CFIUS Case Management System Public Portal User Guide

Version 1.23

November 2022

Contents

Purpose

The purpose of the Public Portal User Guide is to provide guidance for the Public Portal users on the following topics:

- How to Register
- How to Login
- How to Submit a Form
- How to Respond to Questions from a Case Officer
- How to Upload a Document
- How to Word Export a Submission
- How to Pay a Filing Fee

Overview of the Public Portal

The CFIUS Public Portal provides external users with the capability to submit filings to, and interact with, CFIUS.

Before using the Public Portal, users will have to register with ID.me, a registration and authentication service utilized by numerous Federal and commercial entities.

Within the Portal, external users can submit Section 800 and 802 declarations and notices, upload associated documents, submit questions and answers to CFIUS Case Officers, and export submitted filings to a Microsoft Word document.

How to Register/Login

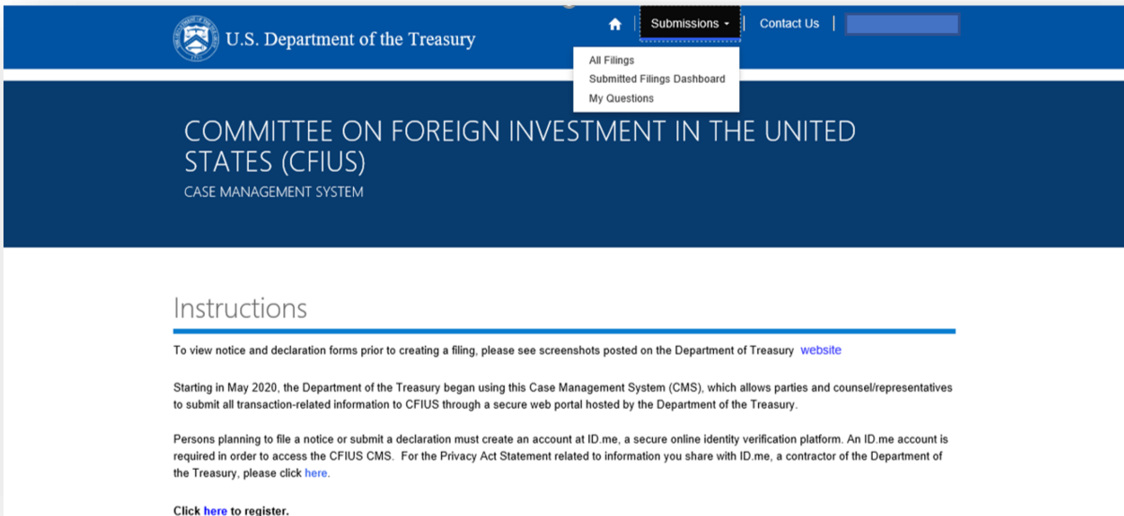
External parties will register to use the CFIUS Public Portal through ID.me, a registration and authentication service utilized by numerous Federal and commercial entities. Instructions for registering with ID.me and logging in to the Public Portal are available at https://home.treasury.gov/system/files/206/CFIUS-CMS-IDme-Account-Instructions.pdf.

Please click here for the Privacy Act Statement relating to information you share with ID.me.

Upon registration, you will receive a welcome email that includes the CFIUS Public Portal User Guide as well as an email contact for support questions.

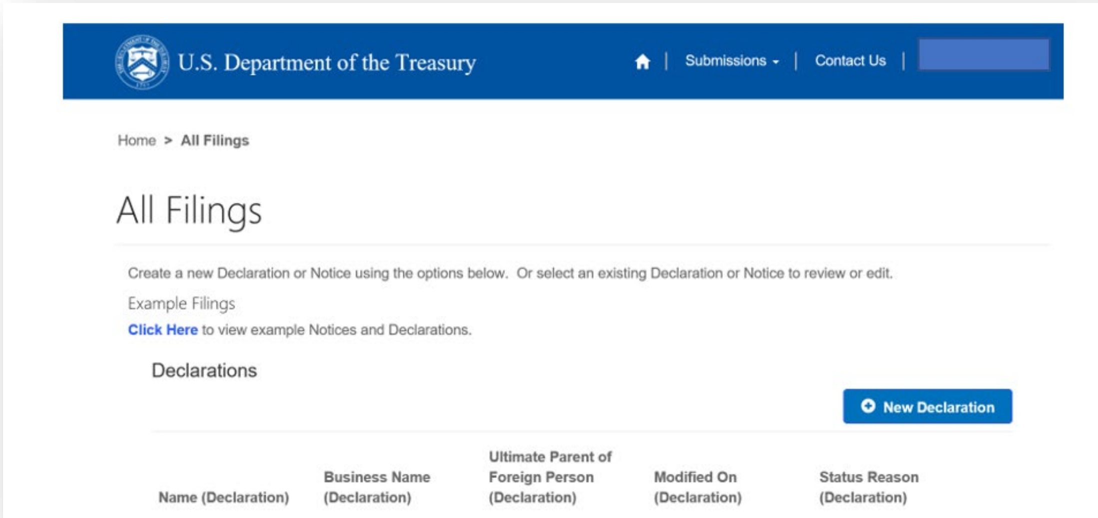
How to View Sample Filings

From the Home Page, click the Submissions button on the top of the page and select All Filings.

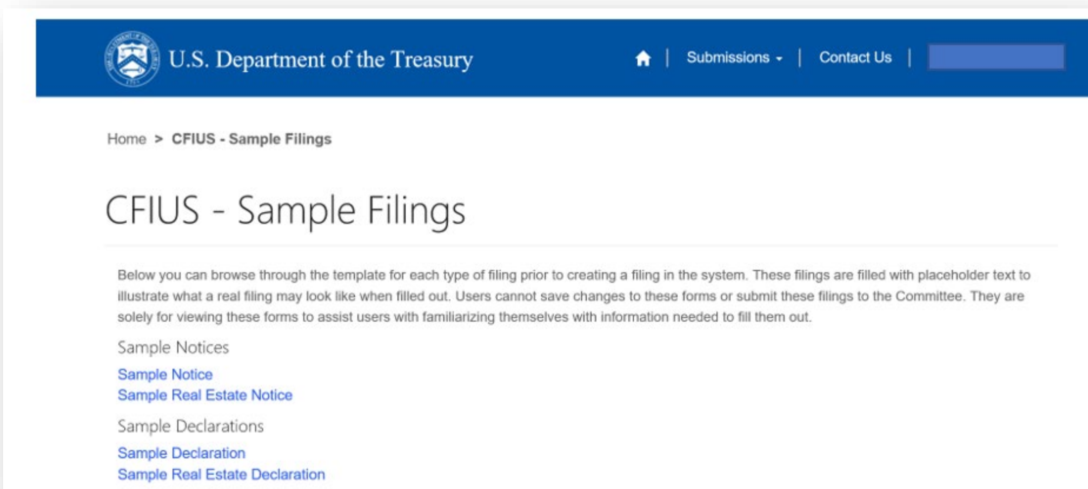


The All Filings page displays.

Please note that you have the ability to view sample filings prior to creating a filing in the system. These sample filings are auto filled with placeholder data to illustrate what a real filing may look when completed. You are **not** able to save changes to these sample filings and you do **not** have the ability to submit them as real filings to the Committee. These sample filings are strictly for viewing purposes to familiarize you with how the system look and with information needed to complete the filing.

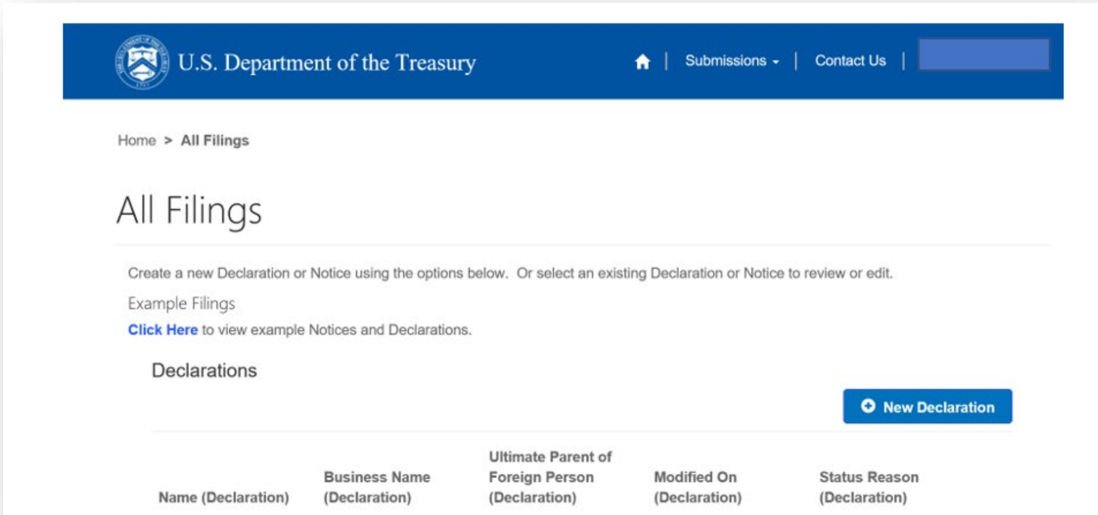


To view a sample filing, click on the **Click Here** link on the page above. Select the sample filing of choice on the CFIUS – Sample Filings page below.

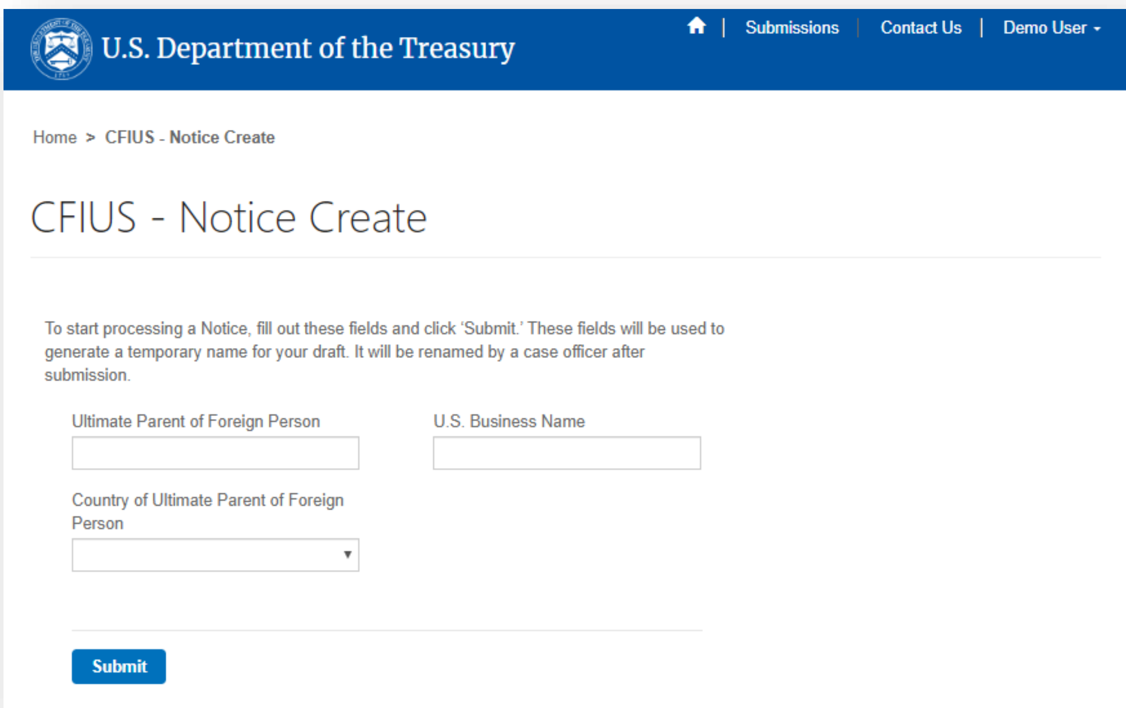


How to Create a New Filing

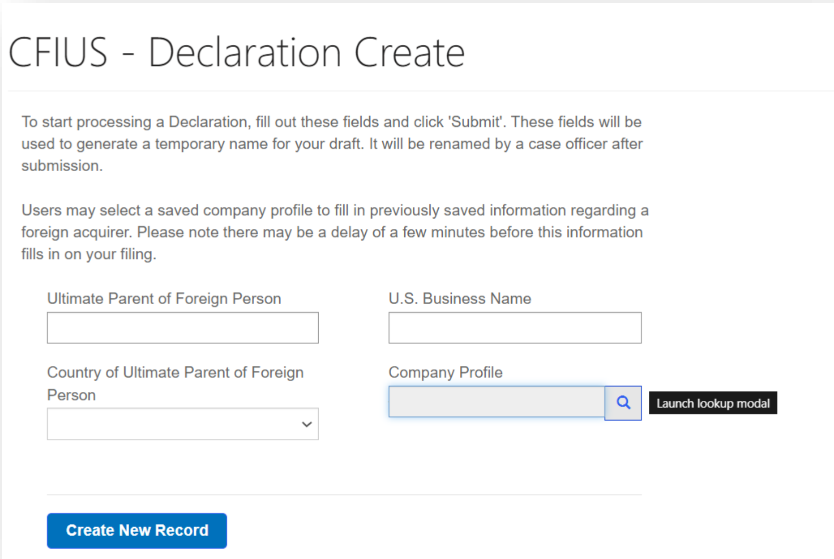
Once you are ready to create a submission, navigate to the All Filings page and click the **New <type of submission>** you would like to create.



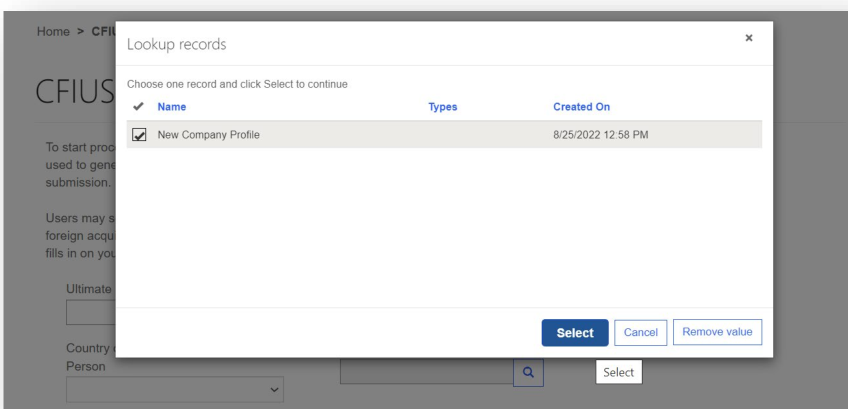
On the Create page, fill in the fields and click Submit.



To utilize a saved company profile if you have one, click on the search magnifying tool to locate a company profile. For instructions on how to create a saved profile, see the How to Create Company Profiles section of this guide.

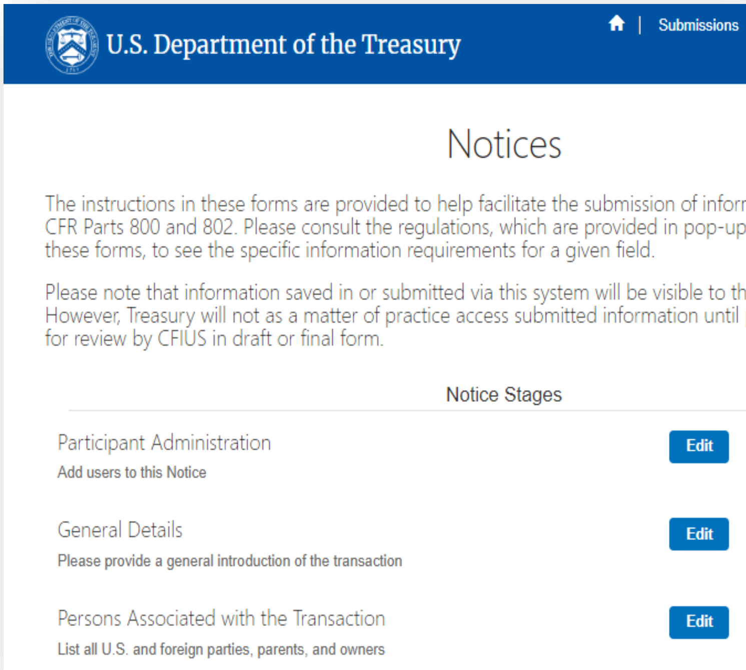


Select a company profile record from your saved list and click on the Select button.

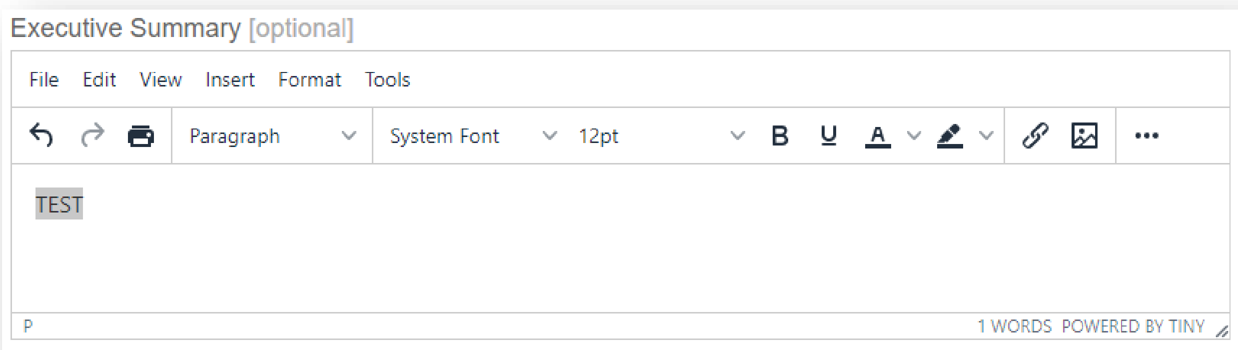


The information regarding the foreign acquirer auto-populates once you create your filing. Please note that there may be a delay of a few minutes before this information fills in on your filing.

Once you have created your new filing, on the next page you can select Edit for each stage, and fill in the form information.

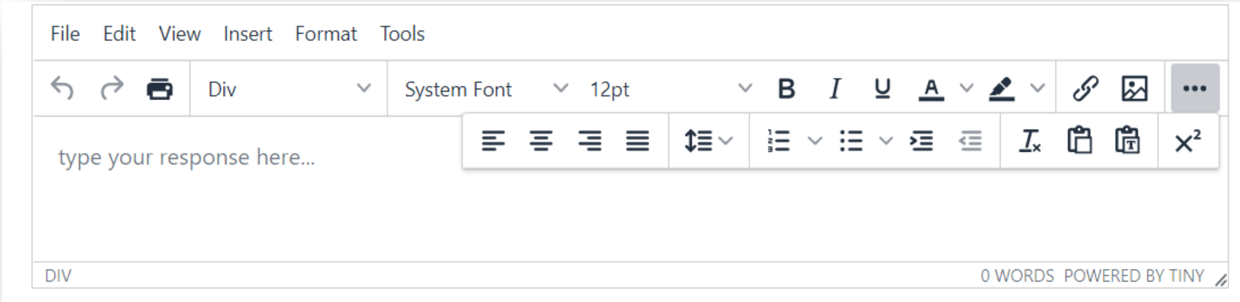


You will notice that select fields are enabled for Rich Text editor. Those select fields will display as follows:

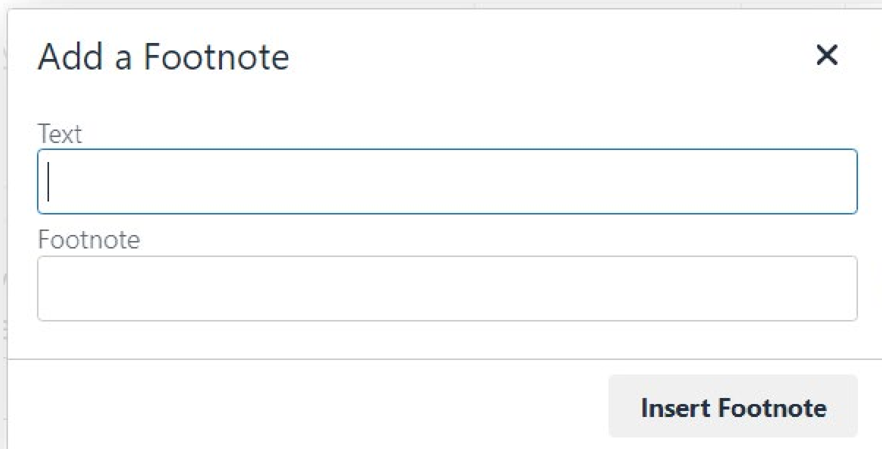


How to Add Footnotes in Rich Text Editor

To add a footnote, click on the three horizontal dots to display additional button options. Click on the X^2 button.



A modal pops-up appears.



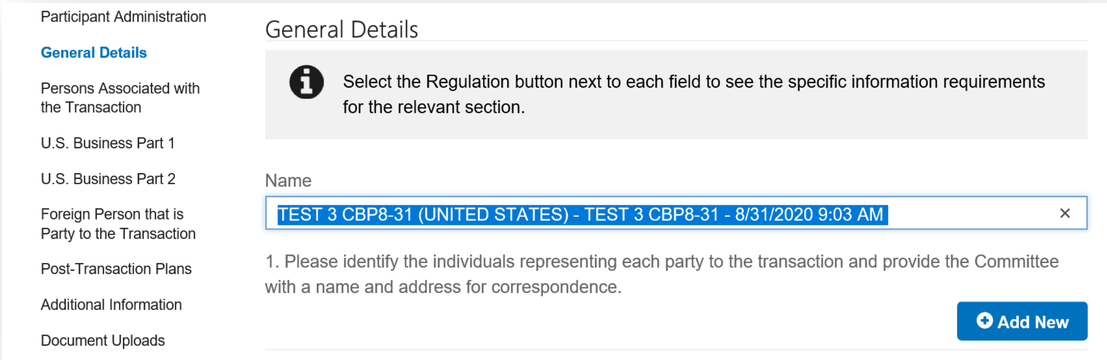
Type the text and the footnote and then click Insert Footnote. You should now be able to see your footnote when you hover over your text in the Rich Text Editor.

When you generate a document in official or unofficial formats, you will find your footnote added at the bottom of the corresponding page as well.

How to Modify Filing Name

You can modify the filing name prior to submission. To modify the filing name, navigate to the General Details tab. Click into the Name field and modify as needed. Click Save at the bottom of the General

Details tab.



How to Add Others to a Submission

You may add others to your filing using the Participant Administration tab. By adding an individual to a filing, you acknowledge that the individual will be able to view all aspects of the filing other than restricted documents and will be able to submit the filing to CFIUS.

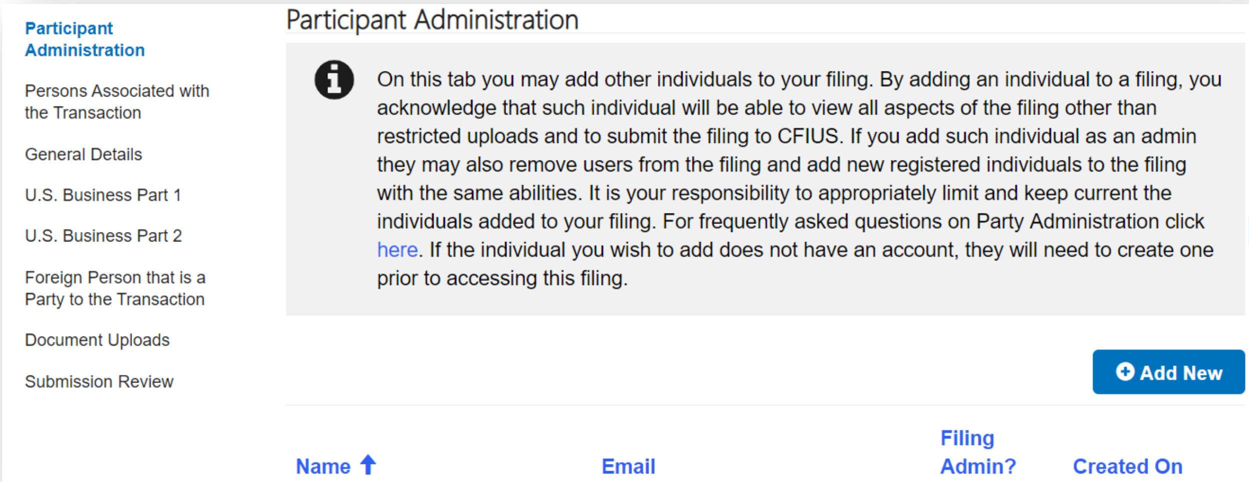
Restricted documents can only be viewed by the individual that uploaded them and those to whom that individual specifically grants access.

You can also designate an individual as an *admin*. Designating an individual as an *admin* provides that individual the ability to remove users from the filing and to add new registered individuals to the filing.

You can also designate an individual as a *payer*. Designating an individual as a *payer* provides that individual the ability to pay the filing fee for a Notice. *Payers* can only access the Payment stage of the Notice. An individual with the *payer* designation will not have access to any other Notice stages.

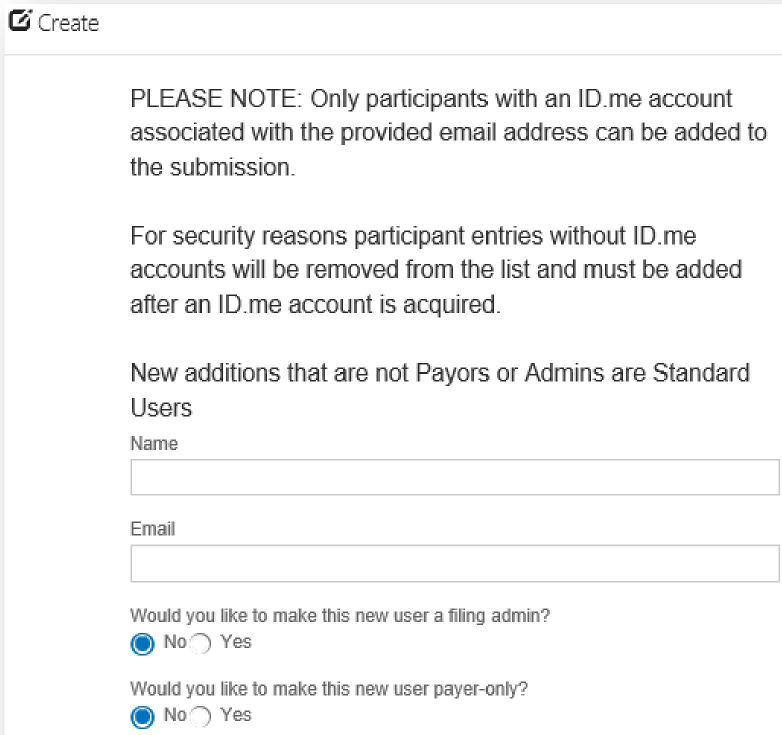
It is your responsibility to appropriately limit and keep current the individuals added to your filing. If the individual you wish to add does not have an account, they will need to create one prior to accessing this filing.

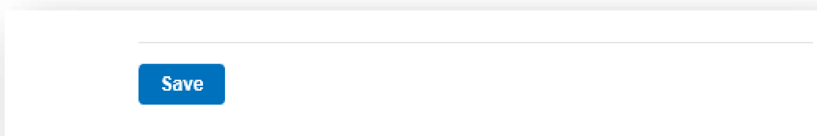
- Click the +Add New button.



To add another individual to the filing, enter the name and email address that is associated with their ID.me account.

Select Yes or No for the admin designation. Select Yes or No for the payer designation. Click Save.

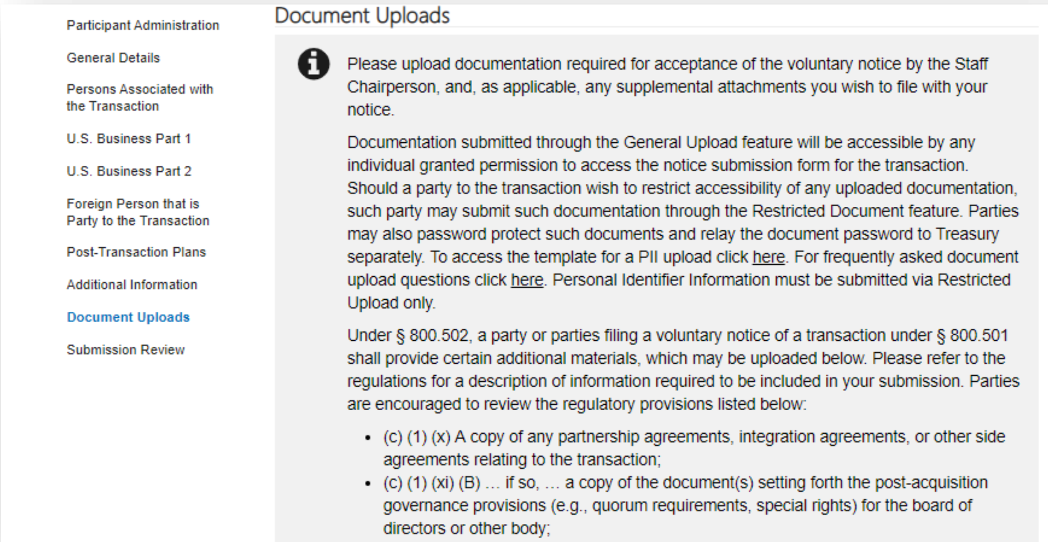

Create
PLEASE NOTE: Only participants with an ID.me account associated with the provided email address can be added to the submission.
For security reasons participant entries without ID.me accounts will be removed from the list and must be added after an ID.me account is acquired.
New additions that are not Payors or Admins are Standard Users
Name
Email
Would you like to make this new user a filing admin?
No Yes
Would you like to make this new user payer-only?
No Yes


Save

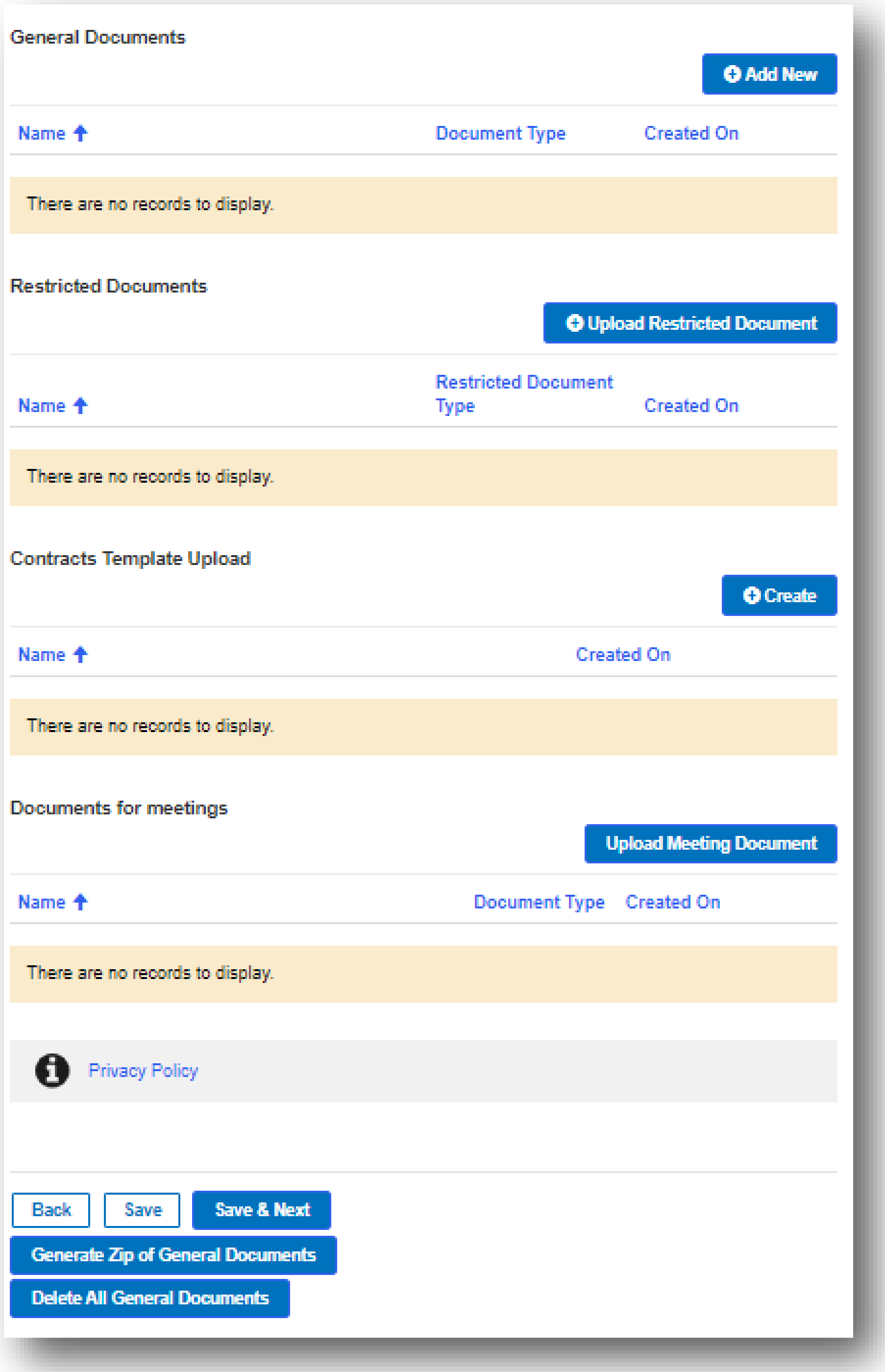
How to Upload a Document

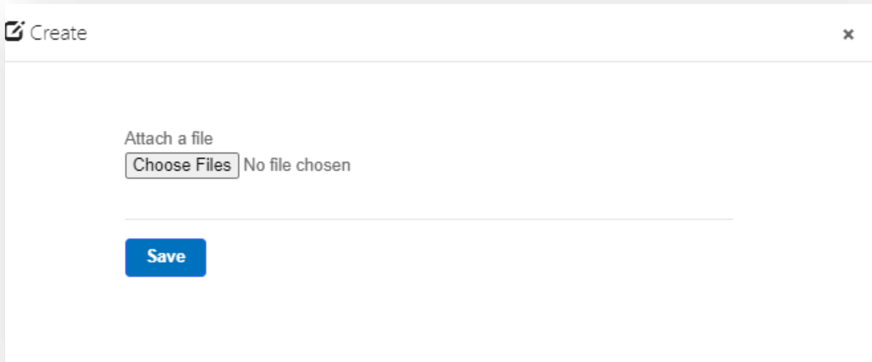
To upload documentation pertaining to a filing:

- Click the Edit button for the Document Uploads stage.

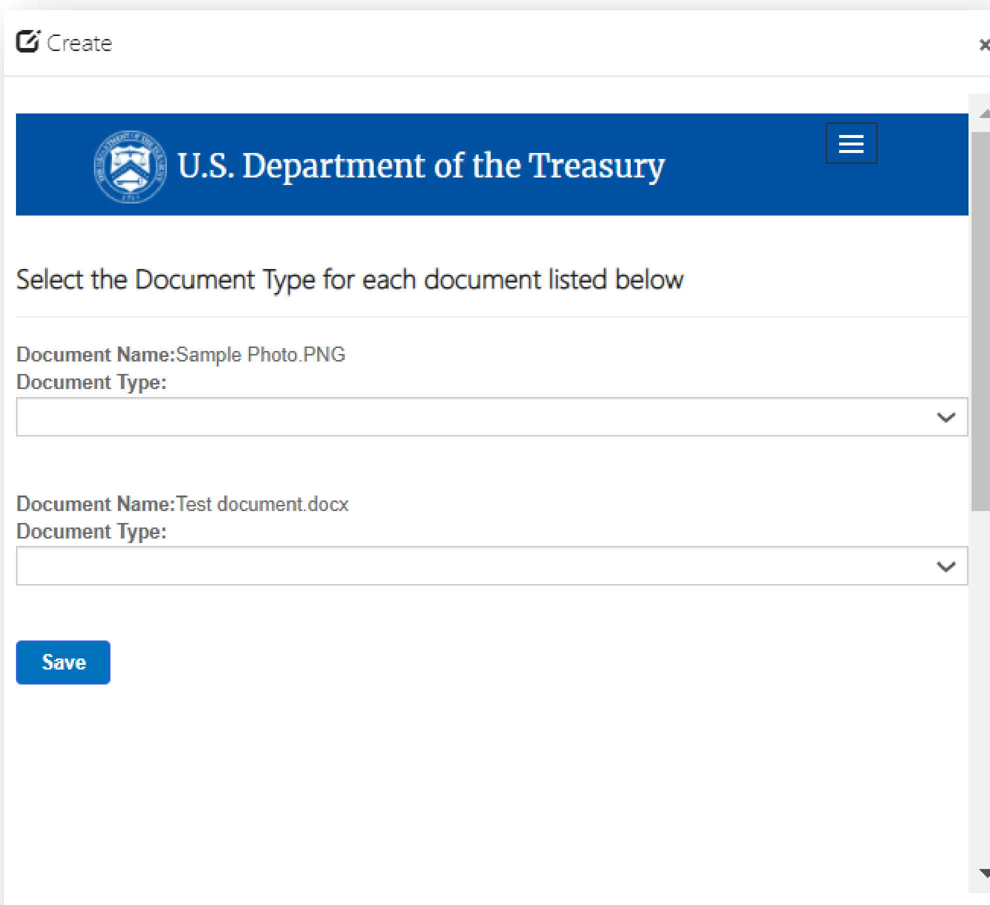


- Click the +Add New button from the General Documents section.
- To upload a document containing Personally Identifiable Information (PII) or other restricted information, click the +Upload Restricted Document button.
- To upload a document related to an upcoming meeting with CFIUS click the +Upload Meeting Document button.
- Please refer to the FAQ for additional information on Document Uploads.





- Click Choose Files button.
- Select the documents to upload and click Open.
- Click Save.
- A pop-up as below appears.



- Select a document type from the drop-down for each file uploaded.
- Click Save.

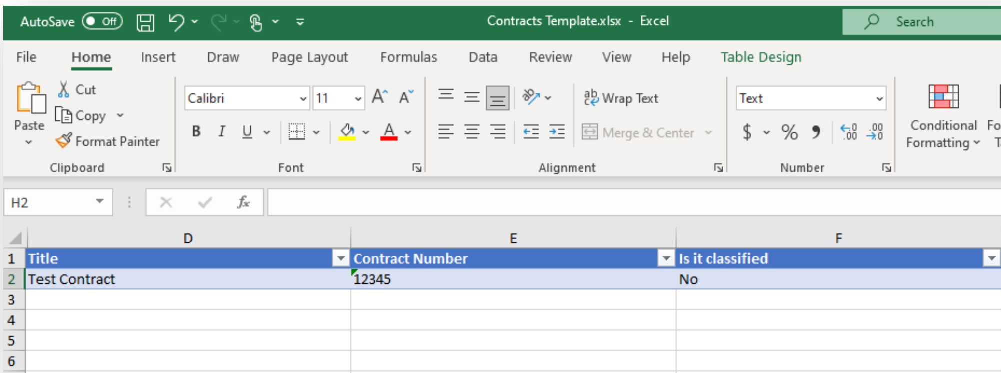
Your selected documents now appear under the General Documents section with the designated document type.

Please note that the ability to upload multiple files at one time is only available under the General Documents section.

How to Upload Records with a Templated Document

Download the appropriate template – the Contract Template is available here; the Facility Template is available here.

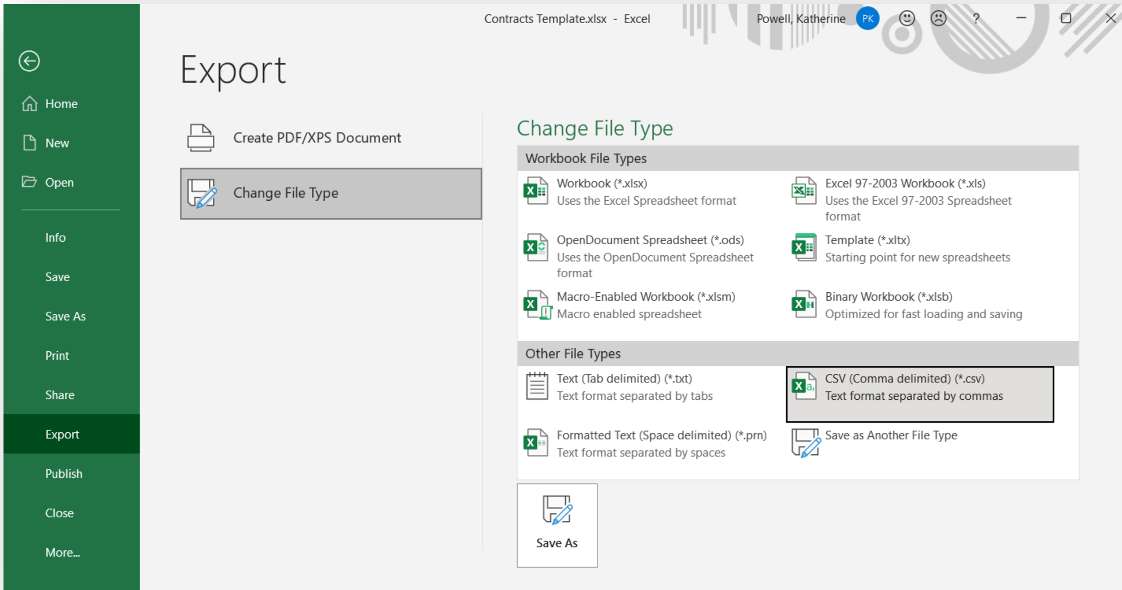
Enter the data into the Excel Template using the columns and dropdowns provided.



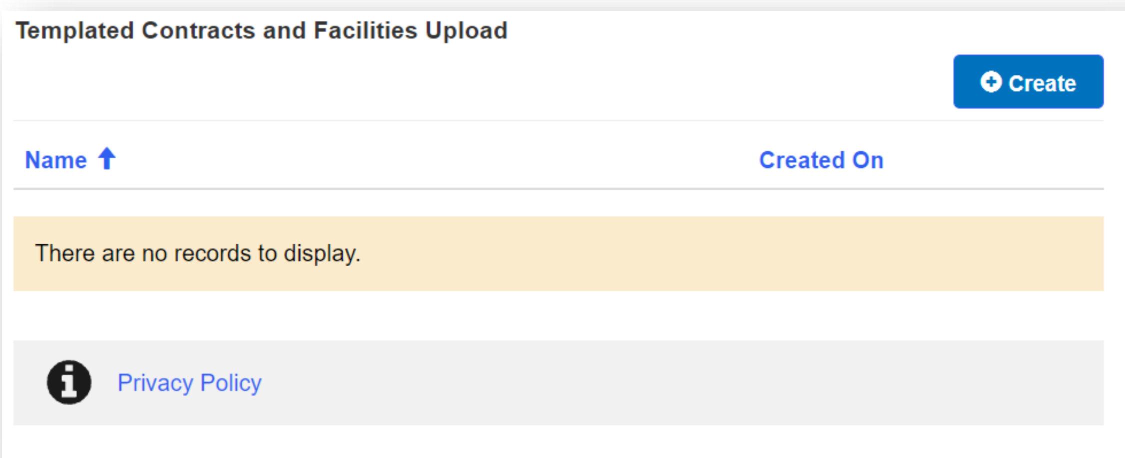
How to Export Document as .csv File

To Export a .csv file:

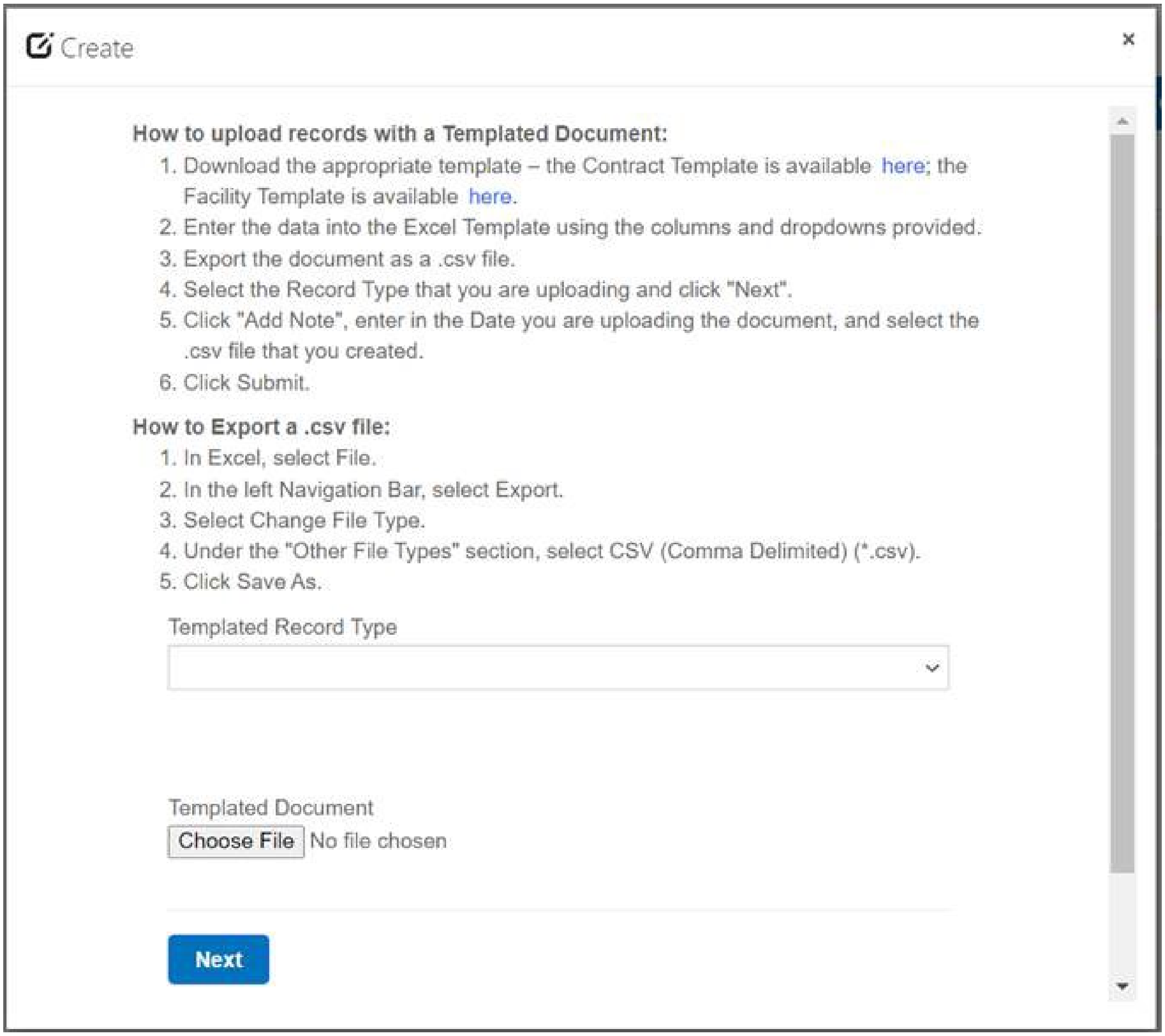
1. In Excel, select File.
2. In the left Navigation Bar, select Export.
3. Select Change File Type.
4. Under the "Other File Types" section, select CSV (Comma Delimited) (*.csv).
5. Click Save as.



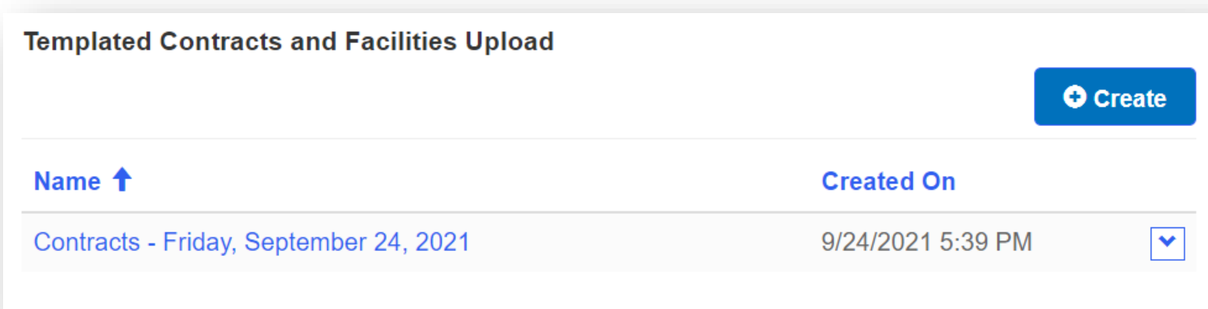
In the portal click +Create under Templated Contracts and Facilities Upload.



Select the Record Type that you are uploading, select the .csv file that you created.



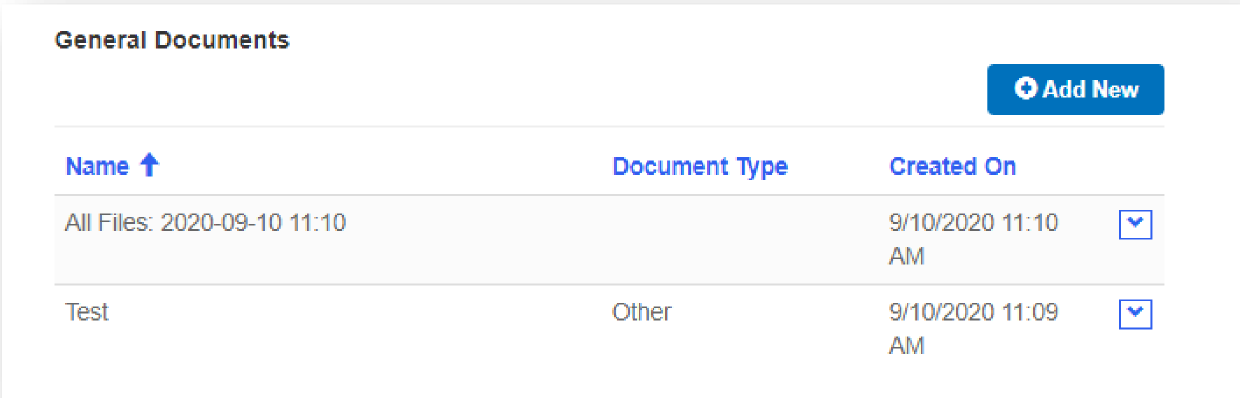
Click "Next" and the records will be uploaded and added to the sub grid.



To generate a zip file of all general documents uploaded:

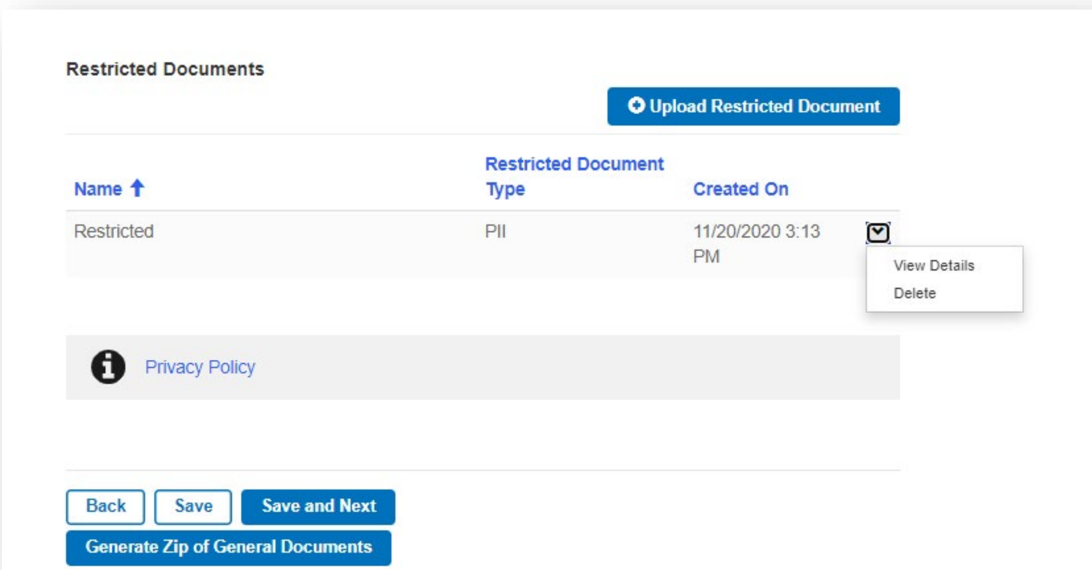
- Click on the Generate Zip of General Documents button.
- Once a zip is created, it will display as “All Files: <Date><Time>” format per below.

Please note that the Generate Zip of General Documents feature is only available for the General Documents.

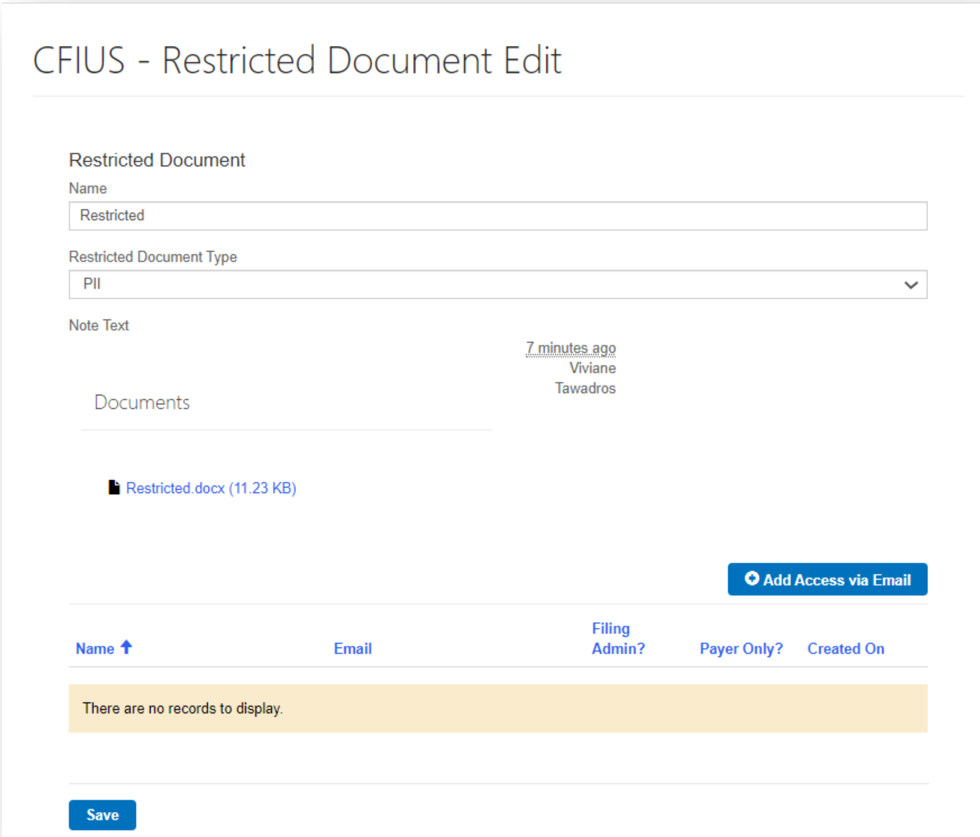


For restricted documents, an individual can be added to view the attachment. To do so:

- Click on the View Details dropdown.

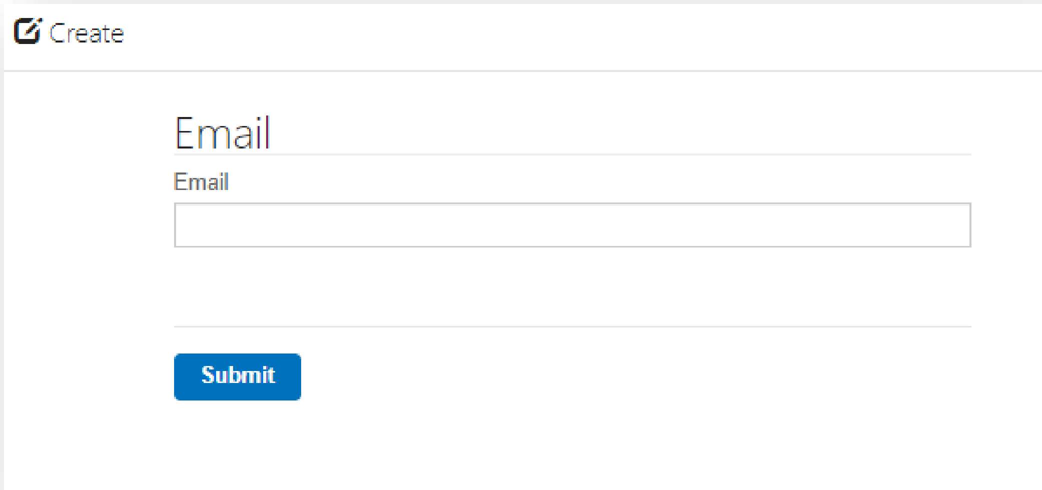


- The CFIUS – Restricted Document Edit form appears.
- Click on the Add Access Via Email button.



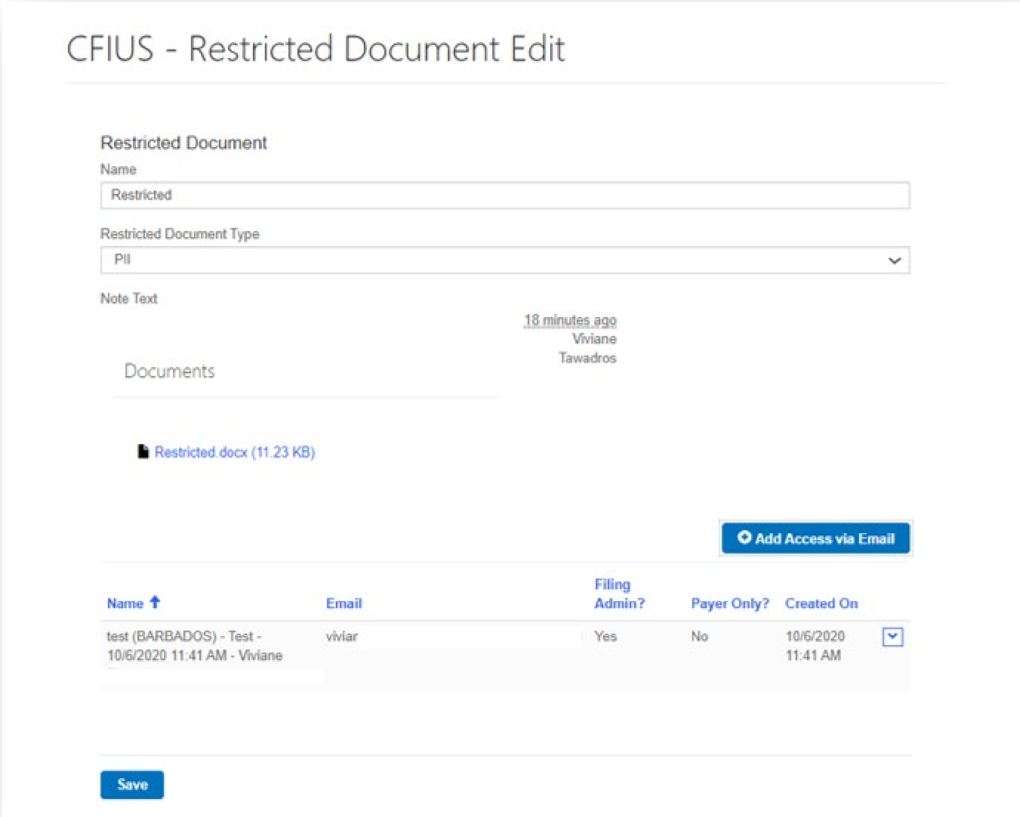
The Create Email form appears.

- Enter the email of the individual to be added for access to the restricted document and click on the Submit button.
    - Please note that the individual must have been previously added as a transaction participant on the filing. Refer to section How to Add Others to a Submission.



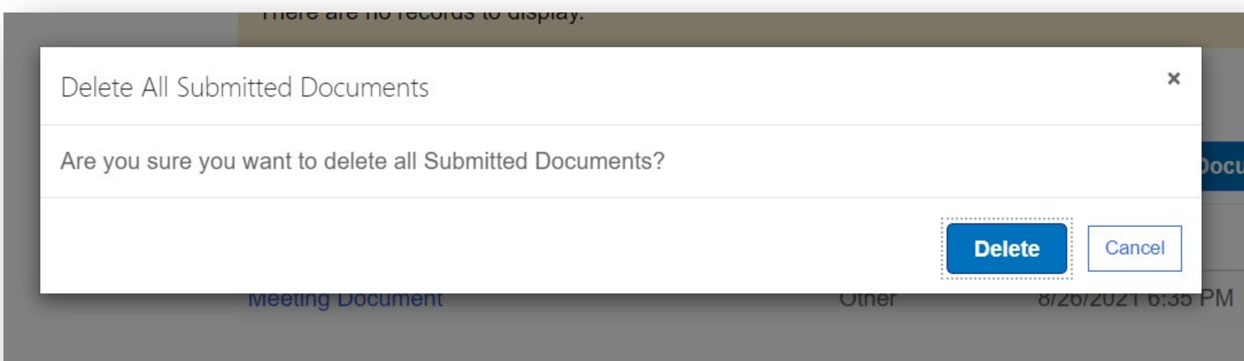
The email of the individual displays as below. Click on the Save button to continue.

If the individual was previously added as a transaction participant, the email of the individual will display as below, and the individual will be able to view the restricted document. However, if the individual was not previously added as a transaction participant, the email will not display, meaning the individual will not be able to view the restricted document.

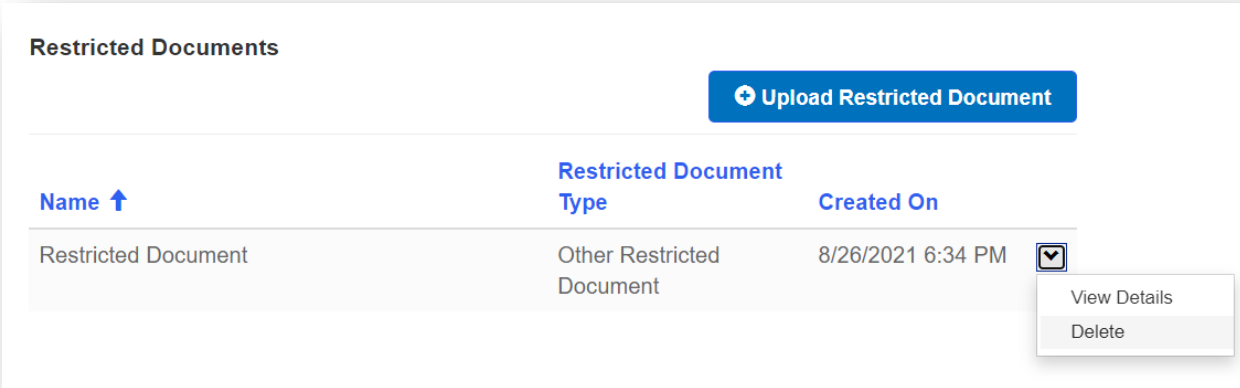


How to Delete a Document

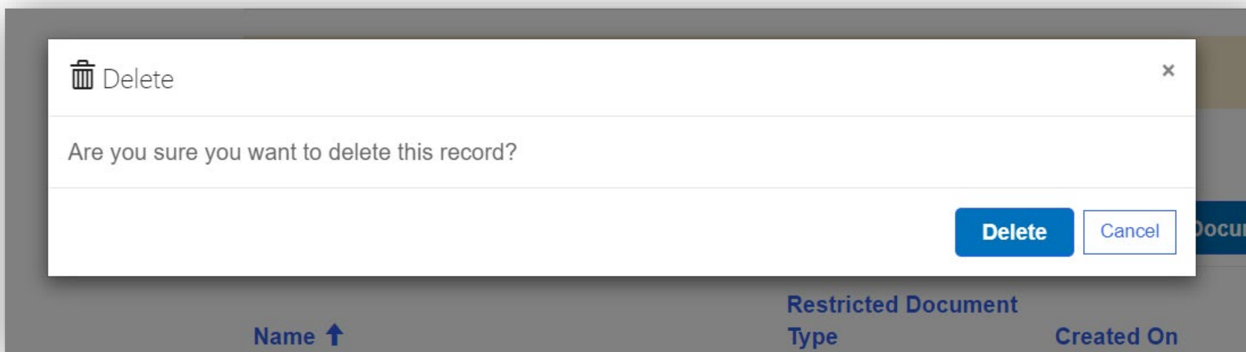
To delete all general documents uploaded, click on the Delete All General Documents button. The following prompt will appear. Click Delete.



Alternatively, you can delete individual documents by selecting Delete under the down arrow as shown below.

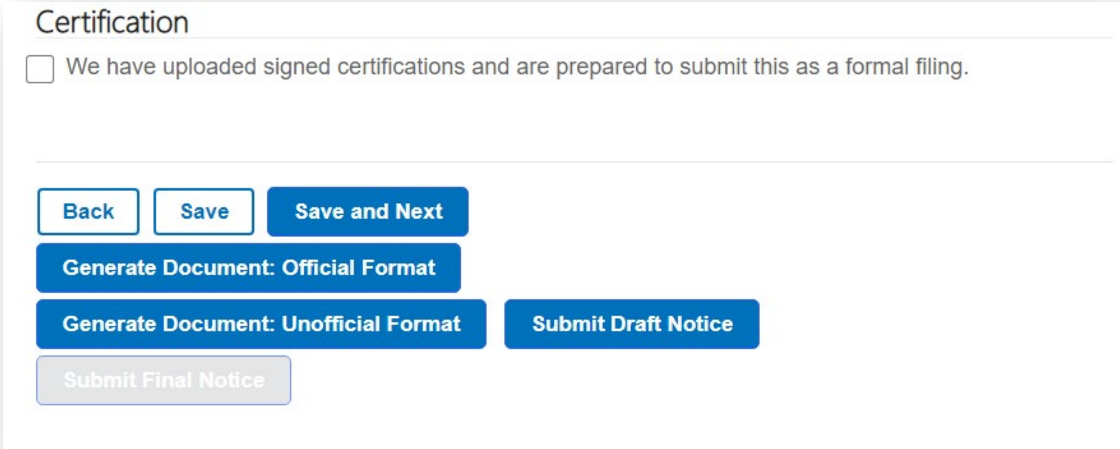


The following prompt will appear. Click Delete.

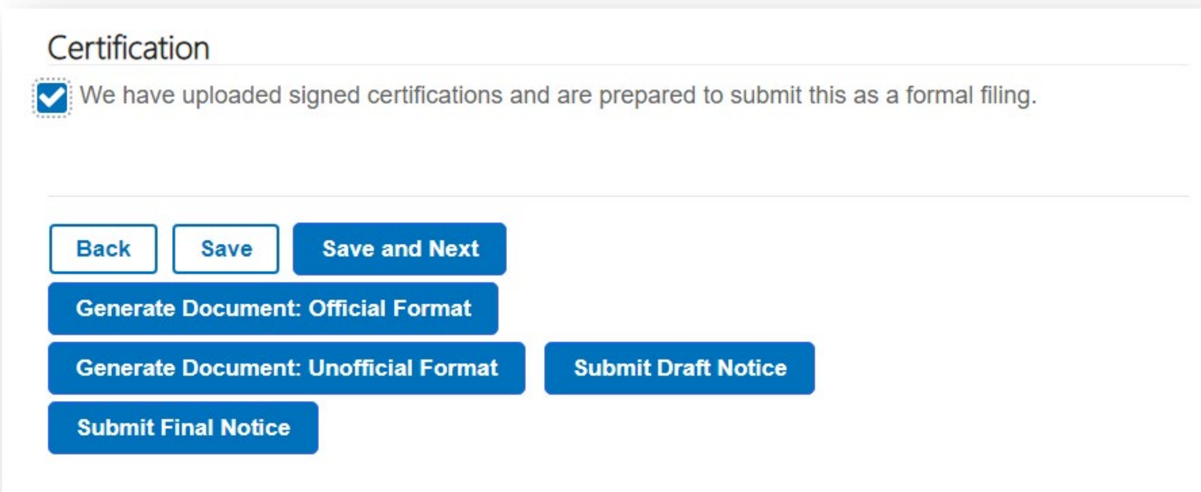


How to File a Submission

For a Draft submission, once all information is complete, click the Submit Draft button on the Submission Review page.



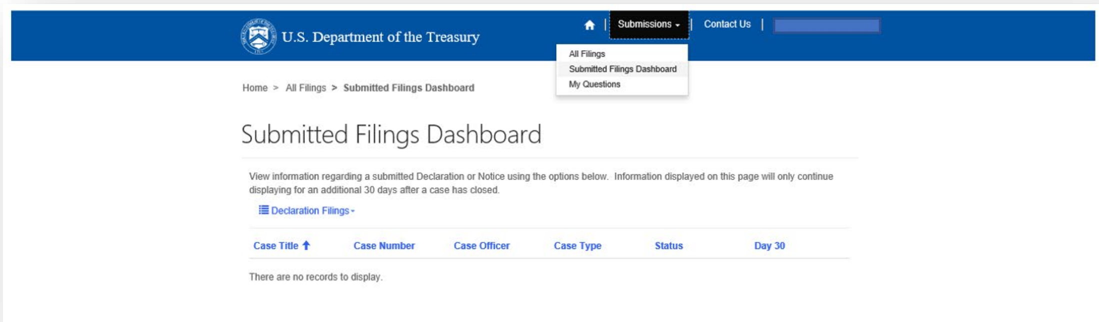
For a Final submission, check the Certification checkbox (the button text will change from Submit Draft to Submit Final), and click the Submit Final button.



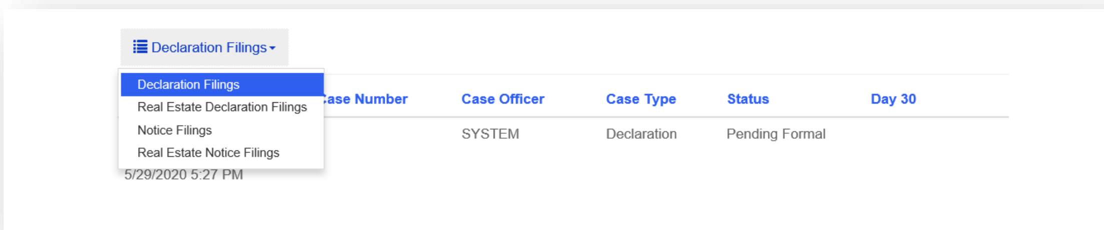
If you have previously submitted this filing as a formal, you may need to uncheck and re-check the certification box in order to submit.

How to View Your Filings

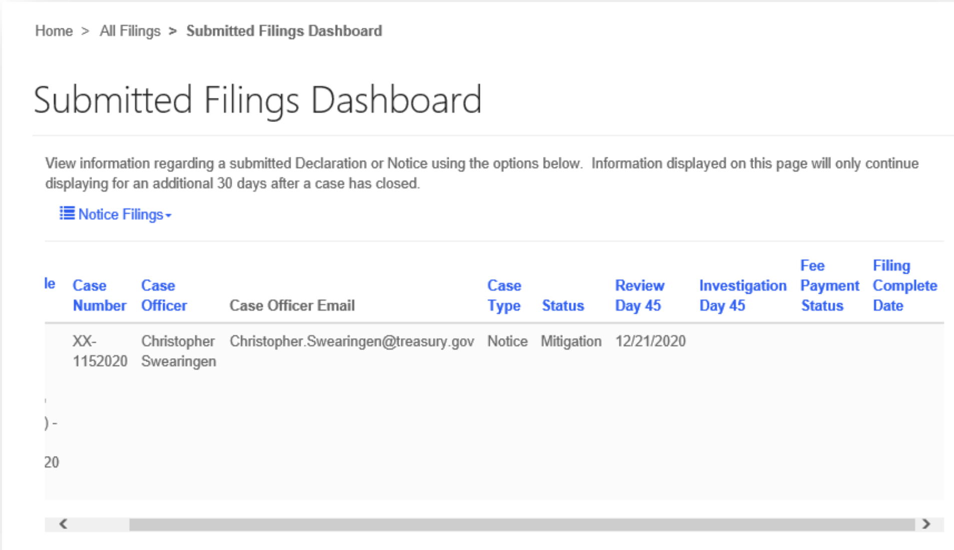
Click the Submissions button in the top menu and select Submitted Filings Dashboard.



On the Submitted Filings Dashboard page, select the type of filing from the drop-down to view your filings.



Your submitted filings of that type will display as in the screenshot below. Use the scroll bar to view all the column information.


Home > All Filings > **Submitted Filings Dashboard**

Submitted Filings Dashboard

View information regarding a submitted Declaration or Notice using the options below. Information displayed on this page will only continue displaying for an additional 30 days after a case has closed.

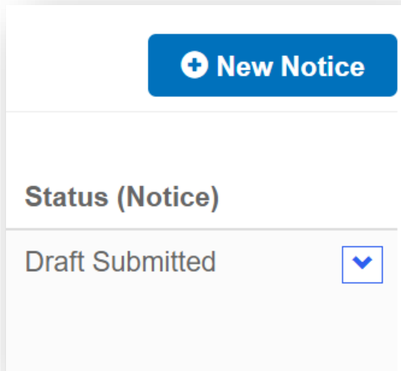
Notice Filings

le	Case Number	Case Officer	Case Officer Email	Case Type	Status	Review Day 45	Investigation Day 45	Fee Payment Status	Filing Complete Date
) - 20	XX-1152020	Christopher Swearingen	Christopher.Swearingen@treasury.gov	Notice	Mitigation	12/21/2020			

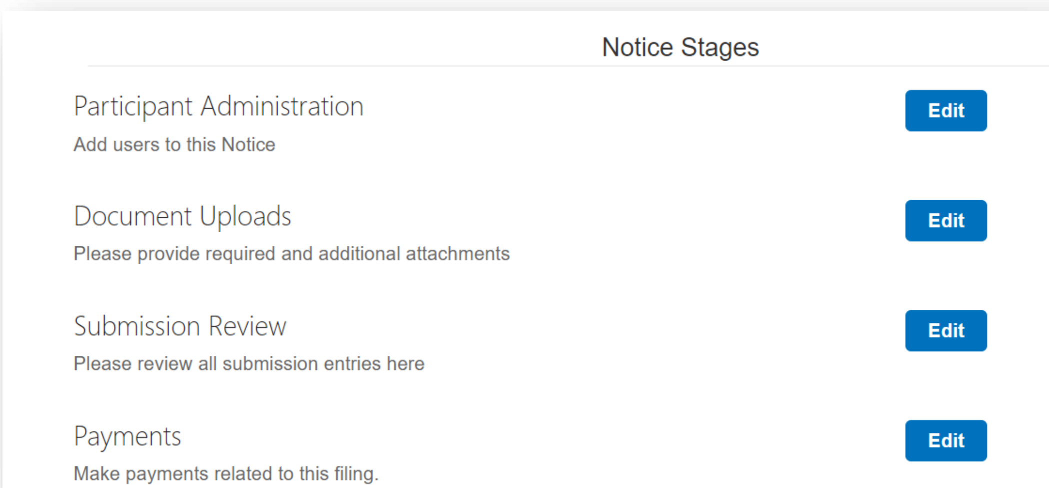
The Filing Process

Once filed as either a draft (for section 800 or 802 Notices) or a final (for 800 and 802 Notices and Declarations) submission, the view of this submission on the Public Portal will change as detailed below. Once filed, only a Case Officer can unlock this filing for edits; once unlocked, parties will see a view that matches the pre-submission view.

- On the Submissions Page, the status for this submission will be shown as either Draft Submitted or Submitted, as shown below for a submitted 800 Notice Draft.



- Upon selecting the submission, the only stages available will be Participant Administration, Document Uploads, and Submission Review, as shown below for a submitted 800 Notice.



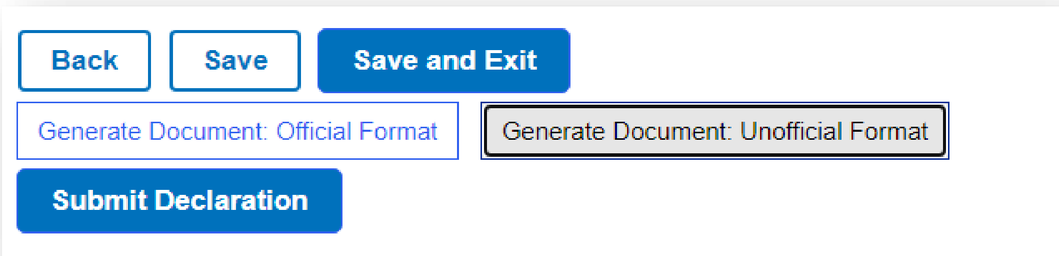
- Parties may upload additional General or Restricted attachments; however, they may not delete any attachments.
- The Submission Review tab will show a Read-Only view of the information that was entered for the submission.

Please note, Parties will be able to add and remove Participants as well as Export a Submission to Microsoft Word after submission.

How to Generate 800 Declaration in Unofficial Format

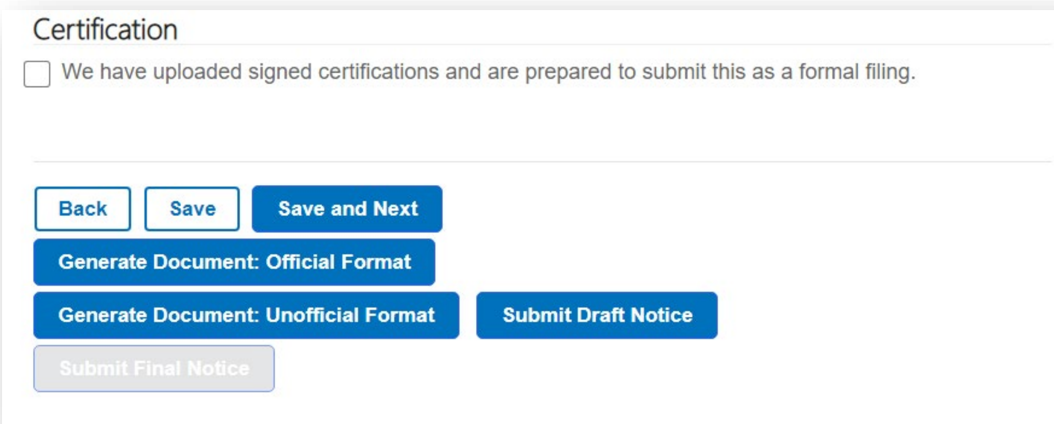
- For the 800 Declaration, navigate to the Submission Review page.
- Click on the Generate Document: Unofficial Format button.

You may need to refresh the page for the document to appear. You will notice that the unofficial format displays the information in the same order as it was entered in the CMS.



How to Export a Submission to Microsoft Word

- On the Submission Review page, click Generate Document.
- The system will display a banner stating the document has been generated.
- A link to the document is in the Microsoft Word exports near the bottom of the Submission Review page. You may need to refresh the page for it to appear.

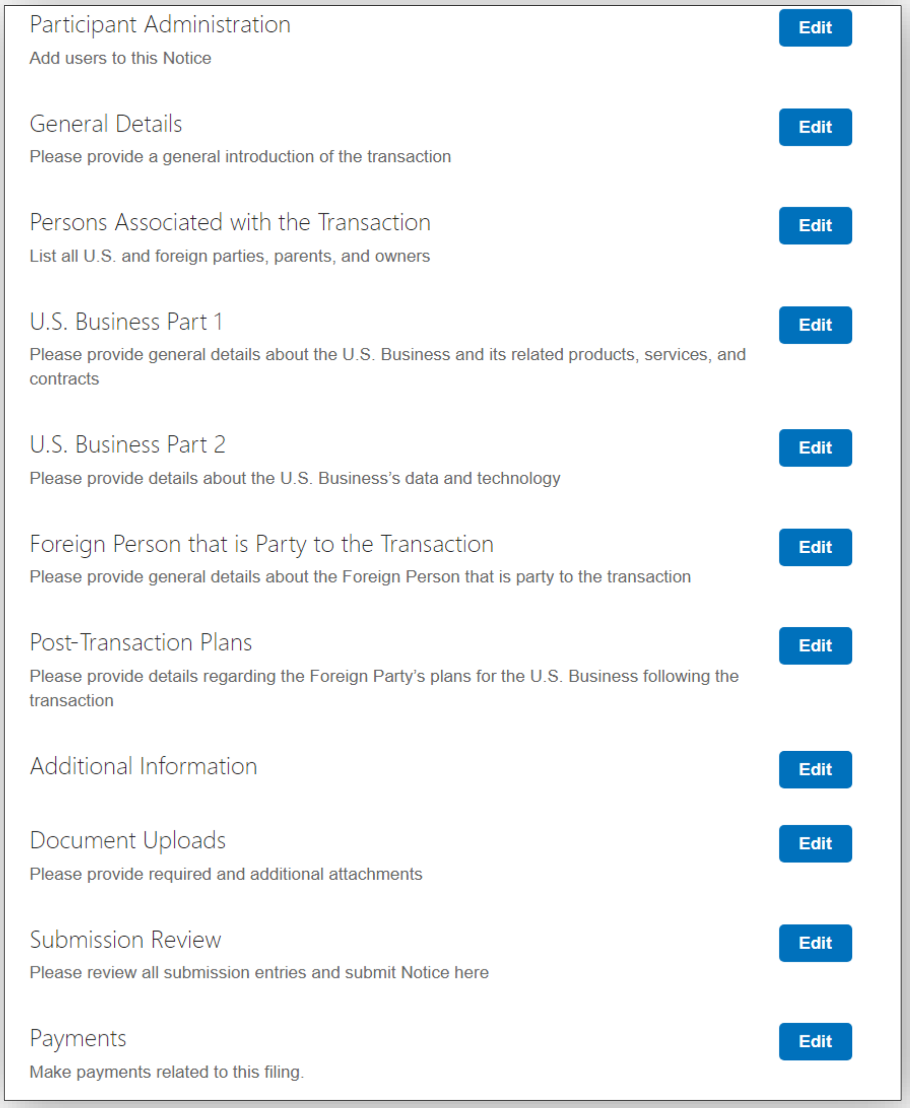


How to Pay a Filing Fee

Select the case for which to pay the fee from the Active Submissions page.

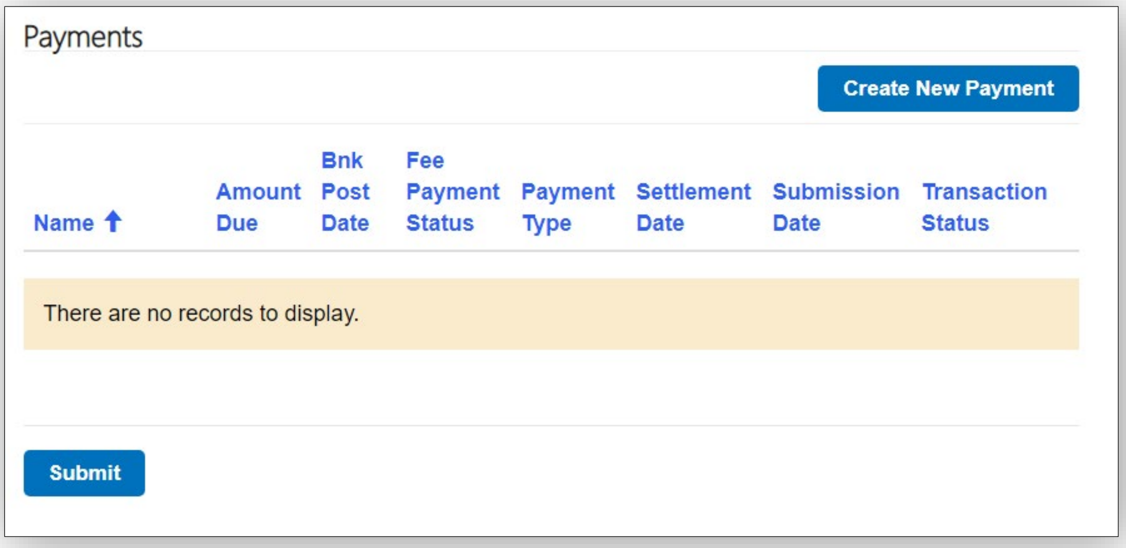
On the Notice Stages page, select the Edit button for the Payments stage.

Note: Stages displayed below are dependent on users' permissions. The Payments stage may be the only one displayed depending on the users' permissions.

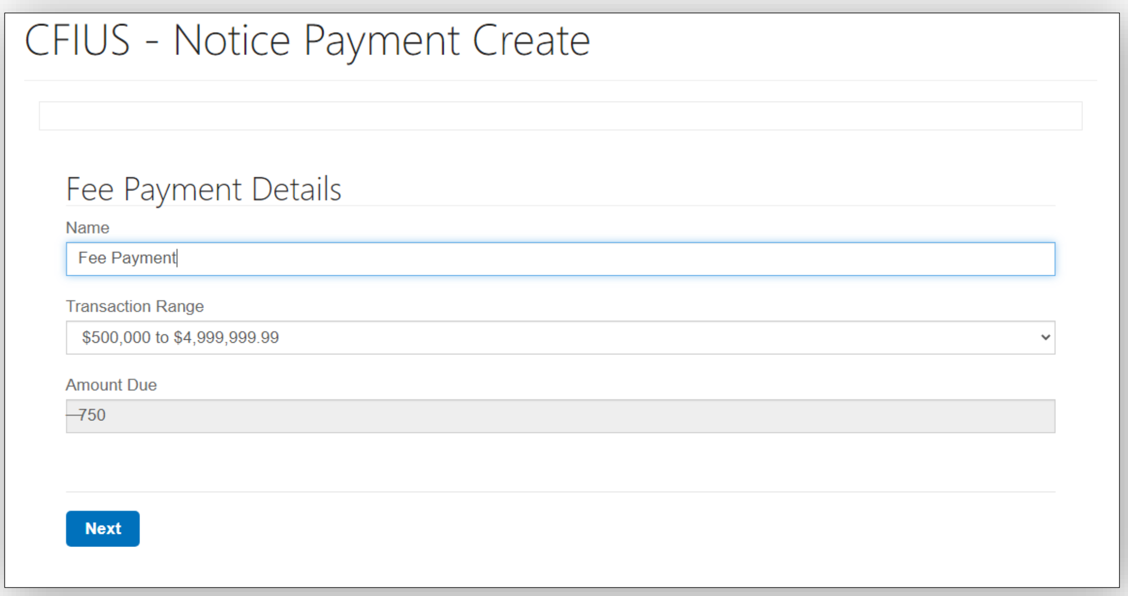


Note: Before submitting a payment, please ensure automatic debits are not blocked by your bank through an ACH Debit Block, ACH Positive Pay or ACH Fraud Prevention Filter on your account. To allow for automatic debits, contact your bank and add the U.S. Department of the Treasury's ACH Company ID of 2001000104 to your allowed list.

On the Payments page, select the Create New Payment button.



On the CFIUS – Notice Payment Create page, add a name to identify the payment. Select the Transaction Range value from the dropdown. The Amount Due will populate. Click Next.



The Portal will now redirect users to Pay.gov to complete the transaction. Provide the required checking or savings account information. Click Continue.

Review information below Review and submit payment. Read statement below Authorization and Disclosure—Consumers and Businesses.

Check the box to agree with the Pay.gov authorization and disclosure statement. Click Continue.

Committee on Foreign Investment in the United States (CFIUS)

Review and submit payment

* indicates required fields

Agency Tracking ID: 637319047075319506

Payment Amount: $750.00

Payment Method: ACH Debit

Account Holder Name: Test User

Account Type: Business Checking

Routing Number: 042000424

Account Number: ************2345

Authorization and Disclosure Statement:

Authorization and Disclosure--Consumers and Businesses

The debit transaction(s) to which you are agreeing are handled on behalf of Federal agencies by "Pay.gov," which consists of services offered by the U.S. Treasury Department's Financial Management Service. As used in this document, "we" or "us" refers to the Financial Management Service and its agents and contractors operating Pay.gov. "You" refers to the end-user reading this document and agreeing to it prior to engaging in a debit transaction.

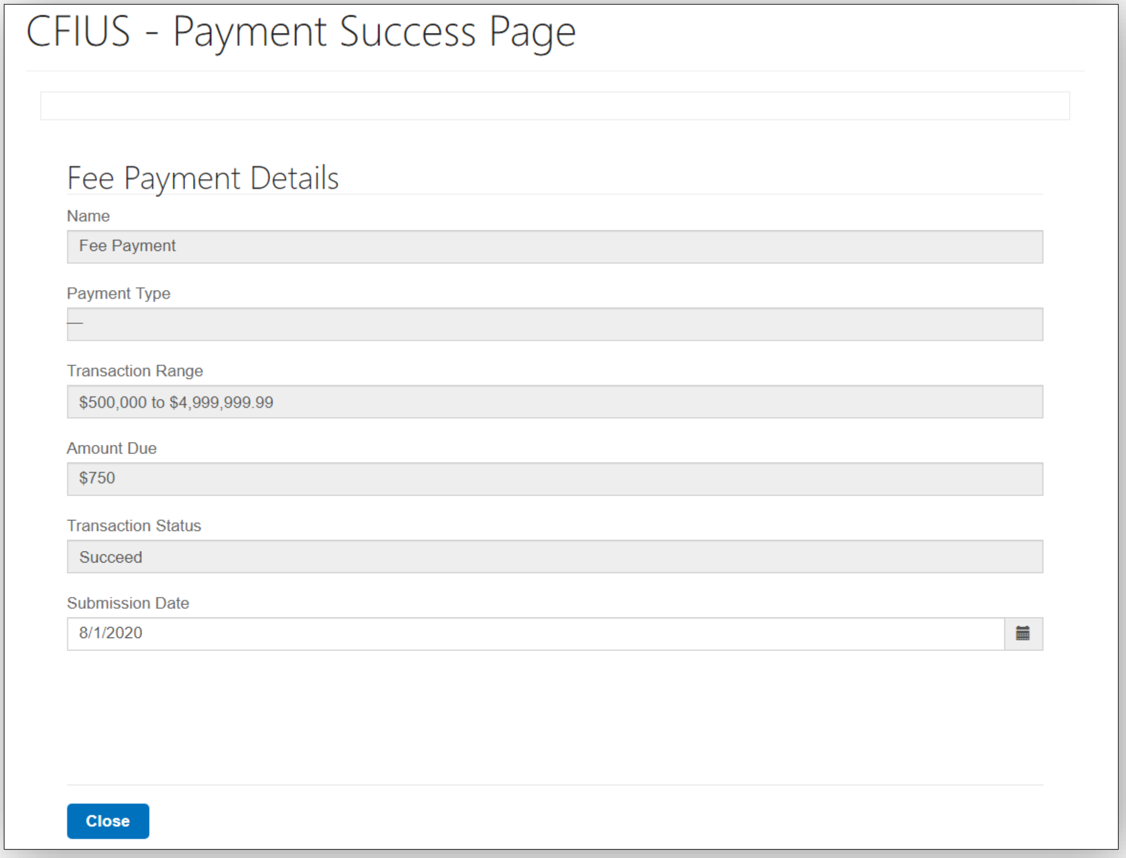
I. Consumers

A. Authorization

* ☑ I agree to the Pay.gov authorization and disclosure statement.

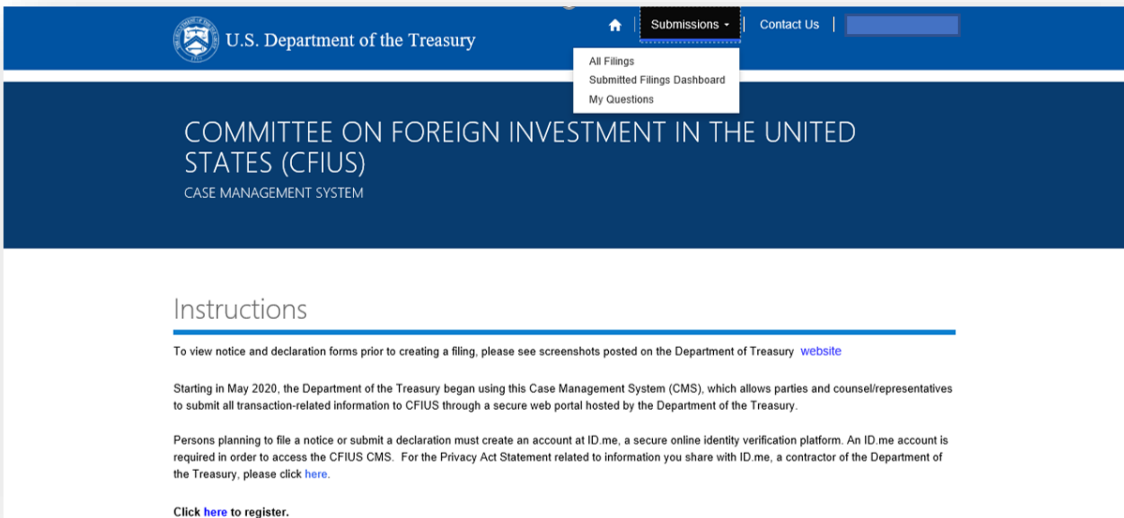
Previous   Cancel   **Continue**

Pay.gov will direct users back to the Portal.



How to Submit Answers to a Question Set

To access questions awaiting your response on your submission(s), click on the Submissions menu and select My Questions.

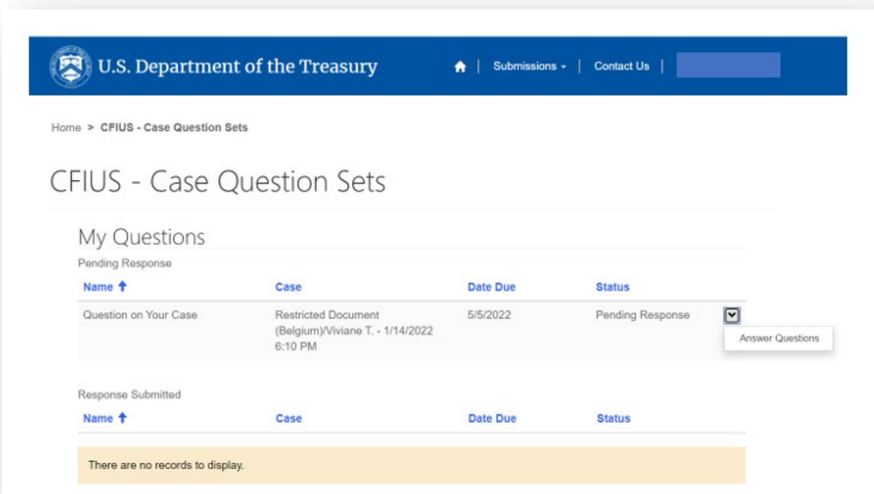


Questions related to your submissions pending your response and questions already answered will display on the CFIUS – Case Question Sets page.

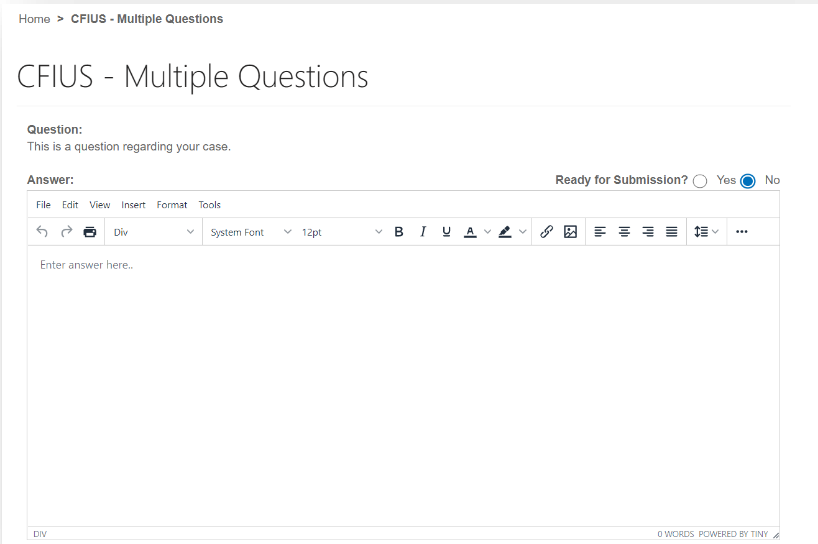
Access to question sets is managed by your case officer. If you do not see a question set, contact your case officer to enable your access to the question set accordingly.

To respond to a question that is pending a response, click on the Answer Questions dropdown.

Please note, information saved prior to submission is stored in the CMS web platform hosted by the Department of the Treasury and can be viewed. However, a CFIUS case officer will not begin review of the information until responses have been officially submitted.

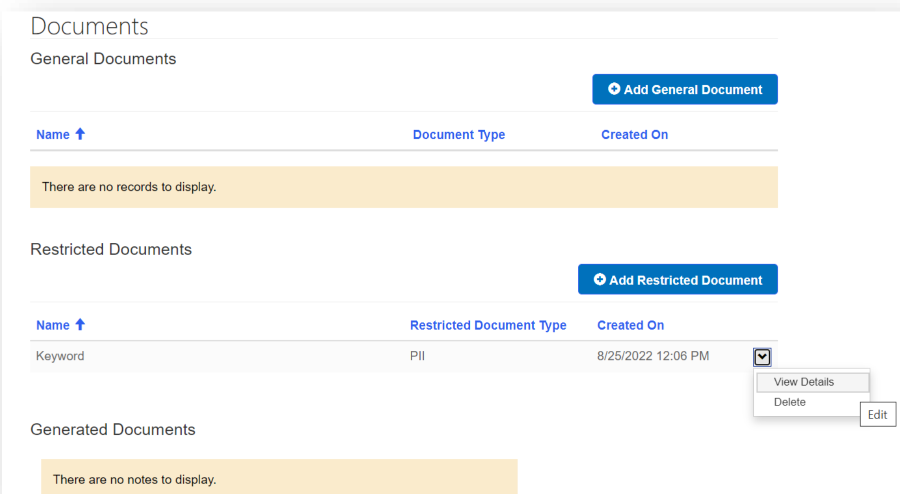


The CFIUS – Multiple Questions page displays. Please note there may be a different due date listed for a question if an extension has been granted. A page displays with all the questions related to your filing. You can answer each question accordingly by entering your response in the Answer rich text box.

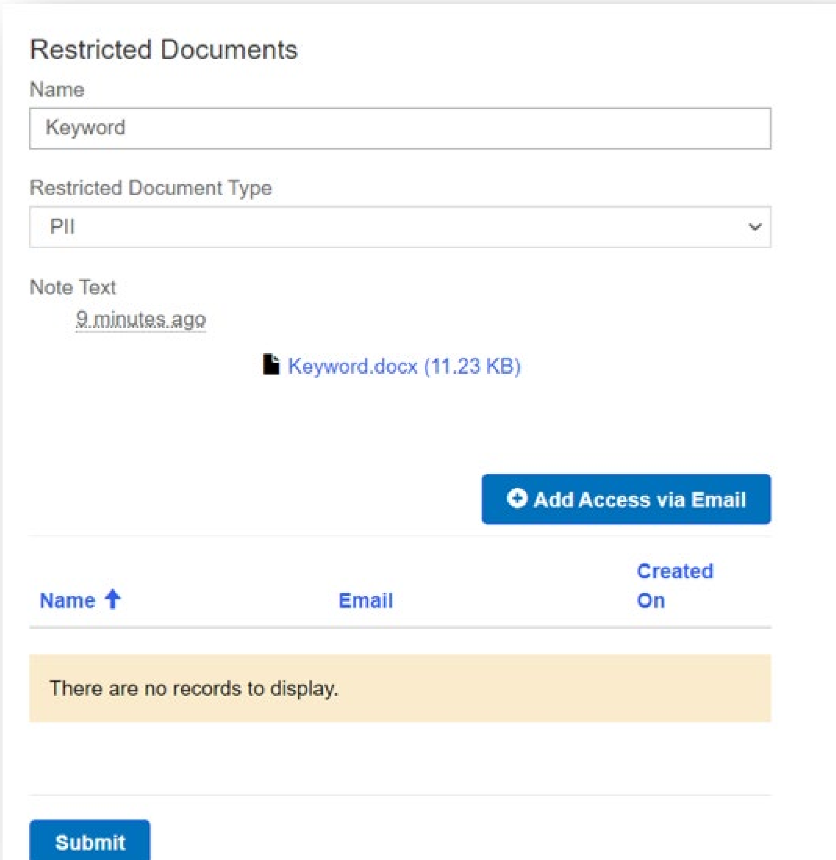


You can choose to upload an attachment to be associated with the given question. Scroll to the bottom of the CFIUS – Multiple Questions page to the General Documents and Restricted Documents sections to upload a document associated with your answer. Click on either the Add General Document button or the Add Restricted Document button accordingly.

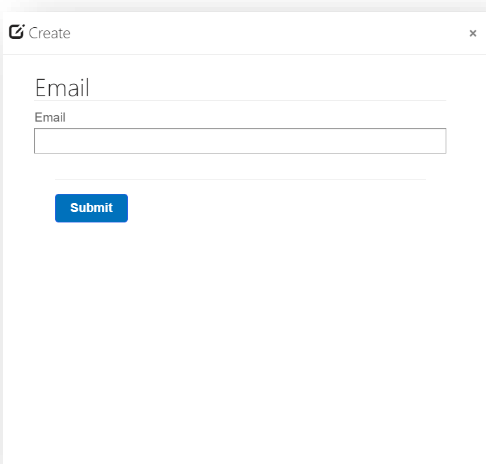
You are able to add users to restricted documents associated with a question set. Once you upload a restricted document, click on the View Details dropdown.



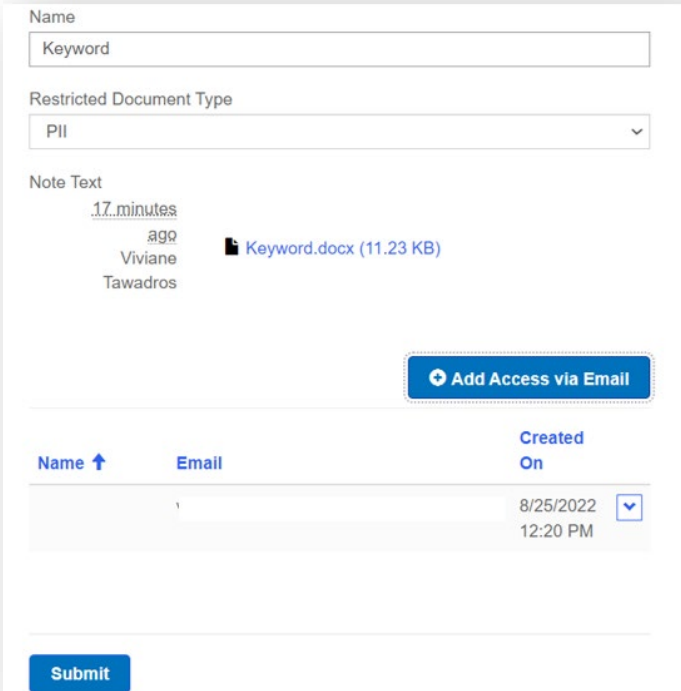
The Restricted Documents page displays. Click on the Add Access Via Email button to add a user to be able to view the restricted document.



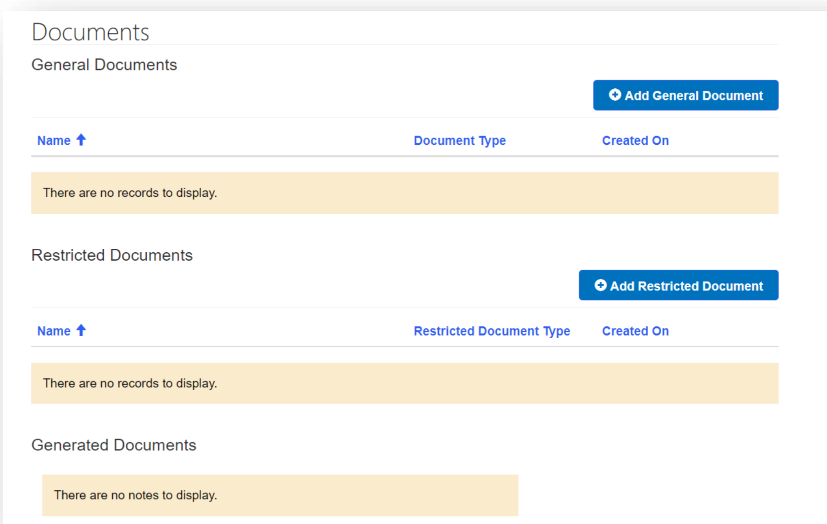
The Email page displays. Enter the email address and click on the Submit button.

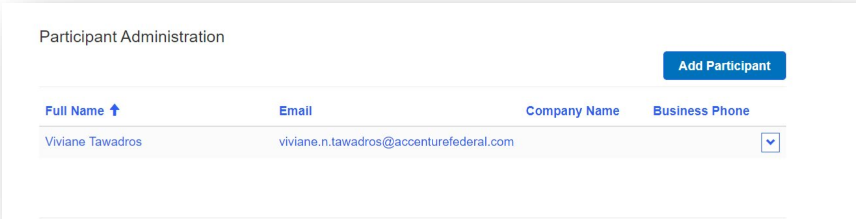


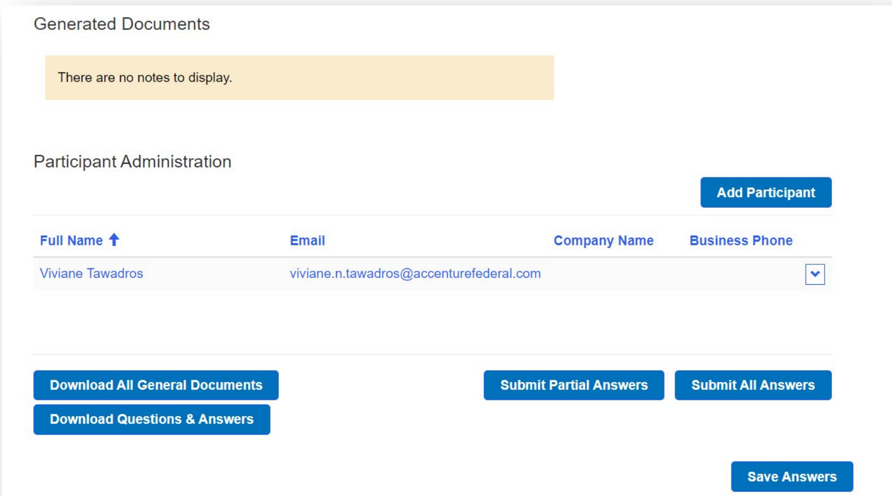
The email is added on the Restricted Documents page. Click Submit. This enables the system to match up the email address you entered to a contact in the system to allow for that permission.



You can also add users to question sets by clicking on the Add Participant button in the Participant Administration section on the CFIUS – Multiple Questions page.





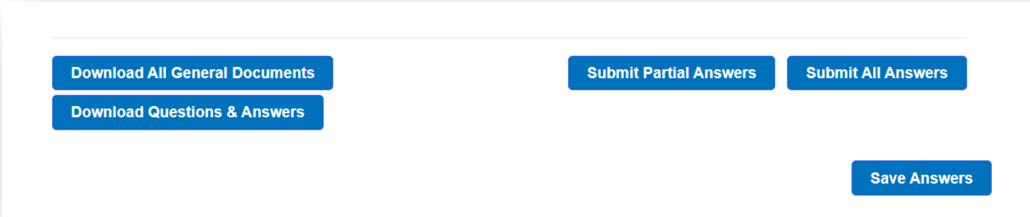


To save your answer response without submitting, click on the Save Answers button. The status of your response remains Pending Response on the CFIUS – Case Question Sets page.

To proceed with submitting certain questions from the question set, click the “Yes” radio button for “Ready for Submission?”. Select “Submit Partial Answers” and the questions marked for submission will be submitted to your Case Officer. You will still be able to answer the remaining questions in the given question set.

Once you submit responses to all answers, the status of your response updates to Response Received on the CFIUS – Case Question Sets page.

You can also generate a document of your question response by clicking on the Download Questions & Answers button. You can also download general documents by clicking on the Download All General Documents button.

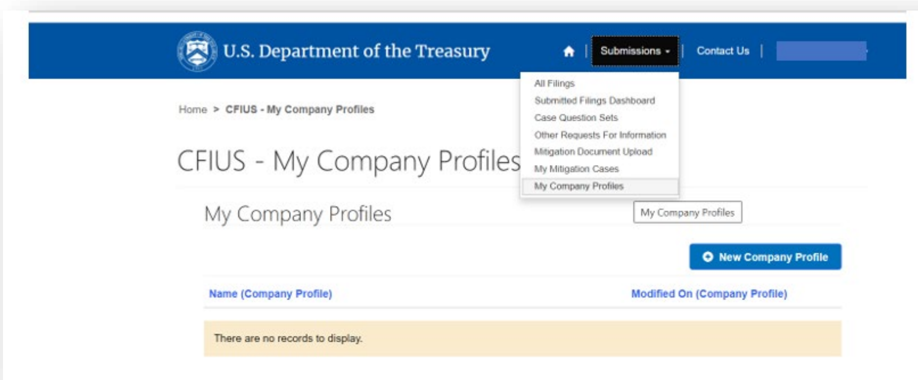


After you generate the document of your question response, you can click on the back button to return to your CFIUS - Case Question Sets page.

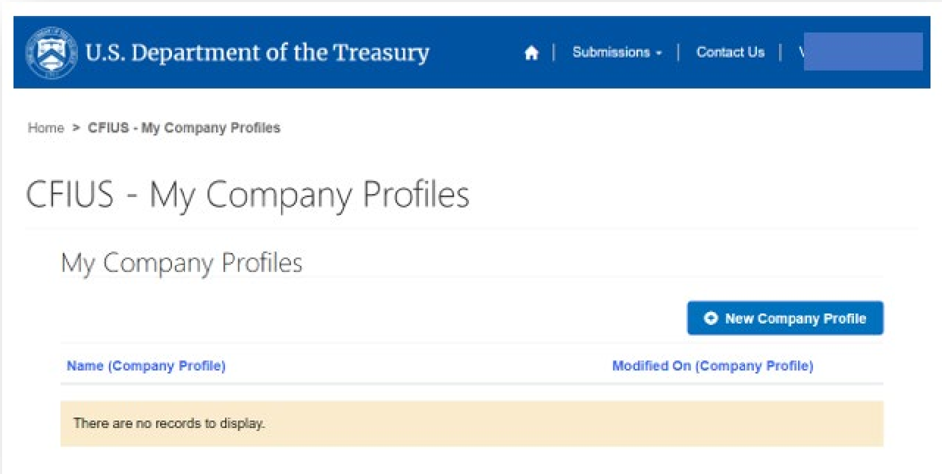
Responses to a question set sent in via this method will be visible to all others to whom the question set was distributed. If a question set was only distributed to one side of a transaction, the response will be confidential.

How to Create Company Profiles

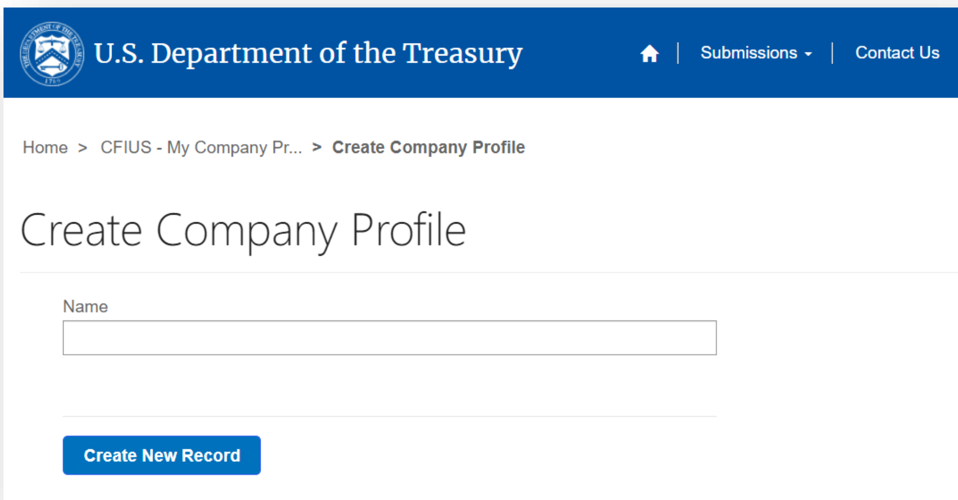
You are able to create a "Company Profile" which saves information regarding an acquirer that can be auto-filled into a newly created filing. You can add a company profile by selecting My Company Profiles dropdown on the Submissions dropdown.



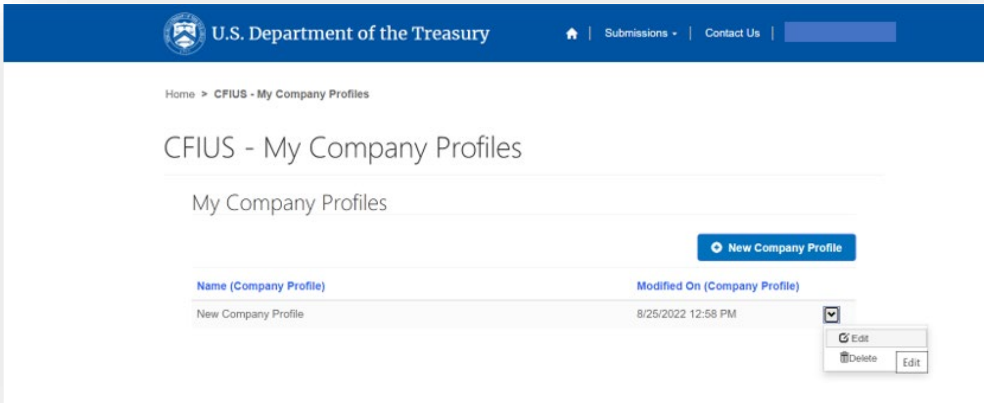
The CFIUS – My Company Profiles page displays. Click on the New Company Profile button.



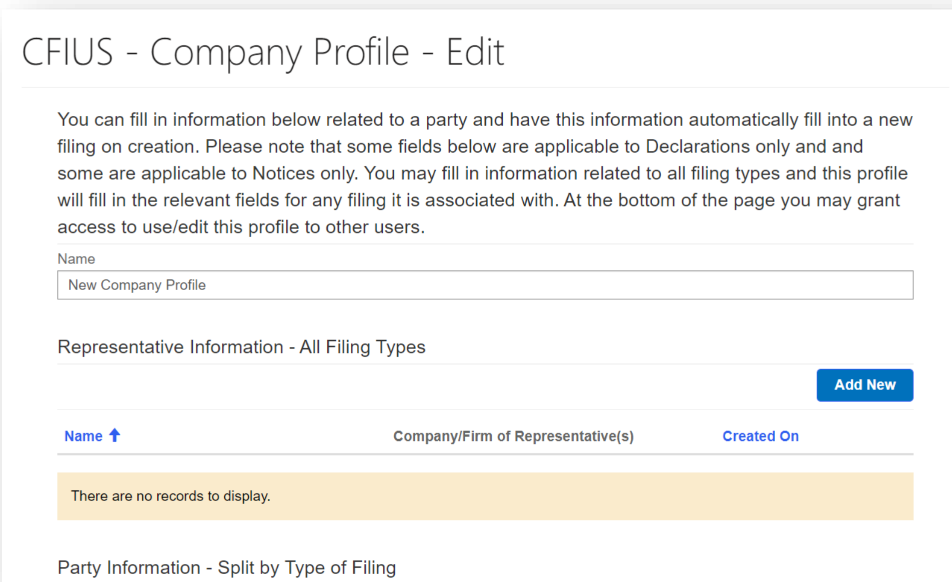
Enter the name of the new company profile. Click Create New Record button.



The new company profile record is created. Click on Edit.



The CFIUS – Company Profile – Edit page displays. You can then enter all the details associated with this profile. On this page you can enter information related to an acquirer regarding both Declaration and Notice questions. Information from the appropriate fields will fill in on either type of filing you create using this profile. Scroll down to click on the Save button once the details are entered.



At the bottom of the page, you also have a Participant Administration section where you can provide access to this profile to other users in the system. Simply add them here as you would for a filing and they will also be able to edit and use the profile you have created.

Contact Us

For questions concerning technical aspects of the CMS, please contact CFIUS.itsupport@treasury.gov.

For questions concerning the CFIUS process as it relates to the CMS, and for comments and feedback on the CMS, please contact CFIUS.cms@treasury.gov.

For questions concerning payment issues, please contact Pay.gov.