Note: charitable grant funders may ask for some or most of the information contained below. **If an application requests more detailed financial or personnel information than what is listed here or contained on the OCFR website, or if you need to access a grant submission website for which we have already created a login and password,** **please reach out to us** **for assistance.** Different applications will have different requirements and space limitations. In most cases, the “Organizational Description” statement below will be sufficient to answer an application question about the ASU Foundation. **Remember that for ALL charitable grants, the applicant is the ASU Foundation.**

**Applicant Information

Legal Name:** Arizona State University Foundation for A New American University, aka ASU Foundation for A New American University, aka ASU Foundation

**Mailing Address:**P.O. Box 2260
Tempe, Arizona 85280-2260
**Physical Address:**300 East University Drive

Tempe AZ 85281-2061

**Phone:** 480-965-3759

**Fax:** 480-727-9656

**Authorized Official/Applicant Information Contact:**
Ms. Virginia E. DeSanto, CPA, CGMA
Ph: 480-965-3759

Fax: 480-727-7782
Email: OCFRgrants@asu.edu
Title: Treasurer
P.O. Box 2260
Tempe, AZ 85280-2260

**CEO**: Gretchen E. Buhlig

**Grants Contact Person:**
Shaun Brenton
Ph: 480-965-1475 Fax: 480-727-7782
Email: shaun.brenton@asu.edu
Title: Associate Vice President of Corporate & Foundation Relations

**Check Delivery Contact Person:**
Cheryl O'Toole
Ph: 480-965-6468 Fax: 480-727-7368
Email: giftprocessing-q@asu.edu
Title: Director of Gift Administration

**Date of Incorporation:**June 23, 1955
 **Employer Identification Number** (also called EIN, TIN or IRS number): 86-6051042

**ASUF DUNS Number:** 073462368

**US Congressional District:** AZ-009
**AZ Legislative District:** 26
**County:** Maricopa

**Email:** asuf.info@asu.edu

**Website:** [www.asufoundation.org](http://www.asufoundation.org)

**Social Media:**Facebook: @asufoundation (url: www.facebook.com/asufoundation)
Twitter: @asufoundation (url: twitter.com/asufoundation)

**Type of Applicant:** 501(C)(3) Non-Profit Foundation. The ASU Foundation is **not** a private foundation as classified under section 509(a).

**Corporate and Foundation Relations Website:**

[www.asufoundation.org/ocfr](http://www.asufoundation.org/ocfr)

Contains:

* ASUF Board Members w/affiliations
* Audited Financial Reports
* Annual Report
* 990 Form
* IRS Determination Letter
* IRS Certification Form
* W9 Form
* Annual Operating Budget
* ASUF Articles of Incorporation
* For other information contact: paco.madden@asu.edu

**ASUF Organizational Description:**

A subsidiary of ASU Enterprise Partners, ASU Foundation for a New American University is one of Arizona's oldest 501(c)(3) organizations, governed by a volunteer board of directors, who provide oversight, leadership, and counsel.

The ASU Foundation is a private, nonprofit organization that raises and invests private contributions to Arizona State University, a New American University, while advocating for and advancing this transformative university mission and brand. The foundation coordinates and directs all major fundraising campaigns on behalf of ASU and its colleges and schools. This includes raising funds for student scholarships, transformational education ventures, faculty research, programs and projects serving underserved and minority populations, and other ASU initiatives important to the university, its students, and higher education. ASU Foundation manages total private assets of over $1.7 billion (FY 19).

The history of the ASU Foundation is the story of several generations of people who shared a vision for Arizona State University - a vision that successfully turned a small teachers' college into an educational institution at the front ranks of American research universities. Incorporated in 1955, the foundation took shape through a group of Valley residents who understood that a great city could not be built without building a great university to sustain and support it.

In 2019, the ASU Foundation earned its eighth consecutive four-star rating from Charity Navigator, America’s largest independent charity evaluator. A four-star rating, the agency’s highest, is reserved for the exceptional non-profit that, according to Charity Navigator, “exceeds industry standards and outperforms most charities in its Cause.” The rating indicates a charity’s superior financial health, accountability and transparency and reflects the ASU Foundation’s rigor, responsibility, and commitment to openness.

ASU Foundation is a 2019 Guidestar Gold Seal of Transparency. The second highest level which demonstrates that ASU Foundation provides “qualitative information about goals, strategies, and vision.”

**Mission Statement**
Be a New American University Foundation, one that complements the trajectory of Arizona State University, builds innovative models of philanthropy, engages the community, harnesses the power of volunteers and involves our donors as partners.

**Vision**
To become nationally recognized as themodel for A New American University Foundation.

**Brief History**
The Arizona State College Foundation was incorporated in 1955 to raise support for all educational areas. During the 1960s and 1970s, the ASU Foundation continued to raise funds to support a broad range of university initiatives. In the 1980s the growing needs of the university enlarged the role of the foundation to include identifying major gift prospects, maximizing returns, and protecting investments. In 1992, two new critical strategic goals were adopted: increasing the foundation's endowment funds to a minimum of $75 million by 2000 and launching the second major fundraising campaign: ASU Campaign for Leadership. In the late 1990s, campaign priorities were grouped into three broad categories: Great Teachers, Great Students and Great Communities. In 2002, Michael M. Crow became the 16th president of ASU. He set out to transform ASU into a national model for a New American University. This model stresses student success, the social relevance of university teaching and research, a focus on the university's local setting within a global context, interdisciplinary collaboration, and entrepreneurship.

As the largest public research university in the United States, ASU established in its charter, “we are a comprehensive research university that (1) measures success not by who we exclude, but rather by who we include and how they succeed; (2) pursues research and discovery that benefits the public good; and (3) assumes major responsibility for the economic, social and cultural vitality and health and well-being of the community.” President Michael M. Crow assumed leadership in 2002 and has advanced an unprecedented expansion of academic infrastructure, quadruped research expenditures, and attained record levels of diversity in the student and faculty bodies. ASU’s New American University initiative is a model to transform and redesign higher education for the 21st century.

For each of the past five years, ASU has been named the No. 1 university in the country for innovation by *U.S. News & World Report*. ASU is now the largest university in the U.S., a $4 billion enterprise with more than 111,249 students across five campuses and online and more than 800 degree and certificate programs.

**GOALS**

* By 2025, maintain a steady state of annual fundraising at $250M.

• By 2025, the endowment will reach $1B.

• By 2025, increase the overall donor count by 25%.

• By 2025, increase the amount of planned gifts by 25%.

• By 2025, increase the amount of alumni giving to 20% of total philanthropy

**FY19 Accomplishments/Highlights**

* Raised $413.7MM in new gifts and commitments
* Surpassed $1.5Bn Campaign ASU 2020 goal
* Endowment value reached $928MM
* $11MM+ from 9,000 gifts for Sun Devil Giving Day
* Launched Next Generation Council, composed of eight ASU alumni, the Council develops future foundation board members and philanthropists
* Implemented Salesforce/Affinaquest Donor Database
* Opened regional advancement offices in Hawaii and Los Angeles
* Doug Fulton, CEO of Fulton Homes, joined BOD
* ASUF achieved a 90% staff retention rate

**Target Population and Geographic Region Served**

ASU Foundation serves Arizona State University and its students, faculty, and staff. We also serve the larger Arizona community through outreach activities, such as children participating in ASU sponsored STEM education in K-12 school and after-school programs; and disadvantaged people around the world through ASU global development projects conducted by Global Resolve and SolarSPELL.

ASU greatly increased higher education access while more closely reflecting the demographics of Arizona in faculty, staff and student populations.

In terms of the number and demographics of ASU’s student population, the student population from all four Metropolitan campuses for the fall of 2019 totaled 74,878 (with a median age of 20 for undergraduates and 26 for graduate students Fall 2018). 51.4% of undergraduate and graduate students were male and 48.6% were female. 64.1% of ASU students were residents of Arizona and 35.9% were non-residence. More than 52% of all students enrolled were non-white. Below is a breakdown ASU’s student population by ethnicity:

 American Indian/Alaska Native 1.3%

 Asian 7.8%

 Black/African American 4.2%

 Hispanic/Latino 25.3%

 Native Hawaiian/Pacific Islander 0.2%

 Two or more races 4.6%

 White 47.8%

 International 7.7%

 Unspecified 1.00%

In the Fall of 2017, 33.3% of undergraduate students were Pell grant recipients.

The number of administrators are 110; faculty 4,704; and staff 8,235.

According to College Factual (<https://www.collegefactual.com/colleges/arizona-state-university/student-life/diversity>), ASU ranks “Very High Overall Diversity” in comparison to colleges and universities nationwide. The following provides diversity information regarding the Tempe campus.

* Above Average in Racial Diversity (both undergraduate and faculty)
* Male to Female Ratio is Fairly Even
* The Ratio of Male to Female Faculty is Excellent
* Very High Location Diversity Across the United States
* There is a large community of international students at Arizona State University - Tempe representing at least 50 countries.

In the fall of 2019, nearly 14,000 first-year students enrolled in ASU, the largest, most diverse and most academically prepared class to attend the university to date. That's a 10% increase in the size of ASU's first-year class compared with last year. This comes at a time when enrollment in colleges and universities around the country is declining, distinguishing ASU as a success story.

In addition to serving university students, faculty, and staff, several ASU centers, institutes, and schools serve the community through education, outreach, and volunteer services and programs. These reach people of all ages from different walks in life in Arizona and beyond. Because of the large number and dispersed nature of these activities, reliable data on persons served is unavailable; however, this number is estimated to be well over one-hundred thousand.

The University is located on four campuses in the Phoenix metropolitan area (Tempe, Downtown, Polytechnic, and West). ASU also has a campus located at Lake Havasu City, AZ; a business and innovation center in Scottsdale, AZ; and a political institute in Washington, DC. Moreover, the University reaches thousands of students across the country through on-line education programs.

**Former names:** Arizona State University Foundation

**When and why we changed our name:** The ASU Foundation formally changed its name in 2011 to the Arizona State University Foundation for a New American University. This name change reflects the foundation's commitment to advancing ASU not just as a world class university, but as a New American University that is dedicated to promoting excellence in its research and among its students, faculty and staff, increasing access to its educational resources and working with communities to positively impact social and economic development.

**Recent Leadership Changes:** On December 9, 2019, R.F. Rick Shangraw stepped down as CEO of ASU Enterprise Partners, ASU Foundation’s parent organization. He was replaced by Dan Dillon. Dillon’s previous position was Senior VP and Chief Marketing Officer for Arizona State University. His primary focus was to advance affinity for the University, which his team accomplished by enhancing the integrity of the ASU brand and implementing innovative and impactful marketing activities. Dillon is a seasoned executive with more than 25 years in domestic and global management roles in the highly competitive consumer packaged goods and restaurant industries.

**Frequently Requested Financial Information**

**(As of June 30, 2019)**

**ASUF Total FY20 Operating Budget**: $30,200,000

**ASUF Administrative Costs:** $9,738,742[[1]](#endnote-1)

**Fundraising Costs:** $16,056,251[[2]](#endnote-2)

**Total number of employees**: 136

**Number of full-time employees**: 104

**Number of part-time employees**: 32

**Number of regular volunteers**: 155

**Total population/clients served:** 72,709 (from all four Metropolitan campuses: Tempe, Downtown, Polytechnic, and West)

**Frequency of Board Meetings:** 3 annually

**Board Member Compensation:** No board members are compensated for service.

**Top 5 gifts (FY19)**:

$ 25,020,000 – W. P. Carey Foundation, Inc. (W. P. Carey School of Business)

$ 14,696,000 – Virginia G. Piper Charitable Trust (Knowledge Exchange for Resilience)

$ 6,872,000 – Charles Koch Foundation (Academy for Justice)

$ 6,634,530 – Arizona Community Foundation (Multi-unit)

$ 5,532,100 – Verizon Foundation (Verizon Innovative Learning Lab)

**Top 5 highest paid employees (FY18):**

R.F. Shangraw, Jr.

Virginia DeSanto

Marcel Valenta

Joshua Friedman

Gretchen Buhlig

For additional information contact Corporate and Foundation Relations

480-965-6248

1. Sometimes referred to by grantmakers as overhead, operational overhead, or operational expenses, administrative costs represent the amount of money spent by the foundation that does not go towards our programs. Expenses in the program service category include gifts and grants transferred to university accounts. [↑](#endnote-ref-1)
2. Fundraising expenses are the expenses incurred in soliciting cash and noncash contributions, gifts, and grants. Expenses in this category include all expenses, including allocable overhead costs, incurred in publicizing and conducting fundraising campaigns, and soliciting bequests and grants from individuals, foundations, other organizations. [↑](#endnote-ref-2)