

**DON eBUSOPSOFF Comments 21 May 2004**

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MEMORANDUM FOR DISTRIBUTION

Subj: POLICY DECISION MEMORANDUM -- U. S. NAVY IMPLEMENTATION  
AND MANAGEMENT OF  
SMART CARD TECHNOLOGY (SCT) AND IMPLEMENTATION OF THE

COMMON ACCESS CARD (CAC)

Ref: (a) DEPSECDEF memo of 10 Nov 99, Smart Card Adoption and Implementation  
(b) DOD Directive 8190.3, Smart Card Technology  
(c) DON CIO memo of 19 May 03, Smart Card and Public Key Infrastructure  
(PKI) Policy

Encl: (1) CNO (N61C4) Roles and Responsibilities  
(2) NAVPERSCOM (Pers-67) Roles and Responsibilities  
(3) NAVSUP HQ DON Smart Card/CAC Program Office Roles and  
Responsibilities  
(4) Commander, Navy Installations (CNI) Roles and Responsibilities  
(5) Commander, Fleet Forces Command (CFFC) and NAVNETWARCOM  
(6) PEO C4I and SPACE (PMW 161) Roles and Responsibilities  
(7) CAC FY-05 Claimant Resource Realignment Plan

1. This policy decision memorandum assigns and outlines responsibilities for implementation and management of smart card technology (SCT) and the Department of Defense (DOD) Common Access Card (CAC) within the U. S. Navy (USN). References (a) and (b) directed the implementation of Smart Card Technology (SCT) throughout the Department of Defense (DoD) and directed the Heads of the Components to:

a. Designate an organizational entity to serve as the Smart Card advocate to promote and develop implementation plans for exploiting the capability of smart card technology as a means for enhancing readiness and improving business processes, and to interface with the DoD Smart Card Program, including representing their unique smart card requirements within mission/functional areas' integrated architectures, smart card storage allocations, and physical designs, as prescribed by DoD.

b. Field the requisite infrastructure needed to use the Common Access Card (i.e., smart card readers, middleware, etc.).

c. Implement Smart Card Technology policy consistent with DoD directive.

d. Provide sufficient resources to ensure timely implementation and maintenance

support consistent with the performance measures established by DoD.

e. Submit reports on CAC performance, implementation progress, and quality of maintenance support consistent with the performance measures established by DoD.

2. CNO (N61) has been assigned specific Navy USN responsibility for the functions and roles delineated in paragraph 1 above. In accordance with references (a) and (b), the Department of the Navy (DON) Chief Information Officer (DON CIO) serves as the senior official in the DON for CAC-SCT strategic direction, policy guidance and oversight. Reference (c) published the Department of the Navy (DON) policy for coordination, management, and implementation of smart card and public key technologies. CNO (N61) has been assigned roles and functions by the DON CIO policy memorandum and shall:

a. Be the central liaison for smart card policy and oversight for the NavyUSN, coordinating all relevant activities within the NavyUSN organizational chain of command, including:

- (1) Coordinate CAC-SCT best practices to the maximum extent practical to improve both combat support capabilities and DON business operations.
- (2) Ensure the insertion of CAC-SCT capabilities into the development, modernization, expansion or prototype of applicable unclassified systems.
- (3) Support the development and updating of the DON CAC-SCT Strategic and Implementation Plans,
- (4) Develop, coordinate and promulgate any additional CNO specific guidance needed to successfully implement CAC-SCT.
- (5) Identify a subordinate command responsible for assigning activities in the Public Key Enabling (PKE) of applications to use PKI credentials stored on the CAC.
- (6) Participate asnd serve as a member of the DON Smart Card Configuration Control Board (SC CCB).

b. Provide oversight for smart card configuration management and ensure consistency among DON smart cards.

c. Assure representatives from CNO personnel and manpower areas participate in CAC-related configuration management and policy activities., and shall provide oversight for smart card configuration management and ensure consistency among DON smart cards.

c.d. Assure representatives from CNO physical security areas participate in CAC-related configuration management and policy activities.

d.e. Designate a Flag Officer or SES equivalent to represent NavyUSN on the

Identity Management Senior Coordinating Group.

- e.f. Ensure that non-NMCI ashore (CONUS and OCONUS) activities receive the required SCT to comply with DOD and DON policy.
  - f.g. In concert with the Deputy CIO (NavyUSN) participate in and conduct an annual Flag-level review of NavyUSN's progress in complying with DOD and DON smart card and CAC policy.
3. To date, implementation of the Common Access Card across DOD and within DON and the NavyUSN has occurred outside normal program management structure. The Defense Manpower Data Center (DMDC) is designated Program Manager under the direction of the Defense Human Resources Activity and OUSD (P&R). Program requirements have been identified and approved outside the normal Operational Requirements Document (ORD) process by migration from the pilot/prototype Smart Card Office's limited scope tests, to DOD-wide implementation of Smart Card technology based on DOD Policy memoranda originated by the DODCIO and OUSD(P&R), references (a) and (b). Funding is provided by the CNO (N61C4) for card stock, consumables, and for workstation procurement/maintenance for the initial two years of existence until they can be assimilated into the DMDC POM.
4. CAC implementation crosses multiple NavyUSN Echelon 1 functional responsibilities:
- o CAC is an ID card - CNO N1 function.
  - o CAC is the PKI hardware token - CNO N6 function.
  - o CAC is a Physical Access card - CNO N4 function (ashore) & CFFC (afloat).
  - o CAC is the DOD smart card used to improve business processes – CNO N4 & N6.
5. Within NavyUSN, initial CAC implementation has been hampered by fragmented organizational responsibilities, unclear decision-making roles and responsibilities, changes in organizational structure and responsibilities during course of implementation, and no clear single organization identified to coordinate the CAC program. Identification of a single Echelon 1 CAC Program Coordinator, supported by organizations with clearly identified roles and responsibilities is crucial to long-term program health, viability, and cost effectiveness. CNO (N61) already holds the responsibilities identified in paragraphs 1 and 2 above. Effective immediately, CNO (N61C4) is designated the single CAC Program Coordinator for NavyUSN, with roles and supporting organizational alignment as depicted in Figure 1.

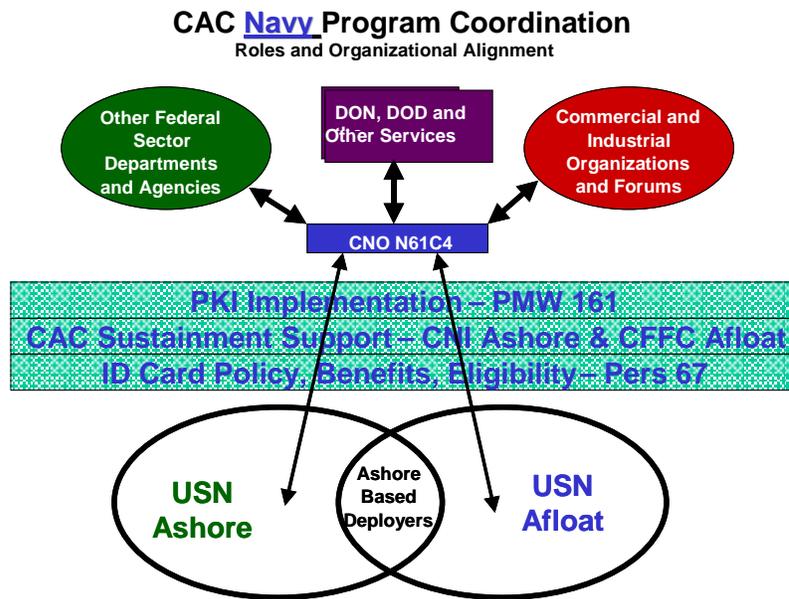


Figure 1.

6. CNO (N61C4) serving as the CAC program coordinator for NavyUSN shall:
  - a. Coordinate all CAC issues with any organization outside the NavyUSN.
  - b. Coordinate all PKI implementation and testing with PMW 161 and Dir NMCI.
  - c. Coordinate all Ashore CAC Sustainment and Physical Access with CNI.
  - d. Coordinate all Afloat CAC Sustainment and Physical Access with CFFC.
  - e. Coordinate all IA policy with NAVNETWARCOM.
  - f. Coordinate all ID Card policy, benefits and eligibility with PERS 67.
  - g. Coordinate all NavyUSN CAC configuration management and configuration control issues with the NAVSUP HQ DON Smart Card/CAC Program Office (NAVSUP HQ DON SCT/CAC OFF).
  
7. Supporting smart card and CAC implementation roles and functions are as follows:
  - a. PMW 161 will manage implementation of PKI at all afloat and ashore organizations.
  - b. CNI will manage sustainment of shore-based CAC, CAC smart card applications and use of CAC for physical access at all ashore installations.
  - c. COMFLTFORCOM will manage sustainment of CAC to afloat sailors.

8. Long term organizational roles and responsibility are outlined in enclosures (1) through (6). Transition of current organizational roles and responsibilities may span the remainder of FY-04 and into FY-05. On implementation of this policy decision memorandum, NavyUSN will have a single voice for all CAC issues. Organizational responsibilities are apportioned as outlined in DON CIO Smart Card and Public Key Infrastructure Policy memo of 19 May 2003, is consistent with proposed IMSCG charter, and is consistent with DODD 8190.3. Realignment of Claimant funding in support of the roles and responsibilities identified in this document is outlined at enclosure (7).

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Distribution:

Department of the Navy Chief Information Officer  
Defense Manpower Data Center, Access Card Office  
Commander, Fleet Forces Command  
Commander, Naval Network Warfare Command  
Commander, Navy Personnel Command (Pers 67)  
Commander, Navy Installations (CNI)  
PEO C4I and Space (PMW 161)  
NAVSUP HQ DON Smart Card/CAC Office

**Enclosure (1)**  
**Chief of Naval Operations - CNO (N61C4)**

- Develop and publish USN policy and directives pertaining to CAC implementation.
- USN Resource Sponsor for CAC implementation, integration, and sustainment, including card stock and workstation equipment costs associated with testing and technical upgrade/refreshment.
- USN point of contact to Defense Manpower Data Center and the DOD Access Card Office on all matters pertaining to workstation technical configuration, workstation and software upgrade, refreshment, capability change, and population change.
  - Benefits, eligibility, and entitlement policy impacts will be coordinated with Pers-67.
- USN liaison to DON, DOD, Other Services, other Federal Sector Departments and Agencies; USN representative to governmental, commercial, and industrial card and card-technology related forums.
- NavyUSN voting representative to the DOD-level Configuration Control Working Group.
- NavyUSN voting representative alternative to the DOD-level Identity Management Senior Coordinating Group.
  - Policy coordination point for integration of CAC, PKI and biometrics policy into revised identity management construct.
- Review and approve:
  - DMDC provided card stock costs apportioned to NavyUSN, in concert with Pers-67 and CNI.
    - DMDC provided costs for printer consumables and other materials associated with CAC maintenance and sustainment. (Support for traditional Teslin ID cards remains with the individual site/installation.)
    - Requests for additional DEERS RAPIDS workstations, CAC PIN reset workstations, and User Maintenance Portal/Post Issuance Portal workstations in concert with Pers- 67 and CNI.
- Manage USN service-specific memory space on all storage media embedded in, or associated with, the CAC.
  - Establish and serve as the Chair of the USN CAC Configuration Control Board, using the DON Configuration Control Plan as guidance.
  - Serve as the USN representative to the DON CAC Configuration Control Board.
  - Coordinate and staff for approval Other Service and Agency requests and data requirements for CAC interface development as approved by the SCSCG/IMWG. Provide NavyUSN response to the DON CCB.
  - Provide information/reports to Functional Area Managers (FAMs), and other stakeholder organizations/agencies on utilization of service-specific memory space.
- Coordinate the installation of deployable DEERS RAPIDS workstations, in concert with COMFLTFORCOM, COMPACFLT, Pers-67, TYCOMs, and the NAVSUP HQ

DON SCT/CAC OFF.

- Maintain all NavyUSN technical documentation associated with CAC implementation.
- Manage and coordinate development of CAC interfaces to NavyUSN information technology applications, working with NavyUSN FAMs to satisfy requirements within program, policy, and approved technology constraints. In concert with CNI, provide CAC configuration management for interface development supporting applications requiring use of the NavyUSN-specific portion of the CAC ICC to the DON CAC Smart Card CCB, chaired by the NAVSUP HQ DON SCT/CAC OFF.

**Enclosure (2)**  
**NavyUSN Personnel Command (Pers-67)**

- NavyUSN single point of contact to DEERS RAPIDS Operations Division (DROD) for all matters pertaining to the CAC in its capacity as the military ID card, and as the token for validation of benefits and eligibility entitlement.
  - Manage benefits eligibility and CAC eligibility policy for NavyUSN in those cases where issuance procedural questions arise.
- NavyUSN representative to the Joint Uniformed Services Personnel Advisory Committee (JUSPAC), for all eligibility, benefits and entitlement policy issues.
  - Subject matter expert for RAPIDS functionality and enhancements
- Coordinated and staff issues and proposed CAC technical changes (hardware and software) with CNO (N614) and CNI.
- Provide personnel policy related guidance to all DEERS RAPIDS sites in concert with CNO (N61C4).
- Provide CNO (N61C4) and CNI, on an as-needed basis, CAC-related data from DEERS, such as number of cards issued, card stock and consumables used, location and workstation productivity data.
- Final approval authority for DEERS RAPIDS workstation placement, in concert with CNO (N61C4) and CNI.
  - Maintain the NavyUSN inventory of all DEERS RAPIDS workstations, by site, and geographic location, ashore and afloat.
  - Final approval authority for Initial Site Request/Database Access Forms.
- In concert with the CNI, coordinate all approved DEERS RAPIDS upgrade and training issues with individual sites and DMDC. Coordinate testing and certification of all hardware and software changes with the CNI and with SPAWAR for deployable workstations installed onboard ship.
- NavyUSN representative to the DOD-level Topology and Policy Recommendation Working Group.

**Enclosure (3)**  
**NAVSUP HQ DON Smart Card/CAC Program Office (NAVSUP HQ DON**  
**SCT/CAC OFF)**

- • **Champion Smart Card Technology**
  - Conduct continuous market research to catalog industry and government Smart Card Technology-based solutions and best practices. Recommend implementation of appropriate technologies and integrated solutions to DON policy makers, FAMs, and CNI.
  - Identify appropriate uses of Smart Card Technology to assist the warfighter in mission accomplishment and the support infrastructure to improve existing processes.
  - Serve as the technical advocate for field activities and installations affected by implementation of the CAC to DON policy-making organizations, in concert with CNI.
  - Assist FAMs with their requirement to integrate Smart Card Technology into existing and future applications.
  - Designated as DON lead for DON, DOD, and other government and/or industry committees, boards and working groups to promote Smart Card Technology.
  
- **Pilot and Prototype Smart Card Technology**
  - Support design/development of Smart Card-enabled applications as required by each FAM, by implementing pilot/prototype efforts to determine suitability for enterprise-wide deployment.
  - Provide access to updates on on-going and completed pilots/prototypes and proofs of concept as requested by all stakeholders.
  
- **Configuration Control and Institutionalization of CAC-Smart Card Technology**
  - Chair the DON Smart Card Configuration Control Board in accordance with published policies.
  - Validate requirements for the CAC and applications that utilize the CAC, and process Test CAC Requests from the field. Document all applications that utilize CAC-provided information, or have a programmatic interface to the CAC (read, write, read/write/read).
  - Maintain all DON technical documentation associated with CAC implementation.

Identify appropriate uses of Smart Card technology to assist the warfighter in mission accomplishment and the support infrastructure to improve existing processes.

- Serve as the technical advocate for field activities and installations affected by implementation of the CAC to DON policy-making organizations, in concert

with CNI.

- Assist FAMs with their requirement to integrate Smart Card Technology into existing and future applications.
- Support design/development of new Smart Card-enabled applications as required by each FAM, by implementing pilot/prototype efforts to permit determination of suitability for enterprise-wide deployment.
  - Conduct continuous market research to catalog industry and government Smart Card Technology-based solutions and best practices. Recommend implementation of appropriate technologies and integrated solutions to DON policy makers, FAMs, and CNI.
- Provide updates on on-going and completed pilots/prototypes and proofs of concept as requested by all stakeholders.
- Validate requirements for the CAC and applications that utilize the CAC. Document all applications that utilize CAC-provided information, or have a programmatic interface to the CAC (read, write, read/write/read).
- Maintain all DON technical documentation associated with CAC implementation.
- Transfer/transition to CNI 100 temporary DEERS RAPIDS workstations to support completion of initial CAC issuance (anticipated to complete in Spring 2004), conduct CAC maintenance in support of the implementation of PKI and support CAC sustainment.

## Enclosure (4)

### Commander Navy Installations

- In its capacity as the Claimant and Type Commander for all NavyUSN shore installations, direct and facilitate CAC sustainment and maintenance ashore.
- Coordinate the implementation of CAC-based technology and associated systems integration across the NavyUSN shore installation infrastructure.
- Coordinate with the FAMs to identify and prioritize shore-based CAC functionality for implementation of pilot/prototype efforts. In conjunction with the eBUSOPSOFF, analyze data resulting from the pilot/prototype efforts to determine suitability for enterprise-wide deployment.
- Provide input to N61C4 POM/resourcing issues supporting enterprise-wide deployment of accepted CAC-based technology - hardware and software.
  - Direct the standardization of functionality involving the CAC to reduce redundancy, and migrate toward standards-based applications and functionality.
- Coordinate and plan the interoperability of deployable units' network information technology infrastructure when in a non-deployed status so that CAC-based functionality is sustained.
- Monitor overall day-to-day operation of DEERS/RAPIDS and the PKI certificate authorities. Provide immediate feedback to all stakeholders if performance degrades below accepted thresholds in coordination CNO N61C4.
- Coordinate implementation of technical changes (hardware and software) to DEERS RAPIDS infrastructure with NAVNETWARCOM, SPAWAR and Navy and Marine Corps Intranet (NMCI) to ensure completion of all required networkiness testing and completion of all documentation prior to change implementation.
  - Manage implementation of the technology ashore, for shore-based deployables without standard SYSCOM advocacy; coordinate implementation of CAC-based technology with SPAWAR, NAVSEA, NAVAIR, and NAVSUP for operational units.
- Maintain all NavyUSN technical documentation associated with CAC ashore implementation.
- Receive from NAVSUP HQ DON Smart Card/CAC Program Office 100 temporary DEERS RAPIDS workstations to support CAC sustainment beyond FY-04.
- Maintain NavyUSN installation demographics information necessary to manage the placement of DEERS RAPIDS workstation infrastructure to support CAC sustainment and maintenance, technology refreshment, changes and upgrades. Provide demographics information as needed to Pers-67 to assist in workstation placement decisions.
- Implement and manage Contractor Verification System.

**Enclosure (5)**  
**Commander Fleet Forces Command**  
**And NAVNETWARCOM**

- Coordinate the implementation of CAC-based technology and associated systems integration across the NavyUSN afloat assets in coordination with NAVNETWARCOM and PMW 161.
- Coordinate implementation of technical changes (hardware and software) to DEERS RAPIDS infrastructure with NAVNETWARCOM and SPAWAR to ensure completion of all required testing and completion of all documentation prior to change implementation.
  - Serve as NavyUSN's Technical Implementation Manager for deployable DEERS RAPIDS workstations, providing all technical documentation required for installation and upgrade of shipboard information technology and systems in coordination with CNO (N61C4).
- Maintain all NavyUSN technical documentation associated with CAC afloat implementation.

**Enclosure (6)**  
**SPAWAR – PMW 161**

- Coordinate the implementation of PKI with all NavyUSN Network Designated Approval Authorities.
- Coordinate the implementation of CAC-based technology and associated systems integration across the NavyUSN afloat assets in coordination with CFFC and NAVNETWARCOM.