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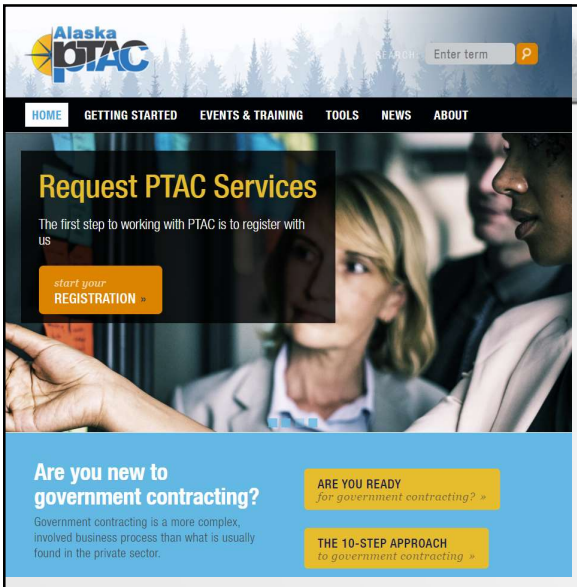
Registering in SAM Part 1 Entity Validation & UEI Assignment

System for Award Management Walkthrough – Getting Started

Jody King, Contract Specialist, Alaska PTAC
July 26, 2023



Introduction to PTAC

Procurement Technical Assistance Center (PTAC):

- Free assistance with all aspects of government contracting, from cradle to grave (start to finish) for federal, state and local purchasing activity.
- Free one-on-one appointments
- Free workshops (Special events and extended training session may have registration fees)
- The Alaska PTAC is one of 90+ other PTAC across the US, Puerto Rico, & Guam.

https://ptacalaska.org/
https://www.aptac-us.org/

UAA Business Enterprise Institute
University of Alaska Anchorage

The Alaska PTAC is a program of the UAA Business Enterprise Institute and funded in part through a cooperative agreement with the Department of Defense.

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Discussion Topics

- Why SAM – what is it and why is it required?
- What you need to get started
- Creating your login – Login.gov
- Entity Validation System (EVS) process
- Potential Validation Fail Points
- Using the Federal Services Desk website

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Why SAM – Contract Award

System for Award Management (SAM):

- All entities who will be receiving federal funds either through a contract and/or grant shall be registered in the System for Award Management (SAM) before an award can be executed or a payment processed for payment.

FAR 4.1100 Scope

This subpart prescribes policies and procedures for requiring contractor registration in the System for Award Management (SAM) to—

(a) Increase visibility of vendor sources (including their geographical locations) for specific supplies and services; and

(b) Establish a common source of vendor data for the Government.

FAR 4.1102 Policy

(a) Offerors and quoters are required to be registered in SAM at the time an offer or quotation is submitted in order to comply with the annual representations and certifications requirements …

(c) Contracting officers shall use the legal business name or "doing business as" name and physical address from the contractor's SAM registration for the provided unique entity identifier to identify the contractor in section A of the contract schedule, similar sections of non-uniform contract formats and agreements, and all corresponding forms and data exchanges. Contracting officers shall make no changes to the data retrieved from SAM.

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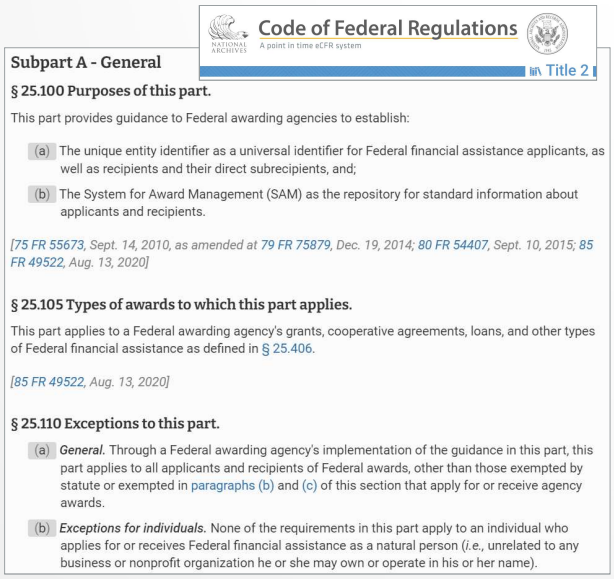
Why SAM – Grants & Assistance

System for Award Management (SAM):

- Prior to applying for any funding opportunity, prospective applicants must first register with SAM.gov. An active SAM registration is required to both do business with the federal government and to apply for funding opportunities. You must have an active entity registration to be eligible to receive contract awards or payments, submit assistance award applications via Grants.gov or receive certain payments from some federal government agencies.
- The Federal Government-wide policy at 2 CFR Part 25 (Universal Identifier and System for Award Management) states that an "agency may not make an award to an entity until the entity has complied with the requirements … to provide a valid unique entity identifier and maintain an active SAM registration with current information."



Code of Federal Regulations
A point in time eCFR system
Title 2

Subpart A - General

§ 25.100 Purposes of this part.

This part provides guidance to Federal awarding agencies to establish:

(a) The unique entity identifier as a universal identifier for Federal financial assistance applicants, as well as recipients and their direct subrecipients, and;

(b) The System for Award Management (SAM) as the repository for standard information about applicants and recipients.

[75 FR 55673, Sept. 14, 2010, as amended at 79 FR 75879, Dec. 19, 2014; 80 FR 54407, Sept. 10, 2015; 85 FR 49522, Aug. 13, 2020]

§ 25.105 Types of awards to which this part applies.

This part applies to a Federal awarding agency's grants, cooperative agreements, loans, and other types of Federal financial assistance as defined in § 25.406.

[85 FR 49522, Aug. 13, 2020]

§ 25.110 Exceptions to this part.

(a) *General.* Through a Federal awarding agency's implementation of the guidance in this part, this part applies to all applicants and recipients of Federal awards, other than those exempted by statute or exempted in paragraphs (b) and (c) of this section that apply for or receive agency awards.

(b) *Exceptions for individuals.* None of the requirements in this part apply to an individual who applies for or receives Federal financial assistance as a natural person (*i.e.*, unrelated to any business or nonprofit organization he or she may own or operate in his or her name).

https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-25

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Getting Started

- Determine who is the Entity Administrator (EA)
  - ✓ SAM username/password ⇔ Login.gov account information
    - Valid email address!
  - ✓ Requesting an Unique Entity Identifier (UEI) you will need:
    - Correct Legal Name – Sole Proprietor, Partnership, LLC, Corporation
    - Correct physical address for each specific location
    - Verify correctness of physical address via USPS database (https://tools.usps.com/go/ZipLookupAction_input)
- Replacing an Entity Administrator (EA)
  - ✓ Complete & Notarize Entity Administrator Letter
  - ✓ Submit help ticket to FSD.gov requesting to associate UEI to new EA
  - ✓ Make sure that the new EA has a SAM account before submitting incident ticket

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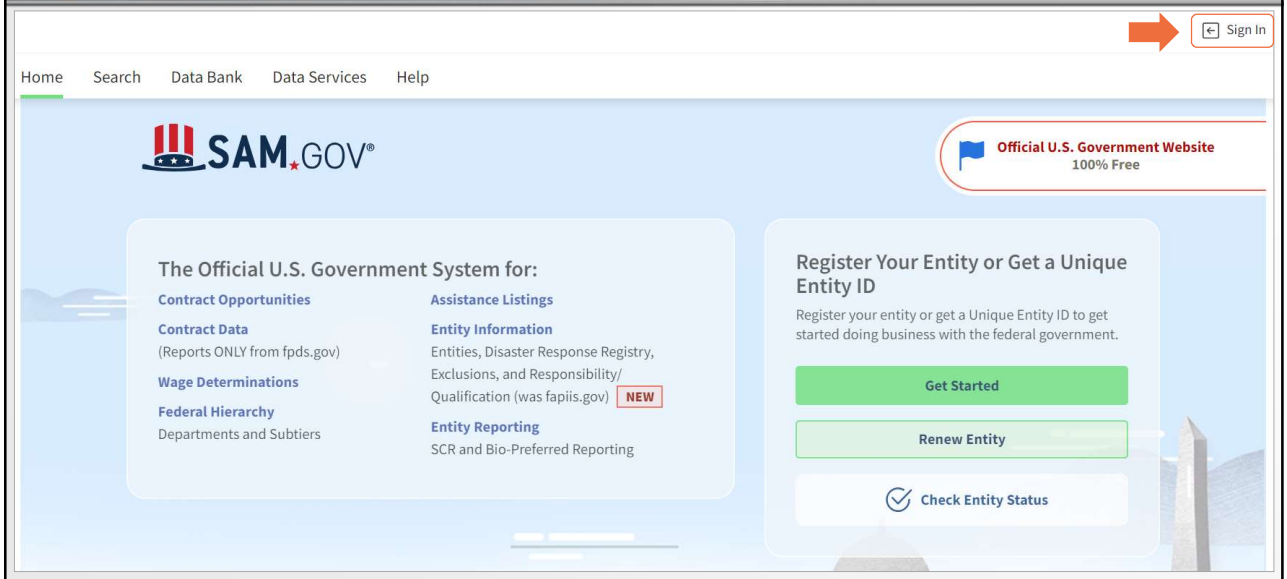
Getting Started



https://sam.gov

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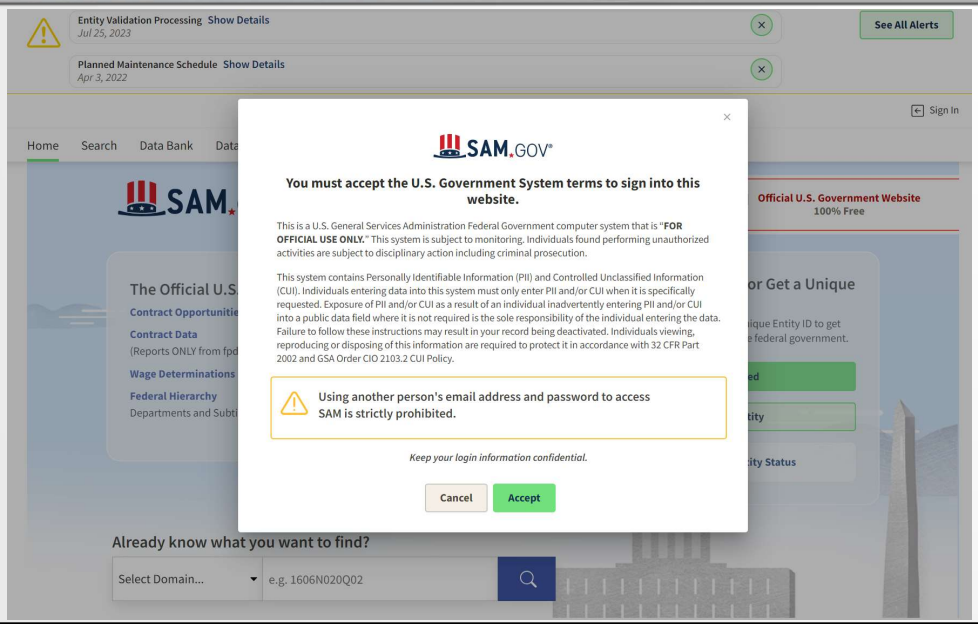
Terms Acceptance



Creating your Login - Login.gov

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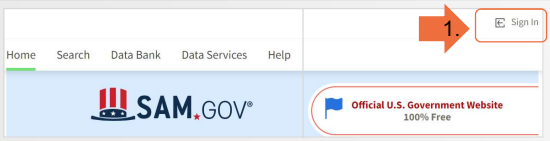
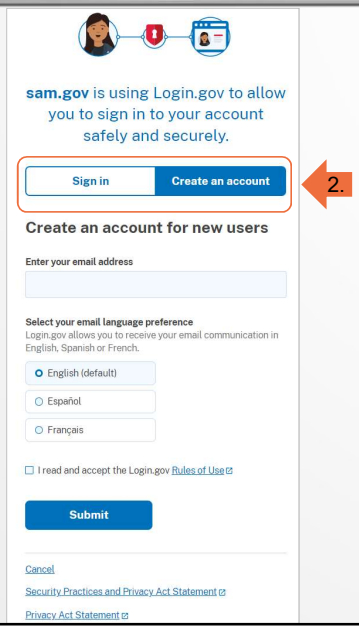
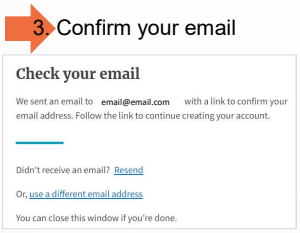


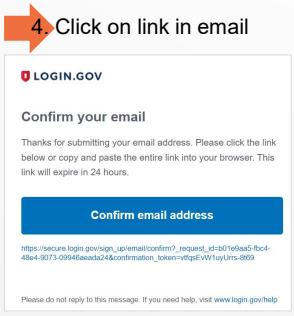
Creating new SAM profiles:

New Entity Administrators for existing SAM profiles must create a SAM account before submitting an EA letter

- If you no longer have access to the email used for login.gov – you will have to delete the account







Creating your Login - Login.gov

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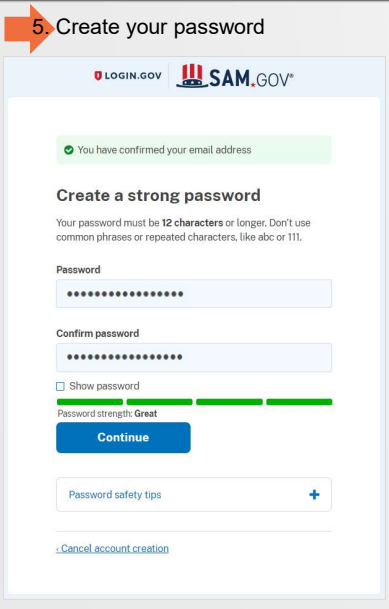

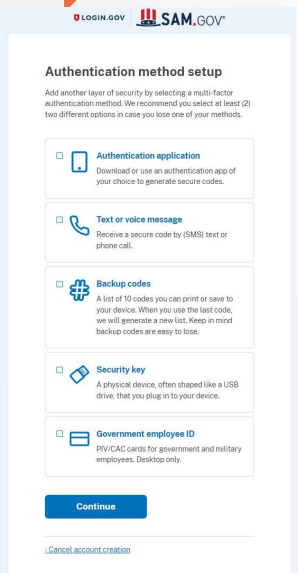

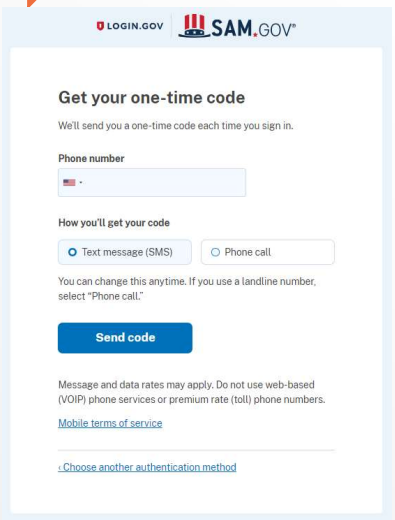

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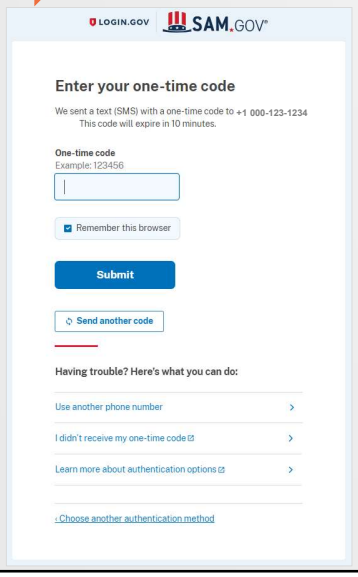
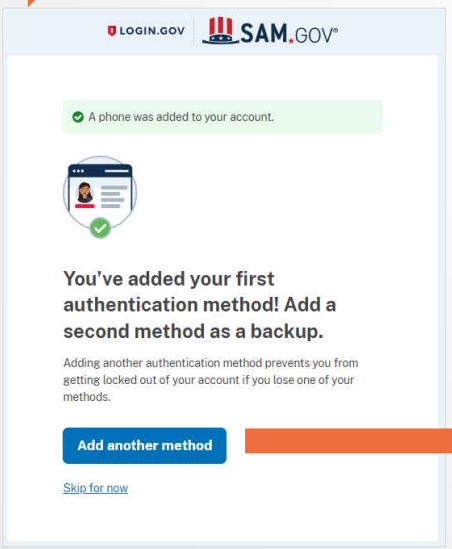
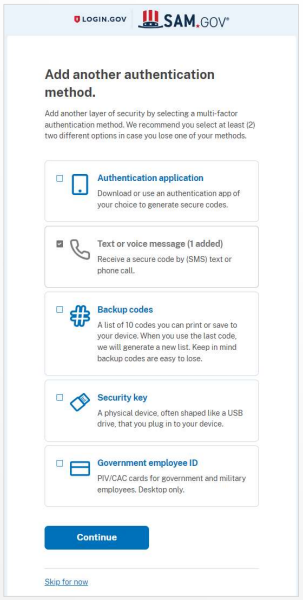
8. Enter code



9. Optional – Add another Authentication method





Creating your Login – SAM.gov

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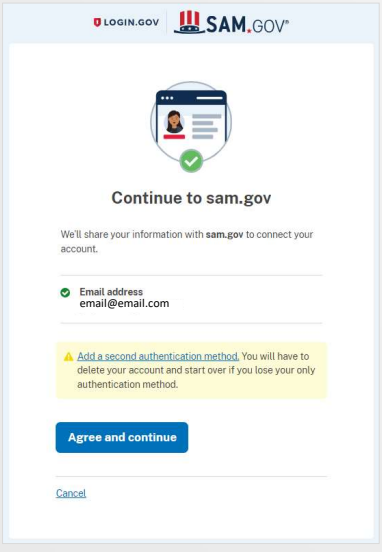
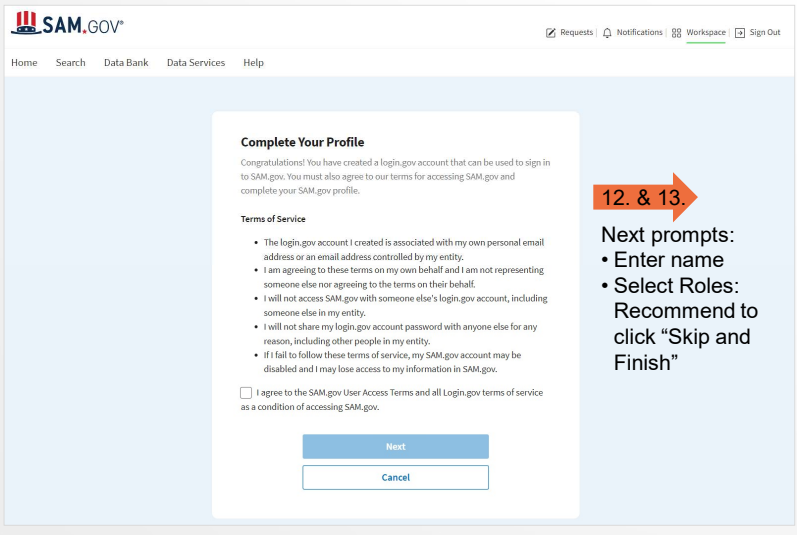
10. Continue to SAM.gov



11. Complete Your Profile – Follow prompts to finish your profile



12. & 13.

Next prompts:
- Enter name
- Select Roles: Recommend to click "Skip and Finish"

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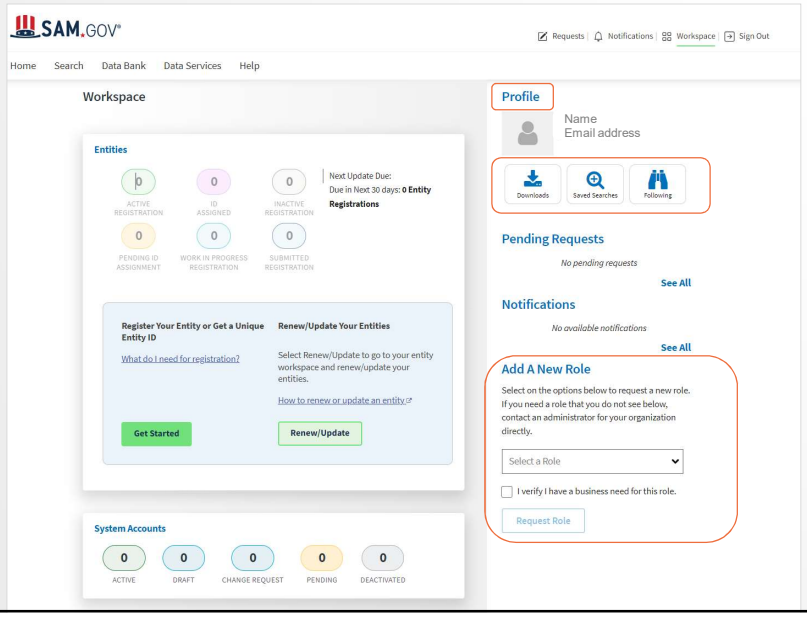
Creating your Login – SAM.gov

14. Welcome to your Workspace



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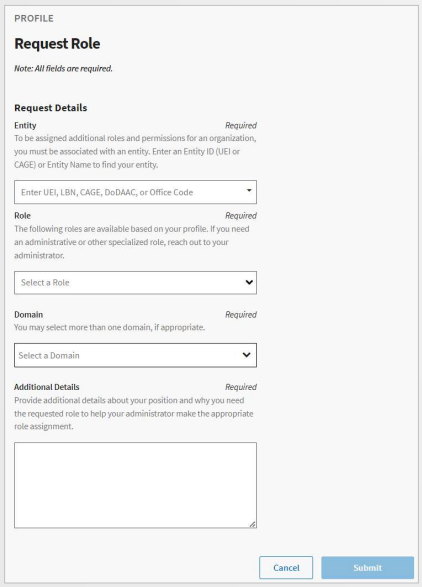
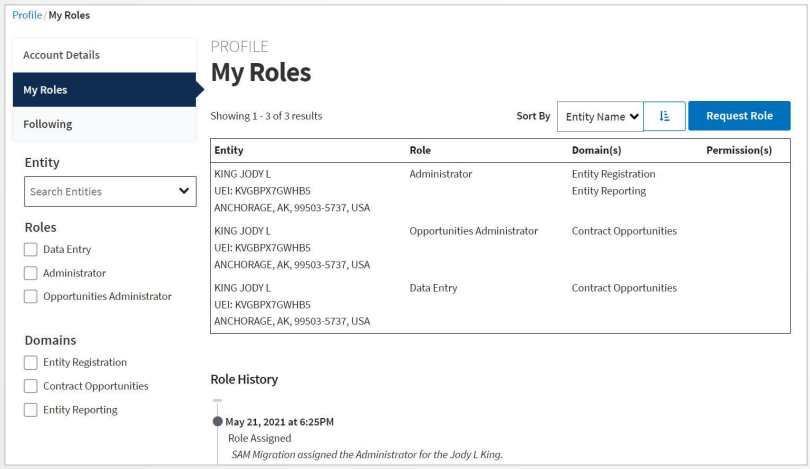
Requesting Roles in SAM



To assign roles after completing registration, click on “Workspace” then “Profile” then My Roles. You *might* need to assign yourself as the Entity Administrator for your SAM.gov profile.



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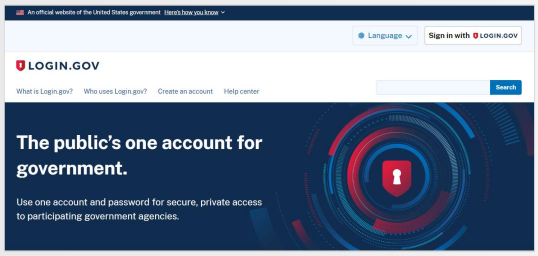
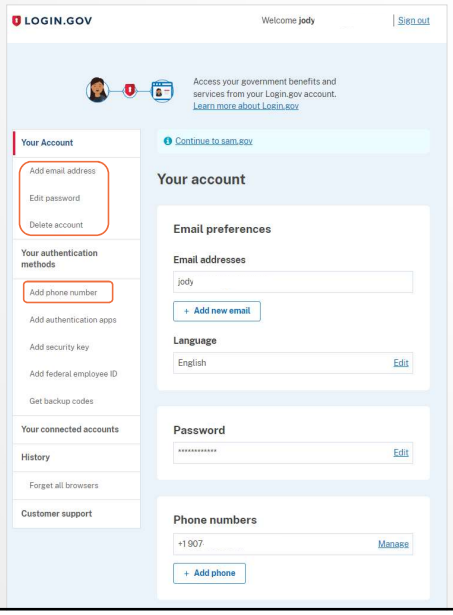
Updating Login.gov





Login.gov Tips:

- Start from the website that you want to access
- Update/add access information at the main login.gov website
- If you no longer have access to the email used for login.gov – you will have to delete the account

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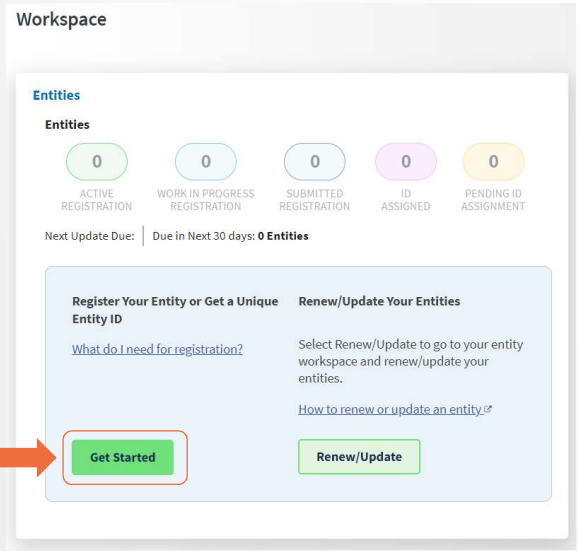
Registering a New Entity

1. To start your entity registration from your Workspace – click "Get Started"



Registering a New Entity

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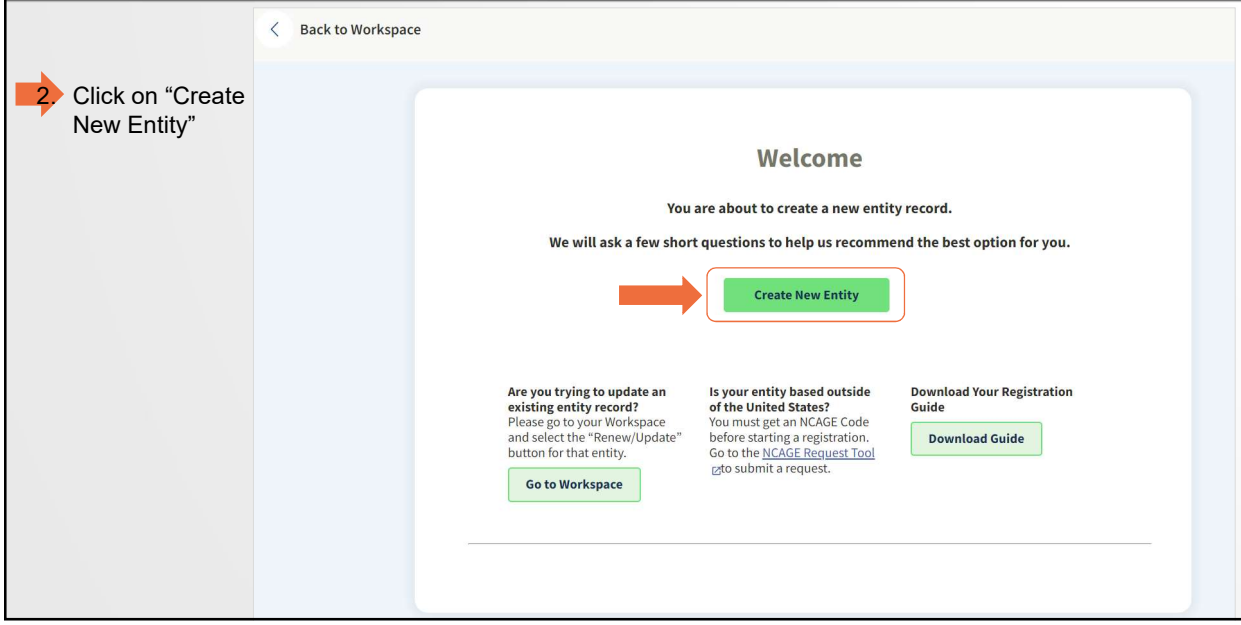
2. Click on “Create New Entity”



New Entity – What is your goal?

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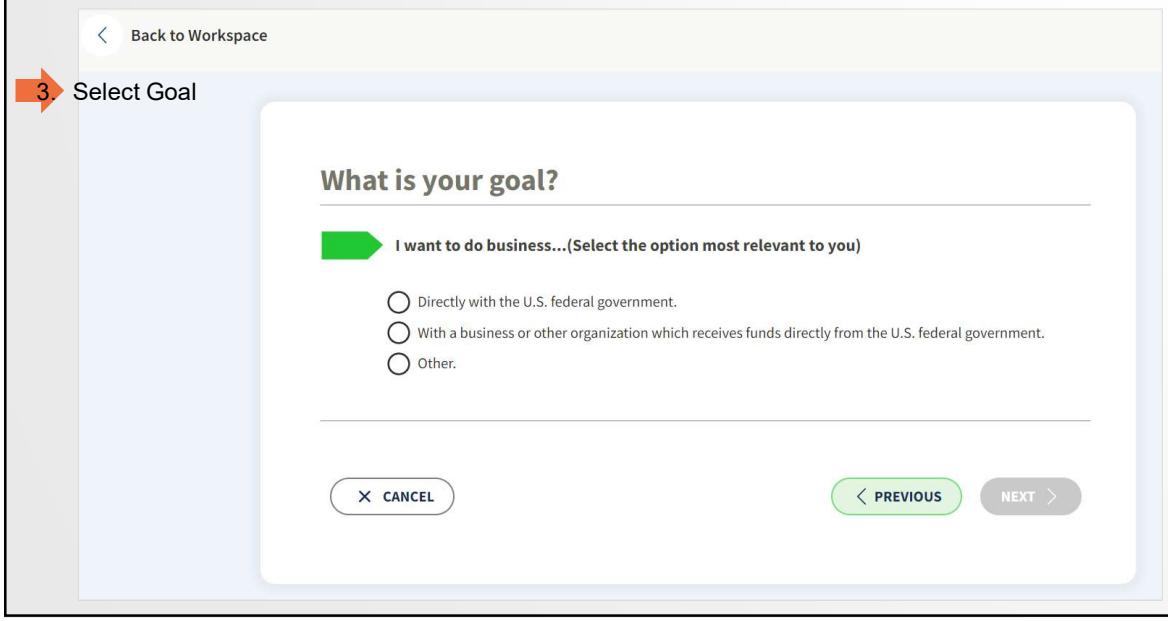
3. Select Goal



New Entity – What is your goal?

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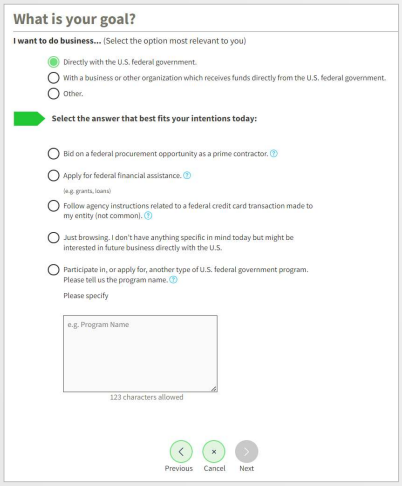

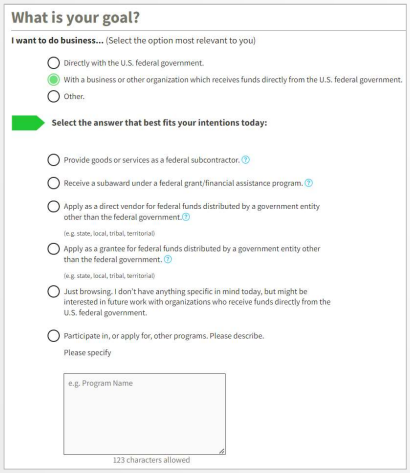

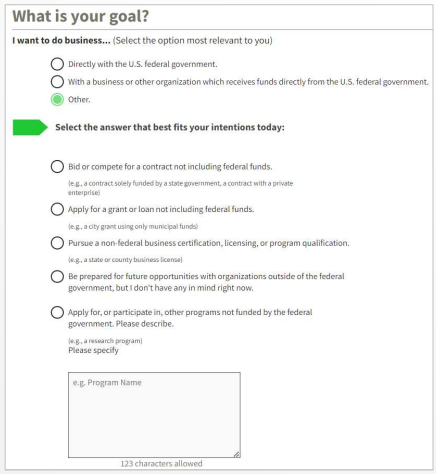

New Entity – What is your goal?

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4.

What is your goal?

I want to do business... (Select the option most relevant to you)

- (●) Directly with the U.S. federal government.
- ( ) With a business or other organization which receives funds directly from the U.S. federal government.
- ( ) Other.

Select the answer that best fits your intentions today:

- (●) Bid on a federal procurement opportunity as a prime contractor.
- ( ) Apply for federal financial assistance. (e.g. grants, loans)
- ( ) Follow agency instructions related to a federal credit card transaction made to my entity (not common).
- ( ) Just browsing. I don't have anything specific in mind today but might be interested in future business directly with the U.S.
- ( ) Participate in, or apply for, another type of U.S. federal government program. Please tell us the program name.

Please specify

e.g. Program Name

123 characters allowed

5.

Who required your entity to be in SAM.GOV?

Only select the primary source.

- (●) Federal government

Federal Hierarchy (Optional)

Enter Code or Name

- ( ) U.S. state or territory government or office
- ( ) Local government office, i.e., of a county or a city
- ( ) Tribal government or office
- ( ) A company or business
- ( ) Hospital system or healthcare organization (for profit or non-profit)
- ( ) Non-profit organization
- ( ) University or research facility (for profit or non-profit)
- ( ) Industry group, professional association, trade publication, etc.
- ( ) APEX Accelerators (formerly known as PTACs)
- ( ) I decided on my own
- ( ) None of the above

Please specify

e.g. Program Name

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Reviewing Options

6. **Choose an Option**

It looks like you intend to do business directly with the U.S. federal government on a procurement opportunity as a prime contractor. We recommend you choose All Awards.

This option also allows you to pursue financial assistance directly from the U.S. federal government.

	Unique Entity ID Only	Financial Assistance	Recommended All Awards
What you get:			
Unique Entity ID	✓	✓	✓
Entity Available in Search	✓	✓	✓
CAGE Code	–	✓ (For some entities)	✓
When you need it:			
To receive an award from someone else receiving federal funds	✓	✓	✓
To apply directly for federal grants or loans	–	✓	✓
To bid on federal contracts (prime)	–	–	✓
What you must complete:			
Entity Validation	✓	✓	✓
IRS Taxpayer Validation	–	✓	✓
CAGE/NCAGE Validation	–	✓ (For some entities)	✓
Level of Effort	**Lowest**	**Medium to High**	**Highest**
Expiration	–	1 Year	1 Year
	Select	Select	Select

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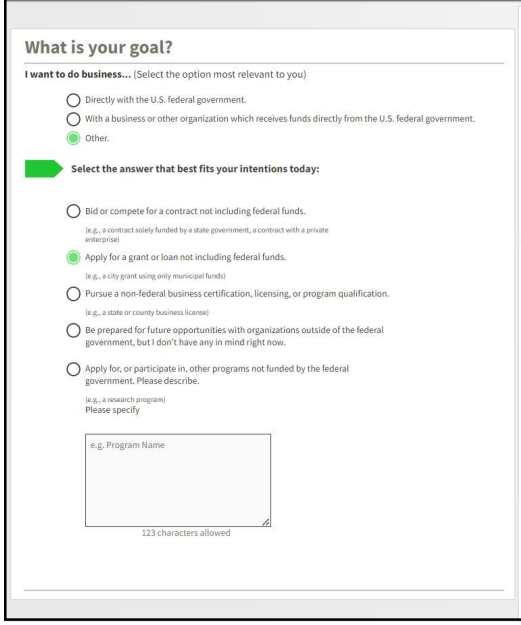
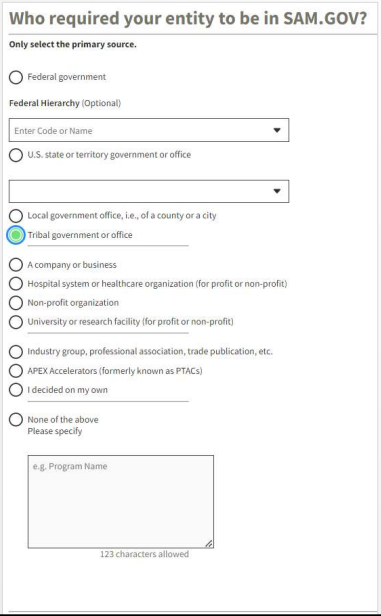
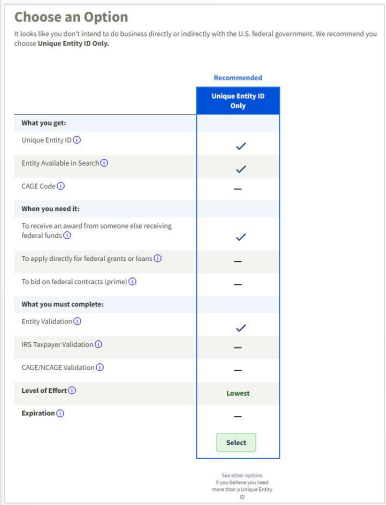
Reviewing Options – UEI Only







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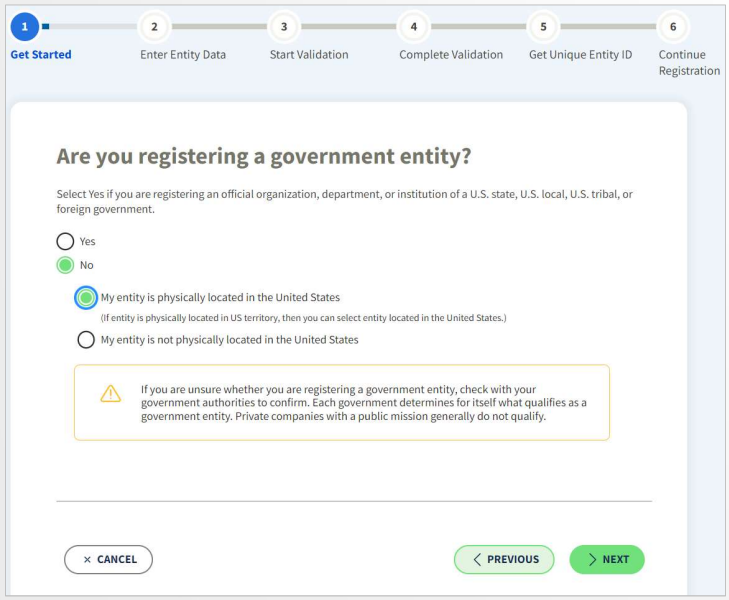
New Entity Located in the US



7.

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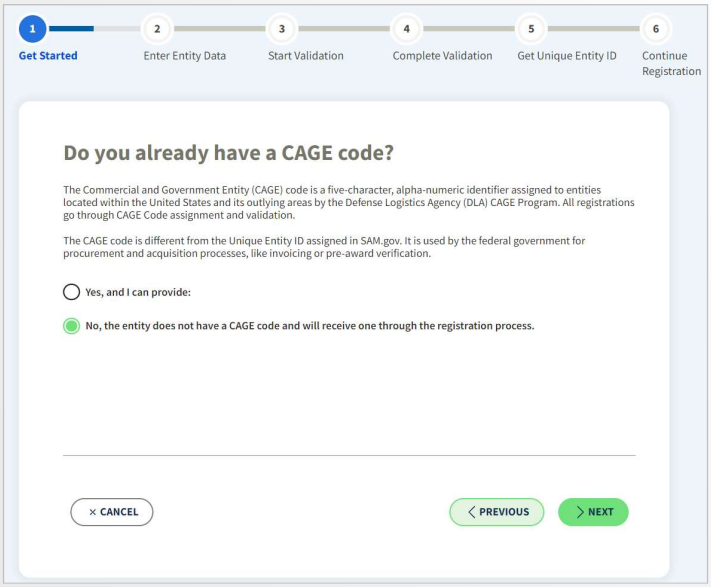
Do you have a CAGE Code?



8.

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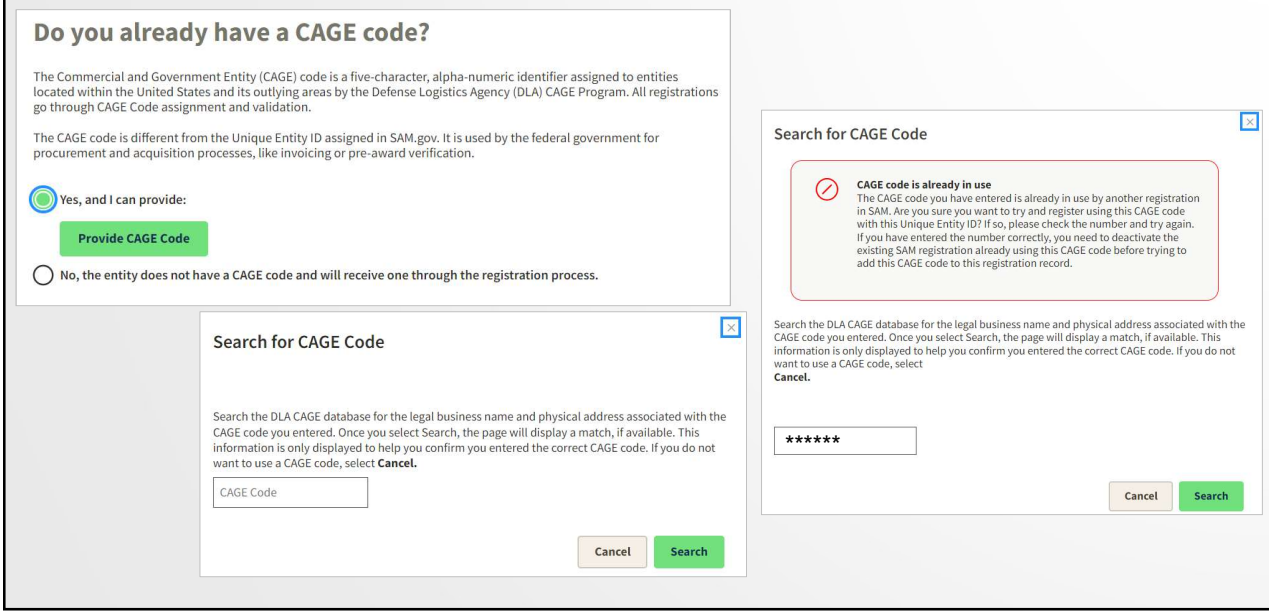
Existing CAGE Code



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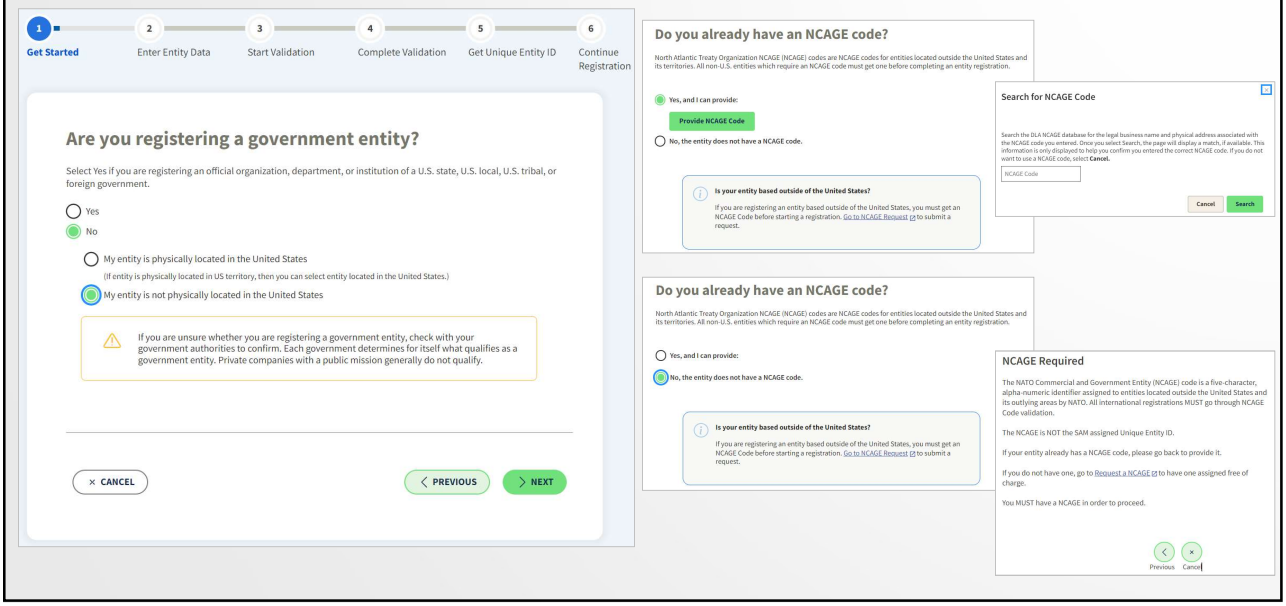
Located Outside of the US



Registering Government Entity

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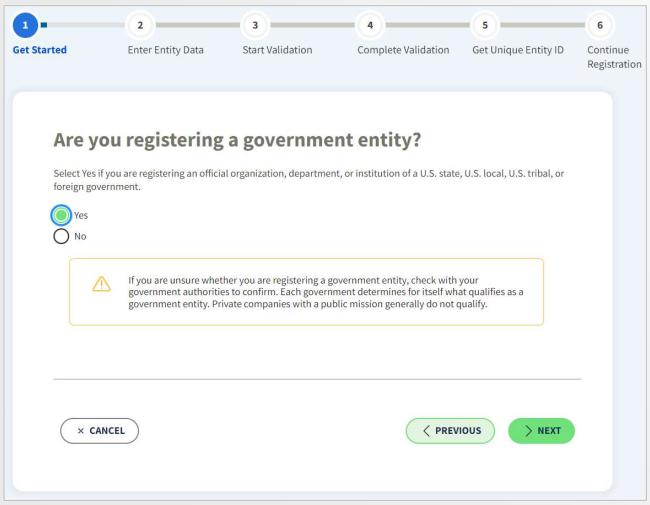

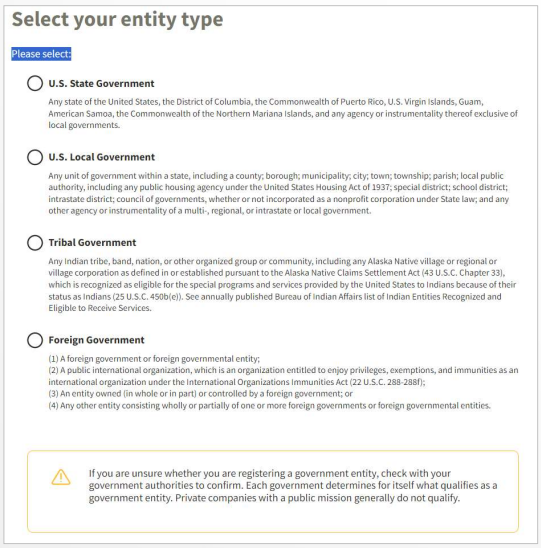

Next screen: Do you have a CAGE Code

New Entity Recap & Data Prep

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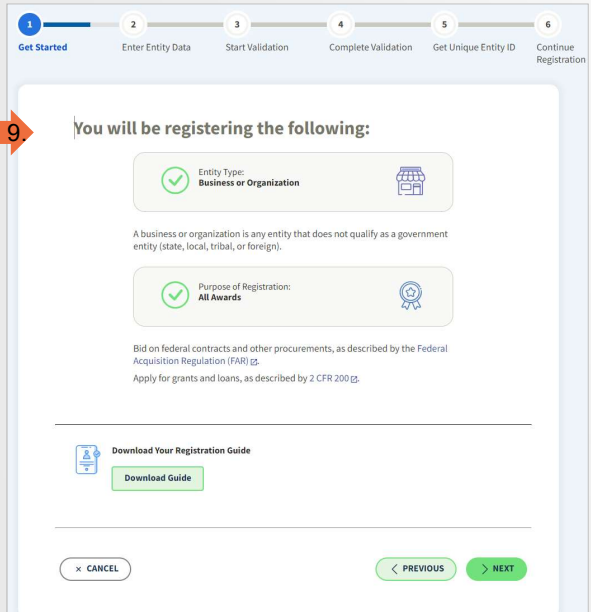
9.



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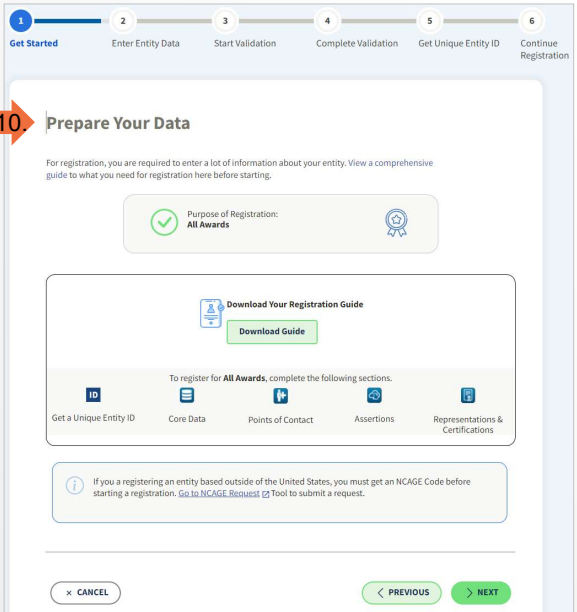

Enter Entity Information

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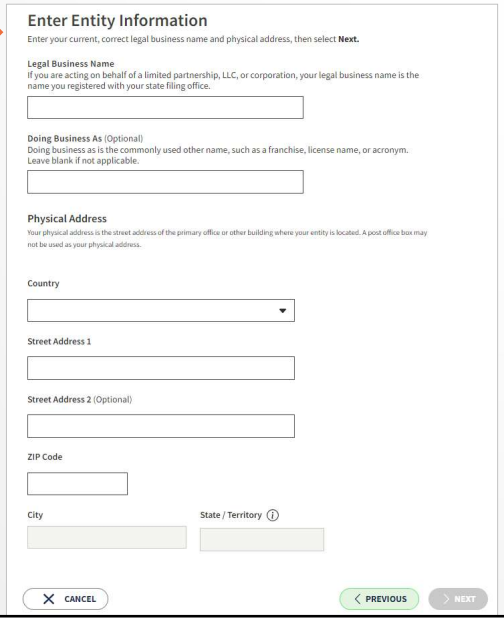
1 Get Started — 2 Enter Entity Data — 3 Start Validation — 4 Complete Validation — 5 Get Unique Entity ID — 6 Continue Registration

- Legal Business Name
  - Sole Proprietor ⇔ Individual Name
  - Partnership ⇔ Individual Names
  - LLC or LLP ⇔ Entity Name
  - Corporation ⇔ Entity Name
- Doing Business As (dba) ⇔ Name on Business License
- Physical Address
  - Must have proof of physical Address
  - Must match USPS database
  - Cannot be:
    - Commercial Mail Facility (FedEx, UPS, Mail Cache, etc.)
    - Virtual Office
  - Can be residential or commercial location

11.



Entering Information

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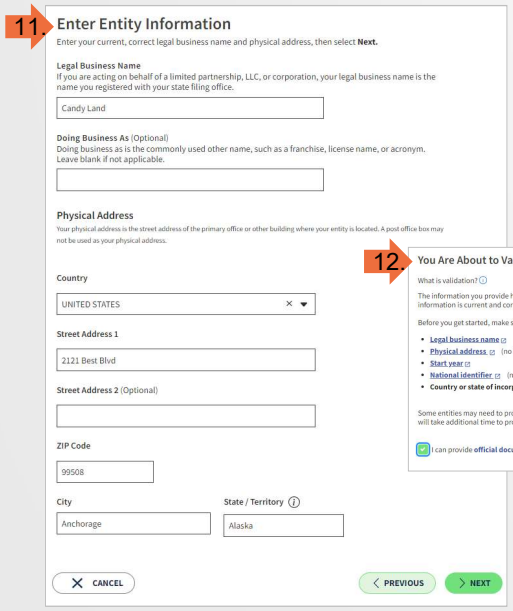
11.



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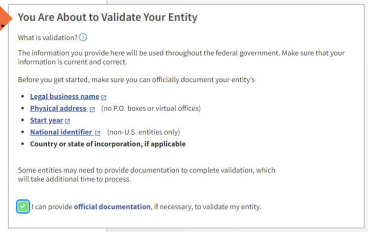

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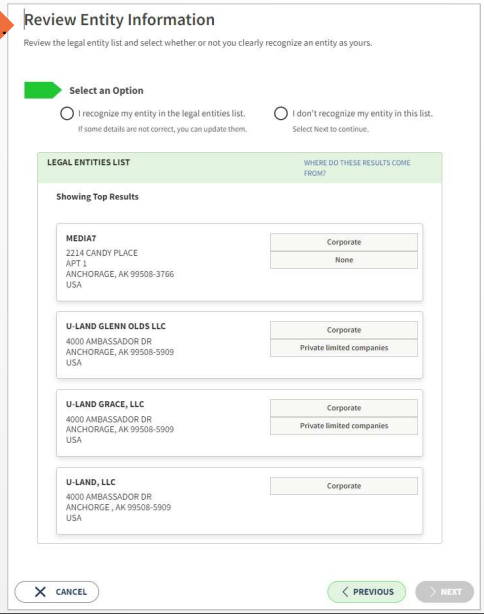

Validation Data Defined

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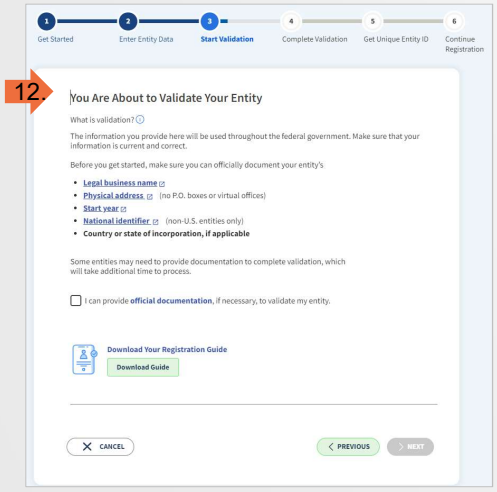

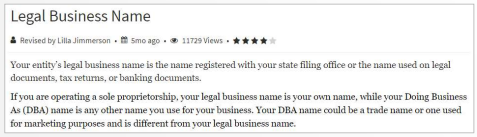

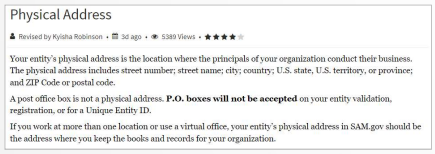

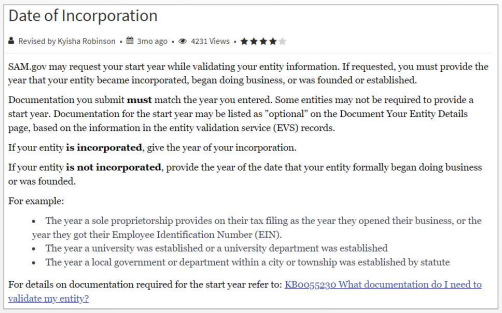

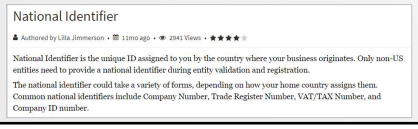

Entity Info Not Correct

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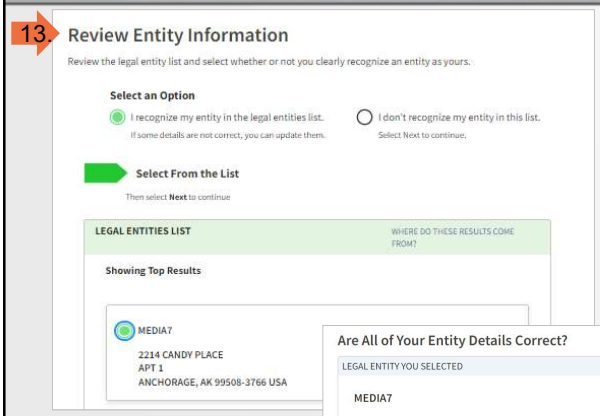

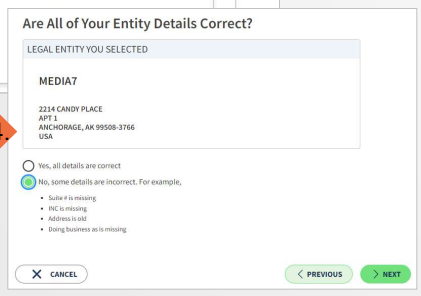

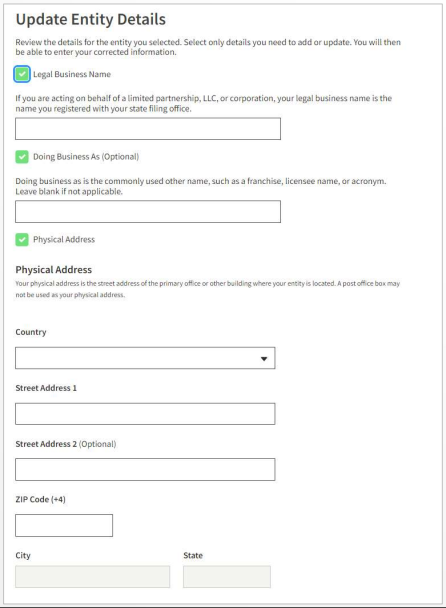

Entity Info Correct

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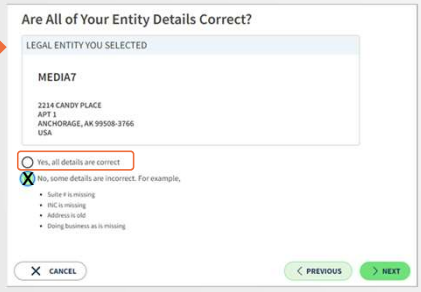
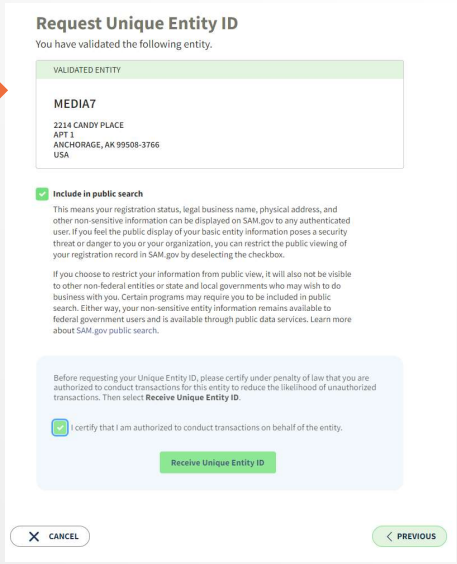


14.

15. In this case, we don't have to complete the form to correct any data so it skips to the next step

16.



No Matches Found

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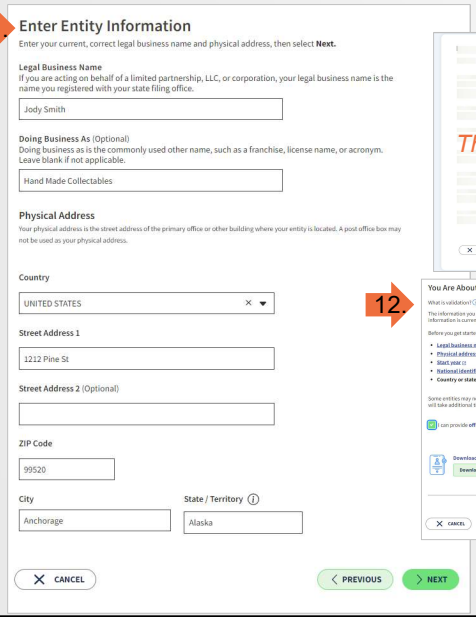
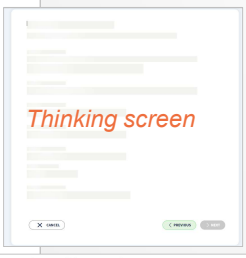
11.





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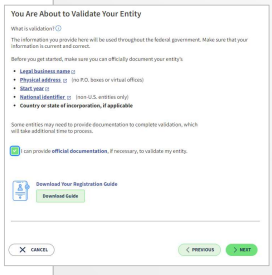

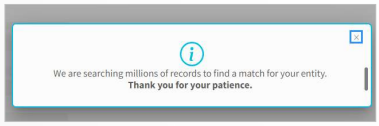

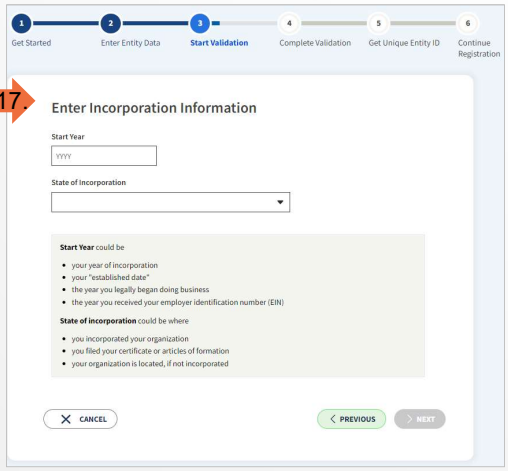

17.

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No Matches Found

17. Enter Incorporation Information

Start Year
2023

State of Incorporation
Alaska

Start Year could be
- your year of incorporation
- your "established date"
- the year you legally began doing business
- the year you received your employer identification number (EIN)

State of incorporation could be where
- you incorporated your organization
- you filed your certificate or articles of formation
- your organization is located, if not incorporated

CANCEL | PREVIOUS | NEXT

18. Confirm Entity Information

example

YOU ENTERED

Jody Smith
Doing Business As: Hand Made Collectables
1212 Pine St
Anchorage, AK 99520
UNITED STATES

Year of Incorporation
2023

State of Incorporation
Alaska

Please review what you entered for this entity. Select **Next** to confirm. Select **Previous** to modify.

CANCEL | PREVIOUS | NEXT

19. Document Your Entity Details

1 Review Requirements

View this list of acceptable documents to understand the requirements.

example

YOU ARE DOCUMENTING

Jody Smith
Doing Business As: Hand Made Collectables
1212 Pine St
Anchorage,AK 99520
UNITED STATES

Year of Incorporation
2023

State of Incorporation
Alaska

2 Attach Documents

You must attach one or more official documents that prove each of the items listed. A check here confirms you have provided proof for the required item.

- Legal business name and physical address in the same document
- Legal business name and doing business as name in the same document
- Legal business name and U.S. state of incorporation in the same document
- Legal business name and start year in the same document

Add Document

Add Document

Select a Document Type

This document includes the following. Select all that apply.
- Legal business name and physical address in the same document
- Legal business name and doing business as name in the same document
- Legal business name and U.S. state of incorporation in the same document
- Legal business name and start year in the same document

Select Document

Drag file here or choose from folder

Cancel | Submit

3 Provide Details (Optional)

Please provide additional context for your specific situation, if necessary.

500 characters allowed

CANCEL | PREVIOUS | NEXT

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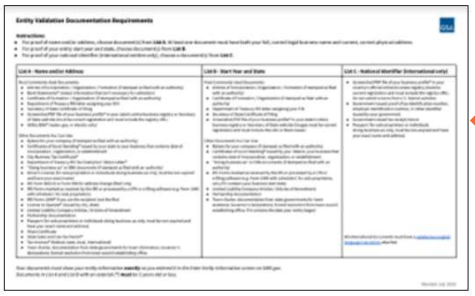
Validate Your Entity

What documentation do I need to validate my entity?

Revised by Dana Singletary • 11d ago • 48856 Views • ★★★☆☆

What documentation should I use?

- Entity Validation Document Requirements. **Check this one-pager first to learn what documents to provide.**



Click on blurry image to access this document

- Can I Use this Document for Entity Validation? See whether a specific type of document is allowed. Also shows what not to attach.
- Examples of Acceptable and Unacceptable Documents

https://www.fsd.gov/gsafsd_sp?id=kb_article_view&sysparm_article=KB0055230&sys_kb_id=4c37ff941b77811406b09796bc4bcbda&spa=1

Helping Connect Business & Government In Alaska

Validation Documents

Entity Validation Documentation Requirements

GSA

Instructions:

- For proof of name and/or address, choose document(s) from **List A**. At least one document must have both your full, correct legal business name and current, correct physical address.
- For proof of your entity start year and state, choose document(s) from **List B**.
- For proof of your national identifier (international entities only), choose a document(s) from **List C**.

List A - Name and/or Address	List B - Start Year and State of Incorporation	List C - National Identifier (international only)
Most Commonly Used Documents: • Articles of Incorporation/Organization/Formation (if stamped as filed with an authority) • Bank Statements* (redact information that isn't necessary for validation) • Certificate of Formation/Organization (if stamped as filed with an authority) • Department of Treasury IRS letter assigning your EIN • Secretary of State Certificate of Filing • Screenshot/PDF file of your business profile* in your state's online business registry or Secretary of State website (must be current registration and must include the registry URL) • Utility Bill* (water, gas, or electric only) Other Documents You Can Use: • Bylaws for your company (if stamped as filed with an authority) • Certificate of Good Standing* issued by your state to your business that contains date of incorporation, organization, or establishment • City Business Tax Certificate* • Department of Treasury IRS Tax Exemption Status Letter* • "Doing-business-as" or DBA document (if stamped as filed with an authority) • Driver's License (for sole proprietors or individuals doing-business-as only; must be *non-expired* and have your exact name) • IRS Form 8822-B or Form 990 for address change (filed only) • IRS forms marked as received by the IRS or processed by a CPA or e-filing software (e.g., Form 1040 with schedule C for sole proprietors) • IRS Form 1099* if you are the recipient (not the filer) • License to Operate* (issued by city, state) • Limited Liability Company Articles/Articles of Amendment (if stamped as filed with an authority) • Partnership documentation (if stamped as filed with an authority) • Passport (may only be used by sole proprietors or individuals doing-business-as where the physical business address is on the passport; must be non-expired and have your exact name and address. Passports without addresses or with addresses that are different than your physical business address cannot be used) • Share Certificate • State Sales and Use Tax Permit* • Tax invoice* (federal, state, local, international) • Town charter, documentation from state governments for town's formation; Governor's declarations; formal resolution from town council establishing office.	Most Commonly Used Documents: • Articles of Incorporation/Organization/Formation (if stamped as filed with an authority) • Certificate of Formation/Organization (if stamped as filed with an authority) • Department of Treasury IRS letter assigning your EIN • Secretary of State Certificate of Filing • Screenshot/PDF file of your business profile* in your state's online business registry or Secretary of State website (must be current registration and must include the website URL) Other Documents You Can Use: • Bylaws for your company (if stamped as filed with an authority) • Certificate of Good Standing* issued by your state to your business that contains date of incorporation, organization, or establishment • "Doing-business-as" or DBA document (if stamped as filed with an authority) • IRS forms marked as received by the IRS or processed by a CPA or e-filing software (e.g., Form 1040 with schedule C for sole proprietors, only if it contains your business start date) • Limited Liability Company Articles/Articles of Amendment (if stamped as filed with an authority) • Partnership documentation (if stamped as filed with an authority) • Town charter, documentation from state governments for town existence; Governor's declarations; formal resolution from town council establishing office, if it contains the date your entity began	• Screenshot/PDF file of your business profile* in your country's official online business registry (must be current registration and must include the registry URL). *Do not submit screens from U.S. federal websites.* • Government-issued proof of tax identification number, employer identification number, or other identifier issued by your government. • Government-issued tax receipt/return • Passport (for sole proprietors or individuals doing-business-as only; must be non-expired and have your exact name and address) All international documents must have a satisfactory English language translation attached.

*Your documents must show your entity information **exactly** as you entered it in the Enter Entity Information screen on SAM.gov. Documents in List A and List B with an asterisk (*) **must** be 5 years old or less.*

Revised December 2022

Helping Connect Business & Government In Alaska

Creating an Incident Ticket

1 Get Started — 2 Enter Entity Data — 3 Start Validation — 4 Complete Validation — 5 Get Unique Entity ID — 6 Continue Registration

20.

Entity Documentation Submitted

Reference Number

INC-GSAFSD9052814

SAM.gov will review your documentation and contact you if we have any questions. Read this article to learn more about what happens next.

Please do not submit any documentation for your entity at FSD.gov. All documents must be submitted here at SAM.gov.

Go to Workspace

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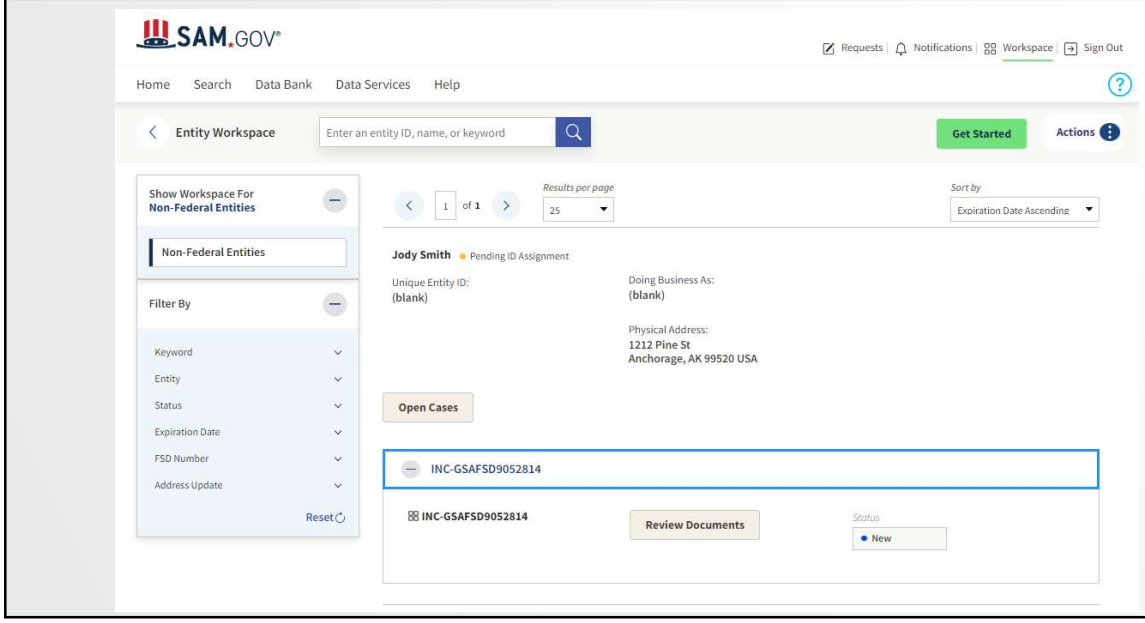
Waiting for UEI Assignment



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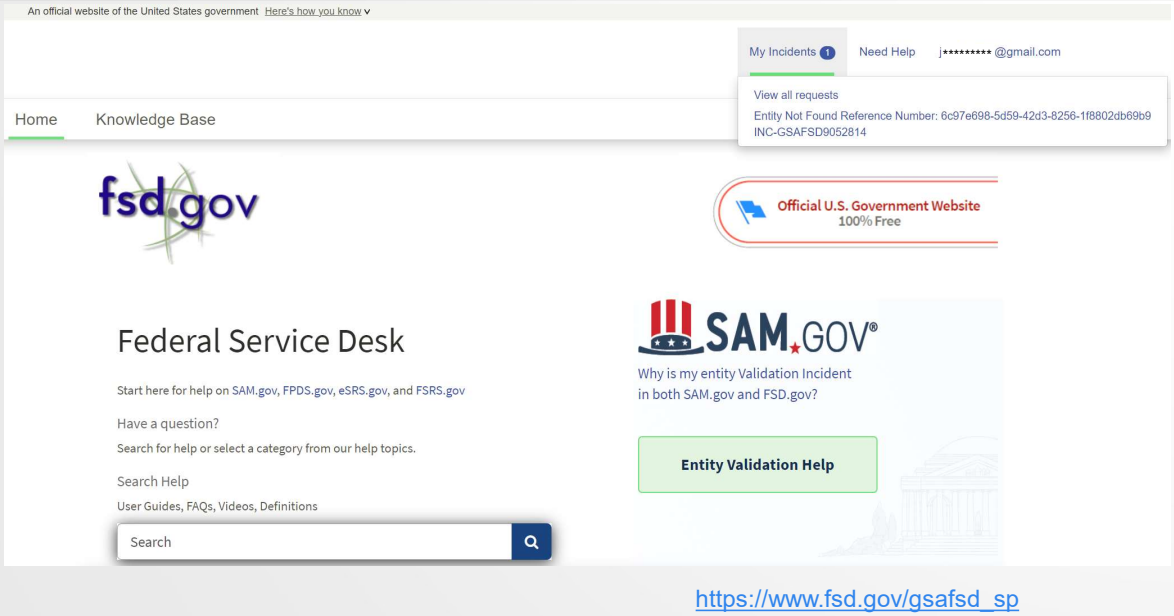
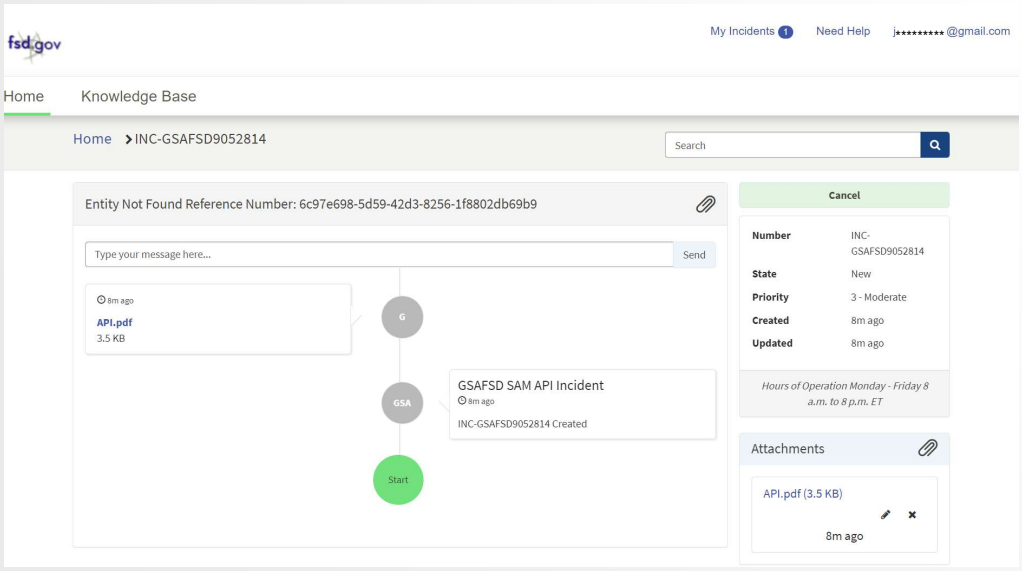
FSD.gov



https://www.fsd.gov/gsafsd_sp

Alaska PTAC
Helping Connect Business & Government In Alaska

FSD.gov



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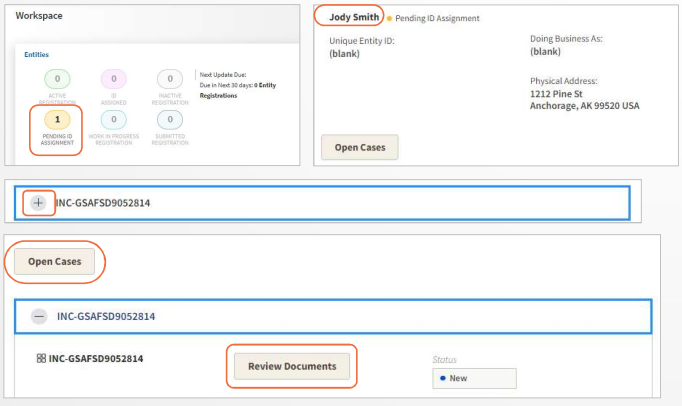
Helping Connect Business & Government In Alaska

Next Steps

Submitted incident ticket – now what?

- Wait for response from GSA
  - Watch for email either stating entity has been entered or additional information is needed.
- Any additional documents must be uploaded from SAM.gov using the same incident ticket.
  - Go back to workspace
  - Click on “Pending ID Assignment”
  - Click on “Open Cases”
  - Click on the + sign next to the incident ticket
  - Click on “Review Documents” This will expand the original document
  - Go through the same process to select the document type, check needed boxes to select what the document is validating, add comments, and then submit document
  - Go back to FSD.gov site and add comments



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Next Steps

Submitted incident ticket – now what?

- Once you receive the email stating that the entity has been added (or information corrected) follow the directions to continue with the entity registration.
- If you follow the steps and are not able to complete the registration for reasons such as:
  - Entity is not available on selection list
  - Entity is on selection list; however, the data is not showing corrections (wrong address, etc.)
  - Only part of the information has been corrected – for example legal name fixed but still has old address
  - Are required to validate documents which creates a new incident ticket

Then contact PTAC / APEX Accelerator for assistance.

1. Sign in to SAM.gov. Select the "Workspace" link at the top of the screen.
2. Select the "Entities" link at the top of the box.
3. Find your entity in the list.

After the entity name, there is a status. It will say "Pending ID Assignment" (A), "ID Assigned" (B), or "Work in Progress Registration" (C and D). Depending on your entity status, use the steps in A, B, C, or D:

A. If your entity status is "Pending ID Assignment," select the "Get Started" button. This will let you continue, and you will not have to submit documents again.

1. Enter the name and address above on the "Enter Entity Information" screen.
2. You'll see matching information in a list.
3. Pick the match and confirm the information is correct.
4. Then you can request your Unique Entity ID.
5. You will get your Unique Entity ID.
6. Your entity is now validated. If you need to apply for assistance or bid on a contract, use the "Continue Registration" button.

B. If your entity status is "ID Assigned," find the three vertical dots after the entity's name. This will open a menu.
1. Select "Validate Entity" from the menu.
2. Enter the name and address above on the "Enter Entity Information" screen.

Sample EVS email response

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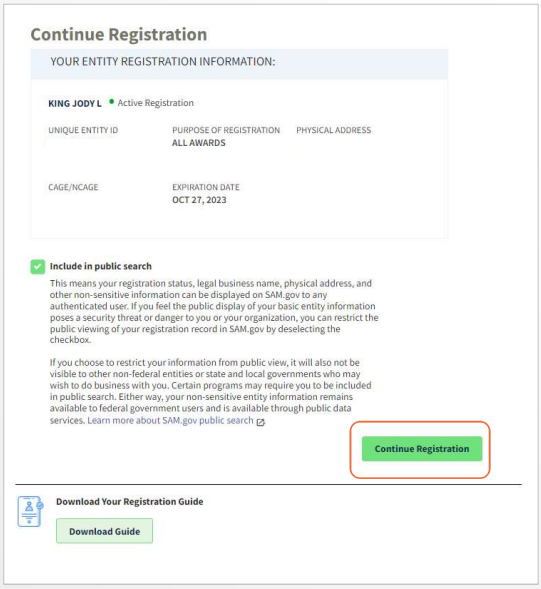
Next Steps

If all corrections have been made & you are able to select an entity that doesn't need correction you should be able to move through a series of pages until you see a screen that allows you to

- Click a green "Receive UEI" button

  or

- click a green "Continue Registration" button



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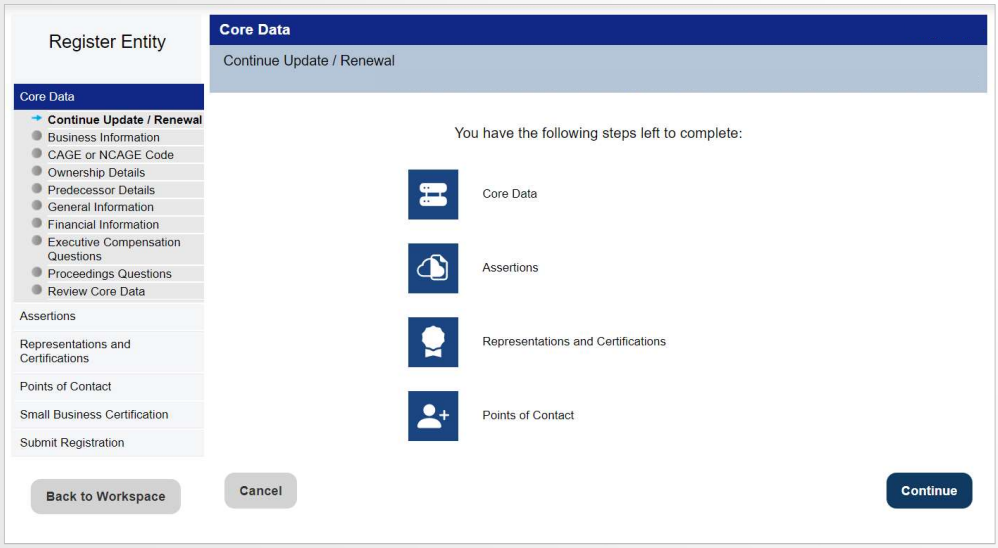
Registering Your Entity



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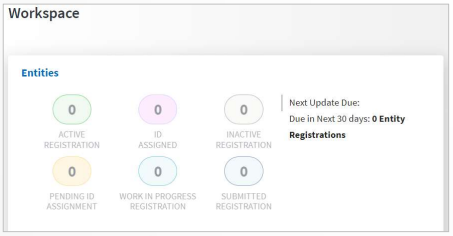
Validation & Registration Hurdles

- Log into SAM and have all zeros under Entities
  - UEI no longer associated with username (email)
  - Used wrong email address
  - System data is not available – system error
- Can't access existing SAM profiles
  - EA/POC no longer at company
  - Can no longer use original email associated with SAM account
- Name Validation issues
  - Entity no longer in good standing or involuntarily dissolved
  - Name entered into Secretary of State database incorrectly
  - Name misspelled in SAM entity listing
  - No active business license
- Address Validation issues
  - Old address on entity documents or business license
  - Physical address doesn't exist in USPS database or might not have a physical address
  - Lacking valid documents to prove physical address
- Unable to verify entity start date



Helping Connect Business & Government In Alaska

Questions?

Alaska PTAC Staff Contact Information

Anchorage: 1901 Bragaw Street, Suite 199 **Phone: 907-786-7258**

Carolyn Pratt, Program Manager	capratt@alaska.edu	907-786-7259
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Craig von Holdt, Contract Specialist	cavonholdt@alaska.edu	907-786-7281
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Kristen Sullivan, Program Assistant	khsullivan@alaska.edu

How can the Alaska PTAC help you?

General email: info@ptacalaska.org **Website:** https://alaskaptac.org