



Organizational Charter & Service Level Understanding Research Administration Partner Pod (RAPP)

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Acronyms List

1. **A/R:** Accounts Receivable
2. **CDA:** Confidentiality Disclosure Agreement
3. **CITI:** Collaborative Institutional Training Initiative
4. **COI:** Conflict of Interest
5. **DAC:** Departmental Award Checklist
6. **eRA:** Electronic Research Administration
7. **F&A:** Facilities and Administrative
8. **PO:** Purchase Order
9. **FFR:** Federal Financial Report
10. **GA:** Grants Administrator
11. **GL:** General Ledger
12. **HR:** Human Resources
13. **IACUC:** Institutional Animal Care and Use Committee
14. **IDC:** Indirect Costs
15. **IRB:** Institutional Review Board
16. **JIT:** Just in Time
17. **NCE:** No Cost Extension
18. **NIH:** National Institutes of Health
19. **NOA:** Notice of Award
20. **NSF:** National Science Foundation
21. **OPAM:** Office of Proposal and Award Management
22. **ORIO:** OHSU Research Integrity Office
23. **OSD:** Online Salary Distribution
24. **PI:** Principal Investigator
25. **PMS:** Payment Management System
26. **RAPP:** Research Administration Partner Pod
27. **R&D:** Research and Development
28. **RDA:** Research Development and Administration
29. **SLU:** Service Level Understanding



Section I – General Information and Objectives

SLU Purpose and Expectation

The purpose of this Service level understanding (SLU) is to establish the foundation for a cooperative partnership between the Research Administration Partner Pod (RAPP) and the departments, schools, and centers it serves.

This SLU will outline:

- The services that RAPP offers and the working relationship between RAPP and the departments, schools, and centers it serves
- The key performance indicators (KPIs) used to measure the quality of service provided
- The governance structure of the partner pod and escalation model for resolution

RAPP will work closely with the local units (departments, schools, and centers) to meet their research administration needs. Communication, feedback, and accountability are critical to ensure excellent service.

RAPP Vision

To serve as OHSU's administrative facilitators of research.

RAPP Mission

The OHSU Research Administration Partner Pod (RAPP) will provide consistent and high quality pre- and post-award support to OHSU research faculty. To that end, RAPP operates under the following guiding principles:

- **Consistency and Excellence:** RAPP will provide a high level of expert and standardized research administration services to designated departments, schools, and centers, while also maintaining flexibility to meet the unique needs of each PI they are serving.
- **Continuous Improvement:** RAPP will regularly review operating procedures and key performance indicators to ensure processes are streamlined, efficient and meeting the needs of the PIs and local units they are serving.
- **Collaborative Effort:** RAPP will work with central research administration offices, PIs and local administrators to ensure research administration across the institution is best serving the needs of PIs and OHSU.
- **Professional Growth:** RAPP will enable education, training, and professional development for all RAPP staff.

RAPP Structure

Each local pod will have designated RAPP Grants and Contracts Administrators (GCAs) to serve pre- and post-award research administration needs. If your RAPP GCA is out of the office for a planned or unplanned absence, a designated back-up individual will be available to meet your needs from the RAPP team. The current list of RAPP team members can be found on the RAPP [website](#).

The Director of Research and Innovation Shared Services reports to the Vice President of Research Administration. RAPP performance evaluations will be based on input from the PIs and the department administrators with whom RAPP works closely. During annual performance evaluations, the Director will solicit PI and department administrator views on the performance of the staff member serving the corresponding department. Should performance issues arise at other times, the PI, Department Chair or department administrator may contact the Director. It is critical that performance issues are brought to the attention of supervisors as soon as they become a concern.



Section II – RAPP Service Components

RAPP Locations

The RAPP Grants and Contracts Administrators (GCAs) serving your department will continue to work remotely. The GCAs have office hours with the expectation that you can contact them during these hours. Should you require an in-person meeting, they will meet you either in your office or via webex. RAPP staff schedules will be distributed to their designated units.

Expectations for Response

RAPP staff will respond to any request (whether submitted by a PI, Dept. Chair or department administrator) submitted within **one business day**, with the understanding that when a PI and GCA are actively working on a proposal, communication will be more frequent. In the event that your RAPP staff member is out of the office on a planned or unplanned absence, their designated back-up staff member will address your request. For planned absences, GCAs will be required to notify their PIs and department administrators of the individual who will be serving as their back-up while they are gone. For unplanned absences, GCAs will be required to leave contact information for their back-up via their out-of-office message.

GCAs will constantly strive to meet expected service goals, please be aware of the following annual events that may impact processing time:

- Major proposal cycle submission deadlines (e.g. National Institutes of Health)
- OHSU Fiscal Year closing

RAPP Services

RAPP will work with OPAM, CRSO, Tech Transfer, ORIO, the departments, and the PI who will collaborate and collectively be responsible for the entire award life cycle. RAPP staff will also assist the PI by preparing any documentation required for review and approval by central research administrative offices (e.g. OPAM, CRSO, Tech Transfer). High level roles and responsibilities are outlined below.

Pre-Award Services

Process	RAPP Responsibilities	PI/ Department Responsibilities
Proposal Development	<ul style="list-style-type: none"> • Manages InfoEd PD Checklist • Assist with development of the administrative components of a proposal; including budget, budget justification, biosketches, etc. • Ensures compliance with institutional and sponsor-specific policies 	<ul style="list-style-type: none"> • Dept. Chair approves proposed cost sharing • PI alerts GCA their intent to propose at least 4 weeks in advance of sponsor deadline (when possible) • PI completes scientific components of the proposal and assists in budget/budget justification development
Proposal Review and Submission	<ul style="list-style-type: none"> • Coordinates the routing and submission process with OPAM • Serve as the primary liaison between PIs and OPAM, ensure timeliness of submission, and communicate internal and external deadlines 	Dept. Chair approve proposal (Dept. is confirming that PI is allowed to submit the proposal, and that the department is committing appropriate resources)



Process	RAPP Responsibilities	PI/ Department Responsibilities
Just in Time Submissions	<ul style="list-style-type: none"> Prepares all administrative components of Just in Time or other pre-award requests from the sponsor Facilitates regulatory approvals required for Just in Time submissions Submits all materials to OPAM or Sponsor 	<ul style="list-style-type: none"> PI prepares all scientific components of JIT submissions PI can delegate RAPP GA to assist with a JIT in eRA Commons, if desired
Award Acceptance	<ul style="list-style-type: none"> Facilitates updates to award budget, if required Facilitates regulatory approvals required to accept award Revises budget based on awarded amount (if varies from proposed budget) Completes and coordinates DAC submission with OPAM 	<ul style="list-style-type: none"> PI approves revised budget, if necessary PI meets with GCA to review award terms and conditions and grant purchasing guidelines Department Administrator is notified of significant budget changes
Award Modifications	<ul style="list-style-type: none"> Identifies need for award modification that requires OPAM or Sponsor prior approval Completes internally required forms (e.g., OGA Establish/Extend Account Request Form) In collaboration with PI, drafts letter of request to the Sponsor (if applicable) Forwards required forms to OPAM for review, if applicable 	<p>PI and Senior Administrator approves OGA Establish/Extend Request Form (for advance accounts, pre-award costs)</p>
Progress Report Submissions	<ul style="list-style-type: none"> Beginning 30 days prior to the due date of a progress report (or 45 days for paper submissions), prepares all administrative components for Progress Report submissions Facilitates regulatory approvals required for Progress Report submissions Submits all materials to OPAM or Sponsor 	<ul style="list-style-type: none"> PI prepares all scientific components of Progress Report submissions (including ensuring the proper publications are linked in accordance with the NIH Public Access Policy) PI can delegate RAPP GA to assist with a Progress Report in eRA Commons if desired



Post-Award Services

Process	RAPP Responsibilities	PI/ Department Responsibilities
Monthly Budget Reconciliation	<ul style="list-style-type: none"> Monitors spend patterns on sponsored accounts by reviewing data from the general ledger monthly and updating PI on balance and burn rate 	<ul style="list-style-type: none"> Department manages non-sponsored department accounts PI meets with GCA monthly (at a minimum) to review grant accounts and pending submissions Department Administrator may attend monthly meetings if desired
Annual Budget Management	<ul style="list-style-type: none"> Compiles financial information from current and pending grants to accurately project out for the current and upcoming fiscal year (in consultation with PI) and provides the data to the department Meets with Department Administrator to review grant budget information 	Department Administrator incorporates information from RAPP into annual department budget
Salary Distribution	<ul style="list-style-type: none"> Monitor and communicate labor distribution on research accounts and make research related requests to department administrator in home org Obtains approval for salary distribution from the PI 	<ul style="list-style-type: none"> Department Administrator creates and processes OSD Department Administrator initiates payroll forms
Effort Reporting	<ul style="list-style-type: none"> Reviews all effort reports to ensure completeness Notifies Certifier once reports have been reviewed 	Approved Certifier – Certifies Effort Reports
Interim Financial Reporting	<ul style="list-style-type: none"> Reviews financial report for accuracy Verifies carryforward amount (if applicable) 	
Cost Transfers	<ul style="list-style-type: none"> Reviews expenses on sponsored accounts monthly and identifies expenses that must be transferred in accordance with the Sponsor, OPAM, and OHSU policies Prepares Cost Transfer form and completes > 90 day justification, if necessary Routes Cost Transfer form for approval 	PI reviews and approves cost transfers that credit and debit accounts for federal awards only
Payment of Subcontract Invoices	<ul style="list-style-type: none"> Reviews all invoices received from subcontractors according to the Subrecipient Invoice Review Checklist Follows-up with subcontractors who are not submitting invoices in a timely manner Routes to PI for approval 	<ul style="list-style-type: none"> PI approves subcontract invoices for payment PI notifies GCA should there be an issue with the work being completed by a subcontractor



Process	RAPP Responsibilities	PI/ Department Responsibilities
Closeout	<ul style="list-style-type: none"> Reconcile all sponsored accounts in preparation for closeout Alert home org department administrator of labor distribution changes that need to be made Notify PI, purchasers, and department administrators that grant is ending at least 30 days prior to expiration Ensure final subcontract and consulting invoices are received Review final financial reports and invoices prior to submission to Sponsor 	<ul style="list-style-type: none"> PI approves final financial reports PI completes all final technical reports required by Sponsor Department terminates employees (if applicable) once an award ends and processes paperwork as necessary

Section III – RAPP Performance Metrics

Tracking Effectiveness

Timely, efficient, and accurate service and accountability are critical components of RAPP. To ensure that we meet these goals, we will track key performance indicators. The key performance indicators will be monitored by RAPP management monthly and officially assessed annually, and published on the [RAPP website](#).

The Vice President of Research Administration will also conduct regular faculty satisfaction surveys. Survey results will be used to identify areas where RAPP is meeting or exceeding expectations, or where attention may be needed to improve service.

Key Performance Indicators

Pre-award

Service Level Measures

Percentage of proposals that meet OPAM internal submission guidelines (10 days prior to deadline for draft proposal to OPAM; 3 days prior to deadline for final proposal to OPAM)

Post-award

Compliance Risk and Service Level Measures

Number of Pre-Award Accounts open greater than 90 days

DAC Turnaround Time for award setup (measuring the time in RAPP's queue)

Number of Accounts where the project period has ended > 120 days and the account is in deficit (> \$1,000) or where there is a surplus remaining (> \$1,000)

Percentage of accounts reviewed with a PI monthly

Number and dollar amount of cost transfers both greater than and less than 90 days prior to current date

Number of Effort reports certified by institutional due date

Faculty/Department Service Related Metrics

Service Level Measure

PI and department administrator satisfaction with RAPP support (regular surveys)



Escalation Procedures: Failure to Meet Performance Expectations

In the event that RAPP fails to meet the expectations outlined in this document, a PI, Chair, Dean, Center Director or Department Administrator can take the following steps:

- 1. Communicate the problem directly to your RAPP staff member**
Strong communication is the key to the success of the partnership between the Departments and RAPP. If a problem arises, the first step is to identify it specifically and discuss possible resolutions with your RAPP GCA. Depending on the need, you may do this in a meeting in your office, phone call, or email to your RAPP GCA.
- 2. Contact RAPP Director**
If discussions with the appropriate GCA fail to resolve the problem, please contact the Director to discuss the problem and identify a resolution.

Section IV – SLU Maintenance

Conditions Requiring Maintenance

The SLU should accurately reflect the services provided by RAPP staff to the Departments that they serve. As processes and policies evolve, changes to services and service levels may be required. Updates and changes to the SLU can be identified, presented, and confirmed through the processes described below.

Periodic Review of SLU

The Vice President of Research Administration and Director will meet annually to review the SLU to determine whether the services and service level commitment are meeting the needs of the local units served. During the early stages of RAPP implementation, more frequent review (as often as quarterly) may be necessary to ensure that the SLU accurately reflects the PIs' and departments' needs and the capacity of RAPP to meet them.

Substantial changes in the institution, such as a significant increase in sponsored research, should also prompt a review of the SLU.

Ad Hoc Maintenance Requests

The Vice President of Research Administration, Director, Department Chairs, Department Administrators, Deans, and Center Directors can propose changes to the SLU outside of the regular review process. This review process is outlined below.

SLU Modification Review

The SLU will be reviewed for proposed changes/revisions and to consider any outstanding resource needs. The reviewers include the RAPP Director, representatives from RDA, Senior Administrators from the local units, as well as other central research administration offices (e.g., OPAM and ORIO).

The Vice President of Research Administration, Director, Department Chairs, Department Administrators, Deans, and Center Directors may submit requested updates and recommendations, with a brief rationale for each recommendation. At the direction of the review committee, the Director will make all approved changes to the SLU document. The SLU will be posted on the RAPP [website](#) to promote accountability.

The Vice President of Research Administration and the Director will be responsible for implementing changes to the SLU and communicating SLU changes to their stakeholder group



RAPP Service Level Understanding

Overview

This document is an agreement between the RAPP unit and the signatory of the center/school/dept listed below. The purpose of this document is to create a shared understanding of the defined responsibilities regarding support for local research administration needs.

Under the leadership of the Director, this agreement establishes the parameters under which the unit will provide responsive, proactive, and high-quality services to OHSU PIs. Roles are organized to deliver services in a professional manner, providing both subject matter expertise and compliance to relevant policies and procedures.

Commitments and Expectations

Staff managed by the Director will work closely with the PI and provide a high level of service in a timely manner, as outlined in the RAPP Service level understanding. The PI will work collaboratively with dedicated staff and respond to requests in a timely manner.

When expectations of the PI or the RAPP unit are not met, the PI or the RAPP Administrator should bring this to the attention of the Director. If necessary, the Director and/or the PI can escalate the issue to the Vice President for Research Administration. All parties will endeavor to resolve the issue fairly, however, should the issue be unresolvable, staffing for the signatory unit below may be reevaluated.

Affirmation of Agreement

I agree to this agreement including the roles and service expectations outlined herein:

Name – Unit Receiving Service

Name – Director

Signature – Unit Receiving Service

Signature – Director