UCSF
Research Management Services

Service Level Agreement

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Section 1: Departments and Effective Dates

Effective Date of Agreement: August 15, 2011 Departments Served: • Cell & Tissue Biology • Preventive and Restorative Dental Sciences • Community Health Systems • Family Health Care Nursing • Physiological Nursing • Clinical Pharmacy • Emergency Medicine • Global Health Sciences and Institute for Global Health • Helen Diller Family Comprehensive Cancer Center • Proctor Foundation • Radiation Oncology • Urology	Effective Date of Agreement: January 17, 2012 Departments Served: • Dermatology • Diabetes Center • Fresno Medical Education Program • Laboratory Medicine • Medicine – SFGH divisions and CAPS • Microbiology & Immunology • Orofacial Sciences • Osher Center for Integrative Medicine • Pathology	Effective Date of Agreement: April 18, 2012 Departments Served: • Anesthesiology • Orthopedic Surgery • Neurological Surgery • Surgery • Otolaryngology • Radiology • Physical Therapy • Ophthalmology • Medicine- Parnassus • SFGH Dean's Ofc • Hooper Fdn • Human Genetics • Stem Cell Program • Oral & Max Surgery • Center of Health Professions • SoD Dean's Ofc • Inst for Health & Aging • Inst for Health Policy Studies • Epidemiology & Biostatistics • Anthropology • Social & Behavioral Sciences • Center for Health & Community • SoN Dean's Ofc • CTSI • LGBT Research Center • SoM Dean's Ofc • AIDS Research Institute • Library • QB3 Institute • AVC Ethics & Compliance • Graduate Division • Student Academic Affairs	Effective Date of Agreement: August 15, 2012 Departments Served: • Anatomy • Biochemistry & Biophysics • Cellular & Molecular Pharmacology • Physiology • Cardiovascular Research Institute • Bioengineering & Therapeutic Sciences • Pharmaceutical Chemistry • Sch of Pharmacy Dean's Office • LPPI • Neurology • Psychiatry • Institute for Neurodegenerative Disease • Family & Community Medicine • OB/Gyn and Reproductive Sciences • Pediatrics

Section 2: Overview and Objectives

This document is the service delivery agreement between the Research Management Services and the departments listed above. The purpose of this document is to create a shared understanding of the goals and objectives of Research Management Services and how we have structured our services to meet your business needs.

The Research Management Services Team is established to provide comprehensive high quality pre-award services to principal investigators. It is organized to deliver services in a professional and cost-effective manner, providing both subject matter expertise and adherence to University policies and procedures.

Section 3: Service Team Staffing

Each Principal Investigator will be assigned a Research Services Coordinator (RSC). This RSC will be the primary point of contact for the PI's pre-award research needs. The RSC is responsible for providing services in a professional and timely manner as outlined in this agreement. The RSC will draw support from their team of RSCs and Associate RSCs, as well as the appropriate Subject Matter Experts in Contracts & Grants, Industry Contracts and other research related offices. If a PI's assigned RSC is absent from work for any reason (vacations, business meetings, illness or any other planned or unplanned absence), coverage will be provided by other members of the Team. There will always be back-up when the assigned RSC is not available.

Section 4: Services Provided

Research Management Services provides the following services:

Participation in Identifying Funding Opportunities

- Upon request, work with PI to search for funding opportunities and maintain or develop the PI's profile in COS/PIVOT.

Proposal Development and Submission

- **Advise on policies and RFP requirements**
- **Timeline and Proposal Requirements Email:** review RFP and send PI a list of all internally and externally required proposal items (information and/or documents), timeline of associated due dates, and any other important information gleaned from the RFP
- **Assist with building specific proposal documents (including the budget**), gathering documents from key personnel or subcontractors in close collaboration with the PI.
- **Compile, format and review for accuracy** all required proposal items (excluding scientific portions) and prepare for submission to sponsor.
- **Notify PI of any issues requiring attention** as identified in the final review of the proposal.
- **Route proposal items for signature approval** by Chair or Chair's delegate and institutional signature authority.
- **Submit final proposals** to sponsor or C&G/ICD on PI's behalf.

Budget Procedures

- RSC consults with departmental Post-Award Analyst , as needed, on budget and budget justification development and budgetary accuracy of personnel costs, effort and appointments and non-personnel purchasing policies.

Subcontracts Out

- RSC consults with PI and departmental Post-Award Analyst to verify dates, amounts, and Institutional information. RSC completes and submits the internal sub out form to C&G for sub outs, including amendments to existing subcontracts. Post-Award Analyst manages all post-award activities, including invoicing and confirmation of subcontractors, budget, and start date.

Sponsor Communications and Correspondence

- RSC, in consultation with the departmental Post-Award Analyst and the PI, will draft letters and compile documents required for JIT, NCEs, re-budgeting or carry-forward requests, etc. and route for institutional and sponsor approvals.

Progress Reports

- RSC leads the administrative reporting submission process (obtain financial report, as needed, from departmental Post-Award Analyst) and notifies PI of upcoming due dates.

Fund Advance

- RSC requests fund advance on PI's behalf and in consultation with the departmental Post-Award Analyst.

PI Pre-award Activity Reports to PI, Department Managers and Post-Award Analysts

- To inform the dialog between all personnel impacted by pre-award activities, **monthly activity reports** will be emailed to Department Managers describing the department's proposal activity, sponsor communications activity, awards activity, and list of PIs' intentions to submit a proposal.
- **Availability for ad hoc meetings** with PI, department managers and Post-Award Analyst.

Bridge between the PI and the Specialty Units: Contracts & Grants and Industry Contracts Division

- RSC will liaison with or directly connect the PI to Specialty Units in the case of industry contracts negotiation, clinical trials development and negotiation or highly specialized contracts or grant proposals requiring unusual negotiation or support.
- Provide documents needed to complete an award

The following is the responsibility of the PI:

- Notify RSC and Department Manager of Intent to Submit a Proposal in a timely manner per the Service Level Agreement.
- Provide proposal information and documents as requested by mutually agreed upon timeline of due dates.
- Provide content for the creation of new Biosketches, Other Support Forms, Letters of Support, Publication Lists, Mentee Lists, and other proposal forms as needed. Maintain and update the most current version of these documents.
- Prepare all research and/or program plan components of proposals.
- Provide financial and staffing information for budget development and/or fund advance purposes.

- Obtain approvals from IRB and IACUC committees, if necessary

The following is the responsibility of the Department:

- Ensure space and resources are available for research.
- Conduct peer review (if appropriate).
- Approve PI Status Waiver (if needed).
- Provide proposal budget input as requested, e.g. cost sharing, commitments and salary information
- Approve fund advances and source of funds (as appropriate).
- Provide proposal DPA number for OSR form.
- Submit financial reports to sponsor (in collaboration with RSC as needed).
- Save and maintain accurate information on the RMS shared drive folder unique to your department as requested by your RMS Team Manager.
- Inform RSC of PIs' Intent to Submit Proposals in a timely manner per the Service Level Agreement, as necessary.
- Approve proposals (Chair or Chair's delegate):
    - Chair does not need to approve fellowships unless the Faculty mentor is not a UCSF Faculty member, in which case the Chair would be the approver.
    - Chairs do not need to sign non-competing continuation proposals per UCSF institutional policy.
- All post-award activity such as:
    - All invoicing processes, except for Federal drawdown grants and cost reimbursable contracts/grants that are invoiced by EMF
    - Fund closeout activities

- Process staffing/payroll changes
- Confirm subcontractors, budget and start date
- Preparation or modifications to consulting and vendor agreements
- Notify PI and RSC if NCE is needed

- Effort reporting in ERS system.
- Post-Award Analyst manages the PI effort calculation and overlap statement for Other Support form updates and provides this information to RSC as needed.
- Assist PI in obtaining documentation for CHR/CAR approvals and COI compliance documents.
- Complete the data tables sections of the program plan for training grants (e.g. T32).
- Submit financial reports to sponsor (in collaboration with RSC as needed).
- Prepare state contracts that are sole source, in collaboration with Contracts & Grants office.

Section 5: Service Commitments and Expectations

The RSC will work closely with the PI and provide a high level of customer service. We expect that the PI will work collaboratively with the RSC and respond to the RSC's requests in a timely manner as outlined below.

When expectations of the PI or the RSC are not met, the PI or the RSC would bring this to the attention of the Team Manager. If necessary, the Team Manager and/or the PI can escalate the issue to the RMS Director. All parties will endeavor to resolve the issue fairly. However, should the issue be unresolvable, a PI's assigned RSC can be changed.

Activity	Service Expectation/Commitment
Proposal Development	We expect the PI to notify RSC of intent to submit a proposal: • At least 30 calendar days prior to sponsor submission deadline for standard solicitations. • At least 60 calendar days prior to sponsor submission deadline for large proposals such as proposals with subcontracts. • 4-6 months prior to sponsor submission deadline for PPG, complex Center, institutional training grants and U grants. Additional notice is requested during holiday periods. To respond to last minute requests from the sponsor, we expect the PI to notify the RSC as soon as possible.
	RSC will communicate initial proposal development task list/timeline to faculty within 3 business days and will collaborate with PI on developing final timeline. Internal review processes will be part of a checklist between the RSC and PI.
Review and Approve Proposal	The RSC will be responsible for obtaining necessary signatures prior to the sponsor deadline. To review and approve proposals for timely submission, please submit proposals to the RSC as follows: • Federal and non-profit sponsor grant and fellowship proposals: Final proposal (*excluding* the research plan) 5 business days before the sponsor deadline. The research plan needs to be submitted to the RSC 2 business days before the sponsor deadline (3 business days for proposals that require hardcopies). • State, City and County proposals: Final proposal (*including* the research plan) 5 business days before the sponsor deadline. • Federal Contracts: Final proposal (*including* the research plan) 5 business days before the sponsor deadline. The RSC will submit a proposal if the above deadlines are not met, however there is no guarantee that the

Activity	Service Expectation/Commitment
	proposal will be submitted on time, and any consequences are the responsibility of the PI.
Negotiate Industry Sponsor Research Agreements and Clinical Trials	Upon notification from the PI, the RSC will generate the OSR form, obtain the necessary approvals and notify Industry Contracts of pending agreement or clinical trial within 3-5 business days. The PI, RSC and clinical coordinator will work on the budget jointly.
Progress Reports	The RSC will notify the PI of upcoming progress reports: • At least 30 calendar days prior to deadline for standard grants. • At least 60 calendar days prior to deadline for large grants such as proposals with subcontracts. • 4-6 months prior to deadline for PPG, complex Center, institutional training grants and U grants.
General Communications	RSC will respond to PI-initiated general inquiries/communications within 1 business day.
General Communications	Activity reports will be submitted to Department Managers monthly. These reports will include: proposal activity, sponsor communications activity, and awards activity for the PIs in the respective department.

Section 6: Roles and Responsibilities

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
Identify Funding Opportunity	• Search in COS/PIVOT or other sources.	• Assist PI to identify funding opportunity using COS/PIVOT and other tools.			
Create Proposal	• Notify RSC and Dept. of intent to submit proposal. • Meet with RSC to discuss proposal. • Draft science. • Maintain and/or customize biosketch and CV. • Approve Other Support page.	• Meet with PI to discuss proposal submission. • Assign timeline/roles and responsibilities. • Obtain PI Waiver if needed. • Submit Letter of Intent to sponsor. • Draft admin sections of proposal. • Provide input to Other Support page. • Request DPA.	• Approve PI Status Waiver, if needed. • Confirm PI effort availability. • Conduct peer review, if necessary. • Maintain other support page. • Assist with section D "Research Support" of biosketch. • Supply DPA.		
Create Budget	• Provide input to create budget. • Draft budget justification.	• In collaboration with PI/Department, develop a draft of the project budget,	• Provide budget input as requested; e.g., cost sharing,		

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
	• Approve final budget and justification.	request all necessary details, e.g., animal and patient care costs, etc. • Review and finalize proposal budget for compliance with sponsor requirements and statutory pay limits. • Prepare sponsor budget form pages, paper or online. • Review/edit budget justification. • If clinical trial and/or industry contract, work with Industry Contracts/Clinical Research SME to develop budget. • Provide budgetary guidelines to subcontractors and review subcontractors' budget forms for consistency with the	commitments and salary projections.		

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
		instructions and sponsor guidelines. • Ensure that sub-budgets correctly link to the main budget.			
Review, Approve, Submit and Track Proposal	• Review and approve proposal package.	• Review, approve and submit proposal for federal grants and fellowships, and non - profits grants and fellowships. • Confirm proposal receipt. • Track proposal status.	• Confirm space available for research. • Approve final proposal package (Chair).	• Negotiate and approve federal, industry*, state, city and county contracts.	
Track Negotiations and Award Set-Up	• Receive JIT notice.	• If JIT: Assist PI to upload and submit all required documentation. • Receive notice of award from C&G. • Review budget & terms and conditions, and make necessary changes. • Provide documents needed to complete an award	• Receive notice of award from C&G. • Consult with RSC on awarded budget. • Supply DPA. • Request fund advance.	• Receive award. • Notify RSC and department of award. • Negotiate and accept award. • Generate Award in system.	• Set up account/fund. • Notify RSC and dept. when account is set up.

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
		• Complete fund advance.			
Create and Manage Subcontracts (out)	• Determine if need advance payment. • Receive invoice. • Approve invoice. • Send invoice to EMF. [some of these tasks are brought to the PI's attention and done by the post-award analysts]	• Communicate with PI and Post-Award Analyst to validate subcontractors (verify dates, amounts and institutional information). • Notify C&G subcontract team. • Request advance payment if necessary. • Receive notification of contract execution. • Complete and submit the internal sub out form to C&G.	• Confirm subcontractor, budget and start date. • Manage all post-award activities, including invoicing	• Gather subcontract documents. • Identify level of sub recipient monitoring. • Prepare and negotiate contract. • Sign and execute contract.	• Receive copy of contract execution. • Receive invoices and pay.
Manage Award	Many of the tasks listed below are initiated by the Post-award Analysts and brought to the PI's attention. The supporting documentation is done by the Post-award Analysts working with the PI. The RSC is the Institutional Official and corresponds with the sponsor.				
Carry Forward	• Approve carry	• Request carry			

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
	forward.	forward from sponsor. • Submit to sponsor.			
Re-Budget Award	• Identify need to re- budget award.	• Re-budget award and send to sponsor (dependent on NOA).			
Change in Personnel on Award	• Identify change to key personnel on award.	• Request permission to change key personnel. • Change key personnel on award.			
No Cost Extension	• Request no cost extension.	• Request NCE from sponsor. • Prepare NCE request (if required), incorporating the information received from PI. • Route NCE request for approval. • RMS Team to complete the NCE process (as described below) for those awards within its authority. For all other NCE requests,	• Notify PI of award account closure. • Notify RSC that NCE is needed, and length and estimated balance. • Inform PI of need for NCE letter.		• Update award in PeopleSoft.

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
		the RMS Team forwards the request to the appropriate UCSF office. • For projects under expanded authorities: NCE is finalized and forwarded to Award Set-Up Team. • For projects not included under expanded authorities, RSC OR Contracts Officer: o Countersigns request. o Submits request to sponsor. o Follows up with sponsor on status of request and notifies PI of final outcome. o Forwards finalized NCE to C&G Award Set-Up Team.			
Transfer or	• Notify intent to	• Contact EMF for fund			• Identify and

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
Relinquish Award	transfer or relinquish award.	balance. • Submit relinquishing statement.			communicate balance.
Progress reports	• Lead scientific reporting process.	• Lead administrative reporting process. • Notify PI of upcoming scientific and other progress report due dates.	• Provide and confirm other support documentation. • Confirm whether or not 25% or more unobligated balance. • Confirm whether anything needs to be re-budgeted. • Confirm and complete all personnel effort. Anything related to effort percentages.		
Other Support		• Provide guidance regarding Other	• Manage the PI effort		

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
		Support instructions. • Review Other Support for completeness, accuracy and consistency with UCSF records. • Communicate discrepancies and participate in resolution. • Provide pending information. • Confirm that total effort on Other Support documentation does not exceed 95% for faculty, and 100% for non-faculty.	calculation and overlap statement for Other Support form updates and provide Other Support form information to RSC as needed.		
Award Closeouts	• Complete final progress report.	• Complete final invention statement. • Remind PI to complete final progress report.	• Work with EMF on final financial report. • Complete other final reports, as needed (determined by		• Work with Department on final financial report.

Process	PI	Research Mgmt. Services Team	Department/Division (MSO and/or Finance Mgr. and/or Post-Award Analyst)	C&G	EMF
			sponsor).		

*Industry contracts are reviewed, negotiated and approved by Industry Contracts Division

APPENDIX

Clarifications to SLA

Date	Change
March 27, 2012	Page 4, under budget procedures, added “as needed”
March 27, 2012	Page 4, under Subcontracts Out, added “including amendments to existing subcontracts”
March 27, 2012	Page 7, added “Prepare state contracts that are sole source in collaboration with Contracts & Grants office” to department responsibilities.
April 26, 2012	Page 4, under Proposal Development and Submission, added “Advise on policies and RFP requirements” Page 5, added “Provide documents needed to complete an award” to RMS services Page 5, clarified PI responsibility “Provide content for the creation of new Biosketches, Other Support Forms, Letters of Support, Publication Lists, Mentee Lists, and other proposal forms as needed. Maintain and update the most current version of these documents.” Page 6 Added “Obtain approvals from IRB and IACUC committees, if necessary” to PI responsibility