# Product Series and Exemplar Self-Attestation FormA blue sign with white text Description automatically generated with low confidence

VERSION 1.0.0

| **FIPS 201 EVALUATION PROGRAM** |
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# November 30, 2023

Office of Government-wide Policy

Office of Technology Strategy

Identity Management Division

Washington, DC 20405

# Background

To optimize the testing of end-to-end Physical Access Control System (PACS) solutions and more closely align with standard industry practice for making PACS components, the FIPS 201 Evaluation Program (Program) has adopted a process that recognizes product series and treats them under certain conditions, as one testable component. Product series are typified by using base hardware or firmware and enabling pluggable modular designs.

# Definitions

The Program has defined criteria that apply to the industry’s product series and licensing strategies. The Vendor should review the definitions below and determine which best applies to their submission.

1. **Exemplar** - a member of a product series. The exemplar must have all features offered within the series. It must support end-to-end system testing that provides complete functional testing of the shared element and all possible options it supports within the product series.
2. **Shared Element -** a built-for-purpose board running a specific firmware version that the Vendor identifies as an individual or series part number.
3. **Product Series -** products that leverage a shared element to provide a family of finished products by adding identifiable extension modules. These are often field hardware or edge devices (e.g., a panel/door controller, a reader, or a video analytics processor). For example:
   1. A product series of field panels containing a shared element that is extensible to support 2, 4, 8, or 20 reader connections.
   2. A product series of readers containing a shared element that enables plug-in modules such as a PIN pad, biometric sensor, and contact or contactless interfaces.

This form allows the Vendor to support these scenarios:

Scenario #1: Provide an all-new Product Series and its Exemplar for testing;

Scenario #2: Extend an existing Product Series with a new product variant that is already

supported by its Exemplar; or

For *Scenario #1*, the Vendor must provide complete information on a Product Series and its Shared Elements. The Vendor then must specify the Exemplar for this Product Series, and attest that the criteria defined above for a Product Series have been met and that the Exemplar provides full functionality for testing of the series.

The Program will then perform all testing necessary for the Exemplar of the series to demonstrate all claimed functionality against the Program’s *Functional Requirements and Test Cases* (FRTC). Upon successful completion of this testing, Product Series will be approved and listed on the APL.

For *Scenario #2*, no new testing is required. The Vendor must attest that the new product variant is within the Product Series as represented by the Exemplar. Upon confirmation of the claim, the new product variant will be approved and listed on the APL.

# Contact Information

## Vendor Company Information:

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

## Vendor Primary Contact Information:

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

## Vendor Secondary Contact Information:

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

# Product Description

In the following sections, provide the requested information about the product or series of products. Use the example tables as guides on how to complete the blank Vendor tables. Add rows to any Vendor table as needed.

## Product Overview

Provide an overview in *Table 1* describing the shared element or elements of your product and how those elements are implemented within the devices that constitute your product series:

*Table 1 - Product Overview (Vendor)*

|  |
| --- |

## Exemplar

Define the Exemplar and describe its features as illustrated in *Table 2*, clearly demonstrating it meets the requirements for Product Series testing. This application may be for a new Product Series and its Exemplar, or it may already exist on the APL. Please fill in the APL Certificate Number column accordingly.

*Table 2 - Exemplar (Example)*

| **MFG Part #** | **Product Description** | **Features / Add-on Modules** | **Category for this Product** | **APL Certificate Number** |
| --- | --- | --- | --- | --- |
| xx-yy16 | Intelligent Controller | 16 doors | PACS Infrastructure | 1122 ***or*** New Submission |

*Table 3 - Exemplar (Vendor)*

| **MFG Part #** | **Product Description** | **Features / Add-on Modules** | **Category for this Product** | **APL Certificate Number** |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |

## Shared Element

Define the Shared Element of the Product Series as illustrated in *Table 4*. This includes its manufacturer if not manufactured by the Vendor and hardware/firmware/software version information as appropriate.

*Table 4 - Shared Element Details (Example)*

| **MFG Part #** | **Product Description** | **Manufacturer** | **Hardware / Firmware / Software Version #** | **Category for this Product** | **APL Certificate Number** |
| --- | --- | --- | --- | --- | --- |
| 1000-2139 | Single Board Computer | XYZ computer company | HW rev x; FW rev xxyy; SW ver 12.3.1 | PACS Infrastructure | New Submission |

*Table 5 – Shared Element Details (Vendor)*

| **MFG Part #** | **Product Description** | **Manufacturer** | **Hardware / Firmware / Software Version #** | **Category for this Product** | **APL Certificate Number** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |

## Product Series

Define all member products of the Product Series as illustrated in *Table 6*. Provide a description for all elements of the Product Series and how they leverage the Shared Element.

A Vendor may seek to submit an entirely new Product Series or extend a previously-approved Product Series. If the product is new, please list “New Submission” in the APL Certificate Number column. For existing products in the series, fill in the APL certificate numbers.

*Table 6 - Product Series (Example)*

| **MFG Part #** | **Product Description** | **Features / Add-on Modules** | **Category for this Product** | **APL Certificate Number** |
| --- | --- | --- | --- | --- |
| xx-yy2 | Intelligent Controller | 2 doors | PACS Infrastructure | New Submission |
| xx-yy8 | Intelligent Controller | 8 doors | PACS Infrastructure | 1121 |
| xx-yy16 | Intelligent Controller | 16 doors | PACS Infrastructure | 1122 |

*Table 7 – Product series (Vendor)*

| **MFG Part #** | **Product Description** | **Features / Add-on Modules** | **Category for this Product** | **APL Certificate Number** |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

# Attestation and Signature



Each party hereto attests the following to the Program:

* It has sufficient right, title, and interest in and to the Product and 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 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 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 Program in accordance with the usage guidance prescribed by the Program. 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 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 Program reserves the right to rescind its usage of the Logo if it fails to comply with the Program’s usage guidance;
* It acknowledges that the inclusion of its Product on the APL shall not be considered an endorsement by the Government, nor shall any guarantees said Product shall be purchased for use by the Government;
* It will make available to the Program all updates and patches to its Product in an expeditious manner for analysis and testing; and

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

**Vendor:**

| Signature |  | Date |  |
| --- | --- | --- | --- |
| Printed Name |  | | |
| Title |  | | |