Protected Critical Infrastructure Information (PCII)

Electronic Submissions Application (eSubs) User Guide

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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 the private sector 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, Local, Tribal, Territorial (SLTT) 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 allows for the submission of Critical Infrastructure Information (CII) to DHS through a secure website. This user guide describes the submission process and how to use the eSubmissions application.

2.0 Overview

The PCII Program evaluates submitted information to determine eligibility for protection under the CII Act as PCII. If additional clarification is needed, the PCII Program Office will contact the submitter before making a final determination.
Information not qualifying 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, is protected from disclosure 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 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, contact the CISA Technology Operations Center at TOC@mail.cisa.dhs.gov.
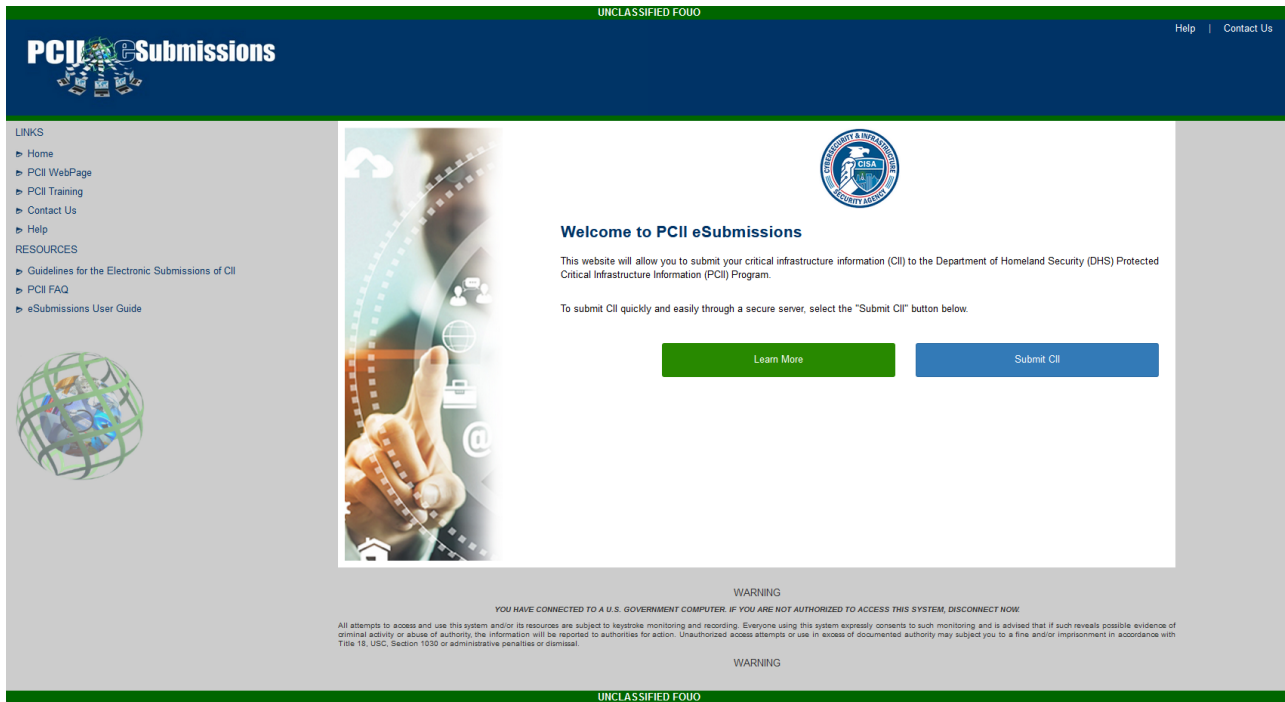

Figure 1: PCII eSubmissions Home Page

3.1 Home Page

The home page includes "Learn More" and "Submit CII" selections and links for additional PCII Program information and to submit CII. Selecting "Learn More" directs the user to a new page with additional PCII Program information.
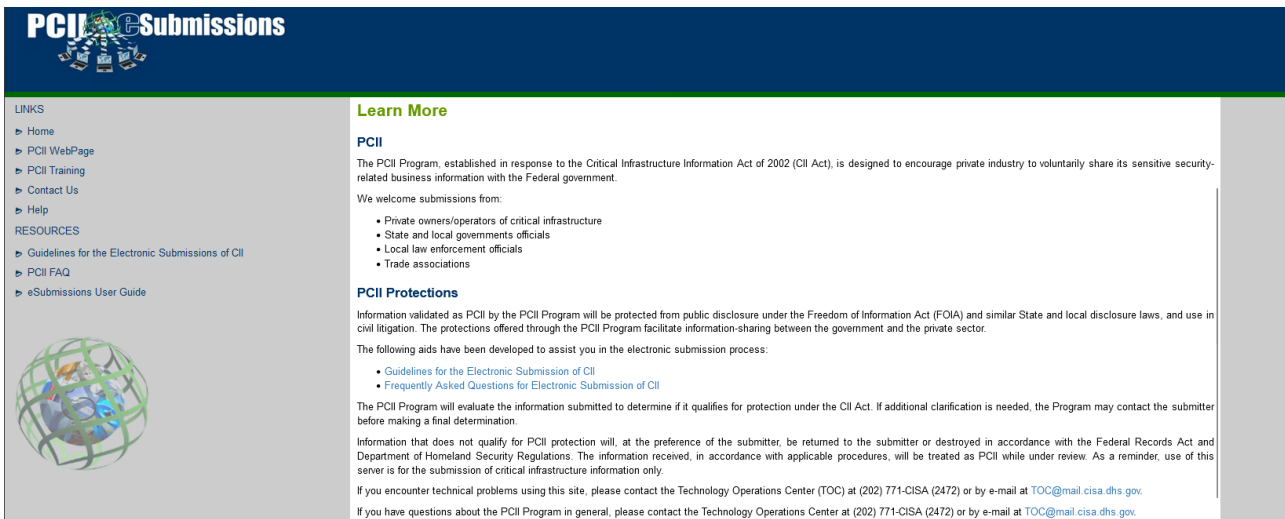
Figure 2: Learn More

3.2 User Roles

There are two user roles in eSubmissions:

- Submitter: The owner/operator who owns the critical infrastructure information to be voluntarily submitted to DHS for protections under the CII Act.
- Sponsor: A government employee submitting CII on behalf of the owner/operator. When submitting the CII, a sponsor requires a PCII Express and Certification Statement signed by the submitter to upload into eSubmissions.

3.3 Beginning a Submission

After selecting "Submit CII", a pop-up appears informing the user the system is "For Official Use Only". The user should read the notice and select "Continue" to proceed. By selecting "Continue" the user acknowledges they will not submit classified information into the eSubmissions application and understands the application is an unclassified system. If the user selects "Cancel", they cannot continue the submission process and are returned to the eSubmissions home page.
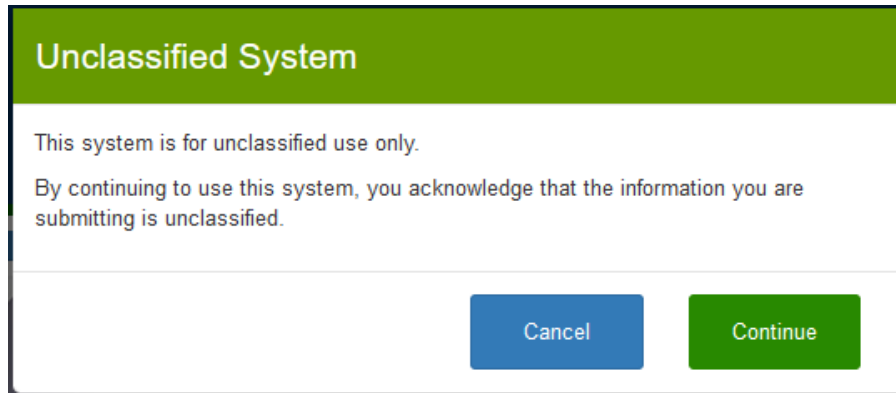
Figure 3: Unclassified System Warning Message

After selecting "Continue", the user is directed to the "Submission Type" page. The submitter must select if the CII 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 selecting "Continue."
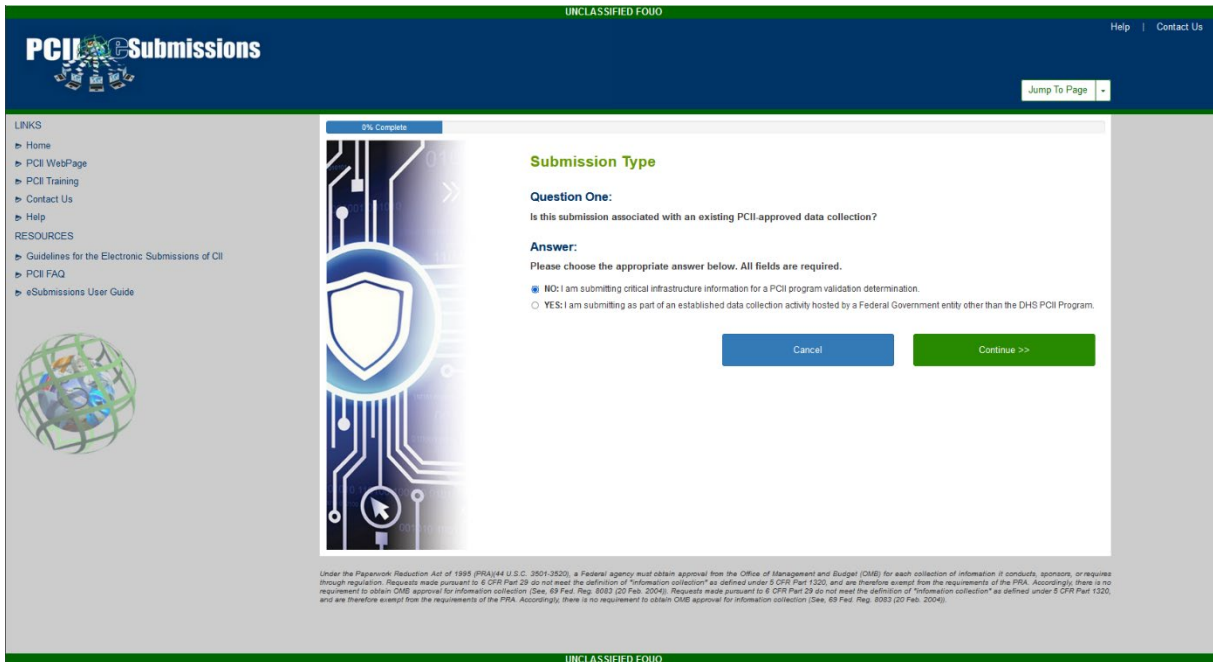
Figure 4: Submission Type, Question 1 "NO"

If answering "YES", the user needs to provide the name of the U.S. Federal Government hosted data collection activity before continuing. Once U.S. Federal Government hosted data is entered, select "Continue" to proceed to the 'Submission Type' page.
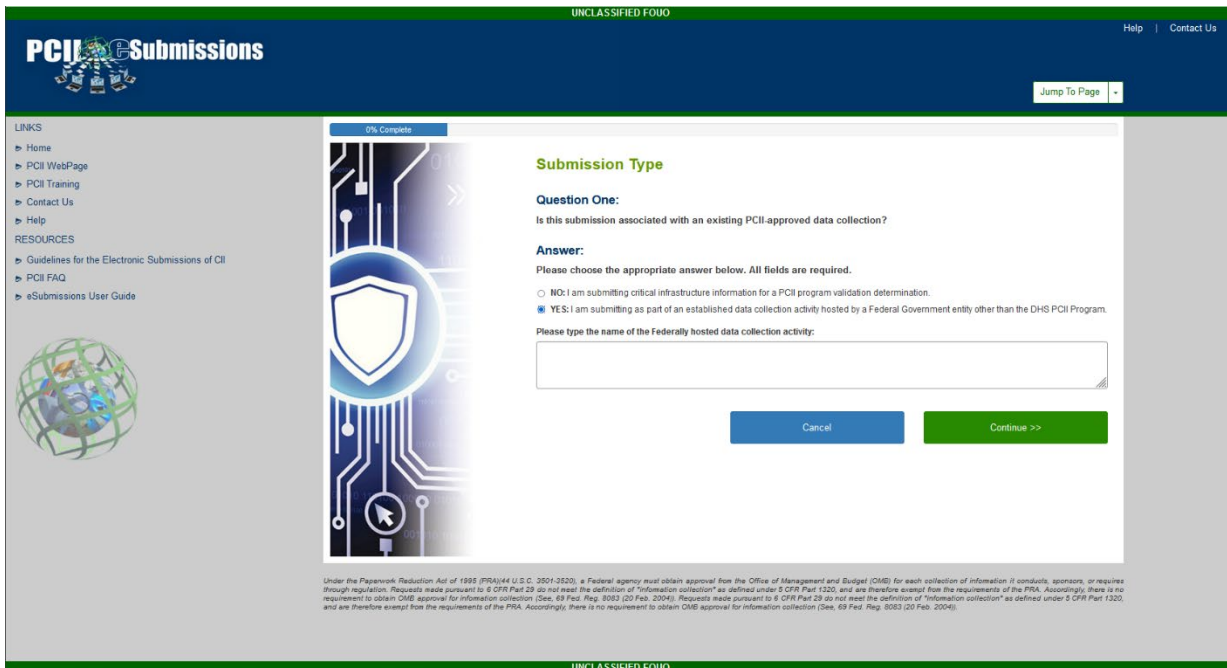
Figure 5: Submission Type, Question 1 "YES"

At this point the user can select "Cancel" throughout the remainder of the submission process removing any previous collected information. The user is returned to the eSubmissions home page.

3.4 Submitting CII as a Submitter: A submitter selects the first radio button and then selects "Continue" to proceed to the 'Submitter Information' page. The other radio button is for the sponsor outlined in paragraph 3.5.
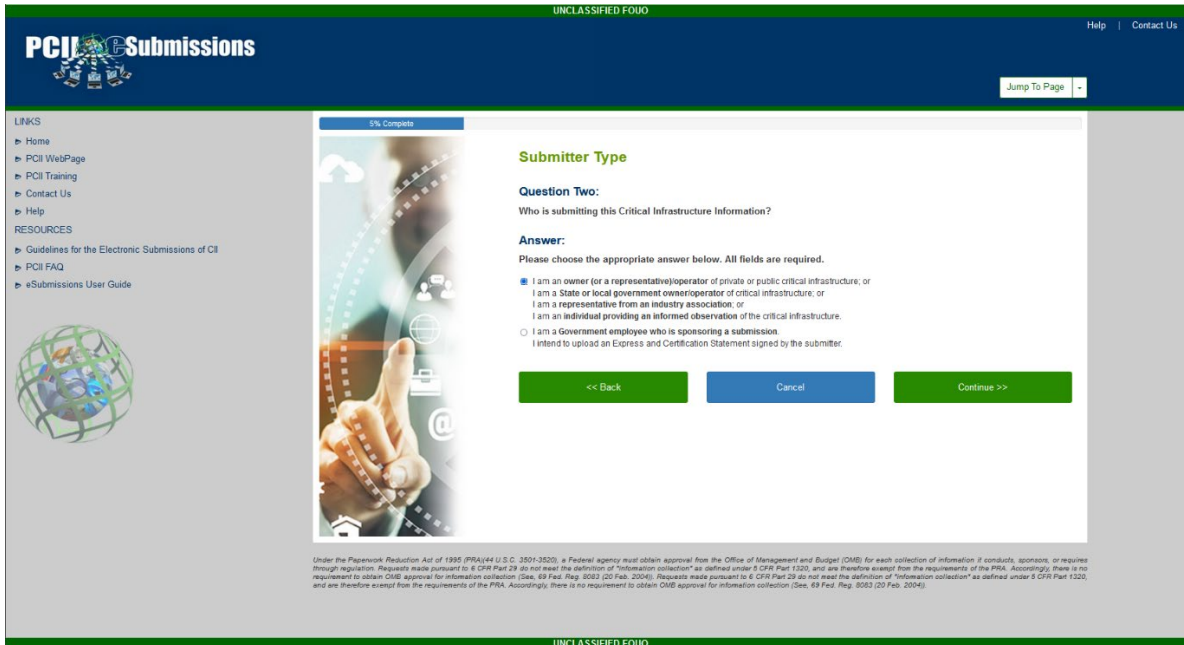
Figure 6: Submitter Type

Submitter Information: The submitter must complete all required fields depicted with asterisks. Upon completion of all fields, select "Continue" to proceed to the Point of Contact Information page. If required fields are not properly completed, a red error message appears beneath the field(s) notifying the submitter what is required. The submitter cannot proceed until all required fields are completed.

<u>Note</u>: If selecting United States of America as the country, PCIIMS automatically populates the state and city fields with values from the completed Zip Code.
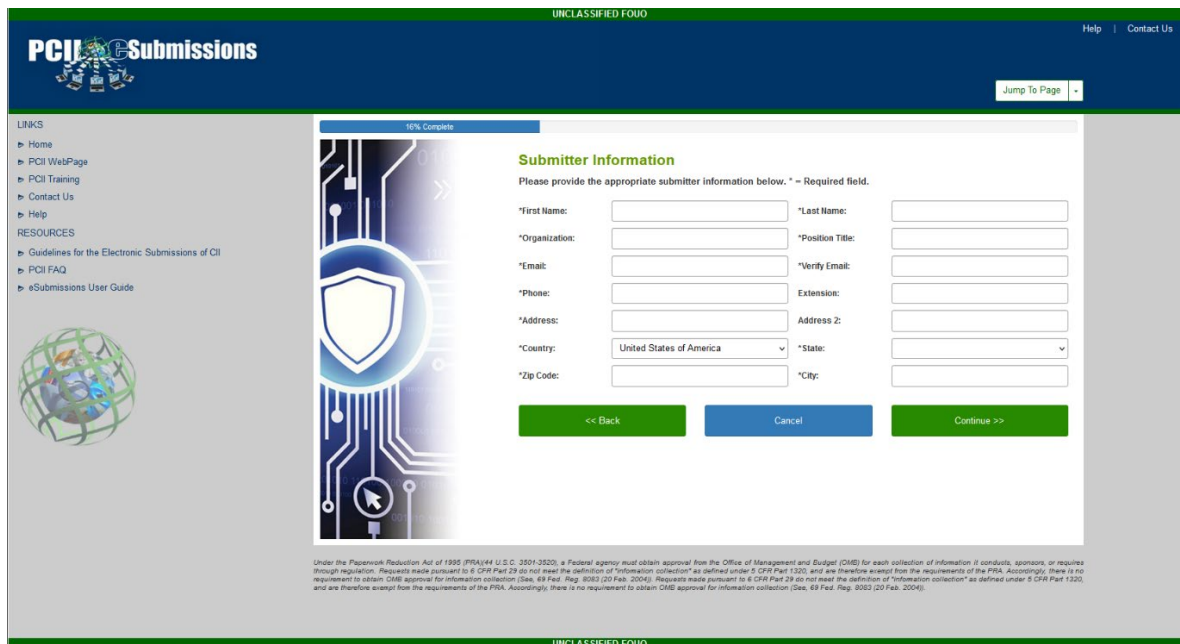
Figure 7: Submitter Information

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 select "Continue" 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 then selects "Continue" to proceed to the Critical Infrastructure Information page.

Figure 9: Nature of Submission

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Note: If selecting the "Tool Tip" (icon located at the end of the sentence of the third section) a pop-up appears stating "Please describe any pending litigation related to this submission." Simply select "OK" to return to the screen.

Litigation Information

Please describe any pending litigation related to this submission

OK
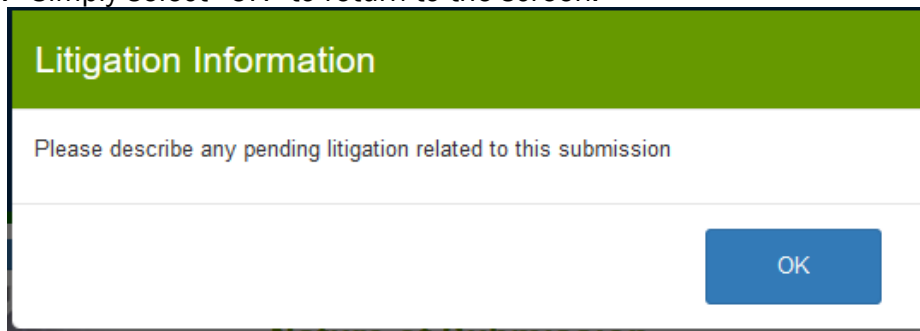
Figure 10: Litigation Information

Critical Infrastructure Information: If the asset is physical, the submitter must complete all fields on the Critical Infrastructure Information page. 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 identify the sector to which the asset is related.

Note: Multiple sectors **can be selected** by selecting one sector while holding the Ctrl Key and then selecting additional sector(s). The submitter selects "Continue" to proceed to the Express Statement page.
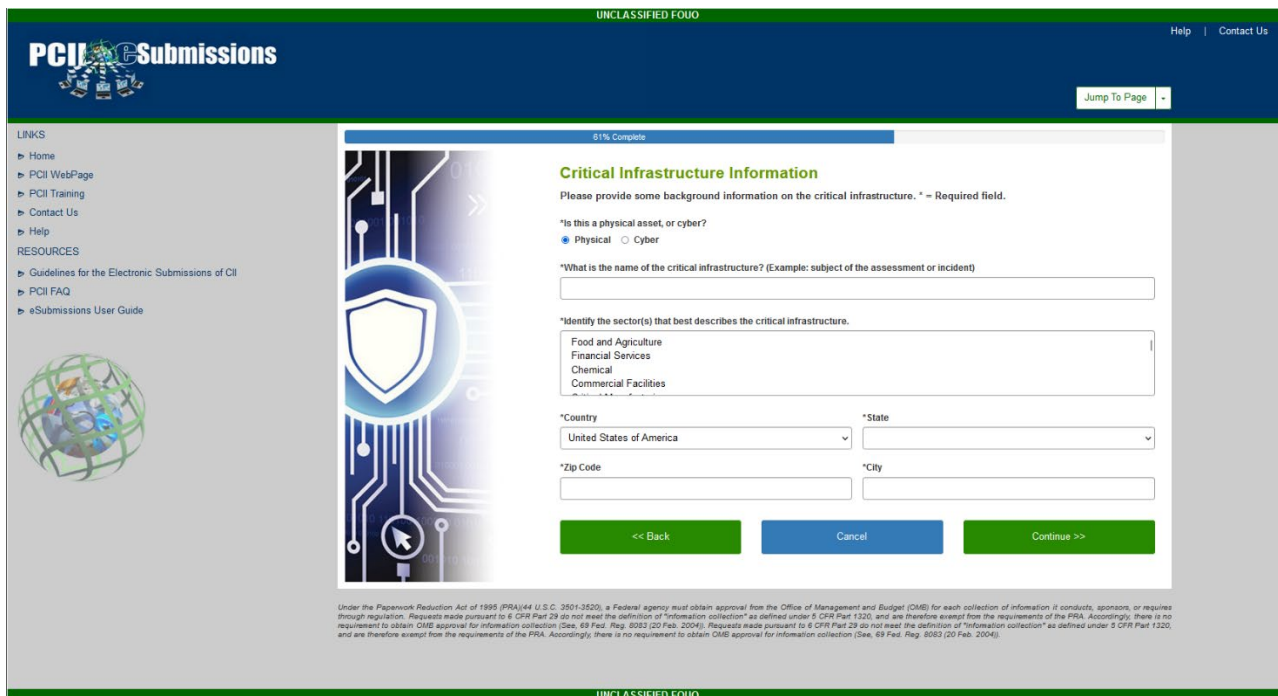
Figure 11: Critical Infrastructure Information

Express Statement: The submitter is required to select "Yes" to proceed then select "Continue" to proceed to the Certification Statement page.
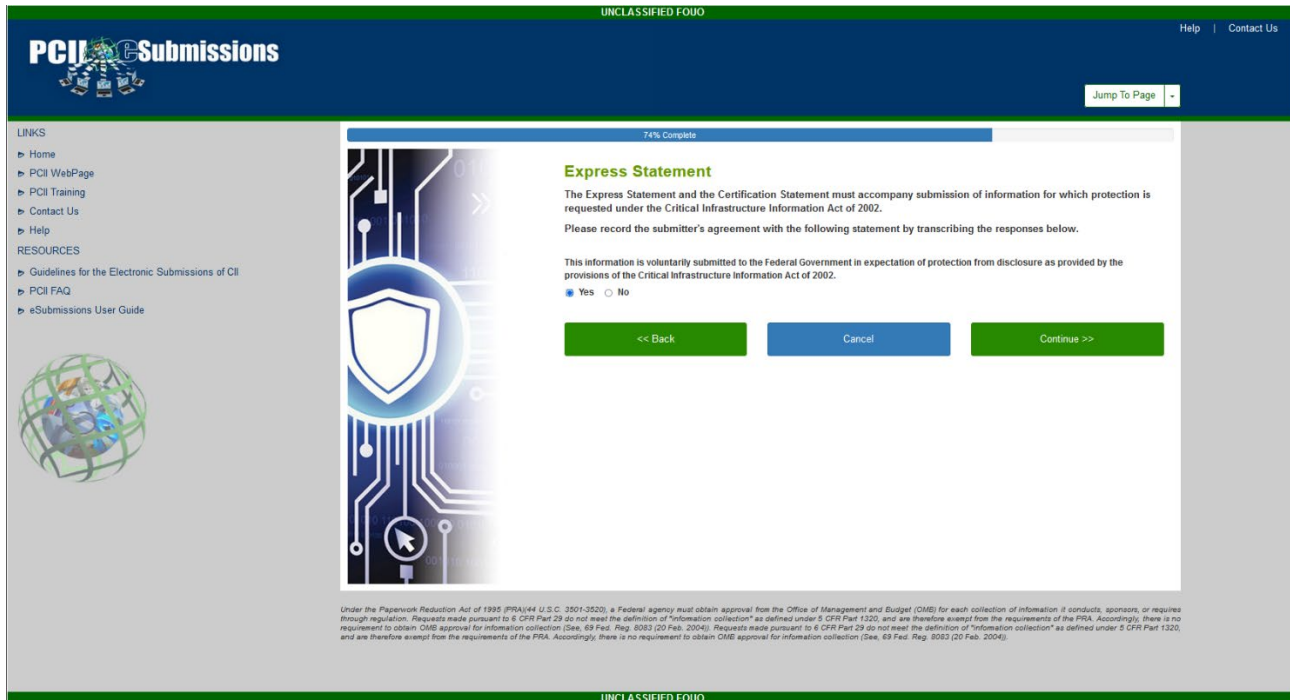
Figure 12: Express Statement

If the submitter selects "No," a warning message pops up informing the submitter that agreeing is a requirement to proceed. The pop-up provides the submitter the option to cancel the submission by selecting "Yes." If the submitter chooses not to cancel the submission, they must select "No" to return to the screen. If the user selects "Yes", all information entered is immediately deleted.
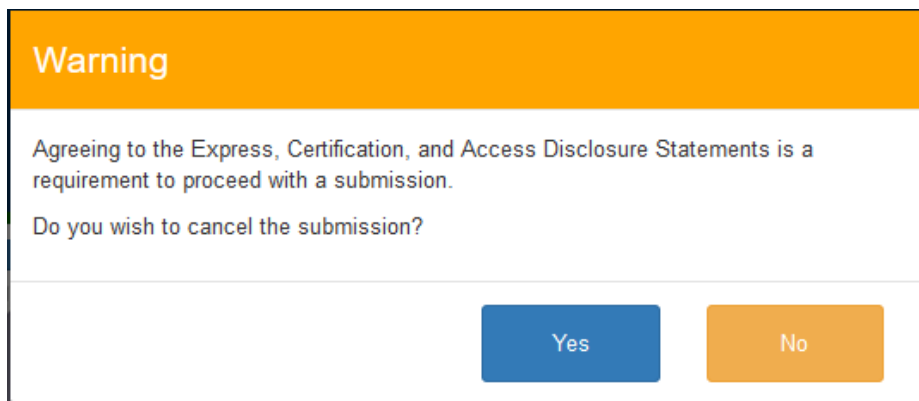
Figure 13: Express Statement - Warning

Certification Statement: The submitter must select their authorization for submitting the information, from the listed choices. The submitter must answer "Yes" by selecting "Yes" to proceed. The submitter then selects "Continue" to proceed to the Access Disclosure Statement page.

Figure 14: Certification Statement

Access Disclosure Statement: The submitter must acknowledge the Access Disclosure Statement by selecting "I Acknowledge the access disclosure statement" Once checked, the submitter selects "Continue" 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 the submission. Up to 100 files can be uploaded with a limit of up to 1 gigabyte (GB) size total. The submitter can drag files into the area designated for uploading files or select on the designated area to open the browser for selecting one or more files to be uploaded. The submitter must select "I attest the information I am uploading does not contain classified information" then select "Continue" to proceed to the Submission Overview page. Ensure all passwords (viewing/editing) are removed from document(s) before uploading.

Note: If more than 100 files are selected or the total size of the files selected exceeds 1GB, an error message pops up with an explanation of the error. The submitter must correct as appropriate and try again. If a submission exceeds 1GB, please contact the PCII Program Office to discuss other means to submit the information.
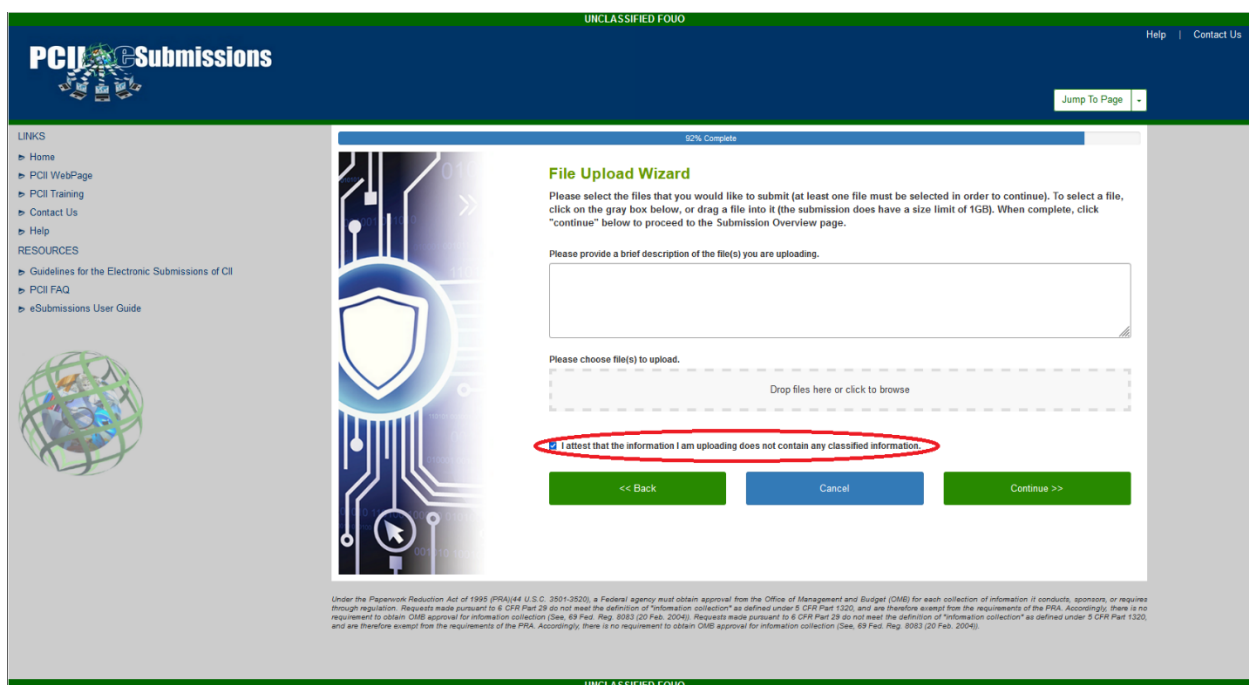
Figure 16: File Upload Wizard

Submission Overview:
The submitter can review all of their information for accuracy before selecting "Submit." All fields are in a "read-only" format. If the submitter needs to change any part of the submission, select "Edit" link on the Submission Overview page 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 scroll to the bottom of the page and select "Submit." The submitter sees 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 select "OK" to continue. If a file upload fails, a notification of which file(s) is included in the pop-up. The submitter then selects "OK" to continue and can submit again once they fix the failed file. The submitter is directed to the Submission Confirmed page.
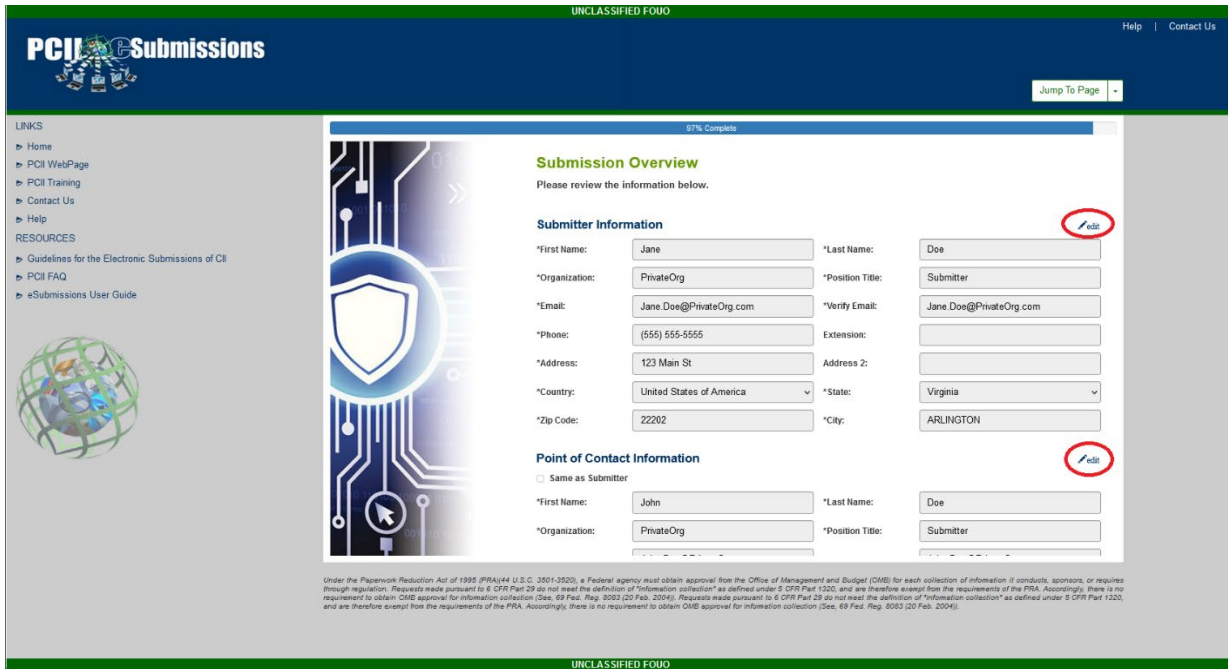
Figure 17: Submission Overview

Submission Confirmed: This page contains an automatically generated CII submission number. The submitter can return to the eSubmissions home page or begin a new submission. If beginning a new submission, the submitter is redirected to the "Submission Type" page by selecting "Begin New Submission.". All previous point of contact information entered is retained.

Otherwise, *all previous data input is purged* when selecting "Home" or exiting the page/closing the browser. The submitter receives an email notifying them of a successful submission.
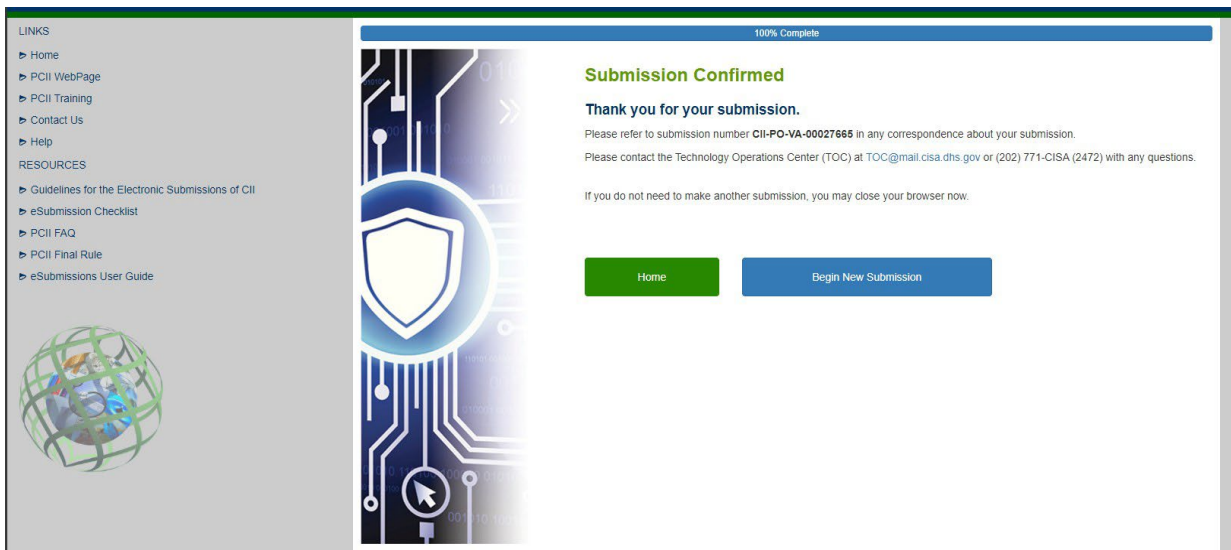
Figure 18: Submission Confirmed

3.5 Submitting CII as a Sponsor

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

Submission Type: If answering "NO", go to the next question by selecting "Continue."

Figure 19: Submission Type Question One "NO"

If answering "YES", the sponsor needs 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 selecting "Continue."

Figure 20: Submission Type Question One "YES"

Submitter Type: The sponsor will select 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. Selecting the Express Statement tab opens a new tab allowing a copy of the Express Statement to be downloaded and save it to their computer. The Adobe Acrobat Reader tab takes them to a new tab and allows 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 select "Continue" 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"

Figure 24: Express and Certification Statement Form

Submission Sponsor Information: The sponsor must complete all required fields. Then select "Continue" to proceed to the Submitter Information page.

Note: If required fields are not properly completed, a red error message appears beneath the field(s) notifying the sponsor what is required. The sponsor cannot proceed until all required fields are complete.

Figure 25: Submission Sponsor Information

Submitter Information: The sponsor must complete all required fields then select "Continue" to proceed to the Point of Contact information page.

Note: If selecting United States of America as the country, the system automatically populates 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 select "Same as Submitter" to automatically complete the submitter information entered on the previous screen. Then select "Continue" to proceed to the Nature of Submission page.

Figure 27: Point of Contact Information

Nature of Submission: The sponsor must complete all fields on the Nature of Submission page then select "Continue" to proceed to the Critical Infrastructure Information page.

Figure 28: Nature of Submission

<u>Note</u>: If selecting the "Tool Tip" icon located at the end of the sentence of the third section, a pop-up states, "Please describe any pending litigation related to this submission." Select "OK" to return to the screen.

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Figure 29: Litigation Information

Critical Infrastructure information: If the asset is Physical, the submitter must complete all fields on the Critical Infrastructure Information page. If the asset is Cyber, then the State/Province, Zip/Postal Code and City are not required. A Cyber asset is defined as a non-physical system such as computer software. The submitter must identify the sector that best describes the critical infrastructure sector being submitted.

<u>Note</u>: Multiple sectors **can be selected** by selecting one sector while holding the Ctrl Key and then selecting additional sector(s). Then select "Continue" to proceed to the Express Statement page.

Figure 30: Critical Infrastructure Information

Upload Express Statement: The sponsor selects the Express Statement box and uploads a copy of the submitter's Express and Certification statement from their computer then selects "Continue" to proceed to the File Upload Wizard page.
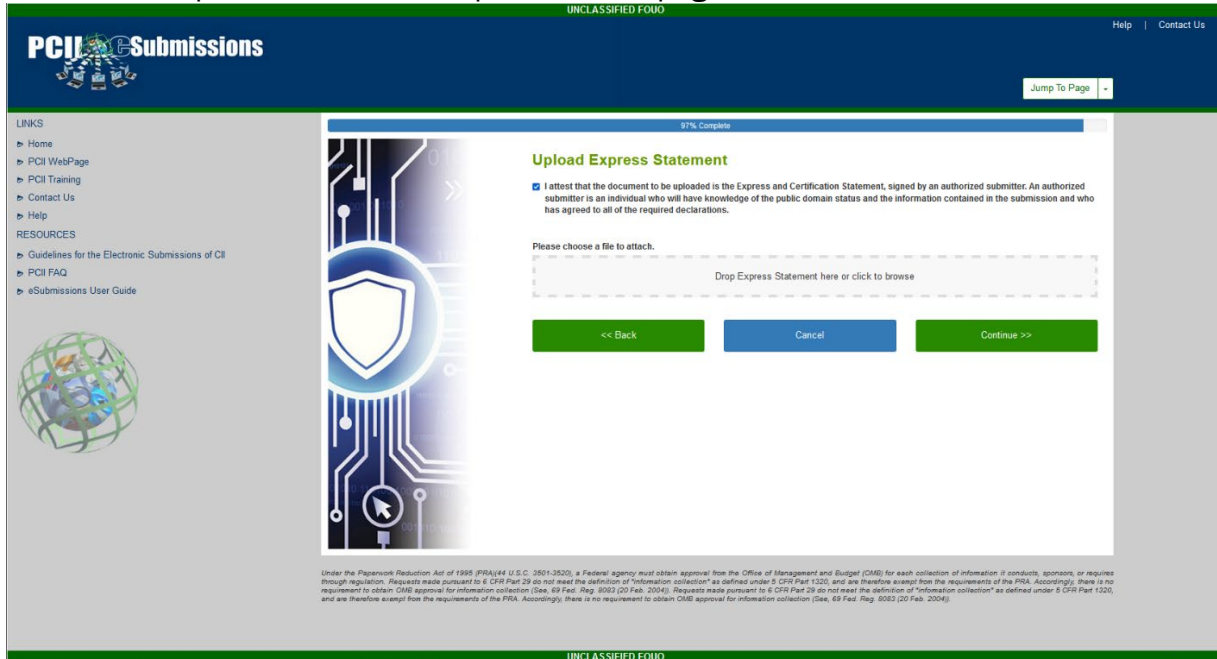
Figure 31: Upload Express Statement

File Upload Wizard: The sponsor must enter a brief description and upload at least one file in order to continue the submission. Up to 100 files can be uploaded with a limit of up to 1 gigabyte (GB) size total. The sponsor can drag files into the area designated for uploading files or select on the designated area to open the browser for selecting one or more files to be uploaded. The sponsor must select "I attest the information I am uploading does not contain classified information" then select "Continue" to proceed to the Submission Overview page. Ensure all passwords (viewing/editing) are removed from document(s) before uploading.

Note: If more than 100 files are selected or the total size exceeds 1GB, an error message pops up with an explanation of the error. The submitter must correct as appropriate and try again or contact the PCII Program Office to discuss other means to submit the information.

Figure 32: File Upload Wizard

Submission Overview:

The sponsor can review all information for accuracy before selecting "Submit." All fields are in a "read-only" format. If the sponsor needs to change any part of the submission, select "Edit" link on the Submission Overview page 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.
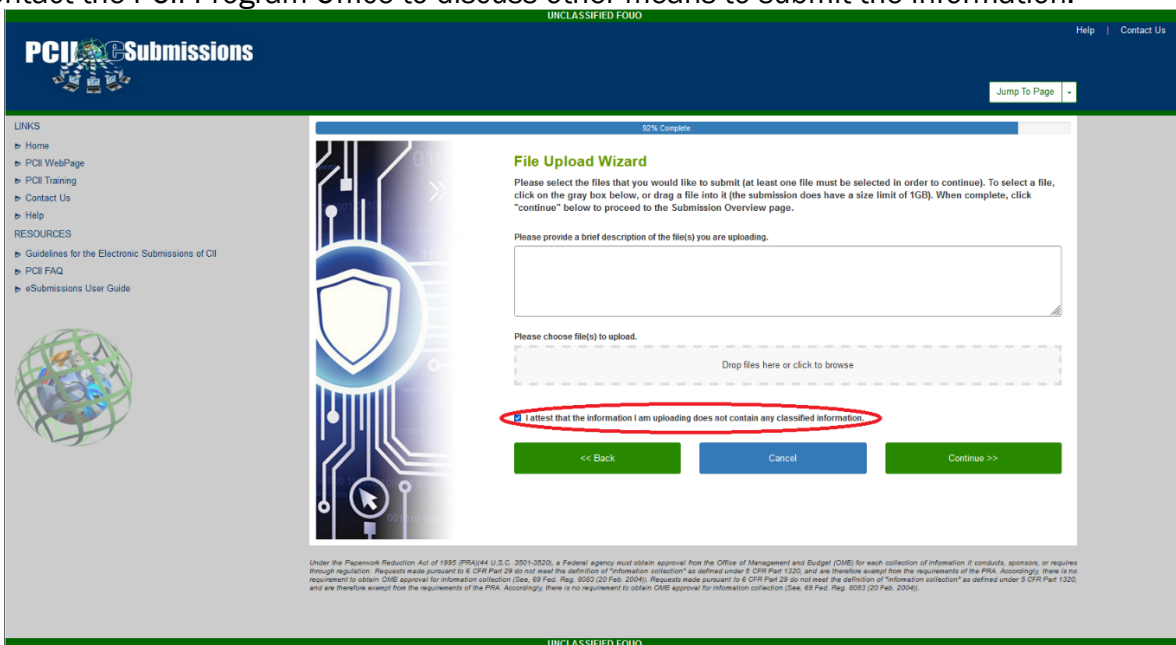
Once the sponsor is ready to submit their CII, scroll to the bottom of the page and select "Submit." The sponsor sees a pop-up showing the submission status. The Submission Status pop-up shows the form data and file uploads as either successful or not successful. If successful, the sponsor selects "OK" to continue. If a file upload fails, a notification of which file(s) is included in the pop-up. The sponsor then selects "OK" to continue and can submit again once they fix the failed file. The sponsor is directed to the Submission Confirmed page.

Figure 33: Submission Overview

Submission Confirmed: This page contains an automatically generated CII submission number. The sponsor can return to the eSubmissions home page or begin a new submission. If beginning a new submission, the sponsor is redirected to the "Submission Type" page by selecting "Begin New Submission." All previous point of contact information entered is retained. When selecting "Home" or exiting the page/closing the browser *all previous data input is purged*. The sponsor receives an email notifying them of a successful submission.
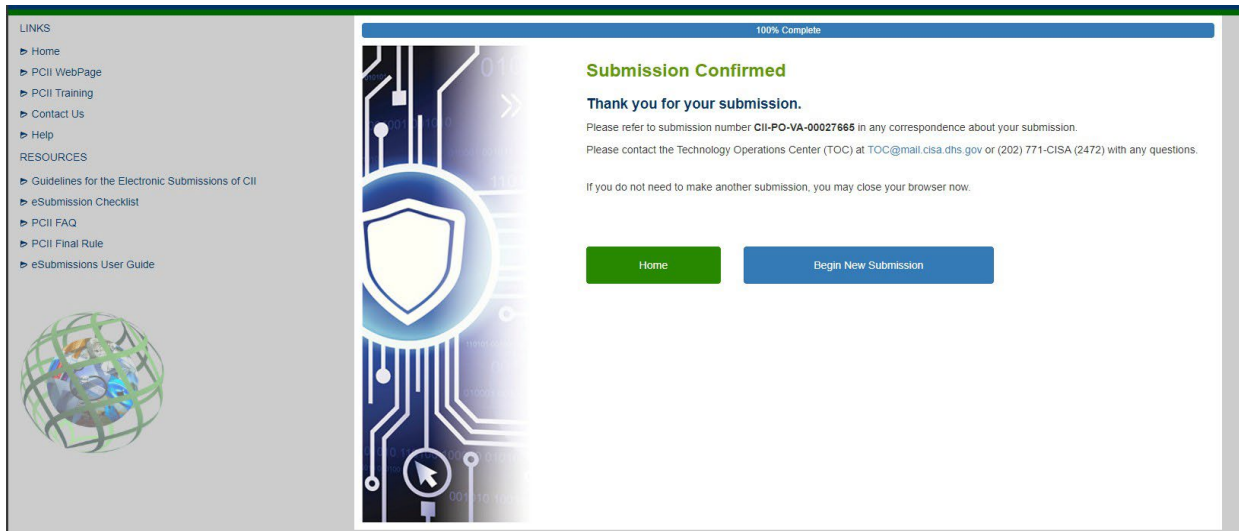
Figure 34: Submission Confirmed

eSubmissions automatically emails the sponsor and the submitter indicating the submission was successful.

4.0 Assistance and Additional Information

For PCII Program questions please contact the PCII Program Office at: PCII-Assist@cisa.dhs.gov

For additional information on the PCII Program please visit our website at: Protected Critical Infrastructure Information (PCII) Program | CISA

For any technical problems using this site, please contact the CISA Technology Operations Center at TOC@mail.cisa.dhs.gov.

Appendix: Acronym List

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