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CUI Notice 2018-02: Recommendations for Controlled Unclassified Information (CUI) Basic Training

January 24, 2018

Purpose

This notice identifies and recommends common learning objectives and curriculum design elements for basic CUI training.

Authorities

32 CFR 2002, "Controlled Unclassified Information," September 14, 2016; and

Executive Order 13556, "Controlled Unclassified Information," November 10, 2010.

Background

The Director of the Information Security Oversight Office, exercises Executive Agent responsibilities for the CUI Program. The CUI Federal regulation at 32 CFR 2002 implements Executive Order 13556 for CUI, and establishes CUI Program requirements for designating, safeguarding, disseminating, marking, decontrolling, and disposing of CUI.

Recommendations

The attachment contains standards for common curriculum design elements (content) to support identified learning objectives. Along with the content, recommendations are made for appropriate delivery and testing related to the first three levels of the Bloom's Taxonomy[1] framework for achieving knowledge, comprehension and application competencies.

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[1] Bloom's Taxonomy provides a benchmark for identifying learning objectives. Bloom's taxonomy is a classification system used to define and distinguish different levels of human cognition (i.e., thinking, learning, and understanding).

Attachment: Curriculum Design Standards[2]

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
CUI Purpose & Relevance: • Current Events: accounts of actual events - Personal: ~ e. g 1: Government-wide: PII & "OPM Data Breach" ~ e. g 2: - Agency: ~ Government-wide: e.g. PII and "OPM Data Breach" ~ e. g 2: - Importance: - National trust: discussion o impact o consequences o priority - National security: discussion o impact o consequences o priority - Personal: discussion o impact o responsibility o accountability o consequences • Purpose, Goals and Objectives: - Executive Order - Understand the arguments and *raisons d'être* for why CUI is important	• Learning Objectives: - Develop motivation for CUI practices - Understand purpose, goals and objectives, the arguments, *raisons d'être* for why CUI is important • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, application • Test/Measures (Kirkpatrick[3]-Bloom's level): - no testing recommended

[2] Curriculum Design Standards: are intended provides to Executive Branch agencies a clear definition and guidance to achieve compliant basic CUI training.

[3] Kirkpatrick (Evaluation) Model: The four-level evaluation model focuses on 1) reaction (did you "like" the instructor, material, setting etc.), 2) learning (what and how much did you learn, knowledge), 3) behavior (did it impart application skills & abilities), and 4) results (what were the outcomes to a business, society etc.). CUI focus is on two (learning) and 3 (behavior).

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Concepts and Terminology: CUI Category and Subcategory • CUI Category and Subcategory: - Definition - Each based on regulation, law, government-wide policy and or judicial position - Understand that there's now a clear definition of sensitive information - Ex 1 (Basic): description, use, importance, marking syntax - Ex 2 (Specified): description, use, importance, marking syntax	• Learning Objectives: - Understand the concept of sensitive information categories and subcategories. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Concepts and Terminology: Lawful Government Purpose • Lawful Government Purpose - Definition - Examples	• Learning Objectives: - Understanding the foundational concept "lawful Government purpose." • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Concepts and Terminology: Other Important Concepts • Authorized Holder - definition - examples • Media: information storage and transport media - definition - example • Legacy Information - definition - examples - special considerations when information is not being shared	• Learning Objectives: - Know other key concepts, terms and be able to give examples • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Authority: Agency Policy • Agency CUI Policy: purpose, key differences - Most important authority for users and managers - Similarities with Federal Policy - Differences from Federal guidance: articulated o Agency's business, like: telework, BYOD o Specific Roles & Responsibilities o Agency's Decontrol policy and processes o Agency's Destruction policy and processes o Agency training is primarily linked to agency policy - Policy location and access - Agency policy flexibility	• Learning Objectives: - Understanding that the agency policy is the most important authority and that it clarifies roles, responsibilities, processes and procedures • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Authority: Other Policies and Guidance • Executive Order 13556: description, goals, sponsor, why it came about • 32 CFR, Part 2002, Controlled Unclassified Information (CUI), September 14, 2016: description, goals, sponsor • CUI Notice 2016-01: Implementation Guidance for the Controlled Unclassified Information (CUI) Program, September 14, 2016: description, goals, sponsor • For guidance & answers to questions: Agency Policy, CUI POC	• Learning Objectives: - Know the foundational policies that support an agency's policy - Know their respective messages and scope • Delivery (Bloom's Taxonomy): - Knowledge • Test/Measures (Kirkpatrick-Bloom's level): - no testing recommended

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Governance & CUI Organizational Structures: • Federal: Federal CUI Executive Agent's - Authorities - Roles - Governance Responsibilities • Agency: - Authorities - Roles o Senior Agency Official (SAO) o Agency CUI Program Manager - Governance Responsibilities - Clarified in the agency's CUI Policy - Lines of communication: who & how to contact • Business Program: authorities, roles & responsibilities - Authorities - Roles - Governance Responsibilities • Personal: - Authorities - Roles - Governance Responsibilities • For guidance & answers to questions: Agency Policy, CUI POC	• Learning Objectives: - Know the respective CUI Program's organizational domain authorities, roles and responsibilities, including the individual's authorities, roles and responsibilities. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Resources/Professional Tools: Registry • Purpose: Know its CUI Program function and that it's a business support tool • Content: Know the Registry's content - Sensitive information categories and subcategories - Authorities (law, regulation, government-wide policy and or judicial position - "Basic" or "Specified" concepts - Markings (basic or specified) - Dissemination indicators • Ownership: describe NARA-ISOO ownership & maintenance responsibilities • Location: describe website & URL • Access & Use: describe & demonstrate basic access and navigation • For guidance & answers to questions: Agency Policy, CUI POC	• Learning Objectives: - Understand and use the CUI Registry • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Resources/Professional Tools: Marking Handbook • Purpose: describe its business function (that it's the CUI business support tool) • Content: describe information and [content] elements - Category - Authority (law, regulation or government-wide policy) - Marking (basic and specified markings) - Dissemination indicators • Ownership: describe NARA-ISOO ownership & maintenance responsibilities • Location & access: - describe website (URL) - describe access - describe organization & navigation	• Learning Objectives: - Understand and use the Marking Handbook • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, some application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Handling: Basic Marking • Definition: Basic marking concepts - Marking Syntax (banner) - Basic and Specified Markings - Marking with Dissemination • Resource for guidance: Marking Handbook	• Learning Objectives: - Know, understand and use basic marking concepts • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, basic application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Relationships: CUI and Other IRM Program • Summary of other IRM programs - Information Assurance - Privacy - Records Management • Commonalities: purpose, points of interaction • Differences: purpose, objectives, requirements • For guidance & answers to questions: Agency Policy, CUI POC	• Learning Objectives: - Know and understanding important program relationships with other IRM programs • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge
Relationships: CUI and Classified Program • Summary definition • Commonalities: - Purpose • Differences: - Purpose - Comingled markings (an advanced topic not addressed) • For guidance & answers to questions: Agency Policy, CUI POC	• Learning Objectives: - Recognize and understand the important program relationship • Delivery (Bloom's Taxonomy): - Knowledge • Test/Measures (Kirkpatrick-Bloom's level): - no testing recommended

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Relationships: CUI and Information Assurance • Definition: summarized definition • Commonalities: purpose, standards, practices, points of interaction • Differences: purpose, objectives, other requirements • No contradiction, they complement regarding program mandates • For more complicated issues knowing where to get guidance and answers to questions: Agency Policy and Program (Security and CUI) POCs	• Learning Objectives: - Recognize and understand the important program relationship • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Safeguarding: • Definition: summarized definition • Purpose • Guidance (standards) • Points of interaction - Know that the same roles, responsibilities and personal due diligence principles and articulated by the Security and PII Program's • For more complicated issues knowing where to get guidance and answers to questions: Agency Policy and Program (Security and CUI) POCs	• Learning Objectives: - Recognize and understand the employee's roles, responsibilities and due diligence required - Know that the same roles, responsibilities and personal due diligence principles and articulated by the Security and PII Program's • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Relationships: CUI and Record Management • Relationship: summarized • Commonalities: purpose, standards, points of interaction • Differences: purpose, objectives, requirements • Guidance & Answers: resources, POC • Some CUI may take the form of a record • For more complicated issues knowing where to get guidance and answers to questions: Agency Policy and Program (CUI and Security) POCs	• Learning Objectives: - Recognize and understand the commonalities, differences and shared responsibilities. - Understand that one of several type of CUI is records. Know that the same roles, responsibilities and personal due diligence principles are articulated by the Records Management Program • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension
Relationships: CUI and FOIA • Definition: summarized definition • Commonalities: purpose, points of interaction • Differences: summary of FOIA exemptions • For more complicated issues knowing where to get guidance and answers to questions: Agency Policy and Program (CUI and FOIA) POCs	• Learning Objectives: - Understanding of important program relationship • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Relationships: CUI and Privacy • Definition: summarized definition • Commonalities: purpose, points of interaction - one of the CUI categories (sensitive information) - it has specified requirements • For Guidance & Answers to Questions: Agency Policy, Program (CUI and or Privacy) POCs	• Learning Objectives: - Understanding of important program relationship • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge
Relationships: with Other Governmental Organizations • Definition: summarized explanation - CUI Program's domain is the Executive Branch - Relation beyond the Executive Branch include: Federal Legislative and Judicial Branches, Foreign Governments, Tribal Governments, State and Local Governments. For these groups a "MOU-like" clarification of CUI standards may be required. • Authoritative Reference and Guidance: For details beyond basic CUI training contact your CUI POC and reference Agency Policy	• Learning Objectives: - Know the CUI Policy requires an explicit "MOU-like" clarification when exchanging sensitive information outside the Executive Branch of the Federal Government - This requires expertise guidance from the CUI POC • Delivery (Bloom's Taxonomy): - Know (awareness) • Test/Measures (Kirkpatrick-Bloom's level): - no testing recommended
Handling: Reporting • Definition: types of reporting - Program Compliance Reporting : - Incident and Mishandling: 1) a basic training topic regarding: - how to report & communicate - communication lines & POC 2) incident management: not a basic topic	• Learning Objectives: - Understand that there are general Federal requirements and agency specific requirements. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge
Handling: Incident and Mishandling • Definition • Purpose • Guidance - roles & responsibilities - time requirements - penalties & sanctions • Authoritative Reference and Guidance: For details beyond basic CUI training contact your CUI POC and reference Agency Policy	• Learning Objectives: - Understand that there are general Federal requirements and agency specific requirements. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Handling: Controlled Physical Environment • Definition: of physical environment (non-electronic) • Purpose • Guidance • Authoritative Reference and Guidance: For details beyond basic CUI training contact your CUI POC and reference Agency Policy	• Learning Objectives: - Understand that there are general Federal requirements and agency specific requirements. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension • Comment: This should complement the FISSA and PII training.
Handling: Destruction • Definition • Purpose • Guidance • Authoritative Reference and Guidance: For details beyond basic CUI training contact your CUI POC and reference Agency Policy	• Learning Objectives: - Understand that there are general Federal requirements and agency specific requirements. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension • Comment: This should complement the FISSA training.
Handling: Decontrol • Definition • Purpose • Guidance • Authoritative Reference and Guidance: For details beyond basic CUI training contact your CUI POC and reference Agency Policy	• Learning Objectives: - Understand that there are general Federal requirements and agency specific requirements. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension • Comment: This should complement the FISSA training.
Handling: Alternative Work Environments (e.g. Telework) • Definition • Purpose • Guidance • Authoritative Reference and Guidance: For details beyond basic CUI training Contact your CUI POC and reference Agency Policy	• Learning Objectives: - Understand that there are general Federal requirements and agency specific requirements. • Delivery (Bloom's Taxonomy): - Knowledge, comprehension, application • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge, comprehension

Curriculum Design Standards	
Curriculum Design Element (Topics)	Learning Objective, Delivery & Test/Measures Levels
Implementation • Five Programmatic Functions: define - Policy - Governance - Training - Information Systems - Self-Inspection • The CUI Program has a three-year phased implementation requirement	• Learning Objectives: - Knowing the five program focuses: agency policy, governance, training, information systems and self-inspection - Knowing that the CUI Program has a three-year phased implementation requirement • Delivery (Bloom's Taxonomy): - Knowledge, comprehension • Test/Measures (Kirkpatrick-Bloom's level): - Knowledge