



From: Kaushik Bhattacharya
To: Caltech faculty and research administrators
Subj: Controlled Unclassified Information
Date: November 9, 2018

The Federal Government has introduced a new class of information called “Controlled Unclassified Information” or “CUI”. CUI is not classified, but still access must be controlled according to various regulations. These regulations impose onerous requirements on the Institute if it were to accept or generate CUI. Fundamental research sponsored by the federal government does not involve CUI. The Office of Research Administration has reviewed current awards, and is unaware of any award that requires CUI. Yet, some agencies include language or notation concerning CUI in their contracts and some program managers occasionally send out templates with CUI marking on them. This leaves the institute in an ambiguous position.

Following discussion at the IACC, the Institute has decided to adopt the following policy and add it to Chapter VII of the Caltech Faculty Handbook:

The Institute’s policy is that no government contracts, grants, or subawards are accepted if they require either receiving or producing Controlled Unclassified Information (CUI) in order to carry out the project. Exceptions to this policy can be granted by the Provost’s Office in limited circumstances if so doing is in the best interests of the Institute.

The Office of Research Administration will review contracts to make an initial determination if it involves CUI, and work with the granting agency, the Principal Investigator and the Provost’s Office to resolve any issues consistent with the policy above.

Please let me know if you have any questions or concerns.