

GlobalPlatform Certification Body

OSIA Scheme

Evaluation Review Procedure Version 0.3

Release February 2023 Document Reference: GP_PRO_133

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1 Purpose and scope

1.1 Purpose

This procedure describes how Test Reports are generated by Product Vendor and submitted by customers to GlobalPlatform Certification Body (CB) are reviewed and how test issues are investigated

1.2 Scope

This procedure applies to test reports submitted by customers that apply for OSIA (Open Standards Identity API) functional scheme certification

2 Responsibilities

- Functional Scheme Owner:

- Conducts administrative review of the Test Report received from customers and investigates with the Process Owner the main issues or non-conformities identified
- Triggers Non-Conformance Investigation Assessment (NCIA) process related to 'fail' and 'inconclusive' tests and related invoicing fees
- Triggers NCIA fees invoicing
- Requests certification decision to the Process Owner
- · Updates the certification projects data base

- Process Owner:

• Supports the Functional Owner for Test Report issues investigation

- Technical Expert

• Investigates 'fail' and 'inconclusive' tests and, if necessary, generates the Conformance Assessment Report (CAR)

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3 Instructions

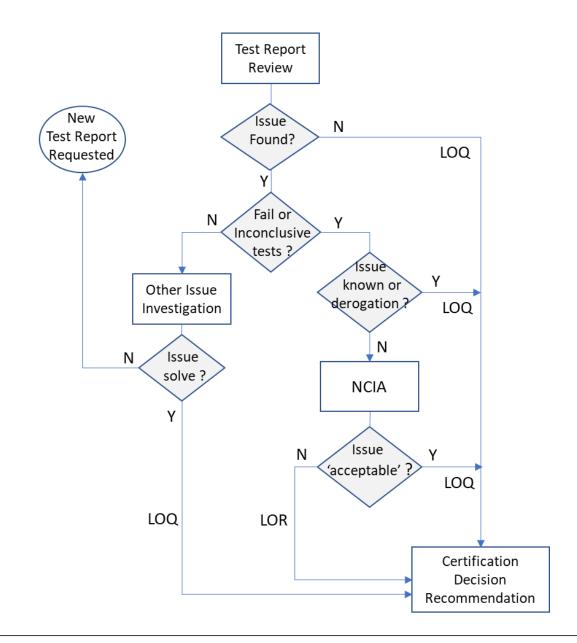
3.1 General

The Evaluation Review process goal is to assess whether a test report submitted by a customer is acceptable and does not contain any 'non-PASS' tests (fail or inconclusive).

A test report may be submitted following a product qualification request by a customer or after a nonconformity detected in the field of an already certified product. In this second case, the bellow process is applied using the QLA of the certification under scrutiny.

In case of nonconformity, a technical investigation and potentially a Non-Conformance Investigation Assessment (NCIA) is conducted.

Test Report Review Process Diagram



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3.2 Review of Test Report

- 1. The Functional Scheme Owner upon reception of a Test Report controls the following information:
 - a. The report is submitted within the 6 months maximum period after QLA (Qualification and Listing Agreement) reception
 - b. The Test Suite version used for the qualification is the current valid version
 - c. The number of tests listed in Annex B matches the number of tests indicated in the Test Results summary for each OSIA component
 - d. Test report test results are the following:
 - i. Pass / Fail / Inconclusive
- If none of the issues listed above is verified and if all test results are 'Pass' a recommendation to issue a Letter of Qualification (LOQ) is sent to the Process Owner for final decision
- 3. If an issue listed above is verified or if fail or inconclusive tests are indicated in the test report, the Functional Scheme Owner performs a report issue investigation (see 3.3 and 3.4)

3.3 'Fail' and 'inconclusive' test issue investigation ('non-PASS')

- a. Non-PASS test results indicated in the test report are investigated with the relevant technical expert
 - In case of justified fail or inconclusive tests (e.g. issue already known and accepted, derogation granted by OSIA, etc.), a recommendation to issue a Letter of Qualification (LOQ) is sent to the Process Owner for final decision
 - In case of non-justified fail or inconclusive tests, the Functional Scheme Owner triggers the Non-Conformance Investigation Assessment (NCIA) with the Technical Expert
- b. After a 1st assessment, the technical expert, issue a quotation for the investigation
- c. The Functional Scheme Owner sends the quotation to the customer for agreement
- d. After acceptation of the quotation, the technical expert performs in-depth analysis of the failed or inconclusive tests, to check if these 'non-PASS' test results can be acceptable from an interoperability point of view, and issue a Conformance Assessment Report (CAR)
- e. The Functional Scheme Owner submits the CAR to the customer
- f. If the Product Vendor does not accept the quotation or if further analysis has been accepted but demonstrates that the non-PASS test results are not

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acceptable, a recommendation to issue a Letter of Rejection (LOR) is sent to the Process Owner for final decision

- g. If the analysis demonstrates that the non-PASS test results are acceptable, a recommendation to issue a Letter of Qualification (LOQ) is sent to the Process Owner for final decision
- h. The CAR may mention a specific comment to be included in the LOQ, this comment shall be communicated to the Process Owner

3.4 Other test issues investigation:

- a. In case of issues identified in the test report, different from fail/Inconclusive tests, (e.g. wrong version of test suite used, etc.) the Functional Scheme Owner requests support from the Process Owner and/or from the Technical Expert to investigate the issue
- b. The Functional Scheme Owner contacts the customer and asks for complementary information to clarify the issue
- c. If a major issue is identified (e.g. wrong version of test suite used for testing), the Functional Scheme Owner requests the customer to resubmit the test report after having performed the relevant tests and issue a new test report
- If it happens that the issue is minor and can be fixed immediately, a recommendation to issue a Letter of Qualification (LOQ) is sent to the Process Owner for final decision

3.5 Certification decision Recommendation to the Process Owner

- 1 The Functional Scheme Owner sends an email to the Process Owner recommending the final certification decision that can be:
 - LOQ issuance (with or without comment)
 - LOR issuance
 - In the case of a product already deployed in the field after a nonconformity was detected, the decision resulting from the NCIA process may be to withdraw or to suspend the already posted product LOQ from GlobalPlatform website.
- 2 The following information are provided in the email:
 - The Test Report
 - The result of the controls performed during Test report review (see 3.2 -1)
 - The Emails of the technical expert if an investigation occurred
 - The Conformance Assessment Report (CAR) in case of NCIA process
 - A comment to be included in the LOQ if this has been indicated in the CAR

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- The recommendation for the certification decision

3.6 Update of certification projects Data base

The Functional Scheme Owner populates certification project information in the Data Base ('Product & SCO' tables) from Test Report and CAR information

3.6.1 Test Report

-	Test Report Type	'Test report'
-	Test plan key	Test Suite Name and Version
-	Test Report ID	Document Reference
-	Test Report Version	Document version
-	Product Vendor	Product Vendor's name
-	Test Session from	Test session start date
-	Test Session to	Test session end date
-	Test Report received	Test report reception date at secretariat
-	Test report acceptable	Flag to indicate that the test report is
		acceptable
-	Reviewer	Name of reviewer that issue decision
		recommendation

3.6.2 CAR

- Test Report Type	'CAR'
- Test Report ID	Document Reference
- Test Report Version	Document version
- Test Report received	CAR reception date at secretariat
- Test report acceptable flag	Flag to indicate that the test report is
	acceptable
- Reviewer	Name of Process Owner

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3.6.3 Database screens

Monitoring Product							
Product &	SCO						
ct SCO Admin SCO details	Invoice request Test report Test results Co	intacts					
Test Report Key	iew)	Test Report Id	1	Writer	~	Delete Test Report	
	32	Test Report Version					
Product Name C	onvego Join 8.10	Test Session from		Test Session to		Copy Test Report	
Product Version		Test Report received	0	Test Report entered		Summary	
Test Report Type		 Reviewer 	~				
Test Plan Key	V 🕜 C Display all TestPlanKey(s)	Test Report acceptable 🔲 👩 м	re details about test report revi	ew and acceptability		Show Test Plan	
Test Plan ICS Type		Pending 🔲 date	status		~	Expected	
Test Plan Version Text						Test Results	
Test Plan Version Nb.						-Verdict filter	
Laboratory		▼ Tool Supplier				PASS PASS	
Auditor				· · · · · · · · · · · · · · · · · · ·		₽ N/A	
More details		Tool Recognition Nb.		⊻ 0 ⊡		Compare & Review	
O about test tools	Last 5 reports	Tool Scope				Test Results	
						Show all Test	
						Report details	
						Output format —	
						C file	
						C report	
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3.7 Invoicing of NCIA fees

- 1. The Functional Scheme owner sends an email to GP Secretariat at Alliance Management to trigger NCIA fees invoicing to the customer.
- 2. The email contains the following information:
 - a. Qualification type (NCIA)
 - b. Certification Reference: XXXProductKeyXXX

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4 Forms and Records

- 4.1 Test Report Template
- 4.2 OSIA Compliance Document List
- 4.3 Non-Conformance Investigation Agreement
- 4.4 Conformance Assessment Report (CAR)
- 4.5 Data base records
- **4.6** Standard emails for recommendation regarding certification decision

OSIA Compliance Document List file Example

Active	Configuration name	Test suite	SCO section	Based on specs minimum mandatory	Release	Presence	Published	Deactivation date	Options to check	
Yes	OSIA Technical Specification		A.x.y		x.y.z	М				
		OSIA Enrollment test suite			x.y.z	М				
	Specifications, for information only									
-			A.x.y	TBD	x.y.z	0				
-										
-										
-										
-										
OSIA Enrollment OSIA PR OSIA UIN Generator OSIA ABIS OSIA Civil Registry OSIA CMS OSIA Third Party Services OSIA DCL_DS										

5 Attachments

None

6 Related Documents

None

Revision	Date	Paragraph	Summary of change	Authorized by
V0.1	Sept 13, 2022	All	Initial version of document	Gil Bernabeu 06/02/2023
V0.2	Oct, 17, 2022	4	Editorial changes / images	BL
V0.3	Feb, 1, 2023	-	No more comments	

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