



FIPS 201 Evaluation Program

Office of Technology Strategy

April Giles
18 July 2006

Presentation Agenda



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- GSA FIPS 201 EP Lab Instantiation Status
 - Stepping through the Evaluation Process
 - Frequently Asked Questions
 - UUE Evaluation Status
 - Supplier Application Tips
 - ?'s

GSA FIPS 201 EP Lab Instantiation Status



- Phase 1 & 2 complete
 - 1st Stage-- Card/Reader Interoperability Req.
 - 2nd Stage-- Evaluation Program mod dev
- Phase 3 in-progress
 - Task Deliverables
 - Fully Configured lab
 - Maintenance EP Lab documentation
 - Operate EP Lab

Lab Instantiation Status continued



- Phase 3 (in-progress)
 - Implementation Status
 - Selected Lab Services Contractor
 - Implemented
 - Configuration Control Plan
 - MRB
 - Lab workspace (Medium)

Lab Instantiation Status continued



- Implementation cont'd
 - Approval/Test Procedure updated
 - Application Package for each category is a zip file with
 - » Attestation sheet (fillable)
 - » Supplier VTD_VTDR Justification (if app)
 - » NDA
 - » Lab Services Agreement (if app)
 - » NCR separate form (home page)

Lab Instantiation Status continued



- Implementation cont'd
 - New Category added
 - Single Fingerprint Scanner
 - » Application Package posted
 - Login Administration
 - WET updated

Stepping Through the Evaluation Process



1. Determine if product/service requires EP lab evaluation.
 - a. Read Evaluation Programs' FIPS 201 Product/Service Category List. <[wksht](#)>
 - b. Determine if your product/service functionality aligns with category description

Stepping Through the Evaluation Process



2. Make business decision to determine whether or not to commit to Evaluation Process.

- Reading AP & TP (if applicable)
- Gathering Test data, Supplier documentation
- Aligning UUE functionality with AP requirements
- Eventually....fees

Stepping Through the Evaluation Process



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3. Get login form signed by “C” level, and email to EP.

<[Login form](#)>

FIPS 201 Evaluation Program

User name:
Password:



Welcome

Welcome to GSA's FIPS 201 Evaluation Program site.

What would you like to do?

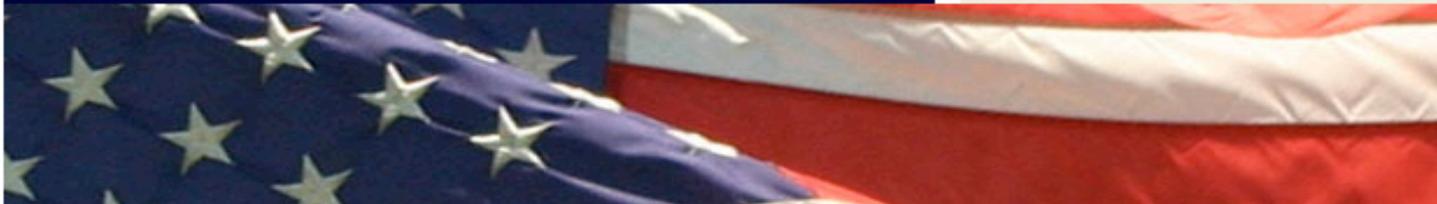
1. [Register for EP Information Day.](#)
2. [Submit a product or service for evaluation.](#)
You will need to [obtain a login](#) before you can submit a product or service.
3. [Get information on the acquisition process.](#)
4. [View the approved products list.](#)
5. [Enroll in the Evaluation Program Supplier Catalog.](#)
6. [Check on the status of products/services.](#)
7. [View recent announcements.](#)
8. [Learn about current labs.](#)
9. [Contact us.](#)
10. [Obtain a login.](#)

Documentation

- [Product/Services Category List](#)
- [Evaluation Program CONOPS](#)
- [Requirements Traceability Matrix](#)
- [Acquisition Process](#)
- [Lab Specification](#)
- [Configuration Management Plan](#)
- [Supplier VDR VTDR Justification](#)

- [Approval Procedures](#)
- [Test Procedures](#)
- [Special Publications](#)
- [Supporting Documents](#)
- [View All Documents](#)

FIPS 201 Evaluation Program



Obtain Login

In order to obtain a user login to the FIPS 201 Evaluation Program web site, please contact:

FIPS 201 Evaluation Program Lab

fips201eplabmain@gsa.gov

Only one person from a given vendor company may have a login to the FIPS 201 Evaluation Program site.

Include the following information in your correspondence:

1. Name
2. Organization
3. E-Mail Address
4. Phone Number
5. Completed [Login Form](#)

FIPS-201 Documentation

[Product/Services Category List](#)

[Evaluation Program CONOPS](#)

[Requirements Traceability Matrix](#)

[Acquisition Process](#)

[Lab Specification](#)

[Configuration Management Plan](#)

[Non-conformance Review Form](#)

[Card to Reader Interop Guideline](#)

[Approval Procedures](#)

[Test Procedures](#)

[Special Publications](#)

[Supporting Documents](#)

Stepping Through the Evaluation Process



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4. EP will reply with username and password.
 - a. Only 1 user per organization.
 - b. Allows access to Vendor web enabled status tool.
 - c. Can only view status for own UUE
» 28 statuses

FIPS 201 Evaluation Program

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Password:



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Documentation

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[Approval Procedures](#)

[Test Procedures](#)

[Special Publications](#)

[Supporting Documents](#)

28 Statuses

01. Begin Application
02. Package Submitted
03. Package Complete
04. Evaluation Scheduled
05. Evaluation In Progress
05a. SV Begun
05a. SV Complete
05b. VTDR Begun
05b. VTDR Complete

Red = Automatically upgrades

05c. LTDR Begun
05c. LTDR Complete
05d. VDR Begun
05d. VDR Complete
05e. C Begun
05e. C Complete
05f. A Begun
05f. A Complete
06. Evaluation Complete

Yellow = Approval Mechanisms

28 Statuses – Cont'd

07. Evaluation Report In Progress
08. Evaluation Report Complete
09. Evaluation Report Under Review
10. Awaiting Gov Approval Authorization
11. Approved
12. Non-Conformant
13. Awaiting Material Review
14. Material Review In Progress
15. Material Review Complete
16. Application Rejected

FIPS 201 Evaluation Program :: - Microsoft Internet Explorer provided by General Services Administration

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites RSS Print Mail Stop

Address <http://fips201ep.cio.gov/private/index.php?module=Issue%20Tracker&func=display&id=196> Go Links

List of Included Hardware/Software Components:	none
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Status History

16. Application Rejected 2006-07-17 07:29:55	Reasons for rejection: Duplicate Application Deletion Required Incomplete Application Online Form Incomplete Justification Worksheet Incomplete VDR Incomplete VTDR Justification Claims Not Substantiated Missing Attestation Missing Justification Worksheet Missing Lab Services Agreement Missing NDA Missing VD Missing VTDR Product Not Received by Lab Wrong Category
02. Package Submitted 2006-07-17 07:29:08	(April Giles)
01. Begin Application 2006-07-17 07:27:26	The object has been posted. (Vendor X)

Please upload all documents and forward product (if applicable), as required by Lab Application Rejection letter. Response from applicant due on or before 2006-07-31 or lab will deem application rejection final, and application will be deleted.
(April Giles)

Internet

Stepping Through the Evaluation Process



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5. Supplier's technical representative thoroughly reads applicable Approval Procedure (and TP if applicable).
 - a. Categories with TP are;
 - » Chuid Reader (2)
 - » Authentication Reader
 - » Electro-Sleeve
 - » PIV Card
 - » Transparent Reader
 - » Electronic Personalization Device

Stepping Through the Evaluation Process



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6. Vendors' technical representative determines which vendor documents can be submitted to EP as support for applicable approval mechanisms
- Supplier VTDR_VDR justification
 - [<Supplier VTDR VDR justification form>](#)
 - Certification documentation
 - Attestation Sheet
- **Steps 1-6 occur before Supplier submits online APL application!**

Stepping Through the Evaluation Process



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7. Supplier's (authorized user) completes online application form.
 - Select:
"Apply for product/service evaluation"
 - Supplier completes online application form



FIPS 201 Evaluation Program

[| [View Products and Services](#) | [Apply for Product/Service Evaluation](#) | [Submit Document Package](#) | [PIV Card Data Objects](#) | [Log Out](#) |]

Products and Services

Click on any product's name in order to view more information on that product.

Supplier	Product	Lab	Current Status	Date	Product Category
Vendor X	62: Test Product	GSA Evaluation Program Main	02. Package Submitted	2006-06-01	Transparent Reader
Vendor X	71: noneany	GSA Evaluation Program Main	02. Package Submitted	2006-06-13	Authentication Key Reader



FIPS 201 Evaluation Program

[| [View Products and Services](#) | [Apply for Product/Service Evaluation](#) | [Submit Document Package](#) | [PIV Card Data Objects](#) | [Log Out](#)]
[| [Edit Application](#) |]

Case Number 196: XYZ Widget

Lab:	Main
Description:	This is a test Product
Status:	16. Application Rejected
Contact:	April Giles
Email:	april.giles@gsa.gov
Phone:	2025011123
Supplier:	Vendor X
Product Category:	Authentication Key Reader

Stepping Through the Evaluation Process



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8. UUE Status automatically changes to “Begin Application”
 - a. Instructions on how to view status of application are as follows:
 - i. Log in
 - ii. “View Products & Services” page is loaded. Select (Product or
UUE Service)
 - iii. Scroll down to “Status History” section. Topmost status is most current.

Stepping Through the Evaluation Process

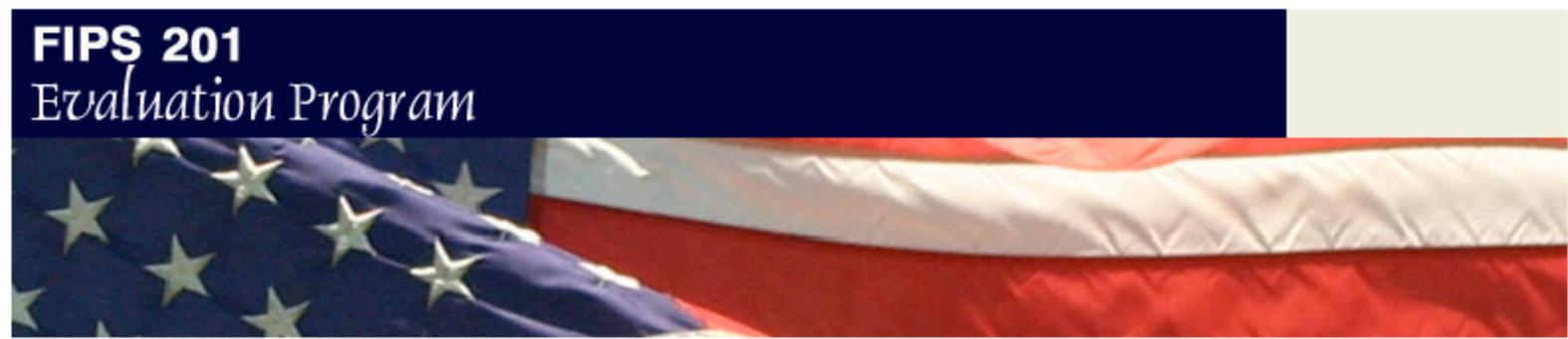


9. Supplier's authorized user uploads Supplier VTDR_VDR justification form, and supporting documents (if applicable)

Stepping Through the Evaluation Process



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10. UUE Status automatically changes to “Package Submitted”
 - a. Even if all documents are not loaded, status will still change to “Package Submitted”
 - b. Supplier has 5 days to complete application and forward product (if app)
 - c. List of supplier uploaded files will be shown in “Related Files” section



FIPS 201 Evaluation Program

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Stepping Through the Evaluation Process



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11. Lab reviews application, and supporting documentation to determine package completeness.
 - As defined by Approval Procedure
 12. If Lab determines application submitted is complete then lab changes UUE Status to “Package Complete”
 - If Lab determines application not complete then application status will change to “Application Rejected” and an email will be generated and forwarded to Supplier, requesting additional documentation or material.
 - Applicant will have 10 days to respond with appropriate documentation/product before rejection is final

Stepping Through the Evaluation Process



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- Supplier reactive from this point forward

13. Lab changes UUE Status to
“Evaluation in Progress”

- a. 10 business days to complete

Stepping Through the Evaluation Process



14. Lab completes evaluation as defined by applicable “Approval Procedure”
15. Lab changes status to “Evaluation Complete”
16. Lab generates an Evaluation Report.
17. Lab makes recommendation to Approval Authority of “Conformant” or “Non-Conformant”.

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Stepping Through the Evaluation Process



20. Lab informs Supplier representative of Approval Authority's decision via email.
 - a. If approved, lab will forward approval forms (to Supplier's authorized representatives email), and add Supplier to Approved Product List online.

FIPS 201

Evaluation Program



FIPS 201 Evaluation Program Approved Product List

Supplier	Category	UUE Name	UUE #	H/W ver	S/W ver	F/W ver	Contact Name	Contact #	Valid Date	Restrictions
Verisign, Inc.	Shared Service Provider	Verisign SSP PKI	n/a	n/a	1.1	n/a	Nicholas F. Piazzola	410-691-2100	6/14/06	none
ORC, Inc.	Shared Service Provider	ORC ACES/SSP	n/a	n/a	3.3.1	n/a	Daniel Turissini	703-401-1706	6/15/06	none
Cybertrust, Inc.	Shared Service Provider	Cybertrust Federal SSP	n/a	n/a	n/a	n/a	Thomas Greco	443-367-7052	6/20/06	none
Cogent Systems, Inc.	Template Generator	BioSDK 4.1/COGENT BSP	00170A47	n/a	4.1	n/a	Anne Wang	626-463-6003	6/28/06	none
Cogent Systems, Inc.	Template Matcher	BioSDK 4.1/COGENT BSP	00170A45	n/a	4.1	n/a	Anne Wang	626-463-6003	6/28/06	none
Cross Match Technologies Inc.	Fingerprint Capture Station	ID 500	ID 500	n/a	n/a	n/a	Paul Frasca	703-841-6285	6/28/06	none
Cross Match Technologies Inc.	Fingerprint Capture Station	ID 500M	ID 500M	n/a	n/a	n/a	Paul Frasca	703-841-6285	6/28/06	none
Cross Match Technologies Inc.	Fingerprint Capture Station	ID 700	ID 700	n/a	n/a	n/a	Paul Frasca	703-841-6285	6/28/06	none
Cross Match										

Frequently Asked Questions



- Why isn't there a category on the FIPS 201 Product/Service category list for my product/service ?
- How long will it take to get on the APL?
- AGENCY- How do I determine the status of a suppliers application?
- <http://fips201ep.cio.gov/faq.php>

UUE Evaluation Status Continued



Application Rejection Cause

Product Not Received by Lab	18
Missing Justification Worksheet	21
Missing VD	0
Missing VTDR	0
Missing Attestation	20
Missing NDA	9
Missing Lab Services Agreement	23
Duplicate Application Deletion required	5
Wrong Category	6
Incomplete Application Online Form	30
Justification Claims not substantiated	4
Incomplete Justification Worksheet	1
Incomplete VDR	0
Incomplete VTDR	0
Incomplete Attestation	4

UUE Evaluation Status

7/13/06



Status	# Total	Metric type	Comments
# Suppliers Received Login	64	Supplier	Total number of Suppliers that have enrolled to participate in the FIPS 201 Evaluation Program, but have not created an online application for Product/Service to be placed on APL.
# Suppliers Started Applications	35	Supplier	Total number of Suppliers that have completed an online application for at least 1 Product/Service
Total number of Product/Services applications	165	Supplier	More than 1 product per supplier (35 total Suppliers have applied 165 products/services) UUE = Unit Under Evaluation, # of
Begin Application	104	UUE	Products/Services applying to be evaluated—completed online application form, but have not submitted required documentation and product
Package Submitted	0	UUE	Total number of products for which completed Application Package have been received. Completed packages are necessary to start evaluation process. Not verified by lab as complete application package. Supplier has uploaded at least 1 document
Application Rejected	38	UUE	Incomplete applications
Package Completed	0	UUE	Verified by lab as complete---all docs and product received

UUE Evaluation Status Continued



Status	# Total	Metric type	Comments
Awaiting GSA Approval Authorization	0	UUE	
Approved	14	UUE	Total number of approved products with evaluation completed and posted to Approved Product List.
Non-Conformant	0	UUE	
MRB In Progress	0	UUE	
# UUE with Past Due Evaluation	0	UUE	Number products/services that have not completed evaluation within 10 days.
# UUE Completed Ahead of Schedule	14	UUE	Number products/services that have not completed evaluation in less than 10 days.

Supplier Application Tips



-
- Read Approval Procedures before completing online application
 - Do not make changes to the Attestation Forms
 - Complete online application when product/service actually exists
 - Make sure contact persons' telephone number is answered
 - Don't upload documents until a completed app package is ready
 - Add a contact number to all emails forwarded to me

Questions ?



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