CUI Compliance Plans
Overview and Recommendations for Departments and Agencies

With the issuance on November 4, 2010 of Executive Order 13556, "Controlled Unclassified Information," (the Order) and the issuance of CUI Office Notice 2011-01 on June 9, 2011, Executive branch agencies are required to take actions to implement a program for managing information that requires safeguarding or dissemination controls pursuant to and consistent with law, regulations, and Government-wide policies, excluding information that is classified under Executive Order 13526, "Classified National Security Information," or the Atomic Energy Act, as amended. The Order identifies the National Archives and Records Administration as the Executive Agent (EA) to implement the Order and oversee department and agency actions to ensure compliance.

Per Section 5(a) of the Order, "Within 180 days of the issuance of initial policies and procedures by the Executive Agent in accordance with section 4(b) of this order, each agency that originates or handles CUI shall provide the Executive Agent with a proposed plan for compliance with the requirements of this order, including the establishment of interim target dates." Agencies are requested to submit to the EA a copy of their compliance plans no later than December 6, 2011 via email addressed to cui@nara.gov or via fax to (202) 357-6871. Recommended elements of a compliance plan include:

a) **Governance:** Identify Senior Agency Official, and other designated CUI points of contact. Define roles and responsibilities and describe agency-level processes established to guide and direct the program and its requirements per the Order and Notice.

b) **Policy:** Describe agency-level plans and target dates for creating and promulgating CUI policies and procedures including safeguarding, dissemination, marking, decontrol, and dispute resolution.

c) **Training:** Identify all affected personnel requiring training. Describe agency-level development plans to ensure that personnel who create or handle CUI have a satisfactory knowledge and understanding of relevant CUI categories and associated markings, applicable safeguarding, dissemination, and decontrol policies and procedures. Describe plans for tailoring initial and refresher training to meet the specific needs of the agency and the activities that personnel are expected to perform as determined by the individual agency. Describe the means, methods, and frequency of CUI training. Provide proposed dates for launching training.

d) **Technology:** Describe efforts to review Information Technology systems and toolsets to identify systems impacted by CUI. Describe plans for electronic marking solutions (if applicable). Propose target dates for phased implementation.

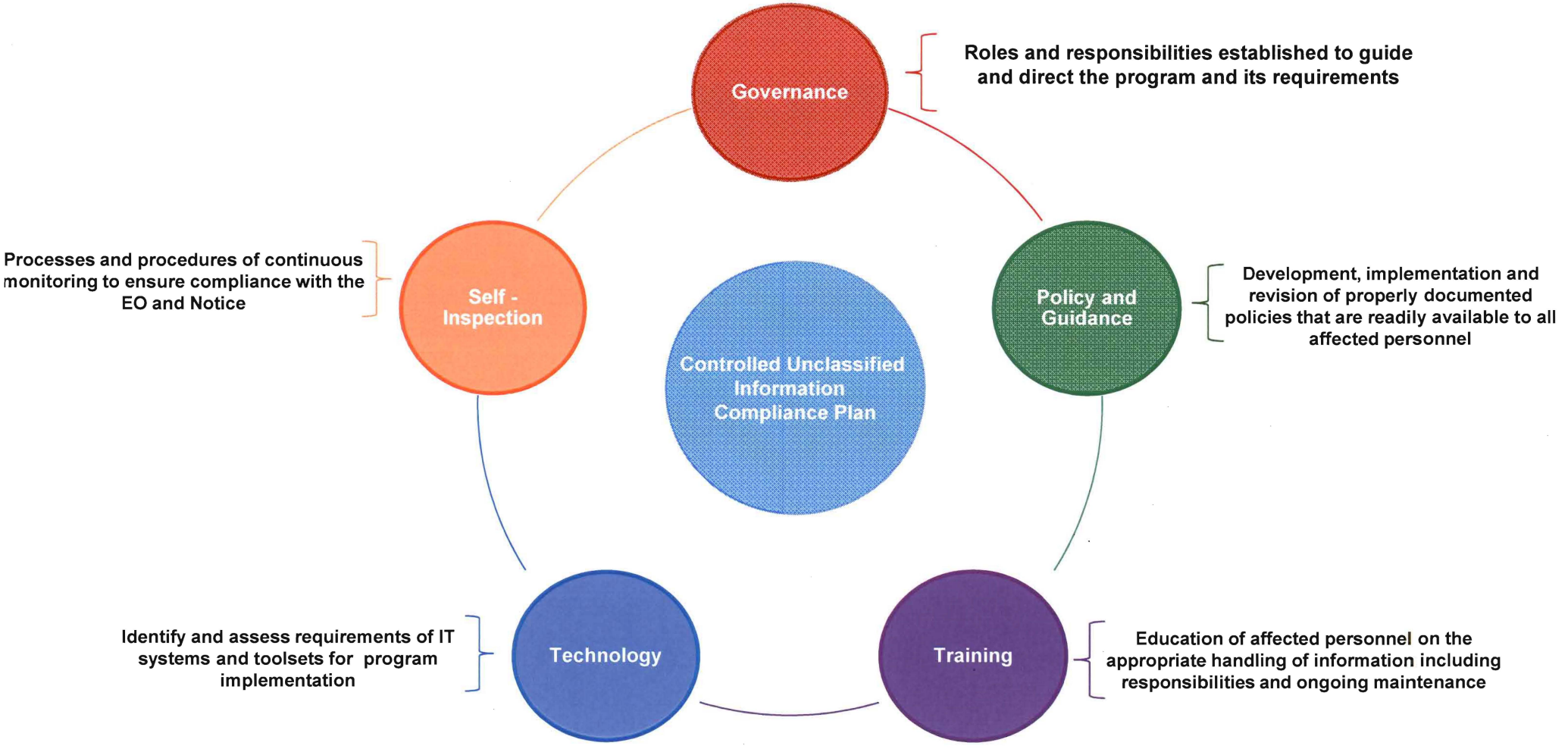
e) **Self-Inspection:** Describe agency-level plans and target dates for the creation of a self-inspection program including reviews and assessments, to evaluate program effectiveness, measure the level of compliance with the Order and Notice, and monitor

the progress of CUI implementation. Describe plans to integrate lessons learned from reviews and assessments to improve operational policies, procedures, and training, establish a system for corrective action to prevent and respond to non-compliance with the Order and Notice, and provide documentation that reflects the analysis and conclusions of the self-inspection program to the EA on an annual basis and as requested by the EA.

After a review of agency plans, and in consultation with affected agencies and the Office of Management and Budget, the EA will establish deadlines for phased implementation by agencies, per section 5(b) of the Order. Additionally, the EA will report annually to the President on the status of implementation for the first 5 years following the date of the Order and biennially thereafter.

www.archives.gov/cui

Five programmatic areas are defined to structure the Controlled Unclassified Information Compliance Plan



A five-step, iterative methodology can be used to assess an organization's current SBU state, identify a proposed target CUI environment, and delineate a path to achieve compliance with the requirements of EO 13556

	Define Analysis Framework	Review Existing Documentation & Information Systems	Identify Target Program	Conduct Gap Analysis	Provide Compliance Plan
Key Activities	▸ Analyze CUI program requirements to develop framework ▸ Identify and develop scope of the organization's CUI program	▸ Review existing policies and procedures ▸ Develop a data call on existing information systems impacted by CUI	▸ Define the future state of the CUI program based on law, regulation, and Government-wide policies ▸ Identify best practices ▸ Evaluate alternative security solutions	▸ Analyze collected data and information ▸ Document the current processes for each programmatic area ▸ Determine the impact of each programmatic gap on the current state of the organization	▸ Recommend specific, actionable steps to create the organization's CUI program ▸ Develop a phased approach to implementing To-Be architecture
Outputs	▸ Definition of five programmatic areas – Governance – Policy & Guidance – Technology – Training & Awareness – Oversight	▸ Solid understanding of existing policies and procedures ▸ Solid inventory of existing information systems impacted by CUI program	▸ Recommended solutions based on: – Law, regulation, Government-wide policies – Best practices – Risk Assessments	▸ Completion of baseline documentation ▸ Documentation of all program gaps ▸ Prioritization of the severity of each gap	▸ Roadmap to reach the target environment including: – Approach and milestones for each programmatic area – Proposed target dates for phased implementation