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Operating Procedure for IT Security Certification Services

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Operating Procedure for IT Security Certification Services

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1. Purpose

The purpose of this Operating Procedure is to prescribe the necessary operating procedure for the Information-technology Promotion Agency, Japan (hereinafter referred to as “IPA”) to properly conduct IT security certification services (hereinafter referred to as “certification services”) based on the “Organization and Operational Manual for IT Security Certification Body (CCM-01)” (hereinafter referred to as the “Operational Manual”) as the Certification Body (hereinafter referred to as the “Certification Body”) under the Japan IT Security Evaluation and Certification Scheme (hereinafter referred to as “this Scheme”).

In addition, the operating procedure related to ST confirmation services shall be conducted in compliance with this Operating Procedure. Certification services in this Operating Procedure include ST confirmation, and a notice shall be provided if the procedure is different between the certification services and the ST confirmation services.

2. Terms

Terms used in this Operating Procedure correspond to those used in the “IT Security Evaluation and Certification Scheme Document (CCS-01)” (hereinafter referred to as the “Scheme Document”), the “Requirements for IT Security Certification (CCM-02)” (hereinafter referred to as “Requirements for Certification”), the “Requirements for ST Confirmation (STM-01),” and the standards prescribed in Annex A of the “Scheme Document” (the “IT Security Evaluation Criteria,” the “IT Security Evaluation Methodology,” and their interpretations (hereinafter referred to as the “CC/CEM”). In addition, “Certification Committee,” the term in this Operating Procedure, shall be replaced as “Hardware Certification Committee” if the product area is “Hardware (Smart Cards, etc.).

3. Evaluation and Certification Standards

The evaluation and certifications conducted under this Scheme shall be based on the CC/CEM.

4. Preparation for the Certification Body to Conduct Certification Services

4.1 Information Regarding Certification

- (1) The Certification Body publishes information necessary for the applicant to apply for certification, etc., on the website of the Certification Body.

- (2) The Certification Body shall properly announce the contents of changes by giving a two-week prior notice in principle, if significant changes regarding procedures related to certification and Evaluation Facilities are required.

4.2 Preparation for Conducting Certification Services

- (1) Operational Personnel of certification services prepare a “Certification Administration Table” (Form 1) for each certification application.
- (2) Operational Personnel prepare a document file on which the reception number, applicant name, and other information are recorded for each certification application and file the application documents. Operational Personnel retain the document file in a cabinet with a key (hereinafter referred to as “cabinet”).
- (3) Operational Personnel decide on a project identification number for each certification application and prepare a dedicated folder in which the identification number is provided in the server for the Certification Body.
- (4) Certifiers handling each certification application organize a “Certification Administration Table” (Form 1) and the dedicated folder when each service is completed.

5. Operating Procedure for Receiving and Accepting Certification Application and Changes during Application

5.1 Submission of Application Forms for Certification

- (1) A set of application forms for certification is normally submitted by mail or other methods.
- (2) If application documents are divided and separately submitted, the application is not accepted until all the necessary documents are received.

5.2 Reception and Acceptance of Certification Application

- (1) Operational Personnel conduct the procedure for accepting applications for certification. Operational Personnel affix a “seal of receipt” when receiving application documents. Operational Personnel confirm the following items prior to conducting the acceptance processing.
 - (A) The full set of documents prescribed in Section 5.1 of the “Guidance on IT Security Certification (CCM-02-A)” (hereinafter referred to as “the Guidance on Certification”) is sufficient and complete.
 - (B) The assurance level of the target of evaluation shall be within the scope of the assurance components of the approved Evaluation Facility.
 - (C) The evaluator in charge, or one or more personnel of the evaluation team, shall be a

registrant who was approved for evaluator qualification.

- (D) The Technical Manager has confirmed that handling of IT products for general use or specific use, which are targets of evaluation under this Scheme is appropriate.
 - (E) For a trial evaluation that accompanies the approval of an Evaluation Facility, this shall be the first application. In other words, another new certification application that invokes a new trial evaluation from the Evaluation Facility already conducting a trial evaluation will not be accepted.
 - (F) For certification application of trial evaluation that accompanies the approval of the Evaluation Facility, the corresponding Application for Approval of Evaluation Facility and/or Application for Approval of Evaluator Qualification has been accepted.
 - (G) The Evaluation Facility shall have a preliminary consultation with the Certification Body to confirm the target of evaluation of certification application to conduct a trial evaluation.
- (2) In the case that the submitted documents are found to be insufficient while confirming applications, Operational Personnel instruct the applicant to resubmit the necessary documents within a specified period of approximately one week. Until insufficiency in application documents are solved, Operational Personnel do not affix a “seal of acceptance” or provide a reception number.

Note that if the requirements on the document are not satisfied and the certification application is not accepted, Operational Personnel inform the applicant by e-mail or other means that the application cannot be accepted and will return the set of application documents in accordance with Section 26.8.

- (3) Operational Personnel affix a “seal of acceptance” to the application documents after confirming the contents of the application documents and confirming that there is no insufficiency.
- (4) Operational Personnel provide a reception number, which is composed of the characters “IT Certification” (“ST confirmation” in case of the application for ST confirmation), “the last digit of the year” and “a three-digit serial number,” in the reception number column on the submitted “Application for Certification” (CCM-02-A Form 1-1, Form 1-2).

[Example of reception number]: IT Certification 7150 (ST Confirmation 7050 in the case of application for ST confirmation)

- (5) Operational Personnel record the required items including the reception number, reception date, TOE name and applicant name on the “Certification Administration Table” (Form 1).
- (6) Operational Personnel inform the applicant and the Evaluation Facility of the reception number and reception date by e-mail or other means.

In addition, Operational Personnel simultaneously inform the Evaluation Facility that evaluation can be conducted from the date on which the Evaluation Work Plan is confirmed, as provided in

the “Notification of Confirmation of Evaluation Work” (CCM-02-A Form 13) (Refer to Section 6.1) that is to be sent on a future date.

5.3 Conclusion of Non-Disclosure Agreement

- (1) Operational Personnel conduct the procedure for concluding a contract related to the treatment of confidential information with the applicant using the “Non-Disclosure Agreement” (CCM-02-A Form 12-1).

If a party disclosing confidential information other than the applicant (the “Disclosing Party”) exists, Operational Personnel conduct the procedure for concluding a contract related to the treatment of confidential information with the Disclosing Party using the “Non-Disclosure Agreement” (CCM-02-A Form 12-2).

- (2) Operational Personnel conduct the drafting procedure for the Non-Disclosure Agreement, obtain the approval of the Managing Director, and conclude the agreement in the name of the IPA Chairman.

If there are various reasons including requests from the applicant, the procedures for accepting application and drafting the Non-Disclosure Agreement can be conducted separately.

- (3) Operational Personnel send the “Non-Disclosure Agreement” (CCM-02-A Form 12-1 and Form 12-2) to the applicant (and the Disclosing Party) by a method in which a record of the delivery is kept (such as recorded delivery) and inform the applicant (and the Disclosing Party) by e-mail or other means that the agreement has been sent.
- (4) It is possible to conclude a separate “memorandum” regarding confidentiality when requested by the applicant. In principle, a corporate lawyer confirms the contents of the memorandum in advance when concluding a memorandum with new contents.

5.4 Publication of Product in Evaluation

- (1) If the applicant submits a “Request for Publication of Product in Evaluation” (CCM-02-A Form 11), Operational Personnel confirm the contents of the request.
- (2) Operational Personnel record the reception date of the “Request for Publication of Product in Evaluation” (CCM-02-A Form 11) on the “Register of Publication of Product in Evaluation.”
- (3) If the applicant requests publishing information of a product in evaluation, Operational Personnel publish information of the product in evaluation on the List of Products in Evaluation on the website of the Certification Body and record the publication date on the “Register of Publication of Product in Evaluation.”
- (4) Operational Personnel inform the applicant by e-mail or other means that the information is published on the website of the Certification Body.
- (5) In the case of publishing information where the requested timing for publishing is specified, the

information is published on the requested date of publishing. If information cannot be published on the requested date of publishing for some reason, the date of disclosure is adjusted with the applicant.

- (6) If the applicant submits a request for a change using the “Request for Publication of Product in Evaluation” (CCM-02-A Form 11), Operational Personnel change the website of the Certification Body (List of Products in Evaluation) after confirming the contents of the request.
- (7) If the information on a product in evaluation that is published on the website of the Certification Body obtains certification or if the application is withdrawn, Operational Personnel delete the product information from the website of the Certification Body (List of Products in Evaluation).

5.5 Changing Records in Application Form

- (1) In the case that an applicant submits a “Request for Changing Record in Application Form” (CCM-02-A Form 6) to change records in the application form, Operational Personnel confirm the contents of the request and update the “Certification Administration Table” (Form 1) for applications including certification.
- (2) Operational Personnel inform the applicant by e-mail or other means that the “Request for Changing Record in Application Form,” (CCM-02-A Form 6) has been accepted.
- (3) If there is a necessity to change the contents of the website of the Certification Body with the above request, Operational Personnel instruct the applicant to submit a “Request for Publication of Product in Evaluation” (CCM-02-A Form 11).
- (4) Certifiers confirm that the details of the change will not affect certification services.

5.6 Applicant Name Change Due to Merger with another Corporation, etc.

- (1) In the case that an applicant transfers the entire business related to IT security certification to another corporation, or in the case there is a merger with another corporation, the corporation that succeeds to the business or the merging corporation succeeds the status of the applicant. In this case, the applicant is requested to attach documents proving the facts (including a document proving the corporate status) to the “Request for Changing Record in Application Form” (CCM-02-A Form 6).
- (2) Operational Personnel conduct the procedure in accordance with Section 5.5.

5.7 Withdrawal of Application

- (1) In the case that an applicant submits a “Request for Withdrawal of Application” (CCM-02-A Form 7) to withdraw the application form, Operational Personnel confirm the contents of the request, conduct the procedure for withdrawal of the certification application, and record the acceptance of the “Request for Withdrawal of Application.” In principle, the application forms and attached documents received so far shall be retained in accordance with the manuals and are not returned to the applicant (the same applies to other applications).

- (2) Operational Personnel inform the applicant by e-mail or other means that the “Request for Withdrawal of Application” (CCM-02-A Form 7) has been accepted.
- (3) If the product information whose application to be withdrawn is published on the website of the Certification Body (List of Products in Evaluation), Operational Personnel delete the product information from the website of the Certification Body.
Operational Personnel inform the applicant by e-mail or other means that the application has been deleted from the website of the Certification Body.
- (4) Certifiers confirm the contents regarding withdrawal and conduct the process described in Section 4.2 (4).
- (5) If the applicant does not submit a “Request for Withdrawal of Application” and Operational Personnel decide that evaluation cannot be continued according to circumstances of the applicant or Evaluation Facility, Operational Personnel instruct the applicant to report the possibility of continuance of application.
- (6) Operational Personnel send the document to the applicant by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the document has been sent.
- (7) If the applicant does not respond within 30 days from the date on which this notification is sent, Operational Personnel assume that the certification application has been withdrawn.

5.8 Term of Completion of Evaluation and Handling of a Long Delay of Evaluation

- (1) In principle, the term of completion of evaluation is 24 months from the date on which the application is accepted. If evaluation is not completed by the term of completion of evaluation and the applicant does not provide a reasonable explanation, the Certification Body assumes that the applicant has withdrawn the corresponding certification application and conducts the procedure described in Section 5.7.
The term of completion of evaluation indicates the period of time up to the date on which the official Evaluation Technical Report becomes effective.
- (2) In the event of a delay of two weeks or more from the evaluation schedule described in the “Evaluation Work Plan” (CCM-02-A Form 4), Certifiers instruct the applicant and Evaluation Facility to revise the “Evaluation Work Plan” (CCM-02-A Form 4).
- (3) If three months passed during which the revised version of the “Evaluation Work Plan” is not submitted, Operational Personnel register the plan in the “Register of Notification and Response Regarding Items to be Suspended for Long Periods” and instruct the applicant to report the reason for the delay.
- (4) Operational Personnel send the document to the applicant by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the document has been sent.
- (5) If the applicant does not report the reason for delay within 30 days from the date on which

this notification is sent, Operational Personnel assume that the certification application has been withdrawn and conduct the procedure described in Section 5.7.

5.9 Application Fee

- (1) Operational Personnel conduct the drafting procedure for the application fee, obtain the approval of the Managing Director and request the IPA Finance Department to issue an invoice to collect the application fee (“Guidance on Certification,” Appendix 2).
- (2) Operational Personnel send a list of applications that are accompanied by application fee by the end of month.
- (3) The Finance Department sends invoices to the applicant to claim application fee.
- (4) If the IPA Finance Department reports that the application fee is not paid by the specified due date, Operational Personnel assume that the applicant has withdrawn the application and conduct the procedure described in Section 5.7.

5.10 Billing of Travel and Other Expenses Incurred in Site Visits

When accompanying site visits to a development site and production site, etc., the Certification Body will invoice the applicant for travel and other necessary expenses as follows.

- (1) If the site visit is within the country, the applicant is invoiced for the actual transportation and accommodation expenses. However, this provision does not apply in the case that the applicant arranges transportation means and accommodations in advance and bears these expenses, or in the case that the visiting destination is near to the Certification Body (i.e., less than 100 kilometers).
- (2) If the site visit is abroad, the applicant is invoiced for the actual travel and other necessary expenses incurred in site visits, including airfares, local accommodation expenses, and local transportation expenses (excluding daily allowances, domestic transportation expenses, overseas travel insurance, communication expenses, immunization costs, and visa charges). However, this provision does not apply in the case that the applicant arranges air tickets, accommodations and local means of transportation in advance and bears these expenses.
- (3) Certifiers or Operational Personnel conduct the procedure for drafting the invoice for the above described necessary expenses to the applicant. In the case of (1) above, the Certifiers or Operational Personnel obtain the approval of the Management System Manager, and in the case of (2) above, the Certifiers or Operational Personnel obtain the approval of the Managing Director.
- (4) The Finance Department sends the invoice and evidence of the actual payment to the applicant to charge the necessary expenses.

6. Handling of Certification Services

6.1 Start of Certification Services and Kick-off Meeting

- (1) The Technical Manager appoints Certifiers (including technical personnel who are Certifier candidates).
- (2) The selected Certifiers prepare a “Checklist for Eligibility of Certifier” (Form 2-1) and submit the list to the Technical Manager. Form 2-2 is used for ST confirmation.
- (3) The Technical Manager considers the submitted “Checklist for Eligibility of Certifier” and makes a final decision on the Certifiers.
- (4) The Technical Manager decides on Certifiers, prepares a “Notification of Confirmation of Evaluation Work” (CCM-02-A Form 13) and instructs Operational Personnel to send the notification to the applicant and Evaluation Facility.
- (5) Operational Personnel send the “Notification of Confirmation of Evaluation Work” to the applicant and Evaluation Facility by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the document has been sent.
- (6) Certifiers hold kickoff meetings with the applicant and Evaluation Facility prior to the start of certification services as needed.

6.2 Conduct of Certification Services

- (1) In the case that the Evaluation Facility submits an “Observation Report” related to problems in the evaluation, Certifiers record the acceptance of the confidential materials in accordance with “26. Confidential Materials.”
- (2) Certifiers confirm the contents of the “Observation Report” and promptly consider handling methods for the problems as needed.
- (3) Certifiers send a “Certification Oversight Review” if it is determined that there is a problem. Certifiers may send a “Certification Oversight Review” to the Evaluation Facility to present questions and comments for determining if there are problems.
- (4) Certifiers hold meetings with the applicant and Evaluation Facility as necessary to solve problems in the “Observation Report,” etc.
- (5) If the Technical Manager decides that a solution to the problems in the “Observation Report” is related to the CC/CEM, the Technical Manager holds the Technical Committee to solve the problems.
- (6) Certifiers record the acceptance of confidential materials received from the applicant and Evaluation Facility, and report the receipt of the materials by e-mail or other means.

6.3 Reception and Acceptance of Evaluation Technical Report

- (1) In the case that the Evaluation Facility submits an “Evaluation Technical Report,” Certifiers or Operational Personnel record the acceptance of confidential materials and report the receipt of confidential materials in the same manner as described in Section 6.2.

For the official version of the “Evaluation Technical Report” and “Observation Report” (if issued), the Certifiers or Operational Personnel receive printed material and electronic media such as CD-R.

- (2) Operational Personnel confirm that there are no pages out of order or missing page and retain the document file after affixing the “seal of acceptance.”
- (3) Certifiers confirm the contents of received electronic media and retain the electronic media after copying the contents of the Evaluation Technical Report, etc., to the dedicated folder.

6.4 Preparation of Certification Report

Certifiers confirm the contents of the “Evaluation Technical Report” and compile the results as “Certification Report.”

- (1) Certifiers verify that the CC/CEM is satisfied for the “Evaluation Technical Report” submitted by the Evaluation Facility and that the Evaluation Facility conducts the evaluation in accordance with the procedures prescribed in this Scheme, and confirm that the evaluation result is appropriate after confirming that all information required for certification is described.
- (2) Certifiers instruct the applicant and Evaluation Facility to provide information required for verification of the “Evaluation Technical Report” and issue a “Certification Oversight Review” as needed to instruct the Evaluation Facility to change the “Evaluation Technical Report.”
- (3) Certifiers record the effective date of the “Evaluation Technical Report” on which verification is completed on the “Certification Administration Table.”
- (4) Certifiers prepare a draft of the “Certification Report” (CCM-02-A Form 14-1, Form 14-2, or Form 14-3) based on the “Evaluation Technical Report” and submit the report to the Technical Manager.
- (5) Certifiers present the draft of the “Certification Report” to the applicant and Evaluation Facility and request the applicant and Evaluation Facility to confirm the contents of the “Certification Report.” In this case, the date on which the draft is presented is recorded on the “Certification Administration Table.”

If there are comments or responses regarding the contents of the “Certification Report,” Certifiers subjectively judge those contents.

- (6) Certifiers record the date of the reply from the applicant and Evaluation Facility on the “Certification Administration Table” as the confirmation date and prepare the “Certification Report” based on the contents of the table.
- (7) For a certification application of a trial evaluation, the procedure for issuing the Certificate described in Section 6.5 shall be suspended until the Evaluation Facility is approved.
- (8) In the case that the applicant of a certification application of a trial evaluation is also an applicant for approval, the “Certification Report” is issued; however, the procedure described in Section 6.5 is not conducted because a Certificate is not issued.

6.5 Issuance of Certificate

If conformance with the contents of the “Evaluation Technical Report” and the CC/CEM are

confirmed, the Certification Body obtains approval from the Managing Director after discussion by the Certification Committee and issues a “Certificate (in Japanese)” (CCM-02-A Form 15-1, Form 15-2, or Form 15-3) to the applicant. If the applicant requests publishing of information on certified products, etc., the information on certified products is published on the website of the Certification Body.

For the reported items among certification applications that are approved in advance at the Certification Committee (for example: certification for Assurance Continuity), a discussion at the Certification Committee is not required, and those items are handled as the reported items for the certification result.

- (1) Operational Personnel conduct the procedure for holding the Certification Committee for discussing the certification applications based on an instruction from the Technical Manager. The procedure for drafting the notice of holding a Committee is conducted and the notice is provided in the name of the Committee chairperson of the Certification Committee after obtaining approval from the Managing Director.
- (2) Operational Personnel send the draft of the “Certification Report,” which will be discussed at the Certification Committee, by one week before the date on which the Committee is held.
- (3) The Technical Manager proposes the opinions of the applicant and Evaluation Facility in the “Certification Report” to be discussed at the Certification Committee, and the Committee chairperson summarizes the assessment of the Committee.
- (4) Operational Personnel provide the result of the discussion at the Certification Committee and obtain approval for issuing the “Certificate” and “Certification Report” from the Managing Director.
- (5) If granting certification is inappropriate, Operational Personnel provide a “Certification Report” indicating the reason why granting certification is inappropriate to the Certification Committee for consultation, conduct the procedure for drafting, obtain approval from the Managing Director and issue the “Certification Report” to the applicant.
- (6) Operational Personnel record the date on which the Certification Committee is held and the assessment result on the “Certification Administration Table.”
- (7) Operational Personnel record the certification number, in which a “four-digit serial number” is added to “C” for IT products for which granting certification is approved, on the “Certification Administration Table.”
Operational Personnel record the “Certification Identification,” in which the certification number is added to “JISEC” (Certification Body name), on the Certificate. Operational Personnel also record the “Certification Report Identifier” that consists of “JISEC” (Certification Body name), the evaluation criteria used, the report number, and the year of issue, on the Certification Report.
- (8) Operational Personnel issue the “Certificate” and “Certification Report” to the applicant.
- (9) Operational Personnel send the “Certificate,” etc., to the applicant by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the “Certificate,” etc., has been sent.
- (10) Operational Personnel publish information related to certified IT products (including summary

of the TOE or PP, applicant name (including contact information), name of Evaluation Facility), “Certificate,” “Certification Report” and the ST or PP on the website of the Certification Body.

- (11) Operational Personnel inform the applicant by e-mail or other means that the information has been published on the website of the Certification Body.

7. Handling of Assurance Continuity Procedure

Assurance Continuity is applied if maintenance of certification at the original Evaluation Assurance Level is approved for a subsequent version of certified IT products.

7.1 Preliminary Review to Assurance Continuity

- (1) The Certification Body shall promptly respond if the applicant requests preliminary review, etc., based on the “Impact Analysis Report” prior to submission of application for Assurance Continuity.
- (2) Operational Personnel receive the request for preliminary review for Assurance Continuity from the applicant, register the necessary items in the “Register of Preliminary Review for Assurance Continuity” and provide a “reception number of preliminary review.” The “reception number of preliminary review” is composed of the characters “Preliminary,” “the last digit of the year” and “a three-digit serial number.”
[Example of reception number]: Preliminary 1001
- (3) Operational Personnel inform the applicant of the reception number and reception date by e-mail or other means.
- (4) The Technical Manager appoints the personnel in charge of the preliminary review based on the records when the certified IT products were previously certified.
- (5) The appointed Certifiers question the applicant as needed and confirm the contents of the “Impact Analysis Report.” If there are insufficiencies or problems to be found in the “Impact Analysis Report,” the Certifiers request the applicant to add or correct contents of the “Impact Analysis Report.”
- (6) If Assurance Continuity is not approved, the Certifiers inform the applicant of the result and its reason. In such cases, the Certifiers may conduct surveillance for the certified products.
- (7) If Assurance Continuity is approved, the Certifiers inform the applicant that the application for Assurance Continuity can be submitted. In this case, the Certifiers request the applicant to send a new official version of the “Application for Assurance Continuity.”

7.2 Reception and Acceptance of Assurance Continuity

- (1) Operational Personnel conduct the procedure for accepting applications related to Assurance Continuity. Operational Personnel affix a “seal of receipt” when receiving application

documents. Operational Personnel confirm the following item when receiving the documents.

- (A) A set of documents prescribed in Section 9.2 of the “Guidance on Certification” has been prepared.
- (2) In the case that the submitted documents are found to be insufficient while confirming applications, Operational Personnel instruct the applicant to resubmit the necessary documents within a specified period of approximately one week. Until insufficiencies in application documents are solved, Operational Personnel do not affix a “seal of acceptance” or provide a reception number.
 - (3) Operational Personnel affix a “seal of acceptance” to the application documents after confirming the contents of the application documents and confirming that there is no insufficiency.
 - (4) Operational Personnel provide a reception number, which is composed of the characters “IT Maintenance,” “the last digit of the year” and “a three-digit serial number,” in the reception number column on the submitted “Application for Assurance Continuity.”
[Example of reception number]: IT Maintenance 7030
 - (5) Operational Personnel record the required items including the reception number, reception date, TOE name and applicant name on the “Certification Administration Table.”
 - (6) Operational Personnel create a document file on which the reception number, applicant name, and other details for each application are filled, and file the application documents in the file. Operational Personnel retain the document file in the specific cabinet.
 - (7) Operational Personnel inform the applicant of the reception number and reception date by e-mail or other means.

7.3 Conclusion of Non-Disclosure Agreement

The Certification Body shall conclude a Non-Disclosure Agreement for application for Assurance Continuity. However, a Non-Disclosure Agreement may not be concluded if a contract including Assurance Continuity has already been concluded in “5.3 Conclusion of Non-Disclosure Agreement.”

7.4 Application Fee

The Certification Body charges the application fee for application for Assurance Continuity to the applicant. The procedure for charging the application fee is the same as that described in Section “5.9 Application Fee.”

7.5 Conduct of Assurance Continuity Procedure

- (1) The Technical Manager conducts the procedures prescribed in Sections 6.1 (1), (2) and (3) as preparation for Assurance Continuity. However, if the same Certifier as the time of

certification will be in charge, the procedure described in Section 6.1 (2) can be omitted.

- (2) The Certifiers hold a kickoff meeting with the applicant as needed.
- (3) The Certifiers verifies that the version upgrade of certified products does not impact on security functions with the “Impact Analysis Report” submitted from the applicant and, in case there are changes to the development environment, the “Evaluation Technical Report,” submitted from the Evaluation Facility. The Certifiers may instruct the applicant to provide information required for verification of the “Impact Analysis Report” and to change the “Impact Analysis Report” by issuing a “Certification Oversight Review” as needed.
- (4) The Certifiers record the effective date of the “Impact Analysis Report” on which verification is completed on the “Certification Administration Table.”

7.6 Preparation of Assurance Continuity Maintenance Report

- (1) The Certifiers prepare a draft of the “Assurance Continuity Maintenance Report” based on the “Impact Analysis Report” and submit the report to the Technical Manager. If Assurance Continuity is not approved, “Failure” and its reason shall be described in the Certification Result column in the “Assurance Continuity Maintenance Report.”
- (2) The Certifiers present a draft of the “Assurance Continuity Maintenance Report” to the applicant and instruct the applicant to confirm its contents. In this case, the date on which the draft is presented is recorded on the “Certification Administration Table.”

If there are comments or responses regarding the contents of the “Assurance Continuity Maintenance Report,” the Certifiers subjectively judge those contents.

- (3) The Certifiers record the date of reply from the applicant on the “Certification Administration Table” as the confirmation date and prepare the “Assurance Continuity Maintenance Report” based on the contents of the table.

7.7 Approval of Assurance Continuity

- (1) Operational Personnel conduct the procedure for obtaining the approval of Assurance Continuity from the Managing Director in accordance with the instructions from the Technical Manager.
- (2) When the Managing Director makes a final decision, Operational Personnel record changes on the “Certificate” and issue the Certificate along with the “Assurance Continuity Maintenance Report.”
- (3) Operational Personnel record the date on which the Certificate for Assurance Continuity is issued on the “Certification Administration Table.”
- (4) Operational Personnel send the “Certificate,” etc., to the applicant by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the

“Certificate,” etc., has been sent.

- (5) If the certified product information is published, Operational Personnel shall publish the maintenance addendum regarding Assurance Continuity on the website of the Certification Body (Certified Products List).
- (6) Operational Personnel inform the applicant by e-mail or other means that the information is published on the website of the Certification Body.
- (7) Operational Personnel report the results of Assurance Continuity at the Certification Committee.

8. Suspension or Revocation of Certification

8.1 Surveillance

- (1) The Management System Manager discusses with the Technical Manager based on Section 10.1 (1) of the “Requirements for Certification” and conducts surveillance of an applicant of IT products to which certification is granted.
- (2) The Management System Manager discusses with the Technical Manager, appoints two or more personnel or Certifiers who conduct surveillance and appoints one personnel from among them as a team leader and instructs the personnel to conduct surveillance.
- (3) The team leader manages the surveillance by filling in the “Surveillance Management” sheet in the “Register of Preventive Actions, etc.”

A surveillance management number consisting of the characters “JISEC-,” the letter “S,” the year, and a three-digit serial number, is provided on the “Register of Surveillance Conducted.”

Example: JISEC-S2011001

- (4) The team leader prepares a “Notification of Surveillance Conducted” (refer to the template) which describes the purpose of surveillance, method, due date, person in charge, etc., and obtains approval from the Management System Manager.
- (5) The Management System Manager issues the “Notification of Surveillance Conducted,” which describes the contents of concerns to the applicant, and confirms the facts.
- (6) Operational Personnel record the date on which the “Notification of Surveillance Conducted” is issued in the Management Record column on the “Certification Administration Table.”
- (7) Operational Personnel send the “Notification of Surveillance Conducted” to the applicant by a method in which a record of the delivery is kept.
- (8) If the information on certified products that are target of surveillance is published on the website of the Certification Body, Operational Personnel disclose the fact that surveillance for certification is being conducted on the website of the Certification Body after confirming that the applicant has already received the notification.

- (9) The personnel or Certifiers appointed in (2) above promptly conduct surveillance for items noted in the reply to the “Notification of Surveillance Conducted” submitted from the applicant. The team leader compiles the results of surveillance in a “Report on Surveillance Results” (refer to the template) and reports the surveillance results to the Management System Manager.
- (10) The Management System Manager consults with the Technical Manager based on the contents of “Report on Surveillance Results” and decides whether or not the concerns are resolved, whether or not to request corrective actions, whether or not to conduct re-evaluation, and whether or not to revoke certification, and then describes the results on the “Report on Surveillance Results.”
- (11) The Management System Manager issues the “Report on Surveillance Results” to the applicant.
- (12) Operational Personnel record the date on which the “Report on Surveillance Results” is issued in the Management Record column on the “Certification Administration Table.”
- (13) Operational Personnel send the “Report on Surveillance Results” to the applicant by a method in which a record of the delivery is kept.
- (14) If the information on the certified products that are the target of surveillance is disclosed on the website of the Certification Body, Operational Personnel disclose the fact on the website of the Certification Body in accordance with Sections 8.2 and 8.3 after confirming that the applicant has already received the report.
- (15) If the suspension of the certification is released or the certification is revoked based on the results of surveillance, the personnel or Certifiers appointed in (2) above prepare a “Surveillance Report” indicating the contents of the surveillance.
- (16) The Management System Manager confirms the contents of the “Surveillance Report” and instructs the Operational Personnel to publish the contents of the report on the website of the Certification Body.

8.2 Re-evaluation and Corrective Actions

- (1) The Management System Manager consults with the Technical Manager based on the results of surveillance. If concerns related to evaluation results are not resolved, the Management System Manager requests re-evaluation. If there has been unauthorized use of the “Certificate” and “Certification Mark,” etc., or if Scheme documentation has been violated, the Management System Manager requests corrective actions.
- (2) The Management System Manager prepares a “Report on Surveillance Results” indicating the reason for re-evaluation or corrective actions and a due date. In this case, the Management System Manager informs the applicant that the IT product with the statement indicating that the product is certified cannot be supplied until re-evaluation or corrective actions are completed.
- (3) If the certified product information is published on the website of the Certification Body,

Operational Personnel publish the information on suspension of certification on the website of the Certification Body.

- (4) If the Management System Manager receives the report of re-evaluation or corrective actions conducted by the applicant and Evaluation Facility and decides that certification can be maintained based on the contents of the report, the Management System Manager informs the applicant in writing of the release of suspension.
- (5) If the information on suspension of the certified product is published on the website of the Certification Body, Operational Personnel promptly publish the information on release of suspension on the website of the Certification Body.
- (6) If the Management System Manager decides that certification cannot be maintained as a result of re-evaluation or if there is no improvement with corrective actions, certification is revoked in accordance with Section 8.3.

8.3 Revocation

- (1) The Management System Manager instructs Operational Personnel to conduct the procedure for revocation of certification if any of the conditions described in Sections 10.3 (1), (2), and (3) in the “Requirements for Certification” apply.
 - (A)
- (2) The Managing Director shall hear opinions from the applicant when revoking certification as described in Section 10.3 of the “Requirements for Certification.” If certification is revoked, the Management System Manager conducts the procedure for drafting based on the advices of the Certification Committee after obtaining approval from the Managing Director, informs the applicant in writing of the prohibition of the use of documents related to the certification issued by the Certification Body or the revocation of certification, and collects the “Certificate,” etc., related to the revocation.
- (3) If the certified product information is published on the website of the Certification Body, Operational Personnel publish the information on revocation of certification on the website of the Certification Body.
- (4) Operational Personnel record the date on which the “Certificate” is collected in the Management Record column on the “Certification Administration Table” and then affix the “VOID” seal to the “Certificate,” etc.

9. Handling of Various Procedures after Obtaining Certification

9.1 Issuance of English Version of Certificate

- (1) Operational Personnel conduct the procedure for drafting if the applicant submits an

“Application for Issuing English Version of Certificate” (CCM-02-A Form 10), and then conduct the procedure for issuing the “English Version of Certificate” (CCM-02-A Form 16-1, Form 16-2, or Form 16-3) after obtaining approval from the Managing Director.

- (2) Operational Personnel inform the applicant by e-mail or other means that the “Application for Issuing English Version of Certificate” has been accepted.
- (3) Operational Personnel conduct the procedure for issuing the document with the signature of the chairman of IPA.
- (4) Operational Personnel record acceptance of the “Application for Issuing English Version of Certificate” in the Management Record column on the “Certification Administration Table” and “Register of Reception of Reissuing English Version of Certificate.”
- (5) Operational Personnel send the “English Version of Certificate,” etc., to the applicant by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the “English Version of Certificate” has been sent.
- (6) Operational Personnel inform the applicant by e-mail or other means that the information is published on the website of the Certification Body if the certified product information is published.
- (7) The Certification Body charges the application fee to the applicant. The procedure for charging the application fee is the same as that described in “5.9 Application Fee.”

9.2 Changing Records in Certificate, etc.

- (1) If Operational Personnel receive a “Request for Changing Record in Certificate, etc.” (CCM-02-A Form 8) from the applicant, Operational Personnel conduct the procedure for changing records in the “Certificate,” “Certification Report,” and “English Version of Certificate” (hereinafter collectively called “the corresponding documents”) after confirming the contents of the document proving the fact.
- (2) Operational Personnel inform the applicant by e-mail or other means that the “Request for Changing Record in Certificate, etc.” has been accepted.
- (3) The Certification Body conducts “8.1 Surveillance” as needed.
- (4) Operational Personnel record acceptance of the “Request for Changing Record in Certificate, etc.” in the Management Record column on the “Certification Administration Table” and “Register of Request for Changing Record in Certificate, etc., and Request for Reissuing Certificate, etc.”
- (5) If the certified product information is published, Operational Personnel change the record on the website of the Certification Body (Certified Products List) and inform the applicant by e-mail or other means that the record on the website of the Certification Body has been changed.

However, the corresponding documents are changed only when an application for reissuance of Certificate, etc., is accepted, so the corresponding documents are not replaced at this point.

9.3 Reissuance of Certificate, etc.

- (1) If Operational Personnel receive a “Request for Reissuing Certificate, etc.” (CCM-02-A Form 9) submitted by the applicant, Operational Personnel conduct the procedure for reissuing the document after confirming the reason for reissuing.
- (2) Operational Personnel record the acceptance of the “Request for Reissuing Certificate, etc.” in the Management Record column on the “Certification Administration Table” and “Register of Request for Changing Record in Certificate, etc., and Request for Reissuing Certificate, etc.”
- (3) Operational Personnel inform the applicant by e-mail or other means that the “Request for Reissuing Certificate, etc.” has been accepted.
- (4) Operational Personnel conduct the procedure for drafting, obtain approval from the Managing Director, and then conduct the procedure for reissuing the document in the name of the IPA Chairman.

In addition, if the corresponding documents are issued, the history of changes will be written on the back of the form in the case of the “Certificate,” along with the reissue date and the issue date before change of the corresponding documents.

For the English Version of Certificate, the history of changes should be written in English.

- (5) Operational Personnel send the “Certificate,” etc., to the applicant by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the “Certificate,” etc., has been sent.
- (6) The Certification Body charges the application fee to the applicant. The procedure for charging the application fee is the same as that described in “5.9 Application Fee.”
- (7) In the case that Operational Personnel determine the applicant’s request for reissuance is not appropriate, the Certification Body conducts the procedure for drafting and informs the applicant of the reason in the name of the IPA Chairman based on the decision of the Managing Director.

9.4 Publication of English Version of Certification Report and English Version of ST

- (1) If Operational Personnel receive a “Request for Publication of English Version of Certification Report and ST” (CCM-02-A Form 18) submitted from an applicant whose certified product information is published on the website of the Certification Body (English version of Certified Products List), Operational Personnel confirm that the person in charge of the application submitted the request, and confirm the contents of the request and attached documents (corresponding part of English version of ST and English version of Certification Report, etc.).
If the person who submitted the request is not the person in charge of the application,

Operational Personnel confirm whether or not the applicant is an authorized applicant by telephone or other means.

- (2) Operational Personnel record acceptance of the “Request for Publication of English Version of Certification Report and ST” on the “Register of Publication of English Version of Certification Report, etc.”
- (3) Operational Personnel inform the applicant by e-mail or other means that the “Request for Publication of English Version of Certification Report and ST” has been accepted.
- (4) Certifiers complete the English version of the Certification Report.
If problems, etc., are found in the translation of the English version of the ST, Certifiers report the problems and request resubmission of the ST.
- (5) Operational Personnel publish the English version of the Certification Report and the English version of the ST on the website of the Certification Body and record the publication date on the Administration Table.
- (6) Operational Personnel inform the applicant by e-mail or other means that the information is published on the website of the Certification Body.
- (7) Operational Personnel request publication on the website of the CC Portal operated by the CCRA and record the request date on the Administration Table.
- (8) Operational Personnel confirm that the information is published on the website of the CC Portal and record the confirmation date on the Administration Table.
- (9) Operational Personnel inform the applicant by e-mail or other means that the information is published on the website of CC Portal.

9.5 Notification of Production and Discontinuance of Certified Products

- (1) If Operational Personnel receive a “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” (CCM-02-A Form 19) submitted by the applicant, Operational Personnel confirm that the person who submitted the notification is the person in charge of the application and then confirm the contents of the report.
If the person who submitted the notification is not the person in charge of the application, Operational Personnel confirm whether or not the applicant is an authorized applicant by telephone or other means.
- (2) Operational Personnel record the acceptance of the “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” in the Management Record column on the “Certification Administration Table” and “Register of Discontinuance of Certified Products.”
- (3) Operational Personnel inform the applicant by e-mail or other means that the “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” has been accepted.
- (4) If the certified product information is published, Operational Personnel promptly remove the

product information informed by the applicant from the “Certified Products List” on the website of the Certification Body and archived it to the “Archived Certified Products List” on the date of discontinuance or on the reception date of the report was received.

- (5) Operational Personnel inform the applicant by e-mail or other means that the record on the website of the Certification Body has been changed.

9.6 Request for Changing Records Published on Website

- (1) If Operational Personnel receive a “Request for Changing Record in Certified Product List” (CCM-02-A Form 17) submitted from an applicant whose certified product information is published on the website of the Certification Body (Certified Products List) for changing contact information, Operational Personnel confirm that the person in charge of the application submitted the request and confirm the contents of the changes.

If the person who submitted the request for changing the record is not the person in charge of the application, Operational Personnel confirm whether or not the applicant is an authorized applicant by telephone or other means.

- (2) Operational Personnel record the acceptance date of the “Request for Changing Record in Certified Product List” in the “Register of Request for Changing Record in Certified Product List.”
- (3) Operational Personnel inform the applicant by e-mail or other means that the “Request for Changing Record in Certified Product List” has been accepted.
- (4) Operational Personnel change the record on the website of the Certification Body in accordance with the request for changing the record.
- (5) Operational Personnel inform the applicant by e-mail or other means that the record on the website of the Certification Body has been changed.

10. Succession of Certification

- (1) In the case that an applicant transfers the entire business related to IT security certification to another corporation, or in the case there is a merger with another corporation, the corporation that succeeds to the business or the merging corporation succeeds the status of the applicant. In this case, the applicant is requested to conduct the procedure for succession described in Section 9.2 and to attach documents proving the fact (including a document proving the corporate status) to the “Request for Changing Record in Certificate, etc.” (CCM-02-A Form 8).
- (2) Operational Personnel inform the applicant by e-mail or other means that the “Request for Changing Record in Certificate, etc.,” and other documents have been accepted.
- (3) In the case that the fact and validity of the succession have been confirmed, Operational

Personnel conduct the procedure for changing the records as described in Section 9.2. If there is a necessity to change contact information on the website of the Certification Body (Certified Products List), Operational Personnel instruct the applicant to submit a “Request for Changing Record in Certified Product List” (CCM-02-A Form 17).

11. Record of Complaints Regarding Applicant

- (1) If the Certification Body receives complaints or information regarding certified products, etc., or decides that taking action is necessary, the Certification Body instructs the applicant to submit the record of complaints regarding certification and actions for complaints.
- (2) The applicant shall submit the record to the Certification Body. If the applicant cannot submit the record for some reason, the Certification Body personnel can view the record at a place specified by the applicant.

12. Preparation and Publication of Standards and Guidance, etc.

12.1 Preparation and Change of Standards for Certification

The Certification Body follows the procedure described below when changing the CC/CEM listed in Appendix A of the “Scheme Document.”

The Certification Body separately publishes valid standard versions of the CC/CEM to the website, etc., of the Certification Body.

- (1) When changing the CC/CEM related to certification, both the former CC/CEM and the new CC/CEM are made to coexist. The Certification Body holds the Technical Committee to discuss the new CC/CEM, and obtains a report for the Managing Director.

The Evaluation Standards established by the CCRA, ISO and other organizations are reported to the Technical Committee, while the Evaluation Standards established by this Scheme (for example, the Japanese translation version) become the target of discussion.

- (2) If revision of Appendix A of the “Scheme Document” is required, the revision of Appendix A is reported to the Management Committee.

In addition, the revised “Scheme Document” is published.

- (3) When changing the CC/CEM, the new version and old version are made to coexist for at least six months.

12.2 Preparation and Publication of Guidance, etc.

The Certification Body follows the following procedure when publishing information related to operation of this Scheme and the CC/CEM in the form of Guidance, etc.

- (1) In the event that it becomes necessary to establish Guidance, the Technical Manager personally

prepares a draft or appoints Certifiers in charge of preparation of the draft. After being appointed, Certifiers prepare the original draft.

- (2) The Technical Manager confirms the contents and instructs Operational Personnel to publish the information on the website of the Certification Body and other means.

13. Internal Audit

- (1) The Internal Audit Department of IPA (hereinafter referred to as “the Internal Audit Department”) conducts an internal audit to verify whether or not the services of the Certification Body continuously conform to the “Operational Manual” and other Scheme documentation.
- (2) In general, periodic internal audits are held once per year. However, if the Management System Manager decides that an internal audit is necessary, the Internal Audit Department can be requested to conduct an extra internal audit.
- (3) The Management System Manager is responsible for internal audits to the Certification Body and for ensuring that corrective actions are conducted based on internal audits.

13.1 Conduct of Internal Audit

The Management System Manager requests the Internal Audit Department to conduct an internal audit based on the “Operational Manual.”

13.2 Results of Internal Audit

- (1) If problems are pointed out in an internal audit, the Management System Manager conducts “16. Management of Non-conformity” and “17. Corrective Actions.”
- (2) If corrective actions related to the problems pointed out are completed, the Management System Manager reports the completion of the actions to the Managing Director using a “Report on Post-Internal Audit Corrective Actions” (Form 3).
- (3) If the details of the effect of the actions need to be discussed in consideration of the contents of corrective actions, the Management System Manager can request the Internal Audit Department to conduct an extra internal audit.

14. Management Review

The Managing Director conducts a management review to review certification services and requests the Management System Manager and Technical Manager to participate in the management review.

In addition, the Managing Director is entitled to request other relevant parties to participate in the management review as needed.

14.1 Conduct of Management Review

- (1) In principle, the Managing Director conducts a management review once per year in June.
If the Managing Director decides that a management review needs to be held, a management review can be held at any time.
- (2) The Management System Manager and Technical Manager report the following items to the Managing Director.
 - (A) Reports on certification services and financial statement
 - (B) Report on conduct of internal audit
 - (C) Report on corrective actions and preventive actions
 - (D) Report regarding complaints, etc.
 - (E) Reports on conduct of education and training programs and assessments of certification services for Certifiers
 - (F) Progress of revision of applicable security requirements, etc.
 - (G) Validity of current human resources and equipment/facility resources
 - (H) Other items required for securing the management system

14.2 Results of Management Review

- (1) The Managing Director, based on the result of management review, requests the Management System Manager to conduct “17. Corrective Actions” including a review of the quality policy, revision of the “Operation Manual” and other Scheme documentation as needed.
- (2) The Managing Director confirms the effectiveness of corrective actions after completing the corrective actions.
- (3) The Management System Manager records the result of the conduct of a management review in the “Management Review Records” (Form 4) and manages the document.

15. Preventive Actions

- (1) The Management System Manager identifies opportunities for necessary improvements and underlying causes of non-conformity in consideration of the technical aspects and management system, so the Management System Manager requests that the Certification Body personnel investigate the internal audit record, the record related to certification, and relevant quality records at least once per year.
- (2) A staff member who finds an underlying cause of non-conformity shall promptly report the cause to the Management System Manager.
- (3) The staff member who reported fills in and manages the “Preventive Actions” sheet in the “Register of Preventive Actions, etc.” A preventive action management number, consisting of the characters “JISEC-” and the letter “Y,” the year and a three-digit serial number, is provided

on the “Report on Preventive Actions” (Form 5).

Example: JISEC-Y2007001

15.1 Conduct of Preventive Actions

The Management System Manager identifies underlying causes, establishes preventive actions for items that require preventive actions, prescribes the term for the actions, and instructs the appropriate personnel in charge of the service to conduct preventive actions.

15.2 Results of Preventive Actions

- (1) The personnel who conduct preventive actions report the results of the preventive actions to the Management System Manager using a “Report on Preventive Actions” (Form 5).
- (2) The Management System Manager confirms the effects of the preventive actions with the “Report on Preventive Actions.”
- (3) The Management System Manager reports the result of the preventive actions for management review as needed.

16. Management of Non-conformity

Non-conformity items of Evaluation Facilities as well as non-conformity items of the Certification Body are targets of management.

- (1) The responsible manager for managing non-conformity shall be the Management System Manager.
- (2) A staff member who detected non-conformity shall promptly report it to the Management System Manager.
- (3) The staff member who reported fills in and manages the “Non-conformity Handling” sheet in the “Register of Preventive Actions, etc.” A non-conformity handling management number consisting of the characters “JISEC-” and the letter “F,” the year and a three-digit serial number is provided as the management number for non-conformity handling.

Example: JISEC-F2011001

- (4) The Management System Manager consults with the Technical Manager, specifies a responsible person for handling non-conformity after consulting with relevant departments as needed, evaluates the severity of the non-conformity, and confirms and conducts the following actions.
 - (A) Suspension of non-conforming services
 - (B) Decision on the possibility for allowing the non-conformity
 - (C) Correction of non-conforming items
 - (D) Collection of results in the past
 - (E) Resumption of services

(5) The responsible person for handling non-conformity reports the results of preventive actions to the Management System Manager using a “Report on Non-conformity Handling” (Form 6).

(6) Handling non-conformity of Evaluation Facilities

The responsible person for handling non-conformity prescribes a period for the person responsible for evaluation in the Evaluation Facility and requests corrective actions for non-conforming items. For the procedure, see Chapter 17.

17. Corrective Actions

(1) If the possibility of recurrence of non-conformity or concerns regarding conformance of operations for the quality policies and procedures of the Certification Body are pointed out, the Management System Manager instructs the causing department in the Certification Body or the causing source outside the Certification Body to request investigation of the cause and receives a report.

(2) After receiving a report, the “Corrective Actions” sheet shall be filled in the “Register of Preventive Actions, etc.” and managed.

A corrective action management number consisting of the characters “JISEC-” and the letter “Z,” the year and a three-digit serial number is provided on the “Report on Corrective Actions” (Form 7).

Example: JISEC-Z2007001

17.1 Conduct of Corrective Actions

(1) The Management System Manager identifies causes of non-conformity or complaints and establishes measures for corrective actions for items that are determined to require corrective actions as a result of an investigation of the cause of non-conformity or complaints and instructs the responsible person in the causing department to conduct corrective actions.

(2) Corrective actions include the following items in the required range:

(A) Elimination of cause

(B) Actions for preventing recurrence

(C) Retrospective actions

(3) Changes to documents may be required if documents need to be changed for actions for preventing recurrence.

17.2 Report, Confirmation and Record of Corrective Actions

(1) The responsible person in the causing department reports the results of corrective actions to the Management System Manager using a “Report on Corrective Actions” (Form 7) after conducting corrective actions.

- (2) The Management System Manager confirms the validity of the corrective actions using the “Report on Corrective Actions.”
- (3) The Management System Manager retains the “Report on Corrective Actions.”
- (4) The Management System Manager monitors the results to confirm that the corrective actions are effective for solving the problem after conducting the corrective actions.
- (5) The Management System Manager reports the results of the corrective actions for management review as needed.

18. Handling of Appeals, Complaints or Disputes

18.1 Reception of Appeals, Complaints or Disputes

- (1) Personnel who receive appeals, complaints or disputes submitted to the Certification Body report the contents to the Management System Manager using a “Report on Received Complaint and its Handling” (Form 8).
- (2) When the Management System Manager receives an appeal, complaint or dispute, the Management System Manager appoints a person in charge of handling the complaint.
- (3) The Managing Director, Management System Manager and Technical Manager hold a meeting and discuss handling as needed.
- (4) A complaint reception management number consisting of the characters “JISEC-” and the letter “U,” the year and a three-digit serial number is provided on the “Report on Received Complaint and its Handling.”

Example: JISEC-U2007001

18.2 Conduct of Handling of Appeals, Complaints or Disputes

The person in charge of handling the complaint closely investigates the appeal, complaint or dispute, studies and records causes and all facts, and then handles the appeal, complaint or dispute as follows.

- (1) If the contents of the appeal are appropriate and the Certification Body is the cause of the appeal, the person in charge of handling the complaint indicates corrective actions for the appeal, complaint or dispute, including removal of the cause, and instructs the causing department to handle the appeal, complaint or dispute.
- (2) If the contents of the appeal are appropriate and the Certification Body is not the cause of the appeal, the person in charge of handling complaints instructs the causing party to take corrective actions, remove the cause and handle the appeal, complaint or dispute.
 - (A) If an appeal, complaint or dispute relates to the misuse of documents relevant to certification or the Certification Mark issued by the Certification Body, etc., the Certification Body is entitled to instruct the applicant related to the appeal, complaint or

dispute to correct the issue and suspend or revoke the certification as needed. Legal action is taken as needed.

- (B) If an appeal, complaint or dispute relates to the services of an Evaluation Facility that do not conform to the “Requirements for Approval of IT Security Evaluation Facility (CCM-03),” the Certification Body is entitled to instruct the Evaluation Facility to correct the issue and suspend or revoke the certification as needed.

In addition, the Certification Body takes legal action as needed.

- (3) If the contents of a complaint are groundless, the Certification Body informs the complainant of the effect in writing.

18.3 Report of Results of Handling of Appeals, Complaints or Disputes

- (1) The person in charge of handling a complaint, etc., reports the results of handling of an appeal, complaint or dispute to the Management System Manager using a “Report on Received Complaint and its Handling” (Form 8).
- (2) The Certification Body informs the complainant of the investigation result and the result of handling the appeal, complaint or dispute in writing.

19. Document Management Responsibility Structure

- (1) For the person responsible for the establishment, revision and abolition of documents listed in “Documentation Related to this Scheme” in the “Scheme Document” (“Management System Documents”), the Chief Executive Officer serves as the person responsible for the “Scheme Document” and “Operational Manual,” and the Managing Director serves as the person responsible for other rules and procedures, etc.
- (2) The Managing Director issues and approves Management System Documents.
- (3) The Management System Manager bears ultimate responsibility for managing Management System Documents and external documents.
- (4) The Management System Manager always maintains the latest documents listed in (1) and allows personnel who engage in the operation of this Scheme to use these documents as needed.
- (5) The Management System Manager bears ultimate responsibility for managing applications, records and reports, etc.

20. Classification, Management Numbers, Identification Numbers and Forms of Management System Documents

- (1) The document system is classified as follows:
 - (A) Scheme Document and Operational Manuals
 - (B) Procedures, etc.

- (2) An identification number consisting of “(three English letters) - (two numerals) {- (one or two English letters)}” is affixed to Management System Documents.
Letters in braces ({ }) indicate guidance and procedures, etc.
- (3) The identification numbers of Management System Documents conform to “2.1 Documentation Related to this Scheme” in the “Scheme Document.”
- (4) Version management of Management System Documents is conducted by year and month.
- (5) Revision history management is conducted for Management System Documents.

21. Procedure for Establishment and Revision of Management System Documents

The procedure for establishment or revision of Management System Documents is as follows.

21.1 Appointment of person in charge

The Management System Manager appoints a person in charge of documents.

21.2 Preparation of drafts of Management System Documents

The appointed person in charge of documents prepares drafts of Management System Documents to be established or revised (hereinafter referred to as “the drafts”).

21.3 Discussion at Management Committee

In principle, the appointed person in charge of documents discusses the “Scheme Document” and “Operational Manual” and obtains advice from the Management Committee.

21.4 Decision and Enforcement

The Managing Director enforces the approved document after obtaining the approval of the Management System Documents from the person in charge of establishment, revision and abolition.

21.5 Management of the Latest Version of Documents

- (1) The person in charge of documents records the establishment or revision of documents in the “Register of Management System Documents” (Form 10) and maintains the register.
- (2) Management System Documents are published on the website of the Certification Body unless these documents are undisclosed, and the published Management System Documents on the website are promptly updated if Management System Documents are revised.
- (3) Previous versions shall be stored in electronic media. In this case, the previous versions shall be stored for five years.
- (4) In principle, the person in charge of documents is entitled to prescribe an appropriate period for

certification services in advance prior to the date on which the period for storing a document expires if extension of the storage period is decided to be necessary for conducting certification services, and to extend the storage period. In this case, the same procedure is conducted when further extending the storage period.

- (5) When extending the storage period based on the previous Section, the person in charge of documents registers the extension in the “Register of Storing/Extending Management System Documents” (Form 17) and obtains approval from the Management System Manager.
- (6) If the person in charge of documents requests to discard documents prior to the date on which the storage period expires for special reasons, the person in charge of documents can record the request on the “Register of Storing/Extending Management System Documents” (Form 17) and discard the documents.

21.6 Published Documents

The person in charge of documents publishes public documents on the website of the Certification Body.

22. Abolition of Management System Documents

- (1) The abolition of Management System Documents is decided with approval from the person in charge of establishment, revision and abolition.
- (2) In principle, the person in charge of documentation discusses the “Scheme Document” and “Operational Manual” at the Management Committee and obtains approval from the Operational Committee prior to obtaining approval from the person in charge of establishment, revision and abolition. The person in charge conducts the procedure for abolition after obtaining advice.
- (3) The documents to be abolished shall be stored in electronic media. In this case, the previous versions shall be stored for five years.

23. Management of External Documents

- (1) The latest version of external documents listed in the “Appendix” is always maintained. These documents are organized as external document files.
- (2) If the external document is paper media, the Management System Manager prescribes the necessary number of copies and secures them. However, unless otherwise prescribed, one copy shall be secured.
- (3) If the version of an external document is revised, the Management System Manager stores the previous version in electronic media. However, if the external document is in paper media, the external document shall be stored in such a manner that “Previous version” is displayed in red

on the front cover. The previous versions shall be stored for five years.

- (4) In principle, the person in charge of documents is entitled to prescribe an appropriate period for certification services in advance prior to the date on which the period for storing a document expires if extension of the storage period is decided to be necessary for conducting certification services, and to extend the storage period. In this case, the same procedure shall be conducted when further extending the storage period.

24. Management of Application Documents, Records, Reports, etc.

- (1) The application documents, records, reports, etc., prescribed in Management System Documents shall be stored.
- (2) In principle, application documents, records and reports without electronic media are filed and stored in units of applications unless there are special provisions on Management System Documents. In this case, the storage period of documents is five years from the issue date of the “Certificate,” etc., unless there are special provisions in the Management System Documents or special agreements with the applicant.
- (3) In principle, the person in charge of documents is entitled to prescribe an appropriate period for certification services in advance prior to the date on which the period for storing a document expires if extension of the storage period is decided to be necessary for conducting certification services, and to extend the storage period. In this case, the same procedure is conducted when further extending the storage period.
- (4) When extending the storage period based on the previous Section, the person in charge of documents registers the extension in the “Register of Storing/Extending Management System Documents” (Form 17) and obtains approval from the Management System Manager.
- (5) If the person in charge of document requests to discard documents prior to the date on which the storage period expires for special reasons, the person in charge of documents can register the request to discard documents in the “Register of Storing/Extending Management System Documents” (Form 17) and discard the documents.

25. Viewing of Management System Documents, Records, Reports, etc.

- (1) When receiving an external request for viewing Management System Documents, applications, records and reports, etc., the Certification Body works as the point of contact and responds to the request.
- (2) If the Certification Body receives the request for viewing documents prescribed in (1), the Certification Body responds to the request. However, confidential information of an applicant or information that is decided to be relevant to privacy of an applicant is not disclosed.

26. Confidential Materials

In principle, documents that the Certification Body receives from applicants (including developers (the same applies hereafter)) and Evaluation Facilities are treated as confidential materials. However, the following documents are not treated as confidential materials:

- a) Information that is already open to the public at the time of disclosure by the applicant or Evaluation Facility.
- b) Information that becomes open to the public after disclosure by the applicant or Evaluation Facility without any intention or negligence by the Certification Body
- c) Information already possessed by the Certification Body prior to the disclosure, or information that was rightfully received by the Certification Body from a third party without obligation of a non-disclosure agreement.
- d) Information whose disclosure has been consented to by the applicant or Evaluation Facility in writing.

26.1 Types of Confidential Materials

26.1.1 Strictly Confidential Materials

Materials for which the applicant or Evaluation Facility explicitly indicates or requests prohibition of copying from among materials obtained from the applicant or Evaluation Facility (example: evaluation deliverables, supplementary materials, etc.) and their translations.

26.1.2 Semi-confidential Materials

(1) Semi-confidential A materials

Materials that are obtained from the applicant or Evaluation Facility and their translations except for strictly confidential materials (example: documents that are related to Application for Certification, evaluation deliverables and supplementary materials, the “Evaluation Report” and “Observation Report” and for which explicit indication of prohibition of copying is not provided or request for disclosure is not made).

(2) Semi-confidential C materials

Documents that were prepared by the Certification Body using strictly confidential materials and semi-confidential materials A as information sources (example: the “Certification Report,” “Certification Oversight Review,” etc.).

26.1.3 Classification of Confidential Materials and Treatment of these Materials

The classification of confidential materials and treatment of these materials are described in the following table.

Classification of confidential materials	Display format	Treatment
Strictly confidential materials	Strictly confidential	Copying prohibited
Semi-confidential materials	Confidential A	Copying is permitted (first copy only).
	Confidential C	Copying is permitted.

Note: The expression “Semi-confidential B materials” was used by the National Institute of Technology and Evaluation, which was the Certification Body as of March 2004, but the current Certification Body uses the expression “Semi-confidential C materials” in consideration of continuance of past services.

26.2 Relevant Parties of Confidential Materials

- (1) Those who can refer to confidential materials include the following personnel who have submitted “The Statement of Ethics” (CCM-01-C Form 9) to Operational Personnel.
For people other than relevant parties of certification services, the Manager of the department submits an “Application for Acceptance of Viewing Confidential Materials for Certification Services” (CCM-01-C Form 14) to Operational Personnel, indicating the reason why viewing confidential materials is necessary after obtaining approval from the Management System Manager.
 - a) Chief Executive Officer, Managing Manager, Management System Manager, Technical Manager, Certifiers, and Certification Body personnel
 - b) People other than a) who are permitted by the Management System Manager to view confidential materials for conducting certification services
- (2) Operational Personnel inform the registrant of approval of viewing after confirming that there is no insufficiency in the contents of submitted documents.

26.3 Confidential Materials Management Method

- (1) Confidential materials are managed with the following forms for each application.
 - “Register of Strictly Confidential Materials”: Form 11
 - “Register of Semi-confidential A Materials”: Form 12
 - “Register of Semi-confidential C Materials”: Form 13
 - “Register of Taking-out of Confidential Materials”: Form 14
- (2) Confidential materials are managed with the following “stamp for confidential materials” and

“stamp indicating original material or a copy.”

- Stamp for confidential materials: Strictly confidential materials, Confidential A,
Confidential C

- Stamp indicating original material or a copy: Original material, Copy

26.4 Management of Confidential Materials

Certifiers manage confidential materials.

26.5 Treatment and Retaining when Obtaining and Creating Confidential Materials

26.5.1 Strictly Confidential Materials and Semi-confidential A Materials

- (1) When obtaining “strictly confidential materials” and “semi-confidential A materials,” the receipt of confidential materials is reported to the source by e-mail or other means.
- (2) The materials obtained shall be registered in the “Register of Strictly Confidential Materials” and the “Register of Semi-confidential A Materials.”
- (3) When a document is obtained with electronic data, the electronic data shall be retained in a dedicated folder on a server within the Certification Body to which access rights are limited. Use of the electronic data of the document is limited to local PCs.
- (4) In the case of paper media, the “stamp for confidential materials” (Strictly confidential materials, Confidential A) and “stamp indicating original material or a copy” (Original material, Copy) is affixed to the front page.
- (5) “Strictly confidential materials” and “semi-confidential A materials” are retained in a cabinet.

26.5.2 Semi-confidential C Materials

- (1) When “semi-confidential C materials” are prepared, the materials are registered in the “Register of Semi-confidential C Materials.”
- (2) When paper media is output, the “stamp for confidential materials” (Confidential C) is affixed to the front page.
The “stamp indicating original material or a copy” is omitted.
- (3) When a document is prepared with electronic data, the electronic data shall be retained in a dedicated folder on a server within IPA to which access rights are limited.
Use of the electronic data of the document is limited to local PCs.

26.6 Disclosure of Confidential Materials

- (1) Confidential materials are not disclosed to persons other than relevant parties of confidential materials.

- (2) An ST registered in the “Certified Products List” and “Certification Report,” etc., will not be treated as confidential materials at the time when these documents are published.

26.7 Taking-out of Confidential Materials

- (1) Taking out “strictly confidential materials” outside the Certification Body is prohibited. However, if taking out “strictly confidential materials” is necessary for certification services, these materials can be taken to facilities permitted by the applicant. In this case, necessary items for the taking-out of the materials are recorded in the “Register of Strictly Confidential Materials.”
- (2) Unless the applicant indicates the prohibition of taking-out of “semi-confidential materials,” “semi-confidential materials” can be taken out of the facilities related to IT Security certification services (the area in the IT Security Technology Evaluation Department Office inside IPA, excluding an “evaluation tool room” which hereinafter referred to as the “facilities related to certification services.”). In this case, the taking-out of the materials is recorded in the “Register of Strictly Confidential Materials.”
- (3) As an exception, confidential materials can be taken out to a specific contractor for translating the confidential materials. In this case, an agreement including a non-disclosure clause is concluded with the translation agency in advance, and the confidential materials are securely collected upon completion of the work.

26.8 Returning and Deletion of Confidential Materials

- (1) Confidential materials in paper media are promptly returned to the cabinet after these materials are used.
- (2) Confidential materials that are copied on a local PC outside the dedicated folder on the server, to which access rights are limited, are promptly deleted upon completion of the services.
- (3) When “strictly confidential materials” and “semi-confidential A materials” are returned to the source upon completion of certification services, the return date is filled in the “Register of Strictly Confidential Materials” and “Register of Semi-confidential A Materials.” Confidential materials are returned by a method in which a record of the delivery is kept, and a notification of confirming the receipt of the returned confidential materials shall be received by e-mail or other means from the source.
- (4) If confidential materials are no longer in use, a deletion date is filled in the “Register of Confidential Materials” when these materials become obsolete, and paper media are disposed of by using a shredder and the contents of electronic data are deleted.

26.9 Copying Confidential Materials

- (1) “Strictly confidential materials” cannot be copied. However, copying “strictly confidential materials” is possible if an approval from the applicant is obtained in advance.

Note that the treatment of a reproduced item conforms to the treatment of “strictly confidential materials.”

- (2) For semi-confidential A materials, only a first copy of the original is permitted and secondary copying is prohibited.

26.10. Other

When exchanging information related to confidential materials by e-mail, the e-mail shall be encrypted. However, this does not apply if an agreement indicating that encryption is unnecessary is concluded with the other party exchanging information.

27. Entry Management

- (1) An entry management device (biometric authentication device) shall be installed on the door to enter the facilities related to certification services, so as to allow only personnel who are permitted to enter the facilities.
- (2) The Management System Manager appoints a Personal Authentication Device Manager and instructs the Manager to manage the aforementioned entry management device (biometric authentication device).
- (3) The procedure to enter the facilities related to certification services is separately prescribed.

Supplementary provisions (April 3, 2012 Jo-Se No. 508 of 2011, Full revision)

This Operating Procedure shall come into effect as of March 29, 2012.

Supplementary provisions (May 29, 2015 Jo-Se No. 95 of 2015, Partial revision)

This Operating Procedure shall come into effect as of June 1, 2015.

Supplementary provisions (March 31, 2016 Jo-Se No. 630 of 2015, Partial revision)

This Operating Procedure shall come into effect as of April 1, 2016.

Supplementary provisions (September 24, 2016 Jo-Se No. 282 of 2016, Partial revision)

This Operating Procedure shall come into effect as of October 5, 2016.

Supplementary provisions (April 11, 2017 Jo-Se No. 11 of 2017, Partial revision)

This Operating Procedure shall come into effect as of April 11, 2017.

Supplementary provisions (June 28, 2018 Jo-Se No. 235 of 2018, Partial revision)
This Operating Procedure shall come into effect as of July 1, 2018.

Supplementary provisions (September 4, 2018 Jo-Se-Gi No. 57 of 2018, Partial revision)
This Operating Procedure shall come into effect as of September 10, 2018.

Supplementary provisions (October 7, 2020 Jo-So No. 1030 of 2020, Partial revision)
This Operational Manual shall come into effect as of October 15, 2020.

Appendix

List of external documents to be managed

Type of Document	Standard number	Issue year	Document name
CCRA	From CCMB-2017-04 -001 to CCMB-2017-04 -003	2017	Common Criteria for Information Technology Security Evaluation Part 1: Introduction and general model Part 2: Security functional components Part 3: Security assurance components
CCRA	CCMB-2017-04 -004	2017	Common Methodology for Information Technology Security Evaluation Evaluation methodology
ISO	ISO/IEC 17025	2017	General requirements for the competence of testing and calibration laboratories
JIS	JIS Q 17025	2018	General requirements for the competence of testing and calibration laboratories (Japanese version)
ISO	ISO/IEC 17065	2012	Conformity assessment - Requirements for bodies certifying products, process and services
JIS	JIS Q 17065	2012	Conformity assessment - Requirements for bodies certifying products, process and services (Japanese version)

Note 1: For standards listed in Annex A of the “Scheme Document” prescribed by the Certification Body, the standard number and issue year of the external documents correspond to the Scheme Document. If the latest versions of the documents are revised later than the issue of the Scheme Document, the information is updated on the website of the Certification Body.

Forms Related to Operating Procedure for IT Security Certification Services

Note: Forms may be changed for application and administrative convenience.

The following items shall be recorded on the “Certification Administration Table” to properly manage certification application, etc.

- Identification number
- Reception number
- Reception date
- Name (Target of evaluation, ST or PP)
- Applicant name
- Developer name
- Name of Evaluation Facility
- Name of Evaluator
- Assurance package
- Certifier name
- Date of issuance of Notification of Confirmation of Evaluation Work
- Date of issuance of Evaluation Technical Report (Impact Analysis Report (IAR))
- Date of request for review of Certification Report (Assurance Continuity Maintenance Report (draft))
- Date of reply for review of Certification Report (Assurance Continuity Maintenance Report (draft))
- Certification number
- Date of issuance of Certification Report (Assurance Continuity Maintenance Report)
- Date of issuance of Certificate
- Certification management record
- Remarks
- Other items that contribute to convenience of management of certification application, etc.

Note: In the case of Assurance Continuity, the respective items are indicated in brackets.

Form 2-1

Identification number:

Checklist for Eligibility of Certifier

Date:

I hereby report the following relationships among the employer, applicant, Evaluation Facility and developer for the TOE for which certification is requested.

Name	(signature)		Registration number	
Applicant				
Reception number	Application for Certification		Application for Approval	
TOE Name				
Developer				
Evaluation Facility				
Evaluator				
Relationship among Certifier, current applicant and developer, applicant and developer in the past				
Relationship among current employer, employer in the past, applicant and developer in the past				
Relationship among current employer, employer in the past, Evaluation Facility and Evaluator				
Remarks				

Form 2-2

Identification number:

Checklist for Eligibility of Certifier

Date:

I hereby report the following relationships among the employer, applicant, Evaluation Facility and developer for the TOE for which ST confirmation is requested.

Name	(signature)	Registration number	
Applicant			
Reception number	Application for ST Confirmation		- -
TOE Name			
Developer			
Evaluation Facility			
Evaluator			
Relationship among Certifier, current applicant and developer, applicant and developer in the past			
Relationship among current employer, employer in the past, applicant and developer in the past			
Relationship among current employer, employer in the past, Evaluation Facility and Evaluator			
Remarks			

Form 3

Date:

To <Name of Managing Director>

<Name of Management System Manager>

Report on Post-Internal Audit Corrective Actions

We summarized the results of the internal audit and corrective actions for items pointed out in accordance with the Operating Procedure for IT Security Certification Services. The following is the report of results.

Note

1. Overview of conducting internal audit
 - (1) Date conducted:
 - (2) Target department:
 - (3) Auditor:
2. Overview and findings of actions for items pointed out
3. Details of actions (response to corrective actions, preventive actions and proposals)

Management Review Records

Date conducted				
Participants				
Target department				
Major targets of management review				
Findings				
Corrective actions	Responsible person for conducting management review		Period for conducting management review	
	[Contents]			
	Managing Director (signature)		Management System Manager (signature)	

Report on Preventive Actions

Number of report on preventive actions	
Date of implementing preventive actions	From <Date> to <Date>
Target items of preventive actions	
Preventive actions	Responsible person for implementing preventive actions:
	[Contents]
	[Cause]
	[Countermeasures]
	[Result]
	Date of confirmation of preventive actions: Signature of Management System Manager:

Report on Non-conformity Handling

Number of report on non-conformity handling	
Date of non-conformity handling	From <Date> to <Date>
Target items of non-conformity handling	
Non-conformity handling	Responsible person for non-conformity handling:
	[Contents]
	[Cause]
	[Countermeasures]
	[Result]
	Date of confirmation of handling non-conformity: Signature of Management System Manager:

Report on Corrective Actions

Number of Report on Corrective Actions	
Date of implementing corrective actions	From <Date> to <Date>
Target items of corrective actions	
Corrective actions	Responsible person for implementing corrective actions:
	[Contents]
	[Cause]
	[Countermeasures]
	[Result]
	Date of confirmation of corrective actions: Signature of Management System Manager:

Report on Received Complaint and its Handling

Number of report on received complaint			
Recipient		Date of reception	
Subject:			
Complainer of complaints, etc.	<Name or corporate name> <Address> <Person in charge> <Contact information>		
[Contents of complaints, etc.]			
<Name of person handling complaints, etc.> (signature)		Date of report:	
Items of handling complaints	[Background] A separate sheet can be used. [Result] A separate sheet can be used. [Countermeasure] A separate sheet can be used.		
Signature of Management System Manager:			
<Date>			

Register of Strictly Confidential Materials
(for Certification Services)

*IT Security Center, IT Security Technology Evaluation Department
Information-technology Promotion Agency, Japan*

Reception number :

Target of Evaluation :

Person in charge of management:

<i>Item Number</i>	<i>Name of strictly confidential materials</i>	<i>Media Format</i>	<i>Date of acquisition</i>	<i>Number of copies</i>	<i>Date of copy</i>	<i>Date of deletion (return)*</i>	<i>User</i>	

*: If confidential materials are returned, the date of return and “Return” are filled in the “Date of deletion” column.)

Register of Semi-confidential A Materials
(for Certification Services)

*IT Security Center, IT Security Technology Evaluation Department
 Information-technology Promotion Agency, Japan*

Reception number :

Target of Evaluation :

Person in charge of management:

<i>Item Number</i>	<i>Name of semi-confidential materials</i>	<i>Media Format</i>	<i>Date of acquisition</i>	<i>Number of copies</i>	<i>Date of copy</i>	<i>Date of deletion (return)*</i>	<i>User</i>

*: If confidential materials are returned, the date of return and "Return" are filled in the "Date of deletion" column.)

