

# ISMAP Cloud Service Registration Rules

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ISMAP Steering Committee

The original texts of the Standards are prepared in the Japanese language, and these translations are to be used solely as reference material to aid in the understanding of the Standards.

For all purposes of interpreting and applying the Standards in practice, users should consult the original Japanese texts available on the following website:

<https://www.ipa.go.jp/security/ismap/policy.htm>

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## **Chapter 1 General Rules**

- 1.1 These Rules set forth matters concerning the registration of cloud services (hereinafter referred to as “Service Registration”) based on the “Basic Regulations for Information system Security Management and Assessment Program (ISMAP)” (hereinafter referred to as “Basic Regulations”) established by the ISMAP Steering Committee.
- 1.2 The ISMAP Operations Support Organization shall perform tasks related to Service Registration within the scope set forth in the “ISMAP System Operation Regulations”.

## **Chapter 2 Definition of Terms**

The terms defined in these Rules shall be as indicated below: Terms not defined in this paragraph shall be in accordance with the definition of terms in the Basic Regulations.

- 2.1 Applicant  
A cloud service provider who applies for service registration into the ISMAP Cloud Service List
- 2.2 Registrant  
A cloud service provider whose cloud service is registered in the ISMAP Cloud Service List

## **Chapter 3 Requirement for Applicants**

- 3.1 The Applicant shall prepare “Form 1 Statement” and “Form 2 Management Confirmation” in accordance with the provisions of the “Control Criteria of ISMAP”; make a statement on its security measures in accordance with the statement requirements; and undergo an assessment by an assessor on the content of the statement. The applicant must not divulge any information obtained by concluding a business contract for assessment under this system and undergoing an assessment.
- 3.2 The Applicant shall obtain an Assessment Report from the assessor with a report creation date that does not exceed three months from the last day of the assessed period indicated on the statement.
- 3.3 If the Assessment Report reveals findings, the Applicant shall prepare an improvement plan with respect to the findings and execute the plan.
- 3.4 In addition to the content described in the statement, the Applicant shall also provide the following information to the ISMAP Steering Committee.
  - (1) Information on the Applicant’s capital tie-ups and officers, etc., at the time of application.
  - (2) Information necessary for the ISMAP Steering Committee and the procuring ministry/agencies etc. to assess the risk of unintentional access to or processing of information managed by the procuring ministry etc., as a result of the application of laws and regulations other than domestic laws for information handled by the cloud service.
  - (3) Information on applicable laws and jurisdictions set forth in agreements
  - (4) Information on the implementation status and acceptance of third-party inspections, such as penetration testing and vulnerability testing.
- 3.5 The Applicant shall formally pledge to respond to the following matters during the registration period:
  - (1) The Applicant shall submit to the procuring ministry etc. details on the statement and information on the affiliation, expertise, achievements, and nationality of cloud service employees related to the application (of those who may affect user information or the user environment) at the request of the procuring ministry when negotiating procurement with the procuring ministry, etc. Regarding the nationality of the employees, submit the country name in the form which cannot be identify the individuals.

- (2) The Applicant shall, with respect to the cloud service registered in the ISMAP Cloud Service List, report to the ISMAP Steering Committee without delay in accordance with the provisions of Chapter 9 of these Rules when there is an information security incident that could have a serious impact on users during the registration period.
  - (3) The Applicant shall, with respect to the cloud service registered in the ISMAP Cloud Service List, report to the ISMAP Steering Committee without delay in accordance with the provisions of Chapter 10 of these Rules when there are significant control changes or circumstances that could result in such changes, or when there are changes to the information described in the ISMAP Cloud Service List during the registration period.
  - (4) The Applicant shall observe the processes related to monitoring stipulated in Chapter 11, re-assessment stipulated in Chapter 12, and re-application stipulated in Chapter 13 of these Rules.
  - (5) The Applicant shall, when there is temporary suspension or revocation of registration with respect to a cloud service registered in the ISMAP Cloud Service List, promptly inform the procuring ministry, etc. using the service of such action either through notification or publication on the Applicant's website.
  - (6) The Applicant shall, in the event that contractual or information security-related problems arise in regard to its cloud service, resolve such problems with the users of the cloud service at its own responsibility regardless of whether or not there is use by other firms (hereinafter referred to as "Subcontractors").
- 3.6 The Applicant shall cooperate in procedures related to the "Agreement on governmental procurement policies and procedures for goods, etc. or services with respect to IT procurement" (Agreement among concerned ministries and agencies concluded on December 10, 2018) (hereinafter referred to as "Agreement") at the request of the procuring ministry etc. when negotiating procurement with the procuring ministry, etc.
  - 3.7 The Applicant shall submit an application to the ISMAP Steering Committee in accordance with the procedures stipulated in Chapter 4 of these Rules.
  - 3.8 The Applicant shall submit the application stipulated in Chapter 4, generally subject to public availability in the ISMAP Cloud Service List, with regard to the existence of the Improvement Plan created according to Section 3.3 and for the following items to be found in the information and statement provided according to Section 3.4.
    - (1) Name of the cloud service
    - (2) Scope of statement
    - (3) Control measures for control objectives implemented according to basic statement requirements
    - (4) Assessment period
    - (5) Subsequent events
  - 3.9 The Applicant shall use the Japanese language when submitting documents, performing application procedures, and contacting the ISMAP Operations Support Organization. Of the documents to be submitted, an attachment to the statement shall be in either Japanese or English, and in the case of English, a reference Japanese translation may be required.
  - 3.10 The Applicant shall provide the cloud service subject to the application using its own name by using the services provided by itself or Subcontractor.
  - 3.11 The Applicant shall comply with the matters set forth as regulations, etc. prescribed by the laws and regulations of Japan, these Rules, and Basic Regulations, etc., and shall ensure that the information provided to the ISMAP Steering Committee does not differ from the facts.
  - 3.12 In accordance with the laws and regulations of Japan, the Applicant shall not be deemed to be an organization, member, or an equivalent person who has been designated as an anti-social force or group that threatens the safety of society and whose activities have been restricted.
  - 3.13 The content of this chapter shall apply mutatis mutandis when renewing the service registration. Please note that the assessment period for the previous application and the assessment period for the renewal application shall be consecutive.

## **Chapter 4 Application for Service Registration**

- 4.1 The Applicant shall use “Form 3 Registration Application” and submit it to the ISMAP Steering Committee via the ISMAP Operations Support Organization by attaching the following documents using the method of submission described in Appended Table 1.
- (1) Registration certificate (all-items certificate). However, the attachment may be omitted if the company number is indicated in the Registration Application Form.
  - (2) Statement (including attachments)
  - (3) Management confirmation
  - (4) Assessment Report (including attachments)
  - (5) Improvement plan stipulated in Section 3.3
  - (6) Information stipulated in Section 3.4
  - (7) Formal pledge for items stipulated in Section 3.5
- 4.2 The applicant shall make the application within one month of the report creation date of the Assessment Report.
- 4.3 The provisions of this chapter shall apply mutatis mutandis when applying for registration renewal.

## **Chapter 5 Acceptance of Applications**

- 5.1 With regard to the acceptance of applications, the ISMAP Operations Support Organization shall accept applications when it has confirmed the following contents for application documents made by the Applicant according to Chapter 4 of these Rules (hereinafter referred to as “Application Documents”).
- (1) The application documents stipulated in Section 4.1 shall be prepared in the designated language with no omission of required documents.
  - (2) They shall adhere to the deadline stipulated in Section 4.2.
  - (3) In order to conduct a smooth examination, there shall be no deficiencies in the content required to be described in the application form.
  - (4) The Assessment Report shall be valid.
- 5.2 The ISMAP Operations Support Organization can accept application documents at any time.
- 5.3 The ISMAP Operations Support Organization confirms the application documents in principle within two weeks from the date of receipt of the application documents.
- 5.4 The ISMAP Operations Support Organization contacts the applicant or requests the submission of additional materials if the application documents contain any deficiencies etc. as a result of their examination.
- 5.5 The Applicant shall respond promptly, submit the additional documents, or revise the application documents, when the ISMAP Operations Support Organization contacts or requests submission of additional documents.
- 5.6 Notwithstanding the provisions of Section 5.1, the ISMAP Operations Support Organization shall not accept applications in the following cases:
- (1) When the Applicant does not provide sufficient response or materials, or does not correct application documents, within one month from the date of the inquiry or request for additional materials.
  - (2) When it is clear that it will be difficult to complete the examination within the time period stipulated in Chapter 6 of these Rules, in view of the considerations stipulated in Section 9.5 of the Basic Regulations.

## Chapter 6 Examination

- 6.1 The ISMAP Operations Support Organization shall conduct a technical examination for the following items for the accepted application form. Furthermore, the ISMAP Operations Support Organization shall report to the ISMAP Steering Committee using “Form 4 examination Report” with regard to its opinions on the status of confirming each item and the appropriateness of registration.
- (1) The basic statement requirements shall be satisfied.
  - (2) There shall be no findings with regard to governance criteria and management criteria in the Assessment Report.
  - (3) The existence of findings on control measures criteria in the Assessment Report shall be clarified.
  - (4) If there are findings pursuant to the previous paragraph, the findings shall be minor. One of the requirements for minor items is that there shall be an improvement plan that describes the controls taken to improve the findings within two months of the report creation date of the Assessment Report.
  - (5) The information stipulated in Section 3.4 shall be disclosed properly and sufficiently.
  - (6) All formal pledges related to the items stipulated in Section 3.5 shall be included.
  - (7) There shall be no revocation of registration due to 14.2(4).
  - (8) In addition, there shall be no violation in accordance with the regulations of this System.
- 6.2 The ISMAP Operations Support Organization may request the Applicant to provide additional information, when necessary, under the supervision of competent ministries when performing the examination of the preceding paragraph.
- 6.3 The ISMAP Steering Committee shall make a comprehensive decision on the appropriateness of registration based on the operating status of agreements and the content of reports from the ISMAP Operations Support Organization, within six months of the date of acceptance of application in principle.

## Chapter 7 Registration

- 7.1 The ISMAP Operations Support Organization shall register the cloud service that was granted registration by the ISMAP Steering Committee in the ISMAP Cloud Service List and publish the information on its website. In addition, the Applicant shall be notified using “Form 5 Registration Notification”.
- 7.2 The ISMAP Operations Support Organization shall renew the cloud service that was granted renewal by the ISMAP Steering Committee in the ISMAP Cloud Service List and publish the information on its website. In addition, the Applicant shall be notified using “Form 5 Registration Notification”.
- 7.3 The Registrant shall manage the registration notification as follows:
- (1) The original shall be retained until the registration expiration date.
  - (2) There shall be no deviation from the scope of registration, and it shall not be used contrary to the purpose of this System
- 7.4 The ISMAP Operations Support Organization shall, based on the decision made by the ISMAP Steering Committee stipulated in Section 6.3 of these Rules, notify the Applicant using “Form 6 Results Notification” that the cloud service does not satisfy the registration requirements and cannot be registered in the ISMAP Cloud Service List, and shall thereafter conclude the examination registration procedures.
- 7.5 The ISMAP Cloud Services List shall include the following:
- (1) The name of the cloud service.
  - (2) URL of the website of the cloud service

- (3) Name and address of the cloud service provider
- (4) Registration date
- (5) Registration expiration date
- (6) Scope of statement
- (7) Control measures for the control objectives being implemented among the basic statement requirements
- (8) Assessment period
- (9) Subsequent events
- (10) Availability of the document detailing an improvement plan
- (11) Information provided in 3.4
- (12) Special notes on the registration of cloud services

## **Chapter 8 Service Registration Validity Period**

- 8.1 The Registrant shall apply for renewal by the expiration date of the registration as specified in 3.5 of the Basic Regulations. The service registration shall be valid until the expiration date of this renewal application, and if the renewal application is not made before the registration expiration date, the registration shall be automatically revoked. The registration will remain valid after the expiration date of the most recent registration until a decision on renewal is made by the ISMAP Steering Committee for the application. The same shall apply to subsequent registration renewals.
- 8.2 The Registrant shall, when applying for renewal of registration, make the application in accordance with Chapter 3 and Chapter 4 of these Rules.

## **Chapter 9 Report on Information Security Incidents**

- 9.1 The Registrant shall, when there is an information security incident that could have a serious impact on users of its registered cloud service, report to the ISMAP Steering Committee via the ISMAP Operations Support Organization without delay by indicating the required items on "Form 7 Information Security Incident Report".
- 9.2 The ISMAP Operations Support Organization may request an additional report as required upon obtaining the content of the report described in the preceding paragraph.
- 9.3 The ISMAP Operations Support Organization may, when it recognizes that there is an information security incident that has a serious impact on users, temporarily suspend the service registration and request the report stipulated in Section 9.1 even when the Registrant had not submitted the report described in Section 9.1.
- 9.4 The ISMAP Operations Support Organization shall lift the suspension of registration of the cloud service in question if the Registrant submits the report stipulated in Section 9.1 in response to the request in the preceding paragraph.
- 9.5 The ISMAP Operations Support Organization shall publicize the suspension of registration of the cloud service, on the ISMAP Cloud Service List, until the suspension is lifted.
- 9.6 The ISMAP Operations Support Organization may perform the monitoring stipulated in Chapter 11 of these Rules as required upon obtaining the content of the report stipulated in this chapter.

## **Chapter 10 Notification of Significant Control Changes, etc.**

- 10.1 The Registrant shall, when there are significant control changes or circumstances that could result in significant control changes in regard to its registered cloud service, notify the content of the changes to the ISMAP Steering Committee via the ISMAP Operations Support Organization without delay using “Form 8 Significant Control Changes Notification”.
- 10.2 The Registrant shall, when there are other changes to the content of its registered cloud service described in the ISMAP Cloud Service List, submit “Form 9 ISMAP Cloud Service List Registered Content Change Notification” without delay after indicating the required items to the ISMAP Steering Committee via the ISMAP Operations Support Organization.
- 10.3 The ISMAP Operations Support Organization may, when it recognizes that there are circumstances falling under relevant provisions, temporarily suspend the service registration and request appropriate notification even when the Registrant had not submitted the notification described in the preceding two paragraphs.
- 10.4 The ISMAP Operations Support Organization shall lift the suspension of registration of the cloud service in question if the Registrant submits the notification stipulated in Section 10.1 or 10.2 in response to the request in the preceding paragraph.
- 10.5 The ISMAP Operations Support Organization shall publicize the suspension of registration of the cloud service, on the ISMAP Cloud Service List, until the suspension is lifted.
- 10.6 The ISMAP Operations Support Organization may perform the monitoring stipulated in Chapter 11 of these Rules as required upon obtaining the content of the report stipulated in this chapter.

## **Chapter 11 Monitoring**

- 11.1 The ISMAP Operations Support Organization may perform monitoring under the supervision of competent ministries in the following cases in order to confirm that the Registrant is continuously satisfying the requirements stipulated in Chapter 3 of these Rules during the registration period.
  - (1) When the ISMAP Operations Support Organization deems it necessary upon obtaining the content of the report stipulated in Chapter 9 or notification stipulated Chapter 10 of these Rules.
  - (2) When there is suspicion of non-compliance with the requirements due to the filing of a complaint or submission of information, etc. by those constituting this System or external parties.
  - (3) When the ISMAP Operations Support Organization deems it necessary in light of the matters related to the formal pledge described in Section 3.5.
- 11.2 Monitoring shall be performed as follows:
  - (1) The ISMAP Operations Support Organization shall notify the Registrant subject to the monitoring of its intention to perform the monitoring and content to be confirmed using “Form 10 Monitoring Notification”.
  - (2) The Registrant shall respond to the confirmed content in writing after receiving the notification in (1).
  - (3) The ISMAP Operations Support Organization shall conduct an interview with the Registrant when it deems it necessary upon confirming the response.
  - (4) The ISMAP Operations Support Organization shall, when it has confirmed that the requirements stipulated in Chapter 3 of these Rules are being properly conducted based



- on the content of (2) and (3), notify the Registrant to that effect using “Form 11 Monitoring Results, etc. Notification”, and thereafter conclude the monitoring.
- (5) The ISMAP Operations Support Organization shall, after failing to confirm that the requirements stipulated in Chapter 3 of these Rules are being properly satisfied based on the content of (2) and (3), notify the Registrant to that effect using “Form 11 Monitoring Results, Etc. Notification”, and report to the ISMAP Steering Committee. The Registrant may request an opportunity to explain itself upon receiving the notification. The ISMAP Operations Support Organization shall perform the following actions against the Registrant based on the matters that could not be confirmed.
- (a) Request response to the re-assessment stipulated in Chapter 12 of these Rules when there are matters related to the scope of the statement stipulated in Section 3.1 of these Rules.
  - (b) Request response to the re-application stipulated in Chapter 13 of these Rules, if necessary, following confirmation by the ISMAP Steering Committee when there are matters other than those in (a) pertaining to the requirements stipulated in Chapter 3 of these Rules.

## **Chapter 12 Re-assessment**

- 12.1 The ISMAP Operations Support Organization may, when it has determined that the Registrant falls under Section 11.2(5)(a) based on the results of the monitoring stipulated in Chapter 11 of these Rules, request a re-assessment of the matters in question for the Registrant via “Form 11 Monitoring Results, Etc. Notification”.
- 12.2 The Registrant shall, when receiving the request for re-assessment, undergo the re-assessment for the matters in question by the date indicated in the relevant notification and submit a statement on the matters in question and Execution Results Report to the ISMAP Steering Committee via the ISMAP Operations Support Organization.
- 12.3 The ISMAP Operations Support Organization shall, when it has confirmed that the requirements stipulated in Chapter 3 of these Rules are being properly satisfied based on the content stipulated in the preceding two paragraphs, notify the Registrant using “Form 11 Monitoring Results, Etc. Notification”, report to the ISMAP Steering Committee, and thereafter conclude the re-assessment.
- 12.4 The ISMAP Operations Support Organization shall, after failing to confirm that the requirements stipulated in Chapter 3 of these Rules are being properly satisfied based on the content stipulated in each of the previous paragraphs, following confirmation by the ISMAP Steering Committee, notify the Registrant, and request response pertaining to the re-application stipulated in Chapter 13 of these Rules.
- 12.5 The ISMAP Operations Support Organization shall, until the re-assessment process is concluded, publish that the relevant cloud service is undergoing re-assessment in the ISMAP Cloud Service List.

## **Chapter 13 Re-application**

- 13.1 The provisions of Chapter 3 to Chapter 7 of these Rules shall apply mutatis mutandis to the procedures for re-application required based on Section 11.2(5) and Section 12.4 of these Rules.

## **Chapter 14 Revocation of Registration**

- 14.1 The Registrant shall notify the ISMAP Steering Committee via the ISMAP Operations Support Organization without delay using “Form 12 Registration Withdrawal Notification” in any of the following cases:
- (1) When provision of the registered service is terminated due to termination, etc. of its operation
  - (2) When it is determined that it is not possible to maintain the registration for the registered service
- 14.2 The ISMAP Steering Committee shall revoke the relevant service from the ISMAP Cloud Service List if any of the following applies:
- (1) When the renewal application is not made before the registration expiration date.
  - (2) When a registration withdrawal notification is submitted by the Registrant.
  - (3) When the re-application stipulated in Chapter 13 of these Rules is requested for the Registrant.
  - (4) When the Registrant fails to respond to requests from the ISMAP Steering Committee and ISMAP Operations Support Organization set forth in these Rules without justifiable grounds.
  - (5) When the Registrant is clearly not satisfying the requirements stipulated in Chapter 3 of these Rules.
- 14.3 When the Registrant falls under (4) to (5) stipulated in the preceding paragraphs, the ISMAP Steering Committee shall notify the Registrant using “Form 13 Re-application Request”.

## **Chapter 15 Raising Registration Objections**

- 15.1 The Applicant or Registrant may appeal to the ISMAP Steering Committee via the ISMAP Operations Support Organization using “Form 14 Written Objection” if there are objections to the actions taken against service registration.
- 15.2 The ISMAP Steering Committee shall respond to the objector using “Form 15 Response to Written Objection” upon receiving the Written Objection of the previous paragraph.

## **Appended Table 1   How to Submit an Application Form**

**Methods designated by the ISMAP Operations Support Organization**

Form 1   Statement

Form 2   Management Confirmation

Form 3   Registration Application

Form 4   Examination Report

Form 5   Registration Notification

Form 6   Results Notification

Form 7   Information Security Incident Report

Form 8   Notification of Significant Change in Control, etc.

Form 9   Notification of Changes in Items on ISMAP Cloud Service List

Form 10 Monitoring Notification

Form 11 Monitoring Results, Etc. Notification

Form 12 Registration Withdrawal Notification

Form 13 Re-application Request

Form 14 Written Objection

Form 15 Response to Written Objection