



JISEC

Guidance on Approval of IT Security Evaluation Facility

(Effective after November 2023)

August 2023

IPA

CCM-03-A

Information-technology Promotion Agency, Japan (IPA)

Table of Contents

1. Purpose	1
2. This Scheme.....	1
3. Terms	1
4. Applications for Approval of Evaluation Facility	1
4.1 Scope of Applications for Approval of Evaluation Facility	1
4.2 Applications for Approval of Evaluator Qualification	2
4.3 Conduct of Trial Evaluation	2
4.4 Forms	2
5. Application Procedure for Approval of Evaluation Facility	2
5.1 Confirmation of Assumptions.....	2
5.2 Accreditation from the Accreditation Body	3
5.3 Prior Confirmation Items	3
5.4 Creation of an “Evaluation Work Plan”	4
5.5 Creation of a “Checklist for Impartiality and Independence of Evaluation”	4
5.6 Preparation of Documents Required for the Application for Approval of Evaluation Facility	5
5.7 Conclusion of a Nondisclosure Agreement.....	7
5.8 Application for Approval of Evaluation Facility	7
6. Procedures during the Application Process for Approval of Evaluation Facility	8
6.1 Changes and Other Alterations during the Application Process for Approval of Evaluation Facility	8
6.1.1 Corrections or Changes to Records in a Submitted “Application for Approval of Evaluation Facility” Form	8
6.1.2 Corrections or Changes to a Submitted Document other than the “Application for Approval of Evaluation Facility” Form	9
6.1.3 Withdrawal of a Submitted “Application for Approval of Evaluation Facility” Form.....	9
6.2 Succession during the Application Process for Approval of Evaluation Facility ..	10
7. Approval of Evaluation Facility and Procedures after Approval	12
7.1 Approval of Evaluation Facility	12
7.2 Periodic Assessments.....	14
7.3 Changes Related to an Approval of Evaluation Facility	15
7.3.1 “Request for Changing Record for Approval of Evaluation Facility”	15

7.3.2 Changes to the Name or Address (Including Relocations or Addressing System Changes) of an Evaluation Facility	15
7.3.3 Changes to the Scope of Approved Assurance Components	15
7.3.4 Changes to the Quality Manual and Documents Related to Education and Training	16
7.3.5 Changes to the List of Evaluation Facilities.....	16
7.4 Succession of an Evaluation Facility	16
7.5 Reissuing a Certificate of Approval of Evaluation Facility	17
7.6 Discontinuance of Approval of Evaluation Facility	17
8. Procedures to Suspend or Revoke Approval of Evaluation Facility	20
9. Applications for Approval of Evaluator Qualification.....	21
9.1 Scope of Applications for Approval of Evaluator Qualification.....	21
9.2 Conduct of Trial Evaluation	21
9.3 Forms	22
10. Guidelines on Applications for Approval of Evaluator Qualification	22
10.1 Prior Confirmation Items	22
10.2 Creation of an “Evaluation Work Plan”	23
10.3 Creation of a “Checklist for Impartiality and Independence of Evaluation”	23
10.4 Preparation of Documents Required for Application for Approval of Evaluator Qualification	24
10.5 Application for Approval of Evaluator Qualification.....	26
11. Procedures during the Application Process for Approval of Evaluator Qualification	26
11.1 Changes and Other Alterations during the Application Process for Approval of Evaluator Qualification	26
11.2 Conduct of Trial Evaluation	28
11.3 Assessment for Evaluator Candidates	28
12. Approval of Evaluator Qualification and Procedures after Approval	28
12.1 Approval of Evaluator Qualification	29
12.2 Maintaining an Evaluator Qualification	29
12.3 Changes to Evaluator Registration Records.....	30
12.4 Request for Reissuing a Certificate of Approval of Evaluator Qualification.....	30
12.5 Notification of Termination of Evaluation Services	31
12.6 Notification of Reinstatement of Evaluator.....	32
13. Revocation of an Evaluator Qualification	33
Appendix 1.....	35
Appendix 2.....	37

Forms 38

Guidance on Approval of IT Security Evaluation Facility

Establishment: April 3, 2012 (Jo-Se No. 506 of 2011)

Final revision: August 2, 2023 (Jo-Se-Gi No. 76 of 2023)

1. Purpose

The purpose of the “Guidance on Approval of IT Security Evaluation Facility (CCM-03-A)” (hereinafter referred to as “this Guidance”) is to explain the procedures that Evaluation Facilities shall take to apply for obtaining approval and to maintain the approval 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)”) and the “Requirements for Approval of IT Security Evaluation Facility (CCM-03)” (hereinafter referred to as the “Requirements for Evaluation Facility (CCM-03)”) 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 “Japan Information Technology 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 Evaluation Facility (CCM-03).”

4. Applications for Approval of Evaluation Facility

This Chapter prescribes the information needed to apply for approval of Evaluation Facility.

The term “Evaluation Facility candidate” described in this Chapter includes cases in which an approved Evaluation Facility applies to extend the scope of its approved assurance components.

4.1 Scope of Applications for Approval of Evaluation Facility

Evaluation Facility candidates applies for approval of Evaluation Facility in the following cases:

- (A) To obtain approval as a new Evaluation Facility.
- (B) To extend the scope of the Evaluation Facility's approved assurance components.

4.2 Applications for Approval of Evaluator Qualification

A condition for Evaluation Facilities to obtain approval from the Certification Body is to have at least one evaluator who belongs to the Evaluation Facility and is qualified for the scope of assurance components described in the application form for approval of Evaluation Facility. Therefore, an Evaluation Facility candidate shall apply for approval of evaluator qualification at the same time as applying for approval of Evaluation Facility. (Refer to Chapter 9.)

4.3 Conduct of Trial Evaluation

The Evaluation Facility candidate and the evaluator candidate conduct a "trial evaluation" as evaluation work so that the Certification Body can determine whether "approving the Evaluation Facility" and "approving the evaluator qualification" are appropriate.

In the case that multiple evaluators and evaluator candidates evaluate the same TOE, only the evaluation work conducted by the evaluator candidates is referred to as the trial evaluation, which can be applied to the assessment for approval of evaluator qualification for evaluator candidates.

4.4 Forms

The latest versions of the forms described in this Guidance are available from the "Download CCM-03-A Forms" and the "Download CCM-02-A Forms" sections on the website of the Certification Body.

"Appendix 1" in this Guidance provides a list of forms used in this Guidance and links to the website of the Certification Body. The Evaluation Facility candidate shall download the forms needed for each specific procedure and follow the sample forms when preparing documents to be submitted.

5. Application Procedure for Approval of Evaluation Facility

This Chapter explains the application procedures taken for approval of Evaluation Facility, from the preparations prior to the application to the application itself.

5.1 Confirmation of Assumptions

As an assumption to apply for approval of Evaluation Facility, the Evaluation Facility candidate shall have preliminary consultations with the Certification Body as described below.

If the Certification Body judges that the Evaluation Facility candidate is appropriate, as described in both Section 5.1 (1) and Section 5.1 (2), the Evaluation Facility candidate is allowed to apply for approval of Evaluation Facility.

If the Certification Body determines that the Evaluation Facility candidate is not appropriate, the Evaluation Facility candidate is not allowed to apply for approval of Evaluation Facility.

(1) Prior confirmation on becoming an Evaluation Facility

The Evaluation Facility candidate shall inform the Certification Body that it intends to apply

for approval of Evaluation Facility, through this Scheme's contact point on the website of the Certification Body.

The Evaluation Facility candidate shall submit materials and documents stating its purpose in participating in this Scheme as an Evaluation Facility, the product area it wishes to apply for, and its business plans to the Certification Body.

The Certification Body's Management Committee determines whether it is appropriate for the Evaluation Facility candidate to participate in this Scheme as an Evaluation Facility, based on the submitted materials.

(2) Prior confirmation on the TOE used in the trial evaluation

The Evaluation Facility candidate shall decide on the TOE to be used in the trial evaluation and submit materials explaining the ST and TOE to the Certification Body.

The Evaluation Facility candidate shall decide on a TOE that embodies the "assets (information) to be protected," the "threats (attacks) to be countered," and the "environment to be applied" as the assurance components for which it is applying for certification, and that can confirm the competence of the evaluator candidates.

For information on criteria for determining a TOE, refer to the "Guideline for Determining the TOE in Certification Applications that Do Not Use PPs," which is available on the website of the Certification Body.

The Certification Body shall determine whether the TOE is appropriate as an evaluation assurance level to confirm the competence of the evaluator candidates.

5.2 Accreditation from the Accreditation Body

The Evaluation Facility candidate shall be accredited by the Accreditation Body as prescribed in the "Scheme Document (CCS-01)." The Evaluation Facility candidate shall submit a copy of the "Certificate of Accreditation" issued by the Accreditation Body in order to obtain approval of Evaluation Facility from the Certification Body. The "Certificate of Accreditation" will be published on the website of the Accreditation Body, so it shall be used for a copy.

The contact information for "ASNITE Testing Laboratories (Accreditation of Evaluation Facilities)," operated by the National Institute of Technology and Evaluation (NITE) as the domestic Accreditation Body in Japan, is available on the website of the Certification Body at: https://www.ipa.go.jp/security/jisec/jisec_e/inquiry.html

5.3 Prior Confirmation Items

The Evaluation Facility candidate shall confirm the following items prior to applying for approval of Evaluation Facility.

(1) Scheme Documentation

The Evaluation Facility candidate is required to comply with the requirements in the "Scheme Document (CCS-01)," the "Requirements for Certification (CCM-02)," and the "Requirements for Evaluation Facility (CCM-03)."

As the details of these requirements are occasionally revised, the Evaluation Facility candidate shall always confirm the latest versions of the requirements on the website of the Certification Body.

(2) Working language

The language used in the documents submitted to the Certification Body, application procedures, communications with the Certification Body, and evaluation work shall be either Japanese or English. In the case that submitted documents are not in Japanese or English, the documents shall be translated into Japanese or English and submitted along with the original documents.

(3) Important notes regarding trial evaluation

Only one trial evaluation of the TOE is conducted accompanying the approval of an Evaluation Facility.

In other words, the Certification Body will not accept another new application for approval of Evaluation Facility that invokes a new trial evaluation from the Evaluation Facility candidate already conducting a trial evaluation.

In the case that the purpose of the trial evaluation is either an approval of new Evaluation Facility candidate or an approval of evaluator qualification for an evaluator candidate and TOE certification is not required, the Evaluation Facility candidate becomes the entity responsible for the application on the “Application for Certification” form. The Evaluation Facility candidate shall also be responsible for the certification application fees and the actual travel and accommodation expenses incurred in site visits.

In the above case, because the certification application is made for the purpose of applying for approval of Evaluation Facility, the Certification Body does not certify the TOE.

(4) Preparation of application expenses

The Evaluation Facility candidate shall pay the application fees prescribed in “Appendix 2” of this Guidance to the Certification Body. The Certification Body will send an invoice after the application for approval of Evaluation Facility is accepted. The applicant shall transfer the application fee to the specified bank account by the deadline described in the invoice.

The Evaluation Facility candidate or Evaluation Facility shall be responsible for the bank transfer fee charged when transferring money to the specified bank account for each procedure prescribed in Chapter 5 through Chapter 8. Note that application fees, once paid, will not be refunded even if the application is withdrawn.

5.4 Creation of an “Evaluation Work Plan”

The Evaluation Facility candidate creates and submits an “Evaluation Work Plan” (CCM-02-A Form 4) to the certification applicant. (Refer to Section 10.2.)

5.5 Creation of a “Checklist for Impartiality and Independence of Evaluation”

The Evaluation Facility candidate shall create a “Checklist for Impartiality and Independence of Evaluation (Evaluation Facility)” (CCM-02-A Form 5-1) prior to applying for approval of Evaluation Facility in order to assure the impartiality and independence of individual evaluations, and affix a name with signature or digital signature using a digital certificate (with the Evaluation Facility candidate’s organization name).

The Evaluation Facility candidate shall also have each evaluator candidate create a “Checklist for Impartiality and Independence of Evaluation (Evaluator)” (CCM-02-A Form 5-2), and the

Evaluation Facility candidate shall confirm and affix a name with signature or digital signature using a digital certificate (with the Evaluation Facility candidate's organization name) on the checklists.

In the case that personnel in other divisions within the corporation to which the Evaluation Facility belongs provide assistance regarding the TOE to the evaluator candidate, such as creating an ST, the Evaluation Facility candidate shall fill out the checklist confirmation box in detail.

The Evaluation Facility candidate shall submit the above two types of checklists to the certification applicant.

The certification applicant shall confirm the above two types of checklists submitted by the Evaluation Facility candidate, and submit them to the Certification Body along with the documents for certification application.

The Certification Body will accept the application for approval of Evaluation Facility only after accepting the certification application submitted from the certification applicant.

5.6 Preparation of Documents Required for the Application for Approval of Evaluation Facility

The Evaluation Facility candidate shall prepare the following documents in order to apply for approval of Evaluation Facility.

Documents except those specified in (2) below can be stored in electronic media including a CD-R and then submitted. In the case that they cannot be submitted on electronic media, the Evaluation Facility candidate can shall submit each one of the documents on paper media.

The Evaluation Facility candidate shall submit the documents specified in (4) and (5) with changes that reflect the extended scope of assurance components when applying for approval of Evaluation Facility in order to extend the scope of approved assurance components.

Note that an application for approval of evaluator qualification shall be submitted at the same time as the application for approval of Evaluation Facility. (Refer to Chapter 9.)

(1) "Application for Approval of Evaluation Facility" (Form 1)

(A) Person responsible for the application

The person with authority and responsibility over the application regarding the evaluation service shall affix a name with signature or digital signature using a digital certificate (with Evaluation Facility candidate's organization name).

In the case that the application is signed, the applicant shall be sure to print out the signatory in block letters as well.

In the case that the person with authority and responsibility over the application regarding the evaluation services delegates authority to another person, a "letter of authorization" shall be attached to the application.

(B) Type of application

The applicant shall select either a new application for approval or an application to extend the scope of assurance components.

(C) Scope of the assurance components for which approval is being applied

The applicant shall fill in the assurance packages, assurance components, and assurance classes within the scope of the trial evaluation.

- (D) Product area
 - Either software or hardware shall be selected.
 - 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.
- (E) Evaluation Facility candidate
 - Name: The official accredited name of the Evaluation Facility shall be provided.
 - Address: The address of the Evaluation Facility's primary business office shall be provided.
- (F) Name and address of related business office
 - The business office (such as a head office or branch office) other than the primary business office, if applicable, shall be provided.
- (G) Contact person for this application
 - The name, e-mail address, and telephone number of the person serving as the contact person for the evaluation services described in the application shall be provided.
- (2) Documents proving the corporate status
 - The Evaluation Facility candidate shall submit the latest original document issued within the last six months. Copies are not acceptable.
 - Acceptable documents can be a certificate of the registered matters of the company or corporation or equivalents.
 - Overseas corporations may substitute an original tax payment certificate issued by an official agency. In the case that the submitted documents are not in Japanese or English, the documents shall be translated into Japanese or English and submitted along with the original documents.
- (3) "Written Oath of Compliance Rules concerning the Approval of Evaluation Facility" (Form 2)
 - The person responsible for the application specified in Section 5.6 (1) (A) shall confirm the details of the written oath and then affix a name with signature or digital signature using a digital certificate (with Evaluation Facility candidate's organization name).
- (4) Quality Manual (any title is acceptable)
 - The Evaluation Facility candidate shall submit a Quality Manual that fulfills the requirements specified in ISO/IEC 17025.
 - The Quality Manual shall contain all the Evaluation Facility's rules and procedures referenced in this Guidance and all matters related to the Evaluation Facility's organization and personnel (such as the Responsible Manager, Quality Manager, Technical Manager, and Document Management Manager).
- (5) Documents related to education and training programs
 - (A) Education and training documents (any title is acceptable)
 - Education and training documents shall contain the criteria for completing and passing the education and training programs as well as the rules and procedures for judges.
 - (B) Education and training programs (any title is acceptable)

The education and training programs indicate the education and training curriculum, textbooks, and other actual teaching materials to be used.

The education and training programs shall be appropriate to the technology and assurance components in the product area in which the Evaluation Facility candidate conducts evaluations.

(6) A copy of the Certificate of Accreditation

The Evaluation Facility candidate shall submit a copy of the “Certificate of Accreditation” issued by the Accreditation Body.

The “Certificate of Accreditation” will be published on the website of the Accreditation Body, so it shall be submitted for a copy.

The Evaluation Facility candidate that is applying for accreditation but has not yet been accredited by the Accreditation Body, shall submit a copy of the “Application Form for Accreditation” submitted to the Accreditation Body instead of a copy of the “Certificate of Accreditation.” In this case, the Evaluation Facility candidate shall submit a copy of the “Certificate of Accreditation” to the Certification Body as soon as it is issued by the Accreditation Body.

If the Evaluation Facility candidate fails to be accredited as an Evaluation Facility by the Accreditation Body, the Evaluation Facility candidate shall withdraw the application for approval of Evaluation Facility. (Refer to Section 6.1.3.)

5.7 Conclusion of a Nondisclosure Agreement

The Evaluation Facility candidate shall conclude the “Nondisclosure Agreement” (Form 15) to the Certification Body to handle the confidentiality of information exchanged with the Certification Body. A nondisclosure agreement is concluded only at the time when the Evaluation Facility candidate applies for approval of Evaluation Facility for the first time unless there are changes in address or in the title of the agreement.

The contract will be concluded with an electronic contract introduced by IPA, while the Evaluation Facility candidate can also conclude it in writing in the case the electronic contract is difficult. In the case the contract is concluded in writing, the Evaluation Facility candidate shall create two copies of the “Nondisclosure Agreement” by affixing a name with signature, and shall submit both copies to the Certification Body, along with the “Application for Approval of Evaluation Facility” form.

The Certification Body shall complete and affix its seal to the submitted “Nondisclosure Agreement” and shall return one copy to the Evaluation Facility candidate.

5.8 Application for Approval of Evaluation Facility

(1) The Evaluation Facility candidate shall prepare and submit all necessary documents specified in Section 5.6 and Section 5.7 as well as all documents required for the application for approval of evaluator qualification to the Certification Body.

The Certification Body informs the Evaluation Facility candidate of the “reception date” and the “reception number” after confirming that the submitted documents are sufficient and complete. The “reception date” and the “reception number” are necessary in further

procedures until being approved as an Evaluation Facility.

- (2) In the case that the submitted documents are insufficient, the Certification Body will instruct the Evaluation Facility candidate to submit the necessary documents within a specified period. The Evaluation Facility candidate shall respond to the instruction within the specified period.
- (3) In the case that the Evaluation Facility candidate does not submit the necessary documents within the specified period, or in the case that the requirements are not fulfilled in writing, the Certification Body will reject the application. In this case, the Certification Body will return a set of application documents to the Evaluation Facility candidate.
- (4) The Certification Body will accept the certification application of the trial evaluation conducted accompanying the approval of the Evaluation Facility (including evaluations where all evaluators are being assessed for evaluator qualifications) after accepting the application for approval of Evaluation Facility. If the Certification Body cannot accept the certification application of the trial evaluation, the Evaluation Facility candidate shall withdraw the application for approval.

6. Procedures during the Application Process for Approval of Evaluation Facility

This Chapter explains the procedures taken after the application for approval of Evaluation Facility has been accepted until the Evaluation Facility is approved.

Refer to Table 1: “List of Documents Submitted to Correct or Change an Application for Approval of Evaluation Facility” for the documents to be submitted related to changes.

The term “Evaluation Facility candidate” in the descriptions in this Chapter includes cases in which an approved Evaluation Facility applies to extend the scope of its approved assurance components.

6.1 Changes and Other Alterations during the Application Process for Approval of Evaluation Facility

6.1.1 Corrections or Changes to Records in a Submitted “Application for Approval of Evaluation Facility” Form

In the case of correcting or changing records in a submitted “Application for Approval of Evaluation Facility” form, the Evaluation Facility candidate shall submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility” (Form 12) to the Certification Body.

- (A) Person responsible for the application

Same as Section 5.6 (1) (A).

- (B) Type of Notification

“Request to change records” shall be selected.

- (C) Name of the Evaluation Facility candidate

The name described in the “Application for Approval of Evaluation Facility” form shall be provided.

In the case that the Evaluation Facility candidate has already been approved as an Evaluation Facility and is applying for approval of Evaluation Facility to extend its assurance

components, the Evaluation Facility approval number shall also be provided.

(D) Reception date of application and reception number

The “reception date” and “reception number” for the “Application for Approval of Evaluation Facility” form informed by the Certification Body, as described in Section 5.8 (1), shall be provided.

(E) Reason for change or withdrawal

The reason for the correction or change shall be provided.

6.1.2 Corrections or Changes to a Submitted Document other than the “Application for Approval of Evaluation Facility” Form

In the case of correcting or changing a submitted document other than the “Application for Approval of Evaluation Facility” form, the Evaluation Facility candidate shall attach replacements or revised editions of the applicable documents to a “List of Changes” (any format is acceptable) that indicates the details of the changes and submit them to the Certification Body.

6.1.3 Withdrawal of a Submitted “Application for Approval of Evaluation Facility” Form

(1) In the case that the Evaluation Facility candidate intends to withdraw a submitted “Application for Approval of Evaluation Facility” form, the Evaluation Facility candidate shall submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility” (Form 12) to the Certification Body. In the case that a withdrawal has been made, the Certification Body will retain the received application form and other attached documents based on the nondisclosure agreement and will dispose of the documents once the retention period expires.

(A) Person responsible for the application

Same as Section 5.6 (1) (A).

(B) Type of Notification

“Withdrawal notification” shall be selected.

(C) Name of the Evaluation Facility candidate

The name described in the “Application for Approval of Evaluation Facility” form shall be provided.

In the case that the Evaluation Facility candidate has already been approved as an Evaluation Facility and is applying for approval of Evaluation Facility to extend its assurance components, the Evaluation Facility approval number shall also be provided.

(D) Reception date of application and reception number

The “reception date” and “reception number” for the “Application for Approval of Evaluation Facility” form informed by the Certification Body, as described in Section 5.8 (1), shall be provided.

(E) Reason for change or withdrawal

The reason for the withdrawal shall be provided.

(2) The Evaluation Facility candidate shall withdraw any applications for approval of evaluator qualifications that were submitted at the same time as the application for approval of

Evaluation Facility. (Refer to Section 11.1 (2).)

The Evaluation Facility candidate shall also inform the certification applicant to submit a “Request for Withdrawal of Application” (CCM-02-A Form 7) for the trial evaluation to the Certification Body.

In the case that an Evaluation Facility candidate that has already been approved as an Evaluation Facility has submitted a “Notification of Discontinuance of Approval of Evaluation Facility” (Form 11), it will be assumed that all applications for approval of Evaluation Facility and approval of evaluator qualifications have been withdrawn. In this case, the Evaluation Facility candidate does not need to submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility” or “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” to the Certification Body.

6.2 Succession during the Application Process for Approval of Evaluation Facility

In the case that the entire evaluation services relating to the Evaluation Facility candidate are transferred to another corporation, or in the case there is a merger with another corporation during the application process for approval of Evaluation Facility, the corporation after the business transfer or merger is able to succeed the status of the Evaluation Facility candidate according to the procedure as described below.

When the case “the entire evaluation services relating to the Evaluation Facility candidate are transferred to another corporation, or there is a merger with another corporation” is not applicable, the applicant shall submit a new “Application for Approval of Evaluation Facility.”

- (1) The succeeding Evaluation Facility candidate shall consult with the Certification Body in advance in accordance with Section 5.1 (1) “Preliminary Consultation on Becoming an Evaluation Facility.” The succeeding Evaluation Facility candidate shall submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility” and necessary attached documents as prescribed in Section 6.1.1 to the Certification Body.
- (2) The corporation which desires to succeed the status of the Evaluation Facility candidate under the provision of this paragraph shall undergo on-site assessment if requested by the Certification Body. In the case that the location is 100 km or more away from the Certification Body, the succeeding Evaluation Facility candidate shall be responsible for the actual travel and accommodation expenses incurred.

The Certification Body will send an invoice for the actual travel and accommodation expenses incurred in the on-site assessment. The succeeding Evaluation Facility candidate shall remit payment to the specified bank account by the deadline described in the invoice.

Table 1: List of Documents Submitted to Correct or Change an Application for Approval of Evaluation Facility

<p style="text-align: center;">Contents of correction or change</p> <p style="text-align: center;">Documents to be submitted</p>	Name change of the Evaluation Facility candidate (including successions)	Change of address of the Evaluation Facility candidate (including successions)	Changes to the Quality Manual	Changes to the education and training documents	Changes to the education and training program
(A) “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility” (CCM-03-A Form 12)	Yes	Yes	No	No	No
(B) “Written Oath of Compliance Rules concerning the Approval of Evaluation Facility” (CCM-03-A Form 2)	Yes	Yes	No	No	No
(C) Documents proving corporate status	Yes	Yes	No	No	No
(D) Quality Manual	Yes*	Yes*	Yes	No	No
(E) Education and training documents	Yes*	Yes*	No	Yes	No
(F) Education and training program	Yes*	Yes*	No	No	Yes
(G) Copy of the “Certificate of Accreditation” issued by the Accreditation Body (Before the issuance, a copy of the “Request for Changing Record in the Application Form for Accreditation” submitted to the Accreditation Body.)	Yes	Yes	No	No	No

*Documents (D), E, and (F) do not need to be submitted if they are unchanged.

7. Approval of Evaluation Facility and Procedures after Approval

This Chapter explains the approval of the Evaluation Facility and the procedures taken after approval.

Refer to Table 2: “List of Documents Attached to Request for Changing Record concerning the Approval of Evaluation Facility” for the documents to be submitted related to a change.

In each procedure, the Certification Body informs the Evaluation Facility candidate of the “reception date” and the “reception number” after confirming that the submitted documents are sufficient and complete.

7.1 Approval of Evaluation Facility

(1) Accreditation from the Accreditation Body

Accreditation from the Accreditation Body is required as a condition to obtain approval of Evaluation Facility from the Certification Body.

The Evaluation Facility candidate that has not submitted a copy of the “Certificate of Accreditation” at the time of applying for approval of Evaluation Facility shall submit a copy of the “Certificate of Accreditation” as soon as it is issued by the Accreditation Body.

(2) Issuance of the “Certificate of Approval of Evaluation Facility”

In the case that the Evaluation Facility candidate is approved as an Evaluation Facility, the Certification Body will issue a “Certificate of Approval of Evaluation Facility” (Form 17). The Evaluation Facility shall be responsible for managing the “Certificate of Approval of Evaluation Facility” under its obligations as an Evaluation Facility.

In the case that the contents of the Certificate change (refer to Section 7.3) or in the case that the Evaluation Facility discontinues its evaluation services as an Evaluation Facility (refer to Section 7.6), the Evaluation Facility shall return the “Certificate of Approval of Evaluation Facility” to the Certification Body.

(3) Registration with the Certification Body

The approved Evaluation Facility will be registered as the Evaluation Facility with the Certification Body.

The Certification Body will request the submission of a “Notification of Contact for Inquiries and Information on List of Evaluation Facilities” (Form 18) in order to confirm the “contact for inquiries” and the “information for the List of Evaluation Facilities” on its website. The Evaluation Facility shall complete the required items and promptly submit the notification to the Certification Body.

The information described in (C) through (F) below is managed on the Register of the Certification Body. The person in charge of the application shall confirm that there are no differences between the register and the information in the latest version of the Quality Manual submitted to the Certification Body. In the case that there are differences, the person in charge of the application shall describe the change on a “Request for Changing Record for Approval of Evaluation Facility” (Form 5) and submit it to the Certification Body along with the latest version of the Quality Manual and the above notification.

The “information for the List of Evaluation Facilities” described in (B), (G), and (H) below will be published on the “List of Evaluation Facilities” on the website of the Certification

Body.

(A) Person in charge of the application

The purpose of the “Notification of Contact for Inquiries and Information on List of Evaluation Facilities” (Form 18) is to confirm the Responsible Managers and Technical Managers listed in the Quality Manual already submitted to the Certification Body. Therefore, the person in charge of the application may submit the notification.

The name, department, and title of the person in charge of the notification shall be provided. The official company seal or the representative’s seal or signature is not necessary.

(B) Approval number and name of the Evaluation Facility

The same approval number and name described in the “Certificate of Approval of Evaluation Facility” (Form 17) shall be provided.

(C) Responsible Manager of the Evaluation Facility

The information about the person with authority and responsibility related to the operation of the Evaluation Facility shall be provided.

(D) Quality Manager

The information about the person with authority and responsibility related to the implementation and compliance of the quality system shall be provided.

(E) Technical Manager and Deputy Technical Manager

The information about personnel responsible for technical services related to evaluations shall be provided.

(F) Document Management Manager

The information about the person responsible for issuing and managing documents related to the Quality Manual shall be provided.

(G) Point of contact, e-mail address, address, telephone number, and fax number

The name of the person who serves as the contact for inquiries from website visitors (the name of a contact for inquiries is also acceptable) and the contact information shall be provided.

(H) Website of the Evaluation Facility

In the case that corrections or changes occur to the information described in (B) through (H) above after the “Notification of Contact for Inquiries and Information on List of Evaluation Facilities” (Form 18) is submitted and registered with the Certification Body, the Evaluation Facility shall indicate the changes on a “Request for Changing Record for Approval of Evaluation Facility” (Form 5) and submit the form. (Refer to Section 7.3.)

(4) Publishing on the website of the Certification Body

For each approved Evaluation Facility, the Certification Body publishes the information described in Section 7.1 (3) (B), (G), and (H) from the “Notification of Contact for Inquiries and Information on List of Evaluation Facilities” (Form 18), along with the scope of assurance components and the product area of the TOE, on the “List of Evaluation Facilities (Japanese version / English version)” on the website of the Certification Body.

In the case that a change occurs to the information published on the “List of Evaluation Facilities (Japanese version / English version),” the Evaluation Facility shall take the change

procedure. (Refer to Section 7.3.5.)

In any of the following cases apply to an Evaluation Facility, the Certification Body will publish them on the “List of Evaluation Facilities (Japanese version / English version).”

- (A) A “Request for Changing Record for Approval of Evaluation Facility” is submitted after a change in an Evaluation Facility’s approval details, and the Certification Body approves the change. (Refer to Section 7.3.)
- (B) An Evaluation Facility discontinues its evaluation services and submits a “Notification of Discontinuance of Approval of Evaluation Facility.” (Refer to Section 7.6.)
- (C) An approval of Evaluation Facility is suspended, or a suspension is released.
- (D) An approval of Evaluation Facility is revoked.

7.2 Periodic Assessments

Evaluation Facilities participating in this Scheme shall undergo a periodic assessment by the Certification Body at least once every two years based on ISO/IEC 17025 as described in Section 7.1 (9) of the “Requirements for Evaluation Facility (CCM-03).”

However, when the Accreditation Body conducts periodic assessments, if the Certification Body attends that assessments as a technical specialist and confirm the above described condition of the evaluation services of the Evaluation Facility, the assessments performed by the Certification Body will be omitted.

(1) Notification of assessments

When the Certification Body informs the Evaluation Facility of an upcoming assessment, the Evaluation Facility shall respond to the assessment request.

(2) Details of assessments

- (A) The Evaluation Facility arranges the date and time, the location, and interviews with evaluators, and it determines the date assessors from the Certification Body can be accepted.
- (B) The Evaluation Facility shall prepare a Quality Manual, related documents and procedures, education and training programs, and other records that are subject to the assessment.
- (C) The Evaluation Facility accepts the assessment from the Certification Body.
- (D) In the case that corrective actions are determined to be necessary as a result of the assessment, the Evaluation Facility implements the corrective actions within the time period specified by the Certification Body and submit a notification in writing that the corrective actions are completed to the Certification Body.

(3) Expenses for assessments

In the case that the location of the on-site assessment is 100 km or more away from the Certification Body, the Evaluation Facility shall be responsible for the actual travel and accommodation expenses incurred in the on-site assessment.

In the case that expenses are incurred, the Certification Body will send an invoice for the actual travel and accommodation expenses incurred in the assessment. The Evaluation Facility shall remit payment to the specified bank account by the deadline described in the invoice.

7.3 Changes Related to an Approval of Evaluation Facility

In the case that changes as described in Section 7.3.2 through Section 7.3.5 below occur, the Evaluation Facility shall prepare a “Request for Changing Record for Approval of Evaluation Facility” (Form 5), as described in Section 7.3.1, and take the procedures in accordance with the following paragraphs.

7.3.1 “Request for Changing Record for Approval of Evaluation Facility”

- (A) Person responsible for the application
Same as Section 5.6 (1) (A).
- (B) Approval number and name of the Evaluation Facility
The applicant shall fill in the approval number and name of the Evaluation Facility as described in the “Certificate of Approval of Evaluation Facility” (Form 17), as issued in Section 7.1 (2).
- (C) Effective date of change
The date on which the reason described in (D) below occurred.
- (D) Reason for change
The applicant shall fill in a reason, such as a company name change, a relocation, a merger with another corporation, or a change in the person in charge of the application.
- (E) Details of change
The applicant shall describe the details of the change.

7.3.2 Changes to the Name or Address (Including Relocations or Addressing System Changes) of an Evaluation Facility

The Evaluation Facility shall attach necessary documents to a “Request for Changing Record for Approval of Evaluation Facility” (Form 5) and a “Request for Reissuing Certificate of Approval of Evaluation Facility” (Form 10), as described in Section 7.5, and submit the documents to the Certification Body within 30 days, calculated from the date the change has been made.

In some cases, the Certification Body may conduct an assessment of whether the change has an impact on the Evaluation Facility’s approval details. In this case, the Evaluation Facility shall promptly respond to the assessment request.

In the case that the change is determined to be inappropriate, the Certification Body will inform the Evaluation Facility of the reason, and the Evaluation Facility shall confirm the identified matters and take appropriate action.

7.3.3 Changes to the Scope of Approved Assurance Components

In the case that the scope of the assurance components approved for the Evaluation Facility has been narrowed due to an evaluator terminating evaluation services, the Evaluation Facility shall submit a “Request for Changing Record for Approval of Evaluation Facility” (Form 5), a “Request for Reissuing Certificate of Approval of Evaluation Facility” (Form 10), as described in Section 7.5, and a “Notification of Termination of Evaluation Services as an Evaluator” (Form 6), as described in Section 12.5, to the Certification Body within 30 days

from the date on which the evaluator terminated evaluation services.

In the case that the Evaluation Facility requests to extend the scope of assurance components, the Evaluation Facility shall take the procedures from Chapter 4 and subsequent Chapters of this Guidance.

7.3.4 Changes to the Quality Manual and Documents Related to Education and Training

In the case that changes have been made to any of the documents listed below, the Evaluation Facility shall attach the documents with the corresponding revisions to a “Request for Changing Record for Approval of Evaluation Facility” (Form 5) and submit the documents to the Certification Body within 30 days, calculated from the date the change has been made.

Documents can be stored and submitted on CD-R or other electronic media.

(A) Quality Manual

(B) Education and training documents

(C) Education and training programs

(The Evaluation Facility cannot apply for another new evaluator qualification until the Certification Body has confirmed the details of the revised education and training programs.)

In some cases, the Certification Body may conduct an assessment of whether the change has an impact on the Evaluation Facility’s approval details. In this case, the Evaluation Facility shall promptly respond to the assessment request.

In the case that the change is determined to be inappropriate, the Certification Body will inform the Evaluation Facility of the reason, and the Evaluation Facility shall confirm the identified matters and take appropriate action.

7.3.5 Changes to the List of Evaluation Facilities

In the case that a change occurs to the information (point of contact, e-mail address, telephone number, fax number, and URL) published on the “List of Evaluation Facilities (Japanese version / English version)” on the website of the Certification Body, the Evaluation Facility shall submit a “Request for Changing Record for Approval of Evaluation Facility” (Form 5) to the Certification Body within 30 days, calculated from the date the change has been made.

7.4 Succession of an Evaluation Facility

In the case that the entire evaluation services relating to an Evaluation Facility are transferred to another corporation, or in the case there is a merger with another corporation, the corporation after the business transfer or merger is able to succeed the status of the Evaluation Facility after following the procedure as described below and receiving the reissued “Certificate of Approval of Evaluation Facility.” The succeeding Evaluation Facility shall be responsible for managing the “Certificate of Approval of Evaluation Facility” (Form 17) under its obligations as an Evaluation Facility.

When the case “the entire evaluation services relating to the Evaluation Facility candidate are transferred to another corporation or there is a merger with another corporation” is not applicable, the applicant shall submit a new “Application for Approval of Evaluation Facility.”

- (1) The succeeding Evaluation Facility shall consult with the Certification Body in advance in accordance with Section 5.1 (1) “Preliminary Consultation on Becoming an Evaluation Facility.” The succeeding Evaluation Facility shall submit a “Request for Changing Record for Approval of Evaluation Facility (Form 5),” necessary attached documents as prescribed in Section 7.3, and a “Request for Reissuing Certificate of Approval of Evaluation Facility (Form 10)” as prescribed in Section 7.5, to the Certification Body.
- (2) The corporation which desires to succeed the status of the Evaluation Facility under the provision of this paragraph shall undergo on-site assessment if requested by the Certification Body. In the case that the location of the on-site assessment is 100 km or more away from the Certification Body, the succeeding Evaluation Facility shall be responsible for the actual travel and accommodation expenses incurred in the overseas trip.
The Certification Body will send an invoice for the actual travel and accommodation expenses incurred in the assessment of the Evaluation Facility. The applicant shall remit payment to the specified bank account by the deadline described in the invoice.

7.5 Reissuing a Certificate of Approval of Evaluation Facility

- (1) In the case that changes to records of the “Certificate of Approval of Evaluation Facility” (Form 17) have occurred (refer to Section 7.3.1) or that the certificate has been lost, the Evaluation Facility shall submit a “Request for Reissuing Certificate of Approval of Evaluation Facility” (Form 10) to the Certification Body to apply for reissuance of a certificate.
 - (A) Person responsible for the application
Same as Section 5.6 (1) (A).
 - (B) Approval number and name of the Evaluation Facility
Same as Section 7.3.1 (B).
 - (C) Reason for requesting certificate reissuance
The reason for requesting the reissuance shall be provided.
- (2) The Certification Body will send an invoice for the application fees prescribed in “Appendix 2” of this Guidance. The Evaluation Facility shall remit the fees to the specified bank account by the deadline described in the invoice.
- (3) In the case that the Evaluation Facility requests for reissuing a certificate because of changes to records of the “Certificate of Approval of Evaluation Facility” (Form 17), the Evaluation Facility shall return the previous “Certificate of Approval of Evaluation Facility” to the Certification Body after receiving the new “Certificate of Approval of Evaluation Facility.”

7.6 Discontinuance of Approval of Evaluation Facility

- (1) In any of the following cases apply to an Evaluation Facility, the Evaluation Facility shall attach its “Certificate of Approval of Evaluation Facility” (Form 17) to a “Notification of Discontinuance of Approval of Evaluation Facility” (Form 11) and submit them to the Certification Body within 30 days, calculated from the date the discontinuance occurred.
 - (A) When the Accreditation Body has revoked the accreditation of the Evaluation Facility
 - (B) When no qualified evaluator belongs to the Evaluation Facility
 - (C) When the Evaluation Facility discontinues its evaluation services due to unavoidable

circumstances at the Evaluation Facility

In the case of (C) above, the Evaluation Facility shall submit a “Notification of Discontinuance of Approval of Evaluation Facility” (Form 11) to the Certification Body at least three months prior to the discontinuance.

- (2) “Notification of Discontinuance of Approval of Evaluation Facility”
 - (A) Person responsible for the application
Same as Section 5.6 (1) (A).
 - (B) Approval number and name of the Evaluation Facility
Same as Section 7.3.1 (B).
 - (C) Effective date of discontinuance
The date the corporation discontinues its evaluation services.
 - (D) Reason for discontinuance
The reason for discontinuing its evaluation services shall be provided, such as a merger with another corporation that terminates evaluation services.
- (3) The Evaluation Facility shall inform certification applicants whose evaluations are in progress that they shall submit a “Request for Withdrawal of Application” (CCM-02-A Form 7) to the Certification Body.
- (4) The Certification Body will deregister evaluators employed at an Evaluation Facility that discontinues its evaluation services assuming that they have terminated its evaluation services on the effective date of discontinuance.
The Evaluation Facility does not need to submit a “Notification of Termination of Evaluation Services as an Evaluator” to the Certification Body.
- (5) In the case that the Evaluation Facility had applied for approval of Evaluation Facility or applied for approval of evaluator qualification, the Certification Body will assume the applications have been withdrawn.
The Evaluation Facility does not need to submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility” or a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” to the Certification Body.

Table 2: List of Documents Attached to Request for Changing Record concerning the Approval of Evaluation Facility

Contents of correction or change	Narrowing the scope of approved assurance components	Name change of the Evaluation Facility (including successions)	Change of address of the Evaluation Facility (including successions)	Changes to the Quality Manual	Changes to the education and training documents	Changes to the education and training program
Documents to be submitted						
(A) "Request for Changing Record for Approval of Evaluation Facility" (Form 5)	Yes	Yes	Yes	Yes	Yes	Yes
(B) "Written Oath of Compliance Rules concerning the Approval of Evaluation Facility" (CCM-03-A Form 2)	No	Yes	Yes	No	No	No
(C) Documents proving corporate status	No	Yes	Yes	No	No	No
(D) Quality Manual	Yes*	Yes*	Yes*	Yes	No	No
(E) Education and training documents	Yes*	Yes*	Yes*	No	Yes	No
(F) Education and training program	Yes*	Yes*	Yes*	No	No	Yes
(G) Copy of the "Certificate of Accreditation" issued by the Accreditation Body (Before the issuance, a copy of the "Request for Changing Record in the Application Form for Accreditation" submitted to the Accreditation Body.)	Yes	Yes	Yes	No	No	No
(H) "Request for Reissuing Certificate of Approval of Evaluation Facility" (CCM-03-A Form 10)	Yes	Yes	Yes	No	No	No
(I) Previous "Certificate of Approval of Evaluation Facility"	Yes	Yes	Yes	No	No	No

*Documents (D), (E), and (F) do not need to be submitted if they are unchanged.

8. Procedures to Suspend or Revoke Approval of Evaluation Facility

This Chapter explains the procedures taken by an approved Evaluation Facility in the case that the Certification Body either suspends or revokes the approval of Evaluation Facility.

(1) Recommendation to improve operations

In the case that the Certification Body has confirmed any of the following conditions apply to an Evaluation Facility, the Certification Body will send the Evaluation Facility a recommendation in writing to improve operations within a specified time period.

The Evaluation Facility shall either improve operations within the specified time period in accordance with the written recommendation or shall report improvements to the Certification Body if performing the improvements within the time period is difficult. (Any report format is acceptable.)

(A) When the Evaluation Facility failed to submit necessary documents for a procedure within the time period prescribed in the “Requirements for Evaluation Facility (CCM-03).”

(B) When the Evaluation Facility candidate or Evaluation Facility does not follow the requirements specified in the “Requirements for Evaluation Facility (CCM-03).”

(C) When an evaluator candidate or evaluator at the Evaluation Facility does not follow the requirements specified in the “Requirements for Evaluation Facility (CCM-03).”

In the case that the Evaluation Facility improves its operations or reports improvements within the specified time period, and that the Certification Body determines the improvements to be appropriate, the Certification Body will not suspend the approval of Evaluation Facility.

(2) Suspension

Regarding Section 8 (1), in the case that the Evaluation Facility does not improve its operations or report improvements within the specified time period, or that the Certification Body does not determine that the improvements are appropriate, the Certification Body will inform the Evaluation Facility that its approval is suspended. The Certification Body will also publish a notification of the suspension on its website.

While suspended, the Evaluation Facility is unable to accept new evaluation requests or conduct evaluation services for such requests.

(3) Re-recommendation to improve operations

Regarding Section 8 (2), the Certification Body will send another recommendation in writing to improve operations within a specified time period to the suspended Evaluation Facility.

The Evaluation Facility shall either improve operations within the specified time period in accordance with the written recommendation or shall report improvement policies to the Certification Body if performing the improvements within the time period is difficult. (Any report format is acceptable.)

In the case that the Evaluation Facility improves operations or report improvement policies within the specified time period and the Certification Body determines the improvements to be appropriate, the Certification Body will inform the Evaluation Facility that the suspension is released. The Certification Body will also delete the suspension notice from its website.

(4) Revocation

Regarding Section 8.3, in the case that the Evaluation Facility does not improve its operations or report improvement policies within the specified time period, or the Certification Body does not determine that the improvements are appropriate, the Certification Body will revoke the approval of Evaluation Facility. In the case it has confirmed that the Accreditation Body has revoked the accreditation of the Evaluation Facility, the Certification Body will also revoke the approval of Evaluation Facility.

The Certification Body will publish a notice of the revocation on its website.

(5) Procedures after revocation

The Evaluation Facility whose approval has been revoked shall take the following procedures.

- (A) The Evaluation Facility shall stop evaluation services on the earlier of the date on which the Accreditation Body revoked its accreditation or the date on which the Certification Body revoked its approval.
- (B) The Evaluation Facility shall promptly return the “Certificate of Approval of Evaluation Facility” (Form 17) to the Certification Body.
- (C) The Evaluation Facility shall inform certification applicants whose evaluations are in progress that they shall submit a “Request for Withdrawal of Application” to the Certification Body.

9. Applications for Approval of Evaluator Qualification

This Chapter describes the information necessary to apply for approval of evaluator qualification. The term “evaluator candidate” in the descriptions in Chapters 9 through 13 includes cases in which a qualified evaluator is applying for extending the scope of assurance components. The term “Evaluation Facility” similarly describes an Evaluation Facility candidate that applies for approval of Evaluation Facility at the same time as applying for approval of evaluator qualification.

9.1 Scope of Applications for Approval of Evaluator Qualification

The Evaluation Facility shall apply for approval of evaluator qualification in the following cases.

- (A) To obtain an evaluator qualification for a new evaluator candidate
- (B) To extend the scope of assurance components for a person who has already been approved of an evaluator qualification

However, if the evaluation candidate has been rejected in the past assessment of approval of evaluation qualification, it is required to meet both the following conditions: three months or more have passed after the completion of the previous assessment, and the Evaluation Facility has provided the evaluator candidate with follow-up training on the previous assessment of approval of evaluator qualification.

9.2 Conduct of Trial Evaluation

The evaluator candidate conducts a “trial evaluation” so that the Certification Body can determine whether “approving the Evaluation Facility” and “approving the evaluator qualification” are appropriate.

In the case that multiple evaluators and evaluator candidates evaluate the same TOE, only the evaluation work conducted by the evaluator candidates is referred to as the trial evaluation, which

can be applied to the assessment for approval of evaluator qualification for the evaluator candidates.

9.3 Forms

The latest versions of the forms described in this Guidance are available from the “Download CCM-03-A Forms” and the “Download CCM-02-A Forms” sections on the website of the Certification Body.

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

10. Guidelines on Applications for Approval of Evaluator Qualification

This Chapter explains the application procedures taken from the preparations prior to applying for approval of evaluator qualification to the application itself.

The application is made by the Evaluation Facility, and the application fees are also paid by the Evaluation Facility.

10.1 Prior Confirmation Items

The Evaluation Facility shall confirm the following items prior to applying for approval of evaluator qualification.

(1) Important notes regarding trial evaluation

Only one trial evaluation accompanying the approval of evaluator qualification shall be conducted.

In other words, the Certification Body will not accept another application for approval of evaluator qualification that invokes a new trial evaluation from the evaluator candidate who is already participating in a trial evaluation.

(2) Preparation of application expenses

The Evaluation Facility shall pay the application fees prescribed in “Appendix 2” of this Guidance to the Certification Body. The Certification Body will send an invoice after the application for approval of evaluator qualification is accepted. The applicant shall remit the fees to the specified bank account by the deadline described in the invoice.

The Evaluation Facility shall be responsible for the bank transfer fee charged when transferring money to the specified bank account for each procedure prescribed in Chapter 9 through Chapter 12. Note that application fees, once paid, will not be refunded even if the application is withdrawn.

(3) Travel and other expenses related to assessments

The Evaluation Facility shall be responsible for the actual travel and accommodation expenses incurred in on-site assessment of approval of evaluator qualification performed by the Certification Body.

The necessary travel and accommodation expenses incurred in on-site assessments of approval of evaluator qualification are as follows.

(A) The travel and accommodation expenses incurred in on-site assessment of approval of evaluator qualification performed within Japan are included in the application fees.

- (B) In the case that the on-site assessment is performed on site which is 100 km or more away from the location of the Certification Body or overseas at the request of the applicant, the Evaluation Facility shall be responsible for the actual travel and accommodation expenses incurred in the overseas trip.
- (C) In the case that expenses are incurred, the Certification Body will send an invoice for the actual travel and accommodation expenses incurred in the assessment of approval of evaluator qualification. The Evaluation Facility shall remit the fees to the specified bank account by the deadline described in the invoice.

10.2 Creation of an “Evaluation Work Plan”

- (1) Preparation of the “Evaluation Work Plan” until it is submitted to the Certification Body

The Evaluation Facility creates an “Evaluation Work Plan” (CCM-02-A Form 4) and submits it to the certification applicant prior to applying for approval of evaluator qualification. (Refer to the “Guidance on IT Security Certification (CCM-02-A).”)

The certification applicant confirms and approves the details of the “Evaluation Work Plan” submitted by the Evaluation Facility and returns a copy to the Evaluation Facility.

The Evaluation Facility attaches a copy of the approved “Evaluation Work Plan” to the evaluator candidate’s “Curriculum Vitae” (Form 4) and submits it to the Certification Body along with the “Application for Approval of Evaluator Qualification.” (Refer to Section 10.4.)

The certification applicant submits the “Evaluation Work Plan” to the Certification Body along with the certification application documents.

- (2) Procedure for making corrections or changes

In the case that corrections or changes occur after the submission of the “Evaluation Work Plan,” the Evaluation Facility shall create a revised version of the “Evaluation Work Plan” and submit the document to the Certification Body with the agreement of the certification applicant.

10.3 Creation of a “Checklist for Impartiality and Independence of Evaluation”

The Evaluation Facility shall create a “Checklist for Impartiality and Independence of Evaluation (Evaluation Facility)” (CCM-02-A Form 5-1) and affix a name with signature or digital signature using a digital certificate (with Evaluation Facility’s organization name), prior to applying for approval of evaluator qualification in order to assure the impartiality and independence of individual evaluations.

The Evaluation Facility shall also have each evaluator candidate create a “Checklist for Impartiality and Independence of Evaluation (Evaluator)” (CCM-02-A Form 5-2), and the Evaluation Facility shall confirm the checklists and affix a name with signature or digital signature using a digital certificate (with Evaluation Facility’s organization name).

In the case that personnel in other divisions within the corporation to which the Evaluation Facility belongs provide assistance regarding the TOE to the evaluator candidate, such as creating an ST, the Evaluation Facility shall fill out the checklist confirmation box in detail.

The Evaluation Facility shall submit the above two types of checklists to the certification applicant. The certification applicant shall confirm the above two types of checklists submitted by the

Evaluation Facility, and submit the documents to the Certification Body along with the documents for certification application.

The Certification Body will accept the application for approval of evaluator qualification only after accepting the certification application submitted from the certification applicant.

10.4 Preparation of Documents Required for Application for Approval of Evaluator Qualification

The Evaluation Facility shall prepare one copy of each of the following documents and submit them to the Certification Body.

(1) “Application for Approval of Evaluator Qualification” (Form 3)

(A) Person responsible for the application

The person with authority and responsibility over the application shall affix a name with signature or digital signature using a digital certificate (with Evaluation Facility’s organization name).

In the case that the application is signed, the applicant shall be sure to print out the signatory in block letters as well.

In the case that the person with authority and responsibility over the application delegates authority to another person, a “letter of authorization” shall be attached to the application.

(B) Scope of assurance components being applied for in the approval of evaluator qualification

The applicant shall fill in the assurance packages and assurance components within the scope of the trial evaluation.

(C) Product area

Either software or hardware shall be selected.

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.

(D) Name of the Evaluation Facility applying for approval of evaluator qualification

If the Evaluation Facility is applying for approval of Evaluation Facility at the same time as applying for approval of evaluator qualification, the applicant shall fill in the same name as described in the “Application for Approval of Evaluation Facility” (Form 1) in Section 5.6 (1) (E).

If the Evaluation Facility has already been approved, the applicant shall also fill in the Evaluation Facility approval number.

(E) Evaluator candidate

The name and e-mail address of the evaluator candidate shall be provided.

(2) “Curriculum Vitae” (Form 4) for the evaluator candidate

The Evaluation Facility provide as much detail as possible in the required items in order to demonstrate that the evaluator candidate fulfills the conditions on evaluator candidates pursuant to Section 5.2 of the “Requirements for Evaluation Facility (CCM-03).”

(A) Name and month/year of birth

The name and month/year of birth of the candidate evaluator shall be provided.

(B) Name of the Evaluation Facility

The same Evaluation Facility name shall be given as in Section 10.4 (1) (D).

(C) Work address and contact information

The address of the Evaluation Facility's office to which the evaluator candidate belongs and the contact information of the evaluator candidate shall be provided.

(D) Type of employment

Full-time shall be selected.

Non-full-time employees, or temporary/part-time employees even if they work full-time hours, are excluded from applying for approval of evaluator qualification.

(E) Education level

The Certification Body determines the education level requirement on the basis of academic background or three or more years of relevant work experience in the Information Technology field.

If applying on the basis of academic background, the Evaluation Facility shall complete this field to demonstrate that the evaluator candidate has graduated education in science or technology at a technical college, junior college, vocational college, or equivalent to or higher educational institutions than those colleges.

(F) Work experience

The period and the details of relevant work experience prescribed in the following i.) through iv.) shall be provided to demonstrate that the evaluator candidate has four or more years of experience with the development of IT products or similar products in the information processing field, and that the evaluator candidate has also been engaged in technical activities in information security or related fields for two or more years.

Note that in the case the evaluator candidate's relevant work experience in Section 10.4 (2) (E) is judged to satisfy the education level requirement, three years of the relevant work experience in the Information Technology field cannot be calculated in the development experience of this paragraph.

i.) Qualifications related to information security (Documents proving the qualifications shall be attached), as well as activities in academic societies or field-related committees, etc.

ii.) Period engaged in IT product development, an overview, and field of expertise

iii.) History of information security-related consulting work

iv.) Experience in IT security evaluations at the Evaluation Facility

(G) Relationships with specific corporations or organizations (employment, temporary transfers, temporary employment, appointments, commissions, etc.)

The details shall be provided to clarify that the evaluator candidate's impartiality and independence is assured.

(3) Records related to the evaluator candidate's education and training programs (any title is acceptable)

The latest records shall be submitted.

(4) Certificate of completion of an education and training program (any format is acceptable)

(5) Copy of the “Evaluation Work Plan”

A copy of the “Evaluation Work Plan” (CCM-02-A Form 4) for the trial evaluation shall be provided. (Refer to Section 10.2.)

10.5 Application for Approval of Evaluator Qualification

- (1) The Evaluation Facility shall prepare and submit all necessary documents specified in Section 10.4 to the Certification Body.
- (2) The Certification Body informs the Evaluation Facility of the “reception date” and the “reception number” after confirming the following matters based on the submitted documents. The “reception date” and the “reception number” are necessary in further procedures until being approved as a qualified evaluator.
 - (A) The evaluator candidate shall fulfill the requirements specified in Section 5.2 of the “Requirements for Evaluation Facility (CCM-03).”
 - (B) The name of the evaluator candidate shall be described as a member of the evaluation team in the “Evaluation Work Plan” submitted at the time of certification application.

In the case that an evaluator candidate is added to the trial evaluation after the submission of the “Evaluation Work Plan,” the Evaluation Facility shall submit a revised version of the “Evaluation Work Plan” to the Certification Body with the added evaluator candidate within 30 days from the “confirmation date of the Evaluation Work Plan” described in the “Notification of Confirmation of Evaluation Work.”

In the case that a revised version of the “Evaluation Work Plan” is not submitted within 30 days, the Certification Body will not accept the application for approval of evaluator qualification for the additional evaluator candidate.
 - (C) The submitted documents shall be sufficient and complete.
- (3) In the case that the submitted documents are insufficient, the Certification Body will instruct the Evaluation Facility to submit the necessary documents within a specified period. The Evaluation Facility shall respond to the instruction within the specified period.
- (4) In the case that the evaluator candidate does not submit the necessary documents within the specified period, or in the case that the requirements are not fulfilled in writing, the Certification Body will reject the application. In this case, the Certification Body will return a set of application documents to the Evaluation Facility.

11. Procedures during the Application Process for Approval of Evaluator Qualification

This Chapter explains the procedures taken after the application for approval of evaluator qualification has been accepted until the evaluator qualification is approved.

11.1 Changes and Other Alterations during the Application Process for Approval of Evaluator Qualification

- (1) Corrections or changes to records in a submitted “Application for Approval of Evaluator Qualification” form

In the case of correcting or changing records in a submitted “Application for Approval of

Evaluator Qualification” form, the Evaluation Facility shall submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” (Form 13) to the Certification Body.

- (A) Person responsible for the application

Same as Section 10.4 (1) (A).

- (B) Type of Notification

“Request to change records” shall be selected.

- (C) Name of the evaluator

The name described in the “Application for Approval of Evaluator Qualification” shall be provided.

In the case that the evaluator candidate has already approved of an evaluator qualification and is applying for approval of evaluator qualification to extend the scope of the assurance components, the evaluator registration number shall also be provided.

- (D) Reception date of application and reception number

The “reception date” and “reception number” for the “Application for Approval of Evaluator Qualification” form informed by the Certification Body, as described in Section 10.5 (2), shall be provided.

- (E) Reason for change or withdrawal

The reason for the correction or change shall be provided.

- (2) Withdrawal of a submitted “Application for Approval of Evaluator Qualification” form

In the case that the Evaluation Facility intends to withdraw a submitted “Application for Approval of Evaluator Qualification” form, the Evaluation Facility shall submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” (Form 13) to the Certification Body. In the case that a withdrawal has been made, the Certification Body will retain the received application form and other attached documents for a certain period in accordance with its Scheme documentation and will not return them to the applicant. The Certification Body will dispose of the documents once the retention period expires.

- (A) Person responsible for the application

Same as Section 10.4 (1) (A).

- (B) Type of Notification

“Withdrawal notification” shall be selected.

- (C) Name of the evaluator

The name described in the “Application for Approval of Evaluator Qualification” form shall be provided.

In the case that the evaluator candidate has already been approved of an evaluator qualification and is applying for approval of evaluator qualification to extend the assurance components of evaluators, the evaluator registration number shall also be provided.

- (D) Reception date of application and reception number

The “reception date” and “reception number” for the “Application for Approval of

Evaluator Qualification” form informed by the Certification Body, as described in Section 10.5 (2), shall be provided.

(E) Reason for change or withdrawal

The reason for the withdrawal shall be provided.

In the case that an Evaluation Facility that has already been approved as an Evaluation Facility has submitted a “Notification of Discontinuance of Approval of Evaluation Facility” (Form 11), it will be assumed that all applications for approval of evaluator qualification have been withdrawn. In this case, the Evaluation Facility does not need to submit a “Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification” to the Certification Body.

11.2 Conduct of Trial Evaluation

(1) Trial evaluation

Apart from the assessment for the evaluator candidate being conducted, the trial evaluation shall be conducted under the same process as a normal evaluation.

(2) Evaluation Technical Report

The evaluator candidate shall submit an “Evaluation Technical Report” to the Certification Body when the trial evaluation is completed.

In the case that multiple evaluator candidates share a trial evaluation for the same TOE, each evaluator candidate shall create an independent “Evaluation Technical Report” for assessment of each candidate.

11.3 Assessment for Evaluator Candidates

(1) Assessment method

The Certification Body confirms whether the evaluator candidate fulfills the requirements specified in Section 6.4 of the “Requirements for Evaluation Facility (CCM-03)” using the “Evaluation Technical Reports,” the “Observation Reports,” and evaluation deliverables. The assessment is conducted in accordance with the detailed method prescribed in the “Procedure for Approval of Evaluation Facility (CCM-01-B).”

(2) Assessment period

The Certification Body conducts the assessment for approval of evaluator qualification during the trial evaluation or upon completion of the trial evaluation.

In the case that the evaluator candidate falls under any of the following cases after the completion of the trial evaluation, the Certification Body will assume the evaluator candidate has withdrawn the application for approval of evaluator qualification.

(A) When the evaluator candidate has not undergone an assessment within six months after the completion of the trial evaluation

(B) When there is no expectation that the assessment will be completed within one year

12. Approval of Evaluator Qualification and Procedures after Approval

This Chapter explains the procedures that are taken upon and after approval of evaluator qualification.

In each procedure in Section 12.2 to Section 12.6, the Certification Body informs the Evaluation Facility of the “reception date” and the “reception number” after confirming that the submitted documents are sufficient and complete.

12.1 Approval of Evaluator Qualification

In the case that the assessment finds that the evaluator candidate fulfills the evaluator qualification requirements specified in Section 6.4 of the “Requirements for Evaluation Facility (CCM-03),” the Certification Body will issue a “Certificate of Approval of Evaluator Qualification” (Form 16) to the evaluator candidate and register the evaluator candidate as a qualified evaluator under this Scheme. The “Certificate of Approval of Evaluator Qualification” indicates the fact that the Certification Body has approved the evaluator qualification, but it does not indicate the validity of the evaluator qualification.

12.2 Maintaining an Evaluator Qualification

- (1) The Evaluation Facility shall manage the status of evaluation services conducted by all evaluators who belong to the Evaluation Facility.
- (2) As of April 1st each year, the Certification Body confirms whether all evaluators who belong to the Evaluation Facility had engaged in TOE evaluations during the previous year and have maintained the validity of their evaluator qualification.

Regarding evaluators who have been found to have not engaged in TOE evaluations for at least one year, the Certification Body informs the Evaluation Facility that they are subject to the assessment for maintaining evaluator qualification.

- (3) The Evaluation Facility shall promptly report the status of evaluation services conducted by the evaluators mentioned in the notification in Section 12.2 (2) to the Certification Body.
- (4) After assessing the maintenance of the evaluator qualification in Section 12.2 (3), the Certification Body informs the Evaluation Facility whether it approves the maintenance of the evaluator qualification of each evaluator who belongs to the Evaluation Facility as of April 1st.
- (5) The Evaluation Facility shall fill in the name of all evaluators whose evaluator qualification maintenance has been approved on an “Application for Maintaining Evaluator Qualification” (Form 14) and submit it to the Certification Body within 30 days of receiving the notification in Section 12.2 (4).

In the case that an evaluator whose evaluator qualification maintenance was approved terminates his/her evaluation services after April 1st, the Evaluation Facility shall still include the evaluator on the “Application for Maintaining Evaluator Qualification,” because all evaluators who belong to the Evaluation Facility as of April 1st are subject for maintaining evaluator qualification.

The Certification Body revokes the evaluator qualification of the evaluator whose evaluator qualification maintenance is not approved. (Refer to Section 13 (3).)

- (A) Person responsible for the application

Same as Section 10.4 (1) (A).

- (B) Approval number and name of the Evaluation Facility

The Evaluation Facility's approval number and name shall be provided.

- (C) Product area to be maintained for the evaluator qualification
Either software or hardware shall be selected.
 - (D) Registration number and name of evaluators
The registration number and name of each evaluator whose evaluator qualification maintenance was approved shall be provided.
- (6) The Certification Body will send an invoice for the application fees prescribed in "Appendix 2" of this Guidance. The Evaluation Facility shall remit the fees to the specified bank account by the deadline described in the invoice.

12.3 Changes to Evaluator Registration Records

- (1) In the case that a qualified evaluator changes his/her registration records (name or e-mail address), the Evaluation Facility shall submit a "Request for Changing Registration Record for Evaluator Qualification" (Form 8) to the Certification Body within 30 days, calculated from the date the change has been made, providing the details of change and the reason for the change.
 - (A) Person responsible for the application
Same as Section 10.4 (1) (A).
 - (B) Registration number and name of the evaluator
The registration number and name of the evaluator shall be provided.
 - (C) Effective date of change
 - (D) Type of change
Either name or e-mail shall be selected. Both can be selected if needed.
 - (E) Details of change
A description of the change and its reason shall be provided.
- (2) In the case that the name of the Evaluation Facility changes (including department name changes and successions) and the Evaluation Facility submits a "Request for Changing Record for Approval of Evaluation Facility," the Certification Body will also change the name of the Evaluation Facility in the records of all evaluators who belong to the Evaluation Facility. Therefore, the Evaluation Facility does not need to submit a "Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification" for each evaluator.
- (3) In the case that the Evaluation Facility requests a reissuance of a "Certificate of Approval of Evaluator Qualification," the Evaluation Facility shall take the procedure proscribed in Section 12.4.

12.4 Request for Reissuing a Certificate of Approval of Evaluator Qualification

- (1) In the case that an Evaluation Facility requests the reissuance of a "Certificate of Approval of Evaluator Qualification," the Evaluation Facility shall submit a "Request for Reissuing Certificate of Approval of Evaluator Qualification" (Form 9) to the Certification Body.
 - (A) Person responsible for the application
Same as Section 10.4 (1) (A).
 - (B) Registration number and name of the evaluator

The registration number and name of evaluators shall be provided.

- (C) Reason for requesting certificate reissuance

The reason for requesting the reissuance shall be provided.

The request for reissuing a certificate is up to the discretion of the Evaluation Facility.

The request shall be submitted only when the Evaluation Facility requests.

- (2) The Certification Body will send an invoice for the application fees prescribed in “Appendix 2” of this Guidance. The Evaluation Facility shall remit the fees to the specified bank account by the deadline described in the invoice.

12.5 Notification of Termination of Evaluation Services

The term “termination of evaluation services” indicates that a qualified evaluator no longer conducts evaluation services.

The Certification Body considers that an evaluator has terminated evaluation services when the qualified evaluator falls under any of the following cases, in addition to the case in which the evaluator declines his/her evaluator qualification.

- (A) When the evaluator is transferred or resigns from the Evaluation Facility to which the evaluator belonged
- (B) When the evaluator still belongs to the Evaluation Facility but is no longer engaged in evaluation services
- (C) When the evaluator continues to be engaged in evaluation services but is no longer a full-time employee

A full-time employee means a person who belongs to an office or organization of the approved Evaluation Facility and is engaged in evaluation work. (Temporary employees and part-time employees are excluded.)

- (1) In the case that an evaluator terminates his/her evaluation services, the Evaluation Facility shall submit a “Notification of Termination of Evaluation Services as an Evaluator” (Form 6) to the Certification Body within 30 days of the date the evaluator terminates evaluation services.

- (A) Person responsible for the application

Same as Section 10.4 (1) (A).

- (B) Approval number and name of the Evaluation Facility

The Evaluation Facility’s approval number and name shall be provided.

- (C) Registration number and name of the evaluator

The registration number and name of the evaluator shall be provided.

- (D) Effective date of termination

- (E) Impact of the evaluator’s termination of evaluation services on the scope of assurance components for which the Evaluation Facility is approved

The scope of the Evaluation Facility’s approved assurance components is limited to the scope approved for its qualified evaluators who belong to the Evaluation Facility.

Therefore, the Evaluation Facility shall confirm whether the evaluator’s termination of evaluation services will have an impact, such as narrowing the scope of the Evaluation Facility’s approved assurance components.

In the case that the evaluator's termination of evaluation services narrows the scope of the Evaluation Facility's approved assurance components, the Evaluation Facility shall promptly take the procedure for changing the Evaluation Facility's approval details. (Refer to Section 7.3.3.)

In the case that the evaluator's termination of evaluation services leaves the Evaluation Facility without any evaluators who belong to the Evaluation Facility, the Evaluation Facility shall take the procedure for discontinuance of approval of Evaluation Facility. (Refer to Section 7.6 (1).)

- (2) In the case that a "Notification of Termination of Evaluation Services as an Evaluator" is submitted, the Certification Body will deregister the evaluator. The evaluator, however, can be reinstated within one year, calculated from the effective date of termination, with the reinstatement procedure in Section 12.6.

12.6 Notification of Reinstatement of Evaluator

- (1) In the case that a former qualified evaluator who terminated evaluation services, as described in Section 12.5, is reinstated as an evaluator at the previous Evaluation Facility and requests to re-obtain the evaluator qualification, the Evaluation Facility can submit a "Notification of Reinstatement of Evaluation Services as an Evaluator" (Form 7) to the Certification Body provided that the conditions (A) and (B) below are fulfilled.
 - (A) The evaluator to be reinstated shall maintain appropriate competence related to the latest technology and evaluation methodologies within the scope of assurance components in the product area for which the evaluator was qualified prior to the termination, and the Evaluation Facility has confirmed the person's competence.
 - (B) The date on which the conditions in Section 12.6 (1) (A) are confirmed is within one year from the "effective date of termination" described in the "Notification of Termination of Evaluation Services as an Evaluator" previously submitted to the Certification Body.
- (2) In the case that the evaluator to be reinstated fulfills the conditions specified in Section 12.6 (1) and requests to re-obtain evaluator qualification, the Evaluation Facility shall submit the following documents to the Certification Body.
 - (A) "Notification of Reinstatement of Evaluation Services as an Evaluator" (Form 7)
 - i.) Person responsible for the application
Same as Section 10.4 (1) (A).
 - ii.) Approval number and name of the Evaluation Facility
The Evaluation Facility's approval number and name shall be provided.
 - iii.) Registration number and name of the evaluator
The former evaluator registration number and name of the evaluator to be reinstated shall be provided.
 - iv.) Effective date of reinstatement
The date on which the conditions in Section 12.6 (1) (A) were confirmed.
 - (B) "Curriculum Vitae" (Form 4) for the evaluator
Same as Section 10.4 (2).

- (C) Records related to the evaluator's education and training (any format is acceptable)
The records shall fulfill Section 8.1 of the "Requirements for Evaluation Facility (CCM-03)."
 - (D) Certificate of completion of an education and training program in the last two years
 - (E) Documents that describe the confirmation of the conditions in Section 12.6 (1) (A) (any format is acceptable)
- (3) The scope of assurance components for which the evaluator to be reinstated is qualified is limited to the scope of the Evaluation Facility's approved assurance components.
In other words, in the case that the scope of the Evaluation Facility's approved assurance components was narrowed during the period when the evaluator to be reinstated was not engaged in the evaluation services at the Evaluation Facility, the evaluator to be reinstated will be qualified for the narrowed scope of assurance components.
- (4) The Certification Body confirms the documents submitted pursuant to Section 12.6 (2) and determines whether the evaluator to be reinstated complies with the "Requirements for Evaluation Facility (CCM-03)." The Certification Body informs the Evaluation Facility of its findings.
- (5) In the case that the evaluator to be reinstated is determined to comply with the "Requirements for Evaluation Facility (CCM-03)," the Certification Body will register the person as a qualified evaluator.
In the case that the Evaluation Facility has not applied for maintaining the reinstated evaluator qualification for the current year, the Evaluation Facility shall submit an "Application for Maintaining Evaluator Qualification" (Form 14) to the Certification Body. (Refer to Section 12.2.)
- (6) In the case that the evaluator to be reinstated is determined not to comply with the "Requirements for Evaluation Facility (CCM-03)" and the Evaluation Facility requests to obtain evaluator qualification for the person, the Evaluation Facility shall again apply for an "Application for Approval of Evaluator Qualification" pursuant to Chapter 9.

13. Revocation of an Evaluator Qualification

In the case that an evaluator meets any of the following cases, the Certification Body will deregister the evaluator after examining the facts and inform the Evaluation Facility that his/her evaluator qualification has been revoked.

- (1) When the evaluator does not comply with the "Scheme Document (CCS-01)," the "Requirements for Certification (CCM-02)," or the "Requirements for Evaluation Facility (CCM-03)"
- (2) When the Certification Body determined that conducting proper evaluations is difficult for the evaluator because of quality problems in the evaluations conducted and Evaluation Technical Reports created, with the issuance of multiple Certification Oversight Reviews
- (3) When the Certification Body does not approve the maintenance of the evaluator qualification as a result of the assessment of the maintenance of the evaluator qualification
- (4) When the Evaluation Facility failed to submit an application to maintain evaluator qualification within the time period prescribed by the Certification Body

- (5) When the evaluator terminated evaluation services
- (6) When the Certification Body judged that the evaluator does not comply with the requirements described in Section 6.4 of the “Requirements for Evaluation Facility (CCM-03)” through oversight of the evaluation services
- (7) When the Evaluation Facility submitted a notification of discontinuance

Supplementary provisions (April 3, 2012 Jo-Se No. 506 of 2011)

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

Supplementary provisions (March 27, 2013 Jo-Se No. 579 of 2012, Partial revision)

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

Supplementary provisions (April 1, 2014 Jo-Se No. 2 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 28, 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 (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 (October 7, 2020 Jo-Se-Gi No. 1030 of 2020, Partial revision)

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

Supplementary provisions (September 28, 2021 Jo-Se-Gi No. 94 of 2021, Partial revision)

This Guidance shall come into effect as of October 13, 2021.

Supplementary provisions (August 2, 2023 Jo-Se-Gi No. 76 of 2023, Partial revision)

This Guidance shall come into effect as of November 1, 2023.

Appendix 1

List of Forms

Form Title	Form Number
CCM-03-A Forms	
Application for Approval of Evaluation Facility	CCM-03-A Form 1
Written Oath of Compliance Rules concerning the Approval of Evaluation Facility	CCM-03-A Form 2
Application for Approval of Evaluator Qualification	CCM-03-A Form 3
Curriculum Vitae	CCM-03-A Form 4
Request for Changing Record for Approval of Evaluation Facility	CCM-03-A Form 5
Notification of Termination of Evaluation Services as an Evaluator	CCM-03-A Form 6
Notification of Reinstatement of Evaluation Services as an Evaluator	CCM-03-A Form 7
Request for Changing Registration Record for Evaluator Qualification	CCM-03-A Form 8
Request for Reissuing Certificate of Approval of Evaluator Qualification	CCM-03-A Form 9
Request for Reissuing Certificate of Approval of Evaluation Facility	CCM-03-A Form 10
Notification of Discontinuance of Approval of Evaluation Facility	CCM-03-A Form 11
Request for Changing Record / Withdrawal of Application Form for Approval of Evaluation Facility	CCM-03-A Form 12
Request for Changing Record / Withdrawal of Application Form for Approval of Evaluator Qualification	CCM-03-A Form 13
Application for Maintaining Evaluator Qualification	CCM-03-A Form 14
Nondisclosure Agreement	CCM-03-A Form 15
Certificate of Approval of Evaluator Qualification	CCM-03-A Form 16
Certificate of Approval of Evaluation Facility	CCM-03-A Form 17
Notification of Contact for Inquiries and Information on List of Evaluation Facilities	CCM-03-A Form 18
CCM-02-A Forms	
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 Withdrawal of Application	CCM-02-A Form 7

Links to references on the website of the Certification Body:

<<CCM-03-A forms>>

https://www.ipa.go.jp/en/security/jisec/application/application_download3.html

<<CCM-02-A forms>>

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

Appendix 2

Table of Application Fees

Application for Approval of Evaluation Facility and other applications	Application Fee ^{Note 1} (including tax)
Application for Approval of Evaluation Facility	52,400 yen
Application for Approval of Evaluator Qualification	104,800 yen ^{Note 2}
Application for Maintaining Evaluator Qualification	10,500 yen ^{Note 3}
Request for Reissuing Certificate of Approval of Evaluation Facility	10,500 yen
Request for Reissuing Certificate of Approval of Evaluator Qualification	10,500 yen

Note 1: Note that application fees, once paid, will not be refunded even if the application is withdrawn. The Evaluation Facility candidate shall be responsible for the bank transfer fee. In the case that it is necessary to conduct on-site assessment overseas, the Evaluation Facility shall be responsible for the actual travel and accommodation expenses separately from the application fees.

Note 2: The application fee given in the table above is the fee for one evaluator candidate.

Note 3: The Evaluation Facility submits an Application for Maintaining Evaluator Qualification to the Certification Body once a year in order to maintain the evaluator qualification of each qualified evaluator who actually conducts evaluations. The application fee given in the table above is the fee for one qualified evaluator.

Forms

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

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

<<CCM-03-A forms>>

https://www.ipa.go.jp/en/security/jisec/application/application_download3.html

<<CCM-02-A forms>>

https://www.ipa.go.jp/en/security/jisec/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.



Certificate of Approval of Evaluation Facility

This is to certify that the following organization has been approved as an IT Security Evaluation Facility under the Japan IT Security Evaluation and Certification Scheme.

<Date>

<Name of Chairman>

Information-technology Promotion Agency, Japan

Name of the Approved Organization: <Name of the Evaluation Facility>

Address:

Scope of the Approval:

<Assurance components and product area for the TOE approved by the Certification Body >