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| **Product Series and Licensing****Self-Attestation Form****VERSION 1.3.3** |  |

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| **FIPS 201 EVALUATION PROGRAM** |

**August 21, 2017**

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

# Background

In an effort to optimize testing of end-to-end Physical Access Control System (PACS) solutions and more closely align with a common 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 the usage of base hardware or firmware, and enabling pluggable modular designs.

# Definitions

The Program has defined criteria that generally apply to industry’s product series and licensing strategies. The Vendor should review the definitions below and determine which definition 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 full 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 is identified by the Vendor 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, 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, contact or contactless interfaces.
4. **Licensed Product – a** product currently listed on the Program’s Approved Products List (APL) that the Vendor has licensed to a third party (Licensee) to rebrand with no modifications (Licensee’s Product).

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
Scenario #3: License a Product that is currently listed on the APL.

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.

For Scenario #3, no new testing is required. The Vendor must attest that no modifications have been made to the Product and that it has given its Licensee written authorization to rebrand the Product. The Licensee must attest that it has made no modifications to the Product and agrees to comply with the terms and conditions provided herein. Upon confirmation of the attestation, the Licensee’s Product 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 |  |

## Licensee Company Information *(if submitting under Scenario #3)*:

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

## Licensee Primary Contact Information *(if submitting under Scenario #3)*:

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

## Licensee Secondary Contact Information *(if submitting under Scenario #3)*:

|  |  |
| --- | --- |
| 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 constitutes 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** |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
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## Licensed Product

Define the Product that Vendor has authorized its Licensee to rebrand as illustrated in in *Table 8*.

Table 8 – Licensed Product Details (Example)

| **APL Certificate Number** | **Vendor’sProduct Name** | **Vendor’s Product Number** | **Category for this Product** | **Licensee’sProduct Name** | **Licensee’sProduct Number** |
| --- | --- | --- | --- | --- | --- |
| 1122 | XYZ Intelligent Controller | xx-yy2 | PACS Infrastructure | ABC Smart Controller | A-1234 |

Table 9 – Licensed Product Details (Vendor)

| **APL Certificate Number** | **Vendor’sProduct Name** | **Vendor’s Product Number** | **Category for this Product** | **Licensee’sProduct Name** | **Licensee’sProduct Number** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |

# Specifications and Topology

Clearly specify the FRTC version applicable to this application as illustrated in *Table 10*. As Products may fit in more than one topology, list all appropriate topologies for the Product or Product Series.

Table 10 - Specifications and Topology (Example)

|  |  |
| --- | --- |
| FRTC Document Version | v1.3.3 |
| Topology | 13.01 |
| Topology | 13.02 |

Table 11 - Specifications and Topology (Vendor)

|  |  |
| --- | --- |
| FRTC Document Version |  |
| Topology |  |

# Attestation and Signature

1.

Each party hereto attests the following to the 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 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 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 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 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 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 Program Requirements. If it identifies an actual or expected failure to meet all Program Requirements, it agrees to immediately notify the Program. 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 its use of the Logo as directed by the Program.

# Signature Page

Vendor:

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

Licensee (*if submitting under Scenario #3*):

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