



An Overview of Sponsored Project Administration

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May 21, 2026

Agenda



Office of Research Services Structure



Award Administration Process: Award Acceptance and Award Management



Contractual Actions



Award Closeouts



Additional Resources

ORS Organizational Structure

Office of the Vice President for Research and Partnerships (OVPRP)

Office of Research Services (ORS)

- Research Information Services (RIS)
- Proposal Services (PS)
- Award Administration (AA)



Office of Research Services

The goal of the Office of Research Services (ORS) under the Vice President for Research and Partnerships (VPRP) is to function as a highly trained, customer service-oriented organization whose primary purpose is to support externally funded research and sponsored activities within the university community. ORS has responsibility for pre-award and award administration on the Norman campus and Norman campus-related programs on the Tulsa campus. ORS is the institutional unit authorized by the Board of Regents to submit proposals to and accept awards from external entities for financial support in the form of grants, contracts, and cooperative or other agreements.

For general questions, call the ORS main phone number, (405) 325-4757, or contact us at rs@ou.edu.

Calculate Your Submission Processing Timeline(MM/DD/YYYY):

Enter the Sponsor Deadline Date

Office of Research Services consists of five units:

Research Information Services (RIS)	▼
Proposal Services	▼
Award Administration	▼
Training and Development	▼
Data Management	▼

Quick links

- [Submit Proposal Information Sheet](#)
- [Cayuse Research Administration](#)
- [Staff Directory](#)
- [Obtaining Accounts and Registrations](#)

Primary Roles in ORS

Research Information Services (RIS)

- Announcements/newsletter
- Sponsor portal access/accounts
- Limited submission programs
- Training/Database management

Proposal Services (PS)

- Budget development
- Sponsor Guideline interpretation
- Proposal submission
- Sponsor forms/certification

Award Administration (AA)

- Award receipt
- Agreement negotiation and terms and conditions monitoring
- Agreement compliance review

What Are Sponsored Programs?

Sponsored programs are projects or activities funded by external entities—such as federal and non-federal agencies—to support research, instruction, or public service at a university.

The Office of Research Services handles **externally funded projects only**.



Types of Sponsored Programs at OU

- **Organized Research:** any activity specifically organized to produce research outcomes
- **Instruction:** any activity that is part of the University's education and teaching program
- **Other Sponsored Activities:** any activity that does not fall into the above categories including any public service, outreach, and other non-research sponsored programs that provide services beneficial to individuals and groups external to the institution.



Grants

- A **legal instrument** for transferring money, property, or services to the recipient to accomplish a **public purpose**.
- The **grantee** is responsible for:
 - Conducting project activities
 - Reporting on progress
 - Preparing results for publication
- The **granting agency**:
 - Monitors the use of funds disbursed
 - Has minimal involvement in the substance of the work



Contracts

- Sponsors use **contracts** when specific products or outcomes are expected.
- Contracts specify **deliverables** within a set project period
- Contracts are **more formal and specific** than grants.
- Negotiations may include provisions on:
 - Restrictions on publication or use of data
 - Patent rights and licensing agreements
- Contracts typically require:
 - Frequent, detailed reporting
 - Active sponsor involvement in project oversight



Cooperative Agreements

- An agreement combining elements of both **grants** and **contracts**.
- Like a grant, the sponsor is **not seeking immediate benefit**.
- Like a contract, the sponsor expects **some involvement** in the project.
- Requires clear **specification of sponsor involvement and responsibilities**.
- Usually **more detailed than a grant**, but **less detailed than a contract**.



Consortiums

- A consortium is as a group of at least four (4) industrial, private, or other non-federal, non-state agencies.
- The main point of a consortium is to **combine strengths and resources** to tackle projects or initiatives that would be too large, expensive, or complex for any single organization to handle alone. This can include:
 - **Sharing costs and risks**
 - **Accessing combined expertise** in technology, research, or industry knowledge
 - **Accelerating innovation** by leveraging diverse perspectives and capabilities
 - **Expanding reach** into new markets or sectors through collective effort

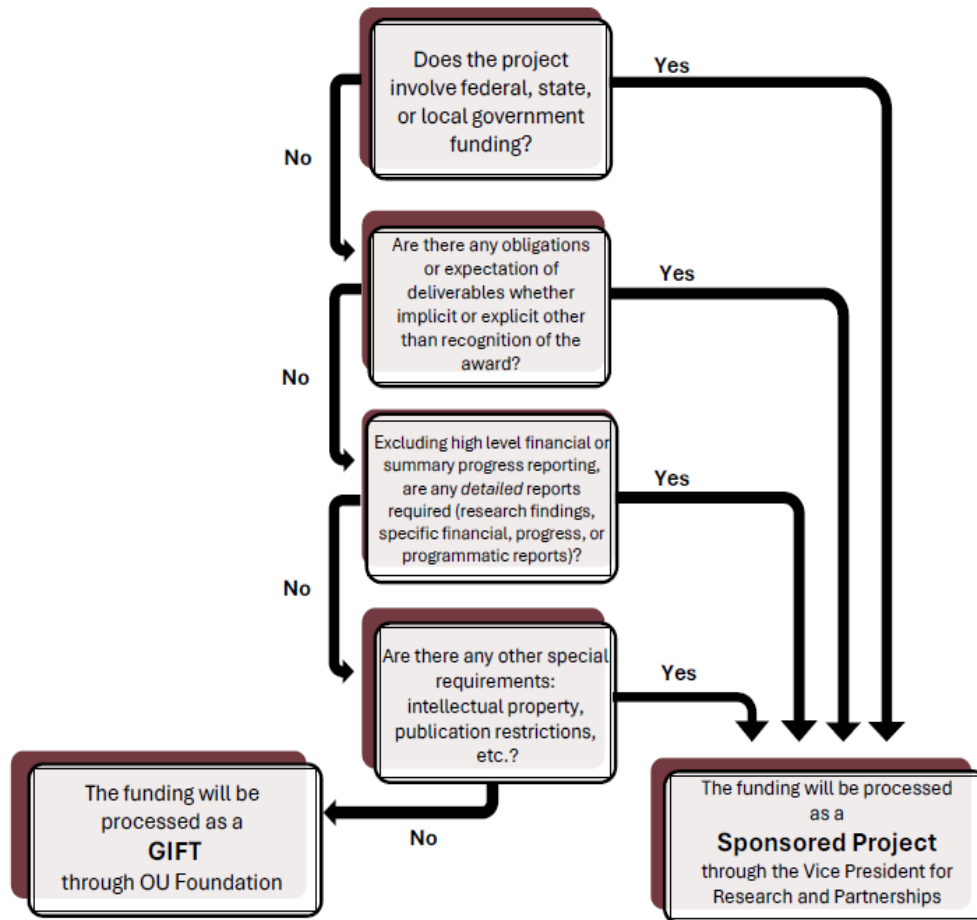
<https://www.ou.edu/research-norman/research-services/guidance/consortia>

What About Gifts?

- Funds given **voluntarily** without expectation of tangible compensation
- Usually **irrevocable** under normal circumstances
- Can be for:
 - Unrestricted use
 - General support restricted to a specific area or purpose
- Reporting to the donor is **not a condition** for receiving funds
- Generally processed through the **OU Foundation**.



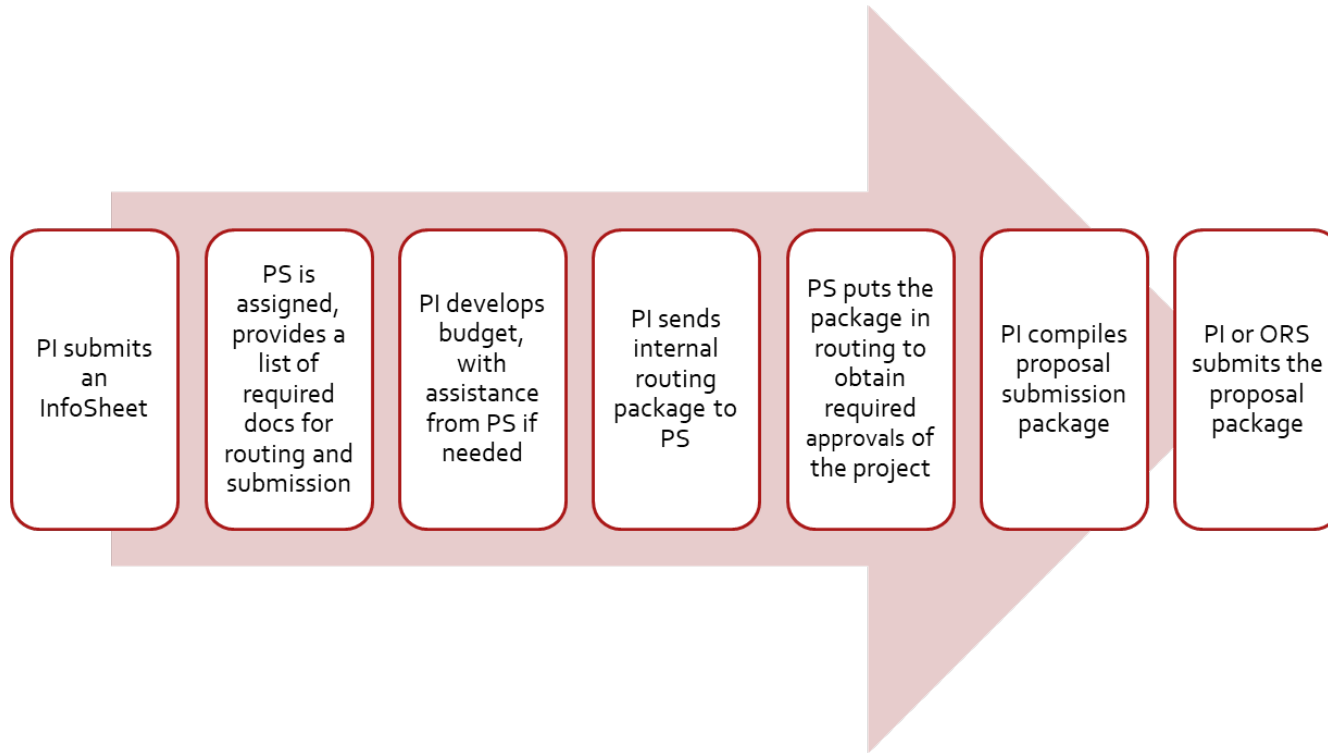
GIFTS vs SPONSORED PROJECTS



	Gift Indicators	Sponsored Project Indicators
Purpose	A donation that may or may not specify an area of interest	The sponsor details how the funds should be used as documented in the agreement of award
Reporting	High-level financial and summary progress reporting (no detailed financial reporting)	The sponsor may require specific deliverables, research findings, progress, financial, or programmatic reporting
F&A or IDC	There are no facilities and administrative or indirect costs associated	Facilities and Administrative or Indirect costs may be applied as defined in the identified rate and terms and conditions

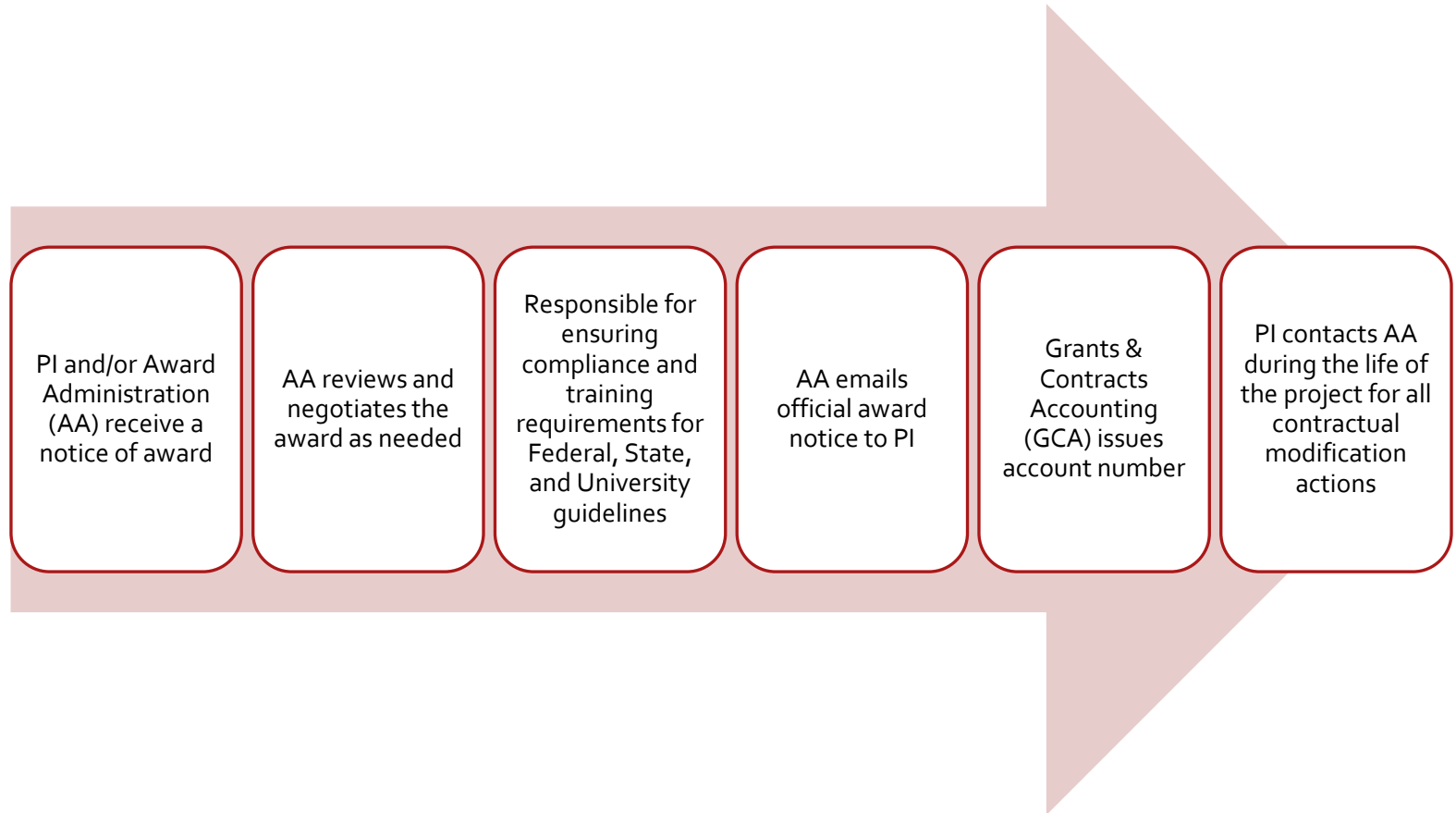
NOTE: The University of Oklahoma is a nonprofit, state agency exempt under section 115(a). Some agencies accept this as a 501(c)(3) equivalent even when guidelines stipulate 501(c)(3) requirements. Exceptions exist with final determinations being made by ORS/OUF leadership. Some grants require submission through OUF which will be processed through ORS.

Proposal Submission Process



NOTE: ORS is the institutional unit **authorized** by the Board of Regents of the University of Oklahoma to **submit proposals** to and **accept awards** from external entities for financial support in the form of grants, contracts, and cooperative or other agreements.

Award Administration Process



Award Acceptance (PI)

Responsibility	Award Acceptance
Principal Investigator (PI)	<ul style="list-style-type: none">• forward any sponsor correspondence to AA.• review the proposed budget to ensure it aligns with the awarded budget and assist in resolving any discrepancies• complete and send to AA compliance documents. if required for the project such as Conflict of Interest (COI), Institutional Animal Care and Use Committee (IACUC), Institutional Review Board (IRB), Human Subjects, and Institutional Biohazard Committee (IBC), (which includes Recombinant DNA, Biohazards, /Select Agents or Toxins, and radioisotopes)• respond promptly to AA requests for information or files; any program officer correspondence should be copied to AA

Award Acceptance (AA)

Responsibility	Award Acceptance
ORS Award Administration (AA)	<ul style="list-style-type: none">• inform PI of receipt of award• review and negotiate award terms in coordination with Legal, Export Control, and Office of Technology Commercialization to ensure terms and conditions are appropriate for an academic institution• confirm required human and animal subject protocols, biohazards, radioisotope, and conflict of interest clearances are in place• routinely update PI on progress of negotiations• obtain institutional signature on award, and return to sponsor• send processed award notice to PI and to Grants and Contracts Accounting (GCA), who will set up the account



Award Management

Responsibility	Award Management
Principal Investigator (PI)	<ul style="list-style-type: none"> • maintain compliance with the terms and conditions of the sponsored agreement using ethical and responsible conduct • ensure timely completion and submission of required technical reports. ORS is only involved if required • work with AA on no cost extension or other award modifications through the life of the award • work with Grants and Contracts Accounting (GCA) and departmental personnel as needed or required by Sponsor; ensure expenditures are compliant and reported • remain compliant with all university and sponsor policies and procedures pertinent to the award
ORS Award Administration (AA)	<ul style="list-style-type: none"> • process No Cost Extensions (NCE), modifications, supplements, technical and patent reports • correspond with the sponsor throughout the life of the award
Grants and Contracts Account (GCA)	<ul style="list-style-type: none"> • facilitates invoicing, financial monthly reconciliation, deposits • provides advance accounts (if approved)

NOTE: ORS does **NOT** manage any financial post-award activities or equipment reports.

Contractual Actions

- Prior approvals
 - Formal request that some sponsors may require for changes to an award. These changes can include: Rebudgeting, No-cost time extensions, Carry forward, Changes to the scope of work or PI, and Pre-award spending.
- No Cost Extension (NCE)
 - NCEs are requested to complete the programmatic obligations of the grant and **cannot** be granted if the justification given is simply to spend unobligated funds.
 - If a NCE request is anticipated, the PI should contact the AA for guidance on the sponsor's requirements and any deadlines.
- Change of PI
 - Requests for a change in the PI must include the reason(s) the change is necessary, a copy of the proposed new PI's CV and any other documents required by the sponsor.
 - AA will submit a request to the sponsor requesting the change.
- PI Transfer
 - If the PI is transferring to OU and the award is already under administration at the PI's prior organization, the AA will coordinate between the PI and the prior organization.
 - PI is transferring to another academic institution; AA will coordinate with the PI, Grants & Contracts Accounting (GCA) for the unexpended funds and work with the sponsor regarding what is required for the transfer.

***Processes may vary by sponsor*

The Closeout

Most agencies require submission of closeout reports, including:

- Final technical reports
- Invention disclosure reports
- Property reports are handled by Grants & Contracts Accounting (GCA) *not* ORS
- Financial reporting is handled by Grants & Contracts Accounting (GCA) *not* ORS

There are instances when the PI and ORS must submit these reports collaboratively, depending on the agency

Key Take-a-Ways

Read the award Terms and conditions. As the PI, you are responsible for the program requirements.

Apply responsible management practices to ensure that required reports are submitted to the sponsor.

All expenditures must be reasonable, eligible, and allocable to the sponsored project and consistent with the terms and conditions of the award.

The PI is responsible for ineligible expenses or loss of payments due to non-compliance with the terms and conditions of awards.

Retain all applicable technical and financial supporting documentation as required for compliance, audits, and monitoring reviews.

Ensure that all expenditures are incurred during the approved project period.

Resources

- **ORS Website:** <https://www.ou.edu/research-norman/research-services/>
- **ORS Training Website :** <https://www.ou.edu/research-norman/research-services/training>
- **ORS FAQs:** <https://www.ou.edu/research-norman/research-services/faq>
- **Grants and Contracts Accounting:** <https://www.ou.edu/grants-and-contracts-accounting>
- **Center for Faculty Excellence (CFE); The Research & Creative Activities Team:** <https://www.ou.edu/cfe/research>



Contact Information

- **Research Information Services**
(ris@ou.edu) can answer general questions or direct you to the appropriate person
- **Sogol Rasouli**, Associate Director of Research Information Services
(Sogol.rasouli@ou.edu)
- **Bonnie VanWinkle**, Associate Director, Proposal Services (bvanwinkle@ou.edu)
- **Leslie Flenniken Kelly**, Associate Director of Award Administration
(lflenniken@ou.edu)
- **Jennifer O'Hern**, Faculty Relations and Operational Excellence Manager
(jennifer.ohern@ou.edu)



CoRA for Frequently Asked Questions and Website Navigation



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Office of Research Services


Federal Grant and Assistance Directives FAQ Now Available

In a recent **communication**, President Harroz acknowledged questions and concerns raised by recent federal executive orders and Executive Branch communications related to federal assistance and grants essential to the university's research enterprise. **Additional information is now available online** and will be updated as needed.

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Questions

