



Community Development Division

316 N 26th Street, Billings, MT 59101 406.208.9962 www.billingsmt.gov/comdev

Dear Contractor:

Thank you for your interest in participating in the Community Development housing rehabilitation programs!

The Community Development Division administers several housing rehabilitation programs to meet the housing repair needs of low- and moderate-income homeowners in Billings. We actively recruit qualified contractors to participate in these programs. Our housing rehabilitation programs are funded through the City's Community Development Block Grant (CDBG) Program with federal funds provided by the U.S. Department of Housing and Urban Development (HUD) and/or other federal, state and local funding sources.

The Community Development Division maintains a list of contractors we provide to homeowners procuring contractor services for their housing rehabilitation projects. To be included in the list, and to receive notices of bidding opportunities, please complete the enclosed application and submit it to me along with copies of the following:

- City of Billings Business License,
- Montana Construction Contractor Registration (<http://erd.dli.mt.gov/work-comp-regulations/montana-contractor>),
- Certificate of Liability Insurance,
- Certificate of Workers' Compensation or Certificate of Exemption from Workers' Compensation,
- Unique Entity Identifier (UEI) number and proof of SAM registration, which is the federal government's System for Award Management (free at <https://sam.gov/>), and
- Proof of training in the Lead, Renovation Repair and Painting Program Rule is required to perform work in homes built prior to 1978.

All contractors performing renovation, repair and painting projects that disturb lead-based paint in homes, child care facilities, and schools built before 1978 must be certified and must follow specific work practices to prevent lead contamination. Contractors are required to have a certified renovator on board for each job taking place in a home or facility defined by the rule. The Montana Weatherization Training Center at MSU-Bozeman offers courses in the EPA Lead Renovation, Repair and Painting Rule. Please call 406.586.0070 for course schedule and registration. Website: www.weatherization.org.

Minority and women-owned firms and businesses owned by and/or employing low-income individuals (Section 3) are encouraged to submit applications.

Thank you again for your interest and participation in the Community Development housing rehabilitation programs! If you have any questions, please feel free to contact me at 406.657.8284.

Sincerely,

Tam Rodier
Community Development Program Coordinator
rodiert@billingsmt.gov

TLR

Attachments

**COMMUNITY DEVELOPMENT DIVISION**

316 N 26th Street, 4th Floor
P.O. Box 1178, Billings, Montana 59103
Phone: 406.208.9962

**Vendor/Contractor Registration Application**

Please complete and return this signed application for with copies of your current City of Billings business license, Certificate of Liability Insurance, Certificate of Workers' Compensation (or Exemption Certificate) and proof of UEI Number / SAM registration to the address listed above.

Company Name: (Legal name as recorded with the IRS):

Mailing Address:

Physical Address:

City: _____ **State:** _____ **Zip:** _____

Contact Person:

Phone: _____ **Fax:** _____

E-mail:

Internet/Web Site URL Address:

Company Information:

Tax Identification Number: SSN FEIN **City Business License #:** _____

Dun & Bradstreet (D&B) provides a D-U-N-S Number, a unique nine digit identification number that is required for all businesses receiving funding from federal contracts or grants. There is no cost to register and a DUNS number can be created within one business day. You can register on-line at <http://fedgov.dnb.com/webform> or by calling 1-866-705-5711.

The System for Award Management (SAM) is a combination of federal procurement systems. All contractors who receive payment with federal funds from Community Development Division programs must be registered in SAM. You can register on-line at www.SAM.gov.

UEI #: _____ **SAM #:** _____

Organization Type:

Individual Corporation Partnership Joint Venture Non Profit
 Other (specify): _____

Minority Business: A minority business is defined as an organization in which at least 51% of the ownership interest, stock or otherwise, is owned by a minority group member. The determination of minority status depends solely on ownership and is not related to employment of minority persons. (check one)

African American/Native African Hispanic/Latino American Indian Alaskan Native
 Asian/Pacific Islander Other (specify) _____ Does Not Apply

Woman Owned Business: A woman owned business is defined as an organization in which at least 51% of the ownership interest, stock or otherwise is owned by a woman. (check one) Yes No

Section 3 Business Concern:

- Is at least 51% of the business owned and controlled by a person(s) whose household income is less than 80% of the Area Median Income? (see chart) Yes No
- Is the business at least 51% owned and controlled by current public housing residents or residents who currently live in Section 8-assisted housing? Yes No
- Was over 75 percent (75%) of the labor hours performed for the business over the prior three-month period performed by Section 3 workers? (definition at www.billingsmt.gov/section3) Yes No

2024 Income Limits	
Effective 5/1/2024	
Family Size	80% AMI
1	\$55,200
2	\$63,050
3	\$70,950
4	\$78,800
5	\$85,150
6	\$91,450
7	\$97,750
8+	\$104,050

Types of Trades: Please list the business' main trades (general contractor, electrical, plumbing, painting, etc.).

Application's Certification: I certify that the foregoing information is true and correct statement of the facts and agree to abide by the laws of the State of Montana. Applicant acknowledges that it is his/her responsibility to keep the information current by notifying the City of Billings Community Development Division of any changes. Applicant also acknowledges that submission of this application does not guarantee opportunities to quote/bid for contracts nor does it constitute an endorsement by the City of Billings. Homeowners are encouraged to check references. The homeowner selects contractors for projects. City staff will review contractor's proposal for cost reasonableness, thoroughness, and check for debarment from federally-funded programs. Upon approval of the homeowner's work plan and contractor's proposal, the homeowner may enter into a contract.

Applicant Signature:

Date:

For internal use:

Date received:

Date reviewed:

Staff Initials:

City of Billings Business License Certificate of Liability Insurance DUNS
 Certificate of Workers' Compensation W/C Exempt SAM



Dear Supplier / Vendor:

Attached is a vendor information form and W-9 Form. Both forms must be completed, signed and returned to the City of Billings, Accounts Payable, before the City can issue a payable check. Once we receive these forms, you will be added to our vendor database in our financial system.

The W-9 (Request for Taxpayer Identification Number(s) and Certification) is required in accordance with the Internal Revenue Service.

Please fax forms to:

Attention: City of Billings, Accounts Payable
FAX: (406) 247-8608

Sincerely,

Joanne Rindahl
Business License/Vendor Clerk
(406) 657-8364
rindahlj@billingsmt.gov



SECTION I: GENERAL INFORMATION

Supplier Name: _____

Purchase Order Address:

Address: _____

Remit to Address:

Address: _____

City: _____ State: _____ Zip Code: _____

City: _____ State: _____ Zip Code: _____

Phone #: _____ Fax #: _____

Company Ownership:

Individual Partnership Corporation Non-profit
 Affiliate Government Agency

Type of business - Check all that apply:

<input type="checkbox"/> Material & Services	<input type="checkbox"/> Services	<input type="checkbox"/> Legal Services
<input type="checkbox"/> Merchandise (Products)	<input type="checkbox"/> Medical/Healthcare	<input type="checkbox"/> Rent
<input type="checkbox"/> Tax-Exempt Hospital	<input type="checkbox"/> Sale of Real Estate	

SECTION II: Business Tax License Information

Please provide your Business License Number*: _____

*Not Applicable to: DOCTORS, LAWYERS, VETERINARIANS, CHIROPRACTORS, LAND SURVEYORS, SPEECH PATHOLOGISTS, DENTISTS, INSURANCE, BARBERS, ENGINEERS, REALTORS, AUDIOLOGISTS

DECLARATION

The undersigned declares the foregoing statements are true and include all information necessary to identify and explain the operations and ownership of the company. The undersigned also agrees to inform the City Of Billings immediately of any changes to the above information, particularly in ownership, controlling interest or operation.

AUTHORIZED SIGNATURE

PHONE

DATE

TITLE

Thank you for your immediate intention to this matter. If you have any questions, please call (406) 657-8208.

Please complete all three parts below

Part 1 – Tax Identification: (Please Print Legibly All Information)

Business/Corporation Name: _____

If you are a
SOLE PROPRIETOR or
SINGLE-OWNER LLC

Required: Personal name of owner of the business _____

Optional: Business name if different from above: _____

Enter your Tax Identification Number (TIN) in the appropriate box.

For individuals this is your social security number (SSN). For other entities, it is your employer identification number (EIN).

Social Security Number
_____ - _____ - _____ - _____ - _____

Employer Identification Number
_____ - _____ - _____ - _____

Part 2- Exemption: If exempt from 1099 reporting, check your qualifying exemption reason below:

Corporation Tax Exempt Entity The United States A State A Foreign Government

1. Corporation, except there is no exemption for medical and healthcare payments or payments for legal services.
2. Tax Exempt Charity under 501(a), or IRA
3. The United States or any of its agencies or instrumentalities
4. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions
5. A foreign government or any of its political subdivisions

Part 3 Certification: Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **and**
2. I am not subject to backup withholding because **(a)** I am exempt from backup withholding, or **(b)** I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or **c)** the IRS has notified me that I am no longer subject to backup withholding **and** I am a U.S. person (including a U.S. resident alien).

Certification Instructions – You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

Person completing this form: _____

Authorized Signature: _____ Date: _____ Phone: (_____) _____

Full Address Required: Which will reflect your 1099 Mailing at the end of the year.

Address: _____

City: _____ State: _____ ZIP: _____

U.S. Person. Use this form only if you are a U.S. person (including U.S. resident alien). If you are a foreign person, use the appropriate Form W-8.

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

We are required by law to obtain this information from you when mailing a reportable payment to you. If you do not provide us with this information, your payments may be subject to a 28% federal income tax backup withholding. Also, if you do not provide us with this information, you may be subject to a \$50 penalty imposed by the Internal Revenue Service under section 6723.

Housing Rehab Program Common Contractors Questions and Answers

1. What is the Housing Rehab Program?

The City of Billings – Housing Rehab Program provides assistance to qualified low-income homeowners for essential repairs and necessary improvements to their homes. The program provides qualified homeowners a zero interest, deferred payment loan to make substantial repairs to their home.

2. What is the purpose of the Housing Rehab Program?

The purpose of the City's housing rehabilitation programs to assist qualified low-income homeowners within the Billings city limits make or keep their homes safe, decent and affordable. The program primarily assists elderly and/or disabled individuals on fixed incomes as well as working low-income individuals and families. The programs promote stability, livability and value for the community by upgrading homes in disrepair or that have not maintained because the homeowners do not have the resources to make the repairs.

3. How are contractors involved in the program?

The Community Development Division maintains a list of active contractors that have expressed an interest in performing work involving the City's Housing Rehabilitation Programs. Contractors on the list must have a City of Billings Business License and carry liability and worker's compensation insurance, and meet other requirements. The active contractor list is provided to homeowners procuring contractor services for their housing rehab project. Being on the list does not constitute an endorsement by the City of Billings.

4. Who determines what work needs to be done or can be done?

After an inspection by a third-party home inspector, Community Development Staff works with homeowner to identify rehabilitation items prior to the homeowners seeking quotes. Repair items vary, however, items that address health, safety, code, and substandard conditions are priority items. Work might include roofing, plumbing, electrical upgrades, foundation repairs, HVAC, siding, windows, doors, etc.

5. Where does the funding come from?

Funding for this program is made available through federal Community Development Block Grant (CDBG) funds and other federal and/or local sources. Therefore, there are certain regulations that must be followed.

6. How is payment handled?

Payment for work completed is facilitated through the Community Development Division following approval by the homeowner, inspections by the City's Building Division (if required by permit) and Community Development staff. Additionally, lead clearance must be achieved prior to payment for any lead-hazard reduction work items.

7. Who chooses the contractor to complete the work?

The homeowner selects the contractor.

8. What are the requirements for the contractor?

Contractors are required to have the following:

- City of Billings Business License
- Montana Contractors License
- Certificate of Liability Insurance
- Certificate of Workers Compensation or an Exemption from Workers Compensation
- UEI Number
- Proof of registration with the federal government's System for Award Management (SAM)
- Proof of training in the Lead, Renovation Repair and Painting Program Rule (for pre-1978 homes)

9. What is a UEI Number and how do I register with SAM?

HUD requires contractors participating in federally funded projects to have the following information:

- Unique Entity Identifier (UEI) number: 12-character alphanumeric ID assigned to an entity by SAM.gov. that is required for all businesses receiving funding from federal contracts or grants.
- The System for Award Management (SAM / www.sam.gov) is a combined combining federal procurement systems. All contractors who receive payment with federal funds from Community Development Division programs must be registered in SAM. There is no cost to register in SAM.

10. What is the Lead, Renovation Repair and Painting Program Rule and how do I get training?

All contractors performing renovation, repair and painting that disturb lead-based paint in homes, child care facilities, and schools built before 1978 must be certified and must follow specific work practices to prevent lead contamination. Contractors are required to have a certified renovator on board for each job taking place in a home or facility defined by the rule. The Montana Weatherization Training Center at MSU-Bozeman offers courses in the EPA Lead Renovation, Repair and Painting Rule. Please visit <https://www.montana.edu/extension/weatherization/> or call 406.586.0070 for course schedule and registration.

Housing Rehab Programs

Quote Requirements & Construction Standards

Rehabilitation: *A method to provide decent, safe and sanitary housing to low and moderate-income individuals, it is not a method to provide remodeling and/or renovation.*

The purpose of these standards is to establish guidelines and provide guidance to be followed in the undertaking of a housing rehabilitation project.

General Guidelines

- All work is subject to the purchase of applicable permits (building, electrical, plumbing, roofing, etc.) and permitted work completed must be approved by City of Billings Inspectors. Contractors must obtain permits and call for, and have inspections approved, before payment will be issued.
- All contractors working on a Housing Rehab Project must submit copies of the following to the Community Development office before the Construction Agreement may be executed:
 - City of Billings Business License
 - Montana Construction Contractor Registration (<http://erd.dli.mt.gov/work-comp-regulations/montana-contractor>)
 - General Liability Insurance Coverage Certificate – minimum \$250,000
 - Montana Workers Compensation Insurance Coverage or exemption
 - Unique Entity Identifier (UEI) number and proof of SAM registration, which is the federal government's System for Award Management (free at <https://sam.gov/>), AND does not show the contractor has been disbarred
- All work completed in connection with Housing Rehab Projects must be performed in a professional, workmanlike manner and in accordance with all local codes and laws, specifically the current building, electrical, mechanical, plumbing, housing and other applicable codes and ordinances.
- A licensed electrical contractor must complete all electrical repairs and must be completed under required electrical permits.
- All plumbing work must be completed by a licensed plumber and be completed under a plumbing and/or mechanical permit, if required.
- A building permit is required for the replacement of windows including infill and sash replacement. Egress window specifications must be met when a window is replaced in a bedroom or sleeping room.
- All standardized systems, such as hot water heaters and HVAC units, will be replaced with Energy Star rated systems if the units are identified for replacement by the Home Inspector.
- All contractors performing work on pre-1978 housing are required to have undergone lead safe work methods training and have a current EPA Certified Lead Renovator card, a copy of which must be provided to the Community Development Division.

Scope of Repairs and Work Specification

- Contractors will perform all work in conformance with applicable local codes and requirements whether or not covered by the specifications and drawings for the work.

- Contractors will be provided a Request for Quote packet by the homeowner and are asked to provide specific itemized quotes so items may be added or deleted based on the availability of funding.
- If during the bidding process the contractor discovers other items that should be addressed, he/she should provide a detailed list of those improvements along with their individual price quote(s). Additionally, recommendations for corrective measures to improve defective / deficient housing condition are welcomed and encouraged.
- The scope of repairs will be limited by designated / available funding.
- Repairs needed to correct basic safety, durability, mechanical, and efficiency deficiencies will take precedence over other repairs.
- All materials used during rehabilitation must be new and of good quality, unless specified within the Final Work List signed by the Contractor, Homeowner and Community Development staff.
- All quotes are final and any proposed changes must be submitted with a change order, signed and submitted by the homeowner and contractor for approval by Community Development staff.
- The construction contract is between the homeowner and the contractor. Community Development staff will facilitate the contract, clarify misunderstandings, and negotiate disputes between the homeowner and the contractor. Community Development staff will make final decisions on disputes and matters relating to the execution or interpretation of contract documents.
- After Construction Agreement & Final Work List approval, the contractor shall provide samples to the homeowner for selection for all materials (i.e., paint, flooring materials, siding, windows, roofing, etc.) and provide reasonable time to the homeowner to make selections. Contractor is encouraged to submit documentation to Community Development staff, signed by the homeowner, stating that the homeowner approves of colors and quality of materials.
- Manufacturer specifications prevail. All materials shall be installed in full accordance with the manufacturer's specifications for working conditions, installation preparation, methods, protection and testing.
- No other work will be done to the project other than the work agreed upon during the pre-construction meeting and detailed in the Construction Agreement and the attached Final Work List.
- The contractor is required to keep the premises clean and orderly during the course of the work and remove all debris at the completion of each work day.
- Prior to any payment authorization, the contractor is responsible for achieving lead clearance associated with any lead hazard reduction work. This includes cleaning to remove visible debris and dust, using a HEPA vacuum and wet cleaning as recommended in HUD guidelines and HUD-approved training courses in lead-safe work practices.
- The contractor will warranty the work performed for one year from the date of final inspection of the work. Additionally, the contractor will furnish the homeowner with the manufacturers' and suppliers' written guarantees and warranties covering materials and equipment furnished under the Construction Agreement.
- All work must conform to construction standards. The contractor's workmanship and performance is subject to acceptance by both the homeowner and Community Development staff. If a contractor fails to comply with program requirements, or fails to maintain an acceptable performance level, he/she may be disqualified from the program and disbarred from future Housing Rehab Program work.



LEAD HAZARD CONTROL

Why is lead-based paint a concern?

Common renovation activities like sanding, cutting, and demolition can create hazardous lead dust and chips by disturbing lead-based paint, which can be harmful to adults and children.

Who is most at risk?

- Children under the age of six
- Pregnant women
- Workers

Facts about lead

- **FACT:** Lead exposure can harm young children and babies even before they are born.
- **FACT:** Even children who seem healthy can have high levels of lead in their bodies.
- **FACT:** You can get lead in your body by breathing or swallowing lead dust, or by eating soil or paint chips containing lead.
- **FACT:** There are many options for reducing lead hazards.
- **FACT:** Removing lead-based paint improperly can increase the danger.

HUD's Lead Safe Housing Rule – applies to HUD-funded work

- Requires determination if lead-based paint (LBP) is present by certified LBP risk assessor (or presumption)
- Homeowner notification
- Safe work practices
- Occupant protection
- Prohibited work practices
- All lead hazards identified must be repaired by a contractor trained and certified to work with such hazards
- HUD clearance examination / testing

EPA: Renovation, Repair and Painting Rule – applies to all work disturbing paint in pre-1978 housing

To protect against this risk of lead-based paint, EPA issued a [rule requiring the use of lead-safe practices](#) and other actions aimed at preventing lead poisoning.

Beginning April 22, 2010, contractors performing renovation, repair and painting projects that disturb lead-based paint in homes, child care facilities, and schools built before 1978 **must** be certified and must follow specific work practices to prevent lead contamination.

PLEASE NOTE: There are some differences between the EPA Renovation, Repair and Painting Rule and the HUD Lead Safe Housing Rule (LSHR). A major difference is that the Lead Safe Housing Rule requires clearance examinations. **All housing receiving federal (HUD) assistance must comply with the LSHR.**

EPA: Renovation, Repair and Painting Rule training opportunities:

- ▶ **Montana State University – Weatherization Training Center**
751 Osterman Drive, Suite 101
Bozeman, MT 59715

The Montana Weatherization Training Center at MSU-Bozeman offers courses in the EPA Lead Renovation, Repair and Painting Rule. Please contact them at 406.994.6550 for course schedule and registration.

https://eu.courses.montana.edu/wconnect/ShowSchedule.awp?&Mode=GROUP&Group=MWT_C&Title=Montana+Weatherization+Training+Center

- ▶ **University of North Dakota**
UND Environmental Training Institute
4201 James Ray Drive
Grand Forks, ND 58202
701.777.0384

<http://www.epa.gov/region8/toxics/leadpnt>

- ▶ **CS Consulting**
4151 N Ten Mile Road
Casper, WY 82604
307.235.9112

<https://csriskmanagement.com/>

Contractor Registration

Contractors working in home repair programs must register with the City as a vendor, obtain a UEI number, and register with the System for Award Management (SAM).

- **Vendor Information Form & W-9 Form:** All contractors must register with the City as a vendor. Complete both the **Vendor Information Form and the W-9 Form** and return with the vendor application packet.
- **UEI Registration:** All contractors must acquire a Unique Entity Identifier (UEI). The process is free for those indicating they are registering as an assistance recipient of government contracts.
- **SAM Registration:** Contractors are required to register with the federal government's System for Award Management (SAM). The process involves creating an Individual Account and then registering as a new entity. Please refer to the **SAM Quick Start Guide** for details and then apply using the www.SAM.gov website.

Contractors who do not already have their UEI number and SAM registration are encouraged to contact the Montana APEX Accelerator at 406.869-8410. APEX Accelerator staff are the EXPERTS in navigating these systems—and their services are **FREE**. They can also answer any and all questions about getting registered with SAM. APEX Accelerator offices are located at 201 N Broadway in downtown Billings. They may also be reached by email to ptac@bigskyeda.org or through their website at <http://www.montanaapex.org>.

General information regarding obtaining a UEI number and registering in SAM can be found on **General Instructions for Registering in UEI / SAM**.

SUBJECT: UEI and SAM Technical Assistance

Thank you for your interest in working on City of Billings' housing rehab projects!

Contractors may begin responding to Requests for Quotes for City housing rehab projects at any time. However, proof of the following must be received and verified by the City before you may execute a Construction Agreement on any City project:

- Unique Entity Identifier (UEI) number (free at <https://sam.gov/>),
- SAM registration (federal government's System for Award Management (SAM) free at www.SAM.gov).

FREE assistance in obtaining your UEI number and/or SAM registration may be provided through the Montana APEX Accelerator in downtown Billings. It is highly recommended that you contact them and make an appointment. APEX Accelerator staff are our local SAM EXPERTS and they will be able to walk you through getting your UEI number and SAM registration. They will also know the answers to any questions you may have along the way.

Deanna Langman

Statewide Program Manager
Government Contracting Advisor



Personal, timely advice on contracting with the government.

An APEX Accelerator



Big Sky Economic Development
201 North Broadway | Billings, MT 59101
Phone: 406-869-8410 | Fax: 406-256-6877

Bigskyeconomicdevelopment.org
montanaptac.org An APEX Accelerator
Facebook/MontanaPTAC An APEX Accelerator

Please provide feedback about MT APEX Accelerator directly to DoD!
<https://www.apexaccelerators.us/#/feedback>



Personal, timely advice on contracting with the government.

An APEX Accelerator

POWERED BY



Homework for the System for Award Management (SAM) registration

In preparation to register your company in the System for Award Management (SAM) and complete its associated SBA profile, please contact the <http://www.montanaapex.org> for **FREE one-on-one assistance**. Don't struggle through this on your own! It is time consuming and hard to fix later. Let the experts help you so it is easier and less cumbersome.

In Billings – please contact:

Deanna Langman / 406.869.8410 / langman@bigskyeda.org, or
Tereza Brownell / 406.869.8414

Before you can begin SAM registration, you must FIRST obtain a Unique Entity Identifier (UEI) number (free at <https://sam.gov>). **Call the APEX Accelerator because we have a hotline and we can get one for you over the phone.** If you decide to get one on your own, it is EXTREMELY important to make sure that you obtain your company's UEI number under the PROPER legal name according to the Montana Secretary of State and your organizational documents (LLC, Corp, etc.). This means even down to the punctuation. The legal name for sole proprietors is your PERSONAL name; it is NOT the "Doing Business As" (aka DBA) and/or Assumed Business Name.

For SAM Registration

1. Set up a "user account" at <https://sam.gov/content/home>
2. Click on "Sign In" and follow the prompts to create a new "user account"
3. Have the username (email) and password that you set up for your "user" account on hand. If you set up your user account to send the security code via text to your cell phone, have that on hand. If you set up the user account to send the

security code to your land line, make sure someone is on hand at your business / home to answer the call and get the code.

4. Have your Tax ID (EIN number, name of the business that matches the EIN number)
 - a. Sole Proprietors **may register** under their personal name and use their Social Security Number instead of applying for an EIN. This is not recommended, but it is an option. This option will take more time.
 - b. All business structures besides Sole Proprietors must have an EIN number

Note: It is important to have the **correct name associated with your EIN number for SAM**. This information can be found on the paperwork from the IRS when the business first applied for the Tax ID.

5. Bank account information ready (routing and account number for business account). This information needs to be put into SAM so you can get paid on a federal contract.
6. Gather your three (3) year average **receipts**** and number of employees for your business **and any other affiliated businesses**. This information is input into SAM to determine size metrics.
 - a. To help you determine whether other businesses are affiliated (per the SBA and Code of Federal Regulations) with the company you are registering in SAM please visit: <http://bit.ly/CFRAffiliation>
 - b. If your company has less than 3 years of revenue, please visit: <http://bit.ly/annualreceipts> to determine how to calculate your receipts. CFR 121.104 section (c) (2) – “period of measurement”
 - c. To help you determine how to properly calculate receipts per CFR 121.104 please [click here](#) for the full text. An excerpt is below.

****§121.104 How does SBA calculate annual receipts?**

(a) *Receipts* means all revenue in whatever form received or accrued from whatever source, including from the sales of products or services, interest, dividends, rents, royalties, fees, or commissions, reduced by returns and allowances. **Generally, receipts are considered “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 (IRS) tax return forms (such as Form 1120 for corporations; Form 1120S for S corporations; Form 1065 or Form 1040 for LLCs; Form 1065 for partnerships; Form 1040, Schedule F for farms; Form 1040, Schedule C for other sole proprietorships). Receipts do not include net capital gains or losses; taxes collected for and remitted to a taxing authority if included in gross or total income, such as sales or other taxes collected from customers and excluding taxes levied on the concern or its employees; proceeds from transactions between a concern and its domestic or foreign affiliates; and amounts collected for another by a travel agent, real estate agent, advertising agent, conference management service provider, freight forwarder or customs broker. For size determination purposes, the only exclusions from receipts are those specifically provided for in this paragraph. All other items, such as subcontractor costs, reimbursements for purchases a contractor makes at a customer's request, investment income, and employee-based costs such as payroll taxes, may not be excluded from receipts. On Form 1120, add line 11 (total income) to line 2 (Cost of Goods

Sold). On form 1120-S (S-Corps) add line 6 (total income) to line 2 (Cost of Goods Sold). Average these sums over the last three years.

Go to this website and research your NAICS codes:

<https://www.census.gov/eos/www/naics/>

- d. In the search box on the left under 2017 NAICS search, enter key words based on what your company does.
- e. **For example:** Enter key words such as construction, remodeling, inspection, painting, roofing, siding, lighting, flooring, mason, sheet rock, sheet metal, carpentry, framing, landscape, maintenance, electrical, plumbing, HVAC, etc.
- f. Your business will have more than one code if you provide more than one type of product or service. **Be sure to click on the actual NAICS code hyperlink** to get more information about what is included in the code. If your company provides ONE product/service on the description list, this code is applicable to your company and should be added to the SAM registration. A few to get you started: 236118, 236115, 236116, 236117, 238160, 238320, 238330, 238140, 238210, 238220, 238130, 238350, 561730, 561790, etc.
Have these codes ready for input into SAM.

7. Research your Product Service Codes (PSC); these are service related codes for services you provide.

Visit: <http://support.outreachsystems.com/resources/tables/pscs/>

- a. To the left of the screen, identify the appropriate category or categories and click on the blue hyper-link. From there, choose codes that fit your products/services.

8. Research your Federal Supply Codes (FSC); these are product related codes for any products you sell.

Visit: <http://support.outreachsystems.com/resources/tables/pscs/>

- a. To the left of the screen, identify the appropriate category and click on the blue hyper-link. From there, choose codes that fit your products/services.

For SBA Profile (continues on next page)

9. Assemble a list of key words or short phrases that describe what your company does (limit 525 characters, includes spaces and commas), each word or short phrase must be separated by commas and words cannot be duplicated.

For example, Words such as construction, remodeling, inspection, painting, roofing, siding, lighting, flooring, mason, sheet rock, sheet metal, carpentry, framing, landscape, maintenance, electrical, plumbing, HVAC, etc.

Write a short narrative that describes what your company does.

For example: "company specializes in.....new residential construction and remodeling..... Please see more at www.....

If you have a website, you might copy and paste a narrative from that. A solid paragraph of 3-5 sentences is ideal.

10. Assemble at least 3 references for projects your company has completed.

At a minimum, you should have:

- Name of the company or agency
- First and last name of the person you worked with on each job
- Their phone number

NOTE: Ideally your references should be for any federal work you have done and should be listed first but, if you have done work at the city or county level, those references are great too and should be listed first in lieu of federal work. If no government work, then use private sector references such as your most significant commercial work.



Quick Start Guide for Registering a Non-Federal Entity

How to Register an Non-Federal Entity

How is my organization's hierarchy determined?

Dun and Bradstreet, Inc. (D&B) provides SAM.gov with the organizational structure for non-federal entities. The linkages are based on the financial & legal responsibility amongst related business units. SAM receives the D&B “family tree” for each entity and maps those linkages in SAM.gov as the organizational hierarchy.

How do I register? Login to SAM.gov

1. Navigate to [SAM.gov](https://www.sam.gov).
2. Select the “Sign In” button in the upper right corner. Select “Accept” to accept the US Government System terms.
3. After selecting “Accept,” the system will re-direct you to login.gov.
4. Enter your login.gov credentials and select “Sign In.” You may be prompted to enter a one-time security code. (You will receive this code via the authentication method you selected during account creation.)
Note: If you do not already have a Login.gov account, please create an account.
5. After signing in, the system will redirect you to your SAM.gov workspace.

Starting a New Entity Registration in SAM.gov

1. From your Workspace select the “Register Entity” button.
2. Select the “Start Registration” button at the bottom of the registration overview page.
3. Review the Before You Start information, and gather the required information needed to complete your registration.
 - a. You will need a Unique Entity identifier (UEI) from Dun and Bradstreet, referred to here as a DUNS number
 - b. Entity Information
 - i. legal business name
 - ii. physical address
 - iii. entity type
 - iv. general entity information





Quick Start Guide for Registering a Non-Federal Entity

- c. Taxpayer Identification Number (TIN) and taxpayer name
- d. Contractor and Government Entity (CAGE) code if you have one,
 - i. NATO Commercial and Government Entity (NCAGE) code if your entity is located outside of the U.S. and its territories
- e. Financial and banking information to set up Electronic Funds Transfer (EFT)

4. To register an entity to pursue federal assistance only, you need to complete the following documentation:

- a. Representations and certifications questionnaire
- b. Points of contact (mandatory and optional POCs)

5. To register an entity to pursue federal contracts, you need to prepare and submit all documentation above, as well as the following documentation:

- a. The Entering Assertions section
- b. The Electronic Data Interchange (EDI) information section
- c. The Federal Acquisition Regulation (FAR) responses questionnaire (33 questions)
- d. The Architect and Engineering Responses questionnaire
- e. The Defense FAR Supplement (DFARS) questionnaire (if applicable)
- f. The SBA supplemental page (If you are a small business)

6. Select the “Continue” button to proceed.

7. Complete and submit the online registration. If you have all the necessary information this should take approximately 45 minutes to complete. The time to complete could vary depending on the size and complexity of your registration. The steps to complete the registration follow in the next section.

Completing an Entity Registration in SAM.gov

1. Select the appropriate entity type (why you are registering) on the Purpose of Registration page, then select “Next.” Please keep in mind that your selection under entity type will determine the specifics of your entity registration process. SAM.gov will help you determine this through dropdown options on the “Entity Type” field.



Quick Start Guide for Registering a Non-Federal Entity

2. Enter the required information about your entity on the Entity Information page, including the DUNS Number, Legal Business Name, and Physical Address, then select “Next.”
3. Review the information returned on the Verify Entity Information page.
4. Once you select “Save and Continue” on the Verify Entity Information page, you must await approval for your entity administrator role or submit a notarized letter.

Entity Administrator Approval Process for entities with no organizational hierarchy

SAM requires a notarized letter to give access to new Entity Administrators. Your notarized letter needs to:

- Be on your company/organization letterhead, and be signed by your company President, CEO, or other authorized signature authority
- Contain your company/organization DUNS Number
- Contain the old CCR Primary and Alternate POCs’ name (if you know it)
- Contain the new Entity Administrator’s name, phone number, address and email address
- Provide a justification for the change

You can find complete instructions as well as templates in the Federal Service Desk (FSD.GOV) knowledge base [here](#).

The letter must be notarized, scanned, and submitted to the Federal Service Desk as described in the linked article.

NOTE: The new Entity Administrator must have an individual SAM User Account created with the e-mail address provided in the notarized letter in order for the FSD to process your request





Quick Start Guide for Registering a Non-Federal Entity

Entity Administrator Approval Process for entities with an organizational hierarchy

Once you select “Save and Continue” on the Verify UEI (DUNS) Information page, you must await approval for your entity administrator role. The system will send a message that states:

“You are trying to register an entity that is part of a larger organization. We sent your request to an administrator in that organization. They must review and approve your request before you can register this entity. You will receive an email notification from SAM.gov when the organization administrator makes their decision. Until then, you cannot proceed.”

Note: You will also receive an email with this information.

The entity registration will remain in draft status pending review by the entity administrator for the organization. You will not be able to edit or update the registration until approved by the organization administrator. If the entity administrator does not respond, then the user will be required to submit the notarized letter (as described earlier in this document) in order to gain access.

Once the organization administrator reviews your request and makes a decision, the system will send you an email notification. It will come from donotreply@sam.gov. If approved, you will be able to proceed with your registration. If rejected, the draft record will be deleted from the system.

My request for the entity administrator role is still pending. What do I do?

For non-federal entities that are part of a larger organization, you need administrative approval before completing a registration.

If you do not receive a response to your request in 3-5 business days, please contact our supporting Federal Service Desk at www.fsd.gov for FREE help.



General Instructions for Registering in DUNS / SAM

If you have not previously registered for a **UEI or SAM**, read all instructions below before you register in these systems.

IMPORTANT FACTS

1. All organization/entity information **MUST BE IDENTICAL IN BOTH UEI and SAM**.
 - You cannot enter one address for UEI and then a different address for SAM. This will cause a system error and result in significant delays.
 - You cannot have unequal spacing between words in the primary contact information fields. Be very precise when entering all data.
2. Certain internet browsers work better than others for navigating the SAM system. Click the “Help” drop down menu, then review the Frequently Asked Questions (FAQ) for guidance.
3. Obtaining a CAGE or NCAGE code is an important first step in this process. Please scroll to the “Definitions” section below for further information.
4. For SAM Customer Service, contact Federal Service Desk: [GSAFSD Service Portal Landing - GSA Federal Service Desk Service Portal](#)
5. There is no registration fee for UEI or SAM for any organization that is a (or is applying for) financial assistance recipient of the US government, including contracts, grants, and cooperative agreements. There are businesses that will assist in registration for a fee, but you are not required to make payment to any DUNS representatives for purposes of contracts, grants, or cooperative agreements.

SAM INSTRUCTIONS TO READ PRIOR TO REGISTRATION

1. Read the [Quick Start Guide for Entities Registrations](#)
2. Go to www.sam.gov
3. Click on the “Help” Tab.
4. In the “Most Popular Help Topics” click the “More FAQs” link, expand the “Entity Registration” menu, then click the “Frequently Asked Questions” link. This is where you will find more specific guidance.
5. Once you have read through the formal instructions on the SAM website, you can use the instructions below for basic reference when entering SAM organizational information.

BASIC INSTRUCTIONS FOR COMPLETING SAM ENTITY REGISTRATION

1. First, complete UEI registration for your organization. See below for UEI information.
2. Create a Personal Account and Login
3. Click "Register New Entity" under "Manage Entity" on your "My SAM" page
4. Select your Entity type
5. Select "NO" to "Do you wish to bid on contracts?"
6. Select "YES" to "Do you want to be eligible for grants and other federal assistance?"
7. Complete "Core Data"
 - Validate your UEI
 - Enter Business Information
 - Enter CAGE code if you have one. If not, one will be assigned to you after you have completed your registration.

- Enter General Information (business type, etc.)
- Financial Info (EFT)
- Proceedings detail

8. Complete "Point of Contact"
9. The entity's registration should be active in 3-5 business days (10 business days for manual validations.)

DEFINITIONS

UEI Number

Sam.gov provides a UEI Number (Unique Entity Identifier) for each physical location of your business. UEI Number assignment is FREE for all businesses required to register with the US Federal government for contracts or grants.

If your organization does not have a valid UEI number, you must request one at www.sam.gov.

- The sam.gov website has information and frequently asked questions.
- Requesting a UEI number is free of charge.

If your organization already has a UEI number, please verify that it is valid. The UEI number must be renewed on an annual basis directly through the sam.gov website.

CAGE Code in SAM

The Commercial And Government Entity (CAGE) Code is a five-character ID number used extensively within the U.S. federal government, assigned by the Department of Defense's Defense Logistics Agency (DLA). The CAGE code provides a standardized method of identifying a given facility at a specific location.

A CAGE code will be automatically assigned to you as a part of your entity's registration in SAM.

The DLA is the government agency responsible for administering CAGE codes. You should email or call the DLA Customer Interaction Center to clarify the error. Agents are available 24 hours a day, 7 days a week, including holidays. Once the error is cleared then you can go back in SAM and resubmit your registration. Toll Free: 1-877-352-2255; Commercial: 1-269-961-7766.

SWIFT Code

SWIFT code is a standard format of Bank Identifier Codes (BIC) and it is a unique identification code for a particular bank. These codes are used when transferring money between banks, particularly for international wire transfers. Banks also used the codes for exchanging other messages between them. The SWIFT code consists of 8 or 11 characters. When 8-digits code is given, it refers to the primary office.

- First 4 characters - bank code (only letters)
- Next 2 characters - ISO 3166-1 alpha-2 country code (only letters)
- Next 2 characters - location code (letters and digits) (passive participant will have "1" in the second character)
- Last 3 characters - branch code, optional ('XXX' for primary office) (letters and digits)

Currently, there are over 7,500 "live" SWIFT codes. The "live" codes are for the partners who are actively connected to the SWIFT network. On top of that, there are more than 10,000 additional codes, which are used for manual transactions. These additional codes are for the passive participants. The registrations of SWIFT

Codes are handled by Society for Worldwide Interbank Financial Telecommunication (“SWIFT”) and their headquarters is located in La Hulpe, Belgium.

NAICS

The North American Industry Classification System (NAICS) is the standard used by Federal statistical agencies in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy. **You DO NOT need a NAICS code if you are a nongovernmental organization applying for a grant.**