCM-02-A)”).

8.3 Publication of an English Version of Certification Report and ST

In the case that the applicant desires to publish an English version of a “‘Certification Report’ and ST” or a “‘Certification Report’ and PP” listed on the website of the Certification Body, the applicant shall submit a “Request for Publication of English Version of Certification Report and ST” and the English translations of such to the Certification Body. Note that the submission of this request is

possible only in the case that the applicant fulfills all the conditions described below:

- (1) The applicant has submitted an “Application for Issuing English Version of Certificate” pursuant to Section 8.2; and
- (2) Less than one year has passed since the effective date of the “Certificate.”

The English version of the “‘Certification Report’ and ST” or “‘Certification Report’ and PP” will be published on the website of the Certification Body and then on the Certified Product List on the official website of CCRA.

8.4 Reissuing a Certificate, an English Version of Certificate, or Other Document

- (1) In the case that the applicant desires the reissuance of a “Certificate,” “English Version of Certificate,” “Certification Report,” or “Assurance Continuity Maintenance Report” due to the loss of the document or other reason, the applicant shall submit a “Request for Reissuing Certificate, etc.” to the Certification Body.

The applicant shall be responsible for managing the reissued “Certificate,” “English Version of Certificate,” “Certification Report,” or “Assurance Continuity Maintenance Report.”

- (2) The applicant shall pay the application fees prescribed by the Certification Body (listed in “Guidance on Certification (CCM-02-A)”).

9. Requirements for Certification

The Certification Body applies the items described below to applicants as requirements for certification.

In other words, in the case that the applicant does not fulfill the requirements, the Certification Body will determine that procuring the product as a certified product is not suitable and will move the product information from the Certified Product List to the Archived Certified Products List.

The Certification Body publishes information on the Certified Product List in accordance with the applicant’s application details with the issuance of the Certificate. The information remains published for a maximum of five years, after which the certified product information is moved to the Archived Certified Products List.

Note that information will be moved to the Archived Certified Products List sooner than five years under the conditions described below.

- (1) The applicant has submitted notification that the certified product has been discontinued.
- (2) The applicant has submitted notification to withdraw the registration of the certified product.
- (3) The Certification Body has revoked the certification of the certified product.
- (4) The Certification Body is unable to confirm the published information because of an inability to contact the supplier or applicant of the certified product.

The applicant cannot submit requests to change the published information about IT products, etc., moved to the Archived Certified Products List.

9.1 Notification of Vulnerability Related Information for a Certified Product

In the case that the applicant detects or acquires vulnerability related information for a certified product, the applicant shall promptly inform the Certification Body with a “Report on Vulnerability Related Information.”

9.2 Provision of Facilities for Evaluation Use

In the case that the Evaluation Facility requests the reuse of facilities and equipment used in the initial evaluation (such as the target of evaluation and operational environment facilities), the applicant and developer shall accommodate the request.

9.3 Notification of Changes to Records on a Certificate or Other Document

- (1) In the case that a change occurs to records on a “Certificate” or other document because of a corporate name change (including the cases of a transfer of the business or a merger), the applicant shall attach documents proving the fact of the name change (including a document proving the corporate status) to a “Request for Changing Record in Certificate, etc.” and submit them to the Certification Body within 30 days, calculated from the date the change has been made.
- (2) In the case that the Certification Body determines it necessary with the submission of this notification, the Certification Body will conduct surveillance as prescribed in Section 10.1.

9.4 Notification of Discontinuance of a Certified Product and Withdrawal of a Certificate

In the case that either of the conditions described below applies to an applicant, the applicant shall promptly inform the Certification Body of the conditions with a “Notification of Discontinuance of Certified Products and Withdrawal of Certificate.”

- (1) The applicant has discontinued sales of the certified product because production has been discontinued.
- (2) The applicant has determined that the certified product cannot maintain its certification.

9.5 Changes to Supplier or Contact Information Published on the Certified Product List

In the case that a change occurs to the supplier or contact information for a certified product published on the Certified Product List on the website of the Certification Body, the applicant shall promptly submit a “Request for Changing Record in Certified Product List.”

In the case that this notification is not submitted and the applicant fails to respond to communications from the Certification Body, the Certification Body will move the information from the Certified Product List to the Archived Certified Products List in accordance with 9.

9.6 Notification of Changing the Person in Charge of a Certification Application

The applicant shall promptly submit a “Request for Changing Person in Charge of Application for Certified Products” to the Certification Body in the case that the person in charge of the application on the form of “Application for Certification” has changed for each certified product.

In the case that this notification is not submitted and the applicant fails to respond to communications from the Certification Body, the Certification Body will move the information from the Certified Product List to the Archived Certified Products List in accordance with 9.

9.7 Requirements for Handling Complaints about a Certified Product

- (1) The applicant shall take appropriate measures in response to complaints received about certified products or about the presentation of the Certification Mark and shall keep a record of complaints and the measures taken during the period that the product is certified.
- (2) In the case that the Certification Body instructs the applicant to submit the records of complaints and the measures taken pursuant to Section 9.7 (1), the applicant shall submit the records. In the case that the applicant fails to submit the records, the applicant shall accept the Certification Body to view the records.

10. Requirements for Surveillance and for Suspending or Revoking a Certification

The Certification Body applies the items described below to applicants as requirements for

surveillance and for the suspension or revocation of certifications. In other words, in the case that the applicant does not fulfill, the Certification Body will move the product information from the Certified Product List to the Archived Certified Products List and revoke its certification.

10.1 Surveillance

(1) Conducting surveillance

In the case that any of the conditions described below apply to the certified IT products, etc., the Certification Body will conduct surveillance

(A) Concerns have been raised about the conformity of the IT products, etc., with the matters prescribed in the “Scheme Document (CCS-01)” and in the Requirements for Certification due to complaints or information provided from the Evaluation Facility or other relevant parties or from procurement entities or users of the certified product.

(B) A notification has been made about the detection of vulnerability-related information for the certified product.

(C) The Certification Body has determined surveillance is necessary for other reasons.

(2) Response to surveillance

In the case that the applicant receives notification of surveillance, the applicant shall respond within the time period specified by the Certification Body.

(3) Response to the results of the surveillance of the Certification Body

In the case that the Certification Body, in response to the answer of the applicant’s surveillance, instructs the applicant to take corrective actions or re-evaluations, the applicant shall respond to the corrective action or re-evaluation instructions.

(4) Publication of the status of conducted surveillance and the surveillance results

The Certification Body will publish the status of conducted surveillance and the surveillance results on the Certified Product List on the website of the Certification Body.

(5) Surveillance expenses

Refer to Section 7.7 for the travel and other necessary expenses incurred for site visits required to conduct the surveillance.

10.2 Suspending a Certification and Releasing a Suspension

In the case that the Certification Body instructs the applicant to take corrective actions or re-evaluations pursuant to Section 10.1 (3), the Certification Body will suspend the certification of the certified IT products, etc. The Certification Body will confirm the details of corrective actions taken by the applicant and, once the problems have been resolved, will release the suspension.

10.3 Revoking a Certification

In the case that any of the conditions described below apply, the Certification Body will hold an interview with the applicant to hear the opinions of the applicant and may inform the applicant that the certification is revoked.

(1) The applicant has not responded within the time period specified by the Certification Body to the Certification Body’s surveillance or instructions to take corrective actions or re-evaluations.

(2) The applicant has been discovered continuing to provide the IT products, etc., as if it were certified despite the Certification Body taking action to suspend the certification.

(3) The Certification Body has determined, as a result of the corrective actions or re-evaluation, that maintaining the certification of the IT products, etc., is not suitable.

10.4 Matters Applying to Both Suspensions and Revocations

- (1) In the case that the certification of the certified IT products, etc., is suspended or revoked, the applicant shall promptly inform suppliers, procurement entities, and other relevant parties or publish the suspension or revocation on the website of the applicant.
- (2) The applicant shall return the “Certificate” and “Certification Report” issued by the Certification Body (and including the “English Version of Certification” and “Assurance Continuity Maintenance Report” if issued).
- (3) In the case that the applicant is dissatisfied with the surveillance or suspension, the applicant may submit a complaint in writing to the Certification Body, provided it is made within the specified time period for a response. In the case that the applicant is dissatisfied with the revocation, the applicant may submit a complaint in writing, provided it is made prior to the interview with the applicant to hear the opinions of the applicant.
- (4) In the case that the certified product information is published on the Certified Product List, the suspension of certification, the release of suspension, and the revocation and its confirmation results will be published.

11. Requirements for Assurance Continuity Procedures

The Certification Body applies the items described below to applicants as requirements of Assurance Continuity.

In the case that the applicant does not fulfill, Assurance Continuity will not be recognized.

TOEs granted Assurance Continuity are published on the Certified Product List for five years from the issuance of initial Certificate.

11.1 Requests for a Preliminary Assurance Continuity Review

In the case that a change occurs regarding a certified TOE, an applicant that desires to maintain the certification of the TOE after the change may proceed with the Assurance Continuity procedures. The applicant, in order to confirm the appropriateness of maintaining the certification prior to submitting an application for the Assurance Continuity procedures, shall create an “Impact Analysis Report” and request the Certification Body to conduct a preliminary review. The nondisclosure agreement concluded during the certification application applies to the exchange of confidential information with the Certification Body for the purposes of the Assurance Continuity procedures.

The Certification Body, with the preliminary review of the “Impact Analysis Report,” determines whether maintaining the certification (Assurance Continuity) is possible or not and informs the applicant of the result. In the case that the Assurance Continuity is not recognized, the applicant selects whether to apply for a new evaluation of the TOE or to withdraw the registration of the certified product.

11.2 Application for Assurance Continuity Procedures

The applicant shall apply for Assurance Continuity procedures within two years of the effective date of the “Certificate.” In the case that the applicant is informed that the certification can be maintained as a result of the preliminary review, the applicant may submit an “Application for Assurance Continuity.”

The applicant shall submit the “Application for Assurance Continuity” and the necessary attached documents (as prescribed in the “Guidance on Certification (CCM-02-A)”) to the Certification Body. In the case also that the Certification Body informs the applicant that “a subset evaluation by an Evaluation Facility is necessary” as a result of the preliminary review, the applicant shall submit the “Application for Assurance Continuity” and the necessary attached documents (as prescribed in the

“Guidance on Certification (CCM-02-A)” to the Certification Body.

11.3 Application Fees Accompanying Assurance Continuity Procedures

The applicant shall pay the application fees by the due date as prescribed by the Certification Body (listed in the “Guidance on Certification (CCM-02-A)”).

In the case that the Certification Body accompanies the Evaluation Facility site visits, the applicant shall pay expenses in accordance with Section 7.7.

11.4 Assurance Continuity Assessment

- (1) In the case that the Certification Body requests the applicant to participate in a kick-off meeting to conduct the Assurance Continuity procedures, the applicant shall accommodate the request. In the case that a subset evaluation is necessary, the Certification Body shall always hold a kick-off meeting.
- (2) In the case that the Certification Body requires the submission or confirmation of necessary information, or the conduct of another impact analysis, the applicant shall promptly respond.
- (3) In the case that a subset evaluation is conducted, the applicant shall arrange for site visits by the Evaluation Facility, disclose necessary records and evaluation deliverables, and cooperate to ensure evaluation work progresses smoothly. The applicant shall also promptly respond when an Observation Report or a Certification Oversight Review is issued.
- (4) The applicant shall allow the Evaluation Facility to conduct a subset evaluation based on CC/CEM and to submit a partial Evaluation Technical Report to the Certification Body.

11.5 Confirmation of the Assurance Continuity Maintenance Report

The Certification Body completes the Assurance Continuity assessment and then submits an “Assurance Continuity Maintenance Report (draft)” to the applicant.

The applicant shall confirm the details of the “Assurance Continuity Maintenance Report (draft)” and report the results of the confirmation within the time period specified by the Certification Body. In the case that the applicant determines the “Assurance Continuity Maintenance Report (draft)” describes inaccuracies or factual misunderstandings, the applicant shall point out these problems to the Certification Body and request that they be corrected.

11.6 Results of the Assurance Continuity Procedures

In the case that the Assurance Continuity assessment is successful, the Certification Body will approve maintaining the certification (Assurance Continuity) and issue an “Assurance Continuity Maintenance Report” to the applicant.

In the case that the Assurance Continuity assessment is not successful, the Certification Body will not approve maintaining the certification.

- (1) The applicant shall be responsible for managing the issued “Assurance Continuity Maintenance Report.”
The Certification Body retains the copyrights to the “Assurance Continuity Maintenance Report.”
- (2) Additional information about maintaining the certification (Assurance Continuity) will be published on the Certified Product List on the website of the Certification Body in accordance with Section 6.6.
- (3) In the case that the application was not successful, the applicant selects whether to submit a new certification application or to withdraw the registration of the certified product.

Supplementary provisions (April 12, 2012 Jo-So No. 164 of 2011)

The Requirements for Certification shall come into effect as of March 29, 2012.

Supplementary provisions (March 25, 2013 Jo-So No. 113 of 2012, Partial revision)

(Date of enforcement)

- 1 The Requirements for Certification shall come into effect as of April 1, 2013.
(Transitional measures regarding the publication of information on the Certified Product List)
- 2 For the period ending on September 30, 2013, the application of Section 6.6 on certified products for which more than five years have passed from the certification date, the expression “for a maximum of five years” in Section 6.6 shall be read as “until September 30, 2013” and the expression “sooner than five years” shall be read as “prior to September 30, 2013.”
(Transitional measures regarding on certification)
- 3 For the period ending on September 30, 2013, the application of 9 on certified products for which more than five years have passed from the certification date, the expression “for a maximum of five years” in 9 shall be read as “until September 30, 2013” and the expression “sooner than five years” shall be read as “prior to September 30, 2013.”

Supplementary provisions (April 2, 2014 Jo-So No. 172 of 2013, Partial revision)

The Requirements for Certification shall come into effect as of April 1, 2014.

Supplementary provisions (May 28, 2015 Jo-So No. 53 of 2015, Partial revision)

The Requirements for Certification shall come into effect as of June 1, 2015.

Supplementary provisions (September 17, 2015 Jo-So No. 96 of 2015, Partial revision)

The Requirements for Certification shall come into effect as of October 1, 2015.

Supplementary provisions (June 29, 2018 Jo-So No. 178 of 2018, Partial revision)

The Requirements for Certification shall come into effect as of July 1, 2018.

Supplementary provisions (September 4, 2018 Jo-So No. 263 of 2018, Partial revision)

The Requirements for Certification shall come into effect as of September 10, 2018.

Supplementary provisions (October 1, 2020 Jo-So No. 1095 of 2020, Partial revision)

The Requirements for Certification shall come into effect as of October 15, 2020.