

**AB20
and
Collaboration Between California's State
Agencies and University Systems**

CSU Water Resources and Policy Initiatives Conference
CSU Sacramento
June 7, 2012

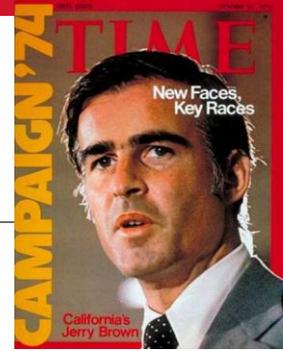
Sue DeRosa - Director of Sponsored Programs – CSU Chancellor's Office

Summary



AB20 History

- Changes in State/University Contract Negotiation Processes
- Training & Outreach



History

AB20 requires DGS on behalf of the State to negotiate a model agreement with the CSU and UC, outlining specific provisions to be included in the agreement.

- AB20 signed by the Governor in 2009
- UC/CSU contacted by DGS in December 2009
- First meeting in January 2010, with monthly meetings through June 30, 2011, with periodic conference calls to date
- In the home stretch – with anticipated completion during calendar year 2012

AB20 – DGS/State and University Collaborative Effort

Process has been complex and time consuming, but has potentially huge rewards

- Education – both ways – has been the best take away
- Learning more about challenges from past contracts has informed many of the provisions
- Developing more context around how the State agencies and Universities can best work together has spawned the development of a proposal and administration guideline

Process Changes

With AB20 negotiated terms and conditions, the process of negotiating a contract will revolve almost entirely around the scope of work (SOW) and the budget for each project.

Bring the university sponsored programs office into the process early!

- **Proposal** – A technical and cost proposal will be required before any agreement will be processed by a State agency
- **Technical Proposal/Scope of Work** – Focus on work and deliverables
- **Cost Proposal/Budget Template**– Budget template and summary of costs – summary of project costs will be incorporated into the agreement



Proposal

The technical proposal will become the scope of work for the project, so keep that in mind when drafting the proposal. In addition to the proposal narrative, it will be important to focus on deliverables, which will be identified in Exhibit A of the Proposal (and the Agreement):

- **Exhibit A** – Proposal/SOW
- **Exhibit A1**– Schedule of Deliverables
- **Exhibit A2**– Key Personnel
- **Exhibit A3**– Contacts
- **Exhibit A4**– Pre-existing Data

Exhibit A – Proposal/SOW

Proposal narrative – will be attached to Agreement as the SOW

Exhibit A

Project Summary & Scope of Work

Project Summary/Abstract

State the proposal's broad, long-term objectives and specific aims, making reference to the relevance to the mission of the agency. Describe concisely the methods for achieving the stated goals.

Third-Party Confidential Information

To be completed by State agency prior to award.

- 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

Enter SOW

Exhibit A1 – Schedule of Deliverables

University and State collaboration on deliverables required under the Agreement.

Exhibit A1

SCHEDULE OF DELIVERABLES

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.*

Exhibit A2– Key Personnel

University PI identifies the Key Personnel in the proposal. Resumes/CVs will be required for all 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 A3– Contacts

Contacts or individuals authorized to receive notices on behalf of their entity. At a minimum, will include contact information representing each entity: Principal Investigator/Project Manager, authorized official, contract administrator and fiscal analyst.

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 A4– Pre-existing Data

Identify any pre-existing data that will be delivered to the State agency (identified in Exhibit A1). Indicate if there are any restrictions on use – especially important for 3rd party data.

Exhibit A4			
USE OF PREEXISTING DATA, COPYRIGHTED WORKS AND DELIVERABLES			
<p>A. 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.</p> <p><input type="checkbox"/> None or <input type="checkbox"/> List:</p>			
+	+		
Owner (State Agency or 3 rd Party)	Type of Data or copyrighted work (Restricted or Unrestricted)	Description	If Restricted, nature of restriction:
<i>To be completed by State agency prior to award.</i>			
<p>B. Use of Preexisting Data or copyrighted works included in Deliverables identified in Exhibit A1.</p> <p><input type="checkbox"/> None or <input type="checkbox"/> List:</p>			
Owner (University or 3 rd Party)	Type of Data or copyrighted work (Restricted or Unrestricted)	Description	If Restricted, nature of restriction:

Cost Proposal/ Budget Template – Exhibit B

- Summary of project costs will be incorporated into the agreement.
- Detailed budget worksheets that feed the summary page of the workbook will be submitted with the proposal for State agency review.
- A budget justification template is also provided as Exhibit B1.
- Coordination with the university sponsored programs office will facilitate the process.



Training & Outreach

- The implementation of the AB20 model State/ University agreement may be a culture shift – most notably will be the State and University Proposal and Administration Manual (SUPAM)
- CSU and UC outreach to faculty and staff
 - Including training to research administrators at a joint CSU/UC research administration meeting
- May consider recording a web-based training session for University and State agency personnel



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