

Controlled Unclassified Information

Executive Order 13556

Shared • Standardized • Transparent



CONTROLLED
UNCLASSIFIED
INFORMATION

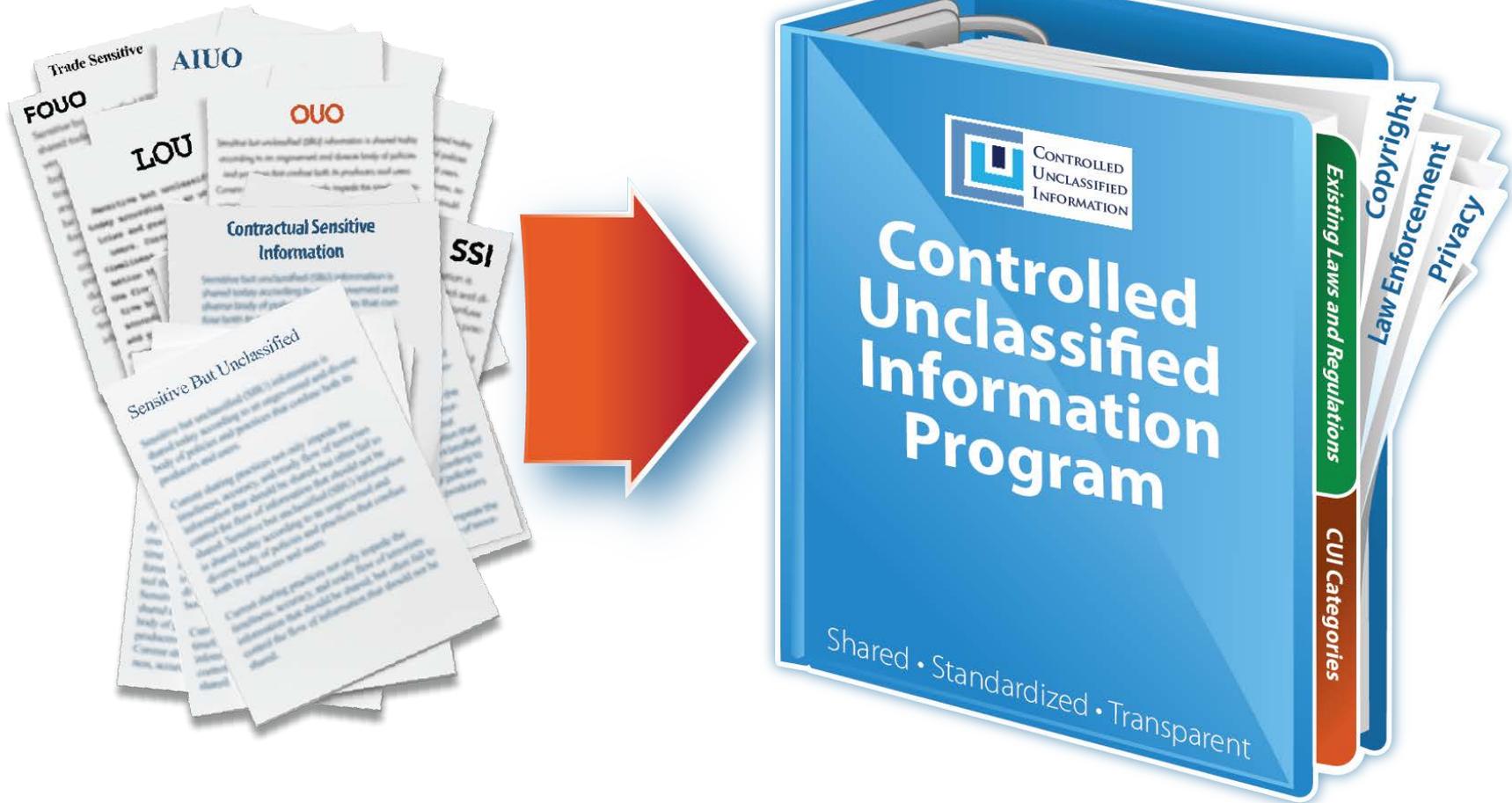
Information Security Oversight Office (ISOO)



Briefing Outline

- **Overview of the CUI Program**
 - Establishment of the Program
 - Elements of the CUI Executive Order
 - Categories and Registry
 - Handling CUI
 - Current Efforts
 - Implementation Plan
- **CUI and IT Implementation**
 - CUI and NIST Standards and Guidelines
 - Publication Delivery Vehicle

Overview of the CUI Program



Why is the CUI Program necessary?

Executive departments and agencies apply their own ad-hoc policies and markings to unclassified information that requires safeguarding or dissemination controls, resulting in:

An inefficient patchwork system with **more than 100 different policies and markings** across the executive branch

Inconsistent marking and safeguarding of documents

Unclear or unnecessarily restrictive dissemination policies

Impediments to authorized information sharing



What are the benefits of the CUI Program?

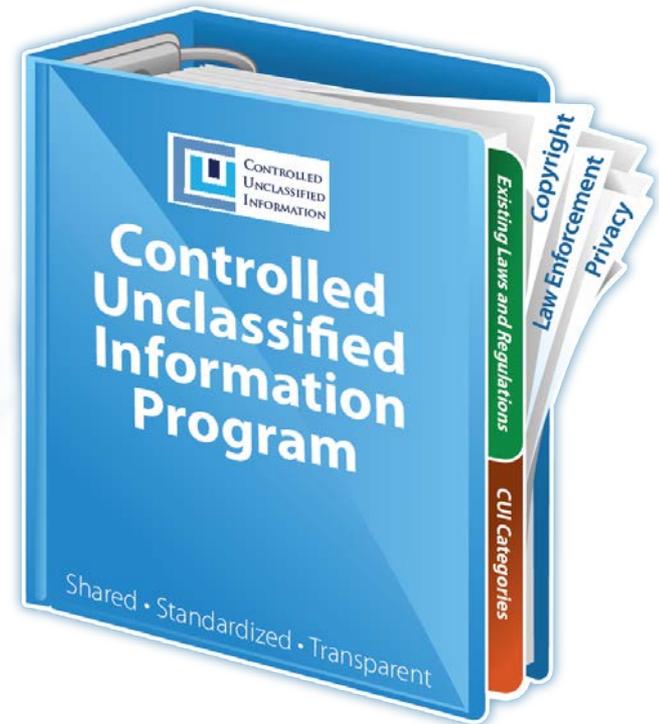
One uniform, shared, and transparent system for safeguarding and disseminating CUI that:

Establishes common understanding of CUI control

Promotes information sharing

Reinforces existing legislation and regulations

Clarifies difference between CUI controls and FOIA exemptions



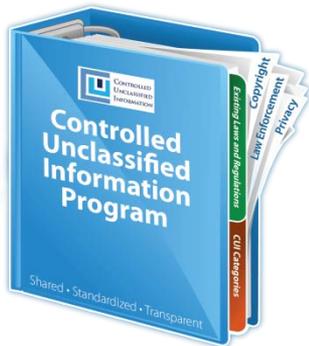
Executive Order 13556



- Established CUI Program



- Executive Agent (EA) to implement the E.O. and oversee department and agency actions to ensure compliance
- An open and uniform program to manage all unclassified information within the executive branch that requires safeguarding and dissemination controls as required by law, regulation, and Government-wide policy



Approved CUI Categories

22 Categories		85 Subcategories
1. Agriculture	12. Law Enforcement	<ul style="list-style-type: none"> • Bank Secrecy • DNA • Investigation
2. Copyright	13. Legal	
3. Critical Infrastructure	14. NATO	
4. Emergency Management	15. Nuclear	<ul style="list-style-type: none"> • Financial • Health Information • Personnel
5. Export Control	16. Patent	
6. Financial	17. Privacy	
7. Foreign Government	18. Proprietary	<ul style="list-style-type: none"> • Census • Investment Survey
8. Geodetic Product Information	19. Safety Act Information	
9. Immigration	20. Statistical	
10. Information Systems Vulnerability Information	21. Tax	
11. Intelligence	22. Transportation	

Online Registry

NATIONAL ARCHIVES

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Controlled Unclassified Information (CUI)

Home > CUI > Registry: Law Enforcement-Investigation

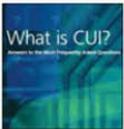


To use the CUI logo...

- About CUI
- CUI Chronology
- CUI Registry
 - General Guidelines
 - CUI Categories
 - Subcategories/Markings
- CUI Reports
- CUI Training
- Department/Agency Resources
- EO Key Elements
- FAQs
- Contact the CUI Office

What others are saying:





What is CUI?
Answers to the Most Frequently Asked Questions

CUI Registry

Authorities and Sanctions

Category-Subcategory:	Law Enforcement-Investigation
Category Description:	Related to techniques and procedures for law enforcement operations, investigations, prosecutions, or enforcement actions.
Subcategory Description:	Related to information obtained during the course of a law enforcement investigation.

Select Safeguarding/Dissemination or Sanction Authority to view statutory/regulatory language in a new window. Authority links are updated based on regular re-publication of the United States Code and Code of Federal Regulations.

Safeguarding and/or Dissemination Authority	Sanctions
6 CFR Part 5 Appendix C(a)	
18 CFR 1b.20	
18 CFR 1b.9	
21 CFR 20.64(d)(4)	
10 CFR 2.390(c)(3)(v)	
10 CFR 820.12	
10 CFR 824.12	
10 CFR 851.40	

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CUI Advisory Council

Comprised of Program Managers from the following:

Executive Office of the President (elements)

General Services Administration (GSA)

Social Security Administration (SSA)

Environmental Protection Agency (EPA)

Department of the Interior (DOI)

Nuclear Regulatory Commission (NRC)

Department of Transportation (DOT)

Department of Labor (DOL)

Department of the Treasury

Department of Housing and Urban Development (HUD)

National Science Foundation (NSF)

Department of Homeland Security (DHS)

Central Intelligence Agency (CIA)

Department of Agriculture (USDA)

Department of Commerce (DOC)

Department of Justice (DOJ)

Federal Bureau of Investigation (FBI)

National Aeronautics and Space Administration (NASA)

Department of State (DOS)

Office of the Director of National Intelligence

United States Agency for International Development (USAID)

Office of Personnel Management (OPM)

Department of Veterans Affairs (VA)

Department of Education (ED)

Department of Defense (DOD)

Department of Health and Human Services (HHS)

Department of Energy (DOE)

Office of Management and Budget (OMB)

President's Cabinet, Chief Financial Officers (CFO) Council member agencies, major stakeholder constituent elements (CIA and FBI), and participants

Handling CUI

One uniform and consistent policy applied to a defined and organized body of information



CUI Policy Status

Projected CUI Policy Timeline

as of 23 May 2014



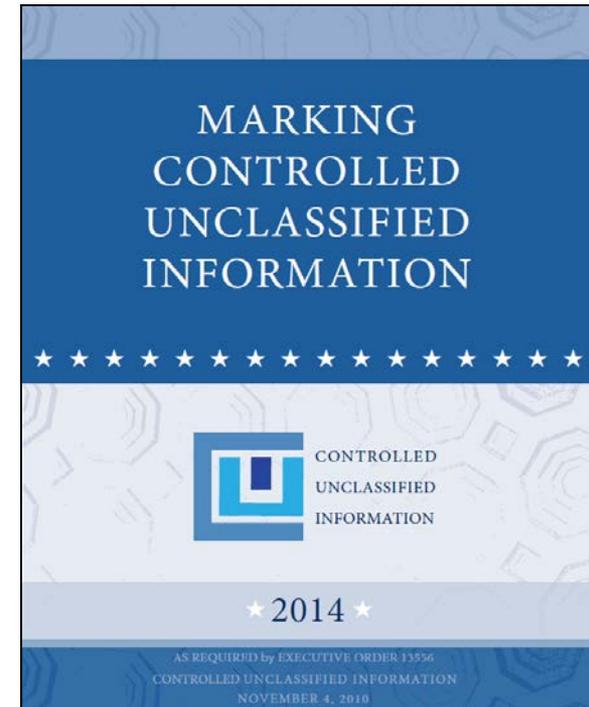
Handbooks, Training and Tools

Job Aids for All Users

- **Marking Handbook**
- **Safeguarding Handbook**
- **Category Specific Guidance**



- **Cover Sheets**
- **Awareness Posters**
- **Training Materials**



CUI Executive Agent Current Efforts

- **Maintain Registry**
 - Approve additional CUI categories and subcategories based on agency submissions
 - Provide guidance on provisional approval process for new CUI categories
- **Finalize CUI Policy**
 - Undergoing formal OMB comment process
 - To be published in CFR
- **National Implementation Plan (NIP)**
 - With agencies, create and execute implementation planning framework, including deadlines for **phased implementation**

Five Programmatic Areas of Implementation Plan

Governance

The CUI Executive Agent in consultation with affected agencies manages the implementation and sustainment of the CUI Program

Policy and Guidance

CUI is safeguarded, disseminated, marked and decontrolled consistent with Executive Order 13556 and implementation guidance

Training

Affected personnel receive baseline training that incorporates the essentials of the CUI program and specific agency needs

Technology

The security and criticality of CUI are protected by the standards and guidelines established for Federal information systems

Accountability

The CUI Executive Agent and all affected agencies are accountable for improvement of the CUI program through management and oversight responsibilities

CUI Phased Implementation

	Day 0: FY15	Day 180: FY16	Year 1: FY16	Year 3-4: FY18-19
Phases	<p>Planning</p> <p>Identify and initiate planning activities for CUI implementation</p>	<p>Readiness</p> <p>Prepare environment and workforce for the CUI transition</p>	<p>Initiation</p> <p>Begin implementation of CUI practices</p> <p>Begin Phase Out of obsolete practices</p>	<p>Final</p> <p>Full Implementation of the CUI program</p>
Key EA Activities	<ul style="list-style-type: none"> • Publish 32 CFR Part 2002 Rule & Supplemental Guidance (Day 0) • Augment Registry • Provide Awareness Materials & Products • Consult with OMB & Provide Budget Guidance • Review Agency Policies 	<ul style="list-style-type: none"> • Publish CUI Training (Day 180) • Provide Additional Guidance as needed • Establish Schedule for On-site Reviews • Provide Training Support & Consultation 	<ul style="list-style-type: none"> • Oversee Executive Branch Implementation • Resolve Disputes & Complaints • Initiate On-site Reviews 	<ul style="list-style-type: none"> • Oversee Executive Branch Implementation • Collect Reporting Data
Monitor & Report on Phased Implementation				
Key D/A Activities	<ul style="list-style-type: none"> • Develop & Publish Policy* • Develop Training • Plan for FY16-18 Budget Cycles • Develop IT Transition Plan • Develop Self-Inspection Plan • Develop Process to Assess Agency Compliance • Develop Process to Manage CUI Status Challenges 	<ul style="list-style-type: none"> • Assert Physical Safeguarding* • Conduct Training* • Initiate Awareness • Continue Budget Cycle Planning • Prepare IT Transition 	<ul style="list-style-type: none"> • Initiate CUI Implementation <ul style="list-style-type: none"> • Handle • Recognize • Receive • Initiate IT Transition • Permit Creation of CUI • Initiate Self-Inspection Program 	<ul style="list-style-type: none"> • Eliminate Old Markings • Assure use of only New Markings • Complete IT Transition • Monitor & Report Implementation
			IOC	FOC

*Required for IOC



CUI and IT Implementation

- “This order shall be implemented in a manner consistent with...applicable Government-wide standards and guidelines issued by the National Institute of Standards and Technology, and applicable policies established by the Office of Management and Budget”, Section 6(a)3, Executive Order 13556.
- Future CUI guidance where it addresses IT issues, must be aligned to Federal policies.

CUI and NIST Standards/Guidelines

- ISOO and NIST developed a strong partnership.
- “In accordance with Federal Information Processing Standards (FIPS) Publication 199, the Confidentiality impact level for CUI shall be no lower than the Moderate level” (proposed CUI rule).
 - ISOO is collaborating with NIST on developing a Publication to represent the technical standards and guidelines for Moderate Confidentiality in the contractor environment.
 - A future Federal Acquisition Rule will be the appropriate instrument for the application of these standards and guidelines.

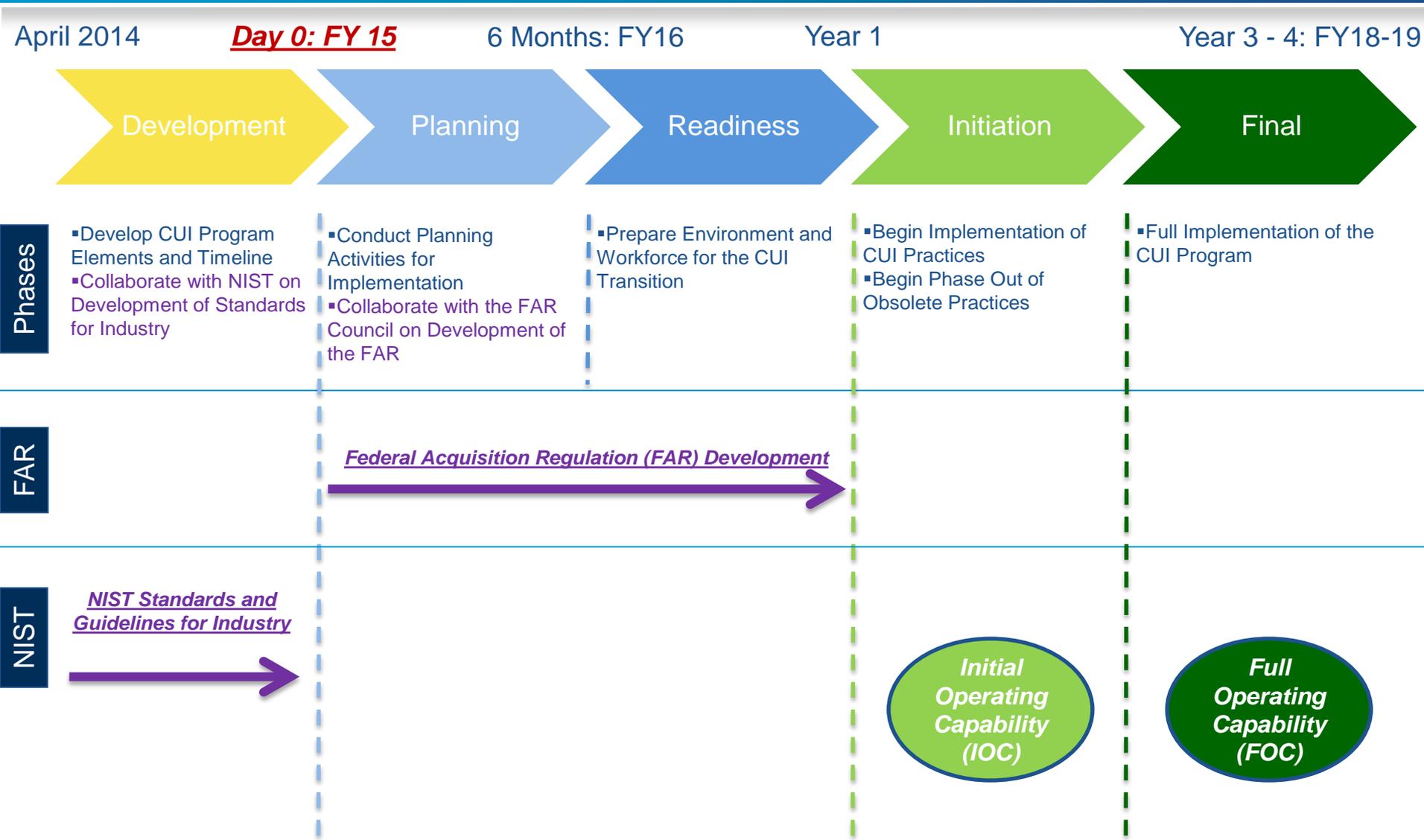
CUI Publication

- Appropriately tailored security control baseline for Moderate Confidentiality based on applicability to the contractor environment of operations.
- Requirement descriptions based on FIPS Publication 200 with specified understandings of the Moderate Confidentiality Impact level for protection of CUI for the contractor environment.
 - Descriptions will allow for the use of compensating security controls, namely those providing equivalent or comparable protection.
- Document development will follow standard NIST processes involving comment from public – to include industry.

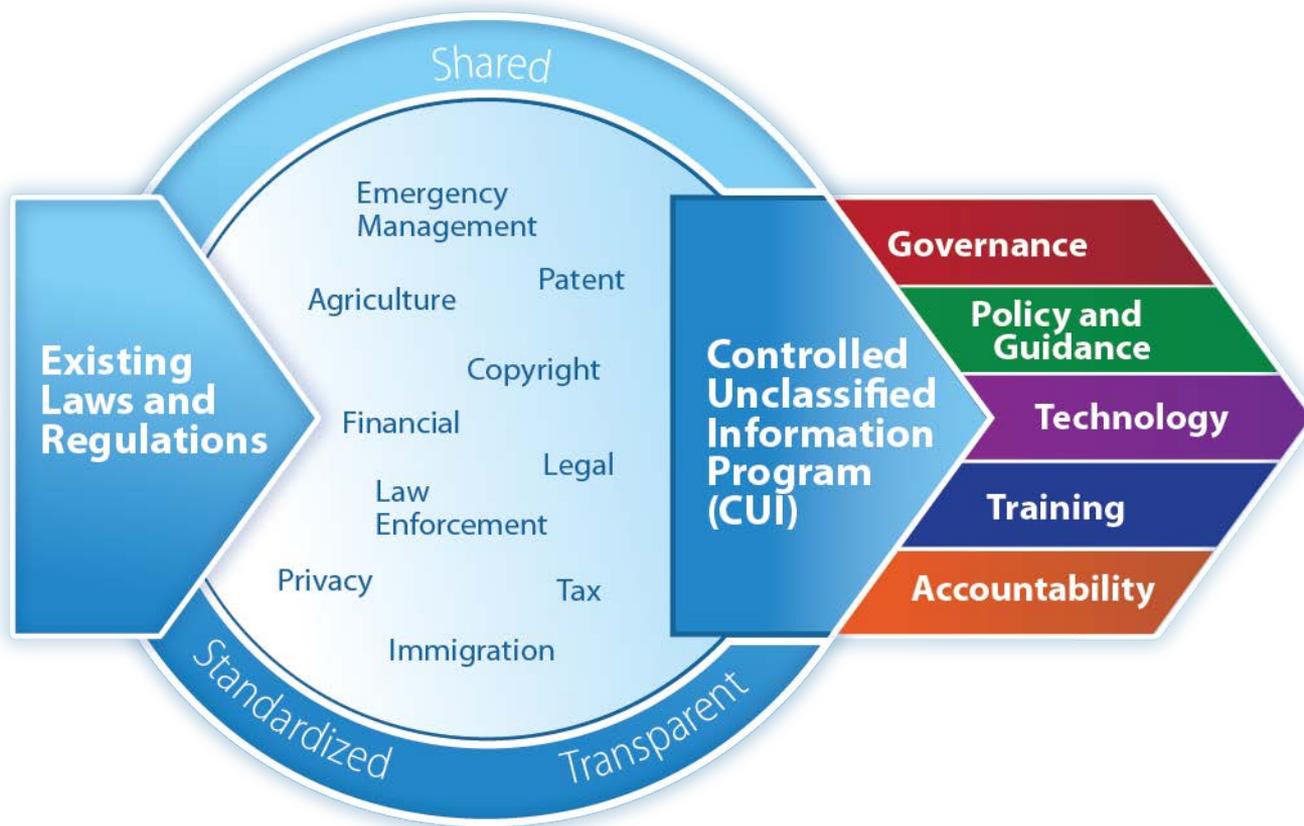
CUI and NIST Guidelines

- CUI categories and subcategories will be incorporated as information types into the next revision of the NIST Special Publication 800-60, where the work of the CUI Executive Agent will be integrated.
 - The NIST SP 800-60 will reflect Moderate Confidentiality for all CUI categories and subcategories.
 - The assignment of Integrity and Availability security impact levels will follow standard NIST processes.

CUI Phased Implementation - FAR & NIST



Questions?



Contact Information

Information Security Oversight Office

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