Agency Name

Smart Card
Cardstock Acceptance and Sustainment Process
Version 1.0

June 15, 2003
# TABLE OF CONTENTS

1. ROLES AND RESPONSIBILITIES ................................................................. 4
   * Agency ........................................................................................................ 4
   1.2. GSA Prime ............................................................................................ 4
   1.3. Card Manufacturer ................................................................................ 5
2. CARDSTOCK ACCEPTANCE ...................................................................... 6
   2.1. FIPS Certification and Compliance testing ........................................... 6
   2.2. ISO and Card Specification Compliance testing .................................... 7
   2.3. Integration and Operational environment testing .................................... 7
   2.4. Product requirements for Cardstock acceptance testing ....................... 8
3. CARDSTOCK STORAGE AND DELIVERY .............................................. 10
   3.1. Cardstock delivery schedule ................................................................. 10
   3.2. Batch and Shipping Order Descriptor XML files ................................... 10
   3.3. Smart Card Product Identifiers .............................................................. 12
4. RETURNED CARDSTOCK ...................................................................... 14
APPENDIX A: GLOSSARY ............................................................................ 15
APPENDIX B: SAMPLE AGENCY ACCEPTANCE LETTER ............................. 16
This document defines the smart card process requirements and timeline to a GSA Prime and Card manufacturer who plans to produce the Smart Card for the Agency Smart Card program. This document does not supersede the task order, statement of work, pre-issuance or card specifications documents but is to be used as an aid in implementing the requirements addressed in those documents.

The Agency provides this process document to all card manufacturers. The information in this document is subject to change although to the degree possible, the Agency intends to standardize the process so that all card vendors can reference a common set of criteria for the smart card manufacturing process. It is the responsibility of the Agency to meet the overarching program objective of 'any card used anywhere in the Agency' regardless of card manufacturer. To achieve this goal, the card manufacturer must work closely with the Agency to ensure the card provided will integrate flawlessly with the current issuance process, software, and smart card inventory logistics system or logistics personnel.

The Agency has made every attempt to ensure accuracy and completeness of this document. We encourage all readers to provide us with suggestions for overall improvement. Comments or suggestions can be sent to e-mail address Please list “Smart Card Acceptance and Sustainment Process” in the subject line.
1. ROLES AND RESPONSIBILITIES

1.1. Agency

During the course of a card order, GSA Primes and Card Manufacturer’s will work with a combination of Agency staff members:

- POC Name (Agency Smart Card COTR) – is responsible for overseeing all contractual and logistical issues associated with integrating and implementing cardstock into the smart card Issuance Infrastructure.
- POC Name (Agency Technical Program Agent) – is responsible for all technical and integration issues that arise with integrating and implementing cardstock into the smart card Issuance Infrastructure.
- POC Name (Agency Cardstock Delivery Operations Manager) – is responsible for maintaining the logistics of cardstock availability, monitoring sites requests for additional cardstock, forecasting cardstock and consumables requirements, and ensuring that cardstock contamination issues are isolated and addressed.
- POC Name (Agency Cardstock Integration and Implementation Action Officer-Ctr) – is responsible for supporting Agency smart card COTR, Technical Program Agent, and Cardstock Delivery Operations Manager in regards to cardstock integration and implementation. Additional responsibilities include maintaining the pre-issuance specification and associated cardstock acceptance documentation.

1.2. GSA Prime

The GSA Prime is the entity contractual responsible for fulfilling the task order with Agency. The GSA Primes responsibilities include (but are not limited to) the following:

- Maintain documentation of all communications between Agency and GSA Prime. It is preferred (but not required) that the Agency weekly meetings be documented using the Agency meeting form.
- Once cardstock has passed all testing (FIPS Certification and Compliance, ISO and Card Specifications, and Integration and Operational environment) provide a card delivery schedule. This schedule will note the minimum date a card manufacturer requires a Batch Order from Agency and when the cardstock will be delivered to Agency and/or the Card Manufacturer’s vault.
- Ensuring the cardstock is delivered IAW with the task order. This includes (but is not limited to) cardstock that is contamination-free, properly packaged, and delivered on-time.

Smart Card Cardstock Acceptance and Sustainment Process v 0.5.

DRAFT 5/2/03
1.3. **Card Manufacturer**

The Card Manufacturer responsibilities include (but are not limited to) the following:

- **ISO and Card Specifications Compliance** – this includes consistently providing a product that meets or exceeds the criteria that the card was officially accepted under.

- **Delivery Schedule Compliance** – this includes product availability on the dates agreed upon in the cardstock delivery schedule (see Section 3). If there is a schedule delay, the card manufacturer is responsible for informing the GSA Prime and Agency.

- **Pre-Issuance Specifications and Cardstock Sustainment Process compliance** – this includes all the document technical and operational requirements noted in current (and revised) editions of these documents.
2. CARDSTOCK ACCEPTANCE

Prior to mass ordering/production of cardstock, Agency ensures approved cardstock vendors has met the required Agency testing of FIPS Certification and Compliance, ISO and Card Specification, and Integration and Operational environment testing. These tests are further explained in the following subsections.

2.1. FIPS Certification and Compliance testing

Prior to beginning the pre-qualification testing, the card manufacturer’s cardstock must be compliant (i.e. validated) with the FIPS Certification level stated in the cards specifications document. During this process the card manufacturer will work with an Agency vendor to load the proper applets on the card and the NIST independent lab to verify if the product meets the NIST requirements for FIPS certification.

The FIPS Certification/Analysis testing conducted by the Agency Vendor includes (but is not limited to) the following:

- Card Identification (based on Spec from Card Vendor)
- Determine card ATR
- Determine Communication Protocol
- Maximum communication speed
- Electrically Erasable Programmable Read-Only Memory (EEPROM) size
- Applet Packages
- Applet Instantiation
- Applet Removal
- Security Domain Instantiation
- Personalization
- Key Pair Generation
- Testing all of the Application Protocol Data Unit (APDU) for the set of applets – General Container (GC), Identity (ID), Public Key Infrastructure (PKI)
- Validating that applet command execution is compliant to specifications (test with valid and invalid parameters)
- Unitary Test – performed for each access right per applet instance (examples: key pair generation, certificate injection, certificate verification, read/write to GC)
2.2. ISO and Card Specification Compliance testing

The Agency contracts an independent vendor to perform ISO, Card Specification, and other tests (some of the ANSI INCITS 322 Card Durability Tests) on the “production-quality” cardstock provided by the card manufactures.

Vendors should refer to the latest version of the Agency Smart Card Cardstock Specification for the complete list of requirements for the smart card while noting that additional tests may be performed as needed to help ensure the Government receives quality product. *For example, if printing tests show the presence of a surface chemical additional chemical tests may be performed to diagnose the chemical on the card surface so that the problem may be resolved.*

Card Specification tests include (but are not limited to): Printability Tests, Location of Magnetic Stripe Tests, and Surface Profile of Contacts Tests

These test are then followed by the complete ISO tests called for by the Agency Smart Card Cardstock specification which includes the following ISO tests:

- ISO/IEC 7810
  - Dimensions (height and width), Section 5.1.1
  - Dimensions (thickness), Section 5.1.2
  - Card Corners, Section 5.1.3
  - Bending Stiffness, Section 8.1.1
  - Flammability, Section 8.1.2
  - Resistance to Chemicals, Section 8.1.4
  - Card Dimensional Stability, Section 8.1.5
  - Delamination, Section 8.1.8
  - Blocking, Section 8.1.9
  - Opacity, Section 8.1.10
  - Warpage, Section 8.1.11

ISO/IEC 7816-1 (continued)

- Surface Profile of Contacts, Section 4.2.3
- Mechanical Strength, Section 4.2.4
- Electrical Resistance, 4.2.5
- Electromagnetic Interference, Section 4.2.6
- Static Electricity, Section 4.2.7
- Bending Properties, Section 4.2.9
- Torsion Properties, Section 4.2.10
- Magnetic Characteristics, Table 1
- Location of Magnetic Stripe, Figure 1
- Surface Profile, Section 6.1.1
- Surface Roughness, 6.2
- Wear from Read/Write Head, Section 6.4

2.3. Integration and Operational environment testing

After receiving notification from the Agency that a new card will be integrated into the system, the Agency Integration and Operations team begins reviewing their
system to determine what impact a new card will have on the infrastructure. The team then begins conducting limited print testing to verify that the card will successfully implement in the production environment and integrates updated software into the backend issuance system to begin Quality Assurance, Card Integration, and smart card Regression testing utilizing the cardstock provided by the card manufacturer. These tests include (but are not limited to):

- Verification that the key ceremony* was successful
- Verification that Card Manufacturer’s BDD and SDD XML files are successfully imported into the Agency’s inventory logistics system or with the identified logistics personnel and Card Repository System (CRS)
- Verification that card successfully encodes (to include all certificates)
- Verification that all test conducted under card integration testing still function with all existing card types in the production environment
- Verification that production-quality image is visible on card

*The Agency conducts a minimum of two key ceremonies for each card procured. The first is the test key ceremony. The card manufacturer provides the “test” key to the Agency approved integration vendor either via three e-mails to differing personnel or via 3 secure carriers. After successfully encoding the engineering cards with the “test key”, the Card Manufacturer will ship the production key via 3 secure carriers to the Agency Security agents, who will conduct the production key ceremony.

2.4. Product requirements for Cardstock acceptance testing

As a general rule the Agency requires the following cardstock (and quantities) for the following tests:

**FIPS Certification and Compliance testing**
- Chip cardstock (varies 25-100)

**ISO and Card Specification Compliance testing**
- Chip Cardstock with “test” keys on a production cardbody (100-300 cards)

**Integration and Operational environment testing**
- Chip Cardstock with “test” keys on a production cardbody (300-500 cards)
- Chip Cardstock with “app dev” keys on an engineering or production cardbody (50-100 cards)
- Chip Cardstock with “prod” keys on an engineering or production cardbody (5-10 cards)
Agency

Please note: these quantities are subject to change, but advanced notification will be provided.
3. CARDSTOCK STORAGE AND DELIVERY

3.1. Cardstock delivery schedule

Once a card has been approved by the Agency, GSA Prime, and the card vendor determine a delivery schedule that includes the date the Agency is required to provide batch orders, the quantity of cards within each batch order, and the date the Card Manufacturer will deliver the cardstock to the vault. An example delivery schedule is depicted below.

<table>
<thead>
<tr>
<th>Order #</th>
<th>Date DMDC Cardstock Order (BOD) due to GSA Prime/CM</th>
<th>Cardstock Quantity</th>
<th>GSA Prime/CM Cardstock Delivery Date to DMDC (or CM Vault)</th>
</tr>
</thead>
<tbody>
<tr>
<td>BO #</td>
<td>DD/MM/YYYY</td>
<td>10-100K</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>BO #</td>
<td>DD/MM/YYYY</td>
<td>10-100K</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>BO #</td>
<td>DD/MM/YYYY</td>
<td>10-100K</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>BO #</td>
<td>DD/MM/YYYY</td>
<td>10-100K</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>BO #</td>
<td>DD/MM/YYYY</td>
<td>10-100K</td>
<td>DD/MM/YYYY</td>
</tr>
</tbody>
</table>

Once both parties agree upon the delivery schedule, Agency provides a full acceptance letter that documents the cardstock successfully passing DoD testing requirements and the approved delivery schedule. An example Agency full acceptance letter is available in Appendix B.

3.2. Batch and Shipping Order Descriptor XML files

For an in-depth description, please reference Chapter 6 Section 3 and Appendices B and C in the Pre-Issuance Specification.

As outlined in the Pre-Issuance Specifications (Chapter 6.3) Agency will communicate cardstock orders via Batch Order Descriptor (BOD) XML files. These files will be sent from an approved Agency representative to the e-mail address provided by the card manufacturer. Based on past experience, it is advisable that the card manufacturer develop a generic e-mail address that distributes the BOD to the...
Appropriate personnel. The BOD may be sent on the date agreed upon in the delivery schedule or several days/weeks ahead of schedule.

Once the cardstock has been created, the card manufacturer notifies the appropriated Agency personnel that the cardstock is available in the vault and then submits the Batch Deliver Descriptor (BDD) XML to the appropriate Agency personnel via the e-mail address. The Agency imports the BDD into the databases and then chooses to either allow the cardstock to remain in the vault (for a future order) or to immediately place orders against the cardstock in the vault via the Shipping Order Descriptor (SOD) XML file.

SODs may be issued by Agency several times a month, several times a week, or several times a day depending on cardstock requirements and locations the cardstock must be shipped to. Each SOD is for a specific location and against a specific batch and it is up to the card manufacturer to determine which stack(s) from the Batch will be used to fulfill the SOD. The e-mail containing the SOD will also specify the method for shipping the cardstock and the date the cardstock needs to be either shipped from the vault OR the date the cardstock must be received at the issuance site. If the card manufacturer is unable to meet the shipment date, Agency is immediately notified to determine if a workaround is available. Once the cardstock is shipped, the card manufacturer immediately e-mails the Shipping Delivery Descriptor (SDD) XML file to Agency via the e-mail address. The individual listed in the XML file is also notified via e-mail that the cardstock is being shipped to them. Once Agency receives the SDD it is uploaded to their issuance system and the issuance sites are able to begin issuing the cardstock.

As a recap:
- Batch Order Descriptors (BODs) will be sent from Agency to GSA Primes/Card Manufacturer’s in accordance with the Delivery Schedule timeline.
- Shipping Order Descriptors (SODs) will be sent from Agency to GSA Primes/Card Manufacturer’s at a minimum three days prior to expected shipment date.
- Batch Delivery Descriptors (BDDs) must be provided to Agency within 24 hours of the cardstock being stored within the Card Manufacturer’s Vault. Failure to provide timely BDDs can lead to Agency issuance delays and the associated costs may be forwarded to the GSA Prime.
- Shipping Delivery Descriptors (SDD) must be provided to Agency within 24 hours of the cardstock leaving the Card Manufacturer’s Vault. Failure to provide timely BDDs can lead to Agency issuance delays and the associated costs may be forwarded to the GSA Prime.

This entire process is documented below in Exhibit 2-2.
### Exhibit 2-2

**Overview of Cardstock Order and Shipment Process**

1. **Card Manufacturer (CM) and Agency mutually agree on cardstock generation and shipping schedule.**
2. **Inventory logistics personnel/system creates BOD XML file and e-mails to CM.**
3. **CM creates cardstock IAW/contract BOD and stores in CM vault.**
4. **CM forwards BDD XML file to Agency.**
5. **Cardstock will continue accumulating in CM vault.**
6. **Is additional cardstock needed?**
   - **No:** Cardstock will continue accumulating in CM vault.
   - **Yes:**
     1. **Agency inventory logistics personnel/system generates SOD XML file.**
     2. **Agency e-mails SOD XML file to CM noting cardstock delivery date.**
     3. **CM uploads SOD into their issuance system and packages cardstock IAW SOD & e-mail.**
8. **CM notifies issuance site POC (via e-mail) of upcoming shipment and ships cardstock.**
9. **CM forwards SDD XML to Agency.**
10. **Agency ships requested cardstock to issuance site(s).**
11. **Agency loads BDD XMLs in databases.**
12. **Agency reviews smart card inventory at issuance sites.**
13. **Is additional cardstock needed?**
    - **No:** Cardstock will continue accumulating in CM vault.
    - **Yes:**
      1. **Agency inventory logistics personnel/system generates SOD XML file.**
      2. **Agency e-mails SOD XML file to CM noting cardstock delivery date.**
      3. **CM uploads SOD into their issuance system and packages cardstock IAW SOD & e-mail.**
      4. **CM notifies warehouse POC (via e-mail) of upcoming shipment and ships cardstock.**
      5. **CM forwards SDD XML to Agency.**
      6. **Agency ships requested cardstock to issuance site(s).**
      7. **Agency loads BDD XMLs in databases.**
      8. **Agency reviews smart card inventory at issuance sites.**
      9. **Is additional cardstock needed?**
         - **No:** Cardstock will continue accumulating in CM vault.
         - **Yes:**
           1. **Agency inventory logistics personnel/system generates SOD XML file.**
           2. **Agency e-mails SOD XML file to CM noting cardstock delivery date.**
           3. **CM uploads SOD into their issuance system and packages cardstock IAW SOD & e-mail.**
           4. **CM notifies warehouse POC (via e-mail) of upcoming shipment and ships cardstock.**
           5. **CM forwards SDD XML to Agency.**
           6. **Agency ships requested cardstock to issuance site(s).**
           7. **Agency loads BDD XMLs in databases.**
           8. **Agency reviews smart card inventory at issuance sites.**
           9. **Is additional cardstock needed?**
              - **No:** Cardstock will continue accumulating in CM vault.
              - **Yes:**
                1. **Agency inventory logistics personnel/system generates SOD XML file.**
                2. **Agency e-mails SOD XML file to CM noting cardstock delivery date.**
                3. **CM uploads SOD into their issuance system and packages cardstock IAW SOD & e-mail.**
                4. **CM notifies warehouse POC (via e-mail) of upcoming shipment and ships cardstock.**
                5. **CM forwards SDD XML to Agency.**
                6. **Agency ships requested cardstock to issuance site(s).**
                7. **Agency loads BDD XMLs in databases.**

### 3.3. Smart Card Product Identifiers
4. RETURNED CARDSTOCK

There have been a few occasions where multiple batches of cardstock has been returned to Agency (either from the Agency warehouses or the issuance sites) due to either physical (magnetic stripe placement, poor printing, surface contaminants) or logical discrepancies (malfunctioning chips). In these instances if the cardstock return is determined to be due to the card manufacturer, Agency has requested that the GSA Prime/Card Manufacturer restore the cardstock to the approved production quality standard and/or provided replacement cardstock.

This process is still being revised but the current process has been as follows:

Exhibit 4-1
Returned Cardstock Process
# APPENDIX A: GLOSSARY

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>APDU</td>
<td>Application Protocol Data Unit</td>
</tr>
<tr>
<td>BDD</td>
<td>Batch Delivery Descriptor</td>
</tr>
<tr>
<td>BOD</td>
<td>Batch Order Descriptor</td>
</tr>
<tr>
<td>CRS</td>
<td>Card Repository System</td>
</tr>
<tr>
<td>GC</td>
<td>General Container</td>
</tr>
<tr>
<td>IAW</td>
<td>In Accordance With</td>
</tr>
<tr>
<td>ID</td>
<td>Identity</td>
</tr>
<tr>
<td>PKI</td>
<td>Public Key Infrastructure</td>
</tr>
<tr>
<td>SDD</td>
<td>Shipping Delivery Descriptor</td>
</tr>
<tr>
<td>SOD</td>
<td>Shipping Order Descriptor</td>
</tr>
</tbody>
</table>
APPENDIX B: SAMPLE AGENCY ACCEPTANCE LETTER

TO: <GSA Prime - Prime POC>
CC: <Card Manufacturer - CM POC>
FROM: Smart Card Programs and Operations - Deborah Gallagher (COR)
DATE: DD/MM/YYYY
SUBJECT: Defense Manpower Data Center (DMDC) acceptance of <CM> cardstock

This memorandum confirms that the <CM> Cardstock has been tested and accepted by Defense Manpower Data Center (DMDC) based on the following criteria:

<table>
<thead>
<tr>
<th>Testing Criteria</th>
<th>Testing and Acceptance Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Card Body Specification</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>Visual Pre-Personalization</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>Electrical Pre-Personalization (Test Keys/Cards)</td>
<td>DD/MM/YYYY (Key Ceremony)</td>
</tr>
<tr>
<td>Electrical Pre-Personalization (Production Keys/Cards)</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>Batch Delivery Description &amp; Site Shipping Delivery Description</td>
<td>DD/MM/YYYY</td>
</tr>
<tr>
<td>Packaging material and labeling</td>
<td>DD/MM/YYYY</td>
</tr>
</tbody>
</table>

In accordance with the <DD/MM/YYYY> agreement <GSA Prime/CM> provided DMDC the following delivery schedule for the <Task Order cardstock security> cards associated with Task Order <TO #>:

<table>
<thead>
<tr>
<th>Cardstock Shipped/delivered to Vault</th>
<th>Quantity</th>
<th>Batch Order Number (Date DMDC Submitted to GSA Prime/CM)</th>
</tr>
</thead>
<tbody>
<tr>
<td>DD/MM/YYYY</td>
<td>TBD</td>
<td>BCD # (DD/MM/YYYY)</td>
</tr>
<tr>
<td>DD/MM/YYYY</td>
<td>TBD</td>
<td>BCD 7 (DD/MM/YYYY)</td>
</tr>
<tr>
<td>DD/MM/YYYY</td>
<td>TBD</td>
<td>BCD 8 (DD/MM/YYYY)</td>
</tr>
<tr>
<td>DD/MM/YYYY</td>
<td>TBD</td>
<td>BCD 9 (DD/MM/YYYY)</td>
</tr>
</tbody>
</table>

The Shipping Order for each of these batches will be provided via email to <CM> via a Shipping Order XML file no later than three days ahead of the expected shipping date.

All shipments are to be shipped in accordance with the requested delivery timeline at the time the Shipping Order XML file is sent. We routinely request shipment via FedEx 3day economy service unless otherwise advised. The FedEx billing number to be used is Account # <TBD>.

Deborah S. Gallagher


16 Smart Card Cardstock Acceptance and Sustainment Process v 0.5.

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