




AUG 06 2018

Memorandum for: Heads of Executive Departments and Agencies
From: Mark A. Bradley 
Director
Subject: Annual Report to the President on Agency Implementation of the Controlled
Unclassified Information (CUI) Program for FY18

Purpose:

This memorandum requests that you report on your efforts to implement the Controlled Unclassified Information (CUI) Program within your agency. The CUI Executive Agent (EA) will use your submissions to report to the President on agency implementation of the CUI Program.

Background

The CUI Program was established to reform the inconsistent and conflicting patchwork of agency-specific policies, procedures, safeguarding measures, and labels used to handle sensitive unclassified information throughout the executive branch. The National Archives and Records Administration (NARA) is the CUI EA. The Archivist of the United States delegated EA responsibilities to the Director of the Information Security Oversight Office (ISOO). The implementing regulation for the CUI Program is 32 CFR part 2002, "Controlled Unclassified Information," with an effective date of November 14, 2016.

Report

We are requesting that agencies submit reports using the attached form no later than **November 1, 2018**. Agencies are not required to submit detailed implementation plans.

Submit reports to: National Archives and Records Administration
Information Security Oversight Office
Attention: CUI Oversight Team
700 Pennsylvania Avenue, NW, Room 500
Washington, DC 20408

Electronic submissions are acceptable and may be sent to CUI@nara.gov.

Any extension requests to the reporting deadline should be submitted by **October 17, 2018** to Mark Riddle, Lead for CUI Program Oversight, at (202) 357-6864, mark.riddle@nara.gov.

Any questions regarding CUI policy, the CUI Registry, CUI categories, or limited dissemination controls may be submitted to cui@nara.gov.

Enclosures: 1. Controlled Unclassified Information (CUI) Program
Annual Report Form
2. Controlled Unclassified Information (CUI) Program
Annual Report Form Instructions

Controlled Unclassified Information (CUI) Program Annual Report

PART A: Identifying Information		
1. Report Period.	1.	
2. Report Date.	2.	
3. Department or Agency.	3.	
4. Senior Agency Official contact information.	4.	
5. Program Manager contact information.	5.	
6. Contact information (email address or website) for your agency's CUI Program.	6.	
7. If applicable, enter the department or agency that has agreed to provide some or all security support or cognizance over your agency's CUI Program.	7.	
8. If applicable, enter the departments or agencies for which your agency has agreed to provide some or all security support or cognizance over their CUI Program(s).	8.	
9. If applicable, enter the departments or agencies with which your agency has entered into a partnership to share resources or services related to each agency's respective CUI Program.	9.	
PART B: Budget		
1. Has your agency budgeted for implementing the CUI Program in FY18 (see OMB Circular No. A-11)?	1. <input type="checkbox"/> Yes <input type="checkbox"/> No	
Agency Budget		
Object Class	Budgeted	Actual
2. Contract services	2a.	2b.
3. Equipment	3a.	3b.
4. Facilities	4a.	4b.
5. Personnel (<i>program staff</i>)	5a.	5b.
6. Information and technology services	6a.	6b.
7. Training (<i>development and operations</i>)	7a.	7b.
8. Travel	8a.	8b.
9. Other	9a.	9b.
10. Total	10a.	10b.
11. Use this space to provide additional information related to this part. If more space is needed, provide as an attachment to this form.		

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PART C: Policy	
1. Select the status that best describes your agency's progress in developing and issuing policies that implement the CUI Program.	
<input type="checkbox"/> Not started	<input type="checkbox"/> Planning
<input type="checkbox"/> Developing	<input type="checkbox"/> Draft
<input type="checkbox"/> Internal review	<input type="checkbox"/> Complete
Date:	Date:
2. Enter the projected date your agency's policies will be issued.	
2.a. Has the agency submitted any draft CUI policies or interconnecting policies to the CUI Executive Agent for review?	2.a. <input type="checkbox"/> Yes <input type="checkbox"/> No
3. Has the agency identified or discovered any information type that requires safeguarding or dissemination controls but lacks a suitable law, Federal regulation, or Government-wide policy (LRGWP) that would permit its protection under the CUI Program? If yes, complete 3.a.	3. <input type="checkbox"/> Yes <input type="checkbox"/> No
3.a. Has the agency notified the CUI Executive Agent? If yes, complete 3.b.	3.a. <input type="checkbox"/> Yes <input type="checkbox"/> No
3.b. Has the CUI Executive Agent granted the information type(s) provisional status as a CUI category? If yes, complete 3.c.	3.b. <input type="checkbox"/> Yes <input type="checkbox"/> No
3.c. Has the agency submitted any draft laws, Federal regulations, or Government-wide policies (LRGWP) to the CUI Executive Agent for review?	3.c. <input type="checkbox"/> Yes <input type="checkbox"/> No
4. Has the agency submitted to the CUI Executive Agent any existing law, Federal regulation, or Government-wide policy (LRGWP) not already incorporated into the CUI Registry that the agency proposes to use to designate unclassified information as CUI for safeguarding or dissemination controls?	4. <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
5. Has the agency coordinated with the CUI Executive Agent any proposed law, Federal regulation, or Government-wide policy (LRGWP) that would establish, eliminate, or modify a category of CUI, or change information controls applicable to CUI?	5. <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
6. Has the agency identified a need for a limited dissemination control that is not currently reflected on the CUI Registry? If yes, complete 6.a.	6. <input type="checkbox"/> Yes <input type="checkbox"/> No
6.a. Has the agency notified the CUI Executive Agent?	6.a. <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Has the agency issued any waivers of CUI requirements (see 32 CFR.2002.38)? If yes, complete 7.a and 7.b.	7. <input type="checkbox"/> Yes <input type="checkbox"/> No
7.a. Enter a description or provide a copy of all existing waivers, along with the rationale for each waiver, and, where applicable, the alternative steps the agency is taking to ensure sufficient protection of CUI within the agency. If more space is needed, provide as an attachment to this form.	
7.b. Has the agency notified authorized recipients and the public of any waivers issued by the agency?	7.b. <input type="checkbox"/> Yes <input type="checkbox"/> No
8. Use this space to provide additional information related to this part. If more space is needed, provide as an attachment to this form.	

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1. Select the status that best describes your agency's progress in developing and deploying CUI training (see CUI Notice 2018-02).	
<input type="checkbox"/> Not started	<input type="checkbox"/> Planning
<input type="checkbox"/> Draft	<input type="checkbox"/> Internal review
<input type="checkbox"/> Complete	
Date:	Date:
2. If not complete, enter the projected date your agency's CUI training will be deployed.	2.
3. Has your agency engaged in any general awareness activities that address the CUI Program and its implementation within your agency?	3. <input type="checkbox"/> Yes <input type="checkbox"/> No
4. Use this space to provide additional information related to this part. If more space is needed, provide as an attachment to this form.	

PART E: Physical Safeguarding

1. Select the status that best describes your agency's progress in implementing the physical safeguarding requirements, as described in 32 CFR part 2002.	
<input type="checkbox"/> Not started	<input type="checkbox"/> Planning
<input type="checkbox"/> Assessing	<input type="checkbox"/> Modifying
<input type="checkbox"/> Complete	
Date:	Date:
2. If not complete, enter the projected date your agency's physical safeguarding measures will align to those described in 32 CFR part 2002 and agency policy.	2.
3. Use this space to provide additional information related to this part. If more space is needed, provide as an attachment to this form.	

PART F: Information Systems

1. Select the status that best describes your agency's progress in assessing and transitioning all information systems to the standards described in 32 CFR part 2002.	
<input type="checkbox"/> Not started	<input type="checkbox"/> Identifying
<input type="checkbox"/> Assessing	<input type="checkbox"/> Modifying
<input type="checkbox"/> Complete	
Date:	Date:
2. If not complete, enter the projected date your agency's information systems will align to the standards described in 32 CFR part 2002.	2.
3. Use this space to provide additional information related to this part. If more space is needed, provide as an attachment to this form.	

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PART G: Self-Inspection Program

1. Select the status that best describes your agency's progress in developing and initiating internal oversight efforts for the agency's CUI Program.

Not started

Planning

Draft

Scheduled

Complete

Date:

Date:

2. If not complete, enter the **projected** date your agency will initiate internal oversight efforts.

2.

3. Use this space to provide additional information related to this part. If more space is needed, provide as an attachment to this form.

PART H: Additional Information

1. Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form.

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Instructions

PART A: Identifying Information	
1. Report Period. Enter the applicable fiscal year (FY-YY).	
2. Report Date. Enter the date (MM-DD-YYYY) of the report.	
3. Department or Agency. Enter your Department or Agency. Note: Components, elements, regional locations, divisions, and/or internal lines of business within agencies are not expected to report directly to the CUI Executive Agent (EA). Components, elements, regional locations, divisions, and/or internal lines of business must report to their parent agency. Only parent agencies are required to report directly to the CUI EA using this form.	
4. Senior Agency Official contact information. Enter the contact information (name, title, address, phone, and email) of the officially designated Senior Agency Official for the agency's CUI Program.	
5. Program Manager contact information. Enter the contact information (name, title, address, phone, and email) for the officially designated Program Manager for the agency's CUI Program.	
6. Contact information (email address or website) for your agency's CUI Program. Enter the contact information for your agency's CUI program (e.g., CUI@YOURAGENCY.GOV or WWW.CUIATTHISAGENCY.GOV) where general inquires can be directed regarding the implementation and management of your agency's CUI program.	
7. If applicable, enter the department or agency that has agreed to provide some or all security support or cognizance over your agency's CUI Program. Due to their size, budgetary limitations, staffing, or available resources, some agencies may elect to allow or authorize another agency to provide security support or cognizance over all or part of their CUI Program. If applicable, list the department or agency that has agreed to provide some or all security support or cognizance over your agency's CUI Program (e.g., destruction services, incident reporting mechanisms, training modules, internal inspections).	
8. If applicable, enter the departments or agencies for which your agency has agreed to provide some or all security support or cognizance over their CUI Program(s). Due to their size, budgetary limitations, staffing, or available resources, some agencies may request from other agencies some form of assistance in order to adequately implement their CUI Program. If applicable, list any departments or agencies that your agency has agreed to provide security support to or cognizance over your agency's CUI Program (e.g., destruction services, incident reporting mechanisms, training modules, internal inspections).	
9. If applicable, enter the departments or agencies with which your agency has entered into a partnership to share common resources or services. Due to their size, budgetary limitations, staffing, or available resources, agencies may elect to form partnerships to share resources or services related to the CUI Program (e.g., destruction services, incident reporting mechanisms, training modules, internal inspections). If applicable, list any list any departments or agencies that your agency has entered into an agreement with to share common resources or services.	
1. Has your agency budgeted for implementing the CUI Program in FY18 (see OMB Circular No. A-11)? Select the response that represents whether or not your agency has budgeted for the implementation of the CUI Program. For FY18, see OMB Circular No. A-11, July 2016.	
For blocks 2-9 enter the amount budgeted for the reporting period into part a, and enter the amount received for the reporting period into part b. For block 10, parts a and b, enter the total of all applicable sections. Note: Round figures to the nearest dollar amount. If your agency is unable to provide this information provide an explanation in block 11.	
Object Class	Description
2. Contract services	Include purchases of contractual services and supplies associated with the agency's CUI Program (e.g., advisory and assistance services, training development, equipment installation, assessing and/or reconfiguring information systems, destruction services).
3. Equipment	Include any equipment or material costs associated with the agency's CUI Program (e.g., cross cut shredders, lockable cabinets, keys).
4. Facilities	Include payments for construction and rehabilitation related to establishing a suitable physical safeguarding environment for CUI storage or handling (i.e., the establishment of a "controlled environment."). Construction and rehabilitation means the design and production of fixed structures or substantial alterations to such structures. Include major additions, alterations, improvements to and replacements of existing structures or offices spaces. Exclude preliminary surveys, maintenance, repair, administration of such facilities and other Federal operating expenses.

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5. Personnel (<i>program staff</i>)	Include the Government’s compensation for Federal civilian employees, military personnel, and non-Federal personnel supporting the agency’s CUI Program (e.g., CUI Program Manager, supporting staff, oversight, and assessment teams) and whose duties include, but are not limited to, developing, managing, and overseeing the agency’s CUI Program. Also include compensation for component and sub-agency personnel.
6. Information and technology services	Include any costs associated with reconfiguring or replacing information technology, systems, products, or components used to support the agency’s CUI Program.
7. Training (<i>development and operations</i>)	Include any costs associated with developing or deploying the agency’s CUI training program and any associated printing or reproduction costs that serve to reinforce or advertise elements of the agency’s CUI Program.
8. Travel	Include travel and transportation costs of Government employees and other people, while in an authorized travel status, that are to be paid by the Government either directly or by reimbursing the traveler in support of the agency’s CUI Program (e.g., training, oversight activities).
9. Other	Include any other costs associated with implementing the CUI Program.

PART C: Policy

<p>1. Select the status that best describes your agency’s progress in developing and issuing policies that implement the CUI Program.</p> <p>Not started: Not started means that your agency has not begun to develop a policy or policies that will implement the CUI Program. If selected, enter the date (MM-DD-YYYY) that your agency plans to initiate policy development.</p> <p>Planning: Planning means that your agency is assessing the policy needs, the scope of affected policies or gaps, and the levels of policy needed to implement the CUI Program, as well as developing a plan for addressing the policy needs. This includes identifying all existing policies that prescribe protective measures for unclassified information and identifying all information types (CUI categories) that the agency currently uses.</p> <p>Developing: Developing means that your agency has officially begun the process to modify or develop a policy or policies that will implement the CUI Program.</p> <p>Draft: Draft means that your agency has a rough draft of a policy.</p> <p>Internal Review: Internal review means that a draft policy is being circulated to internal elements or organizations for concurrence or comment.</p> <p>Complete: Complete means that your agency has successfully developed and issued a policy (or policies) that implement the CUI Program. If selected, enter the date (MM-DD-YYYY) the policy was complete. If your agency still has additional policies to issue or revise, indicate the agency’s overall CUI policy status in box 8.</p>	<p>2. Enter the projected date your agency’s policies will be issued. Enter the date (MM-DD-YYYY) your agency expects to have issued the primary policies needed to implement the CUI Program.</p> <p>2.a. Has the agency submitted any draft CUI policies or interconnecting policies to the CUI Executive Agent for review? Select the response that represents whether or not your agency has submitted any draft CUI policies or interconnecting policies to the CUI Executive Agent for Review.</p> <p>3. Has the agency identified or discovered any information type that requires safeguarding or dissemination controls but lacks a suitable law, Federal regulation, or Government-wide policy that would permit its protection under the CUI Program? Select the response that represents whether or not your agency has identified or discovered any information types that require protection but lack a suitable law, Federal regulation, or Government-wide policy (LRGWP) that would permit its protection under the CUI Program. See CUI Notice 2013-01, Provisional Approval of Proposed CUI Categories. If Yes, complete 3.a.</p> <p>3.a. Has the agency notified the CUI Executive Agent? Select the response that represents whether or not your agency has notified the CUI Executive Agent of the information type(s) that require protection but lack(s) a suitable law, regulation, or Government-wide policy (LRGWP) that would permit its protection under the CUI Program. See CUI Notice 2013-01, Provisional Approval of Proposed CUI Categories. If Yes, complete 3.b.</p> <p>3.b. Has the CUI Executive Agent granted the information type(s) provisional status as a CUI Category? Select the response that represents whether or not the CUI Executive Agent has granted any information type(s) that requires protection but lack(s) a suitable law, Federal regulation, or Government wide policy (LRGWP) that would permit its protection under the CUI Program provisional status as a CUI category. See CUI Notice 2013-01, Provisional Approval of Proposed CUI Categories.</p> <p>3.c. Has the agency submitted any draft laws, Federal regulations, or Government-wide policies (LRGWP) to the CUI Executive Agent for review? Select the response that represents whether or not the agency has coordinated on development of any draft, or submitted any draft, laws, Federal regulations, or Government-wide policies (LRGWP) to the CUI Executive Agent for review.</p>
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4. **Has the agency submitted to the CUI Executive Agent any law, Federal regulation, or Government-wide policy (LRGWP) not already incorporated into the CUI Registry that the agency proposes to use to designate unclassified information as CUI for safeguarding or dissemination controls?** Select the response that represents whether or not your agency has submitted to the CUI Executive Agent any law, Federal regulation, or Government-wide policy (LRGWP) not already incorporated into the CUI Registry that the agency proposes to use to designate unclassified information for safeguarding or dissemination controls.

5. **Has the agency coordinated with the CUI Executive Agent any proposed law, Federal regulation, or Government-wide policy (LRGWP) that would establish, eliminate, or modify a category or subcategory of CUI, or change information controls applicable to CUI?** Select the response that represents whether or not your agency has coordinated with the CUI Executive Agent any proposed law, Federal regulation, or Government-wide policy (LRGWP) that would establish, eliminate, or modify a category or subcategory of CUI, or change information controls applicable to CUI.

6. **Has the agency identified a need for a limited dissemination control that is not currently reflected on the CUI Registry? If Yes, complete 5.a.** Select the response that represents whether or not your agency has identified a need for a limited dissemination control that is not currently reflected on the CUI Registry. See the CUI Registry for a current listing of approved limited dissemination control markings that may be used with CUI.

6.a. **Has the agency notified the CUI Executive Agent?** Select the response that represents whether or not your agency has notified the CUI Executive Agent of the need for an additional limited dissemination control.

7. **Has the agency issued any waivers of CUI requirements (see 32 CFR.2002.38)? If yes, complete 7.a and 7.b.** Select the response that represents whether or not your agency has issued any waivers of CUI requirements.

7.a. **Enter a description or provide a copy of all existing waivers along with the rationale for each waiver and, where applicable, the alternative steps the agency is taking to ensure sufficient protection of CUI within the agency.** Enter a description or provide a copy of all existing waivers along with the rationale for each waiver and, where applicable, the alternative steps the agency is taking to ensure sufficient protection of CUI within the agency.

7.b. **Has the agency notified authorized recipients and the public of any waivers issued by the agency?** Select the response that represents whether or not your agency has notified authorized recipients and the public of any waivers issued by the agency. This may be accomplished by posting on your agency's website.

1. Select the status that best describes your agency's progress in developing and deploying CUI training (see CUI Notice 2018-02).
Not started: Not started means that your agency has not begun to develop training for the CUI Program. If selected, enter the date (MM-DD-YYYY) that your agency plans to initiate the development of CUI training.
Planning: Planning means that your agency has officially begun the process to develop CUI training.
Draft: Draft means that your agency has a draft training for the CUI Program.
Internal review: Internal review means that a draft CUI training is being circulated to internal elements or organizations for concurrence or comment.
Complete: Complete means that your agency has successfully developed and deployed CUI training. If selected, enter the date (MM-DD-YYYY) the training was complete.

2. **If not complete, enter the projected date your agency's CUI training will be deployed.** Enter the date (MM-DD-YYYY) your agency expects to deploy CUI training to the workforce.

3. **Has your agency engaged in any general awareness activities that address the CUI Program and its implementation within your agency?** Select the response that represents whether or not your agency has engaged in awareness activities that address the CUI Program and its implementation within your agency. General awareness activities include, but are not limited to, training modules, broadcast messages, agency newsletters, information sheets, and agency websites that address the CUI Program and its implementation within your agency.

1. Select the status that best describes your agency's progress in implementing the physical safeguarding requirements, as described in 32 CFR part 2002.
Not started: Not started means that your agency has not begun implementing the physical safeguarding requirements for CUI. If selected, enter the date (MM-DD-YYYY) that your agency plans to begin implementing the physical safeguarding requirements for CUI.
Planning: Planning means that your agency has started planning for implementing the physical safeguarding requirements for CUI. This activity could include identifying existing policies and safeguarding measures currently in use for your agency and developing a plan for assessing current, implemented, safeguards.
Assessing: Assessing means that your agency is assessing the current physical safeguards used to protect CUI.
Modifying: Modifying means that your agency is taking steps to modify all areas that do not meet the physical safeguarding requirements for CUI.
Complete: Complete means that your agency has successfully implemented (or verified) that all areas used for storing or processing CUI meet or exceed the safeguarding requirements for CUI, as described in 32 CFR part 2002. If selected, enter the date (MM-DD-YYYY) this activity was completed.

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2. **If not complete, enter the projected date your agency's physical safeguarding measures will align with those described in 32 CFR part 2002 and agency CUI policy.** Enter the date (MM-DD-YYYY) your agency expects to have implemented the physical safeguarding requirements for CUI in accordance with your agency CUI policy.

1. **Select the status that best describes your agency's progress in assessing and transitioning all information systems that process, store, or transmit CUI to the standards described in 32 CFR part 2002.**

Not started: Not started means that your agency has not begun assessing and transitioning all information systems to the standards described in 32 CFR part 2002.

Identifying: Identifying means that your agency has started the process of identifying all information systems that process, store, or transmit CUI.

Assessing: Assessing means that your agency has started assessing the current configuration of all information systems that process, store, or transmit CUI against the standards described in 32 CFR part 2002 (no less than the moderate confidentiality impact value).

Modifying: Modifying means that your agency is taking steps to modify all information systems that were found to be configured at a lower standard (less than the moderate confidentiality impact value).

Complete: Complete means that your agency has successfully assessed and modified all systems that process, store, or transmit CUI to the standard identified in 32 CFR part 2002. If selected, enter the date (MM-DD-YYYY) this activity was completed.

2. **If not complete, enter the projected date your agency's information systems will align to the standards described in 32 CFR part 2002.**

Enter the date (MM-DD-YYYY) your agency expects to have successfully modified all information systems that process, store, or transmit CUI to the standard identified in the 32 CFR part 2002.

1. **Select the status that best describes your agency's progress in developing and initiating internal oversight efforts for the agency's CUI Program.**

Not started: Not started means that your agency has not begun to develop a method for evaluating or assessing implementation efforts for the agency's CUI Program. If selected, enter the date (MM-DD-YYYY) that your agency plans to start developing a method for evaluating implementation efforts for the agency's CUI Program.

Planning: Planning means that your agency has officially begun the process to develop a method for evaluating or assessing implementation efforts for the agency's CUI Program.

Draft: Draft means that your agency has a rough draft of a method for evaluating or assessing implementation efforts for the agency's CUI Program.

Scheduled: Scheduled means that your agency has developed a schedule or plan for assessing implementation efforts within the agency.

Complete: Complete means that your agency has successfully developed a method for evaluating and assessing implementation efforts for the agency's CUI Program and has conducted successfully completed at least one oversight action or activity. If selected, enter the date (MM-DD-YYYY) this action was completed.

2. **If not complete, enter the projected date your agency will initiate internal oversight efforts.** Enter the date (MM-DD-YYYY) your agency expects to initiate internal oversight efforts.