

Approved Products
List (APL)
Application
Guidance
Document



FIPS 201 EVALUATION PROGRAM

April 8, 2022

Office of Government-wide Policy
Office of Technology Strategy
Identity Management Division
Washington, DC 2040

1. Overview

This document provides guidance and information necessary for completing the application process to have your physical access control system or solution listed on the FIPS 201 Evaluation Program Approved Products List (APL). This document's sections are specific to the solution and components being submitted for evaluation and approval. This document provides examples of how the application form is to be completed. For a blank application form, visit the idmanagement.gov web page or email FIPS201EP@GSA.gov to request a form.

Additional documents required for solutions are outlined in section 2 of this document. Section 3 collects the applicant's company-specific information, which is used for letter generation and publication of solution information on the APL. Section 4 contains information unique to the solution being submitted for evaluation. This section can be used for applications for new APL listings or upgrades to existing listings. For applicants who hold multiple APL listings, Section 4 should be repeated for each solution.

Please e-mail completed application document to FIPS201EP@GSA.GOV to submit your application.

2. Additional documentation

All solutions are required to have the documentation listed below that is associated with that solution. Because GSA retains documentation as part of the APL listing process, it is not necessary to provide this documentation with each upgrade submission. At times, the required documentation may be updated or new documentation may be required. When the application form is submitted, GSA will communicate any changes in the current documentation requirements. Companies submitting multiple solutions that share components should verify with GSA if any of the retained documentation can be applied to the multiple solutions.

- 2.1. Documentation of UL certifications (UL294, UL 1076, UL 1981)
- 2.2. Current FIPS 140-2 or FIPS 140-3 Certificate
- 2.3. Supply Chain Attestation Form (Provide link to IDM.gov site)
- 2.4. Reseller Agreement (Provide link to IDM.gov site)
- 2.5. Lab Evaluation Agreement
- 2.6. VPAT (508 compliance documentation)

3. Applicant Information

Reminder: This is a guidance document. Do not fill in the tables below. They are provided in this document for informational purposes only.

The tables shown below serve as the main information source about the company submitting the application. In addition to supplying company information, the applicant must list in the tables the primary and secondary points of contact (POCs) for the application process. The primary POC is the individual whom the signed APL letter is issued to and is the main person the FIPS 201 EP lab will interact with. If a company wants a different person to serve as the technical contact for the application process, the applicant should list that individual as the secondary POC.

3.1. Applicant Company Information:

Company Name	Omni Consumer Products
Address	4157 Cabot Street
City	Detroit
State	MI
Zip Code	84210
Company Website	http://omniconsumerproductscorporation.com/

3.2. Applicant Primary Contact Information:

First Name	Bob
Last Name	Morton
Title	Sr Product Manager
Address	4157 Cabot Street
City	Detroit
State	MI
Zip Code	84210
Phone Number	(313) 867 5309
Email Address	Raymond.Sellers@OCP.corp

3.3. Applicant Secondary Contact Information:

First Name	Alex
Last Name	Murphy
Title	QA Manager
Address	4157 Cabot Street
City	Detroit
State	MI
Zip Code	84210
Phone Number	(313) 567 5309
Email Address	Alex.Murphy@OCP.corp

4. Solution Information

4.1. Topology

All applicants must submit a topology diagram of their solution. Some differences occur in the topology of a solution, which changes how the system is connected and potentially configured. Although the overall functionality of each topology is identical, there are often differences in how particular solutions are built. There are currently four topology configurations, each applicant should choose the one that best represents their architecture. In the unlikely event no topology represents your solution, please email us to schedule a call..

- 13.01 - Solution has two distinct software applications for PACS Authorization and PKI Authentication (Validation Software).
- 13.02 - Solution has the same software for PACS Authorization and PKI Authentication (Validation Software)

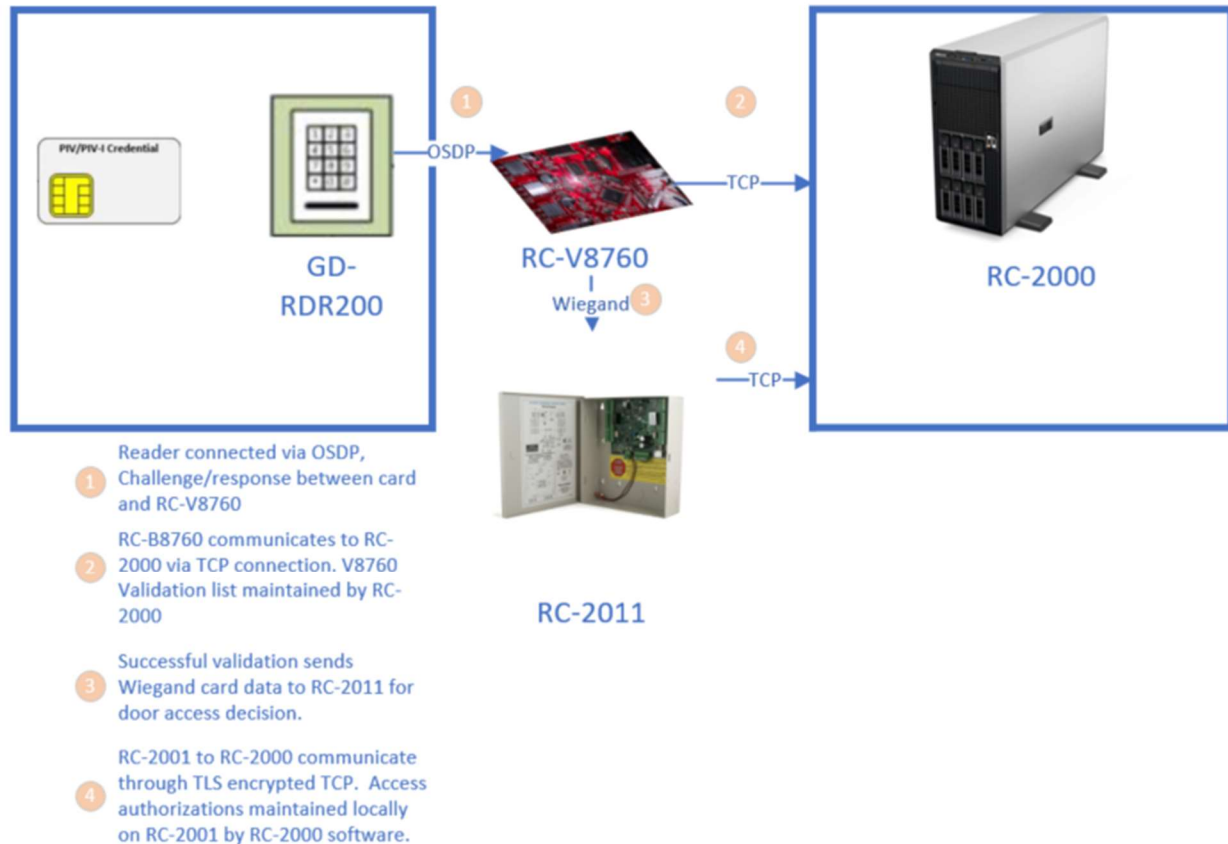
13.01 and 13.02 topologies: Every system must be categorized as one of these topologies. A system that can support both topologies would be considered two distinct solutions and would be granted APL listings for each topology.

- 14.02 - Solution contains mobile devices used in validating cards and providing mobile PACS reader access.
- 20.01 - Solution contains wireless locksets containing FICAM Readers connected wirelessly.

14.02 and 20.01 topologies: These are optional topologies. Solutions supporting mobile devices must also indicate in the topology diagram components and communications used in communicating with those devices. Because the 20.01 topology deals with PACS readers connected wirelessly to the PACS infrastructure, the submitted diagram must also indicate components and communications used with wireless PACS readers.

4.2. Topology Diagram

Below is an example of a topology diagram. The example shows a 13.01 system where the validation and authorization take place in two separate pieces of hardware. Topology diagrams should be submitted as part of the application and can be submitted as a separate document or within this document.



4.3. Cryptographic Information

Reminder: This is a guidance document. Do not fill in the table below. It is provided in this document for informational purposes only.

In the table shown below, provide information for each component that performs cryptographic nonces and signature verification in your solution, both for registration and time of access. If you are working with a lab to complete your FIPS 140-3 listing, please submit with the application form a letter of engagement or scope of work on the lab's letterhead. For additional modules, copy the table as many times as necessary.

Name of component	ED-209
Cryptographic operations	Nonce: <input type="checkbox"/> Sig Verification: <input type="checkbox"/> Encrypt: <input checked="" type="checkbox"/> Decrypt: <input type="checkbox"/>
Operating system name	Security Concepts
Operating system version	1.0
Processor type	Omni Core
Processor version	1.0
FIPS 140-2 /140-3 CMVP certificate number	123456789
Name of lab performing testing	https://csrc.nist.gov/groups/STM/testing_labs/

4.4. Equipment Table

4.4.1. Purpose

Reminder: This is a guidance document. Do not fill in the table below. It is provided in this document for informational purposes only.

In the table shown below, list the equipment the lab will use for APL testing and distinguish any exemplar equipment. Exemplar equipment is the most feature capable model of a series of equipment. Example: An exemplar for a reader device sold by the company could be a reader that contains a contact interface, and contactless interface, and a keypad. Other devices represented by this exemplar would have a subset of features. A contactless interface only reader could have the above mentioned as it's exemplar as it contains the same physical components as the exemplar, just less of them. It is preferable that the equipment be installed by the applicant either directly in the lab or assembled and shipped to the lab. Due to travel restrictions or other extraneous circumstances, the lab can provide remote connection to the solution provided by the applicant and perform minimal installation tasks at the lab's discretion. Once installed, the lab will verify all equipment before placing the solution into the testing queue. Equipment that is listed as an exemplar must be provided to the lab for testing.

4.4.2. Table Instructions

Use the guidance below to fill in each of the table columns.

- Qty - The quantity of the line item being provided to the lab for testing.
- Product Manufacturer - The manufacturer of the specific product; not the reseller.
- Manufacturer Part # - The product's part number as supplied by the manufacturer.
- Applicant is Reseller - Provide a "Yes" or "No" answer; if the applicant is the manufacturer of the product, the answer is "No."
- Applicant Part # - The part number the applicant uses to sell the product to customers; this part number will be listed on the APL letter.
- Description - A common description of the item; this information will be used in the APL letter.
- HW Version - The hardware version of the component, if applicable; if the application is for an upgrade, list the existing APL approved version in this column.
- SW/FW Version - The software or firmware version of the component, if applicable. If the application is for an upgrade, list the existing APL approved version in this column.
- APL # or NEW - If the application is for an upgrade, list the existing APL number; if the application is for a new product or product addition, list "NEW" for each new component.
- Exemplar Info:
 - Is exemplar (Is) or Has Exemplar (Has) -
 - **Is** - If the listed product is the exemplar, the product must then be provided to the lab for testing. List "Is" in this column.
 - **Has** - If the listed product has an exemplar and is not individually tested but is part of a series of products being tested by the exemplar, list "Has" in this column. This information will be used in the APL letter.
 - Exemplar Part # - Fill in this column only if the product has an exemplar and is part of a product series being tested by the exemplar
- Upgrade to:
 - HW Version - List the version the solution will be upgraded to for APL testing.
 - SW/FW Version - List the version the solution will be upgraded to for APL testing.

The table shown below is an example of a solution that has components being upgraded and includes new component additions. Some of the components being added have previously been tested by another solution and some are completely new. In each application submission, fill in the table to list every component of the solution, even if there is no update.

Qty	Product Manufacturer	Manufacturer Part #	Applicant is Reseller	Applicant Part #	Description	HW Version	SW/FW Version	APL # or NEW	Exemplar Info		Upgrade To:	
									Is / Has	Exemplar Part#	HW Version	SW/FW Version
1	OCP	RC-2000	No	N/A	Security control system Software	1.0	1.0	123456	Is	N/A	N/A	N/A
1	OCP	RC-2012	No	N/A	Security Two reader board	1.1	1.0	123456	Is	N/A	1.5	1.6
1	OCP	RC-2011	No	N/A	Security one reader board	1.1	1.0	123456	Has	RC-2012	1.5	1.6
1	OCP	RC-V8760	No	N/A	Validation Control Panel	1.6	1.0	123456	Is	N/A	1.7	1.0
1	OCP	RC-3000	No	N/A	Security Control NextGen Board	1.0	1.0	NEW	Is	N/A	N/A	N/A
1	Global Dynamics	GD-RDR200	Yes	RC-G200	All in one reader	1.5	1.5	123444	Is	N/A	1.5	1.6

4.5. Upgrade Description

Reminder: This is a guidance document. Do not fill in the forms below. They are provided in this document for informational purposes only.

This section is intended to give the lab the impact and reason for changes to the current solution. Changes sometimes will have no impact on the FIPS 201 portion of the solution and can be indicated in the text fields.

4.5.1. Hardware

Description & Purpose for Change

Addition of new controller board to APL solution.

Possible Effects on FIPS 201 Requirements

New controller board to have the same capabilities as existing boards, but newer chipsets.

4.5.2. Software

Description & Purpose for Change

No update on the software.

Possible Effects on FIPS 201 Requirements

None

4.5.3. Firmware

Description & Purpose for Change

Upgrades to existing solution firmware and readers.

Possible Effects on FIPS 201 Requirements

Faster card transaction times at readers, no affect on capabilities.

5. Attestation and Signature

In this section of the application form, the applicant attests the following to the Evaluation Program:

It has sufficient right, title, and interest in and to the Product, that the Product meets the definition provided in Federal Acquisition Regulation (FAR) 2.101 of “commercially available off-the-shelf item,” or that it is an unreleased for general availability version of a Product that it has a good faith expectation that, when released upon the conclusion of development, will qualify as such;


- It has complied with the rules, regulations, and procedures supplied in the Evaluation Program’s Concept of Operations and its supporting documentation (“Program Requirements”);
- It acknowledges that submission of its Product for testing does not guarantee that its Product will successfully complete the testing process or be found conformant to FICAM Specifications;
- Upon receipt of certification, it may utilize the GSA FIPS 201 Approved Logo (“Logo”) provided by the Evaluation Program in accordance with the usage guidance prescribed by the Evaluation Program and it agrees 1) not to release anything publicly or otherwise distribute any of its Products labeled with the Logo unless such Products have been certified by the Evaluation Program and are currently listed on the APL and 2) not to use the Logo in any way that is unlawful or that reasonably could be expected to harm the FIPS 201 Evaluation Program or any other party. It understands that the Evaluation Program reserves the right to rescind its usage of the Logo if the applicant fails to comply with the Evaluation Program’s usage guidance;
- It acknowledges that inclusion of its Product on the APL shall not be considered an endorsement by the Government, nor shall there be any guarantees that said Product shall be purchased for use by the Government;
 - It will make available to the Evaluation Program all updates and patches to its Product in an expeditious manner for analysis and testing; and

It acknowledges and agrees that during the time its Products are listed on the APL, they shall remain in a state that meets all Evaluation Program Requirements. If the applicant identifies an actual or expected failure to meet all Evaluation Program Requirements, it agrees to immediately notify the Evaluation Program. It understands that the Evaluation Program will assess the failures in accordance with the Evaluation Program Requirements and may require it to follow the external notification processes stipulated therein and that the Evaluation Program, in its sole judgment, may remove its Product from the APL for failure to cure identified deficiencies. At the time of removal, the applicant shall immediately cease its use of the Logo as directed by the Evaluation Program.

I hereby claim that I am authorized to sign this form on behalf of the above specified company. By signing this form I acknowledge that:

- I am aware of the requirements of FIPS 201 and its related publications that my Product or Service needs to comply with and that the Product or Service that has been submitted to the Lab is, to the best of my knowledge, complete and accurately meeting these requirements.
- The organization will notify the FIPS 201 Evaluation Program of any manufacturing or product (form, fit or function) change that the product may undergo from the date it was placed on the Approved Products List until it is removed and placed on the Removed Products List.
- The organization will not use any product's approval status in a way that, in the opinion of the FIPS 201 Evaluation Program:
 - Is inconsistent with the scope of the product's approval status.
 - Brings the credibility of the FIPS 201 Evaluation Program into question.
 - Is misleading or inaccurate.
- The organization agrees that upon withdrawal, suspension, or revocation of compliance status to immediately cease and desist any and all advertising or statements claiming the approval status of the affected product(s) or services(s).
- The organization will use the approval status only in the manner for which it was issued and reference only the requirements of the specific category to which the product was deemed compliant.
- The organization is aware that any false claims could result in a penalty as defined by the Federal Acquisition Regulation (FAR), including removal of the product or service from the Approved Products List.

Reminder: This is a guidance document. Do not fill in the table below. It is provided in this document for informational purposes only.

Signature		Date	2/14/2022
Printed Name	Bob Morton		
Title	Sr Product Manager		