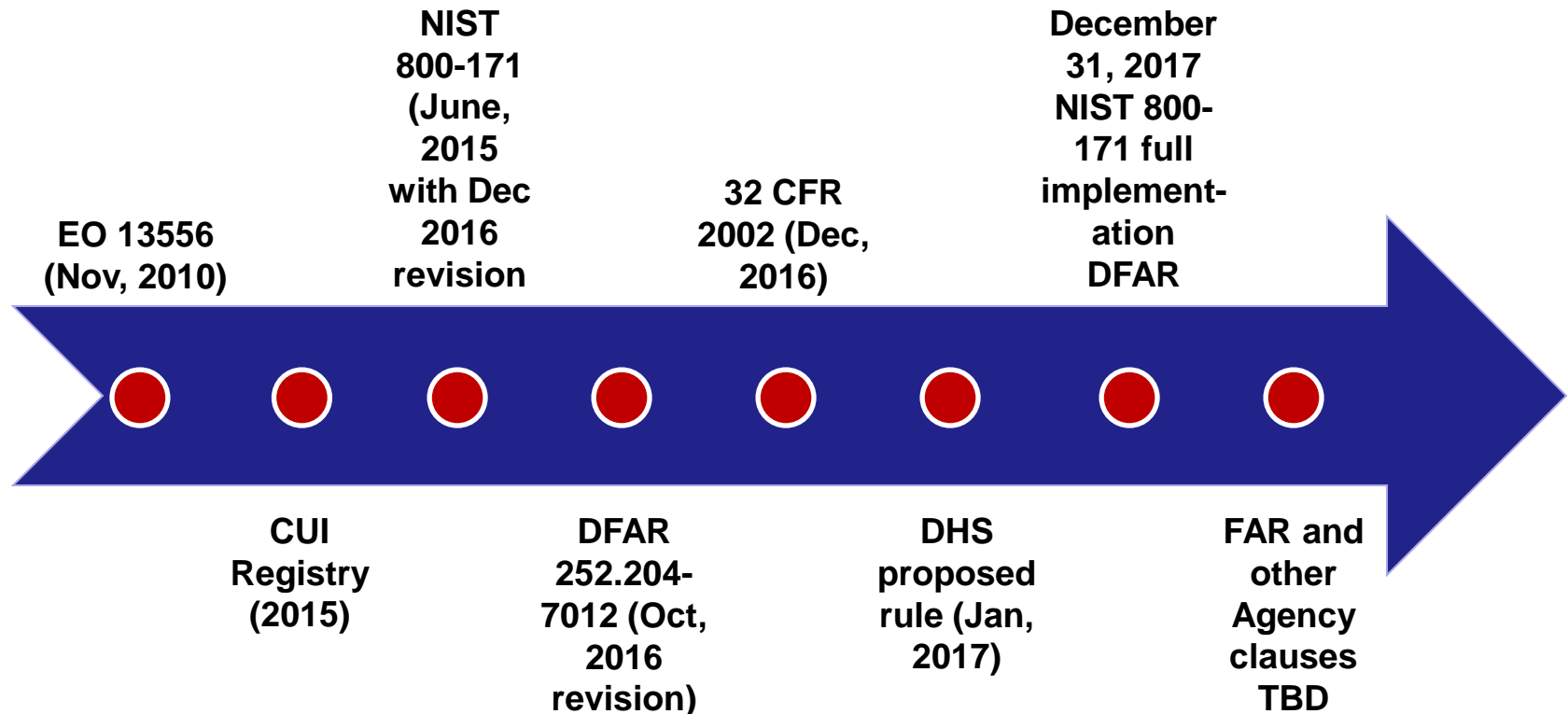


# A Brief Introduction to CUI and NIST 800-171

COGR

June 8, 2017

# Where are we and how did we get here?



## CUI Defined

- “Controlled Unclassified Information (CUI) is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable law, regulations, and government-wide policies but is not classified under Executive Order 13526 or the Atomic Energy Act, as amended.”
  - 23 categories and 84 subcategories
  - Basic and specific security levels dependent on category/subcategory (NIST 800-171)
  - Standardized Markings (information provided by government to contractors should be marked).

(<https://www.archives.gov/cui/about> )

# CUI Categories

- Agriculture
- Controlled Technical Information
- Critical Infrastructure
- Emergency Management
- Export Control
- Financial
- Geodetic Product Information
- Information Systems Vulnerability Information
- Immigration
- Intelligence
- International Agreements
- Law Enforcement
- Legal
- NATO
- Nuclear
- Patent
- Privacy
- Procurement and Acquisition
- Proprietary Business Information
- SAFETY Act Information
- Statistical
- Tax
- Transportation

This is not a Research Only Issue!

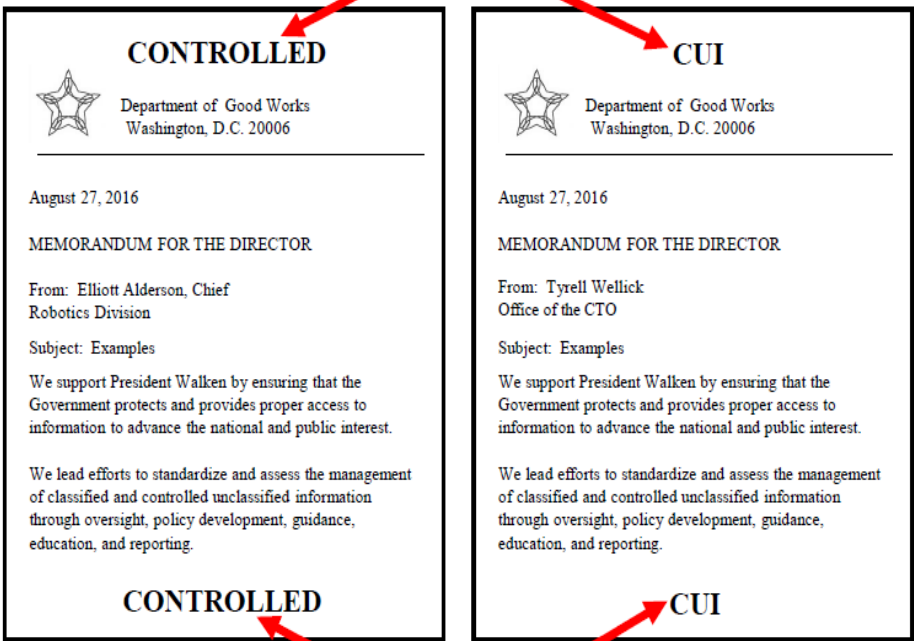
# CUI Banner Markings ( CUI Control Marking)

The CUI Control Marking is mandatory for all CUI and may consist of either the word "CONTROLLED" or the acronym "CUI" (at the designator's discretion).

As an optional best practice, the CUI Banner Marking may be placed at the bottom of the document as well.

Below are two examples showing the options for the CUI Banner Marking.

**MANDATORY:  
CUI Banner Markings must appear on the top portion  
of the page.**



**Optional Best Practice: Also Placed  
Centered at Bottom**

# Banner Markings (Category or Subcategory Marking)

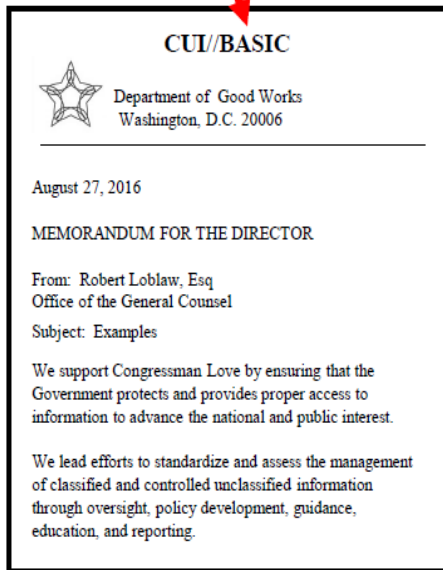
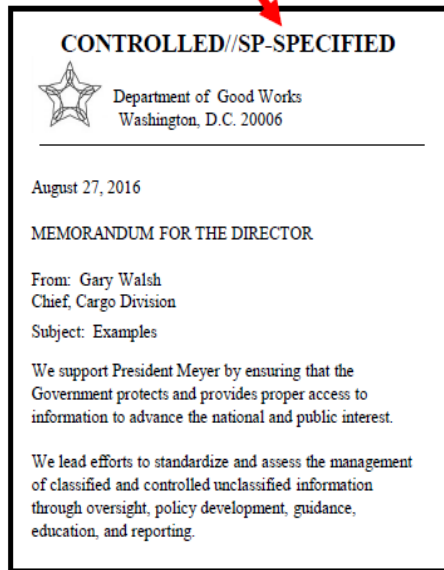
CUI Category or Subcategory Markings are separated by a double forward slash (//) from the CUI Control Marking. When including multiple CUI Category or Subcategory Markings in the CUI Banner Marking they must be separated by a single forward slash (/).

When a document contains CUI Specified, all CUI Specified Category or Subcategory Markings must be included in the CUI Banner Marking .

Agency heads may approve the use of CUI Basic Category or Subcategory Markings through agency CUI policy. When such agency policy exists, all CUI Basic Category or Subcategory Markings must be included in the CUI Banner Marking.

**CUI Specified Category Marking**

**CUI Basic Category Marking (if  
authorized in agency policy)**



NOTE: The above examples use the words "SP-SPECIFIED" and "BASIC" as substitutes for CUI Category and Subcategory Markings. Consult the CUI Registry for actual CUI markings.

## NIST 800-171

- Establishes information security standards and guidelines for protecting Controlled Unclassified Information (CUI) in Nonfederal Information Systems and Organizations
- Is intended for use by federal agencies when agencies are providing CUI to nonfederal organizations (or when CUI is developed by those organizations for federal agencies), but not when nonfederal organizations are operating information systems on behalf of the government
- Requirements apply only to components of nonfederal information systems that process, store, or transmit CUI, or provide security protection for such components.



# 14 families of Controls

- Access Controls
- Awareness and training
- Audit and Accountability
- Configuration Management
- Identification and Authentication
- Incident response
- Maintenance
- Media Protection
- Personnel Security
- Physical protection
- Risk Assessment
- Security assessment
- Systems and communication protection
- System and information security

**110 individual controls; many with high impact or resource intensive.**



# When is NIST 800-171 Applicable?

- Information is identified in NARA registry category or subcategory
- There is a federal nexus:
  - Contract (e.g., DFAR 252.204-7012 non-FRE contract)
  - Data Use Sharing Agreement





## Identifying and Engaging Stakeholders

- IT (central and local)
- Provost office
- Sponsored Programs (contracting and costing)
- Student Services
- Immigration Services
- Business Services
- Others?