

**Sam Houston State University**  
**A Member of The Texas State University System**

**Division of University Advancement Policy UA-03**  
**PROSPECT MANAGEMENT POLICY**

1. INTRODUCTION & GUIDING PRINCIPLES

Prospect management is the intentional, coordinated process by which colleges and universities identify, qualify, assign, and engage prospective donors in ways that align their interests with the institution's philanthropic priorities. At its core, effective prospect management ensures that every prospective donor experience thoughtful, timely, and strategic engagement—guided by an understanding of both donor intent and institutional need—rather than fragmented or competing outreach.

Universities represent the ultimate expression of donor choice. Sam Houston State University offers hundreds, if not thousands, of potential philanthropic designations, reflecting the breadth of its academic programs, student support initiatives, athletics, arts, and institutional priorities. Prospects and donors often hold multiple, overlapping interests: a college or department from which they graduated; a discipline aligned with their profession, student scholarships, athletics, or broader institutional initiatives. Without a clearly defined system to manage prospect activity, donors risk being approached independently by multiple units, resulting in confusion, frustration, and diminished confidence in the university's stewardship. A comprehensive prospect management policy provides the structure necessary to coordinate engagement, protect donor relationships, and ensure that Sam Houston State University presents itself as a unified, disciplined, and donor-centered institution.

2. PURPOSE

The policy and procedures that follow establish the framework for prospect assignment, portfolio management, coordination of outreach, and accountability, ensuring that donor engagement is strategic, collaborative, and aligned with institutional priorities.

All Development personnel involved in personally cultivating or soliciting prospects and donors must input activity in Advancement's fundraising system of record to document fundraising-related activities, including personal contacts, interactions, and opportunities.

3. POLICY STATEMENT

Sam Houston State University is committed to fostering meaningful, strategic, and ethical relationships with individuals, corporations, and foundations that support the university's mission through philanthropy. This Prospect Management Policy establishes a university-wide framework for identifying, assigning, and managing prospective donors to ensure coordinated engagement, maximize fundraising effectiveness, and uphold the integrity of donor relationships.

The policy is designed to:

1. Promote collaboration across colleges, departments, and units.
2. Ensure transparency and accountability in donor engagement.
3. Support data-informed decision-making through consistent use of the university's CRM.

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4. Align prospect strategies with institutional priorities and campaign goals.
5. Establish a consistent line of prospect communication between Advancement and our campus partners and coordinates and approves a single coordination point.

4. DEFINITIONS

1. Prospect: An individual or entity with the potential to make a philanthropic contribution.
2. Donor: A prospect who has made a gift.
3. Prospect Manager (PM): The staff member with primary responsibility for managing the relationship.
4. Secondary Manager (SM): A staff member who supports the PM in cultivation or solicitation.
5. Team Member (TM): A staff member temporarily assigned to engage a prospect before full assignment.
6. Planned Giving Advisor (PGA): A specialist supporting planned giving discussions.
7. Prospect Management Committee (PMC): A cross-functional team that oversees assignments and strategy.
8. Constituent Relationship Management (CRM): A constituent relationship management software system used to track interactions and data.

5. ASSIGNMENT OF PROSPECTS

- 5.01 All prospects are considered university-wide assets and may be assigned to a frontline fundraiser for a variety of reasons, including but not limited to:
1. Capacity and inclination
  2. Affiliation with colleges or programs
  3. Existing relationships
  4. Strategic campaign priorities
- 5.02 High-capacity prospects may be jointly encouraged to be managed across divisions.
- 5.03 Assignment changes must be approved by the Director of Advancement Services, the Associate Vice President for Development, and documented in the CRM.

6. CORPORATIONS AND FOUNDATIONS

The underlying objective of the corporate and foundation relations team within University Advancement is to increase the quantity and quality of interactions and relationships between members of the university community and corporations, and corporate or professional foundations. This aims to do so in a coordinated fashion. These teams encourage schools, colleges, centers, and units to establish direct relationships or contacts with corporations or foundations, unless requested otherwise by the corporations or foundations, or unless there are other university priorities established by the president and executive officers that would be affected.

All corporations/corporate foundations which have been assigned a prospect manager are treated as a managed prospect, with policy guidelines that are the same as those outlined for individuals. To help focus corporate and foundation development efforts and improve communication with a

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wide range of university representatives and multiple points of contact with corporate and foundation prospects, the University Advancement Director of Corporate and Foundation Relations will take the lead in managing key corporations and corporate or professional foundations. Generally, the prospect manager will be a gift officer from the corporate or foundation relations team, but they might also be from a college unit or division with the most significant history and strongest relationship with a given organization. Staff, faculty, and program representatives will work with University Advancement's corporate or foundation relations team and the appropriate prospect manager to contact organizations that draw particular interest from multiple units or divisions.

#### 6.01 CORPORATIONS

- a. For corporations and corporate foundations with a prospect manager listed, it is expected that faculty and staff will comply with all guidelines related to managed prospects as outlined in this document. However, there is no need for the prospect manager to restrict asks to one at a time if the corporation or corporate foundation welcomes multi-unit asks. The management of corporate prospects is important for several reasons:
- b. A single coordination point can provide a wealth of information throughout the university regarding a specific company.
- c. Managing corporate prospects maximizes the ability of the university to raise money by creating stable, reliable, organized relationships with industry partners.
- d. When assigning corporations to a prospect manager, information such as the following will be used to make the assignment recommendation:
  1. Areas of interest
  2. Past Giving
  3. Past and future research projects
  4. Alumni networks
  5. The size of the corporation (Fortune 500, Etc.) and capacity to give will also be considered.
- e. The top-level ("parent") organization will be assigned a prospect manager, and subsidiaries will, by default, be managed by the same person. Additionally, corporate foundations which act on behalf of the parent organization will be managed by the same gift officer to keep the relationships and strategies with the overall organization consistent. However, in cases where an individual prospect for SHSU is also a corporate leader, it is possible that the individual may be managed by a gift officer that is not assigned to the corporation, as the individual's interest with the university may differ from that of the corporation.

#### 6.02 FOUNDATIONS

For foundations with a prospect manager listed in the university's CRM, it is expected that staff will comply with all guidelines related to managed prospects, as outlined in this document. There is, however, no need for the prospect manager to restrict asks to one at a time if the foundation welcomes ask from multiple Units or Divisions. The management of foundation prospects is important for several reasons:

- a. Some foundations are explicit about having only one point of contact at the university (and require highly coordinated asks from the university).

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- b. Many foundation relationships require strategic planning and organization to be effective.
- c. A single coordination point can provide a wealth of information throughout the university regarding a specific foundation, its board, and/or its extended network.
- d. When assigning foundations to a prospect manager, information such as the following will be used to make the assignment recommendation:
  - 1. Areas of interest
  - 2. Past giving
  - 3. Past and future research projects
- e. In cases where the foundation is a professional foundation, it is possible that the foundation may be managed by a gift officer that is not assigned to specific individuals associated with the foundation. Often, the foundation's interests with the university may differ from that of each individual. Similarly, in cases of family foundations, a single gift officer may be assigned to all family members as well as the foundation, if the foundation focuses its giving on the interests of the individuals.
- f. The Corporate and Foundation Relations team with the Division of University Advancement maintains a list of "managed foundations" that must be granted solicitation clearance by the Director of Corporate and Foundation Relations or the prospect manager before any ask is made. This group consists of selected key foundations that:
  - 1. Require the president's signature on proposals
  - 2. Will consider only one request in each period of time
  - 3. Can make a gift of \$1 million or more
  - 4. Have an interest in multiple units or divisions within the university
  - 5. Are of key strategic interest to the university
- g. To assist faculty and staff in understanding the deep relationships with specific foundations and prospects, the foundation relations team within the Division of University Advancement maintains a secure website that contains key information that is useful in building relationships with foundations. The site is available to all faculty and staff, and encourages the active building of relationships between faculty, staff, and foundations.

## 7. CONTACT REPORTING AND CLEARANCE

- 7.01 All substantive contact with assigned prospects must be documented in the University's CRM within 48 hours.
- 7.02 Unassigned prospects require clearance from the Director of Advancement Services and the Associate Vice President for Development before engagement.
- 7.03 Duplicate outreach is discouraged unless coordinated through the PM.
- 7.04 Contact reports must include date, type of interaction, summary, and next steps.
  - a. The university further recognizes that university administrators, faculty members, Advancement personnel, other university staff, students, and volunteers will identify new prospects. The names of new prospects should be relayed to the university's Advancement Services team to ensure that there are no current relationships or strategies pending with those prospects; that a record is created for each new prospect in UA's database of record; and that actions comply with this policy.

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- b. No faculty member or volunteer has the authority to solicit major gifts in the name of Sam Houston State University without coordination from a Director of Development, the Associate Vice President for Development, or the Vice President for University Advancement.

## 8. REVIEW AND GOVERNANCE

- 8.01 This policy will be reviewed every three years or as needed.
- 8.02 The Vice President for University Advancement is responsible for interpretation and enforcement.
- 8.03 Recommendations for updates may be submitted to the Director of Advancement Services for consideration.

## 9. CONFIDENTIALITY

Donor information is the common property of the University and could be subject to open record laws. Therefore, ample discretion must be used when entering interactions and other donor-related information. Fundraisers should consult with the Associate Vice President for Development regarding any questions pertaining to sensitive information gleaned from constituent interactions.

## 10. CONCLUSION

Successful fundraising requires shared information, open communication, and cooperative participation by all concerned parties. The prospect coordination system can help us meet these criteria as well as serve as a stimulus to vigorous additional activity among university faculty, staff, volunteers, and prospective donors.

The accuracy and usefulness of the university's prospect database is dependent upon regular input from all university gift officers and others engaged in development activity. The prospect manager system and team members working with prospects are charged with ensuring that all contacts, ratings, solicitations, and team assignments are regularly and accurately updated on a prospect's record in the University Advancement CRM. They are also expected to proactively communicate with their colleagues in a thorough, transparent, and timely manner so that all appropriate details of a donor's interests and intentions with the university are collaboratively shared and acted upon in a coordinated and professional manner.