# Approved Products List (APL) Application FormA blue sign with white text Description automatically generated with low confidence

VERSION 1.1.0

| **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

# Overview

Review and complete this application to have your physical access control system (PACS) or solution evaluated to be listed on the FIPS 201 Evaluation Program Approved Products List (APL). This document’s sections are specific to the solution and components submitted for evaluation and approval. For guidance in filling out this application, visit the PACS APL Guidance Documents section and review the [Approved Product List Application Guidance Document](https://www.idmanagement.gov/docs/fips201ep-Application-guidance.pdf) on IDManagement.gov or email [fips201ep@gsa.gov](mailto:fips201ep@gsa.gov) with questions.

* Section 2 – Lists additional documents required to submit solutions for testing and evaluation.
* 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 the completed and signed application document to [fips201ep@gsa.gov](mailto:fips201ep@gsa.gov) to submit your application.

# Additional documentation

All solutions (new or upgrades) are required to submit the documentation listed below that applies to that solution. Before applying, visit the FIPS 201 Evaluation Program’s [Physical Access Control System](https://www.idmanagement.gov/fips201ep/#physical-access-control-system) for the latest documentation. GSA will communicate any missing documentation to the vendor when the completed application package is submitted. Companies submitting multiple solutions that share components should verify with GSA if any of the retained documentation can be applied to the multiple solutions.

Below is the complete list of documents required to be submitted as part of the PACS Application Package:

1. [FIPS 201 Evaluation Program PACS Application Package Checklist, v1.0.0](https://www.idmanagement.gov/docs/pacsapp-package-checklist.docx) (Mandatory).
2. [Approved Products List Application Form, v1.1.0 (MS Word, November 30, 2023)](https://www.idmanagement.gov/docs/fips201ep-application-form.docx)(Mandatory).
3. [FIPS 201 Evaluation Program – Evaluation Agreement, version 2.1.0 (MS Word, November 30, 2023)](https://www.idmanagement.gov/docs/fips201ep-agreement.docx) (Mandatory).
4. [Equipment Table GSA PACS Application v0.2.0 (MS Excel, November 2023)](https://www.idmanagement.gov/docs/equipment-table-gsa-pacs-application.xlsx) (Mandatory).
5. [PACS FRTC Workbook (MS Excel, October 2021)](https://www.idmanagement.gov/docs/pacsapp-frtcworkbook.xlsx) (Mandatory).
6. PACS Solution Configuration Guide (Mandatory).
7. [Product Series and Exemplar Self-Attestation Form v1.0.0 (MS Word, November 30, 2023)](https://www.idmanagement.gov/docs/pacsapp-seriesform.docx) (Mandatory, if applicable)
8. [Product Licensing Self-Attestation Form v1.0.0 (MS Word, November 30, 2023)](https://www.idmanagement.gov/docs/pacsapp-licensingform.docx) (Mandatory, if applicable)
9. [Supply Chain Self-Attestation Form, v1.4.2 (MS Word, March 3, 2020)](https://www.idmanagement.gov/docs/pacsapp-supplyattestationform.docx) (Mandatory)
10. VPAT (508 compliance documentation) (Mandatory)
11. Documentation of UL certifications (UL294, UL 1076, UL 1981) (Mandatory, if applicable)
12. Current FIPS 140-2 or FIPS 140-3 Certificate (Mandatory)
13. Vendor FRTC Questionnaire, v1.0

# Applicant Information

The tables below serve as the primary information source for the company applying. In addition to supplying company information, the applicant must list the primary and secondary points of contact (POCs) in the tables for the application process. The primary POC is the individual to whom the signed APL letter is issued and is the primary 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.

## Applicant Company Information:

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

## 

## Applicant Primary Contact Information:

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

## 

## Applicant Secondary Contact Information:

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

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# Solution Information

## 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 - The solution has two distinct software applications for PACS Solution and Validation Infrastructure.
* 13.02 - The solution has the same software for PACS Solution and Validation Infrastructure.

**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 - The solution contains mobile devices used in validating cards and providing mobile PACS reader access.
* 20.01 – The 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.

## Topology Diagram

Topology diagrams should be submitted as part of the application and can be submitted as a separate document or within this document.

## Cryptographic Information

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** |  |
| --- | --- |
| **Cryptographic operations** | Nonce: ☐  Signature Verification: ☐  Encrypt: ☐  Decrypt: ☐ |
| **Operating system name** |  |
| **Operating system version** |  |
| **Processor type** |  |
| **Processor version** |  |
| **FIPS 140-2 /140-3 CMVP certificate number** |  |
| **CMVP Status** | Active: ☐  Historical: ☐  Revoked: ☐ |
| **Name of lab performing testing** |  |

## 

## Equipment Table

The completed [Equipment Table GSA PACS Application (MS Excel)](https://www.idmanagement.gov/docs/equipment-table-gsa-pacs-application.xlsx) is required with this application form. Detailed instructions on how to fill out the equipment table worksheet are provided in the [Approved Products List (APL) Application Guidance Document](https://www.idmanagement.gov/docs/fips201ep-Application-guidance.pdf), Section 4.4.2 available on IDManagement.gov..

## Upgrade Description

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.

### Hardware

| Description & Purpose for Change |  |
| --- | --- |
|  | |

| Possible Effects on FIPS 201 Requirements |  |
| --- | --- |
|  | |

### Software

| Description & Purpose for Change |  |
| --- | --- |
|  | |

| Possible Effects on FIPS 201 Requirements |  |
| --- | --- |
|  | |

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### Firmware

| Description & Purpose for Change |  |
| --- | --- |
|  | |

| Possible Effects on FIPS 201 Requirements |  |
| --- | --- |
|  | |

# 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 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 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. 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 the 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 notify the Evaluation Program immediately. 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 the 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 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:
  + It is inconsistent with the scope of the product’s approval status.
  + Brings the credibility of the FIPS 201 Evaluation Program into question.
  + It 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.

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