

## Memorandum

Date: April 20, 2015

## CDBG Policy Guidance

Policy: 14-02

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Nebraska Department of Economic Development, 301 Centennial Mall South, Lincoln NE 68509  
<http://www.neded.org>

SUBJECT: System for Award Management (SAM) and Community Development Block Grant (CDBG) projects

This Notice provides guidance on the proper procedures for grantees and staff in utilizing the System for Award Management (SAM) as it relates to CDBG applications and projects that have been funded with CDBG resources. This Notice also replaces the guidance provided with the Memorandum 13-02 titled "System for Award Management (SAM)" from June 2013.

This policy memorandum updates the Community Development Block Grant Program and becomes effective immediately unless otherwise stated. The program documents located on the Nebraska Department of Economic Development website have the most up to date policies of the CDBG program.

As a response to guidance received from the State Auditor, and the requirements of the Federal Funding Accountability and Transparency Act (FFATA) of 2006, the Department will be implementing new policies and procedures for applicants and grantees. These requirements pertain to those units of general local government that will be applying for resources beginning in 2015. This includes all CDBG applicants including: Economic Development (ED); Tourism (TD); Comprehensive Revitalization (CR); Comprehensive Investment & Stabilization (CIS); Public Works (PW); Water/Waste Water (W/WW); Planning; Downtown Revitalization (DTR); and CDBG Housing (HO).

Each applicant applying for CDBG resources in 2015 (and any subsequent year after that) will be required to follow the detailed instructions defined in Exhibit N (titled "Instructions for Exhibit N: SAM database record and clearance") that is currently located within the 2015 CDBG Application Guidelines. See also the attached excerpt from Exhibit N.

The Exhibit N Instructions require each applicant to complete the following:

- 1) Obtain a Duns and Bradstreet (DUNS) number;
- 2) Register in the System for Award Management (SAM);
- 3) Review registration status in SAM;
- 4) Print and send in the necessary documentation with each CDBG application as required by Exhibit N.

All CDBG applicants must comply with this guidance. A failure to complete and submit the required application information may result in an applicant not being eligible to receive CDBG resources. In addition to each applicant having to register and provide documentation in SAM, the Department will also review the status of any applicant that is recommended for a Notice of Approval (aka Award Letter). Prior to issuing a Notice of Approval Letter, the Department will ensure the applicant has obtained an "Active" status in SAM and that the applicant is eligible to receive CDBG resources. These tasks will be accomplished by the Department by having staff access SAM; printing out the necessary source documentation; and attaching that source documentation in each project file. Below is an example of what this source documentation would look like and be included in the project file.

Department staff will utilize the attached procedures in order to ensure that SAM documentation is properly obtained and included within project files. See below for more information.

## CDBG Grantee Instructions from Exhibit N

### Instructions for Exhibit N: SAM database record and clearance

Each applicant must obtain a Duns and Bradstreet (DUNS) number and also register within the SAM system.

The Federal Funding Accountability and Transparency Act (FFATA) of 2006 mandated specific reporting requirements for recipients of federal funds. In order to report in this system, each State award recipient must have a DUNS and a CAGE code, assigned as a result of registration in the federal SAM.

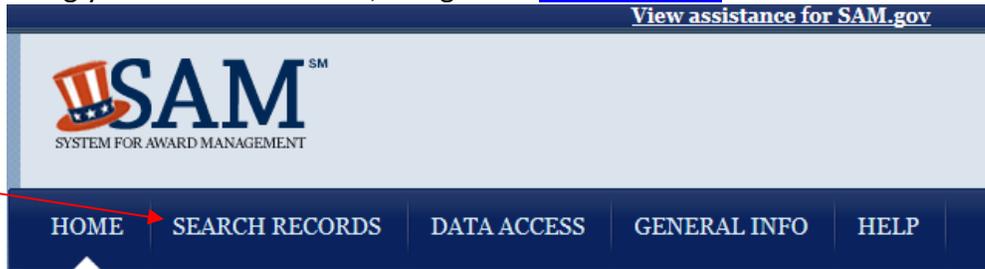
For more information on obtaining a DUNS number and registering in the System for Award Management (SAM), please review the following information at:

<https://www.sam.gov/portal/SAM/>

Once registered, each applicant must access SAM, determine that the applicant is eligible within SAM, and provide a print out of the information from SAM. Each applicant must also provide documentation that they are registered in the SAM using the DUNS number entry (refer to the check your registration status in SAM) the last illustration.

Applicant must run a query at the System for Award Management website ([www.sam.gov](http://www.sam.gov)) at the time of application and include a copy of the search record showing the DUNS Number and/or search terms and date. This information must be provided within the application and labeled as "Exhibit N".

1. Using your internet browser, navigate to [www.sam.gov](http://www.sam.gov)



2. Select "Search Records", enter the DUNS number, and click "Search".

Search Records

Looking for entity registration records or entity exclusion records in SAM?  
\* Use **Quick Search** if you know an entity's Business Name, DUNS number or CAGE code.  
\* Use **Advanced Search** to structure your search using multiple categories and criteria.

Are you a Federal government employee?  
\* Create a SAM user account with your government e-mail address and [log into SAM before searching](#) to see FOUO information and registrants who chose to opt out of the public search.

Conducting small business-focused market research?  
\* In addition to what is contained in SAM, small businesses may supplement information about themselves in the SBA's [Dynamic Small Business Search](#).

QUICK SEARCH:

Enter your specific search term  
(Example of search term includes the entity's name, etc.)

DUNS Number Search: Enter DUNS number ONLY

CAGE Code Search: Enter CAGE code ONLY

SEARCH Need Help?

ADVANCED SEARCH: Use specific criteria in multiple categories to structure your search.

ADVANCED SEARCH - ENTITY

ADVANCED SEARCH - EXCLUSION

3. Review the search results and click "Print" to print the results. **Your printed copy should include a date stamp at the bottom of the page.**

Clear Search

TOTAL RECORDS: 10

Result page 1 of 1

Save PDF Export Results Print

Sort by Modified Date Order by Descending

FILTER RESULTS Your search for "state\* of nebraska\*" returned the following results

4. If you need to register in the SAM, click Create User Account. The applicant must Check Status and submit a printout of Status, which must be an active status as the last screen indicates

View assistance for SAM.gov

USER NAME

Forgot Usern

HOME SEARCH RECORDS DATA ACCESS GENERAL INFO HELP

CREATE USER ACCOUNT

Your CCR username will not work in SAM. You will need a new SAM User Account to register or update your entity records. You will also need to create a SAM User Account if you are a government official and need to create Exclusions or search for FOUO information.

Create User Account

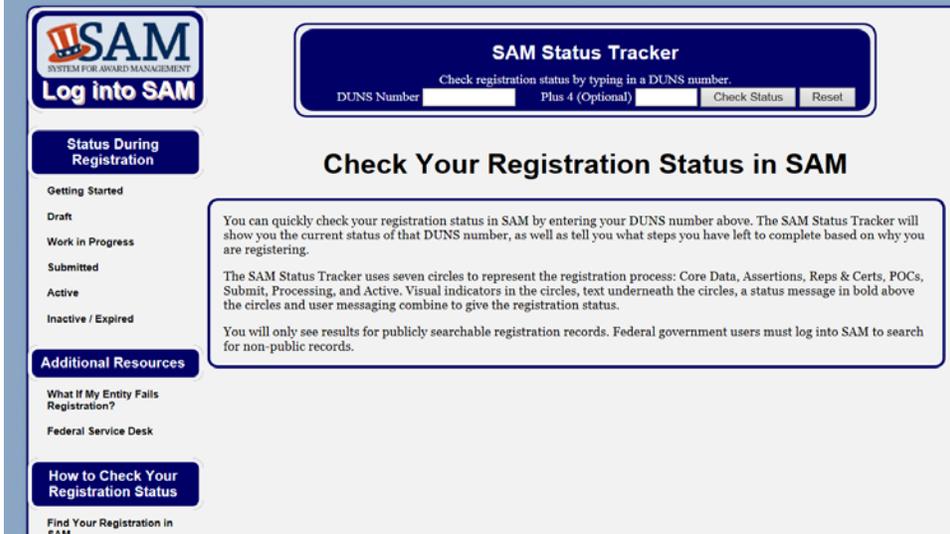
REGISTER/UPDATE ENTITY

You can register your Entity (business, individual, or government agency) to do business with the Federal Government. If you are interested in registering or updating your Entity, you must first create a user account.

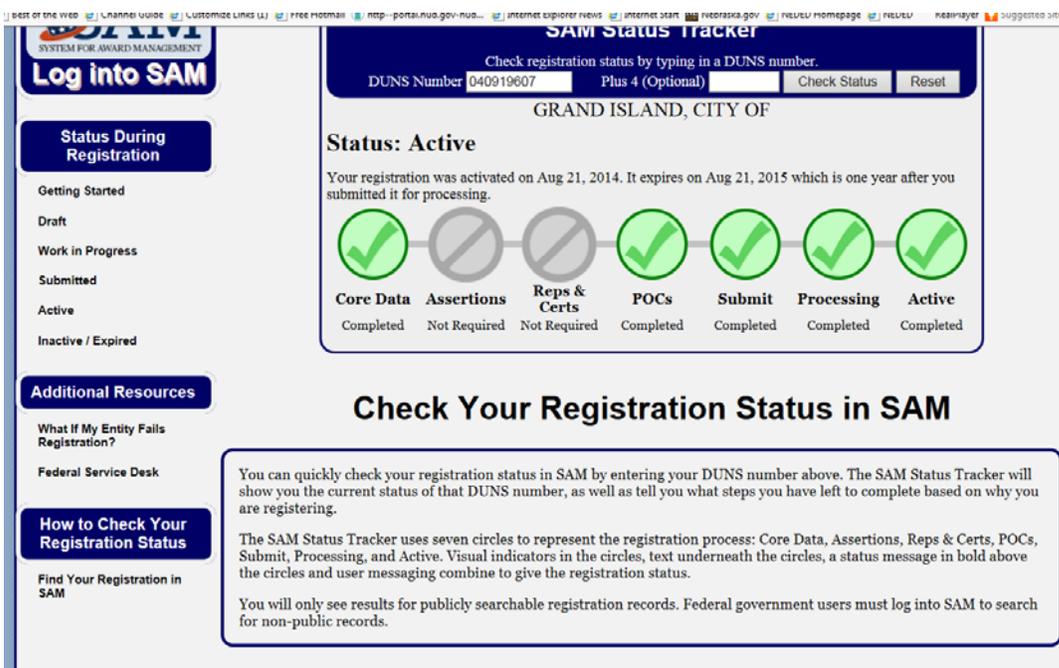
Register/Update Entity

New! Use the SAM Status Tracker to: Check Status

5. Check your registration status in the SAM by entering applicant nine digit DUNS number. If result is not active, create a user account. If result is inactive, reactive user account.



6. Submit a screen print out of the SAM status tracker that indicates active status for the applicant. The applicant must be in an active status as determined by DUNS number entry.



The final Exhibit N that the applicant must submit with their application must contain:

- 1) Proof of SAM Registration (See Item 6 above) and
- 2) Proof that the applicant is eligible in SAM (See Item 5 above)

# Department Staff Instructions for reviewing applicants in the System for Award Management (SAM)

- 1) Access SAM at: <https://www.sam.gov/portal/SAM/>

The screenshot shows the SAM.gov portal home page. At the top, there is a navigation bar with the SAM logo and the text "SYSTEM FOR AWARD MANAGEMENT". To the right of the logo, there are input fields for "USER NAME" and "PASSWORD", along with links for "Forgot Username?" and "Forgot Password?". Below the navigation bar is a menu with the following items: HOME, SEARCH RECORDS, DATA ACCESS, GENERAL INFO, and HELP. The main content area is divided into three columns. The first column is titled "CREATE USER ACCOUNT" and contains text explaining that CCR usernames do not work in SAM and that a new SAM User Account is needed. It includes a "Create User Account" button. The second column is titled "REGISTER/UPDATE ENTITY" and contains text explaining that users can register or update their entity records. It includes a "Register/Update Entity" button and a "New!" badge with a "Check Status" button. The third column is titled "SEARCH RECORDS" and contains text explaining that all entity records from CCF and exclusion records from expired, were moved to SAM. It includes a "Search Records" button. Below the main content area, there is a section titled "WHAT IS SAM?" with a brief description of the System for Award Management (SAM) as the Official U.S. Government system that consolidated the capabilities of CCR/Fe EPLS. There is no fee to register for this site. Entities may register at no cost directly from this page. User guides and webinars are available.

- 2) Select "Search Records" from the menu list

The screenshot shows the SAM.gov portal Search Records page. The "SEARCH RECORDS" menu item is highlighted with a black box. The page content includes the following sections:

- Search Records**
- Looking for entity registration records or entity exclusion records in SAM?
  - \* Use **Quick Search** if you know an entity's Business Name, DUNS number or CAGE code.
  - \* Use **Advanced Search** to structure your search using multiple categories and criteria.
- Are you a Federal government employee?
  - \* Create a SAM user account with your government e-mail address [and log into SAM before search](#) opt out of the public search.
- Conducting small business-focused market research?
  - \* In addition to what is contained in SAM, small businesses may supplement information about their products and services.
- Trying to find a contractor participating in the Disaster Response Registry?
  - \* Use the [new Disaster Response Registry Search](#) to search for contractors willing to provide other disaster or emergency relief services in the event of a national disaster.

Below the text, there is a "QUICK SEARCH:" section with a text input field labeled "Enter your specific search term" and a "SEARCH" button. Below this, there are two more search options: "DUNS Number Search:" with a text input field labeled "Enter DUNS number ONLY" and a "SEARCH" button, and "CAGE Code Search:" with a text input field labeled "Enter CAGE code ONLY" and a "SEARCH" button. On the right side of the page, there is a vertical sidebar with the text "ADV Use search" and three blue buttons.

- 3) Enter the Applicant's DUNS number in the "QUICK SEARCH" section next to the "DUNS Number Search:" criteria

The screenshot shows the SAM System for Award Management search page. At the top is the SAM logo and a navigation bar with links for HOME, SEARCH RECORDS, DATA ACCESS, GENERAL INFO, and HELP. Below the navigation bar is the "Search Records" section. It contains several informational paragraphs and a "QUICK SEARCH" section. The "QUICK SEARCH" section includes a main search input field with the placeholder "Enter your specific search term" and a sub-section for "DUNS Number Search:" with a text box containing "Enter DUNS number ONLY". Below that is a "CAGE Code Search:" section with a text box containing "Enter CAGE code ONLY". At the bottom of the search section are "SEARCH" and "Need Help?" buttons. On the right side of the search section, there is a vertical sidebar with the text "ADV Use sear" and three blue rectangular buttons.

- 4) Once the applicant's DUNS number is entered select the "Search" button

This is a close-up screenshot of the "QUICK SEARCH:" section. It features a large text input field with the placeholder "Enter your specific search term" and the instruction "(Example of search term includes the entity's name, etc.)". Below this are two smaller search sections: "DUNS Number Search:" with a text box containing the number "040919607", and "CAGE Code Search:" with a text box containing the placeholder "Enter CAGE code ONLY". At the bottom, there are two buttons: "SEARCH" and "Need Help?". The "SEARCH" button is highlighted with a black rectangular border.

- 5) Once "Search" has been selected, if an applicant has registered in SAM then a screen should open noting "Your search returned the following results..."

Your search returned the following results...

<b>Entity</b>	<b>GRAND ISLAND, CITY OF</b>	Status: <b>Active</b> +
DUNS: <b>040919607</b>	CAGE Code: <b>42QF5</b>	<a href="#">View Details</a>
Has Active Exclusion?: <b>No</b>	DoDAAC:	
Expiration Date: <b>08/21/2015</b>	Delinquent Federal Debt? <b>No</b>	
Purpose of Registration: <b>Federal Assistance Awards Only</b>		

- 6) From this screen select "View Details"

Your search returned the following results...

<b>Entity</b>	<b>GRAND ISLAND, CITY OF</b>	Status: <b>Active</b> +
DUNS: <b>040919607</b>	CAGE Code: <b>42QF5</b>	<a href="#">View Details</a>
Has Active Exclusion?: <b>No</b>	DoDAAC:	
Expiration Date: <b>08/21/2015</b>	Delinquent Federal Debt? <b>No</b>	
Purpose of Registration: <b>Federal Assistance Awards Only</b>		

- 7) Once "View Details" has been selected a new "Entity Information" screen should open that includes information on the Registration Status of the applicant; the date the applicant's registration expires; and whether or not there are any "Active Exclusion Records"

The screenshot shows the SAM system interface. At the top, there is a login section with fields for 'USER NAME' and 'PASSWORD', and links for 'Forgot Username?' and 'Forgot Password?'. Below the login section is a navigation bar with tabs: 'SEARCH RECORDS', 'DATA ACCESS', 'GENERAL INFO', and 'HELP'. The main content area displays the following information for 'GRAND ISLAND, CITY OF':

- DUNS: 040919607
- CAGE Code: 42QF5
- Status: Active
- Expiration Date: 08/21/2015
- Purpose of Registration: Federal Assistance Awards Only

Below this information is a section titled 'Entity Overview' which contains a table with the following details:

Entity Information	
Name:	GRAND ISLAND, CITY OF
Business Type:	US Local Government
POC Name:	Tonja Casey
Registration Status:	Active
Activation Date:	08/21/2014
Expiration Date:	08/21/2015

At the bottom of the screen, there is a section titled 'Exclusions' which contains a table with the following information:

Exclusions	
Active Exclusion Records?	No

- 8) Print this page and include it in the project file. Ensure that there are no Active Exclusion Records. If there are any active exclusion records, then the applicant is not eligible for CDBG funding. Note that the Header of the printed page will note "System for Award Management" and the footer will note the website access and the date that SAM was accessed. All this information must be included in the print out for the file.

USER NAME       PASSWORD    
[Forgot Username?](#)      [Forgot Password?](#)

[Create an Account](#)

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## Entity Dashboard

Entity Overview

- [Entity Record](#)
- [Core Data](#)
- [Assertions](#)
- [Reps & Certs](#)
- [POCs](#)
- [Reports](#)
- [Service Contract Report](#)
- [BioPreferred Report](#)
- [Exclusions](#)
- [Active Exclusions](#)
- [Inactive Exclusions](#)
- [Excluded Family Members](#)

GRAND ISLAND, CITY OF      100 E 1ST ST  
 DUNS: 040919607    CAGE Code: 42QF5      GRAND ISLAND, NE, 68801-6023 ,  
 Status: Active      UNITED STATES

Expiration Date: 08/21/2015  
 Purpose of Registration: Federal Assistance Awards Only

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### Entity Overview

**Entity Information**

**Name:** GRAND ISLAND, CITY OF  
**Business Type:** US Local Government  
**POC Name:** Tonja Carey  
**Registration Status:** Active  
**Activation Date:** 08/21/2014  
**Expiration Date:** 08/21/2015

**Exclusions**

Active Exclusion Records? No