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| Product/Service Application Form and Guidance  **VERSION 1.3.3** |  |

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| **FIPS 201 EVALUATION PROGRAM** |

**September 17, 2018**

Office of Government-wide Policy  
Office of Technology Strategy  
Identity Management Division   
Washington, DC 20405

# Overview

This document provides the guidance and location of forms necessary to complete the application process to have your product or service component listed on the FIPS 201 Evaluation Program (Program) Approved Products List (APL). Each section seeks relevant information necessary for testing and approval of your offered component.

Please use the included checklist in Section 2.1 or 2.2 depending on your case to ensure the completeness of your application before submitting it to GSA for review. Then, complete Section 3. Forms required for the completion of your application are in files posted to the Program’s website: <https://idmanagement.gov/fips201/>.

Sections 4 and beyond contain guidance and examples *for the other forms*. After you ensure that all forms are properly completed, submit your application package to [fips201ep@gsa.gov](mailto:fips201ep@gsa.gov). The testing team will contact you after your application has been reviewed or if additional information is required. If you have questions during the application process, please contact the testing team at [fips201ep@gsa.gov](mailto:fips201ep@gsa.gov).

# Checklist

As you complete the application package, please use the checklist below to ensure that all steps of the application have been properly completed. Please ensure that you've included all of the non-optional items before you check the corresponding box. This will help ensure that your application is processed in a timely manner (i.e., without delay due to missing or incomplete forms).

## New Solutions

Applicant Information (complete Section 3 below)

Product/Service Self-Attestation (refer to Section 4.4 below)

Applicant Product Equipment List (refer to Section 5 below)

Topology Mapping Worksheet (refer to Section 6 below)

Lab Services Agreement (refer to Section 7 below)

(Optional) Product Series Attestation (refer to Section 8 below)

## Updates to Approved Solutions

Applicant Information (complete Section 3 below)

Product/Service Update (refer to Section 4.5 below)

Applicant Product Equipment List (refer to Section 5 below)

Topology Mapping Worksheet (refer to Section 6 below)

Lab Services Agreement (refer to Section 7 below)

(Optional) Product Series Attestation (refer to Section 8 below)

# Applicant Information

## Company Information:

Table 1 - Company Information

|  |  |
| --- | --- |
| Company Name |  |
| Address |  |
| City |  |
| State |  |
| Zip Code |  |
| Company Website |  |

## Primary Contact Information:

Table 2 - Primary Contact

|  |  |
| --- | --- |
| First Name |  |
| Last Name |  |
| Title |  |
| Address |  |
| City |  |
| State |  |
| Zip Code |  |
| Phone Number |  |
| Email Address |  |

## Secondary Contact Information:

Table 3 - Secondary Contact

|  |  |
| --- | --- |
| First Name |  |
| Last Name |  |
| Title |  |
| Address |  |
| City |  |
| State |  |
| Zip Code |  |
| Phone Number |  |
| Email Address |  |

# Product/Service Self-Attestation and Upgrade Guidance

## Overview

The Program performs end-to-end system testing on products within categories that are part of a submitted end-to-end solution. Vendor(s) provide the lab a list of components that comprise the solution that they intend the Lab to test and approve for listing on the APL.

## Self-Attestation

A self-attestation asserts that the offering you are submitting for Program conformance evaluation completely satisfies requirements stated in the FRTC document.

### Self-Attestation Guidance

You must ensure that each component of your submittal is clearly identified in the tables listed in the *Product/Service Self Attestation* or *Product/Service Upgrade* forms. If a component in your topology is already certified as a component of another approved topology, please ensure the APL listing number for that particular component is included with your submission.

The *Product/Service Self Attestation* form for new solutions must always include two attachments:

* Topology Diagram
* Topology Mapping Worksheet

*Product/Service Upgrade* forms for existing solutions need only include the updated Topology Mapping Worksheet unless the update includes a component not previously listed with the solution.

The next sections describe the various forms and the type of information required on the *Product/Service Self Attestation* or *Product/Service Upgrade* forms.

## Guidance Defining Solution Elements

Products submitted must be part of an approved or provisionally approved topology. A topology defines the categories and the basic architecture of an end-to-end system solution.

Vendors must select a topology and a category that best represents the functional characteristics of the products being submitted for testing.

## New Solutions

When filling out an application for a new solution, the vendor(s) applying must fully complete the *Product/Service Self Attestation Form*.

Vendors represent their complete end-to-end solution by listing each saleable component in a separate table. If a component has been previously approved but is part of a new solution, list the APL number with the component.

### Topology 13.01

**PACS Infrastructure (repeat table as needed for all components)**

Table 4 - PACS Infrastructure example

|  |  |
| --- | --- |
| Manufacturer Name | ACME Access Control, Inc. |
| Product Name | Ultimate Physical Access Control Head End Software - 64 readers |
| Part Number | U-101-64 |
| Hardware Version |  |
| Software Version | 2.1.71.1051 |
| Firmware Version |  |
| APL # | New submission |

**Validation System (repeat table as needed for all components)**

Table 5 - Validation System example

|  |  |
| --- | --- |
| Manufacturer Name | Shark Systems |
| Product Name | Shark PIV Validator - Desktop Registration Module |
| Part Number | SPV0001-REG |
| Hardware Version |  |
| Software Version | 1.18.2.1050 |
| Firmware Version |  |
| APL # | New submission |

**PIV Reader (repeat table as needed for all components)**

Table 6 - PIV Reader example

|  |  |
| --- | --- |
| Manufacturer Name | QuickRead, LLC |
| Product Name | LightningFast 3FA Contact/Contactless/Keypad/Bio |
| Part Number | QR-LF3FA |
| Hardware Version | 00-21E |
| Software Version |  |
| Firmware Version | 1.21 |
| APL # | 19001 |

### Topology 13.02

**PACS and Validation Infrastructure (repeat table as needed for all components)**

Table 7 - PACS and Validation Infrastructure example

|  |  |
| --- | --- |
| Manufacturer Name | High Assurance Technologies, Inc. |
| Product Name | CipherGate 5000 Software Suite - 64 Readers |
| Part Number | CG-5000-64 |
| Hardware Version |  |
| Software Version | 1.0.0 |
| Firmware Version |  |
| APL # | New submission |

**PIV Reader (repeat table as needed for all components)**

Table 8 - PIV Reader example

|  |  |
| --- | --- |
| Manufacturer Name | QuickRead, LLC |
| Product Name | LightningFast 3FA Contact/Contactless/Keypad/Bio |
| Part Number | QR-LF3FA |
| Hardware Version | 00-21E |
| Software Version |  |
| Firmware Version | 1.21 |
| APL # | 19001 |

The addition of a new product to an existing solution, such as adding a new 3-factor reader submitted against a previously approved end-to-end solution, results in updating that solution with the additional reader or reader series. The new solution can be referenced by APL number if the revisions of all components of the existing solution match those that will be under test with the new reader.

The reader, in such a scenario must be applied for using the *New Product/Service Self-Attestation Form*.

## Product/Service Updates

When one or more vendors wish to submit one or more previously-approved components, they can use the *Product/Service Upgrade Form*. This form requires all of the existing products and components in the solution to be listed, including the names of the vendors who provide components of the solution. The APL number, and the updated component's product number and new revision (software and/or firmware and/or hardware) are then supplied which indicate precisely which components have been updated.

*Table* 9and *Table 10* are paired for each component in the previously listed solution. So, if there are a total of eight components, replicate this pair eight times. If a component has not been updated, then leave *Table 1*0empty. The Lab will confirm that the component in the lab has not been upgraded.

If your update includes adding a new component that has been previously approved, then complete both *Table* 9and *Table 10*, and be sure to include the APL number.

Update applications for an existing solution that include a component that has never been approved with any other solution on the APL must be accompanied by a *New Product/Service Self-Attestation Form*. An example could be an update to a PACS and Validation System to support a new PIV reader.

### Previously Approved Product/Service

Table 9 - Existing Approved Product/Service example

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Manufacturer Name | QuickRead, LLC | | | | | |
| Product/Service Name | LightningFast 3FA Contact/Contactless/Keypad/Bio/OCC | | | | | |
| Part Number | QR-LF3FAOCC | | | | | |
| APL # | 19002 | | | | | |
| Revision/Version | H/W | 0021E | S/W |  | F/W | 2.02 |

### Updated Product/Service

Table 10 - Updated Product/Service example

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Product/Service Name | LightningFast 3FA Contact/Contactless/Keypad/Bio/OCC | | | | | |
| Revision/Version | H/W | 0021E | S/W |  | F/W | 2.12 |

# Applicant Product Equipment List

## Overview

End-to-end solutions submitted for testing generally include multiple components that end-users will need to procure. When the Program tests and approves your solution, that approval applies to the specific software, hardware, and firmware that is installed at the Lab for testing. In addition, items that don't fall under the purview of the FIPS 201 Evaluation Program such as power supplies, network switches, etc., must be identified to ensure that the Lab correctly inventories vendor equipment upon receipt and that the equipment remains in the lab until such time that the vendor replaces it or withdraws the solution from the lab. *Table 11* shows an example of a completed *Applicant Product Equipment List*. This represents the System Under Test (SUT).

Therefore, you must provide a complete list of the equipment you will be sending to the Lab for testing. After application processing, the equipment received will be compared against the *Applicant Product Equipment List* defined in to ensure all equipment has arrived and that the versions of software, firmware, and hardware match what has arrived at the lab. You must provide a ship date and tracking number to ensure Lab resources are available to receive your equipment. Do not ship equipment until your application has been approved.

## Guidance

Complete the *Applicant Product Equipment List* for the solution being submitted, including items not specifically evaluated by the Program. Ensure that the software, firmware and hardware releases and revisions of each component match those of the *Product/Service Self Attestation* or *Product/Service Upgrade Form*.

Table 11 - List of Equipment to be Delivered to the Lab

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Quantity** | **Manufacturer Name** | **Part Number** | **Description** | **Release/Revisions** | |
| 1 | ACME Access Control, Inc. | U-101-64 | Ultimate Physical Access Control Head End Software - 64 readers | S/W | 2.1.71.1051 |
| F/W |  |
| H/W |  |
| 1 | ACME Access Control, Inc. | U-201-16 | Ultimate Intelligent Access Controller - 16 Reader Capacity | S/W |  |
| F/W | 4.17.1 |
| H/W |  |
| 1 | ACME Access Control, Inc. | U-801-2 | Ultimate 2-reader Edge Controller | S/W |  |
| F/W | 2.18 |
| H/W |  |
| 1 | American Power Supplies | AP-75-120-12 | American Power Supplies - 75-watt, 120VAC-12VDC power supply | S/W |  |
| F/W |  |
| H/W | D-124 |
| 1 | American Power Supplies | AP-33-120-12 | American Power Supplies - 33-watt 120VAC-12 2-reader power supply | S/W | 1.18.2.1050 |
| F/W |  |
| H/W | F-102 |
| 1 | Shark Systems | SPV0001-VAL | Shark PIV Validator - Backend Validation and Caching Status Proxy | S/W | 1.28.2.1050 |
|  | F/W |  |
| H/W |  |
| 1 | Shark Systems | SPV0001-IPI | Shark PIV Validator - Intelligent Panel Interface | S/W | 1.28.2.1050 |
| F/W |  |
| H/W |  |
| 1 | QuickRead, LLC | QR-LF3FA | LightningFast 3FA Contact/Contactless/Keypad/Bio | S/W |  |
| F/W | 1.21 |
| H/W | 00-21E |
| 1 | Shark Systems | SPV0001-REG | Shark PIV Validator - Desktop Registration Module | S/W | 1.18.2.1050 |
| F/W |  |
| H/W |  |

# Topology Mapping

## Overview

An approved topology’s *Topology Mapping Form* provides the Program’s mapping of functional requirements identified in the *Functional Requirements and Test Cases (FRTC)* document to that topology’s categories. Note that the columns for ***Category(ies)***, ***Components*** and ***Process*** are intentionally left blank in the table and must be completed by you when submitting a solution to the Program for evaluation.

If there is no pre-approved topology that supports the solution you are submitting, you must provide a topology application that correctly reflects your solution. Your topology application must go through the topology adoption process before proceeding further with your application. To apply with a new topology, please email [fips201ep@gsa.gov](mailto:chi.hickey@gsa.gov)*.*

## Guidance

Mapping is the process of taking the functional requirements defined in the FRTC and allocating them into the FIPS 201 Evaluation Program categories, and then indicating the specific components within your solution that perform the operations for that requirement. For example, if the requirement is for a product to validate signatures as defined in FRTC §2.1-Test 2.1.1, the Applicant should follow the example given in *Table 12* below.

Table 12 - Example Mapping Table for Time of Individual Registration Signature Verification

| **Description/Test Case Procedure** | **Expected Result** | **Category(ies)** | **Components** | **Process** |
| --- | --- | --- | --- | --- |
| **Requirements at Time of In-Person Registration in Accordance With [E-PACS] PIA-9** | **All tests use PKI-AUTH unless specifically noted.** |  |  |  |
| **Signature Verification** |  |  |  |  |
| Verify product’s ability to validate signatures in the certificates found in the certification path for a PIV credential | Registration succeeds. | Validation System (13.01), PACS Infrastructure (13.01) | Registration Workstation, PACS application, Path Discovery and Validation engine | EE certificate signature is validated immediately by the Validation System. The CA certificate signatures are evaluated, but may be cached by the path discovery and validation engine if they have been previously seen. |

In the example provided in *Table 11*, the signature verification involves several elements. It is allocated to the PACS Infrastructure and Validation System, as both solutions require information from the credential. The PACS Infrastructure provides the registration workstation. The Validation System is doing the PKI signature verification for the end entity, and the Validation System’s PDVAL engine is evaluating signatures and caching status for the CA certificate path. Clearly there are many potential combinations of components within categories that could perform this function and it is up to the applicant to describe the process of how, when, and where FRTC requirements are met.

# Lab Services Agreement

## Overview

The *Lab Services Agreement* form is an agreement between you the Applicant and the Lab. The Agreement outlines services the Lab will provide and the role that each party will play during the evaluation and testing process.

## Guidance

The *Lab Services Agreement* form is required for both new solutions and updates. You must read the Agreement completely and agree to its terms and conditions. Please ensure that you complete, sign, and date Section 1.5 of the Agreement.

# Product Series Attestation (Optional)

## Overview

The Program has defined a set of criteria that supports product series testing. This eliminates redundant testing, allowing multiple products to be certified simultaneously. The criteria for product series are defined in the *FIPS 201 Evaluation Program Product Series Self Attestation Form*.

## Guidance

Please complete a *FIPS 201 Evaluation Program Product Series Self-Attestation Form* for each product series.

# Expected Activities and Timeline

## Expected Activities

After your application has been approved, you will coordinate with the lab to schedule an install date.  Once scheduled the lab will provide:

* 2’ x 6’ white melamine particle board to mount equipment
* A virtual environment for host servers and clients
* IP v4 network, IP addresses, and 1 network drop
* 120VAC power

You will provide:

* All hardware components that comprise your solution
* All software and operating systems with perpetual licenses
* All mounting hardware
* All interconnect wiring
* All Ethernet interconnect wiring/patch cables
* Ethernet switch
* Power strip
* Anything you require that is not in the precedent list

The lab is conveniently located less than a mile from a Home Depot, for provisioning or obtaining install materials.  Installation is considered complete once we are able to enroll a card and get an indication that it has been granted access, that can be as simple a hearing a relay actuate or seeing an LED change state.

Once install is complete, your personnel are free to travel home.  Depending on schedule and queue, install might proceed testing by up to several weeks.

If we have problems or anomalies that seem indicative of operator error rather than system error we would then contact you for support.  We allow vendors to remote into their systems prior to and post testing lab personnel *for configuration purposes only* if Lab personnel are available to monitor the session. Vendors *may not* update software post-installation or during testing. Below is a picture of the lab below to give you an idea of how other vendors have used their allotted real estate.



## Estimated Timeline of events

Here are general estimates for each stage of the process:

|  |  |
| --- | --- |
| **Time** | **Activity** |
| 10 Days | Application Received, Application Approved, Schedule Install |
| 12 Days | Installation Complete |
| 45 Days | Testing Begins from queue - this estimate fluctuates based on how many systems we have in the queue for testing |
| 20 Days | Test Cycle 1 Complete, Review Results |
| 10 Days | Review Complete, Generate Approval Letters |
| 5 Days | Sign Letters, Publish on APL |

**Application documents can be found at:** <https://www.idmanagement.gov/fips201/>