

Information Security Oversight Office

Protect • Inform • Assess

ISOO – CUI Overview for ACSAC



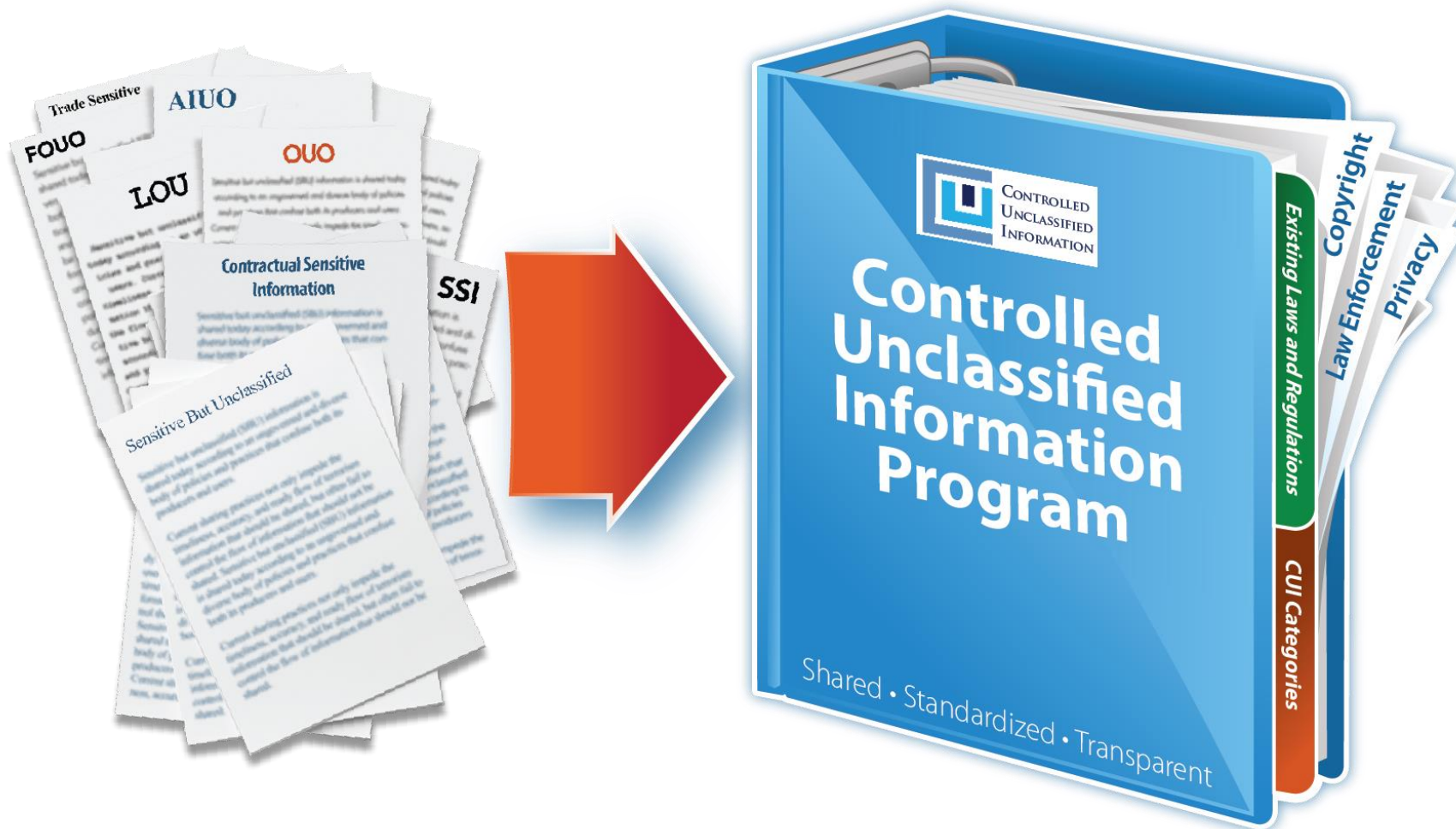
Briefing Outline

- ISOO Overview
- Overview of the CUI Program
- CUI and IT Implementation
 - CUI and NIST Standards and Guidelines
 - NIST SP 800-171
- CUI Approach for the Contractor Environment
 - FAR Rule

What is the Information Security and Oversight Office?

- Oversee the Executive Branch's system for classifying, safeguarding, and declassifying classified information
- Located at the National Archives, but receive policy guidance from the National Security Advisor
- Director appointed by the Archivist of the United States with the approval of the President
- Primary responsibilities. We administer:
 - E.O. 13526, "Classified National Security Information"
 - E.O. 12829, "National Security Industrial Program"
 - E.O. 13556, "Controlled Unclassified Information"
 - E.O. 13549, "Classified National Security Information Program for State, Local, Tribal and Private Sector Entities"
 - E.O. 13587 Senior Info Sharing/Safeguarding Steering Committee

Overview of the CUI Program



Why is the CUI Program necessary?

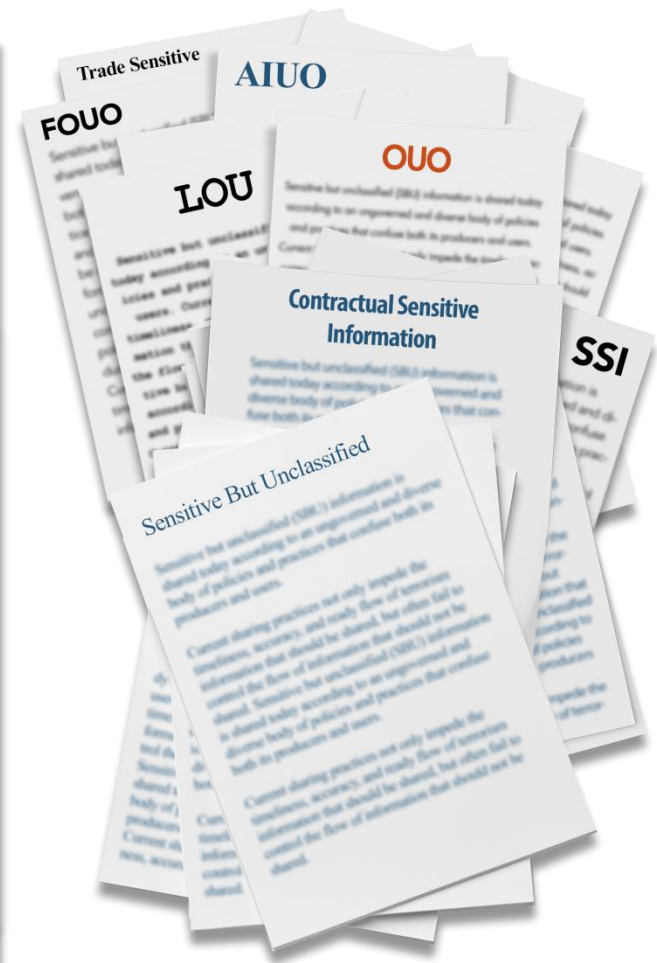
Executive departments and agencies apply their own ad-hoc policies and markings to unclassified information that requires safeguarding or dissemination controls, resulting in:

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?

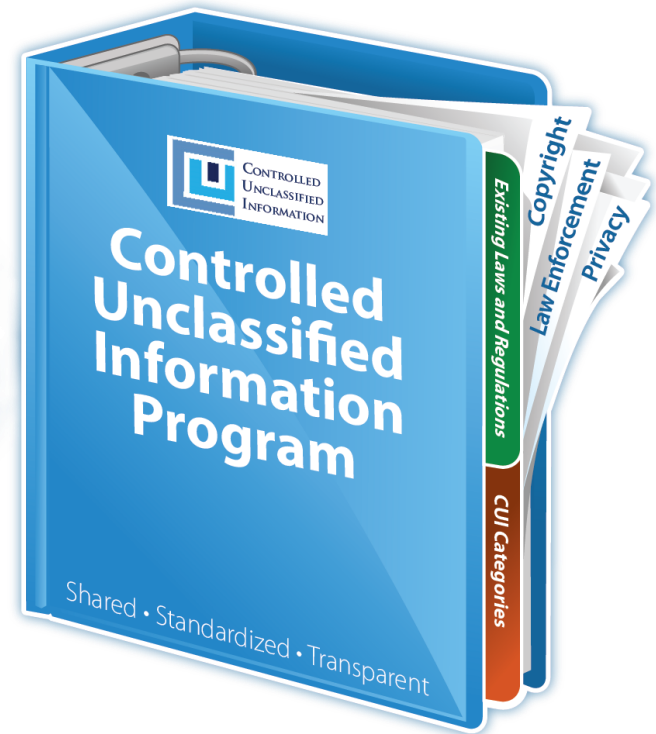
One uniform, shared, and transparent system for safeguarding and disseminating CUI that:

Establishes common understanding of CUI control

Promotes information sharing

Reinforces existing legislation and regulations

Clarifies difference between CUI controls and FOIA exemptions



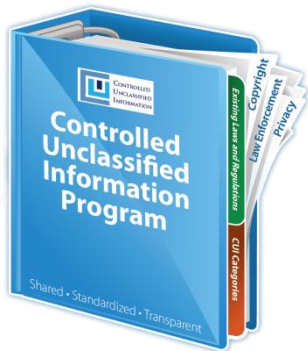
Executive Order 13556



- 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

23 Categories

82 Subcategories

Agriculture	Legal
Controlled Technical Information	North Atlantic Treaty Organization (NATO)
Critical Infrastructure	Nuclear
Emergency Management	Patent
Export Control	Privacy
Financial	Procurement and Acquisition
Foreign Government Information	Proprietary Business Information
Geodetic Product Information	SAFETY Act Information
Immigration	Statistical
Information Systems Vulnerability Information	Tax
Intelligence	Transportation
Law Enforcement	

Information related to proceedings in judicial or quasi-judicial settings.

Subcategories:

- Administrative Proceedings
- Collective Bargaining
- Federal Grand Jury
- Privilege
- Witness Protection

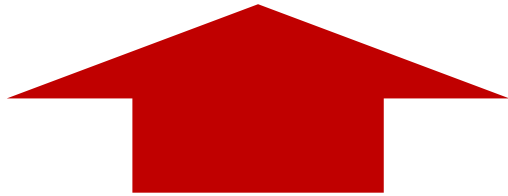
Refers to personal information, or, in some cases, "personally identifiable information," as defined in OMB-M-07-16, or "means of identification" as defined in 18 USC 1028(d)(7).

Subcategories:

- Contract Use
- Death Records
- Genetic Information
- Health Information
- Inspector General
- Military
- Personnel
- Student Records

Online Registry

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



- 23 Categories
- 82 Subcategories
- 315 unique Control citations
- 106 unique Sanction citations

The screenshot shows the National Archives website with a focus on the Controlled Unclassified Information (CUI) program. The header includes the National Archives logo and navigation links. The main content area is titled 'Controlled Unclassified Information (CUI)' and provides an overview of the program. Below this, there are three main sections: 'Registry', 'Training', and 'Oversight'. The 'Registry' section includes a search bar and links to 'Access Registry by' and 'Policy and Guidance'. The 'Training' section includes a link to 'CUI Training Modules'. The 'Oversight' section includes a link to 'CUI Reports'. On the right side, there is a sidebar with links to 'Use the CUI Logo', 'Contact Us', 'News and Notices', and 'Under Development - Registry'.

NATIONAL ARCHIVES

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Controlled Unclassified Information (CUI)

Home > CUI

Established by Executive Order 13556, 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](#)



Use the CUI Logo
Contact Us

News and Notices

- December 8, 2014 - Welcome to the new CUI Portal!

Under Development - Registry

- Markings
- 32 CFR 2002 - Implementing Directive
- Marking Handbook
- Limited Dissemination
- Decontrol

Registry

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



Search the Registry: Go

Access Registry by

- Category-Subcategory

Policy and Guidance

- Executive Order 13556
- CUI Notices

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.

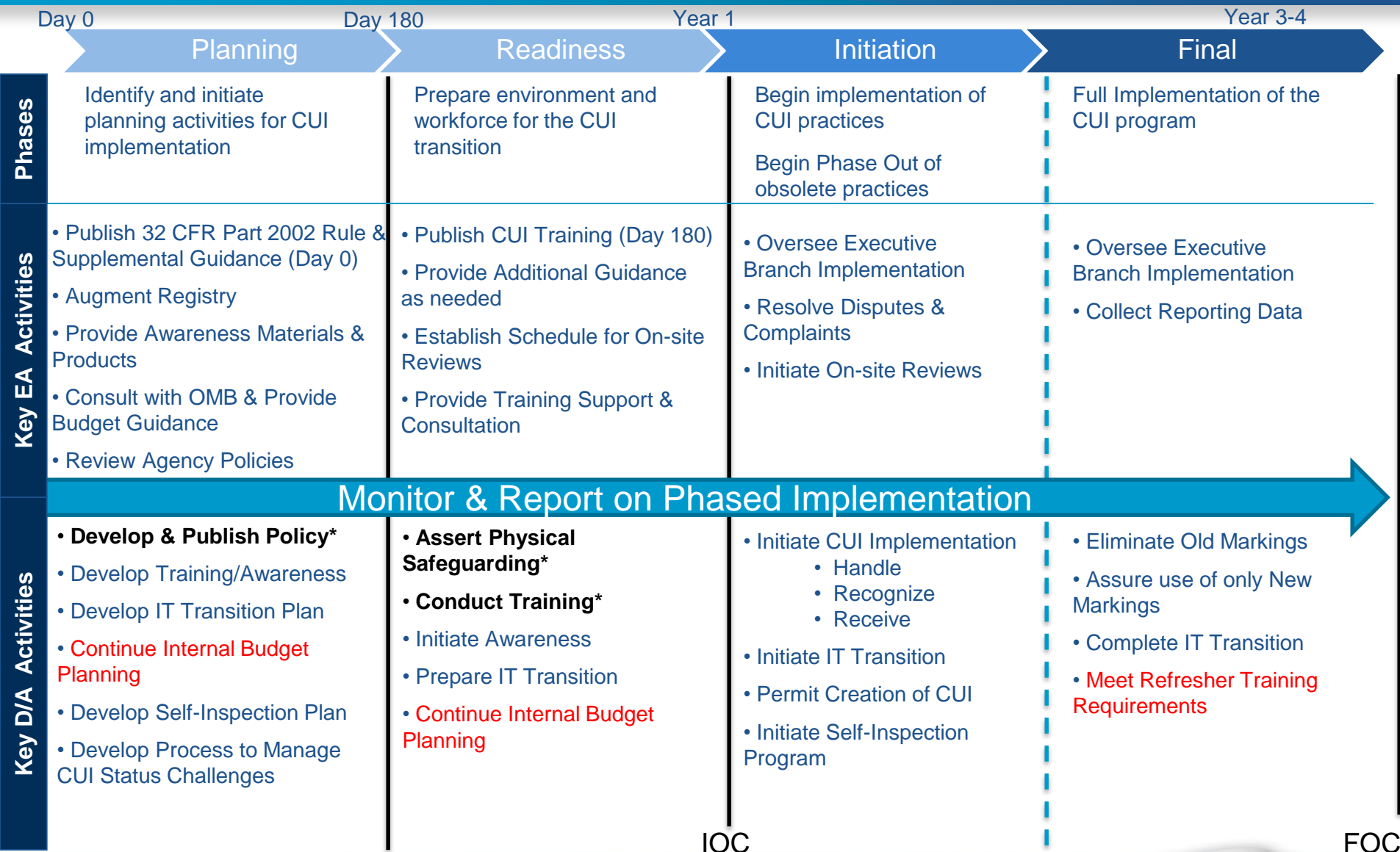
- CUI Reports

Handling CUI

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



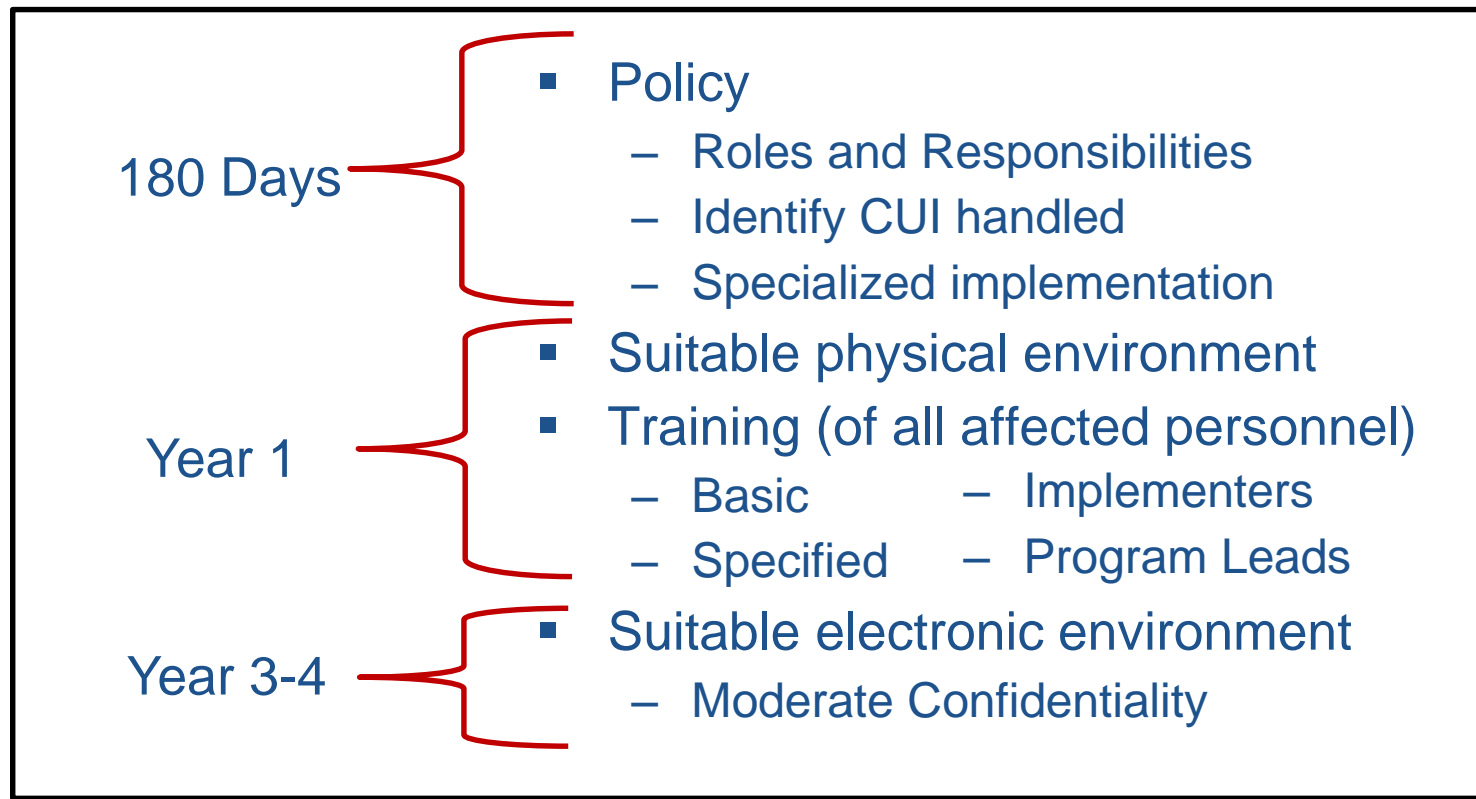
Phased Implementation



What is needed to implement a CUI Program?

E.O. 13556 Sec. 5. Implementation (b):

After a review of agency plans, and in consultation with affected agencies and the Office of Management and Budget, the Executive Agent shall establish deadlines for phased implementation by agencies.



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

“In accordance with FIPS Publication 199, CUI Basic is categorized at the moderate confidentiality impact level. Agencies must also apply the appropriate requirements and controls from FIPS Publication 200 and NIST SP 800-53 to CUI consistently with any risk-based tailoring decisions that they make.” (proposed CUI regulation).

NIST Special Publication 800-171

ISOO collaborated with NIST and DoD on developing NIST Special Publication 800-171, “Protecting Controlled Unclassified Information (CUI) in Non-Federal Systems and Organizations,” June 2015, to represent the technical standards and guidelines for Moderate Confidentiality in the contractor environment.

NIST Special Publication 800-171

Protecting Controlled Unclassified Information in Nonfederal Information Systems and Organizations

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This publication is available free of charge from:
<http://dx.doi.org/10.6028/NIST.SP.800-171>

June 2015



U.S. Department of Commerce
Penny Pritzker, Secretary

National Institute of Standards and Technology
*Willie May, Under Secretary of Commerce for Standards and Technology
and Director*

NIST Special Publication 800-171

- 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 followed 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 Approach for Contractor Environment



Government



Industry

Until the formal process of establishing a single FAR clause takes place, the CUI requirements in NIST SP 800-171 may be referenced in federal contracts consistent with federal law and regulatory requirements.

1 Year

The Department of Defense revised its DFARS to reference the new publication.

FAR Approach

- Goal – the development of a FAR rule to protect CUI in the contractor community, by its reference to:
 - EO 13556
 - CUI EA issuances
 - Agency CUI implementation policies (e.g., identifying the CUI categories and subcategories to be handled)
 - NIST SP 800-171
 - Include reporting of security incidents involving compromise

FAR Approach – Additional Points

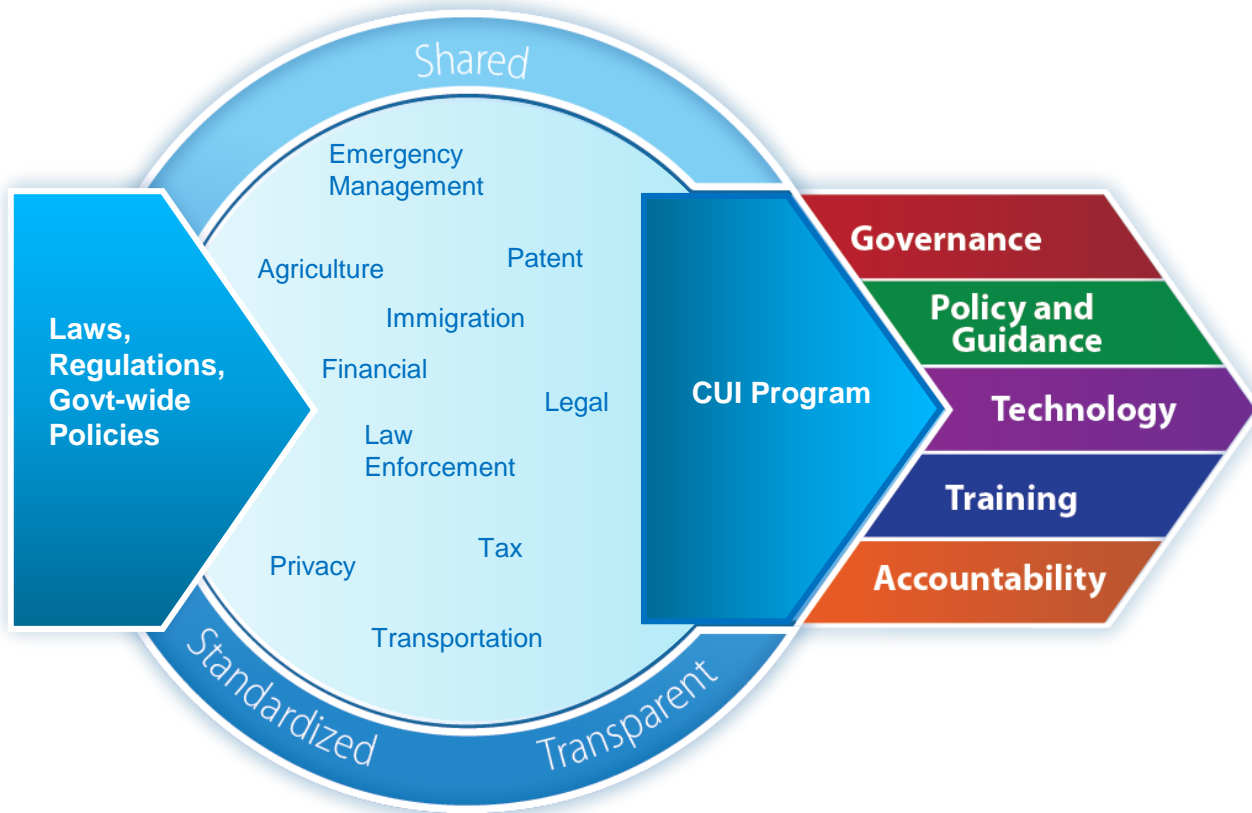
■ Additional Features

- Completion of representations and certifications relevant to CUI in the System for Award Management (SAM) database
- Requirement to keep current based on any changed status pertaining to CUI representations (e.g., safeguarding capabilities)
- Future use of SAM database for oversight activities being explored with GSA for possible inclusion in FAR rule

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 process for incorporation in CFR
- National Implementation Plan (NIP)
 - Work with agencies and OMB to create and execute implementation planning framework, including deadlines for **phased implementation**
- CUI Marking Handbook

Questions?



Contact Information

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Back Up Slide

The following slide is included for reference.

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



CONTROLLED
UNCLASSIFIED
INFORMATION

archives.gov/cui