

SERVICE LEVEL AGREEMENT:

University of Arkansas for Medical Sciences

OFFICE OF SPONSORED PROGRAMS ADMINISTRATIVE NETWORK (OSPAN)

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Section I

General Information and Objectives SLA Purpose and Expectations

The purpose of this Service Level Agreement (SLA) is to establish the foundation for a cooperative partnership between the OFFICE OF SPONSORED PROGRAMS ADMINISTRATIVE NETWORK (OSPAN) and other stakeholders.

This SLA will outline:

- The services that OSPAN offers and the working relationship between OSPAN and all stakeholders.
- The key performance indicators used to measure the quality of services provided.

OSPAN Mission

OSPAN's mission is to provide sponsored programs administration to all stakeholders of the University of Arkansas for Medical Sciences. OSPAN will be staffed by experts in sponsored program administrative services.

OSPAN Vision

Conducting the administrative business of sponsored awards so stakeholders can perform the sponsored program objectives.

OSPAN Guiding Principles

1. **Service:** Excellent service is at the core of the Center.
2. **Communication:** OSPAN staff will provide clear and transparent communications to stakeholders.
3. **Integrity and Respect:** Mutual respect among all stakeholders will be upheld and all transactions will be performed with utmost integrity.

OSPAN Goals

1. Provide **expert and professional support** for all UAMS stakeholders
2. Provide **clear roles and responsibilities** for OSPAN staff members and the stakeholders whom they serve.
3. Provide **timely, streamlined and standardized processes** that support stakeholders
4. Provide **solutions** to sponsored awards administration questions and issues.

OSPAN Structure

Each administrative unit will have a designated OSPAN staff member to serve sponsored program administration needs. OSPAN has the flexibility to bring multiple

staff together when needed for more complex grant submissions, and to bring together specialists from other teams to meet the needs of the stakeholder. If your OSPAN staff member is unavailable, designated back-up individuals will be available to meet the stakeholder's needs.

The current list of OSPAN teams and the stakeholders they serve can be found on the University of Arkansas for Medical Sciences OSPAN website (include hyperlink).

The Director of OSPAN reports to the Vice Chancellor for Research, with a secondary reporting relationship to the OSPAN Governance Advisory Board (GAB).

Section II
OSPAN Service Components
OSPAN Locations

The OSPAN teams and the administrative units they serve are listed on the OSPAN Website (insert hyperlink).

OSPAN Services

High level roles and responsibilities are outlined below.

Pre-Award

Process	OSPAN Responsibilities	Stakeholders/Administrative Units Responsibilities
Identifying Funding Opportunities	<ul style="list-style-type: none"> • Collects and distributes targeted funding opportunities from all sources to stakeholders 	<p>Stakeholders, in partnership with their Administrative Unit, makes the decision on whether or not to pursue the opportunity</p>
Proposal Development	<ul style="list-style-type: none"> • Manage TRACKS entry • Budget Development • Review and complete administrative components of the proposal • Contact the subcontractors to gather required sub-awardee forms • Contact editors as requested or as needed. 	<ul style="list-style-type: none"> • Stakeholder alerts OSPAN team of their intent to submit a proposal by following the timeline located in the appendix. • Stakeholder completes scientific components of the proposal and assists in budget/budget justification development.
Proposal Review and Submission	<ul style="list-style-type: none"> • Completes the final proposal package, reviews, and alerts STAKEHOLDER to review and submit the TRACKS 	<p>Dept. Chair and administrative unit review and approve submission of the proposal.</p>

	funding proposal.	
Just in Time (JIT) Submissions	<ul style="list-style-type: none"> • Prepare all administrative components of Just in Time or other pre-award requests from the sponsor • Assist in obtaining regulatory approvals required for Just in Time submissions • Submit JIT materials to ORSP 	<ul style="list-style-type: none"> • STAKEHOLDER prepares all scientific components of JIT submissions • STAKEHOLDER can delegate the assigned OSPAN Administrator to assist with a JIT in eRA Commons, if desired
Edit Manuscripts	<p>Editors will identify relevant writing guidelines, instructions, and ethical standards (e.g., journal instructions for authors, regulatory requirements) and ensure the manuscript follows these.</p> <p>Editors will ensure the manuscript is grammatically correct and punctuated and formatted according to the journal's style guide.</p> <p>Editors will ensure that the required information for each section is present.</p>	<p>Stakeholder will contact OSPAN team member to schedule editing time no later than two weeks before manuscript is due.</p> <p>Stakeholder/author will submit to editor a fully written manuscript or a manuscript that is as complete as possible.</p>

Award Phase

Process	OSPAN Responsibilities	Stakeholders/Administrative Units Responsibilities
Award Acceptance	<ul style="list-style-type: none"> • Reviews award document and determines if revised budget is required • If revised budget is required, will collaborate with administrative unit. • Assist in obtaining regulatory approvals required to accept award 	<ul style="list-style-type: none"> • STAKEHOLDER approves revised budget, if necessary • STAKEHOLDER review award terms and conditions Administrative Unit will collaborate with OSPAN team on required changes. Stakeholders/Administrative Units approves TRACKS (for advance accounts, pre-award costs, and cost sharing)

<p>Award Modifications</p>	<ul style="list-style-type: none"> • Identifies need for award modification that requires internal or Sponsor approval • In collaboration with STAKEHOLDER, drafts letter of request to the Sponsor (if applicable). • Forwards requested forms to internal administrative unit or ORSP for review and submission, if applicable. 	<p>Alerts OSPAN team of significant events that may require modification to the award.</p>
<p>Progress Report Submissions</p>	<ul style="list-style-type: none"> • Beginning 30 days prior to the due date of a progress report prepares all administrative components for Progress Report submissions • Assist in obtaining regulatory approvals required for Progress Report submissions. • Submits all materials to ORSP 	<ul style="list-style-type: none"> • STAKEHOLDER prepares all scientific components of Progress Report submissions (including ensuring the proper publications are linked in accordance with the NIH Public Access Policy) • STAKEHOLDER can delegate the assigned OSPAN team member to assist with a Progress Report in eRA Commons if desired

Post-Award

<p>Process</p>	<p>OSPAN Responsibilities</p>	<p>STAKEHOLDER/ Administrative Unit Responsibilities</p>
<p>Monthly Budget Reconciliation</p>	<ul style="list-style-type: none"> • Monitors spending on sponsored accounts. • Prepares monthly financial reports to include budget, actual, commitments, projection and balance after the monthly financial close. 	<ul style="list-style-type: none"> • STAKEHOLDER meets with OSPAN team member on a monthly basis (at a minimum) to review grant accounts. • Administrative Unit may attend monthly meetings if desired
<p>Monthly Administrative Unit Review</p>	<ul style="list-style-type: none"> • Will meet with administrative unit leaders for summary review of all sponsored programs 	<ul style="list-style-type: none"> • Administrative Unit leaders meets with OSPAN team member on a monthly basis (at a minimum) to review sponsored programs

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Interim Financial Reporting	<ul style="list-style-type: none"> • Reviews financial report with grants accounting for accuracy. • Verifies with grants accounting carryforward amount. • 	N/A
Payment of Subcontract Invoices	<ul style="list-style-type: none"> • Reviews all invoices received from subcontractors. • Follows-up with subcontractors who are not submitting invoices in a timely manner • Routes to STAKEHOLDER for approval • Routes to accounts payable for payment 	<ul style="list-style-type: none"> • STAKEHOLDER approves subcontract invoices for payment • STAKEHOLDER notifies OSPAN team member should there be an issue with the work being completed by a subcontractor
Closeout	<ul style="list-style-type: none"> • Reconcile all sponsored accounts in preparation for closeout • Process CSRs as required. • Notify STAKEHOLDER and administrative units that grant is ending at 90, 60 and 30 days prior to expiration. • Ensure final invoices are processed. • 	<ul style="list-style-type: none"> • STAKEHOLDER review and sign CSR • STAKEHOLDER completes all final technical reports required by Sponsor • At least 90 days prior to closeout, Administrative Unit reviews and initiates separation procedures for employees who will be terminated upon grant close out.

Research Contracts and Clinical Trials

Process	OSPAR Responsibilities	STAKEHOLDER/ Department Responsibilities
Pre-Award Clinical Trials Management	<ul style="list-style-type: none"> • Review and negotiate budget with sponsor and stakeholder. • Maintain CLARA record for routing and approval • 	<ul style="list-style-type: none"> • Review and sign the negotiated CDA • Approve negotiated budget
Contract Development and Execution	<ul style="list-style-type: none"> • Input, as needed, for Research Contract negotiations 	<ul style="list-style-type: none"> • Input, as needed, for negotiations

Coverage Analysis	<ul style="list-style-type: none"> • Input, as needed 	<ul style="list-style-type: none"> • Input, as needed, for development • Final review and approval
Budgets	<ul style="list-style-type: none"> • Input, as needed, for budget development 	<ul style="list-style-type: none"> • Input, as needed, for budget development Final budget approval
Invoicing/AR Management	<ul style="list-style-type: none"> • Review study calendars and milestones • Generate invoice and submit to sponsor • Receive payment and ensure it is applied to appropriate clinical trial account • Monitor accounts receivable and escalate risky accounts receivable (accounts receivable not paid within 120 days of invoicing) for potential bad debt write off • Notifies Research Contracts and STAKEHOLDER if contract should be amended due to accrual/financial implications 	<ul style="list-style-type: none"> • Enter patient data in tracking system • Confirm milestones have been reached and OSPAN can invoice sponsor • Confirm payment received is tied to specific protocol
Closeout	<ul style="list-style-type: none"> • Reconcile account financials • Confirm contract terms for closure • General final invoice for unbilled activity • Receive final payment • Close account 	<ul style="list-style-type: none"> • Confirm study outcomes • Conduct site close-out activities • Draft final letter/communication to sponsor • Approve study for closing

Section III – OSPAN Performance Metrics

Tracking Effectiveness

Timely, efficient, and accurate service and accountability are critical components of OSPAN. To ensure that those goals are met, key performance indicators will be tracked and monitored. Quarterly reports will be sent to the GAB and published on the OSPAN website.

Key Performance Indicators

Pre-award

Services Level Measures
Number of proposals submitted per month. Number of proposal submitted early (successful submission ≥ 2 day before deadline.). Time in State (itemize the states). Total Proposal Days (administrative Items; OSPAN tracking) Percentage of proposals that <u>do not</u> require the administrative unit to return them to OSPAN for revisions prior to submission to sponsor
Percentage of proposals that do not require ORSP to return them to OSPAN for revisions prior to submission to funding agency.
Number of proposals using editor services.
Number of scientific publications using editor services.

Post-Award

Compliance Risk and Service Level Measures
Number of Advance Accounts open greater than 90 days without cause
Number of Accounts where the project period has ended and the account deficit or surplus ≥ 5 %.
Number of cost summary reports that are submitted past the due date. Number of cost summary reports returned for revisions. Number of transactions that posted after the grant/budget end date
Number of cost transfers greater than 90 days from the original transaction date.
Number of Effort reports submitted after institutional due date Number of days award is under department review. Number of days award is under grants accounting review. Number of days from notice of award to activation. Number of monthly reports reviewed.

Research Contracts and Clinical Trials Management

Service Level Measure
Number of invoices submitted within 30 days of receiving notice from clinical coordinators that the milestone has been met.
Accounts Receivable by aging category (> 30 days, 60-90 days, > 90 days): OSPAN will escalate payments outstanding over 90 days.
Number of accounts with no billing activity over 90 days without cause.
Number of open trials with a project end date > 90 days
Number of outgoing subcontracts submitted within 14 days of receiving notice from administrative unit.

Faculty/Department Service Related Metrics

Service Level Measure

Escalation Procedures: OSPAN Failure to Meet Performance Expectations

In the event that OSPAN fails to meet the expectations outlined in this document, a STAKEHOLDER or administrative unit can take the following steps:

- 1. Communicate the problem directly to your OSPAN team leader**
Communication is the key to the success of the partnership between the Stakeholder, administrative unit and OSPAN. Problems should be clearly identified and possible resolutions discussed with your OSPAN team leader.
- 2. Contact OSPAN Director**
If discussions with the appropriate OSPAN Team Leader fail to resolve the problem, please contact the OSPAN Director to discuss the problem and resolution.

Escalation Procedures: Stakeholders Failure to Meet Expectations

In the event that STAKEHOLDER fails to meet the expectations outlined in this document, a OSPAN or administrative unit can take the following steps:

- 1. Communicate the problem directly to the OSPAN Team leader and STAKEHOLDER.**
Communication is the key to the success of the partnership between the Stakeholder, administrative unit and OSPAN. Problems should be clearly identified and possible resolutions discussed with the OSPAN team leader and STAKEHOLDER.
- 2. Contact OSPAN Director**
If discussions with the appropriate OSPAN Team Leader and STAKEHOLDER fail to resolve the problem, please contact the OSPAN Director to discuss the problem and resolution. If failure to resolve the problem, the director will discuss problem with GAB and VCR.

Section IV – SLA Maintenance Conditions

Periodic Review of SLA

The Vice Chancellor for Research, OSPAN Director, and Governance Advisory Board (GAB) will meet annually to review the SLA to determine whether the services and

service level commitment are meeting the needs of the departments served. During the early stages of OSPAN implementation, more frequent review may be necessary to ensure that the SLA accurately reflects the STAKEHOLDERS' and administrative units' needs and the capacity of OSPAN to meet them.

Substantial changes in the University, such as a significant increase in sponsored programs, should also prompt a review of the SLA.

SLA Modification Review

The SLA will be reviewed for proposed changes/revisions and to consider any outstanding resource needs. The reviewers include the OSPAN Director, Vice Chancellor for Research, and GAB.

The Vice Chancellor for Research, OSPAN Director, GAB, stakeholders and administrative units may submit requested updates and recommendations, with a brief rationale for each recommendation. At the direction of the review committee, the OSPAN Director will make all approved changes to the SLA document. The SLA will be posted on the OSPAN website to promote accountability. The Vice Chancellor for Research and the OSPAN Director will be responsible for implementing changes to the SLA and communicating SLA changes to their stakeholder group.

Appendix

Include Acronyms, Definitions, work flow chart and organizational chart.