

ISMAP-LIU Cloud Service Registration Rules

November 1, 2022

ISMAP Operations 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.ismap.go.jp/csm>

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Chapter 1 General Provisions

1. 1 Based on the Information system Security Management and Assessment Program (ISMAP) Basic Regulations (hereinafter, “the Basic Regulations”) defined by the ISMAP Operations Committee, these rules define matters related to registration (hereinafter, “Service Registration”) by a mechanism for SaaS services used for low-risk operations and information processing (hereinafter, “ISMAP-LIU”) within the program.
1. 2 The ISMAP Operations Support Organization will carry out operations related to Service Registration within the scope stipulated in the ISMAP System Operation Regulations.

Chapter 2 Definitions

The definitions of terms used in these rules are as follows. Definitions other than those given in this item shall conform to the definitions of terms in the Basic Regulations.

2. 1 SaaS (Software as a Service)
Specific business applications, communication functions, etc., provided to users as services. Specifically, outside the government, there are business services such as safety confirmation and stress checks, and communication services such as email services and file storage. Within the government, functions provided by the inter-ministry common system, and communication-related services and business-related services provided on the government common platform fall under this category.
2. 2 Applicant
A cloud service provider that applies for Service Registration on the ISMAP-LIU Cloud Service List after confirming eligibility for ISMAP-LIU with the ISMAP Operations Support Organization prior to Auditing and application for Service Registration by assessors.
2. 3 Registrant
A cloud service provider whose cloud service is registered in the ISMAP-LIU Cloud Service List.
2. 4 Prior Application
The act in which the Applicant confirms ISMAP-LIU eligibility with the ISMAP Operations Support Organization.
2. 5 Evaluating the Impact of Operations and Information Related to the Use of SaaS
The act of evaluating the magnitude of impact on security for operations and information handled on SaaS services.
2. 6 Criteria for Evaluating the Impact of Operations and Information Related to the Use of SaaS
The standards (shown in Appendix 1) to which government agencies, etc., must comply with when conducting the evaluation described in the preceding clause.
2. 7 Guidance for Evaluating the Impact of Operations and Information
Guidance that government agencies must refer to when evaluating the impact of operations and information. This guidance is published on the ISMAP portal site operated by the ISMAP Operations Support Organization.
2. 8 List of Target Operations
Examples of representative operations that can be handled by SaaS subject to ISMAP-LIU. These examples are announced in the guidance defined in the preceding clause, and are used as reference at the time of application by the Applicant and evaluation of the impact of operations and information by government agencies, etc.
2. 9 Internal Auditing
Internal Auditing as defined in 4.6.2.2 in Control Criteria of ISMAP Appended Table 2.

2. 10 Auditing

Auditing as defined in 1.4.9 of the Basic Regulations. In order to clarify the difference from the preceding clause, it may be described as an external audit.

Chapter 3 Prior Application for Service Registration

3. 1 The Applicant uses “Form 1-1 Prior Application Form” and submits it to the ISMAP Operations Support Organization by the submission method shown in Appended Table 1, together with the following documents.
 - (1) Form 1-2 Sheet for Evaluating the Impact of Operations and Information Related to the Use of SaaS
3. 2 The Applicant must not divulge any information obtained through Prior Application.
3. 3 When preparing “Form 1-2 Sheet for Evaluating the Impact of Operations and Information Related to the Use of SaaS, ”the Applicant shall obtain results on evaluating the impact of operations and information from one or more of the government institutions, etc., (hereinafter, “Impact Evaluation Results”; however, this shall be limited to evaluations made within 1 year from the date on which Prior Application is submitted) after listing the service functions, etc., provided by the Applicant.
3. 4 The provisions of this chapter shall also apply to Prior Application for renewal of registration.

Chapter 4 Acceptance of Prior Application

4. 1 The ISMAP Operations Support Organization shall accept the Prior Application if it is possible to confirm that the following conditions are satisfied by documents used for Prior Application by the Applicant in accordance with Chapter 3 of these Rules (hereinafter, “Prior Application Documents”).
 - (1) The Prior Application Documents specified in 3.1 must be prepared in the designated language and be complete.
 - (2) In order to conduct a smooth review, the contents to be described in the Prior Application Documents must be complete.
4. 2 The ISMAP Operations Support Organization accepts Prior Application Documents at any time.
4. 3 In principle, the ISMAP Operations Support Organization will review the Prior Application Documents within two weeks from the date of receipt of the Prior Application Documents.
4. 4 As a result of checking the Prior Application Documents, the ISMAP Operations Support Organization will contact the Applicant or request the submission of additional materials if there are any omissions or deficiencies in the Prior Application Documents.
4. 5 Notwithstanding the provisions in 4.1, ISMAP Operations Support Organization will not accept Prior Application in the following cases.
 - (1) If the Applicant fails to provide a sufficient response, submit additional materials, or amend the Prior Application Documents within one month from the date of the inquiry or request for submission of additional materials.
 - (2) When it is clearly difficult to complete the review within the period stipulated in Chapter 5 of these rules, taking into consideration the matters stipulated in 9.5 of the Basic Regulations.

Chapter 5 Review of Prior Application

5. 1 The ISMAP Operations Support Organization will conduct a technical review of the following items for the accepted Prior Application Documents. “Form 1-3 Review Report on Prior Application” will be used to report the ISMAP Operations Support Organization’s opinion on the confirmation status of each item and eligibility for ISMAP-LIU to the ministries and agencies responsible for the system.
 - (1) The content listed in the Prior Application Documents must correspond to operations on the List of Target Operations published in the Guidance for Evaluating the Impact of Operations and Information, and the Impact Evaluation Results must be low.
 - (2) If the content does not correspond to the List of Target Operations in 5.1 (1), it must be justified that the Impact Evaluation Results are low.
 - (3) On the Evaluation Results Sheet, there are no unreasonable points in the information for which the impact has been evaluated and the Impact Evaluation Results for that information when considering the functions of the service subject to Prior Application.
 - (4) There must be no other violation when considering of the regulations of this program, or the registration must not have been deleted in the past under ISMAP Cloud Service Registration Rules 14.2 (4) or ISMAP-LIU Cloud Service Registration Rules 18.2 (4).
5. 2 When conducting the examination in the preceding clause, under the supervision of the government agency in charge of the program, the ISMAP Operations Support Organization may request as necessary any additional information from the Applicant or the government agency, etc., that evaluated the impact of the operations and information.
5. 3 Based on the report from the ISMAP Operations Support Organization, the ministries and agencies responsible for the system will promptly judge whether or not there is eligibility for ISMAP-LIU. However, if it does not fall under the list of eligible operations in 5.1 (1), in principle, for Prior Applications made during the first half and second half of each fiscal year, eligibility for ISMAP-LIU will be determined collectively by three months after the end of each six-month term.
5. 4 The ISMAP Operations Support Organization will use “Form 1-4 Notice of Results for Prior Application” to notify the Applicant of the judgment result in the preceding clause.
5. 5 If the Applicant is notified that they are eligible for ISMAP-LIU through “Form 1-4 Notice of Results for Prior Application” in the preceding clause, they may be audited by the assessor specified in Chapter 7 of these rules.

Chapter 6 Appeals related to Prior Application

6. 1 If the Applicant or Registrant has an objection to the measures related to Prior Application, they can use “Form 1-5 Appeals Related to Prior Application” to file an objection through the ISMAP Operations Support Organization to the ministries and agencies responsible for the system.
6. 2 Upon receipt of the form for appeals as described in the preceding clause, the ministries and agencies responsible for the system will use “Form 1-6 Written Response to Appeals Related to Prior Application” to reply to the Applicant.

Chapter 7 Requirements for applicants

- 7.1 The Applicant shall prepare “Form 2-1 Statement” and “Form 2-2 Written Representation” in accordance with the provisions of the Control Criteria of ISMAP and make a Statement about their own security measures in accordance with the basic Statement requirements. The stated items shall be audited by an assessor. The Applicant must not divulge any information that they have come to know by concluding an operations contract for assessment in this program and undergoing an audit.
- 7.2 The Applicant shall conduct Internal Auditing that satisfies the requirements stipulated in Appendix 2 and use “Form 2-3 Internal Auditing Report” to report the results to the ISMAP Operations Committee.
- 7.3 The Applicant shall obtain from the assessor an Assessment Report dated no later than three months after the end of the audit period specified in the Statement.
- 7.4 If any findings are identified in the Assessment Report, the Applicant shall prepare and implement an improvement plan for the findings.
- 7.5 In addition to the information listed in the Statement, the Applicant shall provide the following information to the ISMAP Operations Committee.
 - (1) Information on the Applicant’s capital relationship and officers, etc., at the time of application
 - (2) Information necessary for the ISMAP Operations Committee and relevant ministry, etc., to evaluate the risk of information managed by the procuring government ministry, etc., being accessed or processed without the intention of the procuring government ministry, etc., due to the application of laws other than domestic laws to information handled by cloud services
 - (3) Information on applicable law and jurisdiction as stipulated in the contract
 - (4) Information on the implementation status and acceptance of third-party inspections such as penetration tests and vulnerability assessments
- 7.6 The Applicant shall make a written oath to obey the following items during the registration period.
 - (1) At the time of procurement negotiations with the procuring government ministry, etc., the Applicant must, at the request of the procuring organization, provide the procuring organization with details of the Statement, and information on the affiliation, expertise, achievements, and nationality of any person who has the possibility of impacting the information of users or the usage environment from among the workers of the cloud service that included in the application. Regarding nationality, the Applicant must submit the name of the corresponding country in a form that is not linked to the individual.
 - (2) Regarding cloud services registered in the ISMAP-LIU Cloud Service List, if an information security incident that could have a serious impact on users occurs during the registration period, the Applicant must comply with the provisions of Chapter 13 of these rules and report to the ISMAP Operations Committee without delay.
 - (3) Regarding cloud services registered in the ISMAP-LIU Cloud Service List, during the registration period, if there were changes to important controls or the occurrence of an event that could lead to such changes, or if there were changes to information listed in the ISMAP-LIU Cloud Service List, the Applicant must notify the ISMAP Operations Committee without delay in accordance with the provisions of Chapter 14 of these rules.
 - (4) The Applicant must follow the process of monitoring specified in Chapter 15, re-Auditing specified in Chapter 16, and re-application specified in Chapter 17 of these rules.
 - (5) If the cloud service registered in the ISMAP-LIU Cloud Service List becomes subject to suspension or deletion of registration, the Applicant shall promptly notify the procuring ministries, etc., that use the service or publish an announcement on the Applicant's website.
 - (6) Regardless of whether or not another business operator (hereinafter, “Contractor”) is used, if there is a problem with the contract and information security in the cloud service of the

Applicant, the Applicant is responsible for working to resolve the matter with users of the relevant cloud service.

- (7) The Applicant must keep the Internal Auditing report, Internal Auditing record, etc., which are the basis for matters described in the Internal Auditing Report for at least three years after the internal audit is completed. The applicant must cooperate if the ISMAP Operations Committee requests access to these documents within the scope required to review Service Registration, perform monitoring, and conduct other necessary operations for the program.
7. 7 At the time of procurement negotiations with the procuring government ministry, etc., the Applicant must, at the request of the procuring organization, cooperate in the operation of the “Agreement on Procurement Policy and Procurement Procedures for National Goods or Services Related to IT Procurement” (December 10, 2018; agreement among related ministries).
7. 8 The applicant shall apply to the ISMAP Operations Committee in accordance with the procedures set forth in Chapter 8 of these rules.
7. 9 The applicant shall apply as stipulated in Chapter 8 on the premise that the applicant will publicly disclose in the ISMAP Cloud Service List the presence/absence of the improvement plan to be prepared per 7.4 and the following matters from among the information to be provided per 7.5 and the Statement.
 - (1) Name of cloud service
 - (2) Scope of Statement
 - (3) Control measures as control objectives being implemented among the basic statement requirements
 - (4) Assessment period
 - (5) Subsequent events
7. 10 The language used by the Applicant for submission of documents, application procedures, and communication with the ISMAP Operations Support Organization shall be Japanese. From among the submitted documents, the attachment of the Statement may be in either Japanese or English. In case of English, the Applicant may be asked to attach a Japanese translation for reference.
7. 11 The Applicant shall be the entity who provides the cloud service subject to the application under their own name by using a service provided by their own company or a Contractor.
7. 12 The Applicant shall comply with Japanese laws and regulations, and with these rules and other rules set forth in the Basic Regulations, and shall ensure that the information provided to the ISMAP Operations Committee is true and correct.
7. 13 Based on Japanese laws and regulations, groups that have been designated as anti-social forces or organizations or who that have had their activities restricted as such, members of such groups, or persons judged as equivalent to such members cannot become an Applicant.
7. 14 The provisions of this chapter shall also apply to renewal of Service Registration. The period subject to Auditing at the time of the previous application and the period subject to Auditing at the time of application for renewal shall be consecutive.

Chapter 8 Application for Service Registration

- 8.1 The Applicant shall use “Form 2-4 Registration Application Form” and submit it to the ISMAP Operations Committee through the ISMAP Operations Support Organization by the submission method shown in Appended Table 1, together with the following documents.
 - (1) Certificate of Registered Matters (certificate of all registered matters). However, if the corporate number is listed in the Registration Application Form, the attachment may be omitted.
 - (2) Statement (including attachment)
 - (3) Written Representation
 - (4) Assessment Report (including attachment)
 - (5) Improvement plan defined in 7.4
 - (6) Information defined in 7.5
 - (7) Written oath on matters defined in 7.6
 - (8) Internal Auditing Report
 - (9) Copy of Notice of Results for Prior Application
- 8.2 The Applicant shall apply within one month from the date of the Assessment Report.
- 8.3 The provisions of this chapter shall also apply to application for renewal of registration.

Chapter 9 Acceptance of Application

- 9.1 The ISMAP Operations Support Organization shall accept the application if it is possible to confirm the following following conditions are satisfied by documents used for application by the Applicant in accordance with Chapter 8 of these Rules (hereinafter, “Application Documents”)
 - (1) The Application Documents specified in 8.1 must be prepared in the designated language and be complete.
 - (2) The due date designated in 8.2 must be complied with.
 - (3) In order to conduct a smooth review, the contents to be described in the Application Documents must be complete.
 - (4) The Assessment Report must be valid.
 - (5) The service contents must be the same as those judged as eligible for ISMAP-LIU in the Prior Application.
- 9.2 The ISMAP Operations Support Organization accepts Application Documents at any time.
- 9.3 In principle, the ISMAP Operations Support Organization will review the Application Documents within two weeks from the date of receipt of the Application Documents.
- 9.4 As a result of checking the Application Documents, the ISMAP Operations Support Organization will contact the Applicant or request the submission of additional materials if there are any omissions or deficiencies in the Application Documents.
- 9.5 If the ISMAP Operations Support Organization makes an inquiry or requests the submission of additional materials, the Applicant shall respond promptly and submit the additional materials or modify the Application Documents.
- 9.6 Notwithstanding the provisions in 9.1, ISMAP Operations Support Organization will not accept application in the following cases.
 - (1) If the Applicant fails to provide a sufficient response, submit additional materials, or amend the Application Documents within one month from the date of the inquiry or request for submission of additional materials.

Chapter 10 Review

- 10.1 The ISMAP Operations Support Organization will conduct a technical review of the following matters for the accepted Application Documents. “Form 2-5 Review Report” will be used to report the ISMAP Operations Support Organization’s opinion on the confirmation status of each matters and the feasibility of registration to the ISMAP Operations Committee.
 - (1) The basic Statement regulations must be satisfied.
 - (2) There must not be any findings in the Assessment Report that fall within the definition under the Governance Criteria or the Management Criteria.
 - (3) The presence/absence of findings for the Operation Criteria in the Assessment Report.
 - (4) If findings exist for the previous item, those findings must be minor. As one of the requirements for being minor, there must be an Improvement Plan indicating that controls related to the findings will be improved within two months from the date of the Assessment Report.
 - (5) There must be appropriate and sufficient disclosure of the information defined in 7.5.
 - (6) It must include written oaths for all matters defined in 7.6.
 - (7) Internal Auditing that satisfies the requirements defined in Appendix 2 must be implemented.
 - (8) There must not be any other violations of regulations for this program.
- 10.2 When conducting the examination in the preceding clause, under the supervision of the government agency in charge of the program, the ISMAP Operations Support Organization may request as necessary any additional information from the Applicant.
- 10.3 In principle, within six months from the date of acceptance of the application by the ISMAP Operations Support Organization, the ISMAP Operations Committee will make a comprehensive decision on whether or not to register based on the contents of reports from the ISMAP Operations Support Organization and the operation status of the agreement.

Chapter 11 Registration

- 11.1 For the cloud services that the ISMAP Operations Committee has decided to register, the ISMAP Operations Support Organization will register those services in the ISMAP-LIU Cloud Service List and publish them on its website. It will also use “Form 2-6 Registration Notification” to notify the Applicant.
- 11.2 For the cloud services that the ISMAP Operations Committee has decided to renew the registration, the ISMAP Operations Support Organization will renew the ISMAP-LIU Cloud Service List accordingly and publish as such on its website. It will also use “Form 2-6 Registration Notice” to notify the Applicant.
- 11.3 The Registrant shall manage the Registration Notification as follows.
 - (1) Retain the original until the expiration date of registration
 - (2) Do not deviate from the scope of registration or engage in use contrary to the purpose of this program
- 11.4 Based on the judgment of the ISMAP Operations Committee as stipulated in 10.3 of these Rules, the ISMAP Operations Support Organization will use “Form 2-7 Notice of Results” to notify the

Applicant that the cloud service that does not meet the registration requirements and therefore cannot be registered in the ISMAP-LIU Cloud Service List, and will end the registration procedures.

11. 5 The following items will be written in the ISMAP-LIU Cloud Service List.

- (1) Name of cloud service
- (2) URL of the cloud service website
- (3) Name and address of the cloud service operator
- (4) Registration date
- (5) Expiration date of registration
- (6) Scope of Statement
- (7) Control measures as control objectives being implemented among the basic statement requirements
- (8) Assessment period
- (9) Subsequent events
- (10) Presence/absence of Improvement Plan
- (11) Information provided in accordance with 7.5
- (12) Special notes related to registration of cloud service
- (13) Number of government institutions currently using the service registered to ISMAP-LIU

Chapter 12 Valid Period of Service Registration

12. 1 Registrants shall apply for renewal by the expiration date of registration as specified in 3.5 of the Basic Regulations. The valid period of Service Registration is the deadline for this renewal application. If renewal application is not submitted by the said deadline, the registration will be automatically deleted. Until the ISMAP Operations Committee makes a decision whether or not to renew the registration in response to the application, the registration will continue to be valid even after the expiration of the immediately preceding registration. The same applies to renewal of subsequent registrations.
12. 2 When applying for renewal of registration, the Registrant shall submit the Prior application and an application for Service Registration in accordance with the provisions of Chapters 3, 7 and 8 of these Rules.

Chapter 13 Reporting When an Information Security Incident Occurs

13. 1 If an information security incident that could have a serious impact on users occurs with respect to the registered cloud service of the Registrant, the Registrant shall complete the required items in “Form 2-8 Information Security Incident Report” without delay and report to the ISMAP Operations Committee through the ISMAP Operations Support Organization.
13. 2 In response to contents of the report described in the previous clause, the ISMAP Operations Support Organization may request as necessary any additional information from the Applicant.
13. 3 In the event that the Registrant fails to submit the report defined in 13.1 and the ISMAP Operations Support Organization recognizes occurrence of an information security incident that could have a

- serious impact on users, the ISMAP Operations Support Organization can suspend registration of the cloud service and request the report defined in 13.1.
13. 4 The ISMAP Operations Support Organization shall lift the suspension of registration of the cloud service when the Registrant submits the notice defined 13.1 in response to the request described in the preceding clause.
 13. 5 If the ISMAP Operations Committee judges that an information security incident reported under the provisions of 13.1 could have a particularly serious impact on users, it may suspend the registration of the corresponding cloud service.
 13. 6 If the ISMAP Operations Committee implements the suspension described in the preceding clause, the ISMAP Operations Committee will notify the Registrant of the conditions for lifting the suspension (hereinafter “the Suspension Lifting Conditions”).
 13. 7 If the Registrant receives the notice described in the preceding clause, the Registrant shall promptly respond as necessary to satisfy the Suspension Lifting Conditions and report to the ISMAP Operations Committee by submitting “Form 2-9 Application for Reinstatement of Cloud Service Registration.”
 13. 8 After receiving the report described in the preceding clause, if the ISMAP Operations Committee judges that the Suspension Lifting Conditions have been met, it will lift the suspension of registration for the corresponding cloud service.
 13. 9 If the ISMAP Operations Committee judges that the Suspension Lifting Conditions have not been met even after the report specified in 13.7, it can request the Registrant to undergo the re-Auditing specified in Chapter 16 through the ISMAP Operations Support Organization.
 13. 10 The ISMAP Operations Support Organization will announce in the ISMAP-LIU Cloud Service List that the registration of the cloud service is suspended until the suspension of registration of the cloud service is lifted.
 13. 11 In response to the contents of the reports specified in this chapter, the ISMAP Operations Support Organization may implement the monitoring specified in Chapter 15 of these Rules as necessary.

Chapter 14 Notification of Significant Control Changes

14. 1 When a change to important controls or an event that could lead to a change to important controls occurs with respect to the registered cloud service of the Registrant, the Registrant shall use “Form 2-10 Significant Control Changes Notification” to notify the ISMAP Operations Committee of the contents of changes through the ISMAP Operations Support Organization.
14. 2 If there are any other changes to the matters that are registered on the ISMAP-LIU Cloud Service List, the Registrant shall, without delay, enter the required items in “Form 2-11 ISMAP-LIU Cloud Service List Registered Content Change Notification” and submit the form to the ISMAP Operations Committee through the ISMAP Operations Support Organization.
14. 3 If the Registrant fails to submit the notice in the preceding two clauses and the ISMAP Operations Support Organization recognizes an event that falls within any of these provisions, the ISMAP Operations Support Organization may suspend the applicable Service Registration and request submission of the notice.

14. 4 The ISMAP Operations Support Organization shall lift the suspension of registration of the service when the Registrant submits the notice defined 14.1 14.2 in response to the request described in the preceding clause.
14. 5 The ISMAP Operations Support Organization will announce in the ISMAP-LIU Cloud Service List that the registration of the cloud service is suspended until the suspension of registration of the cloud service is lifted.
14. 6 In response to the contents of the notice submitted in accordance with this chapter, the ISMAP Operations Support Organization may implement the monitoring specified in Chapter 15 of these Rules as necessary.

Chapter 15 Monitoring

15. 1 In order to confirm that the Registrant continuously meets the requirements defined in Chapter 7 of these Rules throughout the registration period, the ISMAP Operations Support Organization may carry out monitoring under the supervision of ministries and agencies responsible for the system in any of the following cases.
 - (1) When the ISMAP Operations Support Organization deems it necessary in response to the contents of the report defined in Chapter 13 of these Rules or the notice defined in Chapter 14 of these Rules.
 - (2) When doubts arise about the conformity to the requirements due to complaints or information provided by the members of this program or other external parties.
 - (3) Any other cases when the ISMAP Operations Support Organization deems it necessary in consideration of the written oath in 7.6.
15. 2 Monitoring is performed through the following procedures.
 - (1) The ISMAP Operations Support Organization will use “Form 2-12 Notice of Monitoring” to notify the Registrants subject to monitoring to the effect that monitoring will be carried out and the details of matters to be confirmed.
 - (2) When the Registrant receives the notice described in (1), the Registrant will reply with the requested information in writing.
 - (3) The ISMAP Operations Support Organization will confirm the response and conduct an interview with the Registrant if deemed necessary.
 - (4) If the ISMAP Operations Support Organization confirms that the requirements defined in Chapter 7 of these Rules are being properly implemented based on the information gathered in accordance with (2) and (3), it will use “Form 2-13 Notice of Monitoring Results” to notify the Registrant of those findings and complete the monitoring process.
 - (5) If the ISMAP Operations Support Organization is unable to confirm that the requirements defined in Chapter 7 of these Rules are being properly implemented based on the information gathered in accordance with (2) and (3), it will use “Form 2-13 Notice of Monitoring Results” to notify the Registrant and will also report to the ISMAP Operations Committee. Upon receiving the notice, the Registrant may request an opportunity for explanation. The ISMAP Operations Support Organization will execute the following procedures for Registrants depending on the items that could not be confirmed.
 - (a) In the case of matters within the scope of the Statement defined in 7.1 of these Rules, it will request a re-audit as defined in Chapter 16 of these Rules.

- (b) In the case of matters other than (a) among the requirements stipulated in Chapter 7 of these Rules, after confirming with the ISMAP Operations Committee, it will ask the Registrant to submit re-application as defined in Chapter 17 of these Rules as necessary.

Chapter 16 Re-Auditing

- 16. 1 As a result of the monitoring defined in Chapter 15 of these Rules, if the ISMAP Operations Support Organization determines that the Registrant falls under 15.2(5)(a), it will use “Form 2-13 Notice of Monitoring Results” to request a re-audit of the relevant section.
- 16. 2 If a Registrant receives a request for re-Auditing, the Registrant shall undergo re-Auditing of the relevant section by the date stated in the notice, and submit the Statement and Assessment Report in regards to the relevant section to the ISMAP Operations Committee through the ISMAP Operations Support Organization.
- 16. 3 If the ISMAP Operations Support Organization is unable to confirm that the requirements defined in Chapter 7 of these Rules are being properly implemented based on the information gathered in accordance with the previous two clauses, it will use “Form 2-13 Notice of Monitoring Results” to notify the Registrant, and will also report to the ISMAP Operations Committee to complete the re-Auditing process.
- 16. 4 If the ISMAP Operations Support Organization was unable to confirm that the requirements defined in Chapter 7 of these Rules are properly implemented based on the information gathered in accordance with in the preceding item, the ISMAP Operations Support Organization will confirm with the ISMAP Operations Committee and request the Registrant to perform re-Auditing as defined in Chapter 17 of these rules.
- 16. 5 If the ISMAP Operations Committee requests re-Auditing based on 13.9 of these Rules, the ISMAP Operations Support Organization will use form “Form 2-14 Request for Re-Auditing” to notify the Registrant of the sections requiring re-Auditing.
- 16. 6 If a Registrant receives a request for re-Auditing, the Registrant shall implement measures that satisfy the conditions for lifting the suspension regarding the applicable section and undergo re-Auditing of such section by the date stated in the notice. The Registrant shall then submit the Statement and Assessment Report in regards to the relevant section together with “Form 2-9 Application for Reinstatement of Cloud Service Registration” to the ISMAP Operations Committee through the ISMAP Operations Support Organization.
- 16. 7 If the ISMAP Operations Support Organization is able to confirm that the requirements defined in 13.9 of these Rules are being properly implemented based on the information gathered in accordance

with the previous two clauses, it will notify the Registrant, and will also report to the ISMAP Operations Committee to complete the re-Auditing process.

16. 8 The ISMAP Operations Support Organization will announce in the ISMAP-LIU Cloud Service List that the cloud service is in the process of being re-audited until the re-audit process is completed.

Chapter 17 Re-Application

17. 1 The provisions of Chapters 3 to 11 of these Rules shall apply mutatis mutandis to the procedures for re-application required under the provisions of 15.2(5) and 16.4.

Chapter 18 Deletion of Registration

18. 1 If any of the following applies, the Registrant must submit “Form 2-15 Notice of Withdrawal of Registration” to the ISMAP Operations Committee through the ISMAP Operations Support Organization without delay.
 - (1) If the provision of the applicable service is terminated due to the termination of operation of the registered service.
 - (2) If it is judged that the registered service cannot maintain its registration.
18. 2 The ISMAP Operations Committee will delete the service from the ISMAP-LIU Cloud Service List if any of the following apply.
 - (1) If an application for renewal is not made before expiration of the registration.
 - (2) If a Registrant submits a Notice of Withdrawal of Registration.
 - (3) If a Registrant is requested to re-apply as defined in Chapter 17 of these Rules.
 - (4) If a Registrant fails to respond to the request from the ISMAP Operations Committee and the ISMAP Operations Support Organization specified in these Rules without a justifiable reason.
 - (5) If one year has passed since the occurrence of the incident specified in 13.5 and it is judged that the problem leading to suspension cannot be resolved.
 - (6) If it is clear that a Registrant does not meet the requirements stipulated in Chapter 7 of these Rules.
18. 3 If any of the preceding items (3) to (6) apply, the ISMAP Operations Committee will use “Form 2-16 Request for Re-Application” to notify the Registrant to that effect.

Chapter 19 Appeals Related to Registration

19. 1 An Applicant or Registrant who has an objection related to Service Registration procedures can use “Form 2-17 Appeals Form” to submit an appeal to the ISMAP Operations Committee through the ISMAP Operations Support Organization.
19. 2 Upon receipt of the Appeals Form as described in the preceding clause, the ISMAP Operations Committee will use “Form 2-18 Response to Appeals Form” to reply to the party making the appeal.

Supplementary Provisions (enacted November 1, 2022)
(Enactment Date)

These rules are enacted from November 1, 2022.

(Exceptions at Time of Program Launch)

- 1 For the time being after the enactment of this program, the provision of Impact Evaluation Results to the Applicant in Prior Application for ISMAP-LIU and the publication of the number of government agencies, etc., using the service will be limited to national administrative agencies specified in the Basic Act on Cybersecurity.
- 2 In the case of a Prior Application made within one year from the enactment of these Rules, if the operations and information handled by the service for which the application is made do not fall under the List of Target Operations, the Applicant must obtain the Impact Evaluation Results from two or more government agencies.
- 3 Regarding the handling of Supplementary Provision 2, if it is confirmed that there is no problem in the operation of this program (including systems) after one year from the enactment of these Rules, consideration will be given to removing requirement on the services that do not fall under the List of Target Operations to obtain Impact Evaluation Results from two or more government agencies.

Appended Table 1 Application Submission Method

Method specified by the ISMAP Operations Support Organization

Form 1-1 Prior Application Form

Form 1-2 Sheet for Evaluating the Impact of Operations and Information Related to the Use of SaaS

Form 1-3 Review Report on Prior Application

Form 1- 4 Notice of Results for Prior Application

Form 1- 5 Appeals Related to Prior Application

Form 1- 6 Written Response to Appeals Related to Prior Application

Form 2-1 Statement

Form 2-2 Written Representation

Form 2-3 Internal Auditing Report

Form 2-4 Registration Application Form

Form 2-5 Review Report

Form 2-6 Registration Notification

Form 2-7 Notice of Results

Form 2-8 Information Security Incident Report

Form 2-9 Application for Reinstatement of Cloud Service Registration

Form 2-10 Significant Control Changes Notification

Form 2-11 ISMAP-LIU Cloud Service List Registered Content Change Notification

Form 2-12 Notice of Monitoring

Form 2-13 Notice of Monitoring Results

Form 2-14 Request for Re-Auditing

Form 2-15 Notice of Withdrawal of Registration

Form 2-16 Request for Re-Application

Form 2-17 Appeals Form

Form 2-18 Response to Appeals Form

Appendix 1 Criteria for Evaluating the Impact of Operations and Information Related to the Use of SaaS

Appendix 2 Internal Auditing Requirements