



STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR

JAMES H. TROGDON, III
SECRETARY

North Carolina Department of Transportation
Office of Civil Rights
Small Professional Services Firm (SPSF)
Contractor Certification

Return Completed Form to:

For Official Use Only:

North Carolina Department of Transportation
Certification Section
1511 Mail Service Center
Raleigh, NC 27699-1500
Or fax to (919) 508-1818
ATTN: SPSF Certification

Vendor # _____

Small businesses, as defined by the U.S. Small Business Administration in Sector 54, are eligible for participation in the North Carolina Department of Transportation's Small Professional Services Firm (SPSF) certification program. Information submitted is subject to verification by NCDOT. False statements may result in criminal penalties, including but not limited to the above firm being barred from doing business with NCDOT.

Form with 3 rows: 1 Firm Name, 2 Business Type (checkboxes for Individual, Sole Proprietorship, etc.), 3 Social Security # or Federal Tax ID #.

The North Carolina Department of Transportation uses U.S. Small Business Administration (SBA) size standards to determine whether a business entity is small and, thus, eligible for participation in the SPSF program.

Size standards have been established for Professional, Scientific, and Technical Services under the North American Industry Classification System (NAICS). The size standards are expressed either in number of employees or annual receipts in millions of dollars, and indicates the maximum allowed for a business and its affiliates to be considered small.

Please select the NAICS code for your industry by placing a check in the box. Verify your firm’s average receipts for the three previous tax years before submitting this form. Receipts means “total income” (or in the case of a sole proprietorship, “gross income”) plus “cost of goods sold” as these terms are defined and reported on Internal Revenue Service tax returns.

NAICS Code	NAICS U.S. Industry Title Sector 54 Professional, Scientific & Technical Services	Size Standards (in millions \$)	Size Standards (in # employees)
541110	Offices of Lawyers	\$11.0	
541191	Title Abstract and Settlement Offices	\$11.0	
541199	All Other Legal Services	\$11.0	
541211	Offices of Certified Public Accountants	\$20.5	
541213	Tax Preparation Services	\$20.5	
541214	Payroll Services	\$20.5	
541219	Other Accounting Services	\$20.5	
541310	Architectural Services	\$ 7.5	
541320	Landscape Architectural Services	\$ 7.5	
541330	Engineering Services	\$15.0	
	<u>Except</u> , Military and Aerospace Equipment and Military Weapons	\$38.5	
	<u>Except</u> , Contracts and Subcontracts for Engineering Services Awarded Under the National Energy Policy Act of 1992	\$38.5	
	<u>Except</u> , Marine Engineering and Naval Architecture	\$38.5	
541340	Drafting Services	\$ 7.5	
541360	Geophysical Surveying and Mapping Services	\$15.0	

NAICS Code	NAICS U.S. Industry Title Sector 54 Professional, Scientific & Technical Services	Size Standards (in millions \$)	Size Standards (in # employees)
541380	Testing Laboratories	\$15.0	
541410	Interior Design Services	\$ 7.5	
541420	Industrial Design Services	\$ 7.5	
541430	Graphic Design Services	\$ 7.5	
541490	Other Specialized Design Services	\$27.5	
541511	Custom Computer Programming Services	\$27.5	
541512	Computer Systems Design Services	\$27.5	
541513	Computer Facilities Management Services	\$27.5	
541519	Other Computer Related Services	\$27.5	
	<u>Except</u> , Information Technology Value Added Resellers		150
541611	Administrative Management and General Management Consulting Services	\$15.0	
541612	Human Resources Consulting Services	\$15.0	
541613	Marketing Consulting Services	\$15.0	
541614	Process, Physical Distribution and Logistics Consulting Services	\$15.0	
541618	Other Management Consulting Services	\$15.0	
541620	Environmental Consulting Services	\$15.0	
541690	Other Scientific and Technical Consulting Services	\$15.0	
541711	Research and Development in Biotechnology		500
541712	Research and Development in the Physical, Engineering, and Life Sciences (except Biotechnology)		500
	Except, Aircraft		1,500
	<u>Except</u> , Space Vehicles and Guided Missiles, their Propulsion Units, their Propulsion Units Parts, and their Auxiliary Equipment and Parts		1,000
541720	Research and Development in the Social Sciences and Humanities	\$20.5	

NAICS Code	NAICS U.S. Industry Title Sector 54 Professional, Scientific & Technical Services	Size Standards (in millions \$)	Size Standards (in # employees)
541820	Public Relations Agencies	\$15.0	
541830	Media Buying Agencies	\$15.0	
541840	Media Representatives	\$15.0	
541850	Outdoor Advertising	\$15.0	
541860	Direct Mail Advertising	\$15.0	
541870	Advertising Material Distribution Services	\$15.0	
541890	Other Services Related to Advertising	\$15.0	
541910	Marketing Research and Public Opinion Polling	\$15.0	
541921	Photography Studios, Portrait	\$ 7.5	
541922	Commercial Photography	\$ 7.5	
541930	Translation and Interpretation Services	\$ 7.5	
541940	Veterinary Services	\$ 7.5	
541990	All Other Professional, Scientific and Technical Services	\$15.0	

SUBSTITUTE FORM W-9

**VENDOR REGISTRATION FORM
NORTH CAROLINA DEPARTMENT OF TRANSPORTATION**

Pursuant to Internal Revenue Service (IRS) Regulations, vendors must furnish their Taxpayer Identification Number (TIN) to the State. If this number is not provided, you may be subject to a 20% withholding on each payment. To avoid this 20% withholding and to insure that accurate tax information is reported to the Internal Revenue Service and the State, please use this form to provide the requested information exactly as it appears on file with the IRS.

**INDIVIDUAL AND SOLE PROPRIETOR: ENTER NAME AS SHOWN ON SOCIAL SECURITY CARD
CORPORATION OR PARTNERSHIP : ENTER YOUR LEGAL BUSINESS NAME**

NAME: _____

MAILING ADDRESS: STREET/PO BOX: _____

CITY, STATE, ZIP: _____

DBA / TRADE NAME (IF APPLICABLE): _____

BUSINESS DESIGNATION: INDIVIDUAL (use Social Security No.) SOLE PROPRIETER (use SS No. or Fed ID No.)
 CORPORATION (use Federal ID No.) PARTNERSHIP (use Federal ID No.)
 ESTATE/TRUST (use Federal ID no.) STATE OR LOCAL GOVT. (use Federal ID No.)
 OTHER / SPECIFY _____

SOCIAL SECURITY NO. _____ - _____ - _____ (Social Security #)

OR

FED.EMPLOYER IDENTIFICATION NO. _____ - _____ - _____ (Employer Identification #)

COMPLETE THIS SECTION IF PAYMENTS ARE MADE TO AN ADDRESS OTHER THAN THE ONE LISTED ABOVE:

REMIT TO ADDRESS: STREET / PO BOX: _____

CITY, STATE, ZIP: _____

Participation in this section is voluntary. You are not required to complete this section to become a registered vendor. The information below will in no way affect the vendor registration process and its sole purpose is to collect statistical data on those vendors doing business with NCDOT. If you choose to participate, circle the answer that best fits your firm's group definition.

What is your firm's ethnicity? (Prefer Not To Answer, African American, Native American, Caucasian American, Asian American, Hispanic American, Asian-Indian American, Other: _____)

What is your firm's gender? (Prefer Not to Answer, Male, Female) **Disabled-Owned Business?** (Prefer Not to Answer, Yes, No)

IRS Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification 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 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
3. I am a U.S. person (including a U.S. resident alien).

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding. For complete certification instructions please see IRS FORM W-9 at <http://www.irs.gov/pub/irs-pdf/fw9.pdf> .

NAME (Print or Type)

TITLE (Print or Type)

SIGNATURE

DATE

PHONE NUMBER

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