Registering to Become a U.S. Government Contractor (SAM, CAGE, DUNS, UEI and NAICS)

Presented by:

Marie Salamone, Partner

Sammie Warnecki, Manager

Capital Edge Consulting Overview

Capital Edge Consulting Inc.

- Established in 2010

- Headquartered: National Capital Region

- Incorporated: Delaware

- Employs 50+ professionals

- Actively supports 200+ clients per year

- Recognized nationally and regionally:
  - Inc. 5000 3X
  - Inc. 5000 DC Metro: 2020
  - Washington Business Journal Fastest Growing Companies: 2020

- Go-to-resource for Government Contracting Compliance Expertise

- Go-to-resource for Government Contracting Compliance Public Training

Key Senior Leaders

Capital Edge employees combine their unique backgrounds and experience in public accounting, industry, DCAA and DCMA to provide unmatched government contracting expertise.

Chad T. Braley
CEO & Managing Partner
Mr. Braley is the company founder and leads the company's services and growth initiatives. He specializes in business and organizational improvement strategies within the constraints of federal procurement regulations. He is a frequent lecturer and expert in cost accounting and business systems compliance.

Stephen "Chase" Kunk, J.D.
Managing Partner
Mr. Kunk has both industry (Defense and Intel Community) and consulting experience. He has extensive experience in purchasing system compliance, CPSR readiness and risk mitigation, contract and subcontract negotiations, administration and management. He also serves as an expert witness and has been admitted under GAO protective order.

Sean O'Connor
Managing Partner
Mr. O'Connor spent several years in the Forensic Advisory practice for a Big 4 firm and currently works with both contractors and grantees. He has represented multiple clients with OIG settlements with disputes regarding GSA contracts and has considerable experience working with internal audit teams, re-engineering business processes, SOX compliance, and business systems compliance.

Paul M. Bailey, CPA
Partner
Mr. Bailey has served in executive leadership positions for major Defense contractors and several Big 4 firms. He is a published author on government contracting topics, has broad experience with federal procurement rules, has provided expert testimony, assists contractors and counsel with due diligence and resolution of contract disputes, accounting non-compliances and business systems compliance.

Marie Salamone, CCP, MBA
Partner
Ms. Salamone has more than 30 years of government contract cost accounting and compliance consulting as well as cost engineering, construction claims analysis and litigation experience in an array of industries that include pharmaceutical, defense, manufacturing, service, energy, and much more. Ms. Salamone's expertise includes FAR, CAS, agency supplemental regulations, incurred cost and forward pricing rate proposals, contract terminations, business system compliance, indirect rate modeling, cost engineering, and construction-related claims.

Gene Hansen, MBA, MS-Eng, Esq.
Partner
Mr. Hansen applies his 20+ years of experience in Aerospace & Defense (A&D) program managing large-scale system implementations, process improvement and change initiatives. He is experienced with multiple ERP, MES, and PLM systems and combines his machining, manufacturing engineering, business, and legal background into integrated process and systems development capability.

Tony Worick
Partner
Tony Worick specializes in enabling businesses to work with the United States Government, particularly in the aerospace, defense, and commercial sectors. He leverages his expertise in Federal Acquisition Regulation (FAR), Cost Accounting Standards (CAS), and Defense Federal Acquisition Regulation Supplement (DFARS) to help companies establish internal controls, monitor compliance, and achieve successful audit outcomes.
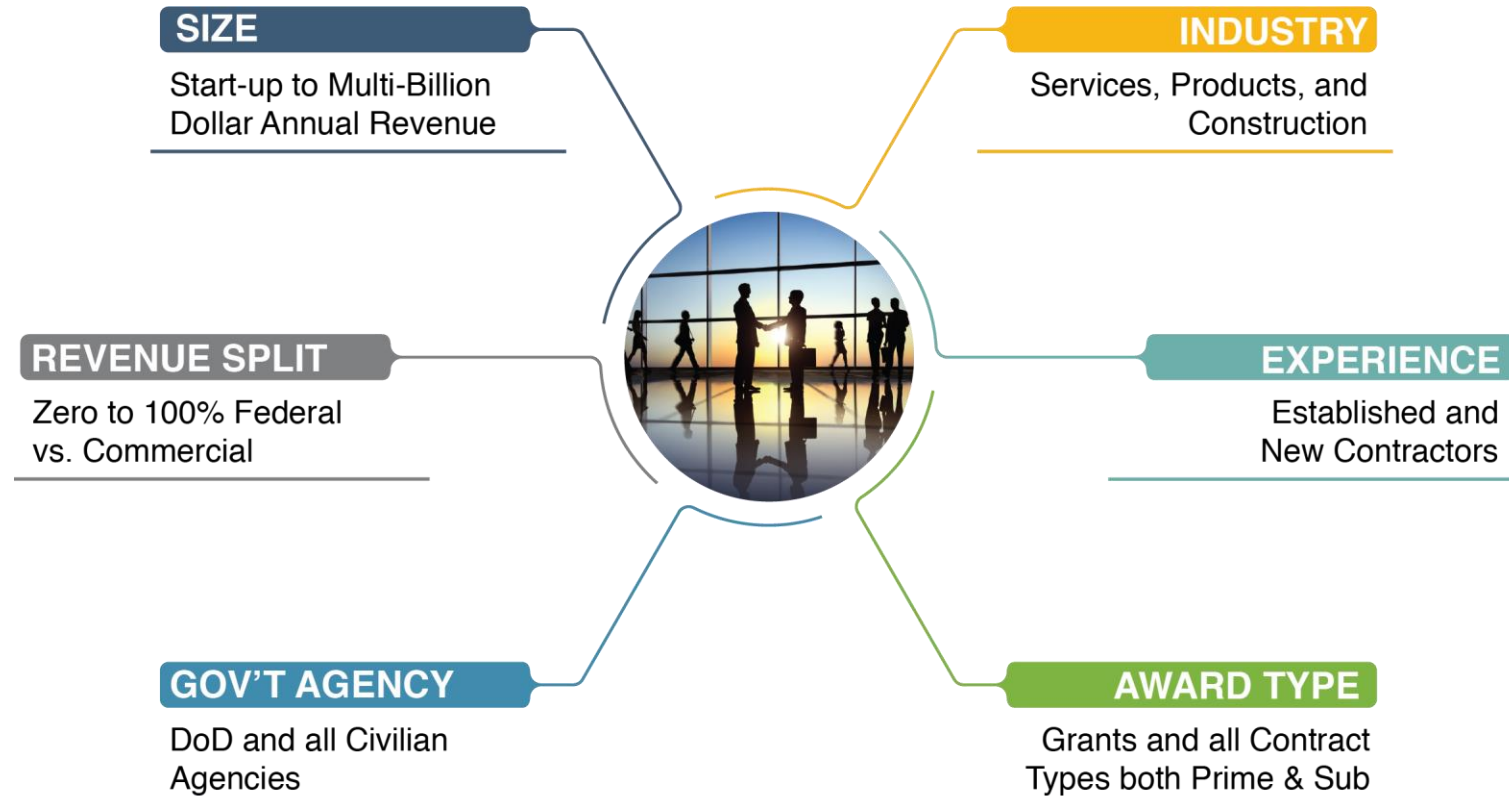
Value Proposition

As the largest consulting firm-of-its-kind, Capital Edge assists **government contractors** and **federal grant recipients** in navigating **regulatory and contractual compliance** across all industries that serve **local, state and federal government**. We are singularly focused on **delivering proven excellence**, successful outcomes and outstanding client experiences.

SINGULAR FOCUS	PEOPLE	SERVICE	EXPERIENCE	EXPERTISE
Helping federal government contractors solve complex business problems using established and proven methodologies.	Cohesive, entrepreneurial culture where people are our most significant asset. Backgrounds include DCAA, DCMA, Industry, and Consulting.	Proven excellence recognized by client retention and references. Agile and adaptable, providing personalized service.	Comprehensive services for a wide range of industries across both defense and civilian federal agencies.	Expert instructors in high-demand on a full spectrum of government contracting topics. Prominent in professional and industry associations.

Who We Work With

All entities receiving Federal funding

SIZE
Start-up to Multi-Billion Dollar Annual Revenue

INDUSTRY
Services, Products, and Construction

REVENUE SPLIT
Zero to 100% Federal vs. Commercial

EXPERIENCE
Established and New Contractors

GOV'T AGENCY
DoD and all Civilian Agencies

AWARD TYPE
Grants and all Contract Types both Prime & Sub

Comprehensive Solutions

Capital Edge provides both full service integrated solutions as well as selected services within four main areas:

- Organizational Strategy
- Compliance
- Accounting & Finance
- Contracts & Supply Chain
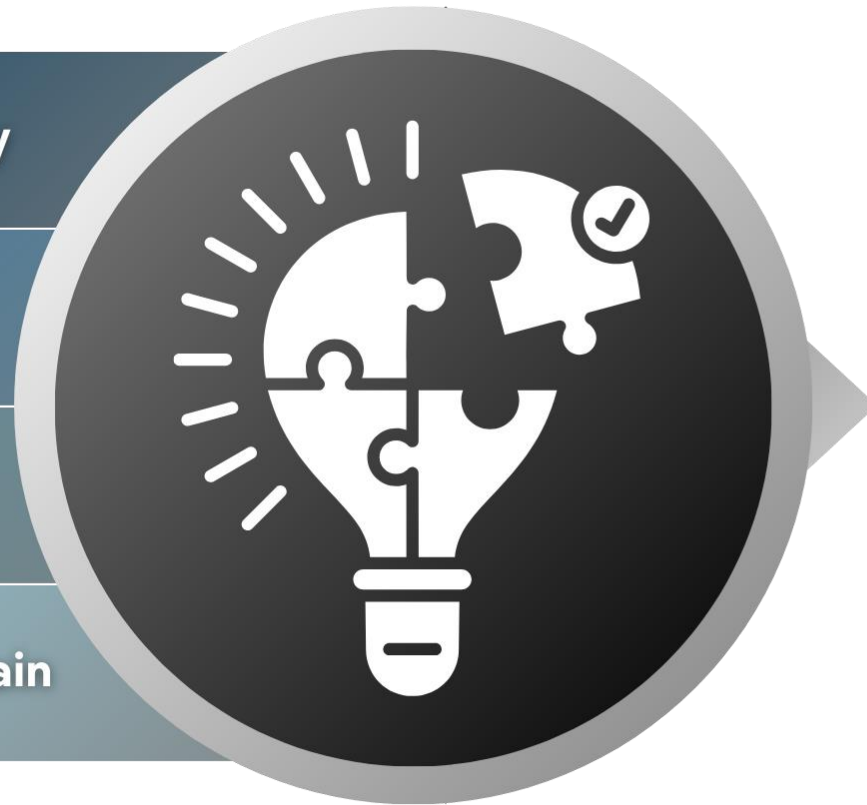
The Solution Model

Organizational Strategy
- Mergers and Acquisitions
- Business Strategy
- Transformation Planning
- GovCon Market Entry Support
- Isolating Government Business from Commercial Business
- Post-Merger Integration
- Business Process Improvement

Compliance
- Federal Acquisition Regulation (FAR)
- Agency FAR Supplements
- Cost Accounting Standards (CAS)
- OMB Uniform Grant Guidance
- Forensic Contract Reviews
- DCAA, DCMA, IG, DOE and other Civilian Agency Audit Support
- Business System Reviews
- Cyber Security
- Exposure Analysis

Accounting & Finance
- Incurred Cost Submissions
- Indirect Cost Rate Structures
- Provisional & Forward Pricing Rates
- Termination Proposals
- Cost Accounting Standards (CAS)
- CASB Disclosure Statements
- ERP Package Support
- Cost Proposal Development

Contracts & Supply Chain
- Contract and Grant Support
- Transformation Planning
- Proposal Support
- Purchasing Support (CPSR)
- Disputes and Litigation Support
- Earned Value Management (EVM)
- Cost and Price Analysis
- Commercial Item Determinations
- Equitable Adjustments
- Small Business Subcontracting
- GSA Schedule Support

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Organizational Strategy

Organizational Strategy

Key Functional Areas
Define the organization, policies, business processes, systems/technology, and monitoring/oversight of each element of the business structure.

Regulatory & Contractual Compliance

Finance & Accounting

Contract Pricing & Contract Management

Program Management

Human Resources Management

Business Development

Procurement & Subcontracting

Information Technology & Cyber Security

SCAN THE BARCODE TO ACCESS

CAPITAL EDGE CONSULTING RESOURCES

· Checklists · Guides · White Papers ·

· Articles · Complimentary Webinars ·

· Regulatory Updates · Newsletters ·

· Upcoming Events & Training ·

Marie Salamone, *CCP, MBA, Partner*

Marie has more than 30 years of government contract cost accounting and compliance consulting as well as cost engineering, construction claims analysis and litigation experience in an array of industries that include pharmaceutical, defense, manufacturing, service, energy, and waste management. Utilizing her expertise in the construction industry, Marie serves clients of all size by providing accounting, contracts, compliance, and claims support. She has developed numerous incurred cost proposals for a wide variety of clients, ranging from very simple to very complex rate structures with mix of contract types. Marie has also developed termination proposals, forward pricing proposals and policies and procedures for both large and small contractors across a number of industries.

Sammie Warnecki, *Manager*

Sammie has experience providing professional support to government contractors in government contract cost accounting, regulatory compliance, estimating, procurement, and training. Sammie is skilled in the areas of the Federal Acquisition Regulations (FAR), Defense Federal Acquisition Regulation Supplement (DFARS), Department of Energy Acquisition Regulation Supplement (DEARS), Cost Accounting Standards (CAS), Davis-Bacon Act, Service Contract Labor Standards (formerly SCA), Davis-Bacon Act, SAM.gov Registrations, and Contractor Purchasing System Reviews (CPSR). She has also supported clients with the preparation of Incurred Cost Submissions (ICS), Forward Pricing Rate Budget estimates, and Provisional Rate Models. Sammie has also developed training curricula pertaining to property management, cybersecurity, contract types, incurred cost submissions, billing, and provisional rates.

- Overview – What is SAM.gov?
- Contract Opportunities & Contract Data
- Entity Information & Entity Reporting
- Federal Hierarchy
- Assistance Listings
- Wage Determinations
- Entity Registration
- Types of Information Required for Registration
- DUNS → UEI

- Entity Validation Process

- NAICS Codes

- Administrator Transfer Process

- Significance of TIN, UEI, CAGE/NCAGE and SAM Identical Information Alignment

- NAICS Codes & Small Business Size Determinations

- Reps and Certs

- Common Pitfalls and Tips for Success

- Summary of Changes to SAM.gov

- Federal Service Desk Support

What is the main reasoning for joining this training?

a) I need to start or update my SAM.gov registration

b) I want to know all the functions that SAM.gov has to offer

c) I don't have a government contract but want to bid on one and need to know where to start

d) Other

- The System for Award Management (SAM.gov) is an official website of the U.S. Government.

- There is no cost to use SAM.gov.

- You can use this site to:
  - Register to do business with the U.S. Government
  - Update, renew, or check the status of entity registration
  - Search for entity registration and exclusion records
  - Search for assistance listings (formerly CFDA.gov), wage determinations (formerly WDOL.gov), contract opportunities (formerly FBO.gov), and contract data reports (formerly part of FPDS.gov).
  - View and submit BioPreferred and Service Contract Reports
  - Access publicly available award data via data extracts and system accounts

Contract Opportunities & Contract Data

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- Formerly FedBizOps (FBO)

- Federal Contract Opportunities or listings greater than $25,000 with their synopses of proposed contract actions, solicitations and associated information can be accessed on SAM.gov by the public

- Search specific contracts by number, or any opportunity using keywords.

Use the Advanced Search to filter opportunities by Keywords, Federal Organizations, Dates, Notice Type, Product or Service Information, Set Aside, Place of Performance, Contract Awardee, or Status (Active/Inactive)

- Additional filters can be added to ensure the correct opportunity is returned

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❧ Formerly FPDS.gov

❧ Contract data reports provide detailed information on awarded contracts and can be downloaded for detailed analyses.

- Contract data provides detailed information on all contract actions that are required to be reported by federal agencies.

❧ Types of Reports that can be run

- Standard reports: information about contract activity
- Static reports: reports prepared on a fiscal year basis for the public and aggregate data across the Federal Government
- Administrative reports: available to Federal users (assigned appropriate roles)
- Ad Hoc Reports: reports with the ability to select data fields from the database to run a query

Entity Information & Entity Reporting

Was FAPIIS.gov

Prime Contractors, Organizations, any U.S. federal government agencies desiring to do business with the government can be found on SAM.gov if they have completed their registration and indicated they would like to make their entity information public within their registration.

Suspended or debarred parties can also be found on SAM.gov using the excluded parties list.

A SAM.gov personal account will need to be made in order to search Entity Information.

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Federal Hierarchy

- The federal hierarchy is the authoritative source for managing and referencing federal funding and awarding organizations.
  - A directory that organizes federal government users and establishes relationships between each department or independent agency's sub-tiers and its offices.

How Do I Search the Federal Hierarchy?

There are two ways to search the Federal Hierarchy:

Option 1:

- Log in to SAM.gov account and follow the instructions below:
    - From the homepage, select "Federal Hierarchy"
    - Enter a search term such as a department or sub-tier name or code into the search box and hit Enter.
    - Select the item you are interested in from the search results. You can use the filters on the left side of the page to narrow down results.
    - If you are interested in following the item, you can select the "Follow" link above the organization's title. You can unfollow items from the account Workspace.

The Official U.S. Government System for:

Contract Opportunities

Contract Data
(Reports ONLY from fpds.gov)

Wage Determinations

Federal Hierarchy
Departments and Subtiers

Assistance Listings

Entity Information
Entities, Disaster Response Registry, Exclusions, and Responsibility/ Qualification (was fapiis.gov)   NEW

Entity Reporting
SCR and Bio-Preferred Reporting

Option 2:

- Click on the "search" tab at the top of the homepage

- Select the "Federal Hierarchy" domain and conduct the search the same way you would in the previous example.

Select Domain
Federal Hierarchy

All Domains
Contract Opportunities
Assistance Listings
Entity Information
Federal Hierarchy
Wage Determinations

True or False: Proposed contract actions, solicitations, and associated information can be accessed electronically by the public on SAM.gov.

Assistance Listings

Assistance Listings

- Assistance listings are detailed public descriptions of federal programs that provide grants, loans, scholarships, insurance, and other types of assistance awards. You may browse assistance listings across all government agencies to learn about potential funding sources.

- If you are an entity looking for federal assistance, you can conduct preliminary planning using SAM.gov. Browse assistance listings across all government agencies to form a "big picture" of available options.

- You can keep track of opportunities or entities by clicking the "Follow" button at the top of the screen following the opportunity search.

- There is also an Assistance Listings catalog at the bottom of the Assistance Listings page on SAM.gov.

Data Services

Data Services provides File Extracts that can be downloaded.
- Provide the full data set dated back to 2014.

Wage Determinations

- Wage determinations are mandated minimum wage rates and fringe benefits determined by the Department of Labor (DOL) that must be paid by federal contractors to their employees based on the county the work is performed for work on federal contracts.

  - Davis Bacon Act (DBA): contracts in excess of $2,000 involving the United States or the District of Columbia for construction, alteration, or repair of public buildings or public works within the U.S., must contain FAR 52.222-6 that no laborer or mechanic employed directly upon the site of the work shall receive less than the prevailing wage rates as determined by the U.S. Secretary of Labor.

  - Service Contract Labor Standards: formerly Service Contract Act (SCA) establishes standards for prevailing compensation and safety and health protections for employees performing work for contractors and subcontractors on service contracts involving the federal government and the District of Columbia:

    - Service contracts $2,500 and under, SCA Section 2(b) (1) requires payment of the minimum wage in the Fair Labor Standards Act.

    - Service contracts more than $2,500, the act requires the contracting officer to incorporate the requirements into the contract.

- If you know the SCA or DBA Identifier, you can simply input it into the search bar and the Wage Determination (WD) will appear.

- If you do NOT know the SCA/DBA Identifier, search by either Construction work or Service Contracts and find the WDs that way.

Select Domain
Wage Determinations

By Wage Determination ID

Construction (DBA)

Service Contracts (SCA)

Collective Bargaining Agreement (CBA)

Filter By

Location

State

Select...

County/ Independent City

Select...

DBA Construction Type

Select...

Status

☑ Active

☐ Inactive

SAM.gov Entity Registration

- Current and potential U.S. Government contractors, subcontractors, and vendors must register in SAM.gov to be awarded U.S. Government contracts.

- Registering with SAM.gov enables U.S. Government agencies and contractors to search for companies based on:
  - Entity
  - Purpose of Registration
  - Entity Type
  - Socio-Economic Status
  - Product or Service Information
  - Location
  - Entity Status

Register Your Entity or Get a Unique Entity ID

Register your entity or get a Unique Entity ID to get started doing business with the federal government.

Get Started

Renew Entity

✓ **Check Entity Status**

- One-time registration providing basic information

- Registration must be updated/renewed annually to keep an active status ***Start Early***

- If a company had an active record in CCR (Central Contractor Registration), they have an active record in SAM.gov
  - CCR transitioned to SAM.gov July, 30, 2012.

⚼ A change in business circumstances require a records update in SAM.gov. Examples include but are not limited to:

- Change in Addresses and Phone Numbers
  - ➤ Full registration renewal
- Personnel Changes - Electronic & Government Points Of Contact (POCs)
  - ➤ New option to update only POCs and not renew entire registration
- Changes in Goods & Services
  - ➤ Full registration renewal

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Significance of Identical Info Alignment

- When recording information in the SAM.gov registration, it must match identically to the support used to fill out the information
  - For example: Address on entity's tax information is 1234 GovCon Street Suite 100
    - Street – not St. or St
    - Suite – not Ste., Ste, St
  - For example: Company name on entity's Articles of Incorporation is Capital Edge Consulting, Inc.
    - Capital Edge Consulting, Inc. – not Capital Edge Consulting Inc or Inc.
- SAM.gov, Defense Logistics Agency (DLA), and other service platforms will not return the correct company and information or may not return any results at all if the information does not match identically.

Types of Information Required for Registration

- A Commercial and Government Entity (CAGE) Code is a 5-character ID number assigned by the DLA used extensively within the U.S. Government.

- CAGE codes support various mechanized systems throughout the U.S. Government and provide a standardized method of identifying a given legal entity at a **specific location.**

CAGE CODE
1L4R1
Registered

- CAGE codes support various mechanized systems throughout the U.S. Government and provide a standardized method of identifying a given legal entity at a **specific location.**

- Used for facility clearance or a pre-award survey

- U.S. entities NOT receiving federal contracts/grants can request CAGE Codes for:
  - Requesting Facility Security Clearance
  - Assignment of a Department of Defense Activity Address Code (DODAAC)
  - Fulfill the FAR Subpart 4.18 requirement for Ownership of Offeror to identify their Immediate Owner and/or Highest-Level Owner
    - If a company's immediate owner does not intend to do business with the Government directly, the immediate owner will need to request a CAGE code directly from the DLA Branch by completing their request online
    - DLA Customer Interaction Center:
      - Dlacontactcenter@dla.mil
      - Commercial 1-877-352-2255 or DSN 661-7766

How To Obtain a CAGE Code for New Entities

- When a company submits its Entity Registration for processing in SAM.gov for the first time, SAM.gov will send the submitted entity information to the DLA for CAGE Code assignment.
  - Once SAM.gov receives the code from the DLA, they will apply it to the respective Entity Registration.

- No cost for obtaining a CAGE Code.

- No CAGE Code needed prior to registering with SAM.gov.

- DLA may request more information for assignment of the CAGE code.

- CAGE code can also be renewed or requested at Commercial and Government Entity Program (dla.mil).

- NATO Commercial and Government Entity (NCAGE) Codes are CAGE codes for entities **outside of the U.S.**

- NCAGE Codes are a part of the NATO Codification System (NCS), and are required for foreign entities before completion of SAM.gov registration.

- Before requesting an NCAGE Code visit US-Instructions-for-NSPA-NCAGE.pdf (usembassy.gov)

- Application for the NCAGE Code for entities outside the U.S.: NCAGE Code Request Tool (nato.int)

NAICS Codes

- NAICS (North American Industry Classification System) is a classification system developed by the United States, Canada, and Mexico to standardize the collection, analysis, and dissemination of industry statistics.

- Adopted in 1997 to replace the Standard Industrial Classification (SIC) system and improve the comparability in business statistics among North American countries.

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Helps in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the business economy.

Used:

- by government agencies for statistical purposes,
- by businesses for strategic planning, and
- by researchers for economic analysis.

- Six-digit hierarchical system
  - Greater flexibility than the four-digit structure of SIC, which was developed and altered for over 60 years prior to the adoption of NAICS
  - Classifies the economy into 20 sectors
- An entity may only have one Primary NAICS code
  - If operating in multiple activities, may have any number of additional secondary codes

Coding Structure of NAICS Code (cont.)

- Example:
  - First 2 digits identify the sector (e.g. 11 – Agriculture, Forestry, Fishing and Hunting)
  - 3rd digit identifies the subsector (e.g. 114 – Fishing, Hunting, and Trapping)
  - 4th digit identifies the Industry Group (e.g. 1141 – Fishing)
  - 5th digit identifies the NAICS Industries at a level at which Canada, Mexico, and the United States formally agreed to maintain comparability (e.g., 11411 – Fishing)
  - 6th digit identifies the U.S. detail (e.g. 114112 – Shellfish Fishing)

As of April 30, 2024:

Code	Sector Title	Number of US Entities			
			53	Real Estate Rental and Leasing	936,111
11	Agriculture, Forestry, Fishing and Hunting	372,015	54	Professional, Scientific, and Technical Services	2,524,263
21	Mining	33,488	55	Management of Companies and Enterprises	94,577
22	Utilities	52,259	56	Administrative and Support and Waste... Services	1,574,695
23	Construction	1,534,543	61	Educational Services	434,159
31-33	Manufacturing	664,398	62	Health Care and Social Assistance	1,707,966
42	Wholesale Trade	704,874	71	Arts, Entertainment, and Recreation	391,011
44-45	Retail Trade	1,880,608	72	Accommodation and Food Services	928,815
48-49	Transportation and Warehousing	723,573	81	Other Services (except Public Administration)	1,967,778
51	Information	375,419	92	Public Administration	256,687
52	Finance and Insurance	782,710		**Total US Business Entities**	**17,939,949**

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- U.S. Census Bureau's classification codes are generally derived from information that the business provides on administrative, survey, or census reports.

- To select the correct code, asses primary business activities and either:
  - Use search feature at www.census.gov/naics
    - Enter a keyword that describes the entity's type of business
    - Review the list of primary business activities containing that keyword and choose the one that most closely corresponds to the entity
  - Review the complete structure with codes and titles in the NAICS Manual
    - Select the two-digit sector code to see all the NAICS codes under that sector
    - Choose the six-digit code of interest to see the definition, cross-references, and index items

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- Contracting Officer (CO) will assign NAICS codes to certain <u>solicitations</u> based on the type of work to be performed
  - FAR 19.102(b), *Determining the appropriate NAICS codes for the solicitation*
    - "The contracting officers shall assign one NAICS code and corresponding size standard to all solicitations, contracts, and task and delivery orders. The contracting officer shall determine the appropriate NAICS code by classifying the product or service being acquired in the one industry that best describes the principal purpose of the supply or service being acquired."
  - If the CO assigns a code that you believe is incorrect/inappropriate for the solicitation, refer to FAR 19.103 for the NAICS code and size standard determination appeal process.

- Market analysis and competitive benchmarking.
  - Use NAICS codes to analyze market size, identify competitors, and benchmark performance.
    - Understand the market to better prepare an entity for upcoming opportunities and determine areas for change or improvement.
  - Leverage NAICS data to identify potential areas for business growth and emerging trends – www.ibisworld.com

- Some agencies post bids to businesses within a specific NAICS code (e.g. Small Business Association).

- Other government entities may offer tax incentives.

- Industry-specific regulations and requirements.
  - The are industry-specific regulations tied to NAICS codes.

- Industry-specific regulations and requirements.
  - The are industry-specific regulations tied to NAICS codes.
    - Ship & Boat Manufacturing example:
      - Greenhouse gas reporting
      - National Emissions regulations
      - Policy and Guidance
    - All NAICS Codes under the Environmental Protection Agency will have to comply with the clean air act and Clean Water Act Regulations.
  - It's important to understand whether a company's primary NAICS code has additional requirements and to stay compliant with them.

- Size standards and corresponding NAICS codes are provided in 13 CFR 121.201.

- NAICS code classifications are used in correlation with the SBA size standards to determine the "threshold" to satisfy as a small business.
  - Determined on either revenue or headcount
  - Example: Pharmaceutical company small business determination might be 2,500 heads, while a consulting firm might be $25,000,000 in revenue.

- SBA considers economic characteristics comprising the structure of an industry, including degree of competition, average firm size, start-up costs and entry barriers, and distribution of firms by size.

- NAICS undergoes reviews and updates every five years to reflect changes in the economy.

- Revisions might include the addition of new industries or reclassification of existing ones.

- The 2022 revision:
  - Created 111 new NAICS industries by splitting, merging, or modifying the codes or industry titles/definitions of 156 exiting industries under the NAICS 2017 structure, of which nine industries were split to two or more NAICS 2022 industries.

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✣ True or False: The process for obtaining a CAGE Code is the same as for obtaining a NCAGE Code.

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DUNS to UEI

- DUNS is the Data Universal Numbering System by Dun and Bradstreet.

- DUNS is a 9-character official identifier to a business entity and was historically used for doing business with the U.S. Government.

- The DUNS number allowed the U.S. Government to track how money is allocated.

- UEI is the SAM-generated Unique Entity Identifier that has replaced the DUNS as the official identifier for doing business with the U.S. Government as of 4/4/2022.
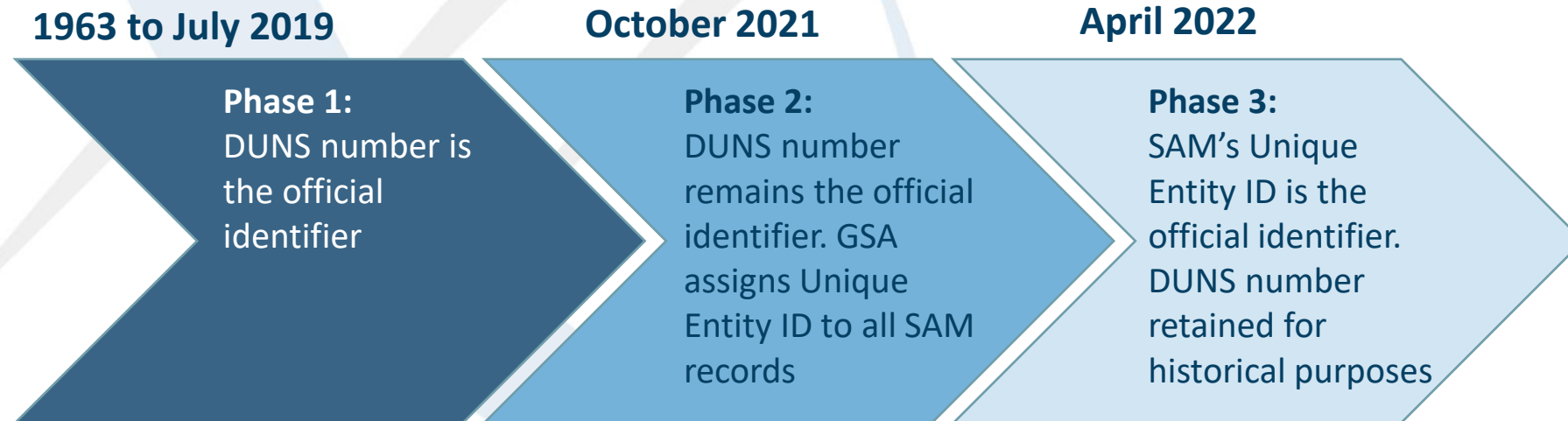
- Ernst and Young (EY) is the current entity validation services provider that replaced Dun and Bradstreet in 2022.

- EY validates that entities are unique, though the definition of "unique" will not change.

- Based on the uniqueness determination, a UEI is assigned to that entity.

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- Creates a more efficient process to request a UEI in order to do business with the U.S. Government.

- Validates entity uniqueness.

- Streamlines the process of obtaining a UEI and registering by going to a single place - SAM.gov.

1963 to July 2019

Phase 1:
DUNS number is the official identifier

October 2021

Phase 2:
DUNS number remains the official identifier. GSA assigns Unique Entity ID to all SAM records

April 2022

Phase 3:
SAM's Unique Entity ID is the official identifier. DUNS number retained for historical purposes

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True or False: UEI numbers are the same as DUNS numbers.

Entity Validation

- With the UEI change in April 2022 came a new process that occurs before the registration renewal begins – "Entity Validation"

- Entity Validation is required in SAM.gov when you:
  - Register an entity for the first time
  - Renew entity registration annually
  - Get a Unique Entity ID (UEI)
  - Update or change the entity's name or address

- Whether you are a new entity or an entity already registered in SAM.gov, you will need to complete this Entity Validation.
  - Provide entity information
  - Confirm entity results are correct (update if required)
  - Submit documentation to support validation

- Entity Validation is the first step in getting a UEI Number, registering in SAM.gov, or renewing an entity's registration.

- The DLA wants to be confident that each company is a unique entity, and that the SAM.gov system has the correct legal business name and physical address.
  - Confirm by finding an exact match in the database.
    - Most entities find a match immediately, some may require additional documentation which will require a manual review.
  - Reviews as of 7/9/2024 are taking around 5 business days (for less complex instances).

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Entity Validation Options

Entity is in results and all info is correct

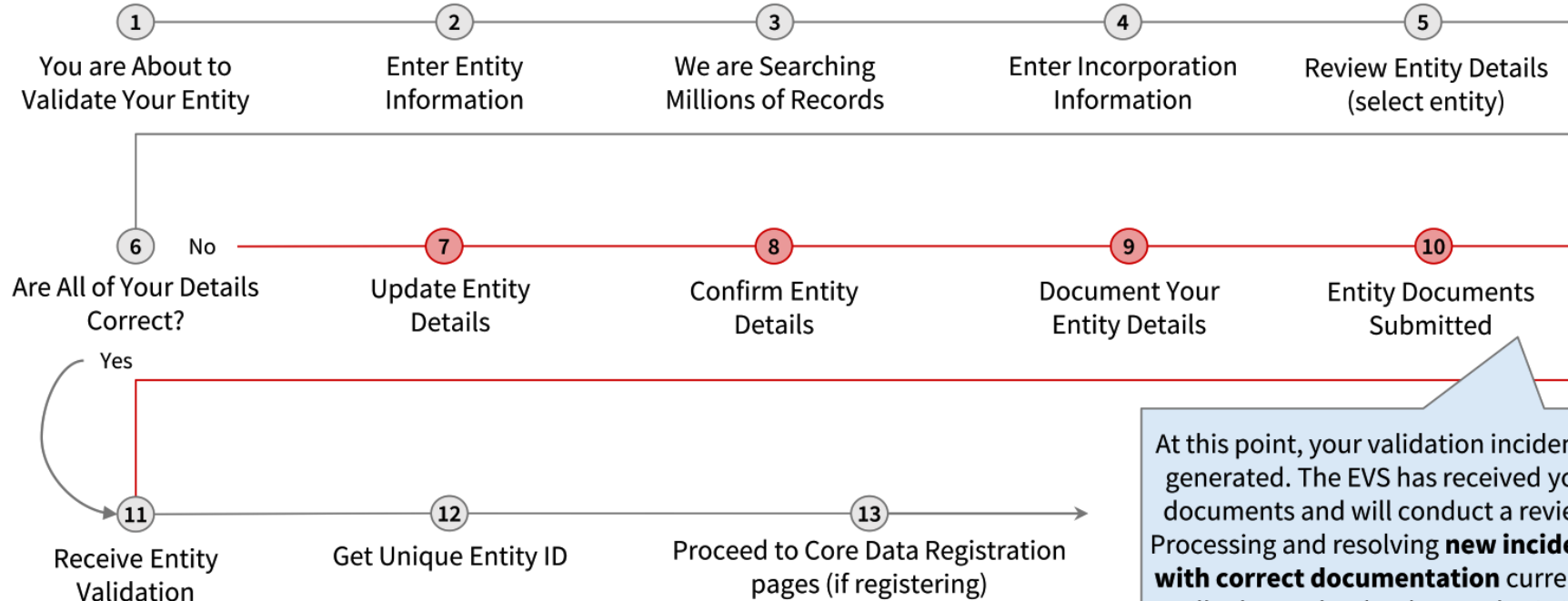Entity is in results but some info incorrect

Entity not in results

No results

**Each entity results will be different. With any of the different results, you may be able to finish registering right away, or you may need to stop, submit documentation to the EVS, and wait for a resolution before you continue.

How Does Entity Validation Work in SAM.gov?

1. You are About to Validate Your Entity
2. Enter Entity Information
3. We are Searching Millions of Records
4. Enter Incorporation Information
5. Review Entity Details (select entity)

6. Are All of Your Details Correct? — No
7. Update Entity Details
8. Confirm Entity Details
9. Document Your Entity Details
10. Entity Documents Submitted

Yes

11. Receive Entity Validation
12. Get Unique Entity ID
13. Proceed to Core Data Registration pages (if registering)

At this point, your validation incident is generated. The EVS has received your documents and will conduct a review. Processing and resolving **new incidents with correct documentation** currently will take 7 calendar days. Submitting incorrect documents will delay incident resolution timeframes.

IAE Stakeholder Forum

System for Award Management | For People Who Make, Receive, and Manage Federal Awards

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Entity Validation Documents

- The documentation you will need to provide will depend on submitted answers, but the documents may need to prove an entity's legal business name, physical address, start year, and state of incorporation or national identifier. Some examples include:
  - Certified articles of incorporation/formation
  - Certified business filing from the Secretary of State's office
  - EIN assignment letter from IRS
  - Recent bank statement (less than 5 years old)
  - Recent utility bill (less than 5 years old)

- You will not be able to save the Entity Validation like you can the registration and it must be submitted before you can begin renewing the registration.

- Entity Validation is not complete until you go back into SAM.gov and redo the Entity search.

Administrator Transfer/Assignment

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- An Entity Administrator is the person in charge of renewing and submitting the registration each year.

- Only an administrator can submit the Entity Validation and SAM Registration.

- There are two ways to complete an Administrator Transfer or Assignment:
  - Through a Current Administrator (either at existing company or a parent company)
  - Through a Notarized letter

- A time may come when the previous Administrator is no longer at the company or is anticipating leaving and someone else may need replace an Administrator to complete the registration.

- If there is a current person at the company that holds the Administrator role, the current Administrator can simply assign a new person at the company the role as well.

  - "Assign Role" button in the "Workspace" area of SAM.gov account.

- A Notarized Letter is required when:

  - An organization has an active or inactive registration, but no one has the Entity Administrator role.

  - You want to register an entity that is part of a larger organization and there is no active Entity Administrator to review the request.

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- When a Notarized Letter is required, it must be submitted to the Federal Service Desk (FSD) with the following requirements:
  - Be on an FSD approved template
  - Be on company letterhead and signed by President, CEO, or authorized signature authority
  - Contain the entity's assigned UEI
  - Contain the new Administrator's name, phone number, and email address
  - Provide a justification for the change.

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How can I become an Entity Administrator?
a)   Submitting a Notarized Letter
b)   Being assigned by the current Entity Administrator at your company
c)   Being assigned by the current Entity Administrator at your parent company
d)   All of the above

Reps & Certs

- Reps and Certs are completed during the SAM.gov registration and can be found by others if entity information is chosen to be made public.

- When searching for Entity Information, a company's reps & certs can be found and downloaded from SAM.gov.

- This includes debarred or suspended parties - should be avoided.

- Complying with the FAR Subpart 4.12, Representations and Certifications, during the SAM.gov entity registration process:
  - Eliminates the administrative burden for contractors of submitting the same information to various contracting offices;
  - Establishes a common source for this information to procurement offices across the U.S. government; and
  - Allows the contracting officer to incorporate by reference the contractor's representations and certifications in the awarded contract.

- If a company misrepresents itself in order to obtain a contract, the entity may be subject to criminal prosecution under Section 1001, Title 18 of the United States Code. Criminal Penalties could include imposition of a fine, imprisonment, or both.

Common Pitfalls and Tips for Success

- Failure to engage others in the organization in the process:
  - Legal, Contracts, IT, HR, and potentially other key stakeholders
- Inadvertently answering Reps and Certs questions incorrectly.
- Incorrectly entering entity information when completing the Entity Validation process.
- Waiting too long to complete the SAM.gov registration.
- Trying to complete the registration in one sitting.
- Mistaking the option to "Receive a UEI" as registering.

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✍ Begin initial and renewed registrations early.

✍ Each SAM.gov registration should have at least two active entity administrators identified

- Redundancy ensures continued access to registrations and lowers risk of registration going inactive

✍ Change is coming in late 2024 for SAM.gov Exclusions Application Programming Interface (APIs)

- If applicable, suggest using the new version now
- Older versions of API will retire and will no longer be available.
- Version 4 (V4) of the exclusions API is available now
- Includes a field indicating which exclusions are Federal Acquisition Supply Chain Security Act (FASCSA) orders

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Summary of Changes to SAM.gov

- DUNS to UEI Transition
- Entity Validation Process
- Integrated Award Environment
- POC Update

Federal Service Desk Support

- Federal Service Desk Supports SAM.gov - Q&As, release notes, and an associated phone number to answer any and all questions about SAM.gov.
  - GSAFSD Service Portal Landing - GSA Federal Service Desk Service Portal

- The Q&As consist of Knowledge Articles where popular questions are answered online. May link to other articles to help answer any questions in further detail.
  - Guides to certain SAM.gov capabilities are also available at FSD.gov.
    - Ex. Registering as a New Entity, Registering as an International Entity, etc.

- Release notes consist of periodic changes to SAM.gov.

- The FSD phone line is available to answer any questions that the FSD online portal cannot answer.
  - U.S. calls: 866-606-8220 and International calls: +1 334-206-7828

- The FSD chat line is also available to answer any questions.

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