

AB20: Forms.....and More Forms

New Processes for State Proposals – CA Assembly Bill 20 (AB20)

Presenter

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Sponsored Projects Office

Required Proposal Elements for State Proposals

State/University Proposal Cover Sheet

Exhibit A - Scope of Work

Exhibit A1 - Schedule of Deliverables

Exhibit A2 - Key Personnel

Exhibit A3 - Authorized Representatives and Notices

**Exhibit A4 - Use of Preexisting Data,
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Exhibit A5 - Curriculum Vitae (CV)/Résumé

Exhibit A6 - Current & Pending Support

Exhibit B - Budget Estimate for Proposed Project Period

Exhibit B1 - Budget Justification

Exhibit B2 - Subcontractor Budgets



What You Should Know:

1. The ARB proposal process requires much more detail in an effort to clarify the expectations of UC and the State, avoid misunderstandings, and to reduce award acceptance delays
2. Ensure you and your PI are using the most current AB20 proposal guidelines and proposal forms
3. Start early and ask questions
4. The proposal Exhibits will now become a part of the final award

Proposal Cover Sheet

Cover Sheet					
University Proposal to State					
Proposal to:	<state agency>			Due date:	<date>
	<state agency address>			Submitted:	<date>
State agency contact:	<contact name>		Phone #:	<contact phone#>	
	<contact title>		Email:	<Email>	
Project title:	<title>				
Funding amount:	<project cost>				
Project period:	<start date>	to	<end date>		
IT Activity/Component?	No	<input checked="" type="checkbox"/>	Yes	<i>Explain in coversheet addendum</i>	
University PI:	<PI name>		Phone #:	<contact phone#>	
	<University>		Email:	<Email>	
	<Department>				
	<address>				
Authorized University Official:	<AO name>		Alternate contact:	<Alternate contact name>	
	<address>			<contact phone#>	
	<telephone>			<Email>	
	<Email>				
<i>I certify that this proposal is compliant with the State & University Proposal and Administration Manual and that the Principal Investigator has approved the Scope of Work and Proposed Budget Estimate, which are compliant with University Policy.</i>					
Authorized Official Signature					
<AO name>			Date: <date>		
<AO title>					

Proposal Cover Sheet

REMINDERS:

- 1) All Proposals are required to be accompanied by a completed Proposal Cover Sheet
- 2) Cover Sheet must be signed by the PI and SPO
- 3) Electronic Signature may be acceptable only if allowed by the Solicitation
- 4) Use format template found in SUPAM



EXHIBIT A - Scope of work

Exhibit A

Project Summary & Scope of Work

Project Summary/Abstract

Briefly describe the long-term objectives for achieving the stated goals of the project.

If Third-Party Confidential Information is to be provided by the State:

- Performance of the Scope of Work is anticipated to involve use of third-party Confidential Information and is subject to the terms of this Agreement; **OR**
- A separate CNDA between the University and third-party is required by the third-party and is incorporated in this Agreement as Exhibit A7.

Scope of Work

Describe the goals and specific objectives of the proposed project and summarize the expected outcomes. If applicable, describe the overall strategy, methodology, and analyses to be used. Include how the data will be collected, analyzed, and interpreted as well as any resource sharing plans as appropriate. Discuss potential problems, alternative strategies, and benchmarks for success anticipated to achieve the goals and objectives.

EXHIBIT A – SCOPE OF WORK

REMINDERS:

- 1) UC is not required to submit a Word version of the Scope of Work (Exhibit A)
- 2) At the award stage, State will complete the section:

If Third-Party Confidential Information is to be provided by the State:

- Performance of the Scope of Work is anticipated to involve use of third-party Confidential Information and is subject to the terms of this Agreement; **OR**
- A separate CNDA between the University and third-party is required by the third-party and is incorporated in this Agreement as Exhibit A7.

- 3) Exhibit A is MANDATORY



Exhibit A1– Schedule of Deliverables

Exhibit A1

SCHEDULE OF DELIVERABLES

List all items that will be delivered to the State under the proposed Scope of Work. Include all reports, including draft reports for State review, and any other deliverables, if requested by the State and agreed to by the Parties.

Deliverable*	Description	Due Date
The following Deliverables** are subject to paragraph 18. Copyrights, Section B of Exhibit C		

* If use of any Deliverable is restricted or is anticipated to contain Preexisting Data or copyrightable works with any restricted use, it will be clearly identified in Exhibit A4, Use of Preexisting Data, Copyrighted Works and Deliverables. For deliverables entered in this first section, copyright shall remain with the University with a license to the State in accordance with Exhibit C, Paragraph 18.A.

** Deliverables entered below this line provide copyright to the State agency with a license to the University in accordance with Exhibit C, Paragraph 18.B.

Exhibit A1– Schedule of Deliverables

REMINDERS:

- 1) List all items that will be delivered to the State under the proposed Scope of Work including all reports and draft reports
- 2) All deliverables must be agreed upon by the State and the PI
- 3) Items listed on the top half of the form will result in copyrights to such deliverables owned by UC.
- 4) Items listed on the bottom half of the form will result in copyright to such deliverables owned by the State. This should be rare.
- 5) The State will receive a nonexclusive royalty-free license to every item listed as a Deliverable.
- 6) Exhibit A1 is MANDATORY



Exhibit A2 – Key Personnel

Exhibit A2

KEY PERSONNEL

Last Name, First Name	Institutional Affiliation	Role on Project
PI:		
<i>Last name, First name</i>	<i>Institutional affiliation</i>	<i>Role on the project</i>
Co-PI(s) – if applicable:		
<i>Last name, First name</i>	<i>Institutional affiliation</i>	<i>Role on the project</i>
<i>Last name, First name</i>	<i>Institutional affiliation</i>	<i>Role on the project</i>
Other Key Personnel (if applicable):		
<i>Last name, First name</i>	<i>Institutional affiliation</i>	<i>Role on the project</i>
<i>Last name, First name</i>	<i>Institutional affiliation</i>	<i>Role on the project</i>

EXHIBIT A2 – KEY PERSONNEL

REMINDERS:

- 1) Changes to personnel listed on this Exhibit during an award period will require State agency approval!
- 2) List people sparingly. Use additional consecutively numbered pages as necessary.
- 3) Resumes/CVs (Exhibit A5) and Current & Pending (Exhibit A6) will be required for all Key Personnel.
- 4) Exhibit A2 is MANDATORY



Exhibit A3 - Authorized Representatives and Notices

Exhibit A3

AUTHORIZED REPRESENTATIVES AND NOTICES

The following individuals are the authorized representatives for the State and the University under this Agreement. Any official Notices issued under the terms of this Agreement shall be addressed to the Authorized Official identified below, unless otherwise identified in the Agreement.

Changes in the University Principal Investigator are subject to the Key Personnel section of this Agreement. Changes in other contact information may be made by notification, in writing, between the parties.

State Agency Contacts	University Contacts
Agency Name: <Agency Name>	University Name: <University Name>
<i>Contract Project Manager (Technical)</i>	<i>Principal Investigator</i>
Name: <Name> <Title>	Name: <Name> <Title>
Address: <Department>	Address: <Department>

Exhibit A3 - Authorized Representatives and Notices

REMINDERS:

Authorized Official = 's Jyl Baldwin

Administrative Contact = 's SPO CGO

Authorized Financial Contact/Invoicing = 's Youssef Kubis

- 1) State representatives will be populated at the award stage.
- 2) Exhibit A3 is MANDATORY



Exhibit A4 - Use of Preexisting Data, Copyrighted Works and Deliverables

Exhibit A4

USE OF PREEXISTING DATA, COPYRIGHTED WORKS AND DELIVERABLES

If the either Party will be using any third-party or pre-existing data or copyrighted works that have restrictions on use, then list all such data or copyrighted works and the nature of the restriction below. If no third-party or pre-existing data or copyrighted works will be used, check "none" in this section.

- A. State: Preexisting Data and/or copyrighted works to be provided to the University from the State or a third party for use in the performance in the Scope of Work.

None or List:

Owner (State Agency or 3 rd Party)	Type of Data or copyrighted work (Restricted or Unrestricted)	Description	If Restricted, nature of restriction:

- B. University: Use of Preexisting Data or copyrighted works included in Deliverables identified in Exhibit A1.

None or List:

Owner (University or 3 rd Party)	Type of Data or copyrighted work (Restricted or Unrestricted)	Description	If Restricted, nature of restriction:

- C. Anticipated restrictions on use of Project Data.
If the University PI anticipates that any of the Project Data generated during the performance of the Scope of Work will have a restriction on use (such as subject identifying information in a data set) then list all such anticipated restrictions below. If there are no restrictions anticipated in the Project Data, then check "none" in this section.

None or List:

Exhibit A4 - Use of Preexisting Data, Copyrighted Works and Deliverables

REMINDERS:

- 1) State will complete Section (a) at the Award Stage
- 2) PI will need to complete Section (b) identify any pre-existing data or copyrighted works owned by UC that will be delivered to the State agency under the Deliverables listed in Exhibit A1
- 3) PI will need to complete Section (c) identifying any anticipated Project Data restrictions
- 4) If None, then check None – DO NOT LEAVE BLANK
- 5) Exhibit A4 is MANDATORY



Exhibit A5 - CURRICULUM VITAE (CV) / RÉSUMÉS / BIOSKETCH

Exhibit A5

CURRICULUM VITAE (CV) / RÉSUMÉS / BIOSKETCH

See attached for CV/Résumé/Biosketch for Key Personnel listed in Exhibit A2.

Exhibit A5 - CURRICULUM VITAE (CV) / RÉSUMÉS / BIOSKETCH

REMINDERS:

- 1) Only include CV/Resumes/Biosketches for Key Personnel identified in Exhibit A2
- 2) Follow order listed in Exhibit A2 – Key Personnel
- 3) No particular format required unless specified by solicitation
- 4) Exhibit A5 is MANDATORY



Exhibit A6 - Current & Pending Support

Exhibit A6

CURRENT & PENDING SUPPORT

(Will be incorporated, if applicable.)

University will provide current & pending support information for Key Personnel identified in Exhibit A2 at time of proposal and upon request from State agency. The "Proposed Project" is this application that is submitted to the State. Add pages as needed.

PI: NAME					
Status (currently active or pending approval)	Award # (if available)	Source (name of the sponsor)	Project Title	Start Date	End Date
Proposed Project					
CURRENT					
CURRENT					
PENDING					

NAME					
Status	Award #	Source	Project Title	Start Date	End Date
Proposed Project					
CURRENT					
CURRENT					
PENDING					

NAME					
Status	Award #	Source	Project Title	Start Date	End Date
Proposed Project					
CURRENT					
CURRENT					
PENDING					

Exhibit A6 – CURRENT & PENDING SUPPORT

REMINDERS:

- 1) Follow format from Exhibit A6 template. Do NOT include percentage of effort or \$ Amount
- 2) Only include Current and Pending of Key Personnel listed in Exhibit A2
- 3) Follow order listed in Exhibit A2 – Key Personnel
- 4) Exhibit A6 is MANDATORY



EXHIBIT B – BUDGET

Principal Investigator (Last, First):		PI, Joe			Exhibit B	
COMPOSITE BUDGET: ESTIMATE FOR ENTIRE PROPOSED PROJECT PERIOD						
		07/01/2015	to	06/30/2018		
		From: 7/1/15	7/1/16	7/1/17		
		To: 6/30/16	6/30/17	6/30/18		
BUDGET CATEGORY		Year 1	Year 2	Year 3		TOTAL
PERSONNEL: <i>Salary and fringe benefits.</i>		\$343,944	\$318,764	\$171,821	\$0	\$834,529
TRAVEL		\$39,384	\$39,384	\$19,692	\$0	\$98,460
MATERIALS & SUPPLIES		\$7,500	\$7,875	\$4,134	\$0	\$19,509
EQUIPMENT		\$12,000	\$0	\$0	\$0	\$12,000
CONSULTANT		\$52,850	\$52,850	\$36,050	\$0	\$141,750
SUBRECIPIENT		\$80,000	\$105,000	\$70,000	\$0	\$255,000
OTHER DIRECT COSTS (ODC)	<i>Subject to ODC Calc</i>					
Scholarship	N	\$200,000	\$200,000	\$100,000	\$0	\$500,000
Server Maintenance	Y	\$2,500	\$2,625	\$2,756	\$0	\$7,881
ODC #3	Y	\$0	\$0	\$0	\$0	\$0
ODC #4	Y	\$0	\$0	\$0	\$0	\$0
ODC #5	Y	\$0	\$0	\$0	\$0	\$0
ODC #6	Y	\$0	\$0	\$0	\$0	\$0
TOTAL DIRECT COSTS		\$738,178	\$726,498	\$404,454	\$0	\$1,869,130

EXHIBIT B - BUDGET

REMINDERS:

1. Only the Summary of Project Costs Excel Worksheet tab will be incorporated into the Agreement
2. Detailed budget worksheets that feed the summary page of the workbook will be submitted with the proposal for State agency review.
3. You may use your own budget template workbook only if it contains all of the budget items from the SUPAM template
4. Exhibit B is MANDATORY



INDIRECT COSTS

Changes to Indirect Costs: The Chancellors of each UC campus, along with the CFO of UCOP, and the leadership of the CSU system, have agreed to implement the following indirect cost rate structure (“*AB20 F&A Rate Chart*”) for State agreements (which do not contain federal funding):

Facilities	Administration	Total Rate	Base	Effective Date
0%	25%	25%	MTDC	January 1, 2016
5%	25%	30%	MTDC	July 1, 2017
10%	25%	35%	MTDC	July 1, 2018
15%	25%	40%	MTDC	July 1, 2019

*Important Note - **The rate in effect for the first year of a multi-year project will be the rate used for the entire project** in proposed and awarded budgets. If additional funds (not previously appropriated or budgeted) are awarded; this new budget would use the rate in effect at the time the budget is submitted.*

However, the appropriate UC federally negotiated F&A Rate will apply to State agency awards made with federal funding per 2 CFR 200.331(a)(4).

INDIRECT COSTS

REMINDERS:

- 1) All UC campuses will implement the same rate structure and process
- 2) 25% MTDC IDC rate for ALL projects.
- 3) For on-campus projects, IDC shall escalate up to 40% over the next 4 years
- 4) For State projects funded directly by federal funds, use the full UC Berkeley F&A rate



EXHIBIT B1 – BUDGET JUSTIFICATION

Exhibit B1 Budget Justification

The Budget Justification will include the following items in this format.

Personnel

Name. Starting with the Principal Investigator list the names of all known personnel who will be involved on the project for each year of the proposed project period. Include all collaborating investigators, individuals in training, technical and support staff or include as “to be determined” (TBD).

Role on Project. For all personnel by name, position, function, and a percentage level of effort (as appropriate), including “to-be-determined” positions.

Fringe Benefits.

In accordance with University policy, explain the costs included in the budgeted fringe benefit percentages used, which could include tuition/fee remission for qualifying personnel to the extent that such costs are provided for by University policy, to estimate the fringe benefit expenses on Exhibit B.

Travel

Itemize all travel requests separately by trip and justify in Exhibit B1, in accordance with University travel guidelines. Provide the purpose, destination, travelers (name or position/role), and duration of each trip. Include detail on airfare, lodging and mileage expenses, if applicable. Should the application include a request for travel outside of the state of California, justify the need for those out-of-state trips separately and completely.

Materials and Supplies

Itemize materials supplies in separate categories. Include a complete justification of the project’s need for these items. Theft sensitive equipment (under \$5,000) must be justified and tracked separately in accordance with State Contracting Manual Section 7.29.

Equipment

List each item of equipment (greater than or equal to \$5,000 with a useful life of more than one year) with amount requested separately and justify each.

Consultant Costs

Consultants are individuals/organizations who provide expert advisory or other services for brief or limited periods and do not provide a percentage of effort to the project or program. Consultants are not involved in the scientific or technical direction of the project as a whole.

Provide the names and organizational affiliations of all consultants. Describe the services to be performed, and include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs.

Subawardee (Consortium/Subrecipient) Costs

Each participating consortium organization must submit a separate detailed budget for every year in the project period in Exhibit B2 Subcontracts. Include a complete justification for the need for any subawardee listed in the application.

EXHIBIT B1 – BUDGET JUSTIFICATION

REMINDERS:

1. You must use the Budget Justification template in the SUPAM.
2. Exhibit B1 is MANDATORY



EXHIBIT B2 – Subcontractor Budgets

REMINDERS:

1. Use a new Excel Budget Worksheet for each Sub
2. Use a new Budget Justification template (found in the SUPAM) for each Sub
3. Follow normal IDC rules as applied to Subaward versus Contractors/Vendors
4. Exhibit B2 is MANDATORY – If there are Subcontractor on the project



RESOURCES

- 1) The AB20 Model Agreement and required Proposal forms and exhibits can be located on the State of California, Department of General Services (DGS) website at:

<http://www.dgs.ca.gov/ols/Resources/ModelContractLanguageUniversities.aspx>

- 2) As always, you have a dedicated SPO Contracts & Grants Officer who can discuss the new AB20 processes and templates with you.

- 3) On February 1, 2016, the UC Office of the President provided formal guidance – see (Guidance Memo 16-01 and its attachments) located at:

http://researchmemos.ucop.edu/index.php/site/memoDetail/memo_id/RPAC%2016-01.

UCOP will continue to provide updated materials on this AB20 dedicated webpage