

# Japanese - European IC Cards *NITE* Security Conference

## Japanese Information Technology Security Evaluation and Certification Scheme -for E-Government-

*30 March, 2001*

*National Institute of Technology and Evaluation (NITE)  
Ministry of Economy, Trade and Industry (METI)*

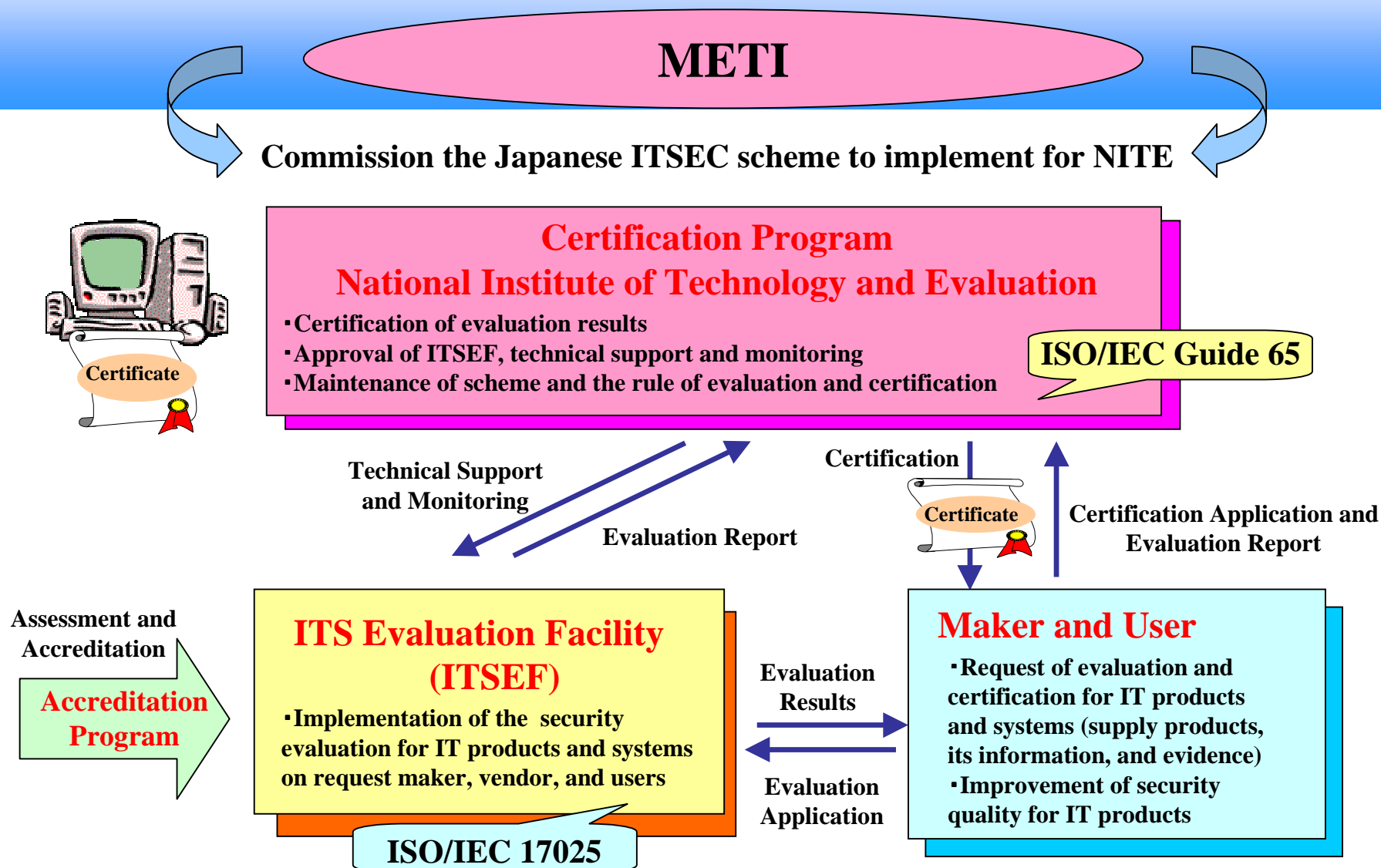
# Purpose of Japanese ITSEC Scheme

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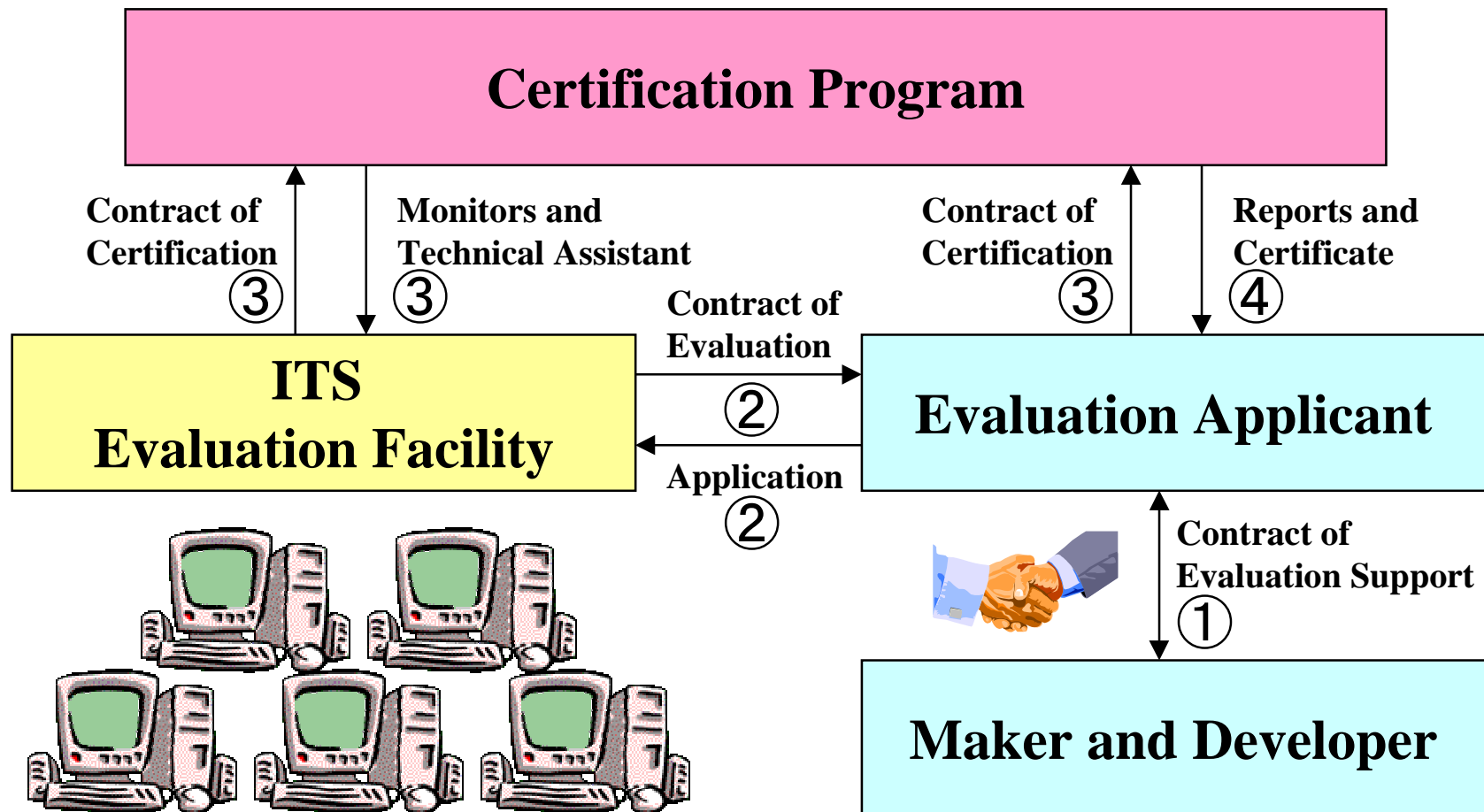
- **To promote arrival and distribution of secured IT products**
- **To share the same recognition between developers and users by ST**
- **To confirm, by the third party, that the procured IT Products are in compliance with the ST**

# Activities and Participants

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# Procedure of Japanese ITSEC



# Responsibility of Certification Program 1

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## Establishment and Management of the Scheme

- Responsibility and authorization concerning “the establishment and implementation of the scheme, operational guideline and rules”, “supervision”, “interpretation”, “revision”, “observance”, “documentation” and “information supply”
- Approval of ITSEF and revocation of the approval
- Monitoring of the ITSEFs(consistency in evaluation, evaluation process)
- Provision of every information regarding the ITSEFs
- Provision of information regarding recommendation, guidelines, assistance and training

# Responsibility of Certification Program 2

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- Security of confidential information including the ownership concerning IT products
- Adjustment of the common interests among participants
- Issuance of the certification program annual
- Cooperation with certification bodies in other countries (CC Recognition Arrangement)
- Management of the certification logo
- Report making on the certification activities and its management
- Settlement of claim, objection, dispute, improper usage and slander

# Responsibility of Certification Program 3

## Certification of Evaluation Results

- Responsibility and authority over the certification and its continuation, suspension or withdrawal
- Issuance of the certification report and the certificate for certified IT products
- Provision of the information about the certification thorough the list of certified IT products, etc

# Responsibility of ITS Evaluation Facilities *NITE*

## Evaluation and Reporting

- Formulate the evaluation plan and inform certification program of its start
- Evaluate PP, ST or TOE
- Make an evaluation observation report about the problems found during the evaluation process, and submit it to the evaluation applicant and certification program
- Make a evaluation technical report and submit it to evaluation applicant and certification program
- Keep the documents made or used in the evaluation process for 5 years after the evaluation

# Requirements of ITS Evaluation Facilities *NITE*

## Neutrality and Perfection

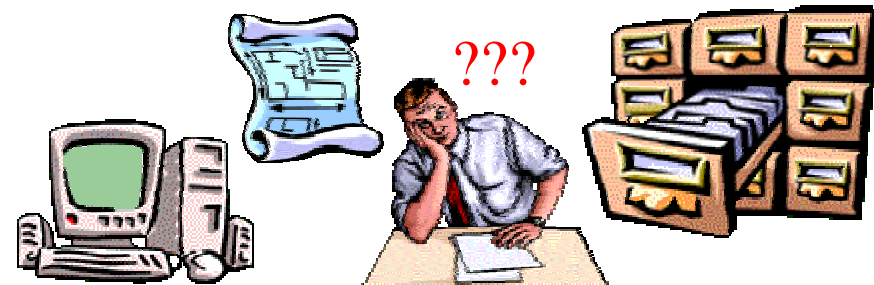
- Because of neutrality, and fairness and perfection of the evaluation service, the facilities shall not be influenced by the financial or commercial interests, and the evaluation activities shall be conducted within the scope of this scheme

## Confidentiality

- The facilities shall maintain the high secrecy level, shall have a documented guideline and procedure, and shall protect the information that should be handled with care or ownership is claimed of

# Prohibited Items of ITS Evaluation Facilities

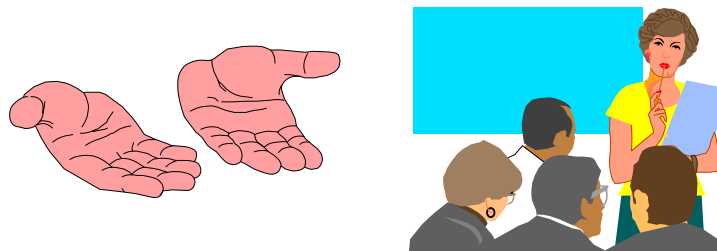
- Development, manufacture and evaluation of the same IT product or PP



- Consulting Service

Exception;

Consulting service may be offered only if ITSEF follows its own policy to maintain independency and fairness of the evaluators



# Evaluation Process 1

## Preparation for Evaluation

- **Selection and decision of TOE**
- **Preparation of ST**
- **Preparation of evidences**
- **Selection and decision of ITSEF**
- **Pre-review of ST**
- **Contract of evaluation**
- **Declaration of evaluation**
- **Acceptance of declaration**

## **Evaluation Process 2**

### **Execution of Evaluation**

- **ST evaluation**
- **TOE evaluation collating with its ST**
- **Records making and publication of evaluation observation reports**
- **Content of evaluation observation reports;**
  - Problems
  - Importance of the problems
  - Person responsible for solving the problems
  - Time table for solving the problems
  - Effects of unsolved problems

## **Evaluation Process 3**

### **Ending of Evaluation**

- ITSEF makes the evaluation technical report and submits it to the Certification Program and an evaluation applicant (Not open to the public)

#### **Content of evaluation technical report**

Including confidential and handle-with-care information

- Certification program makes the certification report and issues it to the evaluation applicant along with a certificate (open to the public)

#### **Content of certification report**

Excluding confidential and handle-with-care information

# Certification

## Management

- **Responsibility of the evaluation applicant after the certificate has been issued**
- **Suspension and revocation of certificate**
- **Maintenance of certification  
(Maintenance of assurance)**

# **Responsibility of Evaluation Applicants**

## **After the Certificate has been Issued**

- **It has to be ensured that the IT products are supplied in accordance with the certification report and the certificate issued by the certification program**
- **If the fact stated on the Certificate and/or the List of Certified IT Products has been changed, it shall be noticed to the Certification Program without delay**
- **In the following cases,**
  - When the change has been made, which has a great effect on the design or the specification of the Certified IT Products
  - When information has been given, which shows a possibility that the Certified IT Products don't conform to the requirement of this scheme**the fact shall be reported to the Certification Program without delay**

# Suspension and Revocation of the Certificate

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- If there is any doubt on the continuation of the validity of the issued certificate, the certified IT Products shall be re-evaluated and the certification be revoked.
- In that case the following procedure shall be taken;  
Judge if investigation is needed and then carry it out  
Suspend the certification  
Judge if re-evaluation is needed and then carry it out  
Revoke the certification

# Maintenance of Certification (Maintenance of Assurance) 1

## Procedure

- This procedure is applied when the validation of original certification is to be maintained for a succeeding version or release of certified IT products or PP
- This procedure is set to reduce the financial burden and time loss, which are excepted to occur when obtaining the certification for the succeeding version or release, by applying the original procedure of evaluation and certification
- If the succeeding version or release has changed greatly from the original one, certification can't be given in the maintenance of certification

# Maintenance of Certification (Maintenance of Assurance) 2

## Step by step guide for this procedure

- To get approval, an evaluation applicant shall submit the maintenance of certification plan and other material relevant to the utilization of the procedure by the time the original evaluation is invalidated
- The maintenance of certification contract shall be made between ITSEF and applicant whose certification plan has been approved -the contracted term for the maintenance of certification is that of approved maintenance plan-
- When it is confirmed that the succeeding version follows the certification maintenance plan, ITSEF shall report it to the certification program

**For further information  
(Tentative)**

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**NITE will become Independent Administrative  
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