

UNCW Application for Certification as Independent Contractor
 (Effective for twelve months from approval date)
 All approvals are required prior to commencement of service

SECTION I: COMPLETED & SIGNED BY APPLICANT

1.1 Personal Information

Payee: _____ LAST 4-SSN/ITIN/EIN XXXX: _____ Email: _____
 Address: _____ Phone: _____ Fax: _____
 City/State/ZIP: _____ Country: _____
 Residency status for tax purposes (check one): U.S. Citizen _____ Resident Alien _____ Non-resident Alien _____

1.2 Relationship Disclosure

All Applicants:

1. Are you related by blood or marriage to a UNCW employee or officer? If yes, name & department: _____ Yes ___ No ___
2. Do you have a business association with a UNCW employee or officer? If yes, name & department: _____ Yes ___ No ___
3. Are you a retired State Employee? If yes, date of retirement: _____ Yes ___ No ___
4. Are you currently employed by UNCW or another State Agency? _____ If yes, agency name: _____ Yes ___ No ___
5. Within this calendar year, have you been a UNCW Undergraduate or Graduate Student Employee or Graduate Assistant? Yes ___ No ___
6. Do you work exclusively for UNCW and not offer your services to the general public as part of a trade or business? Yes ___ No ___

1.3 Control Analysis

Part A: Behavioral Control Factors:

1. Will UNCW have the right to give you instructions about when, where and how to do the job? Yes ___ No ___
2. Will you set your own hours of work and are you responsible for your own schedule? Yes ___ No ___
3. Will you decide the order or sequence of services? Yes ___ No ___

Part B: Financial Control Factors:

1. Do you have an investment in your own trade or business? Yes ___ No ___
2. Will you pay for own business/travel expenses Yes ___ No ___
3. Will you provide own tools/supplies/ materials? Yes ___ No ___

Part C: Relationship Factors:

1. Do you provide the same or similar services to the general public as part of a trade or business? Yes ___ No ___
2. Do you have your own insurance for work-related injuries? Yes ___ No ___
3. Will you maintain independent activities, i.e. maintain their own office? Yes ___ No ___

By signing below, I certify that all the information provided in this application is correct and, if applicable, that I am a vendor in good standing with both State and Federal agencies. Additionally, I understand that payments as I agree to below are subject to IRS regulations and may be taxable income, subject to backup withholding and 1099 or 1042-S federal reporting. Payments in excess of \$1,500 may be subject to 4% N.C. withholding tax. Depending on services provided to UNCW, I may be subject to a criminal background check. This is an application and should not be construed as acceptance of an offer for services.

1.4 Signature: _____ **Date:** _____

SECTION II: SERVICE DATA – COMPLETED BY UNCW DEPT. INITIATING SERVICES

2.1 Service Data

[See Policy 05.156 Procurement of Contracted Personal Services and Consultant Services](#)

UNCW Contact Coordinating the Work: _____ Dept.: _____ Phone: _____

Description of service to be provided: _____

Will the applicant have unsupervised contact with students and/or minors? Yes ___ No ___

(If “yes”, applicant must submit a **Criminal Background Check Release Form** to Human Resources. Results must be received and cleared by HR before work may begin.)

Will services to be performed in NC? Yes ___ No ___ Service/Performance Start Date: _____ End Date: _____

2.2 Payment Option – Select All that Apply (see page 2 for details)

A. SERVICE FEE	\$ _____
B. UNCW PAID LODGING	\$ _____
C. PREPAY AIRFARE	\$ _____
D. TRAVEL REIMBURSEMENTS	
• Airfare	\$ _____
• Car rental, taxi or mileage	\$ _____
• Meals	\$ _____
• Lodging	\$ _____

Comments :

Procedure for Engaging Services of an Independent Contractor

Steps to Complete PUR 1.40

1. Applicant must complete and sign Section I of the PUR 1.40 Application.
2. Originating UNCW department completes Section II.
3. If applicant will have unsupervised contact with students/minors, a Criminal Background Check Release Form must be completed by the applicant and submitted to Human Resources. The cost of the background check will be charged to initiating UNCW department. Department will notify approvers when background check is complete. The PUR 1.40 Application cannot be approved until the background check is completed.
4. The UNCW Department and the applicant agree to the fees, prepayments and/or reimbursements. The payment options must be entered in the payment option area of Section 2.2 of the PUR 1.40 Application.
5. In the payment options area of Section 2.2, enter the exact fee amount, prepaid amounts and /or estimate of travel reimbursements.

Information for the payments options area of Section 2.2:

- Payment option A - The gross service fee is processed through uShop with the PUR 1.40 Application.
 - Payment option B - UNCW department can book and direct pay lodging. Lodging is processed through uShop with the PUR 1.40 attached to the requisition.
 - Payment option C - UNCW department can book and prepay airfare via current approved travel agencies. See instructions for completing a paper Travel Authorization form at <http://www.uncw.edu/travel/nonemployees/forms.html>.
 - Payment option D - For reimbursement of travel expenses, the department completes the Independent Contractor Travel Expense Reimbursement Form with original receipts and a copy of the PUR 1.40 Application attached and submits to the Travel Office.
6. The completed PUR 1.40 form is attached to a requisition and routed through the uShop electronic approval process and a purchase order is created. Once the purchase order has been fully approved, the services may begin.
 7. Upon completion of service the uShop receipt is processed and invoice submitted to Accounts Payable. Payment is issued on the next available AP cycle.
 - IRS Form W-9 should be mailed to the Accounts Payable Department at UNCW A/P, 601 S. College Road, Wilmington, NC 28403-5903 or faxed to 910-962-7006.

Important Information

- If applicant is a Non-Resident Alien, contact the Tax Office at 22757 and provide additional information and forms for the independent contractor and include a completed and approved application.
- PUR 1.40 Application is effective for 12 months from approval date provided that the scope of the service and the need for a criminal background check have not changed within the period.
- UNCW will only pay travel reimbursements to the independent contractor and not a 3rd party, such as a faculty or staff member on behalf of the independent contractor.
- For services totaling \$10,000 or more, contact Purchasing to draft a Personal Services contract. Attach resume, biography, web link or CV. For services involving Contract and Grant funds, a PO is required and the Sponsored Programs and Research Compliance Office must also approve the PUR 1.40 Application.

Need assistance? We're here to help!

Purchasing –ext 23190
Human Resources - ext 23160

Tax Office – ext 22757
Background Checks - ext 23160

Travel/AP Office – ext 23076
Research Services – ext 23810