

**BY THE ORDER OF THE COMMANDER
NORTH AMERICAN AEROSPACE
DEFENSE COMMAND (NORAD) AND
UNITED STATES NORTHERN
COMMAND (USNORTHCOM)**

**NORAD AND USNORTHCOM
INSTRUCTION 33-194 VOLUME 1**

19 SEPTEMBER 2013



Communication and Information

**HEADQUARTERS NORAD AND
USNORTHCOM INFORMATION
GOVERNANCE VOLUME 1**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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OPR: N-NC/CSKM

Certified by: N-NC/CSD (Colonel Ronald L. Banks)

Pages: 5

This instruction prescribes NORAD and USNORTHCOM policy for information governance. This instruction applies to all NORAD and USNORTHCOM organizations, subordinate unified Commands, joint task forces and all other subordinate functional components or operational forces that remain directly responsive to the Commander (CDR), NORAD and USNORTHCOM. It is meant to supplement, not override, any direction from the Chairman, Joint Chiefs of Staff, Service Department, or Department of Defense Agency directives. It does not apply to Air Force Reserve Command or National Guard units. This instruction may not be supplemented. Send recommendations to change, add, or delete information in this instruction to HQ NORAD and USNORTHCOM, ATTN: N-NC/CSKM, 250 S. Vandenberg Street, Suite B016, Peterson AFB, CO 80914-3020 using AF Form 847, *Recommendation for Change of Publication*. Maintain and dispose of records created as a result of prescribed processes in accordance with the Joint Staff Disposition Schedule CJCSM 5760.01A, *Joint Staff and Combatant Command Records Management Manual: Volume I (Procedures) and Volume II (Disposition Schedule)*. See **Attachment 1** for a list of references and supporting information.

1. Purpose. The instruction establishes roles, responsibilities, policies, and procedures related to creation and management of organizational information and electronic data.

2. Scope. The information governance policy applies to all NORAD and USNORTHCOM organizational information and electronic media stored on the production Non-Secure Internet Protocol Router Network (NIPRNet), Secret Internet Protocol Router Network (SIPRNet), the NORAD Enterprise Network (NEN), Combined Enterprise Regional Information Exchange System Mexico (CENTRIXS-MEX), and any other network or device (to include all mobile

devices) owned by the Government of the United States or any of its Departments attached to or utilizing the above mentioned for transport.

3. Background:

3.1. The Department of Defense (DOD) Chief Information Officer (CIO) signed DOD CIO Memorandum *DOD Net-Centric Data Management Strategy*. This memorandum was followed by DOD Directive 8320.02, *Data Sharing in a Net-Centric Department of Defense*. These documents define goals and approaches that allow users and system to locate, access, and utilize a wide-range of data assets throughout the Department of Defense Information Enterprise.

3.2. The key attributes of the DOD Net-Centric Data Management Strategy and the net-centric data goals include information and data that are visible, accessible, institutionalized, understandable, trusted, interoperable, and responsive to users' needs.

3.3. NORAD and USNORTHCOM data and information assets are a vital resource with direct impact to national security of both Canada and the United States of America. Accordingly, they will be managed in a way reflecting that level of importance and paralleling DOD policy.

3.4. Information governance is the specification of decision rights and an accountability framework to formalize and standardize behaviors associated with the appraisal, creation, organization, storage, use, archival, and deletion of information and data assets.

3.5. Proper management and utilization of electronic-mail (e-mail) and network file systems is critical to allow prompt response to Freedom of Information Act (FOIA) requests, electronic discovery requests, avoid copyright and trademark infringement, control storage system resource requirements, and ensure fast and efficient access to critical information at the time it is needed.

4. Objectives:

4.1. NORAD and USNORTHCOM will implement information governance in an approach designed to ensure comprehensive adoption of information and data sharing practices according to the net-centric data goals listed in DOD Net-Centric Data Management Strategy.

4.2. Information governance includes the processes, roles, standards, and metrics that ensure the effective and efficient use of information to achieve NORAD and USNORTHCOM missions. To adequately address each of these components of governance, this instruction is supplemented by separate volumes. Each volume provides detailed guidance and direction related to the individual topic. These volumes include, but are not limited to the following:

4.2.1. Knowledge Management / Information Management – Volume One. Volume One establishes guidance related to the processing and sharing of information throughout NORAD and USNORTHCOM and with their mission partners. The purpose of this volume is to ensure the best knowledge is provided to the right person at the right time.

4.2.2. Records Management – Volume Two. Volume Two establishes guidance related to the retention and disposition of NORAD and USNORTHCOM records.

4.2.3. Retention of Electronic Mail Records – Volume Three. Volume Three establishes guidance related to the journaling, storage, and deleting of electronic mail as a record.

4.2.4. Electronic Data Storage – Volume Four. Volume Four establishes guidance related to the method used and capacities of various approved NORAD and USNORTHCOM electronic data storage locations.

4.2.5. Electronic Content Management – Volume Five. Volume Five establishes guidance related to the content organization and types of files authorized for storage on the NORAD and USNORTHCOM data networks.

4.2.6. Portal Operations – Volume Six. Volume Six establishes guidance related to the strategies, methods, and policies for usage and management of the NORAD and USNORTHCOM portals.

4.2.7. Social Media – Volume Seven. Volume Seven establishes guidance related to the policy for usage and management of NORAD and USNORTHCOM social media sites.

5. Guiding Principles:

5.1. All personnel accessing NORAD and USNORTHCOM electronic systems are subject to applicable DOD, USCYBERCOM, NORAD and USNORTHCOM, and Air Force directives and Public Law. NORAD and USNORTHCOM users are required to authenticate to access the NORAD and USNORTHCOM Enterprise networks in such a manner as to identify each user. All files stored on NORAD and USNORTHCOM systems include metadata to show the file's creator. Personnel discovered to have placed inappropriate (e.g., offensive, pornographic, discriminatory, abusive) or illegal (pirated, violating copyright or trademark) data on NORAD and USNORTHCOM systems will face disciplinary action and possibly fines or criminal charges in accordance with applicable laws.

5.2. File types or content will not be modified to circumvent system monitoring procedures.

5.3. NORAD and USNORTHCOM records created on laptops or any external system to include Defense Connect Online, Intelink, social media sites/repositories, or other electronic information systems must be transferred to NORAD and USNORTHCOM repository as soon as possible.

5.4. Record content should not be transmitted via instant messaging systems such as XMPP (Jabber), Microsoft Lync, etc. All record content should be captured in other official means. However, if the instant message was the only means used, the record content must be captured in an official Memorandum for Record.

5.5. NORAD and USNORTHCOM will leverage available software and hardware technologies (e.g., e-discovery, de-duplication, compression) to manage electronic files and minimize required resources needed to process, store, and manage electronic data.

6. Roles and Responsibilities:

6.1. N-NC/CS. The Chief of Staff has overall responsibility for information governance for NORAD and USNORTHCOM. The Chief of Staff has designated the Deputy Chief of Staff, Knowledge Management (KM) Division as the information governance lead.

6.2. N-NC/J6. The Director, Command Control Systems has responsibility for providing an interoperable information technology environment capable of providing seamless access to information and data assets.

6.3. Information Governance Lead. The Deputy Chief of Staff, KM Division is designated the Information Governance Lead for NORAD and USNORTHCOM. The Information Governance Lead will appoint, in writing, an Information Governance Officer (IGO) from the KM Division staff.

6.4. Information Governance Officer. The IGO, in collaboration with the NORAD and USNORTHCOM directorates and special staff offices will jointly develop and implement an executable information governance strategy. The IGO is responsible for the oversight and management of the Information Governance Program Team, as well as the effective accomplishment of those responsibilities assigned to the team.

6.5. Information Governance Program Team. The Information Governance Program Team is comprised of members of the KM Division to include representation from the Records Management section, FOIA section, and the SharePoint Portal section, and will work closely with the members of the N-NC/J6 and NC/J3 Directorates. The responsibilities include:

6.5.1. Oversee and administer the information governance program development.

6.5.2. Facilitate information governance program by producing and providing educational, awareness, and mentoring materials.

6.5.3. Establish, maintain, and periodically review and recommend changes to information governance policies, standards, guidelines, and procedures.

6.5.4. Conduct audits to ensure that policies, procedures, and metrics are in place for maintaining/improving the program.

6.6. Information and Data Asset Users. All NORAD and USNORTHCOM personnel who produce and use information and data as part of their daily operations. Users are accountable for both the possession of and responsibility for information. The control of information includes the ability to access, create, modify, package, derive benefit from, or remove data.

7. Waivers. Waivers or deviations from this directive are at the discretion of the Chief of Staff. Substantial justification for non-compliance with this instruction must exist before a waiver request will be considered.

CHARLES D. LUCKEY, MG, USA
Chief of Staff

Attachment 1

REFERENCES AND SUPPORTING INFORMATION

DOD CIO Memorandum, *DOD Net-Centric Data Strategy*, 9 May 2003

DOD Directive 8320.02, *Data Sharing in a Net-Centric Department of Defense*, 2 December 2004

CJCSM 5760.01A, *The Joint Staff and Combatant Commands Records Management Manual: Volume I – Procedures*, 7 February 2008

CJCSM 5760.01A, *The Joint Staff and Combatant Commands Records Management Manual: Volume II – Disposition Schedule*, 13 July 2012

DOD 5015.02-STD, *Electronic Records Management Software Applications Design Criteria Standard*, 25 April 2007

NORAD and USNORTHCOM Chief of Staff Memorandum, *E-mail Account Size Limits*, 27 November 2006