TRIP Implementation Task Force Final Report
September 12, 2018

The University of Houston TRIP Implementation Task Force ("Task Force") was formed in December 2017. The Task Force was charged with addressing the need for more dissemination of information about the TRIP Match program.

Members of the Task Force were as follows:

- Raymond Bartlett - Senior Associate VC/VP, Finance

- Bob Leaumont – Associate VP, University Advancement Operations

- Austin Stanford – Development Coordinator 2 (replaced mid-year due to personnel changes)

- Jordan Tucker – Manager, Endowment/Scholarship Gift Compliance

- Cris Milligan – Assistant VP, Research Administration

- Mark Clarke – Associate Provost, Faculty Development/Affairs

- Vallabh Das – Professor, College of Optometry (replaced mid-year due to change in RSC chairmanship)

- Randy Lee – Professor, College of Natural Sciences and Mathematics

- Karin Livingston – Assistant VP/Controller, Finance

The Task Force met between December 2017 and August 2018 and discussed numerous aspects of the TRIP Match process. The minutes to each of these meetings is made a part of this report (Appendix I). The Task Force determined that business processes and distribution policies existed, but they were not clearly communicated to university personnel. The Task Force also determined that additional training in the identification of gifts or potential gifts that could be eligible for TRIP Match submission would be beneficial to research personnel, including principal investigators, research administrators, and development officers.

A website has been developed to provide information on the TRIP Match process from inception of gift to distribution of match. The website has a publicly available landing site and a restricted access area where University staff with a Cougarnet account can check on the status of their TRIP eligible gifts. This website was reviewed by members of the Task Force as well as the Research and Scholarship Committee. This website provides decision trees for determination of TRIP Match eligibility, timelines, flowcharts of business processes, frequently asked questions, links to the Texas Administrative Code, access to the status of gifts submitted for TRIP Match funding, and a responsibility matrix to assist University personnel in contacting a responsible person depending on the TRIP related issue. The website will be maintained by the Division of Research with updates provided by the divisions of Administration and Finance and University Advancement as needed.

The Task Force recommends that the Division of Research and the Division of University Advancement develop multiple training programs during the remainder of calendar year 2018. These training programs should:

- Provide notification to Assistant Deans and research faculty members of the creation of the website with basic information on the TRIP Match program;

- Develop an in-person training program designed for Research Administrators and Development Officers at the department, college, and division level that will address both the identification of potential TRIP Match opportunities as well as the reporting requirements and timeline; and

- Be conducted annually, recorded, and made available on the TRIP Match website for on-demand training.

The Task Force has achieved its stated objective of improving the dissemination of information about the TRIP Match program through the creation of the website, which should move to production no later than October 2018.

References

- TRIP Implementation Task Force Minutes

  - December 4, 2017
  - January 22, 2018
  - March 22, 2018
  - April 14, 2018
  - May 16, 2018
  - August 13, 2018

- Trip Policy Advisory Committee Report dated November 18, 2015

Appendix I

TRIP Implementation Task Force Minutes

TRIP Implementation Task Force Minutes

December 4, 2017

Meeting Attendees
- Raymond Bartlett - Senior Associate VC/VP, Finance
- Bob Leaumont – Associate VP, University Advancement Operations
- Austin Stanford – Development Coordinator 2
- Cris Milligan – Assistant VP, Research Administration
- Mark Clarke – Associate Provost, Faculty Development/Affairs
- Vallabh Das – Professor, College of Optometry
- Karin Livingston – Assistant VP/Controller, Finance

TRIP Task Force Recommendation Review
The TRIP Implementation Task Force made several recommendations for the distribution of TRIP Match funds:
- A written TRIP policy should be posted on multiple websites.
- A MAPP should be developed regarding TRIPP.
- Receipt and distribution of TRIPP matches should be publicly announced
- An advisory group to the President should be established, consisting of representatives from Advancement, Administration and Finance, Division of Research, Faculty Senate, and Academic Affairs.

The committee determined that:
- Written policies have been developed by University Advancement, and that those policies can be used.
- A written MAPP is not necessary.
- A website is needed.
- An advisory group to the President is not necessary if distribution policies are to be used.

TRIP Match Background
Austin Stanford is currently responsible for TRIP Match oversight. It is University Advancement's intention that these responsibilities be moved to someone other than Austin. Austin Stanford presented the TRIP coordinator protocol for University Advancement, including processes for:
- Identification and review of gifts that could be matched
- Preparation of TRIP Match submission documents, including transaction documentation, signed gift designating documents, and additional clarifying information if needed.
- Submission of documentation to the Coordinating Board.
- Preparation of reports and information.
- Challenge cycle review processes to review the items submitted by other institutions.

- The University has no opportunity to respond to challenged items; the Coordinating Board makes the final determination.

Distribution of TRIP Match funds is handled between Administration and Finance and the Division of Research.

Committee Goals
- Develop a website that provides information on the TRIP process from inception of gift to distribution of match.
  - The website should have both a publicly available landing site and a restricted access area where University employees can check on the status of their TRIP eligible gifts.
  - The website should provide useful information for all steps of the TRIP process, including:
    - Frequently asked questions
    - Statutory citations
    - Coordinating Board guidelines
    - TRIP Match distribution policies
    - Contact information within Advancement for planning
    - All TRIP eligible gifts and their status in the process
- Determine a more efficient method of participating in the challenge cycle reviews, as the current method provides a burdensome workload for three people in University Advancement.

To Do Items
- Develop a website for the TRIP process, including public and private locations – Finance
- Determine where oversight and administration of the TRIP process will be moved – University Advancement
- Develop frequently asked questions – Finance
- Develop flowcharts of the TRIP process – Finance/University Advancement
- Provide historical and current TRIP Match policies to the committee – Finance
- Develop a historical explanation of TRIP processes for the website – Finance
- Provide members at the next meeting an example of the Welch gift that was not submitted for TRIP match – University Advancement
- Provide members at the next meeting an example of a challenged TRIP gift – University Advancement
- Discuss TRIP gift eligibility workload sharing and report at next meeting – University Advancement and Research
- Discuss at next meeting what should be the impact to a TRIP match if a portion of a Grant is returned.

Next Meeting: January 2018

TRIP Implementation Task Force Minutes
January 22, 2018

Meeting Attendees
- Raymond Bartlett - Senior Associate VC/VP, Finance
- Bob Leaumont – Associate VP, University Advancement Operations
- Austin Stanford – Development Coordinator 2
- Cris Milligan – Assistant VP, Research Administration
- Mark Clarke – Associate Provost, Faculty Development/Affairs
- Vallabh Das – Professor, College of Optometry
- Karin Livingston – Assistant VP/Controller, Finance

Review of website plans

The following items should be added to the website unsecured content list:
- Frequently Asked Questions
- Link to THECB report that provides a history of all TRIP Match funds distributed to all institutions
- Process timeline
- Responsibility Matrix
- Procedures for the return of funds
- Explanation of accounting requirements for TRIP Match funds (fund group 5999)

The following items should be added to the website secured content list:
- Summary report, by fiscal year, of TRIP Match amount, TRIP Match received, original gift amount, and TRIP Match distributed (or undistributed balance)

The TRIP Tracking Worksheet maintained by University Advancement should be modified to include:
- Gift Document Date
- Applicable Distribution Policy Number
- Accounting information for original gift
- Cost Center for TRIP Match Distribution
- Date of TRIP Match Distribution

A draft web-site should be started so that progress can be viewed as web-site information is developed

Review of Oversight and Administration of the TRIP Process within University Advancement

- University Advancement is comfortable with the current responsibilities, but may re-distribute efforts within their area

Review of TRIP Match Flowcharts
Draft flowcharts were reviewed. Flowcharts will be updated after University Advancement has sufficient time for review. Current updates to flowcharts are:
- Identify process for notification that information was received too late for TRIP Match submission
- Add process for updating the TRIP Match website to indicate that the current year's distribution has been completed

Review of Historical TRIP Match Distribution Procedures
Summary of TRIP Match Distribution Policies was reviewed. University Advancement will provide the policies from 2015 and 2017 so that this can be updated.

Review of TRIP Challenge Review Process
The current process is managed entirely by University Advancement. University Advancement, Finance, and Research will develop procedures and training materials to distribute the work-load. Key factors are:
- Work should be distributed to teams of 3, with a representative from each division
- No team should have more than 25 submissions to review
- Team timelines should be much shorter than the THECB requirements to allow oversight and help ensure completion
- University Advancement will have oversight of the review process
- Training materials will be needed
It would be beneficial to have statistics of gifts submitted, challenged, and upheld or overturned.

Review of Process for Gifts/Grants Returned
Occasionally, funds received must be returned because the terms of the award were not fulfilled. University Advancement will provide the THECB policy that defines the procedure for returning TRIP Match funds when gifts must be returned. That will be the basis for the TRIP Match return policy and procedure, to be developed.

To Do Items
- Gather existing data for website (Finance)
- Develop a draft website with links to existing documents and place-holders for items to be developed (Finance)
- Update TRIP Match Tracking Worksheet to include additional fields (University Advancement, Finance)
- Update flowcharts (Finance)
- Develop procedure and training for Challenge review process (University Advancement, Finance)

- Prepare historical data on gifts submitted, gifts challenged, challenges upheld and challenges overturned (University Advancement)
- Distribute examples of TRIP eligible gifts that were: 1) not challenged; 2) were challenged with the challenge upheld; and were challenged with the challenge overturned (University Advancement)
- Distribute the gift and other documentation available for the Welch gift that was not submitted for TRIP Match (University Advancement)
- Develop procedure for return of TRIP Match funds in the event that the original gift/grant is returned (University Advancement/Finance)

TRIP Implementation Task Force Minutes
March 22, 2018

Meeting Attendees

- Raymond Bartlett - Senior Associate VC/VP, Finance

- Bob Leaumont – Associate VP, University Advancement Operations

- Austin Stanford – Development Coordinator 2

- Jordan Tucker – Manager, Endowment/Scholarship Gift Compliance

- Cris Milligan – Assistant VP, Research Administration

- Mark Clarke – Associate Provost, Faculty Development/Affairs

- Vallabh Das – Professor, College of Optometry

- Karin Livingston – Assistant VP/Controller, Finance

Challenge Review Process Determination

- University Advancement is comfortable with the current responsibilities for the TRIP Match Challenge Review Cycle process, but may re-distribute efforts within their division.

Challenge Review Report

- The Coordinating Board did not accept most challenges posed by other institutions of UH submissions. Only one submission reviewed in the second review cycle of 2017 was initially not recommended for funding, but TRIP gave us an opportunity to appeal which was successful.

- Challenges upheld were for items that were: direct sponsored research awards, had a direct benefit to the donor, there was late submission of items, ineligible purposes, and items not for research purposes.

Increasing TRIP Match Submissions and Approvals

- There are several points in the research submission process where activities should be reviewed for the potential for TRIP Match submission.

- The individuals that come in contact with the faculty should have sufficient training to be able to identify TRIP Match potentials, appropriate language, and business processes.

- Jordan Tucker, Cris Milligan, Mark Clarke, and Vallabh Das will work together to begin to identify: the specific points in the process; the groups of people that require training and information on the TRIP Match processes; and the type of information each group needs.

- Division of Research, Academic Affairs, and University Advancement will meet to learn the business processes in each area. The goal is to begin to identify ways to have better sharing of information and data to leverage the TRIP Match process.

Data Needed

- Data provided by the Coordinating Board website is not specific to University of Houston Colleges and Divisions.

- University Advancement will provide statistics on TRIP Match funds (applied vs. accepted) to the work-group at the next meeting. This information will be considered for inclusion on the website or as a separate report provided to the Provost periodically.

Review of website

- Website format should be directed to distinct groups of users – faculty/researchers and administrators.

- Division of Research will handle design of the website. Finance will provide all current documents.

- Faculty/researcher section should focus on three primary questions: how do I apply for TRIP Match, what are the TRIP policies, and when do the funds arrive/

- Policies on website are in a variety of formats, policies will be put on University logo paper for commonality of appearance.

To Do Items

- Identify specific points in the research submission process where activities should be reviewed for TRIP potential (Division of Research, Academic Affairs).

- Identify the personnel at each point in the process and the nature of the information that they will need (Division of Research, Academic Affairs, and University Advancement).

- Identify training materials, including checklists and decision trees (University Advancement).

- Develop a format for TRIP Match statistics (applied vs. accepted) to be posted on the website or made available to the Provost (University Advancement).

- Put TRIP Match policies into a single format, using the University logo (University Advancement or Finance).

- Provide Division of Research with current documents from the website (Finance).

- Draft additional information for the TRIP Match website: TRIP University Process Overview, Responsibility Matrix, and final versions of flowcharts (Finance).

- Add additional fields to the TRIP tracking worksheet (Finance, University Advancement).

TRIP Implementation Task Force Minutes

April 18, 2018

Meeting Attendees

- Raymond Bartlett - Senior Associate VC/VP, Finance

- Bob Leaumont – Associate VP, University Advancement Operations

- Jordan Tucker – Manager, Endowment/Scholarship Gift Compliance

- Cris Milligan – Assistant VP, Research Administration

- Mark Clarke – Associate Provost, Faculty Development/Affairs

- Karin Livingston – Assistant VP/Controller, Finance

Policy Format

- Not all policies are formal, the most recent one is an email

- There has never been a formalized policy document for TRIP Match

- The current email will be the policy in place until such time as it is superseded

Split of Payments

- TRIP Match funds may come in multiple fiscal years for single TRIP Matched gift. This is due to the way that the Coordinating Board receives funds (lump sum) and their need to distribute all funds received.

- This can be very confusing for the original gift recipient.

- University Advancement will identify that the gift was Partially Funded in their worksheet

- Finance will draft a FAQ for this item

Where Information Is Available

- TRIP Match cost centers will be in the PI portal

- Division of Research does a write-up of distributions that is also made available to faculty

- Although more restrictive access to the master list of gifts and status was discussed, it was determined that all faculty and staff should have access to the list.

University Advancement Decision Tree Review

- University Advancement prepared a decision tree for how to determine if a transaction could be TRIP Match eligible

- University Advancement will update their decision tree for use of "endowed chair", to identify the receipt of cash, and for clarity in understanding the process based on Division of Research comments.

- Division of Research will add an interactive decision process to the new website, based on the tree.

Statistics Presentation

- University Advancement prepared draft statistics, but requires input on the information that people want to see

- Identified that the presentation should be: total presented to UA; of those how many were eligible; of those how many were submitted; of those how many were not approved/approved/pending; and of the approved how many were funded.

- Statistics should be for a set period; agreed to use the gift receipt date and fiscal year.

- Finance will draft a model presentation.

- University Advancement will put data into that format by fiscal year.

Website

- Division of Research is starting on the website development.

- The website should take approximately 1 month to develop.

- Once developed, the committee should review and then obtain user review and acceptance.

To Do Items

- Identify specific points in the research submission process where activities should be reviewed for TRIP potential (Division of Research, Academic Affairs) (carryforward).

- Identify the personnel at each point in the process and the nature of the information that they will need (Division of Research, Academic Affairs, and University Advancement) (carryforward).

- Draft a FAQ for split receipt of TRIP Match funds (Finance).

- Provide University Advancement with suggested flow for the TRIP Match eligibility decision tree (Division of Research).

- Update the TRIP Match eligibility decision tree (University Advancement).

- Draft a presentation of the historical submission statistics (Finance).

- Prepare fiscal year historical submission statistics (University Advancement).

TRIP Implementation Task Force Minutes

May 16, 2018

Meeting Attendees

- Raymond Bartlett - Senior Associate VC/VP, Finance

- Bob Leaumont – Associate VP, University Advancement Operations

- Jordan Tucker – Manager, Endowment/Scholarship Gift Compliance

- Randy Lee – Professor, College of Natural Sciences and Mathematics

- Mark Clarke – Associate Provost, Faculty Development/Affairs

- Vallabh Das – Professor, College of Optometry

- Karin Livingston – Assistant VP/Controller, Finance

University Advancement & Division of Research Stakeholder Identification and Training

- It is necessary to reach the Principal Investigator earlier in the process

- One critical group of people for training are the research liaison officers from Colleges and the Division of Research, as these are the individuals that work with the Principal Investigators on both gifts and grants. These are the subject matter experts that are best equipped to tell the Principal Investigator about the TRIP program.

- In addition, Associate Deans for Research should be included in training offered.

- The Division of Research has identified additional personnel for training.

- Training provided should include expectations, a clear definition of responsibilities, and training materials.

- Training should include examples of the instances where a TRIP Match submission was denied because of a non-technical reason, such as the gift being identified as actually being research.

- The determination as to whether something should be written as a gift or a grant will be an individual situation best decided upon by the Principal Investigator.

Website Status Recommendations

- University Advancement has developed the questions for the TRIP Match Eligibility decision tree to be on the website

- The historical submission information has been updated to be by fiscal year. Fiscal year of gift receipt is used.

- University Advancement has obtained a full history of gifts submitted and approved or denied from the Texas Higher Education Coordinating Board, and is reconciling that to institutional records.

- The website should clearly explain the difference between a grant and a gift

- The website frequently asked questions should include the question "Can TRIP Match funds be transferred in the same way that sponsored research projects can be transferred in the event a faculty person moves to another institution".

Identification of Opportunities

- University Advancement will review areas where opportunities for research gifts and grants may exist

To Do Items

- Schedule next meeting after the website is prepared (Finance)

- Develop training that includes the website (University Advancement and Division of Research)

TRIP Implementation Task Force Minutes
August 13, 2018

Meeting Attendees

- Raymond Bartlett - Senior Associate VC/VP, Finance

- Jordan Tucker – Manager, Endowment/Scholarship Gift Compliance

- Randy Lee – Professor, College of Natural Sciences and Mathematics

- Cris Milligan – Assistant VP, Research Administration

- Mark Clarke – Associate Provost, Faculty Development/Affairs

- Karin Livingston – Assistant VP/Controller, Finance

TRIP Match status update

- In the most recent challenge cycle, 15 of 17 potential gifts submitted were accepted by the THECB.

- 1 of the 2 rejected gifts will be appealed.

- The accepted gifts have a value of approximately $4.5M in TRIP Match funds.

- If the appeal is successful, an additional $75K would be matched.

Website Plans

- The following updates will be made to the website:
    o The website frequently asked questions will include the question "Can TRIP Match funds be transferred in the same way that sponsored research projects can be transferred in the event a faculty person moves to another institution".
    o The website will clarify that, if a gift exceeds $10M, only the first $10M is eligible for TRIP Match funding.
    o The University Advancement TRIP Match schedule will be linked, but the donor name will be removed.
    o A link to the THECB schedule TRIP Match funds by institution and research area will be added.
- The sandbox website will be sent to the RSC, Associate Dean's, and Dr. Jack Fletcher for review.

- Upon update from the initial review, the website will be put into production.

- When the decision tree for TRIP Match eligibility is created, the website will be updated to reflect the change.

Final Recommendations

- The task force will develop a final report and recommendation memo for inclusion in the TRIP Match website. This will include the charge of the task force and the two recommendations (develop a website for distribution of information and develop training).

- The website will be maintained by the Division of Research. The Division of Finance is responsible for providing changes in TRIP Match legislation or institutional policy to DOR.

- University Advancement and Division of Research will develop training:
  - Communication with research faculty and Associate Dean's on the website and information available, and benefits of TRIP Match.
  - Development of an in-person training program designed for Research Administrators and Development Officers at the department, college, and division level.
    - Training will address both the identification of potential TRIP Match opportunities as well as the reporting requirements and timeline and provide for Q&A.
    - The training will be done annually.
    - The training will be recorded and made available on the TRIP Match website.

- The TRIP Implementation Task Force will have completed its objectives once the TRIP website moves to production and a final report and recommendation memo has been created.

To Do Items

- Prepare final updates to website (Research)
- Distribute website for comments (RSC)
- Draft final report for task force (Finance)
- Develop communication for research faculty (Advancement)
- Develop in person training (Advancement)