System for Award Management User Guide – v2.6.6

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1 Welcome to SAM

1.1 What is SAM?

The General Service Administration's (GSA) Office of Governmentwide Policy is consolidating the governmentwide acquisition and award support systems into one new system—the System for Award Management (SAM). SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.

1.2 The Federal Procurement World of the Past and Future

Automation of the federal procurement and awards processes has evolved over time through development of systems to perform individual steps in the process. Paper-based systems and business processes were automated as the internet became widely available. These systems were adopted across the Federal Government and are now managed under one organization. The Integrated Acquisition Environment (IAE) manages these systems and their system capabilities have been organized around six key functional areas. See Table 1.1.

Table 1.1: IAE Functional Areas

Functional Area	Capabilities	Legacy Systems
Entity* Management	• Register/Update Entity core data • Manage certifications / representations	• CCR/FedReg – Central Contractor Registration/Federal Agency Registration • ORCA – Online Representations and Certifications Application
Award Management	• Post solicitation and award data • Maintain government-wide contract award data • Manage government-wide subcontractor data	• FBO – Federal Business Opportunities • FPDS-NG – Federal Procurement Data System-Next Generation • eSRS/FSRS – Electronic Subcontracting Reporting System/FFATA Subaward Reporting System
Wage Data	• Access wage determinations	• WDOL – Wage Determinations Online
Performance Information	• Manage/maintain past performance information • Manage exclusion list	• PPIRS/CPARS/FAPIIS – Past Performance Information Retrieval System • EPLS – Excluded Parties List System
Assistance Program Catalog	• Create/maintain assistance program catalog	• CFDA – Catalog of Federal Domestic Assistance
Support	• Provide security/access control • Provide reporting/communications support • Provide internal controls	

*For the purposes of this capability area, *Entity* refers to prime contractors, organizations or individuals applying for assistance awards, those receiving loans, sole proprietors, corporations, partnerships, and any Federal Government agencies desiring to do business with the government.

SAM is changing the way you do business by merging nine legacy, siloed systems into one. This provides users one login and access to all the capabilities previously found in the legacy systems. SAM also consolidates data from these systems into a single database, eliminating data overlap while sharing the data across the award lifecycle.

SAM is currently being developed in phases. Phase 1, released in July 2012, includes the capabilities found previously in Central Contractor Registration (CCR)/Federal Agency Registration (FedReg), Online Representations and Certifications Application (ORCA), and the Excluded Parties List System (EPLS). Upcoming releases to SAM will include the capabilities found today in the electronic Subcontracting Reporting System (eSRS)/FFATA Subaward Reporting System (FSRS), the Catalog of Federal Domestic Assistance (CFDA), Federal Business Opportunities (FBO), Wage Determinations On Line (WDOL), Federal Procurement Data System (FPDS), and the combination of Past Performance Information Retrieval System (PPIRS), Contractor Performance Assessment Reporting System (CPARS) and the Federal Awardee Performance and Integrity Information System (FAPIIS).

1.3 Who Should Use SAM?

SAM is used by anyone interested in the business of the Federal Government, including:

- Entities (contractors, federal assistance recipients, and other potential award recipients) who need to register to do business with the government, look for opportunities or assistance programs, or report subcontract information;
- Government contracting and grants officials responsible for activities with contracts, grants, past performance reporting and suspension and debarment activities;
- Public users searching for government business information.

1.4 Public User Capability

SAM includes information of various sensitivity levels. Public data is available to search and view without having to login or register for a SAM account. Information that was previously publicly available in the legacy systems has been moved to SAM—and will remain publicly available in SAM. Public users that want to save their searches or government users needing access to higher levels of sensitive data must register for a SAM user account. For more information on obtaining a SAM user account, see User Management.

1.5 Navigating SAM

SAM provides a standardized format across all web content pages making it easy to navigate and find information. There are several persistent areas in SAM.gov that can be found in the same location on every page of the system.

- Banner – Found across the top of each SAM.gov page. You can use the banner to return to create an account or troubleshoot your password, access the SAM homepage and login or out of the system.

- Navigation Bar – Each page in SAM.gov contains the navigation bar along the top of the screen. The tabs are for navigating you to your SAM Home, Search, Help, Extracts and General Information pages.
- Back Button –While navigating through SAM.gov, the back button on your web browser is disabled. To move from page to page, you will need to use either the navigation bar or the "previous" button.

Figure 1.1: SAM Navigation

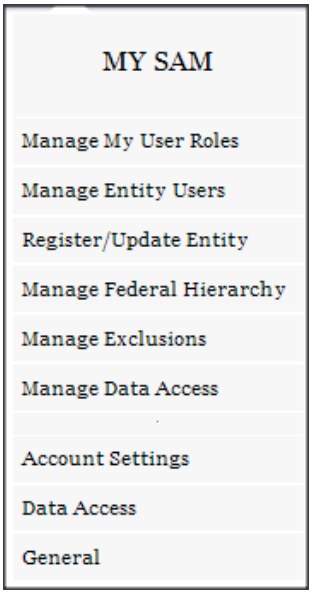
The Navigation Bar allows you to access different sections of SAM.

- "HOME" / "MY SAM" – once you login to SAM, "Home" changes to "My SAM." The "My SAM" navigation link gives you access to all the actions you may perform based on your user role. For more information, see My SAM.
- "SEARCH RECORDS" – allows you to perform full text searches with or without an account. Without an account, you will only be able to see public, non-sensitive information. For more information, see Search.
- "DATA ACCESS" – provides details for accessing SAM data via .csv downloads. It provides access to various types of extracts in three subsections: Public Extracts, EM (Entity Management Extracts), and Exclusions Interfaces. This section also includes General Data Access Information. For more information, see Data Access.
- "GENERAL INFO" – provides key information about SAM, news and announcements that may provide valuable information for you, external resources and contact information associated with SAM. For more information, see General Information
- "SAM Help" – provides useful information on SAM such as User Guides, FAQs and informational videos. This should be the first place to check if you have any SAM related questions. For more information, see SAM Help.

On most pages in SAM, you will find a Navigation Panel on the left side of the page and the SAM Content Sensitive Glossary on the right side of the page.

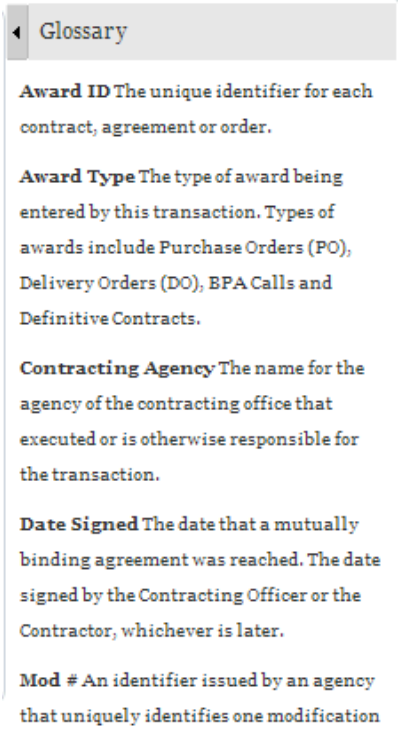
The Navigation Panel contains a list of links to help you navigate to different pages within that SAM tab. For example, if you are on the Help tab, the Navigation Panel allows you to navigate to FAQs, User Guides, Demonstration Videos, and Exclusions Information.

Figure 1.2: SAM Left Navigation Panel



A content sensitive glossary is provided on the right side of nearly every screen in SAM. This glossary contains definitions and other helpful information related to the data elements that are displayed on the current page. The glossary is provided to help you understand what information is being displayed and sometimes provides a link where you can find out more information.

Figure 1.3: Content Sensitive Glossary



2 User Management in SAM

In this section you can learn about the different types of accounts in SAM, how to create an account, and what you can do with a SAM account. You can also read about the permissions that you can have in SAM. Before reading on, note that on the website mandatory fields have been marked with an asterisk (*) to help you understand what data is required.

2.1 Creating an Account in SAM

Anyone can create an account in SAM. An account provides you access to SAM functionality such as saving search queries, requesting roles or for Government employees, and requesting access to non-public information.

2.1.1 Types of Accounts

There are two types of SAM accounts: individual accounts and system accounts. In most cases, an individual account is probably what you need.

An **individual account**:

- Contains your own personal information.
- May stay with you even when your role in your organization or the permissions you need to do your job change.

Just because you have an account does not mean you have the ability to create or edit records, to do those activities you must have roles. With an account, Federal Government employees can also request access to view sensitive data through search or extracts.

A **system account**:

- Represents a particular information technology (IT) system.
- Is primarily for systems which need to send data to SAM (such as a Federal Government contract writing system) or wish to automate the pull of the data through extracts or web services.
- Is useful if multiple users in your organization need to access the same extract or web service.

The sections below focus on individual accounts. System accounts are discussed in more detail in Data Access in SAM.

2.1.2 Creating an Individual Account

When creating an individual account, there is only a minimal amount of information that you must enter. NOTE: You must create a new username and password to access certain information in SAM. You cannot automatically log into SAM with the username and password you had in a legacy system. You need to create an account in SAM. While you can provide additional information, you are only required to enter:

- Your first name
- Your last name
- Your email address

- Country (select your option from the dropdown list provided)
- Phone number
- Username
- A password
- Your security question responses

Username: This unique identifier will be permanently associated with your SAM account. Once chosen, it may not be changed. SAM account usernames may never be reused, so once an account with a particular username is created, no other account may ever use that username, even if the account with that username is deactivated. The username must be a minimum of six characters and has a maximum of fifty characters. Please note that you can enter the following four special characters as part of the username: @ . _ -

An individual account and therefore a username, can move with you when you leave an organization if you, or the organization you were originally associated with allows this (your access and roles will not transfer). It is for this reason that we recommend that you not use your email as your username. Your organization (particularly certain U.S. Federal Government entities) may impose certain guidelines regarding your selection of a username, such as the use of a prefix. Please refer to your internal processes to determine if this applies to you.

Password: Your password proves that you are who you say you are. Your user account password should never be shared with anyone else. Neither the SAM Help Desk nor the SAM Program Office will ever ask you for your password. If you should forget your individual account password, the system will allow you to reset it.

Passwords must be changed periodically. This change varies with the type of account you have (See Table 2.1).

Table 2.1: Account Password Expiration

Account Type	Password Expiration
Individual Account	180 days
Individual Account (with Federal Government Roles)	90 days

Your password must contain, at a minimum:

- At least eight characters total (but no more than fifteen characters are allowed)
- At least one number
- At least one letter
- At least one special character

Email address: A current, valid email address is required for each SAM account. This email address serves as a primary means of communicating with you for features such as notifications, alerts, and password resets. A given email address may only be associated with one username at a time. If you have more than one email address, you should use the one that is most closely associated with your job function. For example, if you are using SAM as a representative of a Federal Government agency, you should use the government-provided email address from that

agency if possible. This will help easily identify you as a member of that agency, which can help when making requests and performing other functions requiring administrator involvement.

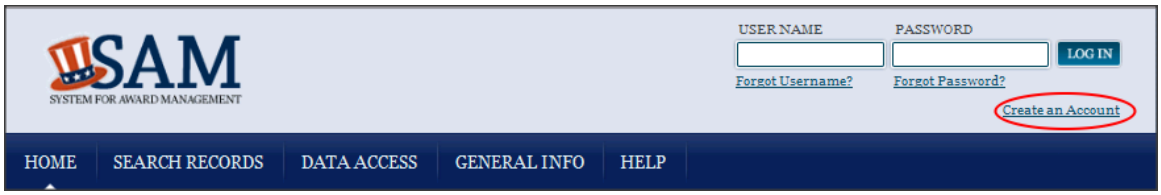
As part of your SAM account creation, you will be required to prove ("validate") that you have access to the email address you used. During the registration process, a unique link (URL) is sent to your email account that you must click to activate your new SAM account. This validation ensures that you entered your email correctly and confirms that you are authorized to access that email account

If your email address changes for any reason, you should immediately update your SAM user profile. Failure to do so may prevent you from accessing your SAM account if you should ever forget your username or password.

To create a SAM user account, follow these steps:

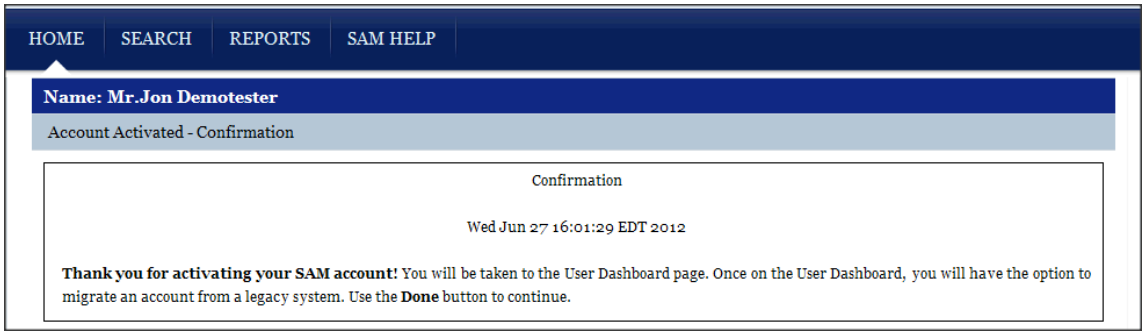
- From the SAM homepage, click "Create an Account" in the upper right corner of the page.

Figure 2.1: Create an Account



- On the "Account Registration" page you can find more information on individual and system accounts. Become familiar with the differences. If you determine that an individual account is appropriate, click "Create an Account" in the "Individual Account Details" section.
- The first account creation page is titled "Personal Information." Enter the information that pertains to you. When complete, click "Next."
- The second account creation page is titled "Account Information." When entering your username and password a pop-up will inform you if you have met all requirements (such as minimum length). Complete the security questions and answers. NOTE: Answers to security questions are not case sensitive. These provide an alternate method of validating your identity in certain scenarios (such as if you don't have access to your email account and forget your password). When complete click "Next."
- On the summary screen, review the answers provided. For security reasons, the password will not be displayed. If you need to change anything, click "Edit." Once you've confirmed all of the data is accurate, click "Submit."
- An email from SAM.gov is sent to your email account. In the email, click the link provided to complete the account creation process.
- Return to SAM.gov, enter your username and password and click "Login" to complete the account registration. Your account will not be active until you see the screen in Figure 2.2.

Figure 2.2: Active Individual Account Confirmation



2.2 Account States

There are several different states that your account (either individual or system) can be in. Depending on your account state, you may not be able to login to your account. Read below to find out more information on the different states.

2.2.1 Active

The Active state is the normal state for your account. In this state, you can login to SAM and perform all necessary functions.

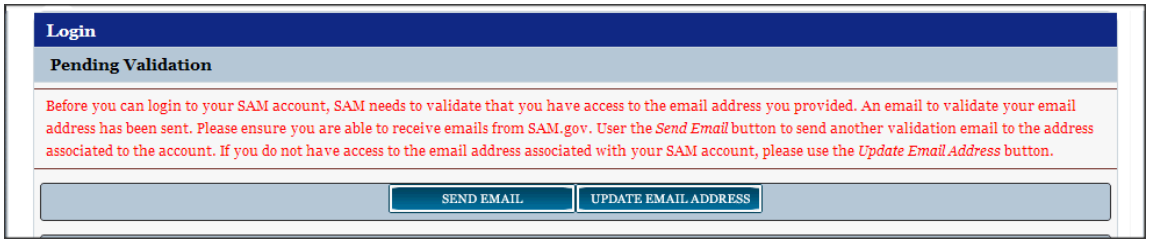
2.2.2 Pending Validation

If your account is in the Pending Validation state, it means you have not validated your account's email address. Your account will be in this state when you initially create your account or when you update your email address and will remain in this state until you validate your access to the email address. You will not be able to login until you validate your email address.

To return your account to the Active state, follow the suggestions below:

- Click the link in the validation email that SAM originally sent you and login when prompted. If you cannot find the email, check your spam folder.
- If you no longer have access to this email or if the activation link in it has expired, you can attempt to login on the SAM homepage. An error message will appear informing you that your account is Pending Validation. Select "Send Email" to send a new validation email.

Figure 2.5: Pending Validation Error



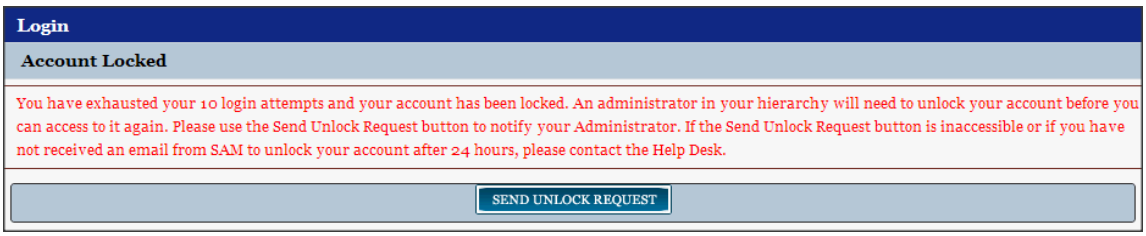
- If you no longer have access to the email address for your account, click "Update Email Address" to update your email address on file. You may only perform this action if you have an individual account.
  - First enter the current email address tied to your SAM account.
  - Next, answer one of your security questions. NOTE: Answers to security questions are not case sensitive.
  - After completing the first two steps, enter a new email address and click "Submit" to change your email address and send a validation email to your new email address. Click the link in the email and login when prompted to return your account to the Active state.

2.2.3 Locked

Your account becomes Locked when you enter bad credentials too many times. This can happen when you enter the wrong password ten times in a row, or if you fail to correctly answer your security questions three times in a row. You cannot login when your account is locked however your roles will not be affected. You cannot unlock your account. Only your entity's administrator or the SAM Help Desk can do that. To send an unlock request, follow the steps below:

- Attempt to login. An error message appears informing you that your account is locked.
- Click "Send Unlock Request." This sends a notification to your entity administrator.

Figure 2.6: Unlock Request



- If you do not have an administrator of if you have a system account, contact the SAM Help Desk to unlock your account.
- When your administrator or the SAM Help Desk unlocks your account, you will receive a reset password email. Click the link in the email and enter a new password. Your new password must be different than your previous ten passwords used in SAM and conform to the password requirements. Your account will now be Active.

2.2.4 Inactive

Your account can become Inactive either after an extensive period of user inactivity, or if you choose to manually inactivate the account. If you have roles, those roles will be removed, and SAM will notify your administrator(s). In order to prevent the account from becoming inactive, you should login to SAM at least once every 13 months (395 days). To reactivate your account, follow the steps below:

- Attempt to login to SAM. An error message will appear informing you that your account is Inactive. Select "Send Email" to send a reset password email. Click the link in the email and

change your password to activate your account. Your new password must be different than your previous ten passwords in SAM, and conform to the password requirements.

- If you no longer have access to the email address for your account, click "Update Email Address" to update your email address on file. You can only perform this action if you have an individual account.
  - First enter the current email address tied to your SAM account.
  - Next, answer one of your security questions. NOTE: Answers to security questions are not case sensitive.
  - After completing the first two steps, enter a new email address and click "Submit" to change your email address and send a reset password email to your new address. Click the link in the email and change your password to activate your account. Your new password must be different than your previous ten passwords used in SAM, and conform to the password requirements.
- Once you reactivate your account, you will need to re-request all of your roles in SAM.

2.2.5 Deactivated

Only the SAM Help Desk can shut down or permanently deactivate your account. When this happens, you will be unable to login and will have to contact the SAM Help Desk to reactivate your account.

2.2.6 Password Expired

When your account is in the Password Expired state, your account's password has expired. This occurs every 90 days for Federal Government users or every 180 days for non-Federal Government users. You will not be able to login when your account is in the Password Expired state. To activate your account, follow the steps below:

- Attempt to login to SAM. An error message will appear informing you that your account is in the Password Expired state. Select "Send Email" to send a reset password email. Click the link in the email and change your password to activate your account. Your new password must be different than your previous ten passwords and conform to the password requirements.
- If you no longer have access to the email address for your account, click "Update Email Address" to update your email address on file. You may perform this action only if you have an individual account.
  - First enter the current email address tied to your SAM account.
- Next, answer one of your security questions. NOTE: Answers to security questions are not case sensitive.
  - After completing the first two steps, you can enter a new email address and click "Submit" to change your email address and send a reset password email to your new address. Click the link in the email and change your password to activate your account. Your new password must be different than your previous ten passwords and conform to the password requirements.

2.3 Troubleshooting Your User Account

SAM has been designed to let you troubleshoot many of the issues you may face with your account without having to contact the SAM Help Desk. If you should encounter difficulty accessing your account, follow the process outlined below.

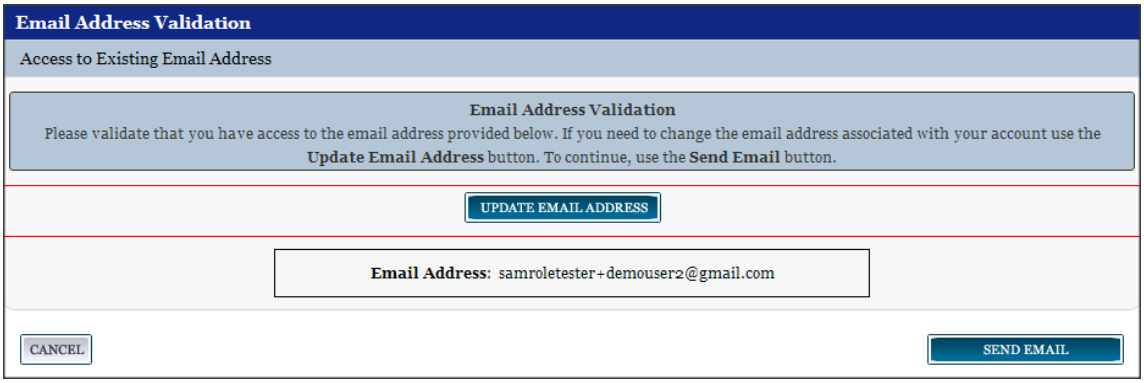
2.3.1 Forgot Password

If you know your username but forget your password, you can reset your own password. Due to security requirements, only individual accounts can complete this password reset process. If you have a system account and have forgotten your password, contact the SAM Help Desk for assistance.

For individual accounts, follow the steps below if you have forgotten your password:

- From the SAM homepage, in the upper right corner, click "Forgot Password?"
- Enter your username and the email address associated with your account. This should be the email address that you entered in your SAM account user profile, regardless of whether you currently have access to that email account. Complete the CAPTCHA image. Click "Next."
- If you no longer have access to the email address associated with your SAM account, follow the instructions below to change your email address.
- If you have access to the email address associated with your SAM account click "Send Email." An email from SAM.gov will be sent to your email account. Click the link in the email.

Figure 2.7: Reset Password



- Create your new password. Your new password should be different than your previous ten passwords you have used in SAM, and should conform to the password requirements. Click "Save" to continue. You may now use your new password to access your account.

If you do not have access to that email account any more (for example, if you recently switched jobs), you can send the password reset link to a different email address after you have proven your identity. To do so:

- Click "Update Email Address." Select one of the three security questions, provide the corresponding answer, and click "Next" to continue. NOTE: Answers to security questions are not case sensitive.

- Enter the new email address on the "Change Email Address" page. Enter the same address twice to make sure that you have typed it correctly. Click "Send Email." This will update the email address associated with your SAM account, and send an email to that new address with a link to reset your password. Click "Done" on the confirmation screen to return to the SAM homepage.
- After receiving the email, click the link. On the "Change Password" screen, update your password and select "Save."

2.3.2 Forgot Username

If you have forgotten your username, follow these steps:

- In the upper right corner of the SAM homepage, click "Forgot Username?"
- Enter your SAM account email address, complete the CAPTCHA image and click "Submit."
- You will receive an email from SAM with your username. Check your spam filters if you do not receive the email within fifteen minutes.

2.4 Features of an Individual Account

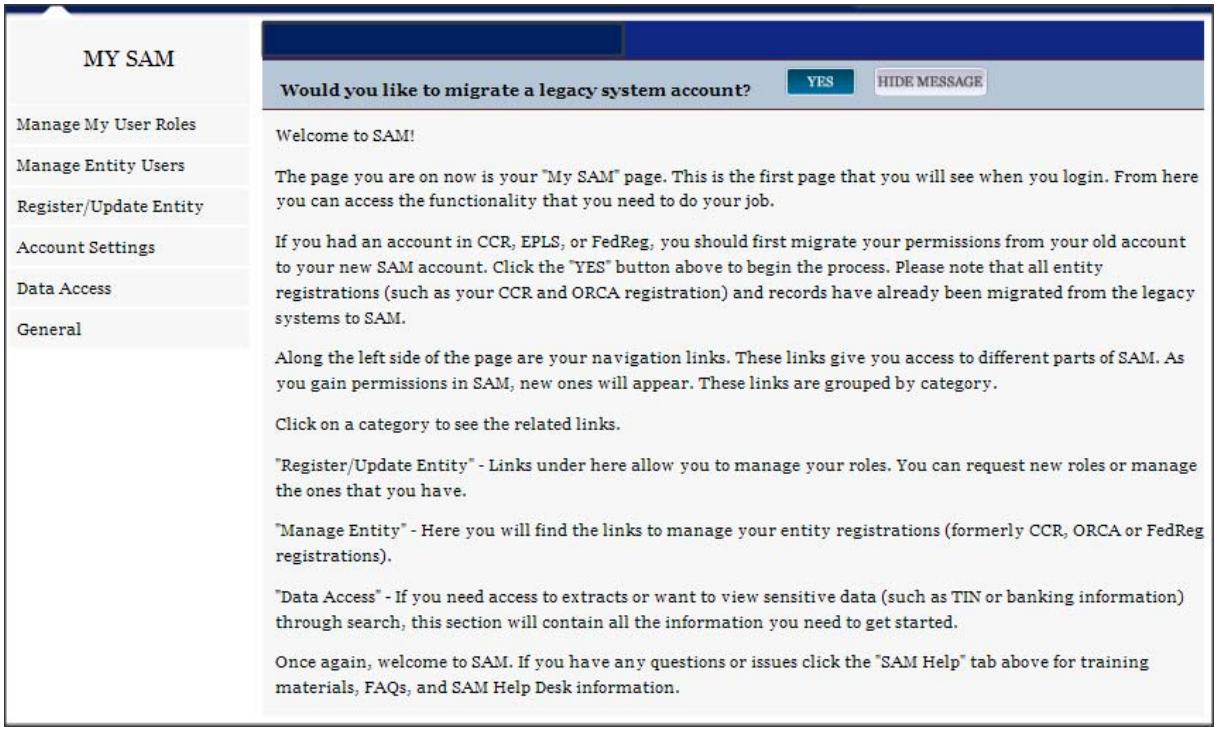
While many of SAM's features are available to the general public without a SAM account, there are a number of benefits to creating an individual account. When you create an account, SAM considers you an Authenticated User. This means that you have an account but you do not have any roles yet. See below for the functionality you can access.

2.4.1 My SAM Page

When you login to SAM, the first page that you see is your "My SAM" page. This is the centralized location for all the functionality you need access to in SAM. When you are logged into your account, you can always access this page by clicking the "My SAM" tab in the navigation bar.

Figure 2.8 is an example of a "My SAM" page for an individual user without any extra permissions.

Figure 2.8: "My SAM" Page



On the left side of the page are your navigation links. These give you access to the functionality you need to do your job. Each header contains a list of processes and pages. Click on a header to see the links underneath. As you acquire roles in SAM, you will gain access to additional links. The sections below will cover the links that individual accounts have access to on their "My SAM" page.

2.4.2 Manage My User Roles

Under the "Manage My User Roles" header in the navigation panel, you can access the links for managing your roles in SAM. For more information, see Introduction to SAM Roles.

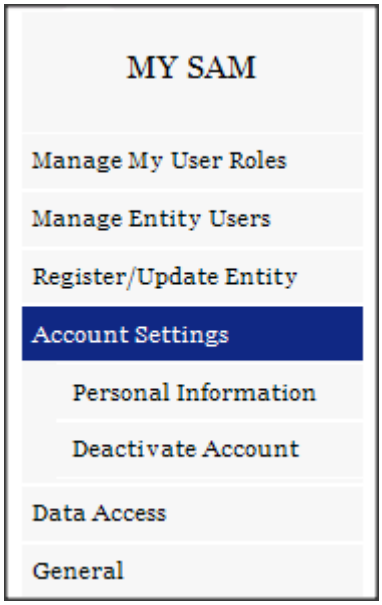
2.4.3 Register/Update Entity

To create/edit an entity registration, select "Register/Update Entity". For more information, see Entity Management Registration.

2.4.4 Account Settings

If you need to update any of your account information, click "Personal Information" underneath the "Account Settings" header on your "My SAM" page.

Figure 2.9: Personal Information



You can change any information in your user profile except your username. Click "Save" to confirm the changes. Certain changes require additional steps. See below for additional guidance.

To change your email address:

- Enter your new email address in the Email Address field.
- The Confirm Email Address field now appears. Enter your new email address again here.
- Click "Save."
- SAM now logs you out of the system and sends you a new validation email. Click "Done" on the confirmation screen to return to the SAM homepage. You will not be able log back into SAM until you validate your new email address.
- After receiving the email click the link. Login when prompted. Your account is now active again.

To change your password:

- Click "Change Password." This opens a new page.
- Enter your current password.
- Next enter your new password and confirm your new password. Your new password must be different than your previous ten passwords and conform to the following password requirements:
  - At least eight characters total (but no more than fifteen characters are allowed)
  - At least one number
  - At least one letter

  - At least one special character
- Click "Save" to activate your new password.

2.4.4.1 Deactivating or Reactivating Account

If you know you will not use SAM in any capacity in the future or if you do not wish to maintain your SAM account, you may choose to deactivate your SAM account. When you do this, all roles that are associated with your account will be permanently removed, and your account will be placed in an inactive status. To do this:

- From the navigation panel on the left side of the screen, choose "Account Settings," then "Deactivate Account."
- You may optionally specify a reason for the deactivation to assist the SAM Program Office in its administrative efforts.
- Click "Next."
- Confirm that you wish to deactivate your account by clicking "Deactivate." This will complete the process.
- To reactivate your account, see Inactive accounts.

2.4.5 Data Access

All users have access to public data. If you need access to additional data not available to you presently, you can request access by completing a Data Access Request form. All requests for data must be approved by the SAM PMO. You can see your data access options underneath the "Data Access" header on your "My SAM" page. For more information, see Data Access.

2.4.6 Accessing your Saved Searches

With an individual account, you can save searches that you perform in SAM so that you can run them again in the future. To access your saved searches, on your "My SAM" page, select the "General" header and then click "My Saved Queries" on the navigation panel. For more information, see Search.

2.5 Introduction to SAM Roles

SAM is a roles based system. Roles allow you to access additional functionality in SAM and perform actions on behalf of an entity. Just because you have an account does not mean you can perform certain functions.

As you read this user guide (and navigate the site), keep in mind that the term entity is used generically to mean anything that you can have a role with and perform an action on behalf of in SAM. There are several types of entities in SAM; however, they are generally grouped into two categories: non-Federal Government and Federal Government.

Non-Federal Government entities in SAM include businesses, organizations, state governments, local governments, tribal governments, and foreign governments. For a non-Federal Government entity to exist in SAM, it must have an Entity Management registration (also referred to as an

entity registration). An Entity Management registration is the registration that makes you eligible for contracts or grants and Federal assistance. A non-Federal Government entity cannot make roles available to its employees without an Entity Management registration

Federal Government entities include Departments, Agencies, and Offices (and in the case of DoD, Major Commands and Sub-Commands). Collectively they are referred to as *nodes* on SAM's Federal Government hierarchy. Only a limited amount of information (like name and address) is stored for entities (i.e. nodes) on the Federal Government hierarchy. A Federal Government entity can also have an Entity Management registration (also referred to as an entity registration) which makes it eligible for contracts, grants/Federal assistance awards, or Intra-Governmental Transactions (IGT). In such cases, the Entity Management registration is tied to the entry on the hierarchy (i.e., the node) and is considered supplemental information. For example, if a bureau under the Department of the Interior has a place (i.e., a node) on the Federal Government hierarchy, and that bureau was also able to bid on contracts, then that registration information would be appended onto the hierarchy entry.

Both Federal Government and non-Federal Government entities have an organizational hierarchy. Depending on your role, you may be able to perform actions on behalf of children entities in your organization's hierarchy. For instance if you are assigned an administrator role at the highest level entity in your hierarchy, you can assign roles at any lower level entities in the hierarchy.

SAM contains its own Federal Government hierarchy with seven levels:

- Department
- Agency/Bureau
- Major Command – DoD Only
- Sub-Command 1 – DoD Only
- Sub-Command 2 – DoD Only
- Sub-Command 3 – DoD Only
- Office

For non-Federal Government entities, SAM constructs hierarchies based on Dun and Bradsteet's organizational hierarchies.

Depending on which roles you have, you can:

- Create/edit/delete your entity's contract or grant and Federal assistance registration.
- Create/edit/delete your entity's Intra-Governmental Transaction (IGT) registration.
- Assign/remove users' roles with your entity. NOTE: The Administrator Role in SAM has a robust set of permissions that they can perform for their entity. These permissions are detailed and further explained in Section 4 of this document.
- Create/edit exclusion records
- Submit requests to the Help Desk to create/edit/move Offices on your agency's hierarchy.

You can have multiple roles in SAM and you can also have roles with multiple entities. However as a general rule, you cannot have roles with both Federal Government entities and non-Federal Government entities.

2.5.1 U.S. Federal Government Roles

As a Federal Government user of SAM, you can request or be invited to receive one or more roles in the system (your agency may have policies regarding how you should receive these roles so check with your agency). These roles allow you to take specific actions in SAM or have access to specific capabilities. You can have more than one role within your entity or more than one role for separate entities.

Table 2.2: Federal Government Roles

Role	Permissions
Agency Exclusion Representative	• Formerly "Debar User" in EPLS • Can create/edit/delete exclusion records • This role cannot assign roles to users
Agency Administrator – Exclusions	• Can create/edit/delete exclusion records • Can assign others to be Agency Administrator for Exclusions • Can assign the Agency Exclusion Representative role, if they choose to do so, to create exclusion records.
Office Registration Representative	• Formerly "Registrant" in FedReg or "Maintainer" in CCR • Can create/edit an Entity Management registration such as IGT registration, contract registration, or grants and federal assistance registration. • Can create/edit/delete Service Contract Inventory Reports (SCR) • This role cannot assign roles to users
Agency Administrator – Entity Management	• Formerly "ARO" in FedReg or "Administrator" in CCR • Primary responsibility is to create/edit/delete Entity Management registrations (such as IGT registrations) for your agency AND assign other users (known as Office Registration Representatives) to create/edit those records. • Can create/edit/delete Service Contract Inventory Reports (SCR) • Can also assign other Agency Administrators for Entity Management
Agency Hierarchy Maintainer	• Has the ability to see the entire hierarchy • Responsible for ensuring node accuracy
Agency Roles Administrator	• Can assign any Federal Government role • CANNOT create an Entity Management registration, an Exclusion record, or an Office on the Federal Hierarchy.

In addition to these specific permissions outlined in Table 2.2, all Federal Government users who have roles, also have access to Entity Management – FOUO data in search. This gives you access to data such as an entity's Taxpayer Identification Number as well as to entities that have opted out of public search and those that are registered for only Intra-Governmental Transactions (IGTs).

Before we define each role please note that each agency will determine its own set up, whether or not they need all of the roles outlined below, and how best to dole those roles out to individuals within their agency. At a minimum an Agency Roles Administrator, Agency Hierarchy Maintainer, Agency Administrator for Entity Management, and an Agency Administrator for Exclusions must exist for each department/agency. One user can have all these roles or they can be assigned to multiple users.

2.5.1.1 Agency Exclusions Representative

As the Agency Exclusions Representative, you are responsible for creating and maintaining exclusions (including debarments and suspensions) in SAM. As a general rule, users with this role serve as Suspension and Debarment Officials (per the FAR) or their designated representatives, and require formal training and/or designation to perform these responsibilities. You can:

- Create an exclusion record.
- Update and delete exclusion records that you create.
- Update and delete exclusion records created by other users in your agency.
- View sensitive information and for all exclusions in SAM.
- View Entity Management – For Official Use Only data (such as Taxpayer Identification Number information) in SAM for all entity registrations.
- You cannot assign roles
- Formerly "Debar User" in EPLS

You can request this role, or an administrator can assign it to you. Please check your agency policies.

This role can be assigned by the Agency Roles Administrator or the Agency Administrator – Exclusions.

2.5.1.2 Agency Administrator - Exclusions

As the Agency Administrator-Exclusions, you can access all of the functionality that your entity's users (Agency Exclusion Representative) can access and you can also manage users. As an Agency Administrator - Exclusions user, you can:

- Assign an Agency Exclusions Representatives role if you wish and assign other users with the Agency Administrator –Exclusions role to assist you within your agency.
- Create an exclusion record.
- Update and delete exclusion records that you create.
- Update and delete exclusion records created by other users in your agency.
- View sensitive information for all exclusions in SAM.
- View Entity Management – For Official Use Only data (such as Taxpayer Identification Number information) in SAM for all entity registrations.

You can request this role, or an administrator can assign it you. Please check your agency policies.

This role can be assigned by the Agency Roles Administrator or another Agency Administrator – Exclusions.

What's the difference between an Agency Exclusions Representative and an Agency Administrator – Exclusions? The administrator can assign further roles such as the Agency Exclusions Representative role or other Agency Administrators – Exclusions.

You do not need to assign an Agency Exclusions Representative or other Agency Administrators – Exclusions if you do not wish to do so.

2.5.1.3 Office Registration Representative

As the Office Registration Representative, you are responsible for managing the SAM Entity Management registration for a U.S. Federal Government entity. You can:

- Create an Entity Management registration (such as an IGT registration, federal contract registration, or federal assistance registration) for an entity that exists on the Federal Government hierarchy. You can only create Entity Management registrations for the entity where you were assigned your role.
- This role allows you to view, update and renew an Entity Management registration for your entity. You can only update Entity Management registrations for the entity where you were assigned your role.
- Create, update, and delete Service Contract Inventory Reports (SCR).
- View Entity Management – For Official Use Only data (such as Taxpayer Identification Number information) in SAM for all entity registrations
- You cannot assign roles
- Formerly "Registrant" in FedReg or "Maintainer" in CCR

You are not responsible for creating the entity in the Federal Government hierarchy; however you are responsible for managing the information in the Entity Management registration if you wish to enter into IGTs or bid on contracts/grants.

You can request this role, or an administrator can assign it to you. Please check your agency policies.

This role can be assigned by the Agency Roles Administrator or the Agency Administrator – Entity Management.

2.5.1.4 Agency Administrator - Entity Management

As the Agency Administrator – Entity Management, you can access all of the functionality that your entity's users (Office Registration Representative) can access and you can also manage users. As an Agency Administrator – Entity Management user, your primary responsibility is to create/edit/delete Entity Management registrations for your agency AND assign other users (known as Office Registration Representatives) to create/edit those records. You can:

- Assign an Office Registration Representative role if you wish and assign other users with the Agency Administrator – Entity Management role for your entity and any levels below you in your hierarchy.
- Create an Entity Management registration (such as an IGT registration, federal contract registration, or federal assistance registration) for an entity that exists on the Federal Government hierarchy. You can create an Entity Management registration for your entity and any levels below you in your hierarchy.
- If your agency/office has the authority to bid on contracts/grants then this role allows you to view, update, renew, and delete an Entity Management registration for your entity. You can update an Entity Management registration for your entity and any levels below you in your hierarchy.
- Create, update, and delete Service Contract Inventory Reports (SCR).
- View Entity Management – For Official Use Only data (such as Taxpayer Identification Number information) in SAM for all entity registrations.
- Formerly "ARO" in FedReg or "Administrator" in CCR

You are not responsible for creating the entity in the Federal Government hierarchy; however you are responsible for managing the information in the Entity Management registration if you wish to enter into IGTs or bid on contracts/grants.

What's the difference between an Office Registration Representative and an Agency Administrator – Entity Management? The administrator can assign further roles such as the Office Registration Representative role or other Agency Administrators – Entity Management.

You do not need to assign an Office Registration Representative or other Agency Administrators – Entity Management if you do not wish to do so.

You can request this role, or an administrator can assign it to you. Please check your agency policies.

This role can be assigned by the Agency Roles Administrator or the Agency Administrator – Entity Management.

2.5.1.5 Agency Hierarchy Maintainer

SAM contains a comprehensive U.S. Federal Government hierarchy. As the Agency Hierarchy Maintainer, you are responsible for ensuring its accuracy for your agency. You can submit requests to FPDS to complete the following actions:

- Create an Office in your agency's hierarchy.
- Update the information* (such as name and address) for an Office in your agency's hierarchy.
- Move an Office in your agency's hierarchy.
- View Entity Management – For Official Use Only data (such as Taxpayer Identification Number information) in SAM for all entity registrations.

You can request this role, or an administrator can assign it to you. Please check your agency policies.

This role can be assigned by the Agency Roles Administrator.

2.5.1.6 Agency Roles Administrator

As the Agency Roles Administrator, your primary responsibility is to manage users in your department/agency. You can:

- Manage the roles of all users within your department/agency. You can assign and remove any Federal Government role including other Agency Roles Administrators.
- View Entity Management – For Official Use Only data (such as Taxpayer Identification Number information) in SAM for all entity registrations.
- You CANNOT create an Entity Management registration, an exclusion record, or an Office on the Federal Hierarchy.

You cannot request this role. This role can only be assigned by another Agency Roles Administrator.

2.5.2 Non-Federal Government Roles

Below are the roles that are available with non-Federal Government entities. While the bulk of the non-Federal Government entity roles are assigned to businesses or organizations, they are also relevant to state and local governments, tribal governments, and foreign governments who wish to be eligible for contracts and/or grants with the U.S. Federal Government.

2.5.2.1 Entity Registration Viewer

As the Entity Registration Viewer, you can:

- View (but not update) your entity's entire Entity Management registration.
- Search public data
- Save search results
- Formerly "View Only User" in CCR

You can request this role, or your Entity Administrator can assign it to you. Please check your organization's policies.

2.5.2.2 Entity Registration Representative

As the Entity Registration Representative, you can access all the functionality that an Entity Registration Viewer can access, as well as additional functionality. You can:

- View your entity's entire Entity Management registration.
- Update and renew your entity's Entity Management registration (both the registration and the representations and certifications section). You can only update the Entity Management registration for the entity where you were assigned your role.
- Create, update, and delete Service Contract Inventory Reports (SCR).
- Search public data
- Save search results

- Formerly "Maintenance User" in CCR

You can request this role, or your Entity Administrator can assign it to you. Please check your organization's policies.

2.5.2.3 Reporter

As the Reporter, you are primarily responsible for maintaining your entity's report data for the purpose of annual roll-up reporting requirements. You can:

- Create Service Contract Inventory Reports and BioPreferred Reports.
- View (but not update) limited data for your entity's Entity Management registration.

You can request this role, or your Entity Administrator can assign it to you. Please check your organization's policies.

2.5.2.4 Entity Administrator

As the Entity Administrator, you can access all of the functionality that your entity's users (Entity Registration Representative, Reporter, and Entity Registration Viewer) can access and you can also manage users. You can:

- View your entity's entire Entity Management registration. This includes any entities underneath you in your organization's hierarchy.
- Update and renew your entity's Entity Management registration (both the basic registration and the representations and certifications section). You can update an Entity Management registration for your entity and any entities below you in your organization's hierarchy.
- Deactivate your entity's Entity Management registration
- Create, update, and delete Service Contract Inventory Reports (SCR).
- Manage which users have roles with your entity by assigning any non-Federal Government role.
- Formerly "Administrator" in CCR

You can request this role, or your Entity Administrator can assign it to you. Please check your organization's policies.

Since an Entity Administrator can access the functionality of all its users, you do not need to assign the other roles for your entity if you so wish.

NOTE: The first user to register a non-Federal Government entity in SAM is automatically assigned the Entity Administrator role.

2.6 Managing Your Roles

With an individual account, you have the ability to manage your own roles. Although you cannot grant yourself roles in the system without an administrator's approval, you can:

- Migrate your legacy permissions
- Request roles with a new entity

- Request additional roles with an entity
- Remove your own roles
- Respond to invitations to join new entities

2.6.1 Migrating a Legacy Account to SAM

In SAM, you have the ability to migrate your legacy roles to your new SAM account. This will give you the same access in SAM that you had in the legacy system. For example, if you were a Maintenance User in CCR for DUNS 123456789, you could migrate that role over to SAM for that entity. See Table 2.3 for the mapping of the legacy system roles to SAM roles.

Table 2.3: Legacy Roles Mapping

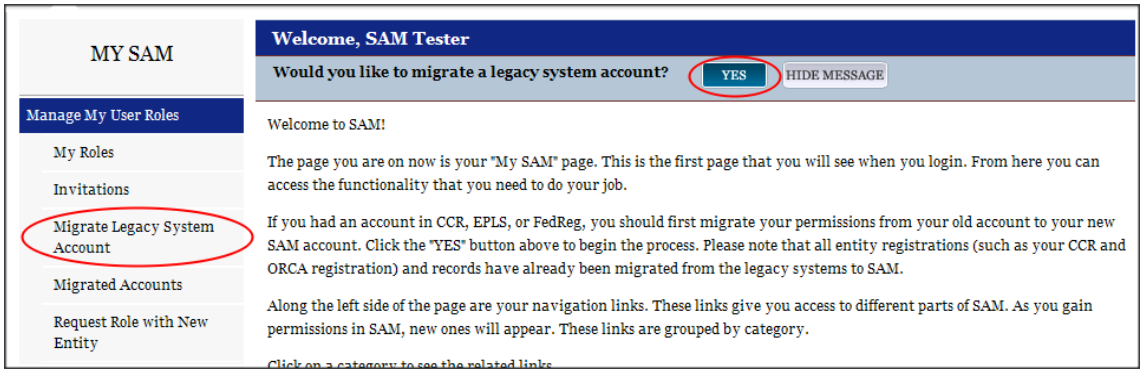
Legacy Roles*	SAM Roles
CCR Administrator	Entity Administrator
CCR Maintenance User	Entity Registration Representative
CCR View Only User	Entity Registration Viewer
FedReg Registrant	Office Registration Representative
FedReg Agency Registration Official (ARO)	Agency Administrators–Entity Management
EPLS Debar User	Agency Exclusions Representative

*NOTE: You cannot migrate ORCA accounts since ORCA accounts were not tied to individual users. Your ORCA information however has been brought over. SAM has combined the ORCA permissions with CCR permissions into the new SAM "Entity Registration Representative" role. Migrate your CCR account(s) first.

To complete the migration process:

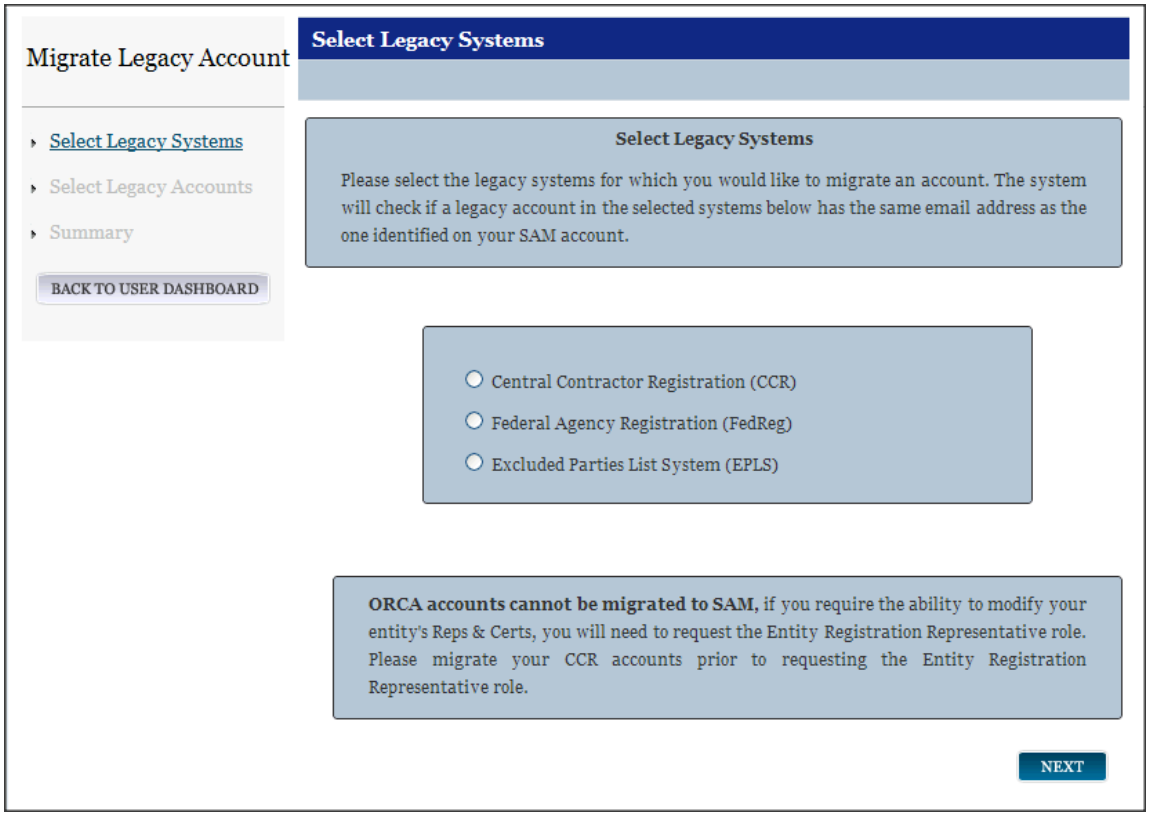
- If you haven't already done so you will need to create a new account in SAM before you migrate your roles. The link to create a new account is in the upper right corner of the SAM homepage. Click the link and follow the instructions on screen. For more information, see Creating an Account.
- Login to SAM.
- Click "Yes" in the banner of your "My SAM" page or select "Migrate Legacy Account" located below the "Manage My User Roles" section on the navigation panel.

Figure 2.12: Begin Account Migration



- Select the legacy system from which you would like to your migrate roles.

Figure 2.13: Select Legacy System

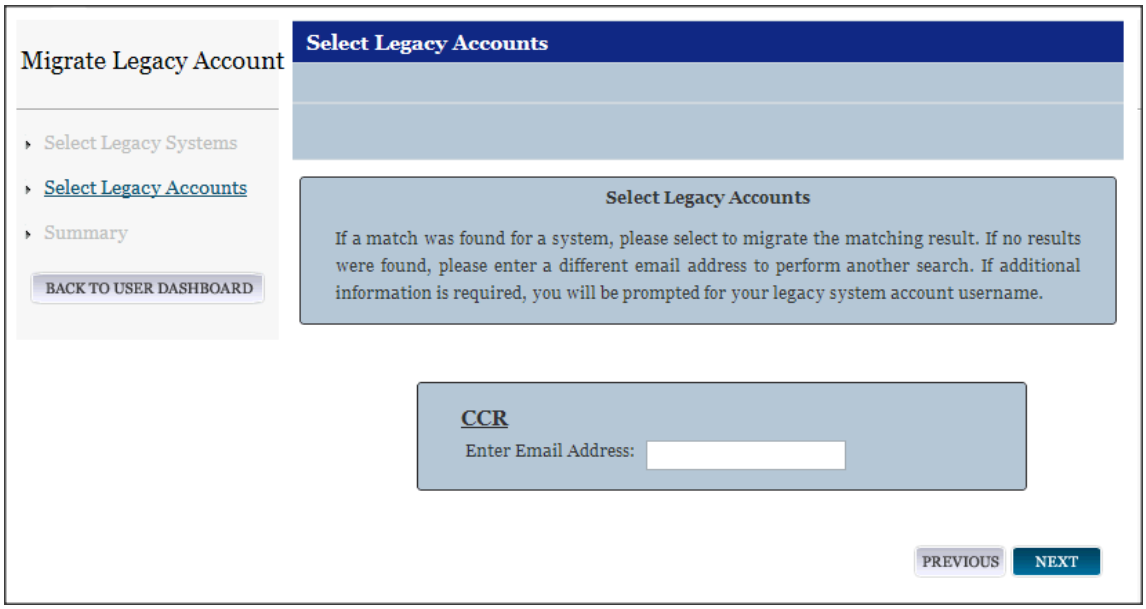


- Click "Next."
- The system checks if the email address for your SAM account matches an email address in the selected legacy system.

If a match was found, you can either migrate the matched account or you can enter the email address of a different legacy account. Select "Next" to continue.

If no match was found, you must enter the email address of the legacy account that you want to migrate as shown in Figure 2.14. Select "Next" to continue. If you are migrating an account from CCR, and you do not remember your email address from CCR, you can click the Click "Here" link to follow an alternative migration path. SAM will ask you for additional information regarding your entity's registration.

Figure 2.14: Matching Legacy Email Address Not Found



- If the entered email address is not unique per legacy system, then you must enter the username of the account that you would like to migrate. For example, in CCR there may be three accounts (CCRUSER1, CCRUSER2, CCRUSER3) with the same email address ccruser@example.com. In this scenario, you would enter the username of the account that you wish to migrate.
- If the account has already been migrated, you are prompted to enter a different email address. Legacy accounts can only be migrated once. After that, no other users may migrate that account.
- SAM also checks if the migrated accounts contain roles that conflict with each other or with roles you currently have in SAM. You will not be able to migrate both Federal Government roles and non-Federal Government roles to the same SAM account. If you cannot migrate an account due to a conflict, you will have to create another SAM account and migrate the conflicting legacy account to your new SAM account.
- If you can migrate the legacy account's roles, you are taken to the "Summary" page. Review the information and select "Submit."
  - If your legacy account has the same email address as your SAM account, the roles are immediately activated in your account. You have now completed the account migration process. Log out of SAM and log back in to fully activate your roles.

  - If your legacy account email address differs from your SAM account email address, SAM sends a validation email to the email address listed in your legacy account. Click the link in the email and log back into SAM using your SAM credentials to complete the migration process. The roles associated with that legacy account are now active for your SAM account.

- Complete this process for each legacy confirmation email you receive.
- Review the accounts that you have migrated by clicking "Migrated Accounts" from your "My SAM" page.

Figure 2.15: Viewing Migrated Accounts Link

2.6.1.1 Alternate CCR Role Migration Option

If you want to manage/update your old entity registration record and do not know, or can no longer access, the email address that you used to register your entity in CCR, SAM offers an automated process to migrate your role permissions. Before you start, make sure you have the following information from your old CCR registration record about the entity registration you are trying to access:

- DUNS number
- American Bankers Association (ABA) Routing Number
- Bank Account Number
- Taxpayer Identification Number (TIN)

The information you provide must match exactly what was on your old CCR registration. If you do not have this information, you will not be able to use this process. If your old CCR registration did not have any of the required data elements, i.e. you are a foreign registrant who does not pay

taxes in the U.S. or are a Federal government entity, you cannot use this process. Contact the Federal Service Desk for assistance.

You only have three chances to enter the data correctly. If you enter the data incorrectly three times, you will be locked out of this migration process and will need to contact the Federal Service Desk.

URL: www.fsd.gov

Hours: 8am - 8pm (Eastern Time)

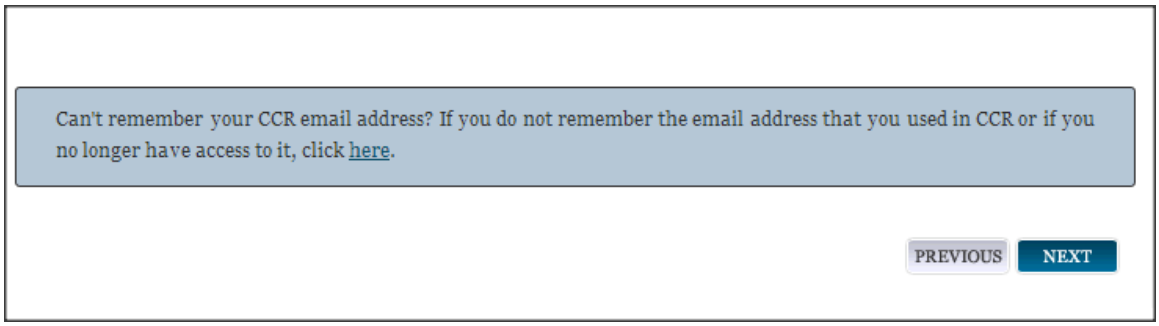
U.S. Calls: 866-606-8220

International Calls: 334-206-7828

DSN: 866-606-8220

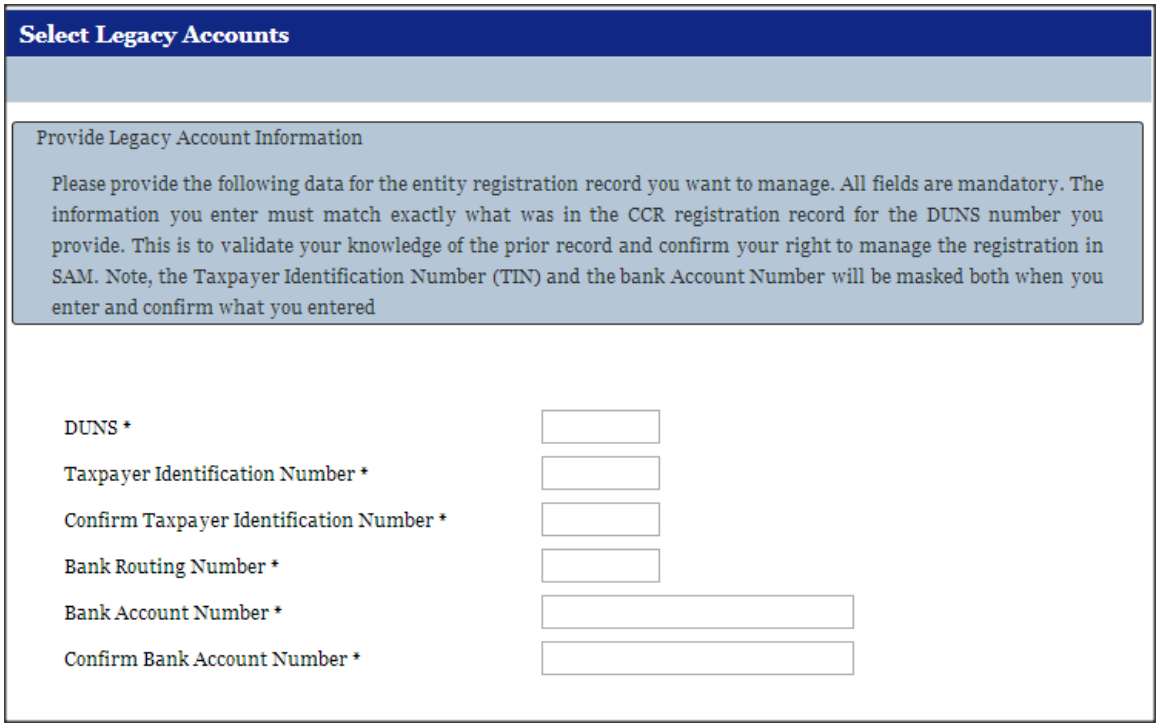
- To begin, log in to SAM, select "Manage My User Roles," then "Migrate Legacy Account," then click the "Click Here" link at the bottom of the page

Figure 2.16: Getting to the CCR Alternate Role Migration



- For security purposes, you must complete the CAPTCHA image. Enter the text you see on the screen. Click "Next." You have seven attempts to complete the CAPTCHA image. If you fail to complete it in seven attempts, you will need to logout and log back in to SAM to try again.
- Next, enter the following data about your entity that matches what was in your CCR registration: DUNS number, TIN, ABA Routing Number, and Bank Account Number. For the Account Number and TIN, you must enter the data twice to confirm the information. Click "Next" to continue.

Figure 2.17: Enter Entity Registration Details



You have three chances to enter the information correctly. If you fail three times, you must contact the FSD to migrate your information, and you will not be able to use this alternate CCR account mirgation path again.

If another SAM user already has the Entity Administrator role with this entity, you cannot use this migration process. In that case, you must request access via the Request Role with New Entity process. Additionaly, you will not be able to complete this process if you already have a role with this entity.

- If you enter the data incorrectly, an error message appears on the screen. You must wait a few seconds before re-submitting the information. NOTE: You only have three chances to enter the data correctly before you are locked out of the process.
- After correctly entering the data, you are taken to the “Confirmation” page. You can click the “Migrate Another Account” button to migrate another account if you wish or click “Done” to leave the process.
- You will now be able to access your entity’s registration under the “Register/Update Entity” link on your “My SAM” page.

2.6.2 Requesting a Role with an Entity

This section covers how you can request roles with an entity that you do not currently have roles with. If you already have roles with an entity but you want to request additional roles see Managing Roles with an Existing Entity.

Each entity has its own internal rules regarding how roles are assigned. Some entities may want an administrator to invite you to join instead of you requesting roles. Check with your organization to determine if you should request a role.

To request a role in SAM with an entity:

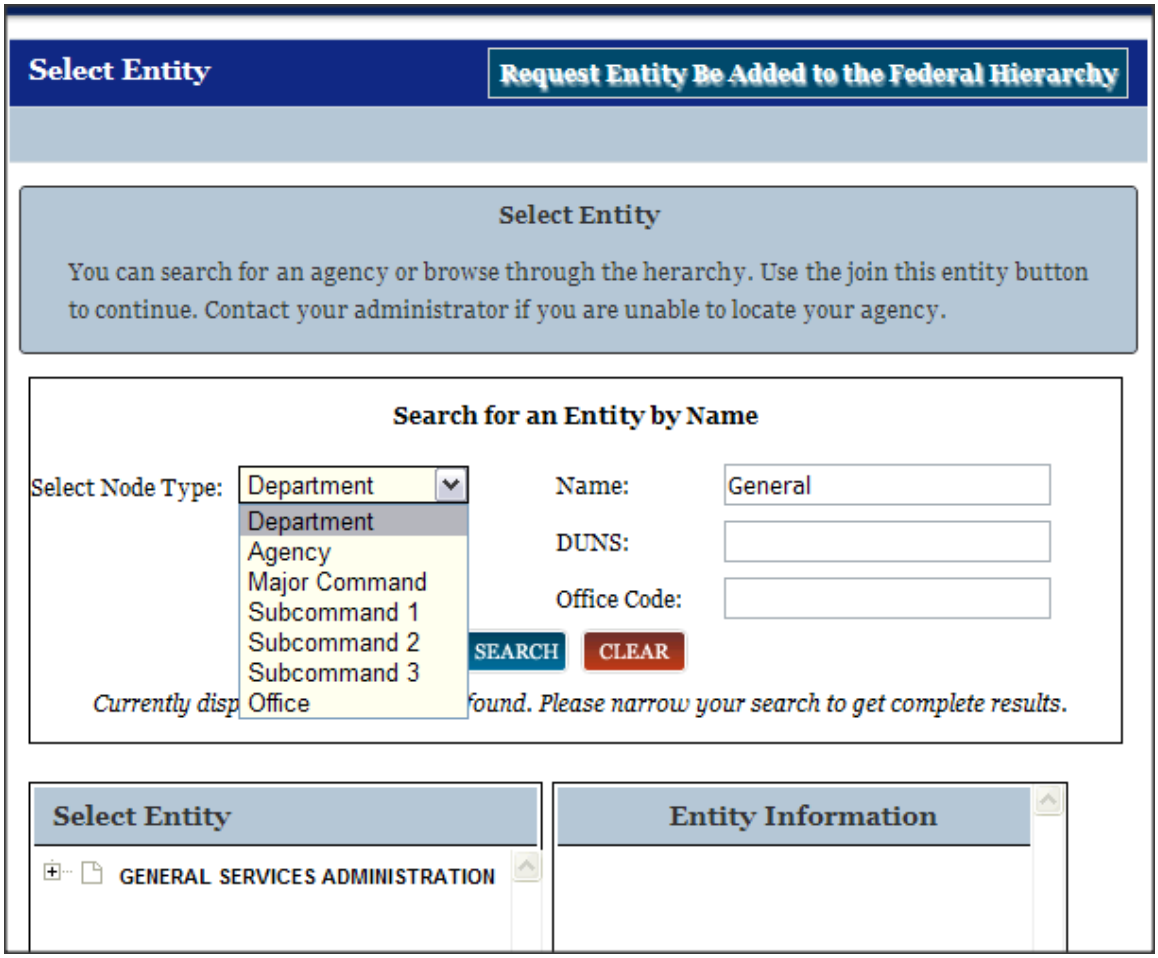
- Select "Request Role with New Entity" underneath the "Manage My User Roles" header on your "My SAM" page.
- You are asked if you are a user from a U.S. Federal Government entity. Select "Yes" or "No." If already have a role with an entity in SAM, the answer will be preselected based on your current role. For example, if you have a role with a Federal Government entity, you cannot request a role with a non-Federal Government entity and vice versa.
- Once you select your answer, click "Next"

The sections below outline the different request steps you take if you want to join a Federal Government entity or a non-Federal Government entity.

2.6.2.1 Requesting Role with a Federal Government Entity

- If you answered "Yes" (i.e. you want to join a U.S Federal Government entity), you must select the entity on the Federal Government hierarchy that you wish to join.
- Enter the name of the entity or the code for that entity in the Federal Government hierarchy (this includes the Department Code, Agency Code, Office Code, and Major and Sub-Command Codes) and click "Search."
- The page refreshes and displays the results that match your search term. Select an entity to see more details. To see lower levels of the hierarchy, select the + next to an entity. For instance if you select a department you can click the + to see the agencies under that. You can click the + for an agency and see all the offices under that. NOTE: SAM only displays the first 200 records found, if you do not see your entity, enter a different search term and perform the search again. You are strongly encouraged to check with your agency to determine which entity you should be associated with (i.e. which bureau/agency/opdiv).
- When you have found the correct entity, select it and click "Join This Entity."

Figure 2.18: Select Entity from Federal Hierarchy



When you select "Join This Entity," SAM performs checks to verify that you can request roles with the entity. You cannot request roles with this entity if:

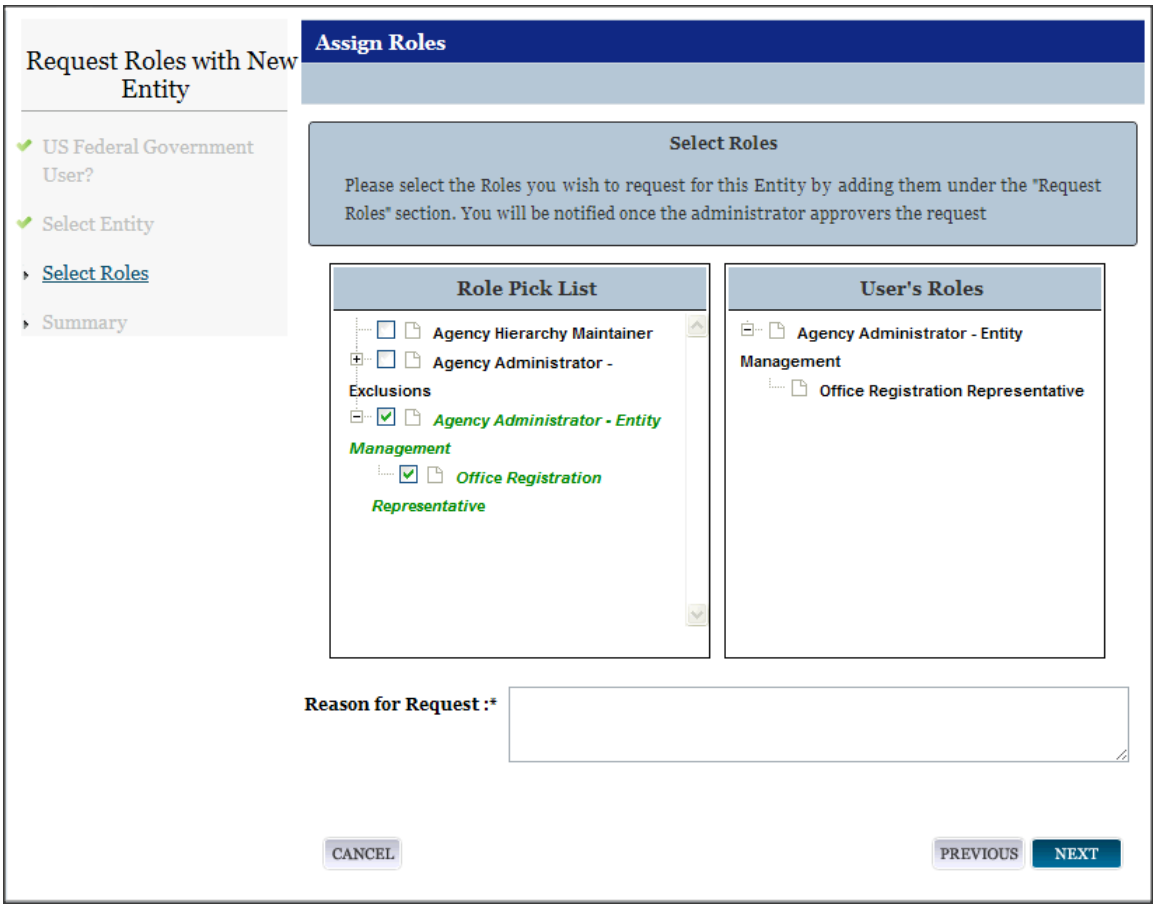
- You already have an existing role with this entity. If you already have roles with an entity, you can manage them by clicking the "My Roles" link from your "My SAM" page. If you need any additional roles, you will need to request that role via the My Roles process.
- You have a pending role request for any roles with this entity. An administrator must approve or reject your request before you can submit another request.
- You have a pending invitation to join this entity. To accept an invitation, click the "Invitations" link on your "My SAM" page.

If you can request a role with this entity, SAM displays the roles that you can request.

- Select the check box next to the roles you wish to request on the "Assign Roles" page.
- The selected role appears on the "User's Roles" list.

NOTE: Roles are grouped hierarchically, which means that certain roles with more authority (the parent role) will automatically include the rights of other roles (children roles) with lesser authority. Click the "+" to see all the roles underneath that role.

Figure 2.19: Selecting User Roles



- To remove a role from the request, uncheck the role on the "Role Pick List."
- Enter a reason for the request. The more descriptive you are with this information, the better your system administrator can judge if you should have this role.
- Click "Next" to review your request on the "Summary" page.
- Click "Edit" to modify any information.
- Select "Submit" to send the request to the appropriate administrator for approval.

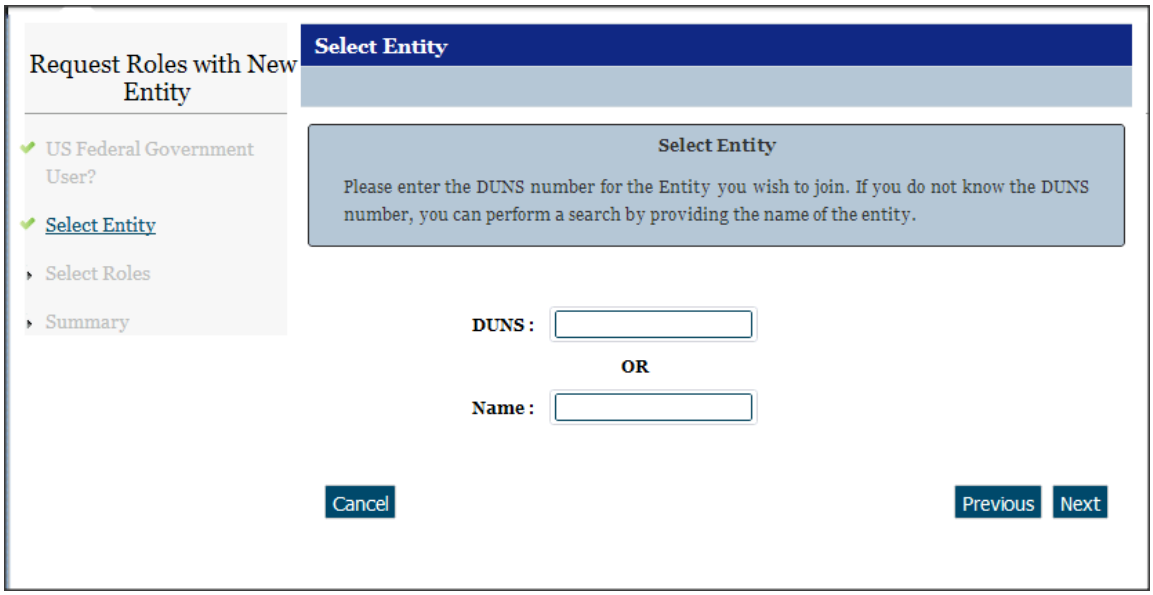
An administrator can now approve or reject your request. You will receive an email notifying you of the administrator's decision.

2.6.2.2 Requesting Role with a Non-Federal Government Entity

- If you answered "No" to the U.S Federal Government entity question, you must perform a search for the entity.

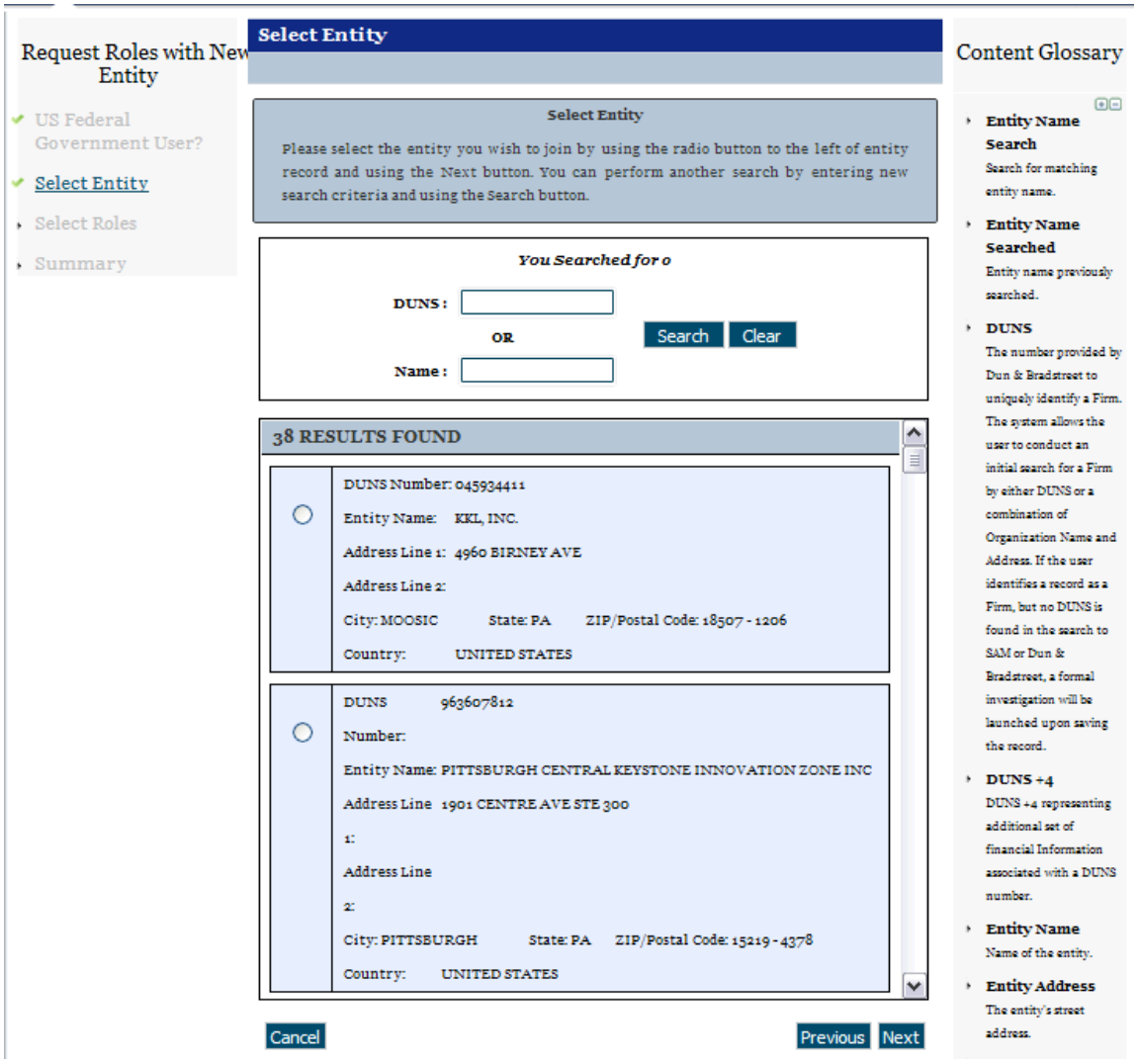
- Search by either "DUNS" or "Name."
  - Data Universal Numbering System (DUNS) is a unique 9-digit number that is administered by Dun and Bradstreet (D&B) and is a required data element for all registrants in SAM.
- Enter your search criteria and select "Next."
- SAM searches for registrations which match your search terms.

Figure 2.20: Searching for an Entity by DUNS or Name



- The results are displayed on a new page.
- Select the radio button next to the correct result and click "Next." **Before clicking "Next," review the selected entity carefully to ensure that this is the right entity.**
- If you did not find the right entity, enter a different search term.

Figure 2.21: Non-Federal Entity Selection



When you click "Next," SAM checks to ensure that you can request roles with that entity. You may not send a role request to join a new entity if:

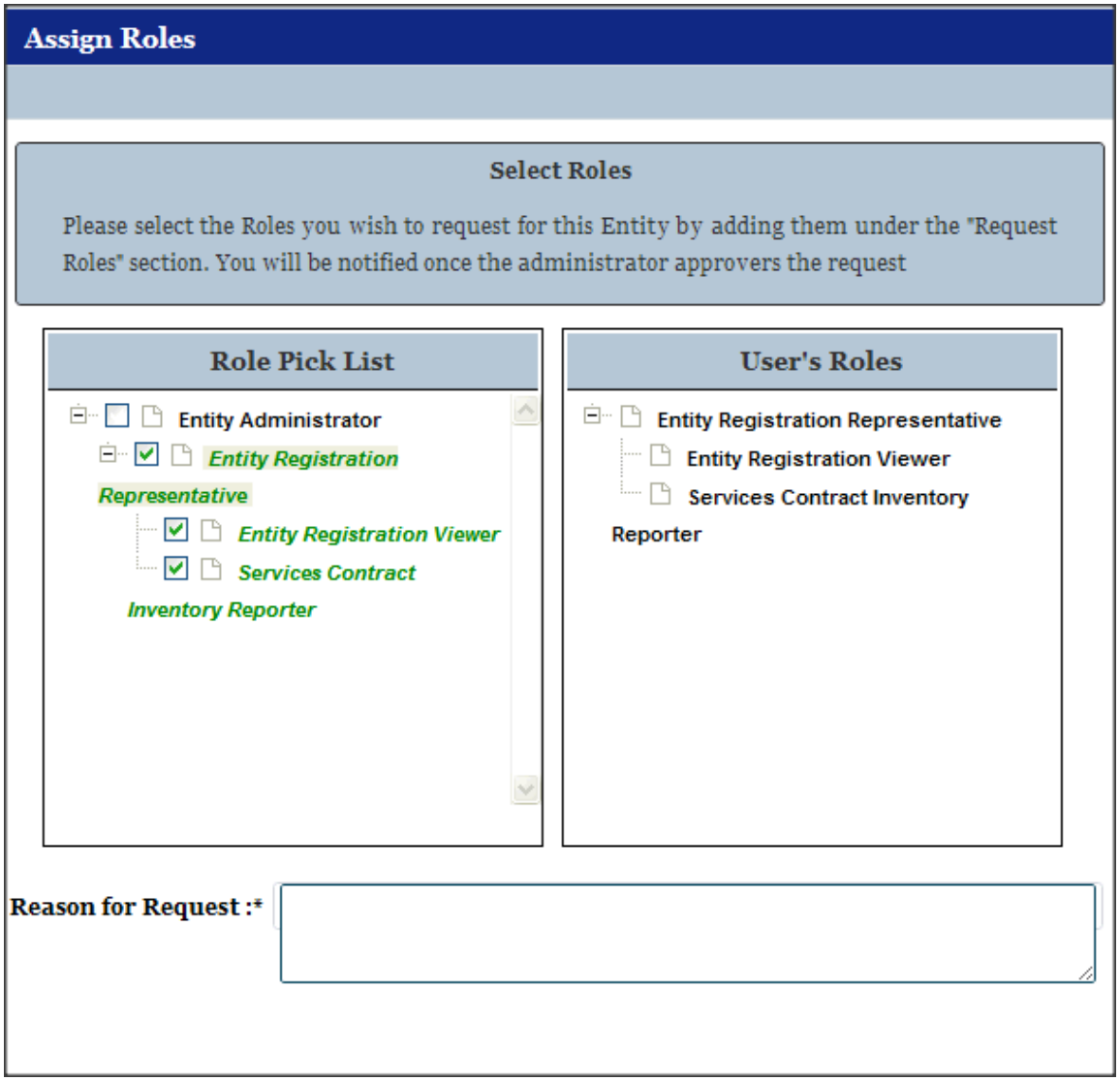
- You already have an existing role with this entity. If you already have roles with an entity you can manage them by clicking the "My Roles" link from your "My SAM" page. If you need any additional roles, you will need to request that role via the My Roles process
- You have a pending role request for any roles with this entity. An administrator must approve or reject your request before you can submit another request.
- You have a pending invitation to join this entity. To accept an invitation, click the "Invitations" link on your "My SAM" page.

If you can request a role with this entity, SAM displays the roles that you can request.

- Select the check box next to the roles you wish to request on the "Assign Roles" page.
- The selected role appears on the "User's Roles" list.

NOTE: Roles are grouped hierarchically, which means that certain roles with more authority (the parent role) will automatically include the rights of other roles (children roles) with lesser authority. Click the "+" to see all the roles underneath that role.

Figure 2.22: Selecting User Roles



- To remove a role from the request, uncheck the role on the "Role Pick List."
- Enter a reason for the request. The more descriptive you are with this information, the better your system administrator can judge if you should have this role.

- Click “Next” to review your request on the “Summary” page.
- Click “Edit” to modify any information.
- Select “Submit” to send the request to the appropriate administrator for approval.

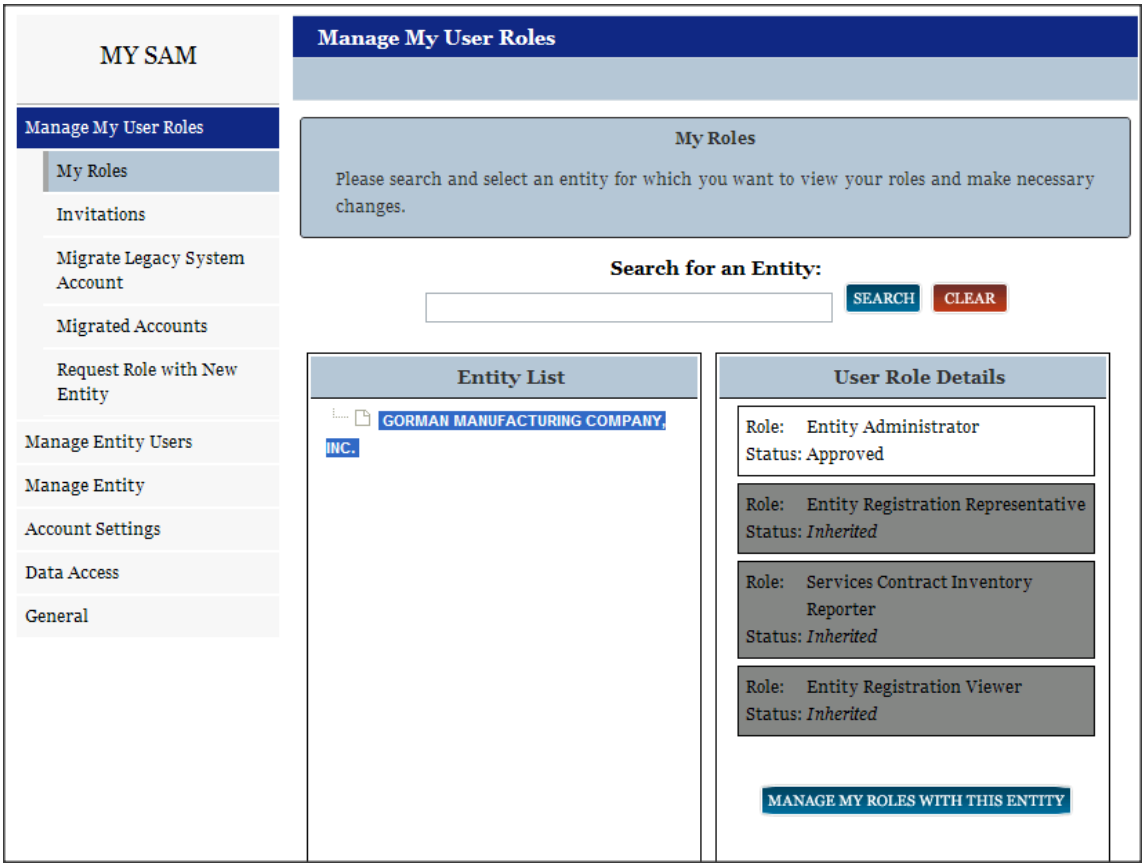
An administrator can now approve or reject your request. You will receive an email notifying you of the administrator’s decision.

2.6.3 Managing Roles with an Existing Entity

Once you have a role with an entity, you can request additional roles or remove your roles from the entity.

- Click “My Roles” underneath the “Manage My User Roles” header from your “My SAM” page.

Figure 2.23: My Roles

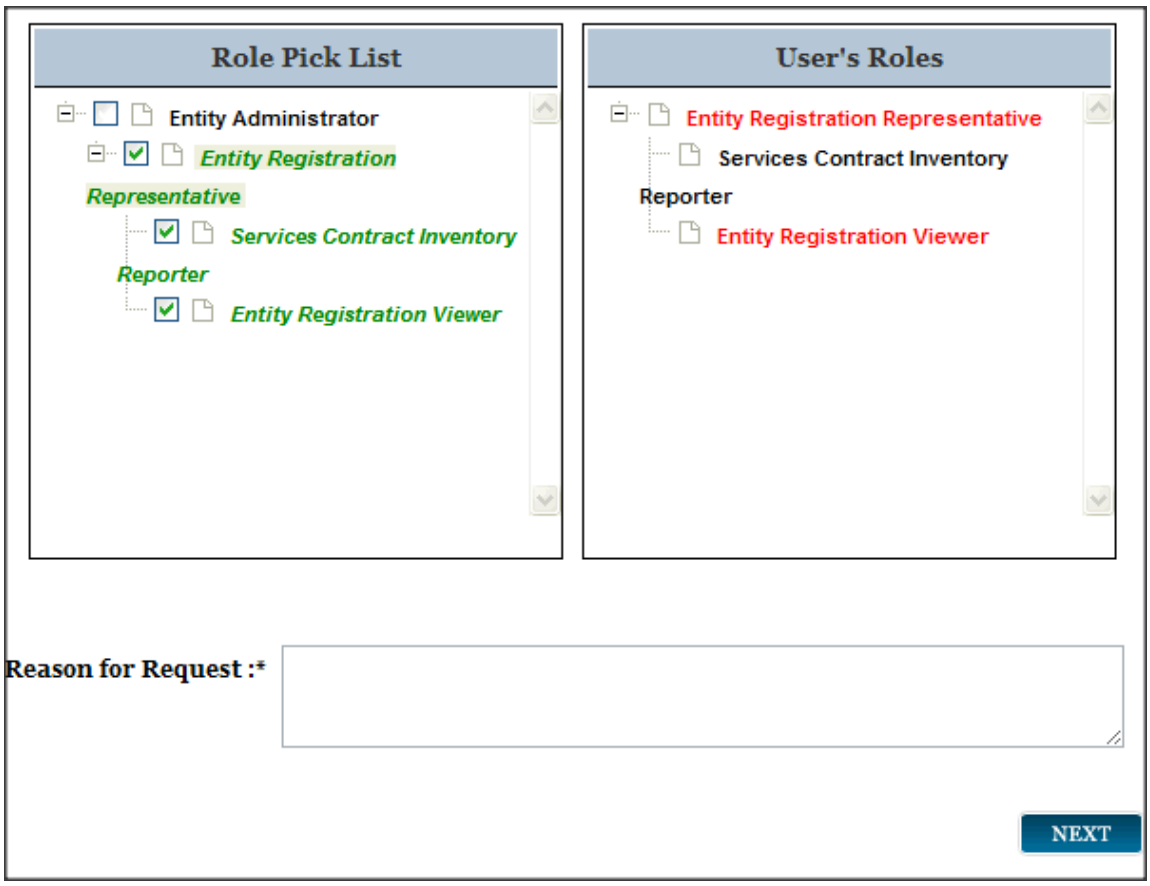


- You can see the entities with which you have roles. Select an entity to see your roles and the status of the roles.
  - “Approved” – Roles that you currently have.
  - “Pending” – Roles that you have requested but have not yet been approved by an administrator.

- "Inherited" – If you were granted a role that had a series of sublevel roles automatically associated with it, you will see these roles listed as "Inherited." You will often see this if you have an administrator role.

- To add or remove roles with an entity, select the entity and click "Manage My Roles with This Entity." This opens the "Roles with Current Entity" page. (NOTE: You will not be able to modify your roles with an entity if you have a role request with the entity that is pending approval by an administrator. You can, however, disassociate yourself from the entity.)

Figure 2.24: Roles with Current Entity



- On the "Roles with Current Entity" page you can modify your roles with this entity. You can view more information about the entity such as name and address by selecting "Entity Information."

- The roles in the "Role Pick List" are the roles that you can have with this entity. When you open the page, the roles that you currently have with this entity will already be selected.

- The "User's Roles" list displays the roles that you currently have and/or are requesting.

- To request an additional role, select any role from the "Role Pick List" to add it to your "User's Roles" list.

- To remove a role, deselect it from your "Role Pick List," and it disappears from your "User's Roles" list. NOTE: Before removing a role, check with your entity to confirm your entity's role management process. Some entities may wish to have administrators remove your roles.
- Roles can be displayed in either black or red text on your "User's Roles" list. Black indicates that you already have this role with this entity. Red indicates that it is a new role that you are requesting or it is a role that you have inherited.
- Complete the Reason for Request field if you are requesting additional roles.
- Once you have made your changes, select "Next" to continue.
- You are taken to the "Entity Information" page to verify you are editing your roles with the correct entity.
- Click "Next."
- On the "Summary" page, review the role changes that you have made.
- Select "Submit" to send your role requests to your administrators for approval.
- If you removed any roles, those roles are immediately removed for this entity.

In certain cases, you may wish to disassociate from an entity (i.e. remove all your roles from an entity). You may want to do this if you no longer work for an entity. Before doing this, check with your entity administrator to confirm your entity's role management process.

- Disassociate yourself by either deselecting every role that you have with this entity or select "Disassociate" in the corner of the page.
- The "Disassociate from Entity" page opens and you are given the option to provide a reason for the disassociation.
- Select "Submit" to confirm the change. Your roles are now removed.

On the "Confirmation" page, the system displays your current email address and gives you the option of changing it.

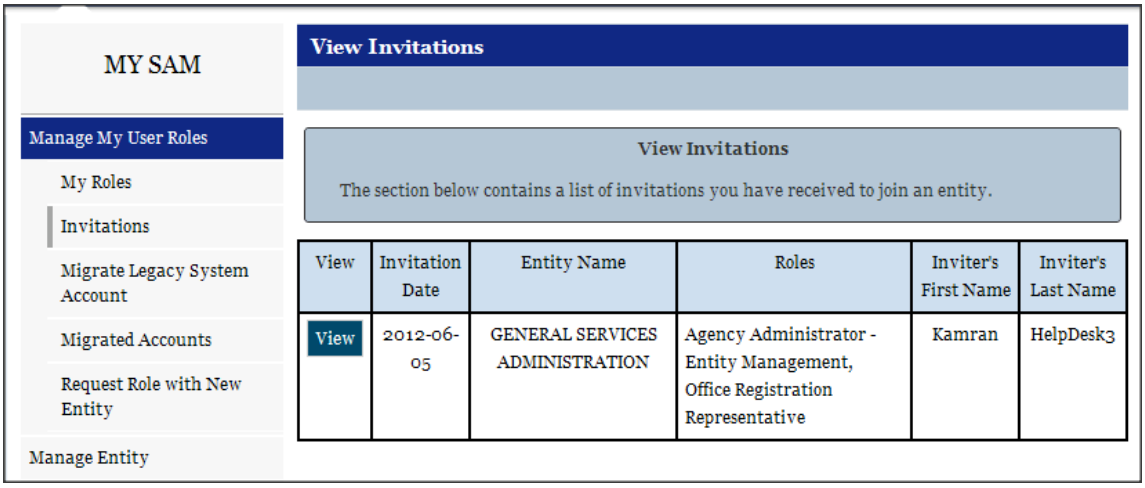
- If you want to update your email click "Change My Email Address."
- If you do not, select "Done" to return to your "My SAM" page.

2.6.4 Managing Invitations to Accept Roles from an Administrator

You can also gain roles in SAM by accepting invitations from administrators. To act on an invitation:

- Click the link in the email that you receive from SAM to open the invitation OR click "Invitations" under the "Manage My User Roles" header of your "My SAM" page.

Figure 2.25: Manage My User Roles - Invitations



Here you will see a list of all your invitations.

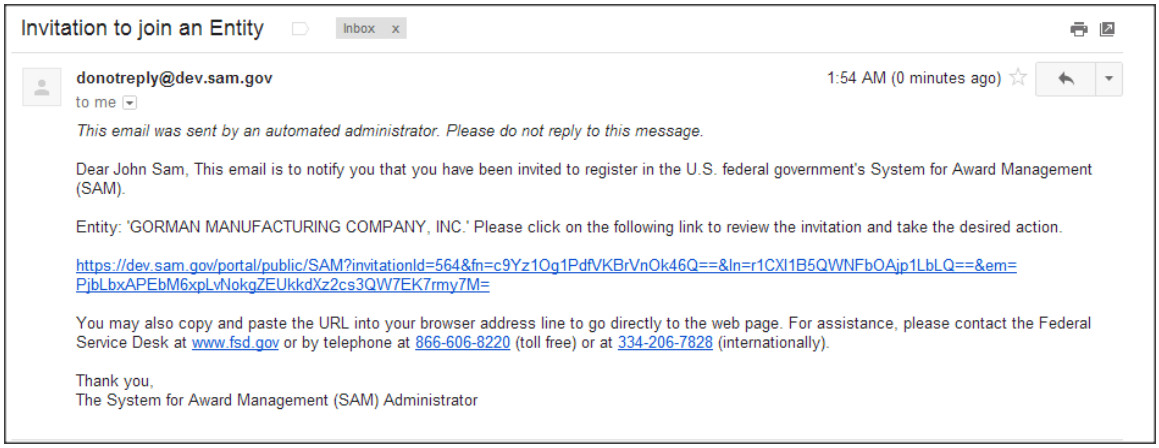
- Select "View" to act on a specific invitation.
- You can either accept or reject the invitation. If there are multiple roles in the invitation, you must either accept or reject the entire invitation, which includes all the specified roles.
- Select "Reject" and "Submit" to reject the invitation. This will delete the invitation and inform the inviting administrator of your decision.
- To accept the invitation select "Accept." The roles become active and you are taken to a "Confirmation" page. The system will inform the inviting administrator of your decision.

2.6.5 Accepting an Invitation to Join SAM

It is possible for an administrator to invite you to join an entity even if you do not have a SAM account. Follow these steps to create a SAM account and accept the roles:

- When you receive a SAM invitation email, click the link in the email to begin the account creation process.

Figure 2.26: Invitation to SAM Email



Invitation to join an Entity Inbox x

donotreply@dev.sam.gov 1:54 AM (0 minutes ago)
to me

This email was sent by an automated administrator. Please do not reply to this message.

Dear John Sam, This email is to notify you that you have been invited to register in the U.S. federal government's System for Award Management (SAM).

Entity: 'GORMAN MANUFACTURING COMPANY, INC.' Please click on the following link to review the invitation and take the desired action.

https://dev.sam.gov/portal/public/SAM?invitationId=564&fn=c9Yz1Og1PdfVKBrVnOk46Q==&ln=r1CXl1B5QWNFbOAjp1LbLQ==&em=PjbLbxAPEbM6xpLvNokgZEUkkdXz2cs3QW7EK7rmy7M=

You may also copy and paste the URL into your browser address line to go directly to the web page. For assistance, please contact the Federal Service Desk at www.fsd.gov or by telephone at 866-606-8220 (toll free) or at 334-206-7828 (internationally).

Thank you,
The System for Award Management (SAM) Administrator

.

- The link will take you to the "Personal Information" page of the account creation process. Enter the information as prompted by the system. The process is the same as the normal account creation process except:
  - You must use the email address to which the invite was sent.
  - You do not need to validate your email address since you have already validated your email address by clicking the link in the original invitation email.
  - Once you create your account, you automatically have access to the invited roles.

3 Entity Management Registration

3.1 Who Registers in SAM Entity Management?

The Entity Management functional area of SAM, formerly Central Contractor Registration (CCR), Online Representations and Certifications (ORCA), and Federal Agency Registration (FedReg), is the primary database for the U.S. Federal Government to manage information on potential government business partners or federal financial assistance recipients.

If you have previously registered your entity in CCR, ORCA, or FedReg all of your entity's information has been brought into SAM. To access your entity's registration you will need to migrate your legacy account. Step by step instructions on this process are provided in Migrating a Legacy Account to SAM.

The term *Entity* may refer to prime contractors, organizations, financial assistance recipients, loan recipients, sole proprietors, corporations, partnerships, and any Federal Government agencies desiring to do business with the government. Whether applying for assistance awards, contracts, or other business opportunities, all entities are considered registrants. Registrants are required to complete a one-time registration. This registration must be re-certified annually.

You must register if:

- You would like to be eligible to be awarded contracts by the Federal Government.

- You are applying for assistance awards from the Federal Government.
- You are a Federal Government entity engaged in Intra-Governmental buying or selling.
- You have been otherwise directed to register by a government official.

NOTE: R**egistration *does not* guarantee business with the Federal Government.**

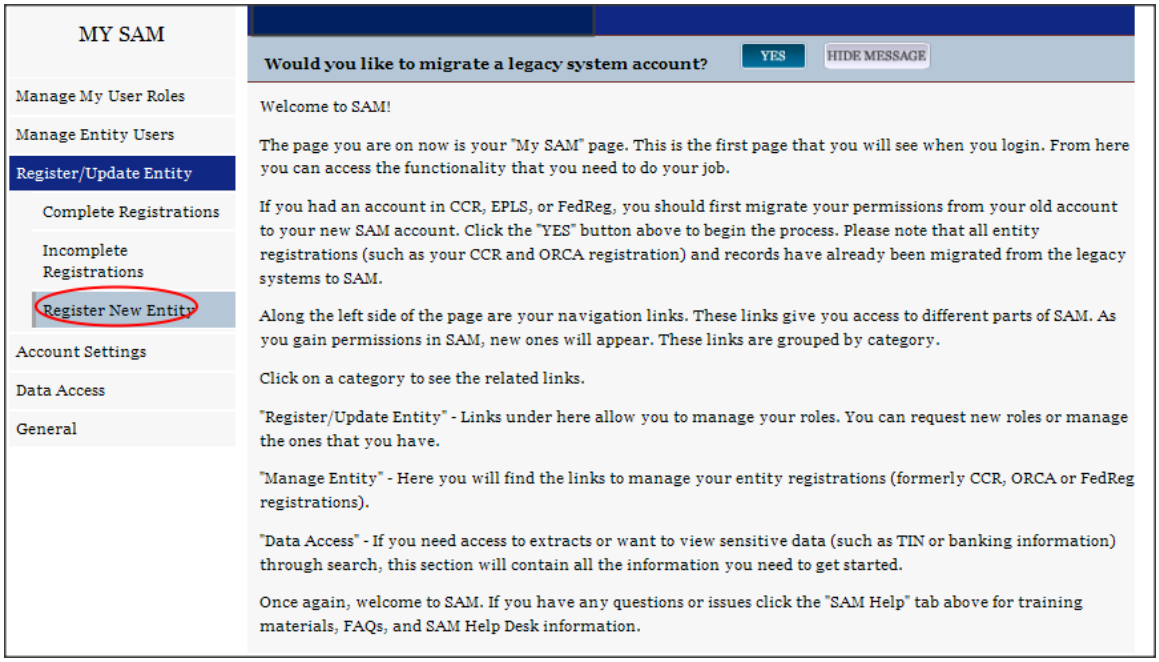
Before reading on, note that on the website mandatory fields have been marked with an asterisk (*) to help you enter information into the correct fields.

3.1.1 What You Need before Getting Started

To register a new entity in SAM you must have an individual SAM account. To set up an individual SAM account, click the "Create an Account" link from the upper right corner of the SAM homepage and follow the prompts. For more information, see Creating an Account in SAM. If you already have a SAM account follow these steps to begin the Entity Management registration process:

- From the "My SAM" page, click "Register/Update Entity" in the navigation panel.
- Click "Register New Entity."

Figure 3.1: Register a New Entity



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You are taken to the Entity Management Registration Overview page. This page details the information you need to register an entity. Take the time to read this page and gather the information you need ahead of time, paying close attention to the Core Data.

Knowing the following pieces of information will speed up the registration process:

- DUNS number, D&B Legal Business Name, and Address - You will not be able to save a draft entity registration if you are unable to verify your entity's DUNS information. If you do not already have a DUNS number, you can call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform.
- Department of Defense Activity Address Code (DoDAAC) – This is applicable for the Department of Defense (DoD) only
- Taxpayer Identification Number (TIN) - TIN and Taxpayer Name are optional for foreign registrants who do not pay taxes to the U.S.
- Taxpayer Name - Your Taxpayer Name might not be the same name as your "D&B Legal Name" name. For example, your D&B Legal Name is "SAM, LLC," but your Taxpayer Name is "System for Award Management, LLC." To find your Taxpayer Name, review your tax statements from the IRS (such as a 1099 or W-2/W-4 form).
- When you are ready to begin, click "Start Registration."

3.2 Determining your Purpose of Registration

The process you are going to follow to complete your Entity Management registration depends on why you are registering in SAM. The system will help you determine your purpose of registration by asking you the following questions:

- What type of entity are you? To answer this question select the type of entity you are from one of the following choices:
  - Business or Organization
  - US Federal Government*
  - US State Government
  - US Local Government
  - Tribal Government
  - Foreign Government

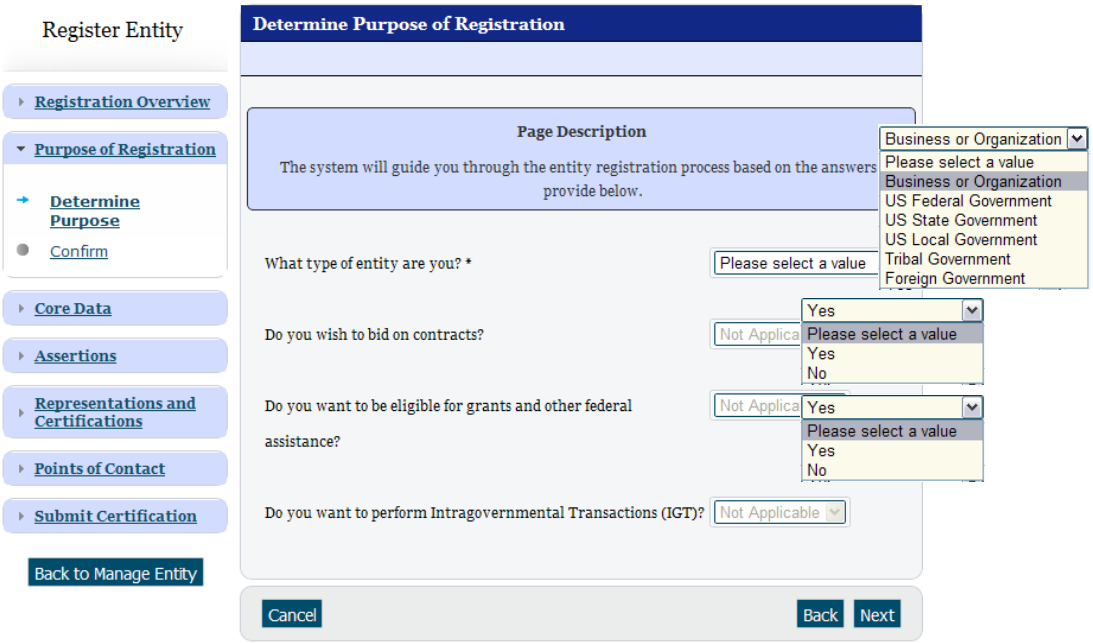
* This choice will only be available to users who already have roles with a U.S. Federal Government entity prior to beginning their registration. See SAM Roles and Administrator for additional information about the administrator role and capabilities.

- Do you wish to bid on contracts?
  - Select "Yes" or "No"
  - If you select "Yes" the next question will automatically be answered for you as "Yes" because you will need to complete the same mandatory information for both the 'contracts' and 'federal assistance' sections.
- Do you want to be eligible for grants and other federal assistance?
  - Select "Yes" or "No"

  - If you have said “Yes” to the previous question this question will be automatically answered for you as “Yes” because you will by default be required to complete all the mandatory information for this section.

- Do you want to perform Intra-Governmental Transactions (IGT)? (IGTs are buying or selling transactions between federal government organizations that are not accomplished by a contract.)
  - U.S. Federal Government entities should select “Yes” or “No”
  - If you did not select US Federal Government as your answer to the ‘Type of Entity’ question at the beginning, this question will be answered for you as “Not Applicable.”

Figure 3.2: Determine Purpose of Registration



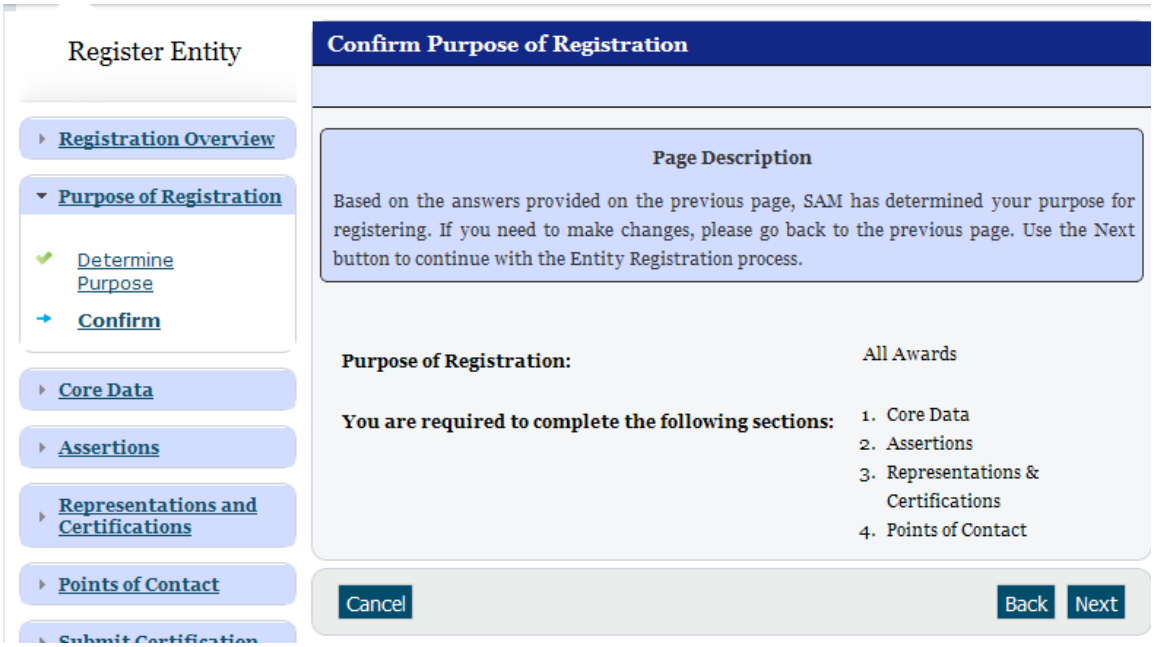
Your response to the questions displayed in the "Determine your Purpose of Registration" page determine what sections of the application are required to be completed for your registration.

- If you are a non-Federal (e.g. company or sole proprietor) registrant and select that you are interested in being eligible for Grants and Other Federal Assistance but are not interested in Contracts, then you will only need to complete the Core Data and Points of Contact sections in SAM. In this scenario, SAM marks your registration as being "Federal Assistance Award Only."
- If you are a non-Federal (e.g. company or sole proprietor) registrant and select you are interested in being eligible to be awarded federal Contracts, you will need to complete the Core Data, Assertions, Representations and Certifications and the Points of Contact sections in SAM. By filling out this information, you are automatically eligible to be awarded Grants

and Other Federal Assistance. In this scenario, SAM marks your registration as being "All Awards."

- If you are a Federal government registrant and select that you are interested in Intra-Governmental Transactions only (and not interested in Contracts or Grants), then you will need to complete the Core Data, Assertions and Points of Contact sections in SAM. In this scenario, SAM marks your registration as being "Intra-Governmental Transactions Only."
- If you are a Federal government registrant and select that you are interested in Contracts, and you further select that you are interested in Intra-Governmental Transactions, then you will need to complete the Core Data, Assertion, Representations and Certifications and Points of Contact sections in SAM. By filling out this information, you are automatically eligible to be awarded Grants and Other Federal Assistance. In this scenario, SAM marks your registration as being "All Awards and Intra-Governmental Transactions."
- If you are a Federal government registrant and select that you are not interested in Contracts but are interested in Grants and Other Federal Assistance and also select that you are interested in Intra-Governmental Transactions, then you will need to complete the Core Data, Assertions and Points of Contact sections in SAM. In this scenario, SAM marks your registration as being "Federal Assistance Awards and Intra-Governmental Transactions."
- This way, you only need to fill out the sections that are relevant to your purpose in SAM. Further, the data you fill out in each section will be tailored to your particular type of entity.

Figure 3.3: Confirm Purpose of Registration



- If you are satisfied with your answers to the purpose of registration questions hit “Next” to continue.

- If you wish to change your answers to the purpose of registration questions hit "Back" to return to the previous screen

Before you continue your Entity Management registration, here is some general information about the registration process:

- You are able to save your registration at any point during the process as long as you verify and save a valid DUNS number and/or DoDAAC, Name, and Address. If you click "Cancel" or leave a page at any time during the registration process, the information entered on that page will not be saved.
- Incomplete registrations (registrations that have not been submitted) may be deleted from the system after 90 days of inactivity. You will receive email notices prior to your record being deleted.
- On each page, all mandatory fields will be marked with an *. All mandatory data must be provided before the registration may be submitted.
- Definitions can be found by using the slide-out content glossary on the right of your screen. They are also available in Appendix B of this user guide.

3.3 Registering your Entity if you are interested in Federal Assistance Awards Only

This section describes the process of registering an entity for the purpose of being eligible for Federal Assistance. "Federal Assistance" for purposes of this User Guide stands for Federal Financial Assistance. A grant, cooperative agreement, or loan recipient, for example, are considered Federal Financial Assistance recipients.

To register an entity for "Federal Assistance Awards Only," complete the following sections:

- Core Data
- Points of Contact

The navigation panel on the left side of the screen will display your progress through these sections.

3.3.1 Entering Core Data

The first step to register a new entity is to enter core details on your entity. Core Data includes, but is not limited to, an entity's Data Universal Numbering System (DUNS) number, name, address, Commercial and Government Entity (CAGE) code or NATO Commercial and Government Entity (NCAGE) code, Taxpayer Identification Number (TIN), general information, financial information, and details about any proceedings the entity may currently be involved in. Core Data is mandatory for all registration types. Once you have completed your Core Data, your entity's information will be displayed in the SAM Public Search. Sensitive data, such as financial information will not ever be displayed, however, if you do not wish to allow the public to search for and view your record, you may "opt-out" of public display. For more information, see Information Opt Out.

3.3.1.1 Requesting the Addition of a New U.S. Federal Agency on the U.S. Federal Hierarchy

Some federal government agencies have the authority to apply for federal financial assistance opportunities. If you are registering a Federal Government entity for Federal Assistance, the entity must already exist on the SAM Federal Government hierarchy before you can continue. When an entity is placed on the Federal Government hierarchy, this is called a node. The term node indicates that the entity is defined, it exists on the hierarchy, and there is basic information entered for the entity such as name and address. Although an agency's SAM entity registration for federal assistance will expire if not renewed annually, the node entry itself on the hierarchy never expires. If the entity is not present on the hierarchy you need to request it be added. For more information, see Hierarchy.

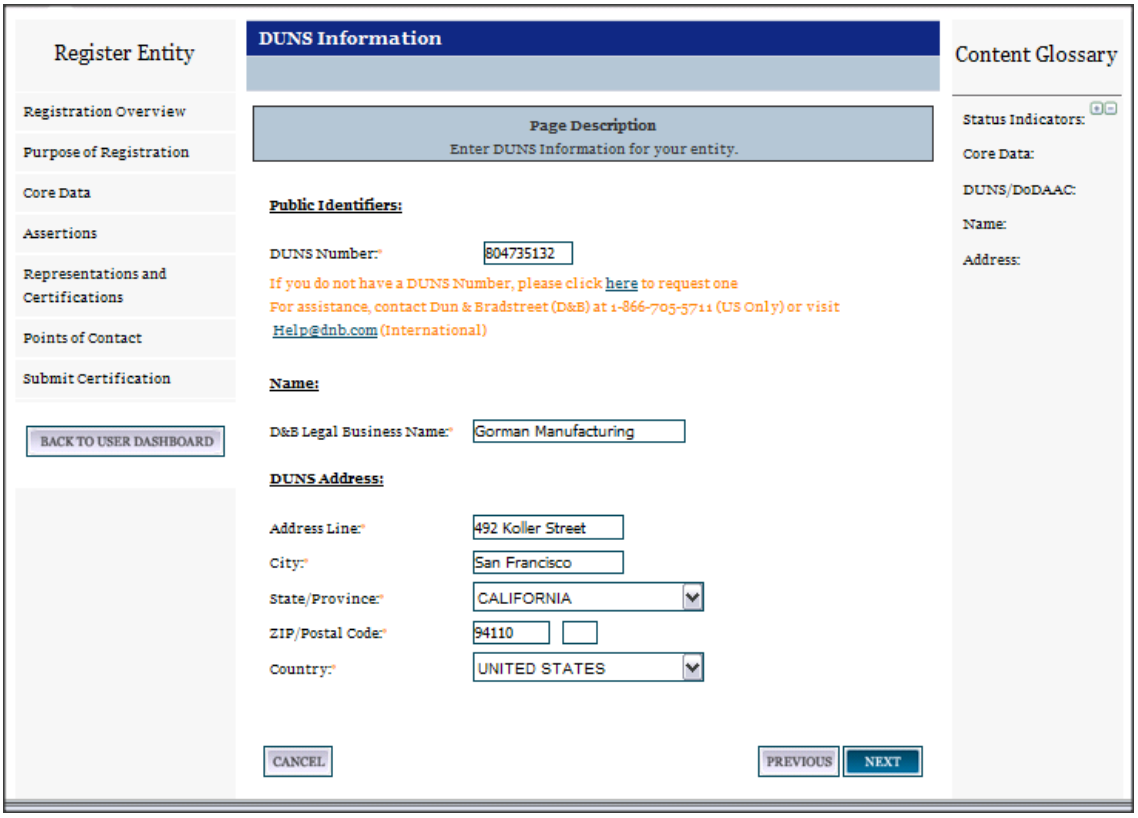
3.3.1.2 Entering a DUNS

The first page is the DUNS information page. The DUNS number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B). If you need a DUNS number, one will be provided to you, free of charge. Call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform. International registrants may also contact SAMhelp@dnb.com. You do NOT have to pay for a DUNS number if you utilize these websites and phone numbers. It will take 1-2 (2-5 for foreign registrant) business days for a new D&B number to become active and available for your SAM registration.

On the DUNS information page:

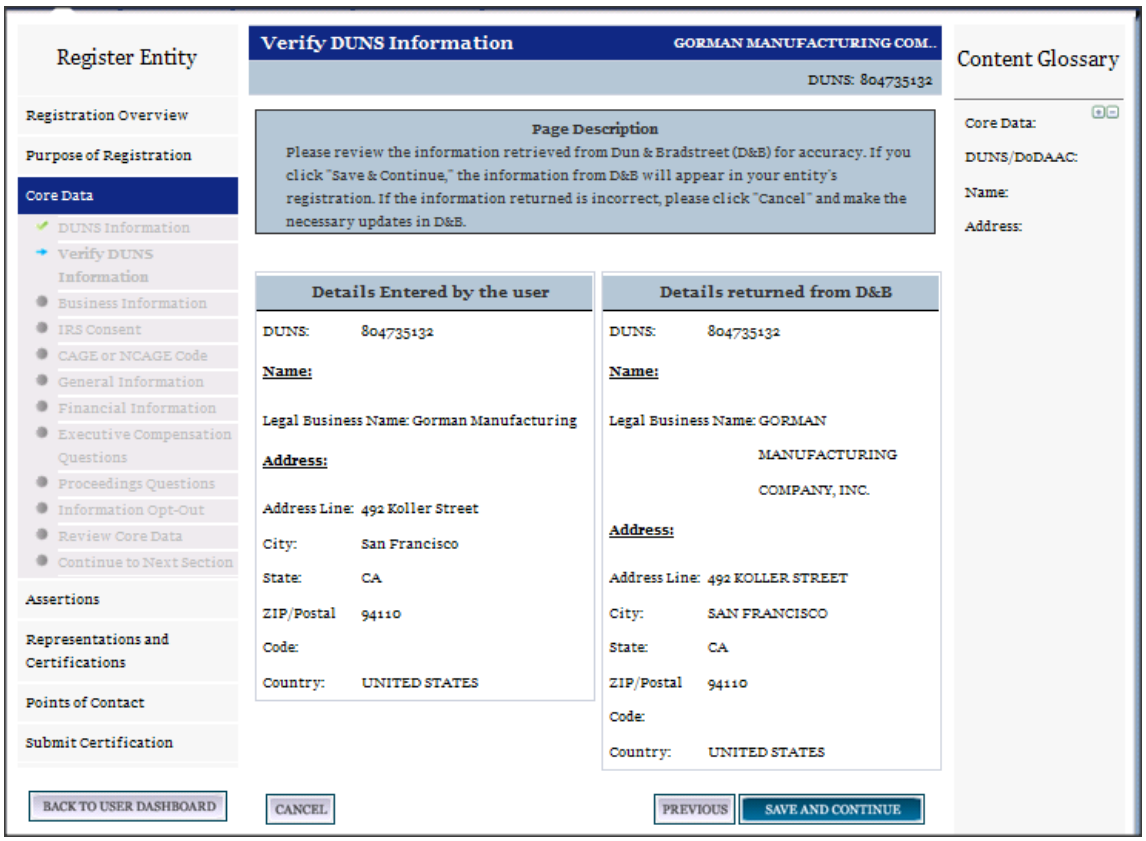
- Enter your DUNS number, D&B Legal Business Name (this is name that has been registered for your organization at D&B), Address (please remember that the address has to be the same as the address at D&B and must be the physical address of your location) and click "Next."
- This sends your DUNS information to D&B for validation.
- Upon successful validation from D&B, you will be able to continue with your registration.

Figure 3.4: Enter DUNS Information



Once the information you provided has been verified by D&B, you will receive a “side-by-side” screen showing the details you entered compared with the details returned from D&B.

Figure 3.5: Verify DUNS Information



- Review and verify your DUNS information.
- If the data is correct, click "Save and Continue."
- If the data is incorrect, visit the D&B website at http://fedgov.dnb.com/webform to make the necessary changes.
- If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the "Refresh D&B Data" button found on the 'Verify DUNS Information' page in SAM to refresh your data.
- Review and verify your DUNS information.
- Click "Save and Continue."

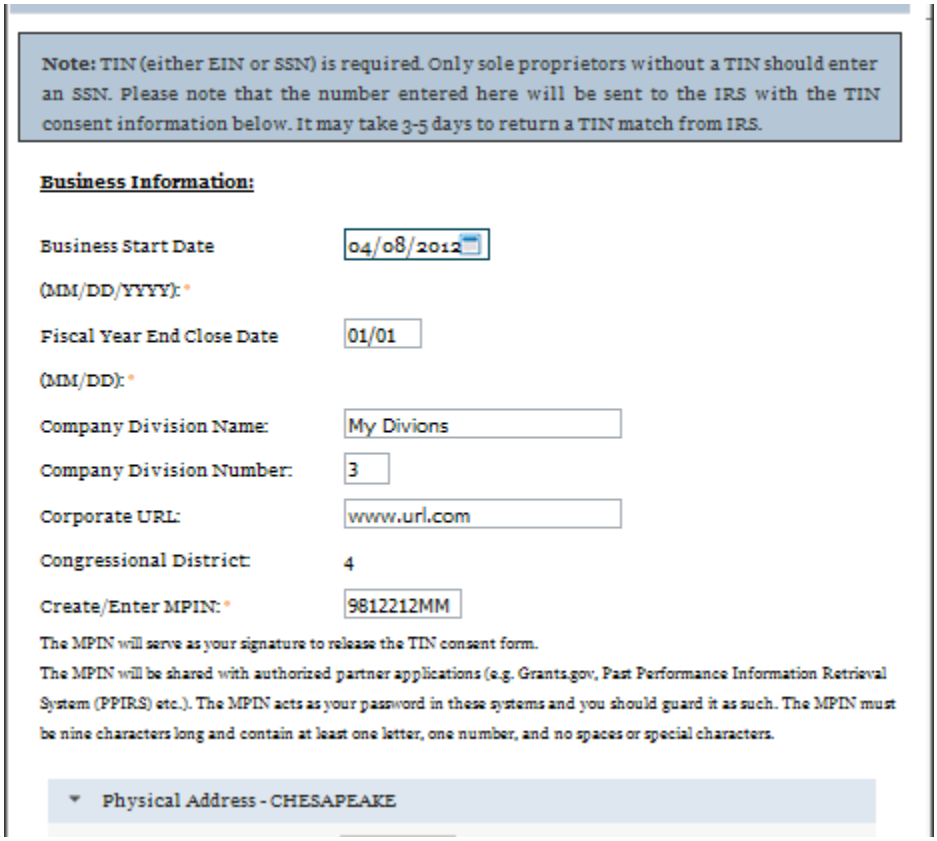
3.3.1.3 Business Information

After you entered your DUNS information and passed validation, you can enter the business information for your entity. See Figure 3.5.

- Enter your business start date.

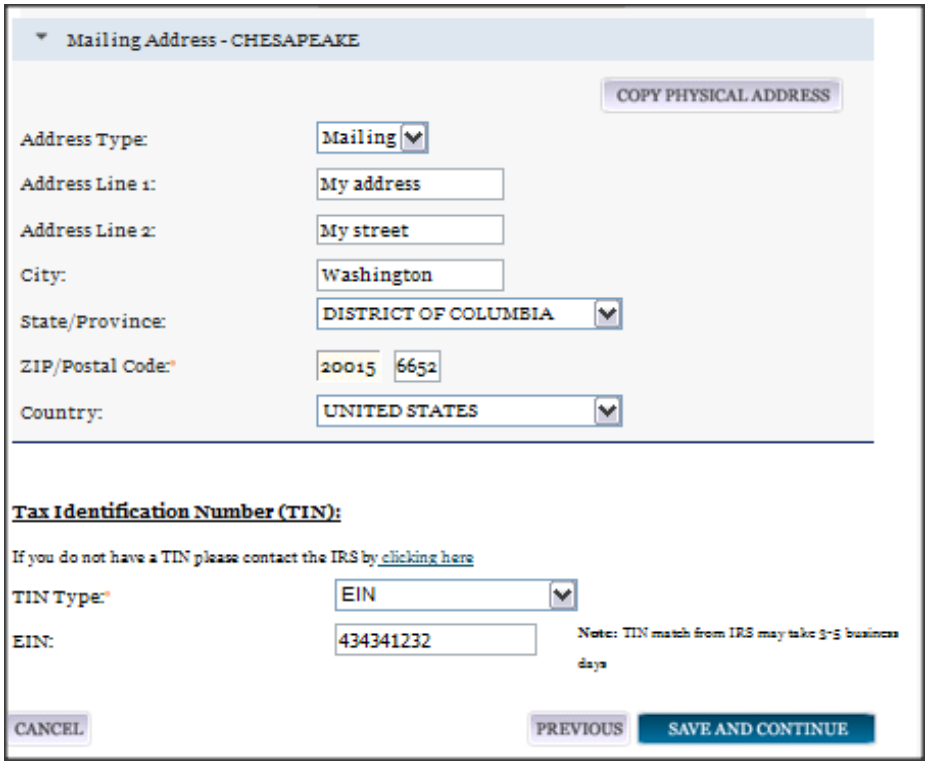
- Enter the date on which your company's fiscal year ends.
- Enter your company division name and number (if applicable).
- Enter your company's URL (if applicable).
- Congressional District will be pre-filled for you by the system based on your zip code (if applicable).
- Next, you must create your Marketing Partner Identification Number (MPIN). The MPIN will be used to provide you access to other systems, such as Grants.gov and Past Performance Information Retrieval System (PPIRS). Your MPIN acts as your password in these systems so you should guard it as such. A MPIN is required even if you do not anticipate usage of authorized MPIN systems. **If you pay U.S. taxes you will also need your MPIN in an upcoming screen so please be sure to remember it.** The MPIN must contain nine characters; at least one letter and one number character each. It should not contain spaces or special characters. You may change the MPIN at any time.
- Your physical address is pre-filled from the D&B address associated with your DUNS number. Your physical address is the location of your building.

Figure 3.6: Business Information Part 1



- Your mailing address will appear next. Enter your entity's mailing address or click "Copy Physical Address" if your mailing address is the same as the physical address.
- Enter the Tax Identification Number (TIN) for your entity. NOTE: If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a TIN and can proceed to the NCAGE code section. For more information or to apply for a TIN visit http://www.irs.gov.
- The types of TIN numbers you may enter include:
  - Employee Identification Number (EIN)
  - Social Security Number (SSN). This should be entered by sole proprietors only if they do not have an EIN.
- Click "Save and Continue."

Figure 3.6: Business Information Part 2



3.3.1.4 IRS TIN Consent

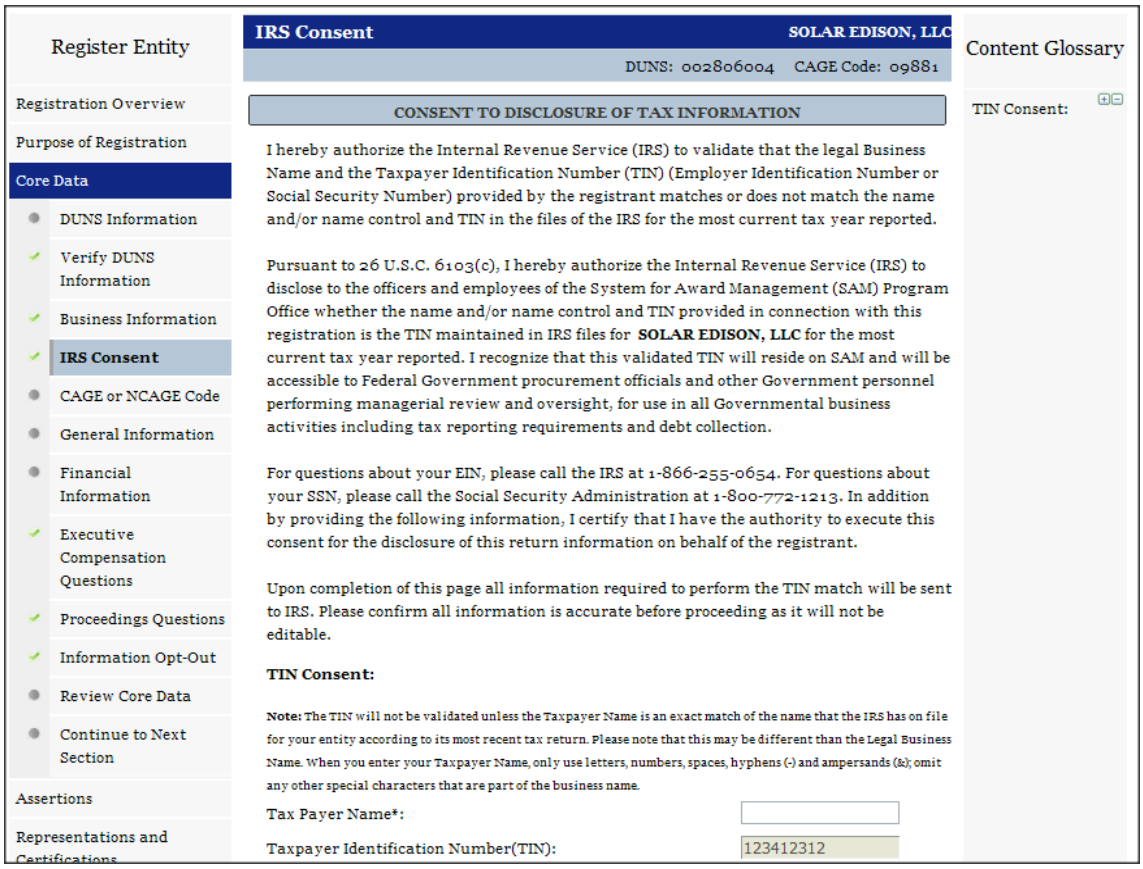
This consent screen allows SAM to validate your TIN with the Internal Revenue Service. This is a requirement before your registration can be activated if you are located in the United States or if you pay employees within the United States.

If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a TIN to the IRS. If you did not provide a TIN, you will not see this page during the registration process and should proceed to the NCAGE code section.

If you are located in the United States, or if you pay employees within the U.S., complete the TIN consent form by entering the following:

- Taxpayer Name. NOTE: Your Taxpayer Name might not be the same name as your "D&B Legal Name" name. For example, your D&B Legal Name is "SAM, LLC," but your Taxpayer Name is "System for Award Management, LLC." To find your Taxpayer Name, review your tax statements from the IRS (such as a 1099 or W-2/W-4 form). When you enter your Taxpayer Name in SAM only use letters, numbers, spaces, hyphens (-) and ampersands (&) and omit any other special characters. **Please note that if you do not enter your Taxpayer Name correctly, activation of your registration will be delayed.**
- Tax Identification Number (TIN). This will be pre-filled with the EIN or SSN you entered on the Business Information page.

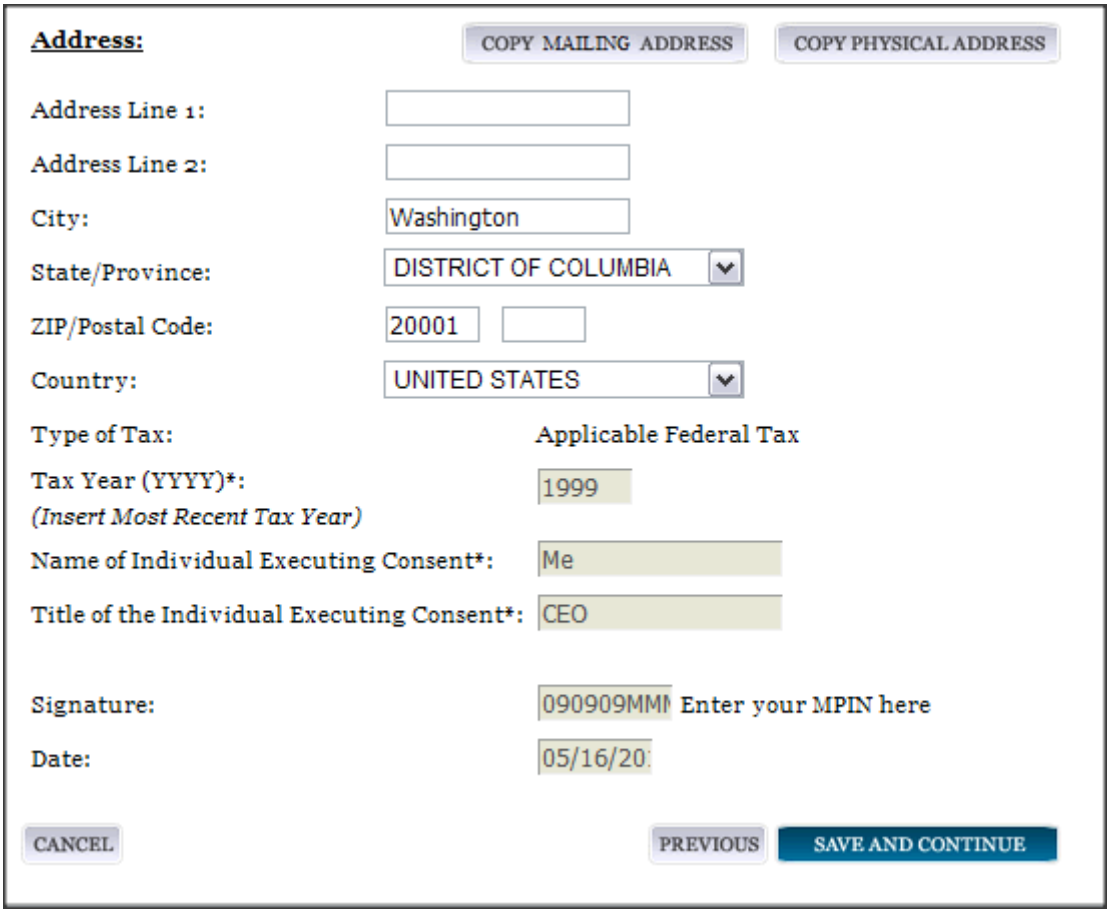
Figure 3.7: IRS Consent Form Part 1



- Taxpayer Address. Enter the address that the IRS has on file for your entity. You may click the "Copy Mailing Address" or "Copy Physical Address" buttons to use one of the addresses you have previously entered.
- Type of Tax. This will be pre-filled as Applicable Federal Tax.
- Tax Year. Enter the most recent year you have filed taxes for.

- Name of Individual Executing Consent. Enter your first name and last name.
- Title of Individual Executing Consent. Enter your title
- Signature (MPIN). The value you enter here must match the value for the MPIN you created on the Business Information Page. The IRS requires you provide this information here to serve as a signature.
- Date. The date will be pre-filled for you once you have entered your MPIN to sign the consent

Figure 3.7: IRS Consent Form Part 2



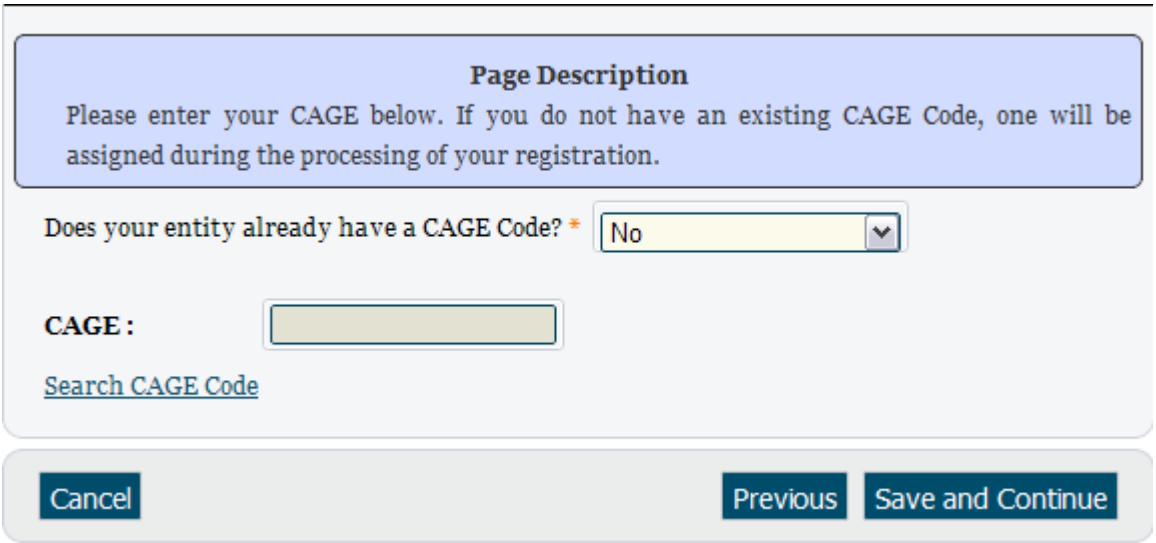
If the data is correct, click "Save and Continue."

3.3.1.5 CAGE Code

You will now be on the "CAGE Code" page. The Commercial and Government Entity (CAGE) code is a five-character ID number which is assigned to entities located in the United States by the Defense Logistics Agency's (DLA's) Logistics Information Service, under North Atlantic Treaty Organization (NATO) procedures, and used within the Federal Government. All U.S. entities must pass a CAGE code validation process. If you are a foreign registrant, see NCAGE.

- Answer the question, "Does your entity already have a CAGE code?"
  - If you are not sure whether or not you have a CAGE code, click the "Search CAGE code" link (http://www.dlis.dla.mil/BINCS/begin_search.aspx) to check.
- If you answered "Yes," enter your CAGE code in the next field.
- If you answered "No," then a CAGE code will automatically be assigned to your entity once you submit your entity's registration and the TIN validation has been returned.
- Click "Save and Continue."

Figure 3.8: CAGE Code



3.3.1.6 NCAGE Code

If you are a foreign entity, you are required to enter a NATO Commercial and Governmental Entity (NCAGE) code. You must obtain this code prior to registration.

Entities located in countries that are a member of NATO or are a sponsored Non-NATO (Tier 2) nation must contact their local country's codification bureau to request an NCAGE code be assigned. These countries include:

Albania	Australia	Austria	Belgium
Bulgaria	Brazil	Canada	Croatia
Czech Republic	Denmark	Estonia	Finland
France	Germany	Greece	Hungary

Italy	Republic of Korea	Latvia	Lithuania
Malaysia	Netherlands	New Zealand	Norway
Poland	Portugal	Romania	Russian Federation
Singapore	Slovakia	Slovenia	Spain
Turkey	United Kingdom		

Points of contact, addresses and other contact information for the codification bureaus for the listed countries can be found at http://www.logisticsinformationservice.dla.mil/nato_poc.asp. Entities located in these countries (with the exception of France and the United Kingdom) may also use the on-line NATO Form AC/135 at http://www.dlis.dla.mil/Forms/Form_AC135.asp. Direct web links for France and United Kingdom requests are provided at http://www.dlis.dla.mil/Forms/Form_AC135.asp as well.

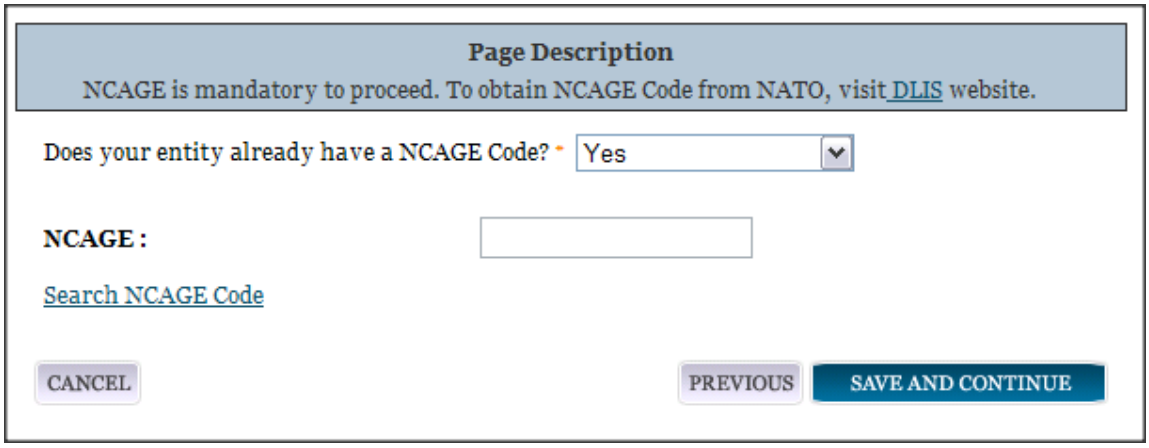
Entities located in countries that are not listed above, can request an NCAGE code be established from the NATO Support Agency (NSPA) (formerly known as the NATO Maintenance and Supply Agency (NAMSA)) going to this site: https://eportal.nspa.nato.int/public/default_eportal.aspx.

More information on obtaining an NCAGE code, how to see if you have an NCAGE, and who to contact if you are having trouble obtaining an NCAGE code can be found at: http://www.dlis.dla.mil/Forms/Form_AC135.asp.

- Enter your NCAGE code.
- Click “Save and Continue.”

Please note that if you have been assigned an NCAGE code just prior to registering in SAM, your activation in SAM may be delayed while it is verified.

Figure 3.9: NCAGE Code



3.3.1.7 General Information Page

Complete General Information about your entity. General Information includes the types of business that may be applicable to your entity, and any socio-economic categories for which your entity qualifies. A Content Glossary is located to the right of the page that provides details about each data element. See Figure 3.10 for an example of the General Information page.

3.3.1.7.1 Entity Information:

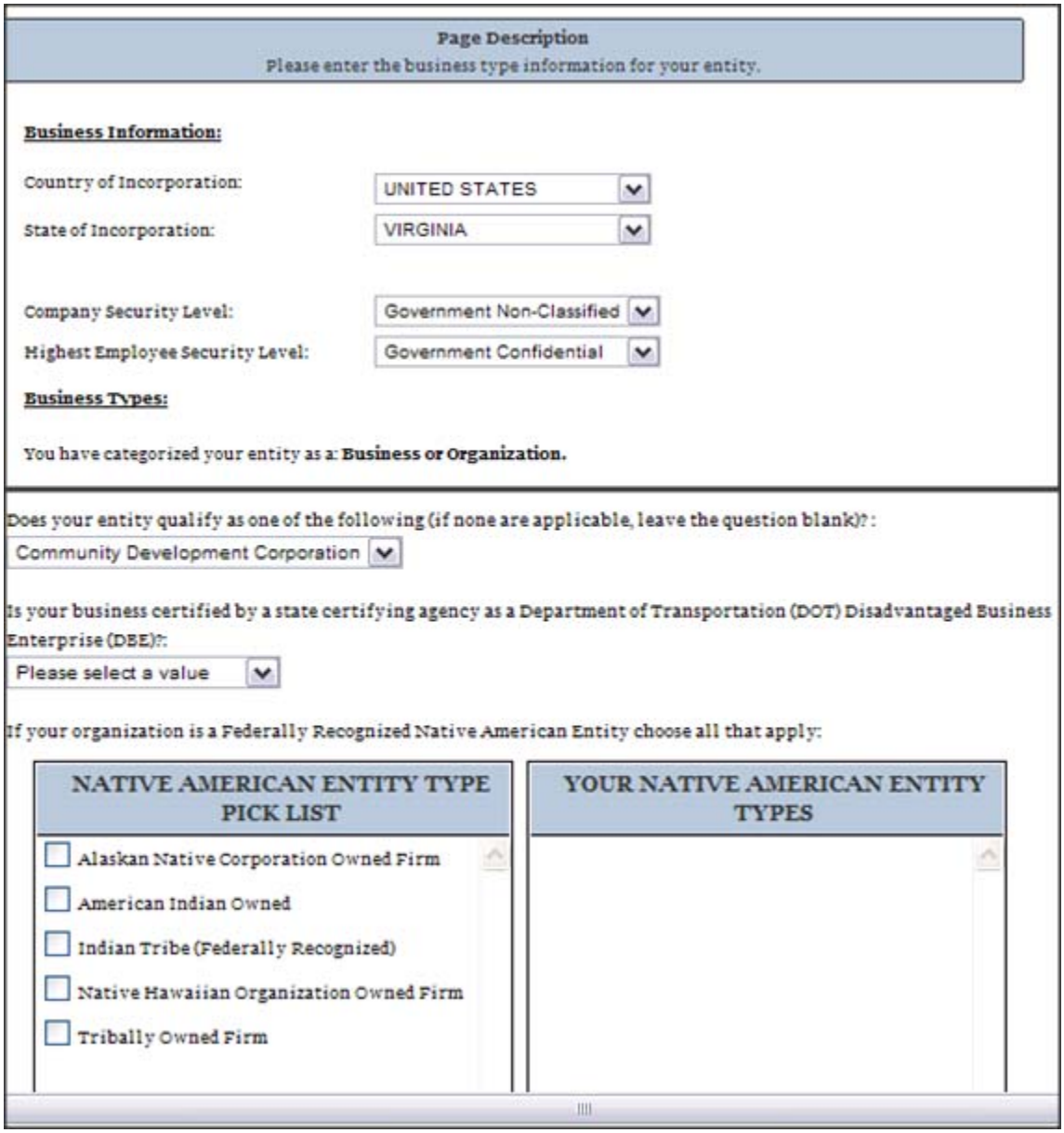
- Select the Country of Incorporation for your entity (if applicable).
- Select the State of Incorporation (if applicable).
- Select your company's security level and highest employee security (if applicable).
- Select the Business Types that are applicable to your entity.
- When you first began the registration process you chose an entity type (business or organization, federal government, etc. Based on that selection you will now be directed to different sets of questions. If you selected Business or Organization proceed to the steps located at 3.3.1.7.2 below.
  - If you selected U.S. Federal, U.S. State, U.S. Local, Tribal or Foreign Government entity then proceed to the steps located below at 3.3.1.7.3.

3.3.1.7.2 Business or Organization:

- Choose from the list below if your entity qualifies as one of the following:
  - Community Development Corporation
  - Domestic Shelter
  - Educational Institution. If you select Educational Institution these additional options will appear:
    - 1862 Land Grant College
    - 1890 Land Grant College

    - 1994 Land Grant College
    - Historically Black College or University (HCBU)
    - Minority Institutions
    - Private University or College
    - School of Forestry
    - Hispanic Servicing Institution
    - State Controlled Institution of Higher Learning
    - Tribal College
    - Veterinary College
    - Alaskan Native Servicing Institution (ANSI)
    - Native Hawaiian Servicing Institution (NHSI)
  - Foundation
  - Hospital
  - Veterinary Hospital
- Next, indicate whether or not you have been certified as a Department of Transportation Business Enterprise.
- You will be presented with the list of Federally Recognized Native American entity types. You can add any of the following to your registration, select the box next to it and click "Add."
  - Alaskan Native Corporation Owned Firm
  - American Indian Owned
  - Indian Tribe (Federally Recognized)
  - Native Hawaiian Organization Owned Firm
  - Tribally Owned Firm

Figure 3.10: General Information for Business or Organization Part 1



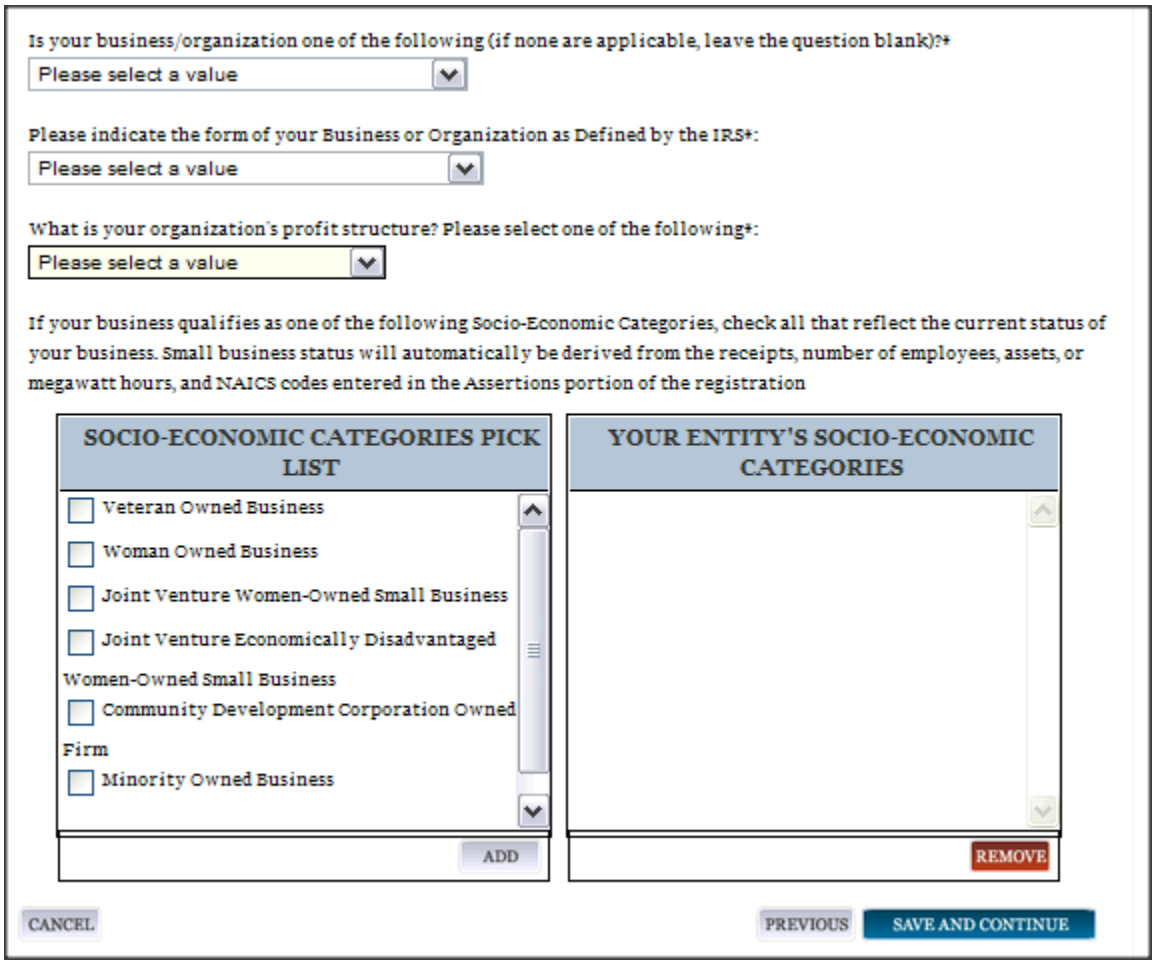
- Indicate whether your business or organization is one of the following:
  - Foreign Owned and Located
  - Small Agricultural Cooperative
  - Limited Liability Company
  - Subchapter S Corporation
  - Manufacturer of Goods

  - If none of these options applies to your entity, select "Not Applicable"
- Select how your business or organization is defined by the IRS:
  - Corporate Entity, Not Tax Exempt (Firm pays U.S. Federal Income Taxes or U.S. Possession Income Taxes
  - Corporate Entity, Tax Exempt (Firm does not pay U.S. Federal Income Taxes nor U.S. Possession Income Taxes)
  - Partnership or Limited Liability Partnership
  - Sole Proprietorship
  - International Organization
  - Other
- Select your organization's profit structure as one of the following:
  - For-Profit Organization
  - Nonprofit Organization
  - Other Not For Profit Organization
- Indicate any socio-economic categories that apply to your entity by using the Socio-Economic Categories Pick List. To add one of these selections to your registration select the box next to it and click "Add."
  - Veteran Owned Business
    - Service Disabled Veteran Owned Business
  - Women Owned Business
    - Women-Owned Small Business
      - Economically Disadvantaged Women-Owned Small Business
  - Joint Venture Women-Owned Small Business
  - Economically Disadvantaged Joint Venture Women-Owned Small Business
  - Minority Owned Business (If selected, one sub-group is required)
    - Asian-Pacific American Owned
    - Subcontinent Asian (Asian-Indian) American Owned
    - Black American Owned
    - Hispanic American Owned
    - Native American Owned
    - Other than one of the proceeding

NOTE: Ability One Status (formerly JWOD), Small Business Administration (SBA) Certified 8A, and SBA Certified 8A Joint Venture will be applied to a record automatically if they are applicable. For questions about your status as an 8A or 8A Joint Venture please contact the

Small Business Administration (SBA) at 1-800-827-5722. For more information on how to apply to one of these certification programs, visit the SBA's "Small Business Certifications & Audiences" webpage. (http://www.sba.gov/category/navigation-structure/contracting/working-with-government/small-business-certifications-audi)

Figure 3.10: General Information for Business or Organization Part 2



3.3.1.7.3 U.S. Federal, U.S. State, U.S. Local, Tribal, or Foreign Government Entity:

- Your Government Type will be pre-filled based on your purpose of registration. You may add additional government types using the pick list provided. Check the box next to the type you wish to select and click "Add."
- If you selected U.S. Federal Government you will be able to add the following additional government types:
  - Federal Agency
  - Federally Funded Research and Development Corporation

- If you selected U.S. Local Government you will be able to add the following additional government types:
  - City
  - County
  - Inter-Municipal
  - Local Government Owned
  - Municipality
  - School District
  - Township
- Indicate if your entity is one of the following.
  - Airport Authority
  - Council of Governments
  - House Authority Public/Tribal
  - Interstate Entity
  - Planning Commission
  - Port Authority
  - Transit Authority
- Indicate if your entity qualifies as one of the following:
  - Community Development Corporation
  - Domestic Shelter
  - Educational Institution. If you select Educational Institution, these additional options will appear:
    - 1862 Land Grant College
    - 1890 Land Grant College
    - 1994 Land Grant College
    - Historically Black College or University (HCBU)
    - Minority Institutions
    - Private University or College
    - School of Forestry
    - Hispanic Servicing Institution
    - State Controlled Institution of Higher Learning
    - Tribal College

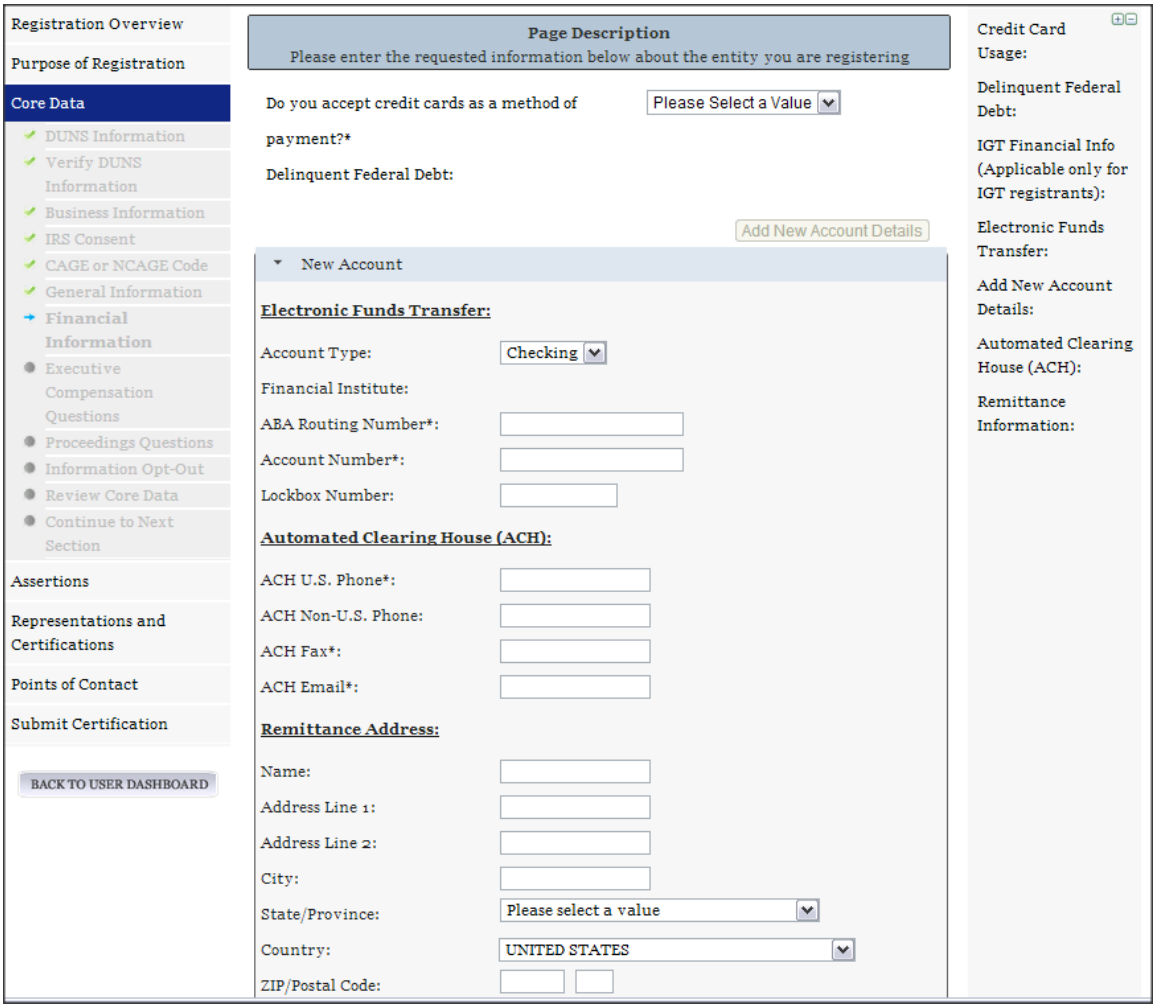
    - Veterinary College
    - Alaskan Native Servicing Institution (ANSI)
    - Native Hawaiian Servicing Institution (NHSI)
  - Foundation
  - Hospital
  - Veterinary Hospital

3.3.1.8 Financial Information

On the Financial Information page, you will enter the information necessary for the government to pay you for any goods or services you provide. If you do not have the information necessary to complete this page, contact your bank or financial institution. If you are a non-U.S. registrant doing business outside the U.S. then Electronic Funds Transfer (EFT) information is not mandatory.

- Indicate whether you are willing to accept credit cards as a method of payment. Select "Yes" or "No."
- Delinquent Federal Debt (DFD). This will be blank unless the Department of Treasury indicates that you have DFD. If you have DFD you will see a "Yes" in this field.
- Enter your EFT information. The name of your financial institution will be filled in automatically once you have entered a valid American Bankers Association (ABA) Routing Number.
  - If you are a foreign registrant with a U.S. bank account, you may provide your EFT.
  - If you are a foreign registrant without a U.S. bank account, you will receive a check via mail rather than via direct deposit and therefore do not need to supply this information.
- Provide information about the Automated Clearing House (ACH) department of your bank. This is necessary should problems occur with your EFT transfer; payment locations must have a bank contact to call. At least one of the following methods of contact is required unless you are a non-U.S. registrant doing business outside the U.S. or a U.S. Federal Government Agency. If you do not have this information available you will need to contact your bank.
  - Phone (U.S. or Non-U.S.)
  - Email
  - Fax
- Enter your remittance information. The remittance name and address information is mandatory data. This information will be used to mail you a paper check in the event that an EFT transfer does not work. If you use a lockbox and want checks mailed directly to the bank, use the bank's name and address here.

Figure 3.11: Financial Information



3.3.1.9 Executive Compensation Questions

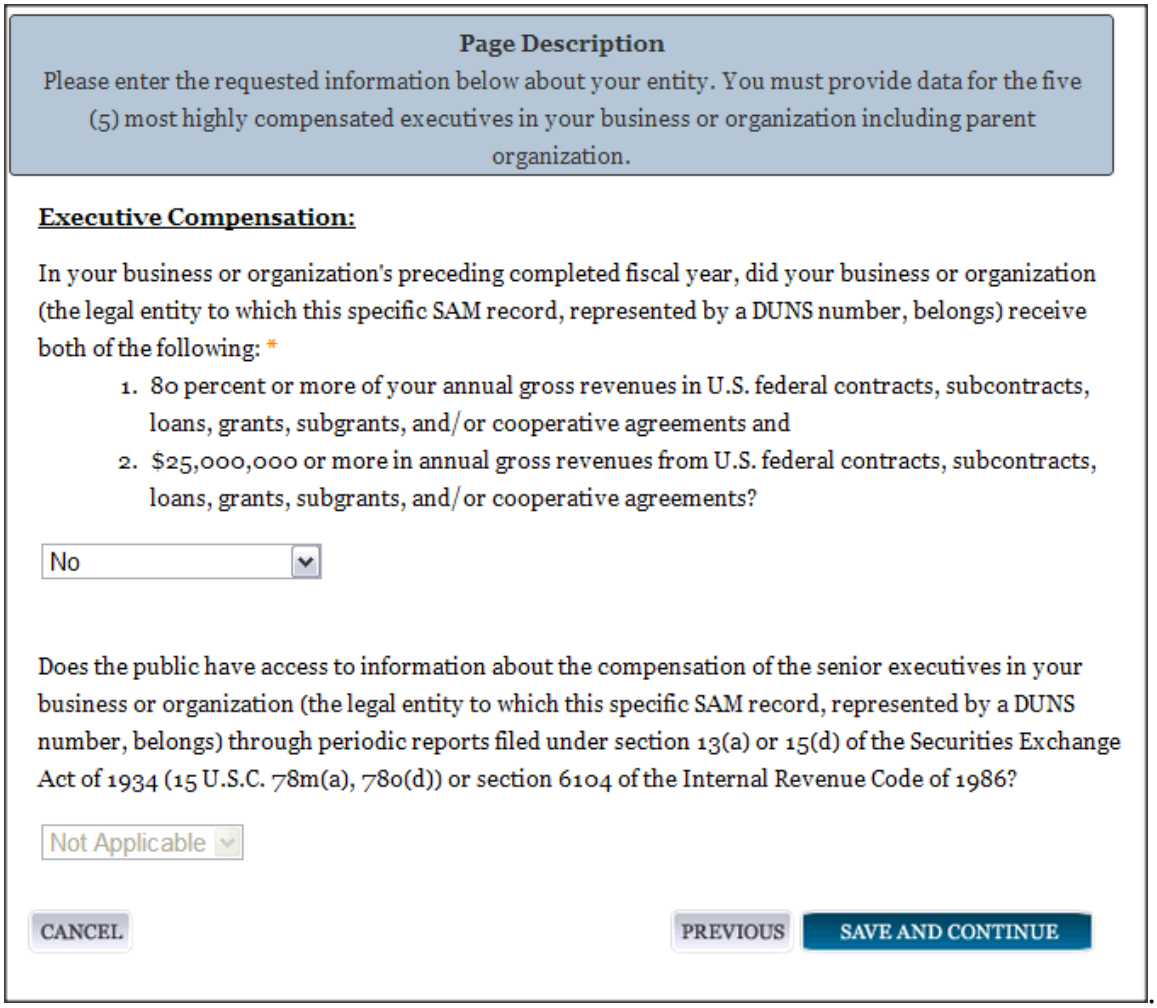
In the Executive Compensation section, you are asked to provide information which supports the Federal Funding Accountability and Transparency Act (FFATA) of 2006, as amended, reporting requirements. You may also refer to Public Law 110-252 dated June 30, 2008, Chapter 2, and Section 6202.

- If you answer "Yes" to the first question on Executive Compensation, you will be asked to answer an additional question shown in Figure 3.12.
- If you answer "No" to the second question, you must provide additional details on the following page.
- If required, you must provide the following details for the five (5) most highly compensated executives for your entity:

- Name- You must provide your top 5 executive compensated employees' names. "Executive," means officers, managing partners, or any other employees in management positions.
- Title
- Total Compensation value- "Total compensation" means the cash and non-cash dollar value earned by the executive during the entity's preceding completed fiscal year. For more information on complete listing please review here.

The salary and compensation information you provide will not be publicly viewable in SAM, however, it will be made public in accordance FFATA. This Act requires that this information be supplied to the public (via usaspending.gov) in relation to federal awards (including federal contracts, federal financial assistance and expenditures) you receive, if applicable.

Figure 3.12: Executive Compensation



Page Description

Please enter the requested information below about your entity. You must provide data for the five (5) most highly compensated executives in your business or organization including parent organization.

Executive Compensation:

In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) receive both of the following: *

1. 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements and
2. $25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

No

Does the public have access to information about the compensation of the senior executives in your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

Not Applicable

CANCEL PREVIOUS SAVE AND CONTINUE

- After answering the questions, click "Save and Continue."

3.3.1.10 Proceedings Information

You may be required to provide proceedings data about your entity. You must answer up to three (3) qualifying questions to determine if this information is required. The questions you will be asked are displayed in Figure 3.13.

Figure 3.13: Proceedings Questions

Page Description
Please answer the following Proceedings questions about your entity.

Proceedings:

Is there a Federal solicitation on which your business or organization, as represented by the DUNS number on this specific SAM record, is bidding that contains the FAR provision 52.209-7, or has your business or organization, as represented by the DUNS number on this specific SAM record, been awarded a Federal contract that contains FAR clause 52.209-8? *

Please select a value

Does your business or organization, as represented by the DUNS number on this specific SAM record, have current active Federal contracts and/or grants with total value (including any exercised/unexercised options) greater than $10,000,000?

Not Applicable

Within the last five years, had the business or organization (represented by the DUNS number on this specific SAM record) and/or any of its principals, in connection with the award to or performance by the business or organization of a Federal contract or grant, been the subject of a Federal or State

1. Criminal proceeding resulting in a conviction or other acknowledgment of fault;
2. Civil proceeding resulting in a finding of fault with a monetary fine, penalty, reimbursement, restitution, and/or damages greater than $5,000, or other acknowledgment of fault; and/or
3. Administrative proceeding resulting in a finding of fault with either a monetary fine or penalty greater than $5,000 or reimbursement, restitution, or damages greater than $100,000, or other acknowledgment of fault?

Not Applicable

CANCEL PREVIOUS SAVE AND CONTINUE

If you answer "Yes" to all of the questions, you must provide the following detailed information about each current proceeding against your entity:

- Instrument
- State
- Instrument Number
- Type of Proceeding
- Disposition
- Description of the Proceeding

Proceedings Information entered on or after April 15, 2011 is available to the public through the Federal Awardee Performance and Integrity Information System (FAPIIS) in accordance with the passing of the Supplemental Appropriations Act of 2010 (Section 3010 of Pub. L. 111-112).

NOTE to Federal Contractors: If you are a federal contractor, and your contract contains the clause 52.209-8 (Version dated April 2010) then do not post information on or after April 15, 2011; answer No to the first question. If you have a contract containing the clause 52.209-8 (version dated APR 2010) then you need to contact your Contracting Officer to get that clause updated via a modification.

- After answering the questions, click “Save and Continue.”

3.3.1.11 Information Opt-Out

Registrants were allowed to opt-out of public display of their record within SAM. Opting out may result in a reduction in Federal Government business opportunities, and subcontractors who choose this option will not be visible to prime contractors. Entities that have opted out will be removed only from the SAM public search, but will still be visible to users with For Official Use Only data access and will be provided in accordance with Freedom of Information Act (FOIA) requests. Please note that your banking information is treated as sensitive data and will not be displayed to the public regardless of your selection.

If you do not wish to allow the public to search and view your record:

- Select "I DO NOT authorize my entity information to be displayed in SAM's Public Search."

NOTE: If you are an SBA certified 8A firm, 8A Joint Venture or HUBZone (or applying for one of these certifications) you should not Opt Out of the public search.

3.3.2 Entering Points of Contact (POCs)

Before your entity registration is complete, you will be asked to provide Mandatory POCs and Optional POCs. The POCs you will be asked to provide have been determined based on the answers you provided throughout the registration process. All Mandatory POCs must be completed before the registration may be submitted for certification.

3.3.2.1 POC Details

Below (Table 3.1) is a list of the POC types that federal assistance registrants will see. See the glossary for more information on each POC type.

Table 3.1: Federal Assistance Points of Contact

POC Name	Mandatory?	Mandatory Data Elements
Accounts Receivable POC	Mandatory	First Name, Last Name, Email, and Phone
Electronic Business POC	Mandatory	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada) and ZIP/Postal Code
Electronic Business Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business POC	Mandatory	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada) and ZIP/Postal Code
Government Business Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada) and ZIP/Postal Code
Party Performing Certification POC	Mandatory if you have used a 3rd party certifier for a small business certification.	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Proceedings POC	Mandatory if you have entered proceedings details.	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Proceedings Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Sole Proprietorship POC	Mandatory if Sole Proprietor has been selected as a business type.	First Name, Last Name, Email, and Phone

3.3.3 Submitting Your Registration

All mandatory data elements must be completed to submit your registration. If you have done this successfully, you will see a green check mark next to each section in the navigation panel on the left side of the screen. Review your registration record in its entirety.

- Click "Edit" to update any necessary information in the registration.
- Click "Submit" to certify that the information is correct.
- SAM will display a confirmation indicating you successfully submitted your registration. You will also receive a confirmation email.

PLEASE NOTE: Your record is NOT yet active.

3.3.3.1 Before Your SAM Registration is considered Active

Your entity's registration will NOT be considered active until the following actions take place:

- TIN Match validated by the Internal Revenue Service (IRS). It may take three to five business days from the time you submitted for the IRS to validate new and updated records prior to becoming active in SAM.

- CAGE Code or NCAGE code is validated or assigned by DoD, as applicable.

Plan ahead. Allow up to 10 business days after you submit your registration for it to become active in SAM and an additional 24 hours before that registration information is available in other government systems..

You will receive a confirmation email once the registration is activated. At that time, you will be eligible for Federal Financial Assistance from the U.S. Federal Government.

3.4 Registrating Your Entity if you are interested in Federal Contracts

This section describes the process of registering an entity for the purpose of being eligible for Federal Contracts. By virtue of indicating you are interested in Federal contracts you will also be completing the same screens that someone who is interested in financial federal assistance has to complete. You will see on the screen that your purpose of registration will display as "All Award types"

In order to register and entity for "All Awards" the following sections must be completed:

- Core Data
- Assertions
- Representations and Certifications
- Points of Contact

The navigation panel on the left side of the screen will display your progress through these sections.

3.4.1 Entering Core Data

The first step to register a new entity is to enter core details on your entity. Core Data includes, but is not limited to, an entity's Data Universal Numbering System (DUNS) number, name, address, Commercial and Government Entity (CAGE) code or NATO Commercial and Government Entity (NCAGE) code, Taxpayer Identification Number (TIN), general information, financial information, and details about any proceedings the entity may currently be involved in. Core Data is mandatory for all registration types. Once you have completed your Core Data, your entity's information will be displayed in the SAM Public Search. Sensitive data, such as financial information will not ever be displayed, however, if you do not wish to allow the public to search for and view your record, you may "opt-out" of public display. For more information, see Information Opt Out.

3.4.1.1 Requesting the Addition of a New U.S. Federal Agency on the U.S. Federal Hierarchy

If you are registering a Federal Government entity for All Awards, the entity must exist as a node on the SAM Federal Government hierarchy before you can continue. When an entity is placed on the Federal Government hierarchy, this is called a node. The term node indicates that the entity is defined, it exists on the hierarchy, and there is basic information entered for the entity such as name and address. Although an agency's SAM entity registration will expire if not renewed

annually, the node entry itself on the hierarchy never expires. If the entity is not present on the hierarchy you need to request it to be added. For more information, see Hierarchy.

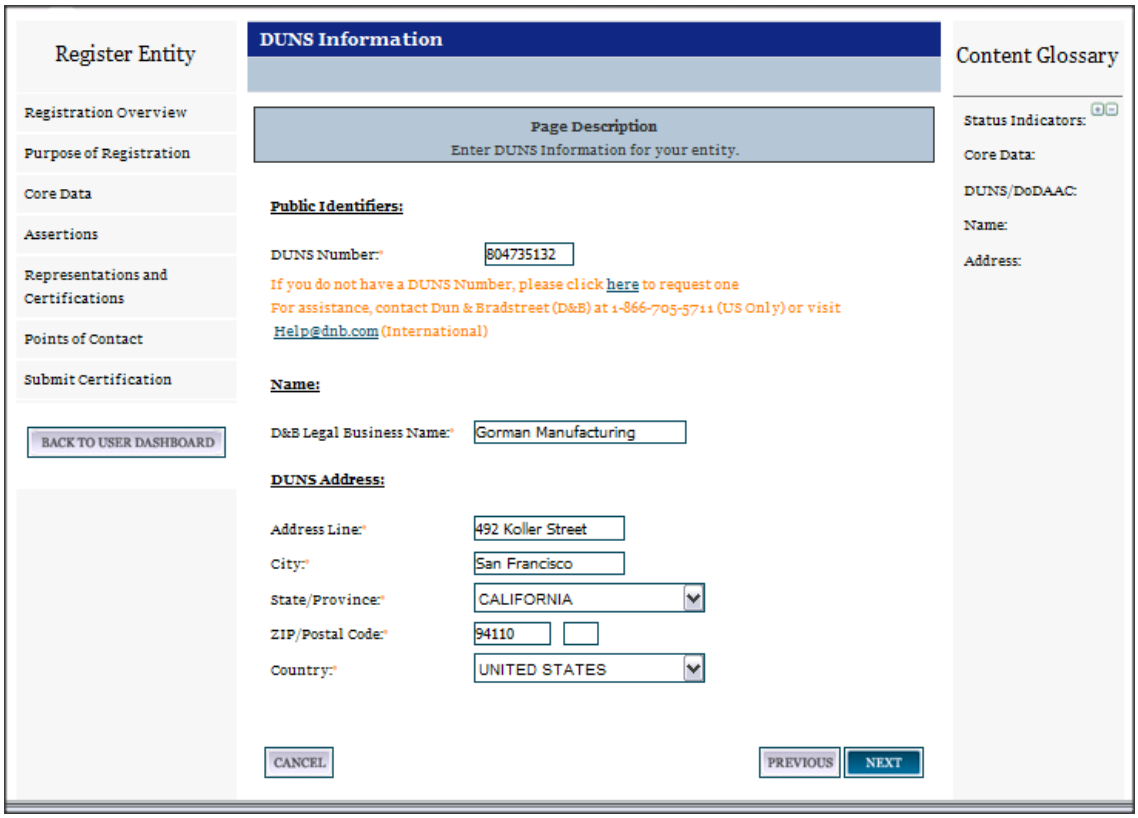
3.4.1.2 Entering a DUNS number

The first page is the DUNS information page. The DUNS number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B). If you need a DUNS number, one will be provided to you, free of charge. Call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform. International registrants may also contact SAMhelp@dnb.com. You do NOT have to pay for a DUNS number if you utilize these websites and phone numbers. It will take 1-2 business days (2-5 days if you are a foreign registrant) for a new D&B number to become active and available for your SAM registration.

On the DUNS information page:

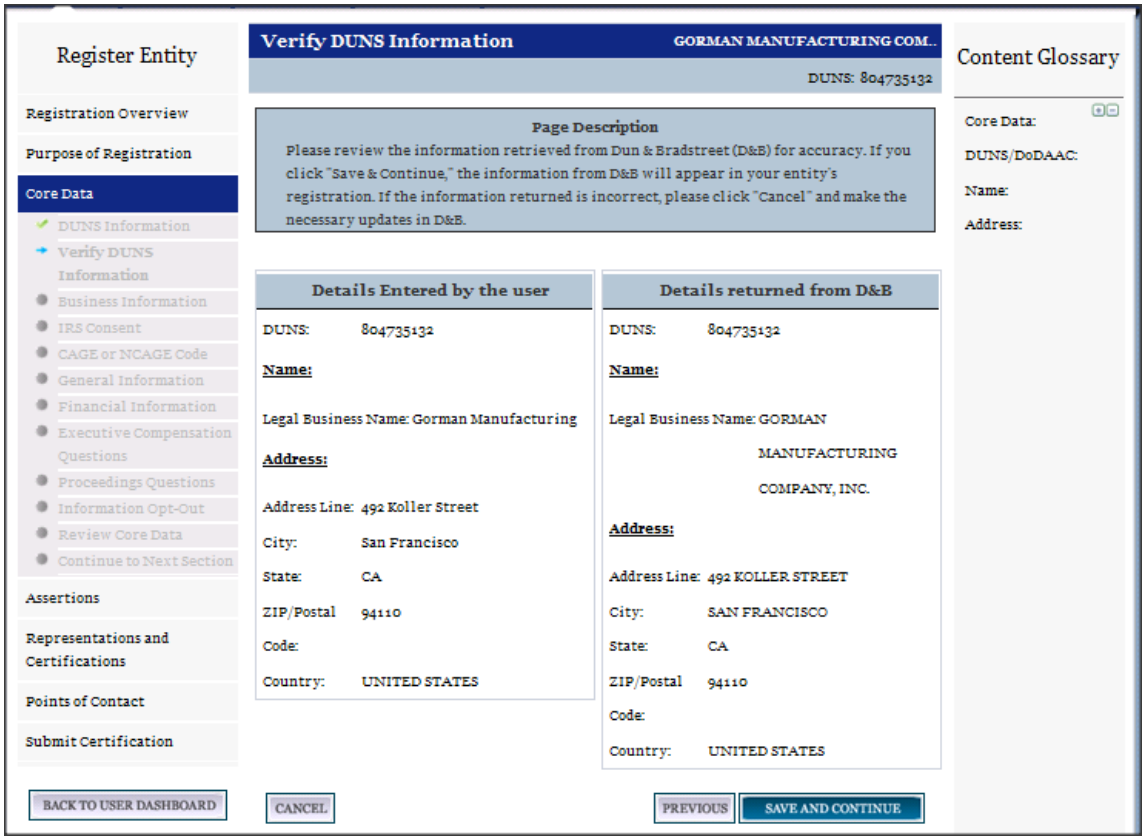
- Enter your DUNS number, D&B Legal Business Name (this is name that has been registered for your organization at D&B), Address (please remember that the address has to be the same as the address at D&B and must be the physical address of your location) and click "Next."
- This sends your DUNS information to D&B for validation.
- Upon successful validation from D&B, you will be able to continue with your registration.

Figure 3.14: Enter DUNS Information



Once the information you provided has been verified by D&B, you will receive a "side-by-side" screen showing the details you entered compared with the details returned from D&B.

Figure 3.15: Verify DUNS Information



- Review and verify your DUNS information.
- If the data is correct, click "Save and Continue."
- If the data is incorrect, visit the D&B website at http://fedgov.dnb.com/webform to make the necessary changes.
- If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the "Refresh D&B Data" button found on the 'Verify DUNS Information' page in SAM to refresh your data.
- Review and verify your DUNS information.
- Click "Save and Continue."

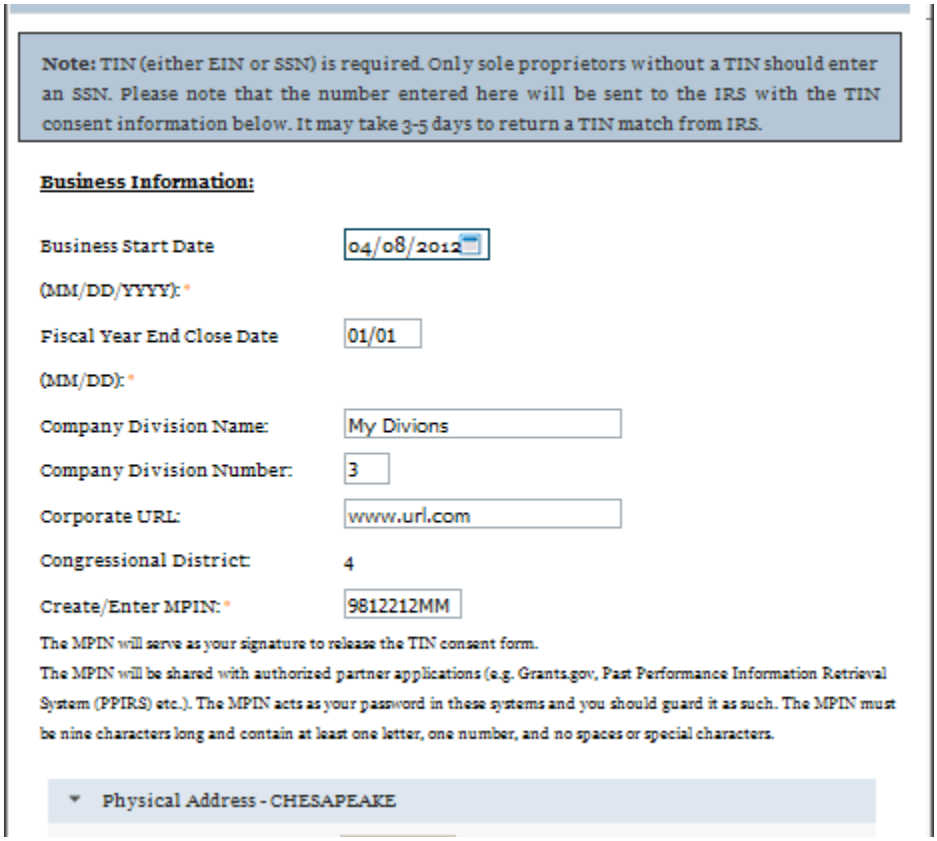
3.4.1.3 Business Information

After you entered your DUNS information and passed validation, you can enter the business information for your entity. See Figure 3.16.

- Enter your business start date.

- Enter the date on which your company's fiscal year ends.
- Enter your company division name and number (if applicable).
- Enter your company's URL (if applicable).
- Congressional District will be pre-filled for you by the system based on your zip code (if applicable).
- Next, you must create your Marketing Partner Identification Number (MPIN). The MPIN will be used to provide you access to other systems, such as Grants.gov and Past Performance Information Retrieval System (PPIRS). Your MPIN acts as your password in these systems so you should guard it as such. A MPIN is required even if you do not anticipate usage of authorized MPIN systems. **If you pay U.S. taxes you will also need your MPIN in an upcoming screen so please be sure to remember it.** The MPIN must contain nine characters; at least one letter and one number character each. It should not contain spaces or special characters. You may change the MPIN at any time.
- Your physical address will appear next. This is pre-filled from the D&B address associated with your DUNS number. Your physical address is the location of your building.

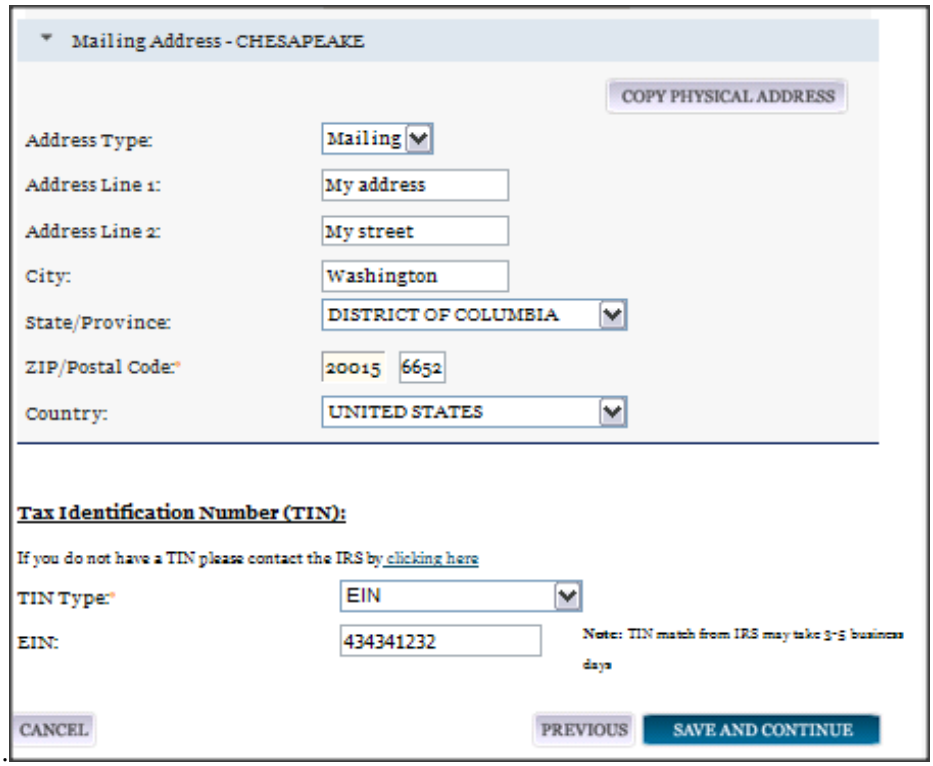
Figure 3.16: Business Information Part 1



- Enter your entity's mailing address or click "Copy Physical Address" if your mailing address is the same as the physical address.

- Enter the Tax Identification Number (TIN) for your entity. If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a TIN. If you did not provide a TIN, proceed to the NCAGE code section. For more information or to apply for a TIN visit http://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-%28TIN%29.
- The types of TIN numbers you may enter include:
  - Employee Identification Number (EIN)
  - Social Security Number (SSN). This should be entered by sole proprietors only if they do not have an EIN.
- Click "Save and Continue."

Figure 3.16: Business Information Part 2



3.4.1.4 IRS TIN Consent

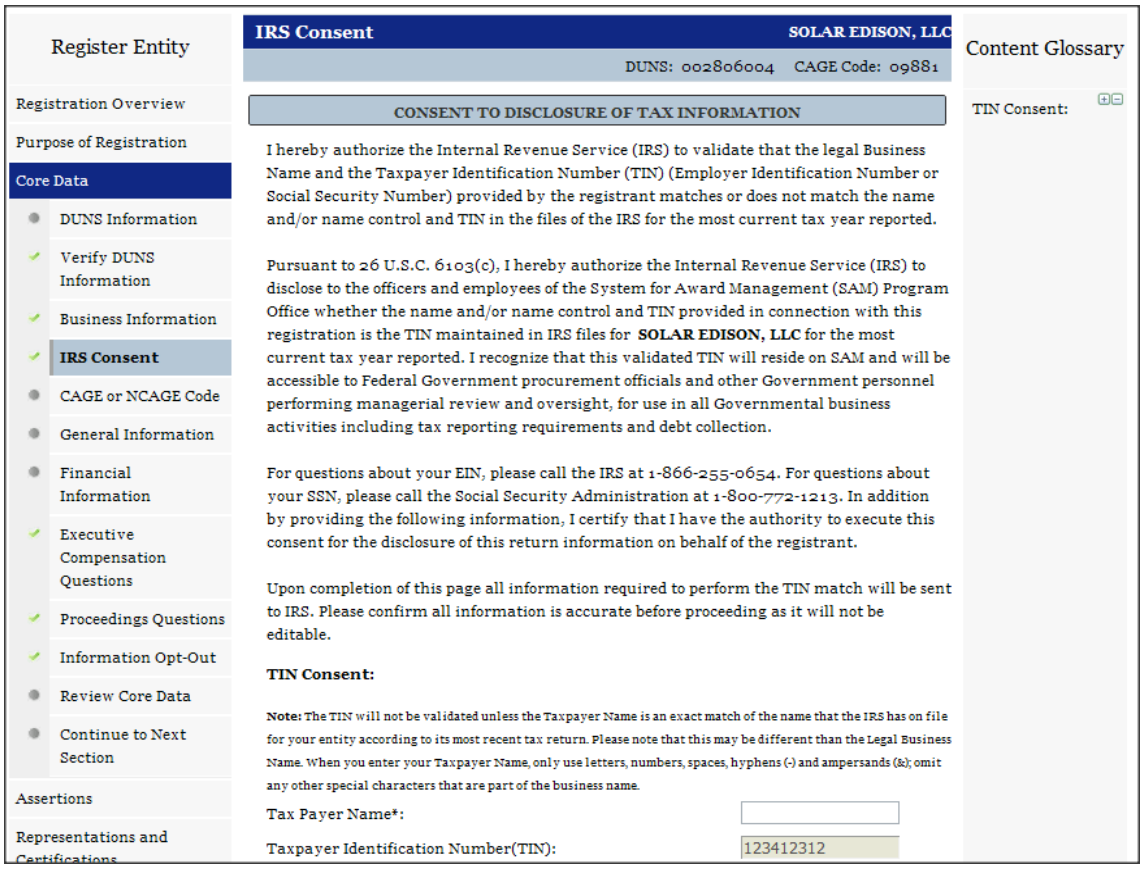
This consent screen allows SAM to validate your TIN with the Internal Revenue Service. This is a requirement before your registration can be activated if you are located in the United States or if you pay employees within the United States.

If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a TIN to the IRS. If you did not provide a TIN, you will not see this page during the registration process and should proceed to the NCAGE code section.

If you are located in the United States, or if you pay employees within the U.S., complete the TIN consent form by entering the following:

- Taxpayer Name. NOTE: Your Taxpayer Name might not be the same name as your "D&B Legal Name" name. For example, your D&B Legal Name is "SAM, LLC," but your Taxpayer Name is "System for Award Management, LLC." To find your Taxpayer Name, review your tax statements from the IRS (such as a 1099 or W-2/W-4 form). When you enter your Taxpayer Name in SAM only use letters, numbers, spaces, hyphens (-) and ampersands (&) and omit any other special characters. **Please note that if you do not enter your Taxpayer Name correctly, activation of your registration will be delayed.**
- Tax Identification Number (TIN). This will be pre-filled with the EIN or SSN you entered on the Business Information page.

Figure 3.17: IRS Consent Form Part 1

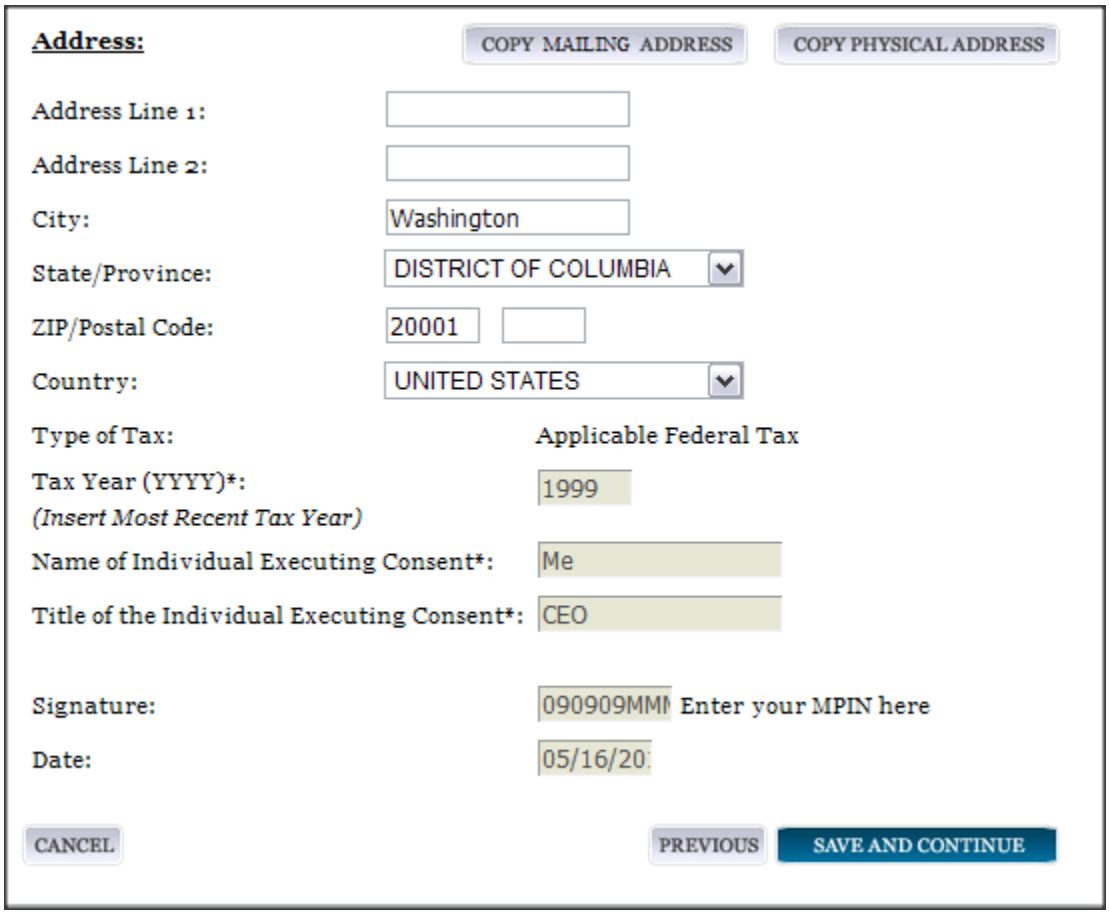


- Taxpayer Address. Enter the address that the IRS has on file for your entity. You may click the "Copy Mailing Address" or "Copy Physical Address" buttons to use one of the addresses you have previously entered.
- Type of Tax. This will be pre-filled as Applicable Federal Tax.
- Tax Year. Enter the most recent year you have filed taxes for.

- Name of Individual Executing Consent. Enter your first name and last name.
- Title of Individual Executing Consent. Enter your title.
- Signature (MPIN). The value you enter here must match the value for the MPIN you created on the Business Information Page. The IRS requires you provide this information here to serve as a signature.
- Date. The date will be pre-filled for you once you have entered your MPIN to sign the consent.

If the data is correct, click "Save and Continue."

Figure 3.17: IRS Consent Form Part 2

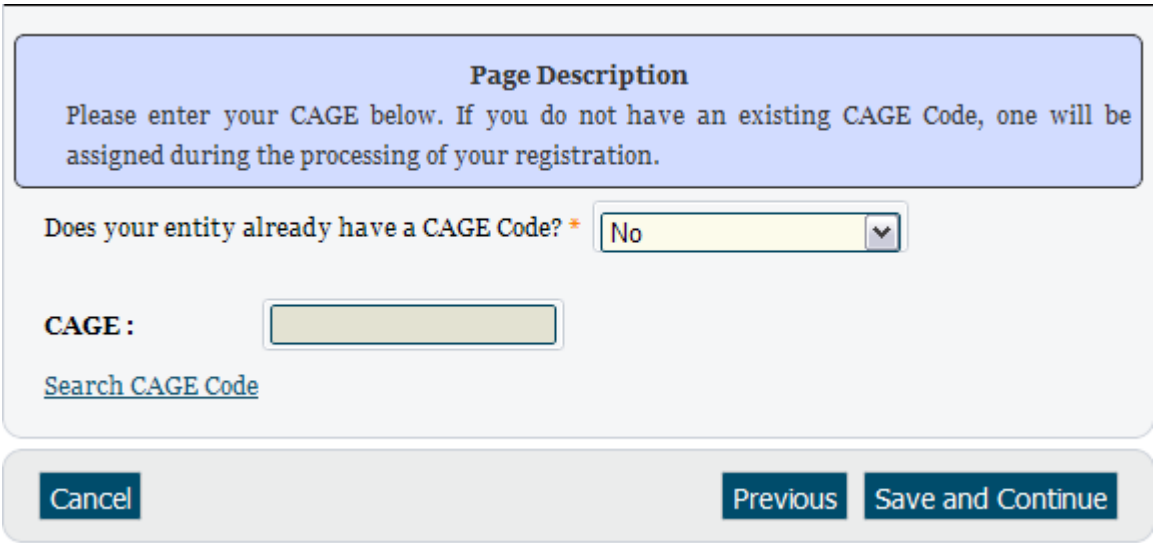


3.4.1.5 CAGE Code

You will now be on the "CAGE Code" page. The Commercial and Government Entity (CAGE) code is a five-character ID number which is assigned to entities located in the United States by the Defense Logistics Agency's (DLA's) Logistics Information Service , under North Atlantic Treaty Organization (NATO) procedures, and used within the Federal Government. All U.S. entities must pass a CAGE code validation process. If you are a foreign registrant, see NCAGE.

- Answer the question, "Does your entity already have a CAGE code?"
  - If you are not sure whether or not you have a CAGE code, click the "Search CAGE code" link to check. (http://www.dlis.dla.mil/BINCS/begin_search.aspx)
- If you answered "Yes," enter your CAGE code in the next field.
- If you answered "No," you may continue as one will be assigned to your entity once you submit your entity's registration and the TIN validation has been returned.
- Click "Save and Continue."

Figure 3.18: CAGE Code



3.4.1.6 NCAGE Code

If you are a foreign entity, you are required to enter a NATO Commercial and Governmental Entity (NCAGE) code. You must obtain this code prior to registration.

Entities located in countries that are a member of NATO or are a sponsored Non-NATO (Tier 2) nation must contact their local country's codification bureau to request an NCAGE code be assigned. These countries include:

Albania	Australia	Austria	Belgium
Bulgaria	Brazil	Canada	Croatia
Czech Republic	Denmark	Estonia	Finland
France	Germany	Greece	Hungary
Italy	Republic of Korea	Latvia	Lithuania

Malaysia	Netherlands	New Zealand	Norway
Poland	Portugal	Romania	Russian Federation
Singapore	Slovakia	Slovenia	Spain
Turkey	United Kingdom		

Points of contact, addresses and other contact information for the codification bureaus for the listed countries can be found at http://www.logisticsinformationservice.dla.mil/nato_poc.asp. Entities located in these countries (with the exception of France and the United Kingdom) may also use the on-line NATO Form AC/135 at http://www.dlis.dla.mil/Forms/Form_AC135.asp. Direct web links for France and United Kingdom requests are provided at http://www.dlis.dla.mil/Forms/Form_AC135.asp as well.

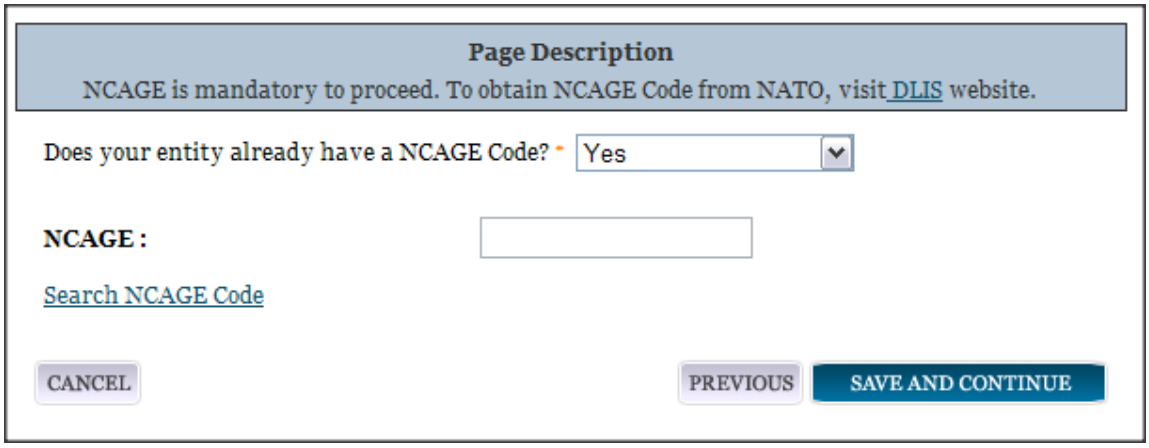
Entities located in countries that are not listed above, can request an NCAGE code be established from the NATO Support Agency (NSPA) (formerly known as the NATO Maintenance and Supply Agency (NAMSA)) by going to this site: https://eportal.nspa.nato.int/public/default_eportal.aspx.

More information on obtaining an NCAGE code, how to see if you have an NCAGE code, and who to contact if you are having trouble obtaining an NCAGE code can be found at: http://www.dlis.dla.mil/Forms/Form_AC135.asp.

- Enter your NCAGE code.
- Click "Save and Continue."

Please note that if you have been assigned an NCAGE code just prior to registering in SAM, your activation in SAM may be delayed while it is verified.

Figure 3.19: NCAGE Code



3.4.1.7 General Information Page

Complete General Information about your entity. General Information includes the types of business that may be applicable and any socio-economic categories for which your entity qualifies. A Content Glossary is located to the right of the page that provides details about each data element.

3.4.1.7.1 Entity Information:

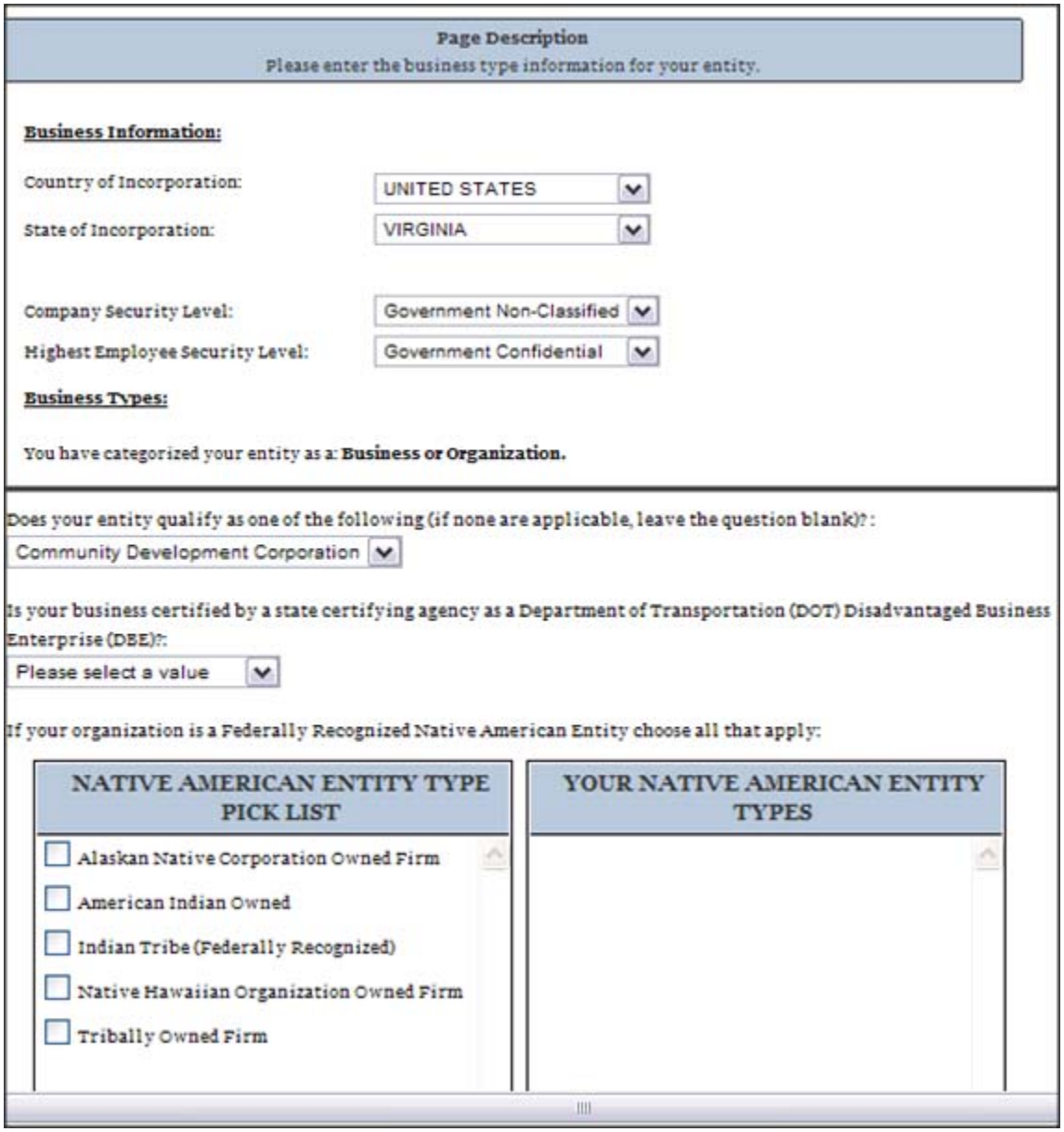
- Select the Country of Incorporation for your entity (if applicable).
- Select the State of Incorporation (if applicable).
- Select your company's security level and highest employee security (if applicable).
- Select the Business Types that are applicable to your entity.
- The categorization of your entity is pre-filled based on your purpose of registration.
  - If you are a Business or Organization follow the steps at 3.4.1.7.2 below.
  - If you are not, follow the U.S. Federal, U.S. State, U.S. Local, Tribal or Foreign Government Entity instruction below at 3.4.1.7.3.

3.4.1.7.2 Business or Organization:

- Choose from the list below if your entity qualifies as one of the following:
  - Community Development Corporation
  - Domestic Shelter
  - Educational Institution. If you select Educational Institution these additional options will appear:
    - 1862 Land Grant College
    - 1890 Land Grant College
    - 1994 Land Grant College
    - Historically Black College or University (HCBU)
    - Minority Institutions
    - Private University or College
    - School of Forestry
    - Hispanic Servicing Institution
    - State Controlled Institution of Higher Learning
    - Tribal College
    - Veterinary College
    - Alaskan Native Servicing Institution (ANSI)
    - Native Hawaiian Servicing Institution (NHSI)

  - Foundation
  - Hospital
  - Veterinary Hospital
- Next, indicate whether or not you have been certified as a Department of Transportation Business Enterprise.
- You will be presented with the list of Federally Recognized Native American entity types. You can add any of the following to your registration, select the box next to it and click "Add."
  - Alaskan Native Corporation Owned Firm
  - American Indian Owned
  - Indian Tribe (Federally Recognized)
  - Native Hawaiian Organization Owned Firm
  - Tribally Owned Firm

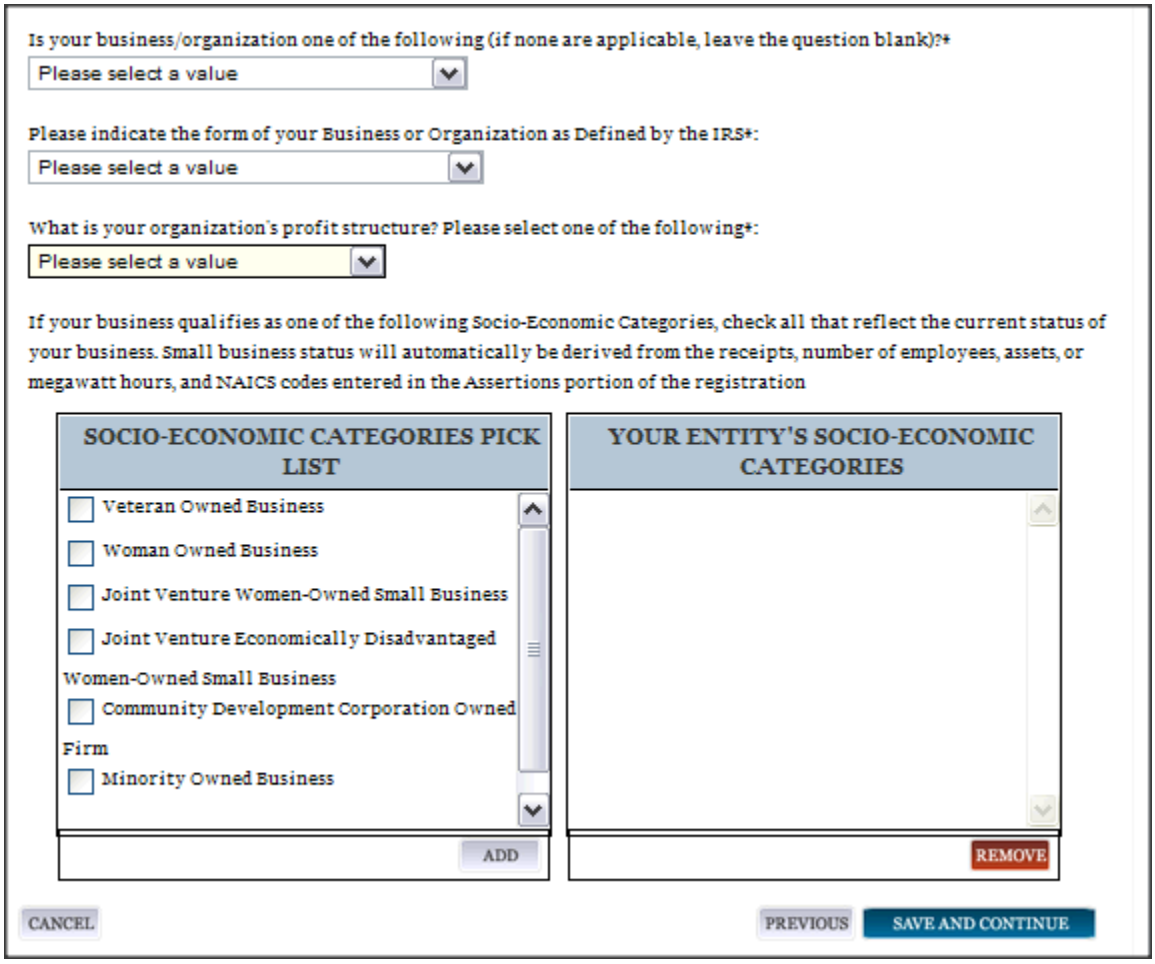
Figure 3.20: General Information for Business or Organization Part 1



- Indicate whether your business or organization is one of the following:
  - Foreign Owned and Located
  - Small Agricultural Cooperative
  - Limited Liability Company
  - Subchapter S Corporation
  - Manufacturer of Goods

  - If none of these options applies to your entity, select "Not Applicable"
- Select how your business or organization is defined by the IRS:
  - Corporate Entity, Not Tax Exempt (Firm pays U.S. Federal Income Taxes or U.S. Possession Income Taxes
  - Corporate Entity, Tax Exempt (Firm does not pay U.S. Federal Income Taxes nor U.S. Possession Income Taxes)
  - Partnership or Limited Liability Partnership
  - Sole Proprietorship
  - International Organization
  - Other
- Select your organization's profit structure as one of the following:
  - For-Profit Organization
  - Nonprofit Organization
  - Other Not For Profit Organization
- Indicate any socio-economic categories that apply to your entity by using the Socio-Economic Categories Pick List. To add one of these selections to your registration select the box next to it and click "Add."
  - Veteran Owned Business
    - Service Disabled Veteran Owned Business
  - Women Owned Business
    - Women-Owned Small Business
      - Economically Disadvantaged Women-Owned Small Business
  - Joint Venture Women-Owned Small Business
  - Economically Disadvantaged Joint Venture Women-Owned Small Business
  - Minority Owned Business (If selected, one sub-group is required)
    - Asian-Pacific American Owned
    - Subcontinent Asian (Asian-Indian) American Owned
    - Black American Owned
    - Hispanic American Owned
    - Native American Owned
    - Other than one of the proceeding

Figure 3.20: General Information for Business or Organization Part 2



NOTE: Ability One Status (formerly JWOD), Small Business Administration (SBA) Certified 8A, and SBA Certified 8A Joint Venture will be applied to a record automatically if they are applicable. For questions about your status as an 8A or 8A Joint Venture please contact the Small Business Administration (SBA) at 1-800-827-5722. For more information on how to apply to one of these certification programs, visit the SBA's "Small Business Certifications & Audiences" webpage. (http://www.sba.gov/category/navigation-structure/contracting/working-with-government/small-business-certifications-audi)

3.4.1.7.3 U.S. Federal, U.S. State, U.S. Local, Tribal, or Foreign Government entity:

- Your Government Type will be pre-filled based on your purpose of registration. You may add additional government types using the pick list provided. Check the box next to the type you wish to select and click "Add."

- If you selected U.S. Federal Government you will be able to add the following additional government types:
  - Federal Agency
  - Federally Funded Research and Development Corporation
- If you selected U.S. Local Government you will be able to add the following additional government types:
  - City
  - County
  - Inter-Municipal
  - Local Government Owned
  - Municipality
  - School District
  - Township
- Indicate if your entity is one of the following.
  - Airport Authority
  - Council of Governments
  - House Authority Public/Tribal
  - Interstate Entity
  - Planning Commission
  - Port Authority
  - Transit Authority
- Indicate if your entity qualifies as one of the following:
  - Community Development Corporation
  - Domestic Shelter
  - Educational Institution. If you select Educational Institution, these additional options will appear:
    - 1862 Land Grant College
    - 1890 Land Grant College
    - 1994 Land Grant College
    - Historically Black College or University (HCBU)
    - Minority Institutions
    - Private University or College
    - School of Forestry

    - Hispanic Servicing Institution
    - State Controlled Institution of Higher Learning
    - Tribal College
    - Veterinary College
    - Alaskan Native Servicing Institution (ANSI)
    - Native Hawaiian Servicing Institution (NHSI)
  - Foundation
  - Hospital
  - Veterinary Hospital

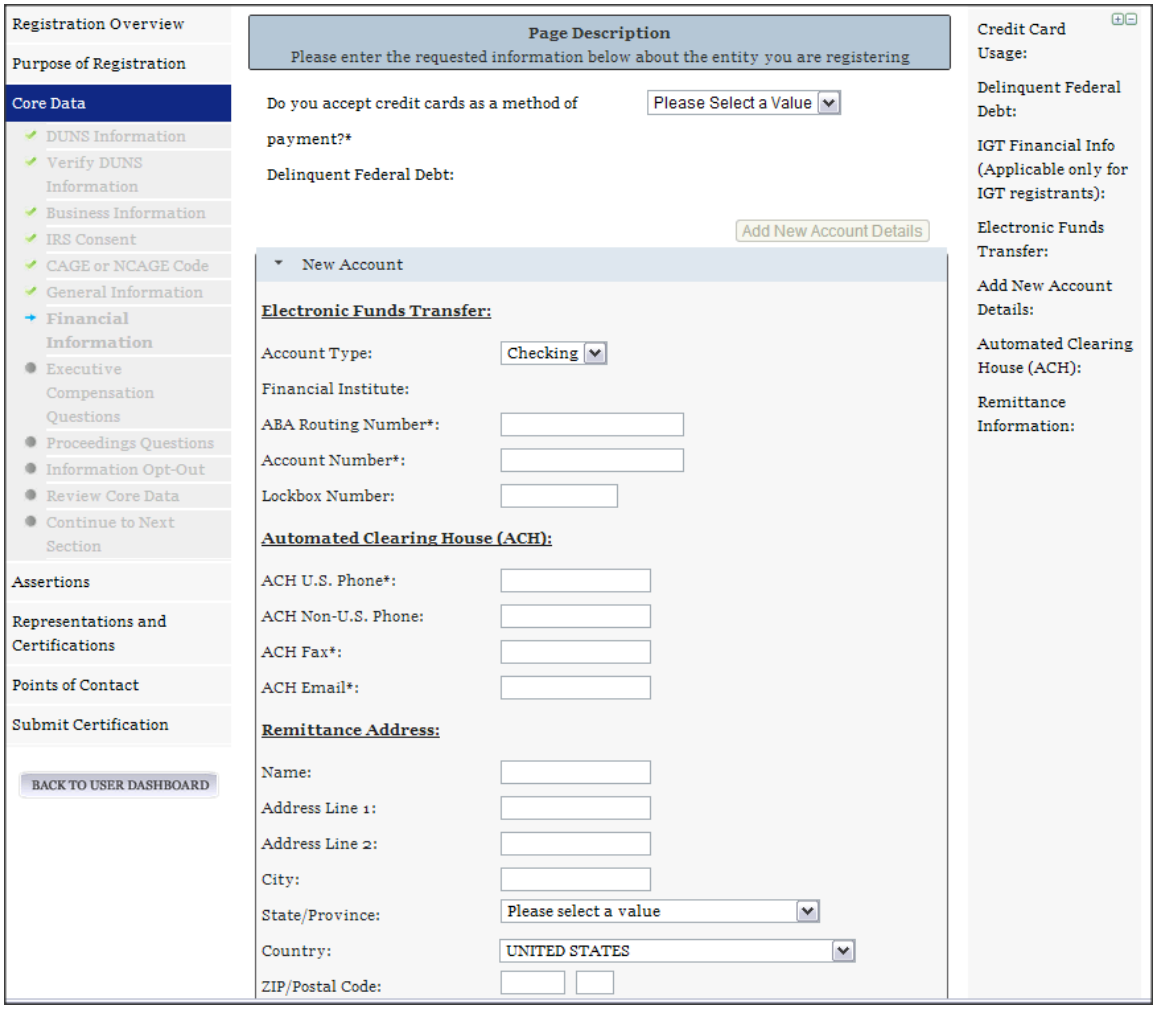
3.4.1.8 Financial Information

On the Financial Information page, you will enter the information necessary for the government to pay you for any goods or services you provide. If you do not have the information necessary to complete this page, contact your bank or financial institution. If you are a non-U.S. registrant doing business outside the U.S. then Electronic Funds Transfer (EFT) information is not mandatory.

- Indicate whether you are willing to accept credit cards as a method of payment. Select "Yes" or "No."
- Delinquent Federal Debt (DFD). This will be blank unless the Department of Treasury indicates that you have DFD. If you have DFD you will see a "Yes" in this field.
- Enter your EFT) information. The name of your financial institution will be filled in automatically once you have entered a valid American Bankers Association ABA Routing Number.
  - If you are a foreign registrant with a U.S. bank account, you may provide your EFT.
  - If you are a foreign registrant without a U.S. bank account, you will receive a check via mail rather than via direct deposit and therefore do not need to supply this information.
- Provide information about the Automated Clearing House (ACH) department of your bank. This is necessary should problems occur with your EFT transfer; payment locations must have a bank contact to call. At least one of the following methods of contact is required unless you are a non-U.S. registrant doing business outside the U.S. or a U.S. Federal Government Agency. If you do not have this information available you will need to contact your bank.
  - Phone (U.S. or Non-U.S.)
  - Email
  - Fax
- Enter your remittance information. The remittance name and address information is mandatory data.. This information will be used to mail you a paper check in the event that an

EFT transfer does not work. If you use a lockbox and want checks mailed directly to the bank, use the bank's name and address here.

Figure 3.21: Financial Information



3.4.1.9 Executive Compensation Questions

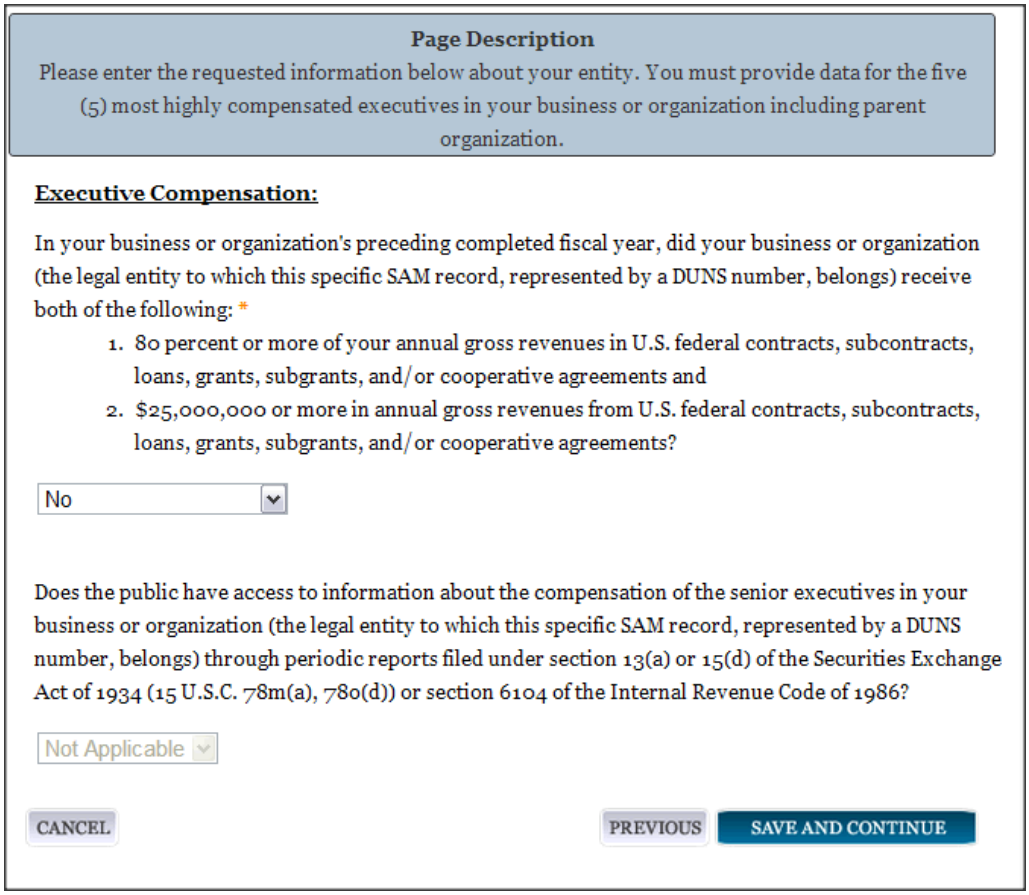
In the Executive Compensation section, you are asked to provide information which supports the Federal Funding Accountability and Transparency Act (FFATA) of 2006, as amended, reporting requirements. You may also refer to Public Law 110-252 dated June 30, 2008, Chapter 2, Section 6202.

- If you answer “Yes” to the first question on Executive Compensation, you will be asked to answer an additional question shown in Figure 3. 22.
- If you answer “No” to the second question, you must provide additional details on the following page.

- If required, you must provide the following details for the five (5) most highly compensated executives for your entity:
  - Name- You must provide your top 5 executive compensated employees' names. "Executive," means officers, managing partners, or any other employees in management positions.
  - Title
  - Total Compensation value- "Total compensation" means the cash and non-cash dollar value earned by the executive during the entity's preceding completed fiscal year. For more information on complete listing please review here.

The salary and compensation information you provide will not be publicly viewable in SAM, however, it will be made public in accordance with FFATA. This Act requires that this information be supplied to the public (via usaspending.gov) in relation to federal awards (including federal contracts, federal financial assistance and expenditures) you receive, if applicable.

Figure 3.22: Executive Compensation



- After answering the questions, click "Save and Continue."

3.4.1.10 Proceedings Information

You may be required to provide proceedings data about your entity. You must answer up to three (3) qualifying questions to determine if this information is required. The questions you will be asked are displayed in Figure 3.23.

Figure 3.23: Proceedings Questions

Page Description
Please answer the following Proceedings questions about your entity.

Proceedings:

Is there a Federal solicitation on which your business or organization, as represented by the DUNS number on this specific SAM record, is bidding that contains the FAR provision 52.209-7, or has your business or organization, as represented by the DUNS number on this specific SAM record, been awarded a Federal contract that contains FAR clause 52.209-8? *

Please select a value

Does your business or organization, as represented by the DUNS number on this specific SAM record, have current active Federal contracts and/or grants with total value (including any exercised/unexercised options) greater than $10,000,000?

Not Applicable

Within the last five years, had the business or organization (represented by the DUNS number on this specific SAM record) and/or any of its principals, in connection with the award to or performance by the business or organization of a Federal contract or grant, been the subject of a Federal or State

1. Criminal proceeding resulting in a conviction or other acknowledgment of fault;
2. Civil proceeding resulting in a finding of fault with a monetary fine, penalty, reimbursement, restitution, and/or damages greater than $5,000, or other acknowledgment of fault; and/or
3. Administrative proceeding resulting in a finding of fault with either a monetary fine or penalty greater than $5,000 or reimbursement, restitution, or damages greater than $100,000, or other acknowledgment of fault?

Not Applicable

CANCEL PREVIOUS SAVE AND CONTINUE

If you answer "Yes" to all of the questions, you must provide the following detailed information about each current proceeding against your entity:

- Instrument
- State
- Instrument Number
- Type of Proceeding
- Disposition
- Description of the Proceeding

Proceedings Information entered on or after April 15, 2011 is available to the public through the Federal Awardee Performance and Integrity Information System (FAPIIS) in accordance with the passing of the Supplemental Appropriations Act of 2010 (Section 3010 of Pub. L. 111-112).

NOTE to Federal Contractors: If you are a federal contractor, and your contract contains the clause 52.209-8 (Version dated April 2010) then do not post information on or after April 15, 2011; answer No to the first question. If you have a contract containing the clause 52.209-8 (version dated APR 2010) then you need to contact your Contracting Officer to get that clause updated via a modification.

- After answering the questions, click "Save and Continue."

3.4.1.11 Information Opt-Out

Registrants were allowed to opt-out of public display of their record. Opting out may result in a reduction in Federal Government business opportunities, and subcontractors who choose this option will not be visible to prime contractors. Entities that have opted out will be removed only from the SAM public search, but will still be visible to users with For Official Use Only data access and will be provided in accordance with Freedom of Information Act (FOIA) requests. Please note that your banking information is treated as sensitive data and will not be displayed to the public regardless of your selection.

If you do not wish to allow the public to search and view your record:

- Select "I DO NOT authorize my entity information to be displayed in SAM's Public Search."

NOTE: If you are an SBA certified 8A firm, 8A Joint Venture or HUBZone (or applying for one of these certifications) you should not Opt Out of the public search

3.4.2 Entering Assertions

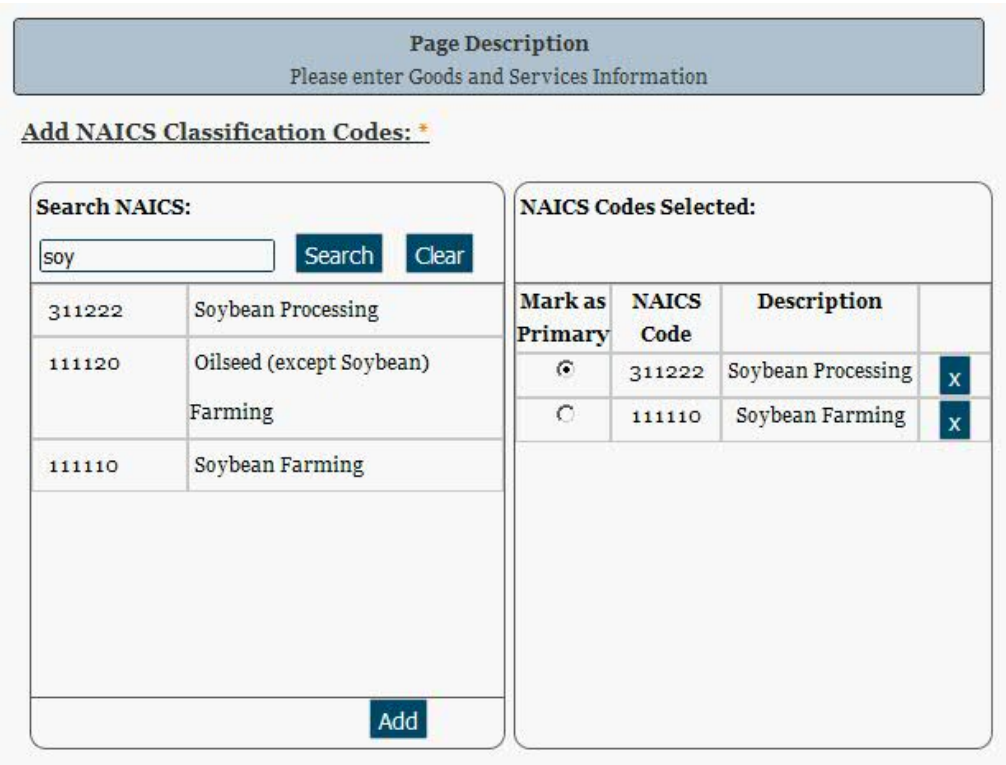
Assertions include, but are not limited to, data about the types of goods and services the entity provides, optional Electronic Data Interchange (EDI) and information if the entity wishes to be included in the Disaster Relief Registry.

3.4.2.1 Goods and Services

Upon completing your Core Data, enter information about the types of goods and services your entity can provide. The data you provide assists the government in locating entities that can provide certain goods and/or services.

- Enter North American Industry Classification System (NAICS) codes that best represent the type of industry in which your entity does business. The Small Business Administration (SBA) through public rule-making, assigns thresholds to the individual NAICS codes that are used to assess if entities may be considered a small business in certain classification areas. If you would like to know more about NAICS codes you can go to http://www.census.gov/epcd/naics07. You must supply at least one for your registration to be complete. You can add or change NAICS codes at any time.
- In the "Search NAICS" text box, type in the NAICS code or enter a word description of the type of services your business is involved in.
- Highlight the NAICS codes that are applicable to your entity and click "Add."
- As you select NAICS, the NAICS show up on the right side under "NAICS Codes Selected."
- Select one of the chosen NAICS as your primary NAICS code by clicking the radio button under the "Mark as Primary" column.
- If needed, you can delete a NAICS by clicking the "X" to the right of each NAICS selected.

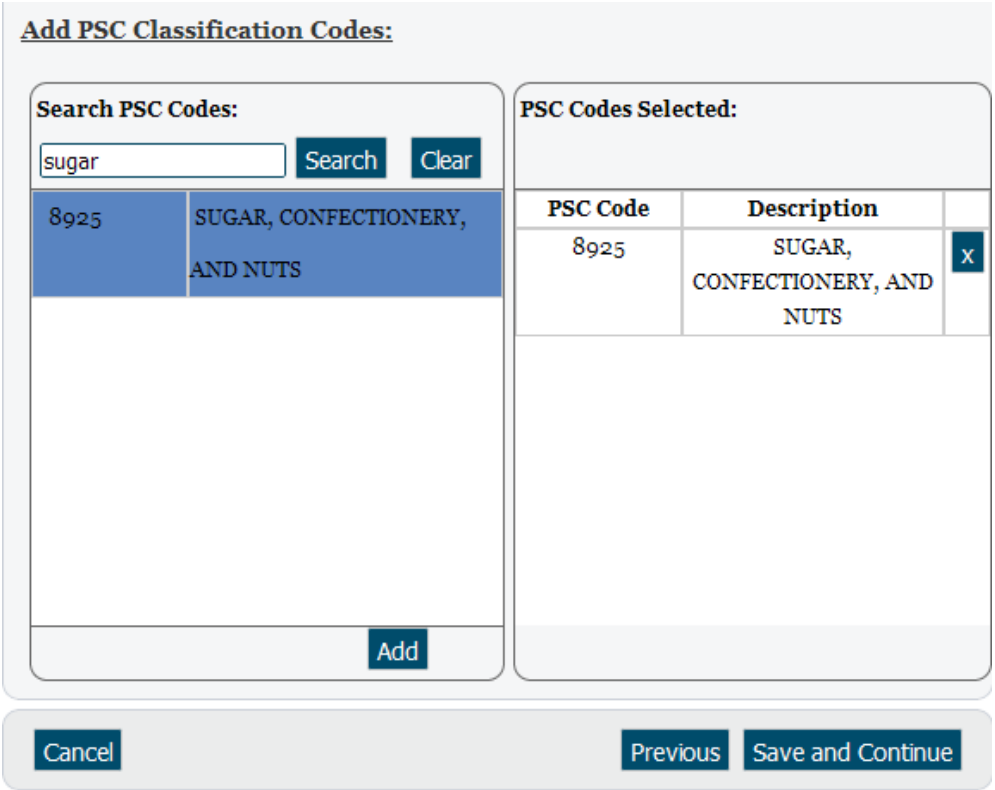
Figure 3.24: Enter NAICS



You also have the option to add Product and Service Codes (PSCs). This section works the same way as the NAICS section. PSC Codes are four-character codes used to identify the types of goods and services your entity can provide. Codes that start with a number indicate types of product, codes that start with a letter indicate types of services. More information about PSCs can be found at https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%2011%20August%202011.pdf.

- Search for your PSCs.
- Highlight the PSCs that are applicable to your entity and click "Add."
- Click "Save and Continue."

Figure 3.25: Select PSC Codes



3.4.2.2 Size Metrics

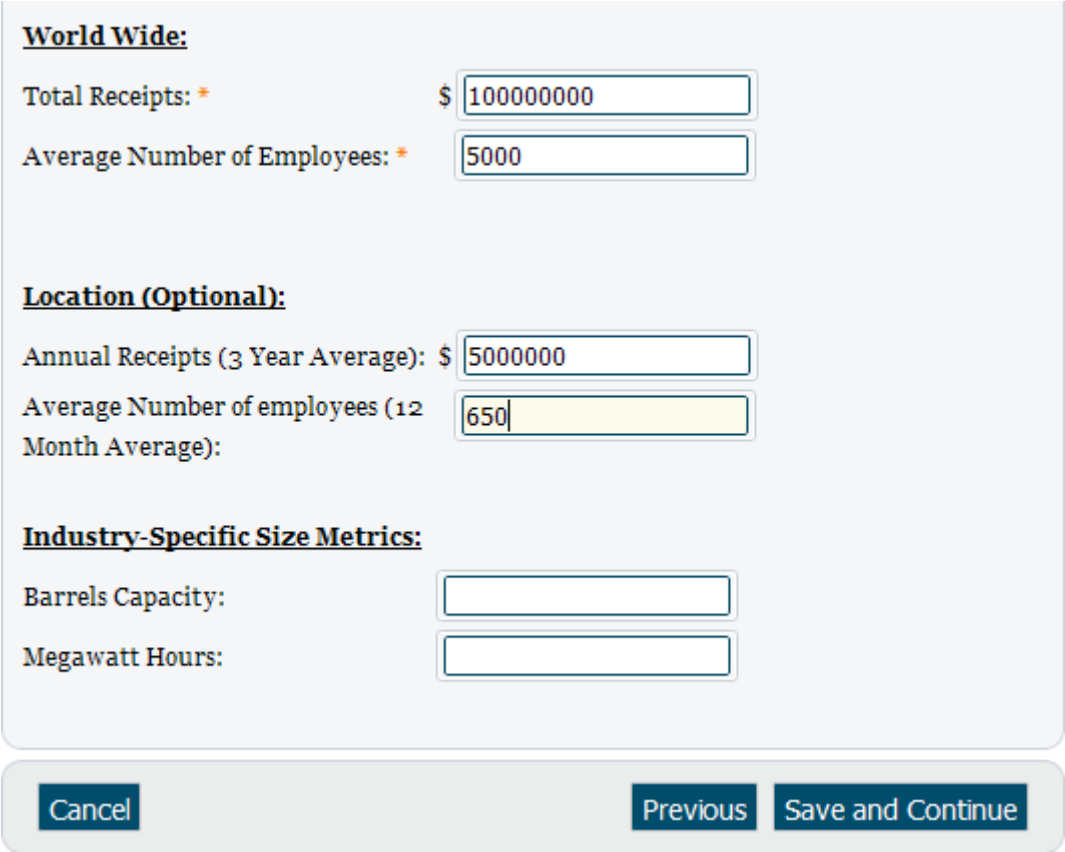
Enter your entity's data to be used for determining your size status as a small business or other than small business. Enter the total receipts and number of employees for the entire entity, which includes and all divisions, branches, and affiliates worldwide.

- Enter in your World Wide "Total Receipts." This is the average receipts over the last three completed fiscal years, including receipts of the parent organization, all branches, and all

affiliates worldwide, and not just the size data associated with the entity location represented by the specific DUNS number you are registering.

- Enter your "Average Number of Employees."
- You may also enter data for the location represented by the specific DUNS number you are registering in the "Location" fields. This is optional, not mandatory.
- You will be asked to complete the following fields if specific NAICS codes were entered in the NAICS section:
  - Barrels Capacity: NAICS code 324110
  - Total Assets: 522110, 522120, 522130, 522190, 522210, 522293

Figure 3.26: Enter Size Metrics



- When done, click "Save and Continue."

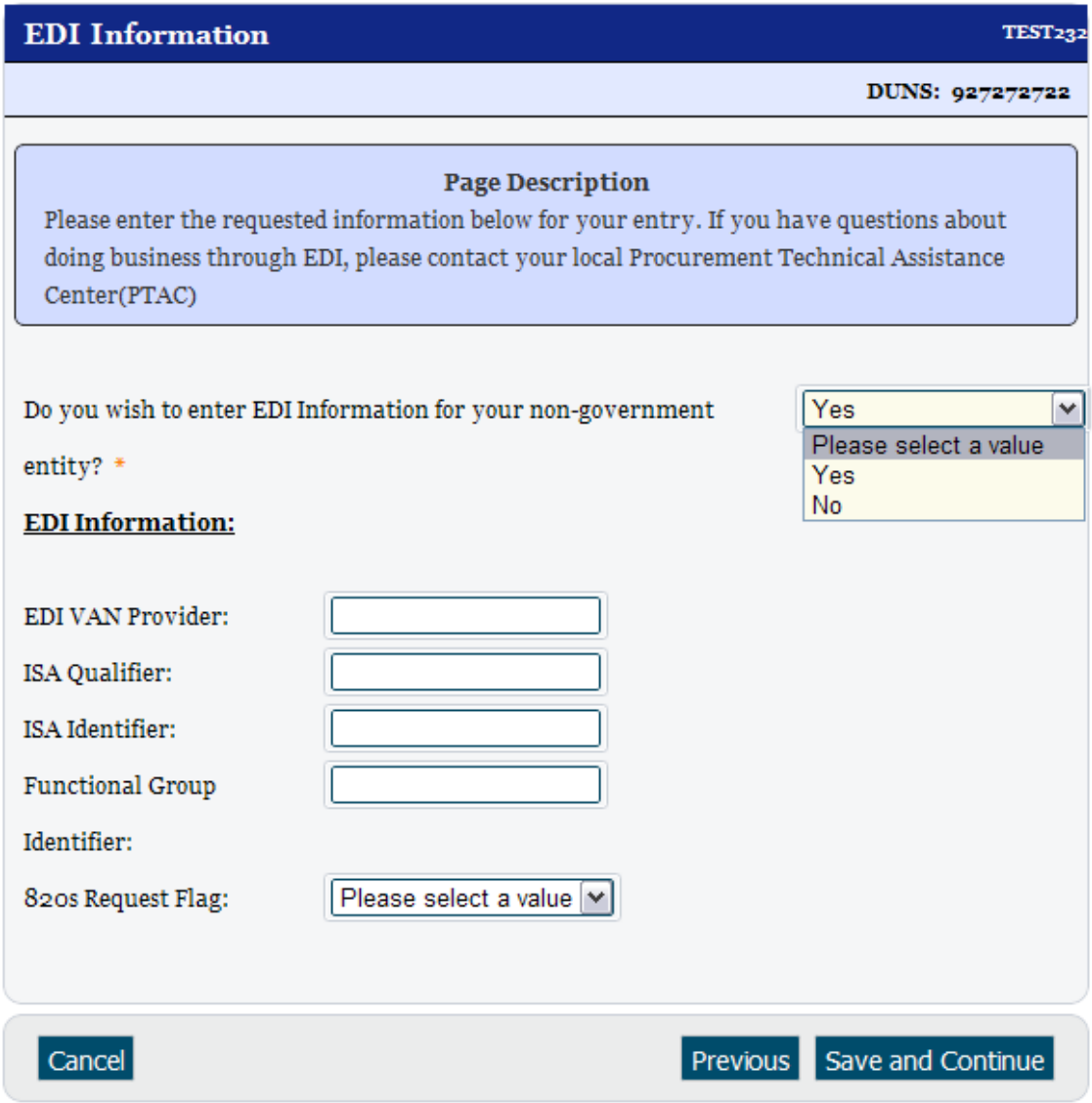
3.4.2.3 Electronic Data Interchange (EDI)

The "EDI Information" page is optional and provided for those entities that do business with the government through EDI. See Figure 3.27 to view the data elements on the EDI page.

- If you do not wish to complete this section, select "No" to the first question and click "Save and Continue."

- If you wish to complete this information, you must provide the following data:
  - EDI VAN Provider
  - ISA Qualifier
  - ISA Identifier
  - Functional Group Identifier
  - 820's request flag

Figure 3.27: EDI Information

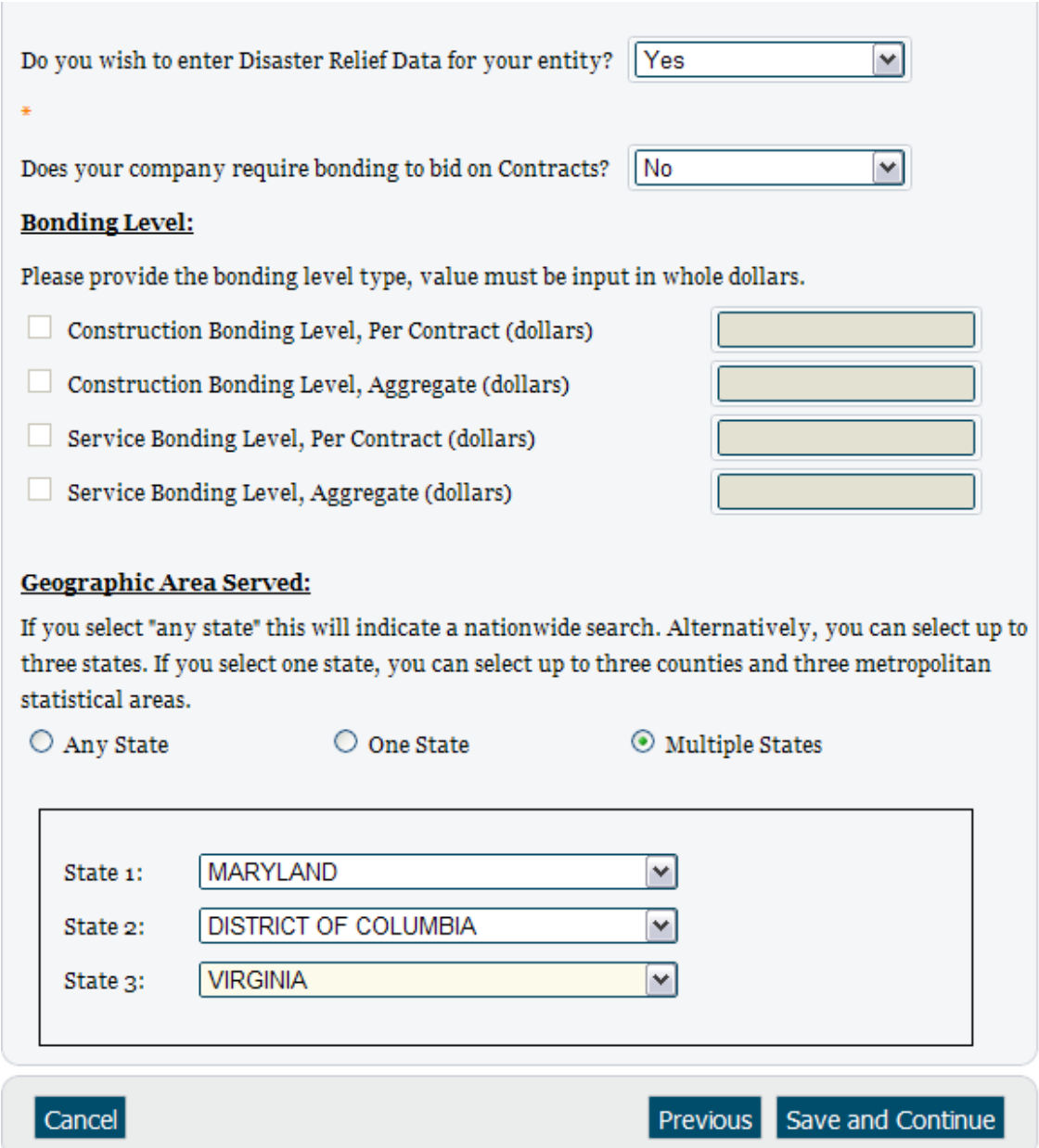


3.4.2.4 Disaster Relief

Entities wishing to do business with the federal government, such as the Federal Emergency Management Agency (FEMA), in the event of a natural disaster can complete the Disaster Relief section. When national emergencies or natural disasters such as floods and hurricanes occur, supplies and services need to be procured and rushed to the affected area quickly. To expedite this process, the SAM Disaster Relief Registry shows those contractors who are willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief supplies and/or services. Collecting this information in SAM provides a means for potential local contractors to identify themselves to the federal agencies during a time of a disaster.

- Choose "No" if you do not wish to register your entity for Disaster Relief. Click "Save and Continue."
- Choose "Yes" to register your entity.
- Complete the "Bonding Level" section if your company requires bonding to submit offers in response to federal solicitations.
- Select your entity's "Geographic Area Served," then click "Save and Continue."
  - If you select "Multiple States" you may enter up to three
  - If you select "One State" you can be more specific and enter as many as 3 (three) counties and the associated Metropolitan Statistical Area.
  - You can also select to be registered in any state.

Figure 3.28: Disaster Relief Page



3.4.3 Entering Representations and Certifications

Completing your Representations and Certifications (Reps and Certs) allows entities to submit their annual Reps and Certs in accordance with the Federal Acquisition Regulation (FAR).Please note that you may be subject to penalties if you misrepresent your entity in any of their representations or certifications to the government.

3.4.3.1 Questionnaire

To enter your Reps and Certs, you will be given a questionnaire to guide you through the data necessary for the associated FAR and Defense FAR Supplement (DFARS) provisions(if applicable), as well as the Standard Form 330, Part II for federal Architect and Engineering contracts if applicable. Each question is related to a specific FAR or DFARS provision which is referenced at the end of the question on the screen. Clicking on a reference will take you to the full text version of the provision so that you can read it in full.

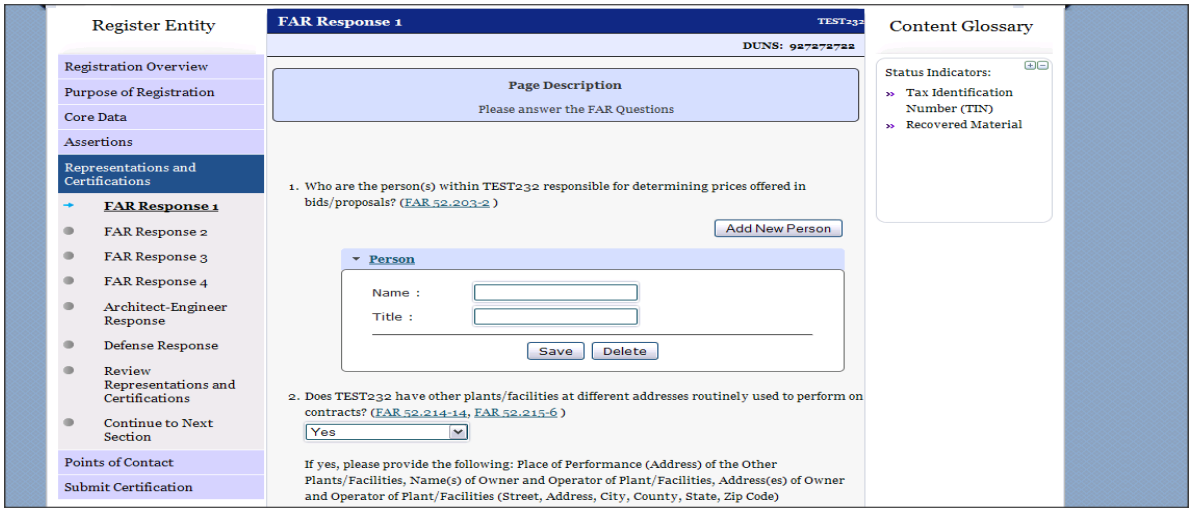
3.4.3.2 FAR Responses

The first section of the questionnaire contains the questions related to FAR provisions which are divided into four pages.

Question 1 asks you to identify the person(s) responsible for determining prices offered in bids/proposals for your entity. FAR 52.203-2

- Click "Add New Person" to enter the individual's Name and Title. Click this button as many times as you need.
- Click "Save" when complete.
- Once a person has been added, you may remove them at any time by clicking "Delete."

Figure 3.29: FAR Response Page 1, Part 1



Question 2 asks whether your entity has other plants or facilities at different addresses routinely used to perform on contracts. (FAR 52.214-14, FAR 52.215-6)

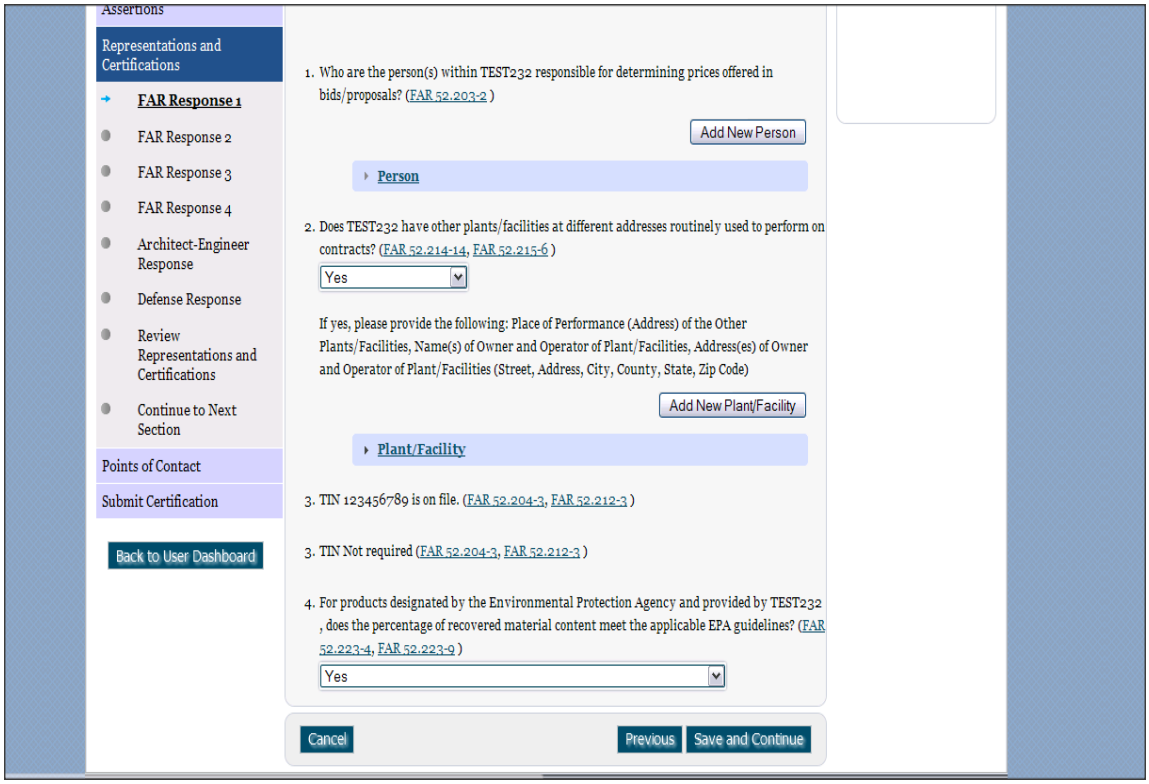
- Answer "Yes" or "No."
- Selecting "Yes" activates the "Add New Plant/Facility" button, allowing you to provide the Place of Performance Address, Owner Name, and Owner Address.
- Selecting "No" will grey out the "Add New Plant/Facility" button.

Question 3 will be prefilled with the TIN you entered when you completed the Core Data portion of the registration. If a TIN was not required for your entity, the system will prefill that as a response. (FAR 52.204-3, FAR 52.212-3)

Question 4 asks whether your entity is following the guidelines established by the Environmental Protection Agency (EPA) for recovered material. Information on the products designated by the EPA for recovered material content is available at: http://www.epa.gov/cpg/products.htm (FAR 52.223-4, FAR 52.223-9)

- Answer "Yes" or "No."

Figure 3.29: FAR Response Page 1, Part 2



Question 5 asks if your entity is a small business concern and qualifies for status as a labor surplus area concern. The SBA provides SAM with an indicator whether your entity may qualify as a small business concern by using the size metrics you entered for your entity in the Assertions section, and the NAICS code size standards provided by the Small Business Administration. (FAR 52.219-2)

- Pick a state and the applicable labor surplus areas if your entity is a small business concern, is located in one of these areas, and qualifies as a labor surplus area concern. If there are no labor surplus areas in the state you selected, the system will inform you of that. A list of labor surplus areas is available from the Department of Labor at http://www.uses.doleta.gov/programs/lsa.cfm
- If your entity would not be considered a small business concern given the size metrics data provided, you will see the text "Our records indicate #EntityName# is not a small business

concern and therefore does not qualify for status as a labor surplus area concern." If you believe this is a mistake, check the information you entered in the assertions portion of your registration. If you are a U.S. Federal, State, Local, or Tribal Government entity or a foreign entity (government or non-government), you will always see this response as you are not eligible to qualify as a small business concern.

Question 6 asks if your entity is owned or controlled by a common parent that files its Federal Income Tax returns on a consolidated basis. (FAR 52.204-3, FAR 52.212-3)

- Answer "Yes" or "No."
- If you answer "Yes," you will be asked to provide the Company Name and TIN number.
- If you answer "No," these fields will not be available.

Question 7 asks if your entity or any of its principals are currently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any federal agency. SAM will check the exclusions list for the DUNS number of your entity and indicate whether any exclusion records exist. (FAR 52.209-5, FAR 52.212-3)

- If an active exclusion record exists for your entity, this question will default to "Yes."
- If no active exclusion record exists for your entity, answer this question with a "Yes" or "No" response.

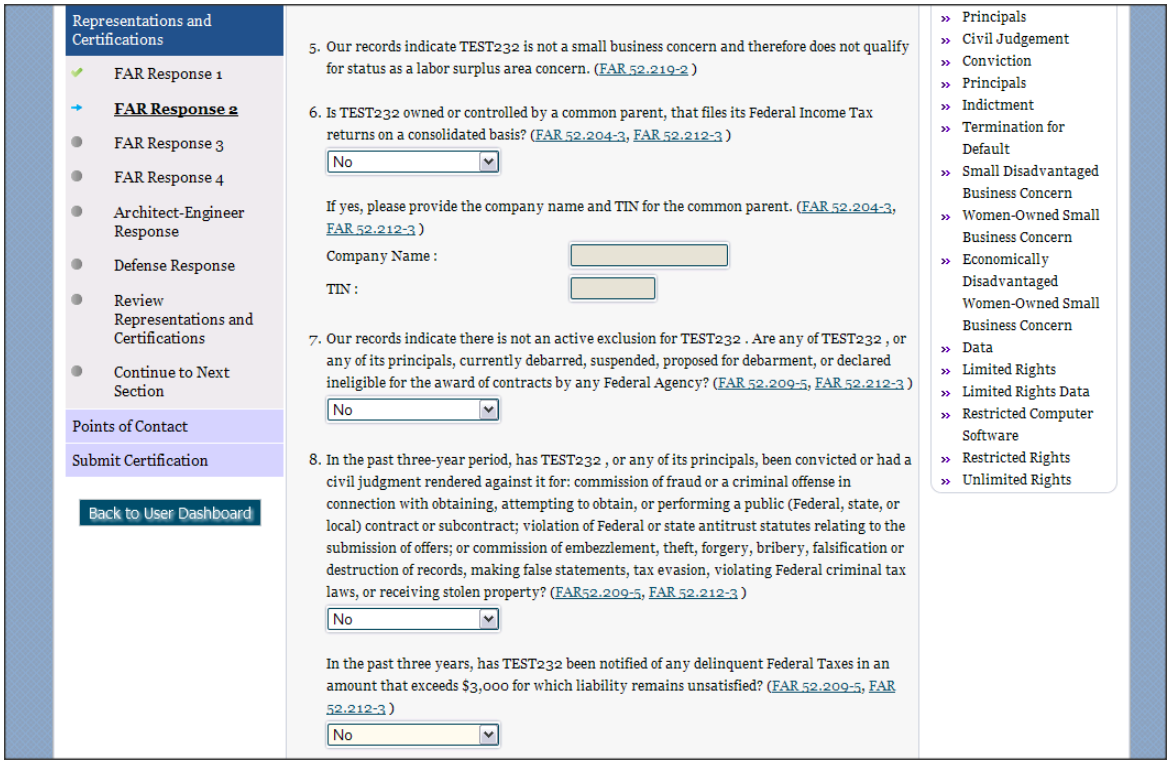
Question 8 is divided into two parts. (FAR 52.209-5, FAR 52.212-3)

The first part asks if in the past three years, your entity, or any of its principals, has been convicted or had a civil judgment rendered against it for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating federal criminal tax laws, or receiving stolen property.

The second part asks if in the past three years your entity has been notified of any delinquent federal taxes in an amount that exceeds $3,000 for which liability remains unsatisfied.

- Answer these questions by selecting "Yes" or "No."

Figure 3.30: FAR Responses Page 2, Part 1



Question 9 asks if your entity, or any of its principals, are presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in Question 8. (FAR 52.209-5, FAR 52.212-3)

- Answer "Yes" or "No."

Question 10 asks whether within the past three years your entity has been terminated for cause (default). (FAR 52.209-5, FAR 52.212-3)

- Answer "Yes" or "No."

Question 11 If you are registering as a joint venture you need to list the name of any HUBZone businesses participating in a HUBZone Joint Venture with your entity. (FAR 52.219-1, FAR 52.212-3)

- Click "Add New Joint Venture Company" if your entity is a HUBZone Joint Venture. This will add the company name to your response.
- Check the box which says "None" if your entity is not participating in a HUBZone Joint Venture.
- If you are a U.S. Federal, State, Local, or Tribal Government entity or a foreign entity (government or non-government) the box which says "None" will always be checked as you are not eligible to qualify as a HUBZone Joint Venture.

Question 12 If you are registering as a joint venture you will be asked if there are any Small Disadvantaged Businesses participating in a Joint Venture with your entity, and if so, for you to provide the names of the companies. (FAR 52.219-22, FAR 52.212-3)

- Click "Add New Joint Venture Company" if your entity has any Small Disadvantaged Businesses participating in a Joint Venture with it. This will add the company name to your response.
- Check the box which says "None" if your entity is not participating in a Joint Venture with a Small Disadvantaged Business.
- Check the box which says "None" if you are a U.S. Federal, State, Local, or Tribal Government entity or a foreign entity (government or non-government). It will check if you are not eligible to qualify as a Joint Venture Small Disadvantaged Business.

Question 13 If you have indicated that you are a Joint Venture Women Owned Small Business on the General Information page in the Core Data section of SAM, provide the name of the company participating in the Joint Venture with your entity. (FAR 52.212-3, FAR 52.219-1)

- Click "Add New Joint Venture Company" to add the company name to your response.
- SAM will display, "Our records indicate that #EntityName# is not participating in a Women Owned Small Business Joint Venture" if you have not indicated that you are Joint Venture Women Owned Small Business.
- If you are a U.S. Federal, State, Local, and Tribal Government entity or a foreign entity (government or non-government) you will always see this response as you are not eligible to qualify as a Joint Venture Women Owned Small Business.

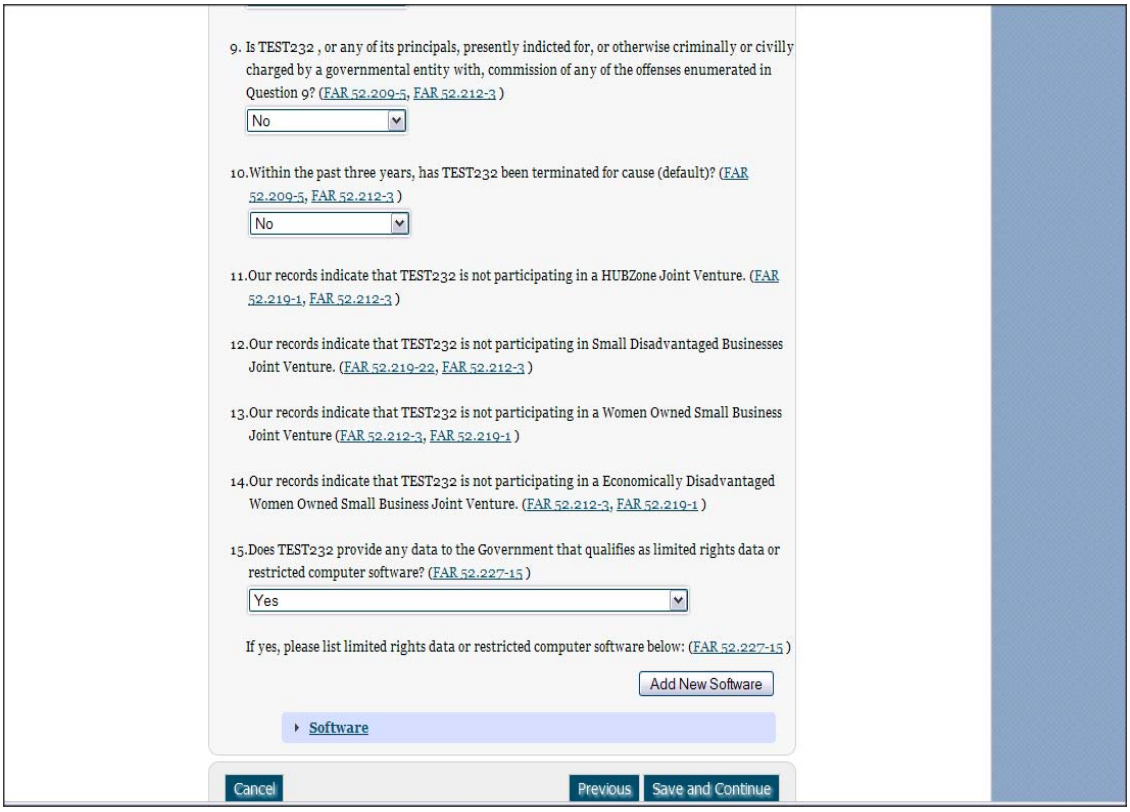
Question 14 If you have indicated that you are a Joint Venture Economically Disadvantaged Women Owned Small Business on the General Information page in the Core Data section of SAM, provide the name of the company participating in the Joint Venture with your entity. (FAR 52.212-3, FAR 52.219-1)

- Click "Add New Joint Venture Company" to add the company name to your response.
- SAM will display the following "Our records indicate that #EntityName# is not participating in an Economically Disadvantaged Women Owned Small Business Joint Venture" if you have not indicated that you are Joint Venture Women Owned Small Business in Core Data. You will always see this response if you are a U.S. Federal, State, Local, and Tribal Government entity or a foreign entity (government or non-government) as you are not eligible to qualify as a Joint Venture Economically Disadvantaged Women Owned Small Business.

Question 15 asks if your entity provides any data to the government that qualifies as limited rights data or restricted computer software. (FAR 52.227-15)

- Answer "Yes" or "No."
- If you indicate "Yes," click "Add New Software" to provide the name of the limited rights data or the restricted computer software.
- If you indicate "No" the "Add New Software" button will be greyed out.

Figure 3.30: FAR Responses Page 2, Part 2



Question 16 will display "Our records indicate that #EntityName# has selected the Entity Structure type of #EntityStructureType# (for example, sole proprietor). Your structure type and how your business or organization is defined by the IRS will be pre-filled based on your answers on the General Information page of the Core Data section. If you selected "Other" as your type, you will be provided with a box to enter more information. (FAR 52.204-3, FAR 52.212-3)

Question 17 asks whether your entity is a Small Disadvantaged Business (SDB) Concern. SAM will indicate whether or not your entity may qualify to be a small disadvantaged business concern based on the size metrics you entered for your entity in the Assertions section, and the NAICS code size standards provided by the SBA. (FAR 52.212-3, FAR 52.219-22)

- If you have at least one NAICS code where your metrics indicate your entity may be a small business, you must answer this question with a "Yes" or "No" response. The answers regarding your small business status ("Small" or "Other than Small") are pre-filled based on your previously entered size standard information (number of employees and total receipts). When you answer the question on your Small Disadvantaged Business status, you are doing so for each NAICS for which you have been identified as "small." The NAICS for which you are identified as small will be displayed in a table. These Y/N answers are located in the "Small Business?" column where a "Y" indicates "Small" and "N" indicates "Other than

Small". These answers are derived from the SBA's size standards. The NAICS shown are those you have entered. You may click the "View More" button to see your entity's size status for any existing NAICS. If you disagree with any of the pre-filled information, you must return to Assertions and change your values there. The "Edit" button will return you to the correct location to make these changes.

- If you do not have at least one NAICS code where your metrics indicate your entity may be a small business, SAM will pre-fill this question with the response "Our records indicate that #EntityName# is not a small disadvantaged business concern."
- If you are a U.S. Federal, State, Local, and Tribal Government entity or a foreign entity (government or non-government) you are not eligible to qualify as a small disadvantaged business concern. SAM will pre-fill this question with the response "Our records indicate that #EntityName# is not a small disadvantaged business concern.

Question 18 asks whether your entity is located in a Small Disadvantaged Business Procurement Mechanism authorized region (see SIC code 15, 16 and 17 for authorized regions). (FAR 52.219-22, FAR 52.212-3)

- Answer "Yes" or "No."

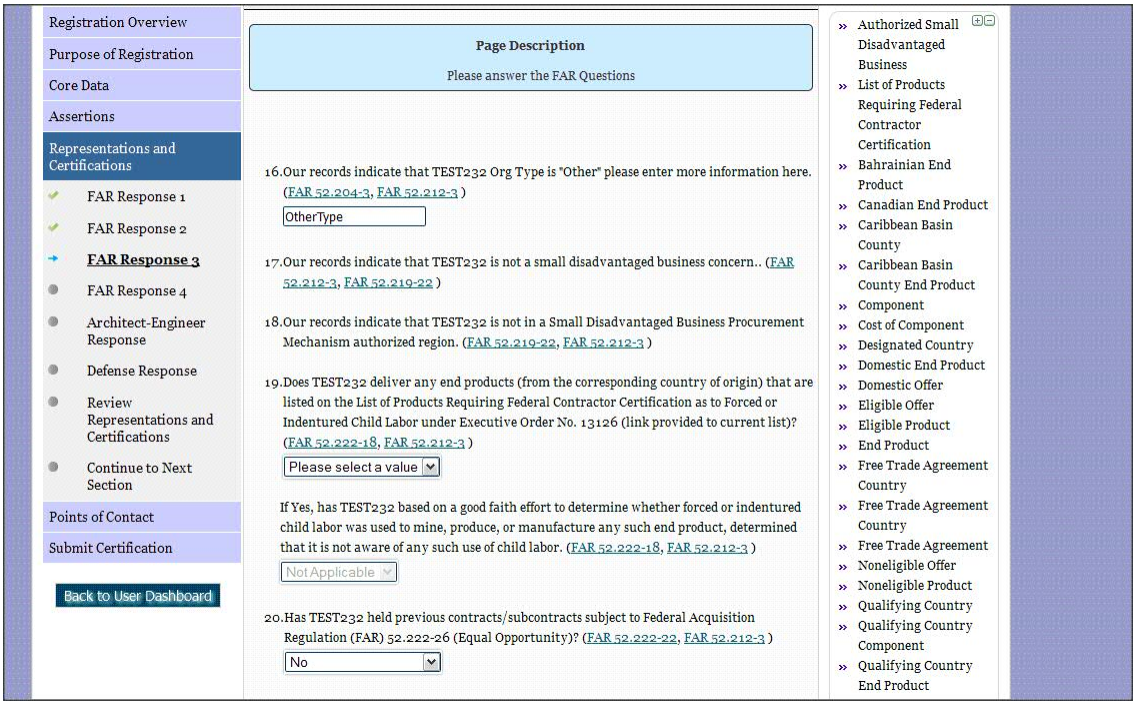
Question 19 asks whether your entity delivers any end products (from the corresponding country of origin) that are listed on the List of Products Requiring Federal Contractor Certification as to Forced or Indentured Child Labor under Executive Order No. 13126. (FAR 52.222-18, FAR 52.212-3)

- Answer "Yes" or "No."
- If you answer "Yes," you will be asked whether your entity has based a good faith effort to determine whether forced or indentured child labor was used to mine, produce, or manufacture any such end product, determined that it is not aware of any such use of child labor. Answer this question with a "Yes" or "No" response.
- If you answer "No," the second part of Question 19, as enumerated above, will be answered for you as "Not Applicable."

Question 20 asks whether your entity has held previous contracts/subcontracts subject to Federal Acquisition Regulation (FAR) 52.222-26 (Equal Opportunity). (FAR 52.222-22, FAR 52.212-3)

- Answer "Yes" or "No."

Figure 3.31: FAR Responses Page 3, Part 1



Question 21 asks whether there are any end products delivered to the Government by your entity that are foreign (non-domestic) end products. (FAR 52.212-3, FAR 52.225-2, FAR 52.225-4, FAR 52.225-6 , DFARS 252.225-7000, DFARS 252.225-7020, DFARS 252.225-7022, DFARS 252.225-7035)

- Answer "Yes" or "No."
- If you answer "Yes," list the products and their corresponding country of origin.
- Click "Add New Product" to fill in these details. The list of products provided in the drop down is based off the Product Service Codes (PSCs) you listed on the Goods and Services page in the Assertions portion of SAM.
- If you do not find the product you are looking for in the drop down menu, click "Edit my PSCs" to go back to the Assertions section and add any additional products there.

Question 22 asks whether your entity has filed all required Equal Employment Opportunity compliance reports. (FAR 52.222-22, FAR 52.212-3)

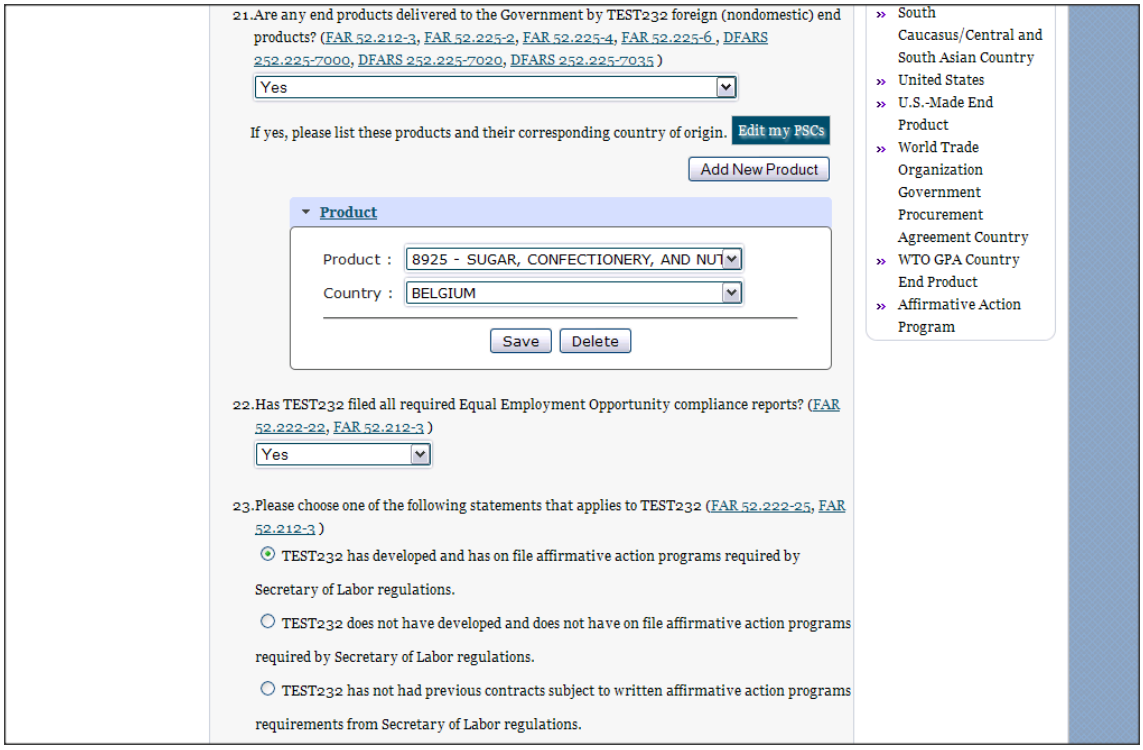
- Answer "Yes" or "No."

Question 23 asks you to choose the statement that best applies to your entity's affirmative action programs. (FAR 52.222-25, FAR 52.212-3) The statements you may choose from are:

- #EntityName# has developed and has on file affirmative action programs required by Secretary of Labor Regulations
- #EntityName does not have developed and does not have on file affirmative action programs required by Secretary of Labor Regulations

- #EntityName# has not had previous contracts subject to written affirmative action program requirements from Secretary of Labor Regulations.

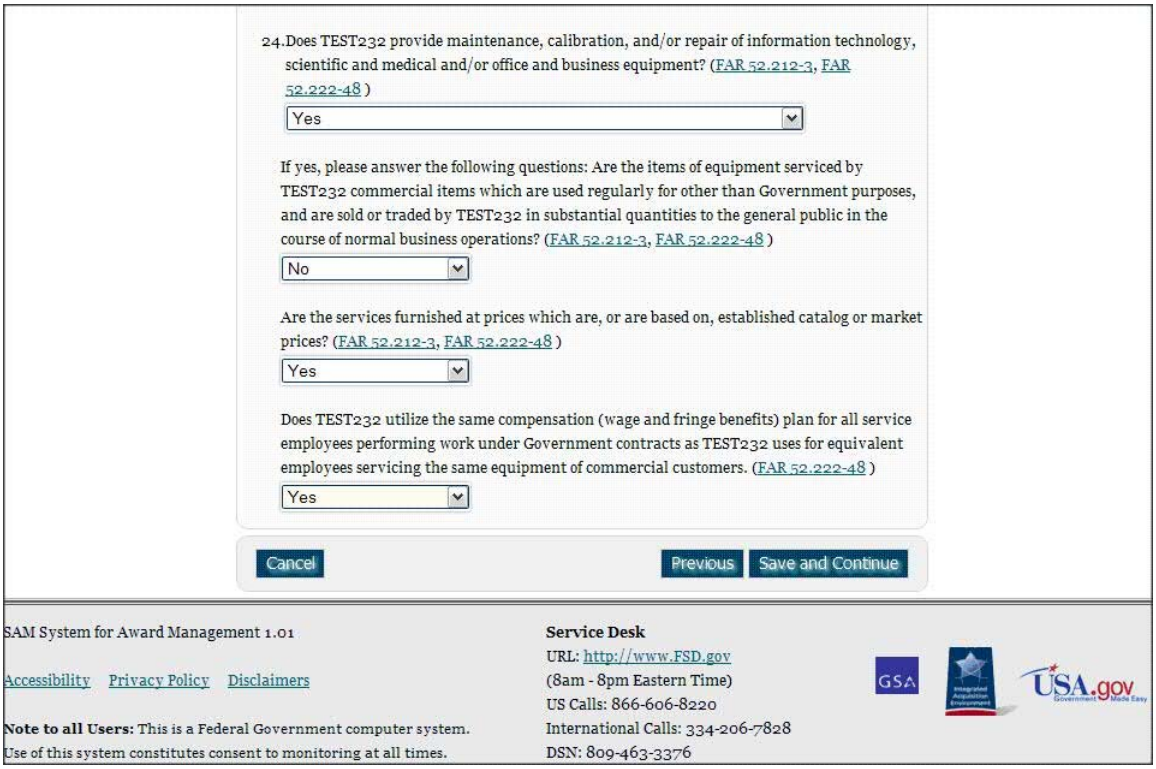
Figure 3.31: FAR Responses Page 3, Part 2



Question 24 asks whether your entity provides maintenance, calibration, and/or repair of information technology, scientific and medical and/or office and business equipment. (FAR 52.212-3, FAR 52.222-48)

- Answer "Yes," "No" or "Vendor will provide information with specific offers to the Government."
- If you answer "Yes," you must answer three subsequent questions,
- If you answer "No" or "Vendor will provide information with specific offers to the Government," these questions will be filled in as "Not Applicable."

Figure 3.32: FAR Responses Page 4, Part 1



Question 25 asks whether your entity provides services as described in FAR 22.1003-4(d)(1). (FAR 52.212-3, FAR 52.222-52)

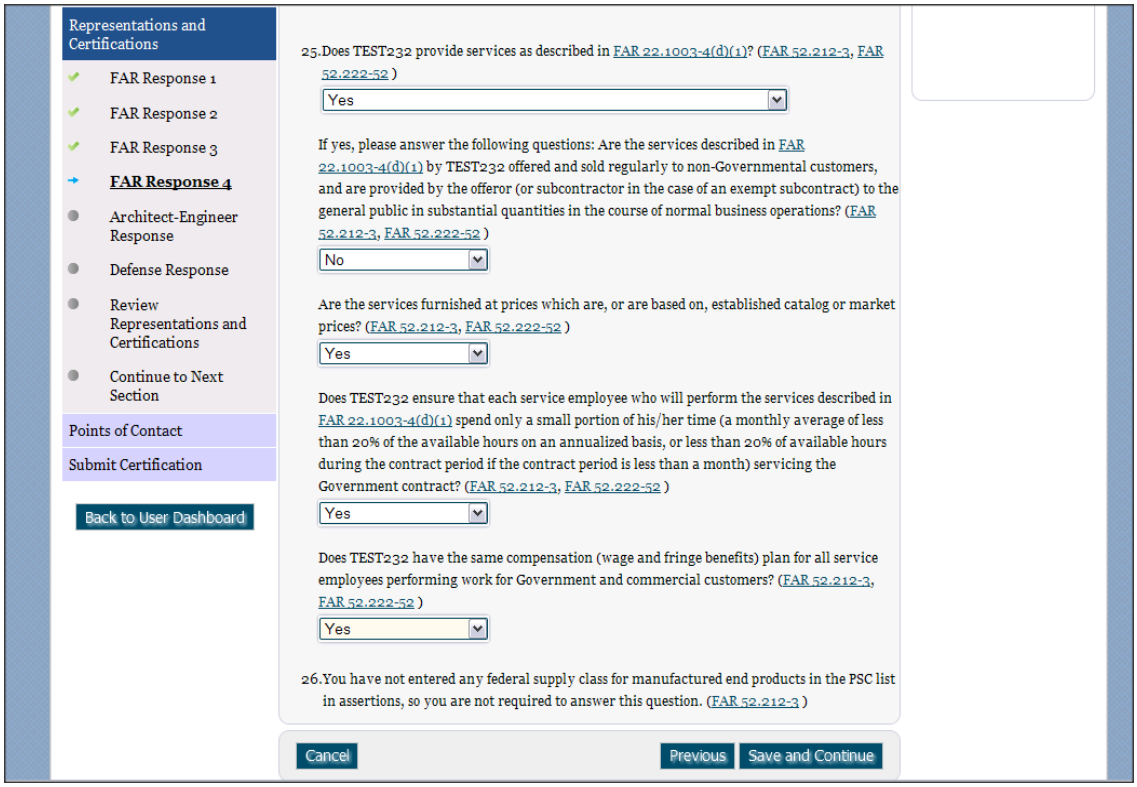
- Answer with "Yes," "No," or "Vendor will provide information with specific offers to the Government."
- If you answer "Yes," you must answer four subsequent questions which are depicted in Figure 3.33.
- If you answer "No" or "Vendor will provide information with specific offers to the Government," these questions will be filled in as "Not Applicable."

On **Question 26** SAM determines whether any of the Product Service Codes (PSCs) you entered in the Goods and Services page in the Assertions portion of SAM are Federal Supply Codes (FSC) (FSCs are the subset of PSCs that represent products, and begin with a number) . (FAR 52.212-3)

- If it is determined that you entered Federal Supply Codes, you will see the following: "Our record indicates that #EnityName# has registered the following FSC codes. Provide whether the place of manufacture for each FSC code below is in the U.S. or outside the U.S."
- If it is determined that you did not enter Federal Supply Codes, you will see "You have not entered any federal supply class for manufactured end products in the PSC list in assertions, so you are not required to answer this question."

- To edit your PSCs, return to the Goods and Services page in the Assertions portion of SAM and click "Edit."

Figure 3.32: FAR Responses Page 4, Part 2



3.4.3.3 Architect and Engineering Responses

The Architect and Engineering Responses are you used to help you complete your Standard Form (SF) 330 Part II, if you are interested in architect-engineer contracts. Federal agencies use this form to obtain information from architect-engineer (A-E) firms about their professional qualifications. Federal agencies select firms for A-E contracts on the basis of professional qualifications as required by the Brooks A-E Act (40 U.S.C. 1101 - 1104) and Part 36 of the Federal Acquisition Regulation (FAR). If you did not indicate via the NAICS codes you entered in the Assertions section that you were interested in A-E work, you will not need to fill out this information.

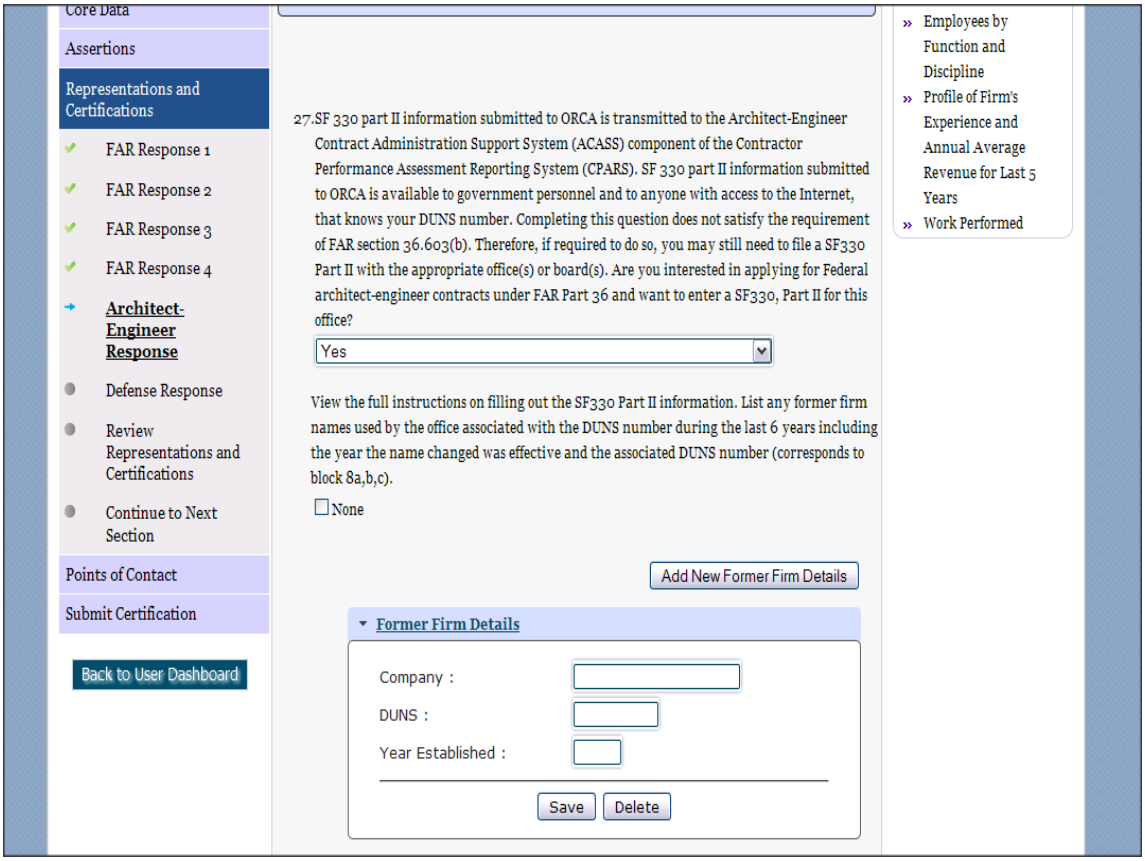
Question 27 is the first question in the Architect and Engineering Response section.

- If you did not enter a NAICS code connected to architect and engineer activities, you will see the following text "Our records indicate that #EntityName# has not selected NAICS 541310, 541320, 541330, 541360, 541370, 541410 or 541620. SF 330 part II information is not applicable." You will not be asked any additional questions on this page.
- If you did enter one of the applicable NAICS codes, you will be asked to provide additional information to complete your SF 330 Part II. The first question asked is to indicate if you are

interested in applying for a Federal contract for Architect-Engineer answer. If you answer "**No**" to this question, then you can click "Save and Continue" and move to the DFARS section.

- If you did enter one of the applicable NAICS codes, you will be asked to provide additional information to complete your SF 330 part II. The first question asked is to indicate if you are interested in applying for a Federal contract for Architect-Engineer answer. If you answer "**Yes**" to this question, then you will be required to answer additional information which is depicted in the Figures 3.38 – 3.40 and summarized below. More detailed information can be found in question 27 in the glossary.
  - You will be asked to list any former firm names used by the office associated with the DUNS number in the past 6 years. If there are no other names, click on the "None" option. If there are any names, then please click on the button "Add New Former Firm Details" button and enter "Company Name", "DUNS" and "Year Established".

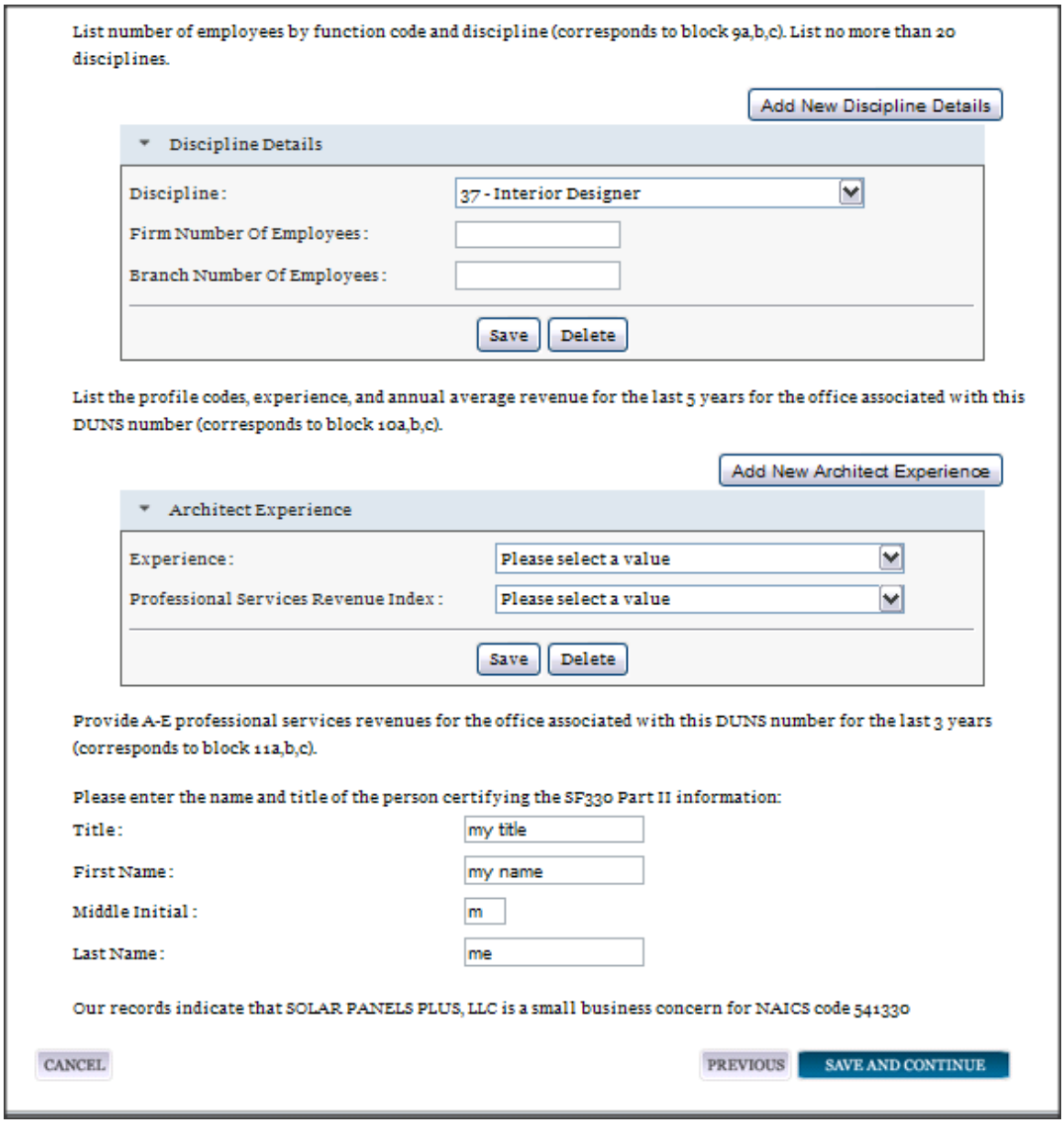
Figure 3.33: Architect-Engineer Responses, Part 1



  - Click on the "Add New Discipline Data" button to enter the number of employees for the firm and branch by function code and discipline. If you have more than one Discipline within your firm, you will need to create a new table for each Discipline by clicking on the "Add New Discipline Data".

- Click on the "Add New Architect Experience" button to open the table and list the experience and the Professional Services Revenue Index.
- You will need to enter the name and title of the person certifying the Architect-Engineer information.
- Click "Save and Continue"

Figure 3.33: Architect-Engineer Responses, Part 2



3.4.3.4 DFARS Responses

Question 28 asks whether your entity wishes to bid on, or currently holds any DoD-issued or DoD-funded contracts. (DFARS 252.212-7000, DFARS 252.247-7022)

- Answer "Yes" or "No."
- If you answer "Yes" you must answer Questions 29-31.
- If you answer "No," the answers to Questions 29-31 will be answered as "Not Applicable."
- If your entity wishes to bid on DoD-issued or DoD-funded contracts in the future, you can edit your registration in the future and change your response to "Yes."

Question 29 asks if you anticipate that supplies will be transported by sea in the performance of any contract or subcontract resulting from this solicitation.(DFARS 252.212-7000, DFARS 252.247-7022)

- Answer "Yes" or "No."

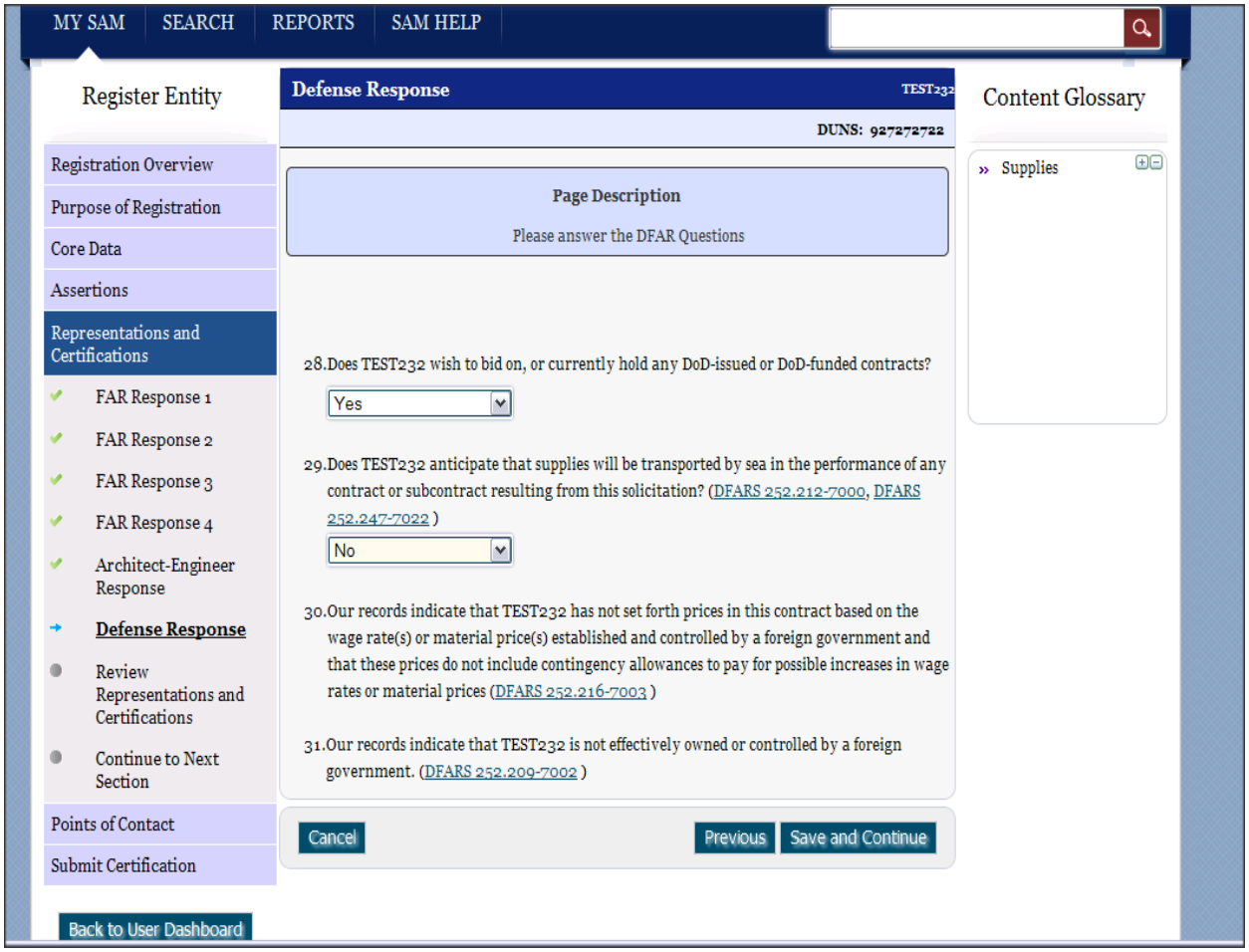
Question 30 asks if your entity represents that the prices set forth in this contract are based on the wage rate(s) or material price(s) established and controlled by a foreign government and do not include contingency allowances to pay for possible increases in wage rates or material prices. (DFARS 252.216-7008)

- Answer "Yes" or "No."
- If you select "Yes," select the name of the host country from the drop down menu provided.

Question 31 asks if your entity is effectively owned or controlled by a foreign government. (DFARS 252.209-7002)

- Answer "Yes" or "No."
- If you select "Yes," provide the Name and Contact information for someone at your entity who can answer questions about disclosure.
- Click "Add New Foreign Government Entity" to provide the Name and Address of the entity(ies) controlled by a foreign government, Description of Interest, Ownership Percentage, and the Foreign Government Country.

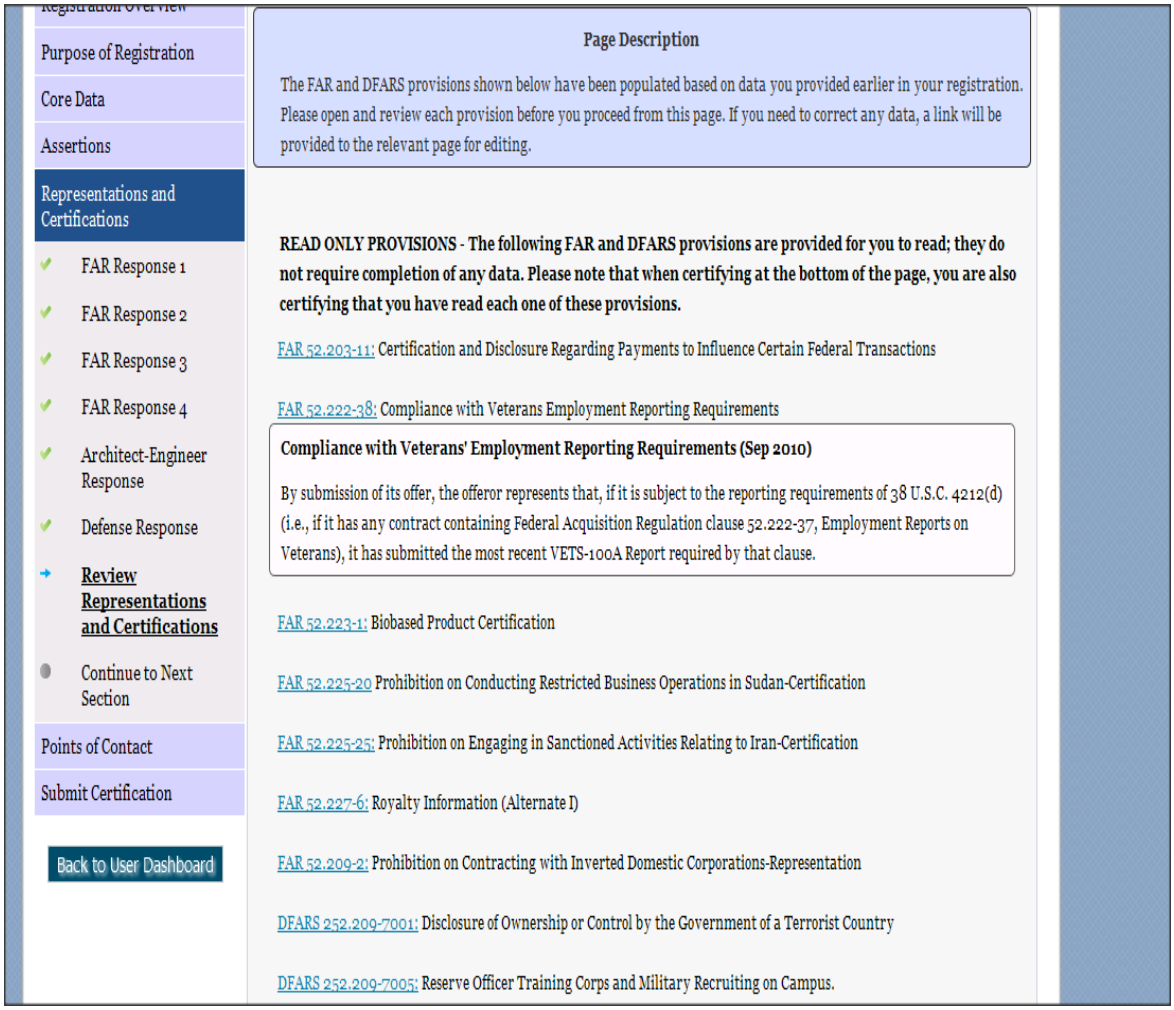
Figure 3.34: DFARS Responses



3.4.3.5 Review Representations & Certifications

Next, the Representations and Certifications page will display the complete FAR, DFARS and Architect-Engineer provisions language. Be sure to review the provisions identified as Read Only Provisions. NOTE: When certifying at the bottom of the page, you are also certifying that you have read each one of these provisions. You will be held responsible as such, so you are encouraged to open each provision and review it in full text. The default view for these provisions will be collapsed, but can be expanded by clicking the FAR or DFARS link provided.

Figure 3.35: Read Only Provisions



The second section contains the provisions, pre-populated, based on data you provided earlier in your registration. Open and review each provision before you proceed from this page. You will be held responsible for the responses in each of the provisions, so you are encouraged to open each provision and review it in full text. If you need to correct any data, a link will be provided to the relevant page for editing.

Pay special attention to FAR provisions 52.212-3, 52.219-1, and 52.219-22. The NAICS you identified on the Assertions Goods and Services page are shown below the provision along with your small business status for each NAICS you identified and the entire NAICS table. These serve to complete the representation. The status shown here for each of the NAICS codes is based on the size metrics data you provided in the Assertions section, as well as the NAICS code size thresholds provided by the SBA.

Click "View More" to see your entity's size status for any existing NAICS code.

NOTE: When you certify, you are certifying to the small business status **for all of the NAICS in the table.** Y/N answers are located in the "Small Business?" column where a "Y" indicates "Small" and "N" indicates "Other than Small." This status is derived from the SBA's size standards. You will be held responsible for the certification you provide so make sure you review the entire table

If you disagree with any of the pre-filled information, return to the Assertions portion of SAM and review the values by clicking "Edit." If you still have concerns contact SBA at 1-800-827-5722.

Figure 3.36: FAR 52.219-1 (Showing small business table and edit functions)

FAR 52.219-1: Small Business Program Representations (Alternate & 1)

The NAICS for which you are identified as small are shown in the table below; and serves to complete the representation in 52.219-1(b)(2).
You are certifying to all of the NAICS in the table so please review it in its entirety. These Y/N answers are located in the "Small Business?" column where a "Y" indicates "Small" and "N" indicates "Other than Small". This status is derived from the SBA's size standards.
The NAICS shown are those you have entered. You may click the "View More" button to see your entity's size status for any existing NAICS. If you disagree with any of the pre-filled information, you must return to Assertions and change your values there.
The "Edit" button will return you to the correct location to make these changes.

Small Business Program Representations (Apr 2012) EDIT

(a)

(1) The North American Industry Classification System (NAICS) code for this acquisition is See Note.*

(2) The small business size standard is See Note.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations.

NAICS Code	Name	NAICS Exception	Size Standard	Small Business?
519130	Internet Publishing and Broadcasting and Web Search Portals		500	Y
811212	Computer and Office Machine Repair and Maintenance		$25,500,000.00	Y
519120	Libraries and Archives		$7,000,000.00	Y
541310	Architectural Services		$7,000,000.00	Y

VIEW MORE

(1)** The offeror represents as part of its offer that it ☑ is, ☐ is not a small business concern (see below).

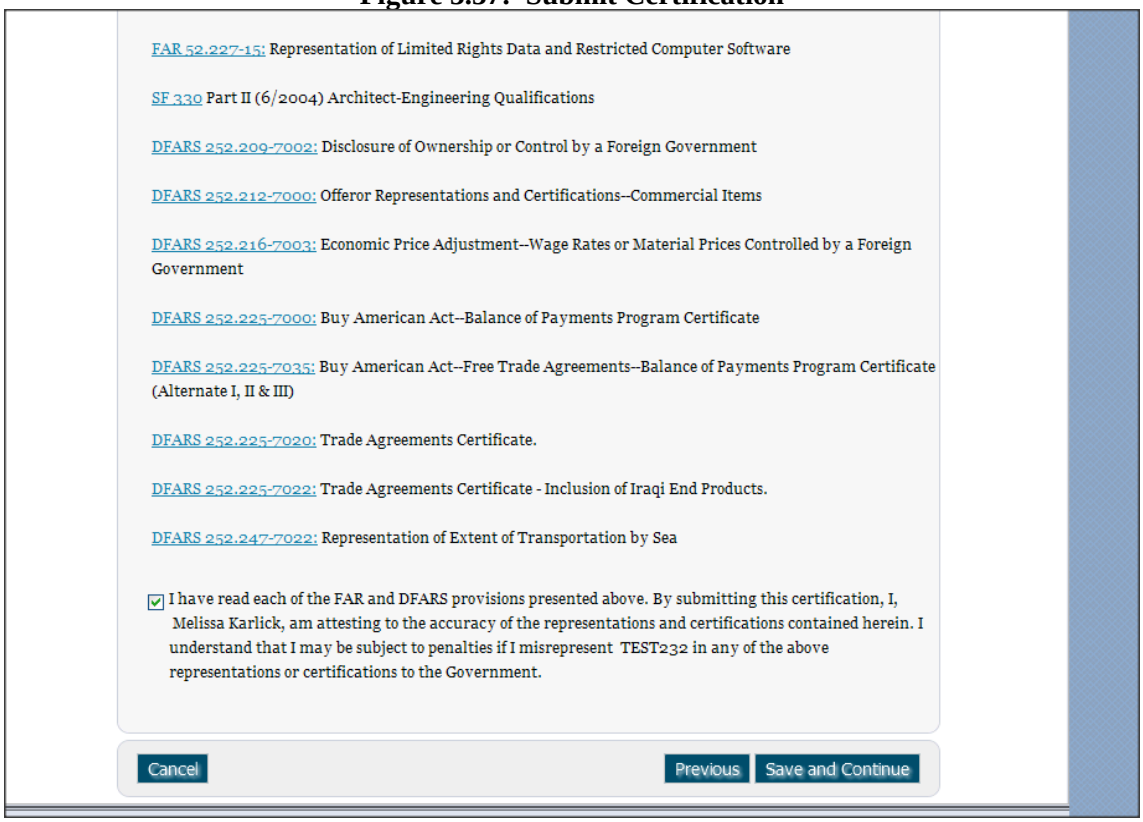
(2) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, for general statistical purposes, that it ☑ is ☐ is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.

(3)** [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it ☐ is ☑ is not a women-owned small business

- At end of the review page, check the box to indicate that you: have read each of the FAR, DFARS and Architecture Engineering provisions, that you attest to the accuracy of the representations and certifications by submitting the certification, and that you understand you

may be subject to penalties if you misrepresent your entity in any of their representations or certifications to the government.

Figure 3.37: Submit Certification



3.4.4 Entering Points of Contact (POCs)

Before your entity registration is complete, you will be asked to provide Mandatory POCs and Optional POCs. The POCs you will be asked to provide have been determined based on the answers you provided throughout the registration process. All Mandatory POCs must be completed before the registration may be submitted for certification.

3.4.4.1 POC Details

Below (Table 3.2) is a list of the POC types that all awards and Federal assistance registrants will see. See the glossary for more information on each POC type.

Table 3.2: All Awards and Federal Assistance Points of Contact

POC Name	Mandatory?	Mandatory Data Elements
Accounts Receivable POC	Mandatory	First Name, Last Name, Email, and Phone
EDI POC	Mandatory if business wants to	First Name, Last Name, Email, Address,

POC Name	Mandatory?	Mandatory Data Elements
	be EDI capable	City, Country., Phone, State/Province (if US or Canada), and ZIP/Postal Code
Electronic Business POC	Mandatory	First Name, Last Name, Email, Address, City, Country., Phone, State/Province (if US or Canada), and ZIP/Postal Code
Electronic Business Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country., Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business POC	Mandatory	First Name, Last Name, Email, Address, City, Country., Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Party Performing Certification POC	Mandatory if you have used a 3rd party certifier for a small business certification.	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Past Performance POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Past Performance Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Proceedings POC	Mandatory if you have entered proceedings details.	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Proceedings Alternate POC	Optional	First Name, Last Name, Email, Address, City, Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Sole Proprietorship POC	Mandatory if Sole Proprietor has been selected as a business type.	First Name, Last Name, Email, and Phone

3.4.4.2 Dynamic Small Business Search Link

If you have selected at least one NAICS code for which you qualify as being a small business, you will be provided a link to the SBA Supplemental Pages at the end of your entity management registration. If you would like to provide additional information for market research, or are applying for SBA's HUBzone or 8(a) programs, use that link to complete the SBA Supplemental Pages:

- Select the "Register or Update your SBA Profile" button
- When you click the button, a new window will open and take you to the appropriate SBA page specific for your entity's DUNS number.
- Please make sure go back to the SAM window to submit your registration.

If you want to update your information later using the SBA Supplemental Pages, log into SAM and select the Register/Update Entity link. Locate your current SAM registration record. Select

the option to update the record. On the left navigation bar, click on the section called SBA Certification followed by the page called SBA Profile. This will generate your link to the SBA Supplemental Pages.

If you have questions while you are updating your SBA Profile in DSBS, please contact the Small Business Administration atDSBS@sba.gov. If you want to search DSBS to conduct market research, please go to http://dsbs.sba.gov/dsbs/search/dsp_dsbs.cfm

3.4.5 Submitting the Registration

All mandatory data elements must be completed to submit your registration. If you have done this successfully, you will see a green check mark next to each section in the navigation panel on the left side of the screen.

- Review your registration record in its entirety.
- Click "Edit" to update any necessary information in the registration.
- Click "Submit" to certify that the information is correct.
- SAM will display a confirmation indicating you successfully submitted your registration. You will also receive a confirmation email.

PLEASE NOTE: Your record is NOT yet active

3.4.5.1 Before Your SAM Registration is considered Active

Your entity's registration will NOT be considered active until the following actions take place:

- TIN Match validated by the Internal Revenue Service (IRS). It may take three to five business days from the time you submitted for the IRS to validate new and updated records prior to becoming active in SAM.
- CAGE code or NCAGE code is validated or assigned by DoD, as applicable.

Plan ahead. Allow up to 10 business days after you submit your registration for it to become active in SAM and an additional 24 hours before that registration information is available in other government systems.

You will receive a confirmation email once the registration is activated. At that time, you will be eligible for Federal Financial Assistance from the U.S. Federal Government.

3.5 Registering your Entity if you are interested in Intra-Governmental Transactions

Only Federal agencies can register for Intra-Governmental Transactions (IGTs). This section describes the process of registering a federal government entity for the purpose of being eligible for (IGTs). (IGTs are buying or selling transactions between federal government organizations that are not accomplished by a contract.)

To register an entity for "IGTs," complete the following sections:

- Core Data
- Assertions

- Points of Contact

The navigation panel on the left side of the screen will display your progress through these sections.

3.5.1 Entering Core Data

The first step to register a new entity is to enter core details on your entity. Core Data includes, but is not limited to, an entity's Data Universal Numbering System (DUNS) number and/or Department of Defense Activity Address Code (DoDAAC) (Department of Defense entities only), name, address, and financial information. Core Data is mandatory for all registration types. Since you are performing IGTs, your information will be removed from Public Search but your entity will appear in For Official Use Only (FOUO) searches.

3.5.1.1 Requesting the Addition of a New U.S. Federal Agency on the U.S. Federal Hierarchy

If you are registering a government entity for IGTs Only, the entity must first exist on the SAM Federal Government hierarchy before you can continue. When an entity is placed on the Federal Government hierarchy, this is called a node. The term node indicates that the entity is defined, it exists on the hierarchy, and there is basic information entered for the entity such as name and address. Although an agency's SAM entity registration for federal assistance will expire if not renewed annually, the node entry itself on the hierarchy never expires if the entity is not present on the hierarchy you need to request it be added for more information, see Hierarchy.

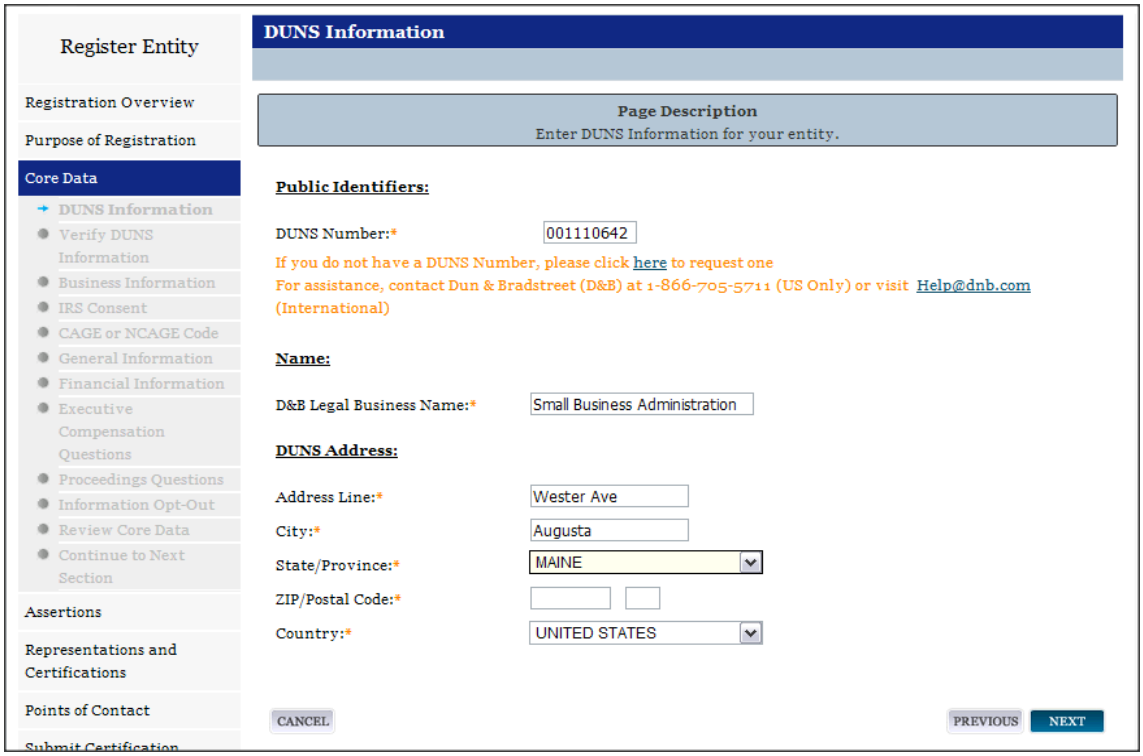
3.5.1.2 Entering a DUNS

For U.S. Federal Civilian agencies the first page is the DUNS information page. (For Department of Defense entities, go to section Entering a DoDAAC). The DUNS number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B). If you need a DUNS number, one will be provided to you, free of charge. Call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform.

On the DUNS information page:

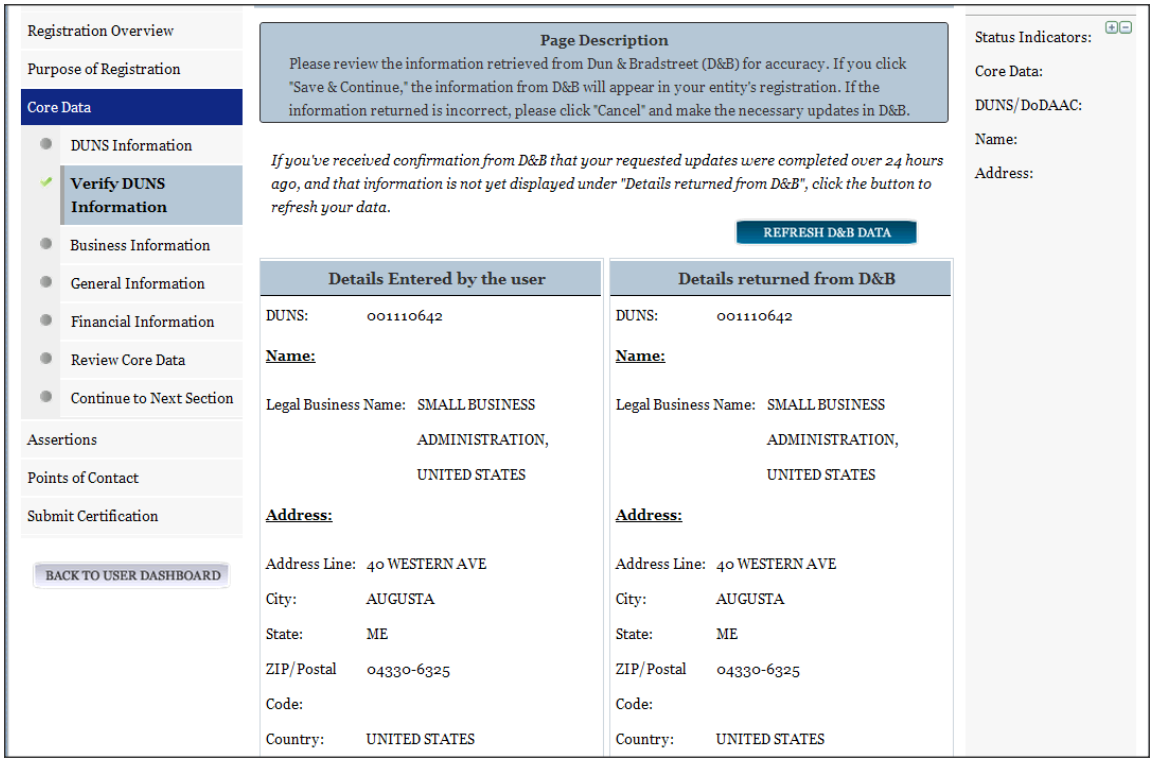
- Enter your DUNS number, D&B Legal Business Name, (this is name that has been registered for your organization at D&B), Address (please remember that the address has to be the same as the address at D&B and must be the physical address of your location) and click "Next."
- This sends your DUNS information to D&B for validation.
- Upon successful validation from D&B, you will be able to continue with your registration.

Figure 3.38: Enter DUNS Information



Once the information you provided has been verified by D&B, you will receive a “side-by-side” screen showing the details you entered compared with the details returned from D&B.

Figure 3.39: Verify DUNS Information

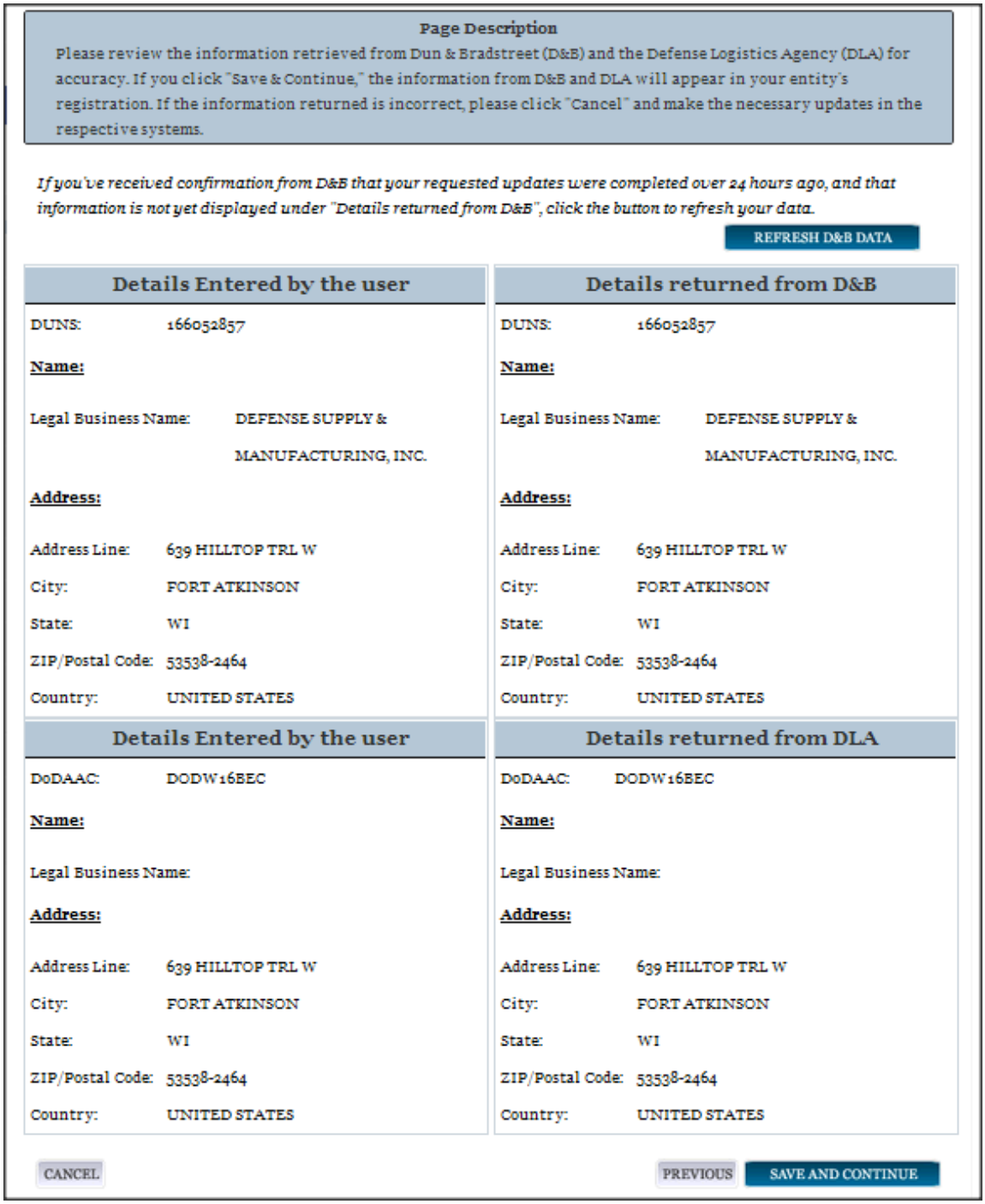


- Review and verify your DUNS information.
- If the data is correct, click “Save and Continue.”
- If the data is incorrect visit the D&B website at http://fedgov.dnb.com/webform to make the necessary changes.
- If you’ve received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under “Details returned from D&B”, click the “Refresh D&B Data” button found on the ‘Verify DUNS Information’ page in SAM to refresh your data.
- Review and verify your DUNS information.
- Click “Save and Continue.”

3.5.1.3 Entering a DODAAC

For U.S. Department of Defense entities, you will enter a DoDAAC. This field should include the letters "DOD" followed by the agency's six-character DoDAAC. If you do not have a DoDAAC, contact your Central Service Point (CSP). If you need to make changes to a DoDAAC or its associated name or address; or do not know your cognizant CSP; contact DoDAADHQ@DLA.MIL.

Figure 3.40: Verify DoDAAC Information



Page Description

Please review the information retrieved from Dun & Bradstreet (D&B) and the Defense Logistics Agency (DLA) for accuracy. If you click "Save & Continue," the information from D&B and DLA will appear in your entity's registration. If the information returned is incorrect, please click "Cancel" and make the necessary updates in the respective systems.

If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the button to refresh your data.

REFRESH D&B DATA

Details Entered by the user		Details returned from D&B	
DUNS:	166052857	DUNS:	166052857
Name:		**Name:**	
Legal Business Name:	DEFENSE SUPPLY & MANUFACTURING, INC.	Legal Business Name:	DEFENSE SUPPLY & MANUFACTURING, INC.
Address:		**Address:**	
Address Line:	639 HILLTOP TRL W	Address Line:	639 HILLTOP TRL W
City:	FORT ATKINSON	City:	FORT ATKINSON
State:	WI	State:	WI
ZIP/Postal Code:	53538-2464	ZIP/Postal Code:	53538-2464
Country:	UNITED STATES	Country:	UNITED STATES

Details Entered by the user		Details returned from DLA	
DoDAAC:	DODW16BEC	DoDAAC:	DODW16BEC
Name:		**Name:**	
Legal Business Name:		Legal Business Name:	
Address:		**Address:**	
Address Line:	639 HILLTOP TRL W	Address Line:	639 HILLTOP TRL W
City:	FORT ATKINSON	City:	FORT ATKINSON
State:	WI	State:	WI
ZIP/Postal Code:	53538-2464	ZIP/Postal Code:	53538-2464
Country:	UNITED STATES	Country:	UNITED STATES

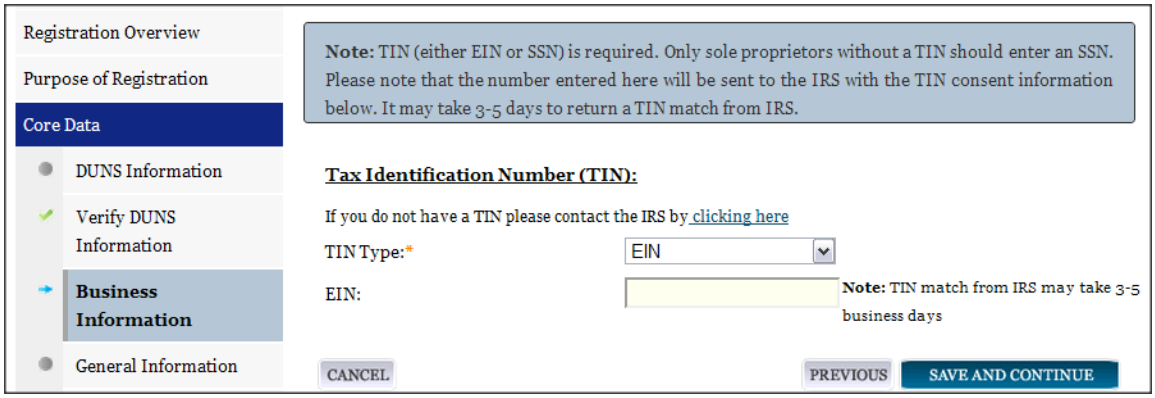
CANCEL PREVIOUS SAVE AND CONTINUE

3.5.1.4 Business Information

After you enter your DUNS number or DoDAAC information and it passed validation, you can enter the business information for your entity.

- Enter the Tax Identification Number (TIN) for your entity. As a U.S. Federal Government agency your TIN Type will be an Employee Identification Number (EIN).
- Click "Save and Continue"

Figure 3.41: Business Information

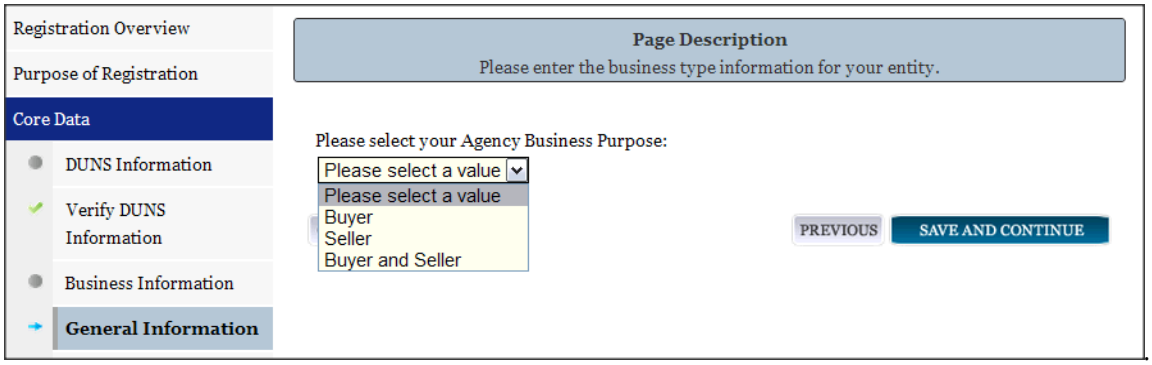


3.5.1.5 General Information Page

Complete the General Information about your entity. General Information includes your entity's business types. See Figure 3.42 for an example of the General Information page.

- Select your agency business purpose. You should select one of the following:
  - Buyer
  - Seller
  - Buyer and Seller

Figure 3.42: General Information Page for IGT



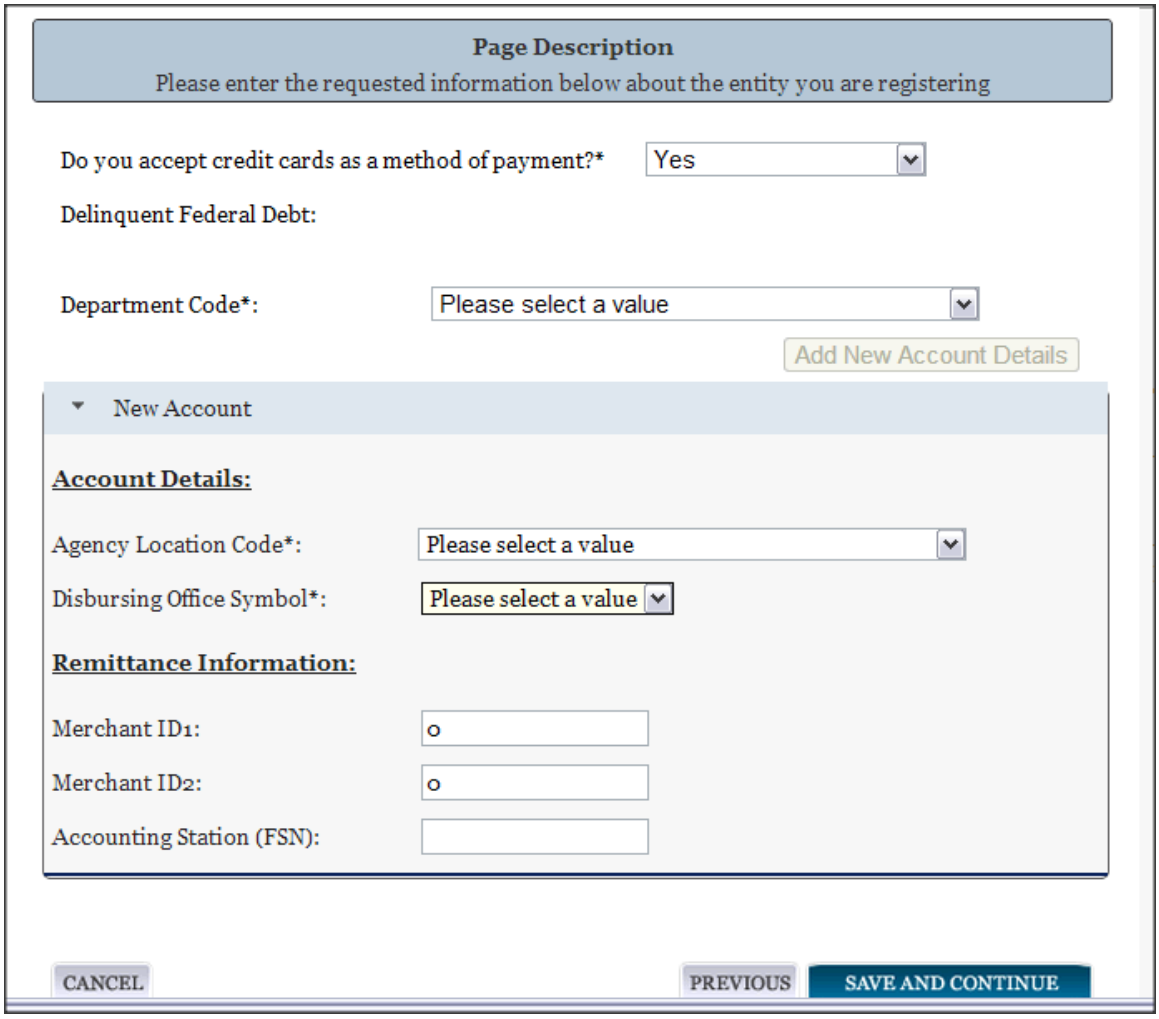
3.5.1.6 Financial Information

On the Financial Information page, you will enter the information necessary for the government to pay you for any goods or services you provide.

- Answer if your entity accepts the Governmentwide purchase card as a method of payment.

- Provide the Department Code which identifies your agency based on the Treasury Index of Agency Codes.
- Enter your Agency Location Code (ALC) which corresponds to the registering office. This must be associated in a one-to-one relationship with the DUNS number. You will then receive a drop-down list based on your agency, and you may choose one. If you do not know which code relates to this office, ask your finance office.
- Enter your Disbursing Office (DO) code assigned by the Treasury IPAC system. You should have only one DO per record.
  - In rare circumstances you may find that you have more than one DO per record. In that case you may need to create a DUNS + 4 or DoDAAC+4 extension after your initial record is active. To do this return to this screen and select the "Add New Account Details" button to add the appropriate information.

Figure 3.43: Financial Information



- Enter your Merchant ID(s). If you have indicated that you accept credit cards and that you are a "Seller" or "Buyer and Seller" then at least one Merchant ID is required. If you work with two different banks to process credit card receipts, you may have two merchant IDs.
- Enter your Accounting Station, which is also referred to as Fiscal Station Number (FSN).
- Click "Save and Continue."

If you are a "Seller" or "Buyer and Seller," proceed to Entering Assertions. If you are a "Buyer" only, proceed directly to Points of Contact.

3.5.2 Entering Assertions

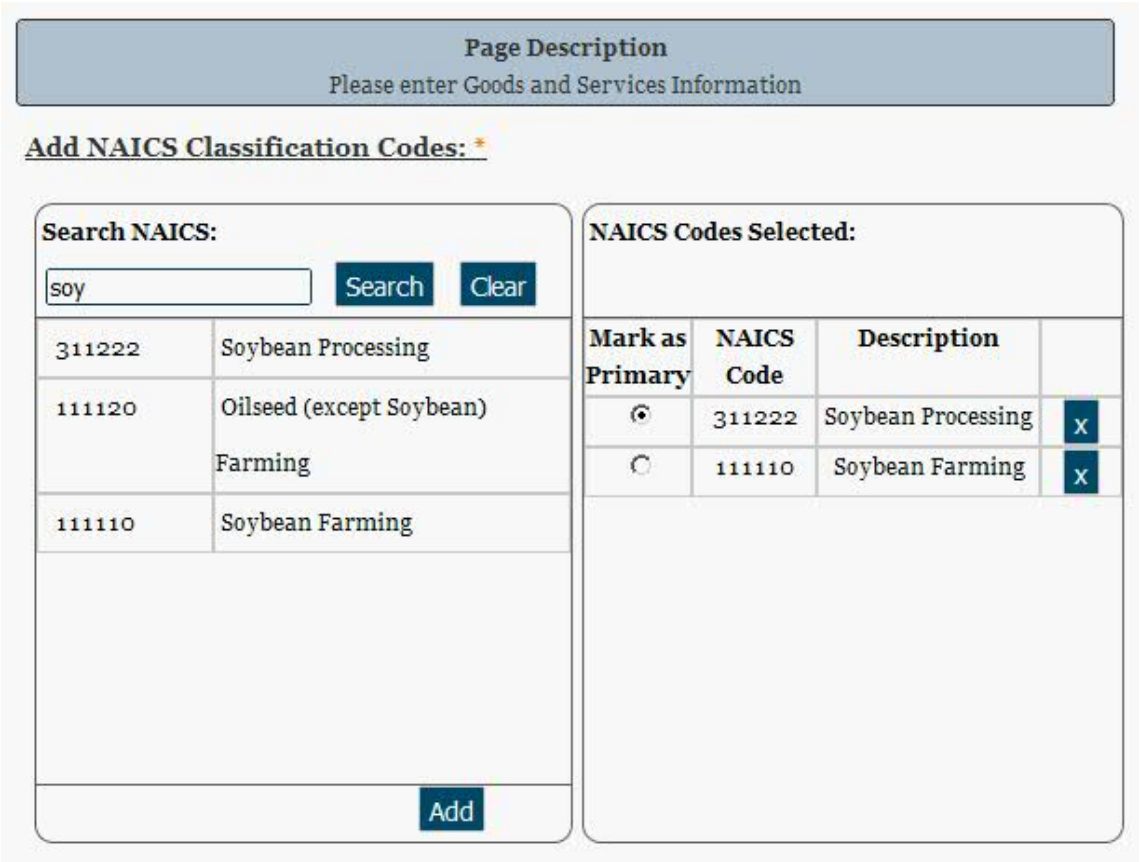
Assertions include information about your entity's size, and the types of products or services you are able to provide to other agencies. You only need to complete the Assertions section if you have indicated that you are a "Seller" or a "Buyer and Seller."

3.5.2.1 Goods and Services

Upon completing your Core Data, enter your entity's goods and services data.

- Enter North American Industry Classification System (NAICS) codes that best represent the type of industry in which your entity does business. You must supply at least one for your registration to be complete.
  - If you do not know your NAICS codes, you may search for your NAICS at http://www.census.gov/epcd/naics07.
  - You can add or change NAICS Codes at any time. Nothing precludes you from bidding on an interagency transaction that has a NAICS code that you have not listed in your record.
- In the "Search NAICS" text box, type in the NAICS code or enter a word description of the type of services your business is involved in.
- Highlight the NAICS codes that are applicable to your entity and click "Add."
- As you select NAICS, the NAICS show up on the right side under "NAICS Codes Selected."
- Select one of the chosen NAICS as your primary NAICS code by clicking the radio button under the "Mark as Primary" column.
- If needed, you can delete a NAICS by clicking the "X" to the right of each NAICS selected.

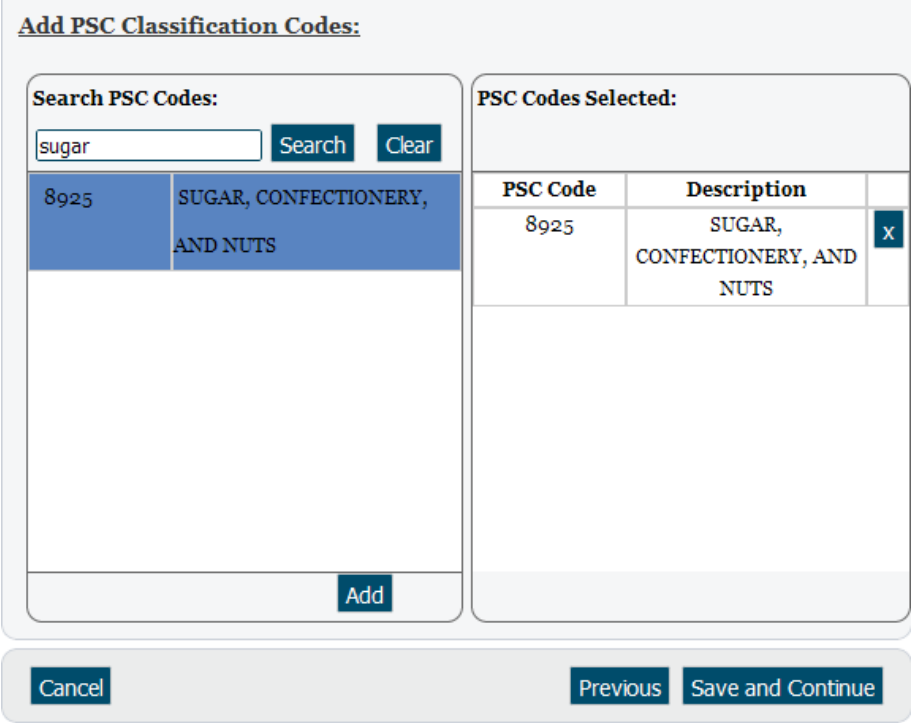
Figure 3.44: Enter NAICS



You also have the option to add Product and Service Codes (PSCs). This section works the same way as the NAICS section. PSC Codes are four-character codes used to identify the types of goods and services your entity can provide. Codes that start with a number indicate types of products, codes that start with a letter indicate types of services. More information about PSCs can be found at https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%2011%20August%202011.pdf.

- Search for your PSCs.
- Highlight the PSCs that are applicable to your entity and click "Add."
- Click "Save and Continue."

Figure 3.45: Select PSC Codes

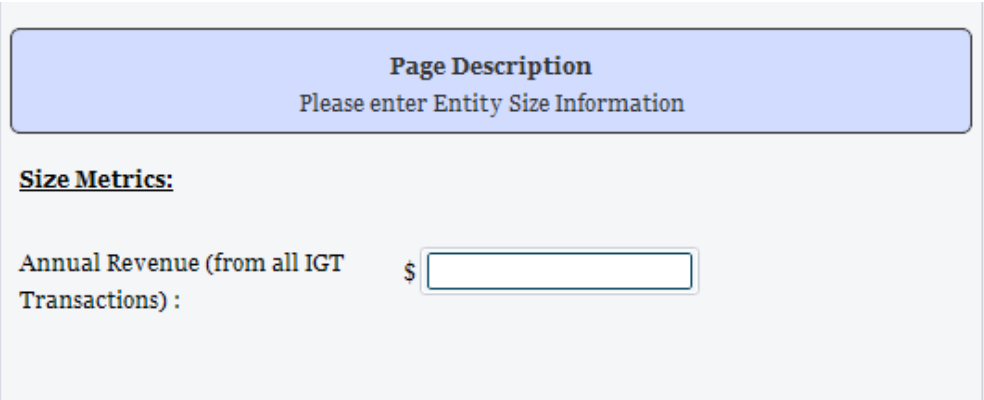


3.5.2.2 Size Metrics

Size metrics for IGT Only registrations only contains one field and that is Annual Revenue (from all IGT Transactions) which is depicted in Figure 3.46.

- Enter your agency's total revenue from IGT sales for the previous fiscal year. This should be for the particular office related to this DUNS number or DoDAAC, not for the agency as a whole.
- When done, click "Save and Continue."

Figure 3.46: IGT – Enter Size Metrics



3.5.3 Entering Points of Contact (POCs)

Before your entity registration is complete, enter your POC information. You will be asked for Mandatory POCs and Optional POCs, based on the information provided earlier in the registration process. All Mandatory POCs must be completed before the registration may be submitted for certification.

3.5.3.1 POC Details

Below (Table 3.3) is a list of the POC types that IGT registrants will see. See the glossary for more information on each POC type

Table 3.3: Intra-Governmental Transactions Points of Contact

POC Name	Mandatory?	Mandatory Data Elements
Eliminations POC	Mandatory	First Name, Last Name, Email, Address, City, Country, Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Accounts Payable POC	Mandatory if Buyer or Buyer and Seller	First Name, Last Name, Email, Address, City, Country, Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Sales POC	Mandatory	First Name, Last Name, Email, Address, City, Country, Phone, State/Province (if US or Canada), and ZIP/Postal Code.
Accounts Receivable POC	Mandatory	First Name, Last Name, Email, Address, City, Country, Phone, State/Province (if US or Canada), and ZIP/Postal Code.

3.5.4 Submitting Your Registration

All mandatory data elements must be completed to submit your registration. If you have done this successfully, you will see a green check mark next to each section in the navigation panel on the left side of the screen.

- Review your registration record in its entirety.
- Click “Edit” to update any necessary information in the registration.
- Click “Submit” to certify that the information is correct.
- SAM will display a confirmation indicating you successfully submitted your registration. You will also receive a confirmation email.

3.6 Registering your Entity if you are interested in Federal Contracts and Intra-Governmental Transactions

This section describes the process of registering a Federal government entity for Federal Contracts and Intra-Governmental Transactions (IGT). By virtue of indicating you are interested in Federal contracts you will also be completing the same screens that someone who is interested

in financial federal assistance has to complete. You will see on the screen that your purpose of registration will display as "All Awards and Intra-Governmental Transactions". Some federal entities have the authority to bid on federal contracts and financial assistance opportunities and also perform IGTs. These instructions are for those entities

To register an entity for "All Awards & IGT," complete the following sections:

- Core Data
- Assertions
- Representations & Certifications
- Points of Contact

The navigation panel on the left side of the screen will display your progress through these sections.

3.6.1 Entering Core Data

The first step to register a new entity is to enter core details on your entity. Core Data includes, but is not limited to, an entity's Data Universal Numbering System (DUNS) number and/or Department of Defense Activity Address Code (DoDAAC) (Department of Defense entities only), name, address, Contractor and Government Entity (CAGE) code or North Atlantic Treaty Organization (NATO) CAGE (NCAGE) code, Taxpayer Identification Number (TIN), general information, financial information, and details about any proceedings the entity may currently be involved in. Core Data is mandatory for all registration types. Once you have completed your Core Data, your entity's information will be displayed in the SAM Public Search. Sensitive data, such as financial information will not ever be displayed, however, if you do not wish to allow the public to search for and view your record, you may "opt-out" of public display. For more information, see Information Opt Out.

3.6.1.1 Requesting the Addition of a New U.S. Federal Agency on the U.S. Federal Hierarchy

Some federal government agencies have the authority to apply for federal financial assistance opportunities. If you are registering a Federal Government entity for All Awards and IGT, the entity must already exist on the SAM Federal Government hierarchy before you can continue. When an entity is placed on the Federal Government hierarchy, this is called a node. The term node indicates that the entity is defined, it exists on the hierarchy, and there is basic information entered for the entity such as name and address. Although an agency's SAM entity registration will expire if not renewed annually, the node entry itself on the hierarchy never expires. If the entity is not present on the hierarchy you need to request it to be added. For more information, see Hierarchy.

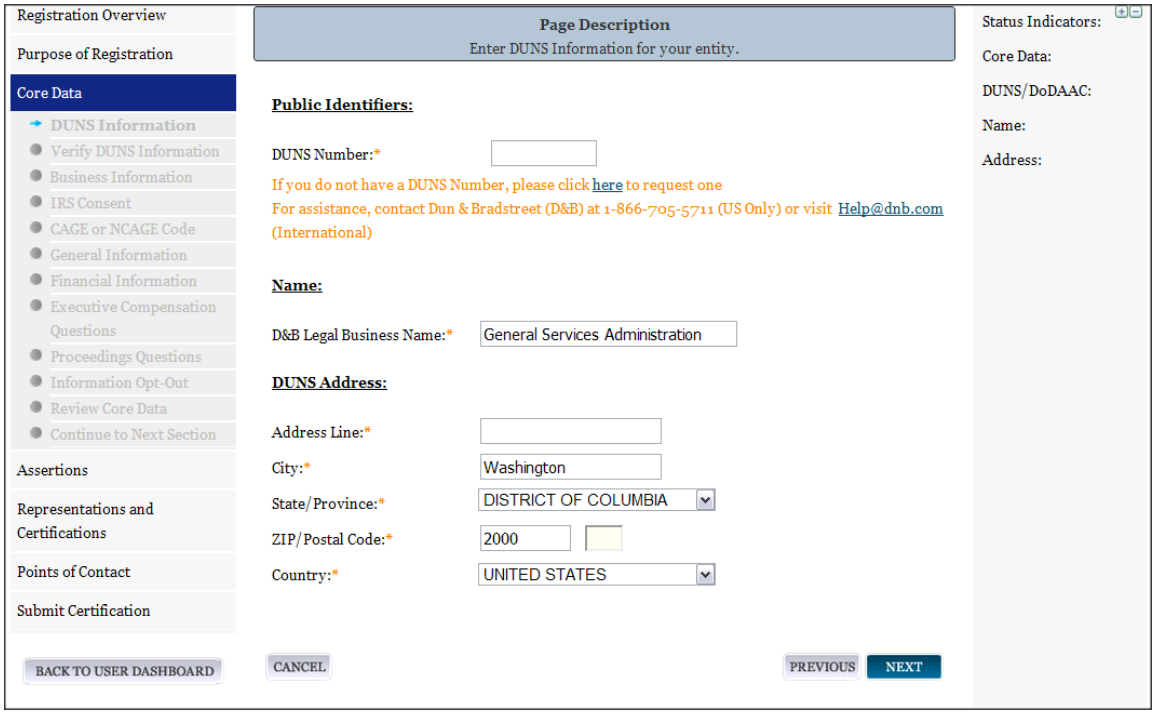
3.6.1.2 Entering a DUNS

The first page is the Data Universal Numbering System (DUNS) information page. The DUNS number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B). If you need a DUNS number, one will be provided to you, free of charge. Call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform.

On the DUNS information page:

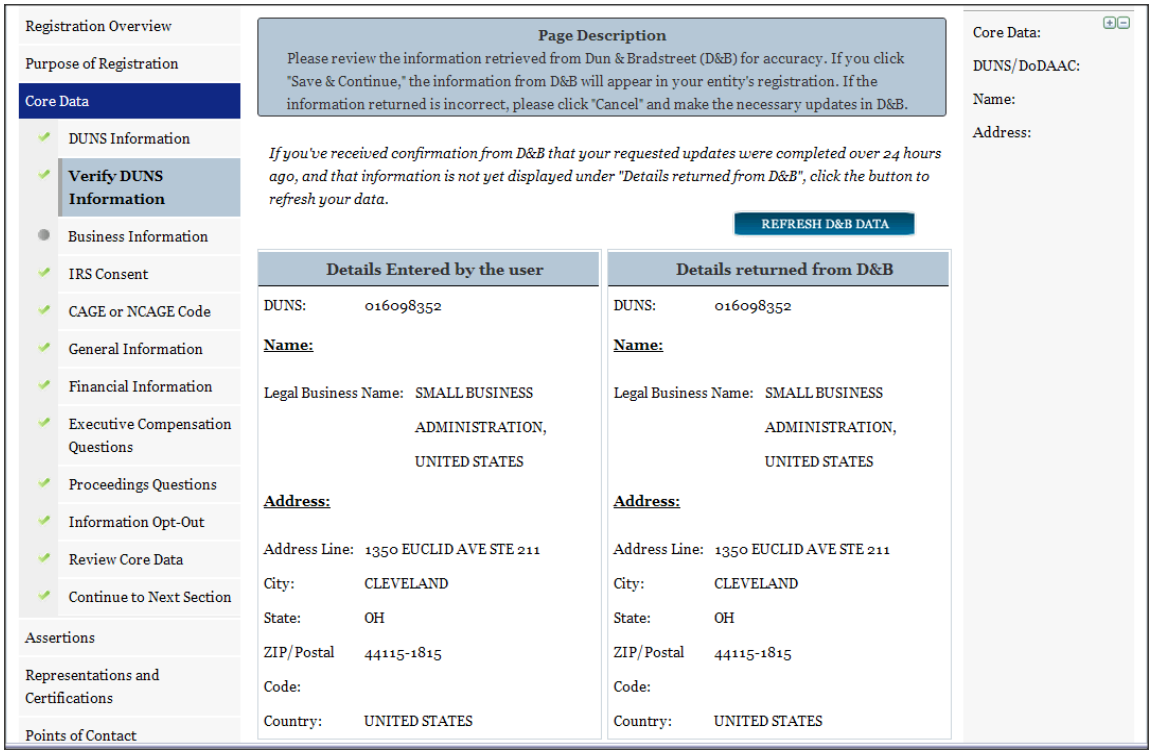
- Enter your DUNS number, D&B Legal Business Name (this is name that has been registered for your organization at D&B), Address (please remember that the address has to be the same as the address at D&B and must be the physical address of your location) and click "Next."
- This sends your DUNS information to D&B for validation.
- Upon successful validation from D&B, you will be able to continue with your registration.

Figure 3.47: Enter DUNS Information



Once the information you provided has been verified by D&B, you will receive a "side-by-side" screen showing the details you entered compared with the details returned from D&B.

Figure 3.48: Verify DUNS Information



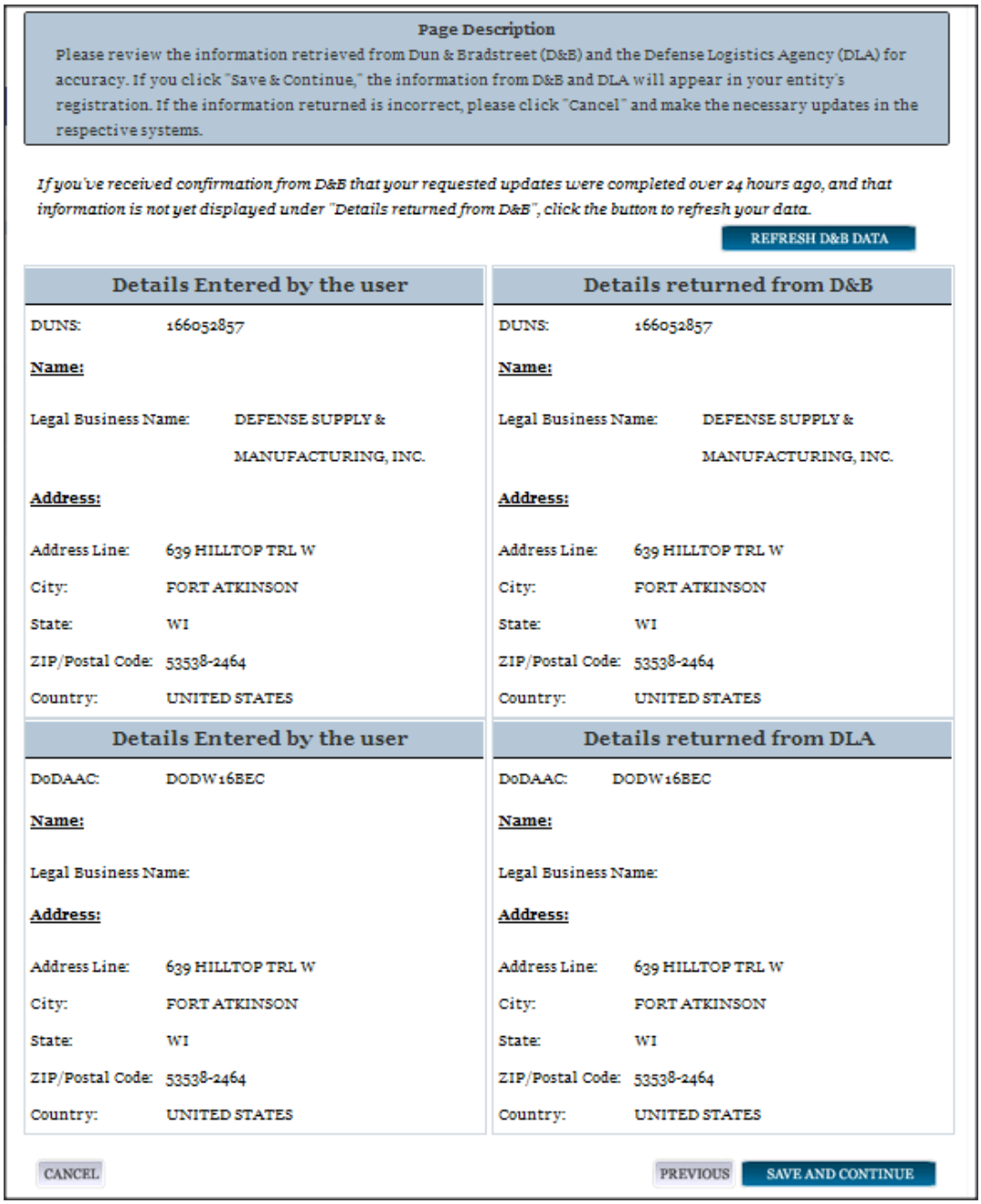
- Review and verify your DUNS information.
- If the data is correct, click "Save and Continue."
- If the data is incorrect, visit the D&B website at http://fedgov.dnb.com/webform to make the necessary changes.
- If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the "Refresh D&B Data" button found on the 'Verify DUNS Information' page in SAM to refresh your data.
- Review and verify your DUNS information.
- Click "Save and Continue."

3.6.1.3 Entering a DODAAC

As a Department of Defense entity, you will enter both a DUNS number and a DoDAAC. This field should include the letters "DOD" followed by the agency's six-character DoDAAC. If you do not have a DoDAAC, contact your Central Service Point (CSP). If you need to make changes to a DoDAAC or its associated name or address; or do not know your cognizant CSP; contact DoDAADHQ@DLA.MIL.

The DUNS number is your primary address. If the DUNS number and DoDAAC information are different, the information received from D&B will be the primary identifier for your registration in SAM. Once you submit your entity's information, review and verify that the information received is correct.

Figure 3.49: Verify DoDAAC Information



Page Description

Please review the information retrieved from Dun & Bradstreet (D&B) and the Defense Logistics Agency (DLA) for accuracy. If you click "Save & Continue," the information from D&B and DLA will appear in your entity's registration. If the information returned is incorrect, please click "Cancel" and make the necessary updates in the respective systems.

If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the button to refresh your data.

REFRESH D&B DATA

Details Entered by the user		Details returned from D&B	
DUNS:	166052857	DUNS:	166052857
Name:		**Name:**	
Legal Business Name:	DEFENSE SUPPLY & MANUFACTURING, INC.	Legal Business Name:	DEFENSE SUPPLY & MANUFACTURING, INC.
Address:		**Address:**	
Address Line:	639 HILLTOP TRL W	Address Line:	639 HILLTOP TRL W
City:	FORT ATKINSON	City:	FORT ATKINSON
State:	WI	State:	WI
ZIP/Postal Code:	53538-2464	ZIP/Postal Code:	53538-2464
Country:	UNITED STATES	Country:	UNITED STATES

Details Entered by the user		Details returned from DLA	
DoDAAC:	DODW16BEC	DoDAAC:	DODW16BEC
Name:		**Name:**	
Legal Business Name:		Legal Business Name:	
Address:		**Address:**	
Address Line:	639 HILLTOP TRL W	Address Line:	639 HILLTOP TRL W
City:	FORT ATKINSON	City:	FORT ATKINSON
State:	WI	State:	WI
ZIP/Postal Code:	53538-2464	ZIP/Postal Code:	53538-2464
Country:	UNITED STATES	Country:	UNITED STATES

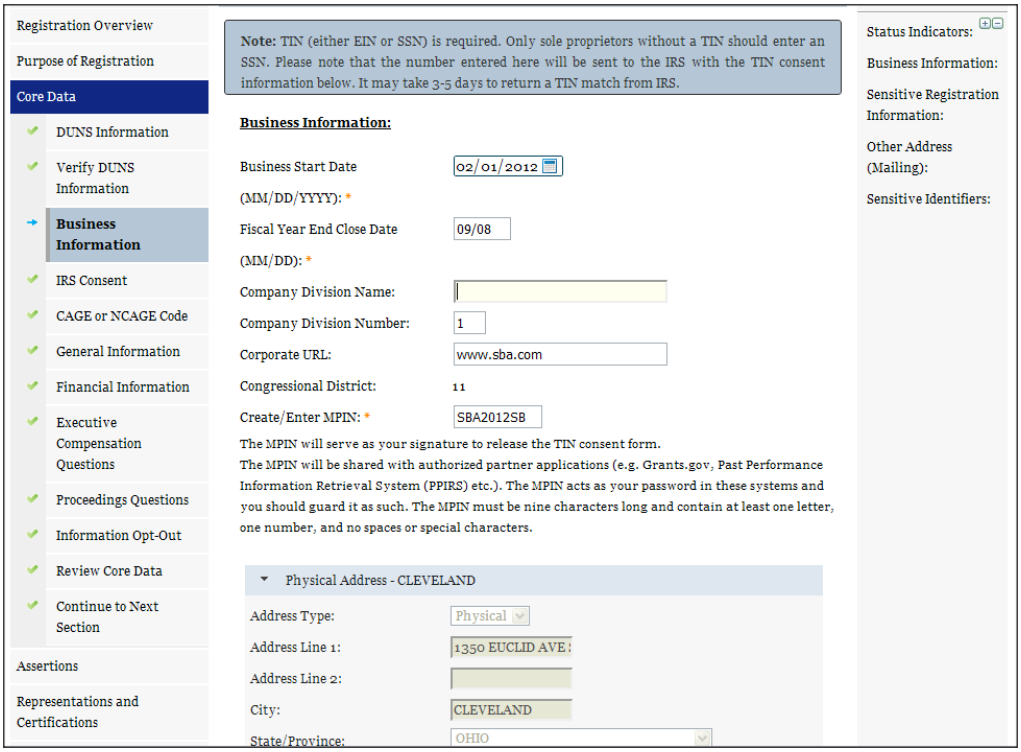
CANCEL PREVIOUS SAVE AND CONTINUE

3.6.1.4 Business Information

After you enter your DUNS information and it passed validation, you can enter the business information for your entity. See Figure 3.50.

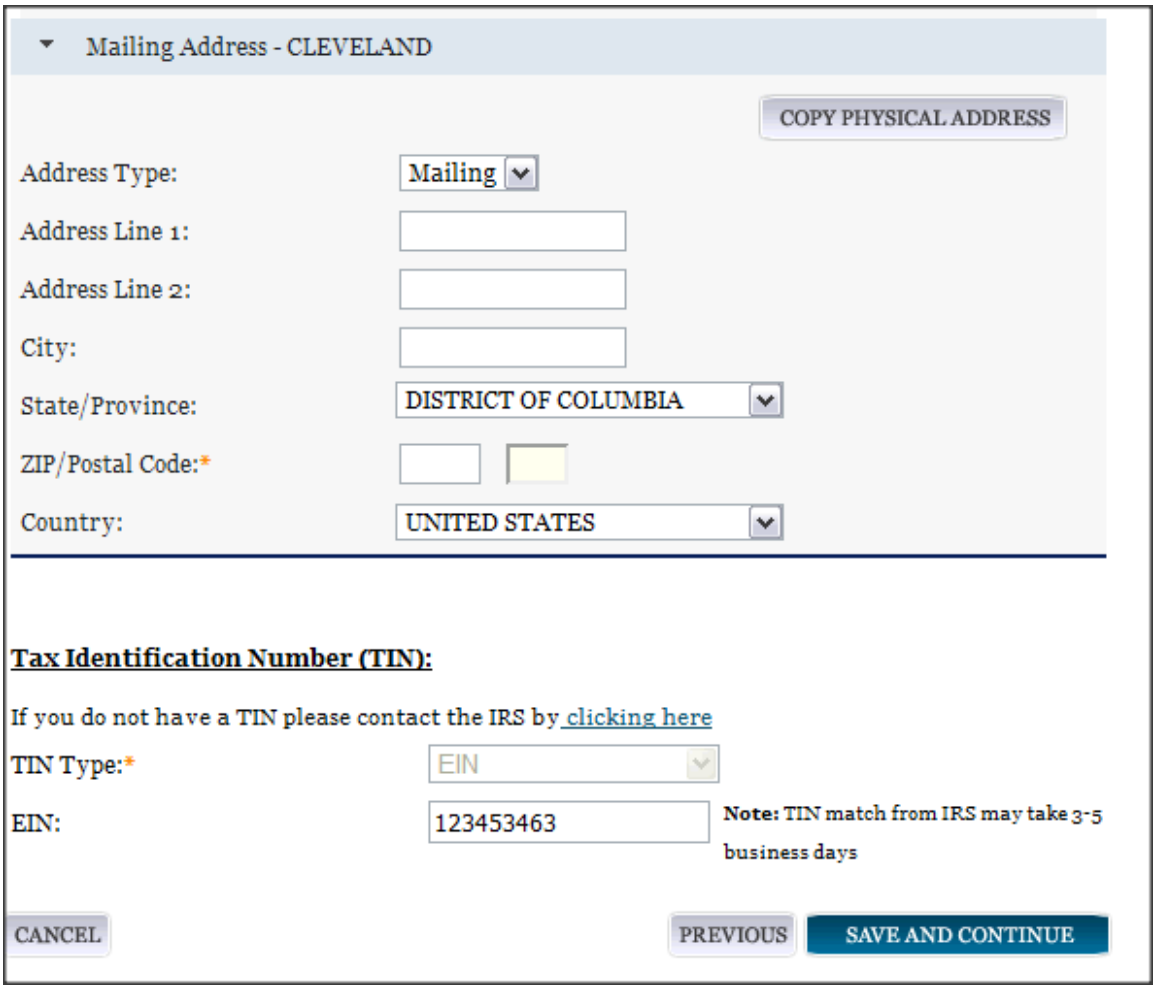
- Enter your business start date.
- Enter the date on which your company's fiscal year ends.
- Enter your company division name and number (if applicable).
- Enter your company's URL (if applicable).
- Congressional District will be pre-filled for you by the system based on your zip code (if applicable).
- Next, you must create your Marketing Partner Identification Number (MPIN). The MPIN will be used to provide you access to other systems, such as Grants.gov and Past Performance Information Retrieval System (PPIRS). Your MPIN acts as your password in these systems so you should guard it as such. A MPIN is required even if you do not anticipate usage of authorized MPIN systems. If you pay U.S. taxes you will also need your MPIN in an upcoming screen so please be sure to remember it. The MPIN must contain nine characters; at least one letter and one number character each. It should not contain spaces or special characters. You may change the MPIN at any time.
- Your physical address will appear next. This is pre-filled from the D&B address associated with your DUNS number. Your physical address is the location of your building.

Figure 3.50: Business Information Part 1



- Next associate a mailing address to the entity. Click "Copy Physical Address" if your mailing address is the same as the physical address.
- Enter the Tax Identification Number (TIN) for your entity. The type of TIN number you may enter include is:
  - Employee Identification Number (EIN)
- Click "Save and Continue"

Figure 3.50: Business Information Part 2



3.6.1.5 IRS TIN Consent

This consent screen allows SAM to validate your TIN with the Internal Revenue Service. This is a requirement before your registration can be activated.

Complete the TIN consent form by entering the following:

- Taxpayer Name. NOTE: Your "Taxpayer Name" might not be the same name as your "D&B Legal Name" name. For example, your D&B Legal Name is "SAM, LLC," but your

Taxpayer Name is "System for Award Management, LLC." To find your Taxpayer Name, review your tax statements from the IRS (such as a 1099 or W-2/W-4 form). **Please note that if you do not enter your Taxpayer Name correctly, activation of your registration will be delayed.**

Figure 3.51: IRS Consent Form Part 1

CONSENT TO DISCLOSURE OF TAX INFORMATION

I hereby authorize the Internal Revenue Service (IRS) to validate that the legal Business Name and the Taxpayer Identification Number (TIN) (Employer Identification Number or Social Security Number) provided by the registrant matches or does not match the name and/or name control and TIN in the files of the IRS for the most current tax year reported.

Pursuant to 26 U.S.C. 6103(c), I hereby authorize the Internal Revenue Service (IRS) to disclose to the officers and employees of the System for Award Management (SAM) Program Office whether the name and/or name control and TIN provided in connection with this registration is the TIN maintained in IRS files for **SMALL BUSINESS ADMINISTRATION, UNITED STATES** for the most current tax year reported. I recognize that this validated TIN will reside on SAM and will be accessible to Federal Government procurement officials and other Government personnel performing managerial review and oversight, for use in all Governmental business activities including tax reporting requirements and debt collection.

For questions about your EIN, please call the IRS at 1-866-255-0654. For questions about your SSN, please call the Social Security Administration at 1-800-772-1213. In addition by providing the following information, I certify that I have the authority to execute this consent for the disclosure of this return information on behalf of the registrant.

Upon completion of this page all information required to perform the TIN match will be sent to IRS. Please confirm all information is accurate before proceeding as it will not be editable.

TIN Consent:

Note: The TIN will not be validated unless the Taxpayer Name is an exact match of the name that the IRS has on file for your entity according to its most recent tax return. Please note that this may be different than the Legal Business Name. When you enter your Taxpayer Name, only use letters, numbers, spaces, hyphens (-) and ampersands (&); omit any other special characters that are part of the business name.

Tax Payer Name*: Tax Payer

Taxpayer Identification Number(TIN): 123453463

- Taxpayer Name. NOTE: Your Taxpayer Name might not be the same name as your "D&B Legal Name" name. For example, your D&B Legal Name is "SAM, LLC," but your Taxpayer Name is "System for Award Management LLC." To find your Taxpayer Name,

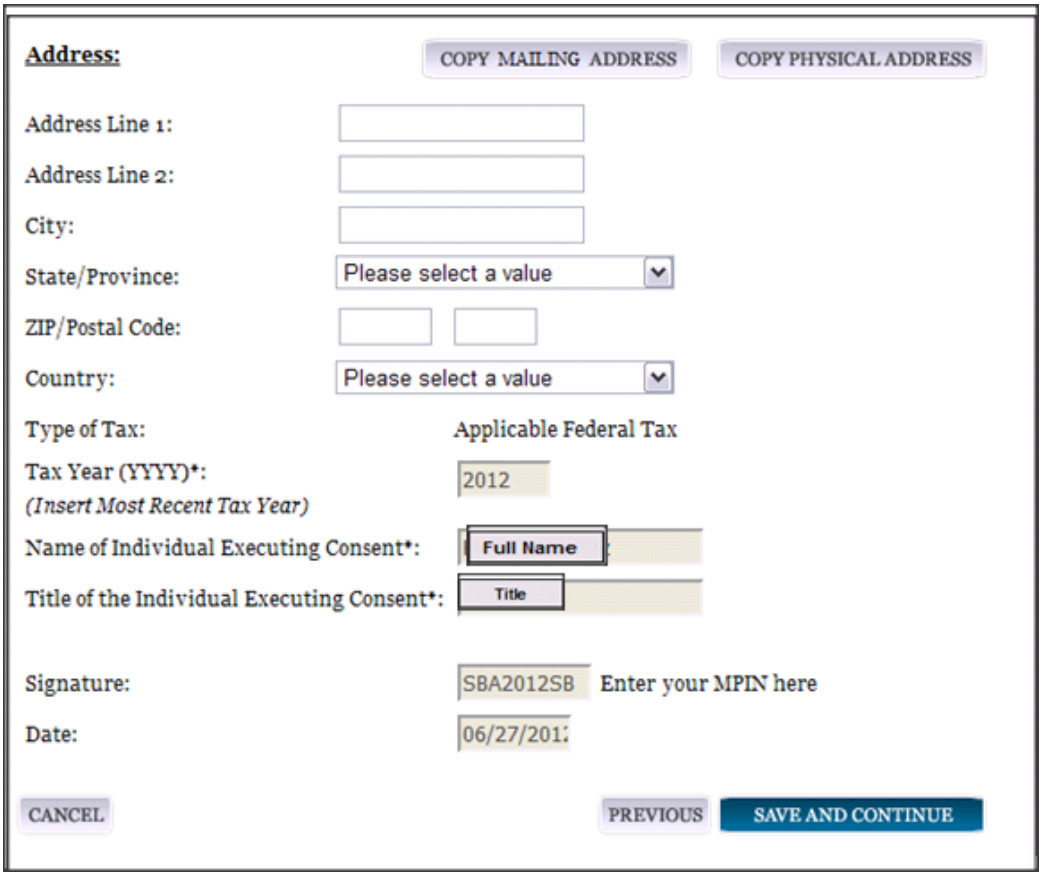
review your tax statements from the IRS (such as a 1099 or W-2/W-4 form). When you enter your Taxpayer Name in SAM only use letters, numbers, spaces, hyphens (-) and ampersands (&) and omit any other special characters. **Please note that if you do not enter your Taxpayer Name correctly, activation of your registration will be delayed.**

- Tax Identification Number (TIN). This will be pre-filled with the EIN you entered on the Business Information page.
- Taxpayer Address. Enter the address that the IRS has on file for your entity. You may click the "Copy Mailing Address" or "Copy Physical Address" buttons to use one of the addresses you have previously entered.
- Type of Tax. This will be pre-filled as Applicable Federal Tax.
- Tax Year. Enter the most recent year you have filed taxes for.
- Signature (MPIN). The value you enter here must match the value for the MPIN you created on the Business Information Page.

See Figure 3.51 for an example of the TIN page and the data elements that are needed.

- If the data is correct, click "Save and Continue."

Figure 3.51: IRS Consent Form Part 2

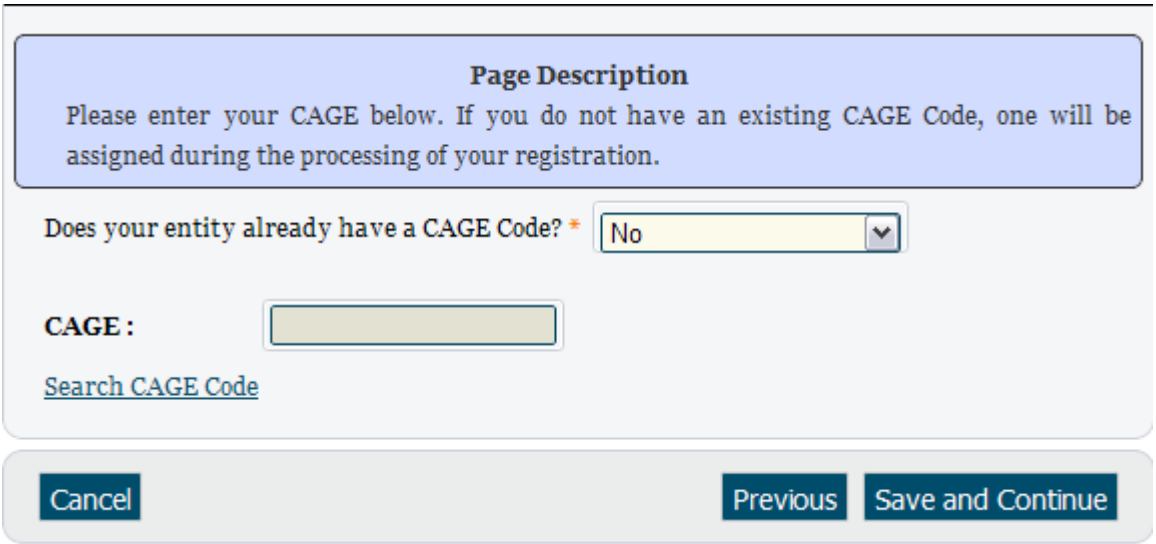


3.6.1.6 CAGE Code

You will now be on the "CAGE Code" page. The Commercial and Government Entity (CAGE) code is a five-character ID number which is assigned to entities located in the United States by the Defense Logistics Agency's (DLA's) Logistics Information Service , under North Atlantic Treaty Organization (NATO) procedures, and used within the Federal Government. All U.S. entities must pass a CAGE code validation process.

- Answer the question, "Does your entity already have a CAGE code?"
  - If you are not sure whether or not you have a CAGE code, click the "Search CAGE code" link to check. (http://www.dlis.dla.mil/BINCS/begin_search.aspx) to check
- If you answered "Yes," enter your CAGE code in the next field.
- If you answered "No," then a CAGE code will automatically be assigned to your entity o once you submit your entity's registration and the TIN validation has been returned.
- Click "Save and Continue."

Figure 3.52: CAGE Code



For more details on the CAGE Code, see the online content glossary located to the right in your SAM registration or refer to the glossary in the appendix.

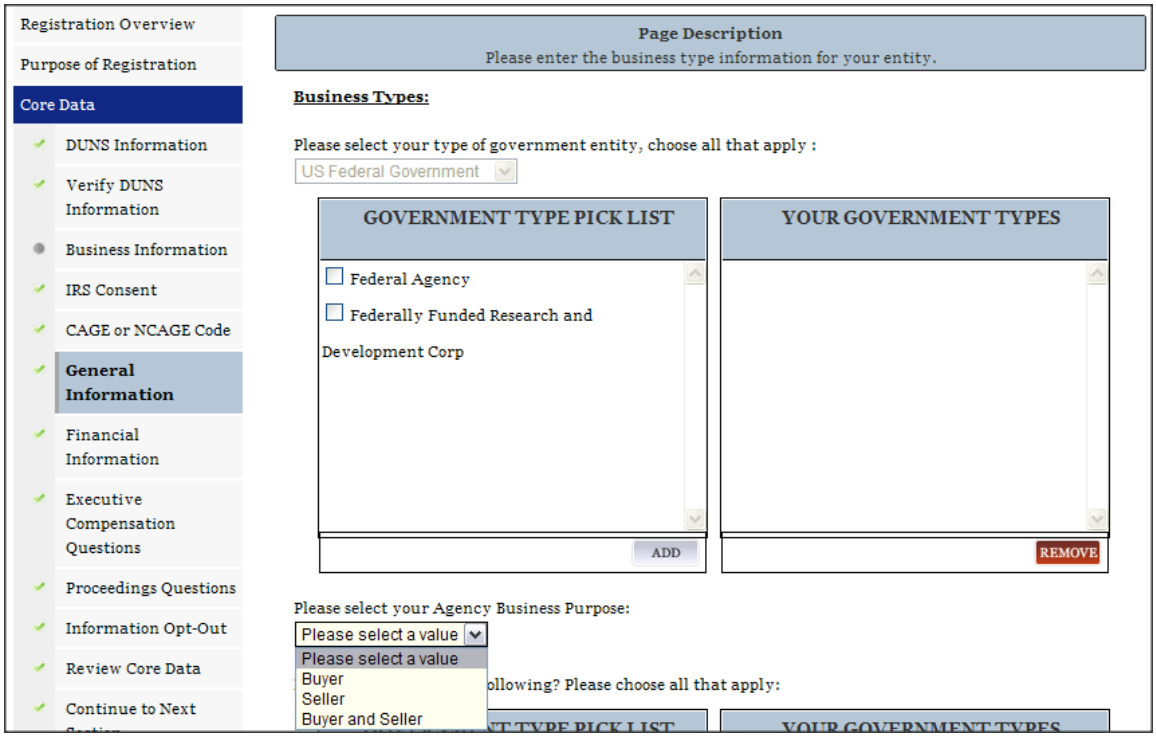
3.6.1.7 General Information Page

Complete the General Information about your entity. General Information includes the business types for your entity, your entity's business purpose (Buyer or Seller) and other identifiers. A Content Glossary is located to the right of the page that provides details about each data element. See Figure 3.53 for an example of the General Information page.

Fill out your Business Information:

- Select your company's security level and highest employee security
- Select the Business Types that are applicable to your entity.
- The categorization of your entity as a government organization is pre-filled based on your purpose of registration.
- Your Government Type is also pre-filled based on your purpose of registration.
  - U.S. Federal Government
- Check the box next to the type you wish to select and click "Add;"
  - Federal Agency
  - Federally Funded Research and Development Corporation
- Select your agency business purpose. You should select one of the following:
  - Buyer
  - Seller
  - Buyer and Seller

Figure 3.53: General Information Part 1



- Indicate if your entity is one of the following by using the picklist provided. Check the box next to the type you wish to select and click "Add":
  - Airport Authority

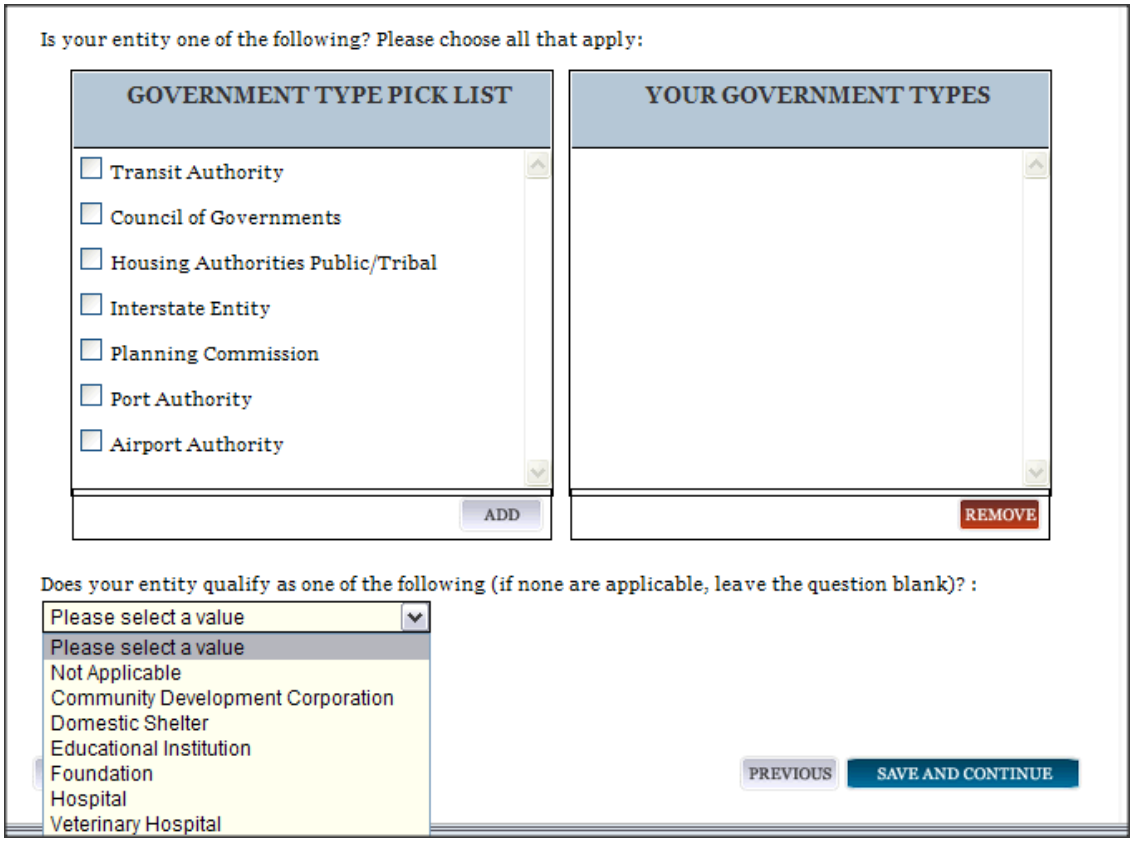
- Council of Governments
- House Authority Public/Tribal
- Interstate Entity
- Planning Commission
- Port Authority
- Transit Authority

- Indicate if your entity qualifies as one of the following:
  - Community Development Corporation
  - Domestic Shelter
  - Educational Institution. If you select Educational Institution these additional options will appear:
    - 1862 Land Grant College
    - 1890 Land Grant College
    - 1994 Land Grant College
    - Historically Black College or University (HCBU)
    - Minority Institutions
    - Private Universtiy or College
    - School of Forestry
    - Hispanic Servicing Institution
    - State Controlled Institution of Higher Learning
    - Tribal College
    - Veterinary College
    - Alaskan Native Servicing Institution (ANSI)
    - Native Hawaiian Servicing Institution (NHSI)
  - Foundation
  - Hospital
  - Veterinary Hospital
- Indicate if you are a Federally Recognized Native American Entity by selection all of the options that apply:
  - Alaskan Native Corporation Owned Firm
  - American Indian Owned
  - Indian Tribe (Federally Recognized)

- Native Hawaiian Organization Owned Firm
- Tribally Owned Firm

- Click "Save and Continue"

Figure 3.53: General Information Part 2



3.6.1.8 Financial Information

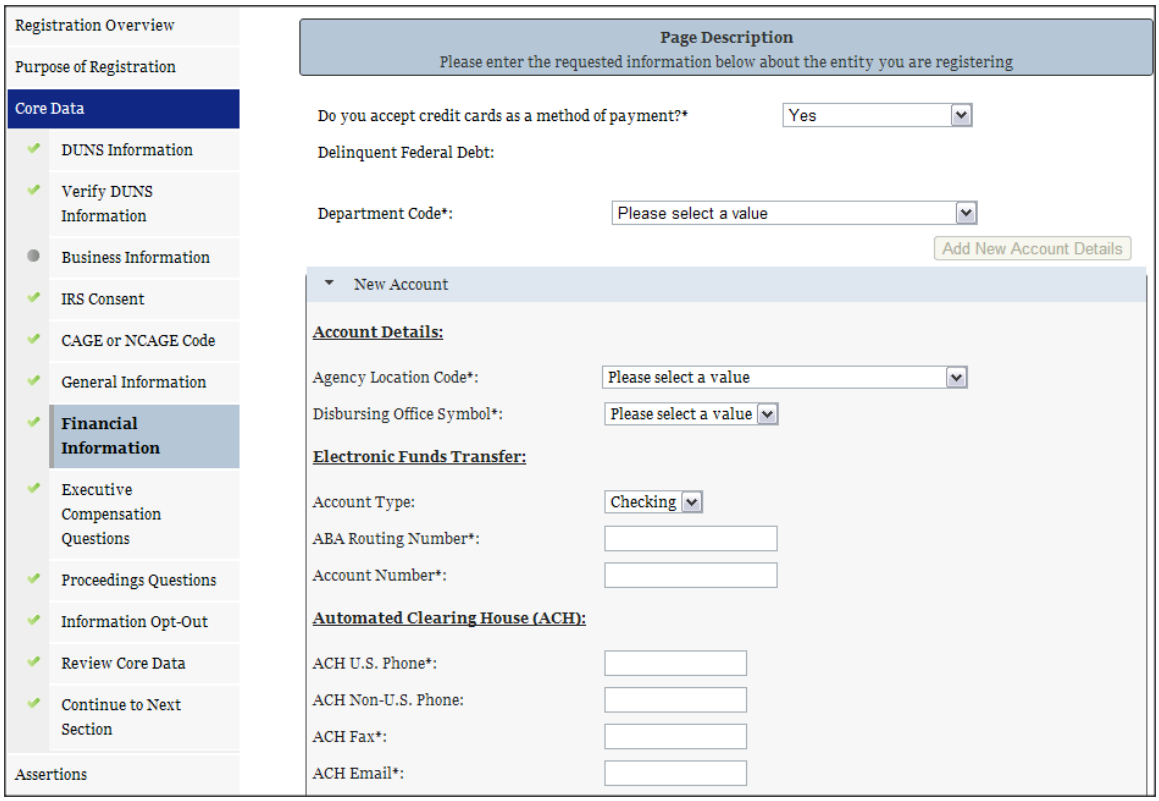
On the Financial Information page, you will enter the information necessary for the government to pay you for any goods or services you provide. If you do not have the information necessary to complete this page, contact your bank or financial institution.

- Answer if your entity accepts the Governmentwide purchase card as a method of payment.
- You are asked for are the Department Code, which identifies the agency based on the Treasury Index of Agency Codes.
- Enter your Agency Location Code (ALC) which corresponds to the registering office. This must be associated in a one-to-one relationship with the DUNS number. You will then receive a drop-down list based on your agency, and you may choose one. If you do not know which code relates to this office, ask your finance office.
- Enter your Disbursing Office (DO) code assigned by the Treasury IPAC system. You should have only one DO per record.

  - In rare circumstances you may find that you have more than one DO per record. In that case you may need to create a DUNS + 4 or DoDAAC+4 extension after your initial record is active. To do this return to this screen and select the "Add New Account Details" button to add the appropriate information.

- Enter your Merchant ID(s). If you have indicated that you accept credit cards and that you are a "Seller" or "Buyer and Seller" then at least one Merchant ID is required. If you work with two different banks to process credit card receipts, you may have two merchant IDs.
- Enter your Accounting Station, which is also referred to as Fiscal Station Number (FSN).

Figure 3.54: Financial Information Part 1

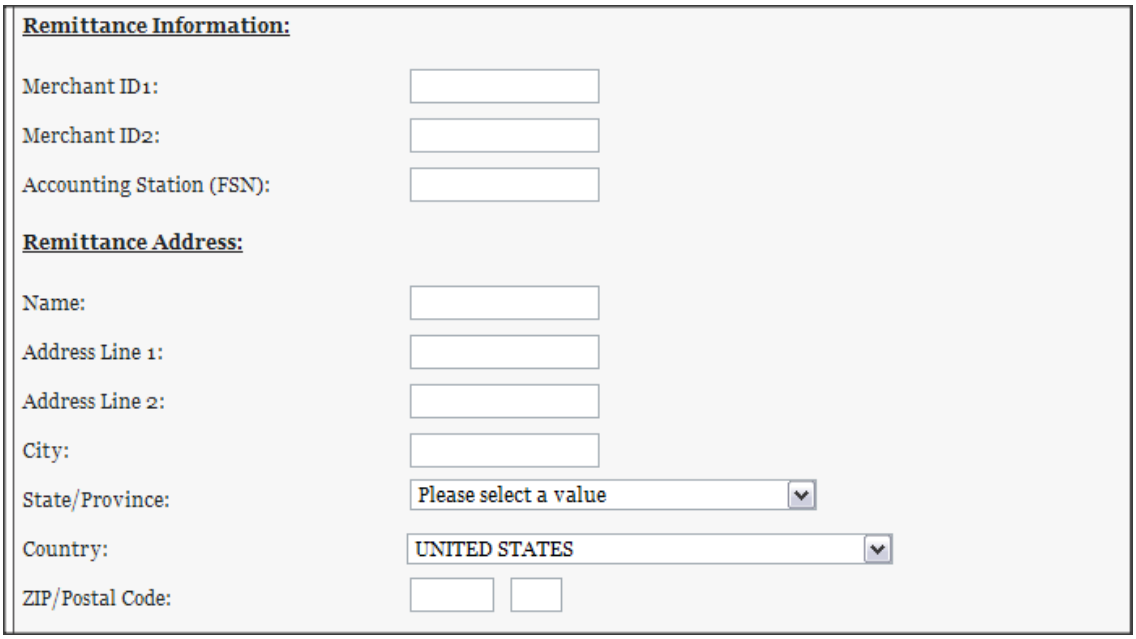


- Enter your Electronic Fund Transfer (EFT) information. The name of your financial institution will be filled in automatically once you have entered a valid American Bankers Association Routing Number.
- Provide information about the Automated Clearing House (ACH) department of your bank. This is necessary should problems occur with your EFT transfer; payment locations must have a bank contact to call. At least one of the following methods of contact is required unless you are a non-U.S. registrant doing business outside the U.S. or a U.S. Federal Government Agency. If you do not have this information available you will need to contact your bank.
  - Phone (U.S. or Non-U.S.)

  - Email
  - Fax

- Enter your remittance information. The remittance name and address information is mandatory data. This information will be used to mail you a paper check in the event that an EFT transfer does not work. If you use a lockbox and want checks mailed directly to the bank, use the bank's name and address here.
- Click "Save and Continue."

Figure 3.54: Financial Information Part 2



3.6.1.9 Executive Compensation Questions

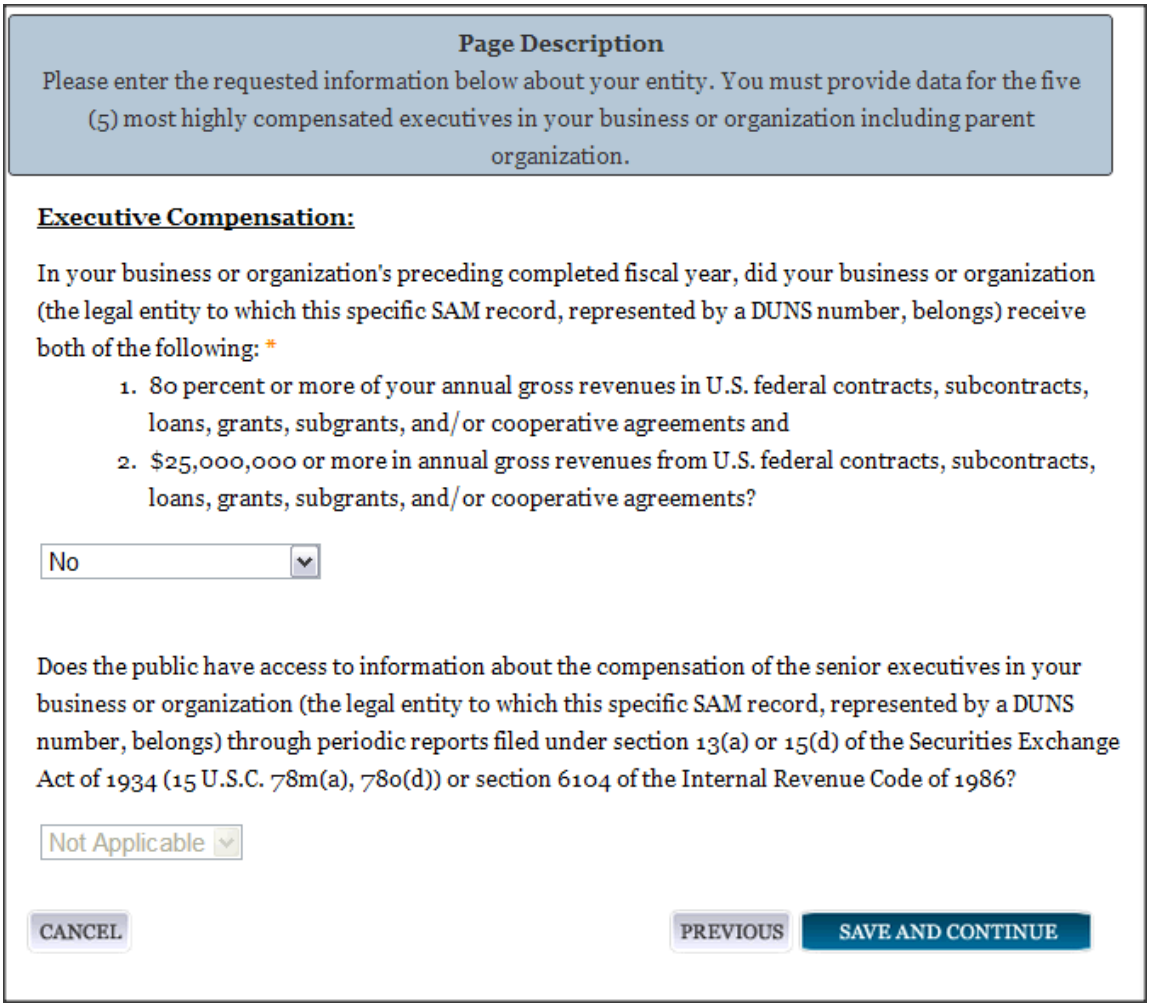
In the Executive Compensation section, you are asked to provide information which supports the Federal Funding Accountability and Transparency Act (FFATA) of 2006, as amended, reporting requirements. You may also refer to Public Law 110-252 dated June 30, 2008, Chapter 2, Section 6202.

- If you answer "Yes" for the first question on Executive Compensation, you will be asked to answer an additional question shown in Figure 3.55.
- If you answer "No" to the second question, you must provide additional details on the following page.
- If required, you must provide the following details for the five (5) most highly compensated executives for your entity:
  - Name - You must provide your top 5 executive compensated employees' names. "Executive," means officers, managing partners, or any other employees in management positions.

- Title
- Total Compensation value - "Total compensation" means the cash and non-cash dollar value earned by the executive during the entity's preceding completed fiscal year. For more information on complete listing please review here.

The salary and compensation information you provide will not be publicly viewable in SAM, however, it will be made public in accordance with FFATA. This Act requires this information to be supplied to the public (via usaspending.gov) in relation to federal awards (including federal contracts, federal financial assistance and expenditures) you receive, if applicable.

Figure 3.55: Executive Compensation

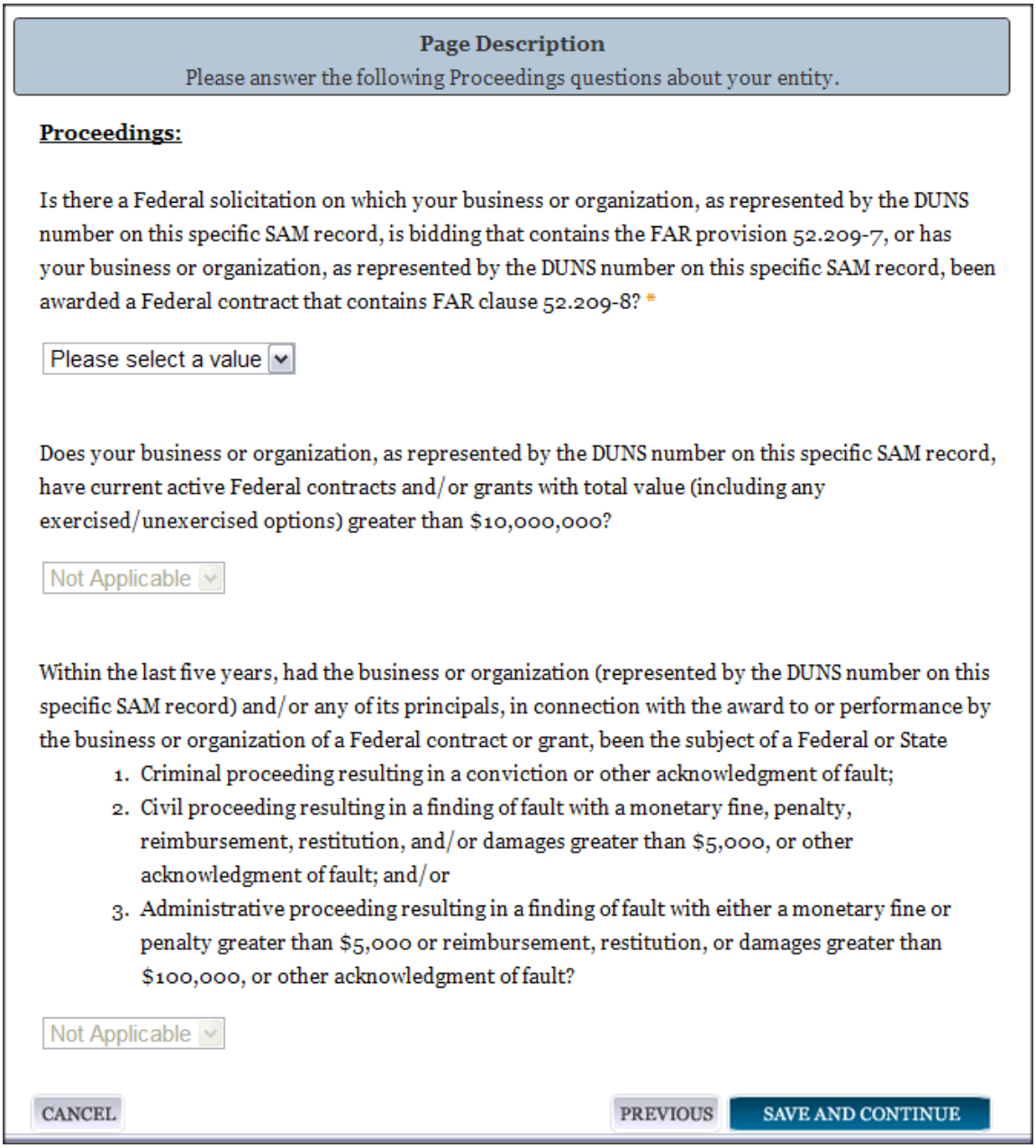


- After answering the questions, click “Save and Continue.”

3.6.1.10 Proceedings Information

You may be required to provide proceedings data about entity. You must answer up to three (3) qualifying questions to determine if this information is required. The questions you will be asked are displayed in Figure 3.56.

Figure 3.56: Proceedings Questions



Page Description
Please answer the following Proceedings questions about your entity.

Proceedings:

Is there a Federal solicitation on which your business or organization, as represented by the DUNS number on this specific SAM record, is bidding that contains the FAR provision 52.209-7, or has your business or organization, as represented by the DUNS number on this specific SAM record, been awarded a Federal contract that contains FAR clause 52.209-8? *

Please select a value

Does your business or organization, as represented by the DUNS number on this specific SAM record, have current active Federal contracts and/or grants with total value (including any exercised/unexercised options) greater than $10,000,000?

Not Applicable

Within the last five years, had the business or organization (represented by the DUNS number on this specific SAM record) and/or any of its principals, in connection with the award to or performance by the business or organization of a Federal contract or grant, been the subject of a Federal or State

1. Criminal proceeding resulting in a conviction or other acknowledgment of fault;
2. Civil proceeding resulting in a finding of fault with a monetary fine, penalty, reimbursement, restitution, and/or damages greater than $5,000, or other acknowledgment of fault; and/or
3. Administrative proceeding resulting in a finding of fault with either a monetary fine or penalty greater than $5,000 or reimbursement, restitution, or damages greater than $100,000, or other acknowledgment of fault?

Not Applicable

CANCEL PREVIOUS SAVE AND CONTINUE

If you answer "Yes" to all of the questions you must provide the following detailed information about each current proceeding against your entity:

- Instrument
- State

- Instrument Number
- Type of Proceeding
- Disposition
- Description of the Proceeding

Proceedings Information entered on or after April 15, 2011 is available to the public through the Federal Awardee Performance and Integrity Information System (FAPIIS) in accordance with the passing of the Supplemental Appropriations Act of 2010 (Section 3010 of Pub. L. 111-112).

- After answering the questions, click “Save and Continue.”

3.6.1.11 Information Opt-Out

Registrants were allowed to opt-out of public display of their record within SAM. Opting out may result in a reduction in Federal Government business opportunities, and subcontractors who choose this option will not be visible to prime contractors. Entities that have opted out will be removed only from the SAM public search, but will still be visible to users with For Official Use Only data access and will be provided in accordance with Freedom of Information Act (FOIA) requests. Please note that your banking information is treated as sensitive data and will not be displayed to the public regardless of your selection.

If you do not wish to allow the public to search and view your record:

- Select "I DO NOT authorize my entity information to be displayed in SAM's Public Search."

NOTE: Your IGT information will automatically be opted out of public search and will only be available to users with For Official Use Only data access.

3.6.2 Entering Assertions

Assertions include, but are not limited to, data about the types of goods and services the entity provides, optional Electronic Data Interchange (EDI) and information if the entity wishes to be included in the Disaster Relief Registry.

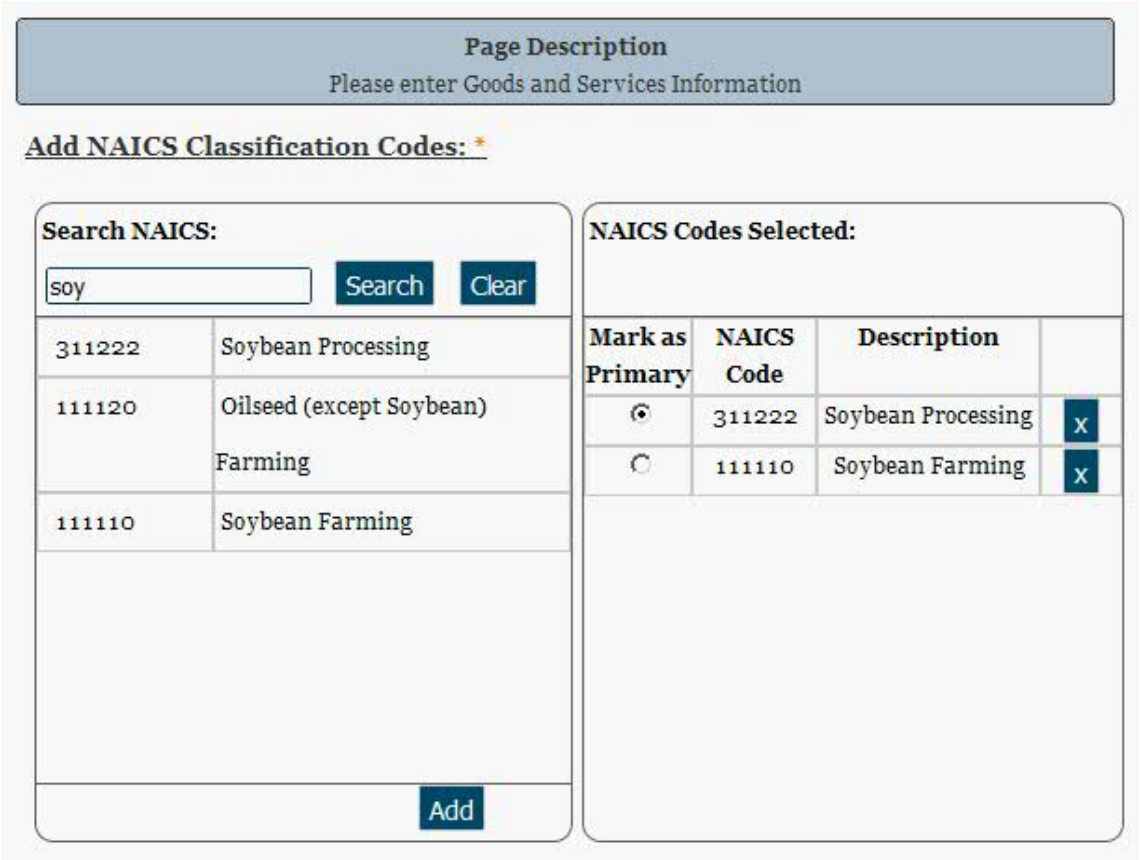
3.6.2.1 Goods and Services

Upon completing your Core Data, enter your information about the types of goods and services your entity can provide. The data you provide assists the government in locating entities that can provide certain goods and/or services.

- Enter North American Industry Classification System (NAICS) codes that best represent the type of industry in which your entity does business. The Small Business Administration (SBA) through public rule-making, assigns thresholds to the individual NAICS codes that are used to assess if entities may be considered a small business in certain classification areas. If you would like to know more about NAICS codes you can go to http://www.census.gov/epcd/naics07. You must supply at least one for your registration to be complete.
- In the “Search NAICS” text box, type in the NAICS code or enter a word description of the type of services your business is involved in.
- Highlight the NAICS codes that are applicable to your entity and click “Add.”

- As you select NAICS, the NAICS show up on the right side under "NAICS Codes Selected."
- Select one of the chosen NAICS as your primary NAICS code by clicking the radio button under the "Mark as Primary" column.
- If needed, you can delete a NAICS by clicking the "X" to the right of each NAICS selected.

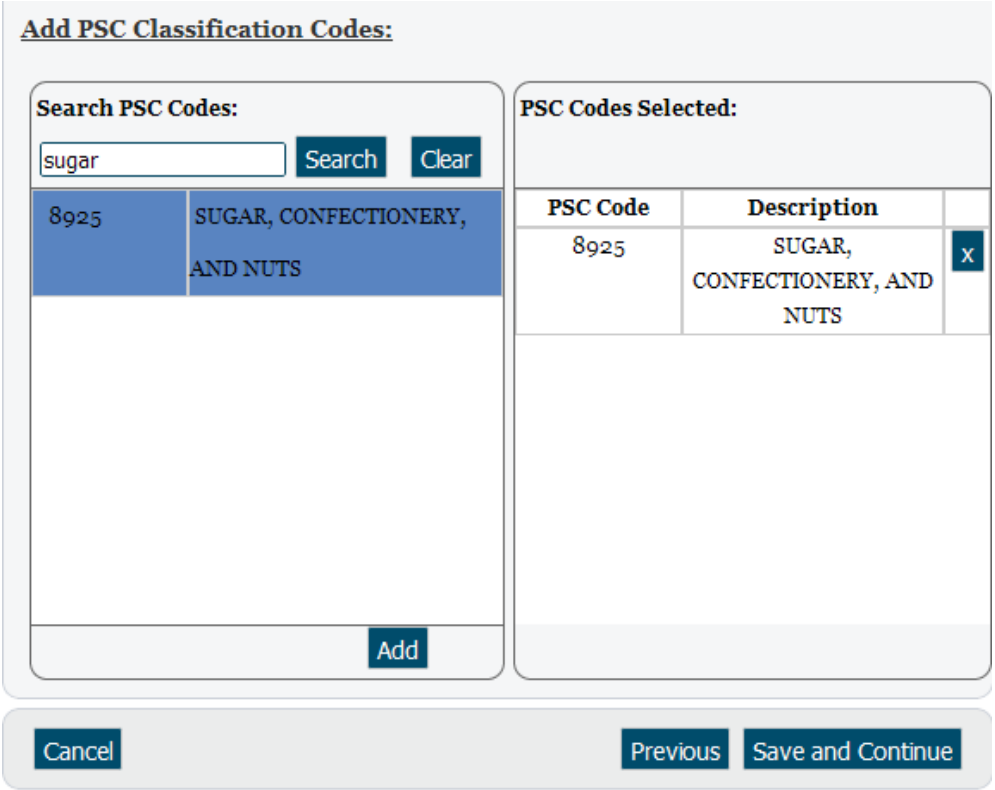
Figure 3.57: Enter NAICS



You also have the option to add Product and Service Codes (PSCs). This section works the same way as the NAICS section. PSC Codes are four-character codes used to identify the types of goods and services your entity can provide. Codes that start with a number indicate types of products, codes that start with a letter indicate types of services. More information about PSCs can be found at https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%2011%20August%202011.pdf.

- Search for your PSCs.
- Highlight the PSCs that are applicable to your entity and click "Add."
- Click "Save and Continue."

Figure 3.58: Select PSC Codes



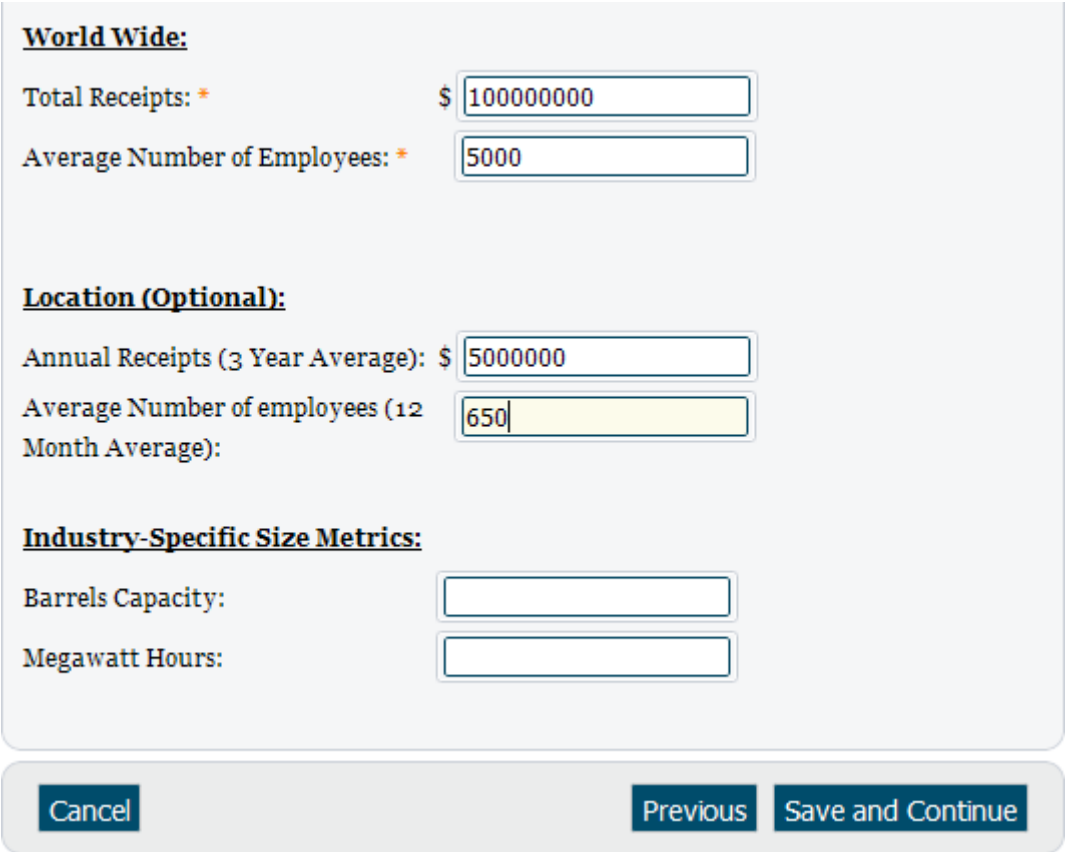
3.6.2.2 Size Metrics

Enter your entity's data to be used for determining your size status as a small business or other than small business. Enter the total receipts and number of employees for the entire entity, which includes and all divisions, branches, and affiliates worldwide.

- Enter in your World Wide "Total Receipts." This is the average receipts over the last three completed fiscal years, including receipts of the parent organization, all branches, and all affiliates worldwide, and not just the size data associated with the entity location represented by the specific DUNS number you are registering.
- Enter your "Average Number of Employees."
- You may also enter data for the location represented by the specific DUNS number you are registering in the "Location" fields. This is optional, not mandatory
- You will be asked to complete the following fields if specific NAICS codes were entered in the NAICS section:
  - Barrels Capacity: NAICS code 324110
  - Total Assets: NAICS code 522110, 522120, 522130, 522190, 522210, 522293

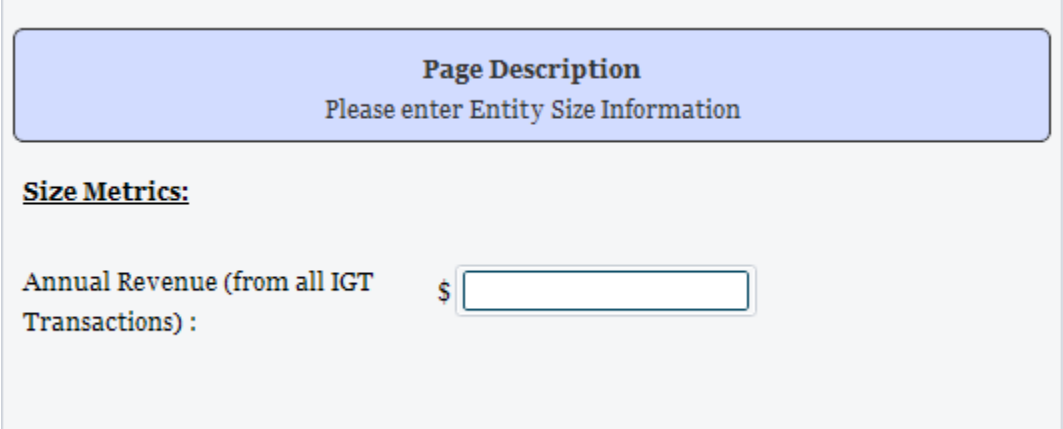
NOTE: The size determination for entities is based upon the world wide numbers. See Figure 3.59 for an example of the Size Metrics page.

Figure 3.59: Enter Size Metrics



- When done, click "Save and Continue."

Figure 3.60: Enter Size Metrics

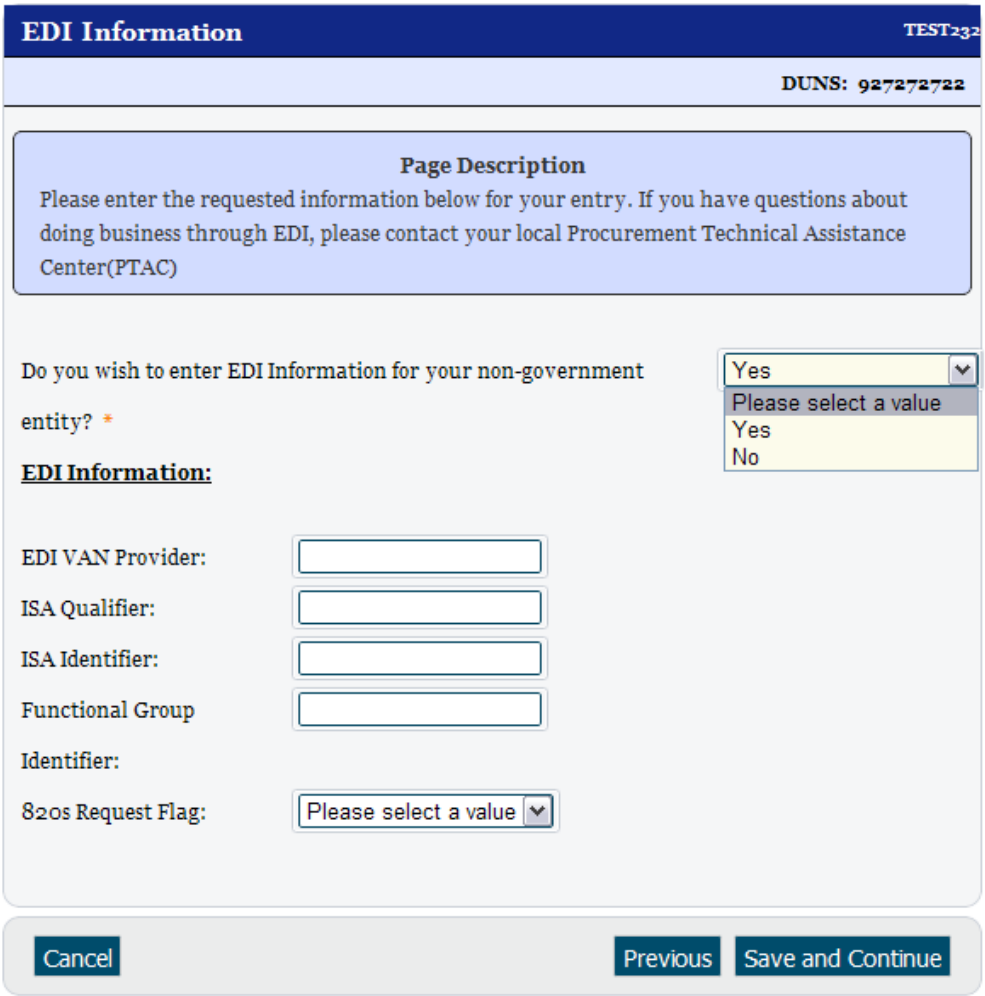


3.6.2.3 Electronic Data Interchange (EDI)

The "EDI Information" page is optional and provided for those entities that do business with the government through EDI. See Figure 3.61 to view the data elements on the EDI page.

- If you do not wish to complete this section, select "No" to the first question and click "Save and Continue."
- If you wish to complete this information, you must provide the following data:
  - EDI VAN Provider
  - ISA Qualifier
  - ISA Identifier
  - Functional Group Identifier
  - 820's request flag

Figure 3.61: EDI Information

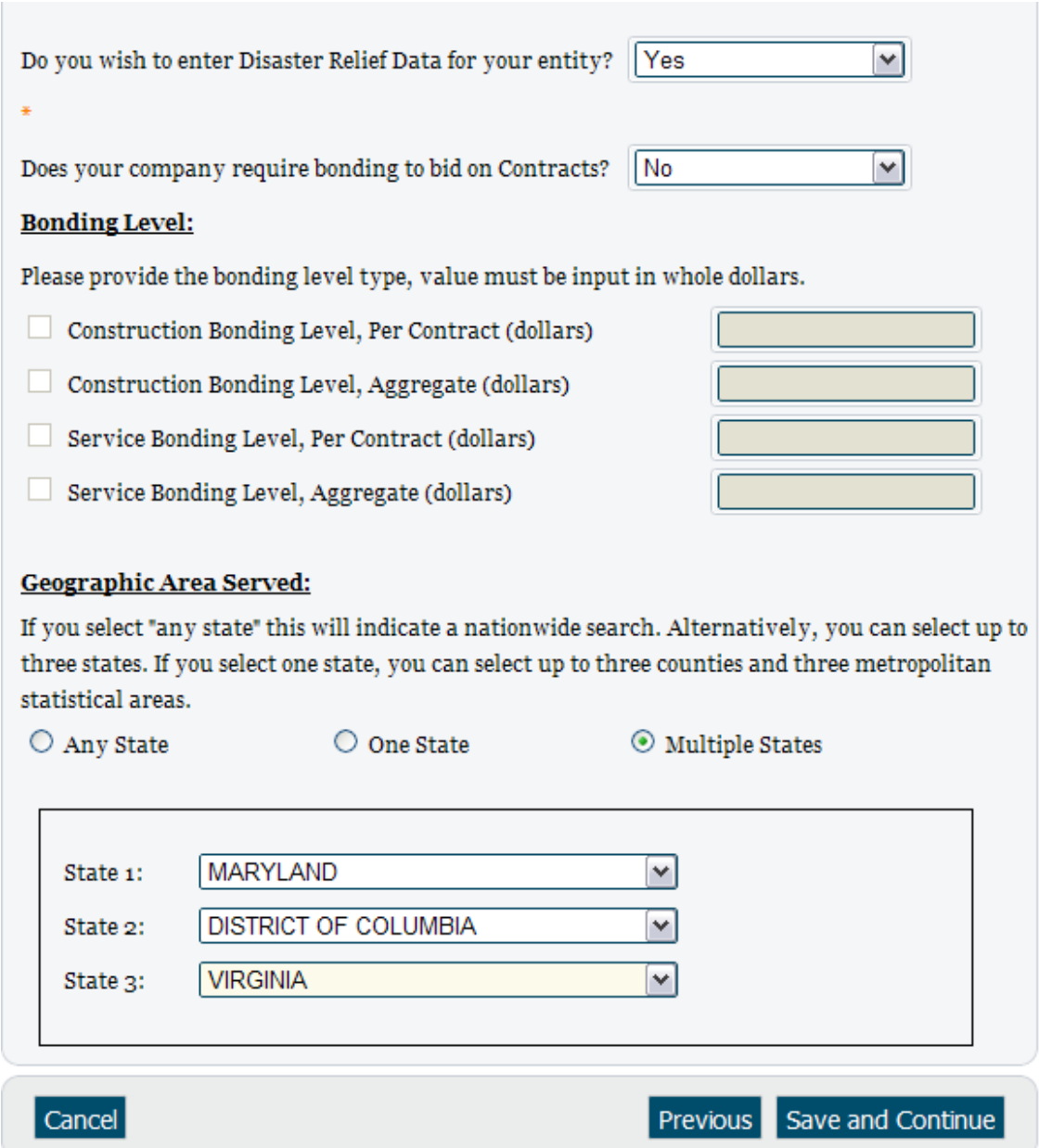


3.6.2.4 Disaster Relief

Entities wishing to do business with the federal government, such as the Federal Emergency Management Agency (FEMA), in the event of a natural disaster, can complete the Disaster Relief section. When national emergencies or natural disasters such as floods and hurricanes occur, supplies and services need to be procured and rushed to the affected area quickly. To expedite this process, the SAM Disaster Relief Registry shows those contractors who are willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief supplies and/or services. Collecting this information in SAM provides a means for potential local contractors to identify themselves to the federal agencies during a time of a disaster.

- Choose "No" if you do not wish to register your entity for Disaster Relief. Click "Save and Continue."
- Choose "Yes" to register your entity.
- Complete the "Bonding Level" section if your company requires bonding to submit offers in response to federal solicitations.
- Select your entity's "Geographic Area Served," then click "Save and Continue."
    - If you select "Multiple States" you may enter up to three
    - If you select "One State" you can be more specific and enter as many as 3 (three) counties and the associated Metropolitan Statistical Area.
    - You can also select to be registered in any state.
- Click "Save and Continue"

Figure 3.62: Disaster Relief Page



3.6.3 Entering Representations and Certifications

Completing your Representations and Certifications (Reps and Certs) allows entities to submit their annual Reps and Certs in accordance with the Federal Acquisition Regulation (FAR). Please note that you may be subject to penalties if you misrepresent your entity in any of their representations or certifications to the government.

3.6.3.1 Questionnaire

To enter your Reps and Certs, you will be given a questionnaire to guide you through the data necessary for the associated FAR and Defense FAR Supplement (DFARS) provisions(if applicable), as well as the Standard Form 330, Part II for federal Architect and Engineering contracts if applicable.. Each question is related to a specific FAR or DFARS provision which is referenced at the end of the question on the screen. Clicking on a reference will take you to the full text version of the provision so that you can read it in full.

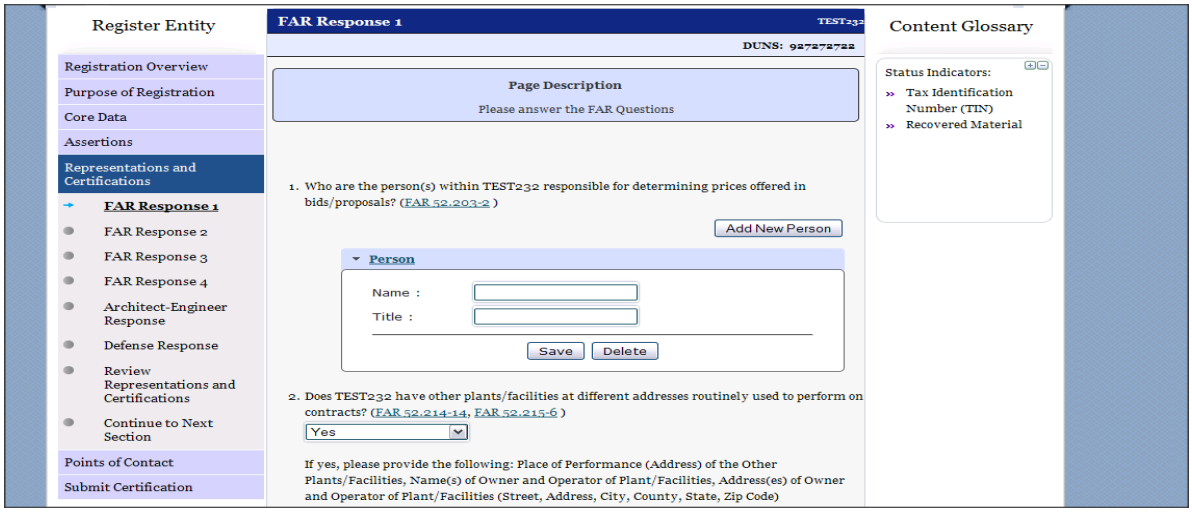
3.6.3.2 FAR Responses

The first section of the questionnaire contains the FAR questions, which are divided into four pages.

Question 1 asks you to identify the person(s) responsible for determining prices offered in bids/proposals for your entity. FAR 52.203-2

- Click "Add New Person" to enter the individual's Name and Title. Click this button as many times as you need.
- Click "Save" when complete.
- Once a person has been added, you may remove them at any time by clicking "Delete."

Figure 3.63: FAR Response Page 1, Part 1



Question 2 asks whether your entity has other plants or facilities at different addresses routinely used to perform on contracts. (FAR 52.214-14, FAR 52.215-6)

- Answer "Yes" or "No."
- Selecting "Yes" activates the "Add New Plant/Facility" button, allowing you to provide the Place of Performance Address, Owner Name, and Owner Address.
- Selecting "No" will grey out the "Add New Plant/Facility" button.

Question 3 will be prefilled with the TIN you entered when you completed the Core Data portion of the registration. (FAR 52.204-3, FAR 52.212-3)

Question 4 asks whether your entity is following the guidelines established by the Environmental Protection Agency (EPA) for recovered material. (FAR 52.223-4, FAR 52.223-9) Information on the products designated by the EPA for recovered material content is available at: http://www.epa.gov/cpg/products.htm

- Answer "Yes" or "No."

Figure 3.63: FAR Response Page 1, Part 2

Question 5 will state "Our records indicate #EntityName# is not a small business concern and therefore does not qualify for status as a labor surplus area concern." As a U.S. Federal Government entity, you are not eligible to qualify as a small business concern. (FAR 52.219-2)

Question 6 asks if your entity is owned or controlled by a common parent that files its Federal Income Tax returns on a consolidated basis. (FAR 52.204-3, FAR 52.212-3)

- Answer "Yes" or "No."
- If you answer "Yes," you will be asked to provide the Company Name and TIN number.
- If you answer "No," these fields will not be available.

Question 7 asks if your entity or any of its principals are currently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any federal agency. SAM will check the exclusions list for the DUNS number of your entity and indicate whether any exclusion records exist. (FAR 52.209-5, FAR 52.212-3)

- If an active exclusion record exists for your entity, this question will default to "Yes."
- If no active exclusion record exists for your entity, answer this question with a "Yes" or "No" response.

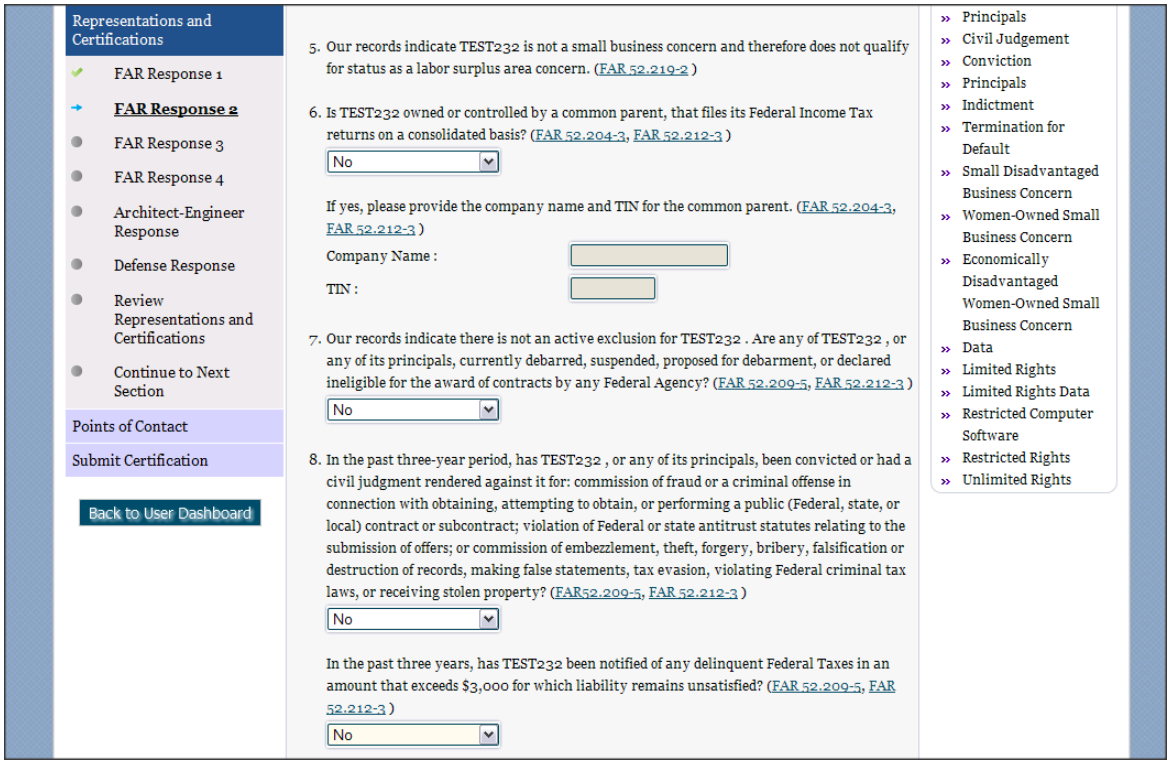
Question 8 is divided into two parts. (FAR 52.209-5, FAR 52.212-3)

The first part asks if in the past three years, your entity, or any of its principals, has been convicted or had a civil judgment rendered against it for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating federal criminal tax laws, or receiving stolen property.

The second part asks if in the past three years your entity has been notified of any delinquent federal taxes in an amount that exceeds $3,000 for which liability remains unsatisfied.

- Answer these questions by selecting "Yes" or "No."

Figure 3.64: FAR Responses Page 2, Part 1



Question 9 asks if your entity, or any of its principals, are presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in Question 8. (FAR 52.209-5, FAR 52.212-3)

- Answer “Yes” or “No.”

Question 10 asks whether within the past three years your entity has been terminated for cause (default). (FAR 52.209-5, FAR 52.212-3)

- Answer “Yes” or “No.”

Question 11 asks you to list the name of any HUBZone businesses participating in a HUBZone Joint Venture with your entity. “None” will be automatically be selected since, as a U.S. Federal Government entity, you are not eligible to qualify as a HUBZone Joint Venture. (FAR 52.219-1, FAR 52.212-3)

Question 12 asks if there are any Small Disadvantaged Businesses participating in a Joint Venture with your entity, and if so for you to provide the names of the companies. “None” will be automatically be selected since, as a U.S. Federal Government entity, you are not eligible to qualify as a Small Disadvantaged Business Joint Venture (FAR 52.219-22, FAR 52.212-3)

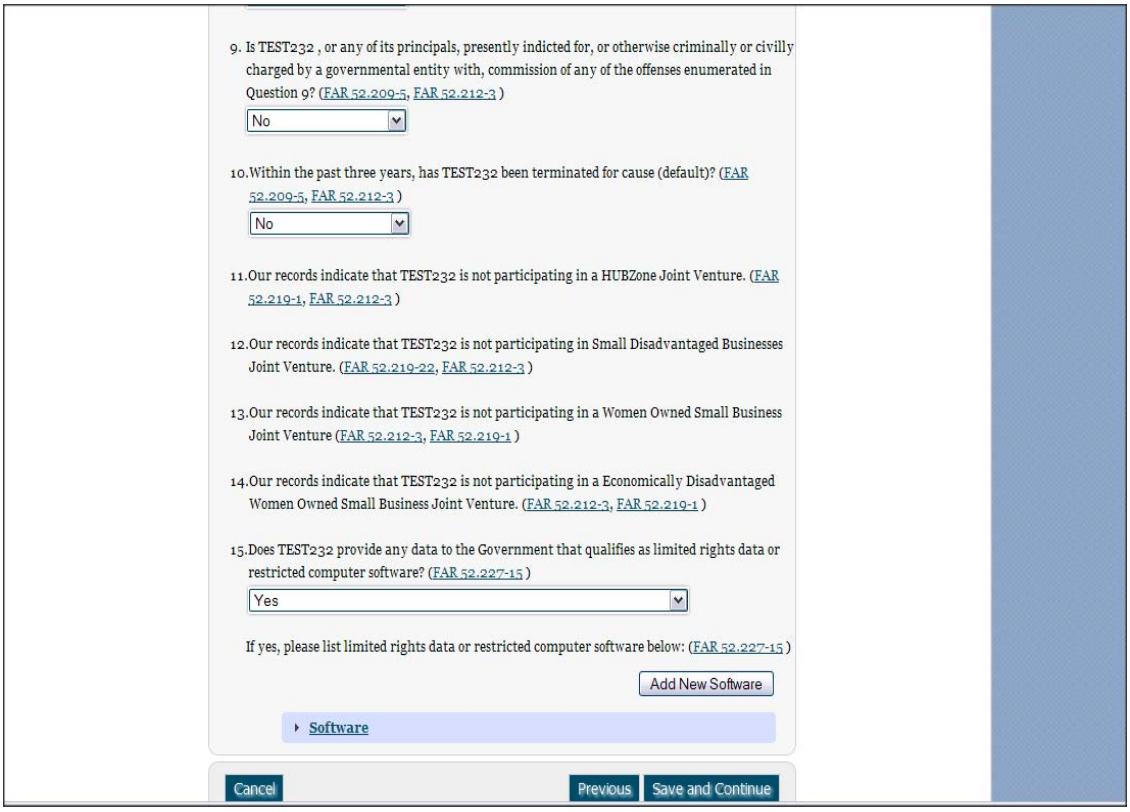
Question 13 will say “Our records indicate that #EntityName# is not participating in a Joint Venture Women Owned Small Business since, as a U.S. Federal Government entity, you are not eligible to qualify as a Joint Venture Women Owned Small Business. (FAR 52.212-3, FAR 52.219-1)

Question 14 will say “Our records indicate that #EntityName# is not participating in an Joint Venture Economically Disadvantaged Women Owned Small Business” since, as a U.S. Federal Government entity, you are not eligible to qualify as a Joint Venture Economically Disadvantaged Women Owned Small Business. (FAR 52.212-3, FAR 52.219-1)

Question 15 asks if your entity provides any data to the government that qualifies as limited rights data or restricted computer software. (FAR 52.227-15)

- Answer “Yes” or “No.”
- If you indicate “Yes,” click “Add New Software” to provide the name of the limited rights data or the restricted computer software.
- If you indicate “No” the “Add New Software” button will be greyed out.

Figure 3.64: FAR Responses Page 2, Part 2



Question 16 will display "Our records indicate that #EntityName has selected the Entity Structure type of #EntityStructureType#" (for example, Federal government). Your structure type and how your business or organization is defined by the IRS will be pre-filled based on your answers on the General Information page of the Core Data section. If you selected "Other" as your type, you will be provided with a box to enter more information. (FAR 52.204-3, FAR 52.212-3)

Question 17 will say "Our records indicate that #EntityName# is or is not a small disadvantaged business concern." As a U.S. Federal Government entity, you are not eligible to qualify as a small disadvantaged business concern. (FAR 52.212-3, FAR 52.219-22)

Question 18 asks whether your entity is located in a Small Disadvantaged Business Procurement Mechanism authorized region (see SIC code 15, 16 and 17 for authorized regions). As a U.S. Federal Government entity, you will not be in a Small Disadvantaged Business Procurement Mechanism region. (FAR 52.219-22, FAR 52.212-3)

Question 19 asks whether your entity has held previous contracts/subcontracts subject to Federal Acquisition Regulation (FAR) 52.222-26 (Equal Opportunity). (FAR 52.222-18, FAR 52.212-3)

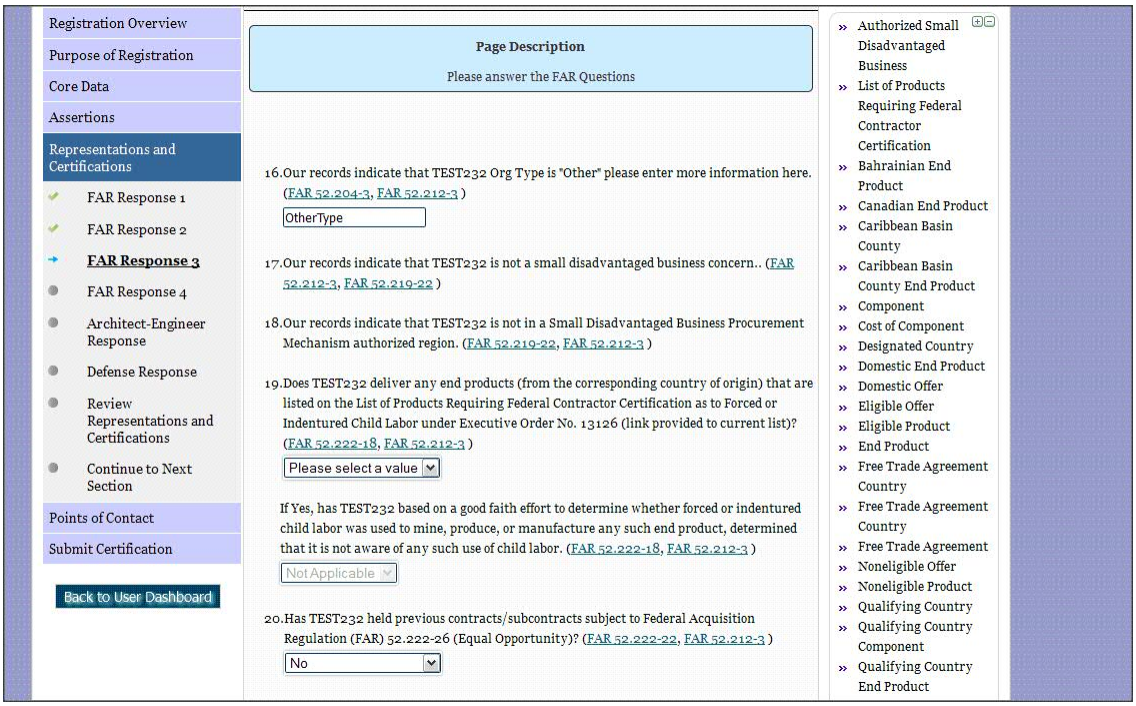
- Answer "Yes" or "No."
- If you answer "No," the second part of Question 19 will be answered for you as "Not Applicable."

- If you answer "Yes," you will be asked whether your entity has based a good faith effort to determine whether forced or indentured child labor was used to mine, produce, or manufacture any such end product, determined that it is not aware of any such use of child labor. Answer this question with a "Yes" or "No" response.

Question 20 asks whether your entity has held previous contracts/subcontracts subject to Federal Acquisition Regulation (FAR) 52.222-26 (Equal Opportunity). (FAR 52.222-22, FAR 52.212-3)

- Answer "Yes" or "No."

Figure 3.65: FAR Responses Page 3, Part 1



Question 21 asks whether there are any end products delivered to the Government by your entity that are foreign (non-domestic) end products. (FAR 52.212-3, FAR 52.225-2, FAR 52.225-4, FAR 52.225-6 , DFARS 252.225-7000, DFARS 252.225-7020, DFARS 252.225-7022, DFARS 252.225-7035)

- Answer "Yes" or "No."
- If you answer "Yes," list the products and their corresponding country of origin.
- Click "Add New Product" to fill in these details. The list of products provided in the drop down is based off the Product Service Codes (PSCs) you listed on the Goods and Services page in the Assertions portion of SAM.
- If you do not find the product you are looking for in the drop down menu, click "Edit my PSCs" to go back to the Assertions section and add any additional products there.

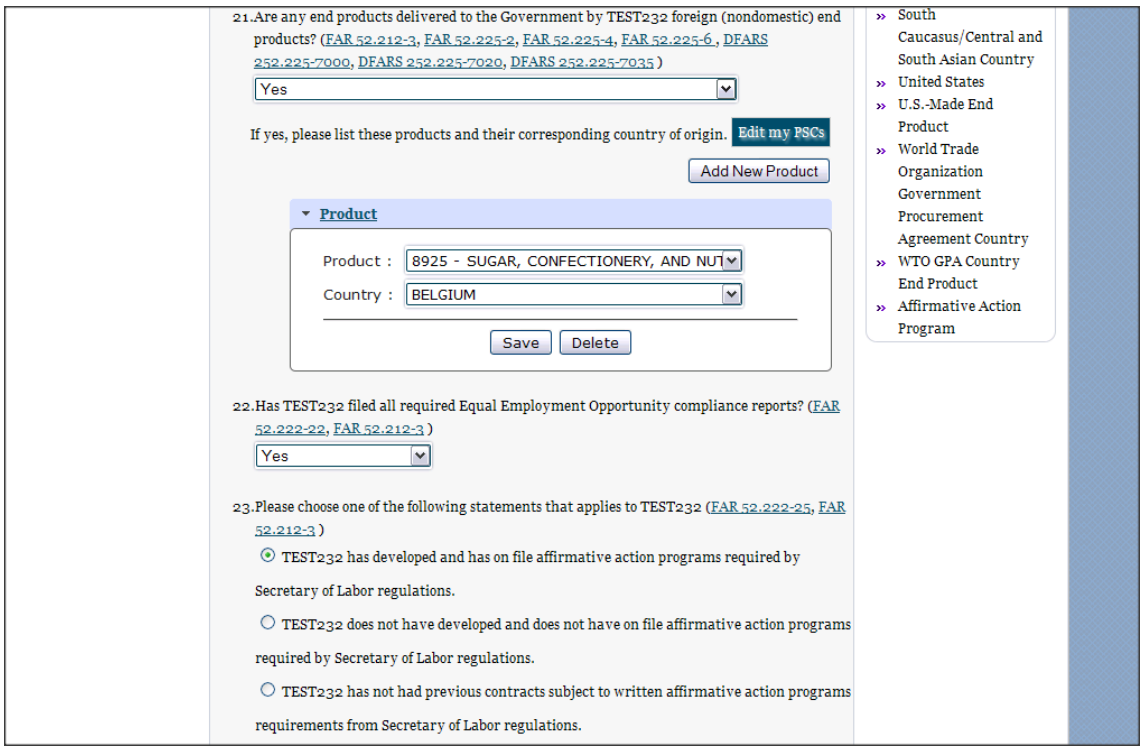
Question 22 asks whether your entity has filed all required Equal Employment Opportunity compliance reports. (FAR 52.222-22, FAR 52.212-3)

- Answer "Yes" or "No."

Question 23 asks you to choose the statement that best applies to your entity's affirmative action programs. (FAR 52.222-25, FAR 52.212-3) The statements you may choose from are:

- #EntityName# has developed and has on file affirmative action programs required by Secretary of Labor Regulations
- #EntityName# does not have developed and does not have on file affirmative action programs required by Secretary of Labor Regulations
- #EntityName# has not had previous contracts subject to written affirmative action program requirements from Secretary of Labor Regulations

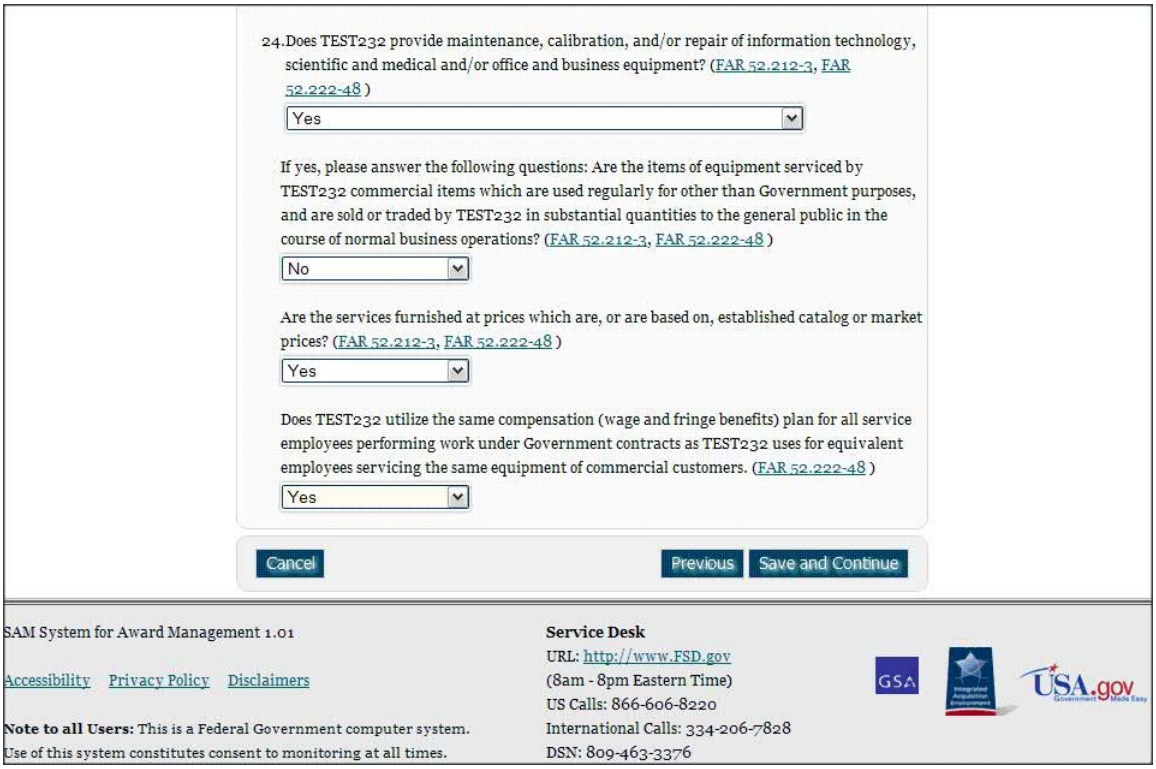
Figure 3.65: FAR Responses Page 3, Part 2



Question 24 asks whether your entity provides maintenance, calibration, and/or repair of information technology, scientific and medical and/or office and business equipment. (FAR 52.212-3, FAR 52.222-48)

- Answer "Yes," "No" or "Vendor will provide information with specific offers to the Government."
- If you answer "Yes," you must answer three subsequent questions,
- If you answer "No" or "Vendor will provide information with specific offers to the Government," these questions will be filled in as "Not Applicable."

Figure 3.66: FAR Responses Page 4, Part 1



Question 25 asks whether your entity provides services as described in FAR 22.1003-4(d)(1). (FAR 52.212-3, FAR 52.222-52)

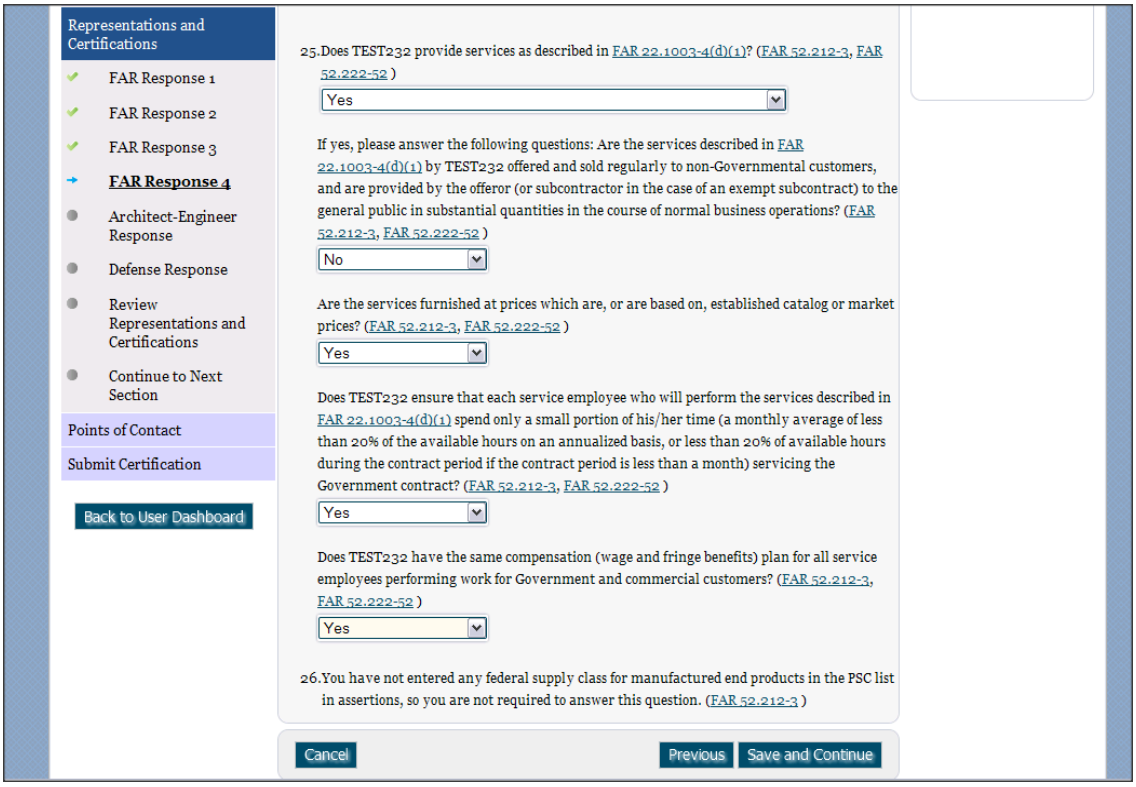
- Answer "Yes," "No" or "Vendor will provide information with specific offers to the Government."
- If you answer "Yes," you must answer four subsequent questions which are depicted in Figure 3.66.
- If you answer "No" or "Vendor will provide information with specific offers to the Government," these questions will be filled in as "Not Applicable."

On **Question 26** SAM determines whether any of the Product Service Codes (PSCs) you entered in the Goods and Services page in the Assertions portion of SAM are Federal Supply Codes (FSC) (FSCs are the subset of PSCs that represent products, and begin with a number). (FAR 52.212-3)

- If it is determined that you entered Federal Supply Codes, you will see the following: "Our record indicates that #EnityName# has registered the following FSC codes. Provide whether the place of manufacture for each FSC code below is in the U.S. or outside the U.S."
- If it is determined that you did not enter Federal Supply Codes, you will see "You have not entered any federal supply class for manufactured end products in the PSC list in assertions, so you are not required to answer this question."

- To edit your PSCs, return to the Goods and Services page in the Assertions portion of SAM and click "Edit."

Figure 3.66: FAR Responses Page 4, Part 2



3.6.3.3 Architect and Engineering Responses

The Architect and Engineering Responses are you used to help you complete your Standard Form (SF) 330 Part II if you are interested in architect-engineer contracts. Federal agencies use this form to obtain information from architect-engineer (A-E) firms about their professional qualifications. Federal agencies select firms for A-E contracts on the basis of professional qualifications as required by the Brooks A-E Act (40 U.S.C. 1101 - 1104) and Part 36 of the Federal Acquisition Regulation (FAR). If you did not indicate via the NAICS codes you entered in the Assertions section that you were interested in A-E work, you will not need to fill out this information.

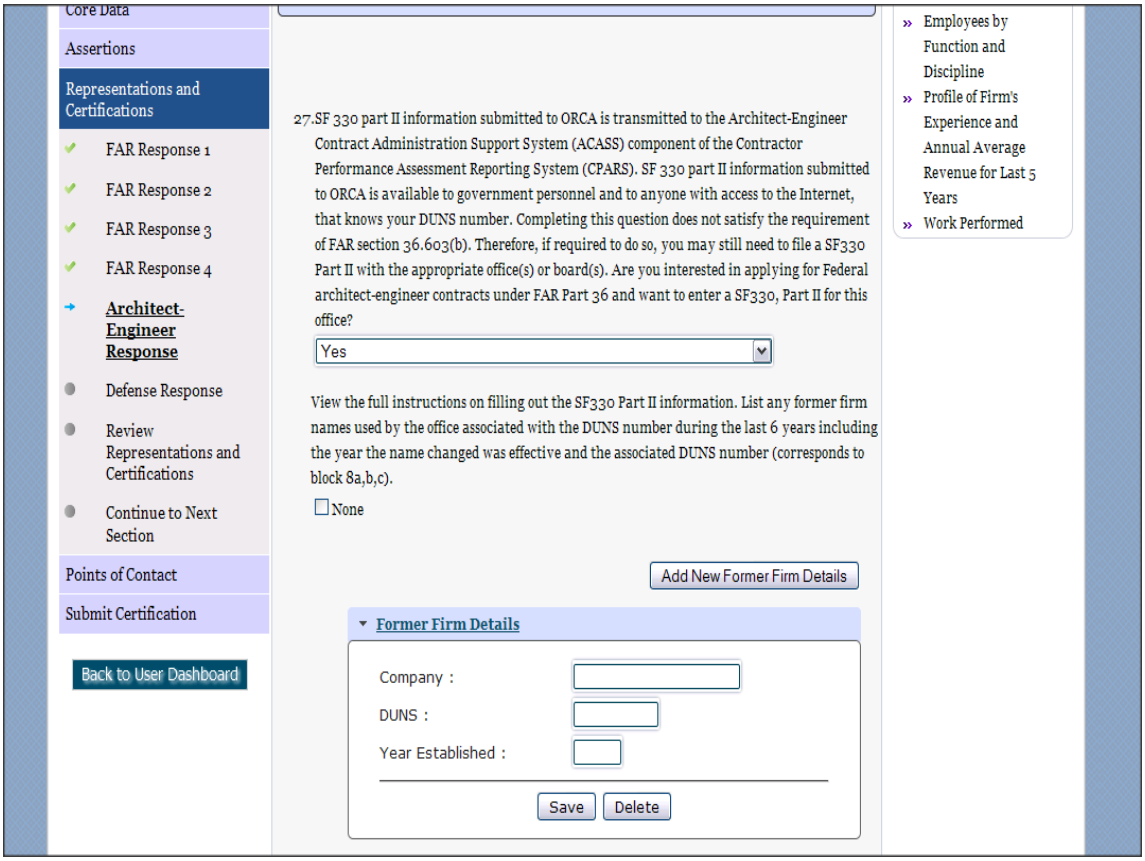
Question 27 is the first question in the Architect and Engineering Response section.

- If you did not enter a NAICS code connected to architecture and engineering activities, you will see the following text: "Our records indicate that #EntityName# has not selected NAICS 541310, 541320, 541330, 541360, 541370, 541410 or 541620. SF 330 part II information is not applicable." You will not be asked any additional questions on this page.
- If you did enter one of the applicable NAICS codes, you will be asked to provide additional information to complete your SF 330 Part II. The first question asked is to indicate if you are

interested in applying for a Federal contract for Architect-Engineer answer. If you answer "**No**" to this question, then you can click "Save and Continue" and move to the DFARS section.

- If you did enter one of the applicable NAICS codes, you will be asked to provide additional information to complete your SF 330 part II. The first question asked is to indicate if you are interested in applying for a Federal contract for Architect-Engineer answer. If you answer "**Yes**" to this question, then you will be required to answer additional information which is depicted in the Figures 3.38 – 3.40 and summarized below. More detailed information can be found in question 27 in the glossary.
  - You will be asked to list any former firm names used by the office associated with the DUNS number in the past 6 years. If there are no other names, click on the "None" option. If there are any names, then please click on the button "Add New Former Firm Details" button and enter "Company Name", "DUNS" and "Year Established".

Figure 3.67: Architect-Engineer Responses, Part 1

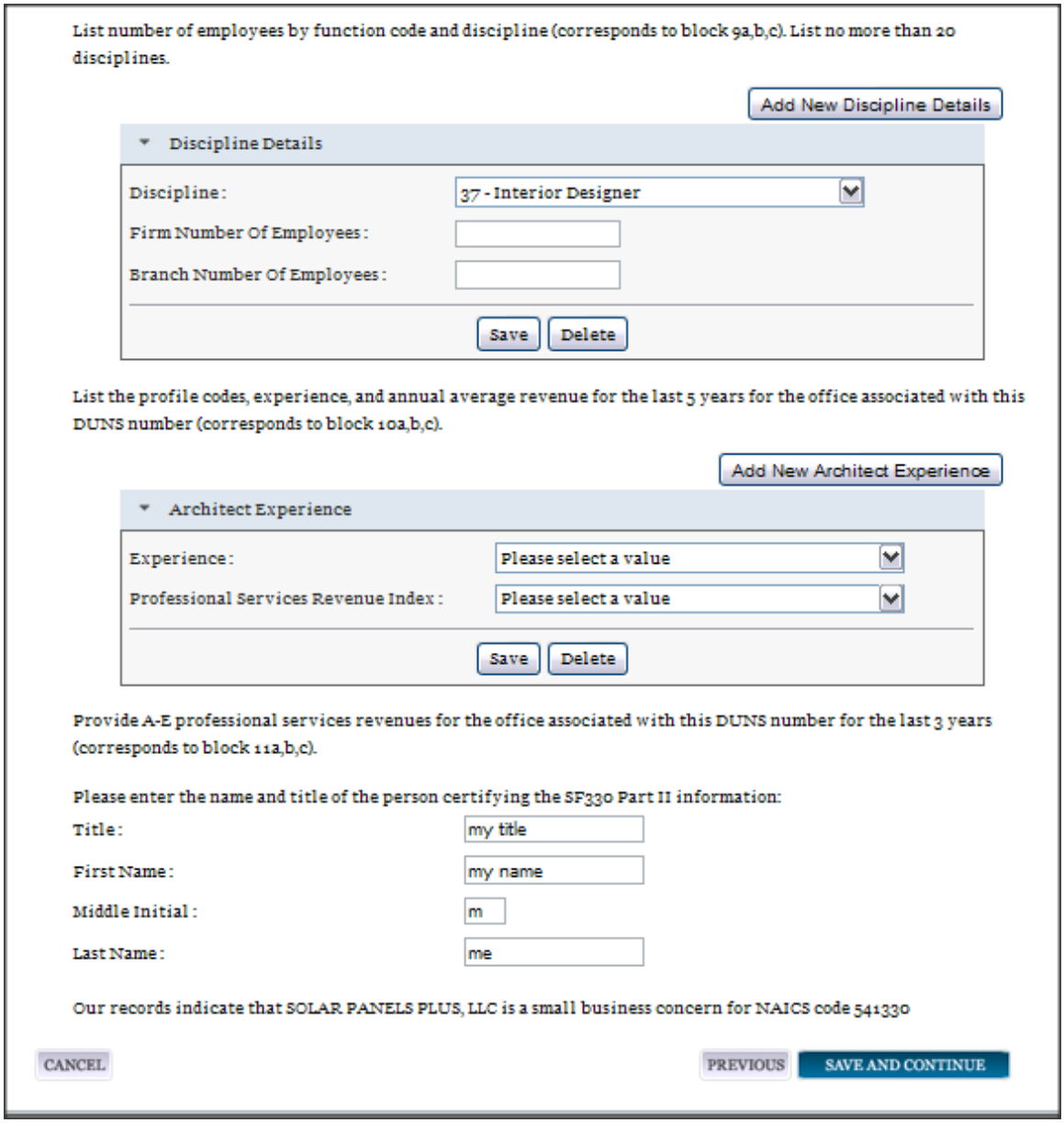


- Click on the "Add New Discipline Data" button to enter the number of employees for the firm and branch by function code and discipline. If you have more than one

Discipline within your firm, you will need to create a new table for each Discipline by clicking on the "Add New Discipline Data".

- Click on the "Add New Architect Experience" button to open the table and list the experience and the Professional Services Revenue Index.
- You will need to enter the name and title of the person certifying the Architect-Engineer information.
- Click "Save and Continue"

Figure 3.67: Architect-Engineer Responses, Part 2



3.6.3.4 DFARS Responses

Question 28 asks whether your entity wishes to bid on, or currently holds any DoD-issued or DoD-funded contracts. (DFARS 252.212-7000, DFARS 252.247-7022)

- Answer "Yes" or "No."
- If you answer "Yes" you must answer Questions 29-31.
- If you answer "No," the answers to Questions 29-31 will be answered as "Not Applicable."
- If your entity wishes to bid on DoD-issued or DoD-funded contracts in the future, you can edit your registration in the future and change your response to "Yes."

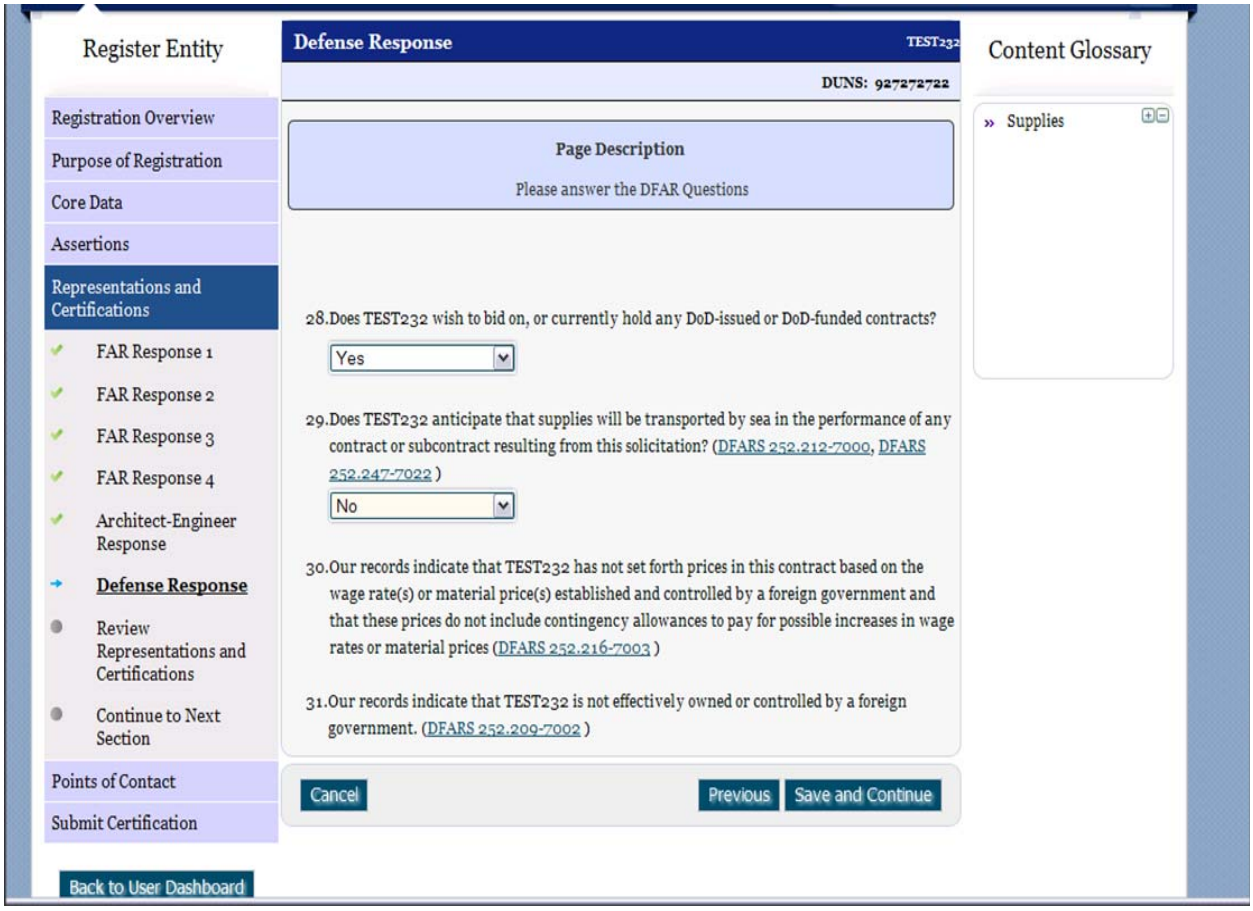
Question 29 asks if you anticipate that supplies will be transported by sea in the performance of any contract or subcontract resulting from this solicitation. (DFARS 252.212-7000, DFARS 252.247-7022)

- Answer "Yes" or "No."

Question 30 asks if your entity represents that the prices set forth in this contract are based on the wage rate(s) or material price(s) established and controlled by a foreign government and do not include contingency allowances to pay for possible increases in wage rates or material prices. As a US Federal government entity, this question will be prefilled with the answer that the entity has not set forth prices in this contract based on the wage rate(s) or material price(s) established and controlled by a foreign government and that these prices do not include contingency allowances to pay for possible increases in wage rates or material prices are not controlled by a Foreign government (DFARS 252.216-7008)

Question 31 asks if your entity is effectively owned or controlled by a foreign government. As a US Federal government entity, this question will be prefilled with the answer that you are not controlled by a Foreign government. (DFARS 252.209-7002)

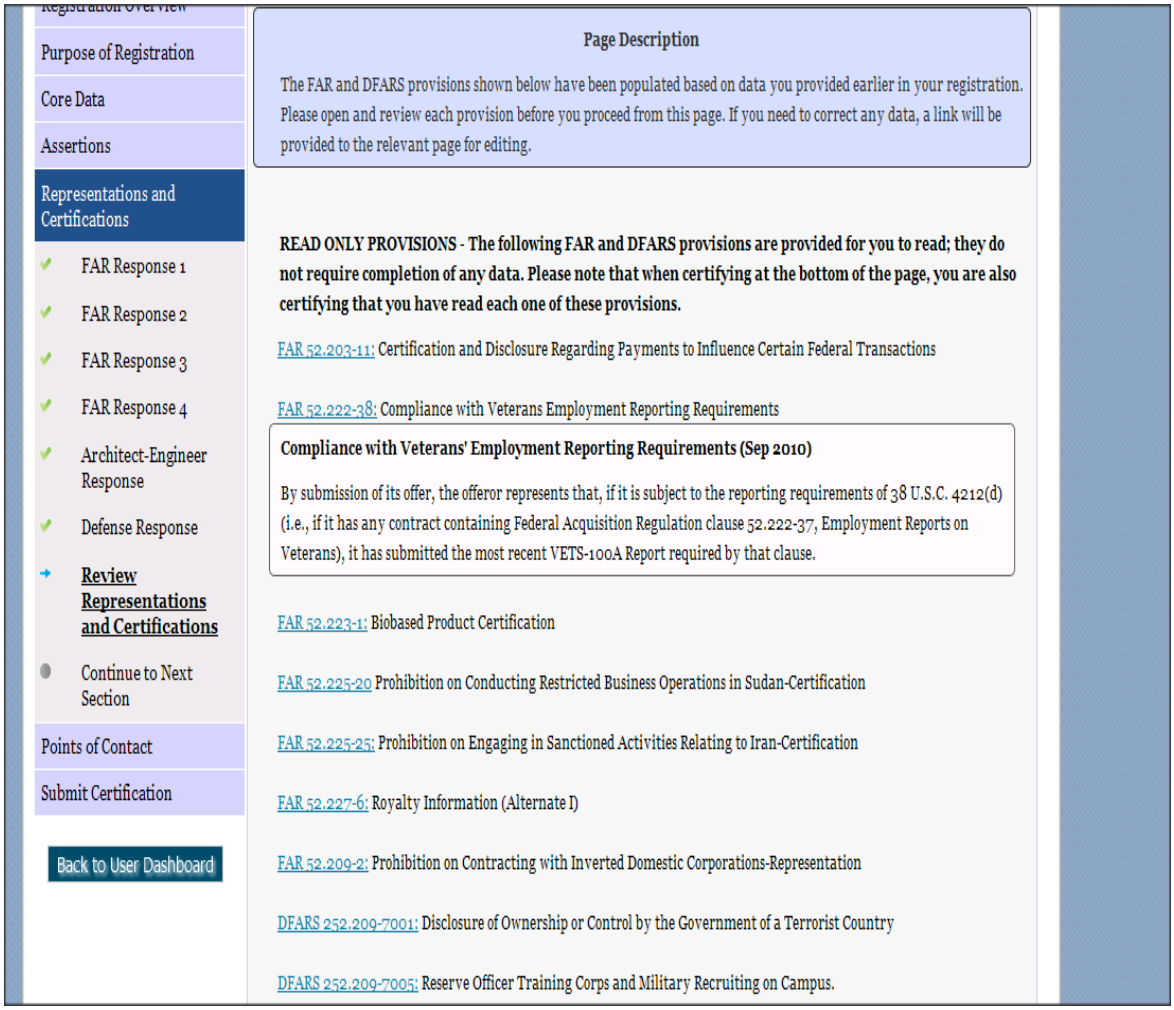
Figure 3.68: DFARS Responses



3.6.3.5 Review Representations & Certifications

Next, the Representations and Certifications page will display the complete FAR, DFARS and Architect Engineer provisions language. Be sure to review the provisions identified as Read Only Provisions. NOTE: When certifying at the bottom of the page, you are also certifying that you have read each one of these provisions. You will be held responsible as such, so you are encouraged to open each provision and review it in full text. The default view for these provisions will be collapsed, but can be expanded by clicking the FAR or DFARS link provided.

Figure 3.69: Read Only Provisions



The second section contains the provisions, prepopulated, based on data you provided earlier in your registration. Open and review each provision before you proceed from this page. You will be held responsible for the responses in each of the provisions, so you are encouraged to open each provision and review it in full text. If you need to correct any data, a link will be provided to the relevant page for editing.

Pay special attention to FAR provisions 52.212-3, 52.219-1, and 52.219-22. The NAICS you identified as small on the Assertions Goods and Services page are shown below the provision along with your small business status for each NAICS you identified and the entire NAICS table. These serve to complete the representation. The status shown here for each of the NAICS codes is based on the size metrics data you provided in the Assertions section, as well as the NAICS code size thresholds provided by the SBA.

Click "View More" to see your entity's size status for any existing NAICS code.

NOTE: When you certify, you are certifying to the small business status for all of the NAICS in the table. Y/N answers are located in the "Small Business?" column where a "Y" indicates "Small" and "N" indicates "Other than Small." This status is derived from the SBA's size standards. You will be held responsible for the certification you provide so make sure you review the entire table.

As a U.S. Federal Government entity, however, the entire table of NAICS codes should show an "N" in the 'Small Business?' column, as you are not eligible as a small business concern.

If you disagree with any of the pre-filled information, return to the Assertions portion of SAM and review the values by clicking "Edit." If you still have concerns contact SBA at 1-800-827-5722.

Figure 3.70: FAR 52.219-1 (Showing small business table and edit functions)

FAR 52.219-1: Small Business Program Representations (Alternate & 1)

The NAICS for which you are identified as small are shown in the table below; and serves to complete the representation in 52.219-1(b)(2).
You are certifying to all of the NAICS in the table so please review it in its entirety. These Y/N answers are located in the "Small Business?" column where a "Y" indicates "Small" and "N" indicates "Other than Small". This status is derived from the SBA's size standards.
The NAICS shown are those you have entered. You may click the "View More" button to see your entity's size status for any existing NAICS. If you disagree with any of the pre-filled information, you must return to Assertions and change your values there.
The "Edit" button will return you to the correct location to make these changes.

Small Business Program Representations (Apr 2012) EDIT

(a)

(1) The North American Industry Classification System (NAICS) code for this acquisition is See Note.*

(2) The small business size standard is See Note.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations.

NAICS Code	Name	NAICS Exception	Size Standard	Small Business?
519130	Internet Publishing and Broadcasting and Web Search Portals		500	Y
811212	Computer and Office Machine Repair and Maintenance		$25,500,000.00	Y
519120	Libraries and Archives		$7,000,000.00	Y
541310	Architectural Services		$7,000,000.00	Y

VIEW MORE

(1)** The offeror represents as part of its offer that it ☑ is, ☐ is not a small business concern (see below).

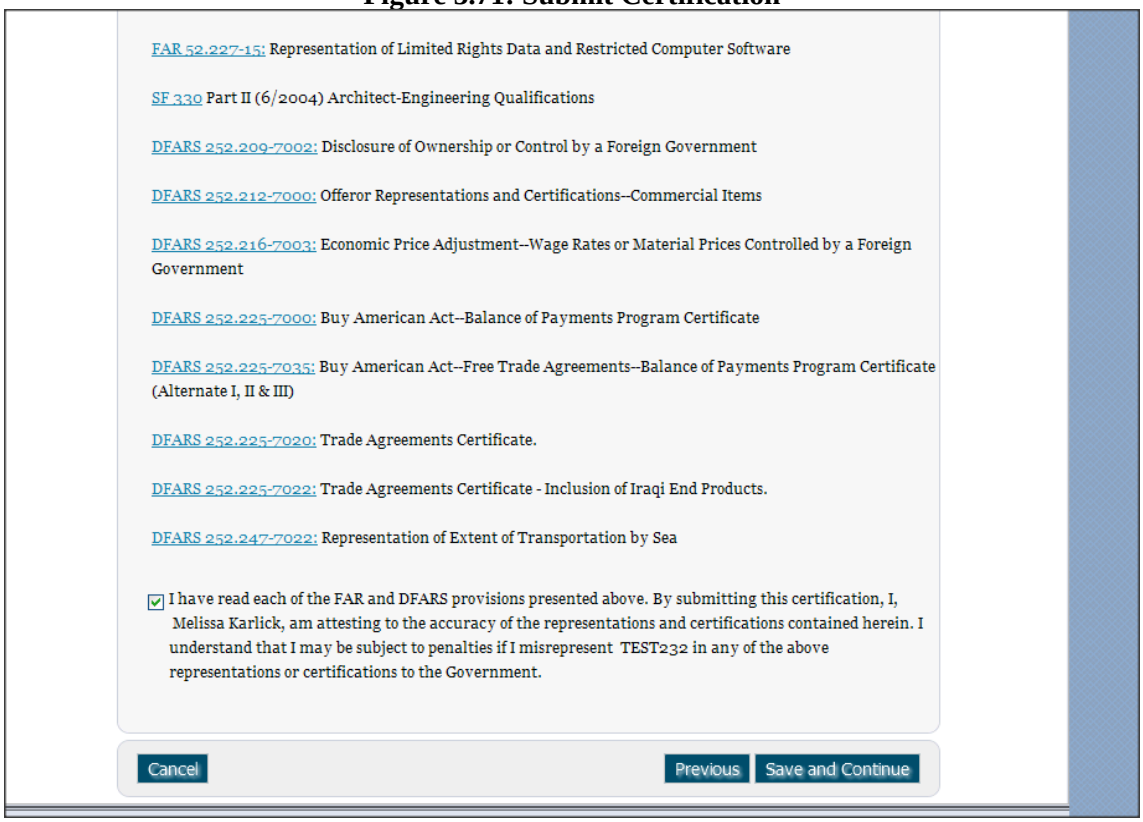
(2) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, for general statistical purposes, that it ☑ is ☐ is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.

(3)** [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it ☐ is ☑ is not a women-owned small business

- At end of the review page, check the box to indicate that you: have read each of the FAR, DFARS and Architecture Engineering provisions you attest to accuracy of the representations and certifications by submitting the certification, and that you understand you may be subject

to penalties if you misrepresent your entity in any of their representations or certifications to the government.

Figure 3.71: Submit Certification



3.6.4 Entering Points of Contact (POCs)

Before your entity registration is complete, you will be asked to provideMandatory POCs and Optional POCs. The POCs you will be asked to provide have been determined based on the answers you provided throughout the registration process.. All Mandatory POCs must be completed before the registration may be submitted for certification

3.6.4.1 POC Details

Below (Table 3.4) is a list of the POC types that all awards and IGT registrants will see. See the glossary for more information on each POC type.

Table 3.4: All Awards and Intra-Governmental Transaction

POC Name	Mandatory?	Mandatory Data Elements
Elimination POC	Mandatory	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Accounts Payable POC	If you select buyer or buyer or seller	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or

POC Name	Mandatory?	Mandatory Data Elements
		Canada), and ZIP/Postal Code
Sales POC	Mandatory	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Accounts Receivable POC	Mandatory	First Name, Last Name, Email,
Electronic Business POC	Mandatory	First Name, Last Name, Email, Address, City and Country Phone, State/Province (if US or Canada), and ZIP/Postal Code
Electronic Business Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business POC	Mandatory	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Party Performing Certification POC	Mandatory if 3rd party certification is selected	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Past Performance POC	Optional. This person's information is provided to the Past Performance Information Retrieval System (PPIRS).	First Name, Last Name, Email, Address, City and Country Phone, State/Province (if US or Canada), and ZIP/Postal Code
Past Performance Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Proceedings POC	Mandatory if you have entered proceedings details.	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Proceedings Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code

3.6.5 Submitting Your Registration

All mandatory data elements must be completed to submit your registration. If you have done this successfully, you will see a green check mark next to each section in the navigation panel on the left side of the screen.

- Review your registration record in its entirety.
- Click “Edit” to update any necessary information in the registration.
- Click “Submit” to certify that the information is correct.

- SAM will display a confirmation indicating you successfully submitted your registration. You will also receive a confirmation email.

PLEASE NOTE: Your record is NOT yet active.

3.6.5.1 Before Your SAM Registration is considered Active

Your entity's registration will NOT be considered active until the following actions take place:

- TIN Match validated by the Internal Revenue Service (IRS). It may take three to five business days from the time you submitted for the IRS to validate new and updated records prior to becoming active in SAM.
- CAGE Code is validated or assigned by DoD, as applicable.

Plan ahead. Allow up to 10 business days after you submit your registration for it to become active in SAM and an additional 24 hours before that registration information is available in other government systems.

You will receive a confirmation email once the registration is activated. At that time, you will be eligible for All Awards and IGT from the U.S. Federal Government.

3.7 Registering Your Entity if you are interested in Federal Assistance and Intra-Governmental Transactions

This section describes the process of registering a Federal government entity for the purpose of being eligible for Federal Assistance and Intra-Governmental Transactions (IGT). "Federal Assistance" for purposes of this User Guide stands for Federal Financial Assistance. A grant, cooperative agreement or loan recipient, for example, are considered Federal Financial Assistance recipients. You will see on the screen that your purpose of registration will display as "Federal Financial Assistance and Intra-Governmental Transactions". Some federal entities have the authority to bid on financial assistance opportunities and also perform IGTs. These instructions are for those entities

To register an entity for "Federal Assistance and IGT," complete the following sections:

- Core Data,
- Assertions
- Points of Contact

The navigation panel on the left side of the screen will display your progress through these sections.

3.7.1 Entering Core Data

The first step to register a new entity is to enter core details on your entity. Core Data includes, but is not limited to, an entity's Data Universal Numbering System (DUNS) number and/or Department of Defense Activity Address Code (DoDAAC) (Department of Defense entities only), name, address, Contractor and Government Entity (CAGE) code or North Atlantic Treaty

Organization (NATO) CAGE (NCAGE) code, Taxpayer Identification Number (TIN), general information, financial information, and details about any proceedings the entity may currently be involved in. Core Data is mandatory for all registration types. Once you have completed your Core Data, your entity's information will be displayed in the SAM Public Search. Sensitive data, such as financial information will not ever be displayed, however, if you do not wish to allow the public to search for and view your record, you may "opt-out" of public display. For more information, see Information Opt Out.

3.7.1.1 Requesting the Addition of a New U.S. Federal Agency on the U.S. Federal Hierarchy

Some federal government agencies have the authority to apply for federal financial assistance opportunities. If you are registering a Federal Government entity for All Awards and IGT, the entity must already exist on the SAM Federal Government hierarchy before you can continue. When an entity is placed on the Federal Government hierarchy, this is called a node. The term node indicates that the entity is defined, it exists on the hierarchy, and there is basic information entered for the entity such as name and address. Although an agency's SAM entity registration for federal assistance will expire if not renewed annually, the node entry itself on the hierarchy never expires. If the entity is not present on the hierarchy you need to request it to be added. For more information, see Hierarchy.

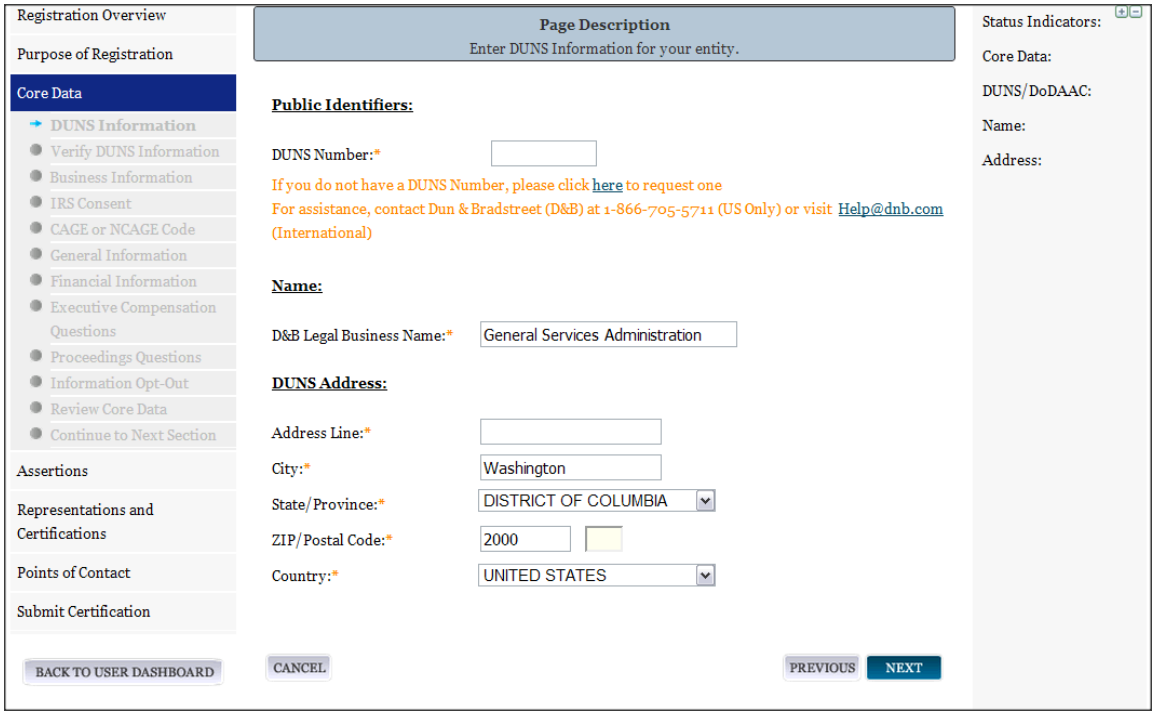
3.7.1.2 Entering a DUNS

The first page is the DUNS information page. The DUNS number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B). If you need a DUNS number, one will be provided to you, free of charge. Call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform. You do NOT have to pay for a DUNS number if you utilize these websites and phone numbers. It will take 1-2 business days for a new D&B number to become active and available for your SAM registration

On the DUNS information page:

- Enter your DUNS number, D&B Legal Business Name (this is name that has been registered for your organization at D&B), Address (please remember that the address has to be the same as the address at D&B and must be the physical address of your location) and click "Next."
- This sends your DUNS information to D&B for validation.
- Upon successful validation from D&B, you will be able to continue with your registration.

Figure 3.72: Enter DUNS Information



Once the information you provided has been verified by D&B, you will receive a "side-by-side" screen showing the details you entered compared with the details returned from D&B.

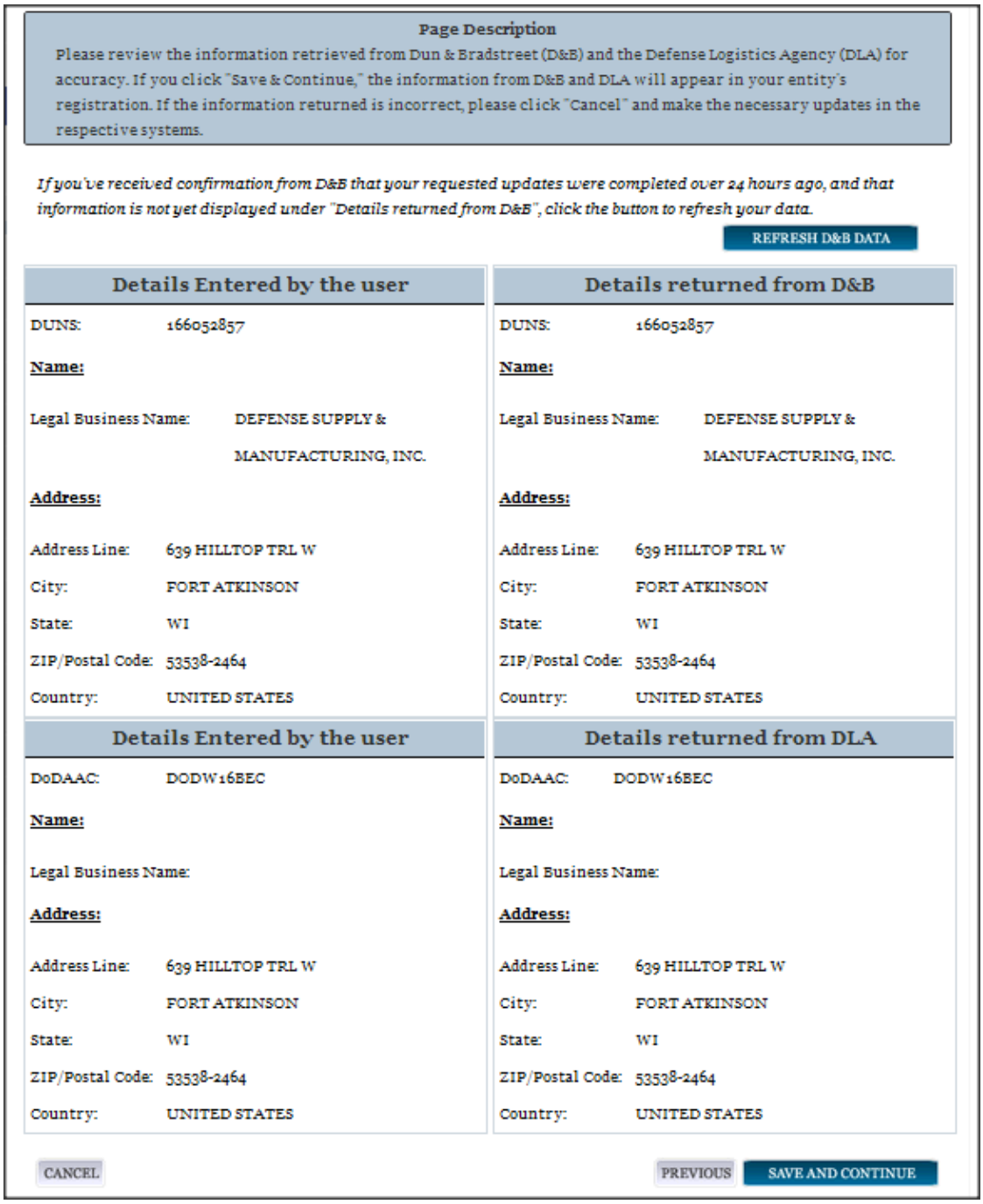
- Review and verify your DUNS information.
- If the data is correct, click "Save and Continue."
- If the data is incorrect, visit the D&B website at http://fedgov.dnb.com/webform to make the necessary changes.
- If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the "Refresh D&B Data" button found on the 'Verify DUNS Information' page in SAM to refresh your data.
- Review and verify your DUNS information.
- Click "Save and Continue."

3.7.1.3 Entering a DODAAC

As a Department of Defense entity, you will enter both a DUNS number and a DoDAAC. This field should include the letters "DOD" followed by the agency's six character DoDAAC. If you do not have a DoDAAC, contact your Central Service Point (CSP). If you need to make changes to a DoDAAC or its associated name or address; or do not know your cognizant CSP; contact DoDAADHQ@DLA.MIL.

The DUNS number is your primary address. If the DUNS number and DoDAAC information are different, the information received from D&B will be the primary identifier for your registration in SAM. Once you submit your entity's information, you will need to review and verify that the information received is correct.

Figure 3.73: Verify DoDAAC Information



Page Description

Please review the information retrieved from Dun & Bradstreet (D&B) and the Defense Logistics Agency (DLA) for accuracy. If you click "Save & Continue," the information from D&B and DLA will appear in your entity's registration. If the information returned is incorrect, please click "Cancel" and make the necessary updates in the respective systems.

If you've received confirmation from D&B that your requested updates were completed over 24 hours ago, and that information is not yet displayed under "Details returned from D&B", click the button to refresh your data.

REFRESH D&B DATA

Details Entered by the user		Details returned from D&B	
DUNS:	166052857	DUNS:	166052857
Name:		**Name:**	
Legal Business Name:	DEFENSE SUPPLY & MANUFACTURING, INC.	Legal Business Name:	DEFENSE SUPPLY & MANUFACTURING, INC.
Address:		**Address:**	
Address Line:	639 HILLTOP TRL W	Address Line:	639 HILLTOP TRL W
City:	FORT ATKINSON	City:	FORT ATKINSON
State:	WI	State:	WI
ZIP/Postal Code:	53538-2464	ZIP/Postal Code:	53538-2464
Country:	UNITED STATES	Country:	UNITED STATES

Details Entered by the user		Details returned from DLA	
DoDAAC:	DODW16BEC	DoDAAC:	DODW16BEC
Name:		**Name:**	
Legal Business Name:		Legal Business Name:	
Address:		**Address:**	
Address Line:	639 HILLTOP TRL W	Address Line:	639 HILLTOP TRL W
City:	FORT ATKINSON	City:	FORT ATKINSON
State:	WI	State:	WI
ZIP/Postal Code:	53538-2464	ZIP/Postal Code:	53538-2464
Country:	UNITED STATES	Country:	UNITED STATES

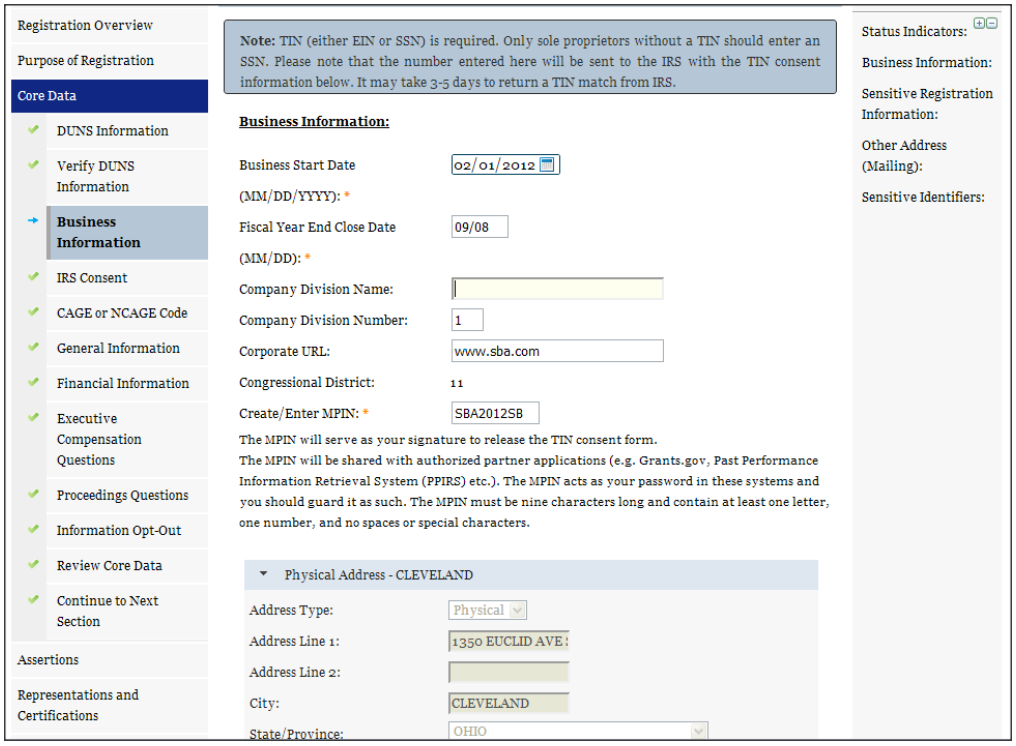
CANCEL PREVIOUS SAVE AND CONTINUE

3.7.1.4 Business Information

After you enter your DUNS information and passed validation, you can enter the business information for your entity. See Figure 3.74.

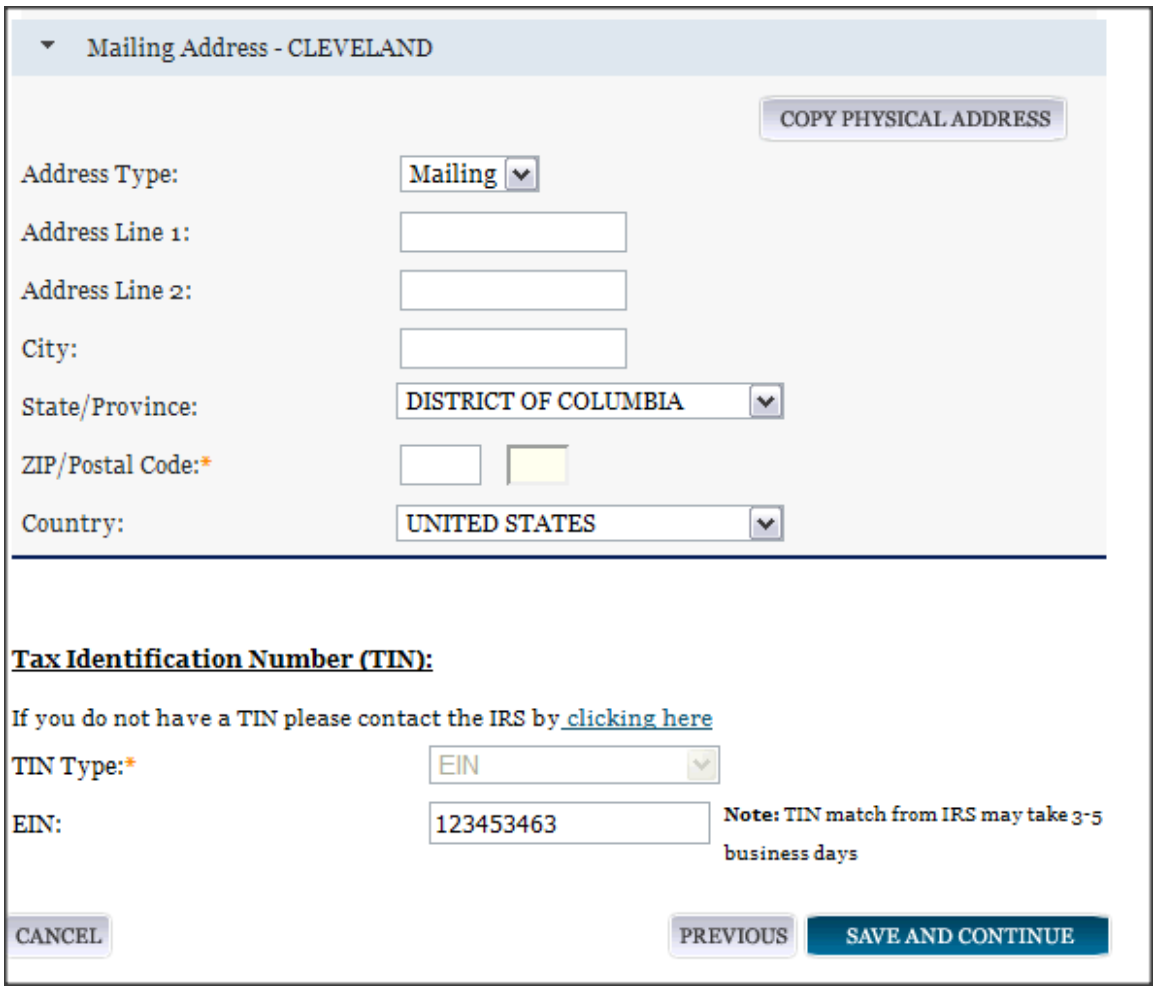
- Enter your business start date.
- Enter the date on which your company's fiscal year ends.
- Enter your company division name and number (if applicable).
- Enter your company's URL (if applicable).
- Congressional District will be pre-filled for you by the system based on your zip code (if applicable).
- Next, create your Marketing Partner Identification Number (MPIN). The MPIN will be used to provide you access to other systems, such as Grants.gov and Past Performance Information Retrieval System (PPIRS). Your MPIN acts as your password in these systems so you should guard it as such. A MPIN is required even if you do not anticipate usage of authorized MPIN systems. **If you pay U.S. taxes you will also need your MPIN in an upcoming screen so please be sure to remember it**. The MPIN must contain nine characters; at least one letter and one number character each. It should not contain spaces or special characters. You may change the MPIN at any time.
- Your physical address will appear next. This is pre-filled from the D&B address associated with your DUNS number. Your physical address is the location of your building.

Figure 3.74: Business Information Part 1



- Next associate a mailing address to the entity. Click "Copy Physical Address" if your mailing address is the same as the physical address.
- Enter the Tax Identification Number (TIN) for your entity. As a U.S. Federal Government agency your TIN Type will be an Employee Identification Number (EIN).
- Click "Save and Continue"

Figure 3.74: Business Information Page Part 2



3.7.1.5 IRS TIN Consent

This consent screen allows SAM to validate your TIN with the Internal Revenue Service. This is a requirement before your registration can be activated.

Complete the TIN consent form by entering the following:

- Taxpayer Name. NOTE: Your "Taxpayer Name" might not be the same name as your "D&B Legal Name" name. For example, your D&B Legal Name is "SAM, LLC," but your

Taxpayer Name is "System for Award Management, LLC." To find your Taxpayer Name, review your tax statements from the IRS (such as a 1099 or W-2/W-4 form). When you enter your Taxpayer Name in SAM only use letters, numbers, spaces, hyphens (-) and ampersands (&) and omit any other special characters. **Please note that if you do not enter your Taxpayer Name correctly, activation of your registration will be delayed.**

- Tax Identification Number (TIN). This will be pre-filled with the EIN you entered on the Business Information page

Figure 3.75: IRS Consent Form Part 1

CONSENT TO DISCLOSURE OF TAX INFORMATION

I hereby authorize the Internal Revenue Service (IRS) to validate that the legal Business Name and the Taxpayer Identification Number (TIN) (Employer Identification Number or Social Security Number) provided by the registrant matches or does not match the name and/or name control and TIN in the files of the IRS for the most current tax year reported.

Pursuant to 26 U.S.C. 6103(c), I hereby authorize the Internal Revenue Service (IRS) to disclose to the officers and employees of the System for Award Management (SAM) Program Office whether the name and/or name control and TIN provided in connection with this registration is the TIN maintained in IRS files for **SMALL BUSINESS ADMINISTRATION, UNITED STATES** for the most current tax year reported. I recognize that this validated TIN will reside on SAM and will be accessible to Federal Government procurement officials and other Government personnel performing managerial review and oversight, for use in all Governmental business activities including tax reporting requirements and debt collection.

For questions about your EIN, please call the IRS at 1-866-255-0654. For questions about your SSN, please call the Social Security Administration at 1-800-772-1213. In addition by providing the following information, I certify that I have the authority to execute this consent for the disclosure of this return information on behalf of the registrant.

Upon completion of this page all information required to perform the TIN match will be sent to IRS. Please confirm all information is accurate before proceeding as it will not be editable.

TIN Consent:

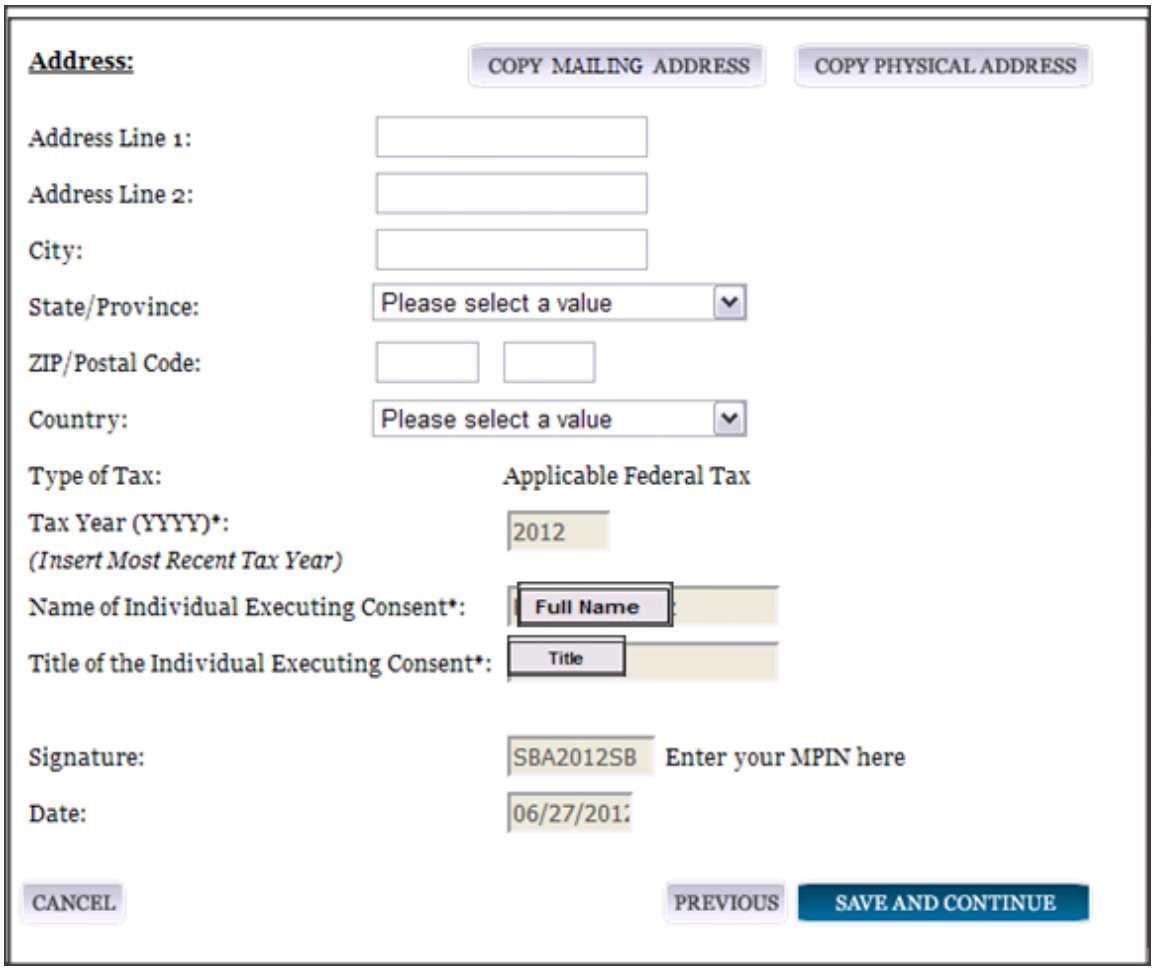
Note: The TIN will not be validated unless the Taxpayer Name is an exact match of the name that the IRS has on file for your entity according to its most recent tax return. Please note that this may be different than the Legal Business Name. When you enter your Taxpayer Name, only use letters, numbers, spaces, hyphens (-) and ampersands (&); omit any other special characters that are part of the business name.

Tax Payer Name*: Tax Payer

Taxpayer Identification Number(TIN): 123453463

- Taxpayer Address. Enter the address that the IRS has on file for your entity. You may click the "Copy Mailing Address" or "Copy Physical Address" buttons to use one of the addresses you have previously entered.
- Type of Tax. This will be pre-filled as Applicable Federal Tax.
- Tax Year. Enter the most recent year you have filed taxes for.
- Name of Individual Executing Consent. Enter your first name and last name.
- Title of Individual Executing Consent. Enter your title.
- Signature (MPIN). The value you enter here must match the value for the MPIN you created on the Business Information Page. The IRS requires you provide this information here to serve as a signature.
- Date. The date will be pre-filled for you once you have entered your MPIN to sign the consent.
- If the data is correct, click "Save and Continue."

Figure 3.75: IRS Consent Form Part 2

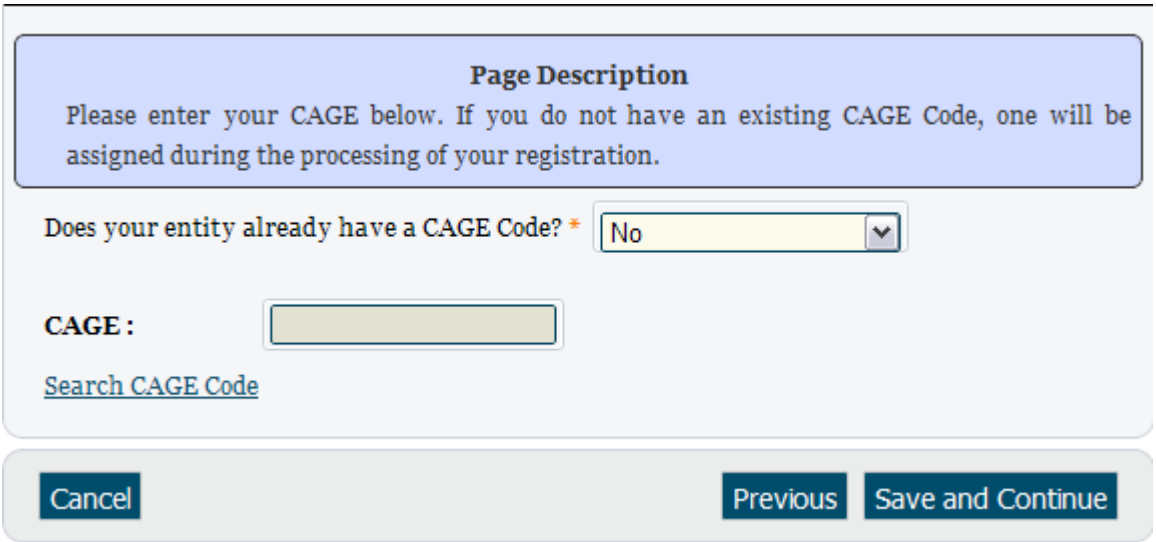


3.7.1.6 CAGE Code

You will now be on the "CAGE Code" page. The Commercial and Government Entity (CAGE) Code is a five-character ID number which is assigned to entities located in the United States by the Defense Logistics Agency's (DLA's) Logistics Information Service, under North Atlantic Treaty Organization (NATO) procedures, and used within the Federal Government. All U.S. entities must pass a CAGE code validation process.

- Answer the question, "Does your entity already have a CAGE code."
  - If you are not sure whether or not you have a CAGE code, click the "Search CAGE code" link to check. (http://www.dlis.dla.mil/BINCS/begin_search.aspx) to check
- If you answered "Yes," enter your CAGE code in the next field.
- If you answered "No," then a CAGE code will automatically be assigned to your entity once you submit your entity's registration and the TIN validation has been returned.
- Click "Save and Continue."

Figure 3.76: CAGE Code



3.7.1.7 General Information Page

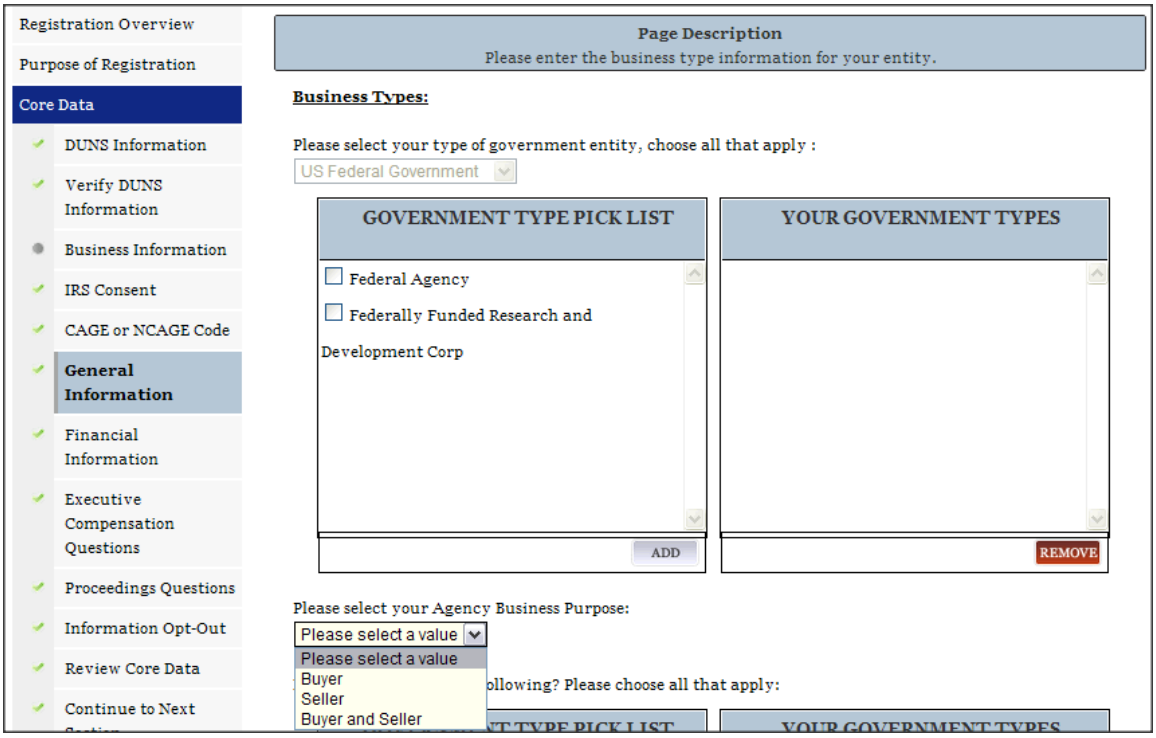
Complete the General Information about your entity. General Information includes the business types for your entity, your entity's business purpose (Buyer or Seller) and other identifiers. A Content Glossary is located to the right of the page that provides details about each data element. See Figure 3.77 for an example of the General Information page.

Fill out your Business Information:

- The categorization of your entity as a government organization is pre-filled based on your purpose of registration.
- Your Government Type is also pre-filled based on your purpose of registration.

- Check the box next to the type you wish to select and click "Add":
  - U.S. Federal Government
    - Federal Agency
    - Federally Funded Research and Development Corporation
- Select your agency business purpose. You should select one of the following:
  - Buyer
  - Seller
  - Buyer and Seller
    -

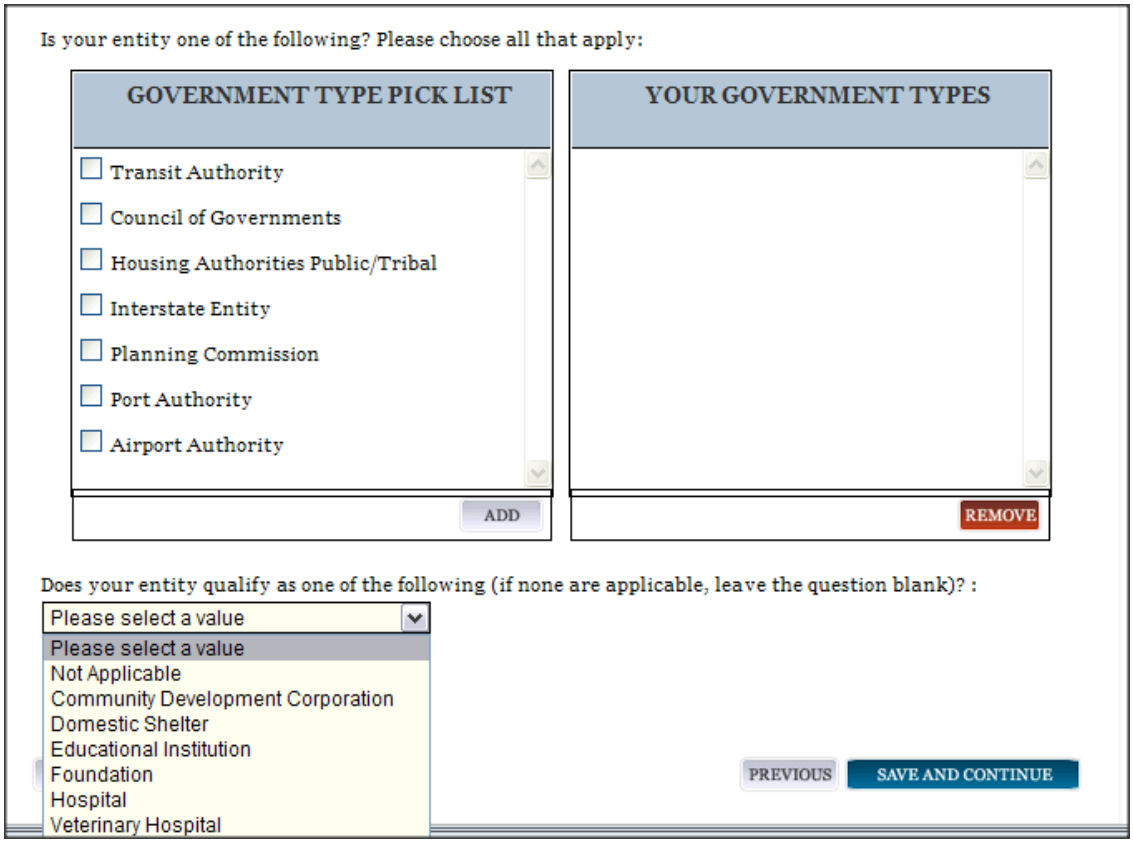
Figure 3.77: General Information Part 1



- Indicate if your entity is one of the following by using the picklist provided. Check the box next to the type you wish to select and click "Add":
  - Airport Authority
  - Council of Governments
  - House Authority Public/Tribal
  - Interstate Entity
  - Planning Commission

  - Port Authority
  - Transit Authority
- Indicate if your entity qualifies as one of the following:
  - Community Development Corporation
  - Domestic Shelter
  - Educational Institution. If you select Educational Institution these additional options will appear:
    - 1890 Land Grant College
    - 1994 Land Grant College
    - Historically Black College or University (HCBU)
    - Minority Institutions
    - Private Universtiy or College
    - School of Forestry
    - Hispanic Servicing Institution
    - State Controlled Institution of Higher Learning
    - Tribal College
    - Veterinary College
    - Alaskan Native Servicing Institution (ANSI)
    - Native Hawaiian Servicing Institution (NHSI)
  - Foundation
  - Hospital
  - Veterinary Hospital
- Click “Save and Continue”

Figure 3.77: General Information Part 2

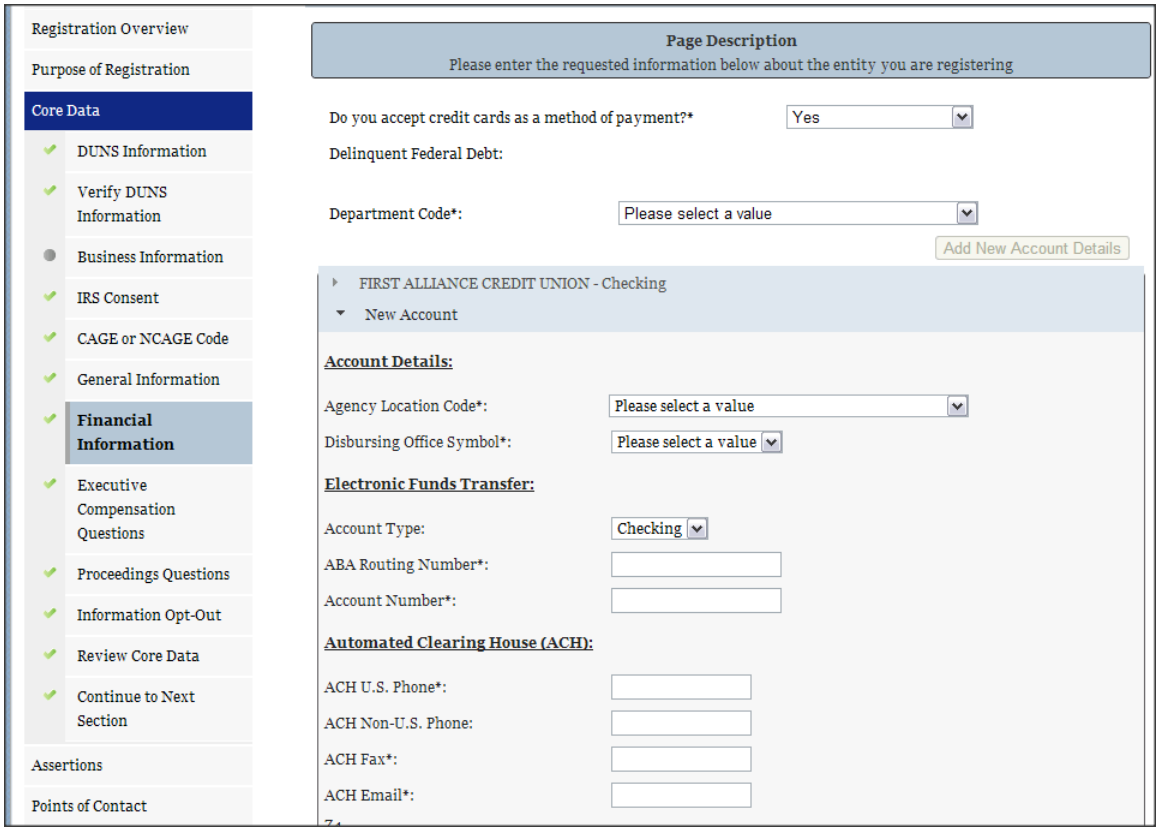


3.7.1.8 Financial Information

On the Financial Information page, you will enter the information necessary for the government to pay you for any goods or services you provide. If you do not have the information necessary to complete this page, contact your bank or financial institution.

- Answer if your entity accepts the Governmentwide purchase card as a method of payment.
- You are asked for are the Department Code, which identifies the agency based on the Treasury Index of Agency Codes.
- Enter your Agency Location Code (ALC) which corresponds to the registering office. This must be associated in a one-to-one relationship with the DUNS number. You will then receive a drop-down list based on your agency, and you may choose one. If you do not know which code relates to this office, ask your finance office.
- Enter your Disbursing Office (DO) code assigned by the Treasury IPAC system. You should have only one DO per record.
  - In rare circumstances you may find that you have more than one DO per record. In that case you may need to create a DUNS + 4 or DoDAAC+4 extension after your initial record is active. To do this return to this screen and select the “Add New Account Details” button to add the appropriate information.

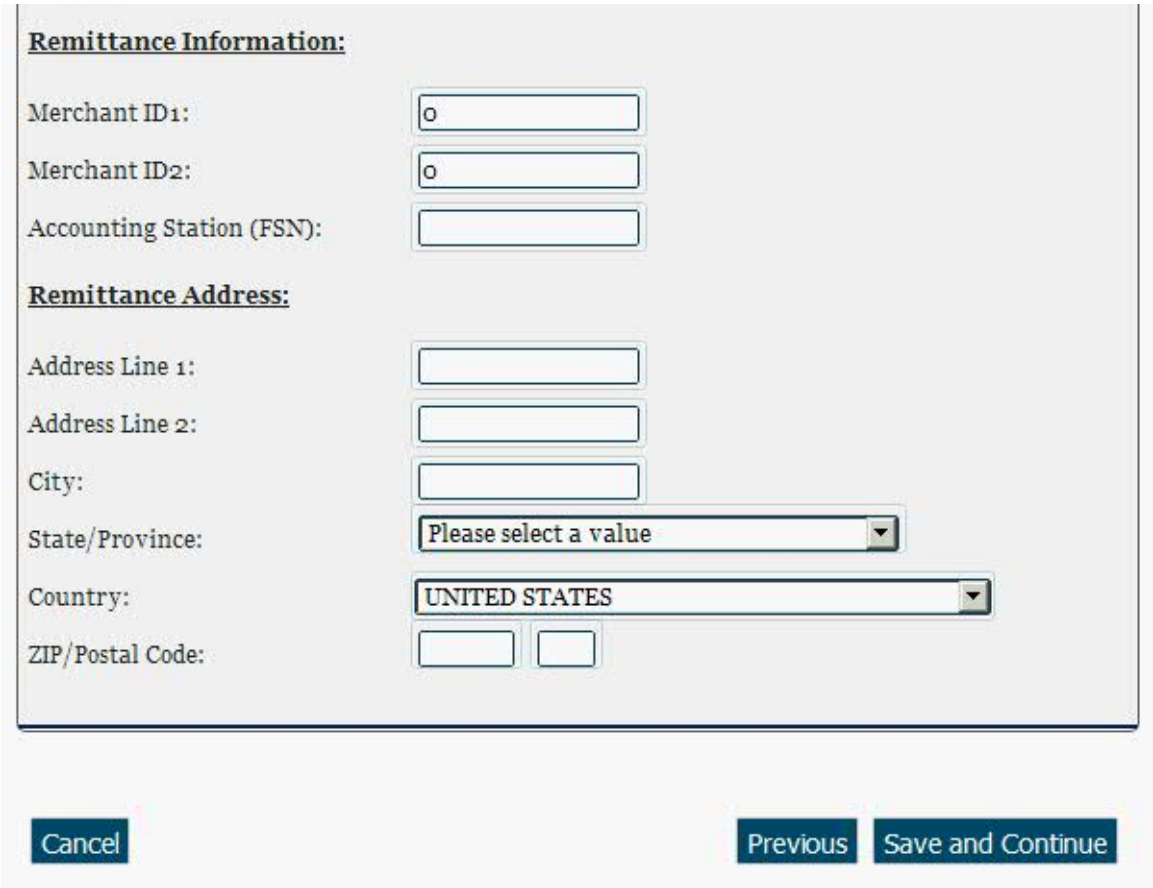
Figure 3.78: Financial Information, Part 1



- Enter your Merchant ID(s). If you have indicated that you accept credit cards and that you are a “Seller” or “Buyer and Seller” then at least one Merchant ID is required. If you work with two different banks to process credit card receipts, you may have two merchant IDs.
- Enter your Accounting Station, which is also referred to as Fiscal Station Number (FSN).
- Enter your remittance information. The remittance name and address information is mandatory data. This information will be used to mail you a paper check in the event that an EFT transfer does not work. If you use a lockbox and want checks mailed directly to the bank, use the bank's name and address here.

Click “Save and Continue.”

Figure 3.79: Financial Information, Part 2



3.7.1.9 Executive Compensation Questions

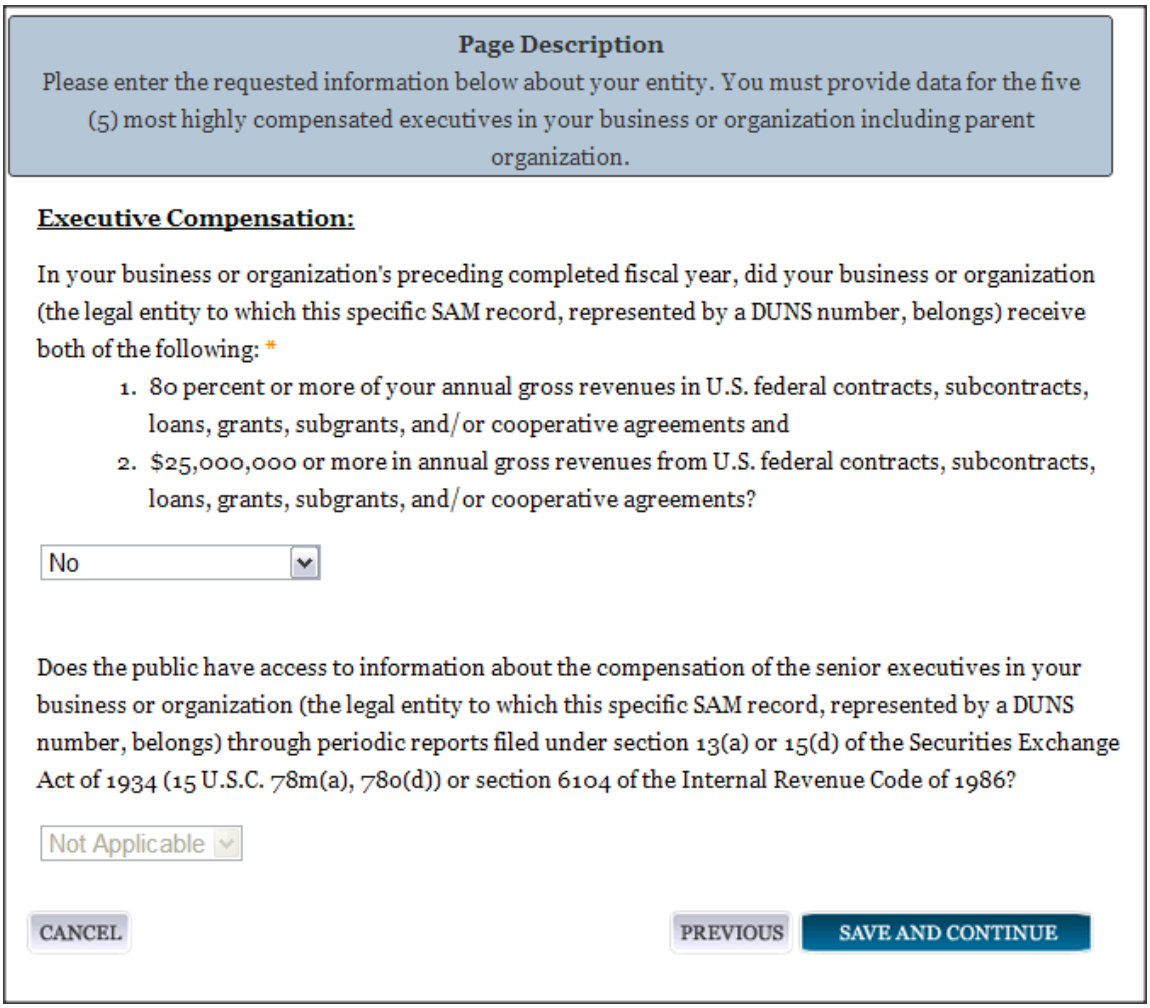
In the Executive Compensation section, you are asked to provide information which supports the Federal Funding Accountability and Transparency Act (FFATA) of 2006, as amended, reporting requirements. You may also refer to Public Law 110-252 dated June 30, 2008, Chapter 2, Section 6202.

- If you answer "Yes" for the first question on Executive Compensation, you will be asked to answer an additional question shown in Figure 3.80.
- If you answer "No" to the second question, you must provide additional details on the following page.
- If required, you must provide the following details for the five (5) most highly compensated executives for your entity:
  - Name You must provide your top 5 executive compensated employees names. "Executive," means officers, managing partners, or any other employees in management positions.
  - Title

- Total Compensation value - "Total compensation" means the cash and non-cash dollar value earned by the executive during the entity's preceding completed fiscal year. For more information on complete listing please review here.

The salary and compensation information you provide will not be publicly viewable in SAM, however, it will be made public in accordance with the FFATA. This Act requires this information to be supplied to the public (via usaspending.gov) in relation to federal awards (including federal contracts, federal financial assistance and expenditures) you receive, if applicable.

Figure 3.80: Executive Compensation



Page Description

Please enter the requested information below about your entity. You must provide data for the five (5) most highly compensated executives in your business or organization including parent organization.

Executive Compensation:

In your business or organization's preceding completed fiscal year, did your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) receive both of the following: *

1. 80 percent or more of your annual gross revenues in U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements and
2. $25,000,000 or more in annual gross revenues from U.S. federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?

No

Does the public have access to information about the compensation of the senior executives in your business or organization (the legal entity to which this specific SAM record, represented by a DUNS number, belongs) through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986?

Not Applicable

CANCEL PREVIOUS SAVE AND CONTINUE

- After answering the questions, click "Save and Continue."

3.7.1.10 Proceedings Information

You are required to provide proceedings data about entity. You must answer up to three (3) qualifying questions to determine if this information is required. The questions you will be asked are displayed in Figure 3.81.

Figure 3.81: Proceedings Questions

Page Description
Please answer the following Proceedings questions about your entity.

Proceedings:

Is there a Federal solicitation on which your business or organization, as represented by the DUNS number on this specific SAM record, is bidding that contains the FAR provision 52.209-7, or has your business or organization, as represented by the DUNS number on this specific SAM record, been awarded a Federal contract that contains FAR clause 52.209-8? *

Please select a value

Does your business or organization, as represented by the DUNS number on this specific SAM record, have current active Federal contracts and/or grants with total value (including any exercised/unexercised options) greater than $10,000,000?

Not Applicable

Within the last five years, had the business or organization (represented by the DUNS number on this specific SAM record) and/or any of its principals, in connection with the award to or performance by the business or organization of a Federal contract or grant, been the subject of a Federal or State

1. Criminal proceeding resulting in a conviction or other acknowledgment of fault;
2. Civil proceeding resulting in a finding of fault with a monetary fine, penalty, reimbursement, restitution, and/or damages greater than $5,000, or other acknowledgment of fault; and/or
3. Administrative proceeding resulting in a finding of fault with either a monetary fine or penalty greater than $5,000 or reimbursement, restitution, or damages greater than $100,000, or other acknowledgment of fault?

Not Applicable

CANCEL PREVIOUS SAVE AND CONTINUE

If you answer "Yes" to all of the questions you must provide the following detailed information about each current proceeding against your entity:

- Instrument
- State

- Instrument Number
- Type of Proceeding
- Disposition
- Description of the Proceeding

Proceedings Information entered on or after April 15, 2011 is available to the public through the Federal Awardee Performance and Integrity Information System (FAPIIS) in accordance with the passing of the Supplemental Appropriations Act of 2010 (Section 3010 of Pub. L. 111-112).

- After answering the questions, click “Save and Continue.”

3.7.1.11 Information Opt-Out

Starting in July 2008, registrants were allowed to opt-out of public display of their record. Opting out may result in a reduction in Federal Government business opportunities, and subcontractors who choose this option will not be visible to prime contractors. Entities that have opted out will be removed only from the SAM public search, but will still be visible to users with For Official Use Only data access and will be provided in accordance with Freedom of Information Act (FOIA) requests. Please note that your banking information is treated as sensitive data and will not be displayed to the public regardless of your selection.

If you do not wish to allow the public to search and view your record:

- Select "I DO NOT authorize my entity information to be displayed in SAM's Public Search."

NOTE: Your IGT information will automatically be opted out of public search and will only be available to users with For Official Use Only data access.

3.7.2 Entering Assertions

Assertions include, but are not limited to, data about the types of goods and services the entity provides optional Electronic Data Interchange (EDI) and information if the entity wishes to be included in the Disaster Relief Registry.

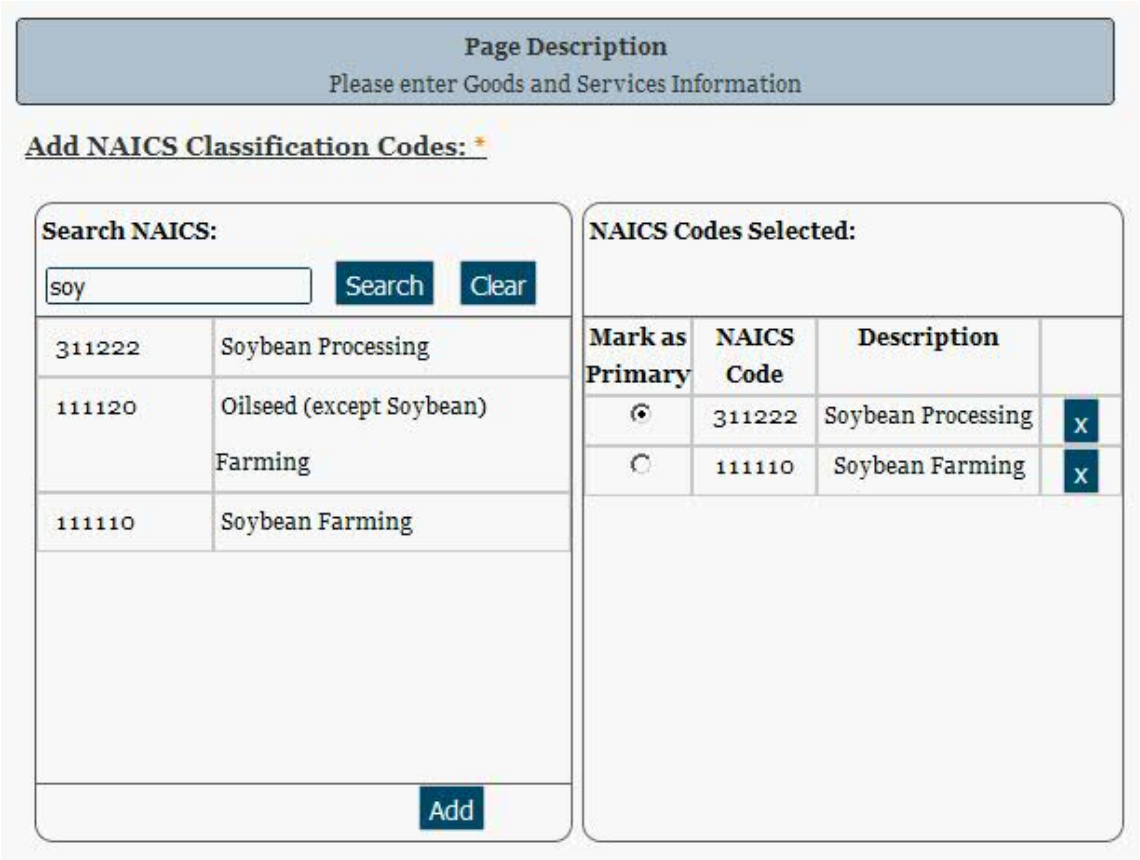
3.7.2.1 Goods and Services

Upon completing your Core Data, enter your information about the types of goods and services your entity can provide. The data you provide assists the government in locating entities that can provide certain goods and/or services.

- Enter North American Industry Classification System (NAICS) codes that best represent the type of industry in which your entity does business. The Small Business Administration (SBA) through public rule-making, assigns thresholds to the individual NAICS codes that are used to assess if entities may be considered a small business in certain classification areas. If you would like to know more about NAICS codes you can go to http://www.census.gov/epcd/naics07. You must supply at least one for your registration to be complete. You can add or change NAICS codes at any time
- In the “Search NAICS” text box, type in the NAICS code or enter a word description of the type of services your business is involved in.
- Highlight the NAICS codes that are applicable to your entity and click “Add.”

- As you select NAICS, the NAICS show up on the right side under "NAICS Codes Selected."
- Select one of the chosen NAICS as your primary NAICS code by clicking the radio button under the "Mark as Primary" column.
- If needed, you can delete a NAICS by clicking the "X" to the right of each NAICS selected.

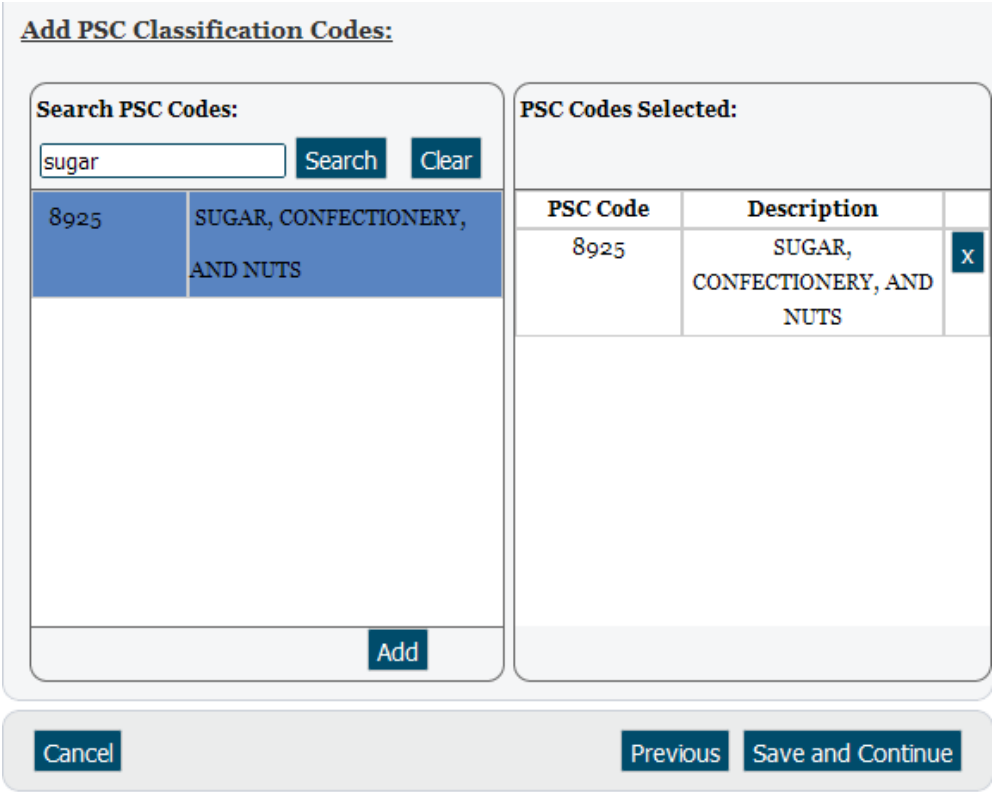
Figure 3.82: Enter NAICS



You also have the option to add Product and Service Codes (PSCs). This section works the same way as the NAICS section. PSC Codes are four-character codes used to identify the types of goods and services your entity can provide. Codes that start with a number indicate a product, codes that start with a letter indicate types of service. More information about PSCs can be found at https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%2011%20August%202011.pdf

- Search for your PSCs.
- Highlight the PSCs that are applicable to your entity and click "Add."
- Click "Save and Continue."

Figure 3.83: Select PSC Codes

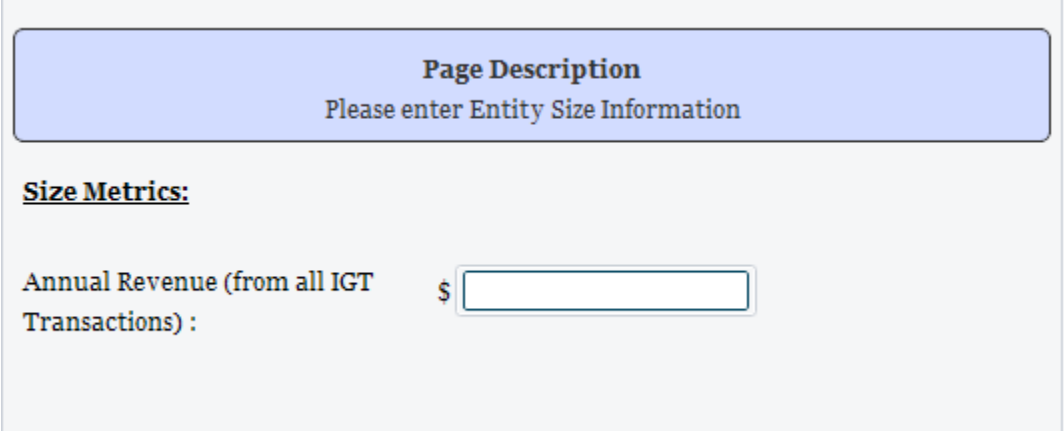


3.7.2.2 Size Metrics

Size metrics for Federal Assistance and IGT registrations only contains one field and that is Annual Revenue (from all IGT Transactions) which is depicted in Figure 3.84.

- Enter your agency's total revenue from IGT sales for the previous fiscal year. This should be for the particular office related to this DUNS number or DoDAAC, not for the agency as a whole.

Figure 3.84: Intra-Governmental Transactions – Enter Size Metrics



- When done, click "Save and Continue."

3.7.3 Entering Points of Contact (POCs)

Before your entity registration is complete, you will be asked to provide Mandatory POCs and Optional POCs. The POCs you will be asked to provide have been determined based on the answers you provided throughout the registration process. All Mandatory POCs must be completed before the registration may be submitted for certification.

3.7.3.1 POC Details

Below (Table 3.5) is a list of the POC types that Federal Assistance and IGT registrants will see. See the glossary for more information on each POC type.

Table 3.5: Federal Assistance and Intra-Governmental Points of Contact

POC Name	Mandatory?	Mandatory Data Elements
Elimination POC	Mandatory	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Accounts Payable POC	If you select buyer or buyer or seller	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Sales POC	Mandatory	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Accounts Receivable POC	Mandatory	First Name, Last Name, Email,
Electronic Business POC	Mandatory	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Electronic Business Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business POC	Mandatory	First Name, Last Name, Email, Address, City

POC Name	Mandatory?	Mandatory Data Elements
		and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Government Business Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Proceedings POC	Mandatory if you have entered proceedings details.	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code
Proceedings Alternate POC	Optional	First Name, Last Name, Email, Address, City and Country. Phone, State/Province (if US or Canada), and ZIP/Postal Code

3.7.4 Submitting the Registration

All mandatory data elements must be completed to submit your registration. If you have done this successfully, you will see a green check mark next to each section in the navigation panel on the left side of the screen.

- Review your registration record in its entirety.
- Click "Edit" to update any necessary information in the registration.
- Click "Submit" to certify that the information is correct.
- SAM will display a confirmation indicating you successfully submitted your registration. You will also receive a confirmation email.

PLEASE NOTE: Your record is NOT yet active

3.7.4.1 Before Your SAM Registration is considered Active

Your entity's registration will NOT be considered active until the following actions take place:

- TIN Match validated by the Internal Revenue Service (IRS). It may take three to five business days from the time you submitted for the IRS to validate new and updated records prior to becoming active in SAM.
- CAGE Code is validated or assigned by DoD, as applicable.

Plan ahead. Allow up to 10 business days after you submit your registration for it to become active in SAM and an additional 24 hours before that registration information is available in other government systems.

You will receive a confirmation email once the registration is activated. At that time, you will be eligible for Federal Financial Assistance from the U.S. Federal Government.

3.8 Status Indicators for your Registration

Your Entity Management record will have one of the following statuses as you go through the registration process:

Status	Definition
Draft	The registrant has initiated an Entity Management registration and has completed the DUNS/DoDAAC validation but has not finished entering their Core Data information
Work In Progress	The registrant has completed all of their Core Data information but has not completed the remaining sections and has not submitted their registration.
Submitted	The registrant has successfully completed all of their Entity Management information and clicked on submit. SAM has submitted their information to have the TIN and CAGE code be validated by IRS and DLIS. Allow up to 10 business days after you submit your registration for it to become active in SAM and an additional 24 hours before that registration information is available in other government systems.
Active	The Entity Management information has been completed by the registrant and the information has been successfully validated by IRS and DLIS.
Expired	The registrant has not updated their Entity Management information at least once in the past 365, the registration becomes in-active.
Deleted	The registrant has taken action to delete their registration.
Inactive	The Entity Management record has been replaced by an updated record. The historical record is placed into the Inactive status.

3.9 Maintaining Your Entity's Data

3.9.1 Your responsibilities

- You are responsible for ensuring the accuracy of your entity's registration in SAM.
- You are responsible for updating all of your registration information as it changes, including ensuring that the most updated changes from D&B and IRS are reflected in your entity's registration in SAM. Remember that the Legal Business Name and Physical Address information are automatically input into your registration from D&B, and it is your responsibility to keep this information updated at D&B. Entities within the U.S. may contact D&B at 1-866-705-5711. Both U.S. and foreign entities may also use their website at http://fedgov.dnb.com/webform.
- You must renew and revalidate your registration at least every 12 months from the date you previously registered to maintain an active status in SAM. However, you are strongly urged to revalidate your registration more frequently to ensure that SAM is up-to-date and in sync with changes (such as an address change) that may have been made to your D&B or IRS information. If you do not renew your registration, it will expire. An expired registration will affect your ability to receive contract awards or payments, submit assistance award applications via Grants.gov, or receive certain payments from some Federal Government agencies. Please be aware that some federal contracts or assistance awards may require you

to revalidate your registration more frequently than every 12 months. Please review the terms and conditions of your federal award carefully to ensure what is required to be compliant.

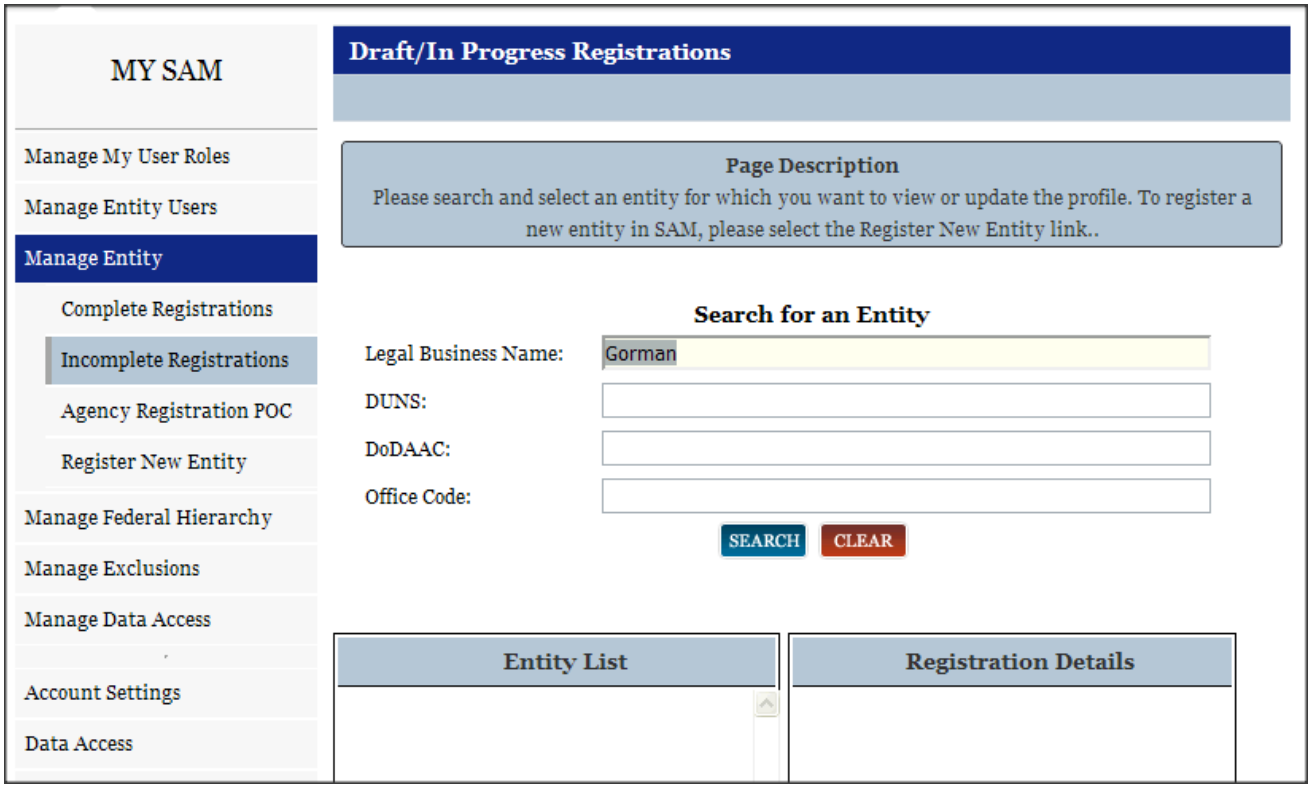
- People in your entity may leave at various times. It is very important that you keep the POC information for your record as upto date as possible. You can enter your registration and update the POC information at any time. Please note that by updating only the POC page, you are not meeting the obligation for renewal of your registration.
- You may voluntarily deactivate your registration at any time by going online with your username and password. If you deactivate your registration by mistake, you may also call the Federal Service Desk to reinstate your registration.
- In the event the Electronic-Business POC leaves your organization, you must ensure that his or her alternate and successor have the information they need to fulfill the E-Business POC role. For instance, the E-Business POC must know the names, contact information, access privileges of each POC.
- In the event the Entity or Agency Administrator (SAM user) leaves your organization, you must ensure that his or her alternate and successor have the reference materials they need to continue with the SAM Entity Management update process. For instance, the Administrator should have the access to the reference guides, names, and contacts of individuals involved with the registration process and other information need to maintain your entity's record in SAM.

3.9.2 Editing Your Entity's Data

You can make changes to incomplete and complete registrations at any time. Please note that you may not edit a submitted registration until it has been activated. To edit your entity's registration, follow these steps:

- Go to SAM's homepage (SAM.gov), and login with your username and password. You will be directed to your My SAM page.
- Under the "Register/Update Entity" section found in the navigation panel on the left side of the screen, select "Complete Registrations" for active registrations or "Incomplete Registrations" for registrations that have not yet been submitted.

Figure 3.85: Search for Incomplete Registrations to Update Record



- Search for the entity registration that you want to update, highlight the entity under Entity List, and click "Update" under the Registration Details. You will be taken to the Verify DUNS and/or DoDAAC page.
- If you are updating an already active entity, you will be asked what you would like to update. If you need to change your purpose for registering in SAM or change your entity/business type, select "Purpose of Registration and remaining entity registration" from the drop down list. If you need to update the registration without changing the Purpose of Registration, select "All sections applicable to the registration besides the Purpose of Registration" from the drop down list. If you only need to update your Point of Contacts in the registration, select "Point of Contacts (POC) ONLY" from the drop down list.
- Make the necessary changes and click "Save and Continue" on each updated page.
- After you review the entire registration, click "Submit" on the final review page. Or, if you are not ready to re-submit the registration, click "Back to User Dashboard" found on the left side of the page. **NOTE: You do not need to re-submit the registration if you only update the POC information. If you update and save the POC information, the changes will be automatically saved to the record.**

Upon clicking "Submit" you will receive a confirmation that you have successfully re-submitted your registration. You will also receive a confirmation email.

3.9.3 Data Received From External Sources

SAM connects to external databases that are considered to be the authoritative sources of information for specific data elements. These include D&B for business address information, ZIPInfo for congressional district information and IRS for delinquent debt information and SBA for the small business size protests. The data from these sources are appended to your entity registration automatically through SAM.

- D&B is the source for DUNS number validations as explained previously. SAM will not accept a registration that has different business information (name and address) than what has been registered at D&B for the DUNS number. In addition D&B reviews all DUNS number records in SAM to ensure that the system has the most current information. If information on a DUNS number record in D&B changes, such as an address or legal business name, and that DUNS number is registered in SAM, D&B will notify SAM of the updates. The registrant will then receive a notification that they need to come to SAM and accept the new information for their record.
- Based on the address information that is used during the registration, SAM will receive the congressional district information for your business from ZIPInfo.com. This information is added to your record automatically and is adjusted as needed. If your physical address changes, then the congressional district information is also updated for your record.
- SAM receives information from the Treasury that flags your record for delinquent debt if you owe the government any money. This information is received directly from the Treasury and automatically added to your record.

3.10 Service Contract Inventory Report (SCR)

At this time Service Contract Inventory Reporting has been disabled. When reporting is enabled, more information will be provided in this section.

4 Administrator

As an administrator in SAM, you are responsible for managing the users who have access to your entity. There are different types of administrators in SAM, each with specific privileges. Table 4.1 shows the administrators found in SAM and the users under their responsibility.

Table 4.1: Administrative Authority

Administrator	Users	Federal / Non-Fed?
Agency Roles Administrator	Agency Administrator – Entity Management Agency Administrator – Exclusions Agency Exclusions Representative Agency Hierarchy Maintainer Office Registration Representative	Federal Administrator
Agency Administrator – Entity Management	Agency Administrator – Entity Management Office Registration Representative	Federal Administrator
Agency Administrator – Exclusions	Agency Administrator – Exclusions Agency Exclusions Representative	Federal Administrator

Administrator	Users	Federal / Non-Fed?
Entity Administrator	Entity Administrator Entity Registration Representative Entity Registration Viewer Reporter	Non-Federal Administrator

The users listed above are users that you can manage at your own entity or a lower level entity in your organization's hierarchy.

Before reading on, note that on the website mandatory fields have been marked with an asterisk (*) to help you understand what data is required.

4.1 Federal Administrators

As a Federal Administrator you are responsible for managing which users have roles with your entity and any entities below you in your organization's hierarchy in SAM. For instance, if you are the administrator at your organization's national headquarters (and it is registered in SAM), you can assign roles at all of the offices (registered in SAM) that are underneath your headquarters.

You have authority over users only within your specified functional area however, if necessary, you can have additional administrator roles for other functional areas. Today in SAM, there are different Federal Administrators for Entity Management and Exclusions roles.

4.1.1 Becoming a Federal Administrator in SAM

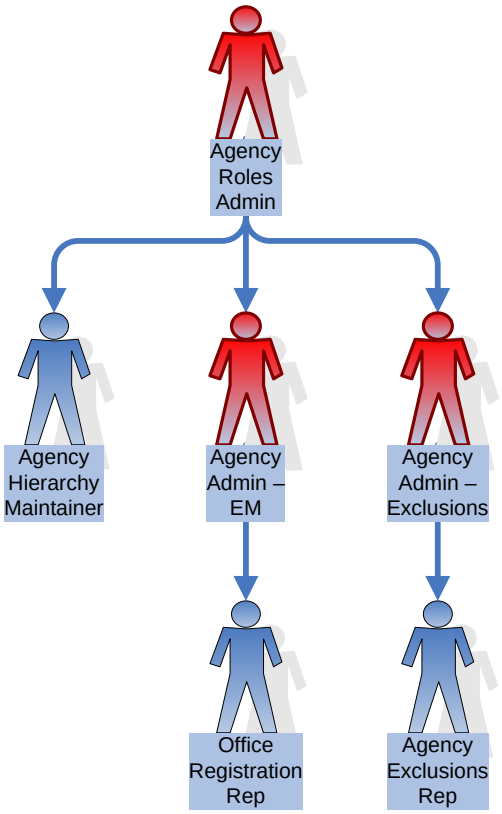
There are several ways to become an administrator in SAM:

- You can migrate your current administrator role from a legacy system. For more information, see Managing Your Roles.
- You can request administrator roles using the "Request Roles with New Entity" functionality in SAM. For more information, see Requesting a Role with a New Entity.
- Another Administrator can assign you administrator roles as an entity can have more than one administrator. For more information, see Managing Invitations to Accept Roles from an Administrator.

4.1.2 Federal Roles

As an administrator you have authority over a certain set of roles. The roles you can manage depend on your administrator type. Figure 4.1 displays the six Federal roles available in Phase 1. The Federal Administrator roles are displayed in red in the diagram. As an Administrator you can manage roles listed underneath your role in the diagram. You can also manage administrators with the same role as you.

Figure 4.1: Federal Roles



Federal roles include:

- Agency Roles Administrator
  - Administrator who can assign all Federal Government roles
  - CANNOT create an Entity Management registration (such as an IGT registration), an Exclusion record, or an Office on the Federal Hierarchy
- Agency Administrator – Entity Management
  - Primary responsibility is to create/edit/delete Entity Management registrations (such as IGT registrations, federal contract registrations, or federal assistance registrations) for your agency AND assign other users (known as Office Registration Representatives) to create\edit those records.
  - Creates/updates/deletes Service Contract Inventory Reports (SCR).
  - Can also assign other Agency Administrators for Entity Management
  - Formerly “Agency Registration Official” in FedReg or “Administrator” in CCR
- Agency Administrator – Exclusions

  - Creates/edits/deletes an agency's exclusions
  - Can assign others to be Agency Administrator for Exclusions
  - Can assign the Agency Exclusion Representative role, if they choose to do so.
- Agency Exclusions Representative
  - Creates/edits exclusions
  - The difference between this role and Agency Administrator - Exclusions role is that the administrator role can assign roles to users.
  - Formerly "Debar User" in EPLS
- Agency Hierarchy Maintainer
  - Can submit requests to FPDS to add/update/remove Offices on the Federal Hierarchy
- Office Registration Representative
  - Create/edits an Entity Management registration (such as IGT registrations, federal contract registrations, or federal assistance registrations)
  - Creates/updates/deletes Service Contract Inventory Reports (SCR).
  - The difference between this role and Agency Administrator - Entity Management role is that the administrator role can assign roles to users.
  - Formerly "Registrant " in FedReg or "Maintenance User" in CCR

NOTE: Within your department/agency not all of these roles need to be assigned. At a minimum you must assign an Agency Hierarchy Maintainer, Agency Administrator for Entity Management, and an Agency Administration for Exclusions. These can be assigned to one user or multiple users.

4.2 Non-Federal Entity Administrators

Entity Administrators are responsible for their managing which users have roles with their entity in SAM.

4.2.1 Becoming a Non-Federal Entity Administrator in SAM

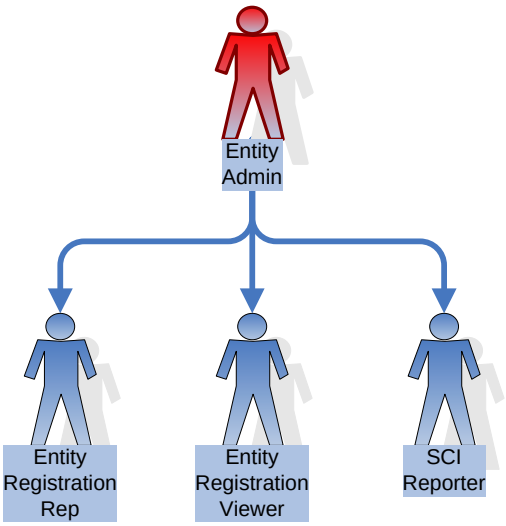
There are several ways to become an administrator in SAM

- You can migrate your current administrator role from a legacy system. For more information, see Managing Your Roles.
- You can request administrator roles using the "Request Roles with New Entity" functionality in SAM. For more information, see Requesting a Role with a New Entity.
- Another Administrator can assign you administrator roles as an entity can have more than one administrator. For more information, see Managing Invitations to Accept Roles from a System Administrator.
- The first user to create an Entity Management registration will automatically become the administrator for that entity. For more information, see Entity Management Registration.

4.2.2 Non-Federal Roles

As a Non-Federal Entity Administrator you have authority over all users within your entity. Figure 4.2 displays the four Non-Federal roles available in Phase 1. The Non-Federal Entity Administrator role is displayed in red in the diagram. As an administrator you can manage roles listed underneath your role in the diagram. You can also manage other administrators in your entity.

Figure 4.2: Non-Federal Roles



Non-Federal roles include:

- Entity Administrator
  - Creates/edits/deletes Entity Management registration (both the registration and the representations and certifications portions)
  - Creates/updates/deletes Service Contract Inventory Reports (SCR) and BioPreferred Reports
  - Can assign roles to others
  - May view a registration
  - May search public data
  - May save search results
  - Formerly "Administrator" in CCR

Since an Entity Administrator can access the functionality of all its users, you do not need to assign the other roles for your entity if you so wish.

- Entity Registration Representative
  - Edits an Entity Management registration (both the registration and the representations and certifications portions)

  - Creates/updates/deletes Service Contract Inventory Reports (SCR) and BioPreferred Reports.
  - May view a registration
  - May search public data
  - May save search results
  - Formerly "Maintenance User" in CCR
- Entity Registration Viewer
  - May view an Entity Management registration but only has read-only access
  - May search public data
  - May save search results
  - Formerly "View Only User" in CCR
- Reporter
  - Creates/updates/deletes Service Contract Inventory Reports (SCR) and BioPreferred Reports

4.3 Managing Entity Users

The sections below cover the specific actions that you can take as an administrator of an entity:

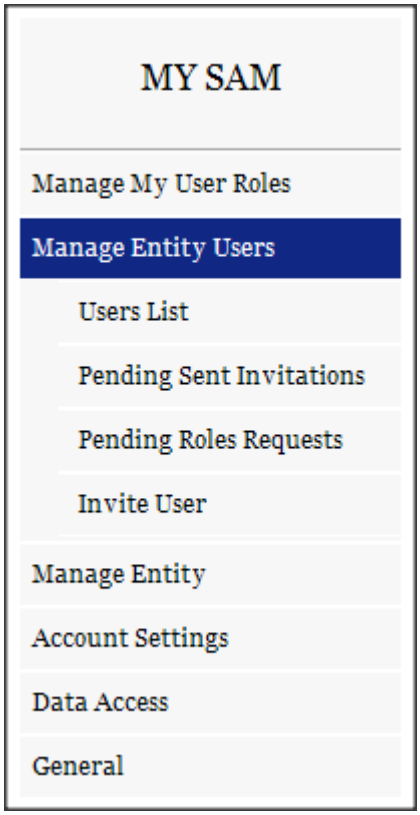
- Inviting users to your entity
- Managing current users of your entity
- Managing role requests
- Deactivating entities

4.3.1 Inviting Users to Your Entity

As a Federal or Non-Federal Administrator for your entity, you can invite users to join your entity, allowing them to perform actions on your entity's behalf. This section explains how you can invite users to your entity who do not currently have a role with your entity in SAM. Follow these steps to invite a user to join your entity:

- Click "Invite User" underneath "Manage Entity Users" in the left navigation panel of your "My SAM" page.

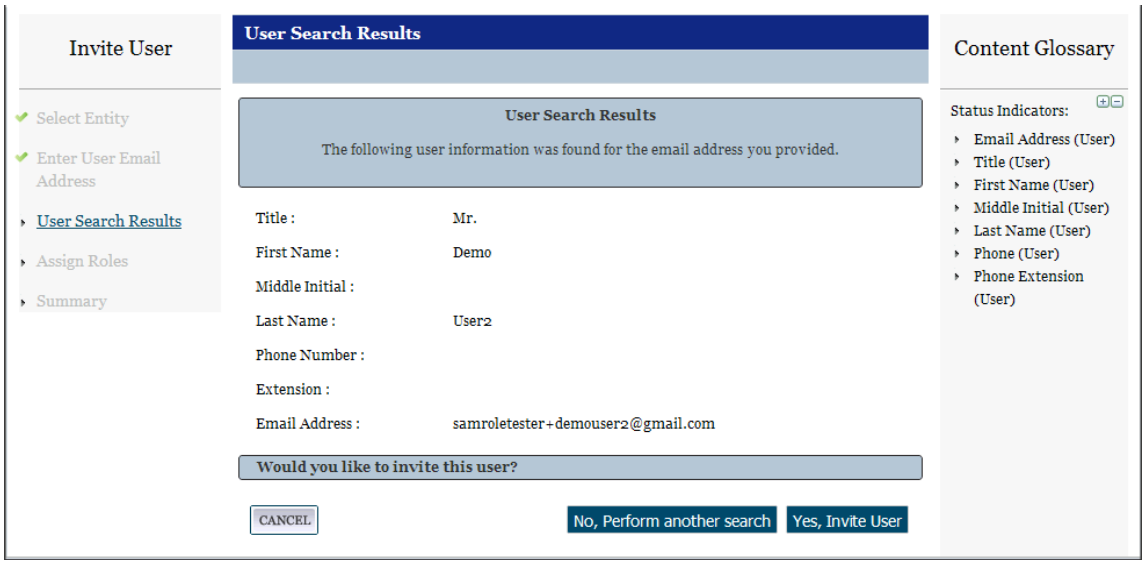
Figure 4.3: Manage Entity Users: Invite Users Link



- Select the entity to which you want to invite the user. All entities that you have authority over are displayed. If you have authority over any lower level entities such as all offices within your agency, you can click the "+" to expand your organization's hierarchy. Click "Next"
  - You can search for your entity by its name, DUNS (if applicable), or code for that entity in the Federal Government hierarchy (only applicable if your entity is on the Federal Government hierarchy. This includes Department Code, Agency Code, Major and Sub-Command Codes, and Office Code).
- Enter the email address of the user you want to invite to your entity. SAM uses the email address to search for an existing SAM account with a matching email address. Click "Next."
  - NOTE: An individual does not need to already have a SAM account prior to being invited.
- If the email address is found, SAM will perform additional checks on the user's roles. If any of the following conditions apply, the user cannot be invited to your entity.
  - User already has a role under your authority. If you see this message, the user already has a role with your entity. You can manage this user's role from your "Users List" page. For more information on managing an existing user's role, see Managing Existing Users.

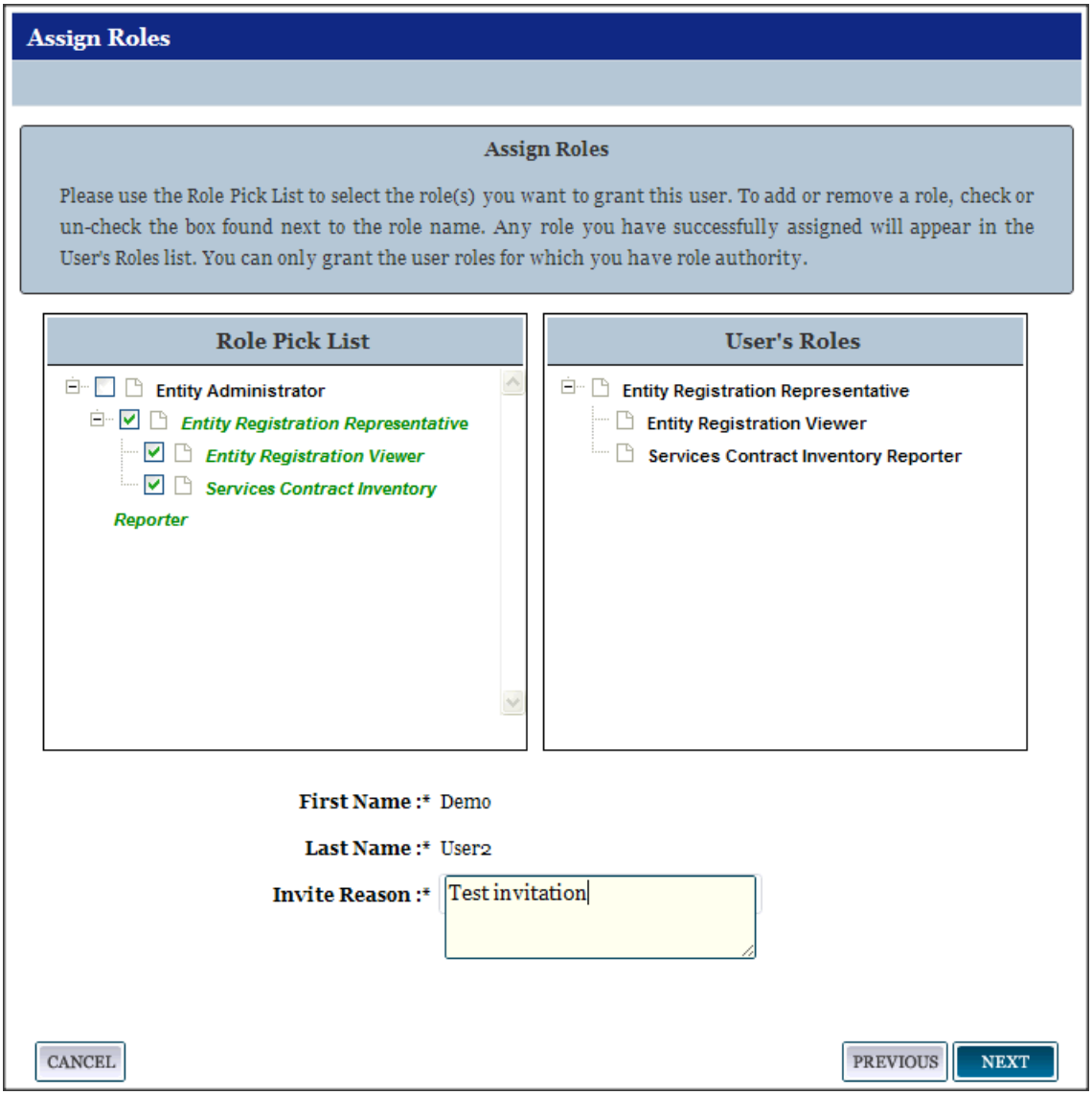
  - User has pending role request to join your entity. For more information on managing a role request, see Managing Role Requests.
  - User has pending invitation to join your entity. In this case you must delete the invitation if you want to send another one. For more information on how to manage an invitation, see Managing Invitations.
  - User has existing role with entity that conflicts with your entity. Users cannot have a role with a Federal Government entity and a non-Federal Government entity using the same SAM account.
- SAM displays an error message if you cannot invite the user to your entity and prompts you to enter a different email address.
- If you can invite the user, SAM displays the user's basic information and asks you to confirm that you would like to invite the user to your entity.
- Select "Yes, Invite User" if the email and account is correct.
- Select "No, Perform another search" if you need to use a different email address. The system will inform you if it still could not find a matching email address and allows you to continue with the invitation using the email address submitted.

Figure 4.4: Found Matching Email Address



- Select a role for the user from the "Role Pick List" by checking the box. This list will vary based on the entity and your administrative rights.
  - NOTE: Roles are grouped hierarchically, which means that certain roles with more authority (the parent role) will automatically include the rights of other roles (children roles) with lesser authority. Click the "+" to see all the roles underneath that role.
- When you select a role, it appears on the "User's Roles" list.
- To remove a role from the invitation, uncheck the role on the "Role Pick List."

Figure 4.5: Assign Roles Page



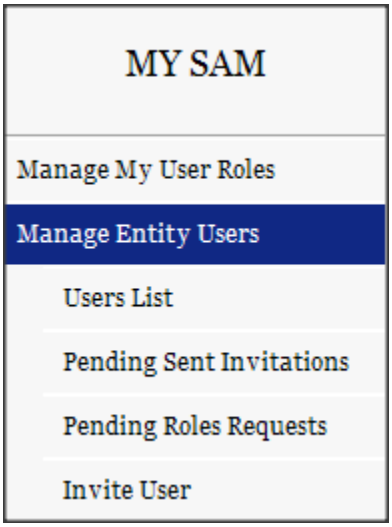
- Enter a reason for the invitation. If you are inviting a user without a SAM account, you must also enter the user's first and last name.
- Click "Next" to advance to the "Summary" page.
- Click "Submit" to finish the role invitation. SAM sends a notification email to the user. If the user does not have a SAM account, he or she must create one to accept the invitation.

4.3.1.1 Managing Invitations

As an administrator, you have the ability to delete pending invitations that you have sent. To delete pending invitations, follow these steps:

- Click “Pending Sent Invitations” under “Manage Entity Users” on the navigation panel of your “My SAM” page.

Figure 4.6: Pending Sent Invitations Link



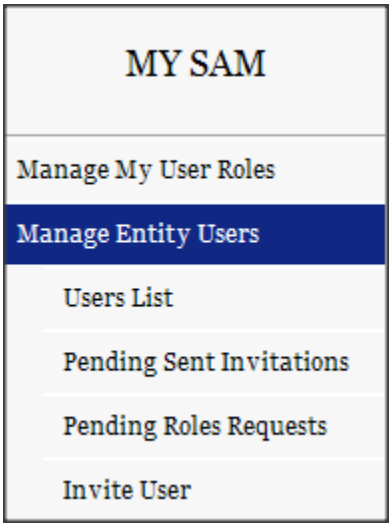
- Review the list of invitations you have sent that have not yet been accepted or rejected by the invitee.
- Select “View” to see more details about each invitation.
- Select “Delete Invitation” at the bottom of the invitation details page to delete the invitation.
- The system will confirm that you wish to delete the invitation. Select “Yes, Delete Invitation” to complete the process.
  - NOTE: When you delete an invitation, the invitee will no longer have the ability to access the invitation.
- The invitee receives an email informing him/her that the invitation has been deleted.

4.3.2 Managing Existing Users

As an administrator, you have the ability to manage users connected to your entity and any entities that are underneath you in your organization’s hierarchy. For more information on the hierarchy, see Hierarchy Maintenance. Follow these steps to manage your entity’s users in SAM:

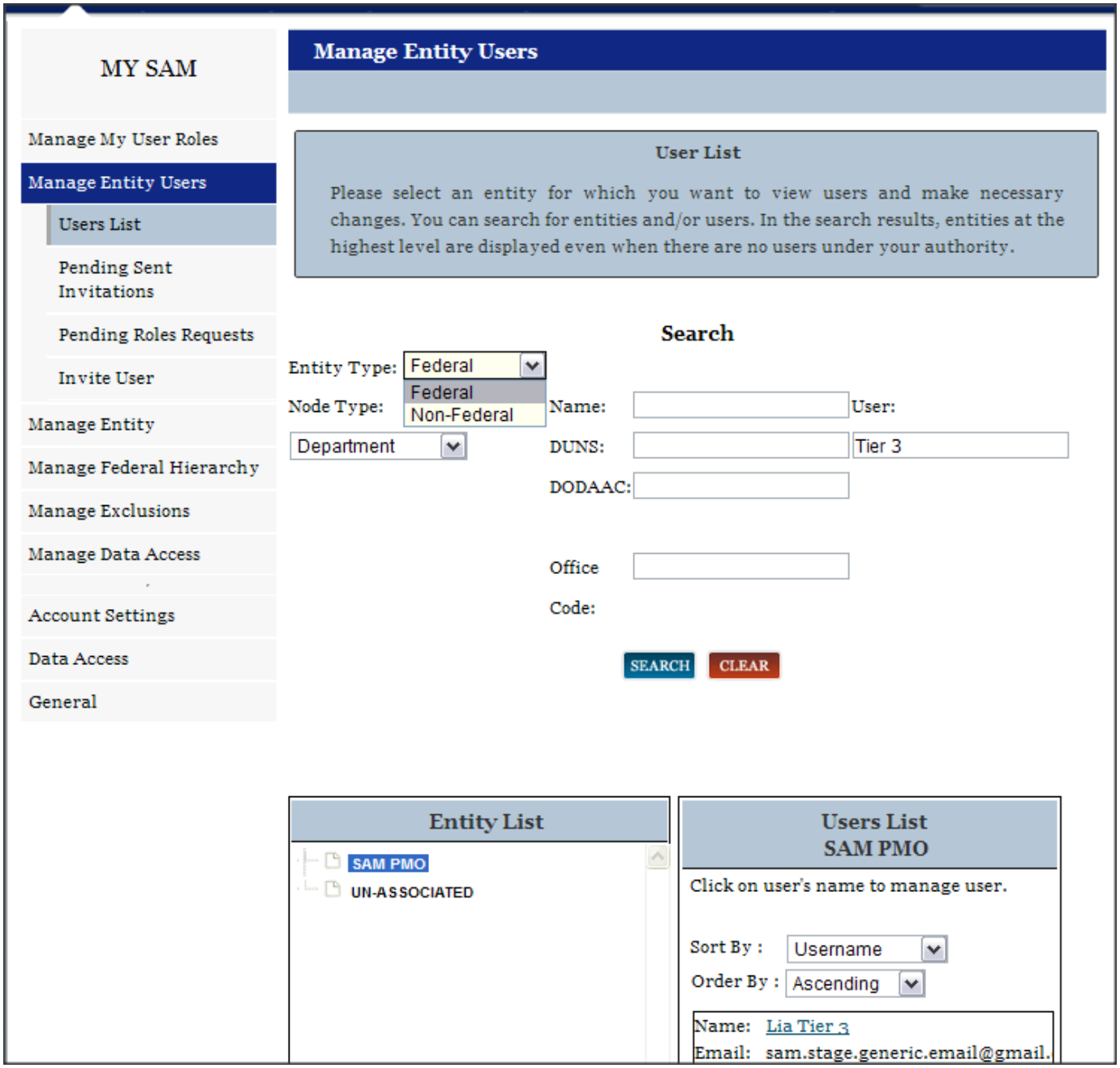
- Under the “Manage Entity Users” header on the left side of your “My SAM” page click “Users List.”

Figure 4.7: Users List Link



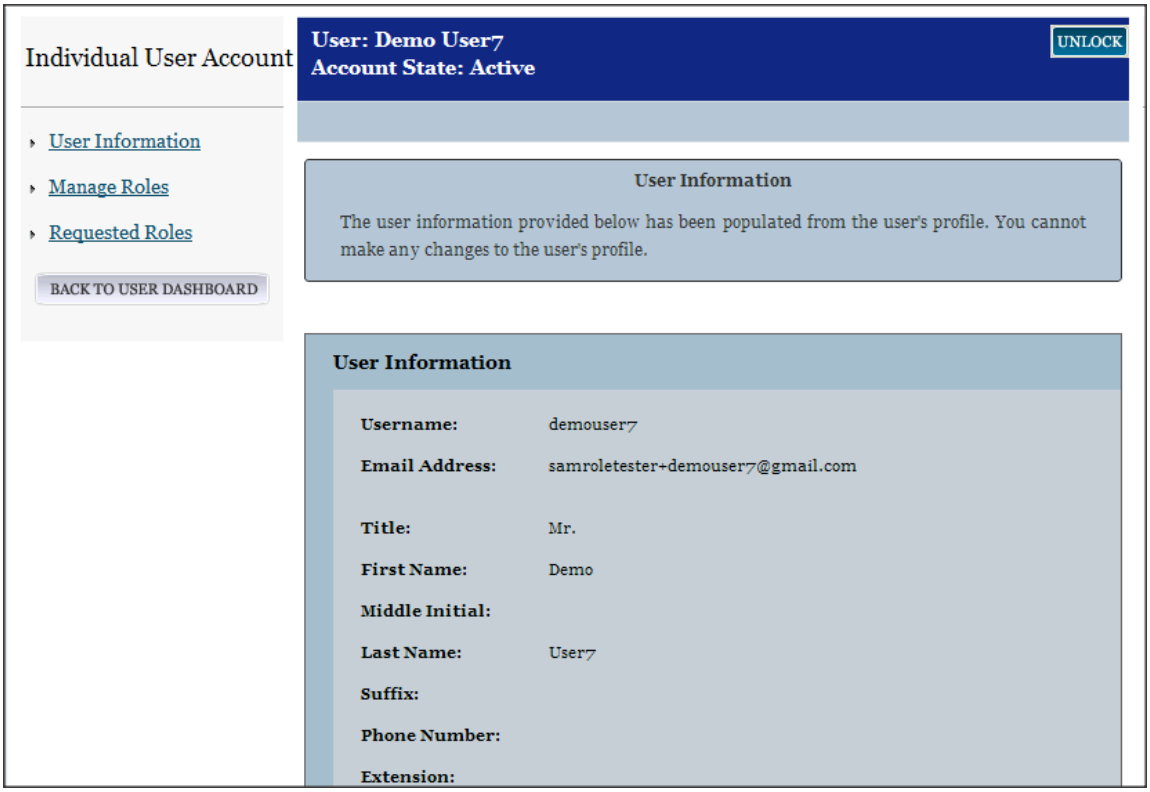
- On the "Manage Entity Users" page, all the entities for which you are the administrator are presented in the "Entity List."
- Click an entry on the "Entity List" to display all users with that entity in the "Users List."
- Alternatively, search for a user by entering the user's name, username or email address. You can also pull up all users for an entity by entering the entity's DUNS number, name or code for that entity on the Federal Government hierarchy (this code only applies to Federal Government entities and includes Department Code, Agency Code, Major and Sub-Command Codes, and Office Code).
- Click the user's name to manage the user.

Figure 4.8: Manage Entity Users Page



- The "User Information" page will display showing the user's profile information with the exception of his or her password and security questions/answers.

Figure 4.9: User Information



- Select "Manage Roles" from the navigation panel on the left side of the screen to see the roles the user has with your entities.
  - For more information on how to modify a user's role, see Adding/Removing User Roles.
- Select "Requested Roles" to manage an existing user's own request for additional roles.

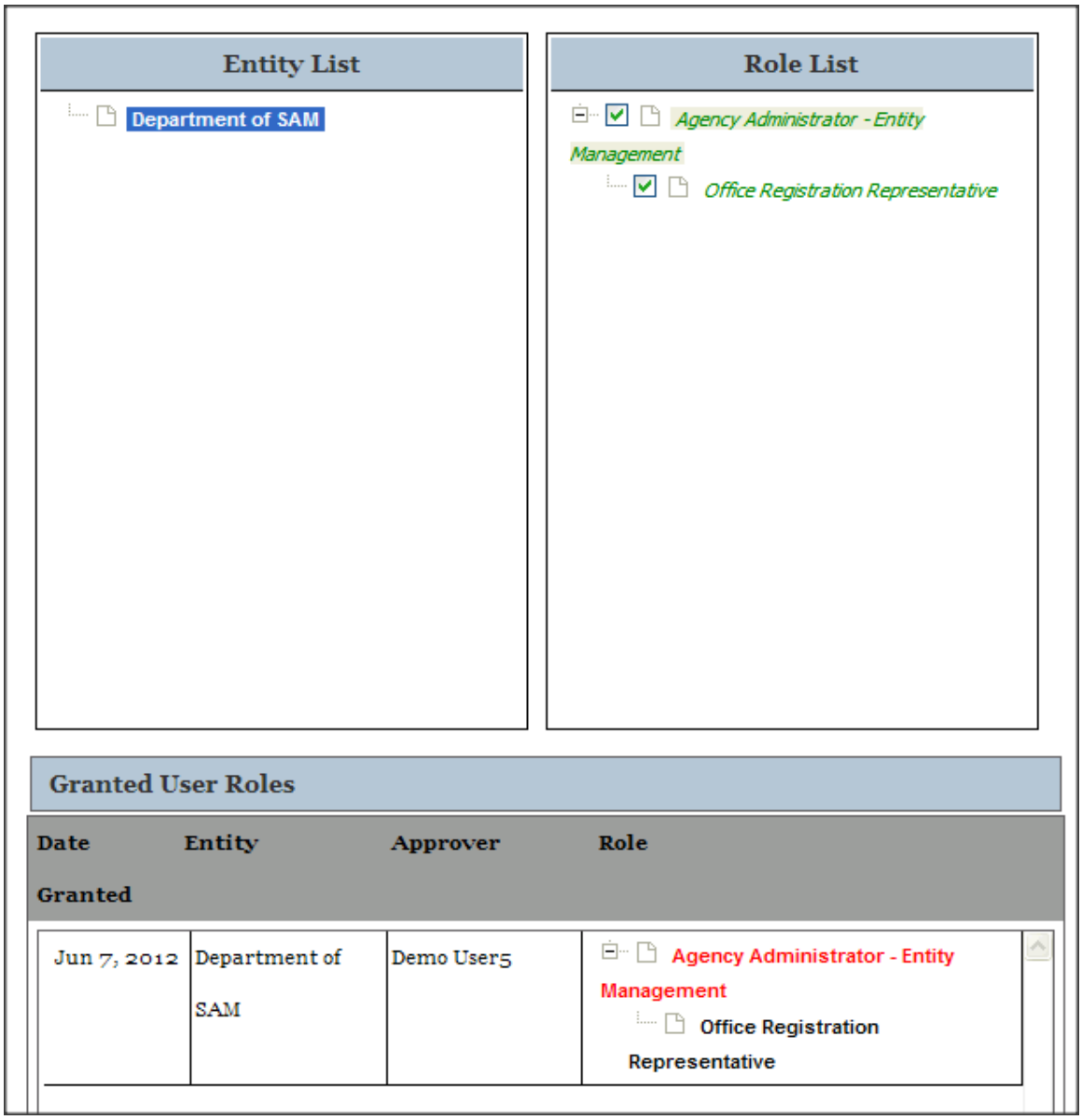
4.3.2.1 Adding/Removing User Roles

As an administrator, you can add and remove a user's roles within your entity. To do so:

- Click "Users List" under "Manage Entity Users" on the navigation panel.
- On the "Users List" page, all the entities for which you are the administrator are presented in the "Entity List."
- Click an entry on the "Entity List" to display all users with that entity in the "Users List" in the right column of the page.
- Alternatively, search for a user by entering the user's name, username or email address. You can also pull up all users for an entity by entering the entity's DUNS number, name or code for that entity on the Federal Government hierarchy (this code only applies to Federal Government entities and includes Department Code, Agency Code, Major and Sub-Command Codes, and Office Code).
- Click the user's name to manage the user.

- In the user's record, click "Manage Roles."
- The "Entity List" displays the entities you can administer.

Figure 4.10: Manage Roles Page



- Selecting an entity will display both the user's existing granted roles and roles that you can assign in the "Role List." The user's granted roles will already be selected.
- Check each new role you wish to grant the user.
  - Roles are grouped hierarchically, which means that certain roles with more authority (the parent role) will automatically include the rights of other roles (children roles) with lesser

authority. Click the "+" to see all the roles underneath that role. Any children roles beneath the selected role will be selected as well.

- Uncheck the role to remove it from the user's list.
- The "Granted User Roles" section displays the roles the user will be granted. The roles in black are the user's current roles. The roles in red are the new roles that you are about to grant. Click "Save" to continue.
- You are taken to the "Summary" page to review the actions that you have taken on the user's roles. Each role will have one of the following labels:
  - Role(s) Assigned – For roles which you are assigning
  - Role(s) Removed – For roles which you have removed
  - Role(s) Existing – For roles the user currently has
- Select "Submit" to confirm the changes. The system immediately updates the user's roles and sends a notification.

4.3.2.2 Disassociating a User from an Entity

Occasionally you may need to remove all of a user's roles. This is called disassociating a user. To do this:

- On your "Users List" page, select the user you want to disassociate.
- On the "Manage Roles" page, select the entity from which you want to disassociate the user.
- Deselect all of the user's roles for that entity as explained in Adding/Removing User Roles and click "Save."
- The "Disassociate User from Entity" page opens, displaying all the entity from which you are disassociating the user. You can only disassociate users from entities where you are an administrator.
- Provide the reason why you are disassociating a user from the entity and select "Next."
- The "Summary" page opens, showing all the role changes you have made.
- Select "Submit" to confirm the changes. The roles are removed immediately and the system sends a notification to the user.

4.3.2.3 Unlocking Users

As an administrator, you have the ability to unlock a user whose account is locked due to too many failed login attempts.

- When a user's account becomes locked, the user can send an unlock request email. This message will come to you as the administrator and will contain a link to their profile page.
- You can also unlock a user's account by first selecting the user on the "Users List" page.
- When the user is locked, you can select "Unlock." This button will not work if the user's account is not locked.

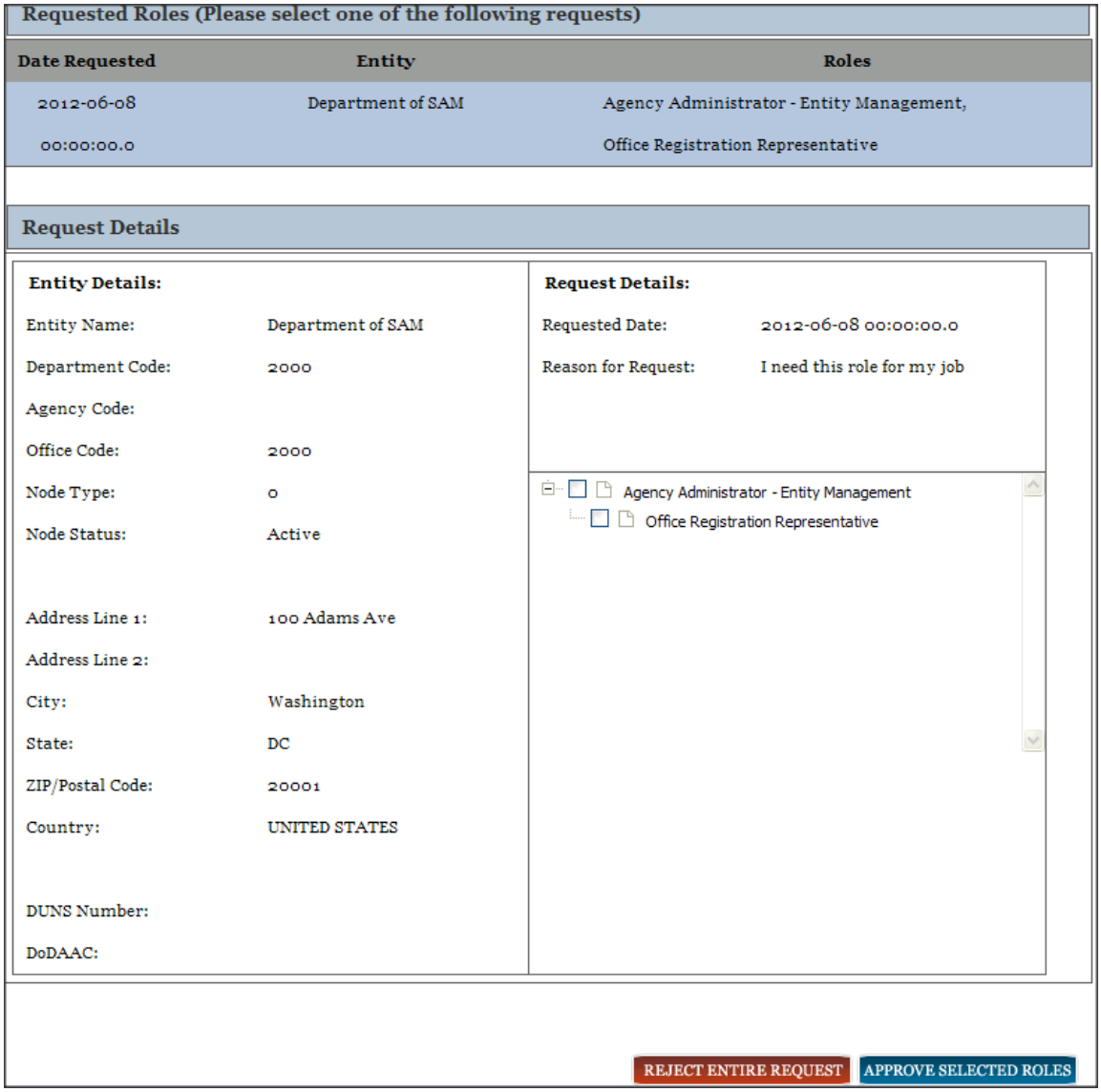
- Click “Unlock” to send a reset password email to the user with a link to access his or her account.

4.3.3 Managing Role Requests

As the administrator, you will receive emails with role requests for your entity. You can see pending role requests under the “Manage Entity Users” section of your “My SAM” page.

- Click “Pending Role Requests.”
- Click “View” to open a specific request.

Figure 4.11: Manage Roles Requests Page



- The roles the user requested are displayed in the “Request Details” section.

- To approve the request, check the roles you wish to grant and click “Approve Selected Roles.”
- Alternatively you can reject the request by clicking “Reject Entire Request.”
- On the “Summary” page you can view your decision.
- Select “Submit” to finalize your decision. SAM sends the requestor a notification.

If the requestor currently has roles with your entity, you can also manage a role request by:

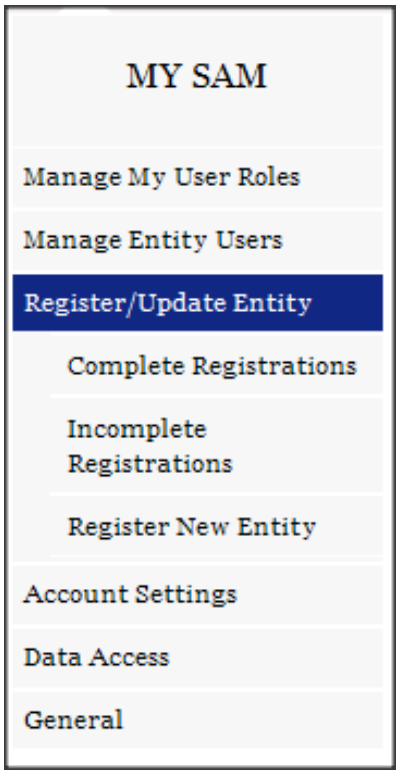
- Selecting “Users List” under the “Manage Entity Users” header on your “My SAM” page.
- Select the user you wish to view by first selecting the entity, then clicking the appropriate user’s name.
- Select “Requested Roles” on the “Individual User Account” page.

4.3.4 Deactivating an Entity Registration

As an Entity Administrator (or Agency Administrator – Entity Management for U.S Federal Government entities), you have the ability to deactivate your entire Entity Management registration.

- Select “Complete Registrations” underneath the “Register/Update Entity” on your “My SAM” page.

Figure 4.12: Complete Registrations



- Select the entity that you want to deactivate from your "Entity List" and click "Deactivate." When you deactivate a registration:
  - It is no longer searchable in SAM.
  - All users lose their roles with that entity.
  - You must contact the SAM Help Desk to reactivate your entity.
- Click "Next" to confirm the deactivation.
- Click "Submit." Your entity is now deactivated and the system has notified your entity users.

NOTE: If your Entity Management registration is for a U.S. Federal Government entity (so your agency has the authority to bid on grants and/or contracts and therefore, has registered as if they are a public entity), deactivating the registration will not affect your department/agency/office's place on the Federal Government Hierarchy. (When an entity is placed on the hierarchy, this is called a node. The term node indicates that the entity exists on the hierarchy, and there is basic information entered for the entity such as name and address). Your entity in the Federal Government Hierarchy can still be active even if you have deactivated your Entity Management registration. In this case, your users' roles will not affected by deactivating the registration. Your entity's Entity Management registration, however, will no longer appear in SAM's public search and as long as it is deactivated, your entity's ability to bid on grants and contracts or conduct IGTs may be affected. If users for your entity performed other actions in SAM (like creating exclusion records), they could still perform these actions

5 Search

In SAM, you can perform full text searches with or without a SAM account. However, if you wish to save your search results or see data that is not public, you must have a SAM account and have permissions to see non-public data. For more information on how roles and permissions relate to search, see Impact of Roles on Search Results.

When performing a search in SAM, be aware of the following disclaimer:

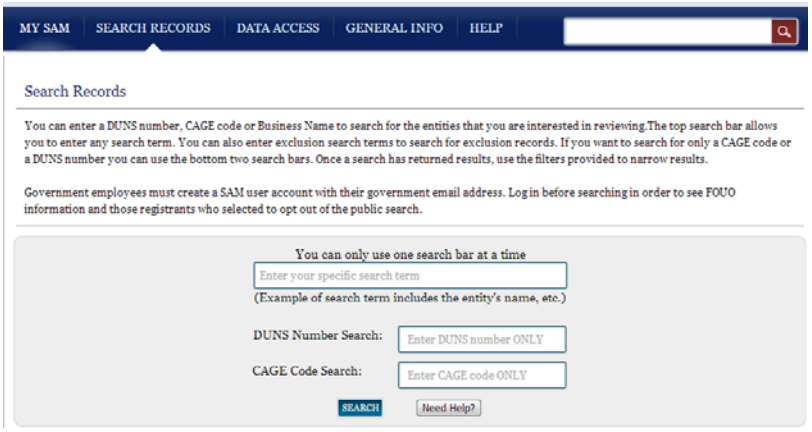
THIS WEBSITE CONTAINS DATA SUPPLIED BY THIRD PARTY INFORMATION SUPPLIERS, ONE OF WHICH IS DUN & BRADSTREET (D&B). THE D&B DATA, WHICH INCLUDES, BUT IS NOT LIMITED TO, INFORMATION RELATED TO THE DUNS NUMBER, IS PROVIDED FOR INTERNAL USE ONLY. BY USING THIS WEBSITE YOU AGREE THAT THE D&B DATA WILL BE USED FOR INTERNAL PURPOSES ONLY. UNDER NO CIRCUMSTANCES ARE YOU AUTHORIZED TO USE THE D&B DATA FOR COMMERCIAL, RESALE OR MARKETING PURPOSES (E.G., IDENTIFYING, QUANTIFYING, SEGMENTING AND/OR ANALYZING CUSTOMERS AND PROSPECTIVE CUSTOMERS). FEDERAL GOVERNMENT ENTITIES ARE AUTHORIZED TO USE THE D&B DATA FOR PURPOSES OF ACQUISITION AS DEFINED IN FAR 2.101. GSA ASSUMES NO LIABILITY FOR THE USE OF THE D&B DATA ONCE IT IS DOWNLOADED OR ACCESSED. THE D&B DATA IS PROVIDED "AS IS" WITHOUT WARRANTY OF ANY KIND. THE D&B DATA IS THE INTELLECTUAL PROPERTY OF D&B. IN NO EVENT WILL D&B OR ANY THIRD PARTY INFORMATION SUPPLIER BE LIABLE IN ANY WAY WITH REGARD TO THE USE OF THE D&B DATA. SYSTEMATIC ACCESS (ELECTRONIC HARVESTING) OR EXTRACTION OF CONTENT FROM THE WEBSITE, INCLUDING THE USE OF "BOTS" OR "SPIDERS", IS PROHIBITED.

5.1 Performing Search

There are several ways to access search capabilities in SAM. The Search tab is always displayed on the navigation bar at the top of the page.

- Click the “SEARCH RECORDS” tab to open the Search page.

Figure 5.1: SAM Navigation Bar

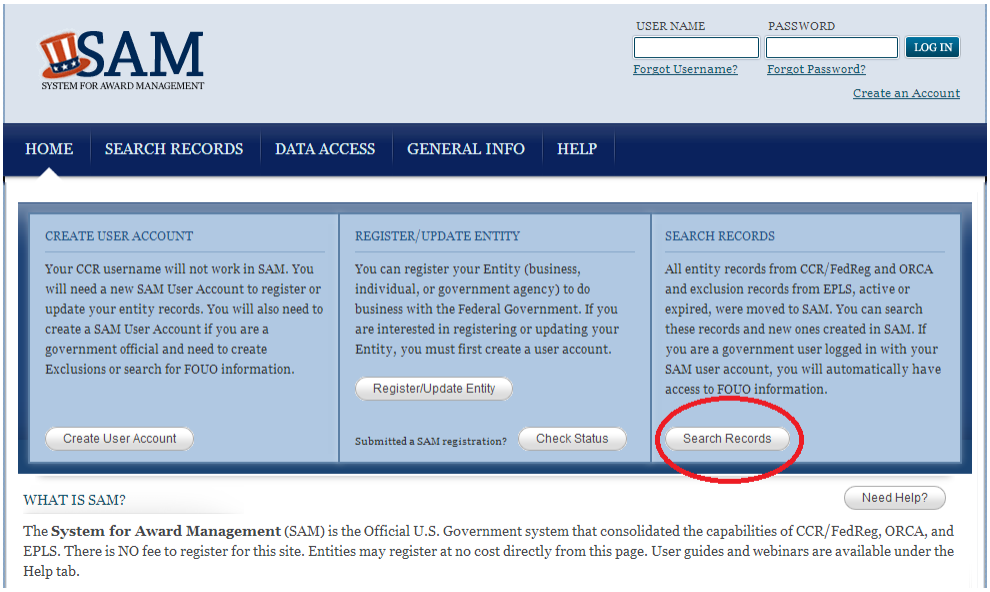


- You can search for a specific term in the first text field or you can search for a specific DUNS number or CAGE code. You can only search in one field at a time.
- When you have entered the appropriate search term, click Search.

You can also search from the SAM Homepage. To do so:

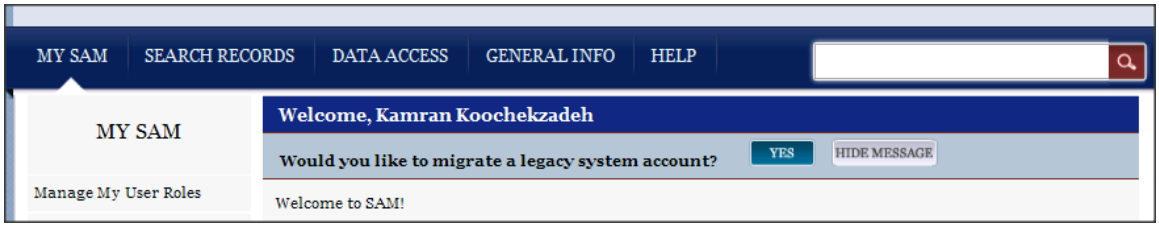
- Select Search Records
- You will be brought to the Search Records page (shown in Figure 5.1)

Figure 5.2: SAM Homepage Search



- Additionally, once you are logged in, a Search bar will appear in the navigation bar along the top of the screen. To search from there, enter a search term in the Search bar and either click the red magnifying glass or click "Enter" on your keyboard.

Figure 5.3: SAM Navigation Bar Search



You may enter any search term in the Search bar. When entering search terms, you can include special characters to narrow your search results.

- If you want to find records that contain multiple search terms, put a "+" between the search terms. For example: Virginia+ Richmond+ Construction will only return results that contain all three terms.
- Use quotations ("") around your query to search for an exact phrase.
- Use "-" before a term if you want your search to exclude any results with that term.
- You can enter a few characters of the name or DUNS number information for the entity for which you are searching and SAM will present all the results that are available that include that string of characters.

SAM will retrieve all public records in the system if you enter "*" into the search bar. The search function does not work if left blank.

- To clear your search terms and filters, select "Clear Search."

If the search results are more than one page, you can view the additional pages by clicking the page links at the bottom or top of the page (click on the number or "Next") to view more results.

You can also sort your results by the following options:

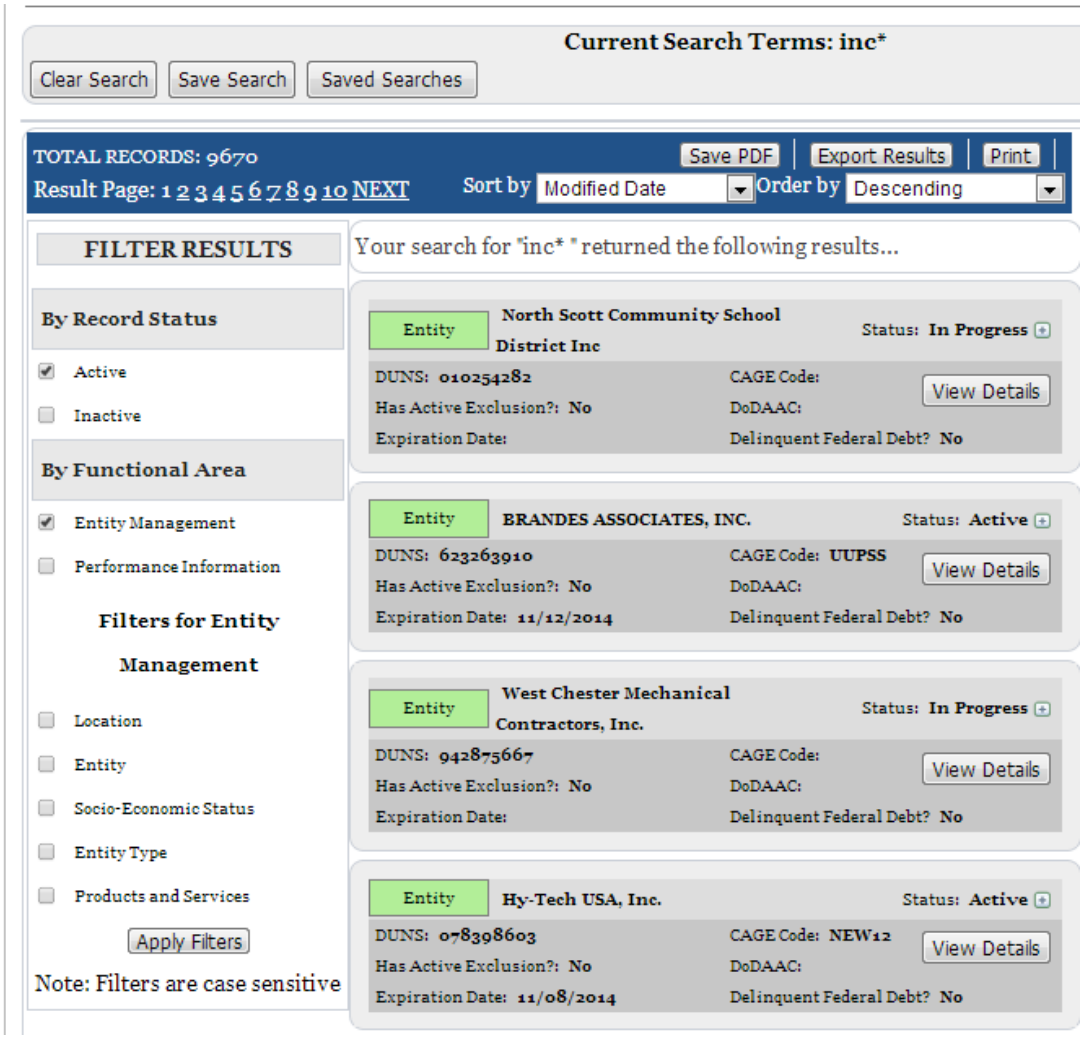
- Relevance
- Alphabetical Order
- Date Last Updated

5.1.1 Search Filters

In SAM, searches default automatically to display all active record types. You have the option to view either active records, inactive records, or both active and inactive records by selecting the applicable status filters. You may also filter by functional area record type, such as Entity Management or Performance Information (Exclusion) Records. Along the left side of your screen are the filters that you may select. To apply a filter to your search:

- Click in the check box to select the appropriate filters. If a filter has subfilters, the subfilters will appear below the list of filters on the left side of the page. For certain filters, you can enter multiple values.
- If you have selected a filter or subfilter, you can remove your selection by clicking the green check mark next to the filter or subfilter name.
- If you have entered a value for a subfilter, you can remove it by clicking the large red X next to the value.

Figure 5.4: Search Filters



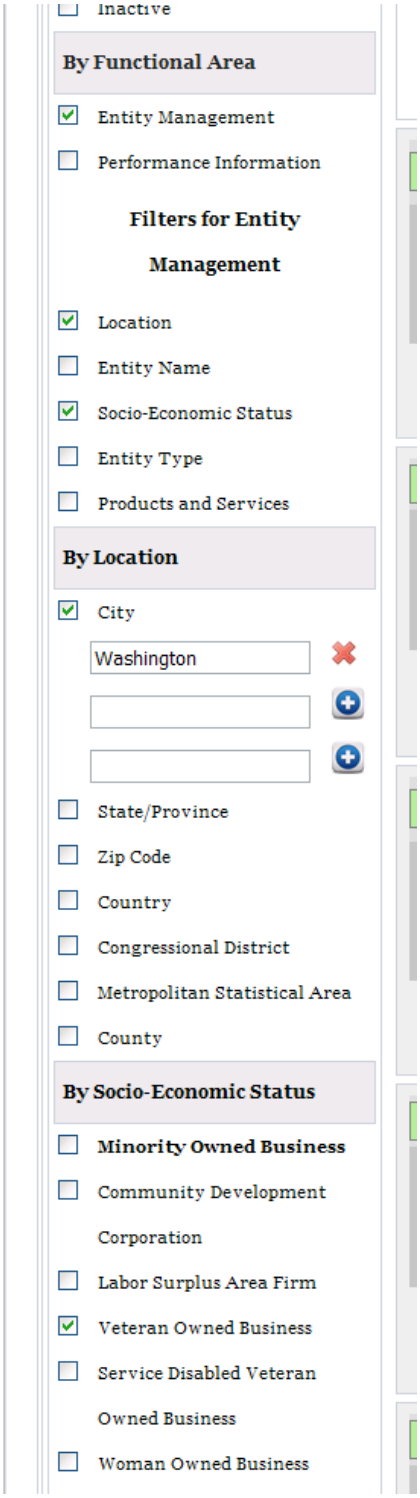
- If you have clicked on the check box indicating that you want to search records in the Entity Management functional area, you have the option to select the following search filters:
  - Location. Subfilters available are: City, State / Province, Zip Code, County, Congressional District, Metropolitan Statistical Area, Country
  - Entity Name. Subfilters available are: Entity Name, DUNS, CAGE Code, Doing Business As Name
  - Socio Economic Status. Subfilters available are: Minority Owned Business, Community Development Corporation, Labor Surplus Area Firm, Veteran Owned Business, Service Disabled Veteran Owned Business, Woman Owned Business, Woman Owned Small Business, Economically Disadvantaged Woman Owned Small Business, Joint Venture Woman Owned Small Business, Joint Venture Economically Disadvantaged Woman Owned Small Business, Self Certified Small Disadvantaged Business, SBA Certified 8A

Program Participant, SBA Certified HUBZone Firm, AbilityOne (formerly JWOD) Non-Profit Agency

  - Entity Type. Sub filters available are: U.S. Federal, State, Local, Tribal or Foreign Government Entity; Disaster Response Contractor; Business or Organization
  - Products and Services. Sub filters available are: NAICS code, PSC

- In Performance Information search, you have the option to select the following search filters:
  - Entity Information. Subfilters are: Entity Type, Individual Name, Entity Name, City, Country, Sate/Province, Zip Code, DUNS, CAGE code
  - Agency. Subfilters are: Agency Name
  - Exclusion Details. Subfilters are Exclusion Program, Active Date, Termination Date, Indefinite Indicator
- You may only select one Functional Area record type at a time (Entity Management or Performance Information (Exclusions)). However, when you select a Functional Area record type, you can select as many filters as you wish. For instance, if you click on the check box indicating that you want to search records in the Entity Management Functional Area, you can apply any or all of the associated filters, which include Location, Entity Name, Socio-Economic Status, Entity Type, and Products and Services.

Figure 5.5: Search Filter Example



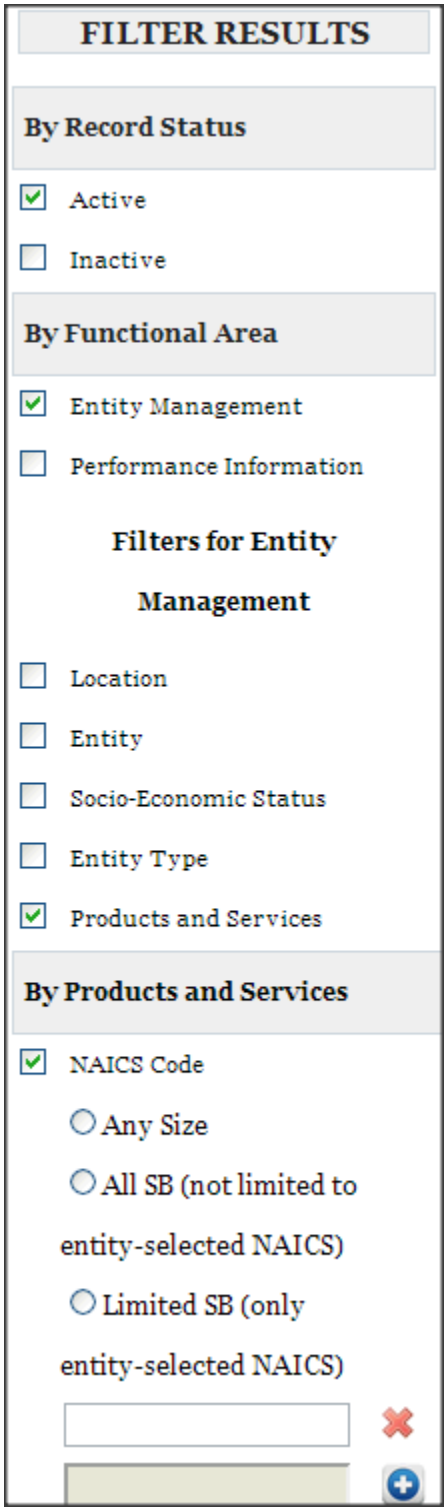
5.1.2 Small Business NAICS Search

You can search for entities based on their Small Business status for a given NAICS code. When searching by NAICS codes you have three NAICS code filter options

- Any Size – This search result set represents those businesses or organizations who represented they actively participate in this industry(ies) as indicated by the selected NAICS code(s). The entities listed here are those which specifically selected these NAICS codes in their registration regardless of the size determination.
- All SB (not limited to entity-selected NAICS) - This search result set represents those businesses or organizations who could be considered small if awarded a Federal contract in this industry(ies) as indicated by the selected NAICS code(s). The entities listed here could be considered small for the entered NAICS codes, regardless of whether the entity selected the NAICS code in its registration
- Limited SB (only entity-selected NAICS) - This search result set represents those businesses or organizations who could be considered small if awarded a Federal contract in this industry and who represented they actively participate in this industry(ies) as indicated by the selected NAICS code(s). The entities listed here are those which specificaly selected the NAICS code in their registration and could be considered small for the NAICS code.

These NAICS code search options are found under the Entity Management search filter.

Figure 5.6: Small Business NAICS Search



You can only access these NAICS code search filters after you have performed an initial search. You can then filter your results by the various NAICS code filters

- Click the "Entity Management" filter then select "Products and Services"
- Next select "NAICS Code"
- Three NAICS filter options and eight NAICS field appear. You must select a NAICS filter option and you must enter at least one NAICS code. If you enter multiple NAICS codes, SAM returns entity results that match at least one of the entered NAICS codes.
- Click "Apply Filters" to perform your search.

5.1.3 Impacts of Roles on Search Results

You do not need a SAM account to perform a search for publicly available information. However, to view non-public information through Search, you need to have a SAM account and additional permissions. There are several ways to gain access to non-public data in searches.

- Government users need to create a SAM account using their government email address. By logging in with this account, you will then automatically have access to Entity Management For Official Use Only (FOUO) data. In this scenario, your search results will include FOUO data (such as Taxpayer Identification Number). You will also be able to view entities who indicated in their Entity Management registration that they did not want to appear in the public search.
- If you have a role with a U.S. Federal Government entity in SAM and are logged into your SAM account, you can view Entity Management FOUO data.
- If you have been approved for higher sensitivity data access through the Data Access Request process **and** are logged into your SAM account, you can view the data that corresponds to the security level for which you were. For more information on Data Access Requests, see Data Access.

5.1.4 Downloading Search Results

After running a search, you can export the results. Click on one of the three buttons to export the data displayed on the search results page into the specified format:

- Save a PDF
- Export to CSV
- Print Results

Click the links located at the top or bottom of the results to export your search results.

5.1.5 Saving and Running Search Queries

If you are logged into your SAM individual account, you have the ability to save a search query. When saving a query, you are not saving the search results; rather, you are saving the search terms and filters that you have selected. Follow these steps to save a search query:

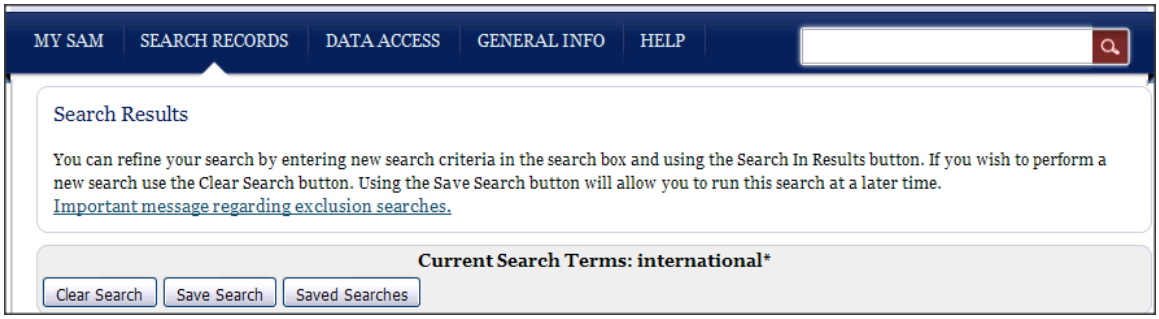
- Login to your SAM account.
- Perform a search.

- Select “Save Search” above the search results.
- Name your search query for future reference.
- Select “Save” to save the query.

There are two ways to access and run your saved queries. For both options, you must be logged into SAM.

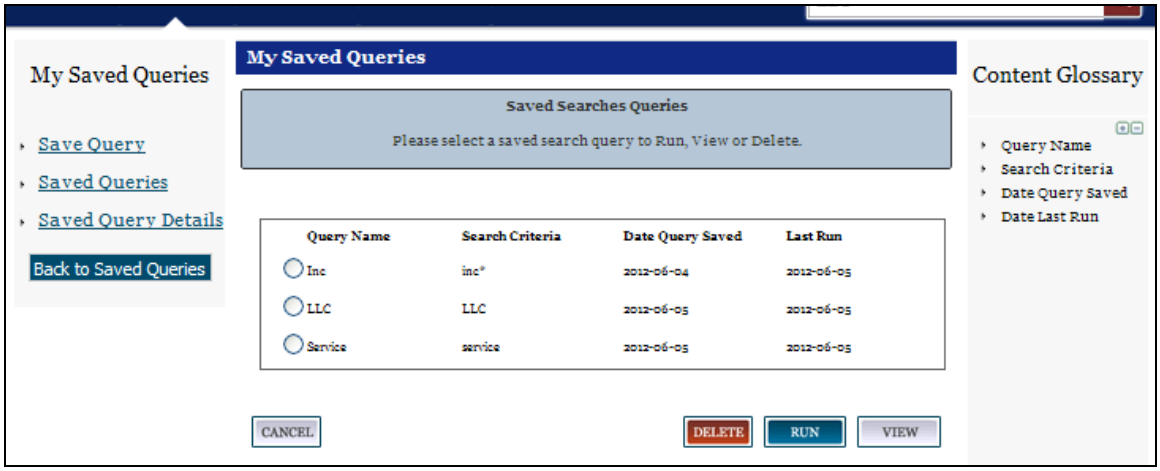
- On the “Search Results” page, click “Saved Searches.”
- Click on the My SAM tab to access your My SAM page, then select “My Saved Queries” underneath “General”.

Figure 5.7: Accessing Saved Searches from the Search Results Page



On your “My Saved Queries” page, you can see all of your saved search queries. From this page you can run, view, or delete a query.

Figure 5.8: My Saved Queries Page



- To run a saved query, select the radio button next to the query name and click “Run.”
- To delete a query, select the radio button next to the query name then click “Delete.”
- To view more details about a query including the search terms and filters, select the radio button next to the query name and click “View.”

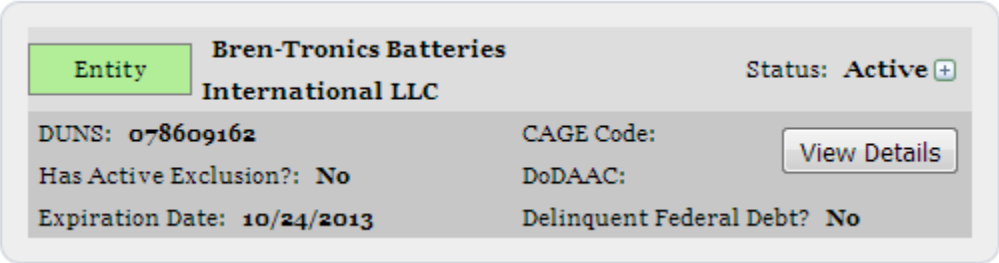
- The "Saved Search Query Details" page opens displaying further information about the query.
- You can run or delete the query from this page.

5.2 Viewing Records

The data included in the search result will depend on the Functional Area record type. You can identify the record type by the text in the upper-left corner of the result.

- Results labeled "Entity" are entity registration records created by the entity. Those labeled "Exclusions" are exclusion records entered by a federal suspension and debarment official or representative.
  - If you see an "Entity" search result, that entity has registered in SAM to be eligible for federal contracts, federal assistance and/or Intra-Governmental Transactions. You can see the status of the registration in the upper-right corner of the result, and you can determine if the entity has an active exclusion by looking in the bottom-left corner. To see the full registration, including its Entity Type, Business Types, and Purpose of Registration, click "View Details" then select "Entity Record" on the resulting page.
  - If you see an "Exclusion" search result, that entity has an exclusion that exists for it. That entity may or may not have an Entity Management registration. You can see the status of the exclusion in the upper-right corner of the result. To view the entire record click "View Details."

Figure 5.9: Entity Record



  - If you see an "Exclusion" search result, an exclusion exists for that entity. That entity may or may not have an Entity Management registration record. You can see the status of the exclusion in the upper-right corner of the Exclusion result. You can see the status of the exclusion next to "Has Active Exclusion?" in the Entity search result. To view the entire record click "View Details."

Figure 5.10: Expanded Exclusion Record

- Click "View Details" to view an entire record.
- To view additional details, expand each result by clicking the + in the upper-right corner of the result.

Each DUNS number registered in SAM has only one corresponding "Entity" result. If the same entity has been excluded more than once, then entity has multiple exclusion records in SAM.

5.2.1 Entity Dashboard

If you select "View Details" for an "Entity" result, that entity's "Entity Dashboard" will open. The "Entity Dashboard" contains all relevant information about the entity. In the center of page you are presented with an overview of the entity. You can see the status of the entity's registration and if there are any active exclusions against the entity.

On the left side of the page are navigation links that allow you to view the specific sections of the entity's registration record as well as any exclusions against the entity.

- To view the entire registration, click "Entity Record".
- To view a specific section, click on the name of the registration section you wish to view ("Core Data," "Assertions," "Representations and Certifications," or "Points of Contact")
  - Core Data – Contains data such as DUNS Information, Business Types, TIN Information (if you have the appropriate access), and Financial Information (if you have the appropriate access). All entities complete this section.
  - Assertions – Contains data such as NAICS, PSCs, Disaster Relief Information, EDI Information (if you have the permissions that allow you to access that data), and Size Metrics (if you have the permissions that allow you to access that data). All entities complete this except those registering for only grants and federal assistance.
  - Representations and Certifications – Contains the entity's responses to the FAR and DFAR questionnaire. This is only completed by entities registering for federal contracts.

  - Points of Contact – This contains the POCs for the entity so that contact can be made with the right person within an entity, as needed. All entities complete this section.
  - To view any past registrations, select a date from the drop down and click “View Historic Record.”
- To view any active exclusions for this entity, select “Active Exclusions.”
- To view any inactive exclusions for this entity select “Inactive Exclusions.”
- To view the full details of a specific exclusion on the “View Exclusion” page, click the exclusion.
- You can view any cross-references for the entity based on its exclusions by clicking “Cross References.”
- To return to your search results, click “Return to Search” on the left side of the page.

Figure 5.11: Entity Dashboard

5.2.2 Exclusion Records

When viewing exclusion records in SAM, you will notice several changes from how debarments were shown in the Excluded Parties List System (EPLS).

In SAM, exclusions categorization is simplified. Four categories take the place of the 70+ "Cause and Treatment codes" used in EPLS. The four categories are:

- Ineligible (Proceedings Pending)
- Ineligible (Proceedings Completed)

- Prohibition/Restriction
- Voluntary Exclusion

You will see one of these exclusion types for each exclusion. Each type is described in SAM by "Nature" and "Effect". "Nature" defines the reason for (nature of) the exclusion—*why* is the entity excluded. "Effect" explains what the exclusion means in terms of any restrictions or outcomes of the exclusion; it gives specific, award-related guidance to contracting officers, grants officials, and others when determining how to treat the excluded party, such as what can and can't be awarded to them.

Below that the Nature and Effect language, there is an Additional Comments field where the excluding agency may enter additional public comments about the exclusion to provide details not covered in the general Nature and Effect language.

To view the full exclusion record:

- Select “View Details” in the exclusion search result. This opens the “View Exclusion” page.

The data included in exclusion record will depend on the excluded entity’s classification. An excluded entity may be one of four Classification types:

- Individual – A person
- Firm – A company with a valid Dun & Bradstreet Data Universal Numbering System (DUNS) number.
- Vessel – A mode of transportation capable of transport by water.
- Special Entity Designation – Any entity that is not a vessel, individual or firm.

If you are viewing an exclusion for an “Individual,” the individual’s street address fields will not be displayed. To verify the address of the individual:

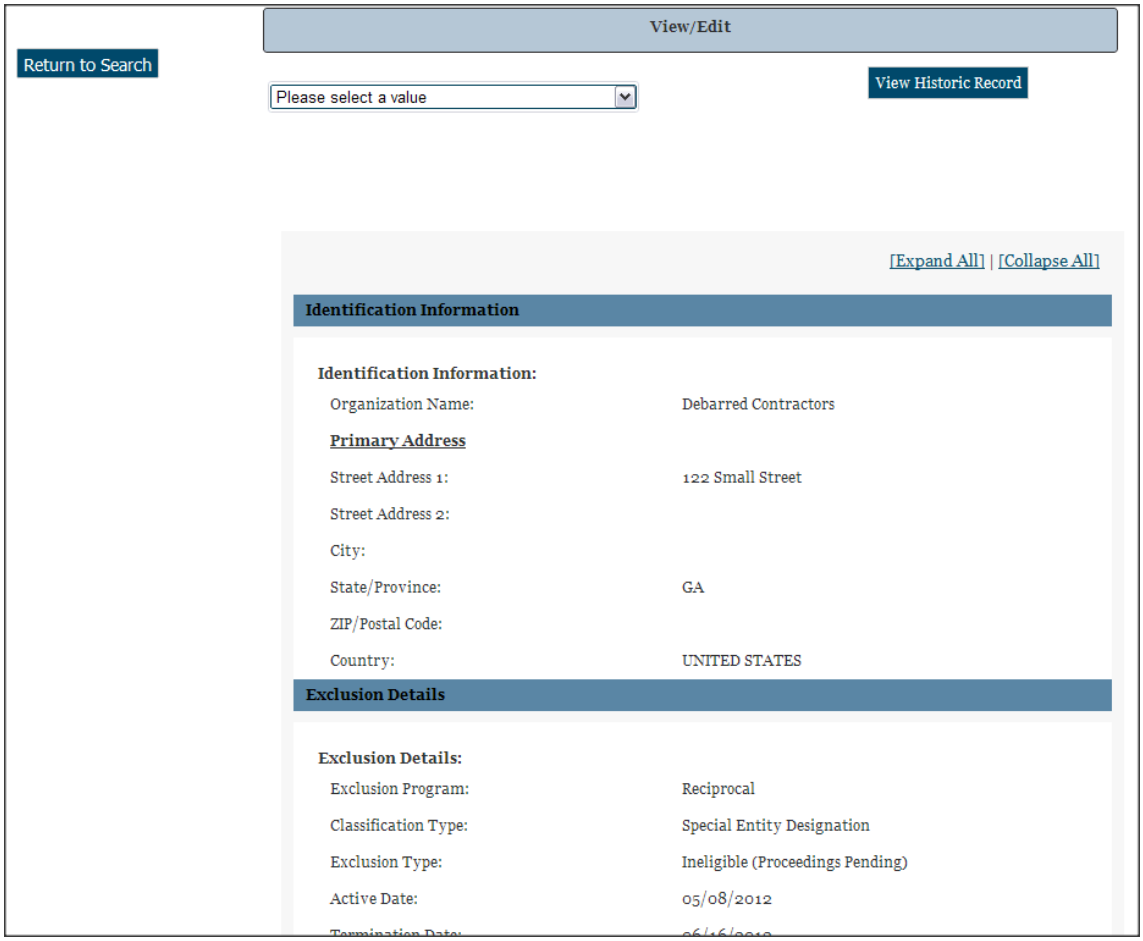
- Enter the individual’s street address in the provided fields and select “Verify.” You must enter an exact match.
- If there is a match, you will see “Verified.”
- If the fields do not match, you will see “No Match.”

The individual’s street address will never be displayed publicly.

You can view changes made to this exclusion. To do so:

- Select a date from the dropdown and click “View Historic Record.”

Figure 5.12: Exclusion Record for Special Entity Designation



- Select "Return to Search" to return to your search results.

6 Data Access in SAM

The Data Access section covers how you can gain access to data in SAM. You should read this section if you want to learn how to access SAM extracts and web services, as well as view sensitive data (such as Taxpayer Identification Number and MPIN) through SAM's Search. In addition, this section covers system accounts, their features, and how they can receive data from and send data to SAM. Please see User Management in SAM for information on individual accounts.

NOTE: Only Federal Government employees or contractors working on behalf of the Federal government can request access to view sensitive data. If you are not one of these users, you can still perform searches for public data and use the public extracts and public web services.

Before reading on, note that on the website mandatory fields have been marked with an asterisk (*) to help you understand what data is required.

6.1 Viewing Data in SAM

There are different ways for you to view data in SAM:

- By viewing data on the website through Search
- By downloading an extract in Comma Separated Value (CSV) format
- By retrieving data through a web service

The same data may be provided in different formats in order to best accommodate your needs. Depending on the data you wish to view, you may need a SAM account. There are two types of accounts in SAM: system and individual. You should pick the account you want to create depending on your needs.

You should create an individual account if:

- You are the only person in your organization that needs access to an extract.
- You plan on using SAM's Search to view non-public or sensitive data.

You should create a system account if:

- Multiple people in your office need access to the same extract.
- You require access to a SAM web service.
- The benefits of having multiple people able to download the data outweigh the benefits of the extract/web service being available from your personal individual account.
- The account involves system-to-system communication or you are automating your pull of the data.

For more information on individual accounts, see Creating an Account in SAM. For information on system accounts, see Creating a System Account.

6.2 Legacy Interfaces in SAM

The legacy systems (CCR, ORCA, EPLS, FedReg) allowed users to gain access to data through searches, extracts, and web services. In order to ease the transition to a new system, SAM will continue to publish web services and extracts in their legacy formats for one year after SAM goes live.

Table 6.1 shows which legacy-formatted web services/extracts require a SAM account. You do not need approval to create an account, but you may need approval to access particular extracts or web services.

Table 6.1: Legacy Extracts and Web Services

Legacy Web Service/Extract	Requires Account?	Need Approval to Access?
CCR Extract – Complete	Yes	Yes
CCR Extract – FOIA	No	No
CCR Extract – Sensitive	Yes	Yes

Legacy Web Service/Extract	Requires Account?	Need Approval to Access?
CCR Extract – FOUO	Yes	Yes
CCR Extract – MPIN	Yes	Yes
CCR XML – Non-Proprietary	Yes	Yes
CCR Extract – Proprietary	Yes	Yes
CCR XML – Proprietary	Yes	Yes
CCR XML – Sensitive	Yes	Yes
FedReg Extract	Yes	Yes
ORCA XML Extract	Yes	No
EPLS Search Web Service	No	No

PLEASE NOTE: While the format of the extracts and web services remains the same, you will find them in a new location. The information for each record in the web service or extract will vary depending on what portions of the record the registrant completed.

To obtain access to extracts or web services that require access approval, follow the steps in Requesting Data Access Roles. For users who had access to web services/extracts requiring approval in the legacy systems, we have worked with them to ensure they have the right access in SAM. If for some reason you do not have the correct access, you must request it by contacting the SAM Help Desk.

URL: www.fsd.gov

Hours: 8am - 8pm (Eastern Time)

U.S. Calls: 866-606-8220

International Calls: 334-206-7828

DSN: 866-606-8220

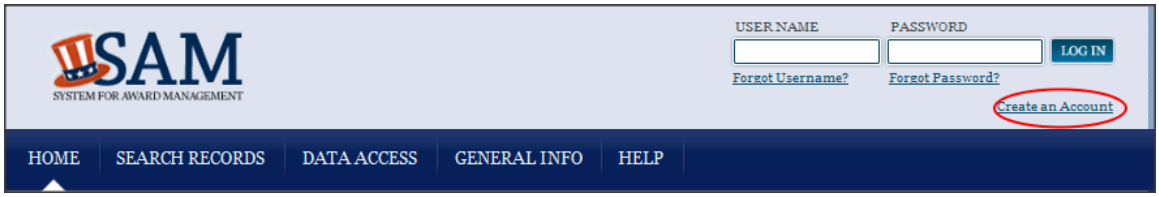
NOTE: When SAM stops publishing the legacy web services and extracts, you must start using the new SAM web services and extracts. If these new web services/extracts require approval to access, you must make sure that you have the appropriate SAM Data Access Role to continue accessing the data.

6.3 Creating a System Account

To create your system account, follow the steps below:

- From the SAM homepage, click “Create an Account” in the upper right corner of the page.

Figure 6.1: Create an Account



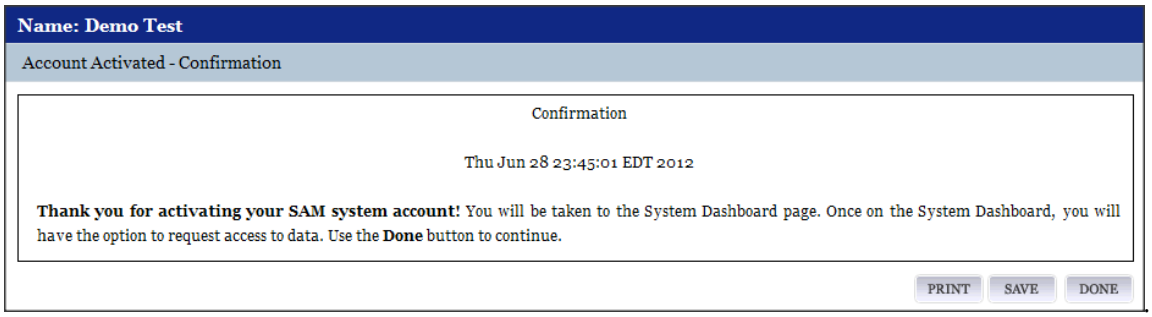
- On the "Account Registration" page, you can find more information on individual and system accounts. Become familiar with the differences and, if you determine that a system account is appropriate, click "Create System Account" in the "Create System Account" section.
- First, SAM asks you if your system account is for a U.S. Federal Government Agency. Select your answer and click "Next."
- Enter the entity information for your system. Click "Next." This is the entity that maintains the system. You must enter:
  - Department/Agency Name. Mandatory only if you are from a Federal Government agency.
  - Entity/Organization Name. Mandatory only if you are not from a Federal Government agency.
  - Street Address
  - City
  - State/Province.
  - ZIP. Only mandatory if your country is United States.
  - Country
- After entering your entity's information, enter details about your system on the "Account Information" page.
  - Enter your System Implementation Name and System Name Abbreviation.
  - Enter your system's email address. This email address will be used for SAM communications. It is recommended that you use an email address that is specific to your system and not a personal email address. This allows your system account to continue to receive SAM communications even if a specific employee leaves your organization. You cannot use an email address that is used by another account in SAM.
  - Enter either an IP address or domain name for your system.
  - After entering the account information, click "Next."
- SAM generates your username for you based on the information you entered and displays it on the "Create Password" page. Create your password and click "Next" to continue. NOTE: Your password will expire after 365 days and the password must contain:
  - At least eight characters total (but no more than fifteen characters are allowed)
  - At least one number
  - At least one letter
  - At least one special character
- Next enter Points of Contact (POC) for your system. These POCs can perform activities associated with the account such as making Data Access Requests or calling the SAM Help Desk for assistance with the account. You must enter are least one POC, and you can enter

up to three. To add additional POCs, click "Add POC" and click "Next" to continue. For a POC, you must provide:

- First and Last Name
- Email Address
- Phone Number

- On the "Summary" page, review the information entered. Click "Edit" to modify any information. Once you have reviewed the information, click "Submit."
- An email from SAM.gov is sent to the email address provided for your system. In the email, click the link provided to complete the account creation process.
- Return to SAM.gov, enter your system's username and password when prompted and click "Login" to complete the account registration. Your account will not be active until you see the screen in Figure 6.2

Figure 6.2: Active System Account Confirmation



6.3.1 Features of System Accounts

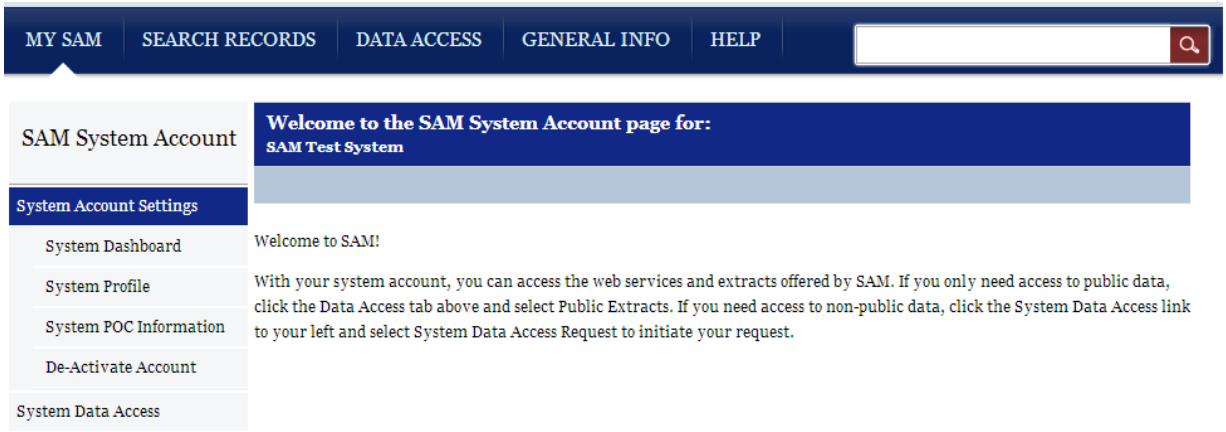
Since system accounts are designed for automated systems, they have access to limited functionality on the website.

6.3.1.1 System Dashboard

When you login to your system account, the first page that you see is your "System Dashboard." This is the centralized location for all the functionality you need access to in SAM. When you are logged into your account, you can always access this page by clicking the "My SAM" tab in the navigation bar.

Figure 6.3 is an example of a "System Dashboard."

Figure 6.3: System Dashboard Page



On the left side of the page are your navigation links. These give you access to the functionality you need to do your job. Each header contains a list of processes and pages. Click on a header to see the links underneath.

6.3.1.2 System Profile

At any point, you can modify your account's information:

- From the left hand navigation panel, click "System Profile" under the "System Account Settings."
- Select "Edit" for the section that you want to modify.
- Modify the data and select "Save."

NOTE: You cannot modify your username nor can you modify your answer to the U.S. Federal Government Agency question.

To change your email address:

- Enter your new email address in the System Account Email Address field.
- The Confirm System Account Email Address field now appears. Enter your email address again here.
- Click "Save."
- SAM now logs you out of the system and sends you a new validation email. Click "Done" on the confirmation screen to return to the SAM homepage. You will not be able log back into SAM until you validate your new email address.
- After receiving the email click the link and login when prompted. Your account is now active again.

To change the system account password:

- Click "Change Password." This opens a new page.
- Enter the current password.

- Next, enter the new password and confirm the new password. The new password should be different than the previous ten passwords used in SAM, and should conform to the password requirements:
  - At least eight characters total (but no more than fifteen characters are allowed)
  - At least one number
  - At least one letter
  - At least one special character
- Click "Save" to activate your new password.

6.3.1.3 System POC Information

You can also update the system POCs. POCs can perform activities associated with the account such as making a Data Access Request or calling the SAM Help Desk for assistance with the account.

- From the left hand navigation panel, click "System POC Information" under "System Account Settings."
- If you have multiple POCs, click on the POC that you wish to edit to expand that section.
- Edit the fields as appropriate.
- Click "Save" in the bottom right corner of the page to save your changes.
- If you wish to add additional POCs, select "Add POC."
  - If you add additional POCs, you can also delete them by selecting "Delete" for that particular POC.

6.3.1.4 Deactivate Account

If you know you will not use SAM in any capacity in the future or if you do not wish to maintain your SAM account, you may choose to deactivate your SAM account. When you do this, any Data Access Roles that you have will be permanently removed, and your account will be placed in an inactive status.

- From the left hand navigation panel, choose "System Account Settings," then "Deactivate Account."
- You may optionally specify a reason for the deactivation to assist the SAM Program Office in its administrative efforts.
- Click "Next."
- Confirm that you wish to deactivate your account by clicking "Deactivate." This will complete the process.
- To reactivate your account, contact the SAM Help Desk.

6.3.1.5 System Data Access

All users have access to public data. If you need access to additional data not available, you can request access by completing a Data Access Request form. This request will need to be approved

by both officials in your agency and the SAM PMO. Contact the SAM Help Desk to begin the process and acquire the appropriate forms:

URL: www.fsd.gov

Hours: 8am - 8pm (Eastern Time)

U.S. Calls: 866-606-8220

International Calls: 334-206-7828

DSN: 866-606-8220

6.4 SAM Data Access Roles

With the consolidation of multiple legacy systems, SAM has redesigned how you gain access to data. SAM has grouped data based on sensitivity level and functional area into a Data Access Role. By having a certain Data Access Role you have access to the data that you need in a variety of formats. Currently only individual SAM accounts can request Data Access Roles. There is only one Data Access Role in SAM that gives individual users access to additional non-public data.

- Sensitive Entity Management Data Viewer

Data Access Roles give individual SAM accounts the ability to view non-public data through search (similar to how CCR Tools worked).

You must submit a Data Access Request to receive a Data Access Role. You must be either a Federal Government employee or a Federal Contractor working on behalf of an agency to submit a request. Depending upon what you request, you will need to provide different approvers. The SAM PMO has final say on all Data Access Requests.

NOTE: If you are accessing SAM while logged in with your SAM account that is tied to a government email address, you automatically have FOUO Entity Management data access.

Additionally, if you have a Federal Government role with an entity in SAM, you also automatically have FOUO Entity Management data access.

6.4.1 Public Data

In SAM, you can view certain data without needing approval. You can always search for public information through SAM's Search feature. You can also access the following legacy extracts and web services without a Data Access Role:

- EPLS Search Web Service: This web service allows you to search SAM's exclusion records. This is intended for use by systems that need access to exclusion records.
- CCR Extract – FOIA: This contains the public data for all entity registrations in SAM.
- ORCA XML Extract: This extract contains the representation and certifications for entity registrations in SAM. You must have a SAM account to access this.

To learn more information about accessing these public web services/extracts you can either:

- Click the "Data Access" tab on the SAM homepage.

Figure 6.4: Interface and Data Access Information

OR

- If you have a SAM account, you can see more information in the "Data Access" (or in the case of system accounts "System Data Access") header when you login.

6.4.2 FOUO Entity Management Data

A Federal Government user that has created a SAM user account will automatically have the ability to view FOUO Entity Management data after they log in with their account. This is because when you create a SAM user account, you are required to enter an email address. By entering a government email address when creating the user account, the system will then be able to identify your account as a user with FOUO level access.

As a Federal Government user, you can access FOUO entity data such as the Taxpayer Identification Number and Annual Revenue. You also have the ability to view entities that have opted out of public search and those Federal Government entities registered for Intra-Governmental Transactions (IGT).

6.4.3 Sensitive Entity Management Data Viewer

With this role you can access Sensitive entity data such as an entity's financial information as well as all Entity Management FOUO data.

If you have the Sensitive Entity Management Data Viewer role, and you are logged into your individual SAM account, you can view Entity Management Sensitive data through SAM's Search.

6.5 Requesting Data Access Roles

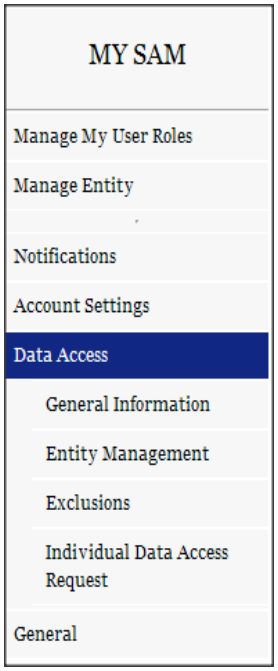
If you need a Data Access Role, you can request one through SAM. You need an account (either system or individual) to submit a request. Only individual accounts can request a Data Access Roles though the website.

6.5.1 Data Access Request for Individual Account

If you have an individual SAM account, to request a Data Access Role:

- Login to your individual SAM account.
- On your "My SAM" page, click "Individual Data Access Request" underneath "Data Access."

Figure 6.5: Data Access Links



- On the "Select Data" step, you can find more information about Data Access. Scroll to the bottom of the page and select the Data Access Role that you want to request.
- Select your user type: "Government User" or "Federal Contractor." Click "Next."
- On the "Personal Information" page, provide your Job Title. The remaining information is pre-populated from your profile information. Click "Next" to continue. If you want to change your profile information, cancel out of this process and select "Personal Information" underneath "Account Settings" on your "My SAM" page.
- On the "Select Entity" page enter your entity's details. This is the entity where you work. This information provides context for your request. Click "Next." You must provide:
  - Entity Name
  - Street Address
  - City
  - State/Province
  - ZIP/Postal Code. Only mandatory if Country is United States.
  - Country
- Complete the requested information for the individuals that are approving your request. Depending on the kind of user you are, you may need to provide up to two approvers: Government Supervisor/Sponsor and Government Security Official (Table 6.2 shows the required approvers). When you submit a Data Access Request, these individuals will receive an email with a link to either approve or reject your request. All requests will be

automatically sent to the SAM PMO for final approval. These approvers do not need to have SAM accounts. Click "Next" to continue.

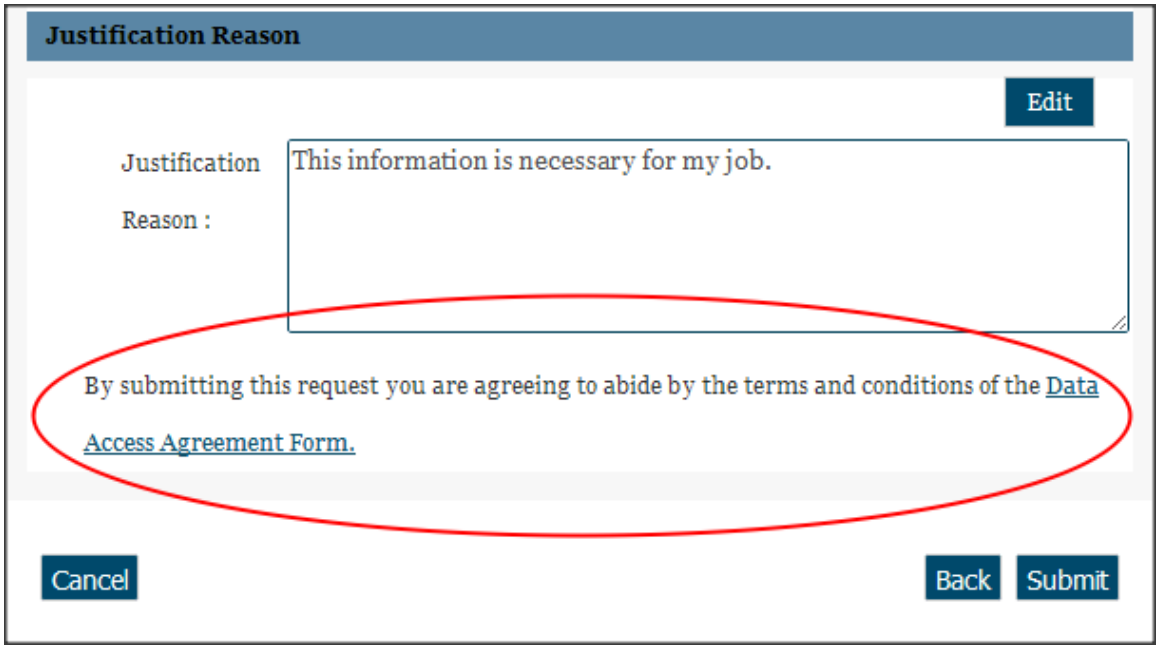
- The Government Supervisor/Sponsor is the person in the government who can provide the initial approval for your request. You must provide your supervisor/sponsor's:
  - First and Last Name
  - Job Title
  - Email Address (This must be a government email address)
  - Phone Number
- The Government Security Official is your government information security official. This is often the person responsible for your annual privacy and information security training. (NOTE: If you are a Federal Contractor, your must provide the information for a government security official.) You must provide:
  - First and Last Name
  - Email Address (This must be a government email address)

Table 6.2: Required Approvers

	Public Data Viewer	Sensitive Entity Management Data Viewer
Federal Contractor (Individual)	Automatic	Government Sponsor + Security Official + SAM PMO
Government User (Individual)	Automatic	Government Supervisor + Security Official + SAM PMO

- On the "Justification Reason" page, provide a reason for the request. Approvers will use this information to make a decision on your request. Click "Next." To speed up the approval process, provide the following:
  - What you plan on using the data for.
  - Who else in your entity will be using the data and why are they using it.
  - If you are requesting anything higher than FOUO you need to explain what the data is being used for
- Review the information on the "Summary" page and ensure all the details are correct before submitting the request. Before submitting your Data Access Request, you can view the Data Access Agreement form which you agree to abide by if your request is approved. Click the link to open a PDF of the agreement.

Figure 6.6: Individual Account Data Access Agreement Form



- Click "Submit." SAM now sends your request to your first approver. If your request is rejected at any point, SAM will send you a notification. Once it is approved, you will also receive a notification.

6.5.2 Approving Data Access Requests

If you have been listed as an approver for a Data Access Request, you do not need to create a SAM account to approve the request. To make a decision on the request:

- Click the link in the email that you received from SAM.gov. This takes you to the request.
- You can view the specifics of the Data Access Request (such as requester information, requested Data Access Role, and Justification Reason) by clicking the "Original Request" link on the left side of the page.
- If you have been identified as the Government Sponsor/Supervisor, click "Government Sponsor/Supervisor Approval" along the left side.
  - Select your decision from the drop down and provide the reason for your decision. Provide sufficient detail here so that either another approver or the requester can understand your decision.
  - If you are approving a Government User's request for Official User Only (FOUO) data, you must also provide the requestor's Awareness Training Completion Date.
- If you have been identified as the Government Security Official, click "Government Security Official Approval."
  - You must provide your Job Title and Phone Number
  - You must enter the requestor's Awareness Training Completion Date

  - Select your decision from the drop down and provide the reason for your decision. Provide sufficient detail here so that either another approver or the requester can understand your decision.
  - As the Government Security Official, you also have the ability to view the information entered previously by the Government Sponsor/Supervisor by clicking "Government Sponsor/Supervisor Approval." You cannot edit this information
- Once you have made your decision, select "Next."
- On the "Summary" page you can review the information that you entered. Click "Submit" to confirm your decision.
  - If you approve the request, it will be sent to the next approver. The user's requested Data Access Roles will not become active until the SAM PMO approves the request.
  - If you reject the request, SAM sends the requestor an email containing the reason why you rejected the request.

6.6 How to Access Data for Which You Have Been Approved

Once your request has been approved:

- Login to your SAM account and expand the "Data Access" navigation menu.
- You will see links to the "Entity Management" and "Exclusions" pages.
- A list of your Data Access Roles in each category is available at the top of the screen on each page, and the respective extracts are available for you to download below.
- For each extract, supporting documentation is provided to help you get started with the interface.

NOTE: Information is provided for all extracts but you can only access those for which you have been approved.

6.6.1 Accessing Data from the Website

Once your request is approved, the data will automatically populate on the appropriate SAM pages. For example, when viewing an entity registration, data for which you have been approved will be displayed on the screen along with the rest of the record. This is similar to the Legacy CCR Tools functionality and is only available for an individual account. You must login to your SAM account in order to see the non-public data.

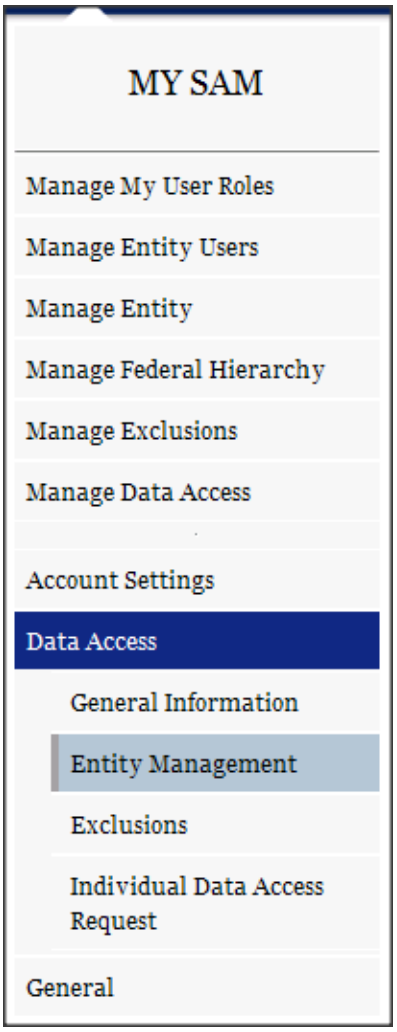
6.6.2 Accessing Data as CSV Extracts

To access a CSV file of the extract, follow the instructions listed in the interface documentation. If you have a SAM account all interface documentation can be found by logging into your account and selecting either "Data Access" (if individual) or "System Data Access" (if system).

If you do not have an account and only want to access public extracts, click on the "Data Access" link on the navigation bar to access the Data Access Information section. From this page you can download the .CSV daily and monthly CCR Legacy Public Data files and the daily Exclusions Extracts Daily Package.

If you have an account with approved role to access proprietary or sensitive extracts, please log into SAM and click on the "Data Access" on the left hand navigation link. From here you can access the Entity Management Data or Exclusion Data.

Figure 6.7: Data Access Information



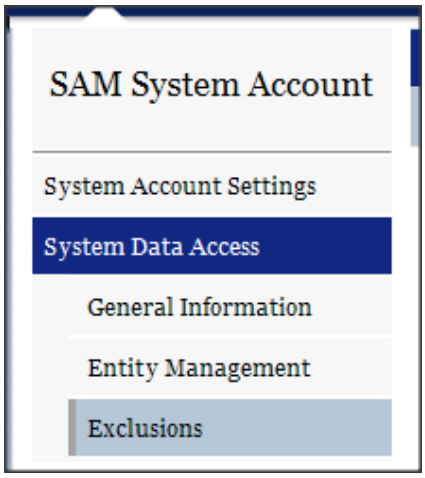
- For Entity Management CSV files, click on the "Entity Management" link under the Data Access section of the left hand navigation. Based on the role and the permissions that have been approved for your account, you will have access to the daily or monthly files for CCR Legacy Extracts.
- For the Exclusions CSV files, click on the "Exclusions" link under the Data Access section of the left hand navigation.

6.6.3 Accessing Data Using SFTP or Web Services

To access data via Web Service or SFTP process, follow the instructions listed in the interface documentation. After you are approved for your System Account, you will receive an email from

the SAM data administrator providing you with specific information on the access IP address or URL link. You will need to use this information to have your servers access the appropriate SAM servers.

Figure 6.8: Individual Account Data Access Agreement Form



Please log in with your SAM System Account and click on the System Data Access link in the left hand navigation bar. Under the General Information section you can find additional information about the Data Access process. Under the Entity Management and Exclusions links, you can find sample files of the CSV files for Entity Management and Exclusions for the data access level that you have been approved for. Please review these documents and format your SFTP downloads as needed.

6.7 System Accounts – Sending Data to SAM

If you have a system that needs to send data to SAM, you must create a system account. To provide data to SAM you must first receive permission from the SAM Program Management Office (PMO). Contact the SAM Help Desk:

URL: www.fsd.gov

Hours: 8am - 8pm (Eastern Time)

U.S. Calls: 866-606-8220

International Calls: 334-206-7828

DSN: 866-606-8220

7 Performance Information - Exclusions

7.1 Overview

The Exclusions area within the Performance Information functional area of SAM, formerly the Excluded Parties List System (EPLS), identifies those parties excluded from receiving federal

contracts, certain subcontracts, and certain types of federal financial and non-financial assistance and benefits. SAM keeps the user community aware of administrative and statutory exclusions across the entire government and individuals barred from entering the United States. The more commonly used terms of 'suspensions' and 'debarments' reflect exclusions. **It is important that the user reviewing SAM records to determine federal award eligibility closely read the nature (cause) and effect language present on each exclusion record to determine applicability for their planned award**.

While Exclusion Records are publicly available, only users with one of the following roles may create and edit the records in SAM:

- Agency Exclusions Representatives - can create and edit exclusions at their assigned entity and for all entities below in the hierarchy.
- Agency Administrator – Exclusions - has the same rights as the Agency Exclusion Representative. They also have the ability to assign roles to other users in their entity and those entities below in the hierarchy.

Before reading on, note that on the website mandatory fields have been marked with an asterisk (*) to help you enter information into the correct fields.

7.2 Exclusions Terminology

7.2.1 Overview

In SAM, certain key terms have been changed to reflect the action taken on exclusions. Table 7.1 highlights those changes.

Table 7.1: EPLS Terms vs. SAM Current Terms

Legacy EPLS Terms	SAM Current Terms
Cause	Nature (Cause)
Treatment	Effect
CT Action	[Discontinue]
Action Date	Active date
Archived	Inactive
Agency Contact	Agency POC
Permanent	[Discontinue]
CT Code	Exclusion Type
Classification Type: Entity	Classification Type: Special Entity Designation
Address	Primary Address
Additional Address	Alternate Address
Agency	Excluding Agency
Description	Additional Comments

7.2.2 Exclusions Types

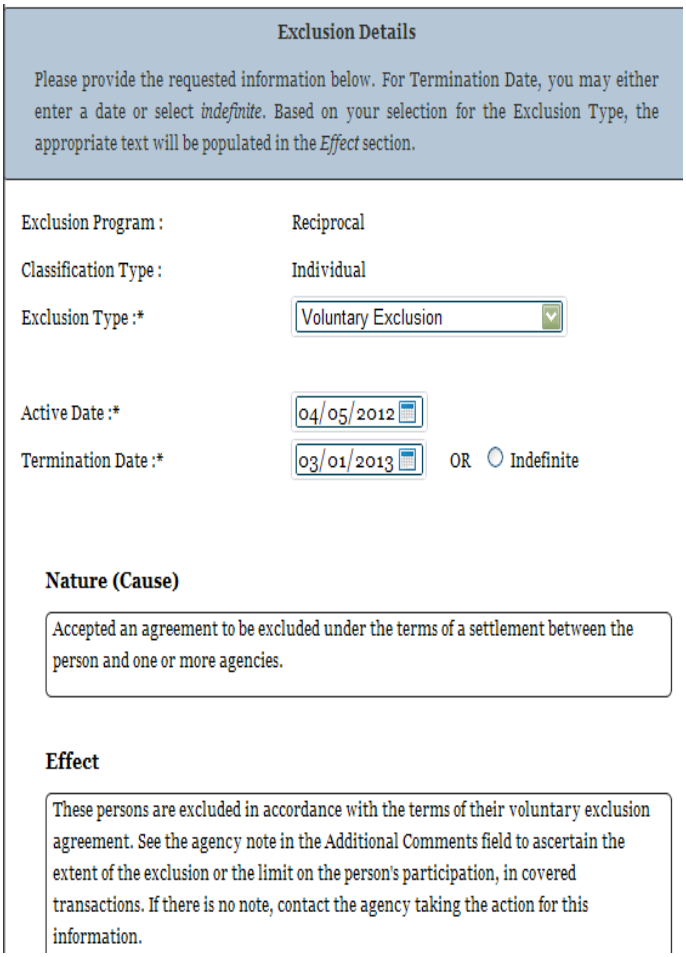
In EPLS, the legacy system in which exclusion records were maintained, each record was identified with a Cause and Treatment Code (CT Code). CT Codes were identified by letters or letters and numbers (for example, A, H1, JJJ) and included descriptions of the cause of the exclusion and the treatment accorded to the excluded party.

In SAM, CT Codes have been replaced with the following four Exclusion Types:

- Preliminarily Ineligible (Proceedings Pending)
- Ineligible (Proceedings Completed)
- Prohibition/Restriction
- Voluntary Exclusion

Each Exclusion Type now has a standard language that automatically appears in the record in SAM. Figure 7.1 is an example of the standardized language populated by the system for the Nature (Cause) and Effect fields.

Figure 7.1: Nature (Cause) and Effect Language



New exclusion records created in SAM will no longer be identified with CT Codes. Instead, they will be associated with one of the four Exclusion Types. All requests to modify or add an Exclusion Type must be submitted as a change request through the SAM Change Control Board (CCB) representative for your agency. \

NOTE: In EPLS, the term "exclusion type" was associated with the type of Program for the exclusion, such as Reciprocal, rather than the CT Codes. For records that were entered into EPLS prior to the implementation of SAM, their CT Codes have been carried over and will display on each record. However, these CT codes cannot be modified.

Records created in EPLS have both a CT Code and an Exclusion Type listed.

When viewing an exclusion record that was originally created in EPLS with a CT code, you can select the CT Code displayed on the page to view the legacy CT Codes and their associated description. Each CT Code is linked to one Exclusion Type.

Table 7.2: Exclusion Types

Exclusion Type	Nature (Cause) & Effect
Preliminarily Ineligible (Proceedings Pending)	**Nature (Cause):** Preliminarily ineligible based upon adequate evidence of conduct indicating a lack of business honesty or integrity, or a lack of business integrity, or regulation, statute, executive order or other legal authority, pending completion of an investigation and/or legal proceedings; or based upon initiation of proceedings to determine final ineligibility based upon regulation, statute, executive order or other legal authority or a lack of business integrity or a preponderance of the evidence of any other cause of a serious and compelling nature that it affects present responsibility. **Effect:** Procurement: ▪ Agencies shall not solicit offers from, award contracts to renew, place new orders with, or otherwise extend the duration of current contracts, or consent to subcontracts in excess of $30,000 (other than commercially available off-the-shelf items (COTS)), with these contractors unless the agency head (or designee) determines in writing there is a compelling reason to do so. Nonprocurement: ▪ No agency in the Executive Branch shall enter into, renew, or extend primary or lower tier covered transactions to a participant or principal determined preliminarily ineligible unless the head of the awarding agency grants a compelling reasons exception in writing. Additionally, agencies shall not make awards under certain discretionary Federal assistance, loans, benefits (or contracts there under); nor shall an ineligible person participate as a principal, including but not limited to, agent, consultant, or other person in a position to handle, influence or control Federal funds, or occupying a technical or professional position capable of substantially influencing the development or outcome of a funded activity; nor act as an agent or representative of other participants in Federal assistance, loans and benefits programs. Contact

Exclusion Type	Nature (Cause) & Effect
	the award agency for questions regarding the extent of Nonprocurement transaction award ineligibility. The termination date will be listed as "Indefinite" (Indef.) unless otherwise specified.
Ineligible (Proceedings Completed)	**Nature (Cause):** Determined ineligible upon completion of administrative proceedings establishing by preponderance of the evidence of a cause of a serious and compelling nature that it affects present responsibility; or determined ineligible based on other regulation, statute, executive order or other legal authority**.** **Effect:** Procurement: ▪ Agencies shall not solicit offers from, award contracts to renew, place new orders with, or otherwise extend the duration of current contracts, or consent to subcontracts in excess of $30,000 (other than commercially available off-the-shelf items (COTS)), with these contractors unless the agency head (or designee) determines in writing there is a compelling reason to do so. Nonprocurement: ▪ No agency in the Executive Branch shall enter into, renew, or extend primary or lower tier covered transactions to a participant or principal determined ineligible unless the head of the awarding agency grants a compelling reasons exception in writing. Additionally, agencies shall not make awards under certain discretionary Federal assistance, loans, benefits (or contracts there under); nor shall an ineligible person participate as a principal, including but not limited to, agent, consultant, or other person in a position to handle, influence or control Federal funds, or occupying a technical or professional position capable of substantially influencing the development or outcome of a funded activity; nor act as an agent or representative of other participants in Federal assistance, loans and benefits programs. Contact the award agency for questions regarding the extent of Nonprocurement transaction award ineligibility. The period of ineligibility is specified by the termination date.
Prohibition/Restriction	**Nature (Cause):** May be subject to sanctions pursuant to the conditions imposed by the U.S. Department of the Treasury (Treasury) Office of Foreign Assets Control (OFAC), or subject to a sanction, restriction or partial denial pursuant to the conditions imposed by the U.S. Department of State (STATE) or Federal agency of the U.S. Government **Effect:** If you think you have a potential match with an OFAC listing, please visit the following section of OFAC's website for guidance: http://www.treasury.gov/resource-center/faqs/Sanctions/Pages/directions.aspx. For all other prohibitions and restrictions, see the agency note in the Additional Comments field to ascertain the extent or limit on the sanction, restriction or partial denial. If there is no note, contact the agency

Exclusion Type	Nature (Cause) & Effect
	taking the action for this information.
Voluntary Exclusion	**Nature (Cause):** Accepted an agreement to be excluded under the terms of a settlement between the person and one or more agencies. **Effect:** These persons are excluded in accordance with the terms of their voluntary exclusion agreement. See the agency note in the Additional Comments field to ascertain the extent of the exclusion or the limit on the person's participation, in covered transactions. If there is no note, contact the agency taking the action for this information.

Table 7.3 shows you how the CT Codes used in EPLS correlate to the four different Exclusion Types in SAM. You may also access this information in SAM Help.

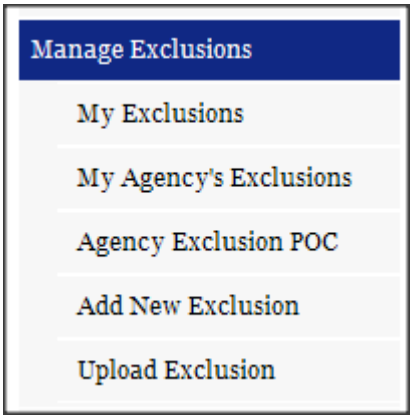
Table 7.3: CT Codes to Exclusion Type Mapping

CT Codes	Description	Exclusion Types
A1; B; J1; K; N1; O; Q; S; S1; W	1. Suspension 2. Blocked Pending Investigation 3. Proposed Debarment	**Preliminarily Ineligible (Proceedings Pending)**
08-INA-01; 08-INA-02; 10-VA-01; 10-VA-02; A; AA; C; C1; CC; D; DD; E; EE; F; FF; G; GG; I; I1; J; L; N; P; R; R1; RR; RRR; SS; U; V;	1. Debarment 2. Denial 3. Disqualified 4. Termination from Eligibility 5. Ineligible 6. Conviction 7. Excluded	**Ineligible (Proceedings Completed)**
03-BSE-01; 03-DP-01; 03-ENT-01; 03-FTO-01; 03-SDGT-01; 03-SDN-01; 03-SDNT-01; 03-SDNTK-01; 03-SDT-01; 03-TLGE-01; 10-CIS-01; 10-ISA-01; 11-USDA-01; BB; BPI-SDGT; BPI-SDNT; BPI-SDNTK; H; H1; H2; JJ; JJJ; M; QQ; VV; VVV; X; XXX; YYY; Z; Z1; Z2 ; Z3; ZZZ	1. License or Approval Revoked 2. Sanctioned 3. Partial Denial	**Prohibition/Restriction**
T	1. Voluntarily Excluded	**Voluntary Exclusion**

7.3 Managing Exclusions

As an Agency Exclusions Administrator or Agency Exclusions Representative, you have access to Exclusions functionality via the left navigation panel on your “My SAM” page.

Figure 7.2: My Exclusions Link



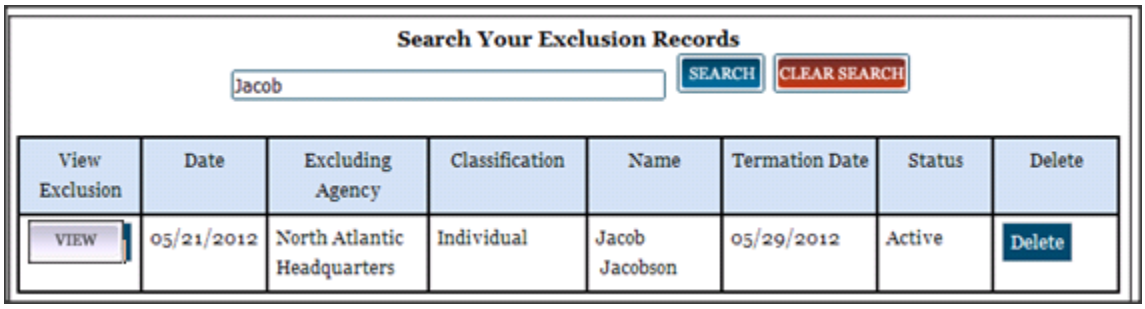
7.3.1 My Exclusions

On the "My Exclusions" page, you can access the list of exclusions that you have created and perform a search of your exclusions that you have created through the SAM application.*

To do so:

- Under "Manage Exclusions," click "My Exclusions."
- Enter your search criteria at the top of the page and click "Search."
- Review the returned exclusion records.
- If necessary, click "View" to open the exclusion to edit. For more information on editing an exclusion record, see Edit an Existing Exclusion Record.
- Click "Delete" to move the exclusion from the active list to the inactive list. NOTE: Exclusion records can not be deleted from the system. They will continue to be publicly available by using the "Inactive" filter in SAM Search.

Figure 7.3: Search My Exclusions



* Please note that any exclusions that you created through the Legacy EPLS system can only be accessed and viewed through the Search module from the navigation bar.

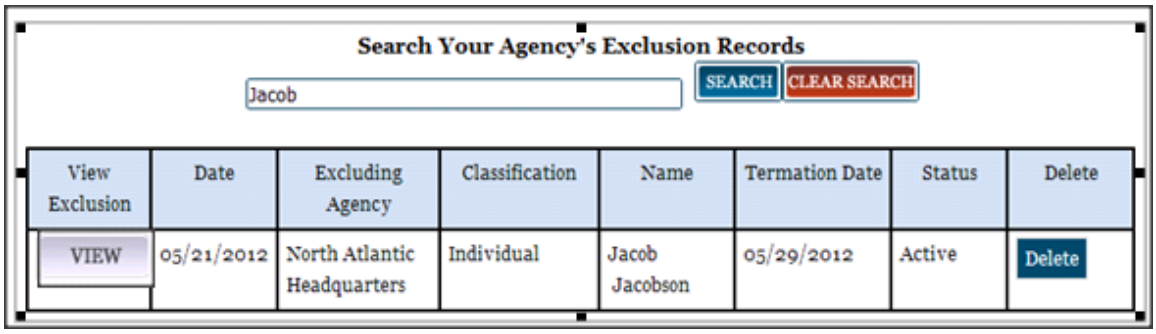
7.3.2 My Agency's Exclusions

On the "My Agency's Exclusions" page, you can access the list of exclusions created by your agency and perform a search of your agency's exclusions.

To do so:

- Under “Manage Exclusions” click “My Agency’s Exclusions.”
- Enter your search criteria at the top of the page and click “Search.”
- Click “View” next to an exclusion to view the details of that record. NOTE: You will only be able to edit exclusions at your assigned agency and for all sublevels below that agency in the hierarchy. For more information, see Edit an Existing Exclusion Record.

Figure 7.4: Search My Agency’s Exclusions



7.3.3 Agency Exclusion Points of Contact (POCs)

The Agency Exclusion POC page provides an alphabetical listing of federal agency points of contact and their associated contact information, which is publicly available. Any question about an exclusion that has been created by someone at the Agency should be directed to this individual.

If you are a Public User:

- Access the Agency Exclusion POC list in “SAM Help.”

If you are an Exclusions Administrator or Representative:

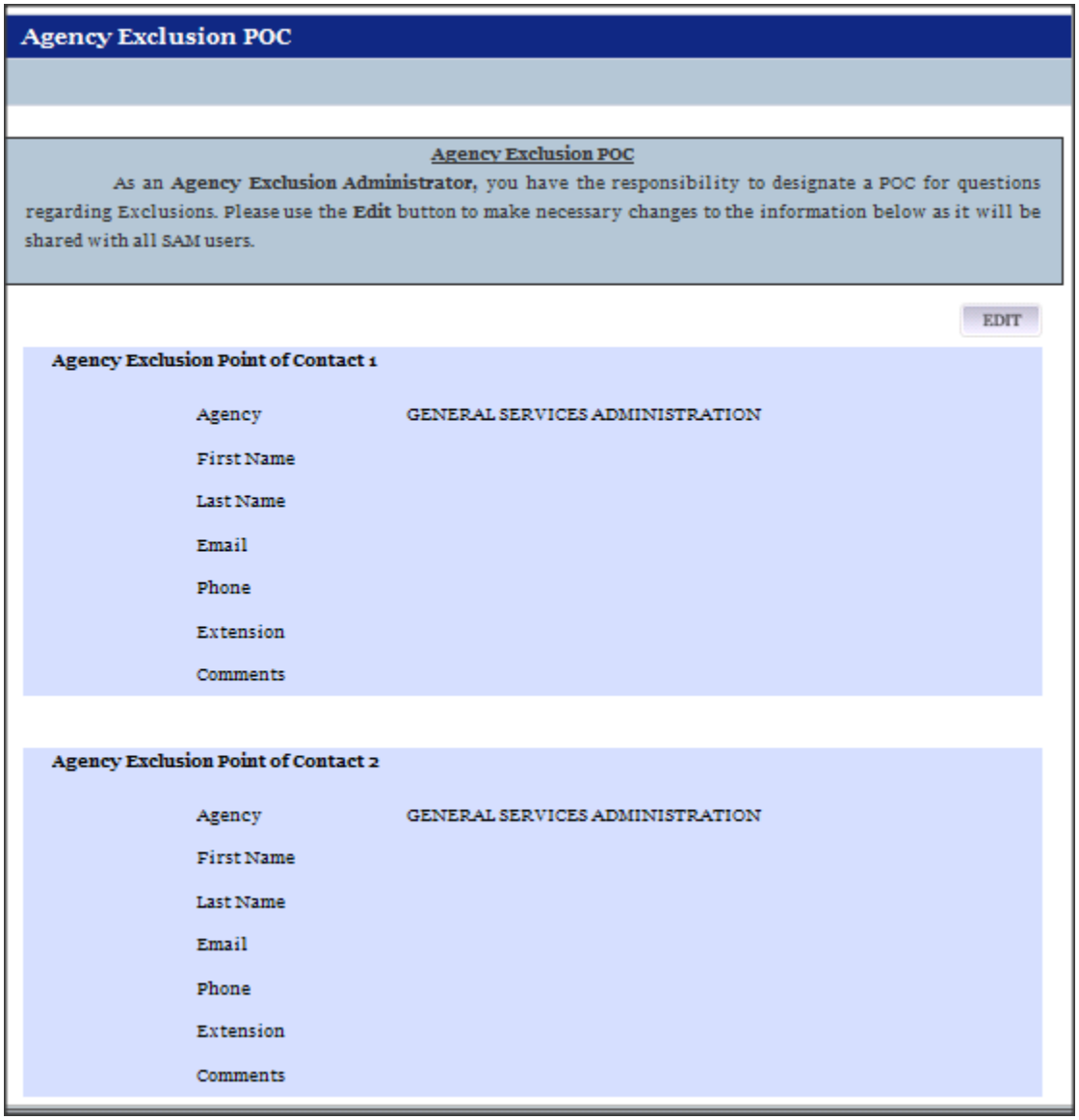
- Access the POC list by selecting “Agency Exclusion POC” from the left navigation panel under “Manage Exclusions.”

If you are an Agency Exclusions Administrator, you are responsible for creating and maintaining the POC list for your agency. NOTE: Individuals designated as a POC do not need to have a SAM user account and are not required to hold this SAM role.

To manage your POC list:

- Select “Agency Exclusion POC” from the left navigation panel.
- Select “Edit” to update the contact information for your agency’s POCs.

Figure 7.5: Agency Points of Contact

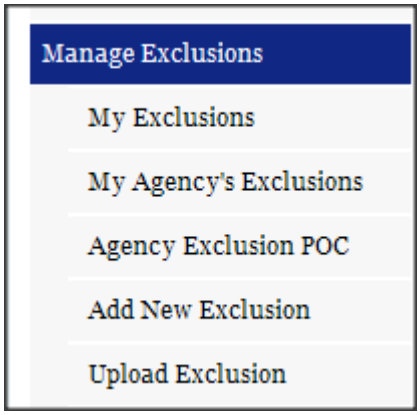


7.3.4 Add New Exclusion

To create a new exclusion in SAM:

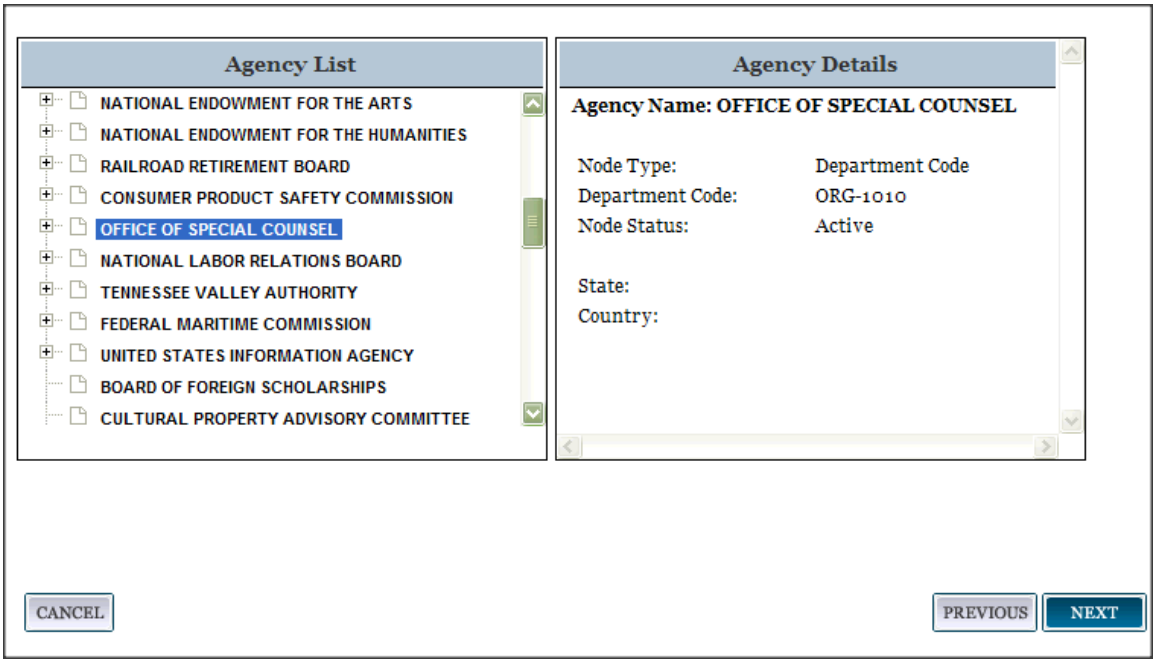
- Select “Add New Exclusion” under “Manage Exclusions” in your navigation panel.

Figure 7.6: Add New Exclusion



- Select the agency or component for which you want to create the exclusion record
- Click "Next."
- The agencies available to you are based on the roles associated with your SAM user account.

Figure 7.7: Select Agency



- Select the "Classification Type."

Every exclusion record in SAM falls within one of four categories, or Classification Types. Excluding agencies have access to all of these Classification Types:

- Individual - A person without a valid D&B Data Universal Numbering System (DUNS) number.
- Firm - A company with a valid D&B Data Universal Numbering System (DUNS) number.
- Special Entity Designation - Any entity that is not a vessel, individual or firm.
- Vessel - A mode of transportation capable of transport by water.

- Depending upon which Classification Type you select, enter the following information:

  Individual:

  - First and Last Name
  - Country
  - If U.S.A. is selected: Address Line 1, City, and State

  Firm:

  - DUNS number OR
  - Organization Name and Country
  - If U.S.A. is selected: City and State

  Special Entity Designation:

  - Organization Name
  - Country
  - If U.S.A. is selected: State

  Vessel:

  - Organization Name
  - Country
  - If U.S.A. is selected: State
- Select "Next" to trigger a search.
- The system first searches Entity Management records in SAM. If the search criteria you entered match an entity record registered in SAM, the results will be displayed.
- If no results in SAM are found, the system automatically searches D&B. If the search criteria you entered closely match a D&B record, the results will be displayed on a "Search D&B Records" results page.
- If SAM Entity Management or D&B search returns one or more results, select the radio button next to the record you want to exclude.
- If no results are found in either SAM Entity Management or D&B, the search results page will show zero results.

Your search criteria will display at the top of the results page.

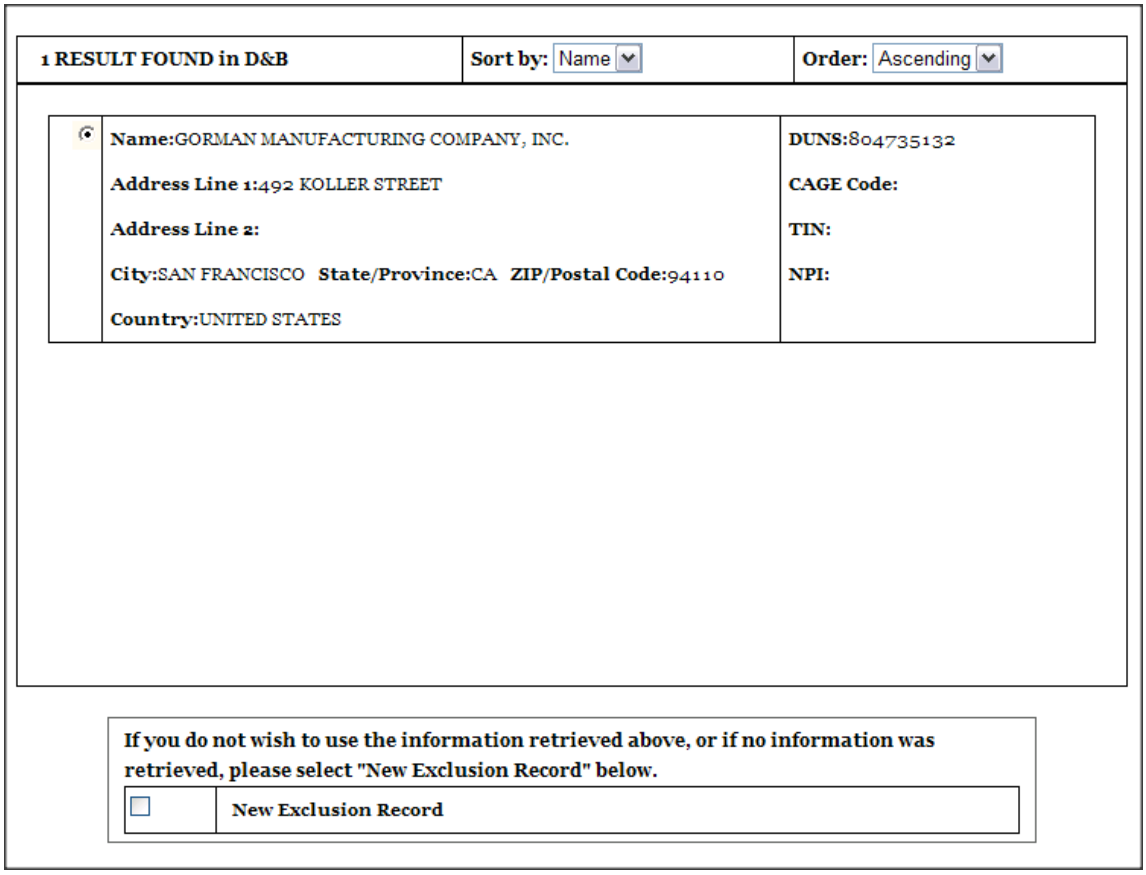
To update your search criteria:

- Click “Previous” to return to the “Search SAM Records” page.

If no matches are found, or if you do not want to select a search result:

- Check the box at the bottom of the results page to add “New Exclusion Record.”

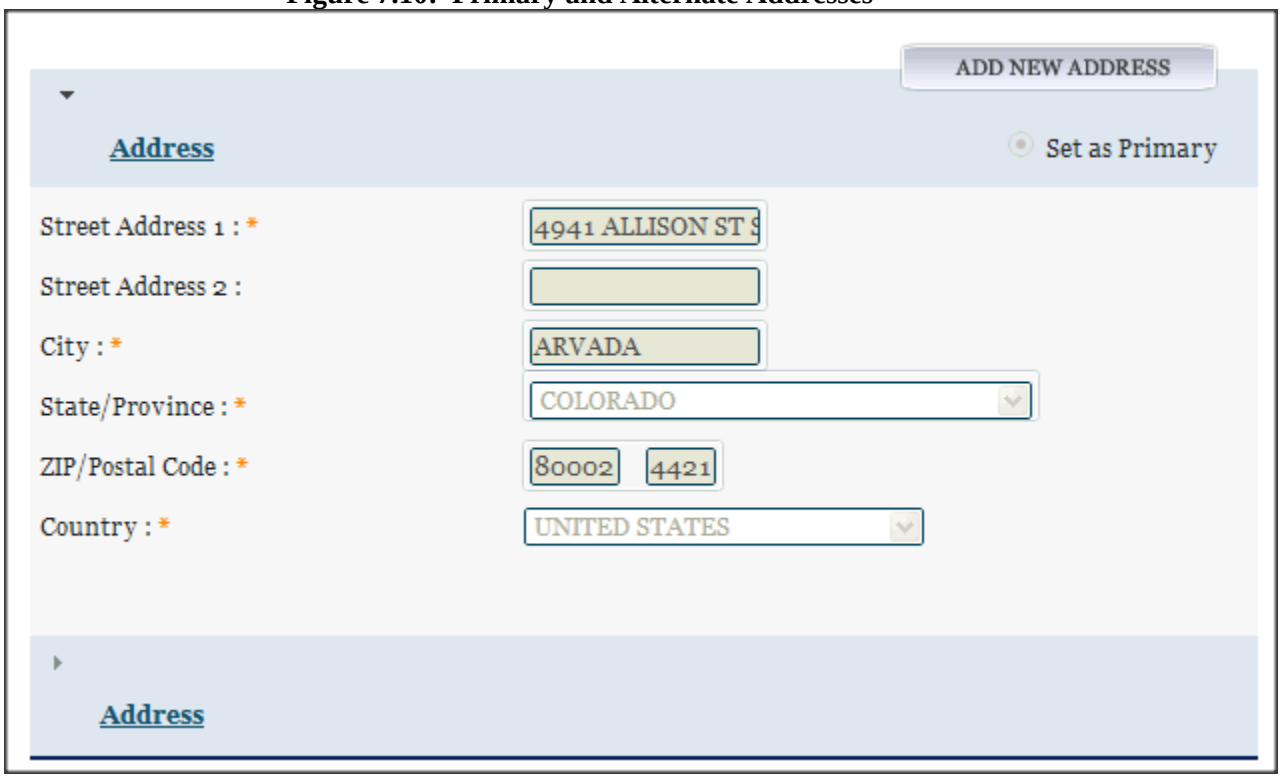
Figure 7.8: Exclusion Search Results



- After selecting a search result, or selecting “New Exclusion Record,” click “Next.”
- The information on the “Identification Information” page is populated from either the system search result you selected, or from the search criteria you entered previously if no selection was made.
- NOTE: If you choose not to select a search result (SAM or D&B), but rather to add a “New Exclusion Record,” you will NOT be able to continue using a DUNS number found in a search result unless you use the name and address found on the DUNS record. If you believe that the entity you are searching for is operating under a different name and address from what is returned in a search result, you can search to see if an active exclusion exists for that name and address. If so, you can cross-reference the two exclusions. Refer to the Cross-References section below for specific instructions.

- If the information is not correct, click “Previous” to return to the results page and select a different result. Click “Previous” once more if you want to modify your search criteria.
- Next, designate a Primary Address for the exclusion. The address found on a selected SAM or D&B search result will automatically be set as the primary address, and cannot be changed. One or more alternate addresses can be added by selecting “Add New Address.”
- You can also add more addresses if the identification information is based on your search criteria and not a SAM or D&B search result. You may designate any of them as the Primary Address by selecting “Set as Primary” next to the desired address.
- Once you have completed the Identification Information page, click “Next.”

Figure 7.10: Primary and Alternate Addresses



Exclusion Program

Prior to August 1995, there were three distinct exclusion programs: Reciprocal, Procurement, and Non-Procurement. The Reciprocal program list is a comprehensive list of both procurement and non-procurement program exclusions. All exclusionary actions initiated on or after August 25, 1995, are excluded government-wide from both procurement and non-procurement programs and are being added to the Exclusions portion of Performance Information as Exclusion Program: Reciprocal.

The Federal Register dated June 26, 1995, published the final regulation that establishes reciprocity between the procurement and non-procurement debarment and suspension systems. Therefore, individuals, businesses, contractors and entities listed under this exclusion program are

ineligible to participate in federal procurement contracts and sales program and non-procurement federal financial and non-financial benefit and loan programs (unless otherwise noted).

- The Exclusion Program value is automatically set to "Reciprocal" and cannot be changed.

Classification Type

- The Classification Type value will automatically be set to the type you selected at the beginning of the process, "Search SAM Records," and cannot be changed.

Exclusion Type

- Next, select the Exclusion Type.
- See Exclusions Terminology_Exclusions_Types for descriptions of the four different Exclusion Types, including the associated Nature (Cause) and Effect language.

Active Date

- Select an Active Date.

The Active Date represents the date that the exclusion became active, when the entity is no longer able to do business with the Federal Government. NOTE: This was known as Action Date in the legacy system (EPLS). Key points pertaining to the Active Date:

- The Active Date can be different than the date you created the exclusion record in the system.
- The Active Date can be set to before or after the date you enter it into SAM.

Termination Date

- Enter a Termination Date.

Exclusions are for a specified term as determined by the excluding agency. This date represents the date the exclusion will be removed from the current list of active exclusions and placed in the inactive list, formerly referred to as the archived list. If there are no other active exclusions for the entity, it will become eligible to do business with the Federal Government when the Termination Date is reached. If you have questions on an exclusion's duration, contact the Agency Exclusion POC identified in SAM Help.

- If you create a record using a Termination Date from the past, the record will automatically be inactive when the record is submitted.
- Once a record is inactive, it cannot be modified.

Additional Comments

- Enter any additional information in the "Additional Comments" box at the bottom of the page. This is where you would enter details specific to your exclusion that might not be captured in the Nature (Cause) & Treatment language.
- NOTE: Information entered here will be publicly available. Do not use this field to store information that does not pertain to the exclusion (e.g. reminders), or to store Privacy and Personally Identifiable Information (PII).
- Click "Next" to move to the next step in the process: Cross-References.

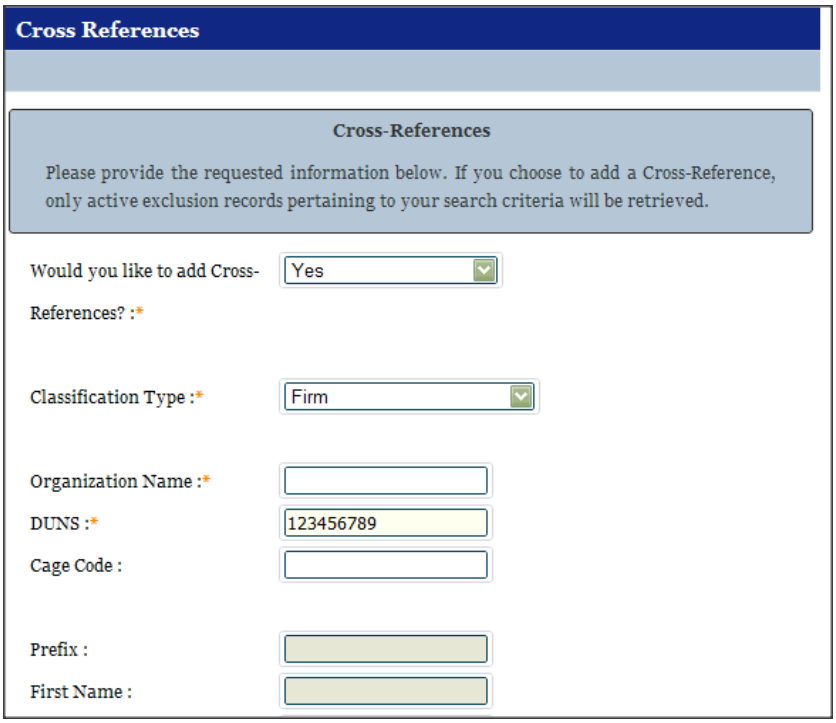
Cross-References

Cross-References allow you to identify and connect active exclusion records when more than one party is involved in the same exclusion, or when a party is operating under more than one name and/or address. When a cross-reference is created, you must indicate one of the below aliases referred to as a "Cross-Reference Type" in SAM.

1) AKA – Also Known As
2) FKA – Formally Known As
3) PKA – Previously Known As
4) DBA – Doing Business As
5) NKA – Now Known As
6) Cross-Reference

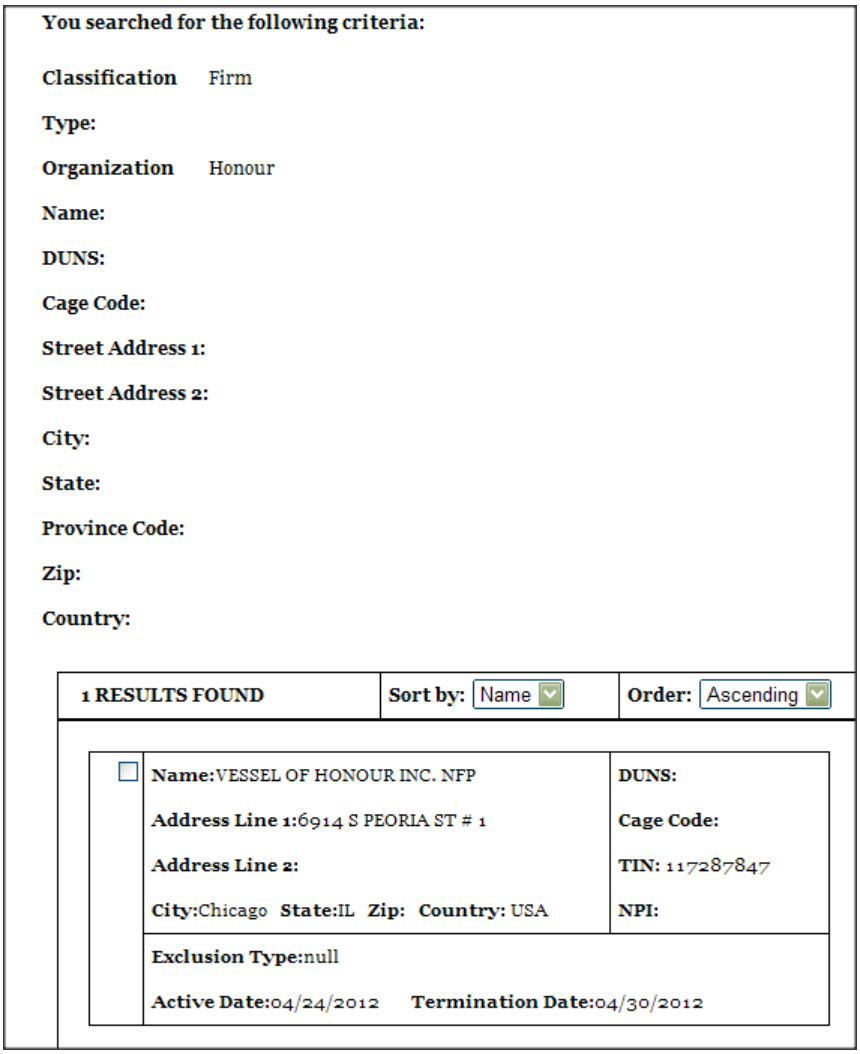
- First, SAM will display any existing cross-references, if applicable.
- Next, SAM will ask if you want to create Cross-References.
- If No, click "Next" to continue with the process.
- If "Yes," enter the required information beginning with the Classification Type.
- If you select Classification Type Individual, you must enter First and Last Name.
- If you select Firm, Special Entity Designation or Vessel, you must enter either a DUNS number or the Name.

Figure 7.12: Search Active Exclusions



- Click “Next” to trigger a search of all active exclusions in SAM.
- If there are no results, you can either click “Previous” to change your search criteria, or click “Next” to move to the next step.
- If results are returned, you can select one or more of them by checking the box next to the record(s) you want to cross-reference.

Figure 7.13: Cross-Reference Search Results



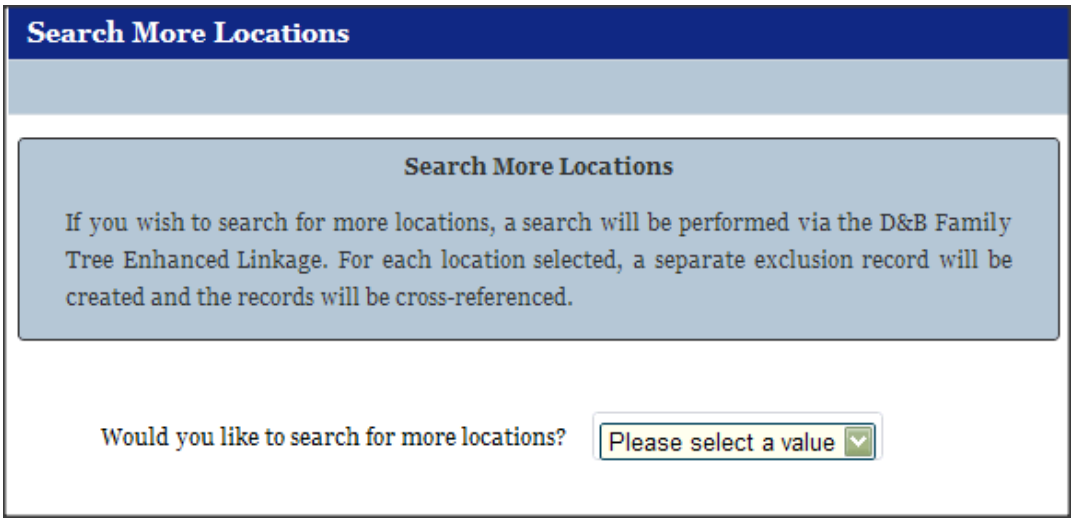
When a cross-reference is created, you must select the “Cross-Reference Type.”

- NOTE: You are not able to edit the exclusion selected as a cross-reference; it can only be modified by the agency that created the exclusion.
- Click “Next” to move to the next step: Search More Locations.

More Locations

- The system asks if you would like to search for more locations. The term "location" refers to potential relationships between the original DUNS number identified on the exclusion record, and any other existing DUNS number records in D&B. You must answer this question regardless of the Exclusion Type selected previously.
- If you do not want to search for more locations, select "No" and click "Next" to continue to the review page.
- If you do, select "Yes" and click "Next." SAM will query D&B for additional locations, or DUNS records, linked to the DUNS number on the new record.

Figure 7.14: View More Locations



- If the D&B search returns results, you can select one or more of the additional locations by checking the box next to the desired record(s).
- NOTE the following key points:
  - SAM will treat each firm added via the "Search More Locations" method as a separate, individual record.
  - The primary record and all selected search results will automatically become cross-references to each other; the Cross-Reference Type will default to "Cross-Reference" for all of the records.
  - The primary record and all selected search results will retain identical exclusion data entered previously to include: Exclusion Type, Excluding Agency, Active Date, Termination Date/Indefinite indicator, and any additional comments.
- If there are no results, click "Next" to continue to the "Review" page.

Review

- Last, review and submit the exclusion record. The "Review" page displays all of the information entered during the previous steps.
- To make changes, click "Edit" to return to a particular page.

- When satisfied with the information entered, click “Submit.”
- A confirmation page displays if the submission is successful, and the record will be publicly available at that time.
- You may print and save the record details from the confirmation screen.

Figure 7.15: Exclusion Review Page

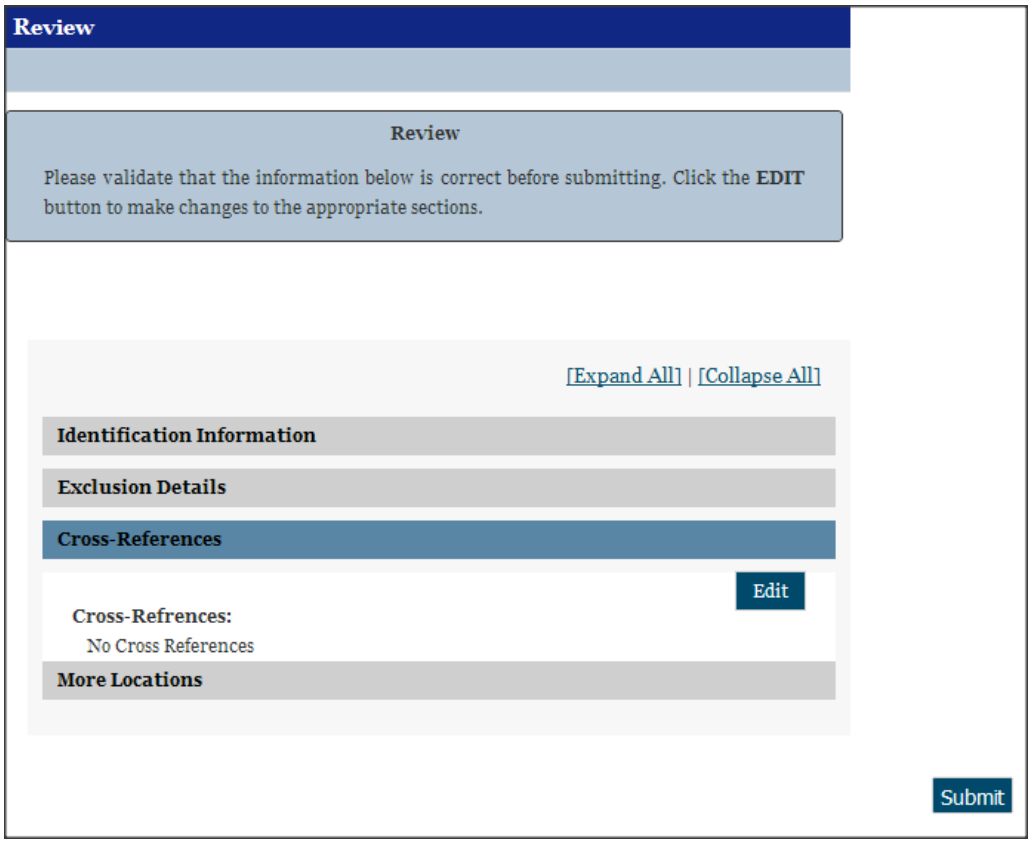
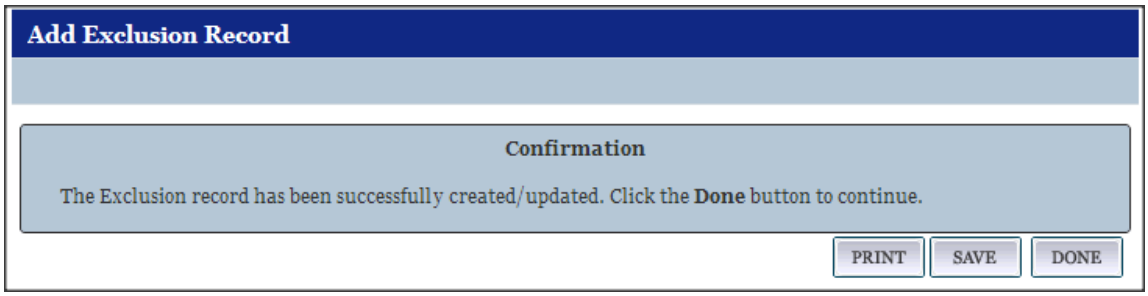


Figure 7.16: Confirmation



7.3.5 Edit an Existing Exclusion Record

To edit an existing exclusion record:

- Select either “My Exclusions” or “My Agency’s Exclusions” from the navigation panel.
- Click “View” adjacent to the desired record.
- Click an “Edit” button to go directly to a specific page.
- Enter any desired changes and click “Submit” on the final review page to submit the updated record.

Figure 7.17: View Exclusion

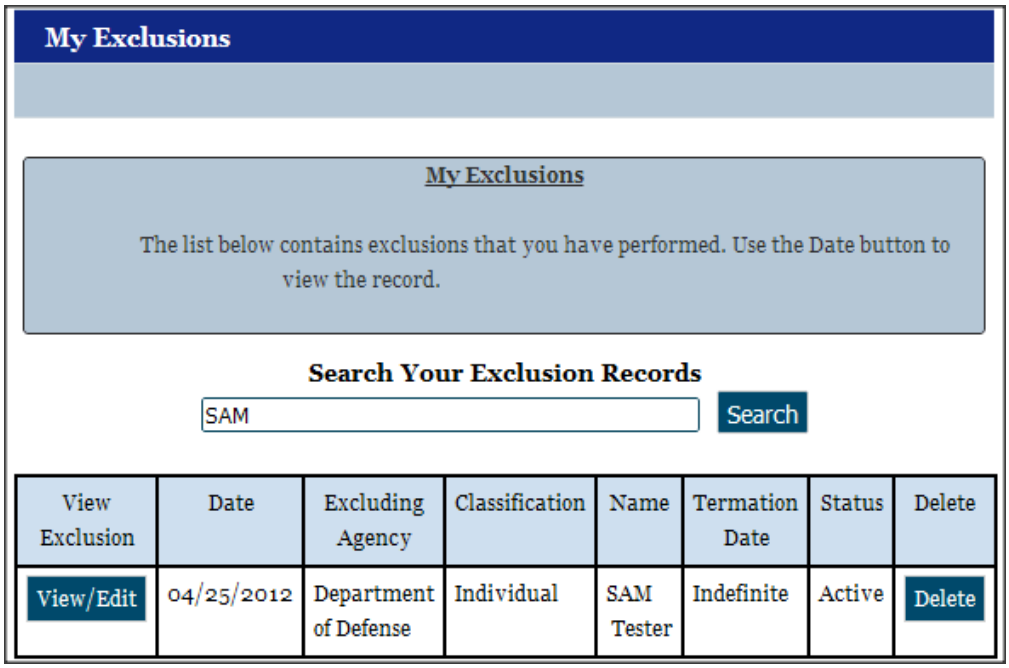
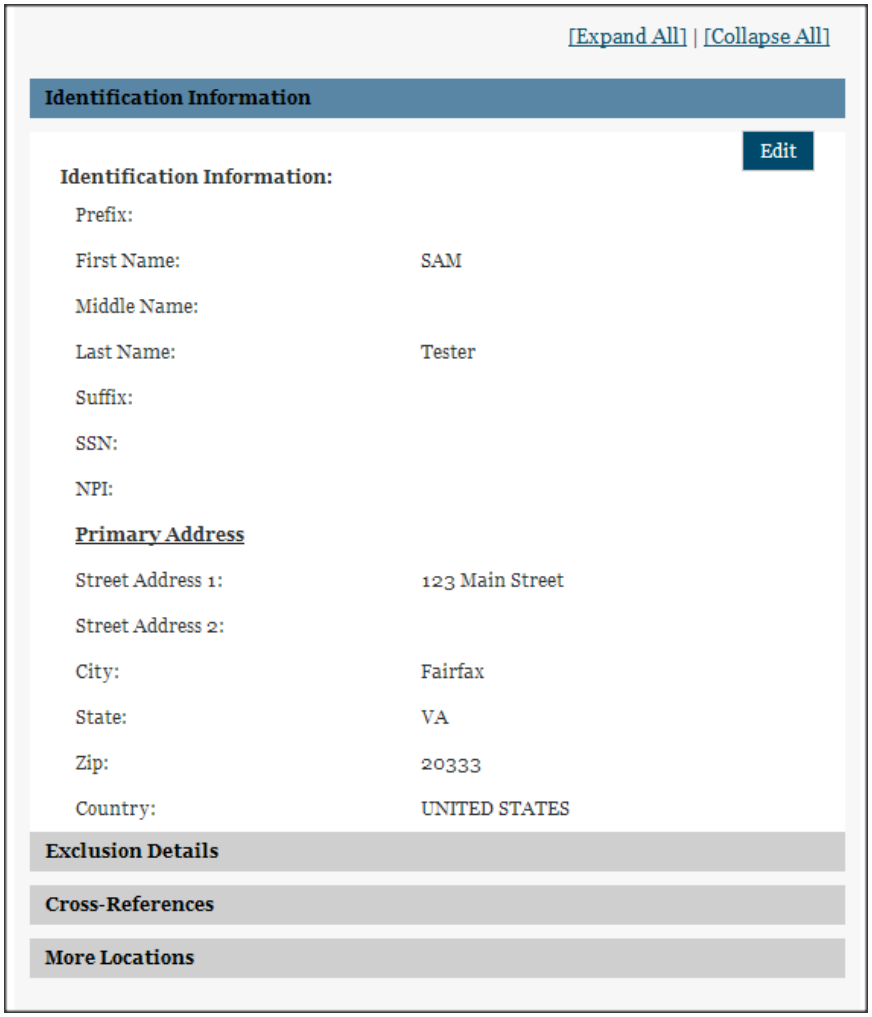


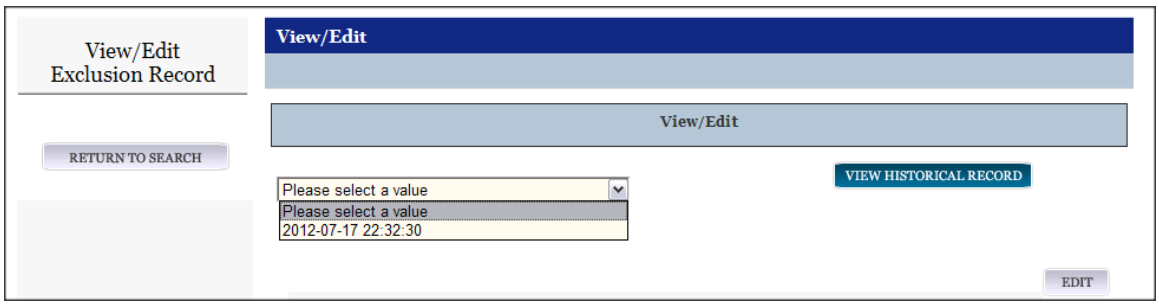
Figure 7.18: Edit Exclusion



7.3.6 View Record History

The system tracks a history of all changes made to an exclusion record. Anyone can view an exclusion record's history, including users without an individual SAM Account.

Figure 7.20: Access Record History



7.3.7 Upload Interface

The Exclusions Upload interface allows users to upload a file with one or more XML forms that contain specifications for entities subject to exclusion. Before attempting to upload exclusion data to SAM, please note the following:

- The file may contain specifications for actions to one or more entities.
- If you upload files that are not in the correct XML format, the uploaded information will be rejected by the system. A sample XML file can be acquired from the Data Access section of the SAM application.
- Your session will time-out if you attempt to submit files larger than 4 Megabytes, or if you are inactive for 30 minutes.
- File names should not contain the # character. This character has a special meaning in a URL and renders exclusion information inaccessible to users.

To upload an XML file to SAM:

- Click "Upload Exclusion" under "Manage Exclusions" in the left navigation panel.
- Click "Choose File" to select one or more files from your computer.
- Click "Add" to add the file to your Upload Queue. Here you can view the size and name of the selected file. NOTE: You may remove it from the Upload Queue by clicking "Remove" located in the right column.
- Ensure you selected the correct file(s) to upload, and click "Upload." The files in your Upload Queue will be uploaded to SAM.
- You will receive a confirmation page upon successful upload.

7.3.8 Web Service Interface

The Web Service Interface allows agency users to manage exclusions via a web service. Authorized users with a valid username and password will be able to search, submit, update and delete exclusions. Some operations may require access to lists of available SAM Exclusions data, such as the list of available agencies. Refer to the Data Access section found in SAM Help for information on how to obtain the appropriate account to access the web service interface.

In SAM you can search for multiple exclusions using the available Exclusions Search Web Service. The WSDL required for this Web Service can be found at; https://gw.sam.gov/epls/services/EPLSSearchWebService?WSDL.

8 Federal Government Hierarchy Maintenance

SAM keeps organizational hierarchies for entities registered in SAM. For U.S. Federal Government entities, SAM maintains its own hierarchy for various departments and agencies. For all other types of entities registered in SAM (such as businesses and organizations), SAM uses the DUNS hierarchy provided by D&B.

The hierarchy represents the "family tree" for an organization and enables:

- Linkage of one entity to another in a "family tree"

- Relating of actions (Entity Management registration, exclusions, and later capabilities like subcontract reporting and solicitation posting) to both an entity and, by relation, to its parent
- Management of users at lower level entities in the "family tree"
- Roll-up reporting
- Drill-down searches

The sections below focus specifically on the Federal Government Hierarchy and how it is managed in SAM.

Before reading on, note that on the website mandatory fields have been marked with an asterisk (*) to help you understand what data is required.

8.1 Hierarchy Background

The SAM Federal Government Hierarchy is used to organize Federal Government users and the records they create in the system into one overall structure or "family tree." When an entity is placed on the hierarchy, this is called a node. The term node indicates that the entity is defined, it exists on the hierarchy, and there is basic information entered for the entity such as name and address. A node entry in the hierarchy never expires, but it can be updated by contacting (FPDS), who will in turn contact SAM.

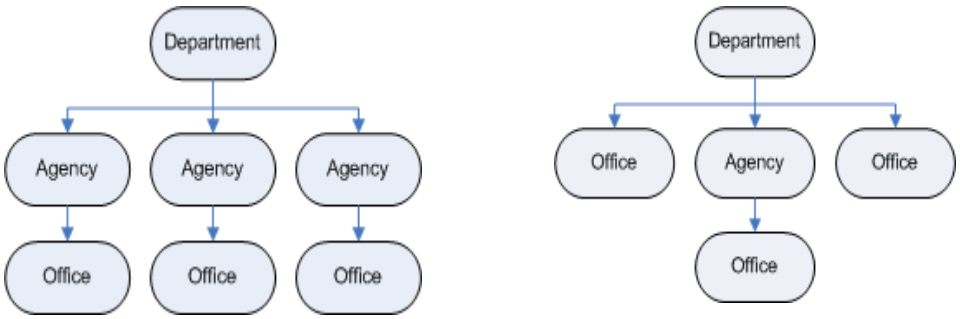
In the course of doing business you may provide more information about the node. For example, if you wish to perform Intra-Governmental transactions, you will have to fill out additional information about the node in an Entity Management record. The Entity Management record can expire if not renewed or updated every twelve months, but the node will remain on the hierarchy. For Federal Government users, your entity must exist on the hierarchy before you can get roles with it, and before you can take actions within SAM on behalf of the organization. However, an entity may exist on the hierarchy without having users associated to it.

SAM's Federal Government Hierarchy contains the following node levels:

- Node level 1 – Department
- Node level 2 – Agency/Bureau
- Node level 3 – Major Command – DoD Only
- Node level 4 – Sub-Command 1 – DoD Only
- Node level 5 – Sub-Command 2 – DoD Only
- Node level 6 – Sub-Command 3 – DoD Only
- Node level 7 – Office

The node levels must be in this order. Node levels can be skipped, but cannot work in reverse (for example, an Office cannot be the parent of an Agency). Offices can exist under any node level of the hierarchy (so an office can be established under a Department). Figure 8.1 below shows this graphically.

Figure 8.1: Sample SAM Government Hierarchies



The hierarchy also supports administrative capabilities, giving individuals with the Agency Administrator role the ability to manage users and records at any lower level nodes in their hierarchy. For instance, if you have administrator rights to a Department node/level, you can manage records, perform actions and manage users for your own entity as well as any agency or office below you on the hierarchy.

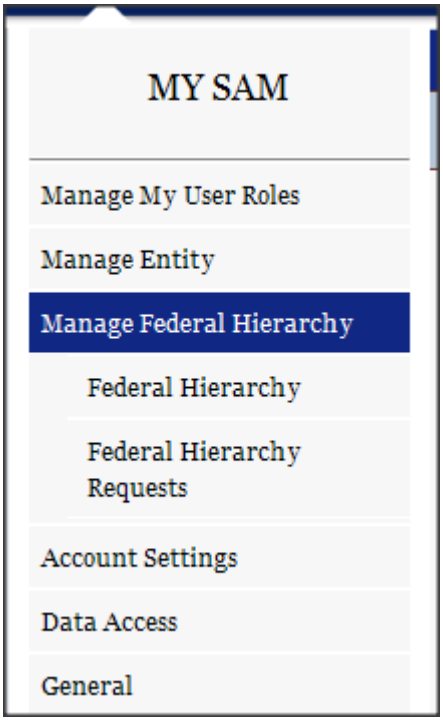
8.2 Maintaining the Federal Government Hierarchy

Within a department/agency, the Agency Hierarchy Maintainer role is responsible for maintaining the Offices within their portion of the hierarchy. As the Hierarchy Maintainer, it is important that you review the list of Agencies and Offices and ensure that they are the most updated and accurate listing for your Department. If you notice any discrepencies, you must contact FPDS to report the inconsistancies.

If you do not have this role and wish to request it, follow the instructions outlined in Roles. If the Agency Hierarchy Maintainer wishes to create a new agency in the hierarchy he or she must contact **FPDS.**

You can access the hierarchy functionality underneath the “Manage Federal Hierarchy” link on your “My SAM” page.

Figure 8.2: Manage Federal Hierarchy



8.2.1 Requesting a New Department, Agency or Office

To create a new entity in the Federal Government Hierarchy you must contact FPDS. Once a node has been created through FPDS, then the information will be sent to SAM to be added to the Federal hierarchy.

9 SAM Help

9.1 SAM Help Pages

On the SAM Help pages you can find the training materials and information you need to successfully navigate SAM. SAM Help includes:

- Answers to the Frequenty Asked Questions (FAQ)
  - List of general FAQ with the functionality to search for specific keywords in the list
- User Guides
  - Full version of User Guides,
  - Quick Start Guides. There are several Quick Start Guides that provide overview information on how to register for contracts and grants, search SAM, create exclusions, perform administrator role and migrate accounts.

        - Quick Start Guide for Updating/Renewing Registrations
        - Quick Start Guide for Contract Registrations
        - Quick Start Guide for Grant Registrations
        - Quick Start Guides for Exclusions
        - Quick Start Guide for Federal Administrators
        - Quick Start Guide for Non-Federal Administrators
        - Quick Start Guide for Federal Employees
        - Quick Start Guide for Migrating Roles
        - Quick Start Guide for Search
        - Quick Start Guide for BioPreferred Reporting
        - Quick Start Guide for Small Business NAICS Search
    - Helpful Hints. There are 4 helpful hints for government users and 1 for public users.
        - Government User Guidance on Small Business Information in SAM
        - Government User - Identifying Excluded Entities in SAM
        - Identifying Entities Registered for Contracts
        - Identifying Entities Registered for Grants
        - Public User - Identifying Excluded Entities in SAM
- Demonstration Videos. There are 5 webinars that provide an overview of SAM application, how to register for contracts and federal assistance, migrate accounts, and manage users,
    - SAM Overview Video
    - Register a New Entity for a Government Contract
    - Register a New Entity for Grants and Other Federal Assistance
    - Migrate Your Legacy System Role
    - Managing Users as an Administrator
- Exclusions Information
    - Agency Exclusion POC. Listing of all Agency Exclusions Point of Contacts with their name and phone number
    - Legacy CT codes. Full listing and definition of all historical Cause and Treatment codes.
    - Exclusion Types. Full listing and description of the SAM Exclusion Types and how they map to the historical Cause and Treatment codes

10 General Information

10.1 General Information Pages

On the General Information Pages you can find the most updated information about the SAM site. Information in this section includes :

- About SAM. Information about SAM and how SAM will benefit you as you a user, disclaimers, accessibility and privacy policy
- News. Information on the latest release notes, news and announcements about SAM.
- Links to External Resources. Links to software sites that you may need to access specific sections of SAM
- Contact Us

If you have a question about SAM or require assistance, select "Contact Us" for information on how to contact the SAM Help Desk, which is run by the Federal Service Desk (FSD). For policy related questions, contact your contracting officer or grants official.

Refer to the FAQs found in "SAM Help" before contacting the FSD. If the FAQs do not answer your question, please contact FSD for additional support.

URL: www.fsd.gov

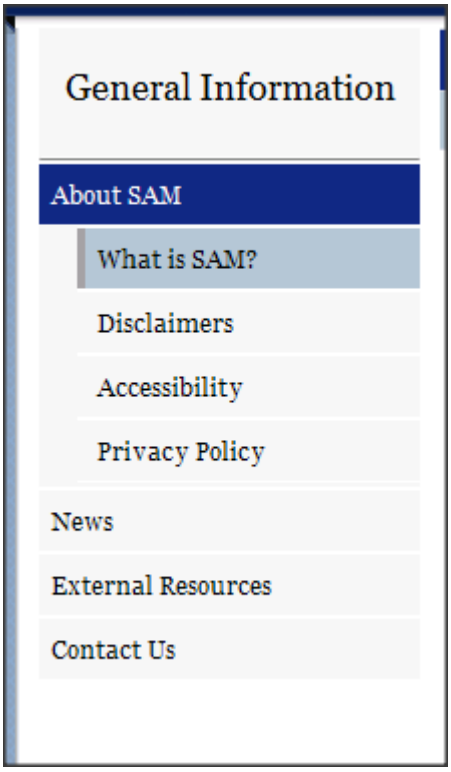
Hours: 8am - 8pm (Eastern Time)

U.S. Calls: 866-606-8220

International Calls: 334-206-7828

DSN: 866-606-8220

Figure 10.1: General Information Links



11 BioPreferred Report

11.1 Reporting

The BioPreferred program is a key component to promote sustainable acquisition throughout the Government under Executive Order 13514 of October 5, 2009 (Federal Leadership in Environmental, Energy, and Economic Performance). The BioPreferred program, established by the Farm Security and Rural Investment Act of 2002 (Public Law 107-171) (2002 Farm Bill), and strengthened by the Food, Conservation and Energy Act of 2008 (Public Law 110-234) (2008 Farm Bill), is intended to increase Federal procurement of biobased products to promote rural economic development, create new jobs, and provide new markets for farm commodities. Biobased and sustainable products help to increase U.S. energy security and independence. Contractor reporting of purchases of BioPreferred items has been added to SAM to comply with the Farm Bill and FAR 23.406.

In accordance with FAR 52.223-2, vendors who have been awarded services or construction contracts issued after May 18, 2012 are required to report on their purchase of BioPreferred Items in the execution of those contracts during the Federal Government fiscal year (October 1st to September 30th). As such, contract data will be collected from FPDS for any contract, to include task and delivery orders, which meet the following criteria:

- Is a service or construction contracts, as identified by the PSC code.

- Is awarded on or after May 18, 2012.
- Contains a period of performance date during the current fiscal year -- regardless of whether the contract was completed or not.

SAM will receive a list of all contracts that meet the requirements identified above from the Federal Procurement Data System (FPDS). Users will come into SAM to report on their contracts by overall contract number, aka Procurement Instrument Identifier (PIID). Reports can be entered and edited throughout the Federal fiscal year, until October 31 of the following fiscal year, when the reporting for the year closes. For example, FY2013 information can be entered and edited until October 31, 2013.

11.2 Required Data

The "prime" contractor is responsible for entering BioPreferred information. For each contract or order, the "prime" contractor must enter a single dollar amount expended in any given BioPreferred product category. The "prime" contractor must include the "prime" contractor data in the reported amount. The prime contractor must enter the following data for BioPreferred Items used during the Federal Government fiscal year (October 1st to September 30th):

- Category of Product
- Type of Product
- Dollar Amount Spent

11.3 Accessing BioPreferred Functionality

In order to create BioPreferred Reports:

- Your entity must be registered in SAM
- FOR VENDORS ONLY: You must have an individual SAM account with the Entity Administrator, Entity Registration Representative, or Reporter role.
- FOR U.S. FEDERAL GOVERNMENT ONLY: You must have an individual SAM account with either the Agency Administrator – Entity Management or Office Registration Representative role.

If you do not already have one of these roles, you can:

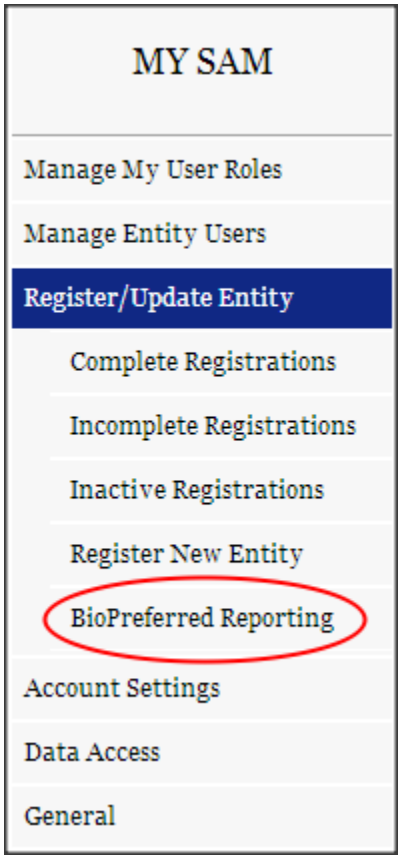
- Migrate your roles from CCR (only if you had CCR access)
- Request roles with your entity. Select "Manage My User Roles" and click "Request Roles with New Entity."
- Have your entity's administrator assign you roles.

11.4 Creating BioPreferred Reports

After you have the correct roles, you can begin creating BioPreferred Reports.

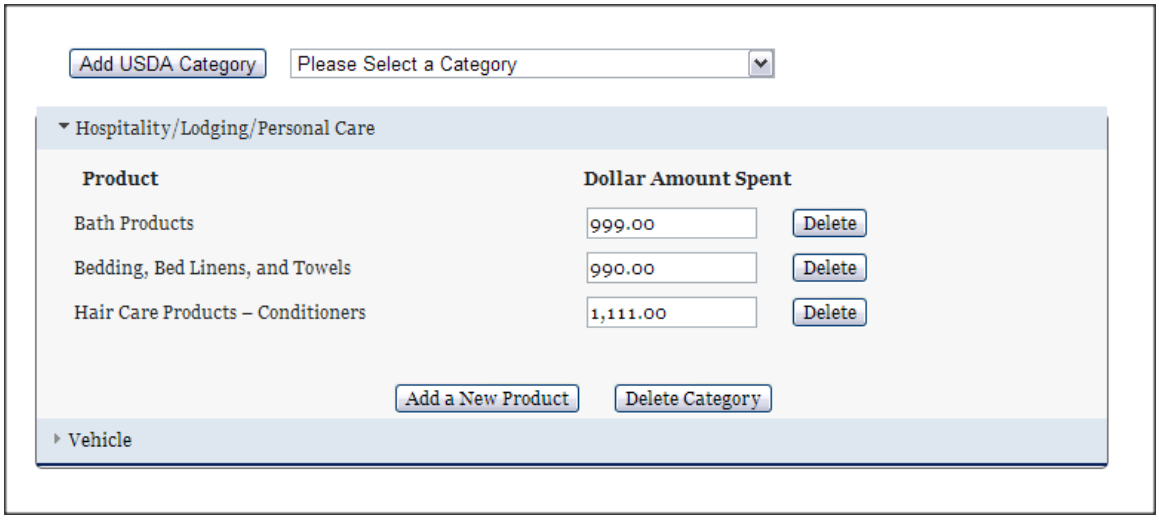
- From your “My SAM” page, select “Register/Update Entity” and click “BioPreferred Reporting”

Figure 11.1: BioPreferred Link



- Next, select the DUNS number for which you wish to create a BioPreferred Report. Click “View.” Only DUNS numbers which require BioPreferred Reporting appear on the list. If a DUNS number does not appear on the list, SAM has not received any contracts that require reporting for that DUNS number. The contract data is updated on a monthly basis so there may be a lag between when the contract is entered in FPDS and when it appears in SAM.
- You are now presented with the contracts which require BioPreferred Reporting. For each contract you can see the status of your BioPreferred Report under the “Submitted?” header. “Y” indicates that the BioPreferred Report for that contract is submitted. “N” indicates that it is not submitted. Select the appropriate contract and click “Add.” Only contracts which require BioPreferred Reporting appear on the list.
- On the next page, SAM displays the details of the contract for your reference. Click “Add USDA Category” button to add a category.
- Select a USDA Category from the dropdown list.
- Next, select the Product from the dropdown.

Figure 11.2: Entering BioPreferred Information



- After selecting the correct product, enter the Dollar Amount Spent on purchasing that product during the Federal Government fiscal year (October 1 – September 30). (NOTE: The sum of the Dollar Amounts Spent cannot exceed the Total Contract Value). You can add multiple Products for this Category by clicking "Add a New Product". If you need to delete a Product click "Delete" next to that Product.
- If you need to add additional Categories, click "Add USDA Category" again.
- If you need to remove a Category, click "Delete Category" next to the item.
- After completing the report, click "Submit" to save it. You will be able to edit this report as necessary until the reporting period closes on October 31st. After that deadline, you will only be able to create reports for the next Federal Government fiscal year.
- On the "Select Contract" page, SAM displays a "Y" in the "Submitted?" column for the report that you just finished. You can save a PDF of the report by clicking the displayed link.

11.5 Editing BioPreferred Reports

You can edit your BioPreferred reports up until the deadline closes on October 31st. To edit a report:

- From your "My SAM" page, select "Register/Update Entity" and click "BioPreferred Reporting."
- On the next page, select the DUNS number for which you want to edit a report and click "View."
- The reports that you can edit have a "Y" in the "Submitted?" column. Click "View/Edit".
- Update the record and click "Submit" to save the changes.

11.6 BioPreferred Reporting Period

The reporting tool will be available throughout the entire fiscal year, and contractors may come in and create or update reports at any time up until the reporting period ends. The reporting period will end at midnight on October 31 each year. At that time, all reports for the prior fiscal year will be locked and submitted to the Office of Management and Budget. After October 31, only reports for the next (current) fiscal year may be completed. So, for example, starting November 1, 2013, contractors will be able to create reports for FY2014. This will continue until October 31, 2014, at which time the reports FY2014 will be locked. FY2015 reporting would begin on November 1, 2014.

11.7 Federal Government Users Viewing Submitted Reports

Users with For Official Use Only (FOUO) access in SAM can view the BioPreferred reports that an entity has created. Users who have FOUO access in SAM include:

- Users who have been granted FOUO Entity Management Data Viewer (or higher sensitivity) access
- Users who have an account with a U.S. Federal Government role
- Users who have created an account with a U.S. Federal Government email address

You must be logged into your SAM account to view BioPreferred information. You can see an entity's submitted BioPreferred reports on the Entity Dashboard.

- Click the "Search Records" tab from the SAM Homepage and search for the entity by its Legal Business Name, DUNS number, or CAGE code.
- On the "Search Results" page, click "View Details" for the entity.
- Under the "Reports" section on the left side of the page, click "BioPreferred Report"

Figure 11.3: BioPreferred Report Link

If you do not have access to view the information, you will see the following message:

Figure 11.4: Unauthorized Access

> You do not have permission to access this BioPreferred Reporting information. Only government users who are logged into their account and users who have a role with this entity can access BioPreferred Reporting information.

If the entity is not required to create BioPreferred reports, you will see the following message:

Figure 11.5: BioPreferred Not Required

> This entity was not required to submit BioPreferred Reporting information.

If you do have access and the entity must create BioPreferred reports, you will see a list of all the PIIDs for which the entity must create a report. The “Submitted?” column indicates the status of that report. If the status is “Y”, you can click “View” to see the information that the entity entered for that report. “N” indicates that the entity has not created a report of that PIID.

NOTE: Until the reporting period closes on October 31st, entities may update their BioPreferred reports.

11.8 Year-End Summary Report

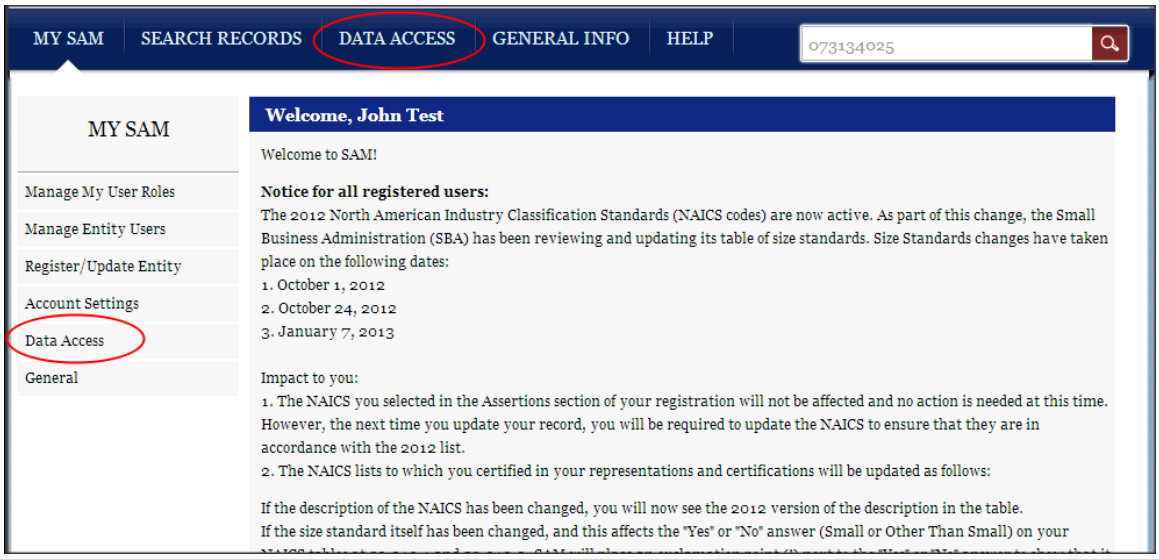
Those users with FOUO access can also download the BioPreferred Year-End Summary report. This .CSV document contains all BioPreferred reports for that fiscal year. This file can be found in the EM Extracts section under Data Access. The following users can access the file:

- Users who have been granted FOUO Entity Management Data Viewer (or higher sensitivity) access
- Users who have an account with a U.S. Federal Government role
- Users who have created an account with a U.S. Federal Government email address

You must be logged in to view the file.

NOTE: The file is not posted until after the reporting period has closed.

Figure 11.6: BioPreferred Year-End Report



Appendix A – Acronym List

Acronym	Acronym Description
ABA	American Banking Association
ACH	Automated Clearing House
ALC	Agency Location Code
AKA	Also Known As
ANSI	Alaskan Native Servicing Institution
ARO	Agency Registration Official (List)
CAGE	Commercial and Government Entity
CAPTCHA	Completely Automatic Public Turing Test to Tell Computers and Humans Apart
CCR	Central Contractor Registration
CFDA	Catalog of Federal Domestic Assistance
CFO	Chief Financial Officers
COTS	Commercial Off The Shelf
CPARS	Contractor Performance Assessment Reporting System
CSV	Comma Separated Value
CT	Cause and Treatment (Codes)
D&B	Dun and Bradstreet
DAR	Data Access Request
DBA	Doing Business As
DFARS	Defense Federal Acquisition Regulation Supplement
DO	Disbursing Office or Delivery Order
DOD	Department of Defense
DODAAC	Department of Defense Activity Address Code
DUNS	Data Universal Numbering System
EDI	Electronic Data Interchange
EDWOSB	Economically Disadvantaged Women-Owned Small Business
EFT	Electronic Funds Transfer
EIN	Employee Identification Number

Acronym	Acronym Description
EPA	Environmental Protection Agency
EPLS	Excluded Parties List System
eSRS	electronic Subcontracting Reporting System
FAPIIS	Federal Awardee Performance and Integrity Information System
FAR	Federal Acquisition Requirement
FBO	Federal Business Opportunities
FedReg	Federal Agency Registration
FEMA	Federal Emergency Management Agency
FFATA	Federal Funding Accountability and Transparency Act
FKA	Formally Known As
FOUO	For Official Use Only
FPDS	Federal Procurement Data System
FSC	Federal Supply Codes
FSD	Federal Service Desk
FSN	Fiscal Station Number
FSRS	FFATA Subaward Reporting System
GSA	General Service Administration
HCBU	Historically Black College or University
HSI	Hispanic Servicing Institution
IAE	Integrated Acquisition Environment
IGT	Intra-Governmental Transactions
IPAC	Intra-Governmental Payment and Collection
IRS	Internal Revenue Service
IT	Information Technology
JWOD	Javits Wagner O'Day (JWOD) Act
LLC	Limited Liability Company
MPIN	Marketing Partner Identification Number
NAICS	North American Industry Classification System

Acronym	Acronym Description
NCAGE	North Atlantic Treaty Organization Commercial and Governmental Entity
NHSI	Native Hawaiian Servicing Institution
NKA	Now Known As
NPI	National Provider Identifier
ORCA	Online Representations and Certifications Application
PII	Personally Identifiable Information
PKA	Previously Known As
PMO	Program Management Office
POC	Point of Contact
PPIRS	Past Performance Information Retrieval System
PSC	Product and Service Code
PTAC	Procurement Technical Assistance Center
SAM	System for Award Management
SBA	Small Business Administration
SCR	Service Contract Inventory Report
SDB	Small Disadvantaged Business
SFTP	Secured File Transfer Protocol
SSN	Social Security Number
TIN	Taxpayer Identification Number
URL	Universe Resource Locator
WDOL	Wage Determinations On Line
WOSB	Women-Owned Small Business
XML	Extensible Markup Language

Acronym	Acronym Description

Appendix B – Glossary

Three unique content glossary sections:

1. Entity Management Content Glossary
2. Representations and Certifications Content Glossary
3. Performance Information Content Glossary

1 Entity Management Content Glossary

Term	Definition
Contracts	This option is for those who wish to be eligible for federal contracts. By selecting Yes you well notice that the answer for Financial assistance will also be default to Yes. This simply indicates that you are required to complete the same registration sections as those interested in financial assistance. U.S. Federal Government entities may select this option if they have the authority to be eligible for federal contract awards.
Grants and other Federal Financial Assistance	This option is for those who plan to apply for Federal Financial Assistance awards (e.g. grants and cooperative agreements). This term replaces "Grants" in CCR. U.S. Federal Government entities may select this option if they have the authority to be eligible for financial assistance awards. .
Intra-Governmental Transactions	This option is only for U.S. Federal Government entities that plan on performing intra-governmental transactions (i.e., federal agency transfers of funds amongst themselves).
Federal Government	The United States Federal Government established by the Constitution to govern the constitutional republic of 50 states, one district and the territories that is the United States of America. It encompasses all Departments and Agencies of the Executive Branch as well as the Legislative and Judicial Branch. A federal government entity may register in SAM to be eligible for contracts, federal financial assistance, or intragovernmental transactions. It is distinct from the other levels of government (State, Local), Tribal Governments, or Foreign Governments, as well as commercial enterprises.

Term	Definition
U.S. State Government	A government of one of the 50 states that make up the United States of America. A state government entity may register in SAM to be eligible for contracts or federal financial assistance. It is distinct from the other levels of government (Federal, Local), Tribal Governments, or Foreign Governments, as well as commercial enterprises.
U.S. Local Government	A government of a locality (city, county, etc) within one of the 50 states that make up the United States of America. A Local Government entity may register in SAM to be eligible for contracts or federal financial assistance. It is distinct from the other levels of government (Federal, State), Tribal Governments, or Foreign Governments, as well as commercial enterprises.
Tribal Government	The independent government of an indigenous tribe within the borders of the United States of America that has local sovereignty as a tribal nation. A Tribal Government entity may register in SAM to be eligible for contracts or federal financial assistance. It is distinct from the other levels of government (Federal, Local, and State) and Foreign Governments, as well as commercial enterprises.
Foreign Government	The government of a country other than the United States of America. A Foreign Government entity may register in SAM to be eligible for contracts or federal financial assistance. It is distinct from the United States Government and Tribal Governments, as well as commercial enterprises.
DUNS	The Data Universal Numbering System (DUNS) Number is a unique nine-character identification number provided by the commercial company Dun and Bradstreet (D&B). Call D&B at 1-866-705-5711 or access their website at http://fedgov.dnb.com/webform if you do not have a DUNS number. International registrants may also contact SAMhelp@dnb.com.

Term	Definition
Refresh D&B Data	THE REFRESH BUTTON WILL ONLY BE VISIBLE AFTER YOU HAVE SUCCESSFULLY COMPLETED YOUR REGISTRATION. Use the "Refresh D&B Data" button only if you have recently called D&B to make a change to your information, but the changes are not yet showing up in SAM. FYI: The D&B System itself can take up to 2 hours to update.
DODAAC	FOR U.S. FEDERAL GOVERNMENT DEPARTMENT OF DEFENSE ENTITES ONLY. The Department of Defense Activity Address Code (DODAAC) for non-civilian government agencies (DoD) uniquely identifies a unit, activity, or organization that has the authority to requisition and/or receive material. This field should be filled with the letters "DOD" followed by the agency's 6 digit DoDAAC number.
D&B Legal Business Name	Enter the legal name by which you are incorporated and pay taxes. If you commonly use another name, such as a franchise, licensee name, or an acronym, then include that in the Doing Business As space. Your legal business name as entered on the registration MUST match the legal business name at D&B. If the information does not match, your registration may be rejected during processing.
DODAAC Legal Business Name	FOR U.S. FEDERAL GOVERNMENT DEPARTMENT OF DEFENSE ENTITES ONLY. Enter the Organization Name as provided by the Defense Automatic Addressing System Center (DAASC) for the entity. This will be checked against the DoDAAC records for accuracy.
DBA Name	Doing Business As (DBA) is the commonly used other name, such as a franchise, licensee name, or an acronym. Do not type “same” or “as shown above” in the DBA field.
Address Information	This information must match what is in your D&B registration. All known address information, physical street address, City, State, Zip, Foreign Province Code, and Country should be entered by the user and will be sent to Dun and Bradstreet (D&B) for validation. D&B will return a match on all address fields, validating to SAM that your entity is the same as the one registered in their database. Once confirmed, SAM will use the D&B address information throughout the system. The address information cannot be edited in SAM. In order to change this information, registrants must go to the D&B website (http://fedgov.dnb.com/webform/).

Term	Definition
Address Line	Enter your first address line here. It should match the address line provided when you registered for your DUNS number. P.O. Box and c/o may not be used in this space. You may not register a branch of the business with the branch address and the headquarters DUNS number. Your Address line as entered on the registration MUST match the Address line at D&B. If the information does not match, your registration may be rejected during processing.
City	Enter your city as it appears in your D&B registration. If the information does not match, your registration may be rejected during processing.
State / Province	Enter your state, or foreign registrants, your province as it appears in your D&B registration. If the information does not match, your registration may be rejected during processing.
Zip Code / Postal Code	Enter your zip code + 4 or for foreign registrants, your postal code as it appears in your D&B registration. If the information does not match, your registration may be rejected during processing.
Country	Enter your country as it appears in your D&B registration. If the information does not match, your registration may be rejected during processing.
Business Start Date	Enter the date the business was formed or established here. This may be used to distinguish you from others with similar names. You must enter the date as mm/dd/yyyy (example: 01/01/1995).
Fiscal Year End Close Date	Enter the day on which your business closes the fiscal year. For example, if you use the calendar year, enter 12/31. When entering the information on the web site, you must enter as mm/dd.
Company Division Name	If you do business or are identified as a division of a larger company, enter the proper name for your division here. Otherwise, leave blank.
Company Division Number	If a number identifier commonly distinguishes your division, enter that in the division number field here. Otherwise, leave blank.
Corporate URL	If applicable, provide your entity's web page Universe Resource Locator (URL) here. Both upper and lower cases are acceptable.

Term	Definition
Congressional District	The congressional district will be pre-populated based on the zip-code in the entity's physical address.
MPIN	The Marketing Point of Contact Identification Number (MPIN) is a self-created password that will be shared with other authorized partner applications (e.g. PPIRS) and is used to access these systems. You will also use it again as a means of signing your Tax Identification Number consent form, if applicable, later in the registration process so please remember it! You should guard it as you would other passwords. The MPIN must contain nine characters, at least one alpha and one numeric character each. It should not contain spaces or special characters.
Mailing Address Type	If you are unable to receive mail at your physical address, enter a mailing address here. A Post Office Box is permissible.
Address 1	If you are unable to receive mail at your physical address, enter a mailing address here. A Post Office Box is permissible.
Address 2	If you are unable to receive mail at your physical address, enter a mailing address here. A Post Office Box is permissible.
City	If you are unable to receive mail at your physical address, enter a mailing address city here.
State / Province	If you are unable to receive mail at your physical address, enter a mailing address state or province here.
State / Province	If you are unable to receive mail at your physical address, enter a mailing address state or province here.

Term	Definition
TIN Type	PLEASE NOTE: If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a Taxpayer Identification Number (TIN). A Taxpayer Identification Number (TIN) is a 9 digit identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the IRS or the Social Security Administration (SSA). The choices provided for TIN Type include: Employer Identification Number "EIN", or Social Security Number "SSN". Find more information on these TIN types: http://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-%28TIN%29.
EIN	PLEASE NOTE: If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a Taxpayer Identification Number (TIN). An Employer Identification Number (EIN) is also known as a federal tax identification number, and is used to identify a business entity. It is also used by estates and trusts. This number helps SAM uniquely identify your business, and will be validated by the Internal Revenue Service (IRS). As a rule, if you are a business then you have an EIN. Find more information or to apply for an EIN go to: http://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-%28TIN%29
SSN	PLEASE NOTE: If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a Taxpayer Identification Number (TIN). The Social Security Number (SSN) assigned by the Social Security Administration (SSA) may be used ONLY by sole proprietors in place of an Employer Identification Number (EIN). This number will be validated by the Internal Revenue Service (IRS) and is required to be used by the offeror in reporting income tax and other returns. Please note that if an SSN is entered here it will not be treated as Privacy Act data as it is being offered in relation to the registering entity. If you would prefer to use an EIN, you can obtain one here: http://www.irs.gov/Individuals/International-Taxpayers/Taxpayer-Identification-Numbers-%28TIN%29.

Term	Definition
Tin Consent	The registrant authorizes the Internal Revenue Service (IRS) to validate that the Legal Business Name and Taxpayer Identification Number (TIN) (Employer Identification Number or Social Security Number) provided by the registrant matches or does not match the name and/or name control and TIN in the files of the IRS for the most current tax year reported. Without this consent, a registrant's tax return information, including registrant's name and TIN, is confidential. In order to complete your SAM registration and qualify as a registrant eligible to bid for federal government contracts or apply for federal assistance awards (e.g. grants and cooperative agreements) you will need to pass the "TIN Match". You will not be allowed to have an active SAM registration without a validated TIN. It may take three to five business days to validate new and updated records with the IRS prior to becoming active in SAM. If you are located outside the United States and do not pay employees within the U.S., you are not required to provide a Taxpayer Identification Number (TIN), and thus this section is not required.
Taxpayer Name	Please enter the name exactly as it appears on your tax returns. It is often different from the Legal Business name or the D&B name, so be sure to use the name recognized by the IRS. The TIN and Taxpayer Name combination you provide must match exactly to the TIN and Taxpayer Name used in federal tax matters.
Taxpayer Address	Enter your address information exactly as it appears on your tax returns. This may be different than your Dun and Bradstreet address information, so be sure to use the address recognized by the IRS.
Taxpayer Street Address 2	
Taxpayer City	
Taxpayer State	
Taxpayer Zip+4/Postal Code	
Taxpayer Country	
Type of Tax	The type of tax paid to the IRS. This will be prefilled by the system to say: "Applicable Federal Tax."
Tax Year (Insert Most Recent Tax Year)	Enter the most recent tax year of the entity (year in which the entity paid taxes).

Term	Definition
Name of Individual Executing Consent	Enter the name of the individual providing the authorization for the entity Taxpayer Name and EIN/TIN to be sent to the IRS for validation.
Title of Individual Executing Consent	Enter the title of the individual providing the authorization for the entity Taxpayer Name and EIN/TIN to be sent to the IRS for validation.
Signature	The MPIN will be used as the signature for this field. No hard copy signature is required.
Date	This date is prefilled by SAM with today's date. This is the date that an individual provided authorization for the entity Taxpayer Name and EIN/TIN to be sent to the IRS for validation.
CAGE Code	The Commercial and Government Entity (CAGE) Code is a five-character ID number that is used to support a variety of mechanized systems throughout the government and provides a standardized method of identifying a given facility at a specific location. The code may be used for a facility clearance, a pre-award survey, automated bidders list, identification of debarred bidders, fast pay processes, etc. All US entities must meet a CAGE code validation process. If you think you have a CAGE code, search the Defense Logistics Agency (DLA) Logistic Information Service CAGE site, (http://www.bpn.gov/bincs/begin_search.asp). If you don't have one, one will be provided automatically to you at the completion of your SAM registration.
NCAGE Code	CAGE Codes that are used internationally as part of the NATO Codification System (NCS) are called NCAGE codes. NCAGE Codes are required for all foreign entities and must be obtained prior to starting a SAM registration for those entities. Information on obtaining an NCAGE code may be found at http://www.dlis.dla.mil/Forms/Form_AC135.asp.
Country of Incorporation	If you are incorporated outside the U.S., you must provide country of incorporation. Non U.S. registrants doing business outside the U.S. are not required to complete the Financial Information section of the registration.

Term	Definition
State of Incorporation	If you selected "Corporate Entity" as Type of Organization, this is a required field. Enter State of Incorporation if in USA. Use link for U.S. State code list if necessary.
Company Security Level	If your company facility has been awarded a facility security clearance by the government choose the correct level of security for the facility. Please refer to http://www.dss.mil/isp/fac_clear/per_sec_clear_proc_faqs.html for more information on facility security clearances.
Highest Employee Security Level	If the employees at your company have been awarded security clearances (for example, Secret, Top Secret), choose the security level of the employee with the highest employee security level at that facility.
Buyer (part of Agency Type)	If your office buys from other federal government agencies (for example, pays another entity a fee for an assisted acquisition), it is considered a Buyer. A Buyer is an entity that places an order with another agency and has the authority to obligate funds for that purchase. This field is only shown if you have previously indicated that you are interested in registering for intragovernmental transactions.
Seller (part of Agency Type)	If your office sells to government agencies, it is considered a Seller. A Seller is considered any office that receives and accepts orders (generally in the form of Military Interdepartmental Purchase Requests or Inter-Agency Agreements) from another agency (not necessarily the office that actually fills the order). Anyone who wishes to be visible in the government community as a seller of goods and services should register here as a Seller. This field is only shown if you have previously indicated that you are interested in registering for intra-governmental transactions.
Buyer & Seller (part of Agency Type)	If your office both buys from or sells to other government agencies in intra-governmental transactions (including reimbursable transactions and intra-agency transfers), please select "Buyer and Seller". This field is only shown if you have previously indicated that you are interested in registering for intra-governmental transactions.

Term	Definition
Council of Governments	Councils of governments are regional bodies that exist throughout the United States. They are also sometimes called regional councils, regional commissions, regional planning commissions, planning district commissions, and development districts. A typical council is defined to serve an area of several counties, and they address issues such as regional and municipal planning, economic and community development, cartography and GIS, hazard mitigation and emergency planning, aging services, water use, pollution control, transit administration, and transportation planning.
Housing Authorities Public/Tribal	A housing authority is generally a governmental body that governs some aspect of the territory's housing, often providing low rent or free apartments to qualified residents.
Interstate Entity	An interstate entity is a governmental agency formed through an agreement between two or more states of the United States of America. Frequently, these entities are responsible for administering or improving some shared resource such as a seaport or public transportation infrastructure.
Planning Commission	A planning commission is a commission delegated to propose plans for future activities and developments, generally on behalf of a government entity.
Port Authority	In Canada and the United States a port authority (less commonly a port district) is a governmental or quasi-governmental public authority for a special-purpose district usually formed by a legislative body (or bodies) to operate ports and other transportation infrastructure.
Airport Authority	If you choose U.S. Federal, State, Local, Tribal, or Foreign Government entities then you have the options to select your type of Government Entity. Choose one of these other Governmental Entities if applicable. An airport authority is an independent entity charged with the operation and oversight of an airport or group of airports. These authorities are often governed by a group of airport commissioners, who are appointed to lead the authority by a government official.

Term	Definition
Transit Authority	A transit authority is a government agency created for the purpose of providing public transportation within a specific region. In the United States, this is usually within one state, but in rare circumstances may cover two or more states. Also known as a transit district. A transit authority is created to give it the power of the government in dealing with solving problems related to transit issues. This includes the powers of eminent domain to obtain space for rights of way (e.g. for railways or busways), the ability to impose excise, income, property, and/or sales taxes to fund subsidies of operating costs of local transportation, and the ability to operate independently of the cities and counties that the transit district operates within. A transit district may also have its own transit police force, although in some areas the local police provide a special bureau for this purpose. A transit district may operate bus, rail or other types of transport including ferry service, or may operate other facilities. In some cases, the transit district may be part of a larger organization such as a state Department of Transportation.

Term	Definition
Community Development Corporation	While there is no established legal definition for Community Development Corporations, they are "defined" by their community-based leadership and community-oriented goals which are, primarily, fostering job creation and access to affordable housing. These community organizations are set up by residents, small business owners, church congregations, members of civic associations, etc. to promote the revitalization of their community in terms of housing and job creation. They also provide a host of different social services to residents in need. Community Development Companies need not be certified by any national entity, although some states require them to meet certain criteria in order to receive state funding. These entities are non-profit institutions organized under section 501 (c) (3) of the federal Internal Revenue code, which designates them as tax-exempt, non-profit organizations. This designation is essential so that the institution may receive grants and gifts from both public and private sources. For more information please refer to http://www.sba.gov/community/blogs/community-blogs/small-business-cents/cdcs-and-cdcs-community-development-corporation.
Domestic Shelter	A Domestic Shelter is a place of temporary refuge and support for persons escaping violent or abusive situations, such as rape and domestic violence. Please note that there may be provision to hide or restrict the address of a domestic shelter if that is deemed to be in the best interest of its residents.
Foundation	A Foundation (also a charitable foundation) is a legal categorization of nonprofit organizations that will typically either donate funds and support to other organizations, or provide the source of funding for its own charitable purposes.
Hospital	Hospitals are health care institutions providing patient treatment by specialized staff and equipment. Hospitals often, but not always, provide for inpatient care or longer-term patient stays.

Term	Definition
Educational Institution	An Educational Institution is an organization founded and united for the purpose of providing education; it is another name for a school, college, or university. Specifically to meet the definition of an educational institution in SAM, the institution must meet the requirements of 20 U.S.C. 1001 and include all sub elements of such an institution. Please see: http://www.gpo.gov/fdsys/search/pagedetails.action;jsessionid=BQmqPd4RQZQLZXbsgbslKMXK3xB8tFcBMZDvNYBGF6WKQdltyR1B!1309463806!1653718468?st=citation%3A20+USC+1232g&granuleId=USCODE-2011-title20-chap28-subchapI-partA-sec1001&packageId=USCODE-2011-title20 for more.
Types of Educational Institutions	If you have selected "Educational Institution," you may select the particular type of Educational Institution.
1862 Land Grant College	Land-Grant Colleges are institutions of higher education in the U.S. designated by each state to receive the benefits of the Morrill Acts of 1862 and 1890. They are often categorized as 1862, 1890, and 1994 institutions, based on the date of the legislation that designated most of them with land grant status.
1890 Land Grant College	Land-Grant Colleges are institutions of higher education in the U.S. designated by each state to receive the benefits of the Morrill Acts of 1862 and 1890. They are often categorized as 1862, 1890, and 1994 institutions, based on the date of the legislation that designated most of them with land grant status.
1994 Land Grant College	Land-Grant Colleges are institutions of higher education in the U.S. designated by each state to receive the benefits of the Morrill Acts of 1862 and 1890. They are often categorized as 1862, 1890, and 1994 institutions, based on the date of the legislation that designated most of them with land grant status.

Term	Definition
Historically Black College or University (HCBU)	Historically Black College or University means are institutions determined by the Secretary of Education to meet the requirements of 34 CFR 608.2. For the Department of Defense (DoD), the National Aeronautics and Space Administration (NASA), and the Coast Guard, the term also includes any nonprofit research institution that was an integral part of such a college or university before November 14, 1986. For more information please see: http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=6a46d8e148e842cc5354b3ed34e37b2e&rgn=div5&view=text&node=34:3.1.3.1.8&idno=34. .
Minority Institutions	Minority Institutions are institutions of higher education meeting the requirements of Section 365(3) of the Higher Education Act of 1965 (20 U.S.C. 1067k), including a Hispanic-serving institution of higher education, as defined in Section 502(a) of the Act (20 U.S.C. 1101a). For more information please see: http://www.gpo.gov/fdsys/pkg/USCODE-2011-title20/pdf/USCODE-2011-title20.pdf. .
Private University or College	Private universities are universities not operated by governments, although many receive public subsidies, especially in the form of tax breaks and public student loans and grants. Depending on their location, private universities may be subject to government regulation. This is in contrast to public universities and national universities. While many prominent private universities are run by charitable or non-profit organizations, a subset are commercial for-profit universities which are run as business organizations. .
School of Forestry	A School of Forestry is a professional school that offers forestry instruction, including emphases on biodiversity and conservation sciences.
Hispanic Servicing Institution	Hispanic-Serving Institutions (HSI) are institutions of higher education that have an enrollment of undergraduate full-time equivalent students that is at least 25 percent Hispanic students at the end of the award year immediately preceding the date of application.

Term	Definition
State Controlled Institution of Higher Learning	A state university system in the United States is a group of public universities supported by an individual state, or a similar entity such as the District of Columbia. These systems constitute the majority of public-funded universities in the country. Each state supports at least one such system.
Tribal College	Tribal Colleges are institutions of higher education that (1) qualify for funding under the Tribally Controlled Colleges and Universities Assistance Act of 1978 (25 U.S.C. 1801 et seq.) or the Navajo Community College Act (25 U.S.C. 640a note); or (2) are cited in section 532 of the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note).
Veterinary College	If you have selected "Educational Institution," you may select the particular type of Educational Institution. A veterinary school is a tertiary educational institution, or part of such an institution, which is involved in the education of veterinarians, and provides a veterinary degree (i.e.: DVM, VMD, etc.) to qualified graduates.
Alaskan Native Servicing Institution (ANSI)	If you have selected "Educational Institution," you may select the particular type of Educational Institution. Alaska Native-Serving Institutions are institutions of higher education that have an enrollment of undergraduate students that is at least 20 percent Alaska Native students.
Native Hawaiian Servicing Institution (NHSI)	If you have selected "Educational Institution," you may select the particular type of Educational Institution. Native Hawaiian-Serving Institution are institutions of higher education which have an enrollment of undergraduate students that is at least 10 percent Native Hawaiian students.
DOT Certified DBE	The Department of Transportation (DOT) Disadvantaged Business Enterprise (DBE) program is implemented by recipients of DOT Federal Financial Assistance. Recipients are primarily state highway, transit and airport agencies that receive funds subject to Title 49 Code of Federal Regulations parts 26 (49 CFR 26). This is not the same as the SBA Small Business Certification. Select this box if your business is certified by a state certifying agency as a DOT DBE. For more information please see: http://osdbuweb.dot.gov/DBEProgram/.

Term	Definition
Alaskan Native Corporation Owned Firm	The Alaska Native Claims Settlement Act of 1971 allotted 40 million acres of land for division among 12 regional native corporations and 220 village corporations. Alaska natives and descendants born before 1971 were allowed to receive 100 shares in their village corporation and regional corporation. In 1975, a 13th corporation formed to represent Alaska natives residing outside the state. Over the years, some village corporations merged with each other or with their regional corporation. These are known as Alaskan Native Corporations. In 1986, Congress passed legislation that allowed ANCs to participate in the Small Business Administration's disadvantaged business program, known as the 8(a) program, which sets aside federal contracts for minority-owned or other disadvantaged companies. For more information please see: http://www.sba.gov/content/alaskan-owned-corporations.
Native Hawaiian Organization Owned Firm	Native Hawaiian Organization means any community service organization serving Native Hawaiians in the State of Hawaii which is a not-for-profit organization chartered by the State of Hawaii, is controlled by Native Hawaiians, and whose business activities will principally benefit such Native Hawaiians. For more information please see: http://www.gpo.gov/fdsys/pkg/CFR-2006-title13-vol1/html/CFR-2006-title13-vol1.htm.
Tribally Owned Firm	A Tribally-Owned Firm refers here to a firm owned by a Native American Tribe. For more information please see: http://www.gpo.gov/fdsys/pkg/USCODE-2011-title25/pdf/USCODE-2011-title25.pdf.
HUBZone Program	The **Historically Underutilized Business Zones** (HUBZone) program helps small businesses in urban and rural communities gain preferential access to federal procurement opportunities. These preferences go to small businesses that obtain HUBZone certification in part by employing staff who live in a HUBZone. The company must also maintain a "principal office" in one of these specially designated areas. For more information please see: http://www.sba.gov/content/hubzone-0
8A Business Development	An SBA program for small concerns owned by socially and economically disadvantaged persons. Firms admitted to the program can receive Federal contracts designated for 8(a) Business Development Program participants, as well as management and technical assistance. For more information please see: http://www.sba.gov/content/8a-business-development-0

Term	Definition
Ability One Program	The AbilityOne Program is the largest single provider of jobs for people who are blind or have other significant disabilities in the United States. The AbilityOne Program uses the purchasing power of the federal government to buy products and services from participating, community-based nonprofit agencies nationwide dedicated to training and employing individuals with disabilities.
American Indian Owned	A Native American is a member of any of the indigenous people of the Western Hemisphere. For more information please see: http://www.sba.gov/about-offices-content/1/2960.
Indian Tribe (Federally Recognized)	Indian Tribe means any Indian tribe, band, pueblo, or community, including native villages and native groups (including corporations organized by Kenai, Juneau, Sitka, and Kodiak) as defined in the Alaska Native Claims Settlement Act, that is recognized by the Federal Government as eligible for services from BIA in accordance with 25 U.S.C. 1452(c). For more information please see: http://www.gpo.gov/fdsys/pkg/USCODE-2011-title25/pdf/USCODE-2011-title25.pdf.
Foreign Owned and Located	Your organization is not U.S. owned and is located outside of the U.S.
Small Agricultural Cooperative	A Small Agricultural Cooperative is an association (corporate or otherwise) acting pursuant to the provisions of the Agricultural Marketing Act (12 U.S.C.A. 1141j) whose size does not exceed the size standard established by SBA for other similar agricultural small business concerns. For more information please see: http://www.sbaonline.sba.gov/contractingopportunities/owners/glossary/index.html.
Limited Liability Company (if applicable)	A Limited Liability Company (LLC) is a business structure allowed by state statute. LLCs are popular because, similar to a corporation, owners have limited personal liability for the debts and actions of the LLC. Other features of LLCs are more like a partnership, providing management flexibility and the benefit of pass-through taxation. For more information please see: http://www.irs.gov

Term	Definition
Subchapter S Corporation (if applicable)	Subchapter S Corporations are corporations that elect to pass corporate income, losses, deductions and credit through to their shareholders for federal tax purposes. For more information please see: http://www.irs.gov
Manufacturer of Goods	Your organization manufactures goods as opposed to being a service provider.
Corporate Entity, Not Tax Exempt (Firm pays U.S. Federal Income Taxes or U.S. Possession Income Taxes)	Corporate Entity Not Tax Exempt are businesses that pays U.S. Federal Income Taxes or U.S. Possession Income Taxes. If you select this choice, you will be required to later enter information on the state of incorporation.
Corporate Entity, Tax Exempt (Firm does not pay U.S. Federal Income Taxes nor U.S. Possession Income Taxes)	Corporate Entity Tax Exempt are businesses that does not pay either U.S. Federal Income Taxes or U.S. Possession Income Taxes.
Partnership or Limited Liability Partnership	A Partnership is the relationship existing between two or more persons who join to carry on a trade or business. Each person contributes money, property, labor or skill, and expects to share in the profits and losses of the business. A partnership must file an annual information return to report the income, deductions, gains, losses, etc., from its operations, but it does not pay income tax. Instead, it "passes through" any profits or losses to its partners. Each partner includes his or her share of the partnership's income or loss on his or her tax return. A Limited Liability Company (LLC) is a business structure in which owners have limited personal liability for the debts and actions of the LLC. LLCs with multiple owners that do not elect to be taxed as a corporation are taxed as a partnership and are generally called Limited Liability Partnerships (LLP). For more information please see: to http://www.irs.gov.

Term	Definition
Sole Proprietorship	A sole proprietor is someone who owns an unincorporated business by himself or herself. For more information please see: http://www.irs.gov, including exceptions to the sole proprietor definition.
International Organization	International Organization is any public international organization entitled to enjoy privileges, exemptions, and immunities as an international organization under the International Organizations Immunities Act (22 U.S.C. 288-288(f)). In general, to qualify as an international organization, the United States must participate in the organization pursuant to a treaty or under the authority of an Act Congress authorizing such participation. For more information see: http://www.irs.gov/pub/irs-pdf/iw8exp.pdf.
Other	Select "Other" if your entity does not fall under one of the other categories (i.e. your organization is neither a Corporate Entity Tax Exempt, Corporate Entity Not Tax Exempt, Partnership or Limited Liability Partnership, Sole Proprietorship, or International Organization).
For-Profit Organization	A For-Profit Organization is one that distributes any profit not reinvested into the business as profit or dividends to its employees or shareholders.
Nonprofit Organization	A Nonprofit Organization is an organization that uses its surplus revenues to achieve its goals rather than distribute them as profit or dividends. The IRS defines this status under Internal Revenue Code 501(c).
Other Not for Profit Organization	Other not for profit organizations are those organizations that are not profit making but also do not qualify as a nonprofit under Internal Revenue Code 501(c).

Term	Definition
Joint Venture Woman-Owned Small Business	Joint Venture Women-Owned Small Business (WOSB) Concern means a joint venture that complies with the requirements of 13 CFR part 127 and certifies it is a WOSB. For more information on Women-Owned Business please see: http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=90eeaae64537dfafee0a04f4d564b3cb&rgn=div5&view=text&node=13:1.0.1.1.22&idno=13 or please review http://www.sba.gov/sites/default/files/files/Contracting%20Officers%20WOSB%20Compliance%20Guide_Jan 2011.pdf
Joint Venture Economically Disadvantaged Woman-Owned Small Business	Joint Venture Economically Disadvantaged Women-Owned Small Business (EDWOSB) concern means a joint venture that complies with the requirements of 13 CFR part 127 and certifies it is an EDWOSB. For more information http://www.sba.gov/sites/default/files/files/Contracting%20Officers%20WOSB%20Compliance%20Guide_Jan 2011.pdf
Veteran-Owned Business	Veteran-Owned Business means a business that (1) not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and (2) the management and daily business operations of which are controlled by one or more veterans. For more information please see: http://www.gpo.gov/fdsys/pkg/USCODE-2011-title38/pdf/USCODE-2011-title38.pdf.

Term	Definition
Service-Disabled Veteran-Owned Business	Service Disabled Veteran Owned Business means a business that (i) not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and (ii) the management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran. "Service-disabled veteran" means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16). For more information please see: http://www.gpo.gov/fdsys/pkg/USCODE-2011-title38/pdf/USCODE-2011-title38.pdf.
Woman-Owned Business	Women-Owned Business means a business (1) that is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and (2) whose management and daily business operations are controlled by one or more women.
Woman-Owned Small Business	Women-Owned Small Business (WOSB) concern eligible under the WOSB Program (in accordance with 13 CFR part 127), means a small business concern that is at least 51% owned and controlled by one or more women, and primarily managed by one or more women. The women must be U.S. citizens. The firm must be "small" in its primary industry in accordance with SBA's size standards for that industry. For more information please see http://www.sba.gov/content/women-owned-small-business-program .
Economically Disadvantaged Woman-Owned Small Business	An Economically Disadvantaged Women-Owned Small Business (EDWOSB) is a company that is a Women-Owned Small business (WOSB) as defined in accordance with 13 CFR part 127 that is at least 51% owned by one or more women who are "economically disadvantaged." However, SBA may waive this requirement of economic disadvantage for industries in which WOSBs are "substantially underrepresented." A woman is presumed economically disadvantaged if she has a personal net worth of less than $750,000 (with some exclusions), her adjusted gross yearly income averaged over the three years preceding the certification is less than $350,000, and the fair market value of all her assets is less than $6 million (with some exclusions). For more information please see http://www.sba.gov/content/women-owned-small-business-program

Term	Definition
Minority Owned Business (if selected then one sub-group is required)	A minority business is defined as a business in which more than 51% of the interest, stock and otherwise, is owned by minority group members. If you select this category, you will need to select a subcategory that best represents the persons who hold primary ownership. Subcategories include Asian-Pacific American Owned, Subcontinent Asian (Asian-Indian) Owned, Black American Owned, Hispanic American Owned, Native American Owned, or Other.
Asian-Pacific American Owned	Asian-Pacific American means persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru.
Subcontinent Asian (Asian-Indian) American Owned	Subcontinent Asian (Asian-Indian) American means persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal.
Black American Owned	Black means all persons having origins in any of the black African racial groups not of Hispanic origin.
Hispanic American Owned	Hispanic means all persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.
Native American Owned	Native American means American Indians, Eskimos, Aleuts, or Native Hawaiians.
Other than one of the preceding	

Term	Definition
Credit Card Usage	Indicate if your entity will accept government payments via credit card. For US federal entities participating in intragovernmental sales, this field indicates if your entity will accept government purchase cards for payments. If yes, your Merchant ID is required.
Merchant ID 1	The Merchant ID Number is similar to a routing number. This number is assigned to you by the bank that processes your credit card receipts. The field is mandatory if you choose "Yes" for credit card.
Merchant ID 2	If you work with two different banks to process credit card receipts, you may have two merchant IDs. If so, enter the second bank's Merchant ID here.
	Financial details are only required if you indicated that you are registering as a government agency interested in Intra-Governmental Transactions.
Accounting Station (FSN)	Accounting Station (Fiscal Station Number) is a six-digit number identifies the Activity which is responsible for performing the official accounting and reporting for the funds.
Department Code	Department Code identifies your agency. Categories correspond to the Treasury Index of Agency Codes. In most cases, the Department Code will correspond to the agency for which the user works.
Agency Location Code (ALC)	Agency Location Code (ALC) is a numeric symbol is used to identify accounting reports and documents prepared by or for agency accounting stations and disbursing offices, e.g. eight-digit agency accounting station code, four-digit disbursing office symbol, and three-digit Treasury disbursing center symbol. This eight-digit code corresponds to the registering office and must be associated in a one-to-one relationship with the DUNS number. You may need to search our database for a list of possible ALCs as they are listed in the Treasury IPAC system. You will receive a drop-down list based on your agency, and you may choose one. If you do not know which code relates to this office, ask your finance office. If you have more than one ALC for this office, you may need to create a DUNS + 4 extension. This should be a rare case.

Term	Definition
Disbursing Office Symbol	Disbursing Office Symbol is the unique 5 digit symbol assigned by the Treasury IPAC system for the disbursing office (DO). The disbursing office is generally linked to a single agency location code (ALC); however, there are a few instances where there will be more than one DO Symbol linked to a particular ALC. If we do not have a DO that links to your ALC, you will need to fill it in individually. You should have only one DO per record. If you find that you have more than one, please see the DUNS +4 section.
Electronic Funds Transfer (EFT)	All registrants must complete this section except non-U.S. registrants doing business outside the U.S. and Federal Government agencies. Electronic Funds Transfer (EFT) is the U.S. Federal Government's preferred payment method and has been legally mandated for all contract and assistance award (e.g. grant and cooperative agreement) payments. Contact your bank or financial institution for the necessary information to complete this section. Foreign registrants with a U.S. bank account are welcome to provide it. Foreign registrants without a U.S. bank account will receive a check via mail rather than via direct deposit.
Account Type	Account Type is either checking or savings for the type of bank account you provide for EFT payments. None of the financial data in this section will be released to the public. It is for Federal government use only.
Financial Institute	Financial Institute is the name of the bank you use for EFT/banking purposes. This field will be filled in based on the ABA Routing Number you provide.
ABA Routing ID	American Banking Routing ID is your financial institution's nine-digit routing transit number assigned by the American Banking Association (ABA). Contact your financial institution if you require help locating this number. If you look on a check, it is usually the first nine digits in the lower left-hand corner between the colons. This number must be the EFT ABA Routing number, not the Wire Transfer ABA number.
Account Number	Enter the actual account number to which you want EFT payments deposited. If you receive an award, the Federal Government will use this information to process your payment.

Term	Definition
Lockbox Number	If you use a lockbox service for banking purposes, enter the lockbox number here and make sure you select "Checking" for account type.
DUNS+4	If you have more than one EFT account number for the same DUNS number (and same physical location as defined by the DUNS address), you may create a 4 digit extension (+4) to your DUNS number to differentiate the two accounts. DUNS+4's are created by the user and are not tracked by Dun and Bradstreet.
Automated Clearing House	ACH is the Automated Clearing House department of your bank. Enter the appropriate contact information for the ACH coordinator at your bank. This information is necessary should problems occur with your EFT transfer; payment locations must have a bank contact to call. Note that email addresses requested under the contact entries refer to Internet email, not a local area network email address within your office. When entering the phone numbers on the web site, enter the numbers only; do not put in dashes or parentheses. [Example: 9995551212, not (999) 555-1212.]
ACH U.S. Phone	Enter the U.S. phone number for your bank's ACH coordinator or department. Enter the numbers only; do not put in dashes or parentheses. [Example: 9995551212, not (999) 555-1212.]
ACH Non-U.S. Phone	If there is one, enter the non-U.S. phone number for your bank's ACH coordinator or department.
ACH Fax	Provide the fax number for your bank's ACH coordinator or department.
ACH Email	Provide an Internet e-mail address for your ACH coordinator.
Remittance Name	Indicate the party to whom the check should be made payable.
Remittance Address Line 1	This is the address where you would like a paper check mailed in the event an EFT transfer does not work. If you use a lockbox and want checks mailed directly to the bank, use the bank's name and address here.
Remittance Address Line 2	

Term	Definition
Remittance City	Enter the city name.
Remittance U.S. State or Canadian Province	Select the U.S. State or Canadian Province from the dropdown menu.
Remittance Zip/Postal Code	Provide the zip/postal code associated with the remittance address.
Remittance Country	Select the country from the dropdown menu.
Delinquent Federal Debt (Shown only if applicable)	If your registration shows “Yes” in the Delinquent Federal Debt field, the Financial Management Service (FMS), a bureau of the United States Treasury, has notified SAM that your company has a delinquent debt with the Federal Government. Contact FMS at 800-304-3107 with any questions regarding that debt.
Executive Compensation Information	SAM collects compensation information to support the Federal Funding Accountability and Transparency Act (FFATA) of 2006, as amended. (entities interested in contracts can also refer to the Federal Acquisition Regulation (FAR) subpart 4.14 and contract clause 52.204-10).
Executive Name	You must provide your top 5 executive compensated employees names. "Executive," means officers, managing partners, or any other employees in management positions.
Total Compensation Amount	"Total compensation" means the cash and noncash dollar value earned by the executive during the entity's preceding completed fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)): (i). Salary and bonus. (ii). Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments. (iii). Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

Term	Definition
	(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. (v). Above-market earnings on deferred compensation which is not tax-qualified. (vi). Other compensation, if the aggregate value of all such other compensation for the executive exceeds $10,000. Examples of other compensation are severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds $10,000.
Proceeding	If your business or organization has current federal contracts, grants, or both with a total value greater than $10,000,000 and within the last five years has been involved in criminal, civil, or administrative **proceedings** resulting in the acknowledgement of fault, then you will be required to enter information to identify the **proceedings**. If you entered proceedings information in the legacy system before April 15, 2011, the information may not be subject to release to the public. Information posted on or after April 15, 2011 will be available to the public. See section 3010 of Pub. L. 111-212; Freedom of Information Act procedures at 5 U.S.C. § 552; and E.O. 12600, Predisclosure notification procedures for confidential commercial information. Note to Federal Contractors: If you are a federal contractor, and your contract contains the clause 52.209-8 (Version dated April 2010) then do not post information on or after April 15, 2011; answer No to the first question. If you have a contract containing the clause 52.209-8 (version dated APR 2010) then you need to contact your Contracting Officer to get that clause updated via a modification.
Proceeding Date	Enter the date of your proceeding.
Instrument Number	The official number of the proceeding as assigned by instrument.
Instrument	This is the type of proceedings instrument. The fields available will be: U.S. Federal issued contract, U.S. Federal issued grant/assistance instrument, State issued contract, and State issued grant.
State	Enter the state proceeding occurred.
Type of Proceeding	Select a Proceeding Type: Administrative, Criminal, or Civil.
Disposition	Select a Proceeding Disposition: Conviction / Finding of Fault or Other acknowledgment of fault.

Term	Definition
Description of the Proceeding	Enter a description of your proceeding in the description text box. Description can be up to 500 characters long.
Information Opt Out	You can choose to opt-out of being displayed in public search results via the website. Opting Out may result in a reduction in Federal Government business opportunities, and subcontractors. Please be aware, however, that even if you choose to opt out your information will still be included in any Freedom of Information Act requests. Please note that your banking information is treated as sensitive data and will not be displayed to the public regardless of your selection
Assertions	Assertions includes, but is not limited to, data about the types of goods and services the entity provides, the entity number of employees and annual revenue, optional Electronic Data Interchange (EDI) and disaster relief data.
NAICS Code	North American Industry Classification System (NAICS) Codes are a method for classifying business establishments. You must supply at least one for your registration to be complete. If you do not know your NAICS codes, you may search for your NAICS at http://www.census.gov/eos/www/naics/. You must use six-digit NAICS Codes in your registration. You can add or change NAICS Codes at any time. The NAICS codes you enter here will be used by the government for market research.
Primary NAICS	This is the NAICS code identified by the entity as their primary NAICS. This field is used by SBA.
PSC Code	Product Service Codes (PSC) are optional, four-character, and alpha-numeric codes used to identify the products and/or services your entity provides. Federal Supply Codes (FSCs) are a subset of the PSCs. You may search for PSC Codes here https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%2011%20August%202011.pdf

Term	Definition
Annual Revenue	This is an agency's total revenue from Intra-governmental sales for the previous fiscal year. This element is only displayed if you have indicated that you are registering as a government entity interested in Intra-Governmental Transactions.
Total Receipts (3 year average)	Total Receipts means "total income" (or in the case of a sole proprietorship, "gross income") plus "cost of goods sold" as these terms are defined and reported on Internal Revenue Service tax return forms. Receipts are averaged over a concern's latest three (3) completed fiscal years to determine its average annual receipts. This number should include receipts for all affiliates. Please only enter numbers (no decimals, dollar signs, or commas). For more information, go to SBA (www.sba.gov/size) and select the "Glossary" link. The average receipts over the last three completed fiscal years, including receipts of the parent organization, all branches, and all affiliates worldwide.
Average Number of Employees (12 month average)	This is the Average Number of Employees including all affiliates. This information is used to calculate your business size using SBA's official size standards for your industry. The average number of persons employed for each pay period over the firm's latest 12 months, including persons employed by the parent organization, all branches, and all affiliates worldwide.
Annual Receipts (3 year average)	This is the Average Number of Employees for this location. This is an optional data field. Be sure to provide accurate information about the number of employees for your business or organization. For more information see: http://www.sba.gov/size.
Average Number of Employees (12 month average)	This is the Annual Receipts for this location. This is an OPTIONAL data field. Receipts are the gross revenue averaged over the firm's last three fiscal years. Be sure to provide accurate information about the three-year average annual receipts for your business. Please only enter numbers (no decimals, dollar signs, or commas). For more information see: http://www.sba.gov/size.

Term	Definition
Barrels Capacity	Enter the Barrels per Day of Petroleum Refining if you have selected NAICS code 324110 as one of your NAICS offerings. This number will be compared against the SBA's small business size standard table to determine whether the company is small or other than small for this NAICS.
Megawatt Hours	Megawatt Hours (MWH)measure energy's electrical output; this was previously used if you entered one of the following NAICS codes: 221111, 221112, 221113, 221119, 221121, 221122 as one of your NAICS offerings. This number used to be compared against the SBA's small business size standard table to determine whether the company was small or other than small for these NAICS codes.
Total Assets	
EDI (VAN Provider)	Electronic Data Interchange (EDI) is the computer-to-computer exchange of business data in standard formats (http://www.aptac-us.org/new/Govt_Contracting/faq/faq.php?t=sq&uin=8). In EDI, information is organized according to a specified format set by both parties, allowing a "hands-off" computer transaction that requires no human intervention or rekeying on either end. All information contained in an EDI transaction set is, for the most part, the same as on a conventionally printed document. Organizations have adopted EDI for the same reasons they have embraced much of today's modern technology-enhanced efficiency and increased profits. Benefits of EDI include: Reduced cycle time, Better inventory management, Increased productivity, Reduced costs, Improved accuracy, Improved business relationships, Enhanced customer service, Increased sales, Minimized paper use and storage, Increased cash flow. Industries currently using EDI include retail, insurance, education, entertainment, mortgage banking, and numerous departments of the U.S. Government. If you have questions about doing business through EDI, please contact your local Procurement Technical Assistance Center (PTAC). For more information see: http://www.aptac-us.org/new/.
ISA Qualifier	
ISA Identifier	
Functional Group Identifier	
820s Request Flag	

Term	Definition
Disaster Relief	This optional section is for those contractors wishing to do business with the Federal Government, such as the Federal Emergency Management Agency (FEMA), in the event of a natural disaster. When national emergencies or natural disasters such as floods and hurricanes occur, supplies and services need to be procured and rushed to the affected area quickly. To expedite this process, the government needs to establish and maintain a registry of contractors who are willing to provide debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief activities. Collecting this information in SAM provides a means for potential local contractors to identify themselves to the federal agencies during a time of a disaster.
Bonding Level Type (Construction or Service)	A Bond is a written instrument executed by a bidder or contractor (the "principal") and a second party (the "surety" or "sureties") to assure fulfillment of the principal's obligations to a third party (the "obligee" or "Government") identified in the bond. If the principal's obligations are not met, the bond assures payment, to the extent stipulated, of any loss sustained by the obligee. Whether for service type contracts or construction, bonding levels assure the U.S. Government that prospective contractors are capable of fulfilling its requirements. • Additional information about bonds may be found in the Federal Acquisition Regulation (FAR) Part 28, http://farsite.hill.af.mil/vffara.htm. • If your company is from an industry that normally does not require bonding in order to bid on contracts, please leave the Bonding Level section blank. • When entering Bond Levels, you may enter any or all fields. They are not dependent on each other. • Additional information on FEMA disasters may be found at: http://www.fema.gov/hazard/index.shtm.
Bonding Level Value (per contract)	
Bonding Level Value (aggregate)	
The Geographic Area Served is the State, County, and/or Metropolitan Statistical Area where the vendor provides or delivers products and/or services.	This information is collected to identify prospective contractors which can deliver emergency supplies and services needed in a specific disaster area. When entering your Geographic Area, you are stating the FEMA declared disaster area for which you will be able to provide disaster response services. That is, your organization can go and work as a contractor where there is a declared disaster area, for example, the areas affected by hurricane Katrina. Additional information on Metropolitan Statistical Areas may be found at: http://www.whitehouse.gov/omb/bulletins_fy05_b05-02/.

Term	Definition
Geographic Area Served: State	If you select "Any State", two states, or three states, you cannot enter any other Geographic Area Served. If you select one state, you can enter up to three counties and three Metropolitan Statistical Areas (MSAs).
Geographic Area Served: County	Counties and MSAs are dependent on the state that you choose.
Eliminations POC	This person is responsible for assisting with financial statement eliminations and answering reconciliation questions about the Intra-Governmental Transactions completed by this office.
Accts Payable POC	This person must be familiar with the terms and conditions of the transaction (generally not a finance person). This person will be responsible for handling and resubmitting any rejected orders or payments. Entities designated with a Business Type of either “Buyer” or “Buyer and Seller” must have an A/P POC. This field is only presented if you have indicated that you are registering as a government agency interested in Intra-Governmental Transactions.
Sales POC	This person must be familiar with the terms and conditions of the transaction (generally not a finance person). Often this is a program manager or the person actually providing the service. This is the designated entity contact for questions regarding information about the products and/or services provided by the registering entity. Entities designated with a Business Type of either “Seller” or “Both Buyer and Seller” may have a Sales POC. This field is only presented if you have indicated that you are registering as a government agency interested in Intra-Governmental Transactions.
Accts Receivable POC	This person is responsible for creating the billing statement (the bill(s) that will go to your intragovernmental trading partner in response to an order) and all billing issues. This is generally a finance person and should be someone familiar with the appropriations codes. Entities designated with a Business Type of either “Seller” or “Both Buyer and Seller” must have an A/R POC. This field is only presented if you have indicated that you are registering as a government agency interested in Intra-Governmental Transactions.

Term	Definition
EDI POC	If you are registering as an EDI-capable business or organization, please provide an EDI POC here.
Electronic Business POC	This person is responsible for authorizing individual personnel access into Federal Government electronic business systems [e.g., Electronic Document Access (EDA), Wide Area Workflow (WAWF)].
Electronic Business Alternate POC	In the event the Electronic-Business POC leaves your organization, you must ensure that his or her alternate and successor have the information they need to fulfill the E-Business POC role. For instance, the E-Business POC must know the names, contact information, and access privileges of each POC.
Government Business POC	This person is responsible for the entity's marketing and sales with the Federal Government, and may be contacted by the government with any questions.
Government Business Alternate POC	In the event the Government Business POC leaves your organization, you can add an alternate POC. This person is responsible for the entity's marketing and sales with the Federal Government, and may be contacted by the government with any questions.
Party Performing Certification POC	POC if approved for 8(a) certification through the Small Business Administration (SBA).
Past Performance POC	This person is responsible for administering the entity's Federal Government past performance reports and response efforts. An email address is required. Both upper and lower cases are acceptable for all email addresses. This POC contact information is optional and, if entered, will be publicly displayed on the SAM web site. All contact methods are mandatory.
Past Performance Alternate POC	In the event the Past Performance POC leaves your organization, you can add an alternate POC. This person is responsible for administering the entity's Federal Government past performance reports and response efforts. An email address is required. Both upper and lower cases are acceptable for all email addresses. This POC contact information is optional and, if entered, will be publicly displayed on the SAM web site. All contact methods are mandatory.

Term	Definition
Proceedings POC	This is mandatory only if you answered Yes to Proceeding questions. This is the person in your organization who could answer questions regarding any criminal proceedings you have reported in SAM.
Proceedings Alternate POC	In the event the Proceedings POC leaves your organization, you can add an alternate POC. This is mandatory only if you answered Yes to Proceeding questions. This is the person in your organization who could answer questions regarding any criminal proceedings you have reported in SAM.
Sole Proprietorship POC	This is mandatory if you have checked Sole Proprietorship as business type. You must provide the name and phone number of the owner of the business.

2 Representations and Certifications Content Glossary

Quest	Element (Data Field)	Element	Glossary
1	Who are the person(s) within TEST COMPANY 04 (Doing Business As:Test DBA) responsible for determining prices offered in bids/proposals?		
	Name: Title:		"The user should use the '+' key to add lines to provide more than one name."
2	TEST COMPANY 04 (Doing Business As:Test DBA) have other plants/facilities at different addresses routinely used to perform on contracts?		
	If yes, please provide the following: Place of Performance (Address) of the Other Plants/Facilities, Name(s) of Owner and Operator of Plant/Facilities, Address(es) of Owner and Operator of Plant/Facilities (Street,Address,City County,State,Zip Code)		
3	Your Entity record indicates that TEST COMPANY 04 (Doing Business As:Test DBA) does not have a Taxpayer Identification Number (TIN). Has TEST COMPANY 04 (Doing Business As:Test DBA) applied for a TIN?	Tax Identification Number (TIN)	The Tax Identification Number (TIN) is the nine-digit number which is either an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS) (http://www.irs.gov/businesses/small/article/0,,id=98350,00.html) or Social Security Number (SSN) assigned by the Social Security Administration (SSA) (http:/www.ssa.gov/replace_sscard.html). The TIN is the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns.
	Is TEST COMPANY 04 (Doing Business As:Test DBA) a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States?		

Quest	Element (Data Field)	Element	Glossary
4	For products designated by the Environmental Protection Agency and provided by TEST COMPANY 04 (Doing Business As:Test DBA), does the percentage of recovered material content meet the applicable EPA guidelines?	Recovered Material	Recovered material means waste materials and by-products recovered or diverted from solid waste, but the term does not include those materials and by-products generated from, and commonly reused within, an original manufacturing process. (FAR 2.101) Information on the products designated by the Environmental Protection Agency for recovered material content is available from the Environmental Protection Agency at http://www.epa.gov/cpg/products.htm
5	Is TEST COMPANY 04 (Doing Business As:Test DBA) a small business concern that wishes to be considered for status as a labor surplus area (LSA) concern?	Labor Surplus Area	Labor Surplus Area means a geographical area identified by the Department of Labor in accordance with 20 CFR part 654, subpart A, as an area of concentrated unemployment or underemployment or an area of labor surplus (FAR 2.101). A list of labor surplus areas is available from the Department of Labor at http://www.doleta.gov/programs/lsa.cfm.
	If yes, indicate the LSA in which the manufacturing or production costs amount to more than 50% of contract price: State: Eligible Labor Surplus: Civil Jurisdictions Included: Please select the desired state and press "Show Surplus Areas" to see the surplus areas in that state:		
6	Is TEST COMPANY 04 (Doing Business As:Test DBA) owned or controlled by a common parent, that files its Federal Income Tax returns on a consolidated basis?	Common Parent	Common parent, as used for this question and associated provision means that corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the offeror is a member. (FAR 4.901)
	If yes, please provide the company name and TIN for the common parent.		
7	Is TEST COMPANY 04 (Doing Business As:Test DBA), or any of its principals, currently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal Agency?	Principals	Principals means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division, or business segment, and similar positions).
		Suspensions	Suspension means action taken by a suspending official under FAR Subpart 9.407 to disqualify a contractor

Quest	Element (Data Field)	Element	Glossary
			temporarily from Government contracting and Government-approved subcontracting; a contractor that is disqualified is "suspended." (FAR 2.101)
		Debarment	Debarment means action taken by a debarring official under FAR Subpart 9.406 to exclude a contractor from Government contracting and Government-approved subcontracting for a reasonable, specified period; a contractor that is excluded is "debarred." (FAR 2.101)
		Ineligible	Ineligible means excluded from Government contracting (and subcontracting, if appropriate) pursuant to statutory, Executive order, or regulatory authority other than (48 CFR Chapter 1) and its implementing and supplementing regulations; for example, pursuant to the Davis-Bacon Act and its related statutes and implementing regulations, the Service Contract Act, the Equal Employment Opportunity Acts and Executive orders, the Walsh-Healey Public Contracts Act, the Buy American Act, or the Environmental Protection Acts and Executive orders. (FAR 2.101)
8	In the past three-year period, has TEST COMPANY 04 (Doing Business As:Test DBA), or any of its principals, been convicted or had a civil judgment rendered against it for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating Federal criminal tax laws, or receiving stolen property?	Principals	Principals means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division, or business segment, and similar positions).
		Civil Judgement	Civil judgment means a judgment or finding of a civil offense by any court of competent jurisdiction. (FAR 9.403)
		Conviction	Conviction means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere. (FAR 2.101)
	In the past three years, has TEST COMPANY 04 (Doing Business As:Test DBA) been notified of any delinquent Federal Taxes in an amount that exceeds $3,000 for which liability remains unsatisfied?		

Quest	Element (Data Field)	Element	Glossary
9	Is TEST COMPANY 04 (Doing Business As:Test DBA), or any of its principals, presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in Question 9?	Principals	Principals means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a division, or business segment, and similar positions).
		Indictment	Indictment means indictment for a criminal offense. Any information or other filing by competent authority charging a criminal offense is given the same effect as an indictment. (FAR 9.403)
10	Within the past three years, has TEST COMPANY 04 (Doing Business As:Test DBA) been terminated for cause (default)?	Termination for Default	Termination for default means the exercise of the Government's right to completely or partially terminate a contract because of the contractor's actual or anticipated failure to perform its contractual obligations. (FAR 2.101)
11	Please list the name of any HUBZone businesses participating in a Joint Venture with TEST COMPANY 04 (Doing Business As:Test DBA).		
	Company Name:		
12	If there are any Small Disadvantaged Businesses participating in a Joint Venture with TEST COMPANY 04 (Doing Business As:Test DBA) please list the names of those companies below.	Small Disadvantaged Business Concern	Small disadvantaged business concern means an entity that represents that it is a small business under the size standard applicable to the listed NAICS codes and either- (1) It has received certification as a small disadvantaged business concern consistent with 13 Code of Federal Regulations (CFR) part 124, subpart B; and (i) No material change in disadvantaged ownership and control has occurred since its certification; (ii) Where the concern is owned by one or more disadvantaged individuals, the net worth of each individual upon whom the certification is based does not exceed $750,000 after taking into account the applicable exclusions set forth at 13 CFR 124.104(c)(2); and (iii) It is identified, on the date of its representation, as a certified small disadvantaged business concern in the data base maintained by the Small Business Administration; or (2) It has submitted a completed application to the Small Business Administration or a private certifier to be certified as a small disadvantaged business concern in accordance with 13 CFR part 124,

Quest	Element (Data Field)	Element	Glossary
			subpart B, and a decision on that application is pending, and that no material change in disadvantaged ownership and control has occurred since it submitted its application. In this case, a contractor must receive certification as a small disadvantaged business by the Small Business Administration prior to contract award. (FAR 2.101)
	Company Name:		
13	Please list the name of any Women-Owned Small Businesses participating in a Joint Venture with TEST COMPANY 01 (Doing Business As:Test DBA)	Women-Owned Small Business Concern	Women-owned small business (WOSB) concern eligible for the WOSB Program" (in accordance with 13 CFR part 127), means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States.
	Company Name:		
14	Please list the name of any Economically Disadvantaged Women-Owned Small Businesses participating in a Joint Venture with TEST COMPANY 01 (Doing Business As:Test DBA)	Economically Disadvantaged Women-Owned Small Business Concern	Economically disadvantaged women-owned small business (EDWOSB) concern means a small business concern that is at least 51 percent directly and unconditionally owned by, and the management and daily business operations of which are controlled by, one or more women who are citizens of the United States and who are economically disadvantaged in accordance with 13 CFR part 127. It automatically qualifies as a women-owned small business concern eligible for the WOSB Program.
	Company Name:		
15	Does TEST COMPANY 04 (Doing Business As:Test DBA) provide any data to the Government that qualifies as limited rights data or restricted computer software?	Data	Data means recorded information, regardless of form or the media on which it may be recorded. The term includes technical data and computer software. The term does not include information incidental to contract administration, such as financial, administrative, cost or pricing, or management information. (FAR 27.401)
		Limited Rights	Limited rights means the rights of the Government in limited rights data as set forth in a Limited Rights Notice. (FAR 27.401)

Quest	Element (Data Field)	Element	Glossary
		Limited Rights Data	Limited rights data means data, other than computer software, that embody trade secrets or are commercial or financial and confidential or privileged, to the extent that such data pertain to items, components, or processes developed at private expense, including minor modifications. (FAR 27.401)
		Restricted Computer Software	Restricted computer software means computer software developed at private expense and that is a trade secret, is commercial or financial and confidential or privileged, or is copyrighted computer software, including minor modifications of the computer software. (FAR 27.401)
		Restricted Rights	Restricted rights means the rights of the Government in restricted computer software as set forth in a Restricted Rights Notice. (FAR 27.401)
		Unlimited Rights	Unlimited rights means the rights of the Government to use, disclose, reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, in any manner and for any purpose, and to have or permit others to do so. (FAR 27.401)
	If yes, please list limited rights data or restricted computer software below:		
16	Our records indicate that Test Company 04 has selected the Entity Structure type of #structurename#		
17	Your Entity record indicates that TEST COMPANY 01 (DOING BUSINESS AS: TEST DBA) is not an SBA certified Small Disadvantaged Business Concern. Has TEST COMPANY 01 (DOING BUSINESS AS: TEST DBA) submitted an application to SBA for Small Disadvantaged Business Certification and a decision is pending?		

Quest	Element (Data Field)	Element	Glossary
18	Is TEST COMPANY 04 (Doing Business As:Test DBA) located in a Small Disadvantaged Business Procurement Mechanism authorized region (see SIC codes 15, 16 and 17 for the authorized regions)?	Authorized Small Disadvantaged Business	The list of authorized small disadvantaged business procurement mechanisms and regions is posted at https://www.acquisition.gov/References/sdbadjustments.htm. (FAR 52.219-22)
19	Does TEST COMPANY 04 (Doing Business As:Test DBA) deliver any end products (from the corresponding country of origin) that are listed on the List of Products Requiring Federal Contractor Certification as to Forced or Indentured Child Labor under Executive Order No. 13126 (link provided to current list)?		
	If Yes, has TEST COMPANY 04 (Doing Business As:Test DBA) based on a good faith effort to determine whether forced or indentured child labor was used to mine, produce, or manufacture any such end product, determined that it is not aware of any such use of child labor.	List of Products Requiring Federal Contractor Certification	Information on the List of Products Requiring Federal Contractor Certification as to Forced or Indentured Child Labor Under Executive Order No. 13126 is available from the Department of Labor at http://www.dol.gov/ilab.
20	Has TEST COMPANY 04 (Doing Business As:Test DBA) held previous contracts/subcontracts subject to Federal Acquisition Regulation (FAR) 52.222-26 (Equal Opportunity)?		
21	Are any end products delivered to the Government by TEST COMPANY 04 (Doing Business As:Test DBA) foreign (non-domestic) end products?	Bahrainian End Product	Bahrainian end product means an article that— (1) Is wholly the growth, product, or manufacture of Bahrain; or (2) In the case of an article that consists in whole or in part of materials from another country, has been substantially transformed in Bahrain into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed. The term refers to a product offered for purchase under a supply contract, but for purposes of calculating the value of the end product includes services (except transportation services) incidental to the article, provided that the value of those incidental services does not exceed that of the article itself.
		Canadian End Product	Canadian end product means an article that - (1) Is wholly the growth, product, or manufacture of Canada; or

Quest	Element (Data Field)	Element	Glossary
			(2) In the case of an article that consists in whole or in part of materials from another country, has been substantially transformed in Canada into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed. The term refers to a product offered for purchase under a supply contract, but for purposes of calculating the value of the end product includes services (except transportation services) incidental to the article, provided that the value of those incidental services does not exceed that of the article itself.
		Caribbean Basin County	Caribbean Basin country means any of the following countries: Antigua and Barbuda, Aruba, Bahamas, Barbados, Belize, British Virgin Islands, Costa Rica, Dominica, Dominican Republic, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Montserrat, Netherlands Antilles, Nicaragua, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Trinidad and Tobago.
		Caribbean Basin County End Product	Caribbean Basin country end product - (1) Means an article that- (i)(A) Is wholly the growth, product, or manufacture of a Caribbean Basin country; or (B) In the case of an article that consists in whole or in part of materials from another country, has been substantially transformed in a Caribbean Basin country into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed; and (ii) Is not excluded from duty-free treatment for Caribbean countries under 19 U.S.C. 2703(b). (A) For this reason, the following articles are not Caribbean Basin country end products: (1) Tuna, prepared or preserved in any manner in airtight containers. (2) Petroleum, or any product derived from petroleum. (3) Watches and watch parts (including cases, bracelets, and straps) of whatever type including, but not limited to, mechanical, quartz digital, or quartz analog, if such watches

Quest	Element (Data Field)	Element	Glossary
			or watch parts contain any material that is the product of any country to which the Harmonized Tariff Schedule of the United States (HTSUS) column 2 rates of duty apply (i.e., Afghanistan, Cuba, Laos, North Korea, and Vietnam). (4) Certain of the following: textiles and apparel articles; footwear, handbags, luggage, flat goods, work gloves, and leather wearing apparel; or handloomed, handmade, and folklore articles. (B) Access to the HTSUS to determine duty-free status of articles of the types listed in paragraph (1)(ii)(A)(4) of this definition is available via the Internet at http://www.customs.ustreas.gov/impoexpo/impoexpo.htm. In particular, see the following: (1) General Note 3(c), Products Eligible for Special Tariff treatment. (2) General Note 17, Products of Countries Designated as Beneficiary Countries under the United States-Caribbean Basin Trade Partnership Act of 2000. (3) Section XXII, Chapter 98, Subchapter II, Articles Exported and Returned, Advanced or Improved Abroad, U.S. Note 7(b). (4) Section XXII, Chapter 98, Subchapter XX, Goods Eligible for Special Tariff Benefits under the United States-Caribbean Basin Trade Partnership Act; and (2) Refers to a product offered for purchase under a supply contract, but for purposes of calculating the value of the acquisition, includes services (except transportation services) incidental to the article, provided that the value of those incidental services does not exceed that of the article itself.
		Component	Component means an article, material, or supply incorporated directly into an end product or construction material.
		Cost of Component	Cost of components means- (1) For components purchased by the contractor, the acquisition cost, including transportation costs to the place of incorporation into the end product or construction material (whether or not such costs are paid to a domestic firm), and any applicable duty (whether or not a duty-free entry

Quest	Element (Data Field)	Element	Glossary
			certificate is issued); or (2) For components manufactured by the contractor, all costs associated with the manufacture of the component, including transportation costs as described in paragraph (1) of this definition, plus allocable overhead costs, but excluding profit. Cost of components does not include any costs associated with the manufacture of the end product.
		Designated Country	Designated country means any of the following countries: (1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, or United Kingdom); (2) A Free Trade Agreement country per FAR 25.003 (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); A Free Trade Agreement country per DFARS 252.225-7021 Free Trade Agreement country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Mexico, Morocco, Nicaragua, Peru, or Singapore) (3) A least developed country (Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Cape Verde, Central African Republic, Chad, Comoros, Democratic Republic of Congo, Djibouti, East Timor, Equatorial Guinea, Eritrea, Ethiopia, Gambia, Guinea, Guinea-Bissau, Haiti, Kiribati, Laos, Lesotho, Madagascar, Malawi, Maldives, Mali, Mauritania, Mozambique, Nepal, Niger, Rwanda, Samoa, Sao Tome and Principe, Senegal, Sierra Leone, Solomon Islands, Somalia, Tanzania, Togo, Tuvalu, Uganda, Vanuatu, Yemen, or Zambia); or (4) A Caribbean Basin country (Antigua and Barbuda, Aruba, Bahamas, Barbados, Belize, British Virgin Islands, Costa Rica, Dominica, Dominican Republic, El Salvador, Grenada,

Quest	Element (Data Field)	Element	Glossary
			Guatemala, Guyana, Haiti, Honduras, Jamaica, Montserrat, Netherlands Antilles, Nicaragua, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, or Trinidad and Tobago).
		Designated Country End Product	Designated country end product means a WTO GPA country end product, an FTA country end product, a least developed country end product, or a Caribbean Basin country end product.
		Domestic End Product	Domestic end product (in the FAR) means- (1) An unmanufactured end product mined or produced in the United States; or (2) An end product manufactured in the United States, if the cost of its components mined, produced, or manufactured in the United States exceeds 50 percent of the cost of all its components. Components of foreign origin of the same class or kind as those that the agency determines are not mined, produced, or manufactured in sufficient and reasonably available commercial quantities of a satisfactory quality are treated as domestic. Scrap generated, collected, and prepared for processing in the United States is considered domestic. Domestic end product (in the DFARS) means— (i) An unmanufactured end product that has been mined or produced in the United States; or (ii) An end product manufactured in the United States if the cost of its qualifying country components and its components that are mined, produced, or manufactured in the United States exceeds 50 percent of the cost of all its components. The cost of components includes transportation costs to the place of incorporation into the end product and U.S. duty (whether or not a duty-free entry certificate is issued). Scrap generated, collected, and prepared for processing in the United States is considered domestic. A component is considered to have been mined, produced, or manufactured in the United States (regardless of its source in fact) if the end product in which it is incorporated is manufactured in the United States and the component is of a class or kind for

Quest	Element (Data Field)	Element	Glossary
			which the Government has determined that— (A) Sufficient and reasonably available commercial quantities of a satisfactory quality are not mined, produced, or manufactured in the United States; or (B) It is inconsistent with the public interest to apply the restrictions of the Buy American Act.
		Domestic Offer	Domestic offer means an offer of a domestic end product. When the solicitation specifies that award will be made on a group of line items, a domestic offer means an offer where the proposed price of the domestic end products exceeds 50 percent of the total proposed price of the group.
		Eligible Offer	Eligible offer means an offer of an eligible product. When the solicitation specifies that award will be made on a group of line items, an eligible offer means a foreign offer where the combined proposed price of the eligible products and the domestic end products exceeds 50 percent of the total proposed price of the group.
		Eligible Product	Eligible product means a foreign end product, construction material, or service that, due to applicability of a trade agreement to a particular acquisition, is not subject to discriminatory treatment.
		End Product	End product means those articles, materials, and supplies to be acquired for public use.
		Free Trade Agreement Country	Free Trade Agreement country per FAR 25.003 (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore). Free Trade Agreement country per DFARS 252.225-7021 Free Trade Agreement country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Mexico, Morocco, Nicaragua, Peru, or Singapore).

Quest	Element (Data Field)	Element	Glossary
		Free Trade Agreement Country End Product	Free Trade Agreement country end product means an article that - (1) Is wholly the growth, product, or manufacture of a Free Trade Agreement (FTA) country; or (2) In the case of an article that consists in whole or in part of materials from another country, has been substantially transformed in an FTA country into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed. The term refers to a product offered for purchase under a supply contract, but for purposes of calculating the value of the end product, includes services (except transportation services) incidental to the article, provided that the value of those incidental services does not exceed that of the article itself. "Least developed country end product" means an article that- (1) Is wholly the growth, product, or manufacture of a least developed country; or (2) In the case of an article that consists in whole or in part of materials from another country, has been substantially transformed in a least developed country into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed. The term refers to a product offered for purchase under a supply contract, but for purposes of calculating the value of the end product, includes services (except transportation services) incidental to the article, provided that the value of those incidental services does not exceed that of the article itself.
		Noneligible Offer	Noneligible offer means an offer of a noneligible product.
		Noneligible Product	Noneligible product means a foreign end product that is not an eligible product.

Quest	Element (Data Field)	Element	Glossary
		Qualifying Country	Qualifying country means any country set forth in subsection 225.872-1 of the Defense Federal Acquisition Regulation Supplement (DFARS).
		Qualifying Country Component	Qualifying country component means a component mined, produced, or manufactured in a qualifying country.
		Qualifying Country End Product	Qualifying country end product means - (i) An unmanufactured end product mined or produced in a qualifying country; or (ii) An end product manufactured in a qualifying country if the cost of the following types of components exceeds 50 percent of the cost of all its components: (A) Components mined, produced, or manufactured in a qualifying country. (B) Components mined, produced, or manufactured in the United States. (C) Components of foreign origin of a class or kind for which the Government has determined that sufficient and reasonably available commercial quantities of a satisfactory quality are not mined, produced, or manufactured in the United States.
		South Caucasus/Central and South Asian Country	South Caucasus/Central and South Asian (SC/CASA) country means Armenia, Azerbaijan, Georgia, Kazakhstan, Kyrgyzstan, Pakistan, Tajikistan, Turkmenistan, or Uzbekistan.
		United States	United States means the 50 States, the District of Columbia, and outlying areas.
		U.S.-Made End Product	U.S.-made end product means an article that is mined, produced, or manufactured in the United States or that is substantially transformed in the United States into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed.

Quest	Element (Data Field)	Element	Glossary
		World Trade Organization Government Procurement Agreement Country	World Trade Organization Government Procurement Agreement (WTO GPA) country means any of the following countries: Aruba, Austria, Belgium, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, or United Kingdom.
		WTO GPA Country End Product	WTO GPA country end product means an article that- (1) Is wholly the growth, product, or manufacture of a WTO GPA country; or (2) In the case of an article that consists in whole or in part of materials from another country, has been substantially transformed in a WTO GPA country into a new and different article of commerce with a name, character, or use distinct from that of the article or articles from which it was transformed. The term refers to a product offered for purchase under a supply contract, but for purposes of calculating the value of the end product includes services (except transportation services) incidental to the article, provided that the value of those incidental services does not exceed that of the article itself.
	If yes, please list these products and their corresponding country of origin.		
22	Has TEST COMPANY 04 (Doing Business As:Test DBA) filed all required Equal Employment Opportunity compliance reports?		
23	Has TEST COMPANY 04 (Doing Business As: Test DBA) held previous contracts subject to written affirmative action programs requirements from Secretary of Labor regulations.	Affirmative Action Program	Affirmative action program means a contractor's program that complies with Department of Labor regulations to ensure equal opportunity in employment to minorities and women. (FAR 22.801)
	Has TEST COMPANY 04 (Doing Business As: Test DBA) developed and has on file affirmative action programs required by Secretary of Labor regulations.		

Quest	Element (Data Field)	Element	Glossary
24	Does TEST COMPANY 04 (Doing Business As:Test DBA) provide maintenance, calibration, and/or repair of information technology, scientific and medical and/or office and business equipment?		
	If yes, please answer the following questions: Are the items of equipment serviced by TEST COMPANY 04 (Doing Business As:Test DBA)commercial items which are used regularly for other than Government purposes, and are sold or traded by TEST COMPANY 04 (Doing Business As:Test DBA) in substantial quantities to the general public in the course of normal business operations?		
	Are the services furnished at prices which are, or are based on, established catalog or market prices?		
	Does TEST COMPANY 04 (Doing Business As:Test DBA) utilize the same compensation (wage and fringe benefits) plan for all service employees performing work under Government contracts as TEST COMPANY 04 (Doing Business As:Test DBA) uses for equivalent employees servicing the same equipment of commercial customers.		
25	Does TEST COMPANY 04 (Doing Business As:Test DBA) provide services as described in FAR 22.1003-4(d)(1)?		
	If yes, please answer the following questions: Are the services described in FAR 22.1003-4(d)(1) by TEST COMPANY 04 (Doing Business As:Test DBA) offered and sold regularly to non-Governmental customers, and are provided by the offeror (or subcontractor in the case of an exempt subcontract) to the general public in substantial quantities in the course of normal business operations?		
	Are the services furnished at prices which are, or are based on, established catalog or market prices?		

Quest	Element (Data Field)	Element	Glossary
	Does TEST COMPANY 04 (Doing Business As:Test DBA) ensure that each service employee who will perform the services described in FAR 22.1003-4(d)(1) spend only a small portion of his/her time (a monthly average of less than 20% of the available hours on an annualized basis, or less than 20% of available hours during the contract period if the contract period is less than a month) servicing the Government contract?		
	Does TEST COMPANY 04 (Doing Business As:Test DBA) have the same compensation (wage and fringe benefits) plan for all service employees performing work for Government and commercial customers?		
26	Your Entity Record indicates that has registered the following FSC codes. Please provide whether the place of manufacture for each FSC code below is in the US or outside the US:	Manufactured End Product	FSCs are a subset of all Product Service Codes (PSCs) that represent codes for certain products. Manufactured end product means any end product in Federal Supply Classes (FSC) 1000-9999, except - (1) FSC 5510, Lumber and Related Basic Wood Materials; (2) Federal Supply Group (FSG) 87, Agricultural Supplies; (3) FSG 88, Live Animals; (4) FSG 89, Food and Related Consumables; (5) FSC 9410, Crude Grades of Plant Materials; (6) FSC 9430, Miscellaneous Crude Animal Products, Inedible; (7) FSC 9440, Miscellaneous Crude Agricultural and Forestry Products; (8) FSC 9610, Ores; (9) FSC 9620, Minerals, Natural and Synthetic; and (10) FSC 9630, Additive Metal Materials. “Place of manufacture” means the place where an end product is assembled out of components, or otherwise made or processed from raw materials into the finished product that is to be provided to the Government. If a product is disassembled and reassembled, the place of reassembly is not the place of manufacture..

Quest	Element (Data Field)	Element	Glossary
27	SF 330 part II information submitted to SAM is available to government personnel and to anyone with access to the Internet, that knows your DUNS number. Completing this question does not satisfy the requirement of FAR section 36.603(b). Therefore, if required to do so, you may still need to file a SF330 Part II with the appropriate office(s) or board(s). Are you interested in applying for Federal architect-engineer contracts under FAR Part 36 and want to enter a SF330, Part II for this office? View the full instructions on filling out the SF330 Part II information.		This section will be displayed automatically if you selected one of the following NAICS codes: 541310, 541320, 541330, 541360, 541370,541410, 541620
	List any former firm names used by the office associated with the DUNS number during the last 6 years including the year the name changed was effective and the associated DUNS number Firm/Branch Name: Year: DUNS number:	Former Firm Names	Indicate any other previous names for the firm (or branch office) during the last six years. Insert the year that this corporate name change was effective and the associated DUNS number. This information is used to review past performance on Federal contracts.
	List number of employees by function code and discipline (corresponds to block 9a,b,c). List no more than 20 disciplines. Discipline: Firm No of Employees: Branch No of Employees:	Employees by Function and Discipline	Use the relevant disciplines and associated function codes shown at the end of these instructions and list in the same numerical order. After the listed disciplines, write in any additional disciplines and leave the function code blank. List no more than 20 disciplines. Group remaining employees under "Other Employees" in column b. Each person can be counted only once according to his/her primary function. If Part II is prepared for a firm (including all branch offices), enter the number of employees by disciplines in column c(1). If Part II is prepared for a branch office, enter the number of employees by discipline in column c(2) and for the firm in column c(1).

Quest	Element (Data Field)	Element	Glossary
	List the profile codes, experience, and annual average revenue for the last 5 years for the office associated with this DUNS number Profile Code: Experience: Annual Average Revenue:	Profile of Firm's Experience and Annual Average Revenue for Last 5 Years	Complete this for the firm or branch office for which this is prepared being prepared for. Enter the experience categories which most accurately reflect the firm's technical capabilities and project experience. Use the relevant experience categories and associated profile codes shown at the end of these instructions, and list in the same numerical order. After the listed experience categories, write in any unlisted relevant project experience categories and leave the profile codes blank. For each type of experience, enter the appropriate revenue index number to reflect the professional services revenues received annually (averaged over the last 5 years) by the firm or branch office for performing that type of work. A particular project may be identified with one experience category or it may be broken into components, as best reflects the capabilities and types of work performed by the firm. However, do not double count the revenues received on a particular project. Annual Average Professional Services Revenues of Firm for Last 3 Years. Complete this block for the firm or branch office for which this Part II is prepared. Enter the appropriate revenue index numbers to reflect the professional services revenues received annually (averaged over the last 3 years) by the firm or branch office.
	Provide A-E professional services revenues for the office associated with this DUNS number for the last 3 years Federal: Non-Fed: Total:	Work Performed	Indicate Federal work (performed directly for the Federal Government, either as the prime contractor or subcontractor), non-Federal work (all other domestic and foreign work, including Federally-assisted projects), and the total. If the firm has been in existence for less than 3 years, see the definition for "Annual Receipts" under FAR 19.101. Firm in existence for under three years: Annual receipts of a concern that has been in business for less than 3 complete fiscal years means its total receipts for the period it has been in business, divided by the number of weeks including fractions of a week that it has been in business, and multiplied by 52.

Quest	Element (Data Field)	Element	Glossary
	Please enter the name and title of the person certifying the SF330 Part II information: First Name: Middle Initial: Last Name: Title:		
28	Does TEST COMPANY 04 (Doing Business As:Test DBA) do business with the Department of Defense and provide information for provisions in the Defense Federal Acquisition Regulation Supplement (DFARS)?		
29	Does TEST COMPANY 04 (Doing Business As:Test DBA) anticipate that supplies will be transported by sea in the performance of any contract or subcontract resulting from this solicitation?	Supplies	Supplies means all property, except land and interests in land, that is clearly identifiable for eventual use by or owned by the DoD at the time of transportation by sea. (i) An item is clearly identifiable for eventual use by the DoD if, for example, the contract documentation contains a reference to a DoD contract number or a military destination. (ii) Supplies includes (but is not limited to) public works; buildings and facilities; ships; floating equipment and vessels of every character, type, and description, with parts, subassemblies, accessories, and equipment; machine tools; material; equipment; stores of all kinds; end items; construction materials; and components of the foregoing.
30	Does TEST COMPANY 04 (Doing Business As:Test DBA) represent that the prices set forth in this contract are based on the wage rate(s) or material price(s) established and controlled by a foreign government and do not include contingency allowances to pay for possible increases in wage rates or material prices?		
	If yes, please select the name of the host Country:		
31	Is TEST COMPANY 04 (Doing Business As:Test DBA) effectively owned or controlled by a foreign government?		

3 Performance Info Glossary

Element (Data Field)	Glossary
Search SAM Exclusion/Search D&B Records/Search More Locations	
Classification	Classification identifies the type of party that has been excluded. There are four types. Individual: A person Firm: A company with a valid DUNS number (includes sole proprietors who have obtained a DUNS number) Special Entity Designation: An organization or thing capable of bearing legal rights and responsibilities. This is the group in which any entity that can not be classified as either an Individual, a Firm, or a Vessel should be classified. Vessel: A mode of transportation capable of transport by water.
Organization Name	The name of an excluded entity that falls under one of the following Classification Types: Special Entity Designation, Vessel or Firm.
DUNS number	A 9-digit number provided by D&B to uniquely identify a Firm. The system allows the user to conduct an initial search for a Firm by either DUNS number or a combination of Organization Name and Address. If the user identifies a record as a Firm, but no DUNS number is found in the search to SAM or D&B, a formal investigation will be launched upon saving the record.
CAGE Code	The Commercial and Government Entity (CAGE) Code is a five-character ID number used extensively within the Federal Government. A CAGE code is automatically provided to each company that registers to do business with the government in SAM (if the entity does not already have one), and it helps to uniquely identify the company. For exclusions, the CAGE code will typically only apply for "Firms." You may enter the CAGE code if you know it, but it is not a required field. If the entity being excluded is a non-US entity, the company will have an NATO Commercial and Government Entity (NCAGE) Code which is also a five character ID number.

	Element (Data Field)	Glossary
	Individual Prefix	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the prefix of the individual's name for the exclusion record (for example: Mr., Ms, etc).
	Individual First Name	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the first name of the individual for the exclusion record.
	Individual Middle Name	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the middle name of the individual for the exclusion record.
	Individual Last Name	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the last name of the individual with the exclusion record.
	Individual Suffix	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the suffix of the individual with the exclusion record (for example, Jr, Sr, III, etc).
	Address Type	You may indicate whether the address is physical or mailing address. A physical address is required.
	Address 1	When you enter the entity's information, SAM will check to see if it already has a record of the entity. If we don't find it in our records, we will check with Dun and Bradstreet. If we find a record in either place, SAM will provide the address for you in these fields. This address will be "read-only", meaning you may not edit them. If we cannot find the record in either SAM or D&B, you may enter the address information here if you know it. The address information consists of Lines 1-4 on address (where you would normally enter street information, suite, and the like), City, Zip Code, Zip Code +4, State, Country, and Province. State is required if Country is United States.
	Address 2	
	Address 3	
	Address 4	
	City	
	Zip Code	
	Zip Code +4	
	Country Code	
	State	
	Province	

	Element (Data Field)	Glossary
	Vessel Call Sign	A vessel's unique identification code as used in radio communication. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Type	An indication of a vessel's type. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Tonnage	A measure of the vessel's carrying capacity. This field should only be filled out if the Entity Type is a Vessel.
	Vessel GRT	A vessel's gross registered tonnage or total interval volume. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Flag	Flag representing the country in which the vessel is registered. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Owner	Persons to whom the vessel belongs. This field should only be filled out if the Entity Type is a Vessel.
	Cross Reference	If two exclusion records should be linked, for example if there are two Firms excluded for collusion, you may do that by creating a cross-reference link. The two records must be established as standalone records, and then they may be cross-referenced.
	Individual SSN	An individual's Social Security Number.
	NPI	The Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996 (HIPAA)* mandated the adoption of a standard unique identifier for health care providers. The National Plan and Provider Enumeration System (NPPES) collects identifying information on health care providers and assigns each a unique National Provider Identifier (NPI). This number can be used to further identify a particular health care provider, if that is the debarred entity.
	TIN	The Tax Identification Number (TIN) is the nine-digit number which is either an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS) (http://www.irs.gov/businesses/small/article/0,,id=98350,00.html) or Social Security Number (SSN) assigned by the Social Security Administration (SSA) (http:/www.ssa.gov/replace_sscard.html). The TIN is the number required by the Internal Revenue Service (IRS) to be used

Element (Data Field)		Glossary
		by the offeror in reporting income tax and other returns.
Identification Info		
	Organization Name	The name of an excluded entity that falls under one of the following Classification Types: Special Entity Designation, Vessel or Firm.
	DUNS number	A 9-digit number provided by D&B to uniquely identify a Firm. The system allows the user to conduct an initial search for a Firm by either DUNS number or a combination of Organization Name and Address. If the user identifies a record as a Firm, but no DUNS number is found in the search to SAM or D&B, a formal investigation will be launched upon saving the record.
	CAGE Code	The Commercial and Government Entity (CAGE) Code is a five-character ID number used extensively within the Federal Government. A CAGE code is automatically provided to each company that registers to do business with the government in SAM (if the entity does not already have one), and it helps to uniquely identify the company. For exclusions, the CAGE code will typically only apply for "Firms." You may enter the CAGE code if you know it, but it is not a required field.
	NPI	The Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996 (HIPAA)* mandated the adoption of a standard unique identifier for health care providers. The National Plan and Provider Enumeration System (NPPES) collects identifying information on health care providers and assigns each a unique National Provider Identifier (NPI). This number can be used to further identify a particular health care provider, if that is the debarred entity.

Element (Data Field)	Glossary
TIN	The Tax Identification Number (TIN) is the nine-digit number which is either an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS) (http://www.irs.gov/businesses/small/article/0,,id=98350,00.html) or Social Security Number (SSN) assigned by the Social Security Administration (SSA) (http:/www.ssa.gov/replace_sscard.html). The TIN is the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns.
Exclusion Details	
Exclusion Program	In the past, Exclusions could be identified as either "Procurement" (meaning the entity was ineligible to participate in Federal Procurement contracts and sales programs), "Non-Procurement" (meaning the entity was ineligible to participate in Nonprocurement Federal financial and nonfinancial benefit and loan programs (unless otherwise noted)), or "Reciprocal" (which encompasses both Procurement AND Non-Procurement restrictions). However, the Federal Register dated June 26, 1995 published the final regulation that establishes reciprocity between the Procurement and Nonprocurement exclusions. This means that all exclusionary actions initiated on or after August 25, 1995 are categorized as "Reciprocal," and the option no longer exists to select "Procurement only" or "Non-Procurement" only. Therefore, for new exclusions, this field will automatically populate with "Reciprocal." Also known as "Exclusion Type".
Classification	Classification identifies the type of party that has been excluded. There are four types. Individual: A person Firm: A company with a valid DUNS number (includes sole proprietors who have obtained a DUNS number) Special Entity Designation: An organization or thing capable of bearing legal rights and responsibilities. This is the group in which any entity that can not be classified as either an Individual, a Firm, or a Vessel should be classified. Vessel: A mode of transportation capable of transport by water.

	Element (Data Field)	Glossary
	Exclusion Type	One of four categories to which an exclusion is assigned to provide context around the exclusion. The categories are: 1) Preliminarily Ineligible (Proceedings Pending), 2) Ineligible (Proceedings Complete), 3) Prohibition/Restriction, and 4) Voluntary Exclusion. Each Exclusion Type has predetermined Cause (Nature) and Effect language which will automatically prefill onto the record. This language will discuss at a high level the reason for the exclusion and the effect, providing contracting officers and other interested parties guidance as to the eligibility of the debarred party for certain contracts, grants, loans and other government assistance.
	Active Date	The date the exclusion record becomes active. This may be the current date, a future date or a date that occurred in the past. Formerly known as "Action Date".
	Termination Date	Termination Date is the date the action will be removed from the active list of exclusions and placed on the inactive list
	Indefinite Indicator	If a definite Termination Date is not indicated, the user will must select the Indefinite radio button
	Additional Comments	Free text field allowing the user to include additional notes or description regarding the exclusion. This field can be used for specific agency legislation citations. Please note that this field is public and should not be used for personal notes or for Privacy Act protected data.
	Agency Parent	Name of the immediate parent of the excluding agency. This may be used to determine the Department under which the exclusion falls.
	Exclusion Agency	Government Agency that is excluding the entity.
Cross Reference		

	Element (Data Field)	Glossary
	Classification	Classification identifies the type of party that has been excluded. There are four types. Individual: A person Firm: A company with a valid DUNS number (includes sole proprietors who have obtained a DUNS number) Special Entity Designation: An organization or thing capable of bearing legal rights and responsibilities. This is the group in which any entity that can not be classified as either an Individual, a Firm, or a Vessel should be classified. Vessel: A mode of transportation capable of transport by water.
	Organization Name	The name of an excluded entity that falls under one of the following Classification Types: Special Entity Designation, Vessel or Firm.
	DUNS number	A 9-digit number provided by D&B to uniquely identify a Firm. The system allows the user to conduct an initial search for a Firm by either DUNS number or a combination of Organization Name and Address. If the user identifies a record as a Firm, but no DUNS number is found in the search to SAM or D&B, a formal investigation will be launched upon saving the record.
	CAGE Code	The Commercial and Government Entity (CAGE) Code is a five-character ID number used extensively within the Federal Government. A CAGE code is automatically provided to each company that registers to do business with the government in SAM (if the entity does not already have one), and it helps to uniquely identify the company. For exclusions, the CAGE code will typically only apply for "Firms." You may enter the CAGE code if you know it, but it is not a required field.
	Individual Prefix	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the prefix of the individual's name for the exclusion record (for example: Mr., Ms, etc).
	Individual First Name	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the first name of the individual for the exclusion record

	Element (Data Field)	Glossary
	Individual Middle Name	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the middle name of the individual for the exclusion record.
	Individual Last Name	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the last name of the individual with the exclusion record.
	Individual Suffix	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), enter the suffix of the individual with the exclusion record (for example, Jr, Sr, III, etc).
	Address Type	You may indicate whether the address is physical or mailing address. A physical address is required.
	Address 1	When you enter the entity's information, SAM will check to see if it already has a record of the entity. If we don't find it in our records, we will check with Dun and Bradstreet. If we find a record in either place, SAM will provide the address for you in these fields. This address will be "read-only", meaning you may not edit them. If we cannot find the record in either SAM or D&B, you may enter the address information here if you know it. The address information consists of Lines 1-4 on address (where you would normally enter street information, suite, and the like), City, Zip Code, Zip Code +4, State, Country, and Province. State is required if Country is United States.
	Address 2	
	Address 3	
	Address 4	
	City	
	Zip Code	
	Zip Code +4	
	Country Code	
	State	
	Province	
	Vessel Call Sign	A vessel's unique identification code as used in radio communication. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Type	An indication of a vessel's type. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Tonnage	A measure of the vessel's carrying capacity. This field should only be filled out if the Entity Type is a Vessel.

	Element (Data Field)	Glossary
	Vessel GRT	A vessel's gross registered tonnage or total interval volume. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Flag	Flag representing the country in which the vessel is registered. This field should only be filled out if the Entity Type is a Vessel.
	Vessel Owner	Persons to whom the vessel belongs. This field should only be filled out if the Entity Type is a Vessel.
	Cross Reference	If two exclusion records should be linked, for example if there are two Firms excluded for collusion, you may do that by creating a cross-reference link. The two records must be established as standalone records, and then they may be cross-referenced.
	Individual SSN	If the debarred entity has been classified as an Individual (and not a Firm, Vessel, or Special Entity Designation), you may enter the individual's Social Security Number here, if available. Please note this information will be protected as Privacy Act data and will not be displayed in public searches.
	NPI	The Administrative Simplification provisions of the *Health Insurance Portability and Accountability Act of 1996 (HIPAA)* mandated the adoption of a standard unique identifier for health care providers. The National Plan and Provider Enumeration System (NPPES) collects identifying information on health care providers and assigns each a unique National Provider Identifier (NPI). This number can be used to further identify a particular health care provider, if that is the debarred entity.
	TIN	The Tax Identification Number (TIN) is the nine-digit number which is either an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS) (http://www.irs.gov/businesses/small/article/0,,id=98350,00.html) or Social Security Number (SSN) assigned by the Social Security Administration (SSA) (http:/www.ssa.gov/replace_sscard.html). The TIN is the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns.