



JISEC

Guidance on IT Security Certification

October 2020

IPA

Information-technology Promotion Agency, Japan (IPA)

CCM-02-A

Table of Contents

1. Purpose	1
2. This Scheme	1
3. Terms	1
4. Preparations for a Certification Application.....	1
4.1 Confirmation of Information Related to Certifications	1
4.2 Preparation of the Target of Evaluation	2
5. Procedures for a Certification Application.....	3
5.1 Certification Application.....	3
5.2 Conclusion of a Non-Disclosure Agreement	6
5.3 Acceptance of the Certification Application	7
5.4 Application Fees	7
6. Evaluation and Certification.....	7
6.1 Kick-off Meeting	7
6.2 Conduct of Evaluation.....	8
6.3 Confirmation of the Evaluation Technical Report.....	9
6.4 Confirmation of the Certification Report	10
7. Procedures during a Certification Application	10
7.1 Publication of Information on a Product in Evaluation	10
7.2 Corrections to Records on an Application for Certification.....	10
7.3 Corrections to Attached Documents other than an Application for Certification	11
7.4 Withdrawing a Certification Application	11
7.5 Limits on Evaluation Periods and Procedure in the Event of a Delay.....	11
7.6 Conduct of Site Visits.....	12
8. Procedures after Acquiring Certification	12
8.1 Granting Certification.....	12
8.2 Publication of Information on the Certified Product List on Website.....	12
8.3 Important Notes about the “Certification Mark” and the “Common Criteria Certification Mark”	14
8.4 Important Notes about Advertising and Promoting Certified Products.....	15
8.5 Notifications Related to a Certified Product	16
8.6 Notification of Changes to Records on a Certificate, etc.	16
8.7 Application to Issue an English Version of Certificate	17
8.8 Publication of an English Version of Certification Report and ST.....	17
8.9 Reissuing a Certificate, English Version of a Certificate, or Other Document	17
9. Assurance Continuity Procedures	18
9.1 Preparations for Assurance Continuity Procedures	18
9.2 Application for Assurance Continuity	19
9.3 Reception and Acceptance of the Assurance Continuity Application.....	20
9.4 Application Fees Accompanying Assurance Continuity.....	20
9.5 Assurance Continuity Assessment.....	20
9.6 Confirmation of the Assurance Continuity Maintenance Report.....	20
9.7 Approval of Assurance Continuity	20
10. Certification Suspensions and Revocations	21
10.1 Surveillance	21
10.2 Certification Suspensions and Revocations	22
10.2.1 Responding to Corrective Action.....	22
10.2.2 Responding to Re-evaluations	22
10.3 Revocation of a Certification	22
10.4 Matters Applying to Both Suspensions and Revocations.....	22

11. Recording Complaints about a Certified Product.....	23
Appendix 1.....	25
Appendix 2.....	27
Forms	28

Guidance on IT Security Certification

Establishment: April 3, 2012 (Jo-Se No. 505 of 2011)

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

1. Purpose

The purpose of the “Guidance on IT Security Certification” (hereinafter referred to as “this Guidance”) is to explain the necessary procedures that applicants conduct to acquire and maintain certification under the Japan IT Security Evaluation and Certification Scheme (hereinafter referred to as “this Scheme”) operated by the Information-technology Promotion Agency, Japan (hereinafter referred to as “IPA”) as the Certification Body.

2. This Scheme

Refer to Annex A of the “IT Security Evaluation and Certification Scheme Document (CCS-01)” (hereinafter referred to as the “Scheme Document (CCS-01)”) for the Requirements of this Scheme. Also, refer to the provisions such as the “Requirements for IT Security Certification (CCM-02)” (hereinafter referred to as the “Requirements for Certification (CCM-02)”) as well.

Information on the valid versions of the CC/CEM standards, forms (formats), sample forms, and other reference information related to this Scheme are published on the “IT Security Evaluation and Certification Scheme (JISEC)” website of the Certification Body.

The following shows the website of this Scheme for reference:

https://www.ipa.go.jp/security/jisec/jisec_e/index.html [in English]

3. Terms

Terms used in this Guidance correspond to those terms used in the “Requirements for Certification (CCM-02).”

4. Preparations for a Certification Application

This Chapter explains the preparations conducted by the applicant prior to submitting a certification application.

4.1 Confirmation of Information Related to Certifications

(1) Applications and procedures

The applicant shall refer to the “First-time Applicants” section on the website of the Certification Body, which provides information on applications and procedures.

https://www.ipa.go.jp/security/jisec/jisec_e/firsttime.html [in English]

(2) Forms

The latest versions of the forms used for applications are available from the “Download CCM-02-A Forms” section on the website of the Certification Body.

“Appendix 1” in this Guidance provides a list of forms used in this Guidance and a link to the website of the Certification Body. The applicant shall download the forms needed for each specific procedure and follow the sample forms and important notes when preparing documents to be submitted.

4.2 Preparation of the Target of Evaluation

The applicant shall prepare the items described below prior to a certification application.

Note that the working language of procedures and the application documents created by the applicant is either Japanese or English.

(1) Determination of the target of evaluation

The applicant shall identify the target of evaluation (either “TOE” or “PP”) to be certified and decide on the assurance package. The assurance package decision factors in the requests of the TOE procurement entities or PP users.

For a certification application, the applicant shall refer to the following reference documents on the website of the Certification Body.

- “Addendum Information for the Scheme”

It explains the important matters to be noted for a certification application.

- “Guideline for Determining the TOE in Certification Applications that Do Not Use PPs”

It describes a guideline for judging appropriateness in regard to determining the TOE scope in certification applications that do not conform to PPs.

In the case that the applicant would like to see previously certified products for reference, the applicant shall refer to the “Certified Product List” on the website of the Certification Body.

(2) Creation of the ST or PP

In the case that the target of evaluation is a TOE, the applicant shall create an ST in advance, and in the case that the target of evaluation is a PP, the applicant shall create a PP in advance to be submitted to the Evaluation Facility.

Applications will not be accepted if the ST or PP is insufficient or not of a level suitable for evaluation.

(3) Selection of the Evaluation Facility

The applicant shall select the optimal Evaluation Facility from the List of Evaluation Facilities on the website of the Certification Body. When deciding on an Evaluation Facility, the applicant confirms Evaluation Facilities’ expertise and evaluation equipment for the technical area of the product to be evaluated through interviews with evaluators and visits to Evaluation Facilities. The applicant also accounts for the timetable and costs when deciding on an Evaluation Facility.

The applicant, after selecting an Evaluation Facility, shall make an evaluation request and proceed with preparations.

(4) In the case that the assurance components in the certification application are beyond the scope of the Evaluation Facility’s approved assurance components, the certification application cannot be accepted. The applicant shall also understand no Certificate will be issued in the case that the Certification Body revokes the Evaluation Facility’s approval during the evaluation.

(5) Preparation of evaluation deliverables

(A) No evaluation deliverables need to be prepared in the case that the target of evaluation is a PP.

(B) In the case that the target of evaluation is a TOE, the applicant meets with the Evaluation Facility to decide on the object, the quantity, the period, and other particulars. To ensure the TOE evaluation can be properly conducted, the applicant shall construct a structure that makes the person with responsibility over the certification application for the life-cycle of the TOE product, including development, manufacturing, and delivery, the

“person responsible for the application.” The structure is also required to submit information to the Evaluation Facility and the Certification Body about relevant parties necessary for the evaluation and certification and to accommodate inspection at the sites. In the case that the applicant and the developer are different, in particular, the applicant shall obtain consent from the developer in advance on evaluation deliverables and accommodating on-site assessments. Applicants shall be aware that in the case that the submission of evaluation deliverables is limited, the evaluation assurance level may also be limited.

(C) The evaluation shall be completed within 12 months of the certification application. The applicant shall start the certification application procedure after confirming the submission of the evaluation deliverables.

(6) Confirmation and approval of the “Evaluation Work Plan”

Once the Evaluation Facility and the applicant have confirmed the certification details, the Evaluation Facility submits the “Evaluation Work Plan” (Form 4) and “Checklist for Impartiality and Independence of Evaluation (for the Evaluation Facility and for the Evaluator)” (Form 5-1 and Form 5-2) to the applicant. The applicant shall confirm the details of these documents and approve the documents (affix a name and signature) if there are no problems.

(7) Preparation of certification application fees

The Certification Body normally takes between 10 days and two weeks to accept a certification application from an applicant. An applicant that desires an invoice issuance in the month the certification application is submitted shall consult with the Certification Body prior to submitting the certification application. The Certification Body sends invoices for certification application fees to applicants around the 10th of the following month for applications that are processed for invoicing in the current month.

The applicant then remits the certification application fees to the specified bank account by the deadline described in the invoice (normally the last day of the month following the month the invoice is received).

Note that the applicant is responsible for bank transfer charges incurred when remitting fees to the specified bank account in any of the procedures stipulated in Chapter 5, 8, and 9. Note also that application fees, once paid, will not be refunded even if the application is withdrawn.

5. Procedures for a Certification Application

This Chapter explains the procedures leading up to the acceptance of the certification application.

5.1 Certification Application

The applicant shall prepare one copy of each of the documents described below necessary for the certification application and submit them (by postal mail) to the Certification Body. The applicant, however, shall store and submit the ST or PP described in Section 5.1 (4) (A) on CD-R or other digital media. In the case that the ST or PP cannot be submitted on digital media, the applicant shall submit it on paper media.

In case of not having acquired a certification under this Scheme before, the applicant shall consult with the Certification Body in advance. At the preliminary consultation, the applicant shall consult with the Certification Body in regard to the subsequent certification procedures based on the information about the overview of applicant business, the purpose of submitting application, the overview of the TOE and its security functionality, etc.

- (1) “Application for Certification” (TOE application: Form 1-1, PP application: Form 1-2)
 The applicant completes the items described below following the sample form on the website of the Certification Body.
 - (A) Name of the applicant
 The person with authority and responsibility over the application (“the person responsible for the application”) affixes a name and signature. The name (and the address) of the applicant will be recorded as the name of “Evaluation Sponsor” or “Protection Profile Sponsor” in the Certificate and the Certification Report. It is necessary to provide the information correctly, including spaces.
 - (B) TOE/PP name
 The applicant shall confirm that the name and version are consistent with the name and version recorded in the ST. It is also necessary to provide the TOE/PP name correctly, including spaces, because the name will be recorded on the Certificate exactly as provided here.
 - (C) Name of the person in charge of the application
 The applicant shall provide the contact information of the person in charge of the application, who communicates with the Certification Body about the application.
 The applicant shall promptly submit a “Request for Changing Record in Application Form” (Form 6) to the Certification Body in the case that the person, telephone number, or other contact information changes because otherwise the Certification Body will no longer be able to contact the applicant.
 The applicant shall promptly submit a “Request for Changing Person in Charge of Application for Certified Products” (Form 22) to the Certification Body in the case that the person in charge of the application or the contact information has changed after certification has been acquired.
 - (D) Name of Evaluation Facility
 The applicant shall provide the name of the Evaluation Facility that will conduct the evaluation on the target of evaluation.
 - (E) Name of the developer (TOE application) or PP author (PP application)
 The applicant shall provide the name of the developer of the target of evaluation or the name of the PP author. Providing a person other than the applicant is permissible.
 The name (and the address) of the developer or the PP author will be recorded as “Product Manufacturer” or “Protection Profile Developer” in the Certificate and the Certification Report. It is necessary to provide the information correctly, including spaces.
 - (F) An entity that provides the evaluation deliverables other than above (TOE application) or the procurement entity using the PP (PP application)
 In the case that, with a TOE application, confidential information is provided for a certification from an entity other than the applicant or the developer, the applicant shall describe the name of the entity that provides the evaluation deliverables. In the case of a PP application, the applicant shall provide the procurement entity using the PP.
 - (G) Evaluation criteria / evaluation methodology
 The applicant normally selects either Japanese CC/CEM Version 3.1 Release 5 or English CC/CEM Version 3.1 Release 5. In the case that a different evaluation criteria or evaluation methodology will be applied, the applicant selects “Other” and provides the name in the parentheses.
 - (H) Name of existing certified PP for conformance

The applicant shall provide this field in the case that the target of evaluation claims PP conformance.

(I) Product area

The applicant shall always select either “Software” or “Hardware.” The applicant shall select “Hardware” when smart cards or other hardware-based attack methods or vulnerability analyses are required. Otherwise, the applicant shall select “Software.” If this selection is unclear, the applicant shall contact the Certification Body in advance.

(J) Purpose of acquiring certification (TOE application) or reason for no procurement entity (PP application)

The applicant shall select or provide the primary purpose of making use of this Scheme.

(K) Related TOEs or PPs

The applicant shall provide this field if a prior application by the applicant is similar to or serves as a particular reference for the current application. The applicant shall provide information about previous certifications, especially in the case that the current application is for a subsequent version of the previously certified product.

(L) TOE or PP overview

(M) Publication of certification information

The applicant shall select one of the options for publication of certification information on the website of the Certification Body. Option 2 shall be selected in the case that the applicant desires to use the “Common Criteria Certification Mark” after acquiring certification in order to qualify for CCRA mutual recognition.

- 1 Publishing only the overview of the TOE (or PP), the name of the applicant, the name of the supplier (TOE application) or the procurement entity (PP application), and the name of the Evaluation Facility.
- 2 Publishing the ST (or PP) and the Certification Report in addition to the information in Option 1.
- 3 Do not publish any information.

The schedule of evaluation and certification operations varies depending on whether the applicant selects to publishing or not publishing information. The applicant, therefore, cannot change the publication level (3 to 2, 3 to 1, or 1 to 2) after submitting the Application for Certification form.

(2) Document proving the corporate status

- (A) The applicant shall submit a certificate of the registered matters of the company or corporation or equivalents.
- (B) The applicant shall submit the latest original document issued within the last six months. Copies are not acceptable.
- (C) Overseas corporations may substitute an original tax payment certificate issued by an official agency.
- (D) In the case that submitted original documents, such as the document proving the corporate status, are not in Japanese or English, the applicant shall submit a Japanese translation or English translation of the original documents along with the original documents. If neither Japanese nor an English translation is submitted, the application will not be accepted.
- (E) The applicant does not need to submit a document proving the corporate status for second and subsequent certification applications provided that the current application is made within two years, calculated from the acceptance date of the previous application for which a document proving the corporate status was submitted, and provided that the

details of the document have not changed. In this case, the applicant shall select “Submitted with the previous application” on the certification application form and provide the reception date and reception number of the previous application.

- (F) In the case that the applicant submits multiple applications on the same date, it is not necessary to attach a document proving the corporate status to the second and subsequent applications. In this case, the applicant shall select “Attached to another application submitted on the same date” on the Application for Certification form.
- (3) “Written Oath” (Form 3)
- (4) The documents described below related to the target of evaluation
- (A) The ST (or the PP in the case of a PP certification application)
 - (B) The conformance PP (in the case that the ST claims PP conformance)
 - (C) List of evaluation deliverables and the submission schedule
The applicant creates a list of the names of the evaluation deliverables to be submitted to the Evaluation Facility and their submission schedule.
 - (D) Materials to aid understanding the TOE (such as a catalog for the IT products, etc., that is the target of the evaluation)
- (5) “Evaluation Work Plan” (Form 4)
The applicant shall confirm the plan created by the Evaluation Facility against the evaluation work plan agreed to with the Evaluation Facility and submit the approved (with a name and signature) original.
- (6) “Checklist for Impartiality and Independence of Evaluation (Evaluation Facility)” (Form 5-1) and “Checklist for Impartiality and Independence of Evaluation (Evaluator)” (Form 5-2)
The applicant shall submit originals of these documents confirmed by the Evaluation Facility and evaluator regarding the impartiality and independence of evaluations conducted by the Evaluation Facility and evaluator.
- (7) Documents prescribing any evaluation methodology other than “CC/CEM” listed in Appendix A (1) and (2) of the “Scheme Document (CCS-01)” (if applicable)
In the case that the Evaluation Facility will use a document that is not part of the standards prescribed under this Scheme, the applicant shall submit the document to the Certification Body on digital media, as a rule.
- (8) In the case that it is necessary to delegate the privileges of the person responsible for the application or the person in charge of the application to an agent, a “letter of authorization” from the person responsible for the application shall be submitted.

5.2 Conclusion of a Non-Disclosure Agreement

- (1) The applicant submits two copies of the “Non-Disclosure Agreement” (Form 12-1) to the Certification Body and concludes an agreement to protect the confidentiality of information exchanged with the Certification Body.
- (2) In the case that relevant parties other than the applicant (such as outsourcing contractors for development, manufacturing, or delivery or vendors of components or software platforms included in the target of evaluation) shall submit evaluation deliverables (including evaluations conducted on site) related to a certification application, the relevant parties may conclude an agreement to protect the confidentiality of information exchanged with the Certification Body after submitting two copies of the “Non-Disclosure Agreement” (Form 12-2) to the Certification Body via the applicant.
- (3) The applicant shall create the “Non-Disclosure Agreement” with reference to the sample

“Non-Disclosure Agreement” on the website of the Certification Body and submit two copies of the Non-Disclosure Agreement with a name and signature together with the set of application documents. The Certification Body shall provide the effective date on the “Non-Disclosure Agreement,” affixes its seal to both copies, and retains one copy and returns the other copy.

5.3 Acceptance of the Certification Application

- (1) In the case that the documents described in Section 5.1 and 5.2 submitted to the Certification Body are sufficient and complete, the Certification Body will send a “Notification of Confirmation of Evaluation Work” (Form 13) stating the reception number and the reception date to the applicant and the Evaluation Facility.

In the case that the submitted documents are not complete, the Certification Body will instruct the applicant to submit the necessary documents within a specified time period. The applicant shall promptly respond to the instruction. In the case that the applicant cannot respond within the specified time period, the applicant shall answer promptly stating when it can respond.

- (2) The Evaluation Facility may commence the official evaluation under this Scheme on or after the Evaluation Work Plan confirmation date described in the “Notification of Confirmation of Evaluation Work.”
- (3) In the case that the applicant cannot submit the necessary documents within the specified time period, the Certification Body will reject the application and return the set of application documents.

5.4 Application Fees

The Certification Body will send an invoice for the application fees incurred in the certification application as prescribed in “Appendix 2” in this Guidance. The applicant shall remit the application fees to the specified bank account by the deadline described in the invoice (normally the last day of the month following the month the invoice is received). If the payment of the application fees would not be found on the deadline, the Certification Body will assume that the applicant has withdrawn the application and will be on the process of withdrawing.

Application fees, once paid, will not be refunded even if the application is withdrawn. If the application fees would not be remitted, the Certification Body has no obligation to make a start on the work related to the certification.

6. Evaluation and Certification

This Chapter explains the procedures and recommendations related to evaluations by the Evaluation Facility and certifications by the Certification Body after the certification application has been received.

6.1 Kick-off Meeting

- (1) The applicant shall respond to the request from the Certification Body to participate in the kick-off meeting.

The kick-off meeting may be omitted if the three parties — the applicant, the Evaluation Facility, and the Certification Body — consent to its omission, in the case, for example, that a similar application was made in the past.

- (2) The applicant, the Evaluation Facility, and the Certification Body meet at the kick-off meeting prior to the conduct of evaluation to discuss the matters described below.

- (A) Clarification of the points of contact (primary and secondary) at the applicant, the Evaluation Facility, and the Certification Body
The applicant may set a person other than the person in charge of the application as the person who is materially the point of contact for the certification.
- (B) Confirmation of evaluation and certification work schedule
The parties confirm the evaluation work schedule and the schedule related to certification after the Evaluation Facility has submitted the Evaluation Technical Report to the Certification Body. The Certification Body examines the appropriateness, objectivity, and repeatability of the evaluation during the certification period.
- (C) Confirmation of site visit arrangements
The parties confirm the purpose, location, and timetable of site visits.
- (D) Confirmation of the address of the applicant when sending copies of “Certification Oversight Reviews”
In the case that the Certification Body has matters to confirm or point out in response to an Observation Report or an Evaluation Technical Report (draft) from the Evaluation Facility, the Certification Body will issue a “Certification Oversight Review” to the Evaluation Facility. The Certification Body will also send a copy of the “Certification Oversight Review” to the applicant. The copy makes it possible for the applicant to ascertain the evaluation matters being discussed by the Certification Body and the Evaluation Facility.
- (E) Final confirmation of the publication of certified product information and conditions on any publications
The parties confirm the details applied for on the certification application form. The parties, in particular, reconfirm here the application details related to the publication of certification information because the application cannot be changed to “publish” later on.
- (F) The parties reach an agreement on how to securely exchange digital information required for the evaluation and certification. The use of PGP as an encryption method is recommended under this Scheme.
- (G) Confirmation of evaluation and certification details
The applicant or developer explains the ST up to Chapter 3 (ST overview, conformance claims, and definitions of security issues). The purpose is for the parties to discuss problems or concerns about the TOE name and scope, the security environment, or other matters and, if there are matters of concern, to confirm that the matters of concern are made targets of the evaluation when the evaluation is conducted.

6.2 Conduct of Evaluation

- (1) Start date of the evaluation
The start date of the evaluation under this Scheme is on or after the confirmation date of the evaluation work plan listed on the “Notification of Confirmation of Evaluation Work” issued by the Certification Body.
- (2) Evaluation deliverables
The applicant shall submit the evaluation deliverables in accordance with the submitted schedule to the Evaluation Facility. In the case that the Certification Body determines it requires the evaluation deliverables, the applicant shall submit the evaluation deliverables in response to a request from the Certification Body.
- (3) Accommodation of site visits
In the case that the Evaluation Facility and the Certification Body shall conduct site inspections

of development, manufacturing, delivery, or other locations, the applicant accommodates requests to visit the development, manufacturing, delivery, or other locations.

(4) Response to an “Observation Report”

(4) In the case that the Evaluation Facility detects a problem during evaluation work, the Evaluation Facility will issue an “Observation Report” to the applicant and the Certification Body. The applicant shall confirm the details of the “Observation Report” and shall strive to promptly resolve the problems.

(5) Confirmation of a Certification Oversight Review

In the case that the Certification Body has matters to confirm during the certification work, the Certification Body will issue a “Certification Oversight Review” to the Evaluation Facility. The Certification Body will also send a copy of the “Certification Oversight Review” to the applicant. The applicant shall always confirm the details of the “Certification Oversight Review.”

(6) Issuance of the “Memorandum for Product in Evaluation”

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

The applicant shall always complete the following items on the “Memorandum for Product in Evaluation”:

(A) Date of issue

(B) Name and signature of the person responsible for the application (the company seal is not necessary)

(C) The name of the issuer and contact information (telephone number, e-mail address)

(D) The reception number of the certification application

(E) The type of communication (contact, consultation, opinion, complaint, etc.)

(F) The details of the communication

The Certification Body will promptly respond with an answer after receiving the “Memorandum for Product in Evaluation.”

6.3 Confirmation of the Evaluation Technical Report

(1) The Evaluation Facility, after completing the evaluation, submits an “Evaluation Technical Report (draft)” to the applicant and the Certification Body. One “Evaluation Technical Report (draft)” may be submitted for each assurance class.

(2) The applicant shall confirm the details of the “Evaluation Technical Report (draft)” and, in the case that the applicant determines the “Evaluation Technical Report (draft)” describes inaccuracies or factual misunderstandings, shall take necessary measures in consultation with the Evaluation Facility.

(3) The Certification Body reviews the “Evaluation Technical Report (draft)” and assesses whether the evaluation process and evaluation results are appropriate.

(4) In the case that the Certification Body has matters to point out during the certification work, the Certification Body will issue a “Certification Oversight Review” to the Evaluation Facility. The Evaluation Facility shall promptly respond to the details in the “Certification Oversight Review.”

(5) In the case that the Certification Body determines, during the certification work, that the evaluation process and evaluation results in the “Evaluation Technical Report (draft)” are

appropriate, the Evaluation Facility will officially issue the “Evaluation Technical Report.”

6.4 Confirmation of the Certification Report

- (1) The Certification Body submits a “Certification Report (draft)” to the applicant after the Evaluation Facility issues the official “Evaluation Technical Report” to the Certification Body.
- (2) The applicant shall confirm the details of the “Certification Report (draft)” and, in the case that the “Certification Report (draft)” describes inaccuracies or factual misunderstandings, the applicant may point out these problems to the Certification Body.
- (3) In the case that the Certification Body determines that the indications are appropriate, the Certification Body will add to or revise the details of the “Certification Report (draft).” The Certification Body will inform the applicant of the additions or revisions.

7. Procedures during a Certification Application

This Chapter explains the procedures from the time the certification application is received to the time the certification is acquired.

The Certification Body confirms the documents submitted in each item described below and, if there are no problems, informs the applicant that the documents have been accepted and conducts the prescribed procedure.

7.1 Publication of Information on a Product in Evaluation

- (1) In the case that the applicant desires information on a product in evaluation to be published on the website of the Certification Body, the applicant shall complete the required items on a “Request for Publication of Product in Evaluation” (Form 11) and submit it to the Certification Body.
- (2) The request pursuant to Section 7.1 (1) shall be received at least one month prior to the desired publication date. The applicant shall submit the request two weeks before the desired publication date at the very latest.
- (3) In the case that changes are necessary to information published on the website, the applicant completes the necessary items on a “Request for Publication of Product in Evaluation” (Form 11) and submits it to the Certification Body.

7.2 Corrections to Records on an Application for Certification

- (1) In the case that a change or correction occurs to records on an “Application for Certification” (TOE: Form 1-1, PP: Form 1-2), the applicant promptly submits a “Request for Changing Record in Application Form” (Form 6) to the Certification Body.
- (2) In the case that the corporation desires to succeed the status of the applicant due to a business succession or other reason, the succeeding applicant shall attach documents proving the fact of the change (including a document proving the corporate status) to a “Request for Changing Record in Application Form” (Form 6) and submit them to the Certification Body.
In case of not having acquired a certification under this Scheme before, the succeeding applicant shall consult with the Certification Body in advance.
- (3) In the case that the name of the Evaluation Facility listed on the “Application for Certification” changes, the applicant does not need to submit a “Request for Changing Record in Application Form” because the Evaluation Facility will send a notification to the Certification Body. The applicant shall use the new Evaluation Facility name in procedures under this Scheme after the

Certification Body has accepted the name of the Evaluation Facility change.

7.3 Corrections to Attached Documents other than an Application for Certification

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

7.4 Withdrawing a Certification Application

- (1) In the case that the applicant desires to withdraw a certification application, the applicant shall submit a “Request for Withdrawal of Application” (Form 7) to the Certification Body.
- (2) The Certification Body will retain the documents submitted by the applicant based on the Non-Disclosure Agreement and will dispose of the documents once the retention period expires.

7.5 Limits on Evaluation Periods and Procedure in the Event of a Delay

- (1) Important notes about limits on the evaluation period
 - (A) The Evaluation Facility shall complete the evaluation within 12 months, as a rule, from the acceptance date of the certification application. The issue date on the Evaluation Technical Report is taken to be the completion date of the evaluation.
 - (B) In the case that the evaluation is not completed by the evaluation completion deadline, the Certification Body will assume the applicant has withdrawn the certification application.
- (2) Procedure in the event of a delay to the evaluation schedule
 - (A) The Evaluation Facility conducts evaluation work based on the evaluation schedule in the “Evaluation Work Plan” (Form 4).
 - (B) In the case that the evaluation work is expected to be delayed by more than two weeks from the scheduled completion date of any of the assurance classes on the evaluation schedule, the applicant, in consultation with the Evaluation Facility, revises the evaluation schedule in the “Evaluation Work Plan” and has the Evaluation Facility submit the revised version to the Certification Body.
 - (C) In the case that the Evaluation Facility does not submit the revised version of the “Evaluation Work Plan” to the Certification Body as specified in Section 7.5 (2) (B), the evaluation work may be suspended. The applicant shall be aware that, in such a case, the suspension may prevent the certification from being completed within the desired time period of the applicant.
 - (D) In the case that three months have passed without the Evaluation Facility submitting the revised version of the “Evaluation Work Plan” to the Certification Body as described in Section 7.5 (2) (B), the Certification Body will inform the applicant to report the reason for the delay by a method in which a record of the delivery is kept. The applicant shall respond with an answer within 30 days of receiving the notification.
 - (E) In the case that the Certification Body determines there are no expectations the evaluation can be completed within 12 months due to the reason for the delay given by the applicant, or in the case that no answer is received from the applicant within 30 days of receiving the notification pursuant to Section 7.5 (2) (D), the Certification Body will assume the applicant has withdrawn the certification application and conduct the withdrawal procedure.

7.6 Conduct of Site Visits

(1) Accompanying site visits by the Certification Body

The Certification Body accompanies the Evaluation Facility on site visits in order to confirm the evaluation is appropriately conducted. The Certification Body, however, may choose to not accompany the Evaluation Facility in consideration of the past site visits.

(2) Accommodating site visits

The Evaluation Facility will present a plan to the applicant for the examinations of development, manufacturing, delivery, and other sites and for TOE tests. The applicant, therefore, shall accommodate the site examination and other aspects together with the relevant parties at the visit destinations.

(3) Expenses incurred in site visits

The applicant shall be responsible for the travel expenses incurred in the site visit that the Certification Body accompanies.

The travel and other expenses necessary for the site visits that the Certification Body accompanies shall be as described below.

- (A) The applicant shall be responsible for the travel expenses incurred in site visits in Japan which is 100 km or more away from the location of the Certification Body.
- (B) The applicant shall be responsible for the actual travel and accommodation expenses incurred in visits to overseas sites including development sites.
- (C) The Certification Body will send an invoice for the travel expenses incurred in the site visit. The applicant shall remit payment to the specified bank account by the deadline described in the invoice. The applicant is responsible for all bank transfer charges.

8. Procedures after Acquiring Certification

This Chapter explains the procedures after acquiring certification for the IT products, etc.

The Certification Body confirms the documents submitted in each item described below and, if there are no problems, informs the applicant that the documents have been accepted.

Applications for the procedures described in this Chapter can be submitted any time while the IT products, etc., is on the Certified Product List, unless noted otherwise. The applicant shall be aware that applications and requests cannot be submitted once the information on IT products, etc., has been moved to the Archived Certified Products List on the website of the Certification Body.

8.1 Granting Certification

The Certification Body issues the applicant a “Certificate (in Japanese)” (Form 15-1, 15-2) and a “Certification Report” (Form 14-1, 14-2) after the applicant has completed the confirmation of the “Certification Report (draft)” pursuant to Section 6.4. In the case of a PP certification, the Certification Body issues the applicant a “Certificate (in Japanese)” (Form 15-3) and a “Certification Report” (Form 14-3).

The applicant shall manage and retain the issued “Certificate” and “Certification Report.”

8.2 Publication of Information on the Certified Product List on Website

(1) Publication of information about a certified product

In the case that the applicant selected “publication of certification information” on the “Application for Certification” (TOE: Form 1-1, PP: Form 1-2) at the time of the certification application, information about a certified product is published on the Certified Product List on

the website of the Certification Body.

Refer to Section 5.1 (1) (N) and 6.1 (2) (E).

The procedure described below is conducted for applicants that selected “publication of certification information.”

- (A) The information published on the Certified Product List is based on the “Application for Certification” submitted at the time of the application. The information remains published on the Certified Product List for a maximum of five years from the effective date on the “Certificate.”

The Certification Body, after completing certification work, sends by email or other means a “Certified Product List (Japanese version / English version) (draft)” to the applicant in order to confirm the information to be published. The applicant shall confirm the details to be published, complete the entries for the supplier and contact information, and return it to the Certification Body. In the case that the applicant has selected the ST to be published, the applicant shall submit the ST as a printable PDF file.

Note that the “supplier” field on the Certified Product List means the inquiry point for procuring the certified product. The applicant may provide a supplier different from the applicant.

The Certification Body normally publishes the information on the Certified Product List on its website about 10 days after the certification date.

- (B) In the case that the applicant desires the information to be published on the Certified Product List on a specific date because of a press conference or other reasons, the applicant shall take the measures described below. The measures can be taken provided that the specific date is fixed within three months from the certification date.

The applicant shall submit the documents described below in the case that it specifies the date of publication on the Certified Product List.

- i) The applicant shall submit in writing (any format is acceptable) that it desires to specify the publication date to the Certification Body after the Certification Body has sent the “Certified Product List (Japanese version / English version) (draft)” pursuant to Section 8.2 (1) (A).

The applicant shall always complete the following items in writing:

- a) Date of issue;
- b) Name and signature of the person responsible for the application (the company seal is not necessary);
- c) The name of the issuer and contact information (telephone number, e-mail address);
- d) The reception number of the certification application;
- e) The reason for specifying the publication date (in brief, for example: “publication in keeping with the press conference date”); and
- f) The specified publication date (if unknown, the expected specified publication date).
 - In the case that the specified publication date is within one month of the certification date, the Certification Body will publish the information on the Certified Product List on the specified date.
 - In the case that the specified publication date is more than one month from the certification date, the applicant shall submit the documents specified in ii) below on a later date. The Certification Body will not publish the

information until the documents specified in ii) below arrive.

- ii) The applicant shall submit in writing (any format is acceptable) a request to commence publication of the information to the Certification Body between one month and two weeks before the specified publication date.

The applicant shall always complete the following items in writing:

- a) Date of issue;
- b) Name and signature of the person responsible for the application (the company seal is not necessary);
- c) The name of the issuer and contact information (telephone number, e-mail address);
- d) The reception number of the certification application; and
- e) The specified publication date and a statement “requesting publication.”

(2) The Certification Mark

An applicant that has been granted a certification may make use of the “Certificate” based on the important notes pursuant to Section 8.4 and the Certification Mark pursuant to Section 8.3 in advertising and promotions of the certified IT products, etc.

- (3) In the case that the applicant desires to publish an English version of the Certification Report and ST on the English Certified Product List page on the website of the Certification Body pursuant to Section 8.2 (1), the applicant may make a request to this effect. (Refer to Section 8.8 for details.)

(4) Archived Certified Products List

In the case that any of the conditions described below apply, published information about the certified product will be moved from the Certified Product List on the website of the Certification Body to the Archived Certified Products List on the same website.

- (A) The applicant has submitted notification that the certified product has been discontinued with a “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” (Form 19).
- (B) The applicant has submitted notification to withdraw the registration of the certified product with a “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” (Form 19).
- (C) The Certification Body has revoked the certification of the certified product.
- (D) Five years have passed since the information was published on the Certified Product List.

8.3 Important Notes about the “Certification Mark” and the “Common Criteria Certification Mark”

(1) The Certification Mark

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

The Certification Mark



(2) The Common Criteria Certification Mark

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

The Common Criteria Certification Mark



8.4 Important Notes about Advertising and Promoting Certified Products

- (1) The Certification Body retains exclusive rights regarding the use of the “Certification Mark.” The Certification Body also retains exclusive rights regarding the use of the “Common Criteria Certification Mark” in Japan.
- (2) The Certification Mark and the Common Criteria Certification Mark
An applicant that has received the issuance of a “Certificate” may use the Certification Mark or the Common Criteria Certification Mark in advertising, marketing, and sales of the IT products, etc., for which the Certificate was issued. The applicant, however, may not use the marks for a version of the IT products, etc., that is different from the version recorded on the “Certificate” and the applicant may not act in such a way that invites misunderstandings, such as statements that suggest the certification assures the quality of the IT products, etc., itself.
- (3) In the case that the applicant mentions that the IT products, etc., have been certified in instruction manuals or other explanatory materials, the applicant shall also provide a statement that clarifies the meaning and scope of the certification.

[Sample statement]

The information security certification acquired for this product indicates that the evaluation of the product was conducted, and the evaluation results for the product were verified, in accordance with the provisions of the “IT Security Evaluation and Certification Scheme.” The certification does not in any way express or implies a warranty that the product is free of vulnerabilities or a warranty that it is equipped with the necessary security functions for a specific operational environment.

- (4) In the case that the applicant uses the Certification Mark or the Common Criteria Certification Mark, the applicant shall provide a statement that clarifies the meaning and scope of the certification together with the Certification Mark in a prominent location.

[Sample statement] (in the case that the Common Criteria Certification Mark is used, replace the “*Certification Mark*” with the “*Common Criteria Certification Mark*”)

The *Certification Mark* indicates that the evaluation of the product was conducted, and the evaluation results for the product were verified, in accordance with the provisions of the “IT Security Evaluation and Certification Scheme.” The *Certification Mark* does not in any way express or implies a warranty that the product is free of vulnerabilities or a warranty that it is equipped with the necessary security functions for a specific operational environment.

8.5 Notifications Related to a Certified Product

(1) Notification of vulnerability related information

In the case that the applicant or developer detects vulnerability related information for a certified product, the applicant shall promptly inform the Certification Body with a “Report on Vulnerability Related Information” (Form 21).

The applicant shall be aware that neglecting this notification may result in the certification being suspended or revoked.

(2) Notification of discontinuance or certification withdrawal

In the case that either of the conditions described below applies to an applicant, the applicant shall promptly inform the Certification Body of the conditions with a “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” (Form 19).

(A) The applicant has discontinued sales of the certified product because production has been discontinued.

(B) The applicant has determined that the certified product cannot maintain its certification.

The applicant shall be aware that neglecting this notification may result in the certification being suspended or revoked. Note that a “Notification of Discontinuance of Certified Products and Withdrawal of Certificate” may not be submitted during surveillance.

(3) Notification of changing the person in charge of a certification application

The applicant shall promptly submit a “Request for Changing Person in Charge of Application for Certified Products” (Form 22) to the Certification Body in the case that the person in charge of the application or the contact information on the form of “Application for Certification” has changed.

The applicant shall promptly carry out this procedure because otherwise the Certification Body will not be able to contact the applicant if the contact details change, such as person in charge or telephone number.

(4) Notification of changes to records on the Certified Product List

In the case that a change occurs to the supplier or contact information for a certified product published on the Certified Product List on the website of the Certification Body, the applicant shall promptly submit a “Request for Changing Record in Certified Product List” (Form 17).

The applicant shall promptly carry out this procedure because otherwise the procurement entities or users will not be able to inquire about the certified product if the person in charge, telephone number, or other contact details change.

8.6 Notification of Changes to Records on a Certificate, etc.

- (1) In the case that any of the conditions described below apply, the applicant shall attach documents proving the fact of the name change (including a document proving the corporate status) to a “Request for Changing Record in Certificate, etc.” (Form 8) and submit them to the

Certification Body within 30 days, calculated from the date the change occurred.

- (A) The corporate name of the applicant changed
- (B) The corporation changed due to the business transfer or merger relating to the certified products

In the case that the corporation desires to succeed the status of the applicant due to the business transfer or other reason, the succeeding corporation shall attach documents of this paragraph and submit them to the Certification Body.

In case of not having acquired a certification under this Scheme before, the succeeding corporation shall consult with the Certification Body in advance.

- (C) The corporate address of the applicant changed
- (2) In the case that the circumstances pursuant to Section 8.6 (1) have occurred, the Certification Body will conduct surveillance as prescribed in Section 10.1 as needed. The succeeding corporation shall cooperate with the Certification Body.
 - (3) The Certification Body will update details on the Certified Product List on its website with the approval of the change request.
 - (4) In the case that the applicant desires the reissuance of a “Certificate,” “English Version of Certificate,” “Certification Report,” or “Assurance Continuity Maintenance Report,” the applicant shall submit a “Request for Reissuing Certificate, etc.” (Form 9) to the Certification Body.

8.7 Application to Issue an English Version of Certificate

- (1) The applicant shall submit an “Application for Issuing English Version of Certificate” (Form 10) to the Certification Body in the case that the applicant desires an “English Version of Certificate” (Form 16-1, Form 16-2, or Form 16-3) to be issued.
- (2) The Certification Body will send an invoice for the application fees relating to issuing the English version of Certificate as prescribed in “Appendix 2.” The applicant shall remit the application fees to the specified bank account by the deadline described in the invoice.

8.8 Publication of an English Version of Certification Report and ST

- (1) In the case that the applicant desires to publish an English version of Certification Report and ST on the English Certified Product List page on the website of the Certification Body, the applicant shall submit a “Request for Publication of English version of Certification Report and ST” (Form 18) and the English translations of such (the English version of the Certification Report and the English version of the ST) to the Certification Body.

This request may be made provided that an application to issue the “English Version of Certificate” is made and that less than one year has passed since the effective date of the “Certificate.”

The applicant shall faithfully translate the details of the originals into English. In the case that a request to confirm the details of the published English documents is made, the applicant shall promptly respond.

- (2) The English version of Certification Report and ST will be published on the website of the Certification Body and then on the Certified Product List on the official website of CCRA.

8.9 Reissuing a Certificate, English Version of a Certificate, or Other Document

- (1) In the case that the applicant desires the reissuance of a “Certificate,” “English Version of Certificate,” “Certification Report,” or “Assurance Continuity Maintenance Report” due to a

change in the corporate name, the loss of the document, or other reason, the applicant shall submit a “Request for Reissuing Certificate, etc.” (Form 9) to the Certification Body.

- (2) The Certification Body, after completing the reissuance procedure, will reissue the documents to the applicant.

In the case of a “Certificate,” a change history will be written on the back of the form.

- (3) The Certification Body will send an invoice for the application fees relating to reissuing the documents as prescribed in “Appendix 2.” The applicant shall remit the application fees to the specified bank account by the deadline described in the invoice.

9. Assurance Continuity Procedures

Assurance Continuity is the approval of maintaining certification of an IT products, etc., including changes to the certified IT products, etc., or its development environment in the case that the changes have been confirmed to have only a small impact on security.

The applicant shall refer to “Assurance Continuity: CCRA Requirement Ver. 2.1” and “Impact Analysis Report Preparation Guidance, Version 2.0,” which are available on the website of the Certification Body, for more details about Assurance Continuity and Impact Analysis Reports.

The applicant shall download and use the forms and checklists as needed.

“Assurance Continuity: CCRA Requirement Ver. 2.1”

<https://www.commoncriteriaportal.org/files/operatingprocedures/2012-06-01.pdf>

“Impact Analysis Report Preparation Guidance, Version 2.0,” and its checklist

https://www.ipa.go.jp/security/jisec/assurance_continuity/index.html [in Japanese only]

9.1 Preparations for Assurance Continuity Procedures

The applicant shall prepare the matters described below prior to submitting applications for Assurance Continuity procedures.

- (1) Creation of an “Impact Analysis Report”

The applicant completes details on the “Impact Analysis Report” proving that the subsequent versions of the certified IT products, etc., do not impact the certification.

- (2) Preliminary review of the “Impact Analysis Report”

The applicant shall submit the documents described below to the Certification Body and request a preliminary review in order to confirm the appropriateness of Assurance Continuity.

The Certification Body will inform the applicant of the reception number and reception date if the submitted documents are found to be sufficient and complete. In the case that the submitted documents are insufficient, the Certification Body will instruct the applicant to submit the necessary documents within a specified time period. The applicant shall promptly respond.

In the case that the applicant does not submit the necessary documents within the specified time period, the Certification Body will reject the application and return the set of application documents.

Note that no application fees are charged for the preliminary review.

(A) “Request for Preliminary Review of Assurance Continuity” (Form 20)

(B) “Impact Analysis Report”

(C) “Checklist for Assurance Continuity Application” (addendum to the Impact Analysis Report Preparation Guidance)

- (3) Confirmation of the application methods for each preliminary review result
The Certification Body reports one of the following preliminary review results to the applicant and conducts the applicable procedure.
- (A) In the case that the Certification Body determines “the change is minor and applying for Assurance Continuity is permissible”
The applicant submits the Assurance Continuity application pursuant to Section 9.2. In the case that the Certification Body determines a subset evaluation is necessary, the applicant selects an Evaluation Facility to conduct the subset evaluation and submits the Impact Analysis Report and other documents to the Evaluation Facility.
- (B) In the case that the Certification Body determines “the change is major and a certification application with an evaluation by an Evaluation Facility is necessary”
The applicant submits a certification application in accordance with the procedure specified in Section 5.1.

9.2 Application for Assurance Continuity

- (1) The applicant shall prepare one copy of the documents described below necessary for an Assurance Continuity application and submit them to the Certification Body. The applicant, however, shall submit document (B) on CD-R or other digital medium. In the case that it cannot be submitted on digital media, the applicant shall submit it on paper media.
- (A) “Application for Assurance Continuity” (Form 2)
The applicant shall provide the following items referring to the sample form on the website of the Certification Body.
- i) Name of the applicant
The person with authority and responsibility over the application (“the person responsible for the application”) affixes a name and signature. In the case that the privileges of the person responsible for the application are delegated, a “letter of authorization” from the person responsible for the application is attached.
 - ii) Certification number
The applicant shall provide the certification number of the certified TOE.
 - iii) The name and TOE version for the Assurance Continuity application
The applicant shall confirm that the name and version are consistent with those on the “Impact Analysis Report.”
 - iv) Summary of the change from the certified TOE
The applicant shall provide a brief description of the change.
 - v) Person in charge of the application
The applicant shall provide this field in reference to Section 5.1 (1).
- (B) “Impact Analysis Report”
The applicant shall submit the final version of the “Impact Analysis Report” (official version) on digital media.
- (C) In the case that a subset evaluation will be conducted, the applicant shall also submit an “Evaluation Work Plan” (Form 4) and a “Checklist for Impartiality and Independence of Evaluation” (Form 5-1 and Form 5-2).
- (2) Applications for Assurance Continuity may be submitted within two years of the effective date of the “Certificate.”
- (3) Refer to Section 7.2, 7.3, and 7.4 for the procedures for applications submitted during an application for Assurance Continuity.

9.3 Reception and Acceptance of the Assurance Continuity Application

- (1) The Certification Body will inform the applicant of the reception number and reception date if the submitted documents described in Section 9.2 are found to be sufficient and complete.
In the case that the submitted documents are insufficient, the Certification Body will instruct the applicant to submit the necessary documents within a specified time period. The applicant shall promptly respond.
- (2) In the case that the applicant does not submit the necessary documents within the specified time period, the Certification Body will reject the application and return the set of application documents.

9.4 Application Fees Accompanying Assurance Continuity

The Certification Body will send an invoice for the application fees relating to Assurance Continuity as prescribed in “Appendix 2” in this Guidance. The applicant shall remit the application fees to the specified bank account by the deadline described in the invoice.

9.5 Assurance Continuity Assessment

- (1) In the case that the Certification Body requests the applicant to participate in a kick-off meeting to conduct the Assurance Continuity procedures, the applicant shall respond to the request.
- (2) In the case that the Certification Body requires the submission or confirmation of necessary information, or the conduct of another impact analysis, the applicant shall promptly respond.
- (3) In the case that a subset evaluation is conducted, the applicant shall submit the evaluation deliverables necessary for the evaluation to the Evaluation Facility. The Evaluation Facility ultimately submits an Evaluation Technical Report for all assurance components also necessary for the subset evaluation to the Certification Body.

9.6 Confirmation of the Assurance Continuity Maintenance Report

The applicant confirms the details of the “Assurance Continuity Maintenance Report (draft)” submitted by the Certification Body and, in the case that the applicant determines the “Assurance Continuity Maintenance Report (draft)” describes inaccuracies or factual misunderstandings, the applicant may point out these problems to the Certification Body.

9.7 Approval of Assurance Continuity

The Certification Body will approve maintaining the certification including the changes, after the applicant confirms the “Assurance Continuity Maintenance Report (draft)” in Section 9.6.

- (1) Maintaining certification is approved
 - (A) The Certification Body issues an “Assurance Continuity Maintenance Report” to the applicant.
 - (B) Information about the Assurance Continuity will be published for the certified TOE on the Certified Product List on the website of the Certification Body. For the TOE publication and related matters, refer to Section 8.2.
Note that publication of the English Version of Assurance Continuity Maintenance Report will be accepted provided that the English Version of Certification Report is published as specified in Section 8.8 at the time of certification.
- (2) Maintaining certification is not approved
The Certification Body issues an “Assurance Continuity Maintenance Report” that describes

“Failure” to the applicant.

The applicant shall submit a new certification application in order to acquire certification for the IT products, etc., of which Assurance Continuity was not approved.

10. Certification Suspensions and Revocations

10.1 Surveillance

(1) Conducting surveillance

In the case that any of the conditions described below apply to a certification, the Certification Body may conduct surveillance on the applicant.

- (A) Concerns have been raised about the conformity of the IT products, etc., with the matters prescribed in the provisions due to complaints or information provided from the Evaluation Facility or other relevant parties or from users of the certified product.
- (B) A notification has been made about the detection of vulnerability-related information for the certified product.
- (C) The Certification Body has determined surveillance is necessary for other reasons.

(2) Cooperating with surveillances

In the case that the Certification Body sends a “Notification of Surveillance to be Conducted” (stating the purpose and details) to an applicant, the applicant shall respond in accordance with the instructions in the notification by the specified deadline.

(3) Publication on the website

In the case that the certified product under surveillance is published on the website of the Certification Body, the Certification Body will publish that certification surveillance is being conducted.

(4) Assessment of the Evaluation Facility

In the case that there are concerns that impact the original evaluation as a result of the Certification Body’s surveillance, the Certification Body will confirm the evaluation results with regard to the Evaluation Facility that conducted the evaluation.

(5) Response to the results of the surveillance

- (A) In the case that the Certification Body determines that there is no impact on the current certification status as a result of the surveillance (i.e., the certification can be maintained), the Certification Body will issue a “Surveillance Report.”
- (B) In the case that there are matters to be confirmed about the indicated problems as a result of the surveillance, the Certification Body will inform the applicant about one or both of the results described below on a “Report on Surveillance Results.” The applicant shall take measures appropriately.
 - i) Corrective actions
 - ii) Re-evaluation

(6) Completion of surveillance

The Certification Body, after the surveillance is complete, will send a “Surveillance Report” giving the results of the surveillance to the applicant. The Certification Body will publish the “Certification Report” and the “Surveillance Report” on the website of the Certification Body and indicate that the surveillance is complete.

(7) Necessary expenses incurred in surveillance

The Certification Body may conduct visits of development sites and other locations to conduct

the surveillance. The travel and other necessary expenses for surveillance are the same as those specified in Section 7.6, and the Certification Body will send an invoice to the applicant. The applicant shall remit payment to the specified bank account by the deadline described in the invoice. The applicant is responsible for all bank transfer charges.

10.2 Certification Suspensions and Revocations

10.2.1 Responding to Corrective Action

- (1) In the case that the Certification Body, as a result of surveillance, determines corrections are necessary due to procedural nonconformities, such as improper use of the Certification Mark, the applicant reports the cause investigation, corrective actions, and other matters to the Certification Body. The certification is suspended while the corrective actions and other measures are being taken.
- (2) In the case that the Certification Body determines that the corrective actions taken by the applicant are appropriate, the Certification Body will issue a “Surveillance Report” and release the suspension.

10.2.2 Responding to Re-evaluations

- (1) In the case that the Certification Body, as a result of surveillance, determines a re-evaluation is necessary due to technical concerns, the applicant, in consultation with the Evaluation Facility, conducts a cause investigation and a re-evaluation.
- (2) The certification remains suspended until the re-evaluation is completed. The applicant shall not provide the product accompanied by a statement that the product has been certified during the re-evaluation period.
- (3) The Certification Body confirms the re-evaluation details and other matters and releases the suspension after it determines there are no problems.
- (4) In the case that the re-evaluation finds that the problem cannot be resolved for the certified product, or in the case that the Certification Body determines the applicant will not conduct a re-evaluation, the Certification Body will revoke the certification.

10.3 Revocation of a Certification

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

- (A) The Certification Body has determined that maintaining the validity of the “Certificate” is not appropriate based on the results of the corrective actions or re-evaluation.
- (B) The applicant has not responded within the specified time period or has not given a valid reason to the Certification Body’s surveillance or instructions to undertake cause investigations, corrective actions, or re-evaluations.
- (C) The applicant has been discovered continuing to provide the IT products, etc., accompanied by a statement that the product has been certified despite the Certification Body informing the applicant that the certification is suspended.

10.4 Matters Applying to Both Suspensions and Revocations

- (1) In the case that the certification of the IT products, etc., is suspended or revoked, the applicant promptly informs suppliers, users, and other relevant parties or publishes a notice on its website.

- (2) The applicant shall return the “Certificate” and “Certification Report” issued by the Certification Body (and including the “English Version of Certificate” and “Assurance Continuity Maintenance Report” if issued).
- (3) In the case that the applicant is dissatisfied with a suspension or revocation, the applicant may submit a complaint in writing within two months, calculated from the date of reception of the notification from the Certification Body.
- (4) In the case that the certified product information is published on the website of the Certification Body, the Certification Body will publish as necessary the suspension of certification, the release of suspension, and the certification revocation. Information about a product whose certification has been revoked will be moved from the Certified Product List on the website of the Certification Body to the Archived Certified Products List.

11. Recording Complaints about a Certified Product

- (1) The applicant shall keep a record of all complaints about a certified product or about the presentation of the Certification Mark during the time the product is certified.
- (2) The applicant shall take appropriate measures in response to received complaints as described in Chapter 11 (1) and keep a record of the measures taken.
- (3) In the case that the Certification Body instructs the applicant to submit the records of complaints and the measures taken pursuant to Section 11 (1), the applicant shall submit the records. In the case that the records cannot be submitted for some reason, the applicant shall accept the Certification Body to view the records.

Supplementary provisions (April 3, 2012 Jo-Se No. 505 of 2011)

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

Supplementary provisions (September 11, 2012 Jo-Se No. 272 of 2012, Partial revision)

This Guidance shall come into effect as of September 11, 2012.

Supplementary provisions (March 27, 2013 Jo-Se No. 578 of 2012, Partial revision)

This Guidance shall come into effect as of April 1, 2013.

Supplementary provisions (April 1, 2014 Jo-Se No. 1 of 2014, Partial revision)

This Guidance shall come into effect as of April 1, 2014.

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

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

Supplementary provisions (September 29, 2015 Jo-Se No. 329 of 2015, Partial revision)

This Guidance shall come into effect as of October 1, 2015.

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

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

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

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

Supplementary provisions (June 28, 2018 Jo-Se No. 235 of 2018, Partial revision)

This Guidance shall come into effect as of July 1, 2018.

Supplementary provisions (September 4, 2018 Jo-Se-Gi No. 57 of 2018, Partial revision)

This Guidance shall come into effect as of September 10, 2018.

Supplementary provisions (August 28, 2019 Jo-Se-Gi No. 93 of 2019, Partial revision)

This Guidance shall come into effect as of October 1, 2019.

Supplementary provisions (August 7, 2020 Jo-Se-Gi No. 1030 of 2020, Partial revision)

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

Appendix 1

List of Forms

Form Title	Form Number
CCM-02-A Forms	
Application for Certification (TOE)	CCM-02-A Form 1-1
Application for Certification (PP)	CCM-02-A Form 1-2
Application for Assurance Continuity	CCM-02-A Form 2
Written Oath	CCM-02-A Form 3
Evaluation Work Plan	CCM-02-A Form 4
Checklist for Impartiality and Independence of Evaluation (Evaluation Facility)	CCM-02-A Form 5-1
Checklist for Impartiality and Independence of Evaluation (Evaluator)	CCM-02-A Form 5-2
Request for Changing Record in Application Form	CCM-02-A Form 6
Request for Withdrawal of Application	CCM-02-A Form 7
Request for Changing Record in Certificate, etc.	CCM-02-A Form 8
Request for Reissuing Certificate, etc.	CCM-02-A Form 9
Application for Issuing English Version of Certificate	CCM-02-A Form 10
Request for Publication of Product in Evaluation	CCM-02-A Form 11
Non-Disclosure Agreement *For applicant	CCM-02-A Form 12-1
Non-Disclosure Agreement *For disclosing party	CCM-02-A Form 12-2
Notification of Confirmation of Evaluation Work *For Certification Body	CCM-02-A Form 13
Certification Report *For TOE (cPP) *For Certification Body	CCM-02-A Form 14-1
Certification Report *For TOE (other than cPP) *For Certification Body	CCM-02-A Form 14-2
Certification Report *For PP *For Certification Body	CCM-02-A Form 14-3
Certificate (in Japanese) *For TOE (cPP) *For Certification Body	CCM-02-A Form 15-1
Certificate (in Japanese) *For TOE (other than cPP) *For Certification Body	CCM-02-A Form 15-2
Certificate (in Japanese) *For PP *For Certification Body	CCM-02-A Form 15-3
English Version of Certificate *For TOE (cPP) *For Certification Body	CCM-02-A Form 16-1
English Version of Certificate *For TOE (other than cPP) *For Certification Body	CCM-02-A Form 16-2
English Version of Certificate *For PP *For Certification Body	CCM-02-A Form 16-3
Request for Changing Record in Certified Product List	CCM-02-A Form 17

Request for Publication of English Version of Certification Report and ST	CCM-02-A Form 18
Notification of Discontinuance of Certified Products and Withdrawal of Certificate	CCM-02-A Form 19
Request for Preliminary Review of Assurance Continuity	CCM-02-A Form 20
Report on Vulnerability Related Information	CCM-02-A Form 21
Request for Changing Person in Charge of Application for Certified Products	CCM-02-A Form 22

A link to references on the website of the Certification Body:

<<CCM-02-A forms >>

https://www.ipa.go.jp/security/jisec/jisec_e/application/application_download2.html

Appendix 2

Table of Application Fees

Certification application and other applications		Fee for certification application and other applications (tax inclusive) ^{*1, *2}
Application for Certification ^{*3}	PP	418,000 yen
	EAL1	539,000 yen
	EAL2	704,000 yen
	EAL3	825,000 yen
	EAL4	1,045,000 yen
	EAL5 or higher	Consultation required ^{*4}
Application for Assurance Continuity		396,000 yen
Application for Issuing English Version of Certificate		3,900 yen
Request for Reissuing Certificate		3,900 yen
Request for Reissuing English Version of Certificate		3,900 yen
Request for Reissuing Certification Report		3,500 yen
Request for Reissuing Assurance Continuity Maintenance Report		3,500 yen

- *1 The application fees given in the table above are the fees for one application.
- *2 Application fees, once paid, will not be refunded even if the application is withdrawn.
- *3 The applicant shall be responsible for the actual travel and accommodation expenses incurred in visits to overseas development, manufacturing, and other sites, separate from the application fees.
- *4 The Certification Body will work up the numbers for the levels in consideration of the application details and the past acquired certification.

Forms

Forms Related to IT Security Certifications and Other Applications

The forms listed in Appendix 1 are available as described below.

Note: The data for the forms used by the applicant in this Guidance are available for download on the website of the Certification Body.

<<CCM-02-A forms>>

https://www.ipa.go.jp/security/jisec/jisec_e/application/application_download2.html

Forms may be changed for application and administrative convenience. Therefore, make sure to use the latest version of the forms.

“Sample forms” are also available that provide important notes and additional information on completing the forms.

Please refer to the sample forms when confirming contents and completing forms.

Notification of Confirmation of Evaluation Work

Date:

To: <Name of the person responsible for the application>
Title/Department
<Name of applicant>

To: <Name of technical responsible manager>
<Name of Evaluation Facility>

<Name of Technical Manager>
IT Security Technology Evaluation Department
IT Security Center
Information-technology Promotion Agency, Japan

I hereby inform you that we have received the Application for Certification, and confirmed the Evaluation Work Plan. As a result, the official evaluation under this Scheme can be started upon the confirmation date of the Evaluation Work Plan as follows.

TOE/PP Name:

Reception number IT Certification xxxx
(Reception date of application): (Date:)

Applicant:

Confirmation date of the
"Evaluation Work Plan"

Names of Certification Team
Members:

CCM-02-A Form 14-1

(Certification Report Identifier)



Certification Report

<Name of Chairman>

Information-technology Promotion Agency, Japan
2-28-8 Honkomagome, Bunkyo-ku, Tokyo

IT Product (TOE)

Reception Date of Application (Reception Number)	
Certification Identification	
Product Name	
Version and Release Numbers	
Product Manufacturer	
Name of Evaluation Sponsor	
Collaborative Protection Profile Conformance	
Name of IT Security Evaluation Facility	

This is to report that the evaluation result for the above TOE has been certified as follows.

Date:

<Name of Technical Manager>,

IT Security Technology Evaluation Department
IT Security Center

Evaluation Criteria, etc.:

Evaluation Result:

CCM-02-A Form 14-2

(Certification Report Identifier)



Certification Report

<Name of Chairman>

Information-technology Promotion Agency, Japan
2-28-8 Honkomagome, Bunkyo-ku, Tokyo

IT Product (TOE)

Reception Date of Application (Reception Number)	
Certification Identification	
Product Name	
Version and Release Numbers	
Product Manufacturer	
Name of Evaluation Sponsor	
Protection Profile Conformance	
Conformance of Functionality	
Assurance Package (optional)	
Name of IT Security Evaluation Facility	

This is to report that the evaluation result for the above TOE has been certified as follows.

Date:

<Name of Technical Manager>,

IT Security Technology Evaluation Department
IT Security Center

Evaluation Criteria, etc.:

Evaluation Result:

CCM-02-A Form 14-3

(Certification Report Identifier)



Certification Report

<Name of Chairman>

Information-technology Promotion Agency, Japan
2-28-8 Honkomagome, Bunkyo-ku, Tokyo

Protection Profile (PP)

Reception Date of Application (Reception Number)	
Certification Identification	
Protection Profile Name/Identifier	
Protection Profile Version Number	
Protection Profile Developer	
Protection Profile Sponsor	
Assurance Conformance	
Name of IT Security Evaluation Facility	

This is to report that the evaluation result for the above PP has been certified as follows.

Date:

<Name of Technical Manager>

IT Security Technology Evaluation Department
IT Security Center

Evaluation Criteria, etc.:

Evaluation Result:



認 証 書

ITセキュリティ評価及び認証制度に基づき、下記のとおり認証する

年 月 日

東京都文京区本駒込2-28-8

独立行政法人情報処理推進機構

理事長名

製品の名称

バージョンとリリース番号

認証識別：JISEC-認証番号[Cxxxx]

製品製造者：

製品製造者住所

評価スポンサーの名称（オプション）：

評価スポンサー住所（オプション）

製品の種類：

評価対象の評価プラットフォーム（オプション）：

コラボラティブプロテクションプロファイル適合：

ITセキュリティ評価機関の名称：

認証報告書識別：

【注意事項】

本認証書に記載された IT 製品は、*[CC : 適用した評価基準]* に適合するために、*[CEM : 適用した評価方法]* を使用して、認定及び承認された評価機関で評価を受けた。

本認証書は、完全な認証報告書と共に、評価された構成に対する製品の特定のバージョン及びリリースのみに適用される。評価は「IT セキュリティ評価及び認証制度」の規程に従って行われ、評価機関による評価報告書の結論は、提示された証拠と首尾一貫している。

本認証書は独立行政法人情報処理推進機構または本認証書を承認し、もしくは効力を与えるその他の組織による IT 製品の推奨を示すものではなく、独立行政法人情報処理推進機構または本認証書を承認または効力を与えるその他の組織は、明示あるいは黙示を問わず、IT 製品に関するいかなる保証も行わない。

【変更履歴】

--



認 証 書

ITセキュリティ評価及び認証制度に基づき、下記のとおり認証する

年 月 日

東京都文京区本駒込2-28-8

独立行政法人情報処理推進機構

理事長名

製品の名称

バージョンとリリース番号

認証識別：JISEC-認証番号[Cxxxx]

製品製造者：

製品製造者住所

評価スポンサーの名称（オプション）：

評価スポンサー住所（オプション）

製品の種類：

評価対象の評価プラットフォーム（オプション）：

プロテクションプロファイル適合（該当する場合）：

機能要件適合：

保証パッケージ（オプション）：

ITセキュリティ評価機関の名称：

認証報告書識別：

【注意事項】

本認証書に記載された IT 製品は、*[CC：適用した評価基準]* に適合するために、*[CEM：適用した評価方法]* を使用して、認定及び承認された評価機関で評価を受けた。

本認証書は、完全な認証報告書と共に、評価された構成に対する製品の特定のバージョン及びリリースのみに適用される。評価は「IT セキュリティ評価及び認証制度」の規程に従って行われ、評価機関による評価報告書の結論は、提示された証拠と首尾一貫している。

本認証書は独立行政法人情報処理推進機構または本認証書を承認し、もしくは効力を与えるその他の組織による IT 製品の推奨を示すものではなく、独立行政法人情報処理推進機構または本認証書を承認または効力を与えるその他の組織は、明示あるいは黙示を問わず、IT 製品に関するいかなる保証も行わない。

【変更履歴】

--



認 証 書

ITセキュリティ評価及び認証制度に基づき、下記のとおり認証する

年 月 日

東京都文京区本駒込2-28-8

独立行政法人情報処理推進機構

理事長名

プロテクションプロファイルの名称
プロテクションプロファイルのバージョン
番号

認証識別：JISEC-認証番号[Cxxxx]

プロテクションプロファイル開発者：

プロテクションプロファイル開発者住所

プロテクションプロファイルスポンサー（オプション）：

プロテクションプロファイルスポンサー住所（オプション）

保証要件適合：

適合プロテクションプロファイル名（存在する場合）：

ITセキュリティ評価機関の名称（オプション）：

認証報告書識別：

【注意事項】

この認証書で識別されるプロテクションプロファイルは、*[CC：適用した評価基準]*へ適合するために、*[CEM：適用した評価方法]*を使用して、認定及び承認された評価機関で評価を受けた。

この認証書は、完全な認証報告書と共に、本認証書にリストアップされているプロテクションプロファイルの特定のバージョンだけに適用される。評価は「ITセキュリティ評価及び認証制度」の規定に従って実施され、評価報告書の評価機関による結論は、提示された証拠と首尾一貫している。

この認証書は独立行政法人情報処理推進機構による、または本認証書を承認または効力を与えるその他のいかなる組織による、プロテクションプロファイルの推奨を示すものではなく、独立行政法人情報処理推進機構、または本認証書を承認または効力を与えるその他のいかなる組織も、明示であれ、黙示であれ、プロテクションプロファイルに関する保証は一切行うものではない。

【変更履歴】

--



Certificate

is awarded to

Product Manufacturer

Evaluation Sponsor (optional):

Certification Identification: **JISEC-Cxxxx**

Product Name:

Version and Release Numbers:

Type of Product:

Evaluation Platform (optional):

Collaborative Protection Profile Conformance:

Certification Report Identifier:

IT Security Evaluation Facility:

Date of Certification:

Address of Product Manufacturer:

Address of Evaluation Sponsor (optional):

Signature of IPA Chairman

Name of Chairman / Chairman

Date: **Month XX, 201X**



Information-technology Promotion Agency, Japan

2-28-8 Honkomagome, Bunkyo-ku, Tokyo

The IT Product identified in this certificate has been evaluated at an accredited and approved Evaluation Facility using the Common Methodology for IT Security Evaluation, [insert version number], for conformance to the Common Criteria for IT Security Evaluation, [insert version number]. This certificate applies only to the specific version and release of the product in its evaluated configuration and in conjunction with the complete Certification Report. The Evaluation has been conducted in accordance with the provisions of the Japan IT Security Evaluation and Certification Scheme and the conclusions of the Evaluation Facility in the Evaluation Technical Report are consistent with the evidence adduced. This certificate is not an endorsement of the IT Product by the Information-technology Promotion Agency or by any other organisation that recognises or gives effect to this certificate, and no warranty of the IT Product by the Information-technology Promotion Agency or by any other organisation that recognises or gives effect to this certificate, is either expressed or implied.

[Items to note]

Maintenance records with regard to this certificate

(none/maintenance records)



Certificate

is awarded to

Product Manufacturer

Evaluation Sponsor (optional):

Certification Identification: **JISEC-Cxxxx**



Product Name:

Version and Release Numbers:

Type of Product:

Evaluation Platform (optional):

Protection Profile Conformance (if applicable):

Conformance of Functionality:

Assurance Package (optional):

Certification Report Identifier:

IT Security Evaluation Facility:

Date of Certification:

Address of Product Manufacturer:

Address of Evaluation Sponsor (optional):

Signature of IPA Chairman

Name of Chairman / Chairman

Date: **Month XX, 201X**



Information-technology Promotion Agency, Japan

2-28-8 Honkomagome, Bunkyo-ku, Tokyo

Items to note with regard to this certificate are shown on the reverse.

The IT Product identified in this certificate has been evaluated at an accredited and approved Evaluation Facility using the Common Methodology for IT Security Evaluation, [insert version number], for conformance to the Common Criteria for IT Security Evaluation, [insert version number]. This certificate applies only to the specific version and release of the product in its evaluated configuration and in conjunction with the complete Certification Report. The Evaluation has been conducted in accordance with the provisions of the Japan IT Security Evaluation and Certification Scheme and the conclusions of the Evaluation Facility in the Evaluation Technical Report are consistent with the evidence adduced. This certificate is not an endorsement of the IT Product by the Information-technology Promotion Agency or by any other organisation that recognises or gives effect to this certificate, and no warranty of the IT Product by the Information-technology Promotion Agency or by any other organisation that recognises or gives effect to this certificate, is either expressed or implied.

[Items to note]

Maintenance records with regard to this certificate

(none/maintenance records)



Certificate

is awarded to



Protection Profile Developer

Protection Profile Sponsor (Optional):

Certification Identification: **JISEC-Cxxxx**

Protection Profile Name:

Protection Profile Version Number:

Assurance Conformance:

Protection Profile Conformance (if applicable):

Certification Report Identifier:

IT Security Evaluation Facility:

Date of Certification:

Address of Protection Profile Developer:

Address of Protection Profile Sponsor (optional):

Signature of IPA Chairman

Name of Chairman / Chairman

Date: Month XX, 201X



Information-technology Promotion Agency, Japan

2-28-8 Honkomagome, Bunkyo-ku, Tokyo

The Protection Profile identified in this certificate has been evaluated at an accredited and approved Evaluation Facility using the Common Methodology for IT Security Evaluation [insert version number], for conformance to the Common Criteria for IT Security Evaluation [insert version number]. This certificate applies only to the specific version of the Protection Profile listed in this certificate and in conjunction with the complete Certification Report. The Evaluation has been conducted in accordance with the provisions of the Japan IT Security Evaluation and Certification Scheme and the conclusions of the Evaluation Facility in the Evaluation Technical Report are consistent with the evidence adduced. This certificate is not an endorsement of the Protection Profile by the Information-technology Promotion Agency or by any other organisation that recognises or gives effect to this certificate, and no warranty of the Protection Profile by the Information-technology Promotion Agency or by any other organisation that recognises or gives effect to this certificate, is either expressed or implied.

[Items to note]

Maintenance records with regard to this certificate
(none/maintenance records)

(This page is intentionally left blank.)