

# **HEALTH & HUMAN SCIENCES**

**SUBJECT:** CHHS Operating Policy for Development

**DATE OF LAST REVIEW:** March 2025

## **PURPOSE**

The purpose of this Operating Policy/Procedure (OP) is to set forth the College of Health & Human Sciences' policies and procedures for Development and External Relations regarding:

- Responsibilities of the CHHS development office and its relationship with other entities in the college.
- Solicitation, acceptance, and acknowledgment of gifts.
- Donor recognition and events.

## **REVIEW**

This OP will be reviewed in January of even-numbered years by development staff, then approved by the Dean and the Texas Tech University Office of Advancement.

## **POLICY/PROCEDURE**

### **1. General Responsibilities**

- a. Care and concern for helping each individual faculty member and student achieve his or her maximum potential remains the college priority.
- b. The College of Health & Human Sciences has achieved excellence in many areas with the help of private funding sources, but additional support from the private sector is needed to allow the college to reach its full potential. The CHHS development officer(s) works to promote CHHS and the programs within by educating alumni, foundations, and corporations on the college's funding priorities and soliciting their support. The development officer(s) works to ensure appropriate stewardship of all gifts received. Faculty and staff are encouraged to identify and collaborate in securing additional support for the CHHS and individual programs.
- c. The development office is responsible for soliciting, coordinating, obtaining necessary approvals, and reporting all fundraising activity for the college. To fulfill this mission,



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the development office must be informed in a timely manner of all actions related to fundraising.

- i. The dean determines the CHHS annual fundraising priorities. The development officer(s) will work with the dean and department chairs to devise and implement a strategy to reach the annual fundraising goals and objectives.
  - ii. If a faculty or staff member has a fundraising need, he or she should obtain permission from the department chair prior to approaching the development officer for assistance in fundraising. The department chairs will notify the development officer.
- d. The development officer is responsible for receiving and acknowledging gifts obtained on behalf of the college. All gifts received by faculty and/or staff should be delivered to the development office within two (3) business days with completed gift transmittal form.
- e. All offices of the college, including faculty and staff, are responsible for coordination with the development officer including written approval for all fundraising projects sponsored by individuals, foundations, and corporations prior to the project.

**2. Definition of Gifts**

- a. Texas Tech University and the Texas Tech Foundation, Inc. (TTFI) provide a definition of gifts, donations, and non-contractual gifts in OP 02.02.

**3. Solicitation of Gifts and Grants from Private Philanthropic Sources**

- a. All solicitation of gifts from private sources by any Texas Tech University (TTU) faculty member, staff member, student, student organization, or related corporate entity shall be coordinated and cleared before the fact with the development officer.



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- i. Any project for which gift funding in excess of \$1,000 is sought must receive approval from the appropriate academic and Institutional Advancement administrator. Funds may not be formally solicited for a center or institute prior to approval of the establishment of the center or institute by the Board of Regents.
  - ii. In the approval process, the sponsors of the project must agree that, should the fundraising goal not be reached, TTU support in excess of what might be committed initially will not be sought. In addition, a plan must be provided by the project sponsor to the Vice Chancellor of Institutional Advancement and the president specifying what will happen to the gift funds should the fundraising project not reach its financial goal. The sponsor must agree to inform the principal donors in advance of how the funds will be used should the goal not be reached.
  - iii. The OIA maintains a master calendar for all fundraising events. All donor related events must receive prior approval from the OIA.
  - iv. All fundraising projects and events shall comply with TTU policies and procedures, as well as federal and state law.
  - v. Any written statement concerning tax deductibility of contributions must be reviewed and approved by the OIA.
- b. If any faculty member, staff member, student, or student organization receives any unsolicited question from a prospective donor regarding a possible gift to TTU or Texas Tech Foundation, Inc., the CHHS development officer(s) should be notified of the inquiry as soon as possible following the initial contact.
- c. Fundraising programs can be initiated by TTU or by TTFI.



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## d. Corporations and Foundations

- i. All research, project, and gift solicitation proposals to private foundations or corporations must be cleared by the Corporate and Foundation Relations office within the TTU Office of Advancement through the CHHS Development Office. Funding provided by a corporation or foundation is considered a gift provided that:
  1. The award is from a non-governmental source and is either for buildings or facilities, research or a specific project, or for the endowment of TTU;
  2. The donor specifically intends the award to be a charitable gift, as reflected by the characteristics of the award instrument;
  3. The conditions or stipulations placed on the intended use of the award are reasonable and serve to direct the funds to areas such as scholarships, facilities, or general research support of specific interest to the donor;
  4. The donor intends the gift to be irrevocable and, therefore, relinquishes the right to reclaim the gift or any unused remainder; and
  5. The donor makes the gift to TTU or TTFI without expectation of direct economic benefit or other tangible benefit commensurate with the worth of the gift.

## e. Office of Research Services

- i. The Office of Research Services will have responsibility for negotiation and administration of the award if any of the following indicators exist:



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1. The award is from a governmental or quasi-governmental entity or is a subcontract or purchase order from a federal contractor;
  2. The award is from a corporation's research and development budget and is perceived by the company as a "cost of doing business" rather than a charitable gift;
  3. The for-profit private sponsor hopes to gain direct economic benefit as a result of the activity to be conducted under the agreement;
  4. The award is the result of a project proposal to the sponsor, and there is a written contract between the sponsor and TTU;
  5. The sponsor is contractually entitled to formal financial, technical, or activity reports;
  6. There are specific limitations concerning patents, copyrights, publications, or the use and ownership of equipment;
  7. The unused portion of the award is revocable if the grant is not being used to the sponsor's satisfaction; or
  8. The activity supported by the award involves patents, hazardous substances, animal or human research subjects, or classified material.
- f. Additional information regarding the solicitation of gifts may be found in TTU OP 02.02
- g. Payment of Gift-related Fees
- i. Finder's Fees or Commissions
1. Neither TTU nor TTFI will pay any fee to any person in consideration of directing a gift to



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TTU or TTFI. Such fees could be illegal and, in the case of irrevocable deferred gifts that involve management of assets, the payment of such may subject TTU, its Board of Regents, TTFI, its Board of Directors, or the staff of TTU to federal and state security regulation.

2. No commission or finder's fee of any type will be paid to any party in connection with the completion of a gift to TTU or TTFI.

ii. Other Fees

1. Occasionally additional fees will be required to support a gift such as, but not limited to, deferred maintenance, insurance, utilities, memberships, etc. The department should create a projected budget for these fees and seek approval from the Dean prior to accepting a gift that will require additional departmental, college, or university support.

**4. Acceptance and Processing of Gifts and Grants from Private Philanthropic Sources**

- a. University OP 02.03 to review policies and procedures regarding accepting outright gifts of cash and stock, real property, personal property, library gifts, vehicles, and deferred gifts.
  - i. The development officer will prepare the necessary paperwork to receive a gift supporting the college, including but not limited to, an endowment agreement, a non-endowed gift agreement, and a gift in kind, planned gifts, etc. The unit coordinator will prepare the forms to set up new accounts associated with these gifts. Endowment agreements and non-endowed gift agreements are to be approved by Institutional Advancement Legal before being sent to the donor for signature.



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- ii. Gifts in kind in excess of \$250,000 must be approved by the Board of Regents before being accepted. Certain types of gifts require approval prior to soliciting and/or accepting the gift. These include gifts in kind (more than \$250,000), gifts to create centers or institutes, gifts establishing endowed faculty positions, named spaces, and gifts naming academic areas. Faculty and staff should work with the development office to secure approvals prior to soliciting a gift.
- iii. Minimum funding levels are outlined in TTU OP 02.08.
- iv. Before soliciting corporations and foundations for non-research related support, faculty members should inform the development officer who will secure clearance from TTU OA Corporate and Foundation Relations.
- v. Namings are a common recognition for donors who provide a significant gift to Texas Tech University. Naming standards are provided by the TTUS Board of Regents in Regents' Rules Chapter 13. Namings must be discussed with the development office and Dean prior to offering this recognition. All namings must be betted through the TTU Office of Advancement, TTUS IA Legal, and may require approval from the TTUS Board of Regents.
- vi. College personnel shall not delay the processing of cash, securities, or other gift instruments. If cash is processed, the department should tally the cash before giving it to the development office. All gifts received by faculty and/or staff should be delivered to the development office within three (3) business days with appropriate documentation such as, but not limited to, a gift transmittal form, any mailing envelopes and letters written to the Dean or development officer(s).



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- vii. Credit card information may not be stored at any time. If a donor would like to make a gift with a credit card, the TTU employee should direct the donor to make a gift online at [give.ttu.edu](http://give.ttu.edu).

**5. Gifts of Securities**

- a. OP 02.09 defines policies and procedures to define and clarify the policies and procedures necessary to properly accept, record, and acknowledge gifts of securities from donors to Texas Tech.

**6. Disclosure of Conditional Gifts from Foreign Persons**

- a. OP 02.07 is written to assure that TTU complies with state law requiring disclosure to the Secretary of State of all conditional gifts made to TTU from foreign persons or agents. (This OP governs any gifts to the College of Health & Human Sciences from foreign persons.)

**7. Swag Giveaway**

- a. The development office will partner with the marketing and external relations office for all instances related to swag bags and/or giveaways.

**8. Acknowledgments**

- a. Stewardship
  - i. TTFI maintains the sole responsibility for providing gift receipts to be use for tax purposes
  - ii. The development office will team with the CHHS marketing and external relations office on college-related stewardship
  - iii. The development office will also coordinate with the TTU Office of Advancement on stewardship as guided by the TTU OA Stewardship Matrix.



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### 9. Stewardship Reports

- a. The development office is responsible for preparing stewardship reports to foundations who have given gifts to the college. To ensure that large endowments are reviewed on an annual basis, the unit coordinator of development will send out an email to the account managers on these endowment accounts requesting a report on the use of the spendable funds and what they have accomplished in the previous fiscal year. These reports will be due to the Dean of the college.

### 10. Recognition

- a. Press releases, donor stories, gift announcements, etc. are managed by the TTU Office of Advancement according to the Donor Communications Matrix (Appendix B). Requests for communications or features pertaining to the donors and alumni should be submitted and approved by the senior development officer. Sharing or reposting stories from the TTU Office of Advancement or TTU main website does not require additional approvals.
- b. The development office will coordinate with the marketing and external relations office for additional donor recognition on a case-by-case basis.
- c. Appointments to development advisory boards within the college shall be submitted via the development office. Nominations will be betted through the TTU Office of Advancement and tracked in the donor alumni database.

