



JISEC

Operating Procedure for Approval of IT Security Evaluation Facility

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Operating Procedure for Approval of IT Security Evaluation Facility

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1. Purpose

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

2. Terms

Terms used in this Operating Procedure correspond to those used in the “IT Security Evaluation and Certification Scheme Document (CCS-01)” (hereinafter referred to as the “Scheme Document”), the “Requirements for Approval of IT Security Evaluation Facility (CCM-03)” (hereinafter referred to as the “Requirements for Evaluation Facility”), and the standards prescribed in Annex A of the “Scheme Document” (the “IT Security Evaluation Criteria,” the “IT Security Evaluation Methodology,” and their interpretations (hereinafter referred to as the “CC/CEM”)).

3. Evaluation and Certification Standards

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

4. Requirements for Approval of Evaluation Facility

The requirements for approval of Evaluation Facility that the Certification Body applies under this Scheme shall be specified in Section 4 of the “Requirements for Evaluation Facility (CCM-03).”

5. Requirements for Evaluators

The requirements for approval of evaluator qualification that the Certification Body applies under this Scheme shall be specified in Section 5 of the “Requirements for Evaluation Facility (CCM-03).” The procedure for revoking evaluator qualification is given in Section 7.7.6.

6. Operating Procedure for Application for Approval of Evaluation Facility and Approval Changes

6.1 Application for Approval of Evaluation Facility

Refer to Sections 5.1 through 5.6 in the “Guidance on Approval of IT Security Evaluation Facility (CCM-03-A)” (hereinafter referred to as “the Guidance on Approval of Evaluation Facility”).

6.2 Conclusion of Nondisclosure Agreement

- (1) Operational Personnel conduct the procedure of concluding a contract related to the treatment of confidential information with the applicant for approval using the “Nondisclosure Agreement” (CCM-03-A Form 15).
- (2) Operational Personnel conduct the drafting procedure for the Nondisclosure Agreement, obtain the approval of the Managing Director, and conclude the agreement in the name of the IPA Chairman.
- (3) Operational Personnel send the “Nondisclosure Agreement” (CCM-03-A Form 15) to the applicant for approval by a method in which a record of the delivery is kept and inform the applicant for approval by e-mail or other means that the agreement has been sent.
- (4) Operational Personnel may conclude a separate “memorandum” regarding confidentiality when requested by the applicant for approval. In principle, a corporate lawyer confirms the contents of the memorandum in advance when concluding a memorandum with new contents.

6.3 Reception and Acceptance of Application for Approval of Evaluation Facility

- (1) Operational Personnel conduct the procedure for accepting applications for approval of Evaluation Facility. Operational Personnel affix a “seal of receipt” when accepting application documents. Operational Personnel confirm the following items prior to conducting the acceptance processing.
 - (A) The Management Committee of this Scheme has determined the applicant’s participating in this Scheme to be appropriate if the applicant for approval (Evaluation Facility candidate) is applying for approval of Evaluation Facility for the first time.
 - (B) The full set of documents prescribed in Section 5.6 of the “Guidance on Approval of Evaluation Facility (CCM-03-A)” is sufficient and complete.
 - (C) For new applications and applications to extend the scope of approved assurance components, an “Application for Approval of Evaluator Qualification” (CCM-03-A Form 3) and an “Application for Certification” (CCM-02-A Form 1) to conduct a trial evaluation have been separately submitted.

Note that the reception of the certification application for a trial evaluation accompanying approval of Evaluation Facility shall be carried out with the reception of the application for approval of Evaluation Facility
 - (D) Only one trial evaluation accompanying the approval of an Evaluation Facility shall be

conducted at a given time. In other words, the Evaluation Facility will not accept another certification application that invokes a new trial evaluation from the Evaluation Facility candidate already conducting a trial evaluation.

(E) The target of Evaluation of the certification application for the trial evaluation has been confirmed in preliminary consultations with the Certification Body.

(F) In the case that the applicant of the certification application related to the trial evaluation is an Evaluation Facility candidate, it shall acknowledge that no Certificate is to be issued, and shall also acknowledge that it is responsible for the certification application fees as well as the travel and other necessary expenses incurred in site visits.

(2) In the case that the submitted documents are found to be insufficient while confirming applications, Operational Personnel instruct the applicant for approval to resubmit the necessary documents within a specified period of approximately one week. Until insufficiency in application documents are solved, Operational Personnel do not affix the “seal of acceptance” or provide a reception number.

Note that if the requirements on the document are not satisfied and the application for approval is not accepted, Operational Personnel will inform the applicant for approval by e-mail or other means that the application cannot be accepted and will return the set of application documents in accordance with Section 26.8 of the “Operating Procedure for IT Security Certification Services (CCM-01-A)” (hereinafter referred to as the “Procedure for Certification Services”). (The same applies to other applications.)

(3) Operational Personnel affix a “seal of acceptance” to the application documents after confirming the contents of the application documents and confirming that there is no insufficiency.

(4) Operational Personnel provide a reception number, which is composed of the characters “IT Approval,” “the last digit of the year (A.D.),” and “a three-digit serial number,” in the reception number column on the submitted “Application for Approval of Evaluation Facility” (CCM-03-A Form 1).

[Example of reception number]: IT Approval 7005

(5) Operational Personnel record the required items on the “Register of Applications (for Approval of Evaluation Facility and Evaluator Qualification)” (Form 1).

(6) In principle, Operational Personnel create a document file on which the reception number, applicant for approval name, and other details for each application are filled in, and file the application documents in the file. Operational Personnel retain the document file in a specified cabinet.

(7) Operational Personnel inform the applicant for approval of the reception number and reception date by e-mail or other means.

6.4 Application Fee

- (1) Operational Personnel conduct the drafting procedure for the application fees, obtain the approval of the Managing Director, and request the IPA Finance Department to issue an invoice to collect the application fees (“Guidance on Approval of Evaluation Facility (CCM-03-A)” Appendix).
- (2) Operational Personnel send a list of applications that are accompanied by application fees by the end of the month.
- (3) The Finance Department sends invoices to applicants for approval to charge application fees.

6.5 Procedures during Application for Approval of Evaluation Facility

6.5.1 Changes to Records on Application Form for Approval of Evaluation Facility

- (1) In the case that an applicant for approval submits a “Request for Correcting Record / Withdrawal of Application Form for Approval of Evaluation Facility” (CCM-03-A Form 12) to change records in the Application for Approval of Evaluation Facility, Operational Personnel affix a “seal of receipt” to the form and confirm the contents of the request. In the case that the attached documents accompanying the changes to records on the application form for approval of Evaluation Facility are sufficient and complete, Operational Personnel affix a “seal of acceptance” to the form and update the “Register of Applications (for Approval of Evaluation Facility and Evaluator Qualification)” (Form 1).
- (2) Operational Personnel inform the applicant for approval by e-mail or other means that the “Request for Correcting Record / Withdrawal of Application Form for Approval of Evaluation Facility” has been accepted.

6.5.2 Withdrawal of Application for Approval of Evaluation Facility

- (1) In the case that an applicant for approval submits a “Request for Correcting Record / Withdrawal of Application Form for Approval of Evaluation Facility” (CCM-03-A Form 12) to withdraw the application of Approval of Evaluation Facility, Operational Personnel confirm the contents of the request, conduct the procedure for withdrawal of application, and record “application withdrawn and the reception date” in the “Register of Applications (for Approval of Evaluation Facility and Evaluator Qualification)” (Form 1). In principle, the “Application for Approval of Evaluation Facility” form and attached documents shall be retained in accordance with the Scheme documentation without returning to the applicant.
- (2) Operational Personnel inform the applicant for approval by e-mail or other means that the withdrawal of the Application for approval of Evaluation Facility has been accepted.

- (3) Certifiers confirm the details relating to the withdrawal and organize the “Certification Administration Table” and dedicated folders.

6.5.3 Applicant for approval Name Change Due to Merger with another Corporation, etc.

- (1) In the case that an applicant for approval transfers the entire services related to IT security evaluations to another corporation, or in the case there is a merger with another corporation, the corporation that succeeds to the evaluation services or the merging corporation succeeds the status of the applicant for approval. In this case, the applicant for approval is requested to attach documents proving the facts (including a document proving the corporate status) to the “Request for Correcting Record / Withdrawal of Application Form for Approval of Evaluation Facility” (CCM-03-A Form 12).
- (2) Operational Personnel conduct the procedure in accordance with Section 6.5.1.

6.6 Approval of Evaluation Facility

6.6.1 Approval of Evaluation Facility

- (1) The Technical Manager confirms that the results of the confirmations of the Quality Manual and the education and training programs by Certifiers and the results of the confirmation of conducting evaluation work through oversight of the trial evaluation (refer to Section 7.5.1) conform with Section 4.2 of the “Requirements for Evaluation Facility (CCM-03).”
- (2) The Technical Manager confirms that the Evaluation Facility has at least one evaluator qualification holder who can evaluate the assurance components for which approval is being applied. (Refer to Section 7.6.2 and Section 4.1(2) of the “Requirements for Evaluation Facility (CCM-03).”)
- (3) In the procedure for approval of Evaluation Facility, Operational Personnel confirm a copy of the Certificate of Accreditation attached to the “Application for Approval of Evaluation Facility” form, or a copy of the Certificate of Accreditation submitted from the applicant for approval after being accredited as the IT Security Evaluation Facility.
- (4) Operational Personnel conduct the drafting procedure with the consent of the Management System Manager, obtain the approval of the Managing Director, and issue a “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17).
- (5) Operational Personnel send the “Certificate of Approval of Evaluation Facility” to the applicant for approval by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the Certificate has been sent.
- (6) In the case that the granting of accreditation is not confirmed, the approval procedure shall not be carried out even if the items in (1) and (2) above are confirmed.

6.6.2 Publication of Approval of Evaluation Facility

- (1) Operational Personnel publish the approved Evaluation Facilities on the website of the Certification Body.
- (2) Operational Personnel post the scope of the assurance components and the scope of the product area for the target of evaluation as the approved details of the Evaluation Facility on the website of the Certification Body.
- (3) In the case that the approval of an Evaluation Facility is revoked, or in the case that approved details of an approved Evaluation Facility change, Operational Personnel make the appropriate changes on the website of the Certification Body.
- (4) Operational Personnel inform the applicant for approval by e-mail or other means that the Evaluation Facility has been published on the website of the Certification Body.

6.7 Procedures for Changes after Approval of Evaluation Facility

6.7.1 Changes Related to Approval of Evaluation Facility

- (1) In the case that an Evaluation Facility submits a “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5), Operational Personnel confirm application documents.

In the case of a request to narrow the Evaluation Facility’s approved assurance components or to change the Evaluation Facility’s name or address, or to reissue the “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) due to succession of evaluation services or other reasons, Operational Personnel request the Evaluation Facility to submit a “Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10) and other documents, along with the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5). (Refer to Section 7.3 in the “Guidance on Approval of Evaluation Facility (CCM-03-A)” for details.)

- (2) Operational Personnel record the reception date of the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) in the “Register of Applications (for Change).”
- (3) Operational Personnel provide a reception number, which is composed of the characters “Change,” “the last digit of the year (A.D.),” and “a three-digit serial number,” in the white space at the bottom of the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) and record the required items on the “Register of Applications (for Change).”
- (4) Operational Personnel inform the Evaluation Facility by e-mail or other means that the

“Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) and other documents have been accepted.

- (5) Operational Personnel or Certifiers confirm the reason on the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) and assess the details of the changes related to the approval of Evaluation Facility. In the assessment, when necessary, the Certification Body confirms matters either in writing or in person with the Evaluation Facility. The Technical Manager requests Certifiers to assess the details of changes to the Quality Manual or education and training programs in accordance with Section 6.7.1 (1), confirms the results of the assessment, and informs these to Operational Personnel. For other documents, Operational Personnel confirm the details of all attached documents.
- (6) Operational Personnel process documents for changes to approval details accompanying the submission of a “Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10) in (5) above in accordance with Section 6.7.2.
- (7) In the case that the Technical Manager confirms there are no problems with changes to the Quality Manual or education and training programs in (5) above, the Technical Manager obtains the consent of the Management System Manager and informs a “Response to a Request for Changing Record for Approval of Evaluation Facility” (in an appropriate format).
- (8) Operational Personnel send the “Response to a Request for Changing Record for Approval of Evaluation Facility” to the Evaluation Facility by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the document has been sent.
- (9) In the case that the Technical Manager confirms that the details of the change in (5) above are not appropriate, the Technical Manager obtains the consent of the Management System Manager and informs the Evaluation Facility of the reason. This process shall be repeated until the changes are determined to be appropriate. The Technical Manager, if necessary, examines actions described in Section 6.7.4 after review by the Management System Manager.
- (10) In the case that a change is accompanied by an extended scope of assurance components for which the Evaluation Facility is approved, a new application for approval of Evaluation Facility following the procedure described in Section 6.1 is necessary, instead of a “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5).
- (11) In the case that a qualified evaluator terminates his/her evaluation services, attention shall be paid to the scope of the approval of Evaluation Facility (product area and assurance components) because the Evaluation Facility is required to have at least one qualified evaluator with an evaluator qualification approved for the scope of the product area and assurance components for which the Evaluation Facility is approved.

6.7.2 Reissuance of Certificate of Approval of Evaluation Facility

- (1) Operational Personnel confirm the application documents in the case that an Evaluation Facility submits a “Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10) because of narrowing the scope of assurance components, changing its name, changing its address, succeeding evaluation services, or losing the previous certificate.
- (2) Operational Personnel shall make sure to collect the previous “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) from the Evaluation Facility (except in the case that the certificate has been lost) at the time the application is accepted.
- (3) Operational Personnel record the reception date of the “Request for Reissuing Certificate of Approval of Evaluation Facility” in the “Register of Applications (for Reissuance).”
- (4) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10) has been accepted.
- (5) In the case that Operational Personnel determine that the reason for the reissuance is appropriate, Operational Personnel conduct the drafting procedure, obtain the approval of the Managing Director, and conduct the procedure to reissue the “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17).

In the case that a “Certificate of Approval of Evaluation Facility” is reissued (“Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10)), Operational Personnel record the reissuance date and the fact of the reissuance, and record a change history on the reverse side.

- (6) In the case that a “Certificate of Approval of Evaluation Facility” is reissued (“Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10)), the Certification Body invoices the Evaluation Facility for application fees. This procedure is the same as described in “6.4 Application Fee.”
- (7) Operational Personnel send the reissued “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) to the Evaluation Facility by a method in which a record of the delivery is kept and inform the applicant by e-mail or other means that the Certificate has been sent.
- (8) Operational Personnel affix the “VOID” seal to the previous “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) collected from the Evaluation Facility.
- (9) In the case that there are changes to information related to the approval of the Evaluation Facility, Operational Personnel promptly change the information on the website of the Certification Body.

Operational Personnel also inform the Evaluation Facility by e-mail or other means that the website of the Certification Body has been updated.

- (10) In the case that Operational Personnel determine that the Evaluation Facility’s reason for

requesting the reissuance is not appropriate, Operational Personnel obtain the consent of the Management System Manager and inform the Evaluation Facility of the reason why the certificate will not be reissued.

- (11) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.

6.7.3 Discontinuance of Approval of Evaluation Facility

- (1) In the case that an Evaluation Facility clearly does not comply with the Requirements for Approval (for example, it has been published that the accreditation of Evaluation Facility has been revoked, or the Evaluation Facility has no qualified evaluators), or in the case that an Evaluation Facility has declared it will discontinue its approval of Evaluation Facility, Operational Personnel request the Evaluation Facility to submit a “Notification of Discontinuance of Approval of Evaluation Facility” (CCM-03-A Form 11), along with the “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17), conduct the discontinuance / revocation procedure, and publish its discontinuance / revocation.
- (2) When Operational Personnel accept a “Notification of Discontinuance of Approval of Evaluation Facility” (CCM-03-A Form 11), Operational Personnel provide a reception number, which is composed of the characters “Discontinuance,” “the last digit of the year (A.D.),” and “a three-digit serial number,” in the white space at the bottom of the form and record the required items on the “Register of Applications (for Discontinuance).”
- (3) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Notification of Discontinuance of Approval of Evaluation Facility” (CCM-03-A Form 11) and other documents have been accepted.
- (4) Operational Personnel affix the “VOID” seal to the submitted “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) and appropriately retain the certificate. In this case, evaluators who belong to the corresponding facility are considered to have terminated their evaluation services.
- (5) Operational Personnel publish the fact (as a bulletin) on the website of the Certification Body that the approval of Evaluation Facility has been revoked and post that the approval of Evaluation Facility has been revoked on the “List of Evaluation Facilities.” Operational Personnel also inform the revoked Evaluation Facility by e-mail or other means that the website of the Certification Body has been updated.
- (6) Operational Personnel confirm whether there are any evaluations in progress at the corresponding Facility. In the event that there are evaluations in progress, Operational Personnel request the corresponding Facility to have the respective applicant for certification

submit a “Request for Withdrawal of Application” (CCM-02-A Form 7) to the Certification Body. Operational Personnel, if necessary, directly contact the respective applicant for certification and request for submitting a “Request for Withdrawal of Application” (CCM-02-A Form 7).

- (7) Operational Personnel delete the corresponding Facility information from the website of the Certification Body (List of Evaluation Facilities) six months after the publications specified above.

6.7.4 Maintaining Approval of Evaluation Facility, Suspensions, and Revocations

6.7.4.1 Suspension of Approval of Evaluation Facility

- (1) In the case that Operational Personnel receive instructions from the Technical Manager and any of the following conditions apply, Operational Personnel obtain the consent of the Management System Manager, conduct the drafting procedure, obtain the approval of the Managing Director, and inform the Evaluation Facility of the suspension of the relevant operations.
 - (A) When the lack of an evaluator for the approved assurance components has made it difficult to perform evaluations related to the corresponding assurance components. However, this excludes a case that the Evaluation Facility has submitted a “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5).
 - (B) When the Evaluation Facility does not comply with the “Requirements for Evaluation Facility (CCM-03)” or Scheme documentation, and the Evaluation Facility has not presented an improvement plan or performed an improvement plan although it has been given a written recommendation to improve operations.
- (2) Operational Personnel publish that the approval of Evaluation Facility has been suspended on the website of the Certification Body.
- (3) Operational Personnel send a document to the Evaluation Facility indicating that its approval has been suspended, by a method in which a record of the delivery is kept, and inform the Evaluation Facility by e-mail or other means that the document has been sent and that it has been published on the website of the Certification Body.

Operational Personnel also inform the Accreditation Body that the approval of Evaluation Facility has been suspended.
- (4) Operational Personnel will not accept any new certification applications performed by the Evaluation Facility during the term of the suspension.
- (5) In the case that evaluations related to the assurance components in (1) (A) above are resumed or appropriate action is taken related to the evaluations, or in the case that the Evaluation Facility in (1) (B) above presents corrective actions with respect to the suspension, Operational

Personnel confirm that there is no possibility of a reoccurrence, obtain the consent of the Management System Manager, conduct the drafting procedure, obtain the approval of the Managing Director, and inform the Evaluation Facility that the suspension is released.

- (6) Operational Personnel send a document to the Evaluation Facility indicating that the suspension of the approval of Evaluation Facility has been released, by a method in which a record of the delivery is kept, and inform the Evaluation Facility by e-mail or other means that the document has been sent and that the website of the Certification Body has been updated.

Operational Personnel also inform the Accreditation Body that the suspension of the approval of Evaluation Facility has been released.

6.7.4.2 Revocation of Approval of Evaluation Facility

- (1) In the case that an Evaluation Facility is not expected to perform or complete corrective actions as described in Section 6.7.4.1 (1) (B), Operational Personnel obtain the consent of the Management System Manager, conduct the drafting procedure, obtain the approval of the Managing Director, and inform the Evaluation Facility of the revocation of the approval of Evaluation Facility and the request of returning its “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17).

- (2) Operational Personnel send a document to the Evaluation Facility described above, by a method in which a record of the delivery is kept, and inform the Evaluation Facility by e-mail or other means that the document has been sent.

Operational Personnel also inform the Accreditation Body that the approval of Evaluation Facility has been revoked.

- (3) Operational Personnel affix the “VOID” seal to the collected “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) and appropriately retain the certificate. In this case, corresponding evaluators who belong to the Evaluation Facility are considered to have terminated their evaluation services. (Refer to Section 7.7.1.)
- (4) Operational Personnel inform the Evaluation Facility that the “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) has been received.
- (5) Operational Personnel conduct the revocation procedure in accordance with Section 6.7.3 (5) through (7).

6.7.4.3 Maintaining Approval of Evaluation Facility

In the case that neither Section 6.7.4.1 nor Section 6.7.4.2 applies to an Evaluation Facility and the Evaluation Facility complies with the “Requirements for Evaluation Facility (CCM-03),” the approval of Evaluation Facility maintains.

6.7.5 Changes to Records in the List of Evaluation Facilities on the Website

- (1) In the case that an Evaluation Facility submits a “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) to change contact information (such as name, e-mail address, telephone number, fax number, and URL) listed on the website of the Certification Body (List of Evaluation Facilities), Operational Personnel confirm the details of the change.
- (2) Operational Personnel record the reception date of the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) in the “Register of Applications (for Website Change).”
- (3) Operational Personnel change the information on the website of the Certification Body (List of Evaluation Facilities) in accordance with the change request.
- (4) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) has been accepted and that the website of the Certification Body (List of Evaluation Facilities) has been updated.

6.7.6 Succession of Approval of Evaluation Facility

- (1) In the case that an Evaluation Facility transfers the entire services related to IT security evaluations to another corporation, or in the case there is a merger with another corporation, the corporation that succeeds to the evaluation services or the merging corporation succeeds the status of the Evaluation Facility. In this case, the Evaluation Facility is requested to submit a “Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10) in addition to a “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) to conduct the succession procedure. Refer to Section 6.7.1 and Section 6.7.2.
- (2) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) and other documents have been received.
- (3) In the case that the facts and validity of the succession have been confirmed, Operational Personnel conduct the procedure to reissue the “Certificate of Approval of Evaluation Facility” (CCM-03-A Form 17) with the new Evaluation Facility name.
Note that the Certification Body may conduct an on-site assessment if necessary.
- (4) Operational Personnel conduct the procedure in accordance with Section 6.7.1 and Section 6.7.2.

7. Applications Related to Approval of Evaluator Qualifications

7.1 Application for Approval of Evaluator Qualification

Refer to Section 9 in the “Guidance on Approval of Evaluation Facility (CCM-03-A).”

7.2 Reception and Acceptance of Application for Approval of Evaluator Qualification

- (1) Operational Personnel conduct the procedure for accepting applications for approval of evaluator qualification. Operational Personnel affix a “seal of receipt” when accepting application documents. Operational Personnel confirm the following items prior to conducting the acceptance processing.
- (2) In the case that the submitted documents are found to be insufficient while confirming applications, Operational Personnel instruct the Evaluation Facility to resubmit the necessary documents within a specified period of approximately one week. Until insufficiency in application documents are solved, Operational Personnel do not affix the “seal of acceptance” or provide a reception number.

If the requirements on the document are not satisfied and the application for approval of evaluator qualification is not accepted, Operational Personnel will inform the Evaluation Facility by e-mail or other means that the application cannot be accepted and will return the set of application documents.

- (3) Operational Personnel affix a “seal of acceptance” to the application documents after confirming the contents of the application documents as follows and confirming that there is no insufficiency. For the confirmation in (B) below, however, Operational Personnel shall obtain the consent of the Technical Manager, if necessary.
 - (A) The full set of application documents specified in Section 10.4 of the “Guidance on Approval of Evaluation Facility (CCM-03-A)” is sufficient and complete.
 - (B) The evaluator candidate fulfills the requirements for evaluator candidates specified in Section 5.2 of the “Requirements for Evaluation Facility (CCM-03).”
 - (C) In the case of Section 9.1 (A) of the “Guidance on Approval of IT Security Evaluation Facility” (CCM-03-A), it is required that three months or more have passed after the completion of the previous assessment of approval of evaluator qualification.
- (4) Operational Personnel provide a reception number, which is composed of the characters “IT Approval,” “the last digit of the year (A.D.),” and “a three-digit serial number,” in the reception number column on the submitted “Application for Approval of Evaluator Qualification” (CCM-03-A Form 3).

[Example of reception number]: IT Approval 7006.
- (5) Operational Personnel record the required items on the “Register of Applications (for Approval of Evaluation Facility and Evaluator Qualification)” (Form 1).

- (6) In principle, Operational Personnel create a document file on which the reception number, Evaluation Facility name, and other details for each application are filled in, and file the application documents in the file. Operational Personnel retain the document file in a specified cabinet.
- (7) Operational Personnel inform the Evaluation Facility of the reception number and reception date by e-mail or other means.
- (8) The Technical Manager confirms that the content of the “Evaluation Work Plan” (CCM-02-A Form 4) related to the trial evaluation is appropriate and appoints Certifiers.
- (9) Certifiers create a “Checklist for Eligibility of Certifier” (CCM-01-A Form 2) and submit it to the Technical Manager.
- (10) The Technical Manager decides on Certifiers, creates a “Notification of Confirmation of Evaluation Work” (CCM-02-A Form 13) related to the trial evaluation work for the Evaluation Facility, and instructs Operational Personnel to send the notification to the Evaluation Facility. The procedure related to this notification shall conform to Section 6.1 of the “Procedure for Certification Services (CCM-01-A).”

7.3 Application Fee

- (1) Operational Personnel conduct the drafting procedure for the application fees, obtain the approval of the Managing Director, and request the IPA Finance Department to issue an invoice to collect the application fees (“Guidance on Approval of Evaluation Facility”(CCM-03-A) Appendix). Note, however, that if the application for approval of evaluator qualification is filed by a qualified evaluator who is registered only to add the ALC_FLR assurance components, in principle the fees are free of charge and are not collected.
- (2) Operational Personnel send a list of applications that are accompanied by application fees by the end of the month.
- (3) The Finance Department sends invoices to Evaluation Facility to charge application fees.

7.3.1 Billing of Travel and Other Expenses Incurred in Assessment of Approval of Evaluator Qualification

In the case that the on-site assessment is performed of approval of evaluator qualification is performed, the Certification Body will invoice the Evaluation Facility for travel and other necessary expenses as follows.

- (1) If the assessment is conducted within the country, the Evaluation Facility is invoiced for the actual transportation and accommodation expenses. However, this provision does not apply in the case that the Evaluation Facility arranges transportation means and accommodations in advance and bears these expenses, or in the case that the assessment is conducted near to the

Certification Body (i.e., less than 100 kilometers).

- (2) If the assessment is conducted overseas, the Evaluation Facility is invoiced for the actual travel and other necessary expenses incurred in the site visit, including airfares, local accommodation expenses, and local transportation expenses (excluding daily allowances, domestic transportation expenses, overseas travel insurance, communication expenses, immunization costs, and visa charges). However, this provision does not apply in the case that the Evaluation Facility arranges air tickets, accommodations, and local means of transportation in advance and bears these expenses.
- (3) The assessors or Operational Personnel conduct the procedure for drafting the invoice for the above travel and other necessary expenses to the Evaluation Facility in advance. In the case of (1) above the assessors or Operational Personnel obtain the approval of the Management System Manager, and in the case of (2) above the assessors or Operational Personnel obtain the approval of the Managing Director.
- (4) The Finance Department sends the invoice and voucher of the actual payments to the Evaluation Facility to charge the necessary expenses.

7.4 Procedures during Application for Approval of Evaluator Qualification

7.4.1 Changes to Records on Application Form for Approval of Evaluator Qualification

- (1) In the case that an Evaluation Facility submits a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” (CCM-03-A Form 13) to change records in the application form for Approval of Evaluator Qualification, Operational Personnel confirm the contents of the request and update the “Register of Applications (for Approval of Evaluation Facility and Evaluator Qualification)” (Form 1).
- (2) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” (CCM-03-A Form 13) has been accepted.
- (3) Certifiers confirm that the details of the change will not affect certification services.

7.4.2 Withdrawal of Application for Approval of Evaluator Qualification

- (1) In the case that an Evaluation Facility submits a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” (CCM-03-A Form 13) to withdraw the application of Approval of Evaluator Qualification, Operational Personnel confirm the contents of the request, conduct the procedure for withdrawal of application, and record “application withdrawn, reception date” in the “Register of Applications (for Approval of Evaluation Facility and Evaluator Qualification)” (Form 1). In principle, the application form

and attached documents shall be retained in accordance with the Scheme documentation without returning to the applicant (the same applies to other applications).

- (2) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” (CCM-03-A Form 13) has been accepted.
- (3) Certifiers confirm the details relating to the withdrawal and organize the “Certification Administration Table” and dedicated folders.

7.5 Conduct of Trial Evaluation and Submission of Evaluation Technical Report

7.5.1 Conduct of Trial Evaluation

A trial evaluation is conducted in the case of an application for evaluator qualification.

- (1) The Technical Manager requests Certifiers to assess the following matters described in (A) through (C) (only in the case that an “Application for Approval of Evaluation Facility” (CCM-03-A Form 1) is submitted at the same time as the application for evaluator qualification) and confirms the results of the assessment.
 - (A) The Evaluation Facility’s Quality Manual and other manuals fulfill the requirements of JIS Q 17025 or ISO/IEC 17025 and the Requirements for Approval of Evaluation Facility under this Scheme.
 - (B) The education and training programs constructed based on the Evaluation Facility’s Quality Manual and other manuals contain all the assurance components for which approval is being applied.

In the case that the education and training programs contain higher assurance components than those for which approval is being applied, it may be confirmed this prior to the application for approval.
 - (C) There are rules and manuals that ensure evaluators participate in the education and training programs in a periodic and systematic manner so that the evaluators are able to handle the latest technology and continue to conduct appropriate evaluations.
- (2) In the case that the Evaluation Facility submits an Observation Report related to problems in the trial evaluation, Certifiers record the acceptance of the confidential materials. Certifiers confirm the details of the report and take prompt action. The procedure related to this operation shall conform to Section 6.2 of the “Procedure for Certification Services (CCM-01-A).”
- (3) Certifiers verify that the “Evaluation Technical Report” related to the trial evaluation submitted from the Evaluation Facility conforms to the CC/CEM and that evaluations conducted by the Evaluation Facility in accordance with the procedures prescribed in this Scheme. Certifiers can request the Evaluation Facility to submit information necessary to verify the “Evaluation

Technical Report.”

- (4) Certifiers report the results of the verification in (3) above to the Technical Manager.
- (5) Certifiers report whether the evaluator candidate conducted the evaluation in compliance with Sections 6.1 (1) through (7) of the “Requirements for Evaluation Facility (CCM-03)” to the Technical Manager.

7.5.2 Submission of Evaluation Technical Report

The “Evaluation Technical Report” related to the trial evaluation is received from the Evaluation Facility with the procedure described below.

- (1) When the trial evaluation work at the Evaluation Facility is completed, Certifiers have the Evaluation Facility promptly submit an “Evaluation Technical Report” to the Certification Body.
- (2) In the case that the Evaluation Facility submits the “Evaluation Technical Report” related to the trial evaluation, Certifiers record the acceptance of confidential materials. The procedure related to this operation shall conform to Section 6.3 of the “Procedure for Certification Services (CCM-01-A).”

7.6 Assessment and Registration of Evaluator Qualification

7.6.1 Requirements Related to Assessment of Evaluator Qualification

- (1) Requirements for evaluator qualification

In the case that an evaluator candidate fulfills all the requirements prescribed in Section 6.4 of the “Requirements for Evaluation Facility (CCM-03)” through the trial evaluation work, the applicant who applies for evaluator qualification will be registered as an evaluator with the Certification Body.

- (2) Evaluator qualification assessments

After the Certification Body confirms the submission of the Evaluation Technical Report for the trial evaluation created by the evaluator candidate, and after the completion of the in-person evaluation assessment performed in advance by the Certification Body, the evaluator qualification assessment is conducted by means of an examination of the evaluation deliverables, the “Evaluation Technical Report,” and the “Observation Report” as well as through an interview. The assessors consist of three or more members including the Technical Manager, Certifiers, and Certification Body engineers. The assessment confirms whether the evaluator candidate has a competence to conduct appropriate and objective evaluations as a security expert, rather than confirming whether the evaluation result is a pass or fail. In particular, the assessment is conducted from the perspective of whether the evaluator has

knowledge of the latest attack methods or vulnerabilities and whether the evaluator can sufficiently evaluate the vulnerabilities of a product.

In principle, the assessment is conducted based on the requirements for evaluator qualification as prescribed in Section 6.4 of the “Requirements for Evaluation Facility (CCM-03),” but the assessors may add assessment items as needed.

(3) Assessment period

Assessors arrange a schedule and conduct the assessment as soon as possible after the submission of the Evaluation Technical Report for the trial evaluation independently created by the evaluator candidate.

7.6.2 Approval of Evaluator Qualification

(1) The Technical Manager obtains the consent of the Management System Manager about whether it is permissible to approve of evaluator qualification to the evaluator candidate in accordance with the procedure described in Section 7.6.1.

(2) Operational Personnel conduct the drafting procedure to approve of evaluator qualification to the evaluator candidate in (1) above and to register the evaluator, obtain the approval of the Managing Director, issue a “Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 16), and register the evaluator on the “Register of Evaluators” (Form 2).

Note that the scope of the assurance components and product area approved in the evaluator qualification are limited within the scope described on the application form and the scope specified in the mandatory technical documents (CC supporting documents) registered with the CEM and this Scheme (for example, EAL2+ALC_FLR2 or EAL5+ALC_DVS.2).

(3) Operational Personnel send the “Certificate of Approval of Evaluator Qualification” to the applicant by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the Certificate has been sent.

(4) The “Certificate of Approval of Evaluator Qualification” indicates the fact that the Certification Body has approved of evaluator qualification. The “Certificate of Approval of Evaluator Qualification,” once issued, is not collected by the Certification Body.

7.6.3 In the Case that an Evaluator Candidate Does Not Undergo an Assessment for a Long Period

(1) In the case that an evaluator candidate has not undergone an assessment six months or more after the completion of the trial evaluation, or in the case that there is no expectation the assessment will be completed within one year, Operational Personnel will automatically assume the evaluator candidate has withdrawn the application for approval of evaluator qualification. In principle, the received application form and attached documents received so far shall be

retained in accordance with the Scheme documentation without returning to the Evaluation Facility.

- (2) Operational Personnel inform the Evaluation Facility by e-mail or other means that the application for approval of an evaluator qualification has been withdrawn.

7.7 Procedures for Changes Relating to Qualified Evaluators

7.7.1 Notification of Evaluator Terminating Evaluation Services

- (1) In the case that an Evaluation Facility informs the Certification Body that an evaluator will be terminating his/her evaluation services with a “Notification of Termination of Evaluation Services as an Evaluator” (CCM-03-A Form 6), Operational Personnel confirm whether the terminations of evaluators will affect the scope of assurance components for which the Evaluation Facility is approved.
- (2) Operational Personnel receive the “Notification of Termination of Evaluation Services as an Evaluator” (CCM-03-A Form 6), provide a reception number, which is composed of the characters “Terminate,” “the last digit of the year (A.D.),” and “a three-digit serial number,” in the white space at the bottom of the “Notification of Termination of Evaluation Services as an Evaluator,” and record the required items on the “Register of Applications (for Termination)” and the “Register of Evaluators.”
- (3) In the case that the termination in (1) above affects the scope of approved assurance components, Operational Personnel receive a “Request for Changing Record for Approval of Evaluation Facility” (CCM-03-A Form 5) and a “Request for Reissuing Certificate of Approval of Evaluation Facility” (CCM-03-A Form 10), along with the “Notification of Termination of Evaluation Services as an Evaluator” (CCM-03-A Form 6), and conduct the procedure to change the approval of Evaluation Facility as described in Section 6.7.1 and Section 6.7.2.
- (4) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Notification of Termination of Evaluation Services as an Evaluator” (CCM-03-A Form 6) and other documents have been accepted.
- (5) Operational Personnel deregister the evaluator after one year passes from the “effective date of termination” described on the “Notification of Termination of Evaluation Services as an Evaluator” (CCM-03-A Form 6).

7.7.2 Notification of Reinstatement of Evaluator at Previous Evaluation Facility

- (1) In the event that an Evaluation Facility informs the Certification Body with a “Notification of Reinstatement of Evaluation Services as an Evaluator” (CCM-03-A Form 7) of the reinstatement of an evaluator who had previously terminated evaluation services with a

“Notification of Termination of Evaluation Services as an Evaluator” (CCM-03-A Form 6), Operational Personnel confirm that the evaluator qualification is valid (Refer to Section 12.6 (1) through (6) in the “Guidance on Approval of Evaluation Facility (CCM-03-A)”) and confirm any effects on the scope of the Evaluation Facility’s approved assurance components due to the reinstatement of the evaluator.

In the case that the fees to maintain the registration of the reinstated evaluator qualification have not been paid for the current year, Operational Personnel request the Evaluation Facility to submit an “Application for Maintaining Evaluator Qualification” (CCM-03-A Form 14). (Refer to Section 7.7.4.)

- (2) Operational Personnel receive the “Notification of Reinstatement of Evaluation Services as an Evaluator” (CCM-03-A Form 7), provide a reception number, which is composed of the characters “Reinstatement,” “the last digit of the year (A.D.),” and “a three-digit serial number,” in the white space at the bottom of the “Notification of Reinstatement of Evaluation Services as an Evaluator,” and record the required items on the “Register of Applications (for Reinstatement)” and the “Register of Evaluators.”
- (3) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Notification of Reinstatement of Evaluation Services as an Evaluator” (CCM-03-A Form 7) has been accepted.
- (4) In the case that the notification in (1) above results in an extended scope of approved assurance components, Operational Personnel request the Evaluation Facility to submit an “Application for Approval of Evaluation Facility” (CCM-03-A Form 1). After receiving the “Application for Approval of Evaluation Facility” from the Evaluation Facility, Operational Personnel conduct the approval procedure to extend the scope of the Evaluation Facility’s assurance components in accordance with Section 6.1 through Section 6.6.
- (5) If it is determined that the evaluator to be reinstated in (1) above does not comply with the “Requirements for Evaluation Facility (CCM-03),” Operational Personnel obtain the consent of the Management System Manager that the evaluator qualification is invalid and inform the Evaluation Facility.
- (6) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.

7.7.3 Changes to Evaluator Registration Records

- (1) In the case that changes occur to registration records of evaluators, such as a change in e-mail address, the Evaluation Facility submits a “Request for Changing Registration Record for Evaluator Qualification” (CCM-03-A Form 8).

- (2) Operational Personnel make the corresponding change on the “Register of Evaluators” (Form 2).
- (3) Operational Personnel inform the Evaluation Facility by e-mail or other means that the documents have been accepted and that the registration record has been updated.

7.7.4 Maintaining Evaluator Qualification

- (1) Operational Personnel confirm the validity of evaluator qualifications using the “Register of Evaluators” (Form 2) once a year, in principle in April, or as necessary. Evaluators for whom a year or more has passed calculated from the date of issue on the most recent “Certificate” (CCM-02-A Form 15-1 or Form 15-2) related to evaluation services they performed, are subject to an assessment for maintaining qualification. Operational Personnel prepare a list of such evaluators for each Evaluation Facility and report the lists to the Technical Manager.
- (2) The Technical Manager makes a request to each Evaluation Facility to examine evaluators subject to a qualification maintenance assessment and receives a report on the state of evaluation services performed by the evaluators from the Evaluation Facility.
Note that for an Evaluation Facility without any evaluators subject to the assessment, the Technical Manager obtains the consent of the Management System Manager and informs the Evaluation Facility that registered evaluators are entitled to maintain their qualifications and to submit an Application for Maintaining Evaluator Qualification.
- (3) The Technical Manager assesses the performance of evaluation services by evaluators subject to the assessment and their compliance with the requirements in Section 8.1 (4) of the “Requirements for Evaluation Facility (CCM-03),” obtains the consent of the Management System Manager and informs the Evaluation Facility of the results of the qualification maintenance assessments and the eligibility of applying for maintaining evaluator qualification. In the case that there are concerns about the competence of an evaluator as a result of the assessment, the Technical Manager may reassess the evaluator by interview or other means. In the case that a re-assessment is necessary, the Technical Manager informs the Evaluation Facility.
- (4) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.
- (5) In the case that an Evaluation Facility submits an “Application for Maintaining Evaluator Qualification” (CCM-03-A Form 14) for evaluators whose qualification maintenance has been approved, Operational Personnel record the required items on the “Register of Applications (for Maintenance)”.
- (6) Operational Personnel deregister any evaluators who are not listed on the “Application for

Maintaining Evaluator Qualification” (CCM-03-A Form 14) regardless of whether the evaluator intended to maintain evaluator qualification.

- (7) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Application for Maintaining Evaluator Qualification” (CCM-03-A Form 14) has been accepted.
- (8) The Certification Body invoices the Evaluation Facility for application fees. This procedure is the same as that described in “7.3 Application Fee.”
- (9) In the case that maintenance of evaluator qualification is not approved as the result of the Technical Manager’s assessment of the performance of evaluation services by the evaluator and the compliance of evaluators with the requirements described in Section 8.1 (4) of the “Requirements for Evaluation Facility (CCM-03)” in (3) above, the Technical Manager obtains the consent of the Management System Manager and informs the Evaluation Facility of the deregistration.
- (10) Operational Personnel record deregistration of the evaluator in the “Register of Evaluators” (Form 2).
- (11) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.
- (12) In the case that a re-assessment of an evaluator is necessary in (3) above, the Technical Manager assesses whether the evaluator fulfills the evaluator requirements in Section 8.1 of the “Requirements for Evaluation Facility (CCM-03)” by interview or other means. The assessors consist of three or more members including the Technical Manager, Certifiers, and Certification Body engineers.
- (13) The Technical Manager obtains the consent of the Management System Manager and informs the Evaluation Facility of the results of the re-assessment by interview or other means.
- (14) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.
- (15) In the case that qualification maintenance is approved as a result of the re-assessment, Operational Personnel proceed with the procedure from (5) through (8) above. In the case that qualification maintenance is not approved, Operational Personnel proceed with the procedure from (9) through (11) above.

7.7.5 Application for Reissuance of Certificate of Approval of Evaluator Qualification

- (1) In the case that an Evaluation Facility submits a “Request for Reissuing Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 9) because of an evaluator or Evaluation Facility

name change, Operational Personnel confirm the details and conduct the procedure to change records on the “Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 16).

- (2) Operational Personnel record the reception date of the “Request for Reissuing Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 9) in the “Register of Applications (for Reissuance).”
- (3) Operational Personnel inform the Evaluation Facility by e-mail or other means that the “Request for Reissuing Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 9) has been accepted.
- (4) In the case that Operational Personnel determine the reason for the reissuance is appropriate, Operational Personnel conduct the drafting procedure, obtain the approval of the Managing Director, and conduct the procedure to reissue the “Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 16).

In the case that a “Certificate of Approval of Evaluator Qualification” is reissued, Operational Personnel record the reissuance date and the fact of the reissuance, and record a change history on the reverse side.

- (5) In the case that a “Certificate of Approval of Evaluator Qualification” is reissued, the Certification Body invoices the Evaluation Facility for application fees. This procedure is the same as that described in “7.3 Application Fee.”
- (6) Operational Personnel send a new “Certificate of Approval of Evaluator Qualification” (CCM-03-A Form 16) to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.
- (7) In the case that Operational Personnel determine the Evaluation Facility’s reason for requesting the reissuance is not appropriate, Operational Personnel obtain the consent of the Management System Manager and inform the Evaluation Facility of the reason why the certificate will not be reissued.
- (8) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.

7.7.6 Evaluator Deregistration

7.7.6.1 Non-Compliance with Evaluator Requirements

- (1) If it is determined that an evaluator does not comply with Section 5.2 and Section 6.4 of the “Requirements for Evaluation Facility (CCM-03)” from reports or other information from Certifiers or others, the Technical Manager obtains the consent of the Management System

Manager and orders the Evaluation Facility to examine whether the evaluator complies with the “Requirements for Evaluation Facility (CCM-03).”

- (2) In the case that the Evaluation Facility provides a reply related to the assessment in (1) above, the Technical Manager promptly confirms the reply.
- (3) In the case that the Technical Manager determines there is no problem with maintaining the qualification as a result of assessing the reply from the Evaluation Facility, the Technical Manager obtains the consent of the Management System Manager and informs the Evaluation Facility.
- (4) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.
- (5) In the case that maintaining evaluator qualification is not approved as a result of assessing the reply from the Evaluation Facility in (2) above, the Technical Manager obtains the consent of the Management System Manager and informs the Evaluation Facility of the result of the assessment (deregistration).
- (6) Operational Personnel send the documents to the Evaluation Facility by a method in which a record of the delivery is kept and inform the Evaluation Facility by e-mail or other means that the documents have been sent.
- (7) Operational Personnel deregister the evaluator from the “Register of Evaluators” (Form 2).

Supplementary provisions (April 3, 2012 Jo-Se No. 509 of 2011, Full revision)

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

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

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

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

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

Supplementary provisions (October 7, 2020 Jo-So No. 1030 of 2020, Partial revision)

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

Forms Related to Approval of IT Security Evaluation Facilities and Other Applications

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

