RSP Compliance Process

Version 2.0

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Table of Contents

1 Introduction

1.1 Overview

This document describes the framework for Product to demonstrate and declare compliance with the GSMA Consumer RSP Architecture and Technical PRDs, SGP.21 [1] and SGP.22 [2].

This version of SGP.24, including its associated annexes, supersedes previous versions, as detailed in Annex C.

1.2 Scope

The requirements within this document are applicable to the following Product:

1. Devices supporting an LPA in the device (LPAd) or LPA in the eUICC (LPAe)
2. eUICC, with or without an LPA
3. SM-DP+ and SM-DS providing a Subscription Management service

1.3 Intended Audience

Consumer RSP product vendors, service providers, test and certification bodies, and other industry organisations working in the area of RSP/eSIM.

1.4 Definition of Terms

Term	Description
Digital Certificate (Public Key)	As defined in RFC.5280 [9] 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.
Evidence Documentation	Evidence of product compliance to the requirements detailed within this document.
RSP Product	eUICC, Device, SM-DP+ (Subscription Manager Data Preparation) or SM-DS (Subscription Manager Discovery Services) products.
RSP Product Vendor	The manufacturer or service provider of an RSP Product
Type Allocation Code	Initial eight-digit portion of the 15-digit IMEI

1.5 Abbreviations

Abbreviation	Description
EID	eUICC identifier
eUICC	Embedded UICC
EUM	eUICC manufacturer
IMEI	International Mobile Equipment Identity
LPA	Local Profile Assistant
PRD	Permanent Reference Document

Abbreviation	Description
RSP	Remote SIM Provisioning
SAS	GSMA Security Accreditation Scheme
SAS-SM	SAS for Subscription Management
SAS-UP	SAS for UICC Production
SM-DP	Subscription Manager Data Preparation
SM-DS	Subscription Manager Data Services
TAC	Type Allocation Code

1.6   References

Refer to the RSP Certification Applicability table in Annex C of this document to identify the valid versions(s)

Ref	Document Number	Title
[1]	GSMA PRD SGP.21	RSP Architecture Specification
[2]	GSMA PRD SGP.22	RSP Technical Specification
[3]	GSMA PRD SGP.23	RSP Test Specification
[4]	GSMA PRD SGP.25	eUICC for Consumer Devices Protection Profile
[5]	GSMA PRD FS.04	Security Accreditation Scheme for UICC Production – Standard
[6]	GSMA PRD FS.08	GSMA SAS Standard for Subscription Manager Roles
[7]	GSMA PRD SGP.14	GSMA eUICC PKI Certificate Policy
[8]	RFC2119	"Key words for use in RFCs to Indicate Requirement Levels", S. Bradner http://www.ietf.org/rfc/rfc2119.txt
[9]	RFC.5280	Internet X.509 PKI Certificate and CRL Profile

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 [8].

2   Compliance Overview

The Consumer RSP architecture PRD, SGP.21 [1], specifies security and functional requirements for RSP Products, developed into a technical description by SGP.22 [2]. SGP.22 [2] is the technical reference for the compliance requirements within this document.

Product compliance is essential in proving correct functional interoperability within the Consumer RSP network. This document provides the framework within which:

- An eUICC, SM-DP+ or SM-DS can demonstrate functional and security compliance to the Consumer RSP requirements.
- An RSP Device can demonstrate functional compliance to the Consumer RSP requirements.

Details are provided on the expected means to demonstrate compliance, together with declaration templates to be used by RSP Product Vendors.

Annex C of this document identifies all current requirements and specification versions, and should be referenced when planning product compliance.

3   Compliance Declarations

The compliance declaration templates are in Annex A of this document. A compliance declaration can be made once all compliance requirements have been met, and shall comprise:

- Completed template Annex A.1, the Product Declaration, which also provides details of the organisation responsible for the declaration,

Plus:

- Completed template Annex A.2, A.3, A.4 or A.5 providing full compliance details of the declared RSP Product.

Once completed in full, the signed and dated compliance declaration is submitted to RSPCompliance@gsma.com for verification.

The GSMA turnaround time for verifying compliance is 2 working days.

Product type	Product Declaration	Details of Security Compliance	Details of Functional Compliance
Device	Annex A.1	n/a	Annex A.2
eUICC	Annex A.1	Annex A.3	Annex A.3
SM-DP+	Annex A.1	Annex A.4	Annex A.4
Alt SM-DS	Annex A.1	Annex A.5	Annex A.5

Table 1: Compliance declaration templates

4   Compliance Requirements

This section details the Consumer RSP compliance requirements and their applicability to RSP Product.

4.1   Site Security Requirements

All eUICC production sites and all SM-DP+ and SM-DS hosting sites used in the RSP ecosystem must hold a valid site security accreditation for the entire time they are being used for eUICC production or SM hosting.

Accreditation is from the GSMA Security Accreditation Scheme (SAS). Further details can be found on the GSMA's SAS webpage.

The SAS-UP or SAS-SM certificate reference shall be included in the compliance declaration for an eUICC, SM-DP+ and SM-DS (Annexes A.3, A.4 and A.5).

Product type	SAS requirement		Compliance requirement
	Scheme	Required Scope	
Device	n/a	n/a	n/a
eUICC	SAS-UP	• Processing of data for subscription management • eUICC personalisation	Full or Provisional certification
SM-DP+	SAS-SM	• Data Centre Operations & Management • Data Preparation +	Full or Provisional certification
Alt SM-DS	SAS-SM	• Data Centre Operations & Management • Discovery Service	Full or Provisional certification

Table 2: Operational Security Compliance requirements per product type

4.2   Product Security Requirements (eUICCs only)

An eUICC specific Protection Profile, defined by PRD SGP.25 [4], is under development. In the interim the security compliance requirement is IC Platform Protection Profile PP-0084, certified by Common Criteria, and listed on the Common Criteria portal (www.commoncriteriaportal.org/products)

The Common Criteria certificate reference shall be included in the Annex A.3 details for the declared eUICC.

Product type	Product Security Requirement	Compliance requirement
eUICC	Security IC Platform Protection Profile with Augmentation Package Certification (PP-0084)	Certified and listed
	SGP.25 GSMA PP eUICC for Consumer Device	under development

Table 3: Product Security Compliance requirements

4.3   Functional Compliance Requirements

Functional compliance is a requirement for all RSP Products to assure correct operation. The test reference is the RSP Test Specification, SGP.23 [3], providing details of all applicable interface and procedural testing.

Each SGP.23 [3] test purpose can be mapped to a specific requirement in the RSP Technical Specification, SGP.22 [2]. Compliance to all tests, per RSP Product, is required to demonstrate product functional compliance to SGP.22 [2].

The permitted test methodologies are product dependent, either:

- Functional testing via industry partner certification schemes, or
- Functional testing via vendor implemented test methodologies referencing SGP.23 [3] tests.

4.3.1   Functional Compliance via Industry Partner Certification Schemes

RSP Compliance test programmes have been established by industry certification schemes GlobalPlatform, GCF and PTCRB. These provide the required means of test for eUICCs and Devices, referencing the SGP.23 [3] test requirements.

eUICC and devices are judged to have met the RSP functional compliance requirement if:

- They have tested their RSP functionality through either GCF or PTCRB,
- They can include a valid certification reference for the named Product in their Annex A.2 or Annex A.3 declaration.

Product	Functional test organisation	Compliance requirement (see Annex C for details)	Link to industry certification scheme
Device	GCF	GCF Certification including RSP	GCF
		GCF RSP Standalone certification	GCF
	PTCRB	PTCRB Certification including RSP	PTCRB
eUICC	GlobalPlatform, (including SIMalliance profile packages)	GP Product Qualification to: 'GSMA eUICC Consumer' and 'SIMalliance Interoperable Profile' test suites	GlobalPlatform
SM-DP+	n/a	Vendor specified test plan	
Alt SM-DS	n/a	Vendor specified test plan	

Table 4: Functional compliance via GSMA industry certification scheme partners

4.3.2   Functional Compliance via Vendor Implemented Test Plan

Permitted for Subscription Management products (SM-DP+ and SM-DS). The vendor specified test plans shall reference all SM-DP+/SM-DS tests from the RSP test specification, SGP.23 [3]. Annex A.4 and A.5 provide further details.

Product type	Vendor specified test plan permitted	Reference
Device	No	n/a
eUICC	No	n/a
SM-DP+	Yes	SGP.23
Alt SM-DS	Yes	SGP.23

Annex A   Declaration Templates

An RSP Product declaration consists of Annex A.1 plus either Annex A.2, A.3, A.4 or A.5, according to the product type. Refer to the SGP.24 zip file for the following Annex A templates:

- A.1 RSP Product Declaration
- A.2 Details of Declared Device
- A.3 Details of Declared eUICC
- A.4 Details of Declared SM-DP+
- A.4 Details of Declared SM-DS

Annex B   E2E Test Cases (Informative)

End to end test cases are recommended as supplementary testing to the RSP functional testing to further prove interoperability. Refer to the SGP.24 zip file for the E2E procedures and test template.

Annex C   RSP Certification Applicability Table (Normative)

This Annex, found in the SGP.24 zip file, identifies the status for compliance declarations of all Consumer RSP specifications and dependencies (active, planned, expired or deprecated) including:

- Security requirements,
- Functional requirements, including means of test.
- Currently recognised exemptions from compliance.

RSP Vendors and service providers/hosts are recommended to reference this table when planning product compliance.

Annex D   Document Management

D.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
V2.0	15th Feb 2018	Introduction of functional testing via industry certification schemes. Addition of IC based PP for eUICC (PP-0084) as an interim PP (hardware only) whilst the SGP.25 PP is under development. Addition of an RSP Certification Applicability table as the means to manage compliance requirements and spec dependencies. Restructure of document to be requirements centric.	RSPLEN	Valerie Townsend, GSMA

Other Information

Type	Description
Document Owner	Valerie Townsend
Editor / Company	GSMA

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Your comments, suggestions or questions are always welcome.