

EXHIBIT B-1
CERTIFICATION OR AFFIDAVIT REGARDING
NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS
(Conn Gen. Stat. §§ 4a-60 and 4a-60a)

CHECK ONE: ☐ Initial Certification ☐ Change of Certification ☐ 12-Month Anniversary Update
(Multi-year contracts only)

For contracts valued at less than \$50,000 for each year of the contract:

☐ I hereby represent that I am authorized to execute and deliver this representation on behalf of Contractor and that Contractor has a policy in effect that complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signed: _____ Date: _____

For contracts valued at \$50,000 or more for any year of the contract:

CHECK ONE

☐ I hereby certify the following is a true and correct copy of the resolution adopted on _____, 20____ by Contractor's governing body in accordance with all of its documents of governance and management and the laws of the _____, and further certify that such resolution has not been modified, rescinded or revoked, and is, at present, in full force and effect:

RESOLVED: That _____, hereby adopts as its policy the nondiscrimination agreements and warranties required under Connecticut General Statutes §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

In witness whereof, the undersigned has executed this certificate the day and date indicated below.

Signed: _____ Date: _____

OR

☐ I hereby certify that a prior resolution adopted by Contractor's governing body and provided to Health Information Alliance, Inc. ("HIA"), and that complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended, remains in full force and effect on the date this documentation is submitted to HIA.

Signed: _____ Date: _____

(This next section is for execution by HIA where Contractor supplies a prior resolution regarding nondiscrimination)

I, the undersigned head of HIA, or designee, certify that the attached prior resolution of Contractor complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signed: _____ Date: _____

OR

☐ I am over the age of eighteen (18) and understand and appreciate the meaning of an oath. I hereby certify under penalty of false statement that I am duly authorized to adopt company or corporate policy for Contractor and that Contractor has a policy in effect that complies with the nondiscrimination agreements and warranties of Conn. Gen. Stat. §§ 4a-60(a)(1) and 4a-60a(a)(1), as amended.

Signed: _____ Date: _____

Subscribed and sworn to before me, this _____ day of _____, 20__.

Commissioner of the Superior Court
(or Notary Public)

EXHIBIT B-2
CERTIFICATION REGARDING
OCCUPATIONAL SAFETY AND HEALTH ACT COMPLIANCE
(Conn. Gen. Stat. § 31-57b)

I hereby certify that Contractor (1) has not been cited for three or more willful or serious violations of any occupational safety and health act or of any standard, order or regulation promulgated pursuant to such act, during the three-year period preceding the date of the bid/RFP/solicitation, provided such violations were cited in accordance with the provisions of any state occupational safety and health act or the Occupational Safety and Health Act of 1970, and not abated within the time fixed by the citation and such citation has not been set aside following appeal to the appropriate agency or court having jurisdiction or (2) has not received one or more criminal convictions related to the injury or death of any employee in the three-year period preceding the date of the bid/RFP/solicitation.

Signed: _____ Date: _____

EXHIBIT B-3
GIFT AFFIDAVIT AND CERTIFICATION
(Conn. Gen. Stat. §§ 4-250 and 4-252)

For certain contracts or series or combination of contracts with a total value of more than \$50,000 in a calendar or fiscal year

CHECK ONE: ☐ Initial Certification ☐ Change of Certification ☐ 12-Month Anniversary
Update
(Multi-year contracts only)

As used in this affidavit and certification, the following terms have the meaning set forth below:

1. "Contract" means that contract between HIA and Contractor.
2. If this is an Initial Certification, "Execution Date" means the date of the contract between HIA and Contractor. If this is an Annual Update, "Execution Date" means the date this certification is signed by Contractor.
3. "Contractor" means the entity named as Contractor below.
- 4 "Applicable Public Official or State Employee" means any public official or state employee described in Conn. Gen. Stat. § 4-252(c)(1)(i) or (ii).
5. "Gift" has the same meaning given that term in Conn. Gen. Stat. § 4-250(1).
6. "Principals or Key Personnel" means and refers to those principals and key personnel of Contractor, and its or their agents, as described in Conn. Gen. Stat. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am the official authorized to execute the Contract on behalf of Contractor. I hereby certify:

(1) That no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person, firm or corporation, who participate substantially in preparing bids, proposals or negotiating state contracts, or (C) any agent of such person, firm, corporation or principals and key personnel, who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts, who participates substantially in the preparation of bid solicitations or requests for proposals for state contracts or the negotiation or award of state contracts, or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency;

(2) That no such principals and key personnel of the person, firm or corporation, or agent of such person, firm or corporation or principals and key personnel, knows of any action by the person, firm or corporation to circumvent such prohibition on gifts by providing for any other principals and key personnel, official, employee or agent of the person, firm or corporation to provide a gift to any such public official or state employee; and

(3) That the person, firm or corporation is submitting bids or proposals without fraud or collusion with any person.

Sworn as true and to the best of my knowledge and belief, subject to the penalties of false statement.

Name of Contractor: _

Signed: _____ Date: _____

Subscribed and sworn to before me, this _____ day of _____, 20__.

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Commissioner of the Superior Court
(or Notary Public)

(This next section is for execution by HIA for all contracts having a value of \$50,000 or more in a calendar or fiscal year)

CERTIFICATION:

I, the undersigned head of HIA, or designee, certify that (1) I am authorized to execute the attached contract on behalf of HIA; and (2) the selection of the Contractor named below was not the result of collusion, the giving of a gift or the promise of a gift, compensation, fraud or inappropriate influence from any person.

Name of Contractor: _

Signed: _____ Date: _____

EXHIBIT B-4
CERTIFICATION REGARDING CAMPAIGN CONTRIBUTIONS
(Conn. Gen. Stat. § 9-612)

For certain contracts valued at \$50,000 or more, or a combination or series of contracts
valued at \$100,000 or more in a calendar year

I certify that neither Contractor nor any of its principals, as defined in Conn. Gen. Stat. § 9-612(f)(1), with regard to the Contract or the Contract solicitation, has made any campaign contributions to, or, on or after January 1, 2011, knowingly solicited any contributions on behalf of, (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee, in violation of Conn. Gen. Stat. § 9-612(f)(2)(A).

I further certify that neither Contractor nor any of its principals, as defined in Conn. Gen. Stat. § 9-612(f)(1), with regard to a state contract or a state contract solicitation with or from the General Assembly, has made any campaign contributions to, or, on or after January 1, 2011, knowingly solicited any contributions on behalf of, (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of state senator or state representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee, in violation of Conn. Gen. Stat. § 9-612(f)(2)(B).

I further certify that all lawful campaign contributions that have been made on or after December 31, 2006 by Contractor or any of its principals, as defined in Conn. Gen. Stat. § 9-612(f)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

Lawful Campaign Contributions to Candidates for Statewide Public Office:

Contribution DateName of ContributorRecipientValueDescription

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Lawful Campaign Contributions to Candidates for the General Assembly:

Contribution DateName of ContributorRecipientValueDescription

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I further acknowledge receipt of SEEC Form 10, Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contributions and Solicitation Limitations attached as Exhibit 1 hereto.

Signed: _____ Date: _____

EXHIBIT B-5
AFFIDAVIT REGARDING CONSULTING AGREEMENTS
(Conn. Gen. Stat. § 4a-81)

For contracts valued at \$50,000 or more in any calendar or fiscal year

Contractor hereby swears and attests as true to the best knowledge and belief of the person signing below that no consulting agreement, as defined in Conn. Gen. Stat. § 4a-81, has been entered into in connection with the Contract.

Contractor agrees to amend this affidavit if and when any consulting agreement is entered into during the term of the Contract, as set forth in Conn. Gen. Stat. § 4a-81(b)(4).

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Signed: _____ Date: _____

Subscribed and sworn to before me, this . day of ., 20__.

Commissioner of the Superior Court
(or Notary Public)

OR

I. Contractor hereby swears and attests as true to the best knowledge and belief of the person signing below that it has entered into the following consulting agreement(s), as defined in Conn. Gen. Stat. § 4a-81:

--
Consultant's Name and Title Name of Firm (if applicable)

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Start Date End Date

Cost of Consulting Agreement

Description of Services Provided: _____

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Is the Consultant a former State employee or former public official? ☐ YES ☐ NO

If Yes: __
Name of Former State Agency Termination Date of Employment

II. Contractor agrees to amend this affidavit if and when any other consulting agreement is entered into during the term of the Contract, as set forth in Conn. Gen. Stat. § 4a-81(b)(4).

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Signed: _____ Date: _____

Subscribed and sworn to before me, this . day of ., 20__.

Commissioner of the Superior Court
(or Notary Public)