PADM-GP 2132
Social Entrepreneurship and Innovation
by Design
Fall 2019

Instructor Information

- Paul Light
- Email: Paul.light@nyu.edu
- Office Address: 3065 Puck
- Office Hours: by Appointment

Course Information

- Class Meeting Times: Tuesdays, 6:45pm-9:15pm
- Class Location: Silver, Room: 620

Course Description

This course is designed to help students understand and exploit the “revolution in how to innovate.” Today’s social entrepreneurs and innovators are drowning in dos and don’ts about how to innovate, yet are struggling to use the advice to match the right goals for disrupting the status quo with the right tool, task, and tactic. Well-meaning though the advice might be, it is sometimes based more on proverbs and hunches than on informed evidence and practice.

The deluge of advice is both exhilarating and exhausting, and a sign that revolution in how to innovate is here to stay. However, the problem for many social innovators today is not too little advice, but too much. Social entrepreneurs and innovators know, for example, that exploring the opportunities for change is important to their work, but need help mapping the terrain ahead. They also know that financing is essential to launching and sustaining their ideas, but need to name “impact investors” for support and reach out to the crowd. They recognize that their success depends on designing new combinations of ideas, but need help both collecting pieces of the solution and binding them together for greatest effect. They understand that advocacy is central to building markets for their ideas, but need help framing the message and ratifying
adoption. Finally, they recognize that faithful delivery is critical for changing the status quo as it fights to defeat the challenge.

There is no doubt that the revolution has generated wave upon wave of good advice, not to mention an inexhaustible inventory of exceptional innovators who are making a difference in the world. Indeed, I now have my own collection of 3,500 exemplars drawn from list upon list of awardees and prizewinners, effective and creative institutions, best-in-class impact investors and crowdsourcers, design thinkers and movement builders, and top-ten lists of every kind.

The challenge is to make sense of all the advice, measure its quality, clarity, and accessibility, and determine its actual social impact. The challenge is also to match the right tool with the right task to achieve the chosen goal. Simply put, innovators need help getting help. The revolution will amount to little more than churn unless social innovators can find the insights they need in real time. This course will examine the tasks and tools needed for success, while emphasizing the need for skepticism regarding claims regarding the ultimate value of one approach over another.

Course and Learning Objectives

This course is based on my own effort to sort the flood of advice social entrepreneurs and innovators face. This sorting system is built on the notion that durable social change depends on (1) five goals for creating creative disruption in the prevailing social equilibrium, (2) five tools for reaching the goals, and (3) ten associated tasks.

My own work on social entrepreneurship and innovation starts with Joseph Schumpeter’s five types of innovation: (1) a new supply of raw materials or semi-finished goods, which I translate into a new supply of innovators and knowledge, (2) a new organization of an industry, which I translate into a new industry for social financing, (3) a new good, which I define as a new solution to an intractable problem, (4) a new market, which I translate into a new demand for social change, and (5) a new method of production, which I translate into a new form of scale-up and delivery, of a new product or variation in an already know product, new good, (4) a new market, and (5) a new method of production.”

These goals are often linked to economic renewal, but are easily adapted to social change. The difference is not so much in the means, but in the ends.

- Past research suggests that economic entrepreneurs and innovators are primarily motivated by financial gain as they pursue new sources of material and half-finished goods to reduce costs; new industrial structures to strengthen competition and break monopolies; new products or species of existing products to generate demand; new markets to increase sales and profit; and new production methods to lower costs and increase quality, and meet demand. Thus, much as they build social responsibility, “shared value,” and triple bottom lines into everything they do, they cannot do good unless they do well.
Past research also suggests that social entrepreneurs and innovators are primarily motivated by social good as they eek new sources of knowledge to focus their energy on what some call the “root cause” of the injury at hand; new financing structures to align investments with social mission; new products or species of existing products to generate greater effects; new markets to support adoption and ratification; and new production methods to achieve social impact on time and on budget. Thus, as much as social entrepreneurs and innovators embrace patient funding, impact investing, and enterprising returns, they cannot do well unless they do good.

This course is designed to link the five types of innovation to the five tools and ten tasks associated with success. Although the metaphor of tools and tasks are somewhat of a convenience, even contrivance, for organizing the revolution in how to innovate by category, they do remind social entrepreneurs and innovators that every tool is not a hammer, and, therefore, every task is not a nail.

1. Social exploring is the primary tool used to (1) call new entrepreneurs and innovators to confront the social equilibrium, and (2) map the landscape of cause and effect that shapes the potential for impact.

2. Social financing is the primary tool used to (1) entice investors to support their social change, and (2) prospect for this support through fundraising, blending profit and social impact, and building their reputations to attract support.

3. Social designing is the primary tool used to (1) collect ideas for a solution, and (2) combine the ideas into new combinations of that can be prototyped, stressed, and “failed” before launch.

4. Social advocacy is the primary tool used to (1) frame messages that will create and sustain market pressure, and (2) ratify the solutions as needed through laws, regulations, and judicial action.

5. Social delivery is the primary tool used to (1) scale social innovations from initial launch toward sustained impact, and (2) disrupt the prevailing social equilibrium through sustained performance.
These tools are rarely aligned in a linear order—some are never needed, while others are deployed on demand or in iteration. The key to impact using the right tool to achieve the desired impact—form follows function, not vice versa. Entrepreneurs and innovators often tell me that traditional linear process models do not work well for the messy world of social entrepreneurship and innovation. Rather, they often talk about being in more than one place at a time as they pursue. Much as they might long for the predictability in World I, they live with the uncertainties of World II.

**Grading**

Final grades will be assigned on a point basis as follows:

1. 25 points each for the three 1,000-word memos described in this syllabus—75 points total.
2. 25 points for the final exam—the exam will be a 24-hour take-home exam that I will send to you via email upon your request between December 16 and 20. You must return your exam to me via email within 24 hours of receipt.
**Memos**

The three long memos work will be graded for content and writing. You will be writing your memos to me as the chief of staff to someone you seek to influence. Papers will be graded on (1) persuasiveness, (2) clarity of argument, (3) writing quality, (4) sources, and (5) proofing. Your grade depends on the amount of friction you create. Remember that I will be looking for FIVE credible, research-based sources in each memo. Web pages and news articles are fine for context and facts, but your broad conclusions must also be supported by evidence. You will find a general introduction to my memo writing preferences on NYU Classes.

**Class Norms**

Class participation is part of your body of work. Make sure you come to class prepared to discuss the readings and your assignments.

**Required Readings**

All readings are available either on NYU Classes or through links provided in this syllabus. Be aware that some publications such as The Harvard Business Review and the Stanford Social Innovation Review set limits on monthly downloads. You can always find the readings on NYU Classes. Let me know if I missed one and I’ll upload it ASAP.

**Course Schedule**

FOR THE FIRST CLASS

Mapping Memo (not graded):

Visit NYU Classes and open the folder titled “Assignments/Watch for Hazards (Indices).” Pick a specific problem that you care about such as freedom of the press, human rights, environmental progress, social progress, poverty, happiness, corruption, health, etc., and find a relevant index. Write a short memo to me telling why you selected the index, what problem the index covered, and what you learned about the possible causes and consequences of the problem. No more than 200 words please. Please read my “Memo on Writing Memos” on NYU Classes for my writing preferences. (Note that most of these indices are annual—find the most recent online if it was published before 2015.)

Use the following format:

MEMORANDUM

To: Paul Light
From:
Re: First Assignment
Date: January 22, 2019
I. DEFINITIONS (WEEKS 1 AND 2)

WEEK 1 (September 3): CLASS OVERVIEW

BEGIN THINKING ABOUT THE FOUR QUESTIONS YOU MUST ANSWER IN YOUR FIRST MEMO: (1) What problem do you seek to solve? (2) What is the size of the problem AND trend in the problem? (3) What is the primary cause of the problem? (4) What are the consequences of the problem we should care about?

Assume that you have been asked to recommend a specific problem for the principal's agenda. Make a credible case for action in a memo to the chief of staff (me) about the problem. Your goal here is to set the agenda by showing your problem is important and consequential using the best available evidence. Your memo must use at least five credible, research-based sources.

A. Readings

- John Hagedorn, "Innovation and Entrepreneurship: Schumpeter Revisited," Industrial and Corporate Change, Fall 1996; a discussion of the differences between entrepreneurship and innovation; pay close attention to Schumpeter’s changing definitions

DUE: A photo of yourself on a 8/11 sheet of paper with your name in bold caps across the top of the page. Pick a photo that will help me learn your name.

PAUL LIGHT

[Photo of Paul Light]

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WEEK 2 (SEPTEMBER 10): ENTREPRENEURSHIP & INNOVATION REALITIES

DUE: PROBLEM STATEMENT MEMO

Write a one-sentence memo to me stating the problem you seek to solve. Find and cite a research-based statistic that shows the size of the problem. Also cite an index that shows the trend in the problem and a comparison to other countries by going to our NYU Classes website, open the “Resources” folder, open the “Statistics” folder, then open the “Indices” folder. You will find a ton of information on the state of the world.

Format it as follows to create maximum friction and insert an endnote with a full citation to the index you use. Read my NYU Classes “Memo on Writing Memos” for further help on how to write for impact. Use an endnote to provide citations for your statistic and index.

MEMORANDUM

To: Paul Light
From: Yourself
Regarding: The problem I seek to solve
Date: September 10

I seek/hope/want/wish/expect/commit to solve the problem of...

A. Readings

- Atul Gawande, “The Heroism of Incremental Care,” New Yorker, January 23, 2017; a great writer on an important subject; perfect fit with Seelos and Mair
• Stephanie Cosner Berzin, HaeNim Lee & Anne Day Leong, “Social Entrepreneurship as Intervention: Findings from a Venture Development Program for Marginalized Youth,” City and Youth Services, Fall, 2018; an analysis of how social entrepreneurship can be used as a way to solve social problems

II. SOCIAL EXPLORING

WEEK 3 (SEPTEMBER 17): SOCIAL CALLING

A. Readings


• Ewing and Marion Kauffman Foundation, Kauffman Compilation: Research on Race and Entrepreneurship

OR

• Ewing and Marion Kauffman Foundation, Kauffman Compilation: Research on Gender and Entrepreneurship, August 2015; available in hardcopy on NYUClasses, but also frequently updated online; broad summary of topics related to gender; follow the online links to see specific studies as you wish

OR


OR

• Algernon Austin, The Color of Entrepreneurship: Why the Racial Gap among Firms Costs the U.S. Billions, Center for Global Policy Solutions, April 2016; an inventory of findings on race and entrepreneurship, excellent research with a unique method for counting the number of “missing minority businesses”

• Toyah L. Miller, Matthew G. Grimes, Jefferys S. McMullen, and Timothy J. Vogus, “Venturing for Others with Heart and Head: How Compassion Encourages Social Entrepreneurship,” Academy of Management Review, October 2012; a broad analysis of how social entrepreneurs differ from business entrepreneurs in their basic motivation; breeze through it
• Nicos Nicolaou, and Scott Shane, “Can Genetic Factors Influence the Likelihood of Engaging in Entrepreneurial Activity?” Journal of Business Venturing, November 2007; read sections 1-3; get the general sense of the argument; tough reading; breeze through it

B. FURTHER EXPLORATION

• Go our NYU Classes website, open the “Resources” folder, open the “Attributes” folder, and pick one attribute that you think is important to social entrepreneurship and innovation. Prepare to talk about it in class

WEEK 4 (SEPTEMBER 24): SOCIAL MAPPING

A. Readings


• W.K. Kellogg Foundation, Logic Model Development Guide, W.K. Kellogg Foundation, 2004; Introduction and Chapters One, Two, and Three; still the most useful summary I have seen; simple is better here; become familiar with the basic terms

• Mary Kay Gugerty and Dean Karlan, “Ten Reasons Not to Measure Impact—and What to Do Instead,” Stanford Social Innovation Review, Summer, 2018; they mean the opposite of course, but believe poor measurement is a waste of effort and money

B. FURTHER EXPLORATION

• Go to our NYU Classes “Resources” folder, open the “Cases in Cause and Effect,” pick a problem you care about, and read a bit about it to see if you can find clear evidence on what works. Be prepared to talk about it in class.

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III. SOCIAL FINANCE (WEEKS FIVE, SIX, and SEVEN)

WEEK 5 (OCTOBER 1): SOCIAL INVESTING

FIRST MEMO DUE

BEGIN THINKING ABOUT THE FOUR QUESTIONS YOU MUST DISCUSS IN YOUR SECOND MEMO: (1) What is your proposed solution to the problem you seek to solve? (2) How does your solution address the causes of the problem outlined in your first memo? (3) What are the measurable effects of your solution on the problem? (4) Who will support and oppose your solution—be specific about organizations, political leaders, funders, and/or nation-states.

Assume you have been asked to recommend a solution for the problem you discussed in your first memo. Your memo must use at least five credible, research-based sources.

A. Readings

- Sean Greene, *A Short Guide to Impact Investing*, The Case Foundation, 2014; entire; very quick and accessible analysis; a very quick introduction to impact investing by individuals, organizations, foundations, pension funds, etc.

- Paul Brest, and Kelly Born, “When Can Impact Investing Create Real Impact?” Stanford Social Innovation Review, Fall 2013; dense but necessary—a challenging read that lays out the case for impact investing from one of the field builders; feel free to explore the responses to the article if you wish

- Paul Sullivan, “Investing for Social Impact Is Complicated: Here Are 4 Ways to Simplify It,”; a very fast analysis of how to value an impact investment

- Shena R. Ashley and Joycelyn Ovalle, *Investing Together: Emerging Approaches in Collaborative Place-Based Impact Investing*, Urban Institute, May, 2018; a study of how impact investigation can attack systemic inequality with cautions about over-promising

- Clara Miller and Toni Johnson, “Mission-Aligned Investing: More Complex than It Seems,” *Stanford Social Innovation Review*, June 2015; a blog post on the reality of impact investing for the Heron Foundation’s $300 million endowment; anyone who thinks this is easy is just plain wrong

WEEK 6 (OCTOBER 8): SOCIAL PROSPECTING

A. Readings
Jim Fructerman, “For Love or Lucre,” Stanford Social Innovation Review, Spring 2011; the title says it all, but do we have to choose one or the other?


Steve MacLaughlin, "The End of the Beginning of Online Giving," npENGAGE, March 4, 2019; rapid analysis of the online giving market

Center for Effective Altruism, “Introduction to Effective Altruism,” June 22, 2016, I am not entirely sure where this movement is going, but it has taken hold with a furry that suggests a shift in the philosophy of giving; 30 pages of easy reading

Jennifer C. Rubenstein, “The Lessons of Effective Altruism,” Ethics and International Affairs, Fall, 2016; a very tough review the concept and the “hidden curriculum” it teaches its members; skim this just to get on top of the underlying political and social bias in this movement

(WEEK 7 (OCTOBER 22): CORPORATE SOCIAL RESPONSIBILITY)

A. Readings

Gordon Clark, Andreas Feiner, Michael Viehs, From the Stockholder to the Shareholder, September 2014; the case for CSR from the corporate side of the debate; be careful about the conclusions, however—some of the assertions do not fit the evidence presented in the research

Deborah Doane, “The Myth of CSR,” Stanford Social Innovation Review,” Fall 2005; very tough criticism of the “good company” as the answer to the world’s problems; short and to the point

Herman Aguinis, and Ante Glavas, “Embedded Versus Peripheral Corporate Social Responsibility: Psychological Foundations,” Industrial and Organizational Psychology, November 2013, 314-319 only; my favorite piece on how to tell the difference between real and false CSR; browse it for key points

Olivier Boiral, “Sustainability Reports as Simulacra? A Counter-Account of A and A+ GRI Reports,” Accounting, Auditing & Accountability Journal, Fall 2013; an
analysis of the role of images in CSR reporting and the distortions of reality that follow from CSR as a form of marketing

B. FURTHER EXPLORATION

- Go to our NYU Classes “Resources” folder, click on the “Nike and Other Examples” folder, and pick a corporation that you’d like to assess. Ask whether the organization’s social responsibility is embedded or peripheral, and (4) how does your view square with the organization’s reputational capital. Be prepared to talk about it in class.

IV. SOCIAL DESIGN (WEEKS EIGHT, NINE, AND TEN)

WEEK 8 (OCTOBER 29): INTRODUCTION TO DESIGN THINKING

A. Readings


- Natasha Iskander, “Design Thinking Is Fundamentally Conservative and Preserves the Status Quo,” Harvard Business Review, September 5, 2018; a tough critique of the design thinking movement by our faculty colleague, critically important as design thinking continues to involve

- Fay Twersky, Phil Buchanan, & Valerie Threlfall, “Listening to Those Who Matter Most, the Beneficiaries,” Stanford Social Innovation Review, March 2013; quick piece on feedback loops as a device for finding new ideas and abandoning the “we-know-best,” “top-down” design loops. Ask who might be missing in all this—can we really know the beneficiary through empathy?

- Paul Bloom, “Empathy and Its Discontents,” Trends in Cognitive Sciences, January 17, 2017; a strong case against empathy as a core concept across a host of fields and decisions; Bloom is the leader of the movement against empathy as a principle of design thinking, charitable giving, and policy decisions; effectiveness should guide choices, not sentiment

WEEK 9 (NOVEMBER 5): COLLECTING IDEAS

SECOND MEMO DUE
BEGIN THINKING ABOUT THE FIVE QUESTIONS YOU MUST ANSWER IN YOUR THIRD, AND FINAL MEMO: (1) What are three important assumptions that will affect your success? (2) Which of the three assumptions is the most likely to fail and why? (3) What signpost will you use to alert yourself to the failure of this assumption? (4) How will you hedge against the assumption's impending failure?

Assume that your problem and solution have made the agenda for action. You have now been asked what could go wrong and what can be done to answer critics. Do your analysis using at least five credible, research-based sources.

A. Readings
   - Henry Chesbrough, “The Era of Open Innovation,” MIT Sloan Management Review, Spring 2003; a defining piece; MIT Sloan says it will take you 24 minutes to get through it, but it will not take long to get the point; Chesbrough is considered the founder of the open innovation movement
   - Kevin J. Boudreau, and Karim R. Lakhani, “Using the Crowd as an Innovation Partner,” Harvard Business Review, April 2013; a basic introduction to the crowdsourcing concept; be sure to consider the “when” and “how” table at page 64; crowdsourcing obviously comes in many flavors; the crowd will produce the ideas
   - Kevin C. Desouza & Kendra L. Smith, “Big Data for Social Innovation,” Stanford Social Innovation Review, Summer 2014; an entirely different take on where to find new ideas, but a similar philosophy for reducing piles upon piles of data into patterns that spark innovation; data will produce the ideas
   - World Wide Web Foundation, Algorithmic Accountability: Applying the Concept to Different Country Contexts, July 2017; an introduction to the problems associated with algorithmic bias and the emerging field of algorithmic justice; see also if you have time, Nicol Turner Lee, Paul Resnick, and Genie Barton, “Algorithmic Bias Detection and Mitigation: Best Practices and Politics to Reduce Consumer Harms,” Brookings Institution, May 22, 2019; quick review of legislative remedies

WEEK 10 (NOVEMBER 12): COMBINING IDEAS

A. Readings
   - Jonny Schneider, Understanding Design Thinking, Lean, and Agile, O’Reilly Media, 2017, Chapters 1-2; a short, accessible assessment of the intersections between these three broad concepts for innovation
• Darrell K. Rigby, Jeff Sutherland, and Hirotaka Takeuchi, “Embracing Agile,” Harvard Business Review, May 2016; a broad introduction to agile thinking, which may be more applicable to social innovation than lean thinking
• James A. Dewar, Carl H. Building, William M. Hix, and Morlie H. Levin, Assumption-Based Planning: A Planning Tool for Very Uncertain Times, RAND, 1993, entire; ABP is a way to test your solution before launch; ABP is NOT about whether your solution will be funded or adopted, but whether it will work if implemented and what can be done to prevent failure

B. FURTHER EXPLORATION
• Go our NYU Classes website, open the “Resources” folder, open the “Further Explorations” folder, then open the “Lean Everything” folder, and read into one of the six sub-folders to see if you can define what lean means in the context of prototyping, launch, data, etc. Prepare to talk about it in class

V. SOCIAL ADVOCACY (WEEKS ELEVEN AND TWELVE)

WEEK 11 (NOVEMBER 19): SOCIAL FRAMING

A. Readings
• Frameworks Institute, “Changing the Public conversation on Social Problems: A Beginners Guide to Strategic Frame Analysis”; spend an hour online with this course; feel free to cut the talking head videos off if they get too cumbersome, but this is the best available introduction to framing available;

B. FURTHER EXPLORATION
• Visit the Stanford Social Innovation Review “Picture This”, pick an issue that you care about and read the discussion of framing; ask how would you use the reframing approach generating support for the addressing the problem you have chosen for this class. Be prepared to discuss in class
WEEK 12 (NOVEMBER 26): SOCIAL RATIFICATION

A. Readings


- Robert Putnam, “Bowling Alone: America’s Declining Social Capital,” Journal of Democracy, January 1995; Putnam’s first piece on the decline in social capital that preoccupies us to this day

- Matthew Atwell, John Bridgeland, and Peter Levin, Civic Deserts: America’s Civic Health Challenge, National Conference on Citizenship; an update on civics education and the lack thereof as part of broad challenge to get Americans to trust each other; skim the entire report and ask whether this is relevant today

- John Kania, and Mark Kramer, “Collective Impact,” Stanford Social Innovation Review, Winter 2011; a broad call for collaboration and focus in pursuing ratification of social change; ask whether this is truly new

VI. SOCIAL DISRUPTION (WEEKS THIRTEEN AND FOURTEEN)

WEEK 13 (DECEMBER 3): SOCIAL SCALING

A. Readings

- Andrew B. Hargadon, and Yellowlees Douglas, “When Innovations Meet Institutions: Edison and the Design of the Electric Light,” Administrative Science Quarterly, September 2001; Edison’s strategy for diffusion of electric lighting here in NYC; very useful discussion of the transition from idea to industry

- Atul Gawande, “Slow Ideas: Some Ideas Spread Fast. How Do You Speed the Ones that Don’t?” New Yorker, July 29, 2013; a great article on why the use of anesthesia spread quickly and antiseptics did not; this is a MUST read


B. FURTHER EXPLORATION
- **Explore the rapidly expanding inventory of “civic tech.”** Pick a civic tech organization that appeals to you and take a closer look at what it does, how “costly” it is for citizens to participate (e.g., in knowledge, monitoring, dollars), and wonder whether they are making any social impact. Feel free to google the organization to see if it is still alive a decade after the inventory. Be prepared to discuss it in class.

**WEEK 14 (DECEMBER 10): SOCIAL DELIVERY**

**MEMO THREE DUE**

**A. Readings**

- Paul Light, *The Four Pillars of High Performance: How Robust Organizations Achieve Extraordinary Results*; Chapter 2; the data and findings still hold; not much I would change in the overall lessons on high-performance organizations

- Jason Pierce, and Herman Aguinis, “The ‘Too-Much-of-a-Good-Thing’ Effect in Management,” *Journal of Management*, 2013; is more always better?

- David Denby, “The Limits of ‘Grit,’” *New Yorker*, June 21, 2016; speedy piece on the problems with promoting grit

- Angela Duckworth, and James J. Gross, “Self-Control and Grit: Related but Separable Determinants of Success.” *Current Directions in Psychological Science*, October 2014; Duckworth’s definition of grit and case for more of it

**NYU Classes**

All announcements, resources, and assignments will be delivered through the NYU Classes site. I may modify assignments, due dates, and other aspects of the course as we go through the term with advance notice provided as soon as possible through the course website.

**Academic Integrity**

Academic integrity is a vital component of Wagner and NYU. All students enrolled in this class are required to read and abide by Wagner’s Academic Code. All Wagner students have already read and signed the Wagner Academic Oath. Plagiarism of any form will not be tolerated and students in this class are expected to report violations to me. If any student in this class is
unsure about what is expected of you and how to abide by the academic code, you should consult with me.

**Henry and Lucy Moses Center for Students with Disabilities at NYU**

Academic accommodations are available for students with disabilities. Please visit the Moses Center for Students with Disabilities (CSD) website and click on the Reasonable Accommodations and How to Register tab or call or email CSD at (212-998-4980 or mosescsd@nyu.edu) for information. Students who are requesting academic accommodations are strongly advised to reach out to the Moses Center as early as possible in the semester for assistance.

**NYU’s Calendar Policy on Religious Holidays**

NYU’s Calendar Policy on Religious Holidays states that members of any religious group may, without penalty, absent themselves from classes when required in compliance with their religious obligations. Please notify me in advance of religious holidays that might coincide with exams to schedule mutually acceptable alternatives.