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COMBINED FEDERATED BATTLE LABORATORIES NETWORK (CFBLNet)



PUBLICATION 1 ANNEX H

CFBLNet INFORMATION MANAGEMENT GUIDANCE

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CHAPTER 1 – INTRODUCTION

Purpose

101. Annex H to the CFBLNet Pub 1 defines the management policies, processes and procedures for CFBLNet information management documents, which functions under the authority of the CFBLNet Technical Arrangement / Charter.

Authority

102. The C-EG is the issuing authority for Annex H acting on behalf of the C-SSG. The provisions of this and all associated publications shall govern the conduct of all information management activities performed by the CFBLNet participants, subject to their respective laws and military regulations.

103. The Information Management Working Group (IMWG) is the technical body, comprised of appropriate representatives from the CFBLNet Mission Partners, which supports the information management guidance and staffing process for the CFBLNet on behalf of the C-EG. The terms of reference, membership and responsibilities of the IMWG are described within Annex A.

Document Structure

104. Pub 1, Annex H has the following structure:

- a. Introduction
- b. Guidance for CFBLNet Information Management
- c. Information Management Tools

Rationale

105. Pub 1, Annex H establishes the basic principles of information management to be applied by the CFBLNet community, CMP and GMP. This is to support CFBLNet in the conduct of its mission and effective information management, enabling decision-making by the sharing of information within the CFBLNet community.

Scope

106. This Annex establishes a framework to ensure that information is handled effectively, efficiently and securely in order to serve the interests of the CFBLNet community. This includes managing all aspects of information throughout its lifecycle.

107. Within this policy, the term ‘information’ is used to embrace all information, including related data, required in support of the CFBLNet, whether such information originates in the CFBLNet community, a CMP/GMP, or other source(s). Such information, and the media and resources used to record and process it, shall be managed in accordance with policy and other relevant CFBLNet agreements and legal obligations.

Amendments

108. Pub 1 Annex H may be amended when the IMWG determines that there is an identified requirement. The IMWG Chair will propose the text of the amendment to the IMWG members for endorsement. Once the IMWG members have endorsed the amendment, it will be submitted for C-EG approval. Upon approval by the C-EG, the Secretariat will re-issue a new version of Annex H.

Effective Date

109. The current version of CFBLNet Pub 1, Annex H is effective upon the latest approval by the C-EG.

CHAPTER 2 – GUIDANCE FOR CFBLNet INFORMATION MANAGEMENT

Objectives

201. The key objectives of Information Management are to:

- a. support the achievement of the CFBLNet vision to be the network or choice for C4ISR;
- b. support the effective and efficient use of information resources in the conduct of CFBLNet Initiatives; and
- c. support the identification and preservation of information of lasting value to the CFBLNet community.

Principles

202. Information as a Corporate Resource. Information is a corporate resource and shall be managed to support the CFBLNet vision whether being used for consultation or decision making. This management process shall organize and control the information throughout its lifecycle regardless of the medium and format in which the information is held.

203. Information Ownership and Custodianship. Information shall have an originator, and clearly defined ownership and custodianship assigned throughout its lifecycle.

204. 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 effective organisational structure.

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

206. 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.

207. Information Needs. Information needs shall be determined as part of the planning and architecture processes to meet intended activities and effects.

Roles and Responsibilities

208. It is the responsibility of:

- a. Individuals who produce or have authorised access to information to follow the principles of information management as set out in this Annex;

- b. Originators to apply relevant rules and standards to their product;
- c. Information owners:
 - i. To set the rules for handling the information throughout its lifecycle in line with the relevant policies and procedures;
 - ii. To establish rules for the transfer of ownership;
- d. Information custodians to manage and provide the information under their custodianship in accordance with the rules established by the information owners;
- e. The Chair of the C-EG:
 - i. To identify and forward C-EG information to be archived by the Secretariat;
 - ii. To ensure the disposition of CFBLNet information is in accordance with established policies and procedures;
 - iii. To assess the effectiveness and efficiency of CFBLNet information management throughout its lifecycle;
 - iv. To implement organizational, governance and accountability structures, within the CFBLNet, for information management;
 - v. To monitor CFBLNet community compliance with this Annex;
 - vi. To ensure coordinated implementation of this Annex's objectives within the CFBLNet community; and
 - vii. To be the identified member responsible for information management within the C-EG. This responsibility cannot be delegated.
- f. The Chair of a CFBLNet working group:
 - i. To identify and forward WG information to be archived by the Secretariat;
 - ii. To ensure the disposition of CFBLNet information in accordance with established policies and procedures;
 - iii. To assess the effectiveness and efficiency of CFBLNet information management throughout its lifecycle;
 - iv. To implement organizational, governance and accountability structures, within the WG, for information management; and
 - v. To be the identified member responsible for information management within the WG. This responsibility can be delegated.
- g. The members of a CFBLNet group (C-EG, and WGs):
 - i. To follow this Annex when handling CFBLNet information;
 - ii. To identify and forward information to be archived to their respective chair;
 - iii. To support the disposition of information in accordance with established policies and procedures; and
 - iv. To be individually responsible for supporting their chair in achieving information management.

- h. The Secretariat:
 - i. To maintain the information archive to ensure the availability of information passed to the Secretariat for archive;
 - ii. To ensure the disposition of CFBLNet information in accordance with established policies and procedures;
 - iii. To assess the effectiveness and efficiency of information management throughout its lifecycle;
 - iv. To implement organizational, governance and accountability structures, and training programmes, for information management; and
 - v. To be the identified member responsible for information management within the Secretariat staff. This responsibility can be delegated.
- i. The CLRs and GLRs:
 - i. To identify and protect CMP, GMP and CFBLNet information to ensure the continuity of key services and operations;
 - ii. To ensure the disposition of CFBLNet information in accordance with established policies and procedures;
 - iii. To assess the effectiveness and efficiency of information management throughout its lifecycle;
 - iv. To implement organizational, governance and accountability structures, and training programmes, for information management; and
 - v. To be the identified CMP or GMP member responsible for information management. This responsibility can be delegated.
- j. Other members of the CFBLNet community:
 - i. To follow the principles of information management as set out in this Annex;
 - ii. To recognize that information management is an integral element of their job function; and
 - iii. To treat the information used or produced in the course of performing their duties as a strategic resource and in line with legal and policy requirements.

Release and Public Disclosure of Information

209. Release and public disclosure of information shall be in accordance with Pub 1 and other CFBLNet signed policy documents.
210. Information with release restrictions should be marked as such by the originator.
211. All documents posted and distributed must be labelled on each page. It is preferred that each page of the documents be labelled centrally in the header and footer of the page.
212. CFBLNet documents are all unclassified and are either hosted on the public website or the authorized password-protected website.

Information Categorisation

213. CFBLNet uses metadata elements to describe and categorise information. For each identifiable item of CFBLNet information the metadata elements shall, as a minimum include:

- a. Identity of information owner;
- b. Identity of information custodian;
- c. Security and caveat level;
- d. Formality level; and
- e. Information type.

CFBLNet Information Formality Levels

214. Information used to support the business of CFBLNet will be at one of four possible formality levels:

- a. **Ephemeral** – Information may be posted, created or deleted at any time by any member of the CFBLNet community. No archive is maintained by CFBLNet. Ephemeral information should not be referred to in more formal documents (but the content may be incorporated into a more formal document if appropriate). Examples of ephemeral information are early drafts of work-in-progress and routine verbal & electronic conversations (e.g. E-mails, telephone calls, un-minuted teleconferences, meeting conversations, external documents, etc.).
- b. **Transitory** – Information at the “Transitory” formality level may only be created by members of the CFBLNet community performing a designated role (e.g. WG chair, Secretariat, Initiative Lead, editor, etc.) in accordance with a specific procedure defined in CFBLNet Pub1 (e.g. CIIP processing, minuting a meeting, editing a document, etc.). No permanent archive is maintained by CFBLNet, but the information is distributed to the relevant people via email and kept available in an appropriate collaborative workspace for a reasonable period or until it is superseded. Some form of version control must be used for transitory information, and a version history is desirable (for some transitory documents the approach to take is specified in Pub1, such as the change request document for Pub1 revisions). Transitory information should not be referred to in Formal documents. Examples of Transitory information are documents circulated for review, active CIIPs, CFBLNet PoC spreadsheet, etc.
- c. **Formal** – Information at the “Formal” formality level may only be created by a member(s) of the CFBLNet community performing a specific designated role (e.g. C-EG chair, WG chair, CLR/GLR, SME, or Secretariat) in accordance with a specific procedure defined in CFBLNet Pub1 (e.g. SME brief, minutes of a meeting, approved site nomination, etc.). Reasonable care must be taken to ensure that documents are not made Formal until they have received an appropriate level of review and there are no unresolved disagreements or known errors, or significant omissions. A permanent archive is maintained by the CFBLNet Secretariat. The information is distributed to the relevant people via email and kept available in an appropriate collaboration workspace for a reasonable period or until it is superseded. Version control must be

used for Formal information with a version history according to the procedure specified in Pub1 for the document concerned. Examples of Formal information are agreed minutes, archived CIIPs, CFBLNet basic guides, etc.

- d. **Signed** – Information at the “Signed” formality level may only be created by the C-SSG Chair and C-EG Chair in accordance with a specific procedure defined in CFBLNet Pub 1 (e.g. Communiqué, Strategic Plan, etc.). The information is distributed to the relevant people via email and kept available in an appropriate collaboration workspace for a reasonable period or until it is superseded. Version control must be used for signed information with a version history (archived by the Secretariat) according to the procedure specified in Pub1 for the document concerned. Signed documents take precedence over all other CFBLNet documents, but are subordinate to national law and treaty agreements. Examples of signed information are the CFBLNet Pub1, the CFBLNet Technical Arrangement / Charter, the CFBLNet Annual Report, and the CFBLNet Strategic Plan.

215. All CFBLNet information must conform to appropriate CFBLNet, CMP and GMP rules regarding such matters as:

- a. Appropriate information release;
- b. Professional standards of language;
- c. Avoidance of offensive content; and
- d. Accuracy.

CHAPTER 3 – INFORMATION MANAGEMENT TOOLS

General

301. There is a range of information management tools used for CFBLNet business. It is the responsibility of the initiator of the communication to select the most appropriate means of communication.

Telephone

302. The telephone is used for short informal two-person discussions.

303. Teleconferences are used for group discussions. Teleconferences will:

- a. Be preceded by a calling notice with appropriate distribution and notice period;
- b. Be chaired; and
- c. Result in minutes with a list of decisions made.

E-mail

304. Within the CFBLNet Community e-mail is the preferred/primary means of providing/distributing information.

305. The POC Listing is maintained by the Secretariat and is the authoritative definition of distribution lists for information distribution.

Collaborative Workspace

306. The information management of the CFBLNet collaborative workspaces is described in Chapter 4.

Web Sites

307. A number of public web spaces are maintained within the CFBLNet community. The currently known web pages are:

- a. <http://cfblnet.info/> (Alternate: <https://www.disa.mil/cfblnet>) (Public)
- b. <https://community.apan.org/international/cfblnet> (Public and Password protected)
- c. <https://wss.apan.org/s/CFBLNet/> (Password protected)
- d. <https://cfblinfo.ncia.nato.int> (Password protected, available to NWG members and CLRs/GLRs)

308. The CFBLNet Public page consists of the following:

- a. General overview information; and
- b. Publicly releasable CFBLNet documents.

CHAPTER 4 – CFBLNet DOCUMENTATION MANAGEMENT GUIDELINES

General

401. Given the global nature of CFBLNet activities, users from each participating CMP and GMP require the means to collaborate and communicate in an on-going manner, in order to plan, coordinate and engineer Initiatives scheduled on the CFBLNet. Participants also require a means to store and refer to information held within a common repository.

402. The ability to work, share and store information in a virtual environment is a paramount requirement for CFBLNet participants. There are various tools that can be used to facilitate such collaborative workspaces and share information through such means as email, phone and fax.

CFBLNet Collaborative Workspaces

CFBLNet collaborative workspaces consist of both permanent and ad-hoc workspaces allowing them to be created, used as well as shut-down at any time.

403. In addition, each CMP/GMP is able to request its own workspaces to meet its working requirements through the Secretariat.

Management Responsibilities – Workspace and Data

404. The Secretariat is responsible for maintaining CFBLNet collaborative workspaces authorised by the C-EG.

405. The Secretariat is responsible for the following actions:

- a. Maintain the following data tools and post them to the required workspace:
 - i. Initiatives Matrix
 - ii. Site Status Matrix
 - iii. Point of Contact (POC) List
 - iv. Primary collaboration site access and privileges list (if applicable)
- b. Conversion of specified documentation to .pdf format so that changes can be managed effectively.
- c. Development of directory structures and posting of information including CIIPs, Site Information Sheets and CFBLNet Publications.
- d. Archiving of information.
- e. Managing the structure of the information and data to ensure that it can be reached and utilized. Duplication should be avoided where possible.
- f. Management of the official CFBLNet calendar in the General workspace.

CMP/GMP Lead Representative (CLR/GLR) Responsibilities

406. CLRs/GLRs are responsible to maintain user access lists. They are responsible for approving all users and to remove users that have completed their CFBLNet obligations.

Workspace Management

407. Workspace management should follow best practice with regards to the following conventions:

- a. File Formats
- b. Filename Format
- c. Version usage
- d. Archiving Policy - Separate workspace/website

INFORMATION TRACKER FOR CFBLNET DOCUMENTATION

Document Title	File Type	Size	# of Authors	# of Users	Draft Term	Version Control # During Drafting?	Update Cycle	Term of Finished Document	Version Control # Finished Document?	Metadata Used?	Release Methods	Satisfied with Current Approach?	Improvement Suggestions
Charter/Technical Arrangement													
CFBLNet Charter	.doc/.pdf	>5	3	All			N/A	Permanent	N	N	Public Web Collab tool	N/A	
Pub 1													
Publication 1, Main Document	.doc /.pdf	>20		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex A	.doc /.pdf	<10		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex B	.doc /.pdf	<20		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex C	.doc /.pdf	<20		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex C, Appendices	.doc /.pdf	<30		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex D	.doc /.pdf	>15		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex D, Appendices	.doc /.pdf	<10		All	1 year	y	Biennial	Superseded	Y	y	UNIR	n	
Publication 1, Annex E	.doc /.pdf	<30		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex F	.doc /.pdf	<30		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	
Publication 1, Annex G	.doc /.pdf	<30		All	1 year	y	Biennial	Superseded	Y	y	Public Web Collab tool	n	

Document Title	File Type	Size	# of Authors	# of Users	Draft Term	Version Control # During Drafting?	Update Cycle	Term of Finished Document	Version Control # Finished Document?	Metadata Used?	Release Methods	Satisfied with Current Approach?	Improvement Suggestions
Publication 1, Annex H	.doc /.pdf	<30		All	1 year	y	Biennial	Superseded	y	y	Public Web Collab tool	n	
Publication 1, Annex I	.doc /.pdf	<10		All	1 year	y	Biennial	Superseded	y	y	Public Web Collab tool	n	
Annual Reports													
CFBLNet Annual Report	.doc /.pdf	<20	>10	All		y	Annual	<Year	y	y	Public Web Collab tool	y	
CMM Documents													
Strategic Plan	.doc /.pdf					y	As Req'd	Superseded	y	y	Collab tool	y	
Action Items	.doc /.pdf					n	As Req'd		n	n	Collab tool	y	
Follow-ups	.doc/.pdf	>10				n	As Req'd		n	y	Collab tool	y	
SSG Brief	.ppt	>40	3	All		n	As Req'd	Superseded	n	n	Collab tool	y	
Other Documents													
Collaborative Workspace Access and Privileges	.xls .pdf				>Day	n	As Req'd	Superseded	n	n	Collab tool	y	
CFBLNet POC List	.xls .pdf				>Day	n	As Req'd	Superseded	n	n	Collab tool	y	
NWG Meeting Minutes	.doc/.pdf	>5	2		>Week	n	Monthly	N/A	n	n	Collab tool	y	
Initiatives Matrix	.xls/.pdf	>5	3		>Day	n	Weekly	Superseded	n	y	Collab tool	y	
IWG Responsibilities	.doc	>5				n	N/A		n	n	Collab tool	y	
CFBLNet Topology	.ppt	<10				n		Superseded	n	y	Collab tool	y	