



HISTORICALLY UNDERUTILIZED BUSINESS/SMALL AND DISADVANTAGED BUSINESS OFFICE

THE UNIVERSITY OF TEXAS AT AUSTIN

2200 Comal Street • Austin, Texas 78722-2596 • (512) 471-4266 • FAX (512) 471-2689

<http://www.utexas.edu/admin/purchasing/hub.html>

Dear Business Owner,

The University of Texas at Austin maintains a commitment to provide opportunities for federal contracting. Thank you for your interest in self certifying with the University as a small or woman-owned business. . Please complete the attached UT Austin Self-Certification Survey Form as well as the Payee Information form. Forward both documents to our office.

By Mail: The University of Texas at Austin
 HUB/SB Program
 2200 Comal
 Austin, TX 78722

By Fax: 512-471-2863

By Electronic Mail: tiffany.dockery@austin.utexas.edu

UT Austin Self Certification Survey Form

Number of employees is required in accordance with FAR 19.701, a small business for a subcontract under \$10,000 is one with less than 500 employees. For subcontracts over \$10,000 the size is determine by the NAICS code of the procurement

Company Name: _____
Address:: _____
City, State, Zip: _____
Contact Person: _____
Phone Number: _____
Fax Number: _____

SIZE: _____ Small Business
_____ Certified by SBA as a Small Disadvantaged Business
_____ Certified by SBA as a HUBZone Small Business
_____ Woman Owned Small Business
_____ Veteran Owned Small Business
_____ Service Disabled Veteran Owned Small Business
_____ Historically Black College/University or Minority Institution
_____ Large Business (including non-profit)
_____ Alaskan Native Corporation
_____ Indian Tribe
_____ Other: Specify _____

If you are self certifying as a Small Business, fill out the information below for the work you have been contracted to perform:

NAICS Code (for work being contracted) _____¹

If claiming to be certified by SBA as a Small Disadvantaged Business fill out the information below:

Primary NAICS Code _____

You may wish to review the definitions for the above categories in the Federal Acquisition Regulation 19.7 or 52.219-8 (www.arnet.gov/far). If you have difficulty ascertaining your size status, please refer to SBA's website at www.sba.gov/size or contact your local SBA office.

Under 15 U.S.C. 645(d), any person who misrepresents its size status shall (1) be punished by a fine, imprisonment, or both; (2) be subject to administrative remedies; and (3) be ineligible for participation in programs conducted under the authority of the Small Business Act.

Signature and Title

Date

This form is good for a one year period. It is your responsibility to notify us if your size or ownership changes during this period. After one year, you are required to re-certify with us.

¹ NAICS codes are needed for the **Summary Subcontract Report** breakout report (by 3-digit NAICS subsector) that the prime contractor is required to submit to the Government annually pursuant to the Federal Acquisition Regulation (FAR) clause at 52.219-9(j)(2)

*****INTERNAL USE ONLY*****

_____ SDB and/or HUBZone Status have been verified in the Central Contractor Registration (CCR) Dynamic Small Business Search Database as of ___/___/__. (For SDB) the expiration date is _____.

THE UNIVERSITY OF TEXAS AT AUSTIN
PAYEE INFORMATION FORM
 (Substitute W-9)

Individuals complete Part I & IV, Partnerships complete Part II & IV, Corporations or other Entities complete Part III & IV

I. INDIVIDUAL OR SOLE PROPRIETOR

Name of Individual or Owner: _____

(Individuals/sole proprietors **MUST** provide a copy of social security card or photo id)

*Doing Business As" (DBA) Name may be provided in Section IV below

A. **I-Individual** (not owning a business) *Social Security Number (SSN) _____

OR

S-Sole Proprietor of Business *Social Security Number (SSN) _____

(Sole Proprietors may also provide an EIN for tax reporting, if desired, see **Taxpayer Name and Number** on back)

Employer Identification Number (EIN) _____

B. **Citizenship Status:** I attest under penalties of perjury that I am (check one of the following):

1. A citizen or national of the United States
2. A Nonresident Alien (Complete C. below)
3. A Lawful Permanent Resident (Alien # _____)

C. **Nonresident Alien Information** - If you do not have an SSN, check here

Citizen of: _____ Number of Days in the U.S.A. this calendar year: _____
 Permanent Resident of: _____ Number of Days in the U.S.A. in the past 12 months: _____

Payments to Nonresidents are generally subject to income tax withholding. Tax treaty exemptions may be available. A copy of this form, the INS Form I-94 and the IRS Form 8233 should be sent to the International Office if the payee wishes to claim a tax treaty exemption from withholding. See the Withholding section of Nonresident Alien Individual on back for more information.

II. PARTNERSHIP

Partnership's Employer Identification Number (EIN) _____

Enter two partner's names and Social Security Numbers (SSN). If either partner is a corporation, use the corporation's EIN.

Partner's Name _____ *SSN/EIN _____

Partner's Name _____ *SSN/EIN _____

III. CORPORATION OR OTHER ENTITY

Employer Identification Number (EIN) _____

- T - Texas Corporation A - Professional Association C - Professional Corporation

If T, A, or C is checked, enter Texas Charter Number _____

O - Out of State Corporation G - Governmental entity U - State agency / University

F - Financial Institution R - Foreign Business (outside the U. S. A.) N - Other _____

IV. CERTIFICATION

NAME (for individuals) or Business Name: _____

Address : _____ Phone: _____ (Number or street)	For payees Exempt From Backup Withholding enter "Exempt" below. (See Claiming Exemption under Backup Withholding on back)
City : _____ State: _____ Zip: _____	

Foreign Address: _____ University of Texas Dept. Contact/Phone: _____
 (Enter city, province or state, postal code, and country)

Under penalties of perjury, I certify that the information provided on this form is, to the best of my knowledge, true, correct, and complete.

PAYEE SIGNATURE: _____ **DATE:** _____

(Individuals and sole proprietors must also provide copy of Social Security Card or picture id)

Warning: Failure to provide the correct name and number combination may result in payment being subject to 31% backup withholding. See **Taxpayer Name and Number** on back.

Are you a state-certified Historically Underutilized Business (HUB)? Yes No If not, do you qualify? Yes No (see back for details)

Please send completed form via Campus Mail to: Purchasing—VID Section, Mail Code D0300, via FAX to: (512) 471-5178, or via U.S. Mail to: The University of Texas at Austin, Purchasing—VID Section, 2200 Comal St., Austin, Texas 78722

**Disclosure of your Social Security Number is required. This disclosure requirement has been adopted under the Federal Privacy Act of 1974 (5) U.S.C.A. sec. 552a(note)(West 1977) and the Tax Reform Act of 1976 (42 U.S.C.A. sec. 405(c)(2)(C) (West 1992). With few exceptions, under TEX.GOV'T. CODE ANN. sec. 559.003 (1) (2) & (3) (Vernon Supp. 1992), you are entitled to request to be informed about the information that the university collects, under Sections 552.021 and 552.023 of the Government Code, you are entitled to receive and review the information, and under Section 559.004 of the Government Code, you are entitled to have the university correct information about you that is incorrect. Your Social Security Number will be used to help the Comptroller of Public Accounts administer the state's tax laws and for other purposes. See Op Tex. Att'y Gen.No. H-1255(1978).*

Purpose of Form. - An organization that is required to file an information return with the IRS must obtain your correct Taxpayer Identification Number (TIN) to report income paid to you. The TIN is either the Social Security Number (SSN) or Employer Identification Number (EIN) of the payee. Nonresident alien information must be obtained to determine the payee's tax status for compliance with IRS withholding and Security Number (SSN) or Employer Identification Number (EIN) of the payee. Nonresident alien information must be obtained to determine the payee's tax status for compliance with IRS withholding and reporting requirements. The additional information for other payee types is needed to satisfy State of Texas requirements for establishing vendor records.

Taxpayer Name and Number Specific

Instructions:

To prevent payments from being subject to backup withholding, you must provide a correct TIN. A TIN is considered incorrect if the name and TIN combination does not match or cannot be found on IRS or Social Security Administration (SSA) records.

Name. - As an **individual**, you must generally provide the name shown on your social security card. However, if you have changed your last name, for instance, due to marriage, without informing the Social Security Administration of the name change, please enter your first name, the last name shown on your social security card, and your new last name.

If you are a **sole proprietor**, you must furnish your **individual** name and your SSN. You may also enter your business name or "doing business as" name on the business name line. The SSN will be used for your vendor record with UT. If you prefer the use of your EIN for any required tax reporting, enter that number *also*. Enter your name(s) as shown on your social security card and/or as it was used to apply for your EIN on Form SS-4.

What Name and Number to Give the Requestor

Type of Payee:	Name to Use	SSN/EID
1. Individual	Individual	SSN
2. Sole Proprietor	Owner	SSN or both
3. Partnership	Partnership	EIN
4. Corporation	Corporation	EIN
5. Other Entity	Organization	EIN

Nonresident Alien Individual

For income tax purposes, "nonresident alien individual" means an individual who is neither a U.S. citizen nor resident. Generally, an alien is considered to be a US resident if: The individual was a lawful permanent resident

of the United States at any time during the calendar year, that is, the alien held an immigrant visa (a "green card"), or

- The individual was physically present in the United States on:
 - (1) at least 31 days during the calendar year, and
 - (2) 183 days or more during the current year and the 2 preceding calendar years (counting all the days of physical presence in the current year, one-third the number of days of presence in the first preceding year, and only one-sixth of the number of days in the second preceding year).

See **Pub. 519**, U.S. Tax Guide for Aliens, for more information on resident and nonresident alien status.

Visa Status. - Immigration regulations regarding employment eligibility of non-immigrants are complex. Contact The University International Office for preliminary information regarding visa types that permit payment for services.

Withholding. - Foreign persons are not generally required to have a TIN, nor are they subject to any backup withholding because they do not furnish a TIN to a payer. **However, non-employee payments to nonresident aliens are subject to 30% tax withholding unless a tax treaty with their country entitles them to either a lower rate or exemption.** To claim any available treaty benefits, the recipient must file IRS form 8233 with the payer. A SSN is not required to file this form. If the individual has a SSN, this number should be indicated on the PIF and the 8233.

Backup Withholding What is Backup Withholding? - Persons making certain payments to you after 1992 are required to withhold and pay to the IRS 31% of such payments under certain conditions. This is called "backup withholding." Payments that could be subject to backup withholding include rents, royalties, non-employee compensation, and payments for medical and health care services. Reportable payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requestor, or
2. The IRS notifies the requestor that you furnished an incorrect TIN.

Payees and Payments Exempt From Backup Withholding.

- Certain payees and payments are exempt from backup withholding and information reporting. The following is a list of payees exempt from backup withholding and for which no information reporting is required. Payments subject to reporting under Internal Revenue Code (IRC) sections 6041 and 6041A are generally exempt from backup withholding only if made to payees described in items (1) through (7), except a corporation that provides medical and health care services or bills and collects payments for such services is not exempt from backup withholding or information reporting.

- (1) A corporation.
- (2) An organization exempt from tax under section 501(a), or an IRA, or a custodial account under section 403(b)(7).
- (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 or instrumentalities.
- (5) A foreign government or any of its political subdivisions, agencies, or instrumentalities.
- (6) An international organization or any of its agencies or instrumentalities.
- (7) A foreign central bank of issue.

Claiming exemption. - If you are exempt from backup withholding, you should complete this form to avoid possible erroneous backup withholding. Enter your correct TIN in the appropriate sections, and write "EXEMPT" in the block in Section IV.

Privacy Act Notice

IRC section 6109 requires you to furnish your correct TIN to persons who must file information returns with the IRS to report certain payments. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 31% of certain taxable payments to a payee who does not furnish a TIN to a payer. Certain penalties may also apply.

Penalties Failure To Furnish TIN. - If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil Penalty for False Information With Respect to Withholding. - If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal Penalty for Falsifying Information. - Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. - If the requester discloses or uses TINs in violation of Federal law, the requester may be subject to civil and criminal penalties.

Historically Underutilized Businesses (HUB)

The State of Texas is encouraging state agencies to utilize these businesses. You or your firm qualifies if 51% owned by a person or persons who have been historically underutilized because of their identification as a member of certain groups: Black Americans, Hispanic Americans, Asian-Pacific Americans, Native Americans, or Women-any ethnicity. To obtain a certification form, contact the U.T. Purchasing Office at 471-4266.