

Electronic Forms Submission (EFS): Help Document

Introduction:

The DTAS-Online Electronic Forms Submission (EFS) Help Document covers the following topics:

- Accessing EFS
- Begin a Submission
- Complete the Online Form Submission
 - Step 1: User Information
 - Step 2: Form Selection
 - Step 3: Additional Documentation
 - Step 4: Review and Submit Complete Package
 - Step 5: Receive Confirmation

Accessing EFS:

To access the EFS website you must first visit the DTAS-Online portal page (<https://pmddtc.state.gov/DTAS-Online/index.html>). Then click on the EFS Information Page or the Electronic Form Submission menu item.

The screenshot shows the DTAS-Online portal page. The header includes the U.S. Department of State logo and the text "U.S. DEPARTMENT OF STATE DIRECTORATE OF DEFENSE TRADE CONTROLS". The page title is "DTAS-Online". A navigation menu on the left lists various categories such as Home, About DDTC, Getting Started, Registration, DTAS-Online, DECCS Information Page, EFS Information Page, MARY Information Page, ELLIE Information Page, DTrade, Licensing, Compliance, Export Control Reform, Commodity Jurisdiction, Response Team, Regulations and Laws, Country Policies and Embargoes, Treaties, FAQs, Outreach, Metrics, Reports, Federal Register Notices, Links to Other Web Sites, DTAG, and Miscellaneous. The main content area features a table with five columns: DECCS, DTrade, EFS, MARY, and ELLIE. The EFS column contains the text "The Electronic Form Submission (EFS) is a web-based application which electronically transmits various DDTC form packages. Users download, complete then submit Department forms and attachments via this portal." Below this text are two links: "Access EFS Information Page" and "Access EFS Portal". The "Access EFS Information Page" link is circled in red. At the bottom of the page, there is a footer with contact information and copyright notices.

Figure 1 – DTAS-Online

Once you have clicked on the EFS Information Center Page link, the EFS information Center page will be displayed.

The EFS Information Center Page provides general guidance on how to use the system. The menu on the right side provides links to additional documentation about EFS such as frequently asked questions, guidelines and instructions, and the forms that can be submitted through the EFS application.

⚠ Review the EFS Information Center Page for the minimum system requirements and general guidance information.

Begin a Submission

1. To begin, click the **Begin Submission** link located in the right side menu bar on the EFS Information Center page.

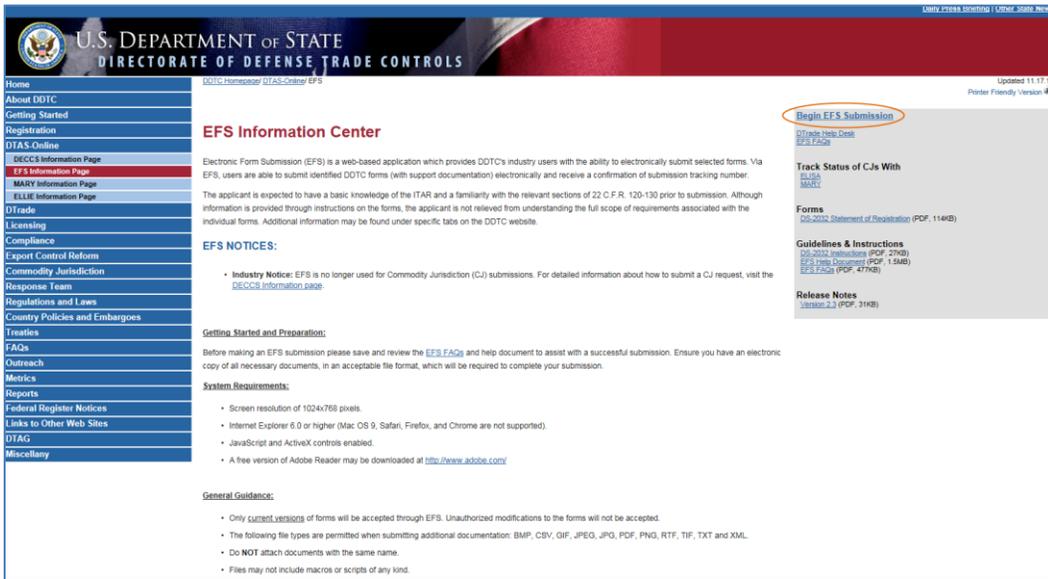


Figure 2 – EFS Information Page

2. The Directorate of Defense Trade Controls (DDTC) Conditions of Use and Privacy Notice will pop up. Read both the **Conditions of Use** and **Privacy Notice** carefully.

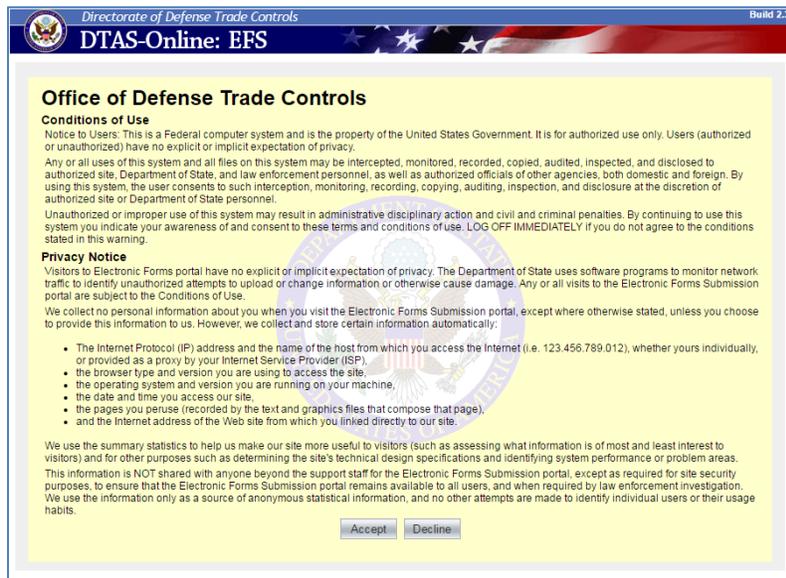


Figure 3 – Conditions of Use and Privacy Notice

3. Once you have read the conditions of use and privacy notice you have two options:
 - a. **Accept:** If this option is selected, you will be taken to the Electronic Form Submission site.
 - b. **Decline:** If this option is selected, you will be referred back to the EFS Information Center page.

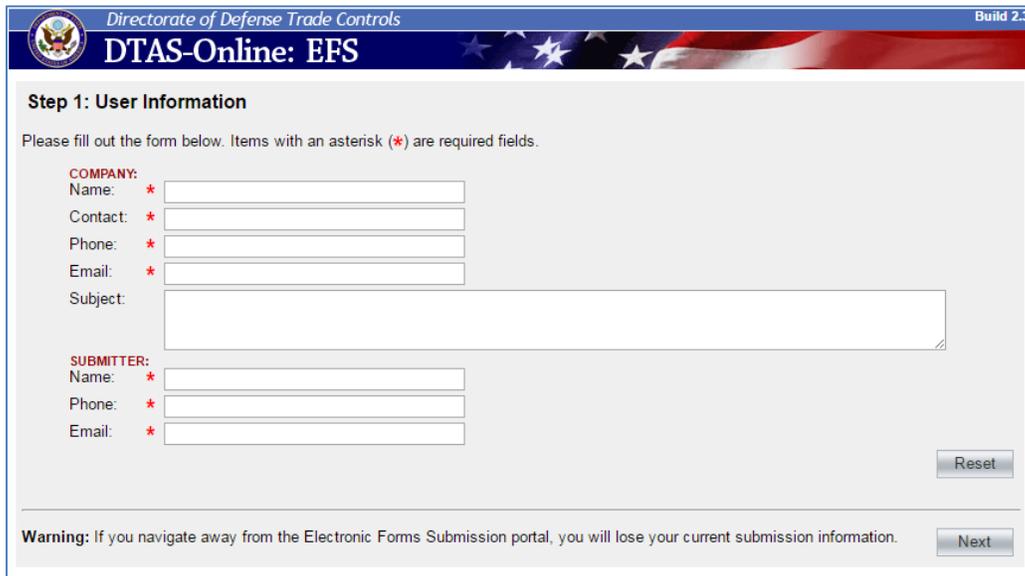
Complete the Online Form Submission

STEP ONE: User Information

1. Fill in **EACH** block marked with a red asterisk (*).
2. Ensure **ALL** information is accurate.

Note: To quickly reset the text fields click the **Reset** button ().

3. Now click the **Next** button () to proceed to step 2.



The screenshot shows a web browser window with the title "Directorate of Defense Trade Controls" and "DTAS-Online: EFS" in the address bar. The page is titled "Step 1: User Information" and includes a "Build 2.3" version indicator. The form contains two sections: "COMPANY:" and "SUBMITTER:". Each section has fields for Name, Contact, Phone, and Email, all marked with a red asterisk (*). The "Subject:" field is a larger text area. At the bottom right of the form is a "Reset" button. Below the form is a warning message: "Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information." and a "Next" button.

Figure 4 – Step 1: User Information

STEP TWO: Form Selection

Before beginning this section, ensure that you have the correct form to be submitted. The available forms for uploading through EFS can be found on the EFS Information Center page right side menu bar under "Forms". Make sure these forms are filled out and saved to your computer before you begin this process.

1. Select a form type from the Form Type drop down menu.
2. Click the **Browse** button () and locate your form from your personal list of documents

Note: This file **MUST** be the current PDF form generated by DOS.

Note: The browser will timeout after being idle for more than 10 minutes. A warning message will appear 1 minute before the session times out. If the session times out, any data entered into the web form will not be retained.



Figure 5 – Step 2: Form Selection

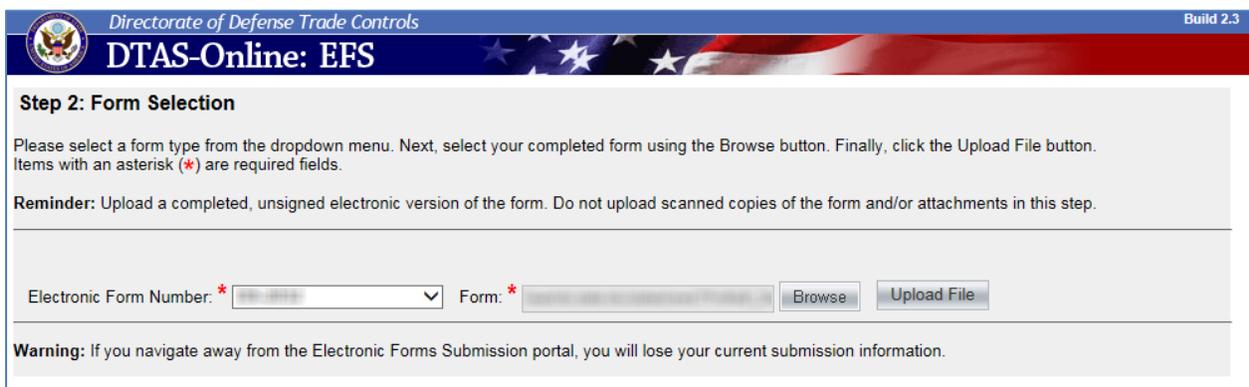


Figure 6 – Step 2: Browse for Appropriate Form

3. Once you have selected your form from your computer, click the **Open** button. The file name for the form will appear in the Form name field.
4. Now click the **Upload File** button (). A confirmation window appears.

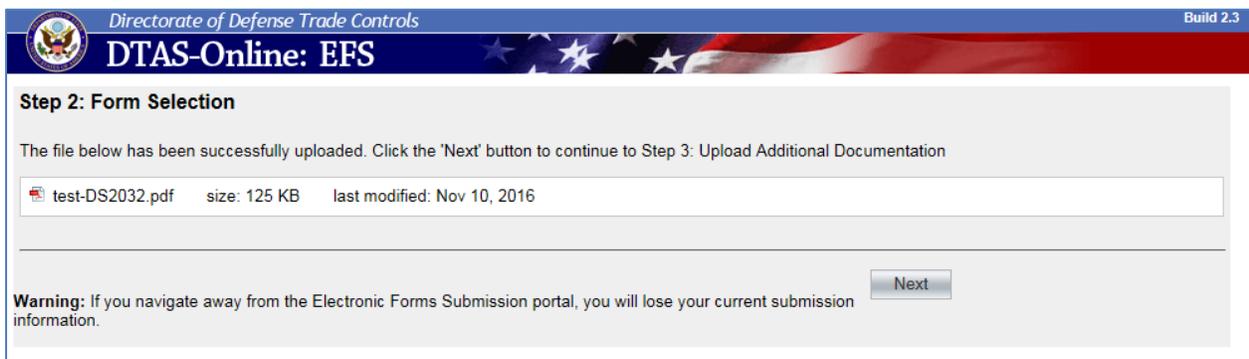


Figure 7 – Step 2: Upload Confirmation

5. Now click the **Next** button () to proceed to step 3.

Note: If you do not click the **Next** button and the browser remains idle for 10 minutes, the session will be cancelled. A warning message will appear 1 minute before the session times out. If the session times out, any data entered into the web form will not be retained.

Note: If you navigate away from EFS, the session will be cancelled. Data entered in to the web form will not be retained.

Error Messages during Form Upload

The following are different error messages during the form upload process and instructions on how they can be fixed.

Not in PDF format

- If you attempt to upload a document that is not in PDF format, you will receive an error message stating that “The file you attempted to upload was not a PDF”.



Figure 8 – Step 2: Error Message – Not in PDF format

- To correct this error, make sure the file you are uploading is a PDF.

Not an Authorized Department of State Form

- If you attempt to upload a PDF that is not authorized by the Department of State, you will receive an error message stating “The PDF may not have been created by the Department of State or someone may have attempted to modify it.”

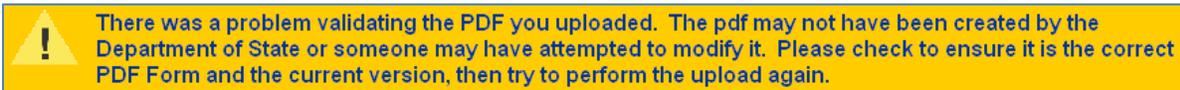


Figure 9 – Step 2: Error Message – Not an Authorized Department of State form

- To correct this error, make sure you are using the authorized DOS PDF form. Authorized forms are located on the EFS Information Center page. Note that if you are using a form previously saved to your desktop, it may be out of date—always download the latest version from the EFS Information page.

Blank Form Uploaded

- If you attempt to upload a file containing a blank form, you will receive the following error:

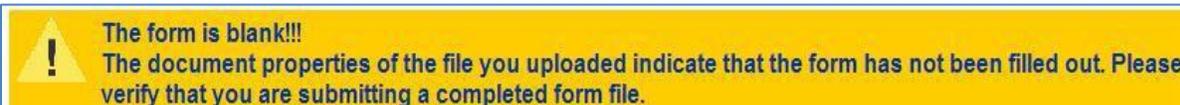


Figure 10 – Step 2: Error Message – Blank Form Uploaded

- To correct this error, ensure you are attaching the correct file that contains a completed form (e.g., DS-4076 or DS-2032).

STEP THREE: Additional Documentation

At this stage of the submission process you can upload additional documents. All files should be flattened, optimized and/or compressed as much as possible to minimize file transfer sizes. Individual files must be less than or equal to 35 megabytes in size.

Note: We do advise submitters to adhere to the following suggestions:

- Do **NOT** use most special characters (example: &, -, *, %, /, #, ', blank spaces and accent marks) with the exception of underscores (“_”) in the file name.
- Do **NOT** attach multiple documents with the same name.

Note: All blocks marked with a red asterisk (*) or highlighted with a red outline are required before you can submit the complete package.

DS-2032 Note: Block 12 identifies what additional documents are required based upon information entered into the form. One file per document type is allowed. If the proper documents as identified in the DS-2032 are not uploaded, the application will be rejected and you will be contacted by DDTC with instructions to resubmit.

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Step 3: Upload Additional Documentation

Instructions:
 Please upload all additional documentation and click the "Submit Complete Form Package" button.

To upload additional documentation:

- Click the radio button that corresponds to the appropriate additional documentation block.
- A new line will appear. Click the "Browse" button to locate the file on your computer and click the "Upload" button to submit the document.
- Once the file upload is complete you will have the option to remove the document by clicking "Remove ".
- Once you have completed uploading all additional documentation click the "Submit Complete Form Package" button.
- Please wait until you receive your confirmation page to ensure that your submission was successful.
- Save a copy of the confirmation page for your records.

Notes:

- Ensure that the documentation selected in block 12 of the DS-2032 form corresponds to the attachments you upload below.
- Attachment types outlined in red are required or were selected in block 12 of your DS-2032 form.
- You are allotted one file per attachment type for additional documentation.
- The document types allowed to be uploaded in this system are **BMP, CSV, GIF, JPG, PDF, PNG, RTF, TIF, TXT, XML**.

Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information.

Block 4: Foreign (i.e., Non-U.S.) Parent Designation:

Block 5: Lapsed Fee Calculation

Block 5: IRS Non-Profit Authorization

Block 5: Electronic Payment Confirmation

Block 6: Document Issued/Endorsed by Govt. to do business

Block 6: Registration Organizational Type "Other" Explanation

Block 7: U.S. Government Issued Permanent Resident Card

Block 11: Organizational Chart

Block 12: Indicted/Charged/Convicted Documentation

Block 12: DTCC Reinstatement Letter

Block 12: U.S. Government Ineligibility Notice

Block 12: U.S. Registrant - Foreign Owned or Controlled Explanation

Block 12: Broker Report

Block 12: Other Amplifying Data

Block 12: Signed and Scanned DS-2032

To ensure a successful submission, please wait until you receive your confirmation page.

I certify that the information provided for this submission is correct. I am aware that Federal law provides for imprisonment and/or fines for knowingly making a false statement or other fraudulent conduct in connection with a submission.

Figure 11 – Step 3: Upload Additional Documentation

1. Select the type of additional documentation you wish to upload. Click the radio button () next to the corresponding block in which you have additional documentation.
2. Upload your additional documentation by clicking the Browse button ().

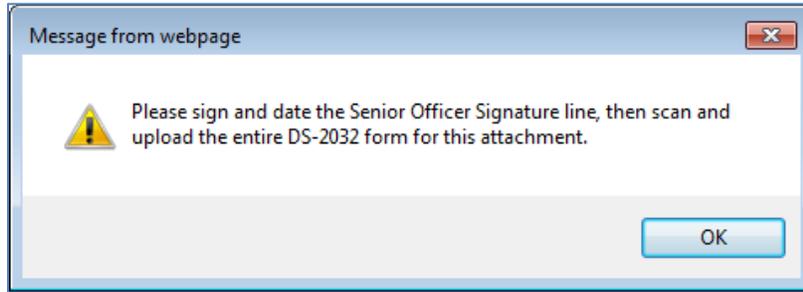


Figure 12 – Step 3: DS-2032 Reminder Message

DS-2032 Note: When you select Block 12: Signed and Scanned DS-2032 and click the **Browse** button, a message will be displayed to remind you to sign, scan and upload the entire DS-2032 form.

3. Select the document you wish to upload from your documents.
 - Note:** File must NOT include macros or scripts of any kind.
 - Note:** Allowable file types are BMP, CSV, GIF, JPEG, JPG, PDF, PNG, RTF, TIF, TXT and XML.
 - Note:** Do NOT use special characters (example: &, -, *, %, /, #, etc.) in attachment file names.
 - Note:** File size must not exceed 35 megabytes.
4. After you have selected your document, click the Open button. The **Upload File** button should now be activated.
5. Click the **Upload File** button and the document will appear in the space below.

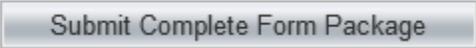
Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information.

<input type="radio"/> Block 4: Foreign (i.e., Non-U.S.) Parent Designation	
<input type="radio"/> Block 5: Lapsed Fee Calculation	
<input type="radio"/> Block 5: IRS Non-Profit Authorization	
<input type="radio"/> Block 5: Electronic Payment Confirmation	
Chrysanthemum.jpg	
<input type="radio"/> Block 6: Document Issued/Endorsed by Govt. to do business	
Desert.jpg	
<input type="radio"/> Block 6: Registration Organizational Type "Other" Explanation	
<input type="radio"/> Block 7: U.S. Government Issued Permanent Resident Card	
<input type="radio"/> Block 11: Organizational Chart	
<input type="radio"/> Block 12: Indicted/Charged/Convicted Documentation	
<input type="radio"/> Block 12: DTCC Reinstatement Letter	
<input type="radio"/> Block 12: U.S. Government Ineligibility Notice	
<input type="radio"/> Block 12: U.S. Registrant - Foreign Owned or Controlled Explanation	
<input type="radio"/> Block 12: Broker Report	
<input type="radio"/> Block 12: Other Amplifying Data	
<input checked="" type="radio"/> Block 12: Signed and Scanned DS-2032	
Koala.jpg	

To ensure a successful submission, please wait until you receive your confirmation page.

I certify that the information provided for this submission is correct. I am aware that Federal law provides for imprisonment and/or fines for knowingly making a false statement or other fraudulent conduct in connection with a submission.

Figure 13 – Step 3: Upload Successful Message

- Repeat steps 1-7 for every document that you would like to upload.
DS-2032 Note: Only one file per document type is allowed.
- Once all required documentation has been uploaded, the **Submit Complete Form Package** button will become activated.
- Click the **Submit Complete Form Package** button () to proceed to Step 4.

Removing Documents

If you wish to remove documents after you have uploaded them, you can do so by clicking the red X icon ().

Error Messages during Upload Additional Documentation

The following are different error messages and how they can be fixed during the form upload process.

Invalid File Type

- If you attempt to upload an invalid file type you will receive an error message stating that “You tried to upload an invalid file type. The valid file types are BMP, CSV, GIF, JPG, JPEG, PDF, PNG RTF, TIF, TXT and XML”.



Figure 14 – Step 3: Error Message – Invalid File Type

- To correct this error only use valid file types which are: BMP, CSV, GIF, JPG, JPEG, PDF, PNG RTF, TIF, TXT and XML.

Maximum Number of Attachments Uploaded

- If you are submitting a DS-4076 and attempt to upload more than 20 documents, you will receive an error message stating that “You have exceeded the allotted number of files to upload for this form. Try combining some of your documents and then try again.”



Figure 15 – Step 3: Error Message – Maximum Number of Attachments Uploaded

- To correct this error, you must remove some of your additional documents or combine multiple attachments into one file. Only 20 additional documents are allowed for each DS-4076 submission.

STEP FOUR: Review and Submit Complete Package

You now have the option to update your contact information or modify the documents uploaded.

Note: Only use the navigation buttons provided within the application, such as the Next button. Also note that back button navigation through the browser (e.g., right mouse click Back OR using the Back button in the browser if you use IE 6.0) may cause submission errors.

Step 4: Let's Review:
 Before you move to the next step in the submission process, please review your information. If you would like to change any contact information, click the "Update Contacts" button. If you would like to change any of the uploaded documents, click the "Modify Documents" button.

COMPANY:
 Name: test
 Contact: test
 Phone: 123-456-7890
 Email: test@state.gov

SUBMITTER:
 Name: test
 Phone: 123-456-7890
 Email: test@state.gov

Uploaded Documents

File Name	Document Type
Chrysanthemum.jpg	Electronic Payment Confirmation
Desert.jpg	Document Issued/Endorsed by Govt. to do business
Koala.jpg	Signed and Scanned DS-2032

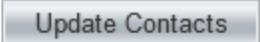
Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information.

Figure 16 – Step 4: Review and Submit Complete Package

If you have no changes

1. If there are no corrections or additions, click the **Next** button.

If you need to update the User Information

1. If you find errors in your contact information, click the **Update Contacts** button ().
2. You will now see this screen, where you can update your user information.

Update User Information
 Please make changes to the form below. Items with an asterisk (*) are required fields.

COMPANY:
 Name: * test
 Contact: * test
 Phone: * 123-456-7890
 Email: * test@state.gov
 Subject:

SUBMITTER:
 Name: * test
 Phone: * 123-456-7890
 Email: * test@state.gov

Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information.

Figure 17 – Step 4: Update User Information

3. You have the option to correct the information on this page.
4. If you want to revert to the original values, click the **Reset** button.
5. After you have made changes to your contact information, click **Continue** button.
6. You will now be referred back to the Step 4: Let's Review page; this page should reflect all changes you made.
7. If everything is correct, click the **Next** button.

If you need to modify the Additional Documentation

1. If you want to change or add additional documents, click **Modify Documents** ().
2. You will return back to the additional documentation page where you will follow the uploading document instructions again.
3. You should see all of the documents you have uploaded to your submission under the corresponding blocks.
4. Once again you have the option of removing documents before you submit the completed form package by clicking the red X icon () beside the document you wish to remove.
5. After you have added, deleted, or modified documents, click the **Submit Complete Form Package** button.
6. You will now be referred back to the Step 4: Let's Review page; this page should reflect all changes made.
7. If everything is correct, click the **Next** button.

STEP FIVE: Receive Confirmation

After you have clicked the **Next** button, you will receive a confirmation notice. The confirmation notice is a summary of your submission, including your transaction number, contact information, and a list of uploaded documents. You can print the receipt or save a PDF copy of the receipt by clicking the **Save Your EFS Receipt** button (). Please retain this document for your records.

Note: Failure to receive a confirmation receipt after submitting a form package denotes a failed submission and the applicant must resubmit.

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The Electronic Forms Submission Process is Complete.

Electronic Forms Submission Receipt

You must have information in this Receipt to make inquiries about your submission.
Please save a copy of this Receipt for your records by clicking the button below.

Transaction Number: 2032_20161110-227
Company Name: test
Company Contact: test
Company Phone: 123-456-7890
Company Email: test@state.gov
Submitter Name: test
Submitter Phone: 123-456-7890
Submitter Email: test@state.gov
Subject:
Form Submitted: DS-2032
Submission Start: 11/10/2016 04:23:39
Submission Complete: 11/10/2016 04:33:02

Documents Uploaded:

File Name	Document Type
test-DS2032.pdf	DS-2032 Form
Chrysanthemum.jpg	Electronic Payment Confirmation
Desert.jpg	Document Issued/Endorsed by Govt. to do business
Koala.jpg	Signed and Scanned DS-2032

Figure 18 – Step 5: Confirmation Page