

Date of receipt : 19 SEP 2008 NATO UNCLASSIFIED RELEASABLE TO PFP
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Bi-SC DIRECTIVE
 NUMBER 25-1

TT 205137/3269
 15 September 2008

Bi-SC INFORMATION AND KNOWLEDGE MANAGEMENT (IKM) DIRECTIVE

This is a new Bi-Strategic Command (Bi-SC) Directive.

- References:
- A. C-M(2007)0118, NATO Information Management Policy (NIMP), dated 11 Dec 07.
 - B. 2200/SHCGD/073/07 – 203491, 5000 C-215/TT-2256/Ser: NU 0065, Bi-SC IKM Vision and Strategic Concept, dated 04 Dec 07.
 - C. NCSA Operating and Support Instruction OSI A-02-02, dated 31 Jan 06.

1. **Applicability.** This directive is applicable to all units within Allied Command Operations (ACO) and Allied Command Transformation (ACT).
2. **Interim Changes.** Interim changes are authorised when approved by the Chief of Staff (COS) HQ SACT and COS SHAPE.
3. **Purpose.** To provide direction to all headquarters/entities within ACO and ACT on the implementation, use and maintenance of Information Management (IM) practices in support of Reference A¹.
4. **Explanation of Terms.** See Annex A.
5. **Proponents.** This responsibility falls on the IM Senior Officials of ACO and ACT.

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CMC ..✓	FC IMS
DCMC ..✓	SUPACT
DIMS ..✓	ADM/CON
EXCO ..✓	HRO
EXCEL...✓	LEGAL
INT ..✓	HD REG
P&P ..✓	SACEUREP ..✓
C:RS ..✓	SACTREP ..✓
OPS ..✓	MILREPS
L R ..✓
C3S ..✓
PIA ..✓	RECORDS ...✓

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¹ To support NATO in the conduct of its mission by efficient and effective IM, enabling decision-making by the sharing of information within and between NATO, the Nations and their respective Communities of Interest.

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CHAPTER 1

OVERVIEW

1-1. Introduction

- a. Information is fundamental to exercise command; it is both a corporate asset and a force multiplier. IM is a discipline that directs and supports the handling of information throughout its life-cycle ensuring it becomes the right information to the right person at the right time and in the right form. As the Bi-SC structure moves to become a Knowledge Centric Organisation (KCO), IM becomes a critical enabler to Knowledge Management (KM).
- b. Effective KM allows the organisation to exploit corporate and individual knowledge. KM is a multi-disciplined approach required to achieve organisational objectives by making the best use of information, expertise, insights, and best practices.
- c. This directive focuses on the IM roles, responsibilities and structures in order to assist in the efficient and effective IM and to establish a foundation for the future development of KM within the Bi-SC structure. In addition, this directive provides for the required supporting structures within the Bi-SC and IM in support of operations and exercises.
- d. Annex A provides commonly used acronyms, terms, and definitions. Annex B provides expectations with regard to Bi-SC naming convention.

1-2. **Principles.** In accordance with Reference A, the Bi-SC IKM Vision and Strategic Concept implementation shall be governed by the following seven principles:

- a. **Information is a Corporate Resource.** Information is a corporate resource and shall be managed as such to support NATO's missions², consultation, decision-making processes, and operational requirements by organising and controlling information throughout its life-cycle, regardless of the medium and format in which the information is held.
- b. **Information Ownership and Custodianship.** Information shall have an originator, and clearly defined ownership and custodianship assigned throughout its life-cycle.
- c. **Leadership and Organisational Structure.** Management of information is a fundamental responsibility which shall require executive leadership, top-level involvement, and the creation and maintenance of an effective organisational structure.

² Missions include NATO operations, projects, programmes, contracts and other related tasks.

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d. **Information Sharing.** Information shall be managed with an emphasis on the 'responsibility-to-share' balanced by the security principle of 'need-to-know', and managed to facilitate access, optimise information sharing and re-use, and reduce duplication, all in accordance with security, legal and privacy obligations.

e. **Information Standardisation.** Information shall have standardised structures and consistent representations to enable interoperability, cooperation and more effective and efficient processes.

f. **Information Assurance.** Information shall be protected by applying the principle of Information Assurance, which is described as the set of measures to achieve a given level of confidence in the protection of communication, information and other electronic systems, non-electronic systems, and the information that is stored, processed or transmitted in these systems with respect to confidentiality, integrity, availability, non-repudiation and authentication.

g. **Information Needs.** Information needs shall be determined as part of the planning and architecture processes³ to meet intended activities and effects.

³ The activities of designing and maintaining a representation (i.e. blueprint) of components of a business (i.e. organisations, processes and information technology) and their relationships in order to understand where, when, and why information is required.

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CHAPTER 2

ROLES AND RESPONSIBILITIES

2-1. Heads of NATO Military Bodies. Heads of NATO military bodies are responsible, within their organisations and NATO Communities of Interest (NCOI), for the effective and efficient implementation of the NIMP and its supporting directives and the strategic direction given by the NC3B. In accordance with the NIMP, the Heads of NATO military bodies shall:

- a. Ensure compliance, in coordination with the NC3B, with the NIMP, related policies and supporting directives;
- b. Ensure compliance, in coordination with the appropriate security authorities, with the NATO Security Policy and its supporting directives;
- c. Ensure, in coordination with the NATO Archivist, the retention and disposition of information in accordance with established policies and procedures;
- d. Identify and protect essential information to ensure the continuity of key services and operations;
- e. Assess the effectiveness and efficiency of the management of information throughout its life-cycle and continuously improve IM capabilities;
- f. Implement and maintain organisational, governance and accountability structures, and training programmes, for the management of information;
- g. Ensure the participation of all constituent parts of the organisation in the definition, development and execution of IM;
- h. Ensure the availability of appropriate resources to support IM;
- i. Appoint an IM Senior Official; and
- j. Appoint Information Managers, as required, to support the IM Senior Official.

2-2. IM Senior Official. The IM Senior Official in each military body shall be the COS or equivalent and shall be responsible for all matters IKM related. The IM Senior Official shall:

- a. Report to the Head of the military body on all IM related matters;
- b. Establish an IM Plan, including IM priorities, based on their organisation's requirements and available resources, NATO's IM Strategic Plan and other plans that have an impact on their organisation;
- c. Ensure coordinated IM improvements to internal processes and supportive IM resources;

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- d. Evaluate, and report on, internal IM based on criteria established by the NC3B;
- e. Provide an environment that improves the discoverability, accessibility, delivery, and understanding of information, as required, across different management and security domains;
- f. Ensure the implementation of and adherence to the IM framework (e.g., for metadata, data schema, and data and records management) and common protocols regarding information quality and integrity as established by the NC3B;
- g. Implement and maintain IM education, training and awareness programmes for all personnel;
- h. Liaise with all constituent parts of the organisation to define IM needs, and to develop and execute IM;
- i. Establish a Central IM Facility (see para 3-1);
- j. Build and maintain an IM Structure in the headquarters to include, as a minimum, representation at the divisional level, (see para 3-2);
- k. Liaise with appropriate NATO bodies on IM related matters, for example policy development, security, systems acquisition, integration, interoperability and operation;
- l. Liaise, where required, with national authorities and organisations on IM related matters;
- m. Agree on service levels with information service providers;
- n. Establish a Headquarters IKM Support Group in order to coordinate with all constituent parts of the organisation to define IM needs, to develop and execute IM and liaise with the Bi-SC IKM WG established in Reference B; and
- o. Convene, chair and participate in IM/IKM related meetings as required.

2-3. Information Manager. The Information Manager in each military body shall be the Director of Management (DOM)/Director of Staff (DOS) or equivalent and shall ensure efficient IM on behalf of the IM Senior Official. Information Managers shall report to the IM Senior Official and shall:

- a. Implement and maintain the IM Plan;
- b. Identify and implement IM improvements;
- c. Ensure IM improvements to internal processes and supportive IM resources in coordination with internal functional elements;

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- d. Ensure IM policies are implemented by the Central IM Facility;
- e. Oversee service delivery in support of IM;
- f. Evaluate, and report on, internal IM based on criteria established by the IM Senior Official;
- g. Define and promulgate guidance, rules and procedures for the effective and efficient collection, organisation, storage and dissemination of information throughout the HQ in order to improve information sharing across traditional divisional boundaries;
- h. Contribute to an environment that improves the discoverability, accessibility, delivery and understanding of appropriate information, as required, across different management and security domains;
- i. Implement, and ensure adherence to, IM standards (e.g., for metadata, data schema, and data and records management) and common protocols regarding information quality and integrity as directed by the IM Senior Official;
- j. Coordinate and contribute to IM education, training and awareness programmes, including:
 - (1) Establishing a permanent IM training structure within the HQ;
 - (2) Training for all personnel, including augmentees and affiliated subordinate formations; and
 - (3) Appropriate training to IKM personnel, including professional courses.
- k. Chair a Headquarters IKM Support Group in order to coordinate with all constituent parts of the organisation to define IM needs, and to develop and execute IM;
- l. Liaise with other Information Managers as required; and
- m. Monitor and report on service provision against the agreed service level.

2-4. IKM Head. The IKM Head reports directly to the Information Manager for IKM matters and, with the network of IKM Support Officers, shall support both the IM Senior Official and Information Manager in their IKM functional roles. Specifically the IKM Head shall:

- a. Implement, coordinate and maintain IM education, training and awareness programmes for all personnel within the organisation;
- b. Liaise with constituent units for the definition, development and execution of IKM;

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- c. Liaise with appropriate NATO bodies on IM related matters (e.g. policy, development, systems acquisition, integration, interoperability and operation);
- d. Contribute to the establishment and maintenance of the IM Plan;
- e. Identify and implement IM improvements;
- f. Oversee service delivery in support of IM;
- g. Contribute to an environment that improves the discoverability, access, delivery, and understanding of appropriate information, where required crossing different management and security domains;
- h. Ensure IM best practice through liaison and dialogue with other headquarters IKM sections as required;
- i. Monitor and report on service provision against the agreed service levels; and
- j. Participate in the Headquarters IKM Support Group in order to coordinate with all constituent parts of the organisation to define IM needs, and to develop and execute IM.

2-5. IKM Support Officer. At every headquarters, each division or key functional area will be represented by a nominated IKM Support Officer. Depending upon the size and the IKM needs of the respective division or key functional area, this may be a secondary duty. IKM Support Officers shall:

- a. Act as the focal point for all IM related matters within the division or functional area;
- b. Ensure that all IM activities within their division/functional area are coherent and integrated with overall IM policies, directives, guidance and planned initiatives;
- c. Participate in the applicable HQ IKM Support Group;
- d. Maintain an IKM structure that reflects the specific needs of the division/functional area;
- e. Identify IKM requirements at division/functional area level and communicate those requirements to the HQ IKM group;
- f. Ensure that the implementation and use of all IM tools within the division/functional area complies with IKM direction;
- g. Promote effective and efficient collection, organisation, storage and dissemination of information within their division in order to enhance information sharing; and

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- h. Undergo appropriate IM training.

2-6. **Individuals.** Individuals shall comply with this directive, its supporting directives and local implementation guidance and plans.

2-7. **Originators.** Originator refers to the nation or organisation under whose authority the information has been produced or introduced into NATO. Originators shall:

- a. Apply relevant rules and standards to their information; and
- b. Approve the release of information into NATO.

2-8. **Information Owners.** Information owner refers to the nation or organisation which creates and maintains content, defines access rules, negotiates and agrees to release constraints, establishes disposition instructions, and is the authority for the life-cycle of information. Information owners shall:

- a. Set the rules for handling the information throughout its life-cycle in line with NATO policies and procedures;
- b. Identify retention and disposition instructions for their information at time of its creation. These instructions shall be in accordance with overall NATO retention and disposition policies and directives;
- c. Apply metadata and markings to facilitate sharing and control of their information; and
- d. Establish rules for the transfer of ownership.

2-9. **Information Custodians.** Information custodian refers to the nation or organisation which receives information and makes it visible and is responsible to the information owner for the agreed level of safe-keeping and availability of information. Information custodians shall:

- a. Enforce the information owners' specifications for all stages of the information life-cycle;
- b. Control access to the information; and
- c. Ensure that custodianship is maintained throughout the life-cycle, as required by the information owner.

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CHAPTER 3

SUPPORTING STRUCTURES

3-1. **Central IM Facilities.** The transformation to a KCO increases the importance of individuals and organisations to manage information appropriately. In order to ensure the passage and access of information in the most efficient manner, the IM Senior Official shall determine the most efficient and effective flow of information with a goal of moving towards a central information management facility to act as a single point of ingress and egress for finalized and approved records. The organisation and function of central IM facilities may vary according to the headquarters' size, structure and operational posture. Typically the responsibilities of central IM facilities include:

- a. Establishing and managing information registries and repositories;
- b. Providing registry services in accordance with NATO Security Policy;
- c. Managing HQ mail and related services;
- d. Ensuring the correct and timely distribution and dissemination of finalised and approved records;
- e. Managing and advising on the categorisation of information, records-management and disposition of information;
- f. Functional administration of electronic document systems, including managing access rights;
- g. Assisting with information searches; and
- h. Conducting information audits (e.g. classified information, duplicate data, redundant files, unused team sites).

3-2. **Headquarters IKM Coordination.** Effective IM requires interaction among IKM and IM officials and divisions/functional areas. To facilitate this, each headquarters shall establish an IKM Support group to oversee and implement policies and tools. Chaired by the Information Manager and composed of the IKM Head and the IKM Support Officers of the divisions/functional areas, the group will report to the Senior IM Official and provide oversight, direction and policy guidance for the headquarters, ensure the implementation of IM policies, directives and supporting tools within the headquarters and provide a venue for feedback from the users of the headquarters for changes to policies, directives and supporting tools. Additional groups may be established to manage specific topics and projects.

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CHAPTER 4

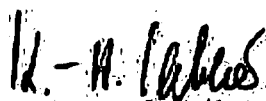
OPERATIONS AND EXERCISES

4-1. IM in support of operations and exercises places additional demands upon IM Structures. Planning for each operation or exercise shall include the provision of adequate resources for IM matters. In addition to the standard components of an IM Plan, the IM Plans developed in support of operations and exercises must take into account interoperability with non-NATO entities.

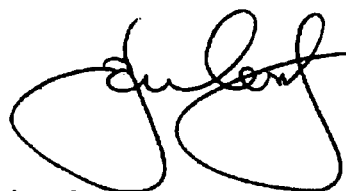
4-2. IM Plans in support of operations and exercises shall take into the account, as a minimum, the need to:

- a. Migrate and recover information;
- b. Communicate between component HQ and deployed components (reachback);
- c. Discretely manage mission critical /supporting info;
- d. Safeguard NATO information;
- e. Train in the use of mission specific applications/systems;
- f. Manage multiple domains;
- g. Exchange information with non-NATO entities in accordance with the principle of information assurance;
- h. Take into account the limitations of deployed CIS and forces;
- i. Apply records management; and
- j. Transfer information of permanent value and associated metadata that is no longer required for current missions to the NATO Archives.

FOR THE SUPREME ALLIED COMMANDERS, EUROPE AND TRANSFORMATION:



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ANNEXES:

- A. Terminology
- B. Naming Conventions

DISTRIBUTION:

External –

Action:

COS JFC HQ Brunssum
COS JFC HQ Naples
COS Joint HQ Lisbon

Information:

NATO HQ // NC3B / IMS
NCSA HQ // IKM
NC3A
NAEW&C FC HQ

Internal –

Action:

SHAPE:

ACOS J1
ACOS J2
ACOS J3
ACOS J4
ACOS J5
ACOS J6
ACOS J7
ACOS J8
ACOS J9
COM HSG
OPOLAD
OLEGAD
PAO
Protocol
ODOS IKM

HQ SACT:

HQ SACT Directive 35-1
List I & II

TERMINOLOGY

	MEANING	DEFINITION
ACO	Allied Command Operations	
ACT	Allied Command Transformation	
AD	Active Directory	
AFPL	Approved Fielded Product List	
Bi-SC	Bi Strategic Commands	ACO and ACT
COS	Chief of Staff	
DHS	Document Handling System	
ECP	Engineering Change Proposal	
Enterprise		Across all levels of the Bi-SC.
EPOW	Experimentation Programme of Work	
GAL	Global Address List	
HQ	Headquarters	
IKM	Information and Knowledge Management	
IM	Information Management	The discipline that directs and supports the handling of information throughout its life-cycle ensuring it becomes the right information in the right form and of adequate quality to satisfy the demands of an organisation.

	MEANING	DEFINITION
Information Custodian		Refers to the nation, organisation, which receives information and makes it visible and is responsible to the information owner for the agreed level of safe-keeping and availability of information.
Information Owner		The nation or organisation which creates and maintains content, defines access rules, negotiates and agrees to release constraints, establishes disposition instructions, and is the authority for the life-cycle of information.
KCO	Knowledge Centric Organisation	It is the organisation which deliberately and systematically exploits NATO information and expertise, and proactively manages its information and knowledge management processes.
KM	Knowledge Management	KM is a multi-disciplined approach to achieving organisational objectives by making the best use of information, expertise, insights, and best practices.
metadata		Data about information.
military body		Refers to ACT, ACO and all constituent units.
mission		Missions include NATO operations, projects, programmes, contracts and other related tasks.
NC3B	NATO Consultation, Command and Control Board	
NCOI	NATO Community of Interest	A collaborative group of users who must exchange information in pursuit of their shared goals, interests, missions or business processes and who therefore

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	MEANING	DEFINITION
		must have shared vocabulary for the information they exchange.
NCSA	NATO Communications Support Agency	
NIMP	NATO Information Management Policy	
NIP	NATO Information Portal	
Originator		The nation or international organisation under whose authority the information has been produced or introduced into NATO.
Record		An official signed document.
SACT	Supreme Allied Commander Transformation	
SPOW	Scientific Programme of Work	
TTE	Tasker Tracker Enterprise	

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ANNEX B TO
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DATED 15 SEP 08

NAMING CONVENTIONS

1. As per Reference C, the NCSA, as tasked by the NC3B, is responsible for the development and implementation of Naming Conventions for NATO Automated Information Systems. Naming conventions are an important element of information standardization, which is one of the Principles stated in the NIMP (Reference A). To ensure that naming conventions meet the needs of the Bi-SC, the Bi-SC IKM WG is the authority to coordinate and liaise with NCSA.
2. The goals of naming rules across the Bi-SC enterprise are:
 - a. To ensure names are unambiguous and unique;
 - b. To standardise naming formats;
 - c. To provide essential personal/organisational information;
 - d. To improve search ability; and
 - e. To facilitate interoperability with other domains.
3. Bi-SC bodies shall ensure NCSA naming conventions are applied. This shall include:
 - a. Active Directory;
 - b. Global Address List (GAL) display names (individual and group mailboxes); and
 - c. User display names for all applications.