

**CHECKLIST FOR ETHICS FORMS, NONDISCRIMINATION CERTIFICATION AND CORPORATE RESOLUTION**

<b>Ethics Form 1 – to be executed by Contractor</b>	
	Contract is \$50,000 or more.
	Page one - Initial Certification or Annual Update must be checked.
	Page two – List Lawful Campaign Contributions in both sections – if none mark NONE or N/A.
	Contractor Name printed and signed by the same individual who executes the contract.
	Must be signed on same date as contract.
	Must be notarized
<b>Ethics Form 3 – to be executed on behalf of UConn</b>	
	Contract is \$50,000 or more
	Signed by same individual who signs contract for University
	Must be notarized
<b>Ethics Form 5 – to be executed by Contractor</b>	
	Contract is \$50,000 or more.
	Submitted with bid/ proposal or at contract signing.
	Number of Affidavits Sworn must be completed – this refers to the number of Consulting Agreement Affidavits completed (one for each consultant agreement entered into).
	Information is completed only if bidder has received advice/assistance from another consulting firm in obtaining this contract with the University. If the services of a consultant have not been utilized, then N/A should be entered. The bidder’s name should not appear here. The description of services does not refer to the contract with UConn.
	Bidder name printed and form signed by the same individual who executes the contract.
	Must be signed on same date as contract or when bid submitted.*
	Must be notarized
<b>Ethics Form 6 – to be executed by Contractor</b>	
	Contract is \$500,000 or more.
	Submitted with bid/proposal or at contract signing by contractor.
	Appropriate box must be checked.
	Must be signed and dated same date as contract or when bid submitted. *
	Signed and dated within one month of contract signing
	Contractor must provide signed forms obtained from all subcontractors when applicable
<b>Nondiscrimination Certification – to be provided by Contractor</b>	
	Signer’s name, signer’s title, name of entity and state must be completed
	Date governing body adopted resolution is prior to date contract is signed <b>but on or after June 25, 2007</b>
	Resolution language is exact and no changes have been made
	Must be signed on the date the contract is signed or later. If later, language stating “resolution has not been modified, rescinded or revoked and is, at present, in full force and effect” is present.
	Signed by an officer of the governing body of corporation or business entity
<b>Corporate Resolution – to be provided by Contractor</b>	
	Individual who is signing is not the same person who has been given power to sign and is an officer of the business entity. Individual signing contract must not sign this document. This is considered self-serving.
	If individual who is certifying is the sole officer of the business entity, the resolution must so state.
	Date the business entity adopts the resolution is before the contract is signed.
	Date the resolution is signed is the same date the contract is signed or later. If later, language stating the” resolution has not been modified, rescinded or revoked and is, at present, in full force and effect” is present.

\* If contract is signed by someone other than the person who signs the Ethics Form 5 and 6 at bid/proposal, a new Ethics Form 5 and 6 must be submitted at contract signing and signed by the individual signing the contract.