



Institutional Handbook of Operating Procedures
Policy 02.06.07

Section: General Administrative	Responsible Vice President: Vice President & Chief Development Officer
Subject: General	Responsible Entity: Development

I. Title

Fundraising Projects Benefiting UTMB

II. Policy

The section contains the full text of the policy, including detailed information about the purpose of the policy and details about the policy components. When appropriate, it also includes instructions for reporting and resolving noncompliance with the policy.

The UTMB President has authorized the Development Office to serve as the agent for all philanthropic fundraising programs. The Vice President & Chief Development Officer and the President will evaluate all [fundraising projects](#) to ensure that fundraising activities are consistent with UTMB’s mission and strategic plan, in alignment with UTMB strategic priorities, compatible with other philanthropic initiatives, and in compliance with administrative processes and IRS regulations.

The Development Office reserves the right to review and either approve or curtail solicitation of some/all lead donors, sponsors and underwriters. It is the responsibility of the Development Services division within the Development Office to accept, record and formally acknowledge receipt of all gifts to UTMB. The Development Office will maintain a complete record of every contribution to UTMB. All gifts to UTMB are acknowledged by gift receipt sent to the contributor in a timely manner. Only the Development Office is authorized to issue the IRS approved gift receipt on behalf of UTMB.

The following guidelines clarify expectations for fundraising activities outside of the Development Office:

1. Development and Marketing and Communications must review the promotional plan prior to any execution of the plan. Marketing and Communications must approve all uses of the logo or reference to UTMB/UTMB Health in conjunction with the event.
2. Events sponsored by organizations outside of UTMB may not utilize the logo. When naming the event, UTMB should not be used in the title but rather listed as a beneficiary. For example, “proceeds benefit the University of Texas Medical Branch.”
3. A proposed mailing list/potential sponsors for the project, a project calendar/timeline, and promotional materials must be submitted to the Development Office for review.
4. The Development Office may manage the mailing for internal communications if specific criteria are met, including, but not limited to alignment with UTMB strategic priorities, events and projects; and, is projected to raise a minimum of \$50,000 (net of expenses). This determination will be made by the Vice President & Chief Development Officer.
5. The project organizers must provide stuffed invitations with the appropriate postage to UTMB Mail Services for addressing at least six (6) weeks prior to desired mail date. UTMB does not release its mailing list to third party organizations. For confidentiality purposes, mailing lists cannot be provided to any organizations or individuals.

6. Events involving raffle sales, prior drawings, live animal auctions and/or gambling are strictly prohibited. Raffles (conducted by employees or departmental organizations) are not permitted under State law.
7. UTMB Development Office staff will not participate in the sale of tickets to an event or solicit project sponsorships, including in-kind donations. UTMB faculty may or may not be able to participate; faculty involvement is at the discretion of the individual faculty member(s) or their department chairman. These restrictions also apply to the sale of merchandise (CDs, cards, t-shirts, etc.) to benefit UTMB.
8. If the project is approved by the Vice President & Chief Development Officer, then the Development Services division within the Development Office will provide assistance to the project organizers to establish quid pro quo (QPO) levels prior to publication of sponsorship levels, ticket prices or sponsor benefits, when proceeds qualify as gifts to UTMB.
9. The completed proposal form, budget worksheet and calendar/timeline should be submitted to the Development Office at least six months prior to the scheduled distribution of invitations and public announcements. For anniversary, landmark celebrations, and projects with larger fundraising goals (\$75,000+), all approval forms listed above should be submitted to the Development Office at least 12 months in advance due to the scale, scope, and visibility of these projects. A signed copy of the agreement will be returned upon approval. All recurring projects must be submitted for approval on an annual basis.

III. Procedures

1. The Vice President & Chief Development Officer will provide written approval to proceed with the project, once s/he has reviewed the proposal with the appropriate parties (i.e. President, Provost, EVP, Dean, etc.).
2. Establish a clear plan for the project including the purpose, method of fundraising, recipient of funding, proposed mailing list and potential sponsorship list, communication/promotional plan, projection of revenues and expenses and timeline for the project. Please be aware that project organizers and UTMB must abide by the Internal Revenue Service regulations governing charitable activities (IRS Publications 526 and 1771). The Development Office follows Council for Advancement and Support of Education (CASE) guidelines, which are the standard practice for academic institutions.
3. Confirm that the project is consistent with the policies set forth in Section 6 of the IHOP.
4. Submit a budget that includes all expected costs for the project (examples: artwork, postage, printed materials, venue, photography, rentals, etc.) and the sources of payment for these expenses. Expenses cannot be more than 50 percent of the money raised. Upfront expenses, such as deposits, are the responsibility of the organizer, unless prior arrangements have been made with the individual department benefiting from the project.
5. Identify lead donors or underwriters at least six to twelve months in advance of solicitation (on the Fundraising Project Proposal Form or on a separate sheet) and include with the application to the Development Office. The proposed project sponsorship list can be electronically submitted to the Development Office in Excel format.

IV. Consultation

The Development Office, Marketing and Communications, and University Conferences and Events do not have the resources to execute all fundraising projects which benefit UTMB; however, upon request, project organizers can receive input and guidance.

The Development Office is available on a consulting basis for fundraising projects expecting to net \$50,000 or more. Internal transfers may be identified but should not be counted in net proceeds. If the event is expected to raise less than \$50,000, please contact the Development Services Office for gift processing and receipting, in accordance with IHOP guidelines.

V. Security and Liability

University Police must be notified of any event hosted by or taking place on or within University premises (owned, leased or controlled.) Notification should include the projected number of participants, if alcohol is being served, and if the University President will be in attendance.

UTMB will not be held legally responsible for any act incurred by the organizer(s) of a project including, but not restricted to, personal injury or death; damage to, theft of, or loss of personal, private or community property; for provisions of monetary prizes, or other gift items advertised by the project organizers. UTMB will not be liable for any expenses incurred by the project organizer(s).

VI. Financial Accountability

In order to properly account for and record fundraiser revenues and expenses please contact Development Services. Bank accounts cannot be established for fundraising projects and events. You must request a new PeopleSoft Operating Unit (O/U) and Class for the fundraiser:

<http://www.utmb.edu/finance/accounting/forms/default.asp>.

All funds should be deposited into a UTMB account and recorded to the event O/U. This will allow all cash inflows and outflows to be tracked related to the fundraiser. Cash handling training is required and is available on-line; the pathway can be provided upon request. Safeguarding funds is of the utmost importance. Checks for the project should be made payable to UTMB and delivered to the UTMB Development Office, along with accompanying documentation (donor name, address, gift purpose and amount), on a daily basis. Checks and credit card information may not be retained outside the Development Office.

Fair market value for ticket sales, in-kind donations, table levels, etc. must be defined and clearly stated on all promotional publications. Once the fair market value is set, no changes may be made to the sponsorship levels, ticket prices or sponsor benefits.

VII. Dates Approved or Amended

<i>Originated: 12/04/2013</i>	
<i>Reviewed with Changes</i>	<i>Reviewed without Changes</i>
01/06/2022	

VIII. Contact Information

For more information, contact the Vice President and Chief Development Officer in the Development Office at 301 University Boulevard, Galveston, TX 77555-0148 or 409.772.1991.