

# ADA Foundation

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## Background

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The ADA Foundation (“ADAF” or “the Foundation”) has been in a state of transition since June 2019, when the ADA Board of Trustees (“BOT”), acting as the sole member of the ADAF, refocused the work of the Foundation. Following the creation of the ADA Science and Research Institute LLC (“ADASRI”) in October 2019—and the January 2021 completion of the transition of scientific research out of the ADAF and into ADASRI—the Foundation narrowed its strategic focus to philanthropy. The BOT signaled its continued support for the ADAF’s current activities when it adopted the following resolution in July 2021:

**B-83-2021. Resolved**, that the ADA Foundation (“ADAF”) shall maintain its focus on its two endowments and current award programs, and be it further

**Resolved**, that the ADA Board of Trustees urges the ADAF to give funding priority to any grant request from the ADA Department of Corporate Social Responsibility and Philanthropy regarding the Give Kids A Smile and Tiny Smiles programs, to the extent financially possible.

With an eye to concentrating on the above-referenced activities and funding priorities, the ADAF Board adopted the following strategic plan in December 2021:

**ADAF-B-41-2021. Resolved**, that the ADA Foundation’s strategic plan for 2022 shall focus on building ADAF to be stronger, more capable and sustainable; and be it further

**Resolved**, that ADAF activities in 2022 shall align with the following five strategic goals:

- maintain and deliver on current ADAF obligations;
- manage finances with clarity, transparency and future-looking capability;
- continue to build and improve operational structure and processes;
- improve governance by developing a board with the appropriate size and skills to manage current and future ADAF challenges; and
- improve the ADAF reputation through its contributions and support.

The ADAF Board also 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 one-year consulting agreement of the ADAF’s interim executive director, Dr. Elizabeth Roberts, was completed in December 2021. This interim role was conceived of as a temporary position to assist with the transition of Dr. Marcelo Araujo, who had overseen the ADAF in 2019-2020, as he began leading ADASRI in 2021.

## **2022 Outlook: Strategic Planning Process**

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In January 2022, the ADAF Board reflected on the enthusiasm that ADA leadership expressed about the ADAF's potential. The ADAF—coupled with new leadership and fresh perspectives on its own board (one-half of the four-person ADAF Board changed in Q4 2021)—determined that 2022 is the right time to reexamine the organization's priorities for this year—and beyond.

The ADAF aims to achieve this by taking a critical look at potential areas of programmatic focus that could, to the extent consistent with the ADAF's structure as a charitable 501(c)(3) organization:

- 1) fit within the framework of the ADAF's mission and vision; and
- 2) complement and even amplify the strategic efforts of the ADA—ranging from living the ADA's values by addressing inequities in health outcomes and championing access to care, to delivering on specific initiatives like expanding the ADA's slate of quality, free continuing education ("CE") courses.

The cornerstone of this strategic plan review is the belief that the ADAF has the capability to become a leading foundation with respect to encouraging hope and health in communities nationwide through philanthropy, professional development, and recognition of promising leaders in the dental profession. This belief is necessarily informed by the ADAF's visibility to other ADA activities, such as the ADA's Give Veterans A Smile ("GVAS") Summit, held in May 2022, which may produce actionable outcomes that the ADAF could be uniquely suited to support. Taking the time to consider potential re-growth of the Foundation supports the belief that ADAF has the opportunity to become a stronger supporter of improving people's lives through an oral health lens.

This is only one example of an opportunity to enhance synergies between the ADA and ADAF in mutually beneficial ways that are consistent with the ADAF's 501(c)(3) status. Given thoughtful and informed attention to various activities, any of which may be designed to complement, rather than compete with, efforts of other foundations throughout the tripartite, will drive the ADAF to greater achievements.

As of the writing of this report, the ADAF is exploring its strategic plan with an eye toward identifying appropriate areas of growth.

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

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This section presents ADAF key accomplishments and outcomes from May 1, 2021 to April 30, 2022, 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, as mentioned above, the ADAF's ongoing strategic planning initiative 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.

While this strategic planning work is underway, for purposes of this report, the performance of the ADAF will be discussed using the framework of the five strategic goals adopted by the ADAF Board in December 2021, as set forth above.

## 1. Maintain and Deliver on Current ADAF Obligations

### *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.
  - In 2021, the Relief Fund provided 13 grants to individuals totaling \$267,828.
  - In 2022, the Foundation has allocated \$433,859 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 2022, the ADAF Board has approved \$200,086 to support the ADA’s Give Kids A Smile and Tiny Smiles program activities.

### *Two Award Programs*

- Overview: Each award is for \$5,000. 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. The Foundation seized this opportunity in fall 2021 through working with *ADA News* to publish an article announcing the two 2021 Whiston Award recipients (<https://www.ada.org/en/publications/ada-news/2021/september/duo-receives-dr-david-whiston-leadership-awards>).
- 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 2020 and 2021 application cycles, two Whiston Awards were made.
- 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.
  - At the request of the donor, no award was made in 2021 to allow for an opportunity to examine ADAF’s approach to marketing the award to all relevant audiences. Applications for the award will be accepted in 2022.

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

### *Financials—Year Ending December 31, 2021*

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

For Philanthropy, revenue ended at \$1.05 million, which was a 107% increase over the 2021 budget of \$507k. Driving the favorable variance in revenue were the unbudgeted in-kind donated services from the ADA (\$285k), unbudgeted gain on the sale of fixed assets to ADASRI (\$165k), a larger than anticipated Paycheck Protection Program loan (\$549k versus \$500k), and unbudgeted sponsorships/contributions (\$44k). Total expenses for Philanthropy ended 2021 at \$1.52 million, a 27% decrease from the 2021 budget of \$2.08 million. The favorable variance in expenses for Philanthropy was due to less than budgeted spending on grants and awards (\$683k including \$515k less to ADA’s Department of Corporate Social Responsibility and Philanthropy (“DCSRP”)), and one position that was not filled (\$105k) partially offset by the addition of the in-kind donated services from the ADA (-\$285k).

The total fund balance for Philanthropy ended 2021 at \$15.8 million. Included in this total is the value of the two endowment funds: (1) The Samuel D. Harris Fund (\$4.2 million); and (2) the Relief Fund (\$8.9 million). Also included is the balance of the unrestricted fund (\$2.4 million), the Crest and Oral-B Promising Researcher Award fund (\$97k), and the Dr. David Whiston Leadership Award fund (\$139k).

In Research, total spending was \$1.06 million, which was close to the 2021 budgeted amount of \$1.01 million. The total fund balances in Research at the end of 2021 were \$3.3 million comprised mostly of the General Research & Education fund (\$1.9 million) and the Colgate fund (\$1.4 million).

### *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. Strategic work related to these efforts spanned 2021, and the license was executed 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 to be instrumental with respect to assessing the patents' potential commercial value. Tactical reductions in the portfolio's size throughout 2021 have already had a favorable impact on the ADAF's 2022 budget to date; together with the new strategic sourcing of outside legal services, these improvements are expected to yield significant cost savings for the Foundation going forward.

### 3. Continue to Build and Improve Operational Structure and Processes

Process improvements in 2021 included development of numerous standard operating procedure documents, centralized recordkeeping, and preparation of an update to the intercompany services agreement (by and between the ADA and the ADAF) with regard to how the ADA provides grant administration and other operational support to the Foundation. The strategic planning activities underway in 2022 will do much to inform and shape the operational structure improvements needed to support the Foundation's day-to-day operations and financial sustainability.

### 4. Improve Governance

In fall 2021, the ADAF Board began examining its current governance structure with respect to board size and composition as well as board standing committees, with an eye to optimizing how its governance supports ADAF's operations going forward. The ADAF Board will consider potential structural improvements—including recommending amendment to its *Bylaws*, if appropriate—in the context of ongoing strategic planning discussions.

### 5. Improve the ADAF 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 2021, which include, but are not limited to:

- Nearly 8,000 dentists participating in 1,000 Give Kids A Smile ("GKAS") events across the U.S. in 2021 that provided \$15 million worth of charitable oral health services to 288,000 underserved children;
- The "Be Part of the GKAS Movement" campaign aimed at encouraging state and local dental associations/societies and dental schools to participate in GKAS;
- The GKAS Pack and Give Back Event that took place in Las Vegas during the ADA's 2021 SmileCon conference and provided 1,000 underserved children with backpacks filled with nutritious snacks, oral health educational materials, toothbrushes, and toothpaste;
- The inaugural SmileDASH event, benefiting GKAS, in October 2021 that encouraged meeting 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 126 individuals participated, logging more than 3,000 total miles and raising awareness about GKAS;

- Nearly 80% of GKAS programs taking place in 2021 expanded their events to include Tiny Smiles, which provides oral health services to children from age 0 (birth) to five;
- A Tiny Smiles webinar, worth one CE credit, that provided resources for dental and medical professionals and educators to help raise awareness about the oral health needs of children age 0 (birth) to five, and which was completed by 177 professionals;
- A 3-month trial collaboration with the California Dental Association to promote their 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 322 professionals completed the course during the trial period; and
- An international volunteer projects webinar in times of COVID that highlighted a Health Volunteers Overseas program in Nepal and was attended by 139 professionals.