

ADA Foundation

Armstrong, Craig, 2023, Texas, chair*
Graves, Dana, 2025, Pennsylvania
Tulak-Gorecki, Michele, 2025, Michigan*
Cohlma, Raymond, ADA executive director

Shapiro, Elizabeth, ADA chief of governance and strategy management
Catral, Nicole, ADA director, Department of Corporate Social Responsibility and Philanthropy (“DCSRP”)
Schilligo, Tracey, ADA manager, professional programs, DCSR
Zinn, Robert, ADA director, accounting and reporting

Background and Strategic Planning Update

The ADA Foundation (“ADAF” or “the Foundation”) has been in a state of transition since June 2019, when the ADA Board of Trustees (“BOT”), representing the sole Member of the ADAF, refocused the work of the Foundation. Following the creation of the ADA Science and Research Institute LLC (“ADASRI”) and the transition of scientific research out of the ADAF and into ADASRI in 2021, the Foundation narrowed its strategic focus to philanthropy. The ADAF Board adopted the following vision and mission statements, which incorporated feedback from the BOT, in December 2021:

Vision: Hopeful and healthier communities

Mission: Encouraging hope and health in our communities through philanthropy, professional development and recognizing promising leaders in the dental profession

The ADAF launched efforts in January 2022 to develop a comprehensive five (5)-year strategic plan. The cornerstone of this plan is the belief that the ADAF has the capability to become a leading foundation with respect to improving people’s lives through an oral health lens. This belief is necessarily informed by the ADAF’s visibility to other ADA activities, such as the newly created Give Veterans A Smile (“GVAS”) National Advisory Committee, whose outcomes the ADAF may be uniquely situated to support.

In early 2022, the ADAF Board—in collaboration with consulting firm Association Options LLC and with regular input from the BOT—developed a four-pillar structure for the strategic plan entitled “GIVE”: **G**rowth, **I**nnovation, **V**alue, and **E**volution. This structure contemplates that all Foundation activities should “ladder up” to one of these four pillars.



*ADA Trustee

The ADAF presented the “GIVE” pillars to the BOT in June 2022 and, in August 2022, presented a concise, one-year “Maintenance and Strategic Business Plan” that the ADAF Board developed in response to the BOT’s feedback. This one-year plan was intended to provide a roadmap for the ADAF’s ongoing operations while the Foundation works to develop a multi-year (2023-2028) strategic plan.

Two cornerstones of the Foundation’s high priority initiatives depended on BOT action: 1) the understanding that the ADAF’s future success will be powered by having branded programs that align with the mission of the ADAF, are known to constituents, and provide fundraising opportunities; and 2) the need for enhancements to the ADAF Board’s size and composition in order to equip the ADAF with the breadth and depth of expertise necessary to deliver on a five-year strategic plan.

With respect to branded programs: at the ADAF’s recommendation, the BOT transferred Give Kids A Smile (“GKAS”) and other “Smiles” programs from the ADA’s Department of Corporate Social Responsibility and Philanthropy (“DCSRP”) to the ADAF via a resolution in August 2022. This transfer boosted fundraising potential: donors may now make tax-deductible gifts directly to these programs (which was not possible when the programs resided within the ADA’s 501(c)(6) structure). Additionally, this move simplified the giving experience of corporate sponsors who wish to provide in-kind product donations but need to make such gifts to a 501(c)(3). This transition also set the stage for a public awareness-focused soft “re-launch” of the ADAF at SmileCon in October 2022, through sponsorship of the ADA’s Philanthropy Day events and use of marketing collateral—featuring a GKAS-focused donation appeal—made possible by reactivating the ADAF’s electronic donation capability.

ADA Foundation®

The ADA Foundation is ready to make a difference. Are you?

Join us! Consider a gift of \$20, celebrating 20 years of GKAS making an impact.

To donate:
Be sure to indicate in the “notes” section of the donation form that your gift is for GKAS.

20th Anniversary
Give Kids A Smile®

**Give Kids A Smile®
Celebrating 20 years**

The Give Kids A Smile program, launched nationally in 2003, provides free oral health care to underserved children. To date, **over 7 million children** have received services through thousands of local volunteers at GKAS events.

ADA American Dental Association®

DONATE TODAY to support the ADA Foundation’s Give Kids A Smile program with a gift of \$20 for 20 years of GKAS successes.

To donate:
Be sure to indicate in the “notes” section of the donation form that your gift is for GKAS.

For more information on the ADA Foundation and its programs, visit ADAfoundation.org, and for more information on GKAS, visit ADA.org/GKAS

Cards distributed at SmileCon 2022 and the 2022 House of Delegates in Houston. Although donations were encouraged, the primary purpose of the communication was to raise public awareness of ADAF.

Regarding governance improvements: at the recommendation of the ADAF Board and the BOT’s Governance Committee, the BOT amended the *Bylaws of the ADA Foundation* (“Bylaws”) in February 2023 to elaborate on the service of outside directors on the ADAF Board: 1) between six (6) and eight (8) additional outside directors seats were added to the Board; 2) the terms of outside directors may be staggered in order to balance continuity with new perspectives; and 3) the ADAF shall use its best efforts to recruit outside directors “with broad and diverse backgrounds, age, experience, and abilities, and with relevant financial and/or business acumen or relevant nonprofit experience and expertise.”

Following amendments to the *Bylaws*, the ADAF promptly launched a call for outside director applications, completed interviews by mid-May 2023, and is on schedule to nominate individuals for election by the Member at the June 2023 BOT meeting.

In tandem with these efforts, the ADAF Board has been developing a five-year strategic plan, including metrics for measuring success and detailed financial projections. The BOT has been provided with regular status updates, and feedback is incorporated on an ongoing basis. To infuse the plan with insights

from the new directors to be seated on the ADAF Board this summer, the ADAF anticipates presenting its draft five-year strategic plan to the BOT for comment in October 2023.

In addition, the ADAF Board, in collaboration with a consultant, is developing a communication and marketing strategy for the Foundation that, in the short term, will drive messaging about ADAF and its programs at SmileCon 2023; this strategy will also be integrated into the five-year strategic plan.

Advancing ADA Strategic Goals and Objectives: ADAF Programs, Projects, Results and Success Measures

This section presents ADAF key accomplishments and outcomes from May 1, 2022 to April 30, 2023, except where other timeframes are noted.

The ADAF's activities in the past year have directly supported the Common Ground 2025 ADA Strategic Plan's "Finance" and "Public" Goals: the Foundation's financial sustainability makes possible its programmatic work and grant-making activities with regard to supporting the advancement of the health of the public through philanthropy. Also relevant is the "Organizational Goal"—particularly its Objective 8, which concerns supporting organizational effectiveness and alignment of ADA subsidiaries.

Moreover, the ADAF's five-year strategic plan will be calibrated to ensure that the Foundation's priorities going forward align with, and fortify, those of the ADA, to the greatest extent possible, consistent with the ADAF's 501(c)(3) status.

The ADAF anticipates reporting out on its future accomplishments using the "GIVE" four-pillar structure, the details of which are being honed in advance of the October 2023 presentation of the draft five-year plan to the BOT. For purposes of this report, key tactical achievements of the Foundation can be grouped into four (4) topical categories, as described below.

1. Deliver on Current ADAF Programs

While strategic planning is underway, it has been critical for the ADAF's current constituents and ongoing brand reputation efforts that the Foundation continue to deliver on existing ADAF programs. The day-to-day operations of these programs yield impactful outcomes as summarized below.

Two Endowments

- The Relief Fund:
 - The Relief Fund provides financial assistance to dentists and their qualifying dependents with meeting essential daily living expenses and emergency living needs; these needs-based awards are made through the Charitable Assistance Grant program. To the extent funds are available, the Relief Fund may also be used for a limited number of additional charitable purposes, including emergency dental care in disaster-stricken areas.
 - In 2022, the Relief Fund provided nine (9) grants to individuals totaling \$224,344, as well as a \$50,000 grant to the Ukraine Dental Association for emergency dental supplies and care.
 - In 2023, the Foundation has allocated \$446,292 for relief grants.
- The Samuel D. Harris Fund for Children's Dental Health ("Harris Fund"):
 - The Harris Fund is used to award grants to programs that support children's dental health in the United States.
 - In the past, the Harris Fund supported various grants; for 2023, the ADAF Board has approved \$222,426 to support the Give Kids A Smile and Tiny Smiles program activities.

Two Award Programs

- Overview: The Crest and Oral-B Promising Researcher and Dr. David Whiston Leadership Awards are keystone annual programs of the ADAF. In a new development this year, both awards are now open to non-U.S. residents to apply, broadening the scope of eligible applicants

and the ADAF's potential reach. These award programs provide an important opportunity for the ADAF to bolster its reputation through promoting its support of talented individuals improving the oral health of the public; each award is for \$5,000. The Foundation seized the opportunity to publicize the award winners in fall 2022 through working closely with *ADA News*.

- The Dr. David Whiston Leadership Award (“Whiston Award”):
 - The Whiston Award recognizes a promising leader who is a member of a diverse group that has been traditionally underrepresented in leadership whose research excellence and leadership has made substantial contribution to improve the oral health of the public.
 - The award funds cover the costs of attending the ADA Institute for Diversity in Leadership.
 - Funds can also be used to defray the costs of the Institute project, with a research focus on addressing an issue or challenge within their community or organization, or the oral health of the public or an underserved population.
 - In the 2022 application cycle, two (2) Whiston Awards were awarded.
- The Crest and Oral-B Promising Researcher Award:
 - This award promotes and recognizes excellence in oral health research by providing financial assistance for promising researchers to pursue a career in research that advances preventive dentistry.
 - In the 2022 application cycle, one (1) Crest and Oral-B Promising Researcher Award was awarded.

2. Manage Finances and Assets with Clarity, Transparency and Future-Looking Capability

Financials—Year Ending December 31, 2022

The year-end results are broken down between Philanthropy and Research.

For Philanthropy, revenue ended at \$397k, which was a 5632.1% increase over the 2022 budget of \$7k. Driving the favorable variance in revenue was the unbudgeted transfer of the Give Kids A Smile Fund from the ADA (\$328k) and unbudgeted sponsorships/contributions (\$56k). Total expenses for Philanthropy ended 2022 at \$1.042 million, a 26% decrease from the 2022 budget of \$1.409 million. The favorable variance in expenses for Philanthropy was due to less than budgeted spending on grants and awards (\$217k including \$44k less to ADA’s Department of Corporate Social Responsibility and Philanthropy (“DCSRP”)) and unspent consulting fees (\$150k).

The total fund balance for Philanthropy ended 2022 at \$12.918 million. Included in this total is the value of the two endowment funds: (1) The Harris Fund (\$3.350 million); and (2) the Relief Fund (\$7.024 million). Also included is the balance of the unrestricted fund (\$1.994 million), the Crest and Oral-B Promising Researcher Award fund (\$93k), and the Whiston Award fund (\$129k).

In Research, total spending was \$593k, which was slightly higher than the 2022 budgeted amount of \$426k. The total fund balances in Research at the end of 2022 were \$2.263 million, comprised mostly of the General Research & Education fund (\$1.312 million) and the Colgate fund (\$921k).

ADAF Patent Portfolio

Consistent with the strategy of centralizing scientific research activities in ADASRI and enabling ADAF to focus on philanthropy, the ADAF Board licensed the majority of its intellectual property (patent) assets to ADASRI in February 2022. The patents that were not included in the exclusive license agreement are also being managed by ADASRI through a shared services agreement by and between the two entities. ADASRI’s subject matter expertise will continue be instrumental with respect to assessing the patents’ value; efforts to identify commercial opportunities and potential sublicensees have been ongoing since spring 2022, and regular updates are provided to the ADAF Board. Additionally, tactical reductions in the portfolio’s size continue to have a favorable impact on the ADAF’s budget, together with a reduction of costs to manage the portfolio as a result of transitioning to new outside counsel in June 2022.

3. Improve Operational Structure and Governance

Ongoing strategic planning activities will do much to inform and shape the operational structure improvements needed to support the Foundation's day-to-day activities and financial sustainability.

In the meantime, process improvements completed in late 2022 and early 2023 are setting the Foundation up for success. Such developments include behind-the-scenes efforts like refreshing the intercompany services agreement (by and between the ADA and the ADAF) to reflect the transition of the GKAS, Tiny Smiles, and any and all future "Smiles" programs from the ADA to the ADAF, as well as public-facing improvements: in September 2022, the new Foundation website—compatible with mobile—went live. It is considered an "MVP" (a minimal viable product) pending the ADAF's strategic planning activities and so currently centers around the Foundation's present core activities. Most significantly, the website now includes a "donate" button, enabling individual donors to make a secure online gift from either a desktop or their phone. (The ADAF's continued compliance with charitable state registration laws across the United States makes this functionality possible.)

The "Background and Strategic Planning Update" section of this report summarizes the February 2022 amendment of the *Bylaws*, which was a prerequisite to equipping the ADAF Board with the breadth and depth of expertise it will need to deliver on a five-year strategic plan. Thanks to these changes, the current four (4)-person ADAF Board—which has only one (1)-outside director—is anticipated to benefit from the diverse viewpoints of at least six (6) new outside directors starting in summer 2023, in time for polishing the five-year strategic plan by the fall. These changes are consistent with the ADA's preference for its subsidiaries and affiliates to be overseen by skills-based boards, and a larger board will also provide more fundraising opportunities for directors and/or their respective networks. Further governance enhancements—including the creation of standing committees to support the ADAF Board with respect to financial and other matters—will be considered in the coming months.

4. Bolster the ADAF's Reputation through its Contributions and Support

The ADAF's support (via grant funding) of the ADA's DCSR program burnished the ADAF's reputation through the numerous achievements of the Department's programs in 2022, which include, but are not limited to:

- Nearly 4,500 dentists participated in more than 1,000 Give Kids A Smile ("GKAS") events across the U.S. in 2022 that provided nearly \$13 million worth of charitable oral health services to 273,000 underserved children;
- A special [20th Anniversary GKAS Gratitude Report](#) was created and shared in honor of two successful decades of programming;
- The GKAS Pack and Give Back Event took place in Houston during the ADA's 2022 SmileCon conference and provided 1,000 underserved children with backpacks filled with nutritious snacks, oral health educational materials, toothbrushes, and toothpaste;
- The second annual SmileDASH event, benefiting GKAS, in October 2022 encouraged SmileCon registrants to run, walk, bike, swim or do any other distance activity and log their miles to help ADA reach its goal of 5,000 total miles. A total of 156 individuals participated, logging more than 3,500 total miles and raising awareness about GKAS;
- As part of GKAS's collaboration with Colgate, more than 200 children received screenings and education in Houston during SmileCon on Colgate's Bright Smiles, Bright Futures mobile dental van, which was located on the exhibit floor;
- Seventy-five percent (75%) of GKAS programs taking place in 2022 expanded their events to include Tiny Smiles, which provides oral health services to children from age 0 (birth) to five;
- A 12-month collaboration with the California Dental Association promoted the Treating Young Kids Everyday CE course (a \$200 value worth two CE credits) at no cost to the user. The course is designed to increase dentists' confidence to see babies and young children and inspire a commitment to decreasing the prevalence of dental caries in children. A total of 367 professionals completed the course; and
- The ADA International Dental Volunteer Trip Calendar was updated to include details for 180 international volunteer opportunities throughout 2022.

As GKAS, Tiny Smiles, and any and all other future “Smiles” programs now reside in the ADAF, these will be reported on as ADAF programs going forward.

To bolster the ADAF’s marketing efforts, the DCSRП began actively identifying opportunities to acknowledge in public-facing materials the ADAF’s support of GKAS. For example, the ADAF was recognized for its support of GKAS in a press release, [American Dental Association Celebrates 20th Annual Give Kids A Smile Program with Exclusive Product Sponsors, Henry Schein and Colgate-Palmolive](#), in February 2022:

The success of GKAS would not be possible without the nearly 37,000 dental professionals who volunteer at local events each year in addition to national sponsors, Henry Schein and Colgate, and long-time supporters like the ADA Foundation.

As another example of such publicity, the ADAF was recognized for its support of Tiny Smiles in an ADA News story, [ADA Promoting California Dental Association’s CE on Caries Prevention](#), in December 2022.

The ADA Foundation is collaborating with the California Dental Association to promote the CDA’s Treating Young Kids Everyday (TYKE) continuing education course, intended to inspire a commitment to decreasing the prevalence of children’s dental caries.

The collaboration is part of the ADA Foundation’s Give Kids A Smile’s Tiny Smiles program, an oral health education program for dental professionals sponsored by Colgate and CareCredit.