Information Management Systems (IMS)

Procedures for Accreditation of IMS Certification Bodies

JIP-IMAC110E-5.2

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1. Scope

This document specifies the procedures for certification bodies (CBs) of Information Security Management System (ISMS), IT Service Management System (ITSMS), Business Continuity Management System (BCMS) or Cyber Security Management system (CSMS) to achieve accreditation from ISMS Accreditation Center (ISMS-AC) based on the applicable standards. It also specifies the rights and obligations of applicant and accredited CBs.

2. Related documents

2.1 Complying standard

This document complies with the relevant clauses in the following standard.
ISO/ IEC 17011: 2017 Conformity assessment – Requirements for accreditation bodies accrediting conformity assessment bodies

2.2 Normative references

The documents listed in **"Annex 1 The criteria and the related documents for Accreditation of Certification Bodies"** and the following normative documents contain provisions which, through references in this text, constitute provisions of the accreditation procedure.

　ISO/ IEC 17000　Conformity assessment　－　Vocabulary and general principles
　ISO 9000　Quality management systems　－　Fundamentals and vocabulary

2.3 Related standards

1) ISO/IEC 17021-1: 2015 Conformity assessment　－　Requirements for bodies providing audit and certification of management systems
2) ISO/IEC 27006: 2015 Information technology　－　Security techniques　－ Requirements for bodies providing audit and certification of information security management systems
3) ISO/IEC 27006: 2015/ AMD 1: 2020 Information technology — Security techniques — Requirements for bodies providing audit and certification of information security management systems — Amendment 1
4) ISO/IEC 20000-6: 2017　Information technology　－　Service management　－　Part 6: Requirements for bodies providing audit and certification of service management systems
5) ISO/IEC TS 17021-6: 2014 Requirements for bodies providing audit and

certification of management systems － Part 6: Competence requirements for auditing and certification of business continuity management systems

6) ISO/IEC 27000: 2019　　Information technology － Security techniques － Overview and vocabulary

7) ISO/IEC 27001: 2013　　Information technology － Security techniques － Information security management systems － Requirements

8) ISO/IEC 27001: 2022　　Information security, cybersecurity and privacy protection － Information security management systems － Requirements

9) ISO/IEC 20000-1: 2018　Information technology － Service management － Part 1: Service management system requirements

10) ISO 22300:2012 Security and resilience – Terminology

11) ISO 22301:2019 Security and resilience – Business continuity management systems – Requirements

12) JIP-CSSC100-2.0 CSMS Certification Criteria (IEC 62443-2-1)

13) JIP-ISMS517-1.0 Requirements for certification of ISMS Cloud Security based on ISO/IEC 27017: 2015

14) ISO/IEC 27017: 2015 Information technology － Security techniques － Code of practice for information security controls based on ISO/IEC 27002 for cloud services

15) ISO/IEC 27701: 2019　Security Techniques － Extension to ISO/IEC 27001 and ISO/IEC 27002 for privacy information management－Requirements and guidelines

3. Terms and definitions

For the purpose of this document, the relevant definitions in the standards in clause 2 and the following definitions apply.

1) Certification body (CB): A third party that carries out audit and certification of management systems of organizations with reference to the published certification criteria for organizations and the supplementary documentation required under the relevant management system. For the purpose of this document, unless otherwise specified, a term "certification body" refers both to "applicant" and "accredited" certification bodies.

2) Accreditation certificate: A certificate stating that a certification body conforms to the accreditation criteria and guidance of ISMS-AC. The electronic media shall be the original, and a printed accreditation certificate can also be issued upon request from CBs.

3) Renewal assessment: Assessment for renewal of accreditation
Note: Renewal assessment may be also called "reassessment".

4) Surveillance: set of activities, except reassessment, to monitor the continued

fulfilment by accredited CABs of requirements for accreditation

5) Extraordinary assessment: a special assessment in response to changes and complaints, and for application for the extension of the accreditation scope

6) ISMS sector-specific standards: Based on ISO/IEC 27001, it requires additional requirements for specific elements such as specific industries, IT technologies, and assets.

4. Accreditation/ registration of certification bodies

A CB which intends to be accredited by ISMS-AC in ISMS, ITSMS, BCMS or CSMS shall be assessed against the applicable standards in **"Annex 1 The criteria and the related documents for Accreditation of Certification Bodies"** for accreditation and meet the requirements.

Accreditation of BCMS certification shall be in accordance with **"Annex 4: Accreditation by technical areas in BCMS"**.

5. Information management in the accreditation body (confidentiality)

ISMS-AC shall be responsible for the management of all information obtained or created during the accreditation process and inform the certification body, in advance, of the information it intends to place in the public domain. Except for information that the conformity assessment body makes publicly available, or when agreed between the accreditation body and the conformity assessment body (e.g. for the purpose of responding to complaints), all other information obtained during accreditation process is considered proprietary information and shall be regarded as confidential.

ISMS-AC shall pledge that it will not publish or disclose by any means (verbally or in writing) to any third or interested parties anything it learns in the process of accreditation assessment, on the proprietary information of both the certification body and the client organization including technology, information, records observed and premises and facilities. In the unlikely event that there is an act that is contrary to this, and the fact is proved by evidence, it is agreed to be treated including legal action.

6 Assessment for initial accreditation

6.1 Conditions for application

1) Only legal entities registered in Japan can apply for accreditation.
2) Prior to the application, the CB shall have conducted at least one certification audit and registration of an organization in accordance with specified standards and the management system the CB had established and shall keep such records.

3) Prior to the application, the CB shall also have conducted internal audit and management review based on the results in 2) and shall keep such records.

4) In the case of application for accreditation in BCMS, the process shall be in accordance with 3.1 of **"Annex 4: Accreditation by technical areas in BCMS"**.

6.2 Application

1) The forms for application (Forms 1 to 6) can be downloaded from the URL listed in **Annex 1**. The CB shall fill out **"Application Form for Accreditation of Certification Bodies (Form 1)"** (the application form) according to the instructions described in Annex 2, have it signed by a duly authorized representative of the CB and submit it to ISMS-AC with accompanying documents listed in Form 2. When a CB provides paper documents, one set of copies shall be submitted.

2) The CB shall provide at least the following information to ISMS-AC upon application:

   a) general features of the CB, including name, addresses, legal status, and human and technical resources

   b) general information concerning the CB such as its relationship in a larger entity if any, addresses of all its physical location(s) and, information on activities conducted at all locations including virtual site(s)

   c) a clearly defined scope of accreditation for which the CB seeks accreditation, including limits of capability where applicable

   d) a commitment to continually fulfil the requirements for accreditation and the other obligations of CB

   e) the standards or other normative documents that the CB applies in the certification activities

   f) The CB's management system documents and the related documents where required. The subordinate documents and form should be provided as well.

   g) upon the initial application for accreditation, documents indicating that the CB has carried out certification of organizations at least once or more in advance of the application

   h) documents indicating impartiality and objectivity in the CB's certification activities

   i) documents indicating required competence of auditors and the evaluation method

3) The CB shall agree to the following by submitting **"Written Pledge (Form 3)"**.

   a) conform to the requirements of the accreditation criteria and guidance, and provide all necessary information for the assessment

   b) comply with the procedures in this document and the obligations of the CB

If the CB does not comply with the procedures in this document and the content of the Written Pledge, that may lead to rejection of application, termination of the assessment process and suspension or withdrawal of accreditation.

4) At any point in the application or initial assessment process, if there is evidence of fraudulent behavior, if the CB intentionally provides false information or if the CB conceals information, ISMS-AC shall reject the application or terminate the assessment process.

5) If the CB cannot achieve accreditation at the initial assessment and apply again, or if a former accredited CB which had been withdrawn from accreditation applies again for accreditation, those cases shall be processed as initial accreditation application. This process can also be called reapplication. In this case, some issues which can be regarded to have been confirmed in the previous assessment may be skipped.

6) Filling out of the forms and the submission

   a) In **"Comparison Table of the Accreditation Criteria and the Internal Documents of the Certification Body (Form 5)"**, write the names of the subordinate documents and the clause numbers which have detailed information.

   b) Submit the achieved results of audits and the future plans by **"Implementation Records and Future Planning of Certification Audit (Form 6)"**

   c) Each form submitted as application documents and documents specified in Form 2 shall be in Japanese, in principle. They are also acceptable when written in both Japanese and a foreign language.

   d) The subordinate documents (internal documents) which are not to be submitted as application documents and other records can be in a foreign language. Explanation in Japanese (in writing or through conversations via an interpreter) may be requested in the process of assessment.

   e) When sending the application documents by postal mail, forward them to the address specified in Annex 1 with prior notice.

7) Refer to **"Fee Schedule for Accreditation of IMS Certification Bodies (JIP-IMAC610)"** for accreditation fees. Since assessment fees vary depending on the situation of assessments, ISMS-AC basically does not provide an estimated cost. Refer to **"Annex 3 Standard assessor-days for accreditation assessment"** for the standard assessor-days for assessment.

6.3 Acceptance of application

1) When ISMS-AC checks the application documents and finds any document missing, the CB shall add or replace the relevant document. When the documents are found

to be in order and ISMS-AC confirms that it has adequate resources for accreditation assessment, ISMS-AC shall accept the application and notify the CB to that effect. Upon acceptance of the application an agreement between the applicant and ISMS-AC is deemed to be established.

2) When ISMS-AC does not accept an application, it will return the application documents with the reasons thereof. A case where an application is not accepted is when the CB is not conforming to clause 6.1 and/or 6.2 of this document.

3) Received application documents and any information obtained in the assessment process shall not be used for purposes other than accreditation assessment and registration. Confidentiality measures shall be in place to maintain these documents and information.

4) When ISMS-AC accepts an application, it will invoice the CB for the application fee and the basic assessment fee. Even when the application is withdrawn by the CB before the assessment starts, the application fee shall be charged.

6.4 Preparation for assessment

Accreditation assessment is generally conducted in the following order: i) document review, ii) office assessment, iii) witness assessment and iv) final assessment.

1) Assessment team
   Before starting Document Review, ISMS-AC arrange the assessment schedule consulting with the CB, organize the assessment team and notify the CB of it. Upon a notice of members of the team from ISMS-AC, the CB can submit objection to any particular member if well-founded. As for witness assessment, the organization to be witnessed can object to the nomination of a given assessor on the grounds of demonstrated close or direct relationships with competitors (threats to impartiality) or a previous valid complaint against an assessor, etc.
   If no objection is submitted within a specified period, the CB shall be deemed to have agreed to the notice.

2) Assessment plan
   The CB can ask for adjustments, if necessary, to the assessment plan notified by ISMS-AC.

6.5 Classification of findings and the criteria for assessment

1) The classification of findings in assessments are as follows.
   a) Nonconformity
   b) Observation
   c) Points of merit

When issues are detected during document review that need confirmation at the office assessment, they shall be raised as "Need confirmation at the office assessment".

2) There are two levels of nonconformity; "major nonconformity" and "minor nonconformity".

   a) Major nonconformity has a significant impact on the management system.

   b) Minor nonconformity has a small impact on the management system. Nonconformity includes cases where the CB does not meet requirements of the assessment criteria and/or where things the CB has implemented are ineffective. 'Ineffective' means that the required output is not produced.

3) Observations are the issues which deemed not to be nonconformity but provide opportunities for improvement for the management system.

4) Points of merit are the issues which deemed to contribute to the reliability of the CB in the operation of the management system.

6.6 Conducting assessment

During assessments conducted by the assessment team based on the accreditation criteria and guidance as described below and other assessments stated in clause 7, the CB shall not act in a manner that would hinder the assessment. Before the initial assessment, ISMS-AC may conduct a preliminary visit with the agreement of the CB.

The assessment shall include gathering all relevant information and objective evidence to determine the competence of the CB as determined through its conformity with the requirements for accreditation.

6.6.1 Document review

1) The assessment team assesses the conformity of the CB's documents to the accreditation criteria and guidance in ISMS-AC's office. If any of the documents described in Form 5 is found missing in the process of this assessment, the CB may be requested to submit additional documents.

2) The result of the document review shall be notified to the CB with "Document Review Report". When the content of the report is confirmed by the CB, the assessment team will close the document review and proceed to the office assessment.

3) When minor nonconformities are identified, the assessment team will verify the action taken by the applicant at the office assessment.

4) When major nonconformities are identified, the assessment team shall not proceed with the office assessment until the team verifies that the corrective actions taken are adequate.

5) If there are any issues which cannot be confirmed during the document review, the

assessment team may proceed to the office assessment and check them there.

6.6.2 Office assessment

1) When the Document Review is finished and the CB agrees to the assessment plan, the assessment team conducts assessment at the office of the CB to examine the certification activities and the records. When the CB has multiple sites where certification activities are conducted, all the sites shall be subject to assessment.

2) As an interview with top management is scheduled after the opening meeting, the CB shall take it into consideration when arranging the assessment schedule and the plan.

3) Conversations at assessment sites shall be conducted in Japanese, in principle. When a foreign language is used, explanation in Japanese (in writing or through conversation via an interpreter) may be requested. The CB shall arrange for an interpreter at their own expense.

4) The CB's senior executive is expected to attend the closing meeting. At the closing meeting the assessment team shall report the findings to the CB in writing and have them confirmed by the CB. They may be checked at daily meetings.

5) When nonconformities are raised, the assessment team shall issue "Corrective Action Request/Response" and agree with the CB regarding the content and the due date of the response. The due date for the corrective action is three months for major nonconformities and approximately one month for minor nonconformities. The CB shall provide an analysis of the extent and cause (e.g. root cause analysis) of the nonconformities and to describe within a defined time the specific actions taken or planned to be taken to resolve the nonconformities.

6) The CB can ask questions about the findings raised by the assessment team and the grounds for them. The assessment team shall obtain the agreement of the CB on the content of the findings.

7) When the CB and the assessment team cannot reach agreement on the findings, the assessment team shall put the issue on hold and report the conclusion by ISMS-AC to the CB afterwards. The CB can submit the reasons for disagreement to ISMS-AC. The assessment team shall review the responses of the CB to resolve nonconformities and determine if the actions are considered to be sufficient and appropriate. Where the CB's responses are found not to be sufficient, further information shall be requested.

8) When there are no nonconformities, or when the CB's responses to the nonconformities are found to be sufficient, the assessment team shall prepare the "Office Assessment Report" and ask for the CB's confirmation. When the confirmation is obtained, the office assessment closes and the team shall proceed with Witness Assessment.

9) If the response to nonconformities cannot be completed by the due date, the assessment could be terminated.

10) There is no request for corrective actions for observations. The response shall be examined at the next assessment.

11) When a major nonconformity is raised, evidence of effective implementation of actions taken may be requested, or a follow-up assessment may be carried out to verify effective implementation of corrective actions. When the assessment team is to conduct a follow-up office assessment, it will indicate such matters in the "Office Assessment Report", provide it to the CB to ask for confirmation, and close the office assessment tentatively.

12) The assessment team will not proceed to the witness assessment until the completed corrective actions are found to be sufficient and the follow-up assessment is closed.

6.6.3 Witness assessment

1) ISMS-AC will arrange the schedule for witnessing certification audits carried out by the CB. Witness assessments shall include Stage 1 and Stage 2 audits of an initial certification and the assessment team will witness one or more appropriate samples to evaluate the CB's competence taking into account the accreditation scope and the number of the organizations it has certified.

2) The CB shall provide the complete and updated schedule of confirmed and planned audits (dates, location, audit team composition, audit type and scope, etc.).

3) When the witnessed organization has multiple sites, some of the sites may be sampled for witnessing.

4) The CB shall get the witnessed organization's agreement on the witnessing assessment team.

5) When arranging the schedule of the witness assessment, ISMS-AC may nominate specific certification auditors.

6) Normally, the full on-site audit shall be witnessed, unless objectives for a particular activity can be satisfied with a partial witnessing.

7) The CB shall provide the CB's audit plan, previous audit reports if applicable, audit team competence records and the justification for calculation of the audit time.

8) When ISMS-AC gets agreement form the CB on the witnessed organization and witnessed assessment plan, the assessment team shall conduct witness assessment.

9) When a foreign language is used at the sites of the witness assessment, explanations in Japanese (in writing or through conversations via an interpreter) may be requested. The CB shall arrange for an interpreter at their own expense.

10) The accreditation team shall submit "Confidentiality Statement at Witness

Assessment" (ISF323-3) to pledge that it will not publish or disclose by any means (verbally or in writing) to any third or interested parties anything it learns in the process of witness assessment, on the proprietary information of both the certification body and the client organization including technology, information, records observed and premises and facilities.

11) When relevant to the objective and scope of the witnessing, the assessment team shall get and review the CB's own audit report (and any additional information required).

12) After the certification audit by the CB, ISMS-MC shall have a closing meeting with the CB, explain the findings to the attendees of the CB and obtain agreement from them. The findings may be confirmed at daily meetings.

13) When nonconformities are raised, the assessment team shall issue "Corrective Action Request/Response" and agree with the CB regarding the content and the due date of the response. The due date for the corrective action is three months for major nonconformities and approximately one month for minor nonconformities. The CB shall provide an analysis of the extent and cause (e.g. root cause analysis) of the nonconformities and to describe within a defined time the specific actions taken or planned to be taken to resolve the nonconformities.

14) CB. The CB can ask questions about the findings raised by the assessment team and the grounds for them. The assessment team shall obtain the agreement of the CB on the content of the findings

15) When the CB and the assessment team cannot reach agreement on the findings, the assessment team shall put the issue on hold and report the conclusion by ISMS-AC to the CB afterwards. The CB can submit the reasons for disagreement to ISMS-AC.

The assessment team shall review the responses of the CB to resolve nonconformities and determine if the actions are considered to be sufficient and appropriate. Where the CB's responses are found not to be sufficient, further information shall be requested.

16) When there are no nonconformities, or when the CB's responses to the nonconformities are found to be sufficient, the assessment team shall prepare the "Witness Assessment Report" and ask for the CB's confirmation. When the confirmation is obtained, the witness assessment closes and the team shall proceed with Final Assessment.

17) If the response to nonconformities cannot be completed by the due date, the assessment could be terminated.

18) There is no request for corrective actions for observations. The response shall be examined at the next assessment.

19) When a major nonconformity is raised, evidence of effective implementation of actions taken may be requested, or a follow-up assessment may be carried out to verify effective implementation of corrective actions. When the assessment team is to conduct a follow-up witness assessment, it will indicate such matters in the "Witness Assessment Report", provide it to the CB to ask for confirmation, and close the witness assessment tentatively.

20) The assessment team will not proceed to the final assessment until the completed corrective actions are found to be sufficient and the follow-up assessment is closed.

6.6.4 Follow-up assessment

1) The assessment team may conduct a follow-up assessment, when necessary, in order to verify that corrective actions taken toward the detected nonconformities are sufficient and effective.

2) On completion of the follow-up assessment, the assessment team shall prepare "Follow-up Assessment Report" and provide it to the CB to ask for confirmation. When the report is confirmed by the CB, the assessment team shall close the follow-up assessment and proceed to the next assessment.

6.6.5 Final assessment

1) After the completion of document review, office assessment and witness assessment (and follow-up assessment, where applicable), the assessment team shall make an overall evaluation of the assessments as "Final Assessment".

2) In the process of the final assessment, an additional examination may be conducted for confirmation.

3) On completion of the final assessment, the assessment team shall prepare the "Final Assessment Report" and submit it to the CB. The CB can express the opinions on the content of the reports.

4) After getting agreement on the content of the final assessment report, ISMS-AC will submit the report to the Accreditation Review Board for final decision.

5) Any property rights relating to the assessment reports shall belong to ISMS-AC.

6) Normally, ISMS-AC will invoice the CB for each of the assessment fees together on completion of all assessments. For further details, refer to **"Fee Schedule for Accreditation of IMS Certification Bodies"** (JIP-IMAC610).

6.7 Discontinuation of Assessments

Assessment shall be discontinued in the following situations, in principle. In the case of initial assessment, it is regarded as non-accreditation. In the case of renewal assessment and surveillance, it is regarded as suspension or withdrawal of accreditation.

1) Completion of corrective actions cannot be verified within three months from the

date major nonconformities were detected

2) A CB does not comply with the pledge (e.g. obligations of the CBs) described in this procedure.

3) When ISMS-AC determines that assessment cannot be continued in such situations as the following.

   a) The CB intentionally provided false information or concealed information

   b) There is evidence of fraudulent behavior in the CB

   c) The CB conducts anti-social activities

4) The CB intends to voluntarily withdraw accreditation

Despite above mentioned, in case of emergency or specific circumstances, the issue shall be treated in accordance with **"IAF ID 3 Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations"**.

6.8 Accreditation registration

6.8.1 Decision of accreditation

1) When ISMS-AC receives confirmation on each assessment report from the CB and verifies the completion and validity of the corrective actions taken, the Accreditation Review Board will be held to make a decision on granting accreditation.

2) ISMS-AC will notify the CB of the decision result.

3) When a CB is accredited, the date of accreditation shall be the date when the Accreditation Review Board made the decision. (When the applicant is decided to be accredited, the date of accreditation/ registration will be basically the date when the Accreditation Review Board) This date (month/ day) shall be a reference date.

4) When a CB is decided not to be accredited, it will be notified of the non-accreditation decision with the reasons thereof. The CB can appeal against the decision. (Refer to clause 10.1)

5) If the CB is not accredited in some of the specific technical areas applied for in BCMS, accreditation will be partially granted in other areas.

6) When the Accreditation Review Board suspends a decision, ISMS-AC may conduct additional examination to confirm the conditions of suspension.

6.8.2 Issue of the accreditation certificate

1) When an accreditation decision is made, ISMS-AC will issue an accreditation certificate and provide data of the accreditation symbol to the accredited CB. The property right of the accreditation certificate shall belong to ISMS-AC.

2) Technical areas shall be described in the BCMS certificate as the accreditation scope.

3) Handling of the accreditation certificate shall be in accordance with the "Conditions

for Handling of IMS Accreditation Certificate (JIP-IMAC512)".

4) When accreditation decision is made, accreditation registration fee shall be charged.

5) When a CB is to make a statement regarding its accredited status, it shall comply with the relevant clauses of this procedure, **"Conditions for Use of the Accreditation Symbol"** (JIP-IMAC510) and "Conditions for Handling IMS Accreditation Certificate" (JIP-IMAC512).

6.8.3 Publication of the registered information

1) A CB shall inform ISMS-AC of its information in accordance with the form **"Registration Information of a Certification Body"** (ISF240). ISMS-AC shall register this information to the database and publish part of it on the website.

A CB shall report to ISMS-AC information on the organizations it has certified in accordance with **"Interface Specification of Information on the Certified Organizations"** (JIP-IMAC520). ISMS-AC is to publish the information on the website based on the report. Concerning publication of the information on the certified organizations, refer to the above-mentioned specification as there are some points to be followed regarding nondisclosure. Only the information on organizations which agree to disclosure shall be published on the website.

Note 1: In the field of information security, nondisclosure is regarded as one of the security measures and nondisclosure or limited disclosure is accepted in this scheme. As for limited disclosure, minimum disclosure items are defined in the specification above.

Note 2: If there are inquiries such as confirmation of information concerning organizations that selected nondisclosure or limited disclosure, ISMS-AC shall answer within the scope of disclosure.

2) Information on the organizations whose certification is suspended or withdrawn shall be deleted from the published information.

7. Maintenance of accreditation

7.1 Reassessment

1) The validity period of initial accreditation is three years from the date of the accreditation decision made by the Accreditation Review Board. The validity period of the renewed accreditation is four years. The expiration date after accreditation renewal continues from the expiration date before the renewal. The validity period of renewal registration shall continue from the previous expiration date.

2) When accredited CBs desire to maintain the registration, they shall apply for the renewal assessment more than three months prior to the expiration date and

undergo assessment within the validity period.

3) ISMS-AC will notify a CB of renewal assessment approximately nine to six months prior to the expiration date. The CB shall submit future plans of certification audits for witnessing arrangement. It shall consult with ISMS-AC early especially in case it has a few candidates for the witness assessment.

4) If a CB does not intend to renew accreditation, it shall notify ISMS-AC to that effect three months prior to the expiration date in writing and take the necessary actions for voluntary withdrawal.

5) The application and assessment procedures for a renewal assessment are similar to those for an initial assessment. All documents including the ones with no change shall be submitted. ISMS-AC shall dispose of or return the submitted documents with the agreement of the CB after the designated period.

6) Upon acceptance of the application, ISMS-AC shall notify the CB of it and charge the application fee and basic assessment fee.

7) The reassessment shall include verifying the changes from the previous assessment and issues specified at the previous assessment to be checked at the next one.

8) The changes notified in advance may be also checked in the reassessment. If there are major changes, extraordinary assessment will be conducted separately with prior consent of the CB.

9) Normally, ISMS-AC will invoice the CB for each of the assessment fees together on completion of all assessments.

10) When a reassessment is completed, ISMS-AC will provide the renewed accreditation certificate to the CB.

7.2 Surveillance

1) Accredited CBs shall undergo surveillance which is conducted annually by ISMS-AC basically within three months before or after the reference date following the initial accreditation or reaccreditation.

2) ISMS-AC will notify the CB of surveillance approximately six to three months in advance and start arranging the schedule. The CB shall submit future plans of certification audits for witnessing arrangement responding to the notification. The CB needs not submit an application form to ISMS-AC.

3) If there are any changes in documents from the previous assessments, they shall be submitted. ISMS-AC shall handle the submitted documents in a similar way as the reassessment.

4) Surveillance basically includes confirmation of the submitted documents, office assessment, witness assessment and final assessment. The order of the office assessment and the witness assessment may be interchanged.

5) The procedures for assessments and the process leading to the accreditation decision are similar to those of the initial assessment. Refer to **"Annex 3 Standard assessor-days for accreditation assessment"** for the standard assessment assessor-days.

6) Surveillance includes verifying the changes from the previous assessment and issues specified at the previous assessment to be checked at the next one.

7) Surveillance shall be conducted taking into account other surveillance activities, which include examination of matters related to the CB's accredited status, review of information published by the CB, results of complaint processing and performance monitoring.

ISMS-AC shall select one or more appropriate samples from initial audit (Stage 1 or Stage 2), surveillance and recertification to evaluate the CB's competence taking into account the accreditation scope and the number of the organizations it has certified.

8) The changes notified in advance may be also checked in the surveillance. If there are major changes, extraordinary assessment will be conducted separately with prior consent of the CB.

9) Each assessment report will be processed in a similar way to the initial assessment.

10) Normally, ISMS-AC will invoice the CB for each of the assessment fees and the registration maintenance fees on completion of all assessments

11) ISMS-AC shall submit the results to the Accreditation Review Board and the decision result will be notified to the CB.

12) When ISMS-AC decides to maintain the accreditation of the CB and there is no change in the content of the accreditation certificate, the certificate can continue to be used. If there are any changes, a revised accreditation certificate will be provided to the CB. The validity period of the revised accreditation certificate is the same as that of the previous one.

13) When ISMS-AC decides not to maintain the accreditation of the CB, the CB shall be treated as suspended or withdrawn from accreditation.

7.3 Application of the changes

1) The CB shall give notice to ISMS-AC without delay of changes in any aspects of its status or operation that affect the following. As for the accreditation scope extension, refer to 7.4 of this procedure.
   a) legal, commercial, ownership or organizational status;
   b) organization, top management and key personnel;
   c) main policies, and procedures where appropriate;
   d) premises including land and buildings;

e) scope of accreditation, personnel, working environment or other resources, where significant;

f) other matters that may affect the CB's ability, or conformity with the requirements of the accreditation criteria and guidance, or, where appropriate, other relevant conformity criteria specified by ISMS-AC.

2) When there are any changes in the content of the accreditation application form, in the **"Registration Information of a Certification Body"** (ISF240) as well as in the management systems and related organization, the CB shall give notice to ISMS-AC without delay using the form **"Notice of Changes in Accreditation Application/ Registration"** (ISF531).

3) ISMS-AC checks the content of notified changes and offers actions to be taken. When ISMS-AC determines necessity of an extraordinary assessment, it will conduct special assessment.

4) If modification is required in the content of the accreditation certificate due to changes, ISMS-AC will provide a revised certificate to the CB. The validity period of the revised certificate is the same as that of the previous one.

5) In other cases such as document changes, they shall be submitted before the next assessment.

7.4 Extension of the accreditation scope

1) When a CB intends to extend its accreditation scope, it shall apply using **"Application Form for Accreditation of Certification Bodies (Form 1)"**.

2) When a BCMS accredited CB is to apply for extension of technical areas, the application shall be in accordance with 5.1 of Annex 4.

3) Extraordinary assessment shall be conducted for the application for extension of the accreditation scope. The assessment will cover only the extended part, in principle.

4) Extension of the accreditation scope is judged in the Accreditation Review Board and the result will be notified to the CB.

5) When extension of the accreditation scope is decided, ISMS-AC will provide a revised certificate to the CB. The validity period is the same as that of the previous one even when the scope is extended.

6) On completion of the assessment ISMS-AC shall issue an invoice for the assessment fee. After the accreditation decision the extension registration fee will be charged.

7.5 Changes in the accreditation criteria and guidance

1) When ISMS-AC makes changes to the accreditation criteria and guidance and publishes them, it shall notify the CBs of the necessary actions to be taken. If the content of the changes has large impact on the operation of the CBs, ISMS-AC shall give due notice to give the CBs enough time to respond or specify the period for the completion of the actions.

The CBs shall take necessary actions within a specified period and have them verified by ISMS-AC. When there are large changes in the criteria, an extraordinary assessment may be conducted to verify that each accredited body conforms to the changed requirements.

7.6 Extraordinary Assessment

1) If changes are made that have significant impact on activities of accredited CBs (such as changes in the organization, personnel or premises), or if complaints or failures to meet the requirements of the accreditation criteria or guidance become obvious, the CB shall undergo an extraordinary assessment in accordance with a notice from ISMS-AC.
2) When extending the accreditation scope, the CB shall undergo extraordinary assessment for the scope to be extended.
3) ISMS-AC shall conduct witness assessment for the reasons, e.g. upon the receipt of complaints, claims, disputes, market or regulator feedback.
4) The results of the extraordinary assessment shall be reported to the Accreditation Review Board and the maintenance of accreditation shall be decided there.

8. When a CB requests reduction of the accreditation scope, suspension or withdrawal

When a CB is to discontinue the accredited certification activities for some reasons, it shall accordingly notify ISMS-AC. The CB shall make efforts to minimize the impact on the market caused by the discontinuance of certification services and obtain ISMS-AC's approval on the measures taken for that purpose. ISMS-AC shall validate the actions taken by the CB and report to the Accreditation Review Board.

9. Reducing/ suspending/ withdrawing accreditation

9.1 Reducing and suspending accreditation

ISMS-AC can reduce the accreditation scope or suspend accreditation when an accredited CB is in the following situations. The duration of suspension cannot go over the expiration date. Reduction and suspension of accreditation shall be reported to the Accreditation Review Board and reduction and suspension of accreditation shall be decided there.

1) ISMS-AC determines that it is inappropriate for a CB to continue its accredited status for part or the whole of the accreditation scope because it does not correct a serious transgression of the accreditation criteria or guidance or major nonconformities identified in the assessment;

2) a CB makes incorrect reference to granted accreditation or uses the accreditation symbol in a misleading manner and it does not correct the situation

3) A CB intentionally neglects its notifying/ reporting duties, gives a false notice or makes a false report

4) A CB rejects, obstructs or objects to the assessment team's entry to the CB's sites in compliance with ISMS-AC's regulations. Or a CB does not make a statement without due reasons or makes a false statement on inquiries from the assessment team in compliance with ISMS-AC's regulations

5) ISMS-AC determines that a CB ruins the credit of the market in the third-party conformity assessment scheme

6) A CB does not observe the written pledge submitted upon application for accreditation

7) the fees are overdue by more than six months without any justifiable reason

8) other occasions where ISMS-AC determines that reducing the accreditation scope or suspending accreditation is appropriate.

9.2 Lift of suspension of accreditation

When a CB takes corrective actions toward the suspension of accreditation, eliminates the causes of the reduction or suspension and notifies to that effect, ISMS-AC will verify the taken actions through an extraordinary assessment and lift the reduction or suspension.

9.3 Withdrawing accreditation

ISMS-AC can withdraw accreditation when an accredited CB is in the following situations. Withdrawal of accreditation shall be reported to the Accreditation Review Board and withdrawal of accreditation shall be decided there.

1) A CB does not observe the accreditation procedures and the written pledge submitted upon application for accreditation

2) a CB fails to complete corrective actions for serious transgressions of the accreditation criteria or guidance, or major nonconformities identified in the assessment within the specified period;

3) In cases where a CB deserves suspension of accreditation and fails to correct, and/or eliminate the nonconformity, and implement corrective actions effectively within the

period specified by ISMS-AC

There is evidence of fraudulent behavior, or the conformity assessment body intentionally provides false information or conceals information. In situations like this which lead to withdrawal of accreditation and/or the CB intentionally provides false information, or the CB deliberately violates accreditation rules, ISMS-AC shall notify the IAF Secretariat of this decision and the reasons.

4) a CB does not pay the fees for accreditation;
5) other occasions where ISMS-AC determines that a CB is disqualified to maintain its accredited status and decides to withdraw the accreditation.

9.4 Actions related to reduction of the scope, suspension and withdrawal of accreditation

1) When ISMS-AC reduces/ suspends/ withdraws accreditation, the CB shall provide action plans and implement them upon ISMS-AC's request.
2) A CB whose accreditation is withdrawn shall delete the electronic file of, and if applicable, printed accreditation certificate immediately and discontinue its use of any reference to that accreditation.
3) Clients newly certified by a suspended CB cannot use the accreditation symbol until the suspension is lifted.
4) The CB shall inform its affected clients of the suspension, reduction or withdrawal of its accreditation and the associated consequences without undue delay.
5) When the CB finishes all the actions, it shall notify ISMS-AC accordingly. If necessary, ISMS-AC may verify at the CB's office the actions taken.
6) ISMS-AC will publish information on the CBs suspended or withdrawn from accreditation or its scope is reduced.

9.5 Reapplication after withdrawal of accreditation

A CB withdrawn from accreditation can reapply for accreditation when it has eliminated the causes of withdrawal. Reapplication shall be in accordance with the procedures for the initial application.

10. Rights and obligations of certification bodies

10.1 Rights

Applicant and accredited CBs shall have the following rights.
1) The CBs are provided with documents describing the details of procedures for assessment and accreditation, the requirements for accreditation and the rights and obligations of accredited CBs.

2) The CBs can use the accreditation symbol granted by ISMS-AC in accordance with **"Conditions for Use of IMS Accreditation Symbol"** (JIP-IMAC510) and make reference to their accredited status in communication media.

3) The CBs can file an appeal in accordance with **"Procedures for Responding to Complaints and Appeals on IMS Accreditation"** (JIP-IMAC112) when they have objections to the decisions on accreditation made by ISMS-AC.

4) The CBs can submit complaints to ISMS-AC over the matters associated with the accreditation service of ISMS-AC in accordance with **"Procedures for Responding to Complaints and Appeals on IMS Accreditation"** (JIP-IMAC112).

10.2 Obligations

The CBs shall have the following obligations to ISMS-AC;

1) comply with relevant requirements of the accreditation criteria, the guidance and this document and agree to adapt to changes in the requirements for accreditation

2) make all necessary arrangements for assessments, including examination of the documents for initial assessment, surveillance, renewal assessment, extraordinary assessment and resolution of complaints, access to all areas required for assessment, examination of the records (including internal audit reports) and interview of the personnel and cooperate as is necessary to enable ISMS-AC to verify fulfilment of requirements for accreditation; to provide access to conformity assessment body personnel, locations, equipment, information, documents and records as necessary to verify fulfilment of requirements for accreditation; to arrange the witnessing of conformity assessment activities when requested by ISMS-AC;

3) to have, where applicable, legally enforceable arrangements with their clients that commit the clients to provide, on request, access to ISMS-AC assessment teams to assess the conformity assessment body's performance when carrying out conformity assessment activities at the client's site;

4) to include in the contract agreements with their clients that the CB has them commit to accept ISMS-AC to assess the CB's performance. The clients' refusal to accept a witness assessment by ISMS-AC could result in withdrawal of accredited certification where reasons are not accepted.

5) Certification documents must display the accreditation symbol, and/or, reference the accreditation status of the CB including the identification of the AB to show that it is accredited certification.

6) to claim accreditation only with respect to the scope for which it has been granted

7) not to use its accreditation in such a manner as to bring the accreditation body into disrepute;

   not allow the fact that they are accredited to be used to imply that a client

organization's management system is certified, or a product, process, system or person is approved, by ISMS-AC.

8) Follow the ISMS-AC's policy for the use of the accreditation symbol in accordance with **"Conditions for Use of the IMS Accreditation Symbol"** (JIP-IMAC510).

9) conform with the requirements of ISMS-AC when making reference to their accredited status in communication media

10) pay fees for accreditation assessments charged by ISMS-AC irrespective of the results. When accredited, they shall bear fees for maintaining accreditation. Fees once paid are not refundable except when there is a reason attributable to ISMS-AC.

11) conduct management system certification of an applicant organization in the scope on which both the organization and the CB agree. Audits shall be carried out by an audit team which is capable of conducting appropriate audits for the scope.

12) provide information to ISMS-AC on organizations the CB has certificated. ISMS-AC will publish part of the reported information with their consent

13) to inform ISMS-AC without delay of significant changes relevant to its accreditation

14) to assist in the investigation and resolution of any accreditation-related complaints about the CB referred to it by ISMS-AC.

15) To maintain confidentiality of the information obtained or generated during the course of accreditation assessment.

Annex 1 The criteria and the related documents
for accreditation of certification bodies

1. The criteria and the related documents for accreditation of certification bodies

1.1 Documents for accreditation of ISMS certification bodies

1) Accreditation criteria and guidance

JIP-ISAC100   Accreditation Criteria and Guidance for ISMS Certification Bodies

JIP-ISAC101   Accreditation Criteria and Guidance for ISMS Cloud Security Certification Bodies

JIP-ISAC102   Accreditation Criteria and Guidance for ISMS-PIMS Certification Bodies

1.2 Documents for accreditation of ITSMS certification bodies

1) Accreditation criteria and guidance

JIP-ITAC100   Accreditation Criteria and Guidance for ITSMS Certification Bodies

1.3 Documents for accreditation of BCMS certification bodies

1) Accreditation criteria and guidance

JIP-BCAC100   Accreditation Criteria and Guidance for BCMS Certification Bodies

1.4 Documents for accreditation of CSMS certification bodies

2) Accreditation criteria and guidance

JIP-CSAC100   Accreditation Criteria and Guidance for CSMS Certification Bodies

1.5 Common documents for accreditation of ISMS, ITSMS, BCMS and CSMS certification bodies

1) Accreditation procedures

JIP-IMAC110   Procedures for Accreditation of IMS Certification Bodies

2) Accreditation symbol

JIP-IMAC500   Conditions for Reproduction of the IMS Accreditation Symbol

JIP-IMAC510   Conditions for Use of the IMS Accreditation Symbol

3)   JIP-IMAC512   Conditions for Handling IMS Accreditation Certificate

4) Fee schedule

   JIP-IMAC610   Fee Schedule for Accreditation of IMS Certification Bodies

5) Information on the certified organizations

   JIP-IMAC520   Interface Specification of Information on Certified Organizations

6) IAF Publication

   IAF Mandatory Documents and Informative Documents applicable to accreditation of certification bodies

   IAF Resolutions issued as requirements for accreditation bodies and certification bodies

2. How to get the documents

The criteria and the related documents for accreditation of certification bodies can be downloaded at

URL: https://isms.jp/std/index.html

Documents	Remarks
Criteria and procedures	
Accreditation criteria and guidance	ISO and JIS referred to in the criteria and the related documents are available through Japanese Standards Association (JSA).
Accreditation procedures	The documents can be downloaded at the URL above. Microsoft Word or Excel versions of forms of application documents, "notice of changes in accreditation application/ registration", "request for issuance of the accreditation certificate" etc. referred to in the procedures can be downloaded at the linked page from the URL above.
Accreditation symbol and accreditation certificate	"Conditions for Use of IMS Accreditation Symbol" and "Conditions for Handling of Accreditation Certificate" can be downloaded at the URL above. "Conditions for of the Accreditation Symbol" will be provided to CBs when accredited.
Fee schedule	The document can be downloaded at the URL above.
Information on the certified organizations	The document will be provided to CBs when accredited.
IAF documents	

IAF Mandatory Document (MD) IAF Informative Document (ID) Applicable to accreditation of certification bodies	Translated version of the IAF MD and ID can be downloaded at the URL above.

3. Contact

3.1　Address to send application for accreditation and the related documents, inquiries regarding application, assessment and registration

ISMS Accreditation Center
Roppongi First Bldg. 1-9-9, Roppongi, Minato-ku, Tokyo
106-0032 Tokyo
TEL : 03-5860-7570　　FAX : 03-5573-0564
https://isms.jp/contact/index.html

3.2　Brief outline of ISMS-C's accreditation scheme

https://isms.jp/index.html

3.3　FAQ

https://isms.jp/faq/index.html

Annex 2. Instructions on how to fill out the application form
for accreditation of certification bodies

1. **How to fill out the application form**

1.1 Applicant legal entity:

1)	Address:	Registered corporation address
2)	Name:	Registered corporation name with the corporate seal
3)	Name and Position of representative:	Name and position of the representative of the legal entity with the seal

1.2 Applicant body:

1)	Name, acronym and URL	The name of the certification body (a corporation or a division of it which conducts its certification/ registration activities), the abbreviated name and its URL, if any.
2)	Name and position of a representative of the body	Write in the name and the position of senior executive of the CB.
3)	Address of the main office	Write in the address of the main office of the CB.
4)	Scope of accreditation	For BCMS, write in the technical areas.
5)	Premises	When the CB has offices other than the principal office in the scope of accreditation, check the box of [see the attached sheet], and attach the information on all of the offices.

1.3 Contact person

1) Affiliation, position, name, etc.: Write in the contact person in charge of accreditation.

1.4 Type of application

Check the box of appropriate assessment.

2. **Number of sets of accompanying documents to be submitted**

Application for initial assessment: one set

Application for reassessment: one set

Annex 3 Standard assessor-days for accreditation assessment

The table below shows the standard assessor-days for accreditation assessment. They may vary depending on circumstances. When assessments of more than one management systems are conducted concurrently, the following assessor-days will not be applied.

1. For accreditation of ISMS, ITSMS, CSMS and BCMS in the general technical areas

Type of assessment	Initial Assessment / Reassessment	Surveillance
Document Review	4 assessor-days	1 assessor-day (Note 2)
Office Assessment	4 assessor-days	2 assessor-days
Witness Assessment	Days of Assessment × 2 assessors (Note 5)	Days of Assessment × 2 assessors (Note 5)
Follow-up Assessment	Days of Assessment × 2 assessors (the number of days depends on the content of the assessment)	Same as left

Note 1: One assessment day is counted as 7.5 hours. Although assessments are basically counted by the day, an assessment only in the morning may be counted as 0.4 day, the afternoon as 0.6 day.

Note 2: Document review is skipped unless ISMS-AC recognizes its necessity.

Note 3: Trainees, observers and technical experts are not included in assessor-days of assessments. When the assessor-days in the billing of assessment fees exceed those in the table above, ISMS-AC shall notify the CB in advance.

Note 4: Final assessment is not subject to charge.

Note 5: One or more certification audits will be witnessed.

2. For accreditation of BCMS in specific technical areas

The standard accreditation assessment assessor-days are not specified as they vary depending on circumstances.

3. For accreditation of ISMS sector-specific standards

In accordance with Annex 5.

Annex 4: Accreditation by technical areas in BCMS

1. Application

This annex specifies the procedures for a certification body which applies for BCMS accreditation by technical areas. Any issues not specified in this annex shall be in accordance with the main text of this document.

2. Classification of technical areas

The technical areas in BCMS comprise the specific technical areas and any areas apart from the specific technical areas (hereinafter referred to as "general technical areas"). The specific technical areas in BCMS are those where the disruption in the scope of BCMS has a significant social impact and where advanced and specific expertise is required.

The classification of the general and specific technical areas (in Table 1) applies to the accreditation scopes.

Table 1. Classification of the specific technical areas in BCMS accreditation

No.	Classification	Description
1	Emergency medical service	Areas involved with tertiary emergency medical care e.g. emergency medical care center
2	Nuclear fuel material	Areas involved with development, manufacturing, operation, storage and disposal of nuclear fuel material in the area of nuclear fuel facilities. e.g. uranium concentration
3	Electricity, gas, and water supply	Areas involved with supply of electricity, gas and water. e.g. electric power company
4	Passenger transportation	Areas involved with passenger transportation in railway, maritime and aviation transportation systems. e.g. airline company

3. Accreditation by technical areas

3.1 Application

a) Upon application, a CB shall specify its desired accreditation scope for either general technical areas or general plus specific technical areas. One or more specific technical areas can be specified in accordance with the classification in Table 1.

b) More than one certification audit and registration need to have been achieved and recorded in one of the technical areas which a CB is applying for (refer to the note). Note: When a specific technical area is included in the scope of application, achievement of certification only in the general technical area is acceptable. The CB does not need to have achieved certification in the specific technical area.

c) When applying for accreditation in the specific technical area, a CB has to have a planned certification audit which can be the subject of witness by ISMS-AC in each specific technical area.

d) The documents required for application shall be in accordance with Form 1 and Form 2. When applying for the specific technical areas, the documents in Form 2 shall include the followings.

1) Demonstrating ability of the CB for the specific technical area

2) Specific audit procedures and methodology for certification audits in the specific technical area

3) Evaluation methods and the evaluation results of the competence required for auditors (including technical experts) who conduct certification audits in the specific technical area

e) In the case of a CB which is already accredited in one of the technical areas and applies for additional accreditation in a specific technical area, refer to Clause 5.

3.2 Preparation for the accreditation assessment

Technical experts as well as accreditation assessors could be included as appropriate in the accreditation assessment team for the specific technical areas.

3.3 Conducting accreditation assessment

a) In the document review and the office assessment, the design of the certification program in the specific technical areas is also subject to the accreditation assessment.

b) For the witness assessment an initial certification audit (refer to Note 1) in the desired technical area shall be picked out. If the desired technical area includes a specific technical area, certification audits (refer to Note 2) for each specific

technical area shall be picked out. In this case at least one area shall be witnessed in an initial certification audit (refer to Note 1). The witness assessment in the general technical area can be omitted.

Note 1: Stage 1 and Stage 2 audits in the initial certification audits

Note 2: The initial certification audits (Stage 1 and Stage 2) or recertification audits. This can be substituted by a surveillance audit depending on previous audit results.

3.4 Registration

The accredited technical areas shall be stated as an accreditation scope in the accreditation certificate.

4. Renewal and maintenance of accreditation

4.1 Renewal assessment

For the witness assessment a certification audit (refer to Note) shall be picked out from all of the accredited technical areas.

Note: The initial certification audits (Stage 1 and Stage 2) or recertification audits. This can be substituted by a surveillance audit depending on the previous audit results.

4.2 Surveillance

For the witness assessment a certification audit (refer to Note) shall be picked out from all of the accredited technical areas.

Note: The initial certification audits (Stage 1 or Stage 2), surveillance or recertification audits.

5. Application for extension of the accreditation scope

If a CB is already accredited in one of the technical areas and applies for additional accreditation in a specific technical area, it shall apply for the extension of the accreditation scope. One or more technical areas can be specified in accordance with the classification in Table 1.

5.1 Application for extension of the accreditation scope

a) When applying for extension of the accreditation scope, use Form 1, 2, 4 and 6.

b) The category of the specific technical area for the extension shall be described in Form 1. The type of accreditation is "assessment associated with the extension of the accreditation scope".

c)   Only additional or changed documents shall be submitted in accordance with Form 2.

d)   Form 4 shall be filled out with the latest information.

5.2 Assessment

Document review and office assessment will be conducted only for the part added or changed.

For witness assessment a certification audit (refer to Note) shall be picked out in each category of the desired specific technical area.

Note: The initial certification audits (Stage 1 and Stage 2) or recertification audits. This can be substituted by a surveillance audit depending on the previous audit results.

5.3 Registration

Upon the decision on extension of the accreditation scope, premises and technical areas will be added in the accreditation scope in the certificate of accreditation.

Annex 5. Accreditation of ISMS sector-specific standards

1. Application

This annex specifies the procedures for a certification body which applies for additional accreditation of ISMS sector-specific standards. Any issues not specified in this annex shall be in accordance with the main text of this document.

2. ISMS sector-specific standards

This annex applies to following accreditation of ISMS sector-specific certification.
1) ISMS cloud security certification
   Certification criteria: JIP-ISMS517   Requirements for ISMS Cloud Security Certification based on ISO/IEC 27017:2015
   Accreditation criteria: JIP-ISAC 101   Accreditation criteria and guidance for ISMS Cloud Security Certification Bodies
2) ISMS-PIMS certification
   Certification criteria: ISO/IEC 27701:2019 Security techniques — Extension to ISO/IEC 27001 and ISO/IEC 27002 for privacy information management
   Accreditation criteria: JIP-ISAC 102   Accreditation criteria and guidance for ISMS -PIMS certification

3.   Accreditation of ISMS sector-specific standards
3.1. Application
   a)   Application for accreditation of ISMS sector-specific certification shall be subject to ISMS accreditation. It is possible to apply for accreditation of ISMS certification at the same time.
   b)   The application for accreditation shall specify one or more of the certifications of the ISMS sector-specific standards described in clause 2.
   c)   At least one certification audit/registration and its evaluation (internal audit and management review) for the ISMS sector-specific standards applied for shall be conducted and recorded.
   d)   When applying for accreditation to an ISMS sector-specific standards, a certification audit subject to be witnessed shall be scheduled.
   e)   Documents required for application shall be in accordance with Form 1 and Form 2. When applying for accreditation of the ISMS sector-specific standards , documents according to Form 2 shall include the following
      1)   Demonstrating ability of the CB for the ISMS sector-specific standards.

2) Specific audit procedures and methodology for certification audits in the ISMS sector-specific standards.

3) Documents indicating method and results of evaluation of competence of auditors (including technical experts) conducting audits of ISMS sector-specific standards.

3.2 Preparation for the accreditation assessment

Technical experts as well as accreditation assessors could be included as appropriate in the accreditation assessment team for the ISMS sector-specific standards.

3.3 Conducting accreditation assessment

a) In the document review and the office assessment, the design of the certification program in the ISMS sector-specific standards is also subject to the accreditation assessment.

b) The witness assessment shall be conducted for each ISMS sector-specific standard applied for, covering the first certification audit under the applied ISMS sector-specific standard for the organization to be audited. This certification audit shall be either a stand-alone audit to add certification to an existing ISMS certification to an ISMS sector-specific standard, an audit conducted concurrently with a recertification or surveillance of an existing ISMS certification, or an audit conducted concurrently with an initial ISMS certification audit. If the audit is concurrent with the initial ISMS audit, the auditor shall witness both its first and second audit.

3.4 Registration

The accredited ISMS sector-specific standard shall be stated as an accreditation scope in the accreditation certificate. The expiry date shall be the same as that of the underlying ISMS certification.

4. Renewal and maintenance of accreditation

4.1 Renewal assessment

For the witness assessment a certification audit (refer to Note) shall be picked out from accredited ISMS sector-specific certification audit.

Note: The initial certification audits (Stage 1 and Stage 2) or recertification audits. This can be substituted by a surveillance audit depending on the previous audit results.

4.2 Surveillance

For the witness assessment shall be conducted at least once during the accreditation cycle, picking out a certification audit of the accredited ISMS sector standard (refer to Note) This audit may be conducted separately from the witness assessment in the surveillance of ISMS accreditation.

Note: The initial certification audits (Stage 1 or Stage 2), surveillance or recertification audits.

5. Standard assessor-days for ISMS sector-specific accreditation assessment

The table below shows the standard assessor-days for accreditation assessment. They may vary depending on circumstances. When assessments for accreditation of more than one ISMS sector-specific certification are conducted concurrently, the following assessor-days will not be applied.

5.1 Accreditation of ISMS cloud security certification

a) Initial accreditation assessment for ISMS cloud security certification
   The following assessor-days shall be added to the underlying ISMS certification audit assessor-days.

Type of assessment	Document review	Office assessment	Witness assessment
Independent extraordinary assessment	1	1	Number of days for certification audit× 2 assessors
Concurrent with surveillance assessment for underlying ISMS certification	1	—	Same as above
Concurrent with renewal assessment for underlying ISMS certification	—	—	Same as above

b) Renewal and surveillance accreditation assessment for ISMS cloud security certification

Type of assessment	Document review	Office assessment	Witness assessment
Concurrent with surveillance assessment for underlying ISMS certification	－	－	Number of days for certification audit× 2 assessors (refer to 4.1)
Concurrent with renewal assessment for underlying ISMS certification	－	－	Same as above (refer to 4.2)

5.2 Accreditation of ISMS cloud security certification

a) Initial accreditation assessment for ISMS-PIMS certification

The following assessor-days shall be added to the underlying ISMS certification audit assessor-days.

Type of assessment	Document review	Office assessment	Witness assessment
Independent extraordinary assessment	2	2	Number of days for certification audit× 2 assessors
Concurrent with surveillance assessment for underlying ISMS certification	2	1	Same as above
Concurrent with renewal	1	1	Same as above

assessment for underlying ISMS certification			

b) Renewal and surveillance accreditation assessment for ISMS-PIMS certification

Type of assessment	Document review	Office assessment	Witness assessment
Concurrent with surveillance assessment for underlying ISMS certification	―	―	Number of days for certification audit× 2 assessors (refer to 4.1)
Concurrent with renewal assessment for underlying ISMS certification	―	―	Same as above (refer to 4.2)