



# Controlled Unclassified Information Awareness Training

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**BATTELLE**

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# CUI defined

Controlled Unclassified Information (CUI) is information the Government creates or possesses, or that an entity creates or possesses for or on behalf of the Government, that a law, regulation, or Government-wide policy (LRGWP) requires or permits an agency to handle using safeguarding or dissemination controls.

## What is CUI?

Sensitive government information that does not meet the criteria to be classified but must still be protected.

# Who can access CUI related to this contract?

1. The person must meet the criteria set out by the CUI markings applied to the material (e.g., any Limited Dissemination Controls, any export control information limitations, etc.)
2. The person must have a valid need-to-know (e.g., working on this specific contract)



# Expectations for CUI

- The official list of CUI categories is the CUI Registry, and it can be found at <https://archives.gov/cui/registry-list>.
- Only CUI categories approved by the applicable Federal agency are to be used for the work they sponsor.
- The PNNL Project Manager will ensure that any CUI information provided will be marked as CUI.
- The PNNL Project Manager will provide direction on which CUI categories and markings are to be used if applicable.
- The Contractor shall ensure that all individuals who access CUI are aware of and comply with the requirements and receive appropriate training regarding handling and safeguarding.



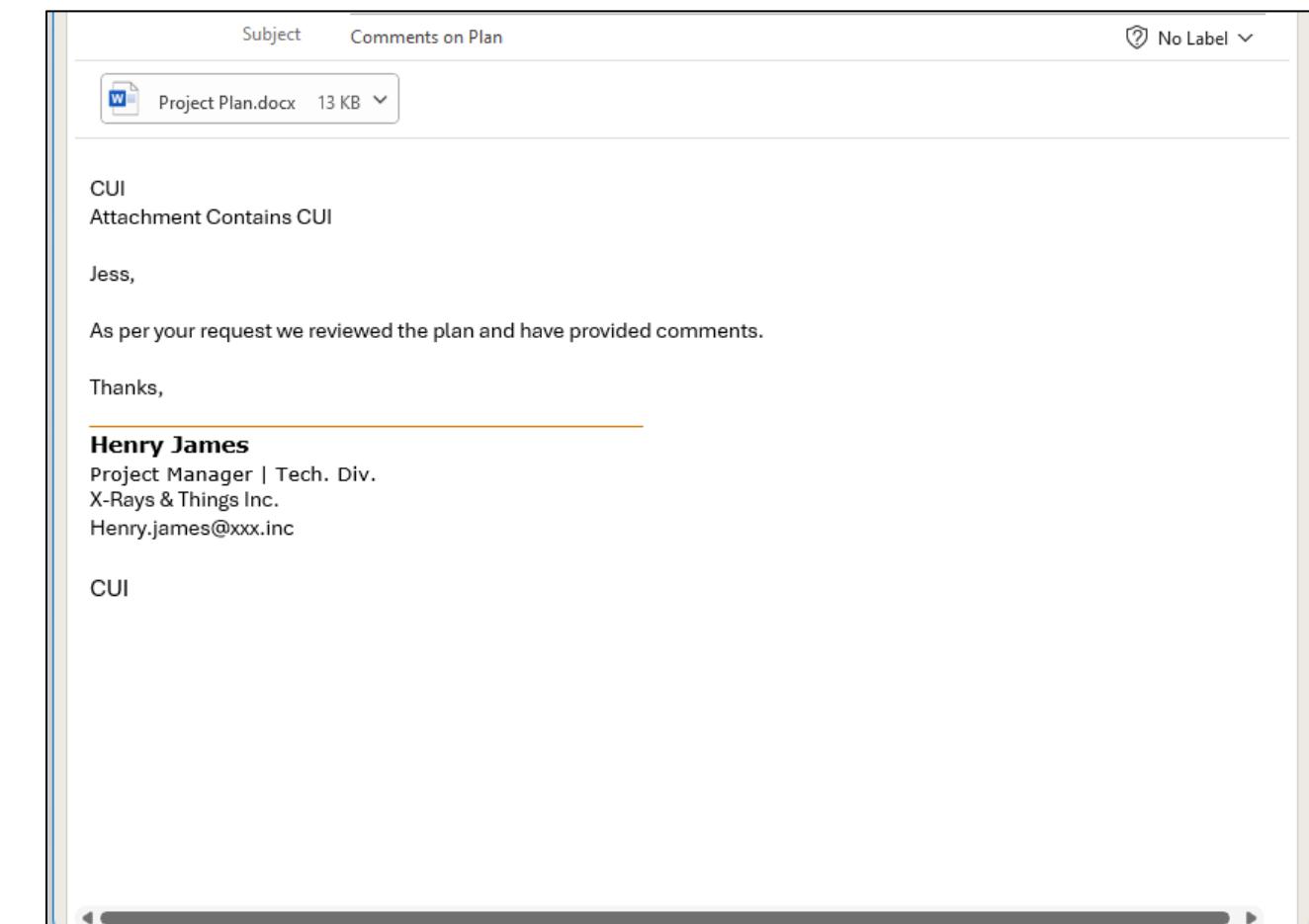
# Destruction of CUI

The destruction of CUI, including in electronic form, must be accomplished in a manner that makes it unreadable, indecipherable, and irrecoverable.

**NOTE:** The PNNL Project Manager may require that CUI be returned to PNNL.

# Emailing CUI

- CUI cannot be transmitted as text within the body of an unencrypted email
- CUI must be in a password protected attachment
- Password must be transmitted separately from the email attachment
- Indicate that the attachment contains CUI in the first line of the body of the email



# Unauthorized Release of CUI

- If an unauthorized release of CUI occurs it must be reported to one of the following:
  - PNNL Point of Contact
  - PNNL Project Manager

# Identifying CUI

Answering “yes” to three key questions of **ownership**, **legality** and **categorization** confirms the identity of the information as CUI.

1. **Ownership**: is the information I am creating or possess on behalf of the government?
2. **Legality**: does protection of this information fall within a law, regulation, or Government-wide policy?
3. **Categorization**: is there a CUI category which is applicable and permits the agency\* to use it based on a law, regulation, or Government-wide policy?

\*Only CUI categories approved by the applicable Federal agency are to be used for the work they sponsor.

# The two types of CUI

For information to be identified as CUI, it must be designated as either of the two subsets of CUI:

## CUI Basic

- The subset for which the authorizing law, regulation, or Government-wide policy (LRGWP) does not specify handling or dissemination controls. CUI Basic is handled according to the default controls for CUI.

## CUI Specified

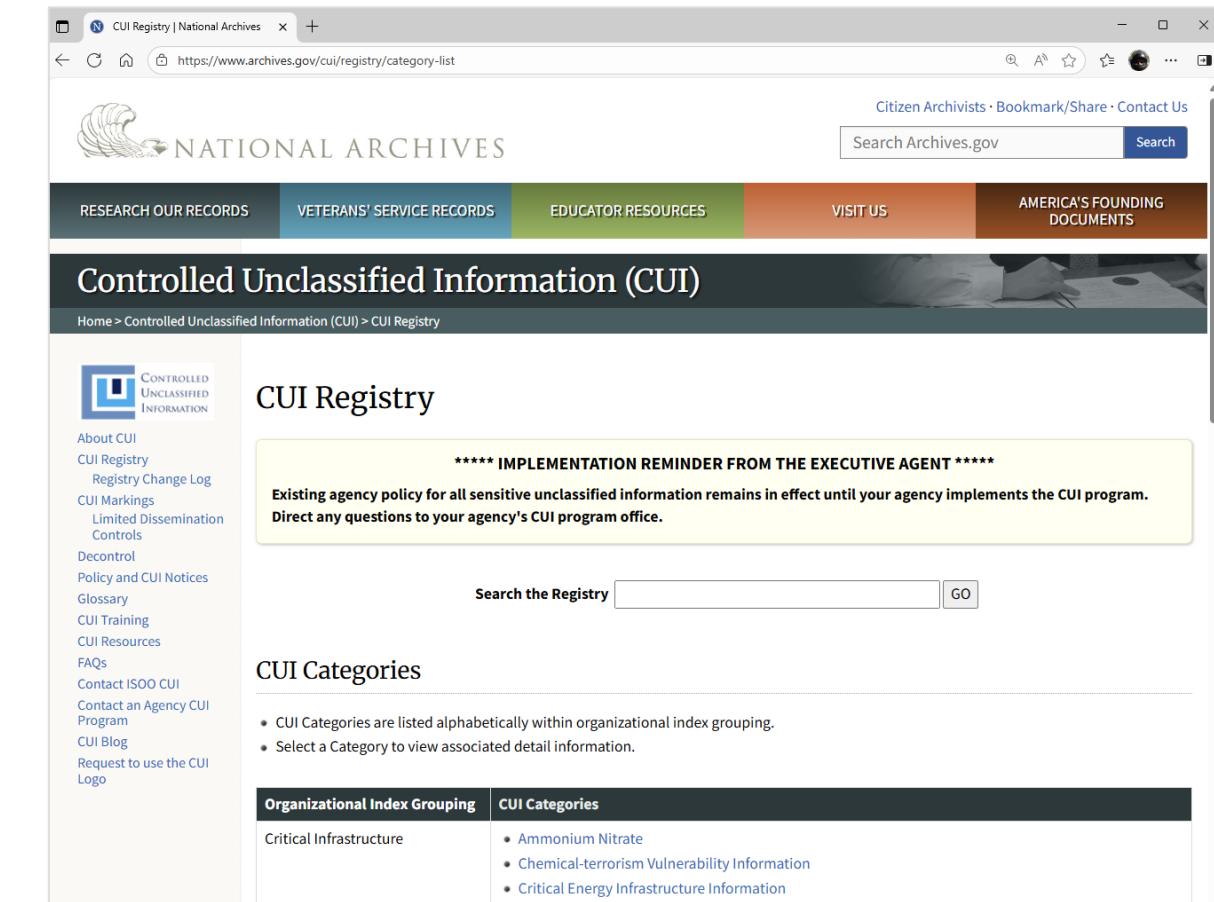
- The subset of CUI in which the authorizing LRGWP contains specific handling controls that it requires or permits agencies to use that differ from the default controls. CUI Specified controls may be more stringent than, or may simply differ from, those required for CUI Basic.

# The CUI Categories

## The CUI Registry

- Lists all CUI categories
- Provides general descriptions of each
- Identifies the safeguarding and/or dissemination authority
- Establishes marking requirements
- Includes guidance on handling requirements
- Located at:

<https://archives.gov/cui/registry/category-list>

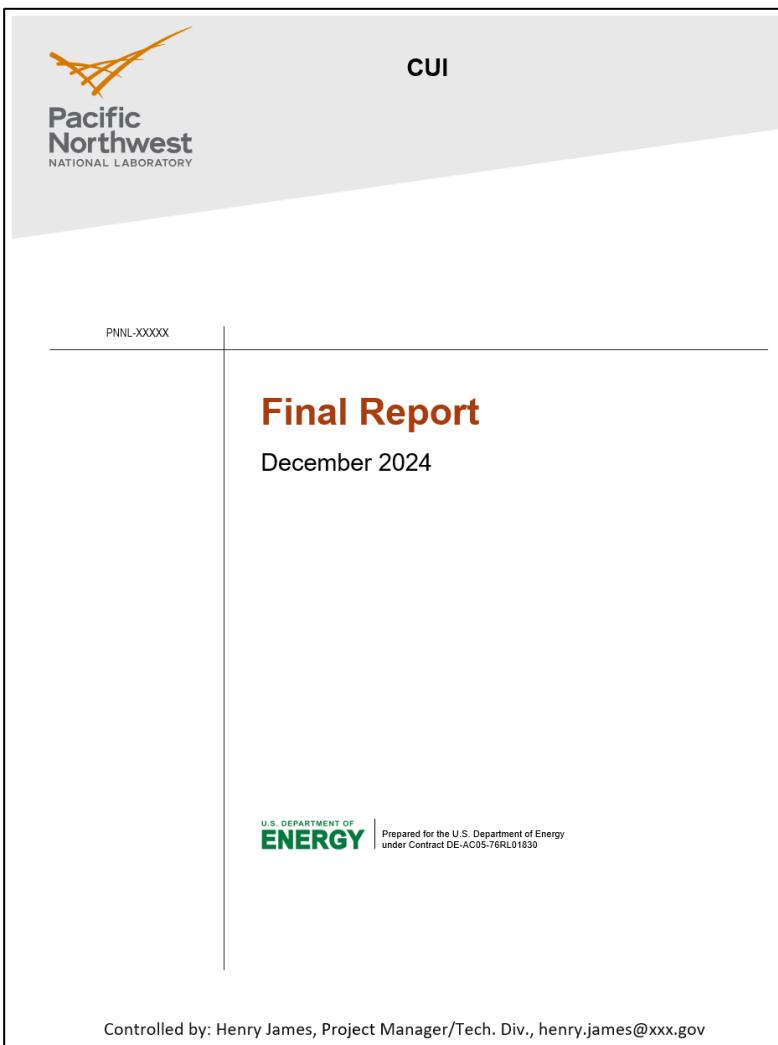


The screenshot shows the 'CUI Registry' page on the National Archives website. The page features a header with the National Archives logo and navigation links for 'RESEARCH OUR RECORDS', 'VETERANS' SERVICE RECORDS', 'EDUCATOR RESOURCES', 'VISIT US', and 'AMERICA'S FOUNDING DOCUMENTS'. A search bar is also present. The main content area is titled 'Controlled Unclassified Information (CUI)' and includes a sub-section for 'CUI Registry'. A callout box contains the text: '\*\*\*\*\* IMPLEMENTATION REMINDER FROM THE EXECUTIVE AGENT \*\*\*\*\*' and 'Existing agency policy for all sensitive unclassified information remains in effect until your agency implements the CUI program. Direct any questions to your agency's CUI program office.' Below this is a search bar with a 'GO' button. The 'CUI Categories' section contains a table with two columns: 'Organizational Index Grouping' (with 'Critical Infrastructure' listed) and 'CUI Categories' (with a list including 'Ammonium Nitrate', 'Chemical-terrorism Vulnerability Information', 'Critical Energy Infrastructure Information', and 'Emergency Management').

# Marking CUI – The Required Elements

- CUI Banner/Header
  - Must be on every page and must be the same on every page
- Controlling Agency
  - Must be present
  - May appear only on the first page or cover
- Controlling Organization
  - Must be present
  - May appear only on the first page or cover
- Controlled By Point of Contact Information
  - Must be present
  - May appear only on the first page or cover and must include:
    - a. Name
    - b. Title/Role
    - c. Email

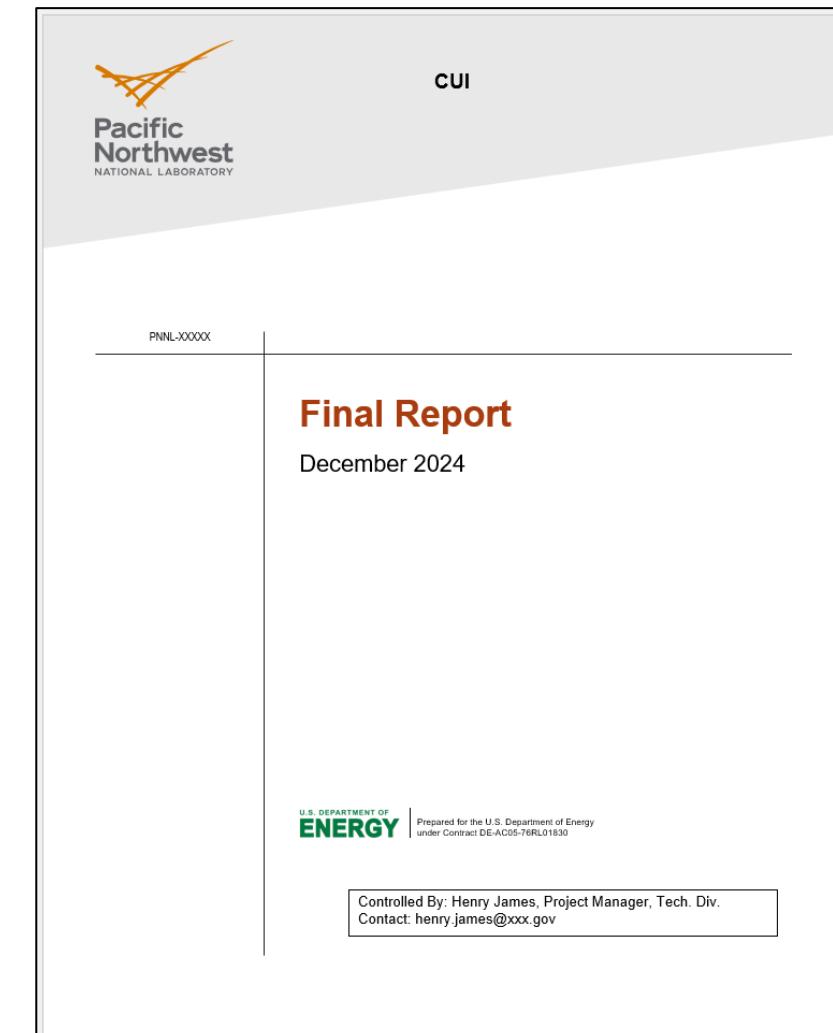
# Examples of CUI Basic Markings



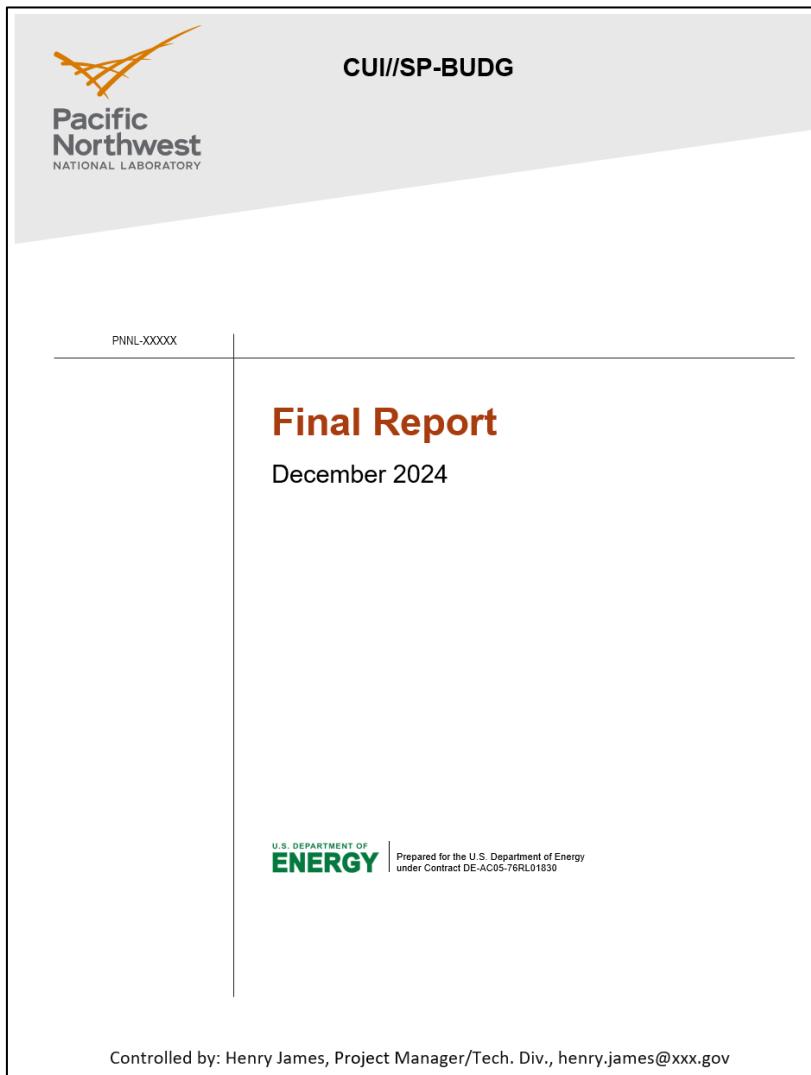
These documents are both marked correctly.

On the left, the Controlled by POC information is in the footer.

On the right, the Controlled by POC information is presented inside a text block.

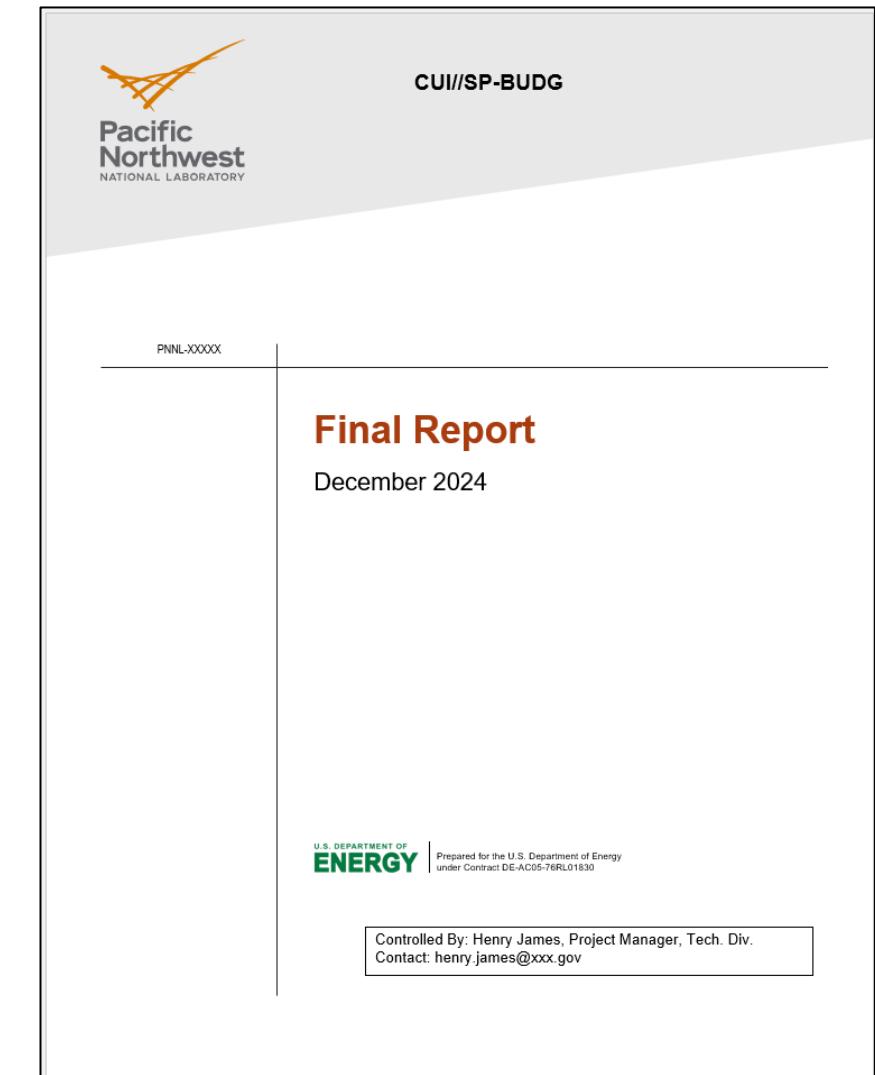


# Examples of CUI Specified Markings



CUI Specified documents must include the CUI Category in the banner/header and add SP- before it to clearly show that the document contains CUI Specified information.

All of the other marking elements are the same for CUI Basic and for CUI Specified.



# Limited Dissemination Controls (LDCs)

- Used to restrict CUI access
- A list of approved LDCs are in the CUI Registry
- LDCs are added after the CUI Categories in the banner/header and are separated by a double slash (//)
- Here are some examples:
  - CUI//OPSEC//NOFORN
  - CUI//SP-BUDG//FEDCON

# Have questions or need help with CUI?

- For help or assistance with CUI contact the following:
  - PNNL Point of Contact
  - PNNL Project Manager