

April 23, 2015

**RFP #Y15-501-ZM
HIPAA PRIVACY AND SECURITY RISK ANALYSIS
ADDENDUM NO. 1**

To all respondents:

This Request for Proposals is being changed as follows:

- A. The opening date for this Request for Proposals is hereby changed to Tuesday, May 26, 2015, 2:00PM local time.
- B. Orange County's Scope of Work includes a summary of the HIPAA requirements that need to be addressed in the audit. Exhibit 1 highlights the three areas of HIPAA to be assessed, Security, Breach and Privacy.
- C. The Scope of Work requirements pertaining to HIPAA Security does not require a technical audit. What is required is a review of Orange County's security infrastructure, policies and procedures as they pertain to HIPAA compliancy from an audit perspective.
- D. The following are questions and answers as a result of the Questions Regarding this RFP, paragraph 15, page 9 of the Request for Proposals.
 1. Question: Our firm partners with another company, on many projects such as this one. Combined we meet the required elements of certifications, expertise, etc. for the proposals. However, if one or the other must be Primary and the primary is the only one judged on those required elements neither one of our companies meet all requirements independently. Will we be reviewed as a complete entity or will only the Primary be reviewed for meeting all required elements?

Answer: Companies may propose as joint ventures in order to aggregate the experience and qualifications of several firms, the form to accomplish this is attached hereto as Attachment "A". In all other circumstances only the experience and qualifications of the primary firm will be evaluated to meet stated requirements.

2. **Question:** Concerning Page 12, Item 5. Our initial search of the Orange County M/WBE list indicates that there are no apparent M/WBE firms that perform the specific type of work requested in the RFP and/or that are likely to meet the required certification or experience requirements (Pg 11, #1.A.), unless one of the M/WBE staffing firms could find and commit to providing qualified staff. Would it be acceptable to use staffing firm to address the M/WBE goal? If we cannot meet some or all of the M/WBE goal because there are no qualified M/WBE firms available, would we be considered non-responsive or lose evaluation points?

Answer: The proposer may use a certified minority staffing firm to meet the MWBE goals, if there is a scope of service for the firm. The proposer will not be considered non-responsive if there are no qualified MWBE firms available. However, the proposer will not receive any points in the area of MWBE utilization.

3. **Question:** How many employees in the departments we are evaluating?

Answer: Orange County's HIPAA hybrid status affects approximately 4,100 employees.

4. **Question:** Does the County currently use a GRC application program?

Answer: Unable to answer this question. The term GRC application program is unknown.

5. **Question:** Are all of the following controls through centralized management within the County? Workforce Training and Vendor/Business Associate Management

Answer: HIPAA Training is being centralized through HR via reports given to the HIPAA Privacy Officer. Business Associate Agreements are tracked through the Procurement Division.

6. **Question:** Have potential physical locations where EPHI and PHI have been identified?

Answer: Yes. The areas are specified by division and / or program in the RFP. They total approximately 200. Not all sites would be evaluated, but rather a representative sample of 20.

7. **Question:** With regarding staff security awareness training assessment, how many personnel is your intention to assess?

Answer: All staff (approximately 4,100) must undergo a basic 10-minute online training regarding HIPAA. However, the goal is to provide an in-depth one-hour training to all staff within 12 months that covers all aspects of HIPAA: Privacy, Security and HITECH.

8. **Question:** My company is a 100% women owned small business in Atlanta. We have been working with our local women's business organization chapters to complete a certification for our business. That certification isn't complete but,

even if it was, it doesn't appear that would apply on your RFP. Does the women owned business certification only apply if it is through Orange County?

Answer: Eligibility for points under the M/WBE Program requires certification as a Minority or Woman Owned Business in Orange County through the Orange County Business Development Division.

9. **Question:** In order to define the true scope of work required to properly perform these assessments we need a better understanding of the number of sites and departments that may be included. Is there information available that could help us better define things like how many locations/departments are involved with EMS Services and Health Services?

Answer: The overview under scope of services covers the selected sites to be evaluated. There are 20. We require them all to be evaluated

10. **Question:** While we are very interested in this project and believe we could do an excellent job for Orange County we are also both small businesses with limited administrative resources. Completing this RFP will require a great deal of time from our teams which is not a problem if we feel we have a chance of actually being accepted. Often, it is easy to tell those that would just not be seriously considered due to conditions such as size of the company, location of the company, etc. I understand this may not be possible, but it would be greatly appreciated if you could offer any guidance at all concerning our chances for being selected. We would love to have the job but, as you can understand, spending extensive administrative resources to create a proposal that you have no real chance of getting is not ideal either. I would appreciate your candor in this matter, if possible.

Answer: Eligibility is based on the selection criteria of the RFP. Firms will be ranked on their qualifications, experience and the merits of their proposals, in accordance with the weights indicated for each criteria of this RFP. Firms meeting the minimum requirements of the RFP are encouraged to submit proposals.

11. **Question:** Concerning, Page 21, Item 1., Overview, what are the requirements for the areas/sites (listed in the Scope of Services on page 21) to have their own HIPAA policies and procedures? For example, does each of these areas (Animal Services, Corrections, etc.) have their own HIPAA Privacy and Security policies and procedures, or are there overarching HIPAA Privacy and Security policies and procedures at the County level that they are expected to follow, or is it a combination of both?

Answer: It is a combination of both.

12. **Question:** Concerning, Page 21, Item 1., Overview, is each of the areas/sites listed required to comply with all HIPAA Privacy and Security requirements (because they maintain, handle, store, or create PHI or ePHI)?

Answer: Yes.

13. **Question:** Concerning, Page 21, Item 1., Overview, is each of the areas/sites listed physically located in the Orlando, FL area (eg: within 20 miles) or will travel outside of Orlando be required to complete the assessments?

Answer: Sites are located in Orange County, Florida. Travel outside of Orlando may be required to complete the assessments.

14. **Question:** Concerning Page 11, Item 1, Section A. Must every team member assigned to the engagement team individually meet all qualifications outlined in the Qualification of Staff section on page 11 (credentials related to privacy and security; 5 years of experience related to HIPAA; and 10 years of experience in general information security with relevant educational degrees)? Or can these requirements be met in aggregate by the team assigned to the engagement (eg: by having various key personnel assigned to the team that have the requested certifications and experience)?

Answer: Not every member of the team must have these qualifications, however the technical lead must.

15. **Question:** Are evaluation points for Location only given based on the location of the Prime contractor, or will Location points be given if sub-contractors (including any M/WBE sub-contractors) meet the Location criteria?

Answer: The location of all firms listed and the percentages of work are used to determine location scoring.

16. **Question:** Concerning Pages 22-25, #4 and Page 26, Exhibit B, Page 24, item B., describes a Comprehensive Report as a deliverable for the initial assessment, and Exhibit B requests Fee for a "Final Report" (line item 4) which appears to be for the Final Report described as Item E on page 24. Should we include fees for the Initial Assessment Report with the Fees for the Initial Assessment (line item 1), or will Exhibit B be modified to include an additional line item for the Initial Report?

Answer: The initial assessment line item shall include the cost of the initial report.

17. **Question:** Is there a target price or budget for this engagement that can be provided?

Answer: Pricing is a consideration of this award. There is not an established budget.

18. **Question:** Does the County consider Exhibit 1 to be the basis for Consultant risk assessment and reporting and/or is Exhibit 1 provided as evidence of the County's internal policy interpretation regarding compliance with HIPAA privacy and security rules?

Answer: Yes. It is the summation of the HIPAA Security, Breach and Privacy sections.

19. **Question:** Please describe further the scope requirement of assessing "selected sites" of the identified areas (Section 1, Scope). Also, in some cases, it appears that a mobile workforce is employed to perform work responsibilities. Please describe the County's intentions and requirements for determining that "selected sites" for each area represents accurate sampling for assessment purposes.

Answer: The scope requires an assessment of our enterprise consisting of twenty (20) selected sites per the scope of work overview. Each site should be evaluated for HIPAA compliancy to include at least what is outlined in Exhibit 1.

20. **Question:** Please identify and describe any previous HIPAA assessment and/or audit findings for any or all of the areas identified.

Answer: None. This would be the first HIPAA assessment.

21. **Question:** Please identify any additional internal control frameworks and/or policies and procedures used in alignment with HIPAA rules for each of the identified areas.

Answer: Orange County Information Services Enterprise Security Unit standardizes on NIST.

22. **Question:** Please identify and describe any centralized and decentralized (departmental) application systems environments used by the respective areas, particularly in regard to that which falls under HIPAA privacy and security rules.

Answer: There are numerous environments and systems that maintain EPHI. The audit should review these systems.

23. **Question:** Please identify and describe any third-party technology services/application services providers used by the respective areas and their role(s), if any, in regard to this RFP.

Answer: A technical audit is not required.

24. **Question:** Please describe further the County's expectations of Consultant responsibilities and capabilities for the Mitigation/Remediation and Technical Assistance deliverable. For example, does the County require technical advisory services and project/program management support? Does the County require technology/technical assistance with hands-on remediation activities for application systems, networks, etc?

Answer: The scope is an assessment. Recommendations will be reviewed and handled separately.

25. **Question:** Please describe the County's risk management organization, if any, whether centralized or decentralized, for the areas in scope based on RFP section 1 (Scope).

Answer: Risk management is centralized in the county. This audit is being performed by the County's Privacy And Security Officers and their respective Divisions.

26. **Question:** Please describe any document management systems in use, if any, whether centralized or decentralized, to control/publish County policies and procedures in relation to the scope of this RFP. Please describe any existing mobile workforce/employee/bring-your-own-device (BYOD) policies and practices for the areas in scope based on RFP section 1 (Scope).

Answer: These are not applicable to this Scope of Services.

27. **Question:** Please describe any existing mobility device management (MDM) systems in use, as well as any County mobile applications (such as email, custom applications, etc), for the areas in scope based on RFP section 1 (Scope).

Answer: These are not applicable to this Scope of Services.

28. **Question:** To ensure that Vendor is addressing County's specific requirements See page 21 "Scope of Services - Objectives.", we request clarification of the scope, especially in relation to one requested service, the 'security risk analysis' because OCR interchangeably uses different language (i.e. risk analysis v. risk assessment). Can you confirm that County's expectation is that the scope of the engagement should include the following services:

- Completion of a HIPAA Security Risk Analysis (45 CFR §164.308(a)(1)(ii)(A)) to assess security exposures in all information assets known to be used to create, receive, maintain or transmit ePHI, as required by the HIPAA Security Rule.
- Completion of a HIPAA Privacy Rule compliance gap assessment in relation to the Privacy regulations (45 CFR §164.500 through 45 CFR §164.534)
- Completion of a HITECH Breach Notification Rule compliance gap assessment in relation to the Breach Notification regulations (45 CFR §164.400 through 45 CFR §164.414)
- Completion of a HIPAA Security Rule Non-Technical Evaluation (a.k.a., compliance evaluation) as specified in the Security Rule (45 CFR §164.308(a)(8)).

Answer: Concerning all items bulleted, the answer is yes.

29. **Question:** Can you confirm that the Scope does not include the completion of a HIPAA Security Rule Technical Evaluation (a.k.a., compliance evaluation) as specified in the Security Rule (45 CFR §164.308(a)(8)) such as:

- Internal Penetration Testing or Vulnerability Scans
- External Penetration Testing or Vulnerability Scans
- Web Applications Security Testing
- Wireless Access Testing
- Social Engineering testing

Answer: The scope requires an audit in reference to county's compliance, not to perform the audit testing.

30. **Question:** If the Scope is to include a HIPAA Security Risk Analysis, would the County be willing and able to provide an inventory or catalog of all information assets used to create, receive, maintain or transmit ePHI, including their physical location, to develop the quotation?

Answer: No.

31. **Question:** If the Scope is to include a HIPAA Security Risk Analysis, if County does not want to provide a definitive list of assets, would County be willing to provide an estimate of number of local assets and cloud-based and their locations for pricing purposes?

Answer: No.

32. **Question:** What is the current state of Privacy, Information Security and Breach Notification Policies and Procedures (PnPs) in the County? Are they centrally-managed and consistently implemented throughout all the in scope entities? If not, can County provide an estimate of how many different sets of PnPs will be in Scope for review during the compliance gap analyses Are all relevant PnPs in

written form? Have the PnPs been implemented? Are the PnPs accessible to the appropriate Workforce Members expected to comply with them? Have Workforce Member been fully-trained on the PnPs pertinent to their job functions? Have PnPs been updated to reflect changes driven by the Omnibus Final Rule?

Answer: PNP for privacy, information security and breach notification exist.

33. **Question:** Does the Scope of this engagement require multiple, separate risk analysis and gap assessments and discrete report deliverables for each of County's HIPAA-Covered departments listed on page 21 "Scope of Services - Overview?" OR does County wish all work to be completed and reports deliverables prepared at an enterprise level?

Answer: Both.

34. **Question:** How many physical sites/locations are in scope? Please list address details for (at a minimum) data centers and all other locations Vendor will visit to conduct interviews with information asset and/or process owners.

Answer: 20 Sites, as listed in the scope of services.

35. **Question:** To allow Vendor to better estimate travel costs, does County prefer the 'Second Privacy & Security Risk Assessment' be performed onsite or offsite? See page 25 – "Scope of Services – Key Deliverables?"

Answer: Onsite.

36. **Question:** What level of personnel resource will the County assign/apply to the project?

Answer: Multi-level personnel will be participating on this project, technical, business and management.

37. **Question:** Will the County create and assign one cross-functional team to this project, or would you anticipate having unique teams for different department/location?

Answer: The County will have one team that will co-ordinate with all Departments and Divisions.

38. **Question:** Does the County have a single individual designated to serve as Security Officer for the enterprise?

Answer: Yes.

39. **Question:** Has the County previously completed a HIPAA Security Risk Analysis required at 45 CFR §164.308(a)(1)(ii)(A)?

Answer: No.

40. **Question:** Has the County previously completed a HIPAA Security Evaluation required at 45 CFR §164.308(a)(8)?

Answer: No.

41. **Question:** Has the County previous completed a HIPAA Privacy Evaluation?

Answer: No.

42. **Question:** Has the County previously adopted a privacy and security framework (e.g., NIST, ISO, other)?

Answer: NIST

43. **Question:** Does the County have and use 'Vulnerability Scan Tools?' Or has the County recently performed such testing? If so, are the 'Vulnerability Scan Tools' test results available to the Vendor for this engagement?

Answer: Yes, Orange County has an extensive security program that includes vulnerability testing. This data will not be available to the vendor.

44. **Question:** Does the County have and use 'Penetration Test Tools?' Or has the County recently performed such testing? If so, are the 'Penetration Tests' results available to the Vendor for this engagement?

Answer: Yes, Orange County performs internal and external penetration testing. This data will not be available to the vendor.

45. **Question:** Has County conducted a Business Impact Analysis (BIA)?

Answer: Yes.

46. **Question:** Are all of the following controls through centralized management within the County? Change management processes, Data back-up, Business continuity and incident response processes

Answer: Yes.

47. **Question:** Would Vendors that are not local businesses automatically be at a disadvantage in this RFP process?

Answer: Location is scored in accordance with the weight specified in the selection criteria.

48. **Question:** With regards to the government projects and references that County is requesting from Vendor, will County accept references that exemplify Vendor's ability to work with large, complex environments that may not be government in nature?

Answer: In accordance with the RFP, the County requires at least five (5) references, with a minimum of two (2) from governmental entity experience

49. **Question:** Will County accept quasi-government customers as references (ie, Medicare/Medicaid-funded health plans, mental/behavioral health cooperatives, universities)

Answer: In accordance with the RFP, the County requires at least five (5) references, with a minimum of two (2) from governmental entity experience

50. **Question:** Is there any advantage or disadvantage to a Vendor's utilization and inclusion of the cost of a software tool to complete the project and provide ongoing management of County's HIPAA compliance program?

Answer: Pricing is a consideration of this award. Vendors shall adhere to the fee proposal requirements and format.

51. **Question:** Will there be an opportunity at any point in the process to present our proposal either in person, or virtually?

Answer: The County reserves the right to request clarification of information submitted and to request additional information of one or more proposers.

52. **Question:** Is there a budget established for this work that County willing to share? If not, is there an amount that would disqualify a bidder?

Answer: Pricing is a consideration of this award. There is not an established budget.

53. **Question:** Must Vendor sign up as an “active Orange County vendor” prior to the RFP Response?

Answer: No.

54. **Question:** Is Orange County considered a Covered Entity or a Hybrid Covered Entity?

Answer: Hybrid covered entity

55. **Question:** How many servers do you have?

Answer: Approximately 800+

56. **Question:** How many employees are in the IT department?

Answer: Approximately 300+

57. **Question:** What are the geographical distances from the sites to be visited for HIPAA compliance to the data center?

Answer: Within 20 Miles.

58. **Question:** Is Orange County IT a centralized or de-centralized IT organizational structure?

Answer: Centralized.

59. **Question:** Is there a previous Information Security Risk Assessment including HIPAA/HITECH available for review?

Answer: No.

60. **Question:** Has the Orange County identified the departments that store, use, maintain and transmit EPHI and PHI?

Answer: Yes. This information can be found in the scope of services, Overview.

61. **Question:** Will an inventory of network attached devices (i.e., manufacture, model/series, OS, servers, routers, switches etc..) be provided to vendors prior to final RFP submission date

Answer: No.

62. **Question:** What is the nature of these departments? For example, HR, IT, etc.

Answer: Yes. This information can be found in the scope of services, Overview.

63. **Question:** Are all the locations within the County?

Answer: Yes.

64. **Question:** Do you have an estimated number of systems and applications which create, receive, process or transmit EPHI?

Answer: No.

65. **Question:** Is there a unified set of Information Security policies and procedures, including physical security policies and procedures, which are implemented across the County's departments?

Answer: Yes, in reference to information security. Not HIPAA.

66. **Question:** Is it expected that vendor deliverables match or are comparable to prior year risk assessments performed at/or by Orange County?

Answer: This is the first external HIPAA assessment.

67. **Question:** Will this be consolidated to a single view of compliance across the County, or are separate risk assessment reports expected by department or division?

Answer: Single view compliance with recommendations for each covered entity.

68. **Question:** What are the main locations? What are the expectations regarding specific site visits?

Answer: This information can be found in the scope of services, Overview.

69. **Question:** Will there be a single project manager or point of contact for all departments/divisions to provide requested documentation and assist with interview scheduling?

Answer: There will be a Project Manager for the business side and one for the technical side.

70. **Question:** Is vendor/subcontractor management centrally managed?

Answer: This project will be centrally managed

71. **Question:** Does a standardized process for receiving and investigating reports of unauthorized disclosures, and reporting breaches when necessary, exist? Do these processes vary by department/division, or are they centralized?

Answer: Centralized process.

72. **Question:** Could you provide us with a network diagram of all systems, servers and locations that are within the scope of technical testing?

Answer: Yes.

73. **Question:** Is testing internally or externally based and/or both?

Answer: Testing not required.

74. **Question:** How many subnets or IP addresses need to be tested

Answer: Testing not required.

75. **Question:** How many domain names are registered to your organization?

Answer: Numerous, this audit covers only one.

76. **Question:** Is web application testing included? If yes, how many?

Answer: No.

77. **Question:** Is database testing included? If yes, how many?

Answer: No.

78. **Question:** How many databases and what type of databases does your organization use? (Examples – Oracle, Microsoft SQL, IBM DB2, MySQL)

Answer: No database testing required.

79. **Question:** Are there any restrictions to using offshore resources?

Answer: Yes.

80. **Question:** Does your organization have any dedicated connections to other organization's networks (vendors, business partners)?

Answer: Yes.

81. **Question:** Is wireless network in scope? If yes, how many locations?

Answer: No.

82. **Question:** Does your organization use site-to-site Virtual Private Network (VPN) tunnels?

Answer: Yes.

83. **Question:** What resources will the County dedicate to scheduling, identifying interview targets, collecting and producing documentation of system configurations, access lists, system logs and other system data?

Answer: The technical team will handle these items.

84. **Question:** What is the project schedule for the scope of work requested. Is it critical that the project be completed within this time period? If not, which of the project's components must be completed within that timeframe, and which components may be completed over an extended period?

Answer: The timetable is in the Scope of Services and is critical that it is completed as scheduled.

85. **Question:** In conducting the assessment what are the preferred security frameworks/ standards your organization utilizes?

Answer: NIST

86. **Question:** How many, what operating systems are in use, and where are they located (off-site, etc)?

Answer: Numerous. Offsite & onsite.

87. **Question:** Is there a standardized “county policy” utilized throughout the organization? Are you also seeking a staff training review? If so, do your off-site locations involved in this RFP have unique contingency plans/emergency plans, or are they the same (excluding geographic specific details)?

Answer: There is a County policy utilized. No training review, recommendation on training is required

88. **Question:** With regards to the assessment of network device configurations, is the focus to look at process platforms deployed and maintain or to look at each individual configuration specifically?

Answer: Unable to answer. Question not clear

89. **Question:** What is the total quantity of IP based devices per site and total for the organization?

Answer: Testing not required.

90. **Question:** Are wireless systems part of the assessment? If so, are they IP addressable? Are they employed on a Single or Multiple System Network? Please describe in specificity the types, quantity of devices utilized and their “site” locations. If these locations are FOUO classified, please provide a focal point by address and/or approximate travel miles to location(s).

Answer: No.

91. **Question:** Does the assessment include mobile devices? If so, how many? Are they IP addressable? Are they employed on a single or multiple System Network? If these locations are FOUO classified, please provide a focal point by address and/or approximate travel miles to location(s).

Answer: No.

92. **Question:** What are the total number of scans you would require conducted for both external and internal?

Answer: Testing not required.

93. **Question:** Do you desire a representative scan or 100% of all devices?

Answer: Testing not required

94. **Question:** Do you currently utilize service agreements to initiate post-forensic notifications?

Answer: No

95. **Question:** Are there any pre-existing arrangements, contracts, agreements for vendors, suppliers, procurement dealings that the successful bidder should be aware of for budgeting and planning purposes?

Answer: No.

96. **Question:** Can the successful bidder add departments or functional groups to the scope of the vulnerability assessment, depending on the needs determined by the initial survey?

Answer: No.

97. **Question:** Are project assessment timelines determined by the vendor or successful bidder or determined by mutual agreement?

Answer: The proposer shall submit a timeline in accordance with the schedule of deliverables.

98. **Question:** Are all security, infrastructure, and facilities departments of the County going to be available to the successful bidder for assistance with the assessment?

Answer: Yes.

99. **Question:** What is your general comfort level with obvious/active physical security measures?

Answer: Good.

100. **Question:** Is there any coordination or sharing of systems and information between other facilities or entities?

Answer: Yes.

101. **Question:** Is the audit being conducted for a specific compliance component?

Answer: HIPAA – HITECH

102. **Question:** With respect to the technical testing, can Orange County provide a range of addresses to scan? (ie. External – 5 or less, 6-10, 10-20, over 20, Internal 500 or less, 500-1000, 1000-2000, 2000-3000, 3000-5000, over 5000)?

Answer: Testing not required.

103. **Question:** With respect to the risk assessment, would Orange County be willing and able to provide an information asset list of all information assets used to access, create, receive, maintain or transmit EPHI, or other information assets, to develop the quotation?

Answer: No.

104. **Question:** What level of personnel resource will the organization assign/apply to the project?

Answer: There will be a technical team and a business team.

105. **Question:** Will the organization create and assign a cross-functional team to this project?

Answer: Yes.

106. **Question:** Does the organization have an individual designated to serve as Privacy Officer? Security Officer?

Answer: Yes to both.

107. **Question:** Is it acceptable to add Orange County as additional insured to the endorsements that Orange County are requesting once we are awarded the contract?

Answer: Yes.

108. **Question:** What would be the number of selected sites that will need to be evaluated?

Answer: This information can be found in the scope of services, Overview.

109. **Question:** What is the approximate number of workstations in your organization?

Answer: Approximately 6000.

110. **Question:** Is your internal network infrastructure segmented (e.g., firewalls or other access controls devices manage access to different part of the network)?

Answer: Yes, our internal network infrastructure is segmented. We have numerous devices that manage access to different areas.

111. **Question:** Have you conducted an information security assessment or audit of your environment within the past twelve months? If yes, please describe.

Answer: Orange County information systems undergo numerous audits throughout the year. These cover both portions, and our entire environment. Audits are performed annually, quarterly, and monthly. Audits are performed by outside entities as well as our internal security groups. They range from financial systems compliance to PCI systems compliance.

112. **Question:** Would you like technical testing included? If Yes to technical testing, please let us know the scope?

Answer: No.

JOINT VENTURE APPLICATION QUESTIONNAIRE

1. Name of Joint Venture (JV) and Address (Street Address/City/State/Zip – Post Office Box not acceptable):	2. Name of person to contact:
	3. Business Telephone Number (List only one): ()
4. Mailing Address if different from Item 1 (Street Address/City/State/Zip):	5. Date Joint Venture Started:

6. Identify the firms which comprise the Joint Venture: DBE/MBE/WBE

A. Name: _____

B. Name: _____

Contractor's License Number (s):

Contractor's License Number (s):

Business Address (location and telephone number):

Business Address (location and telephone number):

() _____

() _____

Certified as DBE/MBE/WBE:
___Yes ___No

Certified as DBE/MBE/WBE:
___Yes ___No

Percentage Owned in JV: _____%

Percentage Owned in JV: _____%

Share of Profit in JV: _____%

Share of Profit in JV: _____%

Share of Liability of JV: _____%

Share of Liability of JV: _____%

Identify all section of Joint Venture Agreement affecting the distribution of profit and loss:

Identify all section of Joint Venture Agreement affecting the distribution of profit and loss:

7. Nature of Joint Venture:

8. List the Joint Venture's contractor's licenses, PUC Permits, or any other pertinent license or permit:

Name of License	Name of License Qualifying Individual	License Number	Date Last Renewed
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9. A. Identify equipment being provided by each firm:

B. Identify equipment to be purchased or leased by the Joint Venture:

10. Control Of And Participation In This Contract: Identify by name, title, ethnicity, gender, and firm those individuals who are responsible for the following:

A. Financial decisions (accounting and check signing authority):

Name	Title
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Ethnicity	Gender	Firm
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B. Payroll:

Name	Title
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Ethnicity	Gender	Firm
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C. Mangement Decisions, such as:

1. Estimating:

Name		Title
Ethnicity	Gender	Firm

2. Marketing/Sales:

Name		Title
Ethnicity	Gender	Firm

3. Field Operations:

Name		Title
Ethnicity	Gender	Firm

a. Hiring/Firing of Management Personnel:

Name		Title
Ethnicity	Gender	Firm

b. Supervision of Field Operations:

Name		Title
Ethnicity	Gender	Firm

4. Purchasing of Major Equipment/Supplies Identified in Item 9b:

Name		Title
Ethnicity	Gender	Firm

11. Trade Manager

Name		Title
Ethnicity	Gender	Firm

12. Assistant Trade Manager:

Name		Title
Ethnicity	Gender	Firm

13. Bonding:

A. Identify the current bonding company and bonding limit for each partner:

Bonding Company and Broker			
Name		Name	
Address		Address	
Highest Bond Obtained			
Amount	Date	Amount	Date

B. Provide bonding information for this Joint Venture contract:

1. Bonding Company:

First Partner		Second Partner	
Name		Name	
Address		Address	

2. Bond amount provided by each Joint Venture Partner:

Amount	Date	Amount	Date
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3. Individual guarantors, if any:

14. List all sources and amounts of loans, borrowing capacity, and other sources of capital of the Joint Venture:

Source	Amount
Source	Amount
Source	Amount
Source	Amount
Source	Amount

15. List the scope of work performed by each partner and the % of work this may constitute:

_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%

16. Name, Address, Telephone Number of Attorney(s)

() _____

() _____

17. Name, Address, Telephone Number of Attorney(s)

() _____

() _____

YOU MAY ATTACH ADDITIONAL SHEETS IF NEEDED.

For a Joint Venture:

1. Proof of capital contribution by each firm
2. Copy of the signed Joint Venture document

The undersigning swears that the foregoing statements are true and correct and include all material information necessary to identify and explain the operations of _____ as well as the ownership thereof. Further, the undersigned agrees to provide through the prime contractor or, if no prime contractor, directly to the grantee current, complete and accurate information regarding actual work performed on the projects, the payment therefore and any proposed changes, if any, of the foregoing arrangements and to permit the audit and examination of books, records, and files of the named firm.

Furthermore, I understand that I may not:

- (a) Fraudulently obtain, retain, attempt to obtain nor aid another in fraudulently obtaining or retaining or attempting to obtain minority business enterprise certification;
- (b) Willfully make a false statement, whether by affidavit, report or other representative to a County official or employee for the purpose of influencing the certification or denial or certification of any entity as a minority/women—owned business enterprise; or,
- (c) Willfully obstruct, impede or attempt to obstruct or impede any County official or employee who is investigating the qualifications of a business entity, which has requested certification as a minority/women-owned business enterprise.
- (d) Any material misrepresentation will be grounds for initiating action under Federal or State laws concerning false statements.

SIGNATURE: _____ DATE: _____

(PRINT NAME)

(PRINT TITLE)

CORPORATE SEAL (Where Appropriate)

STATE OF _____ COUNTY OF _____

DATE: _____

On this _____ day of _____, _____, before me appeared _____ to me personally known, who being duly sworn, did execute the foregoing affidavit, and did state that he/she was properly authorized by (name of firm) _____ to execute the affidavit and did so as a free act and deed.

(SEAL)

Notary Public: _____

My Commission Expires: _____