



### PAF TEAM INFORMATION

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*Compliance is everyone's responsibility.*

## CUSTODIANSHIP OF SPONSORED PROJECT FUNDS

As stated in HOOP 10.07, funds that are awarded to UTHSC-H to support sponsored projects may be subject to various restrictions according to the funding source. As representatives of the UTHSC-H, operating units, departments, and individuals are given custodianship of sponsored project funds, but awards are made to the institution and not to any operating unit, department, or individual.

Such funds can be expended only within the guidelines of the UT System, the UTHSC-H, and the sponsoring agency or donor. In lieu of sponsor guidelines, sponsored project funds are administered according to the same restrictions as state funds. The UTHSC-H has delegated the authority to monitor the use of sponsored project funds and private grant funds to Financial Resources.

PAF is the division of Finance that has the responsibility for such monitoring. In partnership with Principal Investigators and departmental administrators, the PAF Team is responsible to the institution for efficient and effective fiscal management of grants and contracts post award. This includes:

- Setting up accounts
- Monitoring awarded grants and contracts throughout their life cycle
- Reporting spending to funding agencies
- Closing out accounts

Some key elements to the above tasks that will assist in effective custodianship of sponsored project funding include:

- Requesting early account setup if there is an anticipated delay in receiving executed funding documentation
- Knowing the terms and conditions of each project so that funding can be spent appropriately according to the guidelines
- Submitting Personnel Action (PA) requests to ensure that the percent of salary that is charged to the project is appropriate for the effort the staff are contributing to that project
- Taking necessary actions to request a funding extension if the project cannot be completed in the necessary timeframe
- Taking necessary actions to close the account once a project is completed



## **WHEN A PRINCIPAL INVESTIGATOR TERMINATES EMPLOYMENT WITH UTHSC-H**

There are several items that departmental administrators should consider as soon as they know that a PI will no longer be employed at the university.

First, PAF and OSP should be notified. Next, the PA transaction needs to be submitted to the SDR team so that the PI will be paid appropriately.

All accounts for which the faculty member is listed as the PI should be reviewed. It should be determined whether the projects have been completed. If they have not been completed, it should be determined (1) whether the PI plans on requesting that the project be transferred to their new institution; or (2) whether it should be requested that the project be completed at UTHSC-H under the direction of another PI.

If the project has been completed or will not be continuing at UTHSC-H, steps need to be taken to close the account. This includes entering PAs to transfer staff to the projects on which they will be working. Also, clear any encumbrances still reflected in the online ledgers. If the project had sub-contracted work out to other institutions or groups, contact them to ensure that work has been completed and invoices submitted.

## **SUBCONTRACTOR DEADLINES**

Every contract that the institution enters into in order to "sub-out" work to another entity has a clause establishing the deadline by which time invoices must be submitted for payment. The purpose of the clause is to ensure that the invoices are received in time to be reviewed and processed in our accounting system, and thus be reflected in the general ledgers in time for financial reports or final billings to be submitted to the funding agency.

If subcontract invoices are received by UTHSC-H after the contractual deadline, we have the following options:

1. We can refuse to pay the invoices because the subcontractor did not comply with the submission deadline established in the contract.
2. We can pay the invoices, but expense the invoice to a designated or gift account.
3. We can pay the invoices and expense the invoice to the sponsored project account if we have not submitted the financial report or final billing. If the financial report or final billing has been submitted to the funding agency, we can ONLY expense the invoice to the sponsored project account IF we receive permission to submit a revised financial report or final billing.

However, please keep in mind that every time we have to submit a revision to a financial status report or final billing, the credibility regarding our ability to administer sponsored project funding is diminished. This could affect future funding or might become an audit issue.

## **CLOSING ACCOUNTS**

As long as the Status Field on the GDES screen in TUFIMS indicates on "O" rather than a "C", then an account is considered to be open and the department will continue to receive ledger reports. Changing the Status Field to "C" (for closed) will cause the ledger reports to no longer be generated.

Federal accounts (Funds such as 201, 205, 230) can only have the Status Field changed to "C" when they no longer appear on the federal payment system report. This can take up to fifteen months following the end of the project.

Most other grants and contracts can be closed once the work is completed, revenues have been collected, and encumbrances and expenses have been cleared and processed. If the account was not based on cost reimbursement payment methods and there are residual funds that vest with UTHSC-H, non-project related expenses might be charged to the account once the work is completed and until the residual funds are spent. The residual funds for clinical studies and certain private fund accounts may be transferred to a gift account when the project is completed and the PI/department submits a closure request. Refer to pages 47-49 of the Grant Account Management Guide for more information.