

RSP Compliance Process
Version 1.1
30 May 2017

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1 Introduction

1.1 Overview

This document provides a description of the process and procedures that MUST be followed to declare a product, platform or service to be compliant with the GSMA requirements and technical specifications defined in SGP.21 [1] and SGP.22 [2].

1.2 Scope

The aim of this document is to define a common per product type framework within which an RSP product's compliance declaration can be achieved.

1.3 Intended Audience

Technical experts and product approval experts working within operators, eUICC manufacturers, Device manufacturers, standards organisations, network infrastructure vendors, service providers, test industry and other industry organisations.

1.4 Definition of Terms

Term	Description
Alternative SM-DS	SM-DS used in cascade mode with a Root SM-DS to redirect Event Registration from a SM-DP+ to the Root SM-DS.
Certificate (Public Key)	As defined in RFC.5280 [6] or GlobalPlatform specifications • Identifies its issuing certification authority • Names or identifies the subscriber of the certificate • Contains the subscriber's public key • Identifies its operational period • Is digitally signed by the issuing certification authority.
Device	User equipment used in conjunction with an eUICC to connect to a mobile network. E.g. a tablet, wearable, smartphone or handset.
eUICC	A removable or non-removable UICC which enables the remote and/or local management of profiles in a secure way. Note: The term originates from "embedded UICC
Evidence Check	The process where GSMA confirms the reception and validity of the Evidence Documentation received by the RSP Product Vendor.
Evidence Documentation	Portfolio of evidence conveying product compliance that is submitted to the GSMA for assessment.
Root SM-DS	A globally identified central access point for finding Events from one or more SM-DP+(s).
RSP Product Vendor	The manufacturer of the eUICC, Device or the provider of SM-DP+ (Subscription Manager Data Preparation) or SM-DS (Subscription Manager Data Services)

Term	Description
Subscription Manager Data Preparation+ (SM-DP+)	This role prepares profile packages, secures them with a profile protection key, stores profile protection keys in a secure manner and the protected profile packages in a profile package repository, and allocates the protected profile packages to specified EIDs. The SM-DP+ binds Protected Profile Packages to the respective EID (eUICC-ID) and securely downloads these bound profile packages to the LPA (Local Profile Assistant) of the respective eUICC.
Subscription Manager Discovery Server (SM-DS)	This is responsible for providing addresses of one or more SM-DP+(s) to a LDS, (Local Discovery Service)
Type Allocation Code	Initial eight-digit portion of the 15-digit IMEI

1.5 Abbreviations

Abbreviation	Description
EID	Embedded Universal Integrated Circuit Card Identification
eUICC	Embedded Universal Integrated Circuit Card
EUM	eUICC manufacturer
IMEI	International Mobile Equipment Identity
LDS	Local Discovery Service
LPA	Local Profile Assistant
PRD	Permanent Reference Document
RSP	Remote SIM Provisioning
SAS	GSMA Security Accreditation Scheme
SM-DP	Subscription Manager Data Preparation
SM-DS	Subscription Manager Data Services
TAC	Type Allocation Code
UICC	Universal Integrated Circuit Card

1.6 References

Ref	Document Number	Title
[1]	GSMA PRD SGP.21	RSP Architecture Specification v2. 1 or later
[2]	GSMA PRD SGP.22	RSP Technical Specification v2. 1 or later
[3]	RFC2119	“Key words for use in RFCs to Indicate Requirement Levels”, S. Bradner http://www.ietf.org/rfc/rfc2119.txt
[4]	GSMA PRD FS.04	Security Accreditation Scheme for UICC Production – Standard V8.0
[5]	GSMA PRD FS.08	GSMA SAS Standard for Subscription Manager Roles v3.0
[6]	RFC.5280	Internet X.509 PKI Certificate and CRL Profile
[7]	GSMA PRD SGP.23	RSP Test Specification v1.0 or later

1.7 Conventions

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in RFC2119 [3].

2 Compliance Process

The compliance process is a set of steps to be followed by an RSP Product Vendor willing to declare compliance against the RSP-relevant specifications. Upon accepted declaration, the product vendor will be issued a Certificate from a GSMA Certificate issuer, if required for the type of product declared.

The following steps SHALL be followed when a RSP Product Vendor wishes to declare a product, platform or service compliance against the RSP-relevant specifications.

1. **Submission**: The RSP Product Vendor SHALL supply the appropriate compliancy Evidence Documentation for the sought level of product compliance as described in the following sections.
2. **Evidence Check**: The GSMA SHALL confirm the receipt, validity of the Evidence Documentation received and thus whether or not compliancy has been achieved.
3. **Certificate Request**: The RSP Product Vendors MAY then request the required Certificate(s) from a GSMA appointed Certificate issuer.
4. **Request Validation**: The GSMA’s appointed Certificate issuer will check with the GSMA if the Certificate(s) can be issued to this particular RSP Product Vendor.
5. **Certificate Issuance**: Upon receipt of the GSMA vendor validation the appropriate Certificate(s) will be issued to the RSP Product Vendor.

Step 3, 4 and 5 are only applicable for eUICC and SM DP+ Product Vendors.

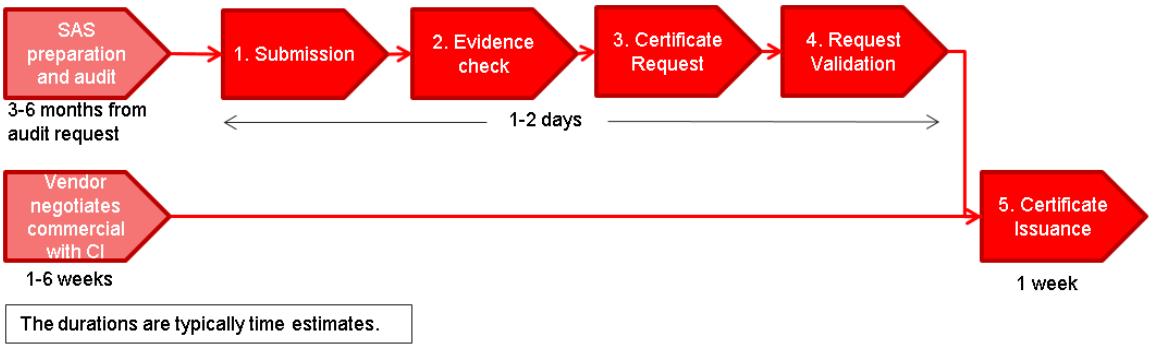

Figure 1: Compliance Process with time estimation

2.1 Transition to a new SGP.24 release

The allowed period for products to declare compliance against a specific SGP.24 version is until 110 calendar days after the publication of the subsequent version.

3 Compliance Level

The RSP compliance is a compliance process for RSP Products coming to market before the availability of specific/dedicated means to declare compliance against SGP.21[1] and SGP.22 [2].

This section contains a description of the details required to submit a declaration of a product claiming RSP Compliance against the RSP-relevant specifications.

There are 3 types of RSP products that can be declared for RSP Compliance; these are the Device, the eUICC, and the SM-DP+ (Subscription Manager Data Preparation).

3.1 Device

3.1.1 Functional compliance

The functional compliance of RSP Device products will be declared by submitting a description of their own tests executed and /or proof of having executed the SGP.23 [7] test cases by any means available.This will need to be stated in the Device self declaration form as described in Annex A.2.

As a RSP Device does not obtain its own digital Certificate from a GSMA appointed Certificate Issuer, the self declaration form shall be filled with the TAC. The TAC is the Device reference that is going to be used in the short term by a SM-DP+ in order to identify a Device model.

3.2 eUICC

3.2.1 Functional compliance

The functional compliance of RSP eUICC products will be declared by submitting a description of their own tests executed and /or proof of having executed the SGP.23 [7] test cases by any means available.This will need to be stated in the eUICC self declaration form as described in Annex A.3.

3.2.2 Security validation

The security validation of RSP eUICC products will be declared by submitting the eUICC self declaration form as described in Annex A.3.

3.2.3 eUICC Manufacturing Site Security

The eUICC manufacturing site security compliance will be declared by submitting the Security Accreditation Scheme for UICC Production (SAS-UP) [4] Certificate number. The scope of certification MUST include processing of data for subscription management. More information about SAS is available at www.gsma.com/sas.

3.3 SM-DP+

3.3.1 Functional compliance

The functional compliance of RSP SM-DP+ products will be declared by submitting a description of their own tests executed and /or proof of having executed the SGP.23 [7] test

cases by any means available.This will need to be stated in the SM-DP+ self declaration form as described in Annex A.4.

3.3.2 SM-DP+ Operation or implementation Security

The SM-DP+ operation security compliance will be declared by submitting the Security Accreditation Scheme for Subscription Manager Roles (SAS-SM) [5] Certificate number. The scope of certification MUST include SM-DP+ functions.. More information about SAS is available at www.gsma.com/sas. Interim Compliance Level

3.4 Alternative SM-DS

3.4.1 Functional compliance

The functional compliance of RSP Alternative SM-DS products will be declared by submitting a description of their own tests executed and /or proof of having executed the SGP.23 [7] test cases by any means available.This will need to be stated in the Alternative SM-DS self declaration form as described in Annex A.5.

3.4.2 Security validation

The security validation of RSP Alternative SM-DS products will be declared by providing the self declaration form as described in Annex A.5 indicating a valid SAS SM site where this Alternative SM-DS is also hosted.

Annex A RSP Compliance - Self Declaration

This section contains two type of documents:

- The organisation information form (section A.1)
- Dedicated forms for self-declaration (sections A2, A3, A4 and A5).

The above mentioned documents needs to be issued by the RSP Product Vendor, or by the person responsible for placing the product to the market. The RSP Compliance - Self Declaration forms can be found in Annex A:



Annex A - RSP Compliance - Self Declaration Forms v1.1.zip

All the forms in this section need to be submitted to RSPTeam@gsma.com

A.1 Organisation Information Form

This form is a generic form to identify the type of organisation and to identify the person in charge of providing this information to the GSMA.

This form needs to be completed by all the RSP Product Vendors together with the appropriate self-declaration form.

A.2 Device Self Declaration Form

This form is the template to be completed by the Device manufacturer when declaring compliance with the RSP-relevant specifications.

This form needs to be completed by Device manufacturers only.

A.3 eUICC Self Declaration Form

This form is the template to be completed by the EUM (eUICC manufacturer) when declaring compliance with the RSP-relevant specifications.

This form needs to be completed by EUMs only.

A.4 SM-DP+ Self Declaration Form

This form is the template to be completed by the SM-DP+ provider when declaring compliance with the RSP-relevant specifications.

This form needs to be completed by SM-DP+ providers only.

A.5 Alternative SM-DS Self Declaration Form

This form is the template to be completed by the Alternative SM-DS provider when declaring compliance with the RSP-relevant specifications.

This form needs to be completed by Alternative SM-DS providers only.

Annex B RSP Compliance Graphical representation (Informative)

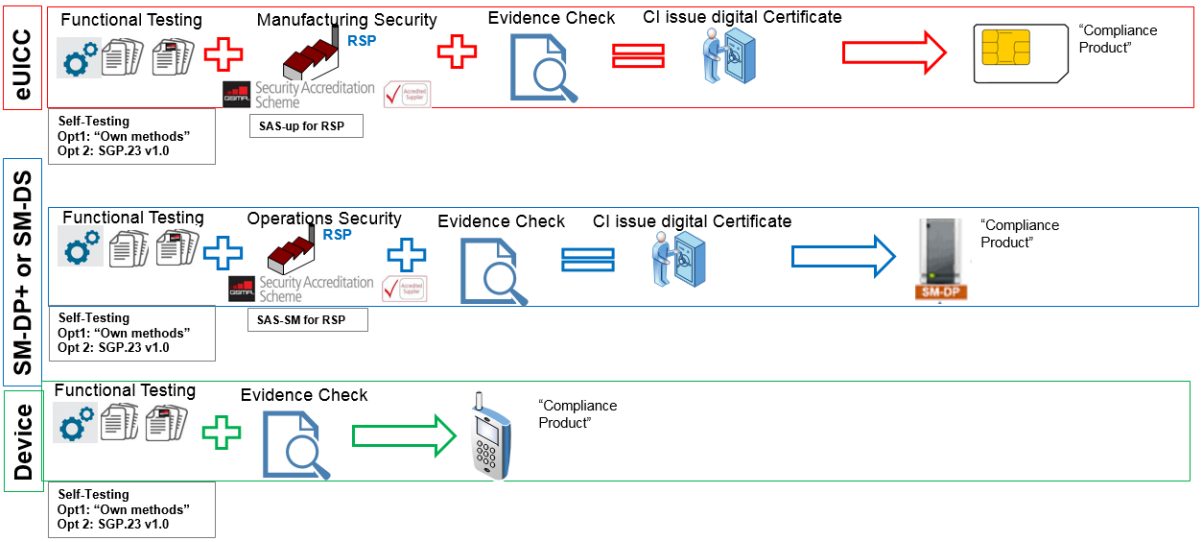

Figure 2: RSP Compliance Graphical representation

Annex C Summary of Documentation for each Product Compliance Levels (Informative)

C.1 RSP Compliance Level Documentation

	Device	eUICC	SM-DP+	Alternative SM-DS
Organisation Information	Form in A.1	Form in A.1	Form in A.1	Form in A.1
Function Compliance	Form in A.2	Form in A.3	Form in A.4	Form in A.5
eUICC Manufacturing or site Security	NA	GSMA SAS-UP Certificate number for RSP	NA	NA
SM-DP+ Operation or implementation Security	NA	NA	GSMA SAS-UP Certificate number for RSP	GSMA SAS-UP Certificate number for RSP

All the above documentation need to be submitted to RSPTeam@gsma.com

Annex D E2E Test Cases (Informative)

The following test cases should be used by any product Vendor to declare functional compliance as part of the Functional Product Information in the self-declaration forms. The E2E Test Cases can be found in Annex D:



Annex D - E2E Test Cases v1.1.zip

Annex E Document Management

E.1 Document History

Version	Date	Brief Description of Change	Approval Authority	Editor / Company
V1.0	6th Feb 2017	Initial version of SGP.24 V1.0 RSP Compliance Products	RSPLEN/PSMC	Gloria Trujillo, GSMA
V1.1	30th May 2017	Minor revision to SGP.24 V1.1 RSP Compliance Products	RSPLEN	Gloria Trujillo, GSMA

Other Information

Type	Description
Document Owner	Gloria Trujillo
Editor / Company	GSMA

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Your comments or suggestions & questions are always welcome.