

**CONTRACT REQUEST FORM (Form No. SWRCB 3-020 Rev. 4/10)**  
**INSTRUCTIONS FOR COMPLETION**

The Contract Request Form along with the Contract Request Form Attachment identifies all necessary information required to process a contract and is used when preparing an initial contract request, amending a contract, or realigning contract funds. This form must have the **original signature** of staff authorized to sign Contract Request Forms for your Division or Regional Board. After you have completed the form, retain a copy for your records and forward the original signed copy along with your Contract Request Package to the Contracts Section for processing.

<b>Box 1</b>	Leave Blank
<b>Box 2</b>	Be sure to use contractor's legal name. Example: UC Davis is "Regents of the University of California, Davis"; CSUS is "Trustees of the California State University, Sacramento." If the contractor is a Limited Liability Partnership (LLP) or a corporation (Inc.) include LLP or Inc. with the name. If the contractor's name includes "doing business as" (AKA "dba") include the complete name (e.g. Lewis and Clark dba Trailblazers).
<b>Box 3</b>	<p>Only include a contract number if processing an amendment or an encumbrance adjustment (known as an E-doc). If processing an amendment indicate the amendment number in block 3A.</p> <p align="center"><u>Amendment Example:</u> 09-123-600 [3]  <u>E-doc Example:</u> 09-123-300-E-1</p> <p>E-docs are for fund shifts only from one PCA/ or Object Code/or Task # to another within the same fiscal year.</p> <p><b><u>E-docs cannot be used to:</u></b></p> <ul style="list-style-type: none"> <li>• Disencumber funds when the contract is still active, to do so requires a formal contract amendment.</li> <li>• Increase the contract amount, to do so requires a formal contract amendment.</li> <li>• Shift funds from one fiscal year to another, to do so requires a formal contract amendment</li> </ul>
<b>Box 4</b>	If the contractor is using a PO Box also include the physical address.
<b>Box 5</b>	Enter the e-mail address of the contractor's project director. The project director would be the contract manager's counterpart who would be overseeing/managing the contracted project on behalf of the contractor.
<b>Box 6</b>	Self-explanatory
<b>Box 7</b>	Self-explanatory
<b>Box 8</b>	Enter the name and phone number of the individual to be assigned as the contract contact. This person will act as the liaison between the contract manager and the contract office. This person is responsible for the administrative aspect of the contract. The contract manager can be both contract contact and contract manager. If this is the case then enter "same." [An individual in the capacity of a contract contact must have attended the Board's contract training.] Provide an original signature and date.
<b>Box 9</b>	Enter the name of the individual that would be overseeing the project on behalf of the contractor. This person would be equivalent to the Board's Contract Manager.
<b>Box 10</b>	<p>Enter the name of the individual who is authorized by the Regional Executive Officer or Division Chief to be assigned as the Contractor Manager. The Contract Manager must have completed the SWRCB Contract Manager Training Course. A list of qualified Contract Managers and Contract Contacts can be found on the Contracts Section website:  <a href="http://waternet/das/html/bm_contracts.htm">http://waternet/das/html/bm_contracts.htm</a></p> <p>Provide an original signature and date.</p>
<b>Box 11</b>	Enter the name and phone number of the individual assigned by the contractor. This person is responsible for the administrative aspect of the contract. The contractor may assign one individual to serve as both Project Director and Administrative Representative.

**CONTRACT REQUEST FORM (Form No. SWRCB 3-020 Rev. 4/10)**  
**INSTRUCTIONS FOR COMPLETION**

<b>Box 12</b>	Type or Print and provide an original signature of the Regional Executive Officer or Division Chief. If signature authority has been designated the designee must be on file with the Contracts Office to sign contract request forms.
<b>Box 13</b>	For private-for-profit contractors provide the federal employer identification number (FEIN). If the contractor is an individual and does not have a FEIN provide their social security number. For State and Local governmental entities FEIN numbers <u>now</u> must be obtained in order to register the approved contract with the State Contract & Procurement Registration System (SCPRS).
<b>Box 14</b>	If the contract award was based on a competitive bid or NCB and the contractor is a certified disabled veteran business enterprise (DVBE) check yes; if not, check no. (NOTE: A DVBE may have qualified to be both a DVBE and a California certified small business. If this is the case check yes in box 14 and yes in box 15.) If the contractor is an "exempt contractor" check N/A.
<b>Box 15</b>	If the contract award was based on a competitive bid or NCB and the contractor is a California certified small business check yes; if not, check no. If the contractor is an "exempt contractor" check N/A.
<b>Box 16</b>	If the authority to contract is pursuant to the BOARD's blanket resolution indicate current resolution 2002-0105. If the authority is pursuant to a special resolution indicate the special resolution number and submit a copy of the signed resolution. Do not indicate numbers of resolutions approved at the regional board level.
<b>Box 17 New Contract</b>	[Note: multiple boxes may apply]  Examples: <ul style="list-style-type: none"> <li>• If the contract is with another California State agency and is contracting with the BOARD to provide services and reimburse the BOARD for those services check the boxes for interagency agreement and Reimbursable.</li> <li>• If the contract is with a private entity and the private entity is paying the BOARD to provide services check only the box for Reimbursable.</li> <li>• If the contract is with a private entity to provide services that have been provided previously by the same contractor or different contractor check boxes for Standard and Renewal and provide the prior contract number.</li> </ul>
<b>Box 17 Amendment</b>	[Note: multiple boxes may apply]  Examples: <ul style="list-style-type: none"> <li>• Adding funds means adding work</li> <li>• Reduce funds means decrease in work</li> </ul> <p>If amending a bid or NCB contract to extend time; or add funds; or add work may require NCB approval from DGS, Procurement Division.</p>
<b>Box 18</b>	For a new contract indicate the project title (e.g. Laboratory Analysis. To detect Total Maximum Daily Loads within the northern California rivers.)  For Amendments explain what is being amended and why, an example would be:  "Laboratory Analysis. The purpose of this amendment is to expand the scope of work to include central California rivers; add additional funds for additional analysis and extend the time for one year in order to complete all work."
<b>Box 19</b>	For new contracts enter the contract amount. The contract amount must be the same amount that will be displayed in the contractor's line item budget.  For amendments, only indicate the amount of funds to be added.
<b>Box 20 Term Start Date</b>	If the contract amount is in excess of \$50,000 it will require the approval of DGS/OLS unless DGS approval is exempt per the appropriate water code. For contracts requiring DGS approval the start date should be indicated as "Upon DGS approval." If the contract is a "consulting" contract the start date must be "Upon DGS approval" if required or "Upon

**CONTRACT REQUEST FORM (Form No. SWRCB 3-020 Rev. 4/10)  
INSTRUCTIONS FOR COMPLETION**

	<p>SWRCB approval” if the contract is not more than \$50,000. For non-consulting service contracts the same would apply. If for some reason the contract must have a start date this is considered as a “hard start date.” A hard start date should not be indicated unless you are sure that the contract will be processed and approved prior to the start date. If you need a hard start date and you know that the contract will not be approved by the hard start date, contact your contract analyst for assistance in processing a justification. For DGS to approve a contract after the hard start date requires justification signed off by the Board’s Executive Director/or Agency Secretary. <b>Exception:</b> If the contract award was based on an “Emergency Basis” per PCC 1102 indicate the date in which work began.</p>
<p><b>Box 20 End Date</b></p>	<p>When determining an end date take into consideration the fiscal year in which the contract will be funded from. The general rule is that you would have one year to encumber and two years to expend. <b>Example:</b> If a consulting contract is funded from the 09/10 FY and the contract was approved at anytime within the 09/10 FY the contract end date should not go beyond 3/31/2012. The 3/31//2012 end date will ensure that all invoices will be received in sufficient time before the 09/10 FY funds revert on 6/30/2012. <b>Note:</b> Only contracts that are consulting or have an “end-product” allows for funds to cross over fiscal years. Contracts where there are no end-products are considered to be a “service” contract. Service contracts must be paid from the fiscal year in which the services were performed. Service contracts do not allow funds to cross over fiscal years.</p>
<p><b>Box 21</b></p>	<p>Provide the date you want to extend the contract term. Be sure to enter the initial term of the contract in Box 20 also. Prior to amending to extend the end date take into consideration if funds will revert prior to the amended end date; would extending the end date go beyond the time frame stated in the Board’s/or contractor’s resolution; or require NCB approval.</p>
<p><b>Box 22</b></p>	<p>Indicate: PCA number from which the contract funds will be charged; funding source (e.g., WDPF, USTCF, CF-MTBE; IDC); and the fiscal year(s) in which funds will be encumbered.</p> <p><u>Amendment to add funds:</u> if amending a contract to add funds then only indicate the information for the amended dollar amount.</p> <p><b>Note:</b> If the contract is being funded by more than 1 regional board/or division you must obtain the signature of each Regional Executive Officer or Division Chief.</p>