

## **Institutional Information for Use in Completing ORSPA Forms and ASUF Administrative Information**

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](mailto: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](mailto: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](mailto:giftprocessing-q@asu.edu)

Title: Director of Gift  
Administration

**Date of Incorporation:**

June 23, 1955

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**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](mailto:asuf.info@asu.edu)

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

**Social Media:**

Facebook: @asufoundation (url: [www.facebook.com/asufoundation](http://www.facebook.com/asufoundation))

Twitter: @asufoundation (url: [twitter.com/asufoundation](http://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](mailto: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

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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 \$1.3 billion (FY 20)<sup>i</sup>.

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 2020, the ASU Foundation earned its ninth 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.

### **Mission Statement**

To advance, through philanthropy, the success of Arizona State University as A New American University.

### **Vision**

To become nationally recognized as *the* model 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

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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, quadrupled 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 six 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 119,951 across five campuses and online (all four Metropolitan Campuses + Skysong, Fall 2019) 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

### **FY20 Accomplishments/Highlights**

- Raised \$289 in new gifts and commitments, surpassing \$275M goal and marking 6<sup>th</sup> consecutive year of surpassing annual goal
- Met all 6 objectives for Campaign ASU 2020 (list them out)
- Endowment value reached \$958M
- Launched We Care Campaign, a compassion-based donor journey that results in an ask for need-based resources for ASU to support the community during COVID-19
- Expanded the Next Generation Council, to include new young alumni representation from San Francisco and Silicon Valley

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- Implemented fully digital processes with the transition to remote work (e.g. Gift Agreements on DocuSign, donor acknowledgements, virtual scholarship interviews, etc.)
- Connect with over 111,800 donors via our new Thankview platform, exceeding industry standards with a 36% open rate
- Lauren Bailey '02, Co-founder and CEO of Upward Projects, and Tony Sarsam, CEO of Borden Dairy Company, were elected to the ASUF board of directors
- ASUF achieved a 87% staff retention rate
- ASUF received the highest rating (4-stars) from Charity Navigator for the 9<sup>th</sup> consecutive year

### **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%

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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

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**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.

**ASU/ASUF Response to COVID-19:** ASU is committed to an environment that supports student learning, health and wellness. The University has made significant investments in infrastructure that provide critical resources to manage COVID-19. In addition to reconfiguring classrooms and meeting spaces, ASU is providing on-demand COVID-19 testing for all students, staff, and faculty, as well as HealthCheck, a health status verification platform. ASU's plan reflects current public health guidance (such as requiring face masks, social distancing, testing and contact tracing) and is subject to change. Consistent with efforts to meet learners where they are, ASU offers courses in a variety of learning environments to accommodate students' needs depending on location or circumstance. This includes Immersion (on-campus, in-person, technology-enhanced learning), Sync (technology-enhanced and fully interactive remote learning using live lectures via Zoom) and iCourses (courses delivered entirely online). On August 20, 2020 ASU resumed on-campus, in-person classes. ASU's detailed response to COVID-19 can be found at <https://www.asu.edu/about/fall-2020>. ASU Foundation follows Arizona State University's guidance regarding the response to COVID-19 and has instituted additional measures to ensure the safety and wellbeing of employees, donors, volunteers, and visitors.

### **FREQUENTLY REQUESTED FINANCIAL INFORMATION**

**(As of August 31, 2020)**

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**ASUF Total FY21 Operating Budget:** \$27,367,000

**ASUF Administrative Costs:** \$7,574,000<sup>ii</sup>

**Fundraising Costs:** \$19,792,000<sup>iii</sup>

**Top 5 gifts (FY20):**

\$ 30,000,000 – State Farm (Pathways for the Future)

\$ 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)

**EMPLOYEES/VOLUNTEERS/POPULATION SERVED (FY20)**

**Total number of employees:** 133

**Number of full-time employees:** 107

**Number of part-time employees:** 26

**Number of regular volunteers:** 235

**Total population/clients served (Fall 2019):**

From all four Metropolitan campuses: Tempe, Downtown, Polytechnic, and West)

Total Enrolment (undergraduate and graduate):	74,878
Total Employees (faculty, staff, and administrators):	17,154
Total Clients served:	87,927*

\* The numbers do not add up because graduate students and graduate assistants/associates are in both enrolment and employees category. 4,105 graduate students are also graduate assistants/associates.

**Top 5 highest paid employees (FY19):**

R.F. Shangraw

Gretchen Buhlig

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Marcel Valenta  
Virginia DeSanto  
Kimberly Hopley

### **BOARD (as of 9/1/2020)**

**Number of board members:** 13 (+ 3 voting staff)

**Frequency of Board Meetings:** 3 annually

**Percentage of Board that Financially Supports Organization:** 100%

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

**Ethnic and gender diversity of board by percentage:** (7 out of 16) or 44%

For additional information contact Corporate and Foundation Relations  
480-965-6248

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<sup>i</sup> From ASUF's FY20 auditted financials

<sup>ii</sup> 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.

<sup>iii</sup> 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.