



PROCUREMENT HANDBOOK

with

ENTERPRISE PROCESS GUIDES

Department of Water Resources
Procurement Handbook with Enterprise Process Guides

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**Department of Water Resource
Enterprise Process Guide
Purchasing 1: CAL-Card Purchasing
Revised: May 18, 2010**

<p>Policy: The Department of Water Resources sponsors the CAL-Card (VISA) program to allow designated employees to make specific, business-related purchases of goods and services (less than \$5,000) using procurement cards. To be eligible for a procurement card a person must be a permanent employee, whose job responsibilities must require them to make frequent business-related purchases that cannot be reasonably accomplished by the administrative staff that support DWR's division/units. Any procurement request greater than \$5,000, or those that have special purchasing restrictions, must be ordered through departmental purchasing groups on a purchase order or utilize the service contracting process.</p>	
Reference:	<ul style="list-style-type: none"> • Executive Order No. W-73-9 • SAM 3500 - Commodities Procurements • SAM 1200 - Services Procurements • State Contracting Manual, Volume 2 (Non-IT Goods) • DAM 8370.1 - CAL-Card Purchases • DAM 8380.4 (CAL-Card Program) • Purchasing Services • DWR CAL-Card Handbook
Responsibility:	<ul style="list-style-type: none"> • Cardholder • Purchasing Coordinator/Requisitioner • Approver/Supervisor • Purchasing Services • Buyer • CAL-Card Administrator • Division of Fiscal Services
Forms	<ul style="list-style-type: none"> •
<p>General Information: The CAL-Card Program offers credit card services through a Master Service Agreement with a bankcard contractor. This program is designed to consolidate invoices for low value purchases, reduce the need for cash advances and petty cash transactions, facilitate discounts on purchases with prompt payment, and provide lower processing costs to suppliers.</p> <p>CAL-Cards are regulated by spend limits that are set up at the time of the application. Each card holder shall review charge card limits as the limits are different for each charge card holder. Approved applicants must take a mandatory training class before card is issued.</p> <p>Cardholders and Approvers are responsible for ensuring compliance with all State and departmental procurement and contracting rules, guidelines, and procedures. Contracting rules, guidelines, and procedures include competitive bidding requirements, purchasing from mandatory Leveraged Agreement (LPA) sources, attaining prior approval of restricted transactions, and reporting (i.e., Small Business, DVBE, recycled content products, etc.) and completion of mandatory forms, as required.</p> <p>Disciplinary action may be taken for misuse of the CAL-Card. The CAL-Card may not be used for travel and entertainment purposes, but rather is intended for small dollar purchases of goods and</p>	

services. Use of the CAL-Card to split purchases to circumvent the State's competitive bidding limit (\$5,000) or a cardholders' Single Transaction Limit is prohibited.

Agency Program Administrators, Cardholders and Approvers can access CAL-Card information using U.S. Bank's **Access Online** program management tool, a password protected, secure Internet website. Cardholders must register online, Approvers logins are set up by Purchasing Services Office.

Note: For information on obtaining a CAL-Card, click [here](#) to view the Purchasing Services' web site on CAL-Card.

Procedures:

	Action	Responsible Party	Procedure
1	Activates CAL-Card and registers card on AccessOnline	Cardholder	The cardholder receives CAL-Card and using instructions provided by the CAL-Card Program Administrator activates the card and registers on AccessOnline. This is mandatory for all Cardholders. Welcome to Access Online
2	Purchase goods or services using CAL-Card	Cardholder	The Cardholder may use the CAL-Card to purchase goods or non-recurring services in person, by telephone, through mail order, or over the Internet. The Cardholder may place orders by telephone and have another employee pick up the order if the transaction is complete and no signature is required. Only the Cardholder is authorized to sign the charge slip. CAL-Cards can be used for purchasing goods or services under state contracts if the purchasing guidelines and the state contract allow for acquisition of the items using CAL-Card. Note: If purchases are made for the purpose of providing meals to DWR employees and non-DWR emergency workers during a declared Flood/Non-Flood Emergency, please see EPG Purchasing 2: CAL-Card Purchases during a Declared Flood/Non-Flood Emergency .
3	Record transaction	Cardholder	After every CAL-Card transaction, the Cardholder must update the Monthly CAL-Card Log (DWR 9315) and retain the sales receipt to include the new transaction. Sales receipts from the vendor must be itemized and indicate payment was made by credit card. Monthly CAL-Card Logs reflect statement billing cycle dates from the 23 rd of one month through the 22 nd of the following month. On or after the 23 rd of each month, the Cardholder starts a new log when new activity occurs. Note: Click here for instructions for completing

			the Monthly CAL-Card Log (DWR 9315).
4	Submit copies of sales receipts, invoices, and/or other supporting documents	Cardholder	<p>After each CAL-Card transaction, the Cardholder must submit a copy of the sales receipt, invoice, and/or other supporting documents to their Purchasing Coordinator/Requisitioner for entry into SAP. The original receipts, invoices, justification for each purchase, and other supporting documents must be included in the Monthly CAL-Card Package.</p> <p>Note: Appropriate cost object information for each line item should be provided to the Approver/Supervisor at this time.</p>
5	Create new SAP Purchase Requisition	Purchasing Coordinator/Requisitioner	<p>SAP Transaction Code <u>ME51N</u> – Follow these steps to access SAP Work Instructions (<u>WI</u>) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index/htm).</p> <p>For the first CAL-Card transaction of a billing cycle, the Purchasing Coordinator/Requisitioner creates a new requisition in SAP for the CAL-Card vendor, and enters individual transaction and billing information. This authorizes the commitment of funds. Special consideration should be given to the following when creating a new CAL-Card requisition:</p> <ul style="list-style-type: none"> • Appropriate Document type - - "CC". • Requisition number (issued by SAP upon entry of information into the requisition) should be written on the Statement of Account. The Buyer can locate the requisition using the number and create a purchase order. • The Cardholder's name is entered in the Account Assignment screen's Recipient field. • Deactivate both the Goods Receipt and GR Non-value indicators and activate the Inv. Receipt indicator in the Valuation tab of the requisition. (Refer to "Create a Purchase Requisition"; Transaction Code ME51N for more information on this process.) • Enter vendor number in DES, VENDOR field if available.

			<p>Typically, each CAL-Card purchase is entered as a separate line item and must include the Account Assignment (Cost Object) information.</p> <p>For more detail, click here to view Purchasing Services' web site</p> <p>Note: A new SAP requisition must be created following the first CAL-Card transaction occurring in each billing cycle.</p>
6	Enter individual transaction along with billing information on an existing SAP requisition	Purchasing Coordinator/Requisitioner	<p>SAP Transaction Code <u>ME52N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index/htm).</p> <p>Provided monthly packages have not been submitted to the Purchasing Services Office, an Approver/Supervisor can pull up a requisition using the assigned requisition number and make necessary amendments or changes to an existing requisition; this authorizes the commitment of funds. A need for change may result from additional CAL-Card purchases made during the billing cycle.</p> <p>For more detail, click here to view Purchasing Services' web site.</p>
7	Managing Account Summary	Cardholder	<p>At the end of the billing cycle (22nd day of the month), the bankcard contractor sends out the Statement of Account or the cardholder has the option to print the statement via. AccessOnline https://access.usbank.com</p> <p>Upon receipt of the Statement of Account the Cardholder reviews each transaction listed on the Monthly CAL-Card Log to reconcile with the Statement of Account. Upon reconciliation of the documents, the Cardholder prepares a Monthly CAL-Card Package that consists of (1) Statement of Account; (2) Monthly CAL-Card Log; and (3) sales receipts, invoices, justification and other supporting documentation.</p>
8	(Optional) Verify information on the Statement of	Approver/Supervisor	<p>SAP Transaction Code <u>ME53N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at</p>

	Account to the SAP Requisition		<p>http://sapwebhelp.water.ca.gov/nav/index/htm).</p> <p>The Approver/Supervisor can display the SAP Requisition and verify the information against the Statement of Account.</p>
9	Approve monthly CAL-Card Package	Approver/Supervisor	<p>The Approver reviews the Monthly CAL-Card Package verifying all transactions are appropriate and not on the prohibited uses list. Upon review and approval, the Approver will sign and print their name on the Statement of Account</p> <p>Note: If the package being reviewed is the CAL-Card Usage during Flood/Non-Flood Emergencies packet, please see EPG Purchasing 2: CAL-Card Purchases during a Declared Flood/Non-Flood Emergency for instruction.</p>
10	Release requisition	Approver/Supervisor	<p>SAP Transaction Code ME54N – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index/htm).</p> <p>The Approver/Supervisor calls up the requisition in SAP and releases the appropriate line item(s) on the requisition so that a Purchase Order (STD. 65) can be created on these items.</p>
11	Distribute monthly CAL-Card Package	Approver/Supervisor (Field Divisions only)	<p>After the Cardholder and Approver have signed the monthly CAL-Card package, the Cardholder makes three copies and submits as follows:</p> <ul style="list-style-type: none"> • Original plus 2 copies to the Headquarters Purchasing Services Office. • 1 copy retained for his/her records. <p>Monthly CAL-Card packages are due to the Purchasing Services Office on or before the 10th day of each month.</p>
12	Review monthly CAL-Card package	CAL-Card Program Administrator	<p>Upon receipt of the Monthly CAL-Card Package, the CAL-Card Program Administrator audits/reviews the package to ensure that all items comply with State procurement requirements and the Department's CAL-Card policy and procedures.</p>
13	Create Purchase Order	Buyer	<p>SAP Transaction Code ME21N – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at</p>

			<p>http://sapwebhelp.water.ca.gov/nav/index/htm).</p> <p>Upon receipt of the Monthly CAL-Card Package by the Purchasing Services Office, a Buyer will process the CAL-Card requisition into a purchase order (STD. 65), which will commit funds, and deliver the entire package to the Accounts Payable Office for payment.</p>
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**Department of Water Resources
Enterprise Process Guide
Purchasing 2: CAL-Card Purchases during a Declared Flood/Non-Flood Emergency
Date Posted: NEW
Current as of: May 18, 2010**

<p>Policy: It is the Department of Water Resources (DWR) policy to provide for the purchase of meals and beverages when engaged in declared emergency flood and non-flood fight activities. Justified by Water Code 8306, DWR may, using reasonable administrative discretion, provide meals to DWR and non-DWR emergency workers during a declared flood emergency which may reasonably exceed per diem meal cost limitations when purchasing from food service vendors, and purchasing food in bulk. However, when engaged in a declared non-flood emergency, DWR may purchase from one or more food service vendors per Department of Personnel Administration (DPA) Rule 599.624.</p>	
<p>Reference:</p>	<ul style="list-style-type: none"> • Water Code 8306 • Public Contract Code 1102 (Administrative Provisions, Definitions) • SAM 3511 (Emergency Purchases) • SAM 3571.2 (Sub-Purchase Order or Contract Delegation/Purchase Order for Emergencies) • State Contracting Manual, Volume 1 (Non-IT Services) <ul style="list-style-type: none"> ○ Section 3.10 (Emergency Contracts) • State Contracting Manual, Volume 2 (Non-IT Goods) • DAM 8380.7 (Emergency Purchases) • Purchasing Services • DAM 8370.2 (Sustenance)
<p>Responsibility:</p>	<ul style="list-style-type: none"> • Governor or DWR Director • Deputy Director • Payables Office • Logistics Chief • Volunteers • CAL-Card Cardholder • CAL-Card Program Administrator • Finance/Admin. Chief • Management Analysis Office (MAO) • Purchasing Services • Division of Fiscal Services • Department of General Service (DGS) • State Controllers Office (SCO)
<p>Forms</p>	<ul style="list-style-type: none"> • DWR 9664
<p>General Information:</p> <p>This procedure is intended to assist employees with food purchases using the State's CAL-Card (VISA) and who are providing meals for employees and volunteers in the event of a flood or non-flood declared emergency. Various approvals are required, and any issues noted by the</p>	

CAL-Card Purchaser must be resolved prior to final approval of the food purchase from vendor. Overall coordination of food and beverage acquisition activities during an emergency is the responsibility of the Logistics Chief.

Procedures:

Action		Responsible Party	Procedure
1	Emergency Declared	Governor/Director DWR	The Governor or Director of DWR declares an emergency. An emergency as defined by Public Contract Code section 1102 is "a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services."
2	Determines Purchase of Meals Necessary for Emergency Response	Deputy Director	The Deputy Director of Business Operations determines that meals are needed for emergency response staff due to the nature of the emergency and staff requirements. Notifies Payables Office to prepare Onset of Emergency Memorandum.
3	Prepare Memorandum to SCO	Payables Office	Payables Office prepares memo (Onset of Emergency Memorandum) to notify SCO of emergency and intent to purchase meals.
4	Submit Onset of Emergency Memo to SCO	Deputy Director	The Deputy Director of Business Operations approves the Onset of Emergency Memorandum, which is then submitted to the Audit Manager of SCO.
5	Identify cardholders who will be purchasing food and contact CAL-Card Program Administrator	Logistics Chief	The Logistics Chief identifies 2-3 cardholders who will be responsible for using their CAL-Card to purchase food items during the declared emergency and emails the names, position title, and Division of the cardholders to the CAL-Card Program Administrator.  NOTE: This is a critical step to facilitate overall administration, coordination and internal processing of the bankcard contractor's monthly billing statement.

6	Verify merchant category codes to allow for food purchases	CAL-Card Program Administrator	Verifies merchant category restrictions have been removed from cardholder profiles.
7	Arrange for Meal Purchase	CAL-Card Cardholder	Purchase food. Obtain agreement with vendor, and save receipts.
8	Obtain CAL-Card Meal Log	Logistics Chief or Designee	The Logistics Chief reviews the CAL-Card Meal Log (DWR 9664) to make sure all volunteers, both DWR staff and non-departmental, who received meals have completed and signed the applicable CAL-Card Meal Log. When all logs are complete, the Logistics Chief and CAL-Card Cardholder approve and sign the CAL-Card Meal Log.
9	Review and Approve CAL-Card Meal Log	Finance/Administration Chief or Designee	The Finance/Admin. Chief reviews the CAL-Card Meal Log (DWR 9664), which DWR employees and non-DWR volunteers who engage in Flood/Non-Flood declared emergencies have signed for and received a meal during their shift.  Note: These CAL-Card Meal Logs will take the place of a travel expense claim (TEC) for meals. No individual TECs for meals will be accepted.
10	End of Emergency and/or Disaster Declaration	Governor/Director DWR	The Governor or Director of DWR declares the end of the emergency in a formal memorandum.
11	Direct End of Emergency Memo to be prepared	Deputy Director	At the end of the declared emergency, the Deputy Director of Business Operations notifies the Payables Office to prepare the End of Emergency Memorandum.
12	Prepare Memorandum to SCO	Payables Office	Payables Office prepares End of Emergency Memorandum to notify SCO of the end of emergency and the meals purchased since the beginning of the declared emergency.
13	Submit End of Emergency Memo to SCO	Deputy Director	The Deputy Director of Business Operations approves the End of Emergency Memorandum, which is then submitted to the Audit

			Manager of SCO.
14	Prepare Documentation for CAL-Card Usage during Flood/Non-Flood Emergencies packet	Finance/Admin. Chief and CAL-Card Cardholder	<p>The Cardholder gathers all documentation which is submitted to the Logistics Chief. The CAL-Card Usage during Flood/Non-Flood Emergencies packet must include:</p> <ul style="list-style-type: none"> • Copy of Emergency Declaration. • Justification memo. • DWR 9664 - CAL-Card Meal Log. • Itemized receipts indicating payment by VISA. • End of Emergency Memo. <p> NOTE: Please see Enterprise Process Guide Purchasing 1: CAL-Card Purchasing for details on how to prepare the SAP requisition and monthly CAL-Card package.</p>
15	Finance/Admin. Chief reviews and processes CAL-Card Usage during Flood/Non-Flood Emergencies packet	Finance/Admin. Chief	<p>Finance/Admin. Chief complies and verifies all force account labor hours, travel and per diem, and prepares spreadsheets of these records for payment, reimbursement and audit purposes.</p> <p>Finance/Admin. Chief sends CAL-Card Usage during Flood/Non-Flood Emergencies packet to the Procurement and Contracting Office's CAL-Card Administration Unit.</p>
16	CAL-Card Program Administrator reviews and processes CAL-Card Usage during Flood/Non-Flood Emergencies packet	CAL-Card Program Administrator	<p>The CAL-Card Administrator reviews all documentation submitted in CAL-Card Usage during Flood/Non-Flood Emergencies packet.</p> <p>Once all CAL-Card purchases have been verified, the CAL-Card Administrator creates a Purchase Order, and sends the CAL-Card Usage during Flood/Non-Flood Emergencies packet to the Payables Office.</p>

			 NOTE: If there are any inconsistencies in the purchases made during the Flood/Non-Flood Emergency, the CAL-Card Program Administrator should contact the Logistics Chief.
17	Payables Office reviews CAL-Card Usage during Flood/Non-Flood Emergencies packet and processes CAL-Card purchases	Payables Office	Payables Office receives the CAL-Card Usage during Flood/Non-Flood Emergencies packet, which is processed, and payments are made to the appropriate food and beverage vendors. The packet is archived in the DWR's financial records.

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Department of Water Resources
Enterprise Process Guide
Purchasing 3: Emergency Purchase of Commodities
Revised: August 29, 2011
Current as of: July 25, 2012

Policy: The Department of Water Resources provides for the purchase of commodities (equipment, materials, and supplies) within its purchasing authority and in compliance with State procurement guidelines. However, in an emergency it may be necessary to dispense with portions of the procurement process to enable quick and immediate response to unforeseen events. A situation is considered to be an emergency when it is a sudden, unexpected occurrence that poses a clear and imminent danger threatening health, property, or essential public services. Every effort must be made to obtain quotations from two or more suppliers. However, in catastrophic emergency situations involving natural disasters, purchases may be made without competitive bidding when the goods are necessary for the immediate preservation or protection of the public health, welfare, or safety.

Emergencies are divided into the following two classifications which affect how the acquisition will be processed:

- 1) Emergency purchases in response to a natural disaster.
- 2) Emergency purchases not in response to a natural disaster.

Emergency procurements are only to be used in the case of a genuine emergency. Such procurements will be utilized with absolute discretion and not as a substitute for advance planning and sound project management principles.

Note: Refer to [State Contracting Manual Volume 2](#) (Chapter 2, Topic 5) for more detailed information on what constitutes an emergency purchase.

Reference:

- [DAM 8040 - Emergency Purchases](#)
- [DAM 8380.7 - Emergency Purchases](#)
- [Public Contract Code 1102 \(Definition\)](#)
- [Public Contract Code 10340\(a\)\(1\)](#)
- [California Government Code 8558](#)
- [SAM 3511 - Emergency Purchases](#)
- [SAM 3571.2 - Emergency Use of Sub-Purchase Order](#)
- [State Contracting Manual Volume 2](#)
 - Chapter 2, Topic 5 Emergency Purchases
 - Chapter 5, Topic 1 NCB Contracts
- [DWR CAL-Card Handbook](#)
- [Purchasing Services](#)
- [California Emergency Management Agency](#)
- [Federal Emergency Management Agency](#)
- Enterprise Process Guide, [Purchasing 1: CAL-Card Purchasing](#)
- Enterprise Process Guide, [Purchasing 2: CAL-Card Purchases During a Declared Flood/Non-Flood Emergency](#)
- Enterprise Process Guide, [Purchasing 4: Purchases Over \\$5,000 \(RFQ\)](#)

	<ul style="list-style-type: none"> • SAP Help
Responsibility:	<ul style="list-style-type: none"> • Program Requester • Supervisor • Authorized SAP Requisitioner • MMR Super User • DWR IT Service Center • Material Master Data Specialist • Vendor Master Data Specialist • Purchasing Services <ul style="list-style-type: none"> ◦ Buyer ◦ Warehouse / Inventory Management Staff • Division of Fiscal Services • Department of General Service Procurement Division (DGS/PD)
Forms:	<ul style="list-style-type: none"> • Purchasing Authority Purchase Order (STD 65)
<p>General Information:</p> <p>Scope of Emergency Procurement</p> <p>Emergency procurement is limited to only those supplies, materials, equipment, or major repair items necessary to meet the emergency (i.e., don't purchase a year's supply of goods when the emergency only requires 2 months of goods).</p> <p>Written Quotations</p> <p>Employees should at all times be good stewards of the taxpayers' money and negotiate contracts at the most fair and reasonable cost to the State, seeking competitive proposals, wherever practical. Every effort must be made to obtain quotations from two or more vendors. When certain goods are urgently required, and time does not permit the obtaining of written quotations, employees may obtain quotations by telephone using a script or narrative of the quotation requirements. Quotations received over the telephone must be documented using a Bid/Quote Worksheet. When telephone quotations are used, it remains necessary for a requisition to be prepared and released in SAP before the transaction can occur.</p> <p>Click here to access the Bid/Quote Worksheet. Word PDF</p> <p>Documentation</p> <p>Emergency purchases should be well documented and include receipts, invoices, purchase orders, rental agreements, etc., which will serve as a basis for settlement of claims and will support the Department's request for supplemental federal assistance, if necessary.</p> <p>Regardless of the classification of the emergency, a record of the emergency procurement must be maintained that provides:</p> <ul style="list-style-type: none"> • A description of the emergency. • The names and quotations of suppliers contacted. 	

- Explanation of why the situation warranted the emergency purchase.
- Explanation of the consequences of making the purchase through normal procurement processes.
- The dollar amount and type of each procurement, i.e. Leverage Procurement Agreements (LPAs).
- A listing of the goods, services, or major repairs procured under each transaction.
- Location where the goods will be used.
- The identification number of each procurement file.
- Photos if applicable for reimbursement from FEMA.

Use of State Contracts

The [State Contracts Index List](#) should be utilized to access contracts that provide the best pricing, and should be utilized before seeking open market bids if they can satisfy delivery requirements.

If none of the existing contracts satisfy the needs, open market telephone or fax bids for commercially available items may be obtained from local suppliers. Maintain a file for each procurement and document all efforts related to the acquisition. Example: *Obtained telephone or fax bid from Company A and Company B (which are both bona fide providers of Product X). Awarded to the lowest bidder (or state reason for how the selection was made).* This type of file documentation is important when applying for FEMA reimbursement.

Steps to Take Prior to an Emergency

- Pre-buy supplies, materials, batteries, generators and equipment believed to be needed to sustain the program.
- Have back-up paper documents for use during and after disasters when computer systems are unavailable (i.e., requisitions, solicitation forms, purchase orders, stock received forms, etc.). Maintain lists of procurement personnel, vendors who typically provide supplies, and materials and equipment commonly requested during emergencies. Include emergency contact information, and distribute to appropriate personnel.

CAL-Card Purchases

The State's CAL-Card (VISA) procurement card can add value to purchased goods/supplies during emergency conditions. In most cases, CAL-Cards have been issued to employees for the specific purpose of providing for emergency purchases of commodities and services under \$5,000.00. Single transaction and monthly limits have been set accordingly, allowing the flexibility to make purchases when legitimate emergency situations exist. Each cardholder is trained to know the card limit and what purchases are authorized for payment using the CAL-Card account. However, under extreme situations, when larger limits and controls are needed to meet emergency circumstances, an employee should seek approval from DWR's CAL-Card Administrator to remove Merchant Category Codes and raise single transaction and/or monthly dollar limits to expedite purchases. Once the emergency situation has ended, all card limits will be reset to their original levels.

CAL-Card purchasers must document all purchases made for the emergency using Who, What and Where criteria. When a CAL-Card purchaser uses the card for State business and his/her name is on the card, the record must indicate for **whom** the purchases were made; **what** was the purpose of the purchase; and **where** the purchased items were used. A copy of the Monthly CAL-Card Log and Statement of Account should be included highlighting the emergency purchases.

FEMA Reimbursement Information

If FEMA will be involved in reimbursement of costs, the following may apply:

- FEMA maintains a list of maximum allowable costs for reimbursement. Information is available at <http://www.fema.gov/government/grant/pa/eqrates.shtm>. FEMA restrictions will apply for reimbursement eligibility.
- FEMA recognizes other cooperative agreements between Federal, State and Local governments. Preferences should be given to local contractors where practicable.
- Photos may help support reimbursement applications.
- FEMA normally requires that some type of competition take place and that prices are fair and reasonable.
- FEMA considers rental over purchase of large equipment to satisfy emergency needs.

Action		Responsible Party	Procedure
1	Recognize the Need for an Emergency Purchase	HQ/FD Program Requester	<p>The HQ/FD Program Requester identifies the need for an emergency purchase either:</p> <ol style="list-style-type: none"> 1) in response to a natural disaster; or 2) <u>not</u> in response to a natural disaster, and <p>prepares the required documentation, and initiates a call to the appropriate HQ/FD Buyer with advance information about the item(s) needed.</p> <p>The HQ/FD Program Requester then identifies the commodity to be ordered, the quantity, and when the commodity is needed. Upon completion of the required documentation, the HQ/FD Program Requester forwards the information to the HQ/FD SAP Requisitioner or, if the emergency purchase is under \$5,000, to a CAL-Card holder.</p> <p>Note: Refer to Enterprise Process Guide, Purchasing 1: CAL-Card Purchasing or to Enterprise Process Guide, Purchasing 2: CAL-Card Purchases During a Declared Flood/Non-Flood Emergency. Refer to State Contracting Manual Volume 2 (Chapter 2, Topic 5, Section</p>

			2.B5.2) for what information must be included in the required documentation.
2	Review Documentation	HQ/FD SAP Requisitioner	<p>Upon receipt, the HQ/FD Requisitioner reviews the documentation to determine if additional documentation and/or steps are required prior to creating a requisition in SAP:</p> <ul style="list-style-type: none"> • Material Master Record (MMR): The HQ/FD Program Requester may identify a MMR, have the HQ/FD SAP Requisitioner select a MMR, or have a MMR added to SAP based on the purchase being made. • Vendor Master Record (VMR): The HQ/FD Program Requester may identify a VMR, have the HQ/FD SAP Requisitioner select a VMR, or have a VMR added to SAP. • Asset Master Record (AMR): Generally, if an individual item for purchase is over \$5,000, an AMR is required. <p>Note: Refer to Enterprise Process Guide, Purchasing 4: Purchases Over \$5,000 (RFQ), Procedure Actions 2a-4, for information on the procedures on creating material, vendor, or asset master data.</p>
3	Create SAP Requisition	HQ/FD SAP Requisitioner	<p>Once all details have been addressed, the HQ/FD SAP Requisitioner creates a requisition in SAP for the specified item(s). All supporting documents are to be scanned and attached to the Requisition in SAP so that a Purchase Order (STD 65) can be prepared.</p> <p>SAP Transaction Code <u>ME51N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p>
4	Release SAP Requisition	HQ/FD SAP Requisitioner/ Approving Official	<p>The HQ/FD SAP Requisitioner contacts the Approving Official to review, approve, and electronically release the SAP requisition line items. Through the release process, the Approving Official validates the need for the requested goods and/or services, ensures the cost object is correct, and releases appropriate line item(s) on the SAP Requisition so that a STD 65 can be prepared.</p>

			<p>Note: It is very important that the employee releasing a requisition be knowledgeable about the requisitioning and release process. Care should be taken to check the account assignment (Internal Order, WBS Element, or Plant Maintenance Order) specified and the cost element(s) (General Expense, Construction supplies, IT Hardware, etc.) used on each line item of the requisition.</p> <p>SAP Transaction Code <u>ME54N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p>
5	<p>SAP Requisition, in Response to a Natural Disaster, is Reviewed</p> <p>SAP Requisition, <u>NOT</u> in Response to a Natural Disaster, is Reviewed</p>	HQ/FD Buyer	<p>Upon receipt, the HQ/FD Buyer reviews the SAP Requisition and required documentation to determine if additional documentation and/or steps are required prior to creating a STD 65 in SAP.</p> <p>If the requisition dollar amount exceeds the Department’s NCB contract purchasing authority dollar threshold of \$25,000.00 then the FD Buyer forwards the SAP Requisition and required documentation to the HQ Buyer.</p>
6	Create Purchase Order (STD. 65) in Response to a Natural Disaster	HQ/FD Buyer	<p>If the purchase is within the Department’s Non-Competitively Bid (NCB) contract purchasing authority dollar threshold of \$25,000.00 then the HQ/FD Buyer will proceed with the purchase and:</p> <ul style="list-style-type: none"> • Document the circumstance of the emergency purchase. • Issue the STD 65, identifying the Department’s Purchasing Authority (PA) number in the PA number box on the STD 65. • Report the transaction on the NCB Contract Quarterly Report. <p>If the purchase exceeds the Department’s NCB contract purchasing authority dollar threshold of \$25,000.00 then the HQ/FD Buyer will proceed with the purchase and:</p> <ul style="list-style-type: none"> • Document the circumstance of the emergency purchase. • Issue the STD 65, leaving the PA number box

			<p>Purchasing Document column will be blank.</p> <p>SAP Transaction Code <u>ME53N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p>
9	Post Goods Receipt for Purchase Order	HQ/FD Warehouse/ Materials Management Staff	<p>HQ/FD Warehouse/Materials Management staff receives the specified item(s) or equipment and posts a Goods Receipt in SAP referencing the STD 65.</p> <p>SAP Transaction Code <u>MIGO</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Note: Refer to Enterprise Process Guide, Materials Management 4: Goods Receipt Using SAP.</p>
10	Distribute Completed Purchase Order	HQ Warehouse/ Materials Management Staff FD Administrative Staff	<p>The Warehouse/Materials Management staff gathers the packing slip and any other documents, and sends them to HQ PSO.</p> <p>Administrative staff within the Field Division Purchasing Group sends a complete copy of all transactions (the documents comprising the procurement file) to HQ PSO on a weekly basis for compliance purposes/filing.</p>
11	File Completed Purchasing Documents	Purchasing Services	<p>Upon receipt of packing slip and/or other documents from the Warehouse/Materials Management Staff and FD Administrative staff, Purchasing Services files all documents with the STD 65.</p>

12	Check Status of Payment (Optional)	HQ/FD SAP Requisitioner	<p>The SAP Requisitioner can check the payment status of a STD 65 by displaying it in SAP to see if an invoice has been posted by Accounting.</p> <p>Use the icon “Other Purchase Order” and enter the purchase order number to display the purchase order. In the Item section of the display screen, make sure the appropriate line item is displayed. If there is a tab for STD 65 History, use it to display that history. If there is no tab showing STD 65 History then no payment has been made. If an invoice has been posted, it will display an IR (invoice receipt), including a posting date and amount paid.</p> <p>SAP Transaction Code <u>ME23N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p>

Enterprise Process Guides are maintained by Management Analysis Office.

If you have comments or suggestions on the Enterprise Process Guides, submit a Service Request via AquaAssist or contact the IT Service Center at 916-653-8723.

[Return to MAO's Home Page](#)

**Department of Water Resources
Enterprise Process Guide
Purchasing 4: Purchases Over \$5,000 (RFQ)
Revised May 26, 2010**

Policy: It is the Department’s policy to provide for the purchase of commodities (equipment, materials, and supplies) within its purchasing authority and in compliance with State procurement guidelines. The Department of General Services, Procurement Division (DGS PD) has granted the Department of Water Resources purchasing authority to purchase commodities to a limit of \$100,000 per transaction (purchase order). This purchasing authority is subject to the conditions specified in the State Contracting Manual, Volume 2 (Purchasing Authority Manual).

Buyers/requisitioners have the responsibility to obtain a minimum of two (2) quotes from responsive and responsible bidders unless items are purchased through already competitively bid State contracts. If competitive bidding is not possible, refer to the State Contracting Manual, Volume 2, Chapter 5 for the Non-Competitive Bid process or Chapter 5.6.1 for requirements on processing contract exemptions by statute or policy.

Reference:	<ul style="list-style-type: none"> • Government Code 14838 - Small Business Preference • Public Contract Code 10300-10334 - Competitive Bidding and Other Acquisition Procedures • State Contracting Manual, Volume 2 (Purchasing Authority Manual) • SAM 3503 - Competitive Purchasing • SAM 3506 - Purchasing Authority • DAM 8320 - Purchasing, General Policies • DAM 8340.13 - Acquisitions Between \$5,000 - \$100,000 • Management Memo 03-10 • Management Memo 07-10 • Department of General Services, Procurement Division
Responsibility:	<ul style="list-style-type: none"> • Program Requester • Headquarters Supervisor/Field Division Approving Official • SAP Requisitioner • Buyer • DWR Help Desk • Material Master Data Specialist • Asset Master Data Specialist • Vendor Master Data Specialist • Purchasing Services <ul style="list-style-type: none"> ○ Commodity Purchasing ○ Materials Management • Division of Fiscal Services
Forms	<ul style="list-style-type: none"> • Purchasing Authority Purchase Order (STD. 65) • Purchase Estimates (STD. 66) • Purchase Order/Estimate Change Request (STD. 96)

- [Bid/Quote Worksheet](#)
- SAP Vendor Master Data Request ([DWR 9512](#))
- SAP Material Master Data Record Request ([DWR 9523](#))
- SAP Material Master Data Record Request Instructions ([DWR 9523a](#))

General Information:

The following forms may be used in the procurement process associated with this Enterprise Process Guide.

STD. 65, Purchasing Authority Purchase Order (PO)

The Purchasing Authority ([STD. 65](#)), will be used for all commodity contract purchases (DGS PD negotiated leveraged procurements) up to the dollar amount stipulated in the contract as well as competitive procurements under our delegation whose total cost is \$100,000 or less per transaction (purchase order) excluding sales tax and freight charges.

The STD. 65 PO will be used in the same manner for IT goods procurements whose total cost is \$1,000,000 or less per transaction.

STD. 66, Purchase Estimate,

Buyers in the Purchasing Services Office will prepare all Purchase Estimates ([STD. 66](#)), from requisitions and specifications submitted by purchasing coordinators and buyers in field location purchasing groups. The STD. 66 is used for the purchase of materials, supplies, and equipment not available from leveraged procurements whose total cost exceeds \$100,000 per transaction (\$1,000,000 for IT goods and services) excluding sales tax and freight charges. Refer to Enterprise Process Guide [Purchasing 6: Purchase Estimates](#), for detailed procedures.

For commodity transactions over \$100,000 or IT goods and service purchases over \$1,000,000, Purchase Orders are issued by DGS PD from information submitted on Purchase Estimates.

STD. 96, Purchase Order/Estimate Change Request

The Purchasing Services Office will prepare a Purchase Order/Estimate Change Request ([STD. 96](#).) when DGS PD notifies Purchasing Services that the actual cost of items exceeds the Purchase Estimate, when it is necessary to increase or decrease the number of items ordered, or for other reasons identified by DGS PD.

GSOP 42, Authorization to Exceed Monetary Limits, (Emergency Authorization)

A GSOP 42, Authorization to Exceed Monetary Limits, is issued by DGS PD when, in an emergency situation, it is necessary to exceed the normal limits of the Department's purchasing authority. However, improper planning which results in insufficient time to process the purchase is not an emergency.

All requests for emergency authorization purchases must be in memo form and made to the Headquarters' Purchasing Services Office. It is Purchasing Services' responsibility to contact DGS PD to request a GSOP 42. See Enterprise Process Guide [Purchasing 3: Emergency](#)

[Purchases \(Form 42\)](#), for detailed procedures.

Additional Information:

Bid Lists

The Department recommends developing a variety of avenues for finding potential suppliers, establishing bidder's lists, and varying the use of bidders. Employees involved in the procurement process should solicit:

- a. Suppliers who are developing new and improved products or equipment;
- b. Suppliers located near departmental operations;
- c. Suppliers who have a track record of meeting specifications and delivery schedules;
- d. Small Businesses and DVBE suppliers to help meet participation goals;
- e. Suppliers providing recycled content products

GSPD-451, Bidder Instructions

All solicitations greater than \$5,000 must include the current [GSPD-451](#), Bidder's Instructions. DWR employees may add any additional bidder instructions as may be required to suit the special needs of an individual solicitation. Updated versions of the GSPD-451 are available for printing on the [DGS PD Internet site](#).

GSPD-401, Non-IT Commodities, General Provisions

All solicitations greater than \$5,000 must include the current [GSPD-401](#), Non-IT Commodities, General Provisions. The General Provisions should be incorporated into solicitations by reference to DGS PD's Internet site. Additional Provisions may be added in certain instances and should be included as Special Provisions, and referenced as such, on the STD. 65. Any addition, deletion or alteration of Special Provisions may not occur without prior approval by DWR's Office of the Chief Counsel. Evidence of legal review and approval must be maintained in the procurement file. Updated versions of the GSPD-401 are available for printing on the [DGS PD Internet site](#).

Bid Evaluation

The Department recommends that authorized buyers use the SAP RFQ process to "maintain" quotes received from vendors. For complex or potentially problematic acquisitions, the "[Bid/Quote Worksheet](#)," developed by DGS PD is also to be used to document the transaction. This worksheet will facilitate easy documentation and evaluation of quotations received and will assist in final selection.

Final Documentation

For procurement compliance reviews, audits, and consistent with good business practices, all procurement transactions must contain the following file documentation as appropriate:

- Evidence of appropriate level of approval
- Specifications

- List of all vendors solicited (name, telephone number, address)
- RFQ, quotes received, and evidence of evaluation of bids
- Bid/Quote Worksheet
- Non-Competitively Bid Contract Justification form (if applicable)
- Copy of Purchase Order, and amendments
- Preference program calculations
- Related correspondence, paper or electronic

Compliance with Prompt Payment Act

The Department is committed to compliance with the Prompt Payment Act. It is the policy of the Department to either, 1) pay properly submitted, undisputed invoices within 45 days of receipt or contract specified payment dates, or 2) automatically calculate and pay late payment penalties. Interest penalties may not be waived, altered, or limited by any employee or vendor. The prompt payment provisions apply to all businesses; however, DGS Office of Small Business and DVBE Certification (OSDC) certified small businesses with recognized nonprofits receive higher interest payments than other businesses. The Prompt Payment Act applies to goods and services contracts, while construction payments are addressed under progress payment provision, [Public Contract Code Section 10261.5](#).

Prompt Payment Act – Late Payment Penalty Reporting

The Department must report annually to the Director of DGS the number and amount of late payment interest penalty payments that were paid to vendors each year. In accordance with the Act, the Accounting Office will collect, compile, and report this information to the DGS Director.

Procedures:

	Action	Responsible Party	Procedure
1	Identify Need for Purchase	HQ or FD Program Requester/ SAP Requisitioner Field Divisions →	<p>The HQ Program Requester or FD Program Requester/SAP Requisitioner identifies the commodity to be ordered, the quantity, and when the commodity is needed.</p> <p>The HQ Program Requester then forwards all documents (quotes, specifications, etc.) to the HQ SAP Requisitioner.</p> <p>The FD Program Requester/SAP Requisitioner completes a SAP Requisition, giving consideration to whether the Material Master, Vendor Master, or Asset Master records are necessary. (See Steps 2a – 2d below.) The FD Program Requester/SAP Requisitioner may have the Buyer select a vendor based on the purchase being made or may identify a vendor.</p> <p>Note: Certain guidelines should be followed when selecting suppliers or creating and evaluating a</p>

			solicitation . For more information please contact Purchasing Services.
2	Review Documentation	HQ SAP Requisitioner	Upon receipt, the HQ SAP Requisitioner reviews the purchase documentation to determine if additional steps are required prior to creating a requisition in SAP.
2a	Display Material Master Record	SAP Requisitioner/ MMR Super User (Field Division)	<p>SAP Transaction Code <u>ZMMM</u> – Material Master Review Report -- Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner determines if a Material Master Record (MMR) is required. MMR numbers are required for the following types of materials:</p> <ul style="list-style-type: none"> • Stock materials in a storage location/warehouse • IT hardware, software or accessories • Non-stock materials ordered on a regular basis for direct consumption. <p>If the MMR exists and is extended to the correct Plant and/or Storage location, it will be available for selection when creating a requisition in SAP.</p> <p>If a MMR is required, the SAP Requisitioner displays the Material Master Review Report (ZMMM) to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.</p> <p>If the MMR does not exist or is not extended to the correct Plant and/or Storage location, the SAP Requisitioner will need to access the DWR Fiscal Services website, select the Master Data section, and then click on the Material Master Data link to access form SAP Material Data Request (DWR 9523). The request, with completed form DWR 9523 attached, is sent via e-mail to the DWR Help Desk, who will assign a ticket to the Material Master Data Specialist to create a new MMR. The 40-character description of a MMR is not to be changed by the end user.</p>

		<p>Field Divisions ➡</p>	<p>Note: Use SAP Material Master Data Record Request Instructions (DWR 9523a) for requesting multiple material master data.</p> <p>The MMR Super User reviews the request and forwards it to the DWR Help Desk, who will assign a ticket to the Material Master Data Specialist to create a new MMR.</p> <p>A MMR is not required for one-time purchases of materials for direct consumption or for purchases of office or janitorial supplies for direct consumption.</p> <p>Note: Direct Consumption means that the goods (equipment, material or supply item) will be put into service or used immediately following receipt at a warehouse. These goods are not meant to be stored in a designated DWR storage location for withdrawal (a goods issue) at a later date.</p> <p>If a MMR is not required, the SAP Requisitioner enters a brief description (40-character maximum) of the item to be purchased in the “short text” field of the SAP Requisition. The line item, text overview, item text field, can also be used for additional descriptive information such as catalog numbers, ordering codes, product specifications, etc., that are specific to the item being purchased.</p> <p>Note: When requesting a new MMR or entering short text, use industry recognized terms to describe the material. Also, use the manufacturer’s part numbers and not the supplier’s stock number when possible for a new MMR.</p>
2b	Create Material Master Record	Material Master Data Specialist	<p>SAP Transaction Code <u>MM01</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Material Master Data Specialist creates a new MMR, or extends an existing MMR to the correct Plant and/or Storage location.</p> <p>The Material Master Data Specialist closes the help desk ticket and notifies the requestor that the MMR has been created or extended.</p>

		Field Divisions ➡	The Material Master Data Specialist notifies the Field Division's MMR Super User that the new MMR has been created. The MMR Super User notifies the FD Program Requestor/SAP Requisitioner.
2c	Display Vendor Data	SAP Requisitioner	<p>SAP Transaction Code <u>XK03</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>If the Program Requester has identified a vendor, the SAP Requisitioner verifies that the vendor exists in SAP by using the Display Vendor transaction (XK03). The Vendor Master Record will then be available for selection. If a VMR does not exist, the SAP Requisitioner can request one using SAP Vendor Master Data Request (DWR 9512), SAP Vendor Master Data Request. The Fiscal Services' website, Vendor Master Data section, provides information about how to establish a VMR.</p>
2d	Create Vendor Master Record (VMR)	Vendor Master Data Specialist	<p>SAP Transaction Code <u>XK01</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Vendor Master Data Specialist creates a new VMR and notifies the requester once the record has been completed.</p>
3	Obtain Asset Master Record (AMR)	SAP Requisitioner	Generally, if an individual item for purchase is over \$5,000, an Asset Master Record (AMR) is required. The SAP Requisitioner can access the Fiscal Services' web site to obtain more information and the form necessary to create the record or, may contact the Asset Master Data Specialist for more information.
4	Create Asset Master Record	Asset Master Data Specialist	SAP Transaction Code <u>AS01</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at

			<p>http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Asset Master Data Specialist creates a new AMR and notifies the SAP Requisitioner once the AMR has been created.</p>
5	Create SAP Requisition	SAP HQ Requisitioner	<p>SAP Transaction Code <u>ME51N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Once all details have been addressed, the HQ SAP Requisitioner creates a requisition in SAP for the specified item(s).</p> <p>All supporting documents are to be scanned and attached to the Requisition in SAP so that a STD. 65 PO can be prepared.</p>
6	Release SAP Requisition	SAP Requisitioner/ Approving Official	<p>SAP Transaction Code <u>ME54N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner contacts their Approving Official to review, approve, and electronically release the SAP requisition line items. Through the release process, the Approving Official validates the need for the requested goods and/or services, ensures the cost object is correct, and releases appropriate line item(s) on the SAP Requisition so that a STD. 65 can be prepared.</p> <p>Note: It is very important that the employee releasing a requisition be knowledgeable of the requisitioning and release process. Care should be taken to check the account assignment (Internal Order, WBS Element, or Plant Maintenance Order) specified and the cost elements(s) (General Expense, IT Hardware, Training, etc.) used on each line item of the requisition.</p>
7	Review Requisition	Buyer	<p>The Buyer reviews the SAP requisition and any scanned attachments. If the Program Requester has identified a vendor, the Buyer displays the</p>

			<p>Vendor Master Data Record to confirm the vendor exists in the SAP system and verifies the quotes received from the vendors.</p> <p>If the Program Requester has not specified a vendor, the Buyer identifies vendors to be included in a RFQ based on criteria outlined on the requisition (commodities, specifications, estimated price, delivery date, etc.). After the vendors have been identified, the Buyer displays the Vendor Master Data Record to determine if the vendor(s) exist in the SAP System.</p> <p>Note: Click here to view criteria for selecting suppliers.</p>
8	Create Request for Quotation	Buyer	<p>SAP Transaction Code <u>ME41</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Buyer may decide to create a RFQ (a bid document) within SAP. The Buyer then prints out the RFQ and sends it to the appropriate vendors.</p>
9	Review and Evaluate Quotes	Buyer	<p>SAP Transaction Code <u>ME47</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Upon receipt of the RFQs, the Buyer evaluates and reviews the bid information received from the vendors and enters the quotations against the RFQ. Based on the information that is maintained, the SAP system will select the lowest responsible bidder.</p>
10	Check Delinquent Taxpayers Lists	Buyer	<p>Checks to see if the lowest responsible bidder is on the Delinquent Taxpayers List for the Franchise Tax Board and the Board of Equalization. If delinquent, document status and award to next lowest bidder. If not delinquent, proceed and document in the PO Header Note field.</p>
11	Create STD. 65	Buyer	<p>SAP Transaction Code <u>ME21N</u> – Follow these steps to access SAP Work Instructions (WI) (if</p>

			<p>available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Buyer uses the SAP RFQ or requisition to generate a STD. 65 in SAP. The Buyer prints a copy of the STD. 65 and signs it.</p> <p>The Buyer documents the procurement file and must include the following:</p> <ul style="list-style-type: none"> • Evidence of appropriate level of approval • Specifications • List of all vendors solicited (name, telephone number, address) • RFQ, quotes received, and evidence of evaluation of bids • Bid/Quote Worksheet (Procurement Summary) • Non-Competitively Bid Contract Justification form (if applicable) • Copy of STD. 65 and amendments • Preference program calculations • Related correspondence (paper or electronic)
12	Send STD. 65 to Vendor/ DGS PD	Buyer	The Buyer faxes, or e-mails the original STD. 65 to the vendor and sends a copy through interdepartmental mail to DGS PD.
13	Check Status of Requisition	SAP Requisitioner	<p>SAP Transaction Code <u>ME53N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner can check the status of a Requisition to see if a STD. 65 has been created and to obtain the PO number by displaying the requisition in SAP.</p> <p>Use the icon “Other Purchase Requisition” and enter the requisition number to display the requisition. In the Item section of the display screen, make sure the appropriate requisition line item is displayed. Click on the Status tab. If a PO has been created the number will be</p>

			displayed under Purchasing Document. If not, the Purchasing Document column will be blank.
14	Post Goods Receipt for Purchase Order	Warehouse/ Materials Management Staff	<p>SAP Transaction Code <u>MIGO</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Warehouse/Materials Management staff receives the specified item(s) or equipment and posts a Goods Receipt in SAP referencing the STD. 65.</p> <p>Note: For more detailed information refer to EPG Material Management 4: Goods Receipt Using SAP.</p>
15	Distribute Completed Purchase Order	Warehouse/ Materials Management Staff Field Divisions →	<p>The Warehouse/Materials Management staff gather the packing slip and any other documents, and sends them to HQ Purchasing Services.</p> <p>Administrative staff within the Field Division Purchasing Group sends a complete copy of all transactions (the documents comprising the procurement file) to HQ Purchasing Services on a weekly basis for compliance purposes.</p>
16	File Completed Purchasing Documents	Purchasing Services Office	Upon receipt of packing slip and/or other documents from the Warehouse/Materials Management staff, the Purchasing Services Office files all documents with the PO.
17	(Optional) Check Status of Payment	SAP Requisitioner	<p>SAP Transaction Code <u>ME23N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner can check the payment status of a PO by displaying it in SAP to see if an invoice has been posted by Accounting.</p> <p>Use the icon “Other Purchase Order” and enter the purchase order number to display the purchase order. In the Item section of the display screen, make sure the appropriate line item is displayed. If there is a tab for PO History, use it to display that history. If there is no tab showing Purchase Order History then no payment has been made. If an invoice has been posted, it will display an IR</p>

**Department of Water Resources
Enterprise Process Guide
Purchasing 5: Purchasing Under \$5,000 (No RFQ)
Revised: January 2, 2008**

Policy: It is the Department's policy to provide for the purchase of commodities (equipment, materials, and supplies) within its purchasing authority and in compliance with State procurement guidelines. The Department of General Services, Procurement Division (DGS PD) has granted the Department of Water Resources purchasing authority to purchase commodities to a limit of \$100,000 per transaction (purchase order). This purchasing authority is subject to the conditions specified in the State Contracting Manual, Volume 2 (Purchasing Authority Manual).

It is not necessary to solicit quotes or bids for acquisitions valued at less than \$5,000 if the prices can be determined to be fair and reasonable.

<p>Reference:</p>	<ul style="list-style-type: none"> • Government Code 14838.5 - Small Business Procurement and Contract Act • Public Contract Code 10332-10333 - Competitive Bidding and Other Acquisition Procedures • State Contracting Manual, Volume 2 (Purchasing Authority Manual) • SAM 3506 - Purchasing Authority • DAM 8320 - Purchasing, General Policies • DAM 8340.12 - Acquisitions Less Than \$5,000 • Management Memo 07-10 • Department of General Services, Procurement Division
<p>Responsibility:</p>	<ul style="list-style-type: none"> • Program Requester • Supervisor • Authorized SAP Requisitioner • Buyer • DWR IT Service Center • Material Master Data Specialist • Asset Master Data Specialist • Vendor Master Data Specialist • Purchasing Services <ul style="list-style-type: none"> ○ Commodity Purchasing ○ Materials Management • Division of Fiscal Services
<p>Forms</p>	<ul style="list-style-type: none"> • Purchasing Authority Purchase Order (PO) (STD. 65) • SAP Material Master Data Record Request (DWR 9253) • SAP Multiple Material Master Data Record Request (DWR 9523a) • SAP Vendor Master Data Request (DWR 9512)

General Information:

The following forms may be used in the procurement process associated with this Enterprise Process Guide.

STD. 65, Purchasing Authority Purchase Order

The Purchasing Authority Purchase Order (PO) ([STD. 65](#)), will be used for all commodity contract purchases (DGS PD negotiated leveraged procurements) up to the dollar amount stipulated in the contract as well as competitive procurements under our delegation whose total cost is \$100,000 or less per transaction (purchase order) excluding sales tax and freight charges.

The STD. 65 will be used in the same manner for IT goods procurements whose total cost is \$1,000,000 or less per transaction.

Additional Information:**Bid Lists**

The Department recommends developing a variety of avenues for finding potential suppliers, establishing bidder's lists, and varying the use of bidders. Employees involved in the procurement process should solicit:

- a. Suppliers who are developing new and improved products or equipment;
- b. Suppliers located near departmental operations;
- c. Suppliers who have a track record of meeting specifications and delivery schedules;
- d. Small Businesses and DVBE suppliers to help meet participation goals;
- e. Suppliers providing recycled content products

Final Documentation

For procurement compliance reviews, audits, and consistent with good business practices, all procurement transactions must contain the following file documentation as appropriate:

- Evidence of appropriate level of approval
- Specifications
- List of all vendors solicited (name, telephone number, address)
- RFQ, quotes received, and evidence of evaluation of bids
- Bid/Quote Worksheet
- Non-Competitively Bid Contract Justification form (if applicable)
- Copy of Purchase Order, and amendments
- Preference program calculations
- Related correspondence, paper or electronic

Compliance with Prompt Payment Act

The Department is committed to compliance with the Prompt Payment Act. It is the policy of the

Department to either, 1) pay properly submitted, undisputed invoices within 45 days of receipt or contract specified payment dates, or 2) automatically calculate and pay late payment penalties. Interest penalties may not be waived, altered, or limited by any employee or vendor. The prompt payment provisions apply to all businesses; however, DGS Office of Small Business and DVBE Certification (OSDC) certified small businesses with recognized nonprofits receive higher interest payments than other businesses. The Prompt Payment Act applies to goods and services contracts, while construction payments are addressed under progress payment provision, [Public Contract Code Section 10261.5](#).

Prompt Payment Act – Late Payment Penalty Reporting

The Department must report annually to the Director of DGS the number and amount of late payment interest penalty payments that were paid to vendors each year. In accordance with the Act, the Accounting Office will collect, compile, and report this information to the DGS Director.

Procedures:

Action		Responsible Party	Procedure
1	Identify Need for Purchase	HQ or FD Program Requester/ SAP Requisitioner Field Divisions ➡	The HQ Program Requester or FD Program Requester/SAP Requisitioner identifies the commodity to be ordered, the quantity, and when the commodity is needed. The HQ Program Requester then forwards all documents (quotes, specifications, etc.) to the HQ SAP Requisitioner. The FD Program Requester/SAP Requisitioner completes a SAP Requisition, giving consideration to whether the Material Master, Vendor Master, or Asset Master records are necessary. (See Steps 2a – 2d below.) The FD Program Requester/SAP Requisitioner may have the Buyer select a vendor based on the purchase being made or may identify a vendor. Note: Certain guidelines should be followed when selecting suppliers or creating and evaluating a solicitation . For more information please contact Purchasing Services.
2	Review Documentation	HQ SAP Requisitioner	Upon receipt, the HQ SAP Requisitioner reviews the purchase documentation to determine if additional steps are required prior to creating a requisition in SAP.
2a	Display Material Master Record	SAP Requisitioner/ MMR Super User (Field Division)	SAP Transaction Code <u>ZMMM</u> – Material Master Review Report -- Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction

Code>Help>DWR Help (or access WIs at <http://sapwebhelp.water.ca.gov/nav/index.htm>).

The SAP Requisitioner determines if a Material Master Record (MMR) is required. MMR numbers are required for the following types of materials:

- Stock materials in a storage location/warehouse
- IT hardware, software or accessories
- Non-stock materials ordered on a regular basis for direct consumption

If the MMR exists and is extended to the correct Plant and/or Storage location, it will be available for selection when creating a requisition in SAP.

If a MMR is required the SAP Requisitioner displays the Material Master Review Report (ZMMM) to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.

If the MMR does not exist or is not extended to the correct Plant and/or Storage location, the SAP Requisitioner will need to access the DWR [Fiscal Services](#) website. Select the Master Data section and then click on the Material Master Data link to access SAP Material Master Data Request ([DWR 9523](#)). The request, with completed DWR 9523 attached, is sent via e-mail to the DWR IT Service Center, who will assign a ticket to the Material Master Data Specialist to create a new MMR. The 40-character description of a MMR is not to be changed by the end user.

Note: Use SAP Multiple Material Master Data Record Request ([DWR 9523a](#)), for requesting multiple material master data.

Field Divisions ➡

The MMR Super User reviews the request and forwards it to the DWR IT Service Center, who will assign a ticket to the Material Master Data Specialist to create a new MMR.

A MMR is not required for one-time purchases of materials for direct consumption or for purchases of office or janitorial supplies for direct consumption.

			<p>Note: Direct Consumption means that the goods (equipment, material or supply item) will be put into service or used immediately following receipt at a warehouse. These goods are not meant to be stored in a designated Department storage location for withdrawal (a goods issue) at a later date.</p> <p>If a MMR is not required, the SAP Requisitioner enters a brief description (40-character maximum) of the item to be purchased in the “short text” field of the SAP Requisition. The line item, text overview and item text field can also be used for additional descriptive information such as catalog numbers, ordering codes, product specifications, etc., that are specific to the item being purchased.</p> <p>Note: When requesting a new MMR or entering short text, use industry recognized terms to describe the material. Also, use the manufacturer’s part numbers and not the supplier’s stock number when possible for a new MMR.</p>
2b	Create Material Master Record	Material Master Data Specialist	<p>SAP Transaction Code <u>MM01</u>– Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Material Master Data Specialist creates a new MMR, or extends an existing MMR to the correct Plant and/or Storage location.</p> <p>The Material Master Data Specialist closes the IT Service Center ticket and notifies the requestor that the MMR has been created or extended.</p> <p>Field Divisions → The Material Master Data Specialist notifies the Field Division’s MMR Super User that the new MMR has been created. The MMR Super User notifies the FD Program Requestor/SAP Requisitioner.</p>
2c	Display Vendor Data	SAP Requisitioner	<p>SAP Transaction Code <u>XK03</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access</p>

			<p>WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>If the Program Requester has identified a vendor, the SAP Requisitioner verifies that the vendor exists in SAP by using the Display Vendor transaction (XK03). The Vendor Master Record will then be available for selection. If a VMR does not exist, the SAP Requisitioner can request one using form SAP Vendor Master Data Request (DWR 9512). The Fiscal Services' website, Vendor Master Data section provides information about how to establish a VMR.</p>
2d	Create Vendor Master Record (VMR)	Vendor Master Data Specialist	<p>SAP Transaction Code <u>XK01</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Vendor Master Data Specialist creates a new VMR and notifies the requester once the record has been completed.</p>
3	Create SAP Requisition	SAP Requisitioner	<p>SAP Transaction Code <u>ME51N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Once all details have been addressed, the SAP Requisitioner creates a requisition in SAP for the specified item(s). All supporting documents are to be scanned and attached to the requisition in SAP so that a Purchasing Authority Purchase Order (PO) (STD. 65) can be prepared.</p>
4	Release SAP Requisition	SAP Requisitioner/ Approving Official	<p>SAP Transaction Code <u>ME54N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner contacts their Approving Official to review, approve and electronically release the SAP requisition line items. Through</p>

			<p>the release process, the Approving Official validates the need for the requested goods and/or services, ensures the cost object is correct, and releases appropriate line item(s) on the SAP Requisition so that a PO can be prepared.</p> <p>Note: It is very important that the employee releasing a requisition be knowledgeable of the requisitioning and release process. Care should be taken to check the account assignment (Internal Order, WBS Element, or Plant Maintenance Order) specified and the cost elements(s) (General Expense, IT Hardware, Training, etc.) used on each line item of the requisition.</p>
5	Review Requisition	Buyer	<p>The Buyer reviews the SAP requisition and any scanned attachments. If the Program Requester has identified a vendor, the Buyer displays the Vendor Master Data Record to confirm the vendor exists in the SAP system and verifies the quotes received from the vendors.</p> <p>If the Program Requester has not specified a vendor, the Buyer identifies vendors to be included in a RFQ based on criteria outlined on the requisition (commodities, specifications, estimated price, delivery date, etc.). After the vendors have been identified, the Buyer displays the Vendor Master Data Record to determine if the vendor(s) exist in the SAP System.</p> <p>Note: Click here to view criteria for selecting suppliers.</p>
6	Check Delinquent Taxpayers Lists	Buyer	<p>Checks to see if the lowest responsible bidder is on the Delinquent Taxpayers List for the Franchise Tax Board and the Board of Equalization. If delinquent, document status and award to next lowest bidder. If not delinquent, proceed and document in the PO Header Note field.</p>
7	Create Purchase Order (STD. 65)	Buyer	<p>SAP Transaction Code <u>ME21N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Buyer uses the SAP RFQ or requisition to generate a PO STD. 65 in SAP. The Buyer prints</p>

			<p>a copy of the PO and signs it.</p> <p>The Buyer documents the procurement file and must include the following:</p> <ul style="list-style-type: none"> • Evidence of appropriate level of approval • Specifications • List of all vendors solicited (name, telephone number, address) • RFQ, quotes received, and evidence of evaluation of bids • Bid/Quote Worksheet (Procurement Summary) • Non-Competitively Bid Contract Justification form (if applicable) • Copy of PO and amendments • Preference program calculations • Related correspondence (paper or electronic)
8	Send Purchase Order to Vendor/ DGS PD	Buyer	The Buyer faxes, or e-mails, the original STD. 65 PO to the vendor and sends a copy through interdepartmental mail to DGS PD.
9	Check Status of Requisition	SAP Requisitioner	<p>SAP Transaction Code <u>ME53N</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner can check the status of a Requisition to see if a PO has been created and to obtain the PO number by displaying the requisition in SAP.</p> <p>Use the icon “Other Purchase Requisition” and enter the requisition number to display the requisition. In the Item section of the display screen, make sure the appropriate requisition line item is displayed. Click on the Status tab. If a PO has been created the number will be displayed under Purchasing Document. If not, the Purchasing Document column will be blank.</p>
10	Post Goods Receipt for Purchase Order	Warehouse/ Materials Management Staff	SAP Transaction Code <u>MIGO</u> – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access

			<p>WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Warehouse/Materials Management staff receives the specified item(s) or equipment and post a Goods Receipt in SAP referencing the PO.</p> <p>Note: For more detailed information refer to Enterprise Process Guide, Material Management 4: Goods Receipt Using SAP.</p>
11	Distribute Completed Purchase Order	Warehouse/ Materials Management Staff Field Divisions →	<p>The Warehouse/Materials Management staff gather the packing slip and any other documents and sends them to HQ Purchasing Services.</p> <p>Administrative staff within the Field Division Purchasing Group sends a complete copy of all transactions (the documents comprising the procurement file) to HQ Purchasing Services on a weekly basis for compliance purposes.</p>
12	File Completed Purchasing Documents	Purchasing Services Office	Upon receipt of packing slip and/or other documents from the Warehouse/Materials Management staff, the Purchasing Services Office files all documents with the PO.
13	(Optional) Check Status of Payment	SAP Requisitioner	<p>SAP Transaction Code ME23N – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner can check the payment status of a PO by displaying it in SAP to see if an invoice has been posted by Accounting.</p> <p>Use the icon “Other Purchase Order” and enter the purchase order number to display the purchase order. In the Item section of the display screen, make sure the appropriate line item is displayed. If there is a tab for PO History, use it to display that history. If there is no tab showing Purchase Order History then no payment has been made. If an invoice has been posted, it will display an IR (invoice receipt), including a posting date and amount paid.</p>

If you have comments or suggestions on the Enterprise Process Guides, submit a Service Request via AquaAssist or contact the IT Service Center at 916-653-8723.

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**Department of Water Resources
Enterprise Process Guide
Purchasing 6: Purchase Estimates
Revised: March 7, 2011**

Policy: When a purchase request for commodities (materials, supplies, or equipment) is in excess of the Department's purchasing authority, Purchasing Services prepares a Purchase Estimate (STD. 66) and forwards the documents to the Department of General Services Procurement Division (DGS PD) where the acquisition is performed.

The Purchase Estimate is used for the purchase of non-contracted commodities when the total order exceeds \$100,000 excluding taxes and freight charges, unless contracting with a small business pursuant to Government Code 14838.5.

Reference:	<ul style="list-style-type: none"> • Government Code 14838 (Small Business Procurement and Contract Act) • Public Contract Code 10311 (Competitive Bidding and Other Purchase Procedures) • Department of General Services, Procurement Division • SAM 3550-3558 (Requisitioning Procedures) • DAM 8320.3 (Orders Exceeding Purchasing Authority Limits) • Purchasing Services Office • State Contracting Manual (SCM) Volume 2, Chapter 2, Section C 6.0 (Purchase Requisition, General Use of the Purchase Estimate)
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Responsibility:	<ul style="list-style-type: none"> • Program Requester • Supervisor (up through Division/Region/Office Chief) • SAP Requisitioner • Buyer • DWR Help Desk • Material Master Data Specialist • Asset Master Data Specialist • Vendor Master Data Specialist • Purchasing Services <ul style="list-style-type: none"> ○ Commodity Purchasing ○ Materials Management • Division of Fiscal Services
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Forms:	<ul style="list-style-type: none"> • DWR 9505 SAP Asset Equipment Request • DWR 9512 SAP Vendor Master Data Request • DWR 9523 SAP Material Master Data Record Request • STD. 65 Purchasing Authority Purchase Order • STD. 66 Purchase Estimate
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Procedures:

Action		Responsible Party	Procedure
1	Identify need for purchase	HQ or FD Program Requester/SAP Requisitioner	The HQ Program Requester or FD Program Requester/SAP Requisitioner (1) identifies the commodity to be ordered, the quantity, and when it is needed and (2) prepares the commodity specifications. The Program Requester may

		Field Divisions	<p>specify a source of supply (desired vendor); however, the DGS PD will select a vendor based on bid evaluations.</p> <p> NOTE: Certain guidelines should be followed when selecting suppliers. For more information please contact Purchasing Services.</p> <p>The HQ Program Requester then forwards all documents (quotes, specifications, etc.) to the SAP Requisitioner.</p> <p>The FD Program Requester/SAP Requisitioner completes an SAP Requisition, giving consideration to whether the Material Master, Vendor Master, or Asset Master records are necessary. (See steps 2a-4 below)</p> <p>For information on Non-competitive Bid contracts refer to EPG Purchasing 12: Non-Competitively Bid Contracts (For Goods).</p> <p>For information on Limit to Brand or Trade Name (LTB) transactions refer to Purchasing web site, form GSPD-08-001.</p>
2	Review Documentation	HQ SAP Requisitioner	Upon receipt, the HQ SAP Requisitioner reviews the purchase documentation to determine if additional steps are required prior to creating a requisition in SAP.
2a	Display Material Master Record	SAP Requisitioner/MMR Super User (Field Division)	<p>Display Material Master Review Report; Transaction code ZMMM -- Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access Material Management – related WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The SAP Requisitioner determines if a Material Master Record (MMR) is required. MMR numbers are required for the following types of materials:</p> <ul style="list-style-type: none"> • Stock materials in a storage location/warehouse. • IT hardware, software or accessories. • Non-stock materials ordered on a regular basis for direct consumption. <p>A MMR is not required for one-time purchases of materials for direct consumption or for purchases of office or janitorial supplies for direct</p>

		Field Divisions	<p>consumption.</p> <p> NOTE: Direct Consumption means that the goods (equipment, material or supply item) will be put into service or used immediately following receipt at a warehouse. These goods are not meant to be stored in a designated DWR storage location for withdrawal (a good issue) at a later date.</p> <p>If the MMR exists and is extended to the correct Plant and/or Storage location, it will be available for selection when creating a requisition in SAP.</p> <p>If a MMR is required, the SAP Requisitioner displays the Material Master Review Report (ZMMM) to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.</p> <p>If the MMR does not exist or is not extended to the correct Plant and/or Storage location, the SAP Requisitioner will need to access the DWR Fiscal Services website, select the Master Data section, and then click on the Material Master Data link to access form DWR 9523, SAP Material Master Data Request. The request, with completed form DWR 9523 attached, is sent via e-mail to the DWR Help Desk, who will assign a ticket to the Material Master Data Specialist to create a new MMR. The 40-character description of a MMR is not to be changed by the end user.</p> <p>The MMR Super User reviews the request and forwards it to the DWR Help Desk, who will assign a ticket to the Material Master Data Specialist to create a new MMR.</p> <p>If a MMR is not required, the SAP Requisitioner enters a brief description (40-character maximum) of the item to be purchased in the “short text” field of the SAP Requisition. The line item, text overview, item text field, can also be used for additional descriptive information such as catalog numbers, ordering codes, product specifications, etc., that are specific to the item being purchased.</p> <p> NOTE: When requesting a new MMR or entering short text, use industry recognized terms</p>
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			to describe the material. Also, use the manufacturer's part numbers and not the supplier's stock number when possible for a new MMR.
2b	Create Material Master Record	Material Master Data Specialist Field Divisions	<p>Create Material Master Record; Transaction Code MM01</p> <p>The Material Master Data Specialist creates a new MMR, or extends an existing MMR to the correct Plant and /or Storage location.</p> <p>The Material Master Data Specialist closes the help desk ticket and notifies the requestor that the MMR has been created or extended.</p> <p>The Material Master data Specialist notifies the Field Division's MMR Super User that the new MMR has been created. The MMR Super User notifies the FD Program Requestor/SAP Requisitioner.</p>
2c	Display Vendor Data	SAP Requisitioner	<p>Display Vendor; Transaction Code XK03</p> <p>If the Program Requester has identified a vendor, the SAP Requisitioner verifies that the vendor exists in SAP by using the Display Vendor transaction (XK03). The Vendor Master Record will then be available for selection. If a VMR does not exist, the SAP Requisitioner can request one using form DWR 9512, SAP Vendor Master Data Request. The Fiscal Services' website, Vendor Master Data section, provides information about how to establish a VMR.</p>
2d	Create Vendor Master Record (VMR)	Vendor Master Data Specialist	<p>Create Vendor (Centrally); Transaction Code XK01</p> <p>The Vendor Master Data Specialist creates a new Vendor Master Data Record and notifies the requester once the record has been completed.</p>
3	Obtain Asset Master Record (AMR)	SAP Requisitioner	<p>Generally, if an individual item for purchase is over \$5,000, an Asset Master Record (AMR) is required. The SAP Requisitioner can request an AMR using form DWR 9505, SAP Asset Equipment Request. The Fiscal Services' website, Financial Reporting and Analysis Office, provides information about how to establish an asset or you may contact the Asset Master Data Specialist for more information.</p>
4	Create Asset	Asset Master Data Specialist	<p>Create Asset Master Record; Transaction Code AS01</p>

			The Asset Master Data Specialist creates a new Asset Master Data Record and notifies the requester once the record has been completed.
5	Create SAP Requisition	HQ or FD SAP Requisitioner	<p>Create a Requisition; Transaction Code ME51N</p> <p>Once all details have been addressed, the HQ or FD SAP Requisitioner creates a requisition in SAP for the specified item(s).</p> <p>All supporting documents are to be scanned and attached to the Requisition in SAP so that a STD.66, Purchase Estimate can be prepared.</p> <p>To attach document in SAP; click the Services For Object icon. Select Create, then Create Attachment.</p>
6	Release SAP Requisition	SAP Requisitioner/ Approving Official	<p>Release Purchase Requisition; Transaction Code ME54N</p> <p>The SAP Requisitioner contacts their Approving Official to review, approve, and electronically release the SAP requisition line items. Through the release process, the Approving Official validates the need for the requested goods and/or services, ensures the cost object is correct, and releases appropriate line item(s) on the SAP Requisition so that a STD. 66 Purchase Estimate can be prepared.</p> <p> Note: It is very important that the employee releasing a requisition be knowledgeable of the requisitioning and release process. Care should be taken to check the account assignment (Internal Order, WBS Element, or Plant Maintenance Order) specified and the cost elements(s) (General Expense, IT Hardware, Training, etc.) used on each line item of the requisition.</p>
7	Display outstanding Requisitions	FD Buyer	The Field Division Buyer displays outstanding requisitions and notifies the HQ Buyer of the SAP requisition to be processed.
8	Review Requisition	HQ Buyer	The HQ Buyer reviews the SAP requisition and any scanned attachments. If the Program Requester has identified a vendor, the Buyer displays the Vendor Master Data Record to determine if the vendor exists in the SAP system and verifies the quote received from the vendor.

			<p>If the Program Requester has not specified a vendor, the Buyer identifies vendors to be included in a Request for Quotation based on criteria outlined on the requisition (estimated price, delivery date, etc.). After the vendors have been identified, the Buyer displays the Vendor Master Data Record to determine if the vendor(s) exists in the SAP System.</p> <p> Note: Click here to view criteria for selecting vendors.</p>
9	Create Purchase Estimate (STD. 66)	HQ Buyer	<p>Create an RFQ for a Purchase Estimate Type PE; Transaction Code ME 41</p> <p>The Buyer will then use the SAP Requisition to generate the Purchase Estimate (STD. 66) in SAP. If the Program Requester has specified a vendor(s), the Buyer will note to DGS PD which vendor(s) should receive a copy of the bid package.</p> <p>The Buyer then prints a copy of the Purchase Estimate (STD. 66) and signs it. The Chief, Purchasing Services Office also signs the Purchase Estimate.</p>
10	Forward Purchase Estimate (STD. 66)	HQ Buyer	<p>The Buyer forwards the original Purchase Estimate (STD. 66) and any attachments to DGS PD.</p>
11	Check Status of Requisition	SAP Requisitioner	<p>Display an RFQ; Transaction Code ME43</p> <p>The SAP Requisitioner can check the status of the SAP Requisition and display within the text overview:</p> <ul style="list-style-type: none"> • When and if a Purchase Estimate has been generated from the SAP Requisition. • The Purchase Estimate number.
12	Solicit bids	Department of General Services, Procurement Division	<p>The Purchase Estimate (STD. 66) is processed by the DGS PD. Solicitation is prepared and sent to prospective bidders. Bids are received, evaluated, and awarded. DGS PD prepares a Purchase Order (STD. 65) and sends the original Purchase order (STD. 65) to the vendor. Copies of the Purchase Order are sent to the Department's Purchasing Services Office.</p>
13	Create Purchase Order STD. 65	HQ Buyer	<p>Create Purchase Order; Transaction Code ME21N</p> <p>Upon receipt of the Purchase Order (STD. 65)</p>

			<p>from DGS PD, the Buyer creates a Purchase Order (STD. 65) in SAP so that payment can be made. For internal use only.</p> <p>A copy of both the DGS purchase order and the PO for payment are sent to the FD Buyer, the Accounts Payable supervisor and the HQ warehouse, if appropriate.</p> <p>Both purchase orders are then filed with the file documentation in the Purchasing Services Office.</p>
14	Send copies of purchase orders	FD Buyer	The FD Buyer forwards a copy of the PO to the Program Requestor and appropriate warehouse staff.
15	Post Goods Receipt for Purchase Order	Warehouse/ Inventory Management Staff	<p>Goods Receipt with Reference to Purchase Order; Transaction Code MIGO</p> <p>The Warehouse/Inventory Management staff receives the specified item(s) or equipment and performs the following:</p> <ul style="list-style-type: none"> • Creates the Goods Receipt from the Purchase Order in SAP. • Notifies the Program Requester. • Makes arrangements for delivery. • Forwards packing slip and/or other documents to the Buyer for filing. <p>If the items are for stock, the items are received and put into stock for a Goods Issue at a later date.</p>
16	Complete purchase order file	Purchasing Services Office	Upon receipt of the packing slip and/or other documents from the Warehouse/Material Management staff, the Purchasing Services Office files all documents with the purchase order.
17	(Optional) Check status of payment	SAP Requisitioner	<p>Display Purchase Order; Transaction Code ME23N</p> <p>The SAP Requisitioner can check the payment status of a PO by displaying it in SAP to see if an invoice has been posted by Accounting.</p> <p>Use the icon “Other Purchase Order” and enter the purchase order number to display the purchase order. In the Item section of the display screen, make sure the appropriate line item is displayed. If there is a tab for PO History, use it to display that history. If there is no tab showing Purchase Order History then no payment has</p>

			been made. If an invoice has been posted, it will display an IR (invoice receipt), including a posting date and amount paid.
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Department of Water Resources
Enterprise Process Guide
Purchasing 7: Ownership of Mobile Equipment Costing Less Than \$5,000
Date Posted: June 9, 2010

Policy: The Department uses a pool concept in the management of mobile equipment for maximum distribution and use. Exceptions may be granted by the Fleet Management Office as described below.			
Reference:	<ul style="list-style-type: none"> • SAM 4102- No Smoking in Sate Vehicles • DAM 4122.2- Defensive Driver Training • DAM 1143.3- Transportation Office 		
Responsibility:	<ul style="list-style-type: none"> • Program Requester • Supervisor (up through Division/Region/Office Chief) • Authorized SAP Requisitioner • Purchasing Services <ul style="list-style-type: none"> ◦ Buyer ◦ Warehouse / Inventory Management staff • Division of Fiscal Services • Fleet Management Office 		
Forms:	<ul style="list-style-type: none"> • DWR 220-- Requisition/Competitive Quotations • DWR 160- Receipt of New Equipment and Disposition of Property 		
Procedures:			
	Action	Responsible Party	Procedure
1	Completes a DWR 220	Program Requestor	<p>To request new or replacement equipment costing less than \$5,000.</p> <p>The Program Requestor completes a Requisition/Competitive Quotation, DWR 220, with a justification of need for ownership and returns it to the Fleet Management Office.</p> <p>The Fleet Management Office reviews the Requisition if unit ownership is approved, denotes approval on the Requisition and forwards to the Program Requestor for processing of the Purchase Order through the Appropriate Buyer. Appropriate Buyers are as follows:</p> <ul style="list-style-type: none"> ❖ Field Division buyers from Operations & Maintenance (O&M) ❖ HQ Purchasing Services Office buyers from Sacramento/Sutter Offices
2	Completes a DWR 160	Program Requestor	When equipment is received a DWR 160 , Receipt of New Equipment and Disposition of Property will be completed and signed by unit supervisor, Equipment

			Custodian and Administrator Officer. The DWR 160 will be kept on file by the administration staff.
3	Completes a DWR 160	Program Requestor	<p>To request a transfer of ownership on existing equipment purchased for less than \$5,000.</p> <p>Program Requestor prepares a DWR 160, Receipt of New Equipment and Disposition of Property and transfers existing equipment to new Division.</p>

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Department of Water Resources
Enterprise Process Guide
Purchase 8: Standard IT Purchases
Date: May 27, 2010

Policy: It is the Department's policy to provide for the purchase of information technology goods and services within its delegated authority and in compliance with State IT procurement guidelines. The Department of General Services, Procurement Division has granted the Department of Water Resources a delegation to purchase information technology goods and services up to \$1,000,000 per transaction. This delegation is subject to the conditions specified in the delegation authority guidelines issued by the Department of General Services, Procurement Division to the Department of Water Resources.

Each Division must develop and maintain an annual computer replacement plan and budget for their organization. It is the Department's policy, as stated in the appropriate Delegation Order, that Division/Office Chiefs have the delegated authority to approve the purchase of standard IT items including, but not limited to, desktop computers, laptop computers, peripherals, and software, in accordance with plans and budgets outlined in the IT Plan and if items are in conformance with the Department's IT Standards (click [here](#) to view IT Standards). Purchases of non-standard IT items are forwarded to the Division of Technology Services (DTS) for approval via an Action Request; refer to Enterprise Process Guide [Purchasing 9: Non-Standard IT Purchases](#) for additional information on this process. If the purchase is part of a project a Feasibility Study Report (FSR) may be needed. If an FSR is needed please consult DTS.

Department policy is to encourage desktop or workstation replacement or upgrade no more than four years after purchase. Any replacement purchase made within the first three years will be approved on a case-by-case basis by the DTS and must cite the business need for the replacement (e.g. failure to operate as required or exceptionally high maintenance costs). DTS can, upon request, provide listings of desktop systems indicating processor speeds, operating system version, and other relevant information to assist divisions in their evergreening plans.

 **Note:** This is an interactive document that will lead you through the business process. Click on the links to access (1) reference information or (2) the appropriate SAP end user procedure for a detailed procedure on the business process.

Reference:

- [Government Code 14838.5 \(Small Business Procurement and Contract Act\)](#)
- [Public Contract Code 12100 \(Acquisition of Information Technology Goods and Services\)](#)
- [SAM 4819.2 \(Definitions\)](#)
- [SAM 4819.41 \(Certification for Procurement\)](#)
- [SAM 4832 \(Certification of Compliance with Policies\)](#)
- [SAM 5200.5 \(Responsibilities and Authority\)](#)
- [SAM 5201 \(General Procurement Process\)](#)
- [SAM 5203 \(Productive Use Requirements\)](#)
- [SAM 5221 \(Model Invitation for Bids\)](#)
- [DAM 8330 \(Information Technology Procurement\)](#)
- [DAM 8330.4 \(Certification of Compliance with Policies\)](#)
- [DWR Delegation Orders](#)

	<ul style="list-style-type: none"> • Purchasing Services <ul style="list-style-type: none"> ◦ Purchasing Authority for Goods and Services • Approved IT Standards
Responsibility:	<ul style="list-style-type: none"> • Program Requester (staff who wishes to make an IT purchase) • Approving Official • LAN Administrator • SAP Requisitioner • Division IT Purchasing Coordinator and/or Administrative Officer • Division/Office Chief • Division of Technology Services <ul style="list-style-type: none"> ◦ IT Purchase Review • DWR Help Desk • Material Master Data Specialist • Asset Master Data Specialist • Vendor Master Data Specialist • Purchasing Services <ul style="list-style-type: none"> ◦ IT Purchasing ◦ Materials Management
Forms	<ul style="list-style-type: none"> • DWR 220 Requisition • STD. 65 Purchasing Authority Purchase Order • STD. 66 Purchase Estimates • STD. 96 Purchase Order/Estimate Change Request • STD. 802 Federal Excise Tax Exemption Certificate • DWR 4072 Desktop and Workgroup Computer Request • DWR 9523 SAP Material Master Data Record Request • DWR 160 Receipt of New Equipment and Disposition of Property
<p>General Information:</p> <p>Follow the purchasing process outlined within this Enterprise Process Guide for incidental and exempt non-standard IT purchases that fall within the criteria as documented below.</p> <p>The process steps outlined within Enterprise Process Guide Purchasing 8: Standard IT Purchases are followed for Incidental Non-Standard IT Purchases and Exempt Non-Standard IT Purchases. Further information regarding these exceptions are as follow:</p> <ul style="list-style-type: none"> • Incidental Non-Standard IT Purchases -- Division/Office Chief may approve the purchase of incidental non-standard IT items. Click here for information regarding the criteria for incidental non-standard IT purchases. • Exempt Non-Standard IT Purchases -- Division/Office Chiefs may approve the purchase of exempt non-standard IT Purchases. Click here for information regarding the criteria for exempt non-standard IT purchases. <p>Statement of Exception (one of the items listed above) must be clearly identified on the</p>	

Requisition (DWR 220) for each Exempt Non-Standard IT Purchase.

The following forms may be used in the procurement process associated with this Enterprise Process Guide.

Requisition, DWR 220

For purchases by Headquarters, Sacramento area satellite offices, and Region Office employees, a Requisition ([DWR 220](#)) form is required for requesting commodities and IT goods and services, in addition to a SAP requisition. Field Division employees use only the SAP requisition and do not use the DWR 220 form.

Purchasing Authority Purchase Order, STD. 65

The Purchasing Authority Purchase Order, [STD. 65](#), will be used for all commodity contract purchases (DGS PD negotiated leveraged procurements) as well as competitive procurements under our delegations whose total cost is \$100,000 or less per transaction (purchase order) excluding sales tax and freight charges.

The STD. 65 will be used in the same manner for IT goods and services procurement whose total costs is \$1,000,000 or less per transaction.

Purchase Estimate, STD. 66

Buyers in the Purchasing Services Office will prepare all Purchase Estimates, [STD. 66](#) from requisitions and specifications submitted by purchasing coordinators and buyers. The STD. 66 form is used for the purchase of materials, supplies and equipment not available from leveraged procurements whose total cost exceeds \$100,000 per transaction (\$1,000,000 for IT goods and services) excluding sales tax and freight charges. Refer to [Enterprise Process Guide Purchasing 6: Purchase Estimates](#), for detailed procedures.

For commodity transactions over \$100,000 or IT goods and service purchases over \$1,000,000, Purchase Orders are issued by the Department of General Services' PD from information submitted on Purchase Estimates. The Purchase Order furnishes the supplier's name and address, items purchased, correct prices, delivery date, and other necessary information.

Purchase Estimate Change, STD. 96

The Purchasing Services Office will prepare a Request for Purchase Order or Estimate Change, [STD. 96](#), when the DGS PD notifies Purchasing Services that the actual cost of items exceeds the Purchase Estimate, when it is necessary to increase or decrease the number of items ordered or for other reasons identified by the DGS PD.

Authorization to Exceed Monetary Limits, GSOP 42 (Emergency Authorization)

Authorization to Exceed Monetary Limits (GSOP 42) is issued by the Department of General Services PD when, in an emergency situation, it is necessary to exceed the normal limits of the Department's purchasing delegation.

All requests for emergency authorization purchases must be in memo form and made to the Headquarters' Purchasing Services Office. It is Purchasing Services' responsibility to contact the Department of General Services PD to request a GSOP 42. See Enterprise Process Guide [Purchasing 3: Emergency Purchases \(Form 42\)](#) for detailed procedures.

Federal Excise Tax Exemption Certificate, STD. 802

The State is exempt from the payment of federal excise tax. [STD. 802](#) is prepared in single copy by the Purchasing Group when items are subject to federal excise tax. That copy is attached to the supplier's copy of the order. The following notation must be typed in the body of the order: "The State of California is exempt from federal excise tax; Exemption Certificate is attached".

It is not necessary to submit a Federal Excise Tax Exemption Certificate to suppliers for merchandise ordered from State Price Schedules or Contracts. Additional information on this subject and a listing of items subject to this tax is contained in [SAM 3574.1](#) and [SAM 3585](#).

Surplus IT Property

When submitting a requisition for all media but be placed in destruct containers in order to permanently erase confidential data and information. Please refer to [Facilities 9: Surplus IT Property](#) for additional information regarding this policy.

Additional Information:

Bid Lists

The Department recommends developing a variety of avenues for finding potential suppliers, establishing bidder's lists, and varying the use of bidders. Employees involved in the procurement process should solicit:

- a. Suppliers who are developing new and improved products or equipment;
- b. Suppliers located near departmental operations;
- c. Suppliers who have a track record of meeting specifications and delivery schedules;
- d. Small Businesses and DVBE suppliers to help meet participation goals;
- e. Suppliers providing recycled content products.

Bidder Instructions

All solicitations greater than \$5,000 must include the current Bidder's Instructions ([GSPD-451, Rev. 1-1-04 or later revision](#)) available for printing on PD's Internet site. DWR employees may add any additional bidder instructions as may be required to suit the special needs of an individual solicitation.

GSPD-401IT, General Provisions, Information Technology

All solicitations greater than \$5,000 must include the current [GSPD-401IT, IT General Provisions](#). The General Provisions should be incorporated into solicitations by reference to DGS PD's Internet site. Additional Provisions may be added in certain instances and should be included as Special Provisions, and referenced as such, on the [STD. 65 PO](#). Any addition,

deletion or alteration of Special Provisions may not occur without prior approval by DWR's Office of the Chief Counsel. Evidence of legal review and approval must be maintained in the procurement file. Updated versions of the GSPD-401IT are available for printing on the [DGS PD Internet site](#).

Bid Evaluation

The Department recommends that authorized buyers use the request for quotation (RFQ) process to “maintain” quotes received from vendors using our enterprise software. For complex or potentially problematic acquisitions, the “Bid/Quote Worksheet”, developed by DGS-PD is also to be used to document the transaction. This worksheet will facilitate easy documentation and evaluation of quotations received and will assist in final selection.

File Documentation

For procurement compliance reviews, audits, and consistent with good business practices, all procurement transactions must contain the following file documentation.

- Evidence of appropriate level of approval
- Specifications
- List of all vendors solicited (name, telephone number, address)
- RFQ, quotes received, and evidence of evaluation of bids
- Bid/Quote Worksheet
- Non-Competitively Bid Contract Justification form (if applicable)
- Copy of Purchase Order, and amendments
- Preference program calculations
- Related correspondence, paper or electronic

Compliance with Prompt Payment Act

The Department is committed to compliance with the Prompt Payment Act. It is the policy of the Department to either 1) pay properly submitted, undisputed invoices within 45 days of receipt or contract specified payment dates, or 2) automatically calculate and pay late payment penalties. Interest penalties may not be waived, altered or limited by any employee or vendor. The prompt payment provisions apply to all businesses; however, the DGS Office of Small Business and DVBE Certification (OSDC) certified small businesses and recognized nonprofits receive higher interest payments than other businesses. The Prompt Payment Act applies to goods and services contracts while construction payments are addressed under progress payment provision, Public Contract Code Section 10261.5.

Prompt Payment Act - Late Payment Penalty Reporting

The Department will report annually to the Director of the Department of General Services the number and amount of late payment interest penalty payments that were paid to vendors each year. In accordance with the Act, the Accounting Office will collect, compile and report this information to the Director.

Procedures:

	Action	Responsible Party	Procedure
1	Complete Requisition (DWR 220)	Program Requester/LAN	The Program Requester identifies the need to purchase IT goods and

		Administrator	<p>completes a Requisition (DWR 220) with the assistance of their LAN Administrator and the Division of Technology Services, as necessary. The Program Requester checks the IT Standards web page for selection of IT software, hardware and accessories. If the purchase is not within the Department's IT standards, refer to Enterprise Process Guide Purchasing 9: Non-Standard IT Purchases.</p> <p>The Program Requester may identify suppliers or may have the IT Buyer select a supplier based on the purchase being made.</p> <p>Certain guidelines should be followed when creating and evaluating a solicitation:</p> <p> NOTE: Click here to view criteria for selecting suppliers.</p> <p> NOTE: Click here and refer to the Delegation Program Guidelines, Solicitation Creation and Evaluation.</p> <p>Upon completion of the Requisition (DWR 220) and any supplemental documentation (refer to Items 1a and 1b), the Program Requester submits the IT Purchasing Package to the appropriate Approving Official.</p>
1a	Prepare Desktop and Workgroup Computer Request (DWR 4072)	Program Requester	<p>If a Requisition (DWR 220) includes the purchase of a desktop or portable computer, a Desktop and Workgroup Computer Request (DWR 4072) must be completed.</p> <p> NOTE: This does not include hand-held IT equipment such as a Palm Pilot or RF Terminal (bar coding reader).</p>
1b	Prepare Certification of Compliance with Policy	Program Requester	<p>SAM Section 4819.41 specifies that signed certifications of compliance with the state's information technology policies must be included with the</p>

			<p>transmittal of certain procurement packages to the procurement agency or authority. The required format of the certification is provided in SAM 4832, Illustration 1.</p> <p>Signature Authority - Certification for procurements of \$100,000 or more must be signed by the Director or his designee.</p> <p>Certifications for procurement under \$100,000 in support of development projects; may be signed by the Director, the Director's designee or any staff authorized to contractually obligate funds.</p> <p>Upon completion of the Requisition (DWR 220) and all appropriate supplemental documentation (refer to items 1a and 1b), the Program Requester submits the IT Purchasing package to the appropriate Approving Official.</p> <p> NOTE: Refer to SAM 4819.2 (Definitions) for additional definitions.</p> <p> NOTE: Refer to SAM 4819.41 (Certificate for Procurement) for additional requirements.</p> <p> NOTE: Refer to SAM 4832 (Certificate of Compliance with Polices) for additional requirements and 4832 Illustration 1.</p>
2	Approve Requisition (DWR 220)	Approving Official	<p>Upon receipt of the IT Purchasing Package, the Approving Official reviews the Requisition (DWR 220) ensuring that the cost object is appropriate. Upon concurrence, the Approving Official signs the Requisition (DWR 220) and forwards it to the Purchasing Coordinator and/or Administrative Officer.</p> <p> NOTE: Additional approval signatures may be necessary</p>

			depending on the total amount of the requisition. The authorization levels for supervisors and other approving officials are listed on the DWR 220 .
3	Review Purchasing Package	IT Purchasing Coordinator and/or Administrator Officer	<p>Upon receipt of the IT purchasing package, the IT Purchasing Coordinator and/or Administrative Officer reviews it to ensure the following:</p> <ul style="list-style-type: none"> • Desktop and Workgroup Computer Request (DWR 4072) is correct and complete. • The cost object and G/L account is correct. • Sufficient funds are available. • The purchase is part of the Division's computer replacement plan and budget. • The purchase conforms to Department standards and IT purchasing rules. If the purchase is not within the Department's IT standards, refer to Enterprise Process Guide Purchasing 9: Non-Standard IT Purchases. • Certification of Compliance with Policy is prepared. • Reviews the solicitation details of the package to verify low bidder determination and/or Best Value criteria. <p>After ensuring that the IT purchasing package is complete and correct, the IT Purchasing Coordinator and/or Administrative Officer forwards it to the SAP Requisitioner to create an SAP requisition.</p>
4	Review Purchasing Package	SAP Requisitioner	Upon receipt of the IT Purchasing Package, the SAP Requisitioner reviews the Requisition (DWR 220) to determine if additional steps are required prior to creating a requisition in SAP.
4a	Display Material Master Record	SAP Requisitioner	Display Master Record: DWR Logistics Reports; Transaction Code ZLOG. Select the Material Master Review Report.

			<p>The SAP Requisitioner displays the Material Master Review Report to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.</p> <p>If the MMR exists and is extended to the correct Plant and/or Storage location, it will be available for selection when creating a requisition in SAP.</p> <p>If a MMR does not exist or is not extended to the correct Plant and/or Storage location, the SAP Requisitioner will need to access the DWR Fiscal Services web site. Here, select the Master Data section and then click on the Material Master Data link to access the DWR 9523 (SAP Material Master Data Request). Complete this form, attach the form to an E-Mail and send the request to the DWR Help Desk, who will assign a ticket to the Material Master Data Specialist to create a new MMR. The 40-character description of a MMR is not to be changed by the end user.</p> <p>If a MMR is required, the SAP Requisitioner displays the Material Master Review Report to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.</p> <p>A MMR is not required for one-time purchases of materials for direct consumption or for purchases of office or janitorial supplies for direct consumption.</p> <p>If a MMR is not required, the SAP Requisitioner enters a brief, 40-character description of the item to be purchased in the “short text” field of the SAP Requisition. The line item, text overview, item text field, can also be used for additional descriptive</p>
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			<p>information such as catalog numbers, ordering codes, product specifications, etc., that are specific to the item being purchased.</p> <p> NOTE: When requesting a new MMR or entering short text use industry recognized terms to describe the material. Also use the manufacturer's part numbers and not the supplier's stock number when possible.</p> <p> NOTE: Direct Consumption means that the good (equipment, material or supply item) will be put into service or used immediately following receipt at a warehouse. This good is not meant to be stored in a designated DWR storage location for withdrawal (a goods issue) at a later date.</p>
4b	Create Material Master Record	Material Master Data Specialist	<p>Create Material Master Record; Transaction Code MM01</p> <p>The Material Master Data Specialist creates a new MMR number or extends an existing MMR number to the correct Plant and/or Storage location. This will resolve the help desk ticket and notifies the requester that MMR has been created or extended.</p>
4c	(Optional) Obtain Asset Master Record	SAP Requisitioner	<p>If an individual item for purchase (including internal components to a system) is over \$5,000, an Asset Master Record is required. IT software over \$5,000.00 does not require an Asset Master Record.</p> <p>The SAP Requisitioner can access the DWR Fiscal Services web site to obtain more information and the form necessary to create the asset record.</p>
4d	Create Asset Master Record	Asset Master Data Specialist	<p>Create Asset Master Record; Transaction Code AS01</p> <p>The Asset Master Data Specialist creates a new Asset Master Record (AMR) and notifies the SAP Requisitioner once the AMR has been created.</p>
5	Create SAP Requisition	SAP Requisitioner	<p>Create a Requisition; Transaction Code ME51</p>

			<p>Once the IT purchasing package has been reviewed and all issues have been addressed, the SAP Requisitioner creates a requisition in SAP for the specified item(s).</p> <p>Upon completion of the Requisition, the SAP Requisitioner saves the SAP Requisition, notes the SAP document number on the original hardcopy Requisition (DWR 220), and forwards the IT purchasing package to the Division/Office Chief.</p>
6	Review/Approve/Release Purchasing Package	Division/Office Chief	<p>The Division/Office Chief reviews, approves and releases the IT purchasing package and signs all necessary documents which may include:</p> <ul style="list-style-type: none"> • Desktop and Workgroup Computer Request (DWR 4072) • Certification of Compliance with Policy • Requisition (DWR 220) • Certification of Compliance with Policies <p>After approval of the IT Purchasing Package, it is then returned to the SAP Requisitioner.</p>
7	Release Requisition	SAP Requisitioner	<p>Release Purchase Requisition; Transaction Code ME54</p> <p>Upon receipt of the approved IT purchasing package, the SAP Requisitioner releases the appropriate line item(s) (if they haven't already been released by the Division/Office Chief) on the SAP Requisition and sends the original IT purchasing package to the IT Buyer within the appropriate Purchasing Group.</p> <p> NOTE: It is very important that the employee releasing a requisition be knowledgeable of the requisitioning and release process. Care should be taken to check the cost object (Cost Center,</p>

			Internal Order, or WBS Element) specified and the cost element(s) (General Expense, IT Hardware, Training, etc.) used on each line item of the requisition.
8	Review Requisition	IT Buyer	<p>Upon receipt of the approved IT purchasing package, the IT Buyer reviews it to ensure that all areas are correct and complete and to determine if additional steps are required prior to creating a purchase order in SAP.</p> <p>If the Program Requester has obtained solicitations and has identified the lowest cost (or best value) supplier, the IT Buyer displays the Vendor Master Data Record to verify that the supplier exists in the SAP, and that the mailing and remit to addresses are correct.</p> <p>If the Program Requester has not identified a supplier, the IT Buyer will determine the best procurement method and supplier (State contract, CMAS, WSCA, IT Delegation purchase, or Purchase Estimate through DGS-PD) based on the criteria outlined within the IT purchasing package, prepare the solicitation (RFQ), identify potential bidders, evaluate the bids, and identify the lowest cost, responsive and responsible, supplier.</p> <p>If the IT Buyer handles the solicitation and selects an appropriate supplier, the IT Buyer will use an existing supplier within SAP, or will be responsible for establishing the vendor master record in SAP.</p> <p> NOTE: Click here and refer to Information Technology Delegation Program Guidelines, Solicitation Creation and Evaluation.</p> <p> NOTE: Click here to view criteria for selecting suppliers.</p> <p> NOTE: Click here and refer to</p>

			Information Technology Delegation Program Section F. Procurement Standards and for more information on competitive bidding requirements.
9	Create Purchase Order (STD. 65)	IT Buyer	<p>Create Purchase Order; Transaction Code ME21</p> <p>Once the IT purchasing package has been reviewed and all issues have been addressed, the IT Buyer uses the SAP Requisition to generate the Purchasing Authority Purchase Order (STD. 65). Upon completion of the Purchase Order, the IT Buyer prints a copy and signs it.</p> <p>The Buyer documents the procurement file and must include the following:</p> <ul style="list-style-type: none"> • Requisition (DWR 220) • Evidence of appropriate level of approval • Specifications • List of all vendors solicited (name, telephone number, address) • RFQ, quotes received, and evidence of evaluation of bids • Bid/Quote Worksheet (Procurement Summary) • Non-Competitively Bid Contract Justification form (if applicable) • Copy of Purchase Order, and amendments • Preference program calculations • Related correspondence, paper or electronic
10	Send Purchase Order to Supplier	IT Buyer	The IT Buyer faxes or mails the original Purchase Order to the supplier and mails a copy of the Purchase Order to the Department of General Services, Procurement Division.
11	Check Status of Requisition	SAP Requisitioner	<p>/me53_mm.htm">Display Purchase Orders; Transaction Code ME53</p> <p>The SAP Requisitioner can check the status of a Requisition to see if a Purchase Order (PO) has been created</p>

			<p>and to obtain the PO number by displaying the requisition in SAP.</p> <p>Enter the SAP Purchase Requisition number in the initial screen for T-code ME53. Highlight a line item. Use the Menu Path: <i>Environment, Purchase Order, Last Purchase Order</i>.</p> <p>If a PO has been created, it will display the selected Line item detail. If not, the user will get an Error message indicating, "No purchase order exists for item 000XX."</p>
12	Post Goods Receipt for Purchase Order	Warehouse/Materials Management staff	<p>Goods Receipt for Purchase Order; Transaction Code MB01</p> <p>Warehouse/Materials Management staff receive the specified item(s) and perform the following:</p> <ul style="list-style-type: none"> • Enters the Goods Receipt referencing the Purchase Order into SAP • Notifies the Program Requester • Makes arrangements for delivery to the Program Requester • Files the packing slip and any supplemental documentation <p>If the supplier fails to deliver item(s) as specified in the Purchase Order or Item(s) is damaged, the Warehouse/Materials Management staff performs the following:</p> <ul style="list-style-type: none"> • Enters the <i>Goods receipt for purchase order into GR blocked stock</i> transaction (Movement type 103) and (Reason for Movement number) in SAP. This will block payment and further goods movements. • Notifies the Buyer that the supplier has failed to deliver item(s) as specified in the Purchase Order or item(s) is damaged. • If the item(s) needs to be

			<p>returned to the supplier, the requestor or Warehouse/Materials Management staff will initiate the return and inspect the item(s) at the storage location. The requestor or Warehouse/Materials Management staff will notify the Buyer if the item(s) need to be returned. The Buyer will follow up with the supplier to resolve discrepancies and obtain a Return Material Authorization (RMA) number and the return shipment address and terms. The Buyer notifies the requestor or Warehouse Material Management staff of the Return Material Authorization (RMA) number and the return shipment address and terms. The RMA number must be entered on all copies of correspondence. The Warehouse/Materials Management staff enters the Return delivery from GR blocked stock transaction (Movement type 124) and (Reason for Movement number) in SAP and prepares the goods for return shipment or pickup by the supplier. The RMA number is to be included with the shipment. If failure to perform becomes a repetitive problem, the buyer notifies DGS-PD buyer listed as the contact for the State contract.</p> <p>If the goods are to be accepted, Warehouse/Materials Management staff release the goods from blocked stock by entering the Release GR blocked stock for warehouse transaction (Movement type 105) and (Reason for Movement number) in SAP.</p> <p>If the item purchased is an asset, the Warehouse/Materials Management</p>
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			<p>staff:</p> <ul style="list-style-type: none"> • Affixes DWR tags on the appropriate items • Completes Receipt of New Equipment and Disposition of Property (DWR 160), submits an original signed copy to the Property unit, and e-mails a copy to the Asset Master Data Specialist
13	Complete Supplemental processing and/or paperwork	Warehouse/Materials Management staff	<p>Additionally, the Warehouse/Materials Management staff completes the following, as appropriate:</p> <ul style="list-style-type: none"> • Notifies the Program Requester • Makes arrangements for delivery • If the items are for stock, the items are received and put into stock for a Goods Issue at a later date.
14	Distribute Documents	Warehouse/Materials Management staff	<p>The Warehouse/Materials Management staff distributes the following:</p> <ul style="list-style-type: none"> • Completed Receipt of New Equipment and Disposition of Property (DWR 160) to Purchasing Services • Packing slip to IT Buyer (for files)
15	Deploy Standard IT Goods	Program Requester/LAN Administrator	<p>Upon notification from the Warehouse/Materials Management staff, the Program Requester, working with their LAN Administrator, completes the following:</p> <ul style="list-style-type: none"> • Deploys and/or installs IT goods to appropriate staff • Reassigns or surpluses old IT goods • Adds IT goods to IT AIMS, as necessary
16	(Optional) Check status of Payment to Supplier	SAP Requisitioner	<p>Display Purchase Orders; Transaction Code ME23</p> <p>The SAP Requisitioner can check the</p>

			<p>payment status of a Purchase Order by displaying it in SAP to see if an invoice has been posted by Accounting.</p> <p>Enter the SAP Purchase Order number in the initial screen for T-code ME23. Highlight a line item. Use the Tool bar and select the PO History button.</p> <p>If an invoice has been posted, it will display an IR (invoice receipt), including a posting date, quantity paid, and the value of the invoice. If not, the user will get a message indicating, "No purchase order history records found."</p>
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Enterprise Process Guides are maintained by Management Analysis Office

If you have comments or suggestions on the Enterprise Process Guides send an email to the [IT Service Center](#).

[Return to MAO's Home Page](#)

**Department of Water Resources
Enterprise Process Guide
Purchasing 9: Non-Standard IT Purchases
Date: April 19, 2010**

Policy: It is the Department's policy to provide for the purchase of information technology goods and services within its delegated authority and in compliance with State IT procurement guidelines. The Department of General Services, Procurement Division has granted the Department of Water Resources a delegation to purchase information technology goods and services up to \$500,000 per transaction. This delegation is subject to the conditions specified in the delegation authority guidelines issued by the Department of General Services, Procurement Division to the Department of Water Resources.

Each Division must develop and maintain an annual computer replacement plan and budget for their organization. It is the Department's policy, as stated in the appropriate Delegation Order, that Division/Office Chiefs have the delegated authority to approve the purchase of non-standard IT items including, but not limited to, desktop computers, laptop computers, peripherals, and software, in accordance with plans and budgets outlined in the IT Plan and if incidental items are in conformance with the Department's IT Standards (please see the [IT Standards](#)). Purchases of non-standard IT items are forwarded to the Division of Technology Services (DTS) for approval via an Action Request. If the purchase is part of a project a Feasibility Study Report (FSR) may be needed. If an FSR is needed please consult DTS.

Department policy is to encourage desktop or workstation replacement or upgrade no more than four years after purchase. Any replacement purchase made within the first three years will be approved on a case-by-case basis by DTS and must cite the business need for the replacement (e.g. failure to operate as required or exceptionally high maintenance costs). DTS can, upon request, provide listings of desktop systems indicating processor speeds, operating system version, and other relevant information to assist divisions in their evergreening plans.

 **Note:** This is an interactive document that will lead you through the business process. Click on the [links](#) to access (1) reference information or (2) the appropriate SAP end user procedure for a detailed procedure on the business process.

Reference:	<ul style="list-style-type: none"> • Government Code 14838.5 (Small Business Procurement and Contract Act) • Public Contract Code 12100 (Acquisition of Information Technology Goods and Services) • SAM 4819.2 (Definitions) • SAM 4819.41 (Certification for Procurement) • SAM 4832 (Certification of Compliance with Policies) • SAM 5200.5 (Responsibilities and Authority) • SAM 5201 (General Procurement Process) • SAM 5203 (Productive Use Requirements) • SAM 5221 (Model Invitation for Bids) • DAM 8330 (Information Technology Procurement) • DAM 8330.3 (Non-Standard IT Purchases) • DAM 8330.4 (Certification of Compliance with Policies) • DWR Delegation Orders • Purchasing Services
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	<ul style="list-style-type: none"> ○ Purchasing Authority for IT Goods and Services • Approved IT Standards
Responsibility:	<ul style="list-style-type: none"> • Program Requester (staff who wishes to make an IT purchase) • Approving Official • LAN Administrator • SAP Requisitioner • Division IT Purchasing Coordinator and/or Administrative Officer • Division/Office Chief • Division of Technology Services <ul style="list-style-type: none"> ○ IT Purchase Review • Governance Board • DWR Help Desk • Material Master Data Specialist • Asset Master Data Specialist • Vendor Master Data Specialist • Purchasing Services <ul style="list-style-type: none"> ○ IT Purchasing ○ Materials Management
<p>General Information:</p> <p>Action Request -- An Action Request is a Department document which must be completed to request approval from the Division of Technology Services and/or the Governance Board before proceeding with a non-standard IT procurement or an IT Project. An Action Request may be approved as written or DTS and/or the Governance Board may require more detailed information. An Action Request includes the following:</p> <ul style="list-style-type: none"> • Issue Statement • Issue Discussion • Alternatives • Estimated Cost • Estimated Benefit • Recommendations • Business Considerations <p>Instructions for completing Action Requests are provided on the actual Action Request template. Place your computer mouse over the highlighted text to view the comments providing information on completing each portion of the Action Request.</p> <p>Consult with the Division of Technology Services if an IT purchase requires an Action Request or a Feasibility Study Report. Consult with Purchasing Services on Non-Competitively Bid transactions.</p> <p>Follow the purchasing process outlined within this Enterprise Process Guide for incidental and exempt non-standard IT purchases that fall within the criteria as documented below.</p> <p>The process steps outlined within Enterprise Process Guide Purchasing 8: Standard IT Purchases are followed for Incidental Non-Standard IT Purchases and Exempt Non-Standard IT</p>	

Purchases. Further information regarding these exceptions are as follow:

- **Incidental Non-Standard IT Purchases** -- Division/Office Chief may approve the purchase of incidental non-standard IT items. Please see the [Incidental Non-Standard IT Purchases attachment](#) for information regarding the criteria for incidental non-standard IT purchases.
- **Exempt Non-Standard IT Purchases** -- Division/Office Chiefs may approve the purchase of exempt non-standard IT Purchases. Please see the [Exempt Non-Standard IT Purchases attachment](#) for information regarding the criteria for exempt non-standard IT purchases.

Statement of Exception (one of the items listed above) must be clearly identified on the Requisition (DWR 220) for each Exempt Non-Standard IT Purchase.

IT Purchases over \$1,000,000 must be submitted to the Department of General Services via a Purchase Estimate unless the Department receives delegation from DGS to perform purchasing functions for the specific IT purchase.

When a Program Requester wishes to use a specific supplier or if there is only one supplier which can provide the item, a Non-Competitively Bid Contract Justification form must be completed and included in the IT Purchasing Package. For more information please refer to Enterprise Process Guide [Purchasing 12: Non-Competitively Bid Contracts](#).

The following forms may be used in the procurement process associated with this Enterprise Process Guide.

Requisition, DWR 220

For purchases by Headquarters, Sacramento area satellite offices, and Region Office employees, a Requisition ([DWR 220](#)) form is required for requesting commodities and IT goods and services, in addition to a SAP requisition. Field Division employees use only the SAP requisition and do not use the DWR 220 form.

Purchasing Authority Purchase Order, STD. 65

The Purchasing Authority Purchase Order, [STD. 65](#), will be used for all commodity contract purchases (DGS PD negotiated leveraged procurements) as well as competitive procurements under our delegations whose total cost is \$100,000 or less per transaction (purchase order) excluding sales tax and freight charges.

The STD. 65 will be used in the same manner for IT goods and services procurement whose total costs is \$500,000 or less per transaction.

Purchase Estimate, STD. 66

Buyers in the Purchasing Services office will prepare all Purchase Estimates, [STD. 66](#) from requisitions and specifications submitted by purchasing coordinators and buyers. The STD. 66 form is used for the purchase of materials, supplies and equipment not available from leveraged procurements whose total cost exceeds \$100,000 per transaction (\$1,000,000 for IT goods and

services) excluding sales tax and freight charges. Refer to [Enterprise Process Guide Purchasing 6: Purchase Estimates](#), for detailed procedures.

For commodity transactions over \$100,000 or IT goods and service purchases over \$1,000,000, Purchase Orders are issued by the Department of General Services' PD from information submitted on Purchase Estimates. The Purchase Order furnishes the supplier's name and address, items purchased, correct prices, delivery date, and other necessary information.

Purchase Estimate Change, STD. 96

The Purchasing Services office will prepare a Request for Purchase Order or Estimate Change, [STD. 96](#), when the DGS PD notifies Purchasing Services that the actual cost of items exceeds the Purchase Estimate, when it is necessary to increase or decrease the number of items ordered or for other reasons identified by the DGS PD.

Authorization to Exceed Monetary Limits, GSOP 42 (Emergency Authorization)

Authorization to Exceed Monetary Limits (GSOP 42) is issued by the Department of General Services PD when, in an emergency situation, it is necessary to exceed the normal limits of the Department's purchasing delegation.

All requests for emergency authorization purchases must be in memo form and made to the Headquarters' Purchasing Services office. It is Purchasing Services' responsibility to contact the Department of General Services PD to request a GSOP 42. See Enterprise Process Guide [Purchasing 3: Emergency Purchases \(Form 42\)](#) for detailed procedures.

Federal Excise Tax Exemption Certificate, STD. 802

The State is exempt from the payment of federal excise tax. [STD. 802](#) is prepared in single copy by the Purchasing Group when items are subject to federal excise tax. That copy is attached to the supplier's copy of the order. The following notation must be typed in the body of the order: "The State of California is exempt from federal excise tax; Exemption Certificate is attached".

It is not necessary to submit a Federal Excise Tax Exemption Certificate to suppliers for merchandise ordered from State Price Schedules or Contracts. Additional information on this subject and a listing of items subject to this tax is contained in [SAM 3574.1](#) and [SAM 3585](#).

Surplus IT Property

When submitting a requisition for all media but be placed in destruct containers in order to permanently erase confidential data and information. Please refer to [Facilities 8: Surplus Property](#) for additional information regarding this policy.

Additional Information:

Bid Lists

The Department recommends developing a variety of avenues for finding potential suppliers,

establishing bidder's lists, and varying the use of bidders. Employees involved in the procurement process should solicit:

- a. Suppliers who are developing new and improved products or equipment;
- b. Suppliers located near departmental operations;
- c. Suppliers who have a track record of meeting specifications and delivery schedules;
- d. Small Businesses and DVBE suppliers to help meet participation goals;
- e. Suppliers providing recycled content products.

Bidder Instructions

All solicitations greater than \$5,000 must include the current Bidder's Instructions ([GSPD-451, Rev. 1-1-01 or later revision](#)) available for printing on PD's Internet site. DWR employees may add any additional bidder instructions as may be required to suit the special needs of an individual solicitation.

GSPD-401IT, General Provisions, Information Technology

All solicitations greater than \$5,000 must include the current [GSPD-401IT, IT General Provisions](#). The General Provisions should be incorporated into solicitations by reference to DGS PD's Internet site. Additional Provisions may be added in certain instances and should be included as Special Provisions, and referenced as such, on the [STD. 65 PO](#). Any addition, deletion or alteration of Special Provisions may not occur without prior approval by DWR's Office of the Chief Counsel. Evidence of legal review and approval must be maintained in the procurement file. Updated versions of the GSPD-401IT are available for printing on the [DGS PD Internet site](#).

Bid Evaluation

The Department recommends that authorized buyers use the request for quotation (RFQ) process to "maintain" quotes received from vendors using our enterprise software. For complex or potentially problematic acquisitions, the "Bid/Quote Worksheet", developed by DGS-PD is also to be used to document the transaction. This worksheet will facilitate easy documentation and evaluation of quotations received and will assist in final selection.

File Documentation

For procurement compliance reviews, audits, and consistent with good business practices, all procurement transactions must contain the following file documentation.

- Evidence of appropriate level of approval
- Specifications
- List of all vendors solicited (name, telephone number, address)
- RFQ, quotes received, and evidence of evaluation of bids
- Bid/Quote Worksheet
- Non-Competitively Bid Contract Justification form (if applicable)
- Copy of Purchase Order, and amendments
- Preference program calculations

- Related correspondence, paper or electronic

Compliance with Prompt Payment Act

The Department is committed to compliance with the Prompt Payment Act. It is the policy of the Department to either 1) pay properly submitted, undisputed invoices within 45 days of receipt or contract specified payment dates, or 2) automatically calculate and pay late payment penalties. Interest penalties may not be waived, altered or limited by any employee or vendor. The prompt payment provisions apply to all businesses, however the DGS Office of Small Business and DVBE Certification (OSDC) certified small businesses and recognized nonprofits receive higher interest payments than other businesses. The Prompt Payment Act applies to goods and services contracts while construction payments are addressed under progress payment provision, Public Contract Code Section 10261.5.

Prompt Payment Act - Late Payment Penalty Reporting

The Department will report annually to the Director of the Department of General Services the number and amount of late payment interest penalty payments that were paid to vendors each year. In accordance with the Act, the Accounting Office will collect, compile and report this information to the Director.

Procedures:

	Action	Responsible Party	Procedure
1	Complete Requisition (DWR 220)	Program Requester/LAN Administrator	<p>The Program Requester identifies the need to purchase IT goods and completes a Requisition (DWR 220) with the assistance of their LAN Administrator and the Division of Technology Services, as necessary. The Program Requester checks the IT Standards web page for selection of all IT hardware, software and accessories. If the purchase is within the Department's approved IT standards, refer to Enterprise Process Guide Purchasing 8: Standard IT Purchases.</p> <p>The Program Requester may identify suppliers or may have the IT Buyer select a supplier based on the purchase being made.</p> <p>Certain guidelines should be followed when creating and evaluating a solicitation:</p> <p> NOTE: Please see the Supplier Selection for criteria for selecting suppliers.</p> <p> NOTE: For more information please see the Delegation Program Guidelines, Solicitation Creation and Evaluation.</p> <p>Upon completion of the Requisition (DWR 220) and any supplemental documentation</p>

			(refer to Items 1a and 1b), the Program Requester submits the IT Purchasing Package to the appropriate Approving Official.
1a	Prepare Desktop and Workgroup Computer Request (DWR 4072)	Program Requester	<p>If a Requisition (DWR 220) includes the purchase of a desktop or portable computer, a Desktop and Workgroup Computer Request (DWR 4072) must be completed.</p> <p> NOTE: This does not include hand-held IT equipment such as a Personal Digital Assistant or RF Terminal (bar coding reader).</p>
1b	Prepare Action Request	Program Requester	<p>For the purchase of non-standard IT items, an Action Request is required. An Action Request is a Department document which must be completed to request approval from the DTS and/or the Governance Board before proceeding with a non-standard IT procurement.</p> <p> NOTE: Division of Technology Services staff is available for assistance for guidance for IT Purchases requiring an Action Request, Feasibility Study Report, software licensing, hardware configuration issues, etc.</p>
1c	Prepare Certification of Compliance with Policy	Program Requester	<p>SAM Section 4819.41 specifies that signed certifications of compliance with the state's information technology policies must be included in the procurement transaction file. The required format of the certification is provided in SAM Section 4832, Illustration 1.</p> <p>Signature Authority – Certification for procurements of \$100,000 or more MUST be signed by the Director or his designee.</p> <p>Certifications for procurement under \$100,000 in support of development projects; may be signed by the Director, his designee, or any staff authorized to contractually obligate funds.</p> <p>Upon completion of the Requisition (DWR 220) and all appropriate supplemental documentation (refer to items 1a, 1b, and 1c), the Program Requester submits the IT Purchasing package to the appropriate Approving Official.</p> <p>Note: Refer to PAM Chapter 2, Section C,</p>

			<p>Topic 7.</p> <p> Refer to SAM 4819.2 (Definitions) for additional definitions.</p> <p> NOTE: Refer to SAM 4819.41 (Certificate for Procurement) for additional requirements.</p> <p> NOTE: Refer to SAM 4832 (Certificate of Compliance with Polices) for additional requirements and 4832 Illustration 1.</p>
2	Approve Requisition (DWR 220), Action Request & Certification of Compliance	Approving Official	<p>Upon receipt of the IT Purchasing Package, the Approving Official reviews the Requisition (DWR 220) ensuring that the cost object is complete. Upon concurrence, the Approving Official signs the Requisition (DWR 220) and forwards it to the Purchasing Coordinator and/or Administrative Officer.</p> <p> NOTE: The Approving Official must also make sure that the Action Request or Feasible Study Report is complete.</p> <p> NOTE: Additional approval signatures may be necessary depending on the total amount of the requisition. The authorization levels for supervisors and other approving officials are listed on the DWR 220.</p>
3	Review Purchasing Package	IT Purchasing Coordinator and/or Administrator Officer	<p>Upon receipt of the IT purchasing package, the IT Purchasing Coordinator and/or Administrative Officer reviews it to ensure the following:</p> <ul style="list-style-type: none"> • The cost object and G/L account are correct. • Sufficient funds are available. • The purchase is part of the Division's computer replacement plan and budget. • SAP Asset Equipment Request (DWR 9505). • Certification of Compliance with Policy is prepared. • The Action Request is correct and contains all pertinent information. • Reviews the solicitation details of the package to verify low bidder determination and/or Best Value

			<p>criteria.</p> <p>After ensuring that the IT purchasing package is complete and correct, it is forwarded to the SAP Requisitioner to create an SAP requisition.</p>
4	Review Purchasing Package	SAP Requisitioner	<p>Upon receipt of the IT Purchasing Package, the SAP Requisitioner reviews the Requisition (DWR 220) to determine if additional steps are required prior to creating a requisition in SAP.</p>
4a	Display Material Master Record	SAP Requisitioner	<p>Display Master Record: DWR Logistics Reports; Transaction Code ZLOG. Select the Material Master Review Report</p> <p>Material Master Record (MMR) Numbers are required for all purchases of IT hardware, software and accessories. The SAP Requisitioner displays the Material Master Review Report to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.</p> <p>If the MMR exists and is extended to the correct Plant and/or Storage location, it will be available for selection when creating a requisition in SAP.</p> <p>If a MMR does not exist or is not extended to the correct Plant and/or Storage location, the SAP Requisitioner will need to access the DWR Fiscal Services web site. Here, select the Master Data section and then click on the Material Master Data link to access the DWR 9523 (SAP Material Master Data Request). Complete this form, attach the form to an E-Mail and send the request to the DWR Help Desk, who will assign a ticket to the Material Master Data Specialist to create a new MMR. The 40-character description of a MMR is not to be changed by the end user.</p> <p>If a MMR is required, the SAP Requisitioner displays the Material Master Review Report to determine if the material exists and if it is extended to the correct Plant and/or Storage location in SAP.</p> <p>A MMR is not required for one-time purchases of materials for direct consumption or for</p>

			<p>purchases of office or janitorial supplies for direct consumption.</p> <p>If a MMR is not required, the SAP Requisitioner enters a brief, 40-character description of the item to be purchased in the “short text” field of the SAP Requisition. The line item, text overview, item text field, can also be used for additional descriptive information such as catalog numbers, ordering codes, product specifications, etc., that are specific to the item being purchased.</p> <p> NOTE: When requesting a new MMR or entering short text use industry recognized terms to describe the material. Also use the manufacturer’s part numbers and not the supplier’s stock number when possible.</p> <p> NOTE: Direct Consumption means that the good (equipment, material or supply item) will be put into service or used immediately following receipt at a warehouse. This good is not meant to be stored in a designated DWR storage location for withdrawal (a goods issue) at a later date.</p>
4b	(Optional) Create Material Master Record	Material Master Data Specialist	<p>Create Material Master Record; Transaction Code MM01</p> <p>The Material Master Data Specialist creates a new MMR or extends an existing MMR to the correct Plant and/or Storage location. The Material Master Data Specialist closes the help desk ticket and notifies the requester that MMR has been created or extended.</p>
4c	(Optional) Obtain Asset Master Record	SAP Requisitioner	<p>If an individual item for purchase (including internal components to a system) is over \$5,000, an Asset Master Record is required. IT software over \$5,000.00 does not require an Asset Master Record.</p> <p>The SAP Requisitioner can access the DWR Fiscal Services web site to obtain more information and the form necessary to create the asset record.</p>
4d	Create Asset Master Record	Asset Master Data Specialist	<p>Create Asset Master Record; Transaction Code AS01</p> <p>The Asset Master Data Specialist creates a</p>

			new Asset Master Record (AMR) and notifies the SAP Requisitioner once the AMR has been created.
5	Create SAP Requisition	SAP Requisitioner	<p>Create a Requisition; Transaction Code ME51</p> <p>Once the IT purchasing package has been reviewed and all issues have been addressed, the Authorized SAP Requisitioner creates a requisition in SAP for the specified item(s).</p> <p>Upon completion of the SAP Requisition, the Authorized SAP Requisitioner saves the Requisition, notes the SAP document number on the original, hardcopy Requisition (DWR 220), and forwards the IT purchasing package to the Division/Office Chief.</p>
6	Review IT Purchasing Package	Division/Office Chief	<p>The Division/Office Chief reviews, approves and releases the IT purchasing package and signs all necessary documents which may include:</p> <ul style="list-style-type: none"> • Desktop and Workgroup Computer Request (DWR 4072) • SAP Asset Equipment Request (DWR 9505) • Action Request • Certification of Compliance with Policies • Feasibility Study Report <p>The Division/Office Chief then forwards the IT purchasing package to DTS's Review of Information Technology and Project Requests staff.</p>
7	DTS Staff Reviews IT Purchasing Package	DTS's Review of Information Technology and Project Requests staff	<p>Upon receipt of the Division-approved IT purchasing package, DTS's Review of Information Technology and Project Requests staff reviews the IT purchasing package (which may include consultation with Program Requester) and determines the level of approval required. The three levels of approval are: (1) DTS approval, (2) joint DTS Chief/Governance Board Chair approval, and (3) Governance Board approval.</p>
7a	(Optional) Chief, DTS Reviews/Approves	Chief, DTS	<p>If the requested item(s) are compatible with established Department replacement purchases and/or do not represent a departure from existing business practices or</p>

	Action Request		<p>technology, the Chief of DTS will approve the IT purchasing package which may include signing:</p> <ul style="list-style-type: none"> • Action Request • Certification for Compliance with Policy <p>The approved IT purchasing package is then forwarded to the IT Buyer for further processing.</p>
7b	(Optional) Chief, DTS makes arrangements for submitting Action Request to the Governance Board	Chief, DTS	<p>If the requested item(s) are not clearly compatible with established Department replacement purchases, necessitate a change in established business practices, represent introduction of new technology, have implications across the Department, or are for items which the Department has existing standards, the Chief, DTS discusses the IT purchasing package to the Governance Board Chair for consideration and/or approval.</p>
7c	(Optional) Chief, DTS/Governance Board Chair Jointly Reviews/Approves Action Request	Chief, DTS and Governance Board Chair	<p>Action Request (from the IT purchasing package) for non-standard IT purchases is jointly reviewed by the Chief, DTS and the Governance Board Chair. The Action Request may be jointly approved as written or may be forwarded to Governance Board members for consideration. Action Requests jointly approved by the Chief, DTS and the Governance Board Chair:</p> <ul style="list-style-type: none"> • Will be regularly reported at Governance Board meetings • Will be returned to DTS's Review of Information Technology and Project Requests staff for further processing <p>Action Requests not approved will be returned to the appropriate Division/Office Chief.</p> <p> NOTE: Action Requests are posted to the Governance Board web site.</p>
7d	(Optional) Governance Board Reviews/ approves Action Request	Governance Board	<p>Upon joint decision by the Chief, DTS and the Governance Board Chair, the Governance Board Chair forwards Action Requests for the Purchase of Non-Standard IT Items to Governance Board members. Action Requests may be forwarded to the IT Standards Committee for further review and recommendation.</p>

			Action Requests approved/not approved by the Governance Board are returned to DTS's Review of Information Technology and Project Requests staff for further processing.
7e	(Optional) IT Standards Committee reviews and Makes Recommendation	IT Standards Committee	Upon request from the Governance Board, the IT Standards Committee reviews Action Requests for non-standard IT purchases to ensure that the request is compatible with enterprise-wide IT technology. IT Standards Committee makes a recommendation to the Governance Board based on technical merit.
8	DTS Forwards Approved IT Purchasing Package	DTS's Review of IT and Project Requests staff	Upon approval of a Non-Standard IT Purchase, DTS Review of Information Technology and Project Requests staff ensures that the Certification of Compliance With Policy is signed by the Chief of DTS who forwards the approved IT purchasing package to the IT Buyer for further processing and notifies the Program Requester. If Action Requests are not approved, DTS will return it to the appropriate Division/Office Chief.
9	Review Requisition	IT Buyer	<p>Upon receipt of the approved IT purchasing package, the IT Buyer reviews it to ensure that all areas are correct and complete and determines if additional steps are required prior to creating a purchase order in SAP.</p> <p>If the Program Requester has obtained solicitations and has identified the lowest cost (or best value) supplier, the IT Buyer displays the Vendor Master Data Record to verify that the supplier exists in the SAP, and that the mailing and remit to addresses are correct.</p> <p>If the Program Requester has not identified a supplier, the IT Buyer will determine the best procurement method and supplier (State contract, CMAS, WSCA, IT Delegation purchase, or Purchase Estimate through DGS-PD) based on the criteria outlined within the IT purchasing package, prepare the solicitation (RFQ), identify potential bidders, evaluate the bids, and identify the lowest cost, responsive and responsible, supplier.</p> <p>If the IT Buyer handles the solicitation and selects an appropriate supplier, the IT Buyer will use an existing supplier within SAP, or will</p>

			<p>be responsible for establishing the vendor master record in SAP.</p> <p> NOTE: Please refer to the Information Technology Delegation Program Guidelines, Solicitation Creation and Evaluation.</p> <p> NOTE: Please see the Supplier Selection which gives the criteria for selecting suppliers.</p> <p> NOTE: Please see the Information Technology Delegation Program Section F. Procurement Standards for more information on competitive bidding requirements.</p>
10	Create Purchase Order (STD. 65)	IT Buyer	<p>Create Purchase Order; Transaction Code ME21</p> <p>Once the IT Purchasing Package has been reviewed and all issues have been addressed, the IT Buyer will use the SAP Requisition to generate the Purchase Order (STD. 65). Upon completion of the Purchase Order (STD. 65), the IT Buyer then prints a copy and signs it.</p> <p>The Buyer documents the procurement file and includes the following:</p> <ul style="list-style-type: none"> • Requisition (DWR 220) • Evidence of appropriate level of approval • Specifications • List of all vendors solicited (name, telephone number, address) • RFQ, quotes received, and evidence of evaluation of bids • Bid/Quote Worksheet (Procurement Summary) • Non-Competitively Bid Contract Justification form (if applicable) • Copy of Purchase Order, and amendments • Preference program calculations • Related correspondence, paper or electronic
11	Send Purchase Order to Supplier	IT Buyer	The IT Buyer faxes or mails the original Purchasing Authority Purchase Order (STD.

			65) to the supplier and mails a copy of it to the Department of General Services, Procurement Division.
12	Check Status of Requisition	SAP Requisitioner	<p>Display Purchase Requisition; Transaction Code ME23</p> <p>The SAP Requisitioner can check the status of a Requisition to see if a Purchase Order (PO) has been created and to obtain the PO number by displaying the requisition in SAP.</p> <p>Enter the SAP Purchase Requisition number in the initial screen for T-code ME53. Highlight a line item. Use the Menu Path: <i>Environment, Purchase Order, Last Purchase Order.</i></p> <p>If a PO has been created, it will display the selected line item detail. If not, the user will get an Error message indicating, "No purchase order exists for item 000XX."</p>
13	Post Goods Receipt for Purchase Order	Warehouse/Materials Management staff	<p>Goods Receipt for Purchase Order; Transaction Code MB01</p> <p>Warehouse/Materials Management staff receive the specified item(s) and perform the following:</p> <ul style="list-style-type: none"> • Enters the Goods Receipt referencing the Purchase Order into SAP • Notifies the Program Requester • Makes arrangements for delivery to the Program Requester • Files the packing slip and any supplemental documentation <p>If the supplier fails to deliver item(s) as specified in the Purchase Order or item(s) is damaged, the Warehouse/Materials Management staff performs the following:</p> <ul style="list-style-type: none"> • Enters the <i>Goods receipt for purchase order into GR blocked stock</i> transaction (Movement type 103) and (Reason for Movement number) in SAP. This will block payment and further goods movements. • Notifies the Buyer that the supplier has failed to deliver item(s) as specified in

			<p>the Purchase Order or item(s) is damaged.</p> <ul style="list-style-type: none"> • If the item(s) needs to be returned to the supplier, the requestor or Warehouse/Materials Management staff will initiate the return and inspect the item(s) at the storage location. The requestor or Warehouse/Materials Management staff will notify the Buyer if the item(s) need to be returned. The Buyer will follow up with the supplier to resolve discrepancies and obtain a Return Material Authorization (RMA) number and the return shipment address and terms. The Buyer notifies the requestor or Warehouse Material Management staff of the Return Material Authorization (RMA) number and the return shipment address and terms. The RMA number must be entered on all copies of correspondence. The Warehouse/Materials Management staff enters the Return delivery from GR blocked stock transaction (Movement type 124) and (Reason for Movement number) in SAP and prepares the goods for return shipment or pickup by the supplier. The RMA number is to be included with the shipment. If failure to perform becomes a repetitive problem, buyer notifies DGS-PD buyer listed as the contact for the State contract. <p>If the goods are to be accepted, Warehouse/Materials Management staff release the goods from blocked stock by entering the Release GR blocked stock for warehouse transaction (Movement type 105) and (Reason for Movement number) in SAP.</p> <p>If the item purchased is an asset, the Warehouse/Materials Management staff:</p> <ul style="list-style-type: none"> • Affixes DWR tags on the appropriate items • Completes Receipt of New Equipment and Disposition of Property (DWR)
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			160 submits an original signed copy to the Property unit, and e-mails a copy to the Asset Master Data Specialist
14	Complete Supplemental processing and/or paperwork	Warehouse /Materials Management staff	<p>Additionally, the Warehouse/Materials Management staff completes the following, as appropriate:</p> <ul style="list-style-type: none"> • Notifies the Program Requester • Makes arrangements for delivery
15	Distribute Documents	Warehouse/Materials Management staff	<p>The Warehouse/Materials Management staff distributes the following:</p> <ul style="list-style-type: none"> • Completed Receipt of New Equipment and Disposition of Property (DWR 160) to the Purchasing Unit • Packing slip to IT Buyer (for files)
16	Deploy IT Goods	Program Requester/LAN Administrator	<p>Upon notification from the Warehouse /Materials Management staff, the Program Requester, working with their LAN Administrator, completes the following:</p> <ul style="list-style-type: none"> • Deploys and/or installs IT goods to appropriate staff • Reassigns or surpluses old IT goods • Adds new IT goods to IT AIMS, as necessary • Deletes replaced IT goods from IT AIMS, as appropriate
17	(Optional) Check Status of Payment to Supplier	SAP Requisitioner	<p>Display Purchase Orders; Transaction Code ME23</p> <p>The SAP Requisitioner can check the payment status of a Purchase Order by displaying it in SAP to see if an invoice has been posted by Accounting.</p> <p>Enter the SAP Purchase Order number in the initial screen for T-code ME23. Highlight a line item. Using the Tool bar, select the PO History button.</p> <p>If an invoice has been posted, it will display an IR (invoice receipt), including a posting date, quantity paid, and the value of the invoice. If not, the user will get a message indicating,</p>

			"No purchase order history records found."
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Enterprise Process Guides are maintained by Management Analysis Office

If you have comments or suggestions on the Enterprise Process Guides send an email to the [IT Service Center](#).

[Return to MAO's Home Page](#)

**Department of Water Resources
Enterprise Process Guide
Purchasing 11: SB/DVBE Bid Option for SB/DVBE Purchases
Revised: January 2, 2008**

Policy: DWR buyers and others involved in the procurement process may award contracts greater than \$5,000 but less than \$100,000 for commodities to certified small businesses or certified DVBE vendors, as long as price quotations have been obtained from at least two responsible and responsive certified small businesses or DVBE vendors and the award is to a certified Small Business or DVBE vendor.

Reference:

- [Government Code 14838.5 \(Small Business Procurement and Contract Act\)](#)
- [Public Contract Code 10300-10334 \(Competitive Bidding and Other Acquisition Procedures\)](#)
 - PCC 10301 (Lowest Responsible Bidder)
- [State Contracting Manual, Volume 2 \(Purchasing Authority Manual\)](#)
- [DAM 8350 \(Small Business/Disabled Veteran Enterprise \(DVBE\) Preference and Goal Programs\)](#)
- [Department of General Services](#)
 - [Procurement Division](#)
 - [Office of Small Business and DVBE Services \(OSDS\)](#)
- [Purchasing Services](#)

Responsibility:

- Headquarters (HQ) Program Requester
- Field Division (FD) Program Requester
- DWR Small Business/DVBE Advocate
- Vendor Master Data Specialist
- Material Master Data Specialist
- Asset Master Data Specialist
- HQ SAP Requisitioner
- FD SAP Requisitioner
- HQ Buyer
- FD Buyers
- Approving Official

General Information:

 **Note:** Using the Small Business/Disabled Veteran Business Enterprises (SB/DVBE) Bid Option can expedite the processing of the purchase order by allowing the Department to process these orders without having to send the request to the Department of General Services (DGS). For orders \$5,000.01 through \$99,999.99 quotes from either two certified small businesses or two certified DVBE vendors are necessary.

In order to attain the State's 25 percent participation goal for Small Business and 3 percent participation goal for DVBE in contract and procurement efforts, state agencies are allowed to solicit two or more certified small or DVBE businesses for commodities and IT goods using an

informal, streamlined bid process.

This EPG pertains to commodities and IT goods only. If the purchase includes services, the determination should be made by the Program Requester and the appropriate Buyer and/or Contract Specialist as to whether the purchase is considered a good or service.

For HQ, the Program Requester is responsible for obtaining price solicitations.

For the Field Divisions, the Buyer is responsible for obtaining Request for Quotations (RFQs) and selecting a vendor.

All Buyers are responsible for the following:

- Verification of the vendor's Small Business or DVBE certification status
- Evaluation of the quotes as responsive and responsible
- Documentation of reasons for vendor selection
- Creation of the purchase order

Procedures:

Action		Responsible Party	Procedure
1	Identify Need for Purchase of Commodities or IT Goods	HQ/FD Program Requester	<p>The HQ/FD Program Requester identifies the commodity (equipment, materials or supplies) to be ordered, the quantity, and when the commodity is needed.</p> <p>For HQ, the determination should be made that the purchase qualifies to use the SB/DVBE Bid Option.</p> <p>For Field Divisions, the Buyer will determine if the purchase qualifies to use the SB/DVBE Bid Option and source it accordingly. (See action 7)</p> <p> <u>Note: Field Divisions please skip to action 4, Complete SAP Requisition</u></p>
2	Identify Vendors	HQ Program Requester	<p>The HQ Program Requester should contact the Purchasing Services Office for help in locating SB/DVBE vendors.</p> <p>The DWR SB/DVBE Advocate may also be contacted to help find qualified vendors.</p> <p>The HQ Program Requester should verify through the <u>Office of Small Business and DVBE Services (OSDS) website</u> that the vendors solicited are currently certified.</p>

3	Solicit Vendors and Submit Documentation	HQ Program Requester	<p>The HQ Program Requester should solicit at least two certified Small Business or two DVBE vendors and request quotes.</p> <p>The HQ Program Requester then submits all documentation (quotes, specifications, etc.) to the HQ SAP Requisitioner.</p>
4	Complete SAP Requisition	HQ/FD SAP Requisitioner	<p>SAP Transaction Code ME51N – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The HQ/FD SAP Requisitioner completes a SAP Requisition giving consideration to whether Material Master, Vendor Master, or Asset Master records are necessary. (Please see EPG Purchasing 4: Purchases Over \$5,000 [RFQ], steps 3a – 5).</p> <p>The HQ/FD SAP Requisitioner scans and attaches all supporting documentation (quotes and specifications) to the SAP requisition and contacts their Approving Official (via email) to review, approve and electronically release the SAP requisition line items.</p>
5	Approve and release SAP Requisition	Approving Official	<p>SAP Transaction Code ME54N – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help> DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The Approving Official validates the need for the requested goods and/or services, ensures the cost object and general ledger account are correct, and releases the appropriate line item(s) on the SAP Requisition so that a purchase order can be prepared.</p> <p> Note: It is very important that supervisors/management releasing a requisition know the requisitioning and release processes. They should ensure that the account assignment and cost element are specified on each line item of the requisition. The account assignment consists of the Order or WBS element. The cost</p>

			element(s) includes general expense, IT hardware, training, etc.
6	Review and Evaluate Quotes	HQ Buyer	<p>The HQ Buyer reviews and evaluates the quote information received from the vendors and uses this information to award the purchase to the appropriate vendor.</p> <p>The HQ Buyer verifies and documents the information for the file by printing a copy of the OSDS certification for each vendor.</p> <p> Note: For HQ skip to action 9, Create a Purchase Order.</p>
7	Review SAP Requisition/Create an RFQ in SAP	FD Buyer	<p>SAP Transaction Code ME41 – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>The FD Buyer reviews the SAP requisition to determine if the SB/DVBE bid option can be used. The DWR SB/DVBE Advocate may also be contacted to help find qualified vendors.</p> <p>The FD Buyer creates a Request for Quotation (a bid document) within SAP. The FD Buyer prints out the RFQ and sends it to the appropriate certified small business and DVBE vendors.</p>
8	Review & Evaluate Quotes	FD Buyer	<p>SAP Transaction Code ME47 – Follow these steps to access SAP Work Instructions (WI) (if available): From within SAP, enter the Transaction Code>Help>DWR Help (or access WIs at http://sapwebhelp.water.ca.gov/nav/index.htm).</p> <p>Upon receipt of the RFQ from the vendor(s), the FD Buyer evaluates and reviews the bid information and enters the quotations from each vendor against the RFQ. Based on the information that is maintained, the SAP system will select the lowest responsible bidder.</p> <p>The FD Buyer prints a price comparison list from the RFQs for the purchasing file.</p>

			If the SB/DVBE Bid Option is used, the FD Buyer should document the file with the appropriate certifications from the DGS, Office of Small Business and DVBE Services website.
9	Create a Purchase Order	HQ /FD Buyer	The HQ/FD Buyer creates a purchase order. Please continue with EPG Purchasing 4: Purchases Over \$5,000 (RFQ) , step 11.

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Department of Water Resources
Enterprise Process Guide
Purchasing 12: Non-Competitively Bid Contracts (For Goods)
Revised: February 24, 2011

Policy: The Department of Water Resources discourages Non-Competitively Bid (NCB) transactions for goods unless an absolutely essential need exists. In the event the acquisition of information technology goods and non-IT goods is restricted to one supplier and the proposed acquisition cost is over \$5,000, it is State of California policy to comply with the requirements of the NCB Contract justification process. A special NCB form has been prepared for this purpose by the Department of General Services, Procurement Division. DWR organizations proposing an NCB purchase will complete this form explaining why the acquisition is restricted to one supplier, why the supplier was chosen, the consequences of not purchasing the goods, the market research that was done to substantiate the lack of competition, and complete a price analysis to determine that the price is fair and reasonable, including cost savings or avoidance that is applicable.

Reference:	<ul style="list-style-type: none"> • Public Contract Code 12102(a)(1), 12102(a)(2) (Acquisition of Information Technology Goods and Services) • Public Contract Code 10301, 10302 (Competitive Bidding and Other Acquisition Procedures) • Government Code 14838.5 (Small Business Procurement and Contract Act: General Provisions) • State Contracting Manual, Volume 3, Chapter 4 (NCB Contracts – IT Goods) • State Contracting Manual, Volume 2, Chapter 5, (NCB Contracts – Non-IT Goods) • DAM 8320.3 (Orders Exceeding Delegation Limits) • DAM 8340 (Competitive Bidding) • DAM 8340.21 (Non-Competitively Bid Contracts) • DWR Delegation Orders • Purchasing Services • IT Purchasing
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Responsibility:	<ul style="list-style-type: none"> • Program Requester (staff member proposing the NCB purchase) • Authorized SAP Requisitioner • Administrative Officer • Division/Office Chief • Purchasing Services <ul style="list-style-type: none"> ○ Buyer • Procurement and Contracting Officer • Natural Resources Agency Secretary
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Forms:	<ul style="list-style-type: none"> • Non-Competitively Bid (NCB) Justification form • DWR 430 Correspondence Control Slip • Agency Control Slip
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General Information:

When a Program Requester elects to use a specific vendor or if there is only one vendor that can provide the goods, a [Non-Competitively Bid \(NCB\) Contract Justification form](#) must be completed and included in the procurement package. The Department of Water Resources' Procurement and Contracting Officer and the Natural Resources Agency Secretary will review and approve proposed NCB transactions from \$5,000 to \$25,000 using this form. For transactions over \$25,000, additional approval is required from the Department of General Services Procurement Division (DGS – PD). The competitive bidding process is not required for transactions under \$5,000.

Approved NCB forms are required for:

- A. Acquisitions within the Department’s purchasing authority for Commodities and for IT goods over \$5,000.
- B. Purchase Estimates (STD. 66) for acquisitions to be handled by DGS Procurement Division that exceed our Department’s purchasing authority.
- C. California Multiple Award Schedule (CMAS) orders over \$5,000 where only one source is known.
- D. Some Master Agreement orders over \$5,000 where only one source is known.

 **NOTE:** It is highly recommended that you consult with Purchasing Services staff as soon as you determine you have a NCB transaction. For example, there are a number of acquisitions for goods that are exempt from the NCB process. These goods are exempted by statute and by policy. Purchasing Services can assist you with this determination.

Procedures:

	Action	Responsible Party	Procedure
1	Complete Non-Competitively Bid (NCB) Contract Justification Form	Program Requester	<p>See the General Information above. The procedures explained here assume that you have completed all of the steps, with the exception of competitive bidding, required for preparing requisitions for goods over \$5,000. These procedures are detailed in the following EPGs:</p> <ul style="list-style-type: none"> • Purchasing 4 - Purchases Over \$5,000 • Purchasing 6 - Purchase Estimates • Purchasing 8 - Standard IT Purchases • Purchasing 9 - Non-Standard IT Purchases <p>The Program Requester identifies the need to purchase NCB goods and completes a Non-Competitively Bid (NCB) Justification form. If the goods being purchased are from a vendor who is a sole developer, manufacturer and supplier (seller), a Certificate of Exclusivity letter is requested from the vendor, and is included in the package as a</p>

			<p>supporting document.</p> <p>Click here to see an example of a Certificate of Exclusivity.</p>
2	<p>Prepare Formal Draft Cover Memo/Route Formal Draft Cover Memo for Approval</p>	<p>Program Requester</p> <p>Purchasing Coordinator</p> <p>Administrative Officer</p> <p>Division Chief</p> <p>Purchasing Services</p> <p>DWR's Procurement & Contracting Officer</p>	<p>The Program Requester prepares a formal draft cover memo to accompany the NCB form, and attaches copies of the requisition and copies of any other supporting documents. This memo briefly summarizes the acquisition, including the goods the contractor will provide. The memo is from the Procurement and Contracting Officer, Department of Water Resources to the Natural Resources Agency Secretary, asking for concurrence on the NCB transaction.</p> <p>The memo should be routed to the Purchasing Coordinator, Administrative Officer, Division Chief, Purchasing Services Chief, and DWR's Procurement and Contracting Officer. Once the Procurement and Contracting Officer has approved the draft memo it will be returned to the requester to be finalized.</p> <p>Click here for a sample of a Formal Draft Cover Memo.</p> <p> NOTE: Ask your Administrative Officer for assistance with drafting the memo from the Procurement and Contracting Officer to the Natural Resources Agency Secretary requesting approval of the NCB acquisition.</p>
3	<p>Prepare and Route the Final Cover Memo and Package for Review and Approval</p>	<p>Requester</p> <p>Procurement and Contracting Officer</p> <p>Natural Resources Agency Secretary</p> <p>Administrative Officer</p>	<p>Program administrative staff prepares a final cover memo and routes it for approval with the pink Correspondence Control Slip (CCS) (DWR 430), the NCB form, original requisition and any supporting documents. The package is finalized and sent to the Procurement and Contracting Officer, Department of Water Resources for signature. Upon approval, Procurement and Contracting Office (PCO) staff will remove the CCS, attach the Agency Route Slip, and include only those documents requiring approval by the Natural Resources Agency Secretary. Scanned copies of the document to be provided to the Deputy Director of Business Operations and to the Chief Deputy Director for informational purposes. The package will be returned to the Administrative Officer (AO) after all approvals have been obtained. The AO forwards the package to the SAP Requisitioner.</p>

4	Return Approved NCB Form to Division Purchasing Coordinator	Administrative Officer Purchasing Coordinator/SAP Requisitioner	<p>Once the NCB form is approved, it is returned with the supporting documents to the Purchasing Coordinator or Requisitioner for completion of the SAP requisition. The NCB form is electronically linked to the requisition as a supporting document.</p> <p> NOTE: Resume normal purchasing steps according to procurement type. Please refer to the following EPGs:</p> <ul style="list-style-type: none"> • Purchasing 4 - Purchases Over \$5,000 • Purchasing 6 - Purchase Estimates • Purchasing 8 - Standard IT Purchases • Purchasing 9 - Non-Standard IT Purchases
5	Send Non-Competitively Bid (NCB) Package to DGS-PD for Approval or Processing	Buyer	<p>For NCB transactions over \$25,000, DWR Purchasing Services Office will submit the NCB request to the DGS – PD for approval after it has been received from the Purchasing Coordinator/SAP Requisitioner.</p> <p>If the NCB acquisition exceeds DWR's purchasing authority, the purchase order will be issued by DGS-PD.</p>
6	Create Purchase Order (STD. 65)	Buyer	<p>For NCB transactions under \$25,000 the package is then processed by the appropriate DWR Purchasing Group as per the procurement type. (See Step 1 for procurement types.)</p>
7	Submit Non-Competitive Bid Quarterly Report	Purchasing Services	<p>Non-Competitive Bid Contract Quarterly Report: NCB transactions approved by the Department of Water Resources in the range of \$5,000 to \$25,000 are reported to DGS-PD on a quarterly basis by Purchasing Services. Since NCB transactions over \$25,000 must be approved by DGS, it is not necessary for DWR to report these transactions.</p>

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**Department of Water Resources
Enterprise Process Guide
Purchasing 13: Rental of an Off-Site Facility
Current as of: December 28, 2004**

Policy: The Department recognizes the need to rent off-site facilities for meetings, public workshops, conferences, conventions, or training events when sufficient or appropriate space is unavailable within DWR facilities or through other State entities at no cost. Organizations, with the approval of the Division Chief, may rent an off-site facility for public meetings and hearings. All other requests to rent an off-site facility require Deputy Director approval. The Department has implemented the Department of General Services' American Express Meeting Planner Account program to facilitate the rental of these facilities.

Reference:	<ul style="list-style-type: none"> • State Administrative Manual (SAM) 1233(3)(s) (Contracts Exempt From California State Contracts Register Advertising) • State Contract Manual (SCM) 3.20 (Convention and Conference Service Contracts) • SCM 5.80(3)(s) (Contracts Exempt From Advertising In the CSCR and Competitive Bidding) • Management Memo (MM) 03-10 • DAM 3747.2 (Sponsoring or Co-sponsoring Conferences, Conventions, and other Events) • DAM 4242 (State-Sponsored Functions) • DAM 8380.8 (American Express Meeting Planner Account Program) • DAM 8380.9 (Renting an Off-site Facility)
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Responsibility:	<ul style="list-style-type: none"> • Deputy Director • Division Chief • District/Field Division Chief • Division of Fiscal Services <ul style="list-style-type: none"> ◦ Accounts Payable Section • Contract Services Office • Division Contract Coordinator • Division Purchasing Coordinator • Meeting Planner Account Coordinator (MPAC) • Requester
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Forms:	<ul style="list-style-type: none"> • DWR 9556 Event Inquiry Sheet, • DWR 4384 Off-site Facility Rental Request
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General Information:

Off-Site Facilities include:

- Private facilities including, but not limited to, hotel, college, and university meeting/conference rooms
- State college and university meeting/conference rooms

State-owned facilities operated by concessionaires such as Asilomar and the Marconi Conference Center.

Additional Information:

Renting an Off-Site Facility to facilitate the rental of off-site facilities, the Department has acquired an American Express Meeting Planner Account, a method of payment designed to simplify the rental of off-site facilities for meetings, conferences, training, etc. The Department of General Services developed this program with American Express for State agencies to use as their preferred procurement and payment method for off-site facility rentals. This function has been centralized in the Department's Purchasing Services Office (PSO).

The Department's Meeting Planner Account Coordinator in the PSO is responsible for the rental of all off-site facilities and serves as the liaison with the rental facilities that accept the American Express Meeting Planner Account. The MPAC assists in locating off-site rental venues, negotiates rates and services, and coordinates and reconciles payment on all events and related expenses pertaining to this method of payment.

 **NOTE:** Advance planning is critical to scheduling an off-site facility rental. Depending on the type and complexity of the event, it could take up to 3 to 4 months to locate a suitable facility that meets the requester's needs. Sufficient time must be allowed for the MPAC to search for an appropriate facility prior to the event date.

 **NOTE:** If the preferred facility/vendor currently does not accept the American Express Meeting Planner Account and they desire to become an AE merchant, they may contact American Express at 1-800-492-1477. Or the MPAC may submit their request to American Express as a courtesy, and an AE representative will contact the vendor.

If the preferred facility does not wish to be an AE merchant, the requesting DWR organization is responsible for securing an agreement with the facility (i.e. Department Service Authorization, Interagency Agreement or Contract) and coordinating the agreement with the Contract Services Office (CSO). The DWR organization is also responsible for coordinating the method of payment.

For assistance in the contracting process, requesters should work with their [Division/Office Contract Coordinator](#). If this contracting method is to be used, the requesting organization needs to allow enough lead time to work on the agreement with the CSO prior to the event. It could take 3 to 6 months to complete the contract process.

If the [Cash in Advance](#) payment method is required for facilities that are not coordinated by the MPAC, requesters may contact their division Purchasing Coordinator, or Division of Fiscal Services Accounts Payable staff at 653-9668.

 **NOTE:** The MPAC handles all other aspects (i.e. room set-up, equipment and service requirements, etc.) of coordinating the event if the requesting division would like this assistance.

The MPAC ensures that Americans with Disabilities Act requirements are considered when making arrangements for an off-site facility. Staff may also contact the [Department's Disability Coordinator](#) for assistance.

For procedures on sponsoring and co-sponsoring conferences, conventions and other events refer to [Enterprise Process Guide Training 4: Conferences/Conventions](#).

Questions regarding rental of off-site facilities should be referred to the MPAC in the Purchasing Services Office at (916) 654-0633, or click [here](#) to visit the Purchasing Services Office website.

Procedures:

Action		Responsible Party	Procedure
1	Complete and Submit Event Inquiry Sheet	Requester	The requester completes the Event Inquiry Sheet, (DWR 9556) with information pertaining to their event needs and forwards it via e-mail or fax, to the Meeting Planner Account Coordinator. The requester may consult with the MPAC before completing the form.
2	Search for Appropriate Facility	MPAC	The MPAC refers to the DWR 9556 to search (via Internet, convention and visitors bureau, cold-calling via e-mail/phone, site visit) for the appropriate facility best suited to the requester's needs. Facilities are selected based on the requirements for the event, best value, location, and availability.  NOTE: If the requester has a specific property in mind (i.e. past rental, only facility available for area, meets special need, etc.), the name of facility, contact person, and phone number should be included on the DWR 9556 in the comments section.  NOTE: Most State facilities do not charge for using their rooms and will be considered first during the facility search.
3	Request Quotes	MPAC	The MPAC requests quotes via e-mail, fax or phone from the selected facilities.
4	Review Quotes with Requester	MPAC/Requester	The MPAC reviews the quotes received from the potential rental facilities with the requester to select the site best suited to their needs.
5	Complete Offsite Facility Rental Request	Requester	Once the requester has selected a facility, they complete an Off-site Facility Rental Request (DWR 4384) and forward it to the Division/Office Chief for approval.  NOTE: This form is required before the MPAC can formally contract to rent a facility.  NOTE: For procedures on sponsoring or co-sponsoring conferences, conventions or other events, refer to Enterprise Process Guide

			<u>Training 4: Conferences/Conventions.</u>
6a	Review Off-site Facility Rental Request	Division/Office Chief/Requester	<p>The Division/Office Chief reviews and approves or denies the request to rent an off-site facility in accordance with DAM Sections 3747.2 and 8380.9.</p> <p>If approved and the rental is for a public meeting or hearing, the requester forwards a copy to the MPAC so they can complete the facility rental process.</p> <p>For all other events, the DWR 4384 is forwarded to the organization's Deputy Director for approval.</p>
6b	(If applicable) Review Off-site Facility Rental Request	Deputy Director/Requester	<p>The Deputy Director reviews and approves or denies the request to rent an off-site facility in accordance with DAM Sections 3747.2 and 8380.9.</p> <p>The form is returned to the requester. If approved, requester forwards an approved copy of the DWR 4384 to the MPAC so they can complete the facility rental process.</p>
7a	Submit and Review Contract	MPAC	<p>The MPAC issues a standard DWR formal Hotel/Meeting Venue Agreement with the rental facility that documents what may be charged to the American Express Meeting Planner Account and how the charges are to appear or be detailed on the billing statement.</p> <p> NOTE: A facility is considered rented once the agreement is approved and signed by both the rental facility sales representative and the MPAC.</p> <p> NOTE: The rental facility may also require their own rental agreement that the MPAC must review to ensure the terms and conditions are acceptable. If acceptable, the MPAC signs the facility's agreement. If the agreement is not acceptable, the MPAC lines out the terms and conditions that the State does not agree to and returns it to the facility unsigned, for their review. If the facility agrees to the changes, the contract is signed by both parties. If there is no agreement, the MPAC searches for another venue.</p> <p>If the Hotel/Meeting Venue Agreement is used, go to Step 8.</p>
7b	(If	Requester/ Divi	If the preferred rental facility does not accept the

	applicable) Develop Appropriate Contract	sion Contract Coordinator/ Contract Services Office	AE MPA, the MPAC notifies the requester. The requester then works with their Division/Office Contract Coordinator for assistance in developing and processing the appropriate document (i.e., Department Service Authorization, Interagency Agreement or Contract). The requester may also refer to the Enterprise Process Guide Index - Logistics/Contracts for assistance.
7c	(If applicable) Coordinate Payment	Requester/ Accounts Payable Section	If the preferred facility does not accept the AE MPA and requires a Cash in Advance method of payment, the requesting organization contacts their division Purchasing Coordinator or Accounts Payable staff at 653-9668 for assistance.
8	Event Concluded/Review Charges	MPAC/Rental Facility	Once the event has concluded, the rental facility faxes the detailed invoice to the MPAC. The MPAC reviews the charges for accuracy before issuing the AE MPA number and expiration date to accept the expenses. The MPAC works with the facility to resolve any discrepancies before approving the invoice.
9	Submit Approved Statement to Accounting	American Express MPAC	At the conclusion of the monthly billing cycle, AE submits a statement to the MPAC. The MPAC annotates the billing statement with the required cost object and cost element and submits the American Express MPA statement to the Division of Fiscal Services, Accounts Payable Section, for processing.
10	Review/Process Statement	Accounts Payable Section	The Accounts Payable Section reviews the statement for completeness and accuracy and, if all the information is correct, processes for payment. If the statement is incomplete (e.g. missing invoices, does not reconcile, etc.) Accounts Payable contacts the MPAC to resolve the discrepancies before issuing payment.

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**Department of Water Resources
Enterprise Process Guide
Purchasing 14: Purchasing Proprietary Subscriptions and Publications
New: April 17, 2013**

Policy: Proprietary subscriptions and publications may be paid with departmental funds providing the subscription or publication benefits the Department of Water Resources (Department) and is appropriate for the requester's position and duties. A brief written justification from the requester as well as a letter from the vendor verifying the proprietary nature of the subscription content must be included when requesting this type of purchase. This applies to the purchase of proprietary books, periodicals, magazines, newspapers, technical manuals, technical services related to publications, or access to on-line data sources.

Department of General Services, Procurement Division (DGS, PD) policy exempts proprietary subscriptions and publications up to \$250,000 from advertising, competitive bidding, or the Non-Competitive Bid (NCB) process. This exemption does not supersede DGS delegated purchasing authority dollar thresholds, which still apply.

Requests for purchases that exceed the delegated purchasing authority dollar thresholds must be submitted to the appropriate Purchasing Group Buyer or Contract Specialist. The Buyer or Contract Specialist will review, approve, and submit the request to DGS, PD or the DGS, Office of Legal Services (DGS, OLS) for review and approval or execution of the purchase.

Reference:

- [State Contracting Manual Volume 1 Chapter 5](#) – Competitive Bidding Methods
- [State Contracting Manual Volume 1 Chapter 7](#) – Miscellaneous Contracting Issues
- [State Contracting Manual Volume 2 Chapter 5](#) – Non-Competitively Bid (NCB) Contracts
- [State Contracting Manual Volume 2 Chapter 9 – Disbursements, Invoice Payment, Finance and Payment Programs](#)
- [State Contracting Manual Volume 3 Chapter 5](#) – Non-Competitively Bid (NCB) Contracts
- [State Contracting Manual Volume 3 Chapter 9 – Disbursements, Financing and Payment Programs](#)
- [DAM 8320](#) – Purchasing
- [DAM 8320.13](#) – Purchasing Proprietary Subscriptions and Publications
- For detailed procedures, please refer to Accounts Payable and Purchasing [Enterprise Process Guides](#) (EPGs).

<p>Responsibility:</p>	<ul style="list-style-type: none"> • Program Requester • SAP Requisitioner • Approving Official • Buyer • Contract Specialist • Material Master Data Specialist • Vendor Master Data Specialist • AquaAssist • Contract Services (CS) • IT Contracting and Purchasing Services (ITCPS) • Purchasing Services (PS) • Division of Fiscal Services <ul style="list-style-type: none"> ○ Payables Office • Office of the Chief Counsel (OCC) <ul style="list-style-type: none"> ○ Staff Counsel
<p>Forms:</p>	<ul style="list-style-type: none"> • SAP Material Master Data Record Request (DWR 9253) • SAP Vendor Master Data Request (DWR 9512) • Cash In Advance (DWR 9600) • Darfur Contracting Act (DWR 9657) • Additional Bidder Instructions (DWR 9678) • Drug-Free Workplace Certificate (STD. 21) • Purchasing Authority Purchase Order (PO) (STD. 65) • Purchase Estimate (STD. 66) • Payee Data Record (STD. 204) • Standard Agreement (STD. 213) • Non-Competitively Bid (NCB) Contract Justification (GSPD-09-007) • Special Category NCB Request (GSPD-09-008) • Bidder Declaration (GSPD-05-106) • Non-IT Service Contract Action Request Form (SCARF)
<p>General Information:</p> <p>The nature of a subscription dictates that it be obtained through advance payment. The Department’s goal is to take initiative on obtaining discounts or efficiencies. All possibilities should be considered, for example: establishing proprietary subscriptions for multiple years, taking advantage of promotional or sale prices or combining purchases in an effort to reduce overall costs.</p> <p>When the overall purchase for proprietary subscriptions and publications is \$5,000 or less, the Program Requester/SAP Requisitioner or Buyer will use the State’s CAL-Card to purchase the proprietary subscription or publication for an annual subscription fee. This option may not be used for monthly payments. In the event the vendor does not accept the CAL-Card or Purchase Order (PO), the Program Requester/SAP Requisitioner will use the Cash in Advance request procedure that is available through the Payables Office in the Division of Fiscal Services. If the documentation (sales agreement or invoice) does not state “payment in advance is mandatory” the Payables Office may contact the vendor for confirmation.</p>	

Proprietary subscriptions and publications over \$5,000 are categorized into three types for the purpose of allocating work to the correct section within the Department's purchasing and contracting staff structure:

1. Non-IT Goods
2. IT Goods and Services
3. Contract Services

Consult with procurement or contracting staff when determining where a request should be submitted.

Some organizational memberships include on-line subscriptions to data sources, in which case payment of the annual membership fee entitles the member to access the data source(s).

Minor technical services associated with subscriptions are acceptable, e.g. providing some minimal training on use of the on-line resources.

Legal Considerations:

General Provisions or General Terms and Conditions are to be included in all procurements for proprietary subscriptions and publications in excess of \$100. These Provisions and Conditions apply as follows, if the purchase is transacted by:

- Purchasing Services ([GSPD-401 Non-IT Commodities](#))
- IT Contract and Purchasing Services ([GSPD-401 IT](#))
- Contract Services ([GTC 610](#))

Prior to execution of a purchasing document, the vendor must be provided with an opportunity to review and accept the General Provisions or General Terms and Conditions.

When subscribing to a magazine, newspaper, or on-line service, the subscriber is accepting a use agreement by virtue of purchasing that intellectual property.

Contract forms, license agreements, sales agreements, or ordering forms provided by a vendor must be submitted to the appropriate Purchasing Group Buyer or Contract Specialist. At an appropriate point in the process, the Buyer or Contract Specialist will submit the package, including these documents, to the Department's Office of the Chief Counsel (OCC) for review and approval for legal form and sufficiency. Employees may sign such vendor contracts or agreements only after receiving OCC's approval.

The DGS, OLS reviews proprietary subscriptions over \$50,000 that are prepared by Contract Services using the Standard Agreement ([STD. 213](#)) service contract form.

Definitions and Reference:

Subscription:

- An arrangement for providing, receiving, or making use of something of a continuing or periodic nature on a prepayment plan.
- An agreement to receive or be given access to electronic texts or services, especially over the Internet.

Product of the Mind

- Intellectual property; a product of the intellect that has commercial value, including copyrighted property such as literary or artistic works, and ideational property, such as patents, business methods, and industrial processes.

Technology

- Technology includes, but is not limited to, all electronic technology systems and services, automated information handling, system design and analysis, conversion of data, computer programming, information storage and retrieval, and business telecommunications systems and services. ([GC §11532](#))

Information Technology

- Information technology means all computerized and auxiliary automated information handling, including systems design and analysis, conversion of data, computer programming, information storage and retrieval, voice, video, data communications, requisite systems controls, and simulation. The term “information technology” is commonly abbreviated as “IT.” ([SAM 4819.2](#))

Proprietary Subscriptions

- Proprietary subscriptions, proprietary publications and/or technical manuals (manuals, law books, technical manuals, technical services related to publications, etc.) regardless of media format, up to \$250,000 are exempted from advertising, competitive bidding, and the Non-Competitive Bid (NCB) process by DGS, PD policy. ([SCM Volume 2, Chapter 5.5.1 Purchases Exempt by the DGS Policy](#))

Final Documentation

For procurement compliance reviews, audits, and to sustain good business practices, transactions for proprietary subscriptions must contain the following file documentation as appropriate:

- Evidence of appropriate level of approval
- Specifications
- Price quote(s) received for proprietary subscription or publication
- Documentation of proprietary nature of the content being accessed through the subscription or publication
- Copy of procurement documents (approved Cash In Advance request, CAL-Card Statement, Purchase Order, Standard Agreement, and amendments, etc.)
- Vendor license or sales agreement with documentation of legal review and approval
- Related correspondence, paper or electronic

Procedure		
Action	Responsible Party	Procedure
1	Identify Subscription and Prepare Appropriate Documents	<p>Program Requester/ SAP Requisitioner/ Buyer/ Contract Specialist</p> <p>Requester identifies the proprietary subscription to be ordered, the quantity, the proprietary subscription period, and the cost.</p> <p>Send a copy of the Department's General Provisions/Terms and Conditions to the vendor for quote requests and/or purchases over \$100. If the purchase is transacted by:</p> <ul style="list-style-type: none"> • Purchasing Services (GSPD-401 Non-IT Commodities) • IT Contract and Purchasing Services (GSPD-401 IT) • Contract Services (GTC 610) <p>For quote requests and purchases over \$5,000, provide vendor with a copy of the Department's Bidder Instructions, Additional Bidder Instructions (DWR 9678), Bidder Declaration (GSPD-05-106), and Darfur Contracting Act (DWR 9657), if applicable, with the appropriate General Provisions/Terms and Conditions.</p> <p>Obtain written acceptance of the Department's General Provisions/Terms and Conditions from the vendor.</p> <p>Forward all documents (quotes, specifications, vendor forms, etc.) to the SAP Requisitioner.</p> <p>Note:</p> <p>1) Because proprietary subscriptions are often renewed annually, it is advisable to establish a material master record.</p> <p>2) Requisitioners must specify the material group, "Publications/Subscriptions" to categorize the purchase.</p> <p>3) Contract forms, license agreements, sales agreements, or ordering forms provided by a vendor must be sent to the appropriate Purchasing Group Buyer or Contract Specialist. The Buyer or Contract Specialist will submit the procurement package to the Department's OCC for review and written approval.</p> <p>4) The DGS, OLS reviews proprietary subscriptions over \$50,000 when prepared by CS using the Standard Agreement (STD. 213).</p>

2	Categorize and Submit the Order for Processing	Program Requester/ SAP Requisitioner/ Buyer/ Contract Specialist	<p><u>Proprietary subscriptions and publications up to \$5,000</u> are purchased using a CAL-Card. Refer to Enterprise Process Guide, Purchasing 1: CAL-Card Purchasing, for detailed procedures.</p> <p>If the vendor will not accept CAL-Card payment, a Purchase Order (PO) should be prepared.</p> <p>If the vendor will accept a PO, refer to Enterprise Process Guide, Purchasing 5: Purchasing Under \$5,000 (no RFQ), for detailed procedures.</p> <p>If the vendor will not accept either CAL-Card or a PO, use the Cash In Advance procedure. Refer to Enterprise Process Guide, Accounts Payable 2: Requesting a Cash In Advance, for detailed procedures, and complete the Cash In Advance (DWR 9600).</p> <p><u>From \$5,001 to \$100,000</u> for hard copy books, manuals, periodicals, magazines, and newspapers, or proprietary subscriptions that require access to on-line data sources to retrieve data are purchased by PS. Refer to Enterprise Process Guide, Purchasing 4: Purchases Over \$5,000 (RFQ), for detailed procedures.</p> <p><u>From \$100,001 to \$250,000</u> are purchased by DGS, PD via a Purchase Estimate (STD. 66). Refer to Enterprise Process Guide, Purchasing 6: Purchase Estimates, for detailed procedures.</p> <p><u>Over \$250,000</u> are purchased by DGS, PD via an NCB Contract Justification (GSPD-09-007) or Special Category NCB Request (GSPD-09-008). Refer to Enterprise Process Guide, Purchasing 12: Non-Competitively Bid Contracts (For Goods), for detailed procedures.</p> <p><u>IT Proprietary subscriptions</u> need careful analysis. SCM Volume 3, Topic 5.6.1, Purchases exempt by the DGS policy, permits the acquisition of proprietary subscriptions, proprietary publications, and/or technical manuals (manuals, law books, technical manuals, technical services related to publications, etc.) regardless of media format, up to \$250,000 using the IT Goods and Services purchasing authority. Questions regarding IT proprietary services policy and procedures should be addressed to the IT Contracting and Purchasing Services (ITCPS). Refer to Enterprise Process Guide, Purchasing 8: Standard IT Purchases,</p>
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			<p>for detailed procedures.</p> <p>Services related to proprietary subscriptions are purchased by CS using a Standard Agreement (STD. 213). Refer to Non-IT Service Contract Action Request Form (SCARF).</p>
3	OCC Review (if applicable)	Buyer/ Contract Specialist/ Staff Counsel	<p>When contract forms, license agreements, sales agreements, or ordering forms are provided by a vendor, the Buyer or Contract Specialist will submit the procurement package, including the vendor's forms, to the Department's OCC for review and written approval.</p> <p>The OCC may:</p> <ul style="list-style-type: none"> • Authorize signing the contract form, license agreement, sales agreement or ordering form provided by the vendor. • Deny approval of the form(s) provided by the vendor and require vendor acceptance of the State's Terms, Conditions, and General Provisions. • Prepare Special Terms, Conditions, and General Provisions applicable to the specific acquisition. <p>Note: Only upon the Department's OCC approval, may Department staff sign vendor agreements and complete the acquisition.</p>
4	Complete the Procurement Transaction	Buyer/ Contract Specialist	<p>Upon conclusion of processing, including receipt of OCC approval when applicable, the Buyer or Contract Specialist completes the transaction and distributes documents accordingly as detailed in the EPGs listed in Step 2.</p>

Enterprise Process Guides are maintained by the Management Analysis Office.

If you have comments or suggestions on the Enterprise Process Guides, submit a Service Request via AquaAssist or contact the IT Service Center at 916-653-8723.

[Return to MAO's Home Page](#)

**Department of Water Resources
Enterprise Process Guide
Mobile Equipment 1: Procurement of Mobile Equipment
Revised July 27, 2010**

<p>Policy: The Department of General Services' (DGS) Office of Fleet and Asset Management (OFAM) have delegated full fleet management authority to the Department of Water Resources' (Department) Fleet Management Branch to manage the mobile equipment fleet owned by the Department. This includes procurement approval, inspection, maintenance, utilization, repairs, modification and disposal of mobile equipment owned by the Department. Mobile equipment is defined as any vehicle, nautical, construction and/or maintenance-type equipment that is operated with an internal combustion engine.</p>	
Reference:	<ul style="list-style-type: none"> • Government Code 13332.09 - Acquisition or Replacement of Motor Vehicles • SAM 3620 - Acquisition of Vehicles • SAM 4110 - Mobile Equipment Purchases • DAM 1143.3 - Transportation Office • DAM 4122- 4122.1 - Department of Water Resources Cars • Delegation of Authority dated 7/16/98 from Department of General Services, Office of Fleet and Asset Management
Responsibility:	<ul style="list-style-type: none"> • Fleet Management Branch <ul style="list-style-type: none"> ○ Chief of the Fleet Management Branch ○ Mobile Equipment Superintendent II ○ Fleet Management Office Equipment Engineers ○ Fleet Management Office Authorized SAP Requisitioner • Division Equipment Coordinators • Division Approving Officials (Section/Branch/Region/Field Division Chief) • Purchasing Services <ul style="list-style-type: none"> ○ Buyer • Division of Fiscal Services <ul style="list-style-type: none"> ○ Budget Office • Department of General Services (DGS) <ul style="list-style-type: none"> ○ Office of Fleet and Asset Management (OFAM) ○ Procurement Division
Forms	<ul style="list-style-type: none"> • Receipt of New Equipment and Disposition of Property (DWR 160) • Requisition (DWR 220) • Application for Assignment of Mobile Equipment (DWR 509) • Mobile Equipment Inspection Report (DWR 4381) • Mobile Equipment Asset Plan for Department of General Services, Fleet and Asset Management (OFA 160) • Property Survey Report (STD. 152)
<p>General Information:</p> <p>The Fleet Management Branch will provide assistance if any Division has equipment questions or comments. Click here to contact the Chief of the Fleet Management Branch.</p>	

Mobile Equipment Not Requiring DGS OFAM Approval

Departments are not required to obtain the DGS' Office of Fleet and Asset Management approval on the following fleet type assets regardless of being registered by the DMV or not:

- Golf Cart
- Mower
- Generator
- Mobile home and/or office
- Forklift
- Pallet jack
- Personnel hoist
- Trailer
- Agriculture or construction equipment pulled by a vehicle
- Other fleet-related equipment as determined by the OFAM

Procedures:

Action		Responsible Party	Procedure
1	Review Department Fleet and determine possible survey equipment	Chief of the Fleet Management Branch	<p>Identify Replacement Equipment</p> <p>Chief of the Fleet Management Branch prepares the Scheduled Mobile Equipment Replacement List each year and meets with the Equipment Coordinators to discuss the list and agree on survey/replacement items. This list identifies possible Department-owned equipment scheduled for replacement.</p> <p>Due Date to Equipment Coordinators: by April 1st.</p>
2	Conduct Annual Survey of Mobile Equipment	Fleet Management Branch	<p>Complete Necessary Forms</p> <p>The Fleet Management Branch will:</p> <ul style="list-style-type: none"> • Inspect identified items from the Scheduled Mobile Equipment Replacement list to evaluate equipment based on established criteria (mileage, maintenance, etc.) • Determine if survey/replacement items meet criteria • Prepare the following forms for those survey/replacement items: <ul style="list-style-type: none"> • Mobile Equipment Inspection Report (DWR 4381) • Property Survey Report (STD. 152) • Receipt of New Equipment and Disposition

			<p>of Property (DWR 160)</p> <p>Upon completion of the above, the Fleet Management Branch forwards the forms to the DGS, Office of Fleet and Asset Management (OFAM) for their review and stamp of approval.</p> <p>Note: Surveys are conducted by the Fleet Management Branch in May.</p>
3	Prioritizes the equipment list.	Equipment Coordinator	<p>Prioritizes Equipment List</p> <p>Upon DGS, Office of Fleet and Asset Management review/approval of STD. 152, the Equipment Coordinator prioritizes equipment requests within their organization based on operational needs and equipment budget. Equipment Coordinator is also responsible for prioritizing and justifying additional equipment needs and/or upgrades.</p> <p>Due Date: Completed by June 1st.</p>
4	Complete Mobile Equipment Application (DWR 509)	Equipment Coordinator	<p>Complete Equipment Application Request</p> <p>The Equipment Coordinator completes the Application for Assignment of Mobile Equipment (DWR 509), for the following:</p> <ol style="list-style-type: none"> 1. Direct Replacement - same classification/type of vehicle and/or equipment) 2. Upgrade - change of classification/type of vehicle and/or equipment) 3. Additional – additional vehicles and/or equipment to their unit <p>The Equipment Coordinator signs all of the DWR 509s and forwards them to the appropriate Approving Official.</p> <p>Due Date to Section/Branch/Region/Field Division Chief: by June 15th</p>
5	Mobile equipment request approval process (DWR 509)	Approving Official (Section / Branch / Region/Field Division Chief)	<p>Equipment Request Approved</p> <p>The designated Approving Official reviews each DWR 509 request form and determines the correct Internal Order/Functional Area based on each Unit's equipment budget.</p> <p>Note: Schedule 9 authority resides within the Fleet Management Branch.</p>

6	Final Approval of Equipment Request	Division Chief	<p>The Division Chief reviews and approves each DWR 509. Once equipment requests have been signed, the entire Equipment Package is forward to the Fleet Management Branch.</p> <p>Due Date to the Fleet Management Branch: by July 15th.</p>
7	Annual Equipment Request Package is Created	Chief of the Fleet Management Branch	<p>Final Approval of DWR 509 Equipment Request</p> <p>The Chief of the Fleet Management Branch evaluates each DWR 509 form and approves. An Annual Equipment Package is created for the Department. The Equipment Package reflects equipment costs for approved new purchases, upgrades, and any additional equipment requested.</p> <p>Note: Only approved equipment will be purchased.</p>
8	Approved Equipment Package	Fleet Management Branch	<p>Approved Equipment Package</p> <p>Upon receipt of the approved Equipment Package, the Fleet Management Branch will:</p> <ul style="list-style-type: none"> • Verify available Schedule 9 authority and funds against the DWR 509. • Gather cost information • Prepare Mobile Equipment Asset Plan for Department of General Services, Fleet and Asset Management (OFA 160). • Forward Mobile Equipment Asset Plan to the Chief of Fiscal Services for approval. Package includes OFA 160 and Budget spreadsheet. • Forward Mobile Equipment Asset Plan to the appropriate Deputy Director authorized by the Director to approve Plan. • Forward Mobile Equipment Asset Plan to DGS, Office of Fleet and Asset Management.

9	Acquisition of Approved Mobile Equipment Asset Plan	Fleet Management Branch	<p>Purchasing new Vehicles and Equipment</p> <p>Upon receipt of the approved Mobile Equipment Asset Plan, the Fleet Management Branch carries out the following:</p> <ul style="list-style-type: none"> • Prioritize requests. • Create SAP Master Data for each DWR 509 Equipment Request. • Help Desk ticket is created to have SAP Master Data Assets tied to an Internal Order number as per DWR 509. Request is sent to the Financial Reporting and Analysis Office. <p>Fleet Management Branch Engineers develop technical specifications for fabrication and purchase of mobile equipment which will include meeting with end users and appropriate vendors. The Engineers will submit individual equipment packages to the Fleet Management Branch SAP Requisitioner, package consist of:</p> <ul style="list-style-type: none"> • DWR 509 • Technical specifications • Requisition (DWR 220) <p>The Fleet Management Branch SAP Requisitioner creates Requisitions for various Mobile Equipment.</p> <p>Chief of the Fleet Management Branch reviews each requisition, releases and emails the appropriate Buyer and requests a Purchase Order or Purchase Estimate to be created.</p> <p>Upon receipt of the Purchase Order or Purchase Estimate, the Fleet Management Branch takes the Equipment package to the DGS, Office of Fleet and Asset Management for final approval of purchase.</p> <ul style="list-style-type: none"> • Upon receipt of approved Purchase Order from DGS, the package is faxed or emailed to the awarding vendor. • Upon receipt of the approved Purchase Estimate from DGS, the package is forward to the appropriate Buyer who then forwards the package to DGS, Procurement
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**Department of Water Resources
Enterprise Process Guide
Contracts 3: Consultant Contracts
Date: May 6, 2002**

Policy: The Department may retain the services of a consultant when the services required are of an advisory nature that provides a recommended course of action or personal experience.

REQUIREMENT: You must comply with the provisions regarding conflict of interest when considering a consultant contract. See Enterprise Process Guide, [Contracts 10: Compliance with the Political Reform Act](#).

The Director of the Department of Water Resources is the final authority in determining the selection of departmental consultants.

<p>Reference:</p>	<ul style="list-style-type: none"> • Government Code 4525 - Contracts with Private Architects, Engineering, Land Surveying, and Construction Project Management Firms • Public Contract Code 10295 - Approval of Contracts • SAM 1200 - Contracts • State Contracting Manual <ul style="list-style-type: none"> ○ Section 3.02 (Consultant Services Contract) ○ Section 3.09 (Amendments) • DAM 6500 - Consultant Services • DWR Contract Guidelines • Contracts 10: Compliance with the Political Reform Act
<p>Responsibility:</p>	<ul style="list-style-type: none"> • Program Requester / Contracts Coordinator • Program Manager • DWR Help Desk • Contract Buyer (Contract Services) • Vendor Master Data Specialist • Approving Officials (Field Divisions only) • Division/District/Office Chief • Human Resources Office • Office of the Chief Counsel • Division of Fiscal Services <ul style="list-style-type: none"> ○ Budget Office ○ Payables Office • Department of General Services <ul style="list-style-type: none"> ○ Legal Office ○ Procurement Division • Secretary for Resources
<p>Forms:</p>	<ul style="list-style-type: none"> • Contract Advertising Exemption Request (STD. 821) • Payee Data Record (STD. 204) • Agreement/Summary (STD. 215) • Agreement and Transmittal Checklist (DWR 3715)

General Information:

Definition

A consultant services contract is a contract between the State and a private firm which provides services that are of an advisory nature and provides a recommended course of action or personal expertise (SCM 3.02). Consultant Services contracts have the following characteristics:

1. The contract calls for a product of the mind rather than the rendition of mechanical or physical skills.
2. The product may include anything from answers to specific questions to the design of a system or plan.
3. Consulting services may include workshops, seminars, retreats, and conferences for which paid expertise is retained by contract, grant, or other payment for services.

Consultant services contracts do not include:

1. Contracts between state agencies and the federal government.
2. Contracts with local agencies, as defined in Revenue and Taxation Code Section 2211, to subvene federal funds for which no matching state funds are required.
3. Contracts for the development, maintenance, administration, or use of licensing or proficiency testing examinations.
4. Contracts for architectural and engineering services. (Government Code 4525)
5. Contracts that are expressly exempted from the provisions of Public Contract Code Section 10295.

SCM 3.02.1 outlines the contract requirements for consultant services contracts.

Solicitation Methods

The Department's preferred method for soliciting consultant services is through the use of a Request for Proposal (RFP); however, an Invitation for Bid may be used when the exact job description can be defined. Enterprise Process Guide [Contracts 2: Solicitation and Competitive Bidding](#) outlines the general procedure for selecting a consultant through the solicitation process. If there is a question as to which solicitation method should be used, contact the Contract Services Office.

This guide documents the preferred RFP process for selecting consultants. The development and award of consultant services contracts by an RFP is discussed in Section 3.02 of the State Contracting Manual. Contract Preparers should coordinate with their program managers and administrative officers when an RFP is to be developed. Contract Services' Buyers are also available to provide consultation, if needed. The use of an RFP does not eliminate the need for competition in selecting the consultant. Advertising in the California State Contracts Register (CSCR) and appropriate trade papers will be necessary in the majority of situations. An RFP should not be used in situations where there is an accepted industry standard associated with the services to be obtained. For example, a CPA firm would be solicited by the use of an Invitation for Bid rather than an RFP where the required service is to conduct a financial audit.

A Request for Proposal is used when the desired service or expertise can be defined, but a

comparison of approaches or methodologies, qualifications, or cost is necessary to obtain that service or expertise at a reasonable cost. At a minimum, the RFP must include:

1. A clear description of the services or expertise required;
2. A description of the format the proposals shall follow and the elements they shall contain;
3. The standards to be used to evaluate the proposals; and
4. A timetable for submission, review, evaluation, and award.

There are two selection methods for the RFP process:

- The preferred and primary method, sometimes referred to as the "two-envelope method", requires that the consultant's proposal for accomplishing the work is submitted in one envelope, and the cost proposal is submitted in a separate, sealed envelope. The eligible proposals (i.e., those filed on time and in the manner prescribed) are reviewed, and only those proposals meeting the minimum standards and format requirements are rated or scored. The sealed envelopes containing the cost information for the rated proposals only are opened and read publicly. The contract is then awarded to the lowest responsible proposer meeting the established standards.
- The second method, while not recommended, utilizes a review committee that rates the proposals which meet the established format requirements and assigns a score. This method is also referred to as the "highest score" method. DGS discourages the use of this method because it has the incidental effect of diluting the benefit of the small business preference. If the Department chooses to use this method, DGS advance approval is required prior to RFP advertisement, and the Department must demonstrate in detail that responsible certified small businesses were not excluded from the process by the use of the secondary RFP selection method. This method should be limited to those instances in which the Department is seeking a unique solution to a problem or situation that cannot necessarily be resolved by the lowest proposer.

Legal Services

When it is necessary to hire an outside attorney for legal counsel, prior approval must be obtained from the Secretary of Legal Affairs and Counsel to the Governor. Consult your Contract Buyer in the Contract Services Office for the appropriate point of contact. Consultant contracts for outside attorneys are exempt from advertising.

Note: TAX DELINQUENT STATUS VERIFICATION

- a. Effective July 1, 2012 [Public Contract Code 10295.4](#), requires state agencies to verify the tax delinquent status of bidders responding to state solicitations.
- b. At the time of bid evaluation, prior to contract award and execution, DWR will verify all bidders and identified subcontractors as not listed as tax delinquent by the Franchise Tax Board and the Board of Equalization. Any bidder or subcontractor listed as tax delinquent shall result in a bid rejection and will not be considered for contract award. Bidders wanting further clarification can refer to the statute above or to the web sites listed below for additional information.

Board of Equalization – Top 500 Sales Tax and Use Delinquencies

<http://www.boe.ca.gov/cgi-bin/deliq.cgi>

Franchise Tax Board – Top 500 Delinquent Tax Payers

https://www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtml

Procedure:

Action		Responsible Party	Procedure
1	Prepare service specifications	Program Requester / Contracts Coordinator	<p>The Program Requester / Contracts Coordinator determines the need for a service and prepares detailed service specifications. It is important that the RFP thoroughly communicates the Department's specific needs, requirements, goals, and objectives for the service.</p> <p>REFERENCE:</p> <p>DWR Contract Guidelines</p> <p>SCM 5.15, Request for Proposals (RFP)</p> <p>Estimated Time: 5-10 work days</p>
2	(Optional) Obtain Governor's Office prior approval when hiring outside legal counsel	Contracts Coordinator/ Office of the Chief Counsel	<p>When it is necessary to contract for outside legal counsel, prior approval must be obtained from the Governor's Office.</p> <p>The Contracts Coordinator prepares an approval memo from the Division/District/Office Chief to the Secretary of Legal Affairs and Counsel to the Governor, Governor's Office. The memo should be forwarded through the Department's Office of the Chief Counsel.</p> <p>Estimated time: 7-10 work days</p>
3	Create service requisition	Contracts Coordinator	<p>Create a Service Requisition for Services; Transaction Code ME51 (opens a new browser window)</p> <p>The Contracts Coordinator creates a service requisition (Document type is RV) in SAP. The requisition number created in SAP serves as the RFP number in the advertisement and must appear on all documents submitted by bidders.</p> <p>Estimated Time: 1 work day</p>
4	(Optional)	Contracts	If exemption from advertising in the electronic

	Obtain request for exemption from advertising	Coordinator	<p>California State Contracts Register will be requested, the Contracts Coordinator completes and obtains approval of a Contract Advertising Exemption Request (STD. 821). The STD. 821 must be signed by the program Manager and mailed directly to the Department of General Services' Procurement Division for approval.</p> <p>REFERENCE:</p> <p>DWR Contracts Guidelines</p> <p>Click the appropriate link or reference the following:</p> <ul style="list-style-type: none"> • STD. 821 • SAM 1233 Contract Exemption from California State Contracts Register Advertising • SCM 5.80 Contracts Exempt from Advertising in the CSCR and Competitive Bidding <p>Estimated Time: 5-7 work days</p>
5	(Optional) Obtain Request for DVBE exemption	Contracts Coordinator	<p>If DVBE exemption will be requested, the Contracts Coordinator should contact the DWR DVBE Advocate for detailed information on requesting DVBE exemption.</p> <p>Estimated Time: 5-7 work days</p>
6	(Optional) Obtain prior approval for multi-year contracts	Contracts Coordinator	<p>The Contracts Coordinator prepares a memorandum requesting approval for contracts with a minimum term of three years and forwards it to the Department of General Services' Legal Office for approval. The approved memorandum is forwarded to Contract Services with the RFP package.</p> <p>REFERENCE:</p> <p>SCM 7.80 Multiple Year Contracts</p> <p>Estimated Time: 5-7 work days</p>
7	Create request for Proposal	Contracts Coordinator	<p>It is important to have the RFP prepared for mailing prior to placing your ad electronically in the California State Contracts Register.</p>

			<p>Potential bidders may request an RFP from the first date advertised through the bid opening date or, if there is a mandatory pre-bid meeting or walk-through, up to the date and time of that meeting or walk-through.</p> <p>REFERENCE:</p> <p>Contract Buyer or DWR Contract Guidelines SCM 5.35 What to Include in an RFP.</p> <p>Estimated Time: 5-10 work days</p>
8	Advance RFP	Contracts Coordinator	<p>The Contracts Coordinator places an electronic advertisement in the California State Contracts Register. The Contracts Coordinator contacts Contract Services for lists and assistance if other advertising sources are required. These sources include, but are not limited to, trade papers, professional publications, veterans' organizations, etc.</p> <p>REFERENCE:</p> <p>Contract Buyer or Contract Guidelines for detailed instructions on advertising for RFPs.</p> <p>Time Required to Publish Ad: 3 work days Advertisement Run Time: 14 calendar days</p>
9	Distribute RFP packages	Contracts Coordinator	<p>The Contracts Coordinator distributes RFP packages to all parties responding to the CSCR or other advertisements. In addition, RFPs should be sent to any other known interested or qualified potential bidders who have not responded to the advertisement.</p> <p>Check both the certified Disabled Veteran and Small Business lists (SB/DVBE Queries) on the Internet for businesses that should receive an RFP package.</p> <p>REFERENCE:</p> <p>DWR DVBE Advocate</p> <p>Estimated Time: 10 work days</p>
10	(Optional) Conduct pre-bid conference or walk-through	Contracts Coordinator	<p>A pre-bid meeting, walk-through, or bid opening date may not be scheduled until at least 7 days after the ad has run its full 14-day term. This is</p>

			<p>to allow time for potential bidders who requested an RFP package on the 14th day sufficient time to review the package and make arrangements to attend the pre-bid meeting or walk-through.</p> <p>Estimated Time: 10 work days</p>
11	Receive responsive proposals	Contracts Coordinator	<p>The Contracts Coordinator collects and records the proposals from responsive vendors.</p> <p>The Contracts Coordinator must reject any late proposals and return them unopened.</p> <p>Estimated Time: 1 work day</p>
12	Evaluate proposals	Contracts Coordinator	<p>The Contracts Coordinator evaluates the proposals pursuant to the procedure specified in the RFP to determine which bidder is the lowest responsible bidder meeting the minimum technical standards, taking into consideration the small business preference.</p> <p>Note: The Department may, at its discretion, reject all proposals.</p> <p>Estimated Time: 1 work day</p>
13	Evaluate contractor's prior performance	Contract Buyer / Contracts Coordinator	<p>With consulting services contracts of \$5,000 or more, the Contract Buyer must request a copy of any negative evaluations from the Department of General Services, Office of Legal Services, and will forward results to the designated Contracts Coordinator.</p> <p>The Contracts Coordinator will document the review of any negative evaluations received on the Agreement/Summary (STD. 215) in the Summary of Bids section.</p> <p>REFERENCE:</p> <p>SCM 3.02.3 Review of Prior Performance Evaluations</p> <p>Estimated time: 7-10 work days</p>
14	Request director's approval	Program Manager / Contracts Coordinator	<p>The Program Manager/Contracts Coordinator prepares a memorandum and routes it through the Division Chief, Personnel Office, the appropriate Deputy Director, and the Director, for approval before the consultant agreement can be entered into. The memorandum must</p>

			<p>contain:</p> <ul style="list-style-type: none"> • Description of the consultant services and identification of consultant selected; • Justification and discussion of consultant selection, including special expertise, knowledge, and/or skills, and total contract cost to be paid; • Identification of the Department's program manager, coordinator, or contact person, including phone number; • Anticipated term of contract; • Approval blocks for the Personnel Officer, the appropriate Deputy Director, and the Director. <p>The memorandum is routed through channels for signature approval prior to development of the contract package.</p> <p>Estimated time: 5 work days</p>
15	Post intent to award	Contracts Coordinator	<p>The Contracts Coordinator posts a notice of intent to award in a public location within the Department's offices at least five working days before the contract can be awarded.</p> <p>The Contracts Coordinator may also notify all bidders of the intent to award by telephone, fax, or letter.</p> <p>Estimated Time: 5 work days</p>
16	Obtain contractor's documentation	Contracts Coordinator	<p>The Contracts Coordinator gathers required documentation, as necessary, for the contract package and forwards it to Contract Services with the RFP package. Include all items listed on RFP package checklist, such as:</p> <ul style="list-style-type: none"> • Payee Data Record (STD. 204) • Contractor's Certification Clause (<u>mandatory</u> for all agreements) • Insurance Certificate <p>Estimated Time: 5 work days</p>
17	(Optional)	Contracts	A bidder may protest the award based on the

	Protest RFP	Coordinator	<p>claim that he/she should have received the award because either he/she was the lowest responsible bidder (meeting the minimum technical requirements) or DWR had not followed the procedures prescribed in the Public Contract Code for RFPs.</p> <p>A protest must be filed with the Department of Water Resources and the Department of General Services after the notice of intent to award the contract but before the actual award.</p> <p>The contract award is delayed when a protest is received by the Department of Water Resources or the Department of General Services. The contract may not be awarded until the protest is withdrawn or DGS has rendered a decision.</p> <p>REFERENCE:</p> <p>SCM 6.10 Procedures for Protesting an Award</p> <p>Estimated Time: 5 work days</p>
18	Update and finalize service requisition	Contracts Coordinator	<p>Change a Service Requisition; Transaction Code ME52 (opens a new browser window)</p> <p>Upon the award of the contract, the Contracts Coordinator revises the service requisition with the following information:</p> <ul style="list-style-type: none"> • The total amount for each year of the contract. • The winning bidder in the Desired Vendor field (the Contracts Coordinator selects the appropriate matchcode from the Vendor Master Data Record OR contacts the DWR Help Desk to assign a help desk ticket to the Vendor Master Data Specialist to create a new Vendor Master Data Record. The Contracts Coordinator must forward the original STD. 204 to the Vendor Master Data Specialist for the Division of Fiscal Service's records. • The vendor name and address will be entered in the item text field in the

			<p>requisition specs screen.</p> <ul style="list-style-type: none"> The contract term start and end dates, program manager's name, name and address of contractor person authorized to sign contract, must also be included in the item text field. <p>The requisition will then be used by the Contract Buyer to create the contract.</p> <p>Estimated Time: 1 work day</p>
18a	(Optional) Create A Vendor Master Data Record	Vendor Master Data Specialist	<p>Create Vendor (Centrally); Transaction Code XK01 (opens a new browser window)</p> <p>Upon receipt of the STD. 204, the Vendor Master Data Specialist creates a new Vendor Master Data Record, if necessary, and notifies the requester once the record has been completed.</p> <p>Estimated Time: 1/2 work day</p>
19	Release Requisition	Contracts Coordinator/ Approving Officials	<p>Release Strategy; Transaction Code ME54 (opens a new browser window)</p> <p>Upon completion of the SAP requisition, Contract Coordinators contact the appropriate Approving Official to review, approve, and release SAP requisition line item(s).</p> <p>The Contracts Coordinator will then notify the appropriate Contract Buyer to alert him/her of the released SAP requisition. Contract Buyer will issue contract number.</p> <p>Estimated Time: 1 work day</p>
20	Draft Agreement/ Summary (STD. 215)	Contracts Coordinator	<p>The Contracts Coordinator prepares a draft Agreement/Summary (STD. 215), in accordance with the Agreement and Transmittal Checklist (DWR 3715), and forwards it to Contract Services electronically either via e-mail or on a diskette. The Contract Buyer will review the STD. 215 and notify coordinator of changes, if necessary. Contract Coordinator obtains two originally signed STD. 215s.</p> <p>Estimated Time: 1-3 work days</p>
21	Forward RFP documentation and	Contracts Coordinator	<p>The Contracts Coordinator forwards all RFP documentation to the Contract Buyer, including</p>

	specifications to Contract Services		<p>the service specifications (on diskette) and all attachments to the STD. 215 as listed on the DWR 3715.</p> <p>Estimated Time: 1 work day</p>
22	Review contract data	Contract Buyer	<p>Contract Buyer reviews existing contract data in the Contract Services Office to verify if the Department has any other active contracts with the consultant.</p> <p>If so, DGS approval may be required.</p> <p>Estimated time: 2-4 work days</p>
23	Prepare contract package and Create purchase order	Contract Buyer	<p>Upon receipt of the RFP documentation and service specifications, the Contract Buyer prepares the final contract package in accordance with the Standardized Contract Process and applicable contracting rules and regulations.</p> <p>The Contract Buyer uses the SAP contract to create the Purchase Order in SAP (Document 50).</p> <p>Note: For multi-year contracts, a new Purchase Order is created in SAP at the beginning of the next Fiscal Year to encumber funds.</p> <p>The Contract Buyer routes the complete package to obtain the appropriate signatures.</p> <p>Estimated Time: 5-10 work days</p>
24	Obtain legal approval and Budget Office review	Office of the Chief Counsel / Budget Office	<p>The Contract Buyer forwards the contract package to the DWR Legal and Budget Offices. Legal reviews the contract and approves it as to legal form and sufficiency. The Budget Office verifies funding.</p> <p>Estimated Time: 5 work days</p>
25	Obtain contract signatures	Contractor / Contracts Coordinator	<p>Upon receipt of the contract from the Legal and Budget offices, the Contract Buyer forwards the contract package to the Contractor for signature. Upon receipt of the signed contract package, the Contract Buyer forwards the contract package to the Division Contracts Coordinator to review and obtain Division signatures.</p>

			Estimated Time: 5-10 work days
26	Obtain Department of General Services Legal Office approval	Department of General Services' Legal Office	<p>Upon receipt of the signed contract (from both Contractor and Division), the Contract Buyer forwards all contracts over \$35,000 (\$50,000 for Interagency) to DGS, Office of Legal Services, for approval.</p> <p>In addition, if the Department is entering into more than one consultant services contract with the same contractor within a 12-month period for a combined amount of \$12,500 or more, the Contract Buyer forwards to DGS for approval the contract that causes the \$12,500 threshold to be exceeded.</p> <p>Estimated Time: 8-12 work days</p>
27	Distribute approved contract	Contract Buyer	<p>Upon receipt of the approved contract, Contract Services notifies Contracts Coordinator of approval and distributes copies of the final contract to the contractor, the Contracts Coordinator, DWR Accounting Office, and DWR Records Management.</p> <p>Estimated Time: 5-10 work days</p>
28	Document services performed	Contracts Coordinator	<p>Create Service Entry Sheet; Transaction Code ML81 (opens new browser window)</p> <p>The Contracts Coordinator (or an Authorized SAP Requisitioner) creates/maintains Service Entry Sheets as the work progresses.</p> <p>Upon receipt of an invoice, the Service Entry Sheet is accepted and approved for payment.</p> <p>Estimated time: 1 work day</p>
29	(If applicable) Check status of payment	Authorized SAP Requisitioner	<p>Display Vendor Line Items; Transaction Code FBL1 (opens new browser window)</p> <p>The Program Requester may wish to check the status of payment for the transaction.</p>
30	Evaluate contractor's performance	Program Manager / Contracts Coordinator	<p>For Consulting Services contracts of \$5,000 or more, the Program Manager must prepare a Contract/Contractor Evaluation (STD. 4), within 60 days of completion of the contract. This evaluation will remain on file in the Program Manager's contract file for a period of 36 months.</p>

			<p>If the contractor did not satisfactorily perform the work or service specified in the contract, the Program Manager will prepare a negative evaluation to be placed in the Program Manager's contract file; one copy of the negative evaluation will be sent to DGS, Office of Legal Services, within five (5) working days of completion of the evaluation. In addition, the Contracts Coordinator will send a copy of the negative evaluation to the contractor within fifteen (15) days. The contractor shall have thirty (30) days to prepare a statement defending his/her performance and send it to the Department. The Contracts Coordinator files the contractor's statement in the Program Manager's contract file and forwards a copy to DGS, Office of Legal Services.</p> <p>Note: The evaluations and contractor responses are not public records; they should be maintained in a separate file.</p> <p>Estimated time: 5-60 days</p>
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Amending a Consultant Contract

General Information:

Definition

An amendment is a formal modification to a contract. It is subject to the same review and approval process as the original contract.

An amendment is prepared and processed in accordance with the provisions of SCM 3.09 and 4.10 and Enterprise Process Guide [Contracts 10: Compliance with the Political Reform Act](#).

Additional Information

- Sole source approval by the Department of General Services, Office of Procurement, is required along with a consultant memo to the Director when the amendment (1) increases the dollar amount by more than 30 percent, (2) significantly changes or significantly increases the scope of work, or (3) increases both the time and dollar amount.
- If a consulting services contract is amended to only extend the original time of the contract for a period of one year or less, DGS approval is not required; however, it may be amended only once under this exemption. Future amendments will require DGS approval if the original contract was subject to DGS approval (PCC 10366).

Procedure: Amending a Consultant Contract

Action		Responsible Party	Procedure
1	Determine need for amendment	Program Manager	<p>The Program Manager determines that a contract amendment is in order, and prepares the necessary justification language.</p> <p>Estimated time: 1-5 work days</p>
2	(Optional) Request Sole Source approval	Contracts Coordinator/ Secretary for Resources/DGS Office of Procurement	<p>If sole source approval by DGS' Office of Procurement is required (see Additional Information above), the Contracts Coordinator prepares Contract Advertising Exemption Request (STD. 821), the Sole Source Justification Form, together with a justification memo from the Director to the Secretary for Resources. The appropriate Deputy Director is typically the Authorized Signature on the STD. 821, and the Secretary for Resources approves the form.</p> <p>The justification memo, Sole Source Justification Form, and STD. 821 are forwarded through channels to the Secretary for Resources for approval, and are returned to the Contracts Coordinator. The Contracts Coordinator will forward the documentation to CSO who will send the documents to DGS' Office of Procurement for approval.</p> <p>Estimated time: 7-10 work days</p>
3	Draft Agreement/Summary (STD. 215)	Contracts Coordinator	<p>The Contracts Coordinator will work with the Budget Office on any funding issues involved prior to preparing the draft STD. 215.</p> <p>The Contracts Coordinator prepares a draft STD. 215 detailing the reason for the amendment, and forwards it to the Contracts Buyer electronically either via e-mail or on a diskette.</p> <p>The draft STD. 215 should outline the cost object breakdown by fiscal year.</p> <p>Estimated time: 1 work day</p>
4	Forward documentation to Contract Services	Contracts Coordinator	<p>The Contracts Coordinator forwards all other necessary amendment documentation to the Contract Buyer.</p> <p>Estimated time: 1-3 work days</p>
5	Change service	Contracts	Change a Service Requisition; Transaction

	Requisition	Coordinator	<p>Code ME52 (opens a new browser window)</p> <p>The Contracts Coordinator changes the existing service requisition by adding another line item in the Item Overview screen. The short text in the new line item should reflect the amendment number, i.e., Amendment 1.</p> <p>The Contracts Coordinator notifies the appropriate Contract Buyer to alert him/her of the changed SAP Service Requisition.</p> <p>Estimated time: 1-2 work days</p>
6	Release service requisition	Contracts Coordinator / Approving Officials	<p>Release Service Requisition; Transaction Code ME54</p> <p>The Contracts Coordinator / Approving Officials review, approve, and release the SAP requisition line item so that the contract can be changed.</p> <p>The Contracts Coordinator will then contact the appropriate Contract Buyer (assigned to their organization) to notify them of the released requisition.</p> <p>Estimated time: 1 work day</p>
7	Prepare amendment package and Change Purchase Order	Contract Buyer	<p>Upon receipt of the amendment documentation, the Contract Buyer prepares the final amendment package in accordance with the Standardized Contract Process and applicable contracting rules and regulations.</p> <p>Upon receipt of the approved amendment, the Contract Buyer changes the Purchase Order with reference to the revised SAP Contract. The amended amount reflected will pertain to the current fiscal year only.</p> <p>If any part of the amendment funding is for the next fiscal year, then a new Purchase Order will be created in SAP at the beginning of the next fiscal year to encumber funds.</p> <p>The Contract Buyer routes the complete package to obtain the appropriate signatures.</p> <p>Estimated time: 1-5 work days</p>
8	Amend SAP Contract	Contract Buyer	<p>Change Service Contract; Transaction Code</p>

			<p>ME32K</p> <p>The Contract Buyer changes the contract in SAP by creating a new line item with reference to the corresponding line item in the Purchase Requisition.</p> <p>Estimated time: 1 work day</p>
9	Obtain legal approval and Budget Office review	Office of the Chief Counsel / Budget Office	<p>The Contract Buyer forwards the amendment package to the DWR Legal and Budget Offices, if applicable. Legal reviews the amendment and approves it as to legal form and sufficiency. The Budget Office verifies additional funding, if applicable.</p> <p>Estimated time: 5 work days</p>
10	Obtain contract amendment signatures	Contractor / Contracts Coordinator	<p>Upon receipt of the approved amendment from the Legal and Budget Offices, the Contract Buyer forwards the amended contract to the Contractor for signature. Upon receipt of the signed amendment, the Contract Buyer forwards the amended contract to the Division Contracts Coordinator to review and obtain Division signatures.</p> <p>Estimated time: 5-10 work days</p>
11	(Optional) Obtain Department of General Services Legal Office approval	Contract Buyer / Department of General Services' Legal Office	<p>If necessary and in accordance with SCM 4.10, upon receipt of the signed amended contract (from both Contractor and Division), the Contract Buyer forwards the amendment to DGS, Office of Legal Services, for approval.</p> <p>Even if contract does not require approval by DGS, a copy should be sent to DGS OLS files.</p> <p>Estimated time: 8-12 work days</p>
12	Distribute approved amendment	Contract Buyer	<p>Upon receipt of the approved amendment, the Contract Buyer notifies Contracts Coordinator of approval and distributes copies of the approved amendment to the contractor, the Contracts Coordinator, DWR Accounting Office, and DWR Imaging and Document Management.</p> <p>Estimated time: 5-10 work days</p>

If you have comments or suggestions on the Enterprise Process Guides, submit a Service Request via AquaAssist or contact the IT Service Center at 916-653-8723.

[Return to MAO's Home Page](#)

**Department of Water Resources
Purchasing Services Guidelines
Advertising Requirements for Informal Acquisitions
of Non-IT Goods \$50,000 to \$100,000
Current as of: 08/28/2013**

Policy: The Department of General Services Procurement Division (DGS/PD) has delegated purchasing authority to the Department of Water Resources (DWR), for Non-IT Goods costing up to \$100,000 per transaction to be used when those goods are not available on Leveraged Procurement Agreements (LPAs). DWR must comply with informal competitive bidding requirements as specified in Public Contract Code, Government Code, and the State Contracting Manual, Volume 2. Informal acquisitions of Non- IT Goods valued at \$50,000 to \$100,000 that are not available using LPAs, the SB/DVBE Option, GC 14838.5(a), or are exempt from advertising, must be advertised on the California State Contract Register (CSCR) in the DGS eProcurement system for at least 10 working days prior to the bid opening date.

Reference:

- [Public Contract Code 10332-10333 \(Competitive Bidding and Other Acquisition Procedures\)](#)
- [Government Code 14827.2 Advertise in the California State Contract Register CSCR\)](#)
- [Government Code 14838.5\(a\) SB/DVBE Option](#)
- [State Contracting Manual, Volume 2 \(Purchasing Authority Manual\)](#)
- [SAM 3506 \(Purchasing Authority\)](#)
- [DAM 8320 \(Purchasing, General Policies\)](#)
- [Department of General Services, Procurement Division](#)
- [EPG Purchasing 3: Purchases Over \\$5,000 \(RFQ\)](#)
- [California State Contract Register \(CSCR\)](#)
- **DGS eProcurement System**

Responsibility:

- Requestor
- SAP Requisitioner
- Purchasing Services Buyer
- Commodity Purchasing
- Small Business Advocate
- Central Warehouse
- Bid Evaluation team
- Purchasing Services Chief

Forms:

- Purchasing Authority Purchase Order ([STD. 65](#))
- Request For Quote Template ([RFQ](#))
- Contract Advertising Exemption Request ([STD. 821](#))

General Information:

STD. 65 Purchasing Authority Purchase Order (PO)

The STD. 65, Purchasing Authority Purchase Order, is used for all informal competitively bid procurements of Non-IT Goods made under DWR's delegation when the total transaction (PO) cost is \$100,000 or less, excluding sales tax and freight charges.

Request For Quote (RFQ)

The informal RFQ process is used to solicit bid responses for Non-IT Goods costing \$5,000 to \$100,000.

STD 821 Contract Advertising Exemption Request

DWR will be granted an exemption from advertising in the CSCR if a STD. 821 Contract Advertising Exemption Request form submitted to DGS/PD is approved. This form is used whenever advertising is neither feasible nor possible, or there is another compelling reason to request an exemption from the competitive solicitation requirement. Generally speaking, the STD. 821 form is necessary with most Non-Competitively Bid (NCB) requests, except in cases when the acquisition is otherwise specifically exempt.

Additional Exemptions by Statute or Policy

Transactions that are exempt by statute or policy do not require a STD. 821 or a Non-Competitively Bid (NCB) contract justification. They include the following:

- Emergency purchases that are necessary for immediate preservation of life or state property
- Non-IT goods and services for which the state has entered into an LPA Proprietary subscriptions, publications, and technical manuals regardless of media format
- Contracts with business entities operating Community Based Rehabilitation Programs (CRP) that meet criteria established by Welfare and Institutions Code Section 19404
- Amendments to existing purchase documents made under the same terms and with the same or lower rates, when a protest or other legal action delays the award of a new contract

Reference: [State Contracting Manual Volume 2, Chapter 5](#)

Additional Information:

GSPD-451, Bidder Instructions

All solicitations must include the current GSPD-451, Bidder's Instructions. DWR may add additional bidder instructions as may be required to suit the special needs of an individual solicitation. Updated versions of the GSPD-451 are available for printing on the [DGS/PD Internet site](#).

GSPD-401, Non-IT Commodities, General Provisions

All solicitations must include the current GSPD-401, Non-IT Commodities, General Provisions. The General Provisions should be incorporated into solicitations by reference to [DGS/PD's Internet site](#). (Incorporation by reference is the act of including a second document within another document by only mentioning it. This makes the entire second document a part of the main document.) The General Provisions may be modified in certain situations; when that occurs, the modified provisions should be included and referenced as Special Provisions on the STD. 65 PO. Any addition, deletion, or alteration of any item in the General Provisions may not occur without prior approval from DWR's Office of the Chief Counsel and the DGS Office of Legal Services. Evidence of legal review and approval must be maintained in the procurement file. Updated versions of the GSPD-401 are available for printing on the [DGS/PD Internet site](#).

Bid Evaluation

The [Bid/Quote Worksheet](#), developed by DGS PD, is used to document the transaction. This worksheet facilitates evaluation of quotes received and assists in final selection of the vendor. Bids received will be evaluated by the Buyer or a Bid Evaluation Team consisting of the Buyer, Small Business Advocate, and the Specification Developer or Requestor.

Final Documentation

For procurement compliance reviews, audits, and to maintain good business practices, all procurement transactions must contain the following file documentation as appropriate:

- Evidence of appropriate level of approval
- Specifications
- List of all vendors solicited (name, telephone number, and address)
- RFQ, quotes received, and evidence of the bid evaluation
- Bid/Quote Worksheet
- Copy of Purchase Order and amendments
- Preference program calculations
- Related correspondence (paper or electronic)

Procedures:

Action		Responsible Party	Procedure
1	Prepare solicitation package	Requestor, Requisitioner, or Buyer	Reference: State Contracting Manual Volume 2, Chapter 4
2	Prepare SAP requisition	Requisitioner	Creates the SAP requisition and attaches solicitation package to the requisition in SAP. Notifies the Buyer by email after program manager releases requisition. Reference: Create Purchase Req Commodity (ME51N)

3	Receive solicitation package from Requestor or Requisitioner	Buyer	Buyer reviews the solicitation package.
4	Prepare bid solicitation package for the CSCR	Buyer	<p>Buyer prepares bid solicitation package complete with, but not limited to, specifications, bid solicitation requirements, and RFQ.</p> <p> NOTE: <i>The DGS RFQ template is available from the SCM Volume 2, Chapter 4.</i></p>
5	Send bid package to Purchasing Services Chief	Buyer	Buyer sends the bid package to Purchasing Services (PS) Chief for review and approval prior to advertising bid in CSCR.
6	Create paper solicitation in the CSCR	Buyer	<p>Buyer creates the paper solicitation in the CSCR and notifies the PS Chief via email that the held bid needs to be released.</p> <p>Reference: eProcurement/Bidsync Website</p> <p> NOTE: <i>Buyer logs on to the website listed above, clicks on Tools, clicks on Training, and clicks on Creating a Paper Solicitation or Tutorial Videos for instructions on how to create a paper solicitation in the CSCR.</i></p>
7	Release held bid	PS Chief	<p>PS Chief logs on to the eProcurement/Bidsync website and releases the held bid.</p> <p>Reference: eProcurement/Bidsync Website</p> <p> NOTE: <i>PS Chief logs on to the website listed above, clicks on Tools, clicks on Training, and clicks on Creating a Paper Solicitation or Tutorial Videos for instructions on releasing a held bid.</i></p>

8	Distribute bid packages	Buyer	<p>Bid must be advertised on the CSCR for ten working days.</p> <p>Buyer distributes bid packages to all parties responding to the CSCR advertised bid. This may be done electronically via the eProcurement system.</p>
9	Receive responsive bid	Buyer	<p>Buyer collects and records the bids from responsive vendors. The Buyer must reject any late bids and return them unopened.</p>
10	Open bids	Bid Evaluation Team or Buyer	<p>Bid Evaluation Team or Buyer opens bids publicly at the date, time, and location specified in the solicitation. Any changes to the public bid opening date, time, or location must be forwarded to all bidders in writing or by "confirmed" fax.</p>
11	Evaluate bids	Bid Evaluation Team or Buyer	<p>Bid Evaluation Team or Buyer determines the lowest responsible bidder meeting all of the specifications in accordance with procedures described in the bid package and applies the Small Business Preference, if applicable.</p> <p> NOTE: The Department may, at its discretion, reject all bids.</p> <p>Reference: State Contracting Manual Volume 2, Chapter 4</p>
12	Post intent to award	Buyer	<p>Upon written request from any bidder, the Buyer posts the Notice of Intent to Award in a public location within the Department's offices at least five working days before the contract may be awarded.</p> <p>If the award will <u>not</u> be made to the lowest bidder, the Buyer must post a Notice of Intent to Award. The Buyer must then notify the lowest</p>

			<p>bidder by email, fax, overnight courier, or personal delivery at least five working days prior to the award of the contract in order to allow time for the bidder to protest the award.</p> <p>If the award is to the lowest responsible bidder and no requests have been made for public posting of a letter of intent, the award of the contract may be made without delay.</p> <p>If the contract is to be awarded to the lowest bidder, the Buyer informs the proposed vendor of the award and follows up in writing. Additionally, the Buyer notifies unsuccessful bidders of the award by telephone, fax, email, or letter.</p> <p>Reference: eProcurement/Bidsync Website</p> <p> NOTE: <i>Buyer logs on to the above website, clicks on Tools, clicks on Training, and clicks on Tutorial Video for instructions on awarding a bid.</i></p>
13	Protest bid award (if applicable)	Buyer	<p>Any protest must be filed with DWR and DGS after the notice of intent to award the contract is posted but before the actual award.</p> <p>The contract award is delayed when a protest is received by either DWR or DGS. The contract may not be awarded until the protest is withdrawn or DGS has rendered a decision.</p> <p>Reference: State Contracting Manual Volume 2, Chapter 7</p>
14	Create purchase order	Buyer	<p>Buyer creates the purchase order (STD. 65) in SAP from the SAP requisition or RFQ; prints the STD. 65; signs and routes the complete</p>

			<p>package to PS Chief or PCO for signatures.</p> <p>Reference: EPG Purchasing 3: Purchases Over \$5,000 (RFQ)</p>
15	Send purchase order to vendor and DWR requisitioner and requestor	Buyer	<p>Buyer e-mails or faxes the STD. 65 to the vendor.</p> <p>Copies are provided to:</p> <ul style="list-style-type: none"> • DWR Requestor and Requisitioner • DGS Procurement Division Data Entry Unit
16	Receive Non-IT Goods	Central Warehouse	<p>Central Warehouse receives Non-IT Goods and schedules delivery to the appropriate Requestor or Requisitioner.</p> <p>Reference: EPG Materials Management 4: Goods Receipt Using SAP</p>

**Department of Water Resources
Purchasing Services Office Guidelines
Formal Acquisitions of Fleet Equipment and Repair Components
\$100,000 to \$500,000
Date Posted:
Current as of: 07/6/2010**

Policy: The Department of Water Resources (DWR) has been granted customized expanded purchasing authority by the Department of General Services, Procurement Division (DGS, PD), specifically for Fleet Equipment (vehicles, trucks, graders, tractors, mowers, backhoes, excavators, water trucks, etc.) and related repair components up to \$500,000 per transaction that are not available on state contracts. Complex acquisitions of this type are the responsibility of the Purchasing Services and Fleet Management Offices as they must comply with formal competitive bidding requirements as specified in Public Contract Code and the State Contracting Manual, Volume 2. These acquisitions must also be reviewed and approved by DGS, PD's One-Time Acquisitions and Engineering Units prior to the bid solicitation process.

Reference:

- [Public Contract Code 10332-10333 \(Competitive Bidding and Other Acquisition Procedures\)](#)
- [State Contracting Manual, Volume 2 \(Purchasing Authority Manual\)](#)
- [SAM 3506 \(Purchasing Authority\)](#)
- [DAM 8320 \(Purchasing, General Policies\)](#)
- [Department of General Services, Procurement Division](#)
- [EPG Mobile Equipment 1: Procurement of Mobile Equipment](#)
- [EPG Purchasing 3: Purchases Over \\$5,000 \(RFQ\)](#)

Responsibility:

- O&M Fleet Management Superintendent II
- O&M Specification Developer
- SAP Requisitioner
- Purchasing Services Buyer
- Commodity Purchasing
- Small Business Advocate
- DGS PD One-Time Acquisitions and Engineering Units
- Transportation Office
- Central Warehouse

General Information:

STD. 65, Purchasing Authority Purchase Order (PO)

The STD. 65, Purchasing Authority Purchase Order, will be used for all formal competitively bid procurements of Fleet Equipment under our delegation of which total cost is \$500,000 or less per transaction (purchase order) excluding sales tax and freight charges.

Invitation for Bid (IFB) The formal Invitation for Bid (IFB) process is used to solicit bid responses for non-IT goods exceeding \$100,000.00.

Additional Information:

GSPD-451, Bidder Instructions

All solicitations must include the current GSPD-451, Bidder's Instructions. DWR may add additional bidder instructions as may be required to suit the special needs of an individual solicitation. Updated versions of the GSPD-451 are available for printing on the [DGS PD Internet site](#).

GSPD-401, Non-IT Commodities, General Provisions

All solicitations must include the current GSPD-401, Non-IT Commodities, General Provisions. The General Provisions should be incorporated into solicitations by reference to [DGS PD's Internet site](#). The General Provisions may be modified in certain instances and should be included as Special Provisions, and referenced as such, on the STD. 65 PO. Any addition, deletion or alteration of any provision may not occur without prior approval by DWR's Office of the Chief Counsel and DGS' Office of Legal Services. Evidence of legal review and approval must be maintained in the procurement file. Updated versions of the GSPD-401 are available for printing on the [DGS PD Internet site](#).

Bid Evaluation

The "Bid/Quote Worksheet," developed by DGS PD, is also to be used to document the transaction. This worksheet facilitates evaluation of quotes received and assists in final selection. Bids received will be evaluated by the Bid Evaluation Team consisting of the PSO Buyer, the Small Business Advocate, the Specification Developer and the O&M Fleet Superintendent II.

Final Documentation

For procurement compliance reviews, audits, and consistent with good business practices, all procurement transactions must contain the following file documentation as appropriate:

- Evidence of appropriate level of approval
- Specifications
- List of all vendors solicited (name, telephone number, address)
- IFB, quotes received, and evidence of evaluation of bids
- Bid/Quote Worksheet
- Copy of Purchase Order and amendments
- Preference program calculations
- Related correspondence, paper or electronic

Procedures:			
Action		Responsible Party	Procedure
1	Prepare Equipment Package	O&M Fleet Management Office	Refer to the appropriate Enterprise Process Guide for the basic Mobile Equipment process that precedes this specialized heavy equipment acquisition process: <u>EPG Mobile Equipment 1: Procurement of Mobile Equipment</u>
2	Prepare SAP Requisition	O&M Fleet Management Requisitioner	Program staff creates the SAP requisition and notifies the Purchasing Services Buyer by email after program manager releases requisition.
3	Receive Equipment Package and SAP Requisition	Purchasing Services Buyer	Purchasing Services Buyer reviews the SAP requisition and the scanned Equipment Package attachment.
4	Prepare bid solicitation package	Purchasing Services Buyer	<i>Purchasing Services Buyer prepares bid solicitation package complete with specifications and bid solicitation requirements and IFB for values from \$100,000.00 to \$500,000.00.</i>
6	Send bid package to DGS PD	Purchasing Services Buyer	Purchasing Services Buyer sends the bid package to DGS PD One-Time Acquisition Engineering Unit for review and approval prior to advertising bid in CSCR.
7	Advertise bid	Purchasing Services Buyer	Upon DGS PD review and approval, the Purchasing Services Buyer places an electronic advertisement in the CSCR. Advertised run time is 10 working days.  NOTE: <i>It is important for the Purchasing Services Buyer to have the bid package prepared for mailing prior to electronically placing the ad in the <u>California State Contracts</u></i>

			<p><u>Register</u> (CSCR). Potential bidders may request a bid package from the first date advertised.</p> <p>Reference: <u>State Contracting Manual Volume 2, Chapter 4</u></p>
8	Distribute bid packages	Purchasing Services Buyer	Purchasing Services Buyer distributes bid packages to all parties responding to the CSCR advertised bid. This may be done electronically via the eProcurement system.
9	Receive responsive bid	Purchasing Services Buyer	Purchasing Services Buyer collects and records the bids from responsive vendors. The Purchasing Services Buyer must reject any late bids and return them unopened.
10	Open bids	Purchasing Services Evaluation Team	Purchasing Services Evaluation Team opens bids publicly on the date, time, and at the location specified in the solicitation. Any changes to the public bid opening (date, time, or location) must be forwarded to all bidders in writing or by "confirmed" fax.
11	Evaluate bids	Purchasing Services Evaluation Team	<p>Purchasing Services Evaluation Team determines the lowest responsible bidder meeting all of the specifications in accordance with procedures described in the bid package. Apply the Small Business preference, if applicable.</p> <p> NOTE: The Department may, in its discretion, reject all bids.</p> <p>Reference: <u>State Contracting Manual Volume 2, Chapter 4</u></p>
12	Post intent to award	Purchasing Services Buyer	Upon written request from any bidder, the Purchasing Services Buyer posts the Notice of Intent to Award in a public location within the Department's offices at least five

			<p>working days before the contract can be awarded.</p> <p>If the award will <u>not</u> be made to the lowest bidder, the Purchasing Services Buyer MUST post a Notice of Intent to Award. The HQ Buyer will then notify the lowest bidder by email, fax, overnight courier, or personal delivery at least five working days prior to the award of the contract in order to allow time for the bidder to protest the award.</p> <p>If the award is to the lowest responsible bidder and no requests have been made to publicly post a letter of intent, the award of the contract may be made without delay.</p> <p>If the contract is to be awarded to the lowest bidder, the Purchasing Services Buyer informs the proposed vendor of the award and follows up in writing. Additionally, the HQ Buyer notifies the unsuccessful bidders of the award by telephone, fax, or letter.</p>
13	Protest bid award (if applicable)	Purchasing Services Buyer	<p>Any protest must be filed with DWR and DGS after the notice of intent to award the contract is posted but before the actual award.</p> <p>The contract award is delayed when a protest is received by either DWR or DGS. The contract may not be awarded until the protest is withdrawn or DGS has rendered a decision.</p> <p>Reference: State Contracting Manual Volume 2, Chapter 7</p>
14	Create Purchase Order	HQ Buyer	<p>Purchasing Services Buyer creates the purchase order (STD. 65) in SAP from the SAP requisition; prints the STD. 65, signs and routes the complete package to</p>

			PSO Chief or PCO for signatures.
15	Send Purchase Order to Vendor/ DGS PD/DWR Offices	Purchasing Services Buyer	<p>Purchasing Services Buyer faxes or e-mails the STD. 65 to the O&M Fleet Superintendent II. The Superintendent II will forward the STD. 65 to the DGS Fleet and Asset Management Office for their stamp approval. DGS will contact the O&M Fleet Superintendent II when they have approved the STD. 65, for pickup. The STD. 65 is then returned to the PSO Buyer by the O&M Fleet Superintendent II. The PSO Buyer mails the original STD. 65 to the vendor. Copies are provided to:</p> <ul style="list-style-type: none"> • O&M Fleet Superintendent II • Transportation Office • DGS Procurement Division
16	Receive Fleet Equipment	Transportation Office	Transportation Office receives and tags the Fleet Equipment after a pre-delivery inspection at the vendor location, followed by a final inspection after the equipment is delivered to the West Sacramento Corporation Yard.
17	Receive Repair Components	Central Warehouse	Central Warehouse receives fleet equipment replacement parts and schedules delivery to the appropriate Mobile Equipment shop.

REASONABLE ACCOMMODATION POLICY AND PROCEDURE

The Department of Water Resources (Department) provides reasonable accommodation to applicants and employees who, because of their disability or medical condition, cannot perform the essential functions of the job without accommodation; or to applicants who need special assistance completing an examination and/or hiring interview.

Employee Health Services is responsible for coordinating all requests for Reasonable Accommodation. A staff member may be reached by calling (916) 654-0533. You may also visit the [Employee Health Services](#) website.

Point of Contact: Employee Health Services
Human Resources Office
Phone: (916) 654-0533
Fax: (916) 653-1533

Departmental References: [Employee Health Services](#)
Department Administrative Manual Sections [3212.5](#);
[3213](#); and [3214.5](#)
Enterprise Process Guide, [Employee Health Services 6](#)

External References: Fair Employment and Housing Act (FEHA):
[Government Code Sections 12900-12996](#)
[California Department of Rehabilitation](#)
[Americans with Disabilities Act](#)
[Americans with Disabilities Act Amendments](#)
[California Code of Regulations: 53, 53.2, 7293.3, 7294.1](#)

POLICY

The Department of Water Resources (Department) provides reasonable accommodation to qualified employees and applicants who, because of their disability or medical condition, cannot perform the essential functions of the job without accommodation; or to applicants who may need special assistance completing an examination and/or hiring interview.

GENERAL INFORMATION

To obtain reasonable accommodation assistance contact:

[Employee Health Services](#) (EHS)

Phone: (916) 654-0533

Fax: (916) 653-1533

Website: <http://aquanet.water.ca.gov/healthservices>

The need for reasonable accommodation is determined on a case-by-case basis. A decision to grant, deny, or modify a request for reasonable accommodation may only be made after careful consideration of all relevant information.

Following are some examples of when a reasonable accommodation may be necessary:

- To allow an employee with a disability to continue to perform the essential functions of his or her position, or to be reassigned to another vacant position;
- To allow an employee with a disability to perform the essential functions of the job to which he or she was newly hired;
- To allow a candidate with a disability to compete in the civil service examination process as equally as possible with non-disabled candidates;
- To allow an employee with a disability to participate in training activities available to non-disabled employees for self-development and job improvement; and
- To allow an employee to have equal access to services and privileges afforded to non-disabled employees.

DENIAL OF REASONABLE ACCOMMODATION

Note: The Chief of Labor Relations and Employee Health Services (LR&EHS) is the only individual within the Department authorized to deny a request for reasonable accommodation.

CONFIDENTIALITY

All medical information and other documents related to a reasonable accommodation must be maintained with the strictest confidentiality.

ONLY those individuals with a need to know may be informed about confidential medical information or necessary restrictions on the duties of an employee.

PROCEDURES FOR REQUESTING A REASONABLE ACCOMMODATION

1. Reasonable Accommodations on the Job

State employees with disabilities, whether newly hired or persons with years of State service may seek reasonable accommodation. Under the law, an employee's request does not have to be in writing. Once an employee makes known his or her need for an accommodation by talking with a supervisor, Return-to-Work Coordinator or other appropriate person, the Department will begin the interactive process.

Once the need for accommodation is known, however, the Department can request the employee cooperate by completing a written form, outlining the specific request and the facts supporting the request. The written request may include all the following:

- That this is a request for reasonable accommodation;
- The specific physical or mental limitation or medical impairment which requires the accommodation;
- Type of accommodation needed, including specific suggestions for work site modification, specific duties which can be restructured to facilitate employment, or assistive devices, etc.; and
- An explanation of how the accommodation will allow the requester to perform the essential functions of his or her position.

2. Reasonable Accommodation for Employee Training

Employees with disabilities have the right to equal access to employer sponsored training for job improvement, self development and/or upward mobility purposes. When providing or sponsoring training the Department will do the following:

- Inform employees on all training notices that upon reasonable advance notification, reasonable accommodation will be provided at the training session to employees, where appropriate;
- Include the phone number to the California Relay Service on training notices so that deaf and/or hearing impaired employees can access more information;
- Ensure that facilities used for training are accessible to persons with disabilities; and

- Arrange for sign language interpreters, captioned film or videos, large print or Braille written materials, and other such accommodations as appropriate.

3. Reasonable Accommodation for Other Employment Services and Privileges

The obligation to accommodate applies to all services and privileges that an employer provides for its employees. This includes ensuring that employee lounges and cafeterias are accessible; there is equal access to telephone and office equipment; and equal access to employer sponsored social events, such as retirement luncheons and holiday parties.

4. Reasonable Accommodation in State Examinations

Applicants may initiate requests for reasonable accommodation in State examinations by checking Item 2 on the State Employment Application, Form STD. 678 and submitting the application to Department Selection Services by the final filing date indicated on the bulletin or notice of testing.

Selection Services is required to respond to the request within 10 working days after the application has been approved for admittance to the examination. If information concerning the applicant's accommodation needs is not on file with Selection Services, Selection Services may obtain additional information by sending the applicant the *Special Testing Arrangement Questionnaire for Applicants with Disabilities*, Form SPB-351.

If the request is denied by the Department or ten working days after notice of application acceptance have elapsed without approval, the applicant with a disability may appeal by contacting DFEH by calling (800) 884-1684 or by e-mail contact.center@dfeh.ca.gov.

THE INTERACTIVE PROCESS

The purpose of the interactive process is to:

- Determine if the person requesting the reasonable accommodation is a qualified person with a disability;
- Determine if medical documentation is required;
- Identify the precise job-related limitations and their effect on the employee's ability to perform the essential functions of the job in question;
- Identify how those limitations can be overcome with a reasonable accommodation; and

- Identify potential accommodations and assess their effectiveness. When considering alternatives, the EHS Return-to-Work Coordinator will ensure that the accommodations are discussed with the employee, the employee's Supervisor or Manager, and the Chief, EHS.

When a Department supervisor or return-to-work coordinator knows that an employee may need reasonable accommodation, such person must advise EHS so that the interactive process can begin with the employee as soon as possible.

1. The interactive process begins when conversation takes place between EHS and the individual requesting the reasonable accommodation. Below are some of the topics EHS will discuss with the employee:

- The essential functions of the employee's job;
- The job-related limitations of the employee and how they affect performance of the essential job functions;
- The medical information needed to support the accommodations request. If medical information is needed from the employee's health care provider, the employee may be asked to complete an Authorization for the Release of Medical Information so that EHS can contact the health care provider; and
- The accommodations that could be put in place that would permit the requesting employee to perform the essential functions of his or her job.

2. Employee Health Services Review

EHS will begin the interactive process with the employee and consult with the respective Division/Region/Office Chief, Manager/Supervisor and Administrative Officer (AO) as needed. With input from these individuals, the EHS Return-to-Work Coordinator will develop alternative accommodations that could solve the employee's need.

3. Compliance Review

Upon Department notification of a request for accommodation, the EHS Return-to-Work Coordinator reviews the request. The purpose of the review is to ensure compliance with applicable laws, rules and regulations and to ensure consistency in implementation and funding. The EHS Return-to-Work Coordinator consults with the Division/Region/Office Chief, Manager/Supervisor and the AO as appropriate.

4. Approving the Request

The EHS Return-to-Work Coordinator reviews the request with the Chief, EHS and, if appropriate, obtains approval. If approved, the EHS Return-to-Work Coordinator notifies the employee, the Division/Region/Office Chief, Manager/Supervisor and the AO that the accommodation has been approved, and ensures completion and processing of the required forms and documentation.

5. Funding

The Human Resources Office (HRO) will pay for those accommodations that cost up to \$250.00. The HRO will pay 50% of the costs from \$250.00 to \$1,000.00. The employee's division is responsible for any remaining costs. The division is also responsible for those costs associated with contracting for sign language interpreters, Braille transcribers, etc.

The cost of eliminating physical barriers, such as modifications to physical structures, will be paid for by the division where the modification is required.

The division or hiring authority is responsible for all reasonable accommodation costs associated with the State Examination and hiring interview process.

6. Review of Recommendation for Denial

The EHS Return-to-Work Coordinator reviews the justification and prepares and discusses recommendations with the Chief, EHS. The Chief, EHS may recommend that the EHS Return-to-Work coordinator resume the interactive process. If the final justification meets the standards for denial, the Chief, EHS meets to discuss the recommendation with the Chief, LR & EHS. The Chief, LR & EHS then notifies the employee in writing of the reason(s) for denial and informs the employee of his or her appeal rights. The Chief, EHS also notifies the Division/Region/Office Chief and the employee's Manager/Supervisor.

7. Implementation

The supervisor/responsible party implements the accommodation as approved by the Chief, EHS and the EHS Return-to-Work Coordinator. If the supervisor/responsible party and employee agree on an acceptable accommodation during the interactive process, it can be implemented with approval from the Chief, EHS.

APPEAL RIGHTS

If a reasonable accommodation request is denied by the Chief, LR & EHS, the employee or job applicant may appeal directly to DFEH within 30 days from the issuance of the denial letter. The employee should contact DFEH by calling (800) 884-1684 or by e-mail at contact.center@dfeh.ca.gov.

Employees/applicants denied reasonable accommodation also have the right to concurrently appeal to the federal Equal Employment Opportunity Commission.

Employees in certain State bargaining units may also file a grievance as specified in their bargaining agreement.

SPECIAL ASSISTANCE

Please refer to Enterprise Process Guide, [Employee Health Services 6: Reasonable Accommodation for Disabilities and Medical Conditions](#) for complete information regarding the reasonable accommodation process, including specific guidelines and timeframes. Questions regarding the Reasonable Accommodation policy or procedure should be referred to EHS.

Create Purchase Req Commodity (ME51N)

Purpose

Use this procedure to create a commodity purchase requisition when there is a need to procure an item for direct consumption, stock item, non-stock item or asset. A requisition defines the need for a material. It is the primary instrument for identifying materials that must be procured outside the agency. It authorizes the Purchasing Office to purchase materials in specific quantities within a specified time frame. It is an internal document and is not used outside of the company.

Trigger

Perform this procedure for direct purchasing requirements from a project, work order, or replenishment of stock.

Prerequisites

- Desired Vendor Master Record
- Material Master Record if required
- Asset Master Record if item is \$5000.00 and greater and qualifies as an asset

Menu Path

Use the following menu path(s) to begin this transaction:

- Select from the SAP Easy Access screen: **Logistics → Material Management → Purchasing → Purchase Requisition → ME51N Create** to go to the *Create Purchase Requisition* screen.

Transaction Code

ME51N

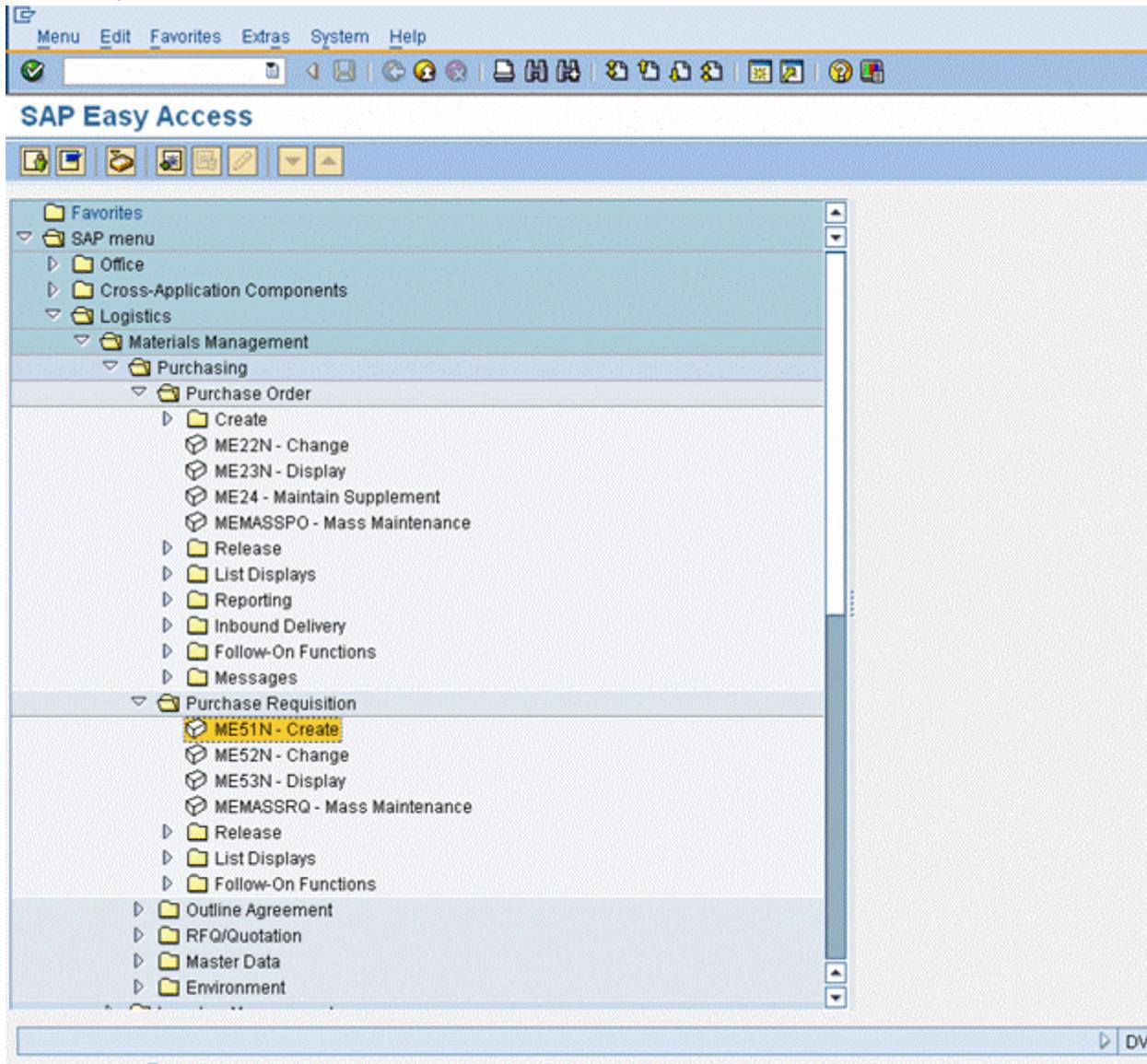
Helpful Hints

- Click the PERSONAL SETTING button, as an option, to set your default personal settings. This information defaults to the *Create Purchase Requisition* screen eliminating duplication of typing effort, but may be changed if needed.
- Requisitions can be created for materials with or without a material master numbers.

Procedure

1. Start the transaction using the menu path or transaction code.

SAP Easy Access



2. Double-click  ME51N - Create.

Personal Settings

The screenshot shows a window titled "Personal Settings" with a close button in the top right corner. Below the title bar are two tabs: "Basic settings" and "Default values", with "Default values" being the active tab. The main area contains several sections, each with a title and a list of settings:

- Document overview**
 - Selection Period for My Docs: -7 One week (with a calendar icon)
 - Compile doc. overview automatically
- Environment information**
 - Envir. info in new session
- Process messages directly**
 - Warning messages
 - Success messages
 - Information messages
 - 10 Process messages directly
- Conversions**
 - Display key
 - Int. search help on
- Item overview**
 - Item overview as grid control

At the bottom left of the dialog, there are two icons: a floppy disk icon and a red 'X' icon.

4. Click the *Default values* **Default values** tab.

Personal Settings

Personal Settings

Basic settings | **Default values**

Document Type	<input type="text"/>	<input type="checkbox"/>
Pur. Group	<input type="text"/>	<input type="checkbox"/> Always propose
Item Category	0 Standard	<input type="checkbox"/> Always propose
AcctAssCat	<input type="text"/>	<input type="checkbox"/> Always propose
Plant	<input type="text"/>	<input type="checkbox"/> Always propose
Requisitioner	<input type="text"/>	<input type="checkbox"/> Always propose
Currency	USD	

5. As required, complete/review the following fields:

Field Name	R/O/C	Description
Document Type	R	<p>Key that identifies to which group of documents this document will be assigned. Documents of the same type contain common information which is relevant to posting and update of the value fields in the data base.</p> <p> Select from the Document Type CHOOSE  icon.</p> <p>Example: NB Purchase Requisition</p>
Pur. Group	R	<p>Denotes the purchasing organization</p> <p> Select from the Pur. Group CHOOSE  icon.</p> <p>Example: 001 SachQ Commodities</p>
Item Category	R	<p>Determines classification of material. For example, stock material, consumed material, etc. Classification determines which fields and screens are required. In LIS, defines how purchase of an item is controlled.</p> <p> OStandard will be the default. Select from the Item Category CHOOSE  icon to change default if required.</p> <p>Example: 0Standard</p>
AcctAssCat	R	<p>Specifies whether accounting for an item is to be effected via an auxiliary account (such as a cost center).</p> <p> Leave blank for line input.</p>
Plant	R	<p>The plant in which you produce or for which you wish to procure materials or services (requisition from).</p> <p> Select from the Plant CHOOSE FROM PICK LIST  icon.</p> <p>Example: WRSH</p>

Personal Settings

Personal Settings
✕

Basic settings
Default values

Document Type	NB Purchase Requis	
Pur. Group	001 SachQ Commodities	<input type="checkbox"/> Always propose
Item Category	0 Standard	<input type="checkbox"/> Always propose
AcctAssCat		<input type="checkbox"/> Always propose
Plant	WRSH	<input type="checkbox"/> Always propose
Requisitioner		<input type="checkbox"/> Always propose
Currency	USD	

More Fields ...

📁 ✕

6. As required, complete/review the following fields:

Field Name	R/O/C	Description
Requisitioner	R	Code for the individual who created the requisition. <div style="display: flex; align-items: center; margin-top: 5px;"> Must use requisitioner's Log On name only Example: kgould </div>

Personal Settings

Personal Settings

Basic settings | Default values

Document Type	NB Purchase Requis	
Pur. Group	001 SachQ Commodities	<input type="checkbox"/> Always propose
Item Category	0 Standard	<input type="checkbox"/> Always propose
AcctAssCat		<input type="checkbox"/> Always propose
Plant	WRSH	<input type="checkbox"/> Always propose
Requisitioner	bmahon	<input type="checkbox"/> Always propose
Currency	USD	

More Fields ...

SAVE X

7. Click the SAVE  icon at the bottom of the *Personal Settings* dialog box.

Create Purchase Requisition

8. As required, complete/review the following fields:

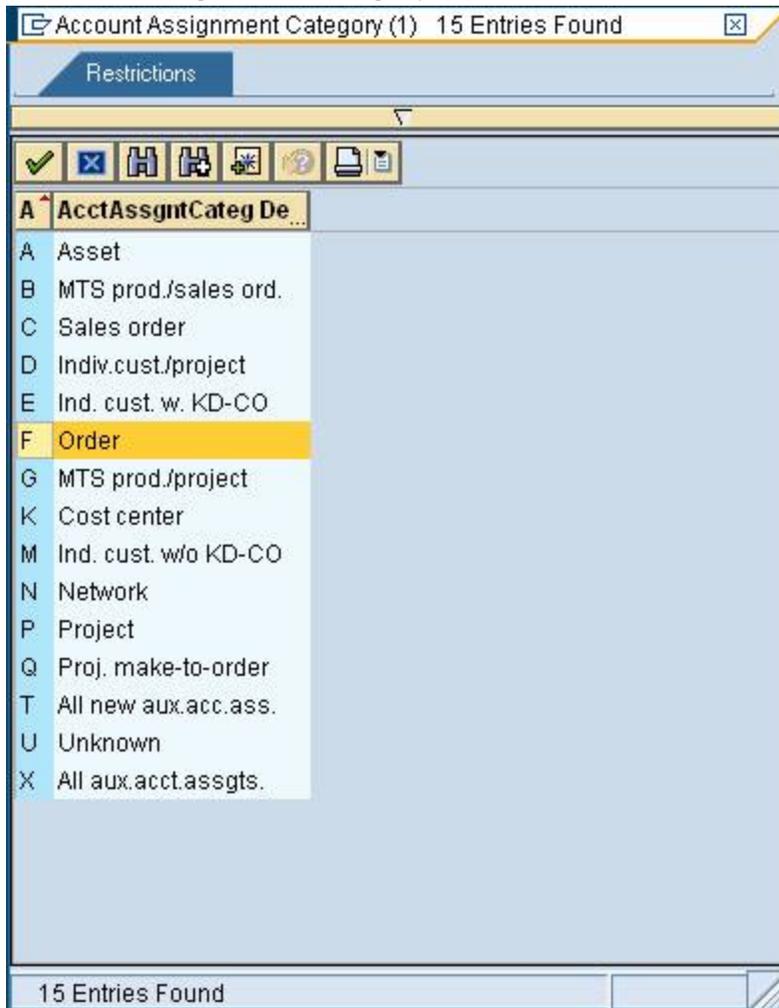


The first line item will be for direct consumption without a Material Master number. All the line item fields will need data input except the default values set in the Personal Setting fields. The first data field is the Account Assignment Category.

A	R	Account Assignment Category for Internal Orders and PM Orders Example: F Order
---	---	--

9. Click the CHOOSE FROM PICK LIST icon.

Account Assignment Category (1) 15 Entries Found



10. Click **F Order**.

11. Click the ENTER  icon in the *Account Assignment Category (1) 15 Entries Found* dialog box.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Create Purchase Requisition

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
		F									Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 1 New Item

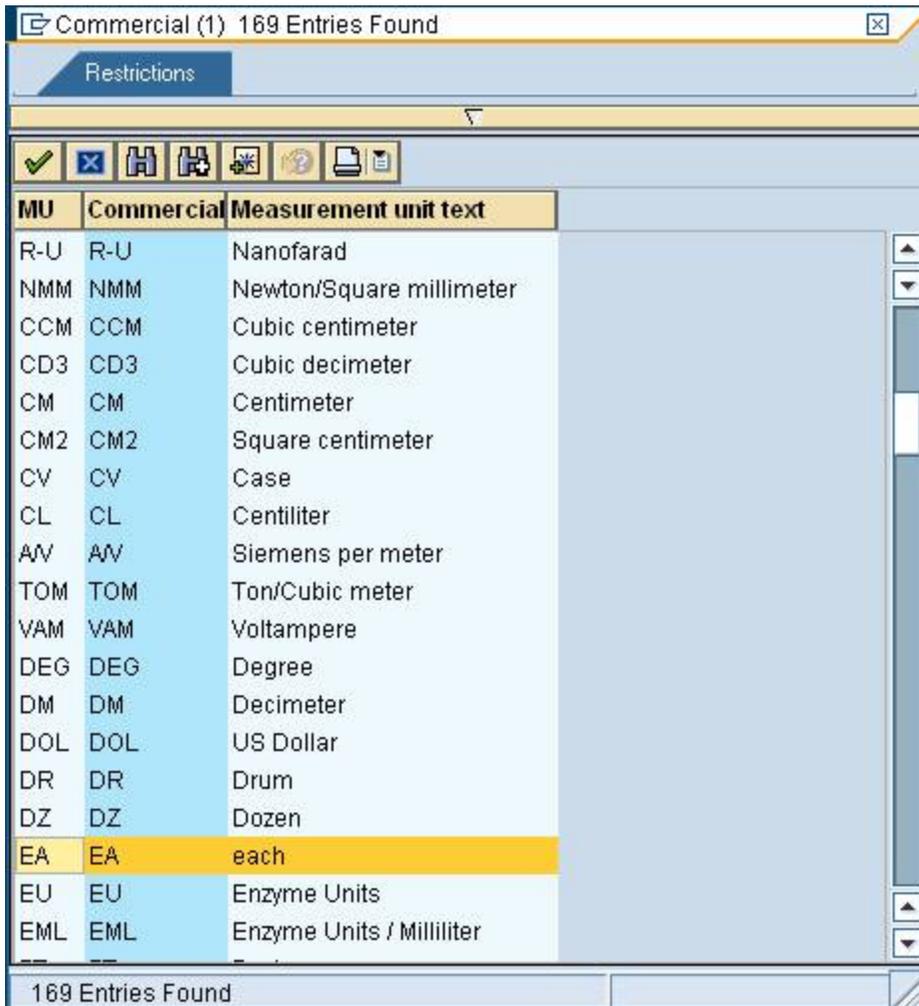
12. As required, complete/review the following fields:

Field Name	R/O/C	Description
Short Text	R	Short description of the material/service (limited to 40 characters).  Input description text. Example: Shovel

Field Name	R/O/C	Description
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item.  Input quantity value. Example: 4
Unit	R	Unit by which quantities are to be measured. Some examples include: pound, gram, meter, and liter.  Select from the Unit CHOOSE FROM PICK LIST  icon. Example: EA

13. Click the CHOOSE FROM PICK LIST  icon.

Commercial (1) 169 Entries Found



The screenshot shows a software window with a title bar 'Commercial (1) 169 Entries Found'. Below the title bar is a 'Restrictions' tab. A toolbar contains icons for checkmark, close, home, refresh, print, help, and save. The main area is a table with columns 'MU', 'Commercial', and 'Measurement unit text'. The 'EA' row is highlighted in yellow. The status bar at the bottom indicates '169 Entries Found'.

MU	Commercial	Measurement unit text
R-U	R-U	Nanofarad
NMM	NMM	Newton/Square millimeter
CCM	CCM	Cubic centimeter
CD3	CD3	Cubic decimeter
CM	CM	Centimeter
CM2	CM2	Square centimeter
CV	CV	Case
CL	CL	Centiliter
AV	AV	Siemens per meter
TOM	TOM	Ton/Cubic meter
VAM	VAM	Voltampere
DEG	DEG	Degree
DM	DM	Decimeter
DOL	DOL	US Dollar
DR	DR	Drum
DZ	DZ	Dozen
EA	EA	each
EU	EU	Enzyme Units
EML	EML	Enzyme Units / Milliliter

14. Click EA EA each

15. Click the ENTER  icon in the *Commercial (1) 169 Entries Found* dialog box.

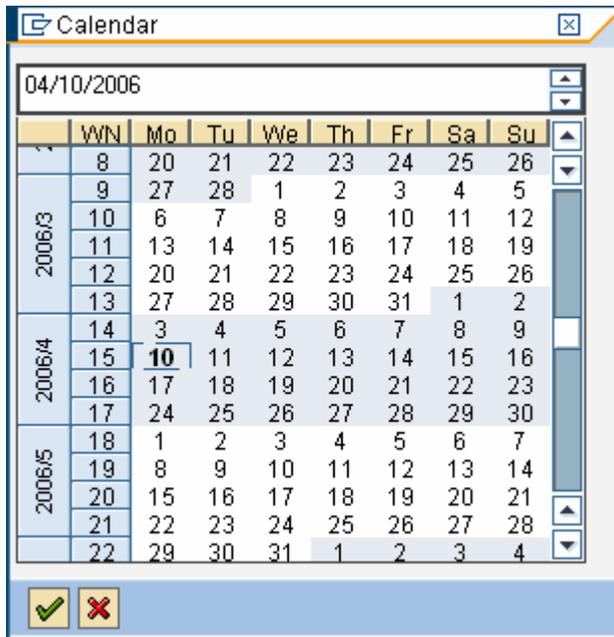
Create Purchase Requisition

16. As required, complete/review the following fields:

Field Name	R/O/C	Description
Delivery Date	R	Delivery date requested by the customer (desired delivery date) or date confirmed in the vendor's order acknowledgement or shipping confirmation. Example: 05/26/2006 (use future date)

17. Click the CHOOSE FROM PICK LIST  icon.

Calendar



18. Click 26 from the 2006/5 calendar.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Create Purchase Requisition

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.	PGr
				Shovel	4	EA		05/26/2006		Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001
										Sacramento H	001	001

Item 1 New Item

19. As required, complete/review the following fields:

Field Name	R/O/C	Description
Matl Group	R	A material group groups together materials or services with similar attributes. Example: CONST

20. Click the CHOOSE FROM PICK LIST  icon.

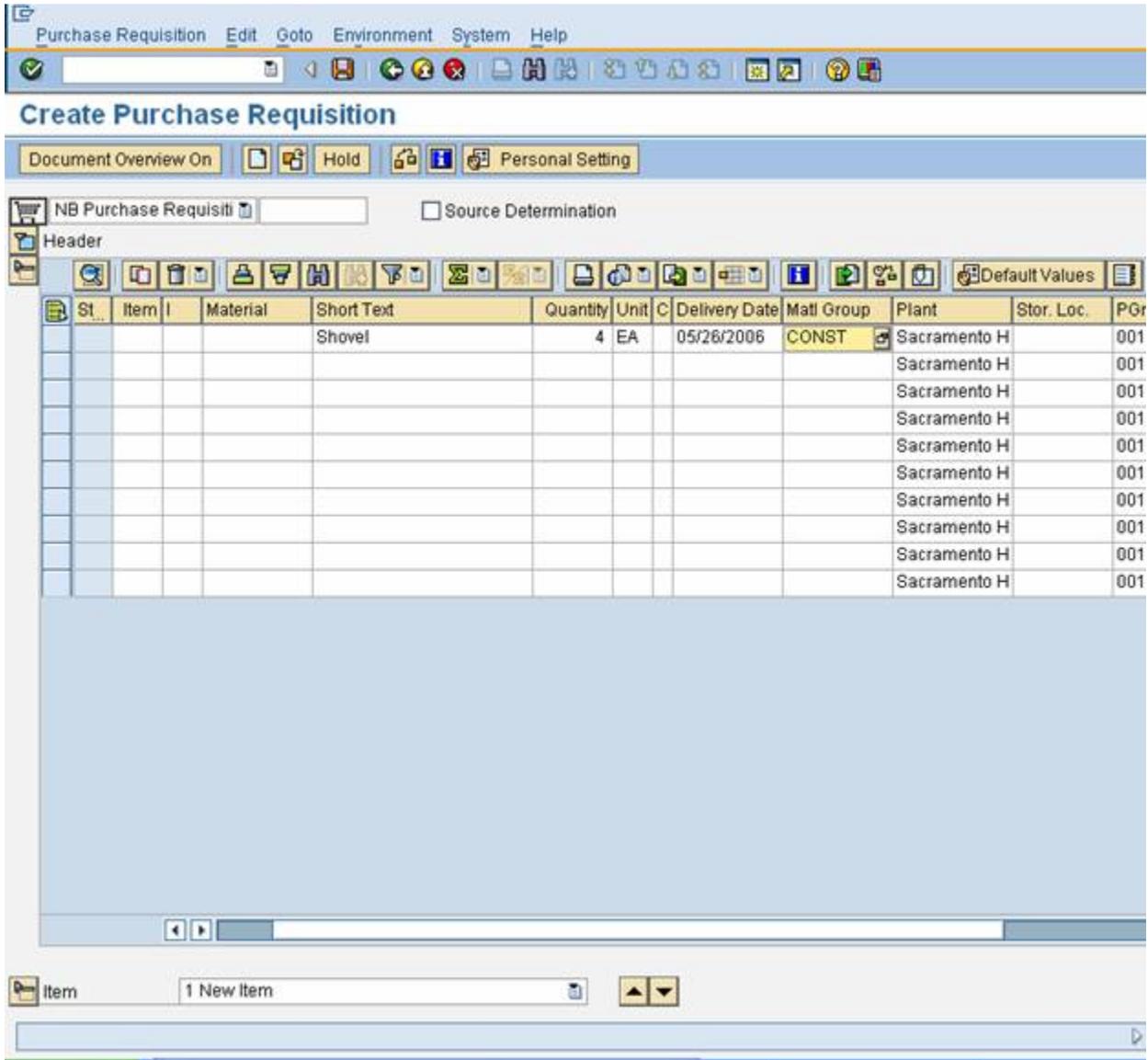
Material Group (1) 88 Entries Found

Matl Group	Material Group Desc.
01	Material group 1
02	Material group 2
AUTO	Automotive Supplies
AUTOEQUIP	Auto Equip - ASSET
AWARD	Service Awards
CHEM/GAS	Chemicals & Gases
COMM	Communication Supply
CONF FEE	Conference Fees
CONST	Construction Supply
CONSTEQUIP	Const Equip - ASSET
EASEMENT	Easements - ASSET
ELECTRIC	Electrical Supplies
FUELLUBE	Fuels and Lubricants
INST/GAU	Instruments/Gauges
IT-ACCSRY	IT Accessories
IT-HRDWRE	IT Hardware
IT-SFTWRE	IT Software
IT-SUPP	IT Supplies
JANITOR	Janitorial Supplies

21. Click **CONST** **Construction Supply**.

22. Click the ENTER  icon in the *Material Group (1) 88 Entries Found* dialog box.

Create Purchase Requisition



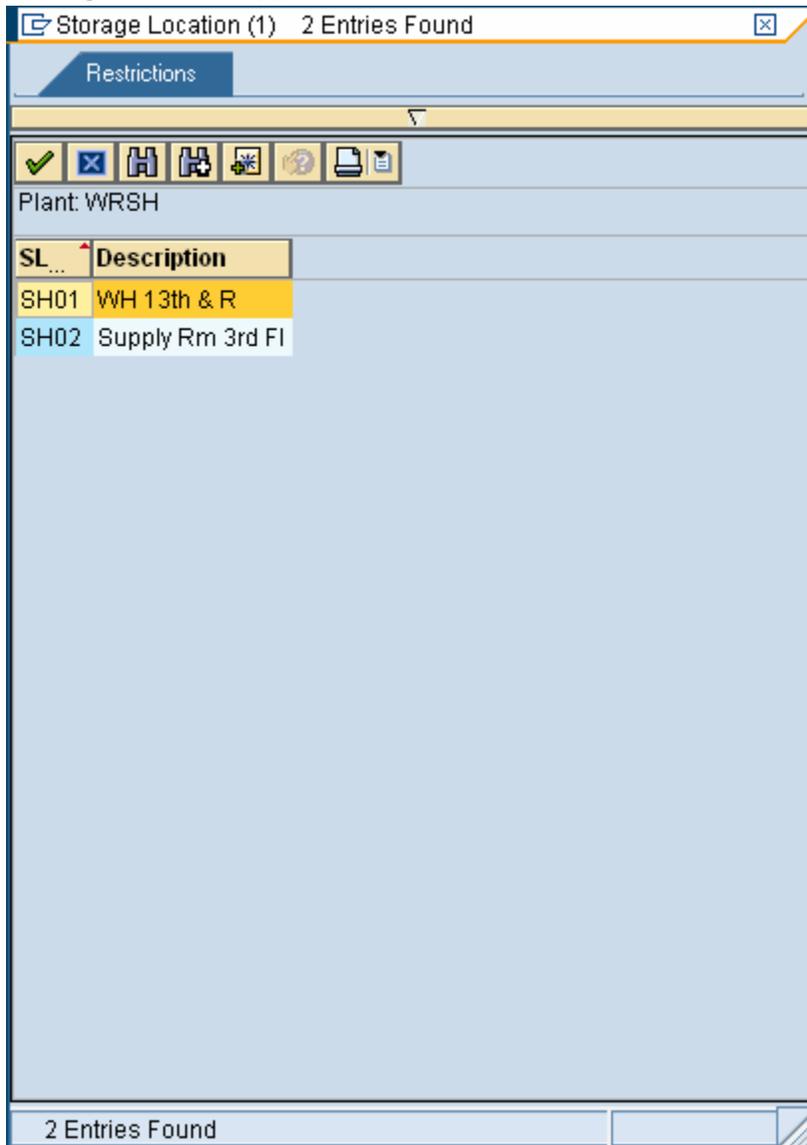
St.	Item	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.	PGr
			Shovel	4	EA		05/26/2006	CONST	Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	
									Sacramento H	001	

23. As required, complete/review the following fields:

Field Name	R/O/C	Description
Stor. Loc.	R	Name of the storage location at which materials are stored. There can be one or more storage locations within a plant. Example: SH01

24. Click the CHOOSE FROM PICK LIST  icon.

Storage Location (1) 2 Entries Found



25. Click **SH01 WH 13th & R**.

26. Click the ENTER  icon in the *Storage Location (1) 2 Entries Found* dialog box.

Create Purchase Requisition

27. As required, complete/review the following fields:

Field Name	R/O/C	Description
Des.Vendor	R	Specifies the vendor suggested by the requisitioner to the purchasing department for this purchase order. Example: xxxxxx (see data sheet or use search)

28. Click the DESIRED VENDOR SEARCH  icon.



You may search for the correct vendor record number by using the choose DESIRED VENDOR SEARCH  icon to display the *Desired Vendor (1)* dialog box. You may use any of the define fields on the screen to narrow the search parameters.

Desired Vendor (1)

Desired Vendor (1)

Vendors (General) | Vendors by Country/Company Code | Vendors by Company Code

Search term:

Postal Code:

City:

Name:

Vendor:

Maximum no. of hits:

Icons:    

29. As required, complete/review the following fields:

Field Name	R/O/C	Description
Search term	R	Alphanumeric string used to search and sort data. Example: Home Depot *

Desired Vendor (1)

Desired Vendor (1)

Vendors (General) Vendors by Country/Company Code Vendors by Company Code

Search term  Home Depot

Postal Code

City

Name

Vendor

Maximum no. of hits

30. Click the ENTER  icon in the *Desired Vendor (1)* dialog box

Desired Vendor (1) 4 Entries Found

Desired Vendor (1) 4 Entries Found

Vendors (General) Vendors by Country/Company Code Vendors by

Search term: HOME DEPOT

PostalCode	City	Name 1	Vendor
	ELK GROVE	HOME DEPOT, INC.	200001
95814	SACRAMENTO	HOME DEPOT, INC.	200000
95814	SACRAMENTO	WELLS FARGO BANK	200002
95834	FOLSOM	HOME DEPOT, INC.	100001

4 Entries Found

31. Click 95834 FOLSOM HOME DEPOT, INC. 100001.

32. Click the ENTER  icon in the *Desired Vendor (1) 4 Entries Found* dialog box.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

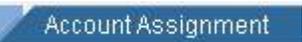
Header

St.	Item	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.	POr
				Shovel	4	EA		05/26/2006	CONST	Sacramento H	SH01	001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001
										Sacramento H		001

Item 1 New Item

33. Click the ENTER  icon.



For the next step select the line item *Account Assignment*  tab. If the line item tabs are not visible open the line item tabs by clicking on the COLLAPSE ITEMS

DETAIL  icon.

34. As required, complete/review the following fields:

Field Name	R/O/C	Description
Order	R	Sales, production, process, purchase, internal, or work order number that uniquely identifies an object. Example: xxxxxxxxx
Recipient	R	Person who is to receive the material or service.  Must use the recipient's Log On name only Example: bsmith



Use the RECIPIENT SEARCH  icon to open the *Goods Recipient/Ship- To Party (1)* dialog box. Search by First name or Last name to find the log-in Recipient name. Click the ENTER  icon in the *Goods Recipient/Ship- To Party (1)* dialog box or if the log-in name is known input it in the Recipient field.

Goods Recipient/Ship-To Party (1)

Restrictions

First name

Last name

ID/number

Maximum no. of hits

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.	PG
	1		Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R W	001
									Sacramento H		001
									Sacramento H		001

Item 1 [1] Shovel

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

AccAssCat F Order Distribution Single account assignme CoCode CA00 State of

Unloading Point Recipient bsmith

G/L Account 9031123803

Business Area

CO Area

Order DWR000000130

WBS Element

Fund Grant

Functional Area

Funds Center Commitment Item

Earmarked Funds

Account 9031123803 requires an assignment to a CO object

35. Click the ENTER  icon.

36. Click the *Valuation*  tab.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.	PGr
	1		Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R W	001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001

Item 1 [1] Shovel

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

Valuation Price USD / 1 EA Total Value 40.00 USD

Promotion

Goods Receipt

Inv. Receipt

GR Non-Val.

37. As required, complete/review the following fields:

Field Name	R/O/C	Description
Valuation Price	R	Estimated or actual unit price of the material or service.  A price must be entered since a Material Master number was not used. Example: 10.00

Field Name	R/O/C	Description
Material	R	Substance or commodity that is bought or sold on a commercial basis, or is used, consumed, or created in production; a material can also be a service. Also, a number identifying a material master record. Example: xxxxxx (see data sheet or use search)
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item. Example: 10
Delivery Date	R	Delivery date requested by the customer (desired delivery date) or date confirmed in the vendor's order acknowledgement or shipping confirmation.  Select from the CHOOSE FROM PICK LIST  icon. Example: 05/26/2006 (enter future date)
Stor. Loc.	R	Name of the storage location at which materials are stored. There can be one or more storage locations within a plant.  Select from the CHOOSE FROM PICK LIST  icon. Example: SH01

40. Click the ENTER  icon.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.	PGr
	1		Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R W	001
	2	14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R W	001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001
									Sacramento H		001

Item 2 [2] 14, TEST HIBE - STOCK

Material Data Quantities/Dates Valuation Source of Supply Status Contact Person Release strategy Tex

Valuation Price 3.10 USD / 1 EA Total Value 31.00 USD

Promotion

Goods Receipt
 Inv. Receipt
 GR Non-Val.



Select Item line 2 and click the *Valuation* tab. The moving average price will be shown in the Valuation Price field. You can then edit the price if required. The price is correct for this line item.

41. As required, complete/review the following fields:



Line 3 will be a non-stock item using a NLAG Material Master number. This item will require Account Assignment information. Do not input data in the Short Text, Unit of Measure, and Material Group fields. This data will default from the Material Master record.

Field Name	R/O/C	Description
F	R	Account Assignment Category for Internal Orders and PM Orders  Select from the CHOOSE FROM PICK LIST  icon. Example: F Order

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
		F									Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 2 [2] 14, TEST HIBE - STOCK

Material Data Quantities/Dates Valuation Source of Supply Status Contact Person Release strategy Text

Valuation Price 3.10 USD / 1 EA Total Value 31.00 USD

Promotion

Goods Receipt

Inv. Receipt

GR Non-Val.

42. As required, complete/review the following fields:

Field Name	R/O/C	Description
Material	R	Substance or commodity that is bought or sold on a commercial basis, or is used, consumed, or created in production; a material can also be a service. Also, a number identifying a material master record. Example: xxxxxxxx (see data sheet or use search)
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item. Example: 5
Delivery Date	R	Delivery date requested by the customer (desired delivery date) or date confirmed in the vendor's order acknowledgement or shipping confirmation.  Select from the CHOOSE FROM PICK LIST  icon. Example: 05/26/2006

Create Purchase Requisition

The screenshot shows the SAP 'Create Purchase Requisition' interface. At the top, there is a menu bar with 'Purchase Requisition', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu is a toolbar with various icons. The main title is 'Create Purchase Requisition'. There are buttons for 'Document Overview On', 'Hold', and 'Personal Setting'. A search bar contains 'NB Purchase Requisition' and a checkbox for 'Source Determination' is checked. Below this is a 'Header' section with another toolbar and a 'Default Values' button. The main data area is a table with columns: St., Item, A, I, Material, Short Text, Quantity, Unit, C, Delivery Date, Matl Group, Plant, and Stor. Loc. The table contains three rows of data. Below the table is an 'Item' section with a dropdown menu showing '2 [2] 14, TEST HIBE - STOCK'. Below the item section are several tabs: 'Material Data', 'Quantities/Dates', 'Valuation', 'Source of Supply', 'Status', 'Contact Person', 'Release strategy', and 'Text'. The 'Valuation' tab is active, showing fields for 'Valuation Price' (3.10), 'USD', '1', 'EA', 'Total Value' (31.00), and 'USD'. There are also checkboxes for 'Goods Receipt', 'Inv. Receipt', and 'GR Non-Val'.

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
		F		15		5			5/26/2006		Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

43. As required, complete/review the following fields:

Field Name	R/O/C	Description
Stor. Loc.	R	Name of the storage location at which materials are stored. There can be one or more storage locations within a plant.  Select from the CHOOSE FROM PICK LIST  icon. Example: SH01

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
		F		15		5			05/26/2006		Sacramento H	SH01
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 2 [2] 14, TEST HIBE - STOCK

Material Data Quantities/Dates Valuation Source of Supply Status Contact Person Release strategy Text

Valuation Price 3.10 USD / 1 EA Total Value 31.00 USD

Promotion

Goods Receipt
 Inv. Receipt
 GR Non-Val.

44. Click the ENTER  icon.



Select the *Account Assignment* **Account Assignment** tab.

45. As required, complete/review the following fields:

Field Name	R/O/C	Description
Order	R	Sales, production, process, purchase, internal, or work order number that uniquely identifies an object. Example: xxxxxxxxxxxx (see data sheet or use search)

Field Name	R/O/C	Description
Recipient	R	Person who is to receive the material or service.  Must use recipient's Log On name only Example: bsmith

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI

Item 3 [3] 15 , Non stock item -NLAG

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

AccAssCat F Order Distribution Single account assignme CoCode CA00 State of

Unloading Point Recipient bsmith

G/L Account 9031120600

Business Area

CO Area

Order DWR000000130

WBS Element

Fund Grant

Functional Area

Funds Center Commitment Item

Earmarked Funds

Account 9031120600 requires an assignment to a CO object

46. Click the ENTER  icon.

47. Click the *Valuation*  tab.



Click on the line item *Valuation* tab to verify or edit the line item price in the Valuation Price field. It is correct for this line item.

Create Purchase Requisition

The screenshot shows the SAP 'Create Purchase Requisition' interface. At the top, there is a menu bar with 'Purchase Requisition', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu is a toolbar with various icons. The main title is 'Create Purchase Requisition'. There are buttons for 'Document Overview On', 'Hold', and 'Personal Setting'. A search field contains 'NB Purchase Requisition' and a checkbox for 'Source Determination' is checked. The 'Header' section contains a toolbar and a 'Default Values' button. Below this is a table with columns: St., Item, A, I, Material, Short Text, Quantity, Unit, C, Delivery Date, Matl Group, Plant, and Stor. Loc. The table contains three rows of data:

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI

Below the table, the 'Item' field is set to '3 [3] 15, Non stock item -NLAG'. The 'Material Data' tab is active, showing 'Valuation Price' as 10.00 USD, 'Unit' as EA, and 'Total Value' as 10.00 USD. There are checkboxes for 'Goods Receipt', 'Inv. Receipt', and 'GR Non-Val.', all of which are checked.



Line 4 will be an item that will be charged to multiple cost objects. It will not have a Material Master number so the Description will be added in the Short Text, Unit of Measure and a Material Group will need to be selected.

48. As required, complete/review the following fields:

Field Name	R/O/C	Description
A	R	Account Assignment Category for Internal Orders and PM Orders  Select from the CHOOSE FROM PICK LIST  icon. Example: F

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
		F									Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 3 [3] 15, Non stock item -NLAG

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

Valuation Price 2.00 USD / 1 EA Total Value 10.00 USD

Promotion

Goods Receipt
 Inv. Receipt
 GR Non-Val.

49. As required, complete/review the following fields:

Field Name	R/O/C	Description
Short Text	R	Short description of the material/service (limited to 40 characters).  Input the Description data. Example: Tool Box

Field Name	R/O/C	Description
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item.  Input the Quantity data. Example: 2
Unit	R	Unit by which quantities are to be measured. Some examples include: pound, gram, meter, and liter.  Select from the CHOOSE FROM PICK LIST  icon. Example: EA

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
		F			Tool Box	2	EA				Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 3 [3] 15, Non stock item -NLAG

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

Valuation Price 2.00 USD / 1 EA Total Value 10.00 USD

Promotion

Goods Receipt
 Inv. Receipt
 GR Non-Val.

51. As required, complete/review the following fields:

Field Name	R/O/C	Description
Matl Group	R	<p>A material group groups together materials or services with similar attributes.</p> <p> Select from the CHOOSE FROM PICK LIST  icon.</p> <p>Example: Tool</p>
Stor. Loc	R	<p>Name of the storage location at which materials are stored. There can be one or more storage locations within a plant.</p> <p> Select from the CHOOSE FROM PICK LIST  icon.</p> <p>Example: SH01</p>

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
		F			Tool Box	2	EA		05/26/2006	TOOL	Sacramento H	SH01
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 3 [3] 15, Non stock item -NLAG

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

Valuation Price 2.00 USD / 1 EA Total Value 10.00 USD

Promotion

Goods Receipt

Inv. Receipt

GR Non-Val.

52. Click the ENTER  icon.

Create Purchase Requisition

The screenshot shows the SAP 'Create Purchase Requisition' interface. At the top, there is a menu bar with 'Purchase Requisition', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu is a toolbar with various icons. The main title is 'Create Purchase Requisition'. There are buttons for 'Document Overview On', 'Personal Setting', and a search bar containing 'NB Purchase Requisition'. A checkbox for 'Source Determination' is checked. Below this is a 'Header' section with another toolbar and a 'Default Values' button. A table lists three items:

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI

Below the table, the 'Item' field is set to '4 [4] Tool Box'. The 'Account Assignment' tab is selected, showing fields for 'AccAssCat' (F Order), 'Distribution' (Single account assignme), and 'CoCode' (CA00 State of). Other fields include 'Unloading Point', 'Recipient', 'G/L Account' (9031122600), 'Business Area', 'CO Area', 'Order', 'WBS Element', 'Fund', 'Grant', 'Functional Area', 'Funds Center', 'Commitment Item', and 'Earmarked Funds'. A status bar at the bottom displays a warning: 'Account 9031122600 requires an assignment to a CO object'.



Select the line item *Account Assignment* **Account Assignment** tab.



At the *Account Assignment* tab the default asks for one order number. Enter just one number and recipient name in the correct fields.

53. As required, complete/review the following fields:

Field Name	R/O/C	Description
Order	R	Sales, production, process, purchase, internal, or work order number that uniquely identifies an object. Example: xxxxxxxxxx (use data sheet or use search)

Field Name	R/O/C	Description
Recipient	R	Person who is to receive the material or service.  Must use recipient's Log On name only Example: bsmith

Create Purchase Requisition

54. Click the ENTER  icon.

Create Purchase Requisition

The screenshot shows the SAP 'Create Purchase Requisition' interface. At the top, there is a menu bar with 'Purchase Requisition', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu bar is a toolbar with various icons. The main title is 'Create Purchase Requisition'. Underneath, there are buttons for 'Document Overview On', 'Personal Setting', and a search field containing 'NB Purchase Requisition'. A checkbox for 'Source Determination' is checked. The 'Header' section contains a toolbar and a table of items. The table has columns: St., Item, A, I, Material, Short Text, Quantity, Unit, C, Delivery Date, Matl Group, Plant, and Stor. Loc. The items listed are: 1 F (Shovel), 2 (TEST HIBE - STOCK), 3 F (Non stock item -NLAG), and 4 F (Tool Box). Below the table, the 'Item' field is set to '4 [4] Tool Box'. The 'Valuation' tab is active, showing fields for 'Valuation Price', 'USD', '1', 'EA', 'Total Value', and '0.00'. There are also checkboxes for 'Goods Receipt', 'Inv. Receipt', and 'GR Non-Val.'. At the bottom, there is a message box that says 'Enter Valuation Price'.

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	4	F			Tool Box	2	EA	D	05/26/2006	Tools	Sacramento H	13th & R WI
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	



At this point the VALUATION **Valuation** tab will default to enter the item price in the Valuation Price field.

55. As required, complete/review the following fields:

Field Name	R/O/C	Description
Valuation Price	R	Estimated or actual unit price of the material or service. Example: 500.00

56. Click the ENTER icon.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Create Purchase Requisition

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	1	F			Shovel	4	EA	D	05/26/2006	Construction	Sacramento H	13th & R WI
	2			14	TEST HIBE - STOCK	10	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	4	F			Tool Box	2	EA	D	05/26/2006	Tools	Sacramento H	13th & R WI
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	

Item 4 [4] Tool Box

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

Valuation Price 500.00 USD / 1 EA Total Value 1,000.00 USD

Promotion

Goods Receipt
 Inv. Receipt
 GR Non-Val.

57. Click the *Account Assignment* Account Assignment tab.



Select the *Account Assignment* tab to enter the 2nd cost object information. Make sure the line item is selected to line 4 in the line item field.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	4	F			Tool Box	2	EA	D	04/26/2006	Tools	Sacramento H	WH 13th & I
											Sacramento H	
											Sacramento H	

Item 4 [4] Tool Box

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

AccAssCat F Order Distribution Single account assignme CoCode CA00 State of

Unloading Point Recipient bsmith

G/L Account 9031122600

Business Area 3860

CO Area CA00

Order DWR000000130

WBS Element

Fund 0502011944 Grant NOT RELEVANT

Functional Area WR21123000000000

Funds Center 3860201017500200 Commitment Item 9031122600

Earmarked Funds

58. Click the MULTIPLE ACCT ASSIGNMENT  icon.



Click the MULTIPLE ACCT ASSIGNMENT icon at the left of the screen and enter the following data in each field.

Create Purchase Requisition

59. As required, complete/review the following fields:

Field Name	R/O/C	Description
Distribution	R	<p>Indicates how the quantity and value of this purchase order item are apportioned among the individual account assignment items: On a progressive quantity fill-up basis Proportional to the planned quantity distribution</p> <p> Select from the Distribution CHOOSE  icon.</p> <p>Example: 1Distrib. on quantity basis</p>

Field Name	R/O/C	Description
Quantity	R	<p>For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item.</p> <p> Change the 1st line quantity from 2 to 1.</p> <p>Example: 1</p>
Quantity	R	<p>Number of items being processed</p> <p> Input 1 in the 2nd line Quantity field.</p> <p>Example: 1</p>
Order	R	<p>Sales, production, process, purchase, internal, or work order number that uniquely identifies an object.</p> <p> Input the next order number in the 2nd line Order field.</p> <p>Example: xxxxxxxx (see data sheet or use search) *</p>
Recipient	R	<p>Person who is to receive the material or service.</p> <p> Input the recipient name on the 2nd line. Use the scroll bar to move to the right to find this field.</p> <p> Must use recipient's Log On name only</p> <p>Example: bsmith</p>

60. Click the ENTER  icon.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	4	F			Tool Box	2	EA	D	04/26/2006	Tools	Sacramento H	WH 13th & I
											Sacramento H	
											Sacramento H	

Item: 4 [4] Tool Box

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

AccAssCat: F Order Distribution: 1 Distrib. on quantity basis CoCode: CA00 State of

Partial Inv. 2 Distribute Proportionally

S	S	Quantity	Perce	GL Acct	Bu	Order	WBS Element	Commitme	Funds Ctr	Fund
	1	1.000	50.0	9031122600	3860	DWR000000130		9031122600	3860201017500200	050201
	2	.000	50.0	9031122600	3860	DWR000000120		9031122600	3860302002500100	0001L1

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Document Overview On Hold Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	3	F		15	Non stock item -NLAG	5	EA	D	05/26/2006	Office Supplie	Sacramento H	13th & R WI
	4	F			Tool Box	2	EA	D	05/26/2006	Tools	Sacramento H	13th & R WI
											Sacramento H	

Item 4 [4] Tool Box

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

AccAssCat F Order Distribution Single account assignmt CoCode CA00 State of
 Partial Inv. Derive from Account Assi

Fund	Functional Area	Grant	Earmarked	Itm	Unloading Point	Recipient	D
0001200651	38603030010A0000	NOT RELEVANT				bsmith	<input type="checkbox"/>
						bsmith	<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>
							<input type="checkbox"/>



The next line item will be an Asset. Start line 5 by selecting "A" from the Account Assignment Category.

61. Click the CHOOSE FROM PICK LIST  icon.

Account Assignment Category (1) 15 Entries Found

Account Assignment Category (1) 15 Entries Found

Restrictions

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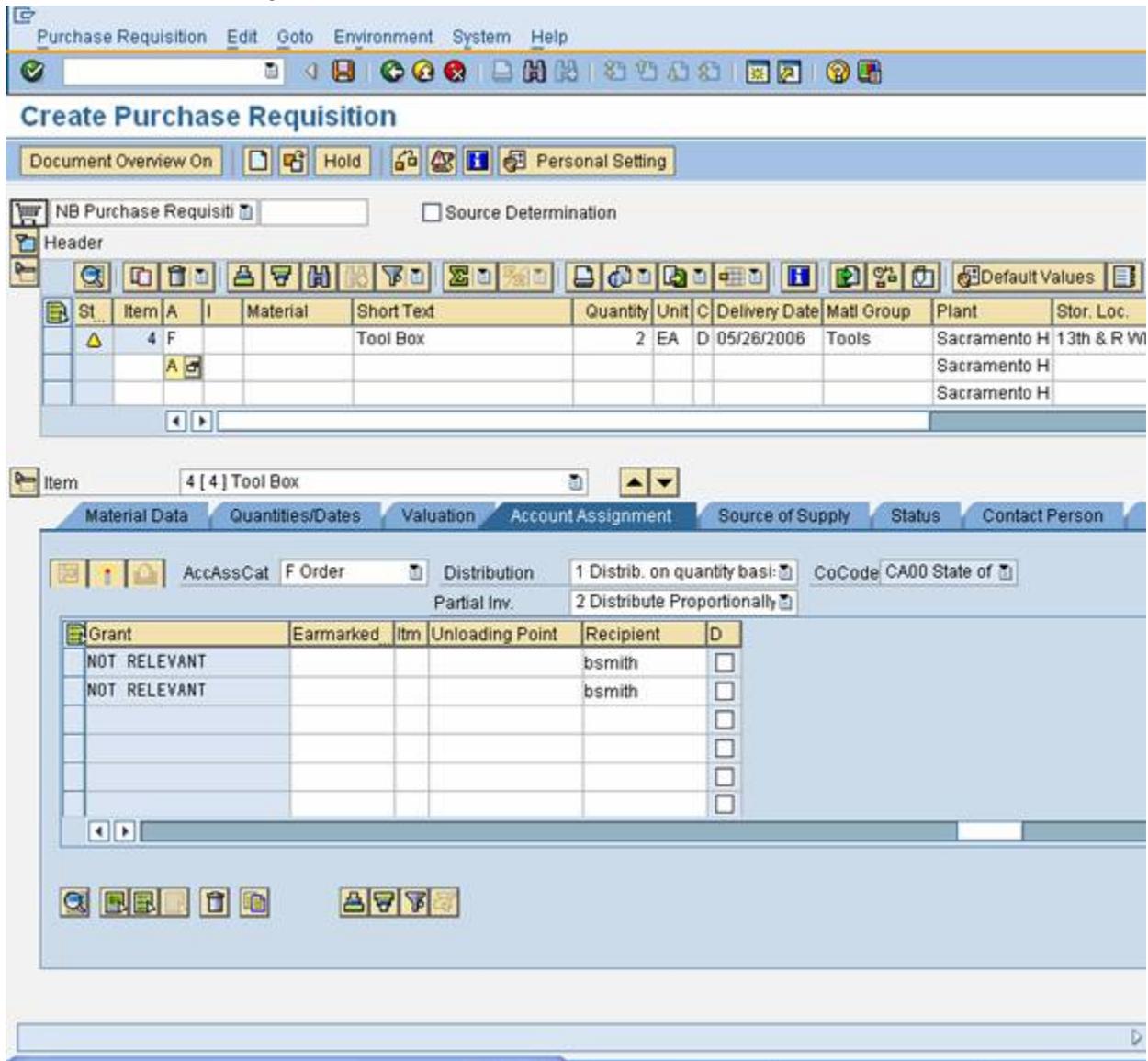
A	AcctAssgntCateg De...
A	Asset
B	MTS prod./sales ord.
C	Sales order
D	Indiv.cust./project
E	Ind. cust. w. KD-CO
F	Order
G	MTS prod./project
K	Cost center
M	Ind. cust. w/o KD-CO
N	Network
P	Project
Q	Proj. make-to-order
T	All new aux.acct.ass.
U	Unknown
X	All aux.acct.assgts.

15 Entries Found

62. Click **A Asset**.

63. Click the ENTER  icon in the *Account Assignment Category (1) 15 Entries Found* dialog box.

Create Purchase Requisition



The screenshot shows the SAP 'Create Purchase Requisition' dialog box. The 'Account Assignment' tab is selected. The table below shows the account assignment details:

Grant	Earmarked	Itm	Unloading Point	Recipient	D
NOT RELEVANT				bsmith	<input type="checkbox"/>
NOT RELEVANT				bsmith	<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

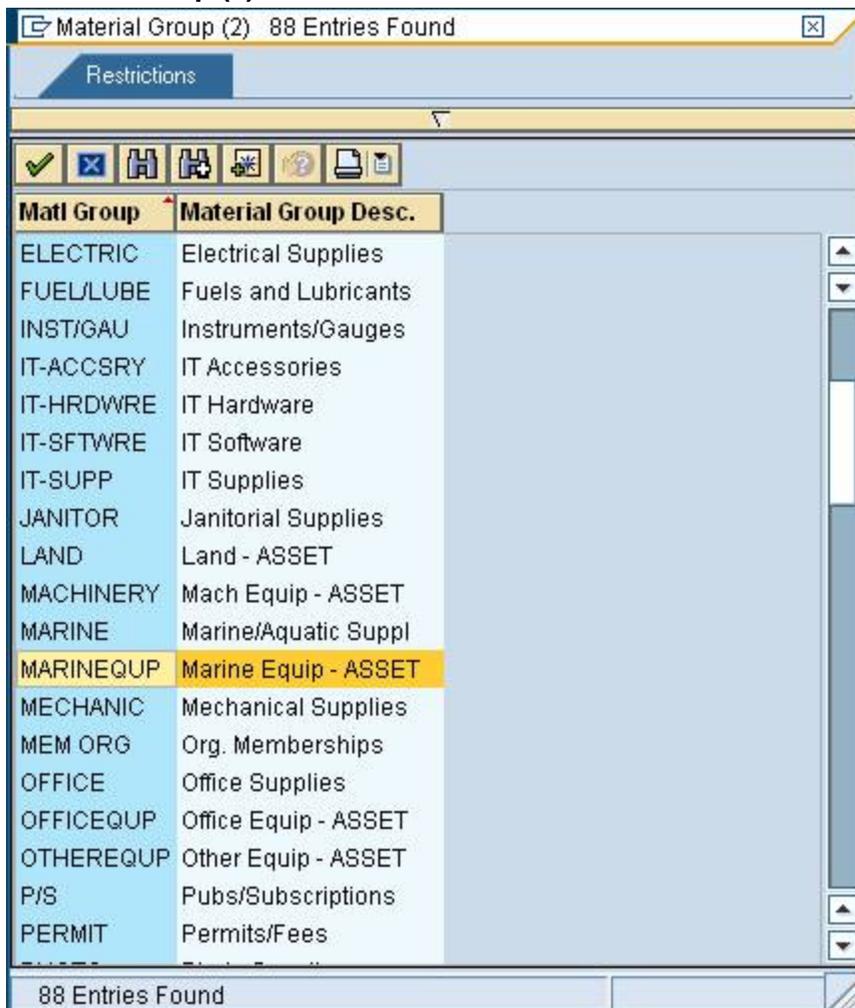
64. As required, complete/review the following fields:

Field Name	R/O/C	Description
Short Text	R	Short description of the material/service (limited to 40 characters). Example: Motor/Boat
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item. Example: 1

Field Name	R/O/C	Description
Unit	R	Unit by which quantities are to be measured. Some examples include: pound, gram, meter, and liter.  Select from the CHOOSE FROM PICK LIST  icon. Example: EA
Delivery Date	R	Delivery date requested by the customer (desired delivery date) or date confirmed in the vendor's order acknowledgement or shipping confirmation.  Select from the CHOOSE FROM PICK LIST  icon. Example: 05/26/2006 (use future date)
Matl Group	R	A material group groups together materials or services with similar attributes.  Use only an Asset Material Group. Example: Marinequip

65. Click the CHOOSE FROM PICK LIST  icon.

Material Group (1) 88 Entries Found



The screenshot shows a software window with a title bar that reads "Material Group (2) 88 Entries Found". Below the title bar is a "Restrictions" tab. A toolbar contains several icons: a checkmark, a close button, a home button, a refresh button, a search button, a help button, a print button, and a save button. The main area is a table with two columns: "Matl Group" and "Material Group Desc.". The table lists various material groups, with "MARINEQUP Marine Equip - ASSET" highlighted in yellow. The status bar at the bottom of the window displays "88 Entries Found".

Matl Group	Material Group Desc.
ELECTRIC	Electrical Supplies
FUELLUBE	Fuels and Lubricants
INST/GAU	Instruments/Gauges
IT-ACCSRY	IT Accessories
IT-HRDWRE	IT Hardware
IT-SFTWRE	IT Software
IT-SUPP	IT Supplies
JANITOR	Janitorial Supplies
LAND	Land - ASSET
MACHINERY	Mach Equip - ASSET
MARINE	Marine/Aquatic Suppl
MARINEQUP	Marine Equip - ASSET
MECHANIC	Mechanical Supplies
MEM ORG	Org. Memberships
OFFICE	Office Supplies
OFFICEQUP	Office Equip - ASSET
OTHEREQUP	Other Equip - ASSET
P/S	Pubs/Subscriptions
PERMIT	Permits/Fees

66. Click **MARINEQUP** Marine Equip - ASSET .

67. Click the ENTER  icon in the *Material Group (1) 88 Entries Found* dialog box.

Create Purchase Requisition

68. As required, complete/review the following fields:

Field Name	R/O/C	Description
Stor. Loc.	R	Name of the storage location at which materials are stored. There can be one or more storage locations within a plant.  Select from the CHOOSE FROM PICK LIST  icon. Example: SH01

69. Click the ENTER  icon.

Create Purchase Requisition



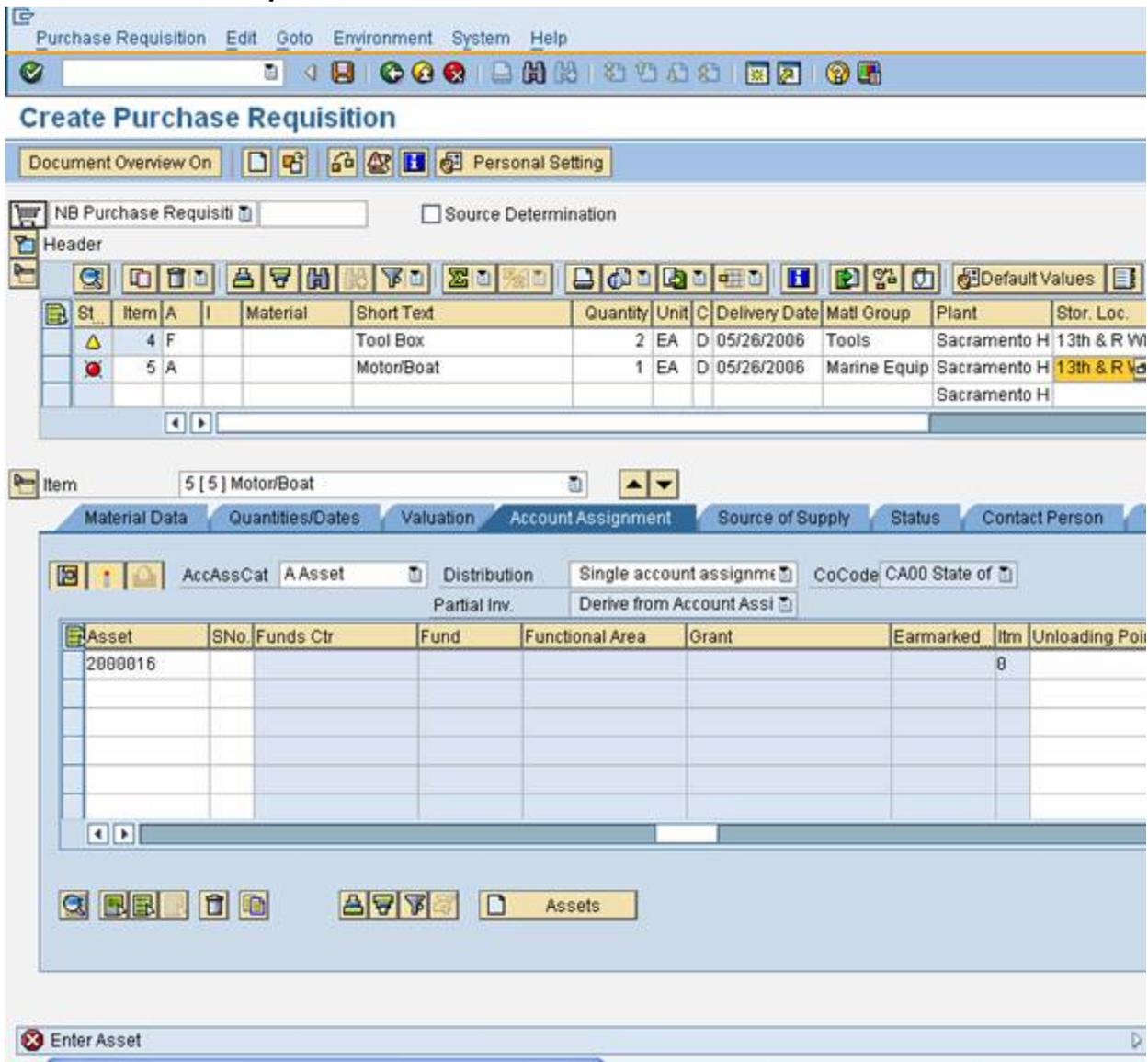
The *Account Assignment* tab defaults. Input the following data in each field for line 5.

70. As required, complete/review the following fields:

Field Name	R/O/C	Description
Asset	R	This is the number which, together with the asset sub-number, identifies a fixed asset in Asset Accounting. Example: 2000xxx (see data sheet)

Field Name	R/O/C	Description
Recipient	R	<p>Person who is to receive the material or service.</p> <p> Use the scroll bar to scroll to the right to input the recipient name.</p> <p> Must use recipient's Log On name only Example: bsmith</p>

Create Purchase Requisition



The screenshot shows the SAP 'Create Purchase Requisition' interface. At the top, there is a menu bar with 'Purchase Requisition', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu is a toolbar with various icons. The main area is titled 'Create Purchase Requisition' and includes a 'Document Overview On' button and a 'Personal Setting' button. A search field contains 'NB Purchase Requisition' and a 'Source Determination' checkbox is present. The 'Header' section contains a table with columns: St., Item, A, I, Material, Short Text, Quantity, Unit, C, Delivery Date, Matl Group, Plant, and Stor. Loc. The table has two rows: one for 'Tool Box' (Quantity 2, Unit EA, Delivery Date 05/26/2006, Matl Group Tools, Plant Sacramento H, Stor. Loc. 13th & R W) and one for 'Motor/Boat' (Quantity 1, Unit EA, Delivery Date 05/26/2006, Matl Group Marine Equip, Plant Sacramento H, Stor. Loc. 13th & R W). Below the table, the 'Item' field is set to '5 [5] Motor/Boat'. The 'Account Assignment' tab is active, showing 'AccAssCat A Asset', 'Distribution Single account assignme', and 'CoCode CA00 State of'. Below this is another table with columns: Asset, SNo., Funds Ctr, Fund, Functional Area, Grant, Earmarked, Itm, and Unloading Poi. The first row shows '2800016' in the Asset column and '0' in the Itm column. At the bottom, there is a toolbar with icons and an 'Assets' button. The status bar at the very bottom shows 'Enter Asset'.

71. Click the ENTER  icon.

Create Purchase Requisition

The screenshot shows the SAP 'Create Purchase Requisition' interface. At the top, there is a menu bar with 'Purchase Requisition', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu is a toolbar with various icons. The main title is 'Create Purchase Requisition'. There are buttons for 'Document Overview On', 'Personal Setting', and a search field containing 'NB Purchase Requisition'. A checkbox for 'Source Determination' is present. The 'Header' section contains a table with columns: St., Item, A, I, Material, Short Text, Quantity, Unit, C, Delivery Date, Matl Group, Plant, and Stor. Loc. The table has two rows: one for 'Tool Box' (Quantity: 2, Unit: EA, Delivery Date: 05/26/2006, Matl Group: Tools, Plant: Sacramento H, Stor. Loc.: 13th & R W) and one for 'Motor/Boat' (Quantity: 1, Unit: EA, Delivery Date: 05/26/2006, Matl Group: Marine Equip, Plant: Sacramento H, Stor. Loc.: 13th & R W). Below the table, there is an 'Item' field with '5 [5] Motor/Boat'. The 'Valuation' tab is active, showing 'Valuation Price' (USD / 1 EA), 'Total Value' (0.00 USD), and checkboxes for 'Goods Receipt', 'Inv. Receipt', and 'GR Non-Val.'. A message bar at the bottom says 'Enter Valuation Price'.



SAP defaults to the Valuation Price field.

72. As required, complete/review the following fields:

Field Name	R/O/C	Description
Valuation Price	R	Estimated or actual unit price of the material or service. Example: 5500.00

73. Click the *Valuation* **Valuation** tab.

Create Purchase Requisition

Purchase Requisition Edit Goto Environment System Help

Create Purchase Requisition

Document Overview On Personal Setting

NB Purchase Requisition Source Determination

Header

St.	Item	A	I	Material	Short Text	Quantity	Unit	C	Delivery Date	Matl Group	Plant	Stor. Loc.
	4	F			Tool Box	2	EA	D	05/26/2006	Tools	Sacramento H	13th & R W
	5	A			Motor/Boat	1	EA	D	05/26/2006	Marine Equip	Sacramento H	13th & R W
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
											Sacramento H	
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											Sacramento H	

Item 5 [5] Motor/Boat

Material Data Quantities/Dates Valuation Account Assignment Source of Supply Status Contact Person

Valuation Price 5500.00 USD / 1 EA Total Value 0.00 USD

Promotion

Goods Receipt

Inv. Receipt

GR Non-Val.

Enter Valuation Price

74. Click the ENTER  icon.

75. Click the SAVE  icon.



SAP displays the message, "Purchase requisition number 0010000xxx created." Record the requisition number for reference for a release approval.

76. You have completed this transaction.

Result

You have created a commodity purchase requisition that is ready for an approval to process into a Purchase Order.

Processing a PO Invoice (MIRO)

Purpose

Use this procedure to process vendor purchase order (PO) invoices/credit memos, and subsequent debit/credit invoices.

Trigger

Perform this procedure when a vendor invoice or credit memo is received.

Prerequisites

- Goods receipt(s) or service entry sheet(s) should be entered in most cases. Some exceptions include framework POs, and Cal-Card POs which do not require a Goods Receipt (GR) or Service Entry Sheet (SES).

Menu Path

Use the following menu path(s) to begin this transaction:

- Select SAP Menu → **Logistics** → **Materials Management** → **Logistics Invoice Verification** → **Document Entry** → **MIRO- Enter Invoice** to go to the *Enter Incoming Invoice: Company Code CA00* screen.

Transaction Code

MIRO

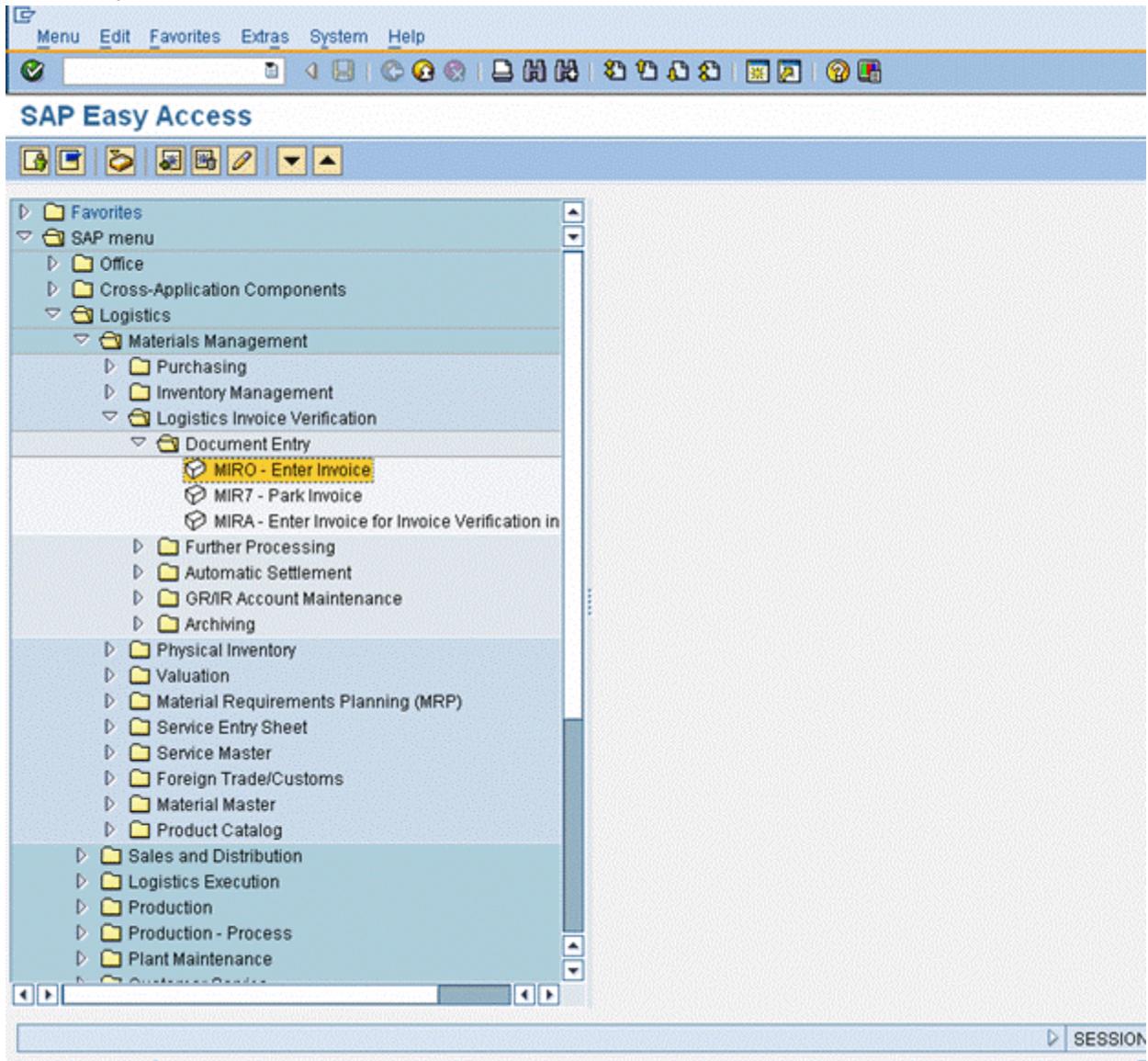
Helpful Hints

None

Procedure

1. Start the transaction using the menu path or transaction code.

SAP Easy Access



2. Double-click  MIRO - Enter Invoice.

Enter Incoming Invoice: Company Code CA00

3. As required, complete/review the following fields:

Field Name	R/O/C	Description
Transaction	R	Computerized task or set of tasks performed using SAP; (Transactions allow associates to select, display, search for, and change records in the database.) Example: Invoice
Inv. recpt date	R	Specifies the date in which the invoice is received. Example: 05/10/2006
Invoice date	R	It is the date that is given by the vendor and appears on the invoice. Example: 05/08/2006

Field Name	R/O/C	Description
Reference	R	Allows for further clarification of an entry by reference to other sources of information, either internal or external to SAP. Any SAP-posted document number can be used as a "reference" when entering a new document. Example: IP123
Amount	R	A figure in the pricing procedure that determines how the system calculates a condition value. Example: 80.04
Tax amount	R	Taxes on Sales/Purchases amount. Example: 5.04
Tax amount	R	Taxes on Sales/Purchases amount. Example: I1 (A/P Sales Tax)
Text	R	Contains an explanatory text on the line item. Example: Interest Penalty Due
Purchase Order/Scheduling Agreement	R	Document used to purchase materials and services from vendors. Or, outline agreement on the basis of which materials are procured at a series of predefined points in time over a certain period. Example: 4500000004



For the second Tax amount field, when a vendor is tax exempt, select

When a vendor is taxable, select

When a vendor is located out of state and does not collect CA sales tax, select

and check the CALCULATE TAX Calculate tax box

4. Click the ENTER icon.

Enter Incoming Invoice: Company Code CA00

Invoice Document Edit Goto System Help

Enter Incoming Invoice: Company Code CA00

Show PO structure Show worklist Hold Simulate Messages Help

Transaction Invoice Balance 2,785.00- USD

Basic data Payment Details Tax Amount split

Vendor 0000103772
MAC WAREHOUSE
CRAIG MORROW
47 WATER ST
NORWALK CT 06854
8006961727 2038551386
Bank acct

Inv. recpt date 05/10/2006
Invoice date 05/08/2006 Reference IP123
Posting Date 05/10/2006
Amount 80.04 USD Calculate tax
Tax amount 5.04 I1 (A/P Sales Tax)
Text Interest Penalty Due
Paymt terms Due immediately
Baseline Date 05/08/2006

PO reference G/L account

Purchase Order/Scheduling Agreement 4500000004 Goods/service items
Layout DWR Standard

Amount	Quantity	Or	Net price	PO Quantity	Tax	Fi	Purchase	Item	Material	PO Text
2,868.00	44	EA	65.00	50	I1		4500000004	1		Smart-up RB-5 F

Item Search Term 1 / 1 Items

Net due date on 05/08/2006 is in the past

5. Click the *Payment* **Payment** tab.

Enter Incoming Invoice: Company Code CA00

Transaction Balance

Basic data | **Payment** | Details | Tax | Amount split

BaselineDt Pay Terms Days

Due on Days

Discount USD Days net

Pmt Method Fixed

Inv.ref. Pmnt Block

Part. Bank Payee

Individual payee House Bank

Vendor 0000103772
 MAC WAREHOUSE
 CRAIG MORROW
 47 WATER ST
 NORWALK CT 06854

 Bank acct

6. As required, complete/review the following fields:

Field Name	R/O/C	Description
Discount	R	Cash discount amount per terms of the P.O. Example: 5
Pmt Method	R	Payment method with which this item is to be paid - W (Warrant), C (ORF Check), Direct Fund (1), A/R Remittance (2), or Direct Transfer (D). Example: w
Payee	R	Enter the required vendor number if payment is to be made to a different permitted payee. Example: 500000

7. Click CHOOSE FROM PICK LIST  icon in the range field.

Payee (1) 1 Entry found

Payee/...	Name 1	City	House number and stre...
500000	BANK OF SACRAMENTO	SACRAMENTO	PO BOX 254706

8. Double-click

500000	BANK OF SACRAMENTO	SACRAMENTO	PO BOX 254706
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.



Payee field (and Permitted Payees): This field allows the assignment of multiple permitted payees to the same vendor number.

Example: The P.O. was set up under Mac Warehouse (V#103772), but the payment will be remitted to Bank of Sacramento (V#500000). From a reporting point of view, the alternative payee is visible in the

vendor line item display (transaction FBL1N) in the Payee/er column as demonstrated below.

103772	MAC WAREHOUSE CRAIG MORROW 47 WATER ST NORWALK CT 06854	Te1: +1 (8006961727) Fax: +1 (2038551386)	Date: 05/11/2006							
St	Reference	Document Header Text	DocumentNo	Ty	IR date	Pstng Date	Net due dt	Discount	DC amount	Payee/er
✓	IP123	4500000004	5100000060	RE	05/10/2006	05/10/2006	05/08/2006	5.00-	80.04-	500000



Adding Permitted Payees: If a permitted payee is needed but unavailable from the drop down menu, then a help desk ticket must be submitted referencing the vendor number assigned to the P.O. and a hard copy invoice must be forwarded to the vendor master data office. Note: Permitted payees will start with 5.

9. Click the Details **Details** tab.

Enter Incoming Invoice: Company Code CA00

Transaction Balance

Basic data | **Payment** | **Details** | Tax | Amount split

Unpl. Del. Csts	<input type="text"/>	Exch. Rate	1.00000
Currency	USD	Inv. Party	103772
Doc. Type	Vendor Invoice-w/PO	Bus. Area	<input type="text"/>
Inv. recpt date	05/30/2006	G/L	3010000000
Assignment	IP123	Reason f. delay	<input type="checkbox"/>
Header Text	<input type="text"/>		

Vendor 0000103772
 MAC WAREHOUSE
 CRAIG MORROW
 47 WATER ST
 NORWALK CT 06854
 8006961727

Bank acct

10. As required, complete/review the following fields:

Field Name	R/O/C	Description
Assign.	R	Same as reference field. Enter the invoice number. Example: IP123



For credit memo or subsequent credit memo transactions, choose **Vendor Cr Mem - w/PO** from the Doc Typ menu (see below).

11. Click P.O. Reference **PO reference** tab.



All line items containing goods receipts or service entry sheets will be automatically highlighted. If necessary, de-select the PO line items that will not be paid.

12. Click into the Amount **Amount** field and change the amount from \$2795.00 to \$65.00.

As required, complete/review the following fields:

Field Name	R/O/C	Description
Amount	R	A figure in the pricing procedure that determines how the system calculates a condition value. Example: 65.00

13. Click into the Quantity **Quantity** field and change the quantity from 43 to 1.

As required, complete/review the following fields:

Field Name	R/O/C	Description
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item. Example: 1

PO reference G/L account

Purchase Order/Scheduling Agreement 4500000004 Goods/service items

Layout DWR Standard

Amount	Quantity	Or	Net price	PO Quantity	Tax	Fi	Purchase	Item	Material	PO Text	Refer
65.00	1	EA	65.00	50	11		4500000004	1		Smart-up RB-5 Replacem	5000



If this is a final payment on the P.O. line item, the end user will need to check the Final Invoice Indicator box located between the tax code and purchase order number above.

14. Click the *G/L account* **G/L account** tab.

15. As required, complete/review the following fields:

Field Name	R/O/C	Description
G/L acct	R	Accounting ledger created to support the creation of statutory reports. Example: 9033354500
Amount in doc.curr.	R	Line item amount in document currency. Example: 10.00
Tax code	R	Indicates the type and the amount of tax for a specific line item. Example: 10

Enter Incoming Invoice: Company Code CA00

PO reference G/L account

Layout DWR E

St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order
<input checked="" type="checkbox"/>	9033354500	Interest Penalties	Debit	10.00	10		

16. Click the CHOOSE FROM PICK LIST  icon in the Tax Code field.

Tax Code (1) 8 Entries Found

Tax Code (1) 8 Entries Found

Restrictions

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Tx	Description
10	A/P Tax Exempt
11	A/P Sales Tax
13	A/P Lease Tax
00	A/R Tax Exempt
01	A/R Sales Tax
02	A/R Service Tax
05	A/R Sales Tax (Product Code 9937299)
U1	A/P Self Assessment Use Tax

8 Entries Found

17. Double-click 10 A/P Tax Exempt

Enter Incoming Invoice: Company Code CA00

PO reference G/L account

Layout DWR S

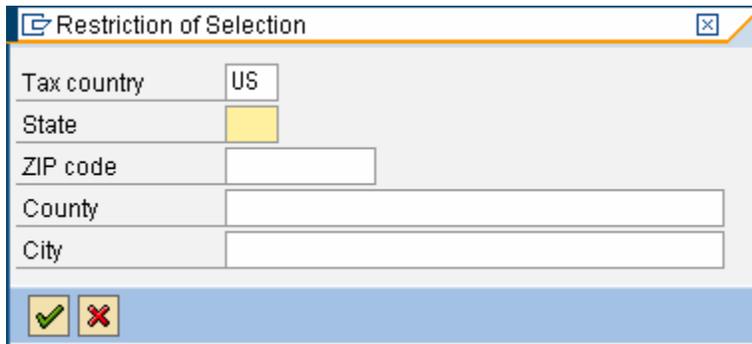
St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order
✓	9033354500	Interest Penalties	Debit	10.00	10		

18. As required, complete/review the following fields:

Field Name	R/O/C	Description
Tax jurisdictn code	R	The tax jurisdiction is used for determining the tax rates in the USA. It defines to which tax authorities you must pay your taxes. It is always the city to which the goods are supplied. Example: 0506729401

19. Click the CHOOSE FROM PICK LIST  icon in the Tax jurisdiction code field.

Restriction of Selection



20. As required, complete/review the following fields:

Field Name	R/O/C	Description
State	R	The state where the goods have been delivered. Example: CA
ZIP code	R	The zip code where the goods have been delivered. Example: 95814

21. Click ENTER  icon.

Tax Jurisdiction (1) 4 Entries Found

Tax Jurisdiction (1) 4 Entries Found

Restrictions

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Rg	District	City	PostalCode	Tax Jur.
CA	SACRAMENTO	METRO	95814	0506729401
CA	SACRAMENTO	STATE CAPITOL	95814	0506729401
CA	SACRAMENTO	HAGGINWOOD	95814	0506729401
CA	SACRAMENTO	SACRAMENTO	95814	0506729401

4 Entries Found

22. Double-click CA SACRAMENTO SACRAMENTO 95814 0506729401

Enter Incoming Invoice: Company Code CA00

PO reference G/L account

Layout DWR S

St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order
✓	9033354500	Interest Penalties	Debit	10.00	10	0506729401	🔄

23. Click the SCROLL RIGHT icon.

24. As required, complete/review the following fields:

Field Name	R/O/C	Description
Order	R	Sales, production, process, purchase, internal, or work order number that uniquely identifies an object. Example: G00000000005

PO reference		G/L account		Layout						
				DWR Standard						
St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order	Busi	Fund	WB
✓	9033354500	Interest Penalties	Debit	10.00	I0	0506729401	600000000005			

25. Click the Green Check  icon and the business area and fund number will populate automatically.

PO reference		G/L account		Layout						
				DWR Standard						
St	G/L acct	Short Text	D/C	Amount in doc.c.	Ta	Tax jurisdictn code	Order	Business area	Fund	WB
✓	9033354500	Interest Penalties	Debit	10.00	I0	0506729401	600000000005	3860	0001CA2002	

26. Click the SIMULATE  Simulate button.



When processing a credit memo, select credit memo from the transaction drop down menu

Transaction	Credit memo
-------------	-------------

When processing a subsequent debit, select subsequent debit from the transaction drop down menu

Transaction	Subsequent debit
-------------	------------------

When processing a subsequent credit, select subsequent credit from the transaction drop down menu

Transaction	Subsequent credit
-------------	-------------------

Comments

The requisition can now be approved by releasing and sent to the Purchasing Buyer to process into a Purchase Order.

SAP VENDOR MASTER DATA REQUEST

All sections must be completed by DWR Requestor. All fields are required to create or change a vendor in SAP. Faxed copies are accepted to expedite the request or maybe emailed to the Master Data Office.

- NEW VENDOR
 NAME CHANGE
 VENDOR # _____
- ADDRESS CHANGE
- EXISTING VENDOR – ADDITIONAL LOCATION

SECTION 1: MUST BE COMPLETED BY DWR REQUESTOR

NAME		TELEPHONE NUMBER	
E-MAIL			DATE
DIVISION		SUPERVISOR	
PAYEE BUSINESS NAME			
PHYSICAL ADDRESS			
CITY, STATE, ZIP CODE			
CONTACT NAME		TELEPHONE NUMBER	FAX NUMBER

SECTION 2: PLEASE MARK THE APPROPRIATE BOXES

REQUIRED FORMS		VOLUNTARY FORMS
C-Contracts/A&E Vendors	All Other Vendors	All Other Vendors
<input type="checkbox"/> DWR 9512 - Vendor Master Data Request Form <input type="checkbox"/> STD 204 - Payee Data Record	<input type="checkbox"/> DWR 9512 - Vendor Master Data Request Form <input type="checkbox"/> STD 204 - Payee Data Record <input type="checkbox"/> STD 21 - Drug-Free Workplace Certification <input type="checkbox"/> DWR 9857 - Darfur Act Form <input type="checkbox"/> Copy of California Seller's Permit	<input type="checkbox"/> DWR 9563 - Contractor Statistical Data Form

Small Business
 Micro Business
 Disabled Veteran-Owned Business Enterprise
 Certification No. _____

ADDITIONAL NOTES:

MASTER DATA OFFICE USE ONLY

HELP TICKET NUMBER	DATE ENTERED	VENDOR NUMBER
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SAP VENDOR MASTER DATA REQUEST INSTRUCTIONS**Privacy Statement**

The State of California requires that all parties entering into business transactions that may lead to payment(s) from the State must provide their Taxpayer Identification Number (TIN). The TIN is required by the California State Revenue and Taxation Code, Section 18646 to facilitate tax compliance enforcement activities, to facilitate the preparation of Form 1099, the withholding from nonresident vendors (pursuant California Revenue and Taxation Code Sections 18662, 18668, and 17951, and other information returns, as required by the Internal Revenue Code, Section 6109(a). The TIN for individual and sole proprietorship is the Social Security Number (SSN). Partnerships, estates, trusts, and corporations will only enter their Federal Employer Identification Number (FEIN).

New Vendor

Required forms*:

- Vendor Master Data Request form (DWR 9512)
- Copy of California Seller's Permit**
- Payee Data Record (STD 204)
- Drug-Free Workplace Certification (STD 21)
- Darfur Act Form (DWR 9657)

*Exceptions: C – Contracts/A&E Vendors – only DWR 9512 and STD 204. Exempt Vendors – only DWR 9512.

**All vendors in California, selling goods in California, must have a Seller's Permit or Certificate of Registration.

Voluntary form:

- Contractor Statistical Data Form (DWR 9563)

Submission – AquaAssist

Please attach completed forms to an AquaAssist Service Request ticket. Classification option – select Fiscal SAP, Category option – select Vendor. Click Next twice, attach forms and include instructions in Additional Request Description box. Submit. Note: All vendor requests must be submitted through AquaAssist.

For questions, call the Master Data Office at (916) 654-9760.

Vendor Changes

All vendors are required to submit documentation for changes on company letterhead as well as submit new DWR 9512, and STD 204.

For Prompt Payment

Vendor name on invoice must match vendor name on purchase order: Invoices will be returned to the vendor if different vendor names appear on the invoice and purchase order.

Invoices: Unless otherwise specified, original invoices shall be sent to the "Bill To" address. Invoices shall be submitted in triplicate.

Itemizing: State sales tax, installation cost, shipping/freight cost, and/or non-taxable cost shall be itemized separately and added to each invoice as applicable.

Required payment date: Payments will be made in accordance with the provisions of the California Prompt Payment Act, Government Code Section 927 et seq. Unless expressly exempted by the statute, the Act requires state agencies to pay properly submitted, undisputed invoices not more than 45 days after (a) the date of acceptance of goods or performance of services; or (b) receipt of an undisputed invoice whichever is later.

Shipping instructions: When the Purchase Order of contract allows prepaid/additional transportation charges, submit a copy of the freight bill, if freight charges are over \$50.00. All shipments shall be F.O.B. Destination Freight Prepaid unless otherwise specified. All orders MUST include a copy of the packing slip inside the carton AND a copy securely attached to the OUTSIDE of the shipping carton.

Processing a PO Invoice (MIRO)

Purpose

Use this procedure to process vendor purchase order (PO) invoices/credit memos, and subsequent debit/credit invoices.

Trigger

Perform this procedure when a vendor invoice or credit memo is received.

Prerequisites

- Goods receipt(s) or service entry sheet(s) should be entered in most cases. Some exceptions include framework POs, and Cal-Card POs which do not require a Goods Receipt (GR) or Service Entry Sheet (SES).

Menu Path

Use the following menu path(s) to begin this transaction:

- Select SAP Menu → **Logistics** → **Materials Management** → **Logistics Invoice Verification** → **Document Entry** → **MIRO- Enter Invoice** to go to the *Enter Incoming Invoice: Company Code CA00* screen.

Transaction Code

MIRO

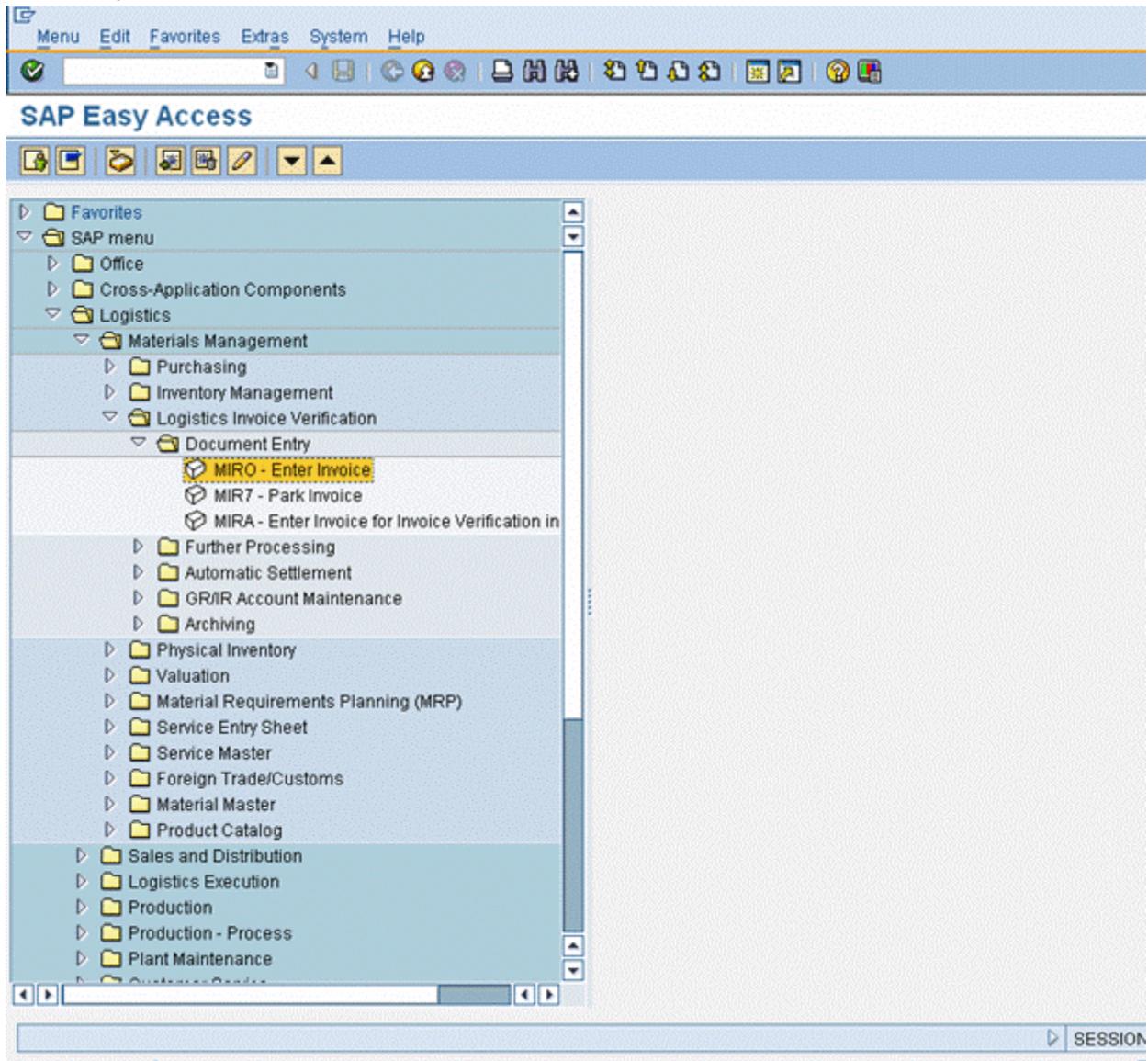
Helpful Hints

None

Procedure

1. Start the transaction using the menu path or transaction code.

SAP Easy Access



2. Double-click  MIRO - Enter Invoice.

Enter Incoming Invoice: Company Code CA00

The screenshot displays the SAP 'Enter Incoming Invoice' interface for Company Code CA00. The main window has a title bar with 'Invoice Document', 'Edit', 'Goto', 'System', and 'Help'. Below the title bar is a toolbar with various icons. The main content area is divided into several sections:

- Transaction:** Invoice
- Balance:** 0.00
- Tabs:** Basic data, Payment, Details, Tax, Amount split
- Basic data section:**
 - Inv. recpt date: []
 - Invoice date: []
 - Posting Date: 05/10/2006
 - Amount: []
 - Tax amount: []
 - Text: []
 - Company Code: CA00 State of California Sacramento
 - Lot No.: []
- PO reference / G/L account section:**
 - Purchase Order/Scheduling Agreement: []
 - Goods/service items: []
 - Layout: DWR Standard
- Table:** A table with columns: Amount, Quantity, Or, Net price, PO Quantity, Tax, Fi, Purchase, Item, Material, PO Text. The table is currently empty.
- Bottom section:** Item: [], Search Term: [], 0 / 0 Items

3. As required, complete/review the following fields:

Field Name	R/O/C	Description
Transaction	R	Computerized task or set of tasks performed using SAP; (Transactions allow associates to select, display, search for, and change records in the database.) Example: Invoice
Inv. recpt date	R	Specifies the date in which the invoice is received. Example: 05/10/2006
Invoice date	R	It is the date that is given by the vendor and appears on the invoice. Example: 05/08/2006

Field Name	R/O/C	Description
Reference	R	Allows for further clarification of an entry by reference to other sources of information, either internal or external to SAP. Any SAP-posted document number can be used as a "reference" when entering a new document. Example: IP123
Amount	R	A figure in the pricing procedure that determines how the system calculates a condition value. Example: 80.04
Tax amount	R	Taxes on Sales/Purchases amount. Example: 5.04
Tax amount	R	Taxes on Sales/Purchases amount. Example: I1 (A/P Sales Tax)
Text	R	Contains an explanatory text on the line item. Example: Interest Penalty Due
Purchase Order/Scheduling Agreement	R	Document used to purchase materials and services from vendors. Or, outline agreement on the basis of which materials are procured at a series of predefined points in time over a certain period. Example: 4500000004



For the second Tax amount field, when a vendor is tax exempt, select

When a vendor is taxable, select

When a vendor is located out of state and does not collect CA sales tax, select

and check the CALCULATE TAX Calculate tax box

4. Click the ENTER  icon.

Enter Incoming Invoice: Company Code CA00

Invoice Document Edit Goto System Help

Enter Incoming Invoice: Company Code CA00

Show PO structure Show worklist Hold Simulate Messages Help

Transaction Invoice Balance 2,785.00- USD

Basic data Payment Details Tax Amount split

Vendor 0000103772
MAC WAREHOUSE
CRAIG MORROW
47 WATER ST
NORWALK CT 06854
8006961727 2038551386
Bank acct

Inv. recpt date 05/10/2006
Invoice date 05/08/2006 Reference IP123
Posting Date 05/10/2006
Amount 80.04 USD Calculate tax
Tax amount 5.04 I1 (A/P Sales Tax)
Text Interest Penalty Due
Paymt terms Due immediately
Baseline Date 05/08/2006

PO reference G/L account

Purchase Order/Scheduling Agreement 4500000004 Goods/service items
Layout DWR Standard

Amount	Quantity	Or	Net price	PO Quantity	Tax	Fi	Purchase	Item	Material	PO Text
2,868.00	44	EA	65.00	50	I1		4500000004	1		Smart-up RB-5 F

Item Search Term 1 / 1 Items

Net due date on 05/08/2006 is in the past

5. Click the *Payment* **Payment** tab.

Enter Incoming Invoice: Company Code CA00

Transaction Balance

Basic data | **Payment** | Details | Tax | Amount split

BaselineDt Pay Terms Days

Due on Days

Discount USD Days net

Pmt Method Fixed

Inv.ref. Pmnt Block

Part. Bank Payee 

Individual payee House Bank

Vendor 0000103772
 MAC WAREHOUSE
 CRAIG MORROW
 47 WATER ST
 NORWALK CT 06854
 8006961727

 Bank acct

6. As required, complete/review the following fields:

Field Name	R/O/C	Description
Discount	R	Cash discount amount per terms of the P.O. Example: 5
Pmt Method	R	Payment method with which this item is to be paid - W (Warrant), C (ORF Check), Direct Fund (1), A/R Remittance (2), or Direct Transfer (D). Example: w
Payee	R	Enter the required vendor number if payment is to be made to a different permitted payee. Example: 500000

7. Click CHOOSE FROM PICK LIST  icon in the range field.

Payee (1) 1 Entry found

Payee/...	Name 1	City	House number and stre...
500000	BANK OF SACRAMENTO	SACRAMENTO	PO BOX 254706

8. Double-click

500000	BANK OF SACRAMENTO	SACRAMENTO	PO BOX 254706
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.



Payee field (and Permitted Payees): This field allows the assignment of multiple permitted payees to the same vendor number.

Example: The P.O. was set up under Mac Warehouse (V#103772), but the payment will be remitted to Bank of Sacramento (V#500000). From a reporting point of view, the alternative payee is visible in the

vendor line item display (transaction FBL1N) in the Payee/er column as demonstrated below.

103772	MAC WAREHOUSE CRAIG MORROW 47 WATER ST NORWALK CT 06854	Te1: +1 (8006961727) Fax: +1 (2038551386)	Date: 05/11/2006							
St	Reference	Document Header Text	DocumentNo	Ty	IR date	Pstng Date	Net due dt	Discount	DC amount	Payee/er
✓	IP123	4500000004	5100000060	RE	05/10/2006	05/10/2006	05/08/2006	5.00-	80.04-	500000



Adding Permitted Payees: If a permitted payee is needed but unavailable from the drop down menu, then a help desk ticket must be submitted referencing the vendor number assigned to the P.O. and a hard copy invoice must be forwarded to the vendor master data office. Note: Permitted payees will start with 5.

9. Click the Details **Details** tab.

Enter Incoming Invoice: Company Code CA00

Transaction Balance

Basic data | **Payment** | **Details** | Tax | Amount split

Unpl. Del. Csts	<input type="text"/>	Exch. Rate	1.00000
Currency	USD	Inv. Party	103772
Doc. Type	Vendor Invoice-w/PO	Bus. Area	<input type="text"/>
Inv. recpt date	05/30/2006	G/L	3010000000
Assignment	IP123	Reason f. delay	<input type="checkbox"/>
Header Text	<input type="text"/>		

Vendor 0000103772
 MAC WAREHOUSE
 CRAIG MORROW
 47 WATER ST
 NORWALK CT 06854
 8006961727

Bank acct

10. As required, complete/review the following fields:

Field Name	R/O/C	Description
Assign.	R	Same as reference field. Enter the invoice number. Example: IP123



For credit memo or subsequent credit memo transactions, choose **Vendor Cr Mem - w/PO** from the Doc Typ menu (see below).

11. Click P.O. Reference **PO reference** tab.



All line items containing goods receipts or service entry sheets will be automatically highlighted. If necessary, de-select the PO line items that will not be paid.

12. Click into the Amount **Amount** field and change the amount from \$2795.00 to \$65.00.

As required, complete/review the following fields:

Field Name	R/O/C	Description
Amount	R	A figure in the pricing procedure that determines how the system calculates a condition value. Example: 65.00

13. Click into the Quantity **Quantity** field and change the quantity from 43 to 1.

As required, complete/review the following fields:

Field Name	R/O/C	Description
Quantity	R	For materials, this is the number of items being ordered. For services, this is the total dollar amount contracted for that line item. Example: 1

PO reference G/L account

Purchase Order/Scheduling Agreement 4500000004 Goods/service items

Layout DWR Standard

Amount	Quantity	Or	Net price	PO Quantity	Tax	Fi	Purchase	Item	Material	PO Text	Refer
65.00	1	EA	65.00	50	11		4500000004	1		Smart-up RB-5 Replacem	5000



If this is a final payment on the P.O. line item, the end user will need to check the Final Invoice Indicator box located between the tax code and purchase order number above.

14. Click the *G/L account* **G/L account** tab.

15. As required, complete/review the following fields:

Field Name	R/O/C	Description
G/L acct	R	Accounting ledger created to support the creation of statutory reports. Example: 9033354500
Amount in doc.curr.	R	Line item amount in document currency. Example: 10.00
Tax code	R	Indicates the type and the amount of tax for a specific line item. Example: 10

Enter Incoming Invoice: Company Code CA00

PO reference G/L account

Layout DWR S

St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order
<input checked="" type="checkbox"/>	9033354500	Interest Penalties	Debit	10.00	10		

16. Click the CHOOSE FROM PICK LIST  icon in the Tax Code field.

Tax Code (1) 8 Entries Found

Tx	Description
10	A/P Tax Exempt
11	A/P Sales Tax
13	A/P Lease Tax
00	A/R Tax Exempt
01	A/R Sales Tax
02	A/R Service Tax
05	A/R Sales Tax (Product Code 9937299)
U1	A/P Self Assessment Use Tax

17. Double-click **10 A/P Tax Exempt**.

Enter Incoming Invoice: Company Code CA00

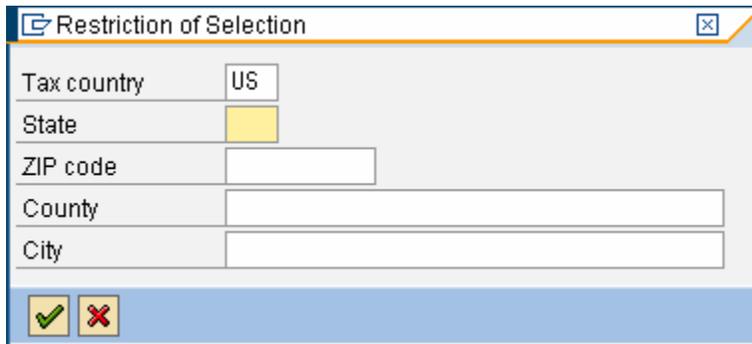
St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order
✓	9033354500	Interest Penalties	Debit	10.00	10		

18. As required, complete/review the following fields:

Field Name	R/O/C	Description
Tax jurisdictn code	R	The tax jurisdiction is used for determining the tax rates in the USA. It defines to which tax authorities you must pay your taxes. It is always the city to which the goods are supplied. Example: 0506729401

19. Click the CHOOSE FROM PICK LIST  icon in the Tax jurisdiction code field.

Restriction of Selection



20. As required, complete/review the following fields:

Field Name	R/O/C	Description
State	R	The state where the goods have been delivered. Example: CA
ZIP code	R	The zip code where the goods have been delivered. Example: 95814

21. Click ENTER  icon.

Tax Jurisdiction (1) 4 Entries Found

Tax Jurisdiction (1) 4 Entries Found

Restrictions



Rg	District	City	PostalCode	Tax Jur.
CA	SACRAMENTO	METRO	95814	0506729401
CA	SACRAMENTO	STATE CAPITOL	95814	0506729401
CA	SACRAMENTO	HAGGINWOOD	95814	0506729401
CA	SACRAMENTO	SACRAMENTO	95814	0506729401

4 Entries Found

22. Double-click CA SACRAMENTO SACRAMENTO 95814 0506729401

Enter Incoming Invoice: Company Code CA00

PO reference G/L account

Layout DWR S

St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order
✓	9033354500	Interest Penalties	Debit	10.00	10	0506729401	

23. Click the SCROLL RIGHT icon.

24. As required, complete/review the following fields:

Field Name	R/O/C	Description
Order	R	Sales, production, process, purchase, internal, or work order number that uniquely identifies an object. Example: G00000000005

St	G/L acct	Short Text	D/C	Amount in doc.curr.	Tax code	Tax jurisdictn code	Order	Busi	Fund	WB
✓	9033354500	Interest Penalties	Debit	10.00	I0	0506729401	600000000005			

25. Click the Green Check  icon and the business area and fund number will populate automatically.

St	G/L acct	Short Text	D/C	Amount in doc.c.	Ta	Tax jurisdictn code	Order	Business area	Fund
✓	9033354500	Interest Penalties	Debit	10.00	I0	0506729401	600000000005	3860	0001CA2002

26. Click the SIMULATE  Simulate button.



When processing a credit memo, select credit memo from the transaction drop down menu

Transaction	Credit memo
-------------	-------------

When processing a subsequent debit, select subsequent debit from the transaction drop down menu

Transaction	Subsequent debit
-------------	------------------

When processing a subsequent credit, select subsequent credit from the transaction drop down menu

Transaction	Subsequent credit
-------------	-------------------

SAP VENDOR MASTER DATA REQUEST

All sections must be completed by DWR Requestor. All fields are required to create or change a vendor in SAP. Faxed copies are accepted to expedite the request or maybe emailed to the Master Data Office.

- NEW VENDOR
 NAME CHANGE
 VENDOR # _____
 ADDRESS CHANGE
 EXISTING VENDOR – ADDITIONAL LOCATION

SECTION 1: MUST BE COMPLETED BY DWR REQUESTOR

NAME		TELEPHONE NUMBER	
E-MAIL			DATE
DIVISION		SUPERVISOR	
PAYEE BUSINESS NAME			
PHYSICAL ADDRESS			
CITY, STATE, ZIP CODE			
CONTACT NAME		TELEPHONE NUMBER	FAX NUMBER

SECTION 2: PLEASE MARK THE APPROPRIATE BOXES

REQUIRED FORMS		VOLUNTARY FORMS
C-Contracts/A&E Vendors	All Other Vendors	All Other Vendors
<input type="checkbox"/> DWR 9512 - Vendor Master Data Request Form <input type="checkbox"/> STD 204 - Payee Data Record	<input type="checkbox"/> DWR 9512 - Vendor Master Data Request Form <input type="checkbox"/> STD 204 - Payee Data Record <input type="checkbox"/> STD 21 - Drug-Free Workplace Certification <input type="checkbox"/> DWR 9657 - Darfur Act Form <input type="checkbox"/> Copy of California Seller's Permit	<input type="checkbox"/> DWR 9563 - Contractor Statistical Data Form

Small Business
 Micro Business
 Disabled Veteran-Owned Business Enterprise
 Certification No. _____

ADDITIONAL NOTES:

MASTER DATA OFFICE USE ONLY

HELP TICKET NUMBER	DATE ENTERED	VENDOR NUMBER
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SAP VENDOR MASTER DATA REQUEST INSTRUCTIONS

Privacy Statement

The State of California requires that all parties entering into business transactions that may lead to payment(s) from the State must provide their Taxpayer Identification Number (TIN). The TIN is required by the California State Revenue and Taxation Code, Section 18646 to facilitate tax compliance enforcement activities, to facilitate the preparation of Form 1099, the withholding from nonresident vendors (pursuant California Revenue and Taxation Code Sections 18662, 18668, and 17951, and other information returns, as required by the Internal Revenue Code, Section 6109(a). The TIN for individual and sole proprietorship is the Social Security Number (SSN). Partnerships, estates, trusts, and corporations will only enter their Federal Employer Identification Number (FEIN).

New Vendor

Required forms*:

- Vendor Master Data Request form (DWR 9512)
- Copy of California Seller's Permit**
- Payee Data Record (STD 204)
- Drug-Free Workplace Certification (STD 21)
- Darfur Act Form (DWR 9657)

*Exceptions: C – Contracts/A&E Vendors – only DWR 9512 and STD 204. Exempt Vendors – only DWR 9512.

**All vendors in California, selling goods in California, must have a Seller's Permit or Certificate of Registration.

Voluntary form:

- Contractor Statistical Data Form (DWR 9563)

Submission – AquaAssist

Please attach completed forms to an AquaAssist Service Request ticket. Classification option – select Fiscal SAP, Category option – select Vendor. Click Next twice, attach forms and include instructions in Additional Request Description box. Submit. Note: All vendor requests must be submitted through AquaAssist.

For questions, call the Master Data Office at (916) 654-9760.

Vendor Changes

All vendors are required to submit documentation for changes on company letterhead as well as submit new DWR 9512, and STD 204.

For Prompt Payment

Vendor name on invoice must match vendor name on purchase order: Invoices will be returned to the vendor if different vendor names appear on the invoice and purchase order.

Invoices: Unless otherwise specified, original invoices shall be sent to the "Bill To" address. Invoices shall be submitted in triplicate.

Itemizing: State sales tax, installation cost, shipping/freight cost, and/or non-taxable cost shall be itemized separately and added to each invoice as applicable.

Required payment date: Payments will be made in accordance with the provisions of the California Prompt Payment Act, Government Code Section 927 et seq. Unless expressly exempted by the statute, the Act requires state agencies to pay properly submitted, undisputed invoices not more than 45 days after (a) the date of acceptance of goods or performance of services; or (b) receipt of an undisputed invoice whichever is later.

Shipping instructions: When the Purchase Order of contract allows prepaid/additional transportation charges, submit a copy of the freight bill, if freight charges are over \$50.00. All shipments shall be F.O.B. Destination Freight Prepaid unless otherwise specified. All orders MUST include a copy of the packing slip inside the carton AND a copy securely attached to the OUTSIDE of the shipping carton.

DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PROGRAM EXEMPTION REQUEST

Approval for exemption of the California DVBE program from specified contracts is mandated under Military and Veterans Code 999. DWR Form 4248, DVBE Exemption Request, must be approved by the assigned Division Deputy Director *prior* to advertisement, award and execution of any contract for personal, construction, Information Technology (IT) and Architectural and Engineering (A&E) services, or for the execution of a Non-Competitive Bid Contract (NCB). All information must be provided or the exemption request will be returned to program requesting the missing information be provided.

Instructions:

- Section A – DIVISION INFORMATION - Provide all division contact information and phone numbers; provide contract/solicitation information
- Section B – DIVISION APPROVAL - Provide names of Program Manager and Region, Office or Division Chief and phone numbers
- Section C – To be completed by the Advocate/Procurement and Contracting Office Chief
- Section D – DIVISION DEPUTY DIRECTOR INFORMATION – Type/print the name of the Division Deputy Director responsible for 4248 approval
- Section E – Complete the information for Section E, A-C

NOTE: THE REQUEST WILL BE RETURNED IF INFORMATION IS MISSING OR INCOMPLETE

SECTION A – DIVISION INFORMATION			
Section A must include primary staff contact and contract information in order to process the 4248 request.			
Division/Office:		Request Date:	
Staff Contact Name:		Staff Contact Phone:	
Requisition/A&E No.:	Contract No.:	Estimated Value:	\$

SECTION B – DIVISION APPROVAL		
Section B must be approved by the following based on delegation approval and internal office policies.		
PROGRAM MANAGER NAME	PROGRAM MANAGER SIGNATURE	DATE
DIVISION/REGION/OFFICE CHIEF NAME	DIVISION/REGION/OFFICE CHIEF SIGNATURE	DATE

SECTION C – PROCUREMENT AND CONTRACTING OFFICE BUSINESS SERVICES OFFICE			
Section C must be approved by the both DVBE Advocate and the Procurement and Contracting Office Chief			
DVBE ADVOCATE NAME	RECOMMENDATION	DVBE ADVOCATE SIGNATURE	DATE
	<input type="checkbox"/> Approve <input type="checkbox"/> Disapprove		
DWR PCO CHIEF	PCO CHIEF CONCURS	PCO CHIEF SIGNATURE	DATE
	<input type="checkbox"/> Yes <input type="checkbox"/> No		
DVBE ADVOCATE USE ONLY - ADDITIONAL INFORMATION/COMMENTS			

Total of Contracts Approved to Date:		No. of Exempt Contracts:	
Total Contract Dollars Awarded to Date:		Level of Current DVBE Participation:	0% %
Total Dollars to DVBEs:		Exemption Request No.:	

SECTION D – DIVISION DEPUTY DIRECTOR APPROVAL		
DIVISION'S DEPUTY DIRECTOR NAME	DIVISION'S DEPUTY DIRECTOR SIGNATURE	DATE

SECTION E - SERVICE DESCRIPTION – EXEMPTION JUSTIFICATION

A) Provide a description of services to be performed:

B) Provide an explanation of why it is in the best interest of the department to exempt DVBE from this contract effort:

C) Describe the efforts made to determine exemption is appropriate and in the department's best interest:

HINTS FOR SUCCESS

- Find the description of services to be performed in the contract or solicitation scope of work
- Explanations for "why its in the department's best interest" may include: product/service is proprietary; services are of a consulting nature based on the contractors education/experience and a "product of the mind" with nothing to subcontract; service region is remote with no available DVBE firms; time is of the essence and services are required immediately
- Explain what efforts were made to determine "best interest" – researched historical data related to services and DVBE opportunity; met with program staff to discuss DVBE opportunity; researched OSDS for DVBE firms; consulted with Advocate
- Contact the Advocate for a draft review of your 4248 request

DOCUMENT CONTROL UNIT (DCU) 430 FORM

The DCU 430 may be found on the DWR Management Analysis Forms Website and must be completed in quadruplicate on pink paper.

Complete DCU routing as follows (Insert Division Deputy Director, Staff Contact name and bid or contract information):

TO: Division Deputy Director
FROM: Division Staff Contact Name
SUBJECT: DVBE Exemption Request for (Requisition # or Contract #)

- ROUTING:**
1. Program Staff
 2. Program Manager
 3. Division/Region/Office Chief
 4. DVBE Advocate
 5. PCO Chief
 6. Deputy Director
 7. DVBE Advocate
 8. Program Staff

For Pick-Up: Contact the DVBE Advocate at (916) 651-9705, or the PCO Secretary at (916) 654-0633

Once approved the DVBE Advocate will forward the approved exemption or will contact program staff for pick up.

MISSION CRITICAL CERTIFICATION

This certification is in response to the February 18, 2010 DGS Broadcast Bulletin to Agency Secretaries and Deputy Directors providing notification that effective February 11, 2010, no work will be initiated, no documents will be reviewed, and no contracts will be approved by the Department of General Services (DGS) that would result in the expenditure of funds unless the following certification is received in writing and signed by the Agency's Secretary or Department's Director, or their designees.

This document must include an original signature or a copy of the original signature, and may be submitted as an electronic attachment to an email. Certifications will be required for every purchase or expenditure of funds; this includes purchase orders, new contracts and amendments to existing contracts.

Project or Contract or PO Number: 460000XXXX or 4500XXXXXX **PO Pending:** 4500XXXXXX

Project Title: Example: Research Vessel San Carlos Replacement

Vendor Name: ABC, Inc.

Expenditure Amount: \$1,234,567.00

Brief Description: Example: Acquisition is necessary to replace DES's research vessel, San Carlos, with a new research vessel for environmental monitoring in the Sacramento-San Joaquin Delta, Suisun Bay and San Pablo Bay.

Agency Name: California Natural Resources Agency

Department/Division: Department of Water Resources / Division / Office

I certify that this purchase is vital and mission critical for this agency or department.

Signature

Date

Printed Name: Katherine S. Kishaba

Title: Deputy Director, Business Operations

SAP SCPRS DATA FIELD QUICK REFERENCE

SCPRS DATA FIELDS

Use this quick reference guide when entering SCPRS data in SAP.

The screenshot displays the SAP SCPRS data entry interface for Sub Purchase Order 4500179031. The header includes the document title, vendor information (200139 PRISON INDUSTRY AUTH), and document date (03/04/2013). The SCPRS Data section contains fields for 'Ready to Submit' (checked), 'PO Submitted Date' (03/04/2013), 'Supplier' (1059744), 'Buyer Contact' (TROYPHILLIPS), 'Acquisition Method' (27 State Programs), 'LPA Contract Number', and 'Acquisition Type' (Non-IT Goods). A table lists two items, both 'SCPRS STATE PROGRAM', with quantities of 50 and net prices of 200.00 USD and 2,000.00 USD. The bottom section shows 'Recycle' data (Product Category: NR NOT RECYCLED, Total Recycle Content %: 0) and 'SCPRS Data' (UNSPSC Code: 56181519).

Item	Material	Short Text	PO Quantity	Deliv. Date	Net Price	Curr	Per	Mat Group	Plant
1	F	SCPRS STATE PROGRAM	50	03/01/2013	200.00	USD	1	EA Office Supplies	Sacr
2	F	SCPRS STATE PROGRAM	50	03/01/2013	2,000.00	USD	1	EA Construction	Sacr

1. Header Section > Text tab > Other contractual stipulations > Enter ePUpload

The screenshot shows the 'Delegation PO 4500193166' interface. The 'Texts' tab is active, and the 'Other contractual sti' field is selected. The text 'ePUpload' is entered in the adjacent text area. The interface includes a menu bar with 'Purchase Order', 'Edit', 'Goto', 'Environment', 'System', and 'Help'. Below the menu bar is a toolbar with various icons. The main header area displays 'Delegation PO 4500193166' and 'Vendor 112208 ALLIED NETWORK SOLUT'. The 'Texts' tab is highlighted, and the 'Other contractual sti' field is checked. The text area contains 'ePUpload' and a 'Continuous-text' button.

2. Header > Customer Data Tab

The screenshot shows the 'Sub Purchase Order' interface. The 'Customer Data' tab is active. The 'Ready to Submit' checkbox is checked. The 'PO Submitted Date' field is empty. The 'Supplier' field is '200139 PRISON INDUSTRY AUTH'. The 'Buyer Contact' field is 'TROYPHILLIPS'. The 'Acquisition Method' field is '27 State Programs'. The 'LPA Contract Number' field is empty. The 'Acquisition Type' field is 'Non-IT Goods'. The interface includes a menu bar with 'Document Overview On', 'Hold', 'Print Preview', 'Messages', and 'Personal Setting'. The main header area displays 'Sub Purchase Order' and 'Vendor 200139 PRISON INDUSTRY AUTH'. The 'Customer Data' tab is highlighted, and the 'Ready to Submit' checkbox is checked.

Entered once at the Header Level:

- **Ready to Submit:** PO is ready for transfer to eP
- **PO Submitted Date:** Populated when the PO has been transferred
- **Supplier:** DGS Supplier Number
- **Buyer Contact:** Buyers eP login (exact)
- **Acquisition Method:** Drop down
- **Acquisition Sub-type:** Drop down (must match first number)
- **LPA Contract Number:** As eP identifies it (exactly)
- **Acquisition Type:** Drop down

3. Item Detail Section > Customer Data Tab

The screenshot shows the 'Item [1] PIA TABLE' interface. The 'Customer Data' tab is active. The 'Recycle' section includes 'Product Category' (ST METAL PRODUCTS), 'Cert Method' (Website), 'Total Recycle Content %' (50), 'Postconsumer %' (48), and 'Recycle Product' (Y). The 'SCPRS Data' section includes 'UNSPSC Code' (56101519). The interface includes a menu bar with 'Item', 'Delivery', 'Invoice', 'Conditions', 'Account Assignment', 'Texts', 'Delivery Address', 'Confirmations', 'Condition Control', 'Retail', and 'Customer Data'. The main header area displays 'Item [1] PIA TABLE'.

- Entered at the line item level
- **UNSPSC Code:** Lowest level hierarchy

DEPARTMENT OF WATER RESOURCES

1416 NINTH STREET, P.O. BOX 942836
SACRAMENTO, CA 94236-0001
(916) 653-5791



INVITATION FOR BID

Notice to Prospective Bidders

January 15, 2015

You are invited to review and respond to this Invitation for Bid (IFB) number 100##### for service description. The anticipated term of this agreement is # years. In submitting your bid, you must comply with these instructions.

Note that all agreements entered into with the Department of Water Resources, hereinafter referred to as the "State", incorporates, by reference, the State's General Terms and Conditions and Contractor Certification Clauses (CCC) that may be viewed and downloaded at the Department of General Services website:

<http://www.documents.dgs.ca.gov/ols/CCC-307.doc>

If you do not have Internet access, a hard copy can be provided by contacting the person listed below. The CCC package contains clauses and conditions that may apply to your Agreement and to anyone doing business with the State. The Certification will be kept on file in a central location and must be renewed every three years or updated as changes occur.

Please use the following paragraph for personal services contracts (providing janitorial and housekeeping services, custodians, food service workers, laundry workers, window cleaners, and security guards).

In accordance with Government Code Section 19134, effective January 1, 2001, new regulations apply to specified Personal Services Contracts. Please refer to Exhibit E for the qualifications and procedures necessary.

Inquiries regarding the processing of this bid should be referred to Contact Name at (###) ###-####. Please note that no verbal information given will be binding upon the State unless such information is issued in writing as an official addendum to this solicitation.

Sincerely,

Name, Title

Attachment(s)

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DVBE Program Required Documents Instructions:

- Delete Attachment V, DWR 9526 if this solicitation is exempt from DVBE program requirements,
- Delete Attachment V, DWR 9666 if DVBE program compliance is required. In each case, Attachment VI, Std. 843, DVBE Declaration and the Attachment VII GSPD 05-105, Bidder Declaration remain in the solicitation.

• **NOTICE OF STATE MANDATED SB/DVBE PROGRAM
PARTICIPATION REQUIREMENTS**

Disabled Veterans Business Enterprise (DVBE) Information

If this solicitation is not exempt from DVBE program requirements, use the following statements:

The Department has determined that Bidders responding to this solicitation must comply with DVBE Program requirements. Instructions for completing DVBE program requirements are found in Attachment V, DVBE Program Requirements (DWR Form 9526). Please review these instructions carefully. **Failure to fulfill the DVBE requirement will render your bid non-responsive and shall be cause for bid rejection.**

This solicitation also contains DVBE Incentive language within Attachment V. The DVBE Incentive offers bidders an incentive calculation when they include DVBE subcontractors in their bid efforts. Application of the Incentive may place the bidder in line for bid award. Minimum incentive applied will be three (3) percent, not to exceed five (5) percent.

Please review DVBE Incentive Language and form contained within this solicitation for additional information.

If this solicitation is exempt from DVBE program requirements, use the following statement and remove the statement above:

This solicitation has been exempted from DVBE Participation Program requirements. Firms responding to this solicitation are not required to comply with DVBE program requirements.

However, for those firms voluntarily utilizing DVBE subcontractors, there will be an incentive applied to the level of DVBE participation identified in the bid response not to exceed five (5) percent. Application of the incentive may place the bidder in line for bid award. Application of the incentive will not displace a certified small business with that of a non-small business. DVBE Incentive information and forms are found within the solicitation as DWR Form 9666, Attachment V.

Small Business Program Information

If a bidding firm is not a California Certified Small Business and wishes to be considered for the small business calculation preference for this solicitation, bidder application for small business must be received by the Department of General Services, Office of Small and DVBE Business Services (OSDS) by the bid due date by close of business. Bidders seeking small business certification status must also notify the State in writing at the time of bid submission that they have an application for Small Business certification for review and approval at the DGS-OSDS.

Contact the DGS Office of Small Business and DVBE Services (OSDS) at internet website <http://www.dgs.ca.gov/pd/Programs/OSDS.aspx> or call (916) 375-4941 or (916) 375-4400 for certification assistance.

For additional assistance meeting DVBE program requirements or inquiries about Small Business certification, please contact the Department of Water Resources SB/DVBE Program Manager at (916) 651-9705, or email SB.DVBE@water.ca.gov

A. Purpose and Description of Services

Include a concise description of the services to be performed. Refer to your Scope of Work.

B. Bidder Minimum Qualifications

List all of the minimum qualifications the bidder should possess. Be sure to include any licenses, worksite location requirements, certifications, or permits.

C. Bid Requirements and Information

1. BID KEY ACTION DATES

All bidders must adhere to the following time schedule.

The following time schedule is formatted as a table. Please determine whether a Mandatory Pre-bid Conference will be conducted or Questions and Answers will be submitted. Delete the entire rows in the table for either Mandatory Pre-bid Conference or Questions and Answers depending on which will not apply.

IFB available to prospective bidders on	Date
Mandatory Pre-bid Conference to be held on	Date at time
Mandatory Pre-bid Conference doors close at	Date at time
No bidder will be allowed into the conference once doors close.	
Technical questions must be submitted by	Date at time
Answers to technical questions will be disseminated by	Date at time
Bids must be received by	Date at time
Bid opening to be held on	Date at time
Anticipated start date of agreement is	Date

2. LOCATION WHERE WORK WILL BE PERFORMED:

Division

Please determine whether a Mandatory Pre-bid Conference will be conducted. For any contract requiring a physical site inspection or bid walk, include the following language for Mandatory Pre-bid Conference.

3. MANDATORY PRE-BID CONFERENCE

- a. Contractors *must* attend the mandatory pre-bid conference in order to have their bid accepted. The mandatory pre-bid conference will be held at:

Department of Water Resources

- b. Substantive questions regarding bidding and contracting requirements will be addressed at the pre-bid conference only. No questions with regards to requirements and provisions detailed in the Scope of Work will be addressed before or after the conference.
- c. The pre-bid conference will be the sole forum for addressing questions regarding bid and contract requirements. If appropriate, DWR may issue an Addendum to this IFB as a result of items discussed at the pre-bid conference.

- d. Prospective bidders attending this pre-bid conference will receive information regarding the bid. In the event a prospective bidder is unable to attend a mandatory pre-bid conference, an authorized representative may attend on the prospective bidder's behalf. The representative may sign in for only *one* company. If this is not an option available to you, please contact the State for possible alternative accommodations.
- e. If a prospective bidder needs assistance because of physical impairment, reasonable accommodation will be provided by State if requested. To request reasonable accommodation, please call Name at (###) ###-#### no later than 5:00 p.m. on the fifth business day prior to the scheduled date of the pre-bid conference.

If a Mandatory Pre-bid Conference will **not** be conducted, the following language must be included.

QUESTIONS AND ANSWERS (information below must match what is in Key Action Dates)

Technical questions must be submitted in writing to abc@water.ca.gov and received by the State on or before Time on date. The State's representatives will provide answers in writing to all potential bidders by Time on date.

4. SUBMISSION OF BID

- a. Bids must be submitted by mail, hand delivery, UPS, express mail, or Federal Express to:

Department of Water Resources

- b. All bids must include original signatures on the following documents: Bid/Bidder Certification Sheet, Contractor Certification Clauses, and any other documents specified in this IFB.
- c. Bids not including the documents identified in the Bid Checklist shall be deemed non-responsive and will be rejected.
- d. All bids are to be sent to DWR within the time frame indicated in the Time Schedule. Bids received after the due date and time will be returned unopened to the prospective bidder.
- e. All bids must be submitted under sealed cover. The sealed cover must be plainly marked with the IFB title and number, must show your firm's name and address, and must be marked with "DO NOT OPEN."
- f. Bids not submitted under sealed cover will be rejected. A minimum of two original signed bids must be submitted. Both bids must be submitted in the same envelope.
- g. Bids must be submitted for the entire service described within the Scope of Work. Deviations from the specifications will not be considered and will be cause for rejection of the bid.
- h. The State does not accept alternate language from a bidder. A bid with such language will be considered a counter proposal and will be rejected. The State's General Terms and Conditions (GTC) are not negotiable.
- i. A bid may be rejected if conditional or incomplete, or if it contains any alterations of form or

other irregularities of any kind. The State may waive any immaterial deviation in a bid. The State's waiver of immaterial defect shall in no way modify the IFB document or excuse the bidder from full compliance with the objectives if awarded the Agreement. The State may reject all bids if deemed necessary.

- j. Costs for developing bids and preparation of award of the Agreement are entirely the responsibility of the bidder and shall not be chargeable to the State.
- k. This IFB must be signed by an individual who is authorized to bind the bidding firm contractually. The signature must indicate the title or position that the individual holds in the firm. An unsigned bid will be rejected.
- l. A bidder may modify a bid after its submission by withdrawal and resubmission before the bid due date. Modification of a bid offered in any other manner, oral or written, will not be considered.
- m. A bidder may withdraw their bid by submitting a written request to the State for its withdrawal, signed by the bidder or an agent authorized in accordance with Paragraph K above. A bidder may thereafter submit a new bid before the bid submission deadline. Bids may not be withdrawn after the bid due date. Bids received after the due date and time will be returned unopened to the prospective bidder.
- n. DWR may modify the IFB prior to the date fixed for submission of bids by the issuance of an Addendum to all parties who received a bid package.
- o. If all bids are too high, DWR is not required to award an Agreement.
- p. Bids are public upon bid opening.
- q. Bidders are cautioned not to rely on the State during the evaluation to discover and report all defects and errors in the bid documents. Bidders should carefully proof read documents for errors and adherence to the IFB requirements prior to bid submittal.
- r. Where applicable, the bidder should carefully examine the worksite and specifications. Bidder shall investigate the conditions, character, quality of surface, subsurface materials, or obstacles to be encountered. No additions to the Agreement amount will be made because of failure to thoroughly examine the worksite and specifications.

5. EVALUATION AND SELECTION PROCESS

- a. The State will put each bid through a process of evaluation to determine the responsiveness of bidders to the State's needs. The final selection will be made on the basis of the lowest responsible bid meeting the specifications.
- b. Bids containing false or misleading statements or providing references that do not support an attribute or condition claimed by the bidder may be rejected. If, in the opinion of the State, information was intended to mislead the State in its evaluation of the bid, and the attribute, condition, or capability is a requirement of this IFB, it will be the basis for rejection of the bid.

- c. At the time of bid opening, each bid will be checked for the presence or absence of required information in conformance with the submission requirements of this IFB.
- d. The contract will be awarded to the lowest responsible bidder after consideration of any applicable preferences. If there are tied bids, representatives of the State will draw straws to pick the winning bidder during the public bid opening. The drawing will be witnessed and documented by two or more State employees.

6. TAX DELINQUENT STATUS VERIFICATION

- a. Effective July 1, 2012 [Public Contract Code 10295.4](#), requires state agencies to verify the tax delinquent status of bidders responding to state solicitations.
- b. At the time of bid evaluation, prior to contract award and execution, the State will verify all bidders and identified subcontractors as not listed as tax delinquent by the Franchise Tax Board and the Board of Equalization. Any bidder or subcontractor listed as tax delinquent shall result in a bid rejection and will not be considered for contract award. Bidders wanting further clarification can refer to the statute above or to the web sites listed below for additional information.

Board of Equalization – Top 500 Sales Tax and Use Delinquencies
<http://www.boe.ca.gov/cgi-bin/deliq.cgi>

Franchise Tax Board – Top 500 Delinquent Tax Payers
https://www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtml

Remove the Award and Protest language if this contract is for Public Works.

7. AWARD AND PROTEST

A bidder may protest the award of a contract on the grounds that it (the bidder) is the lowest responsible bidder meeting the specifications and should therefore be awarded the contract.

A protestant must be able to prove that the awarding agency has committed a material error in the conduct of the bid award process.

Public inspection of all bids will be allowed after the bid opening.

Protests must be received in a timely manner pursuant to Public Contract Code Sections 10345, as applicable. In order to be considered timely, a protest must be filed with the State Agency conducting the solicitation and the Department of General Services before the contract award is made.

Please note that if the award will be made to other than the low bidder, any protests must be filed within five business days of notice to the low bidder that the contract was awarded to another bidder. If a written request was submitted by a bidder to the State agency requesting that a notice of intent to award be posted, the protest must be filed during the five business days the notice is posted.

Within five business days of filing the protest, the protestant must submit a detailed written statement of protest if the original protest did not contain the complete grounds for the protest.

Both the original protest and/or the detailed statement of protest, if any, must include the IFB number, the name of the State Agency conducting the solicitation, State agency contact person, and protestant's fax number, if any.

The protest documents may be sent by regular mail, fax, courier, or personal delivery to:

Department of General Services
Office of Legal Services
Attention: Protest Coordinator
707 Third Street, 7th Floor
West Sacramento, California 95605
OR
Fax: (916) 376-5088

AND

Department of Water Resources
OR
Fax: (###) ###-####

Upon receipt of the protest, Department of General Services (DGS) shall send the protestant an acknowledgement letter and thereafter communicate with the parties regarding further disposition of the protest.

8. DISPOSITION OF BIDS

Upon bid opening, all documents submitted in response to this IFB will become the property of the State and will be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.) and are subject to review by the public. Bids may be returned at the request and expense of the bidder.

D. Standard Conditions of Service

1. Service(s) shall not commence until the Agreement is fully executed and all approvals have been obtained.
2. All performance under the Agreement shall be completed on or before the termination date of the Agreement unless this Agreement is amended to extend the term.
3. No oral understanding or agreement shall be binding on either party.

E. Payee Data Record

1. The Contractor awarded this Agreement must have completed and submitted form STD 204, Payee Data Record, to determine if the Contractor is subject to a seven percent State Income Tax withholding pursuant to California Revenue and Taxation Code Sections 18662, 18805, and 26131.
2. No payment shall be made unless the Payee Data Record form has been completed and returned to the State.

Include the following language regarding Economic Incentive Programs **only** if the work will be performed at the Contractor's worksite and the total value of the contract exceeds or may exceed \$100,000.

F. Economic Incentive Programs

Bidders may be eligible for additional preferences when their place of business is located within certain economic regions and when they hire persons living and working within those economic regions. Please access the following links to read information about these economic incentive programs.

TACPA CONTRACT PREFERENCE

This solicitation contains Target Area Contract Preference Act (TACPA) preference request forms. Please carefully review the forms and requirements. Bidders are not required to apply for these preferences. Denial of the TACPA preference request is not a basis for rejection of the bid.

The State as part of its evaluation process reserves the right to verify, validate, and clarify all information contained in the bid. This may include, but is not limited to, information from bidders, manufacturers, subcontractors and any other sources available at the time of the bid evaluation. Bidder refusal to agree to and/or comply with these terms, or failure to provide additional supporting information at the State's request may result in denial of preference requested.

Contracts awarded with applied preferences will be monitored throughout the life of the contract for compliance with statutory, regulatory, and contractual requirements. The State will take appropriate corrective action and apply sanctions as necessary to enforce preference programs.

- TACPA Preference Request (STD 830):
<http://www.documents.dgs.ca.gov/osp/pdf/std830.pdf>
- Bidder's Summary of Contract Activities and Labor Hours:
<http://www.documents.dgs.ca.gov/pd/edip/bidsum526.pdf>
- Manufacturer's Summary of Contract Activities and Labor Hours:
<http://www.documents.dgs.ca.gov/pd/dispute/mfgsum525.pdf>

Any questions regarding the TACPA preference should be directed to the Department of General Services, Procurement Division at (916) 375-4609.

G. Small Business Preference Program

1. The Small Business Procurement and Contract Act (Gov. Code Section 14835 et. seq.) requires that a fair share of the State's purchases and contracts for goods, information technology services and construction be placed with a certified small business or micro-business. The Act mandates that state agencies:
 - a. Establish participation goals,
 - b. Provide a 5% small business calculation preference, and
 - c. Provide the opportunity for bidders to receive a 5% non-small business calculation preference when achieving 25% small business participation through subcontracted efforts.

2. SMALL BUSINESS PREFERENCE

The Small Business preference offers certified small businesses and micro-businesses a calculation preference in the amount of five percent (5%) of the lowest responsible bid submitted by a bidder who is not a certified small business. The small business preference is used as a calculation for determining the lowest bidder and does not affect the actual price bid.

The State will grant small businesses a five percent (5%) Small Business preference on a bid evaluation when a responsible non-small business has submitted the lowest-priced, responsive bid pursuant to the evaluation of a solicitation method when a small business:

- a. Includes in its bid a notification to the awarding department that it is a small business or that it has submitted to the DGS OSDS a complete application no later than 5:00 p.m. on the bid due date, and is subsequently certified by the Department of General Services as a small business; and
- b. Submits a timely, responsive bid; and
- c. Has been determined to be a responsible bidder.

Bidders having pending Small Business or DVBE Certification applications under review by the Department of General Services concurrent with the bid time frame should contact DGS/OSDS to request an expedite review/approval of their application in order to be considered for the small business preference during the evaluation of this bid.

Contact DGS/OSDS at (916) 375-4940 to obtain information about the application expedite process.

Bidders must notify the State in writing at the time of bid submission that they have an application for Small Business or DVBE certification under review at the DGS Office of Small and Disabled Veteran Business Certification, and that they wish to be considered for the Small Business Preference Calculation.

3. NON-SMALL BUSINESS PREFERENCE

Non-small business bidders will be granted a five percent (5%) non-small business preference on a bid evaluation when a responsible non-small business has agreed to subcontract at least 25 percent of their bid price with a California certified Small Business and if the non-small business bidder's bid is not the low price bid, or when a proposal has been not been ranked as the highest scored bid pursuant to the evaluation of the solicitation. Responding bidders must:

- a. Include in its bid a notification to the awarding department that it commits to subcontract at least twenty-five percent (25%) of its net bid price with one or more California certified small business(s),
- b. Submit a timely bid as specified in the bid document,
- c. Be determined to be a responsive, responsible bidder and
- d. Identify the California certified small business(s) it commits to subcontract with. The bidder shall list certified SB subcontractors and include their name, address, phone number, a description of the work to be performed, and the percentage (as specified in the solicitation) per subcontractor.

4. CALCULATING NON-SMALL BUSINESS PREFERENCE

The non-small business calculation preference five percent (5%) is used for bid evaluation purposes only. Awards made as a result of the NSB preferences shall be awarded at the bidder's original bid price. The preference shall be computed as follows:

Bidder A, (Low Bid), non-small business:	\$125,000
Bidder B, non-small business (subcontracting 25% to a certified small business)	\$131,000
Calculation Preference:	\$125,000 x .05 = \$6,250
	Bidder B
	\$131,000
Subtract calculated preference	<u>- \$6,250</u>
Adjusted Bid for Bidder B	\$124,750

Award is made to Bidder B as the low bidder at the bid price of \$131,000.

5. TIES BETWEEN CERTIFIED SMALL BUSINESSES AND DVBE BUSINESSES

In the event of a precise tie between the bid of a small business and the bid of a disabled veteran enterprise that is also a small business, the award shall go to the disabled veteran that is also a small business.

6. MAXIMUM ALLOWABLE PREFERENCES

In no event shall the amount of the small business or non-small business subcontractor preferences awarded on a single bid exceed \$50,000, and in no event shall the combined cost of the small business or non-small business subcontractor preference and preferences awarded pursuant to any other provision of law exceed \$100,000. The five percent (5%) calculation preference is used for computation purposes only and does not alter or affect the actual bid price or the amount of the executed contract. When a certified small business is the lowest responsive, responsible bidder, then there is no need to compute the small business preference as the small business is the low bidder.

7. COMMERCIALLY USEFUL FUNCTION (*Government Code 14837*)

A certified small business, micro-business contractor, subcontractor or supplier, must meet commercially useful function requirements under Government Code section 14837(d) (4). Selected firms must perform a "*commercially useful function*" relevant to this contract.

The term "small business contractor, subcontractor or supplier" means any person or entity that satisfies the ownership (or management) and control requirements in accordance with Government Code Section 14847 (d) (4) and provides services or goods that contribute to the fulfillment of the contract requirements by performing a commercially useful function. A person or an entity is deemed to perform a "commercially useful function" if that person or entity does **all** of the following:

1. Is responsible for the execution of a distinct element of the work of the contract.
2. Carries out contractual obligations by actually performing, managing, or supervising the work involved.
3. Performs work that is normal for its business services and functions.
4. Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices.

5. Is responsible, with respect to produces, inventories, materials, and supplies required for the contract, for negotiating price, determining quality and quantity, ordering, installing, and, if applicable, making payment
6. Its role is not an extra participant in the transaction, contract or project through which funds are passed in order to obtain the appearance of DVBE participation.

8. BIDDER CUF REQUIREMENTS

The Department will determine, to the best of its ability, that your firm meets the criteria above for “commercially useful function”. In responding to this solicitation, you are confirming that, under Government Code 14837 Section 1, (d) (4) above, your business provides goods and/or services meet the definition of “commercially useful function”. All bidders are required to provide CUF documentation using the attached State’s Bidder Declaration Form GSPD-105, Attachment VII, included in the solicitation document. When completing the declaration, bidders must identify all subcontractors proposed for participation in the contract. Any bidder awarded a contract is contractually obligated to use the subcontractor for the corresponding work defined unless the State agrees to a substitution.

9. PENDING SMALL BUSINESS CERTIFICATION

If your firm is currently seeking small business certification for small business preference related to this solicitation, you must have: 1) notified DGS, Office of Small Business and DVBE Services (OSDS) that you are responding to a solicitation and are seeking an Expedite Review of your small business certification application in relation to the solicitation, 2) provided DGS OSDS with the bid Key Action Dates page from the bid itself and 3) must have submitted a complete application with all required forms and documentation to OSDS for review and approval by close of business of the Bid Submittal due date.

Notify the State representatives if, at the time of bid submission, your firm has a pending small business application with the Department of General Services, OSDS. State representatives will verify your certification is pending or has been approved.

Non-Small Business Preference Request Form

In accordance with The Small Business Procurement and Contract Act (Gov. Code Section 14835 et. seq.), you have selected, and mutually agreed, to partner with a certified Small Business sub-contractor to provide commodities or services related to the performance of the requested services identified in this IFB Solicitation. With the submission of the Non-Small Business Preference Request Form, you are requesting the non-small business calculation be applied to your bid during bid evaluation when applicable. The NSB calculation is for evaluation purposes only. Awards made as a result of the NSB calculation will be at the bidder's original bid prices.

The Department of Water Resources has identified a Small Business participation level of 25% for this contract effort. As the Prime Contractor, you agree to sub-contract 25% as indicated in Section A below. The calculation preference given will not exceed 5%, with a maximum preference of \$50,000. *This form must be signed by individual entities with legally binding authority to do so.*

SECTION I

PART A - NON-SMALL BUSINESS INFORMATION

Bidder Instructions

- ✓ Complete Section I, Part A, Certified Non-Small Business Bidder Information
- ✓ Identify the response deadline date in Section II
- ✓ Fax or Mail this form to the Certified Small Business to have Section II completed and returned
- ✓ You must include the completed Non-Small Business Certification Information Sheet and a copy of the Small Business's DGS OSDS Certification Letter with your bid submittal.

Company Name:

FEIN#

Street Address:

City

State

Zip Code

Telephone Number:

Fax #:

PART B – Services/Commodities to Be Provided by the Small Business Partner:

PART C - As the Non-Small Bidder I agree to subcontract twenty-five percent (25%) to the Certified Small Business Contractor identified in Section II.

Authorized Non Small Business Name (Printed)

Authorized Non Small Business Signature

SECTION II –CERTIFIED SMALL BUSINESS INFORMATION

PART A - Certified Small Business Contractor; please complete the information below and return this form to the Non-Small Bidder by: ____/____/____. You **must** include a copy of your DGS OSDS certification with your response.

Company Name:

FEIN#

Street Address:

City

St

Zip Code

Telephone Number:

Fax #:

OSDS Certification No.:

Certification Expiration Date

____/____/____

PART B - I understand the above Non-Small Bidder is responding to the Department of Water Resources Solicitation No. _____. I agree to provide subcontractor services to the Non-Small Bidder as identified in **Section A.**

Authorized Certified SB Name (Printed)

Authorized Certified SB Contractor Signature

NON-SMALL BUSINESS PREFERENCE REQUEST INSTRUCTIONS

The Department of Water Resources encourages Non-Small Bidders to take advantage of the opportunity offered for a preference calculation by partnering with a California Certified Small Business. In doing so, the resulting preference calculation applied may result in the award of the bid when all other technical specifications and bid requirements are met. Application of the NSB preference cannot be used to displace an already certified small business low bidder.

If you elect to partner with a small business, the Non-Small Bidder Preference Request Form must be completed in its entirety and included with your bid submission.

RESOURCES

1. Determine the type of service or services to be subcontracted.
2. If you do not already know of a contractor, or contractors, contact the DGS Office of Small Business and DVBE Services (OSDS) website to conduct a search of certified firms. A listing of the State's certified small business firms may be found at:

<http://www.bidsync.com/DPXBisCASB>

3. Select and contact the certified Small Business firm, or firms you've identified to discuss partnering opportunities.
4. Contact the DWR Small Business Program Manager for additional assistance with locating certified small businesses if you need assistance. The manager can be reached at (916) 651-9705.

COMPLETING THE FORM

When an agreement to partner is reached, the Non-Small Bidder Preference Request Form must be completed and signed by both parties.

1. Section I, Part A - Complete the Non-Small Bidder (your firm) business information.
2. Section I, Part B – Identify the services to be performed by the certified small business.
3. Section I, Part C – Identify the small business participation commitment level. You must include the participation percentage information. If no or less than 25 percent commitment level is indicated, the preference calculation will not be applied when DWR evaluates the bids.
4. * Print and sign Section I, Part C (must be signed by individual authorized to do so) *before* sending it to the small business firm for their information.
5. Section II, Part A – Identify the Small Business response needed date.
6. Fax the form to the Small Business contractor to be completed and signed. Include instructions for SB firm to provide their small business certification. Certification must be current at the time of bid due date.
7. Review the form for completeness. Be sure it includes all the required information.
8. Include the Non-Small Bidder Preference Request Form and the DGS Small Business Certification letter with your bid response to DWR.

()This assures that both the Non-Small business bidder and the Small Business will each have a signed copy of the form.*

H. Disabled Veteran Business Enterprise Program

SELECT THE FOLLOWING STATEMENT WHEN DVBE PROGRAM PARTICIPATION IS REQUIRED

This solicitation includes DVBE program requirements. Please refer to DWR Form 9526, Attachment V for instructions about program documentation and compliance.

OR

SELECT THE FOLLOWING PARAGRAPHS WHEN DVBE PROGRAM PARTICIPATION IS WAIVED.

The State has waived DVBE program requirements for this solicitation. Under California Code of Regulations 1896.99.100, the California DVBE Incentive provides responsive/responsible firms the opportunity to receive additional incentive calculations. The incentive is applied at the time of solicitation cost evaluation when a bidder has identified a California-certified DVBE subcontractor to provide services or commodities in support of the overall contract effort. Application of the DVBE Incentive *may not displace a certified small business low bidder*.

Please refer to DWR Form 9666, Attachment V for instructions about regarding the DVBE Incentive.

THE FOLLOWING INFORMATION WILL REMAIN IN THE SOLICITATION WHETHER DVBE EXEMPT OR NOT.

DWR ADVOCATE PRE-REVIEW OF DVBE DOCUMENTATION

The Department's DVBE Advocate offers a pre-review of a bidder's DVBE documentation prior to proposal submission. Since non-compliance with the DVBE program is immediate cause for rejection, the State strongly recommends firms interested in bidding take advantage of this opportunity to ensure they are fully compliant with DVBE Program requirements.

Upon satisfactory review of the firm's DVBE documentation, the DWR advocate issues a Notification of Compliance. To request a pre-review of your DVBE documentation, please fax the documentation to the attention of:

SB/DVBE Program Manager
Fax: (916) 654-6511
Voice: (916) 651-9705
Email: SB.DVBE@water.ca.gov

DVBE INCENTIVE PROGRAM

Under California Code of Regulations 1896.99.100, the California DVBE Incentive provides responsive and responsible bidders the opportunity to receive additional incentive calculations. The incentive is applied at the time of solicitation evaluation when a proposing firm identifies and commits to using a California-certified DVBE subcontractor to provide services or commodities in support of the overall contract. Application of the DVBE Incentive may place the bidder in line for contract award.

The following are key elements of the DVBE Incentive Program:

- a. The DVBE Incentive is applied during the evaluation process and is only applied to responsive bids from responsible bidders proposing the percentage(s) of DVBE participation for the incentive(s) specified in the solicitation.
 - b. DVBE Incentive participation is at the discretion of the bidder and is *optional* when overall DVBE program requirements are exempt by the State for that solicitation.
 - c. When requesting the Incentive application, a bidder must complete and return the DVBE Incentive Application Request included within this solicitation with their proposal at time of submission.
 - d. Services or commodities provided by the DVBE firm MUST meet the definition of a “Commercially Useful Function” as defined under Military and Veterans Code 999 (B) (i) (ii) and under California Code of Regulations 1896.71 (I). A DVBE firm determined as not meeting CUF regulations will render the responding firm ineligible for the DVBE Incentive application.
1. DVBE INCENTIVE OPTION VS. DVBE PROGRAM REQUIREMENTS
 - a. A department may formally exempt a solicitation from California DVBE Program requirements, and still be required to include the DVBE Incentive when the department has not met DVBE program goals three of the previous two fiscal years. Bidders should review the IFB closely to determine if the California DVBE Program requirement is included in the solicitation language.
 - b. When a solicitation includes California DVBE Program requirements, compliance is not optional and must be met by the bidder. Firms failing to comply with DVBE program requirements, when part of the solicitation, will have their proposals rejected.
 2. ORDER OF EVALUATION

For purposes of evaluation, first Small Business preference will be applied, followed by the DVBE Incentive calculation.

BID CHECKLIST

This Bid Checklist has been formatted as a table. Optional requirements are asterisked (*). Delete the asterisks if you remove these items. For any item that is not required, please highlight and delete the entire row.

Please review the following checklist for a list of documents that must be returned with your bid package. Please read the State of California's General Terms and Conditions (GTC) before signing and submitting your bid package. The State does not accept alternate language from a bidder. A bid with such language will be considered a counter proposal and will be rejected. The GTC's are *not* negotiable. Unless otherwise noted, failure to include the required documents will be cause for bid rejection.

DOCUMENTS REQUIRED WITH SUBMISSION OF BID

- Attachment I - Bid Sheet (*must be signed and include all pages*)
- Attachment II – Bid/Bidder Certification Sheet
- Attachment III – Bidder References
- Attachment IV – Darfur Contracting Act Certification (*Submit only if your company has had any business activities or other operations outside of the United States within the previous three years.*)
- * Bidder's Bond (DWR 4021) (*must be equal to 10% of the bid amount*)
- * Copy of Contractor's License (*identify required license type*)

SMALL BUSINESS PROGRAM

- Small Business Certification from Office of Small Business and DVBE Services(OSDS) when prime firm is SB or MB certified
- Non-Small Business Calculation Preference Request Form (*required when prime is requesting Non-Small Business preference consideration*)
- Current Small Business Certification for proposed SB subcontractor (*must accompany a bidder's Non-Small Business Preference request*)

DVBE PARTICIPATION PROGRAM

Include the following documents when DVBE is required; delete reference to DWR 9666.

- If you are a prime firm, DVBE-certified, you must complete and return: DGS OSDS DVBE certification, Std. 843, the DVBE Declaration; the GSPD-05-105 Bidder Declaration.
- Attachment V, Bidder Certification of DVBE Participation (DWR 9526, page 6)
- Attachment V, Bidder Certification of DVBE Participation, DVBE Program Incentive (DWR 9666) (*only required when prime bidder elects to subcontract with CA certified DVBE firm*)

The following documents remain in the bid document regardless of whether or not DVBE exempt

- DVBE firm certification from Office of Small Business and DVBE Services(OSDS) when prime firm is DVBE certified)
- Attachment VI, DVBE Declaration (Std. 843)
- Attachment VII, Bidder Declaration (GSPD-05-105)
- Current DVBE Subcontractor Firm Certification from DGS OSDS
- DVBE Advocate's Notification of Compliance (*if obtained in advance from the DVBE Advocate*)

ADDITIONAL STATE MANDATED PREFERENCE PROGRAMS

Required only when the bidding firm claims following:

- * Target Area Contract Preference Act (TACPA) (Std. 830)

DOCUMENTS REQUIRED UPON CONTRACTOR SELECTION/BID AWARD

These documents are not required at the time of bid submittal; however these documents will be required of the awarded firm upon contractor selection/bid award.

- Contractor Certification Clauses (CCC) (CCC must be signed once a contractor has been selected)
- *Payee Data Record (Std. 204)
- *Payment Bond (Std. 807)
- *Performance Bond (DWR 156)
- *Certificate(s) of Insurance

**ATTACHMENT I
BID SHEET**

Only include the word "estimated" when the items on the bid sheet are estimates. If you know exactly what the bid price will be (for example, the bid is a lump sum for a specific task), then the bids are not based on an estimate and the word "estimated" must be deleted from the first sentence in the first paragraph.

The estimated _____ (i.e. pounds, hours, pieces) indicated below will be used solely for computing the cost as a fair and equitable formula to determine the low bidder and is not binding on the contracting agency. However, the actual costs quoted below by the bidder shall be binding for the term of the Agreement.

The bidder hereby agrees to provide all labor, materials, licenses, permits, and transportation necessary to perform all services required for the foregoing titled work in accordance with the Scope of Work. The rates listed on this Bid Sheet shall include every item of expense, direct and indirect, including taxes incidental to the specified rates.

The bidder is required to bid each item. Failure to indicate a dollar amount in any item will be grounds to reject the entire bid. A zero dollar (\$0.00) amount listed for any and all items will be interpreted and understood by the State to mean that the bidder indicating a zero dollar amount shall perform any such services, up to and including the quantity indicated, at no cost to the state.

PLEASE INSERT BID SHEET HERE

NO GUARANTEE OF WORK UNDER THIS CONTRACT.

In the event of computational error, unit prices will prevail over extended totals. The State will check bid calculations and recalculate bid totals.

If a Contractor's license is not required, please use the following signature block.

Company Name

Printed Name and Title of Bidder

Signature of Bidder

Date

I certify under penalty of perjury under the laws of the State of California, the foregoing is true and correct.

If a Contractor's license is required, please use the following signature block.

The Contractor's signature, in ink, affixed hereon and dated will constitute a certification under the penalty of perjury under the laws of the State of California that the Contractor's license number and expiration date are true and correct.

Company Name

Contractor's License Number

Contractor's License Expiration Date

Printed Name and Title of Bidder

Signature of Bidder

Date

**ATTACHMENT II
BID/BIDDER CERTIFICATION SHEET**

This Bid/Bidder Certification Sheet must be signed and returned along with all the required attachments as an entire package in duplicate with **original signatures**. The bid must be transmitted in a sealed envelope in accordance with IFB instructions.

Do not return Bid Requirements and Information or the Sample Agreement.

- A. Our all-inclusive bid is submitted as detailed in Attachment I, Bid Sheet.
- B. All required attachments are included with this certification sheet.
- C. The signature affixed hereon and dated certifies compliance with all the requirements of this bid document. The signature below authorizes the verification of this certification. **An unsigned Bid/Bidder Certification Sheet may be cause for rejection.**

1. Company Name	2. Telephone Number ()	2a. Fax Number ()
3. Address		
Indicate your organization type:		
4. <input type="checkbox"/> Sole Proprietorship	5. <input type="checkbox"/> Partnership	6. <input type="checkbox"/> Corporation
Indicate the applicable employee and/or corporation number:		
7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Bidder's Name (Print)		11. Title
12. Signature		13. Date
14. Are you certified with the Department of General Services, Office of Small Business Certification and Resources (OSDS) as:		
a. California Small Business Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, enter certification number: _____	b. Disabled Veteran Business Enterprise Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, enter your service code below: _____	
NOTE: A copy of your Certification is required to be included if either of the above items is checked "Yes".		
Date application was submitted to OSDS, if an application is pending:		

Completion Instructions for Bid/Bidder Certification Sheet

Complete the numbered items on the Bid/Bidder Certification Sheet by following the instructions below.

Item Numbers	Instructions
1, 2, 2a, 3	Must be completed. These items are self-explanatory.
4	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
5	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
6	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
7	Enter your federal employee tax identification number.
8	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
9	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
10, 11, 12, 13	Must be completed. These items are self-explanatory.
14	If certified as a California Small Business, place a check in the "Yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to OSDS.

**ATTACHMENT IV
DARFUR CONTRACTING ACT CERTIFICATION**

Public Contract Code Sections 10475 -10481 applies to any company that currently or within the previous three years has had business activities or other operations outside of the United States. For such a company to bid on or submit a proposal for a State of California contract, the company must certify that it is either a) not a scrutinized company; or b) a scrutinized company that has been granted permission by the Department of General Services to submit a proposal.

If your company has not, within the previous three years, had any business activities or other operations outside of the United States, you do **not** need to complete this form.

OPTION #1 - CERTIFICATION

If your company, within the previous three years, has had business activities or other operations outside of the United States, in order to be eligible to submit a bid or proposal, please insert your company name and Federal ID Number and complete the certification below.

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that a) the prospective proposer/bidder named below is **not** a scrutinized company per Public Contract Code 10476; and b) I am duly authorized to legally bind the prospective proposer/bidder named below. This certification is made under the laws of the State of California.

<i>Company/Vendor Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County and State of</i>	

OPTION #2 – WRITTEN PERMISSION FROM DGS

Pursuant to Public Contract Code section 10477(b), the Director of the Department of General Services may permit a scrutinized company, on a case-by-case basis, to bid on or submit a proposal for a contract with a state agency for goods or services, if it is in the best interests of the state. If you are a scrutinized company that has obtained written permission from the DGS to submit a bid or proposal, complete the information below.

We are a scrutinized company as defined in Public Contract Code section 10476, but we have received written permission from the Department of General Services to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.

<i>Company/Vendor Name (Printed)</i>	<i>Federal ID Number</i>
<i>Initials of Submitter</i>	
<i>Printed Name and Title of Person Initialing</i>	

**CALIFORNIA DISABLED VETERAN BUSINESS ENTERPRISE
PROGRAM REQUIREMENTS
DWR 9526, ATTACHMENT V
(FOR NON-IT SERVICES)**

BIDDER IS ADVISED TO READ THE REQUIREMENTS AND INSTRUCTIONS CAREFULLY BEFORE BEGINNING

AUTHORITY: The Disabled Veteran Business Enterprise Goal Program is established in Public Contract Code (PCC) Section 10115 et seq., Military and Veterans Code (MVC) 999 et seq. and California Code of Regulations (CCR) Title 2, Section 1896.6 et seq.

Unless specified otherwise in this solicitation the minimum DVBE participation percentage goal is three (3) percent. A DVBE Incentive may be given to bidders who provide DVBE participation unless stated elsewhere in the solicitation the Incentive has been waived.

INTRODUCTION

The bidder must comply fully with DVBE Program requirements to be considered responsive to requirements of this solicitation. Failure to submit a complete response may result in a non-responsive determination, in which case, the firm will have their bid rejected and will be ineligible for award. The bidder must complete the identified forms contained within this solicitation to satisfy the program requirements. Bids or proposals (hereafter referred to as "bid" or "bids") that fail to submit all the required forms will be deemed non-responsive and will be rejected. DWR may request a bidder to correct/clarify DVBE documents that are deemed to have administrative or clerical error(s). DVBE program administrative/clerical errors are minor non-substantive errors and do not impact the bid outcome. Prior to correction of any administrative/clerical error(s), DWR will first verify the bidder has complied with DVBE program requirements.

All bid submissions in response to the solicitation's DVBE program requirements will be verified by the Department. If, during the verification process, evidence of an alleged violation is found, the State shall initiate an investigation in accordance with the requirements of PCC 10115 et seq., and MVC 999 et seq. and follow investigatory procedures by the CCR 1896.80. Contractors found to be in violation of certain provisions may be subject to loss of certification, penalties and/or contract termination.

Only firms certified by the State of California, Office of Small Business and DVBE Services (OSDS) may be used to satisfy the DVBE program requirement.

PROGRAM DEFINITIONS

COMMERCIALLY USEFUL FUNCTION (California Code of Regulations, Title 2, Section 1896.71 (l))

DVBE firms must perform a "commercially useful function" relevant to this contract. The term "DVBE contractor, subcontractor or supplier" means any person or entity that satisfies the ownership (or management) and control requirements of CCR 1896.61 (f); is certified in accordance with CCR 1896.70 and provides services or goods that contribute to the fulfillment of the contract requirements by performing a commercially useful function. As defined in MVC 999, a person or an entity is deemed to perform a "commercially useful function" if a person or entity does all of the following:

1. Is responsible for the execution of a distinct element of the work of the contract
2. Carries out the obligation by actually performing, managing, or supervising the work involved
3. Performs work that is normal for its business services and functions
4. Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices
5. Is responsible, with respect to products, inventories, materials, and supplies required for the contract, for negotiating price, determining quality and quantity, ordering, installing, if applicable, and making payment; and
6. Its role is not an extra participant in the transaction, contract or project through which funds are passed in order to obtain the appearance of DVBE participation.

DISABLED VETERAN

A disabled veteran, for purposes of DVBE certification eligibility, is defined as a veteran of the military, naval or air services of the United States, with at least a 10 percent service-connected disability and who is a resident of the State of California.

DISABLED VETERAN BUSINESS ENTERPRISE (DVBE)

DVBE is a business enterprise certified by the Office of Small Business and DVBE Services (OSDS) as meeting all of the following criteria:

- Sole proprietorship owned by a disabled veteran; or a firm or partnership, 51 percent of the stock or partnership interests of which are owned by one or more disabled veterans
- Managed by and with the daily business operations controlled by one or more disabled veterans
- Sole proprietorship, corporation or partnership with its home office located in the United States which is not a branch or subsidiary of a foreign corporation, firm or other business

DVBE INCENTIVE

An incentive offered to firms utilizing DVBE firms in their contract efforts. The incentive applied will be equal to the DVBE commitment level identified solicitation response. For contracts that include a minimum participation level of three percent, lowest level of incentive applied shall be three percent. For contracts exempt from DVBE, but include the option of DVBE participation, the incentive shall begin at 1 percent and shall not be higher than five (5) percent. Application of the incentive may result in the award of a contract to a bidder using DVBE subcontractors. Use of the incentive cannot be used to replace a certified small business's low bid with that of a non-small business.

DVBE PROGRAM COMPLIANCE OPTIONS

Bidders responding to this solicitation must complete and fully document compliance with the following:

MEETING DVBE REQUIREMENTS

DVBE participation can be achieved by a certified DVBE firm bidding as a prime or when a non-DVBE firm identifies and makes a commitment to use identified and certified DVBE(s) to fulfill the solicitation's stated DVBE participation goal.

A bidder commits to meet or exceed the minimum DVBE participation requirement of three (3) percent, or as otherwise specified in the solicitation. Bidder uses Option 1 – Bidder is a Certified DVBE, or Option 2 Non-DVBE Bidder. **Failure to complete and submit the required forms as instructed will render the bid non-responsive and ineligible for award.**

OPTION 1 – BIDDER IS CERTIFIED DVBE

1. Bidder commits to performing at least three (3) percent of the contract amount (unless specified otherwise) with the prime bidder's firm or in combination with other DVBE firms.
2. Bidder must document DVBE participation using the DWR 9526, Attachment 2.
3. Bidder shall submit proof of its commitment by submitting written confirmation and acceptance from the identified DVBE subcontractor using forms contained within DWR 9526, Attachment 2.
4. Provide evidence of DVBE certification – obtained through the Office of Small Business and DVBE Services (OSDS).

OPTION 2 – NON-DVBE BIDDER

1. Commit to using a certified DVBE firm for at least three (3) percent (unless specified otherwise) of the bid amount.
2. Bidder must document DVBE participation using the DWR 9526, Attachment 2.
3. Bidder shall submit proof of its commitment by submitting written confirmation and acceptance from the identified DVBE subcontractor using forms contained within DWR 9526, Attachment 2.
4. Provide evidence of DVBE certification – obtained through the Office of Small Business and DVBE Services (OSDS).

DWR EXHIBIT E ADDITIONAL PROVISIONS - DVBE LANGUAGE

DWR Exhibit E "Additional Provisions" contains additional clauses related to the DVBE program and is relevant to the bidder because language contained in Exhibit E defines contract and contractor obligations related to the DVBE program that will be part in the final contract. Bidder is advised to carefully review Exhibit E, Additional Provisions to understand relevant obligations pertaining to the DVBE program:

Contract Amendments – DVBE Program Requirements

The clause explains the requirements and obligations of the contractor and the DVBE program related to subsequent contract amendments

Contract Audits

The clause explains the requirements and obligations of the contractor related to the review or copying of all records pertaining to the performance of its contract as pertains to the DVBE program

Contractor SB/DVBE Subcontractor Payment Certification

The clause explains the requirement made of the contractor to submit Small Business and DVBE Payment Certification, [DWR Form 9683](#), to the Department within 60 days of contract expiration.

DVBE Quarterly Reports

The clause explains the requirements and obligations of the contractor related to reporting DVBE activity using the DVBE Activity Report, [DWR Form 9553](#), to identify and report the activity or non-activity within the quarterly period reported.

Substitution of DVBE Firms

The clause explains the requirements, under Military and Veterans Code 999.10, as to when the contractor, subject to the approval of DGS Office of Small Business and DVBE Services, may replace a DVBE firm identified in its bid or offer with that of another DVBE firm.

DVBE INCENTIVE

In accordance with Section 999.5(a) of Military and Veterans Code an incentive will be applied to bidders who commit to DVBE participation unless stated elsewhere in the solicitation that the DVBE Incentive has been waived. For evaluation purposes only, the State shall apply an incentive to bids proposing California certified DVBE participation identified on DWR Form 9526 page 6, Attachment 1, Bidder Certification DVBE Participation. Participation commitment will be confirmed by the State. The incentive amount for awards based on low price will vary in conjunction with the proposed DVBE participation. Unless a table that replaces the following has been expressly established elsewhere within the solicitation, the following percentages will apply for awards based on low price:

Confirmed DVBE Participation	DVBE Incentive
3.0 up to 3.99%	3%
4.0 up to 4.99%	4%
5% or Higher	5%

As applicable:

- Awards based on low price: the net bid price of responsive bids will be reduced (for evaluation purposes only) by the amount of the DVBE incentive as applied to the lowest responsive net bid. If the #1 ranked responsive, responsible bid is from a California certified Small Business, the only bidders eligible for the incentive will be California certified Small Businesses. The incentive adjustment for awards based on low price cannot exceed five (5) percent or \$100,000, whichever is less, of the #1 ranked net bid. When used in combination with a preference adjustment (SB/TACPA), the cumulative adjustment amount is not to exceed \$100,000.
- Awards based on highest score: the solicitation shall include an individual requirement that identifies incentive points for DVBE participation. For further information regarding the incentive-based-points application process, please review Item 7. Evaluation and Selection Process of this solicitation.

DVBE PROGRAM COMPLIANCE NOTIFICATION

Upon request, the department's Program manager will provide a pre-review of DVBE documentation for bidders to ensure they are DVBE program compliant. Bidders must submit their documents at least three (3) days prior to final bid submission. Upon verification of program compliance, the manager will issue a Notification of Compliance confirming the bidder has satisfied DVBE program requirements related to this solicitation. Bidders are advised to seek a pre-review of their documentation. Documents for review may be emailed to: SB/DVBE@water.ca.gov

SUGGESTIONS FOR LOCATING DVBE FIRMS**Contact the Awarding Department**

- Contact the department's contracting official named in the solicitation document,
- Contact the DWR SB/DVBE Program Manager for suggested DVBE firms who may have identified themselves as potential subcontractors, or for a list of firms the department may have created in response to this solicitation.

Other State and Local Organizations

STATE: Access the list of certified DVBE firms by using the Department of General Services, Procurement Division (DGS-PD) online certified firm data base. Access the database at: www.eprocure.dgs.ca.gov.

To begin your search:

- Click on "SB/DVBE Search". "Search by Keywords" OR "United Nations Standard Products and Services Codes (UNSPC) that apply to the elements you want to subcontract to a DVBE.
- Check for Subcontractor ads that may be placed on the California State Contracts Register for this solicitation prior to the closing date. Access CSCR at: www.eprocure.dgs.ca.gov
- Contact OSDS at (916) 375-4940 for assistance, or email at: OSDSHelp@dgs.ca.gov

LOCAL: Contact local DVBE organizations to identify DVBEs. For a list of local organizations, go to www.pd.dgs.ca.gov/smbus and select: DVBE Local Contacts.

ADDITIONAL RESOURCES AND INFORMATION

RESOURCE	FOR
Local Organizations: Go to www.pd.dgs.ca.gov/smbus and select: DVBE Local Contacts	List of potential DVBE subcontractors
California DVBE Alliance: http://www.cadvbe.org/contact_us.html	Contact for assistance locating DVBE firms
DGS-PD EProcurement Website: www.eprocure.dgs.ca.gov Phone: (916) 375-2000 Email: eprocure@dgs.ca.gov	<ul style="list-style-type: none"> • SB/DVBE Search • CSCR Ads • Click "training tab" to access eProcurement Training Modules for Small Business (SB)/DVBE Search
DGS-PD Office of Small Business and DVBE Services (OSDS) 707 Third Street, Room 1-400, West Sacramento, CA 95605 Website: www.pd.dgs.ca.gov/smbus OSDS Receptionist, 8 am-5 pm: (916) 375-4940 PD Receptionist 8 am-5 pm: (800) 559-5529 Fax: (916) 375-4950 Email: osdchelp@dgs.ca.gov	<ul style="list-style-type: none"> • Directory of California-Certified DVBEs • Certification Applications • Certification Information • Certification Status, Concerns • General DVBE program information • DVBE Business Utilization Plan • Small Business/DVBE Advocates
Department of Water Resources Small Business DVBE Program Manager 1416 9 th Street, Room 353 Sacramento, CA 95814 DWR SB/DVBE Website: http://www.water.ca.gov/sbe/index.cfm Email: SB.DVBE@water.ca.gov Phone: (916) 651-9705 Fax: (916) 654-6511	Assistance locating DVBE firms related specifically to the advertised solicitation bidder is responding to.

ATTACHMENT 1 - DOCUMENTATION OF DVBE PROGRAM REQUIREMENTS

BIDDER IS ADVISED TO READ INSTRUCTIONS CAREFULLY.

COMMERCIALLY USEFUL FUNCTION (California Code of Regulations, Title 2, Section 1896.71 (I))

DVBE firms must perform a "commercially useful function" relevant to this contract. The term "DVBE contractor, subcontractor or supplier" means any person or entity that satisfies the ownership (or management) and control requirements of CCR 1896.61 (f); is certified in accordance with CCR 1896.70 and provides services or goods that contribute to the fulfillment of the contract requirements by performing a commercially useful function. As defined in MVC 999, a person or an entity is deemed to perform a "commercially useful function" if a person or entity does all of the following:

1. Is responsible for the execution of a distinct element of the work of the contract,
2. Carries out the obligation by actually performing, managing, or supervising the work involved,
3. Performs work that is normal for its business services and functions,
4. Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices
5. Is responsible, with respect to products, inventories, materials, and supplies required for the contract, for negotiating price, determining quality and quantity, ordering, installing, if applicable, and making payment; and
6. Its role is not an extra participant in the transaction, contract or project through which funds are passed in order to obtain the appearance of DVBE participation.

DVBE OPTION DESIGNATION - Check the appropriate box to indicate the option you are choosing with which to meet your DVBE commitment. You are advised to read all instructions carefully prior to completing the forms.

- OPTION 1:** I am a certified DVBE firm bidding this solicitation as a prime firm and as such, my commitment is at least three (3) percent.
- OPTION 2:** I am not a certified bidder but I have committed to meeting DVBE participation of at least three (3) or more percent.

DOCUMENTING DVBE PROGRAM REQUIREMENTS

Read document carefully. Failure to comply with DVBE program requirements may result in rejection of your bid.

ATTACHMENT 1 - "DOCUMENTATION OF DVBE PROGRAM REQUIREMENTS"

1. Be sure to make the proper determination that the selected DVBE firm meets California CUF requirements.
2. Under "DVBE OPTION DESIGNATION" select the option appropriate for your firm's commitment and complete Attachment 2, Bidder Certification of DVBE Participation.
 - a. For Option 1, complete Attachment 2, Sections 1 – 3 and include 9526, Attachments 1/ 2 and your DVBE certification with your bid response
 - b. For Option 2, see instructions below

ATTACHMENT 2 - BIDDER CERTIFICATION OF DVBE PARTICIPATION

Bidders are required to complete DWR 9526 - ATTACHMENT 2 – BIDDER CERTIFICATION OF DVBE PARTICIPATION to document their commitment to a DVBE firm or firms. A separate form is required for each DVBE commitment. Failure to submit a completed/signed form with your bid will result in a determination of noncompliance and your bid will be rejected.

- Section 1: Complete prime firm/bidder business information
- Section 2: Identify services or commodities to be provided by the DVBE subcontractor
- Section 3: Identify the commitment level your firm is making to the DVBE subcontractor; provide the printed and signed name of the legally authorized representative and sign/date the document.
- Section 4: Is to be completed by the DVBE firm. Fax the completed/signed document to the DVBE. Provide the DVBE firm with instructions to:
- Complete the form and to include all information
 - Sign and date the form
 - Return the form via email or fax to you
 - Include a current copy of their OSDS certification – available through OSDS eProcurement SB/DVBE Website

DISABLED VETERAN BUSINESS ENTERPRISE DECLARATIONS, STD. 843

Upon award of a contract the prime firm/bidder shall forward a copy of the DVBE Declaration, Std. 843 to the DVBE subcontractor(s) for completion and return to the bidder. Bidder must submit the completed document prior to execution of the final contract.

BIDDER DECLARATION GSPD-05-105

All bidders responding to this solicitation must complete the Bidder Declaration GSPD-05-105 and include it with their bid response. When completing the declaration, bidders responding to the solicitation must identify all SB and or DVBE subcontractors proposed for participation in the contract. Bidders awarded a contract are contractually obligated to use the SB or DVBE subcontractor for the work identified unless the State agrees to a substitution. The Department must be notified in writing that a substitution is requested and any substitution of a Small Business or DVBE firm must be approved by the State.

ATTACHMENT 2 – BIDDER CERTIFICATION OF DVBE PARTICIPATION

In accordance with Military and Veterans Code, Article 6 (commencing with Section 999) of Chapter 6, Division 4 of the California Military Code, Public Contract Code 10115, as the prime bidder, you are yourself, or you have selected, and mutually agreed to partner with, a California certified DVBE contractor to provide commodities or services related to the performance of services identified in Department of Water Resources IFB/RFP solicitation document. Submission of this form constitutes an agreement between the Prime Bidder and the Certified DVBE sub-contractor to fulfill California Disabled Veteran Business Enterprise Participation Program requirements related to the final executed contract. Any change to the DVBE sub-contractor must be submitting in writing to the Department's DVBE Program Manager.

The Bidder Certification form must be signed by company representatives with recognized legal authority to do so.

SECTION 1 - PRIME BIDDER BUSINESS INFORMATION						
FIRM NAME						
FIRM CONTACT						
STREET ADDRESS						
CITY			STATE		ZIP	
FIRM TELEPHONE		FAX#:				
EMAIL					FEIN#	

SECTION 2 - IDENTIFY THE SERVICES OR COMMODITIES TO BE PROVIDED BY THE SELECTED DVBE FIRM(S)

SECTION 3 - IDENTIFY YOUR FIRM'S DVBE COMMITMENT
I HAVE COMMITTED THREE (3) PERCENT TO THE DVBE FIRM LISTED BELOW.
I HAVE COMMITTED GREATER THAN THREE (3) PERCENT. PERCENT COMMITTED: _____%
I HAVE COMMITTED TO MULTIPLE DVBE FIRMS TO SATISFY OVERALL BID REQUIREMENTS. THE COMMITMENT LEVEL FOR THE DVBE FIRM LISTED BELOW IS: _____%

Printed Name of Authorized Representative	Signature of Authorized Representative	Date
---	--	------

SECTION 4 - DVBE SUBCONTRACTOR INFORMATION						
FIRM NAME						
FIRM CONTACT						
STREET ADDRESS						
CITY			STATE		ZIP	
FIRM TELEPHONE		FAX#:				
EMAIL					DGS OSDS CERTIFICATION #	

Printed Name of Authorized DVBE Representative	Signature of Authorized DVBE Representative	Date
--	---	------

**CALIFORNIA DVBE PROGRAM INCENTIVE INSTRUCTIONS
DWR 9666, ATTACHMENT V
(FOR NON-IT SERVICES)**

BIDDERS ARE ADVISED TO CAREFULLY READ THE FOLLOWING INFORMATION AND INSTRUCTIONS

AUTHORITY: The Disabled Veteran Business Enterprise Goal Program is established in Public Contract Code (PCC) Section 10115 et seq., Military and Veterans Code (MVC) 999 et seq. and California Code of Regulations (CCR) Title 2, Section 1896.6 et seq. State agencies and departments must include the opportunity for DVBE Incentive when failing to meet overall DVBE participation goals in two consecutive years. Those agencies and departments attaining DVBE overall participation goals at least two of three consecutive years may elect to exempt, or waive, the DVBE Incentive feature in their solicitations. In an effort to continuously promote and offer DVBE opportunity, DWR includes the incentive in all Department IFB and RFP solicitations whether exempt or not.

For the purpose of clarity, the term "bidder" refers to a firm responding to a DWR Invitation to Bid (IFB) or Request for Proposal (RFP).

INTRODUCTION

The Department of Water Resources has waived this solicitation from DVBE program requirements. As a condition of bid submission, bidders are not required to meet DVBE program requirements and are relieved from these requirements. The DVBE Incentive provides the opportunity for a responsive, responsible bidder to receive an incentive calculation between one (1) and five (5) percent when the bidder includes a DVBE subcontractor in their bid response. The Incentive is applied at the time of bid evaluation and may place the bidder in line for contract award. Resulting contract award is made at the original bid or proposal price.

DVBE Incentive Application:

- o The Incentive is applied during the evaluation process and is *only* applied to responsive bids from responsible bidders proposing the percentage(s) of DVBE participation for the incentive(s) specified in the solicitation.
- o For the purpose of this solicitation, DVBE Incentive participation is *optional* and at the discretion of the bidder.
- o When requesting the Incentive, the bidder must complete the attached DWR 9666 Documentation of DVBE Program Requirements and the Bidder Certification of DVBE Participation. These forms must be included with the bid submittal.
- o The DVBE Incentive is applied by factoring the Bidder's stated level of DVBE commitment by the lowest bidder's bid amount and subtracting the amount from the Bidder's total. Computation is for evaluation purposes only and does not alter the final bid price. (CCR 1896.100 (b))
- o Use of the Incentive cannot displace the low bid of a certified-small business with that of a non-small business.
- o Services or commodities provided by the DVBE firm *must* meet the definition of a "Commercially Useful Function" (CUF) as defined under Government Codes: 14837; 14838.6; 14839; 14842; 14842.5 and Military and Veterans Code 999 and 999.6. Failure of the DVBE subcontractor to meet CUF requirements will render the bidding firm ineligible for the DVBE Incentive application.

DWR may request a bidder to correct/clarify DVBE documents that are deemed to have administrative or clerical error(s). DVBE program administrative/clerical errors are minor non-substantive errors and do not impact the bid outcome. Prior to correction of administrative/clerical any error(s), DWR will first verify the bidder has complied with DVBE program requirements. Once determined compliant, DWR will apply the incentive as appropriate.

DVBE INCENTIVE

In accordance with Section 999.5(a) of Military and Veterans Code an incentive will be given to bidders who include DVBE participation in their bid response. For evaluation purposes only, the State shall apply an incentive to bids that propose California-certified DVBE participation identified on DWR Form 9666, page 6, California DVBE Program Requirements and page 7, Bidder Certification DVBE Participation, and is subsequently confirmed by the State.

The incentive amount applied is equal to the commitment level identified by the bidder in the DWR 9666 Bidder Certification of DVBE Participation page 7. The applied incentive will not be less than one (1) percent and will not exceed five (5) percent. Those firms identifying less than one percent will not be considered for the incentive application. Firms proposing more than five (5) percent shall have the incentive capped at five (5) percent. The incentive amount for awards based on low price may vary in conjunction with the proposed DVBE participation. Unless a table that replaces the following has been expressly established elsewhere within the solicitation, the following percentages will apply for awards based on low price:

DWR 9666, California DVBE Incentive Instructions
Revised 07/14

Confirmed DVBE Participation:

DVBE Participation Level	Incentive Applied
Less than 1.0	0%
1.0 up to 1.99%	1%
2.0 up to 2.99%	2%
3.0 up to 3.99%	3%
4.0 up to 4.99%	4%
5% or Higher	5%

As applicable:

- **Awards based on low price:** the net bid price of responsive bids will be reduced by the amount of the DVBE incentive as applied to the lowest responsive net bid. If the #1 ranked responsive, responsible bid is from a California certified Small Business, the only bidders eligible for the incentive will be California certified Small Businesses. The incentive adjustment for awards based on low price cannot exceed five (5) percent or \$100,000, whichever is less, of the #1 ranked net bid. When used in combination with other preferences (SB/TACPA) the cumulative adjusted total cannot exceed \$100,000.
- **Awards based on highest score:** the solicitation shall include an individual requirement that identifies incentive points for DVBE participation. The Incentive is calculated by factoring the overall total points possible (as stated in the solicitation) by the level of DVBE commitment identified by the proposing firm. Incentive points are then added to the proposing firm's overall score. If this results in the firm's achievement of highest scored response, and the firm has met all other solicitation requirements, the award will be made to that firm. It is possible for a certified small business to be displaced by another firm scoring higher points through application of the DVBE Incentive.

PROGRAM DEFINITIONS

COMMERCIALLY USEFUL FUNCTION (California Code of Regulations, Title 2, Section 1896.71 (I))

DVBE firms must perform a "commercially useful function" relevant to this contract. The term "DVBE contractor, subcontractor or supplier" means any person or entity that satisfies the ownership (or management) and control requirements of CCR 1896.61 (f); is certified in accordance with CCR 1896.70 and provides services or goods that contribute to the fulfillment of the contract requirements by performing a commercially useful function. As defined in MVC 999, a person or an entity is deemed to perform a "commercially useful function" if a person or entity does **all** of the following:

1. Is responsible for the execution of a distinct element of the work of the contract,
2. Carries out the obligation by actually performing, managing, or supervising the work involved,
3. Performs work that is normal for its business services and functions,
4. Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices,
5. Is responsible, with respect to products, inventories, materials, and supplies required for the contract, for negotiating price, determining quality and quantity, ordering, installing, if applicable, and making payment; and
6. Its role is not an extra participant in the transaction, contract or project through which funds are passed in order to obtain the appearance of DVBE participation.

DISABLED VETERAN

A disabled veteran, for purposes of DVBE certification eligibility, is defined as a veteran of the military, naval or air services of the United States with at least a ten (10) percent service-connected disability, and who is a resident of the State of California.

DISABLED VETERAN BUSINESS ENTERPRISE (DVBE)

DVBE is a business enterprise certified by the Office of Small Business and DVBE Services (OSDS) as meeting all of the following criteria:

- Sole proprietorship owned by a disabled veteran; or a firm or partnership, 51 percent of the stock or partnership interests of which are owned by one or more disabled veterans
- Managed by and with the daily business operations controlled by one or more disabled veterans

- Sole proprietorship, corporation or partnership with its home office located in the United States which is not a branch or subsidiary of a foreign corporation, firm or other business

DWR EXHIBIT E ADDITIONAL PROVISIONS – DVBE PROGRAM CLAUSES

Please review Exhibit E for additional provisions related to the DVBE program. Exhibit E defines contractor obligations related to the DVBE program that will be part of the final contract. Bidder is advised to carefully review Exhibit E, Additional Provisions, to understand relevant obligations pertaining to the DVBE program. A synopsis of the clauses is provided below:

Contract Amendments – DVBE Program Requirements

The clause explains the requirements and obligations of the contractor and the DVBE program related to subsequent contract amendments.

Contract Audits

The clause explains the requirements and obligations of the contractor related to the review or copying of all records pertaining to the performance of its contract as pertains to the DVBE program.

Contractor SB/DVBE Payment Certification

This clause explains the requirement mad of the contractor related to reporting DVBE activity using the Small Business and DVBE Subcontractor Payment Certification, DWR Form 9683.

Substitution of DVBE Firms

This clause explains the requirements, under Military and Veterans Code 999.10, as to when the contractor, subject to the approval of DGS Office of Small Business and DVBE Services, may replace a DVBE firm identified in its bid or offer with that of another DVBE firm.

DVBE Quarterly Reports

This clause explains the requirements and obligations of the contractor related to reporting DVBE activity using DWR Form 9553 to identify and report the activity or non-activity within the period reported.

DVBE PROGRAM COMPLIANCE NOTIFICATION

Upon request, the department's Program Manager will provide a pre-review of a bidder's DVBE documentation to ensure their bid response is compliant with DVBE program requirements. Bidders must submit their documents at least three (3) working days prior to final bid submission. Upon verification of program compliance, the Program Manager will issue a *Notification of Compliance* confirming the bidder has satisfied DVBE program requirements related to this solicitation. Bidders are advised to seek a pre-review of their documentation. Documents for review may be faxed or emailed to (916) 653-6476 or emailed to: SB.DVBE@water.ca.gov

SUGGESTIONS FOR LOCATING DVBE FIRMS

Contact the Awarding Department

- Contact the DWR SB/DVBE Advocate for suggested DVBE firms who may have identified themselves as potential subcontractors, or for a list of firms the department may have created in response to this solicitation.

Other State and Federal Agencies and Local Organizations

STATE: Access the list of certified DVBE firms by using the Department of General Services, Procurement Division (DGS-PD) online certified firm data base. Access the database at: www.eprocure.dgs.ca.gov .

To begin your search:

- Click on "SB/DVBE Search". "Search by Keywords" OR "United Nations Standard Products and Services Codes (UNSPC)" that apply to the elements you want to subcontract to a DVBE.
- Check for Subcontractor ads that may be placed on the California State Contracts Register for this solicitation prior to the closing date. Access CSCR at: www.eprocure.dgs.ca.gov
- Contact OSDS at (916) 375-4940 for assistance, or email at: OSDSHelp@dgs.ca.gov

LOCAL: Contact local DVBE organizations to identify DVBEs. For a list of local organizations, go to www.pd.dgs.ca.gov/smbus And select: DVBE Local Contacts.

WEBSITE RESOURCES AND INFORMATION

RESOURCE	FOR
<p>Local Organizations: Go to www.pd.dgs.ca.gov/smbus and select: DVBE Local Contacts (New 02.09) (pdf)</p>	List of potential DVBE subcontractors
<p>DGS-PD EProcurement Website: www.eprocure.dgs.ca.gov Phone: (916) 375-2000 Email: eprocure@dgs.ca.gov</p>	<ul style="list-style-type: none"> • SB/DVBE Search • CSCR Ads • Click "training tab" to access eProcurement Training Modules for Small Business (SB)/DVBE Search
<p>DGS-PD Office of Small Business and DVBE Services (OSDS) 707 Third Street, Room 1-400, West Sacramento, CA 95605 Website: www.pd.dgs.ca.gov/smbus OSDS Receptionist, 8:00 a.m. – 5:00 p.m. (916) 375-4940 PD Receptionist 8:00 a.m.- 5:00 p.m. (800) 559-5529 Fax: (916) 375-4950 Email: osdchelp@dgs.ca.gov</p>	<ul style="list-style-type: none"> • Directory of California-Certified DVBEs • Certification Applications • Certification Information • Certification Status, Concerns • General DVBE program information • Small Business/DVBE Advocates
<p>Department of Water Resources Small Business DVBE Program Manager 1416 9th Street, Room 354 Sacramento, CA 95814 DWR SB/DVBE Website: http://www.water.ca.gov/sbe/index.cfm Email: SB.DVBE@water.ca.gov Phone: (916) 651-9705 Fax: (916) 654-6511</p>	Assistance locating DVBE firms related specifically to the advertised solicitation bidder is responding to.

DWR 9666 - DVBE INCENTIVE INFORMATION AND DOCUMENTATION

In order to receive the DVBE Incentive, bidders must complete and return DWR Forms 9666, "Documentation of DVBE Program Requirements", page 6 and "Bidder Certification of DVBE Participation" page 7. Bidders that do not include these forms will not have the incentive applied to their bid during the evaluation process.

MINIMUM DVBE COMMITMENT LEVEL

Bidder DVBE commitment must be greater than one (1) percent. Incentive calculations will not be applied to commitments of less than one (1) percent. Bidder selects either Option 1 – Bidder is a Certified DVBE, or Option 2 Non-DVBE Bidder.

SELECTION OF DVBE COMMITMENT OPTION

Failure to include comply with and include the forms listed below will result in no application of the DVBE Incentive.

OPTION 1 – BIDDER IS ITSELF A CERTIFIED DVBE

- Bidder commits to performing at least one (1) percent of the contract value as a prime firm or in combination with other DVBE firms.
- Bidder must document DVBE participation level using the DWR 9666, Documentation of DVBE Program Requirements.
- Bidder must submit DWR 9666, Bidder Certification of DVBE Participation confirming DVBE commitment.
- Bidder must submit a completed Std. 843, DVBE Declaration
- Bidder must submit a completed GSPD 05-105, Bidder Declaration
- Bidder must provide evidence of DVBE certification – obtained through the Office of Small Business and DVBE Services (OSDS).

OPTION 2 – NON-DVBE BIDDER DVBE COMMITMENT

- Commit minimum one (1) percent to a certified DVBE firm
- Bidder must document DVBE participation level using the DWR 9666, Documentation of DVBE Program Requirements.
- Bidder must submit written confirmation and acceptance from the identified DVBE subcontractor using DWR 9666, Bidder Certification of DVBE Participation.
- Bidder must submit a completed Std. 843, DVBE Declaration
- Bidder must submit a completed GSPD 05-105, Bidder Declaration
- Bidder must submit evidence of DVBE certification – obtained through the Office of Small Business and DVBE Services (OSDS).

DWR 9666 - BIDDER CERTIFICATION OF DVBE PARTICIPATION

In accordance with Military and Veterans Code, Article 6 (commencing with Section 999) of Chapter 6, Division 4 of the California Military Code, Public Contract Code 10115, as the prime bidder, you are yourself, or you have selected, and mutually agreed to partner with, a California certified DVBE contractor to provide commodities or services related to the performance of services identified in Department of Water Resources IFB/RFP solicitation document. Submission of this form constitutes an agreement between the Prime Bidder and the Certified DVBE Sub-Contractor to fulfill California Disabled Veteran Business Enterprise Participation Program requirements related to the final executed contract. Any change to the DVBE sub-contractor must be submitting in writing to the Department's DVBE Advocate.

The Bidder Certification form must be signed by company representatives with recognized legal authority to do so.

SECTION 1 - PRIME BIDDER BUSINESS INFORMATION										
FIRM NAME										
FIRM CONTACT										
STREET ADDRESS										
CITY						STATE			ZIP	
FIRM TELEPHONE					FAX#:					
EMAIL								FEIN#		

SECTION 2 - IDENTIFY THE SERVICES OR COMMODITIES TO BE PROVIDED BY THE SELECTED DVBE FIRM(S)

SECTION 3 - IDENTIFY YOUR FIRM'S DVBE COMMITMENT

___ I HAVE COMMITTED 3 PERCENT TO THE DVBE FIRM LISTED BELOW

___ I HAVE COMMITTED GREATER THAN THREE PERCENT. PERCENT COMMITTED: ___%

___ I HAVE COMMITTED TO MULTIPLE DVBE FIRMS TO SATISFY OVERALL BID REQUIREMENTS. THE COMMITMENT LEVEL FOR THE DVBE FIRM LISTED BELOW IS: ___%

Printed Name of Authorized Representative	Signature of Authorized Representative	Date
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SECTION 4 - DVBE FIRM INFORMATION										
FIRM NAME										
FIRM CONTACT										
STREET ADDRESS										
CITY						STATE			ZIP	
FIRM TELEPHONE					FAX#:					
EMAIL								DGS OSDS CERTIFICATION #		

Printed Name of Authorized DVBE Representative	Signature of Authorized DVBE Representative	Date
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ATTACHMENT VI

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES PROCUREMENT DIVISION

DISABLED VETERAN BUSINESS ENTERPRISE DECLARATIONS

STD. 843 (Rev. 5/2005)

Instructions: The disabled veteran (DV) owner(s) and DV manager(s) of the Disabled Veteran Business Enterprise (DVBE) must complete this declaration when a DVBE contractor or subcontractor will provide materials, supplies, services or equipment [Military and Veterans Code Section 999.2]. Violations are misdemeanors and punishable by imprisonment or fine and violators are liable for civil penalties. All signatures are made under penalty of perjury.

SECTION 1

Name of certified DVBE: _____ DVBE Ref. Number: _____

Description (materials/supplies/services/equipment proposed): _____

Solicitation/Contract Number: _____ SCPRS Ref. Number: _____
(FOR STATE USE ONLY)

SECTION 2

APPLIES TO ALL DVBEs. Check only one box in Section 2 and provide original signatures.

- I (we) declare that the DVBE is not a broker or agent, as defined in Military and Veterans Code Section 999.2 (b), of materials, supplies, services or equipment listed above. Also, complete Section 3 below if renting equipment.
- Pursuant to Military and Veterans Code Section 999.2 (f), I (we) declare that the DVBE is a broker or agent for the principal(s) listed below or on an attached sheet(s). (Pursuant to Military and Veterans Code 999.2 (e), State funds expended for equipment rented from equipment brokers pursuant to contracts awarded under this section shall not be credited toward the 3-percent DVBE participation goal.)

All DV owners and managers of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

(Printed Name of DV Owner/Manager) (Signature of DV Owner/ Manager) (Date Signed)

(Printed Name of DV Owner/Manager) (Signature of DV Owner/Manager) (Date Signed)

Firm/Principal for whom the DVBE is acting as a broker or agent: _____
(If more than one firm, list on extra sheets.) (Print or Type Name)

Firm/Principal Phone: _____ Address: _____

SECTION 3

APPLIES TO ALL DVBEs THAT RENT EQUIPMENT AND DECLARE THE DVBE IS NOT A BROKER.

- Pursuant to Military and Veterans Code Section 999.2 (c), (d) and (g), I am (we are) the DV(s) with at least 51% ownership of the DVBE, or a DV manager(s) of the DVBE. The DVBE maintains certification requirements in accordance with Military and Veterans Code Section 999 et. seq.
- The undersigned owner(s) own(s) at least 51% of the quantity and value of each piece of equipment that will be rented for use in the contract identified above. I (we), the DV owners of the equipment, have submitted to the administering agency my (our) personal federal tax return(s) at time of certification and annually thereafter as defined in Military and Veterans Code 999.2, subsections (c) and (g). Failure by the disabled veteran equipment owner(s) to submit their personal federal tax return(s) to the administering agency as defined in Military and Veterans Code 999.2, subsections (c) and (g), will result in the DVBE being deemed an equipment broker.

Disabled Veteran Owner(s) of the DVBE (attach additional pages with signature blocks for each person to sign):

(Printed Name) (Signature) (Date Signed)

(Address of Owner) (Telephone) (Tax Identification Number of Owner)

Disabled Veteran Manager(s) of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

(Printed Name of DV Manager) (Signature of DV Manager) (Date Signed)

BIDDER DECLARATION

1. Prime bidder information (Review attached Bidder Declaration Instructions prior to completion of this form):
 - a. Identify current California certification(s) (MB, SB, NVSA, DVBE): _____ or None (If "None," go to Item #2)
 - b. Will subcontractors be used for this contract? Yes No (If yes, indicate the distinct element of work your firm will perform in this contract e.g., list the proposed products produced by your firm, state if your firm owns the transportation vehicles that will deliver the products to the State, identify which solicited services your firm will perform, etc.). Use additional sheets, as necessary.

- c. If you are a California certified DVBE:
 - (1) Are you a broker or agent? Yes No
 - (2) If the contract includes equipment rental, does your company own at least 51% of the equipment provided in this contract (quantity and value)? Yes No N/A

2. If no subcontractors will be used, skip to certification below. Otherwise, list all subcontractors for this contract. (Attach additional pages if necessary):

Subcontractor Name, Contact Person, Phone Number & Fax Number	Subcontractor Address & Email Address	CA Certification (MB, SB, NVSA, DVBE or None)	Work performed or goods provided for this contract	Corresponding % of bid price	Good Standing?	51% Rental?
				0%	<input type="checkbox"/>	<input type="checkbox"/>
				0%	<input type="checkbox"/>	<input type="checkbox"/>
				0%	<input type="checkbox"/>	<input type="checkbox"/>

CERTIFICATION: By signing the bid response, I certify under penalty of perjury that the information provided is true and correct.

BIDDER DECLARATION Instructions

All prime bidders (the firm submitting the bid) must complete the Bidder Declaration.

- 1.a.** Identify all current certifications issued by the State of California. If the prime bidder has no California certification(s), check the line labeled "None" and proceed to Item #2. If the prime bidder possesses one or more of the following certifications, enter the applicable certification(s) on the line:
- Microbusiness (MB)
 - Small Business (SB)
 - Nonprofit Veteran Service Agency (NWSA)
 - Disabled Veteran Business Enterprise (DVB/E)
- 1.b.** Mark either "Yes" or "No" to identify whether subcontractors will be used for the contract. If the response is "No," proceed to Item #1.c. If "Yes," enter on the line the distinct element of work contained in the contract to be performed or the goods to be provided by the prime bidder. Do not include goods or services to be provided by subcontractors.
- Bidders certified as MB, SB, NWSA, and/or DVB/E must provide a commercially useful function as defined in Military and Veterans Code Section 999 for DVB/E and Government Code Section 14837(d)(4)(A) for small microbusinesses.
- Bids must propose that certified bidders provide a commercially useful function for the resulting contract or the bid will be deemed non-responsive and rejected by the State. For questions regarding the solicitation, contact the procurement official identified in the solicitation.
- Note: A subcontractor is any person, firm, corporation, or organization contracting to perform part of the prime's contract.**
- 1.c.** This item is only to be completed by businesses certified by California as a DVB/E.
- (1) Declare whether the prime bidder is a broker or agent by marking either "Yes" or "No." The Military and Veterans Code Section 999.2 (b) defines "broker" or "agent" as a certified DVB/E contractor or subcontractor that does not have title, possession, control, and risk of loss of materials, supplies, services, or equipment provided to an awarding department, unless one or more of the disabled veteran owners has at least 51-percent ownership of the quantity and value of the materials, supplies, services, and of each piece of equipment provided under the contract.
- (2) If bidding rental equipment, mark either "Yes" or "No" to identify if the prime bidder owns at least 51% of the equipment provided (quantity and value). If not bidding rental equipment, mark "N/A" for "not applicable."
- 2.** If no subcontractors are proposed, do not complete the table. Read the certification at the bottom of the form and complete "Page ___ of ___" on the form.
- If subcontractors will be used, complete the table listing all subcontractors. If necessary, attach additional pages and complete the "Page ___ of ___" accordingly.

2. (continued) Column Labels

- Subcontractor Name, Contact Person, Phone Number & Fax Number**—List each element for all subcontractors.
- Subcontractor Address & Email Address**—Enter the address and if available, an Email address.
- CA Certification (MB, SB, NWSA, DVB/E or None)**—If the subcontractor possesses a current State of California certification(s), verify on this website (www.epprocure.pd.dgs.ca.gov).
- Work performed or goods provided for this contract**—Identify the distinct element of work contained in the contract to be performed or the goods to be provided by each subcontractor. Certified subcontractors must provide a commercially useful function for the contract. (See paragraph 1.b above for code citations regarding the definition of commercially useful function.) If a certified subcontractor is further subcontracting a greater portion of the work or goods provided for the resulting contract than would be expected by normal industry practices, attach a separate sheet of paper explaining the situation.
- Corresponding % of bid price**—Enter the corresponding percentage of the total bid price for the goods and/or services to be provided by each subcontractor. Do not enter a dollar amount.
- Good Standing?**—Provide a response for each subcontractor listed. Enter either "Yes" or "No" to indicate that the prime bidder has verified that the subcontractor(s) is in good standing for all of the following:
- Possesses valid license(s) for any license(s) or permits required by the solicitation or by law
 - If a corporation, the company is qualified to do business in California and designated by the State of California Secretary of State to be in good standing
 - Possesses valid State of California certification(s) if claiming MB, SB, NWSA, and/or DVB/E status
- 51% Rental?**—This pertains to the applicability of rental equipment. Based on the following parameters, enter either "N/A" (not applicable), "Yes" or "No" for each subcontractor listed.
- Enter "N/A" if the:
- Subcontractor is NOT a DVB/E (regardless of whether or not rental equipment is provided by the subcontractor) or
 - Subcontractor is NOT providing rental equipment (regardless of whether or not subcontractor is a DVB/E)
- Enter "Yes" if the subcontractor is a California certified DVB/E providing rental equipment and the subcontractor owns at least 51% of the rental equipment (quantity and value) it will be providing for the contract.
- Enter "No" if the subcontractor is a California certified DVB/E providing rental equipment but the subcontractor does NOT own at least 51% of the rental equipment (quantity and value) it will be providing.
- Read the certification at the bottom of the page and complete the "Page ___ of ___" accordingly.**

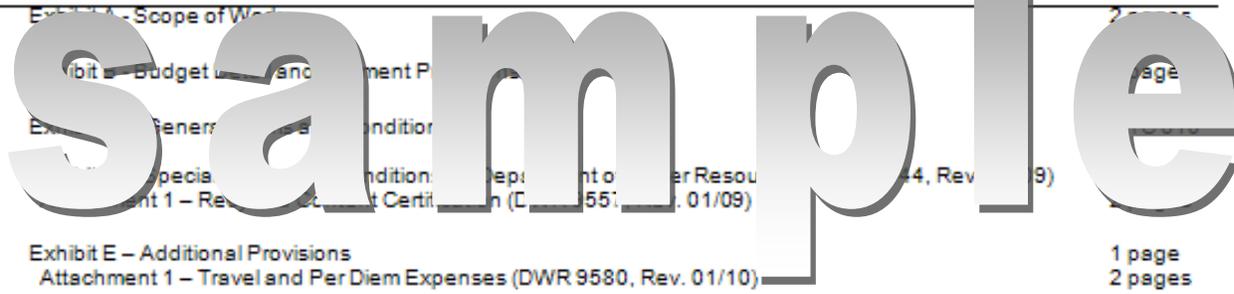
STATE OF CALIFORNIA
STANDARD AGREEMENT
STD 213 (Rev 06/03)

AGREEMENT NUMBER 460000####
REGISTRATION NUMBER [REDACTED]

- This Agreement is entered into between the State Agency and the Contractor named below:

STATE AGENCY'S NAME Department of Water Resources
CONTRACTOR'S NAME TBD
- The term of this Agreement is: TBD through TBD
- The maximum amount of this Agreement is: \$ TBD
- The parties agree to comply with the terms and conditions of the following exhibits which are by reference made a part of the Agreement.

Exhibit A - Scope of Work	2 pages
Exhibit B - Budget and Payment Plan	1 page
Exhibit C - General Conditions	
Exhibit D - Special Conditions Department of Water Resources - 4, Rev. 09	
Attachment 1 - Recruitment Certification (DWR 9580, Rev. 01/09)	
Exhibit E - Additional Provisions	1 page
Attachment 1 - Travel and Per Diem Expenses (DWR 9580, Rev. 01/10)	2 pages



Items shown with an asterisk (*), are hereby incorporated by this reference and made part of the agreement as if attached hereto. These documents can be viewed at www.dgs.ca.gov/contracts.

IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.

CONTRACTOR		California Department of General Services Use Only
CONTRACTOR'S NAME (If other than an individual, state whether a corporation, partnership, etc.) TBD		
BY (Authorized Signature) 	DATE SIGNED (Date type)	
PRINTED NAME AND TITLE OF PERSON SIGNING TBD		
ADDRESS TBD		
STATE OF CALIFORNIA		
AGENCY NAME Department of Water Resources		
BY (Authorized Signature) 	DATE SIGNED (Date type)	
PRINTED NAME AND TITLE OF PERSON SIGNING TBD		
ADDRESS TBD		

Please use the following format for your Scope of Work. Also, please use Arial size 11 point font.

EXHIBIT A SCOPE OF WORK

1. Contractor agrees to provide to Department of Water Resources (DWR), **type of service** as described herein.

2. The services shall be performed at:

Location

3. The project representatives during the term of this agreement will be:

Department of Water Resources	(Contractor Name)
Name:	Name:
Phone:	Phone:
Fax:	Fax:
Email:	Email:

Project representatives may be changed by written notice to the other party.

Beginning with paragraph 4, please list a detailed description of the work to be performed. Please make sure to include specifications, requirements, DWR acceptance of deliverables, reporting requirements, schedule of work, ordering services/task orders, etc.

Remember that the key to a successful contract is a clear Scope of Work. A clear scope includes who, what, when, where, and how. It may also include the State's responsibilities to the contractor are if there are specific requirements. Anything not clearly stated can be challenged in a court of law and may result in a finding for the Contractor and against the Department.

Example Scope of Work items:

4. Description of Services
5. Deliverables
6. Electrical or Mechanical Inspections
7. Schedule of Work
8. Equipment to be Maintained
9. Permits
10. Installation Services
11. Contractor Responsibilities
12. State's Responsibilities
13. Acceptance of Work

EXHIBIT B
BUDGET DETAIL AND PAYMENT PROVISIONS
PRIVATE ENTITIES

A. INVOICING AND PAYMENT

Contractor shall submit three copies of the invoice to the State only after receiving verbal or written notice of satisfactory completion or acceptance of work by the DWR Contract Manager. **The State will not accept an invoice for work that has not been approved and will return the invoice as a disputed invoice to the Contractor.**

Invoices shall be submitted monthly, no more often than monthly, quarterly, semi-annually, annually, in arrears, bearing the contract number. Small business contractors must identify their certified small business status on the invoice.

Contractor must submit three copies of each invoice to the following address in order to expedite approval and payment:

DWR Accounting Office
Contracts Payable Unit
P.O. Box 942836
Sacramento, California 94236-0001

Undisputed invoices shall be **paid** within 45 days of the date received by the DWR Accounting Office.

B. BUDGET CONTINGENCY CLAUSE

It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.

If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either: cancel this Agreement with no liability occurring to the State, or offer an Agreement Amendment to Contractor to reflect the reduced amount.

C. PROMPT PAYMENT CLAUSE

Payment will be made in accordance with and within the time specified in Government Code, Chapter 4.5 (commencing with Section 927).

**EXHIBIT C
GENERAL TERMS AND CONDITIONS**

This is a placeholder page.

Under the State of California's standardized contract process, a hardcopy of Exhibit C is not included in the standard agreement package or in this solicitation document. As indicated on the Std. 213, a copy of Exhibit C can be found at the internet site: <http://www.documents.dgs.ca.gov/ols/GTC-610.doc>.

If you do not have internet access please contact the Bid Administrator below to receive a copy:

Name

Contract# [REDACTED]

Exhibit D

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**EXHIBIT D – Special Terms and Conditions for
Department of Water Resources
(Over \$5,000 Standard Payable)**

1. **EXCISE TAX:** The State of California is exempt from Federal Excise Taxes, and no payment will be made for any taxes levied on employees' wages.
2. **RESOLUTION OF DISPUTES:** In the event of a dispute, Contractor shall file a "Notice of Dispute" with the Director or the Director's Designee within ten (10) days of discovery of the problem. The State and Contractor shall then attempt to negotiate a resolution of such claim and, if appropriate, process an amendment to implement the terms of any such resolution. If the State and Contractor are unable to resolve the dispute, the decision of the Deputy Director of Business Operations shall be final, unless appealed to a court of competent jurisdiction.

In the event of a dispute, the language contained within this agreement shall prevail over any other language including that of the bid proposal.
3. **PAYMENT RETENTION CLAUSE:** Ten percent of any progress payments that may be provided for under this contract shall be withheld per Public Contract Code Section 10346 pending satisfactory completion of all services under the contract.
4. **AGENCY LIABILITY:** The Contractor warrants by execution of this Agreement, that no person or selling agency has been employed or retained to solicit or secure this Agreement upon agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the State shall, in addition to other remedies provided by law, have the right to annul this Agreement without liability, paying only for the value of the work actually performed, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.
5. **POTENTIAL SUBCONTRACTORS:** Nothing contained in this Agreement or otherwise shall create any contractual relation between the State and any subcontractors, and no subcontract shall relieve the Contractor of its responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the State's obligation to make payments to the Contractor. As a result, the State shall have no obligation to pay or enforce the payment of any moneys to any subcontractor.
6. **SUBCONTRACTING:** The Contractor is responsible for any work it subcontracts. Subcontracts must include all applicable terms and conditions of this Agreement. Any subcontractors, outside associates, or consultants required by the Contractor in connection with the services covered by this Agreement shall be limited to such individuals or firms as were specifically identified in the bid or agreed to during negotiations for this Agreement, or as are specifically authorized by the Contract Manager during the performance of this Agreement. Any substitutions in, or additions to, such subcontractors, associates or consultants shall be subject to the prior written approval of the Contract Manager. Contractor warrants, represents and agrees that it and its subcontractors, employees and representatives shall at all times comply with all applicable laws, codes, rules and regulations in the performance of this Agreement. Should State determine that the work performed by a subcontractor is substantially unsatisfactory and is not in substantial accordance with the contract terms and conditions, or that the subcontractor is substantially delaying or disrupting the process of work, State may request substitution of the subcontractor.

7. RENEWAL OF CCC: Contractor shall renew the Contractor Certification Clauses or successor documents every three (3) years or as changes occur, whichever occurs sooner.
8. REPORT OF RECYCLED CONTENT CERTIFICATION: In accordance with Public Contract Code Sections 12200-12217, et seq. and 12153-12156, et seq. the contractor must complete and return the form DWR 9557, Recycled Content Certification, for each required product to the Department at the conclusion of services specified in this contract. Form DWR 9557 is attached to this Exhibit and made part of this contract by this reference.
9. TERMINATION CLAUSE: The State may terminate this contract without cause upon 30 days advance written notice. The Contractor shall be reimbursed for all reasonable expenses incurred up to the date of termination.
10. COMPUTER SOFTWARE: For contracts in which software usage is an essential element of performance under this Agreement, the Contractor certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this contract for the acquisition, operation or maintenance of computer software in violation of copyright laws.
11. PRIORITY HIRING CONSIDERATIONS: For contracts, other than consulting services contracts, in excess of \$200,000, the Contractor shall give priority consideration in filling vacancies in positions funded by the contract to qualified recipients of aid under Welfare and Institutions Code Section 11200. (Public Contract Code Section 10353).
12. EQUIPMENT RENTAL AGREEMENTS: This provision shall apply to equipment rental agreements. The State shall not be responsible for loss or damage to the rented equipment arising from causes beyond the control of the State. The State's responsibility for repairs and liability for damage or loss to such equipment is restricted to that made necessary or resulting from the negligent act or omission of the State or its officers, employees, or agents.
13. CONTRACTOR COOPERATION DURING INVESTIGATION: Contractor agrees to cooperate fully in any investigation conducted by or for DWR regarding unsatisfactory work or allegedly unlawful conduct by DWR employees or DWR contractors. The word "cooperate" includes but is not limited to, in a timely manner, making Contractor staff available for interview and Contractor records and documents available for review.
14. CONFLICT OF INTEREST:
 - a. Current and Former State Employees: Contractor should be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.
 - (1) Current State Employees: (PCC §10410)
 - (a) No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
 - (b) No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.
 - (2) Former State Employees: (PCC §10411)
 - (a) For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.

Contract# [REDACTED]

Exhibit D

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- (b) For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

b. Penalty for Violation:

- (a) If the Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (PCC §10420)

c. Members of Boards and Commissions:

- (a) Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (PCC §10430 (e))

d. Representational Conflicts of Interest:

The Contractor must disclose to the DWR Program Manager any activities by contractor or subcontractor personnel involving representation of parties, or provision of consultation services to parties, who are adversarial to DWR. DWR may immediately terminate this contract if the contractor fails to disclose the information required by this section. DWR may immediately terminate this contract if any conflicts of interest cannot be reconciled with the performance of services under this contract.

e. Financial Interest in Contracts:

Contractor should also be aware of the following provisions of Government Code §1090:

"Members of the Legislature, state, county district, judicial district, and city officers or employees shall not be financially interested in any contract made by them in their official capacity, or by any body or board of which they are members. Nor shall state, county, district, judicial district, and city officers or employees be purchasers at any sale or vendors at any purchase made by them in their official capacity."

f. Prohibition for Consulting Services Contracts:

For consulting services contracts (see PCC §10335.5), the Contractor and any subcontractors (except for subcontractors who provide services amounting to 10 percent or less of the contract price) may not submit a bid/SOQ, or be awarded a contract, for the provision of services, procurement of goods or supplies or any other related action which is required, suggested, or otherwise deemed appropriate in the end product of such a consulting services contract (see PCC §10365.5).

15. ORDER OF PRECEDENCE: In the event of any inconsistency between the terms, specifications, provisions or attachments which constitute this Contract, the following order of precedence shall apply:

- a) The General Terms and Conditions;
- b) The Std. 213;
- c) The Scope of Work;
- d) Any other incorporated attachments in the Contract by reference

1. Postconsumer material comes from products that were bought by consumers, used, then recycled. For example: a newspaper that has been purchased and read, next recycled, and then used to make another product would be postconsumer material.

If the product does not fit into any of the product categories, enter "N/A". Common N/A products include wood products, natural textiles, aggregate, concrete, electronics such as computers, TV, software on a disk or CD, telephone.

2. Product category refers to one of the product categories listed below, into which the reportable purchase falls. For products made from multiple materials, choose the category that comprises most of the product by weight, or volume.

Note: For reuse or refurbished products, there are no minimum content requirements.

For additional information visit www.ciwmb.ca.gov/BuyRecycled/

Description Product Categories	Minimum Content Requirement
Paper Products – Recycled	30 percent postconsumer fiber, by fiber weight
Printing and Writing – Recycled	30 percent postconsumer fiber, by fiber weight
Compost, Co-compost, and Mulch – Recycled	80 percent recovered materials i.e., material that would otherwise be normally disposed of in a landfill
Glass – Recycled	10 percent postconsumer, by weight
Re-refined Lubricating Oil – Recycled	70 percent re-refined base oil
Plastic – Recycled	10 percent postconsumer, by weight
Printer or duplication cartridges	<ul style="list-style-type: none"> a. Have 10 percent postconsumer material, or b. Are purchased as remanufactured, or c. Are backed by a vendor-offered program that will take back the printer cartridges after their useful life and ensure that the cartridges are recycled and comply with the definition of recycled as set forth in Sections 12200-12217, et seq. and 12153-12156, et seq. of the Public Contract Code.
Paint – Recycled	50 percent postconsumer paint (exceptions when 50 percent postconsumer content is not available or is restricted by a local air quality management district, then 10 percent postconsumer content may be substituted)
Antifreeze – Recycled	70 percent postconsumer material
Retreated Tires – Recycled	Use existing casing that has undergone retreading or recapping process in accordance with Public Resource Code (commencing with section 42400).
Tire – Derived – Recycled	50 percent postconsumer tires
Metals – Recycled	10 percent postconsumer, by weight

EXHIBIT E ADDITIONAL PROVISIONS

Include the provision below if the Scope of Work requires a contractor to submit printed materials (such as brochures, reports, data, graphic designs, photo layouts, drawings, etc.) as deliverables.

1. COPYRIGHT

All rights in copyright works created by the Contractor in the performance of work under this agreement are the property of the State.

Include the provision below if travel expenses are to be separate from the bid price. When adding this provision to a contract, be sure to include the location (usually the Contractor's headquarters location) from which the Contractor will travel.

2. REIMBURSEMENT CLAUSE

If applicable, travel and per diem expenses to be reimbursed under this contract shall be at the same rates the State provides for unrepresented employees in accordance with the provisions of Title 2, Chapter 3, of the California Code of Regulations. Travel and Per Diem Expenses, DWR 9580, has been attached and labeled as Exhibit E, Attachment X. The Contractor's designated headquarters for the purpose of computing such expenses shall be:

_____.

Include the provision below only for agreements with the University of California if travel expenses are to be charged. When adding this provision to a contract, be sure to include the location (usually the UC location) from which the Contractor will travel. Please note that the UC pays special travel and per diem rates. Contact your CSO Specialist for this rate sheet.

3. REIMBURSEMENT CLAUSE FOR THE UNIVERSITY OF CALIFORNIA

If applicable, travel and per diem expenses to be reimbursed under this contract shall not exceed the University of California rates. Travel and Per Diem Expenses have been attached and labeled as Exhibit E, Attachment X. The Contractor's designated headquarters for the purpose of computing such expenses shall be: _____.

Include the provision below only for consulting services contracts per SCM 3.02.

4. EVALUATION OF CONTRACTOR FOR CONSULTANT AGREEMENTS

Performance of the Contractor under this Agreement will be evaluated. At the conclusion of the contract, the evaluation shall be prepared on Contract/Contractor Evaluation Sheet, Std. 4 and forwarded to the Contract Services Office where they will be filed. A copy of any negative evaluation for contracts over \$5,000 will be sent to the Department of General Services, Office of Legal Services.

Include the appropriate provisions below if a Contractor is required to carry insurance. Contractors performing hazardous activities are required to provide proof of insurance. Please contact your CSO Specialist or the DGS Office of Risk and Insurance Management if you have specific questions.

5. CERTIFICATE OF INSURANCE

a. General Provisions Applying to All Policies

- i. Coverage Term – Coverage needs to be in force for the complete term of the contract. If insurance expires during the term of the contract, a new certificate must be received by the State at least ten (10) days prior to the expiration of this insurance. Any new insurance must still comply with the original terms of the contract.

- ii. Policy Cancellation or Termination & Notice of Non-Renewal – Contractor shall provide to the Department, within 5 business days following receipt by contractor, a copy of any cancellation or non-renewal of insurance required by this contract. In the event Contractor fails to keep in effect at all times the specified insurance coverage, the State may, in addition to any other remedies it may have, terminate this Contract upon the occurrence of such event, subject to the provisions of this Contract.
- iii. Deductible – Contractor is responsible for any deductible or self-insured retention contained within their insurance program.
- iv. Primary Clause – Any required insurance contained in this contract shall be primary, and not excess or contributory, to any other insurance carried by the State.
- v. Insurance Carrier Required Rating – All insurance companies must carry a rating acceptable to the Office of Risk and Insurance Management – A or better and financial size category of VII or better to the latest edition of the A.M. Best Key Rating Guide. If the Contractor is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required.
- vi. Endorsements – Any required endorsements requested by the State must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.
- vii. Inadequate Insurance – Inadequate or lack of insurance does not negate the contractor's obligations under the contract.

b. Insurance Requirements: The contractor shall furnish to the State evidence of the following required insurance:

Include Commercial General Liability in all contracts where work will be performed on State property. This coverage protects the contractor against liability for negligent acts resulting in bodily injury or property damage to others, provides protection while work is being performed, and extends coverage for some of the obligations in our contracts (hold harmless and indemnification).

- i. Commercial General Liability – Contractor shall maintain general liability on an occurrence form with limits not less than \$1,000,000 per occurrence/\$2,000,000 aggregate for bodily injury and property damage liability. The policy shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal & advertising injury, and liability assumed under an insured contract. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Contractor's limit of liability. The policy must include the following additional insured designation and endorsement:

“Department of Water Resources, State of California, its officers, agents, employees and servants are included as additional insureds, but only with respect to work performed under this contract.”

The endorsement must be supplied under form acceptable to the Office of Risk and Insurance Management.

In the case of Contractor's utilization of subcontractors to complete the contracted scope of work, contractor shall include all subcontractors as insured's under Contractor's insurance or supply evidence of insurance to The State equal to policies, coverages and limits required of Contractor.

Include only the applicable provisions below:

Include Automobile Liability when contractors will be driving on State property. This coverage protects the contractor and any other party who may be held liable for the negligent operation of owned automobiles.

- ii. Automobile Liability – Contractor shall maintain motor vehicle liability with limits not less than \$1,000,000 combined single limit per accident. Such insurance shall cover liability arising out of a motor vehicle including owned, hired and non-owned motor vehicles.

The same additional insured designation and endorsement required for general liability is to be provided for this coverage.

Include Workers Compensation and Employers Liability insurance requirements for all contracts. It is a State law that all employers carry workers compensation insurance coverage. Benefits include payment of medical costs, loss of income and permanent disability payments for work-related injuries. To self-insure, an employer must submit information to the State of California, Department of Industrial Relations for approval. Employers Liability coverage protects against lawsuits brought against the contractor arising out of injury, sickness, or death of an employee.

- iii. Workers Compensation and Employers Liability – Contractor shall maintain statutory worker's compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Contract. Employer's liability limits of \$1,000,000 are required. When work is performed on State owned or controlled property the workers' compensation policy shall contain a waiver of subrogation in favor of the State. A **waiver of subrogation in favor of the State** shall be provided.

Include Employee Dishonesty insurance provisions when the contractor has access to or custody of valuables (contract examples may include armored car transport, courier services, property management, and ticket sales). This coverage provides protection against theft or destruction of money, securities, or other valuable property which is caused by an employee.

- iv. Employee Dishonesty -Contractor shall maintain employee dishonesty insurance with limits of no less than \$ TBD each claim. The policy is to contain a loss payable clause for the Department of Water Resources. The loss payable clause shall be provided.

Include Errors and Omissions/Professional Liability for contracts where work is being performed by architects, engineers, surveyors, consultants, physicians, attorneys, etc. This coverage provides the contractor with protection for liabilities imposed due to errors or mistakes of a professional nature. It DOES NOT provide coverage for ordinary business exposures such as bodily injury and/or property damage.

- v. Errors and Omissions/Professional Liability - Contractors shall maintain errors and omissions /professional liability insurance with limits no less than \$1,000,000 each occurrence and \$3,000,000 annual aggregate. The retro date shall be shown on the certificate of insurance and shall be no later than the date of this contract or the date work under this contract begins.

Include Pollution/Environmental Liability where there is a risk of contaminating the land, waterways, or air (for example, underground tank removal, septic tank maintenance, asbestos or lead abatement, and hazardous waste removal). This type of insurance covers injury and direct property damage, including clean-up costs, caused by the release or spill of pollutants as a result of the contractor's negligence.

- vi. Pollution/Environmental Liability – Contractor shall maintain pollution liability with limits no less than \$1,000,000 each incident and \$2,000,000 aggregate covering bodily injury, property damage and environmental damage resulting from pollution and related cleanup costs. Coverage shall be for work performed on site as well as during handling and transport of hazardous materials. The transporter of hazardous materials, whether the contractor or a subcontractor, shall provide a copy of its MCS-90 endorsement, or equivalent, to its automobile liability insurance.

The same additional insured designation and endorsement required for general liability is to be provided for this coverage.

Subsequent renewals of the insurance certificate shall be sent to program name and address. This name and address shall appear on the certificate as the certificate holder.

Include the provision below if supplying goods (such as parts) is critical to the performance of work or where the exact nature of the product is unknown. This statement is not to be used in Public Works agreements.

6. FORCED, CONVICT, AND INDENTURED LABOR

No foreign-made equipment, materials, or supplies furnished to the State pursuant to this contract may be produced in whole or in part by forced labor, convict labor, or indentured labor, or abusive forms of child labor or exploitation of children in sweatshop labor. By submitting a bid to the State or accepting a purchase order, the Contractor agrees to comply with this provision of the contract.

Include the provision below for Public Works agreements. Public Works documents (DWR 4197 and Std. 18 ALWAYS become attachments to Exhibit E.

7. PUBLIC WORKS AGREEMENTS

Contractor shall comply with the language stated in the Standard Clauses for Public Works, DWR 4197, Exhibit E, Attachment X, and the Standard California Nondiscrimination Construction Contract Specifications, Std. 18, Exhibit E, Attachment X. Contractor must use prevailing wage rates for the appropriate classifications used in the performance of the work specified in the Scope of Work that is considered "public works". Contractor can access these rates on the internet at <http://www.dir.ca.gov> or by calling the California Department of Industrial Relations at (415) 703-4774 for paper copies of the rates. Contractor understands that it is responsible for determination of proper classifications of work for prevailing wage purposes. Contractor is solely responsible for determining whether all or any portion of the work is considered "public works," such that prevailing rates are payable under this contract.

Include the provision below if labor classifications mentioned in the Scope of Work have been determined by the Department of Industrial Relations to require prevailing wages. If you have questions regarding the inclusion of this provision, contact your CSO Specialist.

8. PREVAILING WAGES

Labor Code Certifications:

The Contractor is aware of the provisions of Section 3700 of the Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of that code and the Contractor and any

subcontractors will comply with such provisions before commencing the performance of the work of this contract.

In accordance with the applicable provisions of the Labor Code, the Contractor and any subcontractors shall pay their employees prevailing wages for the performance of work. The Director of the State Department of Industrial Relations has made the general prevailing wage rate determination covering the locality where work on this contract is to be performed. The general prevailing wage rates can be obtained from the Department of Industrial Relations or any source authorized by the Department of Industrial Relations. On the Internet, prevailing wage rates can be found at www.dir.ca.gov. A copy of the general prevailing wage rates is also on file at the State Department of Water Resources, 1416 Ninth Street, Sacramento, California, and is available to any interested party upon request. The Contractor agrees to post a copy of the applicable general prevailing wage rates for the locality of each job site.

It is hereby mutually agreed that, pursuant to Labor Code section 1775, the Contractor shall forfeit to the State 200 dollars (\$200) for each calendar day, or portion thereof, for each worker paid by him or her, or subcontractor under him or her, less than the prevailing wage so stipulated and in addition, the Contractor further agrees to pay to each worker the difference between the actual amount paid for each calendar day, or portion thereof, and the stipulated prevailing wage rate for the same. This provision shall not apply to properly registered apprentices.

It is further agreed that the maximum hours a worker is to be employed is limited to eight hours a day and 40 hours a week and the contractor shall forfeit, as a penalty to the State, twenty-five dollars (\$25) for each worker employed in the execution of the contract for each calendar day during which a worker is required or permitted to labor more than eight hours in any calendar day or more than 40 hours in any calendar week, in violation of Labor Code sections 1810-1815, inclusive.

Properly registered apprentices may be employed in the prosecution of the work. Every such apprentice shall be paid the standard wage paid to apprentices under the regulations of the craft or trade at which he or she is employed, and shall be employed only at the work of the craft or trade to which he or she is registered. The Contractor and each subcontractor must comply with the requirements of Labor Code section 1775.5 and any related regulations regarding the employment of registered apprentices.

The Contractor and any subcontractors shall comply with all other applicable Labor Code requirements, including section 1776 regarding record keeping.

Include the provision below for a bond-funded Public Works service agreement which is not funded pursuant to Public Resources code Sections 75070-75079 (Proposition 84).

Compliance Monitoring:

As to work that is bond-funded public works [that is not funded pursuant to Public Resources Code Sections 75070-75079 (Proposition 84)], Contractor may be required to comply with Labor Code Section 1771.3 and related sections, as well as California Code of Regulations, Title 8, Chapter 8, Subchapter 4.5 - Compliance Monitoring and Enforcement by the Department of Industrial Relations (DIR). Within these laws and regulations is a requirement that Contractor and its subcontractors must submit electronically to DIR's Compliance Monitoring Unit (CMU) a certified copy of their weekly payroll records, signed under penalty of perjury, at least once per month or within 10 days of a separate request by the CMU. In addition, pursuant to Section 16451(d) of the above-described regulations, Contractor shall be required to post the required CMU notice at each applicable job site. DWR will notify Contractor at the time of any work to which these CMU provisions apply.

Include the provision below for a bond-funded Public Works service agreement which is funded pursuant to Public Resources code Sections 75070-75079 (Proposition 84), or which has unknown account assignments.

Labor Compliance Program:

For work which is funded pursuant to Public Resources Code Sections 75070-75079 (Proposition 84), Contractor may be required to comply with the Labor Compliance Program or (LCP) requirements of Labor Code Section 1771.5. Among the requirements under these sections are: pre-construction conference regarding payment of prevailing wages, providing of certified payroll reports and audit thereof, and potential withholding of contract payments for non-compliance. DWR will notify Contractor at the time of any work to which these LCP provisions apply.

Include the provision below for personal service agreements (janitorial and housekeeping services, custodians, food service workers, laundry workers, window cleaners, and security guards), performed by community rehabilitation organizations.

9. EMPLOYEE BENEFITS FOR COMMUNITY REHABILITATION PROGRAMS:

In accordance with Government Code Section 19134(j), holiday pay shall be provided to employees of Contractors providing services such as, janitorial, housekeeping, custodian, food service, security guard, laundry, or window cleaning services.

“Holiday Pay” means pay provided to an employee to compensate for hours the employee is unable to work because the facility at which the employee would normally provide services is closed due to State holidays.

Include the provision below for personal service agreements (janitorial and housekeeping services, custodians, food service workers, laundry workers, window cleaners, and security guards).

10. EMPLOYEE BENEFITS

In accordance with Government Code Section 19134, employee benefits are being included in Personal Services Agreements that are in force 91 days or more. The services that are affected are janitorial, housekeeping, custodian, food service, security guard, laundry, or window cleaning services.

In order to comply, a Contractor entering into an agreement with the State must provide “Wages and Employee Benefits” to any Covered Employee who performs the services mentioned above at the site or sites designated in the Scope of Work.

“Covered Employee” means a person who performs any of the services identified above, as more than an incidental part of their duties under a Qualifying contract. Covered employee does not include either: (1) A person who performs solely supervisory or administrative services under a Qualifying Contract, or (2) An owner-operator.

“Employee Benefits” means coverage a contractor provides to a Covered Employee, whether fulltime or part-time, either through a purchased plan or by self-insurance, for basic health care, dental services, and vision services, as well as, retirement benefits, and holiday pay, sick pay, and vacation pay.

“Holiday Pay” means pay provided to a covered employee to compensate for hours the covered employee is unable to work because the facility at which the employee would normally provide services is closed due to State holidays.

“Wages” means hourly payments paid pursuant to Government Code Section 19134 to a

Covered Employee for work performed by such employee on a Qualifying Contract. Wages must be valued at least 85 percent of wage paid to State of California employees performing similar work.

“In Lieu Cash Payment” means a dollar amount a contractor pays to a covered employee of a Personal Services Agreement in lieu of providing actual Health Benefits, actual retirement benefits, and/or sick or vacation leave credits.

A contractor can meet the Health Benefits requirement by choosing to provide one of the following options:

- a. Health Benefits to Covered Employees valued at, at least, 85 percent of the State cost for health, vision, and dental benefits for State of California employees performing similar work; or
- b. In Lieu Cash Payments to Covered Employees valued at, at least, 85 percent of the State cost for health, vision, and dental benefits for State of California employees performing similar work; or
- c. A combination of Health Benefits and In Lieu Cash Payments at least 85 percent of the State cost for health, vision, and dental benefits for State of California employees performing similar work.

A Contractor can meet the Retirement Benefits requirement by choosing to provide one of the following options:

- a. Actual retirement benefits to Covered Employees valued at, at least, 85 percent of the State cost for retirement benefits for State of California employees performing similar work; or
- b. In Lieu Cash Payments to Covered Employees valued at, at least, 85 percent of the State cost for retirement benefits for State of California employees performing similar work; or
- c. A combination of actual retirement benefits and In Lieu Cash Payments totaling at least 85 percent of the State cost for retirement benefits for State of California employees performing similar work.

The method of compliance chosen and the additional costs of Employee Wages and Employee Benefits/In Lieu Cash Payments will be calculated and incorporated into your bid. The Bid Sheet will provide the current rate published by the Department of Personnel Administration that must be used to determine the Wages and Employee Benefits/In Lieu Cash Payments.

Before execution of the contract, employers choosing to offer Employee Benefits using (a) or (c) above must provide evidence of coverage to the State.

Contractor must submit to the State monthly reports that comply with The California Code of Regulations, Title 2, Div. 2, Chap. 3, Subchapter 12, Section 1896.370(a). The report must include (1) the number of employees who received Wages and Employee Benefits and/or In Lieu Cash Payments in the preceding month, (2) their names, (3) hours each covered employee worked in the preceding month, (4) the amount paid to each covered employee for Wages and Employee Benefits and/or In Lieu Cash Payments in the preceding month (with amounts paid for Wages and for each type of Employee Benefit/In Lieu Cash Payment itemized separately), and (5) total monthly costs paid of Wages and Employee Benefits and/or In Lieu Cash Payments in the preceding month, excluding any administrative or indirect costs.

This Agreement is subject to audit for compliance with the provisions of Government Code

Section 19134.

The Schedule of Employee Benefit Rates published by the Department of Personnel Administration shall remain in effect during the term of this Agreement. Any published rate change occurring during the term of this Agreement shall be given effect by amendment, with an effective date retroactive to the date the rate changes were published by the Department of Personnel Administration. The Bid Sheet will state the type of rate (three-tiered or blended) and the amount of the current rate per hour.

Failure to comply with the provisions of Government Code Section 19134 constitutes a material breach, which could subject the agreement to immediate termination by the State.

Include the provision below if a Contractor is required to possess any type of license or permit to perform work. Reference to required permits and/or licenses must be included in the Scope of Work and in the solicitation document.

11. PERMITS AND LICENSES

The Contractor shall procure all permits and licenses, pay all charges and fees and give all notices necessary and incidental to the due and lawful prosecution of the work.

Include the provision below only if the Contractor meets the Political Reform Act definition of a "consultant." This is determined by either the 2004 Ward Tabor memo or the DWR 9503 that is reviewed and signed by DWR Legal. For additional information, see EPG 10 or contact your CSO Specialist.

12. POLITICAL REFORM ACT

The Contractor shall comply with the language stated in the Standard Contract Provisions Concerning the Political Reform Act, Exhibit E, Attachment X. Contractor shall file a Statement of Economic Interests (Fair Political Practices Commission Form 700) upon assuming office, annually, and within 30 days after leaving office.

Include the provision below if the contractor will have access to any confidential or sensitive information. The referenced attachment provides additional information regarding the kind of material considered confidential or sensitive.

13. PROTECTION OF CONFIDENTIAL AND SENSITIVE INFORMATION: This shall apply to all Contractors whose terms with the Department require or permit access to Confidential or Sensitive Information in conducting business with the Department or performing duties under a Contract with the Department. Contractor shall impose all the requirements of this provision on all of its officers, employees, and Affiliates with access to Confidential and/or Sensitive Information in accordance with Attachment X. Also a Nondisclosure Certificate, Attachment X, must be signed by all personnel with access to Confidential and Sensitive Information and submitted to the Department prior to being allowed such access.

Include the provision below if the contractor will purchase equipment using contract funds. The purchase of this equipment must be detailed in the Scope of Work and on the bid/cost sheet.

14. OWNERSHIP/INVENTORY/DISPOSITION OF STATE EQUIPMENT

The following is applicable to equipment purchased or furnished by other agencies and equipment purchased by the Contractor where such expense is charged to and/or reimbursed from contract funds.

No equipment shall be purchased under the auspices of the Agreement without prior written authorization of the State. All equipment of any kind, purchased or reimbursed with contract funds or furnished by the State under the terms of this Agreement and not fully consumed in the

performance of this Agreement, shall be considered State equipment and the property of the State.

The State may, at its option, repair any damage or replace any lost or stolen items and deduct the cost thereof from the Contractor's invoice to the State, or require the Contractor to repair or replace any damaged, lost, or stolen equipment to the satisfaction of the State with no expense to the State.

The Contractor should maintain an inventory record for each piece of non-expendable equipment purchased or built with funds provided under the terms this Agreement. The inventory record of each piece of such equipment should include the date acquired, total cost, serial number, model identification (on purchased equipment), and any other information or description necessary to identify said equipment (SAM Section 8600). A copy of the inventory record must be submitted to the State on request by the State.

Include the provision below if a contract renewal is desired. Including an option to renew that would make the contract term longer than two years requires advance approval from the DGS Office of Legal Services.

15. OPTION TO RENEW

The Department reserves the right to renew this Agreement for (?) additional years under the same terms and conditions.

Include the provision below at the time of solicitation. Final executed contract may or may not include DVBE depending upon the outcome of the solicitation award and identified DVBE subcontractors, if any.

16. CONTRACT AMENDMENTS – DVBE PROGRAM REQUIREMENTS

Disabled Veteran Business Enterprise (DVBE) program requirements shall be included and made a part of any subsequent contract amendment(s) when DVBE program requirements were included as part of the Department's original solicitation/contract effort. DVBE participation program goals (3 percent) are extended through the amended contract termination date and include any additionally encumbered funds that are a result of the contract amendment. The 90-Day and Final DVBE Subcontracting Activity Report shall be included in all subsequent contract amendment(s). The Contractor shall be responsible for continued program compliance and reporting.

Include the provision below at the time of solicitation. Final executed contract may or may not include DVBE depending upon the outcome of the solicitation award and identified DVBE subcontractors, if any.

17. CONTRACT AUDITS RELATED TO DVBE PROGRAM REQUIREMENTS

Contractor agrees that the State or its designee will have the right to review, obtain, or copy all records pertaining to performance of the contract as performance pertains to DVBE requirements. Contractor agrees to provide the State or its representative with any relevant information requested and shall permit the State or its representative access to its premises, upon reasonable notice, during normal business hours for the purpose of interviewing employees and inspecting and copying such books, records, accounts, and other material that may be relevant to a matter under investigation for the purpose of determining compliance with this requirement. Contractor further agrees to maintain such records for a period of no less than three (3) years after final payment under the contract.

Include the provision below at the time of solicitation. Final executed contract may or may not include DVBE depending upon the outcome of the solicitation award and identified DVBE subcontractors, if any.

18. DVBE SUBCONTRACTOR ACTIVITY REPORTS – DWR 9553

The Contractor is required to furnish the Department with reports of DVBE subcontractor activity using the DWR 9553. Reports are to be made at 90-day intervals and must identify the DVBE subcontractor, the services performed or commodities used and the total paid to the subcontractor during the quarterly period reported. A final activity report is to be submitted prior to the contract expiration date. If multiple DVBE contractors are providing services or commodities, the Contractor must furnish individual reports for each DVBE subcontractor used.

The first report is due 90-days from the date of contract approval. At the Department's request, the Contractor shall submit copies of the DVBE contractor's paid invoices issued for that 90-day reporting period or final report.

If the Contractor fails to furnish the required reports, the Department may withhold final payment until the Contractor provides the required reports and, when requested by the Department, copies of paid invoices.

Final reports must be received by the Department at least 14 days prior to the contract expiration date.

Reports shall be made using the DVBE Activity Report Form 9553, Exhibit E, Attachment X. **All reports shall be made to both the Department of Water Resources DVBE Advocate and the Project Manager for the contract as follows:**

Mail Reports to:

Department of Water Resources
DVBE Advocate
1416, Ninth Street, Room 353
P.O. Box 942836
Sacramento, California, 95814
Fax Number: (916) 654-6511

Department of Water Resources
Program Manager
Address
Address
City, State, Zip Code
Fax Number:

Include the provision below at the time of solicitation. Final executed contract may or may not include DVBE depending upon the outcome of the solicitation award and identified DVBE subcontractors, if any.

19. SUBSTITUTION OF A DVBE SUBCONTRACTOR

Contractor understands and agrees that should award of this contract be based in part on their commitment to use the Disabled Veteran Business Enterprise (DVBE) subcontractor(s) identified in their bid or offer, per Military and Veterans Code 999.5(e), a DVBE subcontractor may only be replaced by another DVBE subcontractor and must be approved by the Department of General Services. Changes to the scope of work that impact the DVBE subcontractor(s) identified in the bid or offer and approved DVBE substitutions will be documented by contract amendment.

Failure of Contractor to seek substitution and adhere to the DVBE participation level identified in the bid or offer may be cause for contract termination, recovery of damages under rights and remedies due the State, and penalties as outlined in Military and Veterans Code 999.9; Public Contract Code (PCC) Section 10115, or PCC Section 4110 (applies to public works only). Contractor must immediately notify the Department's SB/DVBE Advocate that substitution of a DVBE subcontractor is requested.

Include the provision below at the time of solicitation. Final executed contract may or may not include DVBE depending upon the outcome of the solicitation award and identified DVBE subcontractors, if any.

20. CONTRACTOR CERTIFICATION OF PAYMENT TO SMALL BUSINESS AND DVBE
SUBCONTRACTOR(S)

- a. If, for this Contract, Contractor made a commitment to achieve small business participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) report to the awarding department the actual percentage of small business participation that was achieved. (Govt. Code § 14841.)
- b. If for this Contract Contractor made a commitment to achieve disabled veteran business enterprise (DVBE) participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) certify in a report to the awarding department: (1) the total amount the prime Contractor received under the Contract; (2) the name and address of the DVBE(s) that participated in the performance of the Contract; (3) the amount each DVBE received from the prime Contractor; (4) that all payments under the Contract have been made to the DVBE; and (5) the actual percentage of DVBE participation that was achieved. A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation not less than \$2,500 and not to exceed \$25,000. (Mil. & Vets. Code § 999.5(d); Govt. Code § 14841)

Contractor Certification must be made using DWR Form 9683 "Small Business and DVBE Subcontractor Payment Certification", Exhibit E Attachment X.

EXHIBIT E, ATTACHMENT 1 if Travel and Per diem will be paid to contractor

State of California

DEPARTMENT OF WATER RESOURCES

California Natural Resources Agency

Contract # [REDACTED]
 Exhibit [REDACTED], Attachment [REDACTED]
 Page 1 of 2

TRAVEL AND PER DIEM EXPENSES

I. SHORT-TERM PER DIEM EXPENSES

A. In computing reimbursement for continuous short-term travel of more than 24 hours and less than 31 consecutive days, the employee will be reimbursed for actual costs up to the maximum allowed for each meal, incidental, and lodging expense for each complete 24 hours of travel, beginning with the traveler's times of departure and return, as follows:

1. On the first day of travel on a trip of 24 hours or more:

Trip begins at or before 6 a.m.	Breakfast may be claimed on the first day.
Trip begins at or before 11 a.m.	Lunch may be claimed on the first day.
Trip begins at or before 5 p.m.	Dinner may be claimed on the first day.

2. On the fractional day of travel at the end of a trip of more than 24 hours:

Trip ends at or after 8 a.m.	Breakfast may be claimed.
Trip ends at or after 2 p.m.	Lunch may be claimed.
Trip ends at or after 7 p.m.	Dinner may be claimed.

If the fractional day includes an overnight stay, receipted lodging may also be claimed. No meal or lodging expense may be claimed or reimbursed more than once on any given date or during any 24-hour period.

3. Reimbursement shall be for actual expenses, subject to the following maximum rates:

Meals:

Breakfast	\$ 7.00	Receipts are not required for regular short-term travel meals
Lunch	\$ 11.00	
Dinner	\$ 23.00	
Incidentals	\$ 5.00	

Lodging:

Statewide (except as noted below)	Actual up to \$90.00 per night, plus tax
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When required to conduct State business and obtain lodging in the counties of Napa, Riverside, and Sacramento, reimbursement will be for actual receipted lodging to a maximum of \$95.00 per night, plus tax.

When required to conduct State business and obtain lodging in the counties of Los Angeles, Orange, and Ventura, and Edwards AFB, excluding the city of Santa Monica, reimbursement will be for actual receipted lodging to a maximum of \$120.00 per night, plus tax.

When required to conduct State business and obtain lodging in the counties of Alameda, Monterey, San Diego, San Mateo, and Santa Clara, reimbursement will be for actual receipted lodging to a maximum of \$125.00 per night, plus tax.

When required to conduct State business and obtain lodging in the county of San Francisco and the City of Santa Monica, reimbursement will be for actual receipted lodging to a maximum of \$150.00 per night, plus tax.

If lodging receipts are not submitted, reimbursement will be for meals only at the rates and time frames set forth in B1 below.

B. In computing reimbursement for continuous travel of less than 24 hours, actual expenses, up to the maximums in #3 above, will be reimbursed for breakfast and/or dinner and/or lodging in accordance with the following time frames:

1. Travel begins at or before 6 a.m. and ends at or after 9 a.m.: Breakfast may be claimed. Travel begins at or before 4 p.m. and ends at or after 7 p.m.: Dinner may be claimed. If the trip of less than 24 hours includes an overnight stay, receipted lodging may be claimed. No lunch or incidentals may be reimbursed on travel of less than 24 hours.
2. Employees on short-term travel who stay in commercial lodging establishments or **commercial campgrounds** will be reimbursed for actual lodging expenses substantiated by a receipt. Employees who stay with friends or relatives, or who do not produce a lodging receipt, will be eligible to claim meals only.

II. LONG-TERM TRAVEL AND PER DIEM EXPENSES

A. Employee maintains a separate residence in the headquarters area:

1. Long-term travelers who maintain a permanent residence at their primary headquarters may claim daily long-term lodging up to \$24.00 with a receipt, and long-term meals of \$24.00 for each period of travel from 12 to 24 hours at the long-term location. For travel of less than 12 hours, the traveler may claim either \$24.00 in receipted lodging or \$24.00 in long-term meals.

B. Employee does not maintain a separate residence in headquarters area:

1. Long-term travelers who do not maintain a permanent residence at their headquarters may claim daily receipted lodging up to \$12.00, and long-term meals of \$12.00 for each period of travel from 12 to 24 hours at the long-term locations. For travel of less than 12 hours, the travelers may claim either \$12.00 in receipted lodging or \$12.00 in long-term meals.

III. MILEAGE REIMBURSEMENT

Reimbursement for personal vehicle mileage is 56 cents per mile.

There is no specific rate determined for the reimbursement for personal vehicle mileage using a specialized vehicle that has been modified to accommodate disabilities. In these cases, the 56 cents per mile reimbursement will apply.

IV. VEHICLE RENTAL

Reimbursement for vehicle rental shall be for actual and necessary costs of such rental and airplane usage shall be allowed at the lowest fare available. Claims for reimbursements shall be allowed upon submittal of the appropriate receipt. Refer to California Code of Regulations, Title 2, Sections 599.627 and 599.628.

EXHIBIT E, ATTACHMENT 2

State of California

DEPARTMENT OF WATER RESOURCES

California Natural Resources Agency

Agreement No. _____
Exhibit _____**STANDARD CLAUSES –
GENERAL CONDITIONS FOR PUBLIC WORKS AND/OR DRILLING CONTRACTS**

LICENSE. No bidder may bid on work for which it is not properly licensed by the Contractor's State License Board. Joint Venture bidders must possess a Joint Venture License. Bidders for this Agreement must have _____ classification(s) of contractor's license. Provide license number and expiration date and certify under penalty of perjury that the foregoing is true and correct.

EXAMINATION OF BID DOCUMENTS AND SITE. Bidder shall carefully examine site of work, plans and specifications. The bidder shall investigate conditions, character, quality of surface, or subsurface materials or obstacles to be encountered. No additions to the contract amount will be made because of the Contractor's failure to examine the site of work, plans and specifications.

SUBCONTRACTORS. (See Public Contract Code Section 4104.) The bidder shall set forth in its bid:

- a. The name and business address of each subcontractor who will perform work or labor or render services in an amount in excess of one-half of one percent (.5%) of the General Contractor's total bid; and
- b. The portion of work to be done by each subcontractor. (See Public Contract Code Section 4104.)

PAYMENT BOND. The Contractor shall furnish, concurrently with signing the contract, a Payment Bond to Accompany Construction Contract, Standard Form 807, in an amount not less than 100% of the amount of the contract when the contract exceeds \$5000 (for non-construction drilling contracts, when the contract exceeds \$25,000). Such bond shall be executed by the Contractor and a corporate surety approved by the State.

NOTICE. Failure to obtain a payment bond within ten (10) days of notification of award shall cause the State to reject the bid.

WORKERS' COMPENSATION INSURANCE CERTIFICATION. Upon execution of the contract, the Contractor shall provide the State either with a certificate of insurance issued by an insurance carrier licensed to write workers' compensation insurance in the State of California, including the name of the carrier and date of expiration of the insurance, or a certificate of consent to self insure issued by the Director of the Department of Industrial Relations.

PREVAILING WAGE. It is hereby mutually agreed that, pursuant to Labor Code Section 1775 (a) (1), the Contractor shall forfeit to the State a penalty of \$200 for each calendar day, or portion thereof, for each worker paid by it, or subcontractor under it, less than the prevailing wage so stipulated. In addition the Contractor further agrees to pay to each worker the difference between the actual amount paid for each calendar day, or portion thereof, and the stipulated prevailing wage rate for the same. This provision shall not apply to properly registered apprentices.

MAXIMUM HOURS. It is further agreed that the maximum hours a worker is to be employed is limited to 8 hours a day and 40 hours a week and the Contractor shall forfeit, as a penalty to the State, \$25 for each worker employed in the execution of the contract for each calendar day during which a worker is required or permitted to labor more than 8 hours in any calendar day or more than 40 hours in any calendar week in violation of Labor Code Sections 1810-1815, inclusive.

TRAVEL AND SUBSISTENCE PAYMENTS. Travel and subsistence payments shall be paid to each worker needed to execute the work, as such travel and subsistence payments are defined in the applicable collective bargaining agreements filed in accordance with Labor Code Section 1773.8.

APPRENTICES. Properly registered apprentices may be employed in the prosecution of the work. Every such apprentice shall be paid the standard wage paid to apprentices under the regulations of the craft or trade at which he or she is employed, and shall be employed only at the work of the craft or trade to which he or she is registered. The Contractor and each subcontractor must comply with the requirements of Labor Code Section 1777.5 and any related regulations regarding the employment of registered apprentices.

SUBSTITUTIONS. Pursuant to Section 3400 of the Public Contract Code, should the Contractor seek to substitute a brand of materials other than specified, the Contractor shall submit data substantiating the request for substitution of "an equal" item. The substantiating data must be presented for approval within thirty-five (35) days after the award of the agreement. The State shall be the sole judge as the comparative quality and suitability of "an equal" item.

ANTI-TRUST CLAIMS. The Contractor offers and agrees and will require all of his subcontractors and suppliers to agree to assign to the awarding body all rights, title, and interest in and to all causes of action they may have under Section 4 of the Clayton Act (15 U.S.C. Sec. 15) or under the Cartwright Act [Chapter 2 (commencing with Sec. 165700) of Part 2 of Division 7 of the Business and Professions Code], arising from purchases of goods, services, or materials, pursuant to the public works contract or the subcontract. The assignment made by the Contractor and all additional assignments made by the subcontractors and suppliers shall be deemed to have been made and will become effective at the time the awarding body tenders final payment to the Contractor, without further acknowledgment or the necessity of tendering to the awarding body any written assignments.

If an awarding body receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under Government Code Sections 4550-4554, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the public body any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the public body as part of the bid price, less the expenses incurred in obtaining that portion of the recovery.

Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under Government Code Section 4550-4554, if the assignor has been or may have been injured by the violation of law for which the cause of action arose and (a) the assignee has not been injured thereby, or (b) the assignee declines to file a court action for the cause of action.

PROGRESS PAYMENTS.

- a. Ten percent of any progress payments that may be provided for under this contract shall be withheld pending satisfactory completion of all services under the contract. The Contractor may substitute securities for such retentions and receive any interest accrued provided in Section 22300 of the Public Contract Code.
- b. Upon execution of the contract, the Contractor shall furnish a faithful performance bond for not less than the total amount payable under the contract if the contract exceeds \$10,000 and progress payments will be made.

PAYROLL RECORDS. The Contractor and each subcontractor shall comply with Labor Code Section 1776 regarding payroll records.

NONCOLLUSION AFFIDAVIT. All bidders shall submit with their bids a signed and notarized Noncollusion Affidavit (DWR 4206). (Not required for non-construction drilling contracts.)

LABOR CODE PROVISIONS. Pursuant to Sections 1770 et seq. of the California Labor Code, the Director of the State Department of Industrial Relations has made the general prevailing wage determination covering the locality where work for this contract is to be performed. The general prevailing wage rates can be obtained from the Department of Industrial Relations or any source authorized by the Department of Industrial Relations. They are also made available at

www.dir.ca.gov/.

The Contractor agrees to post a copy of the **General Prevailing Wage Determination** for the locality of each job site. The Contractor also agrees to comply with all requirements of the California Labor Code and to pay for the forfeiture penalties and monies, which may become due as provided in Sections 1775 and 1813 of that Code.

UNDOCUMENTED ALIENS. No bidder or Contractor shall be eligible to bid for or receive a public works or purchase contract, who has, in the preceding five years, been convicted of violating a State or federal law respecting the employment of undocumented aliens.

SUBSTITUTION OF SUBCONTRACTORS. A prime contractor whose bid is accepted may not substitute a subcontractor listed in the original bid unless the provisions of PCC 4107 or 4107.5 apply and a hearing is held, if required.

EXHIBIT E, ATTACHMENT 3

STATE OF CALIFORNIA
**STANDARD CALIFORNIA NONDISCRIMINATION
CONSTRUCTION CONTRACT SPECIFICATIONS**
(GOVERNMENT CODE, SECTION 12990)
STD. 16 (REV. 1/96)

Print

These specifications are applicable to all state contractors and subcontractors having a construction contract or subcontract of \$5,000 or more.

1. As used in the specifications:
 - a. "Administrator" means Administrator, Office of Compliance Programs, California Department of Fair Employment and Housing (DFEH), or any person to whom the Administrator delegates authority;
 - b. "Minority" includes:
 - (i) Black (all persons having primary origins in any of the black racial groups of Africa, but not of Hispanic origin);
 - (ii) Hispanic (all persons of primary culture or origin in Mexico, Puerto Rico, Cuba, Central or South America or other Spanish derived culture or origin regardless of race);
 - (iii) Asian/Pacific Islander (all persons having primary origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent or the Pacific Islands); and
 - (iv) American Indian/Alaskan Native (all persons having primary origins in any of the original peoples of North America and who maintain culture identification through tribal affiliation or community recognition).
2. Whenever the contractor or any subcontractor subcontracts a portion of the work, it shall physically include in each subcontract of \$5,000 or more the non-discrimination clause in this contract directly or through incorporation by reference. Any subcontract for work involving a construction trade shall also include the Standard California Construction Contract Specifications either directly or through incorporation by reference. Any subcontract for work involving a construction trade shall also include the Standard California Construction Contract Specifications, either directly or through incorporation by reference.
3. The contractor shall implement the specific non-discrimination standards provided in paragraphs 6(a) through (e) of these specifications.
4. Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom the contractor has a collective bargaining agreement, to refer either minorities or women shall excuse the contractor's obligations under these specifications, Government Code, Section 12990, or the regulations promulgated pursuant thereto.
5. In order for the nonworking training hours of apprentices and trainees to be counted, such apprentices and trainees must be employed by the contractor during the training period, and the contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor or the California Department of Industrial Relations.
6. The contractor shall take specific actions to implement its nondiscrimination program. The evaluation of the contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The contractor must be able to demonstrate fully its efforts under Steps a. through e. below:
 - a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and at all facilities at which the contractor's employees are assigned to work. The contractor, where possible, will assign two or more women to each construction project. The contractor shall specifically ensure that all leadpersons, superintendents, and other on-site supervisory personnel are aware of and carry out the contractor's obligations to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
 - b. Provide written notification within seven days to the director of DFEH when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
 - c. Disseminate the Contractor's equal employment opportunity policy by providing notice of the policy to unions and training, recruitment and outreach programs and requesting their cooperation in assisting the Contractor to meet its obligations; and by posting the company policy on bulletin boards accessible to all employees at each location where construction work is performed.

(Continue on reverse)

STATE OF CALIFORNIA
**STANDARD CALIFORNIA NONDISCRIMINATION
CONSTRUCTION CONTRACT SPECIFICATIONS**
(GOVERNMENT CODE SECTION 12990)
STD. 18 (REV. 1/86) (REVERSE)

- d. Ensure all personnel making management and employment decisions regarding hiring, assignment, layoff, termination, conditions of work, training, rates of pay or other employment decisions, including all supervisory personnel, superintendents, general leadpersons, on-site leadpersons, etc., are aware of the Contractor's equal employment opportunity policy and obligations, and discharge their responsibilities accordingly.
 - e. Ensure that seniority practices, job classifications, work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all personnel and employment related activities to ensure that the equal employment opportunity policy and the Contractor's obligations under these specifications are being carried out.
7. Contractors are encouraged to participate in voluntary associations which assist in fulfilling their equal employment opportunity obligations. The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under these specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and female workforce participation, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's.
8. The Contractor is required to provide equal employment opportunity for all minority groups, both male and female, and all women, both minority and nonminority. Consequently, the Contractor may be in violation of the Fair Employment and Housing Act (Gov. Code Section 12990 et seq.) if a particular group is employed in a substantially disparate manner.
9. Establishment and implementation of a bona fide affirmative action plan pursuant to Section 8104(b) of this Chapter shall create a rebuttable presumption that a contractor is in compliance with the requirements of Section 12990 of the Government Code and its implementing regulations.
10. The Contractor shall not use the nondiscrimination standards to discriminate, harass or allow harassment against any person because of race, color, religious creed, sex, national origin, ancestry, disability (including HIV and AIDS), medical condition (cancer), age, marital status, or denial of family and medical care leave and denial of pregnancy disability leave.
11. The Contractor shall not enter into any subcontract with any person or firm decertified from state contracts pursuant to Government Code Section 12990.
12. The Contractor shall carry out such sanctions and penalties for violation of these specifications and the nondiscrimination clause, including suspension, termination and cancellation of existing subcontracts as may be imposed or ordered pursuant to Government Code Section 12990 and its implementing regulations by the awarding agency. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Government Code Section 12990.
13. The Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company equal employment opportunity policy is being carried out, to submit reports relating to the provisions hereof as may be required by OCP and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status, (e.g., mechanic, apprentice trainee, helper or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in any easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.

California Department of Water Resources

EXHIBIT E, ATTACHMENT 4 for consultant contracts per DWR 9503
STANDARD CONTRACT PROVISIONS REGARDING
POLITICAL REFORM ACT COMPLIANCE

1. POLITICAL REFORM ACT REQUIREMENTS:

- a. Form 700 Disclosure: The Department of Water Resources (DWR) considers that the Contractor, subcontractor(s), and/or their key staff may be a consultant, i.e., a public official, within the meaning of the Political Reform Act, specifically Government Code §82048 and Title 2, California Code of Regulations §18701. Accordingly, as specified by DWR, such persons shall complete and submit to the DWR Personnel Officer a Form 700, Statement of Economic Interests, within 30 days of the earlier of the date work commences or the effective date of this agreement, updated both annually and when changes in key staff or duties occur. The financial interests disclosed shall be for Disclosure Category 1. Contractors may access the Form 700 on the Fair Political Practices Commission website at www.fppc.ca.gov. Any questions regarding completion of the Form 700 should be addressed to the FPPC at its website or at (866) 275-3772 (866/ASK-FPPC). A leaving office statement must also be filed upon completion of all contract assignments.
- b. Financial Conflict of Interest Prohibition: Contractor must review the Form 700s filed by its key staff and subcontractors and determine whether, in the light of the interests disclosed, performance under the contract could violate Government Code §87100. Contractor shall notify DWR immediately of any potentially disqualifying conflict of interest. Government Code §87100 provides:

“No public official at any level of state or local government shall make, participate in making or in any way attempt to use his official position to influence a governmental decision in which he knows or has reason to know he has a financial interest.”

- c. Consequences of Failure to Comply with Political Reform Act Requirements: Any one of the following shall constitute a breach of this Contract and shall be grounds for immediate termination of this Contract:
- (1) Failure to complete and submit all required Form 700s within the 30-day period as required in paragraph A above, or respond to any request from the DWR Personnel Officer for additional information regarding any such Form 700s;
 - (2) Failure to notify DWR of a potentially disqualifying conflict of interest;
 - (3) The determination by DWR or the Contractor that any individual, who is a contractor, subcontractor, and/or a key member of their staff, has a financial interest that could result in a violation of Government Code §87100 provided, however, that DWR may opt to waive such breach if Contractor replaces any such individual within two working days after a determination of such financial interest.

EXHIBIT E, ATTACHMENT 5
PROTECTION OF CONFIDENTIAL AND SENSITIVE INFORMATION

1. For purposes of this Exhibit, “Contractor” means any contractor or researcher, including a Non-State Entity contractor or researcher, receiving funds from, doing business with, conducting research for, or performing services for the Department of Water Resources (“Department”) pursuant to a contract, purchase order, research agreement, grant or loan agreement, joint powers agreement, public works contract, or other contractual vehicle (collectively “Contract”). The term “Contractor” also includes Contractor’s officers and employees and Affiliates. For purposes of this Exhibit, the term “Affiliate” means a person or entity forming a partnership, joint venture, subcontract, sales contract, or other legal relationship with Contractor to carry out the terms of the Contract.
2. This Exhibit shall apply to all Contractors the terms of whose Contracts with the Department require or permit access to Confidential or Sensitive Information in conducting business with the Department or performing duties under a Contract with the Department.
3. Contractor shall impose all the requirements of this Exhibit on all of its officers, employees and Affiliates with access to Confidential and/or Sensitive Information.
4. For purposes of this Exhibit, “Non-State Entity” shall mean a business, organization or individual that is not a State entity, but requires access to State information assets in conducting business with the State. This definition includes, but is not limited to, researchers, vendors, consultants, and their subcontractors, officers, employees, and entities associated with federal and local governments and other states.
5. For purposes of this Exhibit, “Confidential Information” means information, the disclosure of which is restricted or prohibited by any provision of State or federal law or which is treated as privileged or confidential under such laws. Such Confidential Information includes, but is not limited to, information that is exempt from disclosure under the California Public Records Act (Government Code sections 6250-6255), public social services client information described in California Welfare and Institutions code section 10850, and “personal information” about individuals as defined in California Civil Code Section 1798.3 of the Information Practices Act (IPA) if the disclosure of the “personal information” is not otherwise allowed by the IPA. Such Confidential Information may also include financial, statistical, personal, technical, and other data and information relating to operation of the Department.
6. For purposes of this Exhibit, “Sensitive Information” means information that requires special precautions to protect it from unauthorized modification or deletion. Sensitive information may be either public records or Confidential Information. Examples include statistical reports, financial reports, and logon procedures.
7. Contractor shall take all necessary measures to protect Confidential or Sensitive Information to which it or its Affiliates gain access from unauthorized access (accidental or intentional), modification, destruction, or disclosure. These measures may include, but are not limited to: password protection of electronic data, encrypted transmission of electronic data, and secure mailing and locked storage of paper and taped copies. Such measures may also include establishment of secure workstations and maintenance of a secure workstation access log. Contractors shall also apply appropriate security patches and upgrades and keep virus software up-to-date on all systems on which Confidential or Sensitive Information may be used.
8. Contractors shall ensure that all media, including electronic media, containing Confidential or Sensitive Information, to which they are given access are protected at the level of the most confidential or sensitive piece of data on the media.

9. Contractor and Affiliate personnel allowed access to Confidential and Sensitive Information shall be limited to those persons with a demonstrable business need for such access. Contractor shall maintain a current listing of all Contractor and Affiliate personnel with access to Confidential and Sensitive Information.
10. Contractor shall notify Department promptly if a security breach involving Confidential or Sensitive Information occurs or if Contractor becomes legally compelled to disclose any Confidential Information.
11. Contractor shall comply with all State policies and laws regarding use of information resources and data, including, but not limited to, California Government Code section 11019.9 and Civil Code sections 1798 et seq. regarding the collection, maintenance and disclosure of personal and confidential information about individuals.
12. If Contractor obtains access to Confidential Information containing personal identifiers, such as name, social security number, address, date of birth, race/ethnicity and gender of individuals, Contractor shall substitute non-personal identifiers as soon as possible.
13. All data, reports, information, inventions, improvements and discoveries used, compiled, developed, processed, stored or created by Contractor or Contractor's Affiliates using Confidential and/or Sensitive Information shall be treated as Confidential and/or Sensitive Information by the Contractor and Contractor's Affiliates. No such data, reports, information, inventions, improvements or discoveries shall be released, published or made available to any person (except to the Department) without prior written approval from the Department.
14. At or before the termination date of the Contract, Contractor shall either (a) destroy all Confidential and Sensitive Information in accordance with approved methods of confidential destruction; or (b) return all Confidential and Sensitive Information to the Department; or (c) if required by law to retain such information beyond the termination date of the contract, provide for the Department's review and approval a written description of (i) applicable statutory or other retention requirements; (ii) provision for confidential retention in accordance such requirements and the terms of this Exhibit and (iii) provision for eventual destruction in accordance with all applicable provisions of State and federal law using approved methods of confidential destruction.
15. Contractor shall cooperate with the Department's Information Security Officer or his designee in carrying out the responsibilities set forth in this Exhibit.
16. Failure to adhere to these requirements may be grounds for termination of the Contract and for imposition of civil and criminal penalties.

EXHIBIT E, ATTACHMENT 6
NON-DISCLOSURE CERTIFICATE

I hereby certify my understanding that access to Confidential and Sensitive Information is provided to me pursuant to the terms and restrictions of the Protection of Confidential and Sensitive Information, Exhibit E, Attachment X of Contract No. 460000XXXX between [REDACTED] and the California Department of Water Resources. I hereby agree to be bound by those terms and restrictions. I understand that all Confidential and Sensitive Information, as defined in the Protection of Confidential and Sensitive Information, and any notes or other memoranda, or any other form of information, electronic or otherwise that copies or discloses Confidential Information, shall not be disclosed to anyone other than in accordance with Exhibit E, Attachment X. I acknowledge that a violation of this certificate may result in termination of the Contract and/or imposition of civil or criminal penalties.

Signed: _____

Typed Name and Title: _____

Representing (give name of Contractor/Affiliate): _____

Date: _____

Instructions for Completing the DVBE Activity Report

Contractor:

1. You are responsible for reporting your company's DVBE sub-contracting activity.
2. If the DVBE services or commodities are of an ongoing nature throughout the term of the contract, you are required to provide 90-day activity reports. If the contract term is extended reports will be required for the duration of the amended term.
3. If the DVBE services or commodities are a one-time purchase and meet the commitment goal, a single report will satisfy the reporting requirement.
4. The first report is due 90 days after the date of contract execution approval.
5. When the approval process of a contract extends beyond the *intended* start date of a contract, the first report will be due 90 days after final approval. For example: August 1, 2003 is the intended contract start date. The contract approval process is not completed until September 10, 2003. The first 90-day report will be due January 10, 2004.
6. Final Activity Reports are due 14 days prior to the contract expiration date.
7. Reports must be made to both the DWR DVBE program manager and the contract's project or program manager.

Completing the DVBE Activity Report Form

1. Complete both Prime Contractor and DVBE Contractor Information; provide contact names and telephone numbers.
2. Identify the contract number associated with this report.
3. Provide the DVBE contractor's Department of General Services OSDS certification number.
4. Identify the report date and the percent subcontracted to the DVBE contractor.
5. Identify the contract amount and the DVBE sub-contracting commitment goal, shown in dollars. This dollar amount will be equal to the percent of the total contract amount for which you have agreed to sub-contract with the DVBE contractor. *Both the percent value and the commitment goal must agree with DWR 9526, originally submitted at the time of bid response.*
6. Provide the subcontractor transaction information: identify invoice or order numbers, dates the service or commodities were provided, the type of service or commodities provided by the DVBE, the amount invoiced and the date paid. Provide the total transaction amount(s) for this report.
7. The Department may request copies of paid invoices. If so, include copies of invoice(s) with submittal of this report.
8. Identify whether this report is a 90-day or final activity report. For 90-day activity reports, identify the report period.
9. Provide a status on the use of the DVBE: Are his/her services needed yet? Will services begin soon? Are the commodities on order? Are commodities needed at a later phase of the contract? If so, identify when they will be required.
10. If the DVBE has not yet been utilized, explain when and how the commitment will be achieved.
11. Provide the firm's authorized signature and title.

Email form to: SB.DVBE@water.ca.gov

or

Fax to both: DWR DVBE Advocate at (916) 654-6511
Contract Project Manager (see Exhibit E program contact information)

State of California

DEPARTMENT OF WATER RESOURCES

California Natural Resources Agency

SMALL BUSINESS AND DVBE SUBCONTRACTOR PAYMENT CERTIFICATION

Contract No. 46000

Exhibit E:

As the Department of Water Resources contractor of record for Contract 46000, I certify, in accordance with Government Code 14841 and Military and Veteran Code § 999.5, and pursuant to the terms and conditions of the contract, all payments have been made to the small business or DVBE firm(s) listed below for commodities or services rendered under this contract. I understand certification must be made to the Department of Water Resources within 60 days of receiving final payment under this Agreement. I further understand and acknowledge that falsification of this certification may result in the imposition of civil or criminal penalties for not less than \$2,500 or more than \$25,000 for each violation.

Instruction: Please copy this form to include as many Small Businesses or DVBE firms as necessary. Authorized signatures and information are required on each separately submitted form.

Return completed form to: Department of Water Resources, Attention DWR SBD/DVBE Advocate, 1416 9th Street, Room 353, Sacramento, CA 95814

Contracted Firm Name:					
Name of Firm Representative:					
Title:					
Phone:			Fax:		
Firm Address:	Street				
	City	State	Zip		
DWR Contract Number:	46000				
Total Amount Received Under this Contract:	\$		Date Final Payment Received:		

SMALL BUSINESS - DVBE SUBCONTRACTOR INFORMATION

	SB/DVBE Subcontractor	Street	Address City/State	Zip	Amount Paid	Participation Achieved
1					\$	%
2					\$	%
3					\$	%
4					\$	%

Printed Name		Signature	
Title		Report Date	

EXHIBIT F for Public Works Contracts

STATE OF CALIFORNIA

DEPARTMENT OF WATER RESOURCES

THE RESOURCES AGENCY

BIDDER'S BOND

We _____

_____, as PRINCIPAL, and

as SURETY, are held and firmly bound unto the State of California in the penal sum of TEN PERCENT (10%) OF THE TOTAL AMOUNT OF THE BID of the Principal above named submitted by said Principal to the State of California, acting by and through the Department of Water Resources, for the work described below, for the payment of which sum in lawful money of the United States, well and truly to be made, to the Director of the Department to which said bid was submitted, we bind ourselves, our heirs, executors, administrators and successors, jointly and severally, firmly by these presents.

In no case shall the liability of the surety here under exceed the sum of \$ _____.

THE CONDITION OF THIS OBLIGATION IS SUCH,

That whereas the Principal has submitted the above-mentioned bid to the State of California, as aforesaid, for certain construction specifically described as follows, for which bids are to be opened at

_____, California, on _____
(Insert name of city where bids will be opened) (Insert date of bid opening)

for _____

Copy here the exact description of work, including location, as it appears on the proposal)

NOW, THEREFORE, If the aforesaid Principal is awarded the contract and, within the time and manner required under the specifications, after the prescribed forms are presented to him for signature, enters into a written contract, in the prescribed form, in accordance with the bid, and files two bonds with the Department, one to guarantee faithful performance and the other to guarantee payment for labor materials, as required by law, then this obligation shall be null and void; otherwise, it shall be and remain in full force and virtue.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on this _____

day of _____, 19 ____.

_____ [Seal]

_____ [Seal]

_____ [Seal]

Principal

_____ [Seal]

_____ [Seal]

_____ [Seal]

Surety

Address _____

NOTE: Signatures of those executing for the surety must be properly acknowledged.

EXHIBIT H for Public Works contract

**PAYMENT BOND TO ACCOMPANY CONSTRUCTION CONTRACT
(CIVIL CODE SECTION 3247)**

BOND NO. _____

The premium on this bond is \$ _____ for the term _____

Know All Men By These Presents:

THAT The State of California, acting by and through the _____

has awarded to _____ whose address is

(CONTRACTOR / PRINCIPAL)

as Principal, a contract for the work described as follows:

WHEREAS, The provisions of Civil Code Section 3247 require that the Principal file a bond in connection with said contract and this bond is executed and tendered in accordance therewith.

NOW THEREFORE, Principal and _____, a corporation organized under the laws of _____ (SURETY), and authorized to transact a general surety business in the State of California, as Surety, are held and firmly bound to the People of the State of California in the penal sum of _____ (\$ _____), for which payment we bind ourselves, our heirs, executors, administrators, successors and assigns jointly and severally, firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH,

1. That if said Principal or its subcontractors shall fail to pay any of the persons named in Civil Code Section 3181, or amounts due under the Unemployment Insurance Code with respect to work or labor performed under the contract, or for any amounts required to be deducted, withheld, and paid over to the Employment Development Department from the wages of employees of the Principal and subcontractors pursuant to Section 13020 of the Unemployment Insurance Code, with respect to such work and labor, that the Surety herein will pay for the same, otherwise this obligation is to be void. In case suit is brought upon this bond, the Surety will pay a reasonable attorney's fee to be fixed by the court.
2. This bond shall inure to the benefit of any of the persons named in Civil Code Section 3181 as to give a right of action to such persons or their assigns in any suit brought upon this bond.
3. The aggregate liability of the Surety hereunder, including costs and attorney's fees, on all claims whatsoever shall not exceed the penal sum of the bond in accordance with the provisions of Section 996.470(a) of the Code of Civil Procedure.
4. This bond is executed by the Surety, to comply with the provisions of Chapter 7, Title 15, Part 4, Division 3 of the Civil Code and of Chapter 2, Title 14, Part 2 of the Code of Civil Procedure and said bond shall be subject to all of the terms and provisions thereof.
5. This bond may be cancelled by the Surety in accordance with the provisions of Sections 996.310 et seq. of the Code of Civil Procedure.
6. This bond to become effective _____

(NAME OF SURETY)

(ADDRESS)

I certify (or declare) under penalty of perjury that I have executed the foregoing bond under an unrevoked power of attorney.

Executed in _____ on _____

(CITY AND STATE)

(DATE)

under the laws of the State of California.



(SIGNATURE OF ATTORNEY-IN-FACT)

(PRINTED OR TYPED NAME OF ATTORNEY-IN-FACT)

EXHIBIT I for Public Works contract

(Approved by Attorney
General 10/17/68)

STATE OF CALIFORNIA
CALIFORNIA NATURAL RESOURCES AGENCY
DEPARTMENT OF WATER RESOURCES

Sec. 78(b) Title 11
Administrative Code)

PERFORMANCE BOND TO ACCOMPANY CONTRACT

WHEREAS, The State of California acting by and through the

_____, has awarded
(insert name of the Department awarding the contract)

to _____,

as principal hereinafter designated as the "Contractor," a contract for

AND WHEREAS, The Contractor is required to furnish a bond in connection with said contract guaranteeing the faithful performance thereof;

NOW, THEREFORE, We the undersigned Contractor and surety are held and firmly bound unto the State of California in the sum of

_____ dollars (\$_____), to be paid to the said State or its certain attorney, its successors and assigns; for which payment, well and truly to be made, we bind ourselves, our heirs, executors and administrators, successors or assigns, jointly and severally, firmly by these presents.

THE CONDITION OF THIS OBLIGATION IS SUCH,

That if the Contractor, his or its heirs, executors and administrators, successors or assign, shall in all things stand to and abide by, and well and truly keep and perform the covenants, conditions and agreements in the foregoing contract and any alteration thereof made as therein provided, on his or its part to be kept and performed at the time and in the manner therein specified, and in all respects according to their true intent and meaning, and shall indemnify and save harmless the State of California, its officers and agents, as therein stipulated, then this obligation shall become and be null and void; otherwise it shall be and remain in full force and effect.

IN WITNESS WHEREOF, We have hereto set our hands and seals on this day of _____, 19_____.

_____ (Seal)

_____ (Seal)
Contractor

_____ (Seal)

_____ (Seal)
Name of Surety

By _____ (Seal)
Attorney-in-Fact

[Seal]

NOTE: Signatures of those executing for surety must be properly acknowledged.

IFB/RFP PRIMARY SOLICITATION EVALUATION

DWR SOLICITATION NUMBER		DATE	
SOLICITATION TITLE/SERVICES			
BIDDER/PROPOSING FIRM NAME			
DIVISION/OFFICE		SOLICITATION DUE DATE	
EVALUATION TEAM MEMBER (PRINT NAME)			

ADMINISTRATIVE REQUIREMENTS EVALUATION	YES	NO	N/A
1. Bid received stamped/marked with date and time received?	<input type="checkbox"/>	<input type="checkbox"/>	
2. Two copies of bid package received?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Verification for Delinquent Taxes – Board of Equalization and Franchise Tax Board	<input type="checkbox"/>	<input type="checkbox"/>	
4. Two copies of original signed Bidder Certification Sheets	<input type="checkbox"/>	<input type="checkbox"/>	
5. Contractor Certifications Clauses	<input type="checkbox"/>	<input type="checkbox"/>	
6. Signed Bid Sheet (Attachment I)	<input type="checkbox"/>	<input type="checkbox"/>	
7. Resume's Submitted (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
8. References (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	
9. DARFUR Contracting Act – applicable to firms doing business outside US	<input type="checkbox"/>	<input type="checkbox"/>	
10. Firm is certified Small Business (current SB certification is included)	<input type="checkbox"/>	<input type="checkbox"/>	
11. Firm is a certified DVBE (must include certification, GSPD 05-105 and Std. 843 with bid/proposal)	<input type="checkbox"/>	<input type="checkbox"/>	
12. Firm requests Non-Small Business Calculation Preference (Form/SB certification must be included)	<input type="checkbox"/>	<input type="checkbox"/>	
13. DVBE Program Requirements (must be included when DVBE compliance is required)	<input type="checkbox"/>	<input type="checkbox"/>	
a. DWR 9526 Bidder Certification of DVBE Participation	<input type="checkbox"/>	<input type="checkbox"/>	
b. Std 843 – DVBE Declaration	<input type="checkbox"/>	<input type="checkbox"/>	
c. GSPD 05-105/05-106 Bidder Declaration	<input type="checkbox"/>	<input type="checkbox"/>	
d. DVBE Firm Certification	<input type="checkbox"/>	<input type="checkbox"/>	
14. DVBE Incentive (DVBE compliance at firm's discretion, not required if bid is exempt from DVBE program)	<input type="checkbox"/>	<input type="checkbox"/>	
a. DWR 9666 Bidder Certification of DVBE Participation	<input type="checkbox"/>	<input type="checkbox"/>	
b. Std 843 – DVBE Declaration	<input type="checkbox"/>	<input type="checkbox"/>	
c. GSPD 05-105 Bidder Declaration	<input type="checkbox"/>	<input type="checkbox"/>	
d. DVBE Firm Certification	<input type="checkbox"/>	<input type="checkbox"/>	
15. Economic Incentives Requested (TACPA – requires DGS final review/approval)	<input type="checkbox"/>	<input type="checkbox"/>	
16. Bidder's Bond Submitted (Public Works Contracts)	<input type="checkbox"/>	<input type="checkbox"/>	
17. Non-Collusion Affidavit	<input type="checkbox"/>	<input type="checkbox"/>	
18. Applicable Contractor's License (Cite License type)	<input type="checkbox"/>	<input type="checkbox"/>	
19. Valid Contractor Certifications (i.e. HAZMAT, ELAP, American Red Cross, Project Management, Vehicle Transportation)	<input type="checkbox"/>	<input type="checkbox"/>	
20. Other required documents (i.e. samples, reports, plans, exhibits, marketing/promotional)	<input type="checkbox"/>	<input type="checkbox"/>	

IFB/RFP PRIMARY SOLICITATION EVALUATION

COST EVALUATION, RANKING, AND ECONOMIC INCENTIVE PROGRAMS APPLICATION:

FIRM NAME:			
Bid Amount:	\$		
Initial Bid Ranking:			
SB Calculation Preference Amount: (Not to exceed \$50,000)	\$		
NSB Calculation Preference	\$		
DVBE Incentive Amount: (Not to exceed \$50,000)	\$	DVBE Incentive	%
Bid Total after application of SB Preferences and/or DVBE Incentive:	\$		
Amount of Other Economic Preferences (TACPA)	\$		
Final Adjusted Bid Total	\$		
Final Bid Ranking:			
BID REJECTED FOR THE FOLLOWING REASON(S):			
Evaluator Signature and Date:	Signature:	Date:	

Note: Combined incentives/preferences cannot exceed a total of \$100,000.

Evaluator Additional Notes/Comments:

IFB/RFP PRIMARY SOLICITATION EVALUATION

INSTRUCTIONS

Suggested Evaluation Team Composition:

- 1) CSO or Field Division Lead Evaluation Team member
- 2) CSO or Field Division Alternate Team member
- 3) CSO Quality Control Lead (Optional)
- 4) Program Lead Evaluation Team member
- 5) Program Alternate Evaluation Team member (Optional)
- 6) DWR SB/DVBE Program Manager (for FD bids if Bidder Notification of Compliance is absent, DVBE documents must be reviewed by the SB/DVBE Program Manager)

Evaluation Set-Up

- 1) Prepare an evaluation sign-in sheet with bid name, number and date.
- 2) Have each member of the evaluation team sign-in.
- 3) Provide each team member with a set of evaluation forms for each bid received.
- 4) Provide at least 2 calculators to verify bid price/bid item cost accuracy

Administrative Evaluation

During the Administrative Evaluation phase, team members review the bid for compliance for required administrative components. Bids with material deviations are rejected and evaluation of that bid ceases with each team member stating the reason for rejection. Below identifies what is a material and immaterial deviation.

Administrative Item

Determination if not included

- | | |
|---|---|
| 1) One copy of bid package received: | Immaterial deviation |
| 2) Verify bidder is not listed as tax delinquent on the BOE and the FTB website.
Check: (http://www.boe.ca.gov/cgi-bin/delinq.cgi and
https://www.ftb.ca.gov/about/FTB/Delinquent_Taxpayers.shtml) | Material deviation if listed on either site |
| 3) One copy of original signed Bidder Certification: | Immaterial deviation |
| 4) Contractor Certification Clauses (previously filed/signed copy acceptable): | Immaterial Deviation |
| 5) Unsigned Bid Sheet: | Material deviation |
| 6) Resume's (if applicable) | Material deviation |
| 7) References (if required) | Material deviation |
| 8) DARFUR Contracting Act (applies to firms doing business outside the US) | Immaterial deviation |
| 9) Bidder's Bond (applicable to Public Works Contracts) | Material deviation |
| 10) Non-Collusion Affidavit (when required) | Material deviation |
| 11) Applicable Contractor's License (when required) | Material deviation |
| 12) Valid Contractor Certifications (when required) | Material deviation |

SB/DVBE and Other Economic Incentive Programs

- | | |
|---|----------------------|
| 1) Small Business Certification (can be confirmed through OSDS) | Immaterial deviation |
| 2) Non-SB Preference Calculation Request, (unless firm asks for Non-SB Pref.) | Immaterial deviation |
| 3) DWR DVBE 9526 Bidder Certification of DVBE Participation | Material deviation |
| 4) DWR DVBE 9666 DVBE Incentive Program (when applicable) | Immaterial deviation |
| 5) Std. 843, DVBE Declaration | Material deviation |
| 6) GSPD 05-105, Bidder Declaration | Material deviation |
| 7) DVBE Firm Certification | Material deviation |
| 8) DVBE Incentive – at firm's discretions - all above DVBE documents must be included in order to receive the Incentive. | |
| 9) TACPA – at firm's discretion, if application results in bidder deemed low bid – must go to DGS-PD, Dispute Resolution for final evaluation and approval. | |

Bid/Proposal Price Evaluation

- 1) At least two evaluation team members must verify bidder price accuracy; inaccurate bid sheets are corrected; the bidder is notified after the evaluation and the corrected bid sheet must be initialed by the bidder.
- 2) SB Preference: Apply 5% SB preference to certified SB using the Non-SB low bid price.
- 3) DVBE incentive: Apply incentive to each firm proposing DVBE participation; low bidder incentive is based on their DVBE commitment level applied to their bid price.
 - DVBE incentive proposed by the Non-SB cannot be used to displace a certified SB; during the RFP Secondary evaluation process, application of the DVBE incentive can displace a small business with a non-small business.
- 4) TACPA incentives are considered when firm submits the Std. 830; bidder documents must go to DGS-PD, Dispute Resolution for final evaluation, authentication and approval.
- 5) Order of preference application: Small Business; Non- small business; DVBE Incentive; TACPA