

Education and Research: A Grantmaking Snapshot

APRIL 2016



Introduction

This snapshot provides a **one-year picture** of grants made to universities and colleges in **2013** by PFC members. In this year, PFC members made grants totalling \$376 million to all funding areas. Of this total, \$107 million went to education and research, including universities and colleges. Granting by PFC members to this sector is consistently the largest in terms of the total grant dollars allocated.

Education and research includes two main categories of recipients: 1) universities and colleges and; 2) elementary, primary, and secondary education. PFC member grants to universities and colleges account for the bulk of grants made to education and research, both in terms of total grant dollars and total number of grants. This snapshot therefore focuses on grantmaking to **universities and colleges** because these recipients receive close to 80% of the total grant dollars from all PFC members to the education and research sector.¹

PFC thanks the members that generously provided information on their grants to education and research. We also thank Christina Klassen who conducted this research, the research staff at Imagine Canada which compiled the initial data and Ajah which reviewed the report.

Highlights

The snapshot reviewed **261 grants** totalling **\$90 million to universities and colleges** in 2013.

- Grant dollars in 2013 were remarkably **evenly distributed** across all categories of grants to universities and colleges, if we exclude the amounts given to scholarships by The MasterCard Foundation.
- **Individual development** (which includes scholarships/bursaries/fellowships) received the most grant dollars (\$64.7 million) and the highest number of individual grants (90). It is important to

¹ Given the small sample size of foundations & grants reviewed for this report, it is important to note that we cannot extrapolate the findings of this research to draw conclusions about the whole foundation grantmaking sector in Canada. Also, granting by very large foundations has considerable impact on granting patterns, as noted in the following pages.



note that The MasterCard Foundation granted \$62.5 million or 96% of the total dollar value of grants going to this category.

- **Capital & infrastructure support** was the second largest category of grants with 35 grants totalling \$7.7 million.
- **Two large foundations** are significant grantmakers to universities and colleges in terms of total grant dollars. One of these foundations makes larger individual grants than any other PFC member. It also makes most of its grants to universities outside of Canada.
- Grants going to universities & colleges **outside Canada** total **just over \$50 million**. Grants to **Canadian** universities & colleges total **just under \$40 million**. When grants from two large foundations are excluded, total grants to universities & colleges **outside Canada** drop from \$50 million to \$124k.
- A significant number of grants were designated for **Aboriginal** peoples within universities and colleges. There were a total of 27 grants, (10% of the total number of grants) totalling \$1.3 million, focused at least in part on this target population.

Scope of the Research

This snapshot looks at grants made by PFC members to universities and colleges for the year 2013 and includes:

- **119** PFC members (registered with CRA as of March 2015);
- **261** individual PFC member grants of \$5,000 and over;
- **\$90 million** in grants (or 95% of the total dollar value of grants made to universities & colleges by the 19 largest foundations²); and
- **85%** of the total value of grants made to universities & colleges by all PFC members of all sizes (\$90 million out of a total of \$107 million).

Grants made for education or research to stand-alone institutions are not part of this snapshot. For example, grants for scholarships made to the Loran Foundation or for research to the Canadian Institute for Advanced Research (CIFAR) would not be captured in this analysis.

Funding Areas

Grants were initially categorized according to the grant recipient – in this case universities and colleges. Grants by PFC members to universities & colleges were then categorized according to one of the following **9 main subject funding areas** (not including an “Unknown or not classified” category). These categories are based on the primary **purpose** to which the grant would be applied by the recipient.³

² For the purposes of the research, members were divided into four categories based on the dollar amount of all grants made to all funding areas in 2013: Very large (total grants > \$4M); Large (total grants \$500K-\$3.9M); Medium (total grants \$100K-\$499K); Small (total grants < \$100K).

Main subject funding areas:

1. Research/Chairs/Professorships for Business & Enterprise
2. Research/Chairs/Professorships for Medical & Health
3. Research/Chairs/Professorships for Science & Technology
4. Research/Chairs/Professorships for Social Sciences, Humanities, & Policy Studies
5. Community Investment
6. Student & Education Services
7. Individual Development
8. Capital & Infrastructure Support
9. Productions/Presentations/Collaboration
10. Unknown or not categorized

For a detailed description of these funding areas, the type of grants included in each category and details on the scope and research methodology, refer to the companion document *Methodology Appendices*.

Value of Grants by Funding Area (excluding grants from The MasterCard Foundation)

| # GRANTS | | TOTAL \$ |
|----------|-----------------------------------|---------------|
| 35 | Capital & Infrastructure | \$7.8 M |
| 10 | Research/chairs Soc. Sc. & Policy | \$4.2 M |
| 77 | Individual Development | \$2.2 M |
| 31 | Student Services | \$2 M |
| 11 | Research/chairs Business | \$2 M |
| 13 | Research/chairs Health | \$1.9 M |
| 23 | Community Investment | \$1.6 M |
| 16 | Research/chairs Sc. & Tech. | \$1.5 M |
| 13 | Productions/Present./Collab. | \$0.8 M |
| 229 | All Grants | \$24 M |



Capital & infrastructure support received the most grant dollars in 2013 with close to \$8 million. Over half of the grants to capital & infrastructure support come from just two grants, both over \$1.5 million, or 52% of all funding in this category. Excluding these two grants, funding to this area totals just over \$3.7 million (35 grants total).

The second category receiving the most grant dollars is **research/chairs/professorship/fellowships in social sciences, humanities and policy studies** with \$4.2 million in grants (10 grants). The third category is **individual development** which includes scholarships & bursaries with \$2.2 million in grants (77 grants). This latter category excludes grants by The MasterCard Foundation which provided very large grants totalling about \$62 million.

The next 5 funding areas received between \$1.5 and \$2.5 million in funding (82 grants total), with only one area falling below this range (Productions/Presentations/Collaboration at \$878k, 13 grants total). Approximately \$200k in grants (12 grants in total) were not categorized.

It is important to consider both the **total number of grants** to a given funding area and also the dollar value. For example, while research/chairs in social sciences, humanities, & policy studies received the fewest number of grants (10), this category is in the top three recipients of grant dollars. This funding area received one large individual grant of \$3 million in 2013.

Despite some large grants, **more individual grants are made between \$5-15,000** than any other individual grant range.

How Are Grants Distributed?

Grants by Region

Nearly 40% of grants were made to recipients in the same province as the foundation (102 of 261). About 60% of these grants came from Ontario foundations to Ontario universities and colleges; just over a quarter came from Quebec foundations to Quebec universities and colleges. The remaining grants made by donors to recipients in their home province were from/to Alberta (9.8% of individual grants made) and from/to British Columbia (3.9% of individual grants made).

Grants Outside Canada

Two PFC members make the bulk of grants to universities and colleges outside Canada. The MasterCard Foundation and The Azrieli Foundation made **58 grants worth just over \$50 million** to recipients **outside Canada**. When The MasterCard Foundation is removed, total grants to universities & colleges outside Canada drops significantly overall from \$50 million to just over \$3 million.

International giving by The MasterCard Foundation totals \$47 million or 93% of all international grant dollars (and a total of 14 grants). Just over \$3 million in grants (or 6% of all grant dollars to donees outside Canada) are from 44 grants made by The Azrieli Foundation. When both these foundations are excluded from the analysis, there are 5 grants to universities & colleges outside Canada totalling about \$124k.



Grants by Target Population

A significant number of grants were explicitly designated for Aboriginal peoples within universities and colleges. There were **27 grants** (10% of the total number of grants) totaling about \$1.3 million for which all or at least part of the grant dollars were focused on this target population, which ranks fourth overall in terms of *total number* of grants.

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Methodology Appendices

Appendix A – Education & Research Grants

The 9 funding subject areas by which the grants were classified were developed and defined by PFC specifically for this research project. To develop these definitions, PFC used terms and definitions from the Philanthropy Classification System (PCS) developed by the US Foundation Center, and then adapted and modified those definitions to better track the primary **purpose** to which the grant would be applied by the recipient

For this research, PFC defined **Education and Research** as the combination of the PCS Subject Area term Education (SB000000) and PCS Support Strategy term Research (UM0100) as defined below:

Education

All formally constituted post-secondary educational institutions (except art and performing art schools) and projects or activities that administer or support those institutions. These institutions include universities providing undergraduate and post graduate education and community colleges.

Research

Within educational institutions, strategies pursued by the institutions include: efforts to discover, collect, analyze, interpret, test, document, and disseminate data, information, knowledge, and the applications of that knowledge. This includes basic and applied scientific research; studies, surveys, investigations and clinical trials in social sciences and medicine; historical research in the arts and humanities; evaluation of specific programs and initiatives; feasibility studies; institutional evaluations; and data measurement systems to assess and improve performance.

- a) Research: Basic and applied research, other studies, surveys, investigations, and clinical trials.
- b) Program evaluations: Evaluation of a specific project or program; includes awards both to agencies to pay for evaluation costs and to research institutes and other program evaluators.
- c) Institutional evaluations: Evaluation of an organization's specific mission, purpose, profile, and performance with an aim to improving stated objectives and outcomes.
- d) Data and measurement systems: The design and development of systems for gathering and analyzing data with an aim to help organizations improve how they measure, assess and, ultimately, improve their performance and results.

Funding Subject Areas for this Research

The classification system used for this research consists of the 9 funding subject areas listed on the following page. The classification system consists of terms and definitions from the Foundation Center's Philanthropy Classification System, which were adapted and modified by PFC during the research process, as is encouraged by [the Foundation Center](#).



Categories were adjusted as coding progressed in order to best describe the purpose of the grants reviewed. Any new categories added or changes to existing categories were then crosschecked with previously coded grants to ensure consistency. Grant categorizations were reviewed by PFC staff as well as foundation staff where necessary in order to code each grant as accurately as possible.

The **9 funding subject areas** are described below (with a 10th category for grants not otherwise able to be categorized) that were used for this research. The funding subject areas consist of:

1. Research/Chairs/Professorships for Business & Enterprise
2. Research/Chairs/Professorships for Medical & Health
3. Research/Chairs/Professorships for Science & Technology
4. Research/Chairs/Professorships for Social Sciences, Humanities, & Policy Studies
5. Community Investment
6. Student & Education Services
7. Individual Development
8. Capital & Infrastructure Support
9. Productions/Presentations/Collaboration
10. Unknown or not categorized

1. **Research/Chair/Professorships for Business & Enterprise**

PFC defined this category as a combination of the PCS Support Strategy "Professorship" (Code: UE0200) with modifications by PFC, and the PFC's own definition of Business & Enterprise.

Professorship (PCS - Code: UE0200)

"To support or endow a professorship or chair, especially at an educational or research institution."
For this snapshot, PFC modified this category to also include grants made for research studies in this area.

Business & Enterprise (PFC definition)

"Examples of this area include: Professorship in Family Enterprise, Chair in Finance, Chair in Energy Policy (within Business School), Chair in Competitive Strategy and Sustainable Development, Chair in Social Innovation (within School of Environment, Enterprise and Development) and support for general research studies."

2. **Research/Chair/Professorships for Medical & Health**

PFC defined this category as a combination of the PCS Support Strategy "Professorship" (Code: UM0100) and the PCS Subject Area "Health" (Code: SE000000), with modifications by PFC.

Professorship (PCS - Code: UE0200)

"To support or endow a professorship or chair, especially at an educational or research institution."
For this snapshot, PFC modified this category to also include grants made for research studies in this area.

**Health** (PCS - Code: SE000000)

"Promotion and protection of the physical and mental well-being of people through medical care and treatment; assessment and amelioration of social, environmental, and biomedical factors affecting that well-being; research into various diseases and in various disciplines; and education and prevention activities that increase people's own efforts at protecting public health."

For this snapshot, PFC modified this category to also include public health studies – e.g., studies on the social determinants of health.

3. Research/Chair/Professorships for Science & Technology

PFC defined this category as a combination of the PCS Support Strategy "Professorship" (Code: UM0100) and the PCS Subject Area "Science" (Code: SF000000), with modifications by PFC.

Professorship (PCS - Code: UM0100)

"To support or endow a professorship or chair, especially at an educational or research institution."

For this snapshot, PFC modified this category to also include grants made for research studies in this area.

Science (PCS - Code: SF000000)

"Efforts to promote or conduct research and study in the physical and life sciences, mathematics, engineering and technology. Does not include medical research; or research institutes and services operating in a single major group area. For these organizations and programs, use the most appropriate PCS Subject and Support Strategy facets."

PFC followed the usage notes of this term to classify the organizations specifically not included in this definition in other areas.

4. Research/Chair/Professorships for Social Sciences, Humanities and Public Policy Studies

PFC defined this category as a combination of the PCS Support Strategy "Professorship" (Code: UM0100); the PCS Subject Area "Social sciences" (Code: SG000000); and the PCS Subject Area "Public policy" (Code: SK010000); with modifications by PFC.

Professorship (PCS - Code: UM0100)

"To support or endow a professorship or chair, especially at an educational or research institution."

For this snapshot, PFC modified this category to also include grants made for research studies in this area.

Social sciences (PCS - Code: SG000000)

"The study of, teaching of, or research in one or more of, the social sciences, including economics, psychology, political science and demographics. Also includes interdisciplinary research programs such as black studies and urban studies."

**Public policy** (PCS - Code: SK010000)

“Study or analysis of, research or teaching about, management or development of public policy, i.e. the principles that govern society and the ways they manifest themselves in public discourse, government and legislative action, regulation and funding.”

5. Community Investment

PFC defined this category according to its own needs (without using a PCS term).

“Grants to support a third party in the community. An example would be the evaluation of a project in the community, where the university does survey/research/assessment for a community organization, or the university provides manpower, expertise, facilities (e.g. through students or university equipment) for a community outreach project.”

6. Student & Education Services

PFC defined this category as a combination of the PCS Subject Area “Student services” (Code: SB080000) and the PCS Subject Area “Education services” (Code: SB090000), with modifications by PFC.

Student services (PCS - Code: SB080000)

“Student activity and co-curricular programs that provide opportunities for participants to explore interests, develop abilities and utilize talent in working with other students and staff. And programs within the formal education system or offered by outside agencies which provide non-instructional services that support the admission of students to an educational program, their living conditions while students, and their ability to choose an appropriate course of study and to adjust to and remain in school through the completion of their degrees. Included may be the following: Campus information/tours; School housing; Registration/enrollment assistance including access to school transcripts; Disabled student services; Guidance and counseling.”

Education services (PCS - Code: SB090000)

“Programs within the formal education system or offered by outside agencies which provide instructional services or other activities that seek to improve academic performance, assist students to succeed in their studies, or enhance their learning experience. For example, education exchanges would include, the provision of exchange programs between countries for educational purposes, often study-abroad programs for university & college students, but also including programming for teachers, learners in arts and culture, and others, with a view to expanding horizons, improving language skills, offering work experience and cultivating social and professional connections between individuals and between nations.”

For this snapshot, PFC modified this category to also include: Teaching Quality, Student Life & Services, Student Learning, Student Development.

7. Individual Development

PFC defined this category as the PCS Support Strategy “Individual Development” (Code: UR0000), with modifications by PFC.

**Individual Development (PCS - Code: UR0000)**

“Support to provide assistance to individuals in the form of grants-in-aid, stipends, loans, work-study, or other awards for pursuing educational, research, or professional goals.”

For this snapshot, PFC modified this category to also include:

- Scholarships, awards, bursaries, prizes and fellowships.
- fellowships, internships, scholarships, residencies, and work-study grants.

8. Capital & Infrastructure Support

PFC defined this category as the PCS Support Strategy “Capital and infrastructure” (Code: UF0000), with modifications by PFC.

Capital and infrastructure (PCS - Code: UF0000)

“To acquire, upgrade or develop capital infrastructure through building acquisition, maintenance and renovations; land acquisitions and rent payments; information technology and other equipment; and collections. This area includes General/Endowments/ Administrative/Operating costs.”

For this snapshot, PFC modified this category to exclude endowments that are for a specific purpose falling in another category – e.g., an endowment for a scholarship fund would be coded as Individual Development.

9. Productions/Presentations/Collaboration

PFC defined this category as the PCS Support Strategy “Presentations and productions” (Code: UP0000), with modifications by PFC.

Presentations and productions (PCS - Code: UF0000)

“The creation, development, and display of public, print and multimedia presentations and productions, often by institutions and individuals in educational, nonprofit, arts, humanities and media.”

For this snapshot, PFC modified this category to include: information dissemination, journals, publications, conferences, workshops.

10. Unknown or not categorized

Not otherwise able to be categorized.



Appendix B – Research Scope and Methodology

This report looks at grantmaking to universities & colleges from PFC's member foundations (as at March 2015) for the year 2013. **Grants were analyzed for the year 2013** since this was the most recent year for which complete information was available from the T3010 CRA database. Members were divided into four categories, based on the dollar amount of grants made to all sectors:

- Very large (total grants > \$4M)
- Large (total grants \$500K-\$3.9M)
- Medium (total grants \$100K-\$499K)
- Small (total grants < \$100K).

Only individual grants of \$5,000 and over were reviewed for this report. Grants from the very large foundations made up nearly 90% (88.8%) of the total amount of grants made to universities & colleges in 2013 (\$106.6 million), and so we focused our research on this group of 19 foundations, whose grants to universities and colleges totalled nearly \$95 million (\$94.7 million).

This research took place over four months, and used data provided by Imagine Canada. The raw data included information on donors, donees, and grant amounts, drawn from the publicly available online T3010 CRA database and from the website of grantee and foundations. Additional data was provided by the foundations where online information was unavailable.

Grants were identified according to the recipient universities & colleges, both within Canada and internationally. Four of the largest 19 foundations did not provide complete information on their grants to universities and colleges. Where possible, grants from these foundations were coded according to publicly available online information, but some were otherwise uncategorized due to lack of information.

Thus, in total, **this report analyzes 95.2% of the total amount of grants made to universities & colleges by the 19 largest foundations** (\$90.2 million out of \$94.7 million), and 84.6% of the total amount of grants made to universities & colleges by PFC members of all sizes for the year 2013 (\$90.2 million out of \$106.6 million).

In some cases, grant dollar amounts were clearly divisible between two categories. For these instances, grant dollar amounts were split between the two categories in question. However, since the two purposes or projects were contained within one donation, the grant was only counted once, and was counted in the category to which the greater of the two amounts was destined. Grant splitting was done only in cases where exact amounts were indicated as going to distinct projects, and only if each of the split amounts totalled over \$5,000. A total of six grants were split between categories for the tables and figures including grants from The MasterCard Foundation, and one grant was split for the tables and figures excluding The MasterCard Foundation's grants.

Where the purpose of a gift was indicated for a given amount (e.g., \$150K out of \$165K), and no information was given on how the rest of the grant was used, the entire grant amount was categorized according to the primary purpose of the grant.

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**PFC is a national member association of Canadian grantmakers,
including private and public foundations,
charities and corporations.**

**PFC promotes the growth and development of effective and
responsible foundations and organized philanthropy in
Canada through provision of membership services,
resources and advocacy.**

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