

# Controlled Unclassified Information

## **CUI MARKING 101**

Shared • Standardized • Transparent



CONTROLLED  
UNCLASSIFIED  
INFORMATION

Information Security Oversight Office (ISOO)

# CUI Program Office

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# Controlled Unclassified Information (CUI)

## What is the CUI Program?

The CUI Program is an information security reform that standardizes the way the executive branch handles information that requires protection

## What is CUI?

Controlled Unclassified Information (CUI) is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable laws, regulations, and government-wide policies.

## Policy and Guidance

- Executive Order 13556
- 32 CFR Part 2002 (Implementing Directive)
- CUI Marking Handbook
- CUI Notices
- CUI Notice 2020-01 (CUI Implementation Deadlines)
- CUI Notice 2020-02 (Alternative Marking Methods)
- NIST Publications
- OMB Circular No. A-11
- CUI Advisory Council

CUI Registry

The CUI Registry is the Government-wide online repository for Federal-level guidance regarding CUI policy and practice. However, agency personnel and contractors should first consult their agency's CUI implementing policies and program management for guidance.

Search the Registry:

<b>Categories, Markings and Controls:</b> <ul style="list-style-type: none"><li>• Category-Subcategory List</li><li>• Category-Subcategory Markings</li><li>• Limited Dissemination Controls</li><li>• Decontrol</li><li>• Registry Change Log</li></ul>	<b>Policy and Guidance</b> <ul style="list-style-type: none"><li>• Executive Order 13556</li><li>• 32 CFR Part 2002 (Implementing Directive)</li><li>• CUI Marking Handbook</li><li>• CUI Notices</li></ul>
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[CUI Glossary](#)



**Training Tools**  
Learn about training tools developed by the Executive Agent for CUI users.

**Contact Us!**  
Contact an Agency!



**Additional Tools**  
Learn about additional tools for handling CUI.

- CUI Coversheets
- CUI Marking Trifold Brochure
- Audio/Photo/Video Markings Brochure

   
**CUI Program Blog**

**Quarterly CUI Program Updates!**

**FOLLOW BLOG VIA EMAIL**

Enter your email address to follow this blog and receive notifications of new posts by email.

[www.archives.gov/cui](http://www.archives.gov/cui)

<https://isoo.blogs.archives.gov/>

# AGENDA

We will address:

- Purpose of markings, some of the basic elements of marking, specific markings focusing on paper markings, electronic items and miscellaneous marking
- How to mark (emails, spreadsheets, databases, etc.), how to portion mark and supplemental administrative markings

# Why Mark CUI?

- We mark to inform users or recipients that information is CUI and to alert them of any dissemination or safeguarding requirements



# CUI Basic and CUI Specified



## CUI Basic

Laws, Regulations, or Government-wide policies **DO NOT** require specific protections



## CUI Specified (Requires unique markings)

Laws, Regulations, or Government-wide policies require specific protections. For example:

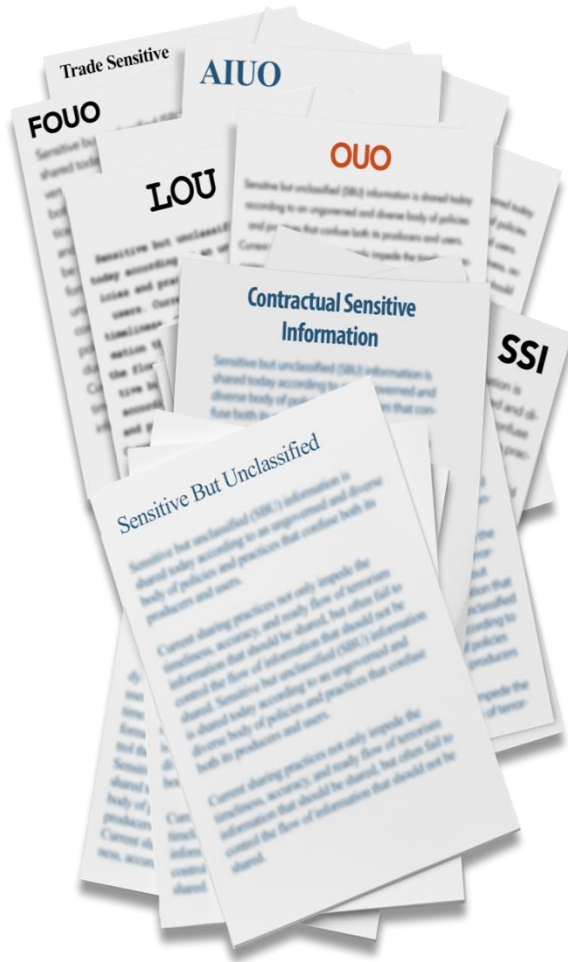
- Unique markings
- Enhanced physical safeguards
- Limits on who can access the information

# CUI includes, but is not limited to:

- Privacy (including Health)
- Tax
- Law Enforcement
- Critical Infrastructure
- Export Control
- Financial
- Intelligence
- Privilege
- Unclassified Nuclear
- Procurement and Acquisition



# Legacy Information and Markings



**All legacy information is not automatically CUI. Agencies must determine what legacy information qualifies as CUI**





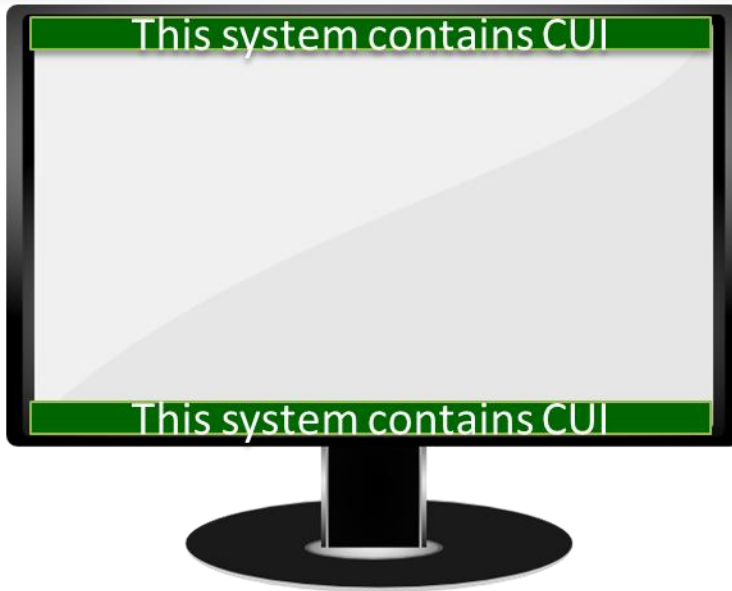
# Waivers For Legacy Information

- It is information marked **prior** to the CUI program
- Many agencies are pursuing a Legacy information waiver
- Waiver states: you do not have to remark the information unless you reuse or transmit it outside of the agency
  - Consult your Agency policy
- When transmitting or transferring legacy information, the marking/identification requirement can be satisfied by using a cover sheet/transmittal document or an indicator in an email

# Alternative Markings

- When it is impractical for an agency to individually mark CUI due to quantity or nature of the information, or when an agency has issued a limited CUI marking waiver, authorized holders must make recipients aware of the information's CUI status using an alternate marking method that is readily apparent (for example, through user access agreements, a computer system digital splash screen (e.g., alerts that flash up when accessing the system), or signs in storage areas or on containers)
- Marking in the physical environments (boxes, inventories)

# System Markings



Agencies may authorize or require the use of alternate CUI indicators on IT systems, websites, browsers, or databases through agency CUI policy. These may be used to alert users of the presence of CUI where use of markings has been waived by the agency head.



# Designation Indicator

- All documents containing CUI **MUST (hard requirement)** indicate the agency of designation
  - This may come in several forms, including a letterhead, signature block, or “controlled by line”
- A best practice is also to include the contact information of the designating agency, and identify a point of contact or division within the organization
- On an email it would be: @nara.gov

Designating Agency Indicator



CUI  
Department of Good Works  
Washington, D.C. 20006

June 27, 2013

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: Examples

We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

Contact Info

All questions can be directed to the Security and Inspection Division, 123-456-7890

CUI

# CUI Banner Marking Breakdown

CUI Control Marking

CUI Category  
Marking (if  
required)

Limited Dissemination Control  
Marking

CUI OR CONTROLLED//CATEGORY//DISSEMINATION

## MANDATORY:

CUI Banner Markings must appear on the top portion of the page

**Optional Best  
Practice: Control  
marking at the  
bottom of the page**

**The Banner Marking should be easily  
distinguishable and readily apparent  
(bold, capitalized and centered when  
feasible)**

# CUI Control Marking

CUI Control Marking

CUI Category  
Marking (if  
required)

Limited Dissemination Control  
Marking

CUI OR CONTROLLED//CATEGORY//DISSEMINATION

## MANDATORY:

CUI Banner Markings must appear on the top portion of the page

You have the  
choice of using  
CUI  
or the word  
**CONTROLLED**

All that is required  
for CUI Basic

The Banner Marking  
should be easily  
distinguishable and  
readily apparent  
(bold, capitalized and  
centered when  
feasible)

# CUI Category Marking

CUI Control Marking


CUI Category  
Marking (if  
required)

Limited Dissemination Control  
Marking

CUI OR CONTROLLED//CATEGORY//DISSEMINATION

The CUI Category Marking is separated from the Control Marking by double forward slash. When including multiple Category Markings they should be separated by a single forward slash

# CUI Registry

 NATIONAL ARCHIVES


Blogs · Bookmark/Share · Contact Us

Search Archives.gov

RESEARCH OUR RECORDS VETERANS' SERVICE RECORDS EDUCATOR RESOURCES VISIT US AMERICA'S FOUNDING DOCUMENTS

## Controlled Unclassified Information (CUI)

Home > Controlled Unclassified Information (CUI) > CUI Categories

 CONTROLLED UNCLASSIFIED INFORMATION

Use the CUI logo [Contact Us](#)

Contact an Agency

About CUI

- [CUI History](#)
- [FAQs](#)

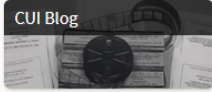
CUI Registry

- [Categories](#)
- [CUI Markings](#)
- [Limited Dissemination Controls](#)
- [Decontrol](#)
- [Registry Change Log](#)
- [Policy and Guidance](#)
- [Glossary](#)

[CUI Reports](#)

[CUI Training](#)

[CUI Resources](#)



### CUI Categories

\*\*\*\* IMPLEMENTATION REMINDER FROM THE EXECUTIVE AGENT \*\*\*\*

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.

Search the Registry

### CUI Categories

- CUI Categories are listed alphabetically within organizational index grouping.
- Select a Category to view associated detail information.

Organizational Index Grouping	CUI Categories
Critical Infrastructure	<ul style="list-style-type: none"><li>• Ammonium Nitrate</li><li>• Chemical-terrorism Vulnerability Information</li><li>• Critical Energy Infrastructure Information</li><li>• Emergency Management</li><li>• General Critical Infrastructure Information</li></ul>

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



# CUI Registry

NATIONAL ARCHIVES

RESEARCH OUR RECORDS VETERANS' SERVICE RECORDS EDUCATOR RESOURCES VISIT US AMERICA'S FOUNDING DOCUMENTS

Home > Controlled Unclassified Information (CUI) > CUI Category: Federal Taxpayer Information

## CUI Category: Federal Taxpayer Information

**Banner Marking: CUI//SP-TAX**

<b>Category Description:</b>	Related to returns and return information which are submitted, gathered or generated in conjunction with taxpayers' responsibilities to comply with federal tax provisions in the United States Code.  "Returns" includes information that is provided to the government pursuant to Title 26, including tax or information returns, declarations of estimated tax or claims for refund. "Return information" includes a taxpayer's identity, the nature, source or amount of income or any information received by, recorded by, prepared by or furnished to Internal Revenue Service relevant to the determination of tax liability including whether the taxpayer is the subject of investigation. This protection extends to such items as medical, financial and other personal information submitted to the IRS by taxpayers. Standards (typically tolerances, audit criteria and law enforcement techniques) related to the selection of returns for examination should only be disclosed to the extent their disclosure would not impair assessment, collection or enforcement under the internal revenue laws. Tax data originating from the IRS generally retains its confidential status even when it resides with agencies other than the IRS.
<b>Category Marking:</b>	TAX
<b>Banner Format and Marking Notes:</b>	<p>Banner Format: CUI//Category Marking//Limited Dissemination Control</p> <p>Marking Notes:</p> <ul style="list-style-type: none"><li>• The CUI Control Marking may consist of either the word "CONTROLLED" or the acronym "CUI", depending on agency policy.</li><li>• Category marking is optional when marking Basic CUI unless required by agency policy. Example: CUI//Limited Dissemination Control.</li><li>• Category Marking preceded by "SP-" is required when marking Specified CUI. Example: CUI//SP-Category Marking//Limited Dissemination Control</li><li>• Whether CUI is Basic or Specified is determined by the applicable Safeguarding and/or Dissemination Authority for a given instance</li></ul>

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


# CUI Registry

Notes for Safeguarding, Dissemination and Sanction Authorities:

- **CUI Specified authorities include specific handling practices that differ from general CUI requirements. For Specified authorities, reference individual Safeguarding/Dissemination control citations for distinct requirements**
- Whether CUI is Basic or Specified is determined by the applicable Safeguarding and/or Dissemination Authority for that CUI.
- Each "Safeguarding and/or Dissemination Authority" citation links to the statute, regulation or government-wide policy authorizing the control of that information as CUI.
- Each "Sanctions" authority links to the statute, regulation or government-wide policy that includes penalties for CUI misuse of CUI for the associated "Safeguarding and/or Dissemination Authority" on the same line.

Safeguarding and/or Dissemination Authority	Basic or Specified	Banner Marking	Sanctions
<a href="#">26 USC 6103</a>		CUI//SP-TAX	<a href="#">26 USC 7213</a> <a href="#">26 USC 7213A</a> <a href="#">26 USC 7431</a>
<a href="#">26 USC 6110</a>	Specified	CUI//SP-TAX	<a href="#">26 USC 6110(j)</a> <a href="#">26 USC 7213</a> <a href="#">26 USC 7213A</a> <a href="#">26 USC 7431</a>
<a href="#">42 USC 1306(a)(1)</a>	Specified	CUI//SP-TAX	<a href="#">42 USC 1306(a)(1)</a>
<a href="#">26 CFR 301.6103(i)-1(b)</a>	Specified	CUI//SP-TAX	<a href="#">26 USC 7213</a> <a href="#">26 USC 7213A</a> <a href="#">26 USC 7431</a>
<a href="#">IRS Publication 1075</a>	Specified	CUI//SP-TAX	

Authority links are updated based on regular re-publication of the United States Code and Code of Federal Regulations, and the CUI Registry maintenance schedule.

 PDF files require the [free Adobe Reader](#).  
More information on Adobe Acrobat PDF files is available on our [Accessibility page](#).

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

# CUI Limited Dissemination Controls

CUI Control Marking

CUI Category  
Marking (if  
required)

Limited Dissemination Control  
Marking

CUI OR CONTROLLED//CATEGORY//DISSEMINATION

- CUI Limited Dissemination Control markings follow the Category marking and are separated from the other elements by double forward slash.
- When including multiple Category Markings they should be separated by a single forward slash
- When a document contain multiple Limited Dissemination Control Markings, those Limited Dissemination Control markings **MUST** be alphabetized and separated from each other with a single forward slash

# What have we learned so far

We learned:

- ✓ why we mark CUI
- ✓ the two kinds of CUI (Basic and Specified)
- ✓ about Legacy information
- ✓ about Waivers for Legacy information
- ✓ about System markings
- ✓ what a Designation Indicator is and why its important
- ✓ the different parts to the CUI Banner Marking

# Coversheet and CUI Media Labels

A detailed purple coversheet for CUI. At the top, it says "CUI ATTENTION". Below that is a large white box with the text: "Use this space to indicate categories, limited dissemination controls, special instructions, points of contact, etc., if needed." Below the box is another "ATTENTION" section with the text: "All individuals handling this information are required to protect it from unauthorized disclosure." Below that is a section with the text: "Handling, storage, reproduction, and disposition of the attached document(s) must be in accordance with 32 CFR Part 2002 and applicable agency policy. Access to and dissemination of Controlled Unclassified Information shall be allowed as necessary and permissible to any individual(s), organization(s), or group(s) of users, provided such access or dissemination is consistent with or in furtherance of a Lawful Government Purpose and in a manner consistent with applicable law, regulations, and Government-wide policies." At the bottom, it says "CUI".

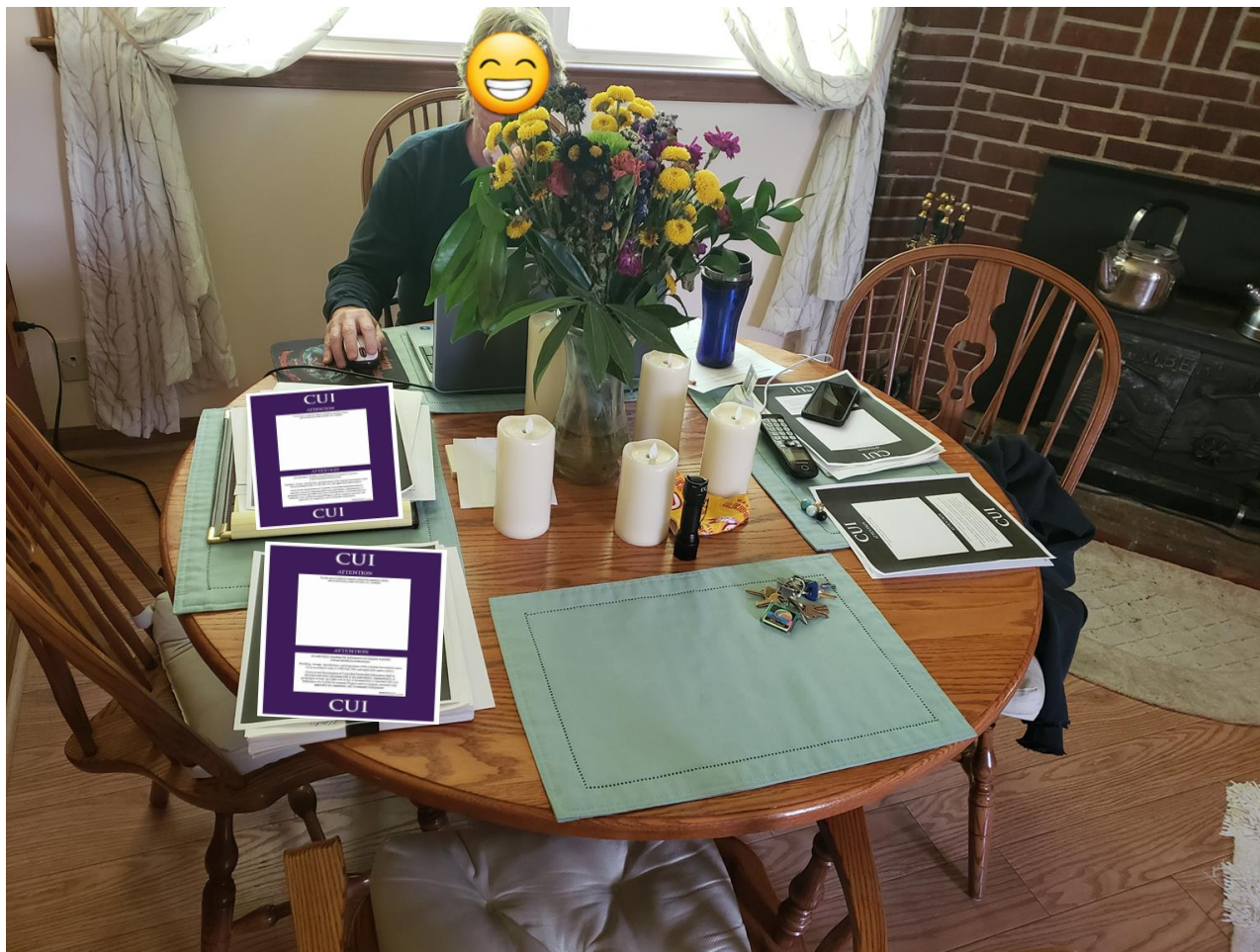
**Standard Form 901:**  
Detailed Coversheet

A purple rectangular label with the text: "This medium is CUI U.S. Government Property. Protect it from unauthorized disclosure in compliance with applicable executive orders, statutes, and regulations." On the right side, it says "SF 902 (11-18)".

A purple rectangular label with the text: "This medium is CUI U.S. Government Property." On the right side, it says "SF 903 (11-18)".

- Coversheets are optional, but can replace Banner Markings
- It can also include categories/dissemination controls or list/originator designation
- Download from the CUI Registry at: [www.archives.gov/cui/additional-tools](http://www.archives.gov/cui/additional-tools)


# Use of Coversheets while teleworking



- **Reminder:**  
when using an SF 901 (CUI Coversheet) you can be print it out Purple or black and white
- **4**  
Coversheets
  - **2**  
Purple
  - **2**  
Black & White

# Mandatory CUI Banner Marking

**CUI**

 Department of Good Works  
Washington, D.C. 20006

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June 27, 2013

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: Examples

We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

**CUI**

- It is **MANDATORY** to include a banner marking at the top of the page denoting Controlled Unclassified Information
- *Optional*, best practice is to include on bottom as well, it **MUST** be identical to the top

Footer markings are optional

# Marking CUI Basic

## CUI



Department of Good Works  
Washington, D.C. 20006

June 27, 2013

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: Examples

We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

- For CUI basic the Laws, Regulations, or Government-wide policies **DO NOT** require specific protections.
- Category markings are optional unless required by Agency policy




# Markings per Authorities

- Certain categories of CUI require additional markings/indicators that are called for in the LRGWP
- See your Agency policy

Sample  
Required  
Indicators

**CONTROLLED//SP-SPECIFIED  
MARKING REQUIRED PER AUTHORITY**

 Department of Good Works  
Washington, D.C. 20006

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August 27, 2016

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: Examples

We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

**WARNING:** These are words required by the authority. This text is stand in text only, please see the CUI Registry and the applicable law regulation or government-wide policy for exact requirements. These are words required by the authority.

# Marking Multiple Pages

- The make up of the CUI Banner for a multi-page document is essentially the sum of all of the CUI markings in the document; include all specified category markings and any limited dissemination control markings used throughout the document in the banner

The diagram illustrates how CUI banners are composed of all markings found throughout a multi-page document. It shows three overlapping pages. The top page has a banner: **CUI//SP-EXPT/EXPTR//FED ONLY/NOFORN**. The middle page is partially obscured but shows a similar banner. The bottom page is the most visible and contains the following text:

**CUI//SP-EXPT/EXPTR//FED ONLY/NOFORN**  
INFORMATION SECURITY OVERSIGHT OFFICE  
NATIONAL ARCHIVES and RECORDS ADMINISTRATION  
700 PENNSYLVANIA AVENUE, NW, ROOM 100 WASHINGTON, DC 20408-0001  
www.archives.gov/isoo

**CUI Notice 2018-XX: Controlled Unclassified Information (CUI) Marking Sample**  
June 20, 2018

**Purpose**  
This correspondence clarifies guidance on the purpose of CUI Marked Information Control Markings, as established by Title 28, Code of Federal Regulations, Part 201.10(a)(4) (28 CFR 201.10(a)(4)).

**Background and Authority**  
28 CFR 201.10(a)(4) 'Controlled Unclassified Information,' September 16, 2010, implements the CUI Program requirements for identifying, classifying, marking, disseminating, and declassifying CUI. Through this guidance, a number of key elements of the program, including identifying CUI, and the categories of CUI that are subject to the program, are clarified.

**Definitions**  
**CUI Mark** is the status of CUI that is the underlying law, regulation, or Government-wide policy that requires specific handling or dissemination controls. Agencies issue CUI Marks according to the written set of controls set forth in 28 CFR 201.10 and the CUI Registry. See § 201.10(a).  
**CUI Specified** is the status of CUI that is the underlying law, regulation, or Government-wide policy that requires specific handling, controls that require or prohibit agencies to use that data other than those for CUI Marks. See § 201.10(a).

**Guidance**  
All CUI is either CUI Mark or CUI Specified. CUI Mark is disseminated according to the written set of dissemination controls set forth in 28 CFR 201.10, which requires agencies to identify, disseminate and provide access to CUI whenever doing so is not against the law, and to ensure a lawful Government program.

1

# Marking CUI Specified

**CUI//SP-PRVCY**



Department of Good Works  
Washington, D.C. 20006

June 27, 2013

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: Examples

We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

**SP-PRVCY** denotes Privacy Information- specified CUI that is handled with unique controls

- Since CUI Specified can call for different controls and protection than CUI Basic, it is mandatory to label it in a banner (**SP-**)
- All categories relating to specified information **MUST** have **SP-** precede the category marking

# CUI Specified Category marking

- CUI Category marking are separated by a double forward slash (//) from the CUI Control Marking
  - If there are multiple CUI Category markings in the banner they must be separated by a single forward slash

- (A) Note that in the example provided:
  - The mandatory **CUI** marking is present
  - The category, critical infrastructure (**CRIT**), falls after two forward slashes (//)

## CUI//SP-CRIT



Department of Good Works  
Washington, D.C. 20006

June 27, 2013

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: Examples

We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

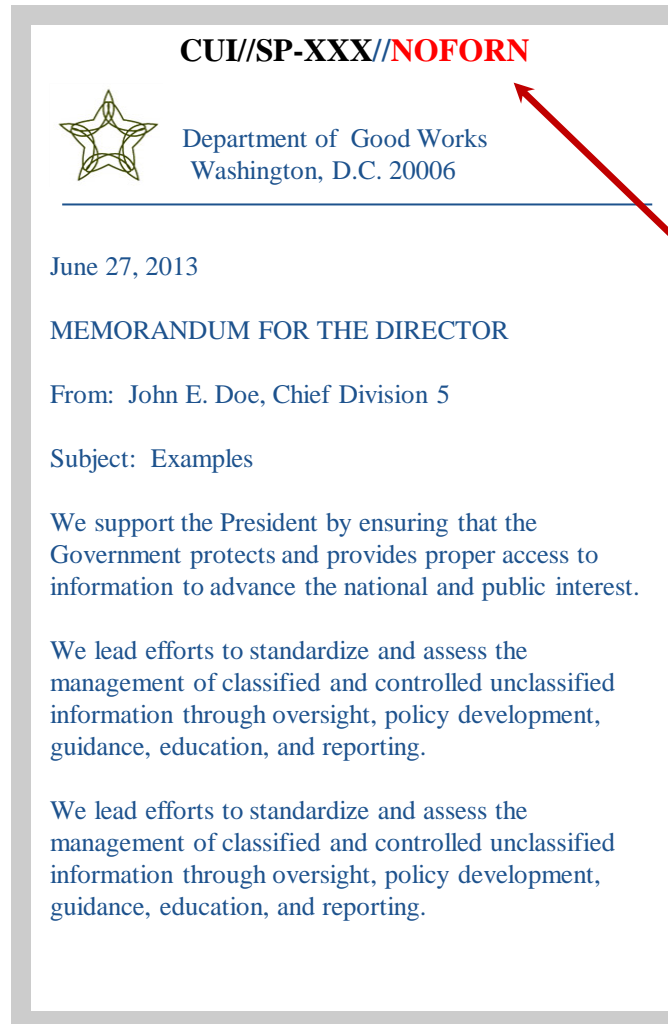
We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

# When to use Limited Dissemination Controls

- Use them to highlight requirements found in the underlying laws, regulations, or government wide policies,
- Agency dissemination practices
- Cautionary note: The misapplication of them could negatively impact the dissemination of CUI

# Limited Dissemination Controls

- Limited Dissemination Controls are not mandatory
- Limited Dissemination Controls Markings are separated from other elements of the banner by two forward slashes (//)
- When a document contains multiple Limited Dissemination Control Markings, those Limited Dissemination Control Markings separated by a single slash (/)



In this example, the specified category is indicated by **SP-XXX**, and the **“No Foreign dissemination”** control is used.

# What have we learned so far

## We learned:

- ✓ how and when to use a CUI Coversheet
- ✓ what a Banner Marking looks like
- ✓ about marking per authorities
- ✓ how to mark multiple pages
- ✓ what a Category Marking is and how to use it
- ✓ what CUI Specified marking is and how to use it
- ✓ what CUI Basic marking is and how to use it
- ✓ when to use Limited Dissemination Controls

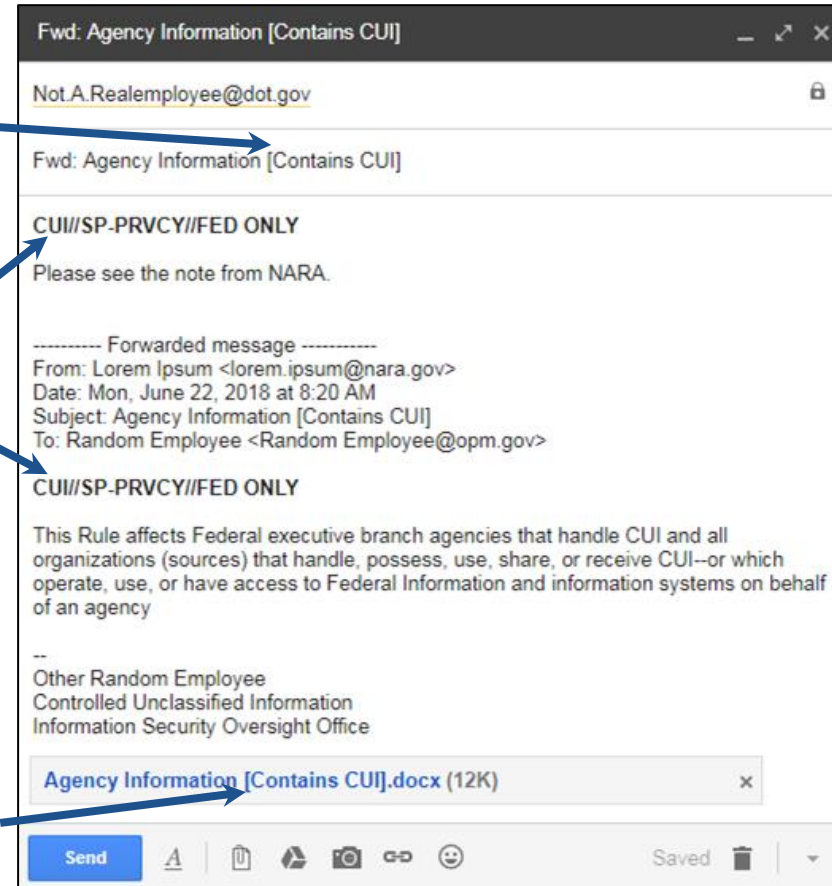
# Marking Emails

- When marking emails it is **mandatory** to include a **Banner Marking** to indicate that the email contains CUI
- It is best practice to include an Indicator Marking in the subject line
- If the email is forwarded, the Banner Marking **must** be carried forward
- If sending an attachment that contains CUI, the name of the file can contain a CUI indicator

Optional  
Subject  
Line  
Indicator  
Marking

Mandatory  
Banner  
Marking

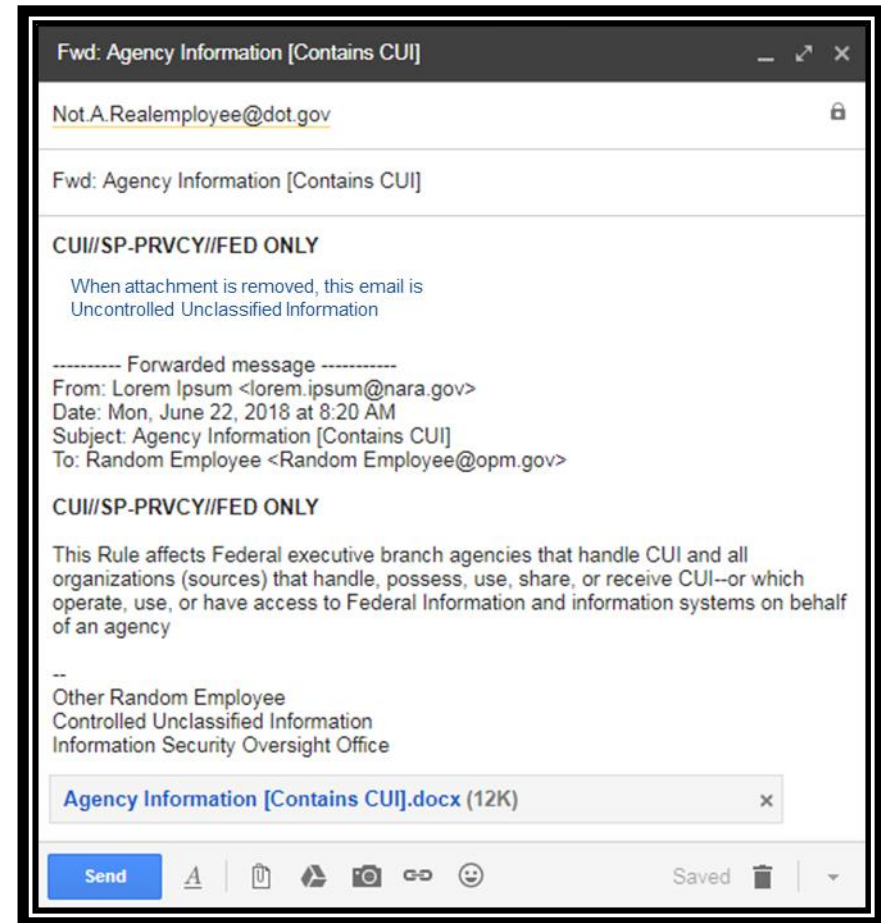
Optional  
Attachment  
Indicator  
Marking





# Marking emails cont.

- When sending an email where the attachment is removed and the email no longer contains CUI, add the following statement below the banner marking:
  - **“When attachment is removed, this email is Uncontrolled Unclassified Information”**
- Indicators in the subject line and attachments should appear at the end
- Reminder: When sending an email that contains CUI, it must be encrypted



# How do you mark or identify CUI in spreadsheets

- If you are working in the spreadsheet you need to modify the header and/or footer
- Here are some ways:
  - Header
  - filename indicator (ex: contains CUI)
  - Coversheet (after printing)

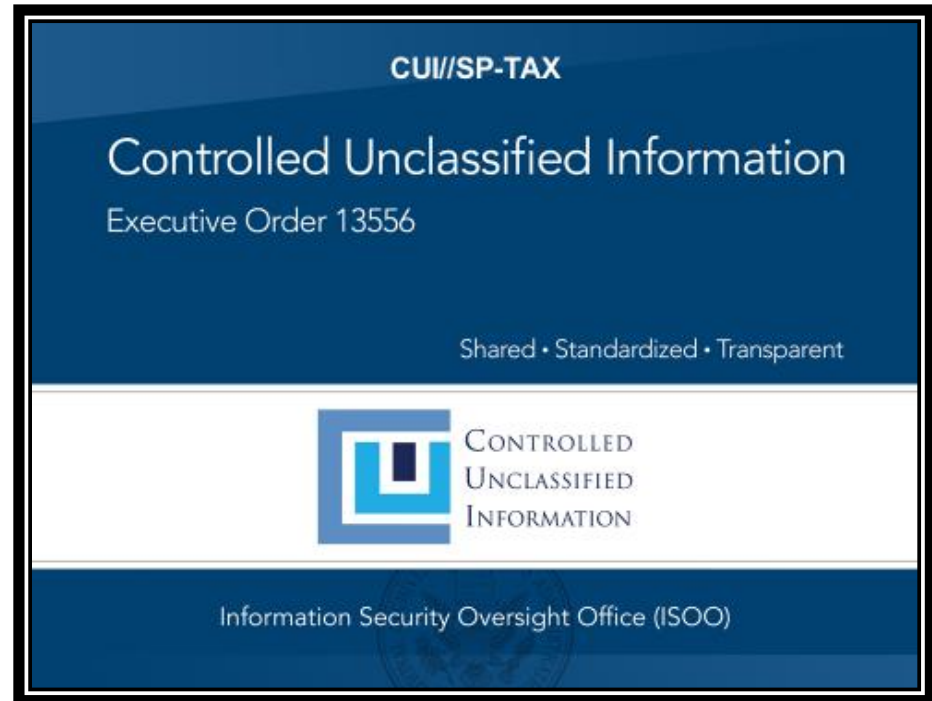
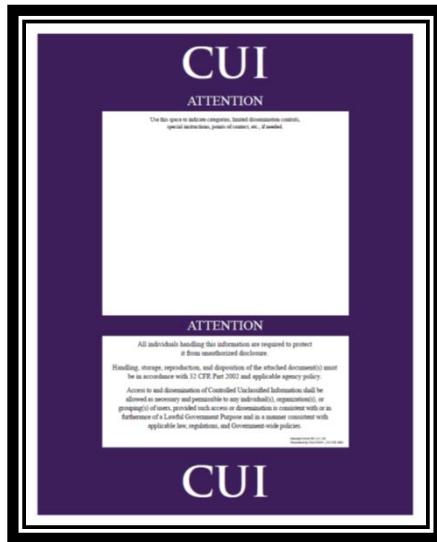
CUI//SP-AIV

Internal Review	1-Mar-20	FY20 - Q2	No	No
Draft	30-Sep-20	FY20 - Q4	No	No
Draft	1-Jun-20	FY20 - Q3	No	No
Draft	1-Apr-20	FY20 - Q3	No	No
Internal Review	1-Jun-20	FY20 - Q3	No	No
Complete		Complete	No	No
Internal Review	1-Nov-19	FY20 - Q1	No	No
Complete		Complete	Yes	No
Internal Review	31-Mar-20	FY20 - Q2	No	No
Internal Review	1-Jun-20	FY20 - Q3	No	No
Internal Review	1-Mar-20	FY20 - Q2	No	No
Developing		Developing	No	No
Planning	30-Sep-20	FY20 - Q4	No	No
Internal Review	30-Sep-20	FY20 - Q4	No	No
Draft	1-Oct-20	FY21 - Q1	No	No
Draft	30-Sep-20	FY20 - Q4	No	No
Internal Review	1-Oct-21	FY22 - Q1	No	No
Planning	1-Oct-21	FY22 - Q1	No	No
Draft	30-Sep-20	FY20 - Q4	No	No
Internal Review	1-Jun-20	FY20 - Q3	No	No
Complete		Complete	No	No
Complete		Complete	No	No
Complete		Complete	No	No
Complete		Complete	Yes	Yes
Complete		Complete	No	No
Developing	31-Mar-21	FY21 - Q2	No	No
Complete		Complete	No	No
Complete		Complete	Yes	Yes
Draft	30-Sep-20	FY20 - Q4	Yes	No
Complete		Complete	No	No
Draft	31-Mar-20	FY20 - Q2	No	No
Internal Review	1-Dec-19	FY20 - Q1	Yes	No
Internal Review	31-Mar-20	FY20 - Q2	No	No
Draft	30-Sep-20	FY20 - Q4	No	No
Internal Review	30-Sep-20	FY20 - Q4	No	No
Planning	1-Nov-20	FY21 - Q1	No	No
Complete		Complete	No	No

Controlled by: Alan G. DOGW

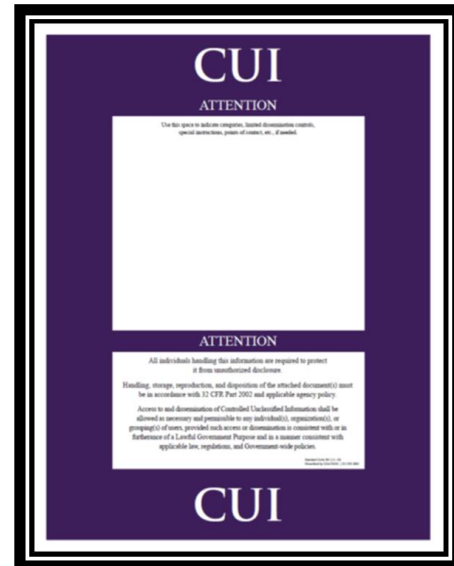
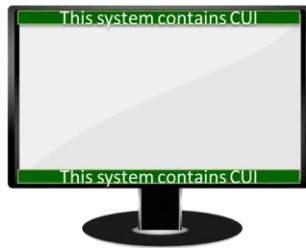
# How do you mark or identify CUI in PowerPoints

- Here are some ways:
  - Apply banner marking
  - Filename indicator (ex: contains CUI)
  - Coversheet



# How do you mark or identify CUI in databases or application

- Here are some ways:
  - Apply banner marking to outputs when printing
  - filename indicator (ex: contains CUI)
  - Coversheet (upon printing)
  - Splash screen (upon log in or initial access to system)
  - Individual pages can carry a banner marking to indicate CUI is present



# Marking Forms

- Forms that, when filled in, contain CUI, **must** be marked accordingly
- You may use a coversheet if there is not room at the top of the form

**Mandatory  
CUI Control  
Marking**

**CUI//SP-PERS  
when filled in**

**PERFORMANCE APPRAISAL – Associate (Employee) Self-Assessment Summary**

**PART I. ADMINISTRATIVE DATA**

EMPLOYEE NAME (Last, First, Middle Initial)	OFFICE SYMBOL DATE	PERFORMANCE PERIOD (MM/DD/YYYY) FROM	TO
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**PART II. INSTRUCTIONS**

**GENERAL GUIDELINES:** Employees should complete and submit this form to their rating official for consideration in completing the annual performance appraisal. The summary should represent accomplishments as related to the outcomes and expectations from the date the performance plan was communicated/signed to the end of the performance-rating period. Base the summary on accomplishments during the performance period. Summarize each outcome and expectation separately and write the summary as a past tense of the outcomes and expectations.

**SPECIFIC GUIDELINES:** List major accomplishments in bullet form as they relate to each critical element and the expectations detailed in your performance plan. You may also list training and developmental accomplishments, including seminars and/or conferences; any recognition you received; recommended areas for future development; and specific training requests, if desired.

**PART III. ACCOMPLISHMENTS**

**MAJOR ACCOMPLISHMENTS:** In bullet format, identify the most important accomplishments achieved during this performance period that apply directly to your position. (Attach additional pages as necessary)

**OTHER ACCOMPLISHMENTS:** Identify other accomplishments achieved during this performance period. (Attach additional pages as necessary)

**TRAINING AND DEVELOPMENTAL NEEDS:** Identify any training or developmental needs or opportunities for the coming year. (Attach additional pages as necessary)

EMPLOYEE SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

GENERAL SERVICES ADMINISTRATION GSA 3683 (REV. 1/2018)

Released 6/29/00  
Application for Federal Employment - SF 171 Form Approved  
OMB No. 5010-0001

**GENERAL INFORMATION**

1 What kind of  
2 Social Secur  
4 Birth date (M  
6 Name (Last  
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**AVAILABLE**

11 Where born  
    Month and Y  
13 In what geog  
14 Are you with  
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# Marking Transmittal Documents

- If a transmittal document accompanies CUI, it **must** indicate that CUI is attached and include
  - “When enclosure is removed, this document is Uncontrolled Unclassified Information” or
  - “When enclosure is removed, this document is (CUI Category); upon removal, this document does not contain CUI”

**Mandatory Transmittal Message**

**Mandatory Message that CUI is Present**

**F A X**  
Information Security Oversight Office  
National Archives and Records Administration  
700 Pennsylvania Ave, NW.  
(202) 357-6870

**CONTROLLED**  
When enclosure is removed, this document is Uncontrolled Unclassified Information

To: Other Random Employee  
Fax number: (202) 357-6871/6872

From: Lorem Ipsum  
Fax number: (202) 357-6871/6872

Date: 06.22.2018

Regarding:  
Agency Information [Contains CUI]

Phone number for follow-up:  
(202)357-6870

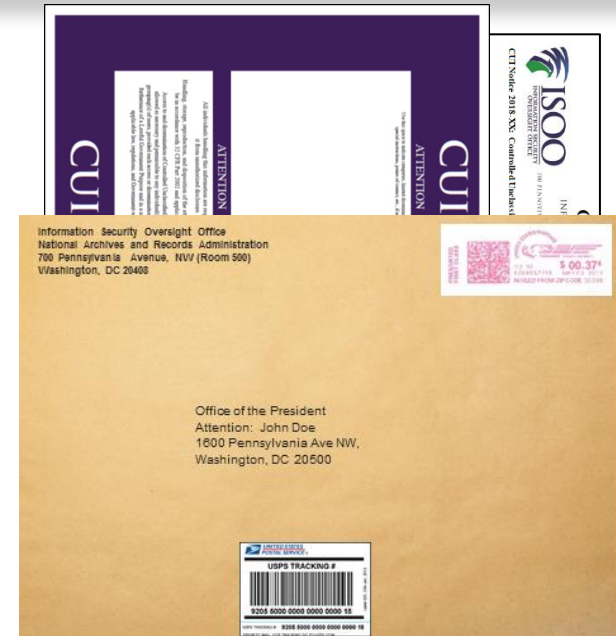
Comments:  
The attachment contains CUI//SP-EXPT/EXPTR//FED ONLY/NOFORN.

ISOO  
INFORMATION SECURITY OVERSIGHT OFFICE

Marking Sample  
June 20, 2018

# Shipping and Mailing

- CUI may be shipped
  - Best practice is to track the package



**DO NOT** Place Markings on Packages/Envelopes



# Portion Markings

CUI



Department of Good Works  
Washington, D.C. 20006

June 27, 2013

MEMORANDUM FOR THE DIRECTOR

From: John E. Doe, Chief Division 5

Subject: (U) Examples

(U) We support the President by ensuring that the Government protects and provides proper access to information to advance the national and public interest.

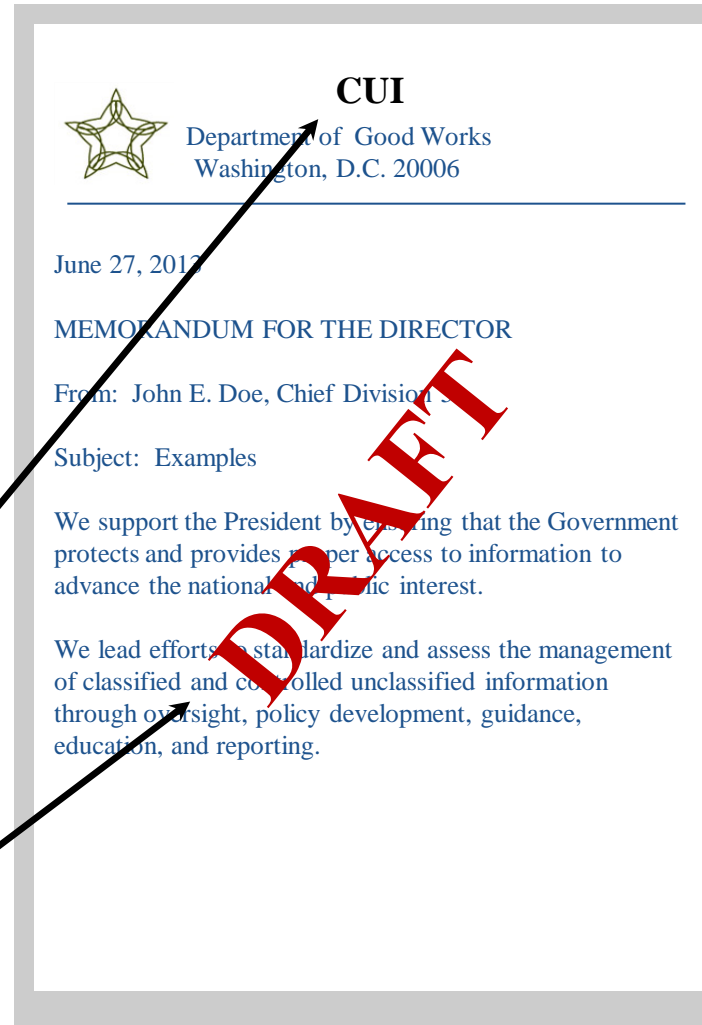
(CUI) We lead efforts to standardize and assess the management of classified and controlled unclassified information through oversight, policy development, guidance, education, and reporting.

Portion  
Markings

- Though not required, portion marking is a **highly encouraged practice**
- CUI Portion Markings are placed at the beginning of the portion to which they apply and must be used throughout the entire document
- When marking CUI, if a portion of the document does not contain CUI it can be denoted as Uncontrolled (U)



# Supplemental Administrative Marking



**CUI  
Banner  
Marking**

**Administrative  
Indicator**

- Supplemental Agency Markings can be used to denote non-final status of a document
- Cannot be used to control CUI and cannot be commingled into the CUI Banner Marking

# QUESTION #1

What are the 2 kinds of CUI?

A. Sensitive and Unsensitive

B. Basic and Specified

C. Classified and Unclassified

**CUI Specified**  
**(Requires unique markings)**

Laws, Regulations, or Government-wide policies require specific protections. For example:

- Unique markings
- Enhanced physical safeguards
- Limits on who can access the information

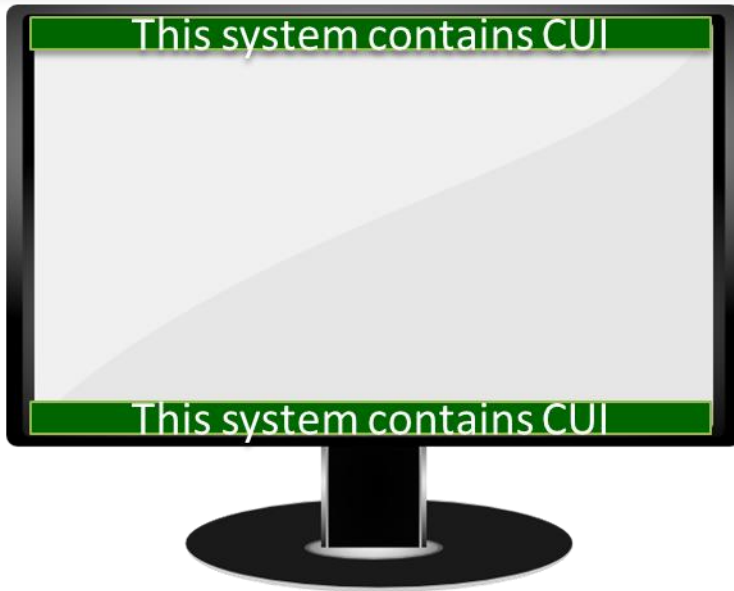
**CUI Basic**

Laws, Regulations, or Government-wide policies **DO NOT** require specific protections

# QUESTION #2

True or False:

Your Agency does **NOT** have to alert the user of the presence of CUI when logging into IT systems, websites, browsers, or databases



Agencies may authorize or require the use of alternate CUI indicators on IT systems, websites, browsers, or databases through agency CUI policy. These may be used to alert users of the presence of CUI where use of markings has been waived by the agency head.



# QUESTION #3

True or False:

It is **MANDATORY** to include a banner marking at the top of the page to alert the user that CUI is present?

CUI Control Marking

CUI Category  
Marking (if  
required)

Limited Dissemination Control  
Marking

CUI OR CONTROLLED//CATEGORY//DISSEMINATION

## **MANDATORY:**

CUI Banner Markings must appear on the top portion of the page

# QUESTION #4

TRUE OR FALSE:

When sending an email that contains CUI you must include an indicator marking in the subject line

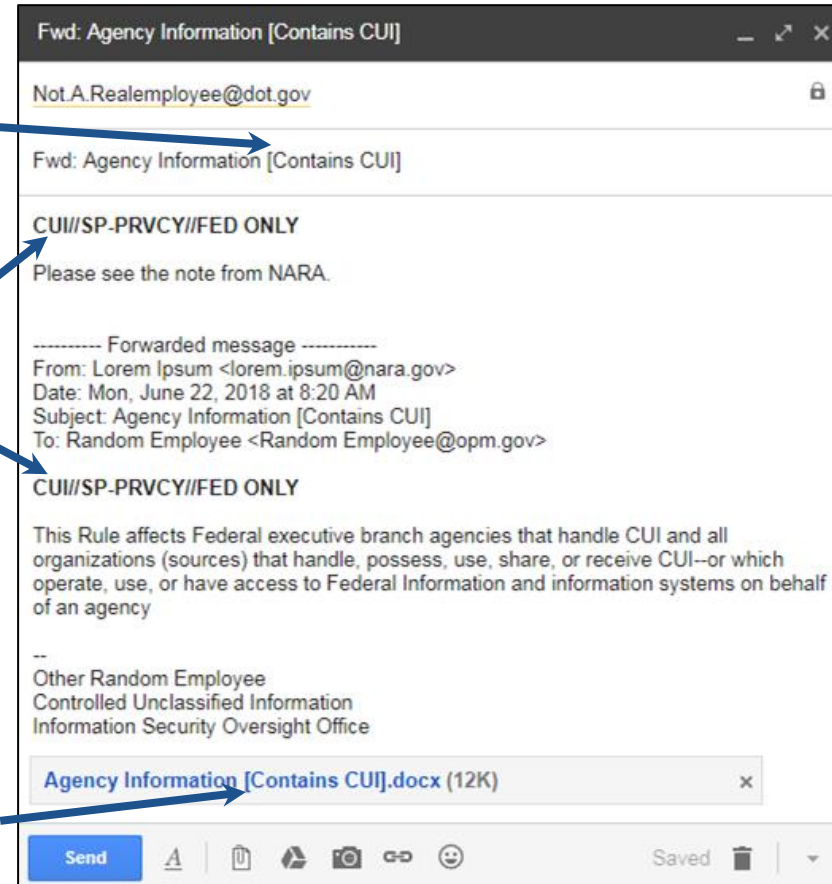


- When marking emails it is **mandatory** to include a **Banner Marking** to indicate that the email contains CUI
- It is best practice to include an Indicator Marking in the subject line
- If the email is forwarded, the Banner Marking **must** be carried forward
- If sending an attachment that contains CUI, the name of the file can contain a CUI indicator

Optional  
Subject  
Line  
Indicator  
Marking

Mandatory  
Banner  
Marking

Optional  
Attachment  
Indicator  
Marking



# QUESTION #5

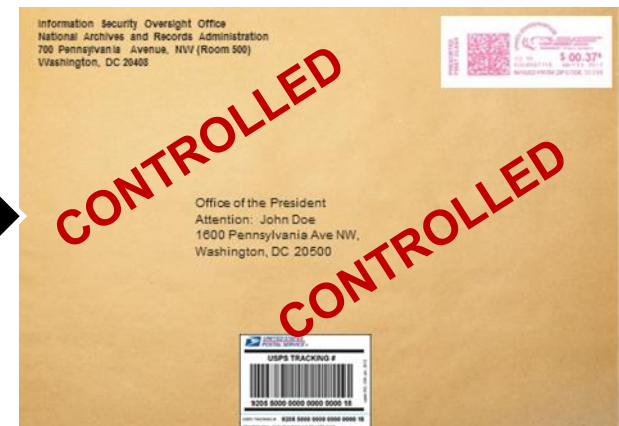
True or False:  
You can **ONLY** use FedEx or  
UPS to mail CUI

# Answer: FALSE Shipping and Mailing

- CUI may be shipped
  - Best practice is to track the package



**DO NOT** Place Markings on Packages/Envelopes



# QUESTION #6

True or False:

Below is an accurate example of how  
to use Supplemental Administrative  
Markings:

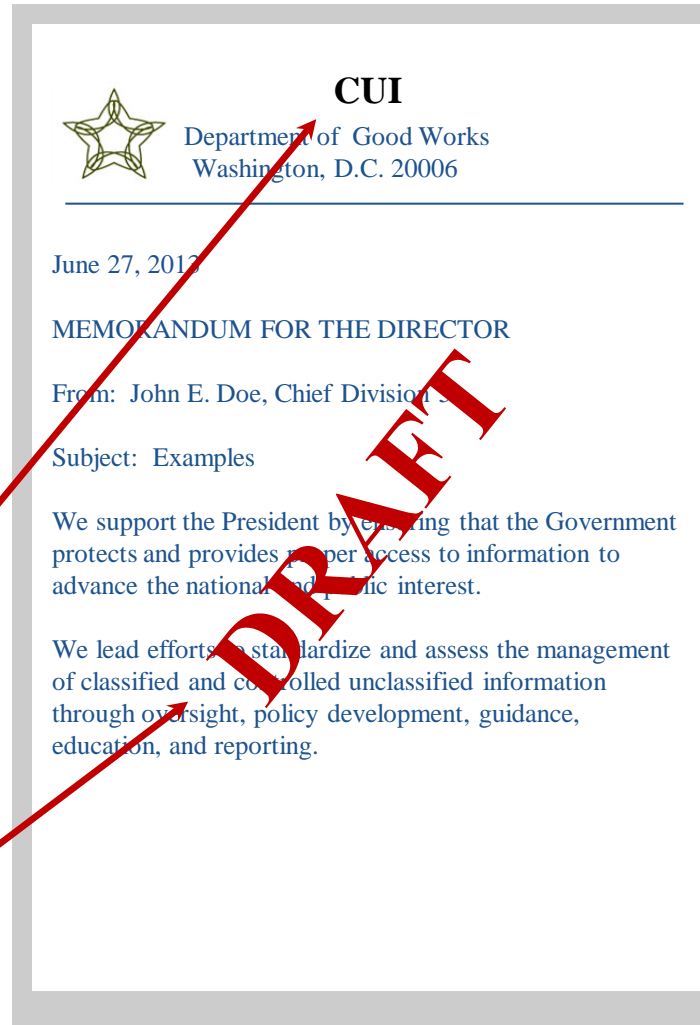
**CUI//SP-DRAFT**

# Supplemental Administrative Marking

Answer:  
FALSE

CUI  
Banner  
Marking

Administrative  
Indicator



- Supplemental Agency Markings can be used to denote non-final status of a document
- Cannot be used to control CUI and cannot be commingled into the CUI Banner Marking

# QUESTION #7

Yes or No:

Can you use the CUI  
Coversheet in lieu of marking  
a document?

# Answer: YES Coversheet

**CUI**

ATTENTION

Use this space to indicate categories, limited dissemination controls, special instructions, points of contact, etc., if needed.

ATTENTION

All individuals handling this information are required to protect it from unauthorized disclosure.

Handling, storage, reproduction, and disposition of the attached document(s) must be in accordance with 32 CFR Part 2002 and applicable agency policy.

Access to and dissemination of Controlled Unclassified Information shall be allowed as necessary and permissible to any individual(s), organization(s), or group(s) of users, provided such access or dissemination is consistent with or furtherance of a Lawful Government Purpose and in a manner consistent with applicable law, regulations, and Government-wide policies.

**CUI**

## Standard Form 901: Detailed Coversheet

- Coversheets are optional, and can replace Banner Markings
- It can also include categories/dissemination controls or list/originator designation
- Download from the CUI Registry at: [www.archives.gov/cui/additional-tools](http://www.archives.gov/cui/additional-tools)

Information Security Oversight Office  
Attn: CUI Program  
National Archives and Records Administration  
700 Pennsylvania Avenue, N.W., Room 100  
Washington, DC 20408-0001



CONTROLLED  
UNCLASSIFIED  
INFORMATION

[CUI@NARA.GOV](mailto:CUI@NARA.GOV)

[archives.gov/cui](https://archives.gov/cui)