Overview of the CUI Program
Establishment of the Program
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Overview of the CUI Program

Controlled Unclassified Information Program

Shared • Standardized • Transparent
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 |

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What are the benefits of the CUI Program?

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

<table>
<thead>
<tr>
<th>Establishes common understanding of CUI control</th>
<th>Promotes information sharing</th>
<th>Reinforces existing legislation and regulations</th>
<th>Clarifies difference between CUI controls and FOIA exemptions</th>
</tr>
</thead>
</table>

![Controlled Unclassified Information Program](image-url)
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

<table>
<thead>
<tr>
<th>22 Categories</th>
<th>85 Subcategories</th>
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<tbody>
<tr>
<td>1. Agriculture</td>
<td>• Bank Secrecy</td>
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<tr>
<td>2. Copyright</td>
<td>• DNA</td>
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<tr>
<td>3. Critical Infrastructure</td>
<td>• Investigation</td>
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<td>4. Emergency Management</td>
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<td>5. Export Control</td>
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<tr>
<td>6. Financial</td>
<td>• Financial</td>
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<tr>
<td>7. Foreign Government</td>
<td>• Health Information</td>
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<tr>
<td>8. Geodetic Product Information</td>
<td>• Personnel</td>
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<td>9. Immigration</td>
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<tr>
<td>10. Information Systems Vulnerability Information</td>
<td>• Census</td>
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<tr>
<td>11. Intelligence</td>
<td>• Investment Survey</td>
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<td>12. Law Enforcement</td>
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<td>13. Legal</td>
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<td>14. NATO</td>
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<td>15. Nuclear</td>
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<td>16. Patent</td>
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<td>17. Privacy</td>
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<td>18. Proprietary</td>
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<td>19. Safety Act Information</td>
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<tr>
<td>20. Statistical</td>
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<tr>
<td>21. Tax</td>
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</tbody>
</table>
### CUI Registry

#### Authorities and Sanctions

<table>
<thead>
<tr>
<th>Category-Subcategory:</th>
<th>Law Enforcement-Investigation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Category Description:</strong></td>
<td>Related to techniques and procedures for law enforcement operations, investigations, prosecutions, or enforcement actions.</td>
</tr>
<tr>
<td><strong>Subcategory Description:</strong></td>
<td>Related to information obtained during the course of a law enforcement investigation.</td>
</tr>
</tbody>
</table>

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.

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

PDF files require the free Adobe Reader. More information on Adobe Acrobat PDF files is available on our Accessibility page.
Handling CUI

One uniform and consistent policy applied to a defined and organized body of information
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
A consultative body of Departments and agencies chaired by the CUI Executive Agent to address issues as needed for the implementation, sustainment, and maintenance of the CUI program.
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**
  - Complete draft through informal process
  - Submit through formal OMB comment process
  - Publish 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.
Information Technology Considerations

- “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 questions, must be aligned to Federal level policies.

- 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” (Draft CUI Directive)

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
Contact Information

Information Security Oversight Office
Attn: CUI Program
National Archives and Records Administration
700 Pennsylvania Avenue, N.W., Room 100
Washington, DC 20408-0001

(202) 357-6870 (voice)
(202) 357-6871/6872 (fax)
cui@nara.gov
www.archives.gov/cui
Phased Implementation: Notional Timeline

**Planning**
- Identify and initiate planning activities for CUI implementation

**Readiness**
- Prepare environment and workforce for the CUI transition

**Initiation**
- Begin implementation of CUI practices
- Begin Phase Out of obsolete practices

**Final**
- Full Implementation of the CUI program

**Key D/A Activities**

**Phases**
- Full Implementation of the CUI program

**Planning**
- Develop & Publish Policy*
- Develop Training
- Consider Agency’s CUI Investment Process
- Develop IT Transition Plan
- Develop Self-Inspection Plan
- Develop process for internal non-compliance

**Readiness**
- Assert Physical Safeguarding*
- Conduct Training*
- Initiate Awareness
- Prepare IT Transition
- Prepare Agency’s Investment Process

**Initiation**
- Initiate CUI Implementation
- Handle
- Recognize
- Receive
- Initiate IT Transition
- Permit Creation of CUI
- Initiate Self-Inspection Program

**Final**
- Eliminate Old Markings
- Assure use of only New Markings
- Complete IT Transition
- Monitor & Report Implementation

*Required for IOC