

# **Johns Hopkins Enterprise Service Level Agreement**

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# Service Level Agreement

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## General Information

### Purpose

The purpose of this SLA is to establish a cooperative partnership between the Sponsored Projects Service Center and its customers. This SLA will:

- outline services to be offered and working assumptions between the Shared Service Center and its customers;
- quantify and measure service level expectations;
- outline the potential methods used to measure the quality of service provided;
- define mutual requirements and expectations for critical processes and overall performance;
- strengthen communication between shared service providers and its customers;
- provide a vehicle for resolving conflicts.

### Vision

The new business environment will continuously enhance service, compliance and productivity to its customers and core business practices. The primary goals for the service centers include:

- **Integrate** people, processes, and technology to provide a balanced service level to all customers. Create a collaborative environment where trusted relationships and teamwork are encouraged between administration, departments, clinical areas, institutions and suppliers to further Enterprise goals.
- **Leverage** human resources, institutional knowledge, developing skill sets, and technology in an effort to continuously improve service and productivity. Create an organizational structure that balances strategic and tactical efforts that promote efficiencies.
- **Mitigate** risk to the Hopkins' enterprise by focusing on compliance requirements and understanding the impact these requirements have on productivity and customer service. Develop an integrated organizational structure that will promote the consistent interpretation and enforcement of policies, procedures, local, state and Federal laws and regulations.
- **Reduce** unnecessary costs. Through the use of creative organization design, economies of scale can be reached, resulting in lower operational costs. Design an environment that eliminates redundant technological solutions and encourages solutions that maximize the goals and objectives of the Enterprise.

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## Objectives

**Focus on Customer Service:** Create a consolidated organization focusing on end-to-end processes will promote the implementation of simplified processes by cutting redundant steps, consolidating and automating processes, and leveraging key skills and capabilities.

**Maintain Compliance:** An integrated organizational structure will provide a mechanism for the consistent interpretation and enforcement of policies, procedures, local, state and Federal laws and regulations. Additionally, the development of roles and responsibilities that clearly assign accountability and encourage end-to-end processing of business transactions will assist the enterprise in maintaining an effective balance among policy compliance, management controls, and process efficiencies.

**Reduce Cost:** Through the use of creative (less hierarchical) organization design, economies of scale can be reached, resulting in lower operational costs. Additional potential cost reductions may include payroll costs, transactional costs, facilities, training and overall administrative costs.

**Continuously Improve Quality:** A consolidated organizational structure reflects the integration of related systems, functions, people and processes. Together with improved information capture and reporting, this structure provides Johns Hopkins with the opportunity for the enterprise to identify patterns and change procedures to improve process efficiency and customer service. In addition, properly defined roles and responsibilities will encourage teamwork and collaboration across the enterprise and will continue to develop skilled, multi-functional individuals that better support the goals and objectives of the enterprise. The use of cross-functional teams will promote the creation and implementation of improved business strategies, which will provide more seamless and efficient operations.

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## Service Performance

### Mission

To provide financial and administrative post award assistance to the faculty and other researchers of the Johns Hopkins Institutions in order to facilitate the management of sponsored agreements while maintaining compliance with all applicable laws and regulations.

### Scope

To provide services related to the pre-award setup and post-award administration of sponsored awards to the Johns Hopkins Institutions.

- Will set up and maintain each award's master data elements and monitor awards for compliance with applicable Federal financial regulations and institutional policies.
- Will complete financial reporting to external sponsors and close-out awards within the SAP system according to sponsor requirements.
- Will serve as a resource to departmental administrators and researchers in all aspects of post-award financial administration.

### Hours of Operations

Typical hours of operation for the Service Center are 8:30am to 5:00pm Monday-Friday, with the exception of approved holidays. Working hours may be adjusted due to system/power outages, controller's office special events, emergency situations, or disaster.

### Service Expectations

The Sponsored Projects Service Center and its customers agree to the service expectations and working assumptions listed below. These service expectations are meant to monitor the more critical elements of the services provided and are not meant to reflect the comprehensive services offered by the Sponsored Projects Service Center. The service expectations will be effective in the fiscal year beginning six months after SAP go live date. Service level expectations will be reviewed after a period of stabilization by the Committee and revised as appropriate.

| <b>Process</b>                        | <b>Service Expectation</b>  | <b>Service Metric</b> <i>(how will this be measured)</i>  |
|---------------------------------------|---|---|
| Account Setup and Award Modifications | 10 business days<br>Notification received after 3:00 pm will not be considered until the following business day | Account setup not completed after 10 days of notification |

|  |   |   |
|--|---|---|
| FSR Submission                         | 90 days after project end date  | Backlog of FSR not submitted beyond 90 days       |
| Invoice Submission (Cost Reimbursable) | By due date recorded in SAP   | Backlog of invoices not submitted by due date     |
| Award Closeout                         | 90 days after project   | Termed awards not closed beyond 90 days           |
| New Sponsor Creation                   | 3 business days<br>Notification received after 3:00PM will not be considered until the following business day | Number of request not processed older than 3 days |

### Working Assumptions

- The Service Center will be fully staffed and funded, and supported by the HopkinsOne Support Maintenance Organization.

### Service Constraints

- **Workload** – Significant growth in the research base, staff turnover and peak times will lead to backlogs whereby the defined performance cannot be guaranteed.
- **Conformance Requirements** – Changes in Uniform Guidance, FAR and any other regulatory policy that would impact the business practices or alter procedures and service delivery time frames.
- **Dependencies** –Oculus (document storage/imaging), Coeus (pre-award system), SAP and agreed upon work flows must be functional. Response time from the SAP help desk and HITS must be timely to guarantee the defined performance measurements are met. Any customer related requirements must be completed satisfactorily to guarantee service delivery time frames

## Agreement Administration

### Terms of Agreement

This agreement commences on SAP go live date with the mutual understanding that modifications may be required over time. Any and all modifications will be made in the spirit of the original Agreement and must be reviewed by representatives of the Sponsored Project Service Center customer base. A formal review of this Agreement and published modifications will occur on an annual basis.

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## **Periodic Quality Reviews**

The Sponsored Project Service Center and representatives of its customer base will conduct periodic reviews of the Sponsored Project Service Center performance against agreed-upon service level expectations. The agenda for these reviews should include, but is not limited to:

- service delivery since the last review;
- major deviations from service levels;
- conflicts or concerns about service delivery;
- planned changes to improve service effectiveness, and
- changes to the Agreement.

The Sponsored Project Service Center will also regularly assess customer satisfaction and will use the results as a basis for changes to this Agreement.

## **Service Level Agreement Maintenance**

This Agreement will be reviewed on an ongoing basis and updated as considered necessary. Updates may become necessary due to changing service needs, modifications to existing services, addition of services, significant variations from agreed upon service levels, or unanticipated events.

## **Issue Resolution**

- If either the Sponsored Projects Service Center or its customer identifies a substantive breach of responsibility or other problem that requires resolution prior to the next periodic review, the Service Center Director and the customer representative will engage in a joint effort of understanding and rectification of the issue. In the event this remedial effort fails, either party can raise the issue to the Office of the Controller of JHU. Decisions made by the Office of the Controller, and/or possible elevation to the Office of the VP for Administration of JHU.

## **Funding Structure and Accounting Methodology**

- The budget for the Sponsored Project Shared Services will be prepared by the Director and approved by the University Controller and Budget Director. The budget and allocations to JHHS will also be reviewed and approved by the JHHS Controller and JHH Budget Director.

## **Advisory Committee and Roles**

- Provide feedback from constituent organizations regarding customer service, productivity and compliance.
- participate in periodic review of SLA with focus on customer service, productivity, and compliance
- participate in the identification, prioritization and implementation of business process and technology enhancements

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- support the testing of future applications features / modules
  - sharing of information to constituents

The committee will consist of the following:

Mike Amey - School of Medicine

Jim Erickson - School of Medicine

Chad Clapsaddle - Whiting School of Engineering

Alexandra McKeown - JHURA

Dan Cronin – Krieger School of Arts & Sciences

Jane Schlegel - Bloomberg School of Public Health

Scott Jonas - JHU Controller

Edwin Judd - JHPIEGO

**Reference Material:**

<http://ssc.jhmi.edu/sponsoredprojects/home.html>