



NYU

Corporate and
Foundation Relations

CFR Toolkit for Charitable Fundraising



CFR Toolkit for Charitable Fundraising

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I. Introduction

New York University's Corporate and Foundation Relations (CFR) office is pleased to present this Toolkit for Charitable Fundraising. The objective of this Toolkit is to provide all of NYU's faculty, deans, development officers, and administrative staff with the information and resources they may need to successfully raise charitable support from corporations and foundations for the numerous important and worthy projects, both large and small, across our University. For help with raising money from individuals, please contact your school's Associate Dean for Development or Director of Development.

The CFR Toolkit provides essential information to guide you through all phases of the foundation and corporate foundation fundraising process: from research, to finding potential funders, to engagement of donors, to submission of winning proposals. Whether you are seeking a grant to fund scholarly research, programmatic funding for an academic program or institute, scholarships for students, fellowships for faculty, or travel and conference support, this toolkit will provide essential information and guidance, as well as useful tips to help you succeed.

Throughout the different sections of the toolkit, you will find information on who to contact if you have more specific questions or require assistance that you don't find here. We invite your questions and feedback. Send us a note at nyu.cfr-group@nyu.edu.

Yours,

The CFR Team

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II. Frequently Asked Questions

This toolkit provides a full range of information and instruction on how to raise funds from corporations and foundations – from conducting prospect research, to cultivating institutional donors, to crafting a compelling proposal. The following are frequently asked questions with links to specific areas of interest within the CFR Toolkit:

What is the Corporate and Foundation Relations (CFR) department?

CFR is the central office for corporate and foundation fundraising, and we are located within University Development and Alumni Relations (UDAR). Our principal role is to facilitate and maximize mutually beneficial relationships between NYU and corporations, foundations, and other non-governmental philanthropic organizations.

When should I work with the Office of Sponsored Programs (OSP)?

[OSP](#) works with faculty/principal investigators (PIs) on all government fundraising, so if you are seeking federal, state, or municipal funding, **contact [OSP](#)**. OSP also helps faculty/PIs submit proposals to foundations and corporations if the work is considered “sponsored research,” which includes, but is not limited to, any work involving the disposition of rights in data, inventions, intellectual property rights, licensing, animal or human trials, etc. Most of the funding which OSP helps is considered non-charitable, and is therefore not part of the mission of the Corporation and Foundation Relations Department, which only seeks to raise charitable (or tax deductible) contributions.

What’s the difference between CFR and OSP?

The **Office of Sponsored Programs (OSP)** oversees policies and processes for:

- [Government Funding](#) – Federal, state, and municipal funding opportunities.
- [Sponsored Research](#) – Also referred to as proposals for non-charitable funding, this includes any work involving the disposition of rights in data, inventions, intellectual property rights, licensing, animal or human trials, etc.

Corporation and Foundation Relations (CFR) oversees fundraising for:

- [Charitable Funding](#) – Charitable funding means that donors who are providing the funds are allowed to take a tax deduction from their income taxes for the amount donated. Most private foundations and corporate foundations contribute charitable funds for programs and projects. The charitable funding for which CFR raises money can be directed towards academic research, scholarship, and projects and programs.

If you are uncertain whether the project for which you’re seeking funding

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constitutes a charitable or non-charitable project, please email CFR for help in making a determination.

What's my first step if I have a specific foundation or corporation in mind?

All projects for both charitable and non-charitable funding must receive clearance from CFR. This should be your first step in opening conversations with a corporation or foundation. The Clearance Request Form can be found [here](#).

Do I need to get official approval to proceed with fundraising for my project?

Yes – you should always work to ensure that your project and budget have been reviewed by and received approval from your department chair, department dean, financial department, or the dean of your school.

Once I have clearance, is it ok to contact a foundation to discuss my project?

Yes, in fact we recommend that you make as much direct engagement with the donor as they are willing to give you. Most winning grants are the result of a relationship with the donor, so calling, meeting in person, emailing, etc. are all recommended. How to develop and cultivate relationships with donors is described in “[Beginning the Conversation: Donor Engagement](#).” At the same time, please be aware that there are literally thousands of other potential grantees pursuing these donors, and you may not always be successful in making direct contact.

If I have a connection with someone at a specific foundation/corporation, is it all right to contact them to see if they can help me get funding?

Yes, as long as you have submitted a [Clearance Request Form](#) to our department and have been given the go-ahead to contact them. Please be aware that – because NYU is a very large university and we are raising funds from hundreds of foundations and corporations annually – it is possible that someone at NYU is either getting a grant from, or also wants to approach, the foundation or corporation with whom you have a connection. The clearance process ensures that there will not be any conflicts and helps to maximize NYU's fundraising efforts.

Can you help me with writing my proposal?

We have provided [templates and tips](#) for writing compelling, winning proposals within this toolkit that can help you with writing your proposal. If your project budget is at least \$100,000, a CFR Portfolio Manager can provide hands-on assistance on all aspects of your efforts. In any case, we are available to review your proposal and give you brief comments on its strengths and areas for improvement. Contact the appropriate [CFR Portfolio Manager](#) for assistance.

Are there development staff assigned to my school that can also assist with fundraising needs?

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Yes. Your school's Associate Dean of Development or Development Director should be one of the first people you contact for fundraising assistance – they are sometimes more informed on what's happening from the ground up. To find out who represents your school, [click here](#).

Can student organizations fundraise from foundations?

If a student organization has its own not-for-profit 501(c) (3) status, the organization may apply on its own to an institutional donor. NYU will not acknowledge or accept any responsibility for the projects or programs for which the student organization is seeking funding. If the student organization does not have independent not-for-profit status, it may not apply through the auspices of NYU.

How far in advance should I begin fundraising if my project is time sensitive?

This is difficult to answer, as many institutional donors operate in decision-making cycles. But it is safe to say that if you have a program or project that will take place at a specific time in the future (i.e. a conference, seminar series, etc.), you should begin at least six months to a year before the actual event takes place.

Does my proposal need a line-item budget?

In most cases yes, as foundations and corporations want to know how you are planning to spend their money. We strongly recommend working directly with the finance department within your school to develop an NYU-approved budget. Go to "[Determining What it Costs: Budgeting for Private Grantseeking](#)" for more information.

How do I know if my project is fundable and how do I find donors?

This requires thorough [prospect research](#) on your part. When you conduct prospect research and begin reviewing the information on foundation and corporate sites, look for the specific kinds of programs, projects, and organizations that are being funded, what their goals and deliverables are, etc. If, after conducting sufficient research, you do not see any projects or programs that are similar to yours, it may be challenging to secure foundation funding. Your project may be more appealing to an individual or to a government agency.

I have seen an RFP (Request for Proposals) to which I would like to respond; may I do this on my own?

Yes, but please first submit a [Clearance Request Form](#) and wait to receive approval. Unless there is a potential conflict, your request will be approved. If your project has a budget over \$100,000, please contact the [CFR representative](#) for your school for help with the RFP process.

If the foundation to which I am applying requires a letter from the president or provost or other institutional documentation (e.g. audited financials) to accompany the proposal, what do I do?

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Please contact our office at nyu.cfr-group@nyu.edu and we will work to provide you with the necessary documentation. This varies from donor to donor. Generally, it can take anywhere from three to six months or more once you have submitted a proposal to get a decision.

How long does it take to hear from a foundation or corporation as to whether or not I've received funding?

Many institutional donors have regular decision-making cycles (quarterly, bi-annually, etc.). It is advisable to get this information directly from the foundation if you are able to engage them in a discussion about your program. This information may also be located on the [Foundation Directory Online \(FDO\)](#) profile or on the foundation's website.

Is it appropriate to contact a donor after I have submitted a proposal?

Generally, it is not advisable to make further contact, other than to ensure that the donor has all of the documents they require.

What does it mean when a funder requires a match?

If the foundation or corporation is considering your program and is stipulating that it will require a match, you must be willing and ready to secure additional funding from other sources. Some matching gifts will require dollar for dollar matches, others a 2:1 match, etc. The funder will stipulate the exact requirements.

What is an "in-kind" contribution?

Some funders will provide this type of contribution, which consists of goods or services (e.g. equipment, supplies, etc.) rather than cash grants.





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III. Finding Funders For Your Work: Effective Research

Researching potential funders is a very important step in the fundraising process. Following are some helpful directions and tips to aid your search. In this section, you will find helpful information on:

-  [Preparing For Your Search](#)
-  [Using Foundation Directory Online Database](#)
-  [Prioritizing Your Possible Funders](#)
-  [Finding Requests for Proposals \(RFPs\)](#)

[Preparing For Your Search](#)

To prepare for researching potential funders, you should:

- Think about your previous funding sources for similar projects. You may be able to apply to those foundations or corporations again.
- Ask colleagues within NYU and at other institutions who are working or have worked on similar projects about their funding sources; you may be able to apply to those funders.
- Articulate the goals of your project and extract keywords from this explanation that you will use as search terms.
- Know the amount of funding you need, so that you can focus on appropriate-sized grants (more on this later).
- Know the type of support you need – some foundations do not provide grants for certain things (e.g. fellowships).

Now you are ready to look up potential donors!

Helpful tip!

Develop a list of grantee organizations that are similar to your program or have similar missions/goals. Even if you only have a few of these, you can go to their websites, locate the names of their donors – and in many cases, be able to conduct further research on these funders.

Not every organization lists its donors in the same website section (and some do not publicly list them anywhere). The best areas to search are:

- Donor or Support page
- “About Us” section
- Annual Report

A simple Google search of “[Organization Name]” and “donors” may bring you directly to the list (for example: Google “American Diabetes Association donors” or “American Diabetes Association donor list”).

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Using Foundation Directory Online Database

The [Foundation Directory Online \(FDO\)](#) is one of the most comprehensive grant and grantmaker databases for your search. This will be your most useful source for private or independent foundations and corporate foundations. You have free access to FDO through NYU Libraries. To access FDO:

- Login to your NYU Home Page
- Click on the “Research” tab at the top
- Click on the “Databases A-Z” tab
- Type in “Foundation Directory Online” in the search box
- Click on the “Foundation Directory Online” link

Once you are on the FDO main page, find the “Getting Started” link, which brings you to a page providing more links to excellent search resources such as:

- “Search Tutorial,” which walks you through several search scenarios
- “Guided Tours,” which posts videos that can also help you navigate the database
- “Complete List of Search Index Terms,” which lists all the categories that you can use in your search (more on this shortly)

There are two types of searches that will be most helpful: “[Search Grantmakers](#)” and “[Search Grants](#)” – both tabs are found near the top of the page.

“Search Grantmakers” is useful if you have specific funders (from colleagues, your past funding, or funders of similar organizations) for whom you simply want to look up information:

- Click the “Search Grantmakers” tab
- Type in the grantmaker’s name in the “Grantmaker Name” box
- FDO only identifies exact word matches, including “of,” “for,” etc., so type in the exact name or part of the name

To create a list of potential funders, use the following tools:

- “Fields of Interest: View Index.” This is one of the more useful and simple tools offered by FDO. It is a searchable and alphabetized list of categories. Click (to avoid typos, do not type) the categories that fit your project.
 - ✓ You can change the OR to AND in the search box; this will limit your search. For example, if your project deals with diabetes in girls, you can search “Diabetes” AND “Girls.” “Diabetes” OR “Girls” will yield many more results and may be difficult to sift through.
- You can do the same with the last box, “Keyword Search” – type in specific keywords using AND or OR to either limit or expand your

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- search, respectively.
- You can also limit your search by clicking “Geographic Focus: View Index.” For most NYU projects, “New York” OR “National” will suffice. This is not a necessary step if your list is already fairly short.
- You can further limit your search by clicking “Types of Support: View Index.” FDO provides a list of types of support; click on as many as you need or none at all.

Helpful tip!

Here’s the most useful information that you can find on a FDO grantmaker profile:

- Website for the foundation (if listed). Look at that website for the most updated program, contact, application, leadership information, and grants awarded.
- Links to recent 990s. A tax form that foundations are required to submit, 990s may have program, contact, application, and leadership information beyond what FDO provides in the profile. 990s provide the best information for grants awarded in the filing year. Looking at recent grants indicates the size of grants that the foundation awards (and thus is more likely to give to you), the types of organizations to which it gives, and the purpose(s) for which the grant(s) is/are given.

“Search Grants” is another place to find funders of similar organizations on the [list you prepared](#). This resource will not be as comprehensive as anything found on the grantee organization’s website, but may be helpful if you cannot initially locate its donor list, and also may have more specific information regarding the purposes of grants. To utilize “Search Grants”:

- Type in the name of the similar grantee organization in the third box labelled “Recipient Name.”
- Because FDO only identifies exact word matches, including “of,” “for,” etc., it may be helpful to type in only part of the organization’s name (e.g. “Diabetes Association”) if nothing initially comes up. (If this does not help, it is likely that FDO may not have grant information available for that organization). This kind of partial search can also be helpful in finding similar organizations – “Diabetes Association” yields more than 3,000 results.
- To make this list more manageable, you can also limit the search by what year the grant was given (more recent grants are most relevant, as they are a better reflection of what the grantmaker is currently funding), by grant amount (in this instance, it is important to know the amount of funding you need), or by geographic location of the donor. To limit your search in this regard:

By year:

- ✓ Type in “Recipient Name” and at the bottom of the page, click the “Year Authorized” button under the “SORT BY” section, or

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- ✓ Type in “Recipient Name” and include a year range in the “Year Authorized” boxes (second boxes from the bottom).

By grant amount:

- ✓ Type in “Recipient Name” and at the bottom of the page, click the “Grant Amount” button under the “SORT BY” section, or
 - ✓ Type in “Recipient Name” and include a dollar range in the “Grant Amount” boxes, second boxes from the bottom (using the drop-down menu that also included “Year Authorized”)
- Once you are satisfied with your results:
 - ✓ Click “Recipient Name, Location” (2nd column from the left) – this brings you to specific information regarding the grant that was awarded.
 - ✓ To look at information on the grantmaker, click the “Grantmaker” tab at the top; this brings you to the grantmaker’s profile.
 - You can also type in specific keywords in the last box, “Keyword Search.”

Helpful tip!

A corporation has many different ways of giving. To get the most complete picture, it is always best to go to the company’s website. Corporate giving programs may be found under the following website sections:

- “Sustainability”
- “Corporate Responsibility” or “Social Responsibility”
- “About Us”

If you have any questions, please contact CFR Research via cfr.research.request@nyu.edu. We can suggest search keywords. We can also look up any NYU connections with funders of whom you may not be aware.

Note: You must submit a [Clearance Request Form](#) before contacting or applying to any funder, in order to ensure that all requests from NYU are coordinated. Please reference the “Getting Clearance” section of this toolkit for further instructions.

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Prioritizing Your Possible Funders

After conducting research, it can be difficult to know which foundations are worth pursuing. In CFR, we look at several factors when prioritizing prospects and putting together a plan of action for approach: ability, interest, and connection.

Ability is the prospect's capacity to give. For example, if you are seeking a donation of \$50,000, you will need to determine if the prospect is capable of giving at that level. This can most easily be determined by examining the prospect's [Foundation Directory Online \(FDO\)](#) profile or 990 form (990-PF), which can be found on the FDO profile or on [Guidestar.com](#).

- The most helpful section of the 990 for determining ability will likely be page 11, which provides a complete grants list. This can give you a sense of the number and size of gifts made by a given foundation. Sometimes the statement "see attached" is written on page 11 of the 990 statement. If this is the case, then look through the 990-PF for the schedule of grants.

Helpful tip!

Check to see if the foundation has provided any grant listings in part B, "Approved for future payment." If so, you potentially have two years' worth of grants listed in one 990-PF.

Another important section of the 990 is Page 10, Part XV, which provides information about the procedure for submitting applications to the foundation. Here, you can identify to whom the application should be addressed, the type of application that is required, submission deadlines, restrictions, and limitations.

The second prioritization factor is **interest**, or the prospect's likelihood of supporting your mission through a financial contribution. Does the prospect have a stated interest in your project area? Have they made grants to organizations with similar missions to your work? Are they open to receiving proposals? This information can be found not only on the 990-PF, but also on the foundation's website or FDO profile.

The third consideration, **connection**, requires that you evaluate the prospect's personal or professional connection to NYU and/or your work. Ask your NYU colleagues if they have ever received funding. Check with your school's grants manager to see if the prospect has ever made a gift to NYU. Reach out to your colleagues at other universities to see if they know anyone at the foundation and would be willing to make an introduction. Engage CFR staff to get information on previous grants made to NYU. Capitalize on these connections to help get your foot in the door. Once you determine the prospects you wish to pursue, you can begin the donor engagement stage of the process.

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Finding Requests for Proposals (RFPs)

A Request for Proposals (RFP) is issued when a foundation or philanthropic entity of a corporation has grant funding available. The RFP lists project specifications and application procedures. If you are interested in responding to a funding opportunity, read the full RFP on the grantmaker's website or contact the grantmaker directly for complete program guidelines and eligibility requirements before submitting a proposal.

Helpful tip!

If you are interested in replying to an RFP, you must submit a [Clearance Request Form](#). Please see the ["Getting Clearance"](#) section of this toolkit and contact us at cfrclearancerequest-group@nyu.edu for more information.

Below is a list of suggested resources for finding applicable funding opportunities:

PND: Philanthropy News Digest (PND) has a daily listing of RFPs submitted by grantmakers. Each RFP posting provides a brief overview of a current funding opportunity offered by a foundation or other grantmaking organization. You can subscribe to the RFP Bulletin, a free listing of new RFPs delivered weekly by e-mail, by visiting its [Newsletters page](#).

Subscribing to a foundation's newsletter: Some foundations send periodic news alerts about activities within their individual programs. Those news alerts may contain just a general update about the foundation or may announce giving opportunities or calls for RFPs. Check under the "Grant Section" or "About Us section" to find this service.

Google Alerts: You can get e-mail notifications any time that Google finds new results on a topic in which you are interested. For example, you can get updates about a particular foundation, find out when people post content about organizations online, or keep up with relevant news stories. For directions on how to set up alerts, [click here](#).

CFR RFP Distribution List: The Corporate and Foundation Relations department distributes RFP announcements, with a threshold of \$100,000 or more, to a designated contact in each academic department. We will be happy to include you in our distribution list. Please contact [CFR's Research team](#) or the development officer affiliated with your School, Center, or Institute if you would like to be included on this distribution list. If you are looking for government-related or sponsored research funding, please visit the [Office of Sponsored Programs \(OSP\) RFP page](#).

Helpful tip!

Be mindful of the application deadline. This is particularly important if you do not have an existing program and/or proposal readily available.

Play close attention to funding restrictions. For example, some foundations will not support administrative overhead or will only provide scholarships to individuals rather than to a university as a whole.

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IV. Beginning The Conversation: Donor Engagement

Once you have identified and prioritized potential prospects for your work, it is time to engage them. In this section, you will learn about the initial two steps you should take to begin a conversation with a prospective donor:

✚ First Step: Getting Clearance

✚ Second Step: Making Contact

✚ First Step: Getting Clearance

Before making contact with a foundation or corporation, you need to obtain clearance from Corporate and Foundation Relations. Compliance with this University policy ensures that solicitations across NYU do not conflict, and improves your chances of your request being positively considered.

When to seek clearance

Clearance should be sought if:

- a) You decide to pursue a prospect
- b) You intend to call or email the prospect and/or plan to make appointments for yourself, a colleague, a faculty or a Dean to meet with someone at the foundation
- c) You are responding to an RFP

Applying for clearance

Fill out the Corporate and Foundation [Clearance Request Form](#) as completely as possible and submit it to us at cfr.research.request@nyu.edu.

Once the form has been received, you will receive a response within 48 hours. As long as there are no potential conflicts, clearance will be granted. Please note: CFR does not grant clearance for government entities or for individuals. If you are interested in applying to a government agency, please contact NYU's [Office of Sponsored Programs \(OSP\)](#).

Helpful tip!

If you have any questions about the clearance policy, please contact cfrclearancerequest-group@nyu.edu

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Second Step: Making Contact

Engaging a program officer at a foundation before you submit a letter of inquiry or proposal increases the likelihood that your project will be funded, for several reasons:

- Your proposal will be strengthened by the program officer's feedback.
- The program officer will be expecting your proposal and will shepherd it through the foundation's approval process.
- The program officer will feel a sense of ownership in the project if you incorporate his or her suggestions into the submitted proposal.

Helpful tip!

It is important to manage your expectations when approaching a foundation. Due to the sheer volume of requests they receive, many foundations cannot provide individualized feedback on documents you send to them. Don't get discouraged!

1. Getting to know you

The first step of donor engagement is for you and the program officer to get to know each other. The best way to do this is to send an introductory e-mail or call the foundation to describe the project before submitting a formal letter of inquiry or proposal. Your goal is for the program officer to agree to a face-to-face meeting before you submit anything to the foundation. If a face-to-face meeting is not possible, a phone call is an acceptable way to communicate details about your project. The meeting or call will provide a valuable opportunity for the program officer to hear about your mission, your work, and your successes. Given that their time is usually limited, it is important to develop a succinct "phone pitch" about your program, outlining the need you plan to address, your program structure, and desired outcomes.

In some cases, program officers will opt out of further engagement because the project is not a good fit within the foundation's guidelines. If the program officer tells you that the foundation's guidelines have changed and the foundation is no longer funding projects in a specific area, please email [CFR](#) a brief report on your conversation so that we can enter this information into the UDAR database in order to share this information with others.

2. If the program officer agrees to a meeting

Prepare for this meeting carefully and think through the best way to organize it. It is often effective to first schedule a tour of the NYU facilities (e.g. a lab, or a classroom filled with eager students) to provide the big picture, and then discuss the specifics of the project for which you are seeking funding. After discussing the foundation's interests and your project, be sure to ask the program officer the following questions:

- What are the next steps?
 - If you are invited to submit a proposal, what is the timing/due date? What kinds of information should be included in the proposal?

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Helpful tip!

If you are asked to submit a proposal, make sure it is submitted on time. Ask a CFR Project Manager to proof the final proposal before it is submitted. If the program officer does not ask you to submit a proposal, let CFR know so that we can close out the clearance and add this information to the UDAR database.

- Do you have any suggestions for other foundations that might be interested in learning about this project?

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V. Making The Case: Persuasive Fundraising Documents

You might be asked to prepare several types of written documents as you seek support for your work from private foundations. The most common are:

- ✚ Concept Paper/Case for Support
- ✚ Letter of Inquiry
- ✚ Proposal

Below are basic outlines for each, along with an expanded outline describing the content for each section.

✚ Concept Paper/Case for Support

As the name implies, a concept paper/case for support is a document (not in letter form) that states the reason and compelling need for your project to potential funders. This document is generally between two to five pages, depending upon the scope of the project (for example, a request for a piece of equipment would be less, while an international training program for health care workers would be longer). The concept paper/case for support will be the main document that you provide to interest potential funders and can also serve as the content source for other documents (e.g. letters of inquiry, proposals).

Helpful Tip!

Basic Outline

- | | |
|----------------------------|---|
| 1. Introduction | 5. Program Description, Vision, and Specific objectives |
| 2. Need | 6. What would happen if you did not get the money? |
| 3. History and Credentials | 7. How the donor can help/Call to action |
| 4. Mission and Values | |

Expanded Outline

- Introduction – Give the reader a brief overview of what you are presenting; try to make it exciting and create the desire to read further. This is an introduction to your entire department, institute, center, or school, or in some cases, a specific project. Treat the reader as if they do not know anything about you: What are the most important things to include? What are likely to be the most compelling?
- Need – Use this space to describe the specific need and why it matters right now. You might include the unit or project's problems in securing funding; why the specific issue itself is so pressing at this moment in time; and/or why the work needs to happen now instead of later – anything to add a sense of urgency.

This is also the place to give the donor a reason to care about the cause; therefore, some discussion of why it matters on a larger scale is always fitting here.

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- History and Credentials – Enhance the department or school's credibility by highlighting successful past accomplishments. This is a kind of continuation of the previous section – except that in the introduction, you are providing a general sense of who you are, and in this section, you are providing some concrete examples to back it up.
- Mission and Values – Emphasize the reason(s) why your department or school is deserving of support and why the donor should specifically give to you by explaining the importance of the department/school's mission and values to its past and current achievements. This differs from the introductory section in that the introduction is strictly about the department or school, while the mission/values section specifically describes how the department/school is interacting with a problem or issue and why this makes the department/school especially fit to deal with the problem.
- Program Description, Vision, and Specific Objectives – Discuss the future: where the department/school is going and what will be specifically done once a gift is received. You can focus on a particular project or a few prioritized projects, or you can be more general about your entire unit or initiative. This is the place to depict the project or vision in its completed form and the type and amount of detail will vary. If you are writing a case for a building, you might attach architectural renderings and descriptions of what will happen inside. If you are talking about something bigger (e.g. an entire science program and its goals), you might highlight a few prioritized projects, or talk generally about the development and movement of the college. The point is to present the plan concretely without losing sight of the larger altruistic purpose behind it.
- What would happen if you do not get the money – Clarify the problem or the current state of affairs and vividly illustrate how different the situation will be if you receive support. Depending on your case for support, this may be an emotional appeal or an invitation to be part of a revolutionary innovation, change, or premier program or initiative. You want to create a sense of urgency here with regard to improving the current situation. Do not dwell on the negative; simply present it, then clearly describe the positive solution – and how private donations can bring it about.
- How the donor can help/Call to action – Now it is time for the call to action, or a hard or soft ask – whichever is appropriate. You can simply “invite” the donor to be part of this exciting project; you can suggest that you “hope” they will be part of it; and/or you can let them know they can expect you to contact them to find out their level of interest. The point here is to not miss the opportunity to let the donor know you are serious about determining their level of interest. This can be very subtle if need be, but making some kind of ask, or letting the donor know your intent and next steps, can get you further down the road and wastes less time. And be sure to end on an emotionally resonant note!

Here are some examples of [Concept Papers](#).

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Letters of Inquiry

Funders may request an initial letter describing the project, which they will evaluate to determine whether to request a full proposal. Commonly known as a letter of inquiry (or letter of intent), this is often the first opportunity to persuade funders to support your work. You should follow all funder guidelines with regard to content and length. If there are no specific guidelines, length should generally be no more than three pages (although you should strive for two pages). The letter of inquiry is a condensed version of the longer concept paper/case for support and proposal, with the following sections:

Helpful Tip!

Basic Outline

1. Introduction and ask
2. Need for project
3. History of organization or initiative/Why us?
4. Project details, goals and activities
5. Call to action

Expanded Outline

- Introduction and ask – Include reference(s) to any prior contact with the foundation. State why you are writing – the project and amount of support you seek. Use the funder's own language to link their vision to the project for which you are seeking support.
- Need for project – Describe the need. Briefly state the problem that your work is going to address.
- History of organization/Why us? – Describe the problem in more detail, and demonstrate why your organization is worthy and capable of solving it.
- Project details, goals, and activities – Succinctly and concisely describe the most important aspects of the solution in clear language.
- Call to action – Reiterate the ask. It should be specific, direct, and clear. Note again the impact that will be possible through their support. Thank them for their consideration and invite them to call or e-mail with questions.

Here are some examples of Letters of Inquiry.

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Proposal

The proposal is perhaps the most critical fundraising document. The proposal will form the basis of the agreement between you and the donor should a grant be awarded. In addition to specific details about project goals, outcomes, and activities, a proposal will also include a detailed budget, which reflects the total cost of the project, and specify which parts of the project will be funded by the donor's grant.

Helpful Tip!

Basic Outline (following the title of the proposal and the name[s] of proposal recipient[s])

1. Introduction/Executive Summary
2. History of organization or initiative/Why us?
3. Vision for the future/Why now, why you
4. Call to action

Expanded Outline

- Introduction/Executive Summary – Briefly introduce your project: include the problem that needs to be solved, the solution, why it matters, and a soft ask. The idea here is to convey everything that is to follow. At the end of the introduction, the project should be very clear, but the intro should also spark reader interest and discuss why the project matters on a higher level.
- History of the organization/Why us? – Further describe the problem, and demonstrate why your organization is worthy and capable of solving it. One goal of this section is to emphasize the severity of the problem: you need to convince the donor that the problem is worthy of action, so be aware of any questions the donor might have about the problem's urgency. Another goal is to highlight past accomplishments, talk about the department or school's mission statement, talk about your personal role, your past work, etc., to prove that if the donor gives you the money, you would handle it responsibly, and that you have the capacity to achieve the solution to the problem. (It is also useful – if appropriate for the given case – to explain why you cannot currently solve the problem.)

Vision for the future/Why now, why you – Reveal the solution to the problem and then discuss why the donor should be the one to help. This is a technical section where you must prove to the donor that you know, in detail, what you will do once you have the money. This requires you to succinctly and concisely describe the most important aspects of the solution. If you are proposing a new building, this might mean including schematics and detailed descriptions of specific rooms and what will happen inside them. It might include stating (exactly) how a new scientific program will be conducted; it might detail new research that will be done once funding is secured. Whatever project you are describing, describe it well and don't waste words doing so (which is not always easy). Be sure to include expected outcomes and results of the project.

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The second objective is to prove to the donor that he/she specifically should be the one to give and make the project possible. This is the point where you further link the foundation's mission and goals to the work that you are proposing. What would the gift allow you to do that you could not do without it? Why are you asking this donor in particular? Be rational, yet passionate.

- Call to action – This is the crescendo, the climax. The reasons for giving and the meaning behind the project are clearly established at this point, and this section emphasizes them in a way that resonates, emotionally or logically, with the donor. As such, this is not a section for technical information about the project – it is about why the project matters.

Here's where you ask for the money. The ask should be specific, direct, and clear. Do you want a one-time gift of \$1 million dollars? Do you want the funds to be donated over a period of time? Can the prospective donor call someone to discuss it in more detail? This is the place for clear and technical information on the gift process, yet stay conversational in tone. And as in a case for support, it is almost always advisable to end this section on an emotionally resonant note.

Here are some examples of [Proposals](#).

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VI. Determining What It Costs: Budgeting for Private Grantseeking

Budget planning is an integral part of your overall program planning, and your proposal budget is an extremely important component of your proposal package. Grantmakers emphasize time and again that program budgets are often the first proposal item reviewed. Consider the budget as a financial expression of the proposal narrative, with figures that reflect proposed activities and include an estimate of every real cost associated with your program. In other words, the budget provides another chance to tell your story to a prospective funder.

In this section, you will find helpful information to guide you through the budget creation process, including:



[Planning Your Budget](#)



[Budget Templates and Planning Tools](#)



[Planning Your Budget](#)

The budget included in a private grant proposal is typically a projection of your estimated costs, and not necessarily a fiscally binding document. Be as specific as possible with your budget figures; budget numbers that are obviously rounded do not demonstrate accurate planning. It is common for subtle changes to occur with your actual expenditures during program implementation. Most grantmakers welcome open communication when budget or other program adjustments occur throughout the grant period.

Helpful tip!

Work closely with your unit's business office; they will support your planning, particularly if done in advance, and ensure that your budget follows NYU's fiscal policies. You will need approval for funding that will be directed to NYU from your unit or school's fiscal officer before you can submit a budget.

Remember that typically, unless the funder specifies otherwise, the program budget is an annual picture of the entire program, and not just for the requested funds. Grantmakers expect and appreciate a comprehensive overview of your work, particularly dollar amounts that demonstrate committed resources and funding from other, diverse sources (e.g. NYU resources, foundations, individual donors, and governmental resources). Presenting this information will greatly strengthen your proposal.

Again, you should rely on the expertise and financial policies of your business office to ensure that the sources of funding are clearly defined.

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Budget Templates and Planning Tools

Grantmakers often include a preferred budget format in their guidelines, and you should rigorously follow such guidelines whenever they are available. If the guidelines allow it, you can use footnotes to provide further information about specific line items (e.g. how personnel expenses break down, where pending grant applications were submitted, and what falls under "other," if applicable).

In cases where no guidelines are offered, here is a useful format that you can use to develop a sense of your budget before meeting with your school's business office:

Sample Budget for a Proposal

Name of Organization:

Timeframe:

(Not all entries below may apply to your project/program. Leave those items blank that do not apply)

Project Expenses	Year
Salaries and wages:	
Name each principal who would receive funding and nature of support	
Nature of support (10% of time; summer salary, etc.) for each principal	
Administrative salaries and wages:	
List job titles and nature of support	
Student Support:	
Identify whether graduate or undergraduate and nature of support	
Consultant/Contract services:	
Identify and provide separate breakdown of budget detail	
Employee fringe benefits:	
Other Direct Costs:	
Travel (provide assumptions separately)	
Supplies and materials	
Printing, publications, copying	
Postage, shipping	
Computer support, telecommunications	
Equipment (specify)	
Other (specify)	
Total Direct Expenses	\$
Overhead/indirect (___ %)	
Total Expenses	\$

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This section should only be filled out ONLY if there are revenues associated with the proposed project:

Project Revenues	Year
Sources of Income (specify):	
Total Revenues	\$

The Budget Narrative or Justification

Grantmaker guidelines will sometimes ask you to complete a written description of your budget. This section, known as a budget narrative or justification, can help describe major or potentially confusing line items in the budget, explain how you estimated costs, describe any NYU particulars associated with costs, and explain why the costs are reasonable. When crafting a budget narrative, organize your information by the title and order of each budget line item. For example:

Fabulous Project Annual Budget	
FY 2014-2015	
Expenses	Amount
Salaries and wages	\$31,200
Printing and Copying	\$3,000

Fabulous Project Budget Narrative	
FY 2014-2015	
Salaries and wages (\$31,200) — Salary for 3 community educators at \$20/hour x 10 hours/week x 52 weeks in the project year.	
Printing and copying (\$3,000) — Design (\$1,200) and color printing for 20 educational posters (\$40 per poster = \$800) displayed at community health clinics. Remaining \$1,000 for handouts distributed at training sessions.	





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VII. Congratulations! You Received an Award: Effective Donor Relations

NYU's Office for University Development and Alumni Relations (UDAR) has in place a comprehensive system of donor management. The overarching goal is to maintain high quality donor relations – so it is important that we do our part to ensure successful relationships. With this in mind, the following are guidelines for key donor relations procedures:

-  [Award processing](#)
-  [Receipting gifts and pledge payments](#)
-  [Acknowledging pledges and payments](#)
-  [Pledge reminders](#)

[Award Processing](#)

The first step in the cycle of donor relations is to process your gifts and grants appropriately.

Agreements & Contracts

Agreements may contain provisions that are not in line with NYU policies, and faculty, deans, and staff do not have the authority to sign such documents on behalf of the University. It is essential that non-outright gift agreements or contracts be sent to NYU's Contract Office (CO) for review and execution. CO is the authorized signatory division for the Washington Square Campus and the NYU Tandon School of Engineering. Once received, CO will coordinate the approval of the agreement or contract with the appropriate faculty, staff, and offices directly.

In rare cases, a check will accompany an award letter that “requires a signature of acceptance” which may not require sign-off from CO. Please contact [Tameka Hipp](#) for clarification if you are unsure on how to process your award.

Once your agreement has been signed, Tameka Hipp will work with CO, OSP, and SPA to get your award booked into our fundraising system, Advance.

Gifts and Pledge Payments

If a check for a gift or pledge payment is received in your office, please forward the payment to the Office of Gift Administration (OGA) address below. **Be sure to include:** the donor's name and address, the grant name and grant number, and the Financial Administration Made Easy (FAME) chartfield to which the grant should be posted.

If the donor plans to submit the payment directly to us via mail to OGA, please advise them to make checks payable to New York University and mail them to the Office of Gift Administration (OGA).

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Please advise the donor to: include their name and address, as well as the award name and number associated with the payment, to ensure accurate and timely processing.

To submit payments via mail to OGA:

New York University
Office of Gift Administration
25 West 4th Street, 4th Floor
New York, NY 10012

To submit a payment via wire transfer, please provide the donor with the following bank instructions:

JP Morgan Chase
270 Park Avenue
New York, NY 10017
ABA # 021000021
or SWIFT: CHASUS33
For credit to: NYU Gift Account # 134-692381

Please advise the donor to include their name and the award name and number associated with the payment in the bank reference line. Please also send OGA an email at security.gifts@nyu.edu to alert them of the pending wire transfer so that they can easily and quickly identify the payment. In your email, please include the amount of the wire transfer, the name of the foundation, and the grant name or reference number.



Receipting Gifts and Payments

OGA issues philanthropic tax receipts for each outright gift, unless directed otherwise, within 2-3 business days of processing.



Acknowledging Pledges and Payments

- Gifts and awards of \$4,999 and under are customarily acknowledged by the individual school's dean or staff.
- Gifts and awards between \$5,000 and \$20,000 (\$25,000 between November 1st and January 31st) to the University are acknowledged with a Presidential Acknowledgement Card.
- Gifts and awards exceeding \$20,000 (\$25,000 between November 1st and January 31st) to the University are acknowledged with a Presidential Acknowledgement Letter.

Helpful Tip!

Call to thank the donor immediately after receiving the award letter or check.

Please be sure to indicate who should be acknowledged on the pledge and gift transmittal form. If, for some reason, the donor should not be acknowledged, be sure to note this on the transmittal form.

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Pledge Reminders

Except when an award is categorized as a fund 24 or 25 project, payment reminders will be issued to donors 30 days before their next payment due date, as determined by the payment schedule provided to OGA at the time the grant was submitted for processing. A follow-up reminder is sent 90 days after the due date if the payment has not been received.

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VIII. Maintaining The Relationship: Stewardship and Reporting

Developing strong long-term relationships between funders and NYU is critical to the success of present and future giving opportunities, so we must carefully and properly steward these relationships. Stewardship is the practice of ensuring that grants and gifts are used as donors intend and includes the communication of progress through acknowledgement and reporting.

Applying for and receiving a grant is just the beginning of a relationship with a funder. Foundations investing in your program will want to know how your project is progressing and often have specific expectations for reporting. CFR is available to provide advice on acknowledgments, thank-you letters, and the preparation and distribution of progress reports. To effectively steward your grant, please work with CFR as follows:

- Compliance with grant reporting requirements is necessary for the successful stewardship of foundation donors. Failure to meet reporting requirements can lead to stewardship problems and can affect our relationship with foundations – with the result that a foundation may withhold future payments or decide that it will no longer support NYU. Therefore, it is important that foundation donors are sent reports in a timely manner and that our records reflect this.
- Alicia Blue, Stewardship Coordinator, sends monthly reminders to each school to remind the appropriate staff that a report is due to the donor as stipulated in the grant/gift agreement. Please respond to these reminders so that Alicia knows whether the report was submitted, if the project received a no-cost extension or was terminated, or if staff is working on the report. Alicia's reminders include information about reports due as far as four months in advance. She also will ask about the status of reports that she cannot confirm were sent.
- When a report is sent to the donor, please notify [Alicia Blue](#) as soon as possible and send a copy of the report to her. Alicia will upload the report to the UDAR fundraising database.
- To better assist you, please keep us informed if you:
 - ✓ Receive correspondence or are contacted by the foundation; please provide a copy of all substantive correspondence to Alicia.
 - ✓ Anticipate any major changes to the scope of the work, timeline, or budget.
 - ✓ Have faculty or staff changes that could impact the grant and your ability to meet reporting deadlines.

Simple ways to assure funders that their investment was well made and to effectively steward your grant:

- ✓ Meet deadlines and provide all reports and other requested information.

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- ✓ Keep the lines of communication open with the foundation, so that if you experience an issue such as slower than expected progress, your first message to the foundation isn't that you will miss a reporting deadline.
- ✓ Invite foundation officers to your events, particularly those related to the grant.
- ✓ It is courteous (and may also be required) to discuss recognition (e.g. press releases, use of foundation's name in publications and events) in advance with your foundation contact and to send any press release to the foundation program officer for approval prior to releasing it.
- ✓ Send your foundation program officer a copy of related publications, papers, press releases, programmatic successes, or copies of press coverage throughout the grant period.

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IX. NYU Corporate and Foundation Relations Contacts

NYU Central CFR

**David Rosen**

Executive Director

Phone: (212) 992-7624

Email: dr106@nyu.edu

- Faculty of Arts and Science (CAS, GSAS, LS)
- Steinhardt School of Culture, Education, and Human Development
- University General

**Roger Kingsepp**

Senior Director

Phone: (212) 998-6949

Email: roger.kingsepp@nyu.edu

- Center for Data Science
- Center for Urban Science and Progress
- Courant Institute for Mathematical Sciences
- Faculty of Arts and Science (CAS, GSAS, LS)
- Steinhardt School of Culture, Education, and Human Development
- University General – SVP UDAR
- All Schools – AVP Global Public Health, Science and Technology

**Jocelyn Gross**

Associate Director

Phone: (212) 998-6857

Email: jocelyn.gross@nyu.edu

- College of Dentistry
- College of Nursing
- Division of Libraries
- Faculty of Arts and Science – Skirball Department of Judaic Studies
- Gallatin School of Individualized Study
- Institute for the Study of the Ancient World
- Institute of Fine Arts
- Leonard N. Stern School of Business – Center for Sustainable Business
- University General – Bronfman Center for Jewish Student Life
- University General – Of Many
- University General – Entrepreneurial Institute

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NYU Central CFR (cont'd)

**Jasmine Davey**

CFR Officer

Phone: (212) 998-6767

Email: jdavey@nyu.edu

- Faculty of Arts and Science – Creative Writing Program
- Faculty of Arts and Science – Science Writers Workshop
- Robert F. Wagner Graduate School of Public Service
- School of Professional Studies
- Silver School of Social Work
- Leonard N. Stern School of Business
- Tisch School of the Arts
- University General – Scholars at Risk
- University General – Ballet Center

**Jennifer Washburn**

CFR Officer

Phone: (212) 998-6965

Email: jw155@nyu.edu

- College Access and Success Programs
- College of Global Public Health
- Robert F. Wagner Graduate School of Public Service – Reynolds Program in Social Entrepreneurship
- Steinhardt School of Culture, Education, and Human Development – Computer Science Education
- Steinhardt School of Culture, Education, and Human Development – Constitutional History
- Steinhardt School of Culture, Education, and Human Development – Leadership and Administration
- Steinhardt School of Culture, Education, and Human Development – Metro Center
- Steinhardt School of Culture, Education, and Human Development – Project for Advancement of Our Common Humanity
- University General – Islamic Center
- University General – Marron Institute

**Anne Brownlee**

Director, CFR Research

Phone: (212) 998-6948

Email: anne.brownlee@nyu.edu

- All Schools

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School Based CFR

NYU Tandon School of Engineering



Diane Carillo
Director, CFR
Phone: (646) 997-3385
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Kathryn McNeill
Development Officer, CFR
Phone: (347) 997-3944
Email: kmcneill@nyu.edu

NYU Leonard N. Stern School of Business

Kate Gregory
Senior Associate Director, CFR
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NYU School of Law

Sandra Katz
Director of Corporations and Foundations
Phone: (212) 998-6413
Email: katzs@mercury.nyu.edu

Angela Cheng
Grants Manager
Phone: (212) 998-6122
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NYU School of Medicine

Mila McCurrach
Senior Division Director
Science and CFR
Email: mila.mccurrach@nyumc.org

Max Winer
Interim Director
CFR
Email: maxwell.winer@nyumc.org

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School Based CFR (cont'd)

NYU School of Medicine (cont'd)

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Sascha Chait
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X. Forms & Additional Materials

Clearance Request Form

- [Clearance Request Form](#)

Examples: Concept Paper:

- [What's the Right Mix of Ingredients?: Incentivizing Healthy Food Consumption](#)
- [New York University's Prison Education Program](#)

Examples: Letter of Inquiry (LOI):

- [Center for Mathematical Talent](#)
- [NYU Leadership Initiative](#)

Examples: Proposal:

- [Metro Center Saturday and Summer College Prep Academy](#)
- [Time and Cosmos in Greco-Roman Antiquity](#)

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CLEARANCE REQUEST FORM

Please submit completed form to us at cfrclearancerequest-group@nyu.edu.

REMINDER: Clearances are typically given for a 6-month period of time; however, renewal requests are accepted. For more information on the clearance process please contact the CFR portfolio manager assigned to your school. If you are having issues with the form please contact Tameka Hipp at tameka.hipp@nyu.edu for further assistance.

Date of request	Submitted by	School/Center/Institute	Division/Unit
-----------------	--------------	-------------------------	---------------

PROSPECT DETAILS

Please check the box that best describe the type of approach: New Renewal Response to RFP Invitation to Submit

Advance ID (if none, please provide the prospect's address or web link)

If the prospect is a particular division or subsidiary of a corporation, please specify

Foundation Program Area

Please list any prospect relationships and/or NYU affiliations (or you may attach a separate written description)

PROJECT DETAILS

Proposal Type: CFR Standard (for UDAR CFR Only) CFR Limited (for UDAR CFR Only) OSP Submitted

Project Title

Project Description (or you may attach a separate written description)

Ask Date

Ask Amount

Expected Date

Expected Amount

Proposal Status

Proposal Stage

Use/Purpose

ASSIGNMENT DETAILS

Principal Investigator (faculty/staff who will oversee the project):

School Coordinator (typically non-UDAR staff/non P.I.):

Solicitor (principal person other than lead proposal staff responsible):

Proposal Staff Responsible (lead person responsible for the ask):

Additional Staff Responsible (additional development staff):

CFR Additional Staff Responsible (CFR Portfolio Manager):

FOR INTERNAL USE ONLY

Your request has been approved by

PROSpect ID#

PROPosal ID#

Expiration date

☐ Your request has not been approved at this time due to:

Next steps:

☐ Your request has been wait listed

☐ Other:

Example of a Concept Paper: #1

What's the Right Mix of Ingredients?: Incentivizing Healthy Food Consumption A Concept Paper Describing a Major Research Study

Prepared for the XXX
January 2015

Challenge: Diet-related illness is a major problem in the United States. Two out of three adults and one out of three children in the U.S. are either overweight or obese. Sixty-seven million Americans have high blood pressure. Typical American diets exceed the recommended intake levels or limits in four categories: calories from solid fats and added sugars; refined grains; sodium; and saturated fat; and Americans eat less than the recommended amounts of vegetables, fruits, whole-grains, dairy products, and oils. The economic costs of poor diet are enormous. Obesity-related illness, including chronic disease, disability, and death, is estimated to carry an annual cost of \$190.2 billion. Improving the diets of greater numbers of people, and thus mitigating the serious health and economic burdens, is among the greatest challenges we face.

Opportunity: There is an increasing awareness of the seriousness of this problem; and increasing action on the part of government and non-profit sectors to address it: from the First Lady's Let's Move campaign to boost children's physical activity to the expansion of green markets and food carts into neighborhoods lacking healthy food choices (interventions which the XXX has helped spearhead). Significantly, the Farm Bill of 2014 designates more than \$30 million for programs that provide incentives, both in terms of education and cash vouchers to participants in the federal Supplemental Nutrition Assistance Program (SNAP) to purchase fruits and vegetables. While individual programs have conducted some process evaluations, there has not been a comprehensive research study that examines the effectiveness of providing people with nutrition education and/or financial incentives (and in what combination) on improved diet. Such a study can help guide and improve government and philanthropic priorities, including those of the XXX and others, to address this critical public health issue.

Incentivizing Healthy Food Consumption

The XXX has been a generous and visionary investor in programs designed to improve the diets of people residing in underserved communities, spurring others to follow its lead. Such programs include matching financial incentives (the "Healthy Bucks" program is an example); nutrition education, including physician prescriptions for fruits and vegetable (such as Wholesome Wave's Fruit and Vegetable Prescription Program); and enhanced food infrastructure (the New York City Green Carts program). These programs all operate on the assumption that participants can be incentivized to increase their consumption of healthy foods, and many have yielded promising results. This proposed research study will provide the XXX, and other public and private agencies, with important data to help refine and direct resources to address this important issue.

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In order to better determine the optimum design and deployment of programs to alter consumer diet and to ensure that private philanthropic and public funds are being most effectively invested, Dr. XXX, Associate Professor at NYU Steinhardt Department of Nutrition, Food Studies, and Public Health, has designed a comprehensive, controlled research study that examines the efficacy of different incentives on altering consumer diets. Dr. XXX is an applied economist and an expert on food systems and food policy. A common thread throughout her research is the role of governmental and private institutions in facilitating transactions between buyers and sellers, including how policies support farmer income and consumer health. She is currently writing a book tentatively titled *The U.S. Food System: Economics and Policy*.

The proposed research study builds on Dr. XXX's recently completed research, which examined the effectiveness of nutrition incentives on both actual and perceived consumption of fresh produce of low-income consumers. The results of this study, which was much smaller in scope than the current proposed project, indicate that some, but not all, consumers eat healthier diets after receiving financial vouchers similar to those given through New York City's Healthy Bucks program; and not all increased their consumption of fresh produce. Significant questions remain unanswered, including what is the optimal size of financial incentives, and how do they operate in conjunction with nutrition education to affect consumer behavior?

What's the Right Mix?: The Study's Design

The proposed project is designed to test the efficacy of the interventions used in New York City by studying the responses of consumers to different combinations of financial matches and education. For example, we will consider the effect on consumer diets of the following scenarios: nutritional counseling with no financial matches, nutrition counseling paired with different matching dollar amounts (for example, \$5, \$10, \$15), and monetary incentives with no nutritional counseling. Understanding the relative contribution of nutritional counseling and dollar amounts of incentives will make it possible to more effectively target interventions.

For the research project, Dr. XXX and her team, which will include graduate students, will identify and recruit at least three community-based organizations in NYC where the different program modalities described above will be implemented. At each site, program elements will be implemented in such a way that comparative data collection with adequate research controls will make academic study and verifiable conclusions possible. The research team will include a designated project manager, a graduate student who will oversee the implementation of the distinct interventions at each site.

Other members of the team (NYU Master's students) will be responsible for implementing the program, including distributing incentives and collecting participant data.

The following is a sketch of the research activities over the four years:

- Year One: Establish relationships with sites and design and implement the programs
- Year Two: Program implementation and data collection

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- Year Three: Program implementation and data collection
- Year Four: Data analysis and release of findings

The research team is very interested to work with the XXX to identify community sites that target populations of interest. Further, the lead researcher will discuss key research questions with the XXX, as well as keep the Fund informed of progress.

Investment Opportunity

We respectfully request a gift of \$1,000,000 from the XXX to underwrite this 4-year study. The Fund's generous investment will support research staff (a team consisting of an NYU researcher, a project director, and graduate students), the operation of the research program sites, participant incentives, data collection and analysis, and dissemination of the findings.

The impact of the XXX's investment will be far-reaching, as the study's findings will help municipalities and non-profits to optimize the design of programs to successfully incentivize a greater percentage of consumers to improve their diets, and provide valuable information to guide policymakers and philanthropists where best to steer their limited resources. XXX support of this research will cement its position as a leader in the movement to improve urban food systems by overcoming the barriers to accessing healthy foods and addressing the vast disparities in diet-related diseases found in many of New York's neighborhoods. Ultimately, the programs designed and implemented based upon the study's research findings will be more effective in achieving the broad social benefit of alleviating the health and economic burdens associated with poor nutrition.

NYU Contact:

XXX XXX,
XXX
XXX

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Example of a Concept Paper: #2

New York University's Prison Education Program a collaboration between NYU's Gallatin School and College of Arts and Science

**"The United States has less than five percent of the world's population.
But it has almost a quarter of the world's prisoners."**

– *The New York Times*, April 23, 2008

This staggering statistic brings into sharp and troubling focus the overwhelming imperative to reform the U.S. penal system, incarcerate fewer people, and provide better rehabilitation services to prevent people from simply cycling in and out of prison. **A large body of research shows that prison education represents the single best way to reduce recidivism because it enables inmates to acquire the foundational skills and tools they need to re-enter their communities with true opportunities to participate productively.**

New York University (NYU) is working to address this serious problem through our newly established Prison Education Program. This program, which officially launched in January 2015 after a year of planning, serves incarcerated students at Wallkill Correctional Facility, a medium-security men's facility in Ulster County, New York.

This unique collaboration between NYU's Gallatin School for Individualized Study (Gallatin) and College of Arts and Sciences (CAS) provides liberal arts courses and professional degree opportunities to prisoners, including an NYU Associate of Arts (AA) degree with transferable credits and a certificate program for those who complete at least three courses. A distinguishing feature of the Prison Education Program is its emphasis on re-entry support, counseling, and scholarship funding.

Goals of the Prison Education Program at NYU

1. **Provide a high-quality education to prison inmates**, by allowing them to earn an NYU AA degree through credit-bearing courses that are transferrable to other institutions;
2. **Promote successful re-entry into society post-incarceration**, by giving inmates a greater chance of securing both additional education and employment opportunities after they are released from prison; and
3. **Prevent recidivism**, by raising prisoners' levels of education and by providing opportunities for employment and/or continued higher education.

Our Students

For the initial semester in spring 2015, we have accepted 36 students from a pool of 80 applicants who have earned their high school diploma or a GED, passed a qualitative writing assessment as well as an interview, and are slated for parole within five years. (Most of the incarcerated men at Wallkill have approximately three years left on their sentences.) Almost half of these students

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already have some college credits. We will conduct another round of admissions this summer for those who will start in the fall, and expect at least 50 students to be enrolled by fall semester 2015. Within five years, we aim to have 200 students enrolled in the Prison Education Program, which will comprise both the program at Wallkill and additional correctional facilities.

How the Program Works

Associate of Arts Degree Program

We have developed a 64-credit Associate of Arts degree centered on a **core Liberal Arts curriculum**: two courses in arts and humanities; two courses in expository writing; one course in mathematical reasoning; one course in science; and two courses in social science reasoning (which will include political, cultural, and social analysis).

Certificate Program

We will also offer a certificate program that will make our courses and social capital available to students who can only manage a smaller number of credits. Certificates will be granted based on 12 credits of class work to students who are forced to end their participation in the program for any reason before completing their Associate of Arts degree. These credits will also be transferable to other schools.

Post-Incarceration Re-entry Supports

In addition to coursework, the Prison Education Program will offer an active student services program for re-entry to support students (and their families) when they are released from prison. Services will include psychological and job counseling, assistance in continuing their education, legal assistance on issues of housing and employment, and scholarship support. (In the longer term, we intend to raise scholarship funds to support students who wish to apply to NYU and earn bachelor's degrees after they complete their prison terms.)

To provide re-entry services, the Prison Education Program is collaborating with other organizations that offer re-entry programs, including the Center for NuLeadership on Urban Solutions, an organization run by formerly incarcerated individuals and their families that is a leader in incarceration and rehabilitation issues.

Why NYU?

NYU is well positioned to serve incarcerated individuals due to our unique blend of liberal arts and professional training expertise. NYU has two thriving undergraduate liberal arts schools – the College of Arts and Science and the Gallatin School of Individualized Study – as well as highly regarded professional schools of Law, Public Service, Nursing, Education, Medicine, Dentistry, and Social Work. Additionally, NYU's School of Continuing Education is dedicated to serving non-traditional students.

NYU faculty members have extensive experience working with both incarcerated and formerly incarcerated student populations. The Steinhardt School of Culture, Education, and Human Development offers a prison theatre program focused on drama therapy; the Silver School of Social Work has placements for students in criminal justice agencies throughout the tri-state area; the School of Law has a thriving clinic on community re-entry and

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reintegration for formerly incarcerated individuals run by renowned expert Anthony Thompson; Gallatin has long offered a course that brings together high school students at Riker's Island Correctional Facility with NYU faculty and students; and CAS faculty have taught in New York City prisons as part of the Bard Prison Program.

Financial Need

We launched the Prison Education Program with a generous two-year grant from the XXX. We are in the second year of this grant and will ask the XXX for renewed multi-year support next year. XXX's financial support, however, only partially covers program expenses. For this reason, we are seeking additional support from foundations, corporations, and individuals. We would deeply appreciate the opportunity to submit a full proposal in the coming year.

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Examples of a Letter of Inquiry (LOI): #1

Date

XXX
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Dear XXX,

At the suggestion of my colleague, XXX, I respectfully submit this request for support for the Center for Mathematical Talent's New York Math Team, a program of the Courant Institute of Mathematical Science at New York University. Specifically, we are seeking a \$55,000 grant to enable academically gifted, low-income high school students to participate in regional and national math tournaments. We are grateful for the invitation to submit this request.

The Center for Mathematical Talent (CMT) is the premier academic enrichment outreach program serving academically gifted middle and high school students from throughout New York City, the majority of whom come from low-income communities and families. Launched in 2010 with generous support from the Alfred P. Sloan Foundation, CMT has focused on creating curriculum and training after-school staff to deliver quality mathematics experiences to students in the programs of our partners, including the New York City Department of Youth and Community Development (DYCD), The After School Corporation (TASC), and New York Academy of Science (NYAS). CMT and our partners have had a significant impact, reaching nearly 1,600 students in 72 after-school programs located in some of the most underserved of the city's neighborhoods. Data from the NYAS-sponsored programs (the bulk of the programs that CMT serves) indicate that 81 percent of the students are eligible for free lunch, 14 percent of students are Hispanic, and 51 percent are African American.

As CMT enters its next phase of programmatic growth, with renewed support from the Sloan Foundation, we are enlarging our impact by uniting the many opportunities for talented New York City students to participate in mathematics. These largely volunteer-run programs include the New York Math Circle, New York City Math Team, Math Coaches and Teacher Training, and the New York City Interscholastic Math League. By consolidating the activities of these programs under the NYU Courant Center for Mathematical Talent, we will increase our ability to identify talented students and connect them to challenging and enriching opportunities to develop their knowledge and advance their education. In particular, CMT's commitment and track record of engaging underserved students provide a unique and direct pathway for these high-achieving, low-income students to join an academically challenging peer community.

Participating in regional and national tournaments sharpens low-income participants' mathematical skills and is one of the key entry points for them to be a part of a community of high-achieving students.

In addition to the regular ongoing math tournaments within New York City each

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year, the New York City Math Team facilitates the participation of hundreds of talented high school students in regional and national competitions, approximately 34 percent of whom are eligible for free or reduced lunch. Through interaction with their coaches and peers, these students gain more than mathematical knowledge; they experience the support of a community of similarly gifted peers and the encouragement of concerned adults who recognize their potential to achieve academic excellence, despite their lack of economic resources.

Funding Request

Through these regional and national tournaments, CMT demonstrates our commitment to expand educational opportunities for remarkable students whose families, schools, and communities need additional resources to help these students fulfill their promise. I know the XXX Foundation shares this commitment. A \$55,000 grant would underwrite the costs of transportation, food, and lodging, and allow New York Math Team students to participate in the following competitions:

- Princeton University Math Competition (November 2015)
- Harvard MIT Math Competition (February 2015)
- New York State Math Competition (spring 2015)
- American Regions Math Competition (spring 2015)

For young people of limited means, participation in the regional and national tournaments opens up a world of possibility and encourages them to set their goals even higher. We appreciate the invitation to present this request and would deeply appreciate a partnership with the XXX Foundation. Please do not hesitate to contact me at (212) 998-XXXX or XXXX@nyu.edu, if you have any questions or would like additional information.

Please accept my sincerest wishes for a happy and healthy New Year.

Sincerely,

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Examples of a Letter of Inquiry (LOI): #2

DATE

XXX
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XXX

Dear XXX,

In light of the XXX Foundation's interest in transformative leadership opportunities, I am writing to introduce you to the NYU Leadership Initiative. Launched in 2013, the Initiative integrates curricular and co-curricular activities with rigorous scholarly research across the University and multiple disciplines to offer a world-class, comprehensive leadership hub and programming for NYU students, faculty, administrators, and alumni.

Too often, leadership is viewed as a charismatic mantle held by a select few, but our vision is for an NYU community in which leadership is also understood as a galvanizing citizenship. We are committed to instilling in students the desire to act ethically, and with integrity, taking responsibility for the potential they have to affect others. Our students can and will become inspired agents of change in our world if they are encouraged to conceive of themselves as members of communities in which their participation has consequence right now. To that end, with the generous support of the Ford Foundation, we launched the NYU Leadership Initiative in November 2013.

What makes the NYU Leadership Initiative so powerful is that it is creating a global, cross-university, multi-disciplinary program capable of preparing students to face the complex challenges of the 21st century. Whether they go on to become the heads of social justice organizations, policymakers, business leaders, scientists, or artists, students will have developed the skills and foundation necessary to lead.

Mission

The Initiative's mission is to collaborate with people across the University to form a global learning hub that inspires and develops a lifelong practice of ethical and inclusive leadership. As we pursue this mission, we are defining new ways for higher education to prepare young people to meet the demands of the 21st century workplace; step up to critical challenges facing communities around the globe; and lead meaningful, productive lives with impact.

Strategies

Based on the learning from initial engagements in year one, the Initiative has defined four core strategies to achieve its mission:

- Leadership Learning Opportunities – Principles, models, and experiences that are infused into curricular and co-curricular offerings that enable all members of the NYU community to develop their capacity as ethical and inclusive leaders;

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- Professional Peer Networks – Communities of practice among faculty and administrators to integrate and align efforts and share knowledge across the University in order to extend the reach of leadership development at NYU;
- Scholarship Competition Support – Enhanced mentoring support and activities to cultivate a robust and diverse pipeline of talented NYU students who advance and exercise their leadership by successfully competing for prestigious national and international scholarships and fellowships, including the Rhodes, Marshall, and Truman;
- Knowledge Development – Rigorous assessment activities that advance an evidence-based approach to developing ethical and inclusive leadership and on-going opportunities for learning and reflection that engage NYU and the broader scholarly community in dialogue.

Year One Achievements

In its first year of operation, the Initiative catalyzed a leadership conversation among faculty, students, staff, and alumni across the NYU community through multiple engagements, including public events, workshops, a concept challenge, and a scholarly conference. Examples of specific achievements include:

- Worked with a core group of faculty to launch a community of practice that informed our foundational principles and developed a year 2 strategy for engaging other faculty across schools and disciplines in advancing the Initiative's mission
- Recruited more than 25 administrators from across locations, schools, and units to a community of practice that is integrating the Initiative's new leadership competency model into a diverse set of offerings for students.
- Reached more than 600 students through face-to-face engagements, representing NYU Shanghai, Abu Dhabi, and New York as well as 15 schools.
- Garnered 1.6 million Twitter impressions during the Initiative's launch event, Leadership in Transformational Times.
- Organized the first Global Student Leadership Summit in Abu Dhabi, attracting 162 applications for 35 spots.
- Increased applications for national scholarships by 64%.

Funding Needs

The Initiative is seeking additional funding to advance its strategies, building on and expanding the success and reach of its initial work.

In addition to overall program support, we have identified the following as a few examples of opportunities to increase the Initiative's impact:

- Leadership Fellows – The Initiative is piloting a fellows program in fall 2014 with

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a cohort of 20 outstanding NYU New York students who are passionate about leadership and have demonstrated a commitment to having a profound impact in their communities and the world. These students will serve as ambassadors working with the Initiative to spread leadership development opportunities to many multiples of their peers across the university. With sufficient funding, we anticipate expanding the Fellowship program globally, establishing cohorts in Abu Dhabi, Shanghai, and beyond.

- Global Summit – We envision an annual, in-depth, and robust experiential leadership workshop each spring for high-potential students. We anticipate rotating this summit among the global cities NYU calls home (NYC, Abu Dhabi, and Shanghai, as well as the cities in which our 11 Global Academic Centers operate). We would apply a “glocal” lens to the summit – considering global questions during an experience localized to our host community. In addition, by including local students who attend other universities in the host city, we would ensure a rich experience for all.
- Global Challenge - We envision providing students with a hands-on opportunity to develop the leadership capacities requisite to addressing today’s significant domestic and global challenges. With faculty support, we want to provide student teams with opportunities to bring intellectual rigor to critical, real-world issues while simultaneously reflecting on their own leadership experience. By including local students who attend other universities in the host city, NYU would be providing a service to the broader educational community while promoting cross-cultural dialogue and learning.
- Experiential Learning Opportunities with a Leadership Development Component – The Initiative seeks to provide opportunities for all students to engage in service, internship, and research experiences with an accompanying leadership development and/or mentoring component. We know that these experiences are critical to future success for students and will be central to cultivating students who are prepared to successfully compete for national scholarship competitions.
- Faculty Engagement and Development – Facilitated by our core faculty group, we are actively building opportunities for faculty to develop their practice as educators, mentors, and thought leaders who play a central role in advancing students’ leadership development. In year two, the Initiative will host a workshop as the beginning of an on-going faculty engagement and development effort.
- Assessment and Knowledge Building – To test and refine its approach, the Initiative seeks to develop diverse and rigorous forms of assessment for all its programs. Ultimately, we envision creating, testing, refining, and codifying an evidence-based approach to preparing students for ethical and inclusive leadership. We believe this effort can result in promising new models for higher education more broadly, but it requires a significant investment in the Initiative’s research capacity.

Here at NYU, we have always recognized that we have a special responsibility

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to shape the next generation of world leaders. The NYU Leadership Initiative will now serve as the centerpiece of our ongoing efforts to treat leadership training—and the cultivation of ethical, creative, effective leaders—as a core and vital component of our overall research and educational mission.

I hope you will consider meeting with me to further discuss partnership opportunities between the Ford Foundation and the NYU Leadership Initiative look forward to following up with you soon. In the meantime, please do not hesitate to contact me at XXX@nyu.edu or (212) 998-XXXX if you have any questions or would like additional information. Thank you for considering this request.

Sincerely,

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Example of a Proposal: #1

Metro Center Saturday and Summer College Prep Academy at New York University

Metropolitan Center for Research on Equity and the Transformation of Schools Steinhardt School of Culture, Education, and Human Development

Overview: Metro Center Saturday and Summer College Prep Academy is a supplemental college preparatory program for high school students throughout New York City, spanning Grades 9 through 12, which offers unique academic enrichment opportunities at New York University's main downtown campus, and access to NYU's extensive academic resources, as well as teaching and mentoring by both current and former NYU students. **The central goal of the Academy is to provide sustained academic enrichment, career planning, and intensive college-readiness programming to mostly low-income students on Saturdays throughout the school year (September through June), and during an intensive four-week summer session, to ensure students' successful graduation from high school, entry into post-secondary education, and completion of college.**

Launched in 1984 with funding from the U.S. Department of Education's TRIO program, Metro Center College Prep Academy began as a pioneering education program serving 75 students annually (95 percent met TRIO's low-income and first-generation criteria) and 85 percent were students with disabilities as well as English Language Learners. More recently, in collaboration with 1199 Childcare Corporation, an affiliate of the healthcare worker's union, as well as state, federal, and private funding sources, the Academy has expanded its high-caliber academic enrichment and college readiness services to a broad cross section of New York City public high school students, including roughly 300 during every school year, and 150 to 200 every summer.

Student Populations Served: Of the 280 students currently enrolled at the Academy on Saturdays, **79 percent are from low-income households** (measured by eligibility for free and reduced lunch); **80 percent are poised to become first-generation college graduates in their families; 87 percent are African American and Latino; and 29 percent are eligible for school-based Individualized Education Program (IEP) support** for autism spectrum, dyslexia, and other medical or learning needs.

Program Impact: The impact of the Academy's Saturday and Summer programming on students' academic performance is both impressive and transformative. In the last three years, on average, **78 percent of the students enrolled at the Academy raised their Regents Exams scores, and 74 percent met or exceeded the exams' "college readiness score for English and Mathematics."** Most impressive, in each of the last three years, **100 percent of seniors who attended the Academy successfully graduated high school and matriculated to college (54 percent of these seniors were accepted to 4-year public and private institutions; and 46 percent were accepted to 2-year community college and technical institutions.** In 2013-

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2014, **100 percent of graduating seniors in the Academy completed Financial Aid applications**, and **94 percent were deemed eligible for federal and state aid**. In addition, **32 percent of graduating seniors obtained scholarships at private institutions**. In that year, alone, the Academy helped its students to secure **a total of \$1,070,071 in scholarship and grant funding** to help pay for college.

The Saturday Academy

Metro Center College Prep Academy offers a rich and varied academic curriculum to students who attend half day classes (9am-1pm) on Saturdays, from September through June, at the main NYU campus. **The Saturday Academy is devoted primarily to academic enrichment, remedial instruction, individualized tutoring, and college readiness and preparation. All classes and activities are aligned with the New York State Regents Exams and Common Core Standards, emphasizing math and literacy in all content areas.** Academic and support services are linked with comprehensive college knowledge, life skills, critical thinking, communication, and leadership development workshops, as well as career planning, work experience, and internship opportunities during the summer.

Remedial Instruction, Academic Enrichment & College Readiness: The Saturday Academy, built around four class periods, aims to improve students' overall academic performance in school, offer remedial and individualized tutoring where needed, and help students be more fully prepared to handle college-level academic work. One program goal is to help students meet the required "career and college readiness score" on the NY State Regents exams, thereby easing their transition to college and avoiding the cost of remedial courses. The Academy also teaches students research skills, how to use libraries/databases (at the NYU Bobst library), the writing of research papers and college essays, and public presentation skills. Additionally, qualified students can take **enriching elective courses not available at their own high schools**, in areas such as Pre-Calculus, Calculus, Economics, Statistics, AP Prep, Forensic Science, Dramatic Arts, Creative Writing, and NYC History. Topical current events and social justice themes are often interwoven into the curriculum, across subject areas, to encourage and foster independent critical thinking, discussion, and debate.

NYU Tutors/Mentors: Metro Center College Prep Academy largely employs NYU graduates to serve as its certified Teaching Instructors. It also employs current NYU undergraduate and graduate students to work as Tutors and Mentors, who assist students one-on-one in surmounting academic, financial, and other personal obstacles. Academy staff are overwhelmingly representative of the student populations served, and are highly effective role models for them. Many staff have, or are pursuing, MA degrees in Education from NYU Steinhardt; others are graduates of the Stern School of Business, College of Nursing, and other NYU colleges.

Parental Engagement, College Applications & Financial Aid: When new students enroll, both parents and students are asked to complete a **contract** defining program expectations and the goals of each student. Every student also completes a **personal career and college plan** that addresses possible future career pathways, academic interests, "good match" college placements, test prep, financial literacy, and preparation for all facets of the college

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application process. Strong family engagement is encouraged through regular outreach to parents/guardians via monthly phone calls, truancy calls, and updates via e-mail and phone blasts. **Formal orientation sessions and monthly family workshops (addressing topics such as “financial aid” and “how to talk to your teens”) are offered to keep parents on track and engaged with the college application process.** This includes direct hands-on assistance with the completion of online financial aid and scholarship forms at a computing facility on the NYU campus.

Life Skills/Social and Emotional Well Being: Students regularly participate in workshops, discussions, and role-playing activities developed by Academy staff designed to address important life issues such as: **social and emotional well-being, personal and professional communication, appropriate representations of oneself on Facebook and other social media sites, etc.** The Academy also partners with highly talented, inspiring, **near-peer advisors** from the **Children’s Aid Society Hope Leadership Academy**, who lead students through highly participatory workshops exploring topics such as healthy relationships, race relations, bullying, and conflict resolution.

The Summer Academy

In addition to the Saturday Academy, Metro Center runs **a four-week, intensive Summer Academy (Monday-Friday), which is devoted to career exploration, more intensive college preparation, and work experience.**

College Prep: The College Prep portion of the Summer Academy includes college readiness courses, college essay writing, SAT and ACT test prep, practice SAT and ACT test taking, college visits, financial aid workshops, Parent College Planning Workshops, and a college fair.

Career Exploration/Work Experience: Equally robust is the career exploration and work experience portion of the Summer Academy, which provides students the opportunity to compete for professional internships and some paid job positions. Through unique collaborations with both the **1199 Child Care Corporation**, forged in 1996, and the **NYC Department of Youth & Community Development’s Ladders for Leaders** program, Academy students explore diverse career pathways; fill out formal applications; interview for a broad range of internship and work positions; and, if selected, gain real work experience in diverse professional environments. The Summer Academy also offers a popular **Pre-Registered Nursing Program**, a partnership involving 1199 nurses, NYU Nursing faculty, current and former NYU College of Nursing alumnae, and a variety of professional nursing organizations, for students interested in both nursing and other high-growth health professions. In the past, work experience students have worked at institutions ranging from Bellevue Hospital (in Engineering, Accounting, Finance, Dietary, Nursing, Patient Transport, etc.), Apollo Theater, Channel 13, Columbia Presbyterian, law firms, U.S. Federal Reserve, JP Morgan, Bloomberg, and other journalism/new media outlets.

Funding Opportunity

The Metro Center Saturday and Summer College Prep Academy is looking for more secure and stable funding to sustain and expand its excellent programming for high school students living in high-poverty communities across

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New York City. The Academy hopes to expand its services to more students living in underserved New York City communities; it also hopes to recruit more students starting in middle school in order to achieve greater gains in both academic achievement and college readiness. **We are looking to raise multi-year grants from a diversity of sources, totaling \$200,000 annually over the next three years, to sustain this vital and valuable program.**

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Example of a Proposal: #2

Time and Cosmos in Greco-Roman Antiquity Institute for the Study of the Ancient World

Fall 2016 to Spring 2017

Introduction

In fall 2016, the Institute for the Study of the Ancient World (ISAW), an independent center for advanced scholarly research and graduate education at New York University, will present *Time and Cosmos in Greco-Roman Antiquity*, the first exhibition ever to provide a comprehensive understanding of both the mechanisms of time telling and the social implications of time in ancient Mediterranean civilizations. It will illuminate the science, mathematics, and art of time reckoning, its penetration into intellectual life, religion, imperial propaganda, and popular belief, and the transmissions and mutations of concepts that occurred through cultural contacts and scientific progress.

More than any other past civilizations, the Greeks and Romans created tools and systems that organized and codified time from its smallest units to the movement of the heavens. They sought to give temporal structure to the daily life of the individual and society, and explored time as a key to revealing man's relationship to the larger universe. While the technology of timekeeping and the study of the cosmos have advanced significantly since antiquity, the ways that the Greeks and Romans approached the management, conception, and visualization of time have left an enduring legacy in our modern society.

Archeological artifacts offer an abundant but neglected body of evidence for ancient practices of time measurement and management. Sundials and other time-keeping devices, calendar inscriptions, astrologers' apparatus, ornaments reflecting time and cosmological themes, and figural cult objects incorporating the zodiac are held in many museums and collections in Europe and America, but most are in storage or displayed with little explanation of their function or context. *Time and Cosmos* will bring together more than 120 of these timekeeping tools and related artifacts, dating from 500 BCE to 600 CE and drawn from more than 20 institutions in six countries.

The exhibition will take a wholly 21st century approach to presenting the ancient world, incorporating innovative digital displays that illustrate recent research projects and new scanning and visualizing methods that have yielded exciting new insights into the nature and purpose of these artifacts. These state-of-the-art technologies will give the public instant insight into contemporary research while enhancing the impact of the original objects on display.

In particular, these digital displays will allow ISAW to share recent breakthroughs in decoding one of the most astounding inventions of the ancient world, the Antikythera Mechanism (c. 100 BCE). This gearwork machine, housed at the National Archaeological Museum of Athens and far too fragile to travel, unites multiple areas of timekeeping—sun, moon, planets, eclipses and other astronomical phenomena—in a single device driven by the turning of a handle representing the flow of time. It thus brings together several themes of the exhibition: the chronological cycles of human society; the complex but

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regular motions and appearances of the heavenly bodies; and the relation between celestial cycles and the environment.

Exhibition Narrative

The goal of *Time and Cosmos in Greco-Roman Antiquity* is to provide the public with a comprehensive picture of the contributions of Greek and Roman societies to our understanding and measurement of time today, highlighting the sources from which they drew their ideas and how they advanced their technology and knowledge. It will also show the continuity and the divergences of the Greco-Roman ideas of time and the cosmos with our understanding and utilization of these concepts today.

The exhibition will move from the need to keep track of hours and days to the larger understanding of the movements of the heavens and their impact on human society.

Theme I: Tools of Time Reckoning will trace the development of technologies for managing time. Through objects and interpretive material, it will show how agricultural precepts based on cycles of nature were elaborated into sophisticated tools to integrate multiple cycles based on the sun, moon, planets, market days, and religious events; and how simple devices using flowing water and moving shadows developed into elegant and precise sundials and mechanical waterclocks.

It will start in about 400 BCE, when the Greeks began to divide day and night into hours, a convention appropriated from the Egyptians along with basic water clocks and sundials. However, Greek instruments reflected their belief that the sun and stars revolved around a spherical earth, and their sophisticated mathematics helped create visually striking varieties of sundials on flat surfaces, spherical bowls, and other geometric forms. Both artistically and conceptually beautiful, these objects served as emblems of science in the wider society, and as symbols of intellectual inquiry and mortality in Greco-Roman art. Visitors will also learn about the invention of portable sundials for travelers, some of which could tell time accurately in any latitude, and how the clepsydra (a simple pot with a small hole in the bottom), the stopwatch of the ancient world, was transformed into the first mechanized timepieces that told accurate time year round, regardless of the weather.

Tools of Time Reckoning will also illustrate the efforts to systematically track the multiple cycles of days in use in Greek and Roman societies, moving towards the unified time reckoning systems of today. For example, agriculture, commerce, and weather prediction followed annual cycles of the environment, but religious events followed phases of the moon as well as seasons; Julius Caesar gave the Romans a calendar aligned with the Sun, but they also employed an eight-day cycle of market days. To track these varying cycles, the Romans employed peg-board inscriptions called *paraepgmata* and displays with revolving disks, both as public monuments and in private homes. Visual Examples of these calendars will be on display.

Theme II: Reflections of Time and Cosmos will explore how Greco-Roman conceptions of time infiltrated artistic and spiritual thought. Images of the globe as the emblem of the geocentric cosmos revolving in time and the sundial as man's consciousness of the passage of time, shown together or separately,

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came to symbolize scientific knowledge as well as destiny and mortality. Awareness of nature's cyclic repetitions led to the idea that the entire Cosmos may undergo cycles of repeated reorganization on a scale of thousands of years, with profound implications for human destiny.

Time and Cosmos will show how ancient Mesopotamian astronomical and astrological ideas were transformed into zodiacal astrology in Egypt and the Greek world in the second half of the first millennium BCE. This comprehensive and popular system of prediction of the destinies of nations and individuals was accepted by most ancient scientists and laymen as a kind of "grand unifying theory," and spread rapidly throughout the Mediterranean to the limits of the Roman Empire. Imagery of the zodiac and astrological themes will be seen on Babylonian seals, an Egyptian coffin, an astrologer's board from Roman Gaul, and a relief sculpture from a temple of Mithras at Sidon. Early Greek philosophy also posited the idea of an aeon or Great Year, representing the cosmic dominion of time and the regeneration of the ages, and used advanced mathematics to try to determine at what point the heavenly bodies would return to their exact starting positions. Images of the aeon as a youth surrounded by the zodiac that he causes to revolve will be seen on such objects as a gold coin and a silver platter from 2nd century CE.

The ultimate Greco-Roman visualization of time and cosmos was the mechanical planetarium or sphaera, which simulated the revolutions of the Sun, Moon, and planets around the Earth. The most extraordinary example of these, the Antikythera Mechanism, was discovered a century ago at the site of a shipwreck from c. 60 BCE. Similar mechanisms are not found again until the astronomical clocks of the later Middle Ages. Time and Cosmos will conclude with interactive computer displays of the various digital imaging techniques that have transformed our understanding of this cosmic simulator in just the last few years, including computer animations specifically developed for ISAW that will simulate the gearwork and dials in action as an ancient spectator would have seen them when the device was created.

Curator, Catalogue, and Public Programs

Alexander Jones, Professor of the History of the Exact Sciences in Antiquity at ISAW, is the exhibition's curator. Prof. Jones was co-curator of ISAW's highly popular 2010 exhibition, *Before Pythagoras: The Culture of Old Babylonian Mathematics*. He is the author of several editions of Greek scientific texts, with current research interests including contacts between Babylonian and Greco-Roman astronomy and astrology, the Antikythera Mechanism and other artifacts of Hellenistic astronomy, and Ptolemy's scientific work. Prof. Jones is also the recipient of several awards and honors, including a Guggenheim fellowship and the Francis Bacon Award in the History of Science.

The fully illustrated catalogue published by Princeton University Press will contain 12 essays by an international team of outstanding scholars. They will provide a general audience with a solid understanding of the cultural and scientific place held by time management and time consciousness in the ancient Greco-Roman world, while the specialist will find accurate, up-to-date descriptions and contextualization of the objects, and related evidence from archeological sites and museum collections. A bibliography of works cited, and images of every object in the exhibition, will also be included.

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Free public programs at ISAW will include a series of lectures by scholars and scientists on topics related to the exhibition's objects and themes. An outreach program will bring in school groups for guided tours, and extended hours and free guided tours on Friday nights will be offered for the general public. ISAW will also create a web page for the exhibition, as it does for all its shows.

Archived on ISAW's website (isaw.nyu.edu), these pages provide an overview of the exhibition, information about the curators, public program listings, an illustrated checklist, in-depth examination of select objects, a bibliography, and visitor information.

Conclusion

Civilization's understanding and exploration of time and the cosmos speaks to the most fundamental questions of who we are as human beings and why we are here. These questions are part of both scientific and spiritual inquiry, both today and throughout history. Time and Cosmos seeks to uncover and expand the roots of this inquiry and to make it visible to a broad audience. By focusing on the heritage of the Greco-Roman approach to these questions, the exhibition, catalogue, and public programs will highlight a time when science and spirituality were more closely linked in working to understand the nature of reality, and cast light on how and why these lines of inquiry diverged in modern times. Visitors will recognize the scientific sophistication of ancient societies in understanding and managing time, and the integrated view of science and spirituality at the core of these explorations - conditions at once resembling and contrasting with the contemporary world.

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