

# Controlled Unclassified Information

*The Program, Implementation, and Features*

Shared • Standardized • Transparent



Information Security Oversight Office (ISOO)



# What is Controlled Unclassified Information (CUI)?

- **CUI is information that needs protection.** Laws, Regulations, or Government wide policies call for this information to be protected.
  - The **CUI Registry** provides information on the specific categories of information that the Executive branch protects. The CUI Registry can be found at:

<https://www.archives.gov/cui>

# CUI includes, but is not limited to:

- Privacy (including Health)
- Tax
- Law Enforcement
- Critical Infrastructure
- Export Control
- Financial
- Intelligence
- Privilege
- Unclassified Nuclear
- Procurement and Acquisition



# Why protect CUI?

- The loss or improper safeguarding of CUI could be expected to have a **serious adverse effect** on organizational operations, organizational assets, or individuals.
  - degradation in mission capability;
  - damage to organizational assets;
  - financial loss; or
  - harm to individuals

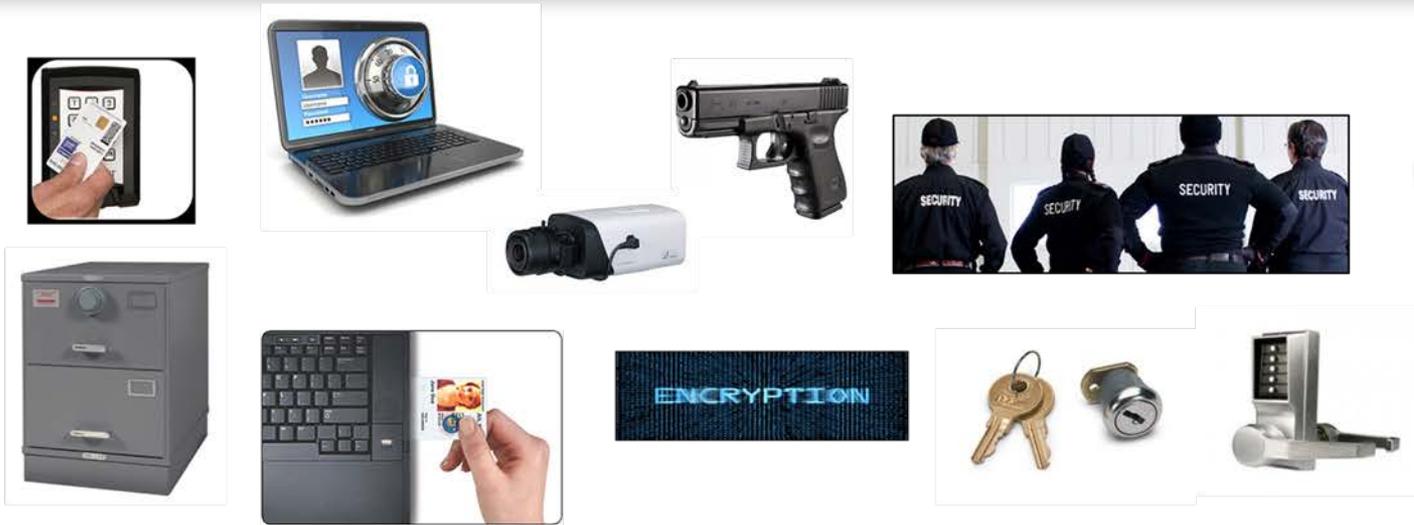
# LRGWP

- **Laws, Regulations, and Government-wide policies (LRGWP) identified what to protect but failed to say how.**
- Agencies took steps to define protection through the issuance of policy and procedure
- **Lack of oversight over sensitive information programs**

# Oversight programs prevent:

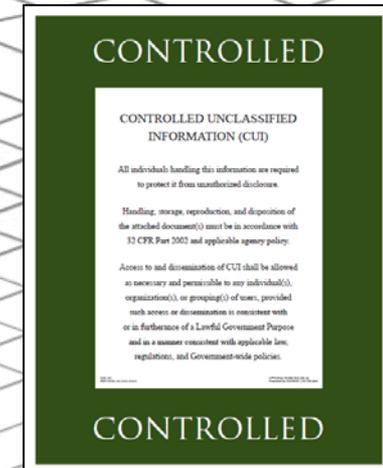
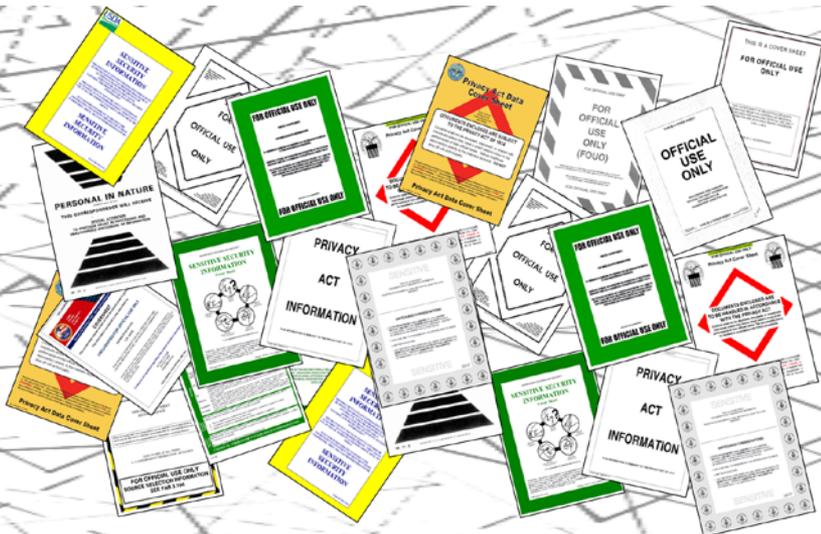
- **Limited** information sharing
- **Inefficient** patchwork information programs
- **Inconsistent** marking and safeguarding of documents
- **Restrictive** dissemination policies

# Protection today



# Information Security Reform

- Clarifies what to protect
- Defines safeguarding
- Reinforces existing LRGWP
- Promotes authorized information sharing



# What we protect and How we protect it

[www.archives.gov/cui](http://www.archives.gov/cui)

**Controlled Unclassified Information (CUI)**

Home > CUI

Established by Executive Order 13526, the Controlled Unclassified Information (CUI) program standardizes the way the Executive branch handles unclassified information that requires safeguarding or dissemination controls pursuant to and consistent with law, regulations, and Government-wide policies. [Learn About CUI](#)

**Registry**

The CUI Registry is the authoritative source for guidance regarding CUI policies and practices.

Search the Registry:

Access Registry by

- Category-Subcategory
- Executive Order 13526
- 32 CFR Part 2002 (Implementing Regulation)
- CUI Notices
- Limited Dissemination
- Additional Information
- CUI Glossary

**Training**

Learn about training developed by the Executive Agent for CUI users

- CUI Training Modules

**Oversight**

Learn about CUI oversight requirements and tools

- CUI Reports

**News and Notices**

- September 14, 2016 - 32 CFR Part 2002 has been published.
- September 14, 2016 - CUI Notice 2016-01: Implementation Guidance has been issued.

**Under Development - Registry**

- Marking Handbook
- Markings
- Limited Dissemination
- Decentral

**CUI Registry**

NIST Special Publication 800-171  
Revision 1

**Protecting Controlled Unclassified Information in Federal Systems and Organizations**

63340 Federal Register / Vol. 81, No. 178 / Wednesday, September 14, 2016 / Rules and Regulations

(12) Establishes a mechanism by which authorized holders (both inside and outside the agency) can request a designated agency representative for CUI.

(13) Agencies may use only those categories or subcategories approved by the CUI E.A. and published in the CUI Registry to designate information as CUI.

(14) Agencies may use only those limited dissemination controls listed in the CUI Registry to ensure they treat the information in accord with the CUI

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Available free of charge from:  
[dx.doi.org/10.1185/1547-7171.121](http://dx.doi.org/10.1185/1547-7171.121)

December 2016

DEPARTMENT OF COMMERCE  
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
UNITED STATES OF AMERICA

Secretary of Commerce  
Pritzker, Secretary  
of Standards and Technology  
Technology and Director

63330 Federal Register

List of Subjects in this Part: Administrative procedures, Archives, Controlled Unclassified Information, Freedom of Information Act, Information security, National Open government, Records management.

For the reasons in this preamble, NARA is amending Chapter XX by adding the following:

**PART 2002—CONTROLLED UNCLASSIFIED INFORMATION**

**Subpart A—General**

Sec. 2002.1 Purpose and scope.

2002.2 Definitions.

2002.3 CUI EAO.

2002.4 Roles and responsibilities.

**Subpart B—Key Elements**

2002.10 The CUI EAO.

2002.11 Subcategories.

2002.12 Accounting.

2002.13 Declassification.

2002.20 Marking.

2002.21 Limited dissemination.

2002.22 Agency CUI policies.

2002.24 Agency CUI program.

2002.25 Information security.

2002.26 CUI EAO.

2002.27 Training.

2002.28 Legacy systems.

2002.29 Whistleblowers.

2002.44 CUI and declassification.

2002.45 CUI and the Freedom of Information Act.

2002.50 Challenges.

2002.51 Disputes.

2002.52 Mitigation.

2002.53 Sanctions.

**Appendix A to Part 2002—Authority: E.O. 13526 and Comp. sup. 801.**

**Subpart A—General**

**§ 2002.1 Purpose and scope.**

(a) This part describes the Controlled Unclassified Information (CUI) Program and establishes the categories, subcategories, and markings that designate, handle, and disseminate information that is CUI.

(b) The CUI Program is the mechanism by which information that requires protection under laws, regulations, or Government-wide policies, but that does not qualify as classified under Executive Order 13526, is designated as CUI.

(c) NARA incorporates certain material by reference into this part with the approval of the Director of the Federal Register under 5 U.S.C. 552(a).

**§ 2002.4 Definitions.**

As used in this part: List Agency later Federal agency, executive agency, executive branch

**32 CFR 2002**

# Federal Acquisition Regulation (FY19)

“This FAR rule is necessary to ensure uniform implementation of the requirements of the CUI program in **contracts across the government**, thereby avoiding potentially inconsistent agency-level action.” –Unified Agenda



# Oversight Approach

Certification = **Asserting** compliance

Documentation = **Describing** compliance

Validation = **Verifying** compliance

# Implementation

- Implementation has begun
  - Program officials, resources, policy, training, systems, contracts, oversight
- **CUI practices and Legacy practices will exist at the same time.**

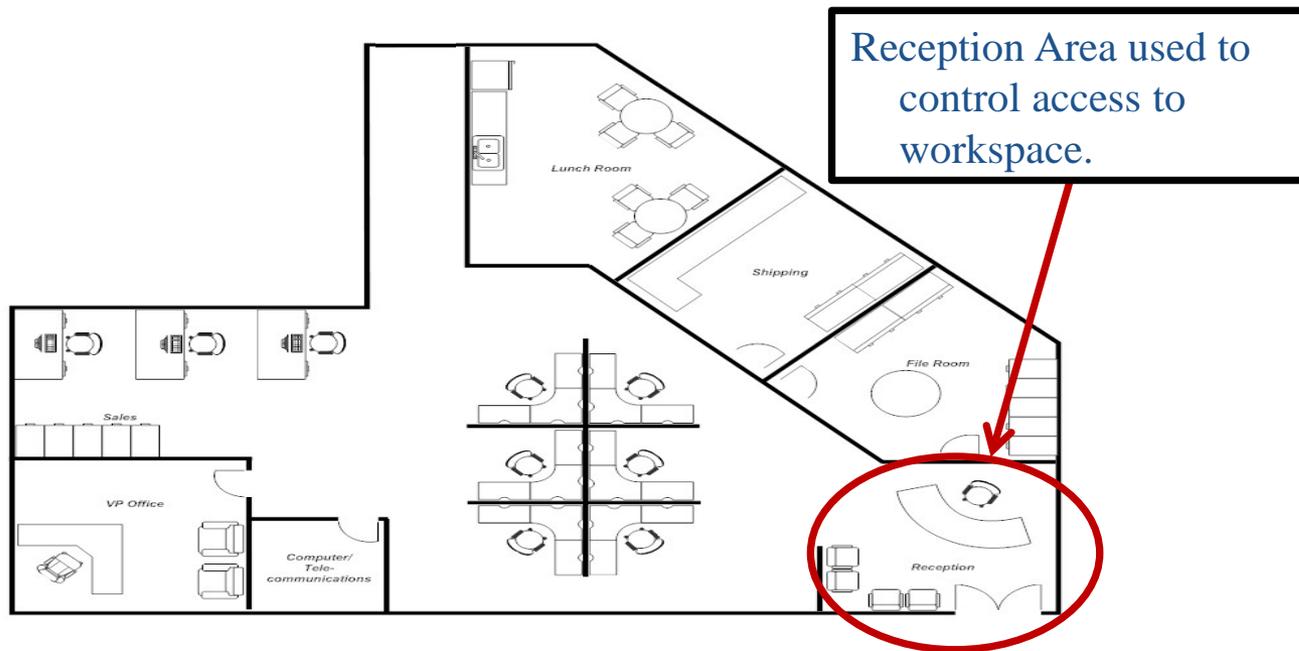


# Features

- **Basic and Specified CUI**
- **Safeguarding**
  - physical
  - electronic
- **Marking**
- **Dissemination Controls**
- **Destruction**
- **Products to Assist**
  - Coversheet
  - Marking Book
  - Training videos

# Controlled Environments

- Controlled environment is any area or space an authorized holder deems to have adequate physical or procedural controls (*e.g.*, barriers and managed access controls) for protecting CUI from unauthorized access or disclosure.

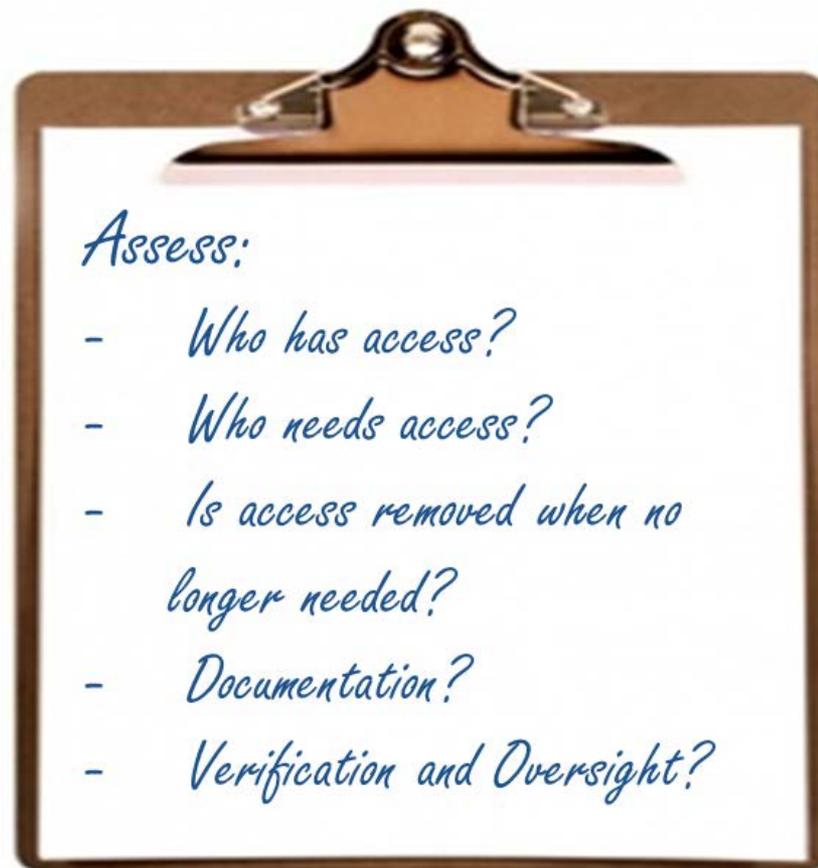


# Assessing physical environments

- **Going beyond gates, guns, and guards: Internal security**
  - Who works in the space?
  - Who has access to the space during and after business hours?
  - Do individual workspaces (cubes & offices) have adequate safeguards to prevent access (locking cabinets, drawers, or overhead bins)?
  - Suitable for sensitive discussions?

# Assessing electronic Environments

Limit and control access to CUI within the workforce by establishing electronic barriers.



# Other Considerations

- Personal Devices
- Telework
- Bring/Use your own device
- USB Drives
- Travel
- Separation and transfers
- Insider Threats



# Marking CUI

- Purpose is to inform or alert recipients/users that CUI is present and of any limited dissemination controls.
- Agencies must uniformly and conspicuously apply CUI markings to all CUI prior to disseminating it.
- The CUI banner marking must appear, at a minimum, at the top center of each page containing CUI.

**CUI//CATEGORY//DISSEMINATION**

INFORMATION SECURITY OVERSIGHT OFFICE  
NATIONAL ARCHIVES and RECORDS ADMINISTRATION  
700 PENNSYLVANIA AVENUE, NW, ROOM 100 WASHINGTON, DC 20408-0001  
[www.archives.gov/isoo](http://www.archives.gov/isoo)

  
INFORMATION SECURITY  
OVERSIGHT OFFICE

**CUI Notice 2018-XX: Controlled Unclassified Information (CUI) Marking Sample**

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June 20, 2018

**Purpose**

This notice provides clarifying guidance on the purpose of CUI Marking, Dissemination Control Marking, as established by Title 28, Code of Federal Regulations, Part 2008.103(a) (28 CFR 2008.103(a)).

**Background and Authority**

28 CFR 2008, "Controlled Unclassified Information," September 16, 2010, implements the CUI Program requirements for the marking, categorizing, disseminating, marking, declassifying, and declassifying CUI. This guidance includes a section on the intent of the program, marking and disseminating CUI, and the relationship to the CUI Marking, Dissemination Control Marking, and the CUI Program.

**Definitions**

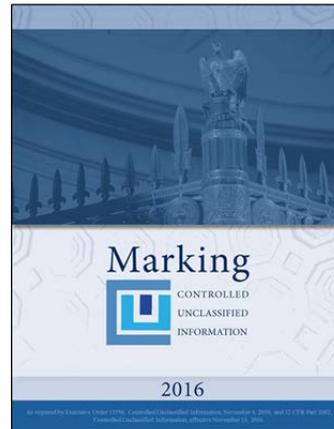
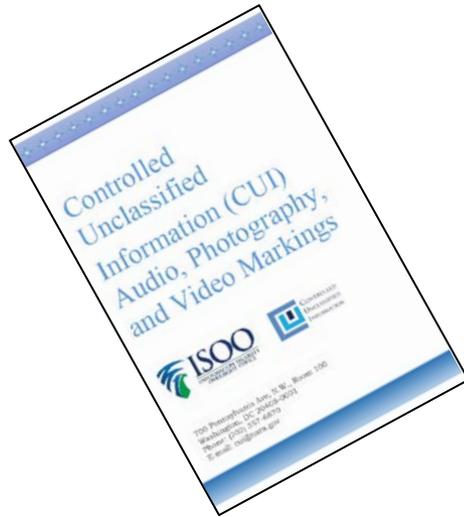
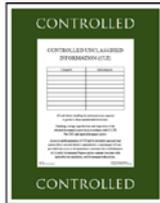
**CUI Mark** is the extent of CUI that is the underlying law, regulation, or Government-wide policy does not set an explicit marking or dissemination control. Agencies mark CUI Mark according to the uniform set of controls set forth in 28 CFR 2008 and the CUI Marking, Dissem. Sec. § 2008.103.

**CUI Specified** is the extent of CUI that is the underlying law, regulation, or Government-wide policy creates explicit marking controls that require or prohibit agencies to use the other than those for CUI Mark. See § 2008.103.

**Guidance**

All CUI is either CUI Mark or CUI Specified. CUI Mark is disseminated according to the uniform set of Government-wide controls set forth in 28 CFR 2008.103, which requires agencies shall disseminate and permit access to CUI whenever doing so is not against the law, and § 2008.103(a) defines a lawful Government purpose.

# Products to assist



**Training Videos**

# CUI Overview Video (11 Minutes)

## What to report

CUI incidents include but are not limited to:

- Improper storage of CUI
- Actual or suspected mishandling of CUI
- When unauthorized individuals gain access to CUI (physical or electronic)
- Unauthorized release of CUI (to public facing websites or to unauthorized individuals)
- Suspicious behavior from the workforce (Insider Threats)
  - General disregard for security procedures
  - Seeking access to information outside the scope of current responsibilities
  - Attempting to enter or access to sensitive areas (where CUI is stored, discussed, or processed)

Follow your agency policy and procedures regarding how to report incidents.



## What is CUI?

Information that requires protection.



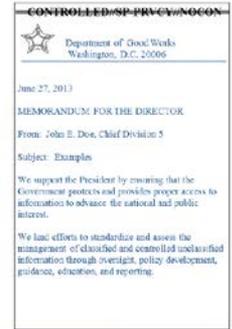
## Decontrol and Marking

or strike all markings on decontrolled

ed  
sed  
ted

gency policy to remove or strike CUI only

age,  
page, or  
age of any attachment.



## How to Send CUI in Packages and Mail

CUI may be shipped through:

- Interagency mail systems
- United States Postal Service
- Commercial Delivery Services
- Automated Tracking is a best practice



**DO NOT** Place Markings on Packages or Envelops!



## Options for approved destruction equipment and methods

- Never use trash cans or recycling bins to dispose of CUI



## CUI Basic and CUI Specified



Laws, Regulations, or Government-wide policies require specific protections. For example:

- Unique markings
- Enhanced physical safeguards
- Limits on who can access the information



Laws, Regulations, or Government-wide policies DO NOT require specific protections.



# CUI Blog



CONTROLLED  
UNCLASSIFIED  
INFORMATION

## THE NATIONAL ARCHIVES CUI PROGRAM BLOG

[Home](#) [About the Blog](#) [About the Bloggers](#) [Comment and Posting Policy](#) [CUI: The High Notes](#)

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Upcoming Events  
No upcoming events

Archives

- Topics
- Common questions
  - CUI Registry
  - Events & reviews
  - FOIA & Privacy Act
  - General updates
  - Marking & examples



# Industry Day

**December 10, 2018**

**9:00 a.m. – 3:00 p.m.**

**McGowan Theater**

**National Archives Museum**

**701 Constitution Avenue, NW**

**Washington, DC 20408**

**If you are interested in attending this event please RSVP to**  
**[CUI@NARA.GOV](mailto:CUI@NARA.GOV)**

This day is an opportunity for Executive branch entities or other stakeholders (i.e., Nonfederal organizations) to view and learn about products and services that have been developed for the CUI Program. This event is free to all presenters, vendors, and attendees.

# Questions?

