



Elite Telecom Operator Certification Body (ETOC) Review Rules

FY2024 Edition

Elite Telecom Operator Certification Body
(ETOC)

1 General

1.1 Objective

1.1.1 The objective of these rules is to contribute to the implementation of fair certification by stipulating matters related to the evaluation and certification in the Elite Telecom Operator Certification System (ETOC).

1.2 Scope.

1.2.1 These rules do not exceed the scope of the evaluation and certification business of telecom operators by the Elite Telecom Operator Certification Body (the Body).

2 Registration in the Telecom Operator Certification System

2.1 Registration

2.1.1 The Body shall receive applications for review from organizations that wish to be certified. Upon deeming that an applicant satisfies the criteria specified separately by the Body (hereinafter referred to as the "review criteria"), the Body shall register the applicant in the registry as a registrant.

2.1.2 The Body registers in the registry the registration number, registration date, the name of the registrant, the location of the registrant, the criteria applied and other information necessary for management by the Body.

2.1.3 The Body shall make public the main information in the registry. The same applies when there is a change in registration, cancellation or temporary suspension thereof.

2.2 Registration certificate

2.2.1 The Body shall issue an Elite Telecom Operator Certification registration certificate (hereinafter referred to as "registration certificate") and a certification registration mark (hereinafter referred to as "certification mark") to the registrant.

2.2.2 The validity period of a registration certificate issued on the basis of a registration review and renewal review shall be one (1) year from the date of registration decision (hereinafter referred to as "date of registration").

2.3 Permission to use the mark of registration

2.3.1 The Body shall separately stipulate bylaws concerning permission to use the registration certificate and the certification mark.

2.3.2 The Body grants the registrant the permission to use the registration certificate and the certification mark in accordance with these rules.

2.3.3 The registrant may use the registration certificate and the

certification mark on its website, documentation, etc. in accordance with these rules.

2.4 Permission for representation of registration status

2.4.1 The registrant may refer to and represent the status of the registered certification, etc. in documents or on the website, etc., in accordance with these rules.

2.4.2 When referring to or representing the status of the registered certification in documents or on the website in accordance with these rules, the registrant may indicate the validity of the representation by providing a link to the Body's website or other means.

2.4.3 The registrant may authorize a business operator who installs terminal transmission facilities directly connected to its telephone service (hereinafter referred to as "line operator") to refer to or represent the certification document owned by the registrant or the status of registration certification on the website only with the prior written consent of the Body. The registrant shall take the necessary measures to ensure that the line operator complies with these rules and other regulations of the Body.

2.5 Maintenance of registration

2.5.1 To maintain its registration, the registrant must undergo a renewal or extraordinary review by the Body in accordance with these rules.

2.5.2 When a major change occurs in the registered contents, the registrant shall undergo an extraordinary review by the Body according to the contents and degree of the change.

2.5.3 In the event that the Body receives a written complaint from an external party regarding matters certified to the registrant, or that the Body confirms that an event has occurred which may have a significant impact on this certification system, the Body shall refer the matter to the registrant and, if deemed necessary after studying that matter, request the registrant to undergo an extraordinary review.

2.6 Continuation of registration

2.6.1 The registrant must undergo a renewal review to continue its registration after the expiration of the registration certificate.

2.6.2 If the renewal review is completed prior to the expiration date of the registration certificate, the Body will issue a new registration certificate based on the expiration date of the then valid registration certificate.

2.6.3 If the renewal review is not completed before the expiration date of

the registration certificate, the registration will be temporarily suspended and the registration for the suspended period will become invalid.

2.6.4 If the renewal review is completed within six (6) months from the time when the registration was temporarily suspended, the temporarily suspended registration is made valid again and the Body shall issue a new registration certificate. In this case, the expiration date of the new registration certificate will be based on the expiration date of the previous registration certificate.

2.7 Denial of registration

2.7.1 If an applicant falls under any of the following conditions, the Body shall deny registration and notify the applicant of the review results. In such a case, the review fee paid by the applicant to the Body shall not be refunded.

2.7.1.1 When the applicant does not meet the review criteria

2.7.1.2 When the applicant does not agree with the rules and regulations of the Body or the review based on these rules and regulations

2.7.1.3 When impartiality cannot be maintained between the applicant and the Body, or when there is an unacceptable conflict of interest

2.7.1.4 When it is found that the applicant has intentionally provided false explanations

2.7.1.5 When the Body is unable to complete the review

2.7.1.6 When it is confirmed that the applicant or its representatives, officers, directors, effective controllers, or major shareholders, executives, or related parties (hereinafter referred to as "the applicant, etc.") have conducted business activities that are not socially acceptable, such as seriously violating laws and regulations

2.7.1.7 In addition to the preceding items, when it is clearly inappropriate to grant registration to the applicant in light of the objective of the Elite Telecom Operator Certification System (ETOC), such as when the applicant, etc. is found to be in violation of laws and regulations

2.8 Cancellation of registration

2.8.1 If a registrant falls under any of the following conditions, the Body shall cancel the registration and notify the registrant of such cancellation.

2.8.1.1 When the applicant does not undergo a renewal review or an

extraordinary review

2.8.1.2 When the Body deems it appropriate to cancel the registration because repeated or serious nonconformities are found during the registration review, renewal review, or extraordinary review

2.8.1.3 When it is found that the registrant has intentionally provided false explanations during the registration review, renewal review or extraordinary review

2.8.1.4 When the requirements in the criteria have changed and the registrant is unable to comply with the changed requirements

2.8.1.5 When the registrant refers to the certificate inaccurately or uses the registration certificate and certification mark in a misleading way. Or when the registrant does not observe the rules regarding these matters.

2.8.1.6 When the registrant has stopped the activities subject to registration for a long period of time

2.8.1.7 When it is confirmed that the registrant or its representatives, officers, directors, effective controllers, or major shareholders, executives, or related parties (hereinafter referred to as "the registrant, etc.") have conducted business activities that are not socially acceptable, such as seriously violating laws and regulations

2.8.1.8 When the registrant does not pay the review fee or pay other specified expenses

2.8.1.9 In addition to the preceding items, when it is clearly inappropriate to maintain the registrant's registration in light of the objective of the Elite Telecom Operator Certification System (ETOC), such as when the registrant, etc. is found to be in violation of laws and regulations

2.8.2 Upon receiving a request for cancellation of registration from a registrant, the Body shall cancel the registration and notify the registrant of the cancellation.

2.9 Temporary suspension of registration

2.9.1 If a registrant falls under any of the following conditions, the Body shall temporarily suspend the registration and notify the registrant to that effect.

2.9.1.1 When the Body grants a deferment of cancellation of registration

2.9.1.2 When the Body receives a request from a registrant for temporary suspension

2.9.2 If it is confirmed that the issue that led to the suspension has been resolved before the deadline set by the Body, the Body shall lift the temporary suspension and reinstate the registration.

3 Review

3.1 General

3.1.1 When the applicant submits the application form for review together with the documents that show that the applicant meets the review criteria, and when payment of the review fee has been confirmed, the Body shall start the review.

3.1.2 the Body shall confirm the applicant's compliance with laws and regulations, the status of voluntary steps the applicant has taken to ensure the proper use of telecommunication numbers and to prevent inappropriate use, facts about any incidents with a significant impact on society, and the applicant's authenticity and social credibility, etc., at present or in the past by using the declarations of the applicant, etc. or registrant, etc., by making inquiries to relevant external databases, and by using other information gathering methods.

3.1.3 If the Body determines that additional credentials are required or that an additional explanation is required, the applicant shall comply promptly.

3.1.4 If, through the reasonable information gathering by the Body, the Body deems that the applicant is unsuitable for certification, it may decide not to grant certification.

3.1.5 After conducting a reasonable review, the Body shall notify the registrant of the review results. In the notice, the details of the review results, such as the reasons for registration or non-registration, shall not be disclosed.

3.1.6 The registrant shall maintain conformity with the review criteria even after registration. If any non-conformity to the review criteria is found, the registrant shall promptly take corrective actions to bring itself into conformity with the review criteria.

3.2 Registration review

3.2.1 The Body shall verify the applicant's authenticity and social credibility, as well as conformity to the review criteria.

3.2.2 The Body shall hold a committee meeting stipulated separately and determine whether registration can be granted or denied.

3.2.3 As a result of the review, the Body shall notify the applicant of

whether the registration is granted or denied.

3.3 Renewal review

3.3.1 In the renewal review, the Body shall verify the registrant's continued conformity to the review criteria and the validity of the registration, and decide whether or not the registration can be renewed.

3.3.2 The renewal review must be completed at least one (1) month prior to the expiration date of the registration certificate.

3.4 Extraordinary review

3.4.1 An extraordinary review is conducted at the discretion of the Body from time to time. The registrant shall submit to an extraordinary review.

3.4.2 The Body shall verify the registrant's conformity to the review criteria through an extraordinary review. If the Body identifies nonconformities to the review criteria or an inappropriate situation, the Body shall notify the registrant of the nonconformities or inappropriate situation.

3.5 Measures taken for nonconformities or inappropriate situation

3.5.1 When nonconformities are identified during a registration review, renewal review or extraordinary review, the registrant shall implement corrective or remedial actions. In the case of major nonconformities, the registrant shall implement such actions promptly and have them confirmed by the Body, in principle, prior to the expiration date of the registration certificate. For minor nonconformities, the registrant shall prepare a plan for corrective or remedial actions and have it confirmed by the Body, in principle, prior to the expiration date of the registration certificate.

3.6 Other

4 Applicant's agreement

4.1 The applicant shall agree that information that identifies the applicant and information related to its registration may be made public on the Body's website, etc. in the following cases:

4.1.1 In the case where the applicant is registered

4.1.2 In the case where the registration is cancelled

4.1.3 In the case where the registration is temporarily suspended

4.1.4 In the case where the temporary suspension of the registration is lifted

4.2 The applicant shall agree that the Body may notify other registrants of information that identifies the applicant and information related to its

registration in the following cases

- 4.2.1 In the case where the applicant is registered
 - 4.2.2 In the case where the registration is cancelled
 - 4.2.3 In the case where the registration is temporarily suspended
 - 4.2.4 In the case where the temporary suspension of the registration is lifted
 - 4.3 The applicant shall agree that the applicant's authenticity or social credibility may be verified to a reasonable extent.
 - 4.4 The applicant shall agree that personal information of the applicant, etc. may be used for the following purposes. The Body may provide such personal information to third parties for the following purposes.
 - 4.4.1 To conduct a review, such as to verify the applicant's authenticity and social credibility
 - 4.4.2 To respond to inquiries or consultations
 - 4.4.3 To inform the public about the Body's business
 - 4.5 The applicant shall obtain consent from the parties concerned to the applicant's provision of personal information to the Body, and the Body's use of such personal information for the purposes described in the preceding paragraph.
 - 4.6 The applicant shall agree that, regardless of the result of the certification review, the reason for it will not be disclosed.
- 5 Fees and expenses
- 5.1 In any of the following cases, the Body will charge a fee as separately stipulated.
 - 5.1.1 When conducting a review
 - 5.1.2 When reissuing a registration certificate or certification mark
 - 5.2 When the Body conducts an on-site review, it may charge travel expenses and other expenses as separately stipulated.
- 6 Miscellaneous rules
- 6.1 Provision of information
 - 6.1.1 The registrant shall provide sufficient and accurate information deemed necessary by the Body in connection with the certification review.
 - 6.2 Confidentiality
 - 6.2.1 The Body shall consider any information obtained or generated in the course of conducting a certification review, except for the following information, to be confidential information and shall not disclose it to a third party without the registrant's written consent
 - 6.2.1.1 Information to be disclosed based on the applicant's request to the Body

6.2.1.2 Information already made public by the registrant

6.2.1.3 Information of the registrant to be disclosed or displayed in accordance with the rules set forth by the Body.

6.2.2 Confirmation of the items specified in 3.1.2 shall be performed by a person (Reliability Corroborator) appointed in accordance with the Body's internal rules. In addition, the Body shall strictly control the individual information obtained through such confirmation so that no one other than the Reliability Corroborator may obtain access to such information.

6.2.3 However, if it is required by law to provide the information specified in 3.1.2 to outside parties, such information shall be provided within the scope of legal provisions. The Body and the Reliability Corroborator shall handle such confidential information strictly so that no one other than the Reliability Corroborator may obtain access to such information.

6.3 Retention of ownership

6.3.1 The Body retains ownership of the registration documents and images of the mark issued by the Body to the registrant.

6.4 Objections and complaints

6.4.1 If the applicant or registrant has objections or complaints about the review conducted under these rules or about the results thereof, it may file such objections or complaints within two (2) weeks from the date of notification by the Body.

6.4.2 When the Body receives objections or complaints, the committee that conduct reviews shall confirm and review the contents of the objections. If the committee confirms that the actions or judgments of the Body have violated or deviated from its rules or review criteria, it may request the President to rectify the situation, and also request the Auditors to confirm the rectification.

6.5 Revision

6.5.1 These rules shall be revised by the President based on the opinions of a committee overseeing the management of the Body stipulated separately.

7 Supplementary provision

7.1 These rules will come into effect on November 28, 2024.