Protected Critical Infrastructure Information (PCII) eSubmissions Application

User Guide - V.1.1

August 2021

Homeland Security

Table of Contents

List of Tables and Figures

1.0 Introduction

The Protected Critical Infrastructure Information (PCII) Program is an information protection program that enhances voluntary information sharing between infrastructure owners/operators and the government. The PCII Program, established in response to the Critical Infrastructure Information Act of 2002 (CII Act), is designed to encourage private industry to voluntarily share its sensitive security-related business information with the Federal government. PCII protection means that Department of Homeland Security (DHS) partners can be confident that sharing their information with the government will not expose sensitive or proprietary data. DHS and other Federal, State, tribal, and local analysts use PCII to:

- Analyze and secure critical infrastructure and protected systems
- Identify vulnerabilities and develop risk assessments
- Enhance recovery preparedness measures

The electronic submissions (eSubmissions) application is used to submit Critical Infrastructure Information (CII) to DHS through a web site. This user guide describes the submission process and how to use the eSubmissions application.

2.0 Overview

The PCII Program will evaluate the information submitted to determine if it qualifies for protection under the CII Act as PCII. If additional clarification is needed, the Program may contact the submitter before making a final determination.

Information that does not qualify for PCII protection will, at the preference of the submitter, be returned to the submitter or destroyed in accordance with the Federal Records Act and DHS Regulations. The information received, in accordance with applicable procedures, will be treated as PCII while under review.

2.1 Privacy

Authority: 5 U.S.C. §301 and 44 U.S.C. §3101 authorizes the collection of this information.

Purpose: DHS will use this information as contact information for any follow up discussions that would be required during the validation process. Information includes first name, last name, organization, position, email, phone, and address.

Routine Use: This information may be disclosed as generally permitted under 5 U.S.C. §552a(b) of the Privacy Act of 1974, as amended. This includes using the information, as necessary and authorized by the routine uses published in DHS/ALL-004 General Information Technology Access Account Records System of Records (September 29, 2009, 74 FR 49882).

Disclosure: Furnishing this information is voluntary; however failure to provide any of the information requested may delay or prevent a submission from being processed for PCII consideration.

3.0 Getting Started

Users will access the URL, https://pciim.cisa.gov/esubmission, for the PCII eSubmissions Home Page. If users cannot access the URL, they can contact the PCII Help Desk at pcii-assist@cisa.dhs.gov.

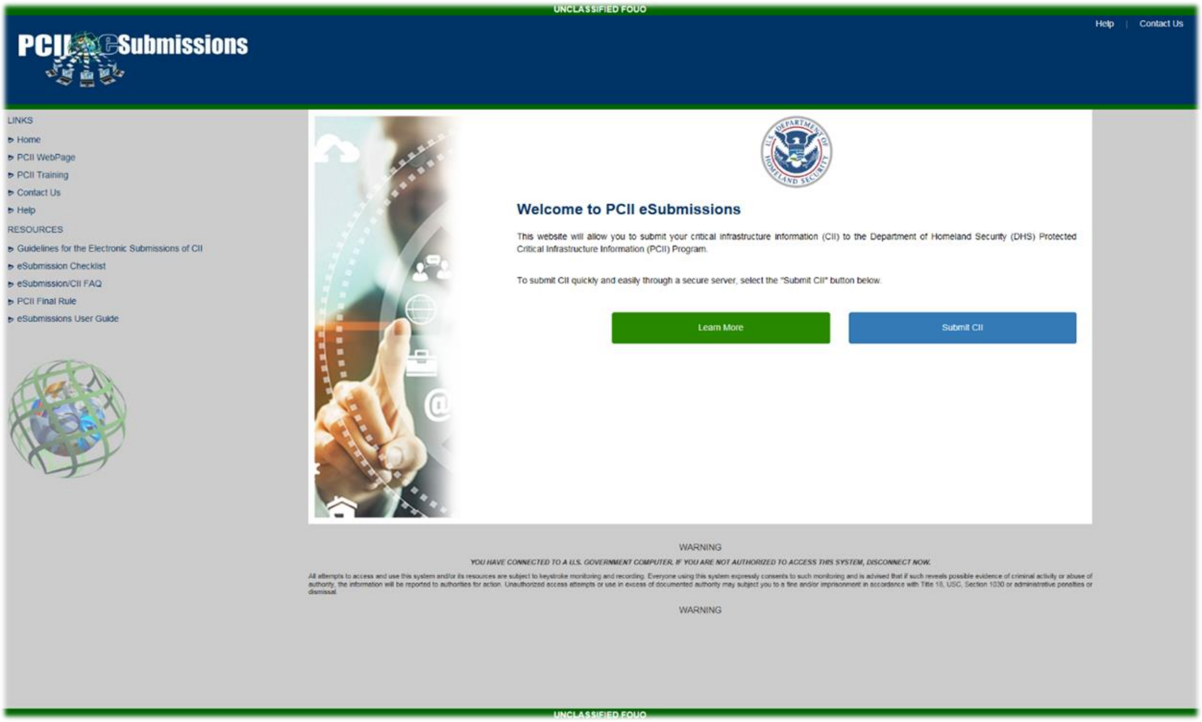


Figure 1: PCII eSubmissions Home Page

3.1 Home Page

The home page includes "Learn More" and "Submit CII" radio buttons and links for the user to learn more about the program and to submit their CII. The "Learn More" radio button will direct the user to a new page with additional PCII program information.

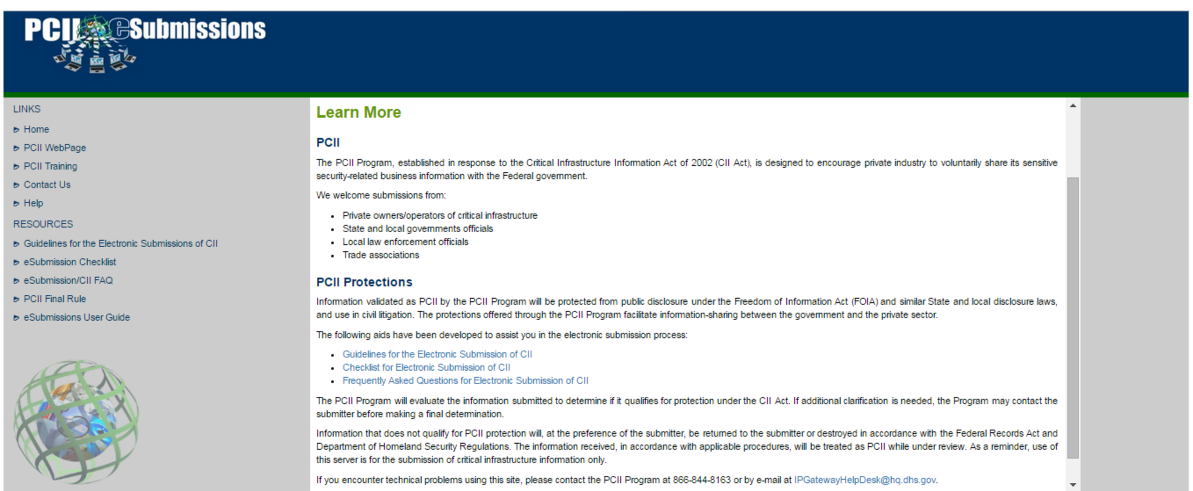


Figure 2: Learn More

The links and resources are located on the left navigation bar on every page. The links include:

- Home - re-directs user back to the eSubmissions home page
- PCII WebPage - provides a link to the PCII Program home page
- PCII Training - provides information about PCII training
- Contact Us - provides a form for the user to submit a message directly to the PCII team
- Help - provides further program details and help desk contact information

The Resources are all links to the following:

- Guidelines for the Electronic Submission of CII
- eSubmission Checklist
- eSubmission/CII FAQ
- PCII Final Rule

3.2 User Roles

There are two user roles in eSubmissions, owner/operator and government employee. The owner/operator is referred to as the submitter. The government employee is the sponsor of the submitter. If a government employee is submitting CII, they are required to have a PCII Express Statement signed by the submitter and uploaded into eSubmissions.

3.3 Beginning a Submission

After selecting “Submit CII”, a pop-up will appear informing the user that the system is for official use only. The user should read the notice and click the “Continue” button to proceed. By clicking “Continue” the user acknowledges that they will not be submitting any classified information into the eSubmissions application and understand that the application is an unclassified system. If the user selects the “Cancel” button, they will not be able to continue the submission process and will return to the eSubmissions application home page.

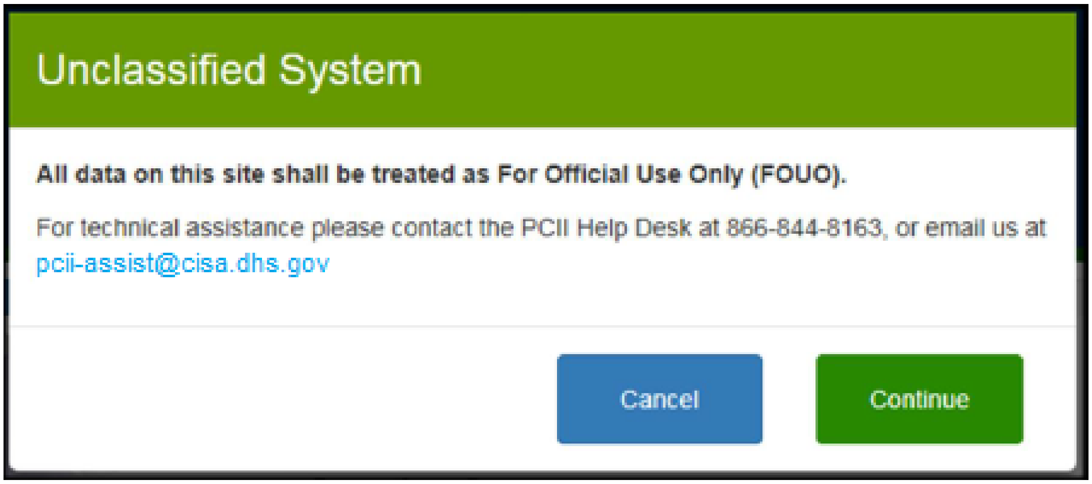


Figure 3: Unclassified System Warning Message

After clicking the “Continue” button, the user will be directed to the “Submission Type” page. At this point, the application will begin asking questions that pertain to the type of submission. The initial question asks if the CII being submitted is associated with an existing PCII approved data collection. The user may respond with ‘Yes’ or ‘No’..

Submission Type: If answering “NO”, the user can proceed to the next question by clicking the “Continue” button.

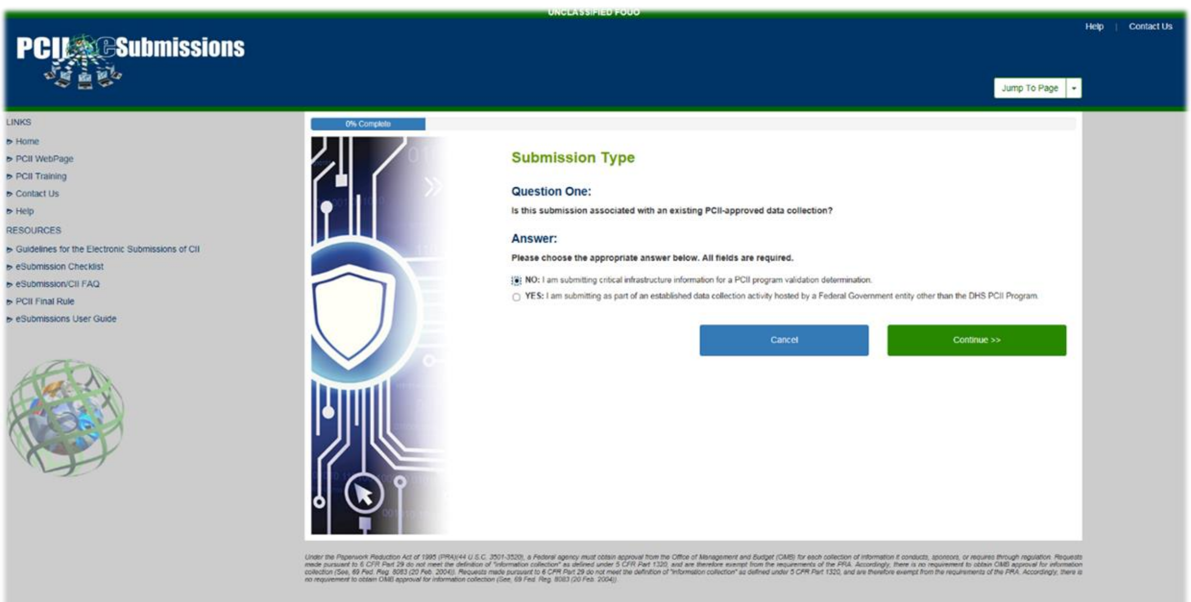


Figure 4: Submission Type, Question 1 “NO”

If answering “YES”, the user will need to provide the name of the Federally [1]hosted data collection activity before continuing. Once Federally hosted data is entered, the user can proceed to the ‘Submitter Type’ page by clicking the “Continue” button.

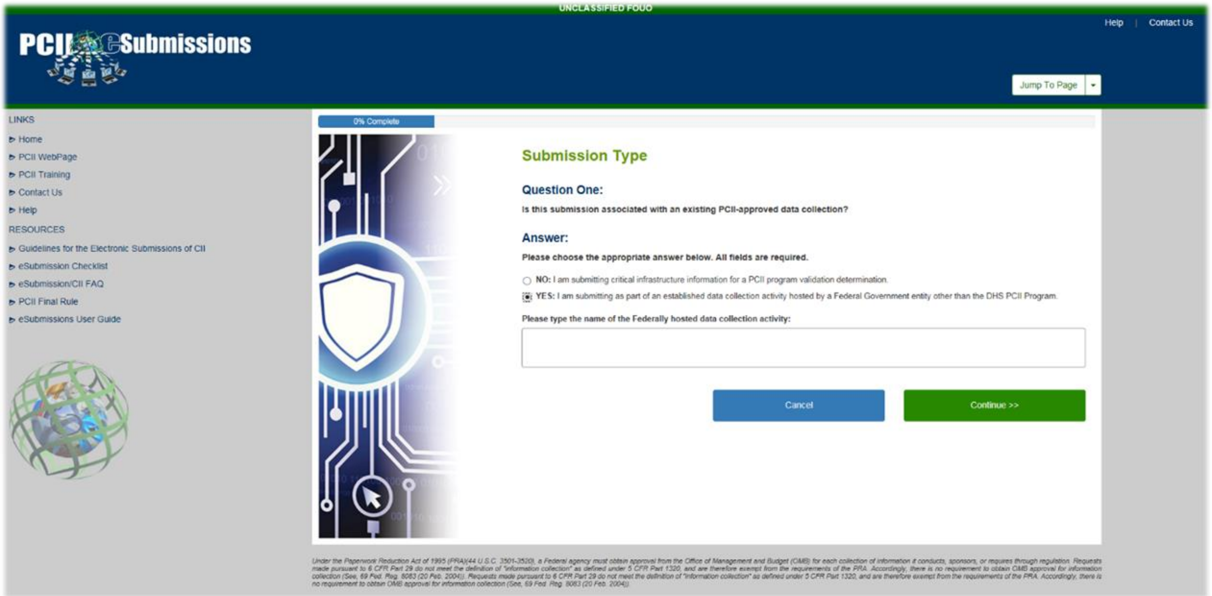


Figure 5: Submission Type, Question 1 “YES”

At this point a “Cancel” button will also be present throughout the rest of the submission process. At any point, a user may choose to select the “Cancel” button which will remove any information that had been collected up to that point and the user will be returned to the home page of the eSubmissions application.

3.4 Submitting CII as a Submitter: At this point, the process will follow a different path for the submitter role versus a sponsor role. A submitter will check the first radio button and click the “Continue” button to proceed to the Submitter Information page.

[1] “Federally”, in this context, is a term that references anything operated by the Federal Government of the United States of America.

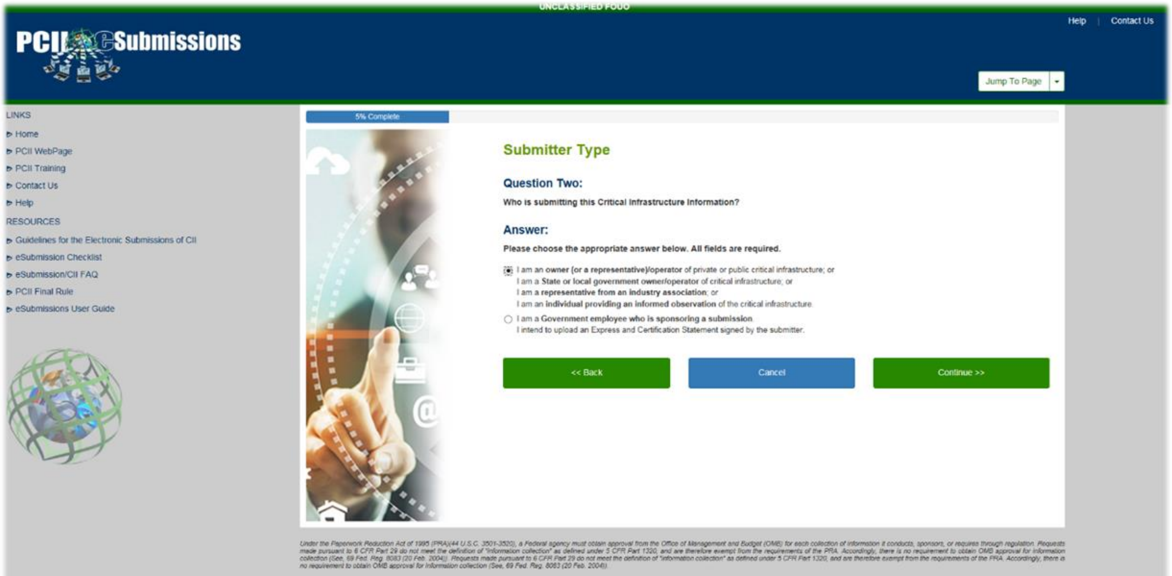


Figure 6: Submitter Type

Submitter Information: The submitter must fill out all required fields (depicted by asterisks). Once all fields are properly filled out, the submitter can then click the "Continue" button to proceed to the Point of Contact Information page. If any required fields are not properly filled out, a red error message will appear beneath the field(s) notifying the submitter of what information is required. The submitter cannot proceed until all required fields are complete. Note: If selecting United States of America as the Country, the system will automatically populate the State and City fields with values when filing out the Zip Code. This includes other pages that include the Zip Code field.

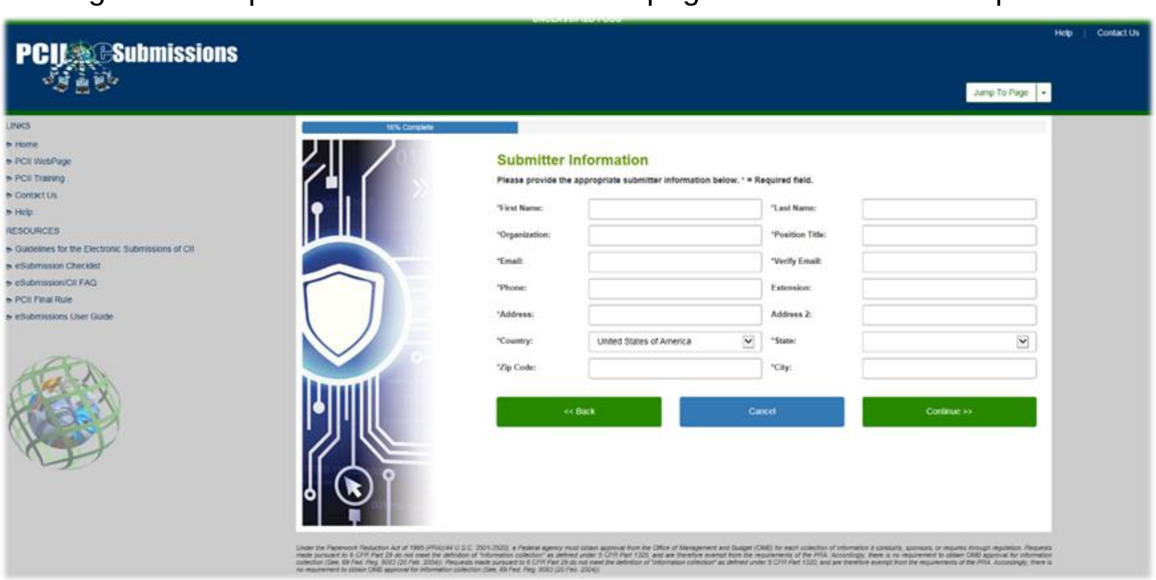


Figure 7: Submitter Information

Point of Contact Information: The submitter can either designate a new contact or the "Same as Submitter" box can be checked to automatically fill in the Submitter

Information input on the previous screen. The submitter can then click the "Continue" button to proceed to the Nature of Submission page.

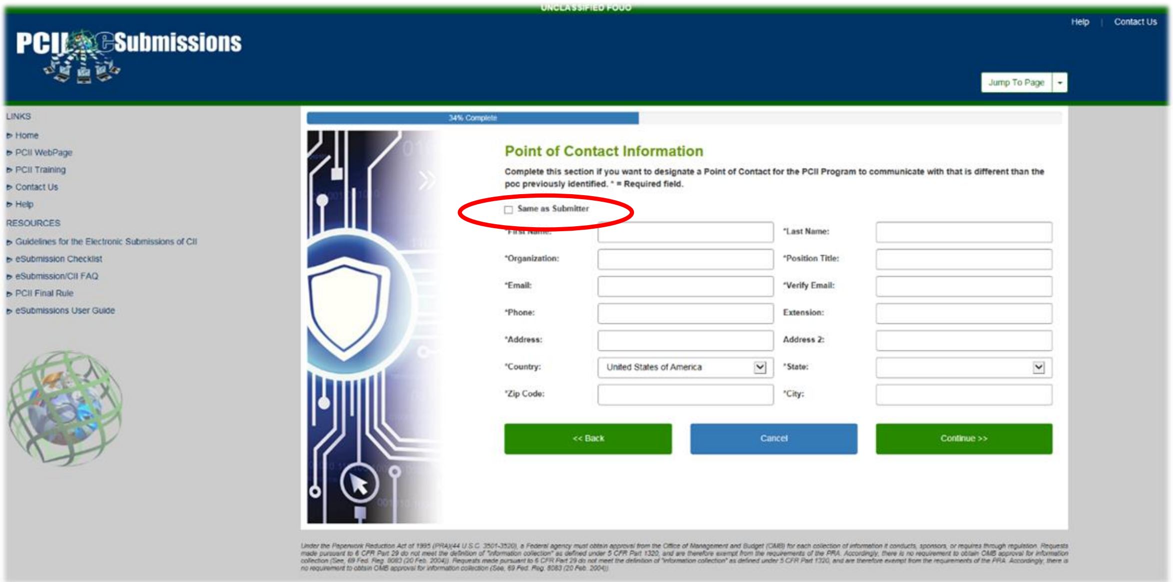


Figure 8: Point of Contact Information

Nature of Submission: The submitter must enter information into all fields on the Nature of Submission page. The submitter can then click the "Continue" button to proceed to the Critical Infrastructure Information page.

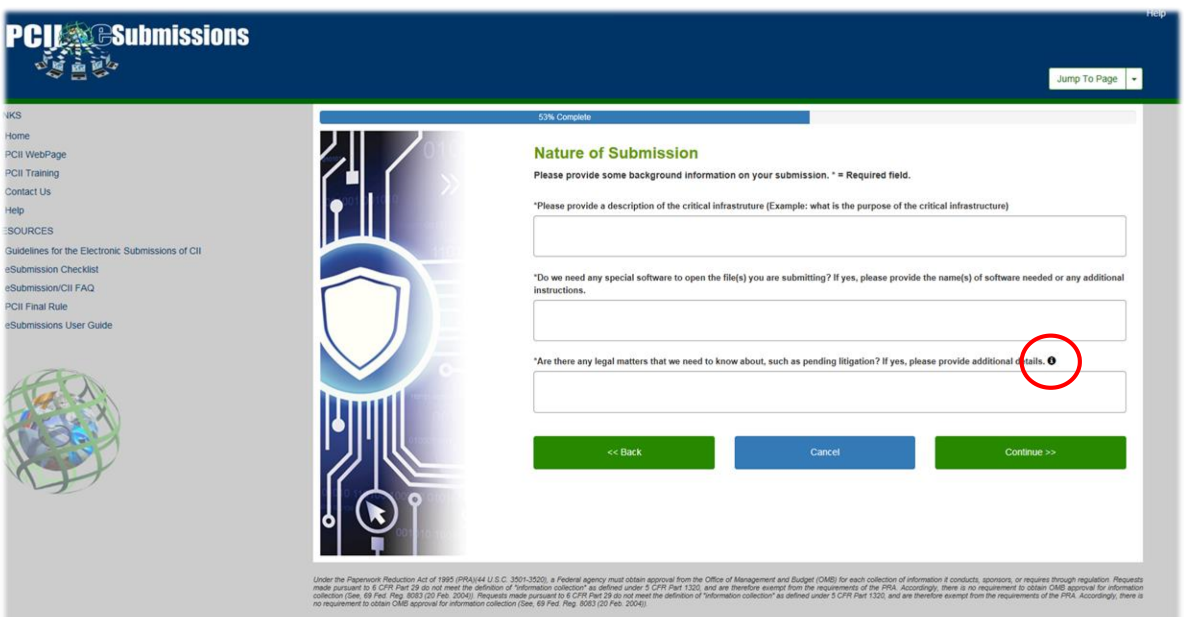


Figure 9: Nature of Submission

Note: If clicking the tool tip (icon located at the end of the sentence of the third section) the submitter will see a pop-up stating "Please describe any pending litigation related to this submission." Simply click the "OK" button to return to the screen.

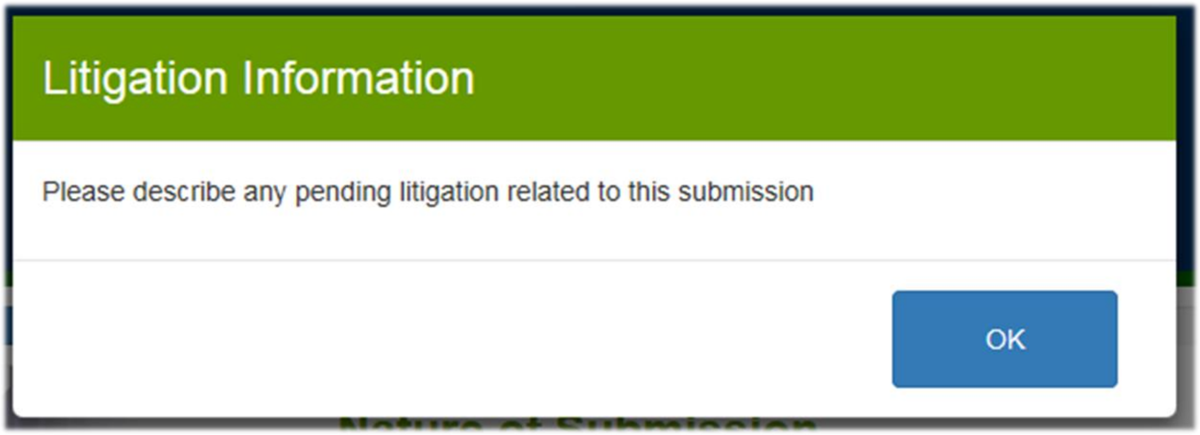


Figure 10: Litigation Information

Critical Infrastructure Information: The submitter must enter information into all fields on the Critical Infrastructure Information page if the asset is Physical. If the asset is Cyber, then the State/Province, Zip/Postal Code and City are no longer required fields. A Cyber asset is defined as a non-physical system such as computer software. The user must also identify which sector the asset is related to. Note that multiple sectors **can be selected** by clicking one sector, holding the Ctrl button and then clicking additional sector(s). The submitter can then click the "Continue" button to proceed to the Express Statement page.

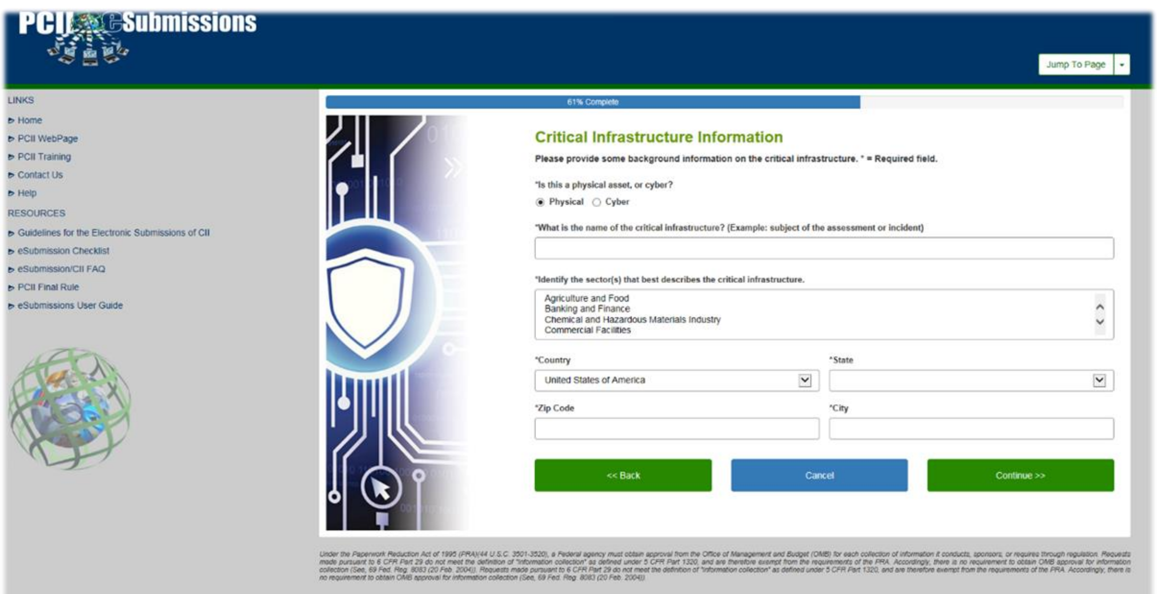


Figure 11: Critical Infrastructure Information

Express Statement: The submitter is required to click the "Yes" radio button to proceed. Once the "Yes" radio button is selected, the submitter can then click the "Continue" button to proceed to the Certification Statement page.

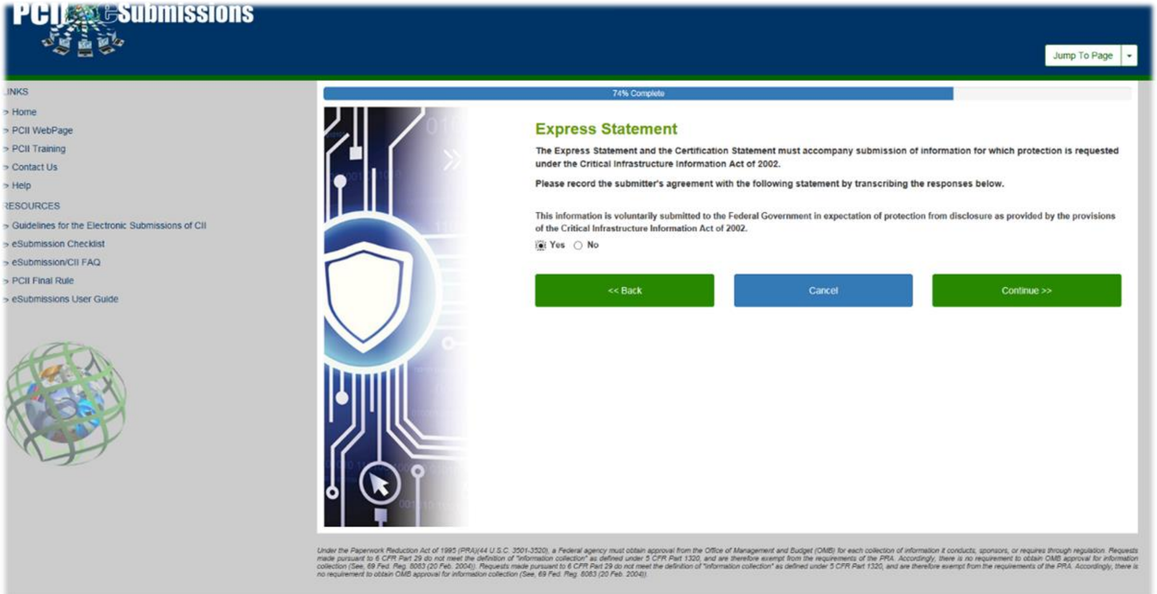


Figure 12: Express Statement

If the submitter selects “No”, a warning will pop up on the screen informing the submitter that agreeing is a requirement to proceed. The pop-up gives the submitter the option to cancel the submission by selecting the “Yes” button. If the submitter does not wish to cancel the submission, they must select the “No” button to return to the screen. If the user selects ‘Yes’, all information entered will be immediately deleted,

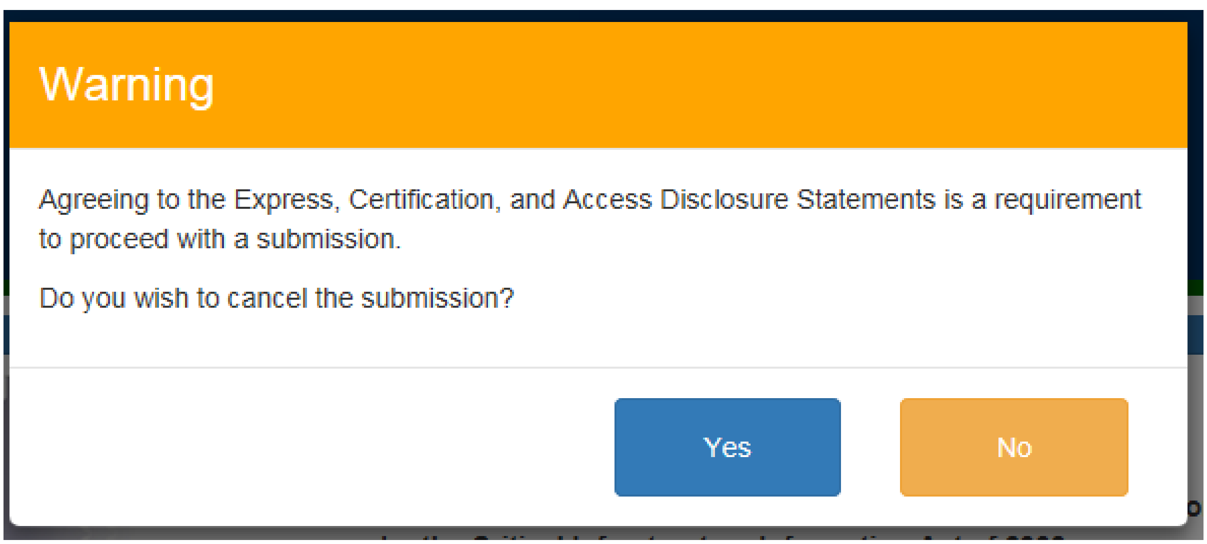


Figure 13: Express Statement - Warning

Certification Statement: The submitter must select their authorization for submitting the information, from the listed choices, by selecting the corresponding radio button. The submitter must also answer “Yes” by clicking the “Yes” radio button to proceed. The submitter can then click the “Continue” button to proceed to the Access Disclosure Statement page.

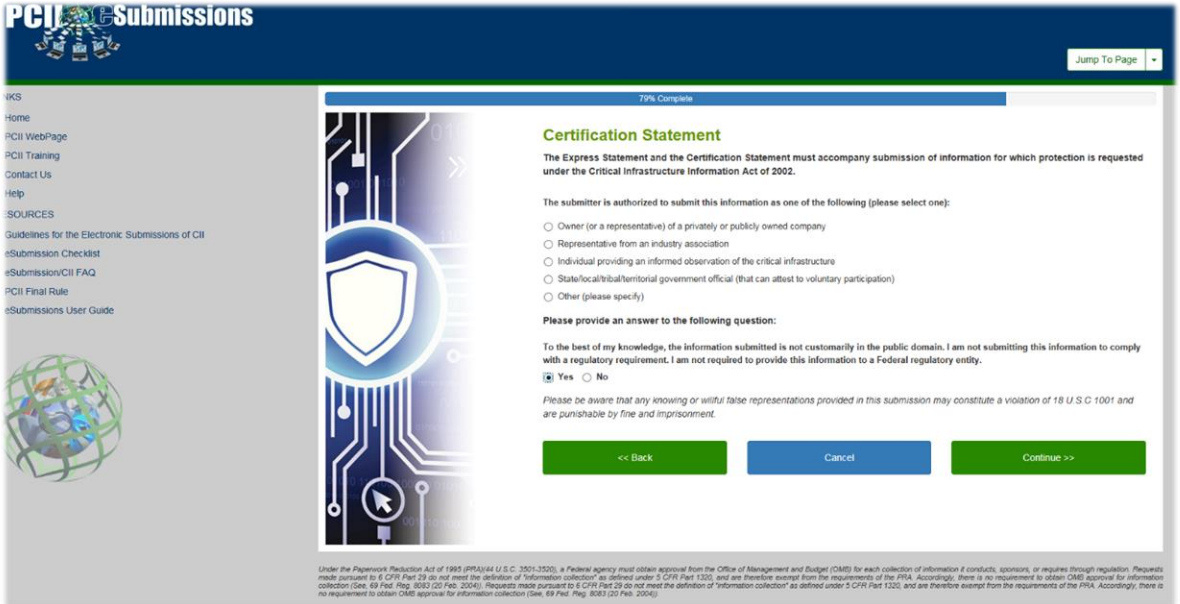


Figure 14: Certification Statement

Access Disclosure Statement: The submitter must check the box to acknowledge the Access Disclosure Statement. Once checked, the submitter can then click the “Continue” button to proceed to the File Upload Wizard page.

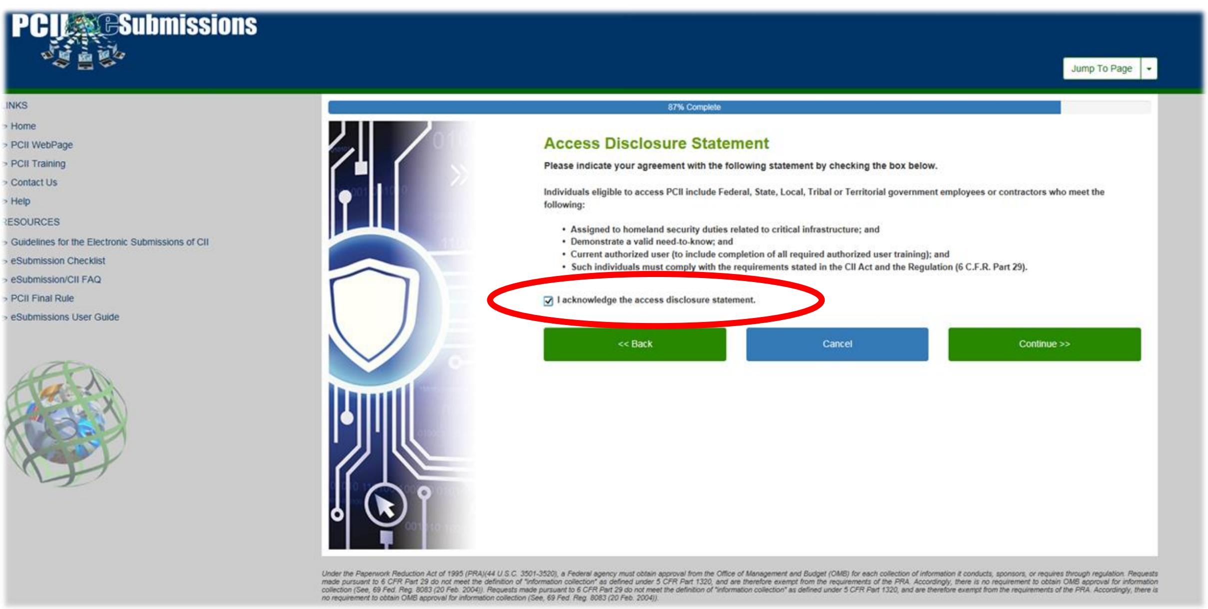


Figure 15: Access Disclosure Statement

File Upload Wizard: The submitter must enter a brief description and upload at least one file in order to continue submission. As many as 100 files may be added with a limit of up to 1GB size total. The submitter can drag files into the area designated for uploading files or click on the designated area to open the browser for selecting one or more files to be uploaded. The submitter must check the box attesting that the information uploaded is not classified information. The submitter can then click the

“Continue” button to proceed to the Submission Overview page. If more than 100 files are selected or the total size of the files selected is over 1GB, an error message will pop up on the screen with an explanation. The user must then correct as appropriate and try again. The submitter must check the box to attest that the information being submitted does not contain any classified information.

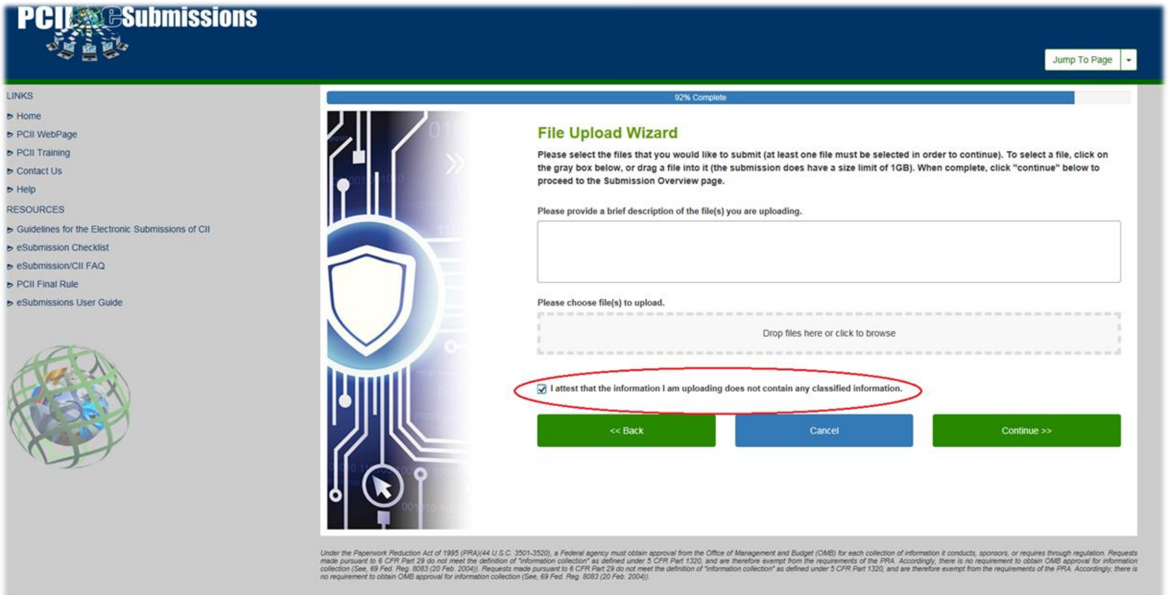


Figure 16: File Upload Wizard

Submission Overview: The submitter can review all of their information for accuracy before selecting the “Submit” button. All fields are in a “read-only” format. If the submitter needs to change any part of the submission, they can do so on the Submission Overview page by clicking on the “edit” link located on the top right side of each section. The selected information may then be edited. The submitter can also navigate directly to previous pages via the drop down in the top right of the screen. Once the submitter is ready to submit their CII, they can scroll down to the bottom of the page and click the “Submit” button. The submitter will then see a pop-up showing the submission status. The Submission Status pop-up shows the form data and file uploads as either successful or not successful. If successful, the submitter can then click the “OK” button to continue. If a file upload fails, a notification of which file(s) will be included in the pop-up. The submitter can then click the “OK” button to continue and can submit again once they fix the failed file. The submitter will then be directed to the Submission Confirmed page.

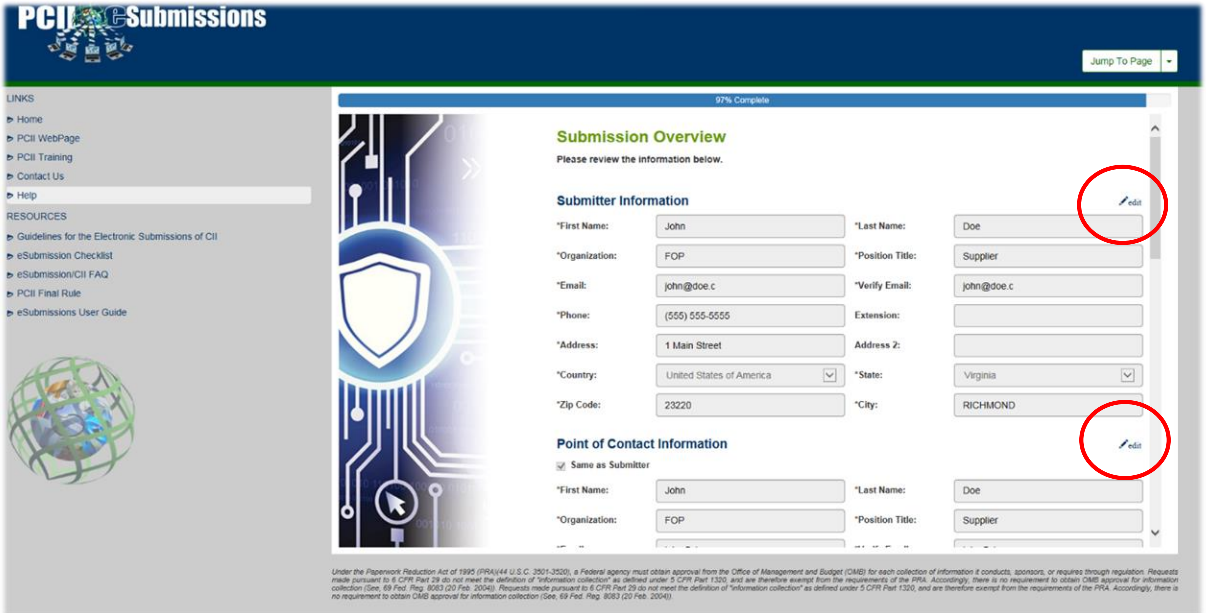


Figure 17: Submission Overview

Submission Confirmed: This page contains an automatically generated CII submission number. The submitter will then be able to return to the eSubmissions home page or begin a new submission. If beginning a new submission, the submitter will be redirected to the “Submission Type” page upon clicking the “Begin New Submission” button. All previous contact data entered into the system is retained. Otherwise, ***all previous data input is purged*** when clicking the “Home” button or exiting the page/closing browser. The submitter will also receive an email that notifies them of a successful submission.

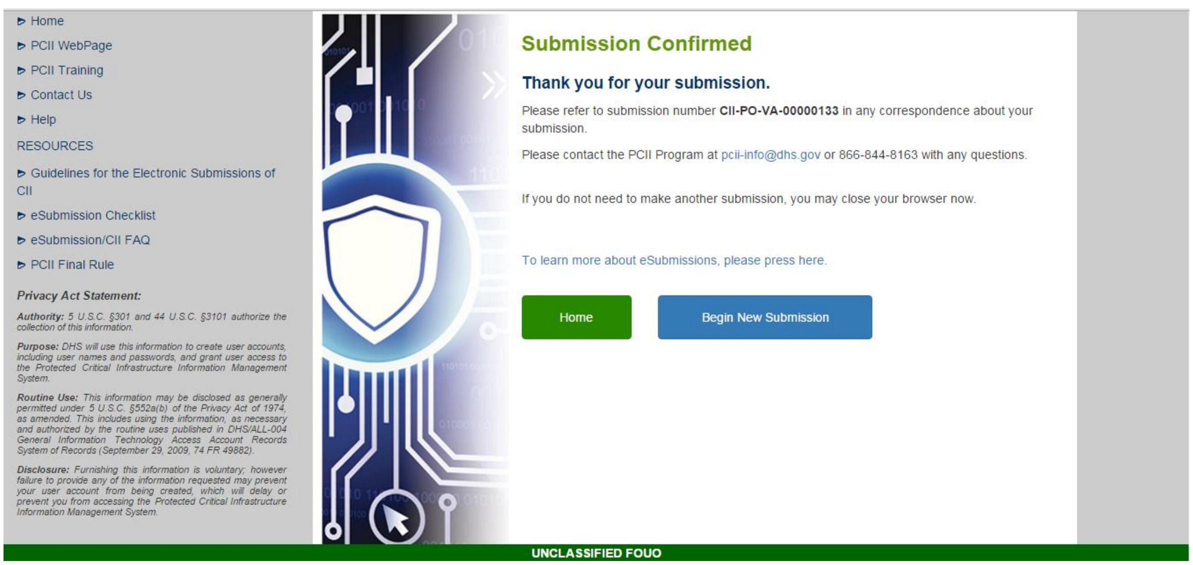


Figure 18: Submission Confirmed

3.5 Submitting CII as a Sponsor

After selecting 'Submit CII' the sponsor will be directed to the Submission Type page.

Submission Type: If answering "NO", the sponsor can go to the next question by clicking the "Continue" button.

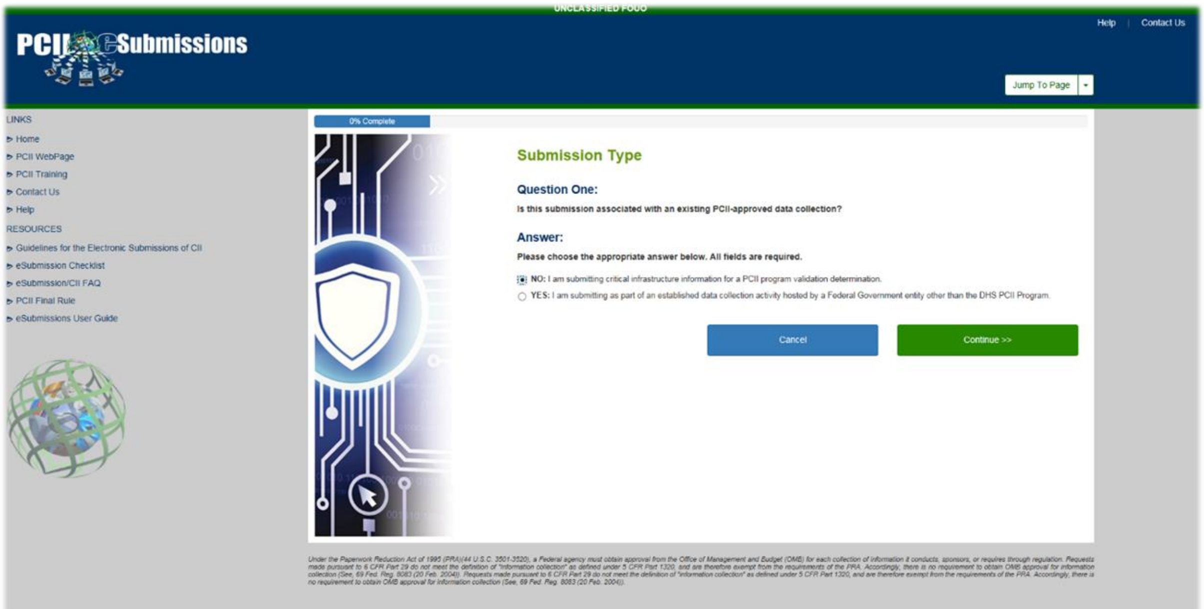


Figure 19: Submission Type Question One "NO"

If answering "YES", the sponsor will need to provide the name of the Federally hosted data collection activity before continuing. Once the Federally hosted data collection activity is entered, the sponsor can continue to the Submitter Type page by clicking the "Continue" button.

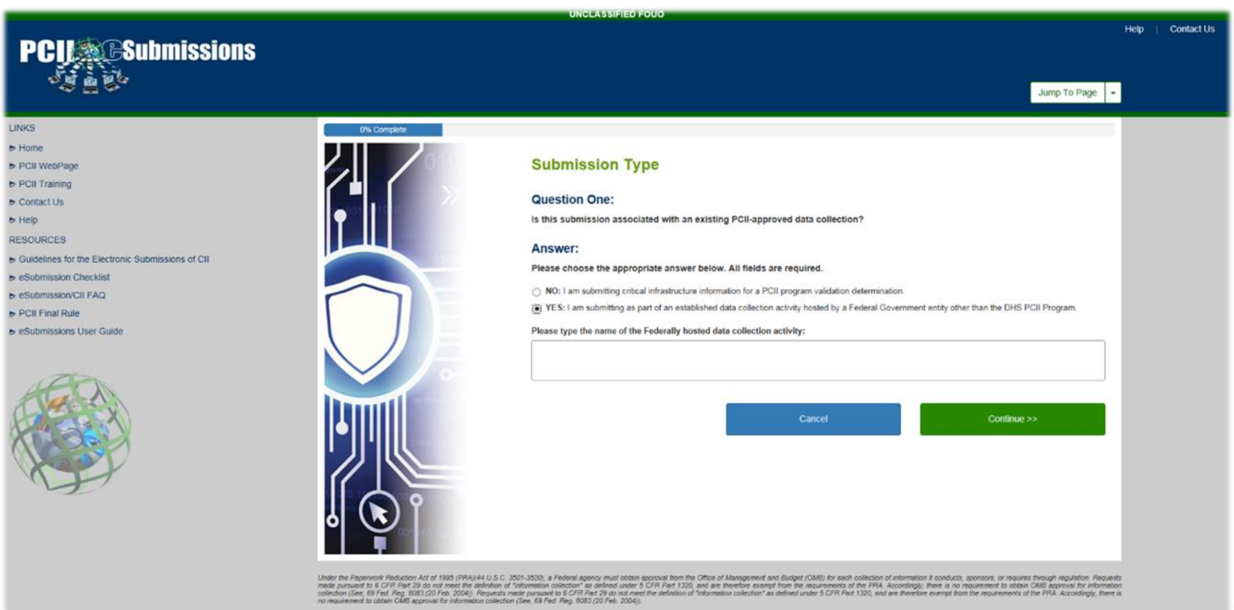


Figure 20: Submission Type Question One "YES"

Submitter Type: The sponsor will check the second radio button and answer "YES" to the Express Statement question. If they answer "NO" to the question, they will see two tabs, Express Statement and Adobe Acrobat Reader. Clicking on the Express Statement tab will open a new tab where they can download a copy of the Express Statement and save it to their computer. The Adobe Acrobat Reader tab will take them to a new tab and allow them to download Adobe Acrobat Reader if they do not have the software. The sponsor can then close these tabs and return to the eSubmissions application. The sponsor can then click the "Continue" button to proceed to the Submission Sponsor Information page. To learn more about data collection activities the user can select the link to the "Learn More" text pop-up.

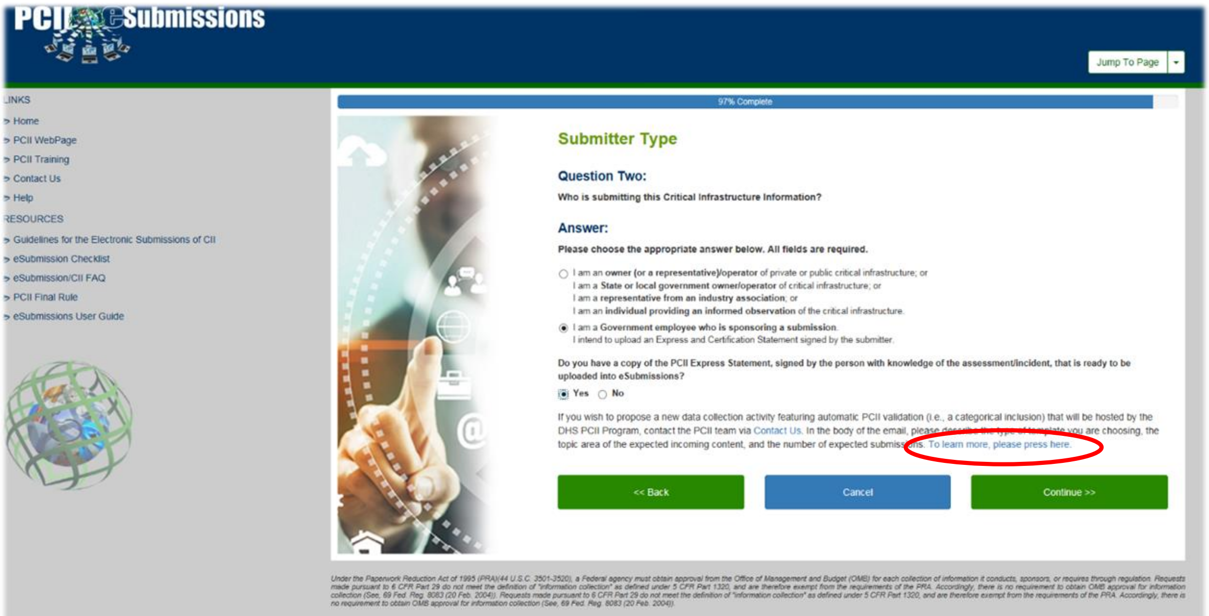


Figure 21: Submitter Type Question Two "YES"

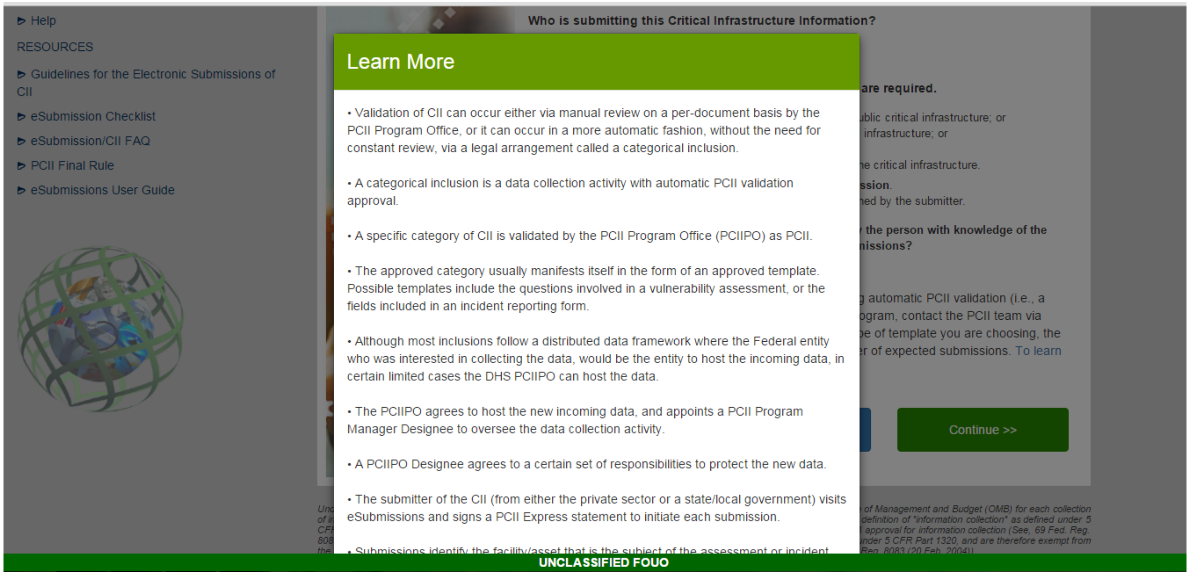


Figure 22: Link to Learn More

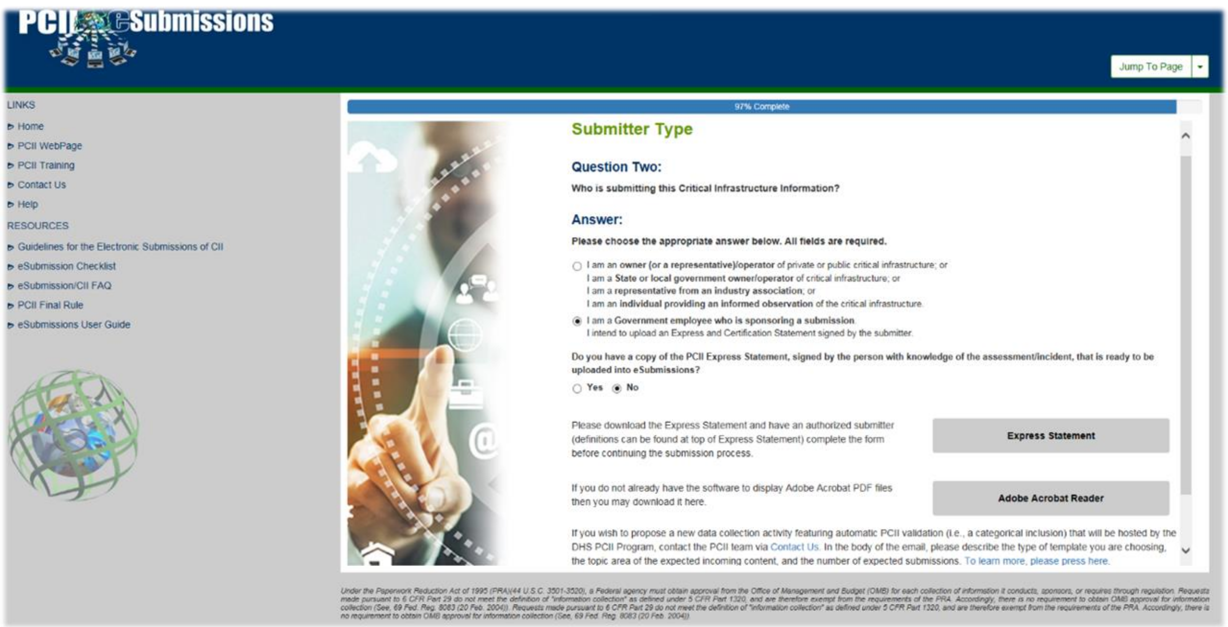
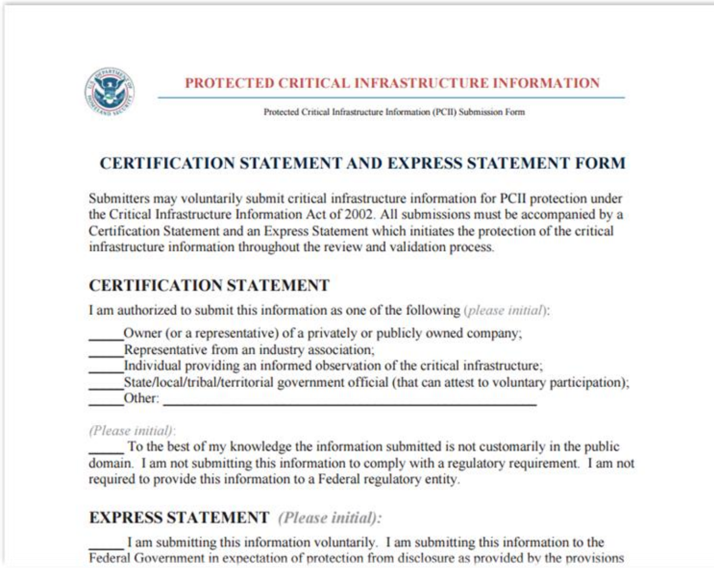


Figure 23: Submitter Type Question Two “NO”



PROTECTED CRITICAL INFRASTRUCTURE INFORMATION

Protected Critical Infrastructure Information (PCII) Submission Form

CERTIFICATION STATEMENT AND EXPRESS STATEMENT FORM

Submitters may voluntarily submit critical infrastructure information for PCII protection under the Critical Infrastructure Information Act of 2002. All submissions must be accompanied by a Certification Statement and an Express Statement which initiates the protection of the critical infrastructure information throughout the review and validation process.

CERTIFICATION STATEMENT

I am authorized to submit this information as one of the following *(please initial)*:

____Owner (or a representative) of a privately or publicly owned company;
____Representative from an industry association;
____Individual providing an informed observation of the critical infrastructure;
____State/local/tribal/territorial government official (that can attest to voluntary participation);
____Other: ________________________________

(Please initial):
____ To the best of my knowledge the information submitted is not customarily in the public domain. I am not submitting this information to comply with a regulatory requirement. I am not required to provide this information to a Federal regulatory entity.

EXPRESS STATEMENT *(Please initial):*

____ I am submitting this information voluntarily. I am submitting this information to the Federal Government in expectation of protection from disclosure as provided by the provisions

Figure 24: Express Statement Form

Submission Sponsor Information: The sponsor must fill out all required fields. Once all fields are properly filled, the sponsor can then click the “Continue” button to proceed to the Submitter Information page. If required fields are not properly filled out, a red error message will appear beneath the field(s) notifying the submitter of what is required. The sponsor cannot proceed until all required fields are complete.

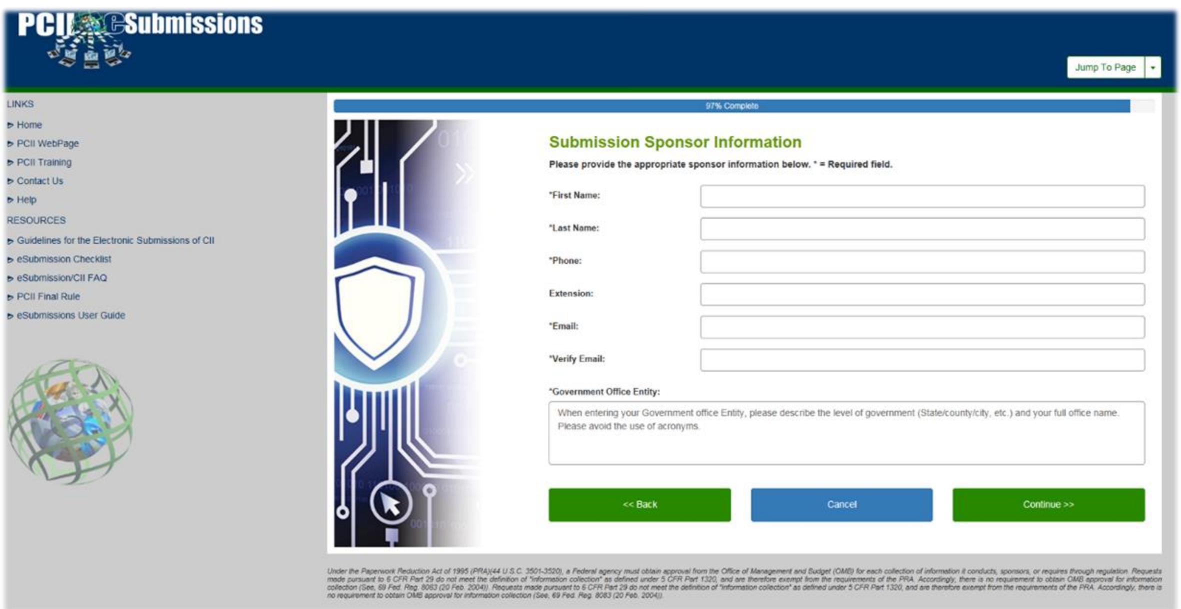


Figure 25: Submission Sponsor Information

Submitter Information: The sponsor must fill out all required fields. Once all fields are properly filled, the sponsor can then click the “Continue” button to proceed to the Point Of Contact Information page. Note: If selecting United States of America as the Country, the system will automatically populate the State and City fields with values derived from the zip code. The State and City fields are derived from official US Post Office data. This substitution includes other pages that include the Zip Code field.

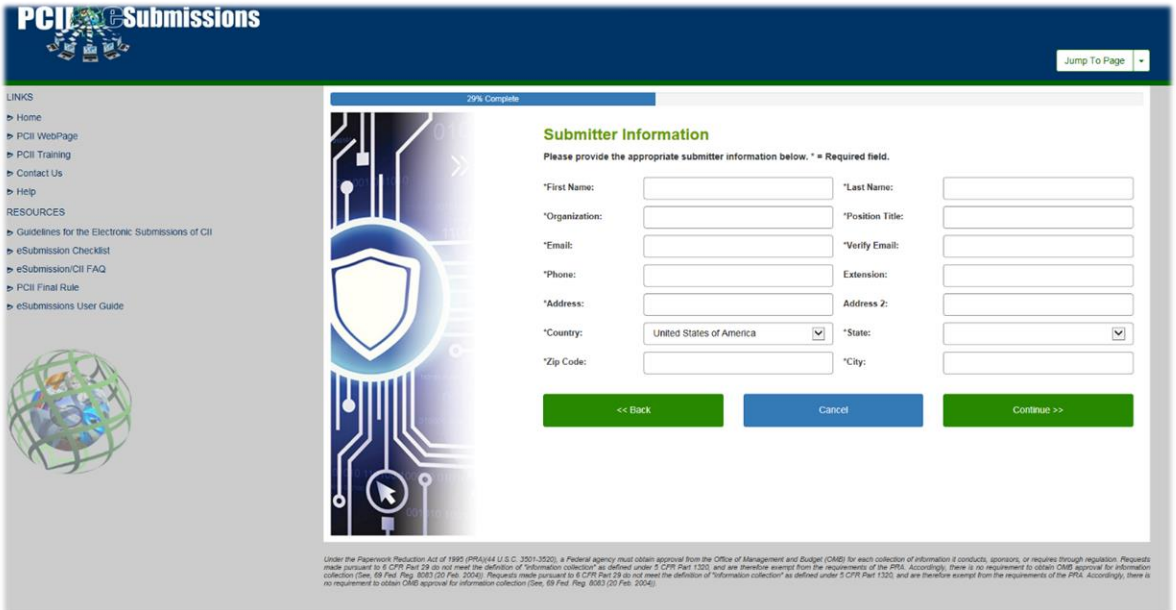


Figure 26: Submitter Information

Point of Contact Information: The sponsor can either designate a new contact or the “Same as Submitter” box can be checked to automatically fill in the Submitter Information entered on the previous screen. The sponsor can then click the “Continue” button to proceed to the Nature of Submission page.

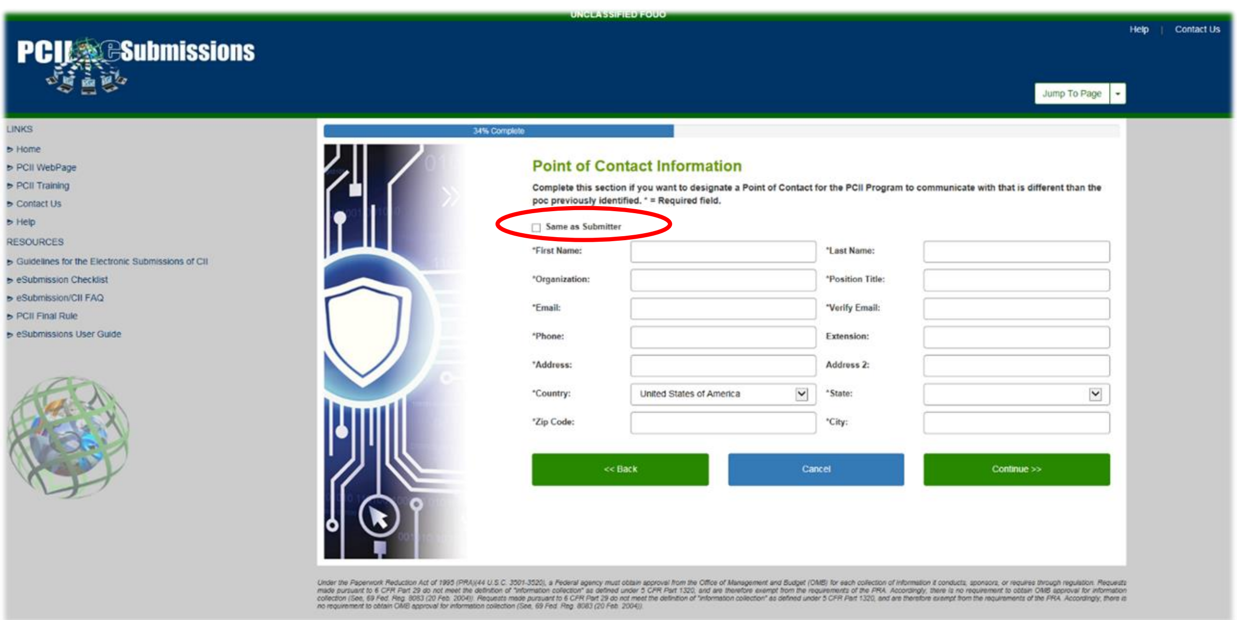


Figure 27: Point of Contact Information

Nature of Submission: The sponsor must enter information into all fields on the Nature of Submission page. The sponsor can then click the “Continue” button to proceed to the Critical Infrastructure Information page.

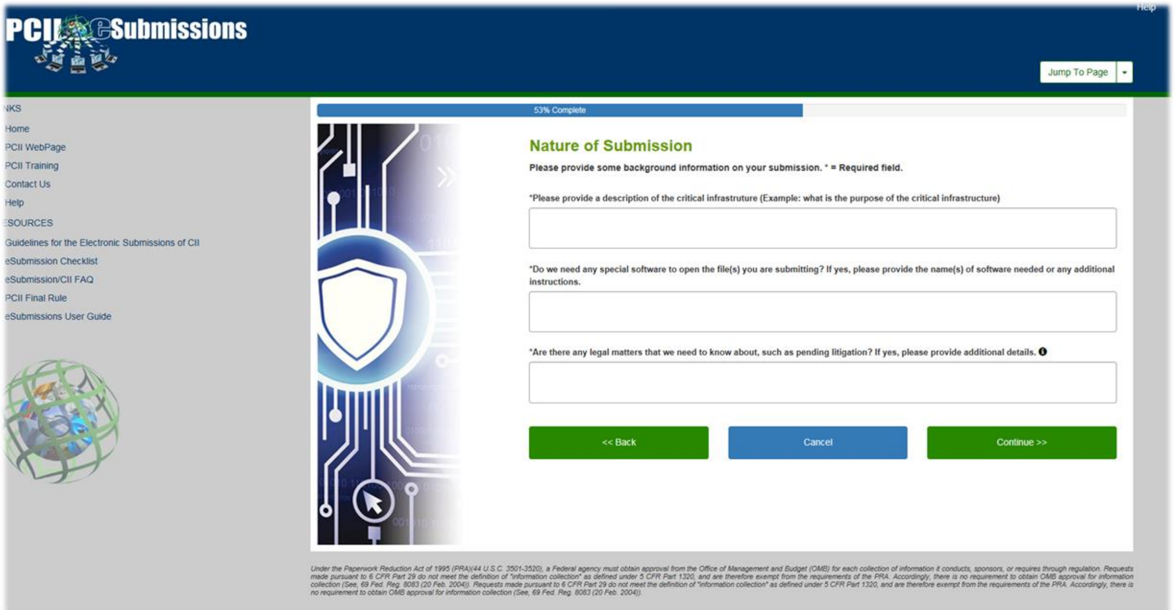


Figure 28: Nature of Submission

Note: If clicking the tool tip (icon located at the end of the sentence of the third section) the submitter will see a pop-up stating, “Please describe any pending litigation related to this submission.” Simply click the “OK” button to return to the screen.

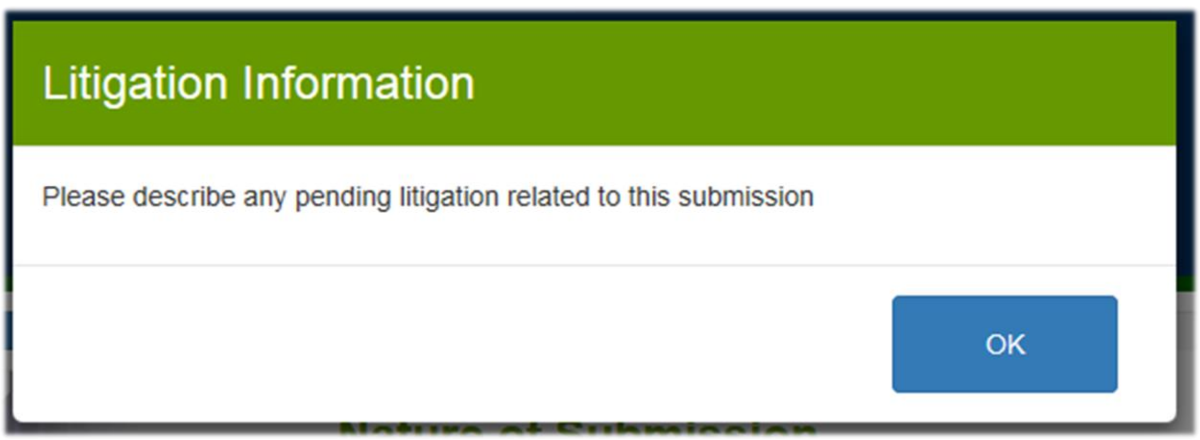


Figure 29: Litigation Information

Critical Infrastructure Information: The sponsor must enter information into all fields on the Critical Infrastructure Information page if the asset is Physical. If the asset is Cyber, then the State/Province, Zip/Postal Code and City are no longer required fields. Multiple sectors can be selected by clicking one sector, holding the Ctrl button and then clicking additional sector(s). The sponsor can then click the “Continue” button to proceed to the Express Statement page.

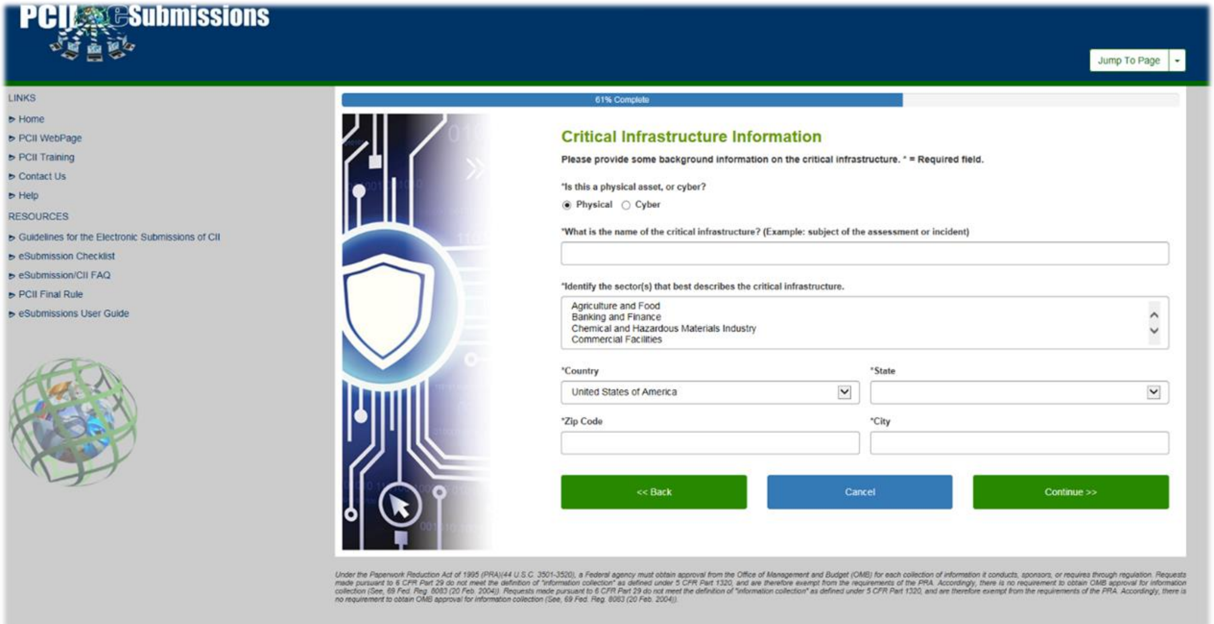


Figure 30: Critical Infrastructure Information

Upload Express Statement: The sponsor will check the Express Statement box and upload a copy of their Certification Statement and Express Statement form from their computer. The sponsor can then click the “Continue” button to proceed to the File Upload Wizard page.

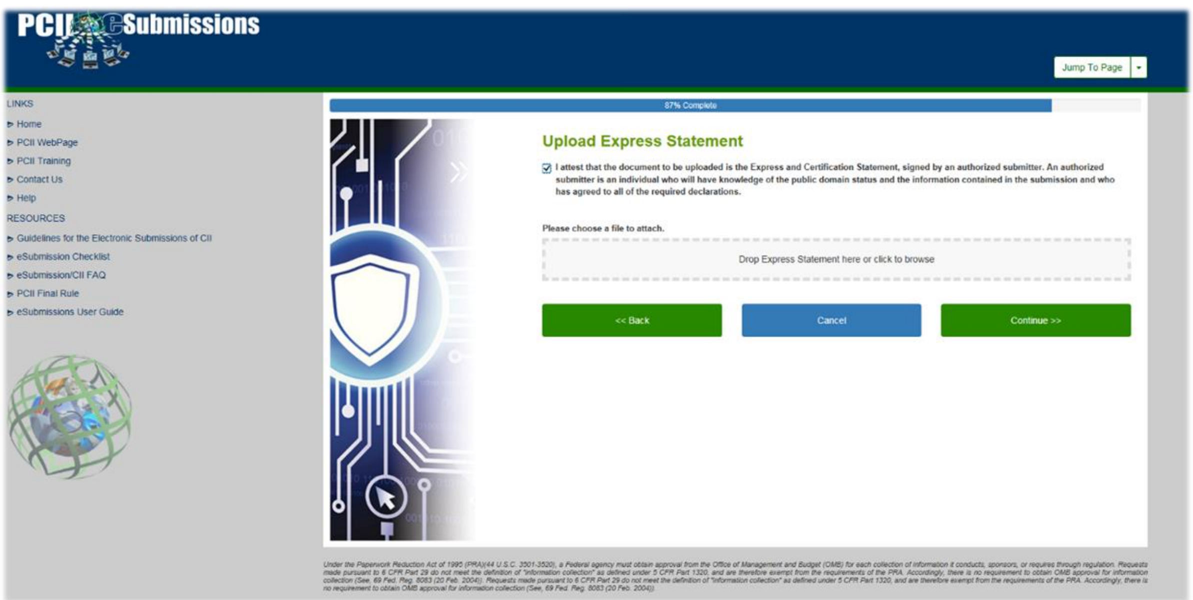


Figure 31: Upload Express Statement

File Upload Wizard: The sponsor must enter a brief description and upload at least one file in order to continue the submission. The sponsor can drag files into the area designated for uploading files or click on the designated area to open the browser for selecting one or more files to be uploaded. As many as 100 files may be added with a limit up to 1GB total. The sponsor must check the box attesting that the information uploaded is not classified information. The sponsor can then click the “Continue” button to proceed to the Submission Overview page. If more than 100 files are selected or the size of files uploaded are over 1GB, an error message will pop-up on the screen with an explanation.

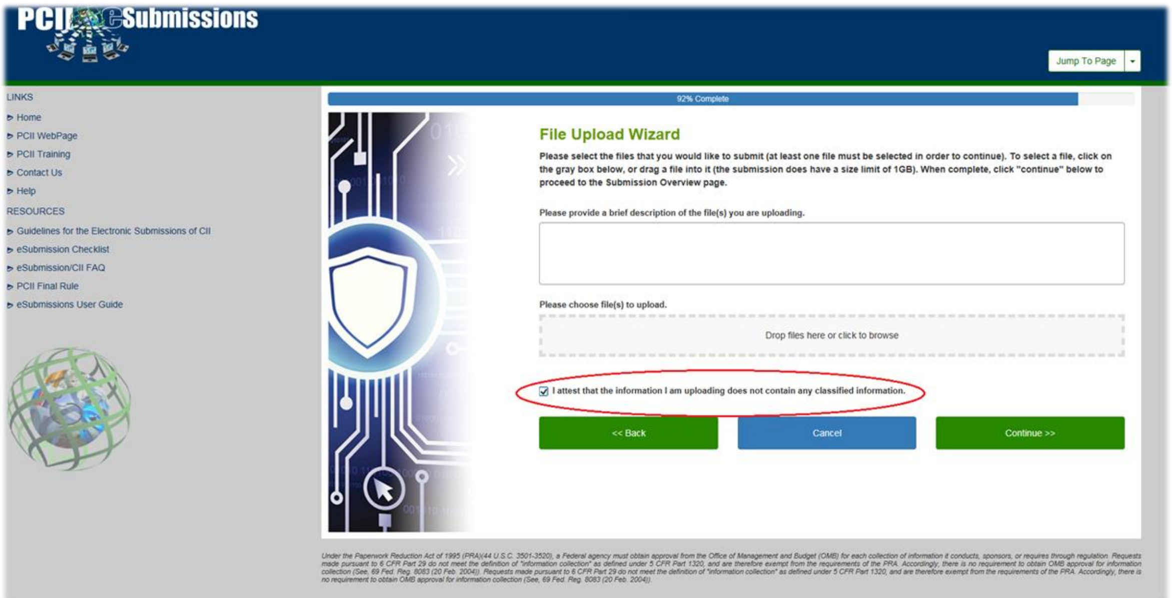


Figure 32: File Upload Wizard

Submission Overview: The sponsor can review all of their information for accuracy before selecting the “Submit” button. All fields are in a “read-only” format. If the sponsor needs to change any part of the submission, they can do so on the Submission Overview page by clicking on the “edit” link located on the top right side of each section. The selected information may then be edited. The sponsor can also navigate directly to previous pages via the drop down in the top right of the screen. Once the sponsor is ready to submit their CII they can scroll down to the bottom of the page and click the “Submit” button. The sponsor will then see a pop-up showing the submission status. The Submission Status pop-up shows the form data and file uploads as either successful or not successful. If successful, the sponsor can then click the “OK” button to continue. If a file upload fails, a notification of which file(s) will be included in the pop-up. The sponsor can then click the “OK” button to continue and can submit again once they fix the failed file. The sponsor will then be directed to the Submission Confirmed page.

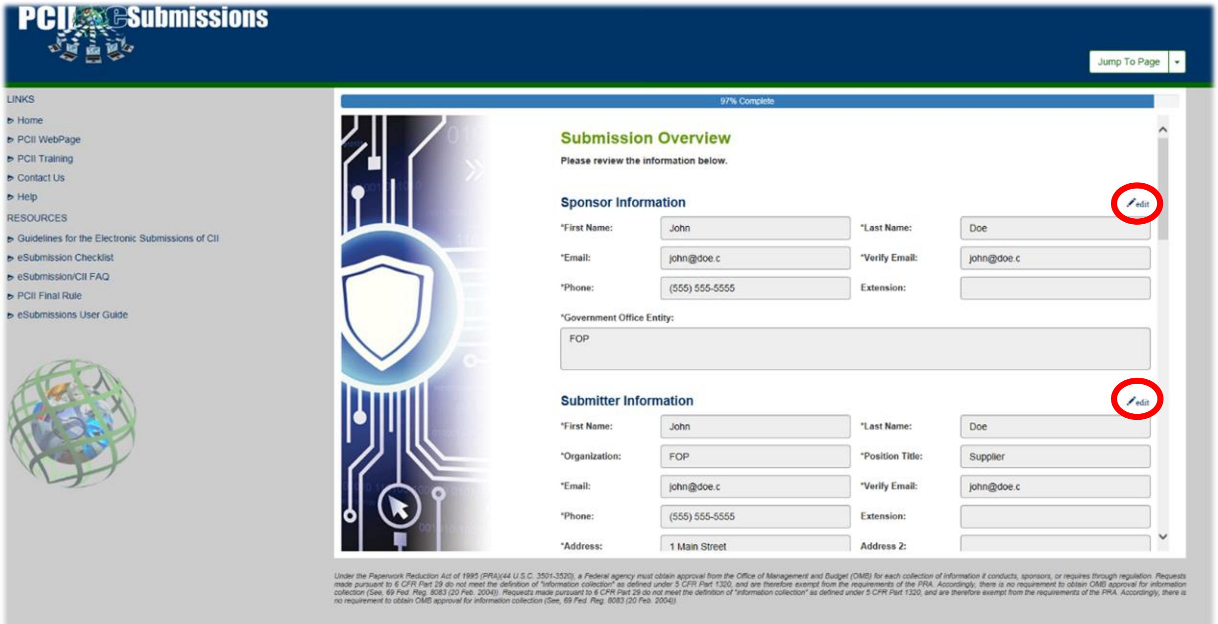


Figure 33: Submission Overview

Submission Confirmed: This page contains an automatically generated CII submission number. The sponsor will then be able to return to the eSubmissions home page or begin a new submission. If beginning a new submission, the sponsor will be redirected to the “Submission Type” page upon clicking the “Begin New Submission” button. All previously entered contact information in the system is retained. Otherwise, ***all previous data input is purged*** when clicking the “Home” button or exiting the page/closing browser.

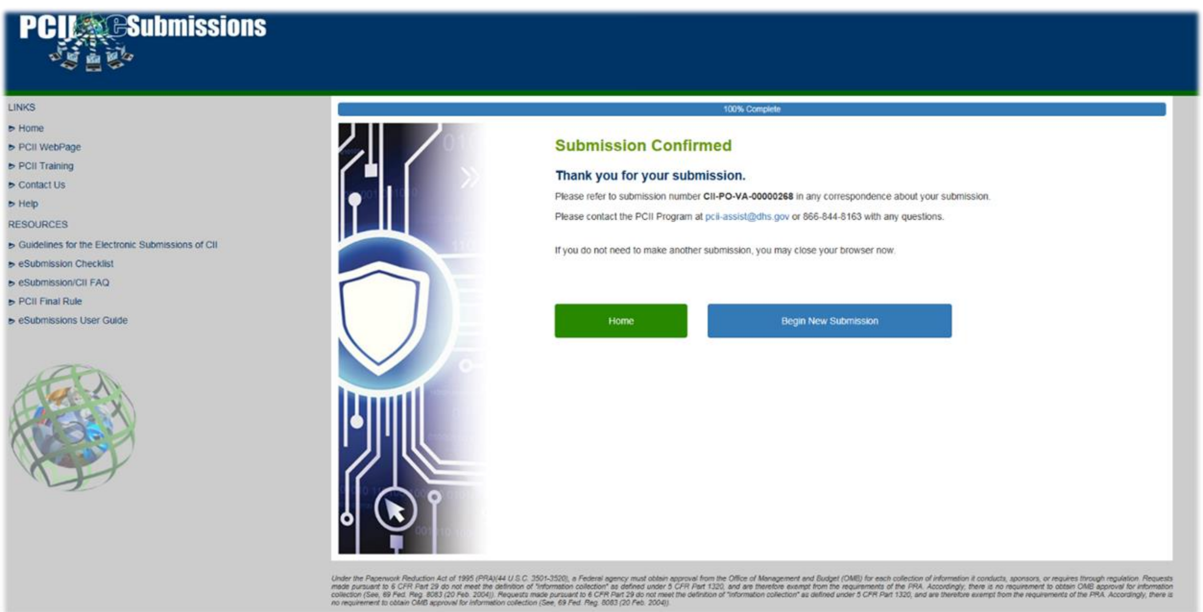


Figure 34: Submission Confirmed

The eSubmissions application will automatically send the sponsor an email indicating their submission was successful.

4.0 Help

For any technical problems using this site, please contact the PCII Program Help Desk at 866-844-8163 or by e-mail at pcii-assist@cisa.dhs.gov.

Appendix A: Acronym List

ACRONYM	TERM
CII	Critical Infrastructure Information
CII Act	Critical Infrastructure Information Act of 2002
DHS	Department of Homeland Security
eSubmissions	Electronic Submissions
PCII	Protected Critical Infrastructure Information
IP	Infrastructure Protection
FAQ	Frequently Asked Questions
GB	GigaByte