

CALEA ELECTRONIC FILING SYSTEM (CEFS) USER MANUAL



FEDERAL COMMUNICATIONS COMMISSION

45 L Street NE, WASHINGTON, DC 20554

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1. Introduction

The CALEA Electronic Filing System (CEFS)

In this manual, the Federal Communications Commission's Public Safety and Homeland Security Bureau (PSHSB or Bureau) provides instructional information regarding the Communications Assistance for Law Enforcement Act (CALEA) Electronic Filing System (CEFS).¹

In June 2022, the Bureau announced the launch of CEFS, a new filing system that allows covered entities to file System Security and Integrity (SSI) Plans confidentially and securely online, eliminating the need for paper filing.² The Bureau built CEFS on a platform that integrates with the Commission Registration System (CORES) to reduce the need for filers to re-enter basic information that CORES users have already provided to the Commission. As currently designed, the system allows covered entities to file SSI Plans electronically and to retrieve, view, and update their SSI Plans filed via CEFS. CEFS encourages timely filings of new SSI Plans and updated SSI Plans and reduces the risk of filing errors that require re-submission.

In the *CEFS Announcement Public Notice*, the Bureau stated that electronic filing of SSI Plans in CEFS would initially be voluntary and proposed to make electronic filing mandatory six months later.³ On December 12, 2022, the Bureau announced the availability of CEFS for voluntary filing of SSI Plans. The transition period provided the Bureau with the opportunity to implement enhancements to ensure that CEFS is operating effectively and efficiently when mandatory electronic filing takes effect.

On May 15, 2023, the Bureau released an order amending the Commission's rules to require electronic filing of new and updated SSI Plans by entities subject to CALEA.⁴ Subsequently, the Bureau released a Public Notice announcing the June 29, 2023 effective date for mandatory electronic filing of CALEA SSI Plans for entities subject to CALEA requirements, and that public notice and related frequently asked questions can be found on the CALEA webpage: <https://www.fcc.gov/calea>. Covered entities that have already filed their SSI Plans by paper are not required to re-file them in CEFS, unless and until the covered entity's SSI Plan needs to be updated. Parties submitting paper filings after June 29, 2023, when mandatory filing took effect, will receive a notification to submit the SSI Plan electronically through CEFS. Filers may continue to request confidential treatment by uploading their statement to CEFS justifying confidentiality under section 0.459 of the Commission's rules.⁵ If requesting confidential treatment, such requests must identify the specific information for which confidential treatment is sought.

The CALEA webpage can be found at: <https://www.fcc.gov/calea> and includes information, including a new checklist for filers to help ensure that SSI Plans comply with the Commission's rules. This new checklist is also available in the Appendix of this CEFS User Manual.

¹ CEFS is available at: <https://www.fcc.gov/cefs>.

² See *Public Safety Homeland Security Bureau Provides Information on Implementation of Voluntary Electronic Filing of CALEA System Security and Integrity Plans and Seeks Comment on Mandatory Electronic Filing*, Public Notice, DA 22-592 (PSHSB rel. June 1, 2022) (*CEFS Announcement Public Notice*).

³ See *Public Safety Homeland Security Bureau Announces Availability Of CALEA Electronic Filing System (CEFS) For Voluntary Filing Of System Security And Integrity Plans*, Public Notice, DA 22-1299 (PSHSB rel. Dec. 12, 2022) (*CEFS Implementation Public Notice*).

⁴ See *Communications Assistance for Law Enforcement Act Electronic Filing System (CEFS)*, PS Docket No. 22-217, Order, DA 23-392 (PSHSB 2023) (*CALEA SSI Plan Mandatory Electronic Filing Order*).

⁵ See 47 CFR § 0.459.

CALEA Background

The Communications Assistance for Law Enforcement Act (CALEA) governs the technical aspects of wiretapping. CALEA requires covered entities to implement certain technical capabilities into their networks to ensure that when they are served with a court order for lawful surveillance, their networks can isolate communications identified in the court order, and deliver the communications to the law enforcement agency named in the order.⁶ Under 47 U.S.C. § 1004, telecommunications carriers are required to establish protocols to ensure they can provide those wiretaps while simultaneously safeguarding the security and integrity of their systems to prevent unauthorized intercepts of customer communications. Section 229(b) of the Communications Act, 47 U.S.C. § 229(b), requires all telecommunications carriers to file SSI Plans with the Federal Communications Commission (Commission).

In 1999, the Commission first specified the requirements for telecommunications carriers' SSI Plans. In 2006, the Commission expanded CALEA's coverage to require facilities-based broadband Internet access providers and interconnected Voice over Internet Protocol (VoIP) service providers to also file SSI Plans. For purposes of this CEFS user manual, "covered entities" refers to entities subject to CALEA. Pursuant to section 1.20005 of the Commission's rules, all entities subject to CALEA must file their SSI Plans prior to commencing service and must re-file a complete updated SSI Plan within 90 days following any changes to information contained in a previously filed SSI Plan. All SSI Plans must contain all information listed under sections 1.20003 and 1.20004 of the Commission's rules, 47 CFR §§ 1.20003 and 1.20004.

⁶ 47 U.S.C. § 1002.

2. Getting Set Up

2.1 First Time CEFS Users Without an Existing FCC User Registration

If you wish to conduct business with the Commission, you must first create an account with a unique username and password. The FCC User Registration refers to registrant's FCC username and password. The Commission will use your FCC username to identify you in all transactions with the Commission. If you have an FCC username and password, proceed to Section 2.3 below regarding FCC Registration Number. If you do not already have an FCC username and password, you must create an account prior to logging into CEFS.

Go to the FCC User Registration System link:

<https://apps2.fcc.gov/fccUserReg/pages/createAccount.htm>. The Create Account screen, shown below, should appear. Enter all required information and select the Create Account button at the bottom of the screen.



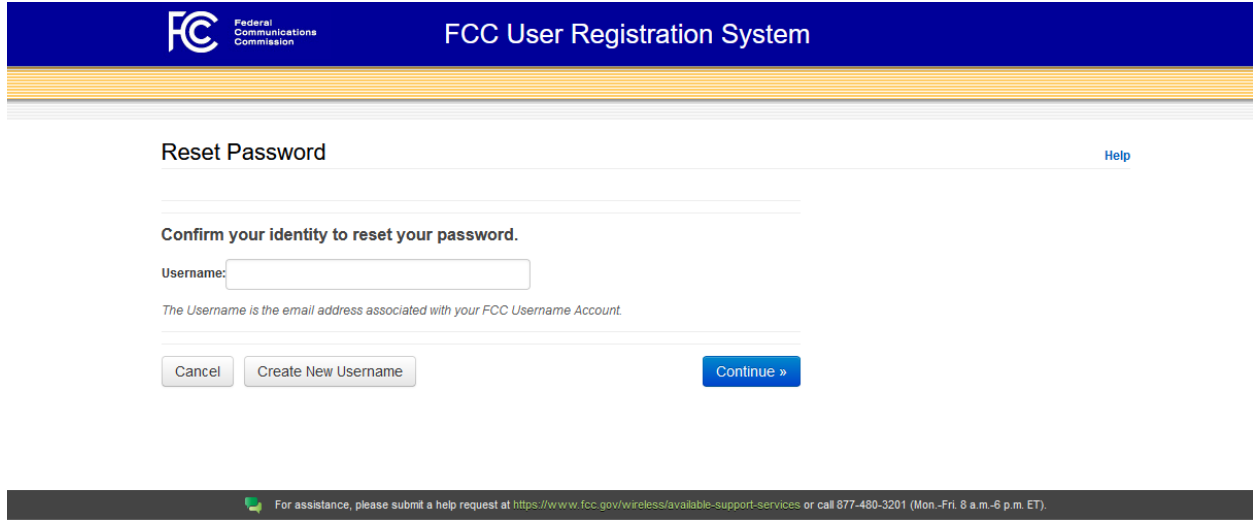
The screenshot shows the 'FCC User Registration System' header with the FCC logo. Below the header is a section titled 'Create New Account'. A note indicates that an asterisk (*) denotes a required field. The main section is 'Enter Username and Password'. It includes instructions: 'Please enter a valid email address. This email address will be used as your username when logging in to the FCC User Registration System and other systems using an FCC Username Account. Any notifications relating to your Username Account will be sent to the email address provided.' The form contains four input fields: '* Username:' with a 'Check Availability' button, '* Confirm Username:', '* Password:', and '* Confirm Password:'. A link is provided for a full list of allowable special characters.

2.2 Resetting Lost FCC User Registration Passwords

To change your FCC User Registration login password, go to the following link:

<https://apps2.fcc.gov/fccUserReg/pages/reset-passwd-identify.htm>

This will take you to the Reset Password screen as shown below:



Reset Password Help

Confirm your identity to reset your password.

Username:

The Username is the email address associated with your FCC Username Account.

For assistance, please submit a help request at <https://www.fcc.gov/wireless/available-support-services> or call 877-480-3201 (Mon.-Fri. 8 a.m.-8 p.m. ET).

Enter the email address associated with your FCC User Registration account and press the “Continue” button, then follow the instructions.

2.3 First Time CEFS Users Without an Associated or Existing FCC Registration Number

To use CEFS, you must associate the FCC User Registration described in Section 2.1 “Getting Set Up” above with the FCC Registration Number (FRN) of the covered entity filing the SSI Plan. Commission rules require an FRN to be supplied by anyone doing business with the Commission. Any business or individual wishing to conduct business with the Commission must register through the Commission Registration System (CORES) to obtain an FRN. The FRN refers to a 10-digit number used to identify the registrant’s business dealings with the Commission.

If you do not associate your FCC User Registration with the covered entity’s FRN, or if the covered entity does not have an FRN, go to the following link to access the CORES and login with your FCC User Registration⁷ where prompted:

<https://apps.fcc.gov/cores/userLogin.do>

Once logged in to CORES, select either the option to “Associate Username to FRN” or “Register New FRN” as shown below and follow the instructions.

Select one of the following:

[Associate Username to FRN](#) Link your registered username to an existing FRN.

[Manage Existing FRNs & FRN Financial](#) Manage FRN information, view Red & Green light status, and view & make payments.

[Register New FRN](#) Register and receive a new FRN (including Restricted Use Frn).

[Reset FRN Password](#) Reset/update your FRN password.

[Search for FRN](#) Search for public FRN information.

[Update Username Profile](#) Update your username profile.

In order to provide new staff access to a FRN account, the FRN account owner must take the following steps:

1. Login to CORES.
2. Click [Managing Existing FRNs & FRN Financial](#) as shown above.
3. Then, click [Manage FRNs](#).
4. On the Administer Tab, click [List Users](#).
5. Click [Add a User](#)

⁷ For additional information, refer to <https://apps.fcc.gov/cores/publicHome.do?faq=true&csrfToken=> and the new Commission Registration System FAQ <https://www.fcc.gov/licensing-databases/commission-registration-system-fcc> (last visited on Dec. 1, 2023).

2.4 Trusted Third Parties (TTP) Filing on Behalf of Covered Entities, and Filing on behalf of multiple entities

Entities subject to CALEA remain responsible for ensuring they are meeting all their obligations under CALEA even when employing a TTP. TTPs refer to entities that provide compliance services to entities subject to CALEA (e.g., “covered entities” for purposes of this manual). CALEA requirements apply to covered entities, not the TTPs. There is no registration requirement to provide TTP services.

In order for a TTP to file an SSI Plan for an entity subject to CALEA, the TTP will need to take the following steps:

1. TTP will need to create their own CORES account.
2. TTP will need to request FRN access from the entity subject to CALEA in the CORES system.
3. TTP must obtain the covered entity’s FRN access approval. The TTP must obtain approval from each of the covered entities that the TTP will file plans for moving forward. The TTP must confirm that approval at system level shows at login to CEFS. Approval at the system level will mean the covered entity’s FRN is now associated with the TTP’s registered account.
4. The TTP’s access approval can be confirmed once a TTP logs into CEFS and selects the covered entity’s FRN. The FRN will populate in the drop-down window after following all the steps in this process. **Note:** If a TTP has its own CORES username, and the covered entity has its own FRN, the covered entity can log in to CORES and add or approve the TTPs username registration as formally “associated” with the FRN. In other words, the TTP can now file in CEFS for the covered entity with the covered entity’s FRN.

Filing on behalf of multiple entities (also known as batch filing)

- When a filer, including a TTP, is filing on behalf of multiple commonly owned companies with the same CALEA Point of Contact, the filer must first be associated to the FRNs of each commonly owned company they are attempting to file for in CEFS. See instructions above.
- To make the association, the filer must submit an FRN association request for each commonly owned company through CORES. Once the association is completed, an automated email is sent to the requesting user notifying them their username is now associated to the FRN.
- A filer can also tell if an FRN has been successfully associated to their account if they go into CEFS and are able to see the requested FRN in the their drop down choices.
- If an FRN that you have requested does not show up on CEFS for you, then the Request has not been approved yet.
- To expedite the FRN association approval request process, you may contact the company that owns the FRN to review your request inside of CORES.
- Only the owner of the FRN can approve the association request.
- If the filer does not have appropriate FRN associations for all of the affiliates, he/she will need to file SSI Plans separately.

If you are filing on behalf of multiple entities, see Section 4.1 (that covers submitting your SSI Plan) for additional information.

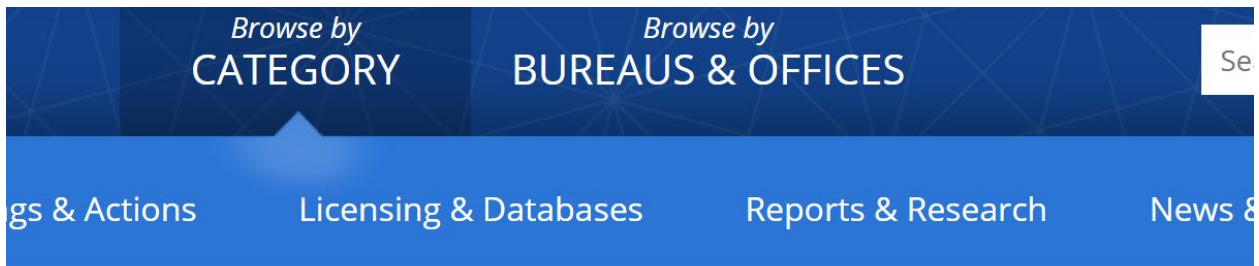
Filers experiencing technical difficulties using the CEFS system or CORES should call the FCC Licensing Support Center at 877-480-3201, or submit an [online help request form](#).

3. Accessing CEFS

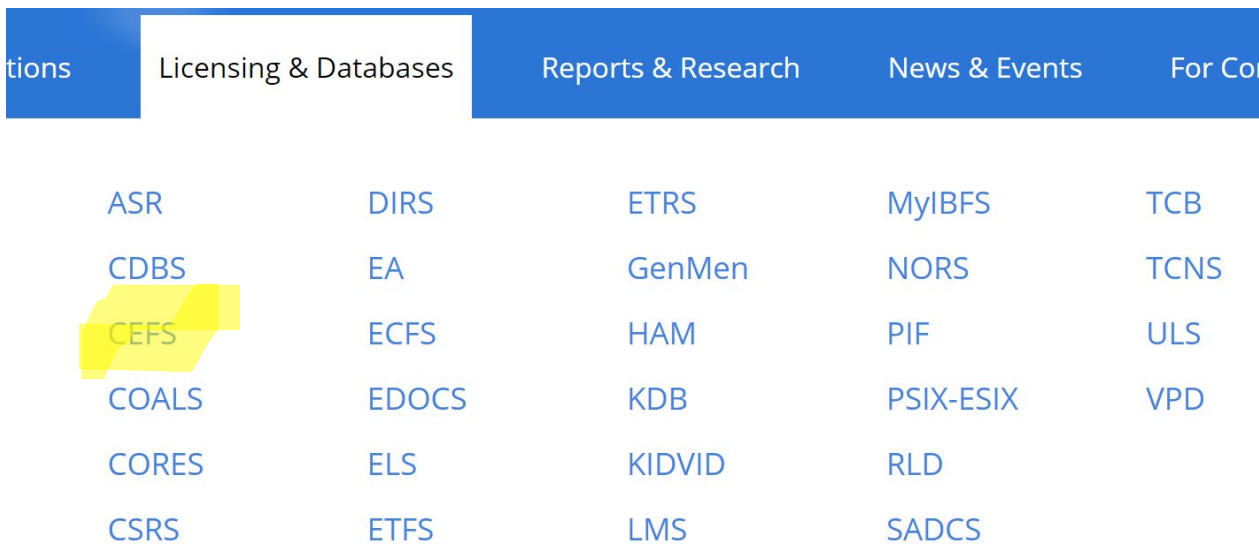
3.1 Locating CEFS

To locate the CEFS application:

1. Go to the FCC homepage: <https://www.fcc.gov/>.
2. Click on the Browse by Category menu located at the top of the page.
Note: This menu allows users to view six separate drop-down menus.
3. Click on Licensing & Databases, shown here:



4. Click on the CEFS link, which will appear among the list of databases:



Note: As an alternate to steps 1-4, you can also access CEFS by clicking or inserting the following URL into a browser: <https://www.fcc.gov/licensing-databases/fcc-user-login>

3.2 Sign-In to CEFS

Selecting the FCC CEFS link connects you to the FCC User Sign-in page, shown below:

Home / Licensing & Databases /

FCC User Sign-in

Licensing & Databases

- Overview
- About Licensing
- Databases
- Fees
- Forms
- FCC Registration System (CORES)
- System Alerts & Notifications

Use of This System is for FCC-Authorized Purposes Only.

You are accessing a U.S. Government information system provided by the Federal Communications Commission for FCC-authorized users only. All communications occurring on this information system are subject to be monitored, recorded, and audited, therefore you have no reasonable expectation of privacy regarding any communications or data transmitted or stored on this information system.

Unauthorized or improper use of the information system or information stored on this information system is prohibited and subject to criminal, civil, and/or administrative penalties. Any data transmitted or stored on this information system may be disclosed to law enforcement or other Federal agencies or their contractors in the course of conducting an investigation or other forensic analysis.

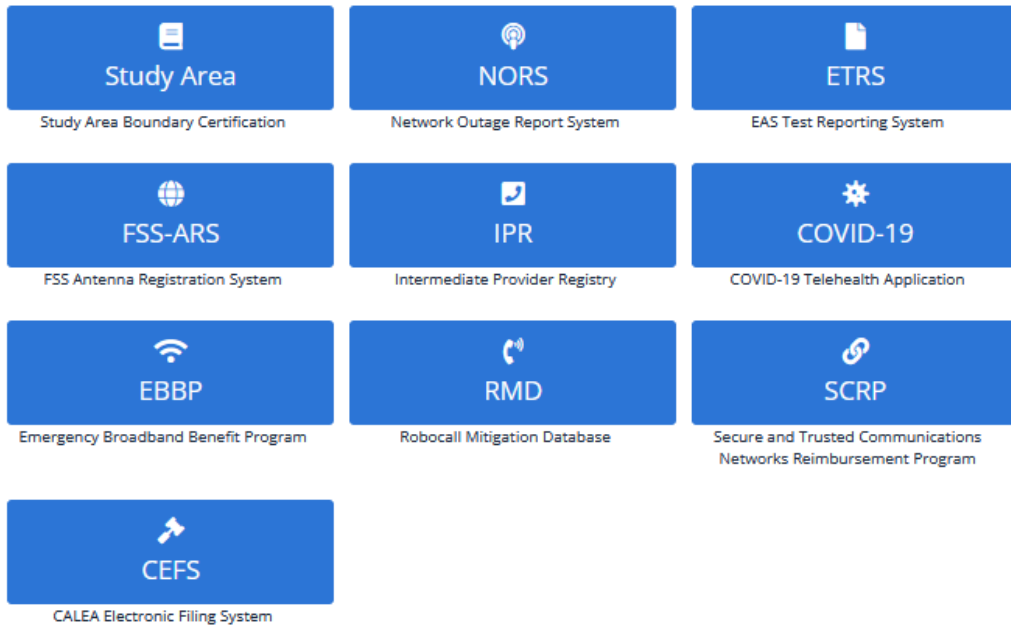
USE OF THIS INFORMATION SYSTEM INDICATES CONSENT TO MONITORING AND RECORDING

- To register for a FCC username account, licensees should follow the instructions provided here: https://apps.fcc.gov/cores/html/Register_New_Account.htm.
- To associate the user account with an FRN, licensees should follow the instructions provided here: https://apps.fcc.gov/cores/html/Associate_Username_to_FRN.htm

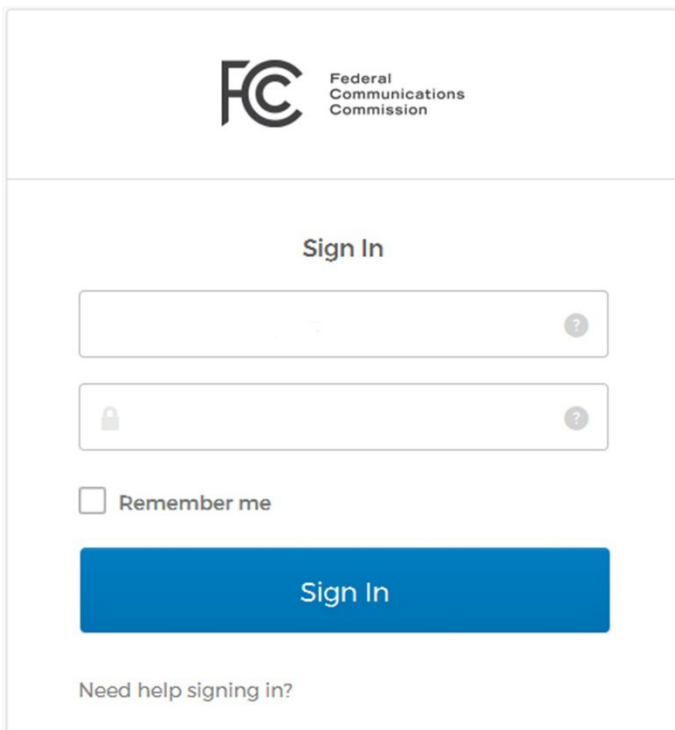
Note: Be sure to collect any information you might need to input for your covered entity because CEFS sessions time out after 30 minutes.

At the bottom of that page will be a link to enter CEFS and file your SSI Plan as shown below:

Please select a system below to sign-in.

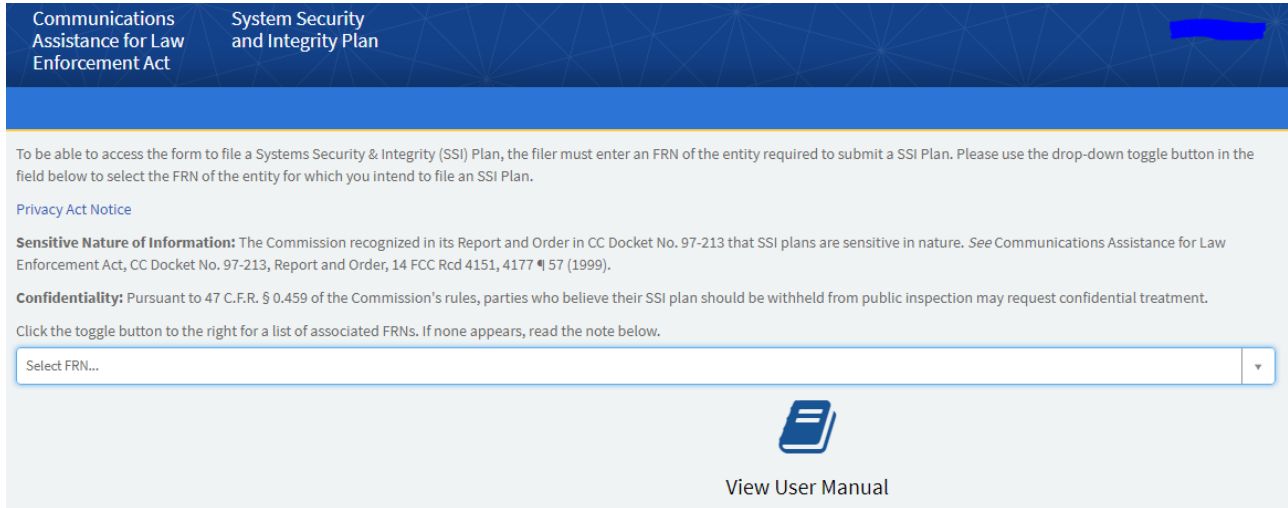


Click on the CEFS icon and the login screen will appear as shown below. Enter your FCC User Registration login and password.



3.3 Entering CEFS User's FCC Registration Number

Upon logging in with your FCC User Registration username and password, you will be prompted to select an FRN as shown in the image below. The FRNs in the drop down are the FRNs that are associated to your FCC user registration. If there are no FRNs available in the drop down, you will need to consult with the covered entity you are filing for, to associate to the covered entity's FRN. The landing page provides a link that will redirect you to CORES to login and initiate the request to associate to a covered entity's FRN.



The screenshot shows a web interface with a dark blue header. On the left, it says "Communications Assistance for Law Enforcement Act" and "System Security and Integrity Plan". On the right, there is a redacted area. Below the header, there is a light gray box containing instructions: "To be able to access the form to file a Systems Security & Integrity (SSI) Plan, the filer must enter an FRN of the entity required to submit a SSI Plan. Please use the drop-down toggle button in the field below to select the FRN of the entity for which you intend to file an SSI Plan." Below this is a "Privacy Act Notice" link. Then, there are two paragraphs of text: one about the "Sensitive Nature of Information" and another about "Confidentiality". Below the text is a dropdown menu with the placeholder text "Select FRN...". To the right of the dropdown is a small downward arrow icon. Below the dropdown is a blue icon of a document with a checkmark, and the text "View User Manual".

Once you select an FRN for the covered entity in which you are filing for, a “File SSI Plan” icon will appear. Click “File SSI Plan” to access the portal intake form for submitting the covered entity’s SSI Plan.

The screenshot displays the top navigation bar with 'Communications Assistance for Law Enforcement Act' and 'System Security and Integrity Plan'. Below the header, there is a text instruction: 'To be able to access the form to file a Systems Security & Integrity (SSI) Plan, the filer must enter an FRN of the entity required to submit a SSI Plan. Please use the drop-down toggle button in the field below to select the FRN of the entity for which you intend to file an SSI Plan.' This is followed by a 'Privacy Act Notice' link and two informational paragraphs: one regarding the 'Sensitive Nature of Information' and another about 'Confidentiality'. Below the text is a search input field containing '0019376870' with a clear button and a dropdown arrow. At the bottom of the interface are two buttons: 'File SSI Plan' with a document icon and 'View User Manual' with a manual icon.

If the covered entity associated with the FRN entered into the CEFS database has multiple FRNs in CORES, there should be a drop-down list of FRNs that allow you to select the appropriate FRN associated with the covered entity for which SSI-plan information is to be supplied.

Once you select the FRN, and click on the SSI Plan icon, the form will load, and the screen should populate fields showing the information associated with that FRN (the “FRN Data fields”).

CEFS should then present you with two options to identify the covered entity filing the SSI plan (the “Filing Entity fields”). Either (1) rely on the covered entity name displayed in the FRN Data Fields to populate the Filing Entity Fields; or (2) manually enter into the Filing Entity Fields the name of the covered entity filing the SSI plan.

4. Submitting System Security and Integrity (SSI) Plans

4.1 Covered Entity FRN Information

Once the user accesses the intake form, all information associated to the FRN record that the user chose on the landing page will prepopulate in the “Business Contact” fields. The contact information for the person doing the filing will populate in the “Filer” fields which is linked to the CORES account of the user doing the filing. The user has the option to move forward with the information presented by keeping “Rely on the company name displayed” button clicked. All fields will remain grayed out.

If the user wants to change any information, click the button that reads “Manually enter the name of the company for which the SSI plan is being filed.” “Carrier Name,” “Carrier Phone Number,” and “Carrier Email” are all required fields to be able to submit the form as shown below.

Communications Assistance for Law Enforcement Act
SSI Plan Submission Form (Approved by OMB 3060-080 - Expires: October 31, 2025
Estimated time per Response: 7.5)

See Bottom of Form for Public Burden Estimate

* FRN
0000013748

Are you filing this form on behalf of a carrier (e.g., are you an independent contractor or consultant that a carrier has hired to file its SSI Plan)?

Yes, a third party is filing on behalf of a carrier
 No, the carrier is filing on its own behalf

Are you filing on behalf of multiple commonly owned companies with the same CALEA Point of Contact? If Yes, please select all company FRNs that apply from the drop down window below.
(Please note that a SSI Plan filed on behalf of affiliates is required to be filed under the parent company name and FRN, and your username needs to be associated with all of the FRNs for all companies selected. If your username is not associated with the companies, please file SSI Plans separately in CEFS. See landing page and user manual for additional information.)

Yes, this SSI Plan is filed under parent company FRN for multiple Affiliates.
 No, I am not filing on behalf of affiliates too.

Are you filing a New or Amended SSI Plan?

New
 Amended

Is the contact information listed in the fields below accurate?

Yes - Rely on the data displayed in the contact fields below
 No - Manually change or update the data displayed in the contact fields below

Note: If you are filing on behalf of a carrier (e.g., as an independent contractor or consultant), you will be required to manually complete the “Filer Contact” information below before you will be able to submit this form.

Business Contact Information of Entity for which SSI Plan is Being Filed	Business Contact Information of Filer if Different than Entity for which SSI Plan is Being Filed (e.g. hired consultant or contractor)
* Carrier Name	* Filer Business Name
* Carrier Phone	* Filer Business Phone #
* Carrier Email	* Filer Business Email
* Carrier Address	* Filer Business Address
Carrier Address 2	Filer Business Address 2
* Carrier City	* Filer Business City
* Carrier State	* Filer Business State
* Carrier Zip Code	* Filer Business Zip Code

Note: All contact information entered will be used to reach out to applicable parties if form data is incorrect after submission.

Note: All the fields are required except Address 2. Before external users submit the form, they need to make sure that all information is filled in correctly.

Alternatively, if the filer is submitting on behalf of multiples covered entities, the filer would mark yes and choose entities from the “List Affiliates” drop down window. See below.

Subsequently, affiliate details should populate underneath in the “Affiliate Details” field to confirm your selection. Please be sure the correct entity is selected. See below.

Are you filing this form on behalf of a carrier (e.g., are you an independent contractor or consultant that a carrier has hired to file its SSI Plan)?

Yes, a third party is filing on behalf of a carrier

No, the carrier is filing on its own behalf

Are you filing on behalf of multiple commonly owned companies with the same CALEA Point of Contact? If Yes, please select all company FRNs that apply from the drop down window below. (Please note that a SSI Plan filed on behalf of affiliates is required to)

Yes, this SSI Plan is filed under parent company FRN for multiple Affiliates.

No, I am not filing on behalf of affiliates too.

* List affiliates.

Affiliate Details

4.2 CALEA SSI Policies and Procedures

The remainder of the fields on the intake form (see image below) requests information to help ensure compliance with certain CALEA SSI requirements in the Commission’s rules. CEFS requires the filer to proceed through the form and enter information in all text fields shown below. This information can and should come directly from the covered entity’s copy of their SSI Plan. **Please do not write “see attached” in the CEFS fields.** We strongly recommend that filers review the checklist on the CALEA webpage: <https://www.fcc.gov/calea> under the FAQ, “Is a certain format required for SSI Plans?” to avoid the need to modify the SSI Plan. While there is no specific template, this checklist provides helpful guidance. For convenience, the checklist is also provided at the end of this manual in the Appendix.

Enter the following information required to be submitted to the FCC by 47 C.F.R. § 1.20003 and 1.20004:

* 47 C.F.R. § 1.20003 (a): “Appoint a senior officer or employee responsible for ensuring that any interception of communications or access to call-identifying information effected within its switching premises can be activated only in accordance with a court order or other lawful authorization and with the affirmative intervention of an individual officer or employee of the carrier”

Paste or enter the relevant language from the SSI policy and procedures document appointing the senior officer or employee responsible for ensuring that any interception of communications or access to call-identifying information effected within its switching premises can be activated only in accordance with a court order or other lawful authorization and with the affirmative intervention of an individual officer or employee of the carrier.

* 47 C.F.R. § 1.20003 (b)(1): “A statement that carrier personnel must receive appropriate legal authorization and appropriate carrier authorization before enabling law enforcement officials and carrier personnel to implement the interception of communications or access to call-identifying information”

Paste or enter the relevant statement from the SSI policy and procedures document stating that carrier personnel must receive appropriate legal authorization and appropriate carrier authorization before enabling law enforcement officials and carrier personnel to implement the interception of communications or access to call-identifying information.

* 47 C.F.R. § 1.20003 (b)(2): “An interpretation of the phrase “appropriate authorization” that encompasses the definitions of appropriate legal authorization and appropriate carrier authorization, as used in paragraph (b)(1) of this section [1.20003]”

Paste or enter the relevant statement from the SSI policy and procedures document that interprets the phrase “appropriate authorization” that encompasses the definitions of appropriate legal authorization and appropriate carrier authorization, as used in paragraph (b)(1) of this section [1.20003].

* 47 C.F.R. § 1.20003 (b)(3): “A detailed description of how long it will maintain its records of each interception of communications or access to call-identifying information pursuant to §1.20004”

Paste or enter the relevant language from the SSI policy and procedures document that provides a detailed description of how long [the responding entity] will maintain its records of each interception of communications or access to call-identifying information pursuant to §1.20004.

47 C.F.R. § 1.20003 (b)(4): “In a separate appendix to the policies and procedures document:”

* 47 C.F.R. § 1.20003 (b)(4)(i): “The name and a description of the job function of the senior officer or employee appointed pursuant to paragraph (a) of this section”

Paste or enter the information from the appendix to the policy and procedures documents that states the name and a description of the job function of the senior officer or employee appointed pursuant to paragraph (a) of FCC Rule 1.20003.

* 47 C.F.R. § 1.20003 (b)(4)(ii): “Information necessary for law enforcement agencies to contact the senior officer or employee appointed pursuant to paragraph (a) of this section or other CALEA points of contact on a seven days a week, 24 hours a day basis” (include Company Name, CALEA contact information for 24/7 POC, Phone Numbers, and Email Address).

Paste or enter the information from the appendix to the policy and procedures documents that provides information necessary for law enforcement agencies to contact the senior officer or employee appointed pursuant to paragraph (a) of FCC Rule 1.20003 or other CALEA points of contact on a seven days a week, 24 hours a day basis.

* 47 C.F.R. § 1.20003(c): “Report to the affected law enforcement agencies, within a reasonable time upon discovery: (1) Any act of compromise of a lawful interception of communications or access to call-identifying information to unauthorized persons or entities; and (2) Any act of unlawful electronic surveillance that occurred on its premises.”

Paste or enter information from policy and procedures documents summarizing the process for reporting an act of compromise of a lawful interception of communications, pursuant to 47 C.F.R. § 1.20003(c).

* 47 C.F.R. § 1.20004 Maintaining secure and accurate records: “A telecommunications carrier shall maintain a secure and accurate record of each interception of communications or access to call-identifying information, made with or without appropriate authorization, in the form of single certification.”

Paste or enter a summary from policy and procedures documents detailing the information included in maintaining a secure and accurate record of each interception of communications or access to call-identifying information, made with or without appropriate authorization, pursuant to 47 C.F.R. § 1.20004.

The last question on the form requires the user to select either the “Yes” or “No” button for confidential treatment. If “Yes” is selected, an additional attachment requesting confidential treatment is required. Move to next section to learn how to upload attachments.

* Do you request confidential treatment under 47 CFR § 0.459?

Yes No

Note: If requesting confidential treatment, such requests must address the substantive criteria in section 0.459(b) of the Commission’s rules.

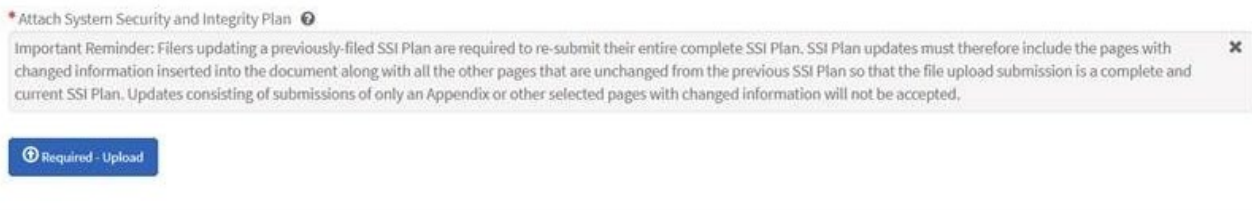
5. Attachments

5.1 SSI Plan File

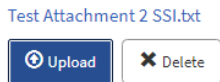
A soft copy of the SSI Plan that the covered entity will be keeping on file is required to be attached to the intake form. This uploaded copy of the SSI Plan must describe all SSI information, policies, procedures, and recordkeeping compliance requirements specified at 47 CFR §§ 1.20003 and 1.20004, including all descriptions separately entered in the intake form.

File name: Before uploading your SSI Plan to CEFS, be sure to include the following descriptive elements in the file name: "XYZ Company System Security and Integrity Plan" or "XYX SSI Plan."

Click the 'Required-Upload' button at the bottom of the form under the line that reads, "Attach System Security and Integrity Plan" and the "Important Reminder" information as shown below.



If you upload an incorrect file and would like to upload a new one, you can delete the attachment by clicking the "X Delete" button to the bottom right of the attachment.

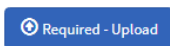


5.2 Confidential Treatment Justification

If requesting confidential treatment, such requests must identify the specific information for which confidential treatment is sought.

If you select "Yes" to requiring confidential treatment under 47 CFR § 0.459, the intake form will require you to upload a justification document. To upload this document, click the "Required-Upload" button under the line that reads, "Because you have selected 'Yes' as a response to the question asking if you seek confidential treatment under 47 CFR § 0.459, please submit a justification for confidential treatment in addition to your SSI Plan."

* Because you have selected 'Yes' as a response to the question asking if you seek confidential treatment under 47 CFR § 0.459, please submit a justification for confidential treatment in addition to your SSI Plan.



If you upload an incorrect file and would like to upload a new one, you can delete the attachment by clicking the “X Delete” button to the bottom right of the attachment.

At this point, you should have at least two documents attached to be able to submit the SSI plan (the SSI Plan and the separate appendix for the designated CALEA employee Point of Contact that includes information to reach the POC 24 hours/7 days per the Commission’s rules. See 47 CFR 1.20003(b)(4)). If a confidential treatment justification is included, you will have more than two documents.


6. Viewing Prior CEFS SSI Plan Filings

Once you have filed an SSI Plan in CEFS, you can log back into the system to view your past electronic filings. You can only view past electronic SSI filings for the FRN associated with your FCC User Registration.

After logging in to CEFS using your FCC User Registration, you will reach the main CEFS start screen. The prior CEFS-filed SSI Plans associated with your associated FRN(s) will be shown below the buttons, along with the date-filed. Click on the entries to view the SSI Plans as shown below. Click on the “Download” button to download a copy of the SSI Plan. If you have questions about any paper-filed SSI Plans, please send an email to FCC-CALEAinquiries@fcc.gov.

field below to select the FRN of the entity for which you intend to file an SSI Plan.

Click the toggle button to the right for a list of associated FRNs. If none appears, read the note below.

 View User Manual

SSI Plans

Number	Created	Carrier Name	FRN	SSI Attachment Link
SSI0001014	2021-06-01 13:03:15	Foreign Contact Org	0029392867	Download
SSI0001013	2021-06-01 12:16:56	Foreign Contact Org	0029392867	Download

<< < Page 1 of 1 > >>

Here you can view all past electronic filings for the FRN associated with your FCC User Registration and either download your SSI plan, or click the entry to view the following screen:

The screenshot shows a web interface with a blue header bar. Below the header, there is a breadcrumb trail: "Home > form". The main content area is a light gray box containing the following fields:

- SSI Plan Number: SSI0001033
- FRN: 0010094597 (with a dropdown arrow)
- Created: 2023-04-19 14:36:26
- Carrier Name: test

7. Technical Assistance and Rules Questions

Filers experiencing technical difficulties using the CEFS system or CORES should call the FCC Licensing Support Center at 877-480-3201, or submit an [online help request form](#).

Any questions you have concerning the regulatory requirements for CALEA SSI Plans, please visit the CALEA webpage at <https://www.fcc.gov/calea> or send an email to FCC-CALEAinquiries@fcc.gov.

8. Appendix

CALEA System Security and Integrity (SSI) Policies & Procedures Plan – Checklist

Guidance for compliance with the Commission’s Rules
<p>The purpose of the checklist below is to help filers ensure that their CALEA SSI Plan complies with the Commission’s rules to avoid the need to resubmit another SSI Plan in the CALEA Electronic Filing System (CEFS). This first page provides general information, and the checklist begins on the second page.</p> <ul style="list-style-type: none">• We strongly recommend that filers review the Commission’s rules at 47 CFR § 1.20003 - 1.20005.• The CEFS User Manual includes detailed instructions for access to CEFS and filing System Security and Integrity (SSI) Plans and can be found here: https://www.fcc.gov/cefs/user-manual.• Be sure to submit finalized SSI Plans. Filers submitting drafts will be asked to resubmit the SSI Plan in final form.• Also, please note that CEFS sessions time out after 30 minutes.
New Plans
<p>There is no requisite format for SSI Plans. The checklist below provides guidance in following the Commission’s rules.</p> <ul style="list-style-type: none">• The Commission’s rules (47 CFR 1.20003 - 1.20005) require specific information to be included in an SSI Plan.• The Commission’s rules also require that the designated CALEA point of contact information (24 hours per day x 7 days a week) be submitted in a separate appendix to the SSI policies and procedures plan document.
Amended Plans
<p>Please note that filers updating previously-filed SSI Plan are required to submit a complete SSI Plan, and not just the updated section.</p> <ul style="list-style-type: none">• For an SSI Plan submission to be considered complete and current, the SSI Plan update must include pages with both the changed information included in the document as well as all the other pages that remain unchanged from the previous SSI Plan.• Filers submitting amended SSI Plans consisting of only an Appendix or other selected pages with changed information will receive a request to resubmit so that a complete and current SSI Plan is on file.• Once you have filed an SSI Plan in CEFS, you can log back into the system to view your past electronic filings. You can only view past electronic SSI filings for the FRN associated with your FCC User Registration.
CEFS: Filing an SSI Plan
<p>A complete SSI Plan submission to CEFS will consist of fields filled out in the database (e.g., do not type in “see attached”) and include at least one attachment.</p> <ol style="list-style-type: none">1. <i>Required.</i> The SSI Plan document describes CALEA policies and procedures, and may include any examples of records, e.g., Record of Authorized Interception, Record of Unauthorized Interception, Example of Court Order). See 47 CFR 1.20003 - 1.20005.2. <i>Required.</i> A separate appendix to the policies and procedures document per rules that includes the designated CALEA employee Point of Contact (POC), including information to reach the POC 24 hours/7 days per the Commission’s rules. See 47 CFR 1.20003(b)(4).3. Other attachments may include a separate cover letter or cover sheet, and/or a request for confidential treatment.4. <i>Requests for confidential treatment:</i> Under 47 C.F.R. § 0.459, if requesting confidential treatment, such requests must identify the specific information for which confidential treatment is sought. For Guidance, see CALEA webpage for Frequently Asked Questions: https://www.fcc.gov/calea.5. <i>File Name.</i> Before uploading your SSI Plan to CEFS, be sure to include the following descriptive elements in the file name: "XYZ Company System Security and Integrity Plan" or "XYX Company SSI Plan."

☑	Checklist for SSI Plan submission	Guidance
☐	<i>Cover letter or Cover sheet to SSI Plan:</i> Name of Carrier and business address, and any relevant identifier (e.g., FRN))	Cover Letters to be filed in CEFS may be addressed to: Federal Communications Commission ATTN: Public Safety and Homeland Security Bureau 45 L Street NE Washington, DC 20554
☐	<i>Cover letter or Cover sheet to SSI Plan:</i> Specify if SSI Plan is New or Amended	If Amended Plan, include effective date of SSI Plan.
☐	<i>Cover letter or Cover sheet to SSI Plan:</i> If Affiliates are involved...	For the submitted SSI Plan, list all applicable entities. If an entity is conducting business under a name that is different than its legal name, include all relevant trade names.
☐	<i>Cover letter or Cover sheet to SSI Plan:</i> If requesting confidential treatment, such requests must address the substantive criteria in section 0.459(b) of the Commission’s rules. If requesting confidential treatment, such requests must identify the <u>specific</u> information for which confidential treatment is sought.	See 47 CFR 0.459(b). Additional guidance can be found on the FCC webpage: https://www.fcc.gov/document/eb-issues-reminder-about-acceptable-confidentiality-requests https://www.fcc.gov/document/instructions-regarding-submission-confidential-materials
☐	<i>SSI Plan document:</i> Describe policies and procedures for employee supervision and control.	See 47 CFR § 1.20003 - Policies and procedures for employee supervision and control. ☐1.20003(b)(4)(i) Name of senior officer or employee responsible for CALEA and job description of that person. ☐1.20003(b)(4)(ii) How to reach contact person(s) 24/7 (e.g., telephone and email address).
☐	<i>SSI Plan document:</i> Describe policies and procedures relating to authorization. The SSI Plan should comprise of the policies and procedures the carrier uses to comply with CALEA requirements, and may include general policies for electronic surveillance (but does not need to be limited to), e.g., definitions, appropriate legal and carrier authorization, processing of subpoenas/court orders, interception of Communications (wiretaps); Access to Call-Identifying Information (pen registers, and traps and traces); Exigent or Emergency Circumstances, etc.	☐1.20003(b)(1) Statement that carrier personnel must receive appropriate legal authorization and appropriate carrier authorization <u>before</u> enabling law enforcement officials to implement an interception ☐1.20003(b)(2) Interpretation of phrase “appropriate authorization” to include “appropriate legal authorization” and “appropriate carrier authorization.”
☐	<i>SSI Plan document:</i> Describe record retention policies and procedures, e.g., specific duration for how long records are retained.	☐1.20003(b)(3) A detailed description of how long it will maintain its records of each interception of communications or access to call-identifying information pursuant to § 1.20004.
☐	<i>SSI Plan document:</i>	☐1.20003(c) Carrier will report any security breaches to affected LEAs within a reasonable

	Describe policies and procedures for handling the discovery of unlawful electronic surveillance and any compromises of lawful interceptions or access to call-identifying information any unauthorized person and reporting to Law enforcement agencies (LEA).	time.
☐	<i>SSI Plan document:</i> Describe policies and procedures regarding maintaining secure and accurate records.	See § 1.20004 Maintaining secure and accurate records ☐1.20004(a)(1) Record of each interception/access to call-identifying information include: -Telephone number or circuit ID -Start date and time -Name of law enforcement officer presenting the authorization -Name of person signing the authorization -Type of interception or access (pen register, trap and trace, -Title III, FISA, etc.) -Name of carrier personnel responsible for oversight (2)Signature of responsible carrier personnel (3) certification must be compiled with within reasonable time after the initiation of the interception of the communications or access to call-identifying information.
☐	<i>Separate Appendix to policies and procedures document:</i> Per the rules, the SSI Plan should include a separate appendix to the policies and procedures document with the 24/7 contact information for the designated CALEA point of contact.	§ 1.20003 Policies and procedures for employee supervision and control (b)(4) <u>In a separate appendix to the policies and procedures document:</u> ☐(i) The name and a description of the job function of the senior officer or employee appointed pursuant to paragraph (a) of this section; and ☐(ii) Information necessary for law enforcement agencies to contact the senior officer or employee appointed pursuant to paragraph (a) of this section or other CALEA points of contact on a seven days a week, 24 hours a day basis. ☐Include specific POC information (e.g., phone number/email address of the 24/7 point of contact).