



JISEC

**Operating Procedure for
Personnel Management of
IT Security Certification Body**

October 2020

IPA

CCM-01-C

Information-technology Promotion Agency, Japan (IPA)

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Operating Procedure for Personnel Management of IT Security Certification Body

Establishment: May 15, 2007

Final revision: October 7, 2020 (Jo-Se No. 1030 of 2020)

1. Purpose

The purpose of this Operating Procedure is to prescribe the appointment of personnel, qualification standards, appointment, etc., of certifiers, and committees that are required for the operation of the IT Security Evaluation and Certification Scheme (hereinafter referred to as the “Certification Scheme”) that the Information-technology Promotion Agency, Japan (hereinafter referred to as “IPA”) operates as the Certification Body (hereinafter referred to as the “Certification Body”) of the Certification Scheme.

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 roles as well as the responsibilities and authorities of personnel engaged in the operation of certification services specified in this Operating Procedure are those prescribed in the “Organization and Operational Manual for IT Security Certification Body (CCM-01)” (hereinafter referred to as the “Operational Manual”).

3. Appointment of a Technical Manager, etc.

- (1) The Managing Director appoints a Management System Manager, a Deputy Management System Manager, and a Deputy Managing Director using a “Notification of Appointment” (Form 1).
- (2) The Managing Director appoints a Technical Manager and a Deputy Technical Manager using a “Notification of Appointment” (Form 1).
- (3) The Managing Director appoints Certifiers using a “Notification of Registration of Certifier” (Form 5) or “Letter of Commissioning” (Form 6).
- (4) The Management System Manager appoints a person in charge of management system documents and other personnel using a “Notification of Appointment” (Form 1).

4. Qualification Standards of Certifiers and a Technical Manager

- (1) Certifiers shall meet all the following conditions and achieve designated results in an assessment conducted by the Technical Manager. Certifiers shall:
 - (a) Possess basic and common knowledge of information processing technology (such as OS

and network in particular) and basic knowledge of information security technology.

- (b) Be knowledgeable about certification-related Scheme documents, manuals, procedures, and standards listed in Annex A of the “Scheme Document” (the “IT Security Evaluation Criteria,” “IT Security Evaluation Methodology,” and their Interpretations; hereinafter referred to as the “CC/CEM”).
 - (c) Have sufficient verbal and written communication skills.
 - (d) Be unaffected by commercial pressure, financial pressure, other pressures, or conflict of interest.
 - (e) Not currently engaged in relevant works of development, research, consultation, or instruction regarding IT products, etc., to be a subject for certification.
 - (f) Have three or more years of relevant work experience in the Information Technology field when the person has completed higher education (vocational college, junior college, or university) in the Information Technology field. Alternatively, have five or more years of relevant work experience in the Information Technology field.
 - (g) Be engaged in a technological activity in the information security field.
 - (h) Have experience in an education and training program for the Certification Body personnel recognized by the Technical Manager and have sufficiently mastered its content.
 - (i) Have work experience regarding the development of IT products, etc.
 - (j) Have sufficient experience regarding evaluation work of IT products, etc.
 - (k) Have experience of working with the Technical Manager or a Certifier to verify evaluation works and creating a document similar to a “Certification Report” at least once.
- (2) A Technical Manager shall meet all the following conditions. A Technical Manager shall:
- (a) Have two or more years of relevant work experience as a Certifier.
 - (b) Have comprehensive knowledge and experience in a certification-related technology.

5. Procedure for Registration of Certifiers

- (1) A certifier candidate (hereinafter referred to as a “candidate”) submits an “Application for Registration of Certifier” (Form 2) (hereinafter referred to as an “Application”) to the Managing Director. A “Curriculum Vitae of Certifier” (Form 3) shall be attached to the Application. Products to be certified are divided into two areas: software and hardware (including smart cards). When the product area is not described, the product is treated as software.
- (2) When an application is submitted, the Technical Manager fills in the applicant's name, organization/department, title, and application date in the “Register of Certifiers” (Form 4).
- (3) Based on the application documents, the Technical Manager conducts a written assessment of whether the candidate is properly qualified. In the written assessment, the Technical Manager confirms whether the candidate meets the qualification standards prescribed in Section 4. (1).

- (4) Even if the candidate does not meet the qualification standards prescribed in Section 4. (1), when the Technical Manager considers that the candidate has equivalent qualifications, the Technical Manager may conduct an interview with the candidate; in this case, however, the Management System Manager also attends the interview to confirm that the candidate is sufficiently qualified.
- (5) The Technical Manager conducts an interview with a candidate who is considered to be qualified as a certifier through the written assessment prescribed in paragraph (3) and assesses whether the candidate meets the qualification standards.

In regard to Section 4. (1) (k), as appropriate, the Technical Manager also takes into account the opinion of certifiers who have worked with the candidate.

- (6) When the Technical Manager determines as a result of the written assessment and an interview that the candidate meets the qualification standards prescribed in Section 4. (1), the Technical Manager reports the assessment result to the Management System Manager.
- (7) When the Management System Manager receives a report prescribed in paragraph (6), the Certification Committee meeting will be held to assess whether the candidate meets the qualification standards.
- (8) When the Certification Committee considers that the candidate meets the qualification standards as a certifier and recommends his/her registration, the candidate is registered as a certifier. When the Managing Director registers a Technical Manager as a certifier, however, the recommendation of Certification Committee is not required.
- (9) When a candidate is registered as a certifier, the Technical Manager fills in the result of the Certification Committee meeting, registration date, and registration number in the “Register of Certifiers.”

[Example of registration number] ITC XXX (three-digit serial number starting from one)

The Technical Manager also fills in the registration number, name, registration date, and expiration date in the “List of Certifiers.”

When re-registering a person who was previously registered as a certifier, the same registration number as the previous one should be assigned.

- (10) When registering a candidate as a certifier, the Managing Director issues notification using a “Notification of Registration of Certifier” (Form 5) if the candidate is an IPA staff member, or if not, commissions the certifier using a “Letter of Commissioning” (Form 6). As necessary, the Managing Director requests the head of the organization, to which the certifier belongs, to accept the appointment using a “Request for Acceptance of Appointment of Certifier” (Form 7) and receives a “Letter of Acceptance of Appointment of Certifier” (Form 8).

6. Management of Certifiers, etc.

6.1 Ethics

All the personnel engaged in certification services shall submit “The Statement of Ethics” (Form 9) and a “Career Record of Engagement in the Works of Evaluation, Development, Research, Consultation, and Instruction Regarding IT Products, etc.,” (Form 10) to the Managing Director before performing certification services.

6.2 Validity Period of Registration of Certifier

- (1) The validity period of the registration of certifiers shall be five years from the registration date. However, the Management System Manager may extend the validity period of the registration for another five years with the approval of the Certification Committee if, during this period, the certifier actually performs certification services, completes education and training programs held by a person in charge of education and training, and is considered to fully maintain the certifier qualification standards as a result of the assessment prescribed in Section 6.4.
- (2) The extension of the validity period prescribed in paragraph (1) may be repeated.

6.3 Maintaining Competence of Certifiers

- (1) The Technical Manager conducts education and training programs for operating the Certification Scheme according to a plan that is prepared at the beginning of each fiscal year and approved by the Management System Manager. When changing certification requirements in particular, such as Common Criteria for Information Technology Security Evaluation, a sufficient amount of time shall be allowed for education and training programs.
- (2) The Management System Manager and the Technical Manager provide certifiers with Scheme documents, manuals, procedures, and the latest information regarding certification.
- (3) The Technical Manager provides certifiers with the latest technical information regarding certification.
- (4) The Managing Director uses the education and training plan for certifiers and the assessment results of certifiers as management review materials.

The Managing Director also confirms whether certifiers complete appropriate education and training programs.

6.4 Assessment of Certifiers

- (1) The Technical Manager assesses certifiers' ability to perform relevant works as appropriate using the following or other methods through review by the Management System Manager and reports the results to the Management System Manager.

- (a) Interviews
 - (b) Observation and evaluation of actual certification work
 - (c) Review of records of training and related items
 - (d) Comments from business subjects regarding performance of work by certifiers
- (2) If any concern arises regarding the certifier's eligibility due to an assessment pursuant to (1), the Technical Manager suspends the registration of the certifier and takes action to have him/her complete "8.3 Follow-up Training" with the approval of the Management System Manager. The Technical Manager may, with the approval of the Management System Manager, restore the registration of a certifier who completes follow-up training and becomes able to engage in certification services again.
 - (3) When suspending or restoring the registration of a certifier, the Technical Manager describes such fact in the "Register of Certifiers."

6.5 Suspension of Certifiers

- (1) The Technical Manager promptly suspends the registration of a certifier when the certifier becomes unable to engage in certification services due to personnel transfer or other reasons.
- (2) When suspending the registration of a certifier, the Technical Manager describes such fact in the "Register of Certifiers" and "List of Certifiers."

6.6 Restoration of Certifiers

- (1) When a certifier whose registration was suspended becomes able to engage in certification services again, the Technical Manager may take action to have him/her complete "8.3 Follow-up Training" to the extent that it is within the validity period of the registration of the certifier. The Technical Manager may, with the approval of the Management System Manager, restore the registration of a certifier who completes follow-up training and becomes able to engage in certification services again.
- (2) When restoring the registration of a certifier, the Technical Manager describes such fact in the "Register of Certifiers" and "List of Certifiers."

6.7 Deregistration or Revocation of the Registration of Certifiers

- (1) The Technical Manager promptly deregisters a certifier when the certifier becomes unable to engage in certification services due to resignation or other reasons.
In order not to affect evaluation for certification, the said certifier shall allow a sufficient amount of time to notify the Technical Manager of the fact that he/she will become unable to engage in certification services.
- (2) The Technical Manager may revoke the registration of a certifier in the following case; in this

case, however, the revocation of the registration shall be assessed by the Certification Committee with the approval of the Management System Manager.

- When it is determined, based on the assessment results or other factors, that the certifier lacks certifier's eligibility, such as technical competence or ethical self-discipline, or fails to meet the conditions prescribed in this Operating Procedure
- (3) When deregistering a certifier or revoking the registration of a certifier, the Technical Manager describes such fact in the “Register of Certifiers” and “List of Certifiers.”

6.8 Securing Certifiers

When it is considered difficult to secure certifiers required for operating the Certification Scheme according to this Operating Procedure, the Managing Director secures suitable candidates for certifiers through review by the Management System Manager and Technical Manager.

6.9 Holding Additional Posts and Deputy

The Technical Manager may also hold an additional post as a Certifier as required.

In addition, Certifiers may also hold additional posts as Operational Personnel as required.

6.10 Creation of List of Personnel Engaged in Certification Services

Operational Personnel prepare the “List of Personnel Engaged in Certification Services” (Form 11) and maintain it in an up-to-date condition with the approval of the Management System Manager.

7. Records

The Technical Manager always keeps up-to-date records, etc., regarding personnel management and properly manages and stores them. Records regarding certifiers are as follows, and the Technical Manager is responsible for managing them.

- (a) Certifier files (including Curricula Vitae, assessment records, etc.).
- (b) Training-related files (including education and training program history, handouts, tests, and exercises).

8. Procedure for Conducting Education and Training

8.1 Education and Training Planning

- (1) In order to secure human resources required for operating the Certification Scheme, the Technical Manager plans education and training programs in light of the necessities of certifiers and education and training needs through consultation with the Management System Manager at the beginning of each fiscal year.

- (2) The Technical Manager selects a person in charge of education and training from among IPA staff members to implement the plan, and reports the results to the Management System Manager as appropriate.

8.2 Training for Certifiers

(1) Selection of participants

The person in charge of education and training selects training participants from certifiers or certifier candidates and has them participate in the training courses for certifiers through coordination and discussion with relevant parties.

(2) Selection of instructors

The person in charge of education and training selects instructors from among staff members, academic experts, experts, sufficiently-experienced certifiers, etc., who are knowledgeable about the Certification Scheme and CC/CEM and capable of educating people with their knowledge. When an assistant is required, the person in charge of education and training selects an assistant who meets the above conditions and understands presented training materials.

(3) Training materials and handouts

The person in charge of education and training sends training materials and handouts to participants in advance as required.

(4) Conducting training

The instructor provides certifiers or certifier candidates with training concerning certification work of the Certification Scheme.

8.3 Follow-up Training

The person in charge of education and training sets up follow-up training when considered necessary in such cases when there are changes in rules and manuals or standards concerning certification services. For the procedure of follow-up training, refer to the procedure prescribed in Section 8.2.

8.4 External Technical Training, etc.

In order for certifiers to acquire and improve their individual technical skills required for certification services, the person in charge of education and training makes arrangements to allow certifiers to participate in practical training and technical training, etc., of external bodies, such as standardization bodies, certification-related bodies, and testing laboratories.

9. Committees

The Certification Body establishes the Management Committee, Technical Committee, Certification Committee, and Hardware Certification Committee as prescribed in Section 2.1.4 of the

“Operational Manual (CCM-01).”

9.1 Procedure for operations of Committees

- (1) The committee secretariat performs the procedure of holding committees. A notice of holding a committee is given under the name of the committee chairperson after a final decision is made by the Managing Director of the Certification Body.
- (2) A decision in each committee should be reached unanimously by the committee members present. When it fails to reach consensus, the final decision is left to the committee chairperson.
- (3) In principle, no agent shall be allowed to attend committees. However, if the committee member gives a prior notice of the intention to have an agent attend, and if the agent is commissioned by the said committee member, the committee chairperson shall permit the attendance by the agent. For those committees where materials for matters to be discussed are distributed in advance, when a committee member who is expected to attend is unable to do so due to urgent business, etc., the committee member may leave the decision to the committee chairperson.
- (4) When the committee chairperson is unable to attend due to urgent business, etc., a facilitator is selected from the committee members present, and the committee is started. The selected member acts for the committee chairperson.
- (5) The committee chairperson of each committee may have members of committees, other than those headed by the said committee chairperson, experts, and IPA staff members, attend the committee headed by the said committee chairperson to ask for opinions or explanations when considered necessary.
- (6) In committees other than the Certification Committee and Hardware Certification Committee, the committee chairperson may set up a temporary working group (hereinafter referred to as a “WG”) under the said committee when considered necessary for important issues concerning items to be discussed or urgent issues of the said committee. In this case, at least one of the WG members must be a member of the committee.
The chief, who supervises the WG, is selected by mutual voting among WG members. This Operating Procedure applies correspondingly to the operation of the WG; in which case the term “committee” should be read as “WG.”
- (7) In the Technical Committee, Certification Committee, or Hardware Certification Committee, if the committee chairperson considers that some of the committee members have a vested interest in a matter to be discussed in the committee, the committee chairperson shall make consideration such as requesting the relevant committee members to temporarily leave the said committee while the matter is discussed or allowing them to be present but prohibiting their participation in discussion while the matter is discussed.
- (8) When a committee member has attended a committee, the said committee member receives an

amount of money to cover travel expenses and committee compensation based on the “Information-technology Promotion Agency Compensation Manual” (Jo-So No. 163 of 2018). If the committee member declines them, however, it does not apply. This also applies to cases where an agent for the committee member has attended.

9.2 Items to be Discussed

9.2.1 Management Committee

As an advisory board for the Managing Director, the Management Committee discusses and makes proposals on the following items regarding the operation of the IT Security Evaluation and Certification Scheme. However, in regard to the revision of rules and manuals indicated in the following paragraph (2), a minor item that does not affect the Scheme operation will be eliminated.

- (1) Items related to policy of the operation of the IT Security Evaluation and Certification Scheme
- (2) Items related to revision or abolition of the “Scheme Document” and “Operational Manual”
- (3) Items related to the review of operational methods and the implementation state, etc., of its corrective actions
- (4) Matters affecting impartiality and confidence in certification activities
- (5) Other items that are necessary for smooth operation of the Certification Scheme (including change of committee structure, items affecting future operations, etc., and excluding items to be discussed in other committees)

9.2.2 Technical Committee

As an advisory board for the Managing Director regarding technical and professional items, the Technical Committee discusses and makes proposals on the following items.

- (1) Items related to establishing the evaluation criteria and methods for certification and ST confirmation
- (2) Technical items concerning the operation of the Certification Scheme

9.2.3 Certification Committee

As an advisory board for the Managing Director, the Certification Committee discusses and assesses the following items other than hardware such as smart cards (hereinafter referred to as “software”). An assessment of granting, rejection, or revocation of certification and ST confirmation is made based on the assessment criteria prescribed in subparagraph (A).

- (1) Assessment of granting, rejection, or revocation of certification concerning software
- (2) Items related to approval and registration, etc., of certifier qualifications concerning software
- (3) Assessment of granting, rejection, or revocation of ST confirmation concerning software

(4) Other items related to assessment regarding the operation of the Certification Scheme

When making assessments regarding paragraphs (1) and (3) above, the Certification Committee may hear reports from certifiers involved in such assessment matters.

(A) Assessment criteria in the Certification Committee

The assessment criteria for Section 9.2.3 (1) are as follows.

(i) Granting of certification	When the evaluation is considered to fulfill the certification criteria
(ii) Rejection of certification	When the evaluation is considered not to fulfill the certification criteria
(iii) Revocation of certification	When the evaluation is considered to no longer fulfill the certification criteria or any wrongful act is found

The assessment criteria for Section 9.2.3 (3) are as follows.

(i) Granting of confirmation	When the evaluation is considered to fulfill the ST confirmation criteria
(ii) Rejection of confirmation	When the evaluation is considered not to fulfill the ST confirmation criteria
(iii) Revocation of confirmation	When the evaluation is considered to no longer fulfill the ST confirmation criteria or any wrongful act is found

9.2.4 Hardware Certification Committee

As an advisory board for the Managing Director, the Hardware Certification Committee discusses and assesses the following items regarding hardware such as smart cards. An assessment of granting, rejection, or revocation in the Hardware Certification Committee is made based on the assessment criteria prescribed in subparagraph (A).

- (1) Assessment of granting, rejection, or revocation of certification concerning hardware
- (2) Items related to approval and registration, etc., of certifier qualifications concerning hardware
- (3) Assessment of granting, rejection, or revocation of ST confirmation concerning hardware
- (4) Other items related to hardware assessment regarding the operation of the Certification Scheme

When making an assessment regarding paragraphs (1) and (3) above, the Hardware Certification Committee may hear reports from certifiers involved in such assessment matters

(A) Assessment criteria in the Hardware Certification Committee

The assessment criteria for Section 9.2.4 (1) are as follows.

(i) Granting of certification	When the evaluation is considered to fulfill the certification criteria
(ii) Rejection of certification	When the evaluation is considered not to fulfill the certification criteria
(iii) Revocation of certification	When the evaluation is considered to no longer fulfill the certification criteria or any wrongful act is found

The assessment criteria for Section 9.2.4 (3) are as follows.

(i) Granting of confirmation	When the evaluation is considered to fulfill the ST confirmation criteria.
(ii) Rejection of confirmation	When the evaluation is considered not to fulfill the ST confirmation criteria
(iii) Revocation of confirmation	When the evaluation is considered to no longer fulfill the ST confirmation criteria or any wrongful act is found

9.3 Commissioning Work

Commissioning of a committee member and commissioning to an agent shall be conducted as follows.

- (1) The committee secretariat selects a committee member candidate through review by the Managing Director and Management System Manager.
- (2) The committee secretariat obtains the preliminary acceptance of the committee member candidate to become a committee member.
- (3) The committee secretariat performs the drafting procedure of commissioning a committee member with respect to the committee member candidate and obtains an approval from the Managing Director for a final decision.
- (4) The committee secretariat requests the committee member candidate and his/her superior within the entity to which the candidate member belongs (or only the committee member candidate when approval from his/her superior within the entity is not required or the committee member candidate does not belong to any entity) to accept the commission of a committee member using a “Request for Acceptance of Commission of XXX Committee Member” and “Request for Acceptance of Commission of XXX Committee Member (Request for Accepting an Additional Post)” (Form 12-1 and Form 12-2).
- (5) The committee secretariat sends the said documents to the committee member candidate and the

superior within the entity to which he/she belongs (only when the committee secretariat has made a request to his/her superior within the entity to which he/she belongs) by such means that delivery thereof is recorded. The committee secretariat then gives a notice by e-mail, etc., that the documents have been sent.

- (6) After a “Letter of Acceptance” (Form 13-1 and Form 13-2 (only when the committee secretariat has made a request to the superior within the entity to which the candidate member belongs)) and “The Statement of Ethics” (Form 9) are submitted from each person concerned, the Chairman of IPA commissions a committee member using a “Letter of Commissioning” (Form 6).
- (7) The committee secretariat gives a notice by email, etc., to contact the committee member and his/her superior within the entity to which the member belongs (only when the committee secretariat has made a request to his/her superior within the entity to which the member belongs) that the said documents were received and a “Letter of Commissioning” was sent by such means that delivery thereof is recorded.
- (8) Commissioning to an agent by a committee member is authorized when the committee member submits an authorization letter in advance and the agent submits “The Statement of Ethics.”

Supplementary provisions (May 15, 2007, Full revision)

(Date of enforcement)

This Operating Procedure shall come into effect as of May 15, 2007.

Supplementary provisions (January 21, 2008, Partial revision)

This Operating Procedure shall come into effect as of January 21, 2008, and be applied from January 7, 2008.

Supplementary provisions (April 3, 2012 Jo-Se No. 510 of 2011, Partial 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 (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 (October 7, 2020 Jo-So No. 1030 of 2020, Partial revision)

This Operational Manual shall come into effect as of October 15, 2020.

Forms Related to Operating Procedure for Personnel Management of IT Security Certification Body

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

Notification of Appointment

<Name>

<Organization/Department>

This is to notify that you have been appointed as XXXXXX in accordance with the
“Operating Procedure for Personnel Management of IT Security Certification Body.”

Date:

<Name of Managing Director> or

<Name of Management System Manager>

Information-technology Promotion Agency, Japan

Application for Registration of Certifier

Date:

<Name of Managing Director>

Information-technology Promotion Agency, Japan

<Name of Applicant>

(signature)

<Organization/Department>

The applicant hereby applies for registration as a Certifier under the Japan IT Security Evaluation and Certification Scheme as follows.

Product area to be subject for certification: () Software
() Hardware (smart cards, etc.)

Remarks

- 1 A4 paper size under ISO shall be used.
- 2 A separate sheet of Curriculum Vitae shall be attached.

Experience and the number of years of being in charge of or participating in evaluation verification		
Experience of activities, such as academic societies, expert committees		
History of consultation work related to information security		
Relations with specific companies or entities		

A separate sheet may be attached when more space is needed.

Copies of certificates, etc., of qualifications and training shall be attached.

Register of Certifiers

Name			
Organization/Title			
Application date		Initial score	
Interview result	Interview date: Result:		
Certification Committee result	Committee date: Result:		
Registration date		Registration number	
Product area	<input type="checkbox"/> Software <input type="checkbox"/> Hardware (smart cards, etc.)		
Remarks			

(Note) Examples of items to be described in the Remarks:

- Date and reason in case of a change, declination, revocation, suspension, or restoration, if any
- Outline or result in case of assessment, if any

Form 5

Date:

<Name>

<Department>

<Name of Managing Director>

Information-technology Promotion Agency, Japan

Notification of Registration of Certifier

This is to notify that you have been registered as a Certifier under the Japan IT Security Evaluation and Certification Scheme as follows, based on your Application for Registration and assessment results of training records, etc.

Registration date:

Term expiration date:

Registration number:

Product area: Software

Hardware (smart cards, etc.)

Letter of Commissioning

(Name)	(Present post)
<p>(Content of commissioning)</p> <p>This is to notify that the person mentioned above is commissioned as [a committee member of the XX Committee or Certifier] under the Japan IT Security Evaluation and Certification Scheme.</p> <p>The term as [a committee member or certifier] expires on <date>.</p>	
<p>Date:</p> <p><Name of Chairman>: Information-technology Promotion Agency, Japan</p>	

Form 7

Date:

Request for Acceptance of Appointment of Certifier

<Name of the head of the organization to which the certifier belongs>,

<Name of Chairman>
Information-technology Promotion Agency, Japan

I would like to appoint the person indicated below as a Certifier under the Japan IT Security Evaluation and Certification Scheme. It would be greatly appreciated if you could accept this appointment.

Name:

Organization/Department:

Date:

Letter of Acceptance of Appointment of Certifier

<Name of Chairman>
Information-technology Promotion Agency, Japan

I hereby accept the appointment of XXXXX as a Certifier under the Japan IT Security Evaluation and Certification Scheme.

Name: _____

(signature)

Title: _____

Organization/Department: _____

The Statement of Ethics

In carrying out the Certification Scheme operation, in order to clearly separate this work from other operations, I hereby state the following.

1 Duty of confidentiality

I shall not divulge any information obtained through the Certification Scheme operation with the aim other than performing the Certification Scheme operation, and shall not use such information to carry out other operations.

Furthermore, I understand that the duty and responsibility continue after being detached from the Certification Scheme operation.

2 Avoiding conflict of interest

(Rejecting outside pressures)

I shall not exercise any influence that comes from other activities than the Certification Scheme operation on the Certification Scheme operation, and shall carry out the certification process, etc., using only information duly-obtained through activities of the Certification Scheme operation.

I shall also decline pressures from those I report to, other divisions, other organizations, etc., and shall immediately notify a Management System Manager of the Certification Scheme that there were such pressures.

Furthermore, I shall not receive any benefits, through invitation, presents, etc., from those who have interests in Certification Scheme operation.

3 Compliance with rules

I shall follow and sincerely implement all the rules set for [committee members, certifiers, executives and regular members, or other relevant parties], including the above-mentioned two points, in carrying out the Certification Scheme operation.

Date:

Name:

(signature)

Organization / Department:

Career Record of Engagement in the Works of Evaluation, Development, Research, Consultation, and Instruction, Regarding IT Products, etc.

This is to report my career record of engagement in the works of evaluation, development, research, consultation, and instruction regarding IT products, etc., in which I engaged in the past.

Name	(signature)	Registration number	
Month/Year (Duration)	Relevant organization Name and title of the relevant person	Work contents	

Remarks: All the relevant background in the past shall be described.
A separate sheet can be used when more space is needed.

List of Personnel Engaged in Certification Services

Role	Name	Department/Title	Remarks
Chief Executive Officer			
Managing Director			
Management System Manager			
Technical Manager			
Deputy Technical Manager			
Deputy Management System Manager			
Person in charge of management system documents			
Operational Personnel			
Certifier			
Engineer (Certifier candidate)			
Person in charge of education and training			
Instructor			
Personal authentication device administrator			
Person responsible for (nonconformity) actions			
Person in charge of complaint handling			

Form 12-1

Jo-XX No. XX of XXXX

Date:

<Name of the committee member>

<Organization/Department>

<Name of Chairman>:

Information-technology Promotion Agency, Japan

Request for Acceptance of Commission of XXX Committee Member

Thank you for your cooperation in the Japan IT Security Evaluation and Certification Scheme as always.

The Information-technology Promotion Agency, Japan has established the committee indicated above to smoothly promote our IT security evaluation and certification services.

I would like to appoint you as a member of the said committee as follows, and I would greatly appreciate it if you could accept this appointment.

If you could kindly accept the appointment, please return the enclosed “Letter of Acceptance of Appointment” and “The Statement of Ethics” after filling in the necessary information and affixing your signature.

In the case that you are unable to receive compensation for some reason, please indicate it in the blank space of the Letter of Acceptance.

1. Commission period: From the commission request date to the end of
<Month/Year>
2. Frequency of committees: Approximately XX times per year
3. Duration: Approximately two hours per committee
4. Compensation: Compensation shall be provided in accordance with the IPA
Compensation Manual.

I am grateful for your understanding and support for the IPA.

Form 12-2

Jo-XX No. XX of XXXX

Date:

<Name of the superior of the committee member>

<Organization/Department>

<Name of Chairman>

Information-technology Promotion Agency, Japan

Request for Acceptance of Commission of XXX Committee Member
(Request for Accepting an Additional Post)

Thank you for your cooperation in the Japan IT Security Evaluation and Certification Scheme as always.

The Information-technology Promotion Agency, Japan has established the committee indicated above to smoothly promote our IT security evaluation and certification services.

I would like to appoint <name of the committee member> of your entity as a member of the said committee as follows, and I would greatly appreciate it if you could approve this appointment.

If you could kindly approve the appointment, please return the enclosed “Letter of Acceptance of Dispatch of XXX” after filling in the necessary information and affixing your signature.

1. Commission period: From the commission request date to the end of <Month/Year>
2. Frequency of committees: Approximately XX times a year
3. Duration: Approximately two hours per committee
4. Compensation: Compensation shall be provided in accordance with the IPA Compensation Manual.

I am grateful for your understanding and support for the IPA.

Form 13-1

Date:

Letter of Acceptance of Appointment of XXX

<Name of Chairman>

Information-technology Promotion Agency, Japan

I hereby declare that I accept the appointment as XXX under the Japan IT Security Evaluation and Certification Scheme.

Name:

(signature)

Title:

Organization/Department:

Work address:

(Enforcement note: The content of commissioning regarding the committee member shall be indicated in place of “XXX.”)

Form 13-2

No.

Date:

Letter of Acceptance of Dispatch of XXX

<Name of Chairman>

Information-technology Promotion Agency, Japan

I hereby declare that I approve the dispatch of [name of the committee member] as XXX under the Japan IT Security Evaluation and Certification Scheme.

Name:

(signature)

Title:

Organization/Department:

(Enforcement note: The content of commissioning regarding the committee member shall be indicated in place of “XXX.”)

Form 14

Application for Acceptance of Viewing Confidential Materials for Certification Services

Date:

To General Manager of IT Security Technology Evaluation Department
 IT Security Center
 Information-technology Promotion Agency, Japan

<Name of department head>

(signature)

<Organization/Department>

I would like to apply for your acceptance of viewing confidential materials for certification services, because it is necessary for the person indicated below to view such materials in performing the operation of the Certification Scheme.

With regard to the viewing of confidential materials, I shall have the said person comply with the oaths taken in “The Statement of Ethics,” and I shall notify the Operational Personnel in the event that the viewing of confidential materials becomes unnecessary during the registration period.

Name	
Organization/Department	
Work contents	
Reason for application	
Registration period (Maximum 3 months)	From <Date> to <Date>

Approved by	Approval signature
Director General of IT Security Center, Information-technology Promotion Agency, Japan	(signature)